



ICE Records and Information Management Handbook



U.S. Immigration
and Customs
Enforcement

Foreword

U.S. Immigration and Customs Enforcement (ICE) is responsible for ensuring compliance with, and enforcement of, customs, immigration, and other Federal laws related to the border. In support of its mission, ICE may exercise its authority to employ records management policies and procedures that ensure proper archival and disposition of business records. This Handbook, which accompanies ICE Directive 4007.1, *Records and Information Management*, establishes ICE policies and procedures for managing records regardless of medium, lifecycle stage, or environment. This Handbook and accompanying directive are to be read jointly, and together constitute a “complete document” on ICE’s records and information management policies and procedures.



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Authorities/References

5 U.S.C. § 552 (a), (g), *Public information; agency rules, opinions, orders, records, and proceedings.*

44 U.S.C. §§ 3101 –07, *Records Management by Federal Agencies.*

44 U.S.C. § 21, *National Archives and Records Administration.*

44 U.S.C. § 29, *Records Management by the Archivist of the United States and by the Administrator of General Services.*

36 C.F.R. §§ 1220.1 – 1239.26, *Records Management.*

ICE Directive 10044.2, *Records Management.*

U.S. Department of Homeland Security (DHS) Federal Emergency Management Agency (FEMA) *Federal Continuity Directive 1* (Jan. 2017).

Introduction

A. Purpose

The ICE Records and Information Management Handbook provides guidance and procedures for the administration and management of ICE records as directed, defined, and guided by federal law, regulations, directives, and policies (collectively referred to here as “authorities”). In turn, these authorities create the legal and policy boundaries within which an agency may effectively and efficiently employ and manage all of its records in order to meet the agency’s strategic goals and mission requirements. Specifically, the Handbook establishes the roles and responsibilities for the ICE Records and Information Management Program within ICE and sets forth the policies for managing records regardless of medium, lifecycle stage, or environment. This Handbook supplements ICE Directive 4007.1, *Records and Information Management*.

B. Background

The aforementioned authorities may be classified into three distinct categories. The first category consists of federal statutes and regulations as codified in the United States Code (U.S.C.) and the Code of Federal Regulations (C.F.R.). The second category consists of Executive Branch directives and policies. These authorities range from presidential executive orders and directives, to Office of Management and Budget (OMB) circulars, to DHS internal directives, instructions, policy memoranda, and guidance documents. The third category consists of ICE internal policies and guidance and the overarching importance and use of alien files (A-Files), U.S. Citizenship and Immigration Service (USCIS) internal records authorities. It is important for ICE personnel to understand the various sources of authority governing the proper handling of agency records, in order to ensure compliance and reduce legal risk to ICE.

C. Governance

The National Archives and Records Administration (NARA) shares responsibility with federal agencies to ensure that each agency creates and preserves records containing adequate and proper documentation of the organization, functions, policies, decisions, procedures, and essential transactions of the agency. The Archivist of the United States, as head of NARA, provides direction, guidance, assistance, and oversight through issuance of records management regulations and standards applicable to all federal agencies.

Federal records management is mandated by the following laws and regulations:

- 18 U.S.C. § 2071 describes penalties for willfully and unlawfully destroying, damaging, or removing federal records.
- 44 U.S.C. §§ 2901 - 2909 govern records management by NARA and the General Services Administration.
- 44 U.S.C. §§ 3101 - 07 govern records management by federal agencies.
- 36 C.F.R. Chapter 12, Subchapter B, Records Management provides regulations implementing 44 U.S.C §§ 3101 - 3107.

Definitions

Capstone. Identification and capture of email records that should be preserved as permanent from the accounts of designated senior officials at or near the top of an agency who are generally responsible for agency and Directorate or Program Office policy and mission-related actions.

Disposition. Actions taken when records are no longer needed to conduct current agency business, which include disposal or permanent preservation.

Essential Record. Information that is essential to the continued functioning or reconstitution of an organization during and after an emergency and also essential to protecting the rights and interests of that organization and of the individuals directly affected by its activities.

File Plan. A comprehensive outline of the records created/maintained within each Directorate or Program Office. The file plan includes the records series, record type, storage location, and retention and disposition instructions.

Records. All recorded information, regardless of form (i.e., electronic or hardcopy), made or received by a Federal agency under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the United States Government or because of the informational value of data they contain.

Nonrecords. Documentary materials that do not meet the legal definition of a record. Nonrecords include material such as copies of documents kept only for reference, stocks of blank forms or publications, library and museum material made or acquired and preserved solely for reference or exhibition purposes, duplicate copies of records preserved only for convenience, or documents that provide no evidentiary value of agency functions or activities.

Permanent Records. Records that have sufficient historical or other value to warrant permanent preservation as part of the National Archives. The records have continuing value as documentation of the organization and functions of ICE or because the records document significant information on a person, event, thing, problem, or condition. Permanent records document the organization and functions of ICE, contain fundamental information on programs or activities within ICE, or are important in the long term to protect the rights and interests of ICE, the Federal Government, or its citizens.

Personal Files. Documentary materials belonging to an individual that are not used to conduct agency business. Personal records are excluded from the definition of Federal records and are not owned by the Government.

Record Schedule. A set of instructions that provides the legal authority for retention and disposition of records grouped together in a series. It is used to indicate the length of time records must be maintained, identifies records as either permanent or temporary, and provides

mandatory instructions for the disposition of records. It may also be referred to as a retention schedule. There are three types of records schedules:

1. *General Records Schedules (GRS)*: The GRS provides mandatory disposition authorization for temporary administrative records common to most government agencies. These schedules are written by NARA under the authority of 44 U.S.C. § 3303a(d).
2. *DHS Enterprise Schedules*: These schedules include records that are common to all components of DHS and are not covered by the GRS. DHS enterprise schedules are issued by DHS Records and Information Management (RIM) and approved by NARA.
3. *ICE Records Schedules*: These schedules apply to records that are unique to the mission of ICE. ICE schedules are issued by the Records and Data Management Unit and approved by NARA.

Retention. The length of time before temporary records can be destroyed or the legal ownership of permanent records can be transferred to NARA.

Temporary Records. Temporary records are approved by NARA for disposal after a specified retention period.

Unscheduled Records. Records that have not been given an approved final disposition and are considered permanent records until a schedule has been approved by NARA.

Records Management Roles and Responsibilities

A. Headquarters Responsible Officials (HROs)

HROs are responsible for ensuring compliance with this Directive within their Directorates and Program Offices, including the designation of Records Liaison Officer (RLOs) and Records Assistants (RAs). They should have a working knowledge of the Federal Records Act, E-Government Act including privacy aspects, the Paperwork Reduction Act, and the Federal Information Quality Act. The HROs:

- Are responsible for the physical and legal custody of all records within their organization;
- Ensure the creation of mission-related records; preservation of valuable records; proper destruction of all eligible records; and accessioning of permanent records;
- Must designate an RLO who will serve as the Directorate or Program Office representative for record activities; and
- Ensure support agreements, memorandums of understanding, contracts, or similar documents reflect the records management requirements of the organization.

B. Records Officer

The Records Officer is responsible for the development and implementation of RIM procedures, policies, and programs to ensure an efficient records management program. The Records Officer is assisted in the Records and Data Management Unit by IGP privacy specialists regarding records management procedures. The Records Officer:

- Ensures that the ICE RIM Program operates in compliance with OMB, NARA, and DHS policies;
- Certifies to the Archivist of the United States that all temporary records meeting their retention are no longer of value to ICE and shall be disposed of accordingly;
- Develops and promulgates policies governing lifecycle management of records and custodial responsibilities that support mission objectives;
- Negotiates inter-agency agreements with NARA, other Federal agencies, and commercial businesses for the storage, servicing, and disposal of ICE records;
- Designates the Essential Records Manager to establish and oversee an Essential Records Program in compliance with FEMA Federal Continuity Directive 1 Annex F;
- Ensure that the proper management of classified, personally identifiable information (PII), essential, and sensitive records is conducted throughout the information lifecycle for federal records;
- Develops and submits records schedules to NARA for approval and to Directorates and Program Offices for implementation;
- Serves as the records transfer approving official to approve transfer requests and as the decision authority to approve access to records stored at Federal Residential Centers;
- Ensures that records storage facilities are in compliance with 36C.F.R. Part 1234;
- Ensures that the initial and annual role-based training requirements are conducted for all ICE personnel;
- Ensures that data calls, records searches, litigation holds, and information requests are conducted and completed;
- Along with the Office of the Chief Information Officer (OCIO), develops policy and strategy for the management of electronic records, to include emails associated with those who have been designated as a Capstone official;
- Conducts regular site visits, as appropriate, to assess, inspect, and validate practices and procedures regarding the creation, storage, and destruction of records;

- Notifies NARA and DHS of any actual, impending, or threatened unlawful removal, defacing, alteration, or destruction of ICE records;
- Ensures that agency standards for maintaining and handling A-Files comply with federal policy, statutes, and regulations, and appropriately handled in accordance with department policy;
- Provides A-File control and accountability support services to ICE Directorates and Program Offices in implementing DHS and ICE policies and procedures; and
- Coordinates ICE points of contact for participation in the USCIS annual audit of A-Files.

C. Record Liaison Officers (RLOs)

Records Liaison Officers (RLOs) are responsible for RIM within a specific Directorate or Program Office. The RLOs must coordinate records management activities with the Records and Data Management Unit as part of the RLO Program. The RLOs manage the program accordingly and ensure that the proper roles and responsibilities are identified. They are responsible for:

- Organizing RIM activities for the Directorate or Program Office, including local records policy, review and approval of records scheduling and disposition, file plan development, records management training, and file room / electronic records systems operations;
- Ensuring that office records are managed pursuant to DHS, ICE, NARA, and OMB policies, applicable laws, and regulations;
- Participating in regular RIM advisory meetings for RIM process improvements;
- Distributing RIM guidance as prepared by DHS, ICE, and NARA;
- Coordinating changes to records schedules with the Records and Data Management Unit;
- Ensuring that all Directorate and Program Office recordkeeping procedures are established, implemented, and periodically updated for all records regardless of format;
- Ensuring that each office creates and appropriately maintains records documenting its program and administrative activities;
- Maintaining accountability for all records stored by the office (this includes records that fall under the GRS, DHS, or ICE records schedules);
- Ensuring that records that are owned by other DHS components are maintained according to that component's policies and procedures (this includes compliance with the ICE Directive 1-32.0, Alien File Creation, Maintenance, Organization, and Disclosure of Information, and the USCIS Records Policy Manual, which outlines all procedures for creating, maintaining, tracking, and sharing A-Files);

- Ensuring proper disposition of the Directorate’s or Program Office’s records by reviewing and approving, as permitted, completed disposition and transfer forms to submit to the Records and Data Management Unit; and
- Communicating and disseminating RIM requirements to all ICE personnel and contractors within their Directorate or Program Office.

D. Records Assistants (RAs)

Records Assistants (RAs) assist the RLO in coordinating RIM activities for the Directorate or Program Office, including managing the transfer and retrieval of program records to / from storage facilities, the creation of box lists documenting the records maintained in storage, and assisting with the management of paper and electronic filing systems that may exist within the Directorate or Program Office or its subdivisions. They are responsible for:

- Supporting the RLO to ensure that office records are managed pursuant to DHS, ICE, NARA, and OMB policies, applicable laws, and regulations;
- Distributing RIM guidance to staff as prepared by DHS, ICE, and NARA;
- Participating in regular RIM advisory meetings for RIM process improvements;
- Ensuring that all of the Directorate’s or Program Office’s records are listed in the File Plan and are described accurately in the ICE records schedules in coordination with the RLO;
- Working with RLOs to transfer eligible records to an authorized facility and the prompt disposal of temporary records when eligible for disposition;
- Maintaining accountability for all records stored by the office (this includes records that fall under the GRS, DHS, or ICE records schedule);
- Assisting the RLO in providing guidance on exit procedures; transferring federal records from the agency; and advising departing personnel in defining personal papers, non-records, etc.;
- Assisting the RLO in completing the periodic self-assessments of the Directorate or Program Office records and RIM policies and procedures;
- Assisting the RLO in the preparation of draft records schedules;
- Supporting the Directorate or Program Office disposition activities, including reviewing disposition authorizations, transfer forms, and box lists, and submitting the forms to the RLO for approval; and
- Working with staff to complete office inventories that include each record series or system and the location of the records and any other pertinent data.

E. ICE Personnel

When personnel enter on duty as ICE employees or contractors, they become responsible for managing ICE records throughout the records lifecycle. This includes a responsibility to document functions, policies, procedures, and activities through effective life-cycle management. Accordingly, every individual employee and contractor must follow records management procedures as part of their overall information management. Employees shall:

- Create and maintain records that sufficiently document the function, organization, administration, policies, and procedures of the agency;
- Coordinate records disposition with the Directorate or Program Office RLO;
- Protect records and comply with the Privacy Act, the safeguarding of PII, sensitive or classified information, and other policy and legal requirements;
- Comply with organization guidance regarding records preservation or transfer upon notification of retirement, separation, or change of assignment (employees may take certain records when they separate from the agency, such as personal records, contacts list, reference documents, writing samples) with them provided that they sign DHS Form 141-02 (Documentary Material Removals/Non-Removal Certification));
- Ensure that all Federal records under their direct control are transferred to a designated official or supervisor prior to separating from the agency;
- Notify the Records Officer of any actual or potential unlawful or inadvertent removal, change, or destruction of ICE records;
- Distinguish records from non-records materials and maintain personal papers separately;
- Avoid using laptops and removable storage devices for long-term records storage;
- Complete annual records management training; and
- Identify, safeguard, and manage all records in accordance with RIM policies when teleworking.

F. Privacy Officer

The ICE Privacy Officer is responsible for collaborating with the Records and Data Management Unit on Privacy Threshold Assessments, Privacy Impact Analyses, and Systems of Records Notices to ensure that they accurately describe the purpose of a system of records, identify the types of records within the system, and provide certification that the system can perform record functions and maintain records in accordance with the NARA approved retention schedule.

G. Chief Data Officer

The ICE Chief Data Officer (CDO) is responsible for ICE organizational governance and utilization of agency information data processing, storage, and metadata, and guides. The CDO oversees policy development, establishing data standards, fostering data stewardship, and engaging with ICE stakeholders by facilitating data resolutions.

H. Essential Records Manager

The ICE Essential Records Manager is responsible for coordinating the agency's Essential Records Program, developing and maintaining ICE's Essential Records Plan, coordinating agency inventory of essential records, outlining measures to protect them, and annually conducting an essential records risk assessment. The Essential Records Manager periodically tests emergency plans and procedures to determine whether essential records are properly identified, protected, and managed, as well as modifies plans and procedures when needed.

Records and Information Management Programs

A. Essential Records

The Essential Records Program provides guidance on the identification, use, and protection of essential records. The program provides ICE with information needed to conduct business under other than normal operating conditions and resume business operations afterwards. Additionally, the program enables agency officials to identify and protect the most important records documenting the legal and financial rights of ICE and of persons directly affected by ICE's actions.

The Essential Records Program includes an Essential Records Plan and Disaster Recovery Plan. The Essential Records Plan identifies records critical to continued agency operations in the event of an emergency and ensures that records are adequately protected and accessible. The Disaster Recovery Plan documents records disaster mitigation and recovery procedures.

B. Capstone

Capstone email management is an approach developed by NARA that categorizes and schedules email based on the position and/or work of the email user. Email records (including attachments) of individuals designated as Capstone Officials are permanent records, and will be maintained by ICE for 15 years and then transferred to NARA for permanent preservation. Email records of non-Capstone officials are temporary records and will be retained in accordance with the applicable GRS. The Capstone schedule categories are specified in Table 1.

Table 1 – Capstone Schedule

Category	Designated Senior Positions	Retention
1	Director, U.S, Immigration and Customs Enforcement	

2	Deputy Director, U.S. Immigration and Customs Enforcement	<p>Note: Cut off in accordance with ICE business needs.</p> <p>ICE will retain permanent email records according to the approved email records schedule and then transfer them to NARA 15 years after cutoff, or after declassification review (when applicable), whichever is later.</p>
3	Deputies of all positions in categories 1 and 2, and/or their equivalent(s)	
4	Staff assistants to those in categories 1 and 2, such as special assistants, confidential assistants, military assistants, and/or aides	
5	Principal management positions, such as Chief Data Officer, Chief Information Officer, Chief Technology Officer, and Chief Financial Officer, and/or their equivalent(s)	
6	Heads of significant Program Offices, and/or their equivalent(s)	
7	Principal regional officials, such as Regional Administrators, Program Officers, and/or their equivalent(s)	
8	Roles or positions that routinely provide advice and oversight to the agency, including those positions in categories 1 through 3 and 5 through 7, including: General Counsels, Chiefs of Staff, Inspectors General, Employees in “Acting” or “Detail” status to any of these positions	

The Records and Data Management Unit shall work in coordination with the OCIO and the Office of Human Capital to track when individuals move in and out of senior level positions and ensure that their emails are designated and retained in accordance with the applicable GRS.

C. Records Liaison Officer Program

The RLO Program was created to assist the Records and Data Management Unit with coordination and implementation of records policies and procedures throughout ICE. The RLOs will serve as Directorate or Program Office representatives for record management activities. The Records and Data Management Unit will provide RLOs with the training, guidance, and tools needed to oversee records within each Directorate or Program Office. The RLOs must attend bi-monthly RLO meetings, coordinate with the Records and Data Management Unit and subject matter experts on the development of ICE schedules, ensure that recordkeeping procedures are established and implemented, conduct inventories, provide review and initial approval of transfer and disposal requests, and develop annual Records Improvement Plans.

Site Visits

The Records and Data Management Unit shall conduct site visits of Directorates and Program Offices to include all ICE field offices and facilities which are controlled by government or contracted by a non-government entity.

A. Records Assessments

Records Assessments evaluate the state of records at ICE facilities and/or field offices. The Records and Data Management Unit will review how the records are being maintained and provide guidance and feedback on any vulnerabilities that may exist. This is also an opportunity for offices to notify the Records and Data Management Unit what assistance (if any) is needed, e.g., training, transferring records off-site, how to properly dispose of records, and where to find applicable retention schedules.

B. Compliance Inspections

Compliance Inspections provide essential accountability and transparency of Records Management practices within Directorates and Program Offices and ICE facilities. Given the current challenges facing ICE, the oversight provided through records compliance visits is more critical than ever. The records compliance program provides objective analysis needed to ensure that ICE is maintaining information and data in accordance with NARA, DHS, and ICE policies and guidance to help improve agency operations and serve our mission.

C. Staff Assistance Visits (SAVs)

The purpose of SAVs are to assist ICE Directorates and Program Offices with subject matter expertise regarding records management issues, on a non-attribution basis, to maintain effective recordkeeping practices. The SAV is an opportunity to receive assistance from experienced headquarters personnel who oversee records management responsibilities on behalf of ICE. It is not an inspection, nor will a rating, score, grade, or assessment be provided or conducted. However, the SAV may conduct a root-cause analysis if significant observations are identified during the visit and make recommendations for improvements. All approved requests for conducting the SAV will be at the expense of the Directorate or Program Office seeking assistance (i.e., travel, materials, etc.). The objective of a SAV is to:

- Provide assistance with records guidance for program-specific objectives (i.e., projects, reorganizations, etc.);
- Evaluate the efficiency and effectiveness of operational processes and procedures regarding records practices;
- Assess risks and vulnerabilities of recordkeeping practices and apprise program offices of a mitigation strategy to minimize threats; and
- Provide program-specific training regarding records management.

Records Life Cycle

A. Creation or Receipt

Records creation is the first stage of the records lifecycle. The purpose of this stage is to create complete and accurate records that document the organization, functions, policies, decisions, procedures, and essential transactions of the agency.

Record Schedules

Records must be maintained in accordance with NARA approved records schedules. A records schedule is a set of instructions that provides the legal authority for retention and disposition of records grouped together in a series. It is used to indicate the length of time records must be maintained, identifies records as either permanent or temporary, and provides mandatory instructions for the disposition of records. Program Offices must coordinate with the Records and Data Management Unit to develop schedules for any records that do not have already have a NARA approved retention schedule. Pursuant to 36 C.F.R. § 1225.12(e), all agency records schedules submitted to NARA after December 17, 2007, are media neutral, i.e. the disposition instructions apply to the records regardless of the format unless the schedule identifies a specific medium.

B. Maintenance and Use

Maintenance and use are the second stage of the records lifecycle. This stage encompasses any action involving the storage, retrieval, and handling of records kept in offices by ICE. Pursuant to 36 C.F.R. § 1220.32(b) and (c), agencies must ensure records are organized and maintained to facilitate their use and ensure integrity throughout their authorized retention period, and records must be available when needed in a usable format to conduct agency business.

Records Inventory

Program Offices are required to conduct a records inventory on an annual basis. The inventory identifies all records created or received by ICE, the function of the records, whether there is an approved retention schedule that covers the records, and where those records are located. This lays the groundwork for establishing the required file plan. The records inventory documents:

- Office responsible for maintaining the records;
- Record title and description;
- Location(s);
- Applicable retention schedule;
- Volume;
- Inclusive dates;
- Format (hard copy and electronic);
- Arrangement;

- Access or use restrictions; and
- Essential record status.

File Plan

A file plan is a comprehensive outline of the records created/maintained within each Program Office. The file plan includes the records series, record type, storage location, and retention and disposition instructions.

Storage

All Federal records, regardless of format, must remain accessible so they can be identified and retrieved for the duration of the approved retention period.

Hardcopy storage: ICE creates a substantial volume of records which must be organized and stored for reference when needed for agency business. To manage this volume, the Records and Data Management Unit authorizes Directorates and Program Offices to temporarily store hardcopy records onsite and at offsite records storage facilities as appropriate. All onsite and offsite storage facilities shall be subject to Records and Data Management Unit inspections for compliance.

Electronic storage: to meet electronic recordkeeping requirements, consistent with annual ICE Records Management Training, all employees must manage electronic records using appropriate electronic systems and/or repositories that have the capability to identify, categorize, ensure authenticity, search, retrieve, retain records in accordance with a NARA approved retention schedule, and ability to execute disposition (delete or transfer to NARA for permanent preservation). Employees must ensure any electronic records are easily identifiable and retrievable. . Employees should work with their RLOs for additional guidance. Employees must ensure that they are not creating records with unapproved applications, such as encrypted messaging platforms or other software that preclude good recordkeeping practices.

C. Disposition

Disposition refers to actions taken when Federal records are no longer needed for current agency business. Disposition actions include disposing of temporary records or transferring records to the National Archives. Records must be on a NARA-approved records schedule to authorize disposition. Unscheduled records are designated as permanent until they are scheduled.

Temporary Records

In order to lawfully destroy eligible ICE records, the Records Officer must provide authorization. Records cannot be destroyed without prior approval. Offsite storage facilities will notify ICE when records maintained at their facilities become eligible for disposal. The Records and Data Management Unit will request concurrence from the Directorate or Program Office before

authorizing disposition. The Directorate or Program Office is responsible for providing approval or non-approval (with justification) for the disposition of the records.

Permanent Records

Permanent records will be accessioned to NARA for continued preservation when they are eligible in accordance with NARA approved records schedule. NARA accepts legal custody of the records once they are accessioned.

Disposition Hold

Records shall not be destroyed if they are subject to pending or active litigations, Freedom of Information Act requests, audits, or investigations. A hold requires the suspension of records disposition until the completion or resolution of the action, and notification from the Directorate or Program Office. If records under a hold are destroyed, it is considered unlawful and/or accidental destruction, and ICE will promptly report the incident to NARA.

Unauthorized Disposition or Loss of Federal Records

ICE employees shall promptly report unauthorized disposition of Federal records, including their unlawful or accidental destruction, defacement, alteration, or removal from Federal custody to the Records and Data Management Unit. Unauthorized disposition of Federal records is against the law and may lead to fines, imprisonment, termination from employment, or permanent disqualification from holding any office under the United States.

Records Management Training

The Records and Data Management Unit is responsible for establishing and implementing a training plan to include development of basic records training and subject matter specific training for different audiences and skill levels. All ICE employees and contractors are required to take annual Records Management training. While Directorates and Program Offices are encouraged to request tailored training for their personnel, this training will be conducted based upon the availability of resources.

Electronic Records

The Records and Data Management Unit will oversee and lead agency efforts to transition recordkeeping to a fully electronic environment compliant with NARA requirements and regulations to ensure that all agency records are created, retained, and managed in electronic formats with appropriate metadata.

Digitizing Records

Digitization is the process of converting paper or analog records into electronic records that capture all information, pages, and parts contained in the original source records. The Records and Data Management Unit is responsible for overseeing ICE efforts to digitize hard copy

records into an electronic medium that is searchable and compliant with NARA requirements. Directorates and Program Offices are responsible for ensuring continued access and usability of the digitized record for the duration of the approved retention period and protecting digitized records against unauthorized deletions, additions, or alterations.

Presidential Transitions

The Presidential transition is the transfer of Federal executive branch power from the incumbent President of the United States to the President-elect, including the off-boarding of political appointees concluding their service and the on-boarding of political appointees joining service to work for the President-elect. The ICE Presidential Transition Office is led by a Senior Component Accountable Official (SCAO) and comprised of members from Enforcement and Removal Operations, Homeland Security Investigations, and Management and Administration. The Records and Data Management Unit is responsible for conducting exit interviews with off-boarding political appointees to ensure that federal records remain the property of the agency and are transitioned to the successor. Off-boarding political appointees will certify non-removal of records or request removal of copies of documents using DHS Form 141-02 to be reviewed by the ICE Records Officer. The Records and Data Management Unit is responsible for briefing on-boarding political appointees on records management responsibilities. At the conclusion of the presidential transition, the SCAO shall transfer all records documenting the presidential transition to the Records and Data Management Unit. The Records and Data Management Unit will retain the presidential transition records in accordance with NARA approved records schedules.

Alien Files (A-Files)

The Alien File (A-File) is the official record that contains information regarding the transaction of an individual as he/she passes through the United States immigration and inspection process. While USCIS is the custodian of the A-File, ICE creates, contributes information to, and uses A-Files in the course of official duties. A-Files shall be managed in accordance with ICE policy and the USCIS Records Policy Manual. The Records and Data Management Unit provides guidance and assistance for managing A-Files.