

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: N1-057-02-003

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules. This information is accurate as of: 10/12/2022

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These items, unless subsequently superseded, may be used by the agency to disposition records.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

N.B. The N1-057-08-002 crosswalk purported to supersede many items in N1-057-02-003. However, most of these were crossed out in the N1-057-08-002 schedule itself, meaning that NARA did not (re-)appraise them and considered the older, unaltered, items to remain valid.

SUPERSEDED AND OBSOLETE ITEMS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 They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling.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Item 502-01a was superseded by N1-057-05-003, item 502-01a (N1-057-05-003 claimed to supersede NC1-057-81-02 items 30a and 30b, not noting that those items had already been superseded by N1-057-02-003.)

Item 502-01c was deleted under N1-057-08-002

Item 502-08 was superseded by N1-057-08-002 item 505-05

Item 502-09 was superseded by N1-057-08-002 item 505-05

Item 502-10 was superseded by N1-057-08-002 item 505-05

Item 503 (entire section) was deleted under N1-057-08-002 (nevertheless, item 503-01 was shown as superseded by DAA-GRS-2016-0016-0002)

Item 602-02a was deleted under N1-057-08-002

Item 602-03 was superseded by DAA-0048-2013-0008-0007

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Item 603-02 was superseded by by DAA-0048-2013-0001-0001

Item 604-01 was superseded by DAA-GRS-2016-0016-0002

Item 701-01B was superseded by DAA-GRS-2015-0006-0007

Item 701-02 was superseded by N1-057-08-002 item 701-02

Item 702-07 was superseded by N1-057-08-002 item 701-09

Item 703-13 was superseded by N1-057-08-002 item 703-12

Item 706-01 was superseded by DAA-GRS-2016-0016-0002

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

As of 10/12/2022

REQUEST FOR RECORDS DISPOSITION AUTHORITY*(See Instructions on reverse)*TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR)
WASHINGTON, DC 20408

1. FROM (Agency or establishment)

Department of the Interior

2. MAJOR SUBDIVISION

U.S. Geological Survey

3. MINOR SUBDIVISION

Geographic Information Office

4. NAME OF PERSON WITH WHOM TO CONFER

5. TELEPHONE

Carol Wippich

(703) 648 - 7109

LEAVE BLANK (NARA use only)

JOB NUMBER

N1-57-02-3

DATE RECEIVED

7/3/2002

NOTIFICATION TO AGENCY

In accordance with the provisions of 44 U.S.C. 3303a the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.

DATE

ARCHIVIST OF THE UNITED STATES

11-8-02

John W. Carr

6. AGENCY CERTIFICATION

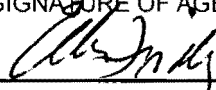
I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, is not required; is attached; or has been requested.

DATE

SIGNATURE OF AGENCY REPRESENTATIVE

TITLE

8/10/2002



Records Management Officer

7.
ITEM
NO.

8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION

9. GRS OR
SUPERSEDED
JOB CITATION10. ACTION
TAKEN (NARA
USE ONLY)

See Attached.

CC: To Agency, NWMD, NWMWA, NWCS, NWSTC, NR.

500. Information Services Records.

This section provides for disposal of records relating to informational services performed by the bureau in our day-to-day affairs and in our relations with the public.

Chapter 500 Topics This section provides for the disposition of the following USGS Information Services records:

501. Electronic Freedom of Information Act (E-FOIA), Freedom of Information Act (FOIA), and Privacy Act Files.

502. Communications Files.

503. Electronic Mail (E-mail), Spreadsheet, and Word Processing System Copies.

501. E-FOIA, FOIA, and Privacy Act files include the following records:

501-01	E-FOIA and FOIA Request and Appeals Files.
501-02	E-FOIA and FOIA Control Files.
501-03	E-FOIA and FOIA Reports and Administrative Files.
501-04	Privacy Act Requests Files.
501-05	Privacy Act Amendment Case Files.
501-06	Privacy Act Accounting of Disclosure Files.
501-07	Privacy Act Control Files.
501-08	Privacy Act Reports Files.
501-09	Privacy Act General Administrative Files.
501-10	Mandatory Review for Declassification Requests Files.
501-11	Mandatory Review for Declassification Appeals Files.
501-12	Mandatory Review for Declassification Control Files.
501-13	Mandatory Review for Declassification Reports Files.
501-14	Mandatory Review for Declassification Administrative Files.
501-15	Erroneous Release Files.

502. Communications files include the following records:

502-01	Communications General Correspondence.
502-02	Presentation and Official Speeches.
502-03	Information Requests Files.
502-04	Acknowledgment Files.
502-05	News Media Files.
502-06	Information Project Files.
502-07	Commendation and Complaint Correspondence Files.
502-08	Non-Government Briefings.

502-09	Community Relations.
502-10	Public Ceremonies

503. E-mail, spreadsheet, and word processing system copies for Information Services files include the following records:

503-01	Electronic copies of e-mail, spreadsheet, and word processing records created solely to produce the recordkeeping copy and electronic copies of e-mail and word processing records that are needed in addition to the recordkeeping copy for dissemination, revision, or updating
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What files in this section are important or considered permanent USGS records?

- E-FOIA, FOIA, and Privacy Act records that are appealed should be retained until final adjudication by the courts.
- Presentations and official speeches by top-level USGS officials relating to bureau and program activities.

What files in this section are considered temporary USGS records?

- E-FOIA, FOIA, and Privacy request records that have not been appealed or repeals that have received final adjudication by the courts.
- E-FOIA and FOIA control files, reports, and administrative files.
- Privacy Act Requests, amendments, accounting, control, reports, and administrative files.
- Mandatory review for declassification requests, appeals, control, reports, and administrative files.
- Erroneous release files.
- Press and news release files.
- Copies of speeches and presentations.
- Information request files.
- Acknowledgement files.
- News media files.
- Information service project files.
- Commendation and complaint correspondence files.
- Non-government briefings
- Documents relating to promoting good relations between USGS activities and local communities and documents relating to participation in public ceremonies and affairs.

Questions?

Contact the USGS Records Manager or your discipline or regional Records Liaison Officer.

**U.S. Geological Survey
Chapter 500. Information Services Records**

Cross Index

ITEM NUMBER	SUBJECT	SUPERSEDED CITATION
501	Electronic Freedom of Information Act (E-FOIA), Freedom of Information Act (FOIA), and Privacy Act Files	
501-01	E-FOIA and FOIA Request and Appeals Files	
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501-01a(1)	Granting Access to all the Requested Records	RCS/Item 501-01a(1) and GRS 14, Item 11a(1)
501-01a(2)	Responding to Requests for Non-Existent Records	
501-01a(2)(a)	Request not Appealed	RCS/Item 501-01a(2)(a) and GRS 14, Item 11a(2)(a)
501-01a(2)(b)	Request Appealed	RCS/Item 501-01a(2)(b) and GRS 14, Item 12a
501-01a(3)	Denying Access to All or Part of the Records Requested	
501-01a(3)(a)	Request not Appealed	RCS/Item 501-01a(3)(a) and GRS 14, Item 11a(3)(a)
501-01a(3)(b)	Request Appealed	RCS/Item 501-01a(3)(b) and GRS 14, Item 12a
501-01b	Official File Copy of Requested Records	RCS/Item 501-01b and GRS 14, Item 11b (Slightly changed wording in Disposition)
501-01c	E-FOIA and FOIA Appeals Files	
501-01c(1)	Correspondence and Support Documents	New Item – See GRS 14, Item 12a
501-01c(2)	Official File Copy of Records Under Appeal	New Item – See GRS 14, Item 12b

501-02	E-FOIA and FOIA Control Files	
501-02a	Registers or Listings	RCS/Item 501-02a and GRS 14, Item 13a
501-02b	Other Files	RCS/Item 501-02b and GRS 14, Item 13b
501-03	E-FOIA and FOIA Reports and Administrative Files	
501-03a	E-FOIA and FOIA Reports Files	RCS/Item 501-03a and GRS 14, Item 14 (Slightly changed wording in Item)
501-03b	E-FOIA and FOIA Administrative Files	RCS/Item 501-03b and GRS 14, Item 15 (Slightly changed wording in Item)
501-04	Privacy Act Requests Files	
501-04a	Supporting Documents	
501-04a(1)	Granting Access to all the Requested Records	RCS/Item 501-04a(1) and GRS 14, Item 21a(1)
501-04a(2)	Responses	
501-04a(2)(a)	Requests not Appealed	RCS/Item 501-04a(2)(a) and GRS 14, Item 21a(2)(a)
501-04a(2)(b)	Requests Appealed	RCS/Item 501-04a(2)(b) and GRS 14, Item 21a(2)(b)
501-04a(3)	Denials	
501-04a(3)(a)	Requests not Appealed	RCS/Item 501-04a(3)(a) and GRS 14, Item 21a(3)(a)
501-04a(3)(b)	Requests Appealed	RCS/Item 501-04a(3)(b) and GRS 14, Item 21a(3)(b)
501-04b	Official File Copy of Requested Records	RCS/Item 501-04b and GRS 14, Item 21b
501-05	Privacy Act Amendment Case Files	
501-05a	Requests to Amend Agreed to by the Bureau	RCS/Item 501-05a and GRS 14, Item 22a (Slightly changed wording in Item)

501-05b	Requests to Amend Refused by Bureau	RCS/Item 501-05b and GRS 14, Item 22b (Slightly changed wording in Item)
501-05c	Appealed Requests to Amend	RCS/Item 501-05c and GRS 14, Item 22c (Slightly changed wording in Item)
501-06	Privacy Act Accounting of Disclosure Files	RCS/Item 501-06 and GRS 14, Item 23
501-07	Privacy Act Control Files	
501-07a	Registers or Listings	RCS/Item 501-07a and GRS 14, Item 24a
501-07b	Other Files	RCS/Item 501-07b and GRS 14, Item 24b
501-08	Privacy Act Reports Files	RCS/Item 501-08 and GRS 14, Item 25 (Slightly changed wording in Item)
501-09	Privacy Act General Administrative Files	RCS/Item 501-09 and GRS 14, Item 26
501-10	Mandatory Review for Declassification Requests Files	
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501-10a(1)	Granting Access to all the Requested Records	New Item – See GRS 14, Item 31a(1)
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501-10a(2)(b)	Request Appealed	New Item – See GRS 14, Item 31a(2)(b)
501-10a(3)	Denials	
501-10a(3)(a)	Request not Appealed	New Item – See GRS 14, Item 31a(3)(a)
501-10a(3)(b)	Request Appealed	New Item – See GRS 14, Item 31a(3)(b)
501-10b	Official File Copy of Requested Records	New Item – See GRS 14, Item 31b
501-10c	Sanitizing Instructions	New Item – See GRS 14, Item 31c

501-11	Mandatory Review for Declassification Appeals Files	
501-11a	Correspondence and Supporting Documents	New Item – See GRS 14, Item 32a
501-11b	Official File Copy of Records Under Appeal	New Item – See GRS 14, Item 32b
501-12	Mandatory Review for Declassification Control Files	
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501-14	Mandatory Review for Declassification Administrative Files	New Item – See GRS 14, Item 35
501-15	Erroneous Release Files	
501-15a	Files that Include the Official File Copy of the Released Records	New Item – See GRS 14, Item 36a
501-15b	Files that do not Include the Official File Copy of the Released Records	New Item – See GRS 14, Item 36b
502	Communications Files	
502-01	Communications General Correspondence	
502-01a	Official Press Release Files	RCS/Item 503-01a and NC1-57-81-2, Item 30a (Slightly changed wording in Item and Disposition; Changed Item No.)
502-01b	Public Information Reference Files	RCS/Item 503-01b and NC1-57-81-2, Item 30b (Slightly changed wording in Item; Changed Item No.)
502-01c	All Other Copies	New Item
502-02	Presentations and Official Speeches	
502-02a	Official Record Set	RCS/Item 503-02a and NC1-57-81-2, Item 31a

		(Slightly changed wording in Item and Disposition; Changed Item No.)
502-02b	All Other Copies	New Item
502-02c	Copies of all Other Presentations and Speeches by Bureau Employees	RCS/Item 503-02b and NC1-57-81-2, Item 31b (Slightly changed wording in Item; Changed Item No.)
502-03	Information Requests Files	RCS/Item 503-03 and GRS 14, Item 1 (Slightly changed wording in Item; Changed Item No.)
502-04	Acknowledgment Files	RCS/Item 503-04 and GRS 14, Item 2 (Changed Item No.)
502-05	News Media Files	RCS/Item 503-05 and GRS 14, Item 3 (Slightly changed wording in Item; Changed Item No.)
502-06	Information Project Files	RCS/Item 503-06 and GRS 14, Item 4 (Changed Item No.)
502-07	Commendation and Complaint Correspondence Files	RCS/Item 503-07 and GRS 14, Item 5 (Slightly changed wording in Item; Changed Item No.)
502-08	Non-Government Briefings	New Item – See DCAA 500, Item 501.10 (NC-372-75-1)
502-09	Community Relations	New Item – See DCAA 500, Item 501.6 (NC-372-75-1)
502-10	Public Ceremonies	New Item – See DCAA 500, Item 501.7 (NC-372-75-1)
503	Electronic Mail, Spreadsheet, and Word Processing System Copies	
503-01	Electronic Copies of Records	
503-01a	Copies with no Further Admin Value	New Item
503-01b	Dissemination Copies	New Item

500. Information Services Records.

501. Electronic Freedom of Information Act (E-FOIA), Freedom of Information Act (FOIA), and Privacy Act Files.

501-01. E-FOIA and FOIA Request and Appeals Files.

Files created in response to requests for information under the Freedom of Information Act (FOIA) or under the Electronic Freedom of Information Act (E-FOIA) consisting of the original request, a copy of the reply, paper copies of the electronic replies, and all related supporting files which may include official file copy of requested record.

501-01a. E-FOIA and FOIA Requests Case Files. Case files, containing the request, reply, other correspondence, and supporting documents, arranged by request number. Exclude the official file copy of the records requested if filed under Item 501-01b below.

501-01a(1). Granting access to all the requested records.

- Destroy 2 years after date of reply.
Authority: GRS 14, Item 11a(1)

501-01a(2). Responding to requests for non-existent records, to requestors who provide inadequate descriptions, and to those who fail to pay bureau reproduction fees.

- 501-01a(2)(a). Request not appealed.
- Destroy 2 years after date of reply.
Authority: GRS 14, Item 11a(2)(a)

501-01a(2)(b). Request appealed.

- Destroy 6 years after final determination by bureau or 3 years after final adjudication by courts, whichever is later.
Authority: GRS 14, Item 12a

501-01a(3). Denying access to all or part of the records requested.

- 501-01a(3)(a). Request not appealed.
- Destroy 6 years after date of reply
Authority: GRS 14, Item 11a(3)(a)

501-01a(3)(b). Request appealed.

- Destroy 6 years after final determination by bureau or 3 years after final adjudication by courts, whichever is later.
Authority: GRS 14, Item 12a

501-01b. Official file copy of requested records.

➤ Dispose of in accordance with approved bureau disposition instructions for the related records, or with the related E-FOIA and FOIA request, whichever is later.

Authority: GRS 14, Item 11b

501-01c. E-FOIA and FOIA Appeals Files. Files created in responding to administrative appeals under the E-FOIA and FOIA for release of information denied by the agency, consisting of the appellant's letter, a copy of the reply, and related supporting documents, which may include the official file copy of records under appeal.

501-01c(1). Correspondence and supporting documents (excluding the file copy of the records under appeal).

➤ Destroy 6 years after final determination by bureau, 6 years after the time at which a requester could file suit, or 3 years after final adjudication by the courts, whichever is later.

Authority: GRS 14, Item 12a

501-01c(2). Official file copy of records under appeal.

➤ Dispose of in accordance with approved bureau disposition instructions for the related record or with the related E-FOIA and FOIA request, whichever is later.

Authority: GRS 14, Item 12b

501-02. E-FOIA and FOIA Control Files.

Files maintained for control purposes in responding to requests, including registers and similar records listing date, nature, and purpose of request and name and address of requestor.

501-02a. Registers or listing.

➤ Destroy 6 years after date of last entry.

Authority: GRS 14, Item 13a

501-02b. Other files.

➤ Destroy 6 years after final action by the agency or after final adjudication by courts, whichever is later.

Authority: GRS 14, Item 13b

501-03. E-FOIA and FOIA Reports and Administrative Files.

501-03a. E-FOIA and FOIA Reports Files. Recurring reports and one-time information requirements relating to the bureau implementation of the E-FOIA and FOIA.

➤ Destroy when 2 years old.

Authority: GRS 14, Item 14

501-03b. E-FOIA and FOIA Administrative Files. Correspondence, memoranda, notices, and related materials showing USGS efforts to be in compliance to the E-FOIA (5 U.S.C. 552(a)(2)(D) and to the FOIA.

- Destroy when 2 years old.
Authority: GRS 14, Item 15

501-04. Privacy Act Requests Files.

Files created in response to requests from individuals to gain access to their records or to any information in the records pertaining to them, as provided for under 5 U.S.C. 552a(d)(1). Files contain original request, copy of reply, and all related supporting documents, which may include the official file copy of records requested.

501-04a. Supporting Documents. Correspondence and supporting documents, excluding the official file copy of the records requested if filed here.

- 501-04a(1). Granting access to all the requested records.
 - Destroy 2 years after date of reply.
Authority: GRS 14, Item 21a(1)

501-04a(2). Responses. Responding to requests for non-existent records; to requestors who provide inadequate descriptions; and to those who fail to pay bureau reproduction fees.

- 501-04a(2)(a). Requests not appealed.
 - Destroy 2 years after date of reply.
Authority: GRS 14, Item 21a(2)(a)

- 501-04a(2)(b). Requests appealed.
 - Destroy as authorized under Item 501-05.
Authority: GRS 14, Item 21a(2)(b)

501-04a(3). Denials. Denying access to all or part of the records requested.

- 501-04a(3)(a). Requests not appealed.
 - Destroy 5 years after date of reply.
Authority: GRS 14, Item 21a(3)(a)

- 501-04a(3)(b). Requests appealed.
 - Destroy as authorized under Item 501-05.
Authority: GRS 14, Item 21a(3)(b)

501-04b. Official file copy of requested records.

- Dispose of in accordance with approved bureau disposition instructions for the related records, or with the related Privacy Act request, whichever is later.

Authority: GRS 14, Item 21b

501-05. Privacy Act Amendment Case Files.

Files relating to an individual's request to amend a record pertaining to that individual as provided for under 5 U.S.C. 552a(d)(2); to the individual's request for a review of the bureau's refusal of the individual's request to amend a record as provided for under 5 U.S.C. 552a(d)(3); and to any civil action brought by the individual against the Bureau as provided under 5 U.S.C. 552a(g).

501-05a. Requests to amend agreed to by the bureau. Includes individual's requests to amend and/or review refusal to amend, copies of bureau's replies, and related materials.

➤ Dispose of in accordance with the approved disposition instructions for the related subject individual's record or 4 years after bureau's agreement to amend, whichever is later.

Authority: GRS 14, Item 22a

501-05b. Requests to amend refused by bureau. Includes individual's requests to amend and/or review refusal to amend, copies of bureau's replies, statement of disagreement, bureau justification for refusal to amend a record, and related materials.

➤ Dispose of in accordance with the approved disposition instructions for the related subject individual's record, 4 years after final determination by bureau, or 3 years after final adjudication by courts, whichever is later.

Authority: GRS 14, Item 22b

501-05c. Appealed requests to amend. Includes all files created in responding to appeals under the Privacy Act for refusal by the bureau to amend a record.

➤ Dispose of in accordance with the approved disposition instructions for the related subject individual's record or 3 years after final adjudication by courts, whichever is later.

Authority: GRS 14, Item 22c

501-06. Privacy Act Accounting of Disclosure Files.

Files maintained under the provisions of 5 U.S.C. 552a(c) for an accurate accounting of the date, nature, and purpose of each disclosure of a record to any person or to another agency, including forms for showing the subject individual's name, requestor's name and address, purpose and date of disclosure, and proof of subject individual's consent when applicable.

➤ Dispose of in accordance with the approved disposition instructions for the related subject individual's records or 5 years after the disclosure for which the accountability was made, whichever is later.

Authority: GRS 14, Item 23

501-07. Privacy Act Control Files.

Files maintained for control purposes in responding to requests, including registers and similar records listing date, nature of request, and name and address of requestor.

501-07a. Registers or listings.

- Destroy 5 years after date of last entry.
Authority: GRS 14, Item 24a

501-07b. Other files.

- Destroy 5 years after final action by the bureau or final adjudication by courts, whichever is later.
Authority: GRS 14, Item 24b

501-08. Privacy Act Reports Files.

Recurring reports and one-time information requirement relating to bureau implementation, including submission to the Department of the Interior for biennial reports to the Office of Management and Budget (OMB) and the Report on New Systems at all levels.

- Destroy when 2 years old.
Authority: GRS 14, Item 25

501-09. Privacy Act General Administrative Files.

Records relating to the general bureau implementation of the Privacy Act, including notices, memoranda, routine correspondence, and related records.

- Destroy when 2 years old.
Authority: GRS 14, Item 26

501-10. Mandatory Review for Declassification Requests Files.

Files created in response to requests for information under the mandatory review provisions of Executive Order 12356 consisting of the original request, a copy of the reply thereto, and all related supporting files, which may include the official file copy of requested records.

501-10a. Correspondence and supporting documents (excluding the official file copy of the records, and sanitizing instructions, if applicable).

501-10a(1) Granting access to all the requested records.

- Destroy 2 years after date of reply.
Authority: GRS 14, Item 31a(1)

501-10a(2) Responses. Responding to requests for non-existent records, to requesters who provide inadequate descriptions, and to those who fail to pay agency reproduction fees

501-10a(2)a. Request not appealed.

- Destroy 2 years after date of reply.
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Authority: GRS 14, Item 31a(2)(a)

501-10a(2)b. Request appealed.

- Destroy as authorized under Item 501-11.

Authority: GRS 14, Item 31a(2)(b)

501-10a(3). Denials. Denying access to all or part of the records requested.

501-10a(3)a. Request not appealed.

- Destroy 5 years after date of reply

Authority: GRS 14, Item 31a(3)(a)

501-10a(3)b. Request appealed.

- Destroy as authorized under Item 501-11.

Authority: GRS 14, Item 31a(3)(b)

501-10b. Official file copy of requested records.

- Dispose of in accordance with approved disposition instructions for the related records or with the related mandatory review request, whichever is sooner.

Authority: GRS 14, Item 31b

501-10c. Sanitizing instructions.

- Destroy when superseded or when requested documents are declassified or destroyed.

Authority: GRS 14, Item 31c

501-11. Mandatory Review for Declassification Appeals Files.

Files created in responding to administrative appeals under the mandatory review provisions of Executive Order 12356 and its predecessors for release of information denied by the agency. Files consist of the appellant's letter, a copy of the reply, and related supporting documents, which may include the official file copy of records under appeal.

501-11a. Correspondence and supporting documents (excluding the official file copy of the records under appeal).

- Destroy 4 years after final determination by agency.

Authority: GRS 14, Item 32a

501-11b. Official file copy of records under appeal.

- Dispose of in accordance with approved disposition instructions for the related records or with the related mandatory review request, whichever is later.

Authority: GRS 14, Item 32b

501-12. Mandatory Review for Declassification Control Files.

Files maintained for control purposes in responding to requests, including registers and similar records listing nature, purpose of request, and name and address of requester.

501-12a. Registers or listing.

- Destroy 5 years after date.

Authority: GRS 14, Item 33a

501-12b. Other Files.

- Destroy 5 years after final action by the bureau.

Authority: GRS 14, Item 33b

501-13. Mandatory Review for Declassification Reports Files.

Reports relating to bureau implementation of the mandatory review provisions of the current Executive Order on classified national security information, including annual reports submitted to the Information Security Oversight Office.

- Destroy when 2 years old.

Authority: GRS 14, Item 34

501-14. Mandatory Review for Declassification Administrative Files.

Records relating to the general bureau implementation of the mandatory review provisions of the current Executive Order on classified national security information, including notices, memoranda, correspondence, and related records.

- Destroy when 2 years old.

Authority: GRS 14, Item 35

501-15. Erroneous Release Files.

Files relating to the inadvertent release of privileged information to unauthorized parties, containing information whose disclosure would constitute an unwarranted invasion of personal privacy. Files contain requests for information, copies of replies, and all related supporting documents and may include the official copy of records requested.

501-15a. Files that include the official file copy of the released records.

- Follow the disposition instructions approved for the released official file copy or destroy 6 years after the erroneous release, whichever is later.

Authority: GRS 14, Item 36a

501-15b. Files that do not include the official file copy of the released records.

- Destroy 6 years after the erroneous release.

Authority: GRS 14, Item 36b

502. Communications Files.

502-01. Communications General Correspondence.

These record series consist of files pertaining to the Bureau Office of Communications including correspondence to internal and external audiences including the news media, Congress, the general public, intergovernmental, and non-governmental audiences. (Does not include files of the Earth Science Information Center, the EROS Data Center, or its Applications Assistance Facilities.)

502-01a. Official Press Release Files. Consists of one original copy of each informational release and publication including press releases, media advisories, press conference transcripts, official speeches, and graphic presentations. (See Chapter 1100 for Audiovisual files).

➤ Cut-off at the end of the fiscal year. Transfer to the Federal Records Center (FRC) 5 years after cut-off. Destroy when 20 years old.

Authority: NC1-57-81-2, Item 30a

502-01b. Public Information Reference Files. Contains files, either paper or electronic, created in connection with the preparation or review of press releases and may be composed of clearance sheets, photographs, correspondence, memoranda, clippings, and related papers which are either non-record material or duplicated in files maintained elsewhere.

➤ Destroy 1 year after release of press release.

Authority: NC1-57-81-2, Item 30b

502-01c. All Other Copies.

➤ Destroy when no longer needed for reference.

502-02. Presentations and Official Speeches.

502-02a. Official Record Set. Paper copies of presentations made by top-level USGS officials relating to program activities. Arranged chronologically by name of speaker. (See Chapter 1100 for audiovisual presentations).

☼ *Permanent.* Cut-off at the end of the fiscal year. Hold 2 years or until volume warrants and retire to FRC. Transfer to National Archives and Records Administration (NARA) in 5 year blocks when 20 years old.

Authority: NC1-57-81-2, Item 31a

502-02b. All other copies.

➤ Destroy in agency when no longer needed for reference.

502-02c. Copies of all other official USGS presentations and speeches by bureau employees, other than top-level officials.

➤ Destroy in agency when no longer needed for reference.

Authority: NC1-57-81-2, Item 31b

502-03. Information Requests Files.

Requests for information and copies of replies, involving no administrative actions, no policy decisions, and no special compilations or research and requests for and transmittals of publications, photographs, and other informational literature.

- Destroy when 3 months old.

Authority: GRS 14, Item 1

502-04. Acknowledgment Files.

Acknowledgment and transmittals of inquiries and requests that have been referred elsewhere for reply.

- Destroy 3 months after acknowledgment and referral.

Authority: GRS 14, Item 2

502-05. News Media Files.

Press service teletype news clips and similar materials. Includes news clippings and "informational only" copies of press releases and speeches from other offices.

- Destroy when 3 months old.

Authority: GRS 14, Item 3

502-06. Information Project Files.

Informational service project case files maintained in formally designated information offices.

- Destroy 1 year after close of file or 1 year after completion of project.

Authority: GRS 14, Item 4

502-07. Commendation and Complaint Correspondence Files.

Anonymous letters, letters of commendation, complaint, criticism and suggestion, and replies, excluding those on the basis of which investigations were made or administrative action taken and those incorporated into individual personnel records.

- Destroy when 3 months old.

Authority: GRS 14, Item 5

502-08. Non-Government Briefings.

Documents accumulated in the process of providing briefings of the mission and functions of the USGS to private organizations and individuals, including representatives of foreign governments.

- Destroy when no longer needed for current agency business or when 3 years old, whichever is later.

502-09. Community Relations.

Documents relating to measures taken to promote good relations between USGS activities and local communities.

- Destroy when no longer needed for current agency business or when 3 years old, whichever is later.

502-10. Public Ceremonies.

Documents relating to participation in public ceremonies and affairs, such as parades, public displays, fairs, celebrations, and observances of local and national holidays and comparable events.

- Destroy when no longer needed for current agency business or when 3 years old, whichever is later.

503. Electronic Mail and Word Processing System Copies.

503-01. Electronic Copies of Records.

Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this chapter. Also includes electronic copies of records created on electronic mail, spreadsheet, and word processing systems that are maintained for updating, revision, or dissemination.

503-01a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives and copies on shared network drives that are used only to produce the recordkeeping copy.

- Destroy/delete within 180 days after the recordkeeping copy has been produced.

503-01b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.

- Destroy/delete when dissemination, revision, or updating is completed.

600. Legal and Congressional Records

Legal services protect the legal and financial rights of the Government, the USGS, and persons directly affected by the activities of the USGS.

Chapter 600 Topics This section provides for the disposition of the following USGS legal and Congressional records:

601. Law and Litigation Records.

602. Congressional Records.

603. Inventions, Patents, Copyrights, and Agreements.

604. Electronic Mail (E-mail), Spreadsheet, and Word Processing System copies of Legal and Congressional records.

601. Law and Litigation files include the following records:

601-01	Law and Litigation General Files.
601-02	Law and Litigation Reports.
601-03	Solicitor's Office Correspondence.
601-04	Law Enforcement Files.
601-05	Litigation and Appeals Files.
601-06	Claims.
601-07	Witness Files.

602. Congressional Records include the following records:

602-01	Congressional Legislative Files.
602-02	Member Files.
602-03	Legislation Proposal Case Files.
602-04	Congressional and Legislative General Files.

603. Inventions, Patents, Copyrights, and Agreements include the following records:

603-01	Inventions Case Files.
603-02	True Copy Certifications.
603-03	Agreements.
603-04	Compliance Audit and Assessment Records.

604. E-mail, spreadsheet, and word processing system copy records for Legal and Congressional files include the following records:

604-01	Electronic copies of e-mail, spreadsheet, and word processing records created solely to produce the recordkeeping copy and electronic copies of e-mail and word processing records that are needed in addition to the recordkeeping copy for dissemination, revision, or updating
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What files in this section are important or considered permanent USGS records?

- Legislation proposal case files that affect the USGS and are maintained by the USGS Congressional Liaison Office.
- Successful patent files.
- Record copies of bureau agreements such as Cooperator (COOP)/Joint Funding Agreements, Cooperative Research and Development Agreements, Memorandum of Understandings/Memorandum of Agreements, and Military Interdepartmental Purchase Requests.

What files in this section are considered temporary USGS records?

- Law and litigation general files, reports, and routine correspondence.
- Solicitor's office correspondence.
- Law Enforcement files.
- Litigation and appeals case files.
- Claim case files.
- Witness files.
- Congressional records such as proposed Congressional bills, member files, legislative proposals, and general correspondence.
- Abandoned patent files and invention disclosure files.
- True copy certifications.
- Copies of agency agreements as well as copies of unsuccessful proposals.
- Compliance audit and assessment files.

Miscellaneous**Information regarding ongoing USGS litigation cases that involve freezing of USGS records.**

Correspondence and any related materials, in any media, located in any USGS office nationwide with reference to any of the following areas should be frozen until further notice. These areas are: 1) Indian Trust and Individual Indian files; 2) New Mexico (Cerro Grande) fire related files; 3) Coeur d'Alene Basin mining records; and 4) Federal Smoking and Tobacco policy and use records. Further and more specific information on these litigations, and any future litigations, may be obtained from the USGS Records Manager or your discipline or regional Records Liaison Officer.

Such records must be frozen and retained indefinitely since they are involved in litigations. Records should be maintained in the area of this schedule or appropriate bureau mission-specific schedule, where they normally would belong if no litigation were involved. Once official bureau notification is received that the litigation is concluded, then apply applicable disposition. (See NOTE below).

NOTE: Authorized disposition applied will be that approved disposition applicable to the records in the area of this schedule or the appropriate bureau mission-specific schedule where they are located. As an example, if the record is a Freedom of Information Act response, then apply the authorized disposition found in Chapter 500 of this schedule; or if the record concerns a county ground water record, then apply the authorized disposition found in the Water Resources mission-specific schedule.

Questions?

Contact the USGS Records Manager or your discipline or regional Records Liaison Officer.

**U.S. Geological Survey
Chapter 600. Legal and Congressional Records**

Cross Index

ITEM NUMBER	SUBJECT	SUPERSEDED CITATION
601	Law and Litigation Records	
601-01	Law and Litigation General Files	New Item
601-02	Law and Litigation Reports	New Item – See BOR LAW 2.00
601-03	Solicitor's Office Correspondence	New Item
601-04	Law Enforcement Files	New Item – See BOR LAW 4.00
601-05	Litigation and Appeals Files	New Item – See BOR LAW 5.00
601-06	Claims	New Item – See BOR LAW 5.10
601-07	Witness Files	New Item – See BOR LAW 5.20
602	Congressional Records	
602-01	Congressional Legislative Files	RCS/Item 601-01 and NC1-57-81-2, Item 29 (Slightly changed wording in Item and Disposition; Changed Item No.)
602-02	Member Files	
602-02a	Congressional Liaison Team (CLT) Official File Copies	New Item – See FEMA LEG-1 (N1-311-86-1 1B1)
602-02b	All Other Copies	New Item
602-03	Legislative Proposal Case Files	New Item – See BLM 16, Item 15a (NARA Job NC1-49-85-2, 21a) and See Draft FEMA LEG-12-3
602-04	Congressional and Legislative General Files	New Item
603	Inventions, Patents, Copyrights, and Agreements	

603-01	Inventions Case Files	
603-01a	Successful Patent Files	New Item
603-01b	Abandoned Patent Files	New Item
603-01c	Invention Disclosure Files	New Item
603-02	True Copy Certifications	New Item – See DOE 7, Item 11 (NN 162-85(1))
603-03	Agreements	
603-03a	Record Copy	New Item
603-03b	All Other Copies	New Item
603-03c	Proposals	New Item
603-04	Compliance Audit and Assessment Records	New Item
604	Electronic Mail, Spreadsheet, and Word Processing System Copies	
604-01	Electronic Copies of Records	
604-01a	Copies with no Further Admin Value	New Item
604-01b	Dissemination Copies	New Item

600. Legal and Congressional Records.

601. Law and Litigation Records.

601-01. Law and Litigation General Files.

General correspondence pertaining to law and litigation topics not otherwise covered in this schedule.

- Cut-off at the end of the fiscal year. Destroy 3 years after cut-off.

601-02. Law and Litigation Reports.

Miscellaneous reports pertaining to law and litigation.

- Cut-off at the end of each fiscal year. Destroy 5 years after cut-off.

601-03. Solicitor's Office Correspondence.

Correspondence received from the Department of the Interior Solicitor's Office either in response to a request by a USGS office for advice or sent to the USGS for informational purposes.

- Cut-off at the end of each fiscal year. Destroy 6 years after cut-off.

601-04. Law Enforcement Files.

Correspondence and related material pertaining to the maintenance of law and order. Case files consist of trespass and similar crimes occurring on USGS properties, theft, vandalism, unlawful entry, unauthorized occupation of land, and illegal activities on bureau-owned properties.

- Cut-off at the end of each fiscal year. Destroy 5 years after cut-off.

601-05. Litigation and Appeals Files.

Correspondence and related documents, such as discovery requests, listings of bureau contacts, and listings or copies of documents provided in response to discovery requests. Cases pertain to suits filed against the Federal Government, in general, or any of its Departments, agencies, or bureaus and involves searching and producing of USGS records.

- Cut-off at the end of the fiscal year. Destroy 10 years after issuance of final decision, or upon final ruling, if appealed, or upon withdrawal of appeal, whichever is later.

601-06. Claims.

Case files pertaining to claims. Includes, but not limited to, damage claims as a result of fire or property damage; tort claims; settlement agreements; investigative reports; damage appraisals; legal opinions; correspondence negotiating settlement or denial of claims; copies of summons, subpoenas, complaints, and court rulings; and copies of court proceedings in cases where litigation occurs. (If preferred, see Item 703-11 for filing of claims records in the budget area if preference is to file within that area).

- Break file at the end of the fiscal year. Cut-off file after settlement. Destroy 10 years after cut-off.

601-07. Witness Files.

Material relating to employees testifying as official witnesses in judicial proceedings. Includes such items as permission to testify, requests and authorizations, depositions, and statements.

- Cut-off at the end of the fiscal year. Destroy 5 years after cut-off.

602. Congressional Records.

602-01. Congressional Legislative Files.

Copies of proposed House and Senate bills and related documentation regarding USGS operations and related correspondence.

- Destroy when legislation is passed or when no longer needed, whichever is later.

Authority: NC1-57-81-2, Item 29

602-02. Member Files.

Copies of biographical information, correspondence, and related information.

602-02a. Congressional Liaison Team (CLT) official files maintained in the CLT.

- Break files at the end of each Congress (2 years) and transfer to the FRC. Destroy when 10 years old.

602-02b. All Other Copies.

- Cut-off at the end of the fiscal year. Destroy material when no longer needed for reference.

602-03. Legislative Proposal Case Files.

Maintained by the CLT. Consists of legislative proposals drafted by the USGS. Includes review comments, analyses, recommendations, and related documents.

- ☼ *Permanent.* Cut-off when legislation is enacted. Hold 10 years or until volume warrants and retire to FRC. Transfer to NARA 30 years after cut-off.

602-04. Congressional and Legislative General Files.

General correspondence pertaining to Congressional and legislative topics not otherwise covered in this schedule.

- Cut-off at the end of the fiscal year. Destroy 2 years after cut-off.

603. Inventions, Patents, Copyrights, and Agreements.

603-01. Inventions Case Files.

Specific case files pertaining to inventions developed by bureau employees including correspondence and data supporting invention reports on patent

applications. Typical case file contains the invention disclosure, the patent application, correspondence between the Patent and Trademarks Office and the USGS, the registered patent if it is issued, or patent abandonment documents if a patent is not issued or the application is withdrawn.

603-01a. Successful patent files.

➤ Cut-off files at the end of the fiscal year after the patent is issued. Transfer to the FRC 15 years after cut-off. FRC destroy 25 years after cut-off.

603-01b. Abandoned patent files.

➤ Cut-off files at the end of the fiscal year. Transfer to the FRC when volume warrants. Destroy when 20 years old.

603-01c. Invention disclosure files. Case files created in the bureau prior to filing for a patent, but for which no registration or application process is completed. Invention disclosure files contain a detailed description of the invention, drawings, correspondence, and other similar records.

➤ Cut-off files at the end of the fiscal year. Transfer to the FRC when volume warrants. Destroy when 20 years old.

NOTE: A review of files by the USGS Technology Enterprise Office must be conducted prior to destruction to ensure that alleged infringement claim of patent has been resolved.

603-02. True Copy Certifications.

Certifying or evidencing true copy nature of material submitted for publication in the Federal Register or elsewhere, including copy of material to be published, evidence of certification of true copy, letter of transmittal, and related correspondence and documents.

➤ Destroy when 1 year old.

603-03. Agreements.

Case files created to monitor and track agreements, such as Cooperator (COOP)/Joint Funding Agreements (JFAs), Cooperative Research and Development Agreements (CRADAs), Memorandum of Understandings (MOUs)/Memorandum of Agreements (MOAs), and Military Interdepartmental Purchase Requests (MIPRs). A typical file contains the agreement, correspondence, annual and progress reports, agreement amendments and renewals, and similar records. Originals should be filed in this legal and legislation records section. Copies of records may also be cross-filed in the bureau, discipline, division, or office budget and accounting files if expenditure or receipt of funds is involved within their area.

603-03a. Record Copy.

Case files maintained by the office having signatory authority for the instrument.

➤ Cut-off files at the expiration of the agreement and transfer to the FRC when volume warrants. Destroy 30 years after the agreement expires. If there

are any patents or income tied to the CRADA then it should be maintained as part of the licensing agreement file or the patent file and maintained *permanently*.

603-03b. All other copies.

➤ Cut-off at the end of the fiscal year. If maintained with financial schedules, retain according to appropriate financial disposition. For all other copies, destroy when no longer needed.

603-03c. Proposals. Any copies of agreements (or proposals) that were unsuccessful joint ventures and never approved will be filed in this section.

➤ Destroy when no longer needed.

603-04. Compliance Audit and Assessment Records.

Audit and assessment requests and proposals, work plans, work papers, correspondence, internal and external exhibits, appeals, legal opinions, and reports of findings. Examples include audits and assessments in areas such as safety, security, health, and environmental. NOTE: Use Item 702-08 for audits specific to financial operations and use Item 703-01 for accountable officer's records held for onsite audits by the General Accounting Office.

➤ Cut-off at the end of the fiscal year or when audit or assessment is complete, whichever occurs first. Destroy 5 years after cut-off.

604. Electronic Mail and Word Processing System Copies.

604-01. Electronic Copies of Records.

Electronic copies of records that are created on electronic mail, and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this chapter. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

604-01a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives and copies on shared network drives that are used only to produce the recordkeeping copy.

➤ Destroy/delete within 180 days after the recordkeeping copy has been produced.

604-01b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.

➤ Destroy/delete when dissemination, revision, or updating is completed.

700. Budget Preparation, Presentation, and Apportionment Records.

Records in the budget and financial areas.

Chapter 700 Topics This section provides for the disposition of the following USGS budget preparation, presentation, and apportionment records:

- 701. Budget Files.
 - 702. Financial Files.
 - 703. Accounting and Disbursement Files.
 - 704. Assessment Records.
 - 705. Expenditure Accounting Records.
 - 706. Electronic Mail (E-mail), Spreadsheet, and Word Processing System copies of budget preparation, presentation, and apportionment records.
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701. Budget files include the following records:

701-01	Budget Files.
701-02	General Budget Management and Administration Files.

702. Financial files include the following records:

702-01	General Financial Management Correspondence.
702-02	Budget Estimates, Justifications, and Annual Work Plan Files.
702-03	Budget Apportionment Files.
702-04	Financial Management and Program Coordination Background Records.
702-05	Financial Management and Program Coordination Reports Files.
702-06	Financial Management and Program Coordination Policy Files.
702-07	Funds and Funding Files.
702-08	Financial Audits and Claim Settlements.

703. Accounting and Disbursement files include the following records:

703-01	Accountable Officers' Files.
703-02	GAO Exceptions Files.
703-03	Certificates Settlement Files.
703-04	General Fund Files.

703-05	Accounting Administrative Files.
703-06	Accounting Systems Files.
703-07	Federal Personnel Surety Bond Files.
703-08	Taxation Files.
703-09	Telegrams.
703-10	Telephone Files.
703-11	Administrative and Tort Claims Files.
703-12	Waiver of Claims Files.
703-13	Appropriations.
703-14	Collection Procedures.
703-15	Unpaid Obligations.
703-16	Government Credit Card Files.

704. Assessment files include the following records:

704-01	Bureau Assessments (both reimbursable and appropriated funds).
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705. Expenditure Accounting files include the following records:

705-01	General Correspondence and Subject Files.
705-02	General Accounting Ledgers.
705-03	Appropriation Allotment Files.
705-04	Expenditure Accounting Posting and Control Files.
705-05	Payments-in-Lieu-of-Taxes (PILT) Files.

706. E-mail, spreadsheet, and word processing system copy records for Budget Preparation, Presentation, and Apportionment records include the following records:

706-01	Electronic copies of e-mail, spreadsheet, and word processing records created solely to produce the recordkeeping copy and electronic copies of e-mail and word processing records that are needed in addition to the recordkeeping copy for dissemination, revision, or updating
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What files in this section are important or considered permanent USGS records?

- Due to litigation, account and supporting documents pertaining to American Indians are to be retained indefinitely.

What files in this section are considered temporary USGS records?

- Project budget files.
- General budget and financial management files.
- Budget estimates, justifications, and annual work plans.
- Financial management and program coordination background records, reports, and policy files.
- Funds and funding files.
- Financial audits and claim settlements.
- Accountable officers' files.
- Federal Financial System files.
- Certificates settlement files.
- General fund files.
- Accounting administrative and systems files.
- Federal personnel surety bond files.
- Taxation files.
- Telegram and telephone files.
- Administrative and tort claims.
- Appropriation files.
- Collection procedures.
- Unpaid obligations.
- Government credit card files.
- General bureau assessment files.
- Expenditure accounting records.
- Payments-in-Lieu-of-Taxes files.

Questions?

Contact the USGS Records Manager or your discipline or regional Records Liaison Officer.

U.S. Geological Survey

Chapter 700. Budget Preparation, Presentation, and Apportionment Records

Cross Index

ITEM NUMBER	SUBJECT	SUPERSEDED CITATION
701	Budget	
701-01	Budget Files	
701-01a	Project Files Created and Maintained in any USGS Office that has a Primary Function Involving Budget and Financial Activities	RCS/Item 701-01 and NC1-57-82-4, Item 2b (Slightly changed wording in Item and Disposition; Changed Item No.)
701-01b	All Other Offices	New Item
701-02	General Budget Management and Administration Files	New Item – See GRS 5, Item 1
702	Financial Files	
702-01	General Financial Management Correspondence	
702-01a	Files in any USGS Office that has a Primary Function in the Financial Area	RCS/Item 702-01 and NC1-57-81-2, Item 12 (Slightly changed wording in Item and Disposition; Changed Item No.)
702-01b	All Other Offices	New Item
702-02	Budget Estimates, Justifications, and Annual Work Plan Files	
702-02a	Budget Estimates and Justifications Consolidated Files	RCS/Item 702-02a and NC1-57-81-2, Item 13a (Slightly changed wording in Item; Changed Item No.)
702-02b	Budget Estimates and Justification Files – Originating Office Submissions	
702-02b(1)	Budget Estimates and Justifications Files – Headquarters Office	New Item

702-02b(2)	Budget Estimates and Justifications Files – Field Offices	RCS/Item 702-02b and NC1-57-81-2, Item 13b (Slightly changed wording in Item; Changed Item No.)
702-03	Budget Apportionment Files	RCS/Item 702-05 and GRS 5, Item 4
702-04	Financial Management and Program Coordination Background Records	RCS/Item 702-03 and GRS 5, Item 2 (Slightly changed wording in Item)
702-05	Financial Management and Program Coordination Reports Files	
702-05a	Budget Annual Report	RCS/Item 702-04a and GRS 5, Item 3a (Slightly changed wording in Item)
702-05b	All Other Budget Reports	RCS/Item 702-04b and GRS 5, Item 3b (Slightly changed wording in Item)
702-06	Financial Management and Program Coordination Policy Files	New Item
702-07	Funds and Funding Files	New Item – See BOR FIN 3.00
702-08	Financial Audits and Claim Settlements	New Item – See BOR FIN 8.00
703	Accounting and Disbursement Files	
703-01	Accountable Officers' Files	
703-01a	Original or Official Copy of Accountable Officers' Accounts Maintained by USGS for Site Audit By the General Accounting Office (GAO)	RCS/Item 703-01a and GRS 6, Item 1a (Slightly changed wording in Item and Disposition)
703-01b	Memorandum or Extra Copies of Budget Officers' Returns	RCS/Item 703-01b and GRS 6, Item 1b (Slightly changed wording in Item)
703-01c	Federal Financial System	RCS/Item 703-01c and GRS 20, Item 3b (Slightly changed wording in Item)
703-02	GAO Exceptions Files	RCS/Item 703-02 and GRS 6, Item 2 (Slightly changed wording in Item)
703-03	Certificates Settlement Files	
703-03a	Certificates Covering Closed Account Settlements, Supplemental,	RCS/Item 703-03a and GRS 6, Item 3a (Slightly changed wording in Item)

	and Final Balance Settlements	
703-03b	Certificates Covering Periodic Settlements	RCS/Item 703-03b and GRS 6, Item 3b
703-04	General Fund Files	RCS/Item 703-04 and GRS 6, Item 4
703-05	Accounting Administrative Files	
703-05a	Files used for Workload and Personnel Management Purposes	RCS/Item 703-05a and GRS 6, Item 5a (Slightly changed wording in Item)
703-05b	All Other Files	RCS/Item 703-05b and GRS 6, Item 5b
703-06	Accounting Systems Files	
703-06a	Accounting Systems Files	New Item – See BOR FIN 6.00
703-06b	Accounting Systems Conversion	New Item – See BOR FIN 6.10
703-06c	Accounting Codes and Symbols	New Item – See BOR FIN 6.30
703-07	Federal Personnel Surety Bond Files	
703-07a	Official Copies of the Bond and Attached Powers of Attorney – Bonds Purchased after December 31, 1955	RCS/Item 703-06a(2) and GRS 6, Item 6a(2) (Changed Item No.)
703-07b	Other Bond Files	RCS/Item 703-06b and GRS 6, Item 6b (Slightly changed wording in Item; Changed Item No.)
703-08	Taxation Files	New Item – See BOR FIN 11.00
703-09	Telegrams	RCS/Item 703-09 and GRS 6, Item 9
703-10	Telephone Files	New Item – See GRS 3, Item 10
703-11	Administrative and Tort Claims Files	
703-11a	Claims Against the United States	RCS/Item 703-10a and GRS 6, Item 10a (Slightly changed wording in Item; Changed Item No.)
703-11b	Claims By the United States Subject to the Federal Claims Collection Standards	
703-11b(1)	Claims, which were Paid in Full or by Means of a Compromise Agreement	RCS/Item 703-10b(1) and GRS 6, Item 10b(1) (Changed Item No.)

703-11b(2)	Claims for which Collection Action has been Terminated	
703-11b(2)(a)	Claims for which the Government's Right to Collect was not Extended	RCS/Item 703-10b(2)(a) and GRS 6, Item 10b(2)(a) (Changed Item No.)
703-11b(2)(b)	Claims for which the Government is Entitled to Additional Time to Initiate Legal Action	RCS/Item 703-10b(2)(b) and GRS 6, Item 10b(2)(b) (Changed Item No.)
703-11b(3)	Claims, which the USGS Administratively Determines are not Owed to the United States after Collection Action was Initiated	RCS/Item 703-10b(3) and GRS 6, Item 10b(3) (Changed Item No.)
703-11c	Claims that are Affected by a Court Order or are Subject to Litigation Proceedings	RCS/Item 703-10c and GRS 6, Item 10c (Slightly changed wording in Item; Changed Item No.)
703-12	Waiver of Claims Files	
703-12a	Approved Waivers	RCS/Item 703-11a and GRS 6, Item 11a (Slightly changed wording in Item; Changed Item No.)
703-12b	Denied Waivers	RCS/Item 703-11b and GRS 6, Item 11b (Slightly changed wording in Disposition; Changed Item No.)
703-13	Appropriations	New Item – See BOR FIN 4.00
703-14	Collection Procedures	New Item – See BOR FIN 5.00
703-15	Unpaid Obligations	New Item – See BOR FIN 5.10
703-16	Government Credit Card Files	New Item – See Draft GSA (Pending NARA Approval)
704	Assessment Records	
704-01	Bureau Assessment (Both Reimbursable and Appropriated Funds)	
704-01a	Financial Records Relating to the Bureau Assessment Activities	New Item
704-01b	Miscellaneous Records Relating to Bureau Assessments	New Item

704-01c	Bureau Assessment Policies and Procedures	New Item
705	Expenditure Accounting Records	
705-01	General Correspondence and Subject Files	New Item – See GRS 7, Item 1
705-02	General Accounting Ledgers	RCS/Item 705-01 and GRS 7, Item 2 (Slightly changed wording in Disposition; Changed Item No.)
705-03	Appropriation Allotment Files	RCS/Item 705-02 and GRS 7, Item 3 (Changed Item No.)
705-04	Expenditure Accounting Posting and Control Files	
705-04a	Original Records	RCS/Item 705-03a and GRS 7, Item 4a (Slightly changed wording in Disposition; Changed Item No.)
705-04b	Copies	RCS/Item 705-03b and GRS 7, Item 4b (Changed Item No.)
705-05	Payments-in-Lieu-of-Taxes (PILT) Files	
705-05a	PILT Files – Headquarters and Center Finance Copies	New Item – See BLM 7, Item 5a (NARA Job NC1-49-85-2, 7/11a)
705-05b	PILT Files – All Other Copies	New Item – See BLM 7, Item 5b (NARA Job NC1-49-85-2, 7/11b)
706	Electronic Mail, Spreadsheet, and Word Processing System Copies	
706-01	Electronic Copies of Records	
706-01a	Copies with no Further Admin Value	New Item
706-01b	Dissemination Copies	New Item

700. Budget Preparation, Presentation, and Apportionment Records.

701. Budget.

701-01. Budget Files.

~~701-01a. Project files created and maintained in any USGS office that has a primary function involving budget and financial activities.~~

- ~~➤ Break file at the end of the fiscal year. Destroy 6 years after cut-off.~~

~~Authority: NC1-57-82-4, Item 2b~~

~~701-01b. All other offices.~~

- ~~➤ Cut-off at the end of the fiscal year. Destroy 2 years after cut-off or when no longer needed for reference, whichever is later.~~

701-02. General Budget Management and Administration Files.

~~General correspondence and other records relating to budget management and administration.~~

- ~~➤ Cut-off at the end of the fiscal year. Destroy 2 years after cut-off.~~

~~Authority: GRS 5, Item 1~~

702. Financial Files.

702-01. General Financial Management Correspondence.

Correspondence of a general nature pertaining to financial management and program coordination subjects including the preparation and submission of budget data; budgetary policies and procedures; disbursement activities; and the maintenance, control, and accountability of allocated funds.

~~702-01a. Files in any USGS office that has a primary function in the financial area.~~

- ~~➤ Cut-off at the end of the fiscal year. Destroy when 5 years old or when purpose has been served, whichever is sooner.~~

~~Authority: NC1-57-81-2, Item 12~~

~~702-01b. All other offices.~~

- ~~➤ Cut-off at the end of the fiscal year. Destroy 2 years after cut-off or when no longer needed for reference, whichever is later.~~

702-02. Budget Estimates, Justifications, and Annual Work Plan Files.

~~Copies of budget estimates and justifications prepared by the bureau and submitted to the Department of the Interior for consolidation.~~

702-02a. Budget estimates and justifications consolidated files. Maintained by the Headquarters Budget Office. Consists of appropriation language sheets, narrative statements, annual work plans, and related schedules and data.

- Destroy when 5 years old.

Authority: NC1-57-81-2, Item 13a

702-02b. Budget estimates and justifications files – originating office submissions.

702-02b(1). Budget estimates and justifications files – headquarters office copies. Other than the Headquarters Budget Office official collection.

- Cut-off at the end of the fiscal year covered by the budget. Destroy 3 years after cut-off.

702-02b(2). Budget estimates and justifications files – field office copies.

- Destroy when 2 years old or when purpose has been served, whichever is sooner.

Authority: NC1-57-81-2, Item 13b

702-03. Budget Apportionment Files.

Apportionment and reapportionment schedules, proposing quarterly obligations under each authorized appropriation.

- Destroy 2 years after the close of the fiscal year.

Authority: GRS 5, Item 4

702-04. Financial Management and Program Coordination Background Records.

Working papers, cost statements, rough data, and similar materials accumulated in the preparation of annual budget estimates, including duplicates of budget estimates and justifications and related appropriation language sheets, narrative statements, and related schedules; and originating offices' copies of reports submitted to budget offices.

- Destroy 1 year after the close of the fiscal year covered by the budget.

Authority: GRS 5, Item 2

702-05. Financial Management and Program Coordination Reports Files.

Periodic reports on the status of appropriation accounts and apportionment.

702-05a. Budget annual report (end of fiscal year).

- Destroy when 5 years old.

Authority: GRS 5, Item 3a

702-05b. All other budget reports.

- Destroy 3 years after the end of the fiscal year.

702-06. Financial Management and Program Coordination Policy Files.

Records that serve to establish policy or precedents pertinent to future and continuing actions for financial management and program coordination activities. Note: This file consists of policy for financial management and program coordination subjects that may not be included in the master set of bureau directives.

➤ Place in inactive file when canceled, superseded, or revoked. Destroy when no longer needed for reference purposes.

702-07. Funds and Funding Files.

Correspondence and records related to special fund accounts generally financed from sources earmarked by law. Records regarding the use of loans, trust funds, and special funds appropriated for emergencies and disaster relief. Includes, but not limited to, revolving fund, imprest fund, transfer of funds, water user funds, unobligated funds, unexpended funds, prevalidation of funds, appropriations carryovers, lapsed appropriations, unliquidated obligations, unobligated balances, and disaster relief fund.

➤ Cut-off at the end of the fiscal year. Destroy 6 years after cut-off.

702-08. Financial Audits and Claim Settlements.

Records pertaining to USGS accounts, audits of accounts of other entities with which USGS has working agreements, financial reviews, and internal review of financial operations. Examples include General Accounting Office (GAO) inquiries, travel audits, and financial audits. Also, includes correspondence regarding the procedures and methods for settling direct settlement claims, dormant claims, and deceased employee estate claims.

➤ Break files at the end of the fiscal year, cut-off when audit is completed. Transfer to FRC 2 years after cut-off. FRC destroy 7 years after cut-off.

703. Accounting and Disbursement Files.

703-01. Accountable Officers' Files.

703-01a. Original or official copy of accountable officers' accounts maintained by USGS for site audit by General Accounting Office (GAO) auditors. Includes statements of transactions and accountability, collection schedules, collection vouchers, disbursement schedules and vouchers, and all other schedules, vouchers, or documents used as schedules or vouchers, exclusive of freight records and payroll records. Accounts and supporting documents pertaining to American Indians are not authorized for disposal (see Note). Also, exclude accounts and supporting documents pertaining to freight records or payroll records.

Since USGS is operating under an integrated accounting system, certain required documents, supporting vouchers and/or schedules are included in the site audit records. Site audit records include, but are not limited to, the Standard Forms (SF) and Optional Forms (OF) listed below. Also included are equivalent agency forms that document the basic financial transaction as described above.

SF 215, Deposit Ticket
SF 224, Statement of Transactions
SF 1012, Travel Voucher
SF 1034, Public Voucher for Purchases and Services Other Than Personal
SF 1038, Advance of Funds Application and Account
SF 1047, Public Voucher for Refunds
SF 1069, Voucher for Allowance at Foreign Posts of Duty
SF 1080, Voucher for Transfer Between Appropriations and/or Funds
SF 1081, Voucher and Schedule of Withdrawals and Credits
SF 1096, Schedule of Voucher Deductions
SF 1097, Voucher and Schedule to Effect Correction of Errors
SF 1098, Schedule of Canceled Checks
SF 1113, Public Voucher for Transportation Charges
SF 1129, Reimbursement Voucher
SF 1145, Voucher for Payment Under Federal Tort Claims Act
SF 1154, Public Voucher for Unpaid Compensation Due a Deceased Civilian Employee
SF 1156, Public Voucher for Fees and Mileage
SF 1164, Claim for Reimbursement for Expenditures on Official Business
SF 1166, Voucher and Schedule of Payments
SF 1185, Schedule of Undeliverable Checks for Credit to Government Agencies
SF 1218, Statement of Accountability (Foreign Service Account)
SF 1219, Statement of Accountability
SF 1220, Statement of Transactions According to Appropriation, Funds, and Receipt Accounts
SF 1221, Statement of Transactions According to Appropriation, Funds, and Receipt Accounts (Foreign Service account)
OF 1114, Bill of Collection
OF 1114A, Official Receipt
OF 1114B, Collection Voucher
➤ Cut-off at close of fiscal year in which final payment is made. Destroy 6 years and 3 months after cut-off.

Authority: GRS 6, Item 1a

(NOTE: Accounts and supporting documents pertaining to American Indians are not authorized for disposal. Such records must be retained indefinitely since they may be needed in litigation involving the Government's role as trustee of property held by the Government and managed for the benefit of Indians.)

703-01b. Memorandum or extra copies of budget officers' returns including statements of transactions and accountability, all supporting vouchers, schedules, and related documents not covered elsewhere in this schedule, excluding freight records covered by the 304 series and payroll records covered by the 417 series.

- Destroy when 1 year old.

Authority: GRS 6, Item 1b

703-01c. Federal Financial System (FFS). This automated, integrated, standardized accounting system contains accounting, financial and management records, which support bureau financial operations. The data contained in the FFS consist only of the same information as is contained in all or portions of the disposable paper records in the official file (Item 703-01a), which it duplicates.

- Delete 6 years and 3 months after period covered by account or when no longer needed, whichever is sooner.

Authority: GRS 20, Item 3b

703-02. GAO Exceptions Files.

GAO notices of exceptions, such as SF 1100, formal or informal, and related correspondence.

- Destroy 1 year after exception has been reported as cleared by GAO.

Authority: GRS 6, Item 2b

703-03. Certificates Settlement Files.

Copies of certificates and settlement of accounts for accountable officers, statements of differences, and related records.

703-03a. Certificates covering closed account, supplemental, and final balance settlements.

- Destroy 2 years after date of settlement.

Authority: GRS 6, Item 3a

703-03b. Certificates covering periodic settlements.

- Destroy when subsequent certificate of settlement is received.

Authority: GRS 6, Item 3b

703-04. General Fund Files.

Records relating to availability, collection, custody, and deposit of funds including appropriation, warrants, and certificates of deposit, other than those records covered by Item 703-01.

- Destroy when 3 years old.

Authority: GRS 6, Item 4

703-05. Accounting Administrative Files.

Correspondence, reports, and data relating to voucher preparation, administrative audit, and other accounting and disbursing operations.

703-05a. Files used for workload and personnel management purposes.

- Destroy when 2 years old.

Authority: GRS 6, Item 5a

703-05b. All other files.

- Destroy when 3 years old.

Authority: GRS 6, Item 5b

703-06. Accounting Systems Files.

703-06a. Accounting Systems Files. Correspondence regarding the administration of accounting systems, including studies for centralization, decentralization, and similar issues. Correspondence regarding the establishment and operation of data processing systems in the broad administrative areas of financial management and program coordination.

- Cut-off at the end of the fiscal year. Destroy 3 years after cut-off.

703-06b. Accounting Systems Conversion. Documentation recording the conversions from one accounting system to another.

- Cut-off at the end of the fiscal year. Transfer to FRC 10 years after cut-off. Destroy 25 years after cut-off.

703-06c. Accounting Codes and Symbols. Correspondence requesting establishing fund symbols and title (fiscal) for USGS accounts and finance offices.

- Cut-off at the end of the fiscal year. Destroy 6 years after cut-off.
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703-07. Federal Personnel Surety Bond Files.

703-07a. Official copies of the bond and attached powers of attorney. Bonds purchased after December 31, 1955.

- Destroy 15 years after the end of the bond premium period.

Authority: GRS 6, Item 6a(2)

703-07b. Other bond files, including other copies of bonds, designations of accountable officers and agents, and related documents.

- Destroy when bond becomes inactive or after the end of the bond premium period.

Authority: GRS 6, Item 6b

703-08. Taxation Files.

Correspondence and material related to taxation. Includes, but not limited to, payments in lieu of taxes, taxation of USGS owned property, taxation of unpatented entries, sales and use taxes, material regarding tax exemption certificates and tax exemption identification cards, unemployment and social security tax, and income taxes.

- Cut-off at the end of the fiscal year. Destroy 3 years after cut-off.

703-09. Telegrams.

Originals and copies of telegrams filed in support of telegraph bills.

- Destroy after GAO audit or when 3 years old, whichever is sooner.

Authority: GRS 6, Item 9

703-10. Telephone Files.

Telephone statements and toll slips.

- Destroy 3 years after period covered by related account.

Authority: GRS 3, Item 10

703-11. Administrative and Tort Claims Files.

(If preferred, see Item 601-07 for filing of claims records in the legal area if preference is to file within that area).

703-11a. Claims against the United States. Records relating to claims against the United States for monies which have been administratively (1) disallowed in full or (2) allowed in full or in part, and final payment of the amount awarded, excluding claims covered by Item 703-11c below.

- Destroy when 6 years and 3 months old.

Authority: GRS 6, Item 10a

703-11b. Claims by the United States subject to the Federal Claims Collection Standards and 28 U.S.C. 2415 or 31 U.S.C. 3716(c)(1). Records relating to claims for money or property, which were administratively determined to be due and owing to the United States and which are subject to the Federal Claims Collection Standards (4 CFR Chapter II) excluding claims covered under Item 703-11c below.

703-11b(1). Claims, which were paid in full or by means of a compromise agreement pursuant to 4 CFR Part 103.

- Destroy when 6 years and 3 months old.

Authority: GRS 6, Item 10b(1)

703-11b(2). Claims for which collection action has been terminated under 4 CFR Part 104.

703-11b(2)(a). Claims for which the Government's right to collect was not extended.

- Destroy 10 years and 3 months after the year in which the Government's right to collect first accrued.

Authority: GRS 6, Item 10b(2)(a)

703-11b(2)(b). Claims for which the Government is entitled (per 28 U.S.C. 2415) to additional time to initiate legal action.

- Destroy 3 months after the end of the extended period.

Authority: GRS 6, Item 10b(2)(b)

703-11b(3). Claims, which the USGS administratively determines are not owed to the United States after collection action was initiated.

- Destroy when 6 years and 3 months old.

Authority: GRS 6, Item 10b(3)

703-11c. Claims that are affected by a court order or are subject to litigation proceedings.

- Destroy when the court order is lifted, litigation is concluded, or when 6 years and 3 months old, whichever is later.

Authority: GRS 6, Item 10c

703-12. Waiver of Claims Files.

Records relating to waiver of claims of the United States against a person, arising out of an erroneous payment of pay allowances, travel expenses, or relocation expenses to an employee of the USGS, including bills of collection, requests for waiver of claims, investigative reports, decisions by USGS and/or Office of Hearings and Appeals (OHA) approving or denying the waiver, and related records.

703-12a. Approved waivers - agencies may approve amounts not aggregating to more than \$1,500 or OHA may approve any amount.

- Destroy 6 years and 3 months after the close of the fiscal year in which the waiver was approved.

Authority: GRS 6, Item 11a

703-12b. Denied waivers.

- Destroy with related claims filed in accordance with Items 703-10b and 703-10c of this schedule.

Authority: GRS 6, Item 11b

703-13. Appropriations.

Records pertaining to the scheduling of major programs prior to the actual appropriation. Scheduling activity involves budget estimates and justifications for appropriation such as planning, programming, and budgeting; illustrative material and other graphics accompanying USGS's budget presentation to Congress; allocation of appropriations, allotment accounts, appropriation accounting, and reporting; the use and withdrawal of funds; and reprogramming of funds.

- Cut-off at the end of the fiscal year. Destroy 5 years after cut-off.

703-14. Collection Procedures.

Correspondence pertaining to bureau procedures and methods used for collecting monies due to the United States. Include correspondence regarding such things as the preparation, distribution, loss, theft, undelivered, mutilation, and

invalid addresses that may be encountered in the processing and mail delivery of official government checks. Include copies of bills for collection, daily abstract of remittance, and late interest charges.

- Cut-off at the end of the fiscal year. Destroy 3 years after cut-off.

703-15. Unpaid Obligations.

Correspondence regarding unpaid obligations against the USGS that cannot be filed by a specific purchase order or transaction number. Includes unclaimed monies due individuals whose whereabouts are unknown.

- Cut-off at the end of the fiscal year. Destroy 6 years after cut-off.

703-16. Government Credit Card Files.

Files containing government credit card approving official and cardholder records. Documents include account set-up and account maintenance forms, renewal information, delegations of authority, funding authorization memoranda, and other correspondence for each cardholder within an approving official account.

- Cut-off at the end of the fiscal year after all accounts on the master account are closed. Destroy 2 years after cut-off.
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704. Assessment Records.

Applied at various levels throughout the USGS. Assessments are intended to provide funding needed to pay for overhead costs and non-overhead costs that are appropriately funded by assessments.

704-01. Bureau Assessments (both reimbursable and appropriated funds).

The process for funding administrative overhead and common use services (total overhead) that are not covered by a specific budget line item and cannot be charged to a specific direct program.

704-01a. Financial records relating to the bureau assessment activities.

- Cut-off at the end of the fiscal year. Destroy 6 years and 3 months after cut-off.

704-01b. Miscellaneous records including, but not limited to, reports, memoranda, and e-mails that relate to bureau assessments.

- Cut-off at the end of the fiscal year. Destroy 3 years after cut-off or when no longer needed for administrative purposes, whichever is later.

704-01c. Bureau Assessment Policies and Procedures.

Policies and procedures pertinent to bureau assessment activities. NOTE: This file consists of policy for bureau assessments not included in the master set of bureau directives.

- Place in inactive file when canceled, superseded, or revoked. Destroy when no longer needed for reference purposes.

705. Expenditure Accounting Records.

705-01. General Correspondence and Subject Files.

Correspondence or subject files maintained by operating units responsible for expenditures accounting, pertaining to their internal operations and administration.

- Cut-off at the end of the fiscal year. Destroy 2 years after cut-off.
Authority: GRS 7, Item 1

705-02. General Accounting Ledgers.

General accounting ledgers, showing debit and credit entries and reflecting expenditures in summary.

- Cut-off at the end of the fiscal year. Destroy 6 years and 3 months after the close of the fiscal year involved.
Authority: GRS 7, Item 2

705-03. Appropriation Allotment Files.

Allotment records showing status of obligations and allotments under each authorized appropriation.

- Destroy 6 years and 3 months after the close of the fiscal year involved.
Authority: GRS 7, Item 3

705-04. Expenditure Accounting Posting and Control Files.

Records used as posting and control media, subsidiary to the general and allotment ledgers, and not covered elsewhere in this schedule.

705-04a. Original records.

- Cut-off at the end of the fiscal year. Destroy 6 years 3 months after the close of the fiscal year involved.
Authority: GRS 7, Item 4a

705-04b. Copies.

- Destroy when 2 years old.
Authority: GRS 7, Item 4b

705-05. Payments-in-Lieu-of-Taxes (PILT) Files.

Records documenting payments made to units of local governments in lieu of taxes to ameliorate the fiscal burden of tax-exempt public land within their boundaries.

705-05a. PILT Files. Headquarters and Bureau Cost Center Finance Copies.

- Cut-off at the end of the fiscal year. Transfer to FRC 5 years after cut-off. Destroy 15 years after cut-off.

705-05b. PILT Files – all other copies.

- Cut-off at the end of the fiscal year. Destroy 5 years after cut-off.
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706. Electronic Mail and Word Processing System Copies.

706-01. Electronic copies of records.

Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this chapter. Also includes electronic copies of records created on electronic mail, spreadsheet, and word processing systems that are maintained for updating, revision, or dissemination.

706-01a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives and copies on shared network drives that are used only to produce the recordkeeping copy.

- Destroy/delete within 180 days after the recordkeeping copy has been produced.

706-01b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.

- Destroy/delete when dissemination, revision, or updating is completed.