

Department of Homeland Security



U.S. Immigration
and Customs
Enforcement

Office of Investigations

Case Management Handbook

OI HB 08-02

February 1, 2008

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Foreword

The Case Management Handbook provides a single source of policy and responsibilities for U.S. Immigration and Customs Enforcement (ICE) Office of Investigations (OI) Special Agents and other OI personnel when using Case Management. Case Management, which resides within the Treasury Enforcement Communications System (TECS)-II, is the vehicle used by OI personnel when processing investigative cases. The Case Management Handbook contains policy that will help ensure uniformity and consistency at all OI field offices. This Handbook is available electronically in the "Handbooks" section of the OI Proprietary Web site. Guidance on procedures can be found in the TECS-II User's Guide, available in the "Templates and Guides" section of the OI Proprietary Web site. Within OI, oversight over Case Management resides with the Executive Information Unit (EIU), Mission Support Division (MSD).

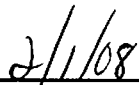
This 2008 edition amends Section 4.1.3(2) of OI HB 07-01, Case Management Handbook, issued on October 4, 2007. OI HB 07-01 is hereby superseded.

The Case Management Handbook is an internal policy of OI and is not intended to confer any right or benefit on any private person or party. If disclosure of this Handbook or any portion of it is demanded in any judicial or administrative proceeding, the Information Disclosure Unit (IDU), MSD, OI, as well as the appropriate ICE Counsel and/or U.S. Attorney should be consulted so that appropriate measures can be taken to invoke privileges against disclosure. This Handbook contains information which may be exempt from disclosure to the public. Any further request for disclosure of this Handbook or information contained herein should be referred to IDU.

The OI Policy Unit is responsible for coordinating the development and issuance of OI policy. All suggested changes or updates to this Handbook should be submitted to the Policy Unit which will coordinate all needed revisions with EIU.



Marcy M. Forman
Director, Office of Investigations



Date

CASE MANAGEMENT HANDBOOK

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CASE MANAGEMENT HANDBOOK

Chapter 1 PURPOSE

The *Case Management Handbook* establishes the U.S. Immigration and Customs Enforcement (ICE) Office of Investigations (OI) policies and responsibilities for the use of Case Management by OI Special Agents (SAs) and other OI personnel. The mission of OI is to defend the Nation by enforcing customs and immigration laws through investigations that target the people, money, and materials that support terrorist and other criminal activities. Case Management is critical to the accurate and timely tracking of the investigations OI conducts in support of its mission.

This Handbook will assist enforcement personnel in opening cases, writing Reports of Investigation (ROIs), inputting and linking subject records, completing Seized Asset and Case Tracking System (SEACATS) Search/Arrest/Seizure (S/A/S) Incident Reports, posting hours, and posting enforcement and seizure statistics to cases in Case Management.

This Handbook outlines the policies by which OI conducts its Case Management activities and refers the reader to the online *Treasury Enforcement Communications System-II (TECS-II) Case Management User's Guide* and other documents as appropriate.

1.1 ICE Enforcement Automated Systems

Case Management is accessed from the main TECS-II Menu. OI personnel may enter, modify, and query Case Management information.

TECS-II is a menu-driven system with the user's menu specifically tailored to the requirements of his or her job. Each user has a unique identification number and password, and every transaction that he or she performs is logged for audit purposes. All users have the capability to query and create subject records that consist of persons, conveyances, businesses, addresses, or organizations. Source documents and enforcement reports electronically stored in TECS-II are considered "Law Enforcement Sensitive" and should be treated as such when a printout is received.

The SEACATS is the system used to document all criminal and administrative arrests.

The Enforcement Apprehension and Booking Module (EABM) and the Automated Biometric Identification System (IDENT) are the primary ENFORCE applications for OI SAs to use when processing arrests. (See OI Directive 06-003, entitled *ENFORCE EABM/IDENT/IAFIS*, dated January 3, 2006, or as updated.) The Integrated Automated Fingerprint Identification System (IAFIS) works in conjunction with IDENT. IDENT/IAFIS automates 10-print processing by enabling the electronic capture of 10-print fingerprints.

1.2 TECS-II User's Guide

The *Case Management Handbook* is not intended to be a User's Guide. There is a User's Guide which describes in detail how to use Case Management. In addition, Case Management fields have "field help" within TECS-II which can be accessed by the user. OI personnel should refer to the User's Guide when specific questions arise regarding Case Management. Additional sources of information regarding Case Management include supervisors and local System Control Officers (SCOs). Questions and problems with Case Management can also be referred to the ICE National SCO via email to nsco-ice@dhs.gov, or by calling the phone numbers posted on the OI Proprietary Web site.

1.2.1 ENFORCE User Manual

The ENFORCE User Manual is located on the OI Proprietary Web site and on DHS Online on the EABM Web site. It describes in detail how to use ENFORCE.

1.3 Resource Allocation

OI managers use Case Management and statistical information for resource allocation purposes in order to make the most effective use of limited resources (personnel and equipment). OI personnel in all job series and at all levels must be aware of the importance of Case Management statistics and how they are used.

1.4 Requests for Information

Frequently, OI is required to respond to requests for information from a variety of organizations and individuals (e.g., Congressional committees, Executive Branch offices, the Government Accountability Office, the Office of Management and Budget, and offices within ICE). Case Management provides the information necessary to respond to many of these requests. The detail and accuracy of the information contained in Case Management is therefore critical. All ICE enforcement automated systems information should be treated as "Law Enforcement Sensitive."

Chapter 2 DEFINITIONS

The following definitions are provided for the purposes of this Handbook and are not intended to be all-inclusive. Some are provided for information only and may not be subsequently referenced in this Handbook.

2.1 Area of Responsibility

An area of responsibility (AOR) is a particular geographic region defined as the responsibility of a specific OI office. An AOR encompasses the geographical area of responsibility overseen by the Special Agent in Charge (SAC).

2.2 Arrest

A person is arrested when there exists probable cause to believe that he or she has committed a crime and is taken into custody. Arrests should not be confused with detentions for questioning or detentions for the continuation of border search authority. For Case Management purposes, arrests are initial enforcement statistics.

2.2.1 Administrative Arrest

An administrative arrest is the arrest of an alien for administrative immigration charges. Administrative charges are normally adjudicated before an Immigration Administrative Law Judge. An administrative arrest may also be effected pursuant to the issuance of an administrative warrant or based on probable cause.

2.2.2 Criminal Arrest

A criminal arrest is the arrest of an individual for criminal charges which are further adjudicated before a U.S. District Court Judge; a U.S. Magistrate Judge; a state or local court judge before whom the individual is arraigned and will face criminal charges. A criminal arrest may also be effected pursuant to the issuance of a criminal warrant or based on probable cause.

2.3 Asset Sharing (also known as Equitable Sharing)

Asset Sharing is the application for the sharing of forfeited proceeds and/or assets.

For additional information concerning asset sharing, refer to the Department of the Treasury, *Guide to Equitable Sharing for Foreign Countries and Federal, State, and Local Law Enforcement Agencies*, dated April 2004, or as updated.

2.4 Automated Biometric Identification System (IDENT)

IDENT is an automated Department of Homeland Security (DHS) system that permits the capture and search of biographic/biometric information for subject identification.

2.5 Case Category

Investigative activities are divided into various categories based on the types of activities under investigation. This categorization assists in the generation and analysis of data in Case Management. A case category should be based on the predicate (primary) offense.

2.6 Case Statistics

Case statistics are activities and incidents that are attributable to a specific case by ROI type (e.g., w - warrant, j - grand jury indictment, etc.). These statistics are used by management to evaluate the productivity of enforcement personnel, offices, and specific

investigations. Case statistics do not require association with final enforcement statistics, but do require closing statistics.

2.7 Case Status

The case status refers to the level of activity in an investigation. Investigations are “unopened,” “opened,” “pending,” or “closed.”

2.7.1 Case Status - Unopened

A case that is in draft format and not yet approved by a supervisor is considered unopened.

2.7.2 Case Status - Open

A case may be opened when information is developed which indicates that a violation of one or more laws enforced by ICE has occurred or will likely be committed by specific individuals, organizations, or businesses. Cases can be opened for criminal and/or administrative purposes. In addition, cases are opened to assist other ICE offices, other federal, state, local, or tribal agencies, or foreign countries in enforcing their laws and regulations.

2.7.3 Case Status - Pending

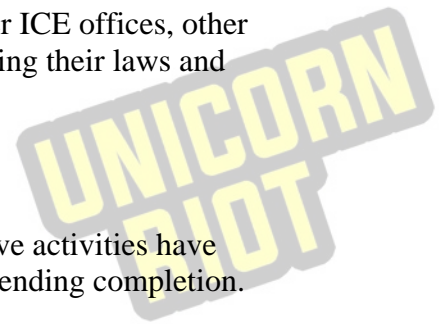
A case is placed in a pending status when all appropriate investigative activities have been completed but there is still a judicial or administrative action pending completion.

2.7.4 Case Status - Closed

A case is closed when management has determined that all investigative leads have been exhausted, or the predicate offense has changed and a new case opened under a new case category. A case will not be “closed” until all judicial and administrative proceedings, including property dispositions, have been resolved and properly reported in Case Management.

The case record status is automatically changed to “closed” when the supervisor approves the closing ROI, the case statistics are finalized, and the supervisor has completed a case review.

Note: A case cannot be closed unless a minimum of 1 hour has been posted against the case and has been approved. Because of this, the case record opening must be approved before an “open and close” ROI can be approved.



2.8 Collateral Hours

Collateral hours are those hours that are worked in support of, or in coordination with, another OI office.

2.9 Collateral Investigation

Collateral investigations are investigations opened in one or more OI offices based on investigative information provided by another OI office where the investigation originated.

2.10 Collateral Statistics

Collateral statistics are used to account for case work conducted based on information provided by another OI office. Collateral statistics allow an office to capture enforcement statistics where the action occurred, in conjunction with the office that initiated the case.

2.11 Consensual Intercepts

A consensual intercept is the electronic monitoring of private communications with the consent of at least one party to the conversation. Consensual intercepts do not require a court order. For Case Management purposes, consensual intercepts are case statistics and are captured via the Electronic Surveillance (ELSUR) report.

2.12 Conviction

A conviction is the final legal disposition of a defendant who has been found guilty. For Case Management purposes, convictions are final enforcement statistics.

2.13 Country Codes

Country codes are TECS-II two-character country codes. Country codes are added to TECS-II case records in an effort to identify the involved countries and to inform the appropriate ICE Attaché.

2.14 Court-Imposed Fines

Court-imposed fines are monetary penalties imposed by a criminal or civil court subsequent to a conviction on criminal or civil charges. For Case Management purposes, court-imposed fines are final enforcement statistics.

2.15 Dismissal

A dismissal is a final legal disposition of a defendant where prosecution has been terminated prior to a finding of guilt or innocence. For Case Management purposes, dismissals are final enforcement statistics.

2.16 Distribution of Reports of Investigation

The TECS-II case record can be modified to include the standard OI office codes for domestic and foreign offices which may be interested in an investigation. If an office's code is entered in the case record, the office will automatically be placed on the distribution for all ROIs written on the case.

2.17 ENFORCE

ENFORCE is a suite of applications designed to interface with the Enforcement Integrated Database (EID) for processing immigration enforcement related activities. Some of the systems include the ENFORCE EABM, General Counsel Electronic Management System, IDENT, and Worksite Enforcement Activity Reporting System (commonly referred to as LYNX).

2.18 ENFORCE Apprehension Booking Module

EABM (formerly known as the Enforcement Case Tracking System) is the principal user interface with the EID, and is an incident-based application that standardizes the collection and reporting of immigration enforcement data across DHS.

2.19 Enforcement Statistics

Enforcement statistics track activities and incidents that are attributable to specific cases. Enforcement statistics are used by management to evaluate the productivity of enforcement personnel, offices, and specific investigations. They are further classified as initial and final statistics.

2.20 Final Enforcement Statistics

Final enforcement statistics track activities and incidents attributable to a specific case, and are used by management to evaluate the productivity of enforcement personnel, offices, and specific investigations. Final enforcement statistics report the ultimate disposition of initial enforcement statistics.

2.21 Forfeiture

Forfeiture results whenever the title of seized property is transferred to the U.S. Government either through a judicial or an administrative process. Forfeiture can be

based on criminal, civil, or administrative statutory authorities. For Case Management purposes, forfeitures are final enforcement statistics.

2.22 Fugitive

A fugitive is a defendant who has been charged by an indictment, information, criminal complaint, and/or administrative warrant of deportation or removal, and is not yet in custody. A fugitive may also be a defendant who was in custody and who has absconded.

2.23 General Investigative Activity

General investigative activity is any activity that is not otherwise creditable against any specific investigation.

2.24 OI-Sponsored Organized Crime Drug Enforcement Task Force (OCDETF) Investigation

OI-sponsored OCDETF investigations are those that have been presented to and approved by an OCDETF Core City Coordination Group based on a proposal that was either formally sponsored or co-sponsored by an OI SA. For Case Management purposes, OI-sponsored or co-sponsored OCDETF investigations are case statistics.

2.25 Indictment/Information

Indictments and informations are legal documents that charge suspects with violations of law. Indictments are issued by grand juries, whereas informations are issued by a U.S. Attorney and filed in U.S. District Court. Informations are used when a defendant has waived his or her right to a grand jury indictment. Both businesses and persons may be the subjects of indictments or informations. For Case Management purposes, indictments and informations are initial enforcement statistics.

2.26 Initial Enforcement Statistics

Initial enforcement statistics track activities and incidents that are attributable to a specific case. These statistics are used by management to evaluate the productivity of enforcement personnel, offices, and specific investigations. Initial enforcement statistics require final dispositions that are reported in Case Management as final enforcement statistics. OI cases cannot be closed in TECS-II unless all initial enforcement statistics are associated with final enforcement statistics.

2.27 In Rem Arrests

In rem arrests occur when tangible property is taken into custody by the U.S. Government during the seizure and forfeiture process. *In rem* arrests are normally accomplished using a court order or arrest warrant that has been issued by a judge. For Case Management purposes, *in rem* arrests are initial enforcement statistics.

2.28 Integrated Automated Fingerprint Identification System

IAFIS is a Federal Bureau of Investigation (FBI) system that holds specific fingerprint, biographic, and criminal history information of those persons who have been apprehended/arrested by various law enforcement agencies.

2.29 Investigation

An investigation is opened when it has been determined that one or more violations enforced under ICE's jurisdiction have occurred or are likely to occur. Investigations can be criminal, civil, or administrative in nature.

2.30 Investigative Referral

Investigative referrals are used when one OI office has received or developed information and sends it to the appropriate OI office. Investigative referrals may be general in nature (unlike specific collateral lead requests) and may be categorized primarily as tips or general non-specific case-related leads. Referrals may involve general for your information (FYI) types of information which do not warrant a collateral investigation.

2.31 Juvenile

A juvenile is a person who has not reached the age (usually 18) at which one is generally treated as an adult by the legal system.

2.32 Mid-Level Field Manager

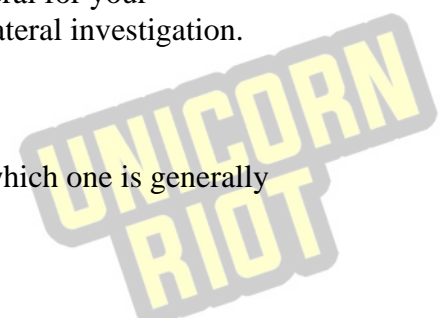
Mid-level field managers include Resident Agents in Charge (RACs), Assistant Special Agents in Charge (ASACs), and Deputy Special Agents in Charge (DSACs), who manage supervisors overseeing day-to-day operations.

2.33 *Nolle Prosequi (Nolle Pros)*

A *nolle pros* is a final legal disposition for a defendant where the prosecutor has decided to discontinue the prosecution. For Case Management purposes, a *nolle pros* is considered a final enforcement statistic.

2.34 Non-Consensual Monitoring

A non-consensual intercept is the electronic monitoring of private communications without the consent of any of the parties to the conversation. Typically, this requires the issuance of a court order. Applications for non-consensual intercept court orders must be processed through OI Headquarters. For Case Management purposes, non-consensual intercepts are case statistics and are captured via the ROI.



2.35 Offers in Compromise

An offer in compromise occurs when a subject or business voluntarily agrees to pay duties and/or penalties, either prior to or after the issuance of a penalty notice by a U.S. Customs and Border Protection (CBP) Office of Field Operations (OFO) Director, Field Operations (DFO). Voluntary tenders are reported in Case Management as offers in compromise. For Case Management purposes, offers in compromise are final enforcement statistics.

2.36 Participating

Participating refers to the role of an office in relation to an enforcement action such as an arrest or seizure. The level of participation in the enforcement action must be measurable in order to claim credit for the enforcement action and any subsequent enforcement results. Supervisory personnel must be able to specifically articulate how their office personnel directly participated in the enforcement action.

2.37 Penalty Issued

This refers to instances when a CBP OFO DFO issues a penalty notice for a civil violation of law. Penalties may also be issued based on CBP referrals or may be issued by other agencies or departments including, but not limited to, DHS, the Department of Commerce, the Department of Justice, and the Department of the Treasury. Penalties may be issued to individuals, businesses, or both. CBP penalties are only issued by the DFOs in their respective ports. Worksite fines are issued by ICE OI field offices. Penalties are entered in Case Management only by the office that conducted the investigation and referred the case for penalty action. Offices that conduct collateral investigations will not report the penalty unless their local field office issues the penalty as a result of their collateral investigation. For Case Management purposes, penalties issued are initial enforcement statistics.

2.38 Penalty Recovered

A penalty recovered is a payment to CBP or ICE for the penalties or fines that have been issued based on a civil violation of law. Penalties may also be recovered by other agencies or departments based on CBP or ICE referrals. There must be a penalty issued for a penalty to be recovered. For Case Management purposes, penalties recovered are final enforcement statistics.

2.39 Psychophysiological Detection of Deception (PDD) Examination (formerly known as a Polygraph Examination)

A PDD examination is a process that involves the monitoring and recording of respiration, electrodermal activity, cardiovascular activity, and possibly other parameters during which questions are presented to the examinee. The physiological recordings are analyzed to determine if specific and consistent responses are noted that research has

identified to be associated with deception. For the purposes of Case Management, a PDD examination conducted during the course of an OI investigation is a case statistic.

2.40 Pre-Trial Diversion

A pre-trial diversion is a final disposition of a defendant who has pleaded guilty to one or more charges and has been typically placed on a form of probation for a specified period of time. If all the conditions of the probation are met, the guilty plea is set aside. For Case Management purposes, a pre-trial diversion is a final enforcement statistic.

2.41 Principal Headquarters Officers

The Principal Headquarters Officers (PHOs) are the OI Director, Deputy Director, Assistant Directors, and Deputy Assistant Directors.

2.42 Program Codes

Program codes are used to associate Case Management data (hours, statistics, reports, etc.) with specific program areas and specific undercover or special operations. Several program codes can be entered into one case record, providing greater flexibility when querying Case Management. This will allow a case to be included in statistical reports that focus on a particular program area.

2.43 Purchase of Information (POI)/Purchase of Evidence (POE)

POI/POE costs identify the amount of POI/POE expenses for each investigation.

For additional information on POI/POE, consult Chapter 41 of the USCS OI SA Handbook entitled, *Informants*, dated June 23, 1997, or as updated.

2.44 Referral for Prosecution

A referral for prosecution refers to the date when a case is presented for prosecution. (For additional information, consult the *TECS-II Case Management User's Guide*.)

2.45 Search Warrant

For the purposes of Case Management, a search warrant is a case statistic when an OI SA was the affiant or co-affiant on the search warrant application, or when the OI SA was instrumental in providing or developing the probable cause that was required to obtain the warrant.

2.46 Seizures

Seizures are the physical or constructive possession of property, real or personal, which may be held for forfeiture, for violation of law, or as evidence. Seizures will normally be

claimed by the OI office in whose AOR the seizure was made. For Case Management purposes, seizures are initial enforcement statistics.

2.46.1 Seizure (with no value)

A seizure with no value is a seizure in which the item seized does not have any real value. Examples of this type of seizure include drugs, photographs, and documents. Although these items will normally require additional processing, there will not be an automatic updating of the seizure disposition from the Fines, Penalties, and Forfeitures (FP&F) system. Final dispositions are required in Case Management for seizures of evidence.

2.46.2 Seizure (with value)

A seizure with value is a seizure in which the seized item has a real value. Examples of this type of seizure include currency, monetary instruments, vehicles, real estate, and jewelry. Final dispositions are required in Case Management for all seizures with value. Normally, this will be accomplished through an automatic computer interface with the FP&F system.

2.47 Sub-Category

A sub-category is used to further define the broad investigative case categories. Each case category has several sub-categories that facilitate the querying of information in Case Management.

2.48 Superseding Indictment

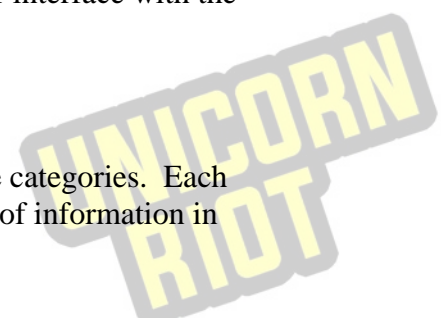
A superseding indictment is an indictment that is returned by a grand jury subsequent to the return of a previous indictment. Superseding indictments are recorded as indictments in Case Management. No distinction is made in Case Management between superseding indictments and original indictments. Only additional (new) charges (statutes) and counts will be added in Case Management when a superseding indictment is obtained. For the purposes of Case Management, an indictment is an initial enforcement statistic.

2.49 TECS-II

TECS-II is an automated enforcement and inspection system designed to support DHS, the Department of the Treasury, and other federal users.

2.50 Threat and Assault Investigations

OI has the responsibility to investigate certain assault and threat activity as it relates to ICE and CBP employees.



For further information, see U.S. Customs Service (USCS) Directive 1440-021A entitled, *Investigation of Threats and Assaults and Protection and/or Relocation of Threatened Employees and Family Members*, dated September 13, 2000, or as updated.

Chapter 3 ROLES AND RESPONSIBILITIES

The utility of Case Management relies on the conscientious efforts of personnel at all levels in OI. Each level of user has specific responsibilities with respect to Case Management.

3.1 Case Agent/Officer

This section will discuss Case Agent/Officer responsibilities in the following areas:

- Accuracy of Information
- Timely Completion of Reports
- Timely Entry of Hours and Statistics
- Completeness of Case Files
- Proper Storage and Security of Files
- Completeness and Update of Subject Records

3.1.1 Accuracy of Information

The case agent/officer is the primary officer responsible for the accuracy of information in Case Management. This includes case hours, enforcement statistics, and reports entered into Case Management. The accuracy of information relating to investigations is of critical importance during all phases of a case.

3.1.2 Timely Completion of Reports

The case agent/officer is responsible for the timely and accurate completion of case reports. Chapter 4 of this Handbook entitled, *Investigative Case Files and TECS-II Reports*, identifies specific time limits for the completion of reports. Case officers should submit these reports to their supervisor no later than the specified times. If a reporting time limit cannot be met, it is the responsibility of the case officer to discuss the delay with the first-line supervisor. If appropriate, the first-line supervisor may extend the reporting time limits.

3.1.3 Timely Entry of Hours and Statistics

The case agent/officer is responsible for the timely entry of hours and statistics in Case Management. Posting hours and statistics in an untimely manner will result in those hours and statistics not being included in certain management information reports. Investigative hours are required to be entered no later than the tenth working day of a

new month. If this time limit cannot be met due to unforeseen circumstances, it is the responsibility of the first-line supervisor to enter surrogate case hours.

Manually entered enforcement statistics are required to be entered as soon as possible but no later than 5 days after the occurrence of the enforcement activity or immediately upon being notified by the U.S. Attorney's Office (USAO). If this time limit cannot be met due to other investigative commitments, it is the responsibility of the case officer to discuss the matter with the first-line supervisor.

Case Management will not allow cases to be closed unless final enforcement statistics are reported and approved for all initial enforcement statistics. Initial enforcement statistics include, but are not limited to, arrests (criminal and administrative), indictments/informations, seizures, and penalties (issued).

Final enforcement statistics include, but are not limited to, convictions; voluntary returns; turn-overs to other agencies; court-imposed fines; nolle-pros; acquittals; dismissals; seizures that have been forfeited, destroyed, or returned; and penalties or duties that have been collected.

3.1.4 Completeness of Case Files

The case officer is responsible for ensuring that each case file is complete. Documents, reports, or component parts of the original case file should not be removed from the case file.

3.1.5 Proper Storage and Security of Files (Case Files, A-Files, Work Files, etc.)

Case officers are responsible for the proper storage and security of all files (case files, A-Files, and other work files) that are in their custody. All files should be maintained in a secure location and placed into locked storage when not in active use. Years of investigative effort can be destroyed if case files are lost, stolen, misplaced, or otherwise compromised. Loss of sensitive case information can also result in danger to SAs, material witnesses, and confidential informants. Proper electronic security and media control procedures must be employed for files that are kept in an electronic format (laptop, e-mail, removable media devices). Refer to DHS Management Directive 11042.1, *Safeguarding Sensitive but Unclassified (For Official Use Only) Information*, dated January 6, 2005, or as updated, and ICE Directive 73003.1, *Safeguarding Law Enforcement Sensitive Information*, dated March 23, 2007, or as updated.

3.1.6 Completeness and Update of Subject Records

The creating SA is responsible for ensuring that all subject records are complete (see Section 4.1.7). This includes adding all identifiers (i.e., Driver's License Numbers, FBI Numbers, Social Security Numbers, etc.), as well as all related phone numbers, addresses, etc. Subject records must be updated with current and accurate information as it becomes available.

3.2 First-Line Supervisor

The first-line supervisor's duties are discussed in the following sections:

- Verifying Adherence to Policies and Procedures
- Promptly Reviewing and Approving/Disapproving Reports, Statistics, and Hours
- Necessity of Collateral Requests
- Providing Advice and Direction
- Conducting Periodic Case Reviews

3.2.1 Verifying Adherence to Policies and Procedures

First-line supervisors are responsible for ensuring that enforcement personnel under their supervision are conducting investigations in compliance with applicable policies and procedures. First-line supervisors must ensure that investigations and subject records are reassigned to another SA in the event of an originating SA's transfer, retirement, or resignation.

3.2.2 Promptly Reviewing and Approving/Disapproving Reports, Statistics, and Hours

First-line supervisors are responsible for entering their own case hours as well as for reviewing/approving/disapproving reports, statistics, and hours in Case Management for case officers under their supervision. Supervisors must ensure that reports are well written and in compliance with the applicable standards regarding format and content. Supervisors are required to perform a "quality control" role for the reports and data they review and approve/disapprove. Quality control includes verifying the accuracy and clarity of the data, ensuring that all codes and fields are entered correctly, and vetting associated documents. The review of reports, statistics, and hours should be approved by the first-line supervisor as soon as possible, but not to exceed 5 business days after they are submitted.

3.2.3 Necessity of Collateral Requests

First-line supervisors are in the best position to evaluate the necessity of collateral requests to other offices. Supervisors should not normally request that other SAC offices do things that can be done in their own office (e.g., requesting that other offices conduct TECS-II, National Crime Information Center (NCIC), or National Law Enforcement Telecommunications System queries, or queries for telephone subscriber information). Because some offices can be inundated with collateral requests for assistance, supervisors must exercise good judgment when approving ROIs which request assistance from other OI offices. Prior to forwarding a collateral request that will result in a great deal of work by another office, the first-line supervisor should contact and discuss the request with his or her counterpart in the receiving office.

3.2.4 Providing Advice and Direction

First-line supervisors are responsible for providing advice and direction to the personnel they supervise regarding Case Management issues. Depending on their level of experience, case officers will require guidance regarding how to establish and achieve investigative goals. Advice and direction are provided through routine oral and written communications and through periodic case reviews.

3.2.5 Conducting Periodic Case Reviews

First-line supervisors are required to review carefully the case file, including the case record openings, modifications, and closings. In addition, first-line supervisors are required to ensure that case records are properly updated during case reviews.

The automatic case review module in TECS-II assists first-line supervisors during periodic case reviews, conducted at a minimum every 120 days or more frequently, as needed or as mandated by the SAC. During or subsequent to the case review, the first-line supervisor is required to provide narrative comments, recommendations, and/or investigative objectives which will provide the case officer with clear guidance and direction on how best to proceed with the investigation.

Case Management in TECS-II automatically generates case review notifications. Once a case record has been opened and approved, Case Management will automatically determine a due date for the case review at the end of 120 days. A first-line supervisor will be notified of the case reviews that are due. After a case has been reviewed and approved, Case Management will automatically determine the subsequent case review due date at the end of the next 120 days. The supervisor must ensure that printed case remarks are placed in the case folder behind the Case Chronology and Review Sheet (see Appendix B) in the Case File. A notation on the Case Chronology and Review Sheet must be made detailing when the case review took place.

3.3 Mid-level Field Managers

The duties of mid-level field managers (DSACs, ASACs, and RACs) are discussed in the following sections:

- Verifying Adherence to Policies and Procedures
- Establishing Local Office Policies
- Coordinating Office and SAC Communications

3.3.1 Verifying Adherence to Policies and Procedures

Mid-level field managers are responsible for ensuring office adherence to applicable policies and procedures. They should not assume that first-line supervisors are consistently requiring their personnel to adhere to policies and procedures. Small but important details can easily be overlooked. Periodic spot checks and a vigorous internal

controls program can aid mid-level field managers in determining adherence to policies and procedures.

3.3.2 Establishing Local Office Policies

Mid-level field managers are responsible for establishing local office policies and procedures that implement the AOR and national policies and procedures. These local policies can be more restrictive but not less restrictive than the SACs' AOR policies.

3.3.3 Coordinating Office and SAC Communications

Mid-level field managers have primary responsibility for coordinating communications between their office and the SAC office. Mid-level field managers are responsible for providing routine and periodic briefings and updates to their SAC.

3.4 Special Agents in Charge

The SACs' duties are discussed in the following sections:

- Maintaining Oversight of Policies and Procedures
- Establishing AOR Policies
- Coordinating Headquarters and Field Communications

3.4.1 Maintaining Oversight of Policies and Procedures

SACs are responsible for ensuring oversight and implementation of the policies and procedures relating to Case Management.

3.4.2 Establishing AOR Policies

SACs are responsible for establishing AOR office policies and procedures that implement national policies and procedures. These AOR policies can be more restrictive but not less restrictive than national policies (e.g., SACs are permitted to establish more restrictive time frames than those set in this Handbook.)

3.4.3 Coordinating Headquarters and Field Communications

SACs have primary responsibility for coordinating communications between their office and Headquarters. Routine and periodic briefings and updates to Headquarters are the responsibility of the SACs or designees.

3.5 Principal Headquarters Officers

The PHOs' duties are discussed in the following sections:



- Supporting Field Offices
- Verifying Adherence to Policies and Procedures
- Monitoring Case Activity
- Responding to Requests for Information

3.5.1 Supporting Field Offices

PHOs are responsible for ensuring that SACs receive necessary and appropriate Headquarters level support, based on the availability of resources. The most important role of Headquarters is to support the SACs.

3.5.2 Verifying Adherence to Policies and Procedures

PHOs will maintain a level of oversight to verify that SACs are properly complying with national policies and procedures. This oversight function by Headquarters is essential to validate that SACs are being held accountable for adherence to national policies and procedures.

3.5.3 Monitoring Case Activity

PHOs will maintain a level of oversight to monitor SAC case activity in their AOR. PHOs must be aware of significant developments in the major investigations that are being conducted by SACs.

3.5.4 Responding to Requests for Information

PHOs are responsible for properly responding to various requests for information that are received at ICE Headquarters. When appropriate, Case Management is relied upon to respond to these requests for information. These requests for information will be coordinated with the SACs in an effort to comply with investigative procedures.

3.6 Case Initiation

The Case Initiation section will discuss the following areas:

- Case Number Assignment
- Investigative Case Categories
- Types of Investigations
- Vehicle Accident Investigations
- Distribution

3.6.1 Case Number Assignment

OI case numbers are normally drafted by case officers and forwarded to first-line supervisors for approval. Once the first-line supervisor approves the case number in Case

Management, the case is assigned the next sequential case number available. The case number consists of 14 characters as follows:

- Office Code - The first and second characters are alphanumeric and identify the office in which the case is being assigned.
- Category - The third and fourth characters are numeric and identify the broad category of investigation.
- Sub-Category - The fifth character is alphanumeric and indicates the sub-category of the investigation. The sub-category designation allows the broad category of investigation to be more precisely defined.
- Source Code - The sixth character is alphanumeric and identifies the source of the investigation.
- Fiscal Year - The seventh and eighth characters are numeric and indicate the fiscal year in which the case was assigned.
- Originating Office - The ninth and tenth characters are alphanumeric and indicate the OI office that first opened the investigation.
- Sequential Case Number - The last four characters are numeric and indicate the sequential number assigned to the investigation by TECS-II Case Management upon supervisory approval of the case. The first case in each category during each fiscal year is assigned the 0001 sequential number. Some administrative cases are automatically opened and closed by TECS-II Case Management during each fiscal year.

3.6.2 Investigative Case Categories

OI activities are reported in TECS-II Case Management using three broad areas: investigation; interdiction and intelligence gathering; and non-investigative (administrative).

- Investigation - Refers to the gathering and reporting of facts and circumstances to substantiate or disprove allegations or suspicions.
- Interdiction/Intelligence Gathering - Refers to activities which cannot be directly related to a specific case category and either are interdictive in nature or are intelligence gathering activities.
- Non-Investigative - Refers to time spent on administrative activities which cannot be directly related to investigations, interdiction, or intelligence activities. This area includes, but is not limited to, training, details, leave, and enforcement support.

3.6.3 Types of Investigations

The following types of investigations are discussed in this section:

- General Investigative Activities
- Formal Investigations
- Collateral Investigations
- Investigative Referrals

3.6.3(1) General Investigative Activities

General Investigative Activities are investigations not associated with a specific investigation. Typically, general investigative activities relate to investigative activities that are not specific enough to warrant the opening of a formal investigation. Often, an investigation begins as a general investigative activity, develops into a formal investigation which may or may not generate one or more collateral investigations.

Each fiscal year, the TECS-II Case Management automatically opens and closes general investigative cases for each office. These cases allow hours and reports to be entered into Case Management. However, enforcement statistics may not be entered under a general investigative case number. Case categories 2-19 are assigned as General Investigative Case Categories, ICE Violations.

3.6.3(2) Formal Investigations

Formal investigations are opened when it has been determined that violations have occurred or are likely to occur.

3.6.3(3) Collateral Investigations

Collateral investigations are investigations which are opened in more than one OI office and which focus on the same or related investigative targets. The OI office that first opens the investigation will assign the originating office case number. It is imperative to the integrity of Case Management that non-originating offices use the collateral case number generated by the originating office's collateral request. Failure to comply with this procedure severely limits the ability to properly analyze the information contained in Case Management.

Note: It is critical to report collateral case statistics properly in order to avoid duplicate statistics.

Collateral investigations are used to request specific investigative case activities from another OI office. Collateral investigations should not be confused with investigative referrals which cover information of a non-investigative nature. Investigative referrals are used to provide information to another OI office, to be used at the receiving office's

discretion. Investigative action may not be necessary with an investigative referral; however, there is investigative action needed for a collateral request.

All collateral investigative requests for assistance must be completed in a reasonable and timely manner. Offices requesting assistance must exercise good judgment so as not to unnecessarily overburden other offices with frivolous requests. Offices receiving requests for assistance must be responsive within 30 days to the needs of the office that initiated the collateral request. Although a receiving office may be busy with its own investigations, it should nonetheless handle requests for assistance in the same manner that it would like all of its own requests handled by other offices. If there is a perceived need to have a collateral request for assistance expedited, the first-line supervisor who approved the collateral request ROI may contact the first-line supervisor in the receiving office in an effort to coordinate the expeditious handling of the collateral request.

Examples of Collateral Case Numbers:

TU02BR07DT0090-Collateral Office
DT02BR07DT0090-Originating Office

3.6.3(4) Investigative Referrals

Investigative referrals are used to forward information received by an OI office to the appropriate OI office. Referrals may be general in nature (unlike specific collateral requests) and may be categorized primarily as tips or general non-specific case-related leads. Referrals may involve general FYI types of information that do not result in collateral investigations.

If an office receives an investigative referral and opens a case, it should maintain a hard copy of the investigative referral in the case file. The receiving office has the discretion of deciding whether or not an investigative lead is actionable.

3.6.4 Vehicle Accident Investigations

Government vehicle accident investigations conducted by OI are reported using the TECS-II generated ROI. TECS-II subject records will be created only on the non-DHS individuals involved in the accident, regardless of who is believed to be at fault in the accident. These subject records will be linked to the ROI that documents the investigation. The primary purpose for capturing this information is to assist Office of the Principal Legal Advisor attorneys who may be required at a much later date to represent ICE in civil legal proceedings. For more specific information, consult the applicable vehicle management policies.

At the discretion of the SAC, assistance in processing vehicle accident investigations may be provided to CBP.

3.6.5 Distribution

TECS-II Case Management case records allow for the inclusion of OI office codes in an effort to identify other OI offices that may be interested in the ongoing investigation. If another office's two-character office code is included in the appropriate place in the TECS-II case record and ROI, this other office will automatically be placed on additional distribution for all ROIs generated for the investigation. It should be noted that placing the two-character code on the ROI will ensure the distribution of only that particular ROI. This procedure allows one OI office to automatically keep other interested OI offices up to date on ongoing investigative activities. This procedure does not replace the need to properly coordinate investigative activities between offices via other means of communication.

Chapter 4 INVESTIGATIVE CASE FILES AND TECS-II REPORTS

Investigative Case File organization will be discussed in the following sections:

- Case File Contents
- Case File Security

4.1 Case File Contents

The organization and structure of a case file must be consistent throughout OI. Case files must contain approved hard copies of investigative reports. TECS-II generated reports and records, except those excluded in other sections of this handbook, must be printed and included in the case file. Seized items and personal property will not be maintained in the case file. The standardized organization of the case file contents can be found in Appendix A.

Note: Electronic evidence will not be held in the case file. For detailed information, consult Chapter 18 of the USCS OI SA Handbook, entitled "Evidence," dated August 11, 1997, or as updated, and the "Seized Asset Management Enforcement Procedures Handbook," dated January 2002, or as updated.

It is understood that, in certain cases, exceptions must be made for cases that involve voluminous amounts of records and reports that would not fit into a standardized case file.

4.1.1 Significant Event Notification System

Even though they are not a part of Case Management, Significant Event Notification (SEN) records should be printed out and included in the case file. (Refer to the applicable ICE policy on SEN for more information.)

4.1.2 Case Records (TECS-II)

The TECS-II case record should be printed and attached to the inside of the case file on the left-hand side. Every data field should be completed in the case record if the information is known. Case officers and supervisors are required to update all their case records as necessary. First-line supervisors are required to review carefully case record openings, modifications, and closings. In addition, first-line supervisors are required to ensure that case records are properly updated during case reviews. The case title, which is included in the case record, should be as specific as possible, for example, a person, business, or organization. General statements such as “theft of merchandise,” vehicle registration numbers, or vessel names should not be used as case titles. Incomplete case titles should be updated as more specific information is developed on the subject(s).

4.1.2(1) Cases Opened in Error

Case records created and approved in error require an “open and closed” ROI with 1 hour posted to the case.

4.1.2(2) Time Limits for Opening Case Records

Case records should be opened in TECS-II as soon as possible, but no later than the end of the fifth business day after the investigation has been initiated. The first-line supervisor must verbally approve any exceptions to this policy.

4.1.2(3) Automatic Creation of Collateral Cases

Case Management automatically sends a skeleton collateral case record to a receiving collateral OI office. The receiving office designee will then be required to assign the collateral request to a subordinate supervisor or group using the TECS-II User ID. Once the first-line supervisor receives the collateral request, the case must be opened within 5 business days and assigned to a specific case officer. Offices receiving collateral investigations must not open cases without using the originating office case number. Once the case has been opened, the case officer has 30 days to respond by ROI on the current status of the collateral request.

4.1.2(4) Updating OCDETF Cases

Once a case is approved by an OCDETF, the specific date of acceptance and the OCDETF assigned case number must be entered in the appropriate places in the case record. For the purposes of the reimbursement of investigative expenses and to gain statistical recognition for the OCDETF program, it is important to update the case record with the OCDETF number within 30 days of approval.

Note: Enforcement statistics and expenses for category 13 cases are applied to the OCDETF program if they occurred after, or 30 days prior to, the date of approval by the core-city OCDETF. Enforcement statistics and expenses for category 02 and all other

case categories are applied to the OCDETF program if they occurred after or up to 90 days prior to the date of acceptance by the OCDETF.

4.1.2(5) Updating Other Special Interest Fields (Joint Terrorism Task Forces (JTTFs), Title 21, etc.)

In those instances where the investigation involves a special interest field, case officers will ensure that these cases are properly designated. It is also their responsibility to ensure that the case records are updated if there are any changes in the case status.

4.1.2(6) TECS-II Link List

The TECS-II generated link list for the case number must be printed and maintained in the case file. Changes to the link list should be printed and posted in the case file prior to each case review. It is important to ensure that all subject records and documents in the investigation are linked to the case record. The link list contains a convenient subject index for the investigation. The TECS-II generated link list precludes the need to maintain a manual subject index.

4.1.2(7) TECS-II Case Review

The case review assists the first-line supervisor and will be conducted every 120 days at a minimum. During or subsequent to the case review, the first-line supervisor is required to provide narrative comments, recommendations, and/or investigative objectives only within TECS-II. These comments provide the case officer with clear guidance and direction on how best to proceed with the investigation. A printed hard copy of the review will be placed behind the chronology sheet in the case file. The completion of the case review will be annotated on the Case Chronology and Review Sheet by the supervisor's signature and date.

4.1.2(8) Case Chronology

The case officer uses the OI Case Chronology and Review Sheet (see Appendix B) to briefly record or annotate activities accomplished during the investigation. The conscientious use of the Case Chronology and Review Sheet can prove to be invaluable in documenting activities so that SAs can easily identify when events took place.

4.1.3 Reports of Investigation

First-line supervisors should be cognizant of the importance of ensuring that ROIs are properly written and provide the most accurate information possible.

4.1.3(1) Purpose of the ROI

The TECS-II generated ROI is used to document investigative activities, to document results of an investigation, and to send and report on collateral requests to and from other

offices. To enter an ROI, there must be an approved/open case record. The ROI provides a narrative description of information received or significant action, i.e., investigative findings, surveillance, search warrants etc.

4.1.3(2) General Guidelines

ROIs describe the who, what, where, when, how, and why of an investigations. ROIs should be written in the third person. The author should not use indeterminate or passive language. The author and the supervisor who approved the document in TECS-II will create an electronic signature and date on all approved ROIs for the case officer and the supervisor. If an acting supervisor approved the ROI in TECS-II, the name of the acting supervisor will appear on the ROI as the approving supervisor.

Information should be presented in chronological order according to when the activity occurred. Whenever possible, paragraphs should begin with statements such as: "On January 21, 1994, at approximately 10:35 p.m...." The case officer must normally refrain from including subjective comments, conclusions, and opinions in ROIs. The most common exception to this policy involves Customs Broker License investigations where the investigator is required to provide recommendations to CBP based on the investigative findings, if any.

4.1.3(3) Confidential Informants

The first page or synopsis of all ROIs containing information provided by confidential sources of information must be included in the source file. Initial source documentation ROIs must contain specific information that has been provided by the source. Every report that refers to a documented informant should be referred to by the assigned informant number and a copy should be placed in the source file.

For additional information on confidential informants, consult Chapter 41 of the USCS OI SA Handbook entitled, *Informants*, dated June 23, 1997, or as updated.

4.1.3(4) Time Limits

The opening ROI will be written within 20 business days after an investigation is initiated and submitted in TECS-II to the supervisor for approval. Subsequent ROIs which report significant activities must be written as soon as practical after the conclusion of the investigative activity described in the report.

Investigative activities should be promptly documented in ROIs while the events are clear in the memory of the writer. In addition, the same concept should apply to first-line supervisors when reviewing and approving submitted reports. Supervisors are required to approve any ROIs submitted for review and approval as soon as possible, but preferably within 10 business days in the event that the supervisor has any questions or requires edits to the ROI while the events are still clear in the memory of the writer.

4.1.3(5) Synopsis

The first page of the ROI is the synopsis. The purpose of the synopsis is to provide the reader with an overview of the investigation and the purpose of the report.

The first paragraph should make a brief statement concerning the nature of the investigation, including the violations, violators, sources of information, time frames, and other agency participation.

The second paragraph should contain a brief explanation as to the content of the particular report.

The synopsis is limited to a maximum of 15 lines. This requirement ensures that the synopsis does not continue on to the second page of the TECS-II version of the ROI. This is important since some offices (Headquarters) on distribution will receive only the first page of the ROI on distribution. These offices rely on the synopsis to assist them in determining whether or not to call up the entire ROI for review.

4.1.3(6) Details of the Investigation

The narrative portion of the ROI starts with the heading "Details of Investigation." The narrative can contain up to 350 pages of text. Lengthy ROIs which attempt to report investigative activities over several months of the investigation should be avoided.

Information should be presented in chronological order according to when the activity occurred. Whenever possible, paragraphs should begin with statements such as: "On January 21, 1994, at approximately 10:35 p.m...." The case officer must normally refrain from including subjective comments, conclusions, and opinions in ROIs. The most common exception to this policy involves Customs Broker License investigations where the investigator is required to provide recommendations to CBP based on the investigative findings, if any.

First-line supervisors should be cognizant of the importance of ensuring that ROIs are properly written and provide the most accurate information possible.

4.1.3(7) Removal of ROIs from TECS-II

The removal of ROIs from the TECS-II Case Management is conducted only in the most extreme situations, such as those that may compromise the integrity of an undercover operation or threaten the life of an officer or an informant. With appropriate justification, authorized Headquarters personnel may remove a previously-approved ROI from Case Management.

In order to request the removal of an ROI, the SAC must send a written request to the appropriate PHO. The request must state the specific reason(s) for requesting the removal of the ROI.

If the request is approved, the first-line supervisor is responsible for ensuring that the original (approved) copy of the ROI is maintained in the case file. The original approved ROI will not be destroyed after the ROI is removed and must be maintained for presentation during the discovery process, if required. The removed ROI number will not be reissued to a subsequent ROI. Defense attorneys and others will be able to recognize that an ROI is missing when they are provided with a group of sequentially-numbered ROIs during the discovery process. ROIs will not be removed due to factual, spelling, or grammatical errors. If approved ROIs contain these types of errors, it is recommended that the case officer make the necessary corrections and then re-upload the ROI as a new ROI. The new ROI should contain a sentence at the end of the synopsis identifying the new ROI as a replacement of a specifically identified prior ROI that contained errors.

The removal of an ROI will be decided on a case-by-case basis and is based on the merits of the ROI.

4.1.4 Classified Information and Certain Sensitive Documents

Classified information will not be included in any ROI or document within TECS-II. SAs need to be cognizant of the fact that certain sensitive documents are not to be included in the case file or referenced in ROIs (i.e., sensitive ICE, FBI, Drug Enforcement Administration, Department of Defense (DoD), financial documents, etc.).

4.1.5 SEACATS Incident Report

The SEACATS Incident Report is used to document arrest and seizures. The information is then transferred to Case Management. Enforcement activities that are reported in SEACATS (S/A/S) Incident Reports must also be reported in ROIs. SEACATS (S/A/S) Incident Reports do not replace the need to write ROIs.

For detailed information, consult the *Seized Asset Management Enforcement Procedures Handbook*, dated January 2002, or as updated.

4.1.6 Privacy Act Disclosure Report

The TECS-II generated Privacy Act disclosure report is used to document the disclosure of information on individuals who are the subject of a TECS-II subject record. The disclosure report is associated with the applicable TECS-II subject record. A separate TECS-II disclosure report must be completed for each individual who is the subject of a Privacy Act disclosure. If a disclosure which is reportable under the Privacy Act is made, then a Privacy Act Disclosure Report must be completed, printed, and filed in the case file.

4.1.7 TECS-II Subject Records

Subject records are created in TECS-II to document OI interest regarding persons, conveyances, and businesses. Subject records are linked in TECS-II to source documents such as ROIs and SEACATS (S/A/S) Incident Reports.

Note: Subject records are continually modified and updated; as a result, subject records are not required to be maintained in the case file.

It is inappropriate to create more than one subject record on the same individual by enforcement personnel assigned to the same OI office. Whenever possible, multiple subject records on the same person, business, or conveyances will be avoided. If more than one subject record on the same person, business, or conveyance is to be created by more than one ICE office, the subsequent records must be sub-records of the original subject record. For example, if a CBP officer made a border-related seizure and subsequently created a SEACATS (S/A/S) Incident Report and associated subject records and then an OI officer decided to initiate an investigation, the OI record will be a sub-record of the original CBP subject record.

Note: Subject records relating to juveniles will be created in TECS-II and ENFORCE. (See Section 4.3.)

4.1.8 Updating Subject Records

It is the responsibility of the subject record owner to ensure that the most current information available is included in subject records.

Note: Subject records are continually modified and updated; as a result, subject records are not required to be maintained in the case file.

4.1.9 Access Levels

Access levels on TECS-II subject records determine which groups of TECS-II users may view the subject records. In general, the access level of OI subject records should allow as many users as practical to view the records. The access level should be determined by the sensitivity of the information contained in the subject record and by the security needs of the investigation. OI should not arbitrarily restrict access to enforcement subject records. OI has the option of allowing greater access to subject records, while at the same time restricting access to their related source documents, such as ROIs.

4.1.10 Use of Digital Technology in Case Management

OI personnel are encouraged to use digital imagery whenever possible and practical. Imagery technology allows photographs, documents, and digital images to be stored and later viewed via specialized TECS-II terminals. Photographs of suspects and vehicles can be linked to TECS-II subject records. Digital images allow photographs and



documents to be instantly viewed by TECS-II users around the world. Digital images can also aid in the identification of OI fugitives and trademark violations. Whenever possible, mug shot photographs of subjects arrested during OI investigations should be entered as digital images in TECS-II.

4.1.11 TECS-II Intelligence Reports

TECS-II generated intelligence reports are created by intelligence personnel within OI to document the collection and/or analysis of intelligence. Typically, these narrative reports are used to document intelligence that is not related to a specific OI investigation. Case-specific intelligence should be documented using the ROI. Intelligence reports require first-line supervisor approval. These source documents allow for the linkage of related subject records.

4.1.12 TECS-II Criminal Syllabus

The TECS-II generated criminal syllabus can be used by OI when referring cases for prosecution. The criminal syllabus is a narrative report that describes testimony, evidence, and enforcement activities in chronological order. Like other TECS-II source documents, the criminal syllabus may be linked to an investigation for inclusion in the electronic case file.

The determination as to when to use the criminal syllabus is to be established by local policy.

4.1.13 TECS-II ELSUR

The TECS-II generated ELSUR is used to request authorizations, grant authorizations, and transmit reports of use for consensual electronic surveillances.

The ELSUR is typically initiated by the case officer and subsequently transmitted for approval to the first-line supervisor and the appropriate PHO. The ELSUR, like other TECS-II documents, is linked to the case record and subject records. It also becomes part of the electronic case file in Case Management.

The ELSUR is used for both telephone and non-telephone consensual surveillances. SAC or designee approval must be granted prior to conducting non-telephone and telephone consensual electronic surveillances. An ELSUR request for authorization must be submitted for both exigent and non-exigent consensual non-telephone electronic surveillances.

Subsequent to office manager authorization, a TECS-II ELSUR notification must be entered into TECS-II as soon as possible, but no later than the end of the first business day after the telephone authorization was granted by the SAC or designee.

Reports of use for both telephone and non-telephone authorizations are initiated by the case officer after the authorization time period has expired. The reports of use are transmitted for approval via TECS-II to the first-line supervisor, the SAC, and ultimately to the PHO at Headquarters. Reports of use are required to be entered into TECS-II no later than 5 business days after the expiration of the reporting period. Any ELSUR reports generated should also be placed in the hard copy case file.

Tapes generated from ELSUR authorizations are government created electronic evidence and have specific storage and safeguard requirements. (See Chapter 40, USCS OI SA Handbook, entitled "Technical Surveillance," dated August 1990, or as updated)

4.1.14 Confidential Source Payment and Benefit Transaction Receipt

The *Confidential Source Payment and Benefit Transaction Receipt* (ICE Form 73-293) is used to document payments for information or evidence (POI/POE) and for other related expenses. Typically, the controlling SA or the case officer initiates ICE Form 73-293. A justification document (i.e., ROI or memorandum) must be included with ICE Form 73-293 and placed in the source file, but will not be maintained in the case file.

Note: Payments/amounts to confidential informants are NOT documented in ROIs, only information or the action(s) of the source.

For additional information, consult Chapter 41 of the USCS OI SA Handbook entitled, *Informants*, dated June 23, 1997, or as updated.

4.1.15 Investigative Notes

All investigative notes taken by a case officer will be retained in the case file in a separate envelope or section labeled "Investigative Notes." Notes taken by a case officer while interviewing a potential witness, an informant, a suspect, or a subject of an investigation are subject to discovery by the defense. Failure to produce these notes, even due to good faith loss or destruction, could result in the dismissal of a criminal case. Case officers must preserve such notes, even if their contents have been subsequently documented in an ROI.

Court decisions require that surveillance notes be retained in the same manner as interview notes. Therefore, all notes made during surveillance operations which could contain information that may ultimately be included in formal reports or which record events about which enforcement personnel may later testify must be retained.

The notes taken by informants to assist in their reporting of information to a case officer must be preserved in the case file.

Rough draft ROIs need not be retained unless the rough draft is the enforcement officer's first written record of an interview or surveillance. When this occurs, the rough draft itself becomes the officer's original notes and must be retained.

Conflicting information within these notes or between the notes and the ultimate ROI will likely be exploited by the defense. Therefore, note taking must be done with care. The OI SA must be prepared to explain any inaccuracies or contradictions that exist.

4.1.16 Court Documents

Court documents routinely saved in the case file include affidavits, court orders, criminal complaints, indictments, search warrants, arrest warrants, subpoenas, and judgment and committal orders.

4.1.16(1) Grand Jury Material

Grand Jury Material cannot be stored in the case file. Grand Jury Material must be handled in accordance with the procedures outlined in Rule 6(e) of the Federal Rules of Criminal Procedure.

4.1.17 Fingerprint Cards

Fingerprints of subjects arrested by enforcement personnel will be recorded in IAFIS, if available, or on a minimum of two Criminal Fingerprint Cards (FD-249) and one Final Disposition Report (R-84). If IAFIS is not utilized, one of the criminal fingerprint cards will be mailed to the FBI for classification and storage. The other copy of the criminal fingerprint card will remain in the case file. If IAFIS is utilized, a hard copy of the fingerprints should be printed and placed in the case file. In either event, the R-84 will be mailed to the FBI subsequent to the final judicial disposition (sentencing, dismissal, etc.). Fingerprints of defendants arrested by OI SAs must be recorded only on fingerprint cards that list ICE as the originating agency (ORI).

Case officers must exercise care in order to ensure that an acceptable set of fingerprints is obtained at the time of the arrest. The FBI classification personnel will not accept fingerprints that are unreadable or otherwise improperly recorded. Case officers are responsible for maintaining an acceptable level of proficiency in taking fingerprints.

Note: An additional FD-249 must be executed for placement in any A-file that is generated.

4.1.18 Photographs

Photographs of arrestees, suspects, surveillance photographs, and other photographs of evidentiary value will be placed in the case file. Whenever possible, at least two frontal and one profile photographs will be taken of each person arrested. SACs are encouraged to establish local mug shot files that can be used to create photo spreads. Field offices are encouraged to take advantage of digital image technology whenever possible.

The case officer is responsible for ensuring that any photographs or images that are filed in the case file are identified with the name of the photographer, the date the photograph

was taken, and the name of the person in the photograph or the location of the photograph.

4.1.19 TECS-II Memorandum of Information Received

The Memorandum of Information Received (MOIR) is the method used by CBP officers, CBP import specialists, and other personnel to document information relating to violations of law that are enforced by ICE and CBP. The MOIR is the appropriate means for CBP officers and import specialists to refer suspected violations of law to OI for evaluation of investigative potential. OI case officers will use the ROI or Intelligence Report to record information received, not the MOIR.

OI case officers should encourage CBP officers, import specialists, and other personnel to refer leads utilizing the MOIR.

4.1.20 ICE Fugitive Report

The Fugitive Report is typically completed on all ICE OI fugitives by the case officer and subsequently approved by the SAC or designee. This report must be completed as soon as possible but no later than the end of the first business day after the need for the report has been established. Fugitive reports are completed when efforts to arrest a defendant who has been formally charged in an ICE investigation have failed. (See Section 2.22 for a definition of “Fugitive.”)

Fugitive reports are completed for any of the following reasons: initial entry, entry modification, and entry cancellation. Case officers must ensure that ICE OI fugitives are entered into the NCIC database. The case officer ensures that copies of the fugitive reports are sent to the SAC Fugitive Coordinator, who distributes copies to the OI National Fugitive Program Manager in Headquarters, and to the Law Enforcement Support Center. The original fugitive report will be maintained in the original case file.

Fugitive reports must contain as much identifying information as possible in an effort to facilitate the arrest of the subject and to assist law enforcement personnel in properly verifying whether or not a subject in their presence is truly the fugitive being sought. Whenever possible, a photograph and a set of fingerprints should be attached to the copy of the fugitive report that is sent to the OI National Fugitive Program Manager.

The OI case officer is responsible for ensuring that TECS-II and NCIC fugitive records are cancelled whenever appropriate. If the person is no longer a fugitive, for whatever reason, a cancellation must be completed. Failure to properly remove cancelled fugitive records in TECS-II or NCIC may subject both the case officer and ICE to civil liabilities. For more information, consult USCS Directive 4220-003A entitled, *Program for Fugitives Wanted by U.S. Customs*, dated June 2, 2000, or as updated.

4.2 Case File Security

4.2.1 Original Case File Storage

The proper storage of original case files is a critical factor in maintaining the integrity of the case and the viability of subsequent actions within the criminal justice system. Any document in the original case files may be used as evidence during judicial proceedings. Although not all discovery motions are granted to defense attorneys, case officers must remember that the contents of the original case files may ultimately be disclosed to the defense. If the contents of the original case files have been lost, altered, or otherwise handled inappropriately, the entire case may be dismissed.

Original case files will be stored in an approved storage container. (Refer to DHS Management Directive 11030.1, *Physical Protection of the Facilities and Real Property*, dated April 21, 2003, or as updated.) **Original case files will not be stored at home, vehicles, or other unapproved storage locations, e.g., another agency's storage location.**

4.2.2 Removal from Office

With few exceptions, the case files should never be removed from the investigative office. Supervisors must approve the removal of files for a limited time only from the office when necessary (i.e., for use before a grand jury, trial, meeting with prosecutor, etc.). Case files must never be permanently stored at the homes of OI employees. When a case file is removed from an office, a record should be maintained of which file was removed, by whom, and for what reason.

4.2.3 Closed Case Files

All closed case files should be maintained and stored in a centralized secure location. Closed case files should be maintained and stored in accordance with record management retention guidelines. (For further information, see DHS Management Directive 0550.1 entitled, *Records Management* (undated), and the *DHS Records Management Handbook*, v.2, dated January 2005, or as updated.) The removal of any closed case file from the office filing cabinet requires the insertion of a "file out" card by the person removing the file. This card contains the name of the person having custody of the file, the date removed, and the file number. Upon return of the file, the "file out" card is removed.

4.2.4 Creation of Work File

A work file is created to allow the SA the opportunity to reference materials related to the investigation while working in the field. The work file should contain only information necessary to conduct appropriate field investigative activity. The intention is to prevent the amount of information released in the event that the file is compromised. The work file may contain copies of documents already placed in the official office case file. The

work file will not contain any original documents. Appropriate security safeguards should be applied to ensure the integrity of the work file.

4.2.5 Disclosure of Case File

Any release of investigative case file material containing identifying data on a U.S. citizen or a legal resident alien to persons or agencies outside DHS (e.g., to other federal agencies), whether verbal or written, is required to be documented utilizing the TECS-II generated Privacy Act Disclosure Report, in accordance with procedures implemented by ICE under the Privacy Act of 1974. There are exceptions for disclosure for law enforcement use and investigative/prosecution purpose under Title 5 United States Code (U.S.C.) § 552a(b)(7) and a(b)(3).

Additionally, Title 31, U.S.C., imposes stringent disclosure requirements on data collected on financial information forms and in associated computer databases. Disclosure of Currency and Monetary Instrument Report, Currency Transaction Report, Foreign Bank Account Record, or Casino Report data, whether written or verbal, must comply with the applicable reporting requirements or other policy documents written on this topic.

4.2.6 Case File Retention

Investigative case files and related records for all case categories will be maintained in accordance with current applicable policy and procedure. (See DHS Management Directive 0550.1 entitled, *Records Management* (undated), and the *DHS Records Management Handbook*, v.2, dated January 2005, or as updated.)

4.3 Juveniles

Subjects encountered under the age of 18 should be processed with due diligence and sensitivity. Case officers should be cognizant of the need to use discretion when dealing with juvenile subjects encountered during the course of a case. Case officers should always review all applicable juvenile policies.

4.3.1 Fingerprints and Photographs

No subjects under the age of 14 will be fingerprinted or photographed without the approval of the SAC or designee. Juveniles above the age of 14 may be fingerprinted and photographed upon arrest utilizing IAFIS/IDENT.

4.3.2 Subject Records

4.3.2(1) TECS-II

TECS-II subject records will be created for all individuals over the age of 14 who have been criminally charged or are the subject of an OI investigation. At the direction of the

SAC, subject records may be created for individuals under the age of 14 for the same circumstances.

4.3.2(2) ENFORCE

A subject record will be created in ENFORCE for all subjects arrested for an immigration violation regardless of age.

Chapter 5 ENFORCE

5.1 Purpose

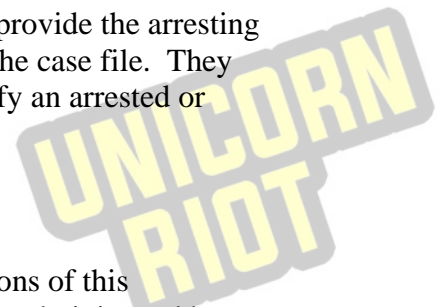
EABM and IDENT are the primary ENFORCE applications for OI SAs to utilize when processing arrests. IAFIS works in conjunction with IDENT. IDENT/IAFIS automates current 10-print processing by enabling the electronic capture of 10-print fingerprints.

EABM/IDENT/IAFIS are used to capture biographic information and biometric identifiers for all subjects arrested by OI personnel. These systems provide the arresting officer with access to photographs and fingerprints for inclusion in the case file. They also give the arresting officer a means with which to properly identify an arrested or detained subject.

5.1.1 User Fee Investigations

8 U.S.C. § 1356, "Disposition of monies collected under the provisions of this subchapter" established the Immigration User Fee Account, which is administered by CBP. A monetary fee charged to all persons who enter the United States aboard a commercial vessel or aircraft from a place other than Canada, Mexico, or the Caribbean funds the Immigration User Fee Account. The Immigration User Fee Account is designed to reimburse expenses associated with the detection of fraudulent documents; the detention and removal of aliens arriving on commercial aircraft and vessels; and any alien who is inadmissible under 8 U.S.C. § 1182(a), "Classes of aliens ineligible for visas or admission," who has attempted illegal entry to the United States at any place other than a port of entry. This applies regardless of whether the arrest is administrative or criminal. Other costs that may be reimbursed from the User Fee Account are those associated with expansion, operation, and maintenance of information systems, including EABM/IDENT/IAFIS. SAs who arrest or take custody of any alien who falls within the above guidelines or who investigate the use of fraudulent documents used by passengers traveling to the United States should document the case as a "User Fee Investigation" within ENFORCE.

These provisions do not apply to aliens who entered illegally through avoidance of immigration inspections at land border ports of entry and those who used fraudulent documents for purposes other than to gain entry to the United States.



Note: In order to get credit for User Fee investigations, the case must be noted as a User Fee Case in EABM. This is critical for both budgetary and statistical analysis.

5.2 Subject Entries

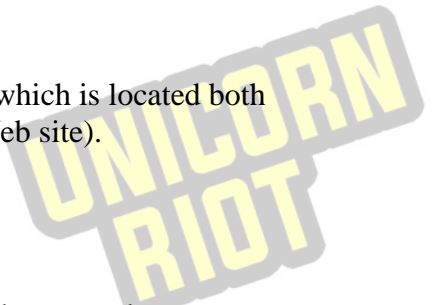
All arrests of individuals (excluding juveniles under the age of 14 unless approved by the SAC) will be processed using EABM/IDENT/IAFIS. Subjects can be processed either by using an IAFIS live scan machine, or by using a flatbed scanner and hard copies of the fingerprint cards and photographs. (For more information, consult the appropriate EABM/IDENT/IAFIS User Guides/Manuals.)

In the event of criminal proceedings, all documentation generated in EABM/IDENT/IAFIS will be maintained in the case file.

5.2.1 Interoperability

All ENFORCE event numbers must be linked to the OI case number and the SEACATS (S/A/S) Incident Report. SAs are responsible for ensuring that all related case and event numbers are annotated in the appropriate locations.

For further information, refer to the latest ENFORCE User Manual, which is located both on the OI Proprietary Web site and on DHS Online (at the EABM Web site).



Chapter 6 MANAGING HOURS AND STATISTICS

TECS-II Case Management contains case records, case reports, case hours, and case statistics.

6.1 Management Information Reports

PHOs/SACs and other personnel use management information reports generated from TECS-II for a variety of reasons. These reports can be used to evaluate the performance of enforcement programs and offices, and are used by Headquarters personnel when responding to requests for information from external agencies. SACs use these reports to evaluate the performance of their offices, groups, and specific individuals.

The information contained in Case Management standard reports is derived from the hours, statistics, and reports generated by TECS-II. Each month, SAs manually enter their hours from the previous month. Additionally, some enforcement statistics are automatically transferred into Case Management from SEACATS (S/A/S) Incident Reports. Enforcement reports and records are entered into Case Management on an as-needed basis.

6.1.1 Use of Standard Reports

Case officers and managers should use Standard Reports to evaluate the effective utilization of investigative resources. Standard reports are consolidated and available for viewing each month in TECS-II.

6.1.2 Executive Information Reporting

The Executive Information Reporting Section (EIRS) of the OI Executive Information Unit is the primary point of contact for the generation of all executive level statistical reports. All requests for ICE data and/or statistics from agencies or entities external to ICE should be routed to the EIRS in order to ensure consistency, uniformity, and accuracy of statistical data.

6.1.3 Disclosure of Report Data and Statistics

Executive information reports contain sensitive statistics, and should be generated and disseminated in accordance with applicable Privacy Act disclosure requirements. If reports are requested by any agencies or entities external to ICE, proper disclosure procedures must be followed.

All OI statistics (arrests, seizures, etc.) must be approved through the appropriate OI PHO prior to being released outside of OI.

6.1.4 Management Information System

The Management Information System (MIS) module enables users to view and print reports from TECS-II. There are currently over 200 daily, weekly, monthly, quarterly, and yearly reports covering many different TECS-II, ICE, and CBP activities. These reports summarize information from several databases in TECS-II and can be used for audit applications. Several reports describe the current status of the database records, some summarize enforcement results, and others indicate the level of field usage of TECS-II. A major report is the SEACATS (S/A/S) Incident Report summarizing the searches, arrests, and seizures made by ICE and CBP personnel, by location or group of locations, for a variety of time cycles.

6.2 Case Hour Entry into TECS-II

Case hours for a previous month will be entered into the TECS-II Case Management by the end of the tenth business day of the new month. If, due to other casework, some personnel are unable to enter case hours by the tenth business day, they must obtain verbal approval from their first-line supervisor to enter their hours at a later date. If some personnel are unavailable to enter their own case hours into TECS-II, their first-line supervisor or designee will enter surrogate case hours for them. This alternate procedure will be used only in the most extreme situations such as when an SA is on extended leave

(i.e., sick, annual, or military leave), in a deep undercover role, or is otherwise unable to gain access to a TECS-II terminal.

6.2.1 Responsibility for Entering Investigative Hours

6.2.1(1) OI SAs, Intelligence Research Specialists/Analysts, Seized Property Specialists, Forensic Auditors, Investigative Assistants, Technical Enforcement Officers, and other enforcement personnel as instructed by the SAC/PHO must post all their hours in TECS-II whether case-related or administrative in nature.

6.1.1(2) OI personnel occupying support positions, such as Administrative Officers, Mission Support Specialists, Mission Support Technicians, Student Aids, Management and Program Analysts, Management Information Specialists, Management Program Technicians, Enforcement Support Specialists, Secretaries, etc., are not required to post their hours in TECS-II.

6.1.1(3) State and local law enforcement personnel, National Guard, and Department of Defense (DoD) employees serving in an ICE office or on an ICE task force will not enter hours in TECS-II.

Those OI personnel who are required to enter their hours into TECS-II Case Management must do so on a monthly basis. As much as possible, hours will be attributed to specific OI case numbers. When this is not possible, hours will be attributed to specific investigative or interdiction program areas. When specific program areas are not applicable, personnel will utilize general program areas. However, personnel must always be as accurate as possible so that management reports which are based on these hours will be as accurate as possible. Time which cannot be attributed to supporting specific cases will be attributed to specific program areas whenever possible. Case Management hours are to be reviewed and approved by the first-line supervisor or acting supervisor by the end of the second business day after the hours have been entered into Case Management.

6.2.2 Programmatic-Specific Hours (i.e., OCDETF, JTTF, etc.)

Hours worked in support of specific investigations will be attributed to the specific investigation case number whenever possible. Non-case specific hours should be attributed to the programmatic-specific general case numbers. SACs are required to monitor programmatic-specific hours on a monthly basis to ensure that all time spent is reflected accurately in TECS-II.

6.2.3 Undercover Hours

Enforcement personnel who perform in an undercover capacity are required to enter these hours in Case Management in the appropriate columns that are identified for undercover use only. Hours that are reported in the undercover columns are not to be reported in the non-undercover hours columns. Hours are undercover or not undercover, never both.

Enforcement personnel will report hours as being attributable to undercover work only when they were actually in an undercover role. Translating audiotapes of undercover meetings, writing reports on undercover activities, and participating in security surveillances of undercover meetings will not be reported in Case Management as undercover hours. Supervisors who review the hours of undercover personnel must ensure that the number of these hours is reasonable and that they were actually spent in an undercover role.

6.2.4 Supervisory Hours

Whenever practical, supervisors (see Section 6.2.1.1) will attribute their hours to specific OI case numbers. When this is not possible, supervisors will report their hours to specific program areas whenever possible. Each case category has a case number designated for general supervisory investigative activities.

6.2.5 Uncontrollable Overtime (UOT): Law Enforcement Availability Pay (LEAP)/Administratively Uncontrollable Overtime (AUO)

SAs who work LEAP hours or enforcement personnel who work AUO must enter their hours in the Uncontrollable Overtime (UOT) column in TECS-II.

For additional information on LEAP, consult OI Memorandum, subject line: *Law Enforcement Availability Pay*,” signed by the Director of OI on November 3, 2005, and its attachment entitled, *Law Enforcement Availability Pay (LEAP)*,” signed by the Commissioner of USCS on July 10, 1997.

For additional information on AUO, consult USCS Directive 51550-004A entitled, *Administratively Uncontrollable Overtime (AUO) Pay*, dated June 29, 2000, or as updated.

6.2.6 Designated Availability Hours

Designated Availability Hours (DAH) hours are off-duty hours during which an SA is given a specific start and end time by a supervisor when they are expected to be on stand-by. If the SA is not called in, those stand-by hours are recorded in the DAH column.

Note: If an employee is required to post hours under AUO, their hours cannot be posted under DAH. For additional information, consult the applicable policies on LEAP and AUO (see Section 6.2.5).

6.2.7 Federal Employee Pay Act Hours

Federal Employee Pay (FEP) hours are pre-scheduled overtime hours that do not fall within an SA’s normal work schedule. Those SAs who are scheduled and paid an overtime rate should post those hours in the FEP column.

6.3 Case Statistics

The case statistics section will discuss the following topics:

- Who Captures Statistics
- Collateral Statistics
- Foreign Statistics
- Use of TECS-II E-mail
- When Statistics Are Entered
- Participating Statistics
- CBP-Initiated Statistics

6.3.1 Who Captures Statistics

The investigative/case officer is responsible for ensuring that statistics are entered in an accurate and timely manner.

6.3.2 Collateral Statistics

Collateral statistics are enforcement statistics assigned to more than one OI field office. Offices that enter the enforcement statistic will have the statistic attributed to their office case number. Offices with a collateral case number will have the statistic attributed to their office case number as a collateral statistic. SAs can view enforcement statistics, including collateral enforcement statistics, by querying their own office case number or the management information reports for their own office.

The field office(s) where the enforcement activity ultimately takes place will be credited and responsible for capturing the statistics. Any arrests conducted by a field office based on the indictment or information of an OI subject of investigation or fugitive will be credited to the arresting office. The office originating the investigation can claim the information/indictment and convictions statistic, but not the arrest statistic. Officers should be mindful not to duplicate incident records/statistics.

6.3.3 Foreign Statistics

Foreign offices enter SEACATS (S/A/S) Incident Reports for enforcement activities that occur outside the U.S. in which they participate with other law enforcement agencies.

6.4 Use of TECS-II E-Mail

TECS-II e-mail is generally used to facilitate the acknowledgement of authorization activity and query activity to users of TECS-II. When a user inputs data into TECS-II that requires a supervisor's authorization, TECS-II e-mail provides a means to document these actions. Once a supervisor approves or disapproves a document or case in TECS-II, TECS-II will automatically generate an e-mail to the user advising of the approval or disapproval.

TECS-II e-mail is also used to inform a user of queries made on subject records and source documents by other enforcement personnel. If a user queries a particular document or record, the owner of that document can be notified via TECS-II e-mail.

6.4.1 When Statistics Are Entered

Case Management enforcement statistics are required to be entered in TECS-II after the occurrence of the enforcement activity. Statistics must be entered no later than 5 days after the occurrence of the enforcement activity or upon being notified by the USAO. The first-line supervisor should approve statistics as soon as possible, but not to exceed 5 business days after they are submitted. All personnel must be aware that statistics that have been “disapproved” must be corrected and subsequently re-sent for supervisory approval.

Various Case Management reports are generated each month based on case statistics. Statistics that are not entered and approved in a timely manner may not be credited to the individual or to the office. SAs should not wait until the end of the month to enter enforcement statistics; they should enter them as soon as possible. Enforcement personnel are required to provide final dispositions for all initial enforcement activities (e.g., arrests, seizures, penalties issued, etc.). Each initial enforcement statistic must have a final disposition associated with it before the case status can be set to “closed” in Case Management.

Final dispositions are also required when an OI SA has arrested, or participated in the arrest of, a person who is subsequently prosecuted in a state court system on related state or local charges. This includes situations where the arrested person is ultimately turned over to state or local law enforcement personnel for prosecution on state or local charges. The only exception to this policy involves arrests that are based solely on the existence of an NCIC warrant. NCIC arrests are treated differently from other arrests in Case Management. These arrests will not require follow-up dispositions.

6.4.2 Participating Statistics

Participating statistics are those enforcement statistics that are attributed to an OI office based on its participation in an enforcement incident with some other ICE Program Office or other federal, state, or local agency.

6.4.3 CBP-Initiated Statistics

OI personnel must be aware of the procedures utilized to attribute CBP-initiated enforcement statistics to OI’s Case Management. TECS-II will automatically attribute CBP-initiated enforcement statistics to Case Management when the appropriate OI case number and an OI participation code are entered into the CBP-initiated SEACATS (S/A/S) Incident Report. The OI SA can include this information, if known, when the SEACATS (S/A/S) Incident Report is initially entered into TECS-II, or the SEACATS (S/A/S) Incident Report can be later modified by the SA or by any authorized OI person.

If either of these data fields is not properly completed, the CBP-initiated statistics will not be automatically attributed to OI's Case Management. In addition, this procedure requires that person or business subject records be created before the CBP statistics are automatically transferred to Case Management.



*Investigative Case
File Folder
Go-by*



COVER

**Department of Homeland Security
U.S. Immigration and Customs Enforcement
Office of Investigations**

***Investigative Case
File Folder
Go-by***


**UNICORN
RIOT**

**Special Agent in Charge Office
City, State**

INSIDE FRONT COVER

ADMINISTRATIVE ITEMS

**INVESTIGATIVE CASE RECORD (CLOSING)
CASE CHRONOLOGY AND REVIEW SHEET
INVESTIGATIVE CASE RECORD (Any Modifications)
INVESTIGATIVE CASE RECORD (Case Opening)
LINK LIST
INVESTIGATIVE CASE REVIEWS**

A watermark with the text "UNICORN PILOT" in a stylized, bold, yellow font with a grey drop shadow, tilted at an angle, is positioned on the right side of the page.

FIRST DIVIDER (front)

INVESTIGATIVE REPORTS

**REPORTS OF INVESTIGATIONS,
IN ORDER,
WITH ROI NUMBER 1 ON THE BOTTOM
AND THE MOST CURRENT ON THE TOP**

**UNICORN
RIOT**

FIRST DIVIDER (back)

COURT DOCUMENTS

**WARRANTS
SUBPOENAS
INDICTMENTS
COURT ORDERS
PLEADINGS
J & Cs
ANY OTHER COURT DOCUMENTS**



SECOND DIVIDER (front)

ICE DOCUMENTS

**ANY IMMIGRATION DOCUMENTS
ANY CUSTOMS DOCUMENTS
ANY TECS RECORDS
ELECTRONIC SURVEILLANCE (ELSUR) REPORTS
REPORTS OF USE
SIGNIFICANT EVENT NOTIFICATION
FUGITIVE REPORTS
SEACATS (S/A/S) INCIDENT REPORTS
SIGNIFICANT ENFORCEMENT ACTIVITY REPORT
MEMORANDA
LETTERS
CUSTODY RECEIPTS
INVENTORY SHEETS
MONETARY COUNT SHEETS**



SECOND DIVIDER (back)

***OTHER AGENCY
DOCUMENTS***

STATE AND LOCAL POLICE REPORTS

**ANY REPORT GENERATED BY
ANY AGENCY OTHER THAN ICE**



INSIDE BACK COVER

***INVESTIGATIVE
PAPERWORK***

**MISCELLANEOUS DOCUMENTS
PHOTOGRAPHS
FINGERPRINT CARDS
INVESTIGATIVE NOTES
PHOTOCOPIES**



Case Chronology and Review Sheet



ACRONYMS

A

AOR	Area of Responsibility
ASAC	Assistant Special Agent in Charge
AUO	Administratively Uncontrollable Overtime

B

C

CBP	U.S. Customs and Border Protection
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D

DAH	Designated Availability Hours
DFO	Director, Field Operations
DHS	Department of Homeland Security
DOD	Department of Defense
DSAC	Deputy Special Agent in Charge

E

EABM	Enforcement Apprehension and Booking Module
EID	Enforcement Integrated Database
EIRS	Executive Information Reporting Section
ELSUR	Electronic Surveillance

F

FBI	Federal Bureau of Investigation
FEP	Federal Employee Pay
FP&F	Fines, Penalties and Forfeitures
FYI	For Your Information

G - H

I

IAFIS	Integrated Automated Fingerprint Identification System
ICE	U.S. Immigration and Customs Enforcement
IDENT	Automated Biometric Identification System



J

JTTF Joint Terrorism Task Force

K

L

LEAP Law Enforcement Availability Pay

M

MOIR Memorandum of Information Received

N

NCIC National Crime Information Center

O

OCDETF Organized Crime Drug Enforcement Task Force

OFO Office of Field Operations

OI Office of Investigations

P

PDD Psychophysiological Detection of Deception

PHO Principal Headquarters Officer

POE Purchase of Evidence

POI Purchase of Information

Q

R

RAC Resident Agent in Charge

ROI Report of Investigation

S

SA Special Agent

SAC Special Agent in Charge

S/A/S Search/Arrest/Seizure

SCO System Control Officer

SEACATS Seized Asset and Case Tracking System

SEN Significant Event Notification



T

TECS Treasury Enforcement Communications System

U

UOT Uncontrollable Overtime

USAO U.S. Attorney's Office

U.S.C. U.S. Code

USCS U.S. Customs Service

V – Z

