

**U.S. IMMIGRATION AND CUSTOMS ENFORCEMENT
ICE Policy System**

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**DIRECTIVE TITLE: RETENTION AND DISPOSITION OF ELECTRONIC INVOICE
RECORDS AND RELATED DOCUMENTS**

1. **PURPOSE and SCOPE.** This Directive establishes U.S. Immigration and Customs Enforcement (ICE) policy and procedures for retention and disposition of electronic invoices and related source documents. This Directive applies to all ICE Program Offices.

2. **AUTHORITIES/REFERENCES.**
 - 2.1. Government Paperwork Elimination Act, 44 United States Code (U.S.C.) § 3504 note.
 - 2.2. Paperwork Reduction Act of 1995, 44 U.S.C. §§ 3501-3520.
 - 2.3. 36 Code of Federal Regulations (CFR) Parts 1220, 1222, 1228, and 1234.
 - 2.4. U.S. National Archives and Records Administration (NARA), General Records Schedule (GRS) 20, Transmittal No. 18, December 2007, Electronic Records.
 - 2.5. NARA, GRS 6, Transmittal 8, December 1998, Accountable Officers' Accounts.
 - 2.6. Federal Acquisition Regulation (FAR) Part 4, Subparts 4.7 and 4.8, Administrative Matters.

3. **SUPERSEDED/CANCELED POLICY/ SUMMARY OF CHANGES.** This Directive supersedes previous policies and procedures for the retention and disposition of electronic invoice records and source documents for ICE programs.

4. **BACKGROUND.** The Government Paperwork Elimination Act requires that, when practicable, agencies use electronic forms, filings and signatures to conduct official business with the public. Among the benefits of electronic records cited by the Paperwork Reduction Act of 1995 are the minimization of the cost to the Federal Government to create, collect, maintain, use, disseminate, and dispose of information and to improve the quality and use of Federal information to strengthen decision making, accountability, and openness in Government and society. ICE is issuing this guidance to ensure that electronic invoices and supporting source documents are maintained and disposed of in accordance with Federal regulations.

5. **DEFINITIONS.** The following definitions are provided for the purpose of this Directive:
- 5.1. **Content.** The text or image of the electronic message.
- 5.2. **Context.** The information documenting the source and destination of the electronic message and other related information usually found in the header.
- 5.3. **Disposition.** An interim or final placement of records and recorded information; the actions taken with regard to records and recorded information to maintain them in a proper place following their appraisal, such as retaining; transferring to a records center; transferring to an archival agency; or destruction.
- 5.4. **Disposition of Electronic Records.** The process that occurs when electronic records scheduled for destruction are disposed of in a manner that ensures protection of any confidential or closed information.
- 5.5. **Electronic Record.** A document encoded in digital form requiring a computer for processing.
- 5.6. **Government Paperwork Elimination Act (GPEA).** Requires that, when practicable, federal agencies use electronic forms, electronic filings, and electronic signatures to conduct official business with the public by 2003.
- 5.7. **Invoice.** A bill, written document or electronic transmission, provided by a vendor requesting payment for property received for services rendered. The term invoice can include receiving reports and delivery tickets when contractually designated as invoices.
- 5.8. **Life-cycle of Records.** A management concept that all records and information pass through three stages: creation, maintenance and use, and disposition.
- 5.9. **Record.** The complete set of documentation, regardless of media or format, which serves to document the organization, functions, policies, decisions, procedures, operations, or other activities of the agency.
- 5.10. **Record File Copy.** The final or official copy of a record retained in accordance with the NARA authorized retention schedule.
- 5.11. **Record Series.** A group of logically related records with the same retention and disposition value. An electronic record series may support one or more operations within an organization.
- 5.12. **Recordkeeping System.** A manual or automated system in which records are collected, organized, and categorized to facilitate their preservation, retrieval, use, and disposition for the authorized retention period.

5.13. Retention Period. The length of time that records must be retained before they are destroyed. A retention period is sometimes referred to as an “authorized retention” once NARA has approved the disposition of the records.

5.14. Source Document. The original document that provides firsthand information (e.g., invoice, receiving report, purchase order, etc.).

5.15. Temporary Records. Designations for either immediate disposal or disposal after a specified period of time or an event in conformance with a NARA-approved Request for Records Disposition Standard Form (SF) 115 or the GRS.

6. POLICY. It is the policy of ICE that all electronic invoices and supporting source documents are to be maintained and disposed of in accordance with Federal Regulations.

7. RESPONSIBILITIES.

7.1. Office of Financial Management is responsible for the following:

- 1) Identifying the electronic recordkeeping media on which the hard copy invoice documents and supporting source documents are transferred and stored in a usable format throughout the NARA-approved retention period.
- 2) Integrating the management of electronic temporary/invoice records with other DHS records management systems.
- 3) Coordinating all of the above with ICE Office of the Principal Legal Advisor (OPLA), Office of the Chief Information Officer (OCIO), and ICE Records Management staff.
- 4) Receiving incoming invoice documents and supporting source documents, and scanning the documents into a centralized recordkeeping system to create an authentic record, validating the accuracy and completeness of the electronic record to the invoice received.
- 5) Establishing designated media – e.g., facsimile, email, post office mailbox – to receive incoming invoice documents and supporting source document records from contractors/vendors.
- 6) Establishing disposition instructions for inclusion in its standard operating procedures.
- 7) Ensuring that the temporary electronic records (i.e., invoices, supporting source documents) are maintained in the recordkeeping system; readily accessible and retrievable during the authorized retention period; and disposed of when their respective retention period expires and are no longer required for Government business or use.

- 8) Responding to requests for documentation from internal and external organizations following approved release standards.
- 9) Processing invoices for payment based on notifications provided by the Office of Financial Management (OFM) and recording the payment date status in the recordkeeping system.

7.2. ICE Components' Program/Field Offices are responsible for redirecting incoming invoices either to OFM for recordation in the recordkeeping system via mail, facsimile or email or to the vendor once notified that their invoices will be retained electronically.


7.3. ICE Office of Asset Management – Records Management Branch is responsible for approving the disposition of records and coordinating with NARA to facilitate the transfer of record data to a NARA storage facility; developing the “Request for Records Disposition Authority” forms (SF-115s); and reviewing system requirements for records management acquisition and electronic records management.

8. PROCEDURES.

8.1. Upon receipt of incoming invoices, OFM shall:

- 1) Ensure that the hard copy invoices and source documents are scanned and preserved in an electronic recordkeeping system.
- 2) Ensure that the hard copy invoices and source documents have been verified and scanned in an electronic recordkeeping system and are no longer required for Government business or use, after which these documents can be destroyed by OFM 60 days from the date of receipt.
- 3) Review the content of the electronic invoice records stored in the recordkeeping system periodically for quality assurance and authenticity; this will be considered the Record File Copy.
- 4) Establish system controls for the integrity of migrating invoice records and source records warehoused in the recordkeeping system; prevent unauthorized access to records; and ensure that records are not modified during the life-cycle of the record while it resides in the recordkeeping system.
- 5) Ensure that the electronic invoice records are retained, stored, and processed in the recordkeeping system in accordance with NARA's GRS.
- 6) Ensure that the content and context of the electronic invoice records are migrated and retained in the recordkeeping system by record series.

- 7) Implement the approved records disposition standard operating procedures for the temporary records which have reached the limit of their authorized retention period.
- 8.2. The electronic temporary/invoice records and supporting source document records shall be archived by OFM when the records are no longer required for Government business or use.
- 8.3. The electronic temporary/invoice records received from another agency or commercial vendors -- excluding records created and produced by another agency under the terms of an interagency agreement or in response to the specific needs of the receiving agency -- can be disposed, or deleted, when the data has been verified and entered into the recordkeeping system, or when it is no longer needed for Government business or use.
- 8.4. OFM shall dispose of the electronic temporary/invoice records and any supporting contract documents six (6) years and three (3) months after the final payment in conformance with NARA's GRS.
- 9. **ATTACHMENTS. NONE.**
- 10. **NO PRIVATE RIGHT STATEMENT.** This Directive is an internal policy statement of ICE. It is not intended to, and does not create any rights, privileges, or benefits, substantive or procedural, enforceable by any party against the United States; its departments, agencies, or other entities; its officers or employees; or any other person.

Approved 
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