

# U.S. Citizenship and Immigration Services



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# U.S. Citizenship and Immigration Services

# Objective

- To provide a brief overview of the Freedom of Information Act/Privacy Act Information Processing System (FIPS).



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# What does FIPS do?

- Provides workflow processing for the life of a case;
  - image capture
  - redaction and printing of responsive records
  - correspondence with the requester
  - management reporting.
- FIPS can support the receipt of more than 10,000 requests to USCIS a month, and supports all subsequent processing required.

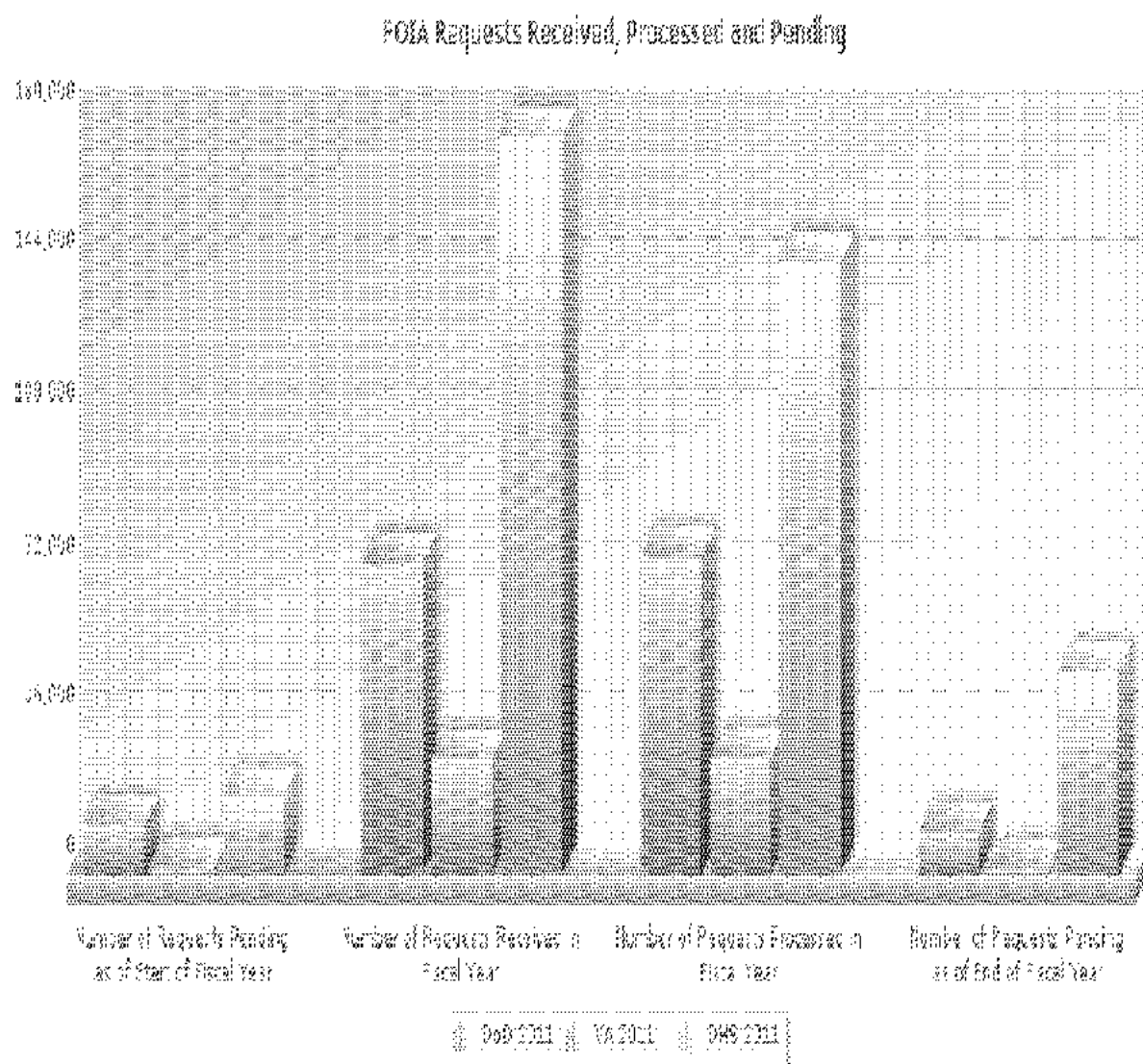


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# DHS is the busiest FOIA Agency:

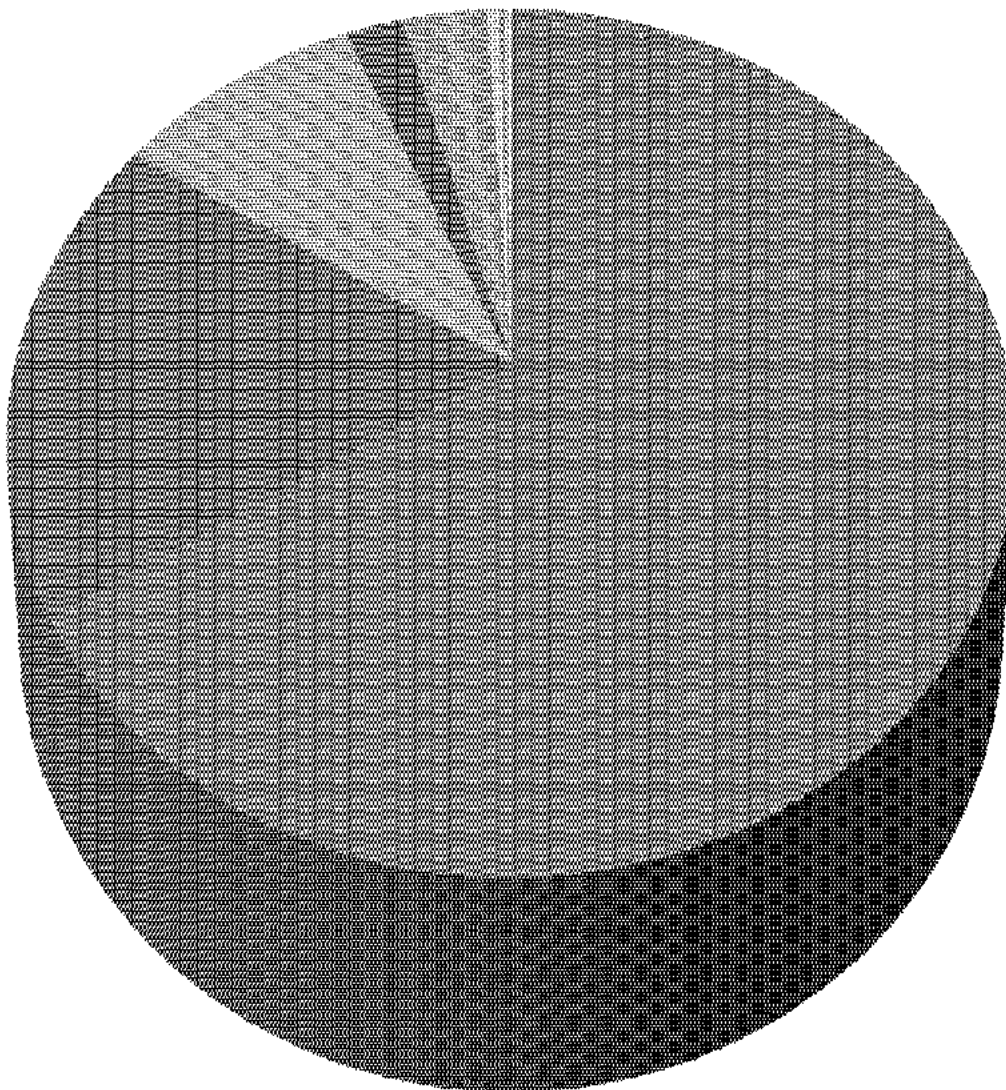
## The Three Top FOIA Agencies, FY2011



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# Within DHS, USCIS is busiest:

Number of Requests Received FY2011



- USCIS
- CBP
| ICE | USCG |
| US-VISIT | PRIV |
| TSA | USSS |
| FEMA | NPPD |
| MGMT | OIG |
| FLETC |  |



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# People at Work:

- **Records Scanners** scan all hard copy information including requests, responsive records and other documentation into FIPS
- **Case Creators** create cases, generate letters, request responsive records, and close cases that do not require local processing
- **Processors** redact responsive records with exemption codes and determine final actions for cases
- **Case Approvers** review redactions, approve final actions, determine costs and applicable fees, and close cases
- **Print Managers** print cases, correspondence and other FIPS documents
- **Unit Chiefs** provide supervisory and managerial support
- **Administrators** provide system content support including maintaining look-up table data and user information, and reassigning cases as needed



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# FIPS

- This application is composed of the Image Viewer window and the Worksheet window
- Allows the user to perform case processing tasks like case creation, case approval, case close, case searches, etc.
- Available to the following user roles:
  - Case Creator,
  - Records Locator,
  - Case Processor Track 1/2/3,
  - Case Approver Track 1/2/3,
  - Administrator,
  - Unit Chief,
  - Up-front Approver, and
  - Stand-Alone.



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# Scan

- This application handles conversion of physical documents into digital images.



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# Reports

- Allows managers to create a broad array of reports from the FIPS database.
- When we need a new report, FIPS administrators will design the SQL search strings and the format of the report to our specification.



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# Print Manager

- Once an approver is finished with a document, it goes to the "print queue," a subset of the FIPS database.
- Print Manager allows office automation personnel to schedule printing, stop printing, and restart printing as necessary.



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# STEP 1: Scanning

- FIPS uses imaging technology to capture electronic copies of paper documents associated with FOIA/PA requests initially, when we receive responsive records, and whenever we receive correspondence about a case. The initial control number ends in “REQ.” Scanned documents could be:
  - The initial request letter and supporting documents (correspondence, the envelope, etc.)
  - Requester Documentation (if we have asked for additional information or consent)
  - Responsive Records (and Staffing Response)
  - Supporting Documents such as address change, request modification or withdrawal
  - Remand/Non-Compliance Appeal



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## STEP 2: Creating the Case

[illegible]

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# STEP 2: Creating the Case

- As the case creator fills in the worksheet, the information becomes part of the FIPS database.
- After this, the case creator determines type, source, category and track, and will search for similar or duplicate cases and then creates the case to assign an NRC case control number to the case.
- The creator prepares an acknowledgement letter (provided by FIPS in Microsoft Word) and prepares a request for the file.



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# Correspondence

- The request for the file is called the "staffing sheet" and is provided by FIPS in Microsoft Word.
- The Case Creator prepares an acknowledgement letter, and makes changes if the requester specified documents (as opposed to the whole file).

File Edit View Insert Format Tools Table Window Help

Normal Times New Roman 12 Arial 12

U.S. Department of Homeland Security  
National Security Center  
2000 Ave. of the Americas  
Crestwood, MD 21036-0001

U.S. Citizenship and Immigration Services

December 3, 2016

MEMORANDUM FOR:

FROM: SEA Scott  
Delegation Asst.  
206-838-0061  
Email: Wong

ATTN: Bounty Wong

FROM: NRC FOIA/PA

SUBJECT: Freedom of Information/Privacy Act Request NRC 2010-00606  
Alien # 012345678  
Subject Name: Chris F. Bacon

The attached FOIA/PA request is forwarded to your office for action. Due to the subject matter, there is a high probability your office will have records responsive to the request.

- Please conduct a thorough search for all responsive records physically in, and within the functional purview of your office.
- Send a copy of all responsive documents to the FOIA office in their entirety. **DO NOT MAKE REDACTIONS.**
- Bracket any documents or portions thereof that you believe should be withheld. Please include a brief explanation for your action. **The FOIA Staff will not release those items so indicated without further discussion with you.**

Should you need other assistance or believe this request should be staffed to another office, please

Page 1 Sec 1 12 12 4" 12 25 Col 19 English 5



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# After Staffing:

- The contractor sends for the file or retrieves the file from the shelf at NRC.
- The contractor scans the entire file into a responsive records image slot.
- The case then goes to the processing queue, which is sorted by the date we received the request, not by the date when the file was scanned.



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# STEP 3: Processing the Case

- Case Processors redact Responsive Records.
- A processor sees the combined Worksheet and the Image, with the redaction palette in the FIPS application.
- The processor “checks out” the responsive record, edits it, and then checks it in.
- The processor uses the redaction palette to redact sections of the document, including full pages, and to assign exemption codes to each of the redacted sections.



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# During Redaction:

- Case Processors can perform the following activities in the redaction application:
  - Highlight an area of text to be redacted, including a full page.
  - Assign exemption codes to redacted text.
  - Remove highlighting and redactions.
  - Create Discussions for unusual circumstances that have affected processing decisions.
  - Refer records to other government agencies.
  - Create a Summary Discussion.
  - Create a final action letter to the requester, explaining what FOIA/PA Exemptions were cited, giving a brief explanation of the types of information we withheld under each of those exemptions, and explaining how to appeal our determination.
  - Create referral letters, as needed.



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## STEP 4: Reviewing, Approving, and Closing the case

- Approvers open cases in queue in the Case Approver role.
- The standard interface is the combined Worksheet and Image Viewer forms in the FIPS application. The approver also has the redaction palette.
- The Image Viewer window allows the user to review the responsive records and any redactions. The approver is then able to finalize and close the case.



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# Reviewing, Approving, Closing

- Case Approvers can perform the following actions:
  - Process records
  - Review redactions and send the case back to the processor, if necessary
  - If applicable, assess fees for services rendered, pend for payment, and update case when payment is received
  - Change a final action code
  - Modify or create new correspondence
  - Close the case and send it to the printing queue



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# STEP 5: Printing

- Documents in the print queue do not print until the Office Automation user selects them, at which point the Print Manager application will send the selected documents to the Windows print queue for printing to the default printer.
- We print to CD by default. We send paper records only when the requester specifies paper or if the mailing address is to a detention facility or correctional institution.



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# The “OA Room”

- Office Automation Personnel can perform the following activities in the printing application:
  - Choose a printer to which to route the print jobs.
  - Select specific document types to be printed.
  - Select all types of documents to be printed.
  - Select documents to be printed to paper, if paper is required.
  - Request a previously printed document to be printed again.
  - Print acknowledgment letters, transfer letters, referral letters, status letters, staffing letters, responsive records, index worksheets, final action letters, request letters, staffing responses, request statuses, and payment letters.



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# REPORTS

- FIPS generates reports from the FIPS database used by managers at every level of the FOIA/PA process.
- Reports are viewable in a Crystal Reports frame, and exportable to PDF and Excel.
- Managers at various levels are interested in different kinds of reports. Reports categories are:
  - Annual
  - Appeals
  - Balanced Scorecard
  - Detailed
  - Management
  - Monthly Performance Measures Detail
  - Monthly Performance Measures Summary
  - Summary
  - Troubleshooting



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# Different kinds of reports for different functions:

Business Objects InfoView - Windows Internet Explorer provided by IIGSIS

http://ipsc.uscis.dhs.gov/7C011InfoViewApp/isting/main.do?appKind=InfoView&service=%2FInfoViewApp%2Fcommon%2FappService.do&bc=

File Edit View Favorites Tools Help

View: Carved Selected

Page: Tools

**BUSINESSOBJECTS INFOVIEW**

Business Objects  
v. 2.5.0.0

Home Document List Open Dashboards Help Preferences About Log Out

New Add Objects Actions Search title of 1

All	Title	Last Run	Type	Owner	Instances
My Favorites	Annual		Folder	Administrator	
Inbox	Appeals		Folder	Administrator	
Public Folders	Balanced Scorecard		Folder	Administrator	
	Detailed		Folder	Administrator	
	Management		Folder	Administrator	
	Monthly PM Detail		Folder	Administrator	
	Monthly PM Summary		Folder	Administrator	
	Summary		Folder	Administrator	
	Troubleshooting		Folder	Administrator	
	Barcode Generator		Crystal Report	Administrator	1

Total: 10 objects

Discussions

View: 5110 Assigned Cases by UserID

Print: 1/16 100% 100%

View Report:

US Department of  
Homeland SecurityUS Citizenship and  
Immigration ServicesFOIA and Privacy Act  
Information Processing  
System (FIPS)

## Assigned Cases by UserID

From: To:

Region:	ALL	Request Source:	ALL
Office:	NRC	Category:	ALL
Assigned To:	ALL	Type:	ALL
Final Action Code:	ALL	Bureau:	ALL
Case Type:	ALL	Track:	ALL
Transfers/Errors:	ALL	Staffing Type:	ALL

Role	Control Number
Case Creator (2 cases)	
Case Creator	NRC2012053239
Case Creator	NRC2012065753
Processor 2 (1 cases)	
Processor 2	NRC2011112905
Processor 3 (1 cases)	
Processor 3	NRC2012054475
Processor 3 (1 cases)	
Processor 3	NRC2012054803
Administrator 2 (6 cases)	
Administrator 2	NRC2011107946
Administrator 2	NRC2012001876
Administrator 2	NRC2012003707
Administrator 2	NRC2012019546
Approver 2	NRC2011111933
Approver 3	NRC2012033515
Case Creator (4 cases)	
Case Creator	NRC2012065752
Case Creator	NRC2012062590
Case Creator	NRC2012073007REG
Records Locator	NRC2011113516
Processor 1 (5 cases)	
Processor 1	NRC2011068239
Processor 1	NRC2011102038
Processor 2	NRC2012011719
Processor 2	NRC2012015053
Records Locator	NRC2012060751

This report  
quickly  
shows who  
has what  
cases.

Most  
reports  
allow  
specific  
parameters.



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Figure

Age	Age	People's Choice	Age
Color	Color	Category	Age
Assigned To	Assigned To	Type	Age
First Name	First Name	Gender	Age
Case Type	Case Type	Index	Age
Investigator	Investigator	Case Type	Age
Referral Type	Referral Type		

[illegible]

2014

First line supervisors are interested in production and correcting errors.



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# Excel:

Some reports in Crystal Reports have a column of actions for every FIPS user. Those reports scroll to the right until the last user, and are impractical to print. A supervisor can export reports to Excel and lock the first column with the legends to manage the data more practically.



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# Managers at higher levels are interested in

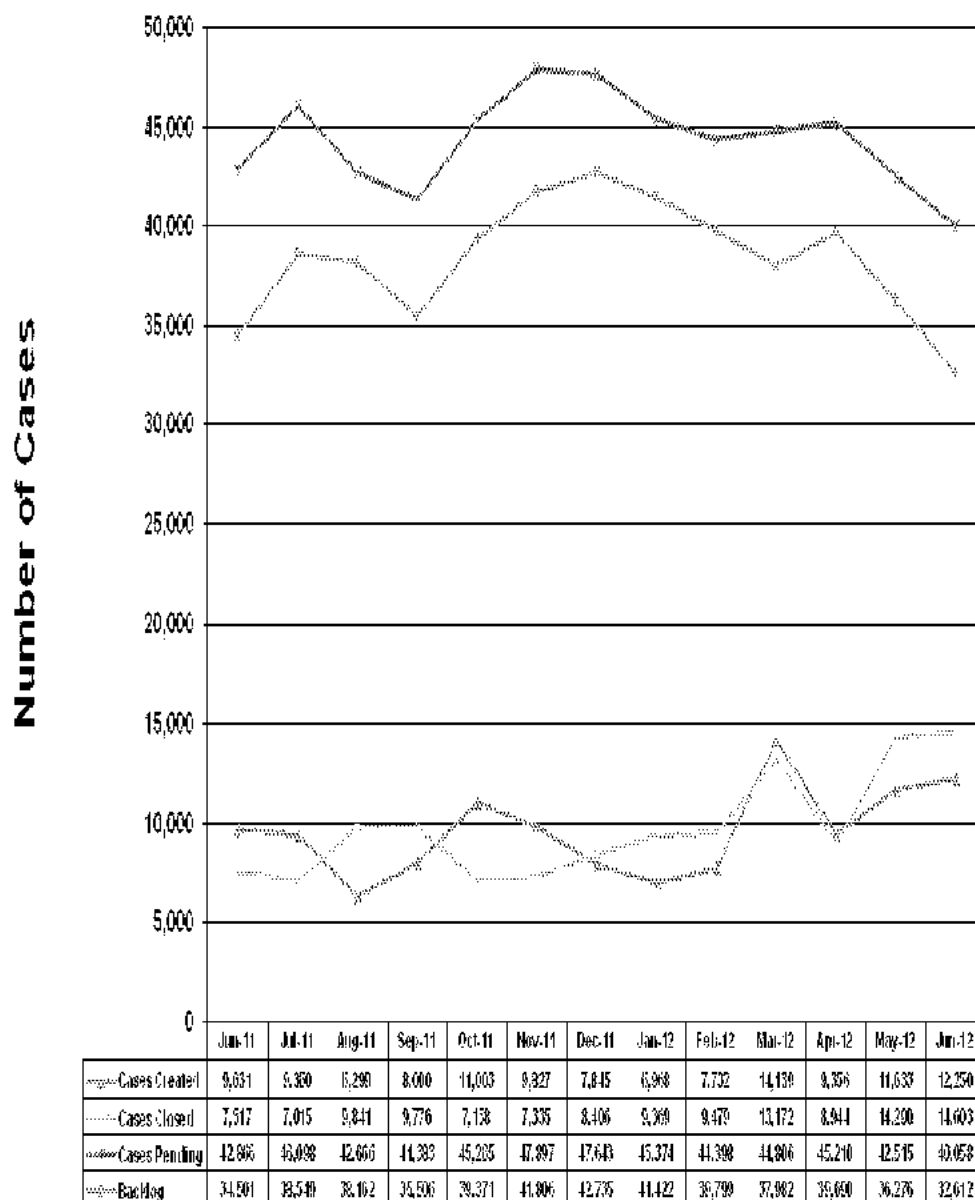
- statistical analysis,
- bottlenecks
- areas for improvement,
- congressionally required reports.



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Here, a higher-level manager can quickly see that we are closing more cases per month than we are receiving, which is good news.

### NRC Processing Fiscal Year 2012



A person working in the USCIS FOIA Program Office created this chart in Excel from data imported from FIPS.



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# Questions?



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# Objectives

To define Freedom of Information Act and the Privacy Act.

To understand the concept of creating cases in FIPS by reading and analyzing the information provided on the FOIA/PA request.



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# Part I – Freedom of Information Act and the Privacy Act

Questions you have to be able to answer:

- What are FOIA and PA?
- What are agency requirements?
- What are requester requirements?



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# Freedom of Information Act

- The Freedom of Information Act gives all people the right to request federal executive branch records. 5 U.S.C. § 552
- Any person can request access to any record maintained by any federal agency (this applies to Executive Branch only). The FOIA has its own definition of “person.”
- Requires agencies to release the requested record/s unless one or more of the nine exemptions protects the information.



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# Agency Requirements

- Agencies must:
  - Conduct a diligent search for records responsive to the request
  - Comply with time limits: respond within 20 working days (unless unusual circumstances exist)
  - Release responsive records unless an exemption applies



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# Agencies Requirements

- Agencies must:
  - Track and monitor
  - Process on a first-in first-out basis



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# Requester Requirements

- Requester must:
  - Submit the request in writing
  - Provide agreement to release information if the requester is other than the subject of record
  - Provide verification of identity if requesting a record about a living person
  - Reasonably describe the record sought
  - Assume financial responsibility up to \$25.00



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# Who can make a request and what can be requested?

- Anyone can
  - First party requesters -
  - Third party requesters -
  - Special Interest –
  - Bond obligors –
- Anything that is an agency record – but a requester cannot ask a question: “I was detained at Miami Airport – why?” That’s not a description of an agency record.



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# Privacy Act

- The Privacy Act of 1974 was enacted to limit what the government can do with information about you.
- Among other things, it guarantees the public's right to see their records unless the record can be legally withheld under one of the ten exemptions. (5 U.S.C. § 552(a))



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# Privacy Act

- Privacy Act balances the government's need to maintain information about individuals with the rights of individuals to be protected against unwarranted invasion of privacy.
- The Privacy Act has its own definition of "individual."

# Purpose of the Privacy Act

- No secret records
- Records created are limited to only those that are necessary
- You know what records the government keeps about you and you can challenge the accuracy
- The government is restricted to collect information about you for a specific purpose and can not be used for another without your consent
- If the government discloses information about you, it must account for that disclosure.



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# Part II – Case Create

The objective of this class is to be able create a case in FIPS by reading and analyzing the information provided on the FOIA/PA request.

- This includes:
  - ensuring that the database is accurately completed,
  - researching/locating the file/record,
  - staffing for the correct file/record,
  - verifying that agreement to release the file/record is present, if necessary,
  - determining if additional information is needed to locate the file/record and
  - acknowledging receipt of the FOIA/PA request.



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# Requests

- A request must be made in writing and reasonably describe the records being sought.
  - Form G-639
  - Letter from an attorney or representative
  - Letter from the alien.
- **How do we get them?**
- Mail, fax, hand delivered or via e-mail.



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# Reasonable Description

- Requester must provide enough information for us to search for records.
- If a requester with a very common name sends us a request for file, says cannot remember Alien Number, and we find multiple matches, we have to ask for a better description of the records the requester wants.



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# Read!

Case create requires you to carefully read the request and the supporting documents while searching for specific information.



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# Case Create

Processing Fee Information

Office NRC NRC2008000157 Status Open Case Processor 2 p3test Web Entry

Received 6/25/2008 Scanned 06/25/2008 Created 6/26/2008 Perfected Final Action Closed Final Reply Due 07/25/2008

**Requester Information**

Abner Doubleday  
1 Hall of Fame Drive  
Cooperstown NY 12345  
Edit Requester  
Change Requester  
987-654-3210

**Subject Information**

First Jessica Middle Marie Last Powell  
A-Number 987654321  
Topic

Track \* 1 Bureau: CIS  
Type \* FOIA Request Referred From: ...  
Source Self Expedited: Not Requested  
Category \* Alien File Fee Waiver: Not Requested  
Print To CD  
PA Cited  
In Litigation  
In Circula Search  
Delinquent

Calculate Queue Position

Insert A-Number

Insert Topic if

-the Topic is not a copy of the A-file

-pertains to a specific document

-you have an ELIS request (IOE number)

Type of request	Source	Track 1-3	Category	CD
• Attorney FOIA Request	• Attorney		• Alien File	Always
	• Commercial		• Asylum	Always
	• Education/Scientific		• Specific Documents	
	• Foreign Government		• Non A-File Material	
	• News Media		• Personnel	
	• Others		• Special Interest Group	
	• Representative		• SFR cases at NRC	
	• Self			
	• White House/Congressional			



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Processing		Fee Information	
Office: NRC	NRC2008000157	Status: Open Case Processor 2 p3test	Web Entry
Received	Scanned	Created	Perfected
6/25/2008	6/25/2008	6/26/2008	
Final Action		Closed	Final Reply Due
			07/25/2008
<b>Requester Information</b>			
Abner Doubleday 1 Hall of Fame Drive Cooperstown, NY 12345		Edit Requester Change Requester	
		987-654-3210	
<b>Subject Information</b>			
First	Middle	Last	
Jessica	Marie	Powell	
A Number: 987654321			
Topic: Border Patrol Apprehension Data			
Track * 2	Bureau CIS	Print To CD	
Type * FOIA Request	Referred From	PA Cited	
Source * Self	Expedited Not Requested	In Litigation	
Category * Alien File	Fee Waiver Not Requested	In Circular Search	
		Defrquent	
Calculate Queue Position			
<input type="button" value="Save"/>			

## FEE WAIVER

Requesters seeking a waiver of fees must meet two requirements.

1. Disclosure likely to contribute significantly to public understanding of the operation or activities of the government, and
  2. Disclosure not primarily in the commercial interest of the requester.
- The person has to ask for a fee waiver specifically. A statement of financial insolvency included in the request is not the same as asking for a fee waiver.
  - If the requester has asked for a fee waiver, create a case note saying "Fee Waiver Request" and send the case to Records Locator.



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Processing

Office BAL 9AL2010000751REQ Status Request Case Creator cctestb Web Entry

Received Scanned Created Perfected Final Action Closed Final Reply Due

03/04/2010

Requester Information

Requester Search/Entry

Subject Information

First Middle Last

A-Number

Topic

Track \* Bureau \* ☐ Print To CD

Type \* Referred From .... ☐ FA Cited

Source \* Expedited Not Requested ☐ In Litigation

Category \* Fee Waiver Not Requested ☐ In Circular Search

☐ Delinquent

Calculate Queue Position

Save

Tasks Discussions Case Actions

Document Type	Seq.	Pages	Status	Resp Unit	A-Number	Date
Request Letter	1	2	Scanned			3/4/2010 1:06:57 PM

# REQUESTER'S BIOGRAPHICAL INFO

## REQUESTER NAME AND ADDRESS

Use the address of the requester on the G-639. The requester may be an individual or an attorney/representative.



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# Delinquent Requesters

FIPS will automatically conduct a search for delinquent fees owed by the requester, using the last name of the requester. If a delinquent case is found the box shown below will pop-up. Because the search criteria used is the last name the results are not always an exact match.



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# Search for a Requester

The screenshot shows a 'Requester Search' window with the following fields and controls:

- First Name
- Middle Name
- Last Name
- Address1
- Address2
- Address3
- City
- State
- Zip Code
- Phone
- Frequent Requester: ☐ Yes ☐ No ☐ Either
- Buttons: Search, Cancel, Add New Requester

Annotations on the screenshot:

- An arrow points from the text "Select 'Either'" to the "Either" radio button.
- An arrow points from the text "If you don't find a requester, select 'Add New Requester'" to the "Add New Requester" button.



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# Track III

- To have a Track III request, the subject of the file must have been served with a charging document and have a future hearing scheduled before an Immigration Judge.
- The subject must provide us with a copy of that notice to appear or document showing a future scheduled hearing.



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# Cover sheets

- Cover sheets have been created to help you identify cases.
  - Expedited
  - Track III



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# Track III Cover sheet

- Track III Requested
- APPROVED \_\_\_\_\_
- \_\_\_\_\_
- \_\_\_\_\_
- \*\*\*\*\*
- DENIED \_\_\_\_\_
- CC: Please prepare acknowledgment letter and Track III denial letter.
- IJ Decision entered on \_\_\_\_\_.
- Decision: \_\_\_\_\_
- \_\_\_\_\_
- Appeal of IJ decision does not meet track III criteria.
- No supporting documents attached.
- Supporting documents not attached as stated in
- requester letter.
- No hearing date set – cc - check EOIR (on 9101 screen press F11 to see EOIR) for hearing date update.
- \_\_\_\_\_
- \_\_\_\_\_
- \_\_\_\_\_
- Per: \_\_\_\_\_ Date: \_\_\_\_\_

# Expedited

- To be considered an expedited request one of the following criteria must exist.
  - A circumstance that poses an imminent threat to the life or physical safety of an individual or
  - An urgency to inform the public about a federal government activity, if made by an individual who disseminates information (the media).



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# Expedited

- Using the word expedited in the request letter does not mean the requester is seeking expedited treatment.
  - It is all in the wording and the placement of the word.
- "Please expedite my FOIA/PA request,": This is an expedited request.
- "Thank you for expeditiously handling my case,": This is not an expedited request.
- "Request that you expedite my case because my client has a hearing,": This is not considered an expedited request, and we will treat it as a Track 3 request.



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# Expedited Cover sheet

- **EXPEDITED TREATMENT REQUESTED**
- **APPROVED** \_\_\_\_\_
- **DENIED** \_\_\_\_\_
- **CC:** Please prepare acknowledgement letter with expedited treatment denial.
- **Remarks:** \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

- **Per:** \_\_\_\_\_ **Date:** \_\_\_\_\_

# What is Agreement?

- Approval or permission as to some act or purpose, esp. given voluntarily by a competent person. (Black's Law Dictionary)
- 6 CFR § 5.21(f): If you are making a request for records concerning an individual ... You must also provide a statement from the individual certifying the individual's agreement that records concerning the individual may be released to you.
- 5 U.S.C. § 552a(b) No agency shall disclose any record ... except pursuant to a written request by, or with the prior written consent of, the individual to whom the record pertains.



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# Certification of Agreement

- If the requester is not the same as the subject of record, Block 3 of Form G-639 is Consent to Release Information.
- Do they have to complete Block 3?  
Not necessarily: 6 CFR § 5.3(a) says: If you are making a request for records about another individual, either a written authorization signed by that individual permitting disclosure of those records to you or proof that individual is deceased ... must be submitted.



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# Form G-28?

- Is Form G-28 certification of agreement? Yes.
- On Form G-28, at the place where the Subject of Record signs, is the following statement:
  - Pursuant to the Privacy Act of 1974 and DHS policy, I hereby consent to the disclosure to the named Attorney or Accredited Representative of any record pertaining to me that appears in any system of records of USCIS, USCBP, or USICE.
- With Form G-28, we have a valid agreement to release information, but we still must have Verification of Identity.



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# Verification of Identity

- The following is an excerpt from the Instructions for Form G-639:
  - **Verification of Identity by Mail:**
  - Requesters wanting access to their records must identify themselves by name, current address, date and place of birth.
  - A notarized signature of the requester or a sworn declaration under penalty of perjury must also be provided (Form G-639 may also be used).



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# Verification of Identity:

- 6 CFR § 5.21(d) says you must provide us:
  - Full Name
  - Mailing address
  - Date of Birth
  - Place of Birth
- And it also says: You must sign your request and your signature must either be notarized or submitted by you under 28 U.S.C. 1746 (*penalty of perjury in lieu of notarized signature*).



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# VOI and Agreement

- We will cover this in detail later.
- Section 7 of the FOIA/PA Assistant's Guide is all about VOI and Agreement.



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# Reasonable Description

- If a requester gave us name, mailing address, date of birth and place of birth, but said alien number unknown, several things could happen:
  - If he or she asked for the alien file and we discover one (only one) exact match, we have a reasonable description of the records being sought.
  - The same is true if he or she asked for a petition.
  - We might find no match. In such a case, the requester did not reasonably describe records being sought and we must request additional information.
  - The same is true if we find several exact matches.



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# Requesting More Information

- We will ask for these items of information only if we need them. In the earlier scenario, we said the requester gave us name, address, date of birth, place of birth, but no A-number, and we got multiple matches or no match at all.
- We will request A-number, Application or Petition number, parents' names, other names the subject may have used, and other information that may be in CIS and would help us identify the correct file.
- If you request more information, do not staff for the file. Pend.



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# Time to Search

- Search for Duplicate or similar cases.
- Usually you search by Alien Number
- It is a good idea to copy the A-number from CIS and paste.
- The A-Number field must be nine digits. Add a leading zero if you have to.

Case 60 Home

HHS V.D. Training build 161    Work Queries    Actions    Standalone Search

Processing    Fee Information

Search Case

Status: ☐ Open ☐ Closed ☐ Arch

Control Number:

Request Number:

Created After:  09/20/2006

Office:  [v]

Requester Last Name:  Rivera

Requester First Name:  Anyata

Requester Middle Name:

Subject Last Name:  [v] [v] [v] [v] [v] [v] [v] [v] [v]

Subject First Name:  [v] [v] [v] [v] [v] [v] [v] [v] [v]

Subject Middle Name:  [v] [v] [v] [v] [v] [v] [v] [v] [v]

A-Number:  000000000

Type:

Submit

Second, click here

Contents    Discussions    Case Actions    History

Task	Status
Create Case	Not Started
Search For Duplicate Cases	Not Started

First click here

Records Locator    Case Processor    Case Approver    Unit Chief    US-Print Approver    Print    Re

Page 2 of 2    65.7%    Viewing version: 1



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# Not a duplicate or similar case

- Usually, you get a notification like this:

Processing ...

Control Number	Scanned	Requester's Last Name	Requester's First Name	Requester's Middle Name	Topic A	Status	Category	Final In Action	Litigation
<div>Search Complete    Search Again</div>									

- In that case, you simply click "Search Complete" and FIPS assigns an NRC control number to your case. You are ready to staff or to send a request for more documentation.
- If this is going to be a multiple case, select "Create Additional Cases."











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# What if it is a duplicate?

FIPS v7.0 Training build 06		Work Queries		Actions		Standalone Search		
Processing		Fee Information						
	Control Number	Scanned	Requester's Last Name	Requester's First Name	Requester's Last Name	First Name	Middle Name	Topic
	NRC2010000371	7/21/2010 8:09:34 AM	Toffice	Dennis	Who	Sally	Lou	
	NRC2010000371	7/21/2010 8:09:34 AM	Toffice	Dennis	Who	Sally	Lou	
	Set this case as duplicate to original case		52 PM	Toffice	Dennis	Booker	Bart	B
	NRC2010000424	8/6/2010 12:27:52 PM	Toffice	Dennis	Booker	Bart	B	
	NRC2010000425	8/6/2010 12:28:13 PM	Toffice	Dennis	Bader	Beth	B	
	NRC2010000426	8/6/2010 12:27:54 PM	Toffice	Dennis	Judy	Judy	Judy	Rect # 111111
	NRC2010000426	8/6/2010 12:27:54 PM	Toffice	Dennis	Judy	Judy	Judy	Rect # 111111
	NRC2010000427	8/6/2010 12:28:16 PM	Toffice	Dennis	Genif	Muth	N	

- First, look at the case by clicking the edit logo (to the left – it looks like a folder with a gear in front of it.)
- Second, if it is a dup, click on the second logo to set the case as a duplicate.

# Closing a Duplicate Case

- Next, under tasks, click on Final Action Letter.
- Choose “ER: Created in Error” as the final action code.
- Be sure to create a Discussion explaining what you did and why.
- Send the case to Up-front Approver. You are finished with that case.



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# Additional Cases?

- If the case you are creating will be a multiple, do the following, in this order:
  1. Create the case (but do not create letters or staffings before you create additional cases).
  2. Create additional cases.
  3. Prepare the acknowledgment letter.
  4. Prepare the staffing (s) (if applicable).
- The additional cases will be waiting for you. You may not be staffing for every file. You should treat each case individually.



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# Requests

- What does the requester want?
- Complete copy of the A-file
- Receipt file
- Application/Petition and supporting documents



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# Staffing

- Staffing means the same thing as requesting a file.
- The most complex part of creating a case.
- It's why you are in here for two weeks.
- Management Support Branch (MSB) has to get the file after you create the staffing.
- If you have not met the people in MSB yet, take the time to meet them.
- They will always be happy to help you.



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# Discussions

- Any time you are sending a case to Up-front Approver, you must create a Discussion.
- Any time there is something unusual.
- You will create a Discussion more often than you do not.
- The only time you do not create a Discussion is when you have a standard request with all required VOI & Certification and it is a normal staffing.
- A good Discussion can save you some tears.



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# FOIA/PA Assistant's Guide

- Section 6 is Creating the Case
- Section 7 is Certification of Agreement, VOI and reasonable description
- Section 8 addresses unusual requests and situations
- Section 9 is Referrals and Redirections
- Section 12 is Staffing



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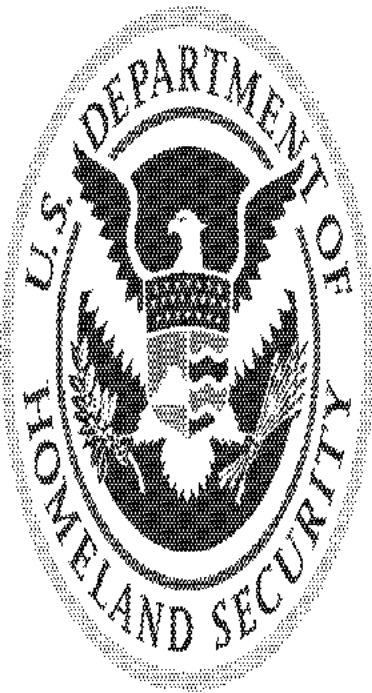
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# U.S. Citizenship and Immigration Services





# U.S. Citizenship and Immigration Services

# Objective

To become familiar with CIS, CLAIMS and PCQS searches.



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# Warning

- This training module uses real data so that you will be able to practice it for yourself.
- You should not discuss any PII in the case studies outside the class.
- If you print these slides, treat them as sensitive FOUO. Keep them locked, and shred all the case studies when you no longer need them.

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# Central Index System (CIS)

## CA-Televue Screen

This shows the systems you  
have access to

Enter the system number that you have  
access to at the command line, press Enter.

```

CA-TELEVIEW 4.4
COMMANDS  ENVIRONMENT  MSG  EXIT
-----
MODEL : LUB -2/2      DR: CA-TELEVIEW 4.4      USERID: NRCAG31R
LUNAME: ISMS00X      ESCAPE: PF1

COMMAND --> 110

System / Application Status / Remarks / Description
-----
1  HELP      Available      TeleView Help Facility
2  MSG       Available      TeleView Message Facility
3  NEWS      Available      Help & News Menu
4  J406IDMS  Available      RAPS-RPSS-EQIR
5  J427IDMS  Available      FOIR/NRCS/STSC/NRFS/RNRC
6  J479IDMS  Available      CLAIMS
7  J427CICS  Available      DR: ROPES
8  J504CICS  Available      WDC ROPES
9  J537IDMS  Available      PF11
10 J534IDMS  Available      CIS
11 J527IDM2  Available      PICS/ADMIN SYSTEMS/DACS

*****
PF1= HELP PF3= END PF7= PAGE UP PF6= PAGE DOWN PF8= NOTEPAD PF10= ERASE NOTES
B270

```

Use PF8 To Page Up & PF9 To Page Down



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# COMMAND: JUMP

**Where in CIS do you find what  
commands you can use?**

## JUMP MENU



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# JUMP MENU

- **91      Search Menu**
- **92      Display Menu**
- **93      Add Menu**
- **94      Maintenance Menu**
- **95      Transfer Menu**



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# JUMP MENU

```

C MJUMP          DEPARTMENT OF HOMELAND SECURITY - USCIS          02/17/09
COMVAND: ,UMP    CENTRAL INDEX SYSTEM - JUMP MENU                08:38:15

JUMP CODE DESCRIPTION      JUMP CODE DESCRIPTION      JUMP CODE DESCRIPTION
.....

91  SEA (SEARCH MENU)      9223 CRDH CARD HISTORY      9322 DA  DENY CREW LAND
→ 9101 ID  ID NUMBER        9224 DRHL RLSE HIST LIST    9323 ST  STOWAWAYS
→ 9102 SL  SOLND-LIKE NAME   9225 DRAL RLSE AGENCY LIS   9324 CD  CREW DESERTS
→ 9103 EX  EXACT NAME        9331 BCC  BORDER CROSSING
→ 9104 AKA  ALIAS NAME       93  ADD  (ADD MENU)         9332 CM3R BCC DENAIL
9105 LAPS  LAPS EXACT NAME   9301 VF  NEW FILE ADD       9341 AN  APPREHENSION
→ 9106 SDOE SOLNDEX W/DOB    9302 VERF VERIFY FILE      9342 CIVS CRIMINAL IMM
9115 ARR  A# RP REQUEST      9303 AAKA ADD ALIAS         9344 DE  FAIL TO DEPART
                                9311 VS  NATZ STUB          9345 PR  PROSECUTION

92  DIS (DISPLAY MENU)      9312 DR  DERIV CITIZEN
→ 9201 PER  PERSONAL DATA   9313 CH  ENTRY CHILD
9202 DAKA DISPLAY ALIAS      9314 XP  EXPATRIATION
9212 EARM DATA FROM EARM    9315 RP  REPATRIATION
9213 EADS DATA FROM EADS    9316 COA  STATUS CHANGE
9221 HIST STATUS/HISTORY     9317 REVN REVOKE NATZ
→ 9222 CARD CARD DATA      9321 CU  CREWMAN LANDING

CLEAR EXIT      PF1 PAGE AHEAD      PF3 HELP      PF3 VA N MENU
SELECT ,UMP CODE (EITHER NUMERIC OR CHARACTER CODE) AND PRESS ENTER.
  
```



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# JUMP MENU (CONTINUED)

C MJUMP		DEPARTMENT OF HOMELAND SECURITY - USCIS	02/17/09
COMMAND:		CENTRAL INDEX SYSTEM - JUMP MENU	09:56:49
JUMP CODE	DESCRIPTION	JUMP CODE	DESCRIPTION
94	MM (MAINT MENU)	95	FTS (TRANSFER MENU)
9402	XCON CONSOLIDATION	9501	FTR REQUEST
9403	SFCO SUB FILE CREATE	9502	FTI INDICATION
9411	MPER PERSONAL DATA	9503	FTC CONFIRMATION
9412	MAKA CHANGE ALIAS	9504	FTD DISPLAY
9413	MHIS STATUS/HISTORY	9505	FTM MAINTENANCE
9414	DNZN DELETE NATZ NO.	9506	FTP PRIVILEGED
9421	DEL DELETE PERSON	9507	BIN TO/FROM FRC
9425	ARM A# RPT MAINT	9508	FTF FORWARD
9426	CRHM CARD HISTORY		

9504 is the only file transfer function you would use as a processor.



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# No A-Number?

- Usually we can find a person based on a name and date of birth.
- There could be variations in spellings.
- There could be aliases.
- There could be typographical errors on names and dates of birth.



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# Case Study # 1

- Last name Dominguez-Bandera
- First name Jose
- Middle name Antonio
- He has written his DOB as
- POB  (b)(6)
- In this case study, you will learn
  - European date notation
  - Garbage In – Garbage Out



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9103

APR 10 1998 10:37 AM

File Edit Session Transfer Program Options Window Help

CLINEVA DEPARTMENT OF HOMELAND SECURITY - USCIS 06/27/12  
COMMAND: CENTRAL INDEX SYSTEM - EXACT NAME SEARCH 10:37:41

\* LAST NAME: DOM HUBERT BAIDEPX (40-CHARS MAX)  
\* FIRST NAME: OSC (25-CHARS MAX)  
MIDDLE NAME: (25-CHARS MAX)

EXACT DOB:  (MMDDYYYY)  
DOB RANGE: (DATE RANGE = YYYYR YYYY=YEAR, P=0-9)

COB: (3-CHARACTER COUNTRY CODE)  
COC: (3-CHARACTER COUNTRY CODE)  
POE: (3-CHARACTER PORT OF ENTRY CODE)  
DOE: (MMDDYYYY)  
COA: (3-CHARACTER CLASS OF ADMISSION CODE)  
FCO: (3-CHARACTER FILES CONTROL OFFICE CODE)  
SEX: (M/F)

\* LAST NAME AND FIRST NAME ARE REQUIRED FIELDS. OTHERS ARE OPTIONAL.  
SPECIFY THE SEARCH CRITERIA, THEN PRESS ENTER TO INITIATE THE SEARCH.

CLEAR EXIT PF3 REFRESH  
PF4 MENU PF5 HELP PF6 MAIN MENU PF9 SOUNDS-LIKE SEARCH

D SPLAYED NAME NOT FOUND ON EXACT NAME SEARCH.

3270

----- NUM-OVR -----

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# F9 for Sounds-Like

```

DEPT: DEPARTMENT OF HOMELAND SECURITY - USCIS
COMMAND: CENTRAL INDEX SYSTEM - MULTIPLE FINDS FROM
          SOUNDS LIKE NAME WITH DATE OF BIRTH SEARCH
TOTAL RECORDS READ = 0000000
SPEC DATA: FNAME: JOSE                                DOB: [REDACTED]
            LNAME: DOMINGUEZ BANDERA                    DOB: [REDACTED]
NAME                                A-NUMBER            DOB            CC3    PCE    PCO    SSSSL    LDL
*** END OF SEARCH DISPLAY ***
TO VIEW PERSON DATA PLACE CURSOR ON LINE - PRESS ENTER
      CLEAR EXIT    PF1 PAGE AHEAD    PF2 PAGE BACK    PF4 RETURN    PF5 HELP
                  PF6 MAIL MENU    PF9 ALTERNATE SEARCH
NO PERSON INFORMATION ON FILE FOR SPECIFIED SEARCH.
3270

```

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# F9 Again for Alias Search

```

CIMSAS PAGE 0001 DEPARTMENT OF HOMELAND SECURITY - USCIS 06/27/12
COMMAND: CENTRAL INDEX SYSTEM - MULTIPLE FINDS FROM (b)(6) 10 29:29
ALIAS NAME SEARCH
TOTAL RECORDS READ = 0001000
SRCH DATA: FN/LEIN: JOSE /D DOB [REDACTED] EENN ACV
LE/LEIN: DOMINGUEZ BANDERA /G [REDACTED] AAAA PAI
NAME A-I LMBER DOB COB PCE FCO SSSSL LDL
FPOCI PRO

* * MORE * * TO CONTINUE SEARCH PRESS PF1 OR
TO VIEW PERSON DATA PLACE CURSOR ON LINE - PRESS ENTER.
CLEAR EXIT PF1 PAGE AHEAD PF4 RETURN PF5 HELP
PF6 MAIN MENU PF9 ALTERNATE SEARCH
NO PERSONS HAVE YET BEEN FOUND - TO CONTINUE, PRESS PF1
3070

```

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# 9102 with DOB range and COB

C:\MSD: DEPARTMENT OF HOMELAND SECURITY - USCIS 06/27/12  
 COMMAND: CENTRAL INDEX SYSTEM - "SOUND LIKE" SEARCH 10:30:59

\* LAST NAME JOM Hyeol Bariera (40-CHARS MAX)  
 FIRST NAME JCS (25-CHARS MAX)

LAST NAME MATCH (NUMBER OF EXACT CHARACTERS TO MATCH (0-9))  
 FIRST NAME MATCH (NUMBER OF EXACT CHARACTERS TO MATCH (0-9))  
 PREVIEW NAME (Y/N)

EXACT DOB (MMDDYYYY)  
 DOB RANGE  (DATE RANGE = YYYY-P, YYYY=YEAR, P=0-9)

COB  (5-CHARACTER COUNTRY CODE)  
 COC  (5-CHARACTER COUNTRY CODE)  
 POE  (3-CHARACTER PORT OF ENTRY CODE)  
 DOE (MMDDYYYY)  
 COA (3-CHARACTER CLASS OF ADMISSION CODE)  
 FCO (3-CHARACTER FILES CONTROL OFFICE CODE)  
 SEX (M/F)

\* LAST NAME IS REQUIRED FIELD. OTHER FIELDS ARE OPTIONAL.  
 SPECIFY SEARCH CRITERIA, PRESS ENTER TO INITIATE "SOUND LIKE" SEARCH  
 CLEAR EXIT PF3 REFRESH PF4 MENU PF5 HELP PF6 MAIN MENU

5270

DEPARTMENT OF HOMELAND SECURITY - USCIS 06/27/12 10:30:59

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(b)(6)

# Why didn't we find him first time?

- GARBAGE IN-  
GARBAGE OUT:  
First and middle  
names are both  
entered as first  
name.

FILE - PRINT - VIEW - HISTORY -  
File Edit Session Transfer Program Options Window Help  
NEW OPEN SAVE PRINT COPY PASTE FIND & REPLACE PRINT SCREEN  
CIN/IN DEPARTMENT OF HOMELAND SECURITY - USCIS 06/27/12  
COMMAND: CENTRAL INDEX SYSTEM - DETAILED SEARCH DISPLAY 10:37:01  
A#: [REDACTED] NAME DOMINGUEZ BANDERA, JOSE ANTONIO DOB: [REDACTED]  
LAST: DOMINGUEZ BANDERA  
FIRST: JOSE ANTONIO  
MIDDLE:  
ALIASES:  
DATE: DATE:  
COLRT:  
LOCATION:  
SEX: [REDACTED] POB: LHM COB: [REDACTED] DOE: [REDACTED]  
FCO: TIPC COA: [REDACTED] CCO: [REDACTED] FTO: 03112004 FATHER: [REDACTED]  
FFCO: NSC SFCO: [REDACTED] DFO: 03062003 BIN [REDACTED] MOTHER: [REDACTED]  
SSI: [REDACTED] CONSOLIDATED A-KOS -- OTHER INFORMATION --  
I-94 ADM# [REDACTED]  
PASSPORT# [REDACTED]  
FBI # [REDACTED]  
DRIVER LIC: [REDACTED]  
FINGER CD# [REDACTED]

- Date notation  
[REDACTED] to him  
means [REDACTED]  
[REDACTED]

CLEAR EXIT PF1 NEXT CONS A# PF2 PR GR CONS A# PF4 RETURN PF5 HELP  
PF6 CIS MAIN MENU PF7 NEXT SEARCH PF8 VIEW HISTORY PF9 VIEW EAD PF11 EDIR

3270

(b)(6)

----- NUM OVR -----

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# More about date format:

Person: Central Search Selections

Search Criteria:

Last Name:  ☐ AR11 ☐ CPME ☐ SEVIS

First Name:  ☐ CIS ☐ DoS+UCB

Range:   ☐ DISCOR ☐ eCISOCR+ROADS

Date of Birth:  ☐ QUALYS 3 M/F ☐ FO238 (b)(6)

☐ QUALYS 4 ☐ MF45

Person Search Results		Search Selected Persons		View	
ID	ID Type	Last Name	First Name	Date of Birth	# Person Found In
<input type="text" value=""/>	Alien Number	DOMINGUEZ BANDERA	JOSE	<input type="text" value=""/>	CISOCR
	Receipt Number	DOMINGUEZ BANDERA	JOSE		CISOCR
	Receipt Number	DOMINGUEZ BANDERA	JOSE		CISOCR
	Receipt Number	DOMINGUEZ BANDERA	JOSE		CISOCR
	Receipt Number	DOMINGUEZ BANDERA	JOSE		CISOCR
	Receipt Number	DOMINGUEZ BANDERA	JOSE		CISOCR

USCIS people have created records listing his date of birth as both  and  because of this date-format thing. A search using +/- 90 days found everything.

But what if his DOB was  ? ?

We could try Exact Date and try both  and

(b)(6)

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# Case Study # 2

- Last name Oyervides
- First name Reynol
- Born  (b)(6)
- Parents names not provided.
- Did not provide A-Number
- Signs his name "Reynol Oyervides F."

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# Exact name search with DOB

```

A25: (MDDY=85) (MDDY=80)
File Edit Session Transfer Program Options Window Help
[Icons: NEW, OPEN, SAVE, PRINT, COPY, PASTE, FIND, GOTO, HELP, etc.]
CINEMA DEPARTMENT OF HOMELAND SECURITY - USCIS 06/27/10
COMMAND: CENTRAL INDEX SYSTEM - EXACT NAME SEARCH 10:47:05

* LAST NAME: PERRINES (40-CHARS MAX)
* FIRST NAME: JEFFREY (25-CHARS MAX)
MIDDLE NAME: (25-CHARS MAX)

EXACT DOB: (MMDDYYYY)
DOB RANGE: (DATE RANGE = YYYY; YYYY=YEAR. P=0-9)

DOB: (5-CHARACTER COUNTRY CODE)
COO: (5-CHARACTER COUNTRY CODE)
POE: (3-CHARACTER PORT OF ENTRY CODE)
DOE: (MMDDYYYY)
COA: (5-CHARACTER CLASS OF ADMISS. OR CODE)
FOO: (3-CHARACTER FILES CONTROL OFFICE CODE)
SEX: (M/F)

* LAST NAME AND FIRST NAME ARE REQUIRED FIELDS. OTHERS ARE OPT. CALL
SPECIFY THE SEARCH CRITERIA. THEN PRESS ENTER TO INITIATE THE SEARCH.
CLEAR EXIT PF9 REFRESH
PF4 MENU PF5 HELP PF6 MAIN MENU PF9 SOUNDS-LIVE SEARCH
DISPLAYED NAME NOT FOUND ON EXACT NAME SEARCH.
3270
NUM OVR

```

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# F9 – and:



FILE EDIT SESSION TRANSFER PROGRAM OPTIONS WINDOW HELP

NEW OPEN PRINT SAVE COPY PASTE FIND

CIMS IN DEPARTMENT OF HOMELAND SECURITY - USCIS 06/27/12  
COMMAND: CENTRAL INDEX SYSTEM - DETAILED SEARCH DISPLAY 10:47:41

A#: [REDACTED] NAME: OVERVIDES FLORES, PENYOL DOB: [REDACTED]

LAST OVERVIDES FLORES  
FIRST PENYOL  
MIDDLE  
ALIASES

DATE DATE:  
COURT:  
LOCATION:

SEX: [REDACTED] POB: [REDACTED] COB: [REDACTED] DOB: [REDACTED]  
FCO: HRC COA: [REDACTED] COC: [REDACTED] FTO: 04072000 FATHER: [REDACTED]  
PFCO: HLG SFCD: [REDACTED] DFO: 06041997 E IN: [REDACTED] MOTHER: [REDACTED]

SSN: (b)(6) CONSOLIDATED A-HOS -- OTHER INFORMATION --  
- 94 ADM #:  
PASSPORT #:  
FBI #:  
DRIVER LIC:  
FINGER CO#:

(b)(7)(e)

CLEAR EXIT PF1 NEXT CONS A# PF2 PRIOR CONS A# PF4 RETURN PF5 HELP  
PF6 DIS MAIN MENU PF7 NEXT SEARCH PF8 / END HISTORY PF9 / END EAD PF11 EGIP

5270

NOVA OVER

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# Wildcards

- PCQS found only those instances of “oyervides” in CISCOR because CIS won’t support a wildcard search in PCQS.

USCIS  
Department of Homeland Security

Person Center Search Selections

Search Criteria: Name Search ☐ Select All

Last Name: OYERVIDES ☐ AR11 ☐ CPMS ☐ SERVICE

First Name: REYNOL ☐ CIS ☐ DCS-GDP

Range: 45-90 days ☐ CISCOR ☐ eCISCOR-RNACS

Date of Birth:  ☐ CLAIMS 3 M/F ☐ FG239

☐ CLAIMS 4 ☐ MPAS

Person Search Results Search Selected Persons View Log

ID	ID Type	Last Name	First Name	Date of Birth	Person Found In
<input type="checkbox"/>	Alien Number	OYERVIDES	REYNOL	<input type="text"/>	CISCOR
<input type="checkbox"/>	Receipt Number	OYERVIDES	REYNOL	<input type="text"/>	CISCOR
<input type="checkbox"/>	Receipt Number	OYERVIDES	REYNOL	<input type="text"/>	CISCOR

(b)(6)

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# Exact name

- When I enter the exact name, it finds ONLY the CIS record:

U.S. Department of Homeland Security  
U.S. Citizenship and Immigration Services

Person Centered Search Selections

Search Criteria: Name Search ☐ Select All

Last Name: OVERVOES FLORES ☐ AA: ☐ CWS ☐ SOVIS

First Name: REYNOL ☐ CIS ☐ DHS-CDD

Ranger: +/- 90 days ☐ DISCOR ☐ eCISCOR-PIADS

Date of Birth:  ☐ CLAIMS & H/F ☐ P0250

☐ CLAIMS 4 ☐ MEAS

Person Search Results Search Selected Persons View Log

ID	ID Type	Last Name	First Name	Date of Birth	Person Found In
<input type="text"/>	Alien Number	OVERVOES FLORES	REYNOL	<input type="text"/>	CIS

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# Try Both

- In CLAIMS you cannot use a wildcard, but in PCQS, you can find CLAIMS and CISCOR records with a wildcard.
- In CIS, you can find “sounds-like” matches, but in PCQS, you cannot use a wildcard to find CIS records.

# Discussion

- Since he did not give us an A-number, we have to create a Discussion to the CP saying we staffed on best available information.

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# Case Study # 3

- Last name Ruiz-Lopez
- First name Blanca
- Middle name de Jesus
- Born
- Mother's name  father's name
- She gave us two A-Numbers:   
or

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# First A-Number: No way

File Edit Session Transfer Program Options Window Help

NEW OPEN SAVE PRINT COPY PASTE FIND A GOTO PRINT SCREEN HELP

CIM/DII DEPARTMENT OF HOMELAND SECURITY - USCIS 06/27/12  
COMMAND: CENTRAL INDEX SYSTEM - ID # SEARCH/DISPLAY 11:07:51

(b)(6) ID # (A/AAB/C/D) [REDACTED]  
(DL/FB/FP/I/PP/SS/TD)  
LAST: SARASTI, ARANGO  
FIRST: JESUS  
MIDDLE: EDUARDO  
ALIASES:  
DATE DATE:  
COURT:  
LOCATION:

(b)(6) SEX: POB: [REDACTED] COB: [REDACTED] DOB: [REDACTED]  
FCO: NRC COA: [REDACTED] COC: [REDACTED] FTC: 10102003 FATHER:  
PFCO: MIA SFCO: [REDACTED] DFO: 01/19/1961 BIR: 10102003 MOTHER:

SSN: CONSOLIDATED A-IDS -- OTHER INFORMATION --  
I-94 ADM #:  
PASSPORT #:  
FBI #:  
DRIVER LIC:  
FINGER CD#:

OVER-KEY D# TO DISPLAY NEW PERSON, PRESS ENTER. CLEAR EXIT PF1 NEXT CONS A#  
PF2 PRIOR CONS A# PF3 REFRESH PF4 RETURN PF5 HELP PF6 MAIN MENU PF8 HISTORY  
PF9 END PF11 EDIT

3270

NUM DVR

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## Second A-Number: Forget it

```

C:\WINDOWS\system32\cmd.exe [D:\msdostools\pbm098]
File Edit Session Transfer Program Options Window Help
[Icons: NEW OPEN SAVE PRINT COPY PASTE FIND FILE HELP]

CIMI.DI DEPARTMENT OF HOMELAND SECURITY - USCIS 06/27/12
COMMAND. CENTRAL INDEX SYSTEM - ID # SEARCH/DISPLAY 11:08:25

ID# (A/AAB/C/D/E) [REDACTED] (b)(6) A#: [REDACTED] DOB: [REDACTED]
(C/L/FB/FP/PP/SSTO)
LAST: MOHAMMAD
FIRST: APS-AD DATE DATE:
MIDDLE: COURT.
ALIASES: LOCATION:

SEX [REDACTED] POB [REDACTED] COB: [REDACTED] DOE: [REDACTED]
FOO HPC COA COG FTC: 02'02000 FATHER:
PFC HYC SFCO: CFC: 1102'992 & M: MOTHER:

SSN: (b)(6) CONSOLIDATED 4-NOS -- OTHER INFORMATION --
+04 ADM #: [REDACTED]
PASSPORT #: 
FBI #: 
DRIVER LIC: (b)(7)(e)
FINGER CD#: 

OVER KEY ID# TO DISPLAY NEW PERSON, PRESS ENTER. CLEAR EXIT PF1 NEXT CONS A#
PF2 PRIOR CONS A# PF3 REFRESH PF4 RETURN PF5 HELP PF6 MAIN MENU PF8 HISTORY
PF9 END PF11 EOPR

3276

```

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# We'll try 9103

AILEY (HMD) (HMD) (HMD) (HMD)							
File Edit Session Transfer Program Options Window Help							
C MENS	PAGE	000	DEPARTMENT OF HOMELAND SECURITY - USCIS			06/27/12	
COMMAND:		CENTRAL INDEX SYSTEM - MULTIPLE FINDS FROM				11:09:01	
		E X A C T I I A M E SEARCH				(b)(6)	
TOTAL RECORDS READ =		0000000				LEENH ACV	
SPEC DATA: LIR: RUZ LOPEZ				DOB: <input type="text"/>		AAAAA PAI	
FIR: BLANCA						PPDCI PRO	
NAME		A- NUMBER	DOB	COB	POE	FCO	SMSSL LDL
*** END OF SEARCH DISPLAY ***							
TO VIEW PERSON DATA PLACE CURSOR ON LINE - PRESS ENTER							
CLEAR EXIT PF1 PAGE A-HEAD PF2 PAGE BACK PF4 RETURN PF5 HELP							
PF6 MAIN MENU PF9 ALTERNATE SEARCH							
NO PERSON INFORMATION ON FILE FOR SPECIFIED SEARCH.							
5270							
<div style="text-align: right;">NUM OVER</div>							

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# F9 and – wait for it –

CINCSAS PAGE 0001 DEPARTMENT OF HOMELAND SECURITY - USCIS 06/27/12									
COMMAND: CENTRAL INDEX SYSTEM - MULTIPLE FINDS FROM 11:09:58									
SOUNDS LIKE NAME WITH DATE OF BIRTH SEARCH									
TOTAL RECORDS READ = 0000002									
SRCH DATA: FNAME BLANCA /C (b)(6) DOB [REDACTED] LDETH ACV									
LH/LEN RUIZ LOPEZ [REDACTED] AAAA P#I									
[REDACTED] PDCI PRO									
NAME	A-NUMBER	DOB	COE	POE	FOO	SSSSL	L3L		
RUIZ LOPEZ								[REDACTED]	
RUIZ LOPEZ								[REDACTED]	

(b)(7)(e)

\*\*\* END OF SEARCH DISPLAY \*\*\*

TO : EW PERSON DATA PLACE CURSOR ON LINE - PRESS ENTER.

CLEAR EXIT PF1 PAGE AHEAD PF2 PAGE BACK PF4 RETURN PF5 HELP

PF6 MAIN MENU PF9 ALTERNATE SEARCH

SOUNDEX CODE: R2 3452, L12 3452. EXACT DOB: [REDACTED]

9270

NUM OVR

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# Got her –



- Garbage In – Garbage Out: Her first and middle names were entered as her first name.
- Mother's name was Blanca and father's name was Marco.
- A quick word about Chinese names – the two given names constitute a first name.

FILE EDIT Session Transfer Program Options Window Help

NEW OPEN FILE PRINT COPY PASTE FIND

CONSIST DEPARTMENT OF HOMELAND SECURITY - USCIS 06/27/12  
 COMMAND: CENTRAL INDEX SYSTEM - DETAILED SEARCH DISPLAY 11:10:57

A# [REDACTED] NAME: RUIZ LOPEZ (b)(6), BLANCA DE JESUS DOB: [REDACTED]

LAST: RUIZ LOPEZ  
 FIRST: BLANCA DE JESUS  
 MIDDLE:  
 ALIASES: (b)(6)

DATE: [REDACTED]  
 COURT:  
 LOCATION:

SEX: [REDACTED] POB: [REDACTED] COB: [REDACTED] DOB: 11/16/2002  
 FOC: HFC COA: [REDACTED] COC: [REDACTED] FIC: 05/15/2003 FATHER: [REDACTED]  
 PFC: ATL SFC: [REDACTED] PFD: 11/15/2002 BIN: MOTHER: [REDACTED]

SSN: [REDACTED] CONSOLIDATED A-NOS: [REDACTED] -- OTHER INFORMATION --  
 [REDACTED]  
 (b)(7)(e)

DRIVER LIC: [REDACTED]  
 FINGER CD#: [REDACTED]

CLEAR EXIT PF1 NEXT CONS A# PF2 PRIOR CONS A# PF4 RET.PN PF5 HELP  
 PF6 CIS MAIN MENU PF7 NEXT SEARCH PF8 VIEW HISTORY PF9 VIEW EAC PF10 EDIT

3270

NUM LOCK

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# PCQS did NOT find her:

The person PCQS found *does not* have the same DOB, and the mother's and father's names are different.

(b)(6)

Person Center Search Selections

Search Criteria:  ☐ Select All

Last Name:  ☒ AF11 ☐ CPVS ☒ SEVIS

First Name:  ☒ CIE ☐ DoB-CCD

Range:  ☒ CIBCOR ☒ eDISCOR-RMAGE

Date of Birth:  ☒ CLAIMS 3 M/F ☐ FDSS

☒ CLAIMS 4 ☒ MPAS

---

Person Search Results

ID	ID Type	Last Name	First Name	Date of Birth	Person Found In
<input type="text" value="(b)(6)"/>	Alien Number	RUIZ LOPEZ	BLANCA	<input type="text" value="(b)(6)"/>	MPAS/CIS
	Alien Number	RUIZ LOPEZ	BLANCA		CIS

(b)(6)

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# With wildcards, PCQS did not find her:

Again, PCQS found people with names like her, but a check of those records would convince you that it's a different person.

Person/Company Search Selections

Search Criteria: Name Search ☐ Select All

Last Name: RUIZ\* ☒ 4R11 ☒ CPMS ☐ SEVIS

First Name: BLANCA\* ☐ CIO ☐ DOB-DOB

Range: +/- 90 days ☒ DISCOR ☒ eDISCOR-RNACS

Date of Birth:  (b)(6) ☒ CLAIMS D M F ☒ FOI33

☐ CLAIMS 4 ☐ MFAS

---

Person Search Results      Search Selected Persons     

ID	ID Type	Last Name	First Name	Date of Birth	*Person Found In:
<input type="text"/>	Receipt Number	RUIZ	BLANCA	<input type="text"/>	CISCOR
	Alien Number	RUIZ DE ESPARZA DE PENOL BLANCA			(b)(6) CISCOR
	Alien Number	RUIZ LOPEZ	BLANCA		MFAS/CISCOR
	Alien Number	RUIZ RODRIGUEZ	BLANCA		CISCOR
	Alien Number	RUIZ	BLANCA		CISCOR
	Receipt Number	RUIZ	BLANCA		CISCOR
	Alien Number	RUIZ	BLANCA		CISCOR

(b)(6)

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# But if I search her exact name:

(b)(6)

Person Continuing Search Selections

Search Criteria: Name Search ☐ Select All

Last Name: RUIZ LOPEZ ☐ AR11 ☐ CAME ☐ SEVIS

First Name: BLANCA DE JESUS ☐ CIS ☐ CDS-CCD

Range: +/- 50 days ☐ CISOCR ☐ eCISOCR-RXACS

Date of Birth:  ☐ CLAIMS 3 M/F ☐ PDSS

☐ CLAIMS 4 ☐ MPAS

Person Search Results

ID Type	Last Name	First Name	Date of Birth	Person Found In
<input type="text"/>	RUIZ LOPEZ	BLANCA DE JESUS	<input type="text"/>	CIS

(b)(6)

Why did CIS find her but PCQS almost didn't? PCQS does a better job of searching for receipts – unless you have the exact name.


# Case Study # 4

- Last name Dang
- First name Khanh
- Middle name Van
- Born
- Gave us  (b)(6)
- Father's name
- Mother's name
- In this case study, we will learn 2 up, 2 down and DOB range

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# First, try the A-Number

(b)(6)

-  was her mother's name! By comparing the request, we can figure out this is probably her mother's A-Number.
- What should we do next?

C M D I I				DEPARTMENT OF HOMELAND SECURITY - USCIS				06/27/12			
COMMAND:				CENTRAL INDEX SYSTEM - ID # SEARCH/DISPLAY				11:40:12			
ID # (MM/AA/BB/CC/DD) [REDACTED]				A# [REDACTED]				DOB [REDACTED]			
COL/FR/PR/FA/SS/ID											
LAST: [REDACTED]				C # [REDACTED]				[REDACTED]			
FIRST: [REDACTED]				MATE DATE							
MIDDLE: [REDACTED]				COURT							
ALIASES: [REDACTED]				LOCATION							
SEX: [REDACTED]	POB: [REDACTED]	DOB: [REDACTED]	DCE: [REDACTED]								
FOO: HRC	COA: [REDACTED]	COG: [REDACTED]	FTC: 10/1/2011	FAT-EP: [REDACTED]							
PRCO: LOS	SFO: [REDACTED]	DFC: 10/31/994	BIH: 10/1/2011	MDT-EP: [REDACTED]							
SSN: [REDACTED]				CONSOLIDATED A-HQS [REDACTED]				OTHER INFORMATION: [REDACTED]			
- B4 ADM [REDACTED]											
PASSPORT [REDACTED]											
FBI [REDACTED]											
DRIVER LIC [REDACTED]											
- USER CD [REDACTED]											
OVER-KEY: D# TO DISPLAY NEW PERSON, PRESS ENTER CLEAR EXIT PF1 NEXT CONS A# PF2 PRIOR CONS A# PF3 REFRESH PF4 RETURN PF5 HELP PF6 W&M MENU PF8 HISTORY PF9 END PF11 EXIT											

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(b)(6)

9103

FILE (F1) EDIT (F2) TRANSFER (F3) PROGRAM (F4) OPTIONS (F5) WINDOW (F6) HELP (F7)

File Edit Session Transfer Program Options Window Help

FILE EDIT TRANSFER PROGRAM OPTIONS WINDOW HELP

CINEXS PAGE 0001 DEPARTMENT OF HOMELAND SECURITY - USCIS 03/27/12  
COMMAND: CENTRAL INDEX SYSTEM - MULTIPLE FINDS FROM 11:44:34  
E X A C T H A M E S E A R C H

TOTAL RECORDS READ = 0000002  
SRCH DATA: LHM D4KG DOB: [REDACTED] LEEHN ACV  
FIL: CHANH PDCI PRO 4444 PAI  
NAME A-NUMBER DOB OCB ACE FCO SHSSL LDL

\*\*\* END OF SEARCH DISPLAY \*\*\*  
TO VIEW PERSON DATA PLACE CURSOR ON LINE - PRESS ENTER.  
CLEAR EX - PF1 PAGE FHEAD PF2 PAGE BACK PF4 RETURN PF5 HELP  
PF6 MAIN MENU PF9 ALTERNATE SEARCH  
NO PERSON INFORMATION ON FILE FOR SPECIFIED SEARCH.  
3270

NUM OVR

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# F9 for Sounds Like

[illegible]

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# F9 again for aliases:

And we did not find her.

FILE EDIT SESSION TRANSFER PROGRAM OPTIONS WINDOW HELP

NEW OPEN SAVE PRINT F1 F2 F3 F4 F5 F6 F7 F8 F9 F10 F11 F12

(b)(6)

CMSAS PAGE 0001 DEPARTMENT OF HOMELAND SECURITY - USCIS 03/27/10  
COMMAND: CENTRAL IDENT SYSTEM - MULTIPLE FINDS FROM 11:45:42  
ALIASES NAME SEARCH

TOTAL RECORDS READ = 0001000

SPCH DATA: FVLENI: IHAH- /0 DOB [REDACTED] LEENH ACV  
FVLENI: DANC /0 PRDCI PRC

NAME	NUMBER	DOB	COB	POE	FCO	SHSSL	LDL
------	--------	-----	-----	-----	-----	-------	-----

\* \* MORE \* \* TO CONTINUE SEARCH PRESS PF1 OR  
TO VIEW PERSON DATA PLACE CURSOR ON LINE - PRESS ENTER.  
CLEAR EXIT PF1 PAGE AHEAD PF4 RETURN PF5 HELP  
PF6 MAIN MENU PF8 ALTERNATE SEARCH

NO PERSONS HAVE YET BEEN FOUND - TO CONTINUE, PRESS PF1

9270

NUM OVER

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# 2 up

(b)(6)

This is nobody related.

SEARCH (Person) (Person) (Person) [X] [X]

File Edit Session Transfer Program Options Window Help [X] [X]

SEARCH (Person) (Person) (Person)

C M I D N DEPARTMENT OF HOMELAND SECURITY - USCIS 06/27/12  
COMMAND: CENTRAL INDEX SYSTEM - ID # SEARCH/DISPLAY 11:46:41

ID # (A-44-8310104) [REDACTED] A# [REDACTED] DOB [REDACTED]  
(DL/FB/FP/I/PP/SS/ID)  
LAST [REDACTED] C #:  
FIRST [REDACTED] NAME DATE:  
MIDDLE [REDACTED] COURT:  
ALIASES [REDACTED] LOCATION:

(b)(6)

(b)(6)

[REDACTED] was her father's name! This looks good. We'll try 2 down now.

SEARCH (Person) (Person) (Person) [X] [X]

File Edit Session Transfer Program Options Window Help [X] [X]

SEARCH (Person) (Person) (Person)

C M I D N DEPARTMENT OF HOMELAND SECURITY - USCIS 06/27/12  
COMMAND: CENTRAL INDEX SYSTEM - ID # SEARCH/DISPLAY 11:47:27

ID # (A-44-8310104) [REDACTED] A# [REDACTED] DOB [REDACTED]  
(DL/FB/FP/I/PP/SS/ID)  
LAST [REDACTED] C #:  
FIRST [REDACTED] NAME DATE:  
MIDDLE [REDACTED] COURT:  
ALIASES [REDACTED] LOCATION:

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(b)(6)

(b)(6)

These two  
are not the  
right person,  
but we found  
a pattern!!

Dad was

[REDACTED]

Mom was

[REDACTED]

Child born in

[REDACTED] is

Child born in

[REDACTED] is

Let's try one  
more!!

# 2 down

ADP - PENDING INFO - (HID) INFO

File Edit Session Transfer Program Options Window Help

NEW OPEN SAVE PRINT F1 F2 F3 F4 F5 F6 F7 F8 F9 F10 F11 F12

C: MIDN DEPARTMENT OF HOMELAND SECURITY - USCIS 06/27/12  
COMMAND: CENTRAL INDEX SYSTEM - ID # SEARCH/DISPLAY 11:49:03

ID # (A/A4/AB/C/D4): [REDACTED] A#: [REDACTED] DOB: [REDACTED]

(DL/FB/FP/L/PP/SS/TD)

LAST: [REDACTED] C #:  
FIRST: [REDACTED] NATL DATE:  
MIDDLE: [REDACTED] COURT:  
ALIASES: [REDACTED] LOCATION: [REDACTED]

(b)(6)

ADP - PENDING INFO - (HID) INFO

File Edit Session Transfer Program Options Window Help

NEW OPEN SAVE PRINT F1 F2 F3 F4 F5 F6 F7 F8 F9 F10 F11 F12

C: MIDN DEPARTMENT OF HOMELAND SECURITY - USCIS 06/27/12  
COMMAND: CENTRAL INDEX SYSTEM - ID # SEARCH/DISPLAY 11:50:11

ID # (A/A4/AB/C/D4): [REDACTED] A#: [REDACTED] DOB: [REDACTED]

(DL/FB/FP/L/PP/SS/TD)

LAST: [REDACTED] C #:  
FIRST: [REDACTED] NATL DATE:  
MIDDLE: [REDACTED] COURT:  
ALIASES: [REDACTED] LOCATION: [REDACTED]

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(b)(6)



(b)(6)

# 1 more down and –



She gave us  
an alias,  
Khanh Van  
Dang.

She gave us a  
DOB of

(b)(6)

That's one  
year different  
exactly.

It would be  
hard to find by  
name search.

She has a  
fairly common  
name.

ATA-EMSA Web (10/27/2012)

File Edit Session Transfer Program Options Window Help

DEPARTMENT OF HOMELAND SECURITY - USCIS  
CENTRAL INDEX SYSTEM - ID # SEARCH DISPLAY

06/27/12 11:53:22

ID # (P/A/R/RE/C/DA): [REDACTED] A#: [REDACTED] DOB: [REDACTED]

(DL/FB/FP/I/PP/SS/ID)

LAST: DANG  
FIRST: VAN  
MIDDLE: KHANH  
ALIASES: DANG KHANH  
DANG KHANH VAN

SEX: [REDACTED] POB: [REDACTED] DOB: [REDACTED] DOB: [REDACTED]  
FOO: LOS COO: [REDACTED] COO: [REDACTED] FTO: 09252001 FATHER: [REDACTED]  
PFOO: WSC SFOO: [REDACTED] DFO: 10131994 BIN: 09252001 MOTHER: [REDACTED]

SSN: [REDACTED] CONSOLIDATED: A-1105

1-94 ADM # [REDACTED] OT-EE INFORMATION: [REDACTED]  
PASSPORT # [REDACTED]  
FBI # [REDACTED]  
DRIVER L # [REDACTED]  
FINGER CO# [REDACTED]

OVER: KEY ID# TO DISPLAY NEW PERSON. PRESS ENTER CLEAR EXIT PF1 NEXT CONS A#  
PF2 PRIOR CONS A# PF3 REFRESH PF4 RETURN PF5 HELP PF6 MAIN MENU PF8 HISTORY  
PF9 END PF11 END

3270

NUM OVR

(b)(6)

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# We could have tried 9102

This search  
has too  
many wild  
cards.

We will get hundreds of possible matches.

```

C:\MSHD          DEPARTMENT OF HOMELAND SECURITY - USDOCS          06/27/12
COMMAND:         CENTRAL INDEX SYSTEM - 'SOUNDS LIKE' SEARCH      12:14:00

* LAST NAME      08199                                           40-CHARS MAX)
FIRST NAME       123456                                           (25-CHARS MAX)

LAST NAME MATCH   (NUMBER OF EXACT CHARACTERS TO MATCH (0-9))
FIRST NAME MATCH  (NUMBER OF EXACT CHARACTERS TO MATCH (0-9))
PREVIEW NAME      (Y/N)

EXACT DOB         [REDACTED] (MMDDYYYY)
DOB RANGE        [REDACTED] (DATE RANGE = YYYY-YYYY=YEAR, R=0-9)

(b)(6)
COD              (5-CHARACTER COUNTRY CODE)
COC              (5-CHARACTER COUNTRY CODE)
POE              (5-CHARACTER PORT OF ENTRY CODE)
DOE              (MMDDYYYY)
COA              (5-CHARACTER CLASS OF ADMISSION CODE)
FCO              (3-CHARACTER FILES CONTROL OFFICE CODE)
SEX              (M/F)

*LAST NAME IS REQUIRED FIELD. OTHER FIELDS ARE OPTIONAL.
SPECIFY SEARCH CRITERIA. PRESS ENTER TO INITIATE 'SOUND LIKE' SEARCH
CLEAR EXIT      PF3 REFRESH      PF4 MENU      PF5 HELP      PF6 MAIN MENU

```

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# Exact Character Match/COB

Because I know this is a fairly common name, I can specify number of exact characters to match and specify COB.

COMMAND: DEPARTMENT OF HOMELAND SECURITY - USCIS 06/27/12  
 COMMAND: CENTRAL INDEX SYSTEM - 'SOUNDS LIKE' SEARCH 12:16:11

LAST NAME:	(40-CHARS MAX)
FIRST NAME:	(25-CHARS MAX)
PREVIEW NAME:	(N/A)
(b)(6) EXACT DOB:	(MMDDYYYY)
DOB RANGE:	(DATE RANGE = YYYYR-YYYY=YEAR, R=0-9)
COB:	(5-CHARACTER COUNTRY CODE)
POE:	(5-CHARACTER PORT OF ENTRY CODE)
DOE:	(MMDDYYYY)
COA:	(5-CHARACTER CLASS OF ADMISSION CODE)
FCO:	(5-CHARACTER FILES CONTROL OFFICE CODE)
SEX:	(M/F)

\*LAST NAME IS REQUIRED FIELD. OTHER FIELDS ARE OPTIONAL.  
 SPECIFY SEARCH CRITERIA. PRESS ENTER TO INITIATE 'SOUND LIKE' SEARCH  
 CLEAR EXIT PF3 REFRESH PF4 MENU PF5 HELP PF6 MAIN MENU

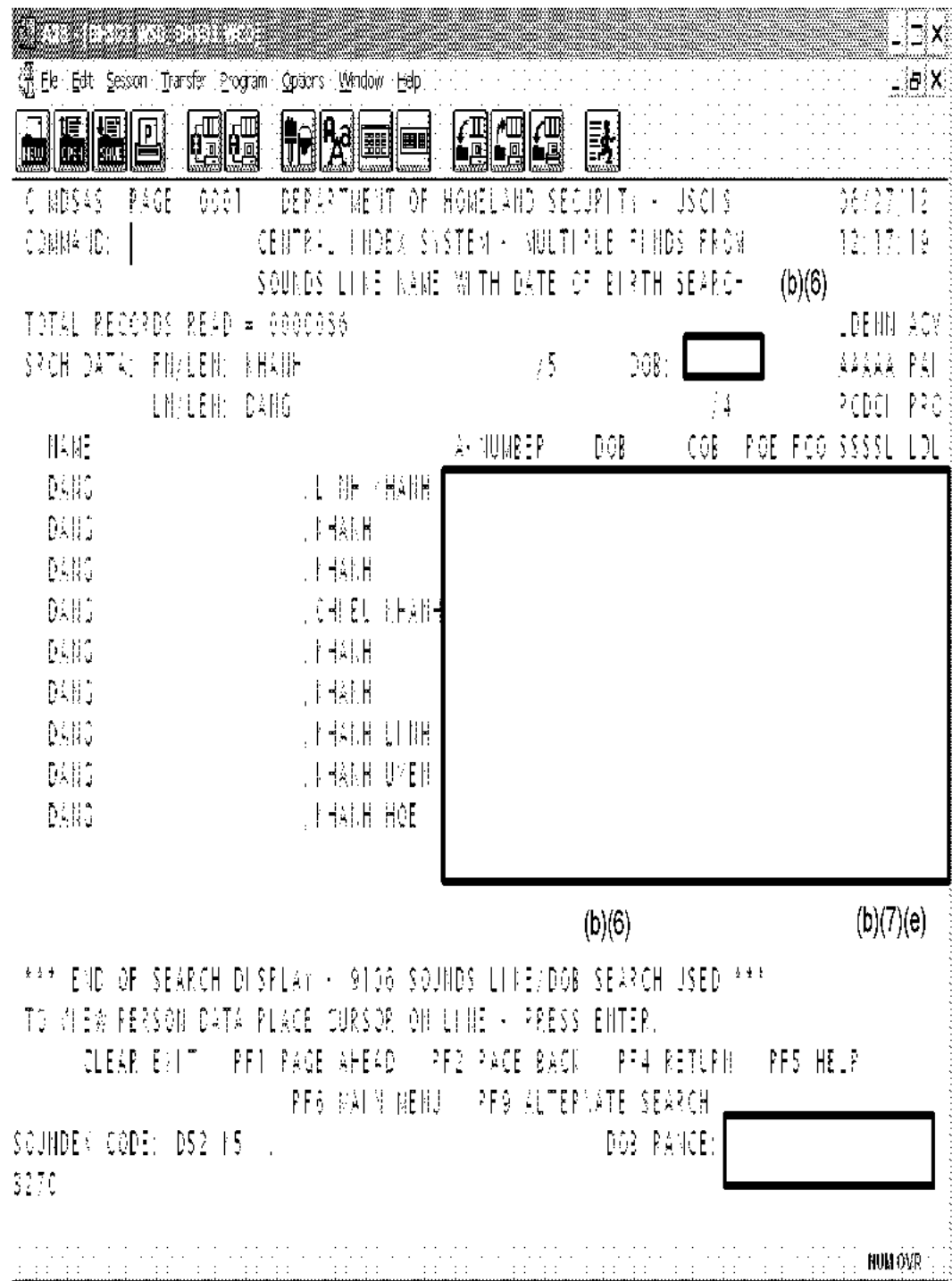
3270

NUM OVR

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# “Sounds-like” did not find her

In my experience, if the month, day and year are all off, it's never the right person. We might come back to this, but let's try aliases first, just in case we get something.



C:\MSDOS\ [REDACTED] DEPARTMENT OF HOMELAND SECURITY - USCIS 06/27/12  
 COMMAND: | CENTRAL INDEX SYSTEM - MULTIPLE FINDS FROM 12:17:19  
 SOUNDS LIKE NAME WITH DATE OF BIRTH SEARCH- (b)(6)  
 TOTAL RECORDS READ = 0000086  
 SRCH DATA: FI/LEH: KHANH /5 DOB: [REDACTED] LDEHH ACV  
 LHI/LEH: DANG /4 POCDCI PRO  

NAME	A NUMBER	DOB	COB	POE	FCO	SSSSL	LDL
DANG							
DANG							
DANG							
DANG							
DANG							
DANG							
DANG							
DANG							
DANG							
DANG							
DANG							
DANG							

\*\*\* END OF SEARCH DISPLAY - 9106 SOUNDS LIKE/DOB SEARCH USED \*\*\*  
 TO VIEW PERSON DATA PLACE CURSOR ON LINE - PRESS ENTER.  
 CLEAR EXIT PF1 PAGE AHEAD PF2 PAGE BACK PF4 RETURN PF5 HELP  
 PF6 MAIN MENU PF9 ALTERNATE SEARCH  
 SOUNDEX CODE: DS2 I5 DOB RANGE: [REDACTED]  
 3270  
 HUM OVR

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# And we found her the long way:

CIS lists her possible aliases as Khanh Van and Khanh (by itself).

Also, we see the DOB is exactly one year off.

By selecting the second or third line, we can verify that it's her.

\*\*\* (b)(6) \*\*\*

File Edit Session Transfer Program Options Window Help

NEW OPEN SAVE PRINT F1 F2 F3 F4 F5 F6 F7 F8 F9 F10 F11 F12

C NWS PAGE 0001 DEPARTMENT OF HOMELAND SECURITY - USCIS 06/07/12  
 COMMAND: CENTRAL INDEX SYSTEM - MULTIPLE FINDS FROM 12:04:01  
 ALIAS NAME SEARCH

TOTAL RECORDS READ = 0000039 (b)(6) LEEHII ACV  
 SRCH DATA: PHILEN THANH /5 DOB: [REDACTED] AAAA PAI  
 LIU/LEH DANG /4 PRDCI PRC

NAME	A NUMBER	DOB	COE	POE	FCO	SHSL	LCL
DANG		THANH UEN					
DANG		THANH VAN					
DANG		THANH					
DANG		HONG THANH					

(b)(6) (b)(7)(e)

\*\*\* END OF SEARCH DISPLAY \*\*\*  
 TO VIEW PERSON DATA PLACE CURSOR ON LINE - PRESS ENTER  
 CLEAR EXIT PF1 PAGE AHEAD PF4 RETURN PF5 HELP  
 PF6 MAIL MENU PF9 ALTERNATE SEARCH

SOUNDEX CODES ARE D52 K5  
 0070

\*\*\*\*\* (b)(6) \*\*\*\*\*

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# Discussion

- In a situation like that, we must add a discussion, something like this:

(b)(6)

CP


Subject provided DOB [REDACTED] CIS DOB is [REDACTED]

Subject provided [REDACTED] Subject's record appears to be

[REDACTED] Father's and mother's name match, COB matches, and the A-Number was 3 away from the one he provided. Please verify the file relates to the subject. Thank you.

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# Lost in the System

- We could have easily gotten lost with our example from  (b)(6)
- If you have a fairly common name, try to limit your variables and don't look at every possible match.
- If a person lists several aliases and dates of birth, we can do 9102 with F9 for each of them, but we should move on if we do not have a really good match.

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# Questions?



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# U.S. Citizenship and Immigration Services



# U.S. Citizenship and Immigration Services

# Objective

- To define Verification of Identity by 6 C.F.R. § 5.21(d)
- To define Certification of Agreement to Release Information by 6 C.F.R. § 5.21(d)



U.S. Citizenship  
and Immigration  
Services

# Verification of Identity

- The following is an excerpt from the Instructions for Form G-639:
  - **Verification of Identity by Mail:**
  - Requesters wanting access to their records must identify themselves by name, current address, date of birth and place of birth.
  - The subject of the record must also provide a notarized signature or an unsworn declaration under penalty of perjury (Form G-639 may also be used).



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# Verification of Identity:

- 6 CFR § 5.21(d) says you must provide us:
  - Full Name
  - Mailing address
  - Date of Birth
  - Place of Birth
  
- And it also says: You must sign your request and your signature must either be notarized or submitted by you under 28 U.S.C. 1746 (*penalty of perjury in lieu of notarized signature*).



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# VOI

» Name

» Address

» Date of Birth

» Place of Birth

» Proper  
signature

### 3. Subject of Record Consent to Release Information (Must be signed by the subject of records requested.)

By my signature, I consent to allow USCIS to release to the requester named in Number 5 (if not applicable omit).

☒ All of my records ☐ A portion of my records (if a portion, specify below what part, i.e., copy of application)

Print Name of Subject of Record George D. Kraft

Signature of Subject of Record George D. Kraft

Date (mm/dd/yyyy) 9-10-2012

☐ Deceased Subject - Proof of death must be attached (Obituary, Death Certificate, or other proof of death, as appropriate)

### 4. Verification of Identity (Requester; Fill out all that apply)

Name of Subject of Record (Print, include last)

Daytime Telephone

E-mail Address

George D. Kraft

Address (Street Number and Name)

(b)(6)

☐ Notarized Affidavit of Identity

Signature of Subject of Record

Date (mm/dd/yyyy)

Subscribed and sworn to before me this \_\_\_\_\_ day of \_\_\_\_\_

Telephone No.

Signature of Notary

My Commission Expires on \_\_\_\_\_

OR

☒ Sworn Declaration Under Penalty of Perjury

Executed outside the United States

If executed outside the United States, I declare (legally, verify, or swear) under penalty of perjury under the laws of the United States of America that the foregoing is true and correct.

Signature of Subject of Record

Executed in the United States

If executed within the United States, its territories, possessions, or commonwealths, I declare (legally, verify, or swear) under penalty of perjury that the foregoing is true and correct.

Signature of Subject of Record George D. Kraft

### 5. Requester Information

By my signature, I consent to pay all costs incurred for search, duplication and review of materials up to \$25 (see instructions)

Signature of Requester George D. Kraft

Name of Requester (If not different from the Subject of Record)

Daytime Telephone

E-mail Address

George D. Kraft

(b)(6)



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Form GDS-100 (2012) (V0901)

# DOB/POB

■ If date of birth and place of birth are blank, look on the front of the G-639. If the person in block 2 is the same as block 4, you can use that data.

■ Look to see if they provided documentation with DOB and POB accompanied by a Jurat or Affidavit.

■ Otherwise, we have inadequate VOI.

<b>3. Subject of Record Consent to Release Information</b> <i>(Must be signed by the subject of records requested.)</i>		
By my signature, I consent to allow USCIS to release to the requester named in Number 5 of back applicable data:		
<input checked="" type="checkbox"/> All of my records	<input type="checkbox"/> A portion of my records (Specify below what part, i.e., copy of application)	
Print Name of Subject of Record: <u>Joseph D. Brouff</u>		
Signature of Subject of Record: <u>[Signature]</u>		Date (mm/dd/yyyy): <u>9-10-2012</u>
<input type="checkbox"/> Deceased Subject - Proof of death must be attached (Burial Certificate or other proof of death required)		
<b>4. Verification of Identity</b> <i>(Requester, fill out all that apply.)</i>		
Name of Subject of Record (Print Name Last)	Daytime Telephone	E-mail Address
<u>Joseph D. Brouff</u>	[Redacted]	[Redacted]
Address (Street Number and Name)		Alt. Number
[Redacted]		[Redacted]
The Subject of Record must provide a signature under either a Notarized Affidavit of Identity or a Sworn Declaration Under Penalty of Perjury:		
<input type="checkbox"/> Notarized Affidavit of Identity		
Signature of Subject of Record: _____		Date (mm/dd/yyyy): _____
Subscribed and sworn to before me this _____ day of _____		Telephone No. _____
Signature of Notary: _____		My Commission Expires on _____
OR		
<input checked="" type="checkbox"/> Sworn Declaration Under Penalty of Perjury		
Executed outside the United States		Executed in the United States
If executed outside the United States, I declare (swear, verify, or attest) under penalty of perjury under the laws of the United States of America that the foregoing is true and correct.		If executed within the United States, its territories, possessions, or commonwealths, I declare (swear, verify, or attest) under penalty of perjury that the foregoing is true and correct.
Signature of Subject of Record: _____		Signature of Subject of Record: <u>[Signature]</u>
<b>5. Requester Information</b>		
By my signature, I consent to pay all costs incurred for search, duplication and review of materials up to \$25 / per hour/entry.		
Signature of Requester: <u>[Signature]</u>		
Name of Requester (If not different from the Subject of Record)	Daytime Telephone	E-mail Address
<u>Joseph D. Brouff</u>	[Redacted]	[Redacted]
Address (Street Number and Name)		Alt. Number
[Redacted]		[Redacted]



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# No Signature?

- Look for another document that provides VOI, such as a DOJ 361 or a written letter that meets the requirements. (b)(6)
- Otherwise, you have inadequate VOI.

<b>3. Subject of Record Consent to Release Information</b> (Must be signed by the subject of record as requested.)		
By my signature, I consent to allow USCIS to release to the requester named in Number 5 (Check applicable box):		
<input checked="" type="checkbox"/> All of my records	<input type="checkbox"/> A portion of my records (If a portion, specify below what part, i.e., copy of duplication)	
Print Name of Subject of Record: <u>Gregory W. Grant</u>		
Signature of Subject of Record: <u>[Signature]</u>		Date (mm/dd/yyyy): <u>10/17/2012</u>
<input type="checkbox"/> Deceased Subject: Proof of death must be attached (Obituary, Death Certificate, or other proof of death required)		
<b>4. Verification of Identity</b> (Required. Fill out all that apply.)		
Name of Subject of Record (First, Middle, Last)	Daytime Telephone	E-mail Address
Gregory W. Grant	[Redacted]	[Redacted]
[Redacted]		
The Subject of Record must provide a signature under either a Notarized Affidavit of Identity or a Sworn Declaration Under Penalty of Perjury:		
<input type="checkbox"/> Notarized Affidavit of Identity		
Signature of Subject of Record: _____		Date (mm/dd/yyyy): _____
Sworn that and sworn to before me this _____ day of _____		Telephone No.: _____
Signature of Notary: _____		My Commission Expires on: _____
OR		
<input checked="" type="checkbox"/> Sworn Declaration Under Penalty of Perjury		
<b>Executed outside the United States</b>		<b>Executed in the United States</b>
If executed outside the United States: "I declare (certify, verify, or swear) under penalty of perjury under the laws of the United States of America that the foregoing is true and correct."		If executed within the United States, as an owner, possessor, or custodian: "I declare (certify, verify, or swear) under penalty of perjury that the foregoing is true and correct."
Signature of Subject of Record: _____		Signature of Subject of Record: _____
<b>5. Requester Information</b>		
By my signature, I consent to pay all costs incurred for search, duplication and review of materials up to \$25 (See Instructions)		
Signature of Requester: <u>[Signature]</u>		
Name of Requester (Fill out if different from the Subject of Record)	Daytime Telephone	E-mail Address
Thomas W. Farley	[Redacted]	[Redacted]
[Redacted]		



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# Bad news:

■ The subject of record has not provided a VOI signature on this page.

■ If the subject does not provide VOI someplace else, you have inadequate VOI.

## 3. Subject of Record Consent to Release Information (Must be signed by the subject of record(s) requested.)

By my signature, I consent to allow USCIS to release to the requester named in Number 5 (Check applicable box):

- ☒ All of my records ☐ A portion of my records (If a portion, specify below what part, i.e., copy of application.)

Print Name of Subject of Record Adán Martínez  
 Signature of Subject of Record Adán Martínez Date (mm/dd/yyyy) 3/29/12  
☐ Deceased Subject - Proof of death must be attached (Obituary, Death Certificate or other proof of death required)

## 4. Verification of Identity (Required: fill out all that apply.)

Name of Subject of Record (First, Middle, Last)	Daytime Telephone	E-mail Address
Adán Martínez	317-123-4567	
Address (Street Number and Name)		Apt. Number
123 Sesame Street Apt. BSMT		
City	State	Zip Code
Gotham City	NY	12345
Date of Birth (mm/dd/yyyy)	Place of Birth	
01/21/1982	Downtown, Canada	

The Subject of Record must provide a signature under either a Notarized Affidavit of Identity or a Sworn Declaration Under Penalty of Perjury:

☒ Notarized Affidavit of Identity

Signature of Subject of Record \_\_\_\_\_ Date (mm/dd/yyyy) 03/29/2012  
 Subscribed and sworn to before me this 30th day of March 2012 Telephone No. \_\_\_\_\_  
 Signature of Notary EVITA PERON My Commission Expires on 3-12-2016

☐ Sworn Declaration Under Penalty of Perjury

Executed outside the United States

If executed outside the United States, I declare (certify, verify, or swear) under penalty of perjury under the laws of the United States of America that the foregoing is true and correct.

OR  
 "OFFICIAL SEAL"  
 EVITA PERON  
 NOTARY PUBLIC, STATE OF  
 NEW YORK, COMMISSION EXPIRES 03/12/2016

If executed within the United States, its territories, possessions, or possessions/wealth: "I declare (certify, verify, or state) under penalty of perjury that the foregoing is true and correct."

Signature of Subject of Record \_\_\_\_\_ Signature of Subject of Record \_\_\_\_\_

## 5. Requester Information

By my signature, I consent to pay the costs incurred for search, duplication and review of materials up to \$25 (See instructions)

Signature of Requester \_\_\_\_\_

Name of Requester (Fill out if different from the Subject of Record)	Daytime Telephone	E-mail Address
Chuck U. Farley	123-456-789	chuck.u.farley@law.com
Address (Street Number and Name)		Apt. Number
123 S. Gotham St., Suite 509		
City	State	Zip Code
Gotham City	NY	00604



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# Other documents:

(b)(6)

April 27, 2012



- If the G-639 is not correctly filled out, look for other documents that would fulfill the CFR requirements.

To show this concern,

Please send a copy of my file. My name is Corey

O. Smith, I was born in [redacted] and my date of birth is [redacted]

(b)(6)

I declare under penalty of perjury that the information provided is true and correct.

- This letter is good enough.

Corey O. Smith



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# Citing the law is enough

- The law that permits unsworn statements under penalty of perjury is 28 U.S.C. § 1746.
- The person does not have to use the words “I declare under penalty of perjury that the foregoing is true and correct.”
- The person could say “I declare this to be true under the provisions of 28 U.S.C. 1746,” and we will accept it.



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# Privacy Act / FOIA

- 6 CFR § 5.21(d) specifically deals with Privacy Act requests, doesn't it?
- Yes, but the FOIA requester gets referred right back to the PA section -
- 6 CFR § 5.3 (Requirements for making a FOIA request): If you are requesting records about yourself or another individual, you have to meet the requirements of section 5.21(d).



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# Verification of Guardianship

## 6 CFR § 5.21(e)

1. A parent or guardian must establish the identity of the subject of record with name, address, date of birth and place of birth.
2. The parent or guardian must prove the relationship by providing a birth certificate or a court order that establishes parenthood or guardianship.
3. Finally, the parent or guardian must establish that they are acting on behalf of the individual by making the request.



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# VOI is important

- Plaintiff has the burden of demonstrating that an unauthorized disclosure by the agency has occurred.
- If we have no VOI signature, the plaintiff has a sound legal basis for claiming we made an unauthorized disclosure.



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# Inadequate Verification of Identity?

- You may not have good Verification of Identity when you open a case.
- When you are processing, you should
  - create a Discussion,
  - copy the Discussion to an e-mail to your supervisor, with the subject of the e-mail being the NRC case number, then
  - send the case to Records Locator.
- Don't process unless you have VOI. If the requester does not respond, the case will close as FC, and your supervisor will return the case for you to remove all redactions.



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# What is Certification of Agreement?

- Consent (generally) Agreement, approval or permission as to some act or purpose, esp. given voluntarily by a competent person. (Black's Law Dictionary)
- 6 CFR § 5.21(f): If you are making a request for records concerning an individual ... You must also provide a statement from the individual *certifying the individual's agreement* that records concerning the individual may be released to you.
- 5 U.S.C. § 552a(b) No agency shall disclose any record ... except pursuant to a written request by, or with the prior written consent of, the individual to whom the record pertains.



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# Certification of Agreement

- \* If the requester is not the same as the subject of record, Block 3 of Form G-639 is Agreement to Release Information.

- \* **Does the requester have to agree to release of information?** Maybe.

If the record is about a person, and if somebody besides that person is the requester, then yes. 6 CFR § 5.21(f) says: If you are making a request for records concerning an individual on behalf of that individual, you must provide a statement from the individual certifying the individual's agreement that records concerning the individual may be released to you. But – a self-requester does not have to sign an agreement with himself or herself to obtain his or her own record.



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# Can that be a handwritten note?

- Yes. The CFR does not require the subject of record to sign consent on the G-639.
- The subject of record could provide a separate statement certifying agreement to release information to the other person.



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# Can Agreement be a Form G-28?

- Yes.
- On Form G-28, at the place where the Subject of Record signs, is the following statement:
  - \* Pursuant to the Privacy Act of 1974 and DHS policy, I hereby consent to the disclosure to the named Attorney or Accredited Representative of any record pertaining to me that appears in any system of records of USCIS, USCBP, or USICE.
- Certification of Agreement does not have to be on Form G-28. It could be on the G-639 or it could be a separate, signed piece of paper giving us permission to release the file to an attorney (or whatever third party).



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# Must an attorney use Form G-28?

- **Not for FOIA.** If an attorney is representing a person for an immigration benefit petition or application, the attorney must submit Form G-28 along with it.
- Some attorneys submit a G-28 along with the FOIA request because they treat the FOIA the same as an immigration petition or application.
- It's possible some attorneys do not know USCIS does not require a Form G-28 for a FOIA request.
- But it doesn't hurt. A properly signed G-28 gives us adequate certification of agreement to release records.



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# Agreement and Attorneys of Record

- 3<sup>rd</sup>, 5<sup>th</sup>, 8<sup>th</sup>, 9<sup>th</sup>, 10<sup>th</sup>, 11<sup>th</sup> and DC Circuits, as well as the Supreme Court, have all held that no unauthorized disclosure under the Privacy Act has occurred if the communication is to a person who is already aware of the information.
- On the other hand, the DC Circuit has found that “Implied consent is never enough.” (Taylor v. Orr, 1983).



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# G-28 in the File

- We used to say “if it’s the same attorney, and if there’s a G-28 in the file ...”
- Now we say “you must have agreement to release under FOIA for the file you are processing right now.”
  - First: OMB Guidelines caution that “the consent provision was not intended to permit a blanket or open-ended consent clause.”
  - Second: *Perry v. FBI* (1985), disclosure can be upheld if consent is not vague or general, and if [plaintiff] knew what he was authorizing.
- The chances we’d get sued might be small, but if it did happen, we would have no legal defense for releasing



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# Missing?

- If you do not see a signature permitting us to release information to the requester, always look for a G-28 or something else that permits release.

(b)(6)

- If there's nothing else there, you do not have adequate certification of agreement.

(b)(6)

<b>3. Subject of Record Consent to Release Information</b> <i>(Must be signed by the subject of records requested.)</i>		
By my signature, I consent to allow USCIS to release to the requester named in Number 5 of each applicable case:		
<input checked="" type="checkbox"/> All of my records	<input type="checkbox"/> A portion of my records (if a portion, specify below what part, i.e., copy of application)	
Print Name of Subject of Record: <u>Gregory G. Russell</u> Signature of Subject of Record: _____ Date (mm/dd/yyyy): <u>10/22/12</u> <input type="checkbox"/> Deceased Subject: Proof of death must be attached (family death certificate or other proof of death required)		
<b>4. Verification of Identity</b> <i>(Requester, fill out all that apply.)</i>		
Name of Subject of Record (first, middle, last): <u>Gregory G. Russell</u>	Daytime Telephone: [Redacted]	E-mail Address: [Redacted]
Address (Street Number and Name): [Redacted]		Appt. Number: [Redacted]
The Subject of Record must provide a signature under either a Notarized Affidavit of Identity or a Sworn Declaration Under Penalty of Perjury: <input type="checkbox"/> Notarized Affidavit of Identity Signature of Subject of Record: _____ Date (mm/dd/yyyy): _____ Subscribed and sworn to before me this _____ day of _____ Telephone No.: _____ Signature of Notary: _____ My Commission Expires on _____		
OR		
<input checked="" type="checkbox"/> Sworn Declaration Under Penalty of Perjury		
Executed outside the United States If executed outside the United States, I declare (swear, verify, or affirm) under penalty of perjury under the laws of the United States of America that the foregoing is true and correct.		Executed in the United States If executed within the United States, its territories, possessions, or commonwealths, I declare (swear, verify, or affirm) under penalty of perjury that the foregoing is true and correct.
Signature of Subject of Record: _____		Signature of Subject of Record: <u>Gregory G. Russell</u>
<b>5. Requester Information</b>		
By my signature, I consent to pay all costs incurred for search, duplication and review of materials up to \$25 / per hour/entry.		
Signature of Requester: _____		
Name of Requester (fill in if different from the Subject of Record): <u>Gregory G. Russell</u>	Daytime Telephone: [Redacted]	E-mail Address: [Redacted]
Address (Street Number and Name): [Redacted]		Appt. Number: [Redacted]



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# You need both signatures:

- We used to say “the subject would never have signed VOI if he or she did not want to send the file to the attorney.”
- Even though that logic is *probably* good, we would have no legal standing if a person ever claimed he or she did not want us to release the information to the attorney (or whatever third party).
- If this is an attorney request, or any third party request, we must have both a VOI signature and a certification of agreement signature. On a G-639, that's two signatures.
- If they include all VOI information and certification of agreement information in a single letter, and sign under perjury or sign notarized, that will fulfill all the requirements.



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# It could happen

- Owens v. Merit Systems Protection Board – Owens' attorney filed a FOIA. Later, Owens ended his relationship with the attorney. MSPB sent the responsive record to the ex-attorney. Owens noted he had signed verification of identity, but not consent, and filed suit.
- The court eventually found in favor of MSPB: Mailing of the agency decision affirming employee's removal to his former attorney was held not to be a "disclosure" under the Privacy Act, as the "attorney was familiar with the facts of [the employee]'s claim" and "no new information was disclosed to him."
- BUT – that litigation took time, and it was expensive.



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3. Subject of Record Consent to Release Information (Must be signed by the subject of records requested.)

By my signature, I consent to allow USCIS to release to the requester named in Number 5 (if not applicable, see 1).

- ☒ All of my records ☐ A portion of my records (if a portion, specify below what part, i.e., copy of application)

Print Name of Subject of Record: James O. Kraft

Signature of Subject of Record: James O. Kraft

Date (see above): 9-10-2012

Subject - Proof of death must be attached (Funeral Death Certificate or other proof of death, if any)

4. Verification of Identity (Requester; Fill out all that apply)

Name of Subject of Record (Print Name Last)	Daytime Telephone	E-mail Address
<u>James O. Kraft</u>		
Address (Street Number and Name)		

The Subject of Record must provide a signature under either a Notarized Affidavit of Identity or a Sworn Declaration Under Penalty of Perjury:

☐ Notarized Affidavit of Identity

Signature of Subject of Record

Date (see above)

Subscribed and sworn to before me this \_\_\_\_\_ day of \_\_\_\_\_

Telephone No.

Signature of \_\_\_\_\_

My Commission Expires on \_\_\_\_\_

OR

☒ Sworn Declaration Under Penalty of Perjury

Executed outside the United States

Executed in the United States

If executed outside the United States, I declare, verify, or swear under penalty of perjury under the laws of the United States of America that the foregoing is true and correct.

If executed within the United States, its territories, possessions, or commonwealths, I declare (affirm, verify, or swear) under penalty of perjury that the foregoing is true and correct.

Signature of Subject of Record

Signature of Subject of Record: James O. Kraft

5. Requester Information

By my signature, I consent to pay all costs incurred for search, duplication and review of materials up to \$25 (see instructions)

Signature of Requester: James O. Kraft

Name of Requester (If not different from the Subject of Record)	Daytime Telephone	E-mail Address
<u>James O. Kraft</u>		
Address (Street Number and Name)		

Form G-639 (Rev. 2012) (Page 1)



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# I-129F, I-130, I-140, & affidavits of support:

- If they have not been consolidated into the beneficiary's A-file, the petitioner may have a copy without the beneficiary's certification of agreement.
- If they have been consolidated into the beneficiary's A-file, the petitioner must have the beneficiary's certification of agreement.



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# Inadequate Certification of Agreement?

- You may not have certification of agreement when you open a case.
- When you are processing, you should
  1. Change the case category to “Third Party No Agreement.”
  2. Go to Tasks, click Final Action Letter and choose code TD-Total Denial.
  3. Paste in the Total Denial letter language.
  4. Add a discussion, “Third Party, No Agreement.”
  5. Send the case to an approver. – Case approver if you are processing, Up-front approver if you are creating.
- Processors - do not make any redactions to the responsive record.



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# Agreement to pay:

■ The requester  
should sign  
agreement to pay. (b)(6)

■ But if there's no  
signature, it will  
not get us in legal  
trouble ... why?  
I'm glad you  
asked.

(b)(6)

<b>3. Subject of Record Consent to Release Information</b> <i>(Must be signed by the subject of records requested)</i>		
By my signature, I consent to allow USCIS to release to the requester named in Number 5 of back applicable unit:		
<input checked="" type="checkbox"/> All of my records	<input type="checkbox"/> A portion of my records (if a portion, specify below what part, i.e., copy of application)	
Print Name of Subject of Record <u>James D. Parley</u>		
Signature of Subject of Record <u>James D. Parley</u>		Date (mm/dd/yyyy) <u>9-10-2012</u>
<input type="checkbox"/> Deceased Subject - Proof of death must be attached (Funeral Death Certificate or other proof of death required)		
<b>4. Verification of Identity</b> <i>(Required, fill out all that apply)</i>		
Name of Subject of Record (first, middle, last)	Daytime Telephone	E-mail Address
<u>James D. Parley</u>	[Redacted]	[Redacted]
Address (Street Number and Name)		Apt. Number
[Redacted]		[Redacted]
The Subject of Record must provide a signature under either a Notarized Affidavit of Identity or a Sworn Declaration Under Penalty of Perjury:		
<input type="checkbox"/> Notarized Affidavit of Identity		
Signature of Subject of Record _____		Date (mm/dd/yyyy) _____
Subscribed and sworn to before me this _____ day of _____		Telephone No. _____
Signature of Notary _____		My Commission Expires on _____
OR		
<input checked="" type="checkbox"/> Sworn Declaration Under Penalty of Perjury		
<b>Executed outside the United States</b>		<b>Executed in the United States</b>
If executed outside the United States, I declare (truthfully, verify, or attest) under penalty of perjury under the laws of the United States of America that the foregoing is true and correct.		If executed within the United States, its territories, possessions, or commonwealths, I declare (truthfully, verify, or attest) under penalty of perjury that the foregoing is true and correct.
Signature of Subject of Record _____		Signature of Subject of Record <u>James D. Parley</u>
<b>5. Requester Information</b>		
By my signature, I consent to pay all costs incurred for search, duplication and review of materials up to \$25.00 per hour.		
Signature of Requester: _____		
Name of Requester (if not different from the Subject of Record)	Daytime Telephone	E-mail Address
<u>James D. Parley</u>	[Redacted]	[Redacted]
[Redacted]		[Redacted]



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# Agreement to pay:

- First, the acknowledgment letter says “your request constitutes an agreement to pay up to \$25.00.”
- The requester has an opportunity to write back and say “No I do not agree to pay!” We close the case FC if the requester specifically states refusal to pay.
- If the requester owes money, we do not send the record until we receive payment.
- Finally, if we're printing to CD, we don't charge them anyway.
- Therefore, no signature in agreement to pay does not mean you stop processing the case.



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# Questions?



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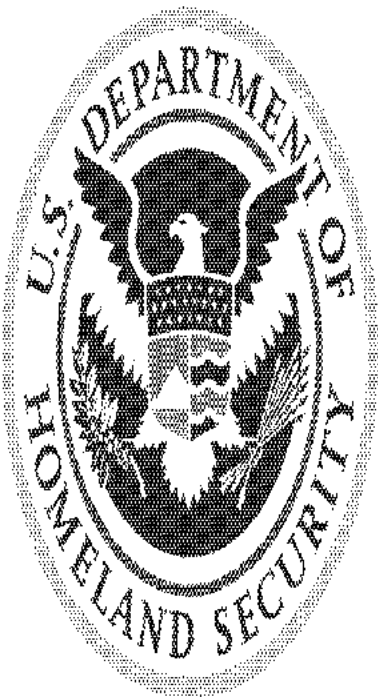


# U.S. Citizenship and Immigration Services



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# U.S. Citizenship and Immigration Services

# Receipt Files: Researching and Staffing

February 20, 2013



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# Objective

- To better understand:
  - Why people request receipt files
  - How to find them
  - What to do in different circumstances

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# A little bit of background

Family and Employment based immigrants must have an approved petition before they get permanent residence.

- I-129F Petition for Alien Fiancé(e)
- I-130 Petition for Alien Relative
- I-140 Immigrant Petition for Alien Worker
- I-360 Petition for Amerasian, Widow(er), or Special Immigrant



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# I-130/I-129F and I-485

- The immigrant files Form I-485, Application to Register Permanent Residence or Adjust Status.
- If the immigrant is a spouse or fiancé(e) and if the petitioner is a United States Citizen, then a visa is immediately available. They file the petition and the I-485 at the same time.



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# Family Based Preference

- The petitioner might be a Lawful Permanent Resident petitioning for a family member,
- or a United States Citizen petitioning for somebody other than spouse and minor children,
- In those situations, Congress sets numbers on how many people may immigrate from each country each year. State Department is in charge of allocating the immigrant visa numbers.
- Even though the petition is approved, the immigrant may not file the I-485 until a visa is available.



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# Preference Categories

- F1 – Unmarried Sons and Daughters of United States Citizens
- F2A – Spouses and Children of Permanent Residents
- F2B – Unmarried Sons and Daughters (21 years and older) of LPR's
- F3 – Married Sons and Daughters of United States Citizens
- F4 – Brothers and Sisters of Adult U.S. Citizens



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# Standing in Line

- Because of congressional limits by country, the National Visa Center grants that number by each country each year in order of when USCIS received the petition.
- If there are more people than visas, everybody else stands in line.
- Some countries have very long lines. Some people have been standing in line for years.



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# Visas Available (as of 2/10/2014)

Family-Sponsored	All Charge- ability Areas Except Those Listed	CHINA mainland born	INDIA	MEXICO	PHILIPPINES
F1	01FEB07	01FEB07	01FEB07	15OCT03	15AUG01
F2A	08SEP13	08SEP13	08SEP13	15APR12	08SEP13
F2B	01SEP06	01SEP06	01SEP06	01MAY93	08JUN03
F3	15JUN03	15JUN03	15JUN03	08JUN93	15FEB93
F4	08NOV01	08NOV01	08NOV01	15NOV96	01SEP90



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# Want to know more?

- If you are ever curious about immigrant visa availability, here is a link you can go to:

[http://www.travel.state.gov/visa/bulletin/bulletin\\_1360.html](http://www.travel.state.gov/visa/bulletin/bulletin_1360.html)

- Oh – and in case you didn't know, Congress also sets limits by country by year for employment based immigrant visas. It's all at the link above.



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# For Example

- Juana, an LPR from Mexico filed a petition for her husband, Gustavo, in Mexico, on the 4<sup>th</sup> of June, 2012.
- On the 12<sup>th</sup> of June, she got a Form I-797, Notice of Action, from USCIS saying USCIS received the petition on June 8<sup>th</sup>.
- The receipt date is the date she uses for reference to the State Department website.
- Spouses and children of permanent residents are F2A.



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# F2A, Mexico



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# Keep Checking:

- If USCIS received Juana's petition on or before the 15<sup>th</sup> of April, 2012, NVC would have an available visa number now.
- If the visa is available, Gustavo may now file Form I-485 with USCIS.
- Since USCIS received her petition on the 8<sup>th</sup> of June, 2012, she knows his number is coming up soon.
- Gustavo can't file the 485 yet. They keep checking the website.



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# Why would she file a FOIA?

- Maybe she has not heard anything in a long time.
- Maybe she never got an approval notice.
- Maybe she lost her copies.
- Maybe she is changing attorneys and the attorney wants to see everything associated with the petition.



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# Petition at Service Center

- You may see the petition at a service center, with a responsible party like “Adjudication” or “Post-decision Review.”
- Always check to see if it has been consolidated. If it has been consolidated into the beneficiary’s A-file, we have a consent issue.
- If it is unconsolidated, you can staff for it.



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# After Time Passes:

- We may have approved it and sent it to NVC. NFTS may tell you, or you may ask NVC if they have that petition. RD.
- If two years pass after visa becomes available and the husband does not show up at the designated consulate, NVC sends the file back to USCIS, and it goes to Harrisonburg. If it is available in records, you can staff for the receipt from Harrisonburg.
- If the petition is not used, Harrisonburg destroys the petition 3 years after a visa number became available. We can print out the record in PCQS as well as the screen from NFTS that shows the receipt was destroyed. That will be a RAFACS staffing.



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# Want to know more?

- Some records we keep fall under the General Schedule of Records.
- National Archives and Records Administration is responsible for providing General Schedule guidance.
- Agencies have some records that are unique to them.
- They have to file SF 115 with NARA to get approval for disposing of records.
- Some records are permanent. Some are not.



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# Record Disposition

- You can read the disposition authority for I-129F, I-130 and I-140 at:

[http://connect.uscis.dhs.gov/org/ESD/RD/Policy/RecordsOfficers/Documents/N1\\_85\\_96\\_01.pdf](http://connect.uscis.dhs.gov/org/ESD/RD/Policy/RecordsOfficers/Documents/N1_85_96_01.pdf)

- If the petition is not used, it is to be disposed of 3 years after a visa number becomes available.
- If the petition is denied, an A-File is created and the petition becomes a permanent part of the alien's A-File.



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(b)(6)

# FOIA Request #1

• Manuel A. Redondo, born

• Father's name  Mother's name  We have  
Manuel's notarized signature for VOI and Manuel lists himself  
as the requester.

• Address:

(b)(6)

• *"I need a copy of the petition I filed for my wife, Sandra."*

• We do not have Sandra's consent.



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# He gave us his A-Number:

ASIS (10/05/16) (10/05/16)

File Edit Session Transfer Program Options Window Help

CLIM:DH DEPARTMENT OF HOMELAND SECURITY - USCIS 02/13/18  
COMMAND CENTRAL INDEX SYSTEM - ID # SEARCH/DISPLAY 14:24:48

ID # (A) AA/AB/CD/DA: [REDACTED] A# [REDACTED] DOB [REDACTED]  
(DL/FB/FP/PP/SS/TO)  
LAST: REDONDO C #  
FIRST: MANUEL NAME DATE  
MIDDLE: ANTONIO COURT  
ALIASES: LOC: ON

SEX: POB: [REDACTED] COB: [REDACTED] DOB: [REDACTED]  
FOO: HPC COA: [REDACTED] COC: [REDACTED] FTC: 08192003 FATHER: [REDACTED]  
PFOO: M A SFOO: DFO 08151982 B H: 08192003 MOTHER: [REDACTED]

SSN: CONSOLIDATED A- NOS -- OTHER INFORMATION --  
I-94 AD# [REDACTED]  
PASSPORT # [REDACTED]  
FB # [REDACTED]  
DRIVER LIC [REDACTED]  
FINGER CD# [REDACTED]

OVERVIEW D# TO DISPLAY NEW PERSON, PRESS ENTER. CLEAR EXIT PF1 NEXT CONS A#  
PF2 PRIOR CONS A# PF3 REFRESH PF4 RETURN PF5 HELP PF6 MAIN MENU PF8 HISTORY  
PF9 END PF11 EOLP

3270

NUM OVER



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# It is at the KC FRC

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Retired Inquiry For A021462723 - Windows Internet Explorer provided by USCIS

Retired Inquiry For [REDACTED]

File #	Seq	Office	Retired Date	Accession Information	FRC Location	Box #
[REDACTED]	000	NRC	8/19/2008 3:34:56 PM	Accession: 08-1120 Center: K - KANSAS CTY FRC Sub Group: NRC	55503034	32

Should I staff for it?



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# One Possibility

- What if he did ask for a copy of his A-file and a copy of the petition he filed for his wife, Sandra?
- I would have to create two cases. I cannot staff for an A-file and a receipt file on the same FOIA request. *Section 6.2.2.4.*
- If he only asked for the petition, then you are almost certainly not going to request his file.



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# What do we need?

PS/2 HW CLAIMS MAINFRAME SYSTEM 10/13/2013  
UPDATE PROCESSING MENU 14:30  
00667886

SELECT AND COMPLETE ONE LINE

1. RECALL NO.:

(SELECTIONS BELOW FOR APPLICATIONS AND PETITIONS ONLY)

2. USER ID: DATE: (MMDDCCYY)

3. BELIEF CLARY/APPLICANT  
NAME LAST, FIRST: (FIRST)  
BIRTH DATE: (MMDDCCYY)

4. A- NUMBER:

5. REFERENCE NO.

6. PETITIONER  
NAME LAST, FIRST: (FIRST)

PF3 PF6 PF8 PF10 PF11 PF12  
CANCEL VAIL MENU LOGOFF FENOTE ACT UPD BY CODE ACT UPD BY RCPT

8070

11/13/2013 14:30:00 00667886

(b)(6)

- One way to search is go to CLAIMS and enter his A-number.



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# Right I-130?


CLAIMS MAINFRAME SYSTEM			
BENEFICIARY CASE INFORMATION		02/13/2013	
		14:30	
		00067680	
PCPT HB#	[REDACTED]	(b)(6)	
PETITIONER	REDONDO	MANUEL	A
SECURE #	00000		
NAME	ANILA	SANDRA	
C/O			
[REDACTED]			
CONSULT	PCE:	CLASS:	JOB CODE:
DECISION:	DECISION DATE:	VALID FROM: 00000000 TO:	
THIS STATE ONLY BENEFICIARY:	(b)(6)		
PF2	PF=	PF10	PF12
CITIZENSHIP	RETURN	RE-ENTRY BENEF	PRE-ENTRY BENEF
3270			



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# Another way to search:



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**Person Search Selections**

Search Criteria: Alien Number ☒ Select All

Alien Number: (b)(6)

☐ AP 11  
☐ CTS  
☐ CLAIMS 3 M/F  
☐ CLAIMS \*  
☐ CPMS

☐ CDS-CCD  
☐ \*CIS/CCR-EXACS  
☐ BLIS  
☐ FOISS  
☐ AFMS

(b)(6)
Search
Reset Form
(b)(6)

**Person Search Results**      **Search Selected Persons**      [View Log](#)

ID	ID Type	Last Name	First Name	Date of Birth	* Person Found In:
<div style="border: 1px solid black; width: 100px; height: 60px; margin: 5px;"></div>	Alien Number	RECOND0	MANUEL	<div style="border: 1px solid black; width: 80px; height: 40px; margin: 5px;"></div>	CIS, CPMS
	Receipt Number	RECOND0	MANUEL		CLAIMS 3 M/F

**Activities Found for Person**    [Compare Activities](#)    [Compare Images](#)    [Print Results](#)    None - Some systems not searched for person activities. Sign Up for Alerts

Last Name	First Name	Born	Source	Role	Activity	Description	Activity Date	Result	Result Date	SN	Other Last Name	Other
RECOND0	MANUEL	<div style="border: 1px solid black; width: 80px; height: 20px; display: inline-block;"></div>	CLAIMS 3	Petitioner	1130		<div style="border: 1px solid black; width: 80px; height: 20px; display: inline-block;"></div>	01-30-2013	<div style="border: 1px solid black; width: 80px; height: 20px; display: inline-block;"></div>	01-31-2013	<div style="border: 1px solid black; width: 80px; height: 20px; display: inline-block;"></div>	

(b)(6)

(b)(7)(e)

(b)(6)



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# And check the details:

## Details for Person

Claims	
Receipt Number	[REDACTED]
Mail Room Received Date	01-28-2013
Activity Type	I130
Activity Description	Petition for Alien Relative
*** Petitioner Information ***	
Petitioner Last Name	REDONDO
Petitioner First Name	MANUEL
Petitioner Middle Name	A
Petitioner Date of Birth	[REDACTED]
Petitioner Country of Birth	
Beneficiary	
Beneficiary Last Name	AVILA
Beneficiary First Name	SANDRA
Beneficiary Middle Name	
Beneficiary Date of Birth	[REDACTED]
Beneficiary Country of Birth	
Beneficiary Alien Number	N/A

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(b)(6)

(b)(6)



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# Has it been consolidated into a file?

(b)(6)

Enter File Number:

☒ Search In ALL Converted Offices?
 ☐ Search For ONLY Specified File Prefix?

Show information entered on or after:

History

Comments

Search

Clear

Exit

General Inquiry For

File #	Seq	Office	Status/Last Action	Location
(b)(6)	000	NBC	Status: AVAILABLE IN RECORDS Audit Date: 02/01/2015 02:00:48 PM Last Action: 02/01/2015 02:00:48 PM Audit	Sect: UA - MAIN FILE ROOM QPK Resp: 1020 - MAIN FILE ROOM QPK - 1020



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# Other Possibilities

- If it had been consolidated into the beneficiary's A-file, we would need consent from the beneficiary. *Section 6.2.1.*
- *Section 9.2* tells you what to do if the petition has been sent to NVC.



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# More Tips

- If you find a social security number, you may put that into PCQS and search. Case creators have found petitions that way.
- If NFTS shows “deleted,” call NVC and ask if they have it. “Deleted” does not mean “destroyed.”
- Put the language of their specific request in a Discussion. It will serve as a memory jog when you change the acknowledgment letter, and you can copy and paste it.
- If you discover the petition has been consolidated into the petitioner’s A-File, and you staff for the A-File, make sure your Discussion explains why you did that.



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# Staff and Acknowledge

- Before making the staffing, I need to get rid of Manuel's A-number if I already typed it in.
- I need to enter the MSC number in the Topic field. *Section 6.2.2.4.*
- Next, I can staff for it.
- This is going to be Track 1, Specific Documents. *Section 6.3.1.1.*
- In the acknowledgment letter, we change "SPECIFIC DOC INFORMATION" to "a copy of the petition you filed for your wife, Sandra." *Section 6.3.1.1.1*



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# What if I saved the A-number?

- If you already saved, you will not be able to delete the A-number from the A-number field.
- That's not a problem.
- First, enter the receipt number in the Topic field.
- When you do the staffing, you can select the "null field" for the A-Number:

(b)(6)

<b>A-Number</b>	<input type="text"/>
-----------------	----------------------



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# FOIA Request # 2

- Last name Mago
- First name Meseret
- Middle name Waldesenbet

(b)(6) • Born

- Did not provide parents' names
- Request is for all records



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9103

DEPARTMENT OF HOMELAND SECURITY - USCIS			06/27/12
CENTRAL INDEX SYSTEM - EXACT NAME SEARCH			15:54:47
* LAST NAME	NAME	(40 CHARS MAX)	
* FIRST NAME	NAME	(25 CHARS MAX)	
MIDDLE NAME		(25 CHARS MAX)	
(b)(6)	EXACT DOB	<input type="text"/>	(MMDDYYYY)
	DOB RANGE		(DATE RANGE = YYYYPP, *YYY=YEAR, P=0-9)
	COB	(5 CHARACTER COUNTRY CODE)	
	COC	(5 CHARACTER COUNTRY CODE)	
	POE	(3 CHARACTER PORT OF ENTRY CODE)	
	DOE	(MMDDYYYY)	
	COA	(1 CHARACTER CLASS OF ADMISS CL CODE)	
	FOO	(3 CHARACTER FILES CONTROL OFFICE CODE)	
	SEX	(M/F)	
* LAST NAME AND FIRST NAME ARE REQUIRED FIELDS. OTHERS ARE OPTIONAL.			
SPECIFY THE SEARCH CRITERIA. THEN PRESS ENTER TO INITIATE THE SEARCH.			
CLEAR EXIT      PF3 REFRESH			
PF4 MENU      PF5 HELP      PF6 MAIN MENU      PF9 SOUND-LIKE SEARCH			
DISPLAYED NAME NOT FOUND ON EXACT NAME SEARCH.			
9270			
			NUM OVR 11



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# F9 – Sounds Like

C:\DOS48\...  
 File Edit Session Transfer Program Options Window Help  
 [Icons]  
 C:\DOS48 PAGE 000 DEPARTMENT OF HOME AND SECURITY - USCIS 06/27/12  
 COMMAND: CENTRAL INDEX SYSTEM - MULTIPLE FND FROM 15:56:07  
 SOUNDS LIKE NAME HIT- DATE OF BIRTH SEARCH (b)(6)  
 TOTAL RECORDS READ = 0000000 LDE III ACY  
 SPCH DATA: FV LEND: RESERVE DOB: [REDACTED] 44444 PAI  
 LQ LEND: NAOO /0 POCCL PPO  
 NAME A-NUMBER DOB CCB POE FCO SSSSL LDL  
 \*\*\* END OF SEARCH DISPLAY \*\*\*  
 TO VIEW PERSON DATA PLACE CURSOR ON LINE - PRESS ENTER.  
 CLEAR EXIT PF1 PAGE AHEAD PF2 PAGE BACK PF4 RETURN PF5 HELP  
 PF6 MAIN MENU PF8 ALTERNATE SEARCH  
 NO PERSON INFORMATION ON FILE FOR SPECIFIED SEARCH  
 3270  
 HUM OVR



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# F9 again - Alias

And she's not there.

FILE (F) EDIT (E) SESSION (S) TRANSFER (T) PROGRAM (P) OPTIONS (O) WINDOW (W) HELP (H)

DEPARTMENT OF HOMELAND SECURITY - USCIS 06/27/12

COMMAND: CENTRAL INDEX SYSTEM - MULTIPLE FINDS FROM (b)(6) 15:57:08

ALIAS NAME SEARCH

TOTAL RECORDS READ = 0000005

SPCH DATA: FN: LEN: MESERET DOB: [REDACTED] LEENH 407

LN: LEN: MAGC DOB: [REDACTED] AAA PAI

DOB: [REDACTED] DCI PRC

NAME A-ILMBER DOB COB POE FCC SHSSL LDL

\*\*\* END OF SEARCH DISPLAY \*\*\*

TO VIEW PERSON DATA PLACE CURSOR ON LINE - PRESS ENTER.

CLEAR EXIT PF1 PAGE AHEAD PF4 RETURN PF5 HELP

PF6 MAIN MENU PF9 ALTERNATE SEARCH

SOURCE CODES ARE M2 M203,

3270

NUM OVR



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# Some thoughts

- I could try a date of birth range or variations of the name,
- I could go to CLAIMS immediately,
- Or I could go to PCQS next.
- If I don't find something in the first system, I'll still look in second system – and vice versa.



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## Notice CLAIMS says no receipt:

```

FILE EDIT SESSION TRANSFER PROGRAM OPTIONS WINDOW HELP
[Icons: File, Edit, Session, Transfer, Program, Options, Window, Help]

FORMINIL          CLARIS NEUTRANE SYSTEM          06/27/2012
UPDATE PROCESSING MENU          16:13
                                COMPTON

SELECT AND COMPLETE ONE LINE

1 RECEIPT NO.

   *SELECTIONS BELOW FOR APPLICATIONS AND PETITIONS ONLY*

2 USER ID:                                DATE:          (MMDDCCYY)

3 BENE CHARY/APPL CART
  NAME (LAST): [NAME]                      IF PSTM: ENTERST
(b)(6) BIRTH DATE: [REDACTED] (MMDDCCYY)

4 A LTRREF:          A

5 REFERENCE NO.:

6 PETITION OVER
  NAME (LAST):                                IF PSTM:

NO RECEIPTS FOUND FOR NAME ENTERED.  ENTER RECEIPT # OR A/E TO CHECK ARCHIVE.

PF3      PF6      PF8      PF10     PF11      PF12
CANCEL   DATA MENU  LOGOFF   REMOTE   ACT UPD BY CODE  ACT UPD BY RCPT

8870

```

Now I'm going to enter the EXACT SAME info in PCQS and look:



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195

# I can enter the petition number

That's the correct middle name and the correct date of birth and country of birth.

It's also the only record we found in PCQS.

Why did PCQS find it, but CLAIMS didn't?

CLAIMS MAINFRAME SYSTEM			
BENEFICIARY CASE INFORMATION		06/27/2012	
PCPT NEP:			
PET TNR:	R VE	ALEHJ	ADJL4
SEQUENCE #:	00000		
NAME:	JL450	MESERET	WALDESEHET (b)(6)
CITY:			
STREET:			
STATE:			
DOB:			
SEX:			
DOA:			
CONSULT:			
DECISION:	DECISION DATE:	VALID FROM: 00000000 TO:	
THIS IS THE ONLY BENEFICIARY.			
PF2	PF4	PF10	PF12
CL INQ	PETURE	HEAT BEF	PPEV BEH
3270			
NUM OVR			



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# Another tip:

- CLAIMS might not like dates of birth. If I have an unusual name like hers, I can enter the name without any date of birth, and it is much more likely to find it:

(b)(6)

PS-MPT1 CLAIMS CLAIMFRAME SYSTEM 02/24/2013  
PETITION UPDATE PROCESSING 12:05  
MODE: L CONW8789C  
FORM: I112C RECEIPT NRP: [REDACTED] OWNED BY: EAC  
PART 2: A PART 3 RECEIVED DATE: 05/08/2012 REMOTE TO  
REF NRP: APPEALED FORM ASSOC PPT NRP:  
PETITIONER: DINE ALENU ADULA  
ATTN: [REDACTED]  
STREET: [REDACTED]  
STATE: [REDACTED]  
DOB: [REDACTED]  
EMPLOYER: [REDACTED]  
CONSULATE: [REDACTED]  
NBR BENF: 0 COR: [REDACTED]  
STATUS/ACTION: IEX APPROVAL NOTICE SENT (b)(6)  
PR OPTN DATE: 05082012 DATE VALID FROM: 00000000 TO

DC397961 - VIEW MODE  
PF1 PF2 PF3 PF4 PF5 PF6 PF7 PF8 PF9 PF10 PF11  
SENF C IIQ CANCEL PF12 PF13 PF14 PF15 PF16 PF17 PF18 PF19 PF20  
3270  
NUM OVR 1



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# It's not consolidated

(b)(6)

- Records Applications
- NFTS
- Transactions
  - Desk Audit
  - File Request
  - Re-Assign
  - Receive
  - Request Cancel
- Reports
  - Charge Working Office
  - View Status of Batch R

Enter File Number:

☐ Search In All Converted Offices?
☐ Search For ONLY Specified File Prefix?

Show information entered on or after:

☒ History
☒ Comments
☐

☐
☐
☐

General Inquiry For

File #	Seq	Office	Status/Last Action	Location
<input type="text"/>	00	ESC	Status: AVAILABLE IN RECORDS Audit Date: 06/26/2012 11:52:30 PM Last Action: 06/26/2012 11:52:30 PM Batch Audit	Sect: SL - FNU WORKFLOW Resp: 8754 - ESSX_SHLF_D_06_5

(b)(6)

We'll staff for it and we'll create a Discussion to say we're staffing on best available information.



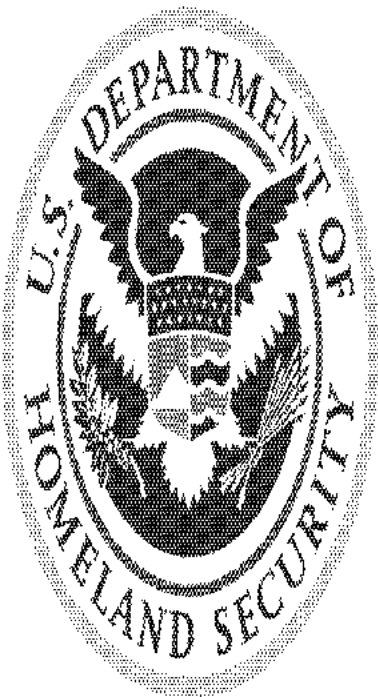
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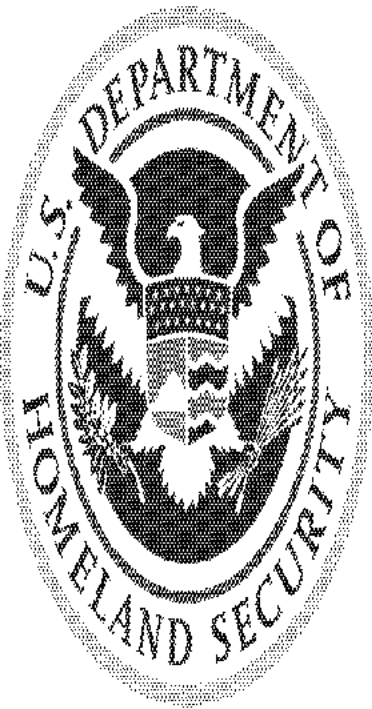
# Questions?



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# U.S. Citizenship and Immigration Services



# U.S. Citizenship and Immigration Services

# Lost Files: Serious Business



# Lost Files: Serious Business



# Our Job

- If USCIS has lost a file, we have a duty –
  - To conduct a diligent search for the file
  - To give the requester what we can find if we cannot find the A-file, and
  - To advise the requester of his or her legal rights



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# Before You Start

- Have some lost file worksheets handy.
- And while you're at it, have some Scan As sheets handy or save a copy to your desk top for easy access.

1. NAME \_\_\_\_\_  
 2. ADDRESS \_\_\_\_\_  
 3. CITY \_\_\_\_\_  
 4. STATE \_\_\_\_\_  
 5. ZIP \_\_\_\_\_  
 6. PHONE \_\_\_\_\_  
 7. DATE \_\_\_\_\_  
 8. SIGNATURE \_\_\_\_\_  
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SCAN AS

NRC2012

[NEW REQUEST](#)REQUESTER DOCS

## RESPONSIVE RECORDS

## REFERENCES

0251

464

END.

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# Then “It” Happens

- You look for it in NFTS and ... oh no:

(b)(6)

(b)(6)

General Inquiry For [REDACTED]				
File #	Seq	Office	Status/Last Action	Location
[REDACTED]	000	DAL	Status: LOST FILE	Sect: RL-DAL RECORDS
			Audit Date: 03/15/2014 12:43:36 PM	Resp: 0000-LOST FILE
			Last Action: 03/15/2014 01:46:51 PM Lost File	



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# Go Back to CIS

Review the  
9504 Screen.  
Both should  
say the file is  
lost.

If this screen  
does not say  
the file is lost,  
then staff with  
this screen.

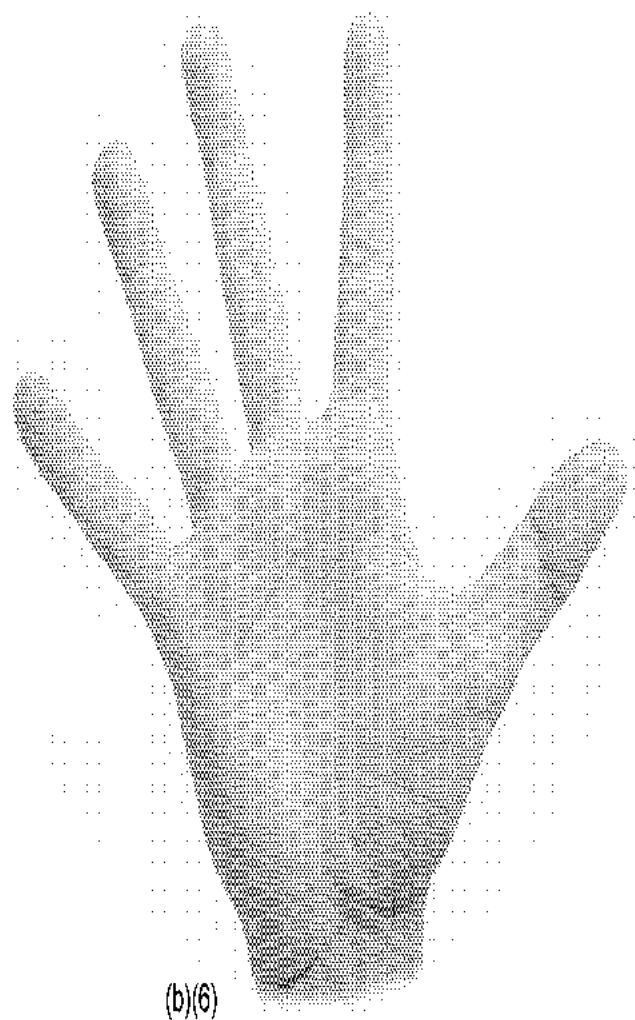
CIS - FILE TRANSFER DISPLAY (FTD)			
CMFTD	DEPARTMENT OF HOMELAND SECURITY - USCIS	09/20/12	
COMMAND:	(b)(6)	CIS - FILE TRANSFER DISPLAY (FTD)	(b)(6)
AA: <input type="text"/>	NAME: HUZARMEY	EUAN	DOB: <input type="text"/>
PREVIOUS FCO:	ELP	FCO CREATING SUB-FILE:	
CURRENT FCO:	DAL	SUB-FILE CREATION IND:	
REQUEST FCO:			
FILE LOCATED IND: N (NOT FOUND)			
DATE FEP:	03012012	(IMMEDIATE)	ACCESSION NUMBER: 0000
DATE FBI:	03022012		THIS BOX NUMBER:
DATE FEC:	10222010		
PERSON ACTION:	DAL / REC	REQUEST NUMBER:	
		2ND REQUEST DATE:	
		3RD REQUEST DATE:	
YOU MAY REQUEST A DISPLAY OF ANOTHER A-FILE BY TRYING A DIFFERENT A-NUMBER.			
CLEAR EXIT    PF3 REFRESH    PF4 FTS MENU    PF5 HELP    PF6 CIS MAIN MENU			
9270	Protected Field		
NUMDVR			



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# Add 60 days to the date it was lost

- This file was lost in March, so ...



(b)(6)

(b)(6)

General Inquiry For [REDACTED]				
File #	Seq	Office	Status/Last Action	Location
[REDACTED]	000	DAL	Status: LOST FILE Audit Date: 03/15/2014 12:43:36 PM Last Action: 03/15/2014 01:46:51 PM Lost File	Sect: RL-DAL RECORDS Resp: 0000-LOST FILE



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# Pretend Today is April 6<sup>th</sup>

- March 15 + 60 days = May 14, so on May 14, the file will be lost for two months.

(b)(6)

(b)(6)

General Inquiry For [REDACTED]				
File #	Seq	Office	Status/Last Action	Location
[REDACTED]	000	DAL	Status: LOST FILE Audit Date: 03/15/2014 12:43:38 PM Last Action: 03/15/2014 01:46:51 PM Lost File	Sect: RL-DAL RECORDS Resp: 0000-LOST FILE

It has not been lost for more than 60 days, so we go to the < 60 day Flowchart.

Now we just follow Appendix H, FOIA/PA Assistant's Guide



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# If it is not in NFTS:

(b)(6)

Use the 9504  
Screen.

We would use  
DATE FTI  
because that's  
the last time  
we knew  
where the file  
was.

ADAMS (9504) (9504) (9504) [X] [X]

File Edit Screen Transfer Program Options Window Help [X] [X]

DEPARTMENT OF HOMELAND SECURITY - USCIS 09/20/12  
CIS - FILE TRANSFER DISPLAY (FTD) 14:32:51

NAME: HUZARMEY, EVAN DOB: [REDACTED]

PREVIOUS FCO: BLP  
CURRENT FCO: DAL  
REQUEST FCO:

FCO CREATING SUB-FILE:  
SUB-FILE CREATION IND:

FILE LOCATED IND: N (NOT FOUND) (b)(6)

DATE FTR: 03152014 (IMMEDIATE)  
DATE FTR: 03152014  
DATE FTR: 10222013

ACCESSION NUMBER: 0000  
THIS BOX NUMBER:  
REQUEST NUMBER:  
2ND REQUEST DATE:  
3RD REQUEST DATE:

PERSON ACTION: DAL / REC

YOU MAY REQUEST A DISPLAY OF ANOTHER A-FILE BY TRYING A DIFFERENT A-NUMBER.

CLEAR EXIT PF3 REFRESH PF4 FTS MENU PF5 HELP PF6 CIS MAIN MENU

9270 Protected Field

NUMDVR

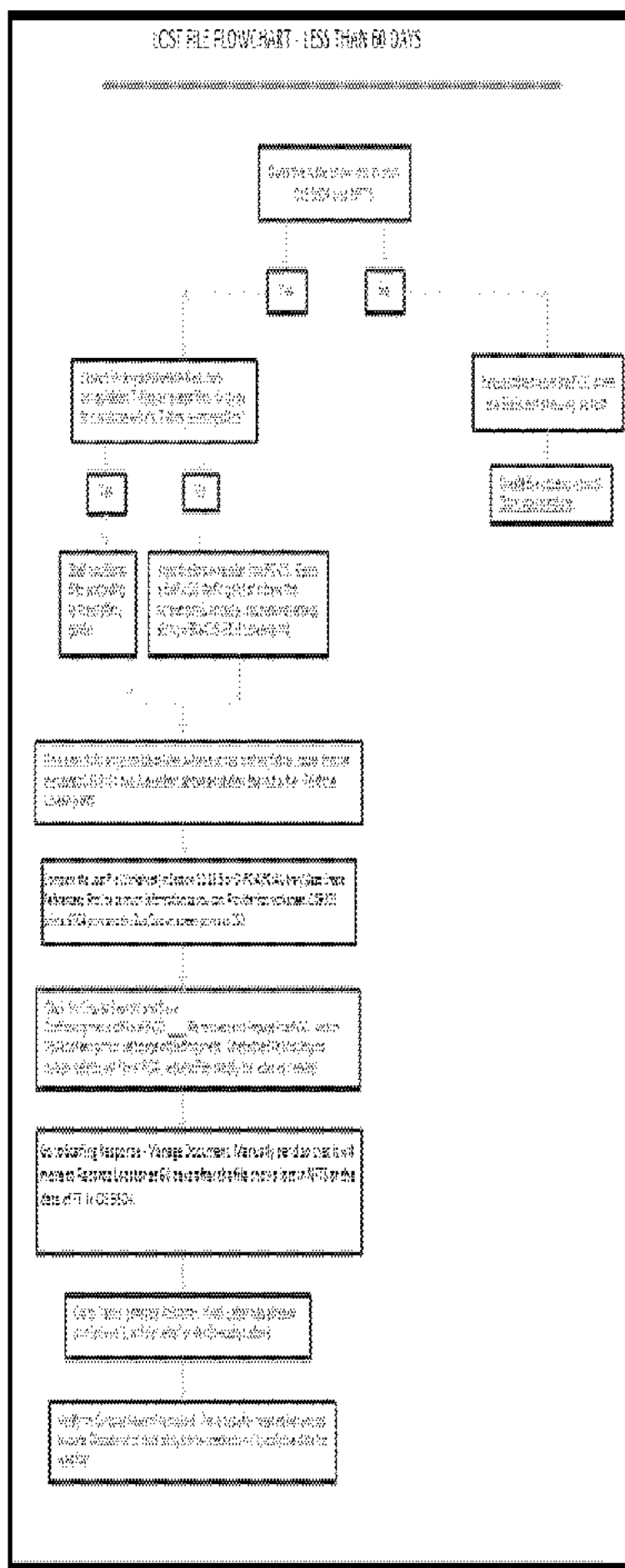


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Since the file was lost less than 60 days ago, we will go to Lost File Flowchart < 60 Days in Appendix H.

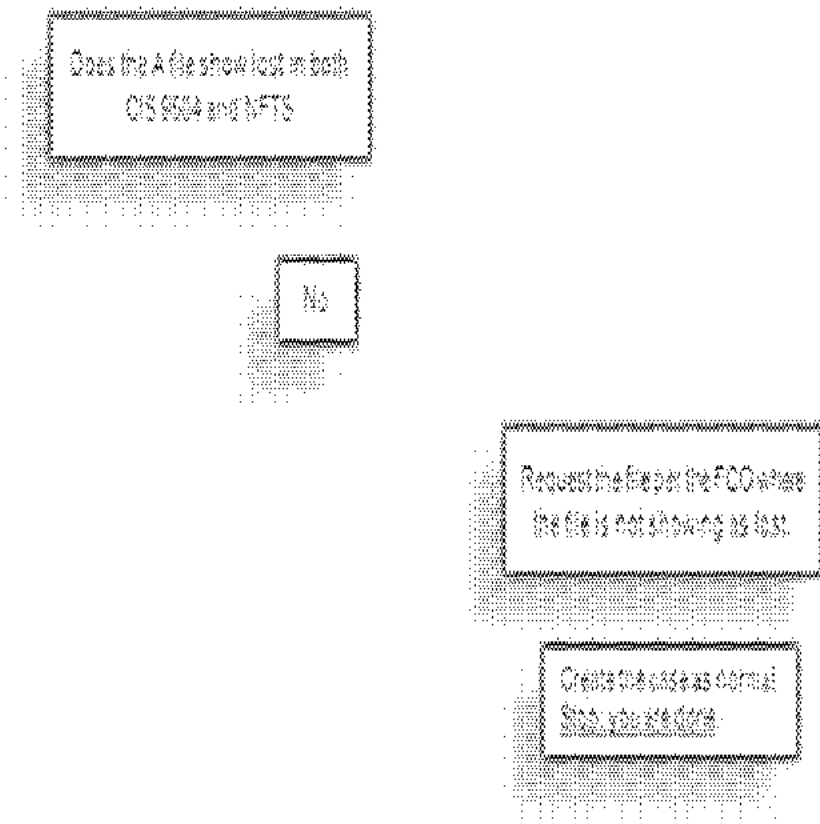


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# What if ?

Suppose it was  
lost in NFTS but  
not in CIS:



You will staff by doing a screen print of  
the 9504 screen. The quickest way to do  
that is Snag-It.



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Q If we found any T-file, unconsolidated A-file, or any receipt file, we staff for that, do screen prints and then move on down the flow chart.



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# Other Files- No

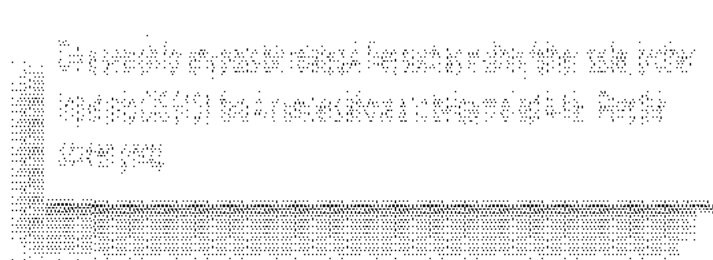
- If we did not find any other files, we have to do the search screen prints, just like a No Records search then move on down the flow chart.



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# Search Again

- Do a two-number above and below search and print those screen prints.
- See – you need that Scan As sheet no matter what!



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# Lost File Worksheet

- Fill it in as completely as possible.
- The requester may appeal, and if it goes to court, the Lost File Worksheet could become an exhibit.

## LOST FILE WORKSHEET

A-number \_\_\_\_\_

Name of Alien \_\_\_\_\_

Date shown as Not Found in CIS \_\_\_\_\_

Date shown as lost in NFTS \_\_\_\_\_

1 Search CIS for potential second a-number and/or consolidation

a. Second a-number? \_\_\_\_\_

b. Any T-files? Yes \_\_\_\_ No \_\_\_\_

i. If yes, have they been staffed and scanned? If not, please do so now.

c. Consolidated with? \_\_\_\_\_

d. Does the EOIR screen show an upcoming hearing date?

Yes \_\_\_\_ No \_\_\_\_

2 Check CLAIMS for petition applications

a. Were any found? Yes \_\_\_\_\_ No \_\_\_\_\_

b. If so, either provide screen prints with receipt number or list below:

3 Check NFTS. Any current file movement? Yes \_\_\_\_ No \_\_\_\_

4 Check PCQS for any indication that file is with the naturalization unit.

NOTES:



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# Get Ready to Staff

Track *	<input type="checkbox"/>	Bureau:	<input type="checkbox"/>	<input type="checkbox"/> Print To CD
Type *	<input type="checkbox"/>	Referred from: ....	<input type="checkbox"/>	<input type="checkbox"/> PA Cited
Source *	<input type="checkbox"/>	<input type="checkbox"/> Expedited: Not Requested	<input checked="" type="checkbox"/>	<input type="checkbox"/> In Litigation
Category *	<input type="checkbox"/>	<input type="checkbox"/> Fee Waiver: Not Requested	<input checked="" type="checkbox"/>	<input type="checkbox"/> In Circular Search
				<input type="checkbox"/> Delinquent

*Calculate Queue Position*

Check "In Circular Search"

Calculate Queue Position

Save

Save

When you staff, "File Missing/Lost" will automatically be checked. If you staff and that box is not automatically checked, then you must go back and check Circular Search.



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# Now Staff

## Lost File at FCO:

Staff Request To

FRAUD DETECTION AND NATIONAL SEC

FRC

HBG

HEL NON A-FILE MATERIAL

ICE

INP

Lost File at FCO:

MIL

And fill in the  
blank on the  
staffing sheet:

Staffed to: Lost File at FCO: SND

CIRCULAR / SPECIAL / LOST FILE SEARCH REQUEST



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# Manually Pending

- For our example, we are pretending today is April 6,
- The last action on the file was March 15. (b)(6)

(b)(6)

General Inquiry For [REDACTED]				
File #	Seq	Office	Status/Last Action	Location
[REDACTED]	000	DAL	Status: LOST FILE Audit Date: 03/15/2014 12:43:38 PM Last Action: 03/15/2014 01:46:51 PM Lost File	Sect: RL-DAL RECORDS Resp: 0000-LOST FILE

We have to set the suspense so this case goes to Records Locator when the "Lost Time" is more than 60 days.

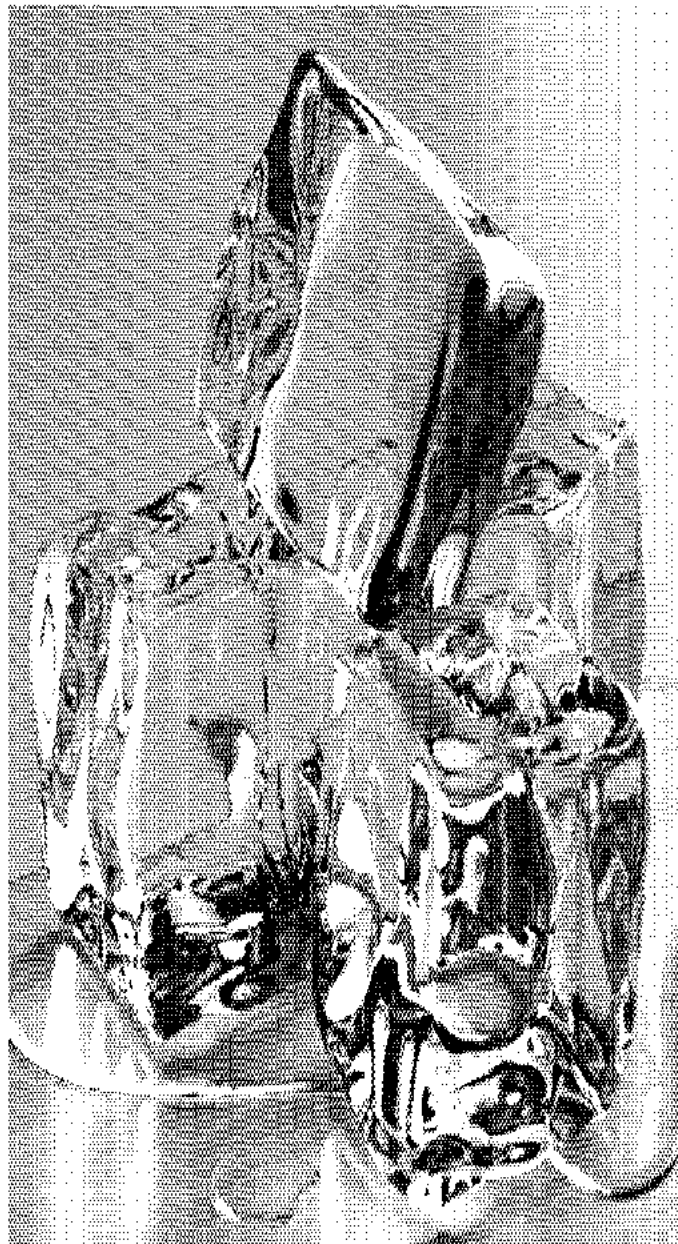
Why?



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# Why Manually Pend?

- We are waiting to see if we find the file. We do occasionally find the file.



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# Giving It a Chance

- If you staffed for something else such as a receipt file or T-file, We give the A-file 60 days to show up.
- If the lost status goes over 60 days, we want to cancel the slot and send what we have to the case processor.
- If you did not find anything else and the lost status goes over 60 days, we will print what electronic records we have and send the case to the case processor.



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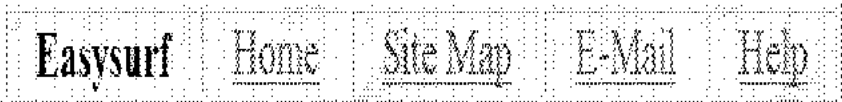
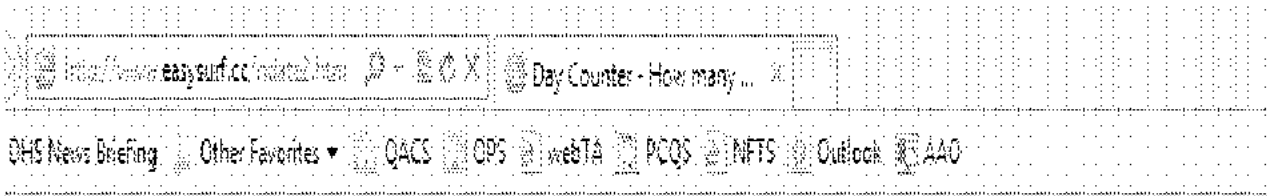
# How many days?

- Let's say the file was lost March 15<sup>th</sup>.
- We want the file to hit Records Locator on or about May 14<sup>th</sup>.
- Today is April 6<sup>th</sup>.
- How do you figure out the number of days?
- Use <http://www.easysurf.cc/ndate2.htm>



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http://www.easysurf.cc/ndate2.htm



Day Counter - How many days and/or weeks between two dates

From:	Month	Day	Year	Era
	April	6	2014	A.D.
To:	Month	Day	Year	Era
	May	14	2014	A.D.

**Click to Calculate** 38 Days -- or -- 5 Weeks and 3 Days



The answer is 38 Days.

# There are other ways to figure it out

- OK Google “How many days until May 14?”
- If you just like to do math, there is a Julian Date calendar at Appendix H.
- Fingers. Take shoes off for more complicated math.



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# How to Manually Pend

- “Manually Pend” means the same as “Change the Due Date”
- Go back to the “Contents” tab
- Click on “Responsive Records” and wait
- You will get a drop-down box that says “Manage Document”
- Click that and it will send you to another screen



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# Now Change the Due Date

- Enter 38 in "Days to Pend" and then click *Update Due Date*
- That should change the due date to the day we want it to hit RL

Case	MSC20130012745	Seq	4
Document Type	Response Request	Status	Pending
Description	<input type="text"/>		
Pages	<input type="text"/>		
Date Submitted	<input type="text"/>		
Created By	Shirley	Created Time	05/14/2014 02:50:41 PM
Modified By	Shirley	Modified Time	05/14/2014 02:55:12 PM
Response Unit	CAL	Days to Pend	38
Applicant	<input type="text"/> (b)(6)	Update Due Date	<input type="button" value="Update"/>
Date Requested	<input type="text"/>	Cancel Request	<input type="button" value="Cancel"/>
Date of Latest Request	<input type="text"/>		
Date Due	05/14/2014		



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# Before We Move On:

- You can experiment –
- When you enter the number in Days to Pend then click Update Due Date – the Due Date changes.
- If you don't like that Due Date, just change the number and update again until you *do* like it.

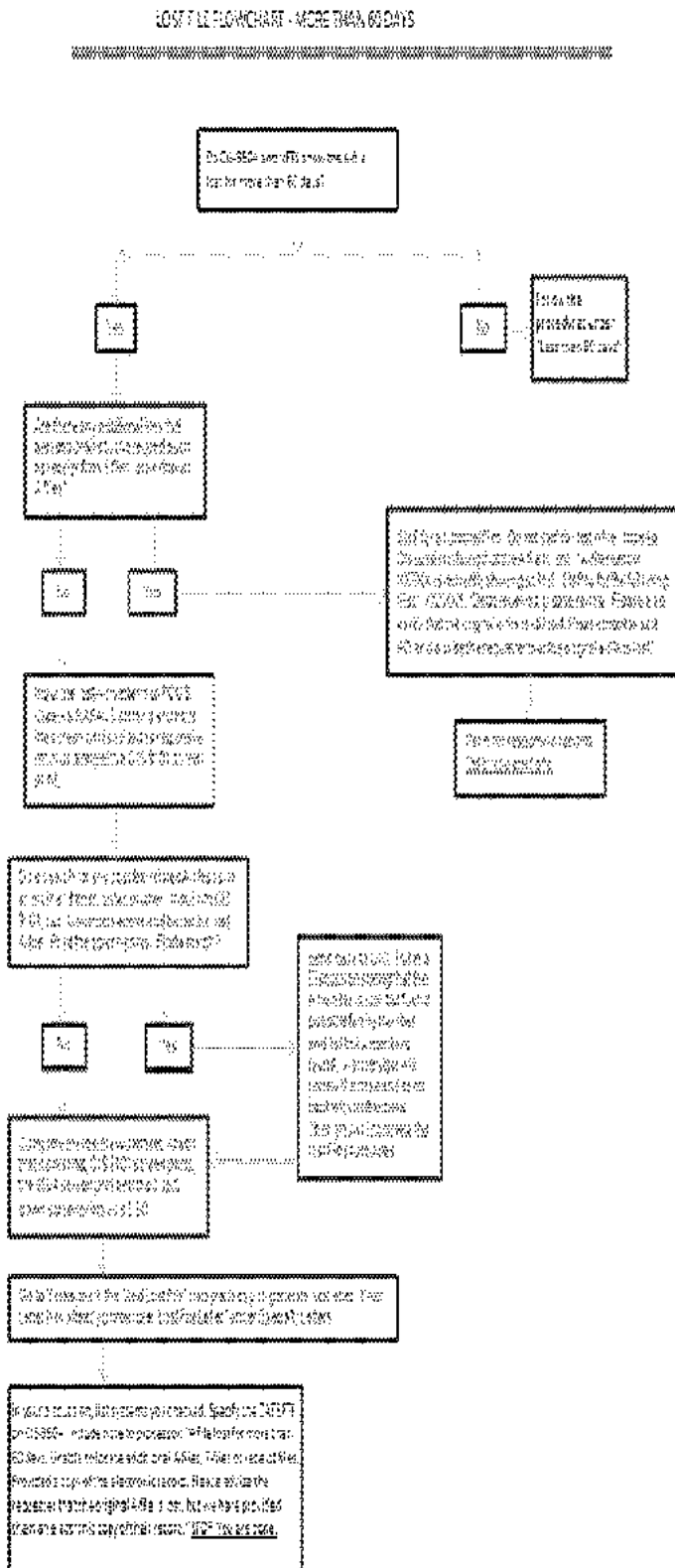
Case	78C261270-1245		Set	4
Document Type	Response Records		Status	Pending
Description	<input type="text"/>		<input type="button" value="Submit"/>	
Pages	1		Last Page Selected	
Date Submitted			Date Printed	
Created By	tkraker		Created Time	09/26/2013 02:05:41 PM
Modified By	tkraker		Modified Time	09/26/2013 02:05:42 PM
Responsive Unit	CAG		Cases to Pend	33
A Number	<input type="text" value="(b)(6)"/>		<input type="button" value="Update Due Date"/>	
Date Requested			<input type="button" value="Cancel Request"/>	
Date of Latest Request				
Due Date	05/15/2014			



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## Scenario: More Than 60 Days

If it has been more than 60 days, we go to the Lost File Flowchart > 60 days and follow the instructions.



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# Unit Chief

- If you have a > 60 day scenario
- And you find possible related A-files
- Then you print the screen prints and send the case to Unit Chief
- Why?



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# Unit Chief might search

- Unit Chief may be able to order the file(s) and review them to see if there are misfiled documents belonging to your subject.
- If we cannot find anything else, we will print out what electronic records we have and scan that into a RAFACS slot.
- Finally, you must check “Add Lost File Paragraph” when you create the Acknowledgement Letter.

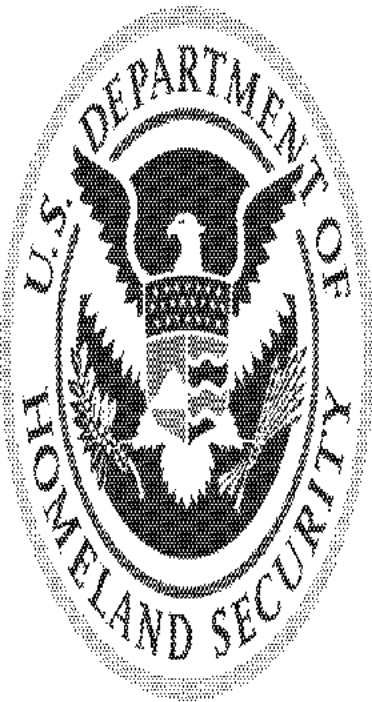


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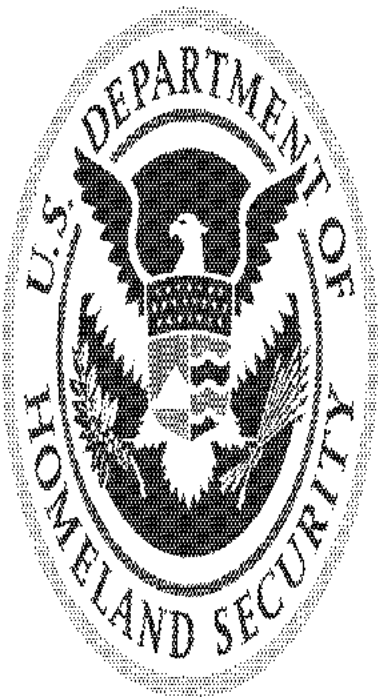
# Questions?



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# U.S. Citizenship and Immigration Services



# U.S. Citizenship and Immigration Services

# Staffing Topics



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FOIA Program Office  
National Records Center

# Objective

- To better understand:
  - Multiple Staffing
  - Staffing for T-files
  - The Scanning Bar Code

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# Common Staffing Errors:

- A-file number in FIPS does not match the NFTS screenshot - usually by not using the dropdown box, and occasionally by using a screenshot totally unrelated to the case.
- Cropped NFTS screenshots.
- "Multiple Staffing" when the A & T files are at different FCO's.
- "Multiple Staffing" when there is an A file and a receipt.



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# Some other Staffing Errors:

- » Circular search box not checked and/or not saved prior to staffing for lost files.
- » Staffing for an A files or receipt files that NFTS shows in "Consolidation Area." Usually, the Consolidation button is blue, and you can see it has already been consolidated.
- » Staffing for an A file at an outside FCO and a T file that is at NRC.
- » Staffing for FRC files using RAFACS/CIS staffing sheets.



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# Save a Little Time

- Some case creators have been typing the specific documents on staffing sheets of Track 1 cases. (example: “Requester needs Naturalization Certificate only”)
- Save your time. The contractor scans in the whole file.
- Imagine a busy store with long lines. Imagine a customer at the store purchasing a package of multicolored napkins. The customer says to the checker, “My child only wants the purple napkins.” What will the checker do?
- Case processors and supervisors need your insight – Discussions are good. Adding comment to a staffing sheet? Not so good.



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# Records Locator:

- If you see a file request from an outside FCO, and you look in NFTS and see the file at NRC, do not cancel that staffing and re-staff to RAFACS/CIS.
- That means we will most likely have to pay for a second scan and the responsive records are going to show up twice.
- If you see a file request from an outside FCO, and you look in NFTS and see the file is now at ANOTHER outside FCO, then yes, cancel the staffing and re-staff.
- If you are not sure about the situation, talk to MSB. They are very happy to help!



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# When to type “MULTIPLE STAFFING”

IF

- A person has more than one A-File.

AND

- Those A-Files are not consolidated.



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# Let's Pretend

- Staffing for an A-file in Chicago and a T-file in Milwaukee?  
That's more than one staffing, but it does not fit our term "Multiple Staffing." Pretend – let's call that "Condition Blue."
- Staffing for an A-file and an unconsolidated application? That is two staffings, but does not fit our term "Multiple Staffing." Pretend – let's call that "Condition Blue."
- Now let's pretend that you have two unconsolidated A-files that you have to staff for. Let's call that "Condition Red."
- The ONLY time you type "Multiple Staffings" is during "Condition Red."



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# Are these multiple staffings?

- Person has A-File and receipt file, and those files are at two different places. Is it?
- Person has an A-File and a T-File at two different places. Is it?



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# Requester gave us two A-numbers

CIMIDN DEPARTMENT OF HOMELAND SECURITY - USCIS 07/24/12  
COMMAND: CENTRAL INDEX SYSTEM - ID # SEARCH/DISPLAY 14:51:47

ID # (A/AA/AB/C/DA) [REDACTED]

(DL/FB/FP/I/PP/SS/TD)

LAST: ALVAREZ

FIRST: DENNY

MIDDLE: A

NATZ DATE

COURT

ALIASES: ALVAREZ CASTELLANOS, DENNY

LOCATION

SEX: [REDACTED] POB: [REDACTED] COB: [REDACTED] DOE: 00000000

FCC: NRC COA: [REDACTED] CCC: [REDACTED] FTC: 08252011 FATHER:

PFCC: MIA SFCC: [REDACTED] DFC: 06142011 BIN: [REDACTED] MOTHER:

SSN:

CONSOLIDATED A-NOS

-- OTHER INFORMATION --

I-94 ADM #:

PASSPORT #:

FBI #:

DRIVER LIC:

FINGER CD#:

(b)(6)

OVER-KEY ID# TO DISPLAY NEW PERSON, PRESS ENTER. CLEAR EXIT PF1 NEXT CONS A#  
PF2 PRIOR CONS A# PF3 REFRESH PF4 RETURN PF5 HELP PF6 MAIN MENU PF8 HISTORY  
PF9 END PF11 EOLR

3270

FOUO

# Is this the same person? (b)(6)

CIM DN DEPARTMENT OF HOMELAND SECURITY - USCIS 07/24/12  
COMMAND: | CENTRAL INDEX SYSTEM - ID # SEARCH/DISPLAY 15:01:34

ID # (A/AA/AB/C/DA):

(DL/FB/FP/I/PP/SS/TD)

LAST: ALVAREZ

FIRST: DENNY

MIDDLE: ALEXANDER

ALASES:

NATZ DATE:

COURT:

LOCATION:

SEX:

POE:

COB:

DOE: 00000000

FCO: NRC

COA:

COG:

FTC: 07102009

FATHER:

PFCO: ESC

SFCO:

DFQ: 03182009

BIN:

MOTHER:

SSN:

CONSOLIDATED A-IDS

-- OTHER INFORMATION --

I-94 ADM #

PASSPORT #

FBI #

DRIVER LIC

FINGER CD#

OVER-KEY ID# TO DISPLAY NEW PERSON, PRESS ENTER. CLEAR EXIT PF1 NEXT CONS A#

PF2 PRIOR CONS A# PF3 REFRESH PF4 RETURN PF5 HELP PF6 MAIN MENU PF8 HISTORY

PF9 EAD PF11 EDIR

FOUO

3270



# Staffing for more than one A #?

- Use the Drop-down Box in FIPS to create the file request.

**Subject Information**

First	Middle	Last
Billy	Bob	Bumbleberry

A-Number:

Topic:

**Fee Information**

A-Number:  ☐ EDMS

**File Request**

**CIS**

- CIS
- RAFACS
- RAFACS/CIS
- RDF - Records Digitization Facility
- RECORDS ALIEN FILE
- RECORDS INDEXING
- RECORDS NATURALIZATION FILE



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# The Drop-down Box

A-Number

☐ EOMS

- The subject asked for “all my records” and has two unconsolidated A-Files.
- You must add the second A-number to the A-number field on the FIPS worksheet.
- When you staff for the second file, you must select the second A-number from the drop-down box. If the number on the staffing sheet does not match, you cannot type the correct number onto the staffing sheet. That will not solve the problem.
- (b)(6) ■ If you staff for  but the A-Number on the FIPS worksheet is  the contractor will not be able to locate the file, your  
(b)(6) staffing sheet will come up on the Problem Files report, and ...
- The staffing will get sent back to you for correction.



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# Unconsolidated Receipt?

- This person has an A-number and an unconsolidated receipt.
- Is this a multiple staffing? (b)(6)

Records Applications

3 NRTS

3 Transactions

Desk Audit

File Request

Request

Re Assign

Revoke

Request Cancel

Reports

Change Working Office

View Status of Batch B

Enter File Number: [REDACTED]

Search In ALL Converted Offices? Search For ONLY Specified File Prefix?

Show information entered on or after:

History Comments

Search Clear Exit

General Inquiry For [REDACTED]

File #	Seq	Office	Status	Last Action	Location
[REDACTED]	00	ESC	AVAILABLE IN RECORDS	16/26/2012 01:52:36 PM	Sect: SL - FMU WORKFLOW
				16/26/2012 01:52:36 PM	Regr: 0734 - ESCX_BATCH_D_00_6
				16/26/2012 01:52:36 PM	Batch Audit

It's two staffings, but it is not Condition Red.



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# Consolidated A-File



DANGER WILL ROBINSON: If he gave us A75812830 AND we find it in NFTS AND it shows it is in "Consolidation Area" – watch out!

CIMIDN DEPARTMENT OF HOMELAND SECURITY • USCIS 07/24/12  
COMMAND: CENTRAL INDEX SYSTEM • ID # SEARCH/DISPLAY 16:10:43

ID # (A/AA/AB/AC/DA):  
(DL/FB/FF/FP/SS/TO)  
LAST: KUMAR  
FIRST: SAHJIV  
MIDDLE:  
ALIASES:

DATE DATE:  
COUNTRY:  
LOCATION:

SEX: [ ] POB: [ ] COB: [ ] DOB: [ ]  
FCO: NRC COA: [ ] CCO: [ ] FTC: 02082012 FATHER: [ ]  
PFCO: LNM SFCO: [ ] DFO: 03022005 BIRTH: [ ] MOTHER: [ ]

SSN: [ ] CONSOLIDATED A-FILES -- OTHER INFORMATION --  
I-94 ADM #: [ ]  
PASSPORT #: [ ]  
FBI #: [ ]  
DRIVER LIC: [ ]  
FINGER CD#: [ ]

(b)(6)

OVER KEY ID# TO DISPLAY NEW PERSON, PRESS ENTER. CLEAR EXIT PF1 NEXT CONS A#  
PF2 PR OR CONS A# PF3 REFRESH PF4 RETURN PF5 HELP PF6 MAIN MENU PF8 HISTORY  
PF9 END PF11 EDIT



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Well now, this is a  
worthless staffing:



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General Inquiry Form			
File #	Seq	Office	Location
	000	NBC	Sect: ZY - SYSTEM AREA Resp: 8888 - CONSOLIDATION AREA

CIS told us this file is consolidated into

(b)(6)



. The case creator cannot staff for  
– it doesn't exist.

MSB will send it back to the case creator to fix.



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# T-files – will a physical A file be here?

- A-file at RDF and T-file at NRC, yes staff for both.
- A-file at any service center besides NBC (i.e. ESC, NSC, SSC or WSC) and T-file at NRC, yes staff for both.
- A-file at ZMI and T-file at MIA, yes, staff for both.
- A-file at NBC and T-file at NRC, no, do not staff for the T-file, but include the screen shot.
- A-file at FRC and T-file at NRC, no, do not staff for the T-file, but include the screen shot.
- A-file at CHI and T-file at NRC, no, do not staff for the T-file, but include the screen shot.



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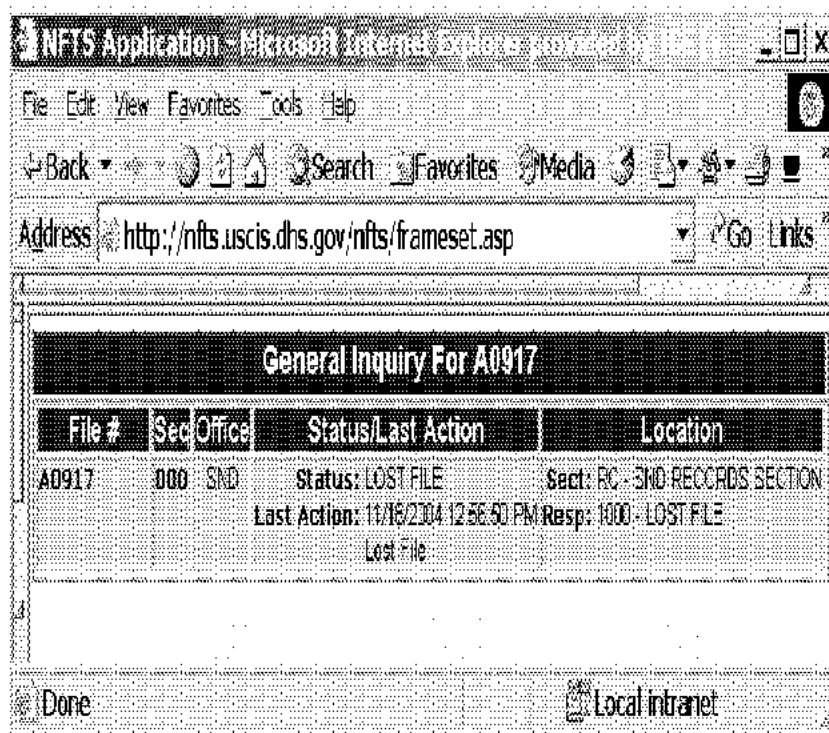
Next Subject:

# Lost Files



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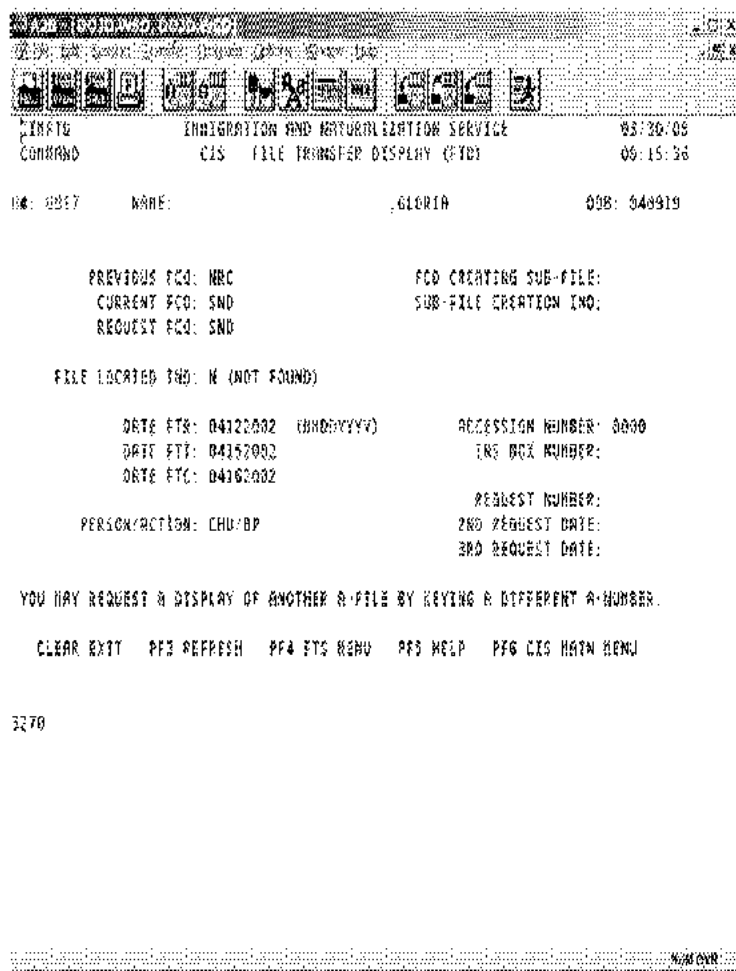
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# Lost File



- Check both CIS and NFTA – they both have to say the file is lost.
- Before you create the file request letter
  - Check the "In Circular Search" Box
  - Click "Save"
- And then create the file request letter.

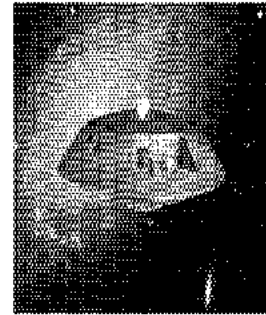


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# Where's the File?

## “In Circular Search”



- Before you create the file request letter
  - Check the “In Circular Search” Box
  - Click “Save”

Topic: _____			
Track * 2	Bureau: CTS	<input checked="" type="checkbox"/> Print To CD	
Type * FOIA Request	Referred From: _____	<input type="checkbox"/> PA Cited	
Source * Self	Expedited: Not Requested	<input type="checkbox"/> In Litigation	
Category * Alien File	Fee Waiver: Not Requested	<input checked="" type="checkbox"/> In Circular Search	
		<input type="checkbox"/> Delinquent	
Calculate Queue Position			

- When you create the file request letter
  - Make sure the “File Missing/Lost” box is checked.
  - Then click on Create File Request.

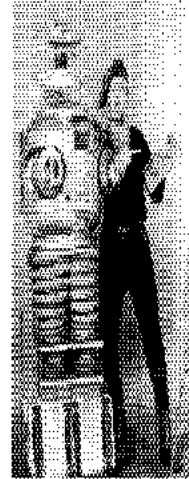


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# Speaking of Unnecessary Artwork:



- Please don't crop the top.
- You might think you are helping, but unfortunately, this only causes confusion.
- This staffing will come back to the case creator for correction:

**A040000000 000 NRC Sect: AN - FILE ROOM NUMBER 1 LL N**  
**Resp: 4260 - ROW AN SHELF 4260 - AN4260**



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# Interference with the bar code

- This will cause a scanning problem. If you notice typing has somehow gotten bumped down into the bar code area, please move it back up.

This is to certify that I (we) have conducted a thorough search for the above listed A-file and this file:

\_\_\_\_ is attached  
\_\_\_\_ could not be located.

\_\_\_\_\_  
Printed Name

\_\_\_\_\_  
Phone

\_\_\_\_\_  
Signature



\_\_\_\_\_  
Date

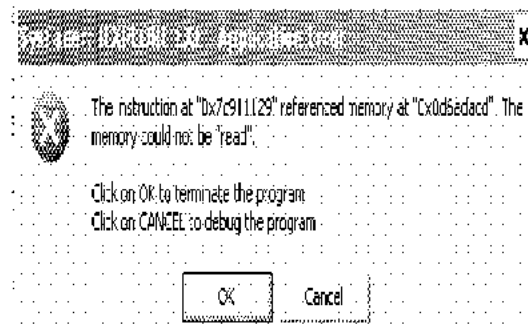
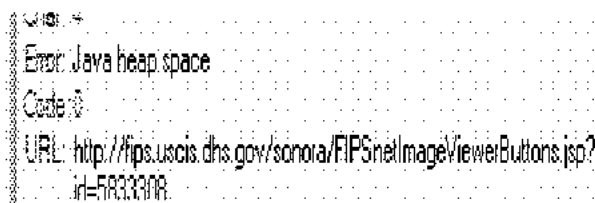
FIPSH 16167-0003-0024



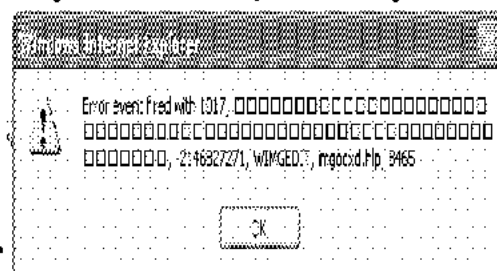
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## Next subject: FIPS Crash



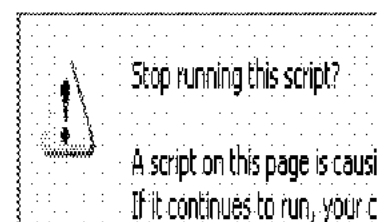
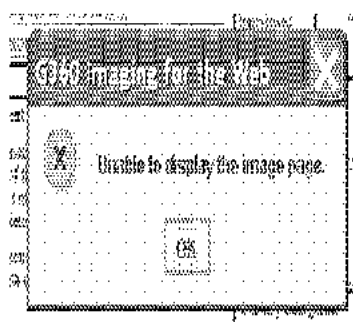
- They're investigating what causes FIPS Crash.
- If you search and get back 200 or more hits, you could possibly be contributing to a FIPS Crash – so:



- Always search with a number if you have a number 
- If they gave you a number, and it checks out, conduct your search with that number and you're done.
- If they didn't give you a number – this could be a way to avoid FIPS Crash – specify “created after” and make it not greater than one year.



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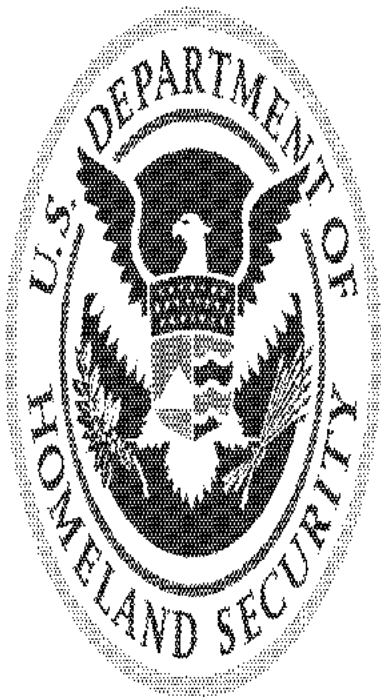
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# Questions?



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# U.S. Citizenship and Immigration Services



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# Objectives

To read instructions scanned in with the request.

To search diligently enough to find a file, if there is one.

To catch the hidden Expedited Treatment and Fee Waiver requests.

To double-check the A-number on the staffing sheet.



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# Warning

- This training module uses real data so that you will be able to practice it for yourself.
- You should not discuss any PII in the case studies outside the class.
- If you print these slides, treat them as sensitive FOUO. Keep them locked, and shred all the case studies when you no longer need them.



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# The problem:

- Not everybody knows his or her Alien Number.
- Not everybody has a good command of English.
- Sometimes their writing is messy.
- Not everybody is easy to find.
- Is it important to find them?



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# We owe them a diligent search.



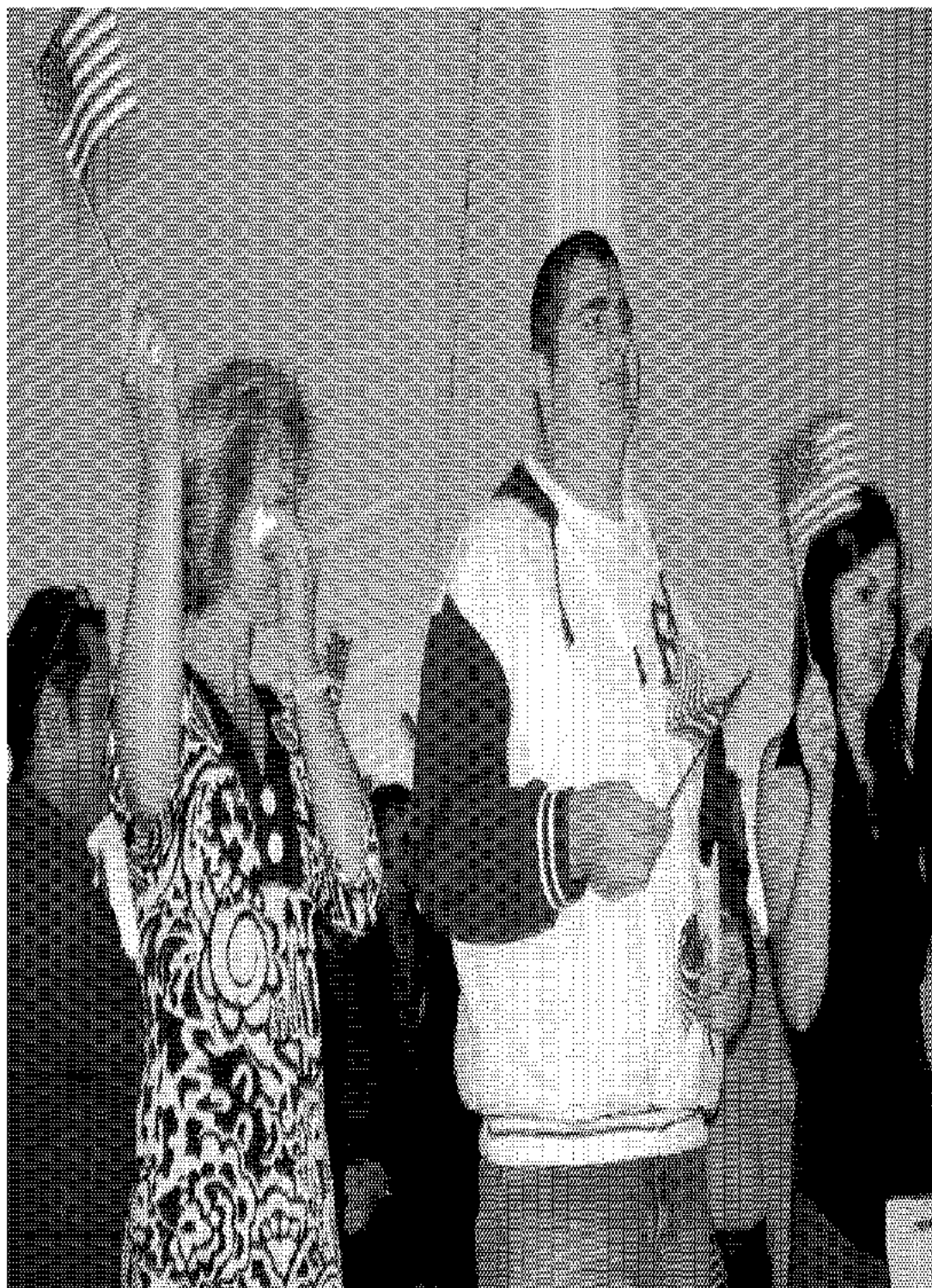
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# We owe them a diligent search.



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# Is your job important?



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# No A-Number?

- Usually we can find a person based on a name and date of birth.
- There could be variations in spellings.
- CIS might have entered the date of birth incorrectly.
- There might be aliases.
- There could be typographical errors on names and dates of birth.



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# Case Study

- We will look at a situation involving real PII.
- The pages are marked FOUO.
- The case was difficult. We closed it NR.
- We easily found a record in PCQS, and we got lucky and found her in CIS, but it is too late.



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# The Request

Family Name (Last Name)	Given Name (First Name)	Middle Name
Nacionales	Marie	Curie
Other Names Used (if any)	Name at time of entry into the U.S.	I-94 Ad
Marie Nacionales Mori	Marie Curie Nacionales	
Alien Registration Number (A#)	Petition or Claim Receipt #	Country of Birth

(b)(6)

This looks straightforward.  
She asked for "All my records."



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# Straightforward?

CINEXA                      DEPARTMENT OF HOMELAND SECURITY - USCIS  
COMMAND:                  CENTRAL INDEX SYSTEM - EXACT NAME SEARCH

\* LAST NAME: |NACIONALES

\* FIRST NAME: MARIE

MIDDLE NAME:        (b)(6)

EXACT DOB:  (MMDDYYYY)

DOB RANGE:  DATE RANGE = YYYYR; YYYY=YEAR,

COB:                    (5-CHARACTER COUNTRY CODE)

COC:                    (5-CHARACTER COUNTRY CODE)

POE:                    (3-CHARACTER PORT OF ENTRY CODE)

DOE:                    (MMDDYYYY)

COA:                    (3-CHARACTER CLASS OF ADMISSION)

FCO:                    (3-CHARACTER FILES CONTROL OFFI)

SEX:                    (M/F)

Maybe not.

Let's try the  
two F9's.

\* LAST NAME AND FIRST NAME ARE REQUIRED FIELDS. OTHERS A  
SPECIFY THE SEARCH CRITERIA, THEN PRESS ENTER TO INITIA

CLEAR EXIT              PF3 REFRESH

PF4 MENU

PF5 HELP

PF6 MAIN MENU

PF9

DISPLAYED NAME NOT FOUND ON EXACT NAME SEARCH.



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# No. Nothing.

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CINHSAS PAGE 0001 DEPARTMENT OF HOMELAND SECURITY - USCIS  
COMMAND: | CENTRAL INDEX SYSTEM - MULTIPLE FINDS FROM  
SOUNDS LIKE NAME WITH DATE OF BIRTH SEARCH

TOTAL RECORDS READ = 0000000

SRCH DATA: FN/LEN: MARIE DOB:   
LN/LEN: NACIONALES

NAME	A-NUMBER	DOB	COB	POE
------	----------	-----	-----	-----

CINHSAS PAGE 0001 DEPARTMENT OF HOMELAND SECURITY - I  
COMMAND: CENTRAL INDEX SYSTEM - MULTIPLE FINDS  
ALIAS NAME SEARCH

TOTAL RECORDS READ = 0000027

SRCH DATA: FN/LEN: MARIE DOB:   
LN/LEN: NACIONALES

NAME	A-NUMBER	DOB
------	----------	-----

\*\*\* END OF SEARCH DISPLAY \*\*\*

TO VIEW PERSON DATA PLACE CURSOR ON LINE - PRESS ENTER.

CLEAR EXIT PF1 PAGE AHEAD PF2 PAGE BACK PF4 RETURN P  
PF6 MAIN MENU PF9 ALTERNATE SEARCH

NO PERSON INFORMATION ON FILE FOR SPECIFIED SEARCH.

\*\*\* END OF SEARCH DISPLAY \*\*\*

TO VIEW PERSON DATA PLACE CURSOR ON LINE - PRESS I

CLEAR EXIT PF1 PAGE AHEAD PF4 RETI  
PF6 MAIN MENU PF9 ALTERNATE SEARCH

SOUNDEX CODES ARE N254 H6 ,

## Close this case NR? We did.



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# PCQS

## Person Cardno Search Selections

Search Criteria: Name Search ☒ Select All

Last Name: NACIONAL\* ☒ AR11 ☒ DoS-CCD ☒ SEVIS

First Name: MARIE ☒ CIS ☒ eCISCOR-RNACS

Range: Exact Date ☒ CLAIMS 3 M/F ☒ BLIS

Date of Birth:  ☒ CLAIMS 4 ☒ PD258

☒ CPMS ☒ NFAS

Search

Reset Form

## Person Search Results

### Search Selected Persons

ID	ID Type	Last Name	First Name	Date of Birth	* Person Found In:
<input type="text"/>	Receipt Number	NACIONALES	MARIE	<input type="text"/>	CLAIMS 3 M/F
<input type="text"/>	Receipt Number	NACIONALES	MARIE	<input type="text"/>	CLAIMS 3 M/F

We found two I-102's, so if she requested "all my records," we do not have a No Record.



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# Parameters

- I can say I want name results to match up to 9 exact characters.
- I can specify the whole year  by (b)(6) entering in DOB RANGE:  or if I want it to look one year either way,  Maximum 9 years plus or minus.
- How did you find country codes?



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Back           Search          Folders			
Address  O:\Foia\FOIA LIBRARY\Case Create References			
Name	Size	Type	Date Modified
16 Rules of Case Creating	31 KB	Microsoft Word 97 -...	6/8/2012 7:22 AM
CASE CREATE	1,047 KB	Microsoft PowerPoi...	1/8/2012 2:33 PM
CBP-ICE	136 KB	Microsoft Word 97 -...	6/19/2013 10:53 AM
CBP-IMC	106 KB	Microsoft Word Doc...	11/8/2013 10:26 AM
Copy and paste notes	46 KB	Microsoft Word Doc...	7/17/2013 3:19 PM
Draft Case Create	23 KB	Microsoft Word Doc...	7/9/2013 6:49 AM
Draft Case Create Checklist	66 KB	Microsoft Word 97 -...	8/6/2013 6:57 AM
ELIS Staffing and Ack Letter i...	16 KB	Microsoft Word Doc...	12/18/2013 2:13 PM
Expedited and Fee Waiver	331 KB	Adobe Acrobat Doc...	12/20/2013 12:48 PM
Print Manual and Fee Waiver	216 KB	Microsoft Word Doc...	12/20/2013 1:05:00 AM

Open the Word document and look:

PAPUA	PAPUA NEW GUINEA
PAPAG	PARAGUAY
PERU	PERU
PHIL	PHILIPPINES
PITCA	PITCARTN ISLANDS
POLAN	POLAND



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# 9102 with Parameters

CIMSND DEPARTMENT OF HOMELAND SECURITY - USCIS 02/04/14  
COMMAND: CENTRAL INDEX SYSTEM - "SOUNDS LIKE" SEARCH 14:03:09

\* LAST NAME: nacionales (40-CHARS MAX)  
FIRST NAME: (25-CHARS MAX)

LAST NAME MATCH: 9 (NUMBER OF EXACT CHARACTERS TO MATCH (0-9))  
FIRST NAME MATCH: (NUMBER OF EXACT CHARACTERS TO MATCH (0-9))  
PREVIEW NAME: (Y/N)

EXACT DOB: (MMDDYYYY)  
DOB RANGE: (DATE RANGE = YYYYR; YYYY=YEAR, R=0-9)

COB: (5-CHARACTER COUNTRY CODE)  
COC: (5-CHARACTER COUNTRY CODE)  
POE: (3-CHARACTER PORT OF ENTRY CODE)  
DOE: (MMDDYYYY)  
COA: (3-CHARACTER CLASS OF ADMISSION CODE)  
FCO: (3-CHARACTER FILES CONTROL OFFICE CODE)  
SEX: (M/F)

\*LAST NAME IS REQUIRED FIELD. OTHER FIELDS ARE OPTIONAL.  
SPECIFY SEARCH CRITERIA, PRESS ENTER TO INITIATE "SOUND LIKE" SEARCH  
CLEAR EXIT PF3 REFRESH PF4 MENU PF5 HELP PF6 MAIN MENU



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# 9102 - Hit Enter

CIMSAS PAGE 0001 DEPARTMENT OF HOMELAND SECURITY - USCIS 02/04/14  
COMMAND: | CENTRAL INDEX SYSTEM - MULTIPLE FINDS FROM 13:56:34  
S O U N D S - L I K E SEARCH  
TOTAL RECORDS READ = 0001000 LEENN ACV  
SRCH DATA: FN/LEN: /0 DOB: 11041965 AAAAA PAI  
LN/LEN: NACIONALES /0 PRDCI PRO  
NAME A-NUMBER DOB COB POE FCO SMSSL LDL  
NACIONALES MARIE , CURIE [REDACTED] NRC [REDACTED]

(b)(6)

(b)(7)(e)

\* \* MORE \* \* TO CONTINUE SEARCH PRESS PF1 OR  
TO VIEW PERSON DATA PLACE CURSOR ON LINE - PRESS ENTER.  
CLEAR EXIT PF1 PAGE AHEAD PF4 RETURN PF5 HELP  
PF6 MAIN MENU PF9 ALTERNATE SEARCH

SOUNDEX CODES ARE N254 ,



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# And GOT HER!



(b)(6)

CIMSIN DEPARTMENT OF HOMELAND SECURITY - USCIS  
COMMAND: CENTRAL INDEX SYSTEM - DETAILED SEARCH DISPLAY

02/04/14  
11:47:17

A#:  NAME: NACIONALES MARIE , CURIE

DOB:

LAST: NACIONALES MARIE

FIRST: CURIE

MIDDLE:

ALIASES:

NATZ DATE:

COURT:

LOCATION:

SEX:

POE:

COB:

DOE:

FCO: NRC

COA:

COC:

FTC: 01282014

FATHER:

PFCO: WSC

SFCO:

DFO: 05041988

BIN:

MOTHER:

SSN:

CONSOLIDATED A-NOS

--OTHER INFORMATION--

I-94 ADM #:

PASSPORT #:

FBI #:

DRIVER LIC:

FINGER CD#:

(b)(6)

CLEAR EXIT PF1 NEXT CONS A# PF2 PRIOR CONS A# PF4 RETURN PF5 HELP  
PF6 CIS MAIN MENU PF7 NEXT SEARCH PF8 VIEW HISTORY PF9 VIEW EAD PF11 EOIR



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...but it's too late.

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# What Happened?

- It seems ridiculous that somebody entered her first name as her second last name, but ...
- Probably, a long time ago, she filled out some form incorrectly and INS entered it the way she filled it out.
- The processor will see what happened and think “Wow, what a great case creator!”



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# Don't give up too easily!

- If we have not found the person within 10 minutes, there is a problem.
- Sometimes there is another reason we can't find them.
- If you are having a problem, contact a neighbor or a supervisor – Sometimes in our lives, we all have pain, we all have sorrow ...



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# Other reasons we can't find her:

- If she said she entered EWI in 2008, and we have no reason to believe she was ever arrested, it is possible she has no file.
- If she said she entered the country in 1960, and we have no reason to believe she had anything to do with INS after 1975, we should prepare a Records Index staffing.



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# READ

- The first requirement of Case Create is **READ**. For example: "Do not dup to NRC20131XXXXX."

Request was duped to NRC201310 . There is a cover sheet as the request stated to ne the case to NRC201310

**REMARKS-** Second print to open a new case. Pending case possible.

Please first search to see if there's an open pending request, if to send this case to Research to have attached as a CSO, to the open pending case. Thank you.

Please do not DP to NRC201310

The cover sheet said:

DATE: 01/02/13

"Please do not DP to NRC201310XXX"

Source	Attorney
Category	Alien File
Calculate Queue Position	
View Duplicate Case	NRC201310...
Save	

Exported Not Requested  
Fee Waiver Not Requested

Case Creator created the case, set NRC201310XXXX as a Duplicate, then closed the case ER and sent it to UFA.



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# READ

- The first requirement of Case Create is READ. For example:
- “Receipt number and the current status of the petition I filed for my son Alberto Reyes.”
  - Petition is at NVC. Will screen prints work?
- Petitioner wants: “Copy of petition, supporting documents and Affidavit of Support for [REDACTED] (b)(6)”
  - Petition is consolidated into beneficiary’s file. Will screen prints work?



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# Your Discussion

- Say what you mean.
- Mean what you say.
- Use Plain English.
- Don't try to sound fancy or official.
- Paste-in sentences are good.
- If you think you wrote something confusing  
– you probably did.



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# Plain Language

- The Plain Language Act requires federal employees to use plain language on any document that goes to the public.
- It's a good idea to use plain language all the time.
- Want to read the Federal Plain Language Guidelines?  
There is a copy at O:\Foia\FOIA LIBRARY



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# Six Real Examples

What if you wrote  
someplace and they  
closed your case NR  
and sent you a letter  
with your name spelled  
incorrectly?

Middle Name	Middle
Odelfonso	Odelfonso
to the U.S.	I-94 Admis

Given Name (First Name)	n relating to Yunlong
Yunlong	

How would you feel?

Given Name (First Name)	First
Josephine	Joseph

*Dear Monk Potter*  
*We have no record of you,*  
*and we looked all over.*

Name of Requester (Fill out if different from the Subject of)
MEGAN M. CAROLLO

Dear Megan M Marollo:

Juana	Maria	2014 regarding Juana Marta.
-------	-------	-----------------------------

Family Name (Last Name)	Dear I	Al Malery:
AL-MALEKY		



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# Attention to Addresses

The case creator clicked on the right attorney's name, but not the correct address, and it went to the wrong address:

Attorney at Law  
350 Broadway, Ste. 700  
New York, NY 10013

Name of Requester (if it is different from the Subject of Record)	
ATTORNEY AT LAW	
Address (Street Number and Name)	
159 FULTON STREET,	
City	State
NEW YORK	NY

The case creator changed the spelling of the town. If you believe the name of the town is spelled incorrectly, look it up on <https://tools.usps.com/go/ZipLookupAction!input.action>

Petaluma, CA 94952

City
PETALUMA

PETALUMA CA 94952

Show Mailing Industry



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# Expedited / Fee Waiver

1. We are missing a few Expedited and Fee Waiver requests.
2. Sometimes we are closing a case FC, TD, RD or RF and leaving the request "Denied" instead of setting it to "Not Requested."



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# Cover Sheet

- There is supposed to be an Expedited Treatment or Fee Waiver cover sheet.
- That makes it easy. Just read and follow the instructions.
- Problem: Sometimes there is no cover sheet.
- Why? Sometimes the attorney adds “Please expedite” or “Please waive fees” at the very end of the letter, and mentions the request nowhere else.



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# No Cover Sheet

Would like to have this expedited I have an appointment on Friday at my local office and I need this to renew my drivers license which is currently expired.

Thanks.

- This counts as an expedite request.
- We did not notice it.



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# Crouching Lawyer, Hidden Request

- Why would they put a Fee Waiver or Expedited Treatment request in the last sentence of the letter, in small print?
- Why does a boa hold perfectly still on a tree branch over an animal path?



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# Cause for Action

- If we completely ignore a request, the requester has a cause for action. The requester may take us to court and recover “attorney fees.”
- Those “fees” come directly out of the USCIS operating budget – NOT out of the US Treasury.



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# READ

- The first requirement of case create is: Read!
- If you catch the hidden request, you potentially save USCIS a lot of money.
- If there is a hidden request, you may
  - Add a discussion and send the case to Unit Chief, or
  - Find a supervisor, get a decision, and take action.



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# Expedited Grant or Denial

- To be considered an expedited request one of the following criteria must exist:
  - A circumstance that poses an imminent threat to the life or physical safety of an individual or
  - An urgency to inform the public about a federal government activity, if made by an individual who disseminates information (the media).



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# Expedited

- Using the word expedited in the request letter does not necessarily mean the requester is requesting expedited treatment.
  - “Thank you for expediting my request” is not a request.
  - “Please expedite this request” is a request.



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# Fee Waiver

- To be considered for Fee Waiver:
  1. The disclosure of the requested information must be in the public interest,
  2. AND the disclosure of the information is not primarily in the commercial interest of the requester.



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# The Fee Waiver Request

- He doesn't have any money – can he get a fee waiver?
  - No.
- What if he writes that he does not intend to pay anything?
  - We have to close it FC. He cannot declare an intention not to pay.
- Even though he probably wouldn't pay anything?
  - Yes, even though.
- What if he includes a financial statement showing that he has no money?
  - That does not count as a request. He has to ask. If there is not a specific request, his financial statement is meaningless.



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# Sending to Unit Chief

- If you send a case to UC for clarification, change the “Expedited” or “Fee Waiver” status to *“Requested.”*
- Always send an e-mail to your supervisor saying you did that.
- Why?
- Because *“Requested”* starts a clock.



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# Sending to Up-front Approver

- If you send a case to Up-front Approver, you **MUST** change “Expedited” or “Fee Waiver” request status to “*Not Requested*.”
- Why?
- If we close a case, we are neither approving nor denying a request for Expedited or Fee Waiver.



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# Discussions

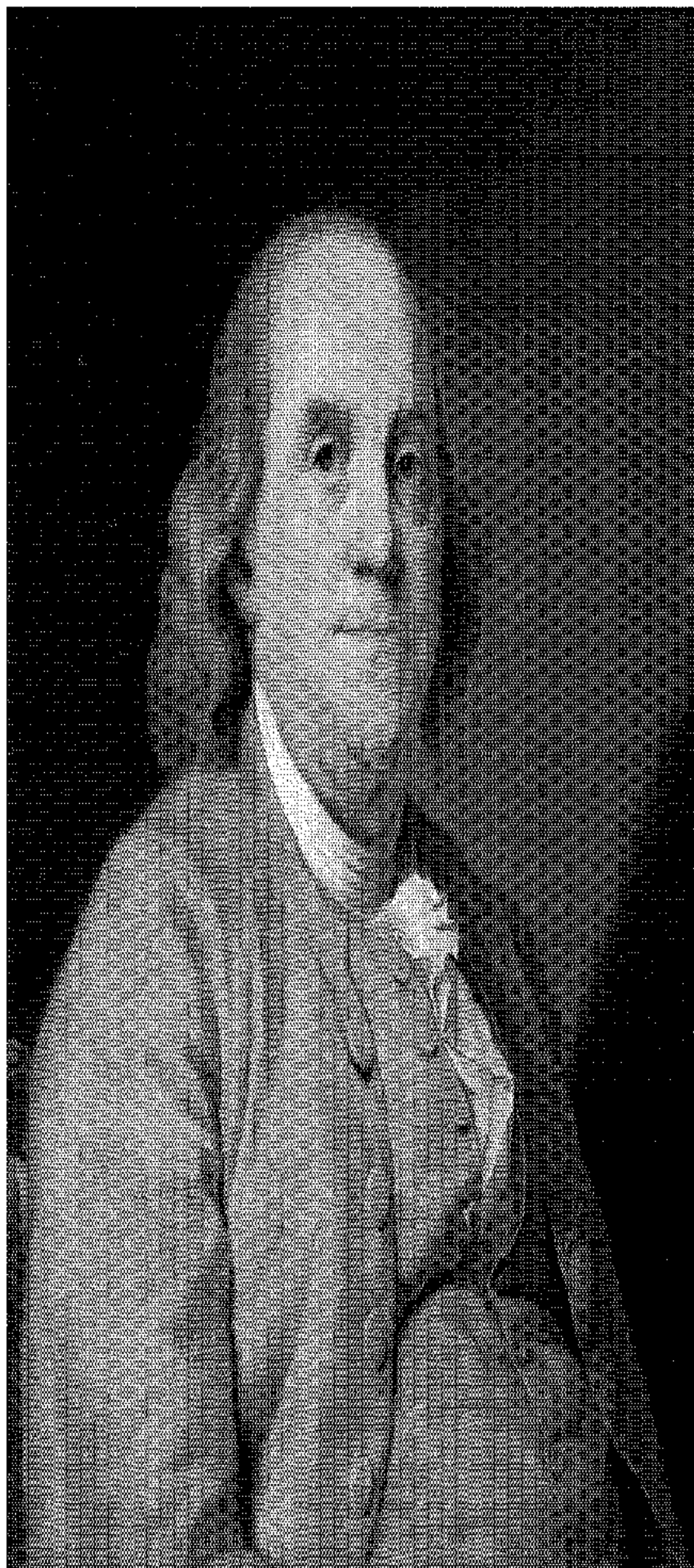
- Sometimes, supervisors will give you verbal guidance to deny or approve Fee Waiver or Expedited Treatment requests.
- If that is the situation, we need a discussion saying so.



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"The noblest  
question in the  
world is: *What  
Good may I do in  
it?*"

– *Poor Richard's  
Almanack, 1737*



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# A common staffing error

- The A# on the staffing sheet does not match the A# on the NFTS screen print.
- There are two main reasons
  1. Typing in the A# instead of copying and pasting.
  2. Not using the drop-down box if staffing for more than one file.



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# Copy and Paste

- Verify (or find) the A-number in CIS or PCQS.
- Once you know the A-number relates to the subject, copy and paste the A-number into FIPS.



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# Staffing for more than one A #?

- Use the Drop-down Box in FIPS to create the file request.

(b)(6)

Subject Information		
First	Middle	Last
Billy	Bob	Bumbleberry
A-Number <span style="border: 1px solid black; display: inline-block; width: 100px; height: 1.2em; vertical-align: middle;"></span>		
Topic:		

Fee Information

A-Number  ☐ EDMS

File Request

CIS

CIS

RAFACS

RAFACS/CIS

RDF - Records Digitization Facility

RECORDS ALIEN FILE

RECORDS INDEXING

RECORDS NATURALIZATION FILE

The A-number on the staffing sheet must be the same number as the NFTS screen print.

If the numbers are different, you have to start over.



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# The Drop-down Box

A-Number



EDMS

- The subject asked for “all my records” and has two unconsolidated A-Files.
- You must add the second A-number to the A-number field on the FIPS worksheet.
- When you staff for the second file, you must select the other A-number from the drop-down box. If the number on the staffing sheet does not match, you cannot type the correct number onto the staffing sheet. That will not solve the problem.
- If you leave it the way it is, the contractor will not be able to locate the file, your staffing sheet will come up on the Problem Files report, and ...
- ☹ The staffing will get sent back to you for correction.



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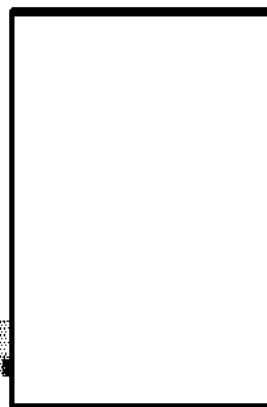
# Unconsolidated Receipt

- If you staff for an unconsolidated receipt, you should not have any A-number on the staffing sheet.
- If you already saved, you will not be able to delete the A-number from the A-number field.
- That's not a problem.
- First, enter the receipt number in the Topic field.
- When you do the staffing, you can select the "null field" which is immediately above the A-Number:

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**A-Number**

**Form**



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# FOIA Support Team

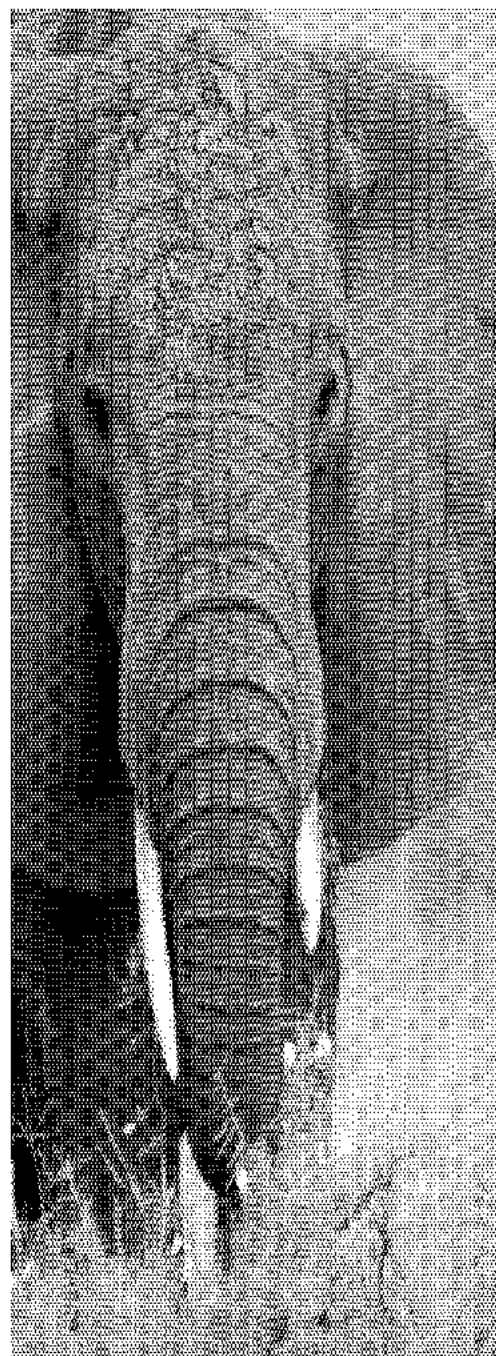
- Staffing question? Talk to FST.
- They would rather have a good staffing the first time.
- They get no joy from sending a case back to you to fix a staffing.
- They are always happy to discuss the best way to staff for something.



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# Always Remember Everything!

- Vietnam adoptions, prospective adoptive parents,
- ELIS staffing,
- Track 3 staffings
- Bracero requests,
- DACA,
- RPC of RK at COW,
- RPC of ZW,
- RMOB Program



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# Here is one more thing:

- If you discover in CLAIMS or PCQS that a petition is I-526 or I-829, please send the case to SIG. (Section 12.7.12.5)

```
FSXMIAP2                      CLAIMS MAINFRAME SYSTEM                      01/31/2014
                                (b)(6)  APPLICATION UPDATE PROCESSING          14:03
                                MODE: L                                     COW6768C
                                FORM: I526   RCPT NBR: [REDACTED] APPEALED FORM: OWNER: WAC
                                PART 2: A   PART 3:   RECEIVED DT: 02/06/2012
                                A-NBR: A       REF NBR:   ASSOC RCPT NBR:
                                NAME: [REDACTED]
                                C/O: [REDACTED]
                                STREET: [REDACTED]
                                STATE: [REDACTED]
                                GENDER: [REDACTED]
                                EMPLOYER: (b)(6) TAX ID:
                                REP CODE: REP TYPE: A (A=ATTY B=CERT REP C=OTHER)
                                NAME: [REDACTED]
                                FIRM: [REDACTED]
                                STREET: [REDACTED]
                                STATE: [REDACTED]
                                STATUS/ACTION: IEA APPROVAL NOTICE SENT
                                INS STATUS: [REDACTED] NEW CLASS:
                                PRIORITY DATE: 02062012 DATE VALID FROM: 00000100 TO:
                                PC997961 - VIEW MODE
                                PF2 PF3 PF4 PF5 PF6 PF7 PF8 PF9 PF11
                                CI INQ CANCEL BACK END INFO MAIN MENU CODES LOGOFF REMIT STAT HIST
```



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# One Last Question:

What is the first requirement  
of Case Create?



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# Questions?

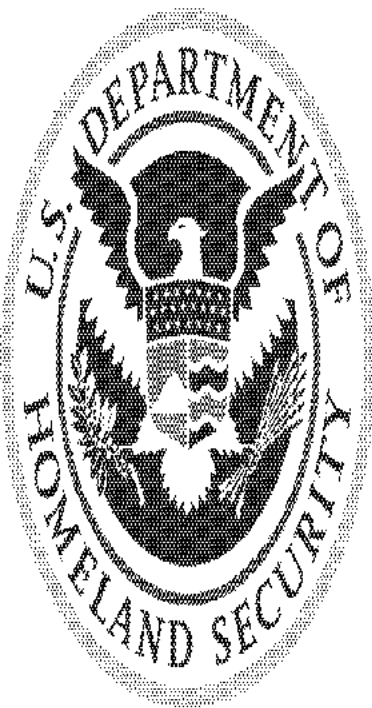


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# U.S. Citizenship and Immigration Services

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# U.S. Citizenship and Immigration Services

Researching, Staffing and Redacting ELIS  
Information from PCQS, Part 1

May 27, 2014

\*All PII has been fabricated or sanitized; no  
actual data used

# USCIS Electronic Immigration System (ELIS)

System allows applicants to:

- Set up and manage their accounts.
- Electronically submit applications and supporting documents
- Receive and respond to notices and decisions electronically
- Make payments online; and
- Access real-time information about the status of their cases.
- <http://www.uscis.gov/uscis-elis/requesting-benefits-using-uscis-elis>



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# Purpose

- Understand how to create a USCIS ELIS file request
  - Know the search criteria to find the IOE number
  - Understand when to staff for ESC or SSC
  - Determine if the Case State is open or closed
  - Where and when to add the correct information to the Staffing and Acknowledgement letters



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# Overview

- Creator checks PCQS for ELIS info, gets IOE number
- Copy “IOE” and number to Topic section of FIPS worksheet
- Self-request or Atty-Rep-Others? Case open or closed?
- Staff to ESC or SSC - no NFTS screen print – insert language in Staffing letter (one exception)



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# Overview

- Also staff for NFTS location – NFTS Screen print
- Compose Ack letter – insert language (exception)
- ESC or SSC scans ELIS data into FIPS
- Processor analyzes and redacts



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# PCQS



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# Check PCQS for ELIS in Every Case No Exceptions



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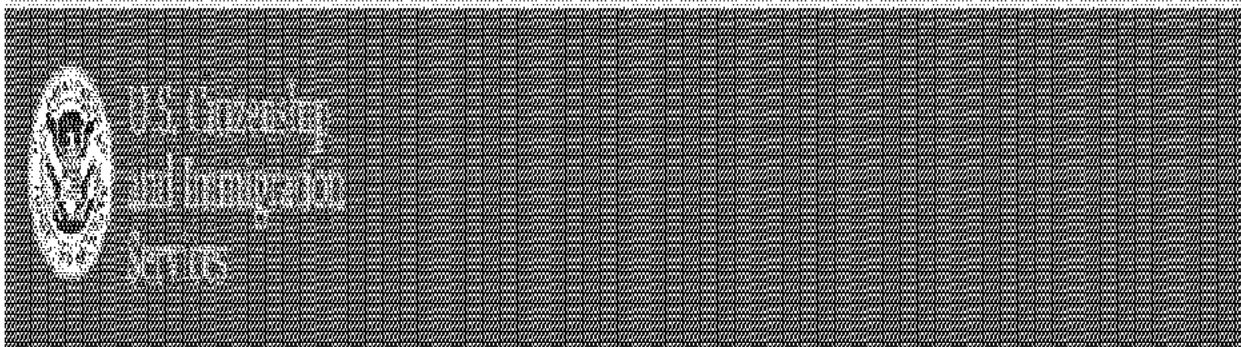
# Four Methods to Access ELIS Data:

1. A Number
2. Name Search
3. USCIS Account ID
4. IOE Number Provided (change “Alien” to IOE and replace A number on ESC or SSC staffing letter)



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# Alien Number Search



## Person Generic Search Selections

Search Criteria:  ☐ Select All

Alien Number:

- |   |  |                                  |                                |
|---|--|----------------------------------|--------------------------------|
| <input type="checkbox"/> ARLE             | <input type="checkbox"/> COPS            | <input type="checkbox"/> ENFORCE | <input type="checkbox"/> I-ITS |
| <input type="checkbox"/> AFS-P Entry/Exit | <input type="checkbox"/> DOS-DOJ         | <input type="checkbox"/> ECR     | <input type="checkbox"/> CPIS  |
| <input type="checkbox"/> CIS              | <input type="checkbox"/> eCISCOR-CE-AN   | <input type="checkbox"/> PD258   |                                |
| <input type="checkbox"/> CLAIMS E MF      | <input type="checkbox"/> eCISCOR-RNACS   | <input type="checkbox"/> IDENT   |                                |
| <input type="checkbox"/> CLAIMS 4         | <input checked="" type="checkbox"/> ELIS | <input type="checkbox"/> MFAS    |                                |

Search

Reset Form

## Person Search Results


ID	ID Type	Last Name	First Name	Date of Birth	Person Found On



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# Click ELIS, then Search

# Alien Number Search



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Person Centered Search Selections

Search Criteria:  ☐ Select All

Alien Number:

- ☐ AIA ☐ CPVE ☐ E-FOICE ☐ NITS
- ☐ ATS-P Entry/Exit ☐ DoS-OCB ☐ EOIR ☐ ICE-VIS
- ☐ CIS ☐ e-CIS008-05-ALN ☐ F0258
- ☐ CLAD/S 3 W/F ☐ e-CIS008-R1AC3 ☐ IDENT
- ☐ CLAD/S 4 ☒ ELIS ☐ WFAS

Search

Reset Form

Person Search Results		Search Selection: Persons			
ID	ID Type	Last Name	First Name	Date of Birth	* Person Found In:
<input type="text" value="(b)(6)"/>	Alien Number	Barbara	Eurava	<input type="text" value="(b)(6)"/>	ELIS

(b)(6)



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Click twice

# Copy IOE Receipt Number

Person Search Results    Search Selection: Persons    View Log    Print Results


IC	IC Type	Last Name	First Name	Date of Birth	Person Found In
----	---------	-----------	------------	---------------	-----------------

<input type="checkbox"/>	Alien Number	Entera	Baran	<input type="checkbox"/>	IOE
--------------------------	--------------	--------	-------	--------------------------	-----

(b)(6)

Aliases Found for Person    Compare Aliases    Compare Images    Print Results

Last Name	First Name	DOB	Source	Role	Activity	Description
-----------	------------	-----	--------	------	----------	-------------

<input type="checkbox"/>				Case	Application I 12	Contains Case
<input type="checkbox"/>	Baran	Entera	<input type="checkbox"/>	Primary Applicant	Application I 13	Subcase

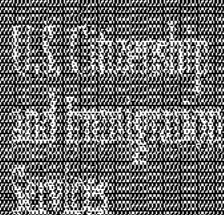
(b)(6)



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## IOE Number

# Name Search



ALL INFORMATION CONTAINED HEREIN IS UNCLASSIFIED

Search Criteria:	Name Search	<input type="checkbox"/> Select All			
Last Name:	Frad	<input type="checkbox"/> AA:1	<input type="checkbox"/> CM:	<input type="checkbox"/> ENFORCE	<input type="checkbox"/> WFE
First Name:	Fic:	<input type="checkbox"/> ATE-P Entry/Exit	<input type="checkbox"/> CDR-CCS	<input type="checkbox"/> ECP	<input type="checkbox"/> E-ELIS
Range:	Exact Date	<input type="checkbox"/> CIE	<input type="checkbox"/> e-CECOR-C3-LAN	<input type="checkbox"/> FDSB	
Date of Birth:		<input type="checkbox"/> CLAIMS 3 WF	<input type="checkbox"/> e-CECOR-RNACS	<input type="checkbox"/> EIBS	
		<input type="checkbox"/> CLAIMS 4	<input checked="" type="checkbox"/> EIS	<input type="checkbox"/> MFAS	

(b)(6)

**Figure 6**

0221 FY-

[illegible]

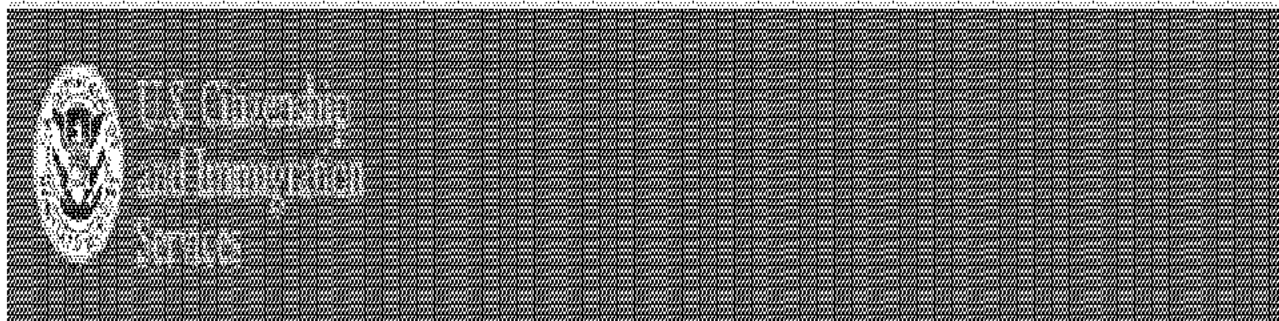
ID	ID Type	Last Name	First Name	Date of Birth	Person Found In



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# Click ELIS, then Search

# Name Search results



## Person Centre Search Selections

Search Criteria: **Name Search** ☐ Select All

Last Name: **Fred** ☐ AR11 ☐ CPMS ☐ ENFORCE ☐ H-1b

First Name: **Fred** ☐ ATS-P Entry/Exit ☐ D-55-OED ☐ D-55-P ☐ SEVIS

Range: **Exact Date** ☐ CIS ☐ 4CISOCR-CE-LAM ☐ PD138

Date of Birth:  ☐ CLAIMS 3 M/F ☐ 4CISOCR-RNACE ☐ MENT

☐ CLAIMS 4 ☒ EUS ☐ MFAB

Print Results (b)(6)

Search Reset Form

## Person Search Results

## Search Selected Persons

ID	ID Type	Last Name	First Name	Date of Birth	* Person Found In:
<input type="checkbox"/>	<input type="text"/> USCIS Account ID	Fred	Fred	<input type="text"/>	EUS

(b)(6)



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Click twice



# Copy IOE Receipt Number

(b)(6)

Person Search Results      Search Selected Persons      View Log      Print Results

ID	ID Type	Last Name	First Name	Date of Birth	Person Found In
	USCIS Account ID	Fred	Fred		US

Activities Found for Person      Compare Activities      Compare Images      Print Results

Last Name	First Name	Born	Source	Role	Activity	Description
Fred	Fred		US	Primary Applicant	Application to M	
			US	Case	Application to M	
Fred	Fred		US	Primary Applicant	Application to M	

(b)(6)




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# IOE Number



# USCIS Account ID Provided



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Person Center Search Selections

Search Criteria: USCIS Account ID ▼

☐ Select A

USCIS Account ID:

☐ ADT ☐ DAE ☐ FDSX ☐ INT3

☐ ABP/ABP/ABP ☐ DS-500 ☐ EAF ☐ SD/IS

☐ CH ☐ USCIS-CI/CI ☐ FLSZ

☐ CAP/CI/CI ☐ USCIS-P/PC ☐ RQNT

☐ CAP/CI ☒ ELIS ☐ EIS

Must be 12 digits



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## Click ELIS, then Search

(b)(6)

# Copy IOE Receipt Number

Person Search Results		Search Selected Persons			View Log		Print Results	
ID	ID Type	Last Name	First Name	Date of Birth	Person Found In			
[Redacted]	PRECIS Account ID	Fred	Fred	[Redacted]	EDS			

Activities Found for Person		Compare Activities		Compare Images		Print Results	
Last Name	First Name	Born	Source	Role	Activity	Description	
Fred	Fred	[Redacted]	IS	Primary Applicant	Application b IO	[Redacted]	
			IS	Case	Application b IO		
Fred	Fred	[Redacted]	IS	Primary Applicant	Application b IO		

(b)(6)



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## IOE Number

# Staff to ESC or SSC?



- If the Alien number is between 30 million and 70 million, staff to SSC (Immigrant Visa case, Form OS-155A)
- Any other Alien number (for now), staff to ESC (Form I-539, Application to Extend or Change Nonimmigrant Status)
- The first ELIS case was for an I-539, the rest (11) have been IV cases.




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# Is the case open or closed?

(b)(6)

Person Search Results		Search Selected Person			View Log	Print Results
ID	ID Type	Last Name	First Name	Date of Birth	Person Found In	
	HSCIS Account ID	Fred	Fred		BLIS	

Activities Found for Person		Compare Activities	Compare Images	Print Results	
Last Name	First Name	Person	Source	Activity	Description
Fred	Fred		US	Primary Applicant	Application # ICE 9876543210
			US	Case	Application # ICE 9876543210
Fred	Fred		US	Primary Applicant	Application # ICE 9876543210

Click on the case...



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“Primary Applicant Summary” is the default screen – Please click on “Case Info”

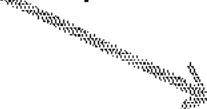
ELIS - OS155A	
Primary Applicant Summary	Case Info
Name	Value
Account ID	7
Last Name	G
First Name	Ken
Middle Name	
Birthdate	10-
Race	
Country of Citizenship	Foreign
Passport Number	
Passport Issuing Country	Foreign
Alien Number	A0
Admission ID	
Social Security Number	NONVA
Receipt Number	10E8



U.S. Citizenship  
and Immigration  
Services

# “ELIS-speak” for an open case

A “Case State” of  
Accepted,  
Optimized or  
Reopened = Open



ELIS - 05155A							
Primary Applicant Summary	Case Info	IV Details	Postal Addresses	History	Case Eligibility	Identity	Names
Name				Value			
Receipt Number				ICE8			
Receipt Date				11			
Account ID				7			
CARRP Indicator							
Immigration Classification				EW3			
Role Code				Primary Applicant			
Case Priority Code				Normal			
Case State				Optimized			
Case Status				In Process			
Case SubStatus				Review Date			
Case Type Code				USCIS Immigrant Fee			
Case Subtype Code							
Case Relationship Active Indicator							
Case Relationship Type Code							



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 and Immigration  
 Services

# Closed means closed

ELIS - OS155A							
Primary Applicant Summary	Case Info	IV Details	Sponsor - 1	History	Case Eligibility	Identity	Names
Name	Value						
Receipt Number	JCE5						
Receipt Date	06						
Account ID	1						
CARRP Indicator							
Immigration Classification	IR5						
Role Code	Primary Applicant						
Case Priority Code	Normal						
Case State	Closed						
Case Status	Card Produced						
Case SubStatus							
Case Type Code	USCIS Immigrant Fee						
Case Subtype Code							
Case Relationship Active Indicator							
Case Relationship Type Code							



U.S. Citizenship  
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# FIPS Worksheet

## Subject Information

First

Middle

Last

Number

Topic

IOE 123456789

Insert  
"IOE" and  
number in  
Topic field as  
shown here

Track 1

Bureau CIS

First To CD

Type Privacy Act Request

Referred From

PA Case

Source

Self

Expected Not Requested

Investigation

Category

Open File

Fee Waiver Not Requested

In Order Sent

Defunct



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Services



# ELIS Staffing Procedure (FIPS)



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Services

# Select ESC or SSC – Just Type “E” or “S”

FIPS V7.0.5.8 - Production	Work Queries	Actions	Standalone Search
Processing	Fee Information		

A-Number **12345678** ☒ EDMS

Staff Request To **Generate Staffing Sheet**

<b>CIS Service Centers</b>	<input type="radio"/> No Staffing Letter
ESC	<input checked="" type="radio"/> Customize Letter
NSC	<input type="checkbox"/> File Missing/Lost
SSC	
WSC	
<b>FOIA Offices</b>	
APP FOIA/PA UNIT	
BUR	

<b>Location Address</b>	<b>Office Contact</b>
	Name <input type="text"/>
	Email <input type="text"/>
	CC Email <input type="text"/>



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# Request File

FIPS v7.0.5.8 - Production

Work Queries

Actions

Standalone Search

Processing

Processing

Fee Information

A-Number

✓

EDMS

Staff Request To

Generate Staffing Sheet

ZNK

ZNY

ZSF

CIS Service Centers

ESC

NSC

SSC

WSC

☐ No Staffing Letter

☒ Customize Letter

☐ File Missing/Lost

Location Address

Office Contact

ESC

75 LOWER WELDEN STREET

ST ALBANS, VT 05479-0001

Name

Via email

Email

F01AFILEREQ.VSC@ice.dhs.gov

CC Email

Request File

Cancel



U.S. Citizenship  
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# Staffing Letter: Self-requests

## Open or Closed

**Self-requesters are able to download  
some of their ELIS content.**



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# What language do you insert into the staffing letter?

- Staffing letter language, (For an open or closed self-request, or an Atty-Rep-Others request only when the case is open:
- Send copies of the on-demand point-in-time snapshot, approval notice and any documents that were scanned and uploaded by an internal user to the FOIA office.



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What if the request is from an  
Attorney/Representative and the case is closed?  
How do you modify the Staffing letter?

Replace the word “Alien” with “IOE” and  
replace the A number with the IOE number:

Don't change the default language:

Send a copy of all responsive documents to  
the FOIA office in their entirety. **Do not  
make redactions.**



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# Staffing Letter: Self-requests

## Open or Closed

**Self-requesters are able to download  
some of their ELIS content.**



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Services

# Top of Staffing Letter (all self-requests)

## MEMORANDUM FOR:

ESC  
75 LOWER WELDEN STREET  
ST ALBANS, VT 05479-0001

Change the word  
"Alien" to "IOE"  
and replace the A  
number with the  
IOE number

ATTN: via email  
VSC FOIAFILEREQ

FROM: NRC FOIA/PA

SUBJECT: Freedom of Information/Privacy Act Request NRC200200000  
~~Alien ID #: 3876343210~~  
Subject Name: Plenty Nonya

Delete the first  
part of the  
second bullet  
(shown in  
strikethrough)  
Replace it with  
the sentence  
(shown in red)

The attached FOIA/PA request is forwarded to your office for action. Due to the subject matter, there is a high probability your office will have records responsive to the request.

- Please conduct a thorough search for all responsive records physically in, and within the functional purview of your office.
- ~~Send a copy of all responsive documents to the FOIA office in their entirety. Send copies of the un-~~  
documented point-in-time snapshot, approval notice and any documents that were scanned and uploaded  
be an internal user to the FOIA office. **DO NOT MAKE REDACTIONS.**
- Bracket any documents or portions thereof that you believe should be withheld. Please include a brief explanation for your action. The FOIA Staff will not release those items so indicated without further discussion with you.
- Contact this office should you expect your search time to exceed three hours or the total number of pages to exceed 250.
- Document the details of your search and the number of hours required to complete it on page 2.



U.S. Citizenship  
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## Part 2 – Bottom of Staffing Letter (all cases)

Freedom of Information/Privacy Act Review: NACM 0000000000

Figure 1. Schematic representation of the experimental design. The subjects were divided into two groups: a control group and an experimental group. The control group received a standard diet, while the experimental group received a diet supplemented with 10% of the total energy from fat. The subjects were then divided into two subgroups: a control subgroup and an experimental subgroup. The control subgroup received a standard diet, while the experimental subgroup received a diet supplemented with 10% of the total energy from fat. The subjects were then divided into two subgroups: a control subgroup and an experimental subgroup. The control subgroup received a standard diet, while the experimental subgroup received a diet supplemented with 10% of the total energy from fat.

Subject Name:

To: FOIA/PA Officer

From: 394

Date: \_\_\_\_\_

Change the word  
"Alien" to "IOE,"  
and replace the A  
number with the  
IOE number

No responsive comments were deemed relevant to this request.

Attached are all responsive documents/information in response to this request.

Attached is additional information to be used to reply to the request.

Attached is our justification for withholding any responsive material.

Hours of clerical search time expended to search for responsive material:

Hours of nonliteral search time were expended to search for responsive material.



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# Acknowledgement Letter: Self-requesters – Open or Closed



U.S. Citizenship  
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Services

# Ack Letter for Self-requesters: Open or Closed

Your request is being handled under the provisions of the Freedom of Information Act (5 U.S.C. § 552). It has been assigned the following control number NRC2002060000. Please cite this number in all future correspondence about your request.

We respond to requests on a first-in, first-out basis and on a multi-track system. Your request has been placed in the complex track (Track 2). You may wish to narrow your request to a specific document in order to be eligible for the faster track. To do so, please send a written request, identifying the specific document sought, to the address above. We will notify you if your request is placed in the simple track.

In accordance with Department of Homeland Security Regulations (6 C.F.R. § 5.3(c)), your request is deemed to constitute an agreement to pay any fees that may be chargeable up to \$25.00. Fees may be charged for searching for records sought at the respective clerical, professional, and/or managerial rates of \$4.00/\$7.00/\$10.25 per quarter hour, and for duplication of copies at the rate of \$.10 per copy. The first 100 copies and two hours of search time are not charged, and the remaining combined charges for search and duplication must exceed \$14.00 before we will charge you any fees. Most requests do not require any fees; however, if fees in excess of \$25.00 are required, we will notify you before hand.

From the USCIS Electronic Immigration System (ELIS) you may download

(1) the case intake snapshot, documents uploaded in response to a Request for Evidence and correspondences (Q-23 Representation or Withdrawal request) from the View My Cases screen, and

(2) notices, if any, from the View Messages screen.

NOTE: Since you can download the USCIS ELIS content above, we will not be providing this material in our response to you. However, if you are unable to access USCIS ELIS, please follow the instruction below to request your USCIS ELIS content.

Please insert (cut and paste) this language below the fees paragraph – tells the requester what he or she can download



U.S. Citizenship  
and Immigration  
Services

No  
change  
to  
second  
page

USCIS no longer collects Social Security Numbers in connection with FOIA or PA requests. When forwarding to us any documents related to your request, please ensure any Social Security Numbers on the documents are blanked out or removed.

The National Records Center (NRC) has the responsibility to ensure that personally identifiable information (PII) pertaining to U.S. Citizenship and Immigration Services (USCIS) clients is protected. In our efforts to safeguard this information, we may request that additional information be provided to facilitate and correctly identify records responsive to your request. Though submission of this information is voluntary, without this information, your request may be delayed while additional steps are taken to ensure the correct responsive records are located and processed. Further, if we are unable to positively identify the subject of the record we may be unable to provide records responsive to your FOIA request.

You may check the status of your FOIA request online, at [www.uscis.gov](http://www.uscis.gov). Click on "FOIA Request Status Check" located on the left side of the web page under "Other Services", and follow the instructions. If you have any questions concerning your pending FOIA/PA request, or to check the status of a pending application or petition, please call The National Customer Service Center at 1-800-375-5283. Please be aware that the National Records Center no longer accepts FOIA/PA related questions directly by phone.

All FOIA/PA related requests, including address changes, must be submitted in writing and be signed by the requester. Please include the control number listed above on all correspondence with this office. Requests may be mailed to the FOIA/PA Officer at the PO Box listed at the top of the letterhead, or sent by fax to (816) 350-5785. You may also submit FOIA/PA related requests to our e-mail address at [uscis.foia@uscis.dhs.gov](mailto:uscis.foia@uscis.dhs.gov).

Sincerely,



Jill A. Eggleston  
Director, FOIA Operations



U.S. Citizenship  
and Immigration  
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# Staffing Letter: Atty-Rep-Others Requests

Open Cases only

(same as all Self-requester cases)



U.S. Citizenship  
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Services

# Top of Staffing Letter: Atty-Rep-Others (Open)

## MEMORANDUM FOR:

ESC  
75 LOWER WELDEN STREET  
ST ALBANS, VT 05479-0001

Change the word  
"Alien" to "IOE"  
and replace the A  
number with the  
IOE number

ATTN: via email  
VSC FOIAFILEREQ

FROM: NRC FOIA/PA

SUBJECT: Freedom of Information/Privacy Act Request NRC2000200000  
~~Alien ID #: 0076543210~~  
Subject Name: Plenty Nonya

Delete the first  
part of the  
second bullet  
(shown in  
strikethrough)  
Replace it with  
the sentence  
(shown in red)

The attached FOIA/PA request is forwarded to your office for action. Due to the subject matter, there is a high probability your office will have records responsive to the request.

- Please conduct a thorough search for all responsive records physically in, and within the functional purview of your office.
- ~~Send a copy of all responsive documents to the FOIA office in their entirety. Send copies of the un-~~  
~~documented point-in-time snapshot, approval notice and any documents that were scanned and uploaded~~  
be an internal user to the FOIA office. **DO NOT MAKE REDACTIONS.**
- Bracket any documents or portions thereof that you believe should be withheld. Please include a brief explanation for your action. The FOIA Staff will not release those items so indicated without further discussion with you.
- Contact this office should you expect your search time to exceed three hours or the total number of pages to exceed 250.
- Document the details of your search and the number of hours required to complete it on page 2.



U.S. Citizenship  
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Services

## Part 2 – Bottom of Staffing Letter (all cases)

Journal of Information Systems Auditing Research, WILEY, 2003, 13(4), 331-346

[illegible]

Subject Name:

To: FOIA Officer

From: 394

Date: \_\_\_\_\_

Change the word  
"Alien" to "IOE,"  
and replace the A  
number with the  
IOE number

No responsive documents were located relevant to this request.

Attached are all responsive documents/information in response to this request.

Attached is additional information to be used to reply to the request.

Attached is our justification for withholding any responsive material.

Hours of clerical search time expended to search for responsive material:

Hours of nonclerical search time were expended to search for responsive material.



U.S. Citizenship  
and Immigration  
Services

Ack Letter:  
Attorney/Representative/Others  
Requests

Open Case only



U.S. Citizenship  
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# Ack Letter for Atty-Rep-Others: Open Only

Your request is being handled under the provisions of the Freedom of Information Act (5 U.S.C. § 552). It has been assigned the following control number NRC2002060000. Please cite this number in all future correspondence about your request.

We respond to requests on a first-in, first-out basis and on a multi-track system. Your request has been placed in the complex track (Track 2). You may wish to narrow your request to a specific document in order to be eligible for the faster track. To do so, please send a written request, identifying the specific document sought, to the address above. We will notify you if your request is placed in the simple track.

In accordance with Department of Homeland Security Regulations (6 C.F.R. § 5.3(c)), your request is deemed to constitute an agreement to pay any fees that may be chargeable up to \$25.00. Fees may be charged for searching for records sought at the respective clerical, professional, and/or managerial rates of \$4.00/\$7.00/\$10.25 per quarter hour, and for duplication of copies at the rate of \$.10 per copy. The first 100 copies and two hours of search time are not charged, and the remaining combined charges for search and duplication must exceed \$14.00 before we will charge you any fees. Most requests do not require any fees; however, if fees in excess of \$25.00 are required, we will notify you before hand.

From the USCIS Electronic Immigration System (ELIS) you may download

(1) the case intake snapshot, documents uploaded in response to a Request for Evidence and correspondences (Q-23 Representation or Withdrawal request) from the View My Cases screen; and

(2) notices, if any, from the View Messages screen.

NOTE: Since you can download the USCIS ELIS content above, we will not be providing this material in our response to you. However, if you are unable to access USCIS ELIS, please follow the instruction below to request your USCIS ELIS content.

Please insert (cut and paste) this language below the fees paragraph – tells the requester what he or she can download



U.S. Citizenship  
and Immigration  
Services

No  
change  
to  
second  
page

USCIS no longer collects Social Security Numbers in connection with FOIA or PA requests. When forwarding to us any documents related to your request, please ensure any Social Security Numbers on the documents are blanked out or removed.

The National Records Center (NRC) has the responsibility to ensure that personally identifiable information (PII) pertaining to U.S. Citizenship and Immigration Services (USCIS) clients is protected. In our efforts to safeguard this information, we may request that additional information be provided to facilitate and correctly identify records responsive to your request. Though submission of this information is voluntary, without this information, your request may be delayed while additional steps are taken to ensure the correct responsive records are located and processed. Further, if we are unable to positively identify the subject of the record we may be unable to provide records responsive to your FOIA request.

You may check the status of your FOIA request online, at [www.uscis.gov](http://www.uscis.gov). Click on "FOIA Request Status Check" located on the left side of the web page under "Other Services", and follow the instructions. If you have any questions concerning your pending FOIA/PA request, or to check the status of a pending application or petition, please call The National Customer Service Center at 1-800-375-5283. Please be aware that the National Records Center no longer accepts FOIA/PA related questions directly by phone.

All FOIA/PA related requests, including address changes, must be submitted in writing and be signed by the requester. Please include the control number listed above on all correspondence with this office. Requests may be mailed to the FOIA/PA Officer at the PO Box listed at the top of the letterhead, or sent by fax to (816) 350-5785. You may also submit FOIA/PA related requests to our e-mail address at [uscis.foia@uscis.dhs.gov](mailto:uscis.foia@uscis.dhs.gov).

Sincerely,



Jill A. Eggleston  
Director, FOIA Operations



U.S. Citizenship  
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# Staffing Letter: Attorney/Representative Requests

## Closed Case (exception)



U.S. Citizenship  
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# Staffing Letter: Closed case Atty-Rep-Others

MEMORANDUM FOR:

ESC

75 LOWER WELDEN STREET

ST ALBANS, VT 05479-0001

ATTN: via email

VSC.FOIAFILEREQ

Replace the  
word "Alien"  
with "IOE"  
and replace  
the A number  
with the IOE  
number

FROM: NRC FOIA/PA

SUBJECT: Freedom of Information/Privacy Act Request NRC200200000

→ Alien IOE #: 9876341210

Subject Name: Plenty Nonya

The attached FOIA/PA request is forwarded to your office for action. Due to the subject matter, there is a high probability your office will have records responsive to the request.

- Please conduct a thorough search for all responsive records physically in, and within the functional purview of your office.
- Send a copy of all responsive documents to the FOIA office in their entirety. **DO NOT MAKE REDACTIONS.**
- Bracket any documents or portions thereof that you believe should be withheld. Please include a brief explanation for your action. The FOIA Staff will not release those items so indicated without further discussion with you.
- Contact this office should you expect your search time to exceed three hours or the total number of pages to exceed 250.
- Document the details of your search and the number of hours required to complete it on page 2.



U.S. Citizenship  
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# Second Page of Staffing Letter (Atty-Rep-Others)

Freedom of Information Privacy Act Request, NP02013XXXXXX

IOE # XXXXXXXX

Subject Name:

Change the word  
"Alien" to "IOE,"  
and replace the A  
number with the  
IOE number

To: FOIA/PA Officer

From: ESC

Date: \_\_\_\_\_

(same in all cases)

\_\_\_ No responsive documents were located relevant to this request.

\_\_\_ Attached are all responsive documents/information located in response to this request.

\_\_\_ Attached is additional information to be used to reply to the requester.

\_\_\_ Attached is our justification for withholding any responsive material.

\_\_\_ Hours of clerical search time expended to search for responsive material.

\_\_\_ Hours of analytical search time were expended to search for responsive material.



U.S. Citizenship  
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Ack Letter:  
Attorney/Representative/Others  
Requests

Closed cases only

**There are no changes to the Ack letter!**



U.S. Citizenship  
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# ELIS Staffing / Ack Letter Decision Table

Requester/Case Status?	Staffing Letter	Acknowledgment Letter
Self-Request: Open (Accepted, Optimized or Reopened)	Add IOE number and insert – “Send a copy of the on-demand...”	Insert the language that begins, “From the USCIS Electronic Immigration System (ELIS)...”
Self-Request: Closed	Add IOE number and insert – “Send a copy of the on-demand...”	Insert the language that begins, “From the USCIS Electronic Immigration System (ELIS)...”
Third Party (including Atty/Rep/Others) – <u>Open</u>	Add IOE number and insert – “Send a copy of the on-demand...”	Insert the language that begins, “From the USCIS Electronic Immigration System (ELIS)...”
Third Party (including Atty/Rep/Others) – <u>Closed</u>	Add IOE number only	No change to Acknowledgement Letter



U.S. Citizenship  
and Immigration  
Services

# Next Steps

ESC or SSC Scans ELIS result into  
FIPS

Processor analyzes and redacts, if  
necessary



U.S. Citizenship  
and Immigration  
Services



# NRC Search – PCQS Result for ELIS Record

## Details for Person

(b)(6)

Primary Applicant Summary	
Account ID	[REDACTED]
Last Name	Cleaker
First Name	Harold
Middle Name	
Birthdate	[REDACTED]
Passport Number	[REDACTED]
Passport Issuing Country	[REDACTED]
Citizenship Certificate Number	
Alien Number	
Admission ID	[REDACTED]
Social Security Number	[REDACTED]
Receipt Number	[REDACTED]
Enumerator	
US Passport Number	

Case Details	
Receipt Number	[REDACTED]
Receipt Date	01-29-2012
Account ID	[REDACTED]
CARRP Indicator	
Immigration Classification	
Role Code	Primary Applicant
Case Priority Code	Normal
Case Scale	Optimized
Case Status	In Process
Case Sub Status	Review Abandonment
Case Type Code	[REDACTED]
Case Subtype Code	COS - Applicant Only
Case Relationship Active Indicator	
Case Relationship Type Code	(b)(6)

Postal Addresses							
Address	Suite	City	State	Province	Zip Code	Postal Code	Country
[REDACTED]							USA



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# NRC Search – PCQS Result for ELIS Record (cont)

History			
Case State	Case Status	Case SubStatus	Audit Timestamp
Optimized	In Process	Review Abandonment	03-02-2012 10:00:26 AM
Optimized	Pending	RFE Response	02-28-2012 04:00:45 PM
Optimized	Pending	RFE Response	01-29-2012 04:41:29 PM
Optimized	In Process	Assigned	01-29-2012 04:39:32 PM
Optimized	In Process	Unassigned	01-29-2012 04:35:33 PM
Accepted	In Process	Conducting Risk Assessments	01-29-2012 04:33:35 PM
Accepted	In Process	Conducting Security/Sys Checks	01-29-2012 03:00:51 PM
Accepted	In Process		01-29-2012 02:59:33 PM
Draft	E-Signed By Representative	Pending Customer Signature	01-29-2012 02:58:45 PM
Draft	In Progress		01-29-2012 02:58:16 PM

Case Eligibility		
Attribute Name	Attribute Domain	Attribute Value
Alien Number Available Indicator	Case Eligibility Information	false
Arriva Departure Record Possession Indicator	Case Eligibility Information	true
Current Immigration Classification Code	Case Eligibility Information	<input type="checkbox"/>
Photo Identity Exists Indicator	Case Eligibility Information	true
Principal Alien Status Dependency Indicator	Case Eligibility Information	false
Requested Immigration Classification Code	Case Eligibility Information	<input type="checkbox"/>

(b)(6)

(b)(6)

Identity											
Identification Type	Number	Issuing Authority	Issuing Country	Issued Date	Expiration Date	Issuing State	Issuing Province	Source Type	Source Reference	Other Explanation	Other Text
USCIS ACCOUNT ID	<input type="checkbox"/>							IOE			
Arriva Departure Record Number			USA	07-19-2012				ELIS			Not Validated
Passport			BRA	09-08-2014				ELIS			Not Validated
Social Security Number			USA					External			Not Validated
Social Security Number			USA					External			Not Validated

Names			
Source	Type	Last Name	First Name
ELIS	Legal Name	CROAKER	HAROLD
External	Other	CROAKER	HAROLD



U.S. Citizenship  
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# What's next for ELIS?

- Fall timeframe – Form I-90 (Application to Replace Alien Registration Card)
- Self-requesters and Attorneys will be able to access less information from ELIS than they can now
- This is tentative and subject to change!



U.S. Citizenship  
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Services

# Quiz

1. What is the A number range that you staff the request to SSC? Why?
2. What 3 “Case States” tell you that a case is open?
3. How many “Case States” tell you the case is closed? What are they?
4. What is the “exception,” and what do you do differently with the case?

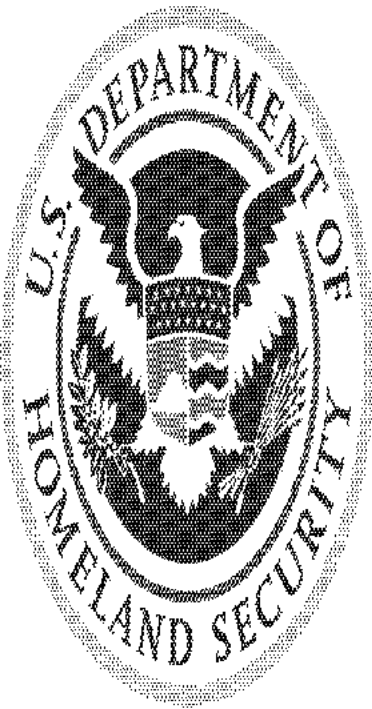


U.S. Citizenship  
and Immigration  
Services

# Questions?



U.S. Citizenship  
and Immigration  
Services



# U.S. Citizenship and Immigration Services



U.S. Citizenship  
and Immigration  
Services

# **FOIA INFORMATION BULLETIN**

O: FOIA/FOIA LIBRARY/FOIA INFORMATION BULLETIN

February 5, 2010

The **FOIA Information Bulletin** is a publication issued weekly by the FOIA Program Office as a communication tool regarding current information of use and interest to USCIS FOIA personnel. The intent of the bulletin is to improve consistency and timeliness of information. **See your supervisor if you have any questions about bulletin topics.**

## **PROCESSING THE IBIS RESOLUTION MEMORANDUM**

You will often find this document in the file following a Record of IBIS Inquiry (ROIQ) printout. Whoever signs this document (see below) is acting in a law enforcement capacity. Please fully withhold this document (b)(2) if applicable, (b)(7)(C) and (b)(7)(E), if processing under the FOIA. Fully withhold (k)(2), (b)(7)(C) and (b)(7)(E) if processing as a PA.

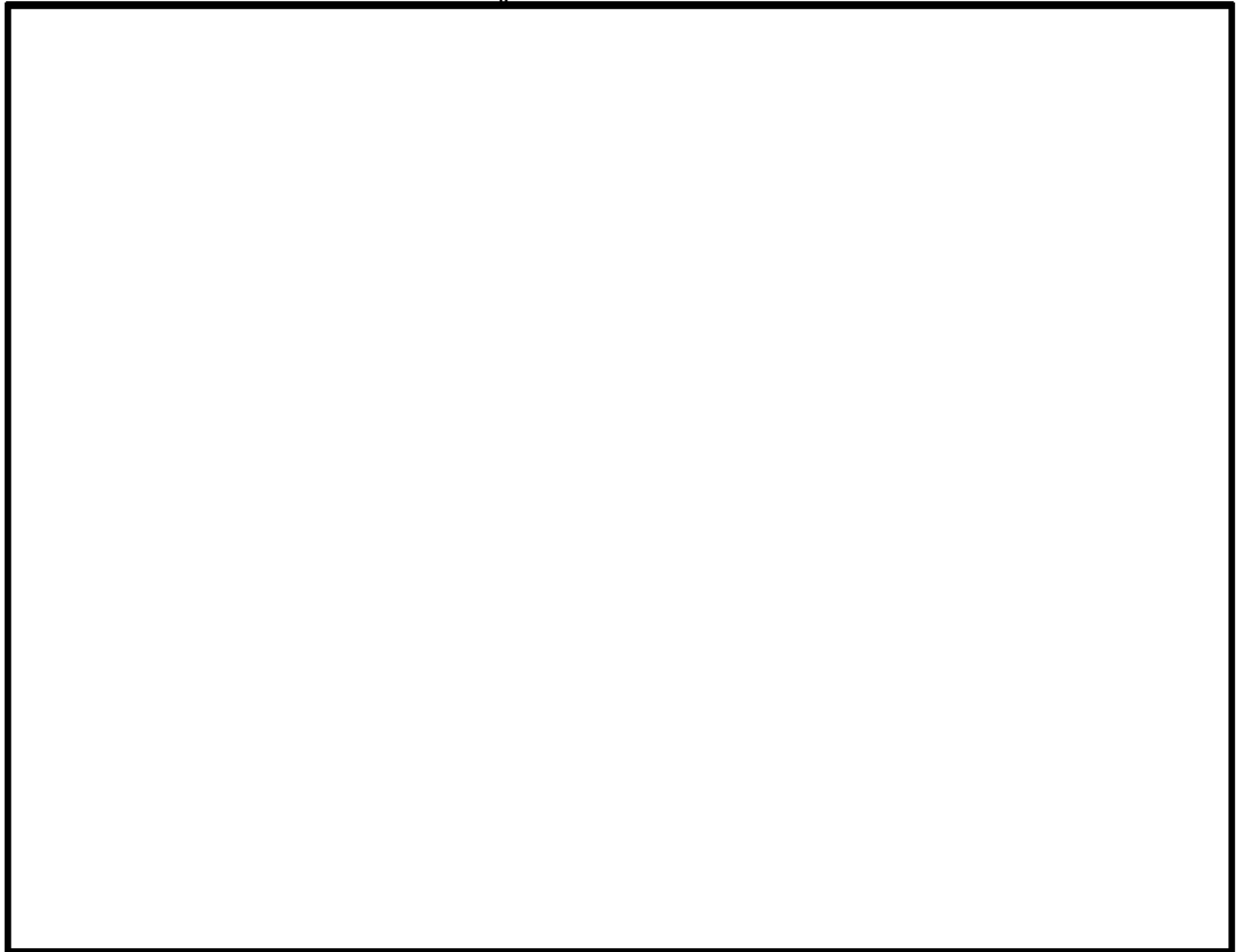
U.S. Department of Homeland Security  
P.O. Box 82841  
Lincoln, NE 68501-4521



U.S. Citizenship  
and Immigration  
Services

February 17, 2008

**IBIS RESOLUTION MEMORANDUM**



- The *USCIS FOIA Processing Guide* will be updated to reflect this change.



## **SUBPOENAS/COURT ORDERS**

If you pull a new request that is a subpoena or court order, please close it as an ER (see exception below). Send a message to the NRC, FOIA PROGRAM mailbox providing the REQ number and information indicating the request was a subpoena or court order.

These requests are currently being addressed by the NRC Program Office. Any subpoena or court order a creator encounters should be given high priority. NRC, FOIA PROGRAM should be advised as soon as possible, or contact your supervisor for guidance on how to proceed.

EXCEPTION! At times USCIS Chief Counsel directs us to process a subpoena or court order as a normal FOIA/PA request. If that happens, we will attach a "Scan as New" sheet and scan the e-mail from counsel into request supporting documents or case supporting documents. Please review all supporting documents before you close as ER.

- The *USCIS FOIA Case Create Guide* will be updated to reflect this change.

## **FRAUD REFERRAL SHEET**

(b)(7)(e)



(b)(7)(e)

For Official Use Only

U.S. Department of Homeland Security



U.S. Citizenship  
and Immigration  
Services

### Fraud Referral Sheet

A large, empty rectangular box with a black border, intended for the entry of information on the Fraud Referral Sheet.

## **REFERENCE REQUEST SHEET FOR ARCIS OUT OF SCOPE**

Please out of scope the ARCIS Reference Request Sheet if you see it in responsive records (example follows). It is not part of the alien's file.

- The *USCIS FOIA Processing Guide* will be updated to reflect this change.

OUT OF SCOPE

Reference Request Sheet

ARCIS

Archive and Records Center  
Information System

Reference Request #: ARRT-21000003



Assigned To :

Batch #: ARCIS 1220

Ship To :

Request Category : Transfer

LEE'S SUMMIT, MO, 64004

Transfer #: K055-60A0503-CHI

Container #: 16

Shipping Method : USPS

Asset #: AACI-18741235

Shipping Acc #: N/A

Asset Location : KLS-01-0K-635-2-005-07-004

Nature of Service : Permanent Withdrawal

CaseFile Information : 07 013 103

Service Level : Standard

Source : Portal

Email :

Whole Container : N Public Request : N

Creation Date : 12/23/2009

Agency Comments :

SE0812

Charge Code : 00

Requested By :

U.S. Citizenship and Immigration Service

12/23/2009 1:30:25 AM



ARRT-21000003

ARCIS 1220

Transfer #: K055-60A0503-CHI

Asset #: AACI-18741235

CaseFile Info : 07 013 103

Transfer

Standard

To :

KLS-01-0K-635-2-005-07-004

Permanent Withdrawal

N/A

12/23/2009

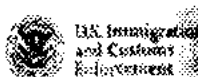
Box #: 16

Whole Container : N

CC : 00

**PROCESSING STUDENT AND EXCHANGE VISITOR  
INFORMATION SYSTEM (SEVIS) DOCUMENTS**

Do not refer SEVIS documents (see example below) to ICE. Please process them accordingly.



U.S. Immigration  
and Customs  
Enforcement



Student & Exchange Visitor  
Information System

**SEVIS**

Main | Schools | Students | Programs | Exchange Visitors | Reports | Help | Tutorial | Logout  
Message Board | Change Password

DESSC  
Get Adobe Reader

View:  
School History  
SEVIS History  
Form I-20

Request a New Student  
Status

## Student Information

Return to Search Results

### Personal Information

SEVIS ID: **N0005581711**  
FRT ID: **1078975221**

Family Name:  
First Name:  
Country of Birth:  
State or Birth:  
Country of Citizenship:  
Gender:  
Foreign Address:

U.S. Address:  
State:

Driver's License Number:  
Driver's License Starting  
State:  
Individual Taxpayer ID  
Number:

### Program Information

Status: **DEACTIVATED**

Termination Reason:

Visa Type:

School Status: **APPROVED**

School Name:

School Code:

Foreign Office:

I-20 Issue Reason: **INITIAL**

Educational Level: **LANGUAGE TRAINING**

Major: **22.0161 - English**

Language and Literature, General

Secondary Major: **00.0000 - None**

Minor: **00.0000 - None**

Program Start Date: **08/08/2008**

Program End Date: **08/08/2009**

Normal Length of Study: **12**

Current Session End Date:

Next Session Start Date:

School Requires English Proficiency:

Student Has English Proficiency:

English is Not Required English is the course of

Study:

Remarks:

### Financial Information

Number of Months: **10**

Tuition Fees: **\$4,310.00**

Living Expenses: **\$7,330.00**

Dependent Expenses:

Other Costs:

User Case Comments:

Total Expenses: **\$11,660.00**

Student's Personal Funds: **\$11,660.00**

Funds From The School:

Fund Type:

Funds From Other Sources:

Source Type:

On-Campus Employment:

Total Funding: **\$11,660.00**

### Travel Information

Passport Number:

Visa Number:

Visa Issue Date: **08/15/2008**

Visa Issue Post: **DUSHANBE ( DUB )**

Port of Entry: **NEW YORK, NY ( NYC )**

Date of Entry:

I-94/Admission Number:

Port of Departure:

Date of Departure:

### I-901 SEVIS Fee Payment Information

Transaction Type: **Payment**

Transaction Date: **07/23/2008**

Transaction Amount: **\$100.00**

- The *USCIS FOIA Processing Guide* will be updated to reflect this change.

## **SUPPORTING DOCUMENTS OR EXHIBITS SUBMITTED WITH I-129F OR I-130**

If you are processing an I-129F or I-130 petition (whether it's in an A-file or a receipt file)

- *with* the consent of the beneficiary,
- but *without* the consent of the petitioner,
- then protect the PII of the petitioner in any attached exhibits the same as you would protect the PII of the petitioner in the left-hand column of the I-129F or I-130, (such as withholding in full the petitioner's Resident Alien Card, or partially withholding the petitioner's W-2's),
- *unless* the FOIA requester is the same attorney as the attorney who filed the petition AND there is a G-28 within the file signed by the petitioner showing representation by that attorney. In such a case, release the PII of the petitioner to the attorney.

Note: Documents filed with the court, or that have been served on the subject or their attorney/representative do not fall under this rule.

This will replace the paragraph entitled **EXHIBITS SUBMITTED WITH PETITIONS OR APPLICATIONS CONTAINING PII** in the USCIS FOIA Processing Guide.

- The *USCIS FOIA Processing Guide* will be updated to reflect this change.

## **FINGERPRINT CARD REMINDER**

Please do not treat the fingerprint card as an ICE document. Evaluate whether or not the individual taking the prints is a member of law enforcement. If the individual is a member of law enforcement, and the case is processed as a FOIA, please redact the name (b)(7)(C), and (k)(2), (b)(7)(C) in a PA case.

<b>TITLE/SUBJECT TYPE</b>	<b>TYPE OF INFORMATION</b>	<b>FOIA EXEMPTION</b>	<b>PA EXEMPTION</b>
Fingerprint Card	Name of individual taking prints (if law enforcement)	(b)(7)(C)	(k)(2) and (b)(7)(C)

- The *USCIS FOIA Processing Guide* will be updated to reflect this change.

### **FEE WAIVER REQUEST CLARIFICATION**

Please ensure that the requester specifically asks for a fee waiver request before checking the fee waiver box. Merely having a DOJ fee waiver form included in the package is not sufficient.

- The *USCIS FOIA Case Create Guide* will be updated to reflect this change.



# FOIA INFORMATION BULLETIN

O: FOIA/FOIA LIBRARY/FOIA INFORMATION BULLETIN

February 12, 2010

The **FOIA Information Bulletin** is a publication issued weekly by the FOIA Program Office as a communication tool regarding current information of use and interest to USCIS FOIA personnel. The intent of the bulletin is to improve consistency and timeliness of information. **See your supervisor if you have any questions about bulletin topics.**

## **CHANGE TO EXEMPTION (b)(2)**

Since the National Records Center no longer redacts records under the “low” portion of Exemption (b)(2), the exemption has been revised to read:

“Exemption (b)(2) as applied by USCIS protects predominantly internal rules, procedures and guidelines, the disclosure of which would present reasonably foreseeable harm to an interest of the United States, such as a significant risk of circumvention of statutes or agency regulations. The types of documents and/or information we have withheld under this exemption may consist of operating rules, guidelines and techniques for identifying law-violators, internal agency security techniques, law enforcement training procedures, or guidelines and manuals of procedures for examiners and adjudicating officers.”

This change is effective immediately. If you use auto text, please replace the (b)(2) exemption to reflect the change.

The new exemption can be found at either O:\Foia\FOIA LIBRARY\Case Processing References\Case Processing References\Exemption Phrases or O:\Foia\FOIA LIBRARY\Case Processing References\Case Processing Template Letters\FOIA Final Action.

- The *USCIS FOIA Processing Guide* will be updated to reflect this change.

## **PROCESSING US PASSPORTS**

Effective immediately, we no longer refer US passports to the Department of State. Please process US passports accordingly.

- The *USCIS FOIA Processing Guide* will be updated to reflect this change.

## **REFERRING DOCUMENTS BELONGING TO NVC**

Although the letter head on the document below reads United States Department of State, this document was issued by the National Visa Center, and should be referred to them for processing. The NVC's address appears immediately below the State Department address. All other documents with the NVC's address will continue to be referred to the Department of State.

Please don't forget to change the term "another government agency" to the National Visa Center in the Final Action letter. A sample of a referral letter, the referral list dropdown box, and a paragraph from the Final Action Letter are found below.

Referred to: National Visa Center



United States Department of State  
Portsmouth Consular Center

*National Visa Center  
32 Rochester Avenue  
Portsmouth, NH 03801-2909*

March 18, 20

TO: United States Citizenship and Immigration Services  
Vermont Service Center

FROM: National Visa Center - Fraud Prevention Unit

SUBJECT: Return of Petition for Revocation

The National Visa Center (NVC) received the attached petition for review and possible revocation. It appears that the beneficiary is not eligible for the benefit sought.

The petitioner and the beneficiary are married.

Accordingly, the case is being returned to your office with the recommendation that the petition be revoked.

If you need to return this case to a U.S. Embassy/Consulate, please route the file back to the NVC where the case will be tracked and routed back to post. Please forward the case to the attention of the Fraud Prevention Unit at:

**National Visa Center  
32 Rochester Ave.  
Portsmouth, NH 03801**



U.S. Citizenship  
and Immigration  
Services

MEMORANDUM FOR:

National Visa Center  
Kyla Kelly  
Congressional Liaison  
Attn: Congressional Unit  
31 Rochester Avenue, Suite 100  
Portsmouth, NH 03801-2914

FROM: T. Diane Cejka  
Director

Subject: FOIA/PA Referral/Consultation  
FOIA/PA Control #:

- ☒ 1. Documents originated by your agency are being referred to you for review and **direct response** to the requester.
- ☒ There are 1 UNCLASSIFIED documents consisting of a total of 1 page.
- ☐ 2. Documents originated by Immigration that contain information furnished by your agency are being referred to you **for consultation**. Please review your information that has been outlined.
- ☒ We have no objection to the release of Immigration information; therefore please respond directly to the requester with your determination and provide us a copy of your response.
- ☒ 3. We have advised the requester of this referral to your agency.
- ☐ 4. We have not advised the requester of this referral to your agency.

X 5. A copy of the request is enclosed for your convenience.

   6. Please see the attached page(s) for additional information.

The screenshot shows a web form titled "Referral for APP2009". The form contains the following elements:

- A header bar with the text "Referral for APP2009" and a redacted box.
- A prompt: "Please select the government agency to which you would like to refer this selection".
- A dropdown menu showing "NVC: National Visa Center".
- A section titled "Response" with two radio button options:
  - ☒ Directly to Requester
  - ☐ Back to DHS FOIA
- A section titled "Notification" with two radio button options:
  - ☒ Name of Government Agency Released
  - ☐ Name of Government Agency Withheld
- At the bottom, two buttons: "OK" and "Cancel".

We have completed the review of all documents and identified 157 pages which are responsive to your request. Enclosed are 128 pages released in their entirety, and 23 pages released in part. We are withholding 5 pages in full. In our review of these pages we have determined that they contain no reasonable segregable portion(s) of non-exempt information. We have referred 1 page to the National Visa Center for their direct response to you. We have reviewed and determined to release all information except those portions that are exempt pursuant to 5 U.S.C. § 552 (b)(2), (b)(5), (b)(6), (b)(7)(C) and (b)(7)(E) of the FOIA.

- The *USCIS FOIA Processing Guide* will be updated to reflect this change.

# FOIA INFORMATION BULLETIN

O: FOIA/FOIA LIBRARY/FOIA INFORMATION BULLETIN

July 9, 2010

The **FOIA Information Bulletin** is a publication issued weekly by the FOIA Program Office as a communication tool regarding current information of use and interest to USCIS FOIA personnel. The intent of the bulletin is to improve consistency and timeliness of information. **See your supervisor if you have any questions about bulletin topics.**

## **WHAT IS A NATIONAL ARCHIVES AND RECORDS ADMINISTRATION (NARA) REQUEST?**

The National Archives and Records Administration has designated alien files as permanent records for the Federal Government, ensuring their retention indefinitely. As with all permanent records of the Federal Government, ownership and physical custody of the record is transferred to NARA at a designated point and NARA becomes the custodian of the record. Once the record is transferred to NARA, anyone who wants documents out of the file will have to file his or her FOIA request directly with NARA. The “magic date” for alien files to be turned over to NARA is when the subject of the file passes 100 years of age. The NRC has begun the process of transferring the targeted files into the custody of NARA.

As a result, case creators need to pay close attention to those cases in which the subject of the file was born before 1909, particularly if the request does not meet the criteria for a genealogy case. The complete list of criteria can be found in the section entitled ***Genealogy Program*** in the FOIA/PA Assistant’s Guide.

For example, the requester writes in and makes the following request:

“I want the records of Joe Crab, date of birth, March 22, 1899. Mr. Crab naturalized in 1957 and died in 1969. Enclosed is proof of his death and alien number.”

Mr. Crab meets one prong of the criteria for genealogy because he was born long ago; however, since he was naturalized in 1957, he does not meet the prong of having no documents in his file dated after 1951. If you are creating a case and the subject of the request is 100 years of age or older, **but** the person DOES NOT fully meet the criteria for a genealogy case, please pay special attention to NFTS. If NFTS shows that the a-number has been retired to NARA, it means we have turned the records over to NARA permanently. The requester will have to send a request to NARA. Please select FINAL ACTION OPTIONS when creating the Acknowledgement Letter, select NA and replace the normal Acknowledgement Letter with the NARA Historical Record Letter located at O:\Foia\FOIA\_LIBRARY\Case\_Create\_References\Case\_Create\_Template\_Letters\Historical Record Letter.

If NFTS still shows a shelf location within NRC (or any other office), staff for the file accordingly.

- The *USCIS FOIA/PA Processing Guide* will be updated to reflect this change.

### **PROCESSING THIRD PARTY DOCUMENTS BASED ON G-28 IN THE FILE**

A petition submitted for a benefit, if submitted by an attorney, will often be accompanied by a Form G-28 for each party. The G-28 is valid only while the benefit requested is being adjudicated and does not carry over to other actions. As a result, when processing a subsequent FOIA request from the beneficiary, we cannot rely on the previously submitted G-28 in order to release personal information pertaining to the petitioner. Unless the FOIA request contains consent of both parties, the processor must withhold sensitive or personally identifiable third party information.

For example, an attorney files an I-130 with the agency. He represents both the petitioner and the beneficiary in the filing and submits G-28's for both parties with the I-130. He files a FOIA request 12 months later, but includes with his FOIA request consent from the beneficiary only. You cannot release the information of the petitioner to the attorney, even though the petitioner's information was originally submitted by the same attorney.

### **THIRD PARTY DOCUMENTS BELONGING TO ANOTHER AGENCY**

Please out of scope any third party documents that belong to another agency. This policy also applies to other agency's documents that you cannot positively identify as belonging to the subject. For example, if you have a document belonging to Manuel Gonzales (the name matches your subject of record), but the date of birth provided by the requester does not match information in the file, out of scope the document. If USCIS refers documents to an originating agency but the documents do not match the request and consent that are in the request, then the originating agency returns those documents to our office without action. There should be no exception to this rule. If you feel you have a case that would be an exception, please case note it clearly in the file or discuss it with your supervisor.

- The *USCIS FOIA Processing Guide* will be updated to reflect this change.

## **WHEN DO WE SEND REQUESTER DOCS OR CSD's WITH REFERRALS?**

Case creators review all new requests for legal sufficiency. They ensure that it contains all required documents and information to allow the request to be processed. When a case creator finds missing critical information, the creator will send out for that information. Once we receive that information, OA scans it into the case as either Requester Documentation or a Case Supporting document. These documents are often vital to determining whether consent is present and verifying that the correct records are being processed. However, when a processor refers documents to another agency, only the Request Letter and Request Supporting Documents automatically are printed and sent with the referrals.

If the agency to which we refer the information does not receive the critical information, they will send the entire referral back to us letting us know critical information is missing. Therefore, please do the following when you have a referral that has pertinent information in Requester Documentation or Case Supporting Documents:

1. Place an asterisk in paragraph one (example shown below).
2. Include in your case note that you have alerted the OA room that more documentation is needed with the referrals and indicate which sequence the documents are found.





U.S. Citizenship  
and Immigration  
Services

NRC20100

MEMORANDUM FOR:  
State Department

FROM: T. Diane Cofka  
Director

*DD Cofka*

SUBJECT: FOIA/PA Referral/Consultation  
FOIA/PA Control #: NRC20100

- ☒ 1. Documents originated by your agency are being referred to you for review and direct response to the requester.
- ☒ There is 1 UNCLASSIFIED document consisting of a total of 1 page.
- ☐ There are        CLASSIFIED documents consisting of a total of        pages. Please advise us if the classification of any of the documents has changed.
- ☐ 2. Documents originated by Immigration that contain information furnished by your agency are being referred to you for consultation. Please review your information that has been outlined.
- ☒ We have no objection to the release of Immigration information; therefore please respond directly to the requester with your determination and provide us a copy of your response.
- ☐ Please return the documents to us making any deletions you deem appropriate and cite the FOIA/PA exemptions claimed and the procedure for the requester to file an appeal to your agency. The response should be returned to the address shown above.
- ☐ There are        UNCLASSIFIED documents consisting of a total of        pages.
- ☐ There are        CLASSIFIED documents consisting of a total of        pages. Please advise us if the classification of any of the documents has changed.
- ☒ 3. We have advised the requester of this referral to your agency.

- The *USCIS FOIA Processing Guide* will be updated to reflect this change.

# FOIA INFORMATION BULLETIN

O: FOIA/FOIA LIBRARY/FOIA INFORMATION BULLETIN

July 16, 2010

The **FOIA Information Bulletin** is a publication issued weekly by the FOIA Program Office as a communication tool regarding current information of use and interest to USCIS FOIA personnel. The intent of the bulletin is to improve consistency and timeliness of information. **See your supervisor if you have any questions about bulletin topics.**

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If NFTS still shows a shelf location within NRC (or any other office), staff for the file accordingly.

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### **PROCESSING THIRD PARTY DOCUMENTS BASED ON G-28 IN THE FILE**

A petition submitted for a benefit, if submitted by an attorney, will often be accompanied by a Form G-28 for each party. The G-28 is valid only while the benefit requested is being adjudicated and does not carry over to other actions. As a result, when processing a subsequent FOIA request from the beneficiary, we cannot rely on the previously submitted G-28 in order to release personal information pertaining to the petitioner. Unless the FOIA request contains consent of both parties, the processor must withhold sensitive or personally identifiable third party information.

For example, an attorney files an I-130 with the agency. He represents both the petitioner and the beneficiary in the filing and submits G-28's for both parties with the I-130. He files a FOIA request 12 months later, but includes with his FOIA request consent from the beneficiary only. You cannot release the information of the petitioner to the attorney, even though the petitioner's information was originally submitted by the same attorney.

### **THIRD PARTY DOCUMENTS BELONGING TO ANOTHER AGENCY**

Please out of scope any third party documents that belong to another agency. This policy also applies to other agency's documents that you cannot positively identify as belonging to the subject. For example, if you have a document belonging to Manuel Gonzales (the name matches your subject of record), but the date of birth provided by the requester does not match information in the file, out of scope the document. If USCIS refers documents to an originating agency but the documents do not match the request and consent that are in the request, then the originating agency returns those documents to our office without action. There should be no exception to this rule. If you feel you have a case that would be an exception, please case note it clearly in the file or discuss it with your supervisor.

- The *USCIS FOIA Processing Guide* will be updated to reflect this change.

## **WHEN DO WE SEND REQUESTER DOCS OR CSD's WITH REFERRALS?**

Case creators review all new requests for legal sufficiency. They ensure that it contains all required documents and information to allow the request to be processed. When a case creator finds missing critical information, the creator will send out for that information. Once we receive that information, OA scans it into the case as either Requester Documentation or a Case Supporting document. These documents are often vital to determining whether consent is present and verifying that the correct records are being processed. However, when a processor refers documents to another agency, only the Request Letter and Request Supporting Documents automatically are printed and sent with the referrals.

If the agency to which we refer the information does not receive the critical information, they will send the entire referral back to us letting us know critical information is missing. Therefore, please do the following when you have a referral that has pertinent information in Requester Documentation or Case Supporting Documents:

1. Place an asterisk in paragraph one (example shown below).
2. Include in your case note that you have alerted the OA room that more documentation is needed with the referrals and indicate which sequence the documents are found.



U.S. Citizenship  
and Immigration  
Services

NRC20100

MEMORANDUM FOR:  
State Department

FROM: T. Diane Cofka  
Director

*DD Cofka*

SUBJECT: FOIA/PA Referral/Consultation  
FOIA/PA Control #: NRC20100

- ☒ 1. Documents originated by your agency are being referred to you for review and direct response to the requester.
- ☒ There is 1 UNCLASSIFIED document consisting of a total of 1 page.
- ☐ There are        CLASSIFIED documents consisting of a total of        pages. Please advise us if the classification of any of the documents has changed.
- ☐ 2. Documents originated by Immigration that contain information furnished by your agency are being referred to you for consultation. Please review your information that has been outlined.
- ☒ We have no objection to the release of Immigration information; therefore please respond directly to the requester with your determination and provide us a copy of your response.
- ☐ Please return the documents to us making any deletions you deem appropriate and cite the FOIA/PA exemptions claimed and the procedure for the requester to file an appeal to your agency. The response should be returned to the address shown above.
- ☐ There are        UNCLASSIFIED documents consisting of a total of        pages.
- ☐ There are        CLASSIFIED documents consisting of a total of        pages. Please advise us if the classification of any of the documents has changed.
- ☒ 3. We have advised the requester of this referral to your agency.

- The *USCIS FOIA Processing Guide* will be updated to reflect this change.

# FOIA INFORMATION BULLETIN

O: FOIA/FOIA LIBRARY/FOIA INFORMATION BULLETIN

June 25, 2010

The **FOIA Information Bulletin** is a publication issued weekly by the FOIA Program Office as a communication tool regarding current information of use and interest to USCIS FOIA personnel. The intent of the bulletin is to improve consistency and timeliness of information. **See your supervisor if you have any questions about bulletin topics.**

## **ENFORCE / EARM SYSTEM PRINT REFERRALS**

Effective immediately, we are referring all ENFORCE system prints found in FOIA/PA cases to ICE. This decision came from a case we processed in which we released four ENFORCE system prints. Although some were difficult to read and quite dark, you could identify that they were ENFORCE system prints. The alien subsequently went to ICE, demanded clean copies and threatened a lawsuit. One of the released documents included narrative that could have impeded our removal of this alien.

The only two exceptions to this rule are:

1. If it was filed in a court case as an exhibit, release. You must be able to prove that it was filed. Be sure to notate your proof in your case note.
2. If it is an ENFORCE print for a third party, out of scope the document(s). Be sure to include this in your case note.

Please pay extreme caution as you are processing and strive to make no inadvertent disclosures of these documents. Even if it is illegible/dark/hard to read, review carefully to see if it is an ENFORCE printout. You have been provided examples by your supervisors. If you do not have these copies, please see your supervisor.

- The *USCIS FOIA/PA Processing Guide* will be updated to reflect this change.

## **HELPFUL HINTS**

Completing the tasks of case creating and processing involves analyzing and comprehending a considerable amount of information. Due to the large volume of requests we handle, we sometimes make mistakes. Most of our mistakes; no matter how minor, waste time, money and slow our production. Moreover, any mistake not caught in time has the potential to give our customer a negative impression of our agency.

Therefore, we are adding a new section, entitled Helpful Hints, to the bulletin. These reminders will focus on the “minor” details we sometimes forget, but are needed to ensure both quality and efficiency.

## **ADMIN QUEUE**

Case Processors send cases to the Admin Queue for various reasons. When sending cases to Admin, the processor must always insert a case note explaining why the case is being sent to that queue so that the administrator working the queue knows what needs to be done with the case. Cases that are sent to Admin without explanation will be returned to the processor so that a case note can be added.

## **CHANGE THE DATE OF THE FINAL ACTION LETTER**

If you get a case back from approver for any reason, please change the date on the letter to the current day's date.

This is important because the requester only has 60 days from the date of the letter to appeal our decision.

## **SUMMARY CASE NOTES**

1. When there are documents being referred and there are requester documents that need to go with the referral, include in your summary case note that you have e-mailed OA.
2. If there is media in the file, remember to note in your summary case note that MSB was notified.
3. If you case note anything out of the ordinary that the approver needs to know, you will save everybody's time.

## **CASE CREATORS**

1. Mark "print to CD" on all cases created after March 1, 2010 unless the requester is writing from a correctional facility.
2. Uncheck the expedited treatment and fee waiver block on all requests that are closed due to RF, RD, NR, ER, TD, DP or N/A.
3. Do not go out for additional information if the requester has entered "unknown," "N/A," or "None" in any of the PII sections of the G-639.
4. Do not staff for the petitioner's A-file if they are requesting an I-130 they filed for someone.
5. Write good case notes to help the next person reading the case.
6. Double check your work to see if you have inadvertently checked expedited treatment requested, expedited treatment granted, fee waiver requested, etc. Also double check type, source, category, Track 1, 2 or 3 before you send the case anyplace else.

## **CD'S**

Check the CD button. If you have a request with 15 pages or more of responsive records, the case was created after March 1, 2010, and the requester is not an inmate, please check the box. Even if there are 15 pages and you referred 5 of those pages, you are still going to check the CD button. The final printed product will contain 15 pages, five of which will be marked with the legend "Referred to Another Agency" or similar stamp on the page.

Whether or not a requester is an inmate is determined by the address provided on the request. If the address is a correctional institution, we must send paper. If the address is an attorney's office, we can send a CD.



# FOIA INFORMATION BULLETIN

O: FOIA/FOIA LIBRARY/FOIA INFORMATION BULLETIN

May 14, 2010

The **FOIA Information Bulletin** is a publication issued weekly by the FOIA Program Office as a communication tool regarding current information of use and interest to USCIS FOIA personnel. The intent of the bulletin is to improve consistency and timeliness of information. **See your supervisor if you have any questions about bulletin topics.**

## **CD OR PAPER?**

In an effort to save time, money and resources, the FOIA unit will begin sending out final action responses on CD to all requesters. When we send out the acknowledgement letter to the requester, it will advise them that unless they write in and specifically ask for their documents to be produced on paper, they will be receiving them in a CD format. The acknowledgement letter templates have been updated to reflect the change.

A few guidelines to follow:

- Case Creators will mark the “print to CD box” on all new case creates, unless the requester is in prison.
- Prisoners may not receive CDs. All responsive records mailed to prison must be on paper. If the requester is in prison but responsive records are being sent to an attorney’s office, it will be sent on a CD.
- This change only affects responsive records of 15 pages or more. Once a case is retrieved in processing, if the responsive records are less than 15 pages or if the requester is only asking for specific documents and they are less than 15 pages, the processor will need to uncheck the print to CD box.
- If a requester writes in and specifically asks for their records to be produced in a paper format, the Mail Team will uncheck the “Print to CD” box and case note the case. The correspondence will be scanned in as a case supporting document (CSD).
- While the creator is primarily responsible for marking the print to CD box, the processor and the approver should ensure that the correct box is marked before finalizing the case.
- If your records are printing to a CD, it is not required that duplicate pages be marked as fees are not assessed on CD’s.

- The *USCIS FOIA Case Create and Processing Guides* will be updated to reflect this change.

## **LARGE FILES AND CAL ERRORS**

Files of 2000 pages or more can cause CAL errors, making cases difficult to process. If you pull up a case in FIPS with 2000 pages or more scanned into a single responsive records slot, please follow these steps:

1. Send the case to Admin.
2. Send an e-mail to the NRC, FIPS Problem mailbox asking them to split the records into more than one slot. Clicking on the link automatically prepares your e-mail (including a copy to the Program Office). In your email, please provide the control number, the case's track and your NRC User-id.

FIPS Problem personnel will split the file into two or more responsive records slots to reduce the possibility of CAL errors and return the file to you. We've notified contractors to contact us if they scan any large files to avoid future problems.

The *USCIS FOIA Case Processing Guide* will be updated to reflect this change.

## **WHEN DO REQUESTER DOCS OR CSDs GET SENT WITH REFERRALS?**

When we receive a new request, our creators review the request for legal sufficiency. They ensure that it contains all required documents and information for you, the processor, to be able to process the case. When a case is found to be missing critical information, the creator will send out for that information. Once that information is received, it is scanned into the case either as a Requester Documentation or a Case Supporting document. These documents are often vital to determining whether or not consent is present and verifying that the correct records are being processed. However, when a processor refers documents to another agency, only the Request Letter and Request Supporting Documents automatically get printed and sent with the referrals. Therefore, please do the following when you have a referral that has pertinent information in Requester Documentation or Case Supporting Documents:

1. Send an e-mail to the OA room to print and send the pertinent information and where the documents can be found (NRCXXXX, Sequence 8).
2. Include in your case note that you sent the e-mail to the OA room.

- The *USCIS FOIA Case Processing Guide* will be updated to reflect this change.

### **MAIL TEAM**

(b)(6)

In an effort to streamline the records locator team, we have designated two individuals to process mail which is not readily identifiable to a case. This mail includes faxes, electronic mail and regular mail. The two individuals assigned to this task are [REDACTED]

[REDACTED]

# FOIA INFORMATION BULLETIN

O: FOIA/FOIA LIBRARY/FOIA INFORMATION BULLETIN

November 12, 2010

The **FOIA Information Bulletin** is a publication issued by the FOIA Program Office as a communication tool regarding current information of use and interest to USCIS FOIA personnel. The intent of the bulletin is to improve consistency and timeliness of information. **See your supervisor if you have any questions about bulletin topics.**

## **CDs FOR ALL REQUESTERS**

In an effort to save time, money and resources, the FOIA unit now sends out final action responses on CD to all requesters, unless the requester is in prison. We have removed the section in the acknowledgement letter to the requester that advises them that they can write in and ask for their documents to be produced on paper.

A few guidelines to follow:

- This change affects all responsive records; the number of pages is no longer a concern.
- Case Creators will mark the “print to CD box” on all new case creates, unless the requester is in prison.
- Prisoners may not receive CDs. All responsive records mailed to prison must be on paper.
- If the subject of record is in prison but the requester is the subject’s attorney addressed to the attorney’s office, send it on a CD.
- If a requester specifically asks for their records in a paper format, the Mail Team will uncheck the “Print to CD” box and case note the case. The Mail Team will scan the correspondence in as a case supporting document (CSD).
- If we are printing to paper and the case is more than 240 pages, the processor must mark any duplicate pages within the responsive record.
- While the creator is primarily responsible for marking the print to CD box, the processor and the approver should ensure that the correct box is marked before finalizing the case.
- If your records are printing to a CD, you are not required to mark duplicate pages, as fees are not assessed on CD’s.

- The *USCIS FOIA Processing Guide and FOIA/PA Assistant's Guide* will be updated to reflect this change.

## **RECEIPT AND PROCESSING OF PA AMENDMENT**

A Privacy Act Amendment Request is a request from a USC or LPR to amend, expunge, or correct information in his/her PA record that the individual believes is not accurate, relevant, timely, or complete.

Requesters must identify themselves as described in the paragraph Consent and Verification of Identity when seeking to amend information in a PA system of records. He or she must identify the particular record involved, the nature of the amendment sought, and the justification for the amendment.

Special Interest Group handles PA Amendment requests. If a creator opens a request that appears to be a true PA Amendment Request, he or she should place the case in Unit Chief without further action and e-mail the detailed information to his or her supervisor. The supervisor should then notify the SIG that the case is in the Unit Chief queue for SIG determination whether it is a true PA Amendment request.

Upon determination, the SIG processor will send an acknowledgment letter to the requester and forward the PA Amendment request to the appropriate adjudications center or district office. An adjudicating officer will make a determination and return the findings and decision to SIG for preparation of a response to the requester. In accordance with 5 U.S.C. § 552a(d)(2), USCIS has ten working days to make a decision.

- The *USCIS FOIA/PA Assistant's Guide* will be updated to reflect this change.

## **DEPARTMENT OF STATE DOCUMENTS**

The DOS will make a direct response to the requester on documents that we refer. "STATE" is the referral choice in FIPS for Department of State. Generally, if a State Department document pertains to an investigation or a non-immigrant visa, we refer the document to State. We release the name of the agency, and Department of State should respond directly to the requester. State Department has given us the following guidance for documents that are not third party:

- Process statements, acknowledgements, visa stamps, passports or visas the person has, or has received, or has signed.
- Process any immigrant visa paperwork except Report 71, investigative, deliberative or law enforcement related documents.
- Process documentation the alien would have filed to support immigrant visas, letters, or documents the alien would possess.
- Process any form that begins with an I (for example, I-130, I-140) even if it was filed overseas.

- Process the Report 24.
- Process the Immigrant Data Summary.
- Refer messages, letters, e-mails, checklists and cables having to do with visa determination or investigations.
- Refer non-immigrant visa (NIV) applications.
- Refer Embassy/Consulate fraud investigations.
- Refer State Department law enforcement related documents.
- Refer Refusal Worksheets
- Refer asylum related documents, such as interagency communications, advisory opinions and deliberative material, including the document entitled "Country Conditions and Comments on Asylum Applications."
- Refer electronic database prints with information owned by State, if it has to do with NIV or law enforcement.
- Refer Report 71 – Case Accountability Report, as it may be investigative or deliberative.
- Refer documents marked Visa Lookout System or Visas Hawk, unless third party.
- Refer TECS II screen prints marked State Department.
- State Department does not wish to review third party documents. If you would ordinarily refer a page to the Department of State, but it pertains to a third party, please place the page out of scope.
- There may be documents similar to Country Conditions and Comments on Asylum Applications we would not refer. For example, Profiles of Asylum Claims and Country Conditions are available on the DOS website and we do not generally refer them.
- The *USCIS FOIA Processing Guide* will be updated to reflect this change.  
Note: this will entail deletion of several paragraphs and sentences in the Guide.

## **REQUESTS FOR COLOR COPIES OF ALIEN REGISTRATION CARDS**

If someone requests a color copy, please add the following paragraph to your Acknowledgement letter:

You specifically requested a color copy of your Alien Registration Card (Green Card). The National Records Center can not provide you with a color copy of your Alien Registration Card (Green Card); we will provide a black & white copy. If you desire a replacement Green Card you must complete an I-90, Application to Replace Permanent Resident Card (Green Card). Please refer to our website listed below for filing instructions and to download the application. If you would like a copy of all your records, please send a written request to the address above, otherwise you will only receive the documents specified.

- The *USCIS FOIA/PA Assistant's Guide* will be updated to reflect this change.

## **CAMEROON AND HONG KONG ZIP CODES**

Cameroon and Hong Kong do not use zip codes. However, FIPS requires you to put in a zip code before it allows you to create a case. In cases where the mail is going to either Cameroon or Hong Kong, please put in a single dash in the zip code field. This will overwrite the FIPS requirement.

- The *USCIS FOIA/PA Assistant's Guide* will be updated to reflect this change.

## **DELINQUENT REQUESTER CLARIFICATION**

The cutoff date for delinquent requesters is January 1, 2004. On or after that date, any delinquent requester must either pay the fees, accept the case on CD, or withdraw the case to regain his or her good standing.

However, do not treat any requester you find to be delinquent prior to January 1, 2004 as delinquent. If you encounter a delinquent requester for a case prior to January 1, 2004, please send an e-mail to NRC, FIPSPROBLEM and NRC, FOIAPROGRAM. Include the name of the delinquent requester and the case(s) for which he or she is delinquent.

If you encounter a delinquent requester from a FIPS Lite office, do not treat the requester as delinquent.

- The *USCIS FOIA/PA Assistant's Guide* will be updated to reflect this change.

### **(b)(6) SITUATION: Subpoena or court order**

If you pull a new request that is a subpoena or court order, please close it as an ER. Send a message to NRC, FOIA PROGRAM [REDACTED] clicking the link generates the e-mail) providing the REQ number and information indicating the request was a subpoena or court order. The NRC Program Office is currently addressing these requests. Subpoenas or court orders are a high priority. Please notify NRC, FOIA PROGRAM as soon as possible.

- The *USCIS FOIA/PA Assistant's Guide* has been updated to reflect this change.

## **Use of special characters:**

Do not use special characters, such as "&" and "#" in the address field; rather, spell them out or use an abbreviation, such as "and" or "No." Note: you may use spaces, dashes, periods, commas or single quotes (' ). You may not use @, #, \$, %, ^, &, \*, (, ), =, +, [, ], {, }, \, <, >, or /.

- We will add this paragraph to the *USCIS FOIA/PA Assistant's Guide* in the section "REQUESTER'S BIOGRAPHICAL INFORMATION," paragraph 3, "Complete requester address."



## **QUESTIONS FOR THE PROGRAM OFFICE**

The Program Office receives comments, questions and suggestions fairly regularly. In order to respond to your questions more efficiently, we have decided to streamline the process with a single point-of-contact. If you have any comments, questions or suggestions, please send an email with the word "Question" in the subject line to NRC, FOIAPROGRAM. The Program Office will get an answer back to you as soon as they can.

## ***HELPFUL HINTS***

### **IF RESPONSIVE RECORDS ARE "NA" AND STAFFING RESPONSE SLOT HAS SCANNED DOCUMENTS...**

Normally, when we staff to a service center, the service center scans the file directly into FIPS. However, if the file cannot be scanned, (ex. file is destroyed, lost, sent to NVC) the service center places a note on the staffing sheet and scans their response into a staffing response slot. The responsive records slot will be set to "NA." If you see this while processing a case, please read the staffing response and determine appropriate action.

### **NEW POLICY FOR NVC LETTER REFERRALS**

The policy for referring NVC letters parallels State Department policy. If the subject has received or signed the document, release it. This will include almost all NVC documents contained in our files, as they are normally addressed to the subject.

**National Visa Center  
32 Rochester Avenue  
Portsmouth, NH 03801-2909**

**DEAR**

Your inquiry has been received at the NVC. The immigrant visa petition you mentioned in your letter has already been entered into our computer system and assigned the case number listed below.

A packet of forms and instructions has been sent to the beneficiary and/or attorney of record regarding further processing of the petition. The packet must be completed and returned to the NVC.

The NVC is sending a duplicate packet of forms and instructions. Please allow at least 10 business days for the packet of forms to arrive. These forms must be completed by the beneficiary, petitioner or attorney of record and returned to the NVC.

The Written Correspondence Unit has updated your address. Please notify the NVC of any change of address or change in personal situation which may affect the beneficiary's entitlement to an immigrant visa.

Case Number:	CDI
Beneficiary's Name:	HER
Preference Category:	
Your Priority Date:	
Foreign State Chargeability:	MEXICO
U.S. Embassy/Consulate:	CONSULATE GENERAL P.O. BOX 10545 EL PASO, TX 79995-0545 USA

Traveling Applicants:			
NAME	DOB	POB	

HER.

# **FOIA/PA ASSISTANT'S GUIDE**

## **FOREWORD**

The FOIA/PA Assistant's Guide has been prepared as a ready reference to assist with day-to-day tasks, such as creating Freedom of Information Act and Privacy Act requests, handling mail, working records locator, and general troubleshooting.

The September 23, 2010 edition of the Guide supersedes the Case Create Guide and the Call Center Guide. All previous editions of the Case Create Guide and the Call Center Guide are obsolete.

Any previous material distributed in *FOIA Information Bulletins* has been incorporated into this Guide.

For the purposes of this guide, we may refer to a FOIA/PA Assistant as "you," or "Assistant," and in some cases "team member."

The September 23, 2010 edition of the Guide is PDF format. The PDF format makes searching for information in the Guide easier. There are also several hyperlinks within the Guide including in the table of contents to assist in navigating to specific topics or additional information.

Regular updates will be made to this Guide by adding to or revising provisions in the version of the Guide available on the common drive. When additions and revision are made, a cover sheet describing the change and the provision of the Guide affected will be placed on the front of the Guide for quick reference.

Suggestions for improving this Guide are always welcomed. Please direct any comments, questions, or suggestions to the FOIA Program Office staff.

a

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Updated on 9/23/2010

AILA Doc. No. 16102838. (Posted 10/28/16)

# **FOIA/PA ASSISTANT'S GUIDE**

(b)(6)

Record of Revision, September 23, 2010

Paragraph: SITUATION: Subpoena or court order changed to add  as an  
addressee on the e-mail.

**b**

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Updated on 9/23/2010

# **FOIA/PA ASSISTANT'S GUIDE**

## **THE FREEDOM OF INFORMATION ACT**

Congress passed the Freedom of Information Act (FOIA) in 1966 to establish the public's right to access records created or maintained by federal executive branch agencies. The statute became effective on July 4, 1967. The statute relating to the Freedom of Information Act is 5 U.S.C. § 552.

## **THE PRIVACY ACT**

The Privacy Act of 1974 regulates the collection, maintenance, use, and dissemination of personal information by the federal government. The statute relating to the Privacy Act is 5 U.S. C. § 552a. The statute became effective September 27, 1975.

## **WHAT ARE FOIA REQUESTS AND HOW DO WE GET THEM?**

A Freedom of Information Act (FOIA) request is a request in writing for a copy of any record maintained by any agency of the executive branch of the government. Persons must reasonably describe the records sought, and those records must already exist. Requests can come in a variety of ways. They can come in on the Form G-639 or as a letter from an attorney or representative. They can come in the form of a letter from the alien himself. The requester may mail, fax, hand deliver, or e-mail a request. No matter how we receive them or what the format is, as long as they are in written form and provide enough information to ascertain that they want documents from us, we treat them as FOIA requests. A Privacy Act (PA) request is a request by a person for a copy of his or her file.

For case creating purposes, the difference between a FOIA and PA request does not matter. You will create all cases as FOIA requests, although some of the requests we receive are PA requests. The case processor determines whether the case falls under the Freedom of Information Act or the Privacy Act.

1

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## **WHO CAN MAKE A FOIA REQUEST?**

Anyone can request any record kept by the executive branch of government. The tricky part is determining if we have enough information and consent to provide the record and who is entitled to what. The most common types of requesters are:

- First party requesters, that is, the alien himself or his designee, attorney or representative, are entitled to a complete copy of the alien file, after any applicable exemptions are applied. However, a parent or guardian may make a request for a minor's record. Please refer to the section titled **"CONSENT RELATING TO RECORDS CONCERNING A MINOR OR PERSON JUDICIALLY DETERMINED TO BE INCOMPETENT"** in this guide.
- Third party requesters, that is, an individual seeking a copy of an alien's file without the subject of record's consent, are entitled only to documents of a public nature or documents they provided in support of an application/petition. Please refer to the section titled **"THIRD PARTY REQUESTS"** in this guide.
- Media requesters are typically accredited members of the media.
- Bond obligors, companies who posted immigration bonds for the aliens, are entitled to a copy of the file under a court case entitled *Amwest v. Reno*. Please refer to the section titled **"IMMIGRATION BOND OBLIGORS"** in this guide.
- Other state and local government agencies are entitled to documents from alien files for law enforcement purposes. Requests for information originating with any other federal agency are operational matters and not FOIA or Privacy Act requests. Please refer to the section titled **"ROUTINE USE"** in this guide.

# FOIA/PA ASSISTANT'S GUIDE

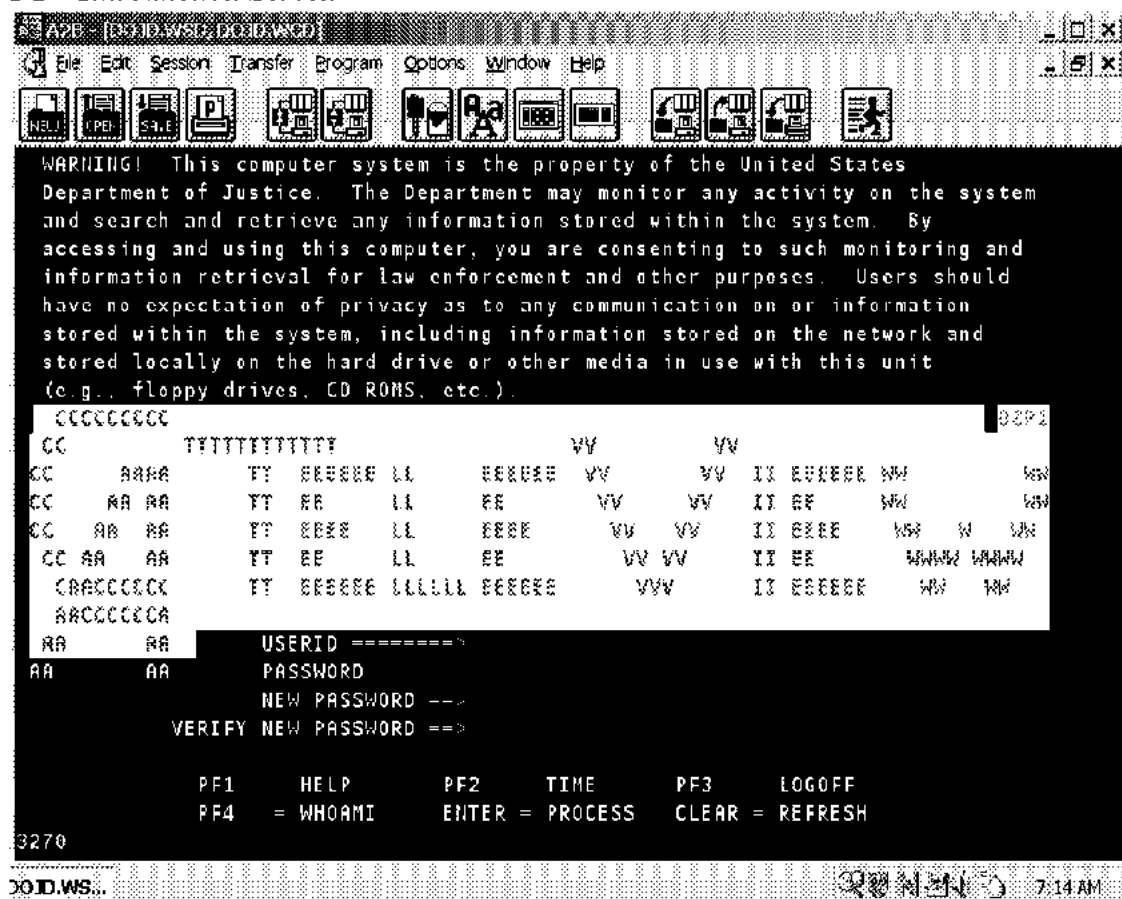
## SYSTEMS USED AND DESCRIPTION OF THE SYSTEMS

The paragraphs below provide a description of some of the systems used by USCIS, ICE and CBP. Most A-files contain screen prints from one or more of these systems.

### 1 Central Index System

(CIS) is a database used to maintain records, search for records, and display data. CIS is a menu driven system as opposed to a point-and-click graphical user interface system. CIS provides information about persons and information about file location and movement. The CIS user navigates among various screens, depending on the type of information he or she needs. A user may search for a person in CIS by using the a-number, social security number, FBI number or a passport number. CIS provides the option of searching for people using "sounds-like" and exact name searches.

#### 1.1 Introduction Screen



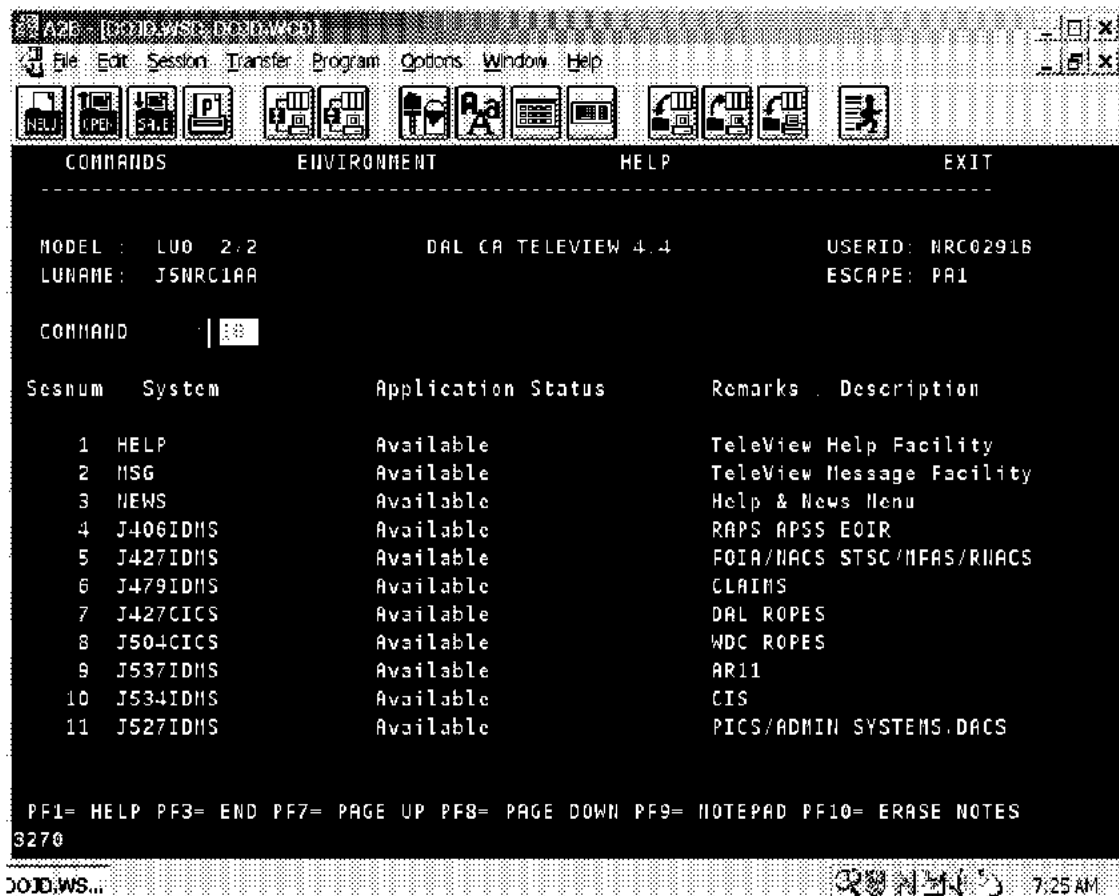
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This screen is the introduction to TeleView. From this screen use the designated UserID (last 4 digits of Social Security Number plus an alpha) and Password to sign onto the database.

## 1.2 TeleView Main Menu



The number selected to access CIS will vary for each computer.

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## 1.3 CIS Login Screen



This is the screen used to navigate through CIS. Pressing enter can access the main menu for CIS.

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## 1.4 CIS Main Menu



This screen displays a variety of ways to search for information. The transaction numbers that we use within FOIA are 91, 92, and 95. By typing the number 91 next to select transaction number and pressing enter, another search screen will appear. The main purpose of the “91” transaction number is to search the database for specific information concerning an individual. Transaction number “92” is used to display card information. The transaction number “95” is used mainly to see the location of the A-file.

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# FOIA/PA ASSISTANT'S GUIDE

## 1.4.1 Search Menu Screen

A20 [0000000000] [0000000000]

File Edit Session Transfer Program Options Window Help

CINSEA IMMIGRATION AND NATURALIZATION SERVICE 10/18/05  
COMMAND: CENTRAL INDEX SYSTEM - SEARCH MENU 10:02:06

A#: 00000000 NAME: DOB: 00000000

(01) ID #: (A/AA/AB/C DA DL FB/FP I/PP/SS/TD) OTHER MENU SELECTIONS  
(02) SOUNDS-LIKE NAME (92) DATA DISPLAY MENU  
(03) EXACT NAME (93) ADD TRANSACTIONS MENU  
(04) AKA (ALIAS) NAME (94) RECORD MAINTENANCE MENU  
(05) LAPS EXACT NAME (95) FILE TRANSFER SUBSYSTEM MENU  
(06) SOUNDS LIKE NAME WITH DOB

(11) MANUAL SEARCH REQUEST (MR)  
(12) MANUAL SEARCH RESPONSE (SR)  
(15) ON LINE A NUMBER REPORT REQUEST

--- SELECT TRANSACTION NUMBER. PRESS ENTER. FOR ID # SEARCH, KEY THE  
PREFIX AND THE ID # (EG. A123456789).

CLEAR EXIT PF5 HELP PF6 CIS MAIN MENU

3270

tblboard Input Form CISResourceGuide 9:02 AM

From this search screen a decision is made as to how to begin a search for an individuals records. The most commonly used methods to search for an individuals record are:

### Code Search By Category

- 01 ID # (A-number, certificate number, social security number, passport number ect.)
- 02 Sounds-Like Name Search
- 03 Exact Name Search
- 04 Alias (AKA) Name Search
- 06 Sounds-Like Name Search with DOB

Type in the two-digit code (01) and press enter. The screen displayed will be the screen where the search for records begins. **\*Note:** Remember to read the screen in its entirety for additional information.

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## 1.4.2 Search by A-number (9101)

```
A20 [C:\CIS\A20\A20.DAT]
File Edit Session Transfer Program Options Window Help
[Icons]
CIMIDN IMMIGRATION AND NATURALIZATION SERVICE 10/18/05
COMMAND: 9101 CENTRAL INDEX SYSTEM - ID # SEARCH DISPLAY 10:02:55

ID # (A AA AB C/DA): A# DOB:
(DL FB FP I/PP SS TD)
LAST:
FIRST: NATZ DATE:
MIDDLE: COURT:
ALIASES: LOCATION:

SEX: POE: COB: DOE:
FCO: COA: COC: FATHER:
PFCO: SFCO: DFO: BIN: MOTHER:

SSN: CONSOLIDATED A NOS OTHER INFORMATION
I-94 ADI #:
PASSPORT #:
FBI #:
DRIVER LIC:
FINGER CD#:

OVER-KEY ID# TO DISPLAY NEW PERSON, PRESS ENTER. CLEAR EXIT PF1 NEXT CONS A#
PF2 PRIOR CONS A# PF3 REFRESH PF4 RETURN PF5 HELP PF6 MAIN MENU PF8 HISTORY
PF9 END PF11 EOIR
3270
tchboard Input Form CISResourceGuide 9:03 AM
```

In the ID# field enter the appropriate prefix with information (A = a-number, SS = social security number, PP = passport number, C = naturalization certificate number and I = I-94 number). If there is information in the system on the subject it will populate in the fields below the ID#. Pay special attention to the legend at the bottom of the screen specifically PF8, PF11, and any information listed under (other information). By pressing PF8 the history menu is displayed. This screen holds chronological information about actions that have been taken or changes in the subject's immigration status. The PF11 screen shows EOIR (Executive Office of Immigration Review) information. The significance of this screen is it holds information about ongoing or closed deportation proceedings. In the section of the screen listed (other information) different acronyms may appear such as: CARD, EADS, RAPS and DACS. For additional information on DACS please see Chapter 3.

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# FOIA/PA ASSISTANT'S GUIDE

## 1.5 Sounds-Like Name Search (9102)

A20 [C:\WINDOWS\SYSTEM32\...] 10/18/05 10:09:04

File Edit Session Transfer Program Options Window Help

NEU LPEL SLE [Icons]

CIMSND IMMIGRATION AND NATURALIZATION SERVICE 10/18/05  
COMMAND: 9102 CENTRAL INDEX SYSTEM - "SOUNDS LIKE" SEARCH 10:09:04

\* LAST NAME: (40-CHARS MAX)  
FIRST NAME: (25 CHARS MAX)

LAST NAME MATCH: (NUMBER OF EXACT CHARACTERS TO MATCH (0-9))  
FIRST NAME MATCH: (NUMBER OF EXACT CHARACTERS TO MATCH (0-9))  
PREVIEW NAME: (Y/N)

EXACT DOB: (MMDDYYYY)  
DOB RANGE: (DATE RANGE YYYYR: YYYY YEAR, R 0 9)

COB: (5-CHARACTER COUNTRY CODE)  
COC: (5 CHARACTER COUNTRY CODE)  
POE: (3-CHARACTER PORT OF ENTRY CODE)  
DOE: (MMDDYYYY)  
COA: (3 CHARACTER CLASS OF ADMISSION CODE)  
FCO: (3-CHARACTER FILES CONTROL OFFICE CODE)  
SEX: (M/F)

\*LAST NAME IS REQUIRED FIELD. OTHER FIELDS ARE OPTIONAL.  
SPECIFY SEARCH CRITERIA, PRESS ENTER TO INITIATE "SOUND LIKE" SEARCH  
CLEAR EXIT PF3 REFRESH PF4 MENU PF5 HELP PF6 MAIN MENU

3270

Keyboard [Icons] Input Form [Icons] CISResourceGuide... 9:09 AM

Use the 9102 screen when there could be variations in the spelling of a name. There are times when the person who created the record in CIS misspelled the name. There could be many spelling variations in a name transcribed from a non-Roman alphabet. The \* indicates the minimum amount of information required to search. The search results may be voluminous.

# FOIA/PA ASSISTANT'S GUIDE

## 1.6 Exact Name Search (9103)

The screenshot shows a terminal window titled "CIMEXA 9103" with a menu bar (File, Edit, Session, Transfer, Program, Options, Window, Help) and a toolbar. The main display area contains the following text:

```
CIMEXA          IMMIGRATION AND NATURALIZATION SERVICE      12/15/05
COMMAND: 9103    CENTRAL INDEX SYSTEM - EXACT NAME SEARCH    08:44:21

* LAST NAME:                                     (40 CHARS MAX)
* FIRST NAME:                                    (25 CHARS MAX)
MIDDLE NAME:                                     (25 CHARS MAX)

EXACT DOB:                                         (MMDDYYYY)
DOB RANGE:                                       (DATE RANGE = YYYYR; YYYY=YEAR, R=0-9)

COB:                                              (5-CHARACTER COUNTRY CODE)
COC:                                              (5-CHARACTER COUNTRY CODE)
POE:                                              (3 CHARACTER PORT OF ENTRY CODE)
DOE:                                              (MMDDYYYY)
COA:                                              (3-CHARACTER CLASS OF ADMISSION CODE)
FCO:                                              (3 CHARACTER FILES CONTROL OFFICE CODE)
SEX:                                              (M/F)

* LAST NAME AND FIRST NAME ARE REQUIRED FIELDS.  OTHERS ARE OPTIONAL.
  SPECIFY THE SEARCH CRITERIA, THEN PRESS ENTER TO INITIATE THE SEARCH.
                CLEAR EXIT          PF3 REFRESH
PF4 MENU      PF5 HELP      PF6 MAIN MENU      PF9 SOUNDS LIKE SEARCH
```

At the bottom of the terminal window, a taskbar shows open files: "pionDoc...", "Nreda11 on Nior...", and "CISResourceGuide...". The system clock indicates 7:47 AM.

9103 is the primary screen used when performing a search based on the subject's name only. The information displayed will be an exact name match.

# FOIA/PA ASSISTANT'S GUIDE

## 1.7 Alias (AKA) Name Search (9104)

CINALI IMMIGRATION AND NATURALIZATION SERVICE 01/30/06  
COMMAND: 9104 CENTRAL INDEX SYSTEM - ALIAS (AKA) NAME SEARCH 12:56:45

AKA/NEE LAST NAME: (40 CHARS MAX)  
AKA/NEE FIRST NAME: (25-CHARS MAX)

LAST NAME MATCH: (NUMBER OF EXACT CHARACTERS TO MATCH (0-9))  
FIRST NAME MATCH: (NUMBER OF EXACT CHARACTERS TO MATCH (0-9))

EXACT DOB: (MMDDYYYY)  
DOB RANGE: (DATE RANGE = YYYYR; YYYY=YEAR, R=0-9)  
COB: (5 CHARACTER COUNTRY CODE)  
COC: (5 CHARACTER COUNTRY CODE)  
POE: (3-CHARACTER PORT OF ENTRY CODE)  
DOE: (MMDDYYYY)  
COR: (3 CHARACTER CLASS OF ADMISSION CODE)  
FCO: (3 CHARACTER FILES CONTROL OFFICE CODE)  
SEX: (M/F)

YOU MAY REQUEST A SEARCH ON FIRST-NAME-ONLY ALIASES, ON LAST-NAME-ONLY ALIASES,  
AND ON ALIASES CONTAINING BOTH FIRST AND LAST NAMES. OTHER FIELDS ARE OPTIONAL.  
SPECIFY THE SEARCH CRITERIA, THEN PRESS ENTER TO BEGIN THE ALIAS NAME SEARCH.

CLEAR EXIT PF3 REFRESH PF4 MENU PF5 HELP PF6 MAIN MENU

3270

NUM OVR

The primary use for the 9104 screen would be to perform a search using any alias information provided in the FOIA request.

# FOIA/PA ASSISTANT'S GUIDE

## 1.8 Sounds Like Name With Date of Birth (DOB) Search (9106)

CINDSND IMMIGRATION AND NATURALIZATION SERVICE 08 03:06  
COMMAND: S106 CENTRAL INDEX SYSTEM - "SOUNDS LIKE" NAME 09:25:07  
WITH DATE OF BIRTH (DOB) SEARCH

\* LAST NAME: (40-CHARS MAX)  
\* FIRST NAME: (25-CHARS MAX)

EXACT DOB: (MMDDYYYY; YYYY YEAR; MM MONTH; DD DAY)  
DOB YEAR RANGE: (YYYYR; R 0-9)  
DOB MONTH RANGE: (YYYYMMRR; RR=0-12)  
DOB DAY RANGE: (YYYYMMDDRR; RR=0-31)

LAST NAME MATCH: (NUMBER OF EXACT CHARACTERS TO MATCH (0-9))  
FIRST NAME MATCH: (NUMBER OF EXACT CHARACTERS TO MATCH (0-9))

COB: (COUNTRY CODE) COA: (CLASS OF ADMISSION CODE)  
COC: (COUNTRY OF CITIZENSHIP) FCO: (FILES CONTROL OFFICE CODE)  
POE: (PORT OF ENTRY CODE) SEX: (M/F)  
DOE: (MMDDYYYY)

\* LAST NAME, FIRST NAME AND ONE OF THE DOBS ARE REQUIRED. REMAINING FIELDS ARE  
OPTIONAL. SPECIFY SEARCH CRITERIA. THEN PRESS ENTER TO INITIATE THE SEARCH.  
CLEAR EXIT PF3 REFRESH PF4 MENU PF5 HELP PF6 MAIN MENU

5270

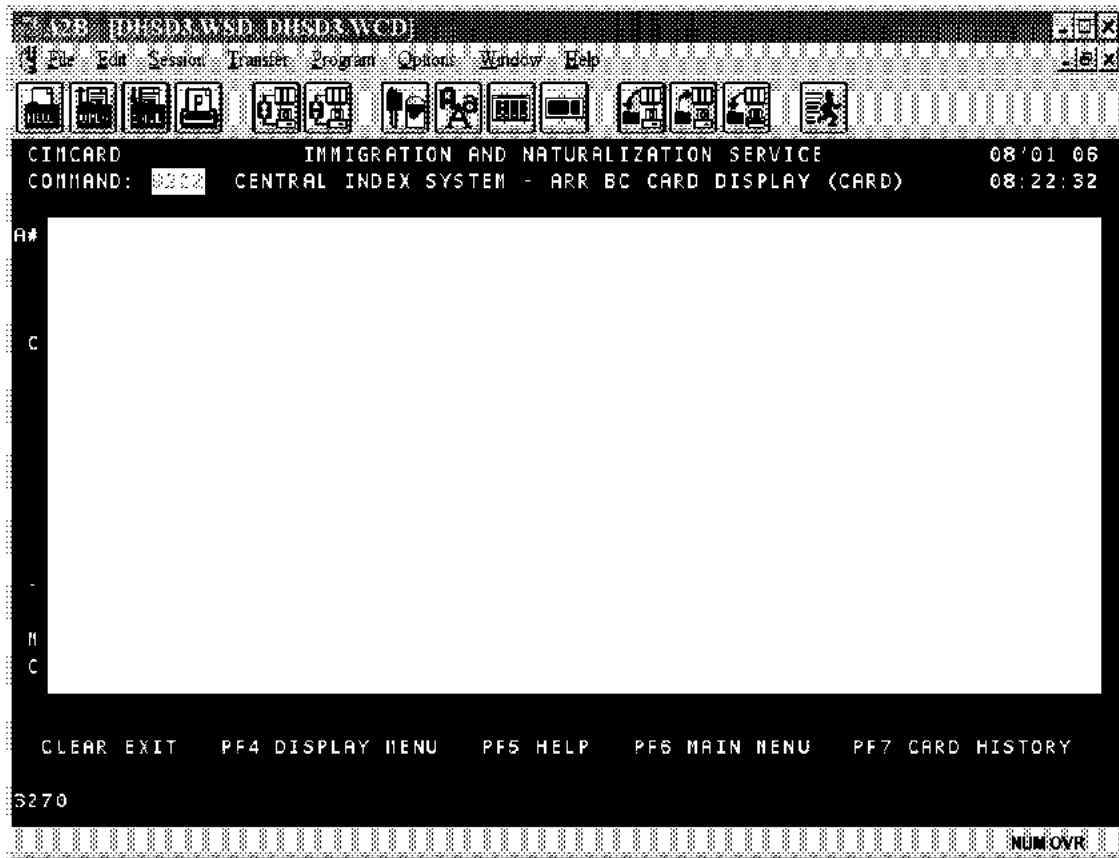
NUM OVER

The 9106 screen allows searches for information pertaining to the subject of the request even if the spelling of the name is incorrect. For example, the requestor made a typographical error in the spelling of the name the search results will yield a list of similar names matching the subjects.

# FOIA/PA ASSISTANT'S GUIDE

## 1.9 Card Search (9222)

(b)(6)



The 9222 screen is a snapshot of an actual Legal Permanent Resident (LPR) Card. In addition, this is the same screen to find Border Crossing Card information.

# FOIA/PA ASSISTANT'S GUIDE

## 1.10 File Transfer Display (9504)

(b)(6)

FILE TRANSFER DISPLAY (9504)

File Edit Session Transfer Program Options Window Help

08/01/06 11:33:03

COMMAND: CIS - FILE TRANSFER DISPLAY (FTD)

A#:

PREVIOUS FCO: BAL FCO CREATING SUB-FILE:  
CURRENT FCO: NRC SUB FILE CREATION IND:  
REQUEST FCO: NRC

FILE LOCATED IND: C (FILE TRANSFER COMPLETE)

DATE FTR: 01242006 (MMDDYYYY) ACCESSION NUMBER: 0000  
DATE FTI: 01242006 INS BOX NUMBER:  
DATE FTC: 02022006

PERSON ACTION: REQUEST NUMBER:  
2ND REQUEST DATE:  
3RD REQUEST DATE:

YOU MAY REQUEST A DISPLAY OF ANOTHER A-FILE BY KEYING A DIFFERENT A-NUMBER.

CLEAR EXIT PF3 REFRESH PF4 FTS MENU PF5 HELP PF6 CIS MAIN MENU

5270

NUM OVER

The main purpose of the 9504 screen is to check the location and movement of files. This screen's primary use as it relates to FOIA is that it will be used in conjunction with NFTS in the case create function. The following is a list of acronyms displayed on this screen.

FTR: File Transfer Request  
FTI: File Transfer Initiated  
FTC: File Transfer Complete



# FOIA/PA ASSISTANT'S GUIDE

## 1.11 Tables



The Tables section contains a wealth of informational codes that can be of assistance in making a decision about the subject of the request, such as **Class of Admission**. To get to this screen select the "keyboard" from the toolbar at the top of the screen and click the clear button on the keyboard. Once this is done type in the word tables. The next screen displayed will be the Tables Menu Screen.

# FOIA/PA ASSISTANT'S GUIDE

### 1.12 Tables Menu



Placing the cursor in the **Table ID** field and pressing the function key PF7 a list of tables is displayed.

# FOIA/PA ASSISTANT'S GUIDE

## 1.13 Tables Information Screen

TBXTBINF      INS STANDARD TABLES DATABASE FACILITY      PAGE 09/15 06  
 TABLE INFORMATION SCREEN      0001 08:46:07

COMMAND (SELNU, VADRD, LODRD, VAINF, OR LOINF)

SEL ONE	TABLE ID	TABLE TYPE	TABLE DESCRIPTION
	ADTX	VAL	ADJUSTMENT OF STATUS CODES
	AFAC	VAL	CIS/AFAC ECO CODE TABLE
	AIRX	LOC	INTERNATIONAL/MUNICIPAL AIRPORTS
	ASC	LOC	APPLICATION SUPPORT CENTERS
	ASIL	LOC	ASYLUM INTERVIEW OFFICES
	ASYL	LOC	ASYLUM OFFICES
	BPHQ	LOC	HEADQUARTERS
	BPHX	VAL	BORDER PATROL SECTOR CODES
	BPSH	LOC	BORDER PATROL SECTOR HEADQTRS
	BPST	LOC	BORDER PATROL STATIONS
	BPSX	VAL	BORDER PATROL STATION CODES
	CCDI	VAL	INS/DOS USCS COUNTRY CODE DISCREPS

PF1      PF2      PF4      PF6      PF8  
 PGFRWD    PGWRD    PREV SCN    MENU    EXIT

TB100043    SELECT ONE RECORD OR TRY OTHER FUNCTIONS  
 3270

NUMOVR

The tables are in alphabetical order. Place an X in the "SEL ONE" column and press enter and this will bring up a list of different codes.

# FOIA/PA ASSISTANT'S GUIDE

## 1.14 Value Tables Browse Screen

INS STANDARD TABLES DATABASE FACILITY  
VALUE TABLES BROWSE SCREEN

PAGE 09/15/06  
0014 08:56:10

COMMAND (SELNU, VADAD, LODAD, TBINF, OR LOINF)

TABLE ID: ADJX TABLE DESC: ADJUSTMENT OF STATUS CODES

SEL	SEARCH VALUE	VALID CODE	TABLE TEXT
IB7		IB7	SLF PETITION CHILD OF USC
IB8		IB8	CHILD OF IB6
IC6		IC6	INDOCHINESE REFUGEE
IC7		IC7	SPS CH INDCHN REF NOT QUA SEC
ID6		ID6	INDOCHINESE PAROLEE
IF1		IF1	ALIEN REC ADM FOR PER RES CREA
IF2		IF2	MINOR CHILD OF IF1 ALIEN
IR0		IR0	PARENT OF U. S. CITIZEN
IR6		IR6	SPOUSE OF CITIZEN
IR7		IR7	CHILD OF CITIZEN
IR8		IR8	ORPHAN ADOPTED ABROAD BY CITZ

PF1 PF2 PF4 PF6 PF8  
PGFRWD PGWRD PREV SCN MENU EXIT

TB100043 SELECT ONE RECORD OR TRY OTHER FUNCTIONS  
S270

NUM OVER

Read the screen in its entirety for navigation instruction and additional information.

# FOIA/PA ASSISTANT'S GUIDE

## 2. Computer Linked Application Information Management System

## 2.1 Introduction

The Computer Linked Application Information Management System (CLAIMS) tracks application and petitions. CLAIMS is a menu driven system. The Inquiry/Update Processing selection on the menu is the only menu NRC FOIA uses because we search for receipts but never modify information in CLAIMS.

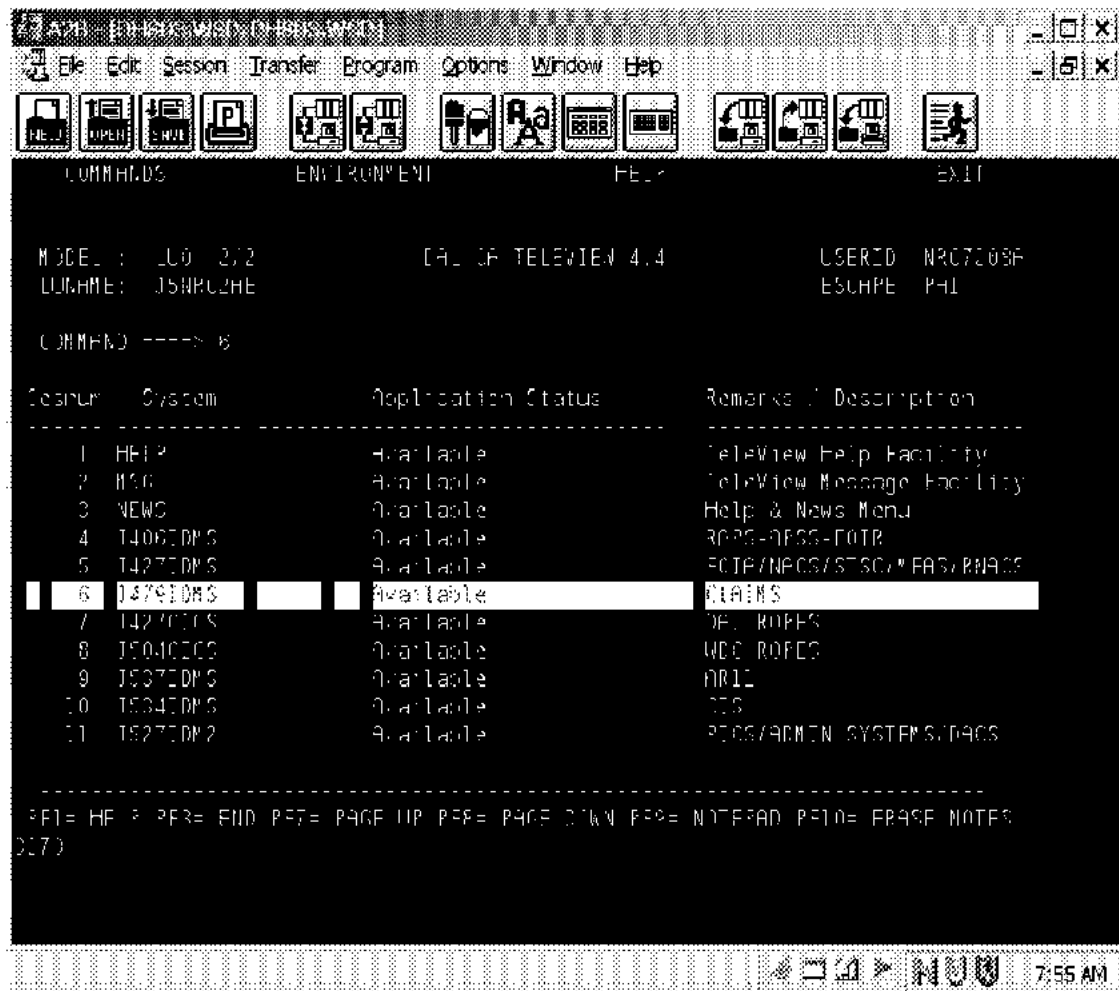
## 2.2 Teleview Introduction Screen



This screen is the introduction to TeleView. From this screen, use the designated UserID (NRC####A) and Password to sign onto the database.

# FOIA/PA ASSISTANT'S GUIDE

## 2.3 CLAIMS Selection Screen



The number selected to access CLAIMS can vary for each computer.

# FOIA/PA ASSISTANT'S GUIDE

## 2.4 CLAIMS Function Screen



After selecting CLAIMS from the main menu, you will see the screen print shown above. Type in claims and press enter. This screen is not case sensitive.

# FOIA/PA ASSISTANT'S GUIDE

## 2.5 CLAIMS Welcome Screen



Press enter from here to get to the login screen.



# FOIA/PA ASSISTANT'S GUIDE

## 2.6 CLAIMS Logon Screen

A2B [D:\SDG\WSD, D:\SDG\WSD]

File Edit Session Transfer Program Options Window Help

NEW OPEN SAVE PRINT FIND

CLAIMS MAINFRAME SYSTEM 12/15/0005 08:56

LOGON

LEGALIZATION NOTICE OF CONFIDENTIALITY

SECTIONS 210(8)(c) AND 245(c)(5) (CONFIDENTIALITY OF INFORMATION) OF THE IMMIGRATION AND NATIONALITY ACT, AS AMENDED, LIMIT THE USE OF INFORMATION FURNISHED THE SERVICE IN CONNECTION WITH LEGALIZATION APPLICATIONS. ANYONE USING, PUBLISHING, OR PERMITTING SUCH INFORMATION TO BE EXAMINED IN VIOLATION OF THE ABOVE SECTIONS SHALL BE SUBJECT TO A FINE AND/OR IMPRISONMENT IN ACCORDANCE WITH TITLE 18, UNITED STATES CODE.

USER ID: NRC1234A

PASSWORD:

PLEASE ENTER CLAIMS USER ID AND PASSWORD

Log LOGOFF

NUM OVR

To logon, your USER ID will be NRC and the last 4 digits of your social security number followed by a letter (NRC1234A). Check with your supervisor for your password.

# FOIA/PA ASSISTANT'S GUIDE

## 2.7 CLAIMS Main Menu Screen



From the Main Menu type the number for INQUIRY/UPDATE PROCESSING and press enter.

# FOIA/PA ASSISTANT'S GUIDE

## 2.8 Inquiry Screen, searching with a Receipt Number

(b)(6)

CHIPS MAINFRAME SYSTEM  
UPDATE PROCESSING MENU  
12/15/2005  
08:59  
NR072684

SELECT AND COMPLETE ONE LINE

1. RECEIPT NO. [REDACTED]

(SELECTIONS BELOW FOR APPLICATIONS AND PETITIONS ONLY)

2. USER ID DATE (MMDDYY)  
3. REFERENCE NO. NAME (LAST) (FIRST)  
4. PETITIONER NAME (LAST) (FIRST)  
5. REFERENCE NO. NAME (LAST) (FIRST)  
6. PETITIONER NAME (LAST) (FIRST)  
7. PER PER PER PER PER PER PER  
8. PER PER PER PER PER PER PER  
9. PER PER PER PER PER PER PER  
10. PER PER PER PER PER PER PER  
11. PER PER PER PER PER PER PER  
12. PER PER PER PER PER PER PER

NUM OVR

On the Inquiry screen, there are several ways to search for records. If you know the receipt number, type the number under the first field to pull up the receipt information.

# FOIA/PA ASSISTANT'S GUIDE

## 2.9 Searching CLAIMS using a Name and Date of Birth

CLAIMS MAIN-MENU SYSTEM

UPDATE PROCESSING MENU

02/07/2009  
09:16  
NR072684

SELECT AND COMPLETE ONE LINE

1. RECEIPT NO.

(SELECTIONS BELOW FOR APPLICATIONS AND PETITIONS ONLY)

2. USER ID DATE (MMDDCCYY)

3. BENEFICIARY/APPLICANT

NAME (LAST): NAME (FIRST):

BIRTH DATE: (MMDDCCYY)

4. A NUMBER: A

5. REFERENCE NO.

6. PETITIONER

NAME (LAST): NAME (FIRST):

PER: DANIEL PER: MAIN MENU PER: LOGOFF PF1: REMOTE PF11: ACT UPD BY CODE PF12: ACT UPD BY RPT

317)

NUM OVR

You may also search name and birth date. CLAIMS does not forgive spelling errors and will not conduct “sounds-like” searches. If you do not immediately find a receipt, you should also search by alias names and variations of the name. You may also search without the birth date. This may have the results you are looking for depending on how common the name of the subject. Searching using the birth date will narrow the findings.

# FOIA/PA ASSISTANT'S GUIDE

(b)(6)

The screenshot shows a terminal window titled "CLAIMS MAINFRAME SYSTEM". The interface includes a menu bar with options: File, Edit, Session, Transfer, Program, Options, Window, Help. Below the menu is a toolbar with various icons. The main display area shows a list of receipts with columns: RECEIPT NBR, LAST NAME, FID, FORM, FEE AMT, and REC DATE. A large white rectangular box redacts the names of the subjects. Below the list, the text "TYPE IN SELECTION:" is displayed. At the bottom, there are function key labels: PF1, PF2, PF3, PF4, PF6, PF8, PG F40, PB BACK, PCANCEL, PRIOR MENU, MAIN MENU, and LOGOFF. The page number "32/6" is visible in the bottom left corner, and "NUM OVR" is in the bottom right corner.

RECEIPT NBR	LAST NAME	FID	FORM	FEE AMT	REC DATE
1.		0093		196.36	32/17/2037
2.		0136		196.36	32/14/2037
3.		0285		226.36	32/14/2037
4.		0285		186.36	32/11/2037
5.		0285		335.36	32/11/2037
6.		0126		1196.36	31/04/2037
7.		001950			
8.		0093			32/13/2037
9.		0285			32/08/2037
10.		0285			32/08/2037
11.		0126		196.36	30/05/2036
12.		0136		196.36	32/12/2037
13.		0093		196.36	32/12/2037
14.		0285			32/09/2037
15.		0093			32/09/2037
16.		0093		196.36	31/17/2037

TYPE IN SELECTION:

PF1 PF2 PF3 PF4 PF6 PF8  
 PG F40 PB BACK PCANCEL PRIOR MENU MAIN MENU LOGOFF

32/6 NUM OVR

If your subject has a very common name, the inquiry may result in several pages of matches. View the screen pertaining to the individual receipt number or look for the type of form. It will show detailed information relating to that specific receipt number. To view the detailed information, type the corresponding number at the bottom of the screen labeled "TYPE IN SELECTION." For example, if you type "3", the detailed information relating to receipt number SRC0710351687 will be displayed.

## FOIA/PA ASSISTANT'S GUIDE

### 2.10 Searching with the A-Number

[illegible]

You may search by A-number. Navigate through these fields by tabbing, or to go backwards, use Shift-Tab. CLAIMS used to allow adjudicating officers to enter alien numbers as an eight-digit number without a leading zero. Ordinarily you should enter a leading zero immediately following the letter A (in purple on this screen) and then enter the rest of the A-number. If you do not find what you need, try deleting the zero immediately after the "A." If the person has a nine digit A-number, you will not have to worry about it. Note: if you search by A-number, it may not show every receipt belonging to the person, so you may still have to search by name and date of birth or by petitioner's name.

# FOIA/PA ASSISTANT'S GUIDE

## 2.11 Searching with the Petitioner's Name

The screenshot displays a terminal window titled "A2B [D:\SDG\WSD, D:\SDG\WCD]". The menu bar includes "File", "Edit", "Session", "Transfer", "Program", "Options", "Window", and "Help". Below the menu bar is a row of icons for various functions: NEW, OPEN, SAVE, PRINT, F1, F2, F3, F4, F5, F6, F7, F8, F9, F10, F11, F12, and a search icon. The main screen area contains the following text:

```
CLAIMS MAINFRAME SYSTEM          02/07/2009
UPDATE PROCESSING MENU          09 16
                                NR072084

SELECT AND COMPLETE ONE LINE

1  RECEIPT NO
   (SELECTIONS BELOW FOR APPLICATIONS AND PETITIONS ONLY)

2  USER ID                      DATE          (MMDDCCYY)

3  BENEFICIARY/APPLICANT
   NAME (LAST)                   (FIRST)
   BIRTH DATE                    (MMDDCCYY)

4  F NUMBER:   A

5  REFERENCE NO :

6  PETITIONER
   NAME (LAST) [REDACTED] (FIRST) [REDACTED]

PF3  PF6  PF8  PF11  PF11  PF12
CANCEL MAIN MENU LOGOFF REMOTE ACT UPD BY CODE ACT UPD BY RCPT
3173
```

At the bottom right of the terminal window, the text "NUM OVR" is visible.

You may search by using the petitioner's name, but be forewarned: if the petitioner has a very common name, the results of this search may be overwhelmingly voluminous.

# FOIA/PA ASSISTANT'S GUIDE

## 2.12 Search Results

The screen print below is the result of a search. The receipt shown is for an I-751, Petition to Remove Conditions on Residence.

A2B [DHISDC.WSD, DHISDC.WCD]

File Edit Session Transfer Program Options Window Help

FILE OPEN SAVE PRINT F1 F2 F3 F4 F5 F6 F7 F8 F9 F10 F11 F12

FSXNAPP2 CLAIMS MAINFRAME SYSTEM 02/02/2006  
APPLICATION UPDATE PROCESSING 08 31  
NR072084  
OWNER: SPO

MODE M  
FORM 0751 REPT NBR: SPO-AP-025-00045 APPEALED FORM  
PART 2 A PART 3 RECEIVED DT: 10/26/2005  
F-NBR H 12345678 REF NBR: RESOL REPT NBR  
NAME TEST TEST NAME  
D/D  
STREET 4041 ST AUGUSTINE CITY: DALLAS  
STATE TX PROVINCE: CTRY: ZIP/POSTAL 75227  
GENDER DOB 00161964 COB: A USA CTRY: LE CTRY: SOC SEC #  
EMPLOYER TAX ID:  
REP CODE REP TYPE: A-ATTY B-DEPT REP. C-OTHER  
NAME  
FIRM CLASS:  
STREET CITY:  
STATE province CTRY ZIP/POSTAL  
STATUS/ACTION [REDACTED]  
END STATUS  
PRIORITY DATE 10262005 DATE VALID FROM: TO  
01937961 - VIEW MODE  
PF2 PF3 PF4 PF5 PF6 PF7 PF8 PF9 PF11  
F1 END CANCEL BACK END INFO MAIN MENU LOGOFF REMIT SHRT HIST  
3179

NUM OVR

(b)(7)(e)

The receipt information gives the name, date of birth, A-number and address. The status of the receipt file is near the bottom of the screen. (STATUS/ACTION: IBS1)



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ASXHIAP2 CLAIMS MAINFRAME SYSTEM 02/02/2006  
APPLICATION UPDATE PROCESSING 08 31  
NR072684  
OWNER: SRC

MODE M  
FIRM 1751 REPT NBR: SRC-06-125-00045 APPEALED FORM  
PART 2 H PART 3 RECEIVED DT: 10/26/2005  
F NBR H 12345678 REF NBR: HOSU RPT NBR  
NAME TEST TEST NAME  
CITY  
STREET 4141 ST AUGUSTINE CITY: DALLAS  
STATE TX PROVINCE: CTRY: ZIP: POSTAL 75227  
GENDER DOB 01161964 COB: FOSTR CTRY: LA CTRY: SOC SEC #  
EMPLOYER TAX ID:  
REP CODE REP TYPE: (O=PTY B=CERT REP, C=OTHER)  
NAME  
FIRM CLASS:  
STREET CITY:  
STATE PROVINCE: CTRY: ZIP: POSTAL

STATUS/ACTION  
INS STATUS  
PRIORITY DATE 10262005 DATE VALID FROM: TO  
01937961 - VIEW MODE

PF2	PF3	PF4	PF5	PF6	PF7	PF8	PF9	PF11
DI INS	CANCEL	BACK	END INFO	MAIN MENU	LOGOFF	REMIT	STAT HIST	

NUM OVR

(b)(7)(e)

The top right corner of the screen shows the owner of the file, this may help in determining where to staff for the receipt file, especially if the receipt information is not in NFTS. This receipt begins with SRC, but that does not matter for staffing – the OWNER would be where you staff.

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```

A2B BHSDGMSD BHSDGMSD
File Edit Session Transfer Program Options Window Help
NEW OPEN SAVE PRINT COPY PASTE FIND A A CALCULATOR TERMINAL
PSKXHF01 CLAIMS MAINFRAME SYSTEM 02/02/2006
PAGE: 1 OF 1 CASE HISTORY 08:33
NR072084

RECEIPT DATE 10/26/2005 RECEIPT NUMBER SKL-005-005-00045

ACTION CODE ACTION DATE USER ID
PBA RECEIVED - FEE WAIVED 10262005 SRCANDEP
CBSI 10312005 PSJUI813

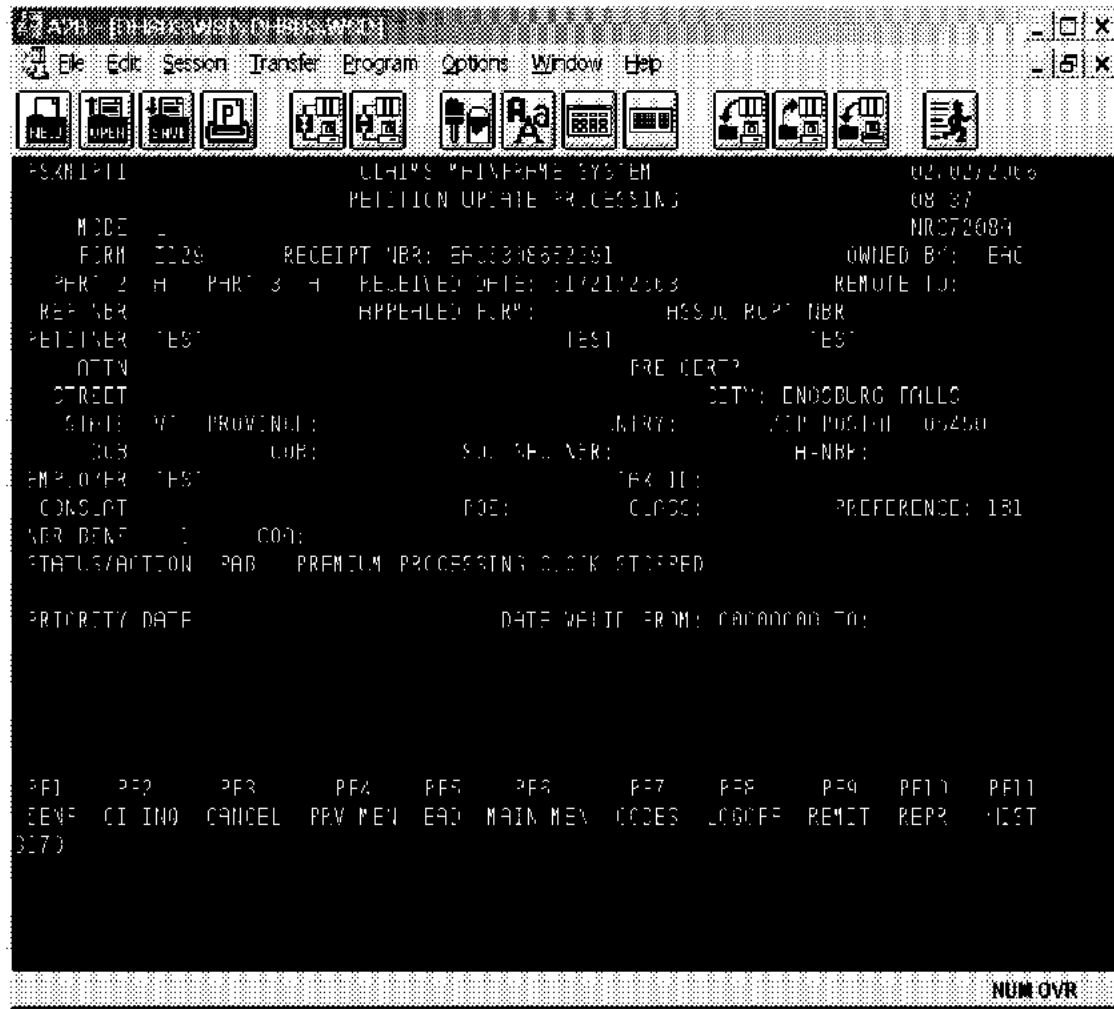
PRESS PF4 OR 'ENTER' TO RETURN TO PREVIOUS SCREEN
PF1 PF2 PF4 PF5 PF7 PF8 PF11
PG FWD PG BACK RETURN MAIN MENU CODES LOGOFF AUDIT
3179
NUM OVR

```

By pressing F11, you may view the history screen. From this screen, we can see the status of the application/petition. If the petition has been approved, destroyed, or transferred, it may make a difference as to how we staff.

# FOIA/PA ASSISTANT'S GUIDE

## 2.13 Beneficiary Petition for Non Immigrant Worker



CLAIMS "PRINTER" SYSTEM 02/02/2006 08:37  
 PETITION UPDATE PROCESSING NRC72684

MODE: - RECEIPT NBR: EFC030E652051 OWNED BY: EAC  
 PART 2: H PART 3: H RECEIVED DATE: 11/21/2003 REMOTE ID:  
 REF NBR: APPEALED FORM: HOSJL RPT NBR  
 PETITIONER: TEST TEST TEST  
 OTTN: PRE CERT?  
 STREET: CITY: ENDORF FALLO  
 STATE: VT PROVINCE: JURY: ZIP POSTAL: 05250  
 CUB: CUB: SCL NBR: H-NBR:  
 EMPLOYER: TEST TAX ID:  
 CONSULT: POB: CLOS: PREFERENCE: 181  
 VER BENT: COB:  
 STATUS/ACTION: PAB PREMIUM PROCESSING CLOCK STOPPED

PRIORITY DATE: DATE WAIT FROM: CANADIAN TO:

PF1 PF2 PF3 PF4 PF5 PF6 PF7 PF8 PF9 PF10 PF11  
 SEVE CI INQ CANCEL PRV MEN EAD MAIN MEN CODES LOGOFF REMIT REPR HIST  
 327)

NUM OVR

On an I-129 petition, the petitioner's information is on the first screen you pull up after you enter or select the receipt number.

# FOIA/PA ASSISTANT'S GUIDE

To see the beneficiary information press F1.

The screenshot displays the CLAIMS MAINFRAME SYSTEM interface. At the top, there is a menu bar with options: File, Edit, Session, Transfer, Program, Options, Window, and Help. Below the menu bar is a toolbar with various icons. The main display area shows the following information:

PGMTATG CLAIMS MAINFRAME SYSTEM 02/02/2009  
 T-129 HLB BENEFICIARY PAGE INFORMATION 08 37  
 NR072084

ACPT NBR: EAC0308652091  
 PETIT NBR: TEST TEST TEST  
 NAME: TESTI TESTI TESTI  
 (7)  
 STREET CITY:  
 STATE PROVINCE: ENTRY: ZIP/POSTAL  
 DOB: 10081974 DOB: NAPP: SFC SER NBR: A-NRP: A  
 DOA I-94 #: EXPIRES:  
 CONSULT POB: CLASS: 101 JOB CODE:  
 EDUCATION CODE: COMPENSATION: \$ A-PA ELIGIBLE/NOT PROVIDED? Y  
 FIELD OF STUDY: NAICS CODE:  
 J-1 LAVER? HLB ELIGIBLE 6 YRS? PREVIOUS EMPLOYER EXEMPT?  
 DECISION DECISION DATE: /ALID FROM: 00000000 TO  
 BENEFICIARY DISPLAYED  
 PH2 PH4  
 CI INO RETURN  
 3173

NUM OVR

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To view the history, press the F4 key to return to the previous screen, and enter F11.

CLHIPS MAIN-MENU SYSTEM

PAGE: 1 OF 1

CASE HISTORY

01/24/2003 08:38 NR072684

RECEIPT DATE: 01/24/2003 RECEIPT NUMBER: EFC-03-086-52291

ACTION CODE	ACTION DATE	USER ID
PCA RECEIVED FEE WAIVED	01/24/2003	ENCCLN01
PEL INFO CHANGE	01/24/2003	ENCCLN01
PEL PREMIUM PROCESSING CLOCK DATE CHANGE	01/24/2003	ENCCLN01
PEL FEE MARKED AS PREMIUM PROCESSING	01/24/2003	ENCCLN01
PEL PREMIUM PROCESSING CLOCK STARTED	01/24/2003	ENCCLN01
PEL VOID PROC ACTION	01/24/2003	ENCCLN01
PEL PREMIUM PROCESSING CLOCK STOPPED	01/24/2003	ENCCLN01

PRESS PF4 OR 'ENTER' TO RETURN TO PREVIOUS SCREEN

PF1 PF2 PF4 PF5 PF7 PF8 PF11

PG FWD PG BCK RETURN MAIN MENU CODES LOGOFF QUIT

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NUM OVR

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ASXINVL CLAIMS MAINFRAME SYSTEM 02/08/2006  
INQUIRY/UPDATE RECEIPT LIST 12 44  
NR072084

RECEIPT NBR	LAST NAME	FI	FORM	FEE AMT	REC DATE
1. MEM3804400001	TEST	T	1731	125.00	02/01/1998
2. JFR3031010006	TEST	T	1735		02/08/2003
3. NCL3601600002	TEST	T	1133		10/18/2005
4. JFR3031010004	TEST	T	1735		02/08/2003
5. OMFA052110004	TEST	T	1735		02/29/2005
6. SRC3814754001	TEST	T	05155H		02/11/1998
7. MEM3000100001	TEST	T	1132		10/01/1999
8. NCL3818700005	TEST	T	1133		02/07/2003
9. NCL3002400012	TEST	T	1133		10/24/2002
10. MEM3806600001	TEST	T	190		01/08/1998
11. OMFA0510900016	TEST	T	1735		03/18/2005
12. JFR3031010005	TEST	T	1735		02/08/2003
13. OMFA052110005	TEST	T	1735		02/29/2005
14. NCL3604300005	TEST	T	1133		11/15/2005
15. OMFA0521100010	TEST	T	1735		02/29/2005
16. COW3812100001	TEST	T	1430	95.00	01/29/1998

TYPE IN SELECTION

PF1 PF2 PF3 PF4 PF5 PF6  
PG FWD PG BACK CANCEL PRIOR MENU MAIN MENU LOGOFF

3179

NUM OVR

There may be numerous results on a name search. Press F1 to see the results of the next page. To view number 10 on page 2 of the results, enter "10." To go back to the results of the search, press F4. The screen always returns to the first page of the search results. Remember this if you are going through the results page by page.

## 3. National File Tracking System (NFTS)

NFTS is an automated system that enables USCIS to track and account for nearly 50 million Allen Files (A-Files) and Receipt Files. NFTS allows for local control of all files within a designated USCIS File Control Office (FCO) or Case Control Office (CCO). The system supports the file migration from the USCIS field offices to facilitate a

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national tracking system that supports the National Records Center (NRC) and a centralization of agency records. You will learn much more about using NFTS in the Staffing section of this guide.

#### **4. Person Centric Query Service (PCQS)**

PCQS is an automated system that allows a person to submit a single query for all transactions involving an immigrant across a number of USCIS and Department of State (DoS) systems. PCQS returns a consolidated view of the immigrant's past interactions with USCIS and the Department of State as he or she passed through the U.S. immigration system.

Since PCQS can give us a comprehensive overview of a person's immigration history, it can help us locate certain documents to request, for instance, we may find information about an archived receipt in PCQS that we would not find in CLAIMS. You do not have to log in to PCQS to read the PCQS User Guide. Simply go to <https://pcq.esb.uscis.dhs.gov/> and click on the Users Guide link below the Warning.

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## **5. FOIA/PA Information Processing System (FIPS)**

The Freedom of Information Processing System (FIPS) is an automated system that allows us to process FOIA/PA requests electronically. This automated system enables the scanning of paper files into electronic images. These images are easily stored, retrieved, and processed. FIPS provides workflow processing for the life of a case. Any time you do any transaction concerning a FOIA/PA case, it will be through FIPS.



# FOIA/PA ASSISTANT'S GUIDE

Doc Mgr	To CSD	1st Case	2nd Case	In Basket	Exit
---------	--------	----------	----------	-----------	------

Case Information  
NRC07178627559REQ

Scanned: 6/27/2007  
G

Final Reply Due: 07/27/2007  
Assigned To: NRC0355A

Request Type: Bureau

Source: Transferred Case From

Category: Referred Case From

☐ Print to CD

☐ Fee Waiver Requested

☐ Expedited Treatment Requested

☐ Fee Waiver Granted

☐ Expedited Treatment Granted

☐ PA Cited

☐ Extension Granted

Requester's Biographical Information

SSN: First Middle Last A

Subject Information

Alien Number: First Middle Last

SSN: First Middle Last

Action List

Seq	Date	Action	Performed By
1	06/27/07	Request Letter	NRC07178627559...
2	06/27/07	Request Supporting D...	NRC07178627559...

Documents

Seq	Date	Document Type	Responsive Unit	Pages	Status
1	06/27/07	Request Letter	NRC07178627559...		Scanned
2	06/27/07	Request Supporting D...	NRC07178627559...		Scanned

Case Notes

Seq	Date	Title	User
-----	------	-------	------

Ver: 6.38 Done 10:56 AM 6/28/2007

## REQUEST

### Type of request

- Always FOIA

### Source

- A - Attorney
- C - Commercial
- E - Education/Scientific
- F - Foreign Government
- N - News Media
- O - Other
- R - Representative
- S - Self
- W - White House/Congressional

### Track 1, 2 or 3

### Category

- ALF - Copy of alien file
- ASY - Asylum
- DOC - Memos, documents
- GEN - Genealogy
- PER - Personnel
- SIG - Special Interest Group
- SFR - SFR cases at NRC

### Print to CD

# **FOIA/PA ASSISTANT'S GUIDE**

## **CREATING THE CASE**

On the FIPS worksheet under the header "Documents," you will notice that usually Sequence 1 is the "Request Letter" and Sequence 2 is usually "Request Supporting Documents." There will be a date beside the sequence number. Ordinarily, the date is in the past, but if you should ever open a request and discover the date beside the sequence number is today's date, you should exit from the request (Retain in my In Basket) and send an e-mail to your supervisor explaining what happened. In the current version of FIPS, if we attempt to create a case on the same day the contractor scanned the request, it will cause "FIPS errors" and we will be unable to create the case. Checking the scan date is the very first thing you do when creating a case.

Sometimes the request will be Form G-639 only, sometimes it will be the G-639 and a G-28, Power of Attorney, sometimes it will be a letter from an attorney or representative and a G-28. Sometimes it will be a letter from the subject of record. At times, there will be documents scanned in such as alien registration card, driver's license or other forms of identification. Other documents you may see can include miscellaneous screen prints or memoranda. You should view (almost) all documents scanned in FIPS in the Request Letter and Request Supporting Documents slots before you create the case.

**EXCEPT:** if there is a slot marked "*Request Responsive Records*", **DO NOT** view them before you create the case. These are the responsive records and the case is ready to process after you complete the acknowledgement letter. It will not be necessary to staff for the alien file. As part of staffing procedure, you should check in NFTS anyway to determine if there is a T-file here at NRC. That's another exception to the rule because you do not normally staff for T-files at the NRC, but we cover that in the staffing portion of this guide. The main thing to remember at this point is not to open "Responsive Records" while it is still a request and before you have completed case creation.

You must identify the following critical items and enter them into the FIPS worksheet before creating the case:

## **REQUEST INFORMATION**

### ***1. Type of request (FOIA)***

Always select **FOIA**. It will be incumbent upon the processor to verify the status of the alien, and to change the case type if necessary.

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## **2. *Source of request***

The source of the request is, quite simply, who is making the request. Is the requester the individual or an attorney or representative speaking on the alien's behalf? Is it a request from the media or a true third party requester? Below is a list of possibilities for requesters:

- A – Attorney - The requester is an attorney representing the alien. The attorney will have checked the box on the G-28 marked “Attorney,” or will have sent us a letter on the law firm’s letterhead.
- C - Commercial
- E - Education/Scientific
- F - Foreign Government
- N - News Media
- O – Others - The requester of the file is someone other than the alien, an attorney or an accredited representative. They might possibly include a G-28 with something other than “Attorney” or “Accredited Representative” checked.
- R – Representative - The requester is an accredited representative. On a G-28, the requester will have marked the box “Accredited Representative.”
- S – Self - This is a request from the alien himself or herself. The request may have the name of an individual followed by “care of” a certain law firm. This is still a self-request.
- W - White House/Congressional

If you feel that you have a case of a different source of request, please contact a supervisor for further guidance.

## **3. *Category of request***

There are 30 different categories of requests. However, the most commonly used ones are:

**ALF** – The requester is asking for an entire copy of an alien file. This category includes the following:

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- a. Files of living subjects
- b. Naturalization records on or after April 1, 1956
- c. Visa records on or after May 1, 1951 in A-files
- d. A-Files above 8 million (A8000000), and documents therein dated on or after May 1, 1951
- e. Registry records on or after May 1, 1951 in A-Files
- f. Alien Registration Forms on or after May 1, 1951 in A-Files

**DOC** – The requester is asking for specific documents, such as a copy of a receipt file, an application or a copy of their naturalization certificate. As a rule, you should create a case as DOC if the requester is asking for up to three documents. If a requester is asking for an asylum application and supporting documents, you should create it as ALF. (Refer to the section *“What track is my case?”* that follows.)

**PER** – The requester is seeking information relating to USCIS personnel matters.

**SIG** – Requester(s) are seeking information relating to special interest requests such as news media requests, highly visible or public interest cases. We receive this kind of request from members of the media, activist groups, watchdog organizations or educational institutions. The documents requested are normally associated with a controversial or sensitive subject.

Select “SIG” if any of the following criteria are met:

- a. The FOIA request relates to a Presidential or agency priority;
- b. The FOIA requester or requested documents will garner media attention or is receiving media attention;
- c. The FOIA request is for documents associated with meetings with prominent elected, business, and/or community leaders;
- d. The FOIA request is for congressional correspondence;
- e. The FOIA request is from a member of Congress;
- f. The FOIA request is from a member of the media;
- g. The FOIA request is from a member of an activist group, watchdog organization, special interest group, etc.;

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- h. The FOIA request is for documents associated with a controversial or sensitive subject;
- i. The FOIA request is for documents associated with a senior official of the component;
- j. A FOIA appeal if it meets one of the "a" through "i" criteria;

Items listed above are suggestive and not exclusive – exercise judgment when marking cases with category "SIG."

If you believe a request qualifies as a SIG, choose that case category in FIPS, generate a staffing sheet using "FOIA Special Interest" and create the acknowledgment letter. This enables the Special Interest Group (SIG), responsible for special interest cases, to create a report and determine whether the case is actually a SIG case and report it accordingly. If the case creators do not mark SIG cases properly, we have no way to track and report these high visibility cases. When in doubt, choose the SIG category in FIPS. The Special Interest Group will sort it out later. If you have questions or need to send information regarding SIG cases to the Special Interest Group, their e-mail address is: NRC\_FOIASIG.

**SFR**– NRC uses this category to track all workload staffed to SFR. This includes cases retired by or lost by SFR, but **does not include ZSF**.

**GEN** – Genealogy cases are requests for searches and/or copies of historical records relating to a deceased person. The lists below represent the records that the public would be able to request from the Genealogy Program:

- a. Naturalization Certificate Files (C-Files) from September 27, 1906 to April 1, 1956.
- b. Microfilmed Alien Registration Forms (AR-2), from August 1, 1940 to March 31, 1944 and Alien Registration Forms from March 31, 1944 to April 30, 1951 in A-Files.
- c. Visa Files from July 1, 1924 to May 1, 1951.
- d. Registry files from March 2, 1929 to March 31, 1944 and Registry records from April 1, 1944 to April 30, 1951.

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- e. A-Files numbered below 8 million (A8000000), and documents therein dated prior to May 1, 1951.

Do not create the case as GEN unless it meets one of the above criteria. If the case you are creating does meet the criteria for GEN, create it as GEN then do the following:

- a. Close the request as an ER
- b. Send an e-mail to the OA room and include the following information:
  - 1) REQ#
  - 2) NRC#
  - 3) Scanner's initials
  - 4) Date scanned

The OA room will pull the original request, include it in the current days count and follow return procedures.

#### **4. Bureau**

The three possible selections for Bureau are:

**ICE** – Used to identify requests wherein the requester is seeking information in connection with deportation hearings and other immigration related litigation (OPLA/DRO/SAC)

**CIS** – Used for all other categories. This is the default in FIPS.

**CBP** – Used for requests pertaining to documents relating to the Border Patrol, incident reports relating to apprehension, entry without inspection (EWI), smuggled humans, mobile patrol group, voluntary return, repatriation, checkpoints, entry/exit information, inspection, Port of Entry (POE), legacy customs or legacy inspections. Key words that you could see on a request relating to CBP are inspection, Port of Entry, Bridge of the Americas, Friendship Bridge, and smuggled goods. **Note: If request is for entry/exit information and the requester/subject provided an alien number, staff for the file.**

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## **5. *What track is my case?***

**Track 1** – Requests for receipt files and requests for partial records such as a specific document. A specific document request consists of three documents or less (except asylum or refugee requests).

Please select the category DOC: Memos, Documents and make the case a Track 1. The first paragraph of the acknowledgement letter sent to the requester must contain the following paragraph:

We respond to requests on a first-in, first-out basis and on a multi track system. Your request has been placed in the simple track (Track 1). You specifically requested [enter specific document information here]. If you would like a copy of all your records, please send a written request to the address above, otherwise you will receive only the documents you specified.

Continue to create the case in Track 1 as specific documents. The requester may write back later responding that they need the whole file, and Records Locator can change it to Track 2 at that time.

**Track 2** – Requests for entire copy of alien file, asylum requests, and requests from news media or special interest groups.

If the request has “all records” checked and lists more than three documents on the G-639, please select the category ALF: Alien File and make the case a Track 2.

**Track 3** – Requests for records of individuals scheduled to appear before an immigration judge. Requesters must provide one of the following documents to receive Track 3 processing:

- Form I-862, Notice to Appear, documenting a future scheduled date of the subject's hearing before the immigration judge.
- Form I-122, Order to Show Cause, documenting a future scheduled date of the subject's hearing before the immigration judge.
- Form I-863, Notice of Referral to Immigration Judge

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- Written notice of the continuation of a future scheduled hearing before an Immigration Judge.

A supervisor will review all incoming FOIA requests and identify Track 3 requests. The supervisor will verify that necessary documentation is present with the request. There should be an attached cover sheet indicating to the case creator whether the request for Track III is approved or denied.

Requesters will sometimes request both Track III processing and expedited processing. Neither has anything to do with the other. A requester could be granted either Track III processing or expedited processing, but never both at the same time on the same case. For expedited processing guidelines, please refer to **“Expedited Treatment”** in this guide.

Track III processing is not “expedited” processing as that term is used and understood in FOIA. When discussing Track III processing of a FOIA request the word “expedited” should never be used (priority or accelerated processing are more appropriate terms for Track III). Don’t confuse the two in discussions or correspondence with requesters.

Refer to the cover sheet the supervisor attached to the request. There should be either an Expedited coversheet or a Track III coversheet, but not both. Follow the instructions on the cover sheet attached to the request. If there is no cover sheet, do not mark either box.

If the requester specified Track III processing but the request does not have a cover sheet, please create the case. Do not staff yet. If you have a request for Track III and you see that we have a future court date provided in the request, prepare your response according to the Track 3 Ack Letter found in O:\Foia\FOIA LIBRARY\Case Create References\Case Create Template Letters

If the requester did not provide any documentation or if the documentation says “a date and time to be determined” prepare your response according to the Track 3 Letter Denial found in O:\Foia\FOIA LIBRARY\Case Create References\Case Create Template Letters



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Send the case to Unit Chief. Send an e-mail to your supervisor and include the control number of the case. When your supervisor makes a decision the case will be returned to you in case create to staff for the file.

If you assign the case to Track III, ensure you put the words "TRACK III" at the top of the staffing sheet.

If the requested file has already been scanned because of a prior FOIA request that has now been resubmitted for Track III processing, do not create the case as new. You will attach the new request to the existing case as a CSD. If Track III processing has been approved, you have to change the track on the original case to Track III.

**To attach a new request as a CSD, please follow these instructions:**

When you pull up your new request and determine that it is a Track III request (there should be a cover sheet attached to the request granting or denying "Track III" and the necessary documentation should be present), if you know the existing case number it is not necessary to fill in the blanks of the FIPS worksheet. If you don't know if there is an existing case, fill in the fields on the worksheet in FIPS. If you click on Doc Manager, and you find a potential duplicate case, please carefully review the existing case. If the requester is the same, note that control number.

- Cancel back to FIPS without assigning a control number to the new request. In the upper right of the worksheet, click the button "To CSD". This will change the request to a CSD. After it is changed, the button that previously said "To CSD" would now say "To REQ" and the document type in the document portion of the worksheet will have changed from Request Letter and Supporting Docs to Case Supporting Docs.

FIPS Worksheet - Case Creator	
Doc Mgr	To CSD
Case Information NRC05054358581REQ	
Scanned 2/23/2005	
Final Reply Due 04/01/2005	
Assigned To NRC8080A	

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FIPS Worksheet - Case Creator

Doc Mgr	To REQ	Print/Save	Back	2nd Case	In Basket	Exit
---------	--------	------------	------	----------	-----------	------

Case Information  
NRC05054358581CSD

Scanned 2/23/2005

Final Reply Due 04/01/2005  
Assigned To NRC0000A

Hide Image

- Click Doc Manager again. When the search screen appears, you can search using the alien number or the control number of the existing case and click search. This will pull up the FIPS Manage Scanned Document Screen.

FIPS Worksheet - Case Creator

Control#	Date Scanned	Req's Last	Req's Fr	Subject	Alien Number	Status	Final Ac	Category
05054358581CSD	2/23/2005	05054358581CSD	05054358581CSD	05054358581CSD	05054358581CSD	05054358581CSD	05054358581CSD	05054358581CSD

Attach to Existing Case

Expedited Treatment Denied	Litigation Notice	Address Change	Request for Status
Expedited Treatment Granted	Remand/Non-Compliant	Requester Documentation	Other Supporting Document

View  
Cancel

- Highlight the control number of the existing case. This action activates the box on the bottom of the screen. Attach the new request to the existing case as an Other Supporting Document. FIPS will ask you to verify that you are attaching it to the proper case. FIPS will then attach the new request and supporting documents to the existing case.

After FIPS finishes attaching the information, (please be patient; do not click anything else while you are waiting), it will open up the original case, allowing you to update the track selection. Exit back to your in basket and either pend the

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case for responsive records (if the file has not been scanned in) or send it to the processing queue.

Once you have attached the CSD's to the existing case, the existing case is assigned to you in Case Create. Whether Track III processing is approved or denied, please send a status letter. Please click In-Basket and save the case.

Next, click Stand-Alone and call the case up. Click on Status Letter and replace the contents of the letter with the Track III Denial verbiage located at: O:\Foia\FOIA LIBRARY\Case Create References\Case Create Template Letters\Track 3 Letter Denial. Close and save the letter. Click In-Basket to get back to the FIPS – Select Role screen. Click Case Create and click Next Case to recall the case you were working on. Either pend the case for Responsive Records (if the file has not been scanned in) or send the case to the processor if the responsive records have been scanned in.

To send a Track III approval letter, simply click on Status Letter and replace the information detailing where your case is in the queue with the following statement:

Your case has been approved for Track III processing.

### **6. *Is there a request for fee waiver?***

The requester may ask for a waiver of fees in his or her request or in accompanying documentation submitted with his or her request. USCIS considers all requests for fee waivers on a case-by-case basis.

A requester must meet two requirements in order for USCIS to grant a fee waiver:

1. The disclosure of the requested information must be in the public interest.
2. AND the disclosure of the information is not primarily in the commercial interest of the requester. For a detailed explanation, please refer to the U.S. Department of Justice Guide to the Freedom of Information Act, "Fees and Fee Waivers."

Also note: the requester must ask for a fee waiver. Under current guidance, simply including a DOJ Fee Waiver form does not constitute a request for fee

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waiver. If the requester has written any statement to the effect of a request for fee waiver on the form, then you treat it as a request for fee waiver.

When a requester has asked for a fee waiver, you must check the box marked "Fee Waiver Requested" on the FIPS worksheet. Regardless of the decision on the fee waiver, you must insert a case note in FIPS indicating that you addressed the fee waiver request. When you are finished creating a case with a fee waiver request, send the request to Unit Chief and e-mail your supervisor. A supervisor will make the decision to approve or deny the fee waiver and send the case back to you in the case create role.

**Fee Waiver Denied:** When you respond to a request for fee waiver, you must add specific language to the acknowledgement letter. Please see O:\Foia\FOIA\_LIBRARY\Case\_Create\_References\Case\_Create\_Template\_Letters\Fee\_Waiver(denied) for an example of the denial language. Copy and paste this language into the acknowledgement letter. Do not bold, underline, highlight or enlarge the font of the language. If the font changes to bold when you paste it in, highlight that text and remove the bold.

**Fee Waiver Granted:** If the decision is to grant the fee waiver, then please check the box marked "Fee Waiver Granted." In the acknowledgement letter, please add the following sentence to the end of the first paragraph:

This is to inform you that your request for a fee waiver has been granted.

### **7. *Is there a request for expedited treatment?***

A requester may ask for his or her request to be expedited and processed outside the order of receipt. By law, we must respond to a request for expedited treatment within 10 business days.

USCIS will grant expedited processing if the requester establishes **either**:

(1) circumstances in which the lack of expedited treatment could reasonably be expected to pose an imminent threat to the life or physical safety of an individual;

....  
**or**

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(2) an urgency to inform the public about an actual or alleged federal government activity, if the requester is a person primarily engaged in disseminating information.

The requester must send a statement explaining in detail the basis for requesting expedited treatment. If a requester asks for expedited processing and fails to meet the criteria, we process the request in the appropriate track, using the “first in/first out” rule [See 6 C.F.R. § 5.5(a)].

OA personnel normally separate mail and faxes pertaining to expedited treatment prior to scanning. A supervisor then reviews and makes a determination regarding the expedited treatment. The supervisor will attach a cover sheet to the front of the request detailing the determination. Please create the case in accordance with the instructions on the cover sheet.

If the requested file has already been scanned because of a *currently open* prior FOIA request that has now been resubmitted for expedited processing, do not create the case as new. You will attach the new request to the existing case as a CSD.

- If expedited processing has been approved based on new information, you have to check expedited processing approved on the original case and send an expedited treatment approval letter by opening the original case in stand-alone mode, removing the sentence about where the case is in queue, and replacing it with “This letter serves to notify you that your case has been approved for expedited processing.”
- If expedited treatment was already denied in the *currently open* prior case, and the supervisor’s decision is the same, attach your request to the original case as a CSD and do not send further correspondence.
- If the expedited treatment request refers to a case that *has already been closed*, close it as DP and send a duplicate letter or to create it as a new case, based on the situation. Please refer to the section on DP (duplicate) Cases.

Sometimes the OA room will miss an expedited request. If this happens, check the “Expedited Treatment Requested” box, create the denial letter and then send the case to Unit Chief. Send an e-mail to your supervisor explaining the situation.

**EXCEPT:** Do not mark both “Expedited Treatment Requested” and “Track III.” A request can be either expedited or Track III, but not both. If the requester has asked for Expedited Treatment and Track III, treat it as if it is a Track III request

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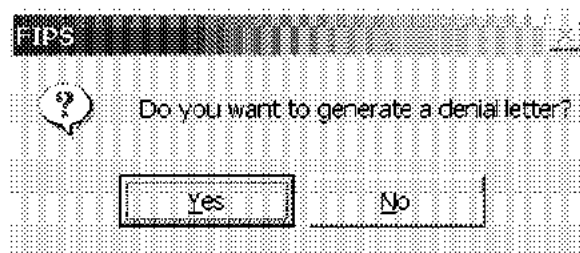
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and follow the instructions in TRACK III PROCEDURES. In such a case, you should not mark "Expedited Treatment Requested" before sending it to Unit Chief.

If the supervisor granted expedited processing, check **both** the "Expedited Requested" and "Expedited Treatment Granted" buttons on the FIPS worksheet. When you create the acknowledgement letter, the following box will appear:



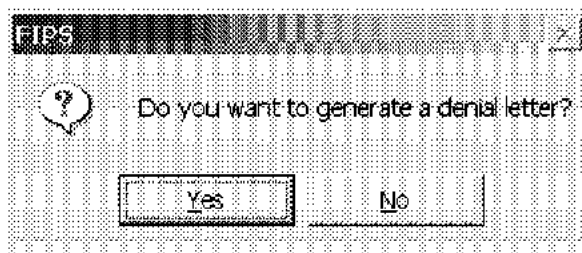
Click "NO" if we granted expedited processing (because we do not want to generate a denial letter) and FIPS will generate the acknowledgement letter. We must advise the requester that his or her request for expedited treatment has been granted. In the acknowledgement letter, please add the following statement to the end of the first paragraph:

This is to inform you that your request for expedited treatment has been granted.

USCIS denies most requests for expedited treatment because the requester failed to establish either of the necessary criteria. If the supervisor denied expedited processing, we must advise the requester of the criteria for expediting a request and offer an opportunity to resubmit additional justification. The requester also has the right to appeal the decision to the USCIS FOIA Appeals Office.

If the requester has asked for expedited treatment and the supervisor has indicated denial, you must check the box marked "Expedited Treatment Requested" on the worksheet. This will generate a pop-up window that asks the question:

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The answer to the question in this circumstance is “Yes”. After you have answered this question, FIPS will create both the acknowledgement letter and the letter denying expedited treatment. Please do not click on the documents as they are generating. The system will take a few moments for completion. After creating both letters, FIPS will return to the FIPS worksheet and both documents will appear on the status bar of your computer (the area on the bottom of the screen that shows you what programs/documents you have open). You can then click on them to make any necessary corrections, close and save changes.

If there is an Expedited Treatment Requested cover sheet, and if you determine during case create that this needs to be a multiple case, you must check the Expedited Treatment Requested box (and create the appropriate response letters) for each child case. On the other hand, it might be that we will treat only the parent case as an expedited treatment request. The supervisor will make a statement to that effect on the cover sheet, and of course, in such a situation, you would not mark the child cases as expedited treatment requests.

NOTE: If there is an Expedited Treatment Requested cover sheet, and if you determine during case create that we need to close the case RD, RF, DP or ER, then un-check the box before you close the case. Because we are not generating a letter regarding expedited treatment, and because it would cause erroneous reporting of Expedited Treatment Requests, you must un-check the box.

### **CD OR PAPER?**

In an effort to save time, money and resources, the FOIA unit sends out final action responses on CD to all requesters (with two exceptions). When we send out the acknowledgement letter to the requester, it advises them that unless they write in and specifically ask for their documents on paper, they will be receiving them in a CD format. The acknowledgement letter templates reflect the change.

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A few guidelines to follow:

- Case Creators will mark the “print to CD box” on all new case creates, unless the mailing address of requester is to a correctional facility or unless the requester specified paper in the initial request letter.
- If the responsive records are already scanned in when you create the case, you will still check print to CD. The processor must uncheck the print to CD box if the responsive records are less than 15 pages.
- All responsive records mailed to a correctional facility must be on paper. In such an instance, you must modify the acknowledgement letter so that we do not tell the requester we are printing the responsive records to CD. Modify the acknowledgement letter by removing the paragraph that begins with “This office will be providing your records on a Compact Disc (CD)”
- If the requester is in prison but we are sending the responsive records to an attorney’s office, we will print to CD.
- If a requester specifically asks for their records on paper, do not check “Print to CD” box and case note the reason. In such an instance, you must modify the acknowledgment letter so that we do not tell the requester we are printing the responsive records to CD. Modify the acknowledgement letter by removing the paragraph that begins with “This office will be providing your records on a Compact Disc (CD)”

## **REQUESTER'S BIOGRAPHICAL INFORMATION**

### ***1. Requester name***

When entering the information on the FIPS worksheet, please observe the following rules

- Do not use all capital letters when entering names.
- Do not use professional titles, such as Doctor or Reverend in the requester information.
- You may use Jr., Sr. or II, III, etc., if the requester or subject uses it on the request.
- Do not open cases in the name of a company only.

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- Do not hyphenate names.
- Be accurate with the spelling of the requester's name in FIPS. If the name of the requester is not clear on the request letter, check the supporting documents for a Form G-28 for a clear copy.
- Add a period after the middle initial.
- Do not use part of the last name as a middle name, for example Hispanic names.

## 2. *Is this a delinquent requester?*

After you enter the last name of the requester, FIPS will automatically conduct a search for delinquent fees owed by that requester, using the last name of the requester. If the requester is delinquent on any case in any office nationwide, a box will pop up on the screen (see below).

Control Number	SSN	Name	Amount Outstanding
LOS200400C		PABLO	\$15.70
NRC20040		SONIA E.	\$25.80
NRC20090		ROBERTO ANTONIO	\$17.90

If a requester/subject previously submitted a request and owed a fee on a case and he or she did not pay the fee within 30 days, his or her case closed as a FP (failure to pay). If the subject/requester submits a new FOIA request, the Delinquent Requester notification is going to pop up. Your requester may possibly not be on the pop-up list. FIPS conducted a search by the last name(s) of delinquent requesters.

Do not treat the case as delinquent if the case was processed on or before December 31, 2003. Send an e-mail to [NRC\\_FIPSPROBLEM](mailto:NRC_FIPSPROBLEM) (clicking on the link will automatically include a copy to NRC, FOIAPROGRAM). In the body of

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the e-mail, include the name of the delinquent requester and the delinquent case number(s).

If the case was processed after December 31, 2003 and your requester's name was on the list:

If you encounter a delinquent requester from a FIPS Lite office, do not treat them as delinquent. We have no way of obtaining those records to release to the requester. You will know the request was processed in FIPS Lite when you view the case because you will see the FIPS Lite placeholder.

Make sure the requester of the case you are creating is the same requester that FIPS is showing as delinquent. You must view the delinquent request(s) to make this determination. To view a case, highlight the line and click view. If the delinquent requester matches your requester, treat the new request as delinquent. To get the delinquent case information (case number, dollar amount) in your acknowledgement letter and in the new case, highlight the name in the box that matches your requester and click ok.

Delinquent Cases

Choose a corresponding delinquent case if it applies:

Control Number	SSN	Name	Amount Outstanding
LOS2004000		PABLO	\$15.70
NRC20040		SONIA E.	\$25.80
NRC20090		ROBERTO ANTONIO	\$17.90

View Ok Cancel

When you complete the case create process and the new case has a control number, FIPS will notate the delinquency on the worksheet.

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**FIPS Worksheet - TRN Case Creator**

**Ack Letter** | **Staffing** | **1st Case** | **2nd Case** | **In Basket** | **Exit**

**Case Information:**  
TRN2008000003

**Scanned:** 12/18/2006 **Final Reply Due:** 01/08/2009  
**Assigned To:** NRC2730A

**Request Type:** F:FOIA Request **Bureau:** CIS:Citizenship and Immigration  
**Source:** A:Attorney **Transferred Case From:**   
**Category:** ALF:Alien File **Referred Case From:**

☐ Print to CD ☐ Track 1 ☒ Track 2 ☐ Track 3

☐ Fee Waiver Requested ☐ Expedited Treatment Requested ☐ PA Chkd  
☐ Fee Waiver Granted ☐ Expedited Treatment Granted ☐ Expedited Granted

**DELINQUENT REQUESTER:** NRC20090 for \$17.90

**Requester Information:**  
SSN: - - First: Roberto Middle: Last: Mouse

**Subject Information:**  
Alien Number: 012345678 ☒ Name ☐ Subject  
SSN: - - First: Mickey Middle: Last: Mouse

**Action List**

**\*\*Do not staff for responsive records until we receive payment.**

If the requester has more than one delinquent case, you will have to add up the total and modify the delinquent requester letter providing the case number for each delinquent case, the dollar amount owed for each, the total dollar amount owed, and instructions to prepare a check for the total amount made out to "U.S. Treasury."

When you click "ACK Letter" the following screen pops up. Click OK to generate the letter.

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**Acknowledgment Letter Generation** SPN2908009883

<b>Acknowledgment Letter generated with</b> <input checked="" type="radio"/> <b>Options</b> <input type="radio"/> <b>Final Action Options</b>		<b>Additional Documents Required</b> <input type="checkbox"/> <b>Death Certificate</b> <input type="checkbox"/> <b>Certificate of Identity (DD Form 1)</b> <input type="checkbox"/> <b>Port of Entry</b> <input type="checkbox"/> <b>Alien Number</b> <input type="checkbox"/> <b>G-639 Form</b> <input type="checkbox"/> <b>Other Documentation</b>
<b>Letter Options</b> <input checked="" type="checkbox"/> <b>Delinquent Requester</b> \$17.90 <input type="checkbox"/> <b>Fee Estimate</b> 0 <input type="checkbox"/> <b>Prepayment Required</b> 0 <input type="checkbox"/> <b>Advance Payment Returned</b> <input type="checkbox"/> <b>Create Lost File Letter</b>		

There will be no further action until the delinquency is resolved. Please pend for requester documentation.

**Workflow**

Where do you want to send this case?

<input type="radio"/> <b>Case Closed</b> <input type="radio"/> <b>Records Locator</b> <input type="radio"/> <b>Processor</b> <input type="radio"/> <b>Reviewer</b> <input type="radio"/> <b>Administrative</b> <input checked="" type="radio"/> <b>Unit Chief</b> <input type="radio"/> <b>FOIA Approver</b> <input type="radio"/> <b>Requester Approval</b> <input type="radio"/> <b>Director of Counsel</b>	<input type="radio"/> <b>Pend Case for Responsive Records</b> <input type="radio"/> <b>Pend Case for Referral to Another Agency</b> <input type="radio"/> <b>Pend Case for Circular Search</b> <input checked="" type="radio"/> <b>Pend Case for Requester Documentation</b> <input type="radio"/> <b>Pend Case for Supporting Documents</b> <input type="radio"/> <b>Pend Case for Review</b> <input type="radio"/> <b>Retain this case in my In Basket</b> <input type="radio"/> <b>Close Case</b>
---	---

### 3. Complete requester address

The requester's name and address are on Form G-639 in Section 2, "Requester

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*Information.*” If there is a duly executed Form G-28 in the Request or Request Supporting Documents enter that attorney’s address in the FIPS address block.

If the only evidence of an attorney is an envelope or letter, but there is not a duly executed Form G-28, create the case using the name and address of the requester in Section 2, “*Requester Information.*” Do not use the address on the envelope or letterhead.

Each line of the address in FIPS can contain no more than 35 characters; this includes spaces and punctuation. When we are printing the responsive records to CD, nothing over 35 characters prints on the CD. This requires the OA clerks to print a label separately for those CD’s before mailing.

Please include the suite number or apartment number on the same line as the street address. Currently FIPS will allow you to key in more than 4 lines in the address box. The issue is when the case is processed and the CD is printed, it only prints the first 4 lines. The requester’s name is the first line of the address, so you have three lines left.

If the name of the requester on the Form G-639 is a company name, please review the supporting documents to try to locate the name of the attorney/representative of the company.

For example, if your request comes in on a G-639 and the name of the requester is only the name of the law firm representing the alien (for example, Wilens & Baker) you will need to look through your supporting documents to see if you can locate the name of the attorney at Wilens & Baker who is representing the alien. If you cannot locate the name of the attorney who is representing the alien, then open the case in the name of the alien, in care of the law firm. Do not use “Wilens & Baker” as the requester name.

If the requester does not provide a valid address use: 123 Main Street, Washington, DC 12345. Send an e-mail to your supervisor and assign the case to Unit Chief.

When the attorney or subject of the request provides both a physical mailing address and a P.O. Box, use the P.O. Box for the official mailing address. Please do not use both.

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The address can only be four lines long, even though FIPS gives you an extra line. The requester's name is always the first line.

Enter any suite numbers or apartment numbers in the address line.

If an attorney represents the subject, the first line of the address should be the name of the law firm the attorney is affiliated with, or, Attorney at Law, or "c/o" and the law firm name or the name of the attorney.

If the address is foreign, you must check the box marked Foreign. This will change the format of the worksheet to include the Province and Country. You must complete these fields to ensure proper delivery. Before pending this case for any further action, please check the "Print to CD" box and case note that you did so.

The following places are NOT foreign countries:

- American Samoa
- Guam
- Puerto Rico
- Northern Mariana Islands
- Baker Island
- Howland Island
- Jarvis Island
- Kingman Reef
- Midway Islands
- Navassa Island
- New Mexico
- Palau
- Palmyra Atoll
- U.S. Virgin Islands
- Wake Island
- Micronesia

A foreign address may be very long, and you may have to consult a supervisor to complete the address field correctly. With Mexican addresses for example, if you enter Mexico City's postal code in the postal code field, the address will print incorrectly for Mexico's postal system:

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(b)(6)

FIPS - Address Entry

Street Address

Foreign ☒

City

Province

Country

Phone Number

Postal Code

A domestic address must have the following to be complete:  
At least one address line, City, State, and Postal Code  
OR  
Phone Number

A foreign address must have the following to be complete:  
At least one address line, City, and Country  
OR  
At least one address line, Province, and Country

Ok Cancel

## **SUBJECT INFORMATION**

Under the header: "Subject Information" you will see two radio buttons – "Name" and "Subject." Most requests are for a copy of an A-file, so you will select "Name."

- Alien number, if applicable
- Alien name or
- Subject information, if the requester asks for specific documents that will not be in an A-file (i.e., vacancy announcement, investigative reports, copy of personnel file, or in some cases, a copy of a receipt file that has not been consolidated into an A-file).
- When the requester is seeking information relating to multiple individuals on one FOIA request, you must create a separate case for each individual.

### ***1. Alien Number***

In the alien number field, enter your subject's alien number, as provided on the request, as an eight-digit or nine-digit number. You should always check the A-

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number in CIS to be sure it belongs to the correct subject. If you have a seven-digit A-number, please add a lead zero to make it an eight-digit number. FIPS will automatically enter a lead zero if you have an eight-digit number. If you have created the case and you see less than nine digits in the A-number field, please re-check (by pasting the number into CIS) to make sure you have entered the number correctly.

Please do not enter the A-number if the requester is a petitioner asking for a copy of an unconsolidated petition, as it will result in a bad staffing.

If the requester is a petitioner asking for a copy of a petition that has been consolidated into the A-file of the beneficiary, you should enter the A-number of the beneficiary, since we will staff for the beneficiary's A-file.

### **2. *Name or Subject?***

This portion automatically defaults to a name format. Enter the subject's name, as it appears in section 5 of Form G-639 (except in the case of a petitioner asking for a petition).

The name portion of the worksheet is the name of the alien whose file we are requesting. This is usually the name in the subject portion of the Form G-639, or in the subject line of the request letter. However, if the requester is asking for a Petition he or she filed on behalf of a beneficiary, then that document will be a separate receipt or it will be in the beneficiary's file, not the requester's file. In situations like this, the subject information would be that of the beneficiary, not the requester.

If the request is for something other than an alien file, for example, a receipt file or a vacancy announcement, then you will select the button marked "Subject" in the subject information area. This will change the format of the screen to one box labeled "Description" instead of three boxes. Delete any alien number in cases such as this. Check to see if there is an A-number when you are creating a case by "Subject" instead of "Name." If there is an A-number, delete it to avoid a bad staffing.

"Subject" is used at different times, such as:



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- when there is no alien number for the subject, but there are receipt numbers
- when it is a request for a vacancy announcement
- when it is a request for a personnel file
- when it is a request relating to policies and procedures service-wide

If the alien is requesting a receipt number, enter the information in the following format:

**Correct:** MSC0412360000 for Juan Cardozo Martinez

**Incorrect:** MSC-04-123-60000 for Juan Cardozo Martinez

**Incorrect:** MSC0412660000 for Cardozo Martinez, Juan

Enter the receipt number with no dashes or spaces and enter the first name first and last name last, for example, "for Jane Smith," not "for Smith, Jane." This format assists the Mission Support Assistants in locating the files and in locating the cases in FIPS when the receipt files come into the facility. If you are requesting multiple receipt files from the same facility, use only one staffing sheet. See Staffing Sheet Guide for more guidance.

When the request is for vacancy announcements, the vacancy announcement number must be the first part of the description. See CIS Personnel Information for more information on handling personnel related requests. In other types of situations, put as much of the pertinent information in the description line as space will allow. You may need to modify the acknowledgement letter.

### **RUNNING DOC MGR (DOCUMENT MANAGER)**

Now that you have filled out and verified the requester's name and address and checked the name and A-number of the subject, the next step is to run the "Doc Mgr." Document Manager, or Doc Mgr, the button is located in the upper left hand corner of the FIPS worksheet. This button enables you to search for cases based on different criteria in FIPS before creating the case at hand. It allows you to do a myriad of functions such as

- Create a new case
- Create a duplicate case

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- Create a multiple case
- Attach CSD's to an existing case
- Attach requester documentation to a pending slot
- View an established case that matches the criteria in your current case

If the subject provided an alien number in the case you are creating, search by the alien number. If the subject did not provide an alien number, or if the request is for documents other than an alien file, the best criterion to use is the requester name. Always change "Search Offices" from "NRC" to "ALL Offices." In addition, we can avoid having duplicate cases by searching both the a-number and the subject's name.

Control Number		<input type="text"/>
Search Offices	NRC	<input type="button" value="v"/>
Created After	//	
Requester		
Last Name	ALANSSIEV	<input type="button" value="x"/>
First Name	ALEXANDRA	<input type="button" value="x"/>
Middle Name	<input type="text"/>	<input type="button" value="x"/>
SSN	- -	<input type="button" value="x"/>
Subject		
Subject	CANO, BERTHA	<input type="button" value="x"/>
Alien Number	12345678	<input type="button" value="x"/>
SSN	- -	<input type="button" value="x"/>
Note: % is the 'wild card' symbol. Use it sparingly as it lengthens search time.		
<input type="button" value="Clear"/> <input type="button" value="Search"/> <input type="button" value="Cancel"/>		

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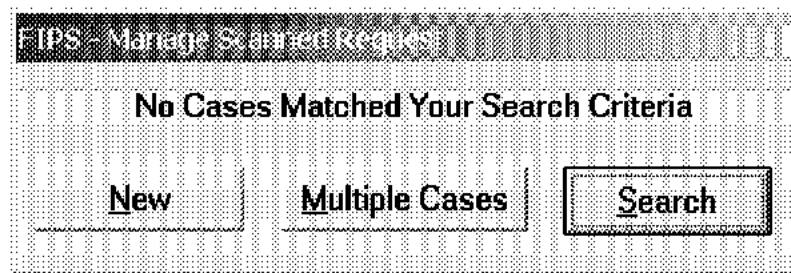
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Specify the search criterion by checking the box that corresponds with the line of information. This information carries over from what you entered on the FIPS worksheet. To perform a search, simply check the box you want used in the search and click on the "Search" button. The system then tries to match your search criteria selected to any existing cases in FIPS. For example, if you select the Alien Number field as the search criterion; FIPS will retrieve all cases created with that alien number. You could also search by the subject of record's name – and you should do so if you have any doubt, to avoid having active duplicate cases. FIPS will search only on the field or fields you select.

If the requester has provided more than one alien number and through careful research, you determine that they all relate to the subject, you must run Doc Mgr on all of the numbers, not just the one entered on the FIPS worksheet. You can change the Alien Number field on the Doc Mgr pop-up window to reflect the different alien numbers provided and conduct a search on each one.

The majority of the cases you create will be new cases. After you run Doc Mgr and you have found no matching case, the following pop-up will appear:



Select the button "New". FIPS will then generate a control number for the case. This procedure can take a few minutes to complete. Please be patient. Do not click on any other buttons while FIPS is working.

Use the Multiple Cases button when the request is for multiple individuals

FIPS will ask how many cases need to create and will then create them semi-sequentially. FIPS has the ability to create a parent case with up to 25 child cases. FIPS will automatically insert into each case a note remarking on the fact that the current case is a part of a parent/child case.

When the requester is seeking information relating to multiple individuals on one FOIA request, you must create a separate case for each individual.

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After FIPS finishes creating the new case(s), you will need to create an acknowledgement letter, request any additional information (if applicable) and staff for responsive records. Of course, nothing is ever this simple all of the time. Now you are ready to determine consent and PII.

## **WHAT IS CONSENT?**

**“Consent”** for the purposes of FOIA/PA is written agreement, approval or permission for access to information in the record by the competent individual to whom the record pertains. **The case creator must review the request and supporting documents to determine if proper consent is present.**

Consent can be any of following:

- A Form G-639 bearing a notarized signature or a signature made under penalty of perjury, or
- A notarized signature of the subject, or
- A declaration under penalty of perjury signed by the subject

The notarized signature of the subject or the signature under penalty of perjury does not need to be on the G-639. If a requester has inserted the **penalty of perjury statement on ANY document**, and the subject of the file has signed the document, it is consent.

The notarized signature or signature under penalty of perjury **might** be on a:

- Separate letter, or any piece of paper *including* a G-28, but then only if the penalty of perjury statement is directly above the signature of the subject of record.
- G-639, when the subject has signed the first page and the second page does not contain the signature of the subject but has been notarized.
- DOJ-361, Certificate of Identity: we may not suggest or require that a requester use a DOJ-361, but we can accept one as consent with a signature under penalty of perjury.

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A current photo ID or a G-28 signed by the subject of record is for information purposes only and is not accepted as a form of consent for any case created March 5, 2009 or later. However, you may accept a properly executed Form G-28 **without a penalty of perjury statement as consent** for any case created **on or before March 4, 2009**.

**“Consent”** for purposes of FOIA/PA does not include a Form G-28 with a statement made under penalty of perjury by the requesting attorney or representative “that the information I have provided on this form is true and correct.” A statement made under penalty of perjury must conform to the requirements of **28 U.S.C. § 1746: Unsworn declarations under penalty of perjury**, which reads as follows:

Wherever, under any law of the United States or under any rule, regulation, order, or requirement made pursuant to law, any matter is required or permitted to be supported, evidenced, established, or proved by the sworn declaration, verification, certificate, statement, oath, or affidavit, in writing of the person making the same (other than a deposition, or an oath of office, or an oath required to be taken before a specified official other than a notary public), such matter may, with like force and effect, be supported, evidenced, established, or proved by the unsworn declaration, certificate, verification, or statement, in writing of such person which is subscribed by him, as true under penalty of perjury, and dated, in substantially the following form:

(1) If executed without the United States: "I declare (or certify, verify, or state) under penalty of perjury under the laws of the United States of America that the foregoing is true and correct. Executed on (date).  
(SIGNATURE)".

(2) If executed within the United States, its territories, possessions, or commonwealths: "I declare (or certify, verify, or state) under penalty of perjury that the foregoing is true and correct. Executed on (date).  
(SIGNATURE)".

If the requester is asking for records concerning an individual, and if there is only one signature and it does not fall under one of the categories above, request consent using the Track 1, Track 2 or Track 3 Ack Letter Requester Docs located at:

O:\Foia\FOIA LIBRARY\Case Create References\Case Create Template Letters or the form “Requester Documentation Attachment” located at:  
O:\Foia\FOIA LIBRARY\Case Create References\Case Create Template Letters\Requester Docs Attachment. Check the first box on the document.

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After you send an acknowledgment letter requesting consent, do not staff for the file. Click on "In Basket" and Pend for requester documentation. When the requester provides consent, Records Locator will staff for the records.

## **Consent of parents or guardians**

If a parent is filing on behalf of a minor child, then the parent must submit proof of parentage. Proof of parentage can be in the form of a birth certificate, adoption decree or similar document, naming them as a legal parent.

If a guardian is filing on behalf of a minor or person judicially determined to be incompetent, he or she must submit proof of guardianship. The signature of the parent/guardian must be notarized or signed under penalty of perjury [6 C.F.R. § 5.21(e)]. The case processor will have to request more information if he or she cannot determine parentage or guardianship within the file.

Minors can make a request for their file themselves. They do not have to have the consent of their parent or guardian to make this request. An attorney may also represent a minor.

## **Third party requests**

Sometimes consent is not necessary. For instance, a requester asking for a "*list of all employers in Utah who use E-Verify*" does not have to provide consent. Commercial, contract, and media requests are usually third party requests.

On the other hand, USCIS will not release personally identifying information (PII) or personally sensitive information to a third party without consent. If the requester is asking for records concerning an individual and does not provide consent, nor does it appear likely that the requester is going to get consent, we treat it as a third party request without consent. It may be obvious from the request that the requester will not be able to obtain consent from the subject of record. If you have a doubt, consult your supervisor. The supervisor may have you send for consent, call the requester to see if you can make a determination, or create the case as third party without consent. Third party requesters are entitled to any public documents that may be in the file they are seeking, as well as documents they provided in support of an application/petition. For example, if a wife is looking for a copy of her husband's file so that she may divorce him, and says in her

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request letter that she does not know where he is or says she cannot get his consent, do not send a request back to her for her husband's consent. In a situation like this, simply staff for the file and put a case note in FIPS that it is a third party request without consent. In the above example, if she did not specifically say she cannot get his consent or that she does not know where he is, do not staff for the file. In a situation like this, send a request for consent and pend the case for requester documentation.

### **Deceased subjects and the 100-year rule**

If the subject of a request is deceased, it is incumbent upon the requester to provide proof of death. Proof of death could be any of the following:

- Death Certificate;
- Obituary;
- Funeral Memorial; or
- Photograph of headstone

If the subject of a request is over 100 years old, it is assumed they are deceased and no proof of death is required.

### **Routine use, no consent required, not FOIA**

The Service may disclose records from the alien files to other Federal, State and local government agencies as a normal course of operation for law enforcement purposes. Consent is not necessary for the processing of these types of requests. Some examples of these types of requests include requests relating to child support enforcement and aliens seeking public assistance.

Requests from government agencies (federal, state or local) for verification of status of aliens are routine use.

These types of requests are not a part of FOIA and should not be in FIPS. For example, you may open a request from a county public assistance agency attempting to locate a child's father who is avoiding financial responsibility. If you open a request from a state

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or local government agency requesting information about an alien, e-mail your supervisor advising them of the situation, then close the case ER. The only exception to this rule is if there is a cover sheet with instructions to create as FOIA.

### **Criminal bond obligor, no consent required, not USCIS FOIA**

Criminal bonds are bonds posted by individuals or bail bondsmen relating to non-immigration violations of the law. These requests are processed by Immigration and Customs Enforcement. If you open a criminal bond obligor request in case create, use the same guidance as for immigration bond obligors.

### **Immigration bond obligor, no consent required, not FOIA**

We no longer process requests received from bond obligors. Any new requests that are scanned into FIPS as of June 11, 2009, should be closed as an ER. Please send an e-mail to NRC, FOIAOA and provide the REQ number or control number, and also include the requester's name.

OA room will mail the request to the following address.

Immigration and Customs Enforcement  
Attention: Catrina Pavlik-Keenan  
ICE FOIA/PA Unit  
800 North Capitol Street, NW, Room 585  
Washington, DC 20536-5009

### **What is an Immigration Bond Obligor?**

Immigration bond obligors are surety companies who have posted an immigration bond (I-352) for an alien who has been taken into custody by the Service. If the alien fails to attend his or her hearing, then he or she forfeits the bond. Under the court case *Amwest v. Reno*, the surety companies, or their attorneys, are entitled to a complete copy of the alien's file to assist them in trying to locate the alien. Consent is not required for the bond obligor; however, they should provide a copy of the bond contract, Form I-352, with their FOIA request.



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## **CASE CREATE SITUATIONS/OTHER PROBLEMS**

At any time during the case-create process you may encounter a quirky or unusual situation. Some not-so-usual situations follow this paragraph, but as a case creator, you will inevitably see situations you have never seen before. Case creators should seek assistance from their supervisors as a first step. If the problem cannot be resolved, the creator should send the case to the Unit Chief and send an e-mail to the supervisor for clarification. If it is not a situation that needs clarification but some type of FIPS error, send an e-mail to the FIPS Problem mailbox ([NRC\\_FIPSPROBLEM](#)) and CC your supervisor, or in other situations to the MSB mailbox ([NRC\\_NRCFOIAMSB](#)), and CC your supervisor.

Clicking on the FIPSPROBLEM link above will automatically generate an e-mail addressed to both the NRC, FIPSPROBLEM mailbox and the NRC, FOIA PROGRAM mailbox.

### **REQUESTS: Foreign Consulate**

Immediately forward any type of correspondence, FOIA request or inquiry received from the consulate of a foreign nation to the Director's Office for handling. USCIS Headquarters is the only one authorized to correspond with foreign consulates. Please make sure it is a consulate requesting the records and not the subject of the request putting the consulate's address on the G-639 to mail the records to the consulate (for passports). If the request is from a consulate the FOIA request should be closed as an ER and an e-mail should be sent to [NRC\\_FOIAOA](#) mailbox (with a CC to your supervisor) with the case information. Send the case to Unit Chief. The supervisor will review and close the case. If the subject mailed the request and wrote the consulate's address on the G-639, use the subjects address from the envelope and set it up as a self request.

### **REQUESTS: Non-immigrant visa material**

If the requester specifically asks for non-immigrant visa data and there is no record of the person in CIS or CLAIMS; do not close the request as NR. If the requester is asking a question about being a student, au pair, camp counselor, or participating in a summer work/travel program, or if the requester specifically mentions visa type F-1, F-3, J-1, M-1 or M-3, then you should refer the request to ICE, since that record will be tracked in SEVIS (Student and Exchange Visitor Information System.) An example of a "refer to ICE" type request might be: "Type of visa, visa number and legal documents allowing entry into the US. The subject was a student at the University of Nebraska."

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Otherwise, redirect the requester to Department of State. An example of a “re-direct to State” type request might be for a B1/B2 visa, such as: “Type of visa, visa number and legal documents allowing entry into the US. The subject visited Disney World and Cape Canaveral and entered at Orlando International Airport.”

## **REQUESTS: A-number only**

If a requester/subject is asking for their alien number **only**, follow these steps:

- Search CIS with the information provided on the request to locate an A-number.
- If you locate an A-number, compare the information provided on the request with the information in CIS to make a positive ID.
- You must have proper consent and all of the required PII in order to proceed. If consent or any PII are missing, generate the acknowledgement letter and request the additional information.
- If proper consent is present and all of the required PII is present:
  - Open a RAFACS staffing slot only
  - Print a copy of CIS 9101 screen, attach a “Scan As” cover sheet and mark the box “Responsive Records.” Take the screen print to the OA room for scanning.

Make the case a Track 1 case and pend the case for responsive records. When the responsive records are scanned in the case will move to the processing queue.

## **REQUESTS: Bracero Program**

The Bracero Program (1942-1964) began as a temporary World War II program to fill agricultural labor shortages, and continued in one form or another for more than twenty years. Initially the program included workers from Mexico, the Virgin Islands, British West Indies, and elsewhere. After about 1945, the program was limited to agricultural workers from Mexico, and the term “bracero” refers to an imported farm worker from Mexico. “Brazo” means arm, and “bracero” means a person who works with his arms.

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Begin with a thorough search of CIS. If no record is located, request a manual search. Create a Records Indexing Staffing and enter all information provided by the requester. If the manual search produces no record, generate a "NR" letter and send the case to Admin. Send an e-mail to your supervisors with the case information. The supervisor will review and close the case.

In these no record cases, the researcher's only recourse may be to search for a record of admission at the National Archives (NARA). Today NARA holds microfilm of arrivals at US-Mexico Border ports of entry from ca. 1905 to 1954 (some to 1957). A Bracero admitted in 1960 will not appear in these records due to the cut-off dates.

The requester can request a search by writing directly to NARA. In their letter, the requester should ask for a search of Mexican border arrival manifests in Record Group 85. The correspondence to NARA should contain the date and port of entry, as well as the name used at the time of entry, age at the time of entry and any other identifying information.

NATIONAL ARCHIVES AND RECORDS  
ADMINISTRATION  
CIVIL REFERENCE  
7<sup>th</sup> AND PENNSYLVANIA AVENUE NW  
WASHINGTON DC 20408

### **REQUESTS: Referrals and Consultations received from other agencies**

As other agencies process FOIA/PA requests, they will sometimes find our agency's documents within their files. These documents will be referred to us for processing. The responsive records could be USCIS documents being referred to us for review or joint documents i.e., co-authored by the referring agency and other agencies. A transmittal memorandum advising us to respond directly to the referring agency is a consultation. A transmittal memorandum advising us to reply directly to the requester is a referral.

Send the case to processor. Send an e-mail to the MSB mailbox advising them that you have created the case and that it is a referral/consultation from another agency. Include the alien name and the NRC control number.

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## REQUESTS: USCIS personnel information

- Requests that deal specifically with USCIS vacancy announcements, performance ratings and awards are scanned and handled in the HQS queue by the Special Interest Group.
- If a request for CIS Personnel Information mistakenly is scanned in the NRC queue, create the case and reassign the case to **HQS**. Create the case as a Track 2 case. Use **PER** for the category and **CIS** for the bureau, the subject information box should be changed to "subject" and the description should contain the vacancy announcement number.

**Workflow**

Where do you want to send this case?

<input type="radio"/> Case Manager	<input type="radio"/> Pending Case for Response Periods
<input type="radio"/> <b>Records Locator</b>	<input type="radio"/> Pending Case for Retention Periods
<input type="radio"/> Pending	<input type="radio"/> Pending Case for Document Search
<input type="radio"/> Approval	<input type="radio"/> Pending Case for Requester Documentation
<input type="radio"/> Administrative	<input type="radio"/> Pending Case for Supporting Documents
<input type="radio"/> <b>Unit Chief</b>	<input type="radio"/> Pending Case for Payment
<input type="radio"/> FOIA Officer	<input type="radio"/> Pending Case for Document Copy
<input type="radio"/> Request Approval	<input checked="" type="radio"/> <b>Reassign to Another Office</b> <span style="border: 1px solid black; padding: 2px;">▼</span>
<input type="radio"/> Reopened Cases	<input type="radio"/> <b>Retain this case in my In Basket</b>
	<input type="radio"/> Close Case

Click on the "Reassign to Another Office" and use the drop down box to select the HQS office. The case will be staffed when it is re-assigned to the HQS queue. Send an e-mail to NRC\_FOIASIG with the case information.

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## **REQUESTS: Official Personnel File**

Close FOIA requests received from an individual for a copy of his or her Official Personnel File (OPF) as NA (not applicable). Inform the requester in the final action letter that they may access their OPF on-line at:

[http://cbpnet.cbp.dhs.gov/xp/cbpnet/hrm/for\\_employees/info\\_about\\_you/eop\\_folder/eopf\\_login.xml](http://cbpnet.cbp.dhs.gov/xp/cbpnet/hrm/for_employees/info_about_you/eop_folder/eopf_login.xml)

After generating the "NA" letter in FIPS, send the case to Admin and send your supervisors an e-mail with the case details. The supervisor will review and close the case.

## **REQUESTS: Red Cross / Last known address**

Requests from the Red Cross or from some other non-governmental organization (such as Salvation Army, etc.) looking for the last known address of an alien are normal FOIA requests. You should create the case and staff for the file as a specific document request. It is not necessary to create an acknowledgement letter if the request is from the Red Cross.

## **REQUESTS: Federal, state, local agencies**

Governmental agencies, including county public assistance agencies, are seeking the alien to enforce court ordered support or enforcement of some other lawful responsibility. These types of requests fall under the routine use category. You should e-mail your supervisor advising him or her of the situation, then close the case ER. The only exception to this rule is if there is a cover sheet with instructions to create as FOIA.

## **REQUESTS: Return of original documents**

Requesters will sometimes ask for the return of original documents, such as adoption decrees, birth certificates or other documents of a personal nature on a request addressed to FOIA. If the request for the return of original documents is submitted on a G-639, we are required to provide the requester with a copy of the specific documents requested. For return of original documents, the requester must submit a G-884 to the SAVE Unit of their local district office. Insert the following verbiage in the acknowledgement letter.

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In your FOIA request you have specifically asked for the return of original documents. We will provide you with a copy of these documents. In order to obtain the original documents you must submit a G-884, "Request for the Return of Original Documents" to the Save Unit of the nearest district office.

If a Form G-884 has accidentally been scanned into FIPS as a FOIA request, click final action and choose "ER" (created in error). A letter is not created by FIPS; you will need to generate a letter in Stand-Alone explaining the reason we did not accept their request as a FOIA request. Print two copies of the letter. Attach a cover sheet on one copy to be scanned in as a CSD and send the other copy to the OA room for mailing to the requester. Include a detailed case note. Send the case to Admin and send an e-mail to your supervisor with the case information. The supervisor will review and close the case.

If the alien file is located at the NRC, the Case Resolution Team at the NRC handles all G-884's (Request for Return of Original Documents). OA ordinarily forwards any requests for return of original documents to Case Resolution.

### **SITUATION: Untranslated Foreign Language Documents**

If you find an untranslated foreign language document which may contain essential information needed to create a case, and you are unable to determine what that information is, there are individuals at the NRC available to translate. Here is the procedure:

- Insert a case note titled "Untranslated Documents" and the reference page numbers.
- Copy the text of the case note and paste it into an e-mail to NRC, NRCFOIAMS, with a CC to your supervisor.
- Send the case to Unit Chief.
- After translation, a copy of the translated information will be scanned as CSD or case noted, and returned to you for creation and/or staffing.

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## **SITUATION: Congressional correspondence**

When the unit receives correspondence from a member of Congress, the creator will need to create the case as a track two case, mark the category as Congressional, staff for the requested documents and send an e-mail to the MSB Mailbox advising them of the control number, congressional contact information and name of the subject of the request. Do not use the Congressional office address as the address for the FOIA request. If an address for the subject cannot be found, please contact a member of the MSB for more guidance.

## **SITUATION: Appeals**

If an appeal is encountered in case creating, the request needs to be sent to the Unit Chief box in FIPS and an e-mail sent to the designated appeals POC advising of the appeal.

## **SITUATION: New requests received on the I-694**

If you see a case in the creator role or the processor role that has the I-694, Notice of Appeal of Decision Under Sections 245A or 210 of the Immigration and Nationality Act (INA), scanned as the FOIA request letter, this is considered a legitimate request. The Administrative Appeals Office sends this form along with the A-file to the NRC for processing under FOIA.

Form I-694 is used to notify USCIS that an individual is appealing the denial of their permanent residence, temporary residence, or a waiver of grounds of inadmissibility.

To assist you in identifying this request, the words "NEW REQUEST" should have been written on the top of the form before scanning. Please note the request may not have a current date. The case creator should create the case, and request additional information or consent if needed. If additional information or consent is not necessary, send the case to processor.

## **SITUATION: Subpoena or court order**

If you pull a new request that is a subpoena or court order, please close it as an ER. Send a message to NRC, FOIA PROGRAM: McDaniel, Marcia M (clicking the link generates

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the e-mail) providing the REQ number and information indicating the request was a subpoena or court order. The NRC Program Office is currently addressing these requests. Subpoenas or court orders are a high priority. Please notify NRC, FOIA PROGRAM as soon as possible. If you aren't sure, please contact your supervisor for guidance on how to proceed.

### **SITUATION: Certification of record**

When creating a new case, insert a case note "requester wants documents certified." The processor or approver will handle the certification process.

Certification of records is done in accordance with 8 C.F.R. § 103.7(d) and the Records Operations Handbook (ROH).

The NRC will certify certain documents from A-files as being true and correct copies. The physical file must be located at either the NRC or the FRC. Genealogy requests that were received, staffed and processed by NRC can also be certified by the NRC. The NRC will not certify copies of documents that belong to other agencies. Information will be provided to the requester on how to obtain certified copies of these documents. The NRC can also provide a certified letter giving information such as the date of entry and the status of the individual.

NRC will not certify naturalization certificates for living persons. If the individual has his or her original naturalization certificate and want or need a certified copy of it, he or she must make an INFOPASS appointment. An individual must submit an N-565, Application for Replacement Naturalization/Citizenship Document if he or she has lost or misplaced the original.

Records Services Branch, USCIS does all certificates of non-existence; these requests must be submitted in writing to the address shown below:

U.S. Citizenship and Immigration Services  
ATTN: Records Service Branch  
1200 First Street, NE, 2<sup>nd</sup> Floor  
Washington, DC 20529-2204

### **SITUATION: Certification of record for dual Italian citizenship**



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If we receive a request asking for a certified copy of a relative's naturalization certificate for the purpose of applying for dual Italian citizenship:

If the requester's relative is deceased, they must submit their request to the USCIS Genealogy Program. The web address for more information and instructions for submitting their request is USCIS.gov or;

If the requester's relative is living, please include the following paragraph in your acknowledgement letter:

This is in response to your request for a certified copy of a relative's naturalization certificate in order to apply for dual Italian citizenship. According to information obtained from the Italian Embassy in Washington, D.C., certified copies of naturalization certificates are not required for the dual citizenship application. The Italian Embassy requires the naturalization certificate copy along with our USCIS cover letter and envelope. The records that we release as part of this FOIA request will serve that purpose.

### **SITUATION: Record at National Archives and Records Administration (NARA)**

The National Archives and Records Administration has designated alien files as permanent records for the Federal Government, ensuring their retention indefinitely. As with all permanent records of the Federal Government, ownership and physical custody of the record is transferred to NARA at a designated point and NARA becomes the custodian of the record. Once the record is transferred to NARA, anyone who wants documents out of the file will have to file his or her FOIA request directly with NARA. The "magic date" for alien files to be turned over to NARA is when the subject of the file passes 100 years of age. The NRC has begun the process of transferring the targeted files into the custody of NARA.

As a result, case creators need to pay close attention to those cases in which the subject of the file was born before 1909, particularly if the request does not meet the criteria for a genealogy case. The complete list of criteria can be found in Section 3, "Category of request" in the sub-paragraph "GEN."

For example, the requester writes in and makes the following request:

"I want the records of Joe Crab, date of birth, March 22, 1899. Mr. Crab naturalized in 1957 and died in 1969. Enclosed is proof of his death and alien number."

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Mr. Crab meets one prong of the criteria for genealogy because he was born long ago; however, since he was naturalized in 1957, he does not meet the prong of having no documents in his file dated after 1951. If you are creating a case and the subject of the request is 100 years of age or older, **but** the person DOES NOT fully meet the criteria for a genealogy case, please pay special attention to NFTS. If NFTS shows that the a-number has been retired to NARA, it means we have turned the records over to NARA permanently. The requester will have to send a request to NARA. Please select FINAL ACTION OPTIONS when creating the Acknowledgement Letter, select NA and replace the normal Acknowledgement Letter with the NARA Historical Record Letter located at O:\Foia\FOIA\_LIBRARY\Case\_Create\_References\Case\_Create\_Template\_Letters\Historical\_Record\_Letter.

It may happen that USCIS has not yet transferred the file to NARA. If NFTS still shows a shelf location within NRC (or any other office), staff for the file.

### **SITUATION: Old records**

Occasionally we will receive a request for records pre-dating our recordkeeping system. The agency maintains immigrant arrival records created since 1892; and naturalization records since 1906.

When a request is for records older than those maintained by the agency, click final action and choose the code "OR." This generates a letter to the requester explaining that the records being requested are older than those maintained by the agency. After generating the final action letter, send the case to Admin and send an e-mail to your supervisor with the case information. The supervisor will review and close the case.

## **REFERRAL AND REDIRECTION**

### **Referral**

The FOIA requires us not to close a case if there is information in another component of our department. For instance, the Drug Enforcement Administration and the Federal Bureau of Investigation are both components of the Department of Justice. If DEA receives a FOIA request and determines the information is with FBI, they may not close

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the case and tell the requester to write to FBI (that is redirection). They must send the request to the FBI and advise the requester they have done so (that is referring). USCIS occasionally receives FOIA requests for non A-file records totally under the purview of another DHS component. When this occurs, we refer the FOIA request in FIPS to the correct component. The following agencies are DHS components:

- Transportation Security Administration (TSA)
- U.S. Customs and Border Protection (CBP)
- U.S. Immigration and Customs Enforcement (ICE)
- U. S. Secret Service (USSS)
- Federal Emergency Management Agency (FEMA)
- U.S. Coast Guard (USCG)

Select “RF” in the final action drop down menu. FIPS will automatically create two documents: A final action letter to the requester and a referral memorandum to the receiving component. It is important that the requester be told to which DHS component their request has been referred. It is DHS and USCIS policy that under no circumstances should a final action letter to a requester state that their FOIA request has been forwarded “to another government agency” or some other vague reference. If the FOIA request in question should have gone to another DHS component initially, then you must identify the component the request is referred to in the final action letter. You may have to edit the letter to add the required information.

## **Redirection**

If we receive a request for records that belong to an agency outside of DHS, we close it and write a “redirect letter.”(Final Action Options: RD) An example of a request to close and redirect is a petition that we discover has been forwarded to the National Visa Center for issuance of an immigrant visa. The redirect letter advises the requester to contact the different agency for the information they are seeking. If you open a request and find out the information is outside DHS, go to Acknowledgment Letter, select Final Action Options, select RD-Redirect, and prepare the letter. Send the case to Unit Chief and send an e-mail to your supervisor with the case information. The supervisor will review and close the case.

## **Entry/Exit Information referral to CBP**

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The following applies when referring cases to CBP: CBP handles FOIA requests for entry and exit information dating back to 1982, inspection, Port of Entry (POE), requests for information relating to air and/or marine incidents, or the U.S. Border Patrol Academy, legacy Customs or legacy Inspections. Key words that you could see on a request relating to CBP are inspection, Port of Entry, Bridge of the Americas, Friendship Bridge, and smuggled goods. A FOIA request for this type of information should be referred to **CBP** at the address shown below.

U.S. Customs and Border Protection  
FOIA Division  
799 9<sup>th</sup> Street NW, Mint Annex  
Washington, DC 20229-1177

**Note:** If the request is for entry/exit information and the requester/subject provided an alien number, staff for the file. If the request is for entry/exit information and the requester/subject did not provide an alien number, you must thoroughly search CIS and CLAIMS to be sure the person does not have an alien number or application. CBP has records on entry and exit information dating back to 1982, but no further back. You may modify the referral letter; any information you can provide as to what the requester is asking for will be helpful to CBP.

### **Border Patrol referral to CBP**

If you encounter a Border Patrol Request in Case Create, refer the case to CBP. This includes Border Patrol records relating to apprehension, entry without inspection (EWI), smuggled humans, mobile patrol group, voluntary return, repatriation, or checkpoints.

Exception to this rule; if the requester provides an A-number or you locate an A-number through a search of the systems, please staff for the A-file.

### **Personnel/hiring practices/vacancy announcements**

If you receive a request concerning employee records, vacancy announcements, or any personnel matter generally, please create the case as you normally would by filling in the blanks and controlling the case. After that, change the Category to PER. Do not create a staffing and do not send any correspondence to the requester. Case note that this appears to be a personnel-type FOIA request. Send an e-mail to NRC, FOIASIG and cc your

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supervisor saying you have sent the case to Unit Chief. After that, send the case to Unit Chief.

### **US-VT referral to US Visit**

Refer requests relating to United States Visit. The United States Visit is a Border Security Program that records biographic, biometric and travel information for all foreign visitors to the United States. The system screens all crewmembers and passengers that travel to the United States by air, sea or land. United States Citizens are not in the system.

If the requester is asking for both a copy of the alien file and for entry and exit information, you will staff for the file. See Entry/Exit CBP information above.

## **PII REQUIREMENTS TO STAFF FOR AN A FILE**

Before creating any letter or staff for an A file, please verify, at a minimum, these four elements of Personally Identifiable Information:

1. A-number or Receipt Number
2. One parent name
3. Date of birth
4. Country of birth

Next, check the CIS 9101 (ID # Search/Display) screen to match the provided information. If all elements match, please staff for the A file. There is no need to request any additional information.

### **Sending for additional documentation:**

If the requester did not provide any of the four elements listed above, request the additional PII with your Acknowledgement Letter. The procedure for creating an acknowledgment letter requesting additional information is in the section of this handbook entitled "ACKNOWLEDGMENT LETTERS." After you create the letter requesting additional documentation, do not staff for a file. Click on In Basket and Pend for Requester Documentation. After we receive a response from the requester, a person

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working in Records Locator will staff for the file. The processor will use the requested information to verify the release of the correct records.

Note: if the requester marks "unknown," "none" or "N/A" for any element of the above PII, please do not request this information as part of the Acknowledgement Letter.

If the PII given does not match CIS and you have not been able to find a record after researching the CIS 9102 ("Sounds Like") or 9106 ("Sounds Like" Name, with DOB); and 9103 (Exact Name) screens; please scan the screen prints in as CSDs, draft the NR letter and forward to Unit Chief.

### **Closing a case as No Record:**

When closing a case as a NR (No Record), ensure that you have done the required system searches to support your decision. If there is wording on the request that would indicate the subject was detained, stopped, arrested or sent back across the border and a thorough system search yielded no information, you should refer the request to CBP. CBP will possibly have a record responsive to their request. Your search should include CIS and CLAIMS. Consult the sections of this manual entitled "Central Index System" and "Computer Linked Application Information Management System" for more information regarding the systems.

When conducting no record research, check the following screens in CIS (Central Index System):

9103 Exact Name  
9104 AKA (Alias) Name  
9106 Sounds-Like Name with DOB

### **Determining to staff based on best information available:**

If you determine that the requester has provided all the PII possible after performing the CIS 9102 or 9106 and 9103 screen searches shown above, and there is only one person in the CIS 9101 screen with the same information, please staff for the file. However, prepare a case note explaining why you staffed for the file.

### **Social Security Number**

USCIS does not use Social Security numbers in the Freedom of Information/Privacy Act requests. Even if the alien disclosed his or her SSN in the request, do not enter that

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number on the FIPS worksheet. We will not request the Social Security number when requesting additional documentation.

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## **STAFFING FOR THE RESPONSIVE RECORDS**

After the acknowledgement letter is created, if all required information is present, the next step is to staff for the records that are responsive to the request.

How do you determine what records are responsive to the request? First, you have to read the request. Typically, the requester will ask for a complete copy of an alien file and they will provide an alien number. If this is the situation, you must verify in CIS that this alien number belongs to the subject and that the File Control Office (FCO) is an office the NRC processes.

There is a staffing guide/RPC reference sheet available on the FOIA Operations intranet page to use for staffing.

If the requester is only seeking specific documents, please make a case note in FIPS detailing what those documents are. You will also be mentioning those specific documents in your acknowledgment letter to the requester.

The Service Centers (except MSC/NBC) scan the responsive records into FIPS when they are the FCO for that file. In these instances, the creator will list on the staffing sheet the exact documents being requested. The Service Center will then locate these documents within the file and scan only the requested documents. Please see the staffing guide for more instructions on staffing for these types of Service Center files.

If the requester did not provide an alien number or receipt number but did provide enough information to conduct a thorough search, you should search CIS and CLAIMS and try to determine the subject's alien number or receipt number. If the requester did not provide enough information to conduct a thorough search, then you will have to ask the requester for more information.

We do not staff for "S" (substitute) or "W" (working) files unless instructed to by a supervisor/lead. After the creator has staffed for the appropriate files, the next and final step to case creation is to pend the case for the responsive records.

Please mark all cases created using the FOIA Special Interest Group staffing sheet with the category "SIG." This will allow a member of Special Interest Group to review and identify cases for their reporting purposes.



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If the file is located at COW, with the Responsible Party Code (RPC) of RK, please insert a case note after you have created the case. The title of the case note should read "File is at RK." Send the case to Unit Chief. Send your supervisor an e-mail with the control number of the case and that the file is located at COW with an RPC of RK.

If you see an RPC of "ZW" in NFTS; that indicates the file is classified. Staff the file to the current FCO. If you see an RPC code ZW0004; that indicates the file is here at the NRC in the safe and you should staff: FOIA Safe.

If you pull a case that has a FOIA Safe staffing you should **NEVER** cancel the staffing sheet. Repend the case for 180 days, go to In Basket and Pend the case for responsive records.

### **STAFFING BY ALIEN NUMBER**

#### ***One A-number provided on the request (with example staffing)***

If an A-number is provided on the request and CIS confirms that it belongs to the alien, ensure you have all the other required elements (DOB, COB, DOE, POE and parents' names) to complete the case create. If any of the required elements are missing, request the additional information when sending the Acknowledgment Letter. The section that follows is a systematic example of staffing by A-number when the requester has provided one.

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## 1. Open NFTS

The screenshot shows a Microsoft Internet Explorer browser window with the address bar displaying <https://nfts.uscis.dhs.gov/nfts/>. The page title is "NFTS Login". The main content area contains the following text:

To comply with password security standards, NFTS passwords are now **case sensitive**. If your password was created or reset by PICS, please enter your password in **UPPERCASE** to login.

Below this text is a login form titled "NFTS Login" with the following fields and buttons:

User ID:	<input type="text"/>
Password:	<input type="password"/>
<input type="button" value="Login"/>	<input type="button" value="Change Password"/>
<input type="button" value="Clear"/>	

Below the form, the text reads: "Please enter your user id and password, then press the Login button."

A "WARNING" section follows, stating: "You are about to access a Department of Homeland Security computer system. This computer system and data therein are property of the U.S. Government and provided for official U.S. Government information and use. There is no expectation of privacy when you use this system."

The browser's status bar at the bottom shows "Done" and "Local intranet".

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## 2. Submit your location

The screenshot shows a web browser window titled "NFTS Login/Choose Location". The address bar displays "http://nfts.uscis.dhs.gov/nfts/setuseroffice.asp". The page content includes a header "NFTS Login/Choose Location" and a main form titled "Select Office and Default Section". The form contains three fields: "Select Office:" with a dropdown menu, "Default Section:" with a dropdown menu showing "AA", and "Default Resp. Party:" with a text input field. A "Submit" button is located below these fields. The browser's status bar at the bottom shows "Done" and "Local intranet".

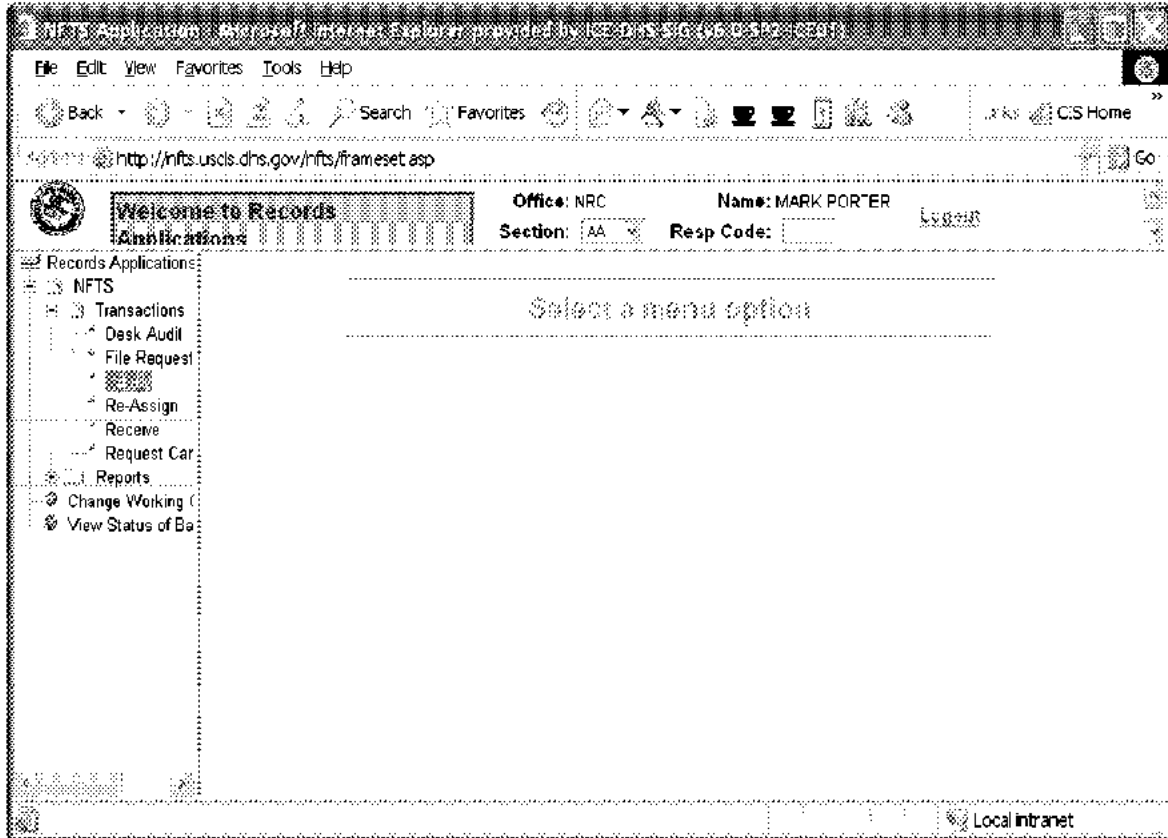
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## 3. Select "Inquiry"



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4. Select "ALL Converted Offices" and enter "A" or a "+" then enter the A-number. Preferably, paste the copied number from CIS so you are sure you are asking for the correct file.

Records Applications - Information management system provided by: (4) DHS (File #) 0-572016501

File Edit View Favorites Book Help

Back Search Favorites

http://nft.usdoj.dhs.gov/nft/frameset.asp

**Inquiry**

Office: NRC Name: MARK PORTER Logout

Section: PA Resp Code:

Enter File Number: ac.16.. Search

Search In ALL Converted Offices? Search For ONLY Specified File Prefix?

Show information entered on or after:

Clear Edit

**General Inquiry For**

File #	Seq	Office	Status/Last Action	Location
--------	-----	--------	--------------------	----------

Done Local Intranet

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5. The search result provides several pieces of information. First, we can verify from CIS that the File Control Office (FCO) is Seattle. The Responsible Party Code (RPC) is DP0064, and it tells us that DP means Deportation. Do you see the four boxes above the "Exit" button? Those are "Rider," "Consolidation," "Retire," and "In Transit." If any one of those is "grayed out," it means there is no information there. If one is "blued in," it means there is information and we should look at it.

The screenshot shows a web browser window titled "NRTS Application - Microsoft Internet Explorer, provided by: ICE-DHS-SIG (45 G-SPZ-IGED1)". The address bar shows "http://nrtis.uscis.dhs.gov/nrtis/frameset.asp". The page has a navigation menu on the left with options like "Record Applications", "NRTS", "Transitions", "Desk Audit", "File Request", "Request", "Key Assign", "Request", "Request Car", "Reports", "Change Working", and "View Status of the". The main content area is titled "Inquiry" and contains a search form. The search form has fields for "Office: NRC", "Name: MARK PORTER", "Section: AA", and "Resp Code:". Below these are checkboxes for "Search in ALL Converted Offices?" and "Search For ONLY Specified File Prefix?". There is a "Search" button and a "Clear" button. Below the search form is a table titled "General Inquiry For A07410000". The table has columns for "File #", "Seq", "Office", "Status/Last Action", and "Location". The table contains one row of data: "A07410000", "000", "NRC", "Status: RELYING ON USE", "Bert: DP: DEPORTATION", "Audit Date: 11/04/2005 01:29:33 PM", "Resp: 0064: 21A/SHEU/TUW/LA", "Last Action: 01/04/2006 01:29:53 PM", and "Bert: Audit".

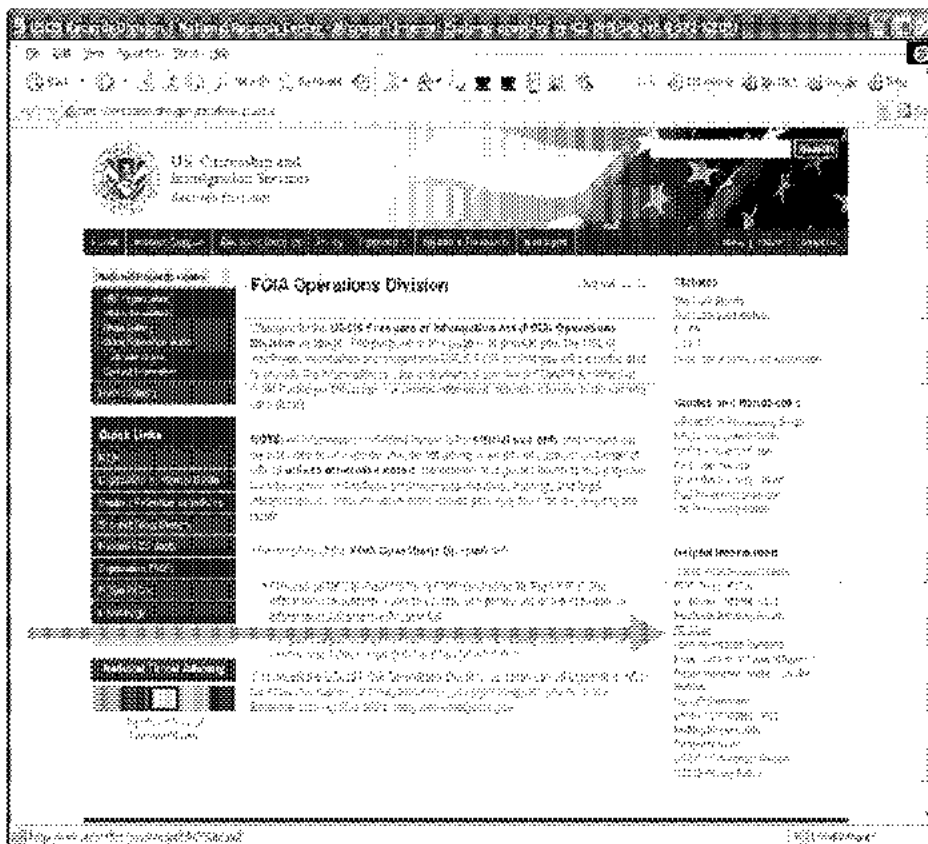
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## 6. "Blued in" information

- If "Retire" had been blued in, it would have been important. We would have used that inquiry screen to staff from the FRC.
- If "In Transit" had been blued in, it would have been important. We would have staffed to the receiving FCO.
- If "Consolidation" had been blued in, it would have been important. We would have checked to make sure our file is the "survivor" and not the consolidated file.
- "Rider" could be important to the case processor, but it has nothing to do with how we staff for this file.

## 7. The FOIA Operations Division Intranet Page

Now, an RPC beginning with "DP" is easy because NFTS shows right beside it that it means "Deportation." Sometimes an RPC prefix can be important and it's not obvious right away. If that's the situation, we need to look at the FCO List, which also has the RPC Reference Guide.



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# FOIA/PA ASSISTANT'S GUIDE

8. The RPC Reference Guide says that no matter what the FCO is, if the RPC starts with DP, we staff to DRO. If you don't already know this, SAC, RAC, ASAC, DRO and OPLA are all ICE functions. That's important for staffing.

Q:\Foia\FOIA LIBRARY\Case Create References\Case Create Template Letters\Case Create References\FOIA FCO List 3 31 2010

RPC REFERENCE FOR STAFFING - Updated 3/31/10				
FCO	Codes	Description	Staffing	Notes or Exceptions
ALL		Adjudications	non - FOIA	
ALL		Airports	non - FOIA	are Border Patrol
ALL		Anti Fraud	non - FOIA	
ALL		Anti Smuggling	SAC/RAC/ASAC	
ALL		Chief Counsel	OPLA	
ALL	CAP	Criminal Alien Program	DRO	
ALL	DI	Deferred Inspection	non - FOIA	Border Patrol function
ALL	DP	Deportation	DRO	
ALL		Detained	DRO	if Co. Jails, Prisons and Processing Centers.
ALL	D & R	Detention and Removal	DRO	
ALL		Detention Facility Name	DRO	This includes Co. Jails, Prisons and Processing Centers.
ALL		District Counsel	OPLA	
ALL	EX	Examination	non - FOIA	
ALL	FD	Fraud detection (FD/IS)	non - FOIA	
ALL	FE	Freedom of Information Act	DRO	

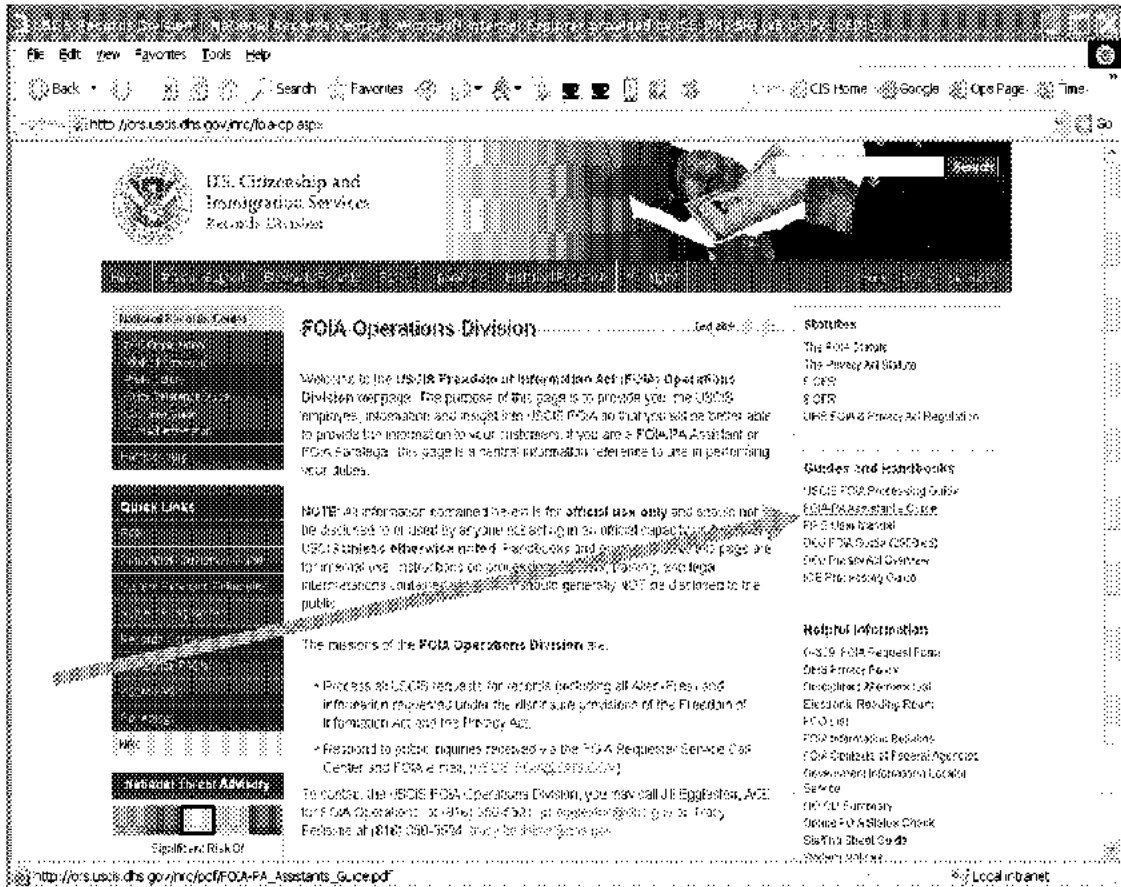




# FOIA/PA ASSISTANT'S GUIDE

## 10. The FOIA/PA Assistant's Guide

We should look in the FOIA/PA Assistant's Guide to see if there is more information about staffing to DRO.



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# FOIA/PA ASSISTANT'S GUIDE

## 11. Figuring out a Staffing Scenario

The Guide confirms what we thought. If we staff to DRO, then we choose the FCO where the file is located. We're going to look for DRO-SEA. Note that the quickest way for me to find the information is by searching "DRO." I could have also gone to the table of contents and looked under Staffing Scenarios.

**STAFFING SCENARIOS - ICE FILES**

There are currently five different types of staffings for files located within the ICE function. The NETS screen print should be posted to the second page of the staffing letter.

**OPLA** - Staffing sheets are to be used for files that are located in the following office sections. Choose the FCO where the file is located, such as OPLA-BOS.

Office Section	Acronym
Trial Attorney's Office	TA
Chief Counsel	
Litigation	LI or LI7
Legal Section	LS
District Counsel	DC

Staffing sheets are to be used for files that are located in the following office sections. Choose the FCO where the file is located, such as DRO-DEN.

Office Section	Acronym
Detention & Removal	DENTENT, D&R, DET DRO, DB&P
Criminal Alien Program	CAP
Deportation Officer/Assistant Clerk	DO, SDDO
Border Control Spec.	
Immigration Enforcement	IEA
Field District Office	FOI (Washington DC) (DRO-WAS)
Admin Programs Office	
Non-Detained or Detained	
Processing Center	OC-Orero County
Detention Facility Issue	ie ... Gray Mesa, Krome
Expatriate Op.	EO

Results:

- ☐ (CF, A/DRO/ SA) CIS - Used for all c...
- ☐ the drop down box to select the offic...
- ☐ as DRO-DEN, Office Section Activity...
- ☐ DET, DRO, DDSP Criminal Alien Prog...
- ☐ DRO-WAS( ) Admin Program Office hr...
- ☐ action drop down menu, FPE will al...
- ☐ on drop-down menu titled "Refereed"
- ☐ the drop-down menu for "Category."



# FOIA/PA ASSISTANT'S GUIDE

## 13. FIPS – Staffing Request dialog box

After we expand the ICE list, we have to expand the DRO list:

The image shows two screenshots of the 'FIPS - Staffing Request' dialog box. The top screenshot shows the 'Staff request to:' list with 'ICE' expanded. The bottom screenshot shows the 'Staff request to:' list with 'DRO' expanded.

**Top Screenshot: FIPS - Staffing Request**

Staff request to:

- FOIA SAFE
- FOIA Significant Interest
- FRAUD DETECTION AND NATIONAL SECURITY
- FRC
- HBG
- HEL NON A-FILE MATERIAL
- ICE
  - ASAC
  - DRO
  - ICE (General Staffing)
  - ICE - LESC
  - OPLA
  - RAC
  - SAC
- Lost File at FCO: \_\_\_\_\_
- Non FOIA Offices
- NRC-Director
- Privacy Act Amendment Request
- DAFACS

Generate Staffing Sheet

- No Staffing Letter
- Customize Letter
- File Missing/Lost

OK Cancel

**Bottom Screenshot: FIPS - Staffing Request**

Staff request to:

- DRO
  - DRO - ABQ
  - DRO - ACA
  - DRO - Albany
  - DRO - ANC
  - DRO - ATL Atlanta
  - DRO - BAK Bakersfield
  - DRO - BAL Baltimore
  - DRO - BOI Idaho
  - DRO - BOS Boston
  - DRO - BUF Buffalo
  - DRO - CHA Charlotte Amalie
  - DRO - CHI Chicago
  - DRO - CHL Charleston
  - DRO - CHR Christensted
  - DRO - CLE Cleveland
  - DRO - CLM
  - DRO - CLT Charlotte
  - DRO - DAL Dallas

Generate Staffing Sheet

- No Staffing Letter
- Customize Letter
- File Missing/Lost

OK Cancel

# FOIA/PA ASSISTANT'S GUIDE

## 14. Creating the customized staffing letter

Next, we will scroll down the DRO list and look for DRO-SEA. Once we get there, we click on it and it turns blue when it is selected. After that, we click OK.

FIPS - Staffing Request

Staff request to:

- DRO - PRO
- DRO - REN Reno
- DRO - SAC Sacramento
- DRO - SAJ San Juan PR
- DRO - SFR San Francisco
- DRO - SLC
- DRO - SNA San Antonio
- DRO - SND El Centro SPC
- DRO - SND San Diego
- DRO - SND-CCA
- DRO - SND-FDS Calipatria IRP
- DRO - SND-FSD Bond
- DRO - SND-FSD Calipatria IRP
- DRO - SND-FSD Centinela IRP
- DRO - SND-FSD Donovan IRP
- DRO - SPM St. Paul MN
- DRO - ST LOUIS
- DRO - SEA Seattle

DRO - SEA Seattle  
Department Asst.  
200303-1001  
Betsy Wong

Generate Staffing Sheet  
No Staffing Letter  
Customize Letter  
File Missing/Lost

Betsy Wong  
AAO FOD Seattle

OK Cancel

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## **FOIA/PA ASSISTANT'S GUIDE**

As soon as I clicked OK, FIPS generated a staffing letter for me.

**(b)(6)**

U.S. Department of Homeland Security  
P.O. Box 648019  
Los Angeles, CA 90064-8019

U.S. Citizenship  
and Immigration  
Services

December 1, 2009

NRCB07-07-076

MEMORANDUM FOR:  
DEO - SEA Seattle  
Deputy Assistant Chief

[Redacted]

ATTN: Ronny Wong E-Mail Contact: SAO-FOD-Seattle

FROM: NRC FOIA PA

SUBJECT: Freedom of Information Privacy Act Request NRCB07-07-076  
Alien # [REDACTED]  
Subject Name [REDACTED]

The attached FOIA/PA request is forwarded to your office for action. Due to the subject matter, there is a high probability your office will have records responsive to the request.

- Please conduct a thorough search for all responsive records physically in, and within the functional purview of your office.
- Send a copy of all responsive documents to the FOIA office in their entirety. DO NOT MAKE REDACTIONS.
- Deny or segregate documents or portions thereof that you believe should be withheld. Please include a brief explanation for your action. The FOIA Staff will not release those items so indicated without further discussion with you.

Should you need other assistance or believe this request should be staffed to another office, please:

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Go to the end of the letter and position your blinking cursor below the word "Attachments." Next, we go back to NFTS and copy the location information.

Microsoft Word - FIPS 47B... FIPS Mainframe Paste: 100%

File Edit View Insert Format Tools Table Window Help

Attached is our justification for withholding any responsive material.

The following records system number/title was search.

System	Results	
	Positive	Negative
_____	_____	_____
_____	_____	_____
_____	_____	_____

I certify that I am responsible for the search of records conducted in my office encompassed by this request and the attached records were the only such documents located in response to this request.

Signature \_\_\_\_\_ Date \_\_\_\_\_

Printed Typed Name \_\_\_\_\_

Title \_\_\_\_\_

Telephone # \_\_\_\_\_

Attachments(s)

|

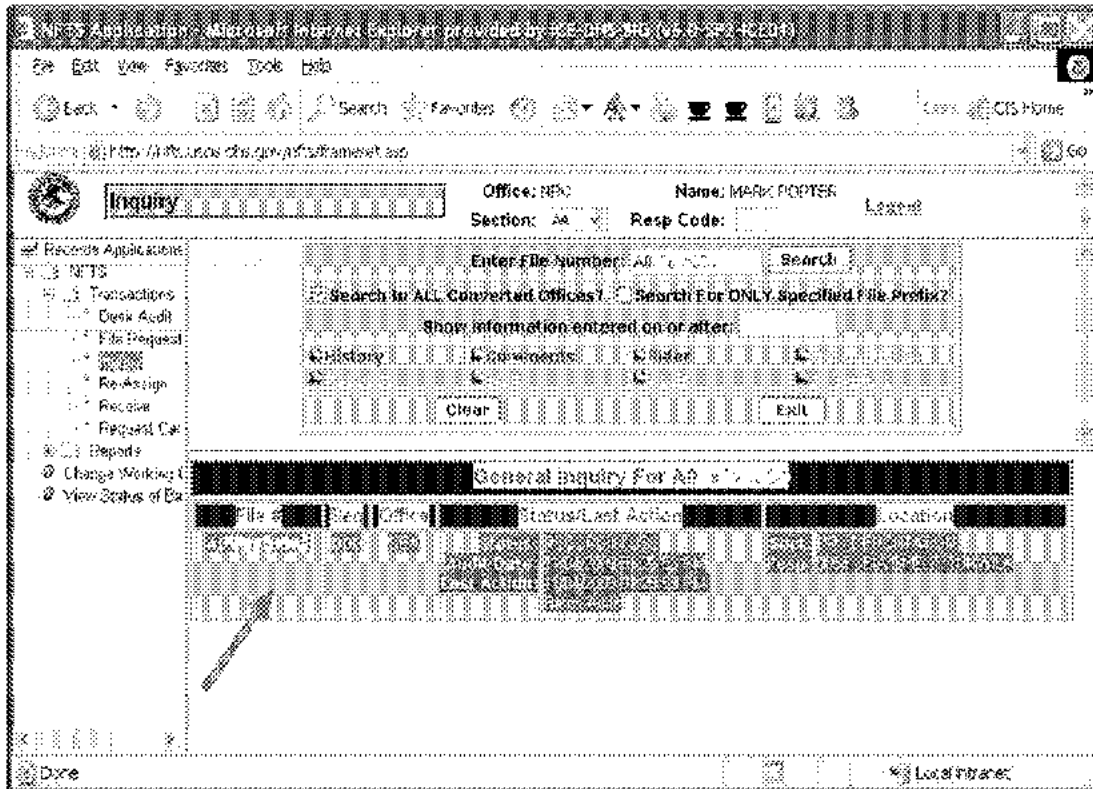
Page: 2' Sec: 1 2/2 At: 7.9" Ln: 41 Col: 1 English (U.S.)



# FOIA/PA ASSISTANT'S GUIDE

## 15. Putting the staffing information in the staffing letter

Right-click somewhere in the gray area below “General Inquiry.” You will get a drop-down dialog box. Click on “Select All.” Right-click again and select “Copy.” Now we will paste the information into the staffing letter.



## **FOIA/PA ASSISTANT'S GUIDE**

Immediately after pasting, we notice that the result is imperfect and we will have to repair it.

Microsoft Word

File Edit View Insert Format Tools Help

MS Word - MS Word based doc, 100%

Page 11

Positive Negative

.....

.....

.....

I certify that I am responsible for the search of records conducted in my office encompassed by this request and the attached records were the only such documents located in response to this request.

Signature .....

Date .....

Printed/Typed Name .....

Title .....

Telephone # .....

Attachment(s)

General Inquiry For Airtel.doc			
Seq	Office	Status	Location
1	000	Completed	C:\Program Files\Microsoft Office\Office\Airtel.doc

Seq: 000

Office: 000

Status: Completed

Location: C:\Program Files\Microsoft Office\Office\Airtel.doc

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Left-click and highlight everything in the center column, starting at Status/Last Action, then press Delete.

request and the attached records were the only such documents located in response to this request.

Signature \_\_\_\_\_ Date \_\_\_\_\_

Printed/Typed Name \_\_\_\_\_

Title \_\_\_\_\_

Telephone # \_\_\_\_\_

Attachment(s) \_\_\_\_\_

General Inquiry For Agency			
#	Seq	Office	Status/Last Action
1	000	000	000
2	000	000	000
3	000	000	000
4	000	000	000
5	000	000	000
6	000	000	000
7	000	000	000
8	000	000	000
9	000	000	000
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Telephone # \_\_\_\_\_

Attachment(s) \_\_\_\_\_

General Inquiry For Agency			
File #	Seq	Office	Location
1	000	000	000
2	000	000	000
3	000	000	000
4	000	000	000
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7	000	000	000
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98	000	000	000
99	000	000	000
100	000	000	000

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Next, highlight the whole area and change the font size to 12.

Title \_\_\_\_\_

Telephone # \_\_\_\_\_

Attachments:

File #	Seq	Office	Location
600	352	Sec 1	DP DEPORTATION
9054-61A	2551	TURVILA	

Page 2 Sec 1 2/2 11x7.7 Ln 40 Col 1 100% BPS 8/10/04 Engrt U.S.

## **FOIA/PA ASSISTANT'S GUIDE**

Finally, we exit and save our work. We have successfully staffed for the A-file. The next thing we have to do is repend. Every time you do a staffing, you always have to repend. The Guide tells you the number of days to repend based on the file location or the type of case. FIPS defaults to 10 days. Repending is setting that due date further into the future. We repend staffings from 30 up to 365 days.

System		Results	
		Positive	Negative
.....		.....	.....
.....		.....	.....
.....		.....	.....

I certify that I am responsible for the search of records conducted in my office encompassed by this request and the attached records were the only such documents located in response to this request.

Signature \_\_\_\_\_ Date \_\_\_\_\_

Printed/Typed Name \_\_\_\_\_

Title \_\_\_\_\_

Telephone # \_\_\_\_\_

For you want to save the changes to DESYS...

Yes No Cancel

Attachments(s)

General Inquiry For AOW <b>000000</b>			
File #	Seq	Office	Location
AC 751 56 000	SEA	Sect:	DP - DEPORTATION
		Resp:	0064 - BIA SHELF TUKWILA

# FOIA/PA ASSISTANT'S GUIDE

## 16. Re-pond

Double-click under "Documents" where it says "Staffing Response." A "Re-pending Documents" dialog box pops up. We know from the Guide that we re-pond a file with ICE for 180 days. Replace "10" with "180" and click "Re-pond." This concludes the case create staffing example.

The screenshot shows the FOIA/PA Assistant software interface. A 'Re-pond' dialog box is open, allowing the user to re-pond a document. The dialog box contains the following information:

**Document Information:**

- Control Number: NRC2007-0001
- Document Sequence: 6
- Document Type: Staffing Response
- Responsive Unit: DRO - SEA Seattle
- Status: Pending
- Original Staffing Request Date: 12/1/2008
- Most Recent Staffing Request Date: 12/1/2008
- Current Due Date: 12/21/2009

Re-pond this document to be due  days from today.

Buttons: Cancel Staffing, Re-pond, Cancel

**Documents Table:**

Seq	Date	Document Type	Responsive Unit	Pages	Status
7	12/01/09	Responsive Records	DRO - SEA Seattle		Pending
6	12/01/09	Staffing Response	DRO - SEA Seattle		Pending
5	12/01/09	Staffing Letter - ICE P...	DRO - SEA Seattle		Editing
4	10/27/09	Requester Documenta...	Requester	3	Scanned
3	10/05/09	Acknowledgment Lette...			Printed
2	10/02/09	Request Supporting D...		3	Scanned
1	10/02/09	Request Letter		4	Scanned

**Case Notes:**

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# **FOIA/PA ASSISTANT'S GUIDE**

## ***Two or more A-numbers***

Multiple unconsolidated A-numbers - If the requester has provided more than one A-number, you must research CIS for each A-number to determine if they relate to the subject. If the subject has multiple A-numbers, you will create one case and do multiple staffings. When you are required to staff for two or more unconsolidated A-files, the individual staffing sheet must include the words "**MULTIPLE STAFFINGS**" at the top of each sheet. Do not confuse this with the subject of the file having an "A" file and a "T" file. The alien numbers must refer to different unconsolidated A-files and relate to the subject of the request if you are to mark it "**MULTIPLE STAFFINGS**."

**Important note 1:** If one of the files you are staffing for is located at RAFACS/CIS, FRC or one of the Service Centers, staff for those alien numbers first. These locations produce the file faster than other offices. MSB does not pull the staffing letters for follow-up unless "Multiple Staffing" is noted.

**Important note 2:** If one of the A-numbers you are staffing for is "digitized," do not use that alien number on the FIPS worksheet. Use one of the subject's other alien numbers on the worksheet. To determine if the file has been digitized, look in CIS at screen 9504. The Current FCO will show DIG.

If the alien has multiple A-numbers and the files are both located at the NRC, please add them to the spreadsheet that Records Operations maintains at S:\Record\_Ops\Files\_to\_Consolidate.xls. You are responsible for entering the alien numbers of the files that may possibly need consolidation. Records Operations will review the files and consolidate if necessary. If both files are not at NRC, do not add the information to the spreadsheet.

## ***Consolidated A-numbers***

If the alien has a consolidated A-number, then please enter only the lead (or surviving) A-number on the worksheet in FIPS and will staff for that file. Consolidated A-numbers are reflected in CIS on the 9101 screen, under the section titled "Consolidated A-Nos". The A-number listed first is the primary A-number; the other A-numbers listed below the primary have been consolidated into the primary number.

**Note:** please do not add consolidated A-numbers to the "files to consolidate" spreadsheet.

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## Digitized files

If you are staffing for an A-file that has been digitized please use the **RDF** staffing sheet. If the file has been digitized, the current FCO does not matter; you would still use the RDF staffing sheet.

How do I tell if it is a digitized file?

NFTS will show the "Location" of the file as either **RDF** or **NRC**. If the file location is **NRC**, you will see a banner stating "DIGITIZED ON ...." The screen print below is a sample of the NFTS screen.

The screenshot shows the 'General Inquiry For AFI' screen. At the top, there is a search bar with 'Enter File Number: 88' and a 'Search' button. Below this, there are checkboxes for 'Search In ALL Converted Offices?' and 'Search For ONLY Specified File Prefix?'. A 'Show information entered on location:' section is visible. A banner in the center reads 'DIGITIZED ON 05/06/2009 01:14:06 AM'. Below the banner, there is a table with columns: File #, Ser#, Office, Status, Last Action, and Location. The table contains one row with the following data: File # 889, Ser# 000, Office NRC, Status AVAILABLE - RECEIVED, Last Action 05/15/2008 12:41:33 PM, and Location Sect 55 - FILE ROOM NUMBER 411. Below the table, there is a 'Resp: 002 - ROW - X SREF - 002' and a 'Footer' section.

Paste in the "General Inquiry" information on the RDF staffing the same as you would on a RAFACS/CIS or the "Retire" data for an FRC staffing. People in MSB will know the file is digitized because you have staffed using an RDF staffing sheet. The temptation may be to staff RAFACS/CIS because the file shows available in records at NRC. Do not do that. If it shows "DIGITIZED," then staff to RDF.

## Border crossing card number

If the alien number provided by the requester is an 80,000,000 through 86,899,999 series number, it is a Border Crossing Card number. Even though you can research this number in CIS, there is no physical A-file associated with these types of numbers. You will need to research CIS and CLAIMS to see if there are any other A-files/receipt files associated with this alien.

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Previously during the Case Create process, if a requester/subject provided a Border Crossing Card Number and all of the required PII (except an A-Number), we asked the requester/subject to provide additional information (Alien or receipt number, copies of documents from the service, etc...). We used this information to determine if the subject had an A-File. We would find the A-file only in very rare instances.

We no longer request additional information if the requester/subject provides all of the required PII (except an A-Number). Since Border Crossing Cards are strictly electronic records (no actual file), we will have the Border Crossing Card screen prints scanned into a RAFACS slot.

Use the Border Crossing Card Number provided; search and print CIS screens 9101, 9101-history (F8), 9222 and 9223. Open a RAFACS staffing slot but do not generate a letter. Prepare the screen prints for scanning into this slot as responsive records. Pend the case for responsive records. Please attach a "Scan As" sheet and mark it as "responsive records" with the screen prints to be scanned. The case will be sent to the processor after screen prints are scanned in. Create it as a Track 1 case.

Note: Alien numbers from 86,900,000 through 87,999,999 are not Border Crossing Card Numbers; they are general alien numbers and have corresponding A-files.

## **EAD numbers (100,000,000 through 149,999,999)**

If the alien number provided by the requester is 100,000,000 through 149,999,999, it is an EAD (Employment Authorization Document) card number. There is no physical A-file associated with EAD numbers, even though they can be researched in CIS. You will have to research CLAIMS to locate the receipt number that corresponds with the EAD number, and then staff for that receipt number. Please refer to the section titled *Staffing Scenarios – Receipt Files* for additional information.

## **New alien numbers (300,300,000 through 300,322,501)**

As of June 2009, the range of numbers 300,300,000 through 300,322,501 are being used as general A-file numbers.

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## **Receipt numbers**

Receipt numbers are comprised of the three-letter office code, followed by a 10-digit number. Receipt numbers are assigned to applications and petitions filed with the Service, such as Form I-765, Employment Authorization applications and Form I-130, Petition for Alien Relative. If the requester provides a receipt number on their request, log into CLAIMS and verify the information.

If the requester provides only a receipt number and it is for a Service Center we work, then we need to staff for the receipt file. Change the subject information on the FIPS worksheet from alien name to subject and description. Make the first part of the description the receipt file number. Use the complete receipt number with no spaces. Do not write the name as "Last Name, First Name."

(Example of the correct way: EAC0812345678 for Juan Cardozo Sanchez.)

(An example of how NOT to do it: EAC-08-123-45678 for Cardozo Sanchez, Juan).

If there is an alien number while you are in the "Name" mode, delete that alien number before you go to "Subject" mode. You will know you failed to delete the alien number if you staff for the receipt file and there is an alien number on the staffing sheet. In such a case, go to the FIPS worksheet, change it back to "Name" mode, delete the alien number, change it back to "Subject" mode, click U, then delete the alien number(s) from the staffing sheet and save.

Do not staff for receipt files from any offices other than one of the five Service Centers (ESC/EAC, SSC/SRC, WSC/WAC, MSC/NBC or NSC/LIN). For receipt files at HBG, use the NON-FOIA MSC/NBC staffing sheet. **Do not staff for DIG T-files at HBG with RPC codes XX or ZG.** Refer to the Staffing Sheet Guide for the most current information.

## **Archives and Records Centers Information System (ARCIS)**

ARCIS is a new system used by the Federal Records Center (FRC) to track the location of retired files. The accession data is now 27 digits long. NFTS will not accept the accession data because of the length. Instead, you will see the word "ARCIS" in the location field in NFTS.

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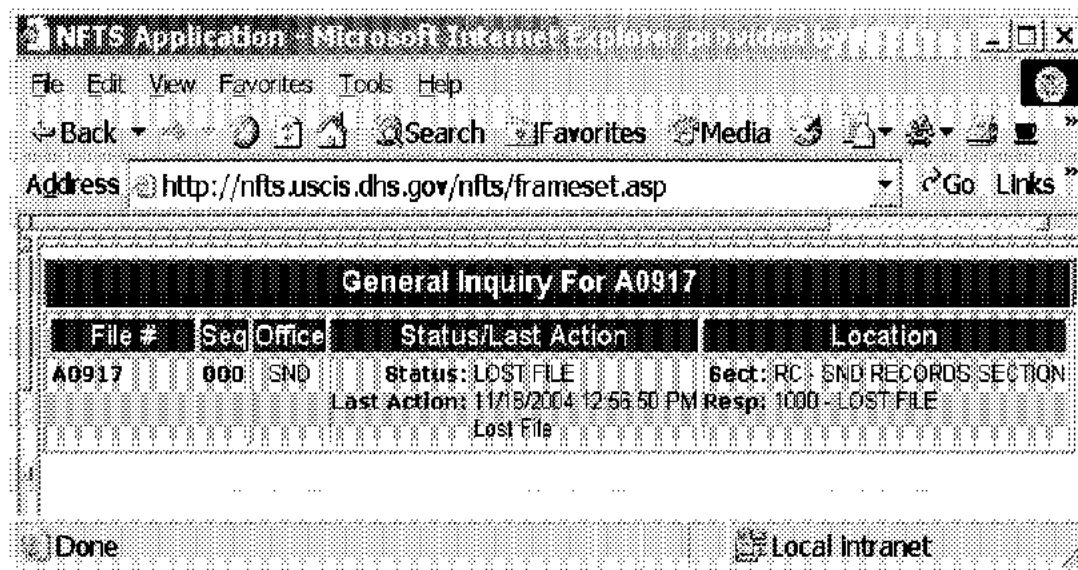
When the case you are creating shows the file is located at FRC and you see the word "ARCIS" in the location field in NFTS, use the FRC staffing sheet and paste the retired screen from NFTS.

Not all files located at the FRC will have "ARCIS" in the location field. For those files, continue to staff using the FRC staffing sheet and paste the retired screen print.

## **STAFFING SCENARIOS**

### ***Files Lost or Not Found LESS THAN NINE MONTHS***

When an A-file is lost, it will appear in NFTS as a "Lost File" in the Status/Last Action section of the General Inquiry screen.



A lost file in CIS will appear in the CIS-9504 screen as "N (Not Found)" in the section titled "FILE LOCATED IND."

If the "Last Action" is more than nine months ago, move to the next section of this guide, Files lost or not found MORE THAN NINE MONTHS.

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File Edit Session Transfer Program Options Window Help

INFTS IMMIGRATION AND NATURALIZATION SERVICE 03/30/05  
COMMAND: CIS - FILE TRANSFER DISPLAY (FTD) 09:15:36

A#: 0317 NAME: DIAZ HERNANDEZ , GLORIA DOB: 040919

PREVIOUS FCO: NRC FCO CREATING SUB-FILE:  
CURRENT FCO: SND SUB-FILE CREATION IND:  
REQUEST FCO: SND

FILE LOCATED IND: N (NOT FOUND)

DATE FTR: 04122002 (MMDDYYYY) ACCESSION NUMBER: 0000  
DATE FTI: 04152002 INS BOX NUMBER:  
DATE FTC: 04162002

PERSON/ACTION: CHU/BP REQUEST NUMBER:  
2ND REQUEST DATE:  
3RD REQUEST DATE:

YOU MAY REQUEST A DISPLAY OF ANOTHER A-FILE BY KEYING A DIFFERENT A-NUMBER.

CLEAR EXIT PF3 REFRESH PF4 FTS MENU PF5 HELP PF6 CIS MAIN MENU

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NUM OVR

When the file appears lost in CIS 9504 and NFTS, Staff using the Lost File at FCO: \_\_\_\_\_ staffing sheet (include the FCO that shows the file is lost).

**Exception:** If the file shows lost in CIS-9504 and NFTS shows the file in use, staff for the file per the FCO in NFTS.

Under "Generate Staffing Sheet" mark the box "File Missing/Lost".

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The screenshot shows a 'Staffing Request' dialog box. On the left, under 'Staff request to:', there is a list of options: Asylum Offices, BUF, CIS, FOIA Offices, HBG, ICE, ICE -Miscellaneous, **Lost File at FCO** (highlighted with a black box), Non-FOIA Office, RAFACS, RAFACS/CIS, RECORDS ALIEN FILE, RECORDS INDEXING, REQUEST FOR FILE FROM A FOREIGN FCO, and Service Centers. On the right, there is a section titled 'Generate Staffing Sheet' with three options: 'No Staffing Letter', 'Customize Letter', and 'File Missing/Lost' (which has a checkmark). An arrow points from a text box below to the 'File Missing/Lost' option. The text box says 'Mark the File Missing/Lost box!'. At the bottom right of the dialog are 'OK' and 'Cancel' buttons.

Generate the acknowledgement letter. Add the paragraph to inform the requester that the file is lost. There is a template for this language on the Common drive under *O:\Foia\FOIA LIBRARY\Case Create References\Case Create Template Letters \Interim Response-Lost Record*.

When the case create process is complete and the creator is ready to exit the case, click the "In Basket" button and then select the option titled "Pend Case for Circular Search".

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**Workflow**

Where do you want to send this case?

☐ Case Owner  
☐ **Records Locator**  
☐ Processor  
☐ Approver  
☐ Administrative  
☐ **Unit Chief**  
☐ FOIA Approver  
☐ Special Approver  
☐ General Counsel

☐ Pend Case for Responsive Records  
☒ **Pend Case for Circular Search**  
☐ Pend Case in Records Administration  
☐ Pend Case in Supervisory Elements  
☐ Unit Case in Progress  
☐ **Retain this case in my In Basket**  
☐ Close Case

## ***Files Lost or Not Found MORE THAN NINE MONTHS***

(Please note: this is NOT the procedure for a request for alien number only or for petitions destroyed in accordance with federal paperwork retention guidelines.)

1. If the A-file is lost but other records exist (such as receipt files we would normally staff for or other a-files), please go to step 9 now. *Otherwise*,
  - a. if the file has been marked as lost for more than nine months
  - b. and there is no recent activity in CLAIMS (within last 2 years) or RNACS,
  - c. and there are no additional files, then: records locator should put in the following case note: **A-file has been lost for more than 9 months and no other records exist. Closing as UT.** Detail all systems searched as part of this case note.
2. Complete the attached Lost File Worksheet (and send it for scanning as CSD with any screen prints you do.)
3. If the file was not staffed to OPLA, please move to step four now. *Otherwise*, if the file was staffed to OPLA, look at NFTS history. If the NRC file request was cancelled and the file indicator was subsequently changed to "Lost File," create a case note with the subject "Unit Chief" listing the date the file was

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staffed, the date the request was cancelled, and the date the file status was changed to lost. Send the case to Unit Chief. You're done.

4. If there is no CIS screen containing "EARM-X" "DACS-X" or "NAIL-X," please move to the next step now. *Otherwise*, if there is any CIS screen containing "EARM-X" "DACS-X" or "NAIL-X," notify your supervisor by e-mail, referencing the case number, but do not make a case note stating that. Go to the next step.
5. Go to Final Action and update the status to UT. In the final action letter, after the sentence "You may, if you wish, resubmit at a later date," please add the following sentence: "As we were unable to locate a physical file, we are including screen prints of the electronic record." Go to the next step.
6. In the UT final action letter, attach the screen prints to the letter electronically (cut and paste). Do not make any redactions to the screen prints. Save and close the letter and send to approver. You're done, *unless* the case is later returned to you for further research.
7. The approver will review the UT letter with the inserted screen prints. If he or she is satisfied that a thorough search was conducted, the approver will forward the case to FOIA Approver. If the approver is not satisfied with the search results, he or she will return it to you for further research.
8. The FOIA Approver will review the research and either close the case or return it for further action. If the case is approved, the FOIA Approver will close the case.
9. **If the A-file is lost but other records exist** (such as receipt files we would normally staff for or other a-files) Staff for the additional records. Put in a case note that reads:

A-file number XXXXXXXXXX is currently showing as lost. Staffed for the following additional files: XXXXXXXX, XXXXXXXX, XXXXXXXX. Once they are received, please review. Please also verify that the original a-file is still lost. If the original a-file has been consolidated in fact but not in the systems, please process and send your case to approver. Also send an e-mail to the MSB for resolution. Include both a-numbers. If no documents exist from the original a-file, please process what is available. Advise the requester that the original a-file is lost. Your case will close as a PD even if no redactions are made. Thank you.

10. Cancel the lost file staffing and pend for responsive records.

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## **LOST FILE WORKSHEET**

A-number \_\_\_\_\_

Name of Alien \_\_\_\_\_

Date shown as Not Found in CIS \_\_\_\_\_

Date shown as lost in NFTS \_\_\_\_\_

1. Search CIS for potential second a-number and/or consolidation
  - a. Second a-number \_\_\_\_\_
  - b. Any T-files? Yes \_\_\_\_\_ No \_\_\_\_\_
    - i. If yes, have they been staffed and scanned? If not, please do so now.
  - c. Consolidated with? \_\_\_\_\_
  - d. Does the the EOIR screen show an upcoming hearing date  
Yes \_\_\_\_\_ No \_\_\_\_\_
2. Check CLAIMS for petition/applications
  - a. Were any found? Yes \_\_\_\_\_ No \_\_\_\_\_
  - b. If so, either provide screen prints with receipt number or list below
3. Check NFTS. Any current file movement. Yes \_\_\_\_\_ No \_\_\_\_\_
4. Check RNACS for any indication that file is with the naturalization unit.

NOTES:

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## ***Staffing Scenarios FAQ's***

**Q: What screen print do I attach?**

A: The screen prints attached are typically a NFTS screen. In some situations, there is no screen print attached at all. See the Staffing Sheet Guide for current information.

**Q: Which staffing sheet do I use?**

A: Each office has its own staffing sheet in FIPS. The Staffing Sheet Guide details which sheet to use in specific circumstances.

**Q: What if they have two alien files with two different numbers?**

A: In cases like this, we staff for each alien file on a separate staffing sheet and write MULTIPLE STAFFINGS at the top of each sheet.

## ***Records Indexing / Manual Requests***

In some instances, the A-number of the subject will not be found in CIS or CLAIMS. This is especially true of individuals who had no business with the Service after the date CIS was put in use. A general rule which applies most of the time is the subject had no business concerning any immigration matter since 1975 or earlier. In these instances, staff the request using a "Records Indexing" staffing so that a manual search can be conducted. It is important that you provide as much information as possible on the Records Indexing staffing sheet. The name of the subject, year of birth and country of birth are required information.

Sometimes the requester/subject will provide an A-number and the file cannot be located in NFTS or CIS. Ensure requesters provide the minimum information to allow a positive identification (i.e., full name, aliases, an alien number, date and country of birth). If the requested records relate to:

- A-Files;
- Dates of birth;
- Dates of entry; or

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- Naturalization dates

which are after 1975, do not request a manual search, because records will not be located; check CIS and/or CLAIMS for a record. If you find no record, please refer to the section on NO RECORDS.

**TO RECAP:** If the subject has had no business with the service since 1975 or earlier, they may or may not have a CIS record. If they do not, then staff to records indexing. If the subject has had business from 1976 forward, do not staff to records indexing.

## ***A-number in CIS but not in NFTS***

If there is an A-number in CIS but no information in NFTS, create a staffing sheet according to the Staffing Sheet Guide and FCO List, and paste in the 9504 screen of the CIS record rather than the NFTS information. Otherwise, the procedure is the same.

## ***ICE files***

There are currently five different types of staffings for files located within the ICE function. Paste the NFTS screen print to the second page of the staffing letter.

OPLA staffing sheets are for files that are located in the following office sections. Choose the FCO where the file is located, such as OPLA-BOS.

<u>Office Section</u>	<u>Acronym</u>
<b>Trial Attorney's Office</b>	<b>TA</b>
<b>Chief Counsel</b>	
<b>Litigation</b>	<b>LI or LIT</b>
<b>Legal Section</b>	<b>LS</b>
<b>District Counsel</b>	<b>DC</b>

DRO staffing sheets are for files that are located in the following office sections. Choose the FCO where the file is located, such as DRO-DEN.

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<u>Office Section</u>	<u>Acronym</u>
<b>Detention &amp; Removal</b>	<b>DENTENT, D&amp;R, DET, DRO, DD&amp;P</b>
<b>Criminal Alien Program</b>	<b>CAP</b>
<b>Deportation Officer/Assistant/Clerk</b>	<b>DO, SDDO</b>
<b>Bond Control Spec.</b>	
<b>Immigration Enforcement</b>	<b>IEA</b>
<b>Field District Office</b>	<b>FOI (Washington DC) (DRO-WAS)</b>
<b>Admin Program Office</b>	
<b>Non-Detained or Detained</b>	
<b>Processing Center</b>	<b>OC-Otero County</b>
<b>Detention Facility name</b>	<b>ie... Otay Mesa, Krome</b>
<b>Fugitive Ops</b>	<b>FO</b>

SAC staffing sheets are for files that are located in the following office sections. Choose the FCO where the file is located, such as SAC-ATL. Please note the section that follows concerning SAC locations.

<u>Office Section</u>	<u>Acronym</u>
<b>Investigations</b>	<b>INV, IV</b>
<b>Special Agent in Charge</b>	<b>SAC</b>
<b>Internal Audit</b>	<b>IA</b>
<b>Resident Agent in Charge</b>	<b>RAC</b>
<b>Assistant Agent in Charge</b>	<b>ASAC</b>

### ***SAC locations***

Occasionally, you will see a staffing for a SAC (Special Agent in Charge) case, and not be able to find the File Control Office under SAC in your FIPS staffing list (ex. POO/Portland, Oregon). How do you staff correctly for the file? Would you use the "ICE General" staffing?

Yes, you do, but only as a last resort. Before staffing under ICE General, please check under RAC (Resident Alien in Charge) and ASAC, in consecutive order to find the staffing location. Since you cannot find Portland under SAC, you would next check RAC, and then ASAC (Portland is found under ASAC). Finally, if you cannot find the location **after** searching SAC, RAC and ASAC, please staff under ICE General.

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## ***LESC (LSC) records***

On all of these staffing sheets, you must attach the NFTS screen print to page two.

## ***T-files***

**Q: What if the subject has an A-file at one office and a T-file at a different office (for example, an A-file in Chicago and a T-file in Milwaukee)?**

**A:** In this case, we will staff for both files, EXCEPT, do not staff for T-files at HBG with RPC codes XX or ZG.

**Q: What if they have an A-file at an outside office and a T-file here at the NRC?**

**A:** Staff for the A-file only, but include the T-file portion on the staffing sheet. The T-file will get combined with the A-file when it arrives at the facility for scanning. **NEVER CROP THE T-FILE INFORMATION FROM THE NFTS SCREEN PRINT.**

**The exception to this rule** – We do not receive A-files from ESC, SSC, NSC, or WSC for scanning. Those offices scan directly into FIPS for us. Therefore if the A-file is at one of the above service centers and there is a T-file anywhere else, including at the NRC, you will have to staff for the T-file. MSC is the only service center that sends the A-file to the NRC for scanning. Another example of when we staff for an in-house T-file is when the responsive records are scanned in simultaneously with the request.

## ***Receipt files***

1. Do not staff for receipt files from any offices other than one of the five Service Centers (**ESC/EAC, SSC/SRC, WSC/WAC, MSC/NBC or NSC/LIN**). For example, LOSJ9163201111, DALC922740405 or SPM9606900035, etc., are not receipt files to be requested.
2. If the requester does not specifically ask for a receipt file and provides an alien number, staff for the alien file only.

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3. If the requester does not provide any receipt number or alien number, then you must research CIS and CLAIMS.

Be cautious about staffing for receipt files that are for EAD cards only. There should be another application/petition filed in conjunction with this EAD card. If the only receipt numbers you can find is for an EAD card, and they are within the seven-year retention time, then yes, you will staff for the EAD card.

If they provide a receipt number, you must research CLAIMS and NFTS thoroughly. Ensure the receipt file has not been consolidated into a T-file or into an A-file. Please staff for the A-file or T-file if the receipt file has been consolidated. Check CLAIMS to be sure that the Service did not reject the receipt. Receipts that are shown as rejected in CLAIMS are returned to the submitter by the Service Center. Print the CLAIMS screen(s) that shows the receipt was rejected by the service. Open a RAFACS staffing slot only (no staffing sheet is necessary). Attach a "Scan As" cover sheet to the screen prints, mark the box "Responsive Records" and take to the OA room. The documents will be scanned as responsive records. Pend the case for 30 days.

4. If there is no information about the receipt file in NFTS, regardless of the prefix of the receipt number, you should staff to the owner of the receipt file and paste in the CLAIMS screen. This information can be located on the CLAIMS inquiry screen upper right hand corner. The CLAIMS screen will show "owned by."

### ***Archived receipts***

If we receive a request for a receipt file and the receipt file has been archived per CLAIMS, create the case as usual. To determine whether we need to staff for the archived receipt file or redirect the request please do one or all of the following as necessary:

1. Enter the receipt number in NFTS, there may be evidence that the receipt file has been consolidated into an A-file or there may be evidence that the receipt file has been forwarded to the NVC in which case you would redirect the request to NVC. Sometimes, you can discover that an archived receipt has been forwarded to NVC through PCQS.

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2. On the USCIS website enter the receipt number in the "Check Case Status." Checking the receipt number on the website may provide evidence that the receipt file has been forwarded to the NVC in which case you would redirect the request to NVC.
3. Call the NVC help line at 603-334-0700 and enter the receipt number. There may be evidence that the receipt file has been forwarded to the NVC in which case you would redirect the request to NVC.

If there is no evidence that the archived receipt file has been forwarded to NVC we will staff for the archived receipt file using RAFACS staffing sheet. Insert a note on the staffing sheet **"Archived Report," "Give to the Supervisor."** The Supervisor will request the archived report. When the screen prints are received they will be scanned in as Responsive Records.

Reading the request is very important; if the requester is seeking information relating to what appears to be a receipt number and it begins with "CDJ" or one of the other prefixes found in the section **National Visa Center Valid Consulate Prefix Codes**, call the NVC help line at 603-334-0700 and enter the receipt number. If there is evidence that the NVC has the receipt file, redirect the request to NVC.

To redirect a request to NVC do the following: Click final action and choose the code "RD" to "other". Replace the content of the letter that appears with the template letter, located on the common drive, O:\Foia\FOIA LIBRARY\Case Create References\Case Create Template Letters\NVC Letter. Send the case to Unit Chief and send an e-mail to your supervisors with the case information. The supervisor will review and close the case.

### ***Receipt files; Lost receipt file, File destroyed or File cannot locate***

If a staffing response from one of the service centers (ESC, SSC, NSC or WSC) has been scanned and a screen print from CLAIMS is shown on the staffing response with any of the following verbiage; "FILE CANNOT LOCATE", "FILE DESTROYED", or "LOST RECEIPT FILE", the case creator will need to follow the steps outlined below.

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Open a RAFACS (*not RAFACS/CIS*) staffing slot only. Click on “No Staffing Letter.” Print the appropriate CLAIMS screen prints (should be a minimum of 3 pages if the receipt file is for an I-130). Attach a “Scan As” cover sheet to the screen prints, mark the box “Responsive Records” and take to the OA room. The documents will be scanned as responsive records. Pend the case for 30 days. Make a note to change the staffing sheet option back to “Customize Letter” when you do the next staffing.

Staff request to:

- FOIA Significant Interest
- FRAUD DETECTION AND NATIONAL SECURITY
- FRC
- HBG
- HEL NON A-FILE MATERIAL
- ICE
- Lost File at FCO: \_\_\_\_\_
- Non FOIA Offices
- RAFACS
- RECORDS ALIEN FILE
- RECORDS INDEXING
- RECORDS NATURALIZATION FILE
- REQUEST FOR FILE FROM A FOREIGN FCO
- Service Centers
- WACE

Generate Staffing Sheet

- ☒ No Staffing Letter
- ☐ Customize Letter
- ☐ File Missing/Lost

OK Cancel

**Important note** – if you check the “No Staffing Letter” box you will have to click the “Customize Letter” box on the next case you create.

**This is only if there is no A-number and you have checked and the receipt file is not at the NVC.** This is what the response will look like:





# FOIA/PA ASSISTANT'S GUIDE

## NO RECORDS

CLAIMS (Computer Linked Application Information Management System)

File Edit Session Transfer Program Options Window Help

CLAIMSFA IMMIGRATION AND NATURALIZATION SERVICE 04/08/98  
COMMAND. CENTRAL INDEX SYSTEM - SEARCH MENU 09 07:07

A# 000000000 NAME: DOB: 00000000

(01) ID # (A/AA/AB/C/DA/DL/EB/EP/FP/PS/SS/TB) OTHER MENU SELECTIONS  
(02) SOUNDS-LIKE NAME (07) DATA DISPLAY MENU  
(03) EXACT NAME (08) ADD TRANSACT CNS MENU  
(04) AKA (ALIAS) NAME (09) RECORD MAINTENANCE MENU  
(05) LAPS EXACT NAME (10) FILE TRANSFER SUBSYSTEM MENU  
(06) SOUNDS-LIKE NAME WITH DOB

(11) MANUAL SEARCH- REQUEST (MRI)  
(12) MANUAL SEARCH- RESPONSE (SRI)  
(13) OR-LINE A-NUMBER REPORT REQUEST

<- SELECT TRANSACTION NUMBER. PRESS ENTER. FOR ID # SEARCH, KEY THE  
PREFIX AND THE ID # (I.E. A123456/88).

CLEAR EXIT PFS HELP PFS DIS MAIN MENU

3270

NUM OVR:

When conducting a search in CLAIMS (Computer Linked Application Information Management System) run alien's name as the beneficiary/applicant (3) **AND** as petitioner (6).

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A25 - (PHSDS) MSN, D-BDS Web
File Edit Session Transfer Program Options Window Help

FSXMMNT CLAIMS MAINFRAME SYSTEM 04/09/2008
UPDATE PROCESSING MENU 09 10
NRC273CA

SELECT AND COMPLETE ONE LINE

1 RECEIPT NO. |
   (SELECTIONS BELOW FOR APPLICATIONS AND PETITIONS ONLY)

2 USER ID: DATE: (MMDDCCYY)

3 BENEFICIARY/APPLICANT NAME (LAST) (FIRST):
  BIRTH DATE (MMDDCCYY)

4 A NUMBER A

5 REFERENCE NO.:

6 PETITIONER NAME (LAST) (FIRST):

PF3 PF6 PF8 PF10 PF11 PF12
CANCEL MAIN MENU LOGOFF REMOTE ACT UPD BY CODE ACT UPD BY REPT
3910
NUM OVR:
  
```

When conducting “no record” research, do the query and provide screen prints of all searches to the Team Supervisor. Attach a “Scan As” cover sheet and include the NRC Control Number. You must create a detailed case note indicating the systems you searched and the results of those searches. Send the case to Unit Chief until the screen prints are reviewed. When your supervisor concurs with the NR search, he or she will close the case and have the screen prints scanned in as CSD’s. This should be no less than six pages and may be lengthier if subject has provided multiple names or multiple alias names.

## GENEALOGY IS EXEMPT FROM THIS PROCESS.

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## RE-ASSIGN

This function is used to move a case that was scanned in the NRC queue to another queue for processing.

Re-assign the case if the request is for a contract (CNT).

Re-assign the case if the request is for CIS Personnel Information (HQS).

Re-assign any SIG case to COW.

Create the case, run Doc Mgr and get the NRC control number. Generate the acknowledgement letter. After the acknowledgement letter is created click on **In-Basket**, the following screen will pop up:

**Workflow**

**Where do you want to send this case?**

<input type="radio"/> Case Creator	<input type="radio"/> Send Case for Response Records
<input type="radio"/> <b>Records Locator</b>	<input type="radio"/> Send Case for Retrieval Reports
<input type="radio"/> Processor	<input type="radio"/> Send Case for Circular Search
<input type="radio"/> Approver	<input type="radio"/> Send Case for Requester Documentation
<input type="radio"/> Administrator	<input type="radio"/> Send Case for Supporting Documents
<input type="radio"/> <b>Unit Chief</b>	<input type="radio"/> Send Case for Payment
<input type="radio"/> FOIA Approver	<input type="radio"/> Send Case for Document Copy
<input type="radio"/> Appeals Approver	<input checked="" type="radio"/> <b>Reassign to Another Office</b> <span style="border: 1px solid black; padding: 2px;">▼</span>
<input type="radio"/> General Counsel	<input type="radio"/> <b>Retain this case in my In Basket</b>
	<input type="radio"/> Close Case

Click on the “Reassign to Another Office” and use the drop down box to select the office where you want the case to go. The office options are CNT, COW, and HQS. The case will be staffed when it is re-assigned to the other queue.

# FOIA/PA ASSISTANT'S GUIDE

## DP (duplicate) CASES

Duplicate cases, or, as they are coded in FIPS, DP cases, are cases where either the request was submitted multiple times to the Service, was inadvertently scanned into FIPS multiple times or are cases that were previously processed by another office.

Sometimes a requester will take what is known as the “shotgun” approach. They will submit the same FOIA request to multiple offices, hoping to get an answer quicker. The receiving offices will then in turn, transfer these requests to the office that actually has the requested documents. These are duplicate cases when an office has already processed this request with a final action code of either PD or GI, or has it ready to be processed. This can be determined by viewing the completed case using the “View” feature in Doc Mgr.

The screenshot shows the FIPS Doc Mgr interface. At the top is a table with the following columns: Control#, Date Scanned, Req's Last, Req's Fir, Subject, Alter Number, Status, Final Ac., and Category. The first row contains the text: NRC2000, 2/15/2005, Am. at, Mrlams, NRC2000, 0 00 0000, Open, ALF. Below this table is a 'New Case(s)' dialog box. The dialog box has a grid with four buttons: 'New', 'Multiple Cases', 'Duplicate Request', and 'View'. There is also a 'Cancel' button at the bottom right of the dialog box.

By highlighting the case you wish to review and then clicking the button titled “View”, FIPS will open the case for review. You will need to review the request to ensure that:

- If there has been a case that was closed GI or PD within six months from same requester – this does not include cases that were closed with any other final action code.
- The date of the request is either the same as your request or within a few days and:
  1. The requester is the same, and

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2. The information being requested is the same in both requests.

Once these items have been verified and you determine the case is a duplicate of another case, write down the case number and convert the "REQ" to "CSD" and attach the documents to the original case. See **CHANGING AN REQ TO CSD** for instructions.

If you are not sure your case meets the duplicate requirements, put a case note in the case and send the case to Unit Chief. Send your supervisor an e-mail with the case information for their review.

### **ER (created in error) CASE CLOSINGS**

Use the "ER" option to close cases in FIPS when the following situations arise:

1. When a G-884 Return of Original Documents is scanned in FIPS.
2. When a routine use/child support request has been scanned in FIPS.
3. When subpoenas/court orders have been scanned in FIPS.
4. When a Bond Obligor request has been scanned in FIPS.
5. Requests from Foreign Consulates (no letter required)

Click final action, choose the code "ER" and click okay. FIPS will not create a letter. Prepare a detailed case note. Send the case to Admin and send an e-mail to your supervisor with the case information. The supervisor will review and close the case.

### **FC (failure to comply) CASE CLOSINGS**

If you are closing a case FC because of either consent or PII, please refer to

O:\Foia\FOIA\_LIBRARY\Case\_Create\_References\Case\_Create\_Template\_Letters\Failure to Comply Letter and select the applicable paragraph for your final action letter. Please enter the date of the last correspondence to the requester/subject.

### **MARKING A DOCUMENT "DO NOT SEND"**

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From time to time, there will be an instance when we should not mail a system-generated letter. Examples include instances where a status letter is created in error, or a referral memo is erroneously created. To ensure that the letter or memorandum is not inadvertently mailed, please take the following steps:

1. Type "DO NOT SEND" at the top of the page,
2. Delete all the information in the letter/memorandum, and
3. Create a case note which explains why the letter/memo should not be mailed.

Accomplishing the steps above will make it easier for the O/A room to identify letters created in error.

# **FOIA/PA ASSISTANT'S GUIDE**

## **REPEND**

Repend cases staffed to the following offices for 30 Days:

- NRC
- FRC
- MSC
- Files that are in-transit to NRC

Repend all SIG cases for 30 Days.

Note: if you are repending a case from Records Locator, also please send an email to the SIG mailbox (NRC, FOIASIG).

Repend cases staffed to the following offices for 45 Days:

- Lost Files - **CHECK THE CIRCULAR SEARCH BUTTON**

Repend cases staffed to the following office for 120 Days:

- ICE Files

Repend cases staffed to the following office for 365 Days:

- All others

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## ACKNOWLEDGEMENT LETTERS

Acknowledgement letters are prepared in all cases **except** for bond obligors, routine use and Red Cross last known address requests. FIPS will create a standard acknowledgement letter when you select the "Ack Letter" button from the toolbar on the FIPS worksheet.

FIPS Worksheet - Case Creator

Ack Letter Staffing Edit Assign New 2nd Case In Basket Exit

Case Information  
NRC2004062351 Original Case VWSC2004006626 Copy Docs  
Copy to Clipboard

Scanned 09/06/2004 Final Reply Due 10/05/2004  
Assigned To NRC8080A

Request  
Type F:FOIA Request Bureau  
Source S:Self Transferred Case From WSC:California Servi  
Category ALF:Alien File Referred Case From

☐ Print to CD ☐ Track 1 ☐ Track 2 U

☐ Fee Waiver Requested ☐ Expedited Treatment Requested ☐ PA Cited  
☐ Fee Waiver Granted ☐ Expedited Treatment Granted ☐ Extension Granted

After selecting the "Ack Letter" button, a second pop-up window will appear that allows you to make even more selections, if necessary. Do not select any option except Other Documentation.

Whether one item is needed or multiple items are needed, (alien number, port of entry, date of birth, date of entry, death certificate, consent etc.) select the "Other Documentation" button on the screen. FIPS will generate the acknowledgement letter and insert a paragraph. Modify the paragraph by deleting "Other Documentation" and replacing it with "See attached sheet." Check all the boxes on the Requester Documentation Attachment that apply but please do not request information that the requester has already provided. **DO NOT MODIFY THE ATTACHMENT** except to check or un-check boxes or to type information into the "other" box. Add the current date and NRC control number to the attachment.



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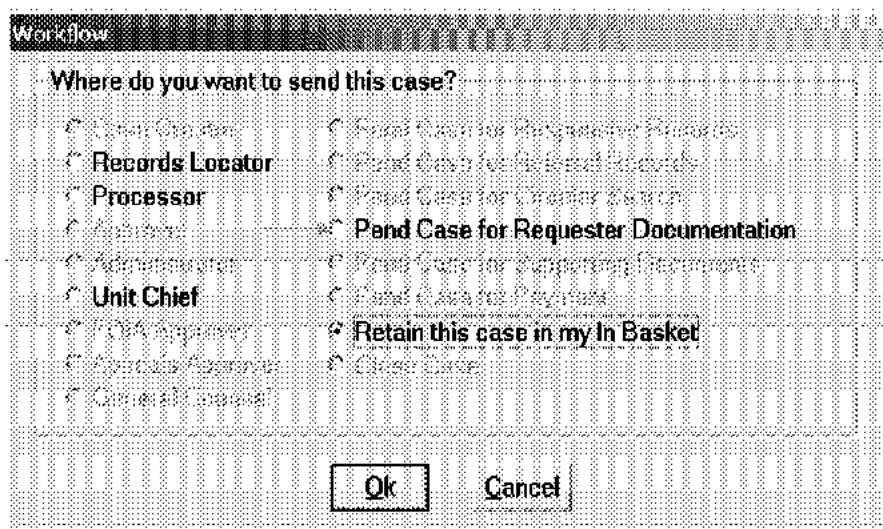
The template for this attachment is on the common drive under

O:\Foia\FOIA LIBRARY\Case\_Create\_References\Case\_Create\_Template\_Letters  
\Requester\_Docs\_Attachment or you can use the acknowledgement letters for Track 1,  
Track 2 or Track 3 that have the Requester Docs attachment. The template for these  
letters is on the common drive under

O:\Foia\FOIA LIBRARY\Case Create References\Case Create Template Letters.

**If you need no additional information to staff for the file, staff the case for the responsive records and Pend Case for Responsive Records.**

**If you had to request additional information, exit to the in-basket and pend the case for requester documentation. Do not staff for the responsive records.**



Close your acknowledgment letter before you pend your case for responsive records or requester documentation. Completing this step will save you time and trouble.

## CASE NOTES

Case notes are crucial to creating and processing a case. When creators are establishing the case in FIPS, they should note any unusual circumstances or details in a case note for later reference. FIPS also automatically generates case notes in various situations, such as duplicate, multiples and when responsive records are copied from one case to another. Because case notes become a permanent part of the case in FIPS, case notes should never

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be used to record personal feelings or to debate, question, or even to seek clarification. A FOIA/PA Assistant should discuss issues needing clarification via e-mail, a telephone call or a personal visit to his or her supervisor.

**Note:** When you generate a case note add your first name initial and last name at the end of the note. (Example: B. Happy).

### **ADMIN NOTES**

Admin notes are a permanent part of the case in FIPS. They are no longer deleted when the case is closed. Admin notes may be used for dialog among creator, records locator, processor, or approver, but should never be used to record personal feelings or to debate, question, or even to seek clarification. A FOIA/PA Assistant should discuss issues needing clarification via e-mail, a telephone call or a personal visit to his or her supervisor.

### **CHANGING A REQ TO A CSD**

Occasionally requester documents, certificates of identity, status requests and other correspondence will inadvertently get scanned into FIPS as a new request. If you encounter these types of documents in FIPS as REQ's, please attempt to locate the case to which the documents belong. After you locate the case in FIPS, make a note of the control number. Next, go back to the worksheet in FIPS and select the "To CSD" button on the worksheet to change the REQ number to a CSD number.

FIPS Worksheet - Case Creator						
Doc Mgr	To CSD	1st Case	2nd Case	In Basket	Exit	
Case Information						
NRC05054358501REQ						
						Hide Image
Scanned 2/23/2005		Final Reply Due 04/01/2005				
Q		Assigned To NRC0000A				

# FOIA/PA ASSISTANT'S GUIDE

FIPS Worksheet - Case Creator	
Doc Mgr	To REQ
<input type="button" value="2nd Case"/> <input type="button" value="In Basket"/> <input type="button" value="Exit"/>	
<b>Case Information</b> NRC05054358581CSD	
<input type="button" value="Hide Image"/>	
Scanned 2/23/2005 <input type="button" value="Q"/>	Final Reply Due 04/01/2005 Assigned To NRC0080A

Once you have changed a REQ number to a CSD number, all the documents scanned in will be attached to the existing request. Exception: If responsive records were scanned in with the REQ number, please do **NOT** convert to a CSD number. The responsive records will be lost forever, unless you change the CSD back to an REQ number.

After you have changed the case to a CSD in FIPS, run Doc Mgr again. It is not necessary to fill in the worksheet to run Doc Mgr on a CSD in FIPS. Run Doc Mgr, using the control number to which the documents belong as the search criteria or search by the alien number. This will trigger the next pop-up window.

Control#	Date Scanned	Req's Last	Req's File	Subject	Alien Number	Status	Final Ans.	Category
NRC0000	2/10/2005	Copren	Amir	2	000	Open		AUP

Attach to Existing Case

<input type="button" value="Expedited Treatment Denied"/>	<input type="button" value="Litigation Notice"/>	<input type="button" value="Address Change"/>	<input type="button" value="Request for Status"/>
<input type="button" value="Expedited Treatment Granted"/>	<input type="button" value="Demand/Non Compliant"/>	<input type="button" value="Requester Documentation"/>	<input type="button" value="Other Supporting Document"/>

At that point, highlight the control number, which will activate the “Attach to Existing Case” buttons on the bottom of the window. Attach the new request to the existing case as an “Other Supporting Document.” FIPS will ask you to verify that you are attaching it

## **FOIA/PA ASSISTANT'S GUIDE**

to the proper case. FIPS will then attach the new request and supporting documents to the existing case. Next, FIPS will send you back to the Case Create role in the surviving case. If anything is needed in the existing case, for example, staffing for responsive records, please complete the necessary actions. If no further action is necessary, click In-Basket and pend the case for responsive records or send it to processor if the records have already been scanned in.

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## **TROUBLESHOOTING WORK *FROM* THE OA ROOM**

The FOIA/PA Assistants assigned to the mail are responsible for picking up faxes and mail (in the black bins marked Troubleshooter) from the OA room and in the basket located next to the copier in shared workroom each day and are responsible for sorting and working the mail. Individual team members expecting a fax should notify his or her supervisor or retrieve the fax. If the case has been created, insert a case note (Scan in fax and notify [me] when the fax has been scanned). If the fax needs to be scanned in before reviewing, the FOIA/PA Assistants can scan it in and notify you. They may also deliver the fax or mail if needed.

## **TROUBLESHOOTING WORK *TO* THE OA ROOM**

When new requests are taken to the OA room, place them in the "New Request" bin on the counter.

When taking requester documentation, CSD's, responsive records or certifications of identity to the OA room, write "Requester Docs" or "CSD" on the first page, along with the date and your initials.

## **FOIA MAILBOXES:**

FOIA has access to various e-mail mailboxes that serve different purposes. The paragraphs below describe these mailboxes and their purposes. E-mails to any of the FOIA mailboxes must contain specific instructions.

## **THE OA ROOM (NRC, FOIAOA)**

Send e-mails to the OA Room when:

- The request letter and supporting docs need to be printed and scanned in as a new case. Include instructions to the case creator, if necessary.

## **FOIA/PA ASSISTANT'S GUIDE**

- The original Final Action Letter and responsive records were mailed but the requester never received them. The OA room will reprint the records to CD or paper and re-mail per instructions provided in the e-mail. The instructions must include the control number and whether to print CD or paper, as well as how the case was closed "G1 or PD." Include a case note in the original case.
- The responsive records need to be re-printed to CD due to the requester receiving a broken CD.
- The requester has either has a changed or new address; therefore, the records need to be re-printed and re-mailed to the requester. You need to state in your instructions to the OA room that you've made the changes to the address in the final action letter. Correct the address on the final action letter and the FIPS database. State that you've changed the address in a case note.

Don't forget to add a case note to the original case.

### **MSB (NRC, NRCFOIAMS)**

Send e-mails to the MSB mailbox when:

- An appeal is encountered in case create that was not previously addressed.
- An expedited treatment is encountered in case create or records locator that was not previously addressed. Personnel handling the MSB mailbox will forward the e-mail to the supervisor(s) handling the expedited treatment.

All e-mails to the MSB mailbox should contain the control number, the A-number or subject of the case, and specific instructions relating to the case.

### **FIPS PROBLEM (NRC, FIPSPROBLEM)**

Send e-mails to the FIPS Problem mailbox:

- If errors are encountered in the case
- If responsive records need to be copied from one case to another
- If records are incorrectly scanned in a case and need to be removed

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All e-mails to FIPS Problem mailbox must contain specific instructions, including a description of the problem and the role of the case; standalone, create, locator or processing and the control number or REQ number if you were creating the case.

## **FOIA FILE REQUEST (NRC, FOIAFILEREQ)**

Send e-mails to FOIA File Request if the following situation occurs:

- A file is found sitting on a shelf and it has not been scanned in to the case. Include the control number and the A-number in these e-mails.

## **E-MAIL TO CUSTOMERS**

If necessary, send a message to the USCIS mailbox outlining what needs to be sent. The MSB supervisor will generate the e-mail to the requester and transmit. Include all information in the e-mail that the MSB supervisor will need in order to be able to send the e-mail. Put a case note in FIPS outlining your request to MSB. If you are asking for more information from the requester, create a slot in the case in FIPS to ensure that the case will close out automatically if no response is received from the requester.

## **MAIL**

The FOIA Division receives two types of mail: Returned Mail and Direct Mail.

### **RETURNED MAIL:**

#### ***Interim Interest Letters***

Returned Interim Interest Letters are scanned as Requester Docs.

Except for Interim Interest Letters, all returned envelopes and letters are scanned as CSD's.

**Do not use forwarding addresses provided by US Postal Service.**

# **FOIA/PA ASSISTANT'S GUIDE**

OA's will note each case with action taken for each piece of returned mail. Notes are to be complete and concise. They should include the reason the letter was returned, action taken, and the OA's name.

**Note:** Not all letters are acknowledgment letters. The returned correspondence could be a status letter or request for additional information. Before letters are updated with the correct address, confirm the correct letter is being updated. The case note should include the type of letter being corrected and resent.

## ***Acknowledgement letters***

Compare address on acknowledgement letter to address on the G-639, G-28 and returned address on the original envelope.

A. If there is a transcription error in the address:

1. Correct the address in the address section of the FIPS worksheet and click on the "U" to update FIPS.
2. Correct the acknowledgement letter and resend letter.
3. Write the ID of the case creator on the returned letter and give to OA Supervisor.
4. Note the case. Example of Case Note:

**Title of Case Note:** Returned Mail – no such number

**Body of Case Note:** Address on letter did not match G639. Street address should be 1003 Market Street, not 103 Market Street. Updated FIPS and ack letter and resent letter. Name.

5. Returned acknowledge letters with a requester document needs to be repended for additional time. **Give the letter to the OA supervisor to repend.**

B. If the address on the acknowledge letter matches the address on the G-639, G-28 and/or return address on original envelope:

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1. Note the case. Example of Case Note:

**Title of Case Note:** **Returned Mail – no forwarding address**  
**Body of Case Note:** Address matches G-639. No other address found.  
Did not resend ack letter. Name.

2. Give acknowledgement letter to OA Supervisor to Close.

## ***Final Action Letters***

Compare address on final action letter to address on the G-639, G-28 and returned address on original envelope. Check all CSDs for a new address.

- A. If address matches G-639 and/or G-28 and no other address is found, note case with the reason the letter and responsive records were returned. Case note should include “no other address found; did not resend final action letter” and OA’s name. **Scan envelope and front page of letter as CSD.**

Shred the letter and responsive records.

- B. If another address is found in the CSDs:
  1. Update FIPS and final action letter, reprint letter, and label and resend. **Scan original letter and envelope as CSD.**
  2. Write the ID of the **case processor** on the returned letter and give to OA Supervisor.

## ***CDs***

- A. CDs Returned for postage.

Make a copy of the CD and re-mail. Attach the copy of the CD to the original CD mailer and give to the OA Supervisor. Note the case with the following case note.

**Title of Case Note:** CD Returned for Additional Postage  
**Body of Case Note:** Re-mailed CD, date and name

- B. CDs Returned due to Incorrect Address.

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Compare address on final action letter to address on the G-639, G-28 and return address on original envelope. Check all CSD's for a new address.

1. If address matches G-639 and/or G-28 and no other address is found, note case with the reason the CD was returned. Case note should include "no other address found; did not resend CD" and OA's name.

Shred the CD.

2. If another address is found in the CSD's:
  - a. Make a copy of the CD and returned envelope.
  - b. Update FIPS and reprint a new label. (Do not update letter in FIPS). Put the new label on the outside of the CD Mailer (not directly on the CD).
  - c. Write the ID of the **case processor** on the copy of the returned CD and give to OA Supervisor.

### **DIRECT MAIL:**

This is mail sent directly to NRC from requesters, subjects, attorneys, etc. The content of direct mail is varied and usually requires some type of action. Direct mail could consist of, but not limited to, any of the following:

- Change of Address (see **Request for Change of Address**)
- Status Request (see **Status Letters**)
- Withdrawal of Request (see **Withdrawal of FOIA/PA Request**)
- A request to change the scope of a FOIA request. The action required to change the scope of a request could involve changing the track of the case, depending upon the type of information/documents requested.
- Correspondence about delinquent payments (including checks)

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- Responses to Track 3 denial or Expedited Treatment denial
- Responses to requests for additional information
- Requester asks for their record on paper: scan in as a case supporting document (CSD)

We may respond to direct mail in writing or by phone, and some mail requires no response.

Please create a case note describing the problem and how it was corrected. FOIA/PA Assistants assigned to handle mail should initial, date, and write what kind of document (such as CSD or REQ DOCS) on the top page and staple the pages together after scanning. Case creators may deliver the fax or mail with CSD's to the OA room for scanning.

Mail or faxes regarding delinquent payments, payments made or checks received is pulled prior to distributing to the Team. If any of these types of documents are inadvertently left in with the mail, please give them to the Team supervisor.

### ***Mail concerning Track 3 or expedited treatment***

If we receive additional correspondence via e-mail, mail or fax relating to an existing case, asking for expedited processing or processing as Track 3; forward the correspondence to the MSB supervisor. A supervisor must review the correspondence and make a determination. We must address within 10 days in writing our response to the expedited or Track 3 processing request, whether we grant or deny. FOIA/PA Assistants assigned to mail will place the mail in the Track 3 or Expedited Review bin.

Insert a case note titled "Expedited Treatment Request" or "Track 3 Request." In the text of the case note type whether it was denied or approved and the sequence number of the status letter. Scan the additional correspondence in as a CSD.

If the requester responds to our denial of expedited treatment or Track 3 processing, the procedure is essentially the same: forward it to the MSB supervisor, who will make the determination.

## **FOIA/PA ASSISTANT'S GUIDE**

If records locator discovers correspondence relating to expedited processing or Track 3 scanned in but has not been addressed by a supervisor; records locator should insert a case note and send the case to Admin or Unit Chief. Send an e-mail to the supervisor handling the expedited requests and include the control number of the case.

### ***Requester documentation / additional information***

This consists of documents or more information that we have asked the requester/subject to provide. When the information is received it is scanned into the requester documentation slot. Use the additional information provided to continue creating the case. If the requester/subject did not provide the alien number, use the information provided to search CIS (9102, 9103 or 9106) and CLAIMS to locate any responsive records, or receipt files. If you cannot locate any records relating to your person, close the case as NR. Copy screen-prints of your searches for scanning in as CSD. (FYI CSD's can be scanned in after a case is closed).

We do not re-open cases that close as FC because the requester failed to reply within the time allotted - unless it is our fault. An example of our fault would be they sent back the requester docs and the envelope was postmarked before the deadline. It doesn't matter if they are one day late returning the requested information. The Team will send the requester a letter advising them that their case has been closed as a FC. If the requester still has an interest in receiving the information, he or she will need to submit a new FOIA request. This includes cases closed within the same month. We are handling these FC requests the same for everyone so nobody is getting unfair treatment. However, if you receive a call asking for more time to return the requester docs, and before the case closes, you may repend the case for an additional 30 days. A template FC letter is located at: O:\Foia\FOIA LIBRARY\Case Create References\Template Letters\FC Letter.

### ***Request for change of address***

If you receive a Form AR-11 or other correspondence from an alien wanting to submit a change of address, forward the original letter and enclosures to the following address:

U.S. Department of Homeland Security

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Bureau of Citizenship and Immigration  
Change of Address  
PO Box 7134  
London, KY 40742-7134

### **For commercial overnight or fast freight services only:**

U.S. Department of Homeland Security  
Bureau of Citizenship and Immigration  
Change of Address  
1084-I South Laurel Road  
London, KY 40744

### ***Status letters***

The public has the ability to check online the status of their FOIA request(s) with NRC at ([www.uscis.gov](http://www.uscis.gov)).

From [www.uscis.gov](http://www.uscis.gov), find the link near the bottom of the left column under "Other Services" marked "[FOIA Request Status Check](#)." Click there to navigate to the online status check page.

The on line status check will indicate whether the request is still pending, or whether the case has been processed or closed within the last six months.

If the request is still pending, the online status check will indicate the position of the request relative to all pending USCIS requests in the same processing track. It also provides the date the request was received.

If the request was processed or closed within the last six months the requester will be given the date the request was closed. The system does not discern how the request was closed i.e. DP, G1, PD etc., however it does address cases closed for Failure to Comply.

If the control number entered is not recognized, the requester will be advised the number entered is invalid or the case was processed more than six months ago.

## **FOIA/PA ASSISTANT'S GUIDE**

The current method of providing a status letter does not give the requester accurate information. In order to better serve our customers the Team should paste in the online FOIA Request Status Check every time a status is requested.

If you need to generate a status letter due to correspondence via mail, e-mail or fax, please run the control number with the online FOIA Request Status Check. You should not provide status to the requester using the "Q" button. Change the information on the letter that shows the status of the case, replacing it with the results from the online status check before you close and save. Use the latest Status Letter from

O:\Foia\FOIA\_LIBRARY\Case\_Create\_References\Case\_Create\_Template\_Letter.s, since the letter in FIPS may not be the current version. This ensures that the requester will receive accurate information.

Please print the online status check and send it to be scanned in as a CSD to support the status letter.

### ***Withdrawal of a FOIA/PA request***

A requester cannot withdraw a pending request without sending us written documentation. Upon receipt of a written request to withdraw a FOIA, please have the request scanned into the case as CSD. Make sure that the WD letter has been scanned in before you close the case. Ask your supervisor to send the case to you in Records Locator. Add a case note indicating that the request was withdrawn per the documents found in CSD.

### ***Mail received in a foreign language***

If we receive mail written in a foreign language and you cannot determine whether it is a FOIA request, forward the mail to a supervisor. The supervisor will forward the documentation to MSB, who will then return the translated mail.

## **BLANK TAPES/CD's**

If you receive a blank VHS tape, cassette or CD with a FOIA/PA Request, return it to the requester.

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## **VIDEO REPRODUCTION**

As responsive records are scanned into FIPS, when the scanner encounters any type of media, they forward the alien file to MSB when their scanning is complete. The MSB staff assigned to audio/video reproduction will copy the media and insert a case note that it is complete. Once the case is processed, the processor will send an e-mail to the MSB mailbox with the case number and the page(s) number where the media can be located. MSB will pull the media and process/make any necessary redactions. The media will be mailed to the requester separately.

## **CONGRESSIONAL REQUESTS AND APPEALS**

All Congressional Requests and Appeals are pulled out of the in-coming mail and handled by a supervisor. If you encounter a Congressional Request or an Appeal in records locator that was not previously addressed, send an e-mail to NRC, FOIAMS mailbox, include the control number and alien number of the case and specific instructions as to what needs to be done. Put the case in Unit Chief. FOIA/PA Assistants assigned to mail will place the mail in the MSB or Appeals bin.

## **INCORRECT PAGE COUNTS:**

The OA room will give final action letters with responsive records to the Team supervisors if the page count in the letter differs from the amount of pages printed. The supervisors will distribute to Team members to correct the page counts.

1. Using FIPS Standalone, go into the case that corresponds to the final action letter (NRC2010\_ \_ \_ \_). After the case is opened, determine the corrective action needed by comparing the responsive records in the case to the printed responsive records.
2. Correct the final action letter and reprint the letter.
3. Attach the reprinted final action letter to the responsive records.

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4. Take the reprinted final action letter with the responsive records to the OA room to be mailed out.
5. Write the User ID Number of the person who created the final action letter in the upper right corner of the incorrect letter, and notate on the letter the corrections that you made.
6. Stack the incorrect final action letters in a separate pile. Write "ERRORS" on a post-it note and stick the post-it note to the top page to identify these as the incorrect letters.
7. Give the incorrect letters to the Team supervisors. The supervisors will give the incorrect final action letters to a FOIA supervisor daily for distribution and review.

### **ALIEN'S STATUS VERIFICATION LETTERS:**

The National Records Center no longer issues certified Status Verification Letters to aliens. These letters were usually issued to individuals who had lost their Naturalization Certificates and needed verification of their status to apply for a passport or old age pension benefits in another country. If you get a request for certified Status Verification Letters, refer these individuals to USCIS.GOV to make an INFOPASS appointment.

### **INQUIRY FOR FILE REVIEW:**

If you receive an e-mail regarding an inquiry for a file review, and the request is not in regard to a FOIA request, do not call the person or forward the e-mail to another NRC Division. Forward the e-mail to a Supervisor.

### **RECORDS LOCATOR**

Cases assigned to records locator will require some kind of action. Some of the most common reasons are:

- The staffing has to be re-pended
- Additional PII or consent is needed

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- Requester docs have been received
- Requester writes to request the record on paper
- The wrong records were scanned into the case
- We need to send an interim interest letter to an incarcerated individual
- The file is lost
- We got a response of not found or consolidated from a service center.

It is important to read all case notes as well as insert case notes as necessary. Listed below are points/actions that you should consider while working cases assigned to records locator.

- Always check cases in FIPS for duplicates searching all offices using the Alien number and name of the subject of record. If the subject of the request is a petition, it may help to search by the requester to see if that petition has already been addressed.
- Research cases and take needed action(s) on cases.
- Read and follow directions in any case note found in the case regardless of age or who put them in. If there is a question, see your supervisor before proceeding with any action on the case.
- Anytime you create a new staffing, you must cancel the one it replaces.
- Do not cancel staffing sheets and re-staff just because the request is old and has been pending for an extended period. Canceling staffing sheets and re-staffing due to age affects the aging reports and makes it impossible to track these pending cases properly. Please continue to repend these cases as necessary.
- If the A file has been scanned in and we are waiting on a T-file, review T-file staffings in NFTS History. If the T-file has been deleted or combined with an A-file or is from a RAFACS conversion, then cancel that staffing, because the T-files no longer exist. Send the case to the processor.
- A-file has been scanned in, but there is an open pending slot for a T-file: Review "T" file history in NFTS. If the "T" file has been consolidated /combined with the A-file, check the date it was consolidated. If the "T" file was scanned in with the A-file, cancel the pending "T" file slot and send the case to the processor.

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- If you see it has been through image process box and returned to a shelf then further research is required.
  - a. Check all offices for duplicate cases in FIPS using the alien number.
  - b. Does the subject have more than one alien number per a case note or on their request? If so, search those for potential duplicate cases.
  - c. If you find a duplicate case, make a case note and advise NRC, FIPSPROBLEM mailbox with an e-mail and repond for 30 days.
- **Additional PII needed:** Sometimes when a processor retrieves a case, he or she will determine that additional PII or consent is needed from the requester/subject. You will have to create an Interim Response Letter and check the other documentation box. Modify the letter and attach the Requester Documentation Attachment (located at: O:\FOIA\FOIA Library\Case Create References\Case Create Template Letters\Requester Docs Attachment). Check the boxes required and pend the case for Requester Documentation. If the processor is asking for information that is already present in the scanned documents, put in a case note asking for clarification on what the processor is requesting. You may also have to point them to the slot where the information is currently contained.
- **If you pull a case in Records Locator and the Requester Documentation has been received:** Review the information provided, if the requester/subject has provided the requested PII and/or consent, staff for the file.
- **The requester/subject may respond negatively to the request for PII.** If we receive a negative response, attempt to locate an alien file and staff, matching as much of the PII as possible. Pend the case for responsive records.
- **If the requester/subject does not return the PII we asked for, and if a positive match cannot be identified in CIS or CLAIMS with the PII provided,** generate a FC letter and replace the contents of the letter with the template letter Failure to comply letter-PII. The template is located at: O:\FOIA\FOIA Library\Case Create References\Case Create Template Letters\Failure to Comply Letter. Send the case to approver when you are finished.
- **If the requester/subject does not return proper consent,** generate a FC letter and replace the contents of the letter with the template letter Failure to comply

## **FOIA/PA ASSISTANT'S GUIDE**

letter-Consent. The template is located at: O:\FOIA\FOIA Library\Case Create References\Case Create Template Letters\Failure to Comply Letter. Send the case to approver when you are finished.

- **If a request for consent is returned but the requester says he or she is a third party requester** (they have no relationship to the subject of the record and cannot or will not get consent), staff for the file. Create a case note advising the processor to process this case as third party without consent.

Occasionally you will pull a case in Records Locator and there is a case note stating the wrong records have been scanned into the case. This will require some investigative work before a solution can be determined.

- **Did the Case Creator use the wrong alien number when the case was originally created or when the records were staffed?** If so, please staff for the correct file. You must then send an e-mail to FIPS Problem mailbox and ask that the wrong records be removed. Clicking the link above will automatically send a copy to the FOIA Program mailbox. Please also send a CC of this e-mail to your supervisor.
- **Did the requester ask for a copy of a petition they filed on behalf of a beneficiary?** If so, the case was probably set up incorrectly. Check first to see if there are two cases for the requester. If not, you will need to correct the one that exists to become a request for the beneficiary's information. Locate the correct records and re-staff.
- **Did the scanning contractor scan the wrong records into the case?** If you've reviewed the entire file and there was no mistake made by the FOIA unit, it is possible that the scanning contractor has scanned the wrong file into this case. Here are the steps to follow if you believe this may have happened:
  1. Look for a pending case for the records that were scanned into your case.
  2. If you locate a case, check to see if the responsive records have been scanned.
  3. If they have not, you'll need to have the records moved from your case over to the correct case. You will have to have the slots in your case re-set to pending by the NRC FIPS Problem mailbox. Clicking on the link will automatically send a copy to the NRC FOIA Program mailbox.

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4. If the pending case already has records scanned in, review those records.
  - i. Are they the correct records for that case? If so, then you will need to verify that they are a duplicate of the ones in your case.
  - ii. If they are duplicates, then you do not have to do anything with that case.
  - iii. You will need to have the wrong records removed from the staffing response and responsive records slots in your case. Send an e-mail to the NRC, FIPS Problem mailbox. Clicking on the link will automatically send a copy to the NRC FOIA Program mailbox.

**If you pull a case in Records Locator and there is a case note instructing you to create an interim response letter because the individual is incarcerated:**

- The request must be over six months old before we send out the interim letter. If your case meets this criterion, create an Interim Interest Letter.
- If the interim interest letter is returned saying the subject is no longer in custody and we do not have another address for the subject, you can close the case FC. **Do not close out the case FC without the returned mail.**
- If the individual is still incarcerated and still interested in receiving the record, send the case to the processing queue.

**If you pull a case in Records Locator and there is a document scanned into the Staffing Response and the Responsive Records slot which has been changed to NA, look at the document scanned in to the Staffing Response.**

- If the case was staffed for a receipt file that has been sent to NVC (National Visa Center), redirect the request to NVC. Replace the content of the letter that appears with the template letter on the common drive, O:\FOIA\FOIA Library\Case Create References\Case Create Template Letters \NVC letter. Send the case to Admin and send an e-mail to your supervisor with the case information. The supervisor will review and close the case.
- If the receipt file is marked lost, file destroyed, or file cannot locate, go to Receipt files; Lost receipt file, File destroyed or File cannot locate.
- If the receipt file has been rejected by the service, there are no records to retrieve. Close out as No Record, with an explanation of rejected receipt files.

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## **REPENDING IN RECORDS LOCATOR**

- Do not create a case note that you repended the case; the system automatically creates a case note.
- If you open a case in Records Locator and the file has not been scanned in nor is there any staffing response, you will probably have to repend the responsive records slot. However, before you repend the responsive records, verify the location of the A-file in NFTS and on the 9504 screen in CIS.
  1. If the file has moved to another FCO, you should cancel the current staffing sheet and create a new one to reflect the new FCO.
  2. If that file has moved from the original staffing location and is now in-transit to the NRC or has been received at the NRC, repend for 30 days. Do NOT cancel the original staffing sheet or re-staff to RAFACS/CIS.
  3. Do not cancel staffing sheets and re-staff just because the request is old and has been pending for an extended period. Canceling staffing sheets and re-staffing due to age affects the aging reports and makes it impossible to track these pending cases properly.
- If the file has been received by NRC and NFTS shows scanning, image processing, image problem files, streamliners (anything except a shelf location) repend for 30 days.
- If a SIG case comes up for repending in Records Locator, please repend for 30 days and notify NRC, FOIASIG of this. Insert the NRC case number on the subject line.
- If NFTS shows the file is at the NRC and the location is SEIT Admin "FOIA files awaiting partner" do further research. If there is an A-file and a T-file that will be scanned in together when the other arrives, then repend 30 days. If there are two separate staffings for files, then e-mail NRC, FOIAFILEREQ to research and to have the file scanned in if necessary.

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## **CHANGING THE TRACK OF A CASE**

Do not change the track of a case except in the following instances:

- The requester is narrowing the scope of their request from a Track 2 case to a Track 1 case. Prepare a status letter and advise the requester that their case is now on the simple track.
- The requester has responded to our acknowledgment letter stating that he or she did not mean specific documents only, and this would cause us to move a case from Track 1 to Track 2. Prepare a status letter and advise the requester that their case is now in the complex track.
- The requester has a Track 2 case and provides the required documentation to change their request to a Track 3. Prepare a status letter and advise the requester that their case is now in Track 3.

When you change the track of a case, ensure you click the “U” button prior to exiting the case.

## **RESPONSIVE RECORDS SCANNED IN WITH STAFFING RESPONSE**

Occasionally the responsive records are scanned in behind the staffing response, instead of into the responsive records slot. These cases then appear in the processing queue, but cannot be processed. The processor will send a message to the NRC, FIPSPROBLEM mailbox for correction and insert a case note explaining the problem.

If the case has not come up for processing and you encounter this situation in Records Locator, put a case note indicating the problem (Responsive Records scanned into Staffing Response slot), and send a message to the NRC, FIPSPROBLEM mailbox with the following information:

- The NRC control number of the case,
- The A number or Receipt Number of the records,
- The staffing sequence they are scanned into, and

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- The number of pages scanned in.

Send the case to Unit Chief/Admin so that the problem can be resolved.

[Click here for instructions](#) if you pull a case in Records Locator that has been staffed for a **Lost File**.

### **CASES NEEDING ACKNOWLEDGEMENT LETTERS**

Cases received in Records Locator that need acknowledgement letters must be re-assigned to a Troubleshooter in the Case Create role. Please contact a supervisor with the NRC Control Number and ask that the case be re-assigned to you in the Case Create role.

### **RE-STAFFING**

- If the file has moved to another office, cancel pending slot and staff to the correct FCO. **\*Do not confuse this with files that are now in-transit to NRC.**
- If the current staffing is not correct (for example - an Atlanta general staffing instead of an Atlanta ICE staffing): Cancel the pending slot and re-staff properly.

### **FOIA SAFE**

Cases staffed to the FOIA Safe are processed in the NRC queue.

While working Records Locator, if you pull a case that has been staffed to the FOIA Safe, **NEVER** cancel the staffing. Reopen the case for 180 days and pend it for responsive records.

The RPC for the FOIA Safe is ZW0004.

If you see an RPC of "ZW" anywhere, it is a classified file.



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## **IN TRANSIT FILES**

If NFTS shows a file is now in transit to the NRC, repend for 30 days. **\*Do not cancel the staffing and re-staff to NRC.**

## **MODIFICATION OF RECEIPT DATES**

Modification of receipt dates is a serious matter. Final approval authority to modify a receipt date is ACD or higher. Any decision to modify a receipt date must take into consideration the negative effect such an action will have on the integrity and accuracy of the data in FIPS, as well as possible legal consequences.

## **MSB DIRECTED PROJECTS**

Occasionally, MSB may have special projects that require your assistance.

MSB paralegals must receive prior approval from a supervisor before approaching any member of the team member for assistance on such projects.

Supervisors will select the person(s) to assist with the projects as needed.

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## **APPENDIX A: PHONE NUMBERS**

NRC/FOIA Fax: 816-350-5785, 5786, 5787

ILD Incoming Call Line: 816-350-5560

Human Resource Office: 816-350-5661

### CIS Forms:

By Phone: 1-800-870-3676

Website: [www.uscis.gov](http://www.uscis.gov)

National Customer Service: 1-800-375-5283

EOIR 800-898-7180

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## **APPENDIX B: ADDRESSES**

### **MAILING ADDRESS OF NRC:**

PO Box 648010  
Lee's Summit, MO 64064-8010

### **PHYSICAL LOCATION OF NRC:**

150 Space Center Loop  
Lee's Summit, MO 64064

### **MAILING ADDRESS OF NBC:**

National Benefits Center  
PO Box 648005  
Lee's Summit, MO 64064

### **MAILING ADDRESS OF CBP:**

U.S. Customs and Border Protection  
FOIA Division  
799 9th Street NW, Mint Annex  
Washington, DC 20229-1177

### **MAILING ADDRESS OF ICE:**

Immigration and Customs Enforcement  
800 North Capitol Street, 5<sup>th</sup> Floor, Suite 585  
Washington, DC 20536

### **MAILING ADDRESS OF NATIONAL VISA CENTER:**

32 Rochester Avenue, Suite 200  
Portsmouth, NH 03801-2909

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Updated on 9/23/2010

# **FOIA/PA ASSISTANT'S GUIDE**

## **MAILING ADDRESS FOR APPEALS**

DHS, USCIS, NRC  
FOIA Appeals Office  
150 Space Center Loop, Suite 500  
Lee's Summit, MO 64064-2139

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# **FOIA/PA ASSISTANT'S GUIDE**

## **APPENDIX C: NATIONAL VISA CENTER VALID CONSULATE PREFIX CODES**

ABD- Abu Dhabi (United Arab Emirates)

ABJ – Abidjan (Ivory Coast)

ACC- Accra (Ghana)

ACK- Auckland (New Zealand)

ADD- Addis Ababa (Ethiopia)

ALG – Algiers (Algeria)

AMN – Amman (Jordan)

AMS – Amsterdam (Holland)

ANK – Ankara (Turkey)

ANT – Antananarivo (Madagascar)

ASM – Asmara (Eritrea)

ASN – Asuncion (Paraguay)

ATA – Almaty (Kazakhstan)

ATH – Athens (Greece)

BCH – Bucharest (Romania)

BDP – Budapest (Hungary)

BEN – Bern (Switzerland)

BGH – Post not Assigned

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## **FOIA/PA ASSISTANT'S GUIDE**

BGN – Bridgetown (Barbados)

BGT – Bogota (Colombia)

BLZ – Belize City (Belize)

BMB – Bombay (aka Mumbai, India)

BNK – Bangkok (Thailand)

BNS – Buenos Aires (Argentina)

BRS – Brussels (Belgium)

BRT – Beirut (Lebanon)

BUJ – Bujumbura (Burundi)

CDJ – Ciudad Juarez (Mexico)

CLM – Colombo (Sri Lanka)

COT – Cotonou (Benin)

CPN – Copenhagen (Denmark)

CRO – Cairo (Egypt)

CRS – Caracas (Venezuela)

CSB – Casablanca (Morocco)

DBL – Dublin (Ireland)

DHK – Dhaka (Bangladesh)

DJI – Djibouti (Djibouti)

DKR – Dakar (Senegal)

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## **FOIA/PA ASSISTANT'S GUIDE**

DMS – Damascus (Syria)

DOH – Doha (Qatar)

DRS – Dar Es Salaam (Tanzania)

FRN – Frankfurt (Germany)

FTN – Freetown (Sierra Leone)

GEO – Georgetown (Guyana)

GTM – Guatemala City (Guatemala)

GUZ – Guangzhou (Canton)

GYQ – Guayaquil (Ecuador)

HAV- Havana (Cuba)

HCM – Ho Chi Minh City (Saigon)

HLS – Helsinki (Finland)

HML – Hamilton

HNK – Hong Kong

HRE – Harare (Zimbabwe)

ISL – Islamabad (Pakistan)

JAK – Jakarta (Indonesia)

JHN – Johannesburg (South Africa)

JRS – Jerusalem (Israel)

KDU – Kathmandu (Nepal)

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## **FOIA/PA ASSISTANT'S GUIDE**

KEV – Kyiv (Ukraine)

KHF – Khartoum (Sudan)

KIN – Kinshasa (Congo)

KLL – Kuala Lumpur (Malaysia)

KNG – Kingston (Jamaica)

KWT – Al Kuwait aka Kuwait City (Kuwait)

LGS – Lagos (Nigeria)

LIB – Libreville (Gabon)

LIL – Lilongwe (Malawi)

LMA – Lima (Peru)

LND – London (United Kingdom)

LOM – Lome (Togo)

LPZ – La Paz (Bolivia)

LSB – Lisbon (Portugal)

LUA – Luanda (Angola)

LUS – Lusaka (Zambia)

MDD – Madrid (Spain)

MDR – Madras aka Chennai (India)

MNA – Manama (Bahrain)

MNG – Managua (Nicaragua)

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## **FOIA/PA ASSISTANT'S GUIDE**

MNL – Manila (Philippines)

MOS – Moscow (Russia)

MRV – Monrovia (Liberia)

MST – Muscat (Oman)

MTL – Montreal (Canada)

MTV – Montevideo (Uruguay)

NHA – Naha

NMY – Niamey (Niger)

NPL – Naples (Italy)

NRB – Nairobi (Kenya)

NSS – Nassau (Bahamas)

NWD – New Delhi (India)

OSL – Oslo (Norway)

OUG – Ouagadougou (Burkina Faso)

PHP – Phnom Penh (Cambodia)

PIA – Praia (Cape Verde)

PNM – Panama City (Panama)

PRG – Prague (Czech Republic)

PRM – Paramaribo (Suriname)

PRS – Paris (France)

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## **FOIA/PA ASSISTANT'S GUIDE**

PTD – Ponta Delgada (Azores)  
PTM – Port Moresby (Papua New Guinea)  
PTP – Port-au-Prince (Haiti)  
PTS – Port of Spain (Trinidad & Tobago)  
RDJ – Río de Janeiro (Brasil)  
RID – Riyadh (Saudi Arabia)  
RKJ – Reykjavik (Iceland)  
RNG – Rangoon (Burma)  
SAA – Sana'a (Yemen)  
SAR – Sarajevo (Bosnia & Herzegovina)  
SDO – Santo Domingo (Dominican Republic)  
SEO – Seoul (Korea)  
SGP – Singapore  
SKO – Skopje (Macedonia)  
SNJ – San José (Costa Rica)  
SNS – San Salvador (El Salvador)  
SNT – Santiago (Chile)  
SOF – Sofia (Bulgaria)  
STK – Stockholm (Sweden)  
SUV – Suva (Fiji)

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## **FOIA/PA ASSISTANT'S GUIDE**

SYD – Sydney (Australia)

TAI – Taipei

TAL – Tallinn (Estonia)

TBL – Tbilisi (Georgia)

TGG – Tegucigalpa (Honduras)

THT – Tashkent (Uzbekistan)

TIA – Tirana (Albania)

TKY – Tokyo (Japan)

TLV – Tel Aviv (Israel)

TNS – Tunis (Tunisia)

VAC – Vancouver (Canada)

VNN – Vienna (Austria)

VNT – Vientiane (Laos)

WRW – Warsaw (Poland)

YDE – Yaounde (Cameroon)

YRV – Yerevan (Armenia)

ZGB – Zagreb (Croatia)

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## **APPENDIX D: CASE CLOSING CODES**

PD – The case has been processed, responsive records were released in part.

G1 – The case has been processed, responsive records were released in full.

DP – The case was closed as a duplicate of another case.

ER – Created in error. (see ER Case Closings)

WD – Case was closed as a withdrawal.

NA – FOIA/PA not applicable. You are required to select the office the request is being redirected to. Select “ALL”, two letters will be generated. On the second letter delete the contents and save to ensure the second letter is not sent.

NR – The case was closed as no record. A search of all databases was conducted for any files relating to the subject. No results were found. All screen prints are scanned in as CSD.

UT – Unable to locate alien file. Cases can be closed if the alien file is marked as lost and it has been more than one year. A thorough search of all systems must be completed.

FC – Cases close failure to comply when requesters fail to supply requested information. (i.e. Interim Interest Project, consent, subject has fugitive status or request for additional information)

FP – Cases close failure to pay when requesters fail to submit payment.

RD – Advise requester to contact another government agency to acquire records. We tell the requester whom they should contact to obtain records responsive to their request.

RF – Cases forwarded to DHS components. We tell the requester the name of the agency we referred their request to.

# **FOIA/PA ASSISTANT'S GUIDE**

## **APPENDIX E: FORMS**

[www.uscis.gov](http://www.uscis.gov)

<b>Title</b>	<b>Form Number</b>	<b>Filing Fee</b>	<b>Edition</b>
<u>Change of Address</u>	AR-11	\$0.00	10/6/08. Previous edition accepted.
<u>Alien's Change of Address Card</u>	AR-11SR	\$0.00	10/6/08. Previous edition accepted.
<u>Genealogy Index Search Request</u>	G-1041	\$20 Payment must be submitted with this form to request a genealogy index search. Payment may be in the form of a cashier's check or money order. Personal checks will not be accepted, and they will be returned to you. If the form is submitted from outside the United States, remittance may be made with a bank international money order or foreign draft drawn in U.S. dollars and payable through a U.S. bank. Make all payments in U.S. currency to the Department of Homeland Security. Do not send cash with your form.	09/10/08
<u>Genealogy Records Request</u>	G-1041A	You must submit the appropriate fee with this form for a genealogy records request. The fee for a copy from microfilm is \$20 per request. The fee for a copy of a hard copy file is \$35 per request. Send payment with your request form. Payment may be in the form of a cashier's check or money order. Personal checks will not be accepted, and they will be returned to you. If the form is submitted from	09/10/08

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Title	Form Number	Filing Fee	Edition
		outside the United States, remittance may be made with a bank international money order or foreign draft drawn in U.S. dollars and payable through a U.S. bank. Make all payments payable in U.S. currency to the Department of Homeland Security. Do not send cash with your form. If the file number provided does not match the immigrant named on this form, and there is no previous Genealogy Index Search case identification number provided, we will not refund any fee.	
<u>Notice of Entry of Appearance as Attorney or Representative</u>	G-28	\$0.00	9/26/00. Previous editions accepted.
<u>Biographic Information</u>	G-325	\$0.00	7/14/06. Previous editions accepted.
<u>Biographic Information</u>	G-325A	\$0.00	7/14/06. Previous editions accepted.
<u>Biographic Information</u>	G-325B	\$0.00	11/12/08. Previous editions accepted.
<u>Biographic Information</u>	G-325C	\$0.00	7/14/06. Previous editions accepted.
<u>Freedom of Information Act/Privacy Act Request</u>	G-639	\$0.00	02/04/09. Previous editions accepted.
<u>Verification Request (Non-SAVE agencies)</u>	G-845	\$0.00	07/25/08. Prior versions accepted.
<u>Document Verification Request Supplement</u>	G-845 Supplement	\$0.00	07/25/08

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<b>Title</b>	<b>Form Number</b>	<b>Filing Fee</b>	<b>Edition</b>
<u>Document Verification Request (SAVE Agencies)</u>	G-845S	\$0.00	07/25/08. Prior versions may be used.
<u>Return of Original Documents</u>	G-884	\$0.00	11/03/08. Prior versions accepted.
<u>Application for Replacement/Initial Nonimmigrant Arrival-Departure Document</u>	I-102	\$320	8/21/08. Previous editions accepted.
<u>Petition for a Nonimmigrant Worker</u>	I-129	\$320.	1/22/09. Previous editions accepted.
<u>Petition for Alien Fiance(e)</u>	I-129F	\$455. There is no fee for petitions for K-3 status based on an immigrant petition filed by the same U.S. citizen.	07/30/07, 11/24/06 editions can be used, no other editions accepted.
<u>Nonimmigrant Petition Based on Blanket L Petition</u>	I-129S	\$0.00	01/16/07, 09/16/05 editions can be used, no other editions accepted.
<u>Petition for Alien Relative</u>	I-130	\$355	05/27/08. Previous editions accepted.
<u>Application for Travel Document</u>	I-131	\$305	10/30/08. Previous editions accepted.
<u>Affidavit of Support</u>	I-134	\$0.00	10/30/2008. Prior versions are also acceptable.
<u>Immigrant Petition for Alien Worker</u>	I-140	\$475	1/12/09. Previous editions accepted.
<u>Application for Advance Permission to Return to</u>	I-191	\$545	07/30/07. Previous editions accepted.

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Title	Form Number	Filing Fee	Edition
<u>Unrelinquished Domicile</u>			
<u>Application for Advance Permission to Enter as a Non-Immigrant</u>	I-192	\$545	1/15/09. Previous editions not accepted. 7/30/07 edition will be accepted through 2/20/09 only.
<u>Application for Waiver for Passport and/or Visa</u>	I-193	\$545	3/2005
<u>Application for Permission to Reapply for Admission into the United States After Deportation or Removal</u>	I-212	\$545	07/30/07. Previous editions accepted.
<u>Application for Removal</u>	I-243	\$0.00	10/6/08. Prior edition will be accepted.
<u>Notice of Appeal or Motion</u>	I-290B	\$585	02/10/09. Previous editions accepted.
<u>Petition for Amerasian, Widow(er), or Special Immigrant</u>	I-360	\$375	11/26/08. Previous editions accepted.
<u>Affidavit of Financial Support and Intent to Petition for Legal Custody for Public Law 97-359 Amerasian</u>	I-361	\$0.00	3/17/06. Previous editions accepted.
<u>Request to Enforce Affidavit of Financial Support and Intent to Petition for Legal Custody for P.L. 97-359 Amerasian</u>	I-363	\$0.00	10/6/08. 3/18/08 version is also acceptable
<u>Application to Register Permanent Residence or Adjust Status</u>	I-485	\$930 plus a biometrics fee of \$80; the fee total is \$1,010. Exceptions listed below. There is no fee for	12/16/08. Previous editions accepted.

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Title	Form Number	Filing Fee	Edition
		applicants who are filing Form I-485 based on having been admitted to the United States as a refugee. Applicants 80 years of age or older are not charged a biometric fee; the fee total is \$930. Applicants under 14 years of age: - Filing with the I-485 application of at least one parent have a fee total of \$600 - Not filing with the I-485 application of at least one parent have a fee total of \$930	
<u>Supplement A to Form I-485</u>	I-485 Supplement A	\$1,000	12/16/08. Previous editions accepted.
<u>Instructions for I-485, Supplement C, HRIFA</u>	I-485 Supplement C	See Form I-485	7/7/08. Prior revisions may not be used.
<u>Instructions for I-485, Supplement E</u>	I-485 Supplement E	\$0.00	10/30/08
<u>Waiver of Rights, Privileges, Exemptions and Immunities (Under Section 247(b) of the INA)</u>	I-508	\$0.00	10/6/08. 5/27/05 edition also acceptable.
<u>Waiver of Rights, Priveleges, Exemptions, and Immunities</u>	I-508F	\$0.00	10/06/2008. Prior versions accepted.
<u>Immigrant Petition by Alien Entrepreneur</u>	I-526	\$1,435	12/16/08. Previous editions accepted.
<u>Application To Extend/Change Nonimmigrant Status</u>	I-539	\$300	12/31/07. Previous editions accepted.
<u>For persons seeking V nonimmigrant status while in the United States or extension</u>	I-539, Supplement A	N/A	10/28/08. Previous editions accepted.

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# FOIA/PA ASSISTANT'S GUIDE

Title	Form Number	Filing Fee	Edition
<u>of V status.</u>			
<u>Interagency Record of Request -- A, G or NATO Dependent Employment Authorization or Change/Adjustment to/from A, G or NATO Status</u>	I-566	\$0.00	02/28/08. No previous edition accepted.
<u>Application for Asylum and Withholding of Removal</u>	I-589	No Fee.	12/14/06. Previous editions accepted.
<u>Petition to Classify Orphan as an Immediate Relative</u>	I-600	\$670. An \$80 fee for biometrics is required for each person 18 years of age or older who is living with the applicant. No fee is required if you are filing based on an approved I-600A filed within the previous 18 months.	10/16/08. Previous editions accepted.
<u>Application for Advance Processing of Orphan Petition</u>	I-600A	\$670	10/16/08. Previous editions accepted.
<u>Application for Waiver of Ground of Inadmissibility</u>	I-601	\$545	10/30/08. Previous editions accepted.
<u>Application By Refugee For Waiver of Grounds of Excludability</u>	I-602	\$0.00	01/15/09. Previous editions accepted.
<u>Application for Waiver of the Foreign Residence Requirement (under Section 212(e) of the Immigration and Nationality Act, as Amended)</u>	I-612	\$545	07/08/08. Previous editions accepted.
<u>Health and Human Services Statistical Data for Refugee/Asylee Adjusting Status</u>	I-643	\$0.00	10/16/08. Previous editions accepted.

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Title	Form Number	Filing Fee	Edition
<u>Application for Status as a Temporary Resident Under Section 245A of the Immigration and Nationality Act</u>	I-687	\$710	02/09/09 Prior Version Accepted: No - Prior versions will be accepted until March 13, 2009.
<u>Application for Waiver of Grounds of Inadmissibility Under Sections 245A or 210 of the Immigration and Nationality Act</u>	I-690	\$185	07/30/07. Previous editions accepted.
<u>Report of Medical Examination and Vaccination Record</u>	I-693	\$0.00	06/05/08. Previous editions will be accepted only for medical exams conducted before August 1, 2008. Medical exams conducted on or after August 1, 2008, require use of the 06/05/08 edition (link at bottom of page).
<u>Notice of Appeal of Decision Under Sections 245A or 210 of the Immigration and Nationality Act</u>	I-694	\$545	08/21/08. Previous editions accepted.
<u>Application to Adjust Status from Temporary to Permanent Resident (Under Section 245A of Public Law 99-603)</u>	I-698	\$1,410 Note on Filing Fee: • If your application is filed within 31 months after temporary residency was granted, the fee is \$1,370 per person with a \$4,230 family cap. • If your application is filed later than 31 months after temporary residency was granted the fee is \$1,410 per person with a \$4,230 family cap. • An \$80 per applicant fee (unless 14 years of age or older than 79 years) for biometrics may	10/16/2008. Previous editions accepted.

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Title	Form Number	Filing Fee	Edition
		be required.	
<u>Refugee/Asylee Relative Petition</u>	I-730	No fee.	1/7/09. Previous editions accepted.
<u>Petition to Remove the Conditions of Residence</u>	I-751	\$465 (plus \$80 biometric service fee)	8/25/08. Prior revisions are not accepted.
<u>Application for Employment Authorization</u>	I-765	\$340	10/30/08. Previous edition accepted.
<u>Application for Replacement of Northern Mariana Card</u>	I-777	\$15	October 16, 2008. Previous editions accepted.
<u>Petition to Classify Convention Adoptee as an Immediate Relative</u>	I-800	No fee is required for the first Form I-800 filed for a child on the basis of an approved Form I-800A. If more than one Form I-800 is filed during the approval period for different children, the fee is \$670 for the second and each subsequent Form I-800. However, if the children are siblings before the proposed adoption, no additional filing fee is required.	9/10/08. Prior edition accepted.
<u>Application for Determination of Suitability to Adopt a Child from a Convention Country</u>	I-800A	\$670 for Form I-800A Note on Filing Fee: An \$80 fee for biometrics is required for the applicant (and spouse, if any). Additionally, a \$80 fee for biometrics is required for each person 18 years of age or older who is living with the applicant. Form I-800A, Supplement 1 (Listing of Adult Member of the Household) must also be provided for each adult member of the household,	9/10/08. Prior edition may be used.

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Title	Form Number	Filing Fee	Edition
		excluding the applicant and applicant's spouse. \$340 for Form I-800A, Supplement 3 (Request for Action on Approved Form I-800A), if applicable	
<u>Application for Family Unity Benefits</u>	I-817	\$440	5/27/08. Previous editions accepted.
<u>Application for Temporary Protected Status</u>	I-821	\$50 for first time applicants. There is no application fee for re-registration. An \$80 per person fee for biometrics may be required.	10/17/07. No previous editions accepted.
<u>Application for Action on an Approved Application or Petition</u>	I-824	\$340	8/25/08. Previous editions accepted.
<u>Petition by Entrepreneur to Remove Conditions</u>	I-829	\$2,850 plus a biometrics fee of \$80. An additional biometrics fee of \$80 must be paid for each conditional resident dependent, listed under Part 3 or Part 4 of Form I-829.	12/16/08. Previous editions accepted.
<u>Inter-Agency Alien Witness and Informant Record</u>	I-854	\$0.00	03/31/07. Previous versions accepted.
<u>Affidavit of Support Under Section 213A of the Act</u>	I-864	Although USCIS does not charge a fee for this form, the Department of State does charge a fee of \$70 when the Affidavit of Support is reviewed domestically. This does not apply when the Affidavit of Support is filed abroad.	10/18/07, 11/01/06 editions can be used, no other edition accepted.
<u>Contract Between Sponsor and Household Member</u>	I-864A	\$0.00	10/18/07, 11/01/06 edition can be used, no other edition

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Title	Form Number	Filing Fee	Edition
			accepted.
<u>Affidavit of Support Under Section 213A of the Act</u>	I-864EZ	Although USCIS does not charge a fee for this form, the Department of State does charge a fee of \$70 when the Affidavit of Support is reviewed domestically. This does not apply when the Affidavit of Support is filed abroad.	10/18/07. 01/15/06 edition can be used, no other edition accepted.
<u>Poverty Guidelines</u>	I-864P	\$0.00	02/13/09. No previous edition accepted.
<u>Intending Immigrant's Affidavit of Support Exemption</u>	I-864W	Although USCIS does not charge a fee for this form, the Department of State does charge a fee of \$70 when the Affidavit of Support is reviewed domestically. This does not apply when the Affidavit of Support is filed abroad.	10/18/07. 11/01/06 edition can be used, no other editions accepted.
<u>Sponsor's Notice of Change of Address</u>	I-865	\$0.00	10/28/08. Previous editions accepted.
<u>Application for Suspension of Deportation or Special Rule Cancellation of Removal (Pursuant to Section 203 of Public Law 105-100 (NACARA))</u>	I-881	\$285	07/30/07. Previous editions accepted.
<u>Employment Eligibility Verification</u>	I-9	\$0.00	Rev. 6/5/07. Please note that the revision date can be found on the <b>lower left hand corner</b> of the form. No previous edition accepted.

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<b>Title</b>	<b>Form Number</b>	<b>Filing Fee</b>	<b>Edition</b>
<u>Application to Replace Permanent Resident Card</u>	I-90	\$290. Biometrics fee of \$80 may be included. Please see Special Instructions for details.	07/30/07. Previous editions accepted.
<u>Application for Authorization to Issue Certification for Health Care Workers</u>	I-905	\$230	07/30/07. Previous editions accepted.
<u>Request for Premium Processing Service</u>	I-907	\$1,000 Note: If you are requesting Premium Processing on a form type and classification that is Premium eligible, the \$1000.00 Premium processing fee is required in addition to all other filing fees required by the application to be processed. Checks should be made payable to Department of Homeland Security.	07/30/07. Editions other than 07/30/07, 04/02/07 and 08/28/06 are not accepted.
<u>Application for T Nonimmigrant Status</u>	I-914	No fee. Biometrics services may be required at no cost to the applicant.	07/30/07. Previous editions accepted.
<u>Petition for U Nonimmigrant Status</u>	I-918	No Fee. Petitioners may have to pay an \$80 biometrics fee.	08/31/07
<u>Petition for Qualifying Family Member of a U-1 Nonimmigrant</u>	I-929	\$215	10/30/08
<u>Application to File Declaration of Intention</u>	N-300	\$235	07/08/08. Previous editions accepted.
<u>Request for a Hearing on a Decision in Naturalization Proceedings (Under Section 336 of the INA)</u>	N-336	\$605	11/24/08. Previous editions accepted.

# FOIA/PA ASSISTANT'S GUIDE

Title	Form Number	Filing Fee	Edition
<u>Monthly Report Naturalization Papers</u>	N-4	\$0.00	10/16/08. No previous edition accepted.
<u>Application for Naturalization</u>	N-400	\$595 plus a biometrics fee of \$80; the fee total is \$675. Applicants 75 years of age or older are not charged a biometric fee; their fee total is \$595. No fee is required for military applicants filing under Section 328 and 329 of the INA.	1/22/09. 10/15/07, 07/30/07, 11/01/06, 05/31/01 can be used. No other editions accepted.
<u>Request for Certification of Military or Naval Service</u>	N-426	\$0.00	10/16/08. Previous editions accepted.
<u>Application to Preserve Residence for Naturalization Purposes</u>	N-470	\$305	07/30/07. Previous editions accepted.
<u>Application for Replacement Naturalization/Citizenship Document</u>	N-565	\$380	07/30/07. Previous editions accepted.
<u>Application for Certificate of Citizenship</u>	N-600	\$460; if filing on behalf of an adopted minor child, \$420.	01/08/09. Previous editions accepted.
<u>Application for Citizenship and Issuance of Certificate under Section 322</u>	N-600K	\$460; if you are filing on behalf of an adopted minor child, the fee is \$420.	09/06/07. Previous editions accepted.
<u>Application for Posthumous Citizenship</u>	N-644	No fee	08/21/08. Previous editions accepted.
<u>Medical Certification for Disability Exceptions</u>	N-648	\$0.00	10/16/08. No previous editions accepted.



# **FOIA/PA ASSISTANT'S GUIDE**

## **APPENDIX F: USEFUL ACRONYMS**

AAPM	Affirmative Asylum Procedures Manual
ABC	American Baptist Churches
ACPA	Assistant Chief Patrol Agent
ADDE	Assistant District Director of Examinations
ADDD	Assistant District Director of Deportation
ADDI	Assistant District Director of Investigations
ADIS	Arrival Departure Information System
AFACS	A-Files Accountability and Control System
AFM	Adjudicators Field Manual
A File	Alien Registration File (basic Alien File)
AILA	American Immigration Lawyers Association
AO	Asylum Officer
AOBTC	Asylum Officer's Basic Training Course
AOIC	Assistant Officer in Charge
ARB	Administrative Review Board
ARC	Alien Registration Card
ASC	Application Support Center
ASIS	Anti-Smuggling Information System
AUSA	Assistant United States Attorney

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ATF	(Bureau) Alcohol, Tobacco and Firearms
AVL	Asylum Virtual Library
BBAT	Bond Backlog Action Team
BCAA	Background Check and Adjudicative Assessment
BCIC	Border Crossing Identification Card
BCC	Border Crossing Card
BCIS	Bureau of Citizenship and Immigration Services
BEP	Backlog Elimination Plan
BIA	Board of Immigration Appeals; or Bureau of Indian Affairs
BLS	Bureau of Labor Statistics
BOP	Bureau of Prisons
BORTAC	Border Patrol Tactical Unit
BP	Border Patrol
BRP	Backlog Reduction Plan
BSS	Biometric Storage System
CAA	Cuban Adjustment Act
CAP	Criminal Alien Program
CAPES	Classification and Placement Evaluation System
CARRP	Controlled Application Review and Resolution Program
CBO	Congressional Budget Office / Community Based Organization

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CBP	Customs and Border Protection
CCB	Child Care Bureau
CCD	Consular Consolidated Database
CDC	Center for Disease Control
CDSO	Collateral Duty Security/Safety Officer
CFR	Code of Federal Regulations
CIA	Central Intelligence Agency
CIO	Chief Information Officer
CIS	Central Index System
CLAIMS	Computer Linked Application Information Management Systems
CMHS	Center for Mental Health Services
COA	Class of Admission or Change of Address
COMSEC	Communications Security
CONUS	Continental United States
COOP	Continuity of Operations Plan
COTR	Contracting Officer Technical Representative
COW	Central Office Washington
CPA	Chief Patrol Agent
CPO	Chief Privacy Officer
CSAT	Computer Security Awareness Training

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## **FOIA/PA ASSISTANT'S GUIDE**

CSPA	Child Status Protection Act
CSRS	Civil Service Retirement System
CSWP	Customer Service Web Portal
CUI	Controlled Unclassified Information
CUSA	Citizenship USA
DACS	Deportable Alien Control System
DAO	District Adjudication Officer
DD	District Director
D&D	Detention & Deportation
DDD	Deputy District Director
DDP	Detention and Deportation Program
DEA	Drug Enforcement Agency
DEO	Detention Enforcement Officer
DFS	Designated Fingerprint Service
DHS	Dept. of Homeland Security
DLEA	Designated Law Enforcement Agency
DOC	Dept. of Commerce
DOD	Dept. of Defense
DOE	Date of Entry; or Dept. of Energy
DOJ	Dept. of Justice

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DORA	District Office Rapid Adjudication
DOS	Dept. of State
EABM	Enforce Apprehension Booking Module
EAC	Eastern Adjudications Center
EAP	Employee Assistance Program
EARM	Enforce Alien Removal Module
EDMS	Enterprise Document Management System
EEOC	Equal Employment Opportunity Commission
EEV	Employment Eligibility Verification
EFOIA	Electronic Freedom of Information Act (initiative)
ENFORCE	Enforcement Case Tracking System
EOIR	Executive Office of Immigration Review
eOPF	Electronic Official Personnel Folder (eOPF)
EPA	Environmental Protection Agency
ERO	Eastern Regional Office
ESC	Eastern Service Center
ETC	Eastern Telephone Center
EVD	Extended Voluntary Departure
EWI	Entry Without Inspection
FAA	Federal Aviation Administration

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## **FOIA/PA ASSISTANT'S GUIDE**

FARES	Fees and Applications Receipt and Entry System
FBI	Federal Bureau of Investigation
FCC	Federal Communications Commission
FCO	File Control Office
FD-258	Fingerprint Card
FDL	Forensic Document Laboratory
FDNS	Fraud Detection National Security
FDNS-DS	Fraud Detection National Security – Data System
FDU	Fraud Detection Units
FEDVIP	Federal Employees Dental and Vision Insurance Program
FEGLI	Federal Employees Group Life Insurance
FEHB	Federal Employees Health Benefits
FEMA	Federal Emergency Management Agency
FHA	Federal Housing Administration
FIPS	Freedom of Information & Privacy Act Processing System
FISMA	Federal Information Security Management Act
FLETC	Federal Law Enforcement Training Center
FMLA	Family Medical Leave Act
FOD	Field Office Director
FOH	Federal Occupational Health

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## **FOIA/PA ASSISTANT'S GUIDE**

FOIA	Freedom of Information Act
FOSC	Fugitive Operations Support Center
FOUO	For Official Use Only
FPS	Federal Protective Service
FRC	Federal Records Center
FSM	Field Security Manager
G-28	Notice of Entry of Appearance as Attorney or Representative
G-325	Biographic Information
G-325A	Biographic Information
G-639	Freedom of Information/Privacy Act Request
GAO	Government Accountability Office
GILS	Government Information Locator Service
GPO	Government Printing Office
GSA	General Services Administration
HCFSA	Health Care Flexible Spending Account
HHS	Dept. of Health and Human Services
HQASM	Headquarters Asylum Division
HRIFA	Haitian Refugee Immigration Fairness Act of 1998
HRSA	Health Resources and Services Administration
HSA	Health Savings Account

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## **FOIA/PA ASSISTANT'S GUIDE**

HSPC	Houston Service Processing Center
HUD	Dept. of Housing and Urban Development
I-90	Application to Replace Permanent Resident Card (Green Card)
I-129	Petition for Nonimmigrant Worker
I-129F	Petition for Alien Fiancée
I-130	Petition for Alien Relative
I-131	Application for Travel Document
I-134	Affidavit of Support
I-140	Immigrant Petition for Alien Worker
I-212	Application for Permission to Reapply for Admission into the United States After Deportation or Removal
I-360	Petition for Amerasian, Widow(er) or Special Immigrant
I-485	Application to Register Permanent Residence or to Adjust Status
I-485A	Supplement to Form I-485
I-485B	NACARA Supplement to Form I-485 Instructions
I-539	Application to Extend/Change Nonimmigrant Status
I-551	Alien Registration Card (Green Card)
I-589	Application for Asylum and Withholding of Removal
I-600	Petition to Classify Orphan as an Immediate Relative
I-751	Petition to Remove Conditions of Residence

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## **FOIA/PA ASSISTANT'S GUIDE**

I-765	Application for Employment Authorization
I-821	Application for Temporary Protected Status
I-864	Affidavit of Support under Section 213A of the Act
IA	Immigration Agent; or Investigative Assistant
IBF	Identity and Benefit Fraud (program)
IBIS	Interagency Border Inspection System
ICE	Immigration and Customs Enforcement
ICE-BFU	ICE Benefit Fraud Unit
ICEPIC	ICE Pattern Analysis and Information Collection.
ICF	Immigration Card Facility
ICS	Information and Customer Service
IDDMS	Integrated Digitization Document Management Program
IDENT	Automated Biometric Identification System
IDMS	Identity Management System
IDP	Individual Development Plan
IE	Immigration Examiner
II	Immigration Inspector
IIRIRA	Illegal Immigration Reform and Immigrant Responsibility Act of 1996
IJ	Immigration Judge
IMMACT	Immigration Act of 1990

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## **FOIA/PA ASSISTANT'S GUIDE**

INA	Immigration and Nationality Act
INS	Immigration and Naturalization Service (legacy)
INTCA	Immigration and Naturalization Technical Corrections Act of 1994
INTERPOL	International Criminal Police Organization
IO	Information Officer
IRCA	Immigration Reform and Control Act
IRS	Internal Revenue Service
ISAP	Intensive Supervision Appearance Program
ISCPM	Identity and Security Checks Procedures Manual
ISRS	Image Storage and Retrieval System
ISSM	Information Systems Security Manager
ISSO	Information Systems Security Officer
IT	Information Technology
ITSR	Information Technology Service Request
JABS	Joint Automated Booking Stations
JPATS	Justice Prisoner and Alien Transportation Service
JTTF	Joint Terrorism Task Force
KST	Known Suspected Terrorist
LAPR	Lawfully Admitted Permanent Resident
LAPS	Legalization Application Processing System

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LEAD	Leadership Education and Development
LES	Law Enforcement Sensitive
LESC	Law Enforcement Support Center
LIFE	Legal Immigration Family Equity (Act)
LIN	Northern Service Center (Lincoln, NE)
LOU	Limited Official Use
LPR	Lawful Permanent Resident
LULAC	League of United Latin American Citizens
MFAS	Marriage Fraud Amendment System
MOA	Memorandum of Agreement
MOU	Memorandum of Understanding
N-300	Application to File Declaration of Intention
N-400	Application for Naturalization
N-565	Application for Replacement of Naturalization/Citizenship Document
N-600	Application for Certification of Citizenship
NACARA	Nicaraguan Adjustment and Central American Relief Act of 1997
NACS	Naturalization Application Casework System
NAIS	National Automated Immigration Lookout System
NBC	National Benefits Center
NCIC	National Crime Information Center

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NCJRS	National Criminal Justice Reference Service
NFTS	National File Tracking System
NIIS	Non-immigrant Information System
NLETS	National Law Enforcement Telecommunications System
NLRB	National Labor Relations Board
NOID	Notice of Intent to Deny
NQP	Naturalization Quality Procedures
NRC	National Records Center / Nuclear Regulatory Commission
NSA	National Security Agency
NSC	Northern Service Center / National Security Council
NSI	National Security Information
NSRV	National Security Records and Verification
NTA	Notice to Appear
NWIRP	Northwest Immigrant Rights Project
OCC	Office of Chief Counsel
OCDETF	Organized Crime Drug Enforcement Task Force
OCIO	Office of the Chief Information Officer
OCSE	Office of Child Support Enforcement
OEM&S	Office of Emergency Management & Safety
OEP	Occupant Emergency Plan

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OEPC	Office of Emergency Preparedness and Coordination
OFR	Office of the Federal Register
OIC	Officer in Charge
OIG	Office of the Inspector General
OIS	Office of Immigration Statistics
OIT	Office of Information Technology
OMB	Office of Management and Budget
OPF	Official Personnel File
OPLA	Office of the Principal Legal Advisor
OPM	Office of Personnel Management
OPSEC	Operational Security
ORR	Office of Refugee Resettlement
ORS	Office of Records Services
OSC	Order to Show Cause / Office of Special Council
OSCE	Office of Child Support Enforcement
OSI	Office of Security and Integrity
OTD	Office of Training and Development
OUO	Official Use Only
OVC	Office for Victims of Crime
OWCP	Office of Workers' Compensation Programs

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PA	Privacy Act
PAIC	Patrol Agent in Charge
RAIO	Refugee, Asylum, and International Operations
PC	Peace Corps
PCII	Protected Critical Infrastructure Information
PIA	Privacy Impact Assessment
PII	Personally Identifiable Information
PLAIN	Plain Language Action and Information Network
POE	Port-of-Entry
PTA	Privacy Threshold Assessment
PTIG	Privacy Technology Implementation Guide
RAC	Resident Agent in Charge
RAD	River Assault Division
RAFACS	Receipt and Alien File Accountability and Control System
RAIO	Refugee Asylum and International Operations
RAPS	Refugee, Asylum and Parole System
RAVU	Refugee Access Verification Unit
RDF	Records Digitization Facility
RNACS	Redesigned Naturalization Application Casework System
ROH	Record Operations Handbook

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RPC	Responsible Party Code
RTD	Refugee Travel Document
SA	Special Agent
SAC	Special Agent in Charge
SAMS	Sunflower Asset Management System
SAO	Supervisor Adjudications Officer
SAVE	Systematic Alien Verification for Entitlement
SAW	Special Agricultural Worker
SBU	Sensitive But Unclassified
SCCLAIMS	Service Center CLAIMS
SDAO	Supervisory District Adjudications Officer
SDEO	Supervisory Detention Enforcement Officer
SDO	Supervisory Detention Officer
SES	Senior Executive Service
SEVIS	Student and Exchange Visitor Information System
SHSI	Sensitive Homeland Security Information
SIG	Special Interest Group
SII	Supervisory Immigration Inspector
SIO	Supervisory Information Officer
SLOB	Service Lookout Book (old way)

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SORN	System of Records Notices
SPBP	Special Public Benefit Parole
SPOT	Screening Passengers by Observation Techniques
SRC	Southern Regional Center (Southern Service Center)
SSA	Supervisory Special Agent; or Social Security Administration
SSC	Southern Service Center
SSI	Sensitive Security Information
SSO	Special Security Officer
STAR	System for Time and Attendance Reporting
TAC	Third Agency Checks
TAP	Tuition Assistance Program
TCDD	Training and Career Development Division
TECS	Treasury Enforcement Communication System
TPO	Transformation Program Offices
TPS	Temporary Protective Status
TSA	Transportation Security Administration
TSC	Texas Service Center
TSP	Thrift Savings Plan
TVA	Tennessee Valley Authority
UK	United Kingdom

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UNHCR	United Nations High Commissioner for Refugees
UNICEF	United Nations Children's Fund
USA	United States Army
USACE	U.S. Army Corps of Engineers
USAF	United States Air Force
USC	United States Citizen
U.S.C.	United States Code
USCG	United States Coast Guard
USCIS	United States Citizenship and Immigration Services
USCS	United States Customs Service
USMC	United States Marine Corps
USMS	United States Marshals Service
USN	United States Navy
USNCB	United States National Central Bureau of INTERPOL
USPS	United States Postal Service
USRAP	U.S. Refugee Admissions Program
USSS	United States Secret Service
VA	Department of Veterans Affairs
VAWA	Violence Against Women Act
VAWO	Violence Against Women Office

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## **FOIA/PA ASSISTANT'S GUIDE**

VD	Voluntary Departure
VIS	Verification Information System
VTVPA	Victims of Trafficking and Violence Protection Act of 2000
VWPP	Visa Pilot Waiver Program
WAC	Western Adjudications Center
WHO	World Health Organization
WHTI	Western Hemisphere Travel Initiative
WSC	Western Service Center (same as California Service Center)
WTC	Western Telephone Center

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## **APPENDIX G: DEFINITIONS**

The definitions listed below are words and phrases that frequently appear in FOIA and PA requests. The list is arranged in alphabetical order. Additional definitions can be located at <http://www.uscis.gov/portal/site/uscis/menuitem>. Select the tab titled "Education and Resource."

**Access** - Includes any form of disclosure, to include oral, visual, or reproduced copy. A reproduced copy, whether in paper or electronic format, always satisfies FOIA/PA access requirements.

**Agency** - Any executive department, military department, Government corporation, Government controlled corporation, or other establishment in the executive branch of the Government (including the Executive Office of the President), or any independent regulatory agency. This does not include the legislative (Congress) or judicial (Courts) branches of the Government, nor does it apply to state, local, or foreign government agencies. The Department of Homeland Security (DHS) is an agency as defined above. The following are components or bureaus of the Department of Homeland Security; United States Immigration and Customs Enforcement (ICE), United States Customs and Border Protection (CBP), United States Secret Service (USSS), etc.

**Agency Record** - Any tangible recording of information and/or any item, collection, or grouping of information, including electronic that is maintained and controlled by an agency.

Notes or documents which are made by an employee, kept purely voluntarily, not circulated to nor used by anyone other than the author, and discarded or retained at the author's sole discretion for his/her own individual purposes are personal records. These are not generally agency records because they are not subject to the rules and controls of the agency for records management and disposition. These may, however, become agency records for purposes of the FOIA or PA if used to carry out an agency function (e.g., as the basis for a performance rating).

**Component** - Each separate bureau, office, board, division, commission, service, or administration, or agency of a Federal Executive Branch Department. For example: Border and Transportation Security (BTS), Citizenship and Immigration Services (USCIS), Federal Emergency Management Agency (FEMA), Immigration and Customs Enforcement (ICE) are components of the Department of Homeland Security.

# **FOIA/PA ASSISTANT'S GUIDE**

**Conditions of Disclosure** - Specific provisions in the Privacy Act (5 U.S.C. § 552a(b)(1) through (12)) allows the agency to disseminate information from a PA system of records without the prior written consent of the record subject.

**Congressional Committee Request** - A request from either House of Congress, to the extent of matters within its jurisdiction; a subcommittee thereof; any joint committee of Congress; any subcommittee of any such joint committee. Agencies may not use FOIA or PA exemptions to deny records that are the subject of such a request.

**Congressional Request** - A request from a Member of Congress on his or her own behalf, or on behalf of a constituent. After acknowledgment under congressional correspondence procedures, congressional requests are to be processed in the same manner as any other FOIA or PA request.

**Consolidation** – Combination of paperwork into a main file. After the service completes work on a petition or application, we combine it into the person's A-file. If the service discovers two "unconsolidated" A-numbers for a person, we combine the two files. One of the A-numbers becomes the "survivor" and the other becomes the "consolidated A-number."

**Consultation** - Obtaining the views of another DHS component or Federal agency concerning the release of information that has been incorporated into immigration documents or a reciprocal request. The National Records Center, FOIA/PA Division, makes the final overall determination on release.

**Freedom of Information Act Request** - A request **in writing** by any person for access to any record maintained by any Federal agency. Federal agencies are not persons for purposes of FOIA.

Included are requests for access to Privacy Act records of another person without the written consent of the record subject, as well as requests from nonimmigrant aliens for access to their own records.

**FOIA/PA Information Processing System (FIPS)** - Through the use of imaging, workflow, and graphical user interface technologies, FIPS allows USCIS to electronically manage and process FOIA and PA requests.

**First Party Requester** - A subject or designated representative asking for access to his/her record. A notarized signature or a sworn declaration under penalty of perjury from the record subject is required for access to records.

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**Forms** – Various government forms available from [www.uscis.gov/portal/site/uscis](http://www.uscis.gov/portal/site/uscis) that are provided for the use of requesters and their representatives when submitting a FOIA or PA request with USCIS. The more common forms include:

- **G-28 – Notice of Entry of Appearance as Attorney or Representative** - This form is used for information purposes only. It should be signed by the attorney or representative and by the subject of the record. Does not qualify for consent unless the attorney or representative has inserted the penalty of perjury statement and the subject of the file has signed the document.
- **G-639 Freedom of Information/Privacy Act Request** – This form can be used to make a FOIA/PA request. When completed it provides enough information to complete an extensive search for records.

**Individual** - The PA describes an individual as follows: a U.S. Citizen (U.S.C.) or alien lawfully admitted for permanent residence (LPR). Conditional residents are considered LPRs. Corporations and organizations are not individuals.

**Multi-track System** - USCIS utilizes a three-track system to process all FOIA requests.

- **Track 1** is used for the less complex cases. These are cases where only one or a few specific documents are being requested from the file.
- **Track 2** is used for the more complex cases. A complete copy of a file, requests from the news media or special interest groups are considered Track 2 cases.
- **Track 3** is used for cases that specifically involve individuals who have been scheduled to appear before an immigration judge.

**Privacy Act Amendment Request** - A request from a U.S.C. or LPR to amend, expunge, or correct information in his/her PA record that the individual believes is not accurate, relevant, timely or complete.

**Privacy Act Record** - Any item, collection, or grouping of information about an individual who is a U.S.C. or LPR; the maintaining agency retrieves by the person's name, identifying number, symbol, or other identifying particular assigned to that individual. This information includes, but is not limited to, a person's education, financial, medical, criminal or employment history.

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**Privacy Act Request** - A request in writing submitted either in person or by mail, for records that are contained in a Privacy Act system of records. The records must be under the control of DHS and be retrieved by the name of the requester or other personal identifier. Requests are received from:

- A USC or LPR for access to or his/her own records, or
- A third-party with a signed privacy waiver from the record subject acting on the subject's behalf, or
- The parent of an LPR or USC minor child or the legal guardian of a person declared incompetent by a court of competent jurisdiction.

**Records Custodian** - The official responsible for the maintenance, security, control, and final disposition of official records that are required by law, regulation, or other directive to be kept by the Agency.

**Referral** - Information found in immigration records – the forwarding of a record that originated with another component of DHS or another Federal agency for direct response to the FOIA/PA requester. Also includes transferring responsibility for responding to a request regarding the release of records to the DHS component best able to determine whether to disclose, or to the Federal agency that originated the record.

**Retire** – The service sends the A-file to the Federal Records Center (FRC) after a number of years have passed with no activity. This is called “retiring” the file. Occasionally, we have to request a retired file from the FRC.

**Rider** – A person who is also listed on a petition or application that will also benefit if that petition or application is approved. For example, a woman applying for asylum lists her husband and two children on her asylum application. They are riders.

**Routine Use** - An established use and authority for disclosure of records from a Privacy Act System of Records, other than an intra-agency disclosure. Disclosure or use must be for a purpose that is compatible with the purpose for it was collected, that would be otherwise prohibited by the PA. Such disclosures do not require the written consent of the record subject, but require Federal Register publication prior to such use.

**System of Records** - A group of any records under the control of an agency from which information is retrieved by the name of the individual or by some other identifying number, symbol, or identifying particular assigned to the individual.

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**Third Agency** - Other administrative agencies of the Executive Branch of the Federal government, including other components of DHS.

**Third Party Request** - A request from any person for access to another individual's record without that individual's written consent. The identity of a third party requester and his/her relationship to the subject does not increase (or decrease) his/her rights of access to the records.

**White House Inquiries** - An official request from any member of the White House staff, or letters of the President forwarded to the agency for response.

## **FOREWORD**

The FOIA/PA Assistant's Guide has been prepared as a ready reference to assist with day-to-day tasks, such as creating Freedom of Information Act and Privacy Act requests, handling mail, working records locator, and general troubleshooting.

Any previous material distributed in *FOIA Information Bulletins* has been incorporated into this Guide.

For the purposes of this Guide, we may refer to a FOIA/PA Assistant as “you,” or “Assistant,” and in some cases “team member.”

The Guide has been saved in PDF format. The PDF format makes searching for information in the Guide easier. **Please view the guide in PDF/A mode while you have FIPS 7 open.** A potential Java scripting conflict exists if you have the document open in PDF mode while running FIPS 7. Viewing the Guide in PDF/A mode disables Java scripting within the Guide – which means hyperlinks within the Guide will not work, but FIPS 7 will not freeze or crash. You may alternate between PDF and PDF/A mode in Acrobat Reader by selecting Edit ⇨ Preferences ⇨ Documents ⇨ PDF/A View Mode. Select “Never” to turn PDF/A mode off, and select “Only for PDF/A documents” to turn PDF/A mode on.

**How does the rulemaking process for this Guide work?** The Chief of FOIA/PA Operations and your Supervisors direct how Paralegal Specialists, FOIA/PA Assistants and Office Automation personnel accomplish their missions. Through the Chief of Operations, Supervisors submit a new rule or procedure to the Chief FOIA/PA Program Officer. At the direction of the Chief Program Officer, Program Office may immediately amend the guide, or they may seek clarification from Office of Chief Counsel. After consultation, Program Office will either amend the Guide or propose a modified rule to Chief of FOIA/PA Operations. Major re-writes or revisions of the guide are subject to the final approval of the USCIS FOIA Officer.

You, the FOIA/PA Assistant, may notice something in the Guide that is awkwardly worded, or contains a typographical error, or something that simply is not true. You contact your supervisor and then Program Office amends the guide.

Ideally, before we amend the Guide, we first publish a FOIA Information Bulletin (the exception being a misspelled word or a missing punctuation mark). FOIA Information Bulletins and the latest version of this Guide are available on the USCIS FOIA/PA Operations intranet page. When we make additions or revisions, we create a Record of Revision at the front of the Guide for quick reference.



**May 6, 2011**

***Paragraph 7.1, Consent of Parents or Guardians, of the FOIA/PA Assistant's Guide has been changed (changed portion is underlined):***

If a parent is filing on behalf of a minor child, then the parent must submit proof of parentage. Proof of parentage can be in the form of a birth certificate, adoption decree or similar document, naming them as a legal parent.

If a guardian is filing on behalf of a minor or person judicially determined to be incompetent, he or she must submit proof of guardianship. No consent is necessary from the minor child or the person judicially determined to be incompetent, however the parent/guardian must provide his or her own verification of identity that is notarized or signed under penalty of perjury [6 C.F.R. § 5.21(e)]. The case processor will have to request more information if he or she cannot determine parentage or guardianship within the file.

Minors may request their own files; they do not have to have the consent of their parents or guardians to do so. Attorneys may represent minors also.

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***Paragraph 12.7.11 T-files of the FOIA/PA Assistant's Guide has been changed (changed portion is underlined):***

**The exception to this rule** – We do not receive A-files from ESC, SSC, NSC, WSC or RDF for scanning. Those offices either scan directly into FIPS for us or we export the A-file from EDMS. Therefore, if the A-file is at one of the above service centers and there is a T-file anywhere else, including at the NRC, you will have to staff for the T-file. MSC is the only service center that sends the A-file to the NRC for scanning. Another example of when we staff for an in-house T-file is when the responsive records are scanned in simultaneously with the request.

---

***Paragraph 12.7.3 Files Lost or Not Found MORE THAN NINE MONTHS of the FOIA/PA Assistant's Guide has been changed (changed portion is underlined):***

12.7.3.9 **If the A-file is lost but other records exist** (such as receipt files we would normally request or other a-files, including T-Files, wherever they may be, including NRC) Request the additional records. Put in a Discussion that reads:

A-file number XXXXXXXXXX is currently showing as lost. Staffed for the following additional files: XXXXXXXX, XXXXXXXX, XXXXXXXX. Once they are received, please review. Please also verify that the original a-file is still lost. If the original a-file has been consolidated in fact but not in the systems, please process and send your case to approver. Also send an e-mail to the MSB for resolution. Include both a-numbers. If no documents exist from the original a-file, please process what is available. Advise the requester that the original a-file is lost. Your case will close as a PD even if no redactions are made. Thank you.

---

**APPENDIX H: CASE CREATE FLOW CHARTS** has been added to the FOIA/PA Assistant's Guide.

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**APPENDIX I: ALIEN NUMBER ASSIGNMENT** has been added to the FOIA/PA Assistant's Guide.

**May 13, 2011**

Paragraph 12.7.6 of the **FOIA/PA Assistant's Guide** has been changed as follows (added portion underlined ~~deleted portion stricken through~~):

When conducting "no record" research, do the query and provide screen prints of all searches as directed. ~~Open a RAFACS (not RAFACS/CIS) staffing slot only. Click on "Customize Letter."~~ Print the appropriate CLAIMS screen prints (this should be no less than six pages and may be lengthier if subject has provided multiple names or multiple alias names). Prepare a "Scan As" sheet to be scanned as case supporting documents responsive records for the case number you have just created, attach it to the screen prints and take those to the OA room for scanning as CSD person designated to scan RAFACS-only responsive records. ~~Pend the case~~ prepare a Final Action Letter with closing code

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Updated on 8/30/2011

NR. Insert a Discussion outlining the systems you searched and stating that you have sent the documentation to OA for scanning as CSD. Send to Up-front Approver.

---

Paragraph 12.7.12 of the **FOIA/PA Assistant's Guide** has been changed as follows (added portion underlined ~~deleted portion stricken through~~):

#### 12.7.12 Receipt files

**12.7.12.1** Do not request receipt files from any offices other than one of the five Service Centers (ESC/EAC, SSC/SRC, WSC/WAC, MSC/NBC or NSC/LIN). For example,  etc., are not receipt files we can request.

(b)(6)

**12.7.12.2** If the requester does not specifically ask for a receipt file and provides an alien number, request the alien file only. If the requester specifies a receipt file, search NFTS and staff for that receipt file OR if the receipt has been consolidated into an alien file, staff for that alien file.

**12.7.12.3** If the requester does not provide any receipt number or alien number, then you must research CIS, CLAIMS and possibly PCQS.

Be cautious about requesting receipt files that are for EAD cards only. There should be another application/petition filed in conjunction with this EAD card. If the only receipt numbers you can find is for an EAD card, and they are within the seven-year retention time, then yes, you will request the EAD card.

If they provide a receipt number, you must research CLAIMS, PCQS and NFTS thoroughly. Ensure the receipt file has not been consolidated into a T-file or into an A-file. Please request the A-file or T-file if the receipt file has been consolidated. Check CLAIMS to be sure that the Service did not reject the receipt. Receipts that are shown as rejected in CLAIMS are returned to the submitter by the Service Center. Print the CLAIMS screen(s) that shows the receipt was rejected by the service. Create a File Request to RAFACS (not RAFACS/CIS). Leave the "Customize Letter" button selected. Attach a "Scan As" cover sheet to the screen prints, mark the box "Responsive Records" and take to person designated to scan RAFACS-only responsive records. Pend the case.

If there is no location information in NFTS, and if NVC does not have the receipt, but there is a record in PCQS, print any PCQS screen(s) concerning the petition. Create a File Request to RAFACS (not RAFACS/CIS). Leave the "Customize Letter" button selected. Attach a "Scan As" cover sheet to the screen prints, mark

the box "Responsive Records" and take to person designated to scan RAFACS-only responsive records. Pend the case.

~~12.7.12.4 If there is no information about the receipt file in NFTS, regardless of the prefix of the receipt number, you should staff to the owner of the receipt file and paste in the CLAIMS screen. This information can be located on the CLAIMS inquiry screen upper right hand corner. The CLAIMS screen will show "owned by."~~

New paragraph:

12.7.12.4 As a matter of last resort, if there is neither information about the receipt file in NFTS nor PCQS and you have called National Visa Center and determined NVC does not have the receipt, you should staff to the owner of the receipt file and paste in the CLAIMS screen. This information can be located on the CLAIMS inquiry screen upper right hand corner. The CLAIMS screen will show "owned by."

## **May 27, 2011**

Paragraph 6.3.4.6 of the FOIA/PA Assistant's Guide will be changed as follows: (changed portion in red)

As it used to read:

The case is not Genealogy unless it meets one of the above criteria. If the case you are creating does meet the criteria for Genealogy, create it as **OTHER** then do the following:

- a. Close the request as an ER and send to Up Front Approver
- b. Send an e-mail to the OA room and include the following information:
  - 1) REQ#
  - 2) NRC#
  - 3) Scanner's initials
  - 4) Date scanned

The OA room will pull the original request, include it in the current days count and follow return procedures.

### **Updated Paragraph:**

The case is not Genealogy unless it meets one of the above criteria. If the case you are creating does meet the criteria for Genealogy, create it as **OTHER** then do the following:

- a. Create the and control the case.
- b. Do not staff for any records and do not prepare an acknowledgment letter.
- c. Send the case to Unit Chief with a discussion explaining it is a possible Genealogy

- d. Send an email to the designated person who handles genealogy cases (currently Donna Brasfield) with the control number.

The designated person will review the request to determine if it is, in fact, a genealogy.

If it does not meet the criteria for genealogy it will be returned to you in Case Create to send an acknowledgment letter and staff for records.

If it does meet the criteria, the designated person will create a letter referring the requester to the Genealogy program and will close the case as ER.

---

Paragraph 12.5 Receipt Numbers of the FOIA/PA Assistant's Guide has been changed as follows:

As it used to read:

Do not request receipt files from any offices other than one of the five Service Centers (ESC/EAC, SSC/SRC, WSC/WAC, MSC/NBC or NSC/LIN). For receipt files at HBG, use the NON-FOIA MSC/NBC file request. **Do not request DIG T-files at HBG with RPC codes XX or ZG.** Refer to the Staffing Sheet Guide for the most current information.

**Updated Paragraph:**

Do not request receipt files from any offices other than one of the five Service Centers (ESC/EAC, SSC/SRC, WSC/WAC, MSC/NBC or NSC/LIN). For receipt files at HBG, use the NON-FOIA HBG file request. **Do not request DIG T-files at HBG with RPC codes XX, XY, ZG, ZY, or ZZ.** Refer to the Staffing Sheet Guide for the most current information.

## **June 10, 2011**

The wording of paragraph 28 of the **FOIA/PA Assistant's Guide** has been changed as follows:

**Current language:**

### **28. CONGRESSIONAL REQUESTS AND APPEALS**

All Congressional Requests and Appeals are pulled out of the in-coming mail and handled by a supervisor. If you encounter a Congressional Request or an Appeal in Records Locator queue that was not previously addressed; send an e-mail to NRC, FOIAMS mailbox, include the control number and alien number of the case and specific instructions as to what needs to be done. Put the case in Unit Chief. FOIA/PA Assistants assigned to mail will place the mail in the MSB or Appeals bin.

Here is the new paragraph:

## 28. CONGRESSIONAL REQUESTS AND APPEALS

a. Congressional requests. True congressional requests are requests from a congressman or senator for information which usually does not relate to an alien file or receipt file. Most FOIA/PA requests with congressional correspondence should be handled under paragraph b. of this section, however, if you feel that you have a true congressional request or appeal, control the case, put the case in Unit Chief, and e-mail your supervisor the control number. A supervisor will either send the case to SIG or return the case to you for staffing.

b. Congressional requests on behalf of a constituent: These are requests that have some kind of congressional correspondence included with the request from the subject. These cases should be created in the same manner as any other FOIA or PA request. Please use the subject's name as the requestor, mark "self" in the source block, create the acknowledgment letter and go out for verification of identity or consent as needed. Insert a case note, and e-mail Vicki Ohrnell the control number.

## July 8, 2011

A new flow chart for Lost File procedure has been added to **APPENDIX H:**  
**CASE CREATE FLOW CHARTS** in the FOIA/PA Assistant's Guide.

Additionally, in paragraphs

12.7.2 Files Lost or Not Found LESS THAN NINE MONTHS  
and

12.7.3 Files Lost or Not Found MORE THAN NINE MONTHS  
the following new sentence has been added:

Note: Please refer to the **Lost File Flowchart** which you will find in Appendix H.

---

Paragraph 6.1.1.10 of the **FOIA/PA Assistant's Guide** has been changed as follows:

Old version:

6.1.1.10 If the only evidence of an attorney is an envelope or letter, but there is not a duly executed Form G-28, create the case using the name and address of the requester in Section 2,

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Updated on 8/30/2011

*“Requester Information.”* Do not use the address on the envelope or letterhead.

New version:

6.1.1.10 If the request came to us on Form G-639, always use the name and address of the requester in Section 2, *“Requester Information.”* Do not use the address on the envelope, or Form G-28 or letterhead *unless* the requester did not use Form G-639 *or unless* Section 2 of Form G-639 is illegible. If the address on the G-639 is a foreign consulate office, or is a congressional office, you may use the address listed on the G-28, or other documents in the request, such as an envelope. If you can find no other address, insert a case note and send the case to U/C.

Be careful - it is easy to miss apartment or suite numbers because the space for them is at the right side of Form G-639.

---

The following has been added to 6.4 SEARCH FOR DUPLICATE CASES of the FOIA/PA Assistant’s Guide: (old text lined through, new text in red)

This does not include instances in which the requester has faxed the request and then mailed it. If you open a case and find that the exact same request has very recently been created, chances are that you have opened the mailed copy which followed a few days after the fax. ~~Close this case as ER (created in error).~~ Do not create such a case. Click “Send to Research.” That case will go and you will be ready for your next case.

Ordinarily, you will search by Alien Number, and if you do not find a duplicate or similar case, your search will be complete. If the requester did not provide an alien number, you may search by the subject’s last name and first name, or even by the requester’s last name and first name. You may use a percent sign (%) as a wild-card for these searches. For example, if the requester’s name is Jaime Vazquez, but you see he also has spelled his name Vasquez – you can search by Subject Last Name “Va%” and Subject First Name “Jaime.”

*Further on within paragraph 6.4, in the examples, there are two more changes:*

~~Create a Final Action Letter and select final action code ER: Created in Error. After this, send the case to Up front Approver~~ Do not click “Create Case.” Click “Send to Research.” You will then be ready for your next case.

If you determine that it is not a true duplicate, please insert a new Discussion entitled “Similar Case” in each of the cases, so that a processor or approver can review both.

If the date of the request is either the same as your request or within a very few days and:

1. The requester is the same, and
2. The information being requested is the same in both requests,

Do not close this case as a duplicate. ~~Instead, close this case as ER (created in error)~~ Do not click "Create Case." Click "Send to Research."

## **August 30, 2011**

We have added a new paragraph 8.23 to the FOIA/PA Assistant's Guide, as follows:

### **8.23 SITUATION: Requests from Prospective Adoptive Parents**

In the recent past, Vietnam, Cambodia, Guatemala, Nepal, Ethiopia and other countries have had problems concerning adoptions. Birth Certificates have been forged and babies have been taken without consent of the biological parent. In Vietnam, "baby brokers" scour villages looking for unwed, impoverished mothers. They purchase the babies for about \$50 and sell them to commercial adoption services. In Guatemala and elsewhere, people steal babies and sell them to middlemen. Prospective adoptive parents from Spain, Italy and the United States are typically willing to pay as much as \$25,000 to adopt a child. (This information comes from kidsofkathmandu.org).

Normally if we cannot verify consent or prove parentage in a case, we send out for more information. Please do not send out for additional information in pending (not finalized) adoption cases for the following reasons:

1. The Prospective Adoptive Parents (PAP) have the right to all information they submitted for the adoption. It is likely that the adoption never happened. If that is the case, they have no proof of parentage or guardianship.
2. The child is usually too young to give consent.
3. Congress has substantial interest in this matter.

If you decide you need proof of parentage after a full search, please send your case to Admin for supervisor review.



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## **1. THE FREEDOM OF INFORMATION ACT**

Congress passed the Freedom of Information Act (FOIA) in 1966 to establish the public's right to access records created or maintained by federal executive branch agencies. The statute became effective on July 4, 1967. The statute relating to the Freedom of Information Act is 5 U.S.C. § 552.

## **2. THE PRIVACY ACT**

The Privacy Act of 1974 regulates the collection, maintenance, use, and dissemination of personal information by the federal government. The statute relating to the Privacy Act is 5 U.S.C. § 552a. The statute became effective September 27, 1975.

## **3. WHAT ARE FOIA REQUESTS AND HOW DO WE GET THEM?**

A Freedom of Information Act (FOIA) request is a request in writing for a copy of any record maintained by any agency of the executive branch of the government. Persons must reasonably describe the records sought, and those records must already exist. Requests can come in a variety of ways. They can come in on the Form G-639 or as a letter from an attorney or representative. They can come in the form of a letter from the alien himself. The requester may mail, fax, hand deliver, or e-mail a request. No matter how we receive them or what the format is, as long as they are in written form and provide enough information to ascertain that they want documents from us, we treat them as FOIA requests. A Privacy Act (PA) request is a request by a person for a copy of his or her file.

For case creating purposes, the difference between a FOIA and PA request does not matter. You will create all cases as FOIA requests, although some of the requests we receive are PA requests. The case processor determines whether the case falls under the Freedom of Information Act or the Privacy Act.

## 4. WHO CAN MAKE A FOIA REQUEST?

Anyone can request any record kept by the executive branch of government. The tricky part is determining if we have enough information and consent to provide the record and who is entitled to what. The most common types of requesters are:

- First party requesters, that is, the alien himself or his designee, attorney or representative, are entitled to a complete copy of the alien file, after any applicable exemptions are applied. However, a parent or guardian may make a request for a minor's record. Please refer to the section titled **"CONSENT RELATING TO RECORDS CONCERNING A MINOR OR PERSON JUDICIALLY DETERMINED TO BE INCOMPETENT"** in this guide.
- Third party requesters, that is, an individual seeking a copy of an alien's file without the subject of record's consent, are entitled only to documents of a public nature or documents they provided in support of an application/petition. Please refer to the section titled **"THIRD PARTY REQUESTS"** in this guide.
- Media requesters are typically accredited members of the media.
- Bond obligors, companies who posted immigration bonds for the aliens, are entitled to a copy of the file under a court case entitled *Amwest v. Reno*. Please refer to the section titled **"IMMIGRATION BOND OBLIGORS"** in this guide.
- Other state and local government agencies are entitled to documents from alien files for law enforcement purposes. Requests for information originating with any other federal agency are operational matters and not FOIA or Privacy Act requests. Please refer to the section titled **"ROUTINE USE"** in this guide.



## 5. SYSTEMS USED AND DESCRIPTION OF THE SYSTEMS

The paragraphs below provide a description of some of the systems used by USCIS, ICE and CBP. Most A-files contain screen prints from one or more of these systems.

### 5.1 Central Index System

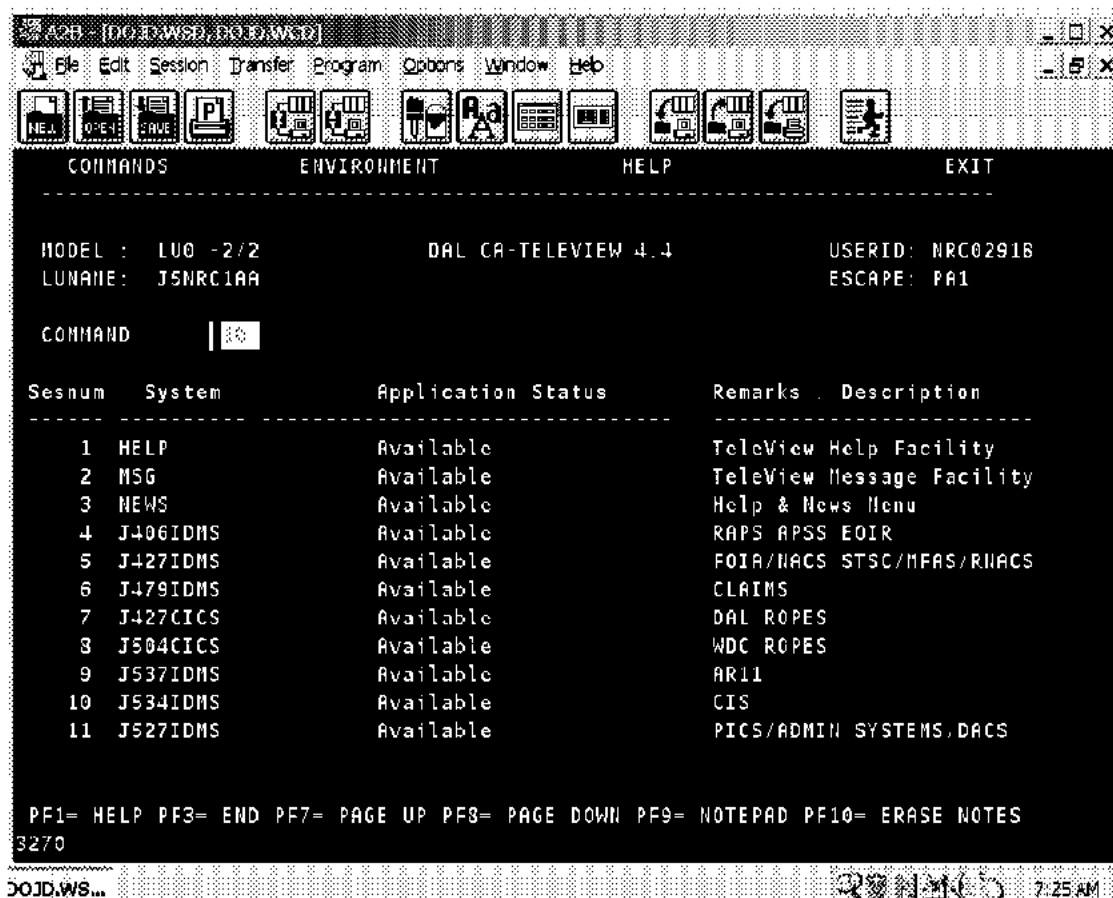
(CIS) is a database used to maintain records, search for records, and display data. CIS is a menu driven system as opposed to a point-and-click graphical user interface system. CIS provides information about persons and information about file location and movement. The CIS user navigates among various screens, depending on the type of information he or she needs. A user may search for a person in CIS by using the a-number, social security number, FBI number or a passport number. CIS provides the option of searching for people using “sounds-like” and exact name searches.

#### 5.1.1 Introduction Screen



This screen is the introduction to TeleView. From this screen use the designated UserID (last 4 digits of Social Security Number plus an alpha) and Password to sign onto the database.

### 5.1.2 TeleView Main Menu



The number selected to access CIS will vary for each computer.

### 5.1.3 CIS Login Screen



This is the screen used to navigate through CIS. Pressing enter can access the main menu for CIS.

### 5.1.4 CIS Main Menu



This screen displays a variety of ways to search for information. The transaction numbers that we use within FOIA are 91, 92, and 95. By typing the number 91 next to select transaction number and pressing enter, another search screen will appear. The main purpose of the “91” transaction number is to search the database for specific information concerning an individual. Transaction number “92” is used to display card information. The transaction number “95” is used mainly to see the location of the A-file.

### 5.1.4.1 Search Menu Screen

CINSEA IMMIGRATION AND NATURALIZATION SERVICE 10/18/05  
COMMAND: CENTRAL INDEX SYSTEM - SEARCH MENU 10:02:06

A#: 00000000 NAME: DOB: 00000000

(01) ID #: (A-AA AB-C/DA/DL/FB-FP/I-PP/SS-TD) OTHER MENU SELECTIONS  
(02) SOUNDS LIKE NAME (92) DATA DISPLAY MENU  
(03) EXACT NAME (93) ADD TRANSACTIONS MENU  
(04) AKA (ALIAS) NAME (94) RECORD MAINTENANCE MENU  
(05) LAPS EXACT NAME (95) FILE TRANSFER SUBSYSTEM MENU  
(06) SOUNDS-LIKE NAME WITH DOB

(11) MANUAL SEARCH REQUEST (MR)  
(12) MANUAL SEARCH RESPONSE (SR)

(15) ON LINE A NUMBER REPORT REQUEST

--- SELECT TRANSACTION NUMBER. PRESS ENTER. FOR ID # SEARCH, KEY THE  
PREFIX AND THE ID # (EG. A123456789).

CLEAR EXIT PF5 HELP PF6 CIS MAIN MENU

3270

Keyboard Input Form CISResourceGuide 9:02 AM

From this search screen a decision is made as to how to begin a search for an individual's records. The most commonly used methods to search for an individual's record are:

#### Code Search By Category

- 01 ID # (A-number, certificate number, social security number, passport number ect.)
- 02 Sounds-Like Name Search
- 03 Exact Name Search
- 04 Alias (AKA) Name Search
- 06 Sounds-Like Name Search with DOB

Type in the two-digit code (01) and press enter. The screen displayed will be the screen where the search for records begins. **\*Note:** Remember to read the screen in its entirety for additional information.

### 5.1.4.2 Search by A-number (9101)

```
CINIDM - [DOE/WSO/DOJ/AGD]
File Edit Session Transfer Program Options Window Help
NEW OPEN SAVE PRINT ...
CINIDM IMMIGRATION AND NATURALIZATION SERVICE 10/18/05
COMMAND: A108 CENTRAL INDEX SYSTEM - ID # SEARCH/DISPLAY 10:02:55
ID # (A/AA/AB/C DA): A#: DOB:
(DL/FB/FP/I PP SS/TD)
LAST: FIRST: NATZ DATE:
MIDDLE: COURT:
ALIASES: LOCATION:
SEX: POE: COB: DOE:
FCO: COA: COC: FATHER:
PFCO: SFCO: DFO: BIN: MOTHER:
SSN: CONSOLIDATED A-NOS --OTHER INFORMATION--
I-94 ADM #:
PASSPORT #:
FBI #:
DRIVER LIC:
FINGER CD#:
OVER KEY ID# TO DISPLAY NEW PERSON. PRESS ENTER. CLEAR EXIT PF1 NEXT CONS A#
PF2 PRIOR CONS A# PF3 REFRESH PF4 RETURN PF5 HELP PF6 MAIN MENU PF8 HISTORY
PF9 EAD PF11 EOIR
3270
Keyboard Input Form CISResourceGuide... 9:03 AM
```

In the ID# field enter the appropriate prefix with information (A = a-number, SS = social security number, PP = passport number, C = naturalization certificate number and I = I-94 number). If there is information in the system on the subject it will populate in the fields below the ID#. Pay special attention to the legend at the bottom of the screen specifically PF8, PF11, and any information listed under (other information). By pressing PF8 the history menu is displayed. This screen holds chronological information about actions that have been taken or changes in the subject's immigration status. The PF11 screen shows EOIR (Executive Office of Immigration Review) information. The significance of this screen is it holds information about ongoing or closed deportation proceedings. In the section of the screen listed (other information) different acronyms may appear such as: CARD, EADS, RAPS and DACS. For additional information on DACS please see Chapter 3.

### 5.1.5 Sounds-Like Name Search (9102)

A2D [DOD-WEB, LDP-WEB]

File Edit Session Transfer Program Options Window Help

NEW OPEN SAVE PRINT FIND

CISND IMMIGRATION AND NATURALIZATION SERVICE 10/18/05  
 COMMAND: 9102 CENTRAL INDEX SYSTEM - "SOUNDS LIKE" SEARCH 10:09:04

\* LAST NAME: (40 CHARS MAX)  
 FIRST NAME: (25-CHARS MAX)

LAST NAME MATCH: (NUMBER OF EXACT CHARACTERS TO MATCH (0-9))  
 FIRST NAME MATCH: (NUMBER OF EXACT CHARACTERS TO MATCH (0-9))  
 PREVIEW NAME: (Y/N)

EXACT DOB: (MMDDYYYY)  
 DOB RANGE: (DATE RANGE = YYYYR; YYYY=YEAR, R=0-9)

COB: (5 CHARACTER COUNTRY CODE)  
 COC: (5-CHARACTER COUNTRY CODE)  
 POE: (3 CHARACTER PORT OF ENTRY CODE)  
 DOE: (MMDDYYYY)  
 COA: (3-CHARACTER CLASS OF ADMISSION CODE)  
 FCO: (3-CHARACTER FILES CONTROL OFFICE CODE)  
 SEX: (M/F)

\*LAST NAME IS REQUIRED FIELD. OTHER FIELDS ARE OPTIONAL.  
 SPECIFY SEARCH CRITERIA, PRESS ENTER TO INITIATE "SOUND LIKE" SEARCH  
 CLEAR EXIT PF3 REFRESH PF4 MENU PF5 HELP PF6 MAIN MENU

3270

taskboard InputForm CISResourceGuide... 9:09 AM

Use the 9102 screen when there could be variations in the spelling of a name. There are times when the person who created the record in CIS misspelled the name. There could be many spelling variations in a name transcribed from a non-Roman alphabet. The \* indicates the minimum amount of information required to search. The search results may be voluminous.

```

A2B [D:\B\W50, D:\W50]
File Edit Session Transfer Program Options Window Help
[Icons]
CINEXA IMMIGRATION AND NATURALIZATION SERVICE 12/15/05
COMMAND: 0103 CENTRAL INDEX SYSTEM - EXACT NAME SEARCH 08:14:21

* LAST NAME: (40-CHARS MAX)
* FIRST NAME: (25 CHARS MAX)

MIDDLE NAME: (25 CHARS MAX)

EXACT DOB: (MMDDYYYY)
DOB RANGE: (DATE RANGE = YYYYR: YYYY=YEAR, R=0-9)

COB: (5 CHARACTER COUNTRY CODE)
COC: (5-CHARACTER COUNTRY CODE)
POE: (3-CHARACTER PORT OF ENTRY CODE)
DOE: (MMDDYYYY)
COA: (3-CHARACTER CLASS OF ADMISSION CODE)
FCO: (3 CHARACTER FILES CONTROL OFFICE CODE)
SEX: (M F)

* LAST NAME AND FIRST NAME ARE REQUIRED FIELDS. OTHERS ARE OPTIONAL.
SPECIFY THE SEARCH CRITERIA, THEN PRESS ENTER TO INITIATE THE SEARCH.
CLEAR EXIT PF3 REFRESH
PF4 MENU PF5 HELP PF6 MAIN MENU PF9 SOUNDS-LIKE SEARCH

```

25

Updated on 8/30/2011



### 5.1.7 Alias (AKA) Name Search (9104)

A2B [DO.D.WSD.DODAWCD]

File Edit Session Transfer Program Options Window Help

CINALI IMMIGRATION AND NATURALIZATION SERVICE 01/30/06  
 COMMAND: 9104 CENTRAL INDEX SYSTEM ALIAS (AKA) NAME SEARCH 12:56:45

AKA/NEE LAST NAME: (40-CHARS MAX)  
 AKA/NEE FIRST NAME: (25-CHARS MAX)

LAST NAME MATCH: (NUMBER OF EXACT CHARACTERS TO MATCH (0-9))  
 FIRST NAME MATCH: (NUMBER OF EXACT CHARACTERS TO MATCH (0-9))

EXACT DOB: (MMDDYYYY)  
 DOB RANGE: (DATE RANGE = YYYYR; YYYY=YEAR, R=0-9)  
 COB: (5 CHARACTER COUNTRY CODE)  
 COC: (5-CHARACTER COUNTRY CODE)  
 POE: (3 CHARACTER PORT OF ENTRY CODE)  
 DOE: (MMDDYYYY)  
 COA: (3-CHARACTER CLASS OF ADMISSION CODE)  
 FCO: (3 CHARACTER FILES CONTROL OFFICE CODE)  
 SEX: (M/F)

YOU MAY REQUEST A SEARCH ON FIRST-NAME-ONLY ALIASES, ON LAST-NAME-ONLY ALIASES,  
 AND ON ALIASES CONTAINING BOTH FIRST AND LAST NAMES. OTHER FIELDS ARE OPTIONAL.  
 SPECIFY THE SEARCH CRITERIA, THEN PRESS ENTER TO BEGIN THE ALIAS NAME SEARCH.

CLEAR EXIT PF3 REFRESH PF4 MENU PF5 HELP PF6 MAIN MENU

3270 RUN OVER

The primary use for the 9104 screen would be to perform a search using any alias information provided in the FOIA request.

### 5.1.8 Sounds Like Name With Date of Birth (DOB) Search (9106)

The screenshot shows a terminal window titled 'CINDSND [DISDRAWSD, DISDRAWCD]'. The menu bar includes 'File', 'Edit', 'Session', 'Transfer', 'Program', 'Options', 'Window', and 'Help'. Below the menu is a toolbar with icons for various functions. The main display area contains the following text:

```
CINDSND          IMMIGRATION AND NATURALIZATION SERVICE          08 03/06
COMMAND: 9106    CENTRAL INDEX SYSTEM  "SOUNDS LIKE" NAME        09:25:07
                  WITH DATE OF BIRTH (DOB) SEARCH

* LAST NAME:                                           (40 CHARS MAX)
* FIRST NAME:                                          (25-CHARS MAX)

EXACT DOB:              (HHDDYYYY; YYYY YEAR; MM MONTH; DD DAY)
DOB YEAR RANGE:         (YYYYR;      R-0-9)
DOB MONTH RANGE:        (YYYYMMRR;   RR 0 12)
DOB DAY RANGE:          (YYYYHMDRR;  RR 0 31)

LAST NAME MATCH:        (NUMBER OF EXACT CHARACTERS TO MATCH (0-9))
FIRST NAME MATCH:       (NUMBER OF EXACT CHARACTERS TO MATCH (0-9))

COB:      (COUNTRY CODE)      COA:      (CLASS OF ADMISSION CODE)
COC:      (COUNTRY OF CITIZENSHIP)  FCO:      (FILES CONTROL OFFICE CODE)
POE:      (PORT OF ENTRY CODE)    SEX:      (M/F)
DOE:      (HHDDYYYY)

* LAST NAME, FIRST NAME AND ONE OF THE DOBS ARE REQUIRED. REMAINING FIELDS ARE
  OPTIONAL. SPECIFY SEARCH CRITERIA. THEN PRESS ENTER TO INITIATE THE SEARCH.
  CLEAR EXIT  PF3 REFRESH  PF4 MENU  PF5 HELP  PF6 MAIN MENU

3270
```

At the bottom right of the terminal window, the text 'NUM OVR' is visible.

The 9106 screen allows searches for information pertaining to the subject of the request even if the spelling of the name is incorrect. For example, the requestor made a typographical error in the spelling of the name the search results will yield a list of similar names matching the subjects.

### 5.1.9 Card Search (9222)

```

A2B [DHSD3.WSD, DHSD3.WCD]
File Edit Session Transfer Program Options Window Help
[Icons]
CINCARD IMMIGRATION AND NATURALIZATION SERVICE 08/01/06
COMMAND: 9222 CENTRAL INDEX SYSTEM - ARR/BC CARD DISPLAY (CARD) 08:22:32

A#: 0 NAME: TAYLOR, FRANCIS DOB: 0809

LEGAL PERMANENT RESIDENT

CARD NAME: TAYLOR, FRANCIS E. BIRTHDATE:
INS A# 0 CARD# SRCO
CATEGORY: PERMANENT RESIDENT SINCE: 12/12/2005
SEX: CARD EXPIRES: 02/22/2016
COB:

C1 USA SRCO
TAYLOR<FRANCIS<EDWIN<<<<<<<

MOTHER'S NAME: EDWINA FATHER'S NAME: ZACHIOUS
CARD PORT OF ENTRY: BAL

CLEAR EXIT PF4 DISPLAY MENU PF5 HELP PF6 MAIN MENU PF7 CARD HISTORY
3270
NUM OVR

```

The 9222 screen is a snapshot of an actual Legal Permanent Resident (LPR) Card. In addition, this is the same screen to find Border Crossing Card information.

### 5.1.10 File Transfer Display (9504)

```
AMB [DISD]AND [DISD]AWCD
File Edit Session Transfer Program Options Window Help
[Icons]
CIMFTD IMMIGRATION AND NATURALIZATION SERVICE 08/01/06
COMMAND: 9504 CIS FILE TRANSFER DISPLAY (FTD) 11:33:03
A#: [REDACTED] NAME: TAYLOR FRANCIS DOB: [REDACTED]
PREVIOUS FCO: BAL FCO CREATING SUB-FILE:
CURRENT FCO: NRC SUB-FILE CREATION IND:
REQUEST FCO: NRC
FILE LOCATED IND: C (FILE TRANSFER COMPLETE)
DATE FTR: 01242006 (MMDDYYYY) ACCESSION NUMBER: 0000
DATE FTI: 01242006 INS BOX NUMBER:
DATE FTC: 02022006
PERSON ACTION: REQUEST NUMBER:
2ND REQUEST DATE:
3RD REQUEST DATE:
YOU MAY REQUEST A DISPLAY OF ANOTHER A-FILE BY KEYING A DIFFERENT A-NUMBER.
CLEAR EXIT PF3 REFRESH PF4 FTS MENU PF5 HELP PF6 CIS MAIN MENU
3270
NUM OVR
```

The main purpose of the 9504 screen is to check the location and movement of files. This screen's primary use as it relates to FOIA is that it will be used in conjunction with NFTS in the case create function. The following is a list of acronyms displayed on this screen.

FTR: File Transfer Request  
FTI: File Transfer Initiated  
FTC: File Transfer Complete

### 5.1.11 Tables



The **Tables** section contains a wealth of informational codes that can be of assistance in making a decision about the subject of the request, such as **Class of Admission**. To get to this screen select the “keyboard” from the toolbar at the top of the screen and click the clear button on the keyboard. Once this is done type in the word **tables**. The next screen displayed will be the **Tables Menu Screen**.

### 5.1.12 Tables Menu



Placing the cursor in the **Table ID** field and pressing the function key PF7 a list of tables is displayed.

### 5.1.13 Tables Information Screen

```

A2B [DBSD3.WSD DBSD3.WCD]
File Edit Session Transfer Program Options Window Help
[Icons]
TBXTBINF      INS STANDARD TABLES DATABASE FACILITY      PAGE 09:15:06
                  TABLE INFORMATION SCREEN                  0001 08:46:07

COMMAND      (SELNU, VADAD, LODAD, VAINF, OR LOINF)

SEL ONE      TABLE ID      TABLE TYPE      TABLE DESCRIPTION

ADFX [ ] VAL [ ] ADJUSTMENT OF STATUS CODES
AFAC [ ] VAL [ ] CIS/AFAC FCO CODE TABLE
AIRX [ ] LOC [ ] INTERNATIONAL/MUNICIPAL AIRPORTS
ASC [ ] LOC [ ] APPLICATION SUPPORT CENTERS
ASIL [ ] LOC [ ] ASYLUM INTERVIEW OFFICES
ASYL [ ] LOC [ ] ASYLUM OFFICES
BPHQ [ ] LOC [ ] HEADQUARTERS
BPHX [ ] VAL [ ] BORDER PATROL SECTOR CODES
BPSH [ ] LOC [ ] BORDER PATROL SECTOR HEADQTRS
BPST [ ] LOC [ ] BORDER PATROL STATIONS
BPSX [ ] VAL [ ] BORDER PATROL STATION CODES
CCDI [ ] VAL [ ] INS/DOS USCS COUNTRY CODE DISCREPS

PF1 PF2 PF4 PF6 PF8
PGFRWD PGBWRD PREV SCN MENU EXIT

TB100043 SELECT ONE RECORD OR TRY OTHER FUNCTIONS
3270
NUM OVR
  
```

The tables are in alphabetical order. Place an X in the "SEL ONE" column and press enter and this will bring up a list of different codes.

### 5.1.14 Value Tables Browse Screen

TBXVAINF      INS STANDARD TABLES DATABASE FACILITY      PAGE 09/15/06  
 VALUE TABLES BROWSE SCREEN      0014 08:56:10

COMMAND (SELNU, VADAD, LODAD, TBINF, OR LOINF)

TABLE-ID: ADJX      TABLE DESC: ADJUSTMENT OF STATUS CODES

SEL	SEARCH VALUE	VALID CODE	TABLE TEXT
IB7		IB7	SLF-PETITION CHILD OF USC
IB8		IB8	CHILD OF IB6
IC6		IC6	INDOCHINESE REFUGEE
IC7		IC7	SPS CH INDCHN REF NOT QUA SEC
ID6		ID6	INDOCHINESE PAROLEE
IF1		IF1	ALIEN REC ADM FOR PER RES CREA
IF2		IF2	MINOR CHILD OF IF1 ALIEN
IR0		IR0	PARENT OF U. S. CITIZEN
IR6		IR6	SPOUSE OF CITIZEN
IR7		IR7	CHILD OF CITIZEN
IR8		IR8	ORPHAN ADOPTED ABROAD BY CITZ

PF1      PF2      PF4      PF6      PF8  
 PGFWRD   PGBWRD   PREV SCN   MENU   EXIT

TB100043      SELECT ONE RECORD OR TRY OTHER FUNCTIONS  
 3270

Read the screen in its entirety for navigation instruction and additional information.



## 5.2. Computer Linked Application Information Management System

### 5.2.1 Introduction

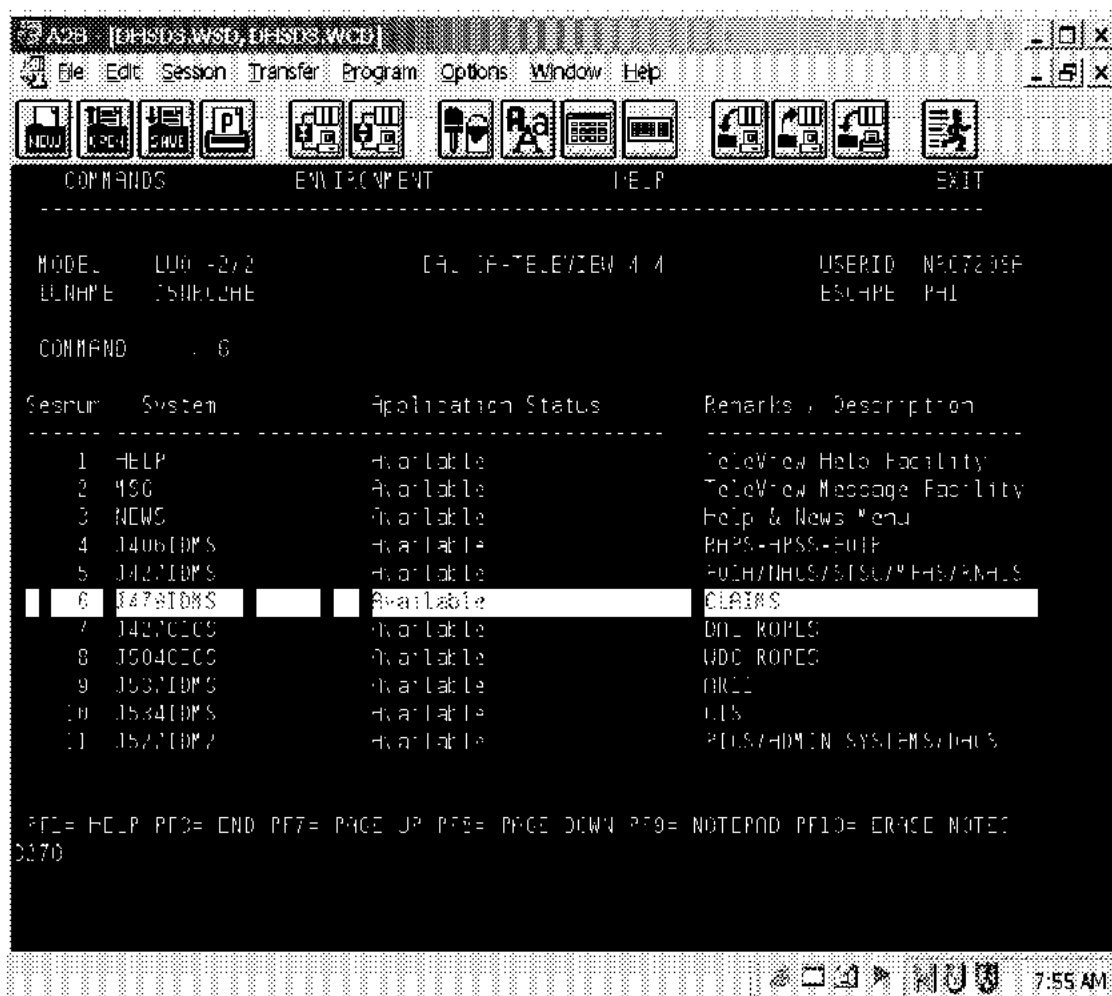
The Computer Linked Application Information Management System (CLAIMS) tracks application and petitions. CLAIMS is a menu driven system. The Inquiry/Update Processing selection on the menu is the only menu NRC FOIA uses because we search for receipts but never modify information in CLAIMS.

### 5.2.2 Teleview Introduction Screen



This screen is the introduction to TeleView. From this screen, use the designated UserID (NRC####A) and Password to sign onto the database.

### 5.2.3 CLAIMS Selection Screen



The number selected to access CLAIMS can vary for each computer.

## 5.2.4 CLAIMS Function Screen



After selecting CLAIMS from the main menu, you will see the screen print shown above. Type in claims and press enter. This screen is not case sensitive.

```

      ASCII [PCNIST8.VIEW.NRSTC.MEN]
File Edit Session Transfer Program Options Window Help
NEW OPEN SAVE PRINT COPY PASTE FINDER HELP MAILBOX
FORN NEWS          CLAIMS MAINFRAME SYSTEM        12/16/2005
                                NEWS SCREEN         08:59

WELCOME TO THE COMPUTER LINKED APPLICATION INFORMATION MANAGEMENT SYSTEM

[ C O M E N T S ]
*****
*****
*****
*****
*****
*****
*****
*****

PRESS ENTER TO LOGON OR RETURN TO EXIT

PFE
LOGOFF

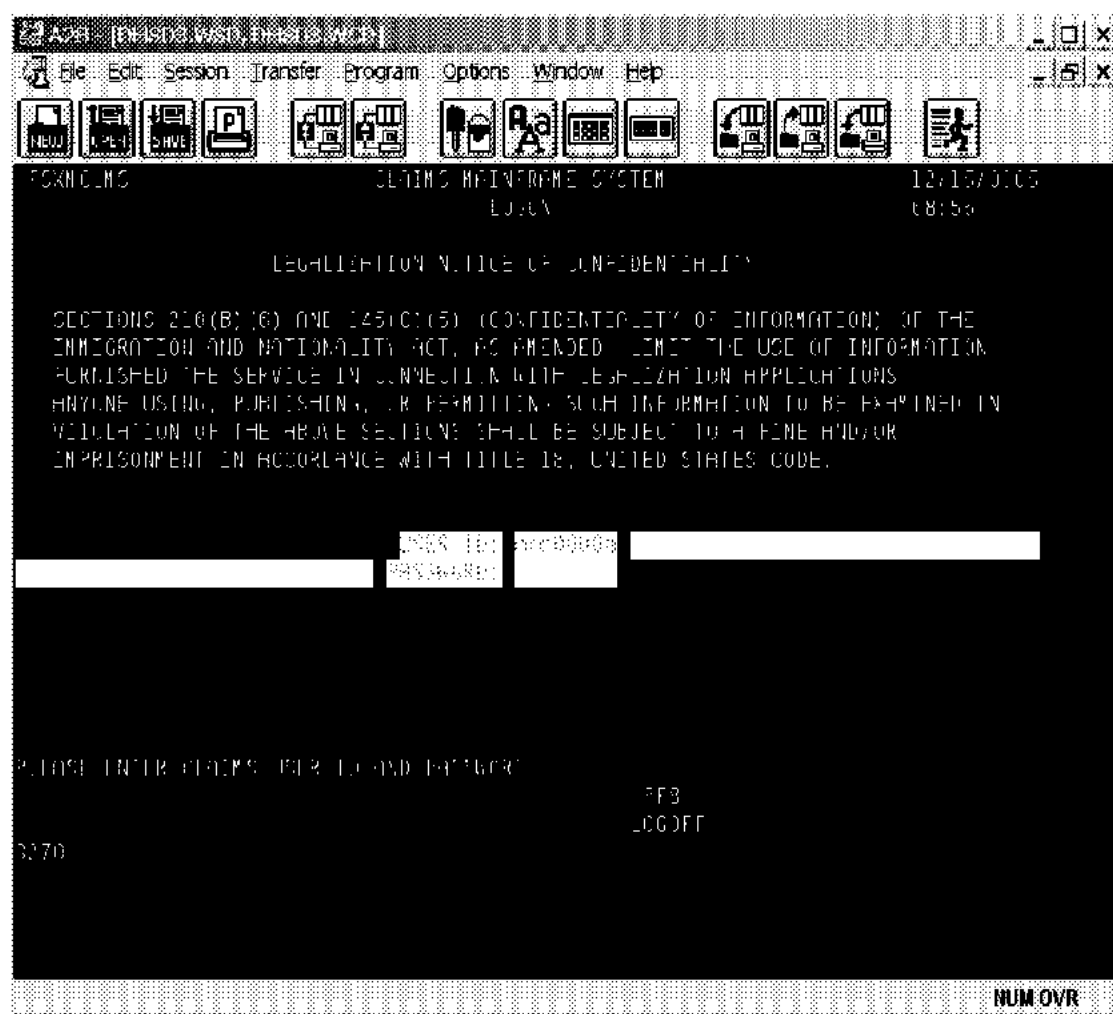
0270
NUM OVRR
```

37

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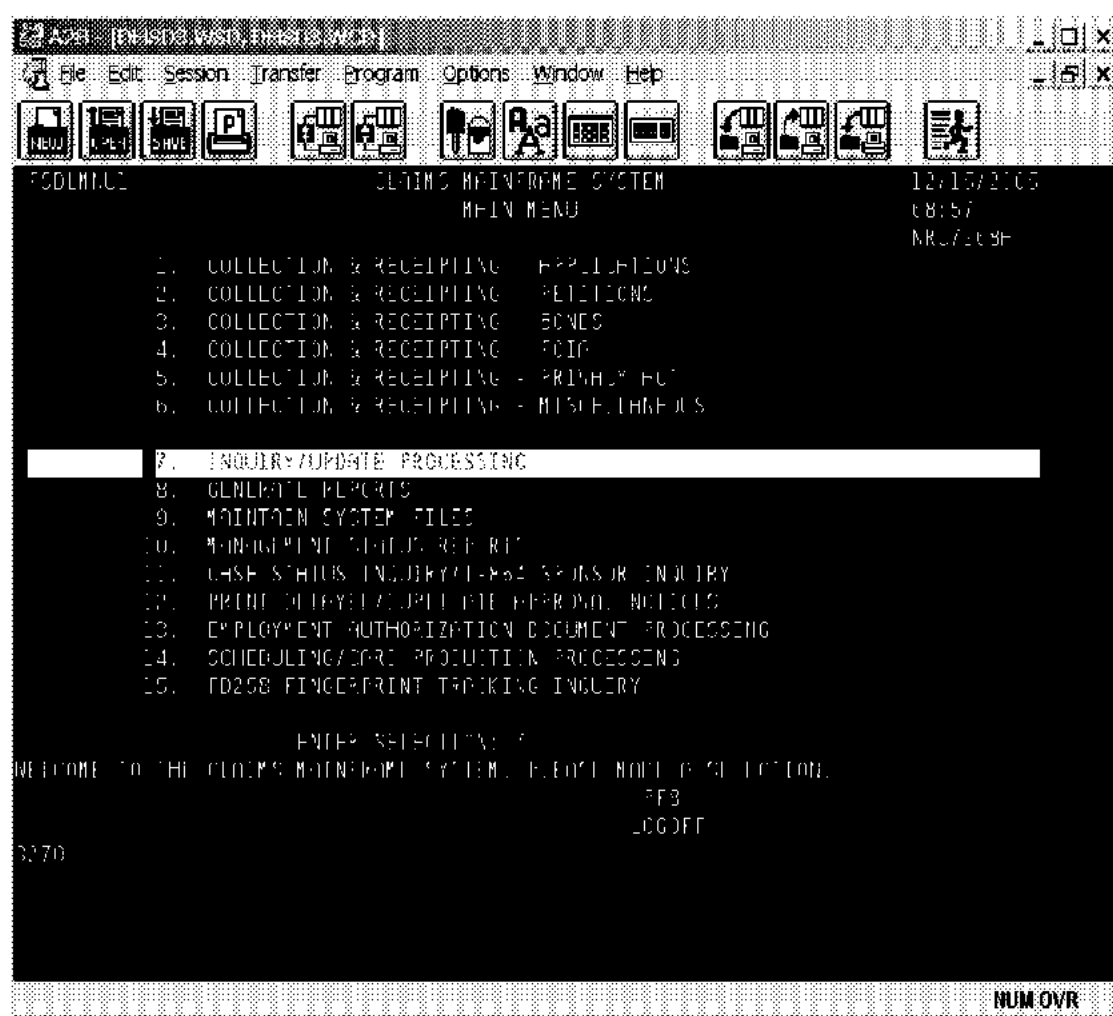
AILA Doc. No. 16102838. (Posted 10/28/16)

## 5.2.6 CLAIMS Logon Screen



To logon, your USER ID will be NRC and the last 4 digits of your social security number followed by a letter (NRC1234A). Check with your supervisor for your password.

## 5.2.7 CLAIMS Main Menu Screen



From the Main Menu type the number for INQUIRY/UPDATE PROCESSING and press enter.

### 5.2.8 Inquiry Screen, searching with a Receipt Number

A2B [DHS03.WCD, DHS03.WCD]  
 File Edit Session Transfer Program Options Window Help  
 NEW OPEN SAVE [Icons]  
 PSXNIPNL CLAIMS MAINFRAME SYSTEM 12/15/2005  
 UPDATE PROCESSING MENU 08:59  
 NR17009F  
 SELECT AND COMPLETE ONE LINE  
 1 RECEIPT NO.: 81000000000000000000  
 (SELECTIONS BELOW FOR APPLICATIONS AND PETITIONS ONLY)  
 2 USER ID: DATE MONTHLY  
 3 BENEFICIARY/APPLICANT  
 NAME (LAST) (FIRST)  
 BIRTH DATE (MMDDYY)  
 4 A NUMBER: A  
 5 REFERENCE NO.:  
 6 PETITIONER  
 NAME (LAST) (FIRST)  
 PF2 PF6 PF8 PF10 PF11 PF12  
 CANCEL MAIN MENU LOGOFF REMOTE HOT JPD BY CODE HOT JPD BY RPT  
 3270  
 NUM OVR

On the Inquiry screen, there are several ways to search for records. If you know the receipt number, type the number under the first field to pull up the receipt information.

### 5.2.9 Searching CLAIMS using a Name and Date of Birth

A2B [DHS03.WCD, DHS03.WCD]  
 File Edit Session Transfer Program Options Window Help  
 NEW OPEN SAVE [Icons]  
 PSXNIPNL CLAIMS MAINFRAME SYSTEM 02/07/2005  
 UPDATE PROCESSING MENU 09:18  
 NR17109F  
 SELECT AND COMPLETE ONE LINE  
 1 RECEIPT NO.  
 (SELECTIONS BELOW FOR APPLICATIONS AND PETITIONS ONLY)  
 2 USER ID: DATE MONTHLY)  
 3 BENEFICIARY/APPLICANT  
 NAME (LAST): [REDACTED] (FIRST): [REDACTED]  
 BIRTH DATE: [REDACTED] (MMDDCCYY)  
 4 A NUMBER: A  
 5 REFERENCE NO.:  
 6 PETITIONER  
 NAME (LAST) (FIRST)  
 PF1 PF6 PF8 PF10 PF11 PF12  
 CANCEL MAIN MENU LOGOFF REMOTE HOT JPD BY CODE HOT JPD BY RPT  
 3270  
 NUM OVR

You may also search name and birth date. CLAIMS does not forgive spelling errors and will not conduct “sounds-like” searches. If you do not immediately find a receipt, you should also search by alias names and variations of the name. You may also search without the birth date. This may have the results you are looking for depending on how common the name of the subject. Searching using the birth date will narrow the findings.



(b)(6)

FILED 02/21/2007

File Edit Session Transfer Program Options Window Help

RECEIPT NBR LAST NAME FE FORM FEE AMT REC DATE

1.			7	193	183.33	02/17/2007
2.			7	1130	183.33	02/14/2007
3.			7	1555	223.33	02/14/2007
4.			7	1765	183.33	02/11/2007
5.			7	1485	353.33	02/11/2007
6.			7	1179	1183.33	01/04/2007
7.			7	031550		
8.			7	193		02/13/2007
9.			7	1765		02/08/2007
10.			7	1485		02/08/2007
11.			7	1120	193.33	09/05/2006
12.			7	1130	193.33	02/12/2007
13.			7	103	193.33	02/12/2007
14.			7	1485		02/09/2007
15.			7	193		02/09/2007
16.			7	193	193.33	01/17/2007

TYPE IN SELECTION:

PF1 PG Fwd PF2 PG BACK PF3 CANCEL PF4 PRIOR MENU PF5 MAIN MENU PF6 LOCOFF

12/0

NUM OVR

If your subject has a very common name, the inquiry may result in several pages of matches. View the screen pertaining to the individual receipt number or look for the type of form. It will show detailed information relating to that specific receipt number. To view the detailed information, type the corresponding number at the bottom of the screen labeled "TYPE IN SELECTION." For example, if you type "3", the detailed information relating to receipt number SRC0710351687 will be displayed.

### 5.2.10 Searching with the A-Number

```

A2B [DHSDS.WSD, DHSDS.WCD]
File Edit Session Transfer Program Options Window Help
NEW OPEN SAVE PRINT F1 F2 F3 F4 F5 F6 F7 F8 F9 F10 F11 F12
PSKIMPL CLAIMS MAINFRAME SYSTEM 02/07/2003
UPDATE PROCESSING MENU 09:13
NR07109F

SELECT AND COMPLETE ONE LINE

1 RECEIPT NO.
   (SELECTIONS BELOW FOR APPLICATIONS AND PETITIONS ONLY)

2 USER ID: DATE MONTH(Y)
3 BENEFICIARY/APPLICANT
  NAME (LAST) (FIRST)
  BIRTH DATE (MMDDCCYY)

4 A NUMBER: [REDACTED]

5 REFERENCE NO.:

6 PETITIONER
  NAME (LAST) (FIRST)

PF3 PF6 PF8 PF10 PF11 PF12
CANCEL MAIN MENU LOGOFF REMOTE FCT UPD BY CODE HOT UPD BY RUP1
3370
NUM OVR

```

You may search by A-number. Navigate through these fields by tabbing, or to go backwards, use Shift-Tab. CLAIMS used to allow adjudicating officers to enter alien numbers as an eight-digit number without a leading zero. Ordinarily you should enter a leading zero immediately following the letter A (in purple on this screen) and then enter the rest of the A-number. If you do not find what you need, try deleting the zero immediately after the "A." If the person has a nine digit A-number, you will not have to worry about it. Note: if you search by A-number, it may not show every receipt belonging to the person, so you may still have to search by name and date of birth or by petitioner's name.

### 5.2.11 Searching with the Petitioner's Name

FOXNIPNL JPRS MAINFRAME SYSTEM 02/07/2006  
UPDATE PROCESSING MENU 09:16  
NRJ7009H

SELECT AND COMPLETE ONE LINE

1 RECEIPT NO.

(SELECTIONS BELOW FOR APPLICATIONS AND PETITIONS ONLY)

2 USER ID: DATE MONTH(JY)

3 BENEFICIARY/APPLICANT NAME (LAST) (FIRST)  
BIRTH DATE (MMDDYY)

4 ID NUMBER: (0)

5 REFERENCE NO.:

6 PETITIONER NAME (LAST) (FIRST)

PF3 CANCEL PF6 MAIN MENU PF8 LOGOFF PF10 REWITE PF11 PET UPD BY CODE PF12 ACT UPD BY REPT

3270

NUM OVR

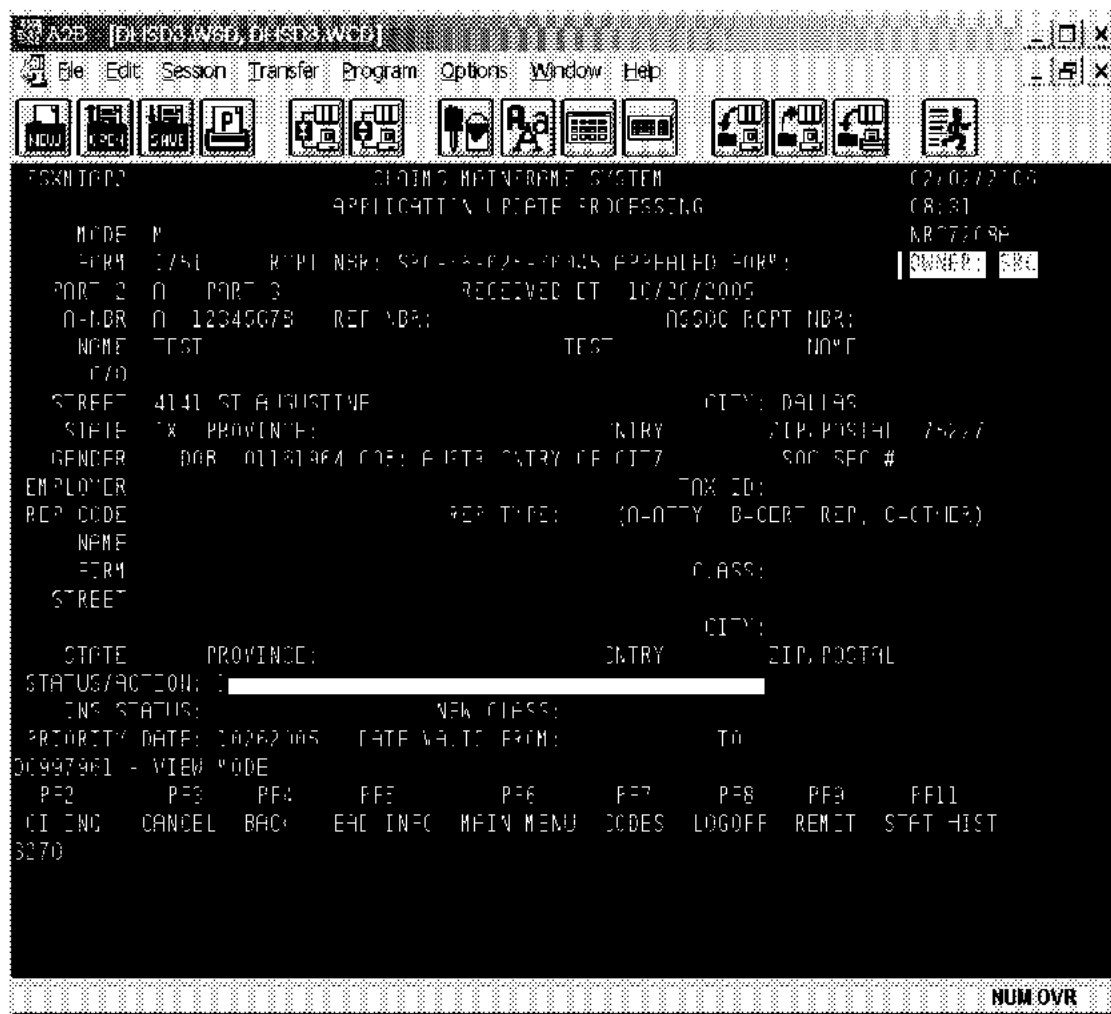
You may search by using the petitioner's name, but be forewarned: if the petitioner has a very common name, the results of this search may be overwhelmingly voluminous.

### 5.2.12 Search Results

The screen print below is the result of a search. The receipt shown is for an I-751, Petition to Remove Conditions on Residence.

A28 [01/20/2005 10:00:00 AM]  
 File Edit Session Transfer Program Options Window Help  
 [Icons]  
 CLAIMS MATTERNAME SYSTEM  
 APPLICATION UPDATE PROCESSING  
 07/07/2005  
 08:31  
 NAME: ERO  
 MODE: M  
 FORM: I751 REPT NBR: SAC-16-021-10045 APPEALED FORM:  
 PART 2: 0 PART 3: RECEIVED ET 10/20/2005  
 A-NBR: A 12345678 REF NBR: ASSOC REPT NBR:  
 NAME: TEST TEST NAME:  
 C/D:  
 STREET: 4141 ST AUGUSTINE CITY: DALLAS  
 STATE: TX PROVINCE: ENTRY: ZIP, POSTAL: 75217  
 GENDER: BOB 01181904 COB: JUSTA ENTRY OF CITZ SOC SEC #  
 EMPLOYER: TAX ID:  
 REP CODE: REP TYPE: (A=ATTY B=CEBT REP C=OTHER)  
 NAME:  
 FORM: CLASS:  
 STREET: CITY:  
 STATE: PROVINCE: ENTRY: ZIP, POSTAL:  
 STATUS/ACTION: \_\_\_\_\_  
 INS STATUS: NEW CLASS:  
 PRIORITY DATE: 10/26/2005 DATE VAL TO FROM: TO  
 00997961 - VIEW NAME  
 PEF PEF PEF PEF PEF PEF PEF PEF PEF  
 CI INC CANCEL BACK ERO INFO MAIN MENU CODES LOGOFF REMIT STAT HIST  
 0070  
 NUM OVR

The receipt information gives the name, date of birth, A-number and address. The status of the receipt file is near the bottom of the screen. (STATUS/ACTION: IBS1)



The top right corner of the screen shows the owner of the file, this may help in determining where to request the receipt file, especially if the receipt information is not in NFTS. This receipt begins with SRC, but that does not matter for staffing – the OWNER would be where you staff.

50 A2B [D:\SD3.WEB, D:\SD3.WEB]

File Edit Session Transfer Program Options Window Help

NOU OPEN SAVE P [Icons]

LOGOFF: CHANGING MAINFRAME SYSTEM 02/06/2005 08:33 NR77708F

PAGE: 1 OF 1 CASE HISTORY

RECEIPT DATE 10/26/2005 RECEIPT NUMBER SRC-06-005-00045

ACTION CODE	ACTION DATE	USER ID
APR DELETED	10/26/2005	SR99WEP
APR [REDACTED]	10/31/2005	ESTHIEP

PRESS PF1 OR ENTER TO RETURN TO PREVIOUS SCREEN

PF1	PF2	PF4	PF6	PF7	PF8	PF11
PG FWD	PG BACK	RETURN	MAIN MENU	CODES	LOGOFF	AUDIT

3270

NUM OVR

(b)(7)(e)

By pressing F11, you may view the history screen. From this screen, we can see the status of the application/petition. If the petition has been approved, destroyed, or transferred, it may make a difference as to how we staff.

### 5.2.13 Beneficiary Petition for Non Immigrant Worker

A2B [DHSD3.WCD, DHSD3.WCD]  
 File Edit Session Transfer Program Options Window Help  
 NEW OPEN SAVE [Icons]  
 PSXNIPTE CLAIMS MAINFRAME SYSTEM 02/02/2003 18:37  
 PETITION UPDATE PROCESSING NR17109F  
 MODE L RECEIPT NBR: EF103.8652091 OWNED BY: EFC  
 FORM I129 RECEIVED DATE: 01/20/2003 REMOTE TO:  
 PART 2 H PART 3 H APPEARED FORM: DSSDC RPT NBR:  
 REF NBR PETITIONER TEST TEST TEST  
 H1 IN PRE CERT  
 STREET CITY: ENOSBURG HILLS  
 STATE VT PROVINCE: ENTRY ZIP/POSTAL 05456  
 DOB DOB: B10 011 NER R NBR:  
 EMPLOYER TEST TAX ID:  
 CONSULT FILE: CUNSS: PREFERENCE: 151  
 NBR BENF 1 COA:  
 STATUS/ACTION: PAB PREMIUM PROCESSING CLOCK STOPPED  
 PRIORITY DATE: DATE FIELD FROM: 00000000 TO:  
 REF REF REF REF REF REF REF REF REF REF REF  
 BENF C1 IND CANCEL PMV MEN EHC MCHN MEN CODES LOGOFF REV11 REPR HIST  
 3270  
 NUM OVR

On an I-129 petition, the petitioner's information is on the first screen you pull up after you enter or select the receipt number.

```

  APPS  [F11908] [F11908] [F11908]
  File Edit Session Transfer Program Options Window Help
  [NEW] [OPEN] [SAVE] [PRINT] [F11908] [F11908] [F11908] [F11908] [F11908] [F11908] [F11908] [F11908]
  FORNATS          CLAIMS MAINFRAME SYSTEM          02/01/2005
          1-129 HLB BENE-1.144Y CASE INFORMATION          08:37
          NR07103H
  RPT NBR      EHC0308652101
  RETRIER      TESTI                                TESTI                                TESTI
  NAME         TESTI                                TESTI                                TESTI
  L70
  STREET
  STATE
  PROVINCE:
  COUNTRY
  ZIP POSTAL
  DOB 10081974 COB: NJPFC          SOC SEI NER          A NBR: A
  COI          1 64 #?          EXPIRES:
  CONSNT
  FEE:          CLASS: 1B1          JOB CODE:
  EDUCATION CODE:          COMPENSATION:          BOND OF FIDELITY PROVIDED BY
  FIELD OF STUDY:          MAJOR CODE:
  J 1 WOWER?          H 10 ELIGIBLE 6 YRS?          PREVIOUS EMPLOYER EXEMPT?
  DECISION          DECISION DATE:          WAIVED FROM 00000000 TO
  BENEFIARY DISPLAYED
  PF2          PF4
  CE END          RETURN
  3370
  NUM OVR

```

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Updated on 8/30/2011



To view the history, press the F4 key to return to the previous screen, and enter F11.

A2B [DHSD3.WCD, DHSD3.WCD]

File Edit Session Transfer Program Options Window Help

NEW OPEN SAVE PRINT [Data Management Icons]

ESXNHST CLAIMS MAINFRAME SYSTEM 02/07/2003  
PAGE: 1 OF 1 CASE HISTORY 08:38  
NR17109F

RECEIPT DATE 01/24/2003 RECEIPT NUMBER EHC 03 086 50191

ACTION CODE	ACTION DATE	USER ID
FBH RECEIVED - FEE WAIVED	01242003	EHCCLN01
FE DATA CHANGE	01242003	EHCCLN01
FOO PREMIUM PROCESSING CLOCK DATE CHANGED	01242003	EHCCLN01
FO CODE MARKED AS PREMIUM PROCESSING	01242003	EHCCLN01
FOO PREMIUM PROCESSING CLOCK STARTED	01242003	EHCCLN01
FO HOLD PRIOR ACTION	01242003	EHCCLN01
FAB PREMIUM PROCESSING CLOCK STOPPED	01242003	EHCCLN01

PRESS PF1 OR ENTER TO RETURN TO PREVIOUS SCREEN

PF1	PF2	PF4	PF6	PF7	PF8	PF11
PG END	PG BACK	RETURN	MAIN MENU	CODES	LOGOFF	AUDIT

3270

NUM OVR

50 A2B [D:\SD3.WEB, D:\SD3.WEB]

File Edit Session Transfer Program Options Window Help

NEW OPEN SAVE PRINT F1 F2 F3 F4 F5 F6 F7 F8 F9

ESSENTIALS SEARCHING PARTNERFILE SYSTEM 02/29/2015  
 INDUSTRY/UPDATE RECEIPT LIST 12:44  
 NR77708F

	RECEIPT	USER	LAST NAME	FI	FORM	FFB AMT	FFB DATE
1	MEM9804400001	TEST		T	1751	125.00	12/01/1988
2	JFKF031310000	TEST		T	1765		02/08/2010
3	NCL0601000002	TEST		T	1193		10/18/2010
4	JFKF031310004	TEST		T	1765		02/08/2010
5	OPAA052110004	TEST		T	1765		04/19/2010
6	SP04914742001	TEST		T	05155H		02/11/1999
7	MEM0000100001	TEST		T	1102		10/01/1989
8	NCL0018700005	TEST		T	1103		04/07/2010
9	NCL0302400012	TEST		T	1193		10/24/2012
10	MEM9806600001	TEST		T	190		01/08/1989
11	OPAA051690016	TEST		T	1765		03/18/2010
12	JFKF031310005	TEST		T	1765		02/08/2010
13	OPAA052110005	TEST		T	1765		04/19/2010
14	NCL0004300005	TEST		T	1193		11/15/2010
15	OPAA052110010	TEST		T	1765		04/29/2010
16	OPW9812100001	TEST		T	1400	95.00	01/29/1988

TYPE IN SELECTION

PF1 PF2 PF3 PF4 PF5 PF6  
 PG FWD PG BACK CANCEL PRIOR MENU MAIN MENU LOGOFF

3270

NUM OVR

There may be numerous results on a name search. Press F1 to see the results of the next page. To view number 10 on page 2 of the results, enter "10." To go back to the results of the search, press F4. The screen always returns to the first page of the search results. Remember this if you are going through the results page by page.

### 5.3. National File Tracking System (NFTS)

NFTS is an automated system that enables USCIS to track and account for nearly 50 million Alien Files (A-Files) and Receipt Files. NFTS allows for local control of all files within a designated USCIS File Control Office (FCO) or Case Control Office (CCO). The system supports the file migration from the USCIS field offices to facilitate a national tracking system that supports the National Records Center (NRC) and a centralization of agency records. You will learn much more about using NFTS in the Staffing section of this guide.

## 5.4. Person Centric Query Service (PCQS)

PCQS is an automated system that allows a person to submit a single query for all transactions involving an immigrant across a number of USCIS and Department of State (DoS) systems. PCQS returns a consolidated view of the immigrant's past interactions with USCIS and the Department of State as he or she passed through the U.S. immigration system.

Since PCQS can give us a comprehensive overview of a person's immigration history, it can help us locate certain documents to request, for instance, we may find information about an archived receipt in PCQS that we would not find in CLAIMS. You do not have to log in to PCQS to read the PCQS User Guide. Simply go to <https://pcq.esb.uscis.dhs.gov/> and click on the Users Guide link below the Warning.

The image shows two screenshots of the PCQS search interface. The top screenshot has callouts: 1 points to the 'Person Centric Query Service' header, 2 points to the 'Search Criteria' dropdown menu, 3 points to the 'Select All' checkbox, and 4 points to the 'Search' button. The bottom screenshot has callouts: 1 points to the 'Person Centric Query Service' header, 2 points to the 'Last Name' field, 3 points to the 'Select All' checkbox, and 4 points to the 'Search' button. Both screenshots show a grid of checkboxes for various search criteria, including AR1A, CLAIMS 2 NYS, CLAIMS 4, CLAIMS 1, CLAIMS 3, CLAIMS 5, CLAIMS 6, CLAIMS 7, CLAIMS 8, CLAIMS 9, CLAIMS 10, CLAIMS 11, CLAIMS 12, CLAIMS 13, CLAIMS 14, CLAIMS 15, CLAIMS 16, CLAIMS 17, CLAIMS 18, CLAIMS 19, CLAIMS 20, CLAIMS 21, CLAIMS 22, CLAIMS 23, CLAIMS 24, CLAIMS 25, CLAIMS 26, CLAIMS 27, CLAIMS 28, CLAIMS 29, CLAIMS 30, CLAIMS 31, CLAIMS 32, CLAIMS 33, CLAIMS 34, CLAIMS 35, CLAIMS 36, CLAIMS 37, CLAIMS 38, CLAIMS 39, CLAIMS 40, CLAIMS 41, CLAIMS 42, CLAIMS 43, CLAIMS 44, CLAIMS 45, CLAIMS 46, CLAIMS 47, CLAIMS 48, CLAIMS 49, CLAIMS 50, CLAIMS 51, CLAIMS 52, CLAIMS 53, CLAIMS 54, CLAIMS 55, CLAIMS 56, CLAIMS 57, CLAIMS 58, CLAIMS 59, CLAIMS 60, CLAIMS 61, CLAIMS 62, CLAIMS 63, CLAIMS 64, CLAIMS 65, CLAIMS 66, CLAIMS 67, CLAIMS 68, CLAIMS 69, CLAIMS 70, CLAIMS 71, CLAIMS 72, CLAIMS 73, CLAIMS 74, CLAIMS 75, CLAIMS 76, CLAIMS 77, CLAIMS 78, CLAIMS 79, CLAIMS 80, CLAIMS 81, CLAIMS 82, CLAIMS 83, CLAIMS 84, CLAIMS 85, CLAIMS 86, CLAIMS 87, CLAIMS 88, CLAIMS 89, CLAIMS 90, CLAIMS 91, CLAIMS 92, CLAIMS 93, CLAIMS 94, CLAIMS 95, CLAIMS 96, CLAIMS 97, CLAIMS 98, CLAIMS 99, CLAIMS 100. The bottom screenshot also shows fields for 'First Name', 'Date of Birth', and 'Range'.

## 5.5. FOIA/PA Information Processing System (FIPS)

The Freedom of Information Processing System (FIPS) is an automated system that allows us to process FOIA/PA requests electronically. This automated system enables the scanning of paper files into electronic images. These images are easily stored, retrieved, and processed. FIPS provides workflow processing for the life of a case. Any time you do any transaction concerning a FOIA/PA case, it will be through FIPS.

Processing		Fee Information	
Office: NRC	NRC2008000157	Status: Open Case Processor 2 p3test	Web Entry
Received: 6/25/2008	Scanned: 06/25/2008	Created: 6/26/2008	Final Reply Due: 07/25/2008
<b>Requester Information</b> Abner Doubleday 1 Hall of Fame Drive Cooperstown NY 12345 987-654-3210 <a href="#">Edit Requester</a> <a href="#">Change Requester</a>			
<b>Subject Information</b> First: Jessica Middle: Marie Last: Powell A-Number: 987654321 Topic: Border Patrol Apprehension Data			
Track: 2	Bureau: CIS	<input type="checkbox"/> Print To CD <input type="checkbox"/> PA Cited <input type="checkbox"/> In Litigation <input type="checkbox"/> In Circular Search <input type="checkbox"/> Delinquent	
Type: FOIA Request	Referred From: ....		
Source: Self	Expedited: Not Requested		
Category: Alien File	Fee Waiver: Not Requested		
Calculate Queue Position <input type="button" value="Save"/>			

<u>Type of request</u>	<u>Source</u>	<u>Track 1, 2 or 3</u>	<u>Category</u>	<u>Print to CD</u>
<ul style="list-style-type: none"> <li>Always FOIA</li> </ul>	<ul style="list-style-type: none"> <li>Attorney</li> <li>Commercial</li> <li>Education/Scientific</li> <li>Foreign Government</li> <li>News Media</li> <li>Others</li> <li>Representative</li> <li>Self</li> <li>White House/Congressional</li> </ul>		<ul style="list-style-type: none"> <li>Alien File</li> <li>Asylum</li> <li>Specific Documents</li> <li>Non A-File Material</li> <li>Personnel</li> <li>Special Interest Group</li> <li>SFR cases at NRC</li> </ul>	

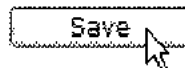
## 6. CREATING THE CASE

[illegible]

On the FIPS worksheet under the header “Contents,” you will notice that usually Sequence 1 is the “Request Letter” and Sequence 2 is usually “Request Supporting Documents.” There will be a date and time in the right column.

Sometimes the request will be Form G-639 only, sometimes it will be the G-639 and a G-28, Power of Attorney, sometimes it will be a letter from an attorney or representative and a G-28. Sometimes it will be a letter from the subject of record. At times, there will be documents scanned in, such as alien registration card, driver's license or other forms of identification. Other documents you may see can include miscellaneous screen prints or memoranda. You should view (almost) all documents scanned in FIPS in the Request Letter and Request Supporting Documents slots before you create the case.

During the Case Create process, you may need to leave your work station, or you may receive a telephone call, or various things may happen to distract you from creating the case. If anything happens and you need to stop work temporarily, it is always a good idea to click:



You must identify the following critical items and enter them into the FIPS worksheet before creating the case:

## 6.1 REQUESTER INFORMATION

Processing

Office: BAL BAL2010000751REQ Status: Request Case Creator cctestb Web Entry

Received Scanned Created Perfected Final Action Closed Final Reply Due

03/04/2010

**Requester Information**

Requester Search/Entry

Subject Information

First Middle Last

A-Number

Topic

Track: Type: Source: Category:

Bureau: Referred From: Expedited: Not Requested Fee Waiver: Not Requested

Print To CD PA Cited In Litigation In Circular Search Delinquent

Calculate Queue Position

Save

Document Type	Seq.	Pages	Status	Resp Unit	A-Number	Date
Request Letter	1	2	Scanned			3/4/2010 1:06:57 PM

### 6.1.1 RULES FOR ENTERING INFORMATION ON THE FIPS WORKSHEET

6.1.1.1 Do not use all capital letters in names.

6.1.1.2 Do not use professional titles, such as Doctor or Reverend in the requester information.

6.1.1.3 You may use Jr., Sr. or II, III, etc., if the requester or subject uses it on the request.

6.1.1.4 Do not open cases in the name of a company or firm only. If the name of the requester on the Form G-639 is a company name, please review the supporting documents to try to locate the name of the attorney/representative of the company.

For example, if your request comes in on a G-639 and the name of the requester is only the name of the law firm representing the alien (for example, Wilens & Baker) you will need to look through your supporting documents to see if you can locate the name of the attorney at Wilens & Baker who is representing the alien. If you cannot locate the name of the attorney who is representing the alien, then open the case in the name of the alien, in care of the law firm. Do not use "Wilens & Baker" as the requester name.

6.1.1.5 Do not hyphenate names.

6.1.1.6 Double-check the spelling of the names. If the name of the requester is not clear on the request letter, check the supporting documents for a Form G-28 for a clear copy.

6.1.1.7 Add a period after the middle initial.

6.1.1.8 Rescinded. ~~If the subject does not provide a middle name or initial, enter "NMN" in the "Middle" field.~~

6.1.1.9 Do not use part of the last name as a middle name, for example Hispanic names. Sometimes it is obviously a middle name, such as Juan Jose Gonzalez. Sometimes it is obviously a first and second last name, such as Juan Gonzalez Becerra. Other times, it is not so clear. You might look at the mother's and father's last names, if provided. If you are unsure, contact a supervisor.

6.1.1.10 If the request came to us on Form G-639, always use the name and address of the requester in Section 2, "*Requester Information*." Never use the address on the envelope, or Form G-28 or letterhead *unless* the requester did not use Form G-639 *or unless* Section 2 of Form G-639 is illegible. If the address on the G-639 is a foreign consulate office, or is a congressional office, you may use the address listed on the G-28, or other documents in the request, such as an envelope. If you can find no other address, insert a case note and send the case to U/C.

Be careful - it is easy to miss apartment or suite numbers because the space for them is at the right side of Form G-639.

6.1.1.11 Each line of the address in FIPS can contain no more than 35 characters; this includes spaces and punctuation. When we are printing the responsive records to CD, nothing over 35 characters prints on the CD. This requires the OA clerks to print a label separately for those CD's before mailing.



6.1.1.12 Do not use special characters, such as “&” and “#” in the address field; rather, spell them out or use an abbreviation, such as “and” or “No.” Note: you *may* use spaces, dashes, periods, commas or single quotes (‘). You *may not* use @, #, \$, %, ^, &, \*, (, ), =, +, [ , ], { , }, \, <, >, or /.

6.1.1.13 Please include the suite number or apartment number on the same line as the street address. FIPS will allow you to key in more than 4 lines in the address box. The issue is when the case is processed and the CD is printed, it only prints the first 4 lines. The requester’s name is the first line of the address, so you have three lines left. Enter any suite numbers or apartment numbers in the address line.

6.1.1.14 If the requester does not provide a valid address use: 123 Main Street, Washington, DC 12345. Send an e-mail to your supervisor and assign the case to Unit Chief.

6.1.1.15 When the attorney or subject of the request provides both a physical mailing address and a P.O. Box, use the P.O. Box for the official mailing address and do not include the physical address. Please do not use both.

6.1.1.16 The address can only be four lines long, even though FIPS gives you an extra line. The requester’s name is always the first line.

6.1.1.17 If an attorney represents the subject, the first line of the address should be the name of the law firm the attorney is affiliated with, or, Attorney at Law, or “c-o” and the law firm name or the name of the attorney.

6.1.1.18 If the address is foreign, you must check the box marked Foreign. This will change the format of the worksheet to include the Province and Country. You must complete these fields to ensure proper delivery. Before pending this case for any further action, please check the “Print to CD” box and add a Discussion note that you did so.

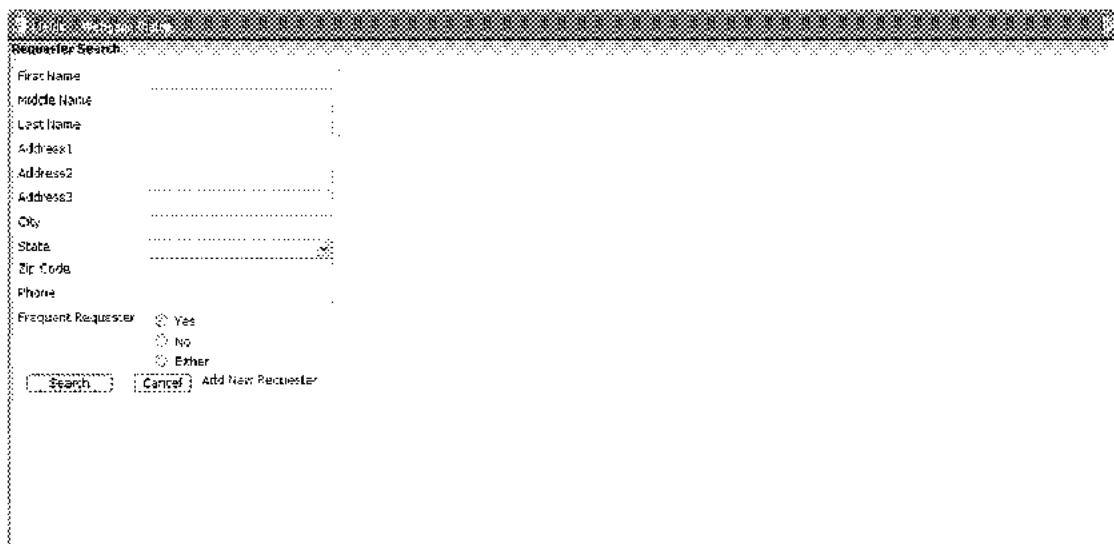
The following places are NOT foreign countries:

- American Samoa
- Guam
- Puerto Rico
- Northern Mariana Islands
- Baker Island
- Howland Island
- Jarvis Island
- Kingman Reef
- Midway Islands
- Navassa Island
- Palau
- Palmyra Atoll

U.S. Virgin Islands  
Wake Island  
Micronesia

A foreign address may be very long, and you may have to consult a supervisor to complete the address field correctly.

**6.1.2 Requester Search/Entry.** To locate and select existing requesters or to enter new requesters, click the **Requester Search/Entry** link to open the Requester Search Form. To search for an existing requester, click in one of the available fields in the Requester Search Form and begin entering pertinent information. When searching for a requester whose last name is Smith, for example, click in the Last Name field and enter a portion or the entire last name. After you have entered enough information, click **Search** to locate requesters with matching information.



Requester Search

First Name  
Middle Name  
Last Name  
Address1  
Address2  
Address3  
City  
State  
Zip Code  
Phone

Frequent Requester: ☐ Yes ☐ No ☐ Other

If you get any matches to your search, you will see a screen that looks like this:

Search Requester											
Requester First Name	Requester Middle Name	Requester Last Name	Address Line 1	Address Line 2	Address Line 3	City	State	Province	Postal Code	Country	Phone
Mr. Bernhard		Sauerbraten	123 Strasse Schwartzwalder-Firschtorte			Krapfen		Mannkuchen	41B 2C34D5	GERMANY	(011) 203
Mr. Jones	Mary	Sauerwen	5220 Illinois Court			New Market	Maryland		76523-7856	UNITED STATES (301) 365	
Mr. Todd		Scott	PO Box 410			Northville	New York		00000		
Mr. Milton	Jay	Sheppard	1986 Irish Stone Way		10E Corporation suite 125	Forto Allegro			URG-5623	BRIGLAY	
Mr. Bonnie		Simmons	252 Fish way			Belfast		Manland	IRE-6213	IRELAND	(999) 301
Mr. Timmy		Simpson	156 orange grove lane		10E corporation suite 895	Chadeston	South Carolina		32156	UNITED STATES	

Total item(s) found (6 of 6)

Page 1 of 1

Cancel

If any of those requesters are a perfect match for your requester, you may “Assign this Requester” by clicking on the icon to the left of the name:

Search Requester		
Requester First Name	Requester Middle Name	Requester Last Name
<input type="checkbox"/> Bernhard		Sauerbraten
<input checked="" type="checkbox"/> Jones	Mary	Sauerwen
<input type="checkbox"/> Todd		Scott
<input type="checkbox"/> Milton	Jay	Sheppard
<input type="checkbox"/> Bonnie		Simmons
<input type="checkbox"/> Timmy		Simpson

Total item(s) found (6 of 6)

Page 1 of 1

Cancel

And it will populate the requester information like this:

Processing


Office BAL **BAL2010000751REQ** Status **Request Case Creator cctestb** Web Entry

Received Scanned Created Perfected Final Action Closed Final Reply Due

03/04/2010

**Requester Information**

**Bernhard Sauerbraten** Edit Requester  
Change Requester  
Copy to Subject



(b)(6)

**6.1.3 Add New Requester.** If you do **not** find a match, you will have to add a new requester by selecting Add New Requester:

**Requester Search**

First Name  
Middle Name  
Last Name  
Address1  
Address2  
Address3  
City  
State  
Zip Code  
Phone

Frequent Requester: ☐ Yes ☐ No ☐ Either

When you click Add New Requester, you will get a dialog box that you fill in. You will enter all information, decide if this is a Frequent Requester, and then click Save.

**Requester Information**

First Name  
Middle Name  
Last Name  
Address1  
Address2  
Address3  
City  
State  
Zip Code  
Phone

Frequent Requester: ☐ Yes ☐ No

## 6.2 SUBJECT INFORMATION

After saving, look to see if this is a self-request. If so, you can copy the Requester Information to the Subject:

(b)(6) **Requester Information**

C G Culpepper	<a href="#">Edit Requester</a> <a href="#">Change Requester</a> <a href="#">Copy to Subject</a>
[Redacted]	

Otherwise, you will have to enter the subject information in the area. If the person gave more than one A-Number, please separate them with a comma in the A-Number field.

(b)(6) **Subject Information**

First	Middle	Last
Melville		Trump
A-Number [Redacted]		
Topic [Redacted]		

### 6.2.1 Name

Enter the subject's name, as it appears in section 5 of Form G-639 (except in the case of a petitioner asking for a petition).

The name portion of the worksheet is the name of the alien whose file we are requesting. This is usually the name in the subject portion of the Form G-639, or in the subject line of the request letter. However, if the requester is asking for a petition he or she filed on behalf of a beneficiary, then that document will be a separate receipt or it will be in the beneficiary's file, not the requester's file. In situations like this, the subject information would be that of the beneficiary, not the requester.

### 6.2.2 Alien Number

In the alien number field, enter your subject's alien number, as provided on the request, as an eight-digit or nine-digit number.

**6.2.2.1** You should always check the A-number in CIS to be sure it belongs to the correct subject. Once you have established that it is the correct A-number, copying and pasting the A-number will save you from making a typographical error and inadvertently staffing for the wrong file.

**6.2.2.2** If the alien provided us with more than one A-Number, please separate these numbers with a comma.

**6.2.2.3** If you have created the case and you see less than eight digits in the A-number field, please re-check (by pasting the number into CIS) to make sure you have entered the number correctly.

**6.2.2.4** Please do not enter the A-number if the requester is a petitioner asking for a copy of an unconsolidated petition, as it will result in a bad staffing.

**6.2.2.5** If the requester is a petitioner asking for a copy of a petition that has been consolidated into the A-file of the beneficiary, you should enter the A-number of the beneficiary, since we will request the beneficiary's A-file.

### **6.2.3 Topic**

If the request is for something other than an alien file, for example, a receipt file or a vacancy announcement, then you will add this information in the "Topic" field in the Subject Information area.

"Topic" is used at different times, such as:

- when there is an unconsolidated receipt file
- when it is a request for a vacancy announcement
- when it is a request for a personnel file
- when it is a request relating to policies and procedures service-wide

**6.2.3.1** If the alien is requesting a receipt number, enter the information in the following format:

**Correct:** MSC0412360000

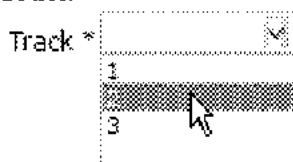
**Incorrect:** MSC-04-123-60000

**6.2.3.2** Enter the receipt number with no dashes or spaces. This format assists the Mission Support Assistants in locating the files and in locating the cases in FIPS when the receipt files come into the facility, and it will make it possible for case creators to spot duplicate or similar cases. If you are requesting multiple receipt files from the same facility, use only one file request. See Staffing Sheet Guide for more guidance.

**6.3.2.3** When the request is for vacancy announcements, the vacancy announcement number must be the first part of the description. See CIS Personnel Information for more information on handling personnel related requests. In other types of situations, put as much of the pertinent information in the description line as space will allow. You may need to modify the acknowledgement letter.

## **6.3 CASE SPECIFICATIONS**

### 6.3.1 Track



**6.3.1.1 Track 1** – Requests for receipt files and requests for partial records such as a specific document. A specific document request consists of three documents or less (except asylum or refugee requests, which you should create under category **Alien File** and assign to Track 2).

**6.3.1.1.1** Please select the category **Specific Documents** and make the case a Track 1. The first paragraph of the acknowledgement letter sent to the requester must contain the following paragraph:

We respond to requests on a first-in, first-out basis and on a multi track system. Your request has been placed in the simple track (Track 1). You specifically requested [enter specific document information here]. If you would like a copy of all your records, please send a written request to the address above, otherwise you will receive only the documents you specified.

**6.3.1.1.2** Continue to create the case in Track 1 as Specific Documents. The requester may write back later responding that they need the whole file, and a FOIA/PA Assistant working in Records Locator queue can change it to Track 2 at that time.

**6.3.1.2 Track 2** – Requests for entire copy of alien file, asylum or refugee requests, and requests from news media or special interest groups.

If the request has “all records” checked and lists more than three documents on the G-639, please select the category **Alien File** and make the case a Track 2.

**6.3.1.3 Track 3** – Requests for records of individuals scheduled in the future to appear before an immigration judge. Requesters must provide one of the following documents to receive Track 3 processing:

- Form I-862, Notice to Appear, documenting a future scheduled date of the subject’s hearing before the immigration judge.
- Form I-122, Order to Show Cause, documenting a future scheduled date of the subject’s hearing before the immigration judge.
- Form I-863, Notice of Referral to Immigration Judge



- Written notice of the continuation of a future scheduled hearing before an Immigration Judge.

**6.3.1.3.1** A supervisor will review all incoming FOIA requests and identify Track 3 requests. The supervisor will verify that necessary documentation is present with the request. There should be an attached cover sheet indicating to the case creator whether the request for Track 3 is approved or denied.

**6.3.1.3.2** If there is no cover sheet, please evaluate the request and make a determination to approve or deny Track 3. If you are unsure, consult your supervisor.

**6.3.1.3.3** Before you create the case, look at the documentation. Sometimes you will find a reference to a current, open case which the requester wishes to upgrade to Track 3. After you verify that the case is open, you may simply click “Send to Research” and you are finished with the case.

**6.3.1.3.4** Requesters will sometimes request both Track 3 processing and expedited processing. Do not select both. Neither has to do with the other. A requester could be granted either Track 3 processing or expedited processing, but never both on the same case. For expedited processing guidelines, please refer to **“Expedited Treatment”** in this guide.

**6.3.1.3.5** Track 3 processing is not “expedited” processing as that term is used and understood in law. It is not appropriate to use the word “expedited” when discussing Track 3 processing of a FOIA request (“priority” or “accelerated” processing are more appropriate terms for Track 3). Don’t confuse the two in correspondence with requesters.

**6.3.1.3.6** Refer to the cover sheet the supervisor attached to the request. There should be either an Expedited coversheet or a Track 3 coversheet, but not both. Follow the instructions on the cover sheet attached to the request. If there is no cover sheet, do not mark either box.

**6.3.1.3.7** If the requester specified Track 3 processing but the request does not have a cover sheet, please create the case. If you have a request for Track 3 and you see that we have a future court date provided in the request, prepare your response according to the Track 3 Ack Letter found in O:\Foia\FOIA LIBRARY\Case Create References\Case Create Template Letters

**6.3.1.3.8** If the requester did not provide any documentation or if the documentation says “a date and time to be determined” prepare an acknowledgment letter and click “Add Track 3 Denial Paragraph.” Proceed with creating the case.

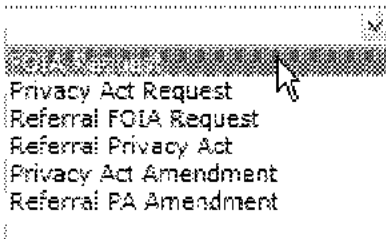
**6.3.1.3.9** If you are not sure whether to approve or deny Track 3, please consult your supervisor.

**6.3.1.3.10** If you assign the case to Track 3, ensure you put the words “TRACK 3” at the top of the file request.

**6.3.1.3.11** If the requested file has already been scanned because of a prior FOIA request that has now been resubmitted for Track 3 processing, do not create the case. You should send the case to Research, where they will attach the new request to the existing case as a CSD. If Track 3 processing has been approved, you have to change the track on the original case to Track 3 and add a Discussion to that case explaining why.

### 6.3.2 Type

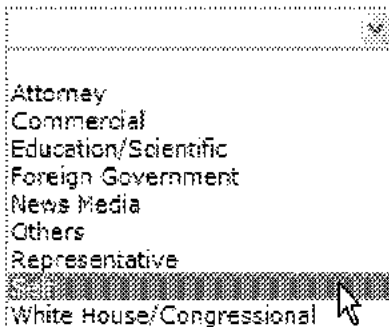
Type \*



Always select **FOIA**. It will be incumbent upon the processor to verify the status of the alien, and to change the case type if necessary.

### 6.3.3 Source

Source \*



The source of the request is, quite simply, who is making the request. Is the requester the individual or an attorney or representative speaking on the alien’s behalf? Is it a request from the media or a true third party requester? Below is a list of possibilities for requesters:

- **Attorney** - The requester is an attorney representing the alien. The attorney will have checked the box on the G-28 marked “Attorney,” or will have sent us a letter on the law firm’s letterhead.

- Commercial
- Education/Scientific
- Foreign Government
- News Media
- Others - The requester of the file is someone other than the alien, an attorney or an accredited representative. They might possibly include a G-28 with something other than "Attorney" or "Accredited Representative" checked.
- Representative - The requester is an accredited representative under the provisions of 8 CFR 103.2(a)(3) and 292.1(a)(1) or 292.1(a)(4). On a G-28, the requester will have marked the box "Accredited Representative."
- Self - This is a request from the alien himself or herself. The request may have the name of an individual followed by "care of" a certain law firm. This is still a self-request.
- White House/Congressional

If you feel that you have a case of a different source of request, please contact a supervisor for further guidance.

### 6.3.4 Category

Category *	Alien File	▼
	Alien File	▼
	Appeals	
	Asylum	
	Child Support	
	Citizenship National Review	
	Consultation	
	Contract	
	Debts Owed	
	Dual Citizenship	
	Family History	
	Haitian Refugee Immigration	
	Handbooks, Manuals	
	Inheritance	
	Internal Audit	
	Investigations	
	Legal Immigration & Family	
	Legalization/Admin Appeal	
	Medical History	
	NOK Addresses	
	Nicaraguan & Central Amer	
	Non-A-File Material	
	OTHER	
	Pensions	
	Personnel	
	Proof of Naturalization	
	Referral	
	SFR Cases at NRC	
	Special Interest Group	
	Special Interest Group	
	Waste, Fraud, Abuse	▼

There are 30 different categories of requests. However, the most commonly used ones are:

#### 6.3.4.1 Alien File – The requester is asking for an entire copy of an alien file.

This category includes the following:

- a. Files of living subjects
- b. Naturalization records on or after April 1, 1956
- c. Visa records on or after May 1, 1951 in A-files
- d. A-Files above 8 million (A8000000), and documents therein dated on or after May 1, 1951
- e. Registry records on or after May 1, 1951 in A-Files
- f. Alien Registration Forms on or after May 1, 1951 in A-Files

**6.3.4.2 Specific Documents** – The requester is asking for specific documents, such as a copy of a receipt file, an application or a copy of his or her naturalization certificate. A Specific Document case is a Track 1 case, and vice versa. As a rule, you should create a case as Specific Documents if the requester is asking for up to three documents. If a requester is asking for an asylum application and supporting documents, you should create it as Alien File. (Refer to the section “*What track is my case?*” that follows.)

**6.3.4.3 Personnel** – The requester is seeking information relating to USCIS personnel matters.

**6.3.4.4 Special Interest Group** – Requester(s) are seeking information relating to special interest requests such as news media requests, highly visible or public interest cases. We receive this kind of request from members of the media, activist groups, watchdog organizations or educational institutions. The documents requested are normally associated with a controversial or sensitive subject.

**6.3.4.4.1** Select “Special Interest Group” if any of the following criteria are met:

- a. The FOIA request relates to a Presidential or agency priority;
- b. The FOIA requester or requested documents will garner media attention or is receiving media attention;
- c. The FOIA request is for documents associated with meetings with prominent elected, business, and/or community leaders;
- d. The FOIA request is for congressional correspondence;
- e. The FOIA request is from a member of Congress;
- f. The FOIA request is from a member of the media;
- g. The FOIA request is from a member of an activist group, watchdog organization, special interest group, etc.;
- h. The FOIA request is for documents associated with a controversial or sensitive subject;
- i. The FOIA request is for documents associated with a senior official of the component;
- j. A FOIA appeal if it meets one of the “a” through “i” criteria;

Items listed above are suggestive and not exclusive – exercise judgment when marking cases with category “Special Interest Group.”

**6.3.4.4.2** If you believe a request qualifies as a Special Interest Group, choose that case category in FIPS, change the office from NRC to COW, search for duplicates and then create the case. Do not create a file request or an acknowledgment letter. Prepare an e-mail explaining the situation for NRC, FOIASIG. Click “Reassign Office.” Send the case to Unit

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Updated on 8/30/2011

Chief. A Special Interest Group (SIG) processor will create the staffing and acknowledgment letter. This enables the Special Interest Group (SIG), responsible for special interest cases, to create a report and determine whether the case is actually a Special Interest Group case and report it accordingly. If the case creators do not mark Special Interest Group cases properly, we have no way to track and report these high visibility cases. When in doubt, choose the Special Interest Group category in FIPS. The Special Interest Group will sort it out later. If you have questions or need to send information regarding SIG cases to the Special Interest Group, their e-mail address is: NRC, FOIASIG.

**6.3.4.5 SFR cases at NRC** – NRC uses this category to track all workload staffed to SFR. This includes cases retired by or lost by SFR, but **does not include ZSF**.

**6.3.4.6 Genealogy:** Genealogy cases are requests for searches and/or copies of historical records relating to a deceased person. The lists below represent the records that the public would be able to request from the Genealogy Program:

- a. Naturalization Certificate Files (C-Files) from September 27, 1906 to April 1, 1956.
- b. Microfilmed Alien Registration Forms (AR-2), from August 1, 1940 to March 31, 1944 and Alien Registration Forms from March 31, 1944 to April 30, 1951 in A-Files.
- c. Visa Files from July 1, 1924 to May 1, 1951.
- d. Registry files from March 2, 1929 to March 31, 1944 and Registry records from April 1, 1944 to April 30, 1951.
- e. A-Files numbered below 8 million (A8000000), and documents therein dated prior to May 1, 1951.

The case is not Genealogy unless it meets one of the above criteria. If the case you are creating does meet the criteria for Genealogy, create it as **OTHER** then do the following:

- a. Create the and control the case.
- b. Do not staff for any records and do not prepare an acknowledgment letter.
- c. Send the case to Unit Chief with a discussion explaining it is a possible Genealogy
- (b)(6) d. Send an email to the designated person who handles genealogy cases (currently [REDACTED]) with the control number.

The designated person will review the request to determine if it is, in fact, a genealogy.

If it does not meet the criteria for genealogy it will be returned to you in Case Create to send an acknowledgment letter and staff for records.

If it does meet the criteria, the designated person will create a letter referring the requester to the Genealogy program and will close the case as ER.

### 6.3.5 Bureau

Bureau

CIS	▼
CBP	
ICE	

The three possible selections for Bureau are:

**ICE** – Used to identify requests wherein the requester is seeking information in connection with deportation hearings and other immigration related litigation (OPLA/DRO/SAC)

**CIS** – Used for all other categories. This is the default in FIPS.

**CBP** – Used for requests pertaining to documents relating to the Border Patrol, incident reports relating to apprehension, entry without inspection (EWI), smuggled humans, mobile patrol group, voluntary return, repatriation, checkpoints, entry/exit information, inspection, Port of Entry (POE), legacy customs or legacy inspections. Key words that you could see on a request relating to CBP are inspection, Port of Entry, Bridge of the Americas, Friendship Bridge, and smuggled goods. **Note: If request is for entry/exit information and the requester/subject provided an alien number, request the file.**

### 6.3.6 Is there a request for expedited treatment?

Expedited

Not Requested	▼
Requested	
Granted	
Denied	

A requester may ask for his or her request to be expedited and processed outside the order of receipt. By law, we must respond to a request for expedited treatment within 10 business days.

USCIS will grant expedited processing if the requester establishes **either**:

(1) circumstances in which the lack of expedited treatment could reasonably be expected to pose an imminent threat to the life or physical safety of an individual;

**or**

(2) an urgency to inform the public about an actual or alleged federal government activity, if the requester is a person primarily engaged in disseminating information.

The requester must send a statement explaining in detail the basis for requesting expedited treatment. If a requester asks for expedited processing and fails to meet the criteria, we process the request in the appropriate track, using the “first in/first out” rule [See 6 C.F.R. § 5.5(a)].

**6.3.6.1** OA personnel normally separate mail and faxes pertaining to expedited treatment prior to scanning. A supervisor then reviews and makes a determination regarding the expedited treatment. The supervisor will attach a cover sheet to the front of the request detailing the determination. Please create the case in accordance with the instructions on the cover sheet.

**6.3.6.2** If the requested file has already been scanned because of a *currently open* prior FOIA request that has now been resubmitted for expedited processing, do not create the case. You should send the request to Research where they will attach the new request to the existing case as a CSD.

**6.3.6.2.1** If expedited processing has been approved based on new information, you have to check expedited processing approved on the original case and send an expedited treatment approval letter by opening the original case in stand-alone mode, creating a Blank Letter, and adding the following: This letter serves to notify you that your case has been approved for expedited processing.

**6.3.6.2.2** If expedited treatment was already denied in the *currently open* prior case, and the supervisor’s decision is the same, if you have not already created the case, you may Send to Research, where they will attach your request to the original case as a CSD. Go to the original case in Standalone, go to Tasks, and create the Expedited Denial Letter.

**6.3.6.2.3** If the expedited treatment request refers to a case that *has already been closed*, either close it as DP and send a duplicate letter or create it as a new case, based on the situation. If in doubt, consult your supervisor. Please refer to the section on DP (duplicate) Cases.

**6.3.6.3** Sometimes the OA room will miss an expedited request. If this happens, select “Denied” in the drop-down box, create the Expedited Denial Letter, and then create the case as normal.

**6.3.6.4** If you believe the requester meets the requirements for expedited treatment (and there was no cover sheet) then select “Requested” and send the request to Unit Chief. E-mail your supervisor with the details. If the supervisor granted expedited processing, you will not create an Expedited Denial Letter, of course. You must select “Granted” in the



Expedited drop-down box. When you create the acknowledgement letter, it will address the fact that Expedited Treatment is granted.

USCIS denies most requests for expedited treatment because the requester failed to establish either of the necessary criteria.

**6.3.6.5** If you have made a determination to deny, or if the supervisor has indicated denial, you must select “Denied” in the Expedited drop-box. After this, you should create the Expedited Denial Letter. If you or the supervisor denied expedited processing, we must advise the requester of the criteria for expediting a request and offer an opportunity to resubmit additional justification. The requester also has the right to appeal the decision to the USCIS FOIA Appeals Office.

Contents		Discussions	Case Actions
Task	Status		
Search For Duplicate Cases	Not Started		
Create Additional Cases	Not Started		
Create File Request	Not Started		
Acknowledgement Letter	Not Started		
Final Action Letter	Not Started		
Specialty Letter	Not Started		
Status Letter	Not Started		
Blank Letter	Not Started		
Interest Letter	Not Started		
Expedited Denial Letter	Not Started		

**6.3.6.6** Do not mark both “Expedited Treatment Requested” and “Track 3.” A request can be either expedited or Track 3, but not both. If the requester has asked for Expedited Treatment and Track 3, treat it as if it is a Track 3 request and follow the instructions in TRACK 3 PROCEDURES. In such a case, you should not mark “Expedited Treatment Requested” before sending it to Unit Chief.

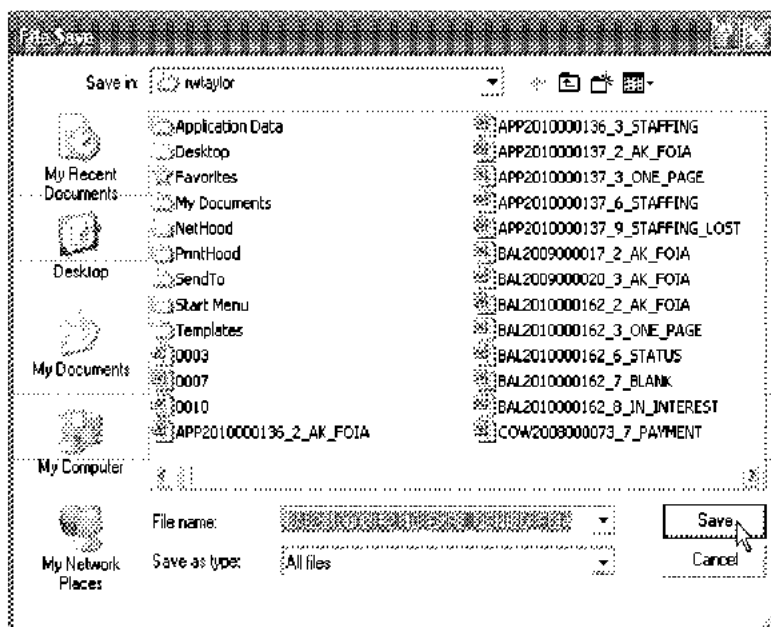
Processing.....

Successfully generated letter Expedited Treatment FOIA Denial.

Click on OK to continue.



A dialog box will pop up. Select “Save”:



A word document explaining the denial and appeal rights will pop up. After you have done any editing necessary, save the document and check it back in.

After you have made that selection, your acknowledgement letter will address expedited treatment granted.

**6.3.6.7** If there is an Expedited Treatment Requested cover sheet, and if you determine during case create that this needs to be a multiple case, you must check the Expedited Treatment Requested box (and create the appropriate response letters) for each child case. On the other hand, it might be that we will treat only the parent case as an expedited treatment request. You may make the determination or the supervisor will make a statement to that effect on the cover sheet, and of course, in such a situation, you would not mark the child cases as expedited treatment requests.

**6.3.6.8** If there is an Expedited Treatment Requested cover sheet, and if you determine during case create that we need to close the case RD, RF, DP or ER, then change the Expedited drop-down box to “Not Requested” before you send the case to Up-front Approver. Because we are not generating a letter regarding expedited treatment denial or grant, and because it would cause erroneous reporting of Expedited Treatment Requests, you must change it to “Not Requested.”

### 6.3.7 Is there a request for fee waiver?

Fee Waiver	Not Requested
	Requested
	Granted
	Denied

The requester may ask for a waiver of fees in his or her request or in accompanying documentation submitted with his or her request. USCIS considers all requests for fee waivers on a case-by-case basis.

A requester must meet two requirements in order for USCIS to grant a fee waiver:

1. The disclosure of the requested information must be in the public interest,
2. AND the disclosure of the information is not primarily in the commercial interest of the requester. For a detailed explanation, please refer to the U.S. Department of Justice Guide to the Freedom of Information Act, "Fees and Fee Waivers."

Also note: the requester must ask for a fee waiver. Simply including a DOJ Fee Waiver form does not constitute a request for fee waiver. If the requester has written any statement to the effect of a request for fee waiver on the form, then you treat it as a request for fee waiver.

**6.3.7.1** When a requester has asked for a fee waiver, there should be a cover sheet advising you of approval or denial. You may determine to deny based upon the two criteria listed above. If you do so, you must select "Denied" in the Fee Waiver drop-down box on the FIPS worksheet. Regardless of the decision on the fee waiver, you must insert a Discussion in FIPS indicating that you addressed the fee waiver request.

**6.3.7.2** When you are finished creating a case with a fee waiver request, create a Specialty Letter and select Fee Waiver Denied, edit the document if necessary and then create the case as normal. If you are not sure, please consult your supervisor.

**6.3.7.3** If you believe the requester meets the requirements for fee waiver (and there was no cover sheet) then select "Requested" and send the request to Unit Chief. E-mail your supervisor with the details. A supervisor will make the decision to approve or deny the fee waiver and send the case back to you in the case create role. At that point, you will select either "Granted" or "Denied."

**6.3.7.4** Fee Waiver Denied: When you respond to a request for fee waiver, you must add specific language to the acknowledgement letter. Please see O:\Foia\FOIA LIBRARY\Case Create References\Case Create Template Letters\Fee Waiver(denied) for an example of the denial language. Copy and paste this language into the acknowledgement letter. Do not bold, underline, highlight or enlarge the font of the


language. If the font changes to bold when you paste it in, highlight that text and remove the bold.

**6.3.7.5 Fee Waiver Granted:** If the decision is to grant the fee waiver, then please select “Granted” in the Fee Waiver drop-down box. In the acknowledgement letter, please add the following sentence to the end of the first paragraph:

This is to inform you that your request for a fee waiver has been granted.

**6.3.7.6** If there is a Fee Waiver Request cover sheet, and if you determine during case create that we need to close the case RD, RF, DP or ER, then change the Fee Waiver drop-down box to “Not Requested” before you send the case to Up-front Approver. Because we are not generating a letter regarding Fee Waiver denial or grant, and because it would cause erroneous reporting of Fee Waiver Requests, you must change it to “Not Requested.”

### 6.3.8 *Print to CD*

- ☒ Print To CD
- ☐ PA Cited
- ☐ In Litigation 
- ☐ In Circular Search
- ☐ Delinquent

In an effort to save time, money and resources, the FOIA unit sends out final action responses on CD to all requesters (with two exceptions). When we send out the acknowledgement letter to the requester, it advises them that unless they write in and specifically ask for their documents on paper, they will be receiving them in a CD format. The acknowledgement letter templates reflect the change.

## **RULES FOR CHECKING “PRINT TO CD”**

**6.3.8.1** Check the “Print to CD box” on all new case creates, unless the mailing address of requester is to a correctional facility or unless the requester specified paper in the initial request letter (for requesters who are attorneys, the default is Print to CD).

**6.3.8.2** If the responsive records are already scanned in when you create the case, you will still check print to CD.


**6.3.8.3** All responsive records mailed to a correctional facility must be on paper. In such an instance, you must modify the acknowledgement letter so that we do not tell the requester we are printing the responsive records to CD. Modify the acknowledgement letter by deleting the paragraph that begins with “This office will

be providing your records on a Compact Disc (CD)”

**6.3.8.4** If the requester is in prison but we are sending the responsive records to an attorney’s office, we will print to CD.

**6.3.8.5** If a requester specifically asks for their records on paper, do not check “Print to CD” box create a Discussion note citing the reason. In such an instance, you must modify the acknowledgment letter so that we do not tell the requester we are printing the responsive records to CD. Modify the acknowledgement letter by removing the paragraph that begins with “This office will be providing your records on a Compact Disc (CD)”

**6.3.9 Is this a delinquent requester?**

- ☐ Print To CD
- ☐ PA Cited
- ☐ In Litigation 
- ☐ In Circular Search
- ☐ Delinquent

The Delinquent Requester search helps FIPS users identify requesters who have unpaid bills in the system. Requesters are delinquent when case fees remain unpaid for more than 45 days.

After you enter the last name of the requester, FIPS will automatically conduct a search for delinquent fees owed by that requester, using the last name of the requester. If the requester is delinquent on any case in any office nationwide, a box will pop up on the screen (see below).

Requester Information	
<b>Sage Morgan</b>  123 Drive Lees Summit MO 64086	(816) 555-5555 x5555 sage@yahoo.com Copy to Subject

To view other cases for the same requester, click the **Query** icon next to the delinquent notice.

Requester Information	
<b>Sage Morgan</b>  123 Drive Lees Summit MO 64086	(816) 555-5555 x5555 sage@yahoo.com Copy to Subject

The query results appear in a separate window.

Query Results			
Delinquent Cases for Requester results - Webpage Dialog			
http://10.63.16.238:7001/sonora/Query?op=m&name=sQry_getDelinquentCasesForCase&CASEID=8704			
Control Number	Closed	Fee Charged	Fee Collected
DLS2010000044	4/21/2010	1,500	
Total item(s) found (1)			

If a requester/subject previously submitted a request and owed a fee on a case and he or she did not pay the fee within 30 days, the case closed as FP (failure to pay). If the subject/requester submits a new FOIA request, the Delinquent Requester notification is going to pop up. Your requester may possibly not be on the pop-up list. FIPS conducts a search by the last name(s) of delinquent requesters.

#### DELINQUENT REQUESTER RULES:

**6.3.9.1** Do not treat the case as delinquent if the case was processed on or before January 1, 2004. Send an e-mail to [NRC\\_FIPSPROBLEM](#) (clicking on the link will automatically include a copy to NRC, FOIAPROGRAM). In the body of the e-mail, include the name of the delinquent requester and the delinquent case number(s).

**6.3.9.2** If you encounter a delinquent requester from a FIPS Lite office, do not treat them as delinquent. You will know the request was processed in FIPS Lite when you open the case because you will see a "FIPS Lite placeholder."

**6.3.9.3** Make sure the requester of the case you are creating is the same requester that FIPS is showing as delinquent. You must view the delinquent request(s) to make this determination. To view a case, highlight the line and click "view." If the delinquent requester matches your requester, treat the new request as delinquent. To get the delinquent case information (case number, dollar amount) in your acknowledgement letter and in the new case, highlight the name in the box that matches your requester and click ok.

Next, to create the case, go to the Tasks tab and click:

Contents		Discussions	Case Actions
Task	Status		
Create Case	Not Started		
Search for Duplicate Cases	Not Started		

When you complete the case create process and the new case has a control number, FIPS will notate the delinquency on the worksheet.

**6.3.9.4** If the requester is delinquent, do not request responsive records until we receive payment.

NOTE: If you are creating multiple cases, you should “Create Additional Cases” before you prepare the Acknowledgment Letter and File Request(s) for the original case.

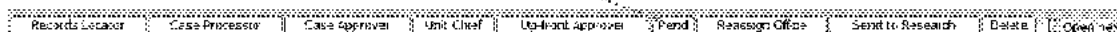
NOTE: A FOIA/PA Assistant working in Records Locator queue may need to cancel pending requester documentation for cases pending requester documentation due to a prior delinquent status that has been removed, because the system does not.

If the FOIA/PA Assistant working in Records Locator queue does cancel pending requester documentation, he or she should generate a new interim acknowledgement letter and staff the case as usual.

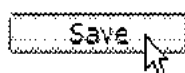
If the requester has more than one delinquent case, you will have to add up the total and modify the delinquent requester letter providing the case number for each delinquent case, the dollar amount owed for each, the total dollar amount owed, and instructions to prepare a check for the total amount made out to “U.S. Treasury.”

When you click “ACK Letter” the following screen pops up. Click OK to generate the letter.

We will take no further action until the delinquency is resolved. Please pend.



Before you move to another part of the case create process, click:



## **6.4 SEARCH FOR DUPLICATE CASES**

Just before you create the case, you should look for duplicates. Duplicate cases are cases in which the request was submitted multiple times to the Service, or was inadvertently scanned into FIPS multiple times, or are cases that we previously processed.

Sometimes a requester will take a “shotgun” approach. He or she will submit the same FOIA request multiple times to ICE, CBP and CIS, hoping to get an answer more quickly. The

receiving offices will then in turn, transfer these requests to NRC. These are duplicate cases when an office has already processed this request with a final action code of either PD or G1, or has it ready to be processed.

This does not include instances in which the requester has faxed the request and then mailed it. If you open a case and find that the exact same request has very recently been created, chances are that you have opened the mailed copy which followed a few days after the fax. ~~Close this case as ER (created in error).~~ Do not create such a case. Click "Send to Research." That case will go to the research queue and you will be ready for your next case.

Ordinarily, you will search by Alien Number, and if you do not find a duplicate or similar case, your search will be complete. If the requester did not provide an alien number, you may search by the subject's last name and first name, or even by the requester's last name and first name. You may use a percent sign (%) as a wild-card for these searches. For example, if the requester's name is Jaime Vazquez, but you see he also has spelled his name Vasquez – you can search by Subject Last Name "Va%" and Subject First Name "Jaime."





You may select "Search Complete" or you may select "Search Again" to try the search by a single criterion or different combinations such as Subject Last Name, Subject First Name, Requester Last Name, and so forth. However, the search may yield an open case:

CaseFO Home

FIPS 2010 Training build 06    Work Queue    Editors    Standalone Search

Processing    See Information

Control Number	Scanned	Requester's Last Name	Requester's First Name	Requester's Middle Name	Topic A Number	Topic B Number
131-18-2010038504	4/28/2010	Antonio AM Figueroa	Laura	Antonio Figueroa	10000000	10000000

Search Complete    Search Again

Contents    Discussions    Case Actions    History

Task	Status
Create Case	Not Started
Search For Duplicate Cases	Not Started

Records Locator    Case Processor    Case Approver    Unit Chief    Up front approver    Panel    Pass

Page 2 of 2    65.7%    Viewing version: 1

If you do get a match, you should select "Edit" (the icon is a folder with a gear in front of it) to open the matching case and carefully review it to be sure it is a duplicate:

Case360 Home

FIPS v7.0 Training build 06 Work Queues

Processing	Fee Information
Control Number Scanned	Req Last

NRC2010038504 5/28/2010 8:00:00 AM Figu

Edit  
 Search Complete Search Again

By highlighting the case you wish to review and then clicking the “Edit” icon, FIPS will open the case for your review. You then review the request to ensure that:

- If there has been a case that was closed G1 or PD within six months from same requester –
- This does not include cases that were closed with any other final action code.

Once you verify those items and you determine the case is a duplicate of another case, you will select “Set this case as duplicate to original case” as follows:

Case360 Home

FIPS v7.0 Training build 06 Work Queues

Processing	Fee Information
Control Number Scanned	Requester's Last Name

NRC2010038504 5/28/2010 8:00:00 AM Figuere

Set this case as duplicate to original case  
 Search Complete Search Again

~~Create a Final Action Letter and select final action code ER- Created in Error. After this, send the case to Up-front Approver. Do not click “Create Case.” Click “Send to Research.” You will then be ready for your next case.~~

If you determine that it is not a true duplicate, please insert a new Discussion entitled “Similar Case” in each of the cases, so that a processor or approver can review both.

If the date of the request is either the same as your request or within a very few days and:

3. The requester is the same, and
4. The information being requested is the same in both requests,

Do not close this case as a duplicate. ~~Instead, close this case as ER (created in error)~~ Do not click "Create Case." Click "Send to Research."

If you are not sure your case meets the duplicate requirements, create a new Discussion in the case and send the case to Unit Chief. Send your supervisor an e-mail with the case information for his or her review.

## 6.5 COPYING RECORDS FROM A CLOSED CASE

You may be checking for duplicates and discover responsive records of an existing closed case meet the following criteria:

- Regular (not Appeals) case
- Status of the duplicate case is "Closed" and
- The date closed was within six months of the current date

If the duplicate case meets all those criteria, then you may copy from the existing case into the new (active) case. The Request Type that you have selected for the existing case and the new case will determine whether any redactions are copied with the responsive records. If both new and existing cases are FOIA Requests or both cases are Privacy Act requests, then redactions will be copied into the new case with the responsive records. However, if the new case is a FOIA Request and the existing case is a Privacy Act request (or vice versa), then the responsive records will be copied but without any redactions.

To begin the search, select the Tasks tab and click **Search for Duplicate Cases**.







Contents	Discussions	Case Actions
Task	Status	
<u>Search For Duplicate Cases</u>	Not Started	
Create Additional Cases	Not Started	
Create File Request	Not Started	
Acknowledgement Letter	Not Started	
Final Action Letter	Not Started	
Specialty Letter	Not Started	
Status Letter	Not Started	
Blank Letter	Not Started	
Interest Letter	Not Started	
Expedited Denial Letter	Not Started	
Vaughn Index Letter	Not Started	

Click the checkboxes next to the populated fields to select which search criteria to use. Case Creators can also type information into other fields to use as search criteria. When have entered all criteria, click **Submit**.

The Search Results screen lists any FIPS cases that match the selected criteria.

(b)(6) To copy the responsive records from the case shown in the search results into the new case, click the **Copy Documents** icon, which looks like two pages:

Case Info

Control Number	Scanned	Requester's Last Name	Requester's First Name	Requester's Last Name	First Name	Middle Name	Topic
	5/9/2002 6:00:00 AM	Johnson Esq	Laurence	Nalubwama	Teopista		
	10/31/2002 6:00:00 AM	Steel Esq	Richard	Shin	Un	Sook	
	5/3/2010 1:34:12 PM	Sitel	Sam	Sitel	Rick		
	5/3/2010 1:34:12 PM	Sitel	Sam	Sitel	Rick		
	5/4/2010 1:22:47 PM	Sitel	Sam	Sitel	RoxAnne		
	5/6/2010 3:02:43 PM	Richards	Tim	Richards	Viki	Rae	

Search Complete Search Again

A message appears in the Case Info tab confirming that you copied the document into the new case:

Processing

**Copied 1 documents without redactions.**

The responsive records now appear in the Contents List of the new case:

Tasks		Discussions		Case Actions			
Document Type	Seq.	Pages	Status	Resp Unit	A-Number	Date	
Responsive Records	2	19	Scanned	HCU		6/26/2010 3:24:22 PM	
Request Letter	1	1	Scanned			8/20/2010 4:04:41 PM	

## **7. CONSENT, VERIFICATION OF IDENTITY, AND DESCRIPTION OF RECORDS**

**“Consent”** for the purposes of FOIA/PA is written agreement, approval or permission for access to information in the record by the competent individual to whom the record pertains. **The case creator must review the request and supporting documents to determine if proper consent is present.**

5 U.S.C. § 552a(b) No agency shall disclose any record ... except pursuant to a **written** request by, or with the prior **written** consent of, the individual to whom the record pertains.

6 CFR § 5.21(f): If you are making a request for records concerning *(a living) individual (other than yourself)*... You must also provide a statement from the individual certifying the individual's agreement that records concerning the individual may be released to you.

Consent could be:

- Block 3 on Form G-639, or
- A properly executed Form G-28, or
- A separate declaration by the subject, such as:

Pursuant to the Privacy Act of 1974 and DHS policy, I hereby consent to the disclosure to \_\_\_\_\_ of any record pertaining to me that appears in any system of records of USCIS, USCBP, or USICE.

## 7.1 Consent of parents or guardians

If a parent is filing on behalf of a minor child, then the parent must submit proof of parentage. Proof of parentage can be in the form of a birth certificate, adoption decree or similar document, naming them as a legal parent.

If a guardian is filing on behalf of a minor or person judicially determined to be incompetent, he or she must submit proof of guardianship. No consent is necessary from the minor child or the person judicially determined to be incompetent, however the parent/guardian must provide his or her own verification of identity that is notarized or signed under penalty of perjury [6 C.F.R. § 5.21(e)]. The case processor will have to request more information if he or she cannot determine parentage or guardianship within the file.

Minors may request their own files; they do not have to have the consent of their parents or guardians to do so. Attorneys may represent minors also.

## 7.2 Verification of Identity

If a requester is asking for a Privacy Act record, he or she must provide verification of identity.

A Privacy Act record, for USCIS purposes, is any item, collection, or grouping of information about a person which we retrieve by the person's name, identifying number, symbol, or other identifying particular assigned to that person. This information includes, but is not limited to, a person's nationality, immigration status, education, financial, medical, criminal, or employment history.

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Updated on 8/30/2011

6 CFR § 5.21(d) *Verification of Identity*, says the requester must provide us:

- Full Name
- Current address
- Date of Birth
- Place of Birth

If the requester did not provide all four required pieces of information, you must send for additional requester documentation. A requester who provides full name, current address and alien number only has not provided sufficient verification of identity.

Next, it says the subject of record must sign the request and his or her signature must either be notarized or submitted under 28 U.S.C. 1746 (*penalty of perjury in lieu of notarized signature*).

The notarized signature of the subject or the signature under penalty of perjury does not need to be on the G-639. If a requester has inserted the **penalty of perjury statement on ANY document**, and the subject of the file has signed the document, it fulfills the requirement to verify identity.

The notarized signature or signature under penalty of perjury **might** be on a:

- Separate letter, or any piece of paper *including* a G-28, but then only if the penalty of perjury statement is directly above the signature of the subject of record.
- G-639, when the subject has signed the first page and the second page does not contain the signature of the subject but has been notarized.
- DOJ-361, Certificate of Identity: we may not suggest or require that a requester use a DOJ-361, but we can accept one as certification of identity with a signature under penalty of perjury or a notarized signature.

A current photo ID is for information purposes only and is not verification of identity.

**“Verification of Identity”** for purposes of FOIA/PA does not include a Form G-28 with a statement made under penalty of perjury by the requesting attorney or representative “that the information I have provided on this form is true and correct.” The statement must come from the subject of the record. A statement made under penalty of perjury must conform to the requirements of **28 U.S.C. § 1746: Unsworn declarations under penalty of perjury**, which reads as follows:

Wherever, under any law of the United States or under any rule, regulation, order, or requirement made pursuant to law, any matter is required or permitted to be supported, evidenced, established, or proved by the sworn declaration, verification, certificate, statement, oath, or affidavit, in

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writing of the person making the same (other than a deposition, or an oath of office, or an oath required to be taken before a specified official other than a notary public), such matter may, with like force and effect, be supported, evidenced, established, or proved by the unsworn declaration, certificate, verification, or statement, in writing of such person which is subscribed by him, as true under penalty of perjury, and dated, in substantially the following form:

(1) If executed outside the United States:

"I declare (or certify, verify, or state) under penalty of perjury under the laws of the United States of America that the foregoing is true and correct.  
Executed on (date).  
(SIGNATURE)".

(2) If executed within the United States, its territories, possessions, or commonwealths:

"I declare (or certify, verify, or state) under penalty of perjury that the foregoing is true and correct. Executed on (date).  
(SIGNATURE)".

If the requester is asking for records concerning *(a living)* individual, and if there is only one signature and it does not fall under one of the categories above, request consent and/or verification of identity using the Track 1, Track 2 or Track 3 Ack Letter Requester Docs located at: O:\Foia\FOIA LIBRARY\Case Create References\Case Create Template Letters or the form "Requester Documentation Attachment" located at: O:\Foia\FOIA LIBRARY\Case Create References\Case Create Template Letters\Requester Docs Attachment (4). Check the first box on the document.

### 7.3 Reasonable Description of Records being Sought:

If the requester provided all elements required by 6 CFR § 5.21(d), but did not provide an alien number or receipt number, you may still request a file if there is only one match and there is no other indicator that it may not be the correct subject of record.

You may possibly find multiple matches, or you may find no matches at all. In a situation like this, we do not have a reasonable description of the records the requester wants. We will have to send for additional requester documentation, specifically:

- Alien Number (if known)
- Application/Petition Receipt Number (if known)

Additionally, we may ask for items of information such as mother's and father's names. The requester is not required by law or regulation to provide that information, but if the requester does not, we may be unable to locate a responsive record.



Please request the additional PII with your Acknowledgement Letter. After you create the acknowledgment letter requesting additional documentation, do not create the file request. In the “Contents” tab, you will see a Pending slot for Requester Documentation. Send the case to Pend. After we receive a response from the requester, a FOIA/PA Assistant working in Records Locator queue will request the file. The processor will use the requested information to verify the release of the correct records.

Note: if the requester marks “unknown,” “none” or “N/A” for any element of the above PII, please do not request this information as part of the Acknowledgement Letter.

At this point, you will send an acknowledgment letter requesting additional information. You will not request a file.

Go to the “Tasks” tab and select “Acknowledgement Letter”

Contents		Discussions	Case Actions	History
Task		Status		
Search for Duplicate Cases		Not Started		
Create Additional Cases		Not Started		
Create File Request		Not Started		
Acknowledgement Letter		Not Started		
Final Action Letter		Not Started		
Specialty Letter		Not Started		
Status Letter		Not Started		
Blank Letter		Not Started		
Interact Letter		Not Started		
Expedited Denial Letter		Not Started		

Records Locator	Case Processor	Case Approver	Unit Chief	Upfront Approver	Pend	Passion Office	Se
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After selecting “Acknowledgement Letter,” the Acknowledgment Letter Options screen will open. Options on this screen will allow you to ask for other documentation and will also allow you to add a Track 3 Denial or Lost File paragraph.

FIPS v7.0 Training build 06      Work Queries      Actions      Stan

Processing      Fee Information

**Acknowledgement Letter Options**      **Additional Documents Required**

Fee Estimate

Prepayment Required

☐ Advance Payment Returned

☐ Add Lost File Paragraph

☐ Add Track 3 Denial Paragraph

☒ Other Requester Documentation

**Additional Options:**

No options found.

We then click on “Generate Letter.” Our only option at that point is to click OK:

Case360 Home

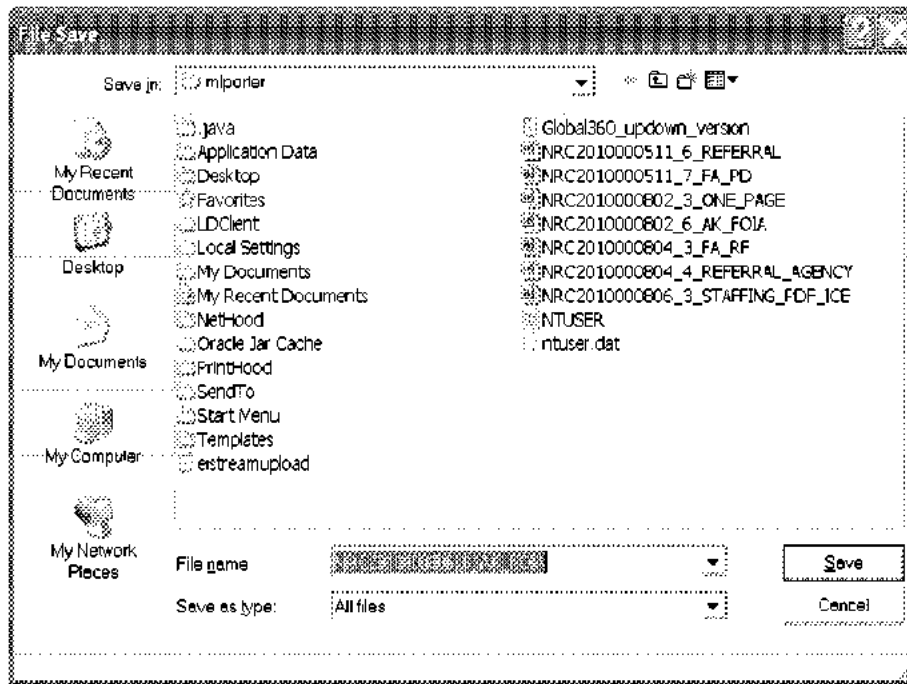
FIPS v7.0 Training build 06      Work Queries      Actions      Standalone Search

Processing      Fee Information

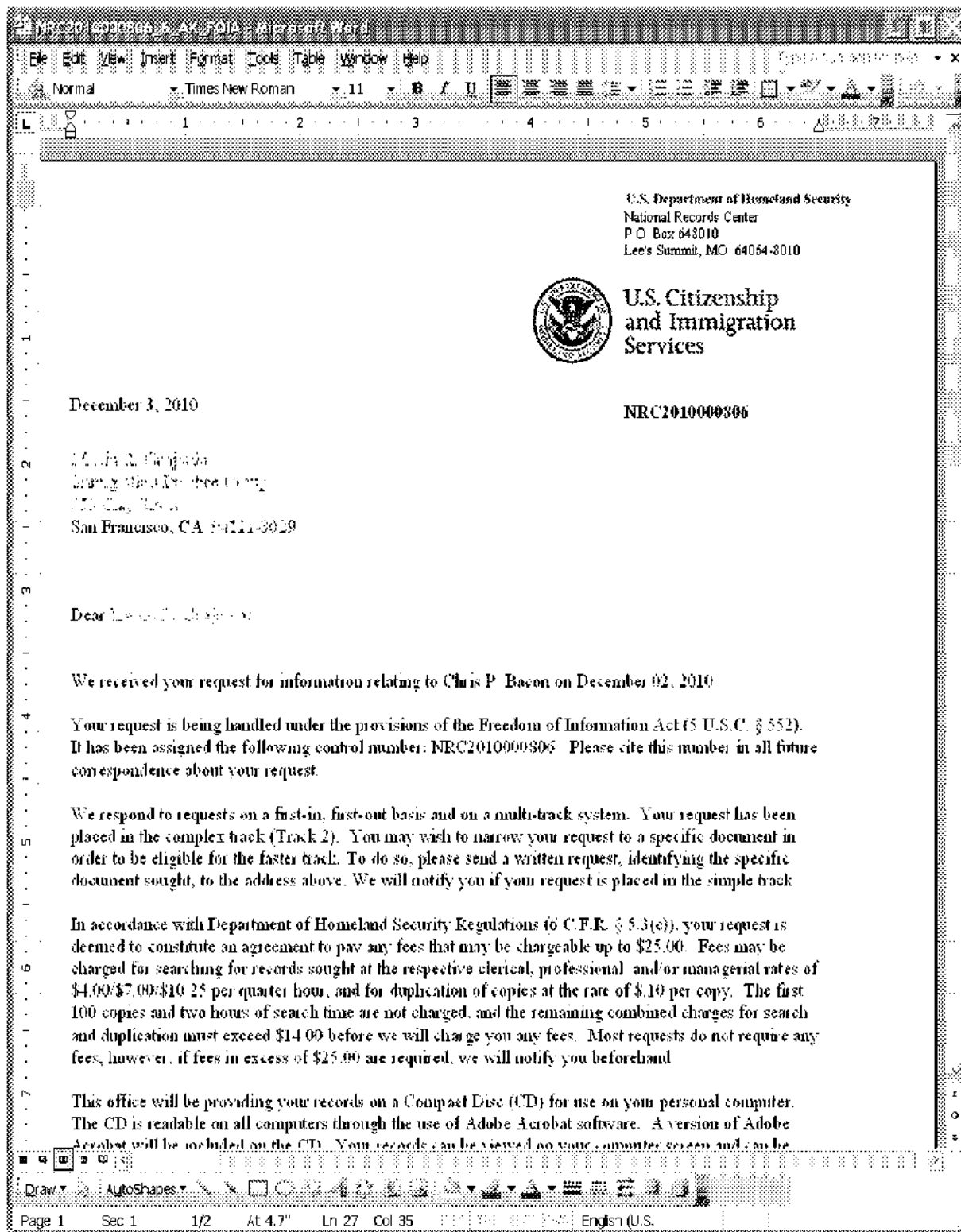
Successfully generated letter Acknowledgement Letter-FOIA.

Click on OK to continue.

As soon as you do, a File Save pop-up window will appear. Click “Save.”



The acknowledgment letter will pop up:



Microsoft Word 2003 - FOIA Request Form.doc

File Edit View Insert Format Tools Table Window Help

Normal Times New Roman 11 B I U [Icons] 100%

All requested information is checked below:

☐ **Consent.** It appears that you are requesting records about another individual. If that is the case, please submit either: (a) written authorization signed by that individual permitting disclosure of those records to you or (b) proof that that individual is deceased, e.g. a copy of a death certificate or an obituary. See 6 CFR §5.3(a)

☐ **Verification of Identity:** It appears that you are requesting records about another individual. If that is the case, along with the consent requested above, please submit a statement prepared by that individual, in which the individual verifies his/her identity by submitting his/her full name, current address, date of birth, and place of birth. This statement must be signed by that individual and the signature must either be notarized or submitted under 28 USC §1746, a law that permits statements to be made under penalty of perjury as a substitute for notarization. 6 CFR §§ 5.3(a) and 5.21(d).

☐ **Verification of Identity:** It appears that you are requesting records about yourself. If that is the case, please verify your identity by submitting a statement containing your full name, current address, date of birth, and place of birth. This statement must be signed and the signature must either be notarized or submitted by you under 28 USC §1746, a law that permits statements to be made under penalty of perjury as a substitute for notarization. 6 CFR §§ 5.3(a) and 5.21(d).

☒ **Description of Records Sought:** We have determined that your request does not reasonably describe the records that are being sought. Please provide the following additional information.

☐ Subject's Alien Number

☒ Subject's Application/Petition Receipt Number

☒ Name of Subject's Parents

☐ Other Names Used by Subject

☒ Other: Name of the person who filed the petition for you, when it was filed, other information that could help us locate the petition]

All FOIA/PA related requests, including address changes, must be submitted in writing and be signed by the requester. Please include the NEC number listed above on all correspondence with this office. Requests may be mailed to the FOIA/PA Officer at the PO Box listed at the top of the letterhead, or sent by fax to 816-350-5785. You may also submit FOIA/PA related requests to our e-mail address at [uscis-foia@dhs.gov](mailto:uscis-foia@dhs.gov).

Page 3 Sec 2 3/3 At 8.6" Ln 47 Col 52 PAC IPD BDT [Icons] English (U.S.)

The acknowledgement letter has a third page. Do not change the wording on the page without specific supervisory instruction to do so. You may add information after the "Other" checkbox to clarify what information we need. Double-click in the area you need additional information, select the radio button marked "Checked" and then click OK for each item of information you need:

The resulting page will look something like this:

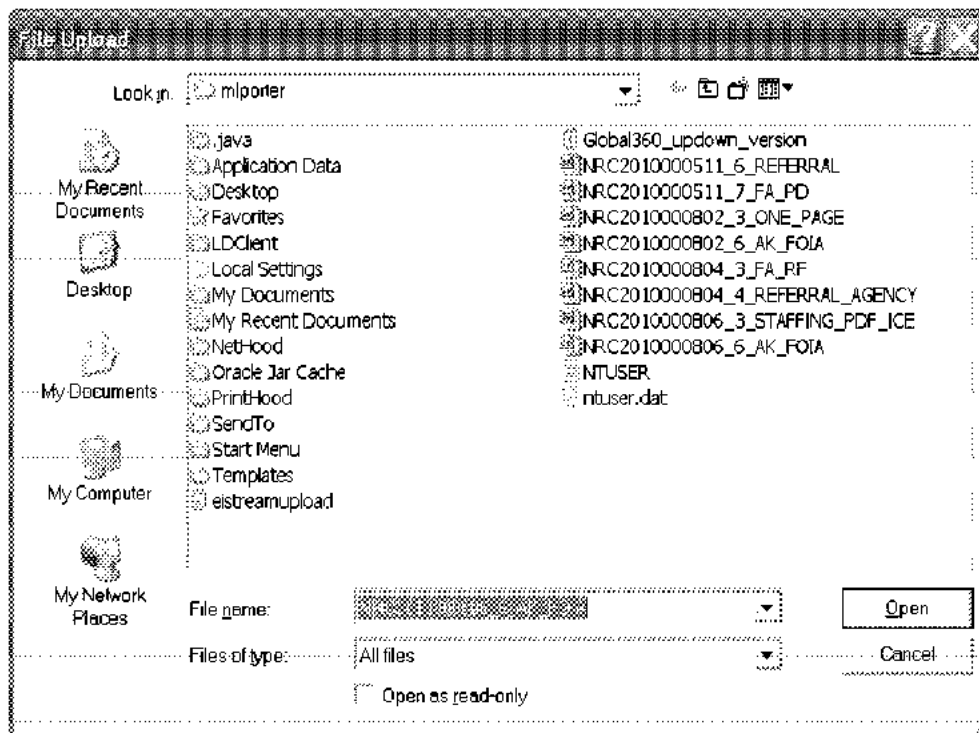
In a situation like this, you would not have created a staffing letter. (Note: If this were a live case, you would not see a pending Responsive Records slot, as in this example.) You save the document, exit Word, and check the document in:

Tasks Discussions Case Actions History							
Document Type	Seq.	Pages	Status	Resp Unit	A Number	Date	
Acknowledgement Letter-FOIA	6		Editing			12/3/2010 10:14:14 AM	
Check In Document	5		Pending	DRO - SEA Seattle	012345678	12/3/2010 8:28:17 AM	
Staffing Response	4		Pending	DRO - SEA Seattle	012345678	12/3/2010 8:28:17 AM	
Staffing Letter - ICE PDF	3		Editing	DRO - SEA Seattle		12/3/2010 8:28:17 AM	
Request Supporting Documents	2	4	Scanned			11/5/2010 8:32:47 AM	
Request Letter	1	2	Scanned			11/5/2010 8:32:45 AM	

Records Locator	Case Processor	Case Approver	Unit Chief	Up-front Approver	Pend	Reassign Office	Se
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Click "Open":



You will notice that there is now a slot for “Requester Documentation” and the Responsive Unit is “Requester.” After this, you send the case to “Pend.”

Tasks   Discussions   Case Actions   History

Document Type	Seq.	Pages	Status	Resp Unit	A-Number	Date
<input type="checkbox"/> Requester Documentation	8		Pending	Requester		12/3/2010 10:40:40 AM
<input type="checkbox"/> Acknowledgement Letter-FOIA	7		Editing			12/3/2010 10:40:40 AM
<input type="checkbox"/> Acknowledgement Letter-FOIA	6		Inactive			12/3/2010 10:14:14 AM
<input type="checkbox"/> Responsive Records	5		Pending	DRO - SEA Seattle	012345678	12/3/2010 8:28:17 AM
<input type="checkbox"/> Staffing Response	4		Pending	DRO - SEA Seattle	012345678	12/3/2010 8:28:17 AM
<input type="checkbox"/> Staffing Letter - ICE PDF	3		Editing	DRO - SEA Seattle		12/3/2010 8:28:17 AM
<input type="checkbox"/> Request Supporting Documents	2	4	Scanned			11/5/2010 8:32:47 AM
<input type="checkbox"/> Request Letter	1	2	Scanned			11/5/2010 8:32:45 AM

Click

Records Locator
Case Processor
Case Approver
Unit Chief
Up-front Approver
Pend
Reassign Office
Send

When the requester provides the additional information, A FOIA/PA Assistant working in Records Locator queue will request the records.

## 7.4 Third party requests

Sometimes consent is not necessary. For instance, a requester asking for a “*list of all employers in Utah who use E-Verify*” does not have to provide consent. Commercial, contract, and media requests are usually third party requests.

On the other hand, USCIS will not release personally identifying information (PII) or personally sensitive information to a third party without consent. If the requester is asking for records concerning an individual and does not provide consent, nor does it appear likely that the requester is going to get consent, we treat it as a third party request without consent. It may be obvious from the request that the requester will not be able to obtain consent from the subject of record. If you have a doubt, consult your supervisor. The supervisor may have you send for consent, call the requester to see if you can make a determination, or create the case as third party without consent.

Third party requesters are entitled to any public documents that may be in the file they are seeking, as well as documents they provided in support of an application or petition. For example, if a wife is looking for a copy of her husband’s file so that she may divorce him, and says in her request letter that she does not know where he is or says she cannot get his consent, do not send a request back to her for her husband’s consent. In a situation like this, simply request the file and put a Discussion in FIPS that it is a third party request without consent. In the above example, if she did not specifically say she cannot get his consent or that she does not know where he is, do not request the file. In a situation like this, send a request for consent and pend the case for requester documentation.

## 7.5 Deceased subjects and the 100-year rule

If the subject of a request is deceased, it is incumbent upon the requester to provide proof of death. Proof of death could be any of the following:

- Death Certificate;
- Obituary;
- Funeral Memorial; or
- Photograph of headstone

If the subject of a request is over 100 years old, USCIS assumes he or she is deceased and no proof of death is required.



## **8. CASE CREATE SITUATIONS/OTHER PROBLEMS**

At any time during the case-create process you may encounter a quirky or unusual situation. Some not-so-usual situations follow this paragraph, but as a case creator, you will inevitably see situations you have never seen before. Case creators should seek assistance from their supervisors as a first step. If the problem cannot be resolved, the creator should send the case to the Unit Chief and send an e-mail to the supervisor for clarification. If it is not a situation that needs clarification but some type of FIPS error, send an e-mail to the FIPS Problem mailbox ([NRC, FIPSPROBLEM](#)), or in other situations to the MSB mailbox ([NRC, NRCFOIAMSMB](#)).

Clicking on the FIPSPROBLEM link above will automatically generate an e-mail addressed to both the NRC, FIPSPROBLEM mailbox and the NRC, FOIA PROGRAM mailbox.

### **8.1 REQUESTS: Foreign Consulate**

Immediately forward any type of correspondence, FOIA request or inquiry received from the consulate of a foreign nation to the Director's Office for handling. USCIS Headquarters is the only one authorized to correspond with foreign consulates.

Please make sure it is a consulate requesting the records and not the subject of the request putting the consulate's address on the G-639 to mail the records to the consulate (for passports). If the request is from a consulate, please send the FOIA request to Up-front Approver to be closed as an ER and send an e-mail to [NRC, FOIAOA](#) mailbox with the case information. The supervisor will review and close the case. If the subject mailed the request and wrote the consulate's address on the G-639, use the subject's address from the envelope and set it up as a self request.

### **8.2 REQUESTS: Non-immigrant visa material**

If the requester specifically asks for non-immigrant visa data and there is no record of the person in CIS or CLAIMS; do not close the request as NR. If the requester is asking a question about being a student, au pair, camp counselor, or participating in a summer work/travel program, or if the requester specifically mentions visa type F-1, F-3, J-1, M-1 or M-3, then you should refer the request to ICE, since that record will be tracked in SEVIS (Student and Exchange Visitor Information System.) An example of a "refer to ICE" type request might be: "Type of visa, visa number and legal documents allowing entry into the US. The subject was a student at the University of Nebraska."

Otherwise, redirect the requester to Department of State. An example of a "re-direct to State" type request might be for a B1/B2 visa, such as: "Type of visa, visa number and legal documents allowing entry into the US. The subject visited Disney World and Cape Canaveral and entered at Orlando International Airport."

### **8.3 REQUESTS: Routine use, no consent required, not FOIA**

USCIS may disclose records to an appropriate Federal, State, tribal, local, international, or foreign agency, including law enforcement, or other appropriate authority charged with investigating or prosecuting a violation or enforcing or implementing a law, rule, regulation, or order, where a record, either on its face or in conjunction with other information, indicates a violation or potential violation of law, which includes criminal, civil, or regulatory violations and such disclosure is proper and consistent with the official duties of the person making the disclosure.

What does that mean? We may disclose records from alien files to other Federal, State and local government agencies as a normal course of operation for law enforcement purposes. Consent is not necessary for the processing of these types of requests. Some examples of these types of requests include requests relating to child support enforcement and aliens seeking public assistance.

Requests from government agencies (federal, state or local) for verification of status of aliens are routine use.

These types of requests are not a part of FOIA and should not be in FIPS. For example, you may open a request from a county public assistance agency attempting to locate a child's father who is avoiding financial responsibility. If you open a request from a state or local government agency requesting information about an alien, send the case to Up-front Approver for closing as ER. The only exception to this rule is if there is a cover sheet with instructions to create as FOIA.

### **8.4 REQUESTS: Bond obligor, no consent required, not USCIS FOIA**

Criminal bonds are bonds posted by individuals or bail bondsmen relating to non-immigration violations of the law. These requests are processed by Immigration and Customs Enforcement.

Immigration bond obligors are surety companies who have posted an immigration bond (I-352) for an alien who has been taken into custody by the Service. If the alien fails to attend his or her hearing, then he or she forfeits the bond. Under the court case *Amwest v. Reno*, the surety companies, or their attorneys, are entitled to a complete copy of the alien's file to assist them in trying to locate the alien. Consent is not required for the bond obligor; however, they should provide a copy of the bond contract, Form I-352, with their FOIA request.

We no longer process requests received from immigration bond obligors or criminal bond obligors. Please send any new requests that are scanned into FIPS to Up-front Approver for closing as ER. Please send an e-mail to NRC, FOIAOA and provide the REQ number or control number, and also include the requester's name.

OA room will mail the request to the following address:

Immigration and Customs Enforcement  
Attention: Catrina Pavlik-Keenan  
ICE FOIA/PA Unit  
800 North Capitol Street, NW, Room 585  
Washington, DC 20536-5009

## 8.5 REQUESTS: A-number only

If a requester/subject is asking for his or her alien number only, follow these steps:

- Search CIS with the information provided on the request to locate an A-number.
- If you locate an A-number, compare the information provided on the request with the information in CIS to make a positive ID.
- You must have proper consent and all of the required PII in order to proceed. If consent or any PII are missing, generate the acknowledgement letter and request the additional information.
- If proper consent is present and all of the required PII is present:
  - Open a RAFACS staffing slot only
  - Print a copy of CIS 9101 screen, attach a “Scan As” cover sheet and mark the box “Responsive Records.” Take the screen print to the designated person (currently John Latimer) for scanning.

Make the case a Track 1 case and pend the case for responsive records. When the responsive records are scanned in, the case will move to the processing queue.

## 8.6 REQUESTS: Bracero Program

The Bracero Program (1942-1964) began as a temporary World War II program to fill agricultural labor shortages, and continued in one form or another for more than twenty years. Initially the program included workers from Mexico, the Virgin Islands, British West Indies, and elsewhere. After about 1945, the program was limited to agricultural workers from Mexico, and the term “bracero” refers to an imported farm worker from Mexico. “Brazo” means arm, and “bracero” means a person who works with his arms.

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Updated on 8/30/2011

Begin with a thorough search of CIS. If no record is located, request a manual search. Create a Records Indexing Staffing and enter all information provided by the requester. If the manual search produces no record, generate a "NR" letter and send the case to Up-front Approver. The supervisor will review and close the case.

In these no record cases, the researcher's only recourse may be to search for a record of admission at the National Archives (NARA). Today NARA holds microfilm of arrivals at US-Mexico Border ports of entry from ca. 1905 to 1954 (some to 1957). A Bracero admitted in 1960 will not appear in these records due to the cut-off dates.

The requester can request a search by writing directly to NARA. In their letter, the requester should ask for a search of Mexican border arrival manifests in Record Group 85. The correspondence to NARA should contain the date and port of entry, as well as the name used at the time of entry, age at the time of entry and any other identifying information.

NATIONAL ARCHIVES AND RECORDS  
ADMINISTRATION  
CIVIL REFERENCE  
7<sup>th</sup> AND PENNSYLVANIA AVENUE NW  
WASHINGTON DC 20408

## **8.7 REQUESTS: Referrals and Consultations received from other agencies**

As other agencies process FOIA/PA requests, they will sometimes find our agency's documents within their files. These documents will be referred to us for processing. The responsive records could be USCIS documents being referred to us for review or joint documents i.e., co-authored by the referring agency and other agencies. A transmittal memorandum advising us to respond directly to the referring agency is a consultation. A transmittal memorandum advising us to reply directly to the requester is a referral.

Send the case to processor. Send an e-mail to the MSB mailbox advising them that you have created the case and that it is a referral/consultation from another agency. Include the alien name and the NRC control number.

## **8.8 REQUESTS: USCIS personnel information**

- Requests that deal specifically with USCIS vacancy announcements, performance ratings and awards are scanned and handled in the HQS queue by the Special Interest Group.
- If a request for CIS Personnel Information mistakenly is scanned in the NRC queue, create the case and reassign the case to **HQS**. Create the case as a Track 2 case. Use

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Updated on 8/30/2011

**PER** for the category and **CIS** for the bureau, in the “Topic” field, enter the vacancy announcement number.

Records Editor Case Processor Case Approver Unit Chief Up-front Approver Send Reassign Office Send to Research Delete Open next

Click on the “Reassign Office” and select the HQS office. The case will be staffed when it is re-assigned to the HQS queue. Send an e-mail to NRC, FOIASIG with the case information.

## 8.9 REQUESTS: Official Personnel File

You may open a FOIA request received from an individual for a copy of his or her Official Personnel File (OPF). Inform such requesters in the final action letter that they may access their OPFs on-line at:

[http://cbpnet.cbp.dhs.gov/xp/cbpnet/hrm/for\\_employees/info\\_about\\_you/eop\\_folder/eopf\\_logon.xml](http://cbpnet.cbp.dhs.gov/xp/cbpnet/hrm/for_employees/info_about_you/eop_folder/eopf_logon.xml)

You should then create a Final Action Letter and select the closing code “NA: FOIA or PA not applicable.” You will have to select a Non-FOIA Operational Unit. Choose “NRC-Director.” You do not have to modify the referral letter, but you should make the appropriate edits in the Final Action Letter. Next, send the case to Up-front Approver. The supervisor will review and close the case.

Processing Fee Information	
<b>Final Action Letter</b>	<b>Final Action Dependent Options</b>
DP: Duplicate ER: Created in Error FC: Requester's failure to comply FI: Requester's failure to ID records NP: Not applicable - certified copy NR: Non-possession of records OR: Old records RD: Redirected to another agency RF: Referred to a DHS Component UT: Unable to locate records WD: Request withdrawn	<b>Records Needed</b> <input type="checkbox"/> Insert Clerk of Courts/National Archives paragraph <input type="checkbox"/> Insert women married to U.S. citizens paragraph  <b>Non-FOIA Operational Units</b> ML Non-FOIA Offices Privacy Act Amendment Request REQUEST FOR FILE FROM A FOREIGN FCO Service Centers TRN FOIA/PA UNIT WCF
<b>Reasons</b>	<b>Redirects/Referrals</b>
<div></div>	<div></div>
<input type="button" value="Submit"/> <input type="button" value="Reset"/> <input type="button" value="Cancel"/>	

## 8.10 REQUESTS: Red Cross / Last known address

Requests from the Red Cross or from some other non-governmental organization (such as Salvation Army, etc.) looking for the last known address of an alien are normal FOIA requests. You should create the case and request the file as a specific document request. It is not necessary to create an acknowledgement letter if the request is from the Red Cross.

## 8.11 REQUESTS: Federal, state, local agencies

Governmental agencies, including county public assistance agencies, are seeking the alien to enforce court ordered support or enforcement of some other lawful responsibility. These types of requests fall under the routine use category.

## 8.12 REQUESTS: Return of original documents

Requesters will sometimes ask for the return of original documents, such as adoption decrees, birth certificates or other documents of a personal nature on a request addressed to FOIA. If the request for the return of original documents is submitted on a G-639, we are required to provide the requester with a copy of the specific documents requested. For return of original documents, the requester must submit a G-884 to the SAVE Unit of their local district office. Insert the following verbiage in the acknowledgement letter.

In your FOIA request you have specifically asked for the return of original documents. We will provide you with a copy of these documents. In order to obtain the original documents you must submit a G-884, "Request for the Return of Original Documents" to the Save Unit of the nearest district office.

If a Form G-884 has accidentally been scanned into FIPS as a FOIA request, send the case to Up-front Approver for closure as "ER" (created in error). A letter is not created by FIPS; you will need to create a Blank Letter explaining the reason we did not accept their request as a FOIA request. Print two copies of the letter. Attach a cover sheet on one copy to be scanned in as a CSD and send the other copy to the OA room for mailing to the requester. Include a detailed Discussion note. Send the case to Up-front Approver. The supervisor will review and close the case.

If the alien file is located at the NRC, the Case Resolution Team at the NRC handles all G-884's (Request for Return of Original Documents). OA ordinarily forwards any requests for return of original documents to Case Resolution.

### **8.13 REQUESTS: Privacy Act Amendment**

A person who is a United States Citizen or a Lawful Permanent Resident may request that we amend, expunge, or correct information in his/her PA record that the individual believes is not accurate, relevant, timely or complete. Sometimes a supervisor will place a coversheet on the request stating "Privacy Act Amendment."

If you are creating a Privacy Act Amendment request, please do the following:

1. Begin as usual, filling in requester and subject information and searching for duplicates.
2. Assign it to Track 2. Assign it to Category: Special Interest Group.
3. Create the case.
4. Prepare an email for NRC, FOIASIG and insert the case number in the body of the e-mail.
5. Change the Office to "COW." Click "SAVE." Click "Reassign Office." You are now ready to move on to the next case.

## **8.14 SITUATION: Untranslated Foreign Language Documents**

If you find an untranslated foreign language document which may contain essential information needed to create a case, and you are unable to determine what that information is, there are individuals at the NRC available to translate. Here is the procedure:

- Insert a Discussion titled “Untranslated Documents” and the reference page numbers.
- Copy the text of the Discussion and paste it into an e-mail to [NRC, NRCFOIAMS@MSB](#).
- Send the case to Unit Chief.
- After translation, a copy of the translated information may be scanned in, or the translator may add a Discussion response. The translator will then return it to you for creation and/or staffing.

## **8.15 SITUATION: Congressional correspondence**

When the unit receives correspondence from a member of Congress, the creator will need to create the case as a track two case, mark the category as Congressional, request the requested documents and send an e-mail to the [MSB Mailbox](#) advising them of the control number, congressional contact information and name of the subject of the request. Do not use the Congressional office address as the address for the FOIA request. If an address for the subject cannot be found, please contact a member of the MSB for more guidance.

## **8.16 SITUATION: Appeals**

While case creating, you may open a request and see that it is marked “Appeal.” The requester will include the case number he or she is appealing. If this happens, you do not create the case. In the upper right hand of the image portion of the FIPS worksheet, there is a printer logo:



Office: NRC      Change Office

Print      Print Options...

20574      2502

Department of Homeland Security  
U.S. Citizenship and Immigration Services

NOTE: Use of this form is optional. Any written format for a Freedom of Information Act request is acceptable.  
**START HERE - Type or print in black ink. Read instructions before completing.**

I. Type of Request (Check appropriate box)

Select "Print." FIPS will then print out all the pages of the request. Get those pages and take them to the designated appeals POC (Currently Beth Stokes). After you are sure the pages printed correctly and you have control of those pages, click "Delete." This is possibly the only time you ever click "Delete."

Send to Research      Delete      Open next

## 8.17 SITUATION: New requests received on the I-694

If you see a case in the creator role or the processor role that has the I-694, Notice of Appeal of Decision Under Sections 245A or 210 of the Immigration and Nationality Act (INA), scanned as the FOIA request letter, this is considered a legitimate request. The Administrative Appeals Office sends this form along with the A-file to the NRC for processing under FOIA.

Form I-694 is used to notify USCIS that an individual is appealing the denial of their permanent residence, temporary residence, or a waiver of grounds of inadmissibility.

To assist you in identifying this request, the words "NEW REQUEST" should have been written on the top of the form before scanning. Please note the request may not have a current date. The case creator should create the case, and request additional information or consent if needed. If additional information or consent is not necessary, send the case to processor.

## **8.18 SITUATION: Subpoena or court order**

If you pull a new request that is a subpoena or court order, please send it to Up-front Approver for closure as ER. Send a message to NRC, FOIA PROGRAM; McDaniel, Marcia M (clicking the link generates the e-mail) providing the REQ number and information indicating the request was a subpoena or court order. The NRC Program Office is currently addressing these requests. Subpoenas or court orders are a high priority. Please notify NRC, FOIA PROGRAM as soon as possible. If you aren't sure, please contact your supervisor for guidance on how to proceed.

## **8.19 SITUATION: Certification of record**

When creating a new case, insert a Discussion "requester wants documents certified." The processor or approver will handle the certification process.

Certification of records is done in accordance with 8 C.F.R. § 103.7(d) and the Records Operations Handbook (ROH).

The NRC will certify certain documents from A-files as being true and correct copies. The physical file must be located at either the NRC or the FRC. Genealogy requests that were received, staffed and processed by NRC can also be certified by the NRC. The NRC will not certify copies of documents that belong to other agencies. Information will be provided to the requester on how to obtain certified copies of these documents. The NRC can also provide a certified letter giving information such as the date of entry and the status of the individual.

First, evaluate if the request qualifies under the Genealogy Program. Refer to the section entitled Case Specifications, Category 4 (Other).

NRC will not certify naturalization certificates for living persons. If the individual has his or her original naturalization certificate and want or need a certified copy of it, he or she must make an INFOPASS appointment. An individual must submit an N-565, Application for Replacement Naturalization/Citizenship Document if he or she has lost or misplaced the original.

Records Services Branch, USCIS does all certificates of non-existence; these requests must be submitted in writing to the address shown below:

U.S. Citizenship and Immigration Services  
ATTN: Records Service Branch  
1200 First Street, NE, 2<sup>nd</sup> Floor  
Washington, DC 20529-2204

## **8.20 SITUATION: Certification of record for dual Italian citizenship**

If we receive a request asking for a certified copy of a relative's naturalization certificate for the purpose of applying for dual Italian citizenship:

Evaluate if the request qualifies under the Genealogy Program. Refer to the section entitled Case Specifications, Category 4 (Other).

If the requester's relative is deceased, he or she must submit the request to the USCIS Genealogy Program. The web address for more information and instructions for submitting their request is **USCIS.gov** or;

If the requester's relative is living, please include the following paragraph in your acknowledgement letter:

This is in response to your request for a certified copy of a relative's naturalization certificate in order to apply for dual Italian citizenship. According to information obtained from the Italian Embassy in Washington, D.C., certified copies of naturalization certificates are not required for the dual citizenship application. The Italian Embassy requires the naturalization certificate copy along with our USCIS cover letter and envelope. The records that we release as part of this FOIA request will serve that purpose.

## **8.21 SITUATION: Record at National Archives and Records Administration (NARA)**

The National Archives and Records Administration has designated alien files as permanent records for the Federal Government, ensuring their retention indefinitely. As with all permanent records of the Federal Government, ownership and physical custody of the record is transferred to NARA at a designated point and NARA becomes the custodian of the record. Once the record is transferred to NARA, anyone who wants documents out of the file will have to file his or her FOIA request directly with NARA. The "magic date" for alien files to be turned over to NARA is when the subject of the file passes 100 years of age. The NRC has begun the process of transferring the targeted files into the custody of NARA.

As a result, case creators need to pay close attention to those cases in which the subject of the file was born more than one hundred years ago, particularly if the request does not meet the criteria for a genealogy case.

For example, the requester writes in and makes the following request:

"I want the records of Joe Crab, date of birth, March 22, 1899. Mr. Crab naturalized in 1957 and died in 1969. Enclosed is proof of his death and alien number."

NOTE: You may find the complete list of criteria in Section 3, "Category of request" in the sub-paragraph "GEN."

Mr. Crab meets one prong of the criteria for genealogy because he was born long ago; however, since he was naturalized in 1957, he does not meet the prong of having no documents in his file dated after 1951. If you are creating a case and the subject of the request is 100 years of age or older, **but** the person DOES NOT fully meet the criteria for a genealogy case, please pay special attention to NFTS. If NFTS shows that the a-number has been retired to NARA, it means we have turned the records over to NARA permanently. The requester will have to send a request to NARA. Please select FINAL ACTION OPTIONS when creating the Acknowledgement Letter, select NA and replace the normal Acknowledgement Letter with the NARA Historical Record Letter located at

O:\Foia\FOIA LIBRARY\Case Create References\Case Create Template Letters\Historical Record Letter.

It may happen that USCIS has not yet transferred the file to NARA. If NFTS still shows a shelf location within NRC (or any other office), request the file.

## **8.22 SITUATION: Old records**

Occasionally we will receive a request for records pre-dating our recordkeeping system. The agency maintains immigrant arrival records created since 1892; and naturalization records since 1906.

When a request is for records older than those maintained by the agency, create a Final Action Letter and select "OR." This generates a letter to the requester explaining that the records being requested are older than those maintained by the agency. After generating the final action letter, send the case to Up-front Approver. The supervisor will review and close the case.

## **8.23 SITUATION: Requests from Prospective Adoptive Parents**

In the recent past, Vietnam, Cambodia, Guatemala, Nepal, Ethiopia and other countries have had problems concerning adoptions. Birth Certificates have been forged and babies have been taken without consent of the biological parent. In Vietnam, "baby brokers" scour villages looking for unwed, impoverished mothers. They purchase the babies for about \$50 and sell them to commercial adoption services. In Guatemala and elsewhere, people steal babies and sell them to middlemen. Prospective adoptive parents from Spain, Italy and the United States are typically willing to pay as much as \$25,000 to adopt a child. (This information comes from kidsofkathmandu.org).

Normally if we cannot verify consent or prove parentage in a case, we send out for more information. Please do not send out for additional information in pending (not finalized) adoption cases for the following reasons:

1. The Prospective Adoptive Parents (PAP) have the right to all information they submitted for the adoption. In cases like this, it is likely that the adoption never happened. If that is the case, they have no proof of parentage or guardianship.
2. The child is usually too young to give consent.
3. Congress has substantial interest in this matter.

If you decide you need proof of parentage after a full search, please send your case to Admin for supervisor review.

## **9. REFERRAL AND REDIRECTION**

### **9.1 Referral**

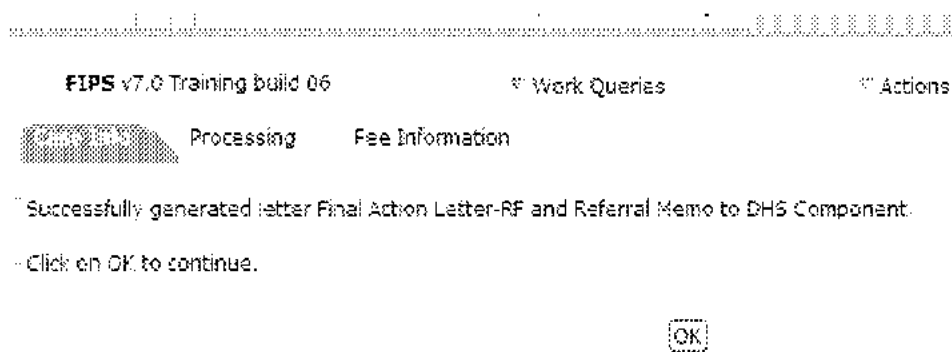
The FOIA requires us not to close a case if there is information in another component of our department. For instance, the Drug Enforcement Administration and the Federal Bureau of Investigation are both components of the Department of Justice. If DEA receives a FOIA request and determines the information is with FBI, they may not close the case and tell the requester to write to FBI (that is redirection). They must send the request to the FBI and advise the requester they have done so (that is referring).

USCIS occasionally receives FOIA requests for non A-file records totally under the purview of another DHS component. When this occurs, we refer the FOIA request in FIPS to the correct component. The following agencies are DHS components:

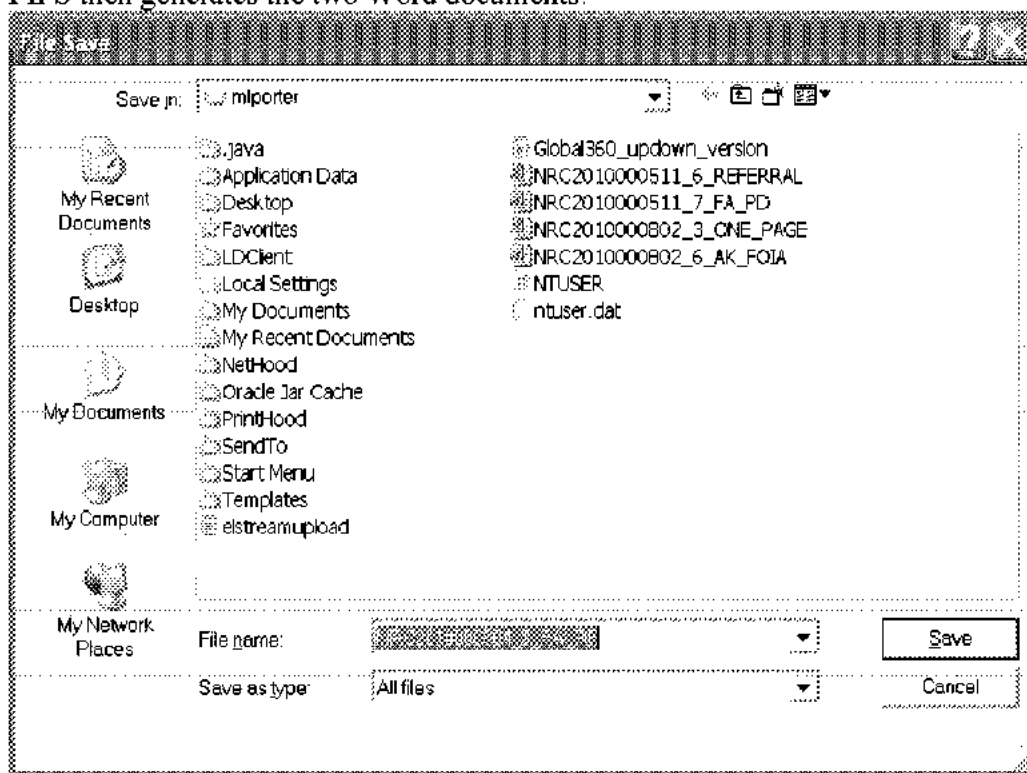
- Transportation Security Administration (TSA)
- U.S. Customs and Border Protection (CBP)
- U.S. Immigration and Customs Enforcement (ICE)
- U. S. Secret Service (USSS)
- Federal Emergency Management Agency (FEMA)
- U.S. Coast Guard (USCG)

Under the “Tasks” tab, select Final Action Letter. Select “RF: Referred to a DHS Component” as the final action code. Under “Redirects/Referrals” select the component to which we are referring the request and click “Submit.”





FIPS then generates the two Word documents:

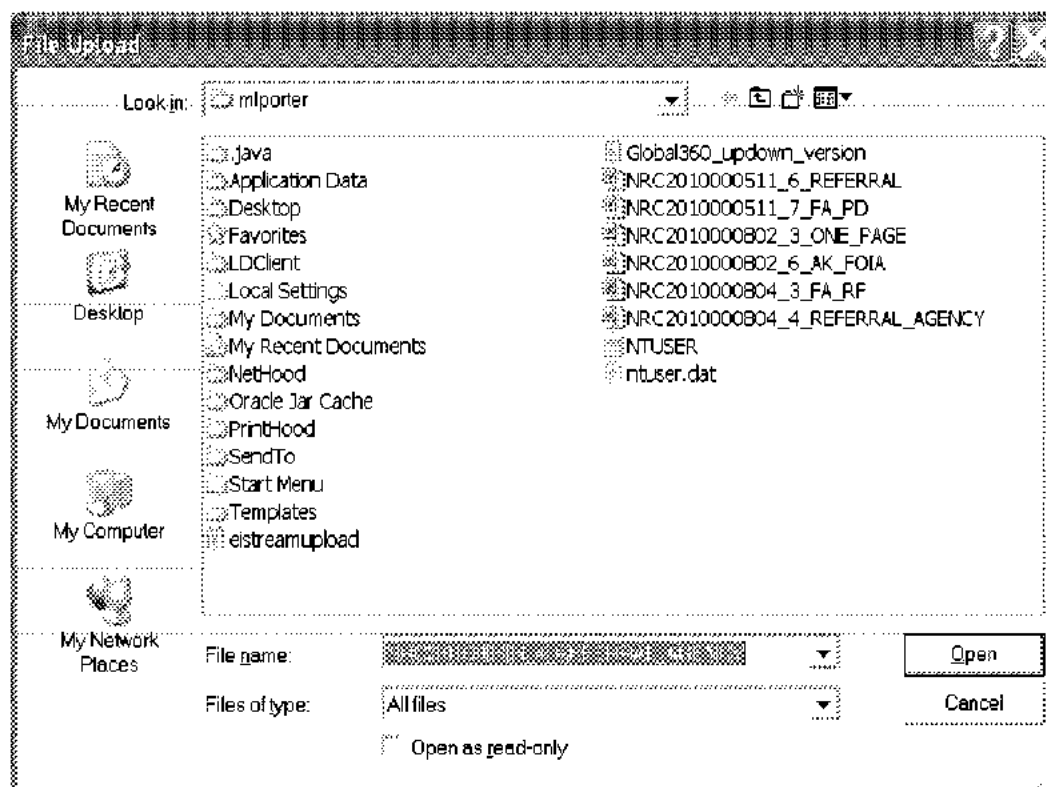


You may have to edit the letter to add needed information. After you exit from the Word documents, they will appear under the “Contents” tab:

	Tasks	Discussions	Case Actions	History			
	Document Type	Seq.	Pages	Status	Resp Unit	A Number	Date
	Referral Memo to DHS Component	4		Editing	PER		12/2/2010 11:57:35 AM
	Check In Document	3		Editing			12/2/2010 11:57:34 AM
	Request Supporting Documents	2	1	Scanned			11/5/2010 8:01:56 AM
	Request Letter	1	2	Scanned			11/5/2010 8:31:53 AM

Records Locator	Case Processor	Case Approver	Unit Chief	Up-front Approver	Paid	Reasoning Office	Send
<a href="http://202apnrc221001/recordsra/ra/CheckInFilestore.jsp?docId=5061">http://202apnrc221001/recordsra/ra/CheckInFilestore.jsp?docId=5061</a>							

Click on the “Check in Document” icon and you will get a “Save” dialog box. Click “Open.”



After you have done this for both documents, send the case to Up-front Approver.

## 9.2 Redirection

If we receive a request for records that belong to an agency outside of DHS, we close it and write a “redirect letter.” Under the “Tasks” tab, select Final Action Letter. Select “RD: Redirected to



another agency” as the final action code. Under “Redirects/Referrals” select the agency to which we are referring the request and click “Submit.”

An example of a request we close and redirect is a petition that we discover has been forwarded to the National Visa Center for issuance of an immigrant visa. The redirect letter advises the requester to contact the different agency for the information they are seeking. The procedure for the documents is the same as for referrals. You may have to edit the letters to add needed information. After you exit from the Word documents, they will appear under the “Contents” tab. Click on the “Check in Document” icon and you will get a “Save” dialog box. Click “Open.” After you have done this for both documents, send the case to Up-front Approver.

### **9.3 Entry/Exit Information referral to CBP**

CBP handles FOIA requests for entry and exit information dating back to 1982, inspection, Port of Entry (POE), requests for information relating to air and/or marine incidents, or the U.S. Border Patrol Academy, legacy Customs or legacy Inspections. Key words that you could see on a request relating to CBP are inspection, Port of Entry, Bridge of the Americas, Friendship Bridge, and smuggled goods. A FOIA request for this type of information should be referred to **CBP** at the address shown below.

U.S. Customs and Border Protection  
FOIA Division  
799 9<sup>th</sup> Street NW, Mint Annex  
Washington, DC 20229-1177

**Note:** If the request is for entry/exit information and the requester/subject provided an alien number, request the file. If the request is for entry/exit information and the requester/subject did not provide an alien number, you must thoroughly search CIS and CLAIMS to be sure the person does not have an alien number or application. CBP has records on entry and exit information dating back to 1982, but no further back. You may modify the referral letter; any information you can provide as to what the requester is asking for will be helpful to CBP.

### **9.4 Border Patrol referral to CBP**

If you encounter a Border Patrol Request in Case Create, refer the case to CBP. This includes Border Patrol records relating to apprehension, entry without inspection (EWI), smuggled humans, mobile patrol group, voluntary return, repatriation, or checkpoints.

Exception to this rule; if the requester provides an A-number or you locate an A-number through a search of the systems, please request the A-file.

## **9.5 Personnel/hiring practices/vacancy announcements**

If you receive a request concerning employee records, vacancy announcements, or any personnel matter generally, please create the case as you normally would by filling in the blanks and controlling the case. After that, change the Category to PER. Do not create a staffing and do not send any correspondence to the requester. Add a Discussion note that this appears to be a personnel-type FOIA request. Send an e-mail to [NRC.FOIASIG](#). After that, send the case to Unit Chief.

## **9.6 US-VT referral to US Visit**

Refer requests relating to United States Visit. The United States Visit is a Border Security Program that records biographic, biometric and travel information for all foreign visitors to the United States. The system screens all crewmembers and passengers that travel to the United States by air, sea or land. United States Citizens are not in the system.

If the requester is asking for both a copy of the alien file and for entry and exit information, you should request the file. See [Entry/Exit CBP](#) information above.

## **10. DETERMINING TO STAFF BASED ON BEST INFORMATION AVAILABLE:**

If you determine that the requester has provided all the PII possible after performing the CIS 9102 or 9106 and 9103 screen searches shown above, and there is only one person in the CIS 9101 screen with the same information, please request the file. However, prepare a Discussion explaining why you staffed for the file.

## **11. SOCIAL SECURITY NUMBER**

USCIS does not use Social Security numbers in the Freedom of Information/Privacy Act requests. Even if the alien disclosed his or her SSN in the request, do not enter that number on the FIPS worksheet. We will not request the Social Security number when requesting additional documentation.

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Updated on 8/30/2011

## **12. REQUESTING THE RESPONSIVE RECORDS**

After the acknowledgement letter is created, if all required information is present, the next step is to request the records that are responsive to the request.

How do you determine what records are responsive to the request? First, you have to read the request. Typically, the requester will ask for a complete copy of an alien file and they will provide an alien number. If this is the situation, you must verify in CIS that this alien number belongs to the subject.

There is a staffing guide/RPC reference sheet available on the FOIA Operations intranet page to use for requesting the file.

If the requester is only seeking specific documents, please make a Discussion in FIPS detailing what those documents are. You will also be mentioning those specific documents in your acknowledgment letter to the requester.

The Service Centers (except MSC/NBC) scan the responsive records into FIPS when they are the FCO for that file. Please see the staffing guide for more instructions on requesting these types of Service Center files.

If the requester did not provide an alien number or receipt number but did provide enough information to conduct a thorough search, you should search CIS, CLAIMS and possibly PCQS to determine the subject's alien number or receipt number. If the requester did not provide enough information to conduct a thorough search, then you will have to ask the requester for more information.

We do not request "S" (substitute) or "W" (working) files unless instructed to by a supervisor/lead. After the creator has staffed for the appropriate files, the next and final step to case creation is to pend the case for the responsive records.

If the file is located at COW, with the Responsible Party Code (RPC) of RK, please insert a Discussion after you have created the case. The title of the Discussion should read "File is at RK." Send the case to Unit Chief. Send your supervisor an e-mail with the control number of the case and that the file is located at COW with an RPC of RK.

If you see an RPC of "ZW" in NFTS; that indicates the file is classified. Staff the file to the current FCO. If you see an RPC code ZW0004; that indicates the file is here at the NRC in the safe and you should staff: FOIA Safe.

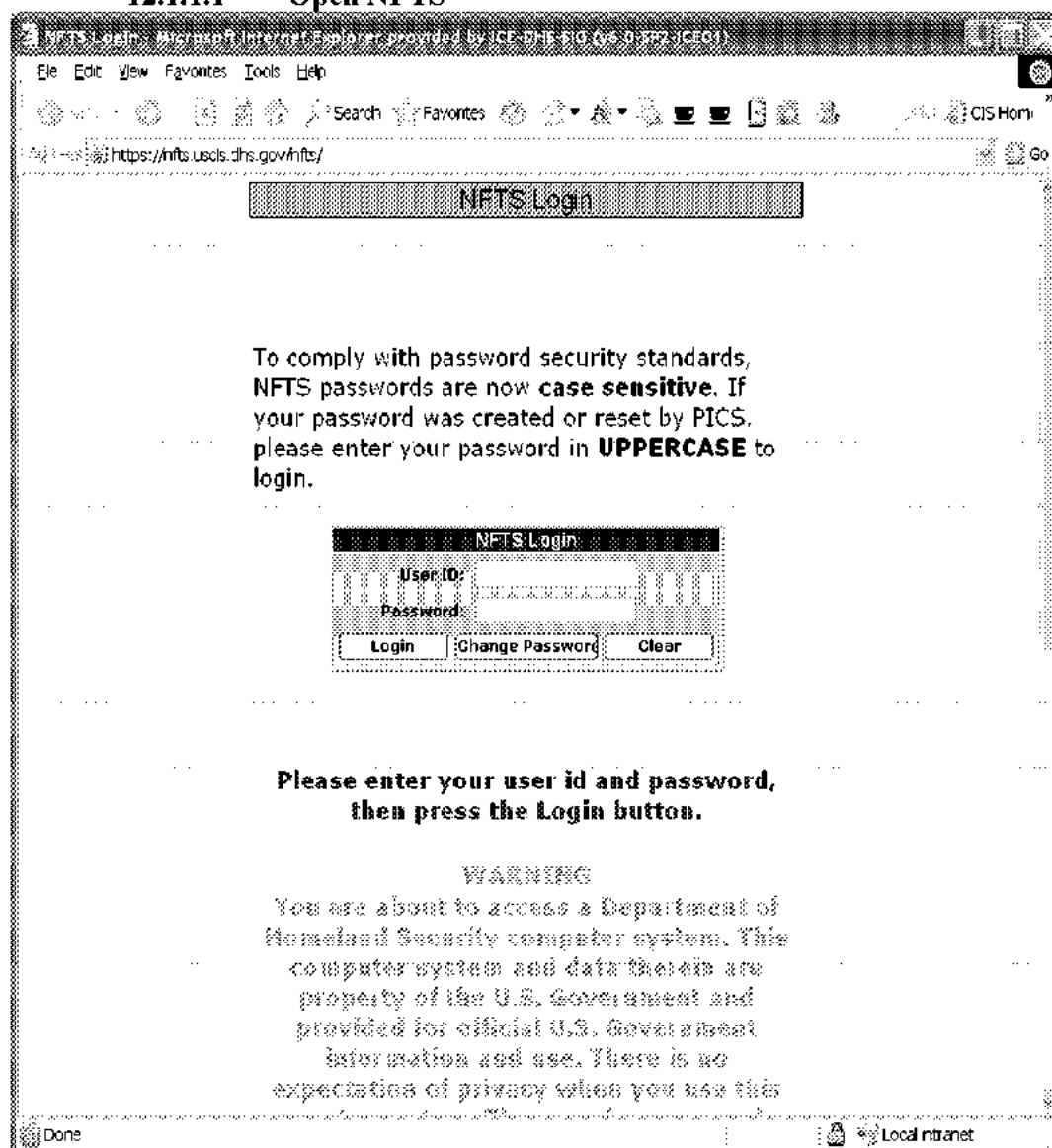
If you pull a case that has a FOIA Safe staffing you should **NEVER** cancel the file request. Send the case to Pend.

## 12.1 Staffing by Alien Number

### 12.1.1 One A-number provided on the request (with example staffing)

If an A-number is provided on the request and CIS confirms that it belongs to the alien, ensure you have all the other required elements (DOB, COB, DOE, POE and parents' names) to complete the case create. If any of the required elements are missing, request the additional information when sending the Acknowledgment Letter. The section that follows is a systematic example of staffing by A-number when the requester has provided one.

#### 12.1.1.1 Open NFTS



### 12.1.1.2 Submit your location

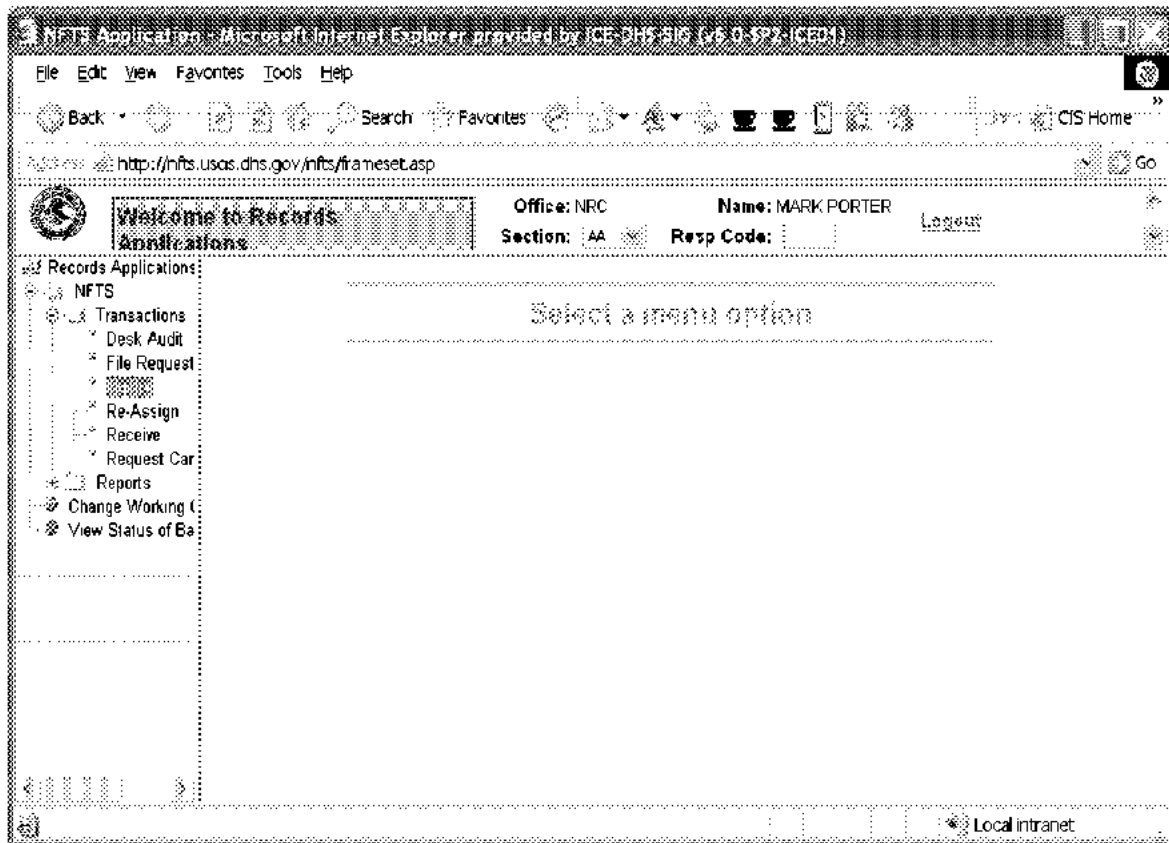
The screenshot shows a web browser window titled "NFTS Login/Choose Location - Microsoft Internet Explorer, provided by ICE-DHS-SIG (v6.0.SP2-ICE01)". The address bar displays "http://nfts.uscis.dhs.gov/nfts/setuseroffice.asp". The main content area features a header "NFTS Login/Choose Location" and a central form titled "Select Office and Default Section". The form includes a "Select Office:" dropdown menu, a "Default Section:" dropdown menu with "AA" selected, and a "Default Resp. Party:" text input field. A "Submit" button is located at the bottom of the form. The status bar at the bottom of the browser shows "Done" and "Local intranet".

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Updated on 8/30/2011

### 12.1.1.3 Select "Inquiry"



**12.1.1.4** Select “ALL Converted Offices” and enter “A” or a “+” then enter the A-number. Preferably, paste the copied number from CIS so you are sure you are asking for the correct file.

The screenshot shows a web browser window with the URL <http://nrc.uchc.dhs.gov/nrc/transet.asp>. The page has a menu on the left with options like Transactions, Desk Agent, File Request, etc. The main area is titled "Inquiry" and contains a search form. A red arrow points to the "Search In ALL Converted Offices?" checkbox, which is checked. Below this, there is a "Show Information entered on or after:" field with a date picker. The "General Inquiry For" section shows a table with columns: File #, Seq, Office, Status/Last Action, and Location. The table is currently empty.

**12.1.1.5 The search result** provides several pieces of information. First, we can verify from CIS that the File Control Office (FCO) is Seattle. The Responsible Party Code (RPC) is DP0064, and it tells us that DP means Deportation. Do you see the four boxes above the “Exit” button? Those are “Rider,” “Consolidation,” “Retire,” and “In Transit.” If any one of those is “grayed out,” it means there is no information there. If one is “blued in,” it means there is information and we should look at it.

The screenshot shows a web browser window titled "NFTA Application - Microsoft Internet Explorer". The address bar shows "http://nfta.uscis.dhs.gov/nfta/frameset.asp". The page has a sidebar on the left with links like "NFTA", "Transactions", "Dist. Assist", "File Request", "Reports", "Change Working", and "View Status of". The main content area has a search bar with "Office: NFTA", "Name: MARK PORTER", "Section: AA", and "Resp Code:". Below this is a "Search" button and a "Clear" button. The "General Inquiry For ADP" section shows a table with the following data:

File #	Seq	Office	Status/Last Action	Location
AD	000	SEA	Status: RECORD IN USE Audit Date: 11/01/2009 01:34:01 PM Last Action: 11/01/2009 01:34:01 PM Batch Audit	Dept: DP - DEPORTATION Resp: OCA - PIA SHELF, TUGVILA

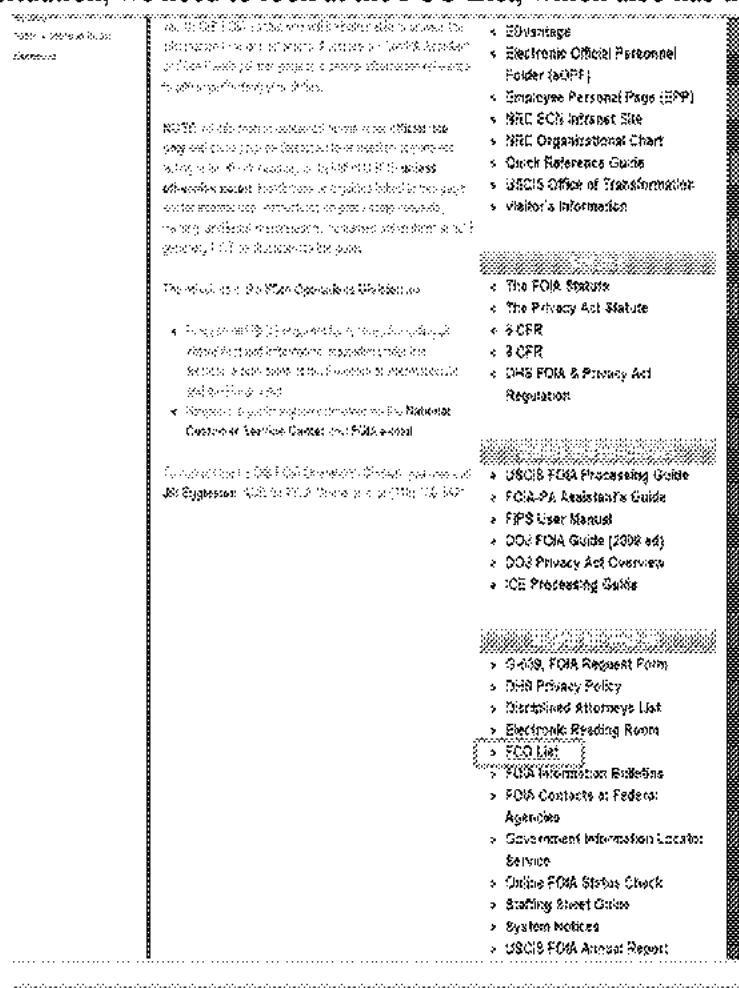


### 12.1.1.6 “Blued in” information

- If “Retire” had been blued in, it would have been important. We would have used that inquiry screen to staff from the FRC.
- If “In Transit” had been blued in, it would have been important. We would have staffed to the receiving FCO.
- If “Consolidation” had been blued in, it would have been important. We would have checked to make sure our file is the “survivor” and not the consolidated file.
- “Rider” could be important to the case processor, but it has nothing to do with how we request this file.

### 12.1.1.7 The FOIA Operations Division Intranet Page

Now, an RPC beginning with “DP” is easy because NFTS shows right beside it that it means “Deportation.” Sometimes an RPC prefix can be important and it’s not obvious right away. If that’s the situation, we need to look at the FCO List, which also has the RPC Reference Guide.



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**12.1.1.8 The RPC Reference Guide** says that no matter what the FCO is, if the RPC starts with DP, we staff to DRO. If you don't already know this, SAC, RAC, ASAC, DRO and OPLA are all ICE functions. That's important for staffing.

Internet Explorer - http://ers.uscis.dhs.gov/frc/pdf/FCOList.pdf

File Edit Go To Favorites Help

Search Favorites

Address: http://ers.uscis.dhs.gov/frc/pdf/FCOList.pdf

Go

125%

D:\Fols\FOIA LIBRARY\Case Create References\Case Create Template Letters\Case Create References\FOIA FCO List 3/31/2010

**RPC REFERENCE FOR STAFFING - Updated 3/31/10**

FCO	Codes	Description	Staffing	Notes or Exceptions
ALL		Adjudications	non - FOIA	
ALL		Airports	non - FOIA	are Border Patrol
ALL		Anti Fraud	non - FOIA	
ALL		Anti Smuggling	SAC/RAC/ASAC	
ALL		Chief Counsel	OPLA	
ALL	CAP	Criminal Alien Program	DRO	
ALL	DI	Deferred Inspection	non - FOIA	Border Patrol function
ALL	DP	Deportation	DRO	
ALL		Detained	DRO	If Co. Jails, Prisons and Processing Centers.
ALL	D & R	Detention and Removal	DRO	
ALL		Detention Facility Name	DRO	This includes Co. Jails, Prisons and Processing Centers.
ALL		District Counsel	OPLA	
ALL	EX	Examination	non - FOIA	
ALL	FD	Fraud detection (FDNS)	non - FOIA	
ALL	FO	Freedom of Information Act	DRO	

Done Unknown zone

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Updated on 8/30/2011



### 12.1.1.10 Figuring out a Staffing Scenario

The Guide confirms what we thought. If we staff to DRO, then we choose the FCO where the file is located. We're going to look for DRO-SEA. Note that the quickest way for me to find the information is by searching "DRO." I could have also gone to the table of contents and looked under Staffing Scenarios.

**STAFFING SCENARIOS - ICE FILES**

There are currently five different types of staffings for files located within the ICE function. The NETS screen print should be posted to the second page of the staffing letter.

**OPLA** – Staffing sheets are to be used for files that are located in the following office sections. Choose the FCO where the file is located, such as OPLA-BOS.

Office Section	Acronym
Trial Attorney's Office	TA
Chief Counsel	
Litigation	LI or LIT
Legal Section	LS
District Counsel	DC

– Staffing sheets are to be used for files that are located in the following office sections. Choose the FCO where the file is located, such as DRO-DEN.

Office Section	Acronym
Detention & Removal	DENTENT, D&R, DET, DRO, DD&P
Criminal Alien Program	CAP
Deportation Officer/Assistant/Clerk	DO, SDO
Bond Control Spec.	
Immigration Enforcement	IEA
Field District Office	FOI (Washington DC) (DRO-WAS)
Admin Program Office	
Non-Detained or Detained	
Processing Center	OC-Ortero County
Detention Facility name	ie. Gray Mesa, Krome
Foreign Office	FO

Results:

- ☒ OPLA/DRO/ SAC OIS – Used for all c
- ☒ the drop-down box to select the offic
- ☒ as DRO-DEN, Office Section Acronym
- ☒ DET, DRO, DOSP Criminal Alien Progi
- ☒ DRO-WAS, Admin Program Office Hic
- ☒ action drop down menu, FIPS will a
- ☒ on drop-down menu titled "Referral"
- ☒ the drop-down menu for "Category"

### 12.1.1.11 Generate the file request

Go to the “Tasks” tab and click on “Create File Request.”

**EPRS v2.0.0** | **Home** | **Work Center** | **ASAC** | **Database Search**

**Processing** | **Page Information**

**A-Number** 001.0495576 | **EDMS**

**Staff Request To** | **Generate Staffing Sheet**

**ASAC**

- ASAC Spokane WA
- ASAC Spokane CA
- ASAC Charlotte NC
- ASAC Cleveland OH
- ASAC Douglas AZ
- ASAC Ft. Lauderdale FL
- ASAC Houston TX

**Generate Staffing Sheet**

- ☐ No Staffing Letter
- ☒ Customize Letter
- ☐ File Missing/Lost

**Location Address**

**Office Contact**

**Name**

**Room**

**Cell Room**

**Cancel**

**Contents** | **Endowment** | **Case Account** | **History**

Task	Status
Search for duplicate cases	Completed
Create Additional Cases	Not Started
Create File Request	Not Started
Assign/Reassign Letter	Not Started
Final Action Letter	Not Started
Stipulation Letter	Not Started
Status Letter	Not Started
Blank Letter	Not Started
Interest Letter	Not Started
Expedited Denial Letter	Not Started

**Report Tracker** | **Case Processor** | **Case Approver** | **Final Case** | **Top Final Approver** | **Panel** | **Seal/Sign Office** | **Print to**

Page 1 of 2 | 90.5% | **Version** 1

Make sure the button marked “Customize Letter” is selected. The file is not missing or lost, so we won’t check that box. We know the file is at DRO Seattle, so we will scroll down “Staff Request To” until we find it.

### 12.1.1.12 FIPS – Staffing Request dialog box

We will scroll down the DRO list until we get to SEA, select it and then click Request File:

Processing Fee Information

A-Number: 012345678 ☐ EDM5

Staff Request To: **Generate Staffing Sheet**

☐ No Staffing Letter  
☒ Customize Letter  
☐ File Missing/Lost

DRO - POM  
 DRO - POO  
 DRO - PRO  
 DRO - REN Reno  
 DRO - SAC Sacramento  
 DRO - SAJ San Juan PR  
**DRO - SFR San Francisco**

**Request To Staff**

**Location Address**  
 DRO - SEA Seattle  
 Deportation +330  
 206-835-0081

**Office Contact**  
 Name: Boney Wong  
 Email:  
 CC Email:

Request File Cancel

Contents Discussions Case Actions History

Task	Status
Search For Duplicate Cases	Completed
Create Additional Cases	Not Started
Create File Request	Not Started
Acknowledgement Letter	Not Started
Final Action Letter	Not Started
Specialty Letter	Not Started
Status Letter	Not Started
Blank Letter	Not Started
Interest Letter	Not Started
Expedited Denial Letter	Not Started

Records Locator Case Processor Case Approver Unit Chief Up-front Approver Pend Reassign Office San

Page 1 of 2 80.5% Viewing version: 1

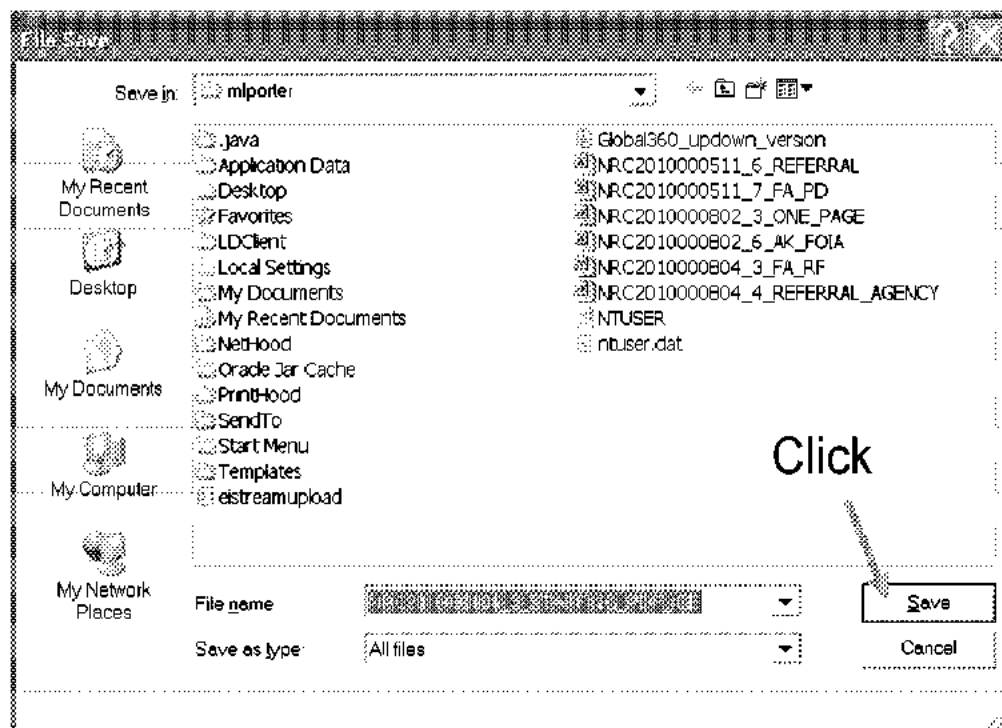
### 12.1.1.13 Create the customized staffing letter

After that, we get a message that says “Successfully generated letter Staffing Letter – ICE PDF.” Click OK and then move to the “Contents” tab. Click on the Staffing Letter and select “Edit (Check Out).”

Tasks Discussions Case Actions History							
Document Type	Seq.	Pages	Status	Resp Unit	A-Number	Date	
<input type="checkbox"/> Responsive Records	5		Pending	D&O - SEA Seattle	612345676	12/3/2010 9:28:17 AM	
<input type="checkbox"/> Staffing Response	4		Pending	D&O - SEA Seattle	612345676	12/3/2010 9:28:17 AM	
<input type="checkbox"/> Staffing Letter - ICE PDF	3		Editing	D&O - SEA Seattle		12/3/2010 9:28:17 AM	
View	2	4	Scanned			11/9/2010 9:32:47 AM	
Edit (Check Out)	1	2	Scanned			11/9/2010 9:32:49 AM	
Manage Document							
Reserve (Lock)							
Download File							
Send to Print Queue							
Cancel Letter							

Records Locator	Case Processor	Case Approver	Unit Chief	Upfront Approver	Pend	Reassign Office	Send
-----------------	----------------	---------------	------------	------------------	------	-----------------	------

Page 1 of 2 80.5% Viewing version: 1




As soon as I clicked "SAVE," FIPS opened the staffing letter for me in Word.

File Edit View Insert Format Tools Table Window Help

Normal Times New Roman 11

U.S. Department of Homeland Security  
National Records Center  
P.O. Box 648010  
Lee's Summit, MO 64064-8010

 U.S. Citizenship and Immigration Services

December 3, 2010 NRC2010000806

MEMORANDUM FOR:  
DRO - SEA Seattle  
Deportation Asst.  
206-835-0061  
Bonty Wong

ATTN: Bonty Wong

FROM: NRC FOIA/PA

SUBJECT: Freedom of Information /Privacy Act Request NRC2010000806  
Alien # 012345678  
Subject Name: Chris P. Bacon

The attached FOIA/PA request is forwarded to your office for action. Due to the subject matter, there is a high probability your office will have records responsive to the request.

- Please conduct a thorough search for all responsive records physically in, and within the functional purview of your office.
- Send a copy of all responsive documents to the FOIA office in their entirety. **DO NOT MAKE REDACTIONS.**
- Bracket any documents or portions thereof that you believe should be withheld. Please include a brief explanation for your action. **The FOIA Staff will not release those items so indicated without further discussion with you.**

Should you need other assistance or believe this request should be staffed to another office, please

Page 1 Sec 1 1/2 At 4" Ln 23 Col 19 English (U.S.)



Go to the end of the letter and position your blinking cursor below the word "Attachments."  
Next, we go back to NFTS and copy the location information.

FOIA Request Response

Normal Times New Roman 11

Attached is additional information to be used to reply to the requester.

Attached is our justification for withholding any responsive material.

The following records system number title was search

System	Results	
	Positive	Negative

I certify that I am responsible for the search of records conducted in my office encompassed by this request and the attached records were the only such documents located in response to this request.

Signature \_\_\_\_\_ Date \_\_\_\_\_

Printed/Typed Name \_\_\_\_\_

Title \_\_\_\_\_

Telephone # \_\_\_\_\_

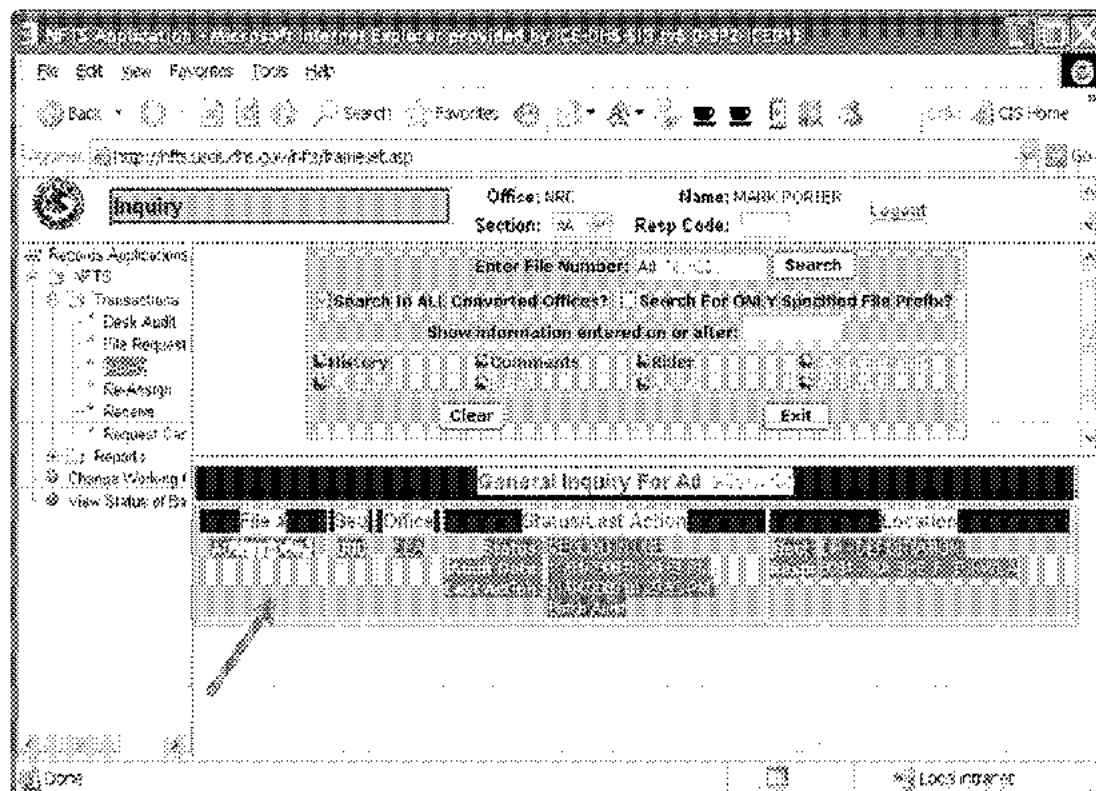
Attachments(s) \_\_\_\_\_

8/30/2011

Page 2 Sec 1 2/2 At 8' Ln 42 Ccl 1

#### 12.1.1.14 Put the staffing information in the staffing letter

Right-click somewhere in the gray area below “General Inquiry.” You will get a drop-down dialog box. Click on “Select All.” Right-click again and select “Copy.” Now we will paste the information into the staffing letter.



		Positive	Negative
<hr/>		<hr/>	<hr/>
<hr/>		<hr/>	<hr/>
<hr/>		<hr/>	<hr/>

I certify that I am responsible for the search of records conducted in my office encompassed by this request and the attached records were the only such documents located in response to this request.

Signature \_\_\_\_\_ Date \_\_\_\_\_

Printed Typed Name \_\_\_\_\_

Title \_\_\_\_\_

Telephone # \_\_\_\_\_

Attachment(s) \_\_\_\_\_

General Inquiry For AUSA [redacted]				
S	Seq	Office	Status/Act Action	Location
97	0000	DCA	Search	DCI DPMO/A-1001
			Audit Date	11/02/2001 13:13 PM
			Last Action	11/02/2001 13:13 PM
			Search Agent	[redacted]

request and the attached records were the only such documents located in response to the request.

Signature \_\_\_\_\_ Date \_\_\_\_\_

Printed/Typed Name \_\_\_\_\_

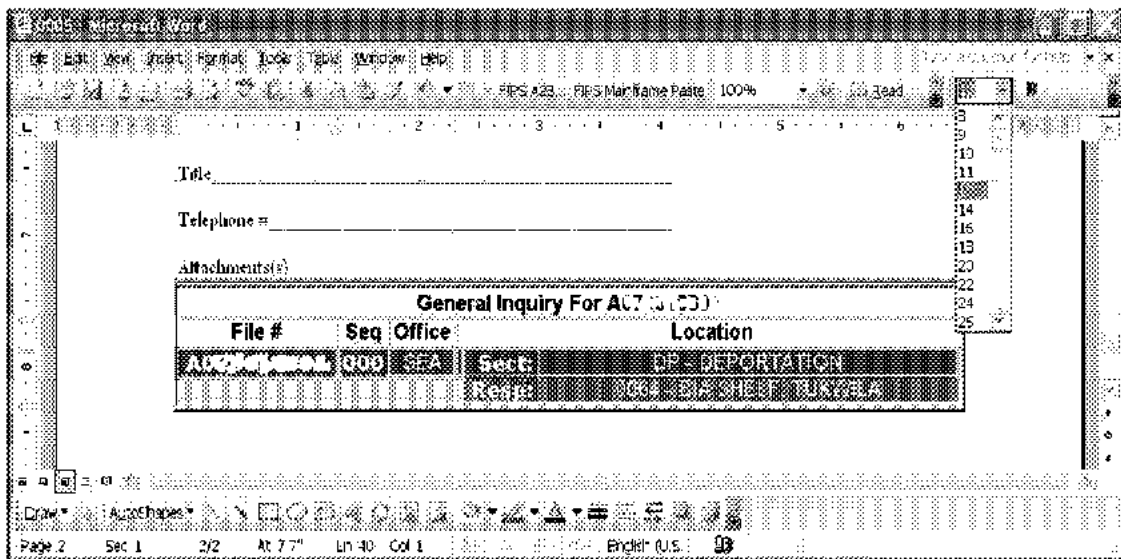
Title \_\_\_\_\_

Telephone # \_\_\_\_\_

Attachment(s) \_\_\_\_\_

General Inquiry For All _____		
#	Stat/Office	Location
1	000 074	000 074
2	000 074	000 074
3	000 074	000 074
4	000 074	000 074
5	000 074	000 074
6	000 074	000 074
7	000 074	000 074
8	000 074	000 074
9	000 074	000 074
10	000 074	000 074
11	000 074	000 074
12	000 074	000 074
13	000 074	000 074
14	000 074	000 074
15	000 074	000 074
16	000 074	000 074
17	000 074	000 074
18	000 074	000 074
19	000 074	000 074
20	000 074	000 074
21	000 074	000 074
22	000 074	000 074
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41	000 074	000 074
42	000 074	000 074
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91	000 074	000 074
92	000 074	000 074
93	000 074	000 074
94	000 074	000 074
95	000 074	000 074
96	000 074	000 074
97	000 074	000 074
98	000 074	000 074
99	000 074	000 074
100	000 074	000 074

Next, highlight the whole area and change the font size to 12.



Finally, we exit and save our work. We have successfully staffed for the A-file. The next thing we have to do is check the staffing letter back in.

File Edit View Insert Format Tools Table Window Help

Normal Times New Roman 11

Attached is additional information to be used to reply to the requester.

Attached is our justification for withholding any responsive material.

The following records system number/file was search.

System	Results	Positive	Negative
		2	
		2	
		2	

I certify that I am responsible for the accuracy of the information provided in this request and the attached documents.

Signature \_\_\_\_\_

Printed/Typed Name \_\_\_\_\_

Title \_\_\_\_\_

Telephone # \_\_\_\_\_

Attachments(s)

File #	Seq	Office	Sect	Resp	Location
AC-119-000	SEA	Sect: Resp	DP - DEPORTATION	0084 - BIA SHELF TURKILA	

www.ice.dhs.gov

Microsoft Word

### 12.1.1.15 Save changes and check it back in

The screenshot shows the 'Case Actions' tab in the NRC Case Management System. A table lists documents with columns: Document Type, Seq., Pages, Status, Resp Unit, A-Number, and Date. The document 'Staffing Letter - ICE PDF' is selected, and a context menu is open with the option 'Save Changes (Check In)' highlighted. Below the table, a navigation bar includes buttons for 'Records Locator', 'Case Processor', 'Case Approver', 'Unit Chief', 'Up-front Approver', 'Pend', 'Reassign Office', and 'Send'. A URL is displayed: <http://202apcncr122-7021/sncrcs/forms/CheckInStore.jsp?docId=5065>. Below the navigation bar is a 'File Upload' dialog box with a file list including 'Global360\_updown\_version', 'NRC2010000511\_6\_REFERRAL', 'NRC2010000511\_7\_FA\_PD', 'NRC2010000802\_3\_ONE\_PAGE', 'NRC2010000802\_6\_AK\_FOIA', 'NRC2010000804\_3\_FA\_RF', 'NRC2010000804\_4\_REFERRAL\_AGENCY', 'NRC2010000806\_3\_STAFFING\_PDF\_ICE', 'NTUSER', and 'ntuser.dat'. The 'Open' button is highlighted with a red arrow and the word 'Click'.

After this, send the case to "Pend."

### 12.1.2 Two or more A-numbers

**Multiple unconsolidated A-numbers** - If the requester has provided more than one A-number, you must research CIS for each A-number to determine if they relate to the subject. If the subject has multiple A-numbers, you will create one case and do multiple staffings. When you are required to request two or more unconsolidated A-files, the individual file request must

include the words “**MULTIPLE STAFFINGS**” at the top of each sheet. Do not confuse this with the subject of the file having an “A” file and a “T” file. The alien numbers must refer to different unconsolidated A-files and relate to the subject of the request if you are to mark it “**MULTIPLE STAFFINGS.**”

**Important note:** If one of the files you are requesting is located at RAFACS/CIS, FRC or one of the Service Centers, request those alien numbers first. These locations produce the file faster than other offices. MSB will not know to pull the staffing letters for follow-up unless you noted “Multiple Staffing” on the sheet.

If the alien has multiple unconsolidated A-numbers and the files are both located at the NRC, please add them to the spreadsheet that Records Operations maintains at S:\Record\_Ops\Files to Consolidate.xls. You are responsible for entering the alien numbers of the files that may possibly need consolidation. Records Operations will review the files and consolidate if necessary. If both files are not at NRC, do not add the information to the spreadsheet.

### ***12.1.3 Consolidated A-numbers***

If the alien has a consolidated A-number, then please enter only the lead (or surviving) A-number on the worksheet in FIPS and request that file. Consolidated A-numbers are reflected in CIS on the 9101 screen, under the section titled “Consolidated A-Nos”. The A-number listed first is the primary A-number; the other A-numbers listed below the primary have been consolidated into the primary number.

Note: please do not add consolidated A-numbers to the “files to consolidate” spreadsheet.



## 12.2 Border crossing card number

If the alien number provided by the requester is an 80,000,000 through 86,899,999 series number, it is a Border Crossing Card number. Even though you can research this number in CIS, there is no physical A-file associated with these types of numbers. You will need to research CIS and CLAIMS to see if there are any other A-files/receipt files associated with this alien.

Previously during the Case Create process, if a requester/subject provided a Border Crossing Card Number and all of the required PII (except an A-Number), we asked the requester/subject to provide additional information (Alien or receipt number, copies of documents from the service, etc...). We used this information to determine if the subject had an A-File. We would find the A-file only in very rare instances.

We no longer request additional information if the requester/subject provides all of the required PII (except an A-Number). Since Border Crossing Cards are strictly electronic records (no actual file), we will have the Border Crossing Card screen prints scanned into a RAFACS slot.

Use the Border Crossing Card Number provided; search and print CIS screens 9101, 9101-history (F8), 9222 and 9223. Open a RAFACS staffing slot. Make sure "Customize Letter" is selected. Prepare the screen prints for scanning into this slot as responsive records. Pend the case for responsive records. Please attach a "Scan As" sheet and mark it as "responsive records" with the screen prints to be scanned. The case will be sent to the processor after screen prints are scanned in. Create it as a Track 1 case.

Note: Alien numbers from 86,900,000 through 87,999,999 are not Border Crossing Card Numbers; they are general alien numbers and have corresponding A-files.

## 12.3 EAD numbers (100,000,000 through 149,999,999)

If the alien number provided by the requester is 100,000,000 through 149,999,999, it is an EAD (Employment Authorization Document) card number. There is no physical A-file associated with EAD numbers, even though they can be researched in CIS. You will have to research CLAIMS to locate the receipt number that corresponds with the EAD number, and then request that receipt number. Please refer to the section titled *Staffing Scenarios – Receipt Files* for additional information.

## 12.4 New alien numbers (300,300,000 through 300,322,501)

As of June 2009, the range of numbers 300,300,000 through 300,322,501 are being used as general A-file numbers.