

## Request for Records Disposition Authority

Records Schedule Number      DAA-0567-2016-0002  
Schedule Status                Approved

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of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items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

Records Schedule Items

Sequence Number	
1	<p><b>Privacy Complaint Files</b></p> <p>Disposition Authority Number      <b>DAA-0567-2016-0002-0001</b></p> <p><b>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.</b></p> <p>Final Disposition                      <b>Temporary</b></p> <p>Item Status                              <b>Active</b></p> <p>Is this item media neutral?          <b>Yes</b></p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?      <b>No</b></p> <p><b>Disposition Instruction</b></p> <p>Retention Period                      <b>Destroy 4 year(s) after complaint is closed or when final adjudication by the courts occurs, whichever is later</b></p> <p><b>Additional Information</b></p> <p>GAO Approval                          <b>Not Required</b></p>
2	<p><b>Compliance Review Files</b></p> <p>Disposition Authority Number      <b>DAA-0567-2016-0002-0002</b></p> <p><b>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.</b></p> <p>Final Disposition                      <b>Temporary</b></p> <p>Item Status                              <b>Active</b></p> <p>Is this item media neutral?          <b>Yes</b></p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?      <b>No</b></p>

3

**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

**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

4

**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

Is this item media neutral?            Yes

Do any of the records covered by this item currently exist in        No

5

electronic format(s) other than e-mail and word processing?

**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.

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

6

**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

7

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

8

**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.

Final Disposition

Temporary

Item Status

Active

9

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

10

11

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



## 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