

WS Directive

4.130 08/09/04

INFORMATION AND DATA MANAGEMENT AND SECURITY

1. PURPOSE

To provide guidelines for effective and proper handling and security of WS information and data.

2. REPLACEMENT HIGHLIGHTS

This is a new directive.

3. DEFINITIONS

Contributor: Anyone who provides information about themselves to a system of records. WS contributors are funded agreement cooperators and requesters who provide information during the process of receiving technical assistance.

Data: Facts or figures to be processes; evidence, records, statistics, etc. from which conclusions can be inferred.

Information: The communication or reception of knowledge or intelligence; something received or obtained through informing; knowledge communicated by others or obtained from investigation, study, or instruction.

Requester: As related to information and data management, anyone who asks for information from the WS program.

System of Records: A group of any records under the control of any agency from which information is retrieved by the name of the individual or by some identifying number, symbol, or other identifying particular assigned to the individual. In WS the system of records is known as MIS or MIS2000. It is comprised of all data entered into the MIS electronic database and all hard copy documents associated with the data or with its contributors.

4. POLICY

WS will manage information, data, and its security in accordance with current APHIS directives, policies, and guidelines (see Section 6a2). Notwithstanding, this directive gives more specific guidance for conduct of activities unique to WS information and data management systems and processes.

This Directive establishes policy and procedure for collection and retention of data, exchange of information among WS employees and with other Government agencies, transfer of information to the public, and security of such data and information while controlled by WS.

5. BACKGROUND

WS system of records procedures and processes are developed in compliance with a number of Federal acts, and guidance provided by oversight agencies and entities. Consult the WS Information and Data Management Handbook (IDMH, 2004) for a list of authorities and guidance sources. A brief summary of selected Acts and guidance is provided below for clarification.

- a. The Freedom of Information Act (FOIA) is a disclosure statute designed to allow the public access to documents held by administrative agencies of the Executive Branch of the Federal Government. The intent of the FOIA is to provide, in a timely manner, access to Federal records that already exist, not to create records or to respond to questions through dialogue.

Requesters may ask for any agency record. The APHIS FOIA Officer makes the determination about what information should be withheld based on nine exemptions established in the Act. Information may not be withheld unless it specifically falls under one of the nine exemptions. Refer to APHIS Directive 156.1, Freedom of Information Act/Privacy Act Guidelines, for a list of exemptions. The APHIS FOIA Officer is the only official who can deny information under the FOIA.

- b. The Privacy Act provides requirements for collecting, maintaining, and disclosing personal information obtained by Government offices from or about individuals and contained in a system of records.

Personal information obtained by Government offices from or about individuals is protected from disclosure by the Privacy Act.

Personal information includes, but is not limited to:

- (1) Home address
- (2) Home telephone number
- (3) Social Security Number
- (4) Personal financial data (except salary)
- (5) Medical records
- (6) Religious affiliation
- (7) Educational attainments

- c. The Federal Information Processing Standards (FIPS) Publication 199, of the National Institute of Standards and Technology (NIST) is the official series of publications relating to standards and guidelines adopted and promulgated under the provisions of Section 5131 of the Information Technology Management Reform Act of 1996 (Public Law 104-106) and the Federal Information Security Management Act of 2002 (Public Law 107-347). These mandates have given the Secretary of Commerce and NIST important responsibilities for improving the utilization and management of

computer and related telecommunications systems in the Federal Government. The NIST, through its Information Technology Laboratory, provides leadership, technical guidance, and coordination of government efforts in the development of standards and guidelines in these areas. WS has categorized its information system (MIS2000) and its information in accordance with these guidelines. Refer to the IDMH (2004) for details.

- d. The WS System of Records is the database which collects and maintains information about WS programs with its customers. This system is also known as the Management Information Systems (MIS) database. This record includes minimal information about WS customers for the purpose of conducting business, complying with Federal record keeping mandates, and evaluating program performance, including goal accomplishments. This system of records exists as both electronic and hard copy records. The terms "MIS," "MIS2000," and "system of records" may be used interchangeably in this directive and in companion documents referenced.

In the normal course of business in response to requests for wildlife damage management assistance, WS collects information about organizations, industry, Federal and non-Federal entities, and members of the public as part of cooperative direct control or technical assistance programs throughout the United States and its territories. This information is provided voluntarily, based on solicitation by entities who wish to obtain technical or direct participative assistance from WS. Such information is collected by a WS employee from the actual person seeking services, or from an authorized representative, employee, owner, manager, or executor of that person. In such cases where the cooperator is a Government agency or an organization such information is collected from an official representative of the cooperator entity.

6. PROCEDURES

a. WS System of Records Management

1. Duties, Roles and Responsibilities

Duties, roles, and responsibilities for information actions and data management of the WS system of records are outlined in the WS IDMH. Specific guidance on subjects related to the system of records shall be sought according to the protocol set forth in the WS IDMH.

2. Data Entry, Access, Use, Security, Integrity Guaranty, Retention, and Disposal.

Data entry, access, use, security, integrity guaranty, retention and disposal in MIS is managed in accordance with standards established by APHIS (MRP Directive 3020.1, 3031.1, 3140.1, 3040.3, 3140.5, APHIS Records Management Handbook, and APHIS Directives 3140.1 (1999), 3140.5 (2000), and 156.1 (1982). Related information is further set forth and clarified in the WS IDMH(2004). New or revised procedures which may be

contemplated as WS information and data management processes evolve shall be referred to the Director, Operational Support Staff, 4700 River Road, Unit 87, Riverdale MD, 20737-1234, Phone: 301/734-7921 for evaluation and approval.

b. Information Transfer and the WS System of Records

Consult Section 9.0 of the WS IDMH (2004) for guidance on process and the nature of restricted- and unrestricted-circulation information based on Privacy Act mandates, FOIA, and routine WS information transfer procedures. In addition, any media interviews contemplated should be discussed with Legislative and Public Affairs if controversial issues might arise, or there is uncertainty about the subject material.

7. REFERENCES

APHIS (Animal and Plant Health Inspection Service. 2003. Records management handbook.

<http://www.aphis.usda.gov/library/recordsdir/records.html>

APHIS (Animal and Plant Health Inspection Service. 2000. APHIS Directive 3140.6. APHIS information valuation.

APHIS (Animal and Plant Health Inspection Service. 2000. APHIS Directive 3140.5. APHIS information systems security (iss) roles and responsibilities. [http://www.aphis.usda.gov/library/directives/.](http://www.aphis.usda.gov/library/directives/)

APHIS (Animal and Plant Health Inspection Service. 2000. APHIS Directive 3040.3. APHIS internet use and security policy.

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APHIS (Animal and Plant Health Inspection Service. 1993. APHIS Directive 3031.1. Clearance of public reporting and recordkeeping. [http://www.aphis.usda.gov/library/directives/.](http://www.aphis.usda.gov/library/directives/)

APHIS (Animal and Plant Health Inspection Service. 1987. APHIS Directive 111.2. Communications with offices of members of congress, the office of management and budget, and the office of budget and program analysis. . [http://www.aphis.usda.gov/library/directives/.](http://www.aphis.usda.gov/library/directives/)

APHIS (Animal and Plant Health Inspection Service. 1982. APHIS Directive 156.1. Freedom of information act/privacy act guidelines, and enclosures as amended in 10/4/83.

[http://www.aphis.usda.gov/library/directives/.](http://www.aphis.usda.gov/library/directives/)

7 CFR Part 370- Freedom of Information Act

MRP (Marketing and Regulatory Programs). 1998. Directive 3040.3. Electronic records management program.

NARA (National Archives and Records Administration). 2004. Records Management Publications.
http://www.archives.gov/publications/records_management_publications.html#pubs

OMB (Office of Management and Budget). Bulletin 90-08

OMB (Office of Management and Budget). Circular No. A_123.
Management accountability and control

OMB (Office of Management and Budget). Circular 130. Management of federal information resources

GSA (General Services Administration). Federal information resources management regulations. In Title 41 CFR, Chapter 201, Parts 201-2, 201-22, and 201-45.

WS (Wildlife Services). 2004. WS Information and Data Management Handbook. WS Operational Support Staff. 112 pp.

Deputy Administrator