12.5 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 request the receipt file. Enter the receipt information into the Topic field. Make the first part of the description the receipt file number. Use the complete receipt number with no spaces or dashes.

Example of the correct way: EAC0812345678 An example of how <u>NOT</u> to do it: EAC-08-123-45678

If every case creator enters receipt information the same way, it is easier for the next case creator to identify duplicate or similar cases. The next case creator may base the search on "EAC081234567%," and if the previous case creator entered dashes, the search will not identify the duplicate.

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 <u>RPC codes XX, XY</u>, <u>ZG, ZY, or ZZ</u>. Refer to the Staffing Sheet Guide for the most current information.

12.6 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.

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 file request 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 file request and paste the retired screen print.

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12.7 Staffing Scenarios

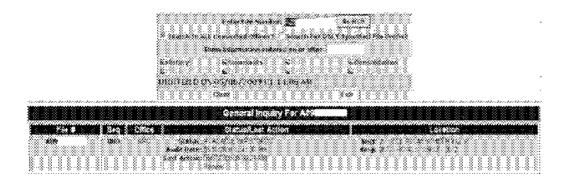
12.7.1 Digitized files

If you are requesting an A-file that has been digitized please use the **RDF** file request. If the file has been digitized, the current FCO does not matter; you would still use the **RDF** file request.

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.

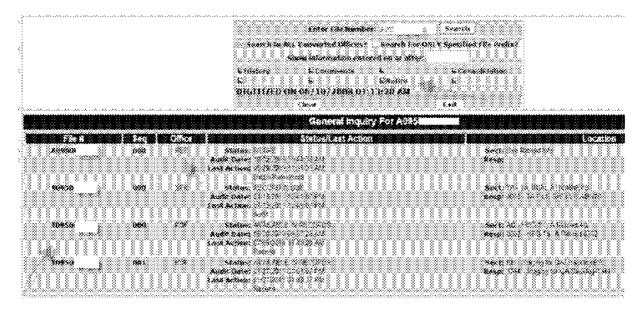
The temptation may be to staff RAFACS/CIS because the file shows available in records at NRC. Do not do that. If it shows "DIGITIZED," then staff to RDF. Also include any T files you find in the General Inquiry screen.



Paste in the "General Inquiry" information on the RDF staffing the same as you would on a RAFACS/CIS staffing. Delete the status/action item column, but DO NOT delete any T-files. MSB will know the file is digitized because you have staffed using an RDF file request. This also applies to Retired files that have been digitized. Do not use the retired screen on Retired digitized files. An example has been provided below.

140

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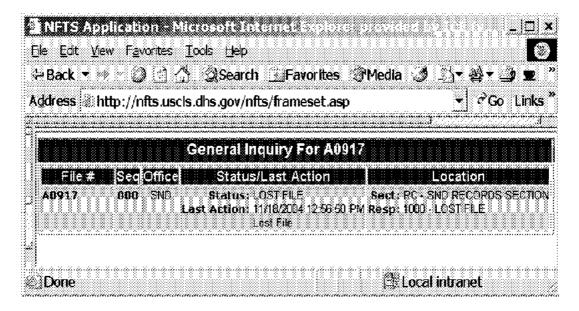


In the example above, you will have to make two staffings. Notice there is a T-file currently in use at OPLA San Francisco? That also changes the Category of the case to "SFR Cases at NRC."

12.7.2 Files Lost or Not Found LESS THAN NINE MONTHS

Note: Please refer to the Lost File Flowchart which you will find in Appendix H.

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.



141

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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.

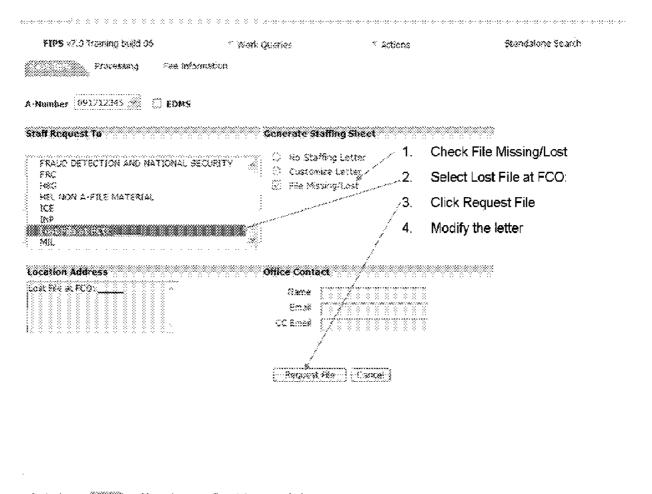
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270				
				NUM O

When the file appears lost in CIS 9504 and NFTS, Staff using the Lost File at FCO: ______ file request (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, request the file per the FCO in NFTS.

Under "Create File Request" mark the box "File Missing/Lost".

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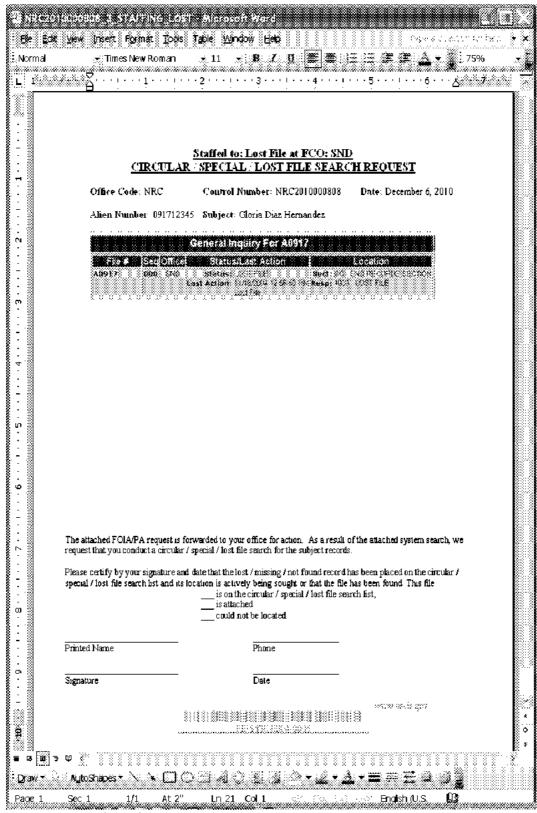


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143

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Generate the acknowledgement letter.

144

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Processing Fee Information Acknowledgement Letter Options		Additional Documents Required
Fee Estimate Prepayment Required		Other Requester Documentation
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	2.	Click Generate Letter
Additional Options No appons found.		
	(Ganerate Latter Cancel

FIPS inserts the Lost File Paragraph right after the CD Paragraph:

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 For Demis Toffice. We received your regrest for information relating to Gloria Diaz Hemandez on December (0, 2010 You request is being handled under the provisions of the Freedom of Information Act (5 U.S.C. § 52.) It has been assigned the following control number: NEC2010000805. Please cite this number in all future corespondence about your regrests. We respond to requests on a first-in, first-out basiss and on a number tack system. Your regrest has been paired the following control number: NEC201000805. Please cite this number in all future corespondence about your regrests. We respond to requests on a first-in, first-out basiss and on a number tack system. Your regrest has been paired in the complex nuck (Tack 2). You may wish to narrow your request to a specific document in other to be eligible for the faster tack. To do so, please send a written regrest, identifying the specific document sought, to the address above. We will notify you if you request a placed in the simple tack. In accordance with Department of Homeland Security Regulations (6 C F & § 5.3(c)), you request is farmed to construine an agreement to pay any fees that may be chargeable up to 525 00. Ever may be farged to searching for records another taced, and the remaining combined shages for searching to insolve of earlier them, and for finducation of capies at the rate of 5.10 per voys. The first of 10057, 00310.25 per quarter how, and for finduced, and the remaining combined shages for search of the 51 readoble on the OD. Your records can be viewed on your opported and be providing your receards an a Compart Dive (CD) for the on your personal computer first-out of 10057, 003102 per quarter hous, and tor onder and bear and view to the above address difference of addres daved and taphoation any pay, please induce you model anaber and view to the showe address difference at the first pages or more are eligible for CD printing. To request your request your request your include on the (SD). Y	j§g No ⊾ (5 %	mal ・Times Vew Roman ~85 ・ 8 よ 17 🏧 28 注 🎬 三 三 連 第 第 2 ~ 🤹 🐇 100%	же (15)
 You 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: NRC2010000803. Please circ 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 mark (Trock 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 you request is pleased in the simple back. In necordance with Department of Homeland Security Regulations (6 C.F.R. § 5.3(c)), you request is deemed to constitute an agreement to pay any fees that may be diargeable up to 525 00. Fees may be charged for searching for records sought at the respective clerical professional, and/or manageral rates of \$400.5700/\$10.25 per quarter how, and for displeation of capies at the rate of \$1.00 per copy. The first 100 copies and two hous of search time are not charged, and the remaining combined sharges for search and displeation must exceed \$14.00 before we will charge you any fees. Most requests do not require any fees, however, if fees in exceeds of \$25.00 are required, we will notify you beforehand. The office will be providing your records on a Compact Dise (CD) for use enyour prisonal computer. The CD is readable on all computers through the use of Adobe Arcebat of Your. A version of Adobe Arcebat of Displeat. On the ends and the presented of our records locator meters with the motion to (816) 350-5785. Based on the information your provided in your request, we conducted a search of our records locator motion of time. therefore, we request your mequest, we conducted a search of our eccords locator motion exceeds and porvide in you. If the file cannot be found, we will notify you of our findings. DSCIS no longer c			
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forwarding to us any documents related to your request, please ensure any. Social Security Numbers en the documents are blanked out or removed		Based on the information you provided in your request, we conducted a search of our records locator index system. This initial search indicated that the requested record is lost or missing. As a result, we have asked the Records office to initiate a lost missing file search. This process takes an unknown amount of time, therefore, we request your understanding and patience. Once the file is found, we will process	
		forwarding to us any documents related to your request, please ensure any Social Security Numbers en	
		Name of the Source	

When the case create process is complete and the creator is ready to exit the case, click the "Pend."

12.7.3 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.)

146

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Note: Please refer to the Lost File Flowchart which you will find in Appendix H.

12.7.3.1 If the A-file is lost but other records exist (such as receipt files we would normally request or other a-files), please go to paragraph 12.7.3.9 now. *Otherwise*,

- a. <u>if</u> the file has been marked as lost for more than nine months
- b. <u>and</u> there is no recent activity in CLAIMS (within last 2 years) or PCQS,
- c. <u>and</u> there are no additional files, then: a FOIA/PA Assistant working in Records Locator queue should put in the following Discussion: Afile has been lost for more than 9 months and no other records exist. Closing as UT. Detail all systems searched as part of this Discussion.

12.7.3.2 Complete the attached Lost File Worksheet (and send it for scanning as CSD with any screen prints you do.)

12.7.3.3 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 Discussion with the subject "Unit Chief" listing the date the file was 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.

12.7.3.4 If there is no CIS screen referencing "EARM" "DACS" or "NAILS," please move to the next step now. *Otherwise*, if there is a 9101 screen containing "EARM-X" "DACS-X" or "NAIL-X," or if there are CLAIMS screens showing "NAIL: Y" or "NAIL: N," go to the next step.

12.7.3.5 Create a Final Action Letter and select the status 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.

12.7.3.6 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 Up-front Approver. You're done, *unless* the case is later returned to you for further research.

12.7.3.7 The Up-front 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.

12.7.3.8 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.

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12.7.3.9 <u>If the A-file is lost but other records exist</u> (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:

12.7.3.10 Cancel the lost file staffing and pend for responsive records.

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148

LOST FILE WORKSHEET

A-number	
Name of Alien	
Date shown as Not Found in CIS	
Date shown as lost in NFTS	
 Search CIS for potential second a-number and/or consolidation a. Second a-number? b. Any T-files? Yes No	ase do so now.
c. Consolidated with?	
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:

149

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12.7.4 Staffing 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 file request do I use?

A: Each office has its own file request 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 request each alien file on a separate file request and write MULTIPLE STAFFINGS at the top of each sheet.

12.7.5 Records Indexing / Manual Requests

If you do not find a person in CIS, CLAIMS or PCQS, do not automatically print the screens and close the case NR. In some instances, the A-number exists but it will not be found in any systems search. 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. Look at the information in the request. For instance, if an individual claims to have arrived in the United States in 1960 and naturalized in 1971, it is important not to close the case NR. 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 file request. 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, but they claim to have done business with the service <u>after</u> 1975. 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

150

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Naturalization dates

which are after 1975, do not create a Records Indexing file request, because no records will exist; check CIS and/or CLAIMS for a record. If you find no record, please refer to the section on <u>NO_RECORDS</u>.

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.

12.7.6 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, CLAIMS and PCQS. 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 9102 Sounds-Like Name

151

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	NUM OVP

NUM OVR

When conducting a search in CLAIMS (Computer Linked Application Information Management System) run alien's name as the beneficiary/applicant (3) <u>AND</u> as petitioner (6).

152

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4. A NUMBER: A	
S. REFERENCE VO :	
<pre>6. PETITEONER NAME ELAST;: ETERST:</pre>	
PE3 PE6 PE8 PE10 PE11 PE1 CANCEL VAEN VENU LOCOFF REMOTE ACT UPD BY CODE ACT UPD B270	

NVR OVR Statisticitation of the statistic of the statisti

When conducting "no record" research, do the query and provide screen prints of all searches as directed. 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 <u>case supporting documents</u> for the case number you have just created, attach it to the screen prints and take those to the <u>OA room for scanning as CSD</u> and prepare a Final Action Letter with closing code 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.

Genealogy is exempt from this process.

12.7.7 A-number in CIS but not in NFTS

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If there is an A-number in CIS but no information in NFTS, create a file request 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.

12.7.8 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 file requests are 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	ТА
Chief Counsel	
Litigation	LI or LIT
Legal Section	LS
District Counsel	DC

DRO file requests are 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	САР
Deportation Officer/Assistant/Clerk	DO, SDDO
Bond Control Spec.	
Immigration Enforcement	IEA
Field District Office	FOI (Washington DC) (DRO-WAS)
Admin Program Office	
Non-Detained or Detained	
Processing Center	OC-Otero County
Detention Facility name	ie Otay Mesa, Krome
Fugitive Ops	FO

SAC file requests 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.

154

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Office Section	Acronym
Investigations	INV, IV
Special Agent in Charge	SAC
Internal Audit	ΙΑ
Resident Agent in Charge	RAC
Assistant Special Agent in Charge	ASAC

12.7.9 SAC locations

Occasionally, you will see a requesting 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.

12.7.10 LESC (LSC) records

On all of these file requests, you must attach the NFTS screen print to page two.

12.7.11 T-files

Q. What if the subject has an A-file at one office other than NRC and a T-file at a different office other than NRC (for example, an A-file in Chicago and a T-file in Milwaukee)?

A: In this case, we will request both files, EXCEPT, do not request 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: Request the A-file only, but include the T-file portion on the file request. The T-file will get combined with the A-file when it arrives at the facility for scanning. <u>NEVER</u> <u>CROP THE T-FILE INFORMATION FROM THE NFTS SCREEN PRINT</u>.

The exception to this rule – We do not receive A-files from ESC, SSC, NSC, WSC or RDF for scanning. Those offices <u>either</u> 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

155

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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.

12.7.12 Receipt files

(b)(6)

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.

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.

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, <u>PCQS</u> 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 RAFACSonly responsive records. Pend the case.

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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."

12.7.13 Archived receipts

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This screenshot shows a receipt that has been archived.

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 request 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.
- 2. On the USCIS website enter the receipt number in the "Check Case Status." Checking the receipt number on the website may provide

157

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evidence that the receipt file has been forwarded to the NVC in which case you would redirect the request to NVC.

- 3. You may call the NVC automated 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.
- 4. If there is no evidence that the archived receipt file has been forwarded to NVC we will create a file request using RAFACS (not RAFACS/CIS). Find the information from the archived receipt in PCQS and print that information. Prepare a "Scan As" sheet to be scanned as responsive records for the case number you have just created, attach it to the screen prints and take those to the person designated to scan RAFACS-only responsive records. Pend the case.
- 5. If there is no evidence in PCQS, follow the instructions for *Receipt files;* Lost receipt file, File destroyed or File cannot locate..

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 <u>National Visa Center Valid Consulate Prefix Codes</u>, 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 Letter and choose the code "RD" and select "NVC". Send the case to Up-front Approver.

12.7.14 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.

Open a RAFACS (*not RAFACS/CIS*) staffing slot only. The default selection for the letter is "Customize Letter." Be sure that option is selected. Print the appropriate CLAIMS screen prints (should be a minimum of 3 pages if the receipt file is for an I-130). Print the staffing letter, attach it to the screen prints and take to person designated to scan RAFACS-only responsive records. Pend the case.

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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:

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160

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13. <u>REASSIGN OFFICE</u>

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.

First you must select the correct office. Use the drop-down box to select the office where you want the case to go, search for duplicate cases, and then create the case:

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After you change the office to COW, create the case. The case will have a COW number.

161

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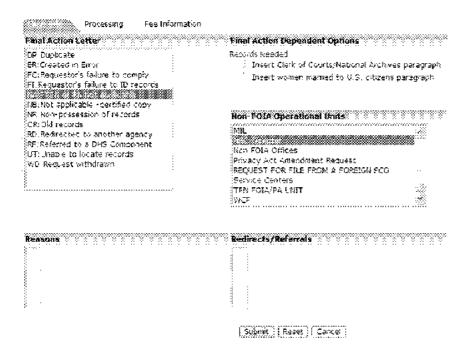
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You will not be creating an acknowledgement letter or staffing. Before you click on "Reassign Office," prepare an e-mail addressed to <u>NRC, FOIASIG</u> with the case number and brief description of the topic, requester or reason you assigned the case to SIG.

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14. CLOSING A CASE AS "NA:FOIA or PA not applicable:"

Sometimes a requester will file a FOIA request asking for the return of original documents, the status of a petition, or a question, not asking for records. If FOIA/PA does not apply to the request, you would 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." Note: if the request for return of original documents is on Form G-884 which was inadvertently scanned in as a request, you will be closing the case "ER." Please refer to <u>REQUESTS: Return of original documents</u>.



You do not have to modify the referral letter. You will have to select the applicable box in the Final Action Letter and possibly add other instruction, if necessary. Send the case to Up-front Approver.

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163

Updated on 8/30/2011

774

15. ER (created in error) CASE CLOSINGS

Prepare a Final Action Letter using the "ER" option for cases 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)

FIPS will not create a letter. Prepare a detailed Discussion. Send the case to Up-front Approver. The supervisor will review and close the case.

16. FC (failure to comply) CASE CLOSINGS

If you are closing a case FC because of consent, verification of identity or failure to reasonably describe the record they are seeking, please refer to

<u>O:\Foia\FOIA_LIBRARY\Case_Create_References\Case_Create_Template_Letters\Failure_to_</u> <u>Comply_Letter</u> and select the applicable paragraph for your final action letter. Please enter the date of the last correspondence to the requester/subject.

17. MARKING A DOCUMENT "DO NOT SEND"

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 Discussion 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.

164

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18. ACKNOWLEDGEMENT LETTERS

We prepare acknowledgement letters in all cases **except** for routine use and Red Cross last known address requests. The example in this guide shows how to do a standard acknowledgment letter if we have verified consent and identity, the requester has not asked for expedited treatment or a fee waiver, and we have found a responsive record. As you go through this example, please keep in mind that there are many factors which would require you to prepare the acknowledgment letter differently.

Go to the "Tasks" tab and select "Acknowledgement Letter"

Contents 🔅 Discussi	ns Case Actions History	
Task	Stetus	<u> </u>
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Create Addicional Cases	Hot Stated	
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Final Action Letter	Not Starled	
Speciality Letter	Not Started	
Status Letter	Wot Started	
 Blank Letter 	Not Started	
Interest Letter	Hol Started	
Expedited Denkal Letter	Not Started	
		0000000
Records Locator Case Pro	essor 🕴 Case Approver 🕴 Unit Chief 🗧 Up-front Approver 🕴 Pand 🖁 Reassign Office 💲	Se

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:

165

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Fee Estimate		Other Requester (Documentation	
Prepayment Requires				
 L'3 Advance Payment Return Add Lost File Paragraph Add Track 3 Denial Parag 				
Additional Options No options found				
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Since our example case does not require us to select any options, we will click on "Generate Letter." Our only option at that point is to click OK:



As soon as you do, a File Save pop-up window will appear. Click "Save."

166

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The acknowledgment letter will pop up:

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167

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 alest al. Anopalit Subgrade A Moon March Subgrade A Moon March Subgrade A Moon March Subfrade A Moon March 	
The Dear I Carlo Borthold, 199 Dear I Carlo Borthold, 199 We received your request for information relating to Chris P. Bacon on Deven	uber 02. 2010
Your request is being handled under the provisions of the Freedom of Informa It has been assigned the following control number, NRC2010000806. Please correspondence about your request.	nion Act 15 U.S.C. 3 152).
We respond to requests on a first-in, first-out basis and on a multi-track system placed in the complex irack (Track 2). You may wish to narrow your request order to be engible for the faster track. To do so, please send a written request document conglist, to the address above. We will notify you if your request is p	to a specific document in . identifying the specific
In accordance with Department of Florneland Security Regulations (6 C.F.R. 5 deemed to constitute an agreement to pay any fees that may be chargeable up to charged for searching for records sought at the respective elerical, professional \$4.00-\$7.00-\$10.15 per quarter how, and for duplication of copies at the rate of 100 copies and two hours of search time are not charged, and the remaining of and displication must exceed \$14.00 before we will charge you any fees. Must fees, however, if fees in excess of \$25.00 are required, we will notify you before This office will be providing your seconds on a Compact Disc (CD) for use on The CD is readable on all computers through the use of Adobe Aerobat software	to \$25.00. Fees may be 1. and/or managerial rates of at \$ 10.per copy. The first unbined charges for search t requests do not require any
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You may have some modifications to make to the letter. After you finish, save the Word document and exit Word. Next, go to the "Contents" tab and click on the "Check in Document" icon.

168

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Records Locator 👔 Case Processor 👔 Case Approver | Unit Chief 👔 Up front Approver | Fend J: Reassign Office 👔 Se

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In this example, we are now ready to send this document to "Pend."

19. DISCUSSIONS

Discussion 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 Discussion for later reference. FIPS also automatically generates Discussions in various situations, such as duplicate,

169

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multiples and when responsive records are copied from one case to another. Because Discussions become a permanent part of the case in FIPS, you should not used Discussions 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.

20. CHANGING A REQ TO A CSD

(Note: this article pertains to people who work in the Research Queue)

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. Create a Discussion asking Research to add the request as CSD to the appropriate case. Next, go back to the worksheet in FIPS and Send to Research.

A person working the Research queue will assign the request to CSD as follows:

170

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171

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21. 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 Discussion (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.

22. 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.

23. 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.

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23.1 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.
- 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 Discussion 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 Discussion.

Don't forget to add a Discussion to the original case.

23.2 MSB (NRC, NRCFOIAMSB)

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 queue 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.

23.3 FIPS PROBLEM (NRC, FIPSPROBLEM)

Send e-mails to the FIPS Problem mailbox:

• If errors are encountered in the case

173

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- 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

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.

23.4 FOIA FILE REQUEST (NRC, FOIAFILEREQ)

Send e-mails to FOIA File Request if you discover A file 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.

24. <u>E-MAIL TO CUSTOMERS</u>

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 Discussion 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.

25. MAIL

The FOIA Division receives two types of mail: Returned Mail and Direct Mail.

25.1 RETURNED MAIL:

25.1.1 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.

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.

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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 Discussion should include the type of letter being corrected and resent.

25.1.2 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. Do this in a controlled manner so that you and the supervisor are the only ones who see this paperwork.
 - 4. Note the case. Example of the Discussion:

Title of Discussion:	Returned Mail – no such number
Body of Discussion:	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 acknowledgement letters with a requester document need to be repended for additional time. Give the letter to the OA supervisor to repend.
- B. If the address on the acknowledgement letter matches the address on the G-639, G-28 and/or return address on original envelope:
 - 1. Note the case. Example of the Discussion:

Title of Discussion:	Returned Mail – no forwarding address
Body of Discussion:	Address matches G-639. No other address found. Did not
	resend ack letter.

2. Give acknowledgement letter to OA Supervisor to Close.

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25.1.3 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. Discussion 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. Do this in a controlled manner so that you and the supervisor are the only ones who see this paperwork.

25.1.4 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 Discussion.

Title of Discussion:CD Returned for Additional PostageBody of Discussion:Re-mailed CD, date and name

B. CDs Returned due to Incorrect Address.

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. Discussion 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:

176

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- 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. Do this in a controlled manner so that you and the supervisor are the only ones who see this paperwork.

25.2 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 **<u>Request for Change of Address</u>**)
- 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)
- 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 Discussion 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.

177

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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.

25.2.1 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 Discussion titled "Expedited Treatment Request" or "Track 3 Request." In the text of the Discussion 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.

If a FOIA/PA Assistant working in Records Locator queue discovers correspondence relating to expedited processing or Track 3 scanned in but has not been addressed by a supervisor; the Assistant should insert a Discussion 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.

25.2.2 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

178

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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. A template FC letter is located at: O:\Foia\FOIA LIBRARY\Case Create References\Template Letters\FC Letter.

25.2.3 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 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

25.2.4 Status letters

The public has the ability to check online the status of their FOIA request(s) with NRC at (www.uscis.gov).

From <u>www.uscis.gov</u>, find the link near the bottom of the left column under "Other Services" marked "<u>FOIA Request Status Check</u>." 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.

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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 <u>same</u> 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.

The previous method of providing a status letter did not give the requester accurate information. In order to better serve our customers Teams 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 <u>O:\Foia\FOIA_LIBRARY\Case_Create_References\Case_Create_Template_Letters</u>, 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.

25.2.5 Withdrawal of a FOIA/PA request

A requester must send us a document to withdraw a pending request. 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 queue. Add a Discussion indicating that the request was withdrawn per the documents found in CSD.

25.2.6 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.

180

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26. BLANK TAPES/CD's

If you receive a blank VHS tape, cassette or CD with a FOIA/PA Request, return it to the requester.

27. 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 Discussion 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.

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. below. 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.

29. 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.

181

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- 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.
- 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. Do this in a controlled manner so that you and the supervisor are the only ones who see this paperwork.
- 6. Stack the incorrect final action letters in a separate pile. Write "ERRORS" on a postit 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.

30. 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.

31. 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.

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32. <u>RECORDS LOCATOR QUEUE</u>

Cases assigned to Records Locator queue 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
- 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 Discussions as well as insert Discussions as necessary. Listed below are points/actions that you should consider while working cases assigned to Records Locator queue.

32.1 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.

32.2 Read and follow directions in any Discussion 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.

32.3 Anytime you create a new staffing for the same A-file or receipt, you must cancel the one it replaces.

32.4 Do not cancel file requests and re-staff just because the request is old and has been pending for an extended period. Canceling file requests 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.

32.5 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.

32.6 If the 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.

183

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32.7 If you see it has been through image process box and returned to a shelf then further research is required.

32.7.1 Check all offices for duplicate cases in FIPS using the alien number.

32.7.2 Does the subject have more than one alien number per a Discussion or on their request? If so, search those for potential duplicate cases.

32.7.3 If you find a duplicate case, make a Discussion and advise <u>NRC, FIPSPROBLEM</u> mailbox with an e-mail and repend.

32.8 Additional PII needed: Sometimes when a processor retrieves a case, he or she will determine that additional PII or verification of identity 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 Documentation. If the processor is asking for information that is already present in the scanned documents, put in a Discussion 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.

32.9 If you pull a case in Records Locator queue and the Requester Documentation has been received: Review the information provided, if the requester/subject has provided the requested PII and/or consent, request the file.

32.10 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.

32.11 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.

32.12 If the requester/subject does not return proper verification of identity, generate a FC letter and replace the contents of the letter with the template letter Failure to comply 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.

32.13 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

184

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consent), request the file. Create a Discussion advising the processor to process this case as third party without consent.

32.14 Occasionally you will pull a case in Records Locator queue and there is a Discussion stating the wrong records have been scanned into the case. This will require some investigative work before a solution can be determined.

32.14.1 Did the Case Creator use the wrong alien number when the case was originally created or when the records were staffed? If so, please request the correct file. You must then send an e-mail to <u>FIPS Problem</u> mailbox and ask that the wrong records be removed. Clicking the link above will automatically send a copy to the FOIA Program mailbox.

32.14.2 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.

32.14.3 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:

32.14.3.1 Look for a pending case for the records that were scanned into your case.

32.14.3.2 If you locate a case, check to see if the responsive records have been scanned.

32.14.3.3 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 <u>NRC, FIPS Problem</u> mailbox. Clicking on the link will automatically send a copy to the NRC FOIA Program mailbox.

32.14.3.4 If the pending case already has records scanned in, review those records.

32.14.3.4.1 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.

32.14.3.4.2 If they are duplicates, then you do not have to do anything with that case.

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32.14.3.4.3 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 <u>NRC</u>, <u>FIPS</u> <u>Problem</u> mailbox. Clicking on the link will automatically send a copy to the NRC FOIA Program mailbox.

32.14.3.5 If you pull a case in Records Locator queue and there is a **Discussion instructing you to create an interim response letter because the individual is incarcerated**:

32.14.3.5.1 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.

32.14.3.5.2 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.

32.14.3.5.3 If the individual is still incarcerated and still interested in receiving the record, send the case to the processing queue.

32.14.3.6 If you pull a case in Records Locator queue and there is a document scanned into the Staffing Response and the Responsive Records slot which has been changed to Inactive, look at the document scanned in to the Staffing Response.

32.14.3.6.1 If the case was staffed for a receipt file that has been sent to NVC (National Visa Center), redirect the request to NVC. Create the Final Action Letter, choose "RD" and select "NVC" from the drop-down box. Save the document and check it in. Send the case to Up-front Approver.

32.14.3.6.2 If the receipt file is marked lost, file destroyed, or file cannot locate, go to <u>Receipt files</u>: Lost receipt file, File destroyed or File cannot locate.

32.14.3.6.3 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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33. <u>REPENDING IN RECORDS LOCATOR QUEUE</u>

33.1 Do not create a Discussion that you repended the case; the system automatically creates a record of case action.

33.2 If you open a case in Records Locator queue 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.

33.2.1 If the file has moved to another FCO, you should cancel the current file request and create a new one to reflect the new FCO.

33.2.2 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. Do NOT cancel the original file request or re-staff to RAFACS/CIS.

33.2.3 Do not cancel file requests and re-staff just because the request is old and has been pending for an extended period. Canceling file requests and re-staffing due to age affects the aging reports and makes it impossible to track these pending cases properly.

33.3 If the file has been received by NRC and NFTS shows scanning, image processing, image problem files, streamliners (anything except a shelf location) repend.

33.4 If a SIG case comes up for repending in Records Locator queue, please repend and notify <u>NRC, FOIASIG</u> of this. Insert the NRC case number on the subject line.

33.5 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. If there are two separate staffings for files, then e-mail <u>NRC, FOIAFILEREO</u> to research and to have the file scanned in if necessary.

34. CHANGING THE TRACK OF A CASE

Do not change the track of a case except in the following instances:

34.1 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.

187

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34.2 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.

34.3 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 "SAVE" button prior to exiting the case.

35. <u>RESPONSIVE RECORDS SCANNED IN WITH STAFFING</u> <u>RESPONSE</u>

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 Discussion explaining the problem.

If the case has not come up for processing and you encounter this situation in Records Locator queue, put a Discussion indicating the problem (Responsive Records scanned into Staffing Response slot), and send a message to the <u>NRC, FIPSPROBLEM</u> 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
- The number of pages scanned in.

Send the case to Unit Chief/Admin so that the problem can be resolved.

<u>Click here for instructions</u> if you pull a case in Records Locator queue that has been staffed for a Lost File.

188

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36. CASES NEEDING ACKNOWLEDGEMENT LETTERS

Cases received in Records Locator queue 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.

37. <u>RE-STAFFING</u>

- 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.

38. FOIA SAFE

Cases staffed to the FOIA Safe are processed in the NRC queue.

While working Records Locator queue, if you pull a case that has been staffed to the FOIA Safe, **NEVER** cancel the staffing. 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.

39. IN TRANSIT FILES

If NFTS shows a file is now in transit to the NRC, repend. *Do not cancel the staffing and restaff to NRC.

40. 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.

189

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41. 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.

190

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Updated on 8/30/2011

AILA Doc. No. 16102838. (Posted 10/28/16)

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
National Customer Service:	1-800-375-5283
EOIR	800-898-7180

191

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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, 5th Floor, Suite 585 Washington, DC 20536

MAILING ADDRESS OF NATIONAL VISA CENTER:

32 Rochester Avenue, Suite 200 Portsmouth, NH 03801-2909

192

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Updated on 8/30/2011

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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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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
- BGN Bridgetown (Barbados)
- BGT Bogota (Colombia)

194

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- 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 Cuidad 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)
- DMS-Damascus (Syria)
- DOH Doha (Qatar)
- DRS Dar Es Salaam (Tanzania)
- FRN Frankfurt (Germany)

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- 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)
- KEV Kyiv (Ukraine)
- KHF Khartoum (Sudan)
- KIN-Kinshasa (Congo)
- KLL Kuala Lumpur (Malaysia)
- KNG Kingston (Jamaica)
- KWT Al Kuwait aka Kuwait City (Kuwait)

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- 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)
- MNL Manila (Philippines)
- MOS-Moscow (Russia)
- MRV Monrovia (Liberia)
- MST Muscat (Oman)
- MTL Montreal (Canada)
- MTV Montevideo (Uruguay)
- NHA Naha
- NMY Niamey (Niger)

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- 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)
- 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 (Saudí Arabia)
- RKJ-Reykjavik (Iceland)
- RNG-Rangoon (Burma)
- SAA Sana'a (Yemen)
- SAR Sarajevo (Bosnia & Herzegovina)

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- 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)
- 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)

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VNT - Vientiane (Laos)

- WRW Warsaw (Poland)
- YDE Yaounde (Cameroon)
- YRV Yerevan (Armenia)
- ZGB Zagreb (Croatia)

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200

Updated on 8/30/2011

811

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.

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 (non-responsive) 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.

 \mathbf{RF} – Cases forwarded to DHS components. We tell the requester the name of the agency we referred their request to.

201

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Updated on 8/30/2011

AILA Doc. No. 16102838. (Posted 10/28/16)

APPENDIX E: FORMS

www.uscis.gov

Title	Form Number
Change of Address	AR-11
Alien's Change of Address Card	AR-11SR
Genealogy Index Search Request	G-1041
Genealogy Records Request	G-1041A
Notice of Entry of Appearance as Attorney or Representative	G-28
Biographic Information	G-325
Biographic Information	G-325A
Biographic Information	G-325B
Biographic Information	G-325C
Freedom of Information Act/Privacy Act Request	G-639
Verification Request (Non-SAVE agencies)	G-845
Document Verification Request Supplement	G-845 Supplement
Document Verification Request (SAVE Agencies)	G-845S
Return of Original Documents	G-884
Application for Replacement/Initial Nonimmigrant Arrival-Departure Document	I-102
Petition for a Nonimmigrant Worker	I-129
Petition for Alien Fiance(e)	I-129F
Nonimmigrant Petition Based on Blanket L Petition	I-129S

202

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Title	Form Number
Petition for Alien Relative	I-130
Application for Travel Document	I-131
Affidavit of Support	I-134
Immigrant Petition for Alien Worker	I-140
Application for Advance Permission to Return to Unrelinguished Domicile	I-191
Application for Advance Permission to Enter as a Non-Immigrant	I-192
Application for Waiver for Passport and/or Visa	I-193
Application for Permission to Reapply for Admission into the United States After Deportation or Removal	I-212
Application for Removal	I-243
Notice of Appeal or Motion	I-290B
Petition for Amerasian, Widow(er), or Special Immigrant	I-360
Affidavit of Financial Support and Intent to Petition for Legal Custody for Public Law 97- 359 Amerasian	I-361
Request to Enforce Affidavit of Financial Support and Intent to Petition for Legal Custody for P.L. 97-359 Amerasian	I-363
Application to Register Permanent Residence or Adjust Status	I-485
Supplement A to Form I-485	I-485 Supplement A
Instructions for I-485, Supplement C, HRIFA	I-485 Supplement C
Instructions for I-485. Supplement E	I-485 Supplement E
Waiver of Rights, Privileges, Exemptions and Immunities (Under Section 247(b) of the INA)	I-508
Waiver of Rights, Priveleges, Exemptions, and Immunities	I-508F

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Title	Form Number
Immigrant Petition by Alien Entrepreneur	I-526
Application To Extend/Change Nonimmigrant Status	I-539
For persons seeking V nonimmigrant status while in the United States or extension of V status.	I-539, Supplement A
Interagency Record of Request – A, G or NATO Dependent Employment Authorization or Change/Adjustment to/from A, G or NATO Status	I-566
Application for Asylum and Withholding of Removal	I-589
Petition to Classify Orphan as an Immediate Relative	I-600
Application for Advance Processing of Orphan Petition	I-600A
Application for Waiver of Ground of Inadmissibility	l-601
Application By Refugee For Waiver of Grounds of Excludability	I-602
Application for Waiver of the Foreign Residence Requirement (under Section 212(e) of the Immigration and Nationality Act. as Amended)	I-612
Health and Human Services Statistical Data for Refugee/Asylee Adjusting Status	I-643
Application for Status as a Temporary Resident Under Section 245A of the Immigration and Nationality Act	I-687
Application for Waiver of Grounds of Inadmissibility Under Sections 245A or 210 of the Immigration and Nationality Act	I-690
Report of Medical Examination and Vaccination Record	I-693
Notice of Appeal of Decision Under Sections 245A or 210 of the Immigration and Nationality Act	I-694
Application to Adjust Status from Temporary to Permanent Resident (Under Section 245A of Public Law 99-603)	I-698
Refugee/Asylee Relative Petition	I-730

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Form Number

Petition to Remove the Conditions of Residence	I-751
Application for Employment Authorization	I-765
Application for Replacement of Northern Mariana Card	I-777
Petition to Classify Convention Adoptee as an Immediate Relative	I-800
Application for Determination of Suitability to Adopt a Child from a Convention Country	I-800A
Application for Family Unity Benefits	I-817
Application for Temporary Protected Status	I-821
Application for Action on an Approved Application or Petition	I-824
Petition by Entrepreneur to Remove Conditions	I-829
Inter-Agency Alien Witness and Informant Record	I-854
Affidavit of Support Under Section 213A of the Act	I-864
Contract Between Sponsor and Household Member	I-864A
Affidavit of Support Under Section 213A of the Act	I-864EZ
Poverty Guidelines	I-864P
Intending Immigrant's Affidavit of Support Exemption	I-864W
Sponsor's Notice of Change of Address	I-865
Application for Suspension of Deportation or Special Rule Cancellation of Removal (Pursuant to Section 203 of Public Law 105-100 (NACARA))	I-881
Employment Eligibility Verification	I-9
Application to Replace Permanent Resident Card	I-90
Application for Authorization to Issue Certification for Health Care Workers	I-905

Title

205

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Title	Form Number
Request for Premium Processing Service	1-907
Application for T Nonimmigrant Status	I-914
Petition for U Nonimmigrant Status	I-918
Petition for Qualifying Family Member of a U-1 Nonimmigrant	I-929
Application to File Declaration of Intention	N-300
Request for a Hearing on a Decision in Naturalization Proceedings (Under Section 336 of the INA)	N-336
Monthly Report Naturalization Papers	N-4
Application for Naturalization	N-400
Request for Certification of Military or Naval Service	N-426
Application to Preserve Residence for Naturalization Purposes	N-470
Application for Replacement Naturalization/Citizenship Document	N-565
Application for Certificate of Citizenship	N-600
Application for Citizenship and Issuance of Certificate under Section 322	N-600K
Application for Posthumous Citizenship	N-644
Medical Certification for Disability Exceptions	N-648

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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
ATF	(Bureau) Alcohol, Tobacco and Firearms
АХЛ	Aculum Vietual Library

AVL Asylum Virtual Library

207

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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
СВО	Congressional Budget Office / Community Based Organization
CBP	Customs and Border Protection
ССВ	Child Care Bureau
CCD	Consular Consolidated Database
CDC	Center for Disease Control 208

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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
СООР	Continuity of Operations Plan
COTR	Contracting Officer Technical Representative
COW	Central Office Washington
СРА	Chief Patrol Agent
СРО	Chief Privacy Officer
CSAT	Computer Security Awareness Training
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
	209

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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
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
WARNING MI	

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- 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
- 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

211

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- 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
- 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

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GPO	Government Printing Office
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- 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
- 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

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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-6 00	Petition to Classify Orphan as an Immediate Relative
I-7 51	Petition to Remove Conditions of Residence
I-765	Application for Employment Authorization
I-82 1	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)
IBI\$	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

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II	Immigration Inspector
IIRIRA	Illegal Immigration Reform and Immigrant Responsibility Act of 1996
IJ	Immigration Judge
IMMACT	Immigration Act of 1990
INA	Immigration and Nationality Act
INS	Immigration and Naturalization Service (legacy)
INTCA	Immigration and Naturalization Technical Corrections Act of 1994
INTERPOI	International Criminal Police Organization
Ю	Information Officer
IRCA	Immigration Reform and Control Act
IRS	Internal Revenue Service
ISAP	Intensive Supervision Appearance Program
ISCPM	Identity and Security Checks Procedures Manual
ISO	Immigration Services Officer (USCIS)
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

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KST	Known Suspected Terrorist
LAPR	Lawfully Admitted Permanent Resident
LAPS	Legalization Application Processing System
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
NAILS	National Automated Immigration Lookout System
NBC	National Benefits Center

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NCIC	National Crime Information Center
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
OEPC	Office of Emergency Preparedness and Coordination

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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
ОРМ	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
РА	Privacy Act
PAIC	Patrol Agent in Charge
RAIO	Refugee, Asylum, and International Operations

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РС	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	
РТА	Privacy Threshold Assessment	
PTIG	Privacy Technology Implementation Guide	
RAC	Resident Agent in Charge	
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	
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	

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- 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)
- 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

220

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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
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
LICCC	Heired Creater Containing Complete

USCS United States Customs Service

221

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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
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."

<u>Access</u> - 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.

<u>Agency</u> - 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.

<u>Agency Record</u> - 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).

<u>Component</u> - 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.

<u>Conditions of Disclosure</u> - 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.

<u>Congressional Committee Request</u> - 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.

223

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<u>Congressional Request</u> - 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.

<u>Consolidation</u> – 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."

<u>Consultation</u> - 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.

<u>Freedom of Information Act Request</u> - A request <u>in writing</u> 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.

<u>First Party Requester</u> - 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.

Forms – Various government forms available from <u>www.uscis.gov/portal/site/uscis</u> 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:

- <u>G-28 Notice of Entry of Appearance as Attorney or Representative</u> 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.
- <u>G-639 Freedom of Information/Privacy Act Request</u> This form can be used to make a FOIA/PA request. When completed it provides enough information to complete an extensive search for records.

224

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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.

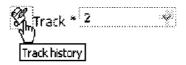
Track Drop-Down List

Track 1	s
	1
	3 13

- <u>Track 1</u> is used for the less complex cases. These are cases where only one or a few specific documents are being requested from the file.
- <u>Track 2</u> 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.
- <u>Track 3</u> is used for cases that specifically involve individuals who have been scheduled to appear before an immigration judge.

To view the track history of the active case, click the **Track history** icon next to the Track drop-down list.

Track History Icon



The track history appears in a separate pop-up window.

225

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Track History Displayed

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<u>**Privacy Act Amendment Request</u>** - 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.</u>

<u>**Privacy Act Record</u>** - Any item, collection, or grouping of information about an individual which 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.</u>

226

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<u>Privacy Act Request</u> - 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.

<u>**Records Custodian</u>** - 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.</u>

<u>Referral</u> - 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.

<u>**Retire**</u> – 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.

<u>**Rider**</u> – 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.

<u>System of Records</u> - 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.

<u>**Third Agency</u>** - Other administrative agencies of the Executive Branch of the Federal government, including other components of DHS.</u>

227

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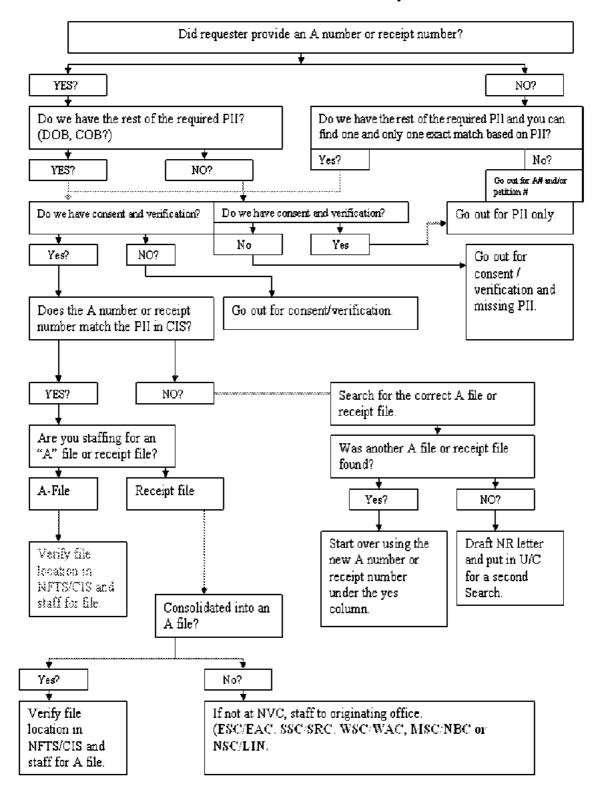
<u>Third Party Request</u> - A request from any person for access to another individual's record without that individual's written consent. The identity of a third party requester and his/her relationship to the subject does not increase (or decrease) his/her rights of access to the records.

<u>White House Inquiries</u> - An official request from any member of the White House staff, or letters of the President forwarded to the agency for response.

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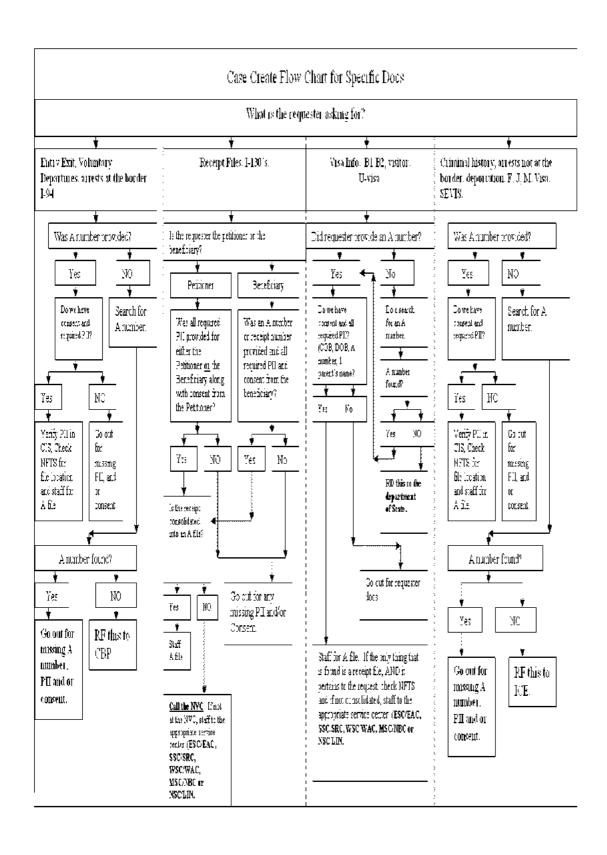
APPENDIX H: CASE CREATE FLOW CHARTS

Case Create Flow Chart for All my records.



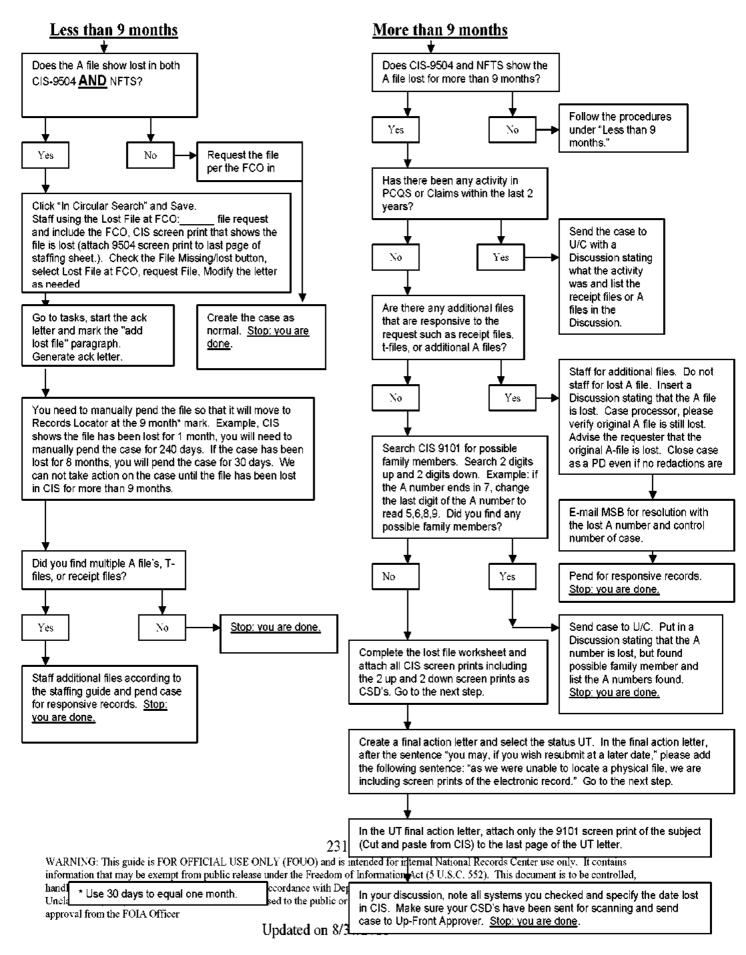
229

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Lost File Flowchart



APPENDIX I:	ALIEN NUMBER	ASSIGNMENT
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Classification	TYPE OF NUMBER (SSUED	starting Nimuri	erding Nutith
ISSUED FRE-1960	PETSCIAL FILES	A 002-007-000	A 051-999-989
ADJUSTMERTS	PHYSCIAL FILES	A 012 017 000	λ 014-0 59 -999
CREWMAN	PHYSCIAL FILES	A 615 000-000	A 016-999-999
ADJUSTMENTS	PHTSCIAL FILES	A 017-666-600	A 029-999-999
VISA (SIATE DEPI)	PHYSCIAL FILES	A 039-000-009	3 069-999-999
ALUVETMENTS	PHYSCIAL FILES	¥ 070-000-000	A 078-491-200
FAMILY FAIRNESS	PRYSCIAL FILES	A 070 -19 1-201	A 079-503-200
20 ITETMENTE	PRYSCIAL FILES	A 070-503-201	A 078-527-200
AD JUSTIMENTS	Parocet Plass	A 070 30 201	A 010-521-200
PAMILY FAIRNESS	Physcial Files	A 070 527 201	A 078-987-200
ALGUSTMENTS	PHYSCIAL FILES	A 070-987-201	A 077-536-951
ROSOVO	PHYSCIAL FILES	A 077 526-952	A 077-587-481
ADJUSTMENTS	PHYSCIAL FILES	A 070 537 452	A 079-999-999
SORDER APPRENERSIONS	BLECTRONIC ONLY	\$ 050-000-000	A 086-899-999
	PHYSCIAL FILES	A 084-900-000	A (189-999-999
ADJUSTRENTS	PRINCIPLE PRES	A 004770-000	
LEGALIZATION	PHYSCIAL FILES	A 393-666-833	A 092-399-974
TEMPORARY PROTECTIVE STATUS (IPS)	Physcial Files	4 094 000 000	A 094-050-500
TEMPORARY PROTECTIVE STATUS (TPS)	Physcial Files	A 094-328-751	3 094-339-250
HURRICANE MITCH	PHYSCIAL FILES	A 074 250-501	A 094-326-750
HURRICANE MITCH	PHTNCIAL FILES	A 094-334-251	A 094-364-250
TEMPORARY PROTECTIVE STATUS (IPS)	PHYSCIAL FILES	A 094-36+251	A 094-399-500
KOSOVO	PHYSCIAL FILES	A 0#4-349-501	A 094-404-750
TEMPORARY PROTECTIVE STATUS (TFS)	PHYSCIAL FILES	A 094 404-751	A 094-500-000
KOSOVO	PHYSCIAL FILES	A 094-502-001	A 094-527-000
TEMPORARY PROTECTIVE STATUS (TPS)	Physcial Files	A 994-757-000	A 095-099-999
85C ORPEANS	PHYSCIAL FILES	A 074-500-001	A 994-502-900
NGC ORPHANS	PRYSCIAL FILES	A 084-527-001	A 094-528-000
NETO: EES	PRUSCIAL FILES	A 094 525-001	A 094-528-000
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REFUGEES	PHYSCIAL FILES	A 094-638-001	A 094-749-999
Adjustments	PHYSCIAL FILES	A 095-100-000	A 096-749-999
LIFE ACT	FORYSCEAL FELES	A 995-730-999	A 096-989-999
ADJUSTMENTS	PHYSCLAL FILES	A 097-000-000	A 093-099-999
ADJUSTMENTS	VHYSCEAL FELES	A 998-198-209	A 099-099-999
Adjustments	Physcial fills	A 099-500-000	¥ (\$9-299-999
ADJUSTMENTS	PHYSCEAL FILES	A 099-000-000	A 099-999-999
EMPLOYMENT AUTHORIZATION DOCUMENT (EAD)	ELECTRONIC ONLY	A 190-900-908	A 199-999-998
ADJUSTMENTS.	PHYSCEAL FILES	A 200-000-000	A 303-999-999
Sot issued	NOT ISSUED	A 204-900-009	a 2049-999-999
ADJUETMENTS	WHYSCEAL FELES	A 205-900-909	A 205-999-999
NOT ISSUED	Not issued	A 206-000-000	A 209-000-000
ADJUSTMENTS	PHYSCIAL FELES	A 212-000-000	a 211-999-999
Refucees	PHYSCLAL FILES	A 212-000-000	A 212-399-999
ADJUSTMENTS	NOT ISSUED	A 212-400-000	A 299-999-999
NOT ISSUED	NOT ISSUED	A 390-000-000	A 300-299-999
Adaustment	PHYSCIAL FELES	& 300-300-866	A 366-322-561
NOT ISSUED	NOT ISSUED	A 390-322-592	A 559-999-999

LEDGER:

CREWNAR Fifteen and sinteen million comes have been insued to Alexa Greeman Landary Fermet and Identification Cando groups. The blocks of

numbers are assigned to offices strucky such cards

ELECTRONIC ONLY No physical jackets are created.

PHYCIAL FEES: A.Namber with A.File Jackson

NGT ISSUED: The numbers are not by used any Office or Program

VISA (STATE DEPT): Dob is electronically accepted blocks of 8-Numbers that they action to Niza perform.

233

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FOREWORD

The <u>FOIA/PA Assistant's Guide</u> 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 \Rightarrow Preferences \Rightarrow Documents \Rightarrow 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.

1

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Record of Revision

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.

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):

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12.7.3.9 <u>If the A-file is lost but other records exist</u> (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 XXXXXXXXX is currently showing as lost. Staffed for the following additional files: XXXXXX, XXXXXX, XXXXXXX. 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 anumbers. If no documents exist from the original a-file, please process what is available. Advise the requester that the original afile 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.

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 (and ideal and a screen prints of all searches as directed. Open a RAFACS (and ideal and a screen prints of all "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 <u>case supporting documents</u> responsive records for the case number you have just created, attach it to the screen prints and take those to the <u>OA room for scanning as CSD</u> person designated to scan-RAFACS-only-responsive records. Pend-the case prepare a Final Action Letter with closing code

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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

(b)(6) **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.

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. <u>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.</u>

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, <u>PCQS</u> 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

4

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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

5

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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 <u>Receipt Numbers</u> 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 <u>RPC codes XX, XY,</u> 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, FOIAMSB 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.

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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 <u>APPENDIX H:</u> <u>CASE CREATE FLOW CHARTS</u> in the FOIA/PA Assistant's Guide.

Additionally, in paragraphs

12.7.2 Files Lost or Not Found LESS THAN NINE MONTHS and12.7.3 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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"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.

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⁸

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 <u>pending</u> (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.

September 16, 2011

The following new bullet has been added to sub-paragraph 12.1.1.6, "Blued-in information":

9

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Comments may be important because a File Control Office may not be able to change a file location to "LOST" in NFTS. When that happens, the records person at the FCO will notate in Comments that the file is lost. If that is the situation, please refer to the Lost File Flowchart in Appendix H of this guide.

October 24, 2011

We have added a sentence to Paragraph 8.21, as follows, (added material in red):

NFTS may show that the file has been retired and is at a Federal Records Center. If that is the case, request the file.

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Paragraph 32.12 is no longer valid because creators now Up-Front close requests without good VOI. The following has been deleted:

32.12 If the requester/subject does not return proper verification of identity, generate a FC letter and replace the contents of the letter with the template letter Failure to comply 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.

We have added a sentence to Paragraph 34, as follows, (added material in red):

After you have changed the track, send an e-mail to NRC, FIPSPROBLEM and copy NRC, FOIA PROGRAM and your supervisor. The e-mail should include the case number and the action you took.

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Paragraph 36 is no longer valid because a person working Records Locator role may now create an acknowledgment letter. The following has been deleted:

36. CASES NEEDING ACKNOWLEDGEMENT LETTERS

[The following paragraph has been deleted in its entirety] Cases received in Records Locator queue 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.

10

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Paragraph 6.4, <u>SEARCH FOR DUPLICATE CASES</u> has been changed as follows (old version in strikethrough) (new version in red):

Just before you create the case, Before you begin filling in the worksheet, you should look for duplicates.

》)目립外景视系征语音是邻原发展这里看各代程度发现这目目外是规定这份看目的是没有这些目标和实际和实际是现在没有是你将发展的这里看是我们发展自分表现的 >

A new **Appendix J: 16 RULES OF CASE CREATE** has been added to the FOIA/PA Assistant's Guide

December 14, 2011

Paragraph 7.4, Third Party Requests has been changed as follows (new information in red, deleted information in strikethrough)

Third party requesters are not entitled to any public documents that may be in the file they are seeking, as well as nor 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, close the case as a Failure to Comply. 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.

11

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1. THE FREEDOM OF INFORMATION ACT	FOREWORD	1
3. WHAT ARE FOLA REQUESTS AND HOW DO WE GET THEM? 18 4. WHO CAN MAKE A FOLA REQUEST? 19 5. SYSTEMS USED AND DESCRIPTION OF THE SYSTEMS 20 5.1 Central Index System 20 5.1.1 Introduction Screen 20 5.1.2 TeleView Main Menu 21 5.1.3 Iso Streen 21 5.1.4 CIS Login Screen 22 5.1.4 Search Menu Screen 24 5.1.5 Sounds-Like Name Search (9101) 25 5.1.6 Exact Name Search (9102) 25 5.1.7 Sounds-Like Name Search (9103) 27 5.1.8 Sounds Like Name Search (9104) 28 5.1.9 Sounds Like Name Search (9104) 28 5.1.10 File Transfer Display (9504) 31 5.1.11 Tables 32 5.1.2 Tables Menu 33 5.1.1 Tables Information Screen 34 5.1.1 Tables Information Screen 36 5.2.1 Introduction Screen 37 5.2.2 ClaMS Selection Screen 36 5.2.1 Introduction Screen 37 5.2.2 ClaMS Welcome Sereen 36 5.2.1 Introduction Screen 37 5.2.2 ClaMMS Welcome Sereen 37	1. THE FREEDOM OF INFORMATION ACT	
4. WHO CAN MAKE A FOIA REQUEST? 19 5. SYSTEMS USED AND DESCRIPTION OF THE SYSTEMS. 20 5.1 Central Index System 20 5.1.1 Introduction Screen 20 5.1.2 TeleView Main Menu 21 5.1.3 IS Login Screen 22 5.1.4 CIS Main Menu 23 5.1.4.1 Search Menu Screen 23 5.1.4.2 Search Ware Search (9101) 25 5.1.5 Sounds-Like Name Search (9102) 25 5.1.6 Exact Name Search (9103) 27 5.1.7 Alias (AKA) Name Search (9104) 28 5.1.8 Sounds Like Name With Date of Birth (DOB) Search (9106) 29 5.1.9 Card Search (2222) 30 5.1.10 File Transfer Display (9504) 31 5.1.11 Tables Information Screen 34 5.1.12 Tables Birdormation Screen 35 5.2.1 Computer Linked Application Information Management System 36 5.2.1 Introduction Screen 37 5.2.2 Clarking Sclecton Screen 37 5.2.4 CLAIMS Selecton Screen 37 5.2.5 CLAIMS Welcome Screen 36 5.2.7 Computer Linked Application Information Management System 36 5.2.7 CLAIMS Welcome Sc	2. THE PRIVACY ACT	
4. WHO CAN MAKE A FOIA REQUEST? 19 5. SYSTEMS USED AND DESCRIPTION OF THE SYSTEMS. 20 5.1 Central Index System 20 5.1.1 Introduction Screen 20 5.1.2 TeleView Main Menu 21 5.1.3 IS Login Screen 22 5.1.4 CIS Main Menu 23 5.1.4.1 Search Menu Screen 23 5.1.4.2 Search Ware Search (9101) 25 5.1.5 Sounds-Like Name Search (9102) 25 5.1.6 Exact Name Search (9103) 27 5.1.7 Alias (AKA) Name Search (9104) 28 5.1.8 Sounds Like Name With Date of Birth (DOB) Search (9106) 29 5.1.9 Card Search (2222) 30 5.1.10 File Transfer Display (9504) 31 5.1.11 Tables Information Screen 34 5.1.12 Tables Birdormation Screen 35 5.2.1 Computer Linked Application Information Management System 36 5.2.1 Introduction Screen 37 5.2.2 Clarking Sclecton Screen 37 5.2.4 CLAIMS Selecton Screen 37 5.2.5 CLAIMS Welcome Screen 36 5.2.7 Computer Linked Application Information Management System 36 5.2.7 CLAIMS Welcome Sc	3. WHAT ARE FOIA REQUESTS AND HOW DO WE GET THEM?	
5. SYSTEMS USED AND DESCRIPTION OF THE SYSTEMS 20 5.1 Central Index System 20 5.1.1 Introduction Screen 20 5.1.2 TeleView Main Menu 21 5.1.3 Tols Login Screen 22 5.1.4 CIS Main Menu 23 5.1.4 J. Search Menu Screen 24 5.1.4 Z. Search My Anumber (9101) 25 5.1.5 Sounds-Like Name Search (9102) 25 5.1.6 Exact Name Search (9103) 27 5.1.7 Alias (AKA) Name Search (9104) 28 5.1.8 Sounds Like Name With Date of Birth (DOB) Search (9106) 29 5.1.9 Card Search (9222) 30 5.1.1 Tables 32 5.1.1 Tables Menu 33 5.1.1 Tables Menu 33 5.1.1 Tables Information Screen 34 5.1.1 Tables Information Screen 36 5.2 Teleview Introduction Screen 36 5.2.1 Introduction Screen 36 5.2.2 Teleview Introduction Screen 36 5.2.3 CLAIMS Selection Screen 36 5.2.4 CLAIMS Function Screen 37 5.2.5 CLAIMS Welcome Screen 38 5.2.6 CLAIMS Using a Name and Date of Birth		
5.1 Central Index System 20 5.1.1 Introduction Screen 20 5.1.2 TeleView Main Menu 21 5.1.3 CIS Login Screen 22 5.1.4 CIS Main Menu 23 5.1.4.1 Search Menu Screen 24 5.1.4.2 Search by A-number (9101) 25 5.1.5 Sounds-Like Name Search (9102) 25 5.1.6 Exact Name Search (9103) 27 5.1.7 Alias (AKA) Name Search (9104) 28 5.1.8 Sounds Like Name Search (9104) 28 5.1.9 Card Search (9222) 30 5.1.10 File Transfer Display (9504) 31 5.1.11 Tables 32 5.1.12 Tables Menu 33 5.1.13 Tables Information Screen 34 5.1.14 Value Tables Browse Screen 35 5.2.1 Computer Linked Application Information Management System 36 5.2.2 Teleview Introduction Screen 36 5.2.3 CLAIMS Selection Screen 37 5.2.4 CLAIMS Function Screen 38 5.2.5 CLAIMS Subcroin Screen 36 5.2.1 Introduction Screen 36 5.2.2 Scarching with the A-Number 35 5.2.1 Searching with a Receipt Number		
5.1.1 Introduction Screen 20 5.1.2 Tele View Main Menu 21 5.1.3 IS Login Screen 22 5.1.4 CIS Main Screen 23 5.1.4 CIS Main Menu 23 5.1.4 Starch Menu Screen 24 5.1.5 Sounds-Like Name Search (9102) 25 5.1.6 Exact Name Search (9104) 27 5.1.7 Starch Mane Search (9104) 28 5.1.8 Sounds Like Name With Date of Birth (DOB) Search (9106) 29 5.1.9 Card Search (922) 30 5.1.10 Tibles Information Screen 31 5.1.11 Tables Menu 33 5.1.12 Tables Browse Screen 35 5.1.12 Tables Bromation Screen 36 5.1.14 Value Tables Browse Screen 36 5.2.1 Introduction Screen 36 5.2.2 ClaMS Selection Screen 36 5.2.3<		
5.1.2 Tele View Main Menu 21 5.1.3 CIS Login Screen 22 5.1.4 CIS Main Menu 23 5.1.4.1 Search Menu Screen 24 5.1.4.2 Search Menu Screen 24 5.1.4 Search Menu Screen 25 5.1.5 Sounds-Like Name Search (9101) 25 5.1.6 Exact Name Search (9102) 25 5.1.6 Exact Name Search (9104) 28 5.1.8 Sounds Like Name With Date of Birth (DOB) Search (9106). 29 5.1.9 Card Search (922) 30 5.1.10 File Transfer Display (9504) 31 5.1.11 Tables Menu 33 5.1.12 Tables Menu 33 5.1.13 Tables Menu 33 5.1.14 Value Tables Brows Screen 35 5.1.2 Computer Linked Application Information Management System 36 5.2.1 Introduction Screen 36 5.2.2 Computer Linked Application Information Management System 36 5.2.1 Introduction Screen 37 5.2.2 CLAIMS Seige O		
5.1.3 CIS Login Screen 22 5.1.4 CIS Main Menu 23 5.1.4.1 Search Menu Screen 24 5.1.4.2 Search Menu Screen 24 5.1.4.2 Search Menu Screen 25 5.1.5 Sounds-Like Name Search (9102) 25 5.1.6 Exact Name Search (9103) 27 5.1.7 Alias (AKA) Name Search (9104) 28 5.1.8 Sounds Like Name With Date of Birth (DOB) Search (9106) 29 5.1.9 Card Search (9222) 30 5.1.10 File Transfer Display (9504) 31 5.1.11 Tables Menu 32 5.1.12 Tables Menu 33 5.1.13 Tables Menu 33 5.1.14 Value Tables Browse Screen 36 5.2.1 Introduction Screen 36 5.2.2 Computer Linked Application Information Management System 36 5.2.3 CLAIMS Election Screen 36 5.2.4 CLAIMS Selection Screen 39 5.2.6 CLAIMS Selection Screen 39 5.2.6 CLAIMS Suchore screen		
5.1.4 CIS Main Menu 23 5.1.4.1 Search Menu Screen 24 5.1.4.2 Search Menu Screen 24 5.1.5 Sounds-Like Name Search (9102) 25 5.1.6 Exact Name Search (9103) 27 5.1.7 Alias (AKA) Name Search (9104) 28 5.1.8 Sounds Like Name With Date of Birth (DOB) Search (9106) 29 5.1.9 Card Search (9222) 30 5.1.10 File Transfer Display (9504) 31 5.1.11 Tables Menu 33 5.1.12 Tables Menu 33 5.1.13 Tables Information Screen 34 5.1.14 Value Tables Browse Screen 36 5.2.1 Introduction Screen 36 5.2.2 Teleview Introduction Screen 36 5.2.3 CLAIMS Selection Screen 36 5.2.4 CLAIMS Selection Screen 38 5.2.5 CLAIMS Selection Screen 37 5.2.6 CLAIMS Selection Screen 39 5.2.6 CLAIMS Selection Screen 38 5.2.7 CLAIMS Min Menu Scree		
5.1.4.1 Search by A-number (9101)		
5.14.2 Search by A-number (9101) 25 5.1.5 Sounds-Like Name Search (9102) 25 5.1.6 Exact Name Search (9103) 27 5.1.7 Alias (AKA) Name Search (9104) 28 5.1.8 Sounds Like Name With Date of Birth (DOB) Search (9106) 29 5.1.9 Card Search (922) 30 5.1.10 File Transfer Display (9504) 31 5.1.11 Tables Information Screen 34 5.1.12 Tables Brome Screen 35 5.1.13 Tables Bromomation Screen 36 5.1.14 Value Tables Browse Screen 36 5.1.1 Tables Information Screen 36 5.2.1 Introduction 36 5.2.2 Computer Linked Application Information Management System 36 5.2.1 Introduction Screen 37 5.2.2 CLAIMS Election Screen 37 5.2.4 CLAIMS Welcome Screen 39 5.2.5 CLAIMS Main Menn Screen 40 5.2.7 CLAIMS Main Menn Screen 41 5.2.8 Scarching with the Petitioner's Name 45 <t< td=""><td></td><td></td></t<>		
5.1.5 Sounds-Like Name Search (9102) 25 5.1.6 Exact Name Search (9103) 27 5.1.7 Alias (AKA) Name Search (9104) 28 5.1.8 Sounds Like Name With Date of Birth (DOB) Search (9106) 29 5.1.9 Card Search (9222) 30 5.1.10 File Transfer Display (9504) 31 5.1.11 Tables 32 5.1.12 Tables Menu 33 5.1.13 Tables Information Screen 34 5.1.14 Value Tables Browse Screen 35 5.2 Computer Linked Application Information Management System 36 5.2.1 Introduction Screen 36 5.2.2 Teleview Introduction Screen 36 5.2.3 CLAIMS Selection Screen 39 5.2.4 CLAIMS Velcome Screen 39 5.2.5 CLAIMS Welcome Screen 39 5.2.6 CLAIMS Welcome Screen 40 5.2.7 CLAIMS Main Menu Screen 41 5.2.8 Inquiry Screen, searching with a Receipt Number 42 5.2.9 Searching CLAIMS using a Name and Date of Birth 43		
51.6 Exact Name Search (9103). 27 51.7 Alias (AKA) Name Search (9104) 28 51.8 Sounds Like Name With Date of Birth (DOB) Search (9106). 29 51.9 Card Search (9222) 30 51.10 File Transfer Display (9504) 31 51.11 Tables 32 51.12 Tables Menu 33 51.13 Tables Information Screen 34 51.14 Value Tables Browse Screen 35 5.2 Computer Linked Application Information Management System 36 5.2.1 Introduction Screen 36 5.2.2 Teleview Introduction Screen 36 5.2.3 CLAIMS Selection Screen 39 5.4 CLAIMS Function Screen 39 5.2.4 CLAIMS Welcome Screen 39 5.2.5 CLAIMS Usgon Screen 40 5.2.7 CLAIMS Main Menu Screen 41 5.2.8 Inquiry Screen, searching with a Receipt Number 42 5.2.1 Iscarching with the A-Number 45 5.2.10 Searching with the A-Number 45 5.2		
5.1.7 Alias (AKA) Name Search (9104) 28 5.1.8 Sounds Like Name With Date of Birth (DOB) Search (9106) 29 5.1.9 Card Search (9222) 30 5.1.10 File Transfer Display (9504) 31 5.1.10 File Transfer Display (9504) 31 5.1.11 Tables Menu 33 5.1.12 Tables Information Screen 34 5.1.14 Value Tables Browse Screen 35 5.2. Computer Linked Application Information Management System 36 5.2.1 Introduction 36 5.2.2 Teleview Introduction Screen 36 5.2.3 CLAIMS Selection Screen 36 5.2.4 CLAIMS Selection Screen 36 5.2.5 CLAIMS Welcome Screen 39 5.2.6 CLAIMS Welcome Screen 39 5.2.7 CLAIMS Main Menu Screen 40 5.2.7 Searching with a Receipt Number 42 5.2.9 Searching with the A-Number 42 5.2.9 Searching with the Petitioner's Name 46 5.2.10 Searching with the Petitioner's Name 46 <		
5.1.8 Sounds Like Name With Date of Birth (DOB) Search (9106). 29 5.1.9 Card Search (9222) 30 5.1.10 File Transfer Display (9504) 31 5.1.11 Tables 32 5.1.12 Tables Menu 33 5.1.13 Tables Information Screen 34 5.1.14 Value Tables Browse Screen 35 5.2. Computer Linked Application Information Management System 36 5.2.1 Introduction Screen 36 5.2.2 Teleview Introduction Screen 36 5.2.3 CLAIMS Selection Screen 36 5.2.4 CLAIMS Selection Screen 37 5.2.5 CLAIMS Welcone Screen 39 5.2.6 CLAIMS Welcone Screen 40 5.2.7 CLAIMS Ling on Screen 41 5.2.8 Inquiry Screen, searching with a Receipt Number. 42 5.2.9 Searching CLAIMS using a Name and Date of Birth 43 5.2.11 Searching with the Petitioner's Name 46 5.2.12 Searching with the Petitioner's Name 45 5.2.13 Beneficiary Petition for Non Im		
5.1.9 Card Search (9222) 30 5.1.10 File Transfer Display (9504) 31 5.1.11 Tables 32 5.1.12 Tables Menu 33 5.1.13 Tables Information Screen 34 5.1.14 Value Tables Browse Screen 35 5.2 Computer Linked Application Information Management System 36 5.2.1 Introduction Screen 36 5.2.2 Teleview Introduction Screen 36 5.2.3 CLAIMS Selection Screen 36 5.2.4 CLAIMS Selection Screen 36 5.2.5 CLAIMS Function Screen 36 5.2.6 CLAIMS Welcome Screen 37 5.2.6 CLAIMS Welcome Screen 39 5.2.6 CLAIMS Main Menu Screen 41 5.2.8 Inquiry Screen, searching with a Receipt Number 42 5.2.9 Searching CLAIMS using a Name and Date of Birth 43 5.2.10 Searching with the A-Number 45 5.2.11 Searching with the Petitioner's Name 46 5.2.12 Searching System (NFTS) 53 <t< td=""><td></td><td></td></t<>		
5.1.10 File Transfer Display (9504) 31 5.1.11 Tables 32 5.1.12 Tables Menu 33 5.1.13 Tables Information Screen 34 5.1.14 Value Tables Browse Screen 35 5.2. Computer Linked Application Information Management System 36 5.2. Computer Linked Application Information Management System 36 5.2. Teleview Introduction Screen 36 5.2.3 CLAIMS Selection Screen 36 5.2.4 CLAIMS Selection Screen 37 5.2.5 CLAIMS Welcome Screen 39 5.2.6 CLAIMS Welcome Screen 39 5.2.6 CLAIMS Main Menu Screen 40 5.2.7 CLAIMS Main Menu Screen 41 5.2.8 Inquiry Screen, searching with a Receipt Number 42 5.2.9 Searching with the A-Number 45 5.2.10 Searching with the A-Number 45 5.2.11 Searching with the A-Number 45 5.2.12 Searching with the A-Number 50 5.3. National File Tracking System (NFTS) 53 <td></td> <td></td>		
51.11 Tables 32 51.12 Tables Information Screen 33 51.13 Tables Information Screen 34 51.14 Value Tables Browse Screen 35 52. Computer Linked Application Information Management System 36 52.1 Introduction 36 52.2 Cleview Introduction Screen 36 52.3 CLAIMS Selection Screen 36 52.4 CLAIMS Selection Screen 37 52.4 CLAIMS Selection Screen 38 52.5 CLAIMS Selection Screen 39 52.6 CLAIMS Menu Screen 39 52.7 CLAIMS Menu Screen 40 52.7 CLAIMS Menu Screen 41 52.8 Inquity Screen, searching with a Receipt Number 42 52.9 Searching CLAIMS using a Name and Date of Birth 43 52.11 Searching with the Petitioner's Name 46 52.12 Searching with the Petitioner's Name 46 52.13 Searching System (NFTS) 53 53 National File Tracking System (NFTS) 53 54. Person Centri		
5.1.12 Tables Menu. 33 5.1.13 Tables Information Screen 34 5.1.14 Value Tables Browse Screen 35 5.2. Computer Linked Application Information Management System 36 5.2.1 Introduction 36 5.2.2 Teleview Introduction Screen 36 5.2.3 CLAIMS Selection Screen 37 5.4 CLAIMS Selection Screen 37 5.2.4 CLAIMS Succense Screen 38 5.2.5 CLAIMS Welcome Screen 39 5.2.6 CLAIMS Main Menu Screen 40 5.2.7 CLAIMS Main Menu Screen 41 5.2.9 Searching with a Receipt Number 42 5.2.9 Searching with the A-Number 42 5.2.10 Searching with the A-Number 45 5.2.11 Searching with the Petitioner's Name 46 5.2.12 Searching With the Petitioner's Name 46 5.2.13 Beneficiary Petition for Non Immigrant Worker 50 5.3. National File Tracking System (NFTS) 53 5.4. Person Centric Query Service (PCQS) 54		
51.13 Tables Information Screen 34 5.1.14 Value Tables Browse Screen 35 5.2. Computer Linked Application Information Management System 36 5.2.1 Introduction 36 5.2.2 Teleview Introduction Screen 36 5.2.3 CLAIMS Selection Screen 36 5.2.4 CLAIMS Selection Screen 37 5.2.5 CLAIMS Welcome Screen 39 5.2.6 CLAIMS Welcome Screen 39 5.2.7 CLAIMS Main Menu Screen 40 5.2.7 CLAIMS Logon Screen 40 5.2.8 Inquiry Screen, searching with a Receipt Number. 42 5.2.9 Searching CLAIMS using a Name and Date of Birth 43 5.2.10 Searching with the Petitioner's Name 46 5.2.12 Search Results 47 5.2.13 Beneficiary Petition for Non Immigrant Worker 50 5.3. National File Tracking System (NFTS) 53 5.4. Person Centric Query Service (PCQS) 54 6. CREATING THE CASE 56 6.1 REQUESTER INFORMATION <td< td=""><td></td><td></td></td<>		
5.1.14 Value Tables Browse Screen 35 5.2. Computer Linked Application Information Management System 36 5.2.1 Introduction 36 5.2.2 Teleview Introduction Screen 36 5.2.3 CLAIMS Selection Screen 36 5.2.4 CLAIMS Function Screen 37 5.2.4 CLAIMS Function Screen 38 5.2.5 CLAIMS Welcome Screen 39 5.2.6 CLAIMS Logon Screen 40 5.2.7 CLAIMS Main Menu Screen 41 5.2.8 Inquiry Screen, searching with a Receipt Number 42 5.2.9 Searching CLAIMS using a Name and Date of Birth 43 5.2.10 Searching with the A-Number 45 5.2.11 Searching with the Petitioner's Name 46 5.2.12 Search Results 47 5.2.13 Beneficiary Petition for Non Immigrant Worker 50 5.3 National File Tracking System (NFTS) 53 5.4 Person Centric Query Service (PCQS) 54 5.5 FOIA/PA Information Processing System (FIPS) 54 6. CREATING THE CASE		
52.1 Introduction 36 52.2 Teleview Introduction Screen 36 52.3 CLAIMS Selection Screen 37 52.4 CLAIMS Function Screen 38 52.5 CLAIMS Welcome Screen 39 52.6 CLAIMS Logon Screen 40 52.7 CLAIMS Main Menu Screen 41 52.8 Inquiry Screen, searching with a Receipt Number 42 52.9 Searching CLAIMS using a Name and Date of Birth 43 52.10 Searching with the A-Number 45 52.11 Searching with the Petitioner's Name 46 52.12 Search Results 47 52.13 Beneficiary Petition for Non Immigrant Worker 50 53. National File Tracking System (NFTS) 53 5.4. Person Centric Query Service (PCQS) 54 5.5. FOIA/PA Information Processing System (FIPS) 54 6. CREATING THE CASE 56 6.1 REQUESTER INFORMATION 58 6.2 SUBJECT INFORMATION 64 62.1 Name 65		
52.1 Introduction 36 52.2 Teleview Introduction Screen 36 52.3 CLAIMS Selection Screen 37 52.4 CLAIMS Function Screen 38 52.5 CLAIMS Welcome Screen 39 52.6 CLAIMS Logon Screen 40 52.7 CLAIMS Main Menu Screen 41 52.8 Inquiry Screen, searching with a Receipt Number 42 52.9 Searching CLAIMS using a Name and Date of Birth 43 52.10 Searching with the A-Number 45 52.11 Searching with the Petitioner's Name 46 52.12 Search Results 47 52.13 Beneficiary Petition for Non Immigrant Worker 50 53. National File Tracking System (NFTS) 53 5.4. Person Centric Query Service (PCQS) 54 5.5. FOIA/PA Information Processing System (FIPS) 54 6. CREATING THE CASE 56 6.1 REQUESTER INFORMATION 58 6.2 SUBJECT INFORMATION 64 62.1 Name 65	5.2. Computer Linked Application Information Management System	
5.2.3 CLAIMS Selection Screen 37 5.2.4 CLAIMS Function Screen 38 5.2.5 CLAIMS Welcome Screen 39 5.2.6 CLAIMS Logon Screen 40 5.2.7 CLAIMS Main Menu Screen 41 5.2.8 Inquiry Screen, searching with a Receipt Number 42 5.2.9 Searching CLAIMS using a Name and Date of Birth 43 5.2.10 Searching with the A-Number 45 5.2.11 Searching with the Petitioner's Name 46 5.2.12 Search Results 47 5.2.13 Beneficiary Petition for Non Immigrant Worker 50 5.3. National File Tracking System (NFTS) 53 5.4. Person Centric Query Service (PCQS) 54 5.5. FOIA/PA Information Processing System (FIPS) 54 6. CREATING THE CASE 56 6.1 REQUESTER INFORMATION 58 6.2 SUBJECT INFORMATION 64 6.1 Name 65	5.2.1 Introduction	
5.2.4 CLAIMS Function Screen 38 5.2.5 CLAIMS Welcome Screen 39 5.2.6 CLAIMS Logon Screen 40 5.2.7 CLAIMS Main Menu Screen 41 5.2.8 Inquiry Screen, searching with a Receipt Number 42 5.2.9 Searching CLAIMS using a Name and Date of Birth 43 5.2.10 Searching with the A-Number 45 5.2.11 Searching with the Petitioner's Name 46 5.2.12 Search Results 47 5.2.13 Beneficiary Petition for Non Immugrant Worker 50 5.3. National File Tracking System (NFTS) 53 5.4. Person Centric Query Service (PCQS) 54 5.5. FOIA/PA Information Processing System (FIPS) 54 6. CREATING THE CASE 56 6.1 REQUESTER INFORMATION 58 6.2 SUBJECT INFORMATION 64 6.1. Name 65	5.2.2 Teleview Introduction Screen	
5.2.5 CLAIMS Welcome Screen 39 5.2.6 CLAIMS Logon Screen 40 5.2.7 CLAIMS Main Menu Screen 41 5.2.8 Inquiry Screen, searching with a Receipt Number 42 5.2.9 Searching CLAIMS using a Name and Date of Birth 43 5.2.10 Searching with the A-Number 45 5.2.11 Searching with the Petitioner's Name 46 5.2.12 Search Results 47 5.2.13 Beneficiary Petition for Non Immigrant Worker 50 5.3. National File Tracking System (NFTS) 53 5.4. Person Centric Query Service (PCQS) 54 5.5. FOIA/PA Information Processing System (FIPS) 54 6. CREATING THE CASE 56 6.1 REQUESTER INFORMATION 58 6.2 SUBJECT INFORMATION 64 62.1 Name 65		
5.2.6CLAIMS Logon Screen405.2.7CLAIMS Main Menu Screen415.2.8Inquiry Screen, searching with a Receipt Number425.2.9Searching CLAIMS using a Name and Date of Birth435.2.10Searching with the A-Number455.2.11Searching with the Petitioner's Name465.2.12Search Results475.2.13Beneficiary Petition for Non Immigrant Worker505.3.National File Tracking System (NFTS)535.4.Person Centric Query Service (PCQS)545.5.FOLA/PA Information Processing System (FIPS)546.CREATING THE CASE566.1REQUESTER INFORMATION586.2SUBJECT INFORMATION646.2.1Name65		
5.2.7 CLAIMS Main Menu Screen 41 5.2.8 Inquiry Screen, searching with a Receipt Number 42 5.2.9 Searching CLAIMS using a Name and Date of Birth 43 5.2.10 Searching with the A-Number 45 5.2.11 Searching with the Petitioner's Name 46 5.2.12 Search Results 47 5.2.13 Beneficiary Petition for Non Immigrant Worker 50 5.3. National File Tracking System (NFTS) 53 5.4. Person Centric Query Service (PCQS) 54 5.5. FOIA/PA Information Processing System (FIPS) 54 6. CREATING THE CASE 56 6.1 REQUESTER INFORMATION 58 6.2 SUBJECT INFORMATION 64 6.2.1 Name 65		
52.8 Inquiry Screen, searching with a Receipt Number. 42 52.9 Searching CLAIMS using a Name and Date of Birth. 43 52.10 Searching with the A-Number. 45 52.11 Searching with the Petitioner's Name. 46 52.12 Search Results. 47 52.13 Beneficiary Petition for Non Immigrant Worker 50 53. National File Tracking System (NFTS) 53 54. Person Centric Query Service (PCQS) 54 5.5. FOIA/PA Information Processing System (FIPS) 54 6. CREATING THE CASE 56 6.1 REQUESTER INFORMATION 58 6.2 SUBJECT INFORMATION 64 62.1 Name 65		
5.2.9 Searching CLAIMS using a Name and Date of Birth 43 5.2.10 Searching with the A-Number 45 5.2.11 Searching with the Petitioner's Name 46 5.2.12 Search Results 47 5.2.13 Beneficiary Petition for Non Immigrant Worker 50 5.3. National File Tracking System (NFTS) 53 5.4. Person Centric Query Service (PCQS) 54 5.5. FOIA/PA Information Processing System (FIPS) 54 6. CREATING THE CASE 56 6.1 REQUESTER INFORMATION 58 6.2 SUBJECT INFORMATION 64 6.2.1 Name 65		
5.2.10 Searching with the A-Number	5.2.8 Inquiry Screen, searching with a Receipt Number	
5.2.11 Searching with the Petitioner's Name 46 5.2.12 Search Results 47 5.2.13 Beneficiary Petition for Non Immigrant Worker 50 5.3. National File Tracking System (NFTS) 53 5.4. Person Centric Query Service (PCQS) 54 5.5. FOIA/PA Information Processing System (FIPS) 54 6. CREATING THE CASE 56 6.1 REQUESTER INFORMATION 58 6.2 SUBJECT INFORMATION 64 6.2.1 Name 65		
5.2.12 Search Results 47 5.2.13 Beneficiary Petition for Non Immigrant Worker 50 5.3. National File Tracking System (NFTS) 53 5.4. Person Centric Query Service (PCQS) 54 5.5. FOIA/PA Information Processing System (FIPS) 54 6. CREATING THE CASE 56 6.1 REQUESTER INFORMATION 58 6.2 SUBJECT INFORMATION 64 6.2.1 Name 65		
5.2.13 Beneficiary Petition for Non Immigrant Worker .50 5.3. National File Tracking System (NFTS) .53 5.4. Person Centric Query Service (PCQS) .54 5.5. FOIA/PA Information Processing System (FIPS) .54 6. CREATING THE CASE .56 6.1 REQUESTER INFORMATION .58 6.2 SUBJECT INFORMATION .64 6.2.1 Name .65		
5.3. National File Tracking System (NFTS) 53 5.4. Person Centric Query Service (PCQS) 54 5.5. FOIA/PA Information Processing System (FIPS) 54 6. CREATING THE CASE 56 6.1 REQUESTER INFORMATION 58 6.2 SUBJECT INFORMATION 64 6.2.1 Name		
5.4. Person Centric Query Service (PCQS) 54 5.5. FOIA/PA Information Processing System (FIPS) 54 6. CREATING THE CASE 56 6.1 REQUESTER INFORMATION 58 6.2 SUBJECT INFORMATION 64 6.2.1 Name		
5.5. FOIA/PA Information Processing System (FIPS)		
6. CREATING THE CASE	5.4. Person Centric Query Service (PCQS)	54
6.1 REQUESTER INFORMATION	5.5. FOIA/PA Information Processing System (FIPS)	
6.2 SUBJECT INFORMATION	6. CREATING THE CASE	56
6.2.1 Name	6.1 REQUESTER INFORMATION	
6.2.1 Name	6.2 SUBJECT INFORMATION	64
IZ	12	

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66
74
•••••••••••••••••••••••••••••••••••••••
F RECORDS 88
0F RECORDS 88
DF RECORDS 88
0F RECORDS 88
9F RECORDS 88
95 RECORDS 88
PF RECORDS 88
PF RECORDS 88
PF RECORDS 88
<i>PF RECORDS</i> 88
<i>PF RECORDS</i> 88
<i>PF RECORDS</i> 88
<i>PF RECORDS</i> 88

WARNING: This guide is FOR OFFICIAL USE ONLY (FOUO) and is intended for internal National Records Center use only. It contains information that may be exempt from public release under the Freedom of Information Act (5 U.S.C. 552). This document is to be controlled, handled, transmitted, distributed, and disposed of in accordance with Department of Homeland Security policy relating to Sensitive But Unclassified (SBU) information and is not to be released to the public or other personnel who do not have a valid need to know without prior approval from the FOIA Officer

8.9 REQUESTS: Official Personnel File	
8.10 REQUESTS: Red Cross / Last known address	
8.11 REQUESTS: Federal, state, local agencies	
8.12 REQUESTS: Return of original documents	
8.13 REQUESTS: Privacy Act Amendment	
8.14 SITUATION: Untranslated Foreign Language Documents	
8.15 SITUATION: Congressional correspondence	
8.16 SITUATION: Appeals	
8.17 SITUATION: New requests received on the I-694	
8.18 SITUATION: Subpoena or court order	
8.19 SITUATION: Certification of record	
8.20 SITUATION: Certification of record for dual Italian citizenship	109
8.21 SITUATION: Record at National Archives and Records Administration (NARA	A)109
8.22 SITUATION: Old records	
8.23 SITUATION: Requests from Prospective Adoptive Parents	
9. REFERRAL AND REDIRECTION	
9.1 Referral.	
9.2 Redirection	
9.3 Entry/Exit Information referral to CBP	
9.4 Border Patrol referral to CBP	
9.5 Personnel/hiring practices/vacancy announcements	116
9.6 US-VT referral to US Visit	
10. DETERMINING TO STAFF BASED ON BEST INFORMATION AVAILABL	E: 116
11. SOCIAL SECURITY NUMBER	116
12. REQUESTING THE RESPONSIVE RECORDS	117
12.1 Staffing by Alien Number	
12.1.1 One A-number provided on the request (with example staffing)	118
12.1.1.1 Open NFTS	
12.1.1.2 Submit your location	
12.1.1.3 Select "Inquiry" 12.1.1.6 "Blued in" information	
12.1.1.7 The FOIA Operations Division Intranet Page	
12.1.1.9 The FCO List	
12.1.1.10 Figuring out a Staffing Scenario	
12.1.1.11 Generate the file request	
12.1.1.12 FIPS – Staffing Request dialog box	

14

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12.1.2 Two or more A-numbers	
12.2 Border crossing card number	
12.3 EAD numbers (100,000,000 through 149,999,999	
12.4 New alien numbers (300,300,000 through 300,32	
12.5 Receipt numbers	
12.6 Archives and Records Centers Information Syst	em (ARCIS)140
12.7 Staffing Scenarios	
12.7.1 Digitized files	
12.7.2 Files Lost or Not Found LESS THAN NINE MON 12.7.3 Files Lost or Not Found MORE THAN NINE MON	
12.7.4 Staffing FAQ's	
12.7.5 Records Indexing / Manual Requests	
12.7.6 No Record:	
12.7.7 A-number in CIS but not in NFTS	
12.7.8 ICE files	
12.7.10 LESC (LSC) records	
12.7.11 T-files	
12.7.12 Receipt files.	
12.7.13 Archived receipts12.7.14 Receipt files; Lost receipt file, File destroyed or Fi	
13. REASSIGN OFFICE	
14. CLOSING A CASE AS "NA:FOIA or PA not ap	•
15. ER (created in error) CASE CLOSINGS	
16. FC (failure to comply) CASE CLOSINGS	
17. MARKING A DOCUMENT "DO NOT SEND".	
18. ACKNOWLEDGEMENT LETTERS	
19. DISCUSSIONS	
20. CHANGING A REQ TO A CSD	
21. TROUBLESHOOTING WORK FROM THE OA	ROOM
22. TROUBLESHOOTING WORK TO THE OA RO	00M
23. FOIA MAILBOXES:	
23.1 THE OA ROOM (NRC, FOIAOA)	
23.2 MSB (NRC, NRCFOIAMSB)	
23.3 FIPS PROBLEM (NRC, FIPSPROBLEM)	
23.4 FOIA FILE REQUEST (NRC, FOIAFILEREQ)
24. E-MAIL TO CUSTOMERS	

15

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25	5. MAIL	177
	25.1 RETURNED MAIL:	
	25.1.1 Interim Interest Letters	
	25.1.2 Acknowledgement letters	
	25.1.4 CDs	
	25.2 DIRECT MAIL:	
	25.2.1 Mail concerning Track 3 or expedited treatment	
	25.2.2 Requester documentation / additional information	
	25.2.4 Status letters	182
	25.2.5 Withdrawal of a FOIA/PA request	
	25.2.6 Mail received in a foreign language	
	5. BLANK TAPES/CD's	
27	7. VIDEO REPRODUCTION	184
	3. CONGRESSIONAL REQUESTS AND APPEALS	
29). INCORRECT PAGE COUNTS:	184
). ALIEN'S STATUS VERIFICATION LETTERS:	
31	I. INQUIRY FOR FILE REVIEW:	185
32	RECORDS LOCATOR QUEUE	185
33	R. REPENDING IN RECORDS LOCATOR QUEUE	189
34	6. CHANGING THE TRACK OF A CASE	190
	5. RESPONSIVE RECORDS SCANNED IN WITH STAFFING RESPONSE	
36	5. Deleted	191
37	7. RE-STAFFING	192
38	8. FOIA SAFE	192
39	0. IN TRANSIT FILES	192
40	9. MODIFICATION OF RECEIPT DATES	192
41	. MSB DIRECTED PROJECTS	192
Al	PPENDIX A: PHONE NUMBERS	194
Al	PPENDIX B: ADDRESSES	195
	MAILING ADDRESS OF NRC:	195
	PHYSICAL LOCATION OF NRC:	
	MAILING ADDRESS OF NBC:	
	MAILING ADDRESS OF CBP:	195

16

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195
195
196
197
204
205
210
226
232
235
237

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17

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 statue became effective September 27, 1975.

3. <u>WHAT ARE FOIA REQUESTS AND HOW DO WE GET</u> <u>THEM?</u>

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.

18

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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 <u>"CONSENT RELATING TO RECORDS CONCERNING A MINOR OR PERSON JUDICIALLY DETERMINED TO BE INCOMPETENT"</u> 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 <u>"THIRD PARTY REOUESTS"</u> in this guide.
- Media requesters are typically accredited members of the media.
- Bond obligors, companies who posted <u>immigration</u> 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 <u>"IMMIGRATION BOND OBLIGORS"</u> 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.

19

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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

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			PF-1	- WHOAMI	EN	TER – PP	ROCESS	CLEAR	- 1	REFRESH		
3270												
OJD.V	ud -								3 X	8 8 8 6 1	ka: 333 4.4. 1	5N 3.6454
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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.

20

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5.1.2 TeleView Main Menu

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CONN	IANDS ENVIR	ONMENT HE	LP EXIT
LUNANE	: LUO 2/2 : J5NRC1AA D =====/	DAL CA TELEVIEW 4	.4 USERID: NRC02918 ESCAPE: PA1
Sesnum	System	Application Status	Remarks / Description
2 3 4 5 6 7 3 9 10	HELP MSG NEWS J406IDMS J427IDMS J479IDMS J427CICS J504CICS J537IDMS J534IDMS J527IDMS	Available Available Available Available Available Available Available Available Available Available Available	TeleView Help Facility TeleView Message Facility Help & News Menu RAPS APSS EOIR FOIA NACS/STSC/MFAS RNACS CLAINS DAL ROPES WDC ROPES AR11 CIS PICS ADMIN SYSTEMS/DACS
PF1- HE 3270		GE UP PFS- PAGE DOWN P	F9- NOTEPAD PF10- ERASE NOTES
DOJD.WS			🖓 🌒 🖄 🌔 7:25 AM

The number selected to access CIS will vary for each computer.

21

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5.1.3 CIS Login Screen

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Kan			
CINLOGO			
COMMAND: 0101			
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CCCCCCCCCCC	IIIII	\$\$\$\$\$\$\$\$	
οσοσοσοσο	IIIII	SSSSSS	SSSS
σεσεσεσεσ	IIIII	SSSSS	
cccccccc	IIIII	SSSSS	
CCCCCCCCC WELCOME TO THE			
000000	IIIII	SSSSS	
	IIIII	SSSSSSSSS	
0000000	IIIII	\$\$\$\$\$\$\$	
0000000	IIIII		SSSSSSSS
	REEN ON A	REGULAR BASIS !!	
cccccccc			5555
		: 06 28/2005-15:	
000000000	IIIII		SSSS
000000000	IIIII		SSSS
000000000	IIIII	\$\$\$\$\$	SSSS
	IIIII	\$\$\$\$\$\$\$\$\$\$	\$\$\$\$\$\$\$
ccccccccccccc	IIIII	SSSSSSSSS	SSSS
-PRESS ENTER TO PROCEED TO HAI	CN MENU		PF5 CIS CURRENT NEWS
3270			
DOJD.WS			Q\$\$HŽ(() 7:50 AM

This is the screen used to navigate through CIS. Pressing enter can access the main menu for CIS.

22

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5.1.4 CIS Main Menu

Leix De Edt Sesson Dracefer Frogram Optors Wirdow Hep E Edt Sesson Dracefer Frogram Optors Wirdow Hep E E Edt Sesson Dracefer Frogram Optors Wirdow Hep E E E E E E E E E E E E E E E E E E E
CINNEN INHIGRATION AND NATURALIZATION SERVICE 10,18.05
COMMAND: CENTRAL INDEX SYSTEM MAIN NENU 09:56:36
(91) SEARCH THE DATA BASE
(92) DISPLAY DATA
(93) ADD TRANSACTIONS
(94) RECORD MAINTENANCE
(95) A-FILE TRANSFER SUBSYSTEM
91 < SELECT TRANSACTION NUMBER. THEN PRESS ENTER KEY.
CLEAR EXIT PFS HELP
3270
tchboard 語Input Form 超CISResourceGuide

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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5.1.4.1 Search Menu Screen

2728-1001.WS0.800.WS0	X
성권 Ble Edit Session Transfer Program Options Window Help	<u>_ 8 xi</u>
	5
CINSEA INNIGRATION AND NATURALIZATION SERVICE	
COMMAND: CENTRAL INDEX SYSTEM - SEARCH HENU	10:02:06
A#: 000000000 HANE:	DOB: 00000000
(01) ID #:	
(A.AA AB'C/DA/DL/FB/FP/I'PP/SS.TD) OTHER MENU SELEC	
(02) SOUNDS-LIKE NAME (92) DATA DISPLAY MEN	IU
(03) EXACT NAME (93) ADD TRANSACTIONS	S HENU
(04) AKA (ALIAS) NANE (94) RECORD HAINTENAM	
(05) LAPS EXACT NAME (95) FILE TRAMSFER SU	JBSYSTEM NENU
(06) SOUNDS-LIKE NAME WITH DOB	
(11) HANUAL SEARCH REQUEST (HR)	
(12) HANUAL SEARCH RESPONSE (SR)	
(15) ON LINE A NUMBER REPORT REQUEST	
SELECT TRANSACTION NUMBER. PRESS ENTER. FOR ID # SEAR PREFIX AND THE ID # (EG, A1)	
CLEAR EXIT PF5 HELP PF6 CIS MAIN MENU	
3270	
tchboard 🛛 🔢 Input Form 🖉 CISRescurceGuide	(중√ M 4) 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 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.

24

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5.1.4.2 Search by A-m	umber (9101)
-----------------------	--------------

	Session Trans	******	otons Window Help		_ □ × _ @ × }
CINIDN Command:	0101 0		N AND NATURALIZATION SI (system - ID # search)		10 13/05 10:02:55
	AR/AB/C DA) B/FP.I.PP/S		A#:		DOB:
FIRST MIDDLE ALIASES	:			NATZ DA Cou Locati	RT:
SEX: FCO: PFCO:	POE: COA: SFCO:	C 0 B : C 0 C : D F 0 :	DOE: BIN:	FATHER: Mother:	
S I-94 ADM PASSPORT FBI DRIVER L FINGER C	#: #: IC:		CONSOLIDATED A-NO	SOTHER	INFORMATION
			RSON, PRESS ENTER. CI PF4 Return PF5 Help I	F6 MAIN MENU	1 NEXT CONS A# PF8 HISTORY EAD PF11 E0IR
tchboard	🖥 input Form	() CISRes	curceGulde	R	MA EOLE C'ESIA \$

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)

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<mark>Zorocz (1902</mark> constantion (1903) (<mark>→</mark> Ele Edit Session Transfer Program	Options Window Help	# 묘 정 _ 문 정
CINSND IMMIGRA	TION AND NATURALIZATION SERVICE	10/18/05
	DEX SYSTEM - "SOUNDS LIKE" SEARCH	10:09:04
' LAST NAME:	(40-CHARS	
FIRST NAME:	(25-CHARS	5 MAX)
	ANNARA AF FYART CHARACTERS TA NATCH /A A	
LAST NAME MATCH: First name match:	 (NUMBER OF EXACT CHARACTERS TO MATCH (0 S (NUMBER OF EXACT CHARACTERS TO MATCH (0 S) 	
PREVIEW NAME:	(NUMBER OF EXACT CHARACTERS TO MATCH (O S	
FREDIEW MHILE.		
EXACT DOB:	(1111 D D Y Y Y Y)	
DOB RANGE:	(DATE RANGE = YYYYR: YYYY=YEAR, R=0-9)	
СОВ:	(5 CHARACTER COUNTRY CODE)	
COC:	(5-CHARACTER COUNTRY CODE)	
POE:	(3-CHARACTER PORT OF ENTRY CODE)	
DOE:	(MIDDYYYY)	
COA:	(3-CHARACTER CLASS OF ADMISSION CODE)	
FCO:	(3 CHARACTER FILES CONTROL OFFICE CODE)	
SEX:	(N`F)	
	ELD. OTHER FIELDS ARE OPTIONAL.	
	PRESS ENTER TO INITIATE "SOUND LIKE" SEARCH	
CLEAR EXIT PF3 REFR	ESH PF4 MENU PF5 HELP PF6 MAIN MEN	10
3270	<u></u>	
tchboard 🛛 📴 Input Form 👘 🖓 🖸	SResourceGuide	MA 80:9 (* 🛃

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.

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5.1.6 Exact Name Search (9103)

(과사): 이나) 이사(September 2013) (과 File Edit Session Tran		
CIMEXA Command: <mark>0103</mark>		12 15/05 08:44:21
* LAST NAME: * first name:	(40-CHARS (25 Chars	
NIDDLE NAME:	(25 CHARS	MAX)
EXACT DOB: Dob range:		
COB: COC: POE: DOE: COA: FCO: SEX:	(3 CHARACTER PORT OF ENTRY CODE) (MNDDYYYY) (3 CHARACTER CLASS OF ADMISSION CODE)	
		SEARCH
~ ~ ~ ~ ~ ~ ~ ~ ~ ~ ~ ~ ~ ~ ~ ~ ~ ~	rch) 🕅 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.

27

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5.1.7 Alias (AKA) Name Search (9104)

CARRE (DO IOWSDE DO IDWICO) C Ele Edit Session D'ansfer Brogram Octo	, □] ns Window Belo
CIMALI IMMIGRATI	ON AND NATURALIZATION SERVICE 01/30/06
CONMAND: <mark>0104</mark> Central Inde	X SYSTEM RLIAS (AKA) NAME SEARCH 12:56:45
AKA/NEE LAST NAME:	(40-CHARS MAX)
AKA/NEE FIRST NAME:	(25-CHARS NAX)
HINNYMEE FINAY MINE.	
LAST NAME MATCH:	(NUMBER OF EXACT CHARACTERS TO NATCH (0 9))
FIRST NAME HATCH:	(NUMBER OF EXACT CHARACTERS TO NATCH (0 9))
EXACT DOB:	(MNDDYYYY)
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	(HNDDYYYY)
	(3 CHARACTER CLASS OF ADMISSION CODE)
	(3-CHARACTER FILES CONTROL OFFICE CODE)
SEX	(M/F)
	IRST NAME ONLY ALIASES, ON LAST NAME ONLY ALIASES,
	H FIRST AND LAST NAMES. OTHER FIELDS ARE OPTIONAL.
	THEN PRESS ENTER TO BEGIN THE ALIAS NAME SEARCH.
CLEAR EXIT PF3 REFRES	H PF4 MENU PF5 HELP PF6 MAIN MENU
3270	
5210	
	NUMOYR

The primary use for the 9104 screen would be to perform a search using any alias information provided in the FOIA request.

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28

5.1.8 Sounds Like Name With Date of Birth (DOB) Search (9106)

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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.

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29

Updated on 12/19/2011

873

5.1.9 Card Search (9222)

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		 1
		3
	ATION AND NATURALIZATION SERVIO	
	EX SYSTEM - ARR/BC CARD DISPLAY	
		(
A#: 018888888888 NAME: TAYLOR	, FRANCIS	DOB: 0809####
LEG	AL PERHANENT RESIDENT	
CARD NAME: TAYLOR, FRANCIS	E CONTRACTOR OF CONTRACTOR	BIRTHDATE: Company
		CARD# SRC0
CATEGORY:	PERMANENT RESI	ENT SINCE: 12/12/2005
SEX:	CAF	RD EXPIRES: 02/22/2016
COB:		
	0 March 1998 SRC0 Cale And And And	
	r FRANCIS « EDWIN » « « « « « « « «	
INTLUK'		
MOTHER'S NAME: EDWINA	FATHER'S NAM	1E: ZACHIUS
CARD PORT OF ENTRY: BAL		
CLEAR EXIT PF4 DISPLAY	MENU PFS HELP PF6 MAIN MENU	J PF7 CARD HISTORY
3270		
5270		
		NUMOVR

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.

30

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5.1.10 File Transfer Display (9504)

S A2B . [DHSD3 WSD DHSD3 WCD] 1 🖉 File Edit Session Transfer Program Options Window Help **ц**Ш ųμ 18 週期回 1111 0 PEN SAVE INMIGRATION AND NATURALIZATION SERVICE CIMPTD 08/01/06 COMMAND: 0804 FILE TRANSFER DISPLAY (FTD) CIS 11:33:03 DOB: 08888888 . FRANCIS PREVIOUS FCO: BAL FCO CREATING SUB-FILE: CURRENT FCO: NRC SUB-FILE CREATION IND: REQUEST FCO: NRC FILE LOCATED IND: C (FILE TRANSFER COMPLETE) (HIDDYYYY) DATE FTR: 01242006 ACCESSION NUMBER: 0000 INS BOX NUMBER: DATE FTI: 01242006 DATE FTC: 02022006 **REQUEST NUMBER:** PERSON'ACTION: 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

31

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5.1.11 <u>Tables</u>

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70																																NU	M 0'	VR	

The <u>Tables</u> 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 <u>tables</u>. The next screen displayed will be the <u>Tables Menu Screen</u>.

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32

Updated on 12/19/2011

876

5.1.12 Tables Menu



Placing the cursor in the <u>Table ID</u> field and pressing the function key PF7 a list of tables is displayed.

33

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5.1.13 Tables Information Screen

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TEXTEINE	INS	S STANDARD TABLES TABLE INFORMA	DATABASE FACILITY	PAGE 09/15/06 0001 08:46:07
		TABLE INFORTA	IIUN SCREEN	0001 08.40.07
COMM	AND	(SELMU, VAI	DAD, LODAD, VAINE, OR I	LOINF)
SEL ONE	TABLE ID	TABLE TYPE	TABLE DES	CRIPTION
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	AFAC	VAL	CIS/AFAC FCO CODE TO	
	AIRX	LOC	INTERNATIONAL 'MUNIC:	IPAL AIRPORTS
	ASC	LOC	APPLICATION SUPPORT	CENTERS
	ASIL	LOC	ASYLUM INTERVIEW OF	FICES
	ASYL	LOC	ASYLUM OFFICES	
	брна	LOC	HEADQUARTERS	
	BPHX	VAL	BORDER PATROL SECTOR	R CODES
	BPSH	LOC	BORDER PATROL SECTOR	R HEADQTRS
	BPST	LOC	BORDER PATROL STATIC	DNS
	BPSX	VAL	BORDER PATROL STATI	ON CODES
	CCDI	VAL	INS/DOS/USCS COUNTRY	Y CODE DISCREPS
	PF1	PF2 PF4	PF6 PF8	
	PGFRWD	PGBWRD PREV SCI	N MENU EXIT	
TB100043 - S 3270	ELECT ONE RI	ECORD OR TRY OTHE	R FUNCTIONS	
				NOM 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.

34

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5.1.14 Value Tables Browse Screen

A FL For Section Trades Proce		
TEXVAINE INS S	STANDARD TABLES DA	TREASE FACILITY PAGE 09/15/06
	VALUE TABLES BROW	SE SCREEN 0014 08:56:10
CONTAND	(SELMU, VADAD	, LODAD, THINF. OR LOINF)
TABLE ID: ADJX	TABLE DESC: ADJ	USTMENT OF STATUS CODES
SEL SEARCH VALUE	VALID CODE	TABLE TEXT
IB7	IB7	SLF-PETITION CHILD OF USC
IB8	IB8	CHILD OF IB6
ICE	ICE	INDOCHINESE REFUGEE
IC7	IC7	SPS CH INDCHN REF NOT QUA SEC
ID6	ID6	INDOCHINESE PAROLEE
IF1	IF1	ALIEN REC ADN FOR PER RES CREA
IF2	IF2	HINOR CHILD OF IF1 ALIEN
IRO	IRO	PARENT OF U. S. CITIZEN
î k 6	X 8 6	SPOUSE OF CITIZEN
IR7	IR7	CHILD OF CITIZEN
IR8	IR8	ORPHAN ADOPTED ABROAD BY CITZ
PF1 PF2	PF4 P	F6 PF8
PGFRWD PGBWRD	PREV SCN NE	NU EXIT
TB100043 - SELECT ONE REC 3270	ORD OR TRY OTHER F	UNCTIONS
		AVA MUA

Read the screen in its entirety for navigation instruction and additional information.

35

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5.2. Computer Linked Application Information Management System

5.2.1 Introduction

The Computer Linked Application Information Management Systesm (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.

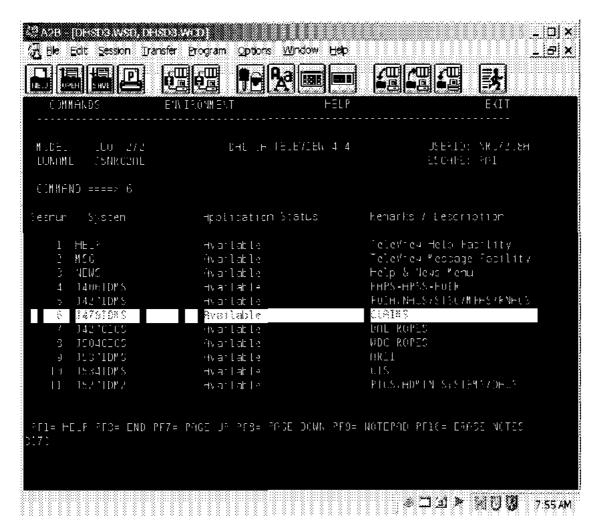
5.2.2 Teleview Introduction Screen

Accelle Strate State
<pre>HAULE Desk Law [] PERMEN UM As REAL [] OB OB OB OB WEENENG. This computer is stem as the property of the United States Department of Bistries. The Department may monitor and a tracticism the costem and search and retrieve any information stored within the system. By a costing and using three employer, you are converting to such monitoring and</pre>
<pre>information retrieval for la enforcement and other purposes. Users should have no expectation of privaty as to any communication on or information stored inform the system, in floring information stored on the metoric and stored locally on the mand drive on other redrain use with this unit (e.g., flog), or the mand drive on other redrain use with this unit. (e.g., flog)</pre>
1.C.J.C.J.C.J. 32R1 1.C.J.C.J.C.J. 1.T.T.T.T.T.T.T.T.T.T.T.T.T.T.T.T.T.T.T
IP <
TERIFY NE PASS CRI ==> TERIFY NE PASS CRI ==> PAI FILL ALL IIME TACLUSTE PAZ = WHIFMI ENTER = PACIESS CLEAR = FEAFESF
CAPS NUM OVR

This screen is the introduction to TeleView. From this screen, use the designated UserID (NRC####A) and Password to sign onto the database.

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5.2.3 CLAIMS Selection Screen

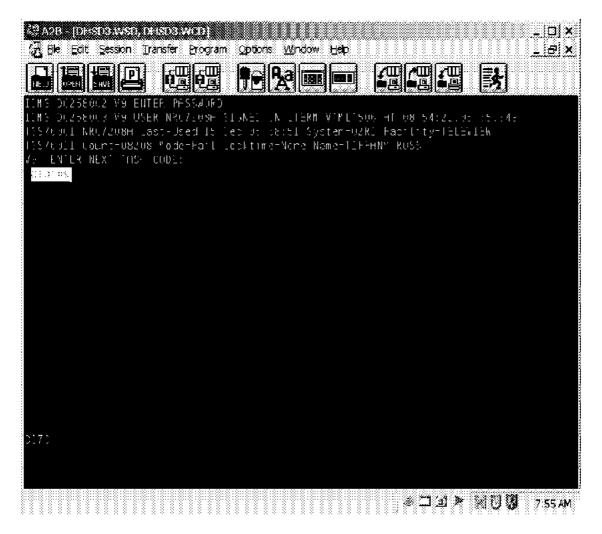


The number selected to access CLAIMS can vary for each computer.

37

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5.2.4 CLAIMS Function Screen

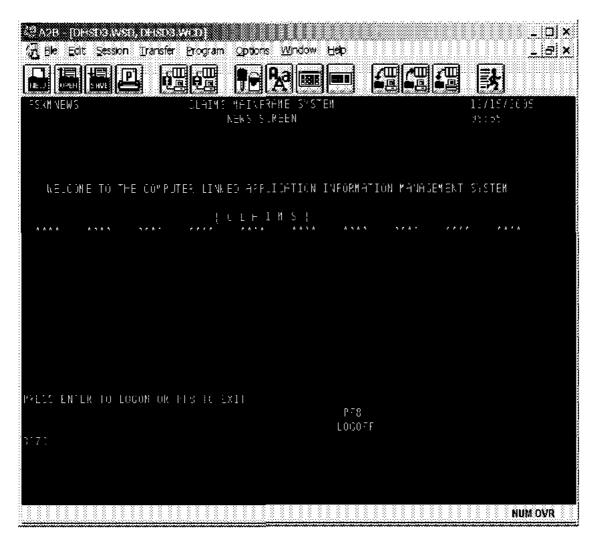


After selecting CLAIMS from the main menu, you will see the screen print shown above. Type in claims and press enter. This screen is not case sensitive.

38

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5.2.5 CLAIMS Welcome Screen



Press enter from here to get to the logon screen.

39

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5.2.6 CLAIMS Logon Screen

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FSXMIDLMIS CLAIMIS MAINFRAME SYSTEM 12/15/ Liveur discon	16.95
LEGALIZATION NUTLEE OF CONFIDENTIALITY	
SECTIONS 210(B)(G) AND 145(C)(S) GEONFIDENTIALITY OF INFORMATION) OF THE IMMIGRATION AND NATIONALITY ACT, AS AMENDED LIMIT THE USE OF INFORMATION FURNISHED THE SERVICE IN CONVECTION WITH LEVALIZATION HAPPLICATIONS. AMAZANE USING AUBLISHING, OR REPAIDING SUCH INFORMATION TO BE EXAMINED I STICLATION OF THE ABOVE SECTIONS THAT BE SUBJECT TO A FINE AND/CA IMPRISONMENT IN ACCORDANCE WITH TITLE 18, UNITED STATES CODE.	
(15)(16)(10)(10)(10)(10)(10) (10)(10)(10)(10)(10)(10)(10) (10)(10)(10)(10)(10)(10)(10)(10)(10)(10)	
MLERGE ENTER DENIEND USER ID HND THESDWORD FES	
2000F7 3170	
	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.

40

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5.2.7 CLAIMS Main Menu Screen



From the Main Menu type the number for INQUIRY/UPDATE PROCESSING and press enter.

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41

5.2.8 Inquiry Screen, searching with a Receipt Number

CARE DESCRIVED, DESCRIVED CE Edit Session Transfer Program Options Window Her CE Edit Session Transfer Program Options Window Her CE Edit Session Transfer Program Options Window Her CE Edit Session Transfer Program Options Window Her ESKMINNI CLAIMS MEINFREME SYSTEM UPDATE Program Options Window Her SELECT FIND CONTRACTOR		C (2107)
(SELECTIONS BELOW FOR HPPLICHTIONS F	HND PETITIONS (NLY)	
2. USER ID	DHTE: (MPUDLUMY)	
B. BENEFICIARY/APPLICANT NAME (LAST) BIRTH DHTH (MMLD € CC)	(FIRST):	
4. NINUMBER N		
S. REFERENCE NO.:		
o. PETITIONER NHM E (.AST)	(HIRST):	
RFC PFG PF8 FF1C FF11 IONCEL MHEN NENU LOGOFF REMITE ACTIUFD BY 3170	РГ11 Y CODE - ЭСТ ЦРО ВУ РСРТ	
	NUM OVA	

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.

42

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5.2.9 Searching CLAIMS using a Name and Date of Birth



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.

43

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	INQUIRY/.	FDATE RECEIFT	LIST		11:53
					NRC93534
RELEIPT NBR .	FET NAME		FI = ;)RM FEE -MT	REC DRTE
1.			1 190		02/17/1097
2.					02/14/1097
3.			1.1.5		02/14/1097
4.			7		02/11/2997
5.			1 14		02/11/2007
					01/04/2937
7.			[[[[]]		
त. 			[9]		02713723+1
Э.			· : /;		62768723+1
10.			1.4		62768723+1
11. 12.			· · · ·		00/05/23:6
12.			: 11 : 190		62/12/2337 62/12/2337
14.			J. 4		62/12/233
14.			. 14: . [90		62/09/293
15.			. 19. . [9:		61/17/2337
TYPE IN SELECTION	N :			11.1.1.1	
FF1 PF2	223 P2,	2 2	F 6	≥F8	
PO FHE PO BACK	CHNCEL PREDR		nent.	L06(FF	

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.

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44

5.2.10 Searching with the A-Number

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<u> </u>	USER ID		DHIE:	(MP D D C C Y)
ан. С	BENEFICIARY/APPLICAN NAME (LAST) BIRTH DHTH	T PMMED EVYY	(FIRST)		
4.	8 NEX 829 :				
Ξ.	REFERENCE NO.:				
n.,	NHM E (JAST)		(HIRST)		
	IC PEG PE NGEL MINENU LOO			PF11 ADT UPD BY PCPT	
3170					
				ŇŬ	MOVR

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 eightdigit 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.

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5.2.11 Searching with the Petitioner's Name

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	SELECT HNL .	UMPLETE UNE LIN	ΙE	
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	(SELECTIONS BELOW FOR)	⊢°≗liuhiluNS HM	AD PETITIONS UN	_Y)
Z. USER	10		0H1E:	(MP COLUMN)
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4. n ኬUM	BEK n			
S. REFER	ENCE NO.:			
nu – Məhlin Məhlər	LONER (trașt)		(ABRSE):	
PFC IPNCEL B170		C PFII TE ACTIURD BY		711 DI SYI POPT
2 f .				
				NUM DVR

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.

46

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5.2.12 Search Results

(b)(7)(e)

The screen print below is the result of a search. The receipt shown is for an I-751, Petition to Remove Conditions on Residence.

AND DESIGNATION OF THE PARTY OF T i 🗆 🗙 _ 17 × Session Transfer Program Options Window Help 1 Ele Edit (D^{TTT} <u>بالم</u> 1 Ē P 0 KM IEP: ٩Ē азем а FM TATMS APPLITETION UPDATE PROCESSING MODE FURM RCP NRF : SPC-06-025-00045 APPEALED FORM: OU NER : 530 PAR⁻ RECEIVED DT 2PR 10/26/2005 2345678 Ê-NBR REF NBP ASSOC BOPT NBP: VEN E TEST NAME STREE 4141 ST HUGUSTINE DHLLES UI Y PRO"INCE STATE -X CNTRY ZIP/POSTAL: 75227 3ENEER DOB 01161964 COE: AUSTR INTRY OF CI TAX ID EMPLOYER (HHHIIY BHUEKI, KEP, LHU)HER) FEP 17PE: ÷⊢-₩FM = - 16H STREET UIIY /TP/PUSIEL: PRUMINCE IN BY 51E1E THEOS/HOLDON INC DINIUS NEW CLASS: DATE VALID FROM: 10262005 DRITE MIEW MODE 97961 190 112 $P \in \mathcal{J}$ i'F 8 i'l 9 P311 T NG FHD INFU META MENU 1 UDES UGUEE जना नाड J.ENI.EI ₿нц∢ 2 F 4 T T 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)

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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.

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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.

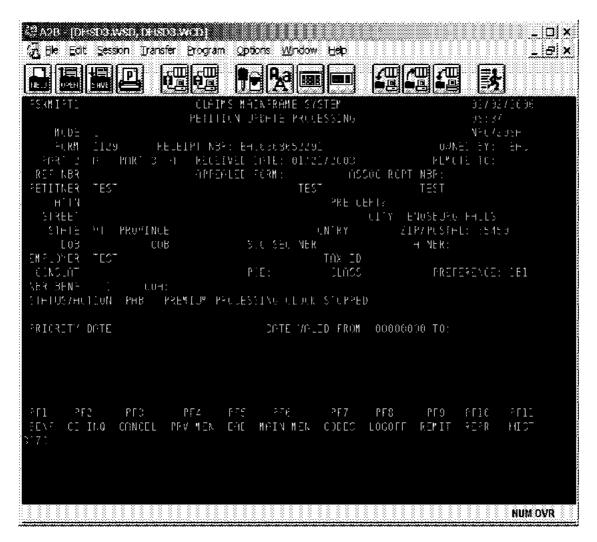
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49

Updated on 12/19/2011

893

5.2.13 Beneficiary Petition for Non Immigrant Worker



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.

50

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To see the beneficiary information press F1.

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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)

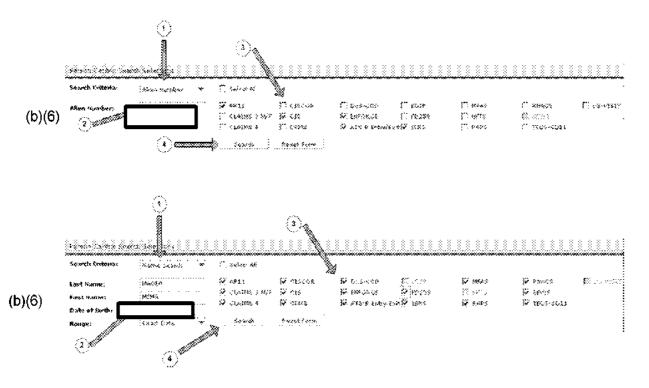
NFTS is an automated system that enables USCIS to track and account for nearly 50 million Alien Files (A-Files) and Receipt Files. NFTS allows for local control of all files within a designated USCIS File Control Office (FCO) or Case Control Office (CCO), The system supports the file migration from the 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.

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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 <u>https://pcq.esb.uscis.dhs.gov/</u> and click on the Users Guide link below the Warning.

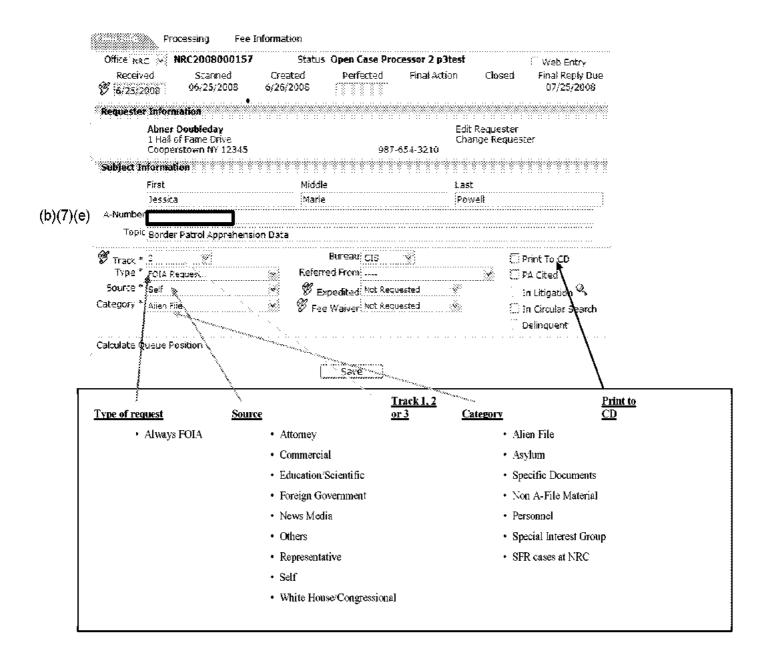


5.5. FOIA/PA Information Processing System (FIPS)

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.

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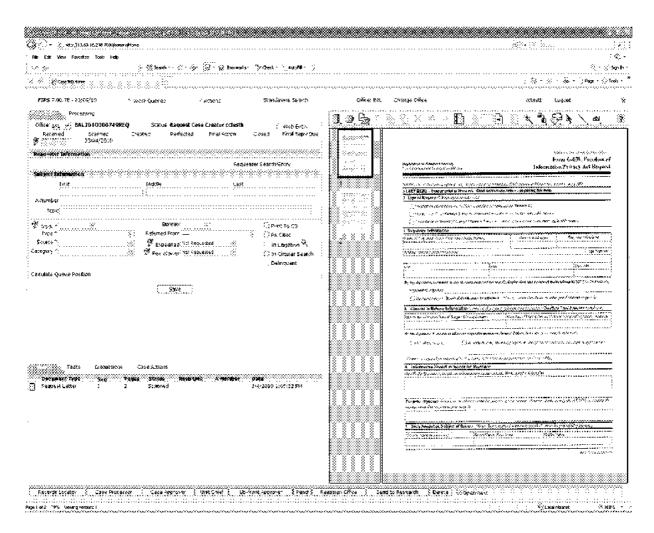
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6. CREATING THE CASE

FIPS 7.00.90 - 07/28/2010

* Work Queries

 Case Workflow Queues
Case Creator
Workflow Queries
Available Cases



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.

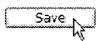
Sometimes the request will be Form G-639 only, sometimes it will be the G-639 and a G-28, Power of Attorney, sometimes it will be a letter from an attorney or representative and a G-28.

56

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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 <u>always</u> a good idea to click:



You must identify the following critical items and enter them into the FIPS worksheet before creating the case:

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57

Updated on 12/19/2011

AILA Doc. No. 16102838. (Posted 10/28/16)

6.1 **REQUESTER INFORMATION**

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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.

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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.

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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

60

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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.

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If you get any matches to your search, you will see a screen that looks like this:

61

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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:

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Cancel		

(b)(6)

And it will populate the requester information like this:

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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:

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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.

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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:

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	:		ange Requester

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.

Melville	<u> </u>	Crump
A-Number		

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.

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Updated on 12/19/2011

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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 <u>Staffing Sheet Guide</u> for more guidance.

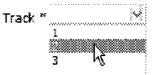
6.3.2.3 When the request is for vacancy announcements, the vacancy announcement number must be the first part of the description. See <u>**CIS Personnel Information**</u> for more information on handling personnel related requests. In other types of situations, put as much of the pertinent information in the description line as space will allow. You may need to modify the acknowledgement letter.

6.3 CASE SPECIFICATIONS

66

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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 <u>three documents or less</u> (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 <u>more than three</u> 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

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 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 <u>"Expedited Treatment"</u> in this guide.

6.3.1.3.5 Track 3 processing is <u>not</u> "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.

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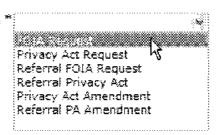
6.3.1.3.9 If you are not sure whether to approve or deny Track 3, please consult your supervisor.

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.

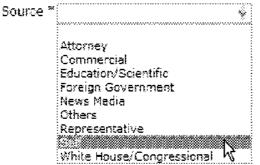


Туре



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



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

69

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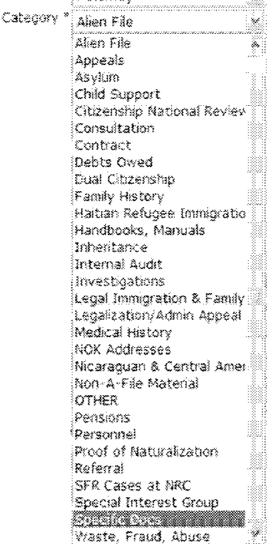
- Education/Scientific
- Foreign Government
- News Media
- Others The requester of the file is someone other than the alien, an attorney or an accredited representative. They might possibly include a G-28 with something other than "Attorney" or "Accredited Representative" checked.
- Representative The 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.

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70

6.3.4 Category



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

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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 <u>NRC, FOIASIG</u>. Click "Reassign Office." Send the case to Unit

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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: <u>NRC, FOLASIG</u>.

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 <u>historical records</u> 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.
- 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 case.
- b. Do not staff for any records and do not prepare an acknowledgment letter.
- (b)(6)
- 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 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.

73

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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



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. <u>Note: If request is for entry/exit information and the requester/subject provided an alien number, request the file.</u>

6.3.6 Is there a request for expedited treatment?

Expedited Not Requested X 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;

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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)].

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. Email 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

75

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Updated on 12/19/2011

or

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		Sta	tus		\$
Search For (Dopficate Cas	es no t	Started		
Create Addi	tional Cases	Not	Started		
Create file i	Recursest	Not	Started		
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Final Action	Letter	Not	Started		
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Status Latu	×	Not	Started		
Statis: Letter	,	Not	Started		
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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 <u>TRACK 3 PROCEDURES</u>. 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":

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0	NetHood		23APP2010000137_9_STAFFING_LO 23BAL2009000017_2_AK_FOIA	23APP2010000137_9_STAFFING_LOST 23BAL2009000017_2_AK_FOIA		
Desktop	SendTo Start Menu Templates 2003		BAL2009000020_3_AK_FOIA P3BAL2010000162_2_AK_FOIA BAL2010000162_3_ONE_PAGE BAL2010000162_6_51ATU5 BAL2010000162_7_BLANK			
My Documents						
	0010 APP2010000	136_2_AK_FOIA	BAL2010000162_8_TN_INTEREST			
My Computer	<u>.</u>			8		
	File name:		Sav	Ŋ		
My Network Places	Save as type:	All files	- Canc	el .		
<u>į</u>						

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" <u>before you send the case to Up-front</u> <u>Approver</u>. 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."

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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

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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" <u>before you send the case to Up-front Approver</u>. 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

Delinguent

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 <u>deleting</u> the paragraph that begins with "This office will

79

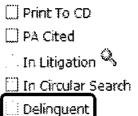
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be providing your records on a Compact Disc (CD)"

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?



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		
Sage Morgan (Musko):	(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.

Ĩ	Requester Information		
~~~~	Sage Morgan COLLACTOR A	(816) 555-5555	
	Lees Summit MO 64086 Qu	sage@yahoo.com	Copy to Subject

80

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The query results appear in a separate window.

## **Query Results**

🗄 Delingren Coster (n. 1	equester results	- Webpage Dialog
<b>1</b>		ame=sQry_getDelinquentCasesForCase&CASEID=8704
DL52010000044 Total item(s) found (1)	4/21/2010	1,500

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 <u>NRC, FIPSPROBLEM</u> (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 <u>must</u> 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	ŵ.
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81

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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.

Records Lucasor | Case Processor | Case approver | Unit Chief || Up-hond Approver || Pend || Rearson Office || Send to Research || Celete || Open next

Before you move to another part of the case create process, click:

# Save

# 6.4 SEARCH FOR DUPLICATE CASES

Before you begin filling in the worksheet, 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

82

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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. 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."

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83

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Page 2 of 2, 65,7% Veworg version		izeren ( Volt Chief	Up from Approver	[Penc] f

Ordinarily, you will get a blank result.



84

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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:

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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:

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¢	ច្នុកទេសចេត្	Fee Information
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🗟 🎭 NRCZ6160	38504 5/28/2	010 6:00:00 AM Figu
Edit Search Comple	ete Se	arch 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:

🔆 🔅 🕫 Case XOFicme	
FIPS y7.0 Training build 06	* Work Queries
Processing Per	e information
Control Number Scanned	Requester's Last Name
(2010) NRC2010030504 5/26/2010	6:00.00 AM Figueroa
Set this case as digitize to on Search Complete	

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.

86

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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. 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 Discussi Task		*
Search For Duplicate Cases	Not Started	-
Create Additional Cases ( ¹⁶ )	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	Nol Started	
Interest Letter	Not Started	
Expedited Denial Letter	Not Started	
Vaughn Index Letter	Not Started	

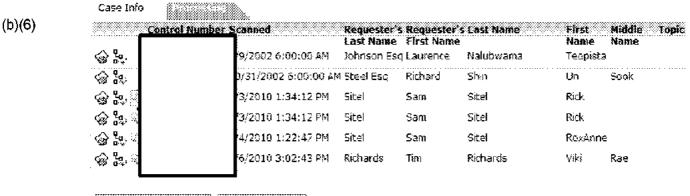
Click the checkboxes next to the populated fields to select which search criteria to use. Case Creators can also type information into other fields to use as search criteria. When have entered all criteria, click **Submit**.

The Search Results screen lists any FIPS cases that match the selected criteria.

87

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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:



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 Adions	
Document Type Besponsive Records	Seq.	Pages Status 19 Scanned	Resp Unit A-NumBer Date HOU 6/20/2010/3124:22 PM
🗑 Request Letter	$W_1$ 1	E Scanned	8/20/2010 4:04:41 PM

# 7. <u>CONSENT, VERIFICATION OF IDENTITY, AND</u> <u>DESCRIPTION OF RECORDS</u>

"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 <u>written</u> request by, or with the prior <u>written</u> consent of, the individual to whom the record pertains.

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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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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, please select "Final Action Letter" from the Tasks tab, select "FC" from the final action codes list, and paste in the body of the "Unperfected Request Letter" which you may find in the Case Create Template Letters folder of the FOIA Library.

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** <u>ANY</u> **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 <u>not</u> 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:

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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 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, please select "Final Action Letter" from the Tasks tab, select "FC" from the final action codes list, and paste in the body of the "Unperfected Request Letter" which you may find in the Case Create Template Letters folder of the FOIA Library. The exception to this rule is a Third-Party Request (see paragraph 7.4).

## 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.

91

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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 Sites Discussions	Case Actions
Task	Siatus
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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:

92

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Processing Fee In Acknowledgement Letter Options	formation Additional D	ocuments Required	
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OK

As soon as you do, a File Save pop-up window will appear. Click "Save."

93

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The acknowledgment letter will pop up:

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94

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	U.S. Department of Homeland Security National Records Center P.O. Pox 648010 Lee's Summit, MO 64064-8010
	U.S. Citizenship and Immigration Services
December 3, 2010	NRC2010000806
<ul> <li>Marcine N. Chengardio</li> <li>Interligi (B. a. Net office Constraints)</li> <li>(M. Chengardio</li> <li>San Francisco, C.A. 194111-3019</li> </ul>	
Dear has the first dear and we were the received your request for information relating to Chris P. Bac	an an December 02, 2010.
You request is being handled under the provisions of the Freedor It has been assigned the following control number: NRC 20100005 correspondence about your request.	
We respond to requests on a first-in, first-out basis and on a multi- placed in the complex track (Track 2). You may wish to narrow y order to be eligible for the faster track. To do so, please send a wr. document sought, to the address above. We will notify you if you	rom request to a specific document m atten request, identifying the specific
In accordance with Department of Homeland Security Regulation deemed to constitute an agreement to pay any fees that may be ch charged for searching for records sought at the respective clerical. \$4.00/\$7.00/\$10.25 per quarter hour, and for duplication of copies 100 copies and two hours of search time are not charged, and the and duplication must exceed \$14.00 before we will charge you an fees; however, if fees in excess of \$25.00 are required, we will no	argeable up to \$25.00. Fees may be professional, and/or managerial rates of at the rate of \$10 per copy. The first remaining combined charges for search y fees. Most requests do not require any
This office will be providing your records on a Compact Disc (CL The CD is readable on all computers through the use of Adobe Ac Accolat will be included on the CD. Non-cecards can be viewed G (2) 2 (2) (4) (a) (2) (4) (4) (4) (4) (4) (4) (4) (4) (4) (4	robat software. A version of Adobe on xom commuter screen and can be
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95

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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 Identify: 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 perjuty as a substitute for notarization. 6 CFR §§ 5.3(a) and 5.21(d).
<ul> <li>Verification of Identify: 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,</li> <li>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 CFE §§ 5.3(a) and 5.21(d).</li> </ul>
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 Ahen Number
Subject's Application Petition Receipt Number
1 Nome 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 focate the petition.
<ul> <li>All FOIA/PA related requests, including address changes, must be submitted in writing and be signed by</li> <li>the requester. Please melude the NRC number listed above on all correspondence with this office.</li> <li>Requests may be maded to the FOIA/PA Officer at the PC Box listed at the top of the letterhead, or sent</li> <li>by fax to \$15-350-5785. You may also submit FOIA/PA related requests to our e-mail address at</li> <li>useis.foia@dhs.gov.</li> </ul>
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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:

96

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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:

8833	Tasks	Discussions	Case actions	History				
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Records Locator	Case Processor	Case Approver	Unit Chief	Up-front Approver	§ Perd §	Reassign Office 🕴 S	<b>5</b>

Click "Open":

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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."

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Ō	Acknowledgement Letter-FOIA	6		Inactive			12/3/2010 10:14:14 44
ō	Responsive Records	5		Pending	DRO - SEx Seatule	012845678	12/0/2010 8:28:17 4:4
۳	Staffing Response	4		Pending	DR:0 - SE4 Seatcle	012345678	12/3/2010 8:28:17 AM
	Staffing Letter - ICE PDF	3		Editing	DRO - SEA Seattle		12/3/2010 8:28:17 44
	Request Supporting Documents	2	4	Scanned			11/5/2010 \$:32:47 AM
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When the requester provides the additional information, A FOIA/PA Assistant working in Records Locator queue will request the records.

98

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## 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 not entitled to any public documents that may be in the file they are seeking, nor 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, close the case as a Failure to Comply.

## 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

99

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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, NRCFOIAMSB).

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 <u>NRC, FOIAOA</u> 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

100

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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

101

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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 <u>only</u>, 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:
  - o 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.

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-

102

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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 ADMINSTRATION CIVIL REFERENCE 7th 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 <u>MSB</u> 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 **PER** for the category and **CIS** for the bureau, in the "Topic" field, enter the vacancy announcement number.

| Records Locator | Case Processor | Case approver || Unit Chief || Up-front approver || Pend || Reassign Cifice || Send to Research || Delete || 🔅 Open next

Click on the "Reassign Office" and select the HQS office. The case will be staffed when it is reassigned to the HQS queue. Send an e-mail to <u>NRC, FOIASIG</u> with the case information.

103

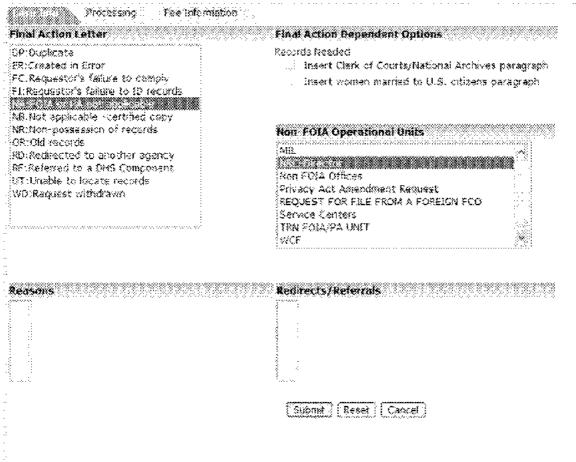
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## 8.9 REQUESTS: Official Personnel File

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:

 $http://cbpnet.cbp.dhs.gov/xp/cbpnet/hrm/for_employees/info_about_you/eop_folder/eopf_logon.~xml$ 

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.



## 8.10 REQUESTS: Red Cross / Last known address

104

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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 <u>routine use</u> 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

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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 <u>NRC, FOIASIG</u> and insert the case number in the body of the email.
- 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, NRCFOIAMSB.
- 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 <u>MSB</u> 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.

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## 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:

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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 Claire Gage). 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."

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### 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.

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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 <u>NRC. FOIA PROGRAM</u>: <u>McDaniel</u>, <u>Marcia M</u> (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 <u>Case Specifications, Category 4 (Other)</u>.

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

108

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ATTN: Records Service Branch 1200 First Street, NE, 2nd 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 <u>USCIS</u> <u>Genealogy Program</u>. 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:

109

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"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 <u>Section 3, "Category of request" in the sub-paragraph "GEN."</u>

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, <u>but</u> the person DOES NOT fully meet the criteria for a genealogy case, please pay special attention to NFTS. NFTS may show that the file has been retired and is at a Federal Records Center. If that is the case, request the file. 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

<u>O:\Foia\FOIA_LIBRARY\Case_Create_References\Case_Create_Template_Letters/Historical_</u> 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

110

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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 <u>pending</u> (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.

111

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FIPS will automatically create two documents: A final action letter to the requester and a referral memorandum to the DHS component.

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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:

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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

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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 9th 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.

115

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## 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 <u>NRC, FOIASIG</u>. 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 <u>Entry/Exit CBP</u> information above.

# 10. <u>DETERMINING TO STAFF BASED ON BEST</u> <u>INFORMATION AVAILABLE:</u>

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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# 12. <u>REQUESTING THE RESPONSIVE RECORDS</u>

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.

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## 12.1 Staffing by Alien Number

#### 12.1.1 One A-number provided on the request (with example staffing)

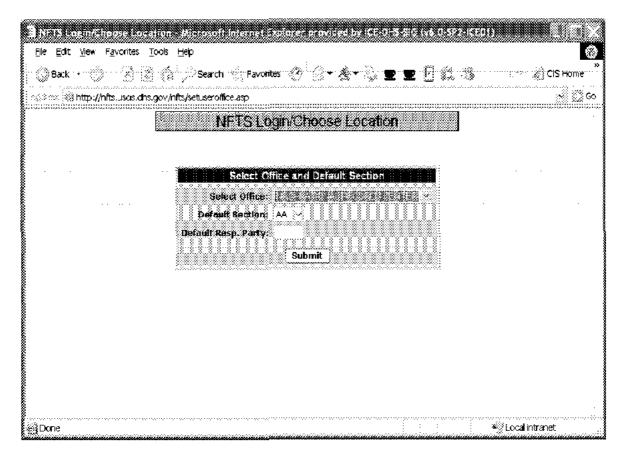
If an A-number is provided on the request and CIS confirms that it belongs to the alien, ensure you have all the other required elements (DOB, COB, DOE, POE and parents' names) to complete the case create. If any of the required elements are missing, request the additional information when sending the Acknowledgment Letter. The section that follows is a systematic example of staffing by A-number when the requester has provided one.

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118

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119

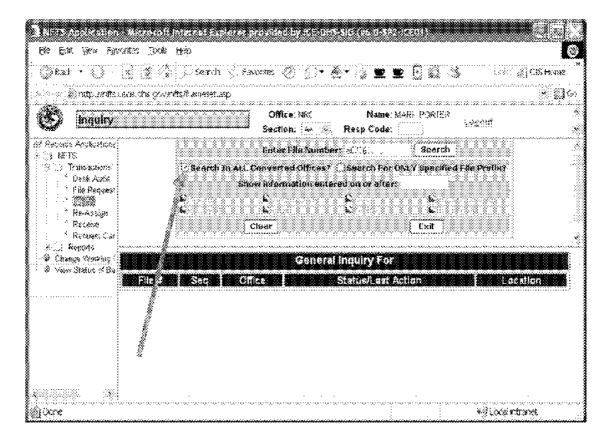
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120

**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.



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121

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.

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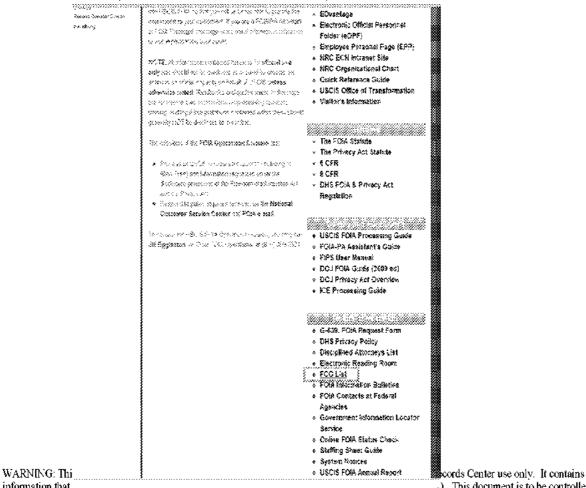
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## 12.1.1.6 "Blued in" information

- 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.
- Comments may be important because a File Control Office may not be able to change a file location to "LOST" in NFTS. When that happens, the records person at the FCO will notate in Comments that the file is lost. If that is the situation, please refer to the Lost File Flowchart in Appendix H of this guide.

## 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.



**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.

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124

### 12.1.1.9 The FCO List

From NFTS we know that the FCO is Seattle. We should check to be sure that if the FCO is SEA that we staff to SEA. It's not always intuitive. For example, you can see that we staff SEA to SEA, but you can also see that if the FCO is LAW we staff to BOS.

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125

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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.

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126

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12.1.1.11 Generate the file request

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Page 1 of 2 80.5% Viewing Verson: 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.

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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

DRD - POM DRO - POO DRO - PRO DRO - REN Reno DRO - SAJ San Ju DRO - SFR San Fr	en FR Bincisco	O No Staffi	
ocation Address IRD - SEA Seattle Jeportation Asst 104-833-0081		Offlice Contac Name (Email	r icity Worg

Contents		Discussions	Case Actions	History
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128

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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)."

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Staffing Response	4	Pending	DRO - SEA Seattle	012345678	12/3/2010 8:28:17 AM
		i Eding i	DRO - SEA SEADLE		1 2233(2010 8:26)(17 AM
Væw	2 4	Scanned			11/5/2010 8:32:47 AM
Edit (Check Out)	1 2	Stanned			11/5/2010 8:32:45 4M
Manage Document					
Reserve (Lock)					
Download File					
Send to Print Queue					
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 Records Locator
 Case Processor
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 Page 1 of 2
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 Image: 1 of 2
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129

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			Ľ	U.S. Citizenship and Immigration Services
-	December 3, 20			NR C2010000806
 _(b)(6)		UM FOR. DRO - SEA Seattle Depostation Asst		
- - -		ATTN: Bonty Wong		
	FR0M:	NRC FOLA/PA		
- - - 4	SUBJECT.	Freedom of Information Ahen # 012345678 Subject Name, Chris P	a Privacy Act Request NRC201000 Bacon	0306
- - - -			ided to your office for action - Due cords responsive to the request	to the subject matter, there is a
 -		duct a thorough search fo your office.	r all responsive records physically r	n, and within the functional
- 	 Send a cop REDACTI 		aents to the FOIA office in their end	nety. DO NOT MAKE
- - - -	explanation		thereof that you believe should be v DIA Staff will not release those it	
⊳ ≣ ख 🗐 ∃	•		ieve this request should be staffed to	» enother office, please =
Page 1	Sec 1 1/	/2 At 4" Ln 23	Col 19 - A R. MA AND LOR English	(L.S.

As soon as I clicked "SAVE," FIPS opened the staffing letter for me in Word.

130

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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.

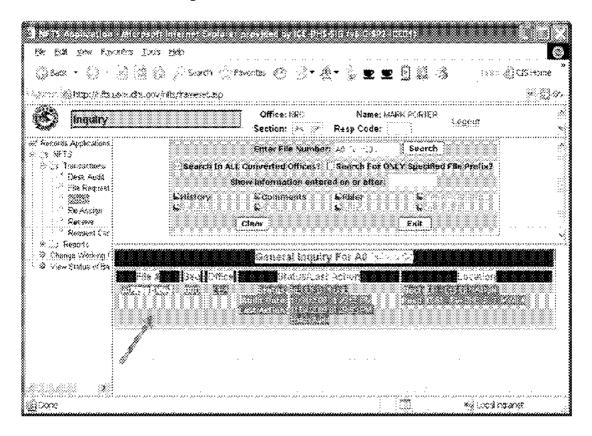
Attached is our justif		ly to the requester	
	ieation for withholding any res	ponsio'e material.	
The following record	s system number little was sear	ch.	
System	Resul Positive	lts Negative	
		·	
		·	
I certify that I am responsible	for the search of records cond	noted in my office encompassed	by this
		nts located in response to this re-	juest.
Signature			
Printed/Typed Name			
Title			
Telephone #			
Attachments(s)			
			awa,hwa ya
8			a (2001) a (2001) A (2001) a (2001)

131

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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.



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132

	Posstrie Negatrie
	······································
	I certify that I am responsible for the search of records conducted in my office encomposed by this request and the attached seconds were the arty such documents located in response to the request.
	Signature
	Printed Type 4 Name
	Tate
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	Rendered (c) General Inquiry For Additionation
e SeyO	DTise StatualLast Action Location
	Audā Bate spiso((2001) 97784 Resp: Opa (2003) 97784 Lost dalkm: 19742(D93) 2472426 Sviti dalkm:
	<u> </u>

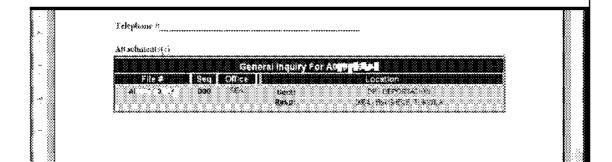
Immediately after pasting, we notice that the result is imperfect and we will have to repair it.

133

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Left-click and highlight everything in the center column, starting at Status/Last Action, then press Delete.

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134

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	Telephone ≠				14 16
	Attachments(s)				18 20
		General Inquiry	For AC7 (41030)		24
	File #	Seq Office	Location		26
	Callender and St	00 054 Sect Respi		arAntsia Alisukkaisen h	

Next, highlight the whole area and change the font size to 12.

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135

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.

		100% 7
	formation to be used to reply to the requester	
	ion for withholding any responsive material	
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136

12.1.1.15 Save changes and check it back in

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📆 - Staffing Response		4	Pending	ORO - SEA Seattle	012345678	32/3/2010 8:28:17 AM
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	LDClient		NRC2010000802_6		8	
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	-Files of type	All files		Cance		

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

137

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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 <u>both</u> located at the NRC, please add them to the spreadsheet that Records Operations maintains at <u>S:\Record_OpsiFiles_</u> to <u>Consolidate.xls</u>. 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) Anumber 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.

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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, 9101history (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 <u>Staffing Scenarios – Receipt Files</u> 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.

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12.5 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 request the receipt file. Enter the receipt information into the Topic field. Make the first part of the description the receipt file number. Use the complete receipt number with no spaces or dashes.

Example of the correct way: EAC0812345678 An example of how <u>NOT</u> to do it: EAC-08-123-45678

If every case creator enters receipt information the same way, it is easier for the next case creator to identify duplicate or similar cases. The next case creator may base the search on "EAC081234567%," and if the previous case creator entered dashes, the search will not identify the duplicate.

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 <u>RPC codes XX, XY,</u> <u>ZG, ZY, or ZZ</u>. Refer to the Staffing Sheet Guide for the most current information.

12.6 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.

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 file request 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 file request and paste the retired screen print.

12.7 Staffing Scenarios

140

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12.7.1 Digitized files

If you are requesting an A-file that has been digitized please use the **RDF** file request. If the file has been digitized, the current FCO does not matter; you would still use the **RDF** file request.

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.

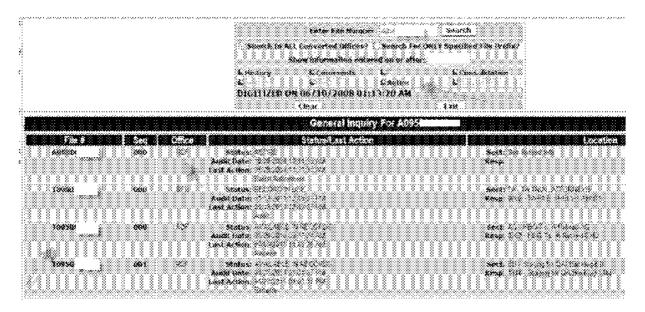
The temptation may be to staff RAFACS/CIS because the file shows available in records at NRC. Do not do that. If it shows "DIGITIZED," then staff to RDF. Also include any T files you find in the General Inquiry screen.

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494	Partie	Sant, Anna Santasan Santasan Manga Santasan Santasan Manga Santasan Santasan

Paste in the "General Inquiry" information on the RDF staffing the same as you would on a RAFACS/CIS staffing. Delete the status/action item column, but DO NOT delete any T-files. MSB will know the file is digitized because you have staffed using an RDF file request. This also applies to Retired files that have been digitized. Do not use the retired screen on Retired digitized files. An example has been provided below.

141

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In the example above, you will have to make two staffings. Notice there is a T-file currently in use at OPLA San Francisco? That also changes the Category of the case to "SFR Cases at NRC."

12.7.2 Files Lost or Not Found LESS THAN NINE MONTHS

Note: Please refer to the Lost File Flowchart which you will find in Appendix H.

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.

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		General Inc	quiry For A09	17	
File #	Seq Office	Status/	Last Action		Location
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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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When the file appears lost in CIS 9504 and NFTS, Staff using the Lost File at FCO: ______ file request (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, request the file per the FCO in NFTS.

Under "Create File Request" mark the box "File Missing/Lost".

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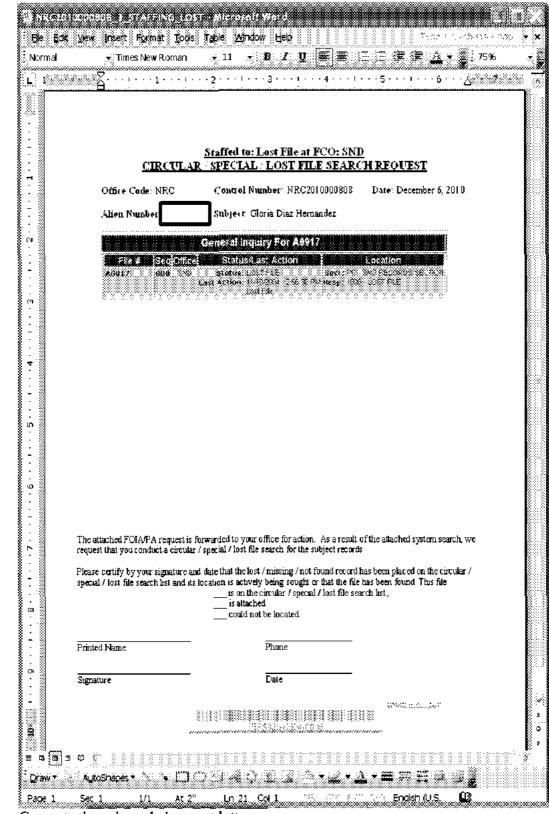
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144

Not Started

Expedited Denial Letter

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Generate the acknowledgement letter.

(b)(6)

145

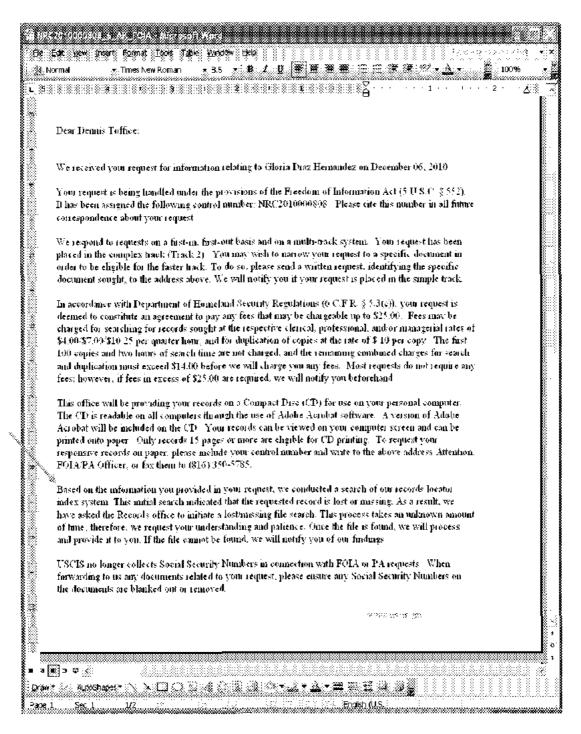
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Processing Fee information	
Acknowledgement Letter Options	Additional Documents Required
Fee Estimate	Other Requester Documentation
Prepayment Required	
Advance Payment Returned Add Lost File Paragraph I Add Track 3 Denial Paragraph	Click Add Lost File Paragraph
2. Adulitional Options No options found.	Click Generate Letter
	Generate Latter (Cancel)

FIPS inserts the Lost File Paragraph right after the CD Paragraph:

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146



When the case create process is complete and the creator is ready to exit the case, click the "Pend."

12.7.3 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.)

147

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Note: Please refer to the Lost File Flowchart which you will find in Appendix H.

12.7.3.1 If the A-file is lost but other records exist (such as receipt files we would normally request or other a-files), please go to paragraph 12.7.3.9 now. *Otherwise*,

- a. <u>if</u> the file has been marked as lost for more than nine months
- b. <u>and</u> there is no recent activity in CLAIMS (within last 2 years) or PCQS,
- and there are no additional files, then: a FOIA/PA Assistant working in Records Locator queue should put in the following Discussion: 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 Discussion.

12.7.3.2 Complete the attached Lost File Worksheet (and send it for scanning as CSD with any screen prints you do.)

12.7.3.3 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 Discussion with the subject "Unit Chief" listing the date the file was 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.

12.7.3.4 If there is no CIS screen referencing "EARM" "DACS" or "NAILS," please move to the next step now. *Otherwise*, if there is a 9101 screen containing "EARM-X" "DACS-X" or "NAIL-X," or if there are CLAIMS screens showing "NAIL: Y" or "NAIL: N," go to the next step.

12.7.3.5 Create a Final Action Letter and select the status 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.

12.7.3.6 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 Up-front Approver. You're done, *unless* the case is later returned to you for further research.

12.7.3.7 The Up-front 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.

12.7.3.8 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.

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12.7.3.9 <u>If the A-file is lost but other records exist</u> (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:

12.7.3.10 Cancel the lost file staffing and pend for responsive records.

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149

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, p	lease 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 li	ist below

3. Check NFTS. Any current file movement. Yes _____ No _____

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

NOTES:

150

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12.7.4 Staffing 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 file request do I use?

A: Each office has its own file request 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 request each alien file on a separate file request and write MULTIPLE STAFFINGS at the top of each sheet.

12.7.5 Records Indexing / Manual Requests

If you do not find a person in CIS, CLAIMS or PCQS, do not automatically print the screens and close the case NR. In some instances, the A-number exists but it will not be found in any systems search. 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. Look at the information in the request. For instance, if an individual claims to have arrived in the United States in 1960 and naturalized in 1971, it is important not to close the case NR. In these instances, staff the request using a "Records Indexing" staffing so that a manual search can be conducted.

Sometimes the requester/subject will provide an A-number and the file cannot be located in NFTS or CIS, but they claim to have done business with the service <u>after</u> 1975. 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
- Naturalization dates

which are after 1975, do not create a Records Indexing file request, because no records will exist; check CIS and/or CLAIMS for a record. If you find no record, please refer to the section on <u>NO_RECORDS</u>. It is important that you provide as much information as

151

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possible on the Records Indexing file request. The name of the subject, year of birth and country of birth are required information. You should use the latest version of records_indexer.doc, which you may find in O:\Foia\FOIA LIBRARY\Case Create References\Case Create Template Letters. A sample records indexer.doc follows:

152

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FOIA/PA RECORDS SERVICES BRANCH

CO#:	DATE:
*Name:	*DOB:
Alias:	COB:
A#:	DOE:
C#:	POE:
Natz Date:	Visa File #:
Other Info:	
* Required Fields FOIA personnel checked CIS, CLAIMS and F	PCQS and located no Records.
	CTION REQUESTED AR-Print Non-Existence of Record
FOIA Remarks:	
RECO	RDS
SYSTEMS CHECKED	Searcher:
☐ FLEX ☐ MiDAS	
CIS EARMS	
	Other
Search Section Receiption Receipti Receiption Receiption Receiption Receiption Receipti	pt Date: x Systems and no record of the subject was found.
Signature	Date
Alien Files/ Naturalization Files Section Rece I certify that this office conducted a thorough search in the A subject was found.	ipt Date:
Signature	Date
Records Remarks:	
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TO RECAP RECORDS INDEXING: 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.

12.7.6 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, CLAIMS and PCQS. 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 9102 Sounds-Like Name

154

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(31) 37: (A/AA/AB/C/DA/DI/EB/-P/I/PP/SS/TD) CIH-R_MENU_SELECT (32) SOUNDS-L_KL_NAML (32) DATA_DISELECT (33) EXACT_NAME (33) ADD_TRANSACTIONS_M (34) ACA_(A, AS) NAME (34) (35) LAPS_LXACT_NAME (35) ITLE_TRANSFER_SUBS (36) SOUNDS_L_KE_NAME (35) ITLE_TRANSFER_SUBS	ENU VENU
(TT) MANJAL SEARCH REQUEST (MR) (T2) MANJAL SEARCH RESPONSE (SR)	
(TS) OV-LINE A-NUMBER REPORT REQUEST	
K→ SELECT TRANSACTION NUMBER PRESS ENTER. FOR D # SEARCH PREFIX AND THE D # (FC, A123)	
CLEAR EXTERPTS HELP FESCIS MAIN MENU	
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When conducting a search in CLAIMS (Computer Linked Application Information Management System) run alien's name as the beneficiary/applicant (3) <u>AND</u> as petitioner (6).

155

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S. REFIRENCE NO 5. PETITIONER VAME (INST): FEB FEB PEB PETC PET PET2 CANCEL VAIN VENU LOCOFF REMOTE ACT UPD BY CODE ACT UPD BY RCPT	NAME (LAST) (FRST)	
6. PETHLONER VAME (LAST): (FLRST) PES PES PES PETC 24.1 PET2 CANCEL VAIN VENU LOCOFF REMOTE ACTIUPD BY CODE ACTIUPD BY RCPT	Z. A NUMBER: A	
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HUN OVR	CANCEL WAIN VENU LOCCEF REMOTE ACTIUPD BY CODE ACTIUP	© 3Y RCPT

When conducting "no record" research, do the query and provide screen prints of all searches as directed. 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 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 and prepare a Final Action Letter with closing code 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.

Genealogy is exempt from this process.

12.7.7 A-number in CIS but not in NFTS

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If there is an A-number in CIS but no information in NFTS, create a file request 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.

12.7.8 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 file requests are 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	ТА
Chief Counsel	
Litigation	LI or LIT
Legal Section	LS
District Counsel	DC

DRO file requests are 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	САР
Deportation Officer/Assistant/Clerk	DO, SDDO
Bond Control Spec.	
Immigration Enforcement	IEA
Field District Office	FOI (Washington DC) (DRO-WAS)
Admin Program Office	
Non-Detained or Detained	
Processing Center	OC-Otero County
Detention Facility name	ie Otay Mesa, Krome
Fugitive Ops	FO

SAC file requests 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.

Office Section	Acronym
Investigations	INV, IV

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Special Agent in Charge	SAC
Internal Audit	IA
Resident Agent in Charge	RAC
Assistant Special Agent in Charge	ASAC

12.7.9 SAC locations

Occasionally, you will see a requesting 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.

12.7.10 LESC (LSC) records

On all of these file requests, you must attach the NFTS screen print to page two.

12.7.11 T-files

Q. What if the subject has an A-file at one office other than NRC and a T-file at a different office other than NRC (for example, an A-file in Chicago and a T-file in Milwaukee)?

A: In this case, we will request both files, EXCEPT, do not request 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: Request the A-file only, but include the T-file portion on the file request. The T-file will get combined with the A-file when it arrives at the facility for scanning. <u>NEVER</u> <u>CROP THE T-FILE INFORMATION FROM THE NFTS SCREEN PRINT</u>.

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

158

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example of when we staff for an in-house T-file is when the responsive records are scanned in simultaneously with the request.

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, LOSJ9163201111, DALC922740405 or SPM9606900035, etc., are not receipt files we can request.

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.

12.7.12.3 If the requester does not provide any receipt number or alien number, then you must research CIS, CLAIMS and 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, <u>PCOS</u> 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 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

159

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CLAIMS screen. This information can be located on the CLAIMS inquiry screen upper right hand corner. The CLAIMS screen will show "owned by."

12.7.13 Archived receipts

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This screenshot shows a receipt that has been archived.

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 request 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.
- 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.

160

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- 3. You may call the NVC automated 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.
- 4. If there is no evidence that the archived receipt file has been forwarded to NVC we will create a file request using RAFACS (not RAFACS/CIS). Find the information from the archived receipt in PCQS and print that information. Prepare a "Scan As" sheet to be scanned as responsive records for the case number you have just created, attach it to the screen prints and take those to the person designated to scan RAFACS-only responsive records. Pend the case.
- 5. If there is no evidence in PCQS, follow the instructions in Paragraph 12.7.14, *Receipt files; Lost receipt file, File destroyed or File cannot locate.*

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 <u>National Visa Center Valid Consulate Prefix Codes</u>, 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 Letter and choose the code "RD" and select "NVC". Send the case to Up-front Approver.

12.7.14 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.

Open a RAFACS (*not RAFACS/CIS*) staffing slot only. The default selection for the letter is "Customize Letter." Be sure that option is selected. Print the appropriate CLAIMS screen prints (should be a minimum of 3 pages if the receipt file is for an I-130). Print the staffing letter, attach it to the screen prints and take to person designated to scan RAFACS-only responsive records. Pend the case.

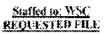
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This is only if there is no A-number and you have checked and the receipt file is not at the NVC. This is what the response will look like:

162

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163

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13. <u>REASSIGN OFFICE</u>

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.

First you must select the correct office. Use the drop-down box to select the office where you want the case to go, search for duplicate cases, and then create the case:

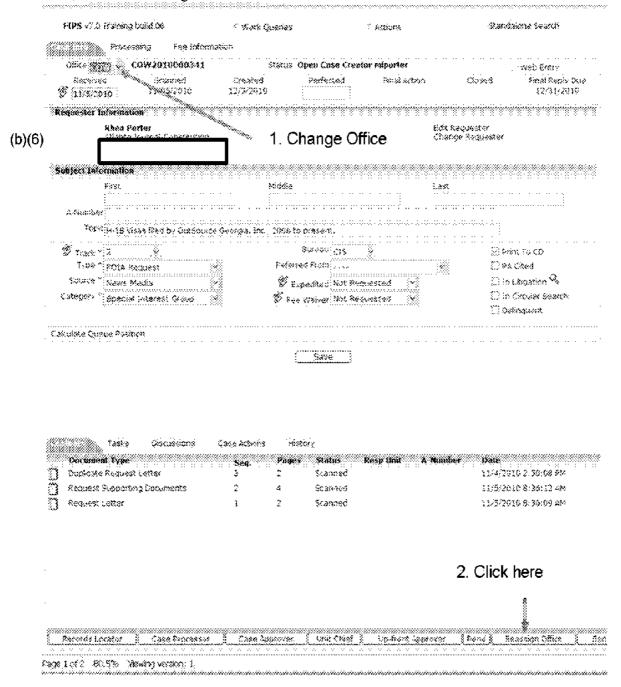
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After you change the office to COW, create the case. The case will have a COW number.

164

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Next, click on "Reassign Office"



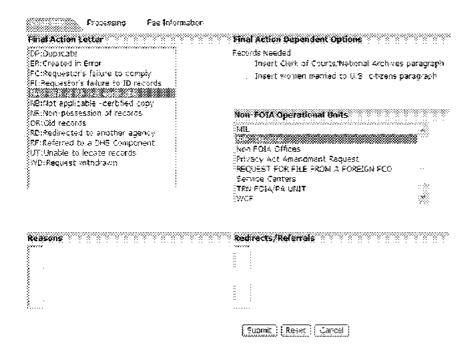
You will not be creating an acknowledgement letter or staffing. Before you click on "Reassign Office," prepare an e-mail addressed to <u>NRC, FOIASIG</u> with the case number and brief description of the topic, requester or reason you assigned the case to SIG.

165

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14. CLOSING A CASE AS "NA:FOIA or PA not applicable:"

Sometimes a requester will file a FOIA request asking for the return of original documents, the status of a petition, or a question, not asking for records. If FOIA/PA does not apply to the request, you would 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." Note: if the request for return of original documents is on Form G-884 which was inadvertently scanned in as a request, you will be closing the case "ER." Please refer to <u>REQUESTS: Return of original documents</u>.



You do not have to modify the referral letter. You will have to select the applicable box in the Final Action Letter and possibly add other instruction, if necessary. Send the case to Up-front Approver.

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166

15. ER (created in error) CASE CLOSINGS

Prepare a Final Action Letter using the "ER" option for cases 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)

FIPS will not create a letter. Prepare a detailed Discussion. Send the case to Up-front Approver. The supervisor will review and close the case.

16. FC (failure to comply) CASE CLOSINGS

If you are closing a case FC because of consent, verification of identity or failure to reasonably describe the record they are seeking, 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.

17. MARKING A DOCUMENT "DO NOT SEND"

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 Discussion 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.

167

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18. ACKNOWLEDGEMENT LETTERS

We prepare acknowledgement letters in all cases **except** for routine use and Red Cross last known address requests. The example in this guide shows how to do a standard acknowledgment letter if we have verified consent and identity, the requester has not asked for expedited treatment or a fee waiver, and we have found a responsive record. As you go through this example, please keep in mind that there are many factors which would require you to prepare the acknowledgment letter differently.

Go to the "Tasks" tab and select "Acknowledgement Letter"

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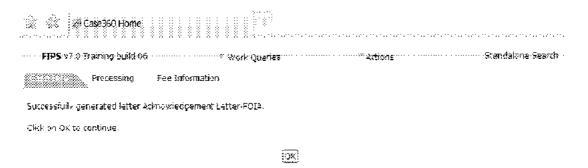
After selecting "Acknowledgement Letter," the Acknowledgment Letter Options screen will open. Options on this screen will allow you to ask for other documentation and will also allow you to add a Track 3 Denial or Lost File paragraph:

168

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Since our example case does not require us to select any options, we will click on "Generate Letter." Our only option at that point is to click OK:



As soon as you do, a File Save pop-up window will appear. Click "Save."

169

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The acknowledgment letter will pop up:

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170

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We received your request for information relating to Chris P. Bacon on Decer	mber 02. 2010
Your request is being handled under the provisions of the Freedom of Inform. It has been assigned the following cook of mucher: NRC2010000506. Please conceptuation about your request.	
We respond to requests on a first-in, first-out basis and on a multi-track system placed in the complex track (Track 2). You may wash to narrow your request order to be eligible for the faster track. To do so, please send a written request document sought, to the address showe. We will notify you if your request is p	to a specific document in t, identifying the specific
in accordance with Department of Homeland Scenarty Regulations to C F.R. deemed to constitute an agreement to pay any fees that may be chargeable up charged for searching for records sought at the respective closical profession \$4.00(\$7.00(\$10.25) per quarter hom, and for duplication of copies at the rate- 100 copies and two homes of search time are not charged, and the remaining c and duplication must exceed \$14.00 before we will charge you may fees. Mos fees; however, if fees in excess of \$25.00 are required, we will notify you before This office will be providing your records on a Compact Disc (CD) for use on The CD is readable on all computers through the use of Adabe Aerabat softw	to \$25.00. Fees may be al. and/or managerial rates of of \$.10-per copy. The first minimed charges for search st requests do not require any
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You may have some modifications to make to the letter. After you finish, save the Word document and exit Word. Next, go to the "Contents" tab and click on the "Check in Document" icon.

171

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In this example, we are now ready to send this document to "Pend."

## 19. DISCUSSIONS

Discussion 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 Discussion for later reference. FIPS also automatically generates Discussions in various situations, such as duplicate,

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multiples and when responsive records are copied from one case to another. Because Discussions become a permanent part of the case in FIPS, you should not used Discussions 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.

## 20. CHANGING A REQ TO A CSD

(Note: this article pertains to people who work in the Research Queue)

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. Create a Discussion asking Research to add the request as CSD to the appropriate case. Next, go back to the worksheet in FIPS and Send to Research.

A person working the Research queue will assign the request to CSD as follows:

173

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FIPS v2.0 Training build	06	* Work Queries	* actions	<b>S</b> 2
Search Case Research Que	ne			
Status				
Control Number 7	**** ********	······································		
Request Number			nter the case number you	
Created Attar		are a	attaching the document to.	
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	4. Click Add D	ocument to cre	ate a new CSD slot.	
Add Document				400 · · ·

174

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Γ	ocument Type	: Duplicate Request Letter	
-		Duplicate Request Letter	
		Expedited Treatment Denial	
		Litigation Notice	······ · · · · · · · · · · · · · · · ·
		Non Compliance	4
		- Proof of Address Change	
		Remand Non-Compliance Appa	al
		Request for Status	
		Expedited Treatment Grant	********

# 21. 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 Discussion (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.

# 22. 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.

# 23. 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.

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## 23.1 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.
- 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 Discussion 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 Discussion.

Don't forget to add a Discussion to the original case.

### 23.2 MSB (NRC, NRCFOIAMSB)

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 queue 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.

### 23.3 FIPS PROBLEM (NRC, FIPSPROBLEM)

Send e-mails to the FIPS Problem mailbox:

• If errors are encountered in the case

176

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- 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

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.

### 23.4 FOIA FILE REQUEST (NRC, FOIAFILEREQ)

Send e-mails to FOIA File Request if you discover A file 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.

## 24. 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 Discussion 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.

# 25. MAIL

The FOIA Division receives two types of mail: Returned Mail and Direct Mail.

### **25.1 RETURNED MAIL:**

### 25.1.1 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.

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.

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**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 Discussion should include the type of letter being corrected and resent.

### 25.1.2 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. Do this in a controlled manner so that you and the supervisor are the only ones who see this paperwork.
  - 4. Note the case. Example of the Discussion:

Title of Discussion:	Returned Mail – no such number
Body of Discussion:	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 acknowledgement letters with a requester document need to be repended for additional time. Give the letter to the OA supervisor to repend.
- B. If the address on the acknowledgement letter matches the address on the G-639, G-28 and/or return address on original envelope:
  - 1. Note the case. Example of the Discussion:

Title of Discussion:	Returned Mail – no forwarding address
Body of Discussion:	Address matches G-639. No other address found. Did not
	resend ack letter.

2. Give acknowledgement letter to OA Supervisor to Close.

### 25.1.3 Final Action Letters

178

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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. Discussion 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. Do this in a controlled manner so that you and the supervisor are the only ones who see this paperwork.

25.1.4 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 Discussion.

Title of Discussion:CD Returned for Additional PostageBody of Discussion:Re-mailed CD, date and name

B. CDs Returned due to Incorrect Address.

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. Discussion 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.

179

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- 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. Do this in a controlled manner so that you and the supervisor are the only ones who see this paperwork.

### **25.2 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 **<u>Request for Change of Address</u>**)
- 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)
- 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 Discussion 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.

180

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### 25.2.1 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 Discussion titled "Expedited Treatment Request" or "Track 3 Request." In the text of the Discussion 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.

If a FOIA/PA Assistant working in Records Locator queue discovers correspondence relating to expedited processing or Track 3 scanned in but has not been addressed by a supervisor; the Assistant should insert a Discussion 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.

### 25.2.2 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

181

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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. A template FC letter is located at: O:\Foia\FOIA LIBRARY\Case Create References\Template Letters\FC Letter.

### 25.2.3 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 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

### 25.2.4 Status letters

The public has the ability to check online the status of their FOIA request(s) with NRC at (www.uscis.gov).

From <u>www.uscis.gov</u>, find the link near the bottom of the left column under "Other Services" marked "<u>FOIA Request Status Check</u>" 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 <u>same</u> processing track. It also provides the date the request was received.

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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.

The previous method of providing a status letter did not give the requester accurate information. In order to better serve our customers Teams 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 Letters, 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.

### 25.2.5 Withdrawal of a FOIA/PA request

A requester must send us a document to withdraw a pending request. 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 queue. Add a Discussion indicating that the request was withdrawn per the documents found in CSD.

### 25.2.6 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.

## 26. BLANK TAPES/CD's

183

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If you receive a blank VHS tape, cassette or CD with a FOIA/PA Request, return it to the requester.

## 27. 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 Discussion 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.

## 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. below. 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.

## 29. 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.

184

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- 3. Attach the reprinted final action letter to the responsive records.
- 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. Do this in a controlled manner so that you and the supervisor are the only ones who see this paperwork.
- 6. Stack the incorrect final action letters in a separate pile. Write "ERRORS" on a postit 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.

# 30. 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.

# 31. 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.

# 32. <u>RECORDS LOCATOR QUEUE</u>

Cases assigned to Records Locator queue 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

185

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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 Discussions as well as insert Discussions as necessary. Listed below are points/actions that you should consider while working cases assigned to Records Locator queue.

32.1 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.

32.2 Read and follow directions in any Discussion 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.

32.3 Anytime you create a new staffing for the same A-file or receipt, you must cancel the one it replaces.

32.4 Do not cancel file requests and re-staff just because the request is old and has been pending for an extended period. Canceling file requests 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.

32.5 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.

32.6 If the 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.

32.7 If you see it has been through image process box and returned to a shelf then further research is required.

32.7.1 Check all offices for duplicate cases in FIPS using the alien number.

32.7.2 Does the subject have more than one alien number per a Discussion or on their request? If so, search those for potential duplicate cases.

186

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32.7.3 If you find a duplicate case, make a Discussion and advise <u>NRC, FIPSPROBLEM</u> mailbox with an e-mail and repend.

**32.8 Additional PII needed:** Sometimes when a processor retrieves a case, he or she will determine that additional PII or verification of identity 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 Documentation. If the processor is asking for information that is already present in the scanned documents, put in a Discussion 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.

**32.9 If you pull a case in Records Locator queue and the Requester Documentation has been received:** Review the information provided, if the requester/subject has provided the requested PII and/or consent, request the file.

**32.10** 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.

**32.11 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.

32.12 Deleted.

**32.13 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), request the file. Create a Discussion advising the processor to process this case as third party without consent.

32.14 Occasionally you will pull a case in Records Locator queue and there is a Discussion stating the wrong records have been scanned into the case. This will require some investigative work before a solution can be determined.

**32.14.1** Did the Case Creator use the wrong alien number when the case was originally created or when the records were staffed? If so, please request the correct file. You must then send an e-mail to <u>FIPS Problem</u> mailbox and ask that the wrong records be removed. Clicking the link above will automatically send a copy to the FOIA Program mailbox.

187

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32.14.2 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.

**32.14.3 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:

32.14.3.1 Look for a pending case for the records that were scanned into your case.

32.14.3.2 If you locate a case, check to see if the responsive records have been scanned.

32.14.3.3 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 <u>NRC</u>, <u>FIPS Problem</u> mailbox. Clicking on the link will automatically send a copy to the NRC FOIA Program mailbox.

32.14.3.4 If the pending case already has records scanned in, review those records.

32.14.3.4.1 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.

32.14.3.4.2 If they are duplicates, then you do not have to do anything with that case.

32.14.3.4.3 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 <u>NRC, FIPS Problem</u> mailbox. Clicking on the link will automatically send a copy to the NRC FOIA Program mailbox.

32.14.3.5 If you pull a case in Records Locator queue and there is a **Discussion instructing you to create an interim response letter because the individual is incarcerated**:

32.14.3.5.1 The request must be over six months old before we

188

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send out the interim letter. If your case meets this criterion, create an Interim Interest Letter.

32.14.3.5.2 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.

32.14.3.5.3 If the individual is still incarcerated and still interested in receiving the record, send the case to the processing queue.

32.14.3.6 If you pull a case in Records Locator queue and there is a document scanned into the Staffing Response and the Responsive Records slot which has been changed to Inactive, look at the document scanned in to the Staffing Response.

32.14.3.6.1 If the case was staffed for a receipt file that has been sent to NVC (National Visa Center), redirect the request to NVC. Create the Final Action Letter, choose "RD" and select "NVC" from the drop-down box. Save the document and check it in. Send the case to Up-front Approver.

32.14.3.6.2 If the receipt file is marked lost, file destroyed, or file cannot locate, go to <u>Receipt files</u>; Lost receipt file, File destroyed or File cannot locate.

32.14.3.6.3 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.

## 33. <u>REPENDING IN RECORDS LOCATOR QUEUE</u>

33.1 Do not create a Discussion that you repended the case; the system automatically creates a record of case action.

33.2 If you open a case in Records Locator queue 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.

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33.2.1 If the file has moved to another FCO, you should cancel the current file request and create a new one to reflect the new FCO.

33.2.2 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. Do NOT cancel the original file request or re-staff to RAFACS/CIS.

33.2.3 Do not cancel file requests and re-staff just because the request is old and has been pending for an extended period. Canceling file requests and re-staffing due to age affects the aging reports and makes it impossible to track these pending cases properly.

33.3 If the file has been received by NRC and NFTS shows scanning, image processing, image problem files, streamliners (anything except a shelf location) repend.

33.4 If a SIG case comes up for repending in Records Locator queue, please repend and notify <u>NRC, FOIASIG</u> of this. Insert the NRC case number on the subject line.

33.5 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. If there are two separate staffings for files, then e-mail <u>NRC, FOIAFILEREQ</u> to research and to have the file scanned in if necessary.

## 34. CHANGING THE TRACK OF A CASE

Do not change the track of a case except in the following instances:

34.1 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.

34.2 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.

34.3 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.

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When you change the track of a case, ensure you click the "SAVE" button prior to exiting the case. After you have changed the track, send an e-mail to NRC, FIPSPROBLEM and copy NRC, FOIA PROGRAM and your supervisor. The e-mail should include the case number and the action you took.

# 35. <u>RESPONSIVE RECORDS SCANNED IN WITH STAFFING</u> <u>RESPONSE</u>

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 Discussion explaining the problem.

If the case has not come up for processing and you encounter this situation in Records Locator queue, put a Discussion indicating the problem (Responsive Records scanned into Staffing Response slot), and send a message to the <u>NRC, FIPSPROBLEM</u> 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
- The number of pages scanned in.

Send the case to Unit Chief/Admin so that the problem can be resolved.

<u>Click here for instructions</u> if you pull a case in Records Locator queue that has been staffed for a Lost File.

## 36. Deleted

Cases received in Records Locator queue 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.

#### 191

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## 37. <u>RE-STAFFING</u>

- 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.

# 38. FOIA SAFE

Cases staffed to the FOIA Safe are processed in the NRC queue.

While working Records Locator queue, if you pull a case that has been staffed to the FOIA Safe, **NEVER** cancel the staffing. 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.

## **39.** IN TRANSIT FILES

If NFTS shows a file is now in transit to the NRC, repend. *Do not cancel the staffing and restaff to NRC.

## 40. 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.

# 41. 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.

192

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Supervisors will select the person(s) to assist with the projects as needed.

193

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Updated on 12/19/2011

AILA Doc. No. 16102838. (Posted 10/28/16)

# **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
<u>CIS Forms:</u>	
By Phone:	1-800-870-3676
Website:	www.uscis.gov
National Customer Service:	1-800-375-5283
EOIR	800-898-7180

194

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Updated on 12/19/2011

## 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, 5th Floor, Suite 585 Washington, DC 20536

## MAILING ADDRESS OF NATIONAL VISA CENTER:

32 Rochester Avenue, Suite 200 Portsmouth, NH 03801-2909

195

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## 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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Updated on 12/19/2011

# <u>APPENDIX C: NATIONAL VISA CENTER VALID</u> <u>CONSULATE PREFIX CODES</u>

- 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
- BGN Bridgetown (Barbados)
- BGT Bogota (Colombia)

197

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- 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)
- DMS Damascus (Syria)
- DOH Doha (Qatar)
- DRS Dar Es Salaam (Tanzania)
- FRN Frankfurt (Germany)

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- 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)
- KEV Kyiv (Ukraine)
- KHF Khartoum (Sudan)
- KIN Kinshasa (Congo)
- KLL Kuala Lumpur (Malaysia)
- KNG-Kingston (Jamaica)
- KWT Al Kuwait aka Kuwait City (Kuwait)

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- 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)
- MNL Manila (Philippines)
- MOS Moscow (Russia)
- MRV Monrovia (Liberia)
- MST Muscat (Oman)
- MTL Montreal (Canada)
- MTV Montevideo (Uruguay)
- NHA Naha
- NMY Niamey (Niger)

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- 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)
- 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 (Saudí Arabia)
- RKJ Reykjavik (Iceland)
- RNG Rangoon (Burma)
- SAA Sana'a (Yemen)
- SAR Sarajevo (Bosnia & Herzegovina)

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- 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)
- 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)

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VNT - Vientiane (Laos)

- WRW Warsaw (Poland)
- YDE Yaounde (Cameroon)
- YRV Yerevan (Armenia)
- ZGB Zagreb (Croatia)

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203

## 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.

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 (non-responsive) 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.

204

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Updated on 12/19/2011

# **APPENDIX E: FORMS**

#### www.uscis.gov

Title	Form Number
Change of Address	AR-11
Alien's Change of Address Card	AR-11SR
Genealogy Index Search Request	G-1041
Genealogy Records Request	G-1041A
Notice of Entry of Appearance as Attorney or Representative	G-28
Biographic Information	G-325
Biographic Information	G-325A
Biographic Information	G-325B
Biographic Information	G-325C
Freedom of Information Act/Privacy Act Request	G-639
Verification Request (Non-SAVE agencies)	G-845
Document Verification Request Supplement	G-845 Supplement
Document Verification Request (SAVE Agencies)	G-845S
Return of Original Documents	G-884
Application for Replacement/Initial Nonimmigrant Arrival-Departure Document	I-102
Petition for a Nonimmigrant Worker	I-129
Petition for Alien Fiance(e)	I-129F
Nonimmigrant Petition Based on Blanket L Petition	I-129S

205

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Title	Form Number
Petition for Alien Relative	I-130
Application for Travel Document	l-131
Affidavit of Support	I-134
Immigrant Petition for Alien Worker	I-140
Application for Advance Permission to Return to Unrelinguished Domicile	l-191
Application for Advance Permission to Enter as a Non-Immigrant	I-192
Application for Waiver for Passport and/or Visa	I-193
Application for Permission to Reapply for Admission into the United States After Deportation or Removal	I-212
Application for Removal	1-243
Notice of Appeal or Motion	I-290B
Petition for Amerasian, Widow(er), or Special Immigrant	I-360
Affidavit of Financial Support and Intent to Petition for Legal Custody for Public Law 97- 359 Amerasian	l-361
Request to Enforce Affidavit of Financial Support and Intent to Petition for Legal Custody for P.L. 97-359 Amerasian	I-363
Application to Register Permanent Residence or Adjust Status	I-485
Supplement A to Form 1-485	I-485 Supplement A
Instructions for I-485, Supplement C, HRIFA	I-485 Supplement C
Instructions for I-485, Supplement E	I-485 Supplement E
Waiver of Rights, Privileges, Exemptions and Immunities (Under Section 247(b) of the INA)	I-508
Waiver of Rights, Priveleges, Exemptions, and Immunities	I-508F

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Title	Form Number
Immigrant Petition by Alien Entrepreneur	1-526
Application To Extend/Change Nonimmigrant Status	1-539
For persons seeking V nonimmigrant status while in the United States or extension of V status.	I-539, Supplement A
Interagency Record of Request – A. G or NATO Dependent Employment Authorization or Change/Adjustment to/from A. G or NATO Status	I-566
Application for Asylum and Withholding of Removal	1-589
Petition to Classify Orphan as an Immediate Relative	I-600
Application for Advance Processing of Orphan Petition	I-600A
Application for Waiver of Ground of Inadmissibility	I-601
Application By Refugee For Waiver of Grounds of Excludability	I-602
Application for Waiver of the Foreign Residence Requirement (under Section 212(e) of the Immigration and Nationality Act. as Amended)	I-612
Health and Human Services Statistical Data for Refugee/Asylee Adjusting Status	I-643
Application for Status as a Temporary Resident Under Section 245A of the Immigration and Nationality Act	I-687
Application for Waiver of Grounds of Inadmissibility Under Sections 245A or 210 of the Immigration and Nationality Act	1-690
Report of Medical Examination and Vaccination Record	I-693
Notice of Appeal of Decision Under Sections 245A or 210 of the Immigration and Nationality Act	1-694
Application to Adjust Status from Temporary to Permanent Resident (Under Section 245A of Public Law 99-603)	1-698
Refugee/Asylee Relative Petition	I-730

207

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#### Form Number

Petition to Remove the Conditions of Residence	I-751
Application for Employment Authorization	1-765
Application for Replacement of Northern Mariana Card	I-777
Petition to Classify Convention Adoptee as an Immediate Relative	I-800
Application for Determination of Suitability to Adopt a Child from a Convention Country	I-800A
Application for Family Unity Benefits	I-817
Application for Temporary Protected Status	I-821
Application for Action on an Approved Application or Petition	1-824
Petition by Entrepreneur to Remove Conditions	1-829
Inter-Agency Alien Witness and Informant Record	I-854
Affidavit of Support Under Section 213A of the Act	I-864
Contract Between Sponsor and Household Member	I-864A
Affidavit of Support Under Section 213A of the Act	I-864EZ
Poverty Guidelines	I-864P
Intending Immigrant's Affidavit of Support Exemption	I-864W
Sponsor's Notice of Change of Address	1-865
Application for Suspension of Deportation or Special Rule Cancellation of Removal (Pursuant to Section 203 of Public Law 105-100 (NACARA))	I-881
Employment Eligibility Verification	I-9
Application to Replace Permanent Resident Card	1-90
Application for Authorization to Issue Certification for Health Care Workers	1-905

Title

208

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Title	Form Number
Request for Premium Processing Service	1-907
Application for T Nonimmigrant Status	1-914
Petition for U Nonimmigrant Status	I-918
Petition for Qualifying Family Member of a U-1 Nonimmigrant	I-929
Application to File Declaration of Intention	N-300
Request for a Hearing on a Decision in Naturalization Proceedings (Under Section 336 of the INA)	N-336
Monthly Report Naturalization Papers	N-4
Application for Naturalization	N-400
Request for Certification of Military or Naval Service	N-426
Application to Preserve Residence for Naturalization Purposes	N-470
Application for Replacement Naturalization/Citizenship Document	N-565
Application for Certificate of Citizenship	N-600
Application for Citizenship and Issuance of Certificate under Section 322	N-600K
Application for Posthumous Citizenship	N-644
Medical Certification for Disability Exceptions	N-648

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## 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
ATF	(Bureau) Alcohol, Tobacco and Firearms
ΔVI	Asylum Virtual Library

AVL Asylum Virtual Library

210

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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
вор	Bureau of Prisons
BORTAC	Border Patrol Tactical Unit
BP	Border Patrol
BRP	Backlog Reduction Plan
BSS	Biometric Storage System
CAA	Cuban Adjustment Act
САР	Criminal Alien Program
CAPES	Classification and Placement Evaluation System
CARRP	Controlled Application Review and Resolution Program
СВО	Congressional Budget Office / Community Based Organization
СВР	Customs and Border Protection
ССВ	Child Care Bureau
CCD	Consular Consolidated Database
CDC	Center for Disease Control
	211

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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
СРА	Chief Patrol Agent
СРО	Chief Privacy Officer
CSAT	Computer Security Awareness Training
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
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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
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
	213

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- 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
- 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

214

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FEGLI	Federal Employees Group Life Insurance
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- 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
- 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

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GPO	Government Printing Office
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- 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
- 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

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I-485B	NACARA Supplement to Form I-485 Instructions			
I-539	Application to Extend/Change Nonimmigrant Status			
<b>I-</b> 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			
<b>I-7</b> 51	Petition to Remove Conditions of Residence			
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			

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II	Immigration Inspector		
IIRIRA	Illegal Immigration Reform and Immigrant Responsibility Act of 1996		
ររ	Immigration Judge		
IMMACT	Immigration Act of 1990		
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		
Ю	Information Officer		
IRCA	Immigration Reform and Control Act		
IRS	Internal Revenue Service		
ISAP	Intensive Supervision Appearance Program		
ISCPM	Identity and Security Checks Procedures Manual		
ISO	Immigration Services Officer (USCIS)		
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		

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KST	Known Suspected Terrorist		
LAPR	Lawfully Admitted Permanent Resident		
LAPS	Legalization Application Processing System		
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		
NAILS	National Automated Immigration Lookout System		
NBC	National Benefits Center		

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NCIC	National Crime Information Center			
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			
OEPC	Office of Emergency Preparedness and Coordination			

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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			
PA	Privacy Act			
PAIC	Patrol Agent in Charge			
RAIO	Refugee, Asylum, and International Operations			

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РС	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			
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			
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			

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- 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)
- 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

223

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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		
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

#### 224

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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			
	Voluntary Departure			
VD	Voluntary Departure			
VD VIS	Voluntary Departure Verification Information System			
VIS	Verification Information System			
VIS VOI	Verification Information System Verification of Identity			
VIS VOI VTVPA	Verification Information System Verification of Identity Victims of Trafficking and Violence Protection Act of 2000			
VIS VOI VTVPA VWPP	Verification Information System Verification of Identity Victims of Trafficking and Violence Protection Act of 2000 Visa Pilot Waiver Program			
VIS VOI VTVPA VWPP WAC	Verification Information System Verification of Identity Victims of Trafficking and Violence Protection Act of 2000 Visa Pilot Waiver Program Western Adjudications Center			
VIS VOI VTVPA VWPP WAC WHO	Verification Information System Verification of Identity Victims of Trafficking and Violence Protection Act of 2000 Visa Pilot Waiver Program Western Adjudications Center World Health Organization			

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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 <a href="http://www.uscis.gov/portal/site/uscis/menuitem">http://www.uscis.gov/portal/site/uscis/menuitem</a>. Select the tab titled "Education and Resource."

<u>Access</u> - 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.

<u>Agency</u> - 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.

<u>Agency Record</u> - 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).

<u>Component</u> - 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.

<u>Conditions of Disclosure</u> - 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.

<u>Congressional Committee Request</u> - 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.

#### 226

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<u>Congressional Request</u> - 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.

<u>Consolidation</u> – 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."

<u>Consultation</u> - 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.

<u>Freedom of Information Act Request</u> - A request <u>in writing</u> 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.

<u>First Party Requester</u> - 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.

**Forms** – Various government forms available from <u>www.uscis.gov/portal/site/uscis</u> 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:

- <u>G-28 Notice of Entry of Appearance as Attorney or Representative</u> 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.
- <u>G-639 Freedom of Information/Privacy Act Request</u> This form can be used to make a FOIA/PA request. When completed it provides enough information to complete an extensive search for records.

227

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**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.

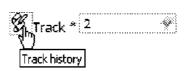
### **Track Drop-Down List**

Track	*	: **
	1 3	Ę.

- <u>Track 1</u> is used for the less complex cases. These are cases where only one or a few specific documents are being requested from the file.
- <u>Track 2</u> 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.
- <u>Track 3</u> is used for cases that specifically involve individuals who have been scheduled to appear before an immigration judge.

To view the track history of the active case, click the **Track history** icon next to the Track drop-down list.

### **Track History Icon**

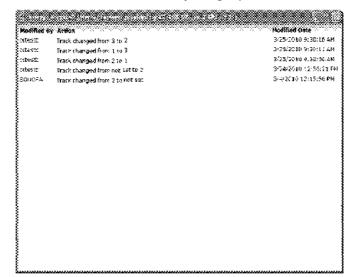


The track history appears in a separate pop-up window.

228

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## **Track History Displayed**



<u>**Privacy Act Amendment Request</u>** - 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.</u>

<u>**Privacy Act Record</u>** - Any item, collection, or grouping of information about an individual which 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.</u>

229

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**<u>Privacy Act Request</u>** - 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.

**<u>Records Custodian</u>** - 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.

**<u>Referral</u>** - 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.

<u>**Retire**</u> – 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.

<u>**Rider**</u> – 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.

<u>System of Records</u> - 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.

<u>Third Agency</u> - Other administrative agencies of the Executive Branch of the Federal government, including other components of DHS.

230

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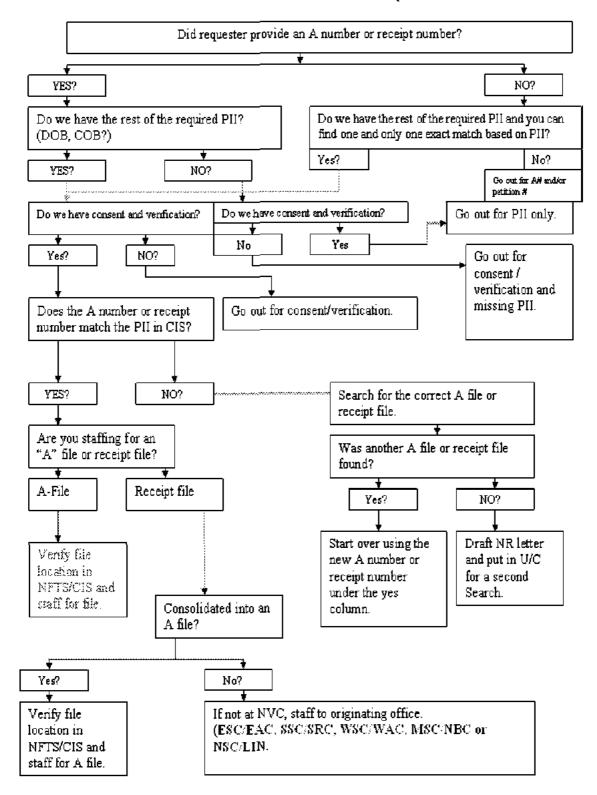
<u>Third Party Request</u> - A request from any person for access to another individual's record without that individual's written consent. The identity of a third party requester and his/her relationship to the subject does not increase (or decrease) his/her rights of access to the records.

<u>White House Inquiries</u> - An official request from any member of the White House staff, or letters of the President forwarded to the agency for response.

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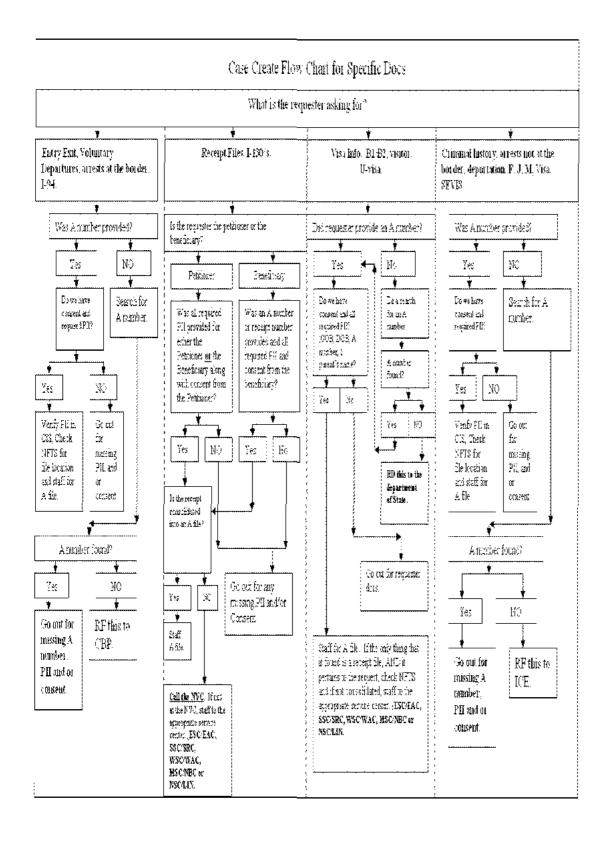
#### **APPENDIX H: CASE CREATE FLOW CHARTS**

Case Create Flow Chart for All my records.



#### 232

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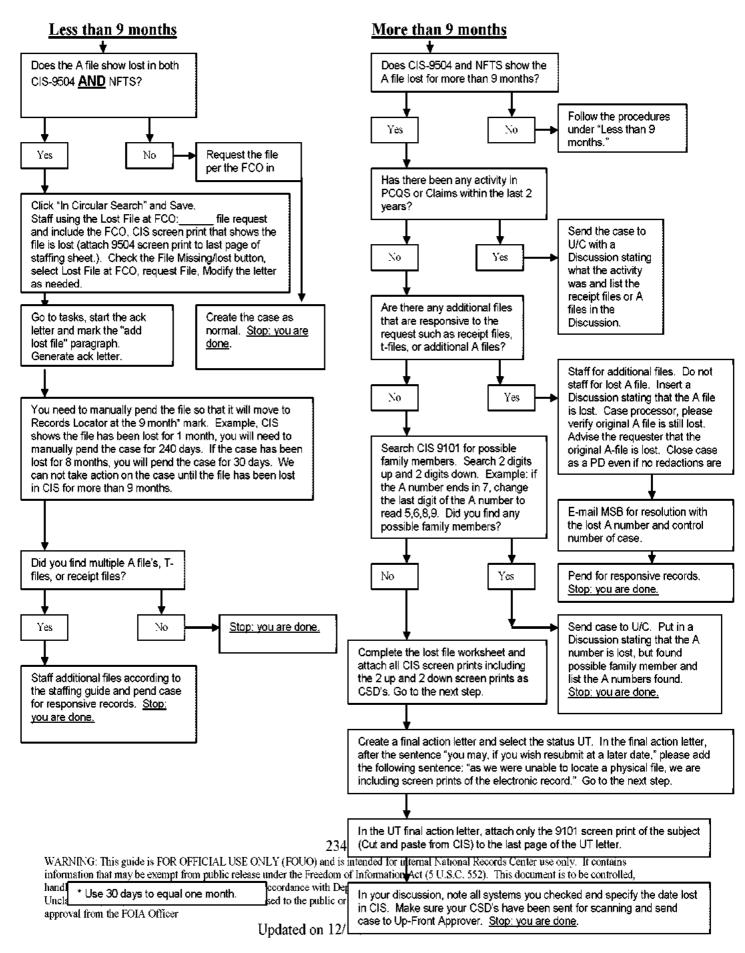


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233

#### AILA Doc. No. 16102838. (Posted 10/28/16)

#### Lost File Flowchart



Classferention	type or Subwer (SSUED)	SPARTING NUMBER	SEDING SUMBLE
ISSUED PRE-1960	PHYSCIAL FILES	A 001-007-000	A 011-999-999
ABJUSTMENTS	PHYSCIAL FILES	A 612-DDD-063	A 014-799-994
CREWMAN	PHYSCIAL FILLS	A 015-000-000	A 016-938-999
ADJUSTMENTS	PHTSCIAL FILES	A 017-002-000	A 029-799-995
visa (state dert)	PHYSCIAL FILES	A 030-000-600	A 069-999-999
ADJ7STMENTS	PHYSCIAL FILES	A 070-000-000	A 070-431-200
ZAMELY FATRIES	PHYSCIAL FILLS	A 075-491-201	A 970-503-300
ADJUSTMENTS.	PHYSCIAL FILES	A 070-503-201	A 070-527-200
SAMILY FAIRNESS	PHYSCIAL FILES	A 070-527-201	A 079-987-200
ADJUSTMENTS	PRYSCIAL FILES	A 070-987-201	A 977-536- <del>7</del> 51
K050Y6	PHYSCIAL FILES	A 077-536-952	A 077-587-481
ADJUSTMENTS	PHYSCIAL FILES	A 070-537-452	A 079-599-989
BIRDER APPREHENSIONS	ELECTRONIC ONLY	A 050-000-000	A 125-899-999
ADJUSTMENTS	PRYSCIAL FILES	A 086-900-000	A 089-999-999
LECALIZATION	PHYSCIAL FILES	A 090-066-000	A 093-299-994
TEMPORARY PROTECTIVE STATUS (IPS)	PHYSCIAL FILES	A 094-077-000	A 094-350-500
TEMPORARY FROTECTIVE STATUS (TPS)	FRYSCIAL FILES	A 094-328-751	A 1994-339-250
AURSICANE MITCH	PHYSCIAL FILES	A 094-250-501	A 094-328-730
NURRICANE MITCH	PHYSCIAL FILES	A 034 334 251	A 094-364-250
TEMPORARY PROTECTIVE STATUS (IPS)	PRYSCIAL FILES	A 894-36+-251	A 094-388-500
62050740	PRYSCIAL FILES	A 074-399-501	A 094-404-750
	DISTRIBUTE DI LA DIVERSIONI	A 2014 (01 2014	
TEMPORARY PROTECTIVE STATUS (TPS)	PHYSCIAL FILES	A 074404-751	A 094-500-000
KOSOVC	PHYSCIAL FILES	A 094-502-001	A 094-527-000
TEMPORARY PROTECTIVE STATUS (TP3)	PHYSCIAL FILES	A 094-780-800	A 093-099-999
BSC ORPHANS	PRYSCIAL FILES	\$ 094-500-001	A 094-502-000
	nume al / 1 min ar		
RSC ORPHANS	PRYSCIAL FREE	A 094-527-001	A 994-528-900
REFUGLES	PHYSCIAL FILES	A 094-528-001	A 094-628-000

#### **APPENDIX I: ALIEN NUMBER ASSIGNMENT**

235

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CLASSIFICATION TYPE OF STARTING STRIPPED
a a a a a a a a a a a a a a a a a a a

RETUGEZS	PHYSCIAL FELSS	A 094-538-901	A 894-749-999
ADJUSTMENTS	PHYSCIAL FEZS	A 093-200-000	<b>A 096</b> -74 <del>9-99</del> 9
LIFE ACT	PHYSCIAL FELES	A 096-750-000	A 096-999-999
ADJUSTMENTS	PHYSCIAL FELES	A 097-000-000	A 098-099-999
ADJUSTMENTS	PHYSCIAL FELES	A 098-100-000	A 099-099-999
Adjustments	PHYSCIAL TEZS	A 099-100-000	A 099-299-999
ABJUSTMENTS	PHYSCIAL FILES	A 099-300-000	A 099-999-999
IMPLOTMENT AUTHORIZATION DOCUMENT (EAD)	ELECTRONIC ONLY	A 100-000-000	A 199-999-999
ABJUSTMENTS	PHYSCIAL FELES	A 100-006-006	A 263-999-999
ROT ISSUED	not issued	A 204-000-000	A 2049-999-999
ADJUSTMENTS	PHYSCIAL FELES	A 205-900-000	A 205-999-999
NOT ISSUED	NOT ISSUED	A 206-000-000	<b>A 209-000-000</b>
ADJUSTMENTS	PHYSCIAL FEIRS	A 210-000-000	A 211-999-995
REFUCEES	PHVSCIAL FILES	A 312-000-000	A 212-399-999
ABJISTMENTS	Not issued	A 212-400-000	A 399-979-977
NOT (SSUED	NGT ISSUEB	A 300-390-300	A 300-299-999
ALUSTMENT	PHYSCIAL FILES	A 300-300-000	A 300-322-501
NOT ISSUED	Not issued	A 308-322-502	¥ 999-999-999

#### LEDGER:

CREWMAN: Fifteen and sixteen million series have been increased to Allen Stewman Landing Permit and Mennification Canda groups. The blocks of

numbers are assigned to officer itsuing such cards.

ELECTROMIC ONLY: No physical (activate are created).

PHYCIAL FILES: A-Summer with A-File Jackets

NOT 1558ED: The sumbers are not by used any Office or Program

VISA (SPATE DEPT): DoS is electronically assigned blocks of A-Rumbers that they assign to Vita packets.

#### 236

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### **APPENDIX J: 16 RULES OF CASE CREATE**

1. Read the entire request, including all requester documents and case supporting documents. Look for specific language on the bottom of the G-639. What are they requesting? This will give you direction before you start filling in the worksheet.

2. Search for duplicate cases before you fill out the worksheet. Search by A number, if provided, and the subject's first and last name. Send any duplicate cases and/or documents that belong to a previous case (such as CSD's, requester documents, or track changes) to the Research queue.

3. Make sure we have valid consent, and VOI (DOB and COB). If not, close as FC, including a Discussion of your reason for closing it. If you have a question, consult a supervisor.

4. <u>Do not</u> send out for requester docs if we have everything in rule 3. If you feel there are extenuating circumstances that require you to go out for additional information, you must get supervisor approval and case note the reason.

5. Search PCQS every time. Use the "*" symbol to search for double last names. Example, Juan Rodriguez Martinez would be searched under last name as "rodriguez*" This will catch every last name that ends with Rodriguez plus all other last names, including names that are hyphenated. Also set the parameters in PCQS so that it searches at least +/- 3 months on both sides of the birthday.

6. Cross-reference everything you find in PCQS with CIS. If there is a discrepancy between PCQS and CIS, seek out a supervisor for advice.

7. Always check the date of entry on the request. Always do a Records Indexing staffing on subjects who entered prior to 1975.

8. Always Staff, Redirect, or Refer cases based on what is responsive to the request, meaning what they ask for, and not necessarily what they provide. For example, if they ask for voluntary departure information in 1999, don't staff for a receipt file just because they listed it on the back of the G-639. It is not responsive to the request. Always refer to the track 1 and 2 flow charts if you are unsure how to proceed. Make sure you are addressing all of the request. If they ask for a copy of their I-94 and deportation records, you will need to RF them to CBP and include ICE information or vice versa.

9. Always use the address listed on the G-639. If you cannot read the address listed on the G-639, or the address is from a consular office, or 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 find no other

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address, insert a Discussion and send the case to Unit Chief. Don't forget to look for apartment or suite numbers, which are to the far right of Form G-639, and always double check the address.

10. Make sure you are marking the correct track and it matches the category. Specific requests for 3 documents or less are track 1 cases. You must add the specific language on the request (or as close as possible to their language) to the track 1 acknowledgment letter.

11. Make sure you address any Track 3, expedited or fee waiver requests. FOIA/PA assistants may approve or deny Track 3 requests. You must send expedited and fee waiver requests to Unit Chief for approval, or denial, and a supervisor will return it to you to create the letter. If the case is being closed as a NR, RD, RF, DP, or NA, you <u>do not</u> mark it as a track 3, expedited, or fee waiver request.

12. Do not staff for A files that have been lost for more than 9 months. Follow the instructions on the lost file flow chart. A files lost for less than 9 months should be staffed and pended per the instructions on the lost file flow chart, along with any other responsive files such as t-files and unconsolidated receipt files. Always remember to unmark the circular search field when you cancel a lost file staffing. Also, when you staff for additional files such as a receipt file or lost file, you must first uncheck circular search and hit save, then staff for the additional files, and then recheck the circular search field and hit save again. If you do not do this, the additional staffings will be marked as a lost file and the staffings will not get processed.

13. You must e-mail a supervisor when you change tracks on a case. Just changing the track and hitting save will not move the case to the appropriate queue.

14. Proofread your final action letters. Make sure what you are telling them makes sense. There are some final action letters such as FC letters and NA letters that you must change. Specifically, you will need to change the dates or you may need to remove certain paragraphs. You should not bold, highlight, or underline anything on any of the letters generated by FIPS.

15. Every time you move a case from one place to the next, you should create a Discussion. The Discussion should describe what actions you took. The Discussion should be short and to the point, but adequately describe any important facts or issues such as "closing as NR, searched CLAIMS, CIS, PCQS, sending screen prints to be scanned as CSD", or "Sending case to Unit Chief, NFTS is currently down", or "Switched tracks from track 1 to track 2, e-mailed supervisor to move to proper queue". Discussions are the first thing a supervisor reads and they should immediately be able to tell what actions have been taken in the case and what issue needs to be addressed.

16. Unit Chief is not an outlet for questions and should primarily be used after hours when no supervisor is available, or when there are system problems such as NFTS or PCQS outages. If you are stuck on a case, please leave your cube and seek out a supervisor. Please call by phone only as a last resort, because it is harder to give the correct advice without being able to see all the facts. You must include a Discussion in any case you send to Unit Chief. The Discussion

238

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must adequately describe the nature of the problem, or the supervisor will send the case back to you for clarification.

I have read these rules and understand them. I agree to seek clarification with my supervisor if it becomes necessary to deviate from these rules:

Signature: _____ Date: _____

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239

#### **FOREWORD**

The <u>FOIA/PA Assistant's Guide</u> 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  $\Rightarrow$  Preferences  $\Rightarrow$  Documents  $\Rightarrow$  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? ACD FOIA/PA Operations and your Supervisors direct how Paralegal Specialists, FOIA/PA Assistants and Office Automation personnel accomplish their missions. Through ACD Operations, Supervisors submit a new rule or procedure to ACD FOIA Program. At the direction of the ACD, 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 ACD Operations.

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.

a

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Record of Revision

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b

FOREWORD	a
THE FREEDOM OF INFORMATION ACT	1
THE PRIVACY ACT	., 1
WHAT ARE FOIA REQUESTS AND HOW DO WE GET THEM?	
WHO CAN MAKE A FOIA REQUEST?	2
SYSTEMS USED AND DESCRIPTION OF THE SYSTEMS	3
I Central Index System	3
1.1 Introduction Screen	3
1.2 TeleView Main Menu	., 4
1.3 CIS Login Screen	5
1.4 CIS Main Menu	
1.4.1 Search Menu Screen	7
1.4.2 Search by A-number (9101)	. 8
1.5 Sounds-Like Name Search (9102)	
1.6 Exact Name Search (9103)	
1.7 Alias (AKA) Name Search (9104)	
1.8 Sounds Like Name With Date of Birth (DOB) Search (9106)	
1.9 Card Search (9222)	
1.10 File Transfer Display (9504)	
1.11 Tables	
1.12 Tables Menu.	
1.13 Tables Information Screen	
1.14 Value Tables Browse Screen	
2. Computer Linked Application Information Management System	
2.1 Introduction	
2.2 Teleview Introduction Screen	
2.3 CLAIMS Selection Screen	
2.4 CLAIMS Function Screen	
2.5 CLAIMS Welcome Screen	
2.6 CLAIMS Logon Screen	
	.24
2.8 Inquiry Screen, searching with a Receipt Number	
2.9 Searching CLAIMS using a Name and Date of Birth.	
2.10 Searching with the A-Number	
2.11 Searching with the Petitioner's Name	
2.12 Search Results	30
2.13 Beneficiary Petition for Non Immigrant Worker	
3. National File Tracking System (NFTS)	
4. Person Centric Query Service (PCQS)	
5. FOIA/PA Information Processing System (FIPS)	38

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1

CREATING THE CASE	. 39
REQUESTER INFORMATION	. 41
SUBJECT INFORMATION	
1 Name	. 47
2. Alien Number	
3. Topic	. 48
CASE SPECIFICATIONS	
1. Track	. 49
Track 1	. 49
Track 2	. 50
Track 3	. 50
2. Type	. 52
3. Source	
4. Category	
Alien File	
Specific Documents	. 55
Personnel	. 55
Special Interest Group	. 55
SFR cases at NRC	. 56
5. Bureau	. 57
ICE	. 57
CIS	. 57
СВР	. 57
6. Is there a request for expedited treatment?	. 57
7. Is there a request for fee waiver?	. 61
8. Print to CD	. 62
9. Is this a delinquent requester?	
SEARCH FOR DUPLICATE CASES	
COPYING RECORDS FROM A CLOSED CASE	. 71
CONSENT, VERIFICATION OF IDENTITY, AND DESCRIPTION OF	
RECORDS	
Consent of parents or guardians	
Verification of Identity	
Reasonable Description of Records being Sought:	
Third party requests	. 83
Deceased subjects and the 100-year rule	. 84
CASE CREATE SITUATIONS/OTHER PROBLEMS	
REQUESTS: Foreign Consulate	
REQUESTS: Non-immigrant visa material	
REQUESTS: Routine use, no consent required, not FOIA	. 86
ii	

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REQUESTS	Bond obligor, no consent required, not USCIS FOIA	86
REQUESTS	A-number only	87
	Bracero Program	
REQUESTS	: Referrals and Consultations received from other agencies	88
REQUESTS	: USCIS personnel information	89
REQUESTS	Official Personnel File	89
REQUESTS	Red Cross / Last known address	90
REQUESTS	Federal, state, local agencies	90
REQUESTS	Return of original documents	91
REQUESTS	: Privacy Act Amendment	91
SITUATIO	N: Untranslated Foreign Language Documents	92
SITUATIO	N: Congressional correspondence	92
SITUATIO	N: Appeals	92
SITUATIO	N: New requests received on the I-694	93
	N: Subpoena or court order	
SITUATIO	N: Certification of record	94
SITUATIO	N: Certification of record for dual Italian citizenship	95
SITUATIO	N: Record at National Archives and Records Administration (NARA)	95
SITUATIO	N: Old records	96
<b>REFERRAL</b>	AND REDIRECTION	97
Referral		97
Redirection		. 101
Entry/Exit I	nformation referral to CBP	. 101
	bl referral to CBP	
Personnel/hi	ring practices/vacancy announcements	. 102
US-VT refe	rral to US Visit	. 102
DETERMINI	NG TO STAFF BASED ON BEST INFORMATION AVAILABLI	E:
	URITY NUMBER	
<b>STAFFING F</b>	OR THE RESPONSIVE RECORDS	. 104
	Alien Number	
One A-nu	mber provided on the request (with example staffing)	105
1. Oj	pen NFTS	, 106
2. St	bmit your location	. 107
3. Se	lect "Inquiry"	, 108
	elect "ALL Converted Offices"	
	ne search result	
	Blued in" information	
	ne FOIA Operations Division Intranet Page	
8. Tl	ne RPC Reference Guide	112

iii

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9. The FCO List	113
10. Figuring out a Staffing Scenario	114
11. Generate the staffing sheet	
12. FIPS – Staffing Request dialog box	
13. Create the customized staffing letter.	
14. Put the staffing information in the staffing letter	
15. Save changes and check it back in	
Two or more A-numbers	
Consolidated A-numbers	126
Border crossing card number	127
EAD numbers (100,000,000 through 149,999,999)	127
New alien numbers (300,300,000 through 300,322,501)	128
Receipt numbers	128
Archives and Records Centers Information System (ARCIS)	128
Staffing Scenarios	129
Digitized files	129
Files Lost or Not Found LESS THAN NINE MONTHS	130
Files Lost or Not Found MORE THAN NINE MONTHS	137
Staffing FAQ's	140
Records Indexing / Manual Requests	
No Record, the RAFACS-only staffing scenario:	141
A-number in CIS but not in NFTS	144
ICE files	14 <b>4</b>
SAC locations	145
LESC (LSC) records	145
T-files	145
Receipt files	
Archived receipts	
Receipt files; Lost receipt file, File destroyed or File cannot locate	
REASSIGN OFFICE	
CLOSING A CASE AS "NA:FOIA or PA not applicable:"	
ER (created in error) CASE CLOSINGS	
FC (failure to comply) CASE CLOSINGS	
MARKING A DOCUMENT "DO NOT SEND"	
ACKNOWLEDGEMENT LETTERS	
DISCUSSIONS	161
CHANGING A REQ TO A CSD	
TROUBLESHOOTING WORK FROM THE OA ROOM	
TROUBLESHOOTING WORK TO THE OA ROOM	
FOIA MAILBOXES:	164

iv

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THE OA ROOM (NRC, FOIAOA)	164
MSB (NRC, NRCFOIAMSB)	165
FIPS PROBLEM (NRC, FIPSPROBLEM)	
FOIA FILE REQUEST (NRC, FOIAFILEREQ)	166
E-MAIL TO CUSTOMERS	
MAIL	166
	166
Interim Interest Letters	166
Acknowledgement letters.	167
Final Action Letters	
CDs	168
DIRECT MAIL:	169
Mail concerning Track 3 or expedited treatment	170
Requester documentation / additional information	
Request for change of address	171
Status letters	172
Withdrawal of a FOIA/PA request	173
Mail received in a foreign language	
BLANK TAPES/CD's	
VIDEO REPRODUCTION	
CONGRESSIONAL REQUESTS AND APPEALS	174
INCORRECT PAGE COUNTS:	
ALIEN'S STATUS VERIFICATION LETTERS:	175
INQUIRY FOR FILE REVIEW:	175
RECORDS LOCATOR QUEUE	
REPENDING IN RECORDS LOCATOR QUEUE	180
CHANGING THE TRACK OF A CASE	181
<b>RESPONSIVE RECORDS SCANNED IN WITH STAFFING RESPONSE</b>	181
CASES NEEDING ACKNOWLEDGEMENT LETTERS	182
RE-STAFFING	182
FOIA SAFE	182
IN TRANSIT FILES	183
MODIFICATION OF RECEIPT DATES.	183
MSB DIRECTED PROJECTS	183
APPENDIX A: PHONE NUMBERS	184
APPENDIX B: ADDRESSES	185
MAILING ADDRESS OF NRC:	
PHYSICAL LOCATION OF NRC:	
MAILING ADDRESS OF NBC:	
MAILING ADDRESS OF CBP:	

v

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MAILING ADDRESS OF ICE	
MAILING ADDRESS OF NATIONAL VISA CENTER:	
MAILING ADDRESS FOR APPEALS	
APPENDIX C: NATIONAL VISA CENTER VALID CONSULAT	<b>FE PREFIX</b>
CODES	
APPENDIX D: CASE CLOSING CODES	
APPENDIX E: FORMS	
APPENDIX F: USEFUL ACRONYMS	
APPENDIX G: DEFINITIONS	

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vi

#### 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 statue 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 <u>"CONSENT RELATING TO RECORDS CONCERNING A MINOR OR PERSON JUDICIALLY DETERMINED TO BE INCOMPETENT"</u> 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 <u>"THIRD PARTY REQUESTS"</u> in this guide.
- Media requesters are typically accredited members of the media.
- Bond obligors, companies who posted <u>immigration</u> 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 <u>"IMMIGRATION BOND OBLIGORS"</u> 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.

2

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#### 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

n n n e d	Erogram Options Window Help Erogram Options Window Help Environment Help	
MODEL : LUO -2/2 Lunahe: J5NRC1AA Command ====> 30	DAL CA-TELEVIEW 4.4	USERID: NRC02916 ESCAPE: PA1
Sesnum System	Application Status	Remarks Description
1 HELP	Available	TeleView Help Facility
2 MSG	Available	TeleView Hessage Facility
3 NEWS	Available	Help & News Nenu
4 J406IDMS	Available	RAPS APSS EOIR
5 J427IDMS	Available	FOIA/NACS STSC/MFAS/RNACS
6 J479IDMS	Available	CLAIMS
7 J427CICS	Available	DAL ROPES
S J504CICS	Available	WDC ROPES
9 J537IDMS	Available	AR11
10 J534IDMS	Available	CIS
11 J527IDMS	Available	PICS/ADMIN SYSTEMS DACS
	7 PAGE UP PF8 PAGE DOWN PF9	NOTEPAD PF10 ERASE NOTES
270		
JD.WS,		<b>R</b> 8 1314 () 7.25 AM

The number selected to access CIS will vary for each computer.

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#### 1.3 CIS Login Screen

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0000000000	IIIII	\$\$\$\$\$\$	\$\$\$\$
20000000	IIIII	SSSSS	
σεσοσοσο	IIIII	SSSSS	
CCCCCCCCC WELCOME TO TH	E CENTRAL	INDEX SYSTEM	
σεσεσεσ	IIIII	SSSSS	
0000000	IIIII	\$\$\$\$\$\$\$\$\$\$\$	555
0000000	IIIII	SSSSSSSS	SSSSS
2222222	IIIII		SSSSSSS
CCCCCCCC CHECK NEWS SC	REEN ON A	REGULAR BASIS !!	SSSS
0000000000			SSSS
CCCCCCCCC LAST NEWS SCR	EEN CHANGE	: 06 28 2005-15:2	O EST SSS
000000000	IIIII		SSSS
0000000000	IIIII		SSSS
000000000000000000000000000000000000000	IIIII	SSSSS	SSSS
0000000000	IIIII	SSSSSSSSSSSS	SSSSSS
000000000000000000000000000000000000000	IIIII	\$\$\$\$\$\$\$\$\$	5555
PRESS ENTER TO PROCEED TO IIA 3270	IN MENU		PF5 CIS CURRENT NEWS
DOJDAWS			R\$\$#44`) 250M

This is the screen used to navigate through CIS. Pressing enter can access the main menu for CIS.

5

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#### 1.4 CIS Main Menu

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	CIMMEN IMMIGRATION AND NATURALI		10/18/05
	COMNAND: CENTRAL INDEX SYSTEM	MAIN NENU	09:56:36
	(91) SEARCH THE DATA	A BASE	
	(92) DISPLAY DATA		
	(93) ADD TRANSACTIO	NS	
-	(94) RECORD MAINTEN	ANCE	
	(95) A FILE TRANSFE	R SUBSYSTEM	
	🐲 SELECT TRANSACTION NUMBER	. THEN PRESS ENTER KEY	
	CLEAR EXIT P	F5 HELP	
3	3270		
td	tchboard 🔢 Input Form 📴 CISResource Guide	C C C C C C C C C C C C C C C C C C C	🖉 🕅 🔄 🔿 🤄 9:02 AM

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.

6

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#### 1.4.1 Search Menu Screen

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	• • • • • • • • •	
CIMSEA IMMIGRATION AND NATURA	LIZATION SERVICE	10/18 05
COMMAND: CENTRAL INDEX SYSTEM	- SEARCH MENU	10:02:06
A#: 00000000 HAME:	D	05: 0000000
(01) ID #:		
(A/AA AB`C/DA/DL/FB/FP/I'PP/SS/TD	) OTHER MENU SELECTI	01/5
(02) SOUNDS-LIKE NAME	(92) DATA DISPLAY MENU	
(03) EXACT NAME	(93) ADD TRANSACTIONS M	IENU
(04) AKA (ALIAS) NAME	(94) RECORD MAINTENANCE	MENU
(05) LAPS EXACT NANE	(95) FILE TRANSFER SUBS	YSTEN MENU
(06) SOUNDS LIKE NAME WITH DOB		
(11) NANUAL SEARCH REQUEST (MR)		
(12) NANUAL SEARCH RESPONSE (SR)		
(15) ON LINE A NUMBER REPORT REQUEST		
SELECT TRANSACTION NUMBER. PRESS PREFI	ENTER. FOR ID # SEARCH X and the ID # (Eg. A123	
CLEAR EXIT PF5 HELP	PF6 CIS MAIN MENU	
3270		
tchboard 🔯 Input Form 🐑 CISRessourceGuide	<b>3</b> 8	년:3월관 ¹ ) 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 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.

7

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#### 1.4.2 Search by A-number (9101)

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FIRST				NATZ DAI	E:
HIDDLE				COUR	RT :
ALIASES:				LOCATIO	)N :
SEX:	POE :	COB:	DOE:		
FCO:	COR:	COC:		FATHER:	
PFC0:	SFC0:	DF0:	BIN:	10THER:	
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PASSPORT					
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DRIVER LI					
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OVER-KEY	το# το οτ	SPLAY NEW PER	SON. PRESS ENTER. CLI	AR EXIT PF:	L NEXT COUS A#
	CONS A#		PF4 RETURN PF5 HELP P		PFB HISTORY
					EAD PF11 EOIR
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tchboard 🛛 🖉	jinput Form	() CISReso	ourceGuide	21	MAEO.e (14.14.19.03 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 listed (other 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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#### 1.5 Sounds-Like Name Search (9102)

File Edit Session Transfer Prov		X 5 _
	日日外回回 (日日日 53	
· · · · · · · · · · · · · · · · · · ·	RATION AND NATURALIZATION SERVICE	10/18/05
	INDEX SYSTEM - "SOUNDS LIKE" SEARCH	10:09:04
* LAST NAME:		IARS MAX)
FIRST NAME:	(25 C)	IARS MAX)
LAST NAME MATCH:	(NUMBER OF EXACT CHARACTERS TO MATCH (	(0-9))
FIRST NAME MATCH:	(NUMBER OF EXACT CHARACTERS TO MATCH (	
PREVIEW NAME:	(YIN)	
EXACT DOB:	(HNDDYYYY)	
DOB RANGE:	(DATE RANGE YYYYR; YYYY YEAR. R O 9)	
COB:	(5-CHARACTER COUNTRY CODE)	
COC	(5 CHARACTER COUNTRY CODE)	
POE:	(3-CHARACTER PORT OF ENTRY CODE)	
DOE	(HNDDYYYY)	
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" SEA	RCH
CLEAR EXIT PF3 RE	FRESH PF4 MENU PF5 HELP PF6 MAIN	MENU
3270		
tchboard 🚟 input Form 🕷	E]CISResourceGuide	ALDE C RELAK

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.

9

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#### 1.6 Exact Name Search (9103)

전 ASIB DODERANSOD ASIA 김 Elle Edit Session Transfer Program	n <u>O</u> ptions <u>Window</u> ⊟elp	
		3
CIMEXA INNIGRA	TION AND NATURALIZATION SERVICE	12/15/05
COMMAND: 3383 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:	(HHDDYYYY)	
DOB RANGE:		R=0-9)
C 0 B :		
C 0 C :		
POE:		
DOE :	(HHDDYYYY)	
COA:	(3-CHARACTER CLASS OF ADMISSION )	
FC0: SEX:	(3 CHARACTER FILES CONTROL OFFICE (N F)	
* LAST NAME AND FIRST WAM	E ARE REQUIRED FIELDS. OTHERS AR	E OPTIONAL.
	ERIA, THEN PRESS ENTER TO INITIAT	
CL	EAR EXIT PF3 REFRESH	
PF4 MENU PF5 HE	LP PEG MAIN MENU PE9 S	OUNDS LIKE SEARCH
ptonDoc Nrcdtall on Nrcr 18]CI	ResourceGuide	st N M D <b>U U</b> 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.

10

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#### 1.7 Alias (AKA) Name Search (9104)

Coloria (acconsistence acconsistence) 🖓 File Edit Session Diantific Brogram Octions	Mindow Belp
CIHALI INHIGRATION Command: <mark>Migga</mark> Central Index S	AND NATURALIZATION SERVICE 01/30/06 Ystem - Alias (Aka) name search 12:56:45
RKA/NEE LAST NAME: Aka/Nee First Name:	(40 CHARS MAX) (25-Chars Max)
	NBER OF EXACT CHARACTERS TO NATCH (0 9)) MBER OF EXACT CHARACTERS TO MATCH (0 9))
DOB RANGE: (DA	DDYYYY) TE RANGE = YYYYR; YYYY=YEAR, R=0-9) Character Country Code)
POE: (3-	CHARACTER COUNTRY CODE) Character Port of Entry Code) Ddyyyy)
	CHARACTER CLASS OF ADMISSION CODE) CHARACTER FILES CONTROL OFFICE CODE) F)
AND ON ALIASES CONTAINING BOTH F	T-NAME-ONLY ALIASES, ON LAST-NAME-ONLY ALIASES, IRST AND LAST NAMES. OTHER FIELDS ARE OPTIONAL. N 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.

11

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#### 1.8 Sounds Like Name With Date of Birth (DOB) Search (9106)

A2B [DBSD3:MSD DBSD3:WCD] i_⊡× (4) Ele Edit Session Transfer Brogram Options Mindow Help e × ₿ B ¢0 œ. *е*Щ CINDSND IMMIGRATION AND NATURALIZATION SERVICE 08 03/06 COMMAND: 9108 CENTRAL INDEX SYSTEM - "SOUNDS LIKE" NAME 09:25:07 WITH DATE OF BIRTH (DOB) SEARCH (40-CHARS MAX) LAST NAME: FIRST NAME (25 CHARS MAX) EXACT DOB: (MNDDYYYY; YYYY YEAR; HM MONTH: DD DAY) DOB YEAR RANGE (YYYYR: R 0 9) DOB MONTH RANGE RR = 0 - 12)(YYYYMMRR; DOB DAY RANGE: (YYYYHHDDRR; 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)) C05: (COUNTRY CODE) COR: (CLASS OF ADMISSION CODE) COC: (COUNTRY OF CITIZENSHIP) FCO (FILES CONTROL OFFICE CODE) (PORT OF ENTRY CODE) POF-SEX (H/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 HAIN HENU 3270 

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.

12

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#### 1.9 Card Search (9222)

(*************************************	P	x <u>-</u> - X
CIMCARD IN#IGRATION AND NATUR COMMAND: <mark>9968</mark> Central Index System - Arr	ALIZATION SERVICE /BC CARD DISPLAY (CARD)	
A#: 01	, FRANCIS	DOG: 0809#######
LEGAL PERHANENT RE	SIDENT	
CARD NAME: TAYLOR, FRANCIS E. INS A# 0 CATEGORY: SEX: COB:	BIRTHDAT Card# Permanent resident sinc Card expire	SRCO
C1 USA OMANANA SRCOG Taylor "Francis"Edwin		
MOTHER'S NAME: EDWINA Card Port of Entry: Bal	FATHER'S NAME: ZACHI	US
CLEAR EXIT PF4 DISPLAY MENU PF5 HELP 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.

13

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#### 1.10 File Transfer Display (9504)

ALE DUSES AND DUSES WOR (4 Ede Edd Session Transfer Program Options Mundow Help **₽**Ш R_d He P ¢Ш **∦**⊞ 02E-SAVE CIMFTD INHIGRATION AND NATURALIZATION SERVICE 08/01/06 COMMAND: 8884 CIS FILE TRANSFER DISPLAY (FTD) 11:33:03 A#: MANE: TAYLOR , FRANCIS 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 (MIDDYYYY) ACCESSION NUMBER: 0000 DATE FTI: 01242006 INS BOX NUMBER: DATE FTC: 02022006 **REQUEST NUMBER:** PERSON'ACTION: 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 OVA

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

14

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#### 1.11 <u>Tables</u>



The <u>Tables</u> 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 <u>tables</u>. The next screen displayed will be the <u>Tables Menu Screen</u>.

15

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#### 1.12 Tables Menu

A A LE [D] S D DA A S D D H S D A A A D (*] Ele Ede Sesson Transfer Frygram Options Endow Belg	×
TBXSELNU INS STANDARD TABLES DATABASE FACILITY 09/15/06	
11ENU SCREEN 08:40:48	
COMMAND ===> (VADAD. LODAD, TBINF, VAINF. OR LOINF)	
TABLE ID: (NUST ENTER FOR PF1 AND PF2) Search value:	
ENTERPROCESS COMMAND	
PF1SINGLE LOCATION/VALUE TABLE SCREEN	
PF2 LOCATION/VALUE TABLES BROWSE SCREEN	
PF3 REFRESH	
PF4 PREVIOUS SCREEN	
PF5HELP	
PF7LIST TABLES	
PF8 EXIT	
T6100001 USER AUTHORIZED TO PERFORM DISPLAY FUNCTIONS ONLY 3270	
hún ôγa.	

Placing the cursor in the <u>Table ID</u> field and pressing the function key PF7 a list of tables is displayed.

16

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#### 1.13 Tables Information Screen

(¶ Ele Edit Ses	RANKIDEDISIDE sion Transfer Brog	WADI tem Opuoles Mindow H	elp.	
			aas b	
TBXTBINF	INS		DATABASE FACILITY	PAGE 09'15 06
		TABLE INFORMAT	ION SCREEN	0001 08:46:07
COMM	AND	(SELMU, VAD	RD, LODAD. VAINE, OR I	LOINF)
SEL ONE	TABLE ID	TABLE TYPE	TABLE DES	CRIPTION
	ADIX	VAL	ADJUSTNENT OF STATU	S CODES
	AFAC	VAL	CIS/AFAC FCO CODE TO	R <b>G</b> L E
	AIRX	LOC	INTERNATIONAL/MUNIC:	IPAL AIRPORTS
	ASC	LOC	APPLICATION SUPPORT	CENTERS
	ASIL	LOC	ASYLUM INTERVIEW OF	FICES
	ASYL	LOC	ASYLUN OFFICES	
	брна	LOC	HEADQUARTERS	
	BPHX	VAL	BORDER PATROL SECTOR	R CODES
	BPSH	LOC	BORDER PATROL SECTOR	R HEADQTRS
	BPST	LOC	BORDER PATROL STATIO	ONS
	BPSX	VAL	<b>BORDER PATROL STATIO</b>	ON CODES
	CCDI	VAL	INS/DOS USCS COUNTRY	Y CODE DISCREPS
	PF1	PF2 PF4	PF6 PF8	
	PGFRWD P	GBWRD PREVISCN	NENU EXIT	
F6100043 S 3270	ELECT ONE RE	CORD OR TRY OTHER	FUNCTIONS	
				NUN 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.

17

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#### 1.14 Value Tables Browse Screen

	EDEALXOD Zisgrum Opticas Zindow He	
	፼₽₽₽	
TBXVAINF	INS STANDARD TABLES D	ATABASE FACILITY PAGE 09'15 06
	VALUE TABLES BRO	WSE SCREEN 0014 08:56:10
COMMAND	(SELMU, VADA	D, LODAD. TEINF, OR LOINF)
TABLE ID: A	ADJX TABLE DESC: AD	JUSTHENT OF STATUS CODES
SEL SEARCH VALUE	VALID CODE	TABLE TEXT
167	IB7	SLF PETITION CHILD OF USC
IB8	IB8	CHILD OF IB6
1C6	ICE	INDOCHINESE REFUGEE
IC7	I C 7	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
IRO	IRO	PARENT OF U. S. CITIZEN
IR6	X R E	SPOUSE OF CITIZEN
IR7	IR7	CHILD OF CITIZEN
IR8	IR8	ORPHAN ADOPTED ABROAD BY CITZ
PF1	PF2 PF4	PF6 PF8
PGFRWD P(	GBWRD PREVISCN M	ENU EXIT
3270	E RECORD OR TRY OTHER	
		nun ovr

Read the screen in its entirety for navigation instruction and additional information.

18

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### 2. Computer Linked Application Information Management System

### 2.1 Introduction

The Computer Linked Application Information Management Systesm (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

4권 Ele: Edit: Session Transfer: Program Options Window Help:
VERNING. This computer system is the property of the United States
Department of the take. The legariment may mentler any activaty on the system
and search and retrieve any information stored within the system. By
incersing and using this seminiter, yes are concenting to spening intering and
artonmathor retrieval for law enforcement and other purcoses. Users should
have no experiation of privaty as to any communication on on information
stored untrim the system, in lighting of control stored on the network and second lightly as the second discussion when write is a store size with the
stoned locally on the hand drive on other media in use with this unit. (e.g., though drives, (D.E.CM), et .).
(0.1), (1.0)/ (0.1)(0.1) (0.1), (0.1)). (0.1)(0.1)(0.1) (0.2)(0.1)(0.1) (0.2)(1.1)(0.1)(0.1)(0.1)).
UN APARA TA LEELEE IN ELEELE WAS TA ELEELE WAS THE
CC RA AA TT EE LL EE YV V/ II EE NV IN
o an na thatta is the work in the work w
DC AF AA TT EE LL EE LA A IEE LWW WWW
CMACONCON IT DEEDEE LULUU EDEEDE INVALI IT EDEEDE WALLAW
"HULULUH
}- A} USERI[ =====>
nen nen Lennskole)
NE1 >+S310R[ ==>
TRUTZ NEU POLIDON
25] = H5,F − 5F2 = TTM5 − 5F3 = J(G)5F
ARM WHURMI ENTER PROJECU CLEAR REPRESE
270
CAPSHUMOVR

This screen is the introduction to TeleView. From this screen, use the designated UserID (NRC####A) and Password to sign onto the database.

19

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### 2.3 CLAIMS Selection Screen

COMMENDS	ENVIRONMENT FR	
MODEL LUO Z Lunhme Jonku		4 4 USERID NRC7206A ESCHPE PHI
CONMEND> e	į	
esnum Dystem	Application Status	Remarks () Description
] - ⊢ ŀ	⊣∵arlatl≏	Teleview Help Hacility
2 MSG 3 News	dy at lat le	ieleView Message Hasility Hair / Maya Masi
CONTRACTORS	nkarlable nkarlable	Help & News Menu ROPS-OPSS-FOIR
5 J427I0MS	ने, त:ो त:ो -	FOTA/NACS/STSC/MEAS/PNATS
6 74791085	से⊽सः] क्षेत्र	CLAINS
/ 1422010S	Hvarlatie	DH KUNFC
8 15040200	hvarlable	WDC ROPES
2 MG17621 6	n a lakie	ORII
10 JS3410MS 11 JS2710M2	ोरतो तरी व नेरती तरी व	CLS PLOS/ADMEN SYSTEMS/DACS
.1 0.0711007	1, (4, 1, -4, 1, -	
514 MF 0 0F04 F	ND PE7= PAGE IP PER= PAGE DOWN R	229= NOTEPAD PEIDE ERASE NOTES

The number selected to access CLAIMS can vary for each computer.

20

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### 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.

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21

### 2.5 CLAIMS Welcome Screen

A202 (DESIERVED ADESIERVED)		<u> </u> ⊒
성 Ble Edit Sesson Transfer Program Options Window []][15][16][16][17][16][17][16][17][17][17][17][17][17][17][17][17][17		_  #  ×
EGXNINEWS DIATMO MATNERAHEL SYSTE News Sorfen		1271572105 08:55
WELCOME TO THE COMPUTER LINKED PERLECTION E	NFORMATION MANAGEMENT	CYDTEM
{ [ . F T M S ] **** **** **** ****	de de se de serve de serverde se	уу жа
	**** **** ***	
PRESS ENTER TO LOGON OR PES TI EXIT		
	PHE 10 30 FF	
3270		
		NUMOVR

Press enter from here to get to the logon screen.

22

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### 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.

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### 2.7 CLAIMS Main Menu Screen

전사와 [PHISD3.WSD/DHISD3.WCD] 중 Ele Edit Sesson Transfer Brogram Options Window Hep	0 ×  _ 5 ×
	k
ESDLUNUI CENIUS METNEREME SYGTEM Metnimenu	1271572105 C8:57 NR072C86
1. COLLECTION & RECEIPTING - REPLICETIONS 2. COLLECTION & RECEIPTING - PETITIONS 3. COLLECTION & RECEIPTING - ECNES	
4. COLLECTION & RECEIPTING - FOIR 5. COLLECTION & RECEIPTING - FRIMARM ACT 6. COLLECTION & RECEIPTING - MISCELLANED S	
7. TNOUTRY/UPDATE PROCESSING 8. GENERATE PEPCRIS	
9. MAINTAIN CYCTEM FILES 10. Management status reports 11. Case status ing uppy/t-page sponsor ing upy	
12. PRINT DELAYED/CUPLICATE APPROVAL NOTICES 13. EMPLOYMENT HUTHORIZATION DICOMENT PROCESSING 14. SCHEDULING/CARD PROJUCTION PROCESSING 15. FD258 FINGERPRINT TRACKING INQUERY	
ENTER SELECTION: 7 NELCOME TO THE CLAIMS MAINERAME SYSTEM, PLEASE NAME A SELECTION.	чичи _т тттт, чичичи
263 _CGDFF 3270	
	NUM OVR

From the Main Menu type the number for INQUIRY/UPDATE PROCESSING and press enter.

24

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### 2.8 Inquiry Screen, searching with a Receipt Number

Ele Edit Sesson Transfer Program Options Window E Ele Ed		→回× →通× →通× 12/15/2:05 03:54 MRC71036
1. RECEIPT NOUS CROOKSPROAS		с стататата 1990 - Солонико статата 1990 - Солонико статата 1990 - Солонико статата
(SELECTIONS EELOW FIR OPPLICATIONS	CIND PETETEONS ON	ILV)
21 - U.STR (1);	i)) ; []]	MM [®] (U.U.f.)
BENEFICIARY APPLICANT NOMEL (LOSE) BERTH DOTE (MMEDICAN)	(FERCT)	
4 ANN™REP: A		
S REFERENCE NO.:		
6 PETITIONER NAME (LAST)	(FIRST)	9 4 4 4 4 4 4 4 4 4 4 4 4 4 4 4 4 4 4 4
PER PER PER PER PER PER PER PER PER CANCEL MAIN MENU LOGOFE REMOTE POT LPC 0270		PF12 PD BH ROPT Numovr

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.

25

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### 2.9 Searching CLAIMS using a Name and Date of Birth

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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.

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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.

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### 2.10 Searching with the A-Number

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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 eightdigit 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.

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### 2.11 Searching with the Petitioner's Name

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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.

29

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### 2.12 Search Results

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The screen print below is the result of a search. The receipt shown is for an I-751, Petition to Remove Conditions on Residence.

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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)

30

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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.

31

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Updated on 3/14/2011

(b)(7)(e)

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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.

32

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### 2.13 Beneficiary Petition for Non Immigrant Worker

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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.

33

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To see the beneficiary information press F1.

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34

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To view the history, press the F4 key to return to the previous screen, and enter F11.

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35

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PF1 PF2 PF3 PF4 PG FWC PG BACK CANDEL PRIDR NEWU 3270	PEG PEA MAIN MENU LOGO	ΩFF

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 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

36

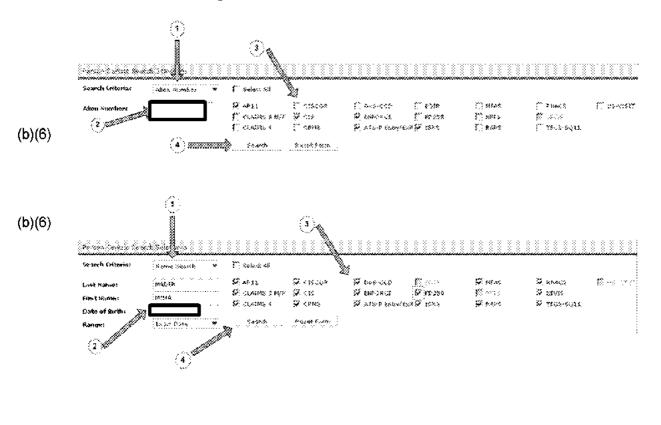
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that supports the National Records Center (NRC) and a centralization of agency records. You will learn much more about using NFTS in the Staffing section of this guide.

### 4. Person Centric Query Service (PCOS)

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 <u>https://pcq.esb.uscis.dhs.gov/</u> and click on the Users Guide link below the Warning.



37

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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.

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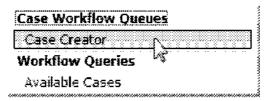
38

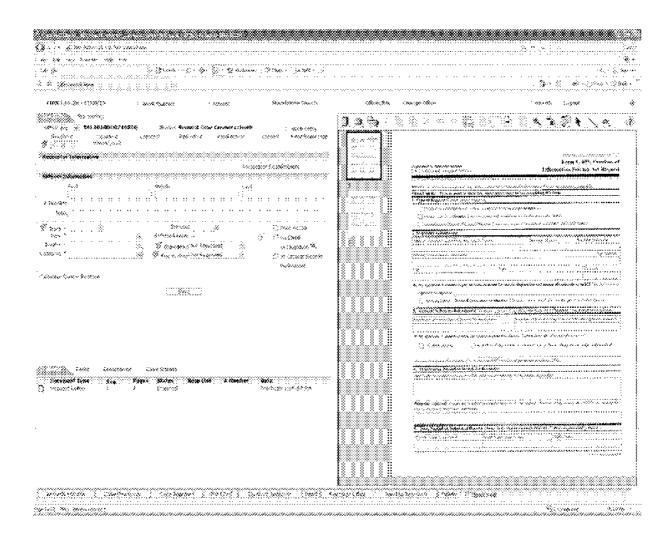
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### **CREATING THE CASE**

FIPS 7.00.90 - 07/28/2010

V Work Queries





39

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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:

40

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### **REQUESTER INFORMATION**

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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.
- Do not hyphenate names.

41

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- Spell the name accurately. 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.
- If the subject does not provide a middle name or initial, enter "NMN" in the "Middle" field.
- 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.

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.

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 @, #, \$, %,  ,  &, *, (, ), =, +, [, ], {, },  $\{, \}, \setminus, <, >$ , or /.

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.

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,

42

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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.

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 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 New Mexico Palau Palmyra Atoll U.S. Virgin Islands Wake Island Micronesia

43

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A foreign address may be very long, and you may have to consult a supervisor to complete the address field correctly.

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.

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If you get any matches to your search, you will see a screen that looks like this:

44

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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:

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R		

And it will populate the requester information like this:

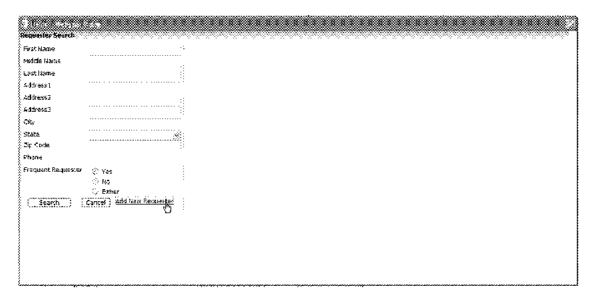
45

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Requester Infor	mation					
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If you do **not** find a match, you will have to add a new requester by selecting Add New Requester:

(b)(6)



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.

46

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(Save) Cancel		

### **SUBJECT INFORMATION**

After saving, look to see if this is a self-request. If so, you can copy the Requester Information to the Subject:

Requester Information	
C G Culpepper	Edit Requester
	Change Requester
	Copy to Subject

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.

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#### 1. Name

(b)(6)

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).

47

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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.

### 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. You should always check the A-number in CIS to be sure it belongs to the correct subject. If the alien provided us with more than one A-Number, please separate these numbers with a comma. 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.

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.

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

If the alien is requesting a receipt number, enter the information in the following format:

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Correct: MSC0412360000

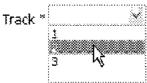
Incorrect: MSC-04-123-60000

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 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 <u>CIS Personnel Information</u> 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.

### **CASE SPECIFICATIONS**

1. Track



**Track 1** – Requests for receipt files and requests for partial records such as a specific document. A specific document request consists of <u>three documents or less</u> (except asylum or refugee requests, which you should create under category **Alien File** and assign to Track 2).

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.

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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.

**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 <u>more than three</u> documents on the G-639, please select the category **Alien File** and make the case a Track 2.

**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.

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.

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.

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.

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

50

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Track 3 processing or expedited processing, but never both on the same case. For expedited processing guidelines, please refer to <u>"Expedited Treatment"</u> in this guide.

Track 3 processing is <u>not</u> "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.

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.

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

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. If you are not sure whether to approve or deny Track 3, please consult your supervisor.

If you assign the case to Track 3, ensure you put the words "TRACK 3" at the top of the staffing sheet.

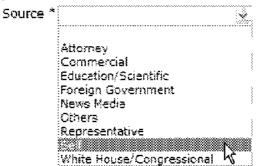
If the requested file has already been scanned because of a prior FOIA request that has now been resubmitted for Track 3 processing, do not create the case. You should send the case to Research, where they will attach the new request to the existing case as a CSD. If Track 3 processing has been approved, you have to change the track on the original case to Track 3.

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2. Type Type * Privacy Act Raguest Referral FOIA Request Referral Privacy Act Privacy Act Amendment Referral PA Amendment

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.

#### 3. 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.

#### 52

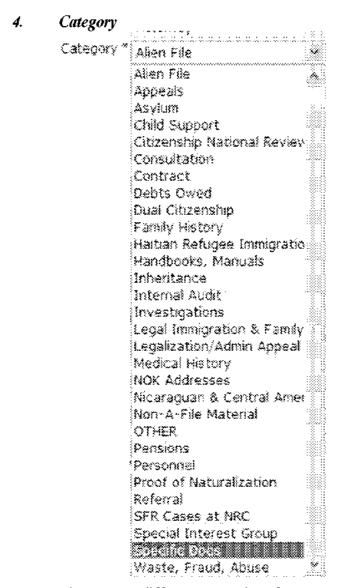
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- Representative The requester is an accredited representative under the provisions of 8 CFR 103.2(a)(3) and 292.1(a)(1) or 292.1(a)(4). On a G-28, the requester will have marked the box "Accredited Representative."
- Self This is a request from the 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.

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53



There are 30 different categories of requests. However, the most commonly used ones are:

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

54

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- 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

**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. 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.)

**Personnel** – The requester is seeking information relating to USCIS personnel matters.

**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.

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."

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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 staffing sheet or an acknowledgment letter. Prepare an e-mail explaining the situation for <u>NRC, FOIASIG</u>. Click "Reassign Office." Send the case to Unit 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. 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: <u>NRC, FOIASIG</u>.

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.

**OTHER:** Genealogy cases are requests for searches and/or copies of <u>historical</u> 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.
- 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. 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#

56

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- 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.

5. Bureau

Bureau CIS



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. <u>Note: If request is for entry/exit information and the requester/subject provided an alien number, staff for the file.</u>

#### 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.

57

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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)].

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. You should send the request to Research where they 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, creating a Blank Letter, and adding the following: 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, 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.
- 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.

58

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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.

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.

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	**
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Notice: 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 <u>TRACK 3 PROCEDURES</u>. In such a case, you should not mark "Expedited Treatment Requested" before sending it to Unit Chief.

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Processing

Successfully generated letter Expedited Treatment FOIA Denial.

Click on OK to continue.



A dialog box will pop up. Select "Save":

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My Recent	🔆 Favorites		APP2010000137_3_ONE_PA	AGE.
Documents	My Documer	its	APP2010000137_6_STAFFEI	NG
	NetHood		APP2010000137_9_STAFFI	NG_LOST
Same	्PrintHood		8412009000017_2_AK_F01	A
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My Network	Save as type:	All files	*	Cancel

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.

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

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effect on the cover sheet, and of course, in such a situation, you would not mark the child cases as expedited treatment requests.

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" <u>before you send the case to Up-front Approver</u>. 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."

#### 7. 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,
- 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.

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.

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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.

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."

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 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.

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" <u>before you send the case to Up-front Approver</u>. 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."

#### 8. Print to CD



🛄 PA Cited

🗄 In Litigation 🔍

🛄 In Circular Search

🗄 Delînquent

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

62

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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.

A few guidelines to follow:

- You should 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 (for requesters who are attorneys, the default is Print to CD).
- If the responsive records are already scanned in when you create the case, you will still check print to CD.
- 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 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)"
- 9. Is this a delinquent requester?
  Print To CD
  PA Cited
  In Litigation 
  In Circular Search
  Delinquent

63

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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	
Sage Morgan D&U% 123 Drive Lees Summit MC 540	 6) 555-5555 55 re@yahoo.com Copy to Subject

To view other cases for the same requester, click the Query icon next to the delinquent notice.

in the second	Requester Information				
	Sage Morgan (2613802002) 123 Drive Lees Summit NG 64086	query	(816) 555-5555 x5555 sage@yahoo.com	Copy to Subject	

The query results appear in a separate window.

	Query	Results
3 Delinquesi Ceses for	Requester resulte -	Webpage Dallog
		ame=sQry_getDelinquentCasesForCase&CASEID=8704 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

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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.

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).

If the case was processed after January 1, 2004 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. You will know the request was processed in FIPS Lite when you open the case because you will see a "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.

Next, to create the case, go to the Tasks tab and click:

Contents		Discussions	Case Actions	ŵ
Task		51	atus	
<u>Create Cas</u> Search Dr	<u>e</u> i Duplicate Cas	ses No	ot Started ot Started	

When you complete the case create process and the new case has a control number, FIPS will notate the delinquency on the worksheet.

**Do not staff for 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.

65

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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.

Records cocator (Case Processor ) Case Approver (Unit Chief (Lub-Inoni Approver (Fend)) Reassign Office (Send to Research (Delete ) (Open vert

Before you move to another part of the case create process, click:



#### 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).

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Ordinarily, you will get a blank result.

67

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

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:

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Updated on 3/14/2011

approval from the FOIA Officer

AILA Doc. No. 16102838. (Posted 10/28/16)

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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:

69

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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:

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Create a Final Action Letter and select final action code ER: Created in Error. After this, send the case to Up-front Approver.

70

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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).

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.

#### **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.

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Contents Discussion	ns Case Actions of	ç
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Acknowledgement Letter	Not Started	
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Blank Letter	Not Started	
Interest Letter	Not Started	
Expedited Denial Letter	Not Started	
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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. 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						
······	ontrol Number Scanned	Requester's Last Name	First Name		First Name	Middle Toj Name
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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:

72

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#### 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 <u>written</u> request by, or with the prior <u>written</u> 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.

#### Consent of parents or guardians

73

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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.

#### 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.

6 CFR § 5.21(d) Verification of Identity, says the requester must provide us:

- Full Name
- Current address
- Date of Birth
- Place of Birth
- Alien Registration Number (if known)

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** <u>ANY</u> **document**, and the subject of the file has signed the document, it fulfills the requirement to verify identity.

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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 <u>not</u> 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 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)".

75

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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: <u>O:\Foia\FOIA_LIBRARY\Case_Create_References\Case_Create_Template_Letters</u> or the form "Requester Documentation Attachment" located at: <u>O:\Foia\FOIA_LIBRARY\Case_Create_References\Case_Create_Template_Letters</u> or the form "Requester Documentation Attachment" located at: <u>O:\Foia\FOIA_LIBRARY\Case_Create_References\Case_Create_Template_Letters</u> \<u>Requester_Docs_Attachment</u>. Check the first box on the document.

#### **Reasonable Description of Records being Sought:**

If the requester did not provide all of the elements listed:

- Full Name
- Current address
- Date of Birth
- Place of Birth
- Alien Registration Number (if known)

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 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.

At this point, you will send an acknowledgment letter requesting additional information. You will not staff for a file.

Go to the "Tasks" tab and select "Acknowledgement Letter"

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Blank Letter	Not Started
Interest Letter	Hot Started
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Records Locator     Case Proce	issor 🕴 Case Approver 🕴 Unit Chief 🕴 Up-front Approver 🕴 Pend 🕴 Reason Office 🕴 5e -

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:

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We then click on "Generate Letter." Our only option at that point is to click OK:

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The acknowledgment letter will pop up:

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	U.S. Deposement of Rometond Security National Records Center P O Box 648010 Lee's Summit, MO 64064-8010
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- December 3, 2010	NRC2010000806
<ul> <li>Destring the allow the form;</li> <li>Destring the allow the form;</li> <li>Son Francisco, CA Stalli-3019</li> <li>Bear Marker, D. Desper y;</li> </ul>	
- . We received your request for information relating to Chris P. Bacon on Dece	mber 02, 2010.
<ul> <li>Your request is being handled under the provisions of the Freedom of Inform</li> <li>It has been assigned the following control number: NRC2010000806 Please</li> <li>correspondence about your request</li> </ul>	
We respond to requests on a first-in, first-out basis and on a multi-track system placed in the complex track (Track 2). You may wish to narrow your request order to be eligible for the faster track. To do so, please send a written reques document sought, to the address above. We will notify you if your request is	t to a specific document in π, identifying the specific
<ul> <li>In accordance with Department of Homeland Security Regulations (6 C F.R. deemed to constitute an agreement to pay any fees that may be chargeable up charged for searching for records sought at the respective cierical, profession. \$4,00/\$7,00(\$10.25 per quarter hour, and for duplication of copies at the rate 100 copies and two hours of search time are not charged, and the remaining c and duplication must exceed \$14.00 before we will charge you any fees. Mo fees, however, if fees in excess of \$25.00 are required, we will notify you before this office will be providing your records on a Compact Disc (CD) for use of The CD is readable on all computers through the use of Adobe Accobat softwore.</li> </ul>	to \$25.00. Fees may be al, and/or managenal rates of of \$.10 per copy. The first combined charges for search st requests do not require any
This office will be providing your records on a Compact Disc (CD) for use of The CD is readable on all computers through the use of Adobe Acrobat software Acrobat will be included on the CD. Your records can be secured on your can a second state of the second s	vare. A version of Adobe
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79

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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 individual is deceased, e.g. a copy of a death certificate or an bitmary. See 6 CFR §3.3(a).	
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Verification of Identify: 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 §1.746, 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).	30000
Verification of Identify: 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	30000
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	
N Subject's Application Petition Receipt Number	
Name of Subject's Parents	
📋 🧱 Other Names Used by Subject	
⁰⁰ Other: Name of the person who filed the petition to you, when it was filed, other	
All FOIA/PA related requests, including address changes, must be submitted in writing and be signed by the requester. Please include the NKC 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 \$16-350-5735 You may also submit FOIAPA related requests to our e-mail address at users. for address at	
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80

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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:

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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:

81

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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."

82

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When the requester provides the additional information, A FOIA/PA Assistant working in Records Locator queue will staff for the records.

#### 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 back to her for her husband's consent. In a situation like this, simply staff for the file and put a Discussion in FIPS that it is a third party request without

83

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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, USCIS assumes he or she is deceased and no proof of death is required.

84

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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), or in other situations to the MSB mailbox (NRC, NRCFOIAMSB).

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, please send the FOIA request to Up-front Approver to be closed as an ER and send an e-mail to <u>NRC, FOIAOA</u> 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.

#### **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

85

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allowing entry into the US. The subject visited Disney World and Cape Canaveral and entered at Orlando International Airport."

#### **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.

#### **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

86

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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

#### **REQUESTS:** A-number only

If a requester/subject is asking for his or her alien number <u>only</u>, 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 <u>slot</u> 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.

87

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#### **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.

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 ADMINSTRATION CIVIL REFERENCE 7th 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.

88

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Send the case to processor. Send an e-mail to the <u>MSB</u> 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.

#### **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, in the "Topic" field, enter the vacancy announcement number.

Records Locator | Case Processor | Case Soprover | Unit Chief | Ho-Front Approvel | Pend | Reassign Office | Send to Research | Delete | || Open dest

Click on the "Reassign Office" and select the HQS office. The case will be staffed when it is reassigned to the HQS queue. Send an e-mail to <u>NRC, FOIASIG</u> with the case information.

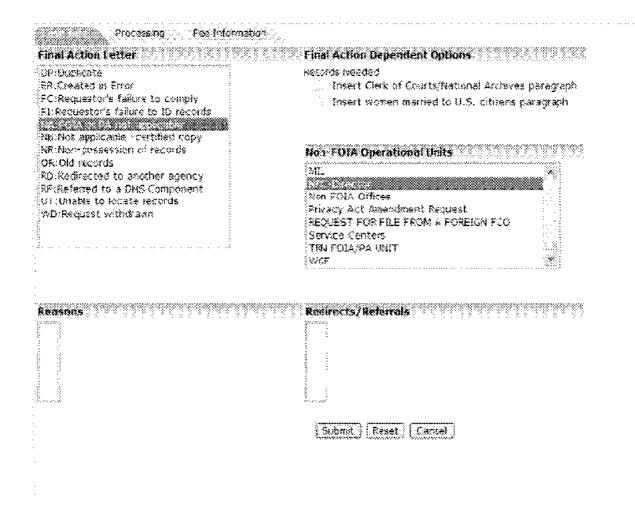
#### **REQUESTS: Official Personnel File**

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:

 $http://cbpnet.cbp.dhs.gov/xp/cbpnet/hrm/for_employees/info_about_you/eop_folder/eopf_logon.xml$ 

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.

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#### **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 <u>routine use</u> category.

#### 90

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#### **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.

#### **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.

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- 4. Prepare an email for <u>NRC, FOIASIG</u> and insert the case number in the body of the email.
- 5. Change the Office to "COW." Click "SAVE." Click "Reassign Office." You are now ready to move on to the next case.

#### 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, NRCFOIAMSB.
- 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.

#### 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 <u>MSB</u> 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**

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:

92

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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."

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### 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

- 93

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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 send it to Up-front Approver for closure as ER. Send a message to <u>NRC, FOIA PROGRAM; McDaniel, Marcia M</u> (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.

#### 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.

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

94

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1200 First Street, NE, 2nd Floor Washington, DC 20529-2204

#### 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:

If the requester's relative is deceased, he or she must submit the request to the <u>USCIS</u> <u>Genealogy Program</u>. 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 more than one hundred years ago, particularly if the request does not meet the criteria for a genealogy case.

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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 <u>Section 3. "Category of request" in the sub-paragraph "GEN.</u>"

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, <u>but</u> 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, 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.

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### **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 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.

97

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FIPS will automatically create two documents: A final action letter to the requester and a referral memorandum to the DHS component.

98

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99

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After you have done this for both documents, send the case to Up-front Approver.

100

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#### 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.

#### **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 9th 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.

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#### 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. Add a Discussion note that this appears to be a personnel-type FOIA request. Send an e-mail to <u>NRC, FOIASIG</u>. 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 should staff for the file. See <u>Entry/Exit CBP</u> information above.

### 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 Discussion explaining why you staffed for the file.

102

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#### 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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103

Updated on 3/14/2011

AILA Doc. No. 16102838. (Posted 10/28/16)

### **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.

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 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 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, 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 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.

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.

104

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If you pull a case that has a FOIA Safe staffing you should <u>NEVER</u> cancel the staffing sheet. Send the case to Pend.

#### 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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105

Updated on 3/14/2011

AILA Doc. No. 16102838. (Posted 10/28/16)

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106

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107

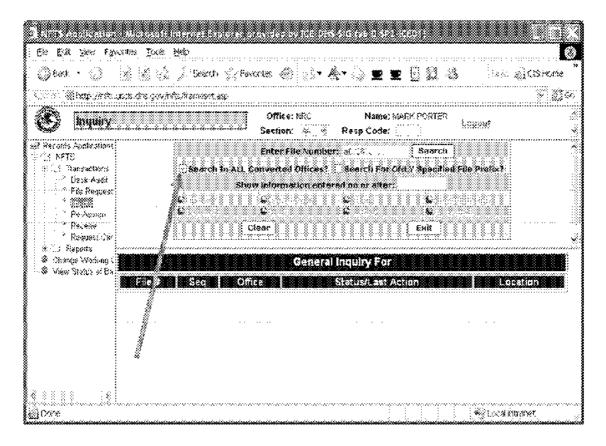
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108

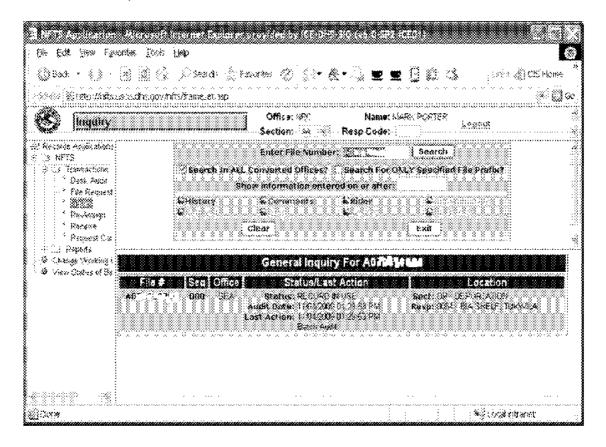
4. Select "ALL Converted Offices" and enter "A" or a "+" then enter the Anumber. Preferably, paste the copied number from CIS so you are sure you are asking for the correct file.



109

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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.



110

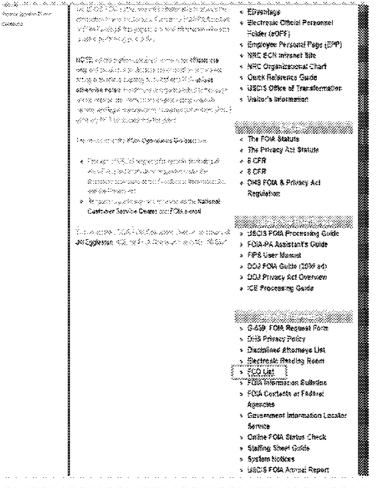
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#### 6. "Blued in" information

- 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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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.

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#### 9. The FCO List

From NFTS we know that the FCO is Seattle. We should check to be sure that if the FCO is SEA that we staff to SEA. It's not always intuitive. For example, you can see that we staff SEA to SEA, but you can also see that if the FCO is LAW we staff to BOS.

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#### 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.

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114

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#### 11. Generate the staffing sheet

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After we click on "Staffing" we get a "Generate Staffing Sheet" screen. 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.

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#### 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:

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116

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#### 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)."

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#### 117

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As soon as I clicked "SAVE," FIPS opened the staffing letter for me in Word.

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			U.S. Department of Homeland Security
			National Records Center P.O. Box 648010 Lees Summit, MO 64064-8010
			U.S. Citizenship and Immigration
			Services
	December 3. 1	2010	NR C2010009306
	MEMOP.ANI		
		DRO - SEA Seattle Deportation Asst.	
		206-835-0061	
		Bonty Wong	
		ATTN. Bonty Wong	
	FROM	NRC FOIA/PA	
	SUBJEC T	Ahen #: 012345678	reacy Act Request NRC2010000805
		Subject Name: Chris P. Bac	6D
		FOIA/PA request is forwarded ity your office will have record	to your office for action. Thue to the subject matter, there is a Is responsive to the request.
		nduct a thorough search for all of your office	responsive records physically in, and within the functional
	Send a co     REDACI		s to the FOIA office in their entirety. DO NOT MAKE
	explanatio		of that you believe should be withheld – Please include a brief Staff will not release those items so indicated without
•			this request should be staffed to another office, please
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118

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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.

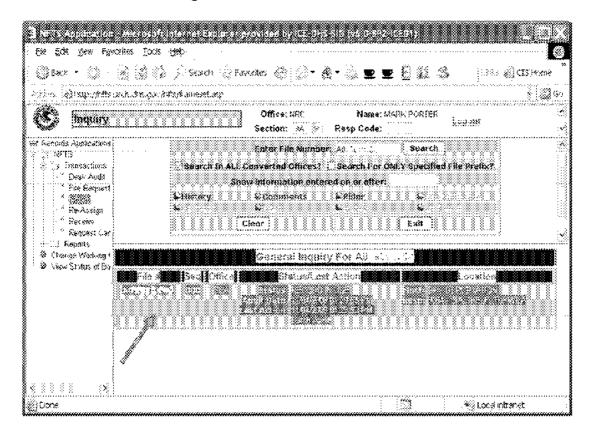
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	tron for withholding my responsive material.
	ustem number, title was search.
System	Results
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I certify that I am responsible t request and the attached record	t the search of records conducted in my office encompassed by this were the only such documents located in response to this request.
Signature	Date
Attachments(s)	
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119

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#### 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.



120

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Immediately after pasting, we notice that the result is imperfect and we will have to repair it.

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122

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Updated on 3/14/2011

AILA Doc. No. 16102838. (Posted 10/28/16)

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.

Attached is additional infor	nation to be used to reply to the requester.
	for withholding any responsive material
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15. Save changes and check it back in

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After this, send the case to "Pend."

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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 will not know to pull the staffing letters for follow-up unless you noted "Multiple Staffing" on the sheet.

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 unconsolidated A-numbers and the files are <u>both</u> located at the NRC, please add them to the spreadsheet that Records Operations maintains at <u>S:\Record_Ops\Files_</u> to <u>Consolidate.xls</u>. 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) Anumber on the worksheet in FIPS and 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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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, 9101history (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.

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 <u>Staffing Scenarios – Receipt Files</u> for additional information.

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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.

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. Enter the receipt information into the Topic field. Make the first part of the description the receipt file number. Use the complete receipt number with no spaces or dashes. Do not write the name as "Last Name, First Name."

Example of the correct way: EAC0812345678 An example of how <u>NOT</u> to do it: EAC-08-123-45678

If every case creator enters receipt information the same way, it is easier for the next case creator to identify duplicate or similar cases. The next case creator may base the search on "EAC081234567%," and if the previous case creator entered dashes, the search will not identify the duplicate.

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 <u>Staffing Sheet Guide</u> 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.

128

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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

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 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. Also include any T files you find in the General Inquiry screen.

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Paste in the "General Inquiry" information on the RDF staffing the same as you would on a RAFACS/CIS staffing. Delete the status/action item column, but DO NOT delete any T-files.

129

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MSB will know the file is digitized because you have staffed using an RDF staffing sheet. This also applies to Retired files that have been digitized. Do not use the retired screen on Retired digitized files. An example has been provided below.

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In the example above, you will have to make two staffings. Notice there is a T-file currently in use at OPLA San Francisco? That also changes the Category of the case to "SFR Cases at NRC."

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.

130

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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.

131

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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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133

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Generate the acknowledgement letter.	
Acknowledgement Letter Options	Additional Documents Required
fee Estimate	Other Requester Documentation
Prepayment Received	
 Advance Payment Returned Add Lost File Paragraph	Click Add Lost File Paragraph
2. Additional Options No options found.	Click Generate Letter
ĺ	Generate Letter (Cancel)

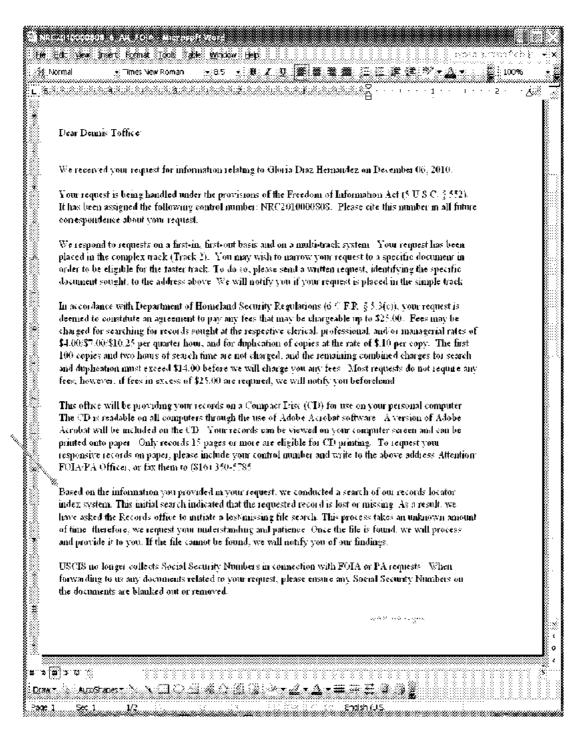
FIPS inserts the Lost File Paragraph right after the CD Paragraph:

135

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Updated on 3/14/2011

AILA Doc. No. 16102838. (Posted 10/28/16)



When the case create process is complete and the creator is ready to exit the case, click the "Pend."

136

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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. <u>and</u> there is no recent activity in CLAIMS (within last 2 years) or RNACS,
 - and there are no additional files, then: a FOIA/PA Assistant working in Records Locator queue should put in the following Discussion: 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 Discussion.
- 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 Discussion with the subject "Unit Chief" listing the date the file was 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.
- If there is no CIS screen referencing "EARM" "DACS" or "NAILS," please move to the next step now. *Otherwise*, if there is a 9101 screen containing "EARM-X" "DACS-X" or "NAIL-X," or if there are CLAIMS screens showing "NAIL: Y" or "NAIL: N," go to the next step.
- 5. Create a Final Action Letter and select the status 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 Up-front Approver. You're done, *unless* the case is later returned to you for further research.
- 7. The Up-front 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

137

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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. <u>If the A-file is lost but other records exist</u> (such as receipt files we would normally staff for or other a-files) Staff for the additional records. Put in a Discussion that reads:

A-file number XXXXXXXXX is currently showing as lost. Staffed for the following additional files: XXXXXX, XXXXXXX, XXXXXXX, 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.

138

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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
 Search CIS for potential second a-number and/or consolidation a. Second a-number? b. Any T-files? Yes No
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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Staffing 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 <u>Staffing Sheet Guide</u> 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

If you do not find a person in CIS, CLAIMS or PCQS, do not automatically print the screens and close the case NR. In some instances, the A-number exists but it will not be found in any systems search. 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. Look at the information in the request. For instance, if an individual claims to have arrived in the United States in 1960 and naturalized in 1971, it is important not to close the case NR. 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, but they claim to have done business with the service <u>after</u> 1975. 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:

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- A-Files;
- Dates of birth;
- Dates of entry; or
- Naturalization dates

which are after 1975, do not create a Records Indexing file request, because no records will exist; check CIS and/or CLAIMS for a record. If you find no record, please refer to the section on <u>NO_RECORDS</u>.

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.

No Record, a RAFACS-only staffing scenario:

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, CLAIMS and PCQS. 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 Name9104 AKA (Alias) Name9106 Sounds-Like Name with DOB

141

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When conducting a search in CLAIMS (Computer Linked Application Information Management System) run alien's name as the beneficiary/applicant (3) <u>AND</u> as petitioner (6).

142

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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 responsive records for the case number you have just created, attach it to the screen prints and take those to the person designated to scan RAFACS-only responsive records. Pend the case.

Genealogy is exempt from this process.

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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.

Office Section	Acronym
Trial Attorney's Office	ТА
Chief Counsel	
Litigation	LI or LIT
Legal Section	LS
District Counsel	DC

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.

Office Section	Acronym
Detention & Removal	DENTENT, D&R, DET, DRO, DD&P
Criminal Alien Program	САР
Deportation Officer/Assistant/Clerk	DO, SDDO
Bond Control Spec.	
Immigration Enforcement	IEA
Field District Office	FOI (Washington DC) (DRO-WAS)
Admin Program Office	
Non-Detained or Detained	
Processing Center	OC-Otero County
Detention Facility name	ie Otay Mesa, Krome

144

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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.

Office Section	Acronym
Investigations	INV, IV
Special Agent in Charge	SAC
Internal Audit	IA
Resident Agent in Charge	RAC
Assistant Special Agent in Charge	ASAC

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.

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.

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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 we can request.

2. If the requester does not specifically ask for a receipt file and provides an alien number, staff for the alien file only.

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 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

146

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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.

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

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This screenshot shows a receipt that has been archived.

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:

147

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- 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.
- 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. You may call the NVC automated 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.
- 4. If there is no evidence that the archived receipt file has been forwarded to NVC we will create a file request using RAFACS (not RAFACS/CIS). Find the information from the archived receipt in PCQS and print that information. Prepare a "Scan As" sheet to be scanned as responsive records for the case number you have just created, attach it to the screen prints and take those to the person designated to scan RAFACS-only responsive records. Pend the case.
- 5. If there is no evidence in PCQS, follow the instructions for *Receipt files;* Lost receipt file, File destroyed or File cannot locate.

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 Letter and choose the code "RD" and select "NVC". Send the case to Up-front Approver.

148

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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.

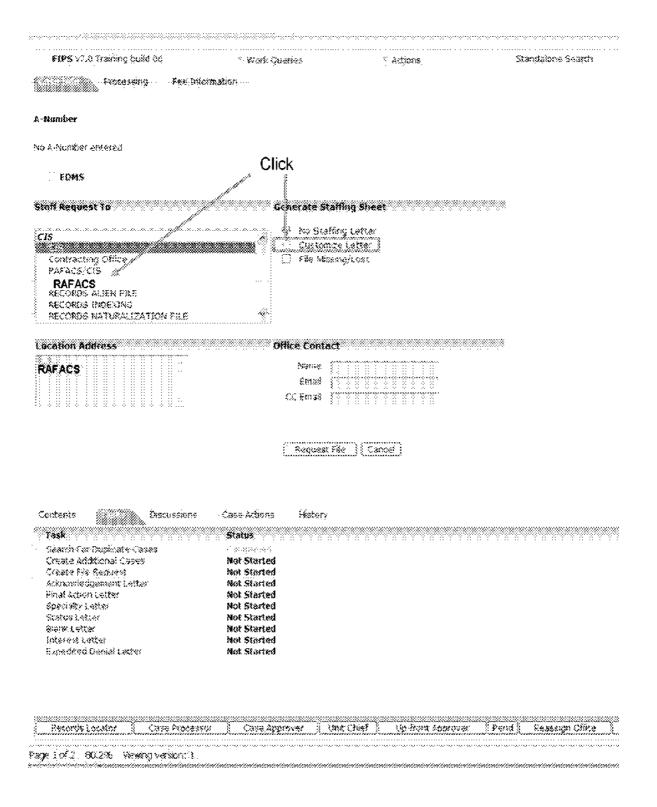
Open a RAFACS (*not RAFACS/CIS*) staffing slot only. Click on "Customize Letter." Print the appropriate CLAIMS screen prints (should be a minimum of 3 pages if the receipt file is for an I-130). Print the staffing letter, attach it to the screen prints and take to the OA room. The documents will be scanned into the slot on the bar-coded staffing letter. Pend the case.

149

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Updated on 3/14/2011

AILA Doc. No. 16102838. (Posted 10/28/16)



150

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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:

Staffed to: WSC REQUESTED FILE Office Code: NRC Control Number: NRC2000012393 Hate: June 5, 2009 Subject: WACO3 Alice Number: the I-I-10 Peddoner Documents for Cardenay History Inquiry For WAC9. Tesnaadin File k ransaction Offic Detail Cate 12693 ine. 89**2**014 Sal Sec. 12 592 69 46 19.803 (DA . . WW SCIENTING: 000 (18 X S. 9 15:28:00 444 RECEIVED Associating to CLAIMS time (do is associately WAC) 2" Staffers <u>en ca 206</u> A28 - [8-003.Who, 84663.9400] -- ⊂] × . Six 🕃 94 oda zandon Hander Brogram QUARS SEARCH 1995 6 G 8 567257743 25733 3693343 <13.00mm>1 6 8 RAF SERVICE PETE THE ESTATE PERIODS AND \$8. S 65088 358 558 55853 (780 83445333 18967 93523548 1 18 M 9 M 2 11.86 526 2 8 2 \hat{D}_{i}^{A} . 1987 ς. 1121011042 498033 20 \$33, 1435 A:380 3093 887 427 Yaza STANGER CR 32-3 47.18 186 318 2 538357 538357 538357 2017, 6410 197972578: 28627 201888 89 The produces 04387 24 FILE CANNOT LOCATE 1997-04-64 CONSERVE CONSERVE ; SAVES 2.35 \$8769819781 182 18453 86.8 6732 ÷ 108 STATESSACTION (C. 1886 (AT) \$831 (17) SH RECEIVED 2010/07/78 8431 0:34(8*) 8078 VAL 5 18 M 3.m () 8 2009 EQ.LA. 05987968 - 31: 4 XXB3 8643 81.57 32.78 机斜 电顶 This is to writely that Harm have coordinance a theory of search for the observations? A History ship the film could not be based of Presed Name Parese WAC93

151

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REASSIGN OFFICE

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.

First you must select the correct office. Use the drop-down box to select the office where you want the case to go, search for duplicate cases, and then create the case:

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After you change the office to COW, create the case. The case will have a COW number.

152

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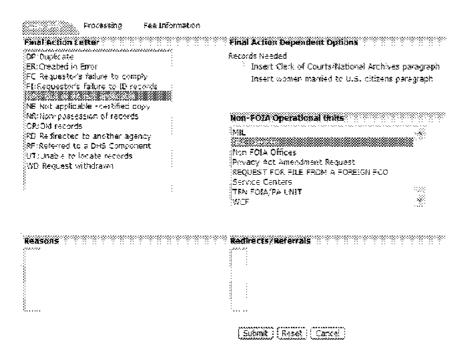
153

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You will not be creating an acknowledgement letter or staffing. Before you click on "Reassign Office," prepare an e-mail addressed to <u>NRC, FOIASIG</u> with the case number and brief description of the topic, requester or reason you assigned the case to SIG.

CLOSING A CASE AS "NA:FOIA or PA not applicable:"

Sometimes a requester will file a FOIA request asking for the return of original documents, the status of a petition, or a question, not asking for records. If FOIA/PA does not apply to the request, you would 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." Note: if the request for return of original documents is on Form G-884 which was inadvertently scanned in as a request, you will be closing the case "ER." Please refer to <u>REQUESTS: Return of original documents</u>.



You do not have to modify the referral letter. You will have to select the applicable box in the Final Action Letter and possibly add other instruction, if necessary. Send the case to Up-front Approver.

154

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ER (created in error) CASE CLOSINGS

Prepare a Final Action Letter using the "ER" option for cases 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)

FIPS will not create a letter. Prepare a detailed Discussion. Send the case to Up-front Approver. The supervisor will review and close the case.

FC (failure to comply) CASE CLOSINGS

If you are closing a case FC because of consent, verification of identity or , please refer to

<u>O:\Foia\FOIA_LIBRARY\Case_Create_References\Case_Create_Template_Letters\Failure_to_</u> <u>Comply_Letter</u> 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"

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 Discussion which explains why the letter/memo should not be mailed.

155

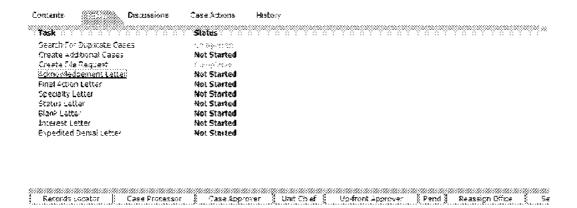
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Accomplishing the steps above will make it easier for the O/A room to identify letters created in error.

ACKNOWLEDGEMENT LETTERS

We prepare acknowledgement letters in all cases **except** for routine use and Red Cross last known address requests. The example in this guide shows how to do a standard acknowledgment letter if we have verified consent and identity, the requester has not asked for expedited treatment or a fee waiver, and we have found a responsive record. As you go through this example, please keep in mind that there are many factors which would require you to prepare the acknowledgment letter differently.

Go to the "Tasks" tab and select "Acknowledgement Letter"



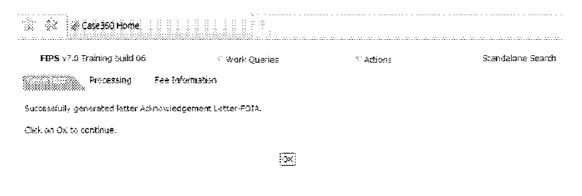
After selecting "Acknowledgement Letter," the Acknowledgment Letter Options screen will open. Options on this screen will allow you to ask for other documentation and will also allow you to add a Track 3 Denial or Lost File paragraph:

156

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Prepayment Required			
 Advance Payment Returned Add Lost File Paragraph Add Track 3 Denial Paragraph 			
Additional Options		tter Cancel	

Since our example case does not require us to select any options, we will click on "Generate Letter." Our only option at that point is to click OK:



As soon as you do, a File Save pop-up window will appear. Click "Save."

157

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The acknowledgment letter will pop up:

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158

Updated on 3/14/2011

AILA Doc. No. 16102838. (Posted 10/28/16)

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We received your request for information relating to Clurk P. Bacon on Droe	niber 62, 2010.
 You'request is being handled under the provisions of the Freedom of Inform It has been assigned the following control number, NRC2010000806. Please correspondence about your request. 	
We respond to requests on a first-in first-out basis and on a multi-frack syste phased in the complex irack (Track 2). You may wish to narrow your request order to be cligible for the firster track. To do so, please send a written reque- document sought, to the address above. We will notify you if your request is	to a specific document in 1. identifying the specific
In accordance with Department of Flomefand Security Regulations (6 C.F.R. deemed to constitute an agreement to pay any fees that may be chargeable up scharged for searching for records sought at the respective elerical, professions \$4.00/37.00/\$10.25 per quarter hour, and for duplication of copies at the rate 100 copies and two hours of search time are not charged, and the remaining c and duplication must exceed \$14.00 before we will clearge you any fees. Mo	to \$25.00. Fees may be al. and/or managerral rates of of \$10 per copy. The first ombined sharges for search
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159

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You may have some modifications to make to the letter. After you finish, save the Word document and exit Word. Next, go to the "Contents" tab and click on the "Check in Document" icon.

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3	Staffing Letter - 1CE PDF	3		Editing	DRO - SEA Seattle		12/3/2010 8:28:17 AM
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In this example, we are now ready to send this document to "Pend."

160

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DISCUSSIONS

Discussion 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 Discussion for later reference. FIPS also automatically generates Discussions in various situations, such as duplicate, multiples and when responsive records are copied from one case to another. Because Discussions become a permanent part of the case in FIPS, you should not used Discussions 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

(Note: this article pertains to people who work in the Research Queue)

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. Create a Discussion asking Research to add the request as CSD to the appropriate case. Next, go back to the worksheet in FIPS and Send to Research.

A person working the Research queue will assign the request to CSD as follows:

161

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Updated on 3/14/2011

AILA Doc. No. 16102838. (Posted 10/28/16)

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	Duplicate Request Letter
	Duplicate Request Letter
	Expedited Treatment Denial
	Litigation Notice
	Non Compliance
	Proof of Address Change
	Remand Non-Compliance Appeal
	Request for Status
	Expedited Treatment Grant

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163

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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 Discussion (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.
- 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

164

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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 Discussion 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 Discussion.

Don't forget to add a Discussion to the original case.

MSB (NRC, NRCFOIAMSB)

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 queue 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

165

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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 Discussion 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.

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Updated on 3/14/2011

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 Discussion 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. Do this in a controlled manner so that you and the supervisor are the only ones who see this paperwork.
 - 4. Note the case. Example of the Discussion:

Title of Discussion:	Returned Mail – no such number
Body of Discussion:	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 acknowledgement letters with a requester document need to be repended for additional time. Give the letter to the OA supervisor to repend.
- **B**. If the address on the acknowledgement letter matches the address on the G-639, G-28 and/or return address on original envelope:
 - 1. Note the case. Example of the Discussion:

167

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Title of Discussion:Returned Mail – no forwarding addressBody of Discussion: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. Discussion 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. Do this in a controlled manner so that you and the supervisor are the only ones who see this paperwork.

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 Discussion.

Title of Discussion:CD Returned for Additional PostageBody of Discussion: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. Discussion 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. Do this in a controlled manner so that you and the supervisor are the only ones who see this paperwork.

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 <u>Status Letters</u>)
- 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)

169

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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 Discussion 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 Discussion titled "Expedited Treatment Request" or "Track 3 Request." In the text of the Discussion 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.

If a FOIA/PA Assistant working in Records Locator queue discovers correspondence relating to expedited processing or Track 3 scanned in but has not been addressed by a supervisor; the Assistant should insert a Discussion 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.

¹⁷⁰

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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. 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 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

171

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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).

From <u>www.uscis.gov</u>, find the link near the bottom of the left column under "Other Services" marked "<u>FOIA Request Status Check</u>" 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 <u>same</u> 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.

The previous method of providing a status letter did not give the requester accurate information. In order to better serve our customers Teams 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_Letters,

172

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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 must send us a document to withdraw a pending request. 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 queue. Add a Discussion 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.

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 Discussion 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.

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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 <u>NRC, FOIAMSB</u> 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.
- 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. Do this in a controlled manner so that you and the supervisor are the only ones who see this paperwork.
- 6. Stack the incorrect final action letters in a separate pile. Write "ERRORS" on a postit note and stick the post-it note to the top page to identify these as the incorrect letters.

174

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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 QUEUE

Cases assigned to Records Locator queue 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
- 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 Discussions as well as insert Discussions as necessary. Listed below are points/actions that you should consider while working cases assigned to Records Locator queue.

175

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- 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 Discussion 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.
- 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 Discussion or on their request? If so, search those for potential duplicate cases.
 - c. If you find a duplicate case, make a Discussion and advise <u>NRC</u>, <u>FIPSPROBLEM</u> mailbox with an e-mail and repend.
- 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

176

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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 Discussion 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 queue 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 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 Discussion advising the processor to process this case as third party without consent.

Occasionally you will pull a case in Records Locator queue and there is a Discussion stating the wrong records have been scanned into the case. This will require some investigative work before a solution can be determined.

177

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- 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 <u>FIPS Problem</u> mailbox and ask that the wrong records be removed. Clicking the link above will automatically send a copy to the FOIA Program mailbox.
- 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.
 - 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 <u>NRC, FIPS Problem</u> mailbox. Clicking on the link will automatically send a copy to the NRC FOIA Program mailbox.
 - 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 <u>NRC, FIPS</u> <u>Problem</u> mailbox. Clicking on the link will automatically send a copy to the NRC FOIA Program mailbox.

If you pull a case in Records Locator queue and there is a Discussion instructing you to create an interim response letter because the individual is incarcerated:

178

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- 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 queue and there is a document scanned into the Staffing Response and the Responsive Records slot which has been changed to Inactive, 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. Create the Final Action Letter, choose "RD" and select "NVC" from the drop-down box. Save the document and check it in. Send the case to Up-front Approver.
- If the receipt file is marked lost, file destroyed, or file cannot locate, go to <u>Receipt files</u>; 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.

179

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REPENDING IN RECORDS LOCATOR QUEUE

- Do not create a Discussion that you repended the case; the system automatically creates a record of case action.
- If you open a case in Records Locator queue 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. 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.
- If a SIG case comes up for repending in Records Locator queue, please repend and notify <u>NRC, FOIASIG</u> 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. If there are two separate staffings for files, then e-mail <u>NRC, FOIAFILEREQ</u> 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 "SAVE" 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 Discussion explaining the problem.

If the case has not come up for processing and you encounter this situation in Records Locator queue, put a Discussion indicating the problem (Responsive Records scanned into Staffing Response slot), and send a message to the <u>NRC, FIPSPROBLEM</u> 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.

<u>Click here for instructions</u> if you pull a case in Records Locator queue that has been staffed for a Lost File.

CASES NEEDING ACKNOWLEDGEMENT LETTERS

Cases received in Records Locator queue 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 queue, if you pull a case that has been staffed to the FOIA Safe, **NEVER** cancel the staffing. 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.

182

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IN TRANSIT FILES

If NFTS shows a file is now in transit to the NRC, repend. *Do not cancel the staffing and restaff 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.

183

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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
National Customer Service:	1-800-375-5283
EOIR	800-898-7180

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Updated on 3/14/2011

approval from the FOIA Officer

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, 5th Floor, Suite 585 Washington, DC 20536

MAILING ADDRESS OF NATIONAL VISA CENTER:

32 Rochester Avenue, Suite 200 Portsmouth, NH 03801-2909

185

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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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186

Updated on 3/14/2011

<u>APPENDIX C: NATIONAL VISA CENTER VALID</u> <u>CONSULATE PREFIX CODES</u>

- 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

187

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- 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 Cuidad 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)

188

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- 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)

189

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- 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)

190

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- 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)

191

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- 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 (Saudí 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)

192

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- 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)

193

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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.

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 (non-responsive) 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.

194

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Updated on 3/14/2011

APPENDIX E: FORMS

www.uscis.gov

Title	Form Number
Change of Address	AR-11
Alien's Change of Address Card	AR-11SR
Genealogy Index Search Request	G-1041
Genealogy Records Request	G-1041A
Notice of Entry of Appearance as Attorney or Representative	G-28
Biographic Information	G-325
Biographic Information	G-325A
Biographic Information	G-325B
Biographic Information	G-325C
Freedom of Information Act/Privacy Act Request	G-639
Verification Request (Non-SAVE agencies)	G-845
Document Verification Request Supplement	G-845 Supplement
Document Verification Request (SAVE Agencies)	G-845S
Return of Original Documents	G-884
Application for Replacement/Initial Nonimmigrant Arrival-Departure Document	I-102
Petition for a Nonimmigrant Worker	I-129

195

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Title	Form Number
Petition for Alien Fiance(e)	I-129F
Nonimmigrant Petition Based on Blanket L Petition	I-129S
Petition for Alien Relative	I-130
Application for Travel Document	I-131
Affidavit of Support	I-134
Immigrant Petition for Alien Worker	I-140
Application for Advance Permission to Return to Unrelinguished Domicile	I-191
Application for Advance Permission to Enter as a Non-Immigrant	I-192
Application for Waiver for Passport and/or Visa	I-193
Application for Permission to Reapply for Admission into the United States After Deportation or Removal	I-212
Application for Removal	I-243
Notice of Appeal or Motion	I-290B
Petition for Amerasian, Widow(er), or Special Immigrant	1-360
Affidavit of Financial Support and Intent to Petition for Legal Custody for Public Law 97- 359 Amerasian	I-361
Request to Enforce Affidavit of Financial Support and Intent to Petition for Legal Custody for P.L. 97-359 Amerasian	I-363
Application to Register Permanent Residence or Adjust Status	1-485
Supplement A to Form I-485	I-485 Supplement A

196

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Title	Form Number
Instructions for I-485, Supplement C, HRIFA	I-485 Supplement C
Instructions for I-485, Supplement E	I-485 Supplement E
Waiver of Rights, Privileges, Exemptions and Immunities (Under Section 247(b) of the INA)	1-508
Waiver of Rights, Priveleges, Exemptions, and Immunities	I-508F
Immigrant Petition by Alien Entrepreneur	1-526
Application To Extend/Change Nonimmigrant Status	1-539
For persons seeking V nonimmigrant status while in the United States or extension of V status.	I-539, Supplement A
Interagency Record of Request – A. G or NATO Dependent Employment Authorization or Change/Adjustment to/from A. G or NATO Status	I-566
Application for Asylum and Withholding of Removal	I-589
Petition to Classify Orphan as an Immediate Relative	1-600
Application for Advance Processing of Orphan Petition	I-600A
Application for Waiver of Ground of Inadmissibility	I-601
Application By Refugee For Waiver of Grounds of Excludability	I-602
Application for Waiver of the Foreign Residence Requirement (under Section 212(e) of the Immigration and Nationality Act. as Amended)	I-612
Health and Human Services Statistical Data for Refugee/Asylee Adjusting Status	I-643
Application for Status as a Temporary Resident Under Section 245A of the Immigration and Nationality Act	I-687

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Title	Form Number
Application for Waiver of Grounds of Inadmissibility Under Sections 245A or 210 of the Immigration and Nationality Act	I-690
Report of Medical Examination and Vaccination Record	I-693
Notice of Appeal of Decision Under Sections 245A or 210 of the Immigration and Nationality Act	I-694
Application to Adjust Status from Temporary to Permanent Resident (Under Section 245A of Public Law 99-603)	I-698
Refugee/Asylee Relative Petition	I-730
Petition to Remove the Conditions of Residence	I-751
Application for Employment Authorization	I-765
Application for Replacement of Northern Mariana Card	I-777
Petition to Classify Convention Adoptee as an Immediate Relative	I-800
Application for Determination of Suitability to Adopt a Child from a Convention Country	I-800A
Application for Family Unity Benefits	I-817
Application for Temporary Protected Status	I-821
Application for Action on an Approved Application or Petition	I-824
Petition by Entrepreneur to Remove Conditions	I-829
Inter-Agency Alien Witness and Informant Record	I-854
Affidavit of Support Under Section 213A of the Act	I-864
Contract Between Sponsor and Household Member	I-864A

198

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Title	Form Number
Affidavit of Support Under Section 213A of the Act	I-864EZ
Poverty Guidelines	I-864P
Intending Immigrant's Affidavit of Support Exemption	I-864W
Sponsor's Notice of Change of Address	I-865
Application for Suspension of Deportation or Special Rule Cancellation of Removal (Pursuant to Section 203 of Public Law 105-100 (NACARA))	I-881
Employment Eligibility Verification	I-9
Application to Replace Permanent Resident Card	1-90
Application for Authorization to Issue Certification for Health Care Workers	I-905
Request for Premium Processing Service	I-907
Application for T Nonimmigrant Status	I-914
Petition for U Nonimmigrant Status	I-918
Petition for Qualifying Family Member of a U-1 Nonimmigrant	I-929
Application to File Declaration of Intention	N-300
Request for a Hearing on a Decision in Naturalization Proceedings (Under Section 336 of the INA)	N-336
Monthly Report Naturalization Papers	N-4
Application for Naturalization	N-400
Request for Certification of Military or Naval Service	N-426

199

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Title	Form Number
Application to Preserve Residence for Naturalization Purposes	N-470
Application for Replacement Naturalization/Citizenship Document	N-565
Application for Certificate of Citizenship	N-600
Application for Citizenship and Issuance of Certificate under Section 322	N-600K
Application for Posthumous Citizenship	N-644
Medical Certification for Disability Exceptions	N-648

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200

Updated on 3/14/2011

AILA Doc. No. 16102838. (Posted 10/28/16)

APPENDIX F: USEFUL ACRONYMS

AAPM	Affirmative Asylum Procedures Manual
ABC	American Baptist Churches
АСРА	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

201

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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
СВО	Congressional Budget Office / Community Based Organization 202
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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
СРО	Chief Privacy Officer
CSAT	Computer Security Awareness Training 203

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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

204

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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
ENFORCE EOIR	Enforcement Case Tracking System Executive Office of Immigration Review
EOIR	Executive Office of Immigration Review
EOIR eOPF	Executive Office of Immigration Review Electronic Official Personnel Folder (eOPF)
EOIR eOPF EPA	Executive Office of Immigration Review Electronic Official Personnel Folder (eOPF) Environmental Protection Agency
EOIR eOPF EPA ERO	Executive Office of Immigration Review Electronic Official Personnel Folder (eOPF) Environmental Protection Agency Eastern Regional Office
EOIR eOPF EPA ERO ESC	Executive Office of Immigration Review Electronic Official Personnel Folder (eOPF) Environmental Protection Agency Eastern Regional Office Eastern Service Center
EOIR eOPF EPA ERO ESC ETC	Executive Office of Immigration Review Electronic Official Personnel Folder (eOPF) Environmental Protection Agency Eastern Regional Office Eastern Service Center Eastern Telephone Center

205

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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
FDN\$	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
FEGLI FEHB	Federal Employees Group Life Insurance Federal Employees Health Benefits
FEHB	Federal Employees Health Benefits
FEHB FEMA	Federal Employees Health Benefits Federal Emergency Management Agency
FEHB FEMA FHA	Federal Employees Health Benefits Federal Emergency Management Agency Federal Housing Administration
FEHB FEMA FHA FIPS	Federal Employees Health Benefits Federal Emergency Management Agency Federal Housing Administration Freedom of Information & Privacy Act Processing System
FEHB FEMA FHA FIPS FISMA	Federal Employees Health Benefits Federal Emergency Management Agency Federal Housing Administration Freedom of Information & Privacy Act Processing System Federal Information Security Management Act
FEHB FEMA FHA FIPS FISMA FLETC	 Federal Employees Health Benefits Federal Emergency Management Agency Federal Housing Administration Freedom of Information & Privacy Act Processing System Federal Information Security Management Act Federal Law Enforcement Training Center

206

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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-63 9	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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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-13 0	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

208

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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

209

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INA	Immigration	and Nationality Ac	t
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- 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
- ISO Immigration Services Officer (USCIS)
- 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

210

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LAPS Legalization Application Pro	ocessing 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
- NAILS National Automated Immigration Lookout System
- NBC National Benefits Center

211

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NCIC	National Crime Information Center
NCJRS	National Criminal Justice Reference Service
NFTS	National File Tracking System
NIIS	Non-immigrant Information System
NLET\$	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

212

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OEP	Occupant Emergency Plan
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
ОРМ	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

213

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OWCP	Office of Workers' Compensation Programs
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
РТА	Privacy Threshold Assessment
PTIG	Privacy Technology Implementation Guide
RAC	Resident Agent in Charge
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

214

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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)

215

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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
ТАР	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

216

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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

217

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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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Updated on 3/14/2011

AILA Doc. No. 16102838. (Posted 10/28/16)

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 <u>http://www.uscis.gov/portal/site/uscis/menuitem</u>. Select the tab titled "Education and Resource."

<u>Access</u> - 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.

<u>Agency</u> - 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.

<u>Agency Record</u> - 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).

<u>**Component</u></u> - 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.</u>**

<u>Conditions of Disclosure</u> - 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.

219

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<u>Congressional Committee Request</u> - 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.

<u>Congressional Request</u> - 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.

<u>Consolidation</u> – 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."

<u>Consultation</u> - 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.

<u>Freedom of Information Act Request</u> - A request <u>in writing</u> 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.

<u>First Party Requester</u> - 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.

<u>Forms</u> – Various government forms available from <u>www.uscis.gov/portal/site/uscis</u> 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:

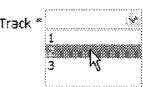
220

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- <u>G-28 Notice of Entry of Appearance as Attorney or Representative</u> 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.
- <u>G-639 Freedom of Information/Privacy Act Request</u> 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.

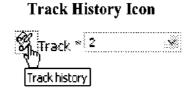


- Track Drop-Down List
- <u>Track 1</u> is used for the less complex cases. These are cases where only one or a few specific documents are being requested from the file.
- <u>Track 2</u> is used for the more complex cases. A complete copy of a file, requests from the news media or special interest groups are considered Track 2 cases.
- <u>Track 3</u> is used for cases that specifically involve individuals who have been scheduled to appear before an immigration judge.

To view the track history of the active case, click the **Track history** icon next to the Track drop-down list.

221

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The track history appears in a separate pop-up window.

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<u>**Privacy Act Amendment Request</u>** - 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.</u>

<u>**Privacy Act Record</u>** - Any item, collection, or grouping of information about an individual which 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.</u>

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<u>**Privacy Act Request</u>** - 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:</u>

- 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.

<u>**Records Custodian</u>** - 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.</u>

<u>Referral</u> - 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.

<u>**Retire**</u> – 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.

<u>**Rider**</u> – 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 <u>Federal Register</u> publication prior to such use.

<u>System of Records</u> - 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.

223

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<u>**Third Agency</u>** - Other administrative agencies of the Executive Branch of the Federal government, including other components of DHS.</u>

<u>Third Party Request</u> - 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.

<u>White House Inquiries</u> - An official request from any member of the White House staff, or letters of the President forwarded to the agency for response.

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224

Updated on 3/14/2011

AILA Doc. No. 16102838. (Posted 10/28/16)

FOREWORD

The <u>FOIA/PA Assistant's Guide</u> 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 \Rightarrow Preferences \Rightarrow Documents \Rightarrow 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? ACD FOIA/PA Operations and your Supervisors direct how Paralegal Specialists, FOIA/PA Assistants and Office Automation personnel accomplish their missions. Through ACD Operations, Supervisors submit a new rule or procedure to ACD FOIA Program. At the direction of the ACD, 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 ACD Operations.

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.

1

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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.

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 <u>RDF</u> for scanning. Those offices <u>either</u> scan directly into FIPS for us <u>or we export the A-file from EDMS</u>. 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):

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12.7.3.9 <u>If the A-file is lost but other records exist</u> (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:

APPENDIX H: CASE CREATE FLOW CHARTS has been added

to the FOIA/PA Assistant's Guide.

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 <u>case supporting documents</u> responsive records for the case number you have just created, attach it to the screen prints and take those to the <u>OA room for scanning as CSD</u> person designated to scan-RAFACS-only-responsive-records. Pend-the case prepare a Final Action Letter with closing code

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3

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, LOSJ9163201111, DALC922740405 or SPM9606900035, etc., are not receipt files we can request.

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, <u>PCQS</u> 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

4

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the box "Responsive Records" and take to person designated to scan RAFACSonly 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) **R**EQ#
 - 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

5

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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 <u>Receipt Numbers</u> 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 <u>RPC codes XX, XY,</u> <u>ZG, ZY, or ZZ</u>. 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, FOIAMSB 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.

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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 <u>APPENDIX H:</u> <u>CASE CREATE FLOW CHARTS</u> in the FOIA/PA Assistant's Guide.

Additionally, in paragraphs

12.7.2 Files Lost or Not Found LESS THAN NINE MONTHS and12.7.3 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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"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.

8

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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."

9

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FOREWORD	1
1. THE FREEDOM OF INFORMATION ACT	16
2. THE PRIVACY ACT	
3. WHAT ARE FOIA REQUESTS AND HOW DO WE GET THEM?	
4. WHO CAN MAKE A FOIA REQUEST?	17
5. SYSTEMS USED AND DESCRIPTION OF THE SYSTEMS	
5.1 Central Index System	18
5.1.1 Introduction Screen	18
5.1.2 TeleView Main Menu	19
5.1.3 CIS Login Screen	20
5.1.4 CIS Main Menu	21
5.1.4.1 Search Menn Screen	
5.1.4.2 Search by A-humber (9101)	
3.1.3 Sounds-Like mane Search (9102)	
5.1.6 Exact Name Search (9103)	25
5.1.6 Exact Name Search (9103) 5.1.7 Alias (AKA) Name Search (9104) 5.1.8 Sounds Like Name With Date of Birth (DOB) Search (9106)	26
5.1.8 Sounds Like Name With Date of Birth (DOB) Search (9106)	27
5.1.9 Card Search (9222) 5.1.10 File Transfer Display (9504)	28
5.1.10 File Transfer Display (9504)	29
5.1.11 Tables	30
5.1.12 Tables Menu	31
	32
5.1.14 Value Tables Browse Screen	33
5.2. Computer Linked Application Information Management System	34
5.2.1 Introduction	34
5.2.2 Teleview Introduction Screen	34
5.2.3 CLAIMS Selection Screen	35
5.2.4 CLAIMS Function Screen	36
5.2.5 CLAIMS Welcome Screen	37
5.2.6 CLAIMS Logon Screen	38
5.2.7 CLAIMS Main Menu Screen	30
5.2.8 Inquiry Screen, searching with a Receipt Number	40
5.2.9 Christian Weith Streen 5.2.8 Inquiry Screen, searching with a Receipt Number 5.2.9 Searching CLAIMS using a Name and Date of Birth 5.2.9 Searching CLAIMS using a Name and Date of Birth	4
5.2.10 Searching with the A-Number	43
5.2.10 Searching with the A-Number	44
5.2.12 Search Results 5.2.13 Beneficiary Petition for Non Immigrant Worker	45
5.2.13 Beneficiary Petition for Non Immigrant Worker	48
5.3. National File Tracking System (NFTS)	51
5.4. Person Centric Query Service (PCQS)	52
5.5. FOIA/PA Information Processing System (FIPS)	52
6. CREATING THE CASE	54
6.1 REQUESTER INFORMATION	56

10

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	6.2 SUB	JECT INFORMATION	_ (
	6.2.1	Name	
	6.2.2	Alien Number	
	6.2.3	Торіс	
	6.3 CAS	E SPECIFICATIONS	_ (
	6.3.1	l rack	
	6.3.	1.1 Track 1	
	0.3.	1.2 Track 2	
	0,3.	1.5 IFack 5	
	6.3.3	TypeSource	_
		Category	
	6.3.4	4.1 Alien File	
	0,3.4	4.2 Specific Documents	
	6.3.4	4.3 Personnel	
	0,3.4	+.+ Special Interest Group	
	6.3.4	+.5 SFR cases at NRU	
	6,5,4	4.6 Genealogy	
	ICE	Bureau	
	CIS		
	CBF		
	6.3,6	Is there a request for expedited treatment?	
	6.3.7	Is there a request for fee waiver?	
	6.3.8	Print to CD	
	6.3.9	Is this a definquent requester?	
	6.4 SEA	RCH FOR DUPLICATE CASES	_ {
	6.5 COF	YING RECORDS FROM A CLOSED CASE	_ {
7.	CONSE	ENT, VERIFICATION OF IDENTITY, AND DESCRIPTION OF RECORDS_	_ {
	7.1 Con:	sent of parents or guardians	_ {
		fication of Identity	_
		conable Description of Records being Sought:	- `
			_
		d party requests	'
	7.5 Dece	ased subjects and the 100-year rule	_
8.	CASE (CREATE SITUATIONS/OTHER PROBLEMS	_ !
	8.1 REQ	UESTS: Foreign Consulate	
	8.2 REQ	UESTS: Non-immigrant visa material	_
	8.3 REQ	UESTS: Routine use, no consent required, not FOIA	
		UESTS: Bond obligor, no consent required, not USCIS FOIA	
	8.5 REQ	UESTS: A-number only	_ 1
		UESTS: Bracero Program	
		UESTS: Referrals and Consultations received from other agencies	
		11	-

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8.8 REQUESTS: USCIS personnel information	101
8.9 REQUESTS: Official Personnel File	102
8.10 REQUESTS: Red Cross / Last known address	
8.11 REQUESTS: Federal, state, local agencies	
8.12 REQUESTS: Return of original documents	
8.13 REQUESTS: Privacy Act Amendment	
8.14 SITUATION: Untranslated Foreign Language Documents	
8.15 SITUATION: Congressional correspondence	
8.16 SITUATION: Appeals	
8.17 SITUATION: New requests received on the I-694	
8.18 SITUATION: Subpoena or court order	
8.19 SITUATION: Certification of record	
8.20 SITUATION: Certification of record for dual Italian citizenship	
8.21 SITUATION: Record at National Archives and Records Administration (NARA)	
8.22 SITUATION: Old records	
9. REFERRAL AND REDIRECTION	
9.1 Referral	
9.2 Redirection	
9.3 Entry/Exit Information referral to CBP	
9.4 Border Patrol referral to CBP	
9.5 Personnel/hiring practices/vacancy announcements	
9.6 US-VT referral to US Visit	
10. DETERMINING TO STAFF BASED ON BEST INFORMATION AVAILABLE:	
11. SOCIAL SECURITY NUMBER	115
12. REQUESTING THE RESPONSIVE RECORDS	116
12.1 Staffing by Alien Number 12.1.1 One A-number provided on the request (with example staffing)	117
12.1.1.1 Open NFTS	117
12.1.1.3 Select "Inquiry"	119
12.1.1.6 "Blued in" information	122
12.1.1.9 The FCO List 12.1.1.10 Figuring out a Staffing Scenario	124
12.1.1.10 Figuring out a Starring Scenario	125
12.1.1.11 Generate the file request	126 127
	127

12

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12.1.2 Two or more A-numbers 12.1.3 Consolidated A-numbers	136
12.1.5 Consondated A-numbers	
12.3 EAD numbers (100,000,000 through 149,999,999)	
12.4 New alien numbers (300,300,000 through 300,322,501)	
12.5 Receipt numbers	
12.6 Archives and Records Centers Information System (ARCIS)	
12.7 Staffing Scenarios	
12.7.1 Digitized files	140
12.7.2 Files Lost of Not Found LESS THAN NINE MONTHS	141
12.7.4 Staffing FAQ's	150
12.7.5 Records Indexing / Manual Requests	150
12.7.6 No Record: 12.7.7 A-number in CIS but not in NFTS	151
12.7.8 ICE files	153 154
12.7.9 SAC locations	155
12.7.10 LESC (LSC) records	155
12.7.11 T-files	155 156
12.7.13 Archived receipts	150
12.7.13 Archived receipts 12.7.14 Receipt files; Lost receipt file, File destroyed or File cannot locate	158
13. REASSIGN OFFICE	
14. CLOSING A CASE AS "NA:FOIA or PA not applicable:"	163
15. ER (created in error) CASE CLOSINGS	164
16. FC (failure to comply) CASE CLOSINGS	164
17. MARKING A DOCUMENT "DO NOT SEND"	164
18. ACKNOWLEDGEMENT LETTERS	165
19. DISCUSSIONS	169
20. CHANGING A REQ TO A CSD	170
21. TROUBLESHOOTING WORK FROM THE OA ROOM	172
22. TROUBLESHOOTING WORK TO THE OA ROOM	
23. FOIA MAILBOXES:	172
23.1 THE OA ROOM (NRC, FOIAOA)	173
23.2 MSB (NRC, NRCFOIAMSB)	173
23.3 FIPS PROBLEM (NRC, FIPSPROBLEM)	173
23.4 FOIA FILE REQUEST (NRC, FOIAFILEREQ)	174
24. E-MAIL TO CUSTOMERS	174
13	

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25.	MAIL	174
	25.1 RETURNED MAIL:	17
	25.1.1 Interim Interest Letters 25.1.2 Acknowledgement letters	
	25.1.2 Final Action Letters	17
	25.1.4 CDs	17
2	25.2 DIRECT MAIL:	
	25.2.1 Mail concerning Track 3 or expedited treatment	17 17
	25.2.2 Requester documentation / additional information 25.2.3 Request for change of address	1 1
	25.2.4 Status letters	1'
	25.2.5 Withdrawal of a FOIA/PA request	1
	25.2.6 Mail received in a foreign language	
	BLANK TAPES/CD's	18
	VIDEO REPRODUCTION	18
	CONGRESSIONAL REQUESTS AND APPEALS	
29.	INCORRECT PAGE COUNTS:	18
30.	ALIEN'S STATUS VERIFICATION LETTERS:	18
31.	INQUIRY FOR FILE REVIEW:	18
32.	RECORDS LOCATOR QUEUE	18
33.	REPENDING IN RECORDS LOCATOR QUEUE	18
34.	CHANGING THE TRACK OF A CASE	18
35.	RESPONSIVE RECORDS SCANNED IN WITH STAFFING RESPONSE	18
36.	CASES NEEDING ACKNOWLEDGEMENT LETTERS	18
37.	RE-STAFFING	18
38.	FOIA SAFE	18
<i>39</i> .	IN TRANSIT FILES	18
40.	MODIFICATION OF RECEIPT DATES	18
41.	MSB DIRECTED PROJECTS	19
AF	PPENDIX A: PHONE NUMBERS	19
AF	PPENDIX B: ADDRESSES	19
	MAILING ADDRESS OF NRC:	
]	PHYSICAL LOCATION OF NRC:	19
]	MAILING ADDRESS OF NBC:	19
]	MAILING ADDRESS OF CBP:	19

14

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MAILING ADDRESS OF ICE:	_ 1
MAILING ADDRESS OF NATIONAL VISA CENTER:	_ 1
MAILING ADDRESS FOR APPEALS	_ 1
APPENDIX C: NATIONAL VISA CENTER VALID CONSULATE PREFIX CODES _	_ 1
APPENDIX D: CASE CLOSING CODES	_ 2
APPENDIX E: FORMS	_ 2
APPENDIX F: USEFUL ACRONYMS	_ 2
APPENDIX G: DEFINITIONS	_ 2
APPENDIX H: CASE CREATE FLOW CHARTS	_ 2
APPENDIX I: ALIEN NUMBER ASSIGNMENT	_ 2
	-

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15

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 statue became effective September 27, 1975.

3. <u>WHAT ARE FOIA REQUESTS AND HOW DO WE GET</u> <u>THEM?</u>

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.

16

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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 <u>"CONSENT RELATING TO RECORDS CONCERNING A MINOR OR PERSON JUDICIALLY DETERMINED TO BE INCOMPETENT"</u> 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 <u>"THIRD PARTY REQUESTS"</u> in this guide.
- Media requesters are typically accredited members of the media.
- Bond obligors, companies who posted <u>immigration</u> 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 <u>"IMMIGRATION BOND OBLIGORS"</u> 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.

17

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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 8 🗖 🕅 🗙 S<mark>ri</mark> Ble Edit Session Transfer Program Options <u>Wi</u>ndow Help 🗗 X (III) This computer system is the property of the United States WARNING! Department of Justice. The Department may monitor any activity on the system and search and retrieve any information stored within the system. Бy accessing and using this computer, you are consenting to such monitoring and information retrieval for law enforcement and other purposes. Users should have no expectation of privacy as to any communication on or information stored within the system, including information stored on the network and stored locally on the hard drive or other media in use with this unit (e.g., floppy drives, CD ROMS, etc.) \$60608**6**66 0281 CC TTTTTTTTTTT 10.1 W REFERE WV ĊΫ. 6888 TT BESEES LL $\Sigma \Sigma$ SI SESSES NW \mathbf{v} 88 88 33 LL 88 122 ٧v 21 EE ж., 37 S. Cr. 88 88 77 FEEF L.L 888E ٧٧ ٧V **31 8888 1** 1.1.1 СC CC 89 83 33 ₹£ LL 88 8V VV II 88 1888 1888 IS 1000033883 LEELEL LLLLL ELELLE YVV ΪŤ IT REFERE 1.1.1 121 830303088 88 USERID 28 ÂÂ PASSWORD AA NEW PASSWORD ==> VERIFY NEW PASSWORD PF1 HELP = LOGOFF= PF2 = TIME PF3 CLEAR -PF-1_ WHOAMI ENTER -PROCESS REFRESH 3270 📿 🗑 🖄 🏹 🔿 7:14 AM DOJD.WS...

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.

18

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5.1.2 TeleView Main Menu

		er Brogram Opbors Window Heb	
CONMI		ENVIRONMENT	HELP EXIT
HODEL Lunaiie	: LUO -2/2 : J5NRC1AA	DAL CA-TELEVIE	W 4.4 USERID: NRC02916 ESCAPE: PA1
COMMAN	D I I		
Sesnum	System	Application Status	Remarks . Description
1	 HELP	Available	TeleView Help Facility
2	MSG	Available	TeleView Message Facility
3	NEWS	Available	Help & News Nenu
4	J406IDMS	Available	RAPS APSS EOIR
5	J427IDMS	Available	FOIR/NACS STSC/MFAS/RNACS
6	J479IDMS	Available	CLAIMS
7	J427CICS	Available	DAL ROPES
8.	J504CICS	Available	WDC ROPES
9.	J537IDMS	Rvailable	AR11
10 .	J534IDMS	Available	CIS
11 .	J527IDMS	Available	PICS/ADMIN SYSTEMS, DACS
'F1= ME 70	LP PF3= END P	F/= PHGE UP PF8= PHGE DOW	N PF9= NOTEPAD PF10= ERASE NOTES
79			

The number selected to access CIS will vary for each computer.

19

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5.1.3 CIS Login Screen

7 Ble Edit Session Transfer Program	Opport 10rd	ow Help	X
CIMLOGO Command: #1#1			
23232323232222 22222222222222222222222	IIIII IIIII	\$\$\$\$\$\$\$\$ \$\$\$\$\$\$\$\$\$	
		SSSSSS	SSSS
00000000	IIIII	SSSSS SSSSS	
CCCCCCCCC WELCONE TO TH	IIIII	SSSSS	
	IIIII IIIII	\$\$\$\$\$\$\$\$\$\$\$\$ \$\$\$\$\$\$\$\$\$\$	SSSS
	IIIII REEN ON A	S REGULAR BASIS !!	\$\$\$\$\$\$ \$\$\$\$
CCCCCCCCCC CCCCCCCCCC LAST NEWS SCRI	EEN CHANGE	: 06 28 2005 15:20	SSSS EST SSS
00000000000000000000000000000000000000	IIIII IIIII		SSSS SSSS
00000000000000000000000000000000000000	IIIII IIIII	SSSSS SSSSSSSSSSSSSSSSS	SSSS SSSSS
000000000000000000000000000000000000000	IIIII	\$\$\$\$\$\$\$\$\$\$\$	SS
PRESS ENTER TO PROCEED TO NA	TH MENI		PF5 CIS CURRENT NEWS
3270			rriterite niteriteriteriteriteriteriteriteriteriter
JOJD.WS			· · · · · · · · · · · · · · · · · · ·

This is the screen used to navigate through CIS. Pressing enter can access the main menu for CIS.

20

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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.

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5.1.4.1 Search Menu Screen

Landow Help (100 Towsp) (100 (100 (100 (100 (100 (100 (100 (10
CINSEA INMIGRATION AND NATURALIZATION SERVICE 10/18 05
COMMAND: CENTRAL INDEX SYSTEM - SEARCH MENU 10:02:06
A#: 90000000 NAME: DOB: 0000000
(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 MEMU
(06) SOUNDS-LIKE NAME WITH DOB
(11) HANUAL SEARCH REQUEST (MR)
(12) HANUAL 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
tchboard III input Form 환]CISResourceGuide 귀행 소 제 전 3, 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 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.

22

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) E WS9) SQ19 Session ⊡rans	******	poons <u>Wi</u> ndow <u>H</u> elp	_ [] X _[5] X
NEL OPEN				
CIMIDH Command:	9191 C		N AND NATURALIZATION SERV. X SYSTEM - ID # SEARCH/DI	
	AA/AB/C DA) B/FP/I PP S :		A#:	D06:
FIRST				NATZ DATE:
MIDDLE Aliases				COURT: Location:
SEX:	POE:	COB:	DOE:	
	COA:	COC:		THER:
PFC0:	SFC0:	DF0:	BIN: MO	THER:
I-94 ADM Passport	#: ; #: .IC:		CONSOLIDATED A-NOS	OTHER INFORMATION
	′ID# TO DIS IR CONS A#		RSON, PRESS ENTER. CLEAN PF4 RETURN PF5 HELP PF6	
tchboard	🖺 input Form		ourceGuide	QQ∢HM`) 903AM

5.1.4.2 Search by A-number (9101)

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)

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CARE DOOLWAD, COLOWCOL Be Edt Geston Transfer Program E E E E E E E E E E E E E E E E E E E		<u>_ 0 × </u> _ # × }}
	ION AND NATURALIZATION SERVICE	10/18/05
COMMAND: 8388 CENTRAL IND	EX 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 M	ATCH (0 0))
	(NUMBER OF EXACT CHARACTERS TO M	
PREVIEW NAME:	(Y 'N)	
EXACT DOB:	(HNDDYYYY)	
DOB RANGE:	(DATE RANGE = YYYYR: YYYY=YEAR, I	R=0-9)
COB:	(5 CHARACTER COUNTRY CODE)	
C 0 C :	(5-CHARACTER COUNTRY CODE)	
POE:	(3 CHARACTER PORT OF ENTRY CODE)	
DOE:	(HNDDYYYY)	
COA:	(3-CHARACTER CLASS OF ADMISSION (CODE)
FCO:	(3-CHARACTER FILES CONTROL OFFIC	E CODE)
SEX:	(MIF)	
"LAST NAME IS REQUIRED FIE	LD. OTHER FIELDS ARE OPTIONAL.	
	RESS ENTER TO INITIATE "SOUND LIK	E" SEARCH
CLEAR EXIT PF3 REFRE	SH PF4 MENU PF5 HELP PF6	MAIN MENU
2220		
3270		**************************************
tchboard 🔛 Input Form 🕅 CIS	ResourceGuide	₩ ₩ 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.

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24

5.1.6 Exact Name Search (9103)

ØAus Doorwen one ∰ Be Edt Sesson Frans [□] 100 400 101		
. CIMEXA Command: <mark>>303</mark>	IMMIGRATION AND NATURALIZATION SERVICE Central Index System – Exact Name Search	12/15/05 08:44:21
	Central Index Stoten Exact mine Senten	VO. ++. 21
* LAST NAME:	(40-CHARS	MAX)
* FIRST NAME:	(25 CHARS	MAX)
MIDDLE NAME:	(25 CHARS	MAX)
EXACT DOB:	(HINDAAAA)	
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:	(NNDDYYYY)	
COA:	(3-CHARACTER CLASS OF ADHISSION CODE)	
FC0:	(3 CHARACTER FILES CONTROL OFFICE CODE)	
SEX:	(H F)	
* LAST NAME AND F	IRST HAME ARE REQUIRED FIELDS. OTHERS ARE OPTIONAL.	
	RCH CRITERIA, THEN PRESS ENTER TO INITIATE THE SEAR(
	CLEAR EXIT PF3 REFRESH	
PF4 MENU	PF5 HELP PF5 MAIN MENU PF9 SOUNDS-LIKE	SEARCH
2.376		
	r. 图GResourceaude	U Ø 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.

25

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5.1.7 Alias (AKA) Name Search (9104)

Contra (po to testo ho ho hove) C Ele Edit Session D'ansfer Brogram Oc IIII IIII En El	tons Window Help	_ [0]
	ION AND NATURALIZATION SERVICE EX SYSTEM ALIAS (AKA) NAME SEARCH	01/30/06 12:56:45
	ex afateli incina (nkn/ while afakeli	12.39.43
AKA/NEE LAST NAME:	(40-	CHARS MAX)
AKA/NEE FIRST NAME:	(25-	CHARS MAX)
LAST NAME MATCH:		
FIRST NAME MATCH:	(NUMBER OF EXACT CHARACTERS TO MATCH	(0 9))
EXACT DOB:	(MMDDYYYY)	
DOB RANGE:	(DATE RANGE = YYYYR; YYYY=YEAR, R=	6 Q)
	(5 CHARACTER COUNTRY CODE)	0 34
COC	(5-CHARACTER COUNTRY CODE)	
POE	(3 CHARACTER PORT OF ENTRY CODE)	
DOE	(HMDDYYYY)	
COA:	(3-CHARACTER CLASS OF ADHISSION CODE)
FCO:	(3 CHARACTER FILES CONTROL OFFICE CO	DE)
SEX:	(N/F)	
	FIRST-NAME-ONLY ALIASES, ON LAST-NAME	
	TH FIRST AND LAST NAMES. OTHER FIELDS	
SPECIFY THE SEARCH CRITERIA,	THEN PRESS ENTER TO BEGIN THE ALIAS	NAME SEARCH.
CLERK EALL PF3 KEFKE	SH PF4 MENU PF5 HELP PF6 MAI	N MENU
3270		
		INUM OVR

The primary use for the 9104 screen would be to perform a search using any alias information provided in the FOIA request.

26

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5.1.8 Sounds Like Name With Date of Birth (DOB) Search (9106)

S A2B [DBSD3.WSD DBSD3.WCD] (H Ele Edit Session Transfer Program Ophons Window Help - 8 × **¦∕**⊞ (CIII) i III **ĕ**₽ E Ciĝ 日日 IP1 9.E CIMDSND IMMIGRATION AND NATURALIZATION SERVICE 08 03/06 COMMAND: "SOUNDS LIKE" NAME 09:25:07 90.08 CENTRAL INDEX SYSTEM WITH DATE OF BIRTH (DOB) SEARCH LAST NAME (40 CHARS MAX) FIRST NAME: (25-CHARS MAX) EXACT DOG (MMDDYYYY; YYYY YEAR; HM NONTH: DD DAY) DOB YEAR RANGE (YYYYR: R-0-9) RR 0 12) (YYYYIIMRR; DOB MONTH RANGE DOB DAY RANGE (YYYYHHDDRR: RR 0 31) LAST NAME MATCH: (NUMBER OF EXACT CHARACTERS TO MATCH (0 9)) FIRST NAME MATCH: (NUMBER OF EXACT CHARACTERS TO NATCH (0 9)) COR (CLASS OF ADMISSION CODE) C 0 6 : (COUNTRY CODE) (COUNTRY OF CITIZENSHIP) (FILES CONTROL OFFICE CODE) COC: FCO: POE: (PORT OF ENTRY CODE) SEX: (H/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 NAIN NENU 3270 NEUNI QV/R

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.

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27

5.1.9 Card Search (9222)

ARE IDHSDAWSD DHSDAWC	,,,, , ,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,	Lex
🖞 File Edit Session Transfer Brogram	Ophons Window Help	<u>- 5 x</u>
	nke aaa k	
· · · · · · · · · · · · · · · · · · ·	ATION AND NATURALIZATION SERVICE	08/01/06
COMMAND: <mark>0222</mark> Central IND	EX SYSTEM - ARR'BC CARD DISPLAY (CARD)	08:22:32
A#: 0100000000000000000000000000000000000	, FRANCIS	DOB: 0809844884844
LEG	AL PERMANENT RESIDENT	
CARD NAME: TAYLOR, FRANCIS	BIRTHDATI	
INS A# 03		SRCO
CRTEGORY: SEX:	PERMANENT RESIDENT SINCE	E: 12/12/2005 5: 02/22/2016
COB:		5. 02/22/2016
C1 USA		
TAYLOR:	<pre>FRANCIS<edwin<<<<<<<<<<<<<<<><<<<><<<<><<<<><<<<><</edwin<<<<<<<<<<<<<<<></pre>	
MOTHER'S NAME: EDWINA	FATHER'S NAME: ZACHI	16
CARD PORT OF ENTRY: BAL	PAINER S NAME: ZACALO	5
CLEAR EXIT PF4 DISPLAY	IENU PF5 HELP PF6 MAIN MENU PF7 CF	ARD 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.

28

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5.1.10 File Transfer Display (9504)

S A2B . [DHSD3 WSD, DHSD3 WCD] 🕂 File Edit Session Transfer Program Options Window Help ц. μ HEI PI 199 9≥£⊳ SAUE IMMIGRATION AND NATURALIZATION SERVICE CIMPTO 01/06 ٨R COMMAND: 0804 FILE TRANSFER DISPLAY (FTD) CIS 11:33:03 A#: \$\$\$\$\$\$\$\$ NAME: TAYLOR , FRANCIS DOB: 0 8 8 8 8 8 PREVIOUS FCO: FCO CREATING SUB-FILE: 5AL CURRENT FCO: NRC SUB-FILE CREATION IND: REQUEST FCO: NRC FILE LOCATED IND: C (FILE TRANSFER COMPLETE) ACCESSION NUMBER: 0000 DATE FTR: 01242006 (MIDDYYYY) DATE FTI: 01242006 INS BOX NUMBER: DATE FTC: 02022006 **REQUEST NUMBER:** PERSON'ACTION: 2ND REQUEST DATE: **3RD REQUEST DATE:** YOU HAY 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

29

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5.1.11 <u>Tables</u>

LIP DISDA C DE Edi Sesio IDMS DC258002 IDMS DC258003 TS570001 NRC03 TS570011 Coun V77 ENTER NE	n Transfer V77 ENT V77 USE 2916 Las t-10942	2008an Do ER PASSWO R NRC0291 t Used 15 Mode-Fail	RD B SIGNED 0 Scp 06 08	N LTERH VTH 19 System	LT159 AT 0 02R1 Facil	8:37:43. ity J479	64 06.258
3270							HUM QVR

The <u>Tables</u> 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 <u>tables</u>. The next screen displayed will be the <u>Tables Menu Screen</u>.

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30

Updated on 7/18/2011

1345

5.1.12 Tables Menu



Placing the cursor in the <u>Table ID</u> field and pressing the function key PF7 a list of tables is displayed.

31

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5.1.13 Tables Information Screen

ADDE [D] (SDSAASD D) (4 Eds Eds Sestion Transfer		њ.	- CX - CX
TEXTBINE	INS STANDARD TABLES D Table informati		PAGE 09/15 06 0001 08:46:07
COMMAND	(SELMU, VADA	AD, LODAD. VAINE, OR LO	INF)
SELONE TABLE	ID TABLE TYPE	TABLE DESCR	IPTION
ADJX Afac Airx Asc	VAL	ADJUSTMENT OF STATUS CIS/AFAC FCO CODE TAB INTERNATIONAL/MUNICIP APPLICATION SUPPORT C	LE Al Airports
ASIL Asyl Bphq Bphx	LOC LOC	ASYLUM INTERVIEW OFFI ASYLUM OFFICES HEADQUARTERS BORDER PATROL SECTOR	
BPSH BPST BPSX CCDI	LOC Val	BORDER PATROL SECTOR BORDER PATROL STATION BORDER PATROL STATION INS'DOS USCS COUNTRY	S CODES
PF1 PGFRWD		PF6 PF8 Nenu exit	
3270	E RECORD OR TRY OTHER	FUNCTIONS	NUM OVA

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.

32

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5.1.14 Value Tables Browse Screen

		BE X
TBXVAINF	INS STANDARD TABLES D	ATABASE FACILITY PAGE 09'15 06
	VALUE TABLES BRO	WSE SCREEN 0014 08:56:10
COMMAND	(SELNU, VADA	D, LODAD. THINF, OR LOINF)
	ONTY TOPLE DECC. ON	JUSTMENT OF STATUS CODES
INDLE-ID:	HOJX THELE DESC: HD	JUSTNENT OF STATUS CODES
SEL SEARCH VALUE	VALID CODE	TABLE TEXT
167		SLF-PETITION CHILD OF USC
168	168	CHILD OF IB6
IC6	IC6	INDOCHINESE REFUGEE
IC7	IC7	SPS CH INDCHN REF NOT QUA SEC
ID6	IDG	INDOCHINESE PAROLEE
IF1	IF1	ALIEN REC ADM FOR PER RES CREA
IF2	IF2	MINOR CHILD OF IF1 ALIEN
IRO	IRO	PARENT OF U.S. CITIZEN
ire	关张客	SPOUSE OF CITIZIN
IR7	IR7	CHILD OF CITIZEN
IR8	IR8	ORPHAN ADOPTED ABROAD BY CITZ
PF1	PF2 PF4	PF6 PF8
PGFRWD P	'GBWRD PREVISCN M	ENU EXIT
TB100043 SELECT ON	E RECORD OR TRY OTHER	FUNCTIONS
3270		
		HEUMI OVR

Read the screen in its entirety for navigation instruction and additional information.

33

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5.2. Computer Linked Application Information Management System

5.2.1 Introduction

The Computer Linked Application Information Management Systesm (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.

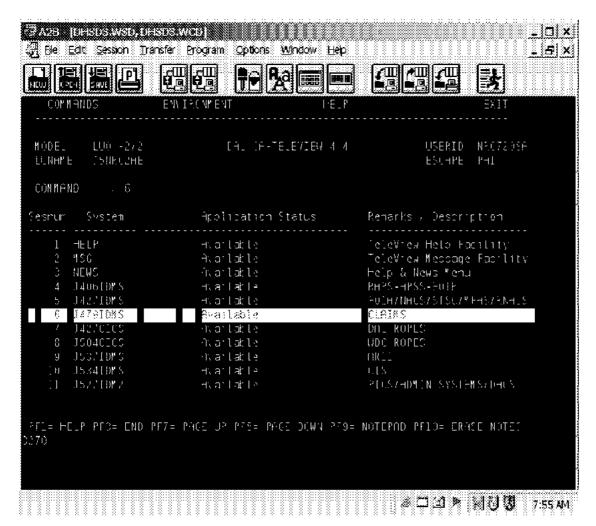
5.2.2 Teleview Introduction Screen

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and search and retrieve any information stored within the system. By
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artormation retrieval for law enforcement and other concoses. Users should
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This screen is the introduction to TeleView. From this screen, use the designated UserID (NRC####A) and Password to sign onto the database.

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5.2.3 CLAIMS Selection Screen



The number selected to access CLAIMS can vary for each computer.

35

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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.

-36

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5.2.5 CLAIMS Welcome Screen

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		NUM OVR

Press enter from here to get to the logon screen.

37

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5.2.6 CLAIMS Logon Screen

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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.

38

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5.2.7 CLAIMS Main Menu Screen



From the Main Menu type the number for INQUIRY/UPDATE PROCESSING and press enter.

39

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5.2.8 Inquiry Screen, searching with a Receipt Number

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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.

40

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5.2.9 Searching CLAIMS using a Name and Date of Birth

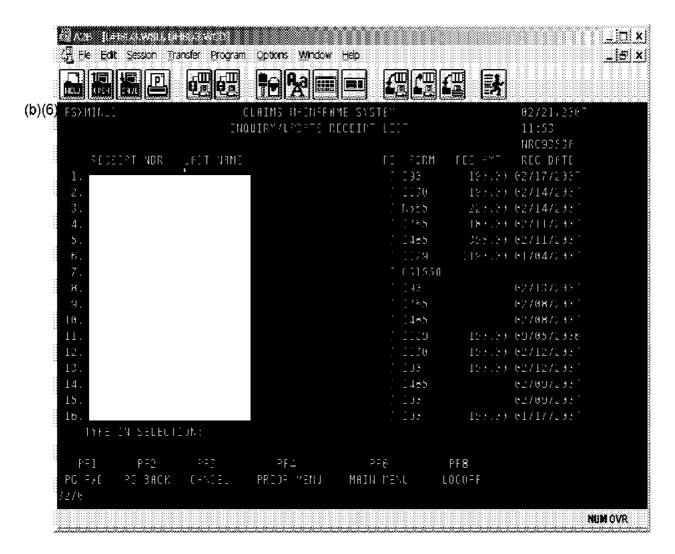
You may also search name and birth date. CLAIMS does not forgive spelling errors and will not conduct "sounds-like" searches. If you do not immediately find a receipt, you should also search by alias names and variations of the name. You may also search without the birth date. This may have the results you are looking for depending on how common the name of the subject. Searching using the birth date will narrow the findings.

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41

Updated on 7/18/2011

1356



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.

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42

5.2.10 Searching with the A-Number

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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.

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5.2.11 Searching with the Petitioner's Name

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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.

44

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5.2.12 Search Results

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The screen print below is the result of a search. The receipt shown is for an I-751, Petition to Remove Conditions on Residence.

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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)

45

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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.

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46

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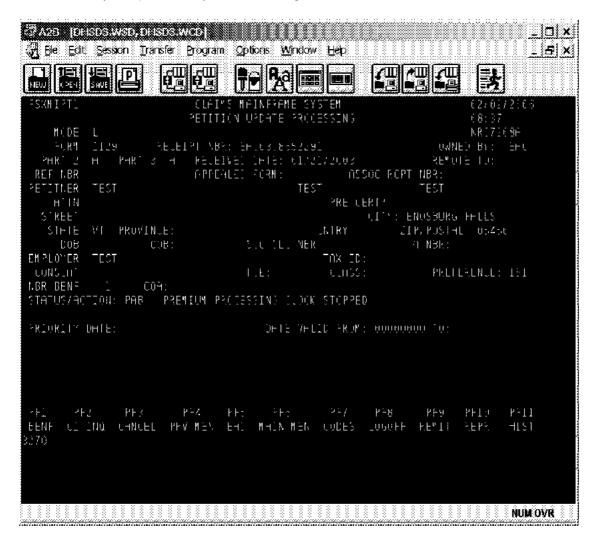
(b)(7)(e)

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.

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47

5.2.13 Beneficiary Petition for Non Immigrant Worker



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.

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Updated on 7/18/2011

1363

To see the beneficiary information press F1.

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49

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To view the history, press the F4 key to return to the previous screen, and enter F11.

50

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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)

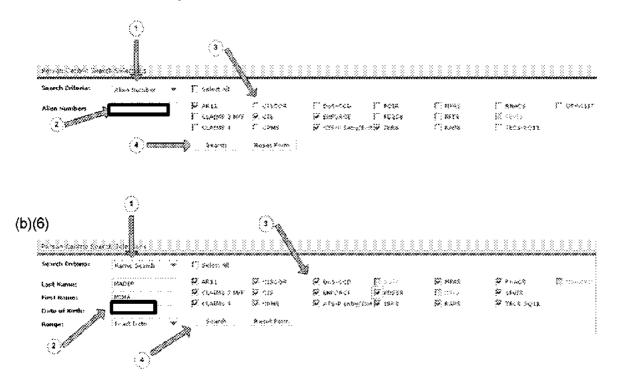
NFTS is an automated system that enables USCIS to track and account for nearly 50 million Alien Files (A-Files) and Receipt Files. NFTS allows for local control of all files within a designated USCIS File Control Office (FCO) or Case Control Office (CCO), The system supports the file migration from the 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.

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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 <u>https://pcq.esb.uscis.dhs.gov/</u> and click on the Users Guide link below the Warning.

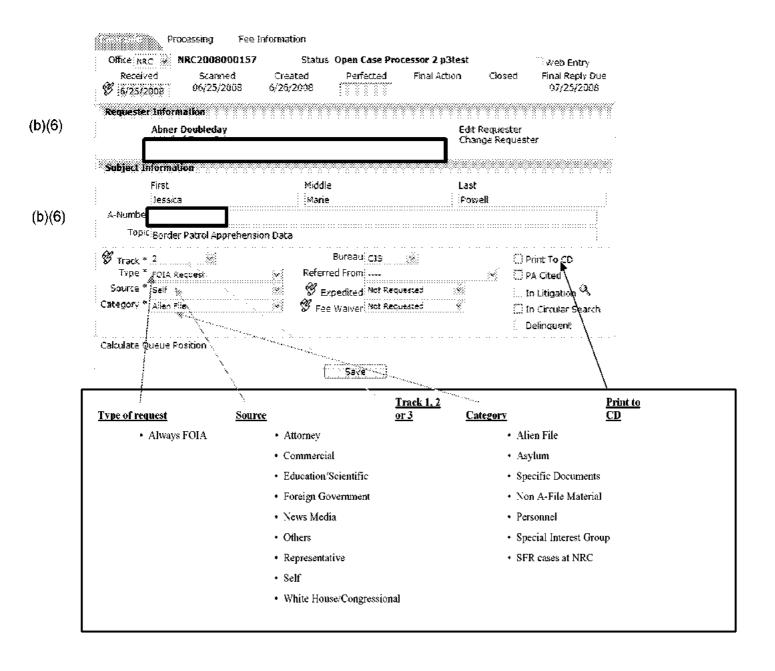


5.5. FOIA/PA Information Processing System (FIPS)

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.

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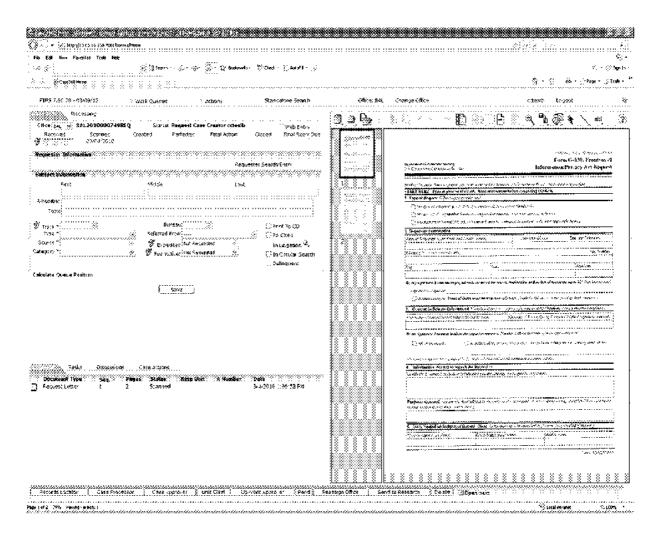
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6. CREATING THE CASE

FIPS 7.00.90 - 07/28/2010 Work Queries

Case Workflow Queues
Case Creator
Workflow Queries
Available Cases



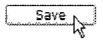
On the FIPS worksheet under the header "Contents," you will notice that usually Sequence 1 is the "Request Letter" and Sequence 2 is usually "Request Supporting Documents." There will be a date and time in the right column.

54

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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:

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55

6.1 **REQUESTER INFORMATION**

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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.

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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.

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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

58

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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.

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Last Name	
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Address2	
Address3	
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State	·····
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Phone	
Frequent Requester	X Yes
	O No
	O Ether
(Search)	Cancel Add New Recuester

If you get any matches to your search, you will see a screen that looks like this:

59

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Updated on 7/18/2011

AILA Doc. No. 16102838. (Posted 10/28/16)

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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:

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Pog,Bonnie		Simmons
B _Q , Timmy		Simpson
Total item(s)	found (6 of	6)
in the Page	1 of 1 🐝 »	×

And it will populate the requester information like this:

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Updated on 7/18/2011

AILA Doc. No. 16102838. (Posted 10/28/16)

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:

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Requester Search	
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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.

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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:

62

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(b)(6) Requester Information C G Culpeoper Change Requester Copy to Subject

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.

(1.) (0)	Subject Information			
(b)(6)	First	Middle	Last	
	Melville		Crump	•
	A-Numbe			
	Торіс			

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.

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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.

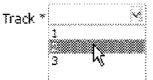
6.3.2.3 When the request is for vacancy announcements, the vacancy announcement number must be the first part of the description. See <u>CIS Personnel Information</u> for more information on handling personnel related requests. In other types of situations, put as much of the pertinent information in the description line as space will allow. You may need to modify the acknowledgement letter.

6.3 CASE SPECIFICATIONS

64

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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 <u>three documents or less</u> (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 <u>more than three</u> 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

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 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 <u>"Expedited Treatment"</u> in this guide.

6.3.1.3.5 Track 3 processing is <u>not</u> "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.

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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 * Privacy Act Request Referral FOLA Request Referral Privacy Act Privacy Act Amendment Referral PA Amendment

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

*		
	Attomey	
	Commercial	
	Education/Scientific	
	Foreign Government	
	News Media	
	Others	
	Representative	
	S N	
	White House/Congressional 😽	

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.

67

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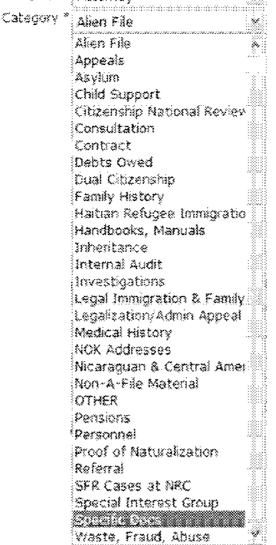
- Commercial
- Education/Scientific
- Foreign Government
- News Media
- Others The requester of the file is someone other than the alien, an attorney or an accredited representative. They might possibly include a G-28 with something other than "Attorney" or "Accredited Representative" checked.
- Representative 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.

68

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6.3.4 Category



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

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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 <u>NRC, FOIASIG</u>. Click "Reassign Office." Send the case to Unit

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⁷⁰

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 <u>historical records</u> 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.
- 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
- 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.

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⁷¹

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



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. <u>Note: If request is for entry/exit information and the requester/subject provided an alien number, request the file.</u>

6.3.6 Is there a request for expedited treatment?

Expedited Not Requested

Requeste	d
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;

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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)].

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

73

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Updated on 7/18/2011

or

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		Sta	1 /5	****		
Search For	Coofficate Cas	les Not	Started			
Create Ad	debanai Cases	Not	Starled			
Geste File	e Øsemesst	Not	Started			
Admonied	lgement Letter	· Not	Started			
Fasticitie	a Letter	14 57E	Started			
Specialty i	etter	Not	Started			
Status Lat	ter	Not	Storted			
Stank Lette	27	Not	Started			
interess i.	ater	Not	Started			
Expeditori	Qen.s.j.euec	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 <u>TRACK 3 PROCEDURES</u>. 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":

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and	Desktop		ae 💥 AP	P2010000137	_2_ak_foia	
My Recent • Documents ·····	Favorites		S) AP	P2010000137	3_ONE_PAGE	1
· Decuments·····	🎡 My Documen	ts	AP AP	P2010000137	_6_STAFFING	
	sNet Hood		<u>@</u> ∰AP	P2010000137	_9_STAFFING	LOST
A.r.s			∭BA/	L2009000017	_2_AK_FOIA	
Desklop	∭ ≳Send To		BA	L200900020	_3_AK_FOTA	
	🔆 👔 Start Menu		💥 BA	L2010000162	_2_AK_FOIA	
	STemplates		88 BA	L2010000162	_3_ONE_PAGE	
Sec. 1	až 2000 3		BA	L2010000162	6_STATUS	
My Documents	0007		BA	2010000162	7_BLANK	
	20010		BA	L2010000162	_8_IN_INTERE	ST .
	APP2010000	136_2_AK_FOIA	a 🖄 co	W200 30 0007	3_7_PAYMENT	
My Computer	.: 					
	File name:					Save
My Network Places	Save as type:	All files			<u> </u>	ancel

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" <u>before you send the case to Up-front</u> <u>Approver</u>. 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."

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6.3.7 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. 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

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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" <u>before you send the case to Up-front Approver</u>. 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 <u>deleting</u> the paragraph that begins with "This office will

77

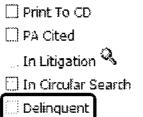
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be providing your records on a Compact Disc (CD)"

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?



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	
Sage Morgan SetSetSetSet	(816) 555-5553
123 Drive	≿5555
Leas Summit MC 54086	sage®vahøo.com Copy to Subject

To view other cases for the same requester, click the Query icon next to the delinquent notice.

Requester Information		
Sage Morgan Determination	R	(816) 555-5555
123 Drive Lees Summit MO 64086	rn -	∠5555 sage®yahoo.com ^C орγte Subject

78

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The query results appear in a separate window.

Query Results

2 Delinquen Ceses (n. Re	juester results - V	Jehpage Dialog
¥,		=sQry_getDelinquentCasesForCase&CASEID=8704 Fee Charged Fee Collected
DLS2010000044 Total item(s) found (1)	4/21/2010	1,500

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 <u>NRC, FIPSPROBLEM</u> (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 <u>must</u> 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	GWADD.	Discussions	Case Actions	**
Task		Statu	#	1
Create Cas	₽	Not S	tarted	
Search("]br I	Duplicate Cas	es NotS	tarted	

79

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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.

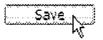
If the requester has more than one delinquent case, you will have to add up the total and modify the delinquent requester letter providing the case number for each delinquent case, the dollar amount owed for each, the total dollar amount owed, and instructions to prepare a check for the total amount 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.

Records Locasor (Case Processor) Case Approver (Unit Chief) Ut-Hond Approver (Pend) Reassign Office (Send to Research (Device) [Open with

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

80

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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."

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81

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82

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Updated on 7/18/2011

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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:

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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:

83

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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:

| Processing Fee Inform                                                     | Work Quéries             |
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| Set this case as duplicate to original ca<br>Search Complete Search Again | e                        |

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.

84

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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 Discussion                       | Case Actions | 8 |
|-------------------------------------------|--------------|---|
| Task                                      | Status       | 3 |
| Search For Duplicate Cases                | Not Started  |   |
| Create Additional Cases ( <sup>16</sup> ) | Not Started  |   |
| Create File Request                       | Not Started  |   |
| Adknowledgement Letter                    | Not Started  |   |
| Final Action Letter                       | Not Started  |   |
| Speciality Letter                         | Not Started  |   |
| Status Letter                             | Not Started  |   |
| Blank Letter                              | Not Started  |   |
| Interest Letter                           | Not Started  |   |
| Expedited Denial Letter                   | Not Started  |   |
| Vaughn Indek 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**.

85

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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:

| Control            | Yumber Scanned        | Requester's<br>Last Name |              | Last Plane | First<br>Name | Middle Top<br>Name |
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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 |                         |
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# 7. <u>CONSENT, VERIFICATION OF IDENTITY, AND</u> <u>DESCRIPTION OF RECORDS</u>

"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 <u>written</u> request by, or with the prior <u>written</u> consent of, the individual to whom the record pertains.

86

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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.

87

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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** <u>ANY</u> **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 <u>not</u> 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

88

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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: <u>O:\Foia\FOIA\_LIBRARY\Case\_Create\_References\Case\_Create\_Template\_Letters</u> or the form "Requester Documentation Attachment" located at: <u>O:\Foia\FOIA\_LIBRARY\Case\_Create\_References\Case\_Create\_Template\_Letters</u> or the form "Requester Documentation Attachment" located at: <u>O:\Foia\FOIA\_LIBRARY\Case\_Create\_References\Case\_Create\_Template\_Letters</u> \<u>Requester\_Docs\_Attachment (4)</u>. 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.

89

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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 (2000)                           | Discussiona Ca: | e Actions History                                                                                              |                        |                   |                      |
|-------------------------------------------|-----------------|----------------------------------------------------------------------------------------------------------------|------------------------|-------------------|----------------------|
| Task                                      | SI              | etus                                                                                                           |                        |                   |                      |
| <ul> <li>Search For BupState C</li> </ul> | <b>eses</b> 81  | regestie k                                                                                                     |                        |                   |                      |
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| Create Fae Request                        |                 | and a second |                        |                   |                      |
| acknowledgement Lett                      | e) #0           | t Started                                                                                                      |                        |                   |                      |
| Final Action Letter                       | tik.            | t Started                                                                                                      |                        |                   |                      |
| Spensity Letter                           | A40             | it Started                                                                                                     |                        |                   |                      |
| Status Letter                             | 260             | t Started                                                                                                      |                        |                   |                      |
| Elani: Letter                             | 540             | et Started                                                                                                     |                        |                   |                      |
| Interest Letter                           |                 | t Started                                                                                                      |                        |                   |                      |
| Expedited Denval Lette                    | : \$\$0         | it Started                                                                                                     |                        |                   |                      |
|                                           |                 |                                                                                                                |                        |                   |                      |
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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:

90

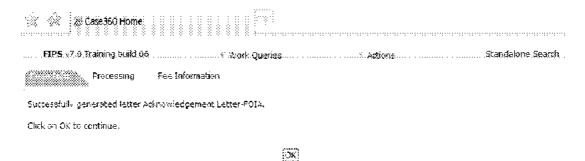
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| FIPS x7.0 Training build 06                                                                                         | © Work Queries | * Actions                 | Stan |
|---------------------------------------------------------------------------------------------------------------------|----------------|---------------------------|------|
| Processing Fea Informat<br>Acknowledgement Letter Options                                                           | ion            | Documents Required        |      |
| Fee Estimate Prepayment Required                                                                                    |                | r Requester Documentation |      |
| <ul> <li>Advance Payment Returned</li> <li>Add Lost File Paragraph</li> <li>Add Track 3 Denial Paragraph</li> </ul> |                |                           |      |
| Additional Options                                                                                                  |                |                           |      |

No options found.

Generate Letter Cancel

We then click on "Generate Letter." Our only option at that point is to click OK:



As soon as you do, a File Save pop-up window will appear. Click "Save."

91

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Updated on 7/18/2011

AILA Doc. No. 16102838. (Posted 10/28/16)

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| We received your request for information relating to Chris P. Bacon<br>Your request is being handled under the provisions of the Freedom of<br>It has been assigned the following control number: NRC2010000800<br>correspondence about your request.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    | of Information Act (5 U.S.C. § 552).                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |
| We respond to requests on a first-in, first-out basis and on a multi-tra-<br>placed in the complex back (Track 2). You may wish to narrow you<br>order to be eligible for the faster track. To do so, please send a writt-<br>document sought, to the address above. We will notify you if you re                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        | n request to a specific document in<br>en request, identifying the specific                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |
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| and duplication must exceed \$14.00 before we will charge you any t<br>fees, however, if fees in excess of \$25.00 are required, we will notif<br>This office will be providing your records on a Compact Disc (CD)<br>The CD is readable on all computers through the use of Adobe Acro<br>Acrobat will be work before the CD. Non-records can be size to be                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            | y you beforehand<br>for use on your personal computer.<br>(bat software) A version of Adobe                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |
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| Acknowledgement Letter-FOIA  | 6    |       | Inactive |                   |           | 12/3/2010 10:14:14 AM |
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When the requester provides the additional information, A FOIA/PA Assistant working in Records Locator queue will request the records.

96

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## 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.

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# 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, NRCFOIAMSB).

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."

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## 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.

99

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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 <u>only</u>, 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 <u>slot</u> 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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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 ADMINSTRATION 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 <u>MSB</u> 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

101

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**PER** for the category and **CIS** for the bureau, in the "Topic" field, enter the vacancy announcement number.

- Records Locator - Casa Processor - Casa Aporover - Unit Chief - Upstront Aporover - Pend - Reassyn Ofice - Send to Research - S Dalets - Openvert

Click on the "Reassign Office" and select the HQS office. The case will be staffed when it is reassigned to the HQS queue. Send an e-mail to <u>NRC, FOIASIG</u> 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:

 $http://cbpnet.cbp.dhs.gov/xp/cbpnet/hrm/for\_employees/info\_about\_you/eop\_folder/eopf\_logon.~xml$ 

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.

102

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| 68 Action Letter                                                                                                                                                                                          | Final Action Dependent Options                                                                                                                                       |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| P:Duplicate<br>R:Created in Error<br>C:Requestor's failure to comply<br>I:Requestor's failure to ID records                                                                                               | Records Needed<br>—————————————————————————————————                                                                                                                  |
| B:Not applicable -cartified copy<br>R:Non-possession of records<br>R:Old records<br>D:Redirected to another agency<br>F:Referred to a DHS Component<br>TUAnable to locate records<br>ID:Request withdrawn | Non-FOIA Operational Units<br>ML<br>Non FOIA Offices<br>Privacy Act Amendment Request<br>REQUEST FOR FILE FROM & FOREIGN FOO<br>Service Centers<br>TRN FOIA/PA VoiCT |
|                                                                                                                                                                                                           | Trn Fola/Pa Unit<br>WCF                                                                                                                                              |
|                                                                                                                                                                                                           |                                                                                                                                                                      |
| 18-501.7                                                                                                                                                                                                  | Redirects/Referrals                                                                                                                                                  |
| 18 <b>*911,</b> *                                                                                                                                                                                         | Redirects/Referruls                                                                                                                                                  |

## 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 <u>routine use</u> category.

## 8.12 REQUESTS: Return of original documents

103

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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.
- Prepare an email for <u>NRC</u>. FOIASIG and insert the case number in the body of the email.
- 5. Change the Office to "COW." Click "SAVE." Click "Reassign Office." You are now ready to move on to the next case.

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## 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, NRCFOIAMSB.
- 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

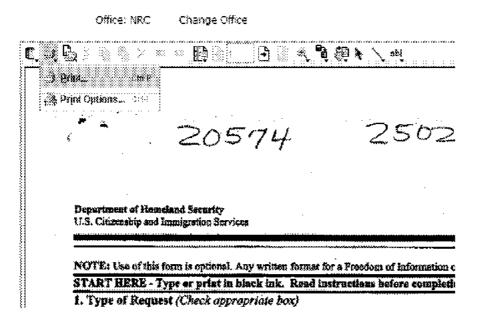
When the unit receives correspondence from a member of Congress, the creator will need to create the case as a track two case, mark the category as Congressional, request the requested documents and send an e-mail to the <u>MSB</u> Mailbox advising them of the control number, congressional contact information 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:

105

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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."

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|---------|------|-----|-----|--------|------|---------|----|-------|----------|------|----------|----|----|-----|---|----|---|---|---------|------|------|---|--------|
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## 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.

106

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#### 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 <u>NRC, FOIA PROGRAM</u>; <u>McDaniel</u>, <u>Marcia M</u> (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 <u>Case Specifications, Category 4 (Other)</u>.

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

107

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## 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 <u>USCIS</u> <u>Genealogy Program</u>. 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."

#### 108

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NOTE: You may find the complete list of criteria in <u>Section 3, "Category of request" in the sub-paragraph "GEN.</u>"

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, <u>but</u> 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.

109

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# 9. <u>REFERRAL AND REDIRECTION</u>

## 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.

110

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FIPS will automatically create two documents: A final action letter to the requester and a referral memorandum to the DHS component.

111

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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

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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.

114

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#### 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 <u>NRC, FOIASIG</u>. 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 <u>Entry/Exit CBP</u> information above.

## 10. <u>DETERMINING TO STAFF BASED ON BEST</u> <u>INFORMATION AVAILABLE:</u>

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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# 12. <u>REQUESTING THE RESPONSIVE RECORDS</u>

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.

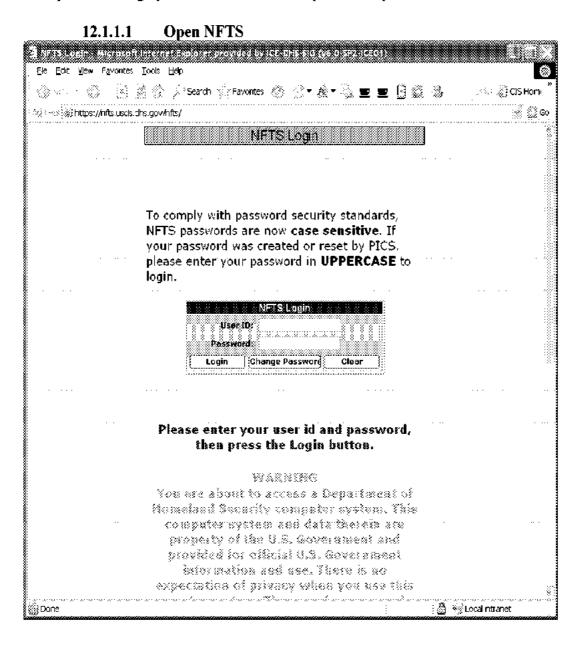
If you pull a case that has a FOIA Safe staffing you should **NEVER** cancel the file request. Send the case to Pend.

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#### 12.1 Staffing by Alien Number

#### 12.1.1 One A-number provided on the request (with example staffing)

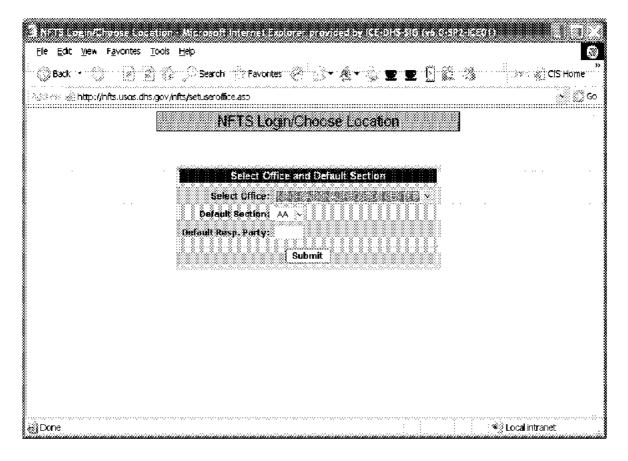
If an A-number is provided on the request and CIS confirms that it belongs to the alien, ensure you have all the other required elements (DOB, COB, DOE, POE and parents' names) to complete the case create. If any of the required elements are missing, request the additional information when sending the Acknowledgment Letter. The section that follows is a systematic example of staffing by A-number when the requester has provided one.



#### 117

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118

# 12.1.1.3 Select "Inquiry"

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119

**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.

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120

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.

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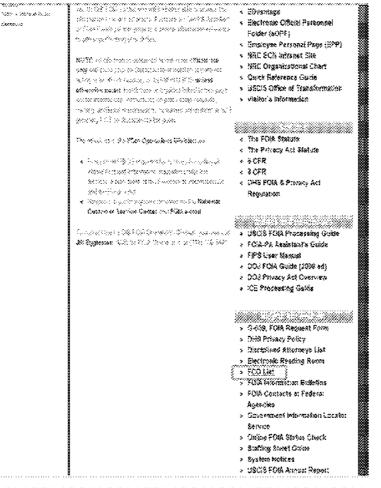
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## 12.1.1.6 "Blued in" information

- 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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### 122

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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.

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## 12.1.1.9 The FCO List

From NFTS we know that the FCO is Seattle. We should check to be sure that if the FCO is SEA that we staff to SEA. It's not always intuitive. For example, you can see that we staff SEA to SEA, but you can also see that if the FCO is LAW we staff to BOS.

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#### 124

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## 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.

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|                                           | sections. Choose the FCO where the file is to<br>Office Section Detention & Remotal I Criminal Alten Program C Deportation Offices: Assistant/Clerk I Bond Control Spec. Inumgration Enforcements Field Disnict Office Admin Program Office Non-Detained or Detained Frocessing Center                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        | Actobyn<br>Actobyn<br>DENTENT, D&R, DET, DRO, DD&P<br>DO, SDDO                                               | 3 on drop-cover menu tred Refere<br>3 <b>the drop- S</b> over menu for "Calegory                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |

125

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# 12.1.1.11 Generate the file request

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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.

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## 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:

A-Number 012345678 💓 🗔 EDMS

| Staff Request To                                                                                                               | Generate Staffing Sheet                                                                     |
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| DRO - POM<br>DRO - POO<br>DRO - POO<br>DRO - REN Reno<br>DRO - SAC Sacramento<br>DRO - SAC Sacramento<br>DRO - SAL San Juan PR | <ul> <li>No Staffing Latter</li> <li>Customize Letter</li> <li>File Missing/Lost</li> </ul> |
| DRO - SFR San Francisco<br>Request To Staff                                                                                    | Office Contact                                                                              |
| ORO - 554 Seattle<br>Deportation wast<br>206-533-0031                                                                          | Name Botto Volka<br>Emai<br>CC Emai                                                         |

Request File

| Search For Duplicate C<br>Create Additional Case |                | Not Slarted  |                  |                   |        |                 |   |
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127

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### 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)."

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128

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|                                                                                                                                                  | U.S. Citizenship<br>and Immigration<br>Services                                                                    |  |  |  |  |  |
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| m (b)(6)<br>ATTN: Bonty Wong                                                                                                                     |                                                                                                                    |  |  |  |  |  |
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| - FROM: NRC FOIA/PA                                                                                                                              |                                                                                                                    |  |  |  |  |  |
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| The attached FOIA/PA request is forwarded to you on high probability your office will have records response                                      |                                                                                                                    |  |  |  |  |  |
| <ul> <li>Please conduct a thorough search for all responsive records physically in, and within the functional purview of your office.</li> </ul> |                                                                                                                    |  |  |  |  |  |
| Send a copy of all responsive documents to the F     REDACTIONS.                                                                                 | OIA office in their entirety. DO NOT MAKE                                                                          |  |  |  |  |  |
| Bracket any documents or portions thereof that ye explanation for your action. The FOIA Staff will further discussion with you.                  | m believe should be withheld. Please include a brief<br>1 not release those items so indicated without *<br>*<br>o |  |  |  |  |  |
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As soon as I clicked "SAVE," FIPS opened the staffing letter for me in Word.

129

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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.

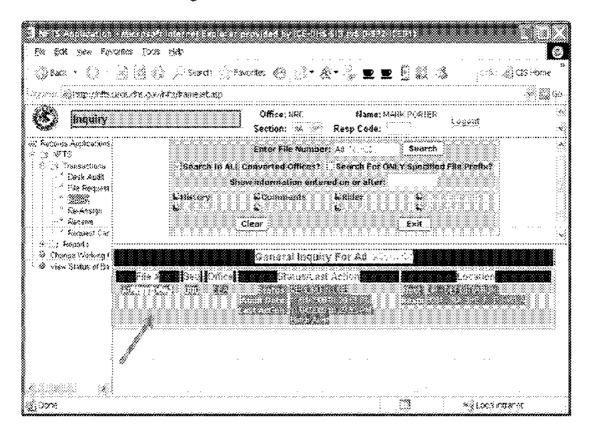
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130

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## 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.



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131

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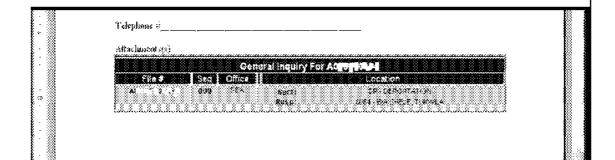
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132

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133

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134

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.

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135

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# 12.1.1.15 Save changes and check it back in

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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

136

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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 <u>both</u> located at the NRC, please add them to the spreadsheet that Records Operations maintains at <u>S:\Record\_Ops\Files\_</u> to <u>Consolidate.xls</u>. 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) Anumber 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.

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# 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, 9101history (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 <u>Staffing Scenarios – Receipt Files</u> 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.

138

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# 12.5 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 request the receipt file. Enter the receipt information into the Topic field. Make the first part of the description the receipt file number. Use the complete receipt number with no spaces or dashes.

Example of the correct way: EAC0812345678 An example of how <u>NOT</u> to do it: EAC-08-123-45678

If every case creator enters receipt information the same way, it is easier for the next case creator to identify duplicate or similar cases. The next case creator may base the search on "EAC081234567%," and if the previous case creator entered dashes, the search will not identify the duplicate.

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 <u>RPC codes XX, XY</u>, <u>ZG, ZY, or ZZ</u>. Refer to the Staffing Sheet Guide for the most current information.

# 12.6 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.

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 file request 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 file request and paste the retired screen print.

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# 12.7 Staffing Scenarios

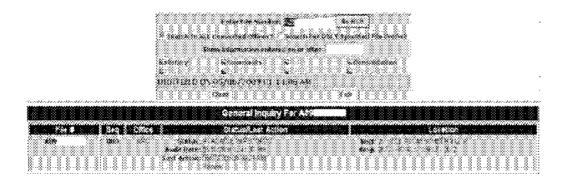
# 12.7.1 Digitized files

If you are requesting an A-file that has been digitized please use the **RDF** file request. If the file has been digitized, the current FCO does not matter; you would still use the **RDF** file request.

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.

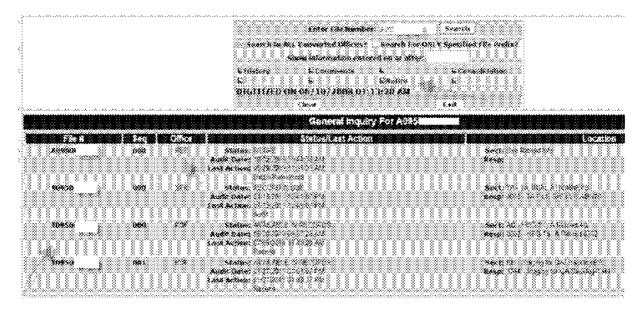
The temptation may be to staff RAFACS/CIS because the file shows available in records at NRC. Do not do that. If it shows "DIGITIZED," then staff to RDF. Also include any T files you find in the General Inquiry screen.



Paste in the "General Inquiry" information on the RDF staffing the same as you would on a RAFACS/CIS staffing. Delete the status/action item column, but DO NOT delete any T-files. MSB will know the file is digitized because you have staffed using an RDF file request. This also applies to Retired files that have been digitized. Do not use the retired screen on Retired digitized files. An example has been provided below.

140

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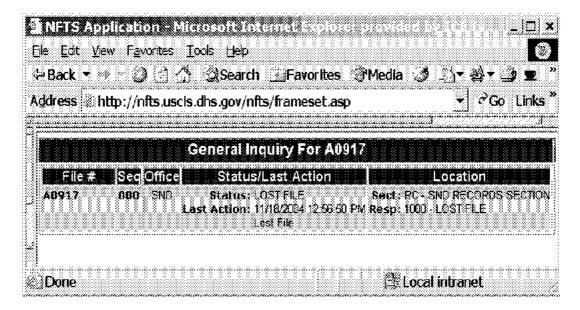


In the example above, you will have to make two staffings. Notice there is a T-file currently in use at OPLA San Francisco? That also changes the Category of the case to "SFR Cases at NRC."

# 12.7.2 Files Lost or Not Found LESS THAN NINE MONTHS

Note: Please refer to the Lost File Flowchart which you will find in Appendix H.

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.



141

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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.

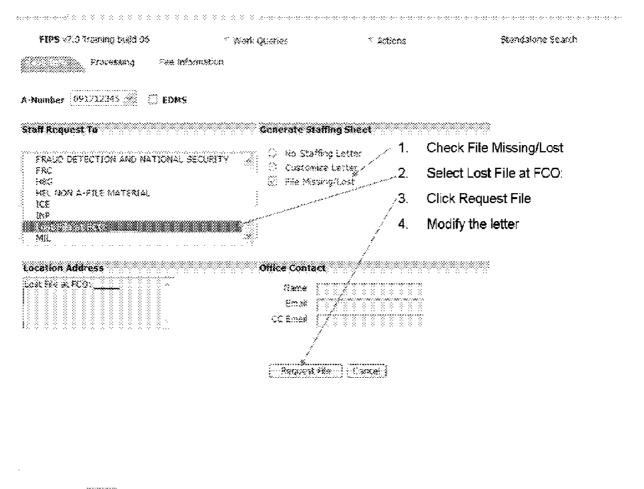
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|                                       | S FCC: NRC                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |                     | CREATING SUB               |               |
|                                       | T FCO: SND                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      | ∧ <sup>s⊎l</sup>    | B-FILE CREATIC             | IN IND:       |
| REQUES                                | T FCG: SND                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      | M                   |                            |               |
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| YOU KAY REQUEST                       | A DISPLAY OF A                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  | NOTHER A-FILE BY KI | EYING A DIFFER             | ENT A-NUNBER. |
| CLEAR EXIT                            | PF3 REFRESH P                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   | F4 FTS KENU PF5 I   | HELP PF6 CIS               | MAIN KENU     |
| 270                                   |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |                     |                            |               |
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When the file appears lost in CIS 9504 and NFTS, Staff using the Lost File at FCO: \_\_\_\_\_\_ file request (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, request the file per the FCO in NFTS.

Under "Create File Request" mark the box "File Missing/Lost".

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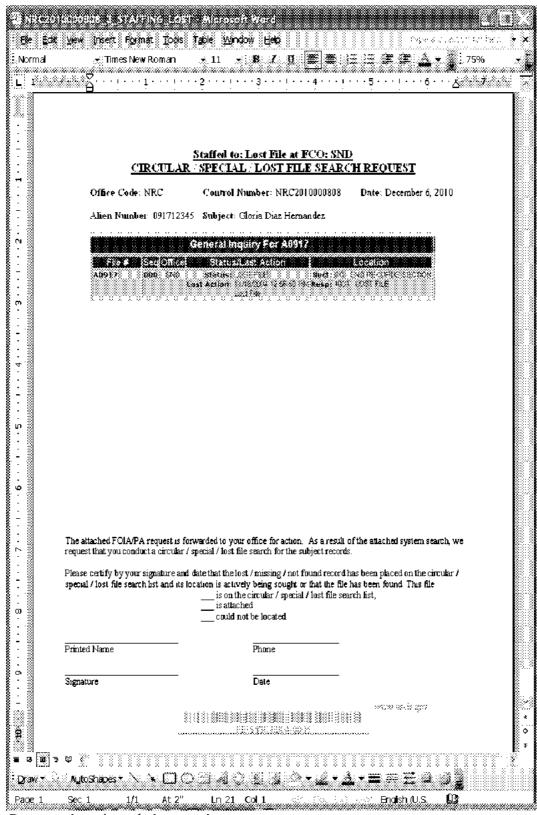


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| Records Locator Case Processor                                         |                                                                     | Volfront Approver [Fight]                                                                                      | Reassion Office 👘 🗟 e              |
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Generate the acknowledgement letter.

144

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| Processing Fee Information Acknowledgement Letter Options                                                           |              | Additional Documents Required    |
|---------------------------------------------------------------------------------------------------------------------|--------------|----------------------------------|
| Pae Estimate                                                                                                        |              | Other Requester Documentation    |
| Prepayment Required                                                                                                 |              |                                  |
| <ul> <li>Advance Payment Returned</li> <li>Add Lost File Paragraph</li> <li>Add Track 3 Denial Paragraph</li> </ul> | , <b>1</b> . | Click Add Lost File<br>Paragraph |
|                                                                                                                     | 2.           | Click Generate Letter            |
| Additional Options<br>No options found.                                                                             |              | Gancel                           |

FIPS inserts the Lost File Paragraph right after the CD Paragraph:

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145

Updated on 7/18/2011

AILA Doc. No. 16102838. (Posted 10/28/16)

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|                 | No received your request for information relating to Gloria Diaz Hemandez on December 00, 2010                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |
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|                 | courrequest is being handled under the provisions of the Freedom of Information Act (5/U/8, $C \gtrsim 552$ )<br>thas been assigned the following control number: NRC2010000803 – Please cite this number in all future                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |
| . ,             | enespondence about your request.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |
| ,<br>L          | to a more than a first of the set for a state of the set of the se |
| . '             | Ve respond to requests on a first-in, first-out basis and on a multi-track system . Your request has been<br>daced in the complex unck (Track 2). You may wish to narrow your request to a specific document in                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |
| Q               | ader to be eligible for the faster track. To do so, please send a written request, identifying the specific                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |
|                 | locument sought, to the address above. We will notify you if your request is placed in the simple track.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |
| I               | n accordance with Department of Homeland Security Regulations (6 $\le$ FR. § 5.3(c)), your request is                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |
|                 | leemed to constitute an agreement to pay any fees that may be chargeable up to \$25.00. Bees may be<br>harged for searching for records sought at the respective clerical, professional, and/or managerial rates of                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |
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|                 | (0) copies and two hours of search time are not charged, and the remaining combined charges for search<br>and duphoation nuest exceed \$14.00 before we will charge you any fees. Most requests do not require any                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |
|                 | ees, however, if fees in excess of \$25.00 are required, we will notify you beforehand.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |
| 1               | this office will be providing your records on a Compact Dise (CD) for use on your personal computer.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |
| 1               | The CD is readable on all computers through the use of Adobe Acrobat software. A version of Adobe                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |
|                 | Acrobat will be included on the CD. Your records can be viewed on your computer screen and can be<br>minted onto paper. Only records 15 pages or more are eligible for CD printing. To request your                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |
| P               | esponsive records on paper, please include your control number and write to the above address Attention                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |
| F               | 70IAPA Officer, on fax them to (\$16) 350-5785.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |
| Ē               | based on the information you provided in your request, we conducted a search of our records locator                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |
|                 | ndex system. This initial search indicated that the requested record is lost or missing. As a result, we<br>nove asked the Records office to initiate a lost-missing file search. This process takes an unknown amount                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
| . 0             | f time, therefore, we request your understanding and patience. Once the file is found, we will process                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
| 3               | nd provide it to you. If the file cannot be found, we wall notify you of our findings.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
|                 | ISCIS no longer collects Social Security Numbers in connection with FOIA or PA requests. When                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
|                 | orwarding to us any documents related to your request, please ensure any. Social Security Numbers on<br>he documents are blanked out or removed                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |
|                 |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |
| _               | A 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 199<br>A 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |
|                 |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |
| 333333<br>15773 | э ф                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |

When the case create process is complete and the creator is ready to exit the case, click the "Pend."

## 12.7.3 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.)

146

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Note: Please refer to the Lost File Flowchart which you will find in Appendix H.

12.7.3.1 If the A-file is lost but other records exist (such as receipt files we would normally request or other a-files), please go to paragraph 12.7.3.9 now. *Otherwise*,

- a. <u>if</u> the file has been marked as lost for more than nine months
- b. <u>and</u> there is no recent activity in CLAIMS (within last 2 years) or PCQS,
- and there are no additional files, then: a FOIA/PA Assistant working in Records Locator queue should put in the following Discussion: 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 Discussion.

12.7.3.2 Complete the attached Lost File Worksheet (and send it for scanning as CSD with any screen prints you do.)

12.7.3.3 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 Discussion with the subject "Unit Chief" listing the date the file was 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.

12.7.3.4 If there is no CIS screen referencing "EARM" "DACS" or "NAILS," please move to the next step now. *Otherwise*, if there is a 9101 screen containing "EARM-X" "DACS-X" or "NAIL-X," or if there are CLAIMS screens showing "NAIL: Y" or "NAIL: N," go to the next step.

12.7.3.5 Create a Final Action Letter and select the status 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.

12.7.3.6 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 Up-front Approver. You're done, *unless* the case is later returned to you for further research.

12.7.3.7 The Up-front 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.

12.7.3.8 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.

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12.7.3.9 <u>If the A-file is lost but other records exist</u> (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:

12.7.3.10 Cancel the lost file staffing and pend for responsive records.

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148

# **LOST FILE WORKSHEET**

| A-number                                                                                                                                                                                                                              |                  |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------|
| Name of Alien                                                                                                                                                                                                                         |                  |
| Date shown as Not Found in CIS                                                                                                                                                                                                        |                  |
| Date shown as lost in NFTS                                                                                                                                                                                                            |                  |
| <ol> <li>Search CIS for potential second a-number and/or consolidation         <ul> <li>a. Second a-number?</li> <li>b. Any T-files? Yes No</li> <li>i. If yes, have they been staffed and scanned? If not, pl</li> </ul> </li> </ol> | lease do so now. |
| <ul> <li>c. Consolidated with?</li></ul>                                                                                                                                                                                              |                  |
| <ol> <li>Check CLAIMS for petition/applications         <ul> <li>a. Were any found? Yes No</li> <li>b. If so, either provide screen prints with receipt number or limits</li> </ul> </li> </ol>                                       | st below         |

3. Check NFTS. Any current file movement. Yes No

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

NOTES:

149

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# 12.7.4 Staffing 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 file request do I use?

A: Each office has its own file request 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 request each alien file on a separate file request and write MULTIPLE STAFFINGS at the top of each sheet.

## 12.7.5 Records Indexing / Manual Requests

If you do not find a person in CIS, CLAIMS or PCQS, do not automatically print the screens and close the case NR. In some instances, the A-number exists but it will not be found in any systems search. 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. Look at the information in the request. For instance, if an individual claims to have arrived in the United States in 1960 and naturalized in 1971, it is important not to close the case NR. 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 file request. 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, but they claim to have done business with the service <u>after</u> 1975. 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

#### 150

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Naturalization dates

which are after 1975, do not create a Records Indexing file request, because no records will exist; check CIS and/or CLAIMS for a record. If you find no record, please refer to the section on <u>NO\_RECORDS</u>.

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.

### 12.7.6 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, CLAIMS and PCQS. 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 9102 Sounds-Like Name

151

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| "A≢ 6000000000 NAVE D00<br>(01) D #:                                                                                             | 81 00000000          |
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| (03) EXACT NAME(03) ADD TRANSACTIONS ME(04) AKA (A: AS) NAME(04) RECORD MAINTENANCE(05) LAPS EXACT NAME(05) FILL TRANSFER SUBSY. | ¥F NU                |
| (36) SOUNDS KE NAME W TH DOB<br>ETT) MANUAL SEARCH BEQUEST (MR)                                                                  |                      |
| (17) MANUA, SEARCH RESPONSE (SR)<br>(15) ON-LENE A-NUMBER REPORT REQUEST                                                         |                      |
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| CLEAR EXIT PES HELF PEGICIS MAENU<br>327%                                                                                        |                      |
|                                                                                                                                  | NUR OVP              |

NUM OVR

When conducting a search in CLAIMS (Computer Linked Application Information Management System) run alien's name as the beneficiary/applicant (3) <u>AND</u> as petitioner (6).

152

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| (김 Bie Edit Session Transfer Program Options Window Help                                    | ×                   |
|---------------------------------------------------------------------------------------------|---------------------|
| ESXMEMNE CLAINS MAENFRAME SYSTEM<br>LPDATE 280CESSING VENJ                                  | 04/09/2008<br>09:10 |
| SELECT AND COMPLETE ONE LINE                                                                | NRC2730A            |
| T, RECEPTING :                                                                              |                     |
| (SELECTIONS BLEOW OR APPE CATIONS AND PET TIONS ONLY                                        |                     |
| 2. JSER (D) DATE                                                                            | ( MNDDCCMM)         |
| <pre>BENEFFCCARY/AFPLECANT<br/>NAME (LAST):<br/>BERTH DATE: (MVBDCCMY)</pre>                |                     |
| 4. A NUMBER: A                                                                              |                     |
| ST REFERENCE VOID                                                                           |                     |
| <pre>6. PETITEONER<br/>NAME ELAST): ETERST:</pre>                                           |                     |
| PE3 PE6 PE8 PE10 PE11 PE1<br>CANCEL MAEN VENU LOCOFF REMOTE ACT UPD BY CODE ACT UPD<br>B270 |                     |

NVR OVR Transformer and the second second

When conducting "no record" research, do the query and provide screen prints of all searches as directed. 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 <u>case supporting documents</u> for the case number you have just created, attach it to the screen prints and take those to the <u>OA room for scanning as CSD</u> and prepare a Final Action Letter with closing code 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.

Genealogy is exempt from this process.

## 12.7.7 A-number in CIS but not in NFTS

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If there is an A-number in CIS but no information in NFTS, create a file request 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.

## 12.7.8 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 file requests are 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 | ТА        |
| Chief Counsel           |           |
| Litigation              | LI or LIT |
| Legal Section           | LS        |
| District Counsel        | DC        |
|                         |           |
|                         |           |

DRO file requests are 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              | САР                           |
| Deportation Officer/Assistant/Clerk | DO, SDDO                      |
| Bond Control Spec.                  |                               |
| Immigration Enforcement             | IEA                           |
| Field District Office               | FOI (Washington DC) (DRO-WAS) |
| Admin Program Office                |                               |
| Non-Detained or Detained            |                               |
| Processing Center                   | OC-Otero County               |
| Detention Facility name             | ie Otay Mesa, Krome           |
| Fugitive Ops                        | FO                            |

SAC file requests 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.

154

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| Office Section                    | Acronym |
|-----------------------------------|---------|
| Investigations                    | INV, IV |
| Special Agent in Charge           | SAC     |
| Internal Audit                    | IA      |
| Resident Agent in Charge          | RAC     |
| Assistant Special Agent in Charge | ASAC    |

### 12.7.9 SAC locations

Occasionally, you will see a requesting 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.

### 12.7.10 LESC (LSC) records

On all of these file requests, you must attach the NFTS screen print to page two.

### 12.7.11 T-files

Q. What if the subject has an A-file at one office other than NRC and a T-file at a different office other than NRC (for example, an A-file in Chicago and a T-file in Milwaukee)?

A: In this case, we will request both files, EXCEPT, do not request 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: Request the A-file only, but include the T-file portion on the file request. The T-file will get combined with the A-file when it arrives at the facility for scanning. <u>NEVER</u> <u>CROP THE T-FILE INFORMATION FROM THE NFTS SCREEN PRINT</u>.

**The exception to this rule** – We do not receive A-files from ESC, SSC, NSC, WSC or RDF for scanning. Those offices <u>either</u> 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

155

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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.

### 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

### (b)(6) can request.

**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.

**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, <u>PCQS</u> 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 RAFACSonly responsive records. Pend the case.

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**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."

## 12.7.13 Archived receipts

| 김 Ele Edit Session Transfer Program | Cotors Wordow Help                   |                   | ×                               |
|-------------------------------------|--------------------------------------|-------------------|---------------------------------|
|                                     |                                      |                   | mark ACD                        |
| FSXMRPT2                            | CLAINS MAINERAM<br>ARCHIVED RECORD   |                   | 01/27/2011<br>09:35<br>COW6768C |
| RECEIPT NU                          | IMBER WARD TO BE READED              | HAS BEEN ARCHIVED |                                 |
| RE                                  | CEIVE AN OVERNIGHT<br>SELECT 'Y' BEI | DETAIL REPORT     |                                 |
| GENER                               | MATE REPORT - (Y)ES                  | OR (N)0:          |                                 |
|                                     |                                      |                   |                                 |
| 013<br>CANCE<br>3270                |                                      | ₽£\$<br>:.050₽£   | NUM OVR                         |

This screenshot shows a receipt that has been archived.

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 request 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.
- 2. On the USCIS website enter the receipt number in the "Check Case Status." Checking the receipt number on the website may provide

157

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evidence that the receipt file has been forwarded to the NVC in which case you would redirect the request to NVC.

- 3. You may call the NVC automated 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.
- 4. If there is no evidence that the archived receipt file has been forwarded to NVC we will create a file request using RAFACS (not RAFACS/CIS). Find the information from the archived receipt in PCQS and print that information. Prepare a "Scan As" sheet to be scanned as responsive records for the case number you have just created, attach it to the screen prints and take those to the person designated to scan RAFACS-only responsive records. Pend the case.
- 5. If there is no evidence in PCQS, follow the instructions for *Receipt files;* Lost receipt file, File destroyed or File cannot locate..

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 <u>National Visa Center Valid Consulate Prefix Codes</u>, 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 Letter and choose the code "RD" and select "NVC". Send the case to Up-front Approver.

### 12.7.14 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.

Open a RAFACS (*not RAFACS/CIS*) staffing slot only. The default selection for the letter is "Customize Letter." Be sure that option is selected. Print the appropriate CLAIMS screen prints (should be a minimum of 3 pages if the receipt file is for an I-130). Print the staffing letter, attach it to the screen prints and take to person designated to scan RAFACS-only responsive records. Pend the case.

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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:

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#### Staffed to: WSC REQUESTED FILE

| Office Code: NRC<br>After Number:<br>Cardenas     | Control Number: NRC200<br>Subject: WAC93                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             | 9012305 Rate: June 5, 2009<br>the 1-150 Politioner Documents for                                                |
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160

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# 13. <u>REASSIGN OFFICE</u>

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.

First you must select the correct office. Use the drop-down box to select the office where you want the case to go, search for duplicate cases, and then create the case:

| FIPS v7.0 Train                           | ing build 06                                                                                            | Work Queries     |                | V Actions       |
|-------------------------------------------|---------------------------------------------------------------------------------------------------------|------------------|----------------|-----------------|
| Pro                                       | cessing Fee Information                                                                                 | on               |                |                 |
| Office NRC 😵                              | NRC2010006656REQ                                                                                        | Status           | Request Case C | reator miporter |
| R=CBLR<br>CLP<br>CNT                      | Scanned<br>11/05/2019                                                                                   | Created          | Perfected      | Final Action    |
| Reques<br>DLS<br>GEN<br>HQS<br>NRC<br>OBL | 2 <b>fist:</b><br><b>Porter</b><br>Ita Journal-Constitution<br>Perimeter Center Parkway<br>Ita GA 30303 | Select th office | ie correc      | t               |
| Subject internat                          | ion                                                                                                     |                  |                |                 |
| First                                     |                                                                                                         | Middle           |                |                 |
|                                           |                                                                                                         |                  |                |                 |

After you change the office to COW, create the case. The case will have a COW number.

161

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### Next, click on "Reassign Office"

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| iquester Information                                                                                |                                                       | *****                                     |                                |                                                       |
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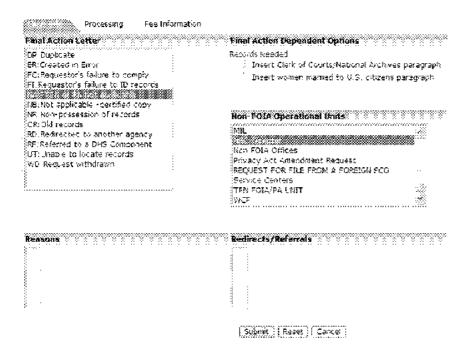
You will not be creating an acknowledgement letter or staffing. Before you click on "Reassign Office," prepare an e-mail addressed to <u>NRC. FOIASIG</u> with the case number and brief description of the topic, requester or reason you assigned the case to SIG.

162

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# 14. CLOSING A CASE AS "NA:FOIA or PA not applicable:"

Sometimes a requester will file a FOIA request asking for the return of original documents, the status of a petition, or a question, not asking for records. If FOIA/PA does not apply to the request, you would 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." Note: if the request for return of original documents is on Form G-884 which was inadvertently scanned in as a request, you will be closing the case "ER." Please refer to <u>REQUESTS: Return of original documents</u>.



You do not have to modify the referral letter. You will have to select the applicable box in the Final Action Letter and possibly add other instruction, if necessary. Send the case to Up-front Approver.

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163

# 15. ER (created in error) CASE CLOSINGS

Prepare a Final Action Letter using the "ER" option for cases 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)

FIPS will not create a letter. Prepare a detailed Discussion. Send the case to Up-front Approver. The supervisor will review and close the case.

# 16. FC (failure to comply) CASE CLOSINGS

If you are closing a case FC because of consent, verification of identity or failure to reasonably describe the record they are seeking, please refer to

<u>O:\Foia\FOIA\_LIBRARY\Case\_Create\_References\Case\_Create\_Template\_Letters\Failure\_to\_</u> <u>Comply\_Letter</u> and select the applicable paragraph for your final action letter. Please enter the date of the last correspondence to the requester/subject.

# 17. MARKING A DOCUMENT "DO NOT SEND"

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 Discussion 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.

164

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# 18. ACKNOWLEDGEMENT LETTERS

We prepare acknowledgement letters in all cases **except** for routine use and Red Cross last known address requests. The example in this guide shows how to do a standard acknowledgment letter if we have verified consent and identity, the requester has not asked for expedited treatment or a fee waiver, and we have found a responsive record. As you go through this example, please keep in mind that there are many factors which would require you to prepare the acknowledgment letter differently.

Go to the "Tasks" tab and select "Acknowledgement Letter"

| Contents 🔅 Discussi                           | ns Case Actions History                                                           |          |
|-----------------------------------------------|-----------------------------------------------------------------------------------|----------|
| Task                                          | Stetus                                                                            | <u> </u> |
| <ul> <li>Search For Bupicate Cases</li> </ul> | a constitution of                                                                 |          |
| Create Addicional Cases                       | Hot Stated                                                                        |          |
| Create File Request                           | a la <u>sec</u> adada                                                             |          |
| acknowladgement Letter                        | Not Stated                                                                        |          |
| Final Action Letter                           | Not Starled                                                                       |          |
| Speciality Letter                             | Not Started                                                                       |          |
| Status Letter                                 | Wot Started                                                                       |          |
| <ul> <li>Blank Letter</li> </ul>              | Not Started                                                                       |          |
| Interest Letter                               | Hol Started                                                                       |          |
| Expedited Denkal Letter                       | Not Started                                                                       |          |
|                                               |                                                                                   |          |
|                                               |                                                                                   |          |
|                                               |                                                                                   |          |
|                                               |                                                                                   |          |
|                                               |                                                                                   | 0000000  |
| Records Locator Case Pro                      | essor 🕴 Case Approver 🕴 Unit Chief 🗧 Up-front Approver 🕴 Pand 🖁 Reassign Office 💲 | Se       |
|                                               |                                                                                   |          |

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:

165

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| 🔆 👾 🌮 Case360 Home                                                                                                              |                  |                         |   |
|---------------------------------------------------------------------------------------------------------------------------------|------------------|-------------------------|---|
| FIPS v7.0 Training build 05                                                                                                     | 🐑 Work Queries   | * Actions               | S |
|                                                                                                                                 | ee Information   |                         |   |
| Acknowledgement Letter Optic                                                                                                    | ins Additional D | ocuments Required       |   |
| Fee Estimate                                                                                                                    | Cther R          | lequester Documentation |   |
| Prepayment Required                                                                                                             |                  |                         |   |
| <ul> <li>[]] Advance Payment Returned</li> <li>[]] Add Lost File Paragraph</li> <li>[]] Add Track 3 Denial Paragraph</li> </ul> |                  |                         |   |
| Additional Options<br>No options found                                                                                          |                  |                         |   |
|                                                                                                                                 | Generate Lat     | ter Cancel              |   |

Since our example case does not require us to select any options, we will click on "Generate Letter." Our only option at that point is to click OK:



As soon as you do, a File Save pop-up window will appear. Click "Save."

166

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| Desktop              | My Documents          |               | MRC20100       | 00804_4_REFER         | RAL_AGENCY   |
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167

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| Your request is being handled under the provisions of the Freedom of Informa<br>It has been assigned the following control number, NRC2010000806. Please<br>correspondence about your request.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       | nion Act 15 U.S.C. 3 152).                                                                                                                              |
| We respond to requests on a first-in, first-out basis and on a multi-track system<br>placed in the complex irack (Track 2). You may wish to narrow your request<br>order to be engible for the faster track. To do so, please send a written request<br>document conglist, to the address above. We will notify you if your request is p                                                                                                                                                                                                                                                                                                                                                                                                                             | to a specific document in<br>. identifying the specific                                                                                                 |
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You may have some modifications to make to the letter. After you finish, save the Word document and exit Word. Next, go to the "Contents" tab and click on the "Check in Document" icon.

168

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## Records Locator II Case Processor II Case Approver | Unit Chief II Up front Approver | Fend II Reassign Office II Se

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In this example, we are now ready to send this document to "Pend."

## 19. DISCUSSIONS

Discussion 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 Discussion for later reference. FIPS also automatically generates Discussions in various situations, such as duplicate,

169

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multiples and when responsive records are copied from one case to another. Because Discussions become a permanent part of the case in FIPS, you should not used Discussions 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.

## 20. CHANGING A REQ TO A CSD

(Note: this article pertains to people who work in the Research Queue)

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. Create a Discussion asking Research to add the request as CSD to the appropriate case. Next, go back to the worksheet in FIPS and Send to Research.

A person working the Research queue will assign the request to CSD as follows:

170

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Updated on 7/18/2011

AILA Doc. No. 16102838. (Posted 10/28/16)

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171

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| Document Typ | e: Duplicate Request Letter | r 😽       |  |
|--------------|-----------------------------|-----------|--|
|              | Duplicate Request Letter    |           |  |
|              | Expedited Treatment Der     |           |  |
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|              | Non Compliance              | {         |  |
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|              | Remand Non-Compliance       |           |  |
|              | Request for Status          |           |  |
|              |                             |           |  |
|              | Expedited Treatment Gra     | nt        |  |

# 21. 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 Discussion (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.

# 22. 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.

## 23. 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.

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## 23.1 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.
- 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 Discussion 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 Discussion.

Don't forget to add a Discussion to the original case.

## 23.2 MSB (NRC, NRCFOIAMSB)

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 queue 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.

## 23.3 FIPS PROBLEM (NRC, FIPSPROBLEM)

Send e-mails to the FIPS Problem mailbox:

• If errors are encountered in the case

173

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- 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

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.

## 23.4 FOIA FILE REQUEST (NRC, FOIAFILEREQ)

Send e-mails to FOIA File Request if you discover A file 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.

## 24. <u>E-MAIL TO CUSTOMERS</u>

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 Discussion 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.

## 25. MAIL

The FOIA Division receives two types of mail: Returned Mail and Direct Mail.

## **25.1 RETURNED MAIL:**

### 25.1.1 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.

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.

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**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 Discussion should include the type of letter being corrected and resent.

#### 25.1.2 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. Do this in a controlled manner so that you and the supervisor are the only ones who see this paperwork.
  - 4. Note the case. Example of the Discussion:

| Title of Discussion: | Returned Mail – no such number                       |
|----------------------|------------------------------------------------------|
| Body of Discussion:  | 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 acknowledgement letters with a requester document need to be repended for additional time. Give the letter to the OA supervisor to repend.
- B. If the address on the acknowledgement letter matches the address on the G-639, G-28 and/or return address on original envelope:
  - 1. Note the case. Example of the Discussion:

| Title of Discussion: | Returned Mail – no forwarding address                  |
|----------------------|--------------------------------------------------------|
| Body of Discussion:  | Address matches G-639. No other address found. Did not |
|                      | resend ack letter.                                     |

2. Give acknowledgement letter to OA Supervisor to Close.

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### 25.1.3 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. Discussion 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. Do this in a controlled manner so that you and the supervisor are the only ones who see this paperwork.

### 25.1.4 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 Discussion.

Title of Discussion:CD Returned for Additional PostageBody of Discussion:Re-mailed CD, date and name

B. CDs Returned due to Incorrect Address.

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. Discussion 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:

176

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- 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. Do this in a controlled manner so that you and the supervisor are the only ones who see this paperwork.

## 25.2 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 **<u>Request for Change of Address</u>**)
- 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)
- 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 Discussion 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.

177

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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.

### 25.2.1 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 Discussion titled "Expedited Treatment Request" or "Track 3 Request." In the text of the Discussion 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.

If a FOIA/PA Assistant working in Records Locator queue discovers correspondence relating to expedited processing or Track 3 scanned in but has not been addressed by a supervisor; the Assistant should insert a Discussion 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.

### 25.2.2 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

178

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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. A template FC letter is located at: O:\Foia\FOIA LIBRARY\Case Create References\Template Letters\FC Letter.

### 25.2.3 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 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

#### 25.2.4 Status letters

The public has the ability to check online the status of their FOIA request(s) with NRC at (www.uscis.gov).

From <u>www.uscis.gov</u>, find the link near the bottom of the left column under "Other Services" marked "<u>FOIA Request Status Check</u>." 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.

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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 <u>same</u> 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.

The previous method of providing a status letter did not give the requester accurate information. In order to better serve our customers Teams 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 <u>O:\Foia\FOIA\_LIBRARY\Case\_Create\_References\Case\_Create\_Template\_Letters</u>, 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.

### 25.2.5 Withdrawal of a FOIA/PA request

A requester must send us a document to withdraw a pending request. 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 queue. Add a Discussion indicating that the request was withdrawn per the documents found in CSD.

### 25.2.6 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.

180

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## 26. BLANK TAPES/CD's

If you receive a blank VHS tape, cassette or CD with a FOIA/PA Request, return it to the requester.

## 27. 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 Discussion 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.

## 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. below. 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.

# 29. 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.

181

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- 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.
- 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. Do this in a controlled manner so that you and the supervisor are the only ones who see this paperwork.
- 6. Stack the incorrect final action letters in a separate pile. Write "ERRORS" on a postit 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.

## 30. 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.

# **31. 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.

182

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# 32. <u>RECORDS LOCATOR QUEUE</u>

Cases assigned to Records Locator queue 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
- 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 Discussions as well as insert Discussions as necessary. Listed below are points/actions that you should consider while working cases assigned to Records Locator queue.

32.1 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.

32.2 Read and follow directions in any Discussion 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.

32.3 Anytime you create a new staffing for the same A-file or receipt, you must cancel the one it replaces.

32.4 Do not cancel file requests and re-staff just because the request is old and has been pending for an extended period. Canceling file requests 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.

32.5 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.

32.6 If the 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.

183

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32.7 If you see it has been through image process box and returned to a shelf then further research is required.

32.7.1 Check all offices for duplicate cases in FIPS using the alien number.

32.7.2 Does the subject have more than one alien number per a Discussion or on their request? If so, search those for potential duplicate cases.

32.7.3 If you find a duplicate case, make a Discussion and advise <u>NRC, FIPSPROBLEM</u> mailbox with an e-mail and repend.

**32.8 Additional PII needed:** Sometimes when a processor retrieves a case, he or she will determine that additional PII or verification of identity 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 Documentation. If the processor is asking for information that is already present in the scanned documents, put in a Discussion 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.

**32.9 If you pull a case in Records Locator queue and the Requester Documentation has been received:** Review the information provided, if the requester/subject has provided the requested PII and/or consent, request the file.

**32.10** 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.

**32.11 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.

**32.12 If the requester/subject does not return proper verification of identity**, generate a FC letter and replace the contents of the letter with the template letter Failure to comply 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.

**32.13** 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

184

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