

Request for Records Disposition Authority

Records Schedule Number **DAA-0567-2016-0002**

Schedule Status **Modified Approved Version**

Agency or Establishment **Immigration and Customs Enforcement**

Record Group / Scheduling Group **Records of the Bureau of Immigration and Customs Enforcement**

Records Schedule applies to **Agency-wide**

Schedule Subject **Information Management Compliance Records**

Internal agency concurrences will be provided **No**

Background Information

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
11	0	11	0

GAO Approval

Outline of Records Schedule Items for DAA-0567-2016-0002

Sequence Number	
1	Privacy Complaint Files Disposition Authority Number: DAA-0567-2016-0002-0001
2	Compliance Review Files Disposition Authority Number: DAA-0567-2016-0002-0002
3	Disclosure Advice Records Disposition Authority Number: DAA-0567-2016-0002-0003
4	Rulemaking Files Disposition Authority Number: DAA-0567-2016-0002-0004
5	Requests for System Waivers and Exceptions Disposition Authority Number: DAA-0567-2016-0002-0005
6	Information Sharing Agreement Files Disposition Authority Number: DAA-0567-2016-0002-0006
7	Testing Questionnaire Files Disposition Authority Number: DAA-0567-2016-0002-0007
8	Investment Reviews Disposition Authority Number: DAA-0567-2016-0002-0008
9	Social Media Operational Use Template (SMOUT) Disposition Authority Number: DAA-0567-2016-0002-0009
10	Data Access Request Analysis (DARA) Disposition Authority Number: DAA-0567-2016-0002-0010
11	Overdue A-File FOIA Request Report Disposition Authority Number: DAA-0567-2016-0002-0011

Records Schedule Items

Sequence Number	
1	<p data-bbox="345 380 678 411">Privacy Complaint Files</p> <p data-bbox="345 432 1149 464">Disposition Authority Number DAA-0567-2016-0002-0001</p> <p data-bbox="345 489 1487 636">Documentation on complaints that the actions of ICE employees or contractors have violated an individual's privacy rights, or the requirements of federal privacy laws or policies. May include the original complaint, reviews, assessments, correspondence, final response letter, and other associated documentation.</p> <p data-bbox="345 657 915 688">Final Disposition Temporary</p> <p data-bbox="345 709 873 741">Item Status Inactive</p> <p data-bbox="345 762 818 793">Is this item media neutral? Yes</p> <p data-bbox="345 814 805 940">Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No</p> <p data-bbox="345 961 1479 1066">Inactive Status Explanation This item is inactive because it was superseded by New Disposition Authority Number: DAA-GRS-2019-0001-0004</p> <p data-bbox="345 1108 659 1140">Disposition Instruction</p> <p data-bbox="345 1171 1487 1276">Retention Period Destroy 4 year(s) after complaint is closed or when final adjudication by the courts occurs, whichever is later</p> <p data-bbox="345 1318 656 1350">Additional Information</p> <p data-bbox="345 1381 948 1413">GAO Approval Not Required</p>
2	<p data-bbox="345 1430 704 1461">Compliance Review Files</p> <p data-bbox="345 1482 1154 1514">Disposition Authority Number DAA-0567-2016-0002-0002</p> <p data-bbox="345 1539 1520 1770">Review and guidance on policies, procedures, presentations, record schedules, multimedia projects, and other associated materials to ensure they are in compliance with privacy laws or rules. Includes records documenting assistance to Citizenship and Immigration Services (CIS) with Alien Case Files audits. May also include initial request for review, correspondence, operations, training reviews, routing information, final recommendation, and other associated documentation.</p> <p data-bbox="345 1791 915 1822">Final Disposition Temporary</p> <p data-bbox="345 1843 850 1875">Item Status Active</p> <p data-bbox="345 1896 818 1927">Is this item media neutral? Yes</p>

3	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	No
	Disposition Instruction	
	Cutoff Instruction	Cut off upon completion of review.
	Retention Period	Destroy 4 year(s) after cutoff.
	Additional Information	
	GAO Approval	Not Required
	Disclosure Advice Records	
	Disposition Authority Number	DAA-0567-2016-0002-0003
	Records documenting advice given to program offices on what information they may and may not disclose pursuant to the Privacy Act. May include the initial request for advice, correspondence, response, and other associated materials.	
	Final Disposition	Temporary
Item Status	Active	
Is this item media neutral?	Yes	
Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	No	
4	Disposition Instruction	
	Cutoff Instruction	Cut off at the end of fiscal year.
	Retention Period	Destroy 5 year(s) after cutoff.
	Additional Information	
	GAO Approval	Not Required
	Rulemaking Files	
	Disposition Authority Number	DAA-0567-2016-0002-0004
	Records explaining, justifying, and documenting the development and publication of a notice of proposed rulemaking or final rule supporting the exemptions claimed under the Privacy Act. May include the draft rule, reviews, routing information, notices of proposed rulemaking, final rules, related comments and other associated documentation.	
	Final Disposition	Temporary
	Item Status	Active

5	Is this item media neutral?	Yes
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	No
	Disposition Instruction	
	Cutoff Instruction	Cut off at end of fiscal year.
	Retention Period	Destroy 5 year(s) after cutoff or when no longer needed or superseded occurs, whichever is later
	Additional Information	
	GAO Approval	Not Required
	Requests for System Waivers and Exceptions	
	Disposition Authority Number	DAA-0567-2016-0002-0005
	Records documenting review and recommendations for ICE systems needing an exception or waiver of the provisions of the DHS Sensitive Systems Policy Directive 4300A. May include the original request, correspondence, reviews, final recommendation, and associated documentation.	
6	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	Yes
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	No
	Disposition Instruction	
	Cutoff Instruction	Cut off when system is disposed of.
	Retention Period	Destroy 3 year(s) after cutoff.
	Additional Information	
	GAO Approval	Not Required
	Information Sharing Agreement Files	
Disposition Authority Number	DAA-0567-2016-0002-0006	
Reviews of agreements with other entities for sharing information. May include a copy of the agreement or arrangement, review documentation, correspondence, suggested changes, and other associated materials.		
Final Disposition	Temporary	

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No

Disposition Instruction

Cutoff Instruction Cut off when agreement is terminated.

Retention Period Destroy 10 year(s) after cutoff.

Additional Information

GAO Approval Not Required

Testing Questionnaire Files

Disposition Authority Number DAA-0567-2016-0002-0007

Files documenting whether to authorize the use of real data for testing and under what conditions. Records documenting processes showing that risks to privacy and security are minimized while allowing needed tests to proceed. May include the completed questionnaire, correspondence, reviews, routing information, final recommendation, and associated documentation.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No

Disposition Instruction

Cutoff Instruction Cut off upon completion of training.

Retention Period Destroy 4 year(s) after cutoff.

Additional Information

GAO Approval Not Required

Investment Reviews

Disposition Authority Number DAA-0567-2016-0002-0008

Review of OMB 300 packages for systems to ensure or document that the privacy component of the package is completed or updated. May include a copy of the OMB 300 form, correspondence, and associated documentation.

7

8

Final Disposition Temporary
Item Status Active
Is this item media neutral? Yes
Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No

Disposition Instruction

Cutoff Instruction Cut off upon completion of review.
Retention Period Destroy 3 year(s) after cutoff.

Additional Information

GAO Approval Not Required

Social Media Operational Use Template (SMOUT)

Disposition Authority Number DAA-0567-2016-0002-0009

Documentation used to outline the agency's collection of personally identifiable information from the social media sources and determine privacy compliance with Management Directive 110-01, Privacy Policy for Operational Use of Social Media.

Final Disposition Temporary
Item Status Active
Is this item media neutral? Yes
Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No

Disposition Instruction

Cutoff Instruction Cut off at end of calendar year when replaced or becomes obsolete.
Retention Period Destroy 3 year(s) after cutoff.

Additional Information

GAO Approval Not Required

Data Access Request Analysis (DARA)

Disposition Authority Number DAA-0567-2016-0002-0010

The DARA document replaces a Privacy Threshold Analysis when agency records are shared out of DHS' Automated Biometric Identification System (IDENT) and is used to understand how data are shared and protected. The DARA is a joint

9

10

document between ICE and the IDENT system owner, the DHS Office of Biometric Identity Management (OBIM).

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No

Disposition Instruction

Cutoff Instruction Cut off when information sharing ceases.

Retention Period Destroy 10 year(s) after cutoff or when no longer required for business purpose occurs, whichever is later

Additional Information

GAO Approval Not Required

Overdue A-File FOIA Request Report

Disposition Authority Number DAA-0567-2016-0002-0011

Monthly report received from USCIS pertaining to the status of A-File FOIA requests. ICE annotates this report and sends it to program offices.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No

Disposition Instruction

Cutoff Instruction Cut off at end of fiscal year.

Retention Period Destroy 3 year(s) after cutoff.

Additional Information

GAO Approval Not Required

11

Agency Certification

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal in this schedule are not now needed for the business of the agency or will not be needed after the retention periods specified.

Signatory Information

Date	Action	By	Title	Organization
10/20/2015	Certify	Dawn Boswell	Records Officer	OAS - Privacy and Records
05/18/2016	Return for Revision	Ashby Crowder	Archives Specialist	National Archives and Records Administration - RDTP@ Archives II Processing Section
07/21/2016	Submit For Certification	Nathan Miller	Archivist	National Archives and Records Administration - Records Management Services
08/01/2016	Certify	Dawn Boswell	Records Officer	OAS - Privacy and Records
08/09/2016	Return for Revision	Ashby Crowder	Archives Specialist	National Archives and Records Administration - ACRA
08/09/2016	Submit For Certification	Dawn Boswell	Records Officer	OAS - Privacy and Records
08/30/2016	Certify	Dawn Boswell	Records Officer	OAS - Privacy and Records
12/12/2016	Submit for Concurrence	Ashby Crowder	Archives Specialist	National Archives and Records Administration - ACRA
12/14/2016	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
12/15/2016	Concur	Laurence Brewer	Director, National Records Management Program	National Archives and Records Administration - National Records Management Program
12/20/2016	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist