

For: FAS and FSA Employees and Contractors

**FSA and FAS Records Management Exit Clearance Process**

Approved by: Acting Deputy Administrator, Management



**1 Overview**

**A Background**

AD-1106-2 establishes responsibilities and procedures for FAS and FSA, Political and/or Senior Level Officials, employees, contractors, and volunteers about the exit clearance process.

All FAS and FSA offices are responsible for ensuring that all material created, received, or maintained during an employee’s employment or appointee’s tenure with the Federal Government that meet the criteria for a Federal Record remain in the custody when an employee or appointee departs FAS or FSA.

**Note:** The USDA Records Management Policy for Departing Employees, Contractors, Volunteers, and Political Appointees can be found in DR 3099-001. This Departmental regulation also includes AD-3001 to use for documentary materials removal/nonremoval certification and nondisclosure agreement. AD-3001 is available at <http://intranet.fsa.usda.gov/fsa/>.

**B Purpose**

This notice informs:

- all FAS and FSA Political and/or Senior Level Officials, employees, contractors, and volunteers about their roles and responsibilities during the exit clearance process
- each FAS and FSA office of responsibilities when an appointee or employee depart FAS or FSA.

<b>Disposal Date</b>	<b>Distribution</b>
April 1, 2013	All FAS and FSA employees and contractors; State Offices relay to County Offices

## Notice AS-2243

### 1 Overview (Continued)

#### C Contacts

If there are questions about this notice, contact either of the following:

- Keith Holden, FFAS Records Officer, by either of the following:
  - e-mail at **keith.holden@wdc.usda.gov**
  - telephone at 202-690-1560
- Angela Payton by either of the following:
  - e-mail at **angela.payton@wdc.usda.gov**
  - telephone at 202-720-0482.

### 2 Action

#### A Records Management Exit Clearance Process

FAS and FSA supervisors are responsible for ensuring that all Political and/or Senior Level Officials, employees, contractors, and volunteers comply with guidance for completing AD-1106-2. Supervisor shall also ensure that AD-1106-2 is completed and review by the assigned Records Custodian/Officer before the employee's departure.

AD-1106-2 is available at <http://intranet.fsa.usda.gov/fsa/>. See Exhibit 1.

**Note:** The revision to AD-1106 is forthcoming to include clearance for Records Management. AD-1106-2 must be cleared by the FFAS Records Section at least 1 week before an employee's departure. AD-1106 will be used by National Office employees only.

State and County Office employees shall submit AD-1106-2 and, if applicable, AD-3001 to their assigned Records Custodian for final signature.

National Office employees shall submit AD-1106, AD-1106-2, and, if applicable, AD-3001 to their assigned Records Custodian for final signature.

#### B Role and Responsibilities for FAS and FSA Offices

Each office is required to ensure that employees certify that all Federal records and files created or received have been transferred to a supervisor or Contracting Officer's Technical Representative, or custody has been assigned to another employee.

Example of AD-1106-2

The following is an example of AD-1106-2.

<p><b>This form is available electronically.</b></p> <p><b>AD-1106-2</b> (10-04-12)</p> <p><b>U.S. Department of Agriculture</b> Farm Service Agency Foreign Agricultural Service</p> <p style="text-align: center;"><b>FSA AND FAS RECORDS MANAGEMENT EXIT CLEARANCE SHEET</b></p>		<p>A. Date Prepared (MM-DD-YYYY)</p>	<p>B. Agency (Check One) <input type="checkbox"/> FSA <input type="checkbox"/> FAS</p>
		<p>C. Office Location (Check One) <input type="checkbox"/> Headquarters <input type="checkbox"/> State <input type="checkbox"/> County <input type="checkbox"/> Country: _____</p>	
		<p>D. Type of Employee (Check One) <input type="checkbox"/> Political (Complete Parts A, C and E) <input type="checkbox"/> Non-Political/Contractors (Complete Parts A, D and E)</p>	
<p><b>INTRODUCTION:</b> This form establishes responsibilities and procedures for FSA and FAS, Political and/or Senior Level Officials, Contractors and Employees regarding the exit clearance process. <b>Penalties for Unlawful removal of records:</b> Criminal penalties are provided for the unlawful removal or destruction of Federal records (18 U.S.C. 641 and 2071) and for the unlawful disclosure of certain information pertaining to national security (18 U.S.C. 793, 794, 798 and 952).</p>			
<p><b>PART A – EMPLOYEE GENERAL INFORMATION</b></p>			
<p>I am employed by an office in FSA or FAS, Immediate Office all offices of the Administrator, Deputy Administrator, Associate Administrator, Chief Information Office (CIO), Office of the General Counsel (OGC) or as a Contractor.</p>			
1. Employee Name		2. Employee Position Title	
3. Organization (Division/Branch)	4. Duty Station/Location	5. Last Day of Active Service (MM-DD-YYYY)	7. Actual Separation Date (MM-DD-YYYY)
<p><b>PART B – INSTRUCTIONS</b></p>			
<p>1. Employee is responsible for obtaining clearances on or before the last active duty day. This form should be hand carried or unless otherwise indicated by the employee through all appropriate designations. <b>DO NOT MAIL.</b></p> <p>2. Procedures on Page 3 must be reviewed by ALL employees. Senior Official and Political Appointees refer to Page 4.</p> <p>3. All "initial" boxes must be initialed by immediate supervisor or designee.</p> <p>4. Supervisors who indicate clearance by their initials in the "Initial" box are certifying that records have been properly accounted for.</p> <p>5. Employee and supervisor must complete the entire form and give it to the Records Office for certification. - County Office shall send completed form to the State Office. - State Office approves and maintains copies of completed AD-1106-2 in the State Office.</p> <p>6. Records Officer or Records Custodian should certify that the employee has completed the clearance process by signing in Part E.</p> <p>7. <b>Records that may NOT be removed:</b> A. Any material regardless of the media that meets the definition of a Federal record. B. Any information not normally released to the general public, unless prior approval is obtained.</p>			
<p><b>PART C – POLITICAL AND SENIOR LEVEL EMPLOYEE INFORMATION</b></p>			
<p><b>EMPLOYEE ACTIONS - Administrator, Deputy Administrator, Associate Administrator, Office of the Director, Staff Assistant to the Administrator, CIO, OGC and Contractor shall complete this Part.</b></p>		<p>Completed by Employee</p> <p>YES NO</p>	<p>Completed by Supervisor</p> <p>Initials Date</p>
1. Do you have any documentary material hard copies or electronic documents involved in any litigation cases? (Tobacco Industry Litigation, TIL, freeze records hold, or any other litigation holds. See your Records Officer for a complete list of holds and freezes). My files are located in (Room Number):			
2. I have notified the Records Officer that my hard drive contains information to be preserved, and I have arranged for FSA/FAS-OCIO to have it removed and stored upon my departure. <b>(This process MUST be completed.)</b>			
3. I have maintained (or had maintained for me) a paper or electronic calendar (appointment book(s), schedule, log or similar record).			
4. I have printed out (in a legible format), or had printed out for me, all data in my electronic calendar, filed with my paper calendar records, and notified my office that (Check all that apply):			
A. These records need to be retained for 5 calendar years following my departure from the position, if I have held any of the following positions: Administrator, Deputy Administrator, Assistant Administrator, OGC, or Inspector General. Then the records need to be transferred to the National Archives and Records Administration for permanent safekeeping.			
B. These records need to be retained for 3 calendar years, following my departure from the position, if I have held any of the following positions: Deputy Administrator Secretary, Office of the Director, or Staff Assistant to any of the positions referenced in Item 4A.			
C. These records need to be retained for 2 calendar years, following my departure from my position, if I have held any other position, if they contain substantive information relating to official activities that has not been incorporated into other official files, as attested to by the signature of my supervisor or records custodian/file manager.			
5. I have transferred electronically ALL files in my possession that need to be retained, or had this accomplished for me, and transferred all records in my possession to my supervisor or Records Custodian. <b>(This process MUST be completed.)</b>			

Example of AD-1106-2 (Continued)

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<b>PART D – EMPLOYEES, CONTRACTORS, VOLUNTEERS, and COLLEGE INTERNS</b>			
EMPLOYEE ACTIONS		Completed by Employee	
		YES	NO
		Completed by Supervisor	
		Initials	Date
1.	I have transferred all electronic files in my possession that need to be retained, to my supervisor or office Records custodian/file manager, as attested to by the signature of this individual. <b><i>(This process MUST be completed.)</i></b>		
2.	Did you inform your immediate supervisor of the location of your active files?		
3.	Are you removing any non-record documents, such as extra copies of Agency records, from the Agency?		
4.	Do you have any documentary material hard copies or electronic documents involved in any litigation cases? <i>(TIL freeze record holds, or any other litigation holds. See your Records Officer for a complete list of holds and freezes.)</i>		
5.	I have notified the Records Officer that my hard drive contains information to be preserved and have arranged for it to be removed and stored upon my departure.		
6.	I have maintained <i>(or had maintained for me)</i> a paper or electronic calendar <i>(appointment book, schedule, log or similar record)</i> .		
<b>PART E – CERTIFICATION OFFICIALS APPROVING <i>(Political, Non-Political and Senior Level Employee or Designee)</i></b>			
<b><i>CERTIFICATION:</i></b> Employees, contractors, volunteers, and political appointees, etc., must complete the certification below. Employees and political appointees must meet with their immediate supervisor. Contractors must meet with the Contract Officer Representative (COR). Volunteers/Interns must meet with the unit's Volunteer Coordinator.			
1. Are you removing any non-record documents, such as extra copies of agency records, from the agency?  <input type="checkbox"/> YES <input type="checkbox"/> NO <i>If "YES," complete Part E, Item 1A. If "NO," complete Part E, Item 1B.</i>			
A. <input type="checkbox"/> <b>YES</b> , I certify that appropriate agencies Records Officer or Records Custodian officials named in Item 3A have reviewed the documents I am removing from the Department of Agriculture and/or associated Agencies, and do not include any documents relating to any pending or contemplated civil, criminal, or administrative proceeding or other program information, that if released, would impair or prejudice the outcome of the proceeding or Government policy determination, decisions, or other actions <i>(Examples: classified documents; record copies; documents, even though judged to be non-records, that will create a gap in the files; and indexes and finding aids necessary to use the official files)</i> .  If you checked "YES," complete form AD-3001, Documentary Materials Removal/Non-Removal Certification and Non-Disclosure Statement. AD-3001 can be accessed from Departmental Regulation (DR3099-001) at <a href="http://www.ocio.usda.gov/directives/doc/DR3099-001.pdf">http://www.ocio.usda.gov/directives/doc/DR3099-001.pdf</a> .			
B. <input type="checkbox"/> <b>NO</b> , I certify that I am not removing any documents from the Department of Agriculture or associated Agencies.			
2A. Employees Signature <i>(Political, Non-Political, and/or Senior Level Employee or Designee)</i>		2B. Date <i>(MM-DD-YYYY)</i>	
3A. Employees Supervisor/ Designee Signature	3B. Telephone No. <i>(Including Area Code)</i>	4C. Date <i>(MM-DD-YYYY)</i>	
5A. Records Officer/Records Custodian Signature <i>(Certifying)</i>		5B. Date <i>(MM-DD-YYYY)</i>	
6. Additional Remarks			

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**PART F – RECORDS MANAGEMENT EXIT PROCEDURES**

1. Departing employees, contractors, and volunteers shall meet with their Federal supervisor or Contracting Officer's Technical Representative (COTR) and the Agency Records Officer or Field Office Records Liaison to:
  - a. Identify location and content of all record/nonrecord material in employee's custody, **regardless of media** (paper, computer hard drive, compact disks, electronic mail systems, servers, etc.);
    - (1) Identify for reassignment active records needed for work in progress;
    - (2) Identify for reassignment classified and vital records;
    - (3) Identify employee personal papers and nonrecord copies for removal;
  - b. Return ANY records taken from file stations or records repositories;
  - c. Turn in file cabinet keys, vault/restricted access combinations, and computer/system passwords needed for access to any official records.
2. Agency Records Officers shall ensure that:
  - a. All documentary material of departing employees are inventoried;
  - b. All records are scheduled and sent to a records management custodian unless reassigned to another employee by the Federal supervisor or COTR;
  - c. Prepare an SF-115 "Request for Records Disposition Authority" to schedule any unscheduled records;
  - d. Permanent records that are no longer needed by USDA are sent to the National Archives and Records Administration;
  - e. Employee files residing on servers, hard drives, and in electronic mail system systems are:
    - (1) reviewed for record material;
    - (2) reassigned to another employee, and/or
    - (3) dispositioned in accordance with approved schedules;
  - f. Records are NOT destroyed:
    - (1) Without an approved records disposition schedule;
    - (2) Until they have satisfied retention requirements;
    - (3) If they come under an epidemiology, litigation or other moratorium;
3. The Federal employee's supervisor or contractor's COTR shall ensure that :
  - a. Active records needed for work-in-progress, and classified, quality assurance, and vital records are reassigned to another employee (with appropriate clearance);
  - b. Inactive records are transferred to a records management custodian;
  - c. Controlled operating manuals and handbooks are collected;
  - d. Removal of material by the employee is documented and limited to personal papers and a preapproved amount of nonrecord copies.

Federal supervisors, COTRs, and records staff shall document and report the unauthorized destruction or loss of records to the Departmental Records Officer.

The employee shall certify that all Federal records and files created or received have been transferred to a records management custodian, a COTR, or custody has been reassigned to another employee.

## Example of AD-1106-2 (Continued)

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**PART G – PREPARING THE OFFICIAL RECORDS OF EXECUTIVE OFFICIALS**

1. Separate the official's personal papers from the record material. These include:
  - a. **Papers Created Before Entering Government Service.**  
**Examples:** previous work files, political materials, and reference files.
  - b. **Private Papers Brought Into, Created, or Received in the Office.**  
Family and personal correspondence and materials documents and drafts for articles and books and business or political pursuits. Examples include manuscripts and drafts for articles and books and volunteer and community service records.
  - c. **Work-Related Personal Papers.** Extra copies maintained for convenience of reference are excluded from the definition of records. Personal papers may refer to our comment on the subject matter of agency business, provided they are not used in the conduct of that business.
  - d. **Personal Copies of Records and Nonrecord Materials.** Officials may duplicate some agency records (usually those that they have originated, reviewed, signed, or otherwise acted upon) so that, with agency approval, they may take these nonrecord copies with them when they leave office.
2. **Eliminate** duplicates, superseded or obsolete directives from other organization or offices, outdated meeting notices and notes (unless your executive was the sponsor or chair for the meetings).
3. Separate correspondence and briefing given to **the President, Vice President, or Executive Office of the President.** These may fall under the requirements of the *Presidential Records Act of 1978* (44 U.S.C. 2201 et seq.).
4. **Organize the remaining documents by topic area.** Use the categories in the USDA file plan. If records for a subject, project, or programs are not addressed in the file plan, label the file with pertinent information, for example the executive's name, the project name, starting and ending dates. Arrange the documents within each file in chronological order.
5. **Label the files.** Labels should include the file category (*if one is available*), the executive's name, topic, the opening and ending dates of the documents contained in the files.
6. **Box the files.** Separate and box the files by type: personal papers, records which fall under the requirements of the *Presidential Records Act of 1978* (44 U.S.C. 2201 et seq.); files already covered in the USDA file plan; and all remaining files. Number the boxes in pencil.
7. Prepare file lists. Excluding the official's personal papers, prepare file lists for the boxed files: one for the records which fall under the requirements of the *Presidential Records Act of 1978* (44 U.S.C. 2201 et seq.), a second for files already covered in the USDA file plan, and a third list for all remaining files. Show box number and file name.
8. **Contact the \_\_\_\_\_.** They will arrange pickup of the files and files lists.