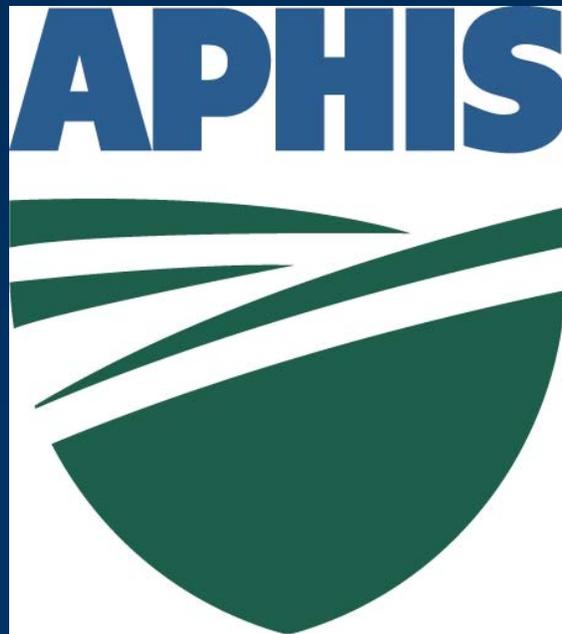


Records Management in APHIS



Purpose

- 📄 Explain benefits of records management
- 📄 Define APHIS records management responsibilities
- 📄 Describe the records scheduling process



Why Manage Records?

- Provide efficient retrieval of information you need to do your job
- Protect legal rights of citizens and the government
- Ensure proper accountability and responsive government
- Save institutional memory
- Preserve the historical record



Why Manage Records?

- Move records to new electronic systems
- Establish record keeping requirements for current and future business processes
- Save space, time, and money

What's in it for me?

You are a Federal employee and are subject to the laws and regulations covering Federal records

You must manage records so as not to make mistakes that put you or your agency in jeopardy

Mistakes that you don't want to read about in the morning paper!

The Washington Post FINAL
TUESDAY, OCTOBER 26, 2010

INS "Failure" Cited in Visa Case

Charges
ings
riper Case

FBI Management Will Probe Failure to Produce Papers in McVeigh Case

Putin Talks Tough on Terrorism

Straddling the Economic Divide

Up to 40,000 Tax Returns Lost in PA Facility

Many Voters Wary as Crucial Election Nears

INSIDE
Out of the Shadows

NEWS SUMMARY

The New York Times Late Edition
NEW YORK, WEDNESDAY, OCTOBER 26, 2010

Interior Dept. Accounting System Faulted

Papers Found During Fifth Search at Federal Facility

Failure Blamed on Storage Lapses

Dept of Interior Admits Some Indian Trust Records "No Longer Exist"

Auditors Say U.S. Agencies Lose Track of Billions

INSIDE
U.S. Citizens Bewildered

Old-Fashioned Graft

NEWS SUMMARY

Initial Steps in Managing Information

- Information ... *recorded* ... becomes
- Documentary material
- Circumstances of its creation/receipt make it either
 - A Federal Record
 - Not a record
 - Personal Material



What Are Federal Records?

 Recorded information regardless of media or format

 Made or received by law or in the course of transacting federal business *and*



Federal Records are . . .

 Preserved as evidence of the organization, functions, policies, decisions, transactions or other activities of the government

 or for their historical and evidential value



Federal Records Include...

Traditional Documentation: Minutes, Directives, Forms, and Correspondence

 --Case and Subject Files

Other documentation:

 *Memorandum for the record* summarizing informal meetings, discussions, and telephone calls

 *Record set* of agency publications

 *Audiovisual records*, including posters, dealing with agency functions and activities

 *Cartographic, architectural, and engineering records* produced by an agency and indexes

Federal Records Also Include:

- Individual personnel folders
- Working papers/files that contain unique information on an agency's policies or decisions
- Final plans and "as built" drawings
- Databases that contain information on socioeconomic topics such as trade, education, health, or behavior
- E-mail and attachments transmitted in conducting agency business

SUMMARY: All documentation created or received in accordance with law or in the conduct of business are Federal records

Items That Are Not Federal Records

- ⊗ Extra copies of documents maintained *solely* for convenience of reference
- ⊗ Library or museum materials preserved *solely* for reference or exhibition purposes
- ⊗ Stocks of agency publications and blank forms *but excluding the record set of publications*
- ⊗ Other examples:
 - ⊗ Vendor catalogs and trade journals
 - ⊗ Copies of agency directives maintained by *other* than the issuing component(s) of the agency
 - ⊗ Letters received by employees concerning personal business (*personal materials must be maintained separately from records*)

Records Management Overview

- 👉 Planning
- 👉 Organizing
- 👉 Controlling
- 👉 Directing
- 👉 Promoting
- 👉 Training

and other activities

Relating to:

- 📁 Records Creation and Receipt
- 📁 Maintenance and Use
- 📁 Final Disposition

Records Management Objectives

- To achieve adequate and proper documentation of agency activities

and . . .

- To provide for the effective and economical management of agency operations

Effective RM Programs

- ◆ Establish and implement recordkeeping requirements for all records
- ◆ Establish file plans for recordkeeping units
- ◆ Conduct record inventories
- ◆ Submit and implement approved schedules for all records
- ◆ Train all personnel at all levels
- ◆ Monitor compliance, revise procedures



Statutory Foundations

- Federal Records Act (44 U.S.C. 29)
 - Agency head is responsible for maintaining adequate and proper documentation of agency activities
 - NARA provides general oversight for RM throughout the Federal Government
- Chapter 36 C.F.R.
 - Parts 1200-1290



Statutory Perspectives . . .

- Freedom of Information Act, 1966
- Privacy Act, 1974
- Paperwork Reduction Act, 1995
 - minimize paperwork burden on public
 - establish federal information policy
 - identifies information as a resource
 - 5-year IRM plans implemented
- Gov't Performance & Results Act, 1995
- Information Technology Management Reform Act (Clinger-Cohen), 1996

National Archives' Responsibilities

- 🏛️ Issue regulations and guidance
- 🏛️ Provide education and training
- 🏛️ Issue General Record Schedules (GRS)
 - 🏛️ Administrative and Housekeeping records
 - 🏛️ Mandatory dispositions across the Federal Government
- 🏛️ Assist agencies in developing record schedules for unique program records

NARA's Responsibilities . . .

-  Appraise records for historical value
-  Approve disposition authorities for agency (program) records
-  Maintain, preserve, and provide access to permanently valuable records
-  Government oversight of agency RM programs and practices

APHIS RM Responsibilities

- ✉ Identify all Federal records and submit disposition schedules to NARA for approval
- ✉ Provide safeguards against unauthorized removal or destruction of Federal records
- ✉ Maintain an active RM program for all records throughout their life cycle



APHIS Responsibilities, continued

- ☒ Implement *recordkeeping requirements* for all functions and activities and all media at all levels and at all locations
- ☒ Conduct *self-evaluations* of the records management program
- ☒ Provide records management training and guidance to all APHIS staff

Records Management Council

- Role of Program Reps

- ↓ Learn records responsibility
- ↓ Make records management a program priority
- ↓ Conduct risk assessments
- ↓ Assign resources, and budget for education and training
- ↓ Establish *recordkeeping requirements* and a good *file plan* for records, regardless of media

Role of RM Council Reps, continued

- ↓ Ensure that the inventory and records schedule are current and the records schedule is properly implemented
- ↓ Cooperate in the identification of vital records
- ↓ Make records and staff accessible to the records officer and to NARA for inspection and appraisal
- ↓ Represent their program to the Council

Records Disposition Schedules

← *Schedules provide Agencies with the legal authority to destroy temporary records and preserve permanent records*



Scheduling Process Overview

- ☹️ Inventory--Locate and describe records
 - ☹️ Develop dispositions (retention information)
- ☹️ Agency submits a Standard Form 115
 - ☹️ Consults with APHIS Records Officer
- ☹️ Appraisal process
 - ☹️ NARA reviews and logs in job
 - ☹️ Appraiser prepares appraisal report (may need to visit office and review records)

NARA Schedule Review Process

- ☹️ Send to internal NARA stakeholders for review--5-7 days allowed
- ☹️ Publish Federal Register Notice
 - ☹️ Public can request copies of job
 - ☹️ Open 45 days
 - ☹️ Public comments--30 days to comment
 - ☹️ If comments received, possible changes in schedule negotiated
- ☹️ Final NARA review and concurrence
 - ☹️ Archivist of the U.S. signs job

What you can do right now:

- ⚡ Become familiar with APHIS' Records Management Schedules:
 - ⚡ Identify records of your unit that aren't included
 - ⚡ Work with APHIS' Records Officer to get them scheduled
- ⚡ Learn how to handle e-mail
- ⚡ Develop policy for recordkeeping requirements

Remember, records enable you to:

← *Properly Transact Government Business*

← *Make Timely and Informed Decisions*

← *Accomplish Your Mission*

In Summary....

- ☞ APHIS business information is contained in your records
- ☞ Your records must be managed to:
 - ☞ meet APHIS' business needs
 - ☞ comply with legal requirements and ensure government accountability
 - ☞ meet the needs of stakeholders
 - ☞ protect records of enduring value

For Additional Information:

Contact your program's RM Council representative for guidance on :

-  media choices
-  retention issues
-  storage issues
-  records policies

or e-mail the APHIS
records management

team at: records@aphis.usda.gov

Preservation of the History of APHIS

Two Examples

RG 463, Records of the Animal and Plant Health Inspection Service , 1868-, *in the National Archives at College Park, MD*

The Record Group Concept: NARA arranges its holdings according to the archival principle of provenance. This principle provides that records be attributed to the agency that created or maintained them and arranged as they were filed when in active use. In the National Archives this takes the form of numbered record groups, with each record group comprising the records of a major government entity, usually a bureau or an independent agency. Most record groups include records of any predecessors of the organization named in the title of the record group.

Folder:
"Quarantine No.2"
Regulatory Branch
Records
Plant Protection
Division
The Federal
Horticultural Board,
1912-1928, was an
APHIS predecessor
agency

Issued September 28, 1912.

United States Department of Agriculture,

OFFICE OF THE SECRETARY.
FEDERAL HORTICULTURAL BOARD.

NOTICE OF QUARANTINE NO. 2 (DOMESTIC).

MEDITERRANEAN FRUIT FLY.

The fact has been determined by the Acting Secretary of Agriculture that an injurious insect, known as the Mediterranean Fruit Fly (*Ceratitis capitata*), new to and not heretofore widely prevalent or distributed within and throughout the United States, exists in the Territory of Hawaii.

Now, therefore, I, Willet M. Hays, Acting Secretary of Agriculture, under the authority conferred by section 8 of the act approved August 20, 1912, known as The Plant Quarantine Act, do hereby quarantine said Territory of Hawaii, and do prohibit, by this notice of quarantine No. 2, under the authority and discretion conferred on the Secretary of Agriculture by said section 8 of the act of Congress approved August 20, 1912, the movement from the Territory of Hawaii into or through any other State, Territory, or District of the United States of the following fruits, seeds, vegetables, and other plant products:

Alligator pears.	Grapefruit.	Natal, or Kafir, plum.
Carambolas.	Green peppers.	Oranges.
Chinese ink berry.	Guavas.	Papaya.
Chinese orange.	Kamani seeds.	Peaches.
Chinese plums.	Kumquats.	Persimmons.
Coffee berries.	Limes.	Prickly pears.
Damson plum.	Loquats.	Rose apple.
Eugenias.	Mangos.	Star apple.
Figs.	Mock orange.	String beans.
Grapes.	Mountain apple.	Tomatoes.

Hereafter, and until further notice, by virtue of said section 8 of the act of Congress approved August 20, 1912, it shall be unlawful to move any of the fruits, seeds, vegetables, or other plant products herein named from the Territory of Hawaii into or through any other State, Territory, or District of the United States, regardless of the use for which the same is intended.

Done at Washington this 18th day of September, 1912.

Witness my hand and the seal of the United States Department of Agriculture.

WILLET M. HAYS,
Acting Secretary of Agriculture.



Folder "Anthrax
1" (1955)
Subject and
Numeric Files,
1954-1964,
The Animal
Disease
Eradication
Division, of the
Agricultural
Research Service,
was an APHIS
predecessor
agency.

OCT 25 RECD



State of New Jersey
DEPARTMENT OF AGRICULTURE
W. H. ALLEN, SECRETARY
TRENTON 8

DIVISION OF ANIMAL INDUSTRY

R. A. HENDERSHOTT, DIRECTOR

October 21, 1955

Dr. R. J. Anderson
Chief, Animal Disease Eradication Branch
United States Department of Agriculture
Washington 25, D. C.

Dear Dr. Anderson:

For your information this report of an anthrax case is submitted.

Owner: Gilbert Drew, Vernon, N. J. - Sussex County.

1st Case : Observed at Space Farm, Sussex County 10/10/55.
Animal owned by Gilbert Drew.

2nd Case : Observed at Drew Farm 10/11/55.

Diagnosis confirmed in laboratory. Usual procedures supervised by field veterinarian.

Very truly yours,

R. A. Hendershott
Director, Division of Animal Industry

REK:fw

*Diagnosis of anthrax
confirmed by Camp Detrich
& phoned in by Mr. Harry Newton*

*Reported to
Dr. Hendershott
by telephone 11/4/55 9:50 AM.
C. L. Davis*