

U.S. IMMIGRATION AND CUSTOMS ENFORCEMENT

ICE Directive 17008.2: Self-Inspection Program

Issue Date: July 30, 2021

Superseded: ICE Directive 17008.1, *Self-Inspection Program (SIP)*, (July 14, 2008)

Federal Enterprise Architecture Number: 306-112-002a

1. **Purpose/Background.** This Directive establishes U.S. Immigration and Customs Enforcement (ICE) policy for a Self-Inspection Program (SIP). The purpose of SIP is to verify and ensure that ICE's mission is performed in accordance with established policies and procedures, and it was designed to strengthen program accountability and promote professional integrity across the agency. This Directive applies to all ICE Directorates and Program Offices.
2. **Policy.** On a biennial basis, ICE Directorates and Program Offices must complete a self-inspection to assess compliance with all relevant policies and procedures falling under the SIP, develop measures to correct identified deficiencies, and report the results in a timely manner to the designated Directorate or Program Office point of contact (POC).
3. **Definitions.** The following definitions apply for purposes of this Directive only.
 - 3.1. **Core Area POC.** Office personnel assigned to complete the core area workbooks.
 - 3.2. **Corrective Action Plan.** The formal identification of the steps or measures needed to be taken or implemented by a specified date to ensure that identified deficiencies are remedied in a timely manner.
 - 3.3. **Corrective Action Plan Memorandum.** A reconciliation of an office's core area Corrective Action Plan documented in a memorandum, separated by core area.
 - 3.4. **Headquarters Responsible Official.** Executive Associate Directors of Enforcement and Removal Operations, Homeland Security Investigations, and Management and Administration; the Principal Legal Advisor; the Associate Director of the Office of Professional Responsibility (OPR); and the Assistant Directors, Officers, or equivalent positions who report directly to the Director, Deputy Director, or Chief of Staff.
 - 3.5. **Operational Core Areas.** Internal office functions that are unique to each ICE Directorate or Program Office, job series, or classification level. These core areas include, but are not limited to: Bond Management, Detained Docket, Case Management, Confidential Informant, Evidence Handling, Firearms Program, Flash Firearms, Special Response Team Firearms Program, Technical Operations, and Security Management.

FOR OFFICIAL USE ONLY

- 3.6. SIP Records.** All workbooks, sample and supporting documentation, and documented corrective actions used to conduct and complete the self-inspection.
- 3.7. Self-Inspection.** A biennial review of each Directorate or Program Office’s internal office functions that identifies any non-compliance with ICE policy and procedure through self-reported deficiencies.
- 3.8. SIP.** An OPR managed program developed to ensure management accountability and oversight of agency programs that requires ICE Directorate and Program Office managers and supervisors to assess performance against established ICE and Department of Homeland Security (DHS) policies and procedures.
- 3.9. SIP Coordinator.** An employee designated by the Headquarters Official to ensure timely completion of the self-inspection.
- 3.10. Senior Level Official¹ (SLO).** A designated supervisor within each headquarters Directorate or Program Office or field office, charged with responsibility for overseeing the completion of the SIP for their respective directorate/unit/program/field office.
- 3.11. Survey.** Requirement questions in electronic form, supported by policy and categorized by operational and universal core areas, used to record the official response data from the self-inspection.
- 3.12. Universal Core Area.** Internal office functions common to the administrative functions and processes of all ICE offices. These core areas include, but are not limited to: Asset Management, Debit Card, Financial Controls, Management Responsibilities, Pay Administration, Purchase Card, Safety & Health, Security Management, and Travel Administration.
- 3.13. Workbook.** A template developed and issued by OPR used to record the results of office file reviews in response to requirement questions used to assess an office’s compliance with internal controls.
- 4. Responsibilities.**
- 4.1.** Headquarters Responsible Officials are responsible for:
- 1) Overseeing the timely submission of responses from each SLO or Headquarters official within their respective directorates/units/programs/field offices by the scheduled closing date of the self-inspection; and
 - 2) Ensuring that effective corrective actions for all identified deficiencies are completed by each SLO or appointed designee by the closing date of the self-inspection or request a formal extension to satisfy compliance; and

¹ This individual must be at the Unit Chief level or above and will vary by office.

- 3) Designating a SLO to manage the self-inspection process for their respective directorates/units/programs/field offices after being informed by the respective Directorate or Program Office SIP POC to initiate the self-inspection.

4.2 SLOs are responsible for:

- 1) Identifying SIP Coordinators for each directorate/unit/program/field office;
- 2) Consulting with the SIP Coordinators to monitor and ensure the completion of each SIP within the scheduled timeframe for their respective unit/program/field office;
- 3) Reviewing and certifying the results of the SIP electronic survey on behalf of their respective unit/program/field office by the scheduled closing date of the self-inspection;
- 4) Reviewing and certifying the Corrective Action Plan (if applicable); and
- 5) Managing the timely completion of all identified deficiencies in the corrective action plan and notifying OPR of the successful close out of those items.

4.3 OPR is responsible for:

- 1) Implementing all aspects of this Directive and ensuring that the results of each Directorate or Program Office's self-inspection are timely provided back to the respective program;
- 2) Administering the biennial self-inspection;
- 3) Providing the overall management of the SIP process, including administrative resources and guidance to the SIP Coordinators;
- 4) Reviewing and compiling the self-inspection results in an official report that is disseminated to the Headquarters Responsible Official within the respective ICE Directorates and Program Office; and
- 5) Tracking the status of SIP corrective actions through completion of the self-inspection.

4.4 The SIP Coordinator is responsible for:

- 1) Assigning Core Area POCs to complete the applicable universal and operational core area workbooks;
- 2) Recording all responses from the core area workbooks into the SIP electronic survey, and route to the SLO of the unit/program/field office for review and certification;

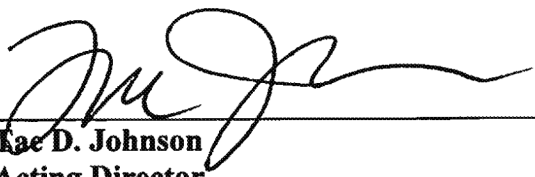
FOR OFFICIAL USE ONLY

- 3) Developing a Corrective Action Plan (CAP) for any identified deficiencies discovered during the self-inspection (if applicable);
- 4) Reconciling all Corrective Action Plans into a single memorandum and providing it to the SLO for review and certification following the closing date of the self-inspection; and
- 5) Submitting a copy of each completed core area workbook, electronic survey, and Corrective Action Plan (if applicable) to OPR at the completion of the self-inspection.

5. Procedures/Requirements.

- 5.1 Notification.** Upon OPR's notification to the Headquarters Responsible Official that a SIP needs to be initiated, the SLO will notify the impacted SIP coordinator, and self-inspection commences.
- 5.2 Commencement.** The SLO appoints the local SIP Coordinator and they initiate the self-inspection.
- 5.3 Coordination.** The SIP Coordinator, designated by the SLO for each program office will act as a liaison between OPR and the directorate/unit/program/field office undergoing the self-inspection.
- 5.4 Assignment.** The designated local office SIP Coordinators will work with the directorate/unit/program/field office management to assign applicable universal and operational core area workbooks and appoint a specific individual—a core area POC—for each area needed identified and documents the results in the workbook.
- 5.5 SIP Performed.** The Core Area POCs collect and review the required forms, office files, documents, and record the results in the applicable core area workbook.
- 5.6 Compilation of SIP Results.** The results are documented and all core area workbooks and supporting documentation are submitted by the Core Area POCs to the local SIP Coordinator for review and compilation.
- 5.7 Corrective Action Plan.** If areas for corrective actions are identified during the self-inspection, the local SIP coordinator will inform the SLO. The SIP Coordinator will then develop a Corrective Action Plan for each identified deficiency.
- 5.8 Reconciliation of Corrective Action Plan.** SIP coordinators, when applicable, compile all corrective actions into a Corrective Action Plan memorandum and provide it to the SLO for review and certification.
- 5.9 Certification.** The SLO certifies to OPR that they reviewed the electronic survey results and the Corrective Action Plan memorandum (if applicable) and agrees to complete the corrective actions recommended within the designated timeframe.

- 5.10 Submission.** The SIP Coordinator from office must submit the results of the electronic survey within the designated timeframe and make all SIP documentation readily available for review during an office inspection or audit.
- 6. Recordkeeping.** All relevant documents produced or provided in accordance with this Directive must be maintained in accordance with an applicable National Archives and Records Administration (NARA) General Records Schedule or a NARA-approved agency-specific records control schedule. If the records are not subject to a records schedule, they must be maintained indefinitely by the agency. In the event the records are subject to a litigation hold, they may not be disposed of under a records schedule until further notification. Documentation includes the SIP workbook, samples, supporting documentation, and corrective actions.
- 7. Authorities/References.**
- 7.1. *Homeland Security Act of 2002*, Public Law (Pub. L. No.) 107-269, § 433.
 - 7.2. *Government Performance and Results Act of 1993*, Pub. L. No. 103-62.
 - 7.3. Title 5 of the United States Code (U.S.C.), § 305, *Systemic Agency Review of Operations*.
 - 7.4. *Federal Information Security Management Act of 2002*, 44 U.S.C. §§ 3541-3549.
 - 7.5. Office of Management and Budget, *Circular A-123. Management's Responsibility for Enterprise Risk Management and Internal Control*, (July 15, 2016, or as updated).
 - 7.6. DHS *Delegation Order Number 7030.2, Delegation of Authority to the Assistant Secretary for U.S. Immigration and Customs Enforcement* (Nov.13, 2004, or as updated).
 - 7.7. ICE Directive 6-1.0, *Functions of the Office of Professional Responsibility*, (Feb. 3, 2005, or as updated).
- 8. Attachments.** Guidance for Completing a Corrective Action Plan Memorandum.
- 9. No Private Right.** This document provides only internal ICE policy guidance, which may be modified, rescinded, or superseded at any time without notice. It is not intended to, does not, and may not be relied upon to create any right or benefit, substantive or procedural, enforceable at law by any party in any administrative, civil, or criminal matter. Likewise, no limitations are placed by this guidance on the otherwise lawful enforcement or litigative prerogatives of ICE.



Eric D. Johnson
Acting Director
U.S. Immigration and Customs Enforcement