



Version	Date	Author	Description of Change
1.0	3/2/11	[REDACTED]	Original.
1.1	4/4/13	[REDACTED]	<ul style="list-style-type: none"> • Two-year review and update. • Revised 'lifecycle' definition (sec 3.0) to reflect USGS life cycle model.

USGS EROS POLICY

COORDINATION:

[REDACTED]

EROS Director Deputy Director Administrative Officer

SUBJECT / TITLE: Electronic Records Preservation Policy

DATE: April 4, 2013

VOL / INDEX #: EROS-POL-02

PREPARED BY: **Copies will be provided to:**
[REDACTED]

Preparer Date Supervisor Date

OTHER COORDINATION: GS-N-EDC Federal Employees
CORs distribute to contracts.

STATUS: Permanent
 Temporary

EXPIRATION DATE: April 3, 2015

PROCEDURE / MEMO: Original
 Supersedes (EROS-POL-02 Electronic Records
 Preservation Policy, v1.0, dated 3/2/11)

ATTACHMENT TO: N/A

PURPOSE: To serve as a guide to preserving USGS EROS electronic
administrative and scientific records.

UTILIZATION: Daily, Weekly, Monthly, Other

TEXT: Policy follows on succeeding pages.

ELECTRONIC RECORDS PRESERVATION POLICY OF THE USGS EROS CENTER

1.0 References.

Federal Records Act of 1950

<http://www2.ed.gov/policy/gen/leg/fra.html>

USGS Manual 431.1, Records Management Program

<http://www.usgs.gov/usgs-manual/410/431-1.html>

Failure Trends in a Large Disk Drive Population (Google Hard Disk Study)

http://static.googleusercontent.com/external_content/untrusted_dlcp/research.google.com/en/us/archive/disk_failures.pdf

International Standards Organization ISO 19115:2003

http://www.iso.org/iso/catalogue_detail.htm?csnumber=26020

Federal Geographic Data Committee Content Standard for Digital Geospatial Metadata

<http://www.fgdc.gov/metadata/geospatial-metadata-standards#csdgm>

USGS Administrative Records Schedule

<http://internal.usgs.gov/gio/irm/grds.html>

USGS Science Schedules

<http://internal.usgs.gov/gio/irm/fmref2.html>

2.0 Introduction.

This policy establishes specific guidelines under which USGS EROS electronic records are effectively and efficiently managed throughout their useful life to facilitate the accomplishment of USGS EROS programmatic and administrative missions, to preserve official USGS EROS records in accordance with applicable statutory and regulatory requirements, and to promote access to information by USGS staff, partners, researchers, and the public.

The Federal Records Act of 1950 requires agencies to establish a records management program, defined as a planned, coordinated set of policies, procedures, and activities needed to manage its recorded information. Essential elements include issuing up-to-date records management directives, properly training those responsible for implementation, and carefully evaluating the results to ensure adequacy, effectiveness, and efficiency. This policy serves as one of those records management elements for USGS EROS electronic records.

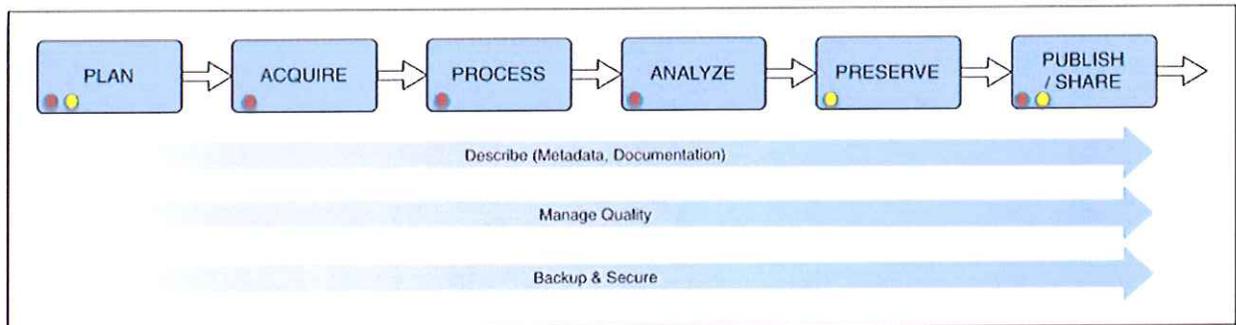
3.0 Definitions.

Record. Data or information that has been fixed on some medium; that has content, context, and structure; and that is used as an extension of human memory or to demonstrate accountability. Data or information in a fixed form that is created or received in the course of individual or institutional activity and set aside (preserved) as evidence of that activity for future reference.

Permanent Record. Materials created or received in the conduct of their affairs intended to be preserved because of the enduring value contained in the information they contain or as evidence of the functions and responsibilities of their creator. **[Never to be destroyed.]**

Temporary Record. A record of ephemeral value that can be destroyed immediately or after a specified time period. [Time period ranges from a few months to many years.]

Lifecycle. The USGS has endorsed a life cycle model that applies to all scientific records that the bureau generates or receives. That model, and the respective roles inherent to the model, are displayed below:



(source: <http://www.usgs.gov/datamanagement/why-dm/lifecycleoverview.php>)

Continuity of Operations Plan. Continuity of Operations [Plan], as defined in the National Security Presidential Directive-51/Homeland Security Presidential Directive-20 (NSPD-51/HSPD-20) and the National Continuity Policy Implementation Plan (NCP/IP), is an effort within individual executive departments and agencies to ensure that Primary Mission Essential Functions (PMEFs) continue to be performed during a wide range of emergencies, including localized acts of nature, accidents, and technological or attack-related emergencies.

(source: <http://www.fema.gov/about/org/ncp/coop/index.shtm>)

Vital Records. Vital records are those that are needed to perform the most critical functions of the agency and those needed to protect legal and financial rights of the Government and of the persons affected by its actions. Vital records also include

emergency plans and related records that specify how an agency will respond to an emergency. The informational content of records series and electronic records systems determines which are vital records. Only the most recent and complete sources of the information are vital records.

(source: <http://www.archives.gov/records-mgmt/vital-records/>)

Long-Term. A period of time long enough for there to be concern about the impacts of changing technologies, including support for new media and data formats, and of a changing user community, on the information being held in a repository. This period extends into the indefinite future.

(source: <http://public.ccsds.org/publications/archive/650x0b1.pdf>)

Off-Site. Used to keep copies of vital (essential) records to increase the chances that at least one copy will survive a disaster. [A physical location off the USGS EROS campus.]

(source: A Glossary of Archival and Records Terminology," Society of American Archivists 2004)

Personally Identifiable Information. Personally identifiable information is information that can be used to distinguish or trace your identity. Examples include your social security number or medical records, or information that, when combined or used with other identifying information, is linked or linkable to a specific individual.

(source: http://internal.usgs.gov/gio/security/pii_faqs.html)

Disposition. The final destruction or transfer to (an) archive(s) as determined by their appraisal.

(source: A Glossary of Archival and Records Terminology," Society of American Archivists 2004)

4.0 Policy Guidance.

4.1 Roles and Responsibilities.

Project Managers. Primarily science records are dealt with by Project Managers who must ensure the preservation of electronic records throughout their expected life.

Archivist. Responsible for providing guidance, oversight, and policy related to the lifecycle of administrative and scientific records. Works with Project Managers and all staff on issues related to records management, appraisal, and preservation.

All Government and Contract Staff. Must keep up to date on their personal records management responsibilities, bringing all issues to the attention of the Archivist.

4.2 Guidelines.

Purpose. This policy establishes specific guidelines under which USGS EROS electronic records are effectively and efficiently managed throughout their life cycle to facilitate the accomplishment of USGS EROS programmatic and administrative missions, to preserve official USGS EROS records in accordance with applicable statutory and regulatory requirements, and to promote access to information by USGS staff, partners, researchers, and the public.

Scope. This policy addresses all electronic records made or received by USGS EROS under federal law or in connection with the transaction of public business, and preserved as evidence of USGS EROS functions, organization, and activities or because of the value of the information they contain. This Policy applies to all USGS EROS personnel, both Government and contract.

Records Schedules. Every administrative and science electronic record is to be referenced on USGS records schedules. These schedules, required by law for every Federal agency, describe the records, determine if they are temporary (disposable at some point) or permanent (become part of the National Archives and Records Administration (NARA)). The schedule also details when disposal, legal-, and physical-transfer occur. For administrative records, the time frames are usually within a few years. For science records, the time frame is usually in terms of decades. Any administrative or science electronic record not currently included on a records schedule should be brought to the attention of the Archivist by the Project Manager. The Archivist will work with the USGS Records Officer to remedy.

The USGS administrative schedule can be found at:

<http://internal.usgs.gov/gio/irm/grds.html>

The USGS science schedules can be viewed at:

<http://internal.usgs.gov/gio/irm/fmref2.html>

Storage Standards. Proper temperature and relative humidity levels play critical roles in preserving information on electronic media. The recommended temperature threshold is **65 degree** Fahrenheit and the target relative humidity is **35 percent**. Maintaining these monthly averages is acceptable along with the goal of minimizing peak occurrences of levels exceeding the thresholds. These levels apply to magnetic disk, magnetic tape, and optical media.

Copies. It is recommended that all permanent science records be maintained in **three** distinct copies. The copies can be stored on hard disk, magnetic, or optical media. On-site copies should be physically separated, i.e., not stored on the same system. One copy should be off-site, along with the corresponding metadata. All off-site copies should be identified and coordinated through the Archivist.

Access and Metadata. Outside of personal identifiable information or restricted data, and especially science records, providing timely access should be a common objective. All access systems will require sufficient metadata allowing researchers to discover, be informed of, and to acquire records that USGS EROS manages. While preservation is of paramount importance, access is the next element to be addressed. Providing metadata sufficient to populate the Federal Geographic Data Committee Content Standard for Digital Geospatial Metadata and/or the International Standards Organizations 19115:2003 standard should be attained.

Storage Refresh. All hardware, software, firmware, and media need to be refreshed at some point. Technology changes so fast that it is recommended that all electronic hardware, software, firmware, and media be reviewed for migration or transcription needs within a **three- to five-year period**. Note the Google study on hard disks failure referenced. While this short period will be challenging to address, it is incumbent upon all who oversee electronic Federal records to ensure that they are preserved and maintained through their useful life. Magnetic media stored in the USGS EROS Archive is tracked by type and age. When media in the EROS Archive has exceeded the three- to five-year period the Project Manager will be contacted by the Archivist to determine if the media need to be migrated or can be disposed. All dispositions must be coordinated through the Archivist to ensure National Archives and Records Administration, Department of the Interior, U.S. Geological Survey, and EROS policies are followed.

5.0 Appendices.

N/A