

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 FIPS Problem mailbox and ask that the wrong records be removed. Clicking the link above will automatically send a copy to the FOIA Program mailbox.

**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 NRC, FIPS Problem 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 NRC, FIPS Problem 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 Receipt files; 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. REPENDING IN RECORDS LOCATOR QUEUE**

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 NRC, FOIASIG 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 NRC, FOIAFILEREQ 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.

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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. 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 NRC, FIPSPROBLEM mailbox with the following information:

- The NRC control number of the case,
- The A number or Receipt Number of the records,
- The staffing sequence they are scanned into, and
- The number of pages scanned in.

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

[Click here for instructions](#) if you pull a case in Records Locator queue that has been staffed for a **Lost File**.



## **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. 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.

## **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, repond. **\*Do not cancel the staffing and re-staff 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.

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

## **APPENDIX A: PHONE NUMBERS**

NRC/FOIA Fax: 816-350-5785, 5786, 5787

ILD Incoming Call Line: 816-350-5560

Human Resource Office: 816-350-5661

### CIS Forms:

By Phone: 1-800-870-3676

Website: [www.uscis.gov](http://www.uscis.gov)

National Customer Service: 1-800-375-5283

EOIR 800-898-7180

## **APPENDIX B: ADDRESSES**

### **MAILING ADDRESS OF NRC:**

PO Box 648010  
Lee's Summit, MO 64064-8010

### **PHYSICAL LOCATION OF NRC:**

150 Space Center Loop  
Lee's Summit, MO 64064

### **MAILING ADDRESS OF NBC:**

National Benefits Center  
PO Box 648005  
Lee's Summit, MO 64064

### **MAILING ADDRESS OF CBP:**

U.S. Customs and Border Protection  
FOIA Division  
799 9th Street NW, Mint Annex  
Washington, DC 20229-1177

### **MAILING ADDRESS OF ICE:**

Immigration and Customs Enforcement  
800 North Capitol Street, 5<sup>th</sup> Floor, Suite 585  
Washington, DC 20536

### **MAILING ADDRESS OF NATIONAL VISA CENTER:**

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

## **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)

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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 – Rio de Janeiro (Brasil)  
RID – Riyadh (Saudi 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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## **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.

## **APPENDIX E: FORMS**

[www.uscis.gov](http://www.uscis.gov)

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

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

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



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

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

## **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
AVL	Asylum Virtual Library

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

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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
CPA	Chief Patrol Agent
CPO	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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Updated on 7/18/2011

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

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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

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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
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-600	Petition to Classify Orphan as an Immediate Relative
I-751	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

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
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
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

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

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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PC	Peace Corps
PCII	Protected Critical Infrastructure Information
PIA	Privacy Impact Assessment
PII	Personally Identifiable Information
PLAIN	Plain Language Action and Information Network
POE	Port-of-Entry
PTA	Privacy Threshold Assessment
PTIG	Privacy Technology Implementation Guide
RAC	Resident Agent in Charge
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

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



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

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

## **APPENDIX G: DEFINITIONS**

The definitions listed below are words and phrases that frequently appear in FOIA and PA requests. The list is arranged in alphabetical order. Additional definitions can be located at <http://www.uscis.gov/portal/site/uscis/menuitem>. Select the tab titled "Education and Resource."

**Access** - Includes any form of disclosure, to include oral, visual, or reproduced copy. A reproduced copy, whether in paper or electronic format, always satisfies FOIA/PA access requirements.

**Agency** - Any executive department, military department, Government corporation, Government controlled corporation, or other establishment in the executive branch of the Government (including the Executive Office of the President), or any independent regulatory agency. This does not include the legislative (Congress) or judicial (Courts) branches of the Government, nor does it apply to state, local, or foreign government agencies. The Department of Homeland Security (DHS) is an agency as defined above. The following are components or bureaus of the Department of Homeland Security; United States Immigration and Customs Enforcement (ICE), United States Customs and Border Protection (CBP), United States Secret Service (USSS), etc.

**Agency Record** - Any tangible recording of information and/or any item, collection, or grouping of information, including electronic that is maintained and controlled by an agency.

Notes or documents which are made by an employee, kept purely voluntarily, not circulated to nor used by anyone other than the author, and discarded or retained at the author's sole discretion for his/her own individual purposes are personal records. These are not generally agency records because they are not subject to the rules and controls of the agency for records management and disposition. These may, however, become agency records for purposes of the FOIA or PA if used to carry out an agency function (e.g., as the basis for a performance rating).

**Component** - Each separate bureau, office, board, division, commission, service, or administration, or agency of a Federal Executive Branch Department. For example: Border and Transportation Security (BTS), Citizenship and Immigration Services (USCIS), Federal Emergency Management Agency (FEMA), Immigration and Customs Enforcement (ICE) are components of the Department of Homeland Security.

**Conditions of Disclosure** - Specific provisions in the Privacy Act (5 U.S.C. § 552a(b)(1) through (12)) allows the agency to disseminate information from a PA system of records without the prior written consent of the record subject.

**Congressional Committee Request** - A request from either House of Congress, to the extent of matters within its jurisdiction; a subcommittee thereof; any joint committee of Congress; any subcommittee of any such joint committee. Agencies may not use FOIA or PA exemptions to deny records that are the subject of such a request.

**Congressional Request** - A request from a Member of Congress on his or her own behalf, or on behalf of a constituent. After acknowledgment under congressional correspondence procedures, congressional requests are to be processed in the same manner as any other FOIA or PA request.

**Consolidation** – Combination of paperwork into a main file. After the service completes work on a petition or application, we combine it into the person's A-file. If the service discovers two "unconsolidated" A-numbers for a person, we combine the two files. One of the A-numbers becomes the "survivor" and the other becomes the "consolidated A-number."

**Consultation** - Obtaining the views of another DHS component or Federal agency concerning the release of information that has been incorporated into immigration documents or a reciprocal request. The National Records Center, FOIA/PA Division, makes the final overall determination on release.

**Freedom of Information Act Request** - A request in writing by any person for access to any record maintained by any Federal agency. Federal agencies are not persons for purposes of FOIA.

Included are requests for access to Privacy Act records of another person without the written consent of the record subject, as well as requests from nonimmigrant aliens for access to their own records.

**FOIA/PA Information Processing System (FIPS)** - Through the use of imaging, workflow, and graphical user interface technologies, FIPS allows USCIS to electronically manage and process FOIA and PA requests.

**First Party Requester** - A subject or designated representative asking for access to his/her record. A notarized signature or a sworn declaration under penalty of perjury from the record subject is required for access to records.

**Forms** – Various government forms available from [www.uscis.gov/portal/site/uscis](http://www.uscis.gov/portal/site/uscis) that are provided for the use of requesters and their representatives when submitting a FOIA or PA request with USCIS. The more common forms include:

- **G-28 – Notice of Entry of Appearance as Attorney or Representative** - This form is used for information purposes only. It should be signed by the attorney or representative and by the subject of the record. Does not qualify for consent unless the attorney or representative has inserted the penalty of perjury statement and the subject of the file has signed the document.
- **G-639 Freedom of Information/Privacy Act Request** – This form can be used to make a FOIA/PA request. When completed it provides enough information to complete an extensive search for records.

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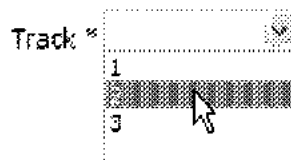
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**Individual** - The PA describes an individual as follows: a U.S. Citizen (U.S.C.) or alien lawfully admitted for permanent residence (LPR). Conditional residents are considered LPRs. Corporations and organizations are not individuals.

**Multi-track System** - USCIS utilizes a three-track system to process all FOIA requests.

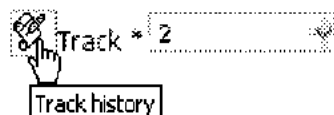
#### Track Drop-Down List



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

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.

## Track History Displayed

Modified By	Action	Modified Date
utestb	Track changed from 1 to 2	3/23/2010 9:30:16 AM
ctestb	Track changed from 1 to 3	3/23/2010 9:30:11 AM
ctestb	Track changed from 2 to 1	3/23/2010 9:30:06 AM
utestb	Track changed from not set to 2	3/24/2010 12:56:11 PM
5090FA	Track changed from 2 to not set	3/4/2013 12:15:56 PM

**Privacy Act Amendment Request** - A request from a U.S.C. or LPR to amend, expunge, or correct information in his/her PA record that the individual believes is not accurate, relevant, timely or complete.

**Privacy Act Record** - Any item, collection, or grouping of information about an individual 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.

**Privacy Act Request** - A request in writing submitted either in person or by mail, for records that are contained in a Privacy Act system of records. The records must be under the control of DHS and be retrieved by the name of the requester or other personal identifier. Requests are received from:

- A USC or LPR for access to or his/her own records, or
- A third-party with a signed privacy waiver from the record subject acting on the subject's behalf, or
- The parent of an LPR or USC minor child or the legal guardian of a person declared incompetent by a court of competent jurisdiction.

**Records Custodian** - The official responsible for the maintenance, security, control, and final disposition of official records that are required by law, regulation, or other directive to be kept by the Agency.

**Referral** - Information found in immigration records – the forwarding of a record that originated with another component of DHS or another Federal agency for direct response to the FOIA/PA requester. Also includes transferring responsibility for responding to a request regarding the release of records to the DHS component best able to determine whether to disclose, or to the Federal agency that originated the record.

**Retire** – The service sends the A-file to the Federal Records Center (FRC) after a number of years have passed with no activity. This is called “retiring” the file. Occasionally, we have to request a retired file from the FRC.

**Rider** – A person who is also listed on a petition or application that will also benefit if that petition or application is approved. For example, a woman applying for asylum lists her husband and two children on her asylum application. They are riders.

**Routine Use** - An established use and authority for disclosure of records from a Privacy Act System of Records, other than an intra-agency disclosure. Disclosure or use must be for a purpose that is compatible with the purpose for it was collected, that would be otherwise prohibited by the PA. Such disclosures do not require the written consent of the record subject, but require Federal Register publication prior to such use.

**System of Records** - A group of any records under the control of an agency from which information is retrieved by the name of the individual or by some other identifying number, symbol, or identifying particular assigned to the individual.

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

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Updated on 7/18/2011

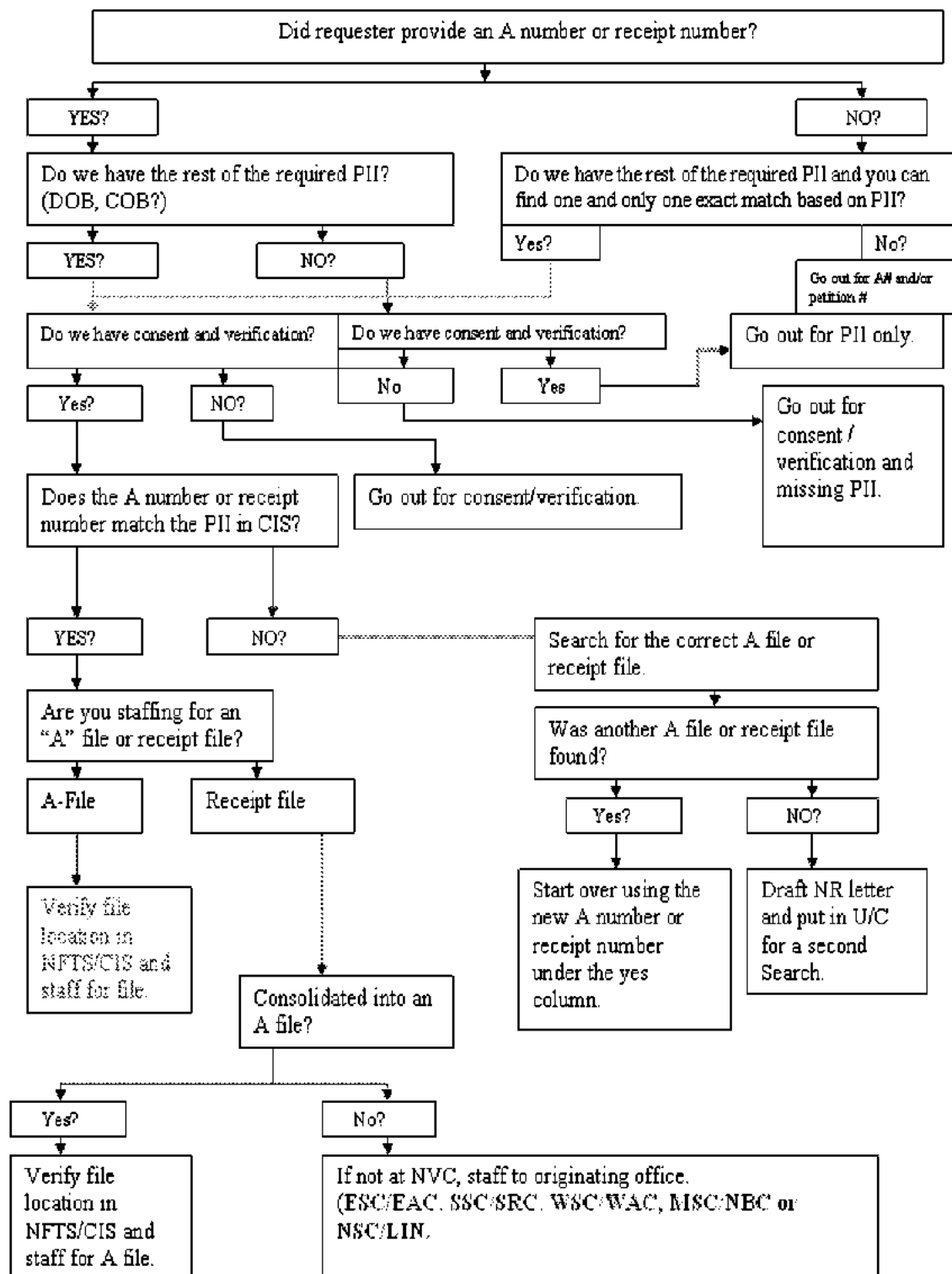
**Third Party Request** - A request from any person for access to another individual's record without that individual's written consent. The identity of a third party requester and his/her relationship to the subject does not increase (or decrease) his/her rights of access to the records.

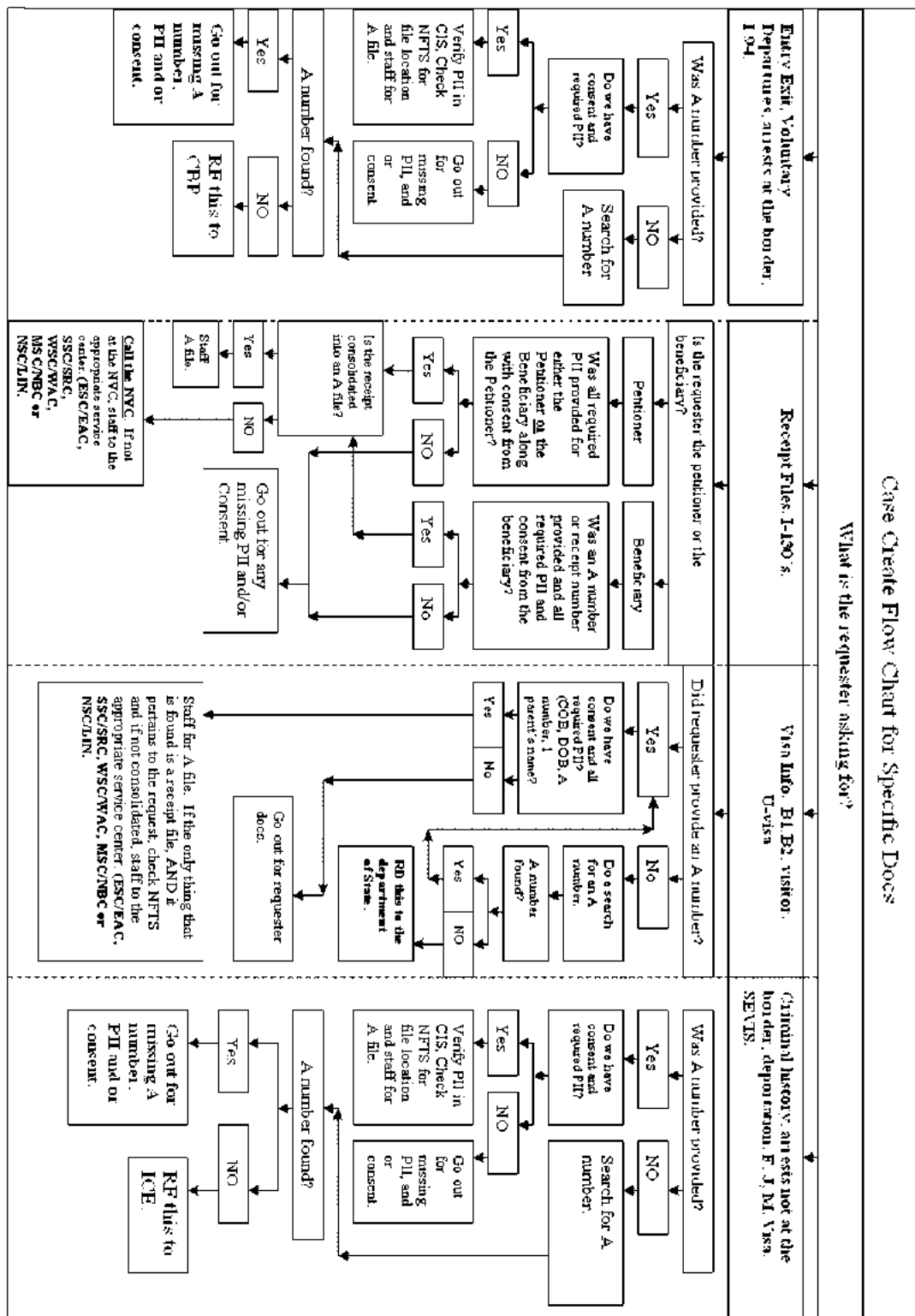
**White House Inquiries** - An official request from any member of the White House staff, or letters of the President forwarded to the agency for response.



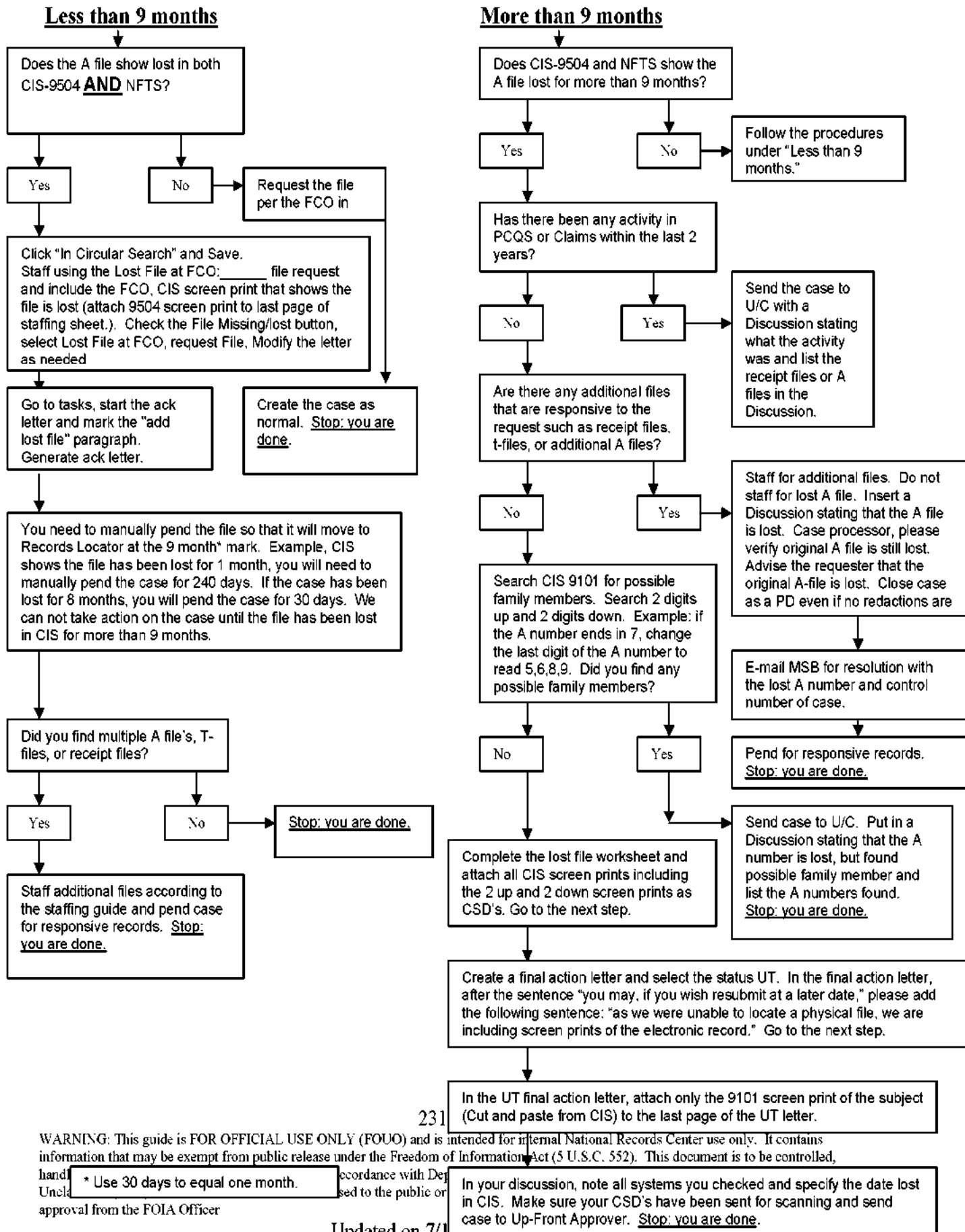
## APPENDIX H: CASE CREATE FLOW CHARTS

### Case Create Flow Chart for All my records.





# Lost File Flowchart



# APPENDIX I. ALIEN NUMBER ASSIGNMENT

CLASSIFICATION	TYPE OF NUMBER ASSIGNED	STARTING NUMBER	ENDING NUMBER
ISSUED PRE-1960	PHYSICAL FILES	A 001-000-000	A 011-999-999
ADJUSTMENTS	PHYSICAL FILES	A 012-000-000	A 014-999-999
CREWMAN	PHYSICAL FILES	A 015-000-000	A 016-999-999
ADJUSTMENTS	PHYSICAL FILES	A 017-000-000	A 020-999-999
VISA (STATE DEPT)	PHYSICAL FILES	A 020-000-000	A 028-999-999
ADJUSTMENTS	PHYSICAL FILES	A 070-000-000	A 070-991-200
FAMILY FAIRNESS	PHYSICAL FILES	A 070-991-201	A 070-991-200
ADJUSTMENTS	PHYSICAL FILES	A 070-991-201	A 070-991-200
FAMILY FAIRNESS	PHYSICAL FILES	A 070-991-201	A 070-991-200
ADJUSTMENTS	PHYSICAL FILES	A 070-991-201	A 070-991-200
ROSOVO	PHYSICAL FILES	A 077-991-201	A 077-991-200
ADJUSTMENTS	PHYSICAL FILES	A 077-991-201	A 077-991-200
BORDER APPREHENSIONS	ELECTRONIC ONLY	A 080-000-000	A 084-999-999
ADJUSTMENTS	PHYSICAL FILES	A 088-999-999	A 088-999-999
LEGALIZATION	PHYSICAL FILES	A 090-000-000	A 090-999-999
TEMPORARY PROTECTIVE STATUS (TPS)	PHYSICAL FILES	A 094-000-000	A 094-250-500
TEMPORARY PROTECTIVE STATUS (TPS)	PHYSICAL FILES	A 094-250-501	A 094-250-500
HURRICANE MITCH	PHYSICAL FILES	A 094-250-501	A 094-250-500
HURRICANE MITCH	PHYSICAL FILES	A 094-250-501	A 094-250-500
TEMPORARY PROTECTIVE STATUS (TPS)	PHYSICAL FILES	A 094-250-501	A 094-250-500
ROSOVO	PHYSICAL FILES	A 094-250-501	A 094-250-500
TEMPORARY PROTECTIVE STATUS (TPS)	PHYSICAL FILES	A 094-250-501	A 094-250-500
ROSOVO	PHYSICAL FILES	A 094-250-501	A 094-250-500
TEMPORARY PROTECTIVE STATUS (TPS)	PHYSICAL FILES	A 094-250-501	A 094-250-500
NSC ORPHANS	PHYSICAL FILES	A 094-250-501	A 094-250-500
NSC ORPHANS	PHYSICAL FILES	A 094-250-501	A 094-250-500
REFUGEES	PHYSICAL FILES	A 094-250-501	A 094-250-500

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Updated on 7/18/2011

CLASSIFICATION	TYPE OF NUMBER ISSUED	STARTING NUMBER	ENDING NUMBER
REFUGEES	PHYSICAL FILES	A 094-638-001	A 094-749-999
ADJUSTMENTS	PHYSICAL FILES	A 095-100-000	A 096-749-999
LIFE ACT	PHYSICAL FILES	A 096-750-000	A 096-999-999
ADJUSTMENTS	PHYSICAL FILES	A 097-000-000	A 098-099-999
ADJUSTMENTS	PHYSICAL FILES	A 098-100-000	A 099-099-999
ADJUSTMENTS	PHYSICAL FILES	A 099-100-000	A 099-299-999
ADJUSTMENTS	PHYSICAL FILES	A 099-300-000	A 099-999-999
EMPLOYMENT AUTHORIZATION DOCUMENT (EAD)	ELECTRONIC ONLY	A 100-000-000	A 199-999-999
ADJUSTMENTS	PHYSICAL FILES	A 200-000-000	A 203-999-999
NOT ISSUED	NOT ISSUED	A 204-000-000	A 204-999-999
ADJUSTMENTS	PHYSICAL FILES	A 205-000-000	A 205-999-999
NOT ISSUED	NOT ISSUED	A 206-000-000	A 209-000-000
ADJUSTMENTS	PHYSICAL FILES	A 210-000-000	A 211-999-999
REFUGEES	PHYSICAL FILES	A 212-000-000	A 213-999-999
ADJUSTMENTS	NOT ISSUED	A 213-400-000	A 299-999-999
NOT ISSUED	NOT ISSUED	A 300-000-000	A 300-299-999
ADJUSTMENT	PHYSICAL FILES	A 300-300-000	A 300-322-501
NOT ISSUED	NOT ISSUED	A 300-323-501	A 999-999-999

#### LEDGER:

**CREWMAN:** Fifteen and sixteen million series have been utilized in Alien Crewman Landing Permit and Identification Cards groups. The blocks of numbers are assigned to offices issuing such cards.

**ELECTRONIC ONLY:** No physical jackets are created.

**PHYSICAL FILES:** A-Number with A-File Jackets

**NOT ISSUED:** The numbers are not by used any Office or Program.

**VISA (STATE DEPT):** DoE is electronically assigned blocks of A-Numbers that they assign to Visa packets.

PAGE 1 OF 2 RECORDS DIVISION (REV. 2/7/2011)

## **FOREWORD**

The FOIA/PA Assistant's Guide has been prepared as a ready reference to assist with day-to-day tasks, such as creating Freedom of Information Act and Privacy Act requests, handling mail, working records locator, and general troubleshooting.

Any previous material distributed in *FOIA Information Bulletins* has been incorporated into this Guide.

For the purposes of this Guide, we may refer to a FOIA/PA Assistant or Public Information Specialist 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 open.** A potential Java scripting conflict exists if you have the document open in PDF mode while running FIPS. Viewing the Guide in PDF/A mode disables Java scripting within the Guide – which means hyperlinks within the Guide will not work, but FIPS will not freeze or crash. You may alternate between PDF and PDF/A mode in Acrobat Reader by selecting Edit ⇨ Preferences ⇨ Documents ⇨ PDF/A View Mode. Select “Never” to turn PDF/A mode off, and select “Only for PDF/A documents” to turn PDF/A mode on.

**How does the rulemaking process for this Guide work?** The Chief of FOIA/PA Operations and your Supervisors direct how Paralegal Specialists, FOIA/PA Assistants and Office Automation personnel accomplish their missions. Through the Chief of Operations, Supervisors submit a new rule or procedure to the Chief FOIA/PA Program Officer. At the direction of the Chief Program Officer, Program Office may immediately amend the guide, or they may seek clarification from Office of Chief Counsel. After consultation, Program Office will either amend the Guide or propose a modified rule to Chief of FOIA/PA Operations. Major re-writes or revisions of the guide are subject to the final approval of the USCIS FOIA Officer.

You, the FOIA/PA Assistant or Public Information Specialist, 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.

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## **1. THE FREEDOM OF INFORMATION ACT**

Congress passed the Freedom of Information Act (FOIA) in 1966 to establish the public's right to access records created or maintained by federal executive branch agencies. The statute became effective on July 4, 1967. The statute relating to the Freedom of Information Act is 5 U.S.C. § 552.

## **2. THE PRIVACY ACT**

The Privacy Act of 1974 regulates the collection, maintenance, use, and dissemination of personal information by the federal government. The statute relating to the Privacy Act is 5 U.S.C. § 552a. The statute became effective September 27, 1975.

## **3. WHAT ARE FOIA REQUESTS AND HOW DO WE GET THEM?**

A Freedom of Information Act (FOIA) request is a request in writing for a copy of any record maintained by any agency of the executive branch of the government. Persons must reasonably describe the records sought, and those records must already exist. Requests can come in a variety of ways. They can come in on the Form G-639 or as a letter from an attorney or representative. They can come in the form of a letter from the alien himself. The requester may mail, fax, hand deliver, or e-mail a request. No matter how we receive them or what the format is, as long as they are in written form and provide enough information to ascertain that they want documents from us, we treat them as FOIA requests. A Privacy Act (PA) request is a request by a person for a copy of his or her file.

For case creating purposes, the difference between a FOIA and PA request does not matter. You will create all cases as FOIA requests, although some of the requests we receive are PA requests. The case processor determines whether the case falls under the Freedom of Information Act or the Privacy Act.

## 4. WHO CAN MAKE A FOIA REQUEST?

Anyone can request any record kept by the executive branch of government. The tricky part is determining if we have enough information and consent to provide the record and who is entitled to what. The most common types of requesters are:

- First party requesters, that is, the alien himself or his designee, attorney or representative, are entitled to a complete copy of the alien file, after any applicable exemptions are applied. However, a parent or guardian may make a request for a minor's record. Please refer to the section titled **"CONSENT RELATING TO RECORDS CONCERNING A MINOR OR PERSON JUDICIALLY DETERMINED TO BE INCOMPETENT"** in this guide.
- Third party requesters, that is, an individual seeking a copy of an alien's file without the subject of record's consent. As of December 14, 2011, 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. The general rule of thumb is if you need to go into the subject's file, you will need the subject of record's consent and verification of identity. Please refer to the section titled **"THIRD PARTY REQUESTS" 7.4,** in this guide.
- Media requesters are typically accredited members of the media.
- Bond obligors, companies who posted immigration bonds for the aliens, are entitled to a copy of the file under a court case entitled *Amwest v. Reno*. Please refer to the section titled **"IMMIGRATION BOND OBLIGORS"** in this guide.
- Other state and local government agencies are entitled to documents from alien files for law enforcement purposes. Requests for information originating with any other federal agency are operational matters and not FOIA or Privacy Act requests. Please refer to the section titled **"ROUTINE USE"** in this guide.

## 5. SYSTEMS USED AND DESCRIPTION OF THE SYSTEMS

The paragraphs below provide a description of some of the systems used by USCIS, ICE and CBP. Most A-files contain screen prints from one or more of these systems.

### 5.1 Central Index System

(CIS) is a database used to maintain records, search for records, and display data. CIS is a menu driven system as opposed to a point-and-click graphical user interface system. CIS provides information about persons and information about file location and movement. The CIS user navigates among various screens, depending on the type of information he or she needs. A user may search for a person in CIS by using the A-Number, social security number, FBI number or a passport number. CIS provides the option of searching for people using "sounds-like" and exact name searches.

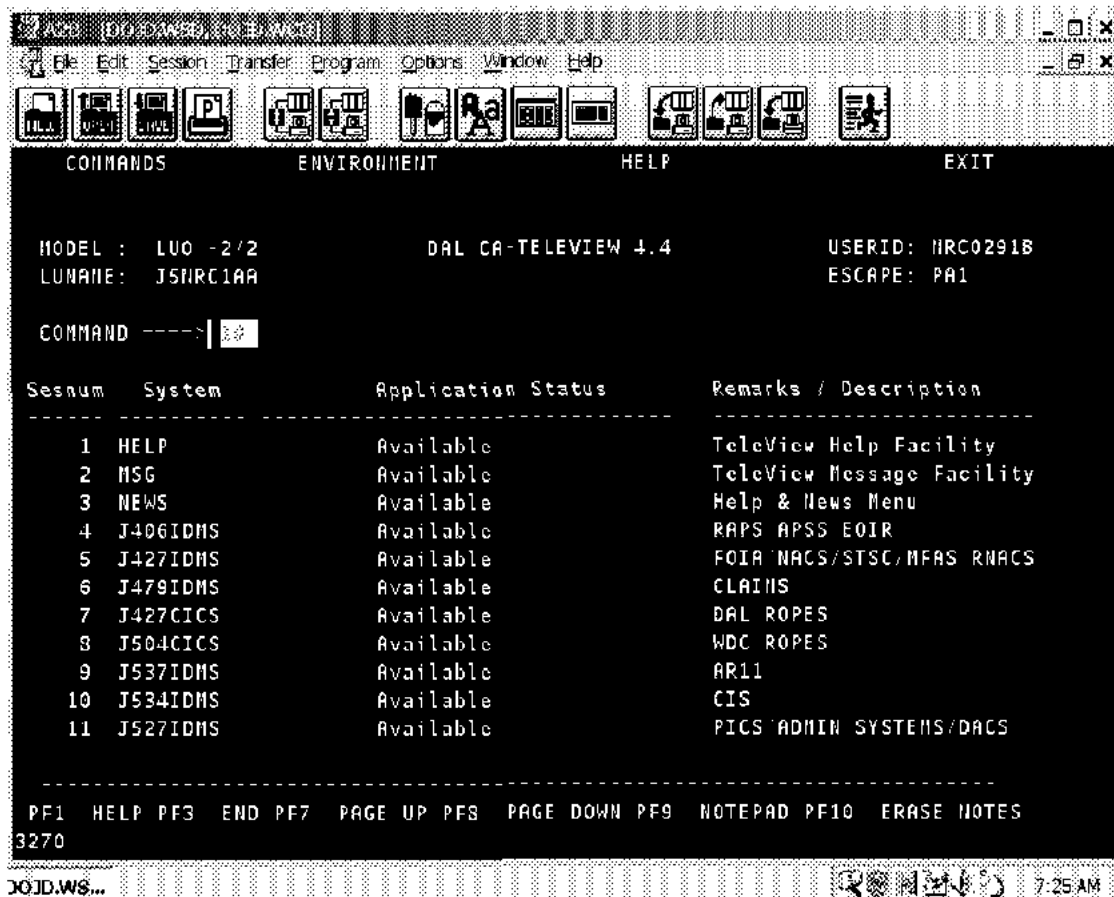
#### 5.1.1 Introduction Screen



This screen is the introduction to TeleView. From this screen use the designated UserID (last 4 digits of Social Security Number plus an alpha) and Password to sign onto the database.

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## 5.1.2 TeleView Main Menu



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



### 5.1.3 CIS Login Screen



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

## 5.1.4 CIS Main Menu



This screen displays a variety of ways to search for information. The transaction numbers that we use within FOIA are 91, 92, and 95. By typing the number 91 next to select transaction number and pressing enter, another search screen will appear. The main purpose of the “91” transaction number is to search the database for specific information concerning an individual. Transaction number “92” is used to display card information. The transaction number “95” is used mainly to see the location of the alien file (which we will frequently refer to as ‘A-file’). The only “95” menu command we use is “9504” to verify if the file is Not Found (N).

### 5.1.4.1 Search Menu Screen

```
CINSEA - [DOE\WSD,DOE\WGD]
File Edit Session Transfer Program Options Window Help
[Icons]
CINSEA      IMMIGRATION AND NATURALIZATION SERVICE      10 13/05
COMMAND:    CENTRAL INDEX SYSTEM - SEARCH MENU          10:02:06

A#: 000000000 NAME:                                     DOB: 00000000

(01) ID #:
      (A AA AB C/DA/DL/FB/FP/I PP,SS,TD)   OTHER MENU SELECTIONS
(02) SOUNDS-LIKE NAME                       (92) DATA DISPLAY MENU
(03) EXACT NAME                             (93) ADD TRANSACTIONS MENU
(04) AKA (ALIAS) NAME                       (94) RECORD MAINTENANCE MENU
(05) LAPS EXACT NAME                       (95) FILE TRANSFER SUBSYSTEM MENU
(06) SOUNDS-LIKE NAME WITH DOB

(11) MANUAL SEARCH REQUEST (MR)
(12) MANUAL SEARCH RESPONSE (SR)

(15) ON LINE A NUMBER REPORT REQUEST

01 - SELECT TRANSACTION NUMBER. PRESS ENTER. FOR ID # SEARCH, KEY THE
      PREFIX AND THE ID # (EG, A123456789).

      CLEAR EXIT      PF5 HELP      PF6 CIS MAIN MENU

3270
Keyboard [Icon] Input Form [Icon] CISResourceGuide... [Icon] 9:02 AM
```

From this search screen a decision is made as to how to begin a search for an individual's records. The most commonly used methods to search for an individual's record are:

#### Code Search By Category

- 01 ID # (A-Number, certificate number, social security number, passport number etc.)
- 02 Sounds-Like Name Search
- 03 Exact Name Search
- 04 Alias (AKA) Name Search
- 06 Sounds-Like Name Search with DOB

Type in the two-digit code (01) and press enter. The screen displayed will be the screen where the search for records begins. **\*Note:** Remember to read the screen in its entirety for additional information.

### 5.1.4.2 Search by A-Number (9101)

The screenshot shows a terminal window titled "CINIMM - [DOE.WSD.DOD.WG2]". The menu bar includes File, Edit, Session, Transfer, Program, Options, Window, and Help. Below the menu is a toolbar with various icons. The main display area contains the following text:

```

CINIMM          IMMIGRATION AND NATURALIZATION SERVICE          10 13/05
COMMAND: 1108      CENTRAL INDEX SYSTEM - ID # SEARCH/DISPLAY    10:02:55

ID # (A/AA/AB/C DA):          A#:          DOB:
(DL/FB/FP.I.PP/SS/TD)
LAST:
FIRST:          NATZ DATE:
MIDDLE:          COURT:
ALIASES:          LOCATION:

SEX:      POE:      COB:      DOE:
FCO:      COA:      COC:          FATHER:
PFCO:      SFCO:      DFO:      BIN:      MOTHER:

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

OVER-KEY ID# TO DISPLAY NEW PERSON. PRESS ENTER. CLEAR EXIT PF1 NEXT CONS A#
PF2 PRIOR CONS A# PF3 REFRESH PF4 RETURN PF5 HELP PF6 MAIN MENU PF8 HISTORY
                                           PF9 EAD PF11 EOIR
3270
  
```

At the bottom of the window, there is a status bar with "Keyboard", "Input Form", "CISResourceGuide...", and a clock showing "9:03 AM".

In the ID# field enter the appropriate prefix with information (commonly used ID searches, 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. This screen contains 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)

A2B - [DOEDWD.D0D.WSD]

File Edit Session Transfer Program Options Window Help

CINSND IMMIGRATION AND NATURALIZATION SERVICE 10:13:05

COMMAND: 9102 CENTRAL INDEX SYSTEM - "SOUNDS LIKE" SEARCH 10:09:04

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

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

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

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

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

3270

Keyboard Input Form CISResourceGuide... 9:09 AM

Use the 9102 screen when there could be variations in the spelling of a name. There are times when the person who created the record in CIS misspelled the name. There could be many spelling variations in a name transcribed from a non-Roman alphabet. The \* indicates the minimum amount of information required to search. The search results may be voluminous.

### 5.1.6 Exact Name Search (9103)

A26 [D:\G:\GSD\GSD\GAWC]

File Edit Session Transfer Program Options Window Help

CINEXA IMMIGRATION AND NATURALIZATION SERVICE 12/15/05  
COMMAND: 9103 CENTRAL INDEX SYSTEM - EXACT NAME SEARCH 08:44:21

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

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

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

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

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

2270

ptonDoc... [Nodtail on Nodtail] [CISResourceGuide] 7:47 AM

9103 is the primary screen used when performing a search based on the subject's name only or the subject's name with a specific year of birth range. The information displayed will be an exact name match.

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

CIHALI [DOE.D.WSL.DODJAWCO]

File Edit Session Transfer Program Options Window Help

CIHALI IMMIGRATION AND NATURALIZATION SERVICE 01/30/06  
COMMAND: 9104 CENTRAL INDEX SYSTEM ALIAS (AKA) NAME SEARCH 12:56:45

AKA/NEE LAST NAME: (40-CHARS MAX)  
AKA/NEE FIRST NAME: (25-CHARS MAX)

LAST NAME MATCH: (NUMBER OF EXACT CHARACTERS TO MATCH (0-9))  
FIRST NAME MATCH: (NUMBER OF EXACT CHARACTERS TO MATCH (0-9))

EXACT DOB: (MMDDYYYY)  
DOB RANGE: (DATE RANGE = YYYYR: YYYY=YEAR, R=0-9)  
COB: (5-CHARACTER COUNTRY CODE)  
COC: (5-CHARACTER COUNTRY CODE)  
POE: (3-CHARACTER PORT OF ENTRY CODE)  
DOE: (MMDDYYYY)  
COA: (3-CHARACTER CLASS OF ADMISSION CODE)  
FCO: (3-CHARACTER FILES CONTROL OFFICE CODE)  
SEX: (M/F)

YOU MAY REQUEST A SEARCH ON FIRST NAME ONLY ALIASES, ON LAST NAME ONLY ALIASES,  
AND ON ALIASES CONTAINING BOTH FIRST AND LAST NAMES. OTHER FIELDS ARE OPTIONAL.  
SPECIFY THE SEARCH CRITERIA, THEN PRESS ENTER TO BEGIN THE ALIAS NAME SEARCH.

CLEAR EXIT PF3 REFRESH PF4 MENU PF5 HELP PF6 MAIN MENU

3270

NUM OVR

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

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

```

CINDSND      IMMIGRATION AND NATURALIZATION SERVICE      08/03/06
COMMAND: 9106  CENTRAL INDEX SYSTEM  "SOUNDS LIKE" NAME  09:25:07
                WITH DATE OF BIRTH (DOB) SEARCH

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

EXACT DOB:          (MMDDYYYY; YYYY=YEAR; MM=MONTH; DD=DAY)
DOB YEAR RANGE:     (YYYYR; R=0-9)
DOB MONTH RANGE:    (YYYYMMRR; RR=0-12)
DOB DAY RANGE:      (YYYYMMDDRR; RR=0-31)

LAST NAME MATCH:    (NUMBER OF EXACT CHARACTERS TO MATCH (0-9))
FIRST NAME MATCH:   (NUMBER OF EXACT CHARACTERS TO MATCH (0-9))

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

* LAST NAME, FIRST NAME AND ONE OF THE DOBS ARE REQUIRED. REMAINING FIELDS ARE
  OPTIONAL. SPECIFY SEARCH CRITERIA. THEN PRESS ENTER TO INITIATE THE SEARCH.
  CLEAR EXIT  PF3 REFRESH  PF4 MENU  PF5 HELP  PF6 MAIN MENU

3270
NUN QVR
```

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 requester made a typographical error in the spelling of the name the search results will yield a list of similar names matching the subjects.



### 5.1.9 Card Display (9222)

```
A2E [DHSD3 WSD DHSD3 WCD]
File Edit Session Transfer Program Options Window Help
[Icons]
CIMCARD IMMIGRATION AND NATURALIZATION SERVICE 08/01/06
COMMAND: 9222 CENTRAL INDEX SYSTEM - ARR/BC CARD DISPLAY (CARD) 08:22:32
A#: 0 NAME: TAYLOR, FRANCIS DOB: 0809
LEGAL PERMANENT RESIDENT
CARD NAME: TAYLOR, FRANCIS E. BIRTHDATE:
INS A# 0 CARD# SRCO
CATEGORY: PERMANENT RESIDENT SINCE: 12/12/2005
SEX: CARD EXPIRES: 02/22/2016
COB:
C1 USA 0 SRCOC
TAYLOR, FRANCIS EDWIN
-----
MOTHER'S NAME: EDWINA FATHER'S NAME: ZACHIOUS
CARD PORT OF ENTRY: BAL
CLEAR EXIT PF4 DISPLAY MENU PF5 HELP PF6 MAIN MENU PF7 CARD HISTORY
3270
NUM OVR
```

The 9222 screen is a snapshot of an actual Legal Permanent Resident (LPR) Card. In addition, this is the same screen to find Border Crossing (BCC) Card information.

### 5.1.10 File Transfer Display (9504)

A2B [DIRTY] [DIRTY] [DIRTY] [DIRTY]

File Edit Session Transfer Program Options Window Help

NEW OPEN SAVE PRINT [Icons]

CINFTRD IMMIGRATION AND NATURALIZATION SERVICE 08/01/06  
COMMAND: 9504 CIS FILE TRANSFER DISPLAY (FTD) 11:33:03

A#: [REDACTED] NAME: TAYLOR, FRANCIS DOB: [REDACTED]

PREVIOUS FCO: BAL FCO CREATING SUB-FILE:  
CURRENT FCO: NRC SUB-FILE CREATION IND:  
REQUEST FCO: NRC

FILE LOCATED IND: C (FILE TRANSFER COMPLETE)

DATE FTR: 01242006 (MMDDYYYY) ACCESSION NUMBER: 0000  
DATE FTI: 01242006 INS BOX NUMBER:  
DATE FTC: 02022006 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. You will be using this screen in conjunction with NFTS in the case create function. The following is a list of acronyms displayed on this screen.

FTR: File Transfer Request  
FTI: File Transfer Initiated  
FTC: File Transfer Complete

### 5.1.11 Tables



The Tables section contains a wealth of informational codes that can be of assistance in making a decision about the subject of the request, such as Class of Admission. To get to this screen select the "keyboard" from the toolbar at the top of the screen and click the clear button on the keyboard. Once this is done type in the word tables. The next screen displayed will be the Tables Menu Screen.

### 5.1.12 Tables Menu



Placing the cursor in the **Table ID** field and pressing the function key PF7 a list of tables is displayed.

### 5.1.13 Tables Information Screen

TBXTBINF      INS STANDARD TABLES DATABASE FACILITY      PAGE 09/15/06  
 TABLE INFORMATION SCREEN      0001 08:46:07

COMMAND      (SELNU, VADAD, LODAD, VAINF, OR LOINF)

SEL ONE	TABLE ID	TABLE TYPE	TABLE DESCRIPTION
<input checked="" type="checkbox"/>	ADJX	VAL	ADJUSTMENT OF STATUS CODES
<input type="checkbox"/>	AFAC	VAL	CIS/AFAC FCO CODE TABLE
<input type="checkbox"/>	AIRX	LOC	INTERNATIONAL MUNICIPAL AIRPORTS
<input type="checkbox"/>	ASC	LOC	APPLICATION SUPPORT CENTERS
<input type="checkbox"/>	ASIL	LOC	ASYLUM INTERVIEW OFFICES
<input type="checkbox"/>	ASYL	LOC	ASYLUM OFFICES
<input type="checkbox"/>	BPHQ	LOC	HEADQUARTERS
<input type="checkbox"/>	BPHX	VAL	BORDER PATROL SECTOR CODES
<input type="checkbox"/>	BPSH	LOC	BORDER PATROL SECTOR HEADQTRS
<input type="checkbox"/>	BPST	LOC	BORDER PATROL STATIONS
<input type="checkbox"/>	BPSX	VAL	BORDER PATROL STATION CODES
<input type="checkbox"/>	CCDI	VAL	INS/DOS/USCS COUNTRY CODE DISCREPS

PF1      PF2      PF4      PF6      PF8  
 PGFRWD    PGBWRD    PREV SCN    MENU    EXIT

TB100043 - SELECT ONE RECORD OR TRY OTHER FUNCTIONS  
 3270

The tables are in alphabetical order. Place an X in the "SEL ONE" column and press enter and this will bring up a list of different codes.

### 5.1.14 Value Tables Browse Screen

DISDRAWSD, DISDRAWSD

File Edit Session Transfer Program Options Window Help

TBXVAINF INS STANDARD TABLES DATABASE FACILITY PAGE 09/15/06  
VALUE TABLES BROWSE SCREEN 0014 08:56:10

COMMAND (SELNU, VADAD, LODAD, TBINF, OR LOINF)

TABLE ID: ADJX TABLE DESC: ADJUSTMENT OF STATUS CODES

SEL	SEARCH VALUE	VALID CODE	TABLE TEXT
IB7		IB7	SLF-PETITION CHILD OF USC
IB8		IB8	CHILD OF IB6
IC6		IC6	INDOCHINESE REFUGEE
IC7		IC7	SPS CH INDOCHN REF NOT QUA SEC
ID6		ID6	INDOCHINESE PAROLEE
IF1		IF1	ALIEN REC ADJ FOR PER RES CREA
IF2		IF2	MINOR CHILD OF IF1 ALIEN
IR0		IR0	PARENT OF U. S. CITIZEN
IR6		IR6	SPOUSE OF CITIZEN
IR7		IR7	CHILD OF CITIZEN
IR8		IR8	ORPHAN ADOPTED ABROAD BY CITZ

PF1 PF2 PF4 PF6 PF8  
PGFRWD PGBWRD PREV SCN MENU EXIT

TB100043 - SELECT ONE RECORD OR TRY OTHER FUNCTIONS  
3270

NUM QVR

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

## 5.2. Computer Linked Application Information Management System

### 5.2.1 Introduction

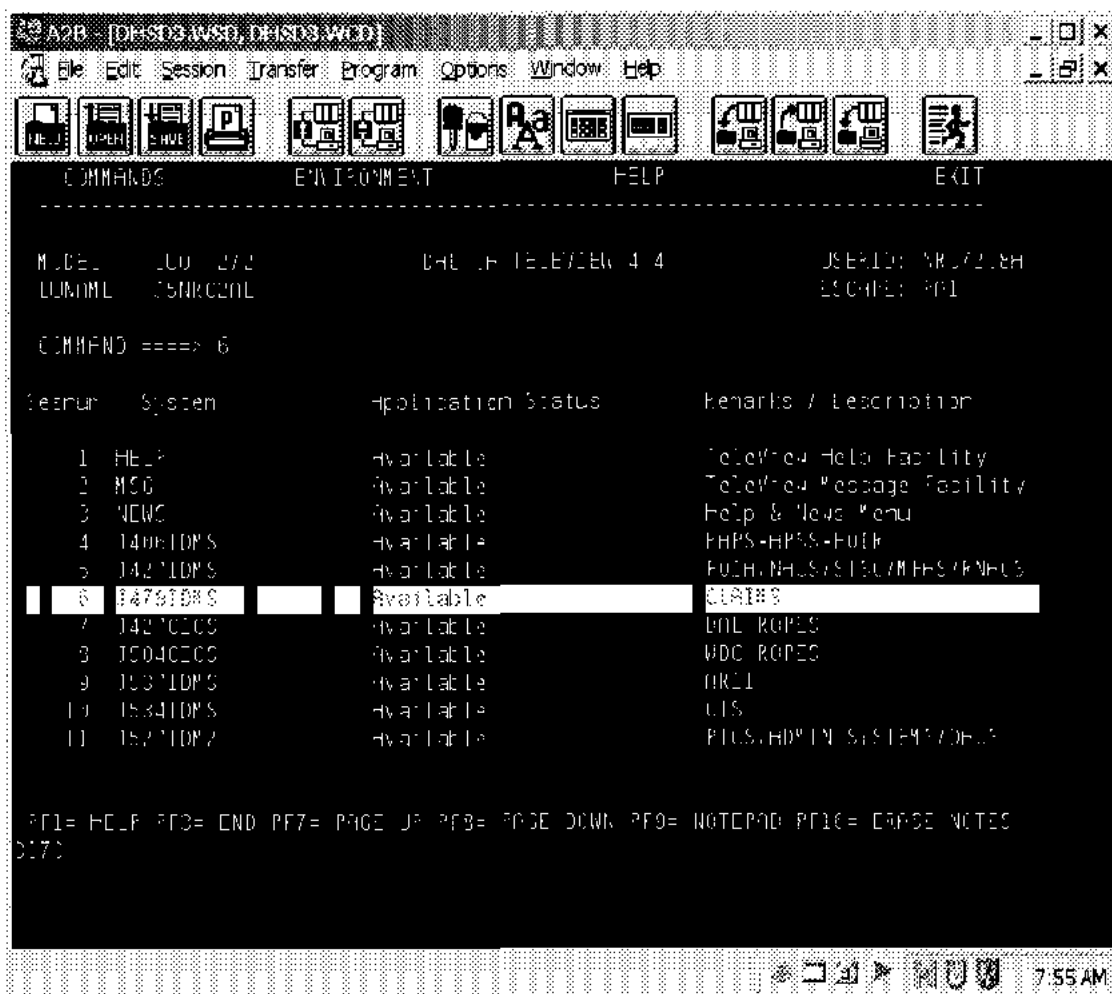
The Computer Linked Application Information Management System (CLAIMS) tracks application and petitions. CLAIMS is a menu driven system. The Inquiry/Update Processing selection on the menu is the only menu NRC FOIA uses because we search for receipts but never modify information in CLAIMS.

### 5.2.2 TeleView Introduction Screen



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

### 5.2.3 CLAIMS Selection Screen



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

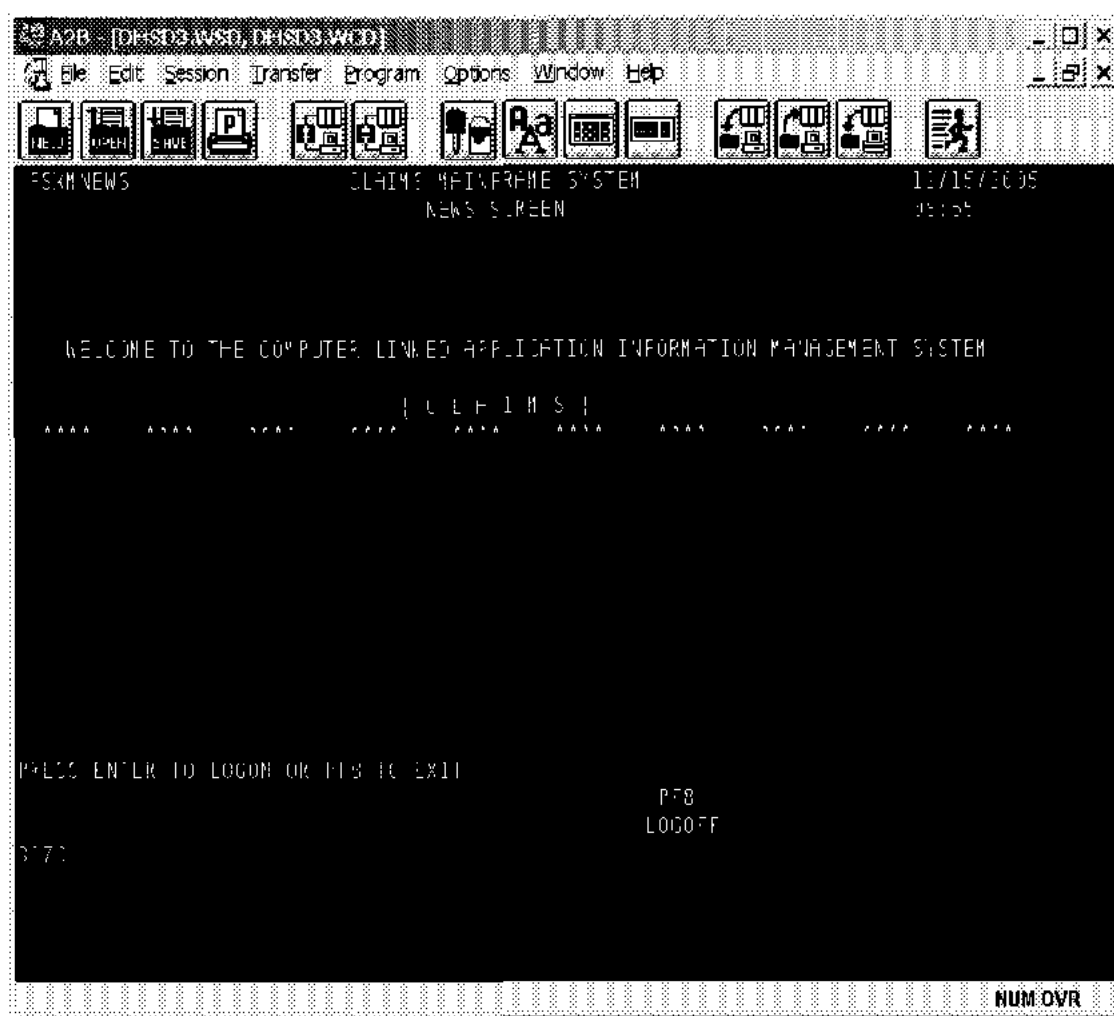


## 5.2.4 CLAIMS Function Screen



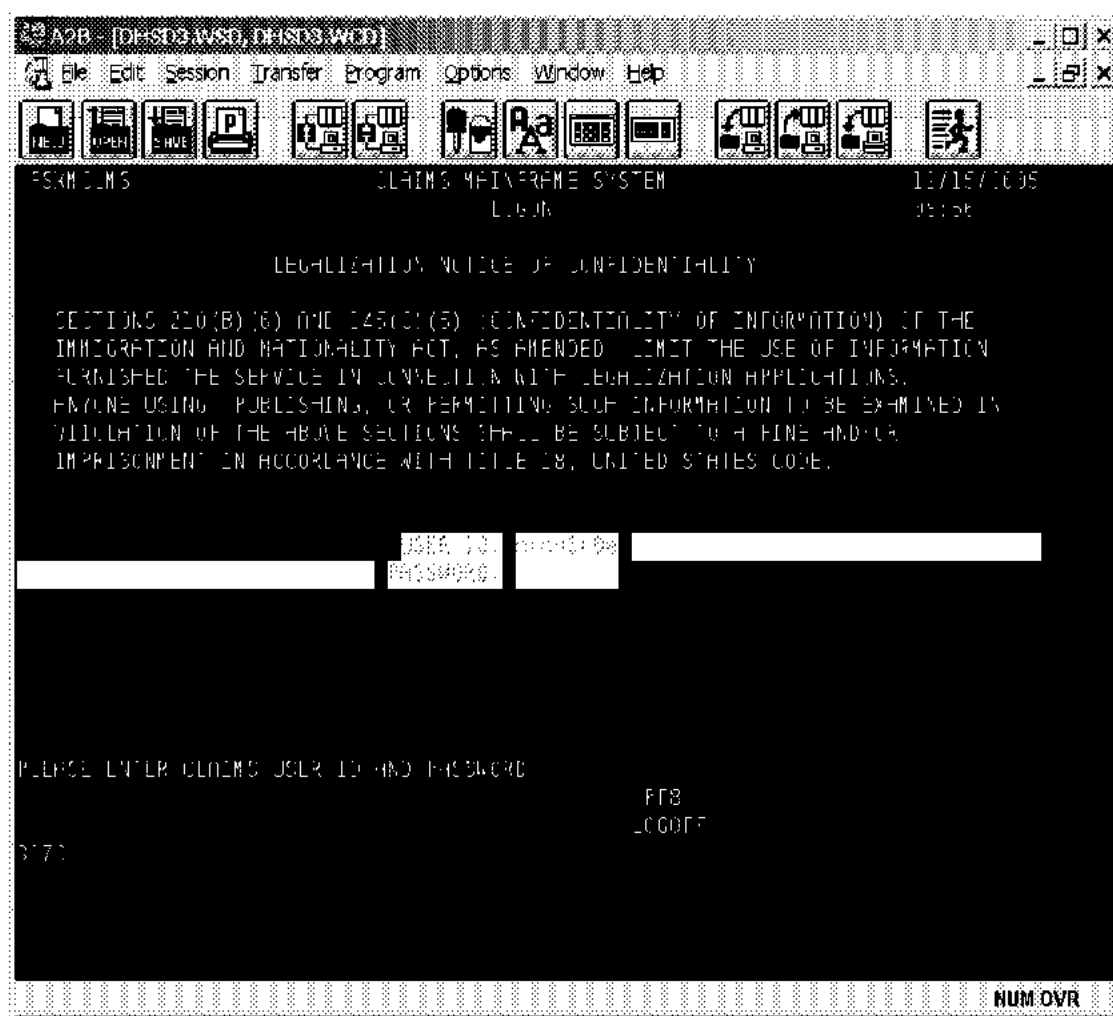
After selecting CLAIMS from the main menu, you will see the screen print shown above. Type in "claims" or "fare" and press enter. This screen is not case sensitive.

## 5.2.5 CLAIMS Welcome Screen



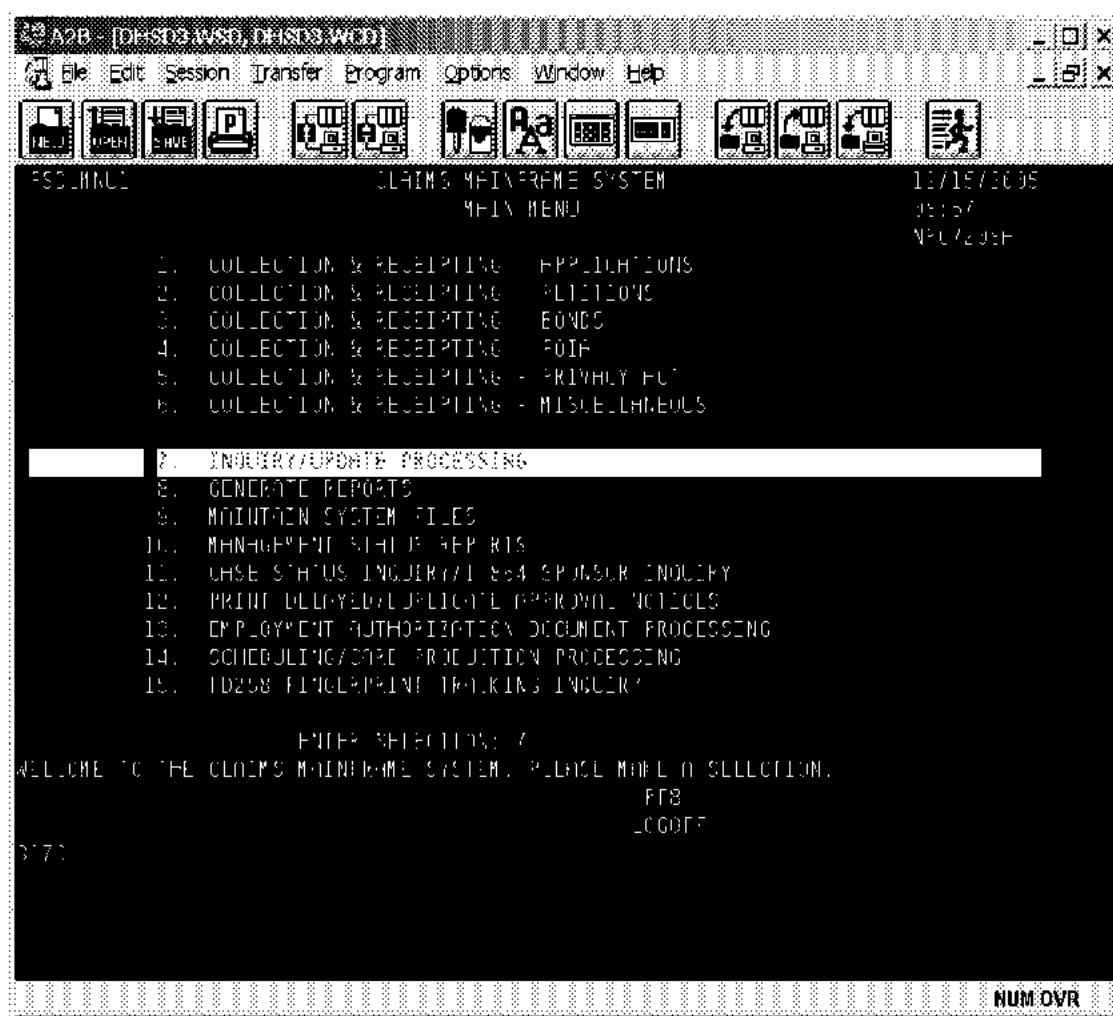
Press enter from here to get to the logon screen.

## 5.2.6 CLAIMS Logon Screen



To logon, your USER ID will be NRC and the last 4 digits of your social security number followed by a letter (NRC1234A). Check with your supervisor for your password. Normally, your password is your last name in lower case. If your last name is longer than eight characters, then your password is the first eight characters of your last name in lower case. Your CLAIMS ID and password do not change.

## 5.2.7 CLAIMS Main Menu Screen



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

[illegible]

32

Updated on 6/29/2012

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

The screenshot shows a mainframe terminal window titled "A2B - [DHSD3.WSD, DHSD3.WSD]". The menu bar includes "File", "Edit", "Session", "Transfer", "Program", "Options", "Window", and "Help". Below the menu bar is a toolbar with various icons. The main display area shows the "CLAIMS MAINFRAME SYSTEM" and "UPDATE PROCESSING MENU". The date and time are "01/07/2006" and "0:16". The user is "NFC7203H". The prompt is "SELECT FNC COMPLETE ONE LINE".

1. RECEIPT NO.  
(SELECTIONS BELOW FOR APPLICATIONS AND PETITIONS ONLY)

2. USER ID DATE: (MPDOLOGY)

3. BENEFICIARY/APPLICANT  
NAME (LAST): [REDACTED] (FIRST): [REDACTED]  
BIRTH DATE: [REDACTED] (MMDDCCYY)

4. ID NUMBER [REDACTED]

5. REFERENCE NO.:

6. PETITIONER  
NAME (LAST) (FIRST):

PF0 PF6 PF8 PF10 PF11 PF12  
CANCEL MAIN MENU LOGOFF REMOTE ACT UPD BY CODE ACT UPD BY PCPT

3170

NUM OVR

You may also search name and birth date. CLAIMS does not forgive spelling errors and will not conduct "sounds-like" or wild card 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.

A26 [048034080, 048034080]  
 File Edit Session Transfer Program Options Window Help  
 [Icons: New, Open, Save, Print, Find, Copy, Paste, Undo, Redo, Zoom, etc.]

---

F5>MIN1 CLAIMS MAINFRAME SYSTEM 02/21/2007  
 INQUIRY/UPDATE RECEIPT LIST 11:53  
 NRC093534

RECEIPT NBR	REF NAME	FD FORM	FEE AMT	REC DATE
1. YS13739097397	EFF104	1093	103.30	02/17/2007
2. YS13739053127	EFF104	1030	103.30	02/14/2007
3. SF13719051687	EFF104	14555	213.30	02/14/2007
4. YS13713524411	EFF104	10755	103.30	02/11/2007
5. YS13713524409	EFF104	10485	305.30	02/11/2007
6. SF13739053216	EFF104	1029	1103.30	01/04/2007
7. SF13719253498	EFF104	1051550		
8. YS13749146558	EFF104	1093		02/13/2007
9. YS13713119697	EFF104	10755		02/08/2007
10. YS13713110605	EFF104	10485		02/08/2007
11. YS1373626450465	EFF104	10120	103.30	02/05/2007
12. SF13739051088	EFF104	1030	103.30	02/12/2007
13. YS13749144080	EFF104	1093	103.30	02/12/2007
14. SF13719051755	EFF104	10485		02/09/2007
15. YS13749142414	EFF104	1093		02/09/2007
16. YS13749111160	EFF104	1093	103.30	01/17/2007

TYPE IN SELECTION:

PF1	PF2	PF3	PF4	PF5	PF6
PG FWD	PG BACK	CANCEL	PRGR MENU	MAIN MENU	LOGOFF

3276

NUM OVR

If your subject has a very common name, the inquiry may result in several pages of matches. View the screen pertaining to the individual receipt number or look for the type of form. It will show detailed information relating to that specific receipt number. To view the detailed information, type the corresponding number at the bottom of the screen labeled "TYPE IN SELECTION." For example, if you type "3", the detailed information relating to receipt number SRC0710351687 will be displayed.

## 5.2.10 Searching with the A-Number

The screenshot shows a terminal window titled "A2B - [DHSD3.WSD, DHSD3.WCD]". The menu includes options like File, Edit, Session, Transfer, Program, Options, Window, and Help. The main display area shows the following text:

```

PSKHMNL          CLAIMS MAINFRAME SYSTEM          01/07/2006
                  UPDATE PROCESSING MENU          0:16
                                                    VFL7203F

                SELECT FNC COMPLETE ONE LINE

1.  RECEIPT NO.

      (SELECTIONS BELOW FOR APPLICATIONS AND PETITIONS ONLY)

2.  USER ID                      DATE:                (MMDDYYYY)

3.  BENEFICIARY/APPLICANT
    NAME (LAST)                   (FIRST):
    BIRTH DATE                   (MMDDYYYY)

4.  A NUMBER:  A  [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ]

5.  REFERENCE NO.:

6.  PETITIONER
    NAME (LAST)                   (FIRST):

PF0      PF6      PF8      PF10     PF11      PF12
CANCEL  MAIN MENU  LOGOFF  REMOTE  ACT UPD BY CODE  ACT UPD BY PCPT
3173
NUM OVR
  
```

You may search by A-Number. Navigate through these fields by tabbing, or to go backwards, use Shift-Tab. CLAIMS used to allow adjudicating officers to enter alien numbers as an eight-digit number without a leading zero. Ordinarily you should enter a leading zero immediately following the letter A (in purple on this screen) and then enter the rest of the A-Number. If you do not find what you need, try deleting the zero immediately after the "A." If the person has a nine digit A-Number, you will not have to worry about it. Note: if you search by A-Number, it may not show every receipt belonging to the person, so you may still have to search by name and date of birth or by petitioner's name.



### 5.2.11 Searching with the Petitioner's Name

The screenshot shows a terminal window titled "A2B - [DHSD3.WSD, DHSD3.WCD]". The menu bar includes "File", "Edit", "Session", "Transfer", "Program", "Options", "Window", and "Help". Below the menu bar is a row of icons. The main display area has a black background with white text. At the top, it says "CLAIMS MAINFRAME SYSTEM" and "UPDATE PROCESSING MENU". The date and time "02/07/2006 09:16" and "NPO 7205H" are in the top right. The prompt "SELECT AND COMPLETE ONE LINE" is centered. The menu items are: 1. RECEIPT NO., (SELECTIONS BELOW FOR APPLICATIONS AND PETITIONS ONLY), 2. USER ID DATE: (MMDDYY), 3. BENEFICIARY/APPLICANT NAME (LAST) (FIRST): BIRTH DATE (MMDDYY), 4. ID NUMBER ID, 5. REFERENCE NO.:, 6. PETITIONER NAME (LAST) (FIRST):. At the bottom, there are function key labels: PF0 (CANCEL), PF6 (MAIN MENU), PF8 (LOGOFF), PF10 (REMOTE), PF11 (ACT UPD BY CODE), and PF12 (ACT UPD BY ACPT). The page number "0170" is in the bottom left, and "NUM OVR" is in the bottom right.

```
A2B - [DHSD3.WSD, DHSD3.WCD]
File Edit Session Transfer Program Options Window Help

[Icons]

CLAIMS MAINFRAME SYSTEM
UPDATE PROCESSING MENU
02/07/2006 09:16
NPO 7205H

SELECT AND COMPLETE ONE LINE

1. RECEIPT NO.
   (SELECTIONS BELOW FOR APPLICATIONS AND PETITIONS ONLY)
2. USER ID DATE: (MMDDYY)
3. BENEFICIARY/APPLICANT NAME (LAST) (FIRST):
   BIRTH DATE (MMDDYY)
4. ID NUMBER ID
5. REFERENCE NO.:
6. PETITIONER NAME (LAST) (FIRST):

PF0 PF6 PF8 PF10 PF11 PF12
CANCEL MAIN MENU LOGOFF REMOTE ACT UPD BY CODE ACT UPD BY ACPT

0170 NUM OVR
```

You may search by using the petitioner's name, but be forewarned: if the petitioner has a very common name, the results of this search may be overwhelmingly voluminous.

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

(b)(7)(e)

37

Updated on 6/29/2012

A2B [D:\SDS.WSD, D:\SDS.WSD]

File Edit Session Transfer Program Options Window Help

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

ESK1APP CLAIMS MATRFRM SYSTEM 03/02/2006 15:31 NFO72APP

APPLICATION UPDATE PROCESSING

MODE M FORM 1751 RCPT NBR: SPC-06-025-00045 APPEALED FORM: OWNER: SRC

PORT 2 G PORT 3 RECEIVED DT 10/20/2005

P-NBR P 12345678 REF NBR: ASSOC RCPT NBR: NAME TEST TEST NAME

STREET 4141 ST AUGUSTINE CITY DALLAS

STATE TX PROVINCE CNTRY ZIP/POSTAL: 75227

GENDER DOB 01161964 CDE: AJST? ENTRY OF CITZ SOC SEC #:

EMPLOYER TAX ID

REP CODE REP TYPE: (A=ATTY B=CERT REP, T=OTHER)

NAME

FIRM CLASS

DIRECT

STATE PROVINCE CNTRY CITY ZIP/POSTAL:

STATUS/ACTION

INS STATUS NEW LEADS:

PRIORITY DATE 10262005 DATE VALID FROM: TO:

0.00/001 FILE MODL

PF2 PF3 PF4 PF5 PF6 PF7 PF8 PF9 PF11

II ING CANCEL BACK END INFO MAIN MENU CODES LOGOFF RE\*IT STAT HIST

3/7:

NUM OVR

(b)(7)(e)

The top right corner of the screen shows the owner of the file, this may help in determining where to 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.

A2B [D:\803.W80, D:\813.W80]

File Edit Session Transfer Program Options Window Help

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

EXAMINER: CLAIMS MATTERFRAME SYSTEM 03/02/2006 15:30  
PAGE: 1 OF 1 CASE HISTORY 1307296P

RECEIPT DATE: 10/26/2005 RECEIPT NUMBER: SRC-06-005-00045

ACTION CODE	ACTION DATE	USER ID
REF RECEIVED - FEE WAIVED	10262005	SPENCER
	10312005	P00JIBIS

Press F14 OR 'ENTER' TO RETURN TO PREVIOUS SCREEN

PF1	PF2	PF4	PF6	PF7	PF8	PF11
PG FWD	PG BACK	RETURN	MAIN MENU	CODES	LOGOFF	EXIT

NUM OVR

(b)(7)(e)

By pressing F11, you may view the history screen. From this screen, we can see the status of the application/petition. If the petition has been approved, destroyed, rejected or transferred, it may make a difference as to how we staff.

### 5.2.13 Beneficiary Petition for Non Immigrant Worker

CLAIMS MAINFRAME SYSTEM  
PETITION UPDATE PROCESSING

01/02/2006 09:37  
NFC7203F

MODE -  
FORM I-129 RECEIPT NBR: EHL000052291 OPENED BY: EHL  
PORT 2 ( PORT 3 (4) RECEIVED DATE: 01/02/2003 PLOTIC NO:  
REF NBR APPLIED FORM: ASSOC RPT NBR:  
PETITNER TEST TEST TEST  
HTIN PRE CEPT:  
STREET CITY ENOSEJPO HILLS  
STATE MI PROVINCE COUNTRY ZIP/POSTAL: 48409  
JOB COB SOC SEC NBR H NBR:  
EMPLOYER TEST TAX ID  
CONSULT PCE: CLASS PREFERENCE: 161  
VER BENF ( LOU:  
STATUS/ACTION PHB PREMIUM PROCESSING CLOCK STOPPED

PRIORITY DATE DATE MOVED FROM 00000000 TO:

PF1 PF2 PF3 PF4 PF5 PF6 PF7 PF8 PF9 PF10 PF11  
BEAT CD INO CANCEL PPV MEN END MAIN MEN CODES LOGOFF REPT REPR HIST  
3170

NUM OVR

On an I-129 petition, the petitioner's information is on the first screen you pull up after you enter or select the receipt number.

```

A2B - [DOS] [MSB] [F1603] [W00]
File Edit Session Transfer Program Options Window Help
[NEW] [OPEN] [SAVE] [PRINT] [F1] [F2] [F3] [F4] [F5] [F6] [F7] [F8] [F9] [F10] [F11] [F12]
ASAM) PLS TRAINING MATR-REN- SYSTEM 01/10/77 FRID
T-129 HIR BENEFITARY CASE INFORMATION 09:37
NPC72050

ROBT MBR F000308052291
BETITMR TEST TEST TEST

NAME TESTI TESTI TESTI
C/D
STREET CITY
STATE PROVINCE CTRY ZIP/POSTAL:
COR 10081974 COR NAME: SIG SEC NER 4-NER: 4
COR I-94 #: EXPIRES
E MSTAT P PR LASS IRL CTR CODE:

EDUCATION CODE COMPENSATION: $ 0.00 ILLEGIBLE/NOT PHOTOED? Y
FIELD OF STUDY UNICS CODE:

T-1 WAIVER? HIR ELIGIBLE A YES? PREVIOUS EMPLOYER EXEMPT?

DECISION DECISION DATE: VALID FROM 00000000 TO:

BENEFICIARY DISPLAYED
PF2 PF4
C1 INQ RETURN
3070
NUM OVR

```

```

A2B [DHSD3.WSD, DHSD3.WCD]
File Edit Session Transfer Program Options Window Help
[Icons: FILE, OPEN, SAVE, P, [Printer], [Fax], [Modem], [Network], [Mail], [Web], [FTP], [SSH], [Telnet], [Serial], [Parallel], [USB], [FireWire], [Bluetooth], [WiFi], [Ethernet], [Cellular], [Satellite], [Other]]

PSKMHSTL CLAIMS MAINFRAME SYSTEM 01/31/2000
FILE: 1 OF 1 LSE HISTORY 00:00
NPO/2000

RELEASE DATE: 01/24/2000 RECEIPT NUMBER: LNC 00 088 51001

ACTION CODE ACTION DATE USER ID
FEB RECEIVED - FEE WAIVED 01242000 EPOCNC11
RE DATE CHANGE 01242000 EPOCNC11
PR1 PREMIUM PROCESSING CLOCK DATE CHANGED 01242000 EPOCNC11
PR2 CASE MARKED AS PREMIUM PROCESSING 01242000 EPOCNC11
PR3 PREMIUM PROCESSING CLOCK STARTED 01242000 EPOCNC11
PR4 VOID PRIOR ACTION 01242000 EPOCNC11
PR5 PREMIUM PROCESSING CLOCK STOPPED 01242000 EPOCNC11

PRESS F14 OR 'ENTER' TO RETURN TO PREVIOUS SCREEN
PF1 PF2 PF4 PF6 PF7 PF8 PF11
PG FWD PG BACK RETURN MAIN MENU CODEC LOGOFF AUDIT
3170
NUM OVR

```

A2B [D:\803.W60, D:\813.W60]

File Edit Session Transfer Program Options Window Help

CLAIMS MATTERFRAME SYSTEM  
INDUSTRY/ADPTE RECEIPT LIST

01/28/2006  
13:44  
M07296P

RECEIPT NBR	LAST NAME	FI	FOR#	FEE FMT	REC DATE
1. NCM3604400001	TEST	T	I751	125.00	12-01/1999
2. JFKFC31310006	TEST	T	I765		02-09/2103
3. NCL3601600002	TEST	T	I193		10-19/2105
4. JFKFC31310004	TEST	T	I765		02-09/2103
5. JMAH052110004	TEST	T	I765		04-29/2105
6. SFC3914754001	TEST	T	05155A		04-21/1999
7. NCM3000100001	TEST	T	I102		10-01/1999
8. NCL3618700005	TEST	T	I193		04-07/2103
9. NCL3604000012	TEST	T	I193		10-24/2102
10. NCM3606600001	TEST	T	I190		01-03/1999
11. JMAH051690016	TEST	T	I765		03-19/2105
12. JFKFC31310005	TEST	T	I765		02-09/2103
13. JMAH052110005	TEST	T	I765		04-29/2105
14. NCL3604300005	TEST	T	I193		11-15/2105
15. JMAH052110010	TEST	T	I765		04-29/2105
16. JMW9812100001	TEST	T	N400	95.00	01-29/1999

TYPE IN SELECTION

PF1 PF2 PF3 PF4 PF5 PF6  
PG FWD PG BACK CANCEL PRIOR MENU NEXT MENU LOGOFF

NUM OVR

There may be numerous results on a name search. Press F1 to see the results of the next page. To view number 10 on page 2 of the results, enter "10." To go back to the results of the search, press F4. The screen always returns to the first page of the search results. Remember this if you are going through the results page by page.

### 5.3. National File Tracking System (NFTS)

NFTS is an automated system that enables USCIS to track and account for nearly 50 million Alien Files (A-Files) and Receipt Files. NFTS allows for local control of all files within a designated USCIS File Control Office (FCO) or Case Control Office (CCO). The system supports the file migration from the USCIS field offices to facilitate a national tracking system that supports the National Records Center (NRC) and a centralization of agency records. You will learn much more about using NFTS in the Staffing section of this guide.



#### 5.4. Person Centric Query Service (PCQS)

PCQS is an automated system that allows a person to submit a single query for all transactions involving an immigrant across a number of USCIS and Department of State (DOS) systems. PCQS returns a consolidated view of the immigrant's past interactions with USCIS and the Department of State as he or she passed through the U.S. immigration system.

Since PCQS can give us a comprehensive overview of a person's immigration history, it can help us locate certain documents to request, for instance, we may find information about an archived receipt in PCQS that we would not find in CLAIMS. You do not have to log in to PCQS to read the PCQS User Guide. Simply go to

[https://pcq2.esb.uscis.dhs.gov/PCQS/PCQS User Guide.pdf](https://pcq2.esb.uscis.dhs.gov/PCQS/PCQS%20User%20Guide.pdf)

The screenshot shows the EMBL database search interface. Annotations 1-4 point to specific features:

- 1** points to the "Database" dropdown menu, which is currently set to "EMBL".
- 2** points to the "Search Criteria" section, specifically the "Accession" field, which contains the text "U00001".
- 3** points to the "Select All" button, which is located next to the "Accession" field.
- 4** points to the "Search" button, which is located at the bottom of the page.

(b)(6)

Person Search

Search Criteria

Search

Search Results

1

2

3

4

### 5.5. FOIA/PA Information Processing System (FIPS)

The Freedom of Information Processing System (FIPS) is an automated system that allows us to process FOIA/PA requests electronically. This automated system enables the scanning of paper files into electronic images. These images are easily stored, retrieved, and processed. FIPS provides workflow processing for the life of a case. Any time you do any transaction concerning a FOIA/PA case, it will be through FIPS.

Processing Fee Information

Office NRC **NRC2008000157** Status **Open Case Processor 2 p3test** ☐ Web Entry

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

**Requester Information**

**Abner Doubleday**  
1 Hall of Fame Drive  
Cooperstown NY 12345 987-654-3210

Edit Requester  
Change Requester

**Subject Information**

First Jessica Middle Marie Last Powell

A-Number (b)(6)

Topic Border Patrol Apprehension Data

Track 2  
Type FOIA Request  
Source Self  
Category Alien File

Bureau: CIS  
Referred From:   
Expedited: Not Requested  
Fee Waiver: Not Requested

☒ Print To CD  
☐ RA Cited  
☐ In Litigation  
☐ In Circular Search  
☐ Delinquent

Calculate Queue Position

Save

Type of request	Source	Track 1, 2 or 3	Category	Print to CD
<ul style="list-style-type: none"> <li>Always FOIA</li> </ul>	<ul style="list-style-type: none"> <li>Attorney</li> <li>Commercial</li> <li>Education/Scientific</li> <li>Foreign Government</li> <li>News Media</li> <li>Others</li> <li>Representative</li> <li>Self</li> <li>White House/Congressional</li> </ul>		<ul style="list-style-type: none"> <li>Alien File</li> <li>Asylum</li> <li>Specific Documents</li> <li>Non A-File Material</li> <li>Personnel</li> <li>Special Interest Group</li> <li>SFR cases at NRC</li> </ul>	

## 6. CREATING THE CASE

**FIPS 7.00.90 - 07/28/2010**

## Work Queries

<b>Case Workflow Queues</b>																								
<b>Case Creator</b>																								
<b>Workflow Queries</b>																								
<b>Available Cases</b>																								
<p>FIPS 7-90.7E - 2/26/2010      Work Queue      Agents      Standard Search      Office Bal      Change Office      Clear      Logout</p> <p><b>Processing:</b></p> <p>Office # BAL2B10006749REQ      Status Request Case Creator created      Web Entry Received      Synced      Drafted      Perfected      Final Known      Closed      Final Rep/Due</p> <hr/> <p><b>Requester Information:</b>      Requestor SEARCHENK</p> <p><b>Subject Information:</b></p> <p>Title      Page      Last</p> <p>A Number      Topic</p> <p>Work Place      BUREAU      Point To CD      PA Case      In Litigation      In Circular Search      Delinquent</p> <p>Sources      Expedited Not Requested      Per Officer Not Selected</p> <p>Category</p> <p>Candidate Queue Position      <b>304</b></p> <hr/> <table border="1"> <thead> <tr> <th>Tasks</th> <th>Comments</th> <th>Case Actions</th> </tr> </thead> <tbody> <tr> <td>Document Type</td> <td>Seq</td> <td>Status</td> </tr> <tr> <td>Request Letter</td> <td>1</td> <td>Screened</td> </tr> <tr> <td></td> <td>2</td> <td>Screened</td> </tr> <tr> <td></td> <td></td> <td>2/4/2010 11:01:22 PM</td> </tr> </tbody> </table>										Tasks	Comments	Case Actions	Document Type	Seq	Status	Request Letter	1	Screened		2	Screened			2/4/2010 11:01:22 PM
Tasks	Comments	Case Actions																						
Document Type	Seq	Status																						
Request Letter	1	Screened																						
	2	Screened																						
		2/4/2010 11:01:22 PM																						

On the FIPS worksheet under the header “Contents,” you will notice that usually Seq. 1 is the “Request Letter” and any supporting documents submitted with the request to include the mailing envelope. There will be a date and time in the right column. In older cases, the supporting documents may show in sequence 2 as Request Supporting Documents.

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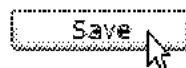
Updated on 6/29/2012

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 only a letter from the subject of record or the attorney. 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 all documents scanned in FIPS in the Request Letter and Request Supporting Documents slots before you create the case.

If you find two or more unrelated requests scanned into one request slot:

- A. Create one of the cases.
- B. Search to see if the other subject has an active case.
- C. If you find an active case for the 2<sup>nd</sup> request, create a Discussion note explaining – no further action required.
- D. If you do not find an active case for the 2<sup>nd</sup> request:
  - a. print the request and attach a Scan As sheet noting it is a new request ,
  - b. take it to OA to be scanned as a new request,
  - c. create a Discussion note.

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: requester name and address, subject name, Track, type, source, and bureau.

If you are going to be away from your desk for 15 minutes or more, it is a good idea to check in your documents and log out of FIPS. It does not usually take very long to log back into FIPS and check your documents out again – in fact, it will save you time and effort. If you forget to log out and come back after a prolonged absence, you might possibly be disconnected from the server and not know it. When disconnected from the server, FIPS sometimes allows you to continue working but as soon as you attempt to save or check in a document, it will send you to the log-in screen and you lose the work you have done.

## 6.1 REQUESTER INFORMATION

Processing

Office: BAL BAL2010000751REQ Status Request Case Creator cctestb Web Entry

Received Scanned Created Perfected Final Action Closed Final Reply Due

03/04/2010

**Requester Information** Requester Search/Entry

Subject Information

First Middle Last

A-Number

Topic

Track \* Type \* Source \* Category \*

Bureau: Referred From: Expedited: Not Requested Fee Waiver: Not Requested

☐ Print To CD  
☐ PA Cited  
☐ In Litigation  
☐ In Circular Search  
☐ Delinquent

Calculate Queue Position

Save

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

### 6.1.1 RULES FOR ENTERING INFORMATION ON THE FIPS WORKSHEET

6.1.1.1 If the requester provides an alien number (which we will refer to as “A-Number,”) you should first verify that it is the subject of the request and that this is not a duplicate case. After entering the A-Number in FIPS, copy the number you entered and open CIS 9101 screen. Enter ‘a’ on the number line, paste in the A-Number after the ‘a’, and press enter. Verify that the subject shown in CIS matches the subject listed on the request. Next, open NFTS, enter ‘a’ on the number line and paste the A-Number after the ‘a’, and press enter. This will show you the current location of the file. If the requester did not provide an A-Number, you should search by subject name and/or requester name by entering the information on the search screen and checking the boxes to use them in the search. If the requester provided multiple A-Numbers, you should verify that each is for the subject and

then search by each file number. You may discover that two A-Numbers have been consolidated. In that case, you use the surviving A-Number only.

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. If Jr. or Sr. applies, make sure it ends with a ‘.’ (period).

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 and Baker” as the requester name.

6.1.1.5 Do not hyphenate names. For instance, if the requester has written his or her last name as “Ortega-Ramirez,” you should enter that name in FIPS as “Ortega Ramirez,” omitting the hyphen. This saves time by permitting a person researching cases to enter “Ortega Ramirez” without having to guess if the case creator hyphenated the name.

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 the requester name.

6.1.1.7 Please 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. If you do not find the person by exact spelling, you might look at the mothers and fathers last names, if provided. You may use a percent sign (%) as a wildcard 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%que%” and Subject First Name “Jaime.” You may also need to search by variations of the first, middle, and last names – they may be in a reversed order in CIS.

Some names may be found in CIS with a different sequence or combination of the first, middle, and last names. If you are unsure consult a co-worker, or supervisor.

6.1.1.10 If the request came to us on Form G-639, you should use the name and address of the requester in Section, "*Requester Information*." Please do not use the address on the envelope, or Form G-28 or letterhead as the requester address without first speaking with a supervisor about it. You may use other request documents to verify what is shown as the requester address on the request, if the address on the request is a foreign consulate office, or is a congressional office, (we cannot send mail or create FOIA cases in the name of a foreign consulate or a congressional office) then you may use the address listed on the G-28, or other documents in the request, such as an envelope — If there is a cover letter or other document specifying that the records should be sent to a different address than 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. Something that is evident to you because you have been creating the case might not be immediately obvious to a supervisor or processor who has just opened the case. Please keep in mind that if you have done something out of the ordinary, adding a Discussion note will clarify your thought process and your decision. If there is a cover letter or other document specifying that the records should be sent to a different address than the one specified on the request, use the one they state should be used. If you can find no other address, be sure to add a Discussion note to the case and send the case to Unit Chief (which we will frequently refer to as UC). If addresses are difficult to read or unclear, you may go to

- A. <http://zip4.usps.com/zip4/welcome.jsp> to verify that it is a valid address and the format that should be used.
- B. <http://www.canadapost.ca/cpotools/apps/fpc/personal/findByCity?execution=e1s1> ) provides similar address information for Canadian addresses.

Be careful - it is easy to miss apartment or suite numbers because the space for them is at the right side of Form G-639.

6.1.1.11 Each line of the address in FIPS can contain no more than 35 characters; this includes spaces and punctuation. When we are printing the responsive records to CD, nothing over 35 characters prints on the CD. This requires the OA clerks to print a label separately for those CD's before mailing.

6.1.1.12 Do not use special characters, such as "&" and "#" in the address field; rather, spell them out or use an abbreviation, such as "and" or "No." Note: you *may* use spaces, dashes, periods, commas or single quotes ('). You *may not* use @, #, \$, %, ^, &, \*, (, ), =, +, [, ], {, }, \, <, >, or /.

6.1.1.13 Please include the suite number or apartment number on the same line as the street address. FIPS will allow you to key in more than 4 lines in the address box. The

50

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Updated on 6/29/2012

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 without any staffing or acknowledgement letter. Be sure to add a Discussion note to the case titled 'Missing address.'

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. If the attorney's name is part of the firm's name, then the first line of the address should be "Attorney at Law." If the attorney's name is not part of the firm's name, then the firm's name should be the first line of the address. For example, if the requesting attorney is Manuel Solis, and the firm's name is "Law Offices of Manuel Solis," the first line of the address should be "Attorney at Law." For another example, if the attorney's name is Spiro Serras and the firm's name is "Wilens and Baker," the first line of the address should be "Wilens and Baker." If the address on the request is a residential address under the name of someone other than the subject or requester, you must add 'c-o' and the listed person's name (FIPS will not allow c/o). If USPS does not show the requester or subject name on the request as living at that address, the mail will be returned. Using 'c-o' (in care of) allows USPS to deliver the mail to that address as long as the person listed receives mail at that address.

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 and postal code. You must complete these at least the city and country name fields to ensure proper delivery. Some foreign countries also require postal codes.

This link

(<http://www.canadapost.ca/cpotools/apps/fpc/personal/findByCity?execution=e1s1>)

provides address information for Canadian addresses. Also

<http://bitboost.com/ref/international-address-formats.html#Formats> can be used to find the proper format for foreign addresses to ensure you have the needed information in the correct format.



If a foreign address has no postal code and FIPS will not accept the address without it, add an ‘-’ as the postal code. It may also be necessary to view the return address on the envelope to see how the address should read because their address formats are different than ours. A foreign address may be very long, and you may have to consult a supervisor to complete the address field correctly. The following places should use standard U.S. mailing addresses because they are NOT foreign countries:

- American Samoa
- Guam
- Puerto Rico
- Northern Mariana Islands
- Baker Island
- Howland Island
- Jarvis Island
- Kingman Reef
- Midway Islands
- Navassa Island
- Palau
- Palmyra Atoll
- U.S. Virgin Islands
- Wake Island
- Micronesia

**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. Searching by last name and first name brings up more exact matches. Changing the frequent requester indicator to ‘either’ will search for both regular and frequent requesters. Refer to the rules in section 6.1.1 for any questions on searching for requester information.

Requester search

First Name  
Middle Name  
Last Name  
Address1  
Address2  
Address3  
City  
State  
Zip Code  
Phone

Frequent Requester: ☐ Yes  
☐ No  
☐ Either

(b)(6)

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

Search Requester

Requester	Requester	Requester	Address Line 1	Address Line 2	Address Line 3	City	State	Province	Postal Code	Country	Phone
Mr. Bernhard		Staverdale									
Mr. Jones	Mary	Sauerwein									
Mr. Todd		Scott									
Mr. Milton	Jar	Shappard									
Mr. Benne		Simmons									
Mr. Timmer		Simpson									

Total item(s) found: 6 of 6

Page 1 of 1

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. Make sure the address is an exact match, including any apartment or suite number – just matching by names causes problems when addresses don't match exactly.

**Results** Webpage Dialog

**Search Requester**

Requester First Name	Requester Middle Name	Requester Last Name
<input type="checkbox"/> Bernhard		Sauerbraten
<input type="checkbox"/> Jones	Mary	Sauerwen
<input type="checkbox"/> Todd		Scott
<input type="checkbox"/> Milton	Jay	Sheppard
<input type="checkbox"/> Bonnie		Simmens
<input type="checkbox"/> Timmy		Simpson

Total item(s) found (6 of 6)

Page 1 of 1

Cancel

And it will populate the requester information like this:

Processing

Office: BAL BAL2010000751REQ Status Request Case Creator cctestb Web Entry

Received Scanned Created Perfected Final Action Closed Final Reply Due

03/04/2010

**Requester Information**

Bernhard Sauerbraten

Edit Requester  
Change Requester  
Copy to Subject

(b)(6)

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

**Requester Search**

First Name  
 Middle Name  
 Last Name  
 Address1  
 Address2  
 Address3  
 City  
 State  
 Zip Code  
 Phone

Frequent Requester: ☐ Yes  
☐ No  
☐ Either

Search Cancel Add New Requester

Click on Add New Requester, you will get a dialog box .

*Note: We don't use parenthesis when entering phone numbers*

**Requester Information**

First Name  
 Middle Name  
 Last Name  
 Address 1  
 Address 2  
 Address 3  
 City  
 State  
 Postal Code  
 Phone Number  
 Email  
 Frequent Requester: ☐ Yes ☐ No

Save Cancel

When you click Add New Requester, you will get a dialog box that you fill in. You will enter all information and decide if this is a Frequent Requester. If the requester is an attorney or representative who is not already in the system, please save as a Frequent Requester. Do not create a new frequent requester if one already exists with matching name & address information, including apartment or suite numbers (first & last names should match, but first initials or a second last name may be used in some cases and if addresses match, they can be used). Phone number should be entered in the following format: 999-999-9999 for US phone numbers. Extensions are allowed after a space following the phone number. Although you are not required to do so, you may enter the e-mail address if it is provided. Click 'save'.

## 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 by clicking on 'Copy to Subject'

(b)(6)

Requester Information	
C G Culpepper	Edit Requester Change Requester Copy to Subject
<div></div>	

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. FIPS converts all 'A-Numbers' to 9 digits by inserting leading zeroes.

*Note: We don't use parenthesis when entering phone numbers*

(b)(6)

Subject Information		
First	Middle	Last
Melville		Crump
A-Number: <div></div>		
Topic: <div></div>		

### 6.2.1 Name

Enter the subject's name, as it appears in section "Requester Information" of Form G-639 (except in the case of a petitioner asking for a petition).

The name portion of the worksheet is the name of the alien whose file we are requesting. This is usually the name in the subject portion of the Form G-639, or in the subject line of the request letter. However, if the requester is asking for a petition he or she filed on behalf of a beneficiary, then that document will be a separate receipt or it will be in the beneficiary's file, not the requester's file. In situations like this, the subject information would be that of the beneficiary, not the requester. If a receipt has been consolidated into the beneficiary's A-file, we require consent from the beneficiary or we will close the case as a Failure to Comply (FC). *See Section 7 for Consent and Verification of Identity.* Watch for identical family names requesting records of other family members. Please verify all A-Numbers and receipt numbers in CIS or CLAIMS to be sure they belong to the person whose records are being requested.

### 6.2.2 Alien Number

In the alien number field, enter the subject's alien number, as provided on the request, as an eight-digit or nine-digit number. FIPS will automatically convert all A-Numbers to nine digit

numbers by adding leading zeroes. Do not use the preceding 'A' or 'T' file indicator in FIPS.

**6.2.2.1** Always check the A-Number in CIS to be sure it belongs to the correct subject. 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 and verify they are all for the subject.

**6.2.2.3** If you have created the case and you see less than eight digits in the A-Number field, please re-check (by pasting the number into CIS) to make sure you have entered the number correctly.

**6.2.2.4** Do not enter the petitioner's A-Number if the request is only for a copy of an unconsolidated petition filed on behalf of someone else. If the request is for all records, we would need to staff for the A-Number and receipt file. If the subject of the A-Number and beneficiary are different people, you must create multiple cases.

**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, and change the subject name to that of the beneficiary, since we will request the beneficiary's 'A-file'. We require consent from the beneficiary or the case will be closed as Failure to Comply (FC). For more information about this, please refer to section 7.2, Verification of Identity.

### **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
  - significant interest requests with a topic unrelated to a subject records request.
- You may change the Topic field (unlike the A-Number field) after you have created the case.

Do not use Topic to describe specific documents such as an I-130 or immigrant visa if the receipt number is unknown – you should specify that in the Discussion notes and in the acknowledgement letter. It is always a good idea to read any correspondence you prepare to be sure it makes sense. For more information, refer to section 18, Acknowledgment Letters. When you use Topic, you must check and possibly modify any staffing or acknowledgement letters.

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

**Correct:** MSC0412360000

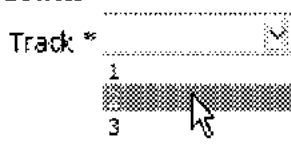
**Incorrect:** MSC-04-123-60000

**6.2.3.2** The format above 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 (for the same subject), you may staff for up to four receipt files on one staffing sheet. 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 section 8.8, USCIS Personnel Information, for more information on handling personnel related requests. In other types of situations, put as much of the pertinent information in the description line as space will allow. You will need to modify the acknowledgement letter.

## **6.3 CASE SPECIFICATIONS**

### **6.3.1 Track**



#### **6.3.1.1 Track 1 –**

Track I requests for receipt files and requests for partial records such as a specific document. A specific document request consists of three documents or less (except asylum or refugee requests, which you should create under category Asylum and Alien file for refugee requests. Assign those to Track 2).

**6.3.1.1.1** Please select the category **Specific Documents** and make the case a Track 1. The third paragraph of the acknowledgement letter sent to the requester

must contain the following paragraph and it must be modified to show the specific documents requested:

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."

You should modify the specific document language in the acknowledgement letter should to be as close as possible to the way it was stated in the request.

**6.3.1.1.2** Continue to create the case in Track 1 as Specific Documents. If the requester responds that he or she needs the whole file, a FOIA/PA Assistant or Public Information Specialist working in Records Locator (which we will refer to as RL) or the Research queue can change it to Track 2 at that time. See sections 34-35 for instructions on how to change tracks.

**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/or lists more than three documents on the G-639, please select the category Alien File, Asylum or SFR cases at NRC and make the case a Track 2. (See sections 34 for instructions on how to change tracks.) Track 2 should also be used for cases created for SIG.

**6.3.1.3 Track 3** – Requests for records of individuals scheduled in the future to appear before an immigration judge. Requesters must provide one of the following documents to receive Track 3 processing:

- Form I-862, Notice to Appear, documenting a future scheduled date of the subject's hearing before the immigration judge.
- Form I-122, Order to Show Cause, documenting a future scheduled date of the subject's hearing before the immigration judge.
- Form I-863, Notice of Referral to Immigration Judge
- Written notice of the continuation of a future scheduled hearing before an Immigration Judge.

**6.3.1.3.1** A supervisor will normally 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 Already Approved Requests for Track 3 Processing with Pending Cases**

Before you create the case, look at the documentation and/or check for a duplicate. Sometimes you will find a current, open pending case which is *already approved* for Track 3. If you find another case and it is not a DP case, simply click “Send to Research” and you are finished with the case. Add a Discussion to the original case, “Research, original case already approved for Track 3 processing please attach as CSD”. If it is an exact duplicate request to the existing pending case and already approved for Track 3 processing, you will close this case as final action ER-Duplicate case. Add a Discussion to the original case, “Research DP Case closed as ER, and provide the NRC control number”. (See section 6.4 for information on Searching for Duplicates.)

**Track 3 Approval on Pending Cases.** If you find an *existing duplicate pending case that was denied* Track 3, and has now been *approved* 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, change the case to track 3 and send approval notification. Add a Discussion note to original case, “Research, Track 3 upgrade needed”. (See sections 34 & 35 for instructions on how to change tracks.)

**6.3.1.3.4** Requesters will sometimes request both Track 3 processing and expedited processing. Do not select both. Neither has to do with the other. A requester could be granted either Track 3 processing or expedited processing, but never both on the same case. For expedited processing guidelines, please refer to “Expedited Treatment” in this guide, section 6.3.6

**6.3.1.3.5** Track 3 processing is not “expedited” processing as that term is used and understood in law. It is not appropriate to use the word “expedited” when discussing Track 3 processing of a FOIA request (“priority” or “accelerated” processing are more appropriate terms for Track 3). Don’t confuse the two in correspondence with requesters.

**6.3.1.3.6** Refer to the cover sheet the supervisor attached to the request. There should be either an Expedited coversheet or a Track 3 coversheet, but not both. Follow the instructions on the cover sheet attached to the request. If there is no Expedited cover sheet, do not mark either box. Add a Discussion and send the case to Unit Chief. A supervisor will approve or deny expedited requests.

**6.3.1.3.7 New FOIA Requests for Track 3 Processing** If the requester specified Track 3 processing on a new FOIA request but the request does not have a cover sheet, please create the case, evaluate the request and make a determination to approve or deny Track 3. If you are unsure, consult your supervisor.

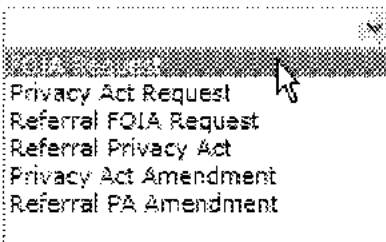
**6.3.1.3.8** If the requester did not provide any documentation or if the documentation says “a date and time to be determined” prepare an acknowledgment letter and click “Add Track 3 Denial Paragraph.” Proceed with creating the case.

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

**6.3.1.3.10** If you assign the case to Track 3, ensure you put the words “TRACK 3” below the A-Number on the left side on top of the NFTS screen shot on each FIPS staffing sheet. Check the barcode at the bottom of the staffing sheet anytime you add or modify a staffing sheet. You may have to move the text box up if it interferes with the barcode.

### 6.3.2 Type

Type \*

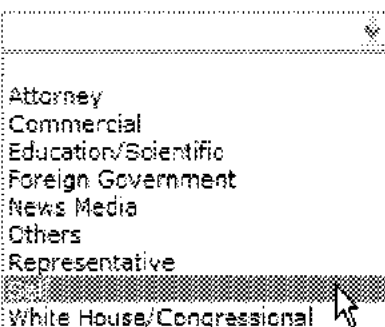


Always select **FOIA Request**. It will be incumbent upon the processor to verify the status of the alien, and to change the case type if necessary.

Privacy Act Amendments are requests to correct or amend something on the specific document or file. This type of request is not for a copy of records or the file. If a request is for a ‘Privacy Act Amendment’ please refer to Section 8.13.

### 6.3.3 Source

Source \*



The source of the request is, quite simply, who is making the request. Is the requester the

individual or an attorney or representative speaking on the alien's behalf? Is it a request from the media or a true third party requester? Below is a list of possibilities for requesters:

- Attorney - The requester is an attorney representing the alien. The attorney will have checked the box on the G-28 marked "Attorney," or will have sent us a letter on the law firm's letterhead.
- Commercial
- Education/Scientific
- Foreign Government
- News Media
- Others - The requester of the file is someone other than the alien, an attorney or an accredited representative. They might possibly include a G-28 with something other than "Attorney" or "Accredited Representative" checked.
- Representative - The requester is an accredited representative under the provisions of 8 CFR 103.2(a)(3) and 292.1(a)(1) or 292.1(a)(4). On a G-28, the requester will have marked the box "Accredited Representative."
- Self - This is a request from the alien himself or herself. The request may have the name of an individual followed by "care of" a certain law firm. This is still a self-request.
- White House/Congressional

If you feel that you have a case of a different source of request, please contact a supervisor for further guidance.

### 6.3.4 Category

Category *	Alien File
	Alien File
	Appeals
	Asylum
	Child Support
	Citizenship National Review
	Consultation
	Contract
	Debts Owed
	Dual Citizenship
	Family History
	Haitian Refugee Immigration
	Handbooks, Manuals
	Inheritance
	Internal Audit
	Investigations
	Legal Immigration & Family
	Legalization/Admin Appeal
	Medical History
	NOK Addresses
	Nicaraguan & Central Amer
	Non-A-File Material
	OTHER
	Pensions
	Personnel
	Proof of Naturalization
	Referral
	SFR Cases at NRC
	Special Interest Group
	Special Interest Group
	Waste, Fraud, Abuse

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

**6.3.4.1 Alien File** – The requester is asking for an entire copy of an alien file. This category includes the following:

- a. Files of living subjects
- b. Naturalization records on or after April 1, 1956
- c. Visa records on or after May 1, 1951 in A-files
- d. A-Files above 8 million (A8000000), and documents therein dated on or after May 1, 1951
- e. Registry records on or after May 1, 1951 in A-Files
- f. Alien Registration Forms on or after May 1, 1951 in A-Files
- g. Requests for copies of Refugee files/ Asylum files

**6.3.4.2 Specific Documents** – The requester is asking for specific documents, such as a copy of a receipt file, an application or a copy of his or her naturalization certificate. A Specific Document case is a Track 1 case, and vice versa. As a rule, you should create a case as Specific Documents if the requester is asking for up to three documents. If a requester is asking for an asylum application and supporting documents, or refugee documents you should create it as Asylum, Track 2, or a refugee request as Alien file, Track 2. You must update the language in any Track 1 case to specify what documents have been requested. See section 9 for CBP and ICE referrals.

**6.3.4.3 Personnel** –The requester is seeking information relating to USCIS personnel matters, including information related to job vacancies. These are Special Interest Group cases but created in the Personnel category.

**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 If you believe a request qualifies as a Special Interest

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Updated on 6/29/2012

Group, create the case in track 2 as normal. Search for duplicates and then create the case in the NRC queue, but do not staff or create an acknowledgment letter. Prepare an e-mail and Discussion note explaining the situation and send to NRC\_FOIASIG. Send the case to Unit Chief.

A Special Interest Group (SIG) processor will review the case and move it to their queue if it is truly a SIG case. A Special Interest Group processor will then create the staffing and acknowledgment letter. This enables the Special Interest Group, 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**. This category is very important. SFR cases at NRC can apply to cases in any processing Track. It does not matter what Track the case is in – if the FCO is SFR, you must make the Category “SFR cases at NRC.”

**6.3.4.6 Genealogy:** Genealogy cases are requests for searches and/or copies of historical records relating to a deceased person. The lists below represent the records that the public would be able to request from the Genealogy Program:

- A. Naturalization Certificate Files (C-files) from September 27, 1906 to April 1, 1956
- B. Alien Registration Forms from August 1, 1940 to March 31, 1944
- C. Visa files from July 1, 1924 to March 31, 1944
- D. Registry Files from March 2, 1929 to March 31, 1944
- E. Alien Files (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, select Category **OTHER**, then do the following:

- a. Create the case.

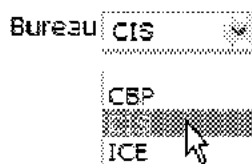
- b. Do not staff for any records and do not prepare an acknowledgment letter.
- c. Send the case to Unit Chief with a Discussion explaining it is a possible Genealogy
- d. Send an email to the designated person who handles genealogy cases (The point of contact, currently Donna Brasfield) with the control 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 the Case Create queue to send an acknowledgment letter and staff for records.

If it does meet the criteria, the designated person will create a letter referring the requester to the Genealogy program and will close the case as ER.

### 6.3.5 Bureau



The Bureau selections are used to track cases and apply equally to all processing Tracks. Bureau should be determined by the location of the file at the time the case is created. The three possible selections for Bureau are:

**ICE** – Select this when the requester is seeking information in connection with deportation hearings and other immigration related litigation (OPLA/DRO/SAC), based on the NFTS ICE staffing locations.

**CIS** – This is the default in FIPS. Leave it selected unless it falls under ICE or CBP.

**CBP** – Used for requests pertaining to documents relating to the Border Patrol, incident reports relating to apprehension, entry without inspection (EWI), smuggled humans, mobile patrol group, voluntary return, repatriation, checkpoints, entry/exit information, inspection, Port of Entry (POE), legacy customs or legacy inspections. Key words that you could see on a request relating to CBP are inspection, Port of Entry, Bridge of the Americas, Friendship Bridge, and smuggled goods. **Note: If request is for entry/exit information and the requester/subject provided an alien number, request the file.**

### 6.3.6 Is there a request for expedited treatment?

Expedited

- Not Requested
- Requested
- Granted
- Denied

A requester may ask for his or her request to be expedited and processed outside the order of receipt. By law, we must respond to a request for expedited treatment within 10 business days.

USCIS will grant expedited processing if the requester establishes *either*:

- (1) circumstances in which the lack of expedited treatment could reasonably be expected to pose an imminent threat to the life or physical safety of an individual; **or**
- (2) an urgency to inform the public about an actual or alleged federal government activity, if the requester is a person primarily engaged in disseminating information.

A requester who seeks expedited processing must explain in detail the basis of the need and submit a separate statement that the facts are certified to be true and correct to the best of his or her knowledge and belief. The requester must establish that one of the following situations exists in order to receive expedited treatment of his or her FOIA/PA request. 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 Reviewing Expedited Treatment Requests

The 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. With *or* without a coversheet attached to the request, you will still need to review the request. ***Helpful review information is listed below:***

- A. If you search for duplicates and find the case recently closed as FC or NR, refer to the New Request guidelines in 6.3.6.4. In any case, you must read the entire request carefully to ensure it is or isn’t a new FOIA request. Sometimes the request will be similar to the closed case



but now the requester is seeking additional documents or is responding to the closed case.

- B. If you find an open pending FOIA request or a case closed as PD or G1 within 6 months, we consider it a duplicate request with a request for expedited treatment. Refer to section 6.4.
- C. If you find a recently closed case with the final action codes of RD, RF, DP, or ER, it may also be a duplicate request with a request for expedited treatment. Refer to section 6.4 if you determine it is, but otherwise refer to section 6.3.6.2.3.

**6.3.6.2 Resubmitted for expedited processing:** 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. *Helpful steps to reviewing duplicate or currently open expedited treatment requests are:*

- A. Search and review any existing duplicate cases.
- B. Review the new request documents to ensure it is a duplicate case with Expedited Treatment Requested.
- C. Attach the new request as a duplicate (DP) to the current open pending FOIA request case.
- D. Enter a Discussion on the original FOIA request case, "To Research, Expedited Treatment Requested, and briefly describe your findings.
- E. Send the new request to the Research queue. The Research point of contact (POC) will attach the new request to the existing/pending case as a CSD and complete the expedited approval or denial actions, if needed.

**6.3.6.2.1** If expedited processing has been approved based on new information and a duplicate (DP) case exists, follow the guidance listed above in sections 6.3.6.2, (A-E).

**6.3.6.2.2** If expedited treatment was already denied or approved 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. Follow the guidance listed above in section 6.3.6.2, (A-E), or if the case is a duplicate case (all new expedited request documents that are the exact same FOIA request documents previously submitted at the same time, in a currently open or prior case), follow the guidance in section 6.4, Searching for Duplicate Cases.

**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, create it as a new case, or attach as DP, (duplicate) and close with the ER(created in error) final action code, based on the situation. To close a case ER, please refer to section 15 of this guide. If in doubt, consult your supervisor. Please refer to the section 6.4 on DP (duplicate) Cases, and the previous guidance listed above on reviewing expedited treatment requests. Create a Discussion with your findings on the original FOIA case prior to sending to Research or closing as a DP case.

**6.3.6.3** Sometimes the OA room will miss an expedited request or there is no coversheet attached. As you are reading the request, you will notice the requester has asked for expedited treatment within the body of their letter, and it would not have been obvious to anybody who had not thoroughly read the letter. If this happens, do not select anything (requested, approved or denied) in the drop-down box at this time and do not create the Expedited Denial Letter, the Acknowledgement letter or the Staffing letter.

A supervisor must review newly created FOIA Request cases with Expedited Treatment requests in the *Unit Chief (UC) Queue*, before selecting expedited processing or addressing the decisions. If the review process was missed and/or the coversheet is missing you must then do the following:

- A. Create the case
- B. Enter a Discussion prior to sending to the UC (Unit Chief Queue)  
“Expedited Treatment Requested per page(s) \_\_, denied/approved”
- C. Send the request to UC (Unit Chief Queue)
- D. E-mail your supervisor with NRC FOIA Request number and the details.
- E. Send the request to UC (Unit Chief Queue).

When the case is returned to you from the Unit Chief in the Case Create queue, review the decision, refer to 6.3.6.4 or 6.3.6.5 whichever applies.

**6.3.6.4** 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 not address the fact that Expedited Treatment is granted.

- A. Select “Granted” in the Expedited drop-down box.
- B. When you create the acknowledgement letter, it will not address the fact that Expedited Treatment is granted. After completing the acknowledgement letter you will then need to create a “Blank Letter” and add the following: “This letter serves to notify you that your case has been approved for expedited processing.” Make sure you review both

letters for accuracy and complete the selected processes by saving each letter and by checking the letters in.

- C. Create a Discussion “Expedited Approved by supervisor.”
- D. Complete any remaining actions as needed. You have now completed the Expedited Treatment Request as approved per the Unit Chief/Supervisor’s guidance.

USCIS denies most requests for expedited treatment because the requester fails to establish either of the necessary criteria.

**6.3.6.5** 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 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.

- A. Select expedited denied by clicking on the Expedited drop down box.
- B. Advise the requester in this denial letter 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. Select the Expedited Denial Letter. 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.
- C. Enter a final Discussion note “Expedited Denied by supervisor.”
- D. Complete any remaining actions as needed. You have now completed the Expedited Treatment Request, denied per the Unit Chief/Supervisor’s guidance.

Contents		Discussions	Case Actions
Task	Status		
Search For Duplicate Cases	Not Started		
Create Additional Cases	Not Started		
Create File Request	Not Started		
Acknowledgement Letter	Not Started		
Final Action Letter	Not Started		
Specialty Letter	Not Started		
Status Letter	Not Started		
Blank Letter	Not Started		
Interest Letter	Not Started		
Expedited Denial Letter	Not Started		

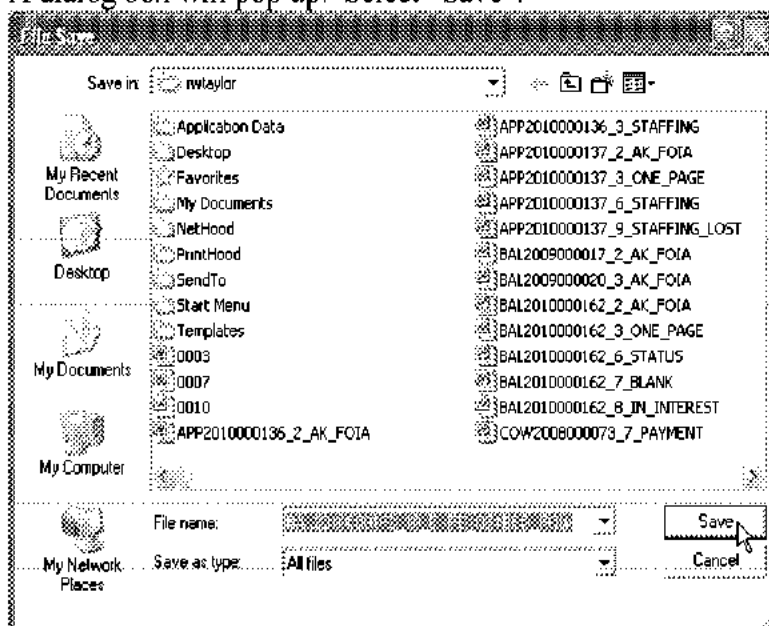
**6.3.6.6** Do not mark both “Expedited Treatment Requested” and “Track 3.” A request can be either expedited or Track 3, but not both. If the requester has asked for Expedited Treatment and Track 3, treat it as if it is a Track 3 request and follow the instructions in section 6.3.1.3.

Successfully generated letter Expedited Treatment FOIA Denial.

Click on OK to continue.



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



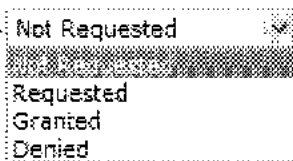
A word document explaining the denial and appeal rights will pop up. After you have done any editing necessary, save the document and check it in.

If you have made expedited granted selection, your acknowledgement letter will not address expedited treatment granted. Refer to section 6.3.6.4, for granted letter guidance.

**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. The Supervisor will 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. Send the case to the Unit Chief Queue (UC) if an approval or denial is needed. Refer to Multiple Case Guidance when creating multiple cases.

**6.3.6.8** If there is an Expedited Treatment Requested cover sheet, but for any reason, the disposition of the case is to Up-front Approver, then please change the Expedited drop-down box to “Not Requested” before you send the case to Up-front Approver. Because we are not generating a letter regarding expedited treatment denial or grant, and because it would cause erroneous reporting of Expedited Treatment Requests, you must change it to “Not Requested.”

### **6.3.7 Is there a request for fee waiver?**

Fee Waiver: 

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. The supervisor may determine to deny based upon the two criteria listed above. If the supervisor marked denied, 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.

#### **Fee Waiver Denied with Coversheet**

- A. Select “Denied” in the Fee Waiver drop-down box.
- B. Create a Specialty Letter and select Fee Waiver Denied.

**6.3.7.2** When you are finished creating a case with a fee waiver denial, 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.”

#### **Fee Waiver Request Without Coversheet**

- A. Do not select anything in the Fee Waiver Request drop down box
- B. Create the case, but do not staff or create acknowledgement letter
- C. Add a Discussion note and send to Unit Chief
- D. Send an e-mail to your supervisor
- E. After a decision is made, the case will be returned to your Case Create queue
- F. Then use 6.3.7.4 for denied or 6.3.7.5 for granted, whichever applies.

#### **6.3.7.4 Fee Waiver Denied**

- A. Select “Denied” in the Fee Waiver drop-down box.
- B. Create a Specialty Letter and select Fee Waiver Denied.

#### **6.3.7.5 Fee Waiver Granted**

- A. Select “Granted” in the Fee Waiver drop-down box. After the case has been created as normal,
- B. Create a Blank Letter with the following sentence included, “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” and click Save before you send the case to Up-front Approver. Because we are not generating a letter regarding Fee Waiver denial or grant, and because it would cause erroneous reporting of Fee Waiver Requests, you must change it to “Not Requested.” If you are closing the case Up-front, do not generate a letter regarding whether the Fee Waiver was denied or granted. If you are not sure, please consult your supervisor.

### 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.

### RULES FOR UNCHECKING “PRINT TO CD”

#### 6.3.8.1 Unchecking the Print to CD Box

Uncheck the “Print to CD box” on any case where the mailing address of requester is to a correctional facility or unless the requester specified paper in the initial request letter.


**6.3.8.2** If the mailing address is foreign, it does not matter if they ask for paper. We are sending it on CD. If you are unsure, please consult your supervisor.

**6.3.8.3** All responsive records mailed to a correctional facility must be on paper. In such an instance, you must modify the acknowledgement letter so that we do not tell the requester we are printing the responsive records to CD. Modify the acknowledgement letter by deleting the sentence that begins with “This office will be providing your records on a Compact Disc (CD)” and replacing it with a paragraph that reads “This office will be providing your records on paper.”

**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 in the United States specifically asks for his or her records on paper, uncheck “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)” and replace it with a paragraph that reads “This office will be providing your records on paper.”

### 6.3.9 Is this a delinquent requester?



- ☐ Print To CD
- ☐ PA Cited
- ☐ In Litigation 
- ☐ In Circular Search
- ☒ Delinquent

The Delinquent Requester search helps FIPS users identify requesters who have unpaid bills in the system. Requesters are delinquent when case fees remain unpaid for more than 45 days.

After you enter the last name of the requester, FIPS will automatically conduct a search for delinquent fees owed by that requester, using the last name of the requester. If the requester is delinquent on any case in any office nationwide, a box will pop up on the screen (see below).

Requester Information	
<b>Sage Morgan</b> DELINQUENT  123 Drive Lees Summit MO 64086	(816) 555-5555 x5555 sage@yahoo.com Copy to Subject

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

Requester Information	
<b>Sage Morgan</b> DELINQUENT  123 Drive Lees Summit MO 64086 	(816) 555-5555 x5555 sage@yahoo.com Copy to Subject

The query results appear in a separate window.

Query Results			
Delinquent Cases for Requester results - Webpage Dialog			
http://10.63.16.238:7001/sonora/Query?op=m8name=sQry_getDelinquentCasesForCase&CASEID=8704			
Control Number	Closed	Fee Charged	Fee Collected
DLS2010000044	4/21/2010	1,500	
Total item(s) found (1)			



If a requester/subject previously submitted a request and owed a fee on a case and he or she did not pay the fee within 30 days, the case closed as FP (failure to pay). If the subject/requester submits a new FOIA request, the Delinquent Requester notification is going to pop up. Your requester may possibly not be on the pop-up list. FIPS conducts a search by the last name(s) of delinquent requesters.

## **DELINQUENT REQUESTER RULES:**

**6.3.9.1** Do not treat the case as delinquent if the case was processed on or before January 1, 2004. Send an e-mail to [NRC, FIPSPROBLEM](#) (clicking on the link will automatically include a copy to NRC, FOIAPROGRAM). In the body of the e-mail, include the name of the delinquent requester and the delinquent case number(s).

**6.3.9.2** If you encounter a delinquent requester from a FIPS Lite office, do not treat them as delinquent. You will know the request was processed in FIPS Lite when you open the case because you will see a "FIPS Lite placeholder."

**6.3.9.3** Make sure the requester of the case you are creating is the same requester that FIPS is showing as delinquent. You must view the delinquent request(s) to make this determination. To view a case, highlight the line and click "view." If the delinquent requester matches your requester, treat the new request as delinquent. To get the delinquent case information (case number, dollar amount) in your acknowledgement letter and in the new case, highlight the name in the box that matches your requester and click ok.

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

Contents		Discussions	Case Actions
Task	Status		
Create Case	Not Started		
Search for Duplicate Cases	Not Started		

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

**6.3.9.4** If the requester is delinquent, do not request responsive records until we receive payment.

**NOTE:** If you are creating multiple cases, you should "Create Additional Cases" before you prepare the Acknowledgment Letter and File Request(s) for the original case.

**NOTE:** A FOIA/PA Assistant or Public Information Specialist working in Records Locator queue may need to cancel pending requester documentation for cases pending payment of fees due to a prior delinquent status that has been removed, because the

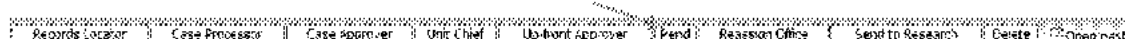
system does not.

If the FOIA/PA Assistant or Public Information Specialist working in Records Locator queue does cancel pending requester documentation, he or she should generate a new acknowledgement letter and staff the case as usual.

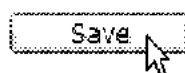
If the requester has more than one delinquent case, you will have to add up the total and modify the delinquent requester letter providing the case number for each delinquent case, the dollar amount owed for each, the total dollar amount owed, and instructions to prepare a check for the total amount made out to "U.S. Treasury."

When you click "ACK Letter" the following screen pops up. Click OK to generate the letter, save the letter and check it in

We will take no further action until the delinquency is resolved. Please pend.



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



## 6.4 SEARCH FOR DUPLICATE CASES

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. To be considered a duplicate, a request must be from the same requester, include the same request documents dated on or about the same date and is seeking the same information about the same subject. Requests with ICE or CBP transfer or referral letters, receiving offices will transfer these requests to NRC. The letters must be attached to the *open pending original case* as a CSD and they are not considered (duplicate) DP cases. Send the case to research.

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 true duplicate cases when an office has *already processed* this request with a final action code of either *PD* or *G1*. If the original case is ready to be processed, send to research to attach as a CSD. If we closed a previous case FC and the requester is now providing additional information, it is not a duplicate.

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. Follow the

guidance in section 6.4. Set this case as a DP (duplicate) case to the open pending original case and close your case with a final action code of ER.

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%quez” and Subject First Name “Jaime.” We may have created a case for him before using either the name Vasquez or Vazquez, and we may have included his second last name, Hernandez. If you search “Va%que%” it will find all three of those variations, but be careful – if the subject has a very common name, you might get hundreds of matches. If the subject has multiple A-Numbers, you must search for each one. Sometimes they will provide an A-Number that has consolidated into another file. You may stop searching if you determine that those A-Numbers have been consolidated. Staff only for the survivor file – never a consolidated file.

Case350 Home

FIPS v7.0 Training build 06    Work Queues    Actions    Standalone Search

Processing    Fee Information

**Search Case**

Status: ☐ Open   ☐ Closed   ☒ Both

Control Number:

Request Number:

Created After: 11/23/2008

Office:

Requester Last Name:

Requester First Name:

Requester Middle Name:

Subject Last Name:

Subject First Name:

Subject Middle Name:

A-Number:

Topic:

Contents    Discussions    Case Actions    History

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

[Click here](#)

Records Location	Case Processor	Case Approver	Unit Chief	Up-front Approver	Pend	Final

Page 2 of 2    65.7%    Viewing version: 1

Ordinarily, you will get a blank result.

Processing

Control Number	Scanned	Requester's Last Name	Requester's First Name	Requester's Middle Name	Topic A	Status	Category	Final	In 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:

The screenshot displays the EIPS v7.0 Training build 46 interface. At the top, there are navigation tabs: "Processing", "Fee information", and "Standalone Search". Below these, a table lists search results. The first result is a duplicate case with the following details:

Control Number	Scanned	Requester's Last Name	Requester's First Name	First Name	Middle Name	Topic A Number
10033704	5/28/2010 6:00:00 AM	Figueras	Leora	Leora		6/28/2010

Below the table, there are two buttons: "Search Complete" and "Search Again".

At the bottom of the interface, there is a section titled "Task" with a table showing the status of various tasks:

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

Below the task table, there is a section titled "Records Lifecycle" with a table showing the status of various records:

Records Lifecycle	Case Processor	Case Approver	Unit Chief	Up-front Approver	Pend	Reg

At the very bottom, there is a footer that reads: "Page 2 of 2 65.7% Viewing (1/1/10) 2".

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. To be a “true duplicate,” it needs to be the same requester, seeking the same information about

the same subject. Also, duplicate would not apply if the original case closed FC unless we are still missing the same information that caused the case to close.

Case360 Home

FIPS v7.0 Training build 06 Work Que

Control Number	Scanned	Requester's Last Name
NRC2010038504	5/28/2010 6:00:00 AM	Figueroa

Edit

Search Complete Search Again

By highlighting the case you wish to review and then clicking the “Edit” icon, FIPS will open the case for your review. You then review the request to ensure that:

- A. If there has been a case that was closed G1 or PD within six months from same requester –
- B. 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 “true duplicate” of another case and closed G1 or PD within six months from same requester, you will select “Set this case as duplicate to original case” as follows:

Case360 Home

FIPS v7.0 Training build 06 Work Queues

Control Number	Scanned	Requester's Last Name
NRC2010038504	5/28/2010 6:00:00 AM	Figueroa

Set this case as duplicate to original case

Search Complete Search Again

If you determine that it is not a *true duplicate*, please insert a new Discussion entitled “Similar Case” with the case number of the other 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:

- A. The requester is the same, and
- B. The information being requested is the same in both requests,

Do not close this case as a duplicate. Attach the case as a duplicate case by selecting “Set this case as duplicate to original case”, next select “Create Case” and close the case with a final action code of ER , enter a case Discussion and send the case to the Up-front Approver.

If you are not sure your case meets the duplicate requirements, create a new Discussion in the case and send the case to Unit Chief. Send your supervisor an e-mail with the case information for his or her review.

## 6.5 COPYING RECORDS FROM A CLOSED CASE

You may be checking for duplicates and discover responsive records of an existing closed case meet the following criteria:

- Regular (not Appeals) case
- Status of the duplicate case is “Closed” and
- The date closed was within six months of the current date

If the duplicate case meets all those criteria, then you may copy from the existing case into the new (active) case. The Request Type that you have selected for the existing case and the new case will determine whether any redactions are copied with the responsive records. If both new and existing cases are FOIA Requests or both cases are Privacy Act requests, then redactions will be copied into the new case with the responsive records. However, if the new case is a FOIA Request and the existing case is a Privacy Act request (or vice versa), then the responsive records will be copied but without any redactions.

To begin the search, select the Tasks tab and click **Search for Duplicate Cases**.







Contents	Discussions	Case Actions
<b>Task</b>	<b>Status</b>	
<u>Search For Duplicate Cases</u>	Not Started	
Create Additional Cases	Not Started	
Create File Request	Not Started	
Acknowledgement Letter	Not Started	
Final Action Letter	Not Started	
Specialty Letter	Not Started	
Status Letter	Not Started	
Blank Letter	Not Started	
Interest Letter	Not Started	
Expedited Denial Letter	Not Started	
Vaughn Index Letter	Not Started	

Click the checkboxes next to the populated fields to select which search criteria to use. Case Creators can also type information into other fields to use as search criteria. When you 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:

(b)(6)

Case Info

Control Number	Scanned	Requester's Last Name	Requester's First Name	Requester's Last Name	First Name	Middle Name	Topic
	5/9/2002 6:00:00 AM	Johnson Esq	Laurence	Nalubwana	Teapista		
	10/31/2002 6:00:00 AM	Steel Esq	Richard	Shin	Un	Soak	
	5/3/2010 1:34:12 PM	Sitel	Sam	Sitel	Rick		
	5/3/2010 1:34:12 PM	Sitel	Sam	Sitel	Rick		
	5/4/2010 1:22:47 PM	Sitel	Sam	Sitel	RoxAnne		
	5/6/2010 3:02:43 PM	Richards	Tim	Richards	Wiki	Rae	



Search Complete Search Again

A message appears in the Case Info tab confirming that you copied the document into the new case:

Processing

**Copied 1 documents without redactions.**

The responsive records now appear in the Contents List of the new case:

Tasks		Discussions		Case Actions		
Document Type	Seq.	Pages	Status	Resp Unit	A-Number	Date
 Responsive Records	2	13	Scanned	HOJ		8/20/2010 3:23:23 PM
 Request Letter	1	1	Scanned			8/20/2010 4:04:41 PM

## 7 CONSENT, VERIFICATION OF IDENTITY, AND DESCRIPTION OF RECORDS

Consent, for the purposes of FOIA/PA is written agreement, approval or permission for access to information in the record by the *competent* individual to whom the record pertains. The case



creator must review the request and supporting documents to determine if proper consent is present.

5 U.S.C. § 552a(b) No agency shall disclose any record ... except pursuant to a **written** request by, or with the prior **written** consent of, the individual to whom the record pertains.

6 CFR § 5.21(f): If you are making a request for records concerning *(a living) individual (other than yourself)*... You must also provide a statement from the individual certifying the individual's agreement that records concerning the individual may be released to you.

This includes requests for any consolidated petitions the requester or petitioner submitted or provided on behalf of the beneficiary (subject of record, SOR). We must always have beneficiary or subject of records consent if the petition has been consolidated into the beneficiary's A-file. *If we need the subject's A-file, we need consent from the subject of record.* If the petition has not been consolidated into the beneficiary's A-file, we may staff for it with consent of either the petitioner or the beneficiary.

A person does not need to sign consent to request his or her own file.

Consent could be:

- A. Block 3 on Form G-639, or
- B. A properly executed Form G-28, or
- C. 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.

Request the proof of parentage by marking “other” on the requester documents page and insert the following

- 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. Minors may also request their own files themselves. They do not have to have the consent of a parent or guardian to make this request. An attorney may also represent a minor.

You may need to modify the font on the requester documents section “other field” if needed, to fit onto the one page without interfering with the FIPS barcode on the bottom of the page. Do not modify the acknowledgement letter.

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 (VOI)**

If a requester is asking for a Privacy Act record, he or she must provide verification of identity. Do not confuse verification of identity with consent.

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.

By 8 CFR § 5.21, we must have five items – name, current address, place of birth, date of birth and signature. The signature must be notarized or signed under penalty of perjury. If the requester does not provide all five items, we will close the case as FC and insert the unperfected request language in the FC letter. We are required to conduct a thorough search as long as we have the required information.

*If we have consent and verification of identity*, but are unable to confirm a match because of multiple matches or a possible match, We may need more information to verify that we have the right file (i.e. parents names, alias names, alien number/receipt number). If we ask them for additional information, the information they send back to us does *not* have to be signed under penalty of perjury or notarized. Do not request any information that has been marked as unknown or otherwise indicated that they do not know it. The requester may indicate that he or she does not know date of birth or place of birth, and we will still conduct a search. If the

requester declines to provide us with date of birth or place of birth, we will close the case FC. Please refer to section 16, **FC (failure to comply) CASE CLOSINGS** of this guide.

In addition, on February 17th, 2011, we started accepting the required PII if provided via a birth certificate or other document if not written on the G-639. We will continue to accept these as long as they are notarized or signed under penalty of perjury or include a sworn Jurat/Affidavit.

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

- A. Full Name
- B. Current address
- C. Date of Birth
- D. Place of Birth
- E. Signature under penalty of perjury *or* signature notarized

When you review the case and determine the requester ***did not provide*** all five required pieces of information, you will close the case as a failure to comply (FC). Please refer to Section 16: FC Case closings. Some examples of failure to comply (FC) are listed below.

- A. A requester who provides full name, current address and alien number only has not provided sufficient verification of identity. The date and place of birth are missing. If any of the five required items is missing, close as a failure to comply (FC).
- B. G-639 Self Requests when the *subject has signed only the first page* and the second page does not contain the signature of the subject but has been notarized. The Verification of Identity section was not signed. Close as a failure to comply.
- C. If the requester is asking for records concerning another (*living*) individual, and if there is only one signature and it is not signed under penalty of perjury nor notarized, close as a failure to comply.
- D. If the subject of record failed to sign consent, and it is not a self-request, close as a failure to comply.

**Closing as Failure to Comply for Verification of Identity and/or Consent (FC):** Please refer to section 16 of this guide.

**More information about VOI:** 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*).

- A. The notarized signature of the subject or the signature under penalty of perjury does not need to be on the G-639.
- B. If a requester has inserted the **penalty of perjury statement on ANY document**, and the subject of record has signed the document, it fulfills the requirement to verify identity.

- C. The subject of record may have signed 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.
- D. 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.
- E. For verification of identity, we will accept a statement containing the subject's name, current address, date of birth, and place of birth that is signed under penalty of perjury or notarized, or a sworn Jurat/Affidavit.

A current photo ID is for information purposes only and is not verification of identity.

**“Verification of Identity”** for purposes of FOIA/PA ***does not include*** a Form G-28 with a **statement made under penalty of perjury by the requesting attorney or representative** “that the information I have provided on this form is true and correct.” The statement must come from the subject of the record. A statement made under penalty of perjury must conform to the requirements of 28 U.S.C. § 1746: **Unsworn declarations under penalty of perjury**, which reads as follows:

Wherever, under any law of the United States or under any rule, regulation, order, or requirement made pursuant to law, any matter is required or permitted to be supported, evidenced, established, or proved by the sworn declaration, verification, certificate, statement, oath, or affidavit, in 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)".

## 7.3 Reasonable Description of Records Being Sought:

### 7.3.1 Finding a Single Match

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 (*staff for*) the Alien file if there is only one match and there is no other indicator that it may not be the correct subject of record. If the requester provided the required information and we do not find a match or a possible match, and the subject of record would have entered the United States after 1975, we do not send out for additional information. You will prepare a No Record (NR) final action letter and close the case (see section 12.7.6, No Record).

If the requester believes we have records, he or she may provide additional information in order to open a new request and have us conduct a second search. Always create a Discussion addressed to the case processor (CP), justifying why you sent for additional information and whenever you staff for a possible match based on best available information.

### 7.3.2 Finding Multiple Matches

You may possibly find multiple matches, and you may be unable to confirm a match to the records due to limited information provided by the requester. Common subject names will result in multiple name and date of birth matches. You may find no matches at all. You may need all the beneficiary and petitioner PII to find a petition. In situations 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:

- A. Alien Number (if known)
- B. Application/Petition Receipt Number (if known).

Additionally, we may ask for items of information such as mother's and father's names. If you have found more than one possible match, and those matches have parents' names in CIS, we can narrow our search or confirm we have the right A-Number. The requester is not required by law or regulation to provide that information, but if the requester does not, we may be unable to locate a responsive record.

Please request the additional PII with your Acknowledgement Letter. Check all relevant boxes on the requester documentation worksheet, save the letter and check it in. Do not staff for a file if you are sending for requester documentation. 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 or Public Information Specialist 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 entered "unknown," or "none" for any element of the above PII, please do not request this information as part of the Acknowledgement Letter. For example, if the requester entered "unknown," "none" or "N/A" under *Alien Number*, it does not make sense to

ask for their A-Number. You may have to use discretion. If you found parents' names in CIS and it would help to match the person to the A-Number, you may ask them for parents' names, even though the requester may have entered "unknown," "none" or "N/A" under *Father's Name* and *Mother's Name*. If in doubt, please consult a supervisor.

### **7.3.3 Researching Considerations**

- 7.3.3.1 If you do not find a confirmed match, refer to Section 8, CASE CREATE SITUATIONS/OTHER PROBLEMS.
- 7.3.3.2 Verify the requester is not asking for specific documents we would normally refer (RF) or Transfer (TR) and is not a part of the "Bracero Program" (section 8.6), or entered into the United States prior to 1975 (section 12.7.5), Genealogy (section 6.3.4.6), etc.
- 7.3.3.3 After you make sure none of the above situations apply, you will then need to close the case as a No Record, (NR) final action code. Please refer to section 12.7.6, No Record.
- 7.3.3.4 Always create a Discussion to document your findings and the reason you decided to request the additional information. If you do not enter a Discussion, the Records Locator (RL) and Case Processor (CP) will not know what you found in your searches.

If you send an acknowledgment letter requesting additional information, please do not request a file. This is to avoid having to pay for the file scan if the requester does not respond with additional information. Also, if we have to ask for additional information, we probably do not have enough information to staff for a file.

### **7.3.4 Requesting Additional Information with the Acknowledgement Letter**

- 7.3.4.1 Go to the "Tasks" tab and select "Acknowledgement Letter"
- 7.3.4.2 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.
- 7.3.4.3 We then click on "Generate Letter." Our only option at that point is to click OK
- 7.3.4.4 As soon as you do, a File Save pop-up window will appear. Click "Save."
- 7.3.4.5 The acknowledgment letter will pop up
- 7.3.4.6 The acknowledgement letter has a third page. Do not change the wording on the acknowledgement page without specific supervisory instruction to do so unless it is a Track 1 Request. In Track 1 cases we modify the acknowledgement (ack) letter by adding the specific documents language. 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.

- 7.3.4.7 You save the document, exit Word, and check the document in, click “Open” and you will notice that there is now a slot for “Requester Documentation” and the Responsive Unit is “Requester.”
- 7.3.4.8 Create a Discussion explaining why you needed to request additional information
- 7.3.4.9 Pend when you are finished.
- 7.3.4.10 When the requester provides the additional information, A FOIA/PA Assistant or Public Information Specialist working in Records Locator queue will request the records.

Screen shots including step by step guidance follow.

Go to the “Tasks” tab and select “Acknowledgement Letter”

Contents		Discussions	Case Actions	History
Task		Status		
Search for Duplicate Cases		Not Started		
Create Additional Cases		Not Started		
Create File Request		Not Started		
Acknowledgement Letter		Not Started		
Final Action Letter		Not Started		
Specialty Letter		Not Started		
Status Letter		Not Started		
Blank Letter		Not Started		
Interest Letter		Not Started		
Expedited Denial Letter		Not Started		

Records Locator	Case Processor	Case Approver	Unit Chief	Up-front Approver	Pend	Reassign Office	Se
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After selecting “Acknowledgement Letter,” the Acknowledgment Letter Options screen will open. Options on this screen will allow you to ask for other documentation and will also allow you to add a Track 3 Denial or Lost File paragraph.

FIPS v7.0 Training build 06      Work Queries      Actions      Stan

Processing      Fee Information

**Acknowledgement Letter Options**      **Additional Documents Required**

Fee Estimate      ☒ Other Requester Documentation

Prepayment Required      ☐ Other Requester Documentation

☐ Advance Payment Returned

☐ Add Lost File Paragraph

☐ Add Track 3 Denial Paragraph

**Additional Options**

No options found.

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

Case360 Home

FIPS v7.0 Training build 06      Work Queries      Actions      Standalone Search

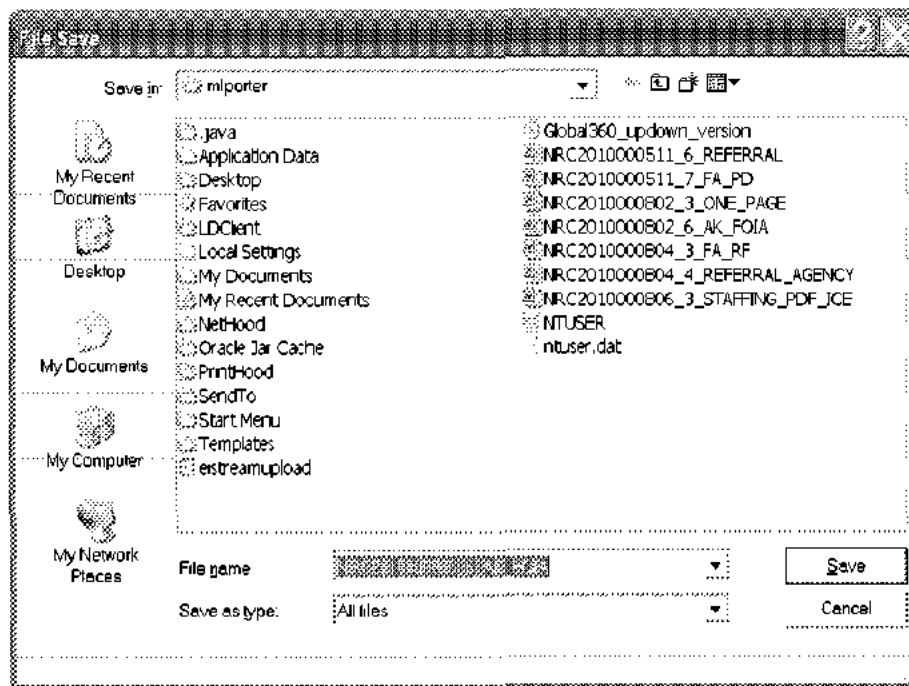
Processing      Fee Information

Successfully generated letter Acknowledgement Letter-FOIA.

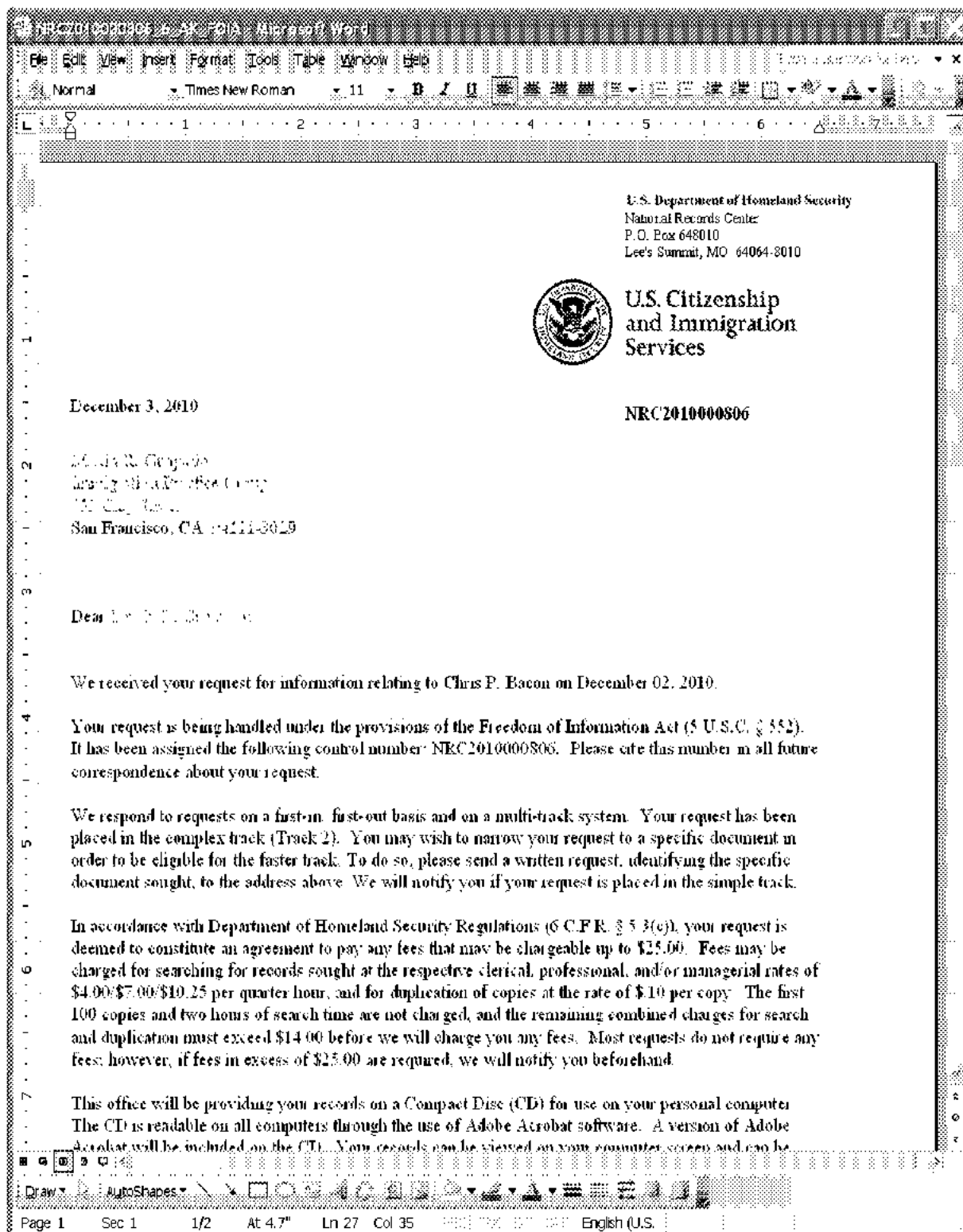
Click on OK to continue.

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





The acknowledgment letter will pop up.



Microsoft Word - [REDACTED].doc

File Edit View Insert Format Tools Table Window Help

Normal Times New Roman 11 100%

All requested information is checked below:

☐ Consent: It appears that you are requesting records about another individual. If that is the case, please submit either: (a) written authorization signed by that individual permitting disclosure of those records to you or (b) proof that that individual is deceased, e.g. a copy of a death certificate or an obituary. See 6 CFR §5.3(a).

☐ Verification of Identity: It appears that you are requesting records about another individual. If that is the case, along with the consent requested above, please submit a statement prepared by that individual, in which the individual verifies his/her identity by submitting his/her full name, current address, date of birth, and place of birth. This statement must be signed by that individual and the signature must either be notarized or submitted under 28 USC §1746, a law that permits statements to be made under penalty of perjury as a substitute for notarization. 6 CFR §§ 5.3(a) and 5.21(d).

☐ Verification of Identity: It appears that you are requesting records about yourself. If that is the case, please verify your identity by submitting a statement containing your full name, current address, date of birth, and place of birth. This statement must be signed and the signature must either be notarized or submitted by you under 28 USC §1746, a law that permits statements to be made under penalty of perjury as a substitute for notarization. 6 CFR §§ 5.3(a) and 5.21(d).

☒ Description of Records Sought: We have determined that your request does not reasonably describe the records that are being sought. Please provide the following additional information:

☐ Subject's Alien Number

☒ Subject's Application/Petition Receipt Number

☒ Name of Subject's Parents

☐ Other Names Used by Subject

☒ Other: Name of the person who filed the petition for you, when it was filed, other information that could help us locate the petition]

All FOIA/PA related requests, including address changes, must be submitted in writing and be signed by the requester. Please include the NEC number listed above on all correspondence with this office. Requests may be mailed to the FOIA/PA Officer at the PO Box listed at the top of the letterhead, or sent by fax to 815-350-5785. You may also submit FOIA/PA related requests to our e-mail address at [uscis.foia@dhs.gov](mailto:uscis.foia@dhs.gov).

Page 3 Sec 2 3/3 At 86" Ln 47 Col 52 English (U.S.)

The acknowledgement letter has a third page. Do not change the wording on the page without specific supervisory instruction to do so. In Track 1 cases we must modify the acknowledgement (ack) letter by adding the specific documents language. 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.

**Check Box Form Field Options**

Check box size

☒ Auto ☐ Exactly: 10 pt

Default value

☐ Not checked ☒ Checked **1st**

Field settings

☒ Check box enabled

☐ Calculate on exit

Add Help Text... OK Cancel

**2nd**

The resulting page will look something like this:

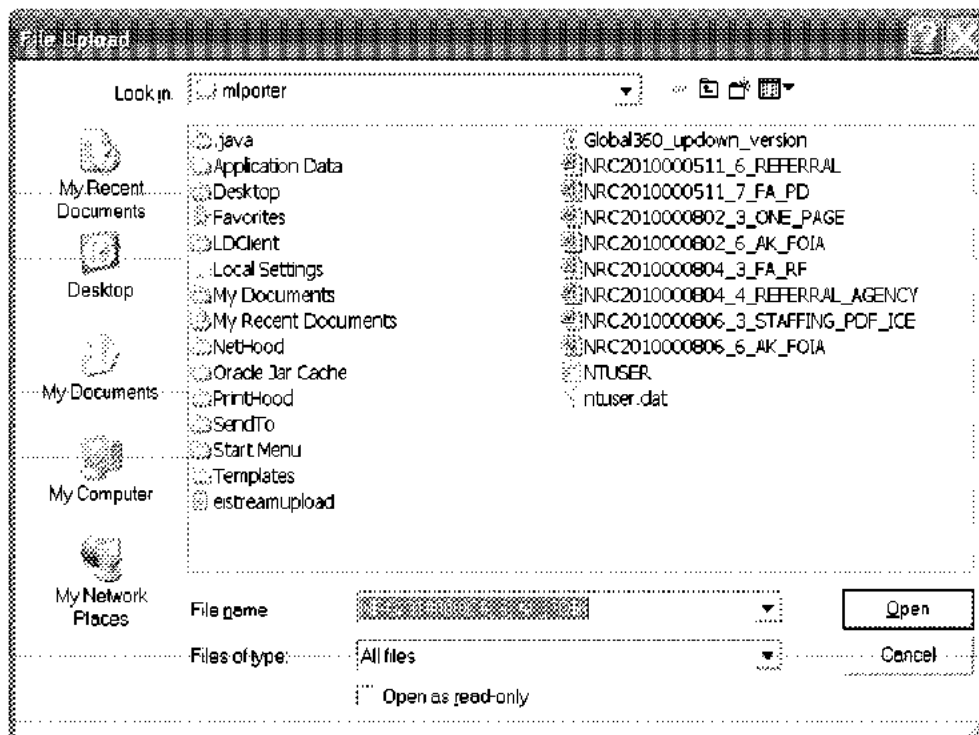
In a situation like this, you would not have created a staffing letter. (Note: If this were a live case, you would not see a pending Responsive Records slot, as in this example.) You save the document, exit Word, and check the document in.

Tasks		Discussions		Case Actions		History	
Document Type	Seq.	Pages	Status	Resp Unit	A Number	Date	
Acknowledgement Letter-FOIA	6		Editing			12/3/2010 10:14:14 AM	
Check In Document	5		Pending	DRO - SEA Seattle	012345678	12/3/2010 8:28:17 AM	
Staffing Response	4		Pending	DRO - SEA Seattle	012345678	12/3/2010 8:28:17 AM	
Staffing Letter - ICE PDF	3		Editing	DRO - SEA Seattle		12/3/2010 8:28:17 AM	
Request Supporting Documents	2	4	Scanned			11/5/2010 8:32:47 AM	
Request Letter	1	2	Scanned			11/5/2010 8:32:45 AM	

Records Locator	Case Processor	Case Approver	Unit Chief	Up-front Approver	Pend	Reassign Office	Se
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Click “Open”.



You will notice that there is now a slot for “Requester Documentation” and the Responsive Unit is “Requester.” After this, create a Discussion and send the case to “Pend.”

Document Type	Seq.	Pages	Status	Resp Unit	A-Number	Date
<input type="checkbox"/> Requester Documentation	8		Pending	Requester		12/3/2010 10:40:40 AM
<input type="checkbox"/> Acknowledgement Letter-FOIA	7		Editing			12/3/2010 10:40:40 AM
<input type="checkbox"/> Acknowledgement Letter-FOIA	6		Inactive			12/3/2010 10:14:14 AM
<input type="checkbox"/> Responsive Records	5		Pending	DRO - SEA Seattle	012345678	12/3/2010 8:28:17 AM
<input type="checkbox"/> Staffing Response	4		Pending	DRO - SEA Seattle	012345678	12/3/2010 8:28:17 AM
<input type="checkbox"/> Staffing Letter - ICE PDF	3		Editing	DRO - SEA Seattle		12/3/2010 8:28:17 AM
<input type="checkbox"/> Request Supporting Documents	2	4	Scanned			11/5/2010 8:32:47 AM
<input type="checkbox"/> Request Letter	1	2	Scanned			11/5/2010 8:32:45 AM

Click

Records Locator	Case Processor	Case Approver	Unit Chief	Up-front Approver	Pend	Reassign Office	Send
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When the requester provides the additional information, a FOIA/PA Assistant or Public Information Specialist working in Records Locator queue will request the records.

## 7.4 Third party requests

Sometimes consent is not necessary. For instance, a requester asking for a *“list of all employers in Utah who use E-Verify”* does not have to provide consent. Commercial, contract, and media requests are usually third party requests.

On the other hand, USCIS will not release personally identifying information (PII) or personally sensitive information to a third party without consent. If the requester is asking for records concerning an individual and does not provide consent, nor does it appear likely that the requester is going to get consent, close the case as a failure to comply (FC). 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.

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, create a Discussion for the Up-front Approver and close the case as a Failure to Comply. Reference Section 16 FC (failure to Comply) Case Closings.

## 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.

If the requester says the subject is deceased and did not provide proof of death, but the subject is not over 100, we must send for requester documentation. If that is the situation, do not staff for the file.

## **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 co-workers and then supervisors. If the problem cannot be resolved, the creator should create a Discussion and send the case to the Unit Chief and send an e-mail to the supervisor for clarification. If it is not a situation that needs clarification but some type of FIPS error, send an e-mail to the FIPS Problem mailbox (NRC, FIPSPROBLEM), or in other situations to the MSB mailbox (NRC, NRCFOIAMSMB).

### **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 close the case ER, insert a Discussion and then send the case to Up-front Approver. Send an e-mail to NRC, FOIAOA with the case information. The supervisor will review and close the case. A person may be using the consulate's address, and that is not the same thing as a request from a foreign consulate. If the subject mailed the request and wrote the consulate's address on the G-639, then you should use the subject's address from the envelope and set it up as a self-request. If you are unsure about which address to use, please consult your supervisor.

### **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, or if they are asking for an I-20 which is a student visa, then you should refer (RF) 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." See section 9, Referral and Redirection.

Otherwise, redirect (RD) 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.” See section 9, Referral and Redirection.

### **8.3 Routine use requests**

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, you will close this case as “Created in Error”(ER). The only exception to this rule is if there is a cover sheet with instructions to create as FOIA.

If you are not sure if the case is a routine use case, do not close the case as ER. Seek supervisory guidance. If you are not able to seek guidance, create a Discussion and send the case to the Unit Chief (UC) and e-mail the supervisor.

#### **Closing as ER- Routine Use cases**

- A. Select the “Final Action Letter” from the Tasks tab, select “ER” from the final action codes list. FIPS will not generate a letter.
- B. Print the request and place a cover sheet on the request with the comment “Supervisor: Routine Use. Not a FOIA-Request. Do not scan into FIPS.”
- C. Create a Discussion with your findings for the Up-front Approver, “UFA-This case is a Routine Use case” and explain why.
- D. Move the case to the Up Front Approver queue.
- E. Give the printed copy to your supervisor and follow up by sending an e-mail with the NRC control number and requester name to your supervisor

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Updated on 6/29/2012



## 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.

### Closing as ER- Bond Obligor Cases

- A. Select the "Final Action Letter" from the Tasks tab, select "ER" from the final action codes list. FIPS will not generate a letter.
- B. Create a Discussion with your findings for the Up Front Approver, "UFA-This case is a Bond Obligor Case" and explain why.
- C. Move the case to the Up Front Approver queue.
- D. Please send an e-mail to your supervisor and NRC, FOIAOA and provide the REQ number or control number, and also include the requester's name.

The OA room will mail the request to ICE.

## 8.5 REQUESTS: A-Number Only

If a requester/subject is asking for his or her alien number only, follow these steps:

- A. Search CIS with the information provided on the request to locate an A-Number.
- B. If you locate an A-Number, compare the information provided on the request with the information in CIS to make a positive ID.
- C. You must have VOI and possibly consent in order to proceed. If consent or any required PII is missing, close as Failure to Comply (FC). Reference section 16, FC Case Closings.
- D. If you do have adequate VOI:
- E. Print a copy of CIS 9101 screen.
- F. Create a File Request to RAFACS and leave the "Customize Letter" button selected.
- G. Create a Discussion "CP, A-file number only requested".

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Updated on 6/29/2012

- H. Attach a "Scan As" cover sheet to the screen print, mark the box "Responsive Records" and take to a person designated to scan RAFACS-only responsive records.
- I. You will not staff for the Alien file. When the alien is requesting A-number only, the CP will be using the 9101 screen print as responsive records.

Make the case a Track 1 case and pend the case for responsive records. When the responsive records (9101, CIS Screen Print) 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.

- A. Begin with a thorough search of CIS, CLAIMS and PCQS.
- B. If you find a record, please staff for the file. If you do not find a record, you will be requesting a manual search.
- C. Create a Records Indexing Staffing and enter all information provided by the requester.
- D. Enter a Discussion note
- E. Pend for the manual search.

From the Records Locator Queue, if the manual search staffing response produces no record, generate a "NR" letter and send the case to Up-front Approver. The supervisor will review and close the case. Reference Section 12.7.6 No Record (NR) for Final Action NR.

For the Records Indexing letter which is used to paste onto the FIPS staffing Sheet,  
O:\Foia\FOIA LIBRARY\Case Create References\Case Create References.

Or Enterprise Collaboration, ECN Network /Case Create Library  
[http://ecn.uscis.dhs.gov/team/esd/Division/NRC/Branches/FOIA\\_OPS/default.aspx](http://ecn.uscis.dhs.gov/team/esd/Division/NRC/Branches/FOIA_OPS/default.aspx)  
Select the "RECORDS\_INDEXER" letter and copy paste the Records Indexing staffing sheet onto the end of the FIPS request letter. Press Ctrl+Enter at the bottom of the FIPS letter to insert a page break and paste in the letter.

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. Create a Discussion asking the CP to provide this NARA contact information, if no other records are found in the Records Indexing search.

NATIONAL ARCHIVES AND RECORDS  
ADMINISTRATION  
CIVIL REFERENCE  
7<sup>th</sup> AND PENNSYLVANIA AVENUE NW  
WASHINGTON DC 20408

## **8.7 REQUESTS: Referrals and Consultations Received From Other Agencies**

As other agencies process FOIA/PA requests, they will sometimes find our agency's documents within their files. These documents will be referred to us for processing. The responsive records could be USCIS documents being referred to us for review or joint documents i.e., co-authored by the referring agency and other agencies.

- A. A transmittal memorandum advising us to respond directly to the referring agency is a consultation.
- B. A transmittal memorandum advising us to reply directly to the requester is a referral.

Create a Discussion and send the case to processor. Send an e-mail to NRC, NRCFOIAMSB advising them that you have created the case and that it is a referral/consultation from another agency. Include the subject's 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.

- A. If a request for CIS Personnel Information mistakenly is scanned in the NRC queue, create the case. 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.
- B. Create a Discussion on your findings.
- C. Send an e-mail to NRC, FOIASIG with the case information and NRC control number.
- D. Do not send the acknowledgement letter or staff for the file.

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

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Updated on 6/29/2012

You may open a FOIA request received from an individual for a copy of his or her Official Personnel File (OPF). Inform such requesters in the final action letter that they may access their OPFs on-line at:

[http://cbpnet.cbp.dhs.gov/xp/cbpnet/hrm/for\\_employees/info\\_about\\_you/eop\\_folder/eopf\\_logon.xml](http://cbpnet.cbp.dhs.gov/xp/cbpnet/hrm/for_employees/info_about_you/eop_folder/eopf_logon.xml)

You will be closing the case as NA (FOIA or PA not applicable). Please refer to section 14 of this guide.

## **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. Create a Discussion identifying the case as a Red Cross request.

## **8.11 REQUESTS: Federal, state, local agencies**

Governmental agencies, including county public assistance agencies, are seeking the alien to enforce court ordered support or enforcement of some other lawful responsibility. These types of requests fall under the **routine use** category. Reference section 8.3 REQUESTS: Routine use.

## **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. Create the case as normal and insert the language in the acknowledgement letter. For return of original documents, the requester must submit a G-884 to the SAVE Unit of their local district office. Insert the following language 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.

- A. If a Form G-884 has accidentally been scanned into FIPS as a FOIA request, close the case as "ER" (created in error). To close a case ER, please refer to section 15 of this guide.
- B. When you close a case ER, FIPS does not create a Final Action letter. 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.
- C. 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.
- D. Include a detailed Discussion note on your findings.
- E. Send the case to Up-front Approver. The supervisor will review and close the case.

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. Print a copy of the request. Attach a coversheet to the copy of the request and write "OA- Do Not Scan, G-884 Request for Return of Original Documents." Deliver the copy to the OA Room. They will forward it to the Case Resolution team if they have not done so already.

### **8.13 REQUESTS: Privacy Act Amendment (A request to correct/amend records etc.)**

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:

- A. Begin as usual, filling in requester and subject information and searching for duplicates.
- B. Select Privacy Act Amendment - not FOIA Request.
- C. Assign it to Track 2. Assign it to Category: Special Interest Group.
- D. Create the case.
- E. Prepare an email for NRC, FOIASIG and insert the case number in the body of the e-mail.
- F. Create a Discussion and send the case to the Unit Chief (UC). You are now ready to move on to the next case.
- G. You do not reassign the office. A Special Interest Group person will change the Office to "COW" by clicking "SAVE" and then clicking "Reassign Office."

### **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:

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- A. Insert a Discussion titled “Untranslated Documents” and the reference page numbers
- B. Copy the text of the Discussion and paste it into an e-mail to NRC, NRCFOIAMSMB
- C. Send the case to Unit Chief
- D. 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 NRC, NRCFOIAMSMB 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 is not in the request, please contact a member of the MSB for more guidance. Reference section 28 CONGRESSIONAL REQUESTS AND APPEALS.

## **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 used to print the request.

- A. Select “Print.” FIPS will then print out all the pages of the request.
- B. Retrieve those pages and take them to the designated appeals point of contact (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.”

20574 2502

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

**NOTE:** Use of this form is optional. Any written format for a Freedom of Information  
**START HERE - Type or print in black ink. Read instructions before completing.**

1. Type of Request (Check appropriate box)

Before you press Delete, you should have the printed request *in your hands* and not still on the printer. Once you press Delete, there is no way to get the information back.

and to Research  ☐ Open next

## **8.17 SITUATION: New requests received on the I-694**

If you see a case in the creator role or the processor role that has the I-694, Notice of Appeal of Decision Under Sections 245A or 210 of the Immigration and Nationality Act (INA), scanned as the FOIA request letter, this is 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 I-694 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. There should already be responsive records in the case.

- A. Create the case.
- B. When you prepare the acknowledgment letter, request VOI and/or consent if needed. Most often, you will have to request adequate VOI. *Please take note:* We do not close an I-694 request FC for not providing all the required elements of VOI with the original request.
- C. Create a Discussion for the CP.
- D. If VOI or consent is not necessary and there are responsive records already scanned in, 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.

- A. Create the case.
- B. Create a Discussion with findings for the Up-front Approver to close as ER
- C. Send a message to NRC, FOIA PROGRAM; Cameron, Lincoln L, providing the REQ number and information indicating the request was a subpoena or court order. The Chief Counsel’s Office is currently addressing these requests. Subpoenas or court orders are a high priority. Please notify NRC, FOIA PROGRAM as soon as possible.
- D. 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).

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The NRC will certify certain documents from A-files as being true and correct copies. The physical file must be located at either the NRC or the FRC. Genealogy requests that were received, staffed and processed by NRC can also be certified by the NRC. The NRC will not certify copies of documents that belong to other agencies. Information will be provided to the requester on how to obtain certified copies of these documents. The NRC can also provide a certified letter giving information such as the date of entry and the status of the individual.

First, evaluate if the request qualifies under the Genealogy Program. Refer to the section entitled Case Specifications, Category 4 (Other).

NRC will *not* certify naturalization certificates for *living persons*. If the individual has his or her original naturalization certificate and want or need a certified copy of it, he or she must make an INFOPASS appointment. An individual must submit an N-565, Application for Replacement Naturalization/Citizenship Document if he or she has lost or misplaced the original.

Records Services Branch, USCIS does all certificates of non-existence; these requests must be submitted in writing to the address shown below:

U.S. Citizenship and Immigration Services  
ATTN: Records Service Branch  
1200 First Street, NE, 2<sup>nd</sup> Floor  
Washington, DC 20529-2204

## **8.20 SITUATION: Certification of record for dual Italian citizenship**

If we receive a request asking for a certified copy of a relative's naturalization certificate for the purpose of applying for dual Italian citizenship.

- A. Evaluate if the request qualifies under the Genealogy Program. Refer to section 6.3.4.6.
- B. If the requester's relative does fall under the description of genealogy records as described in section 6.3.4.6, he or she must submit the request to [Genealogy.USCIS@dhs.gov](mailto:Genealogy.USCIS@dhs.gov). You may direct them to [USCIS.gov](http://USCIS.gov) for more information. The link for Genealogy requests is in the left column, listed under "Services."
- C. If the requester's relative does not fall under the description of genealogy records described in section 6.3.4.6, 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 routinely transfers 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, a requester writes with the following request:

"Please send the records of Giuseppe Granchio, born March 22, 1899 in Italy. Mr. Granchio naturalized in 1957, changed his name to Joe Granchio, and died in 1969. Enclosed is proof of his death and alien number."

NOTE: You may find the complete list of criteria in section 6.3.4.6 of this guide.

Mr. Granchio meets one of the criteria for genealogy because he was born long ago; however, since he was naturalized in 1957, he does not meet the criterion of section 6.3.4.6 E, because he would have documents in his file dated after 1951.

If you are creating a case and the subject of the request is 100 years of age or older, **but** the person **DOES NOT fully meet the criteria for a genealogy case**, please pay special attention to NFTS.

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

If the subject meets the criteria listed in section 6.3.4.6, continue with the steps listed below:

- A. 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.
- B. Please select Final Action Letter and select NA: FOIA or PA not applicable. Please refer to section 14 of this guide.
- C. Replace the body of the Final Action Letter with the NARA Historical Record Letter located at  
O:\Foia\FOIA\_LIBRARY\Case\_Create\_References\Case\_Create\_References\NARA\_Historical Record Letter
- D. Create a Discussion with findings for the Up-front Approver.

## **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.

- A. Create the case
- B. 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.
- C. Create a Discussion for the Up-front Approver
- D. After generating the final action letter, send the case to Up-front Approver.
- E. The supervisor will review and close the case.

## **8.23 SITUATION: Requests from Prospective Adoptive Parents**

In the recent past, Vietnam, Cambodia, Guatemala, Nepal, Ethiopia and other countries have had problems concerning adoptions. Birth Certificates have been forged and babies have been taken without consent of the biological parent. In Vietnam, "baby brokers" scour villages looking for unwed, impoverished mothers. They purchase the babies for about \$50 and sell them to commercial adoption services. In Guatemala and elsewhere, people steal babies and sell them to middlemen. Prospective adoptive parents from Spain, Italy and the United States are typically willing to pay as much as \$25,000 to adopt a child. (This information comes from kidsofkathmandu.org).

Normally if we cannot verify consent or prove parentage in a case, we do not send out for additional information, we close as FC consent and Verification of Identity, but this situation is an exception. You should create the case as you normally would. Please do not send out for additional information in pending (not finalized) adoption cases and do not close as FC for the following reasons:

- A. 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
- B. The child is usually too young to give consent
- C. Congress has substantial interest in this matter.

If you decide you need proof of parentage after a full search, please create a Discussion and send your case to the Unit Chief (UC) for supervisor review.

## **9. Referral and Redirections**

### **9.1 Referral (RF)**

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)

### **Referring the Case to another Agency or Unit (RF)**

If you find no A-file or receipt file for the subject, follow the following the referral guidelines and RF to CBP. The list below includes example s of when to Refer (RF) to CBP and or ICE.

Note: We may sometimes need to refer to CBP for Entry and Exit as an example, and include the ICE contact information on the Final action letter for Drug smuggling. It all depends on how the requester worded the specific documents needed. For example, you could not find any A-file or receipt file and the requester specified one of the following:

- Entry exit / Departure information
- Copy of an I-877

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Any reports or incidents at the airport.  
Copy of I-94 card  
Arrests at the border  
Voluntary departures  
Border stops

**Note:** If receiving a request for the entire records as well as a specific incident or entry, the request must state a specific incident, such as a time or place. If you find no records, you will then refer to ICE or CBP as needed.

#### RF to ICE

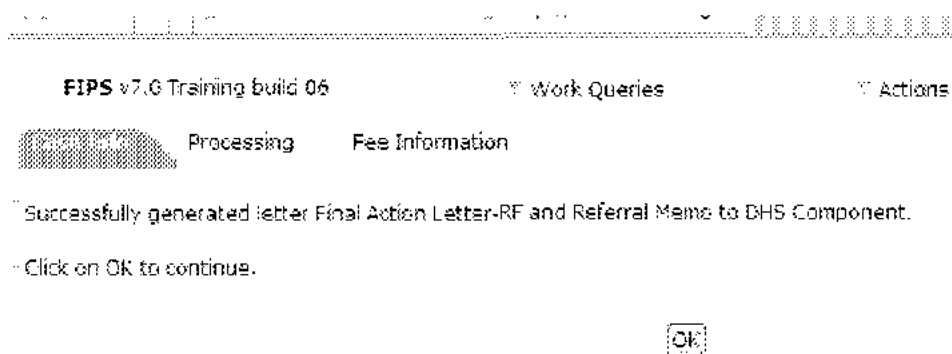
Criminal history  
Drug smuggling  
Human trafficking  
Deportation  
Information about SEVIS  
F, J, or M Visa requests

#### Referring the Case

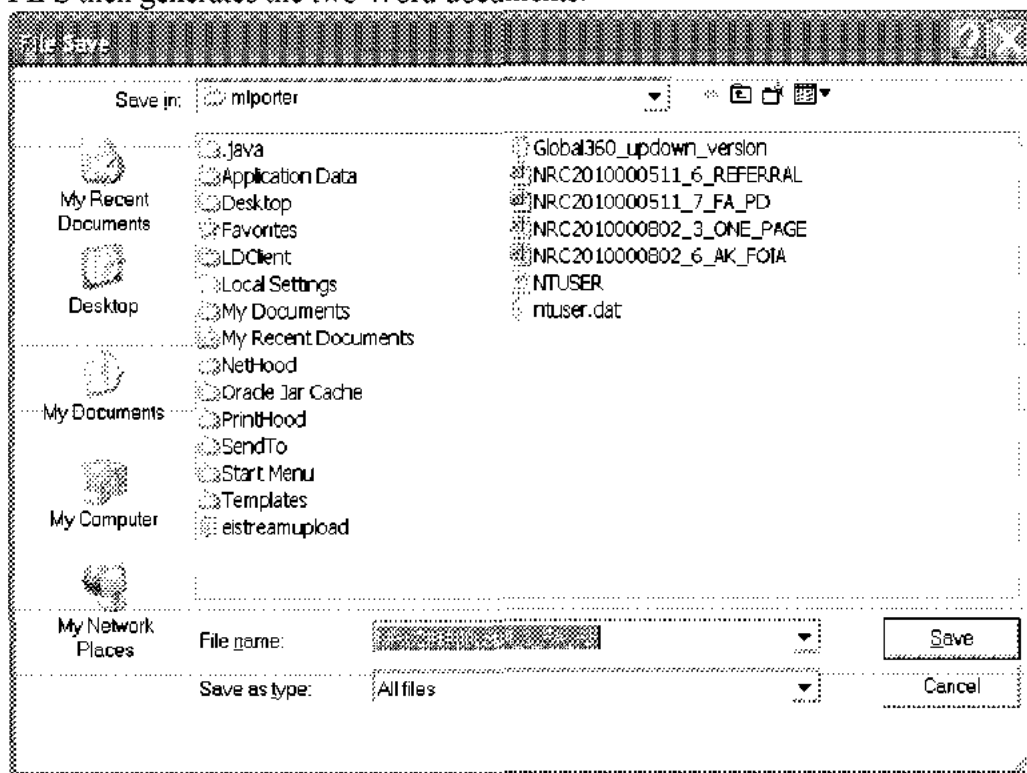
- A. Create the case as normal
- B. Under the “Tasks” tab, select Final Action Letter. Select “RF: Referred to a DHS Component” as the final action code. Under “Redirects/Referrals” select the component to which we are referring the request and click “Submit.”
- C. FIPS will automatically create two documents: a final action letter to the requester and a referral memorandum to the DHS component.
- D. FIPS then generates the two Word documents
- E. You will need to edit the letter to add needed information. After you exit from the Word documents, they will appear under the “Contents” tab.
- F. Click on the “Check in Document” icon and you will get a “Save” dialog box. Click “Open.”
- G. After you have done this for both documents, enter a case Discussion with your RF findings and send the case to Up-front Approver.

The following screen shots provide views of steps B-G in FIPS:





FIPS then generates the two Word documents.



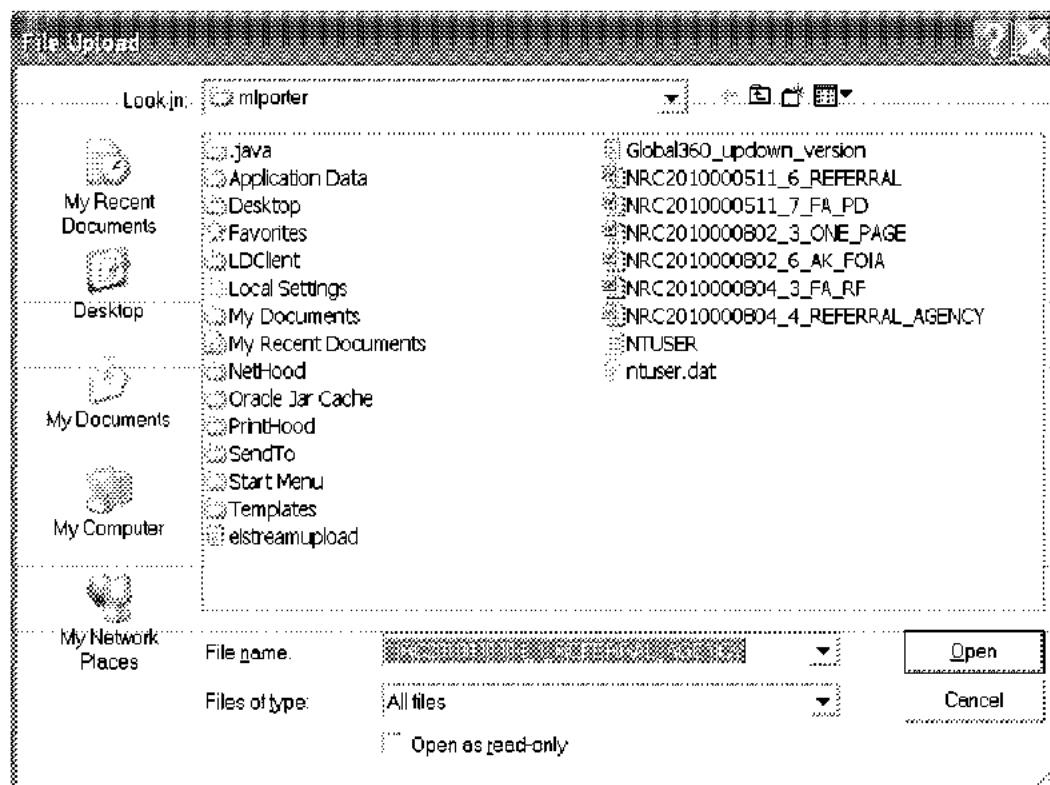
You will have to edit the letter to add needed information. After you exit from the Word documents, they will appear under the “Contents” tab.

Tasks Discussions Case Actions History							
Document Type	Seq.	Pages	Status	Resp Unit	A-Number	Date	
Referral Memo to DHS Component	4		Editing	PER		12/2/2010 11:57:35 AM	
Check In Document	3		Editing			12/2/2010 11:57:34 AM	
Request Supporting Documents	2	1	Scanned			11/5/2010 8:31:58 AM	
Request Letter	1	2	Scanned			11/5/2010 8:31:53 AM	

Records Locator	Case Processor	Case Approver	Unit Chief	Up-front Approver	Pend	Reassign Office	Send
-----------------	----------------	---------------	------------	-------------------	------	-----------------	------

<http://z02apcnrc227001/sonora/forms/CheckInFilestore.jsp?docId=5061>

Click on the “Check in Document” icon and you will get a “Save” dialog box. Click “Open.”



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

## 9.2 Redirection (RD)

If we receive a request for records that belong to an agency outside of DHS, we close it and write a “redirect letter.”



The following are examples of requests we would redirect to State Department if we find no matching records:

- A. B1/B2 Visa information
- B. Visitor Visa
- C. U – Visa
- D. US Citizens born abroad
- E. 6 Million A-Numbers that are not in CIS - Note: We only RD to DOS when they specifically ask for the above information. We do not RD to DOS just because you find a Visa control number in PCQS.

The following are reasons to RD to NVC if we do not find matching records:

- A. If they supply an NVC receipt number on the request such as a CDJ number
- B. If NFTS shows the receipt at the NVC
- C. If you call the hotline and it has, or ever has ever been at the NVC. Even if the hotline says the receipt was returned to us.
- D. If you staff for the receipt file and the staffing sheet says it is at the NVC

Note: If the request contains an NVC prefix, there is no need to call the NVC. You may find a listing of all NVC valid consulate prefix codes at Appendix C of this guide. That prefix such as CDJ means it is, or was there. 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 will have to edit the one letter to add needed information.

Requests may also be redirected to other agencies based on the information being requested. It is just necessary to select the proper agency from the Redirect drop down menu. Always make sure we have no matching records before redirecting to another agency.

### **Redirecting the Case to another Agency or Unit**

- A. Create the case
- B. Under the “Tasks” tab, select Final Action Letter. Select “RD: Referred to a DHS Component” as the final action code. Under “Redirects/Referrals” select the component to which we are redirecting the request and click “Submit.”
- C. FIPS will automatically create a document: a final action RD letter to the requester.
- D. FIPS then generates the Word document.
- E. You will need to edit the RD letter/document to add needed information. After you exit from the Word document, it will appear under the “Contents” tab.

- F. Click on the “Check in Document” icon and you will get a “Save” dialog box. Click “Open.”
- G. After you have done this for the document, enter a case Discussion with your RD findings and send the case to Up-front Approver.

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 Word document is the same as for referrals. You may have to edit the letter to add needed information.

### **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, PCQS 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 will need to modify the referral letter; any information you can provide as to what the requester is asking for will be helpful to CBP. For instructions on Referrals (RF) see Section 9.1.

#### **Entry exit / Departure information**

Copy of an I-877  
Any reports or incidents at the airport.  
Copy of I-94 card  
Arrests at the border  
Voluntary departures  
Border stops

Note: If the request is for all records as well as a specific incident or entry, the request must state a specific incident, such as a time or place. If you do not find any record, you will then refer to ICE or CBP as needed.

## **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. For instructions on Referrals (RF) see Section 9.1 and Section 9.3

Exception to this rule; if the requester provides an A-Number or you locate an A-Number through a search of the systems, please request the A-file.

## **9.5 Personnel/hiring practices/vacancy announcements**

If you receive a request concerning employee records, vacancy announcements, or any personnel matter generally, please create the case as you normally would by filling in the blanks and controlling the case. After that, change the Category to PER. Do not create a staffing and do not send any correspondence to the requester. Add a Discussion note that this appears to be a personnel-type FOIA request. Send an e-mail to NRC, FOIASIG. After that, send the case to Unit Chief.

## **9.6 US-VT referral to US Visit**

Refer requests relating to United States Visit. The United States Visit is a Border Security Program that records biographic, biometric and travel information for all foreign visitors to the United States. The system screens all crewmembers and passengers that travel to the United States by air, sea or land. United States Citizens are not in the system.

If the requester is asking for both a copy of the alien file and for entry and exit information, you should request the file. See section 9.3 above. For instructions on Referrals (RF) see Section 9.1.

## **10. DETERMINING TO STAFF BASED ON BEST INFORMATION AVAILABLE:**

If you determine that the requester has provided all the PII possible after performing the CIS 9102 or 9106 and 9103 screen searches shown above, and there is only one person in the CIS 9101 screen with the same information, please request the file. Create a Discussion explaining that you staffed based on best information available. The Discussion will alert the Case Processor.

## **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.

## **12. REQUESTING THE RESPONSIVE RECORDS**

If the requester provided adequate VOI, reasonable description of records, and consent if necessary, your 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.

The Staffing Sheet Guide, the RPC Reference for Staffing and the FOIA FCO List are available on the FOIA Operations ECN intranet page to help you request the file. The web address is as follows:

<http://ecn.uscis.dhs.gov/team/esd/Division/NRC/Branches/FOIA OPS/Case%20Create%20Library/Forms/AllItems.aspx>

If you are unsure about the proper way to create a file request, it is much better to ask a person in MSB for guidance than to create a staffing based on a best guess.

If the requester is seeking specific documents, please make a Discussion in FIPS detailing what those documents are. You must also mention those specific documents in your acknowledgment letter to the requester, using language as close as practical to the requester's words.

The Service Centers (except MSC/NBC) scan the responsive records into FIPS when they are the FCO for that file. Please see the Staffing Sheet 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 you are unable to find a record, please refer to section 7.3 of this guide.

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.

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Updated on 6/29/2012

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. If the staffing request is overdue you will need to review the due date and re-pend. See section 33, Re-pend Cases in Records Locator Queue.

## **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, place of birth, name, mailing address and signature under perjury or notarized) to complete the case create. If any of the required elements are missing, we will close the case FC under normal circumstances. Please refer to section 16, **FC (failure to comply) CASE CLOSINGS** of this guide. The section that follows is a systematic example of staffing by A-Number when the requester has provided one.

### 12.1.1.1 Open NFTS

**NFTS Login**

To comply with password security standards, NFTS passwords are now **case sensitive**. If your password was created or reset by PICS, please enter your password in **UPPERCASE** to login.

**NFTS Login**

User ID:

Password:

**Please enter your user id and password, then press the Login button.**

**WARNING**

You are about to access a Department of Homeland Security Computer system. This computer system and data therein are property of the U.S. Government and provided for official U.S. Government information and use. There is no expectation of privacy when you use this system.

Done Local intranet

### 12.1.1.2 Submit your location

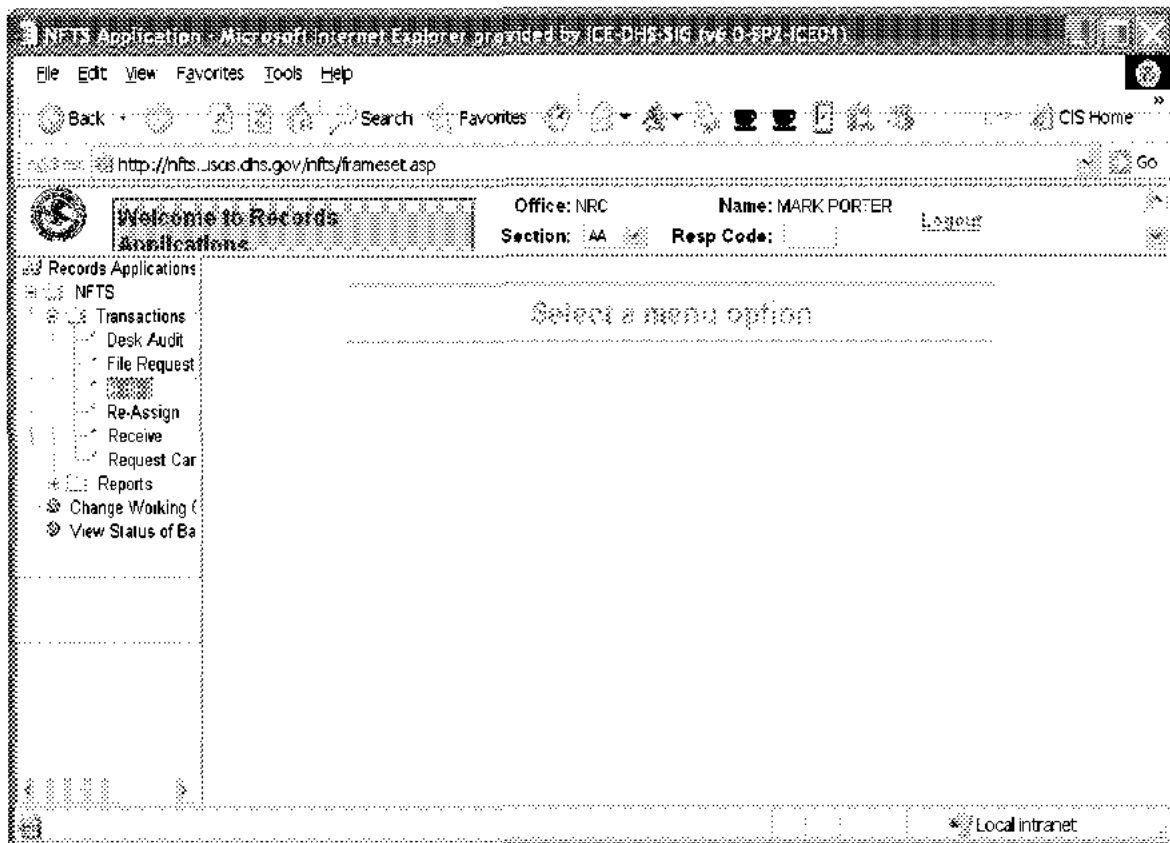
The screenshot shows a Microsoft Internet Explorer window titled "NFTS Login/Choose Location". The address bar displays the URL "http://nfts.uscis.dhs.gov/nfts/setuseroffice.asp". The page content includes a header "NFTS Login/Choose Location" and a central form titled "Select Office and Default Section". The form contains three fields: "Select Office:" with a dropdown menu showing "AA", "Default Section:" with a dropdown menu showing "AA", and "Default Resp. Party:" with a text input field. A "Submit" button is located at the bottom of the form. The status bar at the bottom of the browser window shows "Done" and "Local intranet".

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Updated on 6/29/2012

### 12.1.1.3 Select "Inquiry"





**12.1.1.4 Select “ALL Converted Offices”** and enter “A” or a “+” then enter the A-Number. Preferably, paste the copied number from CIS so you are sure you are asking for the correct file.

Microsoft Internet Explorer provided by AOL DSL 31G (64.0.1024.732)

File Edit View Favorites Tools Help

Back Forward Stop Reload Search Favorites

http://nrtf11001.cis.gov/nrtf11001/am4set.asp

**Inquiry**

Office: NRC Name: MARK POKIER

Section: 40 Resp Code:

Enter File Number: 1116 Search

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

Show information entered on or after:

Clear Exit

**General Inquiry For**

File #	Seq	Office	Status/Last Action	Location
--------	-----	--------	--------------------	----------

Done Local intranet

Always check this box.

**12.1.1.5 The search result** provides several pieces of information. First, we can verify from CIS that the File Control Office (FCO) is Seattle. The Responsible Party Code (RPC) is DP0064, and it tells us that DP means Deportation. Do you see the four boxes above the “Exit” button? Those are “Rider,” “Consolidation,” “Retire,” and “In Transit.” If any one of those is “grayed out,” it means there is no information there. If one is “blued in,” it means there is information and we should look at it.

The screenshot shows the NRTS Application web interface. The title bar indicates it is a Microsoft Internet Explorer window. The address bar shows the URL: http://nrt.uscis.dhs.gov/nrts/frameSet.asp. The page has a menu bar (File, Edit, View, Favorites, Tools, Help) and a toolbar with various icons. The main content area is titled "Inquiry" and contains a search form. The search form has fields for "Office: NRC", "Name: MARK PORTER", "Section: AA", and "Resp Code:". Below these fields are buttons for "Enter File Number:", "Search", "Search in ALL Converted Offices?", "Search For ONLY Specified File Prefix", and "Show information entered in or after:". There are also buttons for "Clear" and "Exit". Below the search form is a table titled "General Inquiry For A000000000". The table has columns for "File #", "Seq", "Office", "Status/Last Action", and "Location". The first row of data shows "File # 000", "Seq 000", "Office SEA", "Status: RECORD IN USE", "Last Action: 11/04/2009 01:29:53 PM", and "Location: Sect: DP - DEPORTATION, Resp: 0064, RA 2-ELF, TH-001A".

File #	Seq	Office	Status/Last Action	Location
000	000	SEA	Status: RECORD IN USE Last Action: 11/04/2009 01:29:53 PM	Sect: DP - DEPORTATION Resp: 0064, RA 2-ELF, TH-001A

#### **12.1.1.6 “Blued in” information**

- A. If “Retire” had been blued in, it would have been important. We would have used that inquiry screen to staff from the FRC or RDF if it was retired at RDF. If the Center in the Accession Data is other than Kansas City, staff to Non-FOIA for the FCO.
- B. If “In Transit” had been blued in, it would have been important. We would have staffed to the receiving FCO.
- C. 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.
- D. “Rider” could be important to the case processor, but it has nothing to do with how we request this file.
- E. If “Request” is blued in, it does not change how we staff for the file. In this situation, we have to create a staffing for where the file is.
- F. 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**

An RPC beginning with “DP” should be easy because NFTS usually shows right beside it that it means “Deportation.” Sometimes an RPC prefix can be important and it’s not obvious right away. A file could be available in records at NRC on shelf DP – and that is not an ICE staffing. Sometimes it is not clear. If that’s the situation, we need to look at the FCO List, the Staffing Sheet Guide and the RPC Reference Guide. Those are available at the following address:

[http://ecn.uscis.dhs.gov/team/esd/Division/NRC/Branches/FOIA\\_OPS/Case%20Create%20Library/Forms/AllItems.aspx](http://ecn.uscis.dhs.gov/team/esd/Division/NRC/Branches/FOIA_OPS/Case%20Create%20Library/Forms/AllItems.aspx)

**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. That is ordinarily true, and NFTS will usually say DP-Deportation, so you will have no doubt. Ordinarily, DP means Deportation, and the Staffing column says to staff to DRO. SAC, RAC, ASAC, DRO and OPLA are all ICE functions. That's important for staffing. When you staff for a file that is for one of the ICE functions, be sure to change the Bureau in your case to ICE and click Save.

C:\Foia\FOIA LIBRARY\Case Create References\Case Create Template Letters\Case Create References\FOIA FCO List 3 31 2010

RPC REFERENCE FOR STAFFING - Updated 3/31/10				
FCO	Codes	Description	Staffing	Notes or Exceptions
ALL		Adjudications	non - FOIA	
ALL		Airports	non - FOIA	are Border Patrol
ALL		Anti Fraud	non - FOIA	
ALL		Anti Smuggling	SAC/RAC/ASAC	
ALL		Chief Counsel	OPLA	
ALL	CAP	Criminal Alien Program	DRO	
ALL	DI	Deferred Inspection	non - FOIA	Border Patrol function
ALL	DP	Deportation	DRO	
ALL		Detained	DRO	If Co. Jails, Prisons and Processing Centers.
ALL	D & R	Detention and Removal	DRO	
ALL		Detention Facility Name	DRO	This Includes Co. Jails, Prisons and Processing Centers.
ALL		District Counsel	OPLA	
ALL	EX	Examination	non - FOIA	
ALL	FD	Fraud detection (FDMS)	non - FOIA	
ALL		Field Office	DRO	

#### 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.

[illegible]

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Updated on 6/29/2012

### 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 to find the information is by searching "DRO." I could have also gone to the table of contents and looked under Staffing Scenarios.

12.7.8 ICE files

There are currently five different types of staffings for files located within the ICE function. Paste the NETS 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	Action
Trial Attorney's Office	TA
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	Action
Detention & Removal	DENTENT, D&R, DET, BRO, DD&P
Criminal Alien Program	CAP
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	Je... Otoy Mesa, Krome
Fugitive Ops	FO

SAC file requests are for files that are located in the following office sections. Choose

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### 12.1.1.11 Generate the file request

Go to the “Tasks” tab and click on “Create File Request.”

FIPS v7.0 Training build 06    Work Queues    Actions    Standalone Search

Processing    Fee Information

A-Number: 112345678    ☐ EDMS

Staff Request To:    Generate Staffing Sheet

ASAC

- ASAC Blaine WA
- ASAC Chasico CA
- ASAC Charlotte NC
- ASAC Cleveland OH
- ASAC Douglas AZ
- ASAC Ft. Lauderdale FL
- ASAC Houston TX

☐ No Staffing Letter  
☒ Customize Letter  
☐ File Missing/Lost

Location Address:    Office Contact

Name:    Email:    CC Email:

Request File    Cancel

Contents    Discussions    Case Actions    History

Task	Status
Search For Duplicate Cases	Not Started
Create Additional Cases	Not Started
Create File Request	Not Started
Acknowledgement Letter	Not Started
Final Action Letter	Not Started
Specialty Letter	Not Started
Status Letter	Not Started
Blank Letter	Not Started
Interest Letter	Not Started
Expedited Denial Letter	Not Started

Records Locator    Case Processor    Case Approver    Unit Chief    Up-front Approver    Send    Reassign Office    Send to

Page 1 of 2    80.5%    viewing version: 1

Make sure the button marked “Customize Letter” is selected. The file is not missing or lost, so we won’t check that box. We know the file is at DRO Seattle, so we will scroll down “Staff Request To” until we find it. You may save time by knowing what to type. Typing “DRO” will take us to the DRO list. If you had typed “SEA,” it would have taken you to Non-FOIA Office, Seattle. If you had typed “SEAT,” it would have taken you to Seattle OPLA. The “Request File” button may stay “grayed out” after you click on the office you want (see the example above). If that ever happens, click on an office you do not want, then click back on the office you do want, and “Request File” will not be grayed out anymore (see the example below).

### 12.1.1.12 FIPS – Staffing Request dialog box

We will scroll down the DRO list until we get to SEA, select it and then click Request File:

Processing Fee Information

A-Number 012345678 ☐ EDMS

Staff Request To Generate Staffing Sheet

☐ No Staffing Letter  
☒ Customize Letter  
☐ File Missing/Lost

DRC - POM  
 DRC - POC  
 DRC - PRO  
 DRC - REN Reno  
 DRC - SAC Sacramento  
 DRC - SAJ San Juan PR  
 DRC - SEA Seattle  
 DRC - SFR San Francisco

Request To Staff

Location Address Office Contact

DRC - SEA Seattle  
 Operation Asst.  
 206-835-6061

Name Bontz Wong  
 Email  
 CC Email

Request File Cancel

Contents Discussions Case Actions History

Task	Status
Search For Duplicate Cases	Completed
Create Additional Cases	Not Started
Create File Request	Not Started
Acknowledgement Letter	Not Started
Final Action Letter	Not Started
Specialty Letter	Not Started
Status Letter	Not Started
Blank Letter	Not Started
Interest Letter	Not Started
Expedited Denial Letter	Not Started

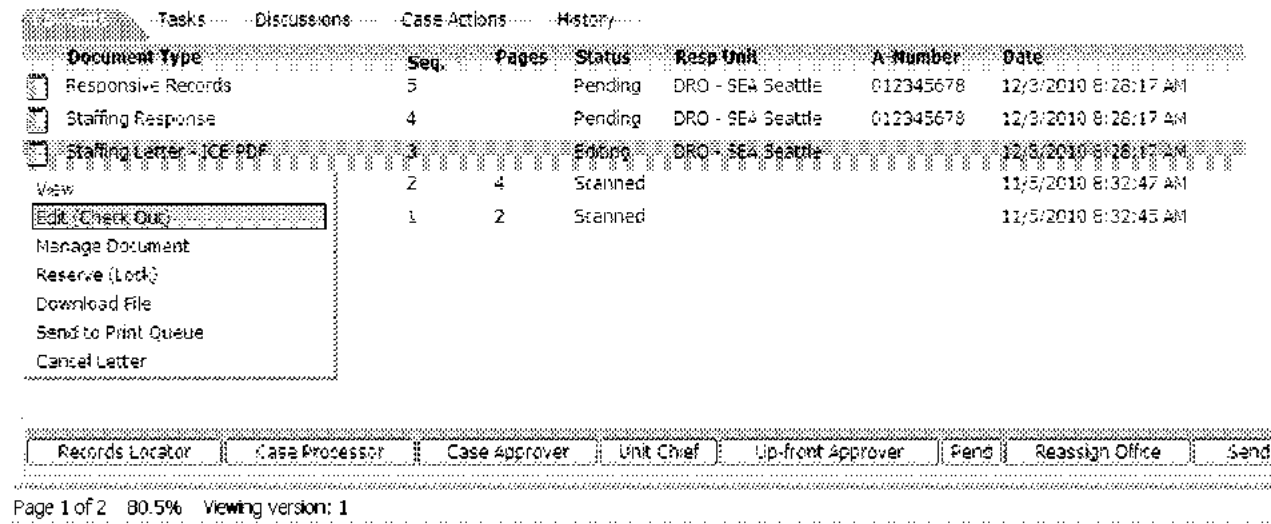
Records Locator Case Processor Case Approver Unit Chief Up-front Approver Pending Reassign Office Send

Page 1 of 2 80.5% Viewing version: 1



### 12.1.1.13 Create the customized staffing letter

After that, we get a message that says “Successfully generated letter Staffing Letter – ICE PDF.” The File Save screen will appear and you click the Save button and then move to the “Contents” tab. Click on the Staffing Letter and select “Edit (Check Out).”



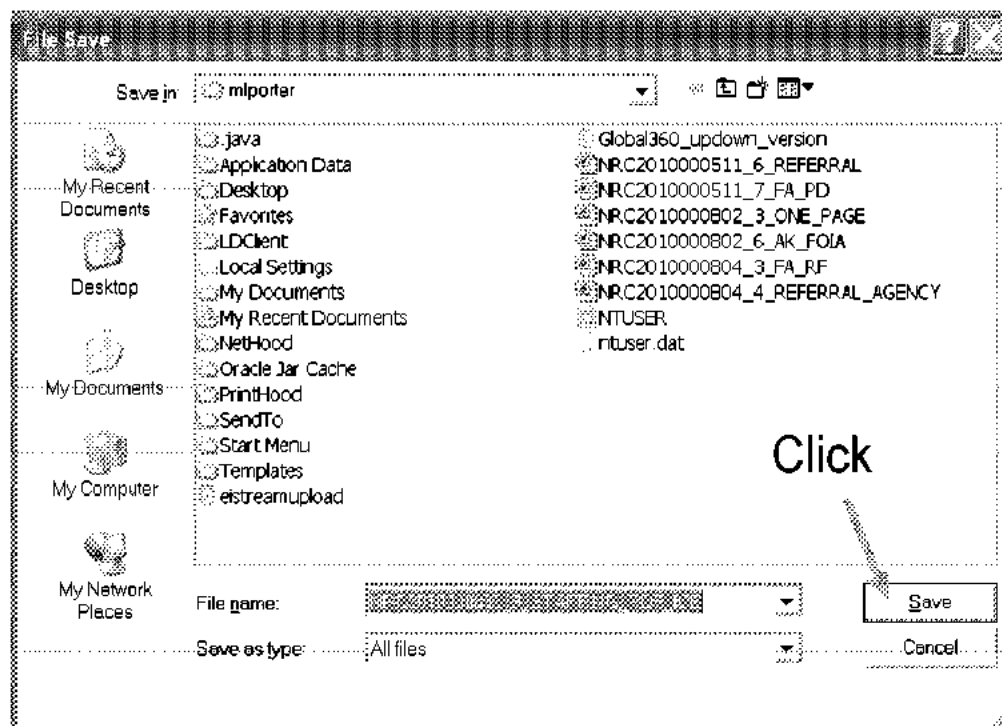
The screenshot shows a document management interface with a table of documents. The table has columns: Document Type, Seq., Pages, Status, Resp Unit, A Number, and Date. The documents listed are:

Document Type	Seq.	Pages	Status	Resp Unit	A Number	Date
Responsive Records	5		Pending	DRO - SEA Seattle	012345678	12/3/2010 8:28:17 AM
Staffing Response	4		Pending	DRO - SEA Seattle	012345678	12/3/2010 8:28:17 AM
Staffing Letter - ICE PDF	3		Pending	DRO - SEA Seattle		12/3/2010 8:28:17 AM
	2	4	Scanned			11/5/2010 8:32:47 AM
	1	2	Scanned			11/5/2010 8:32:45 AM

A context menu is open for the 'Staffing Letter - ICE PDF' document, showing options: View, Edit (Check Out), Manage Document, Reserve (Lock), Download File, Send to Print Queue, and Cancel Letter. The 'Edit (Check Out)' option is highlighted.

Below the table, there are buttons for: Records Locator, Case Processor, Case Approver, Unit Chief, Up-front Approver, Pend, Reassign Office, and Send.

Page 1 of 2 80.5% Viewing version: 1




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

File Edit View Insert Format Tools Table Window Help


Normal Times New Roman 11

U.S. Department of Homeland Security  
National Records Center  
P.O. Box 648010  
Lee's Summit, MO 64064-8010

 U.S. Citizenship and Immigration Services

December 3, 2010 NRC2010000806

MEMORANDUM FOR:  
DRO - SEA Seattle  
Deportation Asst.

(b)(6) 

ATTN: Bony Wong

FROM: NRC FOIA/PA

SUBJECT: Freedom of Information/Privacy Act Request NRC2010000806  
Alien # 012345678  
Subject Name: Chris P. Bacon

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

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

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

Page 1 Sec 1 1/2 At 4" Ln 23 Col 19

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.

Normal Times New Roman 11 100%

1 2 3 4 5 6

Attached is additional information to be used to reply to the requester

Attached is our justification for withholding any responsive material.

The following records system number/title was searched

System	Results	
	Positive	Negative

I certify that I am responsible for the search of records conducted in my office encompassed by this request and the attached records were the only such documents located in response to this request.

Signature \_\_\_\_\_ Date \_\_\_\_\_

Printed/Typed Name \_\_\_\_\_

Title \_\_\_\_\_

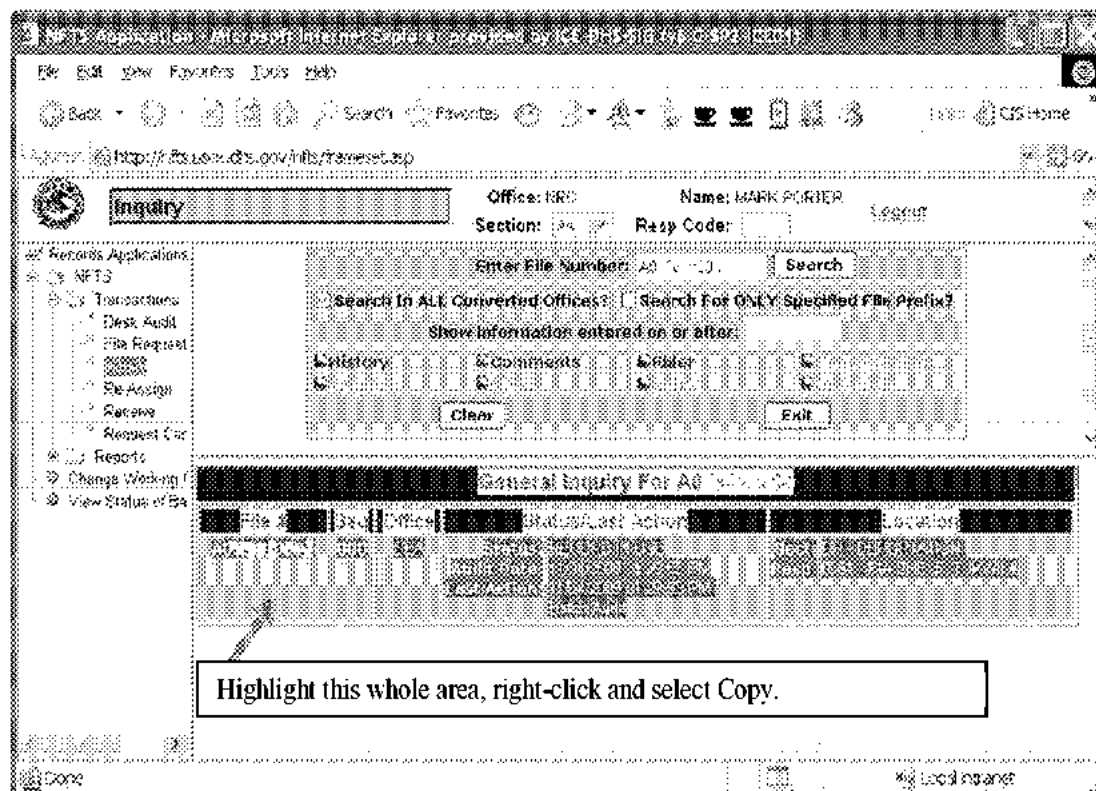
Telephone # \_\_\_\_\_

Attachment(s) \_\_\_\_\_

Page 2 Sec 1 2/2 At B'' Ln 42 Col 1 English (U.S.)

#### 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. Highlight the whole area, then right-click and select “Copy.” Now we will paste the information into the staffing letter.



[illegible]

Title \_\_\_\_\_

Telephone # \_\_\_\_\_

Attachment(s) \_\_\_\_\_

General Inquiry For A011111111			
File #	Ser	Office	Location
A011111111	000	SEA	
Status:	RECORDED & INDEXED		Sect: EF - DEPORTATION
Date:	JUN 24 1964		Rep: GISS - BIA SHELF TUNKOLA
Last Action:	JUL 10 1964 FBI REC'D SEA		

DATA-2023-004

FBI/DOJ - BIA SHELF TUNKOLA

Title \_\_\_\_\_

Telephone # \_\_\_\_\_

Attachments:

General Inquiry For A011111111					
File #	Seq	Office	Sect	Location	
A011111111	000	SEA	Sect	DP - DEPORTATION	
			Resp:	0155 - BIA SHELF TIRAMILA	

JAN 1982

**RECEIVED**  
FEB 1982

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

Title \_\_\_\_\_

Telephone # \_\_\_\_\_

Attachments(s)

Title	Date	Author	Location
A001111111	1/1/00	John	New York City

General Inquiry For A001111111

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.

Microsoft Word

Do you want to save changes you made to  
NRC2612031977\_2\_STAFFING\_FDF?

If you click "Don't Save", a recent copy of this file will be temporarily available.

Save Don't Save Cancel

Title \_\_\_\_\_

Telephone # \_\_\_\_\_

Attachments/s:

File #	Seq	Office	Location
A0	000	SEA	Sect: DEPORTATION Resp: 0155-BIA S-ELF TOKWILA

www.warpage.com

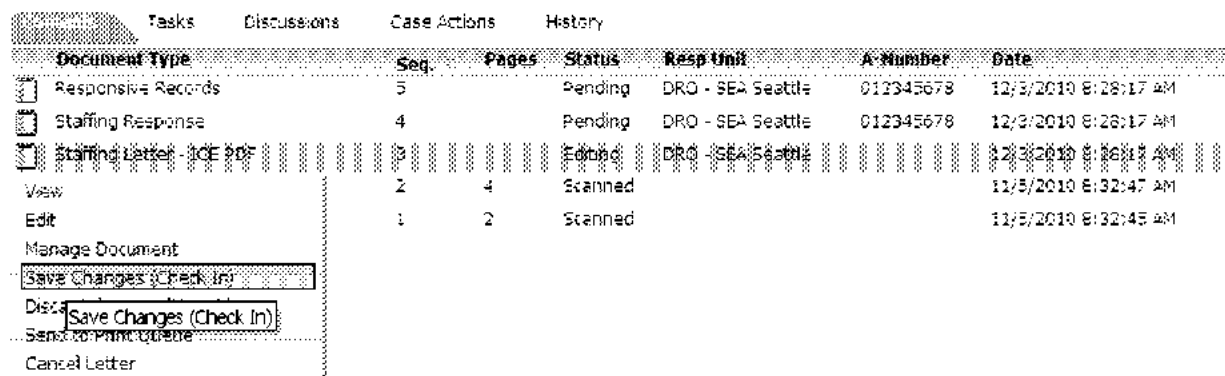
JUN 29 2012 10:15:00 AM

(b)(6)



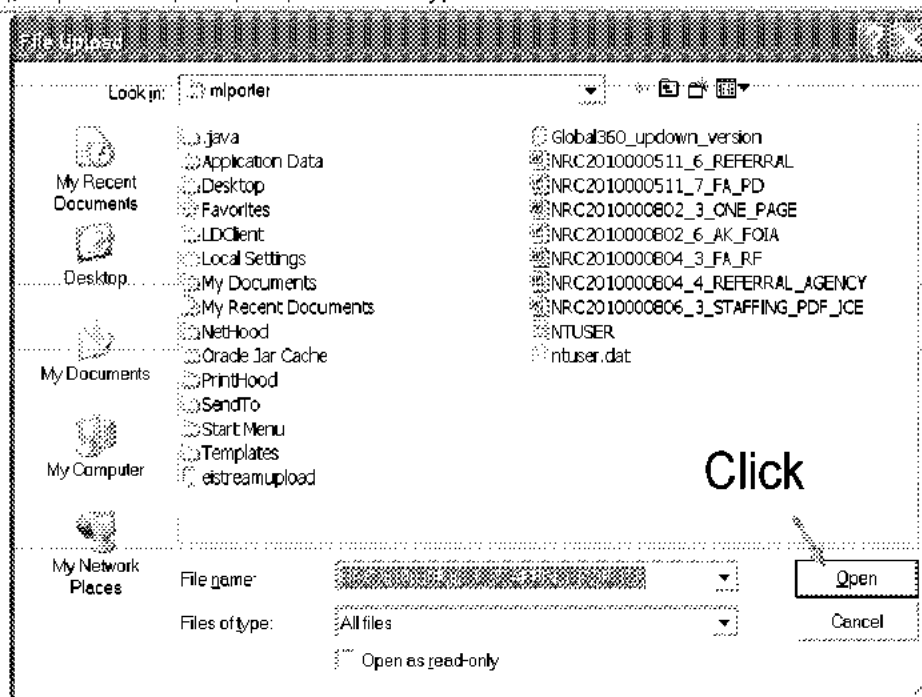
### 12.1.1.15 Save changes and check it back in

Click on Staffing Letter to Edit Before Saving Changes. You will normally see a box icon that looks like a 3.5 inch disk to the right of the notepad icon. A single click on that will check your document in. If you do not see the box icon, click the contents tab again to refresh, and it will appear. Otherwise, it would take longer. This screen shot shows the person clicked on the notepad and waited for the drop-down box. In this example, when the drop-down box appeared, the creator clicked on Save Changes (Check In). That is the slowest option.



Records Locator Case Processor Case Approver Unit Chief Up-front Approver Pend Reassign Office Send

<http://z02apcnrc22:7001/sonora/forms/CheckInFilestore.jsp?docId=5065>



After this, send the case to "Pend."

### 12.1.2 Two or more A-Numbers

Multiple unconsolidated A-Numbers - If the requester has provided more than one A-Number, you must research CIS for each A-Number to determine if they relate to the subject. If the subject has multiple A-Numbers, you will create one case and do multiple staffings. When you are required to request two or more unconsolidated A-files, the individual file request must include the words **“MULTIPLE STAFFINGS”** at the top of each sheet. Do not confuse this with the subject of the file having an “A” file and a “T” file. The alien numbers must refer to different unconsolidated A-files and relate to the subject of the request if you are to mark it **“MULTIPLE STAFFINGS.”**

**Important note:** If one of the files you are requesting is located at RAFACS/CIS, FRC or one of the Service Centers, request those alien numbers first. These locations produce the file faster than other offices. MSB will not know to pull the staffing letters for follow-up unless you noted “Multiple Staffing” on the sheet.

If the alien has multiple unconsolidated A-Numbers and the files are both located at the NRC, please add them to the spreadsheet that Records Operations maintains at S:\Record Ops\Files to Consolidate.xls. You are responsible for entering the alien numbers of the files that may possibly need consolidation. Records Operations will review the files and consolidate if necessary. If both files are not at NRC, do not add the information to the spreadsheet.

### 12.1.3 Consolidated A-Numbers

If the alien has a consolidated A-Number, then please enter only the lead (or surviving) A-Number on the worksheet in FIPS and request that file. Consolidated A-Numbers are reflected in CIS on the 9101 screen, under the section titled “Consolidated A-Nos”. The A-Number listed first is the primary A-Number; the other A-Numbers listed below the primary have been consolidated into the primary number.

**Note:** please do not add consolidated A-Numbers to the “files to consolidate” spreadsheet.

## **12.2 Border crossing card number**

If the alien number provided by the requester is an 80,000,000 through 86,899,999 series number, it is a Border Crossing Card number. Even though you can research this number in CIS, there is no physical A-file associated with these types of numbers. You will need to research CIS, PCQS 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; if you have access to PCQS, search PCQS and print any data found, otherwise, search and print CIS screens 9101, 9101-history (F8), 9222 and 9223. Open a RAFACS staffing slot. Make sure "Customize Letter" is selected. Prepare the screen prints for scanning into this slot as responsive records. Pend the case for responsive records. Please attach a "Scan As" sheet and mark it as "Responsive Records" with the screen prints to be scanned. The case will be sent to the processor after screen prints are scanned in. Choose the track according to what the requester asked for.

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 199,999,999)**

If the alien number provided by the requester is 100,000,000 through 199,999,999, 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 sections 12.7.12 and 12.7.13 for additional information. If the receipt has been destroyed, follow instructions in 12.7.14.

## **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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Updated on 6/29/2012

## 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 or PCQS and verify the information.

If the requester provides only a receipt number, and that receipt number is from a service center, 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 **NOT** 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). District offices issue work authorizations, but we cannot request those.

For receipt files at HBG, use the NON-FOIA HBG file request. **Do not request DIG T-files at HBG with RPC codes XX, XY, ZG, ZY, or ZZ.** Refer to the Staffing Sheet Guide for the most current information.

## 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. Also, retired files at HBG are digitized.

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.

The screenshot shows the 'General Inquiry For Afs' screen. At the top, there are search filters for 'Enter File Number' and 'Enter File'. Below these are checkboxes for 'Search for All Information Categories' and 'Search for All Information Categories'. A 'Show Information Categories' link is also present. The main display area shows a table with columns: 'File #', 'Seq', 'Offic', 'Status/Action', and 'Location'. The first row shows '1005', '1005', '10', 'Status: 1005-1005-1005-1005', and 'NRC'. Below the table, there is a 'Last Action' field showing '1005-1005-1005-1005'.

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.

Enter File Number: 0000 Search

Search in ALL Consolidated Offices? Search For ONLY Specified File Profile?

Show Information entered on or after:

Category: A: Categories: L: Action: Retention

10/11/2008 09:06:10/2008 01:13:20 AM

Clear

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Do not use the retired inquiry.

File #	Seq	Office	Status	Last Action	Location
A00000	000	000	Status: 0000000000	Last Action: 0000000000	Keep
100000	000	000	Status: 0000000000	Last Action: 0000000000	Keep
100000	000	000	Status: 0000000000	Last Action: 0000000000	Keep
100000	000	000	Status: 0000000000	Last Action: 0000000000	Keep
100000	000	000	Status: 0000000000	Last Action: 0000000000	Keep

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 (Flowchart at Appendix H)

**12.7.2.1** Verify that the A-file is lost less than nine months in NFTS and CIS-9504. A lost file in CIS will appear in the CIS-9504 screen as “N (Not Found)” in the section titled “File located IND.” Print the 9504 Screen print.

**12.7.2.2** Search and staff for any additional non-consolidated T-files or receipt files. If you find no related T-files or receipt files, input the lost A-Number into PCQS. Open a RAFACS staffing slot and have the screen prints added as responsive records along with a CIS-9101 screen print.

**12.7.2.3** Do a search for any possible related A-files such as mother, father, sister, brother. Input into CIS 9101, two A-Numbers above and below the lost A-file. Print the screen prints and attach as a CSD.

**12.7.2.4** Complete the lost file worksheet. Be sure to fill out as much information as you can. Attach the lost file worksheet, the CIS 9101 screen prints, and the 9504 screen print as a CSD.

**12.7.2.5** Click “In Circular Search” and save. Staff using the Lost File at FCO; File request (include the FCO that shows the file is lost). Under “Create File Request” mark the box “File Missing/Lost”. Select Lost file at FCO; Click request file. Modify the letter by attaching a copy of the 9504 screen.

**12.7.2.6** To determine a numerical value for days the file shows Not Found, refer to the Julian Calendar in Appendix H of this guide. From NFTS General Inquiry, use the date of “Last Action.” Calculate the number of days remaining until the case reaches lost for 9 months and manually repond the lost A-file. Use 270 days to equal nine months. If the number of lost days is more than 270, go to paragraph 12.7.3. For example: A-file shows Not Found in CIS for 95 days, 270 days – 95 days = 175 days remaining. You would set the new number of days to pend to 175.

**12.7.2.7** Generate the acknowledgment letter. Click add lost file paragraph. FIPS will insert the lost file paragraph right after the CD paragraph.

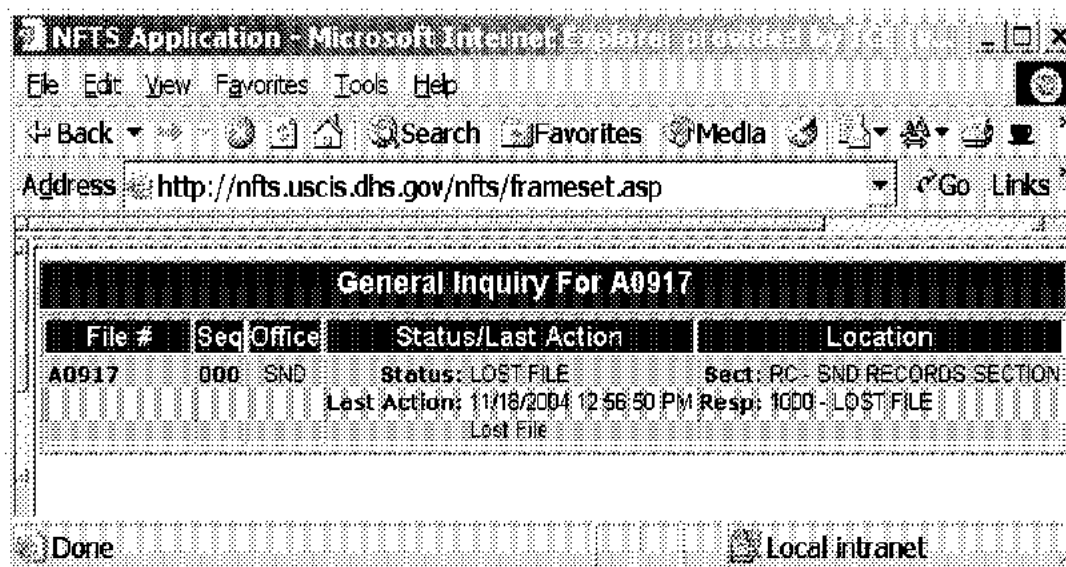
**12.7.2.8** Verify “In Circular Search” is still clicked. Include Discussion to note all systems searched and date the file was lost. You are done.

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

Additional Address Links for the Lost File Flow Charts

- Case Create Template Letters folder of the FOIA Library  
O:\Foia\FOIA LIBRARY\Case Create References\Case Create References
- Enterprise Collaboration, ECN Network /Case Create Library  
<http://ecn.uscis.dhs.gov/team/esd/Division/NRC/Branches/FOIA OPS/default.aspx>

When an A-file is lost, it will appear in NFTS as a “Lost File” in the Status/Last Action section of the General Inquiry screen.



A lost file in CIS will appear in the CIS-9504 screen as “N (Not Found)” in the section titled “FILE LOCATED IND.”

If the “Last Action” is more than nine months ago, move to the next section of this guide, Files lost or not found MORE THAN NINE MONTHS.

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”.



Processing

Fee Information

A-Number 091712345

☐ EDMS

Staff Request To

Generate Staffing Sheet

☒ FRAUD DETECTION AND NATIONAL SECURITY  
☐ FRC  
☐ HSG  
☐ HEL NON A-FILE MATERIAL  
☐ ICE  
☐ INP  
☒ **LOST FILE**  
☐ MFL

- ☐ No Staffing Letter  
☒ Customize Letter  
☐ File Missing/Lost

1. Check File Missing/Lost
2. Select Lost File at FCO:
3. Click Request File
4. Modify the letter

Location Address

Office Contact

Lost File at FCO  
 [List of lost files]

Name [ ]  
 Email [ ]  
 CC Email [ ]

Contents

Discussions

Case Actions

History

Task	Status
Search for Duplicate Cases	Completed
Create Additional Cases	Not Started
Create File Request	Not Started
Acknowledgement Letter	Not Started
Final Action Letter	Not Started
Specialty Letter	Not Started
Status Letter	Not Started
Blank Letter	Not Started
Interest Letter	Not Started
Expedited General Letter	Not Started

Records Locator

Case Processor

Case Approver

Unit Chief

On-Post Approver

Pend

Reassign Office

Es

Page 1 of 2 - 80% - viewing version: 1

Microsoft Word - STAFFED TO: LOST FILE AT FCO: SND

File Edit View Insert Format Tools Table Window Help

Normal Times New Roman 11 75%

1 2 3 4 5 6 7

**Staffed to: Lost File at FCO: SND**  
**CIRCULAR / SPECIAL / LOST FILE SEARCH REQUEST**

Office Code: NRC Control Number: NRC2010000808 Date: December 6, 2010

Alien Number: 091712345 Subject: Gloria Diaz Hernandez

General Inquiry For A9817				
File #	Sec Office	Status	Last Action	Location
A9817	0000	500	Status: LOST FILE	Head No: 2010000808
Last Action: 12/06/2010 12:00 PM Resp: NRC LOST FILE				

The attached FOIA/PA request is forwarded to your office for action. As a result of the attached system search, we request that you conduct a circular / special / lost file search for the subject records.

Please certify by your signature and date that the lost / missing / not found record has been placed on the circular / special / lost file search list and its location is actively being sought or that the file has been found. This file

☐ is on the circular / special / lost file search list,

☐ is attached


☐ could not be located.

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

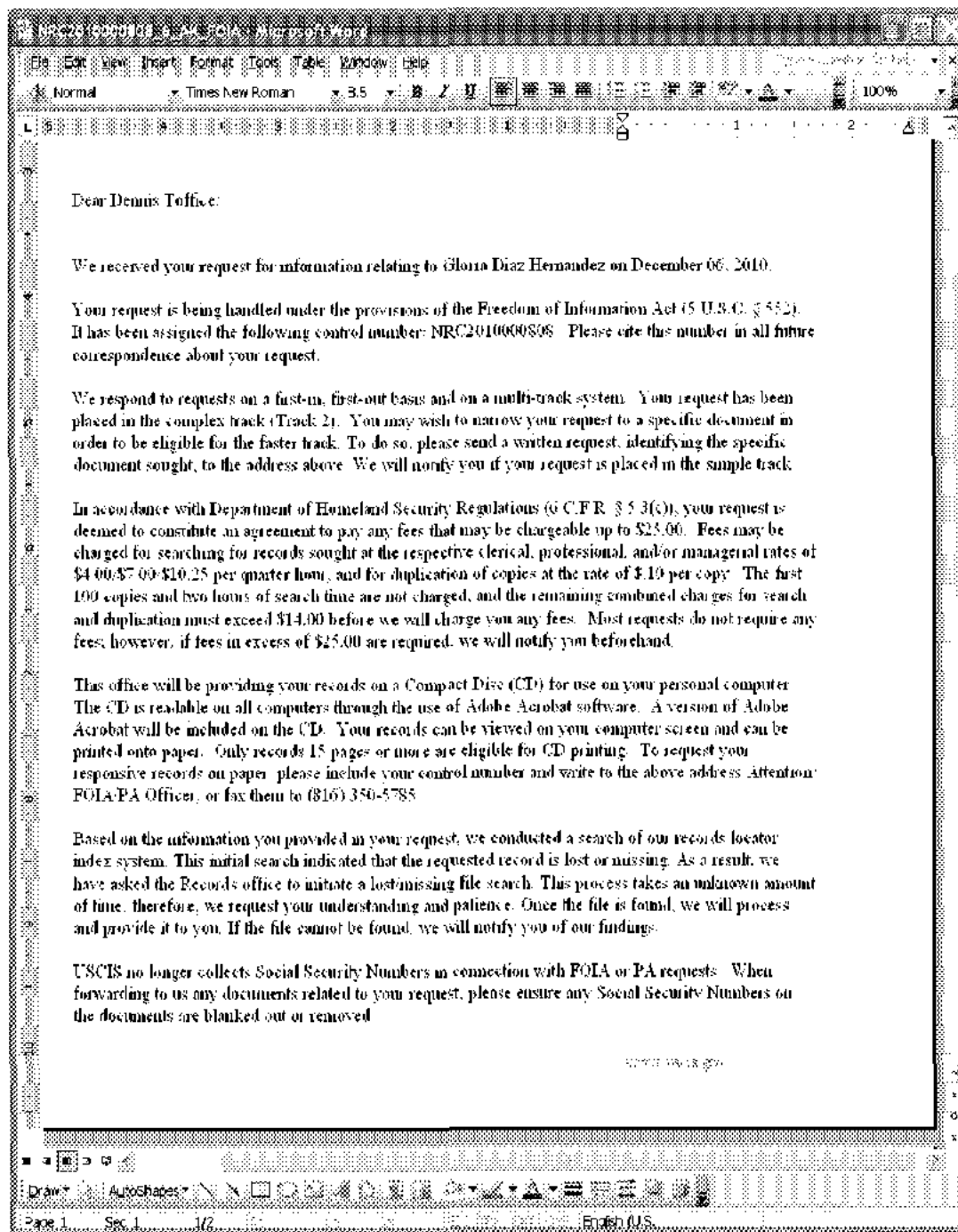
Signature \_\_\_\_\_ Date \_\_\_\_\_

Page 1 Sec 1 1/1 At 2" Ln 21 Col 1 English (U.S.)

Generate the acknowledgement letter.

Processing		File Information	
<b>Acknowledgement Letter Options</b>		<b>Additional Documents Required</b>	
Fee Estimate	<input type="text"/>	<input type="checkbox"/> Other Requester Documentation	
Prepayment Required	<input type="text"/>		
<input type="checkbox"/> Advance Payment Returned <input checked="" type="checkbox"/> Add Lost File Paragraph <input type="checkbox"/> Add Track 3 Denial Paragraph		1. Click Add Lost File Paragraph  2. Click Generate Letter	
<b>Additional Options</b>			
No options found.			
		<div style="text-align: center;">  </div>	
		<input type="button" value="Generate Letter"/> <input type="button" value="Cancel"/>	

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



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 (Flowchart at Appendix H)**

**12.7.3.1** Verify that the A file is lost in both NFTS and CIS 9504. If either CIS 9504 or NFTS has a lost date less than 9 months, you must use the less than 9 month process. DO NOT staff for the A file.

**12.7.3.2** Search for any non-consolidated T-files and receipt files. If you find something, insert the following case note. "A-file number XXXXX is currently showing as lost. Staffed for the following files: XXXXXX. Once received, please review. Please also verify that the original a-file is still lost. Please process as a PD and advise the requester that the original a-file is lost." Pend case for responsive records. You are done.

**12.7.3.3** If you do not locate any additional A-files, T-files or receipt files, input the lost A-Number into PCQS, open a RAFACS slot, print all available screen prints and scan into case as responsive records.

**12.7.3.4** Complete the lost file worksheet. Be sure to fill out as much information as you can. This along with the screen prints helps prove that we conducted a duly diligent search, which becomes important if the requester appeals.

**12.7.3.5** Do a search for any possible related A-files such as mother, father, sister, brother. Input into CIS 9101, two A-Numbers above and below the Lost A-file. If you find any A-Files that may be related, insert the following case note and send to Unit Chief. "A-Number has the same last name as the subject. Possible related A-File. Sending to Unit Chief for further investigation." A supervisor will review the case and send back with further instructions.

**12.7.3.6** If you do not find any related A-Files, print the CIS 9101 screen prints, CIS 9504 Screen print, the 2 up and 2 down screen prints and the lost file worksheet. Have them scanned as CSD.

**12.7.3.7** Generate the Acknowledgement letter. Be sure to Click Add lost File button so the lost file paragraph will be inserted into the ack letter.

**12.7.3.8** Include note to Case Processor: "A-file has been lost for more than 9 months. Unable to locate any additional A-files, T-files or receipt files and provided a copy of their electronic record. Please advise the requester that the original a-file is lost, but we have provided them an electronic copy of their record."

**12.7.3.9** Pend the case for responsive records.

**12.7.3.10** Include in your Discussion all systems you checked and specify the date the file was lost in CIS and NFTS.

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.

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

Additional Address Links for the Lost File Flow Charts

- Case Create Template Letters folder of the FOIA Library  
O:\Foia\FOIA LIBRARY\Case Create References\Case Create References
- Enterprise Collaboration, ECN Network /Case Create Library  
<http://ecn.uscis.dhs.gov/team/esd/Division/NRC/Branches/FOIA OPS/default.aspx>

## **LOST FILE WORKSHEET**

NRC \_\_\_\_\_

A-Number \_\_\_\_\_

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

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

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

1. Search CIS for potential second A-Number and/or consolidation
  - a. Second A-Number? \_\_\_\_\_
  - b. Any T-files? Yes \_\_\_\_\_ No \_\_\_\_\_
    - i. If yes, have they been staffed and scanned? If not, please do so now.
  - c. Consolidated with? \_\_\_\_\_
  - d. Does the EOIR screen show an upcoming hearing date?  
  
Yes \_\_\_\_\_ No \_\_\_\_\_

2. Check CLAIMS for petition/applications
  - a. Were any found? Yes \_\_\_\_\_ No \_\_\_\_\_
  - b. If so, either provide screen prints with receipt number or list below

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

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

NOTES:

## 12.7.4 Staffing FAQ's

Q: What screen print do I attach?

A: The screen prints attached are typically an NFTS screen. If the receipt is archived in CLAIMS and not found elsewhere, 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 after 1975. Ensure requesters provide the minimum information to allow a positive identification (i.e., full name, date and place 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, PCQS and/or CLAIMS for a record. If you find no record, please refer to section 12.7.6. It is important that you provide as much as possible on the Records Indexing file request. The name of the subject, year of birth and information as

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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 References. A sample records\_indexer.doc follows:

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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 PCQS and located no Records.

### FOIA/PA RECORDS ACTION REQUESTED

- |   |                                    |  |
|---|------------------------------------|--|
| <input checked="" type="checkbox"/> All Files | <input type="checkbox"/> C-File    | <input type="checkbox"/> AR-Print                |
| <input type="checkbox"/> Alien File           | <input type="checkbox"/> Visa File | <input type="checkbox"/> Non-Existence of Record |
| <input type="checkbox"/> Certify True Copy    | <input type="checkbox"/>           |  |

FOIA Remarks:

---

## RECORDS

---

### SYSTEMS CHECKED

Searcher:

- |                                 |                                |                                |
|---------------------------------|--------------------------------|--------------------------------|
| <input type="checkbox"/> FLEX   | <input type="checkbox"/> MIDAS | <input type="checkbox"/> MI    |
| <input type="checkbox"/> CIS    | <input type="checkbox"/> EARMs | <input type="checkbox"/> NIIS  |
| <input type="checkbox"/> CLAIMS | <input type="checkbox"/> NIDC  | <input type="checkbox"/> Other |

### Search Section

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

I certify that this office conducted a thorough search of Index Systems and no record of the subject was found.

Signature \_\_\_\_\_

Date \_\_\_\_\_

### Alien Files/ Naturalization Files Section

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

I certify that this office conducted a thorough search in the Alien Files/Naturalization Section and no record of the subject was found.

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:**

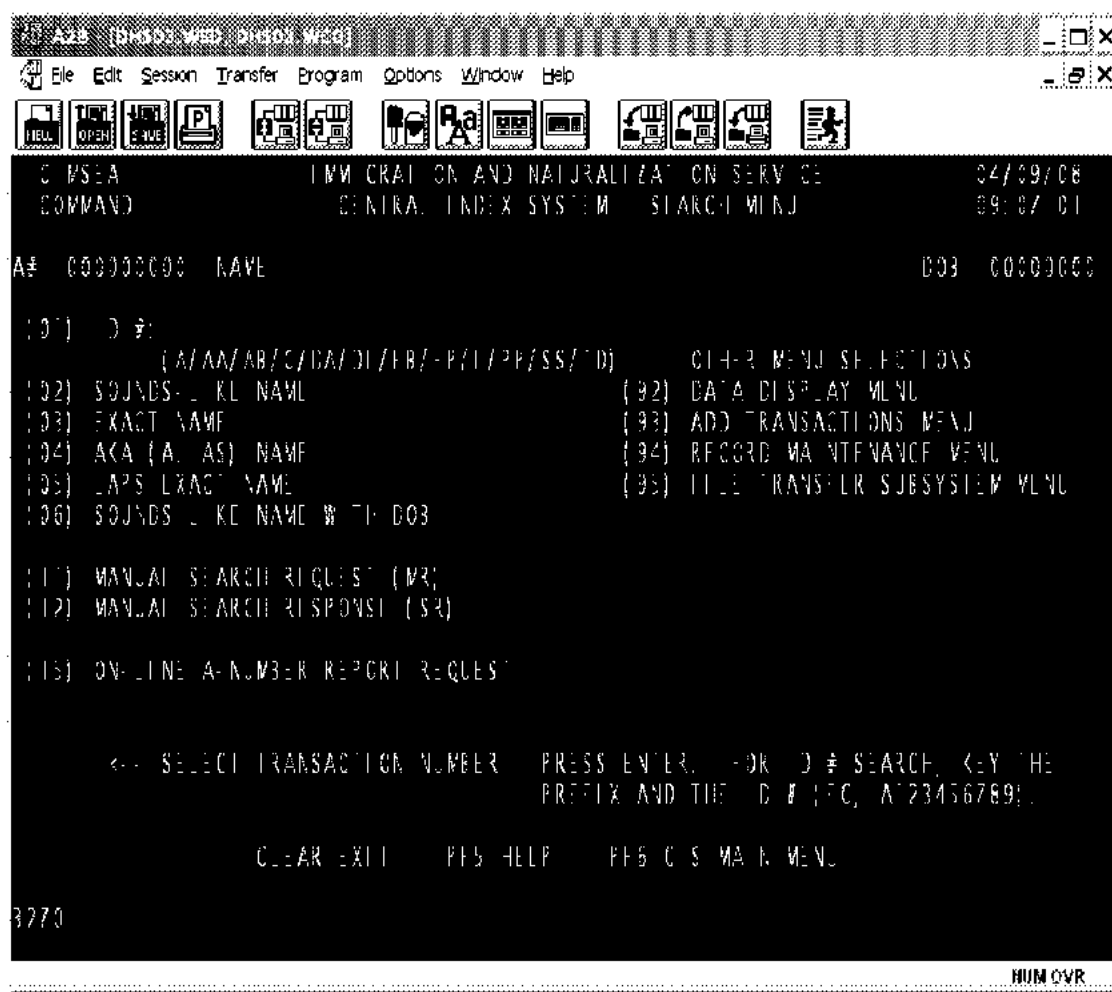
When closing a case as a NR (No Record), ensure that you have done the required system searches to support your decision. If there is wording on the request that would indicate the subject was detained, stopped, arrested or sent back across the border and a thorough system search yielded no information, 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, do the queries and provide screen prints of all CIS and PCQS or CLAIMS searches as directed. There should be no less than two pages and may be lengthier if subject has provided multiple names. Prepare a “Scan As” sheet to be attached to the screen prints and take them to the OA room for scanning as CSD. Prepare a Final Action Letter with closing code NR. Insert a Discussion naming the systems you searched and stating that you have sent the documentation to OA for scanning as CSD. Send to Up-front Approver.

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

In CIS you are only required to print the 9103 screen if subject is not found.



If you do not have PCQS, perform following searches in CLAIMS. Otherwise, go to PCQS and search using last name with an asterisk and first name with an asterisk. Select < 90 days in relation to the DOB unless this provides too many responses. If you get too many responses select < 30 days or exact date. If subject has two last names search each one with an asterisk. If no records are found print screen prints

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

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Genealogy is exempt from this process.

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.

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

### 12.7.8 ICE files

When you staff for a file that is for one of the ICE functions, be sure to change the Bureau in your case to ICE.

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.

Refer to the latest versions of RPC Reference for Staffing and FOIA Staffing List in O:\FOIA\FOIA LIBRARY\Case Create References\Case Create References\FOIA FCO List and O:\FOIA\FOIA LIBRARY\Case Create References\Case Create References\RPC Reference for Staffing.

<u>Office Section</u>	<u>Acronym</u>
<b>Trial Attorney's Office</b>	<b>TA</b>
<b>Chief Counsel</b>	
<b>Litigation</b>	<b>LI or LIT</b>
<b>Legal Section</b>	<b>LS</b>
<b>District Counsel</b>	<b>DC</b>

**DRO 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.

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

**SAC 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.

<u>Office Section</u>	<u>Acronym</u>
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, ZG, XY or ZY.

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. **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, 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.

#### **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**). District offices may issue workFor example, [REDACTED] 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, PCQS and NFTS thoroughly. You may also check the status of a petition or application on USCIS.gov, and you may use that information justify referring the case to Department of State, or you may add that information to RAFACS responsive records (as described in this paragraph). Ensure the receipt file has not been consolidated into a T-file or into an A-file. Please request the A-file or T-file if the receipt file has been consolidated. Check CLAIMS to be sure that the Service did not reject the receipt. Receipts that are shown as rejected in CLAIMS are returned to the submitter by the Service Center. Print the CLAIMS screen(s) that shows the receipt was rejected by the service. Create a File Request to RAFACS (not RAFACS/CIS). Leave the "Customize Letter" button selected. Attach a "Scan As" cover sheet to the screen prints, mark the box "Responsive Records" and take to person designated to scan RAFACS-only responsive records. Pend the case.

If there is no location information in NFTS, and if NVC does not have the receipt, but there is a record in PCQS, print any PCQS screen(s) concerning the petition. Create a File Request to RAFACS (not RAFACS/CIS). Leave the "Customize Letter" button selected. Attach a "Scan As" cover sheet to the screen prints, mark the box "Responsive Records" and take to person designated to scan RAFACS-only responsive records. Pend the case.



**12.7.12.4** If the requester specifies a receipt file, verify the receipt number belongs to the subject, search NFTS and staff for that receipt file. Or if the receipt has been consolidated into an alien file, verify the alien number belongs to the subject and staff for that alien file. If the subject of the request is the petitioner on a petition you will need to create the case in the name of the beneficiary. If there is consent from the beneficiary, search NFTS and staff for that receipt file. If there is no consent from the beneficiary you will close the request as FC. Refer to 16. “FC (failure to comply) CASE CLOSINGS.”

### 12.7.13 Archived receipts

FSXMRPT2 CLAIMS MAINFRAME SYSTEM 01/27/2011  
09:35  
COW5768C

RECEIPT NUMBER WACHY111111 HAS BEEN ARCHIVED  
TO RECEIVE AN OVERNIGHT DETAIL REPORT  
SELECT 'Y' BELOW

GENERATE REPORT - (YES OR NO):

3070 CANCEL MAIN MENU LOGOFF

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:

- A. 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.
- B. On the USCIS website (<http://www.uscis.gov/portal/site/uscis>) 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.

- C. You may call the NVC help line at **603-334-0828** specify that you need to know if NVC has a receipt or not. You will need the receipt number and the name and date of birth of the beneficiary. If they are very busy, you may have to leave the information on an answering machine and they will call you later in the day. If that happens, add a discussion and send the case to Unit Chief. If the receipt file has been forwarded to the NVC, you would redirect the request to NVC.
- D. 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.
- E. If there is no evidence in PCQS, add a note on the staffing sheet "Receipt is archived." A designated clerk will receive the staffing request and have the archived report created and have it scanned in as Responsive Records.

Reading the request is very important; if the requester is seeking information relating to what appears to be a receipt number and it begins with "CDJ" or one of the other prefixes found in Appendix C of this guide, redirect the request to NVC.

If there is evidence that the NVC has the receipt file, redirect the request to the national Visa Center(NVC). To redirect a request to NVC, see section 9.2 Redirection.

#### **12.7.14 Receipt files; Lost receipt file, File destroyed, File cannot locate or File Rejected**

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 language; "FILE CANNOT LOCATE", "FILE DESTROYED", or "LOST RECEIPT FILE" or if the receipt was rejected, the case creator will need to follow the steps outlined below.

Create a file request to RAFACS (*not RAFACS/CIS*). The default selection for the letter is "Customize Letter." Be sure that option is selected. Print the appropriate CLAIMS or PCQS screen prints (should be a minimum of 3 pages if the receipt file is for an I-130). Attach a "Scan As" cover sheet to the screen prints and take to person designated to scan RAFACS-only responsive records. Pend the case.

FIPS v7.0 Training build 06      Work Queries      Actions      Standalone Search

Processing      File Information

A-Number

No A-Number entered

EDMS

Click

Staff Request To      Generate Staffing Sheet

CIS

Contracting Office

RAFACS/CIS

RAFACS

RECORDS ALIEN FILE

RECORDS INDEXING

RECORDS NATURALIZATION FILE

No Staffing Letter

Customize Letter

File Missing/Lost

Location Address      Office Contact

RAFACS

Name

Email

CC Email

Request File      Cancel

Contents      Discussions      Case Actions      History

Task	Status
Search For Duplicate Cases	Completed
Create Additional Cases	Not Started
Create File Request	Not Started
Acknowledgement Letter	Not Started
Final Action Letter	Not Started
Specialty Letter	Not Started
Status Letter	Not Started
Blank Letter	Not Started
Interest Letter	Not Started
Expedited Denial Letter	Not Started

Records Listbox      Case Processor      Case Approver      Unit Chief      Upfront Approver      Pending      Reassign Office

Page 1 of 2      00.0%      Viewing version 1

**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:**



### 13. REASSIGN OFFICE

A case creator may sometimes have to move a case that was scanned in the NRC queue to another queue for processing. Before you create a case, you can click the drop-down box and select a different office. You will be able to do this even if you do not have that queue assigned to you.

*Accidentally reassigning the office:* When you click Save after you have filled in the case information, FIPS' focus will go to the Office drop-down box. If you have inadvertently touched the mouse wheel while it is saving, you may inadvertently "reassign the office." That is to say, when you create the case, it could have a BLR number, for example, instead of an NRC number. It is always a good idea to re-check that NRC is selected before you create the case.

There are times you intentionally reassign the office prior to creating the case:

Reassign the office to CNT if the request is for a contract.

Reassign the office to HQS if the request is for CIS Personnel Information.

Reassign any SIG case to COW.

After you have reassigned an office, you must click Save again before you create the case.

If you are not sure about reassigning an office, it is a good idea to discuss it with a supervisor first.

First you must select the correct office. In this example, we have a request from a newspaper, which makes it a SIG case, so we want to reassign the office to COW. Use the drop-down box to select the office where you want the case to go, click Save.

FIPS v7.0 Training build 06      Work Queries      Actions

---

Processing      Fee Information

Office: NRC	NRC2010006656REQ	Status	Request Case Creator mlporter
Req: BLR	Scanned	Created	Perfected
CLP	11/05/2010		Final Action
CNT			

Request: **Select the correct office**

DLS  
GEN  
HQS  
NRC  
OBL

Porter  
ita Journal-Constitution  
Perimeter Center Parkway  
ita GA 30303

Subject information

First      Middle

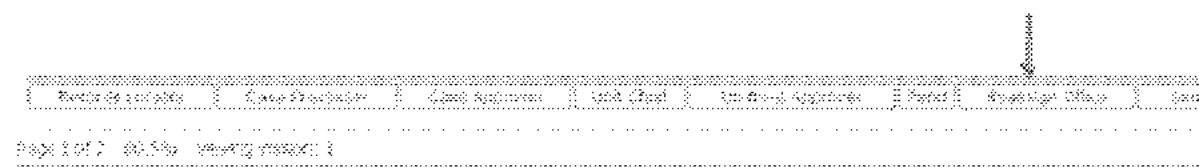
A-number

Topic: H-1B Visas filed by OutSource Georgia, Inc., 2008 to present.

Next, search for duplicate cases and then create the case. The case will have a COW number. You will not be creating an acknowledgement letter or staffing. Before you click on “Reassign Office,” prepare an e-mail addressed to NRC, FOIASIG with the case number and brief description of the topic, requester or reason you reassigned the office. If you spoke with somebody in SIG before reassigning the office, mention that in the discussion as well.

As soon as you click on “Reassign Office,” the case will go away and you will be ready for your next case:

Click Here



## 14. CLOSING A CASE AS “NA:FOIA or PA not applicable:”

- A. Create the case if you have not done so already.
- B. Select the “Final Action Letter” from the Tasks tab, select “NA” from the final action codes list. You will have to select a Non-FOIA Operational Unit. Choose “NRC-Director.
- C. FIPS will generate two letters; you will need to blank out the NRC Director Referral letter and type “Do not send.”
- D. Make the appropriate edits in the Final Action Letter, depending upon the situation.
- E. Create a Discussion explaining why you closed the case as final action NA.
- F. Send the case to Up-front Approver. The supervisor will review and close the case.

Processing	Fee Information
<b>Final Action Letter</b> DP: Duplicate ER: Created in Error FC: Requestor's failure to comply FI: Requestor's failure to ID records IB: Not applicable - certified copy NR: Non-possession of records OR: Old records RD: Redirected to another agency RF: Referred to a DHS Component UT: Unable to locate records WD: Request withdrawn	<b>Final Action Dependent Options</b> Records Needed Insert Clerk of Courts/National Archives paragraph Insert women named to U.S. citizens paragraph  <b>Non-FOIA Operational Units</b> NIL Non-FOIA Offices Privacy Act Amendment Request REQUEST FOR FILE FROM A FOREIGN FCO Service Centers TRN FOIA/PA UNIT WCF
<b>Reasons</b>    	<b>Redirects/Referrals</b>    
<input type="button" value="Submit"/> <input type="button" value="Reset"/> <input type="button" value="Cancel"/>	

## 15. ER (created in error) CASE CLOSINGS

Prepare a Final Action Code using the “ER” option for cases when the following situations arise:

- When a G-884 Return of Original Documents is scanned in FIPS.
- When a routine use/child support request has been scanned in FIPS.
- When subpoenas/court orders have been scanned in FIPS.
- When a Bond Obligor request has been scanned in FIPS.
- Requests from Foreign Consulates (no letter required)

Procedure:

- Create the case if you have not done so already.
- Select “Final Action Letter” from the Tasks tab.
- Select ER from the list of options click “Submit.”
- 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

- Create the case if you have not done so already.

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Updated on 6/29/2012

- B. Select the “Final Action Letter” from the Tasks tab, select “FC” from the final action codes list.
- C. Paste in the body of the appropriate “Unperfected Request Letter” onto the FIPS FC final action letter, which you may find in the Case Create Template Letters folder of the FOIA Library or the Enterprise Collaboration, ECN Network Case Create Library.
- D. Select the “Unperfected Letter for Older G-639 version” for all requests submitted on a G-639 date prior to the revision dated 01/29/12 or
- E. select the “Unperfected Letter” for all new requests and requests submitted on the newly revised G-639 revision date 01/29/2012.
- F. Review the letter to ensure the pasted content is in the correct format
- G. Create a Discussion to the Up-front Approver with your findings and reasons for closing as a FC case.

Replace the contents of the letter using

O:\Foia\FOIA\_LIBRARY\Case Create References\Case Create References Unperfected Letter

Or

O:\Foia\FOIA\_LIBRARY\Case Create References\Case Create References Unperfected Letter for Older G 639 version if an older version of the G-639 was submitted.

## **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.

## **18. ACKNOWLEDGEMENT LETTERS**

We prepare acknowledgement letters in all cases **except** for routine use and Red Cross last known address request and any cases going to FOIASIG. 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	Discussions	Case actions	History
<b>Task</b>			
Search For Duplicate Cases		Duplicate Found	
Create Additional Cases		Not Started	
Create File Request		Completed	
<b>Acknowledgement Letter</b>		Not Started	
Final Action Letter		Not Started	
Specialty Letter		Not Started	
Status Letter		Not Started	
Blank Letter		Not Started	
Interest Letter		Not Started	
Expedited Denial Letter		Not Started	

Records Locator	Case Processor	Case approver	Unit Chief	Up-front Approver	Pend	Reassign Office	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:

Case360 Home

**FIPS v7.0 Training build 06**
Work Queries
 Actions
 5

Processing Fee Information

**Acknowledgement Letter Options**
**Additional Documents Required**

Fee Estimate

Prepayment Required

☐ Advance Payment Returned  
☐ Add Lost File Paragraph  
☐ Add Track 3 Denial Paragraph

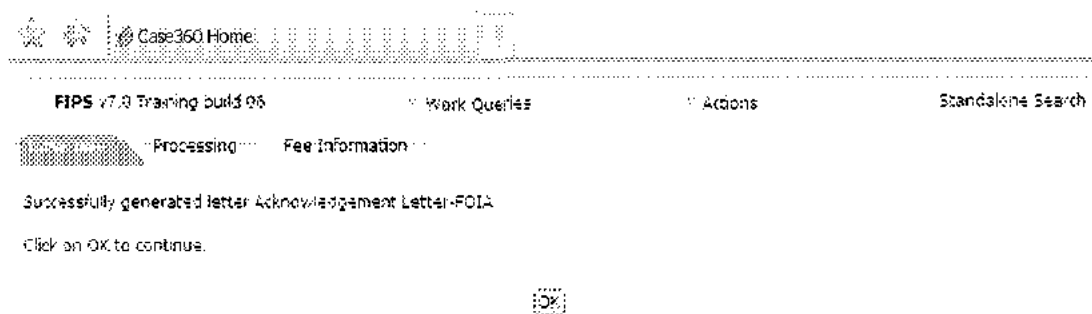
☐ Other Requester Documentation

**Additional Options**  
 No options found.

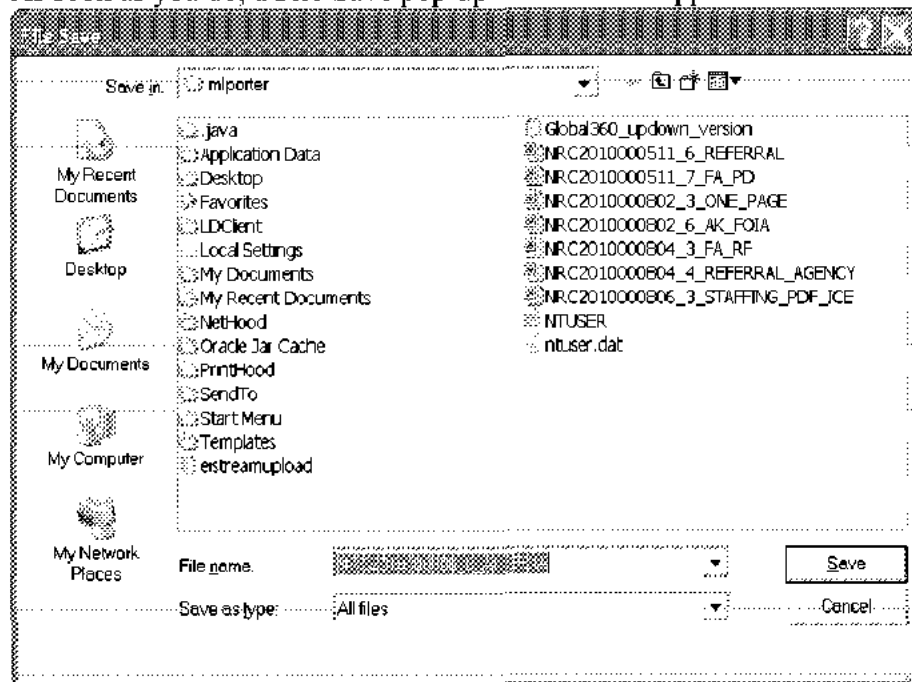
Generate Letter

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.”



The acknowledgment letter will pop up:

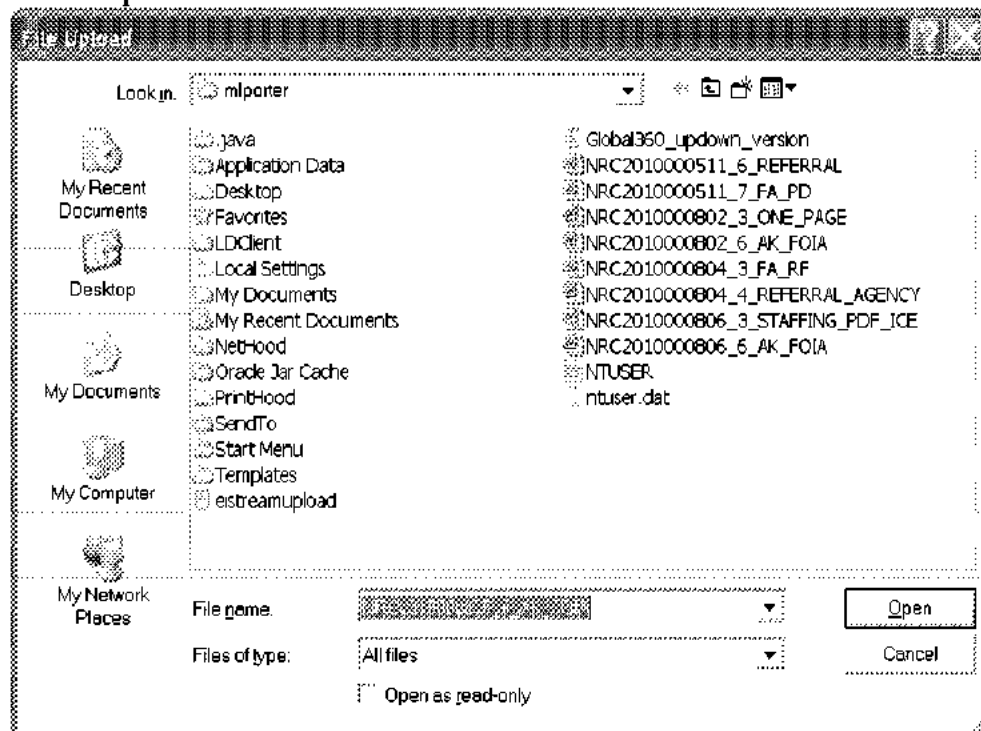


After you finish, save the Word document and exit Word. Next, go to the “Contents” tab and click on the “Check in Document” icon.

Tasks Discussions Case Actions History							
Document Type	Seq.	Pages	Status	Resp Unit	A Number	Date	
4:knowledge Letter-FOIA	5		Editing			12/3/2010 10:14:14 AM	
Check In Document	5		Pending	DRO - SEA Seattle	012345678	12/3/2010 8:28:17 AM	
Staffing Response	4		Pending	DRO - SEA Seattle	012345678	12/3/2010 8:28:17 AM	
Staffing Letter - ICE PDF	3		Editing	DRO - SEA Seattle		12/3/2010 8:28:17 AM	
Request Supporting Documents	2	4	Scanned			11/5/2010 8:32:47 AM	
Request Letter	1	2	Scanned			11/5/2010 8:32:45 AM	

Records Locator	Case Processor	Case Approver	Unit Chief	Up-front Approver	Pend	Reassign Office	Se
-----------------	----------------	---------------	------------	-------------------	------	-----------------	----

Click “Open”:



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 creates entries in the Case Actions tab for all activities and creates a display on the Case Info screen when a duplicate is attached, but does not explain why.

FOIA/PA Assistants or Public Information Specialists *must* create Discussions:

- for any Up-front Approver case,
- anytime they are moving a case to Unit Chief,
- anytime they are reassigning the office,
- anytime they are staffing based on best available information, and
- anytime there is a need to explain something unusual.

Because Discussions become a permanent part of the case in FIPS, you should not use Discussions to record personal feelings or to debate, question, or even to seek clarification. A FOIA/PA Assistant or Public Information Specialist 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:

## Search Case Research Queue

Status   
 Control Number COW2010000341  
 Request Number   
 Created After   
 Office   
 Requester Last Name   
 Requester First Name   
 Requester Middle Name   
 Subject Last Name   
 Subject First Name   
 Subject Middle Name   
 A-Number   
 Topic

1. Enter the case number you are attaching the document to.

2. Click Submit

Control Number	Requester Last Name	Requester First Name	Requester A Number	Last Name	First Name	Middle Name	Topic
COW2010000341	Porter	Rhea					H-1B visas filed by OutSource, Inc.

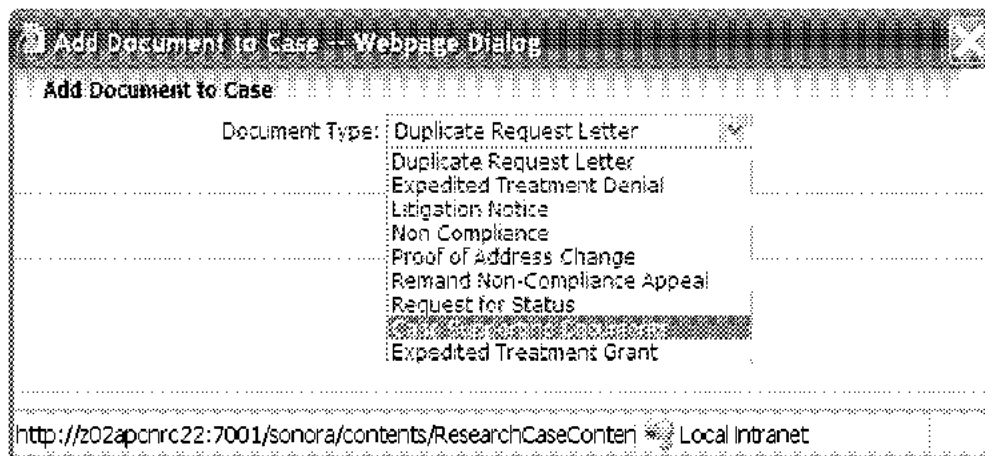
3. Click List Pending Documents Icon

Document Type	Seq.	Pages	Status	Responsive Unit	A-Number	Created Time	Modified Time
Total item(s) found: 0 of 0							

4. Click Add Document to create a new CSD slot.

☐ Open next

[http://202apocrc22.2001/honora/Query?op=main&name=sQry\\_PendingDocument&forCase=RESEARCHCASE&FOLDERID=0&C](http://202apocrc22.2001/honora/Query?op=main&name=sQry_PendingDocument&forCase=RESEARCHCASE&FOLDERID=0&C)



## 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 OA Room clerks 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.

### 23.1 THE OA ROOM (NRC, FOIAOA)

When you review all the scanned in CSDs and request documents which have been scanned into the case, you may find issues needing attention. Send e-mails to the OA Room when:

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- A. 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.
- B. The responsive records need to be re-printed to CD due to the requester receiving a broken CD.
- C. 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.
- D. The first or second page of the new request is missing. Ask them if they can check to see if the page was missed by the scanning department. Include the REQ#, and the data handwritten on the first page of the request. If the first page is missing, include the REQ# and the date the case was scanned. Send the case to Unit Chief until the OA Room sends a response. Then have the case returned to you and create as usual.

Note: sometimes we find documents that do not belong in the case we are working on and belong in another case or need to be created as a new case. Attach a coversheet and deliver it to the CSD bin in the OA Room when the request letter and supporting docs need to be printed and scanned into another case. Include instructions to the OA Room or the case creator, if necessary. You will need to attach a coversheet as a CSD when documents need scanned into create a new request attaché a NEW REQ (new request) coversheet and deliver to the New Requests bin in the OA Room. Do not send an email.

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

## 23.2 MSB (NRC, NRCFOIAMSBB)

Send e-mails to the MSB mailbox when you encounter an appeal in case create that was not previously addressed. See section 8.16

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:

- A. If you are receiving FIPS errors, including if FIPS spontaneously closes
- B. If responsive records need to be copied from one case to another
- C. If records are incorrectly scanned in a case and need to be removed
- D. If FIPS is running unusually slow.

If there are errors in FIPS or FIPS is running slowly, copy the following people on the e-mail: NRC, FOIA PROGRAM, your supervisor, the current Assistant Director/FOIA PA and Supervisory Management Program Analyst.

Include the following in the subject line of your e-mail:

- If you are at a Work Stoppage and cannot do any work in FIPS, please title your subject line: **WORK STOPPAGE**, control number and issue.
- If the case you are working on has a problem that is preventing you from completing it, please title your subject line, **CASE NEEDS CORRECTION**, control number and issue
- If the message deals with a problem you can work around, please title your subject line: **FYI ONLY**, control number and issue.

In all cases, in the body of your message, please follow the same format listed below. Attach sanitized screen prints if applicable.

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.

- What is your cube number?
- What is your work extension number?
- If there are errors in FIPS or FIPS is running slowly, include the following information in the e-mail:
  - What were you doing when the problem began?
  - Did you get an error message? If so, include the message or a screenshot of the message.
  - Is it slow or not responding at all?
  - What other Internet sites do you have open?
- If you are viewing or editing Responsive Records:
  - How many pages of responsive records are there?
  - Do you have thumbnails on?
  - Were you checking in a document, image file or letter?
- If you were doing a search:
  - If you were using a wild card, which field(s) and what criteria?
  - If you were searching on one field or more, which fields (e.g. first and last name)?

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## **24. E-MAIL TO CUSTOMERS**

If necessary, send a message to the NRC, NRCFOIAMSMB outlining what we need to say. 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.

**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 "Save" to update FIPS.

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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

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 Postage

Body 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.
- 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 section 25.2.3).
- Status Request (see section 25.2.4).

- Withdrawal of Request (see section 25.2.5).
- 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 (see section 34).
- Correspondence about delinquent payments, including checks (see section 25.2.2)
- Responses to Track 3 denial or Expedited Treatment denial (see section 25.2.1)
- Responses to requests for additional information (see section 25.2.2)
- 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. The OA Room Clerk 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.

### **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 FOIA/PA 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 FOIA-PA supervisor, who will make the determination.

If a FOIA/PA Assistant or Public Information Specialist working in Records Locator queue discovers correspondence relating to expedited processing or Track 3 scanned in but has not been addressed by a supervisor; that person should insert a Discussion. If it is regarding a Track 3 request, approve or deny the request. If it is regarding an expedited request, send the case to Admin or Unit Chief and send an e-mail to the supervisor handling the expedited requests and include the control number of the case. See section 6.3.1 for Track 3 and 6.3.6 for and Expedited processes.

### **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 9103 and PCQS or CLAIMS to locate any responsive records, or receipt files. If the subject of record entered before 1975 and may possibly have had no business with INS or USCIS after 1975, you may have to staff to Records Indexing (see section 12.7.5, *Records Indexing/Manual Requests*). If you cannot locate any records relating to your person, you may have to close the case as NR (see section 12.7.6, *No Record*). 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.

*See section 7.3, Reasonable Description of Records being Sought, and follow the steps in section 7.3.4, Requesting Additional Information with the Acknowledgement Letter*  
*See Section 16, FC (Failure to Comply) Case Closings and if needed NR, No Record section 12.7.6*

### **25.2.3 Request for change of address**

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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](http://www.uscis.gov)).

From [www.uscis.gov](http://www.uscis.gov), find the link near the bottom of the left column under “Other Services” marked “[FOIA Request Status Check](#).” Click there to navigate to the online status check page.

The on line status check will indicate whether the request is still pending, or whether the case has been processed or closed within the last six months.

If the request is still pending, the online status check will indicate the position of the request relative to all pending USCIS requests in the same processing track. It also provides the date the request was received.

If the request was processed or closed within the last six months the requester will be given the date the request was closed. The system does not discern how the request was closed i.e. DP, G1, PD etc., however it does address cases closed for Failure to Comply.

If the control number entered is not recognized, the requester will be advised the number entered is invalid or the case was processed more than six months ago.

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.

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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 Calculate Queue Position 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 the Tasks tab in FIPS.

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**

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

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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 requester, mark "self" in the source block, create the acknowledgment letter. If we receive a congressional request on behalf of a constituent, we must respond to both the requester and the congressional office. Prepare the case as you normally would, then open the acknowledgment letter (or the final action letter if you are closing it) and replace the requester's address with the address of the congressional office. Print that letter and take it to the OA room to be mailed separately. Create a Discussion saying you did that. E-mail your supervisor. The subject of the E-mail should be "CONGRESSIONAL REQUEST FOR CONSTITUENT." The body should have the case number, whatever the disposition of the case is, and the fact that you printed a separate letter to be mailed to the congressional office. If you are not sure what to do at any point, please contact your supervisor.

## **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.
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 post-it note and stick the post-it note to the top page to identify these as the incorrect letters.
7. Give the incorrect letters to the Team supervisors. The supervisors will give the incorrect final action letters to a FOIA supervisor daily for distribution and review.

### **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. 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 (please refer to section 33)
- Additional PII or consent is needed (please refer to section 32.7)
- Requester docs have been received (please refer to section 32.8)
- The wrong records were scanned into the case (please refer to section 32.9)
- We need to send an interim interest letter to an incarcerated individual (please refer to section 32.10)
- The file is lost or we got a response of not found or consolidated from a service center (please refer to section 32.11)
- Requester writes to request the record on paper (please refer to section 32.12)
- Requester wants to change the track of their case (please refer to section 34).

**32.1** Start by reading Discussions. 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.

**32.2** Always check the alien number(s) in CIS to verify its accuracy before proceeding.

**32.3** 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.

**32.4** Read and follow directions in any Discussion found in the case regardless of the age of the case or who put them in. If there is a question, see your supervisor before proceeding with any action on the case.

**32.5** Any time you create a new staffing for the same A-file or receipt, you must cancel the one it replaces.

**32.6** 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 the pending T-file staffing, because the T-files no longer exist. Send the case to the processor.

**32.7 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 another Acknowledgement Letter and check the other documentation box. The Requester Documentation Attachment will automatically be added to the Acknowledgement Letter. 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. Send the case to Unit Chief with a Discussion.

**32.8 If we have received pending Requester Documentation:** Review the information provided. If the requester/subject adequately provided the requested PII and/or consent, request the file.

**32.8.1 The requester/subject may respond negatively to the request for PII.** For instance, we might have asked for A-Number and/or Petition/Receipt number, and they responded “none” or “unknown” to both. If we receive a negative response, attempt to locate an alien file and staff, matching as much of the PII as possible. If you find a file, pend the case for responsive records based on best available information and create a Discussion saying you did so. If you are unable to find a file, close as FC. For the procedure, please see section 16, Failure to Comply.

**32.8.2 The requester/subject may not return the VOI or consent we asked for.** If so, generate a FC letter and replace the contents of the letter with the appropriate FC letter depending on the version of the G-639. Create a Discussion explaining the FC. Send the case to the Up-front Approver when you are finished.

The two versions of the FC letter

O:\Foia\FOIA\_LIBRARY\Case\_Create\_References\Case\_Create\_References\_Unperfected Letter or

O:\Foia\FOIA\_LIBRARY\Case\_Create\_References\Case\_Create\_References\_Unperfected Letter for Older G-639 version

**32.8.3 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), do not request the file. Create a Discussion with your findings and close as FC, consent and Verification of Identity.

**32.9 Wrong Records.** 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.

**32.9.1 Did the Case Creator use the wrong alien number?** If so, please request the correct file. You must then send an e-mail to NRC, FIPS Problem and ask that the wrong records be removed.

**32.9.2 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 only if you have the beneficiary's PII and VOI. If not, close as FC. For Procedure, please see section 16.

**32.9.3 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:

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

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

32.9.3.3 If the responsive records are not scanned into the case, send an e-mail to NRC, FIPS Problem and ask them to move the responsive records

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from your case over to the correct case. Also ask them to remove the responsive records from your case and staffing response to “pending.”

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

32.9.3.4.1 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.

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

32.9.3.4.3 Send an e-mail to NRC, FIPS Problem asking them to remove the wrong records from the staffing response and responsive records slots and re-set their status to “pending.”

**32.10 Mailing address is a detention facility.** If you open a case in Records Locator queue and there is a Discussion instructing you to create an interim response letter because the individual is incarcerated:

32.10.1 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.

32.10.2 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. For the procedure, please refer to section 16. **Do not close out the case FC without the returned mail.**

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

**32.11 If you open 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.

32.11.1 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.

32.11.2 If the receipt file is marked Lost, File Destroyed, File Cannot Locate, or Rejected, please refer to section 12.7.14, *Receipt files; Lost receipt file, File destroyed, File cannot locate or File Rejected.*

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**32.12 Paper.** If a requester in the United States asks for his or her records on paper, uncheck "Print to CD" box create a Discussion citing the reason. Next, go to the Tasks tab and create a Status letter. In the Status letter, write, "This letter serves to notify you that we will be providing your records on paper."

### **33. REPENDING IN RECORDS LOCATOR QUEUE**

**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. Please continue to repend these cases as necessary. FIPS automatically sets a new due date at 60 days. If it is an RDF staffing, please change the new due date to 365 days.

**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 NRC, FOIASIG of this. Insert the 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 NRC, FOIAFILEREQ to research and to have the file scanned in if necessary.

**33.6** Not used.

**33.7** When repending a case in Records Locator, please follow these steps:

**33.7.1** Search for any duplicates

**33.7.1.1** If you find a duplicate, refer to section 6.4, Search for Duplicate Cases.

**33.7.2** If you do not find a duplicate:

- A. Under the Contents tab, on the Staffing Letter to which you want to repend.
- B. Left-click on either the Staffing Response or Responsive Records and do not move the mouse to another location on the page until the drop-down menu appears.
- C. Click on Manage Document from the drop-down menu.
- D. On the right side of the pop up screen, you will see Days to Pend with a box showing 60. Leave the number of days 60 unless it is an RDF or a Lost File Staffing-please refer to sections 12.7.2 and 12.7.3 for Lost File Instructions.
- E. If repending an overdue RDF staffing, type 365 in the Days to Pend box before you click on Update Due Date.

## **34. CHANGING THE TRACK OF A CASE**

We 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 1 or 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. 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. 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.

Sometimes the case has not come up for processing yet and you encounter this situation in Records Locator queue. If that happens, create a Discussion indicating the problem (Responsive Records scanned into Staffing Response slot), and send a message to NRC, FIPSPROBLEM with the following information:

- A. The NRC control number of the case,
- B. The A number or Receipt Number of the records,
- C. The staffing sequence they are scanned into, and
- D. The number of pages scanned in.

Finally, send the case to Unit Chief/Admin so that the problem can be resolved.

### **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.~~

### **37. RE-STAFFING**

There should be a discussion directing you to re-staff. If you are unsure about what to do, please contact a member of MSB. The two most common re-staffing scenarios are:

- The file moved to another office – and we have to cancel pending slot and staff to the correct FCO. **\*Do not confuse this with files that are now in-transit to NRC.**
- The current staffing is not correct (for example - an Atlanta general staffing instead of an Atlanta ICE staffing). In that scenario, we must cancel the pending slot and re-staff properly. If you are unsure, consult a member of MSB.



### **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 re-staff 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.

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

## **APPENDIX A: PHONE NUMBERS**

NRC/FOIA Fax: 816-350-5785, 5786, 5787

ILD Incoming Call Line: 816-350-5560

Human Resource Office: 816-350-5661

### CIS Forms:

By Phone: 1-800-870-3676

Website: [www.uscis.gov](http://www.uscis.gov)

National Customer Service: 1-800-375-5283

EOIR 800-898-7180

## **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  
Freedom of Information Act Office  
800 North Capitol Street, 5<sup>th</sup> Floor, Suite 585  
Washington, DC 20536

### **MAILING ADDRESS OF NATIONAL VISA CENTER:**

U.S. Department of State  
Attn: Margaret Grafeld  
Office of Information Programs and Services  
A/GIS/IPS/RL, SA-2, Room 8100  
Washington, DC 20522-8100

## **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 6/29/2012

## **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)

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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 – Rio de Janeiro (Brasil)  
RID – Riyadh (Saudi 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)

## **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 section 15).

WD – Case was closed as a withdrawal.

NA – FOIA/PA not applicable (see section 14).

NR – The case was closed as no record. We have conducted a thorough search of all databases for any files relating to the subject and found no results. All (non-responsive) screen prints are scanned in as CSD.

UT – Unable to locate alien file. We know there is a record, but it is lost. We may close cases if the alien file is marked as lost and it has been more than one year, but we must be able to prove we conducted a thorough search of all systems.

FC – Case closed for failure to comply (see section 16).

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.

## **APPENDIX E: FORMS**

[www.uscis.gov](http://www.uscis.gov)

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

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

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

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



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

## **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
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
AVL	Asylum Virtual Library
BBAT	Bond Backlog Action Team

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BCAA	Background Check and Adjudicative Assessment
BCIC	Border Crossing Identification Card
BCC	Border Crossing Card
BCIS	Bureau of Citizenship and Immigration Services
BEP	Backlog Elimination Plan
BIA	Board of Immigration Appeals; or Bureau of Indian Affairs
BLS	Bureau of Labor Statistics
BOP	Bureau of Prisons
BORTAC	Border Patrol Tactical Unit
BP	Border Patrol
BRP	Backlog Reduction Plan
BSS	Biometric Storage System
CAA	Cuban Adjustment Act
CAP	Criminal Alien Program
CAPES	Classification and Placement Evaluation System
CARRP	Controlled Application Review and Resolution Program
CBO	Congressional Budget Office / Community Based Organization
CBP	Customs and Border Protection
CCB	Child Care Bureau
CCD	Consular Consolidated Database
CDC	Center for Disease Control
CDSO	Collateral Duty Security/Safety Officer

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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
CP	Case Processor
CPA	Chief Patrol Agent
CPO	Chief Privacy Officer
CSAT	Computer Security Awareness Training
CSD	Case Supporting Documents
CSPA	Child Status Protection Act
CSRS	Civil Service Retirement System
CSWP	Customer Service Web Portal
CUI	Controlled Unclassified Information
CUSA	Citizenship USA

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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
DORA	District Office Rapid Adjudication
DOS	Dept. of State
DP	Duplicate
EABM	Enforce Apprehension Booking Module
EAC	Eastern Adjudications Center
EAD	Employment Authorization Document
EAP	Employee Assistance Program

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Updated on 6/29/2012

EARM	Enforce Alien Removal Module
ECN	Enterprise Collaborative Network
EDMS	Enterprise Document Management System
EEOC	Equal Employment Opportunity Commission
EEV	Employment Eligibility Verification
EFOIA	Electronic Freedom of Information Act (initiative)
ELIS	Electronic Immigration System
ENFORCE	Enforcement Case Tracking System
EOIR	Executive Office of Immigration Review
eOPF	Electronic Official Personnel Folder (eOPF)
EPA	Environmental Protection Agency
ER	Created in Error
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
FC	Failure to Comply
FCC	Federal Communications Commission

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FCO	File Control Office
FD-258	Fingerprint Card
FDL	Forensic Document Laboratory
FDNS	Fraud Detection National Security
FDNS-DS	Fraud Detection National Security – Data System
FDU	Fraud Detection Units
FEDVIP	Federal Employees Dental and Vision Insurance Program
FEGLI	Federal Employees Group Life Insurance
FEHB	Federal Employees Health Benefits
FEMA	Federal Emergency Management Agency
FHA	Federal Housing Administration
FIPS	Freedom of Information & Privacy Act Processing System
FISMA	Federal Information Security Management Act
FLETC	Federal Law Enforcement Training Center
FMLA	Family Medical Leave Act
FOD	Field Office Director
FOH	Federal Occupational Health
FOIA	Freedom of Information Act
FOSC	Fugitive Operations Support Center
FOUO	For Official Use Only
FPS	Federal Protective Service
FRC	Federal Records Center

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Updated on 6/29/2012

FSM	Field Security Manager
G-28	Notice of Entry of Appearance as Attorney or Representative
G-325	Biographic Information
G-325A	Biographic Information
G-639	Freedom of Information/Privacy Act Request
GAO	Government Accountability Office
GILS	Government Information Locator Service
GPO	Government Printing Office
GSA	General Services Administration
HCFSA	Health Care Flexible Spending Account
HHS	Dept. of Health and Human Services
HQASM	Headquarters Asylum Division
HRIFA	Haitian Refugee Immigration Fairness Act of 1998
HRSA	Health Resources and Services Administration
HSA	Health Savings Account
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

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Updated on 6/29/2012



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
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
INA	Immigration and Nationality Act
INS	Immigration and Naturalization Service (legacy)
INTCA	Immigration and Naturalization Technical Corrections Act of 1994
INTERPOL	International Criminal Police Organization
IO	Information Officer
IRCA	Immigration Reform and Control Act
IRS	Internal Revenue Service
ISAP	Intensive Supervision Appearance Program
ISCPM	Identity and Security Checks Procedures Manual
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
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
NAIS	National Automated Immigration Lookout System
NARA	National Archives and Records Administration
NBC	National Benefits Center
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
NR	No Record (we are not able to find any record)
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
NVC	National Visa Center
NWIRP	Northwest Immigrant Rights Project
OA	Office Automation
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
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
PC	Peace Corps
PCII	Protected Critical Infrastructure Information
PCQS	Person-Centric Query System
PIA	Privacy Impact Assessment
PII	Personally Identifiable Information
PLAIN	Plain Language Action and Information Network
POC	Point of Contact
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
RD	Redirected to another agency outside DHS
RDF	Records Digitization Facility
RF	Referred to a DHS component other than USCIS
RL	Records Locator
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
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
SOR	Subject of Record
SRC	Southern Regional Center (Southern Service Center)
SSA	Supervisory Special Agent; or Social Security Administration
SSC	Southern Service Center
SSI	Sensitive Security Information
SSO	Special Security Officer
STAR	System for Time and Attendance Reporting
TAC	Third Agency Checks
TAP	Tuition Assistance Program
TCDD	Training and Career Development Division
TECS	Treasury Enforcement Communication System
TPO	Transformation Program Offices



TPS	Temporary Protective Status
TSA	Transportation Security Administration
TSC	Texas Service Center
TSP	Thrift Savings Plan
TVA	Tennessee Valley Authority
UC	Unit Chief
UFA	Up-front Approver
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
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
UT	Unable to locate (we know a record exists, but it is lost)
VA	Department of Veterans Affairs
VAWA	Violence Against Women Act
VAWO	Violence Against Women Office
VD	Voluntary Departure
VIS	Verification Information System
VOI	Verification of Identity
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

## **APPENDIX G: DEFINITIONS**

The definitions listed below are words and phrases that frequently appear in FOIA and PA requests. The list is arranged in alphabetical order. Additional definitions can be located at <http://www.uscis.gov/portal/site/uscis/menuitem>. Select the tab titled "Education and Resource."

**Access** - Includes any form of disclosure, to include oral, visual, or reproduced copy. A reproduced copy, whether in paper or electronic format, always satisfies FOIA/PA access requirements.

**Agency** - Any executive department, military department, Government corporation, Government controlled corporation, or other establishment in the executive branch of the Government (including the Executive Office of the President), or any independent regulatory agency. This does not include the legislative (Congress) or judicial (Courts) branches of the Government, nor does it apply to state, local, or foreign government agencies. The Department of Homeland Security (DHS) is an agency as defined above. The following are components or bureaus of the Department of Homeland Security; United States Immigration and Customs Enforcement (ICE), United States Customs and Border Protection (CBP), United States Secret Service (USSS), etc.

**Agency Record** - Any tangible recording of information and/or any item, collection, or grouping of information, including electronic that is maintained and controlled by an agency.

Notes or documents which are made by an employee, kept purely voluntarily, not circulated to nor used by anyone other than the author, and discarded or retained at the author's sole discretion for his/her own individual purposes are personal records. These are not generally agency records because they are not subject to the rules and controls of the agency for records management and disposition. These may, however, become agency records for purposes of the FOIA or PA if used to carry out an agency function (e.g., as the basis for a performance rating).

**Component** - Each separate bureau, office, board, division, commission, service, or administration, or agency of a Federal Executive Branch Department. For example: Border and Transportation Security (BTS), Citizenship and Immigration Services (USCIS), Federal Emergency Management Agency (FEMA), Immigration and Customs Enforcement (ICE) are components of the Department of Homeland Security.

**Conditions of Disclosure** - Specific provisions in the Privacy Act (5 U.S.C. § 552a(b)(1) through (12)) allows the agency to disseminate information from a PA system of records without the prior written consent of the record subject.

**Congressional Committee Request** - A request from either House of Congress, to the extent of matters within its jurisdiction; a subcommittee thereof; any joint committee of Congress; any subcommittee of any such joint committee. Agencies may not use FOIA or PA exemptions to deny records that are the subject of such a request.

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**Congressional Request** - A request from a Member of Congress on his or her own behalf, or on behalf of a constituent. After acknowledgment under congressional correspondence procedures, congressional requests are to be processed in the same manner as any other FOIA or PA request.

**Consolidation** – Combination of paperwork into a main file. After the service completes work on a petition or application, we combine it into the person's A-file. If the service discovers two "unconsolidated" A-Numbers for a person, we combine the two files. One of the A-Numbers becomes the "survivor" and the other becomes the "consolidated A-Number."

**Consultation** - Obtaining the views of another DHS component or Federal agency concerning the release of information that has been incorporated into immigration documents or a reciprocal request. The National Records Center, FOIA/PA Division, makes the final overall determination on release.

**Freedom of Information Act Request** - A request **in writing** by any person for access to any record maintained by any Federal agency. Federal agencies are not persons for purposes of FOIA.

Included are requests for access to Privacy Act records of another person without the written consent of the record subject, as well as requests from nonimmigrant aliens for access to their own records.

**FOIA/PA Information Processing System (FIPS)** - Through the use of imaging, workflow, and graphical user interface technologies, FIPS allows USCIS to electronically manage and process FOIA and PA requests.

**First Party Requester** - A subject or designated representative asking for access to his/her record. A notarized signature or a sworn declaration under penalty of perjury from the record subject is required for access to records.

**Forms** – Various government forms available from [www.uscis.gov/portal/site/uscis](http://www.uscis.gov/portal/site/uscis) that are provided for the use of requesters and their representatives when submitting a FOIA or PA request with USCIS. The more common forms include:

- G-28 – Notice of Entry of Appearance as Attorney or Representative - This form is used for information purposes only. It should be signed by the attorney or representative and by the subject of the record. Does not qualify for consent unless the attorney or representative has inserted the penalty of perjury statement and the subject of the file has signed the document.
- G-639 Freedom of Information/Privacy Act Request – This form can be used to make a FOIA/PA request. When completed it provides enough information to complete an extensive search for records.

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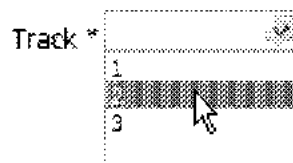
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**Individual** - The PA describes an individual as follows: a U.S. Citizen (U.S.C.) or alien lawfully admitted for permanent residence (LPR). Conditional residents are considered LPRs. Corporations and organizations are not individuals.

**Multi-track System** - USCIS utilizes a three-track system to process all FOIA requests.

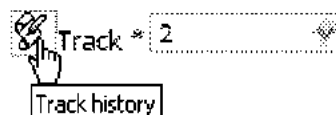
#### Track Drop-Down List



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

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.

## Track History Displayed

Modified by	Action	Modified Date
cdbsit	Track changed from 3 to 2	3/25/2010 9:38:16 AM
cdbsit	Track changed from 1 to 3	3/25/2010 9:38:17 AM
cdbsit	Track changed from 2 to 1	3/25/2010 9:38:06 AM
cdbsit	Track changed from not set to 2	3/24/2010 12:55:11 PM
SDUOFA	Track changed from 2 to not set	3/4/2010 12:15:56 PM

**Privacy Act Amendment Request** - A request from a U.S.C. or LPR to amend, expunge, or correct information in his/her PA record that the individual believes is not accurate, relevant, timely or complete.

**Privacy Act Record** - Any item, collection, or grouping of information about an individual 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.

**Privacy Act Request** - A request in writing submitted either in person or by mail, for records that are contained in a Privacy Act system of records. The records must be under the control of DHS and be retrieved by the name of the requester or other personal identifier. Requests are received from:

- A USC or LPR for access to his/her own records, or
- A third-party with a signed privacy waiver from the record subject acting on the subject's behalf, or
- The parent of an LPR or USC minor child or the legal guardian of a person declared incompetent by a court of competent jurisdiction.

**Records Custodian** - The official responsible for the maintenance, security, control, and final disposition of official records that are required by law, regulation, or other directive to be kept by the Agency.

**Referral** - Information found in immigration records – the forwarding of a record that originated with another component of DHS or another Federal agency for direct response to the FOIA/PA requester. Also includes transferring responsibility for responding to a request regarding the release of records to the DHS component best able to determine whether to disclose, or to the Federal agency that originated the record.

**Retire** – The service sends the A-file to the Federal Records Center (FRC) after a number of years have passed with no activity. This is called “retiring” the file. Occasionally, we have to request a retired file from the FRC.

**Rider** – A person who is also listed on a petition or application that will also benefit if that petition or application is approved. For example, a woman applying for asylum lists her husband and two children on her asylum application. They are riders.

**Routine Use** - An established use and authority for disclosure of records from a Privacy Act System of Records, other than an intra-agency disclosure. Disclosure or use must be for a purpose that is compatible with the purpose for it was collected, that would be otherwise prohibited by the PA. Such disclosures do not require the written consent of the record subject, but require Federal Register publication prior to such use.

**System of Records** - A group of any records under the control of an agency from which information is retrieved by the name of the individual or by some other identifying number, symbol, or identifying particular assigned to the individual.

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

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

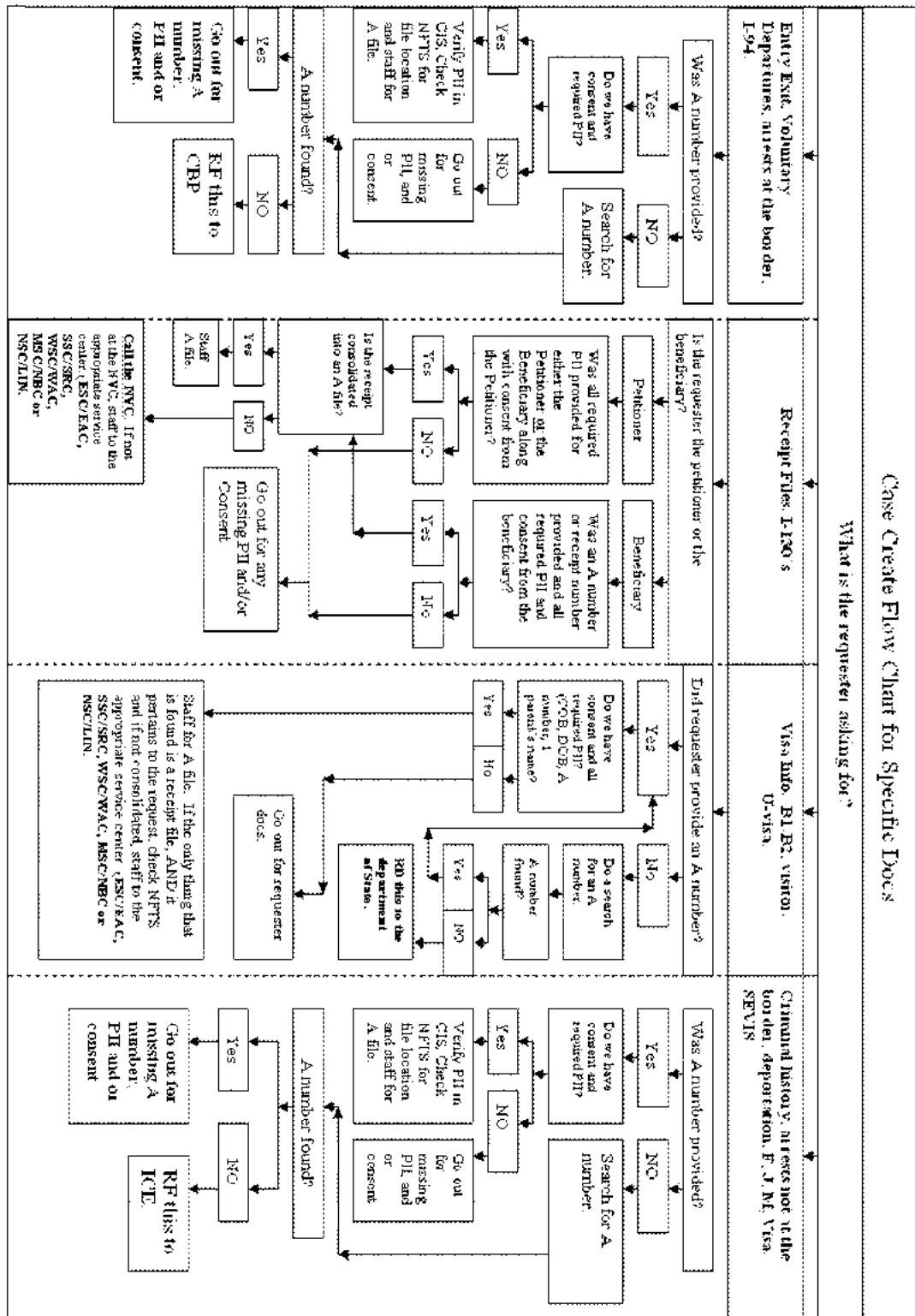
**White House Inquiries** - An official request from any member of the White House staff, or letters of the President forwarded to the agency for response.

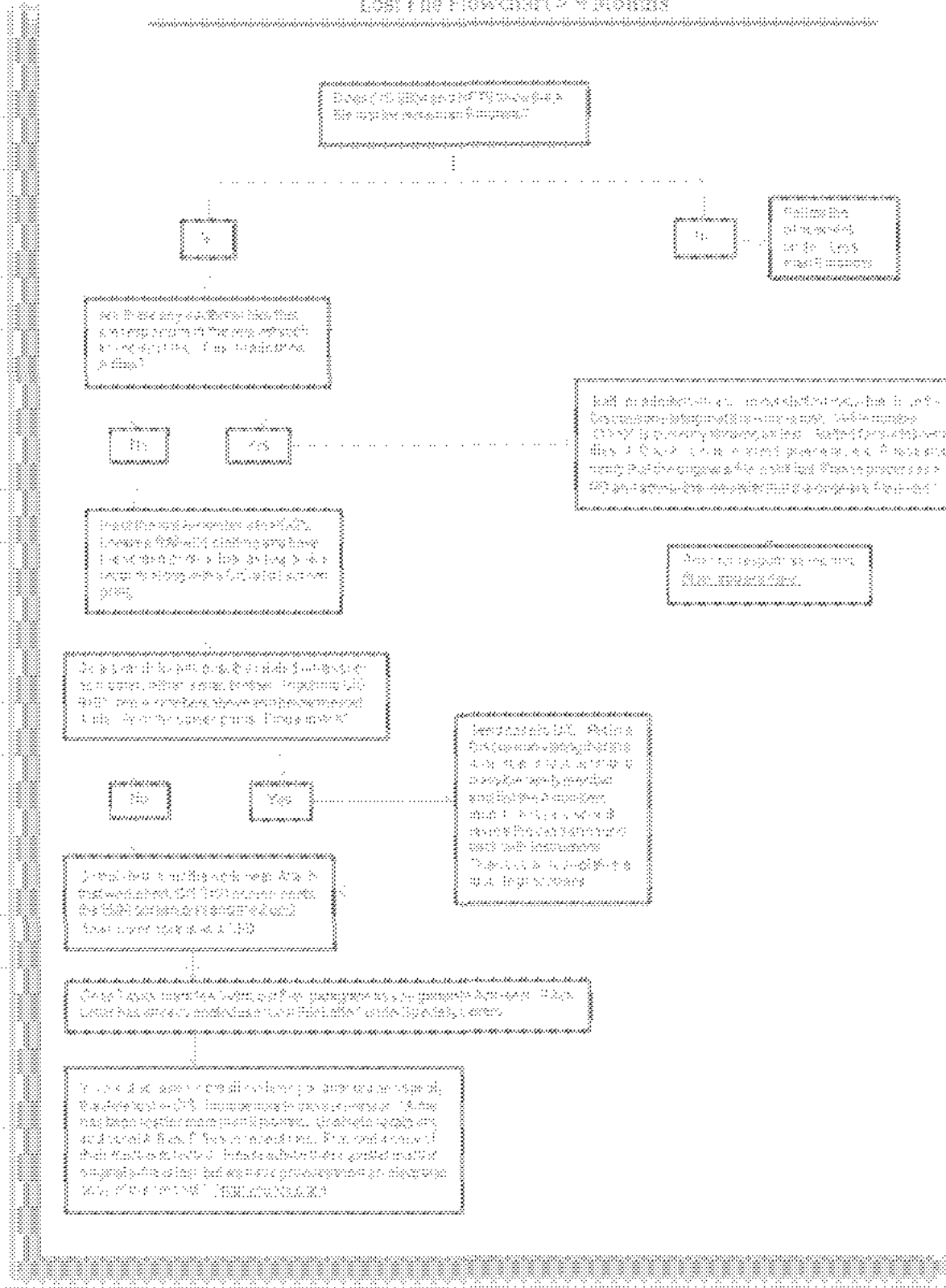


### Case Create Flow Chart for All my records.

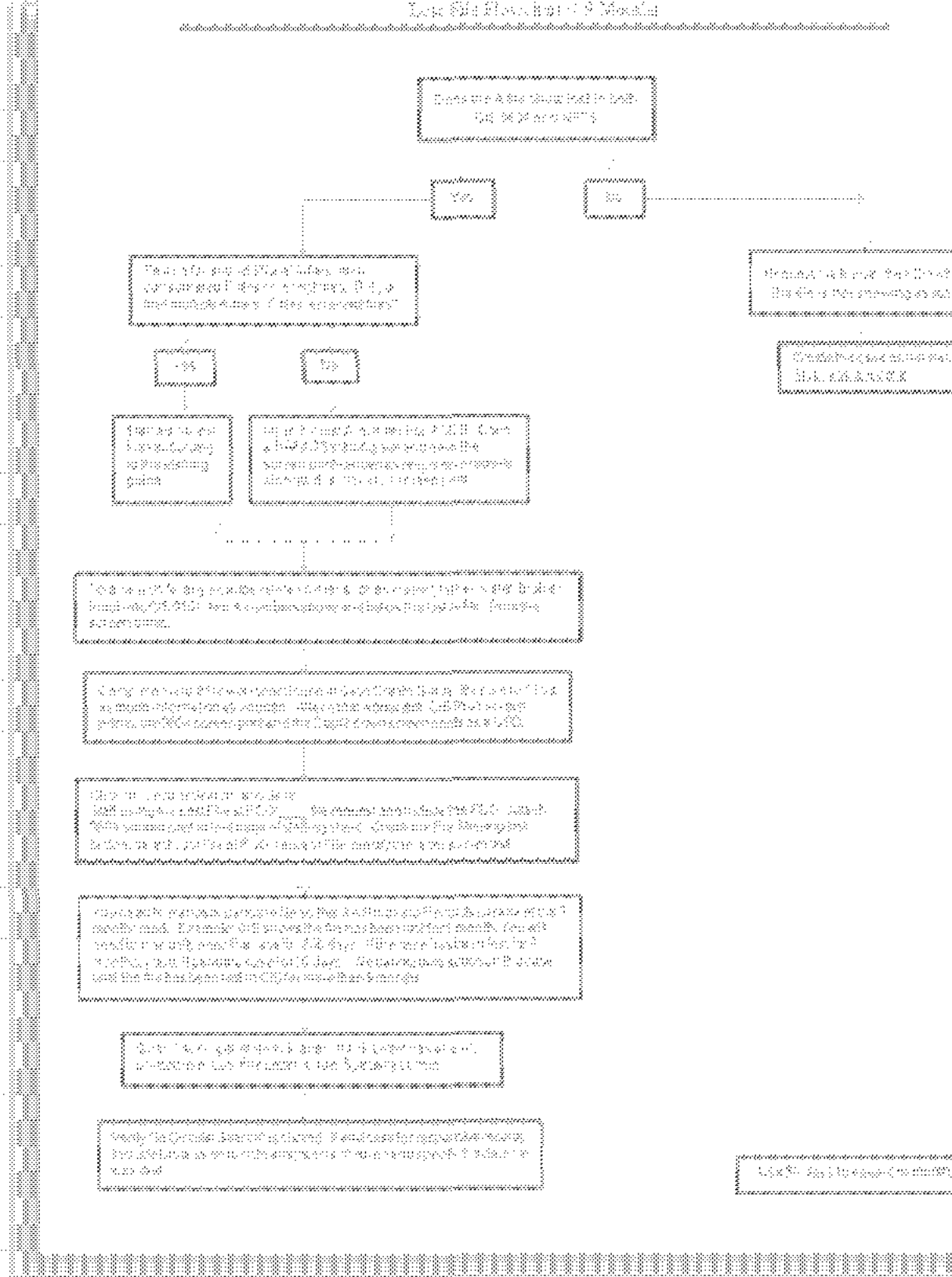


Updated on 6/29/2012



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## JULIAN DATE CALENDAR PERPETUAL

Day	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Day
1	001	032	060	091	121	152	182	213	244	274	305	335	1
2	002	033	061	092	122	153	183	214	245	275	306	336	2
3	003	034	062	093	123	154	184	215	246	276	307	337	3
4	004	035	063	094	124	155	185	216	247	277	308	338	4
5	005	036	064	095	125	156	186	217	248	278	309	339	5
6	006	037	065	096	126	157	187	218	249	279	310	340	6
7	007	038	066	097	127	158	188	219	250	280	311	341	7
8	008	039	067	098	128	159	189	220	251	281	312	342	8
9	009	040	068	099	129	160	190	221	252	282	313	343	9
10	010	041	069	100	130	161	191	222	253	283	314	344	10
11	011	042	070	101	131	162	192	223	254	284	315	345	11
12	012	043	071	102	132	163	193	224	255	285	316	346	12
13	013	044	072	103	133	164	194	225	256	286	317	347	13
14	014	045	073	104	134	165	195	226	257	287	318	348	14
15	015	046	074	105	135	166	196	227	258	288	319	349	15
16	016	047	075	106	136	167	197	228	259	289	320	350	16
17	017	048	076	107	137	168	198	229	260	290	321	351	17
18	018	049	077	108	138	169	199	230	261	291	322	352	18
19	019	050	078	109	139	170	200	231	262	292	323	353	19
20	020	051	079	110	140	171	201	232	263	293	324	354	20
21	021	052	080	111	141	172	202	233	264	294	325	355	21
22	022	053	081	112	142	173	203	234	265	295	326	356	22
23	023	054	082	113	143	174	204	235	266	296	327	357	23
24	024	055	083	114	144	175	205	236	267	297	328	358	24
25	025	056	084	115	145	176	206	237	268	298	329	359	25
26	026	057	085	116	146	177	207	238	269	299	330	360	26
27	027	058	086	117	147	178	208	239	270	300	331	361	27
28	028	059	087	118	148	179	209	240	271	301	332	362	28
29	029		088	119	149	180	210	241	272	302	333	363	29
30	030		089	120	150	181	211	242	273	303	334	364	30
31	031		090		151		212	243		304		365	31

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Updated on 6/29/2012

# JULIAN DATE CALENDAR

FOR LEAP YEARS ONLY

Day	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Day
1	001	032	061	092	122	153	183	214	245	275	306	336	1
2	002	033	062	093	123	154	184	215	246	276	307	337	2
3	003	034	063	094	124	155	185	216	247	277	308	338	3
4	004	035	064	095	125	156	186	217	248	278	309	339	4
5	005	036	065	096	126	157	187	218	249	279	310	340	5
6	006	037	066	097	127	158	188	219	250	280	311	341	6
7	007	038	067	098	128	159	189	220	251	281	312	342	7
8	008	039	068	099	129	160	190	221	252	282	313	343	8
9	009	040	069	100	130	161	191	222	253	283	314	344	9
10	010	041	070	101	131	162	192	223	254	284	315	345	10
11	011	042	071	102	132	163	193	224	255	285	316	346	11
12	012	043	072	103	133	164	194	225	256	286	317	347	12
13	013	044	073	104	134	165	195	226	257	287	318	348	13
14	014	045	074	105	135	166	196	227	258	288	319	349	14
15	015	046	075	106	136	167	197	228	259	289	320	350	15
16	016	047	076	107	137	168	198	229	260	290	321	351	16
17	017	048	077	108	138	169	199	230	261	291	322	352	17
18	018	049	078	109	139	170	200	231	262	292	323	353	18
19	019	050	079	110	140	171	201	232	263	293	324	354	19
20	020	051	080	111	141	172	202	233	264	294	325	355	20
21	021	052	081	112	142	173	203	234	265	295	326	356	21
22	022	053	082	113	143	174	204	235	266	296	327	357	22
23	023	054	083	114	144	175	205	236	267	297	328	358	23
24	024	055	084	115	145	176	206	237	268	298	329	359	24
25	025	056	085	116	146	177	207	238	269	299	330	360	25
26	026	057	086	117	147	178	208	239	270	300	331	361	26
27	027	058	087	118	148	179	209	240	271	301	332	362	27
28	028	059	088	119	149	180	210	241	272	302	333	363	28
29	029	060	089	120	150	181	211	242	273	303	334	364	29
30	030		090	121	151	182	212	243	274	304	335	365	30
31	031		091		152		213	244		305		366	31

USE IN 2004, 2008, 2012, 2016, 2020, 2024, ETC.

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## APPENDIX I: ALIEN NUMBER ASSIGNMENT

CLASSIFICATION	TYPE OF NUMBER ISSUED	STARTING NUMBER	ENDING NUMBER
ISSUED PRE-1960	PHYSICAL FILES	A 001-000-000	A 011-999-999
ADJUSTMENTS	PHYSICAL FILES	A 012-000-000	A 014-999-999
CREWMAN	PHYSICAL FILES	A 015-000-000	A 016-999-999
ADJUSTMENTS	PHYSICAL FILES	A 017-000-000	A 029-999-999
VISA (STATE DEPT)	PHYSICAL FILES	A 020-000-000	A 069-999-999
ADJUSTMENTS	PHYSICAL FILES	A 070-000-000	A 070-491-200
FAMILY FAIRNESS	PHYSICAL FILES	A 070-491-201	A 070-503-300
ADJUSTMENTS	PHYSICAL FILES	A 070-503-301	A 070-527-200
FAMILY FAIRNESS	PHYSICAL FILES	A 070-527-201	A 070-587-200
ADJUSTMENTS	PHYSICAL FILES	A 070-587-201	A 077-536-951
KOSOVO	PHYSICAL FILES	A 077-536-952	A 077-537-451
ADJUSTMENTS	PHYSICAL FILES	A 070-537-452	A 079-999-999
BORDER APPREHENSIONS	ELECTRONIC ONLY	A 080-000-000	A 089-999-999
ADJUSTMENTS	PHYSICAL FILES	A 086-000-000	A 089-999-999
LEGALIZATION	PHYSICAL FILES	A 090-000-000	A 093-999-999
TEMPORARY PROTECTIVE STATUS (TPS)	PHYSICAL FILES	A 094-000-000	A 094-250-500
TEMPORARY PROTECTIVE STATUS (TPS)	PHYSICAL FILES	A 094-328-751	A 094-334-250
HURRICANE MITCH	PHYSICAL FILES	A 094-250-501	A 094-228-750
HURRICANE MITCH	PHYSICAL FILES	A 094-334-251	A 094-364-250
TEMPORARY PROTECTIVE STATUS (TPS)	PHYSICAL FILES	A 094-364-251	A 094-399-500
KOSOVO	PHYSICAL FILES	A 094-399-501	A 094-404-750
TEMPORARY PROTECTIVE STATUS (TPS)	PHYSICAL FILES	A 094-404-751	A 094-500-000
KOSOVO	PHYSICAL FILES	A 094-502-001	A 094-527-000
TEMPORARY PROTECTIVE STATUS (TPS)	PHYSICAL FILES	A 094-780-000	A 093-999-999
RSC ORPHANS	PHYSICAL FILES	A 094-500-001	A 094-502-000
RSC ORPHANS	PHYSICAL FILES	A 094-527-001	A 094-528-000
REFUGEES	PHYSICAL FILES	A 094-528-001	A 094-629-000

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CLASSIFICATION	TYPE OF NUMBER (SBUK)	STARTING NUMBER	ENDING NUMBER
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REFUGEES	PHYSICAL FILES	A 094-538-001	A 094-749-999
ADJUSTMENTS	PHYSICAL FILES	A 095-100-000	A 096-749-999
LIFE ACT	PHYSICAL FILES	A 096-750-000	A 096-999-999
ADJUSTMENTS	PHYSICAL FILES	A 097-000-000	A 098-099-999
ADJUSTMENTS	PHYSICAL FILES	A 098-100-000	A 099-099-999
ADJUSTMENTS	PHYSICAL FILES	A 099-100-000	A 099-299-999
ADJUSTMENTS	PHYSICAL FILES	A 099-300-000	A 099-999-999
EMPLOYMENT AUTHORIZATION DOCUMENT (EAD)	ELECTRONIC ONLY	A 100-000-000	A 199-999-999
ADJUSTMENTS	PHYSICAL FILES	A 200-000-000	A 203-999-999
NOT ISSUED	NOT ISSUED	A 204-000-000	A 2049-999-999
ADJUSTMENTS	PHYSICAL FILES	A 205-000-000	A 205-999-999
NOT ISSUED	NOT ISSUED	A 206-000-000	A 209-000-000
ADJUSTMENTS	PHYSICAL FILES	A 210-000-000	A 211-999-999
REFUGEES	PHYSICAL FILES	A 212-000-000	A 212-999-999
ADJUSTMENTS	NOT ISSUED	A 212-400-000	A 299-999-999
NOT ISSUED	NOT ISSUED	A 300-000-000	A 300-299-999
ADJUSTMENT	PHYSICAL FILES	A 300-300-000	A 300-322-501
NOT ISSUED	NOT ISSUED	A 300-322-502	A 999-999-999

#### LEDGER:

**CREWMAN:** Fifteen and sixteen million series have been issued to Alien Crewman Landing Permit and Identification Cards groups. The blocks of numbers are assigned to officer issuing each card.

**ELECTRONIC ONLY:** No physical packets are created.

**PHYSICAL FILES:** A-Number with A-File Jackets.

**NOT ISSUED:** The numbers are not to be used by any Office or Program.

**VISA (STATE SEPT):** Do not electronically assign blocks of A-Numbers that they assign to Visa packets.

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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. If we have everything in rule 3, we do not send for requester documentation except in cases that do not meet Reasonable Description of Records Being Sought (section 7.3 of the guide). 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. If you do not immediately find a person, 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. If you do not find Juan Rodriguez Martinez, try reversing the last name to Juan Martinez Rodriguez. 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. If you do not immediately find a person, 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. 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

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G-28, or other documents in the request, such as an envelope. If you find no other 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. If there is no cover sheet, 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 do not mark it as expedited, or fee waiver request. If there was an expedited or fee waiver request that was approved or denied, change it back to "Not Requested" and save it before you send the case to Up-Front Approver.

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 at Appendix H of the guide. 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 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

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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 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: \_\_\_\_\_

## **APPENDIX K: RECORD OF REVISIONS**

**May 6, 2011**

*Paragraph 7.1, Consent of Parents or Guardians, of the FOIA/PA Assistant's Guide has been changed (changed portion is underlined):*

If a parent is filing on behalf of a minor child, then the parent must submit proof of parentage. Proof of parentage can be in the form of a birth certificate, adoption decree or similar document, naming them as a legal parent.

If a guardian is filing on behalf of a minor or person judicially determined to be incompetent, he or she must submit proof of guardianship. No consent is necessary from the minor child or the person judicially determined to be incompetent, however the parent/guardian must provide his or her own verification of identity that is notarized or signed under penalty of perjury [6 C.F.R. § 5.21(e)]. The case processor will have to request more information if he or she cannot determine parentage or guardianship within the file.

Minors may request their own files; they do not have to have the consent of their parents or guardians to do so. Attorneys may represent minors also.

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*Paragraph 12.7.11 T-files of the FOIA/PA Assistant's Guide has been changed (changed portion is underlined):*

**The exception to this rule** – We do not receive A-files from ESC, SSC, NSC, WSC or RDF for scanning. Those offices either scan directly into FIPS for us or we export the A-file from EDMS. Therefore, if the A-file is at one of the above service centers and there is a T-file anywhere else, including at the NRC, you will have to staff for the T-file. MSC is the only service center that sends the A-file to the NRC for scanning. Another example of when we staff for an in-house T-file is when the responsive records are scanned in simultaneously with the request.

---

*Paragraph 12.7.3 Files Lost or Not Found MORE THAN NINE MONTHS of the FOIA/PA Assistant's Guide has been changed (changed portion is underlined):*

12.7.3.9 **If the A-file is lost but other records exist** (such as receipt files we would normally request or other a-files, including T-Files, wherever they may be, including NRC) Request the additional records. Put in a Discussion that reads:

A-file number XXXXXXXXXX is currently showing as lost. Staffed for the following additional files: XXXXXXXX, XXXXXXXX, XXXXXXXX. Once they are received, please review. Please also verify that the original a-file is still lost. If the original a-file has been consolidated in fact but not in the systems, please process and send your case to approver. Also send an e-mail to the MSB for resolution. Include both A-Numbers. If no documents exist from the original a-file, please process what is available. Advise the requester that the original a-file is lost. Your case will close as a PD even if no redactions are made. Thank you.

---

**APPENDIX H: CASE CREATE FLOW CHARTS** has been added to the FOIA/PA Assistant's Guide.

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**APPENDIX I: ALIEN NUMBER ASSIGNMENT** has been added to the FOIA/PA Assistant's Guide.

**May 13, 2011**

Paragraph 12.7.6 of the **FOIA/PA Assistant's Guide** has been changed as follows (added ~~portion underlined~~ ~~deleted portion stricken through~~):

When conducting "no record" research, do the query and provide screen prints of all searches as directed. ~~Open a RAFACS (not RAFACS/CIS) staffing slot only. Click on "Customize Letter."~~ Print the appropriate CLAIMS screen prints (this should be no less than six pages and may be lengthier if subject has provided multiple names or multiple alias names). Prepare a "Scan As" sheet to be scanned as case supporting documents responsive records for the case number you have just created, attach it to the screen prints and take those to the OA room for scanning as CSD person designated to scan RAFACS-only responsive records. ~~Pend the case~~ prepare a Final Action Letter with closing code

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NR. Insert a Discussion outlining the systems you searched and stating that you have sent the documentation to OA for scanning as CSD. Send to Up-front Approver.

---

Paragraph 12.7.12 of the **FOIA/PA Assistant's Guide** has been changed as follows (added portion underlined ~~deleted portion stricken through~~):

#### 12.7.12 Receipt files

(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. If the requester specifies a receipt file, search NFTS and staff for that receipt file OR if the receipt has been consolidated into an alien file, staff for that alien file.

**12.7.12.3** If the requester does not provide any receipt number or alien number, then you must research CIS, CLAIMS and possibly PCQS.

Be cautious about requesting receipt files that are for EAD cards only. There should be another application/petition filed in conjunction with this EAD card. If the only receipt numbers you can find is for an EAD card, and they are within the seven-year retention time, then yes, you will request the EAD card.

If they provide a receipt number, you must research CLAIMS, PCQS and NFTS thoroughly. Ensure the receipt file has not been consolidated into a T-file or into an A-file. Please request the A-file or T-file if the receipt file has been consolidated. Check CLAIMS to be sure that the Service did not reject the receipt. Receipts that are shown as rejected in CLAIMS are returned to the submitter by the Service Center. Print the CLAIMS screen(s) that shows the receipt was rejected by the service. Create a File Request to RAFACS (not RAFACS/CIS). Leave the "Customize Letter" button selected. Attach a "Scan As" cover sheet to the screen prints, mark the box "Responsive Records" and take to person designated to scan RAFACS-only responsive records. Pend the case.

If there is no location information in NFTS, and if NVC does not have the receipt, but there is a record in PCQS, print any PCQS screen(s) concerning the petition. Create a File Request to RAFACS (not RAFACS/CIS). Leave the "Customize Letter" button selected. Attach a "Scan As" cover sheet to the screen

prints, mark the box "Responsive Records" and take to person designated to scan RAFACS-only responsive records. Pend the case.

~~12.7.12.4 If there is no information about the receipt file in NFTS, regardless of the prefix of the receipt number, you should staff to the owner of the receipt file and paste in the CLAIMS screen. This information can be located on the CLAIMS inquiry screen upper right hand corner. The CLAIMS screen will show "owned by."~~

New paragraph:

12.7.12.4 As a matter of last resort, if there is neither information about the receipt file in NFTS nor PCQS and you have called National Visa Center and determined NVC does not have the receipt, you should staff to the owner of the receipt file and paste in the CLAIMS screen. This information can be located on the CLAIMS inquiry screen upper right hand corner. The CLAIMS screen will show "owned by."

## **May 27, 2011**

Paragraph 6.3.4.6 of the FOIA/PA Assistant's Guide will be changed as follows: (changed portion in red)

As it used to read:

The case is not Genealogy unless it meets one of the above criteria. If the case you are creating does meet the criteria for Genealogy, create it as **OTHER** then do the following:

- a. Close the request as an ER and send to Up Front Approver
- b. Send an e-mail to the OA room and include the following information:
  - 1) REQ#
  - 2) NRC#
  - 3) Scanner's initials
  - 4) Date scanned

The OA room will pull the original request, include it in the current days count and follow return procedures.

### **Updated Paragraph:**

The case is not Genealogy unless it meets one of the above criteria. If the case you are creating does meet the criteria for Genealogy, create it as **OTHER** then do the following:

- a. Create the and control the case.
- b. Do not staff for any records and do not prepare an acknowledgment letter.
- c. Send the case to Unit Chief with a discussion explaining it is a possible Genealogy

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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 Receipt Numbers of the FOIA/PA Assistant's Guide has been changed as follows:

As it used to read:

Do not request receipt files from any offices other than one of the five Service Centers (ESC/EAC, SSC/SRC, WSC/WAC, MSC/NBC or NSC/LIN). For receipt files at HBG, use the NON-FOIA MSC/NBC file request. **Do not request DIG T-files at HBG with RPC codes XX or ZG.** Refer to the Staffing Sheet Guide for the most current information.

**Updated Paragraph:**

Do not request receipt files from any offices other than one of the five Service Centers (ESC/EAC, SSC/SRC, WSC/WAC, MSC/NBC or NSC/LIN). For receipt files at HBG, use the NON-FOIA HBG file request. **Do not request DIG T-files at HBG with RPC codes XX, XY, ZG, ZY, or ZZ.** Refer to the Staffing Sheet Guide for the most current information.

## **June 10, 2011**

The wording of paragraph 28 of the **FOIA/PA Assistant's Guide** has been changed as follows:

**Current language:**

### **28. CONGRESSIONAL REQUESTS AND APPEALS**

All Congressional Requests and Appeals are pulled out of the in-coming mail and handled by a supervisor. If you encounter a Congressional Request or an Appeal in Records Locator queue that was not previously addressed; send an e-mail to NRC, FOIAMS mailbox, include the control number and alien number of the case and specific instructions as to what needs to be done. Put the case in Unit Chief. FOIA/PA Assistants assigned to mail will place the mail in the MSB or Appeals bin.

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Updated on 6/29/2012



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 requester, 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 Ohnell the control number.

## July 8, 2011

A new flow chart for Lost File procedure has been added to **APPENDIX H:**  
**CASE CREATE FLOW CHARTS** in the FOIA/PA Assistant's Guide.

Additionally, in paragraphs

12.7.2 Files Lost or Not Found LESS THAN NINE MONTHS  
and

12.7.3 Files Lost or Not Found MORE THAN NINE MONTHS  
the following new sentence has been added:

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

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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.

If the date of the request is either the same as your request or within a very few days and:

A. The requester is the same, and

B. The information being requested is the same in both requests,

Do not close this case as a duplicate. ~~Instead, close this case as ER (created in error)~~ Do not click "Create Case." Click "Send to Research."

## **August 30, 2011**

We have added a new paragraph 8.23 to the FOIA/PA Assistant's Guide, as follows:

### **8.23 SITUATION: Requests from Prospective Adoptive Parents**

In the recent past, Vietnam, Cambodia, Guatemala, Nepal, Ethiopia and other countries have had problems concerning adoptions. Birth Certificates have been forged and babies have been taken without consent of the biological parent. In Vietnam, "baby brokers" scour villages looking for unwed, impoverished mothers. They purchase the babies for about \$50 and sell them to commercial adoption services. In Guatemala and elsewhere, people steal babies and sell them to middlemen. Prospective adoptive parents from Spain, Italy and the United States are typically willing to pay as much as \$25,000 to adopt a child. (This information comes from kidsofkathmandu.org).

Normally if we cannot verify consent or prove parentage in a case, we send out for more information. Please do not send out for additional information in pending (not finalized) adoption cases for the following reasons:

1. The Prospective Adoptive Parents (PAP) have the right to all information they submitted for the adoption. It is likely that the adoption never happened. If that is the case, they have no proof of parentage or guardianship.
2. The child is usually too young to give consent.
3. Congress has substantial interest in this matter.

If you decide you need proof of parentage after a full search, please send your case to Admin for supervisor review.

## **September 16, 2011**

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

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Updated on 6/29/2012

- \* 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.

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.

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.

Paragraph 6.4, **SEARCH FOR DUPLICATE CASES** 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.

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.

## **FOREWORD**

The FOIA/PA Assistant's Guide has been prepared as a ready reference to assist with day-to-day tasks, such as creating Freedom of Information Act and Privacy Act requests, handling mail, working records locator, and general troubleshooting.

Any previous material distributed in *FOIA Information Bulletins* has been incorporated into this Guide.

For the purposes of this Guide, we may refer to a FOIA/PA Assistant as “you,” or “Assistant,” and in some cases “team member.”

The Guide has been saved in PDF format. The PDF format makes searching for information in the Guide easier. **Please view the guide in PDF/A mode while you have FIPS 7 open.** A potential Java scripting conflict exists if you have the document open in PDF mode while running FIPS 7. Viewing the Guide in PDF/A mode disables Java scripting within the Guide – which means hyperlinks within the Guide will not work, but FIPS 7 will not freeze or crash. You may alternate between PDF and PDF/A mode in Acrobat Reader by selecting Edit ⇨ Preferences ⇨ Documents ⇨ PDF/A View Mode. Select “Never” to turn PDF/A mode off, and select “Only for PDF/A documents” to turn PDF/A mode on.

**How does the rulemaking process for this Guide work?** 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.

## 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.

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***Paragraph 12.7.11 T-files of the FOIA/PA Assistant's Guide has been changed (changed portion is underlined):***

**The exception to this rule** – We do not receive A-files from ESC, SSC, NSC, WSC or RDF for scanning. Those offices either scan directly into FIPS for us or we export the A-file from EDMS. Therefore, if the A-file is at one of the above service centers and there is a T-file anywhere else, including at the NRC, you will have to staff for the T-file. MSC is the only service center that sends the A-file to the NRC for scanning. Another example of when we staff for an in-house T-file is when the responsive records are scanned in simultaneously with the request.

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***Paragraph 12.7.3 Files Lost or Not Found MORE THAN NINE MONTHS of the FOIA/PA Assistant's Guide has been changed (changed portion is underlined):***

12.7.3.9 **If the A-file is lost but other records exist** (such as receipt files we would normally request or other a-files, including T-Files, wherever they may be, including NRC) Request the additional records. Put in a Discussion that reads:

A-file number XXXXXXXXXX is currently showing as lost. Staffed for the following additional files: XXXXXXXX, XXXXXXXX, XXXXXXXX. Once they are received, please review. Please also verify that the original a-file is still lost. If the original a-file has been consolidated in fact but not in the systems, please process and send your case to approver. Also send an e-mail to the MSB for resolution. Include both a-numbers. If no documents exist from the original a-file, please process what is available. Advise the requester that the original a-file is lost. Your case will close as a PD even if no redactions are made. Thank you.

---

**APPENDIX H: CASE CREATE FLOW CHARTS** has been added to the FOIA/PA Assistant's Guide.

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**APPENDIX I: ALIEN NUMBER ASSIGNMENT** has been added to the FOIA/PA Assistant's Guide.

**May 13, 2011**

Paragraph 12.7.6 of the **FOIA/PA Assistant's Guide** has been changed as follows (added portion underlined ~~deleted portion stricken through~~):

When conducting "no record" research, do the query and provide screen prints of all searches as directed. ~~Open a RAFACS (not RAFACS/CIS) staffing slot only. Click on "Customize Letter."~~ Print the appropriate CLAIMS screen prints (this should be no less than six pages and may be lengthier if subject has provided multiple names or multiple alias names). Prepare a "Scan As" sheet to be scanned as case supporting documents responsive records for the case number you have just created, attach it to the screen prints and take those to the OA room for scanning as CSD ~~person designated to scan RAFACS-only responsive records.~~ Pend the case prepare a Final Action Letter with closing code



NR. Insert a Discussion outlining the systems you searched and stating that you have sent the documentation to OA for scanning as CSD. Send to Up-front Approver.

---

Paragraph 12.7.12 of the **FOIA/PA Assistant's Guide** has been changed as follows (added portion underlined ~~deleted portion stricken through~~):

#### 12.7.12 Receipt files

**12.7.12.1** Do not request receipt files from any offices other than one of the five Service Centers (ESC/EAC, SSC/SRC, WSC/WAC, MSC/NBC or NSC/LIN). For example, [REDACTED] etc., are not receipt files we can request.

(b)(6)

**12.7.12.2** If the requester does not specifically ask for a receipt file and provides an alien number, request the alien file only. If the requester specifies a receipt file, search NFTS and staff for that receipt file OR if the receipt has been consolidated into an alien file, staff for that alien file.

**12.7.12.3** If the requester does not provide any receipt number or alien number, then you must research CIS, CLAIMS and possibly PCQS.

Be cautious about requesting receipt files that are for EAD cards only. There should be another application/petition filed in conjunction with this EAD card. If the only receipt numbers you can find is for an EAD card, and they are within the seven-year retention time, then yes, you will request the EAD card.

If they provide a receipt number, you must research CLAIMS, PCQS and NFTS thoroughly. Ensure the receipt file has not been consolidated into a T-file or into an A-file. Please request the A-file or T-file if the receipt file has been consolidated. Check CLAIMS to be sure that the Service did not reject the receipt. Receipts that are shown as rejected in CLAIMS are returned to the submitter by the Service Center. Print the CLAIMS screen(s) that shows the receipt was rejected by the service. Create a File Request to RAFACS (not RAFACS/CIS). Leave the "Customize Letter" button selected. Attach a "Scan As" cover sheet to the screen prints, mark the box "Responsive Records" and take to person designated to scan RAFACS-only responsive records. Pend the case.

If there is no location information in NFTS, and if NVC does not have the receipt, but there is a record in PCQS, print any PCQS screen(s) concerning the petition. Create a File Request to RAFACS (not RAFACS/CIS). Leave the "Customize Letter" button selected. Attach a "Scan As" cover sheet to the screen prints, mark

the box "Responsive Records" and take to person designated to scan RAFACS-only responsive records. Pend the case.

~~12.7.12.4 If there is no information about the receipt file in NFTS, regardless of the prefix of the receipt number, you should staff to the owner of the receipt file and paste in the CLAIMS screen. This information can be located on the CLAIMS inquiry screen upper right hand corner. The CLAIMS screen will show "owned by."~~

New paragraph:

12.7.12.4 As a matter of last resort, if there is neither information about the receipt file in NFTS nor PCQS and you have called National Visa Center and determined NVC does not have the receipt, you should staff to the owner of the receipt file and paste in the CLAIMS screen. This information can be located on the CLAIMS inquiry screen upper right hand corner. The CLAIMS screen will show "owned by."

## **May 27, 2011**

Paragraph 6.3.4.6 of the FOIA/PA Assistant's Guide will be changed as follows: (changed portion in red)

As it used to read:

The case is not Genealogy unless it meets one of the above criteria. If the case you are creating does meet the criteria for Genealogy, create it as **OTHER** then do the following:

- a. Close the request as an ER and send to Up Front Approver
- b. Send an e-mail to the OA room and include the following information:
  - 1) REQ#
  - 2) NRC#
  - 3) Scanner's initials
  - 4) Date scanned

The OA room will pull the original request, include it in the current days count and follow return procedures.

### **Updated Paragraph:**

The case is not Genealogy unless it meets one of the above criteria. If the case you are creating does meet the criteria for Genealogy, create it as **OTHER** then do the following:

- a. Create the and control the case.
- b. Do not staff for any records and do not prepare an acknowledgment letter.
- c. Send the case to Unit Chief with a discussion explaining it is a possible Genealogy

- d. Send an email to the designated person who handles genealogy cases (currently Donna Brasfield) with the control number.

The designated person will review the request to determine if it is, in fact, a genealogy.

If it does not meet the criteria for genealogy it will be returned to you in Case Create to send an acknowledgment letter and staff for records.

If it does meet the criteria, the designated person will create a letter referring the requester to the Genealogy program and will close the case as ER.

---

Paragraph 12.5 Receipt Numbers of the FOIA/PA Assistant's Guide has been changed as follows:

As it used to read:

Do not request receipt files from any offices other than one of the five Service Centers (ESC/EAC, SSC/SRC, WSC/WAC, MSC/NBC or NSC/LIN). For receipt files at HBG, use the NON-FOIA MSC/NBC file request. **Do not request DIG T-files at HBG with RPC codes XX or ZG.** Refer to the Staffing Sheet Guide for the most current information.

**Updated Paragraph:**

Do not request receipt files from any offices other than one of the five Service Centers (ESC/EAC, SSC/SRC, WSC/WAC, MSC/NBC or NSC/LIN). For receipt files at HBG, use the NON-FOIA HBG file request. **Do not request DIG T-files at HBG with RPC codes XX, XY, ZG, ZY, or ZZ.** Refer to the Staffing Sheet Guide for the most current information.

**June 10, 2011**

The wording of paragraph 28 of the **FOIA/PA Assistant's Guide** has been changed as follows:

**Current language:**

**28. CONGRESSIONAL REQUESTS AND APPEALS**

All Congressional Requests and Appeals are pulled out of the in-coming mail and handled by a supervisor. If you encounter a Congressional Request or an Appeal in Records Locator queue that was not previously addressed; send an e-mail to NRC, FOIAMSMB mailbox, include the control number and alien number of the case and specific instructions as to what needs to be done. Put the case in Unit Chief. FOIA/PA Assistants assigned to mail will place the mail in the MSB or Appeals bin.

**Here is the new paragraph:**

## **28. CONGRESSIONAL REQUESTS AND APPEALS**

a. Congressional requests. True congressional requests are requests from a congressman or senator for information which usually does not relate to an alien file or receipt file. Most FOIA/PA requests with congressional correspondence should be handled under paragraph b. of this section, however, if you feel that you have a true congressional request or appeal, control the case, put the case in Unit Chief, and e-mail your supervisor the control number. A supervisor will either send the case to SIG or return the case to you for staffing.

b. Congressional requests on behalf of a constituent. These are requests that have some kind of congressional correspondence included with the request from the subject. These cases should be created in the same manner as any other FOIA or PA request. Please use the subject's name as the requestor, mark "self" in the source block, create the acknowledgment letter and go out for verification of identity or consent as needed. Insert a case note, and e-mail Vicki Ohrnell the control number.

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## **1. THE FREEDOM OF INFORMATION ACT**

Congress passed the Freedom of Information Act (FOIA) in 1966 to establish the public's right to access records created or maintained by federal executive branch agencies. The statute became effective on July 4, 1967. The statute relating to the Freedom of Information Act is 5 U.S.C. § 552.

## **2. THE PRIVACY ACT**

The Privacy Act of 1974 regulates the collection, maintenance, use, and dissemination of personal information by the federal government. The statute relating to the Privacy Act is 5 U.S.C. § 552a. The statute became effective September 27, 1975.

## **3. WHAT ARE FOIA REQUESTS AND HOW DO WE GET THEM?**

A Freedom of Information Act (FOIA) request is a request in writing for a copy of any record maintained by any agency of the executive branch of the government. Persons must reasonably describe the records sought, and those records must already exist. Requests can come in a variety of ways. They can come in on the Form G-639 or as a letter from an attorney or representative. They can come in the form of a letter from the alien himself. The requester may mail, fax, hand deliver, or e-mail a request. No matter how we receive them or what the format is, as long as they are in written form and provide enough information to ascertain that they want documents from us, we treat them as FOIA requests. A Privacy Act (PA) request is a request by a person for a copy of his or her file.

For case creating purposes, the difference between a FOIA and PA request does not matter. You will create all cases as FOIA requests, although some of the requests we receive are PA requests. The case processor determines whether the case falls under the Freedom of Information Act or the Privacy Act.

## 4. WHO CAN MAKE A FOIA REQUEST?

Anyone can request any record kept by the executive branch of government. The tricky part is determining if we have enough information and consent to provide the record and who is entitled to what. The most common types of requesters are:

- First party requesters, that is, the alien himself or his designee, attorney or representative, are entitled to a complete copy of the alien file, after any applicable exemptions are applied. However, a parent or guardian may make a request for a minor's record. Please refer to the section titled **"CONSENT RELATING TO RECORDS CONCERNING A MINOR OR PERSON JUDICIALLY DETERMINED TO BE INCOMPETENT"** in this guide.
- Third party requesters, that is, an individual seeking a copy of an alien's file without the subject of record's consent, are entitled only to documents of a public nature or documents they provided in support of an application/petition. Please refer to the section titled **"THIRD PARTY REQUESTS"** in this guide.
- Media requesters are typically accredited members of the media.
- Bond obligors, companies who posted immigration bonds for the aliens, are entitled to a copy of the file under a court case entitled *Amwest v. Reno*. Please refer to the section titled **"IMMIGRATION BOND OBLIGORS"** in this guide.
- Other state and local government agencies are entitled to documents from alien files for law enforcement purposes. Requests for information originating with any other federal agency are operational matters and not FOIA or Privacy Act requests. Please refer to the section titled **"ROUTINE USE"** in this guide.

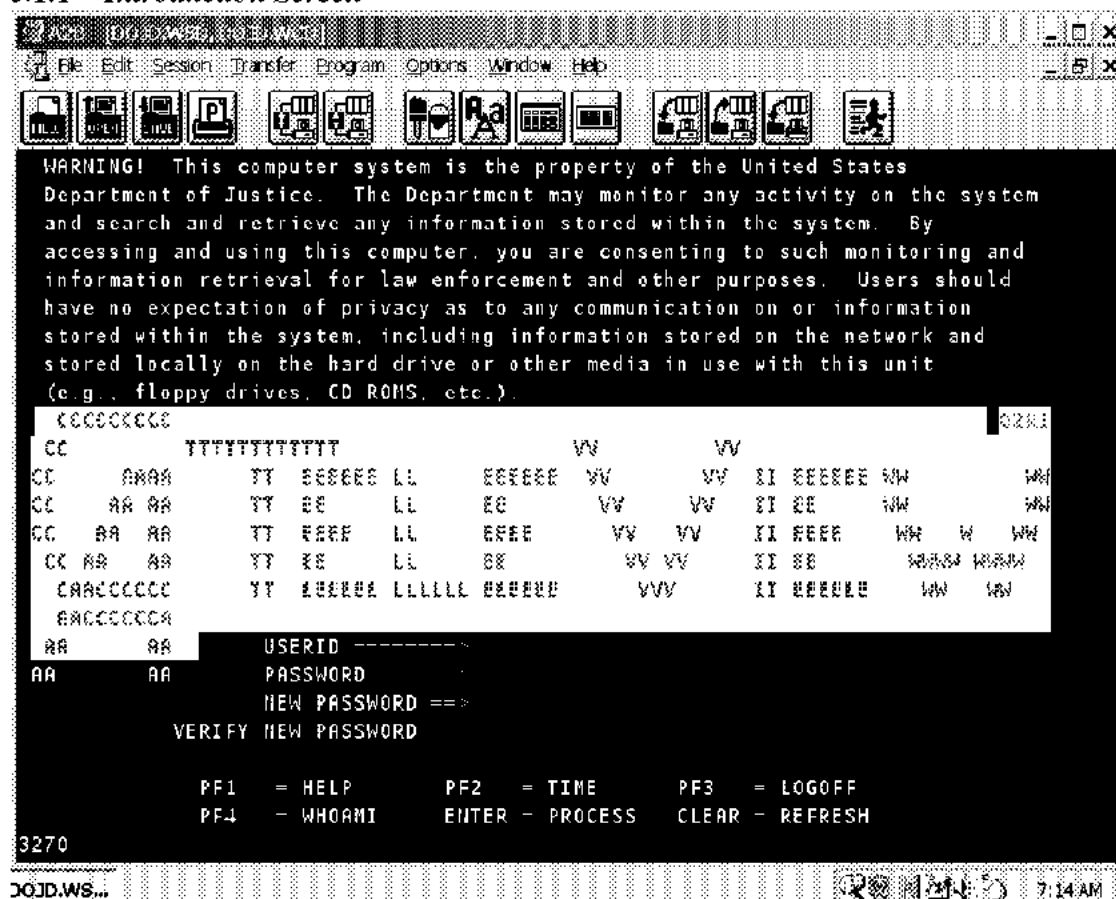
## 5. SYSTEMS USED AND DESCRIPTION OF THE SYSTEMS

The paragraphs below provide a description of some of the systems used by USCIS, ICE and CBP. Most A-files contain screen prints from one or more of these systems.

### 5.1 Central Index System

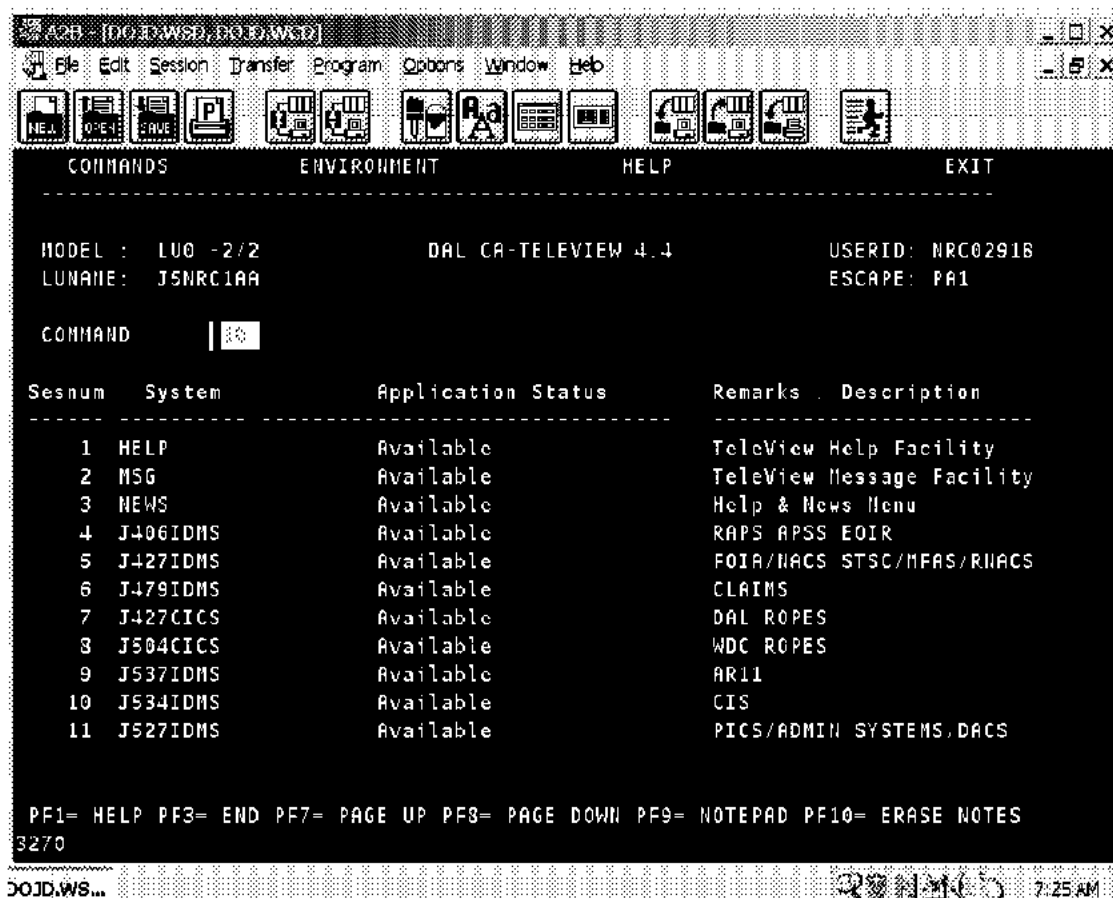
(CIS) is a database used to maintain records, search for records, and display data. CIS is a menu driven system as opposed to a point-and-click graphical user interface system. CIS provides information about persons and information about file location and movement. The CIS user navigates among various screens, depending on the type of information he or she needs. A user may search for a person in CIS by using the a-number, social security number, FBI number or a passport number. CIS provides the option of searching for people using "sounds-like" and exact name searches.

#### 5.1.1 Introduction Screen



This screen is the introduction to TeleView. From this screen use the designated UserID (last 4 digits of Social Security Number plus an alpha) and Password to sign onto the database.

## 5.1.2 TeleView Main Menu



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

### 5.1.3 CIS Login Screen



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

### 5.1.4 CIS Main Menu



This screen displays a variety of ways to search for information. The transaction numbers that we use within FOIA are 91, 92, and 95. By typing the number 91 next to select transaction number and pressing enter, another search screen will appear. The main purpose of the “91” transaction number is to search the database for specific information concerning an individual. Transaction number “92” is used to display card information. The transaction number “95” is used mainly to see the location of the A-file.



### 5.1.4.1 Search Menu Screen

CINSEA IMMIGRATION AND NATURALIZATION SERVICE 10/18/05  
COMMAND: CENTRAL INDEX SYSTEM - SEARCH MENU 10:02:06

A#: 00000000 NAME: DOB: 00000000

(01) ID #: (A-AA AB-C/DA/DL/FB-FP/I-PP/SS-TD) OTHER MENU SELECTIONS  
(02) SOUNDS LIKE NAME (92) DATA DISPLAY MENU  
(03) EXACT NAME (93) ADD TRANSACTIONS MENU  
(04) AKA (ALIAS) NAME (94) RECORD MAINTENANCE MENU  
(05) LAPS EXACT NAME (95) FILE TRANSFER SUBSYSTEM MENU  
(06) SOUNDS-LIKE NAME WITH DOB

(11) MANUAL SEARCH REQUEST (MR)  
(12) MANUAL SEARCH RESPONSE (SR)  
(15) ON LINE A NUMBER REPORT REQUEST

--- SELECT TRANSACTION NUMBER. PRESS ENTER. FOR ID # SEARCH, KEY THE  
PREFIX AND THE ID # (EG. A123456789).

CLEAR EXIT PF5 HELP PF6 CIS MAIN MENU

3270

Keyboard Input Form CISResourceGuide 9:02 AM

From this search screen a decision is made as to how to begin a search for an individual's records. The most commonly used methods to search for an individual's record are:

#### Code Search By Category

- 01 ID # (A-number, certificate number, social security number, passport number ect.)
- 02 Sounds-Like Name Search
- 03 Exact Name Search
- 04 Alias (AKA) Name Search
- 06 Sounds-Like Name Search with DOB

Type in the two-digit code (01) and press enter. The screen displayed will be the screen where the search for records begins. **\*Note:** Remember to read the screen in its entirety for additional information.

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

```
CINIDM - [DOE:WSD:DOJ:WGD]
File Edit Session Transfer Program Options Window Help
NEW OPEN SAVE PL Find
CINIDM IMMIGRATION AND NATURALIZATION SERVICE 10/18/05
COMMAND: [A#] CENTRAL INDEX SYSTEM - ID # SEARCH/DISPLAY 10:02:55

ID # (A/AA/AB/C DA): A#: DOB:
(DL/FB/FP/I PP SS/TD)
LAST:
FIRST: NATZ DATE:
MIDDLE: COURT:
ALIASES: LOCATION:

SEX: POE: COB: DOE:
FCO: COA: COC: FATHER:
PFCO: SFCO: DFO: BIN: MOTHER:

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

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

3270
Keyboard Input Form CISResourceGuide... 9:03 AM
```

In the ID# field enter the appropriate prefix with information (A = a-number, SS = social security number, PP = passport number, C = naturalization certificate number and I = I-94 number). If there is information in the system on the subject it will populate in the fields below the ID#. Pay special attention to the legend at the bottom of the screen specifically PF8, PF11, and any information listed under (other information). By pressing PF8 the history menu is displayed. This screen holds chronological information about actions that have been taken or changes in the subject's immigration status. The PF11 screen shows EOIR (Executive Office of Immigration Review) information. The significance of this screen is it holds information about ongoing or closed deportation proceedings. In the section of the screen listed (other information) different acronyms may appear such as: CARD, EADS, RAPS and DACS. For additional information on DACS please see Chapter 3.

### 5.1.5 Sounds-Like Name Search (9102)

A2D [DOD-WEB, LDP-WEB]

File Edit Session Transfer Program Options Window Help

NEW OPEN SAVE PRINT FIND

CISND IMMIGRATION AND NATURALIZATION SERVICE 10/18/05  
 COMMAND: 9102 CENTRAL INDEX SYSTEM - "SOUNDS LIKE" SEARCH 10:09:04

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

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

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

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

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

3270

toolbar InputForm CISResourceGuide 9:09 AM

Use the 9102 screen when there could be variations in the spelling of a name. There are times when the person who created the record in CIS misspelled the name. There could be many spelling variations in a name transcribed from a non-Roman alphabet. The \* indicates the minimum amount of information required to search. The search results may be voluminous.

```

A2B [D:\A2B\O.D\A2B.C]
File Edit Session Transfer Program Options Window Help
[Icons]
CINEXA IMMIGRATION AND NATURALIZATION SERVICE 12/15/05
COMMAND: 0103 CENTRAL INDEX SYSTEM - EXACT NAME SEARCH 08:14:21

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

MIDDLE NAME: (25 CHARS MAX)

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

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

* LAST NAME AND FIRST NAME ARE REQUIRED FIELDS. OTHERS ARE OPTIONAL.
SPECIFY THE SEARCH CRITERIA, THEN PRESS ENTER TO INITIATE THE SEARCH.
CLEAR EXIT PF3 REFRESH
PF4 MENU PF5 HELP PF6 MAIN MENU PF9 SOUNDS-LIKE SEARCH

```

23

Updated on 6/15/2011

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

A2B [DO.D.WSD.DODAWCD]

File Edit Session Transfer Program Options Window Help

CINALI IMMIGRATION AND NATURALIZATION SERVICE 01/30/06  
COMMAND: 9104 CENTRAL INDEX SYSTEM ALIAS (AKA) NAME SEARCH 12:56:45

AKA/NEE LAST NAME: (40-CHARS MAX)  
AKA/NEE FIRST NAME: (25-CHARS MAX)

LAST NAME MATCH: (NUMBER OF EXACT CHARACTERS TO MATCH (0-9))  
FIRST NAME MATCH: (NUMBER OF EXACT CHARACTERS TO MATCH (0-9))

EXACT DOB: (MMDDYYYY)  
DOB RANGE: (DATE RANGE = YYYYR; YYYY=YEAR, R=0-9)  
COB: (5 CHARACTER COUNTRY CODE)  
COC: (5-CHARACTER COUNTRY CODE)  
POE: (3 CHARACTER PORT OF ENTRY CODE)  
DOE: (MMDDYYYY)  
COA: (3-CHARACTER CLASS OF ADMISSION CODE)  
FCO: (3 CHARACTER FILES CONTROL OFFICE CODE)  
SEX: (M/F)

YOU MAY REQUEST A SEARCH ON FIRST-NAME-ONLY ALIASES, ON LAST-NAME-ONLY ALIASES,  
AND ON ALIASES CONTAINING BOTH FIRST AND LAST NAMES. OTHER FIELDS ARE OPTIONAL.  
SPECIFY THE SEARCH CRITERIA, THEN PRESS ENTER TO BEGIN THE ALIAS NAME SEARCH.

CLEAR EXIT PF3 REFRESH PF4 MENU PF5 HELP PF6 MAIN MENU

3270 RUN OVER

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

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

```

DHS DRAWSD DRAWSD
File Edit Session Transfer Program Options Window Help
[Icons]
CINDSND IMMIGRATION AND NATURALIZATION SERVICE 08 03/06
COMMAND: 9106 CENTRAL INDEX SYSTEM "SOUNDS LIKE" NAME 09:25:07
WITH DATE OF BIRTH (DOB) SEARCH

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

EXACT DOB: (MMDDYYYY; YYYY YEAR; MM MONTH; DD DAY)
DOB YEAR RANGE: (YYYYR; R-0-9)
DOB MONTH RANGE: (YYYYMMRR; RR 0 12)
DOB DAY RANGE: (YYYYMMDDRR; RR 0 31)

LAST NAME MATCH: (NUMBER OF EXACT CHARACTERS TO MATCH (0 9))
FIRST NAME MATCH: (NUMBER OF EXACT CHARACTERS TO MATCH (0 9))

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

* LAST NAME, FIRST NAME AND ONE OF THE DOBS ARE REQUIRED. REMAINING FIELDS ARE
OPTIONAL. SPECIFY SEARCH CRITERIA. THEN PRESS ENTER TO INITIATE THE SEARCH.
CLEAR EXIT PF3 REFRESH PF4 MENU PF5 HELP PF6 MAIN MENU

3270 NUM OVR
```

The 9106 screen allows searches for information pertaining to the subject of the request even if the spelling of the name is incorrect. For example, the requestor made a typographical error in the spelling of the name the search results will yield a list of similar names matching the subjects.

### 5.1.9 Card Search (9222)

```

A2B [DHSD3.WSD, DHSD3.WCD]
File Edit Session Transfer Program Options Window Help
[Icons]
CINCARD IMMIGRATION AND NATURALIZATION SERVICE 08/01/06
COMMAND: 9222 CENTRAL INDEX SYSTEM - ARR/BC CARD DISPLAY (CARD) 08:22:32

A#: 0 NAME: TAYLOR, FRANCIS DOB: 0809

LEGAL PERMANENT RESIDENT

CARD NAME: TAYLOR, FRANCIS E. BIRTHDATE:
INS A# 0 CARD# SRCO
CATEGORY: PERMANENT RESIDENT SINCE: 12/12/2005
SEX: CARD EXPIRES: 02/22/2016
COB:

C1 USA SRCO
TAYLOR<FRANCIS<EDWIN<<<<<<<

MOTHER'S NAME: EDWINA FATHER'S NAME: ZACHIOUS
CARD PORT OF ENTRY: BAL

CLEAR EXIT PF4 DISPLAY MENU PF5 HELP PF6 MAIN MENU PF7 CARD HISTORY
3270
NUM OVR

```

The 9222 screen is a snapshot of an actual Legal Permanent Resident (LPR) Card. In addition, this is the same screen to find Border Crossing Card information.

### 5.1.10 File Transfer Display (9504)

AMB (DISD) AND DISD (AWCD)

File Edit Session Transfer Program Options Window Help

CIMFTD IMMIGRATION AND NATURALIZATION SERVICE 08/01/06  
COMMAND: 9504 CIS FILE TRANSFER DISPLAY (FTD) 11:33:03

A#: [redacted] NAME: TAYLOR, FRANCIS DOB: [redacted]

PREVIOUS FCO: BAL FCO CREATING SUB-FILE: [redacted]  
CURRENT FCO: NRC SUB-FILE CREATION IND: [redacted]  
REQUEST FCO: NRC

FILE LOCATED IND: C (FILE TRANSFER COMPLETE)

DATE FTR: 01242006 (MMDDYYYY) ACCESSION NUMBER: 0000  
DATE FTI: 01242006 INS BOX NUMBER: [redacted]  
DATE FTC: 02022006

PERSON ACTION: REQUEST NUMBER: [redacted]  
2ND REQUEST DATE: [redacted]  
3RD REQUEST DATE: [redacted]

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

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

3270 NUM OVR

The main purpose of the 9504 screen is to check the location and movement of files. This screen's primary use as it relates to FOIA is that it will be used in conjunction with NFTS in the case create function. The following is a list of acronyms displayed on this screen.

FTR: File Transfer Request  
FTI: File Transfer Initiated  
FTC: File Transfer Complete



### 5.1.11 Tables



The **Tables** section contains a wealth of informational codes that can be of assistance in making a decision about the subject of the request, such as **Class of Admission**. To get to this screen select the “keyboard” from the toolbar at the top of the screen and click the clear button on the keyboard. Once this is done type in the word **tables**. The next screen displayed will be the **Tables Menu Screen**.

### 5.1.12 Tables Menu



Placing the cursor in the **Table ID** field and pressing the function key PF7 a list of tables is displayed.

### 5.1.13 Tables Information Screen

```

A2B [DBSD3.WSD DBSD3.WCD]
File Edit Session Transfer Program Options Window Help
[Icons]
TBXTBINF      INS STANDARD TABLES DATABASE FACILITY      PAGE 09:15:06
                  TABLE INFORMATION SCREEN                  0001 08:46:07

COMMAND                (SELNU, VADAD, LODAD, VAINF, OR LOINF)

SEL ONE   TABLE ID   TABLE TYPE   TABLE DESCRIPTION

ADFX      [ ]         VAL [ ]         ADJUSTMENT OF STATUS CODES
AFAC      [ ]         VAL [ ]         CIS/AFAC FCO CODE TABLE
AIRX      [ ]         LOC [ ]         INTERNATIONAL/MUNICIPAL AIRPORTS
ASC       [ ]         LOC [ ]         APPLICATION SUPPORT CENTERS
ASIL      [ ]         LOC [ ]         ASYLUM INTERVIEW OFFICES
ASYL      [ ]         LOC [ ]         ASYLUM OFFICES
BPHQ      [ ]         LOC [ ]         HEADQUARTERS
BPHX      [ ]         VAL [ ]         BORDER PATROL SECTOR CODES
BPSH      [ ]         LOC [ ]         BORDER PATROL SECTOR HEADQTRS
BPST      [ ]         LOC [ ]         BORDER PATROL STATIONS
BPSX      [ ]         VAL [ ]         BORDER PATROL STATION CODES
CCDI      [ ]         VAL [ ]         INS/DOS USCS COUNTRY CODE DISCREPS

PF1      PF2      PF4      PF6      PF8
PGFRWD   PGBWRD   PREV SCN  MENU    EXIT

TB100043  SELECT ONE RECORD OR TRY OTHER FUNCTIONS
3270
NUM OVR
  
```

The tables are in alphabetical order. Place an X in the "SEL ONE" column and press enter and this will bring up a list of different codes.

### 5.1.14 Value Tables Browse Screen

TBXVAINF      INS STANDARD TABLES DATABASE FACILITY      PAGE 09/15 06  
 VALUE TABLES BROWSE SCREEN      0014 08:56:10

COMMAND (SELNU, VADAD, LODAD, TBINF, OR LOINF)

TABLE-ID: ADJX      TABLE DESC: ADJUSTMENT OF STATUS CODES

SEL	SEARCH VALUE	VALID CODE	TABLE TEXT
IB7		IB7	SLF-PETITION CHILD OF USC
IB8		IB8	CHILD OF IB6
IC6		IC6	INDOCHINESE REFUGEE
IC7		IC7	SPS CH INDCHN REF NOT QUA SEC
ID6		ID6	INDOCHINESE PAROLEE
IF1		IF1	ALIEN REC ADM FOR PER RES CREA
IF2		IF2	MINOR CHILD OF IF1 ALIEN
IR0		IR0	PARENT OF U. S. CITIZEN
IR6		IR6	SPOUSE OF CITIZEN
IR7		IR7	CHILD OF CITIZEN
IR8		IR8	ORPHAN ADOPTED ABROAD BY CITZ

PF1      PF2      PF4      PF6      PF8  
 PGFWRD   PGBWRD   PREV SCN   MENU   EXIT

TB100043      SELECT ONE RECORD OR TRY OTHER FUNCTIONS  
 3270

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

## 5.2. Computer Linked Application Information Management System

### 5.2.1 Introduction

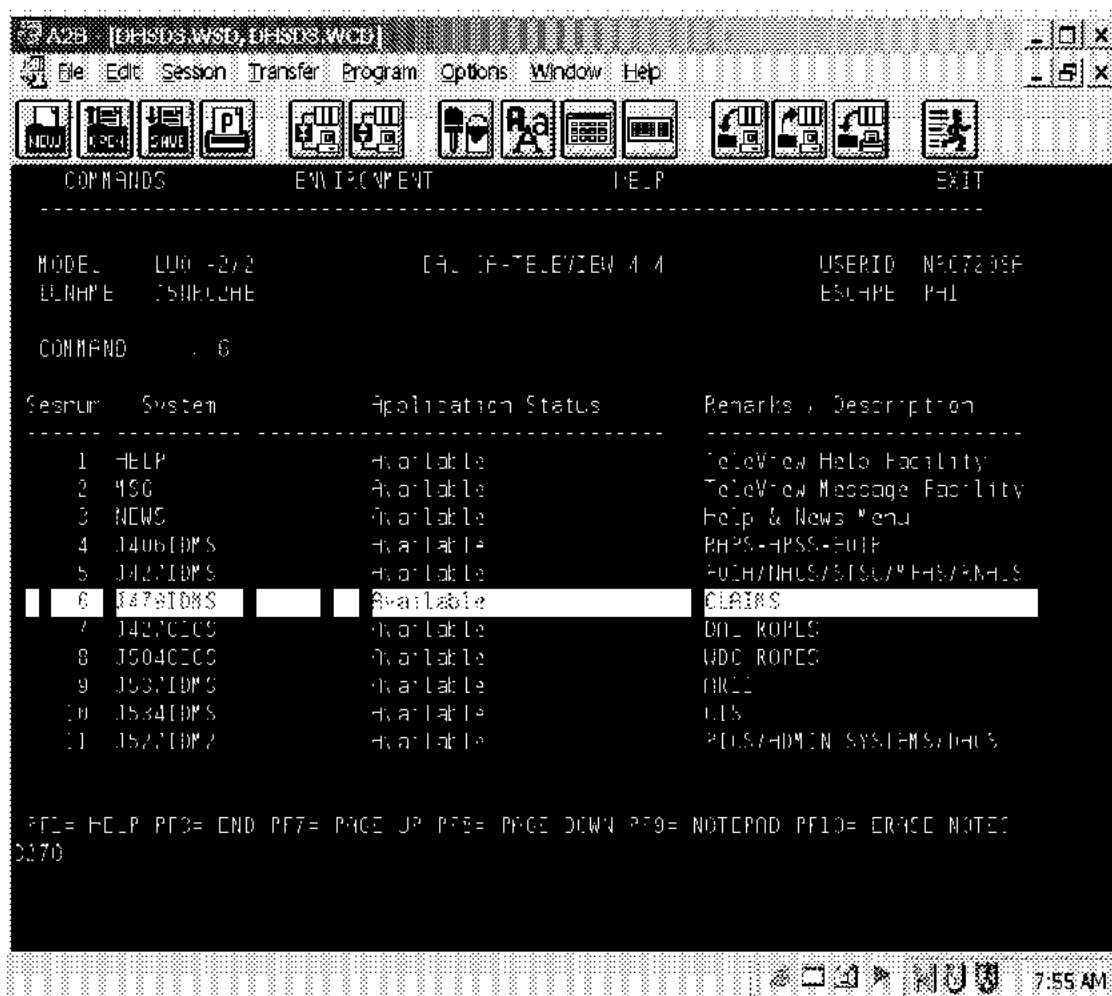
The Computer Linked Application Information Management System (CLAIMS) tracks application and petitions. CLAIMS is a menu driven system. The Inquiry/Update Processing selection on the menu is the only menu NRC FOIA uses because we search for receipts but never modify information in CLAIMS.

### 5.2.2 Teleview Introduction Screen



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

### 5.2.3 CLAIMS Selection Screen



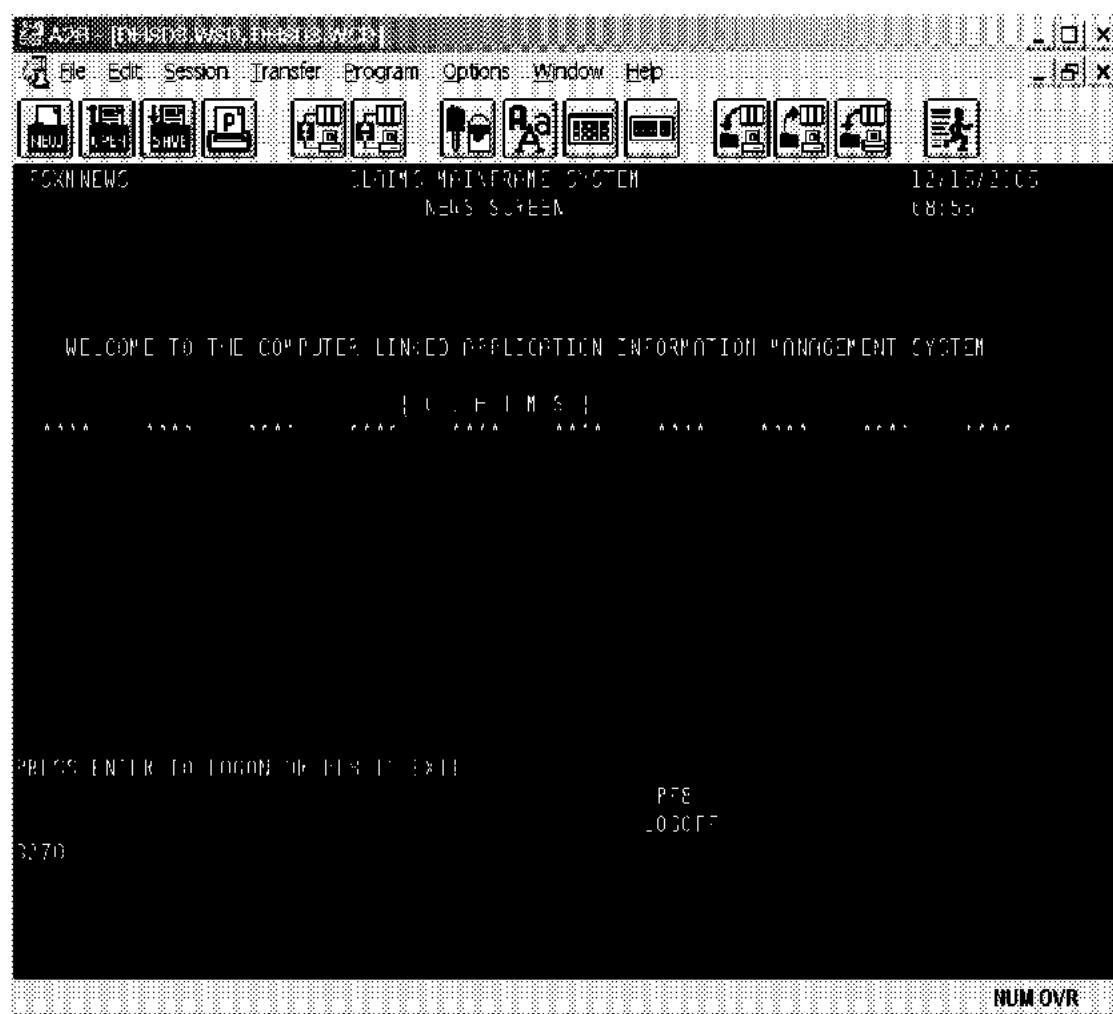
The number selected to access CLAIMS can vary for each computer.

## 5.2.4 CLAIMS Function Screen



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

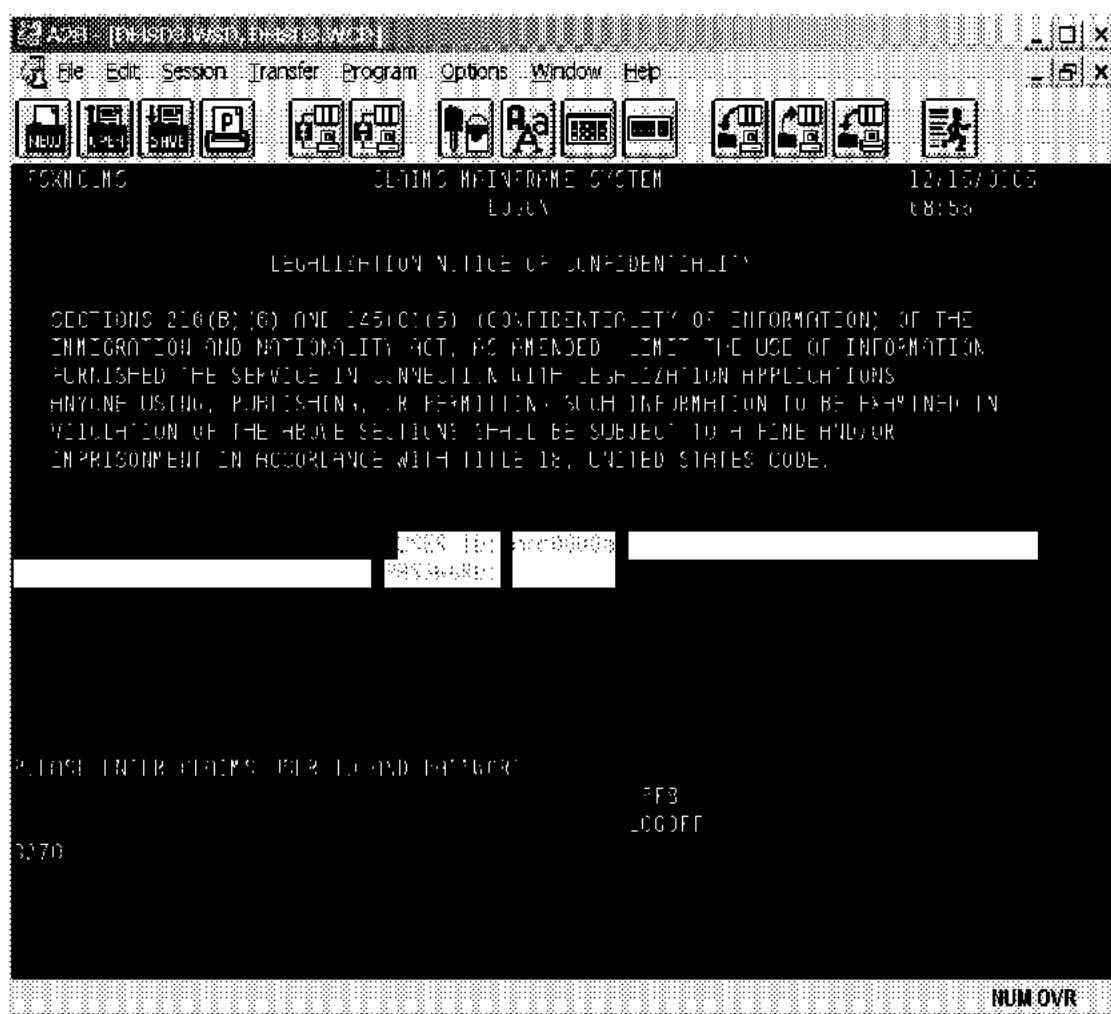
### 5.2.5 CLAIMS Welcome Screen



Press enter from here to get to the logon screen.

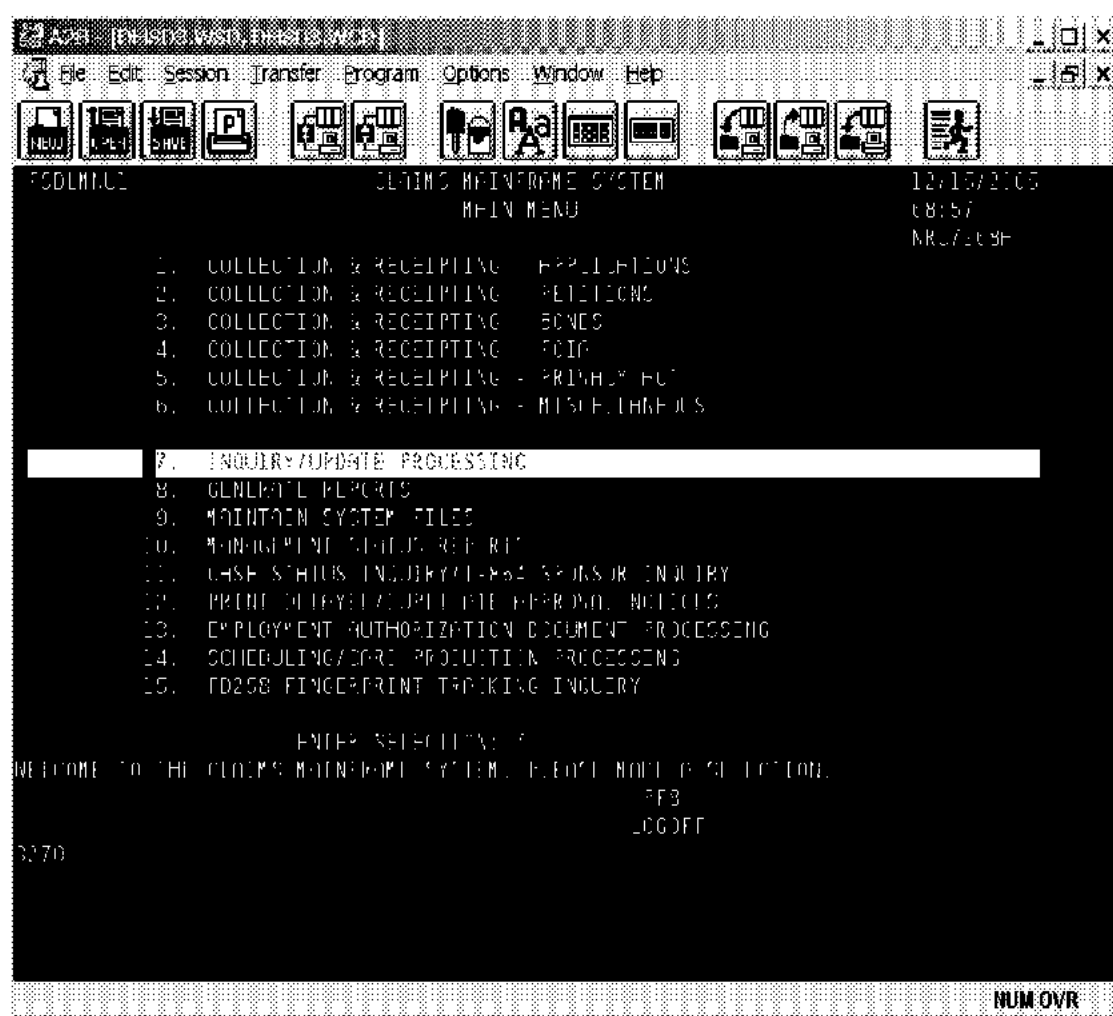


### 5.2.6 CLAIMS Logon Screen



To logon, your USER ID will be NRC and the last 4 digits of your social security number followed by a letter (NRC1234A). Check with your supervisor for your password.

## 5.2.7 CLAIMS Main Menu Screen



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

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

[illegible]

On the **Inquiry** screen, there are several ways to search for records. If you know the receipt number, type the number under the first field to pull up the receipt information.

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

The screenshot displays a mainframe terminal window titled "A2B [DHSD3.WCD, DHSD3.WCD]". The menu bar includes "File", "Edit", "Session", "Transfer", "Program", "Options", "Window", and "Help". Below the menu bar is a toolbar with icons for "NEW", "OPEN", "SAVE", and various printer and window management functions. The main display area shows the following text:

```
PSKXIPNL          CLAIMS MAINFRAME SYSTEM          02/07/2005
                   UPDATE PROCESSING MENU           09:18
                                                NR17109F

                   SELECT AND COMPLETE ONE LINE

1  RECEIPT NO.

      (SELECTIONS BELOW FOR APPLICATIONS AND PETITIONS ONLY)

2  USER ID:                               DATE          MMDDJJYY)

3  BENEFICIARY/APPLICANT
   NAME (LAST): [REDACTED] (FIRST): [REDACTED]
   BIRTH DATE:  [REDACTED] (MMDDJJYY)

4  A NUMBER:  A

5  REFERENCE NO.:

6  PETITIONER
   NAME (LAST):                               (FIRST)

PF3      PF6      PF8      PF10     PF11      PF12
CANCEL  MAIN MENU  LOGOFF  REMOTE  HOT JPD BY CODE  HOT JPD BY RPT
3270
```

At the bottom right of the terminal window, the text "NUM OVR" is visible.

You may also search name and birth date. CLAIMS does not forgive spelling errors and will not conduct "sounds-like" searches. If you do not immediately find a receipt, you should also search by alias names and variations of the name. You may also search without the birth date. This may have the results you are looking for depending on how common the name of the subject. Searching using the birth date will narrow the findings.

(b)(6)

FILED 02/21/2007

File Edit Session Transfer Program Options Window Help

FSXMIN1 CLAIMS MAINFRAME SYSTEM 02/21/2007  
INQUIRY/UPDATE RECEIPT LIST 11:53  
NRC93536

RECEIPT NBR	LAST NAME	FE FORM	FE AMT	REC DATE
1.		7 193	183.33	02/17/2007
2.		7 1130	183.33	02/14/2007
3.		7 1555	223.33	02/14/2007
4.		7 1765	183.33	02/11/2007
5.		7 1485	353.33	02/11/2007
6.		7 1179	1183.33	01/04/2007
7.		7 031550		
8.		7 193		02/13/2007
9.		7 1765		02/08/2007
10.		7 1485		02/08/2007
11.		7 1120	193.33	09/05/2006
12.		7 1130	193.33	02/12/2007
13.		7 103	193.33	02/12/2007
14.		7 1485		02/09/2007
15.		7 193		02/09/2007
16.		7 193	193.33	01/17/2007

TYPE IN SELECTION.

PF1 PF2 PF3 PF4 PF5 PF6  
PG FWD PG BACK CANCEL PRIOR MENU MAIN MENU LOGOFF

12/6

NUM OVR

If your subject has a very common name, the inquiry may result in several pages of matches. View the screen pertaining to the individual receipt number or look for the type of form. It will show detailed information relating to that specific receipt number. To view the detailed information, type the corresponding number at the bottom of the screen labeled "TYPE IN SELECTION." For example, if you type "3", the detailed information relating to receipt number SRC0710351687 will be displayed.

### 5.2.10 Searching with the A-Number

```

A2B [DHSDS.WSD,DHSDS.WCD]
File Edit Session Transfer Program Options Window Help
NEW OPEN SAVE PRINT F1 F2 F3 F4 F5 F6 F7 F8 F9 F10 F11 F12
PSKIMPL CLAIMS MAINFRAME SYSTEM 02/07/2003
UPDATE PROCESSING MENU 09:13
NR07109F

SELECT AND COMPLETE ONE LINE

1 RECEIPT NO.
   (SELECTIONS BELOW FOR APPLICATIONS AND PETITIONS ONLY)

2 USER ID: DATE MONTH(Y)
3 BENEFICIARY/APPLICANT NAME (LAST) (FIRST)
  BIRTH DATE IMMIGRANT(Y)

4 A NUMBER: 
5 REFERENCE NO.:
6 PETITIONER NAME (LAST) (FIRST)

PF3 PF6 PF8 PF10 PF11 PF12
CANCEL MAIN MENU LOGOFF REMOTE FCT UPD BY CODE HOT UPD BY RUP1
3370
NUM OVR

```

You may search by A-number. Navigate through these fields by tabbing, or to go backwards, use Shift-Tab. CLAIMS used to allow adjudicating officers to enter alien numbers as an eight-digit number without a leading zero. Ordinarily you should enter a leading zero immediately following the letter A (in purple on this screen) and then enter the rest of the A-number. If you do not find what you need, try deleting the zero immediately after the "A." If the person has a nine digit A-number, you will not have to worry about it. Note: if you search by A-number, it may not show every receipt belonging to the person, so you may still have to search by name and date of birth or by petitioner's name.

### 5.2.11 Searching with the Petitioner's Name

SEARCHING SYSTEM  
UPDATE PROCESSING MENU

02/07/2009  
09:15  
NRJ7009H

SELECT AND COMPLETE ONE LINE

1 RECEIPT NO.

(SELECTIONS BELOW FOR APPLICATIONS AND PETITIONS ONLY)

2 USER ID: DATE MONTH(JYY)

3 BENEFICIARY/APPLICANT  
NAME (LAST) (FIRST)  
BIRTH DATE MONTH(JYY)

4 D NUMBER: (D)

5 REFERENCE NO.:

6 PETITIONER  
NAME (LAST) (FIRST)

PF3 PF6 PF8 PF10 PF11 PF12  
CANCEL MAIN MENU LOGOFF REWRITE PCT UPD BY CODE PCT UPD BY REPT

NUM OVR

You may search by using the petitioner's name, but be forewarned: if the petitioner has a very common name, the results of this search may be overwhelmingly voluminous.

### 5.2.12 Search Results

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

File Edit Session Transfer Program Options Window Help

CLAIMS MATTERNAME SYSTEM  
APPLICATION UPDATE PROCESSING

MODE: M  
FORM: I751  
PART 2: 0  
A-NBR: A 12345678  
NAME: TEST  
CITY: DALLAS  
STATE: TX  
GENDER: BOB  
EMPLOYER:  
REF CODE:  
NAME:  
FORM:  
STREET:

REPT NBR: SAC-16-021-10045  
APPEALED FORM:  
RECEIVED DT: 10/20/2005  
REF NBR:  
TEST  
ASSOC POPT NBR:  
NAME:  
CITY: DALLAS  
ZIP, POSTAL: 75217  
SOC SEC #:  
TAX ID:  
REF TYPE: (A=ATTY, B=CBRT REP, C=OTHER)

CLASS:  
CITY:  
ZIP, POSTAL:

STATUS/ACTION: IBS1  
INS STATUS: NEW CLASS:  
PRIORITY DATE: 10/26/2005 DATE WAIT FROM: TO  
00997961 - VIEW NAME

PE2 PE3 PE4 PE5 PE6 PE7 PE8 PE9 PE10  
CI INQ CANCEL BACK EAC INFO MAIN MENU CODES LOGOFF REMIT STAT HIST

0070

NUM OVR

The receipt information gives the name, date of birth, A-number and address. The status of the receipt file is near the bottom of the screen. (STATUS/ACTION: IBS1)





50 A2B [D:\SD3.WEB, D:\SD3.WEB]

File Edit Session Transfer Program Options Window Help

NOU OPEN SAVE P [Icons]

LOGOFF: DURING MAINFRAME SYSTEM PAGE: 1 OF 1 CASE HISTORY 02/06/2005 08:33 NR7708F

RECEIPT DATE 10/26/2005 RECEIPT NUMBER SRC-06-005-00045

ACTION CODE	ACTION DATE	USER ID
PRA RECEIVED - FEE WAIVED	10/26/2005	SR99WEP
	10/31/2005	ESTHIEP

PRESS PF1 OR ENTER TO RETURN TO PREVIOUS SCREEN

PF1	PF2	PF4	PF6	PF7	PF8	PF11
PG FWD	PG BACK	RETURN	MAIN MENU	CODES	LOGOFF	AUDIT

3270

NUM OVR

By pressing F11, you may view the history screen. From this screen, we can see the status of the application/petition. If the petition has been approved, destroyed, or transferred, it may make a difference as to how we staff.

### 5.2.13 Beneficiary Petition for Non Immigrant Worker

A2B [DHSD3.WCD, DHSD3.WCD]  
 File Edit Session Transfer Program Options Window Help  
 NEW OPEN SAVE [Icons]  
 PSXNIPTE CLAIMS MAINFRAME SYSTEM 02/02/2003 18:37  
 PETITION UPDATE PROCESSING NR17109F  
 MODE L RECEIPT NBR: EF103.8652091 OWNED BY: EFC  
 FORM I129 RECEIVED DATE: 01/20/2003 REMOTE TO:  
 PART 2 H PART 3 H APPEARED FORM: DSSDC RPT NBR:  
 REF NBR PETITIONER TEST TEST TEST  
 H1 IN PRE CERT  
 STREET CITY: ENOSBURG HILLS  
 STATE VT PROVINCE: ENTRY ZIP/POSTAL 05456  
 DOB DOB: B10 011 NER R NBR:  
 EMPLOYER TEST TAX ID:  
 CONSULT FILE: CUNSS: PREFERENCE: 151  
 NBR BENF 1 COA:  
 STATUS/ACTION: PAB PREMIUM PROCESSING CLOCK STOPPED  
 PRIORITY DATE: DATE FIELD FROM: 00000000 TO:  
 REF REF REF REF REF REF REF REF REF REF REF  
 BENF CANCEL CANCEL PFM MEN EFC MCHN MEN CODES LOGOFF REV11 REPR HIST  
 3270  
 NUM OVR

On an I-129 petition, the petitioner's information is on the first screen you pull up after you enter or select the receipt number.

To see the beneficiary information press F1.

FOXNIFTG CLAIMS REINFORCE SYSTEM									
1-128 HIS BENEFICIARY CASE INFORMATION									
RCPT NBR		EHL0808652191		TEST		TEST		02/01/2106	
RECEIVER		TEST		TEST		TEST		08:37	
NAME		TESTI		TESTI		TESTI		NRJ7009H	
LTD									
STREET				CITY					
STATE		PROVINCE		COUNTRY		ZIP, POSTAL			
DOB		20081974		COR: NUPH		SIC: 36.100		H NBR: 4	
DOI		1 04 #:		EXPIRES:					
CONSULT				FILE:		CLASS: 1B1		JOB CODE:	
EDUCATION CODE:		COMPENSATION:		H OJ: 01		H OJ: 01		H OJ: 01	
FIELD OF STUDY:									
J 1 WADVER?		H 10 ELIGIBLE 6 YRS?		PREVIOUS EMPLOYER EXEMPT?					
DECISION		DECISION DATE:		VALID FROM		00000000		TO	
BENEFICIARY DISPLAYED									
PF2		PF2							
CE END		RETURN							
0070									
NUM OVR									

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

ESXNHST1 CLAIMS MAINFRAME SYSTEM 02/07/2003  
PAGE: 1 OF 1 CASE HISTORY 08:38  
NR17109F

RECEIPT DATE 01/24/2003 RECEIPT NUMBER EHC 03 086 50191

ACTION CODE	ACTION DATE	USER ID
FBH RECEIVED - FEE WAIVED	01242003	EHCCLN01
FE DATA CHANGE	01242003	EHCCLN01
FND PREMIUM PROCESSING CLOCK DATE CHANGED	01242003	EHCCLN01
FO CODE MARKED AS PREMIUM PROCESSING	01242003	EHCCLN01
FPII PREMIUM PROCESSING CLOCK STARTED	01242003	EHCCLN01
FO HOLD PRIOR ACTION	01242003	EHCCLN01
FAB PREMIUM PROCESSING CLOCK STOPPED	01242003	EHCCLN01

PRESS PF1 OR ENTER TO RETURN TO PREVIOUS SCREEN

PF1 PF2 PF4 F-F PF7 PF8 PF11  
PG FWD PG BCK RETURN MAIN MENU CODES LOGOFF AUDIT

3270 NUM OVR

53 A2B [D:\SD3.W6B, D:\SD3.W6B]

File Edit Session Transfer Program Options Window Help

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

ESSENTIALS SEARCHING PARTNERFILE SYSTEM 02/29/2015  
 INDUSTRY/UPDATE RECEIPT LIST 12:44  
 NR77708F

	RECEIPT	USER	LAST NAME	FI	FORM	FFB AMT	FFB DATE
1	MEM9804400001	TEST		T	1751	125.00	12/01/1988
2	JFKF031310000	TEST		T	1765		02/08/2010
3	NCL0601000002	TEST		T	1193		10/18/2010
4	JFKF031310004	TEST		T	1765		02/08/2010
5	OPAA052110004	TEST		T	1765		04/19/2010
6	SP04914742001	TEST		T	05155H		02/11/1999
7	MEM0000100001	TEST		T	1102		10/01/1989
8	NCL0018700005	TEST		T	1103		04/07/2010
9	NCL0302400012	TEST		T	1193		10/24/2012
10	MEM9806600001	TEST		T	190		01/08/1989
11	OPAA051690016	TEST		T	1765		03/18/2010
12	JFKF031310005	TEST		T	1765		02/08/2010
13	OPAA052110005	TEST		T	1765		04/19/2010
14	NCL0604300005	TEST		T	1193		11/15/2010
15	OPAA052110010	TEST		T	1765		04/29/2010
16	OPW9812100001	TEST		T	1400	95.00	01/29/1988

TYPE IN SELECTION

PF1 PF2 PF3 PF4 PF5 PF6  
 PG FWD PG BACK CANCEL PRIOR MENU MAIN MENU LOGOFF

3270

NUM OVR

There may be numerous results on a name search. Press F1 to see the results of the next page. To view number 10 on page 2 of the results, enter "10." To go back to the results of the search, press F4. The screen always returns to the first page of the search results. Remember this if you are going through the results page by page.

### 5.3. National File Tracking System (NFTS)

NFTS is an automated system that enables USCIS to track and account for nearly 50 million Alien Files (A-Files) and Receipt Files. NFTS allows for local control of all files within a designated USCIS File Control Office (FCO) or Case Control Office (CCO). The system supports the file migration from the USCIS field offices to facilitate a national tracking system that supports the National Records Center (NRC) and a centralization of agency records. You will learn much more about using NFTS in the Staffing section of this guide.

## 5.4. Person Centric Query Service (PCQS)

PCQS is an automated system that allows a person to submit a single query for all transactions involving an immigrant across a number of USCIS and Department of State (DoS) systems. PCQS returns a consolidated view of the immigrant's past interactions with USCIS and the Department of State as he or she passed through the U.S. immigration system.

Since PCQS can give us a comprehensive overview of a person's immigration history, it can help us locate certain documents to request, for instance, we may find information about an archived receipt in PCQS that we would not find in CLAIMS. You do not have to log in to PCQS to read the PCQS User Guide. Simply go to <https://pcq.esb.uscis.dhs.gov/> and click on the Users Guide link below the Warning.

(b)(6)

The image shows two screenshots of the PCQS search interface. The top screenshot is labeled (b)(6) and shows the 'Search Criteria' section with 'Alias Number' selected. The bottom screenshot shows the 'Search Criteria' section with 'Last Name' selected. Both screenshots have numbered callouts 1 through 4 pointing to specific elements.

**Top Screenshot (b)(6):**

- 1: Search Criteria dropdown menu
- 2: Alias Number input field
- 3: Select All button
- 4: Search button

**Bottom Screenshot:**

- 1: Search Criteria dropdown menu
- 2: Last Name input field
- 3: Select All button
- 4: Search button

## 5.5. FOIA/PA Information Processing System (FIPS)

The Freedom of Information Processing System (FIPS) is an automated system that allows us to process FOIA/PA requests electronically. This automated system enables the scanning of paper files into electronic images. These images are easily stored, retrieved, and processed. FIPS provides workflow processing for the life of a case. Any time you do any transaction concerning a FOIA/PA case, it will be through FIPS.

Processing Fee Information

Office: NRC NRC2008000157 Status: Open Case Processor 2 p3test Web Entry

Received Scanned Created Perfected Final Action Closed Final Reply Due

6/25/2008 06/25/2008 6/26/2008 07/25/2008

**Requester Information**

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

Edit Requester  
Change Requester

**Subject Information**

First: Jessica Middle: Marie Last: Powell

A-Number: [REDACTED]

Topic: Border Patrol Apprehension Data

Track: 2 Bureau: CIS

Type: FOIA Request Referred From: [REDACTED]

Source: Self Expedited: Not Requested

Category: Alien File Fee Waiver: Not Requested

Print To CD  
PA Cited  
In Litigation  
In Circular Search  
Delinquent

Calculate Queue Position

Save

(b)(6)

Type of request	Source	Track 1, 2 or 3	Category	Print to CD
<ul style="list-style-type: none"> <li>Always FOIA</li> </ul>	<ul style="list-style-type: none"> <li>Attorney</li> <li>Commercial</li> <li>Education/Scientific</li> <li>Foreign Government</li> <li>News Media</li> <li>Others</li> <li>Representative</li> <li>Self</li> <li>White House/Congressional</li> </ul>		<ul style="list-style-type: none"> <li>Alien File</li> <li>Asylum</li> <li>Specific Documents</li> <li>Non A-File Material</li> <li>Personnel</li> <li>Special Interest Group</li> <li>SFR cases at NRC</li> </ul>	



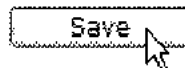
## 6. CREATING THE CASE

[illegible]

On the FIPS worksheet under the header “Contents,” you will notice that usually Sequence 1 is the “Request Letter” and Sequence 2 is usually “Request Supporting Documents.” There will be a date and time in the right column.

Sometimes the request will be Form G-639 only, sometimes it will be the G-639 and a G-28, Power of Attorney, sometimes it will be a letter from an attorney or representative and a G-28. Sometimes it will be a letter from the subject of record. At times, there will be documents scanned in, such as alien registration card, driver's license or other forms of identification. Other documents you may see can include miscellaneous screen prints or memoranda. You should view (almost) all documents scanned in FIPS in the Request Letter and Request Supporting Documents slots before you create the case.

During the Case Create process, you may need to leave your work station, or you may receive a telephone call, or various things may happen to distract you from creating the case. If anything happens and you need to stop work temporarily, it is always a good idea to click:



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

## 6.1 REQUESTER INFORMATION

Processing

Office: BAL BAL2010000751REQ Status: Request Case Creator cctestb Web Entry

Received Scanned Created Perfected Final Action Closed Final Reply Due

03/04/2010

**Requester Information**

Requester Search/Entry

Subject Information

First Middle Last

A-Number

Topic

Track: Type: Source: Category:

Bureau: Referred From: Expedited: Not Requested Fee Waiver: Not Requested

Print To CD PA Cited In Litigation In Circular Search Delinquent

Calculate Queue Position

Save

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

### 6.1.1 RULES FOR ENTERING INFORMATION ON THE FIPS WORKSHEET

6.1.1.1 Do not use all capital letters in names.

6.1.1.2 Do not use professional titles, such as Doctor or Reverend in the requester information.

6.1.1.3 You may use Jr., Sr. or II, III, etc., if the requester or subject uses it on the request.

6.1.1.4 Do not open cases in the name of a company or firm only. If the name of the requester on the Form G-639 is a company name, please review the supporting documents to try to locate the name of the attorney/representative of the company.

For example, if your request comes in on a G-639 and the name of the requester is only the name of the law firm representing the alien (for example, Wilens & Baker) you will need to look through your supporting documents to see if you can locate the name of the attorney at Wilens & Baker who is representing the alien. If you cannot locate the name of the attorney who is representing the alien, then open the case in the name of the alien, in care of the law firm. Do not use "Wilens & Baker" as the requester name.

6.1.1.5 Do not hyphenate names.

6.1.1.6 Double-check the spelling of the names. If the name of the requester is not clear on the request letter, check the supporting documents for a Form G-28 for a clear copy.

6.1.1.7 Add a period after the middle initial.

6.1.1.8 Rescinded. ~~If the subject does not provide a middle name or initial, enter "NMN" in the "Middle" field.~~

6.1.1.9 Do not use part of the last name as a middle name, for example Hispanic names. Sometimes it is obviously a middle name, such as Juan Jose Gonzalez. Sometimes it is obviously a first and second last name, such as Juan Gonzalez Becerra. Other times, it is not so clear. You might look at the mother's and father's last names, if provided. If you are unsure, contact a supervisor.

6.1.1.10 If the 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.

6.1.1.11 Each line of the address in FIPS can contain no more than 35 characters; this includes spaces and punctuation. When we are printing the responsive records to CD, nothing over 35 characters prints on the CD. This requires the OA clerks to print a label separately for those CD's before mailing.

6.1.1.12 Do not use special characters, such as "&" and "#" in the address field; rather, spell them out or use an abbreviation, such as "and" or "No." Note: you *may* use spaces, dashes, periods, commas or single quotes ('). You *may not* use @, #, \$, %, ^, &, \*, (, ), =, +, [ , ], { , }, \, < , > , or /.

6.1.1.13 Please include the suite number or apartment number on the same line as the street address. FIPS will allow you to key in more than 4 lines in the address box. The issue is when the case is processed and the CD is printed, it only prints the first 4 lines.

The requester's name is the first line of the address, so you have three lines left. Enter any suite numbers or apartment numbers in the address line.

6.1.1.14 If the requester does not provide a valid address use: 123 Main Street, Washington, DC 12345. Send an e-mail to your supervisor and assign the case to Unit Chief.

6.1.1.15 When the attorney or subject of the request provides both a physical mailing address and a P.O. Box, use the P.O. Box for the official mailing address and do not include the physical address. Please do not use both.

6.1.1.16 The address can only be four lines long, even though FIPS gives you an extra line. The requester's name is always the first line.

6.1.1.17 If an attorney represents the subject, the first line of the address should be the name of the law firm the attorney is affiliated with, or, Attorney at Law, or "c-o" and the law firm name or the name of the attorney.

6.1.1.18 If the address is foreign, you must check the box marked Foreign. This will change the format of the worksheet to include the Province and Country. You must complete these fields to ensure proper delivery. Before pending this case for any further action, please check the "Print to CD" box and add a Discussion note that you did so.

The following places are NOT foreign countries:

- American Samoa
- Guam
- Puerto Rico
- Northern Mariana Islands
- Baker Island
- Howland Island
- Jarvis Island
- Kingman Reef
- Midway Islands
- Navassa Island
- Palau
- Palmyra Atoll
- U.S. Virgin Islands
- Wake Island
- Micronesia

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

**6.1.2 Requester Search/Entry.** To locate and select existing requesters or to enter new requesters, click the **Requester Search/Entry** link to open the Requester Search Form. To search for an existing requester, click in one of the available fields in the Requester Search Form and begin entering pertinent information. When searching for a requester whose last name is Smith, for example, click in the Last Name field and enter a portion or the entire last name. After you have entered enough information, click **Search** to locate requesters with matching information.

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

(b)(6)

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:

**Results - Webpage Dialog**

**Search Requester**

Requester First Name	Requester Middle Name	Requester Last Name
<input type="checkbox"/> Bernhard		Sauerbraten
<input type="checkbox"/> Jones	Mary	Sauerwen
<input type="checkbox"/> Todd		Scott
<input type="checkbox"/> Milton	Jay	Sheppard
<input type="checkbox"/> Bonnie		Simmons
<input type="checkbox"/> Timmy		Simpson

Total item(s) found (6 of 6)

Page 1 of 1

Cancel

And it will populate the requester information like this:

Processing

Office: BAL    Request Case: BAL2010000751REQ    Status: Request Case Creator: cctestb

Received: Scanned: 03/04/2010    Created: Perfected: Final Action: Closed: Final Reply Due:

**Requester Information**

Bernhard Sauerbraten

{011} 233-4556 x6778

Edit Requester  
Change Requester  
Copy to Subject

(b)(6)

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

**Requester Search**

First Name  
Middle Name  
Last Name  
Address1  
Address2  
Address3  
City  
State  
Zip Code  
Phone

Frequent Requester: ☐ Yes ☐ No ☐ Either

When you click Add New Requester, you will get a dialog box that you fill in. You will enter all information, decide if this is a Frequent Requester, and then click Save.

**Requester Information**

First Name  
Middle Name  
Last Name  
Address 1  
Address 2  
Address 3  
City  
State  
Postal Code  
☐ Foreign  
Province  
Country  
Phone Number  
Email  
Frequent Requester: ☐ Yes ☐ No

## **6.2 SUBJECT INFORMATION**

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



(b)(6)

Requester Information	
C G Culpepper	<a href="#">Edit Requester</a> <a href="#">Change Requester</a> <a href="#">Copy to Subject</a>
<div style="border: 1px solid black; height: 30px; width: 100%;"></div>	

Otherwise, you will have to enter the subject information in the area. If the person gave more than one A-Number, please separate them with a comma in the A-Number field.

(b)(6)

Subject Information		
First	Middle	Last
Malville		Trump
A-Number	<div style="border: 1px solid black; height: 30px; width: 100%;"></div>	
Topic	<div style="border: 1px solid black; height: 30px; width: 100%;"></div>	

### 6.2.1 Name

Enter the subject's name, as it appears in section 5 of Form G-639 (except in the case of a petitioner asking for a petition).

The name portion of the worksheet is the name of the alien whose file we are requesting. This is usually the name in the subject portion of the Form G-639, or in the subject line of the request letter. However, if the requester is asking for a petition he or she filed on behalf of a beneficiary, then that document will be a separate receipt or it will be in the beneficiary's file, not the requester's file. In situations like this, the subject information would be that of the beneficiary, not the requester.

### 6.2.2 Alien Number

In the alien number field, enter your subject's alien number, as provided on the request, as an eight-digit or nine-digit number.

**6.2.2.1** You should always check the A-number in CIS to be sure it belongs to the correct subject. Once you have established that it is the correct A-number, copying and pasting the A-number will save you from making a typographical error and inadvertently staffing for the wrong file.

**6.2.2.2** If the alien provided us with more than one A-Number, please separate these numbers with a comma.

**6.2.2.3** If you have created the case and you see less than eight digits in the A-number field, please re-check (by pasting the number into CIS) to make sure you have entered the number correctly.

**6.2.2.4** Please do not enter the A-number if the requester is a petitioner asking for a copy of an unconsolidated petition, as it will result in a bad staffing.

**6.2.2.5** If the requester is a petitioner asking for a copy of a petition that has been consolidated into the A-file of the beneficiary, you should enter the A-number of the beneficiary, since we will request the beneficiary's A-file.

### **6.2.3 Topic**

If the request is for something other than an alien file, for example, a receipt file or a vacancy announcement, then you will add this information in the "Topic" field in the Subject Information area.

"Topic" is used at different times, such as:

- when there is an unconsolidated receipt file
- when it is a request for a vacancy announcement
- when it is a request for a personnel file
- when it is a request relating to policies and procedures service-wide

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

**Correct:** MSC0412360000

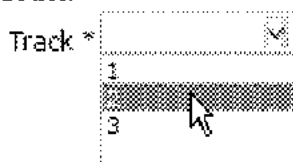
**Incorrect:** MSC-04-123-60000

**6.2.3.2** Enter the receipt number with no dashes or spaces. This format assists the Mission Support Assistants in locating the files and in locating the cases in FIPS when the receipt files come into the facility, and it will make it possible for case creators to spot duplicate or similar cases. If you are requesting multiple receipt files from the same facility, use only one file request. See Staffing Sheet Guide for more guidance.

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

## **6.3 CASE SPECIFICATIONS**

### 6.3.1 Track



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

**6.3.1.1.1** Please select the category **Specific Documents** and make the case a Track 1. The first paragraph of the acknowledgement letter sent to the requester must contain the following paragraph:

We respond to requests on a first-in, first-out basis and on a multi track system. Your request has been placed in the simple track (Track 1). You specifically requested [enter specific document information here]. If you would like a copy of all your records, please send a written request to the address above, otherwise you will receive only the documents you specified.

**6.3.1.1.2** Continue to create the case in Track 1 as Specific Documents. The requester may write back later responding that they need the whole file, and a FOIA/PA Assistant working in Records Locator queue can change it to Track 2 at that time.

**6.3.1.2 Track 2** – Requests for entire copy of alien file, asylum or refugee requests, and requests from news media or special interest groups.

If the request has “all records” checked and lists more than three documents on the G-639, please select the category **Alien File** and make the case a Track 2.

**6.3.1.3 Track 3** – Requests for records of individuals scheduled in the future to appear before an immigration judge. Requesters must provide one of the following documents to receive Track 3 processing:

- Form I-862, Notice to Appear, documenting a future scheduled date of the subject’s hearing before the immigration judge.
- Form I-122, Order to Show Cause, documenting a future scheduled date of the subject’s hearing before the immigration judge.
- Form I-863, Notice of Referral to Immigration Judge

- Written notice of the continuation of a future scheduled hearing before an Immigration Judge.

**6.3.1.3.1** A supervisor will review all incoming FOIA requests and identify Track 3 requests. The supervisor will verify that necessary documentation is present with the request. There should be an attached cover sheet indicating to the case creator whether the request for Track 3 is approved or denied.

**6.3.1.3.2** If there is no cover sheet, please evaluate the request and make a determination to approve or deny Track 3. If you are unsure, consult your supervisor.

**6.3.1.3.3** Before you create the case, look at the documentation. Sometimes you will find a reference to a current, open case which the requester wishes to upgrade to Track 3. After you verify that the case is open, you may simply click “Send to Research” and you are finished with the case.

**6.3.1.3.4** Requesters will sometimes request both Track 3 processing and expedited processing. Do not select both. Neither has to do with the other. A requester could be granted either Track 3 processing or expedited processing, but never both on the same case. For expedited processing guidelines, please refer to **“Expedited Treatment”** in this guide.

**6.3.1.3.5** Track 3 processing is not “expedited” processing as that term is used and understood in law. It is not appropriate to use the word “expedited” when discussing Track 3 processing of a FOIA request (“priority” or “accelerated” processing are more appropriate terms for Track 3). Don’t confuse the two in correspondence with requesters.

**6.3.1.3.6** Refer to the cover sheet the supervisor attached to the request. There should be either an Expedited coversheet or a Track 3 coversheet, but not both. Follow the instructions on the cover sheet attached to the request. If there is no cover sheet, do not mark either box.

**6.3.1.3.7** If the requester specified Track 3 processing but the request does not have a cover sheet, please create the case. If you have a request for Track 3 and you see that we have a future court date provided in the request, prepare your response according to the Track 3 Ack Letter found in O:\Foia\FOIA LIBRARY\Case Create References\Case Create Template Letters

**6.3.1.3.8** If the requester did not provide any documentation or if the documentation says “a date and time to be determined” prepare an acknowledgment letter and click “Add Track 3 Denial Paragraph.” Proceed with creating the case.

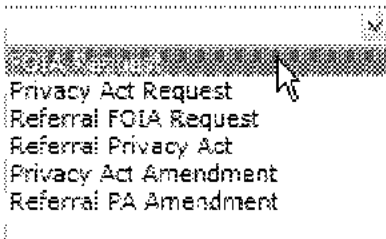
**6.3.1.3.9** If you are not sure whether to approve or deny Track 3, please consult your supervisor.

**6.3.1.3.10** If you assign the case to Track 3, ensure you put the words “TRACK 3” at the top of the file request.

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

### 6.3.2 Type

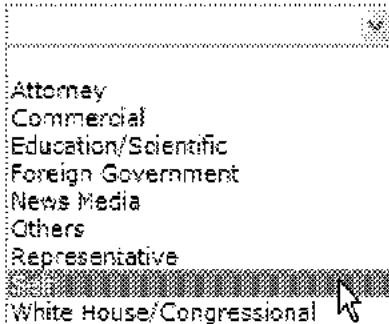
Type \*



Always select **FOIA**. It will be incumbent upon the processor to verify the status of the alien, and to change the case type if necessary.

### 6.3.3 Source

Source \*



The source of the request is, quite simply, who is making the request. Is the requester the individual or an attorney or representative speaking on the alien’s behalf? Is it a request from the media or a true third party requester? Below is a list of possibilities for requesters:

- **Attorney** - The requester is an attorney representing the alien. The attorney will have checked the box on the G-28 marked “Attorney,” or will have sent us a letter on the law firm’s letterhead.

- Commercial
- Education/Scientific
- Foreign Government
- News Media
- Others - The requester of the file is someone other than the alien, an attorney or an accredited representative. They might possibly include a G-28 with something other than "Attorney" or "Accredited Representative" checked.
- Representative - The requester is an accredited representative under the provisions of 8 CFR 103.2(a)(3) and 292.1(a)(1) or 292.1(a)(4). On a G-28, the requester will have marked the box "Accredited Representative."
- Self - This is a request from the alien himself or herself. The request may have the name of an individual followed by "care of" a certain law firm. This is still a self-request.
- White House/Congressional

If you feel that you have a case of a different source of request, please contact a supervisor for further guidance.

### 6.3.4 Category

Category *	Alien File	▼
	Alien File	▼
	Appeals	
	Asylum	
	Child Support	
	Citizenship National Review	
	Consultation	
	Contract	
	Debts Owed	
	Dual Citizenship	
	Family History	
	Haitian Refugee Immigration	
	Handbooks, Manuals	
	Inheritance	
	Internal Audit	
	Investigations	
	Legal Immigration & Family	
	Legalization/Admin Appeal	
	Medical History	
	NOK Addresses	
	Nicaraguan & Central Amer	
	Non-A-File Material	
	OTHER	
	Pensions	
	Personnel	
	Proof of Naturalization	
	Referral	
	SFR Cases at NRC	
	Special Interest Group	
	Specialized Immigration	
	Waste, Fraud, Abuse	▼

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

#### 6.3.4.1 Alien File – The requester is asking for an entire copy of an alien file.

This category includes the following:

- a. Files of living subjects
- b. Naturalization records on or after April 1, 1956
- c. Visa records on or after May 1, 1951 in A-files
- d. A-Files above 8 million (A8000000), and documents therein dated on or after May 1, 1951
- e. Registry records on or after May 1, 1951 in A-Files
- f. Alien Registration Forms on or after May 1, 1951 in A-Files

**6.3.4.2 Specific Documents** – The requester is asking for specific documents, such as a copy of a receipt file, an application or a copy of his or her naturalization certificate. A Specific Document case is a Track 1 case, and vice versa. As a rule, you should create a case as Specific Documents if the requester is asking for up to three documents. If a requester is asking for an asylum application and supporting documents, you should create it as Alien File. (Refer to the section “*What track is my case?*” that follows.)

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

**6.3.4.4 Special Interest Group** – Requester(s) are seeking information relating to special interest requests such as news media requests, highly visible or public interest cases. We receive this kind of request from members of the media, activist groups, watchdog organizations or educational institutions. The documents requested are normally associated with a controversial or sensitive subject.

**6.3.4.4.1** Select “Special Interest Group” if any of the following criteria are met:

- a. The FOIA request relates to a Presidential or agency priority;
- b. The FOIA requester or requested documents will garner media attention or is receiving media attention;
- c. The FOIA request is for documents associated with meetings with prominent elected, business, and/or community leaders;
- d. The FOIA request is for congressional correspondence;
- e. The FOIA request is from a member of Congress;
- f. The FOIA request is from a member of the media;
- g. The FOIA request is from a member of an activist group, watchdog organization, special interest group, etc.;
- h. The FOIA request is for documents associated with a controversial or sensitive subject;
- i. The FOIA request is for documents associated with a senior official of the component;
- j. A FOIA appeal if it meets one of the “a” through “i” criteria;

Items listed above are suggestive and not exclusive – exercise judgment when marking cases with category “Special Interest Group.”

**6.3.4.4.2** If you believe a request qualifies as a Special Interest Group, choose that case category in FIPS, change the office from NRC to COW, search for duplicates and then create the case. Do not create a file request or an acknowledgment letter. Prepare an e-mail explaining the situation for NRC, FOIASIG. Click “Reassign Office.” Send the case to Unit

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Updated on 6/15/2011



Chief. A Special Interest Group (SIG) processor will create the staffing and acknowledgment letter. This enables the Special Interest Group (SIG), responsible for special interest cases, to create a report and determine whether the case is actually a Special Interest Group case and report it accordingly. If the case creators do not mark Special Interest Group cases properly, we have no way to track and report these high visibility cases. When in doubt, choose the Special Interest Group category in FIPS. The Special Interest Group will sort it out later. If you have questions or need to send information regarding SIG cases to the Special Interest Group, their e-mail address is: NRC, FOIASIG.

**6.3.4.5 SFR cases at NRC** – NRC uses this category to track all workload staffed to SFR. This includes cases retired by or lost by SFR, but **does not include ZSF**.

**6.3.4.6 Genealogy:** Genealogy cases are requests for searches and/or copies of historical records relating to a deceased person. The lists below represent the records that the public would be able to request from the Genealogy Program:

- a. Naturalization Certificate Files (C-Files) from September 27, 1906 to April 1, 1956.
- b. Microfilmed Alien Registration Forms (AR-2), from August 1, 1940 to March 31, 1944 and Alien Registration Forms from March 31, 1944 to April 30, 1951 in A-Files.
- c. Visa Files from July 1, 1924 to May 1, 1951.
- d. Registry files from March 2, 1929 to March 31, 1944 and Registry records from April 1, 1944 to April 30, 1951.
- e. A-Files numbered below 8 million (A8000000), and documents therein dated prior to May 1, 1951.

The case is not Genealogy unless it meets one of the above criteria. If the case you are creating does meet the criteria for Genealogy, create it as **OTHER** then do the following:

- a. Create the and control the case.
- b. Do not staff for any records and do not prepare an acknowledgment letter.
- c. Send the case to Unit Chief with a discussion explaining it is a possible Genealogy
- 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.

### 6.3.5 Bureau

Bureau

CIS	▼
CBP	
ICE	

The three possible selections for Bureau are:

**ICE** – Used to identify requests wherein the requester is seeking information in connection with deportation hearings and other immigration related litigation (OPLA/DRO/SAC)

**CIS** – Used for all other categories. This is the default in FIPS.

**CBP** – Used for requests pertaining to documents relating to the Border Patrol, incident reports relating to apprehension, entry without inspection (EWI), smuggled humans, mobile patrol group, voluntary return, repatriation, checkpoints, entry/exit information, inspection, Port of Entry (POE), legacy customs or legacy inspections. Key words that you could see on a request relating to CBP are inspection, Port of Entry, Bridge of the Americas, Friendship Bridge, and smuggled goods. **Note: If request is for entry/exit information and the requester/subject provided an alien number, request the file.**

### 6.3.6 Is there a request for expedited treatment?

Expedited

Not Requested	▼
Requested	
Granted	
Denied	

A requester may ask for his or her request to be expedited and processed outside the order of receipt. By law, we must respond to a request for expedited treatment within 10 business days.

USCIS will grant expedited processing if the requester establishes **either**:

(1) circumstances in which the lack of expedited treatment could reasonably be expected to pose an imminent threat to the life or physical safety of an individual;

**or**

(2) an urgency to inform the public about an actual or alleged federal government activity, if the requester is a person primarily engaged in disseminating information.

The requester must send a statement explaining in detail the basis for requesting expedited treatment. If a requester asks for expedited processing and fails to meet the criteria, we process the request in the appropriate track, using the “first in/first out” rule [See 6 C.F.R. § 5.5(a)].

**6.3.6.1** OA personnel normally separate mail and faxes pertaining to expedited treatment prior to scanning. A supervisor then reviews and makes a determination regarding the expedited treatment. The supervisor will attach a cover sheet to the front of the request detailing the determination. Please create the case in accordance with the instructions on the cover sheet.

**6.3.6.2** If the requested file has already been scanned because of a *currently open* prior FOIA request that has now been resubmitted for expedited processing, do not create the case. You should send the request to Research where they will attach the new request to the existing case as a CSD.

**6.3.6.2.1** If expedited processing has been approved based on new information, you have to check expedited processing approved on the original case and send an expedited treatment approval letter by opening the original case in stand-alone mode, creating a Blank Letter, and adding the following: This letter serves to notify you that your case has been approved for expedited processing.

**6.3.6.2.2** If expedited treatment was already denied in the *currently open* prior case, and the supervisor’s decision is the same, if you have not already created the case, you may Send to Research, where they will attach your request to the original case as a CSD. Go to the original case in Standalone, go to Tasks, and create the Expedited Denial Letter.

**6.3.6.2.3** If the expedited treatment request refers to a case that *has already been closed*, either close it as DP and send a duplicate letter or create it as a new case, based on the situation. If in doubt, consult your supervisor. Please refer to the section on DP (duplicate) Cases.

**6.3.6.3** Sometimes the OA room will miss an expedited request. If this happens, select “Denied” in the drop-down box, create the Expedited Denial Letter, and then create the case as normal.

**6.3.6.4** If you believe the requester meets the requirements for expedited treatment (and there was no cover sheet) then select “Requested” and send the request to Unit Chief. E-mail your supervisor with the details. If the supervisor granted expedited processing, you will not create an Expedited Denial Letter, of course. You must select “Granted” in the

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Updated on 6/15/2011

Expedited drop-down box. When you create the acknowledgement letter, it will address the fact that Expedited Treatment is granted.

USCIS denies most requests for expedited treatment because the requester failed to establish either of the necessary criteria.

**6.3.6.5** If you have made a determination to deny, or if the supervisor has indicated denial, you must select “Denied” in the Expedited drop-box. After this, you should create the Expedited Denial Letter. If you or the supervisor denied expedited processing, we must advise the requester of the criteria for expediting a request and offer an opportunity to resubmit additional justification. The requester also has the right to appeal the decision to the USCIS FOIA Appeals Office.

Contents		Discussions	Case Actions	
Task	Status			
Search For Duplicate Cases	Not Started			
Create Additional Cases	Not Started			
Create File Request	Not Started			
Acknowledgement Letter	Not Started			
Final Action Letter	Not Started			
Specialty Letter	Not Started			
Status Letter	Not Started			
Blank Letter	Not Started			
Interpret Letter	Not Started			
Expedited Denial Letter	Not Started			

**6.3.6.6** Do not mark both “Expedited Treatment Requested” and “Track 3.” A request can be either expedited or Track 3, but not both. If the requester has asked for Expedited Treatment and Track 3, treat it as if it is a Track 3 request and follow the instructions in TRACK 3 PROCEDURES. In such a case, you should not mark “Expedited Treatment Requested” before sending it to Unit Chief.

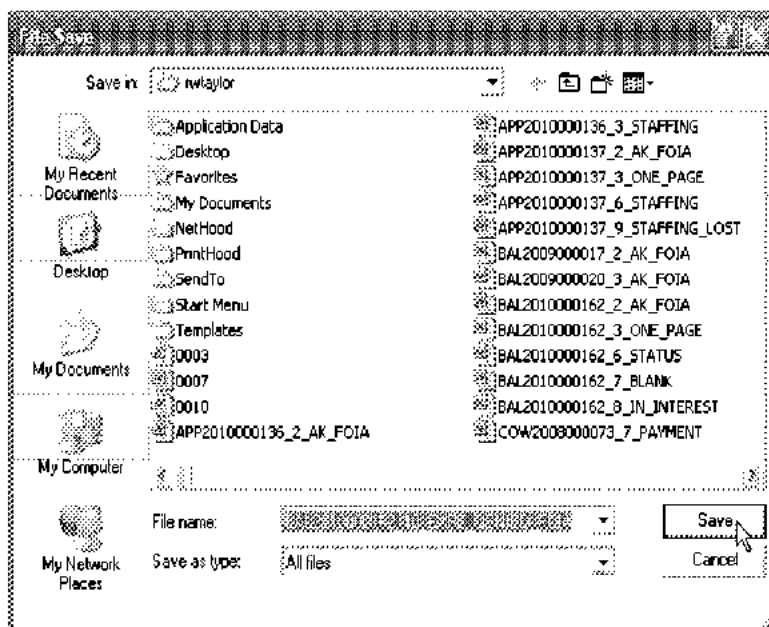
Processing.....

Successfully generated letter Expedited Treatment FOIA Denial.

Click on OK to continue.



A dialog box will pop up. Select “Save”:



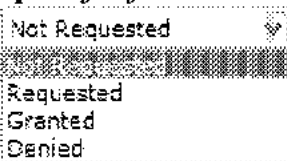
A word document explaining the denial and appeal rights will pop up. After you have done any editing necessary, save the document and check it back in.

After you have made that selection, your acknowledgement letter will address expedited treatment granted.

**6.3.6.7** If there is an Expedited Treatment Requested cover sheet, and if you determine during case create that this needs to be a multiple case, you must check the Expedited Treatment Requested box (and create the appropriate response letters) for each child case. On the other hand, it might be that we will treat only the parent case as an expedited treatment request. You may make the determination or the supervisor will make a statement to that effect on the cover sheet, and of course, in such a situation, you would not mark the child cases as expedited treatment requests.

**6.3.6.8** If there is an Expedited Treatment Requested cover sheet, and if you determine during case create that we need to close the case RD, RF, DP or ER, then change the Expedited drop-down box to "Not Requested" before you send the case to Up-front Approver. Because we are not generating a letter regarding expedited treatment denial or grant, and because it would cause erroneous reporting of Expedited Treatment Requests, you must change it to "Not Requested."

### 6.3.7 Is there a request for fee waiver?

Fee Waiver: 

The requester may ask for a waiver of fees in his or her request or in accompanying documentation submitted with his or her request. USCIS considers all requests for fee waivers on a case-by-case basis.

A requester must meet two requirements in order for USCIS to grant a fee waiver:

1. The disclosure of the requested information must be in the public interest,
2. AND the disclosure of the information is not primarily in the commercial interest of the requester. For a detailed explanation, please refer to the U.S. Department of Justice Guide to the Freedom of Information Act, "Fees and Fee Waivers."

Also note: the requester must ask for a fee waiver. Simply including a DOJ Fee Waiver form does not constitute a request for fee waiver. If the requester has written any statement to the effect of a request for fee waiver on the form, then you treat it as a request for fee waiver.

**6.3.7.1** When a requester has asked for a fee waiver, there should be a cover sheet advising you of approval or denial. You may determine to deny based upon the two criteria listed above. If you do so, you must select "Denied" in the Fee Waiver drop-down box on the FIPS worksheet. Regardless of the decision on the fee waiver, you must insert a Discussion in FIPS indicating that you addressed the fee waiver request.

**6.3.7.2** When you are finished creating a case with a fee waiver request, create a Specialty Letter and select Fee Waiver Denied, edit the document if necessary and then create the case as normal. If you are not sure, please consult your supervisor.

**6.3.7.3** If you believe the requester meets the requirements for fee waiver (and there was no cover sheet) then select "Requested" and send the request to Unit Chief. E-mail your supervisor with the details. A supervisor will make the decision to approve or deny the fee waiver and send the case back to you in the case create role. At that point, you will select either "Granted" or "Denied."

**6.3.7.4** Fee Waiver Denied: When you respond to a request for fee waiver, you must add specific language to the acknowledgement letter. Please see O:\Foia\FOIA LIBRARY\Case Create References\Case Create Template Letters\Fee Waiver(denied) for an example of the denial language. Copy and paste this language into the acknowledgement letter. Do not bold, underline, highlight or enlarge the font of the


language. If the font changes to bold when you paste it in, highlight that text and remove the bold.

**6.3.7.5 Fee Waiver Granted:** If the decision is to grant the fee waiver, then please select “Granted” in the Fee Waiver drop-down box. In the acknowledgement letter, please add the following sentence to the end of the first paragraph:

This is to inform you that your request for a fee waiver has been granted.

**6.3.7.6** If there is a Fee Waiver Request cover sheet, and if you determine during case create that we need to close the case RD, RF, DP or ER, then change the Fee Waiver drop-down box to “Not Requested” before you send the case to Up-front Approver. Because we are not generating a letter regarding Fee Waiver denial or grant, and because it would cause erroneous reporting of Fee Waiver Requests, you must change it to “Not Requested.”

### 6.3.8 *Print to CD*

- ☒ Print To CD
- ☐ PA Cited
- ☐ In Litigation 
- ☐ In Circular Search
- ☐ Delinquent

In an effort to save time, money and resources, the FOIA unit sends out final action responses on CD to all requesters (with two exceptions). When we send out the acknowledgement letter to the requester, it advises them that unless they write in and specifically ask for their documents on paper, they will be receiving them in a CD format. The acknowledgement letter templates reflect the change.

## **RULES FOR CHECKING “PRINT TO CD”**

**6.3.8.1** Check the “Print to CD box” on all new case creates, unless the mailing address of requester is to a correctional facility or unless the requester specified paper in the initial request letter (for requesters who are attorneys, the default is Print to CD).

**6.3.8.2** If the responsive records are already scanned in when you create the case, you will still check print to CD.


**6.3.8.3** All responsive records mailed to a correctional facility must be on paper. In such an instance, you must modify the acknowledgement letter so that we do not tell the requester we are printing the responsive records to CD. Modify the acknowledgement letter by deleting the paragraph that begins with “This office will

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

**6.3.8.4** If the requester is in prison but we are sending the responsive records to an attorney’s office, we will print to CD.

**6.3.8.5** If a requester specifically asks for their records on paper, do not check “Print to CD” box create a Discussion note citing the reason. In such an instance, you must modify the acknowledgment letter so that we do not tell the requester we are printing the responsive records to CD. Modify the acknowledgement letter by removing the paragraph that begins with “This office will be providing your records on a Compact Disc (CD)”

**6.3.9 Is this a delinquent requester?**

- ☐ Print To CD
- ☐ PA Cited
- ☐ In Litigation 
- ☐ In Circular Search
- ☐ Delinquent

The Delinquent Requester search helps FIPS users identify requesters who have unpaid bills in the system. Requesters are delinquent when case fees remain unpaid for more than 45 days.

After you enter the last name of the requester, FIPS will automatically conduct a search for delinquent fees owed by that requester, using the last name of the requester. If the requester is delinquent on any case in any office nationwide, a box will pop up on the screen (see below).

Requester Information	
<b>Sage Morgan</b> DELINQUENT 	(816) 555-5555
123 Drive	x5555
Lees Summit MO 64086	sage@yahoo.com Copy to Subject

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

Requester Information	
<b>Sage Morgan</b> DELINQUENT 	(816) 555-5555
123 Drive	x5555
Lees Summit MO 64086	sage@yahoo.com Copy to Subject
	



The query results appear in a separate window.

Query Results			
Delinquent Cases for Requester results - Webpage Dialog			
http://10.63.16.238:7001/sonora/Query?op=m&name=sQry_getDelinquentCasesForCase&CASEID=8704			
Control Number	Closed	Fee Charged	Fee Collected
DLS2010000044	4/21/2010	1,500	
Total item(s) found (1)			

If a requester/subject previously submitted a request and owed a fee on a case and he or she did not pay the fee within 30 days, the case closed as FP (failure to pay). If the subject/requester submits a new FOIA request, the Delinquent Requester notification is going to pop up. Your requester may possibly not be on the pop-up list. FIPS conducts a search by the last name(s) of delinquent requesters.

#### DELINQUENT REQUESTER RULES:

**6.3.9.1** Do not treat the case as delinquent if the case was processed on or before January 1, 2004. Send an e-mail to [NRC\\_FIPSPROBLEM](#) (clicking on the link will automatically include a copy to NRC, FOIAPROGRAM). In the body of the e-mail, include the name of the delinquent requester and the delinquent case number(s).

**6.3.9.2** If you encounter a delinquent requester from a FIPS Lite office, do not treat them as delinquent. You will know the request was processed in FIPS Lite when you open the case because you will see a "FIPS Lite placeholder."

**6.3.9.3** Make sure the requester of the case you are creating is the same requester that FIPS is showing as delinquent. You must view the delinquent request(s) to make this determination. To view a case, highlight the line and click "view." If the delinquent requester matches your requester, treat the new request as delinquent. To get the delinquent case information (case number, dollar amount) in your acknowledgement letter and in the new case, highlight the name in the box that matches your requester and click ok.

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

Contents		Discussions	Case Actions
Task	Status		
Create Case	Not Started		
Search for Duplicate Cases	Not Started		

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

**6.3.9.4** If the requester is delinquent, do not request responsive records until we receive payment.

NOTE: If you are creating multiple cases, you should “Create Additional Cases” before you prepare the Acknowledgment Letter and File Request(s) for the original case.

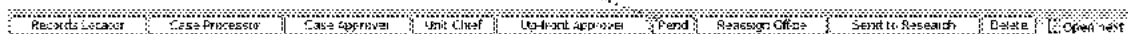
NOTE: A FOIA/PA Assistant working in Records Locator queue may need to cancel pending requester documentation for cases pending requester documentation due to a prior delinquent status that has been removed, because the system does not.

If the FOIA/PA Assistant working in Records Locator queue does cancel pending requester documentation, he or she should generate a new interim acknowledgement letter and staff the case as usual.

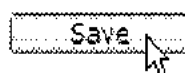
If the requester has more than one delinquent case, you will have to add up the total and modify the delinquent requester letter providing the case number for each delinquent case, the dollar amount owed for each, the total dollar amount owed, and instructions to prepare a check for the total amount made out to “U.S. Treasury.”

When you click “ACK Letter” the following screen pops up. Click OK to generate the letter.

We will take no further action until the delinquency is resolved. Please pend.



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



## **6.4 SEARCH FOR DUPLICATE CASES**

Just before you create the case, you should look for duplicates. Duplicate cases are cases in which the request was submitted multiple times to the Service, or was inadvertently scanned into FIPS multiple times, or are cases that we previously processed.

Sometimes a requester will take a “shotgun” approach. He or she will submit the same FOIA request multiple times to ICE, CBP and CIS, hoping to get an answer more quickly. The

receiving offices will then in turn, transfer these requests to NRC. These are duplicate cases when an office has already processed this request with a final action code of either PD or G1, or has it ready to be processed.

This does not include instances in which the requester has faxed the request and then mailed it. If you open a case and find that the exact same request has very recently been created, chances are that you have opened the mailed copy which followed a few days after the fax. Close this case as ER (created in error).

FIPS v2.0 Training build 00

Work Queries

Actions

Standard Search

Processing Fee Information

Search Case

Status ☐ Open ☐ Closed ☒ Both

Control Number:

Request Number:

Created After:

Office:

Requester Last Name:

Requester First Name:

Requester Middle Name:

Subject Last Name:

Subject First Name:

Subject Middle Name:

A-Number:

Topic:

Contents Discussions Case Actions History

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

Click here

Records Locator	Case Processor	Case Approver	Unit Chief	Up-front Approver	Pend	R
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Page 2 of 2 65.7% Viewing version: 1

Ordinarily, you will get a blank result.

Processing

Control Number	Scanned	Requester's Last Name	Requester's First Name	Requester's Middle Name	Topic A Number	Status	Category	Final	In Action	Litigation
<input type="button" value="Search Complete"/> <input type="button" value="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:

The screenshot shows a web application interface with a navigation bar at the top containing links like "Case Processing Home", "FIPS 2010 Training build 06", "Work Queue", "Actions", and "Standard Search". Below the navigation bar, there are tabs for "Processing" and "See Information". A table displays search results with columns: "Control Number", "Scanned", "Requester's Last Name", "Requester's First Name", "First Name", "Middle Name", "Last Name", "Topic A Number", and "Build Date". A single row of data is visible, showing a control number starting with "131, LRC 2010038504" and a date "4/28/2010". At the bottom of the table, there are two buttons: "Search Complete" and "Search Again".

The screenshot shows a web application interface with a navigation bar at the top containing links like "Contents", "Discussions", "Case Actions", and "History". Below the navigation bar, there are tabs for "Task" and "Status". A table displays case management options with columns: "Task" and "Status". Two rows of data are visible, showing tasks "Create Case" and "Search For Duplicate Cases", both with a status of "Not Started". At the bottom of the table, there are two buttons: "Search Complete" and "Search Again". Below the table, there is a section for "Page 2 of 2 65.7% Viewing version: 1".

If you do get a match, you should select "Edit" (the icon is a folder with a gear in front of it) to open the matching case and carefully review it to be sure it is a duplicate:

Case360 Home

FIPS v7.0 Training build 06 Work Queues

Processing	Fee Information
Control Number Scanned	Req Last
NRC2010038504 5/28/2010 8:00:00 AM Figu	

**Edit**

Search Complete Search Again

By highlighting the case you wish to review and then clicking the “Edit” icon, FIPS will open the case for your review. You then review the request to ensure that:

- If there has been a case that was closed G1 or PD within six months from same requester –
- This does not include cases that were closed with any other final action code.

Once you verify those items and you determine the case is a duplicate of another case, you will select “Set this case as duplicate to original case” as follows:

Case360 Home

FIPS v7.0 Training build 06 Work Queues

Processing	Fee Information
Control Number Scanned	Requester's Last Name
NRC2010038504 5/28/2010 8:00:00 AM Figueraa	

**Set this case as duplicate to original case**

Search Complete Search Again

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

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.

## **6.5 COPYING RECORDS FROM A CLOSED CASE**

You may be checking for duplicates and discover responsive records of an existing closed case meet the following criteria:

- Regular (not Appeals) case
- Status of the duplicate case is “Closed” and
- The date closed was within six months of the current date

If the duplicate case meets all those criteria, then you may copy from the existing case into the new (active) case. The Request Type that you have selected for the existing case and the new case will determine whether any redactions are copied with the responsive records. If both new and existing cases are FOIA Requests or both cases are Privacy Act requests, then redactions will be copied into the new case with the responsive records. However, if the new case is a FOIA Request and the existing case is a Privacy Act request (or vice versa), then the responsive records will be copied but without any redactions.

To begin the search, select the Tasks tab and click **Search for Duplicate Cases**.

Contents Discussions Case Actions		
Task	Status	
Search For Duplicate Cases	Not Started	
Create Additional Cases	Not Started	
Create File Request	Not Started	
Acknowledgement Letter	Not Started	
Final Action Letter	Not Started	
Specialty Letter	Not Started	
Status Letter	Not Started	
Blank Letter	Not Started	
Interest Letter	Not Started	
Expedited Denial Letter	Not Started	
Vaughn Index Letter	Not Started	


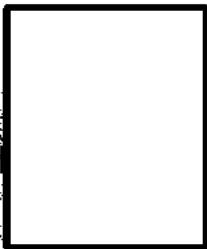





Click the checkboxes next to the populated fields to select which search criteria to use. Case Creators can also type information into other fields to use as search criteria. When have entered all criteria, click **Submit**.

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


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:

(b)(6)



Case Info

Control Number	Scanned	Requester's Last Name	Requester's First Name	Requester's Last Name	First Name	Middle Name	Topic
		7/2002 6:00:00 AM	Johnson Esq	Laurence	Nalubwama	Teopista	
		31/2002 6:00:00 AM	Steel Esq	Richard	Shin	Un	Seok
		7/2010 1:34:12 PM	Sitel	Sam	Sitel	Rick	
		7/2010 1:34:12 PM	Sitel	Sam	Sitel	Rick	
		7/2010 1:22:47 PM	Sitel	Sam	Sitel	RoxAnne	
		7/2010 3:02:43 PM	Richards	Tim	Richards	Viki	Rae
<input type="button" value="Search Complete"/>		<input type="button" value="Search Again"/>					

A message appears in the Case Info tab confirming that you copied the document into the new case:

 Processing  
Copied 1 documents without redactions.

The responsive records now appear in the Contents List of the new case:

Tasks		Discussions		Case Actions			
Document Type	Seq.	Pages	Status	Resp Unit	A-Number	Date	
 Responsive Records	2	19	Scanned	HOU		8/20/2010 3:24:22 PM	
 Request Letter	1	1	Scanned			8/20/2010 4:04:41 PM	

## **7. CONSENT, VERIFICATION OF IDENTITY, AND DESCRIPTION OF RECORDS**

**“Consent”** for the purposes of FOIA/PA is written agreement, approval or permission for access to information in the record by the competent individual to whom the record pertains. **The case creator must review the request and supporting documents to determine if proper consent is present.**

5 U.S.C. § 552a(b) No agency shall disclose any record ... except pursuant to a **written** request by, or with the prior **written** consent of, the individual to whom the record pertains.



6 CFR § 5.21(f): If you are making a request for records concerning *(a living) individual (other than yourself)*... You must also provide a statement from the individual certifying the individual's agreement that records concerning the individual may be released to you.

Consent could be:

- Block 3 on Form G-639, or
- A properly executed Form G-28, or
- A separate declaration by the subject, such as:

Pursuant to the Privacy Act of 1974 and DHS policy, I hereby consent to the disclosure to \_\_\_\_\_ of any record pertaining to me that appears in any system of records of USCIS, USCBP, or USICE.

## 7.1 Consent of parents or guardians

If a parent is filing on behalf of a minor child, then the parent must submit proof of parentage. Proof of parentage can be in the form of a birth certificate, adoption decree or similar document, naming them as a legal parent.

If a guardian is filing on behalf of a minor or person judicially determined to be incompetent, he or she must submit proof of guardianship. No consent is necessary from the minor child or the person judicially determined to be incompetent, however the parent/guardian must provide his or her own verification of identity that is notarized or signed under penalty of perjury [6 C.F.R. § 5.21(e)]. The case processor will have to request more information if he or she cannot determine parentage or guardianship within the file.

Minors may request their own files; they do not have to have the consent of their parents or guardians to do so. Attorneys may represent minors also.

## 7.2 Verification of Identity

If a requester is asking for a Privacy Act record, he or she must provide verification of identity.

A Privacy Act record, for USCIS purposes, is any item, collection, or grouping of information about a person which we retrieve by the person's name, identifying number, symbol, or other identifying particular assigned to that person. This information includes, but is not limited to, a person's nationality, immigration status, education, financial, medical, criminal, or employment history.

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

- Full Name
- Current address
- Date of Birth
- Place of Birth

If the requester did not provide all four required pieces of information, you must send for additional requester documentation. A requester who provides full name, current address and alien number only has not provided sufficient verification of identity.

Next, it says the subject of record must sign the request and his or her signature must either be notarized or submitted under 28 U.S.C. 1746 (*penalty of perjury in lieu of notarized signature*).

The notarized signature of the subject or the signature under penalty of perjury does not need to be on the G-639. If a requester has inserted the **penalty of perjury statement on ANY document**, and the subject of the file has signed the document, it fulfills the requirement to verify identity.

The notarized signature or signature under penalty of perjury **might** be on a:

- Separate letter, or any piece of paper *including* a G-28, but then only if the penalty of perjury statement is directly above the signature of the subject of record.
- G-639, when the subject has signed the first page and the second page does not contain the signature of the subject but has been notarized.
- DOJ-361, Certificate of Identity: we may not suggest or require that a requester use a DOJ-361, but we can accept one as certification of identity with a signature under penalty of perjury or a notarized signature.

A current photo ID is for information purposes only and is not verification of identity.

**“Verification of Identity”** for purposes of FOIA/PA does not include a Form G-28 with a statement made under penalty of perjury by the requesting attorney or representative “that the information I have provided on this form is true and correct.” The statement must come from the subject of the record. A statement made under penalty of perjury must conform to the requirements of 28 U.S.C. § 1746: **Unsworn declarations under penalty of perjury**, which reads as follows:

Wherever, under any law of the United States or under any rule, regulation, order, or requirement made pursuant to law, any matter is required or permitted to be supported, evidenced, established, or proved by the sworn declaration, verification, certificate, statement, oath, or affidavit, in writing of the person making the same (other than a deposition, or an oath of office, or an oath

required to be taken before a specified official other than a notary public), such matter may, with like force and effect, be supported, evidenced, established, or proved by the unsworn declaration, certificate, verification, or statement, in writing of such person which is subscribed by him, as true under penalty of perjury, and dated, in substantially the following form:

(1) If executed outside the United States:

"I declare (or certify, verify, or state) under penalty of perjury under the laws of the United States of America that the foregoing is true and correct.  
Executed on (date).  
(SIGNATURE)".

(2) If executed within the United States, its territories, possessions, or commonwealths:

"I declare (or certify, verify, or state) under penalty of perjury that the foregoing is true and correct. Executed on (date).  
(SIGNATURE)".

If the requester is asking for records concerning *(a living)* individual, and if there is only one signature and it does not fall under one of the categories above, request consent and/or verification of identity using the Track 1, Track 2 or Track 3 Ack Letter Requester Docs located at: O:\Foia\FOIA LIBRARY\Case Create References\Case Create Template Letters or the form "Requester Documentation Attachment" located at:

O:\Foia\FOIA LIBRARY\Case Create References\Case Create Template Letters\Requester Docs Attachment (4). Check the first box on the document.

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

If the requester provided all elements required by 6 CFR § 5.21(d), but did not provide an alien number or receipt number, you may still request a file if there is only one match and there is no other indicator that it may not be the correct subject of record.

You may possibly find multiple matches, or you may find no matches at all. In a situation like this, we do not have a reasonable description of the records the requester wants. We will have to send for additional requester documentation, specifically:

- Alien Number (if known)
- Application/Petition Receipt Number (if known)

Additionally, we may ask for items of information such as mother's and father's names. The requester is not required by law or regulation to provide that information, but if the requester does not, we may be unable to locate a responsive record.

Please request the additional PII with your Acknowledgement Letter. After you create the acknowledgment letter requesting additional documentation, do not create the file request. In the “Contents” tab, you will see a Pending slot for Requester Documentation. Send the case to Pend. After we receive a response from the requester, a FOIA/PA Assistant working in Records Locator queue will request the file. The processor will use the requested information to verify the release of the correct records.

Note: if the requester marks “unknown,” “none” or “N/A” for any element of the above PII, please do not request this information as part of the Acknowledgement Letter.

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

Go to the “Tasks” tab and select “Acknowledgement Letter”

Contents		Discussions	Case Actions	History
Task		Status		
Search for Duplicate Cases		Not Started		
Create Additional Cases		Not Started		
Create File Request		Not Started		
Acknowledgement Letter		Not Started		
Final Action Letter		Not Started		
Specialty Letter		Not Started		
Status Letter		Not Started		
Blank Letter		Not Started		
Interact Letter		Not Started		
Expedited Denial Letter		Not Started		

Records Locator	Case Processor	Case Approver	Unit Chief	Upfront Approver	Pend	Passion Office	Se
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After selecting “Acknowledgement Letter,” the Acknowledgment Letter Options screen will open. Options on this screen will allow you to ask for other documentation and will also allow you to add a Track 3 Denial or Lost File paragraph.

FIPS v7.0 Training build 06
 Work Queries
 Actions
 Stan

Processing Fee Information

**Acknowledgement Letter Options**

Fee Estimate

Prepayment Required

☐ Advance Payment Returned  
☐ Add Lost File Paragraph  
☐ Add Track 3 Denial Paragraph

**Additional Documents Required**

☒ Other Requester Documentation

**Additional Options:**  
 No options found.

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

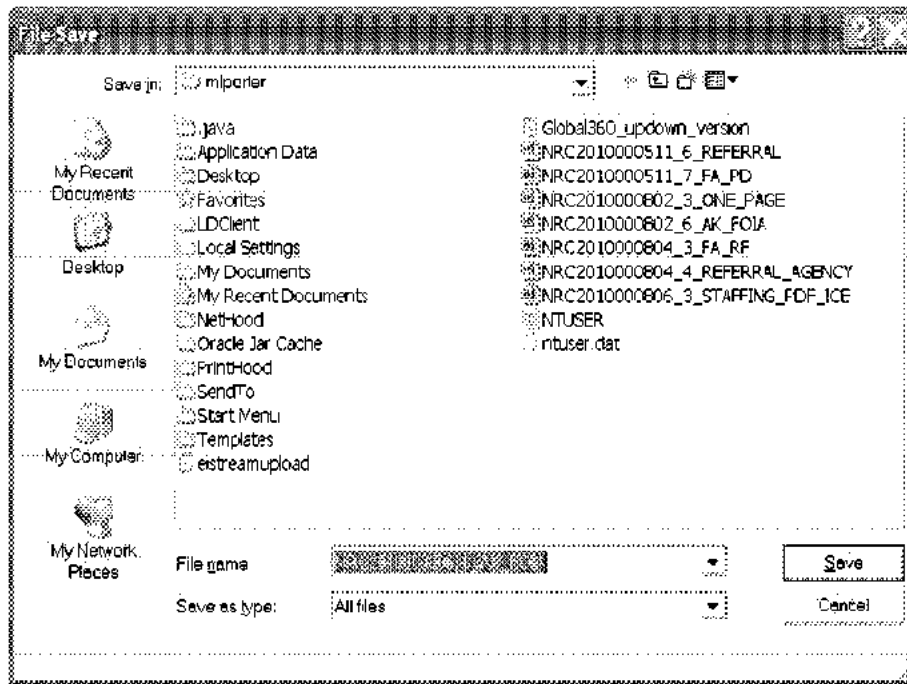
Case360 Home

FIPS v7.0 Training build 06
 Work Queries
 Actions
 Standalone Search

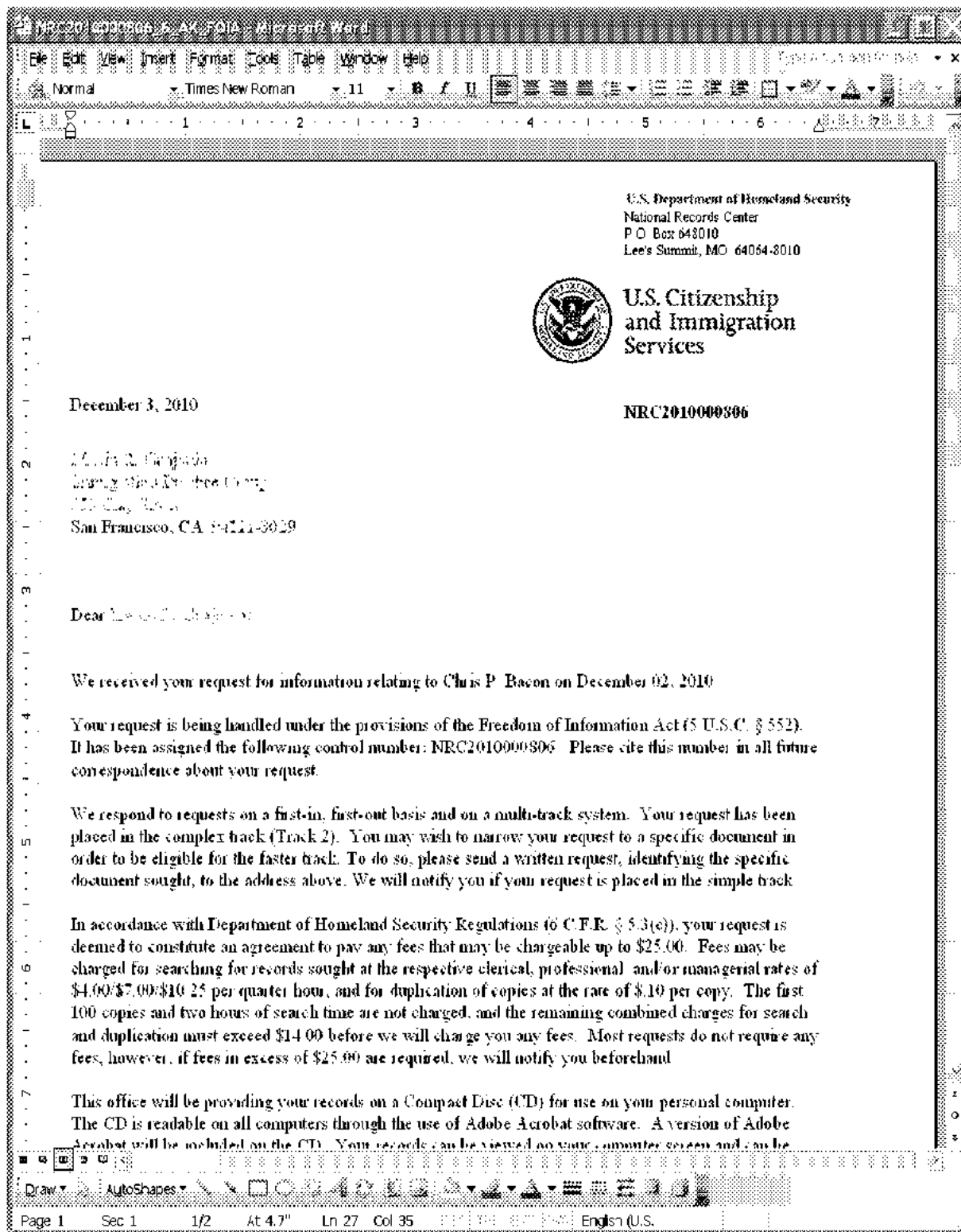
Processing Fee Information

Successfully generated letter Acknowledgement Letter-FOIA.  
 Click on OK to continue.

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



The acknowledgment letter will pop up:



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.



**Check Box Form Field Options**

Check box size  
☒ Auto ☐ Exactly: 10 pt

Default value  
☐ Not checked ☒ Checked **1st**

Run macro on  
 Entry: [ ] Exit: [ ]

Field settings  
 Bookmark: [ ] **2nd**  
☒ Check box enabled  
☐ Calculate on exit

Add Help Text... OK Cancel

The resulting page will look something like this:

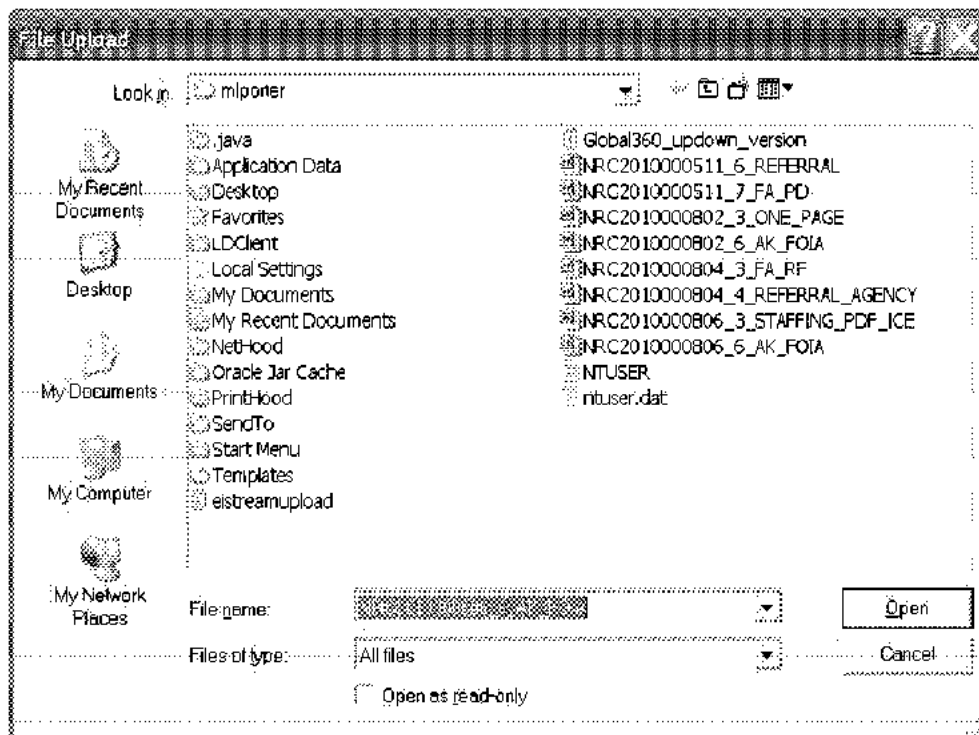
In a situation like this, you would not have created a staffing letter. (Note: If this were a live case, you would not see a pending Responsive Records slot, as in this example.) You save the document, exit Word, and check the document in:

Tasks Discussions Case Actions History							
Document Type	Seq.	Pages	Status	Resp Unit	A Number	Date	
<input checked="" type="checkbox"/> Acknowledgement Letter-FOIA	6		Editing			12/3/2010 10:14:14 AM	
<input checked="" type="checkbox"/> Check In Document	5		Pending	DRO - SEA Seattle	012345678	12/3/2010 8:28:17 AM	
<input checked="" type="checkbox"/> Staffing Response	4		Pending	DRO - SEA Seattle	012345678	12/3/2010 8:28:17 AM	
<input checked="" type="checkbox"/> Staffing Letter - ICE PDF	3		Editing	DRO - SEA Seattle		12/3/2010 8:28:17 AM	
<input checked="" type="checkbox"/> Request Supporting Documents	2	4	Scanned			11/5/2010 8:32:47 AM	
<input checked="" type="checkbox"/> Request Letter	1	2	Scanned			11/5/2010 8:32:45 AM	

Records Locator	Case Processor	Case Approver	Unit Chief	Up-front Approver	Pend	Reassign Office	Se
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Click "Open":



You will notice that there is now a slot for “Requester Documentation” and the Responsive Unit is “Requester.” After this, you send the case to “Pend.”

Tasks Discussions Case Actions History

Document Type	Seq.	Pages	Status	Resp Unit	A-Number	Date
<input type="checkbox"/> Requester Documentation	8		Pending	Requester		12/3/2010 10:40:40 AM
<input type="checkbox"/> Acknowledgement Letter-FOIA	7		Editing			12/3/2010 10:40:40 AM
<input type="checkbox"/> Acknowledgement Letter-FOIA	6		Inactive			12/3/2010 10:14:14 AM
<input type="checkbox"/> Responsive Records	5		Pending	DRO - SEA Seattle	912345678	12/3/2010 8:28:17 AM
<input type="checkbox"/> Staffing Response	4		Pending	DRO - SEA Seattle	912345678	12/3/2010 8:28:17 AM
<input type="checkbox"/> Staffing Letter - ICE PDF	3		Editing	DRO - SEA Seattle		12/3/2010 8:28:17 AM
<input type="checkbox"/> Request Supporting Documents	2	4	Scanned			11/5/2010 8:32:47 AM
<input type="checkbox"/> Request Letter	1	2	Scanned			11/5/2010 8:32:45 AM

Click

Records Locator Case Processor Case Approver Unit Chief Up-front Approver **Pend** Reassign Office Send

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

## 7.4 Third party requests

Sometimes consent is not necessary. For instance, a requester asking for a “*list of all employers in Utah who use E-Verify*” does not have to provide consent. Commercial, contract, and media requests are usually third party requests.

On the other hand, USCIS will not release personally identifying information (PII) or personally sensitive information to a third party without consent. If the requester is asking for records concerning an individual and does not provide consent, nor does it appear likely that the requester is going to get consent, we treat it as a third party request without consent. It may be obvious from the request that the requester will not be able to obtain consent from the subject of record. If you have a doubt, consult your supervisor. The supervisor may have you send for consent, call the requester to see if you can make a determination, or create the case as third party without consent.

Third party requesters are entitled to any public documents that may be in the file they are seeking, as well as documents they provided in support of an application or petition. For example, if a wife is looking for a copy of her husband’s file so that she may divorce him, and says in her request letter that she does not know where he is or says she cannot get his consent, do not send a request back to her for her husband’s consent. In a situation like this, simply request the file and put a Discussion in FIPS that it is a third party request without consent. In the above example, if she did not specifically say she cannot get his consent or that she does not know where he is, do not request the file. In a situation like this, send a request for consent and pend the case for requester documentation.

## 7.5 Deceased subjects and the 100-year rule

If the subject of a request is deceased, it is incumbent upon the requester to provide proof of death. Proof of death could be any of the following:

- Death Certificate;
- Obituary;
- Funeral Memorial; or
- Photograph of headstone

If the subject of a request is over 100 years old, USCIS assumes he or she is deceased and no proof of death is required.

## **8. CASE CREATE SITUATIONS/OTHER PROBLEMS**

At any time during the case-create process you may encounter a quirky or unusual situation. Some not-so-usual situations follow this paragraph, but as a case creator, you will inevitably see situations you have never seen before. Case creators should seek assistance from their supervisors as a first step. If the problem cannot be resolved, the creator should send the case to the Unit Chief and send an e-mail to the supervisor for clarification. If it is not a situation that needs clarification but some type of FIPS error, send an e-mail to the FIPS Problem mailbox ([NRC, FIPSPROBLEM](#)), or in other situations to the MSB mailbox ([NRC, NRCFOIAMSMB](#)).

Clicking on the FIPSPROBLEM link above will automatically generate an e-mail addressed to both the NRC, FIPSPROBLEM mailbox and the NRC, FOIA PROGRAM mailbox.

### **8.1 REQUESTS: Foreign Consulate**

Immediately forward any type of correspondence, FOIA request or inquiry received from the consulate of a foreign nation to the Director's Office for handling. USCIS Headquarters is the only one authorized to correspond with foreign consulates.

Please make sure it is a consulate requesting the records and not the subject of the request putting the consulate's address on the G-639 to mail the records to the consulate (for passports). If the request is from a consulate, please send the FOIA request to Up-front Approver to be closed as an ER and send an e-mail to [NRC, FOIAOA](#) mailbox with the case information. The supervisor will review and close the case. If the subject mailed the request and wrote the consulate's address on the G-639, use the subject's address from the envelope and set it up as a self request.

### **8.2 REQUESTS: Non-immigrant visa material**

If the requester specifically asks for non-immigrant visa data and there is no record of the person in CIS or CLAIMS; do not close the request as NR. If the requester is asking a question about being a student, au pair, camp counselor, or participating in a summer work/travel program, or if the requester specifically mentions visa type F-1, F-3, J-1, M-1 or M-3, then you should refer the request to ICE, since that record will be tracked in SEVIS (Student and Exchange Visitor Information System.) An example of a "refer to ICE" type request might be: "Type of visa, visa number and legal documents allowing entry into the US. The subject was a student at the University of Nebraska."

Otherwise, redirect the requester to Department of State. An example of a "re-direct to State" type request might be for a B1/B2 visa, such as: "Type of visa, visa number and legal documents allowing entry into the US. The subject visited Disney World and Cape Canaveral and entered at Orlando International Airport."

### **8.3 REQUESTS: Routine use, no consent required, not FOIA**

USCIS may disclose records to an appropriate Federal, State, tribal, local, international, or foreign agency, including law enforcement, or other appropriate authority charged with investigating or prosecuting a violation or enforcing or implementing a law, rule, regulation, or order, where a record, either on its face or in conjunction with other information, indicates a violation or potential violation of law, which includes criminal, civil, or regulatory violations and such disclosure is proper and consistent with the official duties of the person making the disclosure.

What does that mean? We may disclose records from alien files to other Federal, State and local government agencies as a normal course of operation for law enforcement purposes. Consent is not necessary for the processing of these types of requests. Some examples of these types of requests include requests relating to child support enforcement and aliens seeking public assistance.

Requests from government agencies (federal, state or local) for verification of status of aliens are routine use.

These types of requests are not a part of FOIA and should not be in FIPS. For example, you may open a request from a county public assistance agency attempting to locate a child's father who is avoiding financial responsibility. If you open a request from a state or local government agency requesting information about an alien, send the case to Up-front Approver for closing as ER. The only exception to this rule is if there is a cover sheet with instructions to create as FOIA.

### **8.4 REQUESTS: Bond obligor, no consent required, not USCIS FOIA**

Criminal bonds are bonds posted by individuals or bail bondsmen relating to non-immigration violations of the law. These requests are processed by Immigration and Customs Enforcement.

Immigration bond obligors are surety companies who have posted an immigration bond (I-352) for an alien who has been taken into custody by the Service. If the alien fails to attend his or her hearing, then he or she forfeits the bond. Under the court case *Amwest v. Reno*, the surety companies, or their attorneys, are entitled to a complete copy of the alien's file to assist them in trying to locate the alien. Consent is not required for the bond obligor; however, they should provide a copy of the bond contract, Form I-352, with their FOIA request.

We no longer process requests received from immigration bond obligors or criminal bond obligors. Please send any new requests that are scanned into FIPS to Up-front Approver for closing as ER. Please send an e-mail to NRC, FOIAOA and provide the REQ number or control number, and also include the requester's name.

OA room will mail the request to the following address:

Immigration and Customs Enforcement  
Attention: Catrina Pavlik-Keenan  
ICE FOIA/PA Unit  
800 North Capitol Street, NW, Room 585  
Washington, DC 20536-5009

## 8.5 REQUESTS: A-number only

If a requester/subject is asking for his or her alien number only, follow these steps:

- Search CIS with the information provided on the request to locate an A-number.
- If you locate an A-number, compare the information provided on the request with the information in CIS to make a positive ID.
- You must have proper consent and all of the required PII in order to proceed. If consent or any PII are missing, generate the acknowledgement letter and request the additional information.
- If proper consent is present and all of the required PII is present:
  - Open a RAFACS staffing slot only
  - Print a copy of CIS 9101 screen, attach a “Scan As” cover sheet and mark the box “Responsive Records.” Take the screen print to the designated person (currently John Latimer) for scanning.

Make the case a Track 1 case and pend the case for responsive records. When the responsive records are scanned in, the case will move to the processing queue.

## 8.6 REQUESTS: Bracero Program

The Bracero Program (1942-1964) began as a temporary World War II program to fill agricultural labor shortages, and continued in one form or another for more than twenty years. Initially the program included workers from Mexico, the Virgin Islands, British West Indies, and elsewhere. After about 1945, the program was limited to agricultural workers from Mexico, and the term “bracero” refers to an imported farm worker from Mexico. “Brazo” means arm, and “bracero” means a person who works with his arms.

Begin with a thorough search of CIS. If no record is located, request a manual search. Create a Records Indexing Staffing and enter all information provided by the requester. If the manual search produces no record, generate a "NR" letter and send the case to Up-front Approver. The supervisor will review and close the case.

In these no record cases, the researcher's only recourse may be to search for a record of admission at the National Archives (NARA). Today NARA holds microfilm of arrivals at US-Mexico Border ports of entry from ca. 1905 to 1954 (some to 1957). A Bracero admitted in 1960 will not appear in these records due to the cut-off dates.

The requester can request a search by writing directly to NARA. In their letter, the requester should ask for a search of Mexican border arrival manifests in Record Group 85. The correspondence to NARA should contain the date and port of entry, as well as the name used at the time of entry, age at the time of entry and any other identifying information.

NATIONAL ARCHIVES AND RECORDS  
ADMINISTRATION  
CIVIL REFERENCE  
7<sup>th</sup> AND PENNSYLVANIA AVENUE NW  
WASHINGTON DC 20408

## **8.7 REQUESTS: Referrals and Consultations received from other agencies**

As other agencies process FOIA/PA requests, they will sometimes find our agency's documents within their files. These documents will be referred to us for processing. The responsive records could be USCIS documents being referred to us for review or joint documents i.e., co-authored by the referring agency and other agencies. A transmittal memorandum advising us to respond directly to the referring agency is a consultation. A transmittal memorandum advising us to reply directly to the requester is a referral.

Send the case to processor. Send an e-mail to the MSB mailbox advising them that you have created the case and that it is a referral/consultation from another agency. Include the alien name and the NRC control number.

## **8.8 REQUESTS: USCIS personnel information**

- Requests that deal specifically with USCIS vacancy announcements, performance ratings and awards are scanned and handled in the HQS queue by the Special Interest Group.
- If a request for CIS Personnel Information mistakenly is scanned in the NRC queue, create the case and reassign the case to **HQS**. Create the case as a Track 2 case. Use

**PER** for the category and **CIS** for the bureau, in the “Topic” field, enter the vacancy announcement number.

Records Editor Case Processor Case Approver Unit Chief Up-front Approver Panel Reassign Office Send to Research Delete Open next

Click on the “Reassign Office” and select the HQS office. The case will be staffed when it is re-assigned to the HQS queue. Send an e-mail to NRC, FOIASIG with the case information.

## 8.9 REQUESTS: Official Personnel File

You may open a FOIA request received from an individual for a copy of his or her Official Personnel File (OPF). Inform such requesters in the final action letter that they may access their OPFs on-line at:

[http://cbpnet.cbp.dhs.gov/xp/cbpnet/hrm/for\\_employees/info\\_about\\_you/eop\\_folder/eopf\\_logon.xml](http://cbpnet.cbp.dhs.gov/xp/cbpnet/hrm/for_employees/info_about_you/eop_folder/eopf_logon.xml)

You should then create a Final Action Letter and select the closing code “NA: FOIA or PA not applicable.” You will have to select a Non-FOIA Operational Unit. Choose “NRC-Director.” You do not have to modify the referral letter, but you should make the appropriate edits in the Final Action Letter. Next, send the case to Up-front Approver. The supervisor will review and close the case.



Processing Fee Information	
<b>Final Action Letter</b>	<b>Final Action Dependent Options</b>
DP: Duplicate ER: Created in Error FC: Requester's failure to comply FI: Requester's failure to ID records NP: Not applicable - certified copy NR: Non-possession of records OR: Old records RD: Redirected to another agency RF: Referred to a DHS Component UT: Unable to locate records WD: Request withdrawn	<b>Records Needed</b> <input type="checkbox"/> Insert Clerk of Courts/National Archives paragraph <input type="checkbox"/> Insert women married to U.S. citizens paragraph  <b>Non-FOIA Operational Units</b> ML Non-FOIA Offices Privacy Act Amendment Request REQUEST FOR FILE FROM A FOREIGN FCO Service Centers TRN FOIA/PA UNIT WCF
<b>Reasons</b>	<b>Redirects/Referrals</b>
<input type="button" value="Submit"/> <input type="button" value="Reset"/> <input type="button" value="Cancel"/>	

## 8.10 REQUESTS: Red Cross / Last known address

Requests from the Red Cross or from some other non-governmental organization (such as Salvation Army, etc.) looking for the last known address of an alien are normal FOIA requests. You should create the case and request the file as a specific document request. It is not necessary to create an acknowledgement letter if the request is from the Red Cross.

## 8.11 REQUESTS: Federal, state, local agencies

Governmental agencies, including county public assistance agencies, are seeking the alien to enforce court ordered support or enforcement of some other lawful responsibility. These types of requests fall under the routine use category.

## 8.12 REQUESTS: Return of original documents

Requesters will sometimes ask for the return of original documents, such as adoption decrees, birth certificates or other documents of a personal nature on a request addressed to FOIA. If the request for the return of original documents is submitted on a G-639, we are required to provide the requester with a copy of the specific documents requested. For return of original documents, the requester must submit a G-884 to the SAVE Unit of their local district office. Insert the following verbiage in the acknowledgement letter.

In your FOIA request you have specifically asked for the return of original documents. We will provide you with a copy of these documents. In order to obtain the original documents you must submit a G-884, "Request for the Return of Original Documents" to the Save Unit of the nearest district office.

If a Form G-884 has accidentally been scanned into FIPS as a FOIA request, send the case to Up-front Approver for closure as "ER" (created in error). A letter is not created by FIPS; you will need to create a Blank Letter explaining the reason we did not accept their request as a FOIA request. Print two copies of the letter. Attach a cover sheet on one copy to be scanned in as a CSD and send the other copy to the OA room for mailing to the requester. Include a detailed Discussion note. Send the case to Up-front Approver. The supervisor will review and close the case.

If the alien file is located at the NRC, the Case Resolution Team at the NRC handles all G-884's (Request for Return of Original Documents). OA ordinarily forwards any requests for return of original documents to Case Resolution.

### **8.13 REQUESTS: Privacy Act Amendment**

A person who is a United States Citizen or a Lawful Permanent Resident may request that we amend, expunge, or correct information in his/her PA record that the individual believes is not accurate, relevant, timely or complete. Sometimes a supervisor will place a coversheet on the request stating "Privacy Act Amendment."

If you are creating a Privacy Act Amendment request, please do the following:

1. Begin as usual, filling in requester and subject information and searching for duplicates.
2. Assign it to Track 2. Assign it to Category: Special Interest Group.
3. Create the case.
4. Prepare an email for NRC, FOIASIG and insert the case number in the body of the e-mail.
5. Change the Office to "COW." Click "SAVE." Click "Reassign Office." You are now ready to move on to the next case.

## **8.14 SITUATION: Untranslated Foreign Language Documents**

If you find an untranslated foreign language document which may contain essential information needed to create a case, and you are unable to determine what that information is, there are individuals at the NRC available to translate. Here is the procedure:

- Insert a Discussion titled “Untranslated Documents” and the reference page numbers.
- Copy the text of the Discussion and paste it into an e-mail to [NRC, NRCFOIAMS@MSB](#).
- Send the case to Unit Chief.
- After translation, a copy of the translated information may be scanned in, or the translator may add a Discussion response. The translator will then return it to you for creation and/or staffing.

## **8.15 SITUATION: Congressional correspondence**

When the unit receives correspondence from a member of Congress, the creator will need to create the case as a track two case, mark the category as Congressional, request the requested documents and send an e-mail to the [MSB Mailbox](#) advising them of the control number, congressional contact information and name of the subject of the request. Do not use the Congressional office address as the address for the FOIA request. If an address for the subject cannot be found, please contact a member of the MSB for more guidance.

## **8.16 SITUATION: Appeals**

While case creating, you may open a request and see that it is marked “Appeal.” The requester will include the case number he or she is appealing. If this happens, you do not create the case. In the upper right hand of the image portion of the FIPS worksheet, there is a printer logo:

Office: NRC Change Office

Print... Delete

Print Options... Save

20574 2502

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

NOTE: Use of this form is optional. Any written format for a Freedom of Information request.  
**START HERE - Type or print in black ink. Read instructions before completing.**

**I. Type of Request (Check appropriate box)**

Select "Print." FIPS will then print out all the pages of the request. Get those pages and take them to the designated appeals POC (Currently Beth Stokes). After you are sure the pages printed correctly and you have control of those pages, click "Delete." This is possibly the only time you ever click "Delete."

Type of Request	Status	Action
Request to Research	Delete	Open next

## 8.17 SITUATION: New requests received on the I-694

If you see a case in the creator role or the processor role that has the I-694, Notice of Appeal of Decision Under Sections 245A or 210 of the Immigration and Nationality Act (INA), scanned as the FOIA request letter, this is considered a legitimate request. The Administrative Appeals Office sends this form along with the A-file to the NRC for processing under FOIA.

Form I-694 is used to notify USCIS that an individual is appealing the denial of their permanent residence, temporary residence, or a waiver of grounds of inadmissibility.

To assist you in identifying this request, the words "NEW REQUEST" should have been written on the top of the form before scanning. Please note the request may not have a current date. The case creator should create the case, and request additional information or consent if needed. If additional information or consent is not necessary, send the case to processor.

## **8.18 SITUATION: Subpoena or court order**

If you pull a new request that is a subpoena or court order, please send it to Up-front Approver for closure as ER. Send a message to NRC, FOIA PROGRAM; McDaniel, Marcia M (clicking the link generates the e-mail) providing the REQ number and information indicating the request was a subpoena or court order. The NRC Program Office is currently addressing these requests. Subpoenas or court orders are a high priority. Please notify NRC, FOIA PROGRAM as soon as possible. If you aren't sure, please contact your supervisor for guidance on how to proceed.

## **8.19 SITUATION: Certification of record**

When creating a new case, insert a Discussion "requester wants documents certified." The processor or approver will handle the certification process.

Certification of records is done in accordance with 8 C.F.R. § 103.7(d) and the Records Operations Handbook (ROH).

The NRC will certify certain documents from A-files as being true and correct copies. The physical file must be located at either the NRC or the FRC. Genealogy requests that were received, staffed and processed by NRC can also be certified by the NRC. The NRC will not certify copies of documents that belong to other agencies. Information will be provided to the requester on how to obtain certified copies of these documents. The NRC can also provide a certified letter giving information such as the date of entry and the status of the individual.

First, evaluate if the request qualifies under the Genealogy Program. Refer to the section entitled Case Specifications, Category 4 (Other).

NRC will not certify naturalization certificates for living persons. If the individual has his or her original naturalization certificate and want or need a certified copy of it, he or she must make an INFOPASS appointment. An individual must submit an N-565, Application for Replacement Naturalization/Citizenship Document if he or she has lost or misplaced the original.

Records Services Branch, USCIS does all certificates of non-existence; these requests must be submitted in writing to the address shown below:

U.S. Citizenship and Immigration Services  
ATTN: Records Service Branch  
1200 First Street, NE, 2<sup>nd</sup> Floor  
Washington, DC 20529-2204

## **8.20 SITUATION: Certification of record for dual Italian citizenship**

If we receive a request asking for a certified copy of a relative's naturalization certificate for the purpose of applying for dual Italian citizenship:

Evaluate if the request qualifies under the Genealogy Program. Refer to the section entitled Case Specifications, Category 4 (Other).

If the requester's relative is deceased, he or she must submit the request to the USCIS Genealogy Program. The web address for more information and instructions for submitting their request is **USCIS.gov** or;

If the requester's relative is living, please include the following paragraph in your acknowledgement letter:

This is in response to your request for a certified copy of a relative's naturalization certificate in order to apply for dual Italian citizenship. According to information obtained from the Italian Embassy in Washington, D.C., certified copies of naturalization certificates are not required for the dual citizenship application. The Italian Embassy requires the naturalization certificate copy along with our USCIS cover letter and envelope. The records that we release as part of this FOIA request will serve that purpose.

## **8.21 SITUATION: Record at National Archives and Records Administration (NARA)**

The National Archives and Records Administration has designated alien files as permanent records for the Federal Government, ensuring their retention indefinitely. As with all permanent records of the Federal Government, ownership and physical custody of the record is transferred to NARA at a designated point and NARA becomes the custodian of the record. Once the record is transferred to NARA, anyone who wants documents out of the file will have to file his or her FOIA request directly with NARA. The "magic date" for alien files to be turned over to NARA is when the subject of the file passes 100 years of age. The NRC has begun the process of transferring the targeted files into the custody of NARA.

As a result, case creators need to pay close attention to those cases in which the subject of the file was born more than one hundred years ago, particularly if the request does not meet the criteria for a genealogy case.

For example, the requester writes in and makes the following request:

"I want the records of Joe Crab, date of birth, March 22, 1899. Mr. Crab naturalized in 1957 and died in 1969. Enclosed is proof of his death and alien number."

NOTE: You may find the complete list of criteria in Section 3, “Category of request” in the sub-paragraph “GEN.”

Mr. Crab meets one prong of the criteria for genealogy because he was born long ago; however, since he was naturalized in 1957, he does not meet the prong of having no documents in his file dated after 1951. If you are creating a case and the subject of the request is 100 years of age or older, **but** the person DOES NOT fully meet the criteria for a genealogy case, please pay special attention to NFTS. If NFTS shows that the a-number has been retired to NARA, it means we have turned the records over to NARA permanently. The requester will have to send a request to NARA. Please select FINAL ACTION OPTIONS when creating the Acknowledgement Letter, select NA and replace the normal Acknowledgement Letter with the NARA Historical Record Letter located at

O:\Foia\FOIA LIBRARY\Case Create References\Case Create Template Letters\Historical Record Letter.

It may happen that USCIS has not yet transferred the file to NARA. If NFTS still shows a shelf location within NRC (or any other office), request the file.

## **8.22 SITUATION: Old records**

Occasionally we will receive a request for records pre-dating our recordkeeping system. The agency maintains immigrant arrival records created since 1892; and naturalization records since 1906.

When a request is for records older than those maintained by the agency, create a Final Action Letter and select “OR.” This generates a letter to the requester explaining that the records being requested are older than those maintained by the agency. After generating the final action letter, send the case to Up-front Approver. The supervisor will review and close the case.

## **9. REFERRAL AND REDIRECTION**

### **9.1 Referral**

The FOIA requires us not to close a case if there is information in another component of our department. For instance, the Drug Enforcement Administration and the Federal Bureau of Investigation are both components of the Department of Justice. If DEA receives a FOIA request and determines the information is with FBI, they may not close the case and tell the requester to write to FBI (that is redirection). They must send the request to the FBI and advise the requester they have done so (that is referring).

USCIS occasionally receives FOIA requests for non A-file records totally under the purview of another DHS component. When this occurs, we refer the FOIA request in FIPS to the correct component. The following agencies are DHS components:

- Transportation Security Administration (TSA)
- U.S. Customs and Border Protection (CBP)
- U.S. Immigration and Customs Enforcement (ICE)
- U. S. Secret Service (USSS)
- Federal Emergency Management Agency (FEMA)
- U.S. Coast Guard (USCG)

Under the “Tasks” tab, select Final Action Letter. Select “RF: Referred to a DHS Component” as the final action code. Under “Redirects/Referrals” select the component to which we are referring the request and click “Submit.”



FIPS v7.0 Training Build 06      Work Queues      Actions      Standalone Search

Processing      See Information

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**Final Action Letter**

- DP: Duplicate
- ER: Created in Error
- FC: Requester's failure to comply
- FR: Requester's failure to pay records
- NA: FOIA or P4 not applicable
- NR: Not applicable - certified copy
- NR: Non-possession of records
- OR: Old records
- RD: Redirected to another agency
- UT: Unable to locate records
- WD: Request withdrawn

**Final Action Dependent Options**

Records Needed

- Insert Clerk of Courts-National Archives paragraph
- Insert women married to U.S. citizens paragraph

**Non-FOIA Operational Units**

- 1. FBI - Bureau
- 2. FBI - New York
- 3. FBI - Los Angeles
- 4. FBI - Chicago
- 5. FBI - San Francisco
- 6. FBI - Dallas
- 7. FBI - Houston
- 8. FBI - Phoenix
- 9. FBI - Portland
- 10. FBI - San Jose
- 11. FBI - Seattle
- 12. FBI - Tampa
- 13. FBI - Washington Field Office
- 14. FBI - White Plains
- 15. FBI - Wichita
- 16. FBI - Albuquerque
- 17. FBI - Anchorage
- 18. FBI - Bismarck
- 19. FBI - Butte
- 20. FBI - Casper
- 21. FBI - Cheyenne
- 22. FBI - Denver
- 23. FBI - El Paso
- 24. FBI - Fort Worth
- 25. FBI - Grand Rapids
- 26. FBI - Hartford
- 27. FBI - Indianapolis
- 28. FBI - Jacksonville
- 29. FBI - Kansas City
- 30. FBI - Las Vegas
- 31. FBI - Little Rock
- 32. FBI - Louisville
- 33. FBI - Madison
- 34. FBI - Miami
- 35. FBI - Milwaukee
- 36. FBI - Minneapolis
- 37. FBI - Mobile
- 38. FBI - Montgomery
- 39. FBI - Newark
- 40. FBI - New Orleans
- 41. FBI - New York
- 42. FBI - Norfolk
- 43. FBI - Omaha
- 44. FBI - Oklahoma City
- 45. FBI - Oklahoma City
- 46. FBI - Oklahoma City
- 47. FBI - Oklahoma City
- 48. FBI - Oklahoma City
- 49. FBI - Oklahoma City
- 50. FBI - Oklahoma City

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**Reasons**

**Redirects/Referrals**

- Department of Justice
- Federal Emergency Management Agency
- Immigration and Customs Enforcement
- Transportation Security Administration
- U.S. Customs and Border Protection
- United States Coast Guard

Submit    Reset    Cancel

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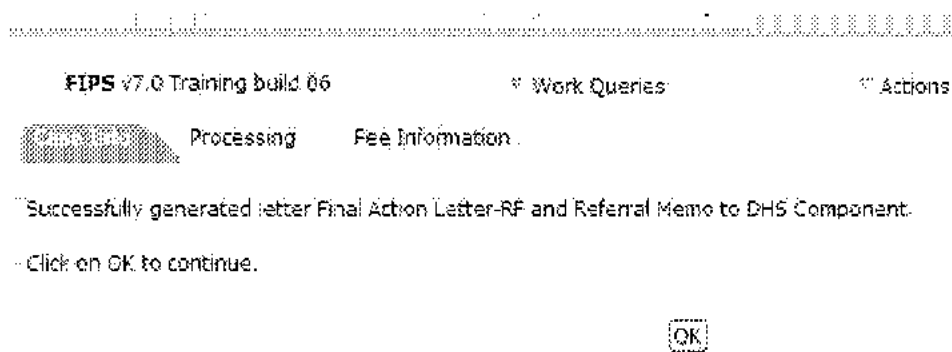
Contents	Discussions	Case Actions	History
<b>Task</b>		<b>Status</b>	
Search For Duplicate Cases		Not Started	
Create Additional Cases		Not Started	
Create File Request		Not Started	
Acknowledgement Letter		Not Started	
Final Action Letter		Not Started	
Specialty Letter		Not Started	
Status Letter		Not Started	
Blank Letter		Not Started	
Interest Letter		Not Started	
Expedited Denial Letter		Not Started	

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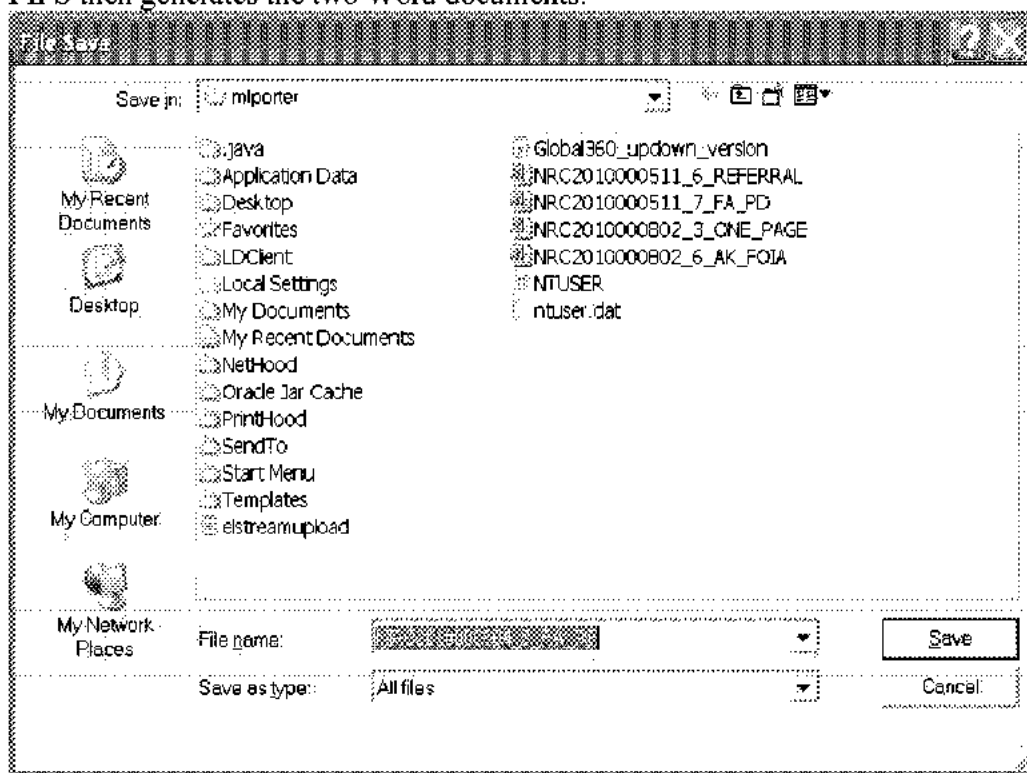
Records Locator    Case Processor    Case Approver    Unit Chief    Up-front Approver    Pending    Reassign Office    Send

Page 1 of 2    60%    Viewing version: 2

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



FIPS then generates the two Word documents:

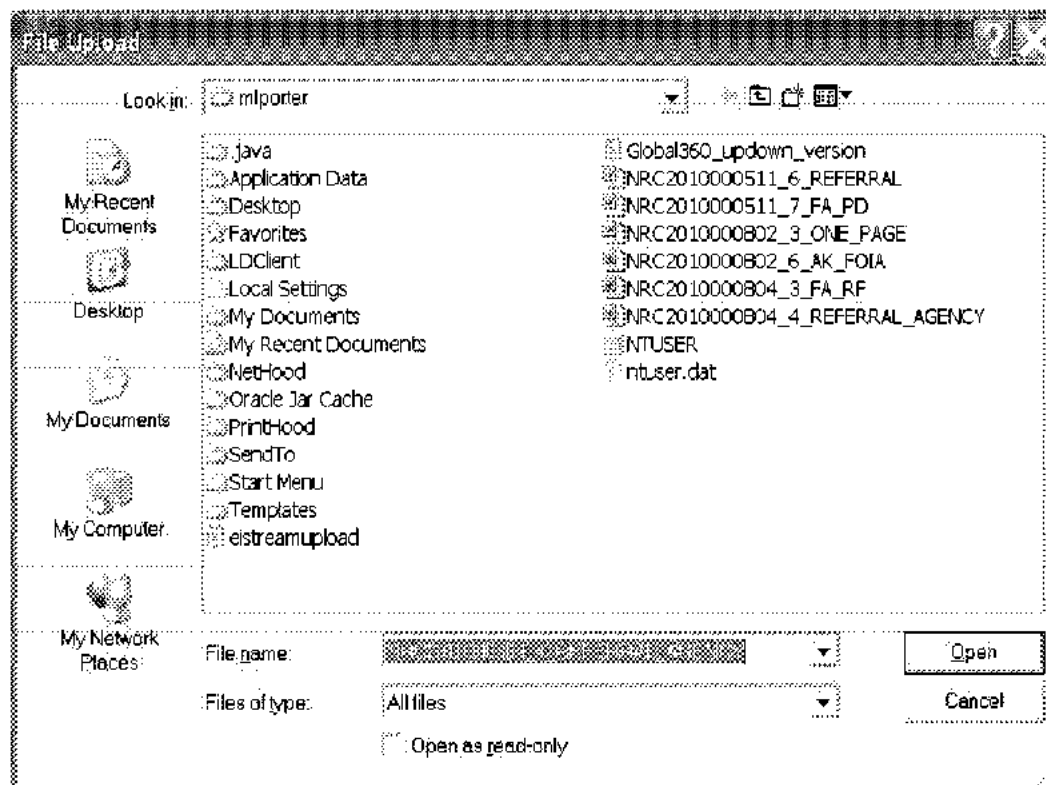


You may have to edit the letter to add needed information. After you exit from the Word documents, they will appear under the “Contents” tab:

	Tasks	Discussions	Case Actions	History			
	Document Type	Seq.	Pages	Status	Resp Unit	A Number	Date
	Referral Memo to DHS Component	4		Editing	PER		12/2/2010 11:57:35 AM
	Check In Document	3		Editing			12/2/2010 11:57:34 AM
	Request Supporting Documents	2	1	Scanned			11/5/2010 8:21:56 AM
	Request Letter	1	2	Scanned			11/5/2010 8:31:53 AM

Records Locator	Case Processor	Case Approver	Unit Chief	Up-front Approver	Paid	Reasoning Office	Send
<a href="http://202apnrc221001/recordsra/ra/CheckInFilestore.jsp?docId=5061">http://202apnrc221001/recordsra/ra/CheckInFilestore.jsp?docId=5061</a>							

Click on the “Check in Document” icon and you will get a “Save” dialog box. Click “Open.”



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

## 9.2 Redirection

If we receive a request for records that belong to an agency outside of DHS, we close it and write a “redirect letter.” Under the “Tasks” tab, select Final Action Letter. Select “RD: Redirected to

another agency” as the final action code. Under “Redirects/Referrals” select the agency to which we are referring the request and click “Submit.”

An example of a request we close and redirect is a petition that we discover has been forwarded to the National Visa Center for issuance of an immigrant visa. The redirect letter advises the requester to contact the different agency for the information they are seeking. The procedure for the documents is the same as for referrals. You may have to edit the letters to add needed information. After you exit from the Word documents, they will appear under the “Contents” tab. Click on the “Check in Document” icon and you will get a “Save” dialog box. Click “Open.” After you have done this for both documents, send the case to Up-front Approver.

### **9.3 Entry/Exit Information referral to CBP**

CBP handles FOIA requests for entry and exit information dating back to 1982, inspection, Port of Entry (POE), requests for information relating to air and/or marine incidents, or the U.S. Border Patrol Academy, legacy Customs or legacy Inspections. Key words that you could see on a request relating to CBP are inspection, Port of Entry, Bridge of the Americas, Friendship Bridge, and smuggled goods. A FOIA request for this type of information should be referred to **CBP** at the address shown below.

U.S. Customs and Border Protection  
FOIA Division  
799 9<sup>th</sup> Street NW, Mint Annex  
Washington, DC 20229-1177

**Note:** If the request is for entry/exit information and the requester/subject provided an alien number, request the file. If the request is for entry/exit information and the requester/subject did not provide an alien number, you must thoroughly search CIS and CLAIMS to be sure the person does not have an alien number or application. CBP has records on entry and exit information dating back to 1982, but no further back. You may modify the referral letter; any information you can provide as to what the requester is asking for will be helpful to CBP.

### **9.4 Border Patrol referral to CBP**

If you encounter a Border Patrol Request in Case Create, refer the case to CBP. This includes Border Patrol records relating to apprehension, entry without inspection (EWI), smuggled humans, mobile patrol group, voluntary return, repatriation, or checkpoints.

Exception to this rule; if the requester provides an A-number or you locate an A-number through a search of the systems, please request the A-file.

## **9.5 Personnel/hiring practices/vacancy announcements**

If you receive a request concerning employee records, vacancy announcements, or any personnel matter generally, please create the case as you normally would by filling in the blanks and controlling the case. After that, change the Category to PER. Do not create a staffing and do not send any correspondence to the requester. Add a Discussion note that this appears to be a personnel-type FOIA request. Send an e-mail to [NRC.FOIASIG](#). After that, send the case to Unit Chief.

## **9.6 US-VT referral to US Visit**

Refer requests relating to United States Visit. The United States Visit is a Border Security Program that records biographic, biometric and travel information for all foreign visitors to the United States. The system screens all crewmembers and passengers that travel to the United States by air, sea or land. United States Citizens are not in the system.

If the requester is asking for both a copy of the alien file and for entry and exit information, you should request the file. See [Entry/Exit CBP](#) information above.

## **10. DETERMINING TO STAFF BASED ON BEST INFORMATION AVAILABLE:**

If you determine that the requester has provided all the PII possible after performing the CIS 9102 or 9106 and 9103 screen searches shown above, and there is only one person in the CIS 9101 screen with the same information, please request the file. However, prepare a Discussion explaining why you staffed for the file.

## **11. SOCIAL SECURITY NUMBER**

USCIS does not use Social Security numbers in the Freedom of Information/Privacy Act requests. Even if the alien disclosed his or her SSN in the request, do not enter that number on the FIPS worksheet. We will not request the Social Security number when requesting additional documentation.

## **12. REQUESTING THE RESPONSIVE RECORDS**

After the acknowledgement letter is created, if all required information is present, the next step is to request the records that are responsive to the request.

How do you determine what records are responsive to the request? First, you have to read the request. Typically, the requester will ask for a complete copy of an alien file and they will provide an alien number. If this is the situation, you must verify in CIS that this alien number belongs to the subject.

There is a staffing guide/RPC reference sheet available on the FOIA Operations intranet page to use for requesting the file.

If the requester is only seeking specific documents, please make a Discussion in FIPS detailing what those documents are. You will also be mentioning those specific documents in your acknowledgment letter to the requester.

The Service Centers (except MSC/NBC) scan the responsive records into FIPS when they are the FCO for that file. Please see the staffing guide for more instructions on requesting these types of Service Center files.

If the requester did not provide an alien number or receipt number but did provide enough information to conduct a thorough search, you should search CIS, CLAIMS and possibly PCQS to determine the subject's alien number or receipt number. If the requester did not provide enough information to conduct a thorough search, then you will have to ask the requester for more information.

We do not request "S" (substitute) or "W" (working) files unless instructed to by a supervisor/lead. After the creator has staffed for the appropriate files, the next and final step to case creation is to pend the case for the responsive records.

If the file is located at COW, with the Responsible Party Code (RPC) of RK, please insert a Discussion after you have created the case. The title of the Discussion should read "File is at RK." Send the case to Unit Chief. Send your supervisor an e-mail with the control number of the case and that the file is located at COW with an RPC of RK.

If you see an RPC of "ZW" in NFTS; that indicates the file is classified. Staff the file to the current FCO. If you see an RPC code ZW0004; that indicates the file is here at the NRC in the safe and you should staff: FOIA Safe.

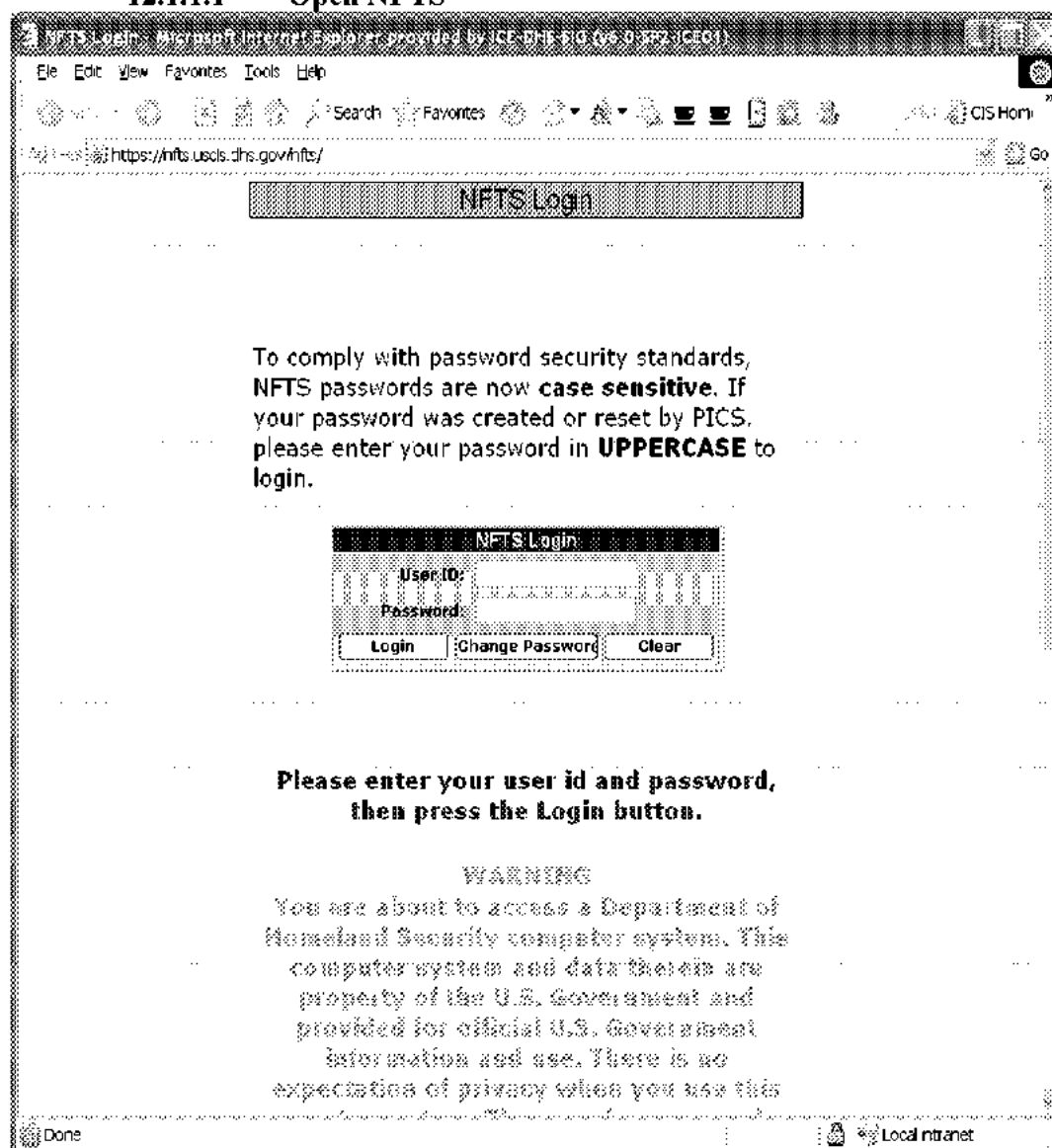
If you pull a case that has a FOIA Safe staffing you should **NEVER** cancel the file request. Send the case to Pend.

## 12.1 Staffing by Alien Number

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

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

#### 12.1.1.1 Open NFTS



### 12.1.1.2 Submit your location

The screenshot shows a Microsoft Internet Explorer window titled "NFTS Login/Choose Location - Microsoft Internet Explorer, provided by ICE-DHS-SIG (v6.0.SP2-ICE01)". The address bar displays "http://nfts.uscis.dhs.gov/nfts/setuseroffice.asp". The main content area features a header "NFTS Login/Choose Location" and a central form titled "Select Office and Default Section". The form includes a "Select Office:" dropdown menu, a "Default Section:" dropdown menu with "AA" selected, and a "Default Resp. Party:" text input field. A "Submit" button is located at the bottom of the form. The status bar at the bottom of the browser window shows "Done" and "Local intranet".

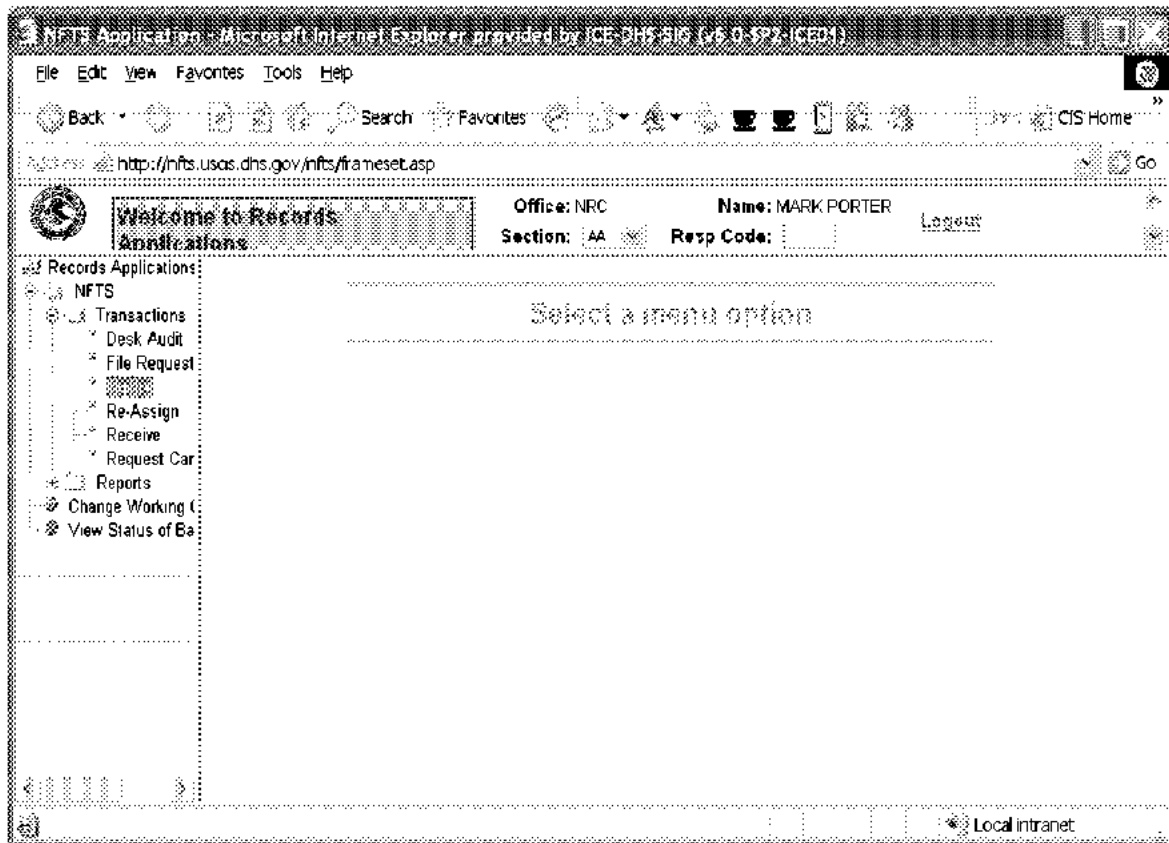
115

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Updated on 6/15/2011



### 12.1.1.3 Select "Inquiry"



**12.1.1.4 Select “ALL Converted Offices”** and enter “A” or a “+” then enter the A-number. Preferably, paste the copied number from CIS so you are sure you are asking for the correct file.

**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.

Microsoft Internet Explorer provided by 10.0.0.5:80 (http://10.0.0.5:80)

File Edit View Favorites Tools Help

Back Forward Stop Reload Home

Address: http://nars.dhs.gov/nars/frameset.asp

**Inquiry**

Office: NRT Name: MARK PORTER  
Section: AA Resp Code:

Enter File Number: Search

Search in ALL Converted Offices Search For ONLY Specified File Prefix

Show information entered on or after:

History Comments Filter

Clear Exit

**General Inquiry For A00000000**

File #	Seq	Office	Status/Last Action	Location
A00000000	000	CEA	Status: RECORD IN USE Audit Date: 11/01/2009 01:35:01 PM Last Action: 11/01/2009 01:35:01 PM Batch Audit	Sect: DP DEPORTATION Resp: 000 PIA SELF TROUBLE

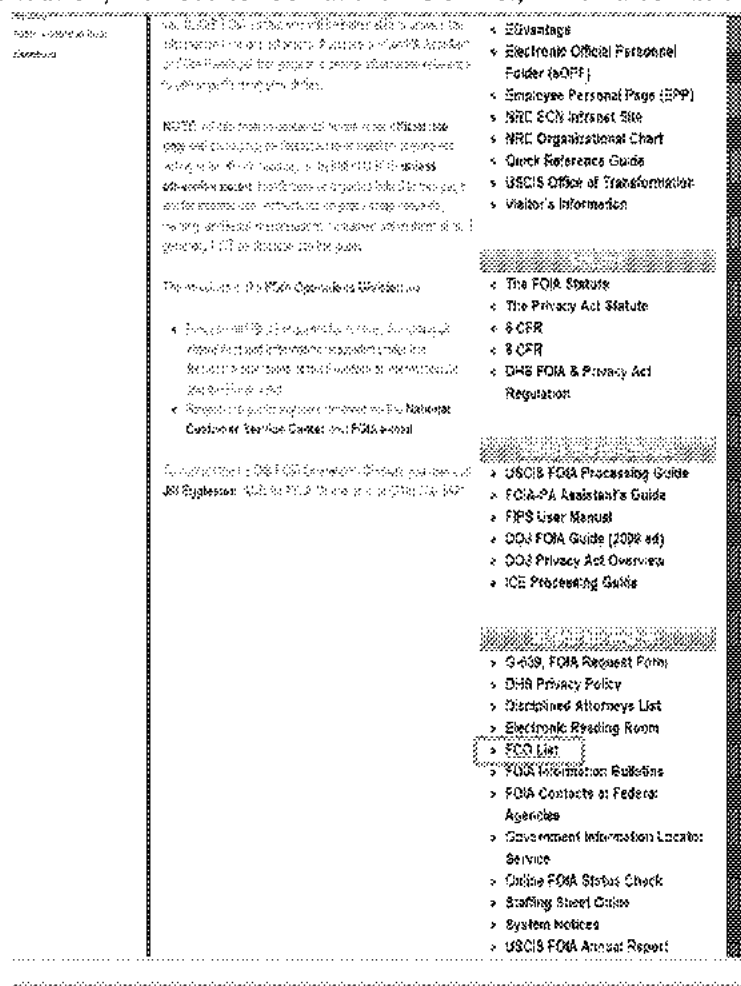
\* Local Internet

#### 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.



**12.1.1.8 The RPC Reference Guide** says that no matter what the FCO is, if the RPC starts with DP, we staff to DRO. If you don't already know this, SAC, RAC, ASAC, DRO and OPLA are all ICE functions. That's important for staffing.

Internet Explorer - http://en.uscis.dhs.gov/irrc/pdf/FCCList.pdf

File Edit Go To Favorites Help

Search Favorites

Address: http://en.uscis.dhs.gov/irrc/pdf/FCCList.pdf

120%

D:\Fols\FOIA LIBRARY\Case Create References\Case Create Template Letters\Case Create References\FOIA FCC List 3/31/2010

**RPC REFERENCE FOR STAFFING - Updated 3/31/10**

FCO	Codes	Description	Staffing	Notes or Exceptions
ALL		Adjudications	non - FOIA	
ALL		Airports	non - FOIA	are Border Patrol
ALL		Anti Fraud	non - FOIA	
ALL		Anti Smuggling	SAC/RAC/ASAC	
ALL		Chief Counsel	OPLA	
ALL	CAP	Criminal Alien Program	DRO	
ALL	DI	Deferred Inspection	non - FOIA	Border Patrol function
ALL	DP	Deportation	DRO	
ALL		Detained	DRO	If Co. Jails, Prisons and Processing Centers.
ALL	D & R	Detention and Removal	DRO	
ALL		Detention Facility Name	DRO	This includes Co. Jails, Prisons and Processing Centers.
ALL		District Counsel	OPLA	
ALL	EX	Examination	non - FOIA	
ALL	FD	Fraud detection (FDNS)	non - FOIA	
ALL	FO	Freedom of Information Act	DRO	

Done Unknown Zone

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Updated on 6/15/2011

#### 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.

[illegible]

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Updated on 6/15/2011

### 12.1.1.10 Figuring out a Staffing Scenario

The Guide confirms what we thought. If we staff to DRO, then we choose the FCO where the file is located. We're going to look for DRO-SEA. Note that the quickest way for me to find the information is by searching "DRO." I could have also gone to the table of contents and looked under Staffing Scenarios.

**STAFFING SCENARIOS - ICE FILES**

There are currently five different types of staffings for files located within the ICE function. The NETS screen print should be posted to the second page of the staffing letter.

**OPLA** -- Staffing sheets are to be used for files that are located in the following office sections. Choose the FCO where the file is located, such as OPLA-BOS.

Office Section	Acronym
Total Attorney's Office	TA
Chief Counsel	
Litigation	LI or LJ
Legal Section	LS
District Counsel	DC

Staffing sheets are to be used for files that are located in the following office sections. Choose the FCO where the file is located, such as DRO-DEN.

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

Results:

- ☒ OPLA/DRO/SAC) OS - Used for all c...
- ☒ the drop down box to select the offic...
- ☒ as DRO-DEN, Office Section Acronym...
- ☒ DET, DRO, DD&P Criminal Alien Prog...
- ☒ DRO-WAS) Admin Program Office Hc...
- ☒ action drop down menu, FIPS will a...
- ☒ on drop-down menu titled "Refereed"
- ☒ the drop-down menu for "Category."

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Go to the “Tasks” tab and click on “Create File Request.”

Make sure the button marked “Customize Letter” is selected. The file is not missing or lost, so we won’t check that box. We know the file is at DRO Seattle, so we will scroll down “Staff Request To” until we find it.



### 12.1.1.12 FIPS – Staffing Request dialog box

We will scroll down the DRO list until we get to SEA, select it and then click Request File:

Processing Fee Information

A-Number: 012345678 ☐ EDM5

Staff Request To: **Generate Staffing Sheet**

☐ No Staffing Letter  
☒ Customize Letter  
☐ File Missing/Lost

DRO - POM  
 DRO - POO  
 DRO - PRO  
 DRO - REN Reno  
 DRO - SAC Sacramento  
 DRO - SAJ San Juan PR  
**DRO - SFR San Francisco**

**Request To Staff**

**Location Address**  
 DRO - SEA Seattle  
 Deportation +330  
 206-833-0081

**Office Contact**  
 Name: [Bobby Wong]  
 Email:  
 CC Email:

**Request File** **Cancel**

Contents Discussions Case Actions History

Task	Status
Search For Duplicate Cases	Completed
Create Additional Cases	Not Started
Create File Request	Not Started
Acknowledgement Letter	Not Started
Final Action Letter	Not Started
Specialty Letter	Not Started
Status Letter	Not Started
Blank Letter	Not Started
Interest Letter	Not Started
Expedited Denial Letter	Not Started

Records Locator Case Processor Case Approver Unit Chief Up-front Approver Pend Reassign Office Sen

Page 1 of 2 80.5% Viewing version: 1

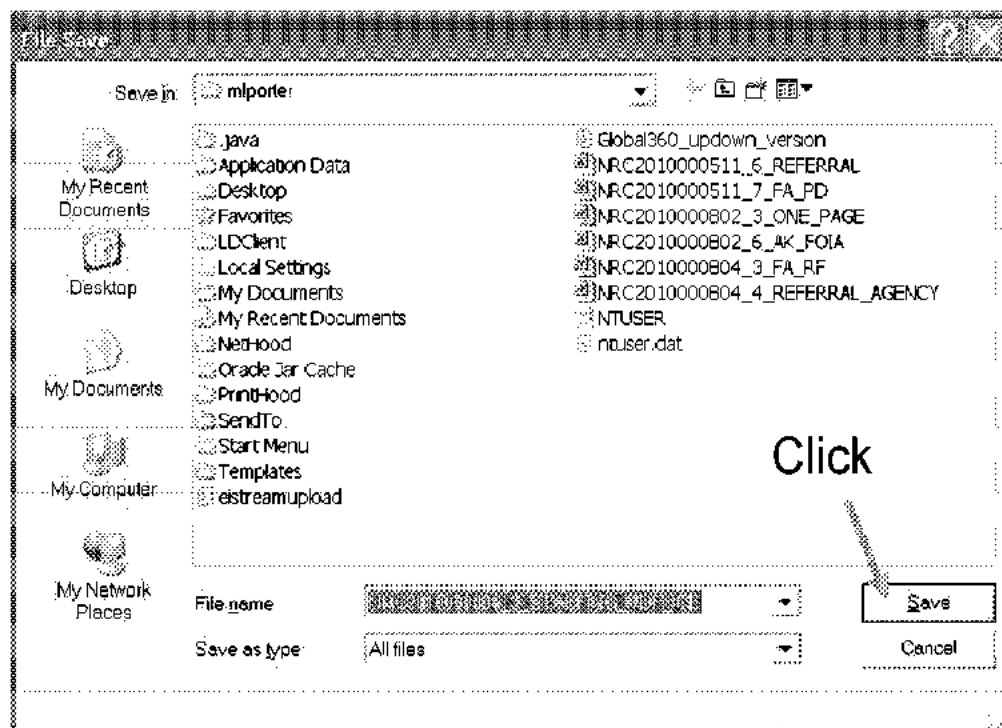
### 12.1.1.13 Create the customized staffing letter

After that, we get a message that says “Successfully generated letter Staffing Letter – ICE PDF.” Click OK and then move to the “Contents” tab. Click on the Staffing Letter and select “Edit (Check Out)”

Tasks Discussions Case Actions History							
Document Type	Seq.	Pages	Status	Resp Unit	A-Number	Date	
<input type="checkbox"/> Responsive Records	5		Pending	D&O - SEA Seattle	612345676	12/3/2010 9:28:17 AM	
<input type="checkbox"/> Staffing Response	4		Pending	D&O - SEA Seattle	612345676	12/3/2010 9:28:17 AM	
<input type="checkbox"/> Staffing Letter- ICE PDF	3		Editing	D&O - SEA Seattle		12/3/2010 9:28:17 AM	
View	2	4	Scanned			11/5/2010 9:32:47 AM	
Edit (Check Out)	1	2	Scanned			11/5/2010 9:32:49 AM	
Manage Document							
Reserve (Lock)							
Download File							
Send to Print Queue							
Cancel Letter							

Records Locator	Case Processor	Case Approver	Unit Chief	Upfront Approver	Pend	Reassign Office	Send
-----------------	----------------	---------------	------------	------------------	------	-----------------	------

Page 1 of 2 80.5% Viewing version: 1




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

File Edit View Insert Format Tools Table Window Help

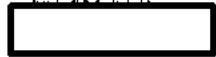
Normal Times New Roman 11

U.S. Department of Homeland Security  
National Records Center  
P.O. Box 648010  
Lee's Summit, MO 64064-8010

 U.S. Citizenship and Immigration Services

December 3, 2010 NRC2010000806

MEMORANDUM FOR:  
DRO - SEA Seattle  
Deportation Asst.

(b)(6) 

ATTN: Bonny Wong

FROM: NRC FOIA/PA

SUBJECT: Freedom of Information /Privacy Act Request NRC2010000806  
Alien # 012345678  
Subject Name: Chris P. Bacon

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

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

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

Draw AutoShapes

Page 1 Sec 1 1/2 At 4" Ln 23 Col 19 English (U.S.)

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Updated on 6/15/2011

Go to the end of the letter and position your blinking cursor below the word "Attachments."  
Next, we go back to NFTS and copy the location information.

FOIA Response

File Edit View Insert Format Tools Table Window Help

Normal Times New Roman 11

1 2 3 4 5 6

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

Attached is our justification for withholding any responsive material.

The following records system number/title was search

System	Results	
	Positive	Negative

I certify that I am responsible for the search of records conducted in my office encompassed by this request and the attached records were the only such documents located in response to this request.

Signature \_\_\_\_\_ Date \_\_\_\_\_

Printed/Typed Name \_\_\_\_\_

Title \_\_\_\_\_

Telephone # \_\_\_\_\_

Attachments:

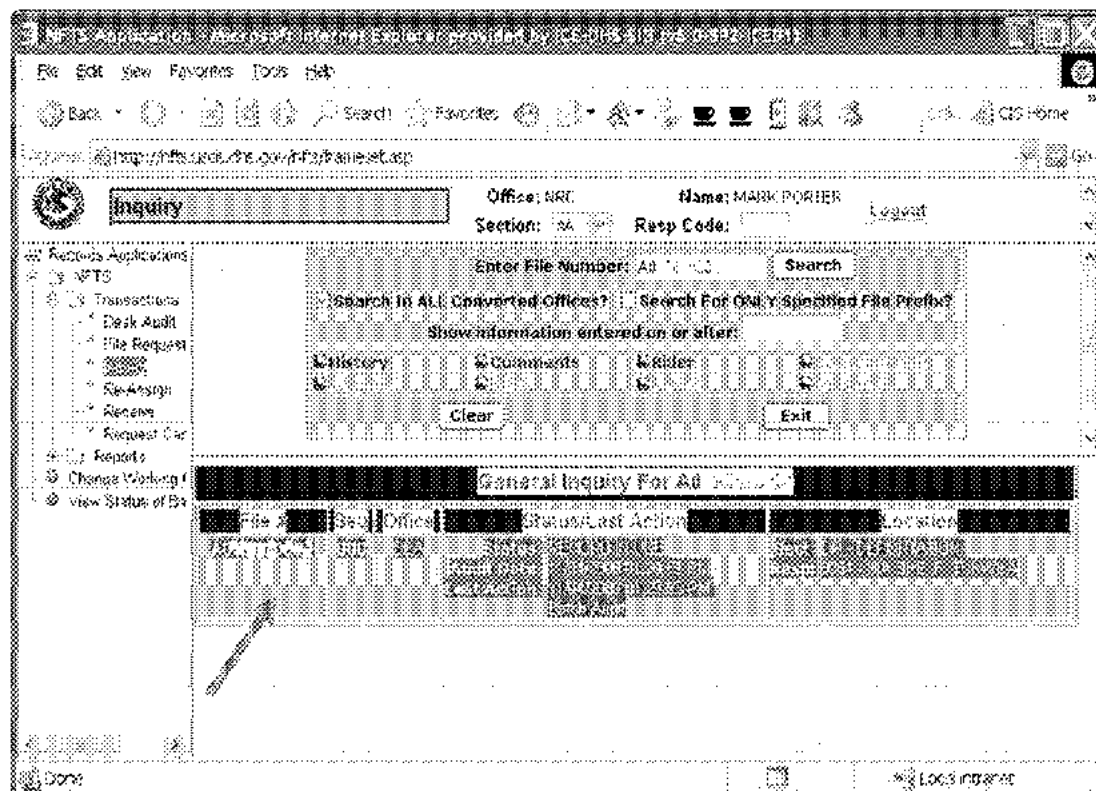
WIN-11111111

FOIA Response

Page 2 Sec 1 2/2 At 8' Ln 42 Ccl 1

#### 12.1.1.14 Put the staffing information in the staffing letter

Right-click somewhere in the gray area below “General Inquiry.” You will get a drop-down dialog box. Click on “Select All.” Right-click again and select “Copy.” Now we will paste the information into the staffing letter.



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

Microsoft Word

File Edit Format View Tools Window Help

Positive Negative

I certify that I am responsible for the search of records conducted in my office encompassed by this request and the attached records were the only such documents located in response to this request.

Signature \_\_\_\_\_ Date \_\_\_\_\_

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

Title \_\_\_\_\_

Telephone # \_\_\_\_\_

Attachment(s)

General Inquiry For AUSA [redacted]						
#	Req. Office	Status	Status and Action	Req.	Req.	Location
01	0001	SEA	10/28/2010 10:28:14 AM	10/28/2010 10:28:14 AM	10/28/2010 10:28:14 AM	10/28/2010 10:28:14 AM
		And Date	10/28/2010 10:28:14 AM	10/28/2010 10:28:14 AM	10/28/2010 10:28:14 AM	10/28/2010 10:28:14 AM
		Last Action	10/28/2010 10:28:14 AM	10/28/2010 10:28:14 AM	10/28/2010 10:28:14 AM	10/28/2010 10:28:14 AM

request and the attached records were the only such documents located in response to the request.

Signature \_\_\_\_\_ Date \_\_\_\_\_

Printed/Typed Name \_\_\_\_\_

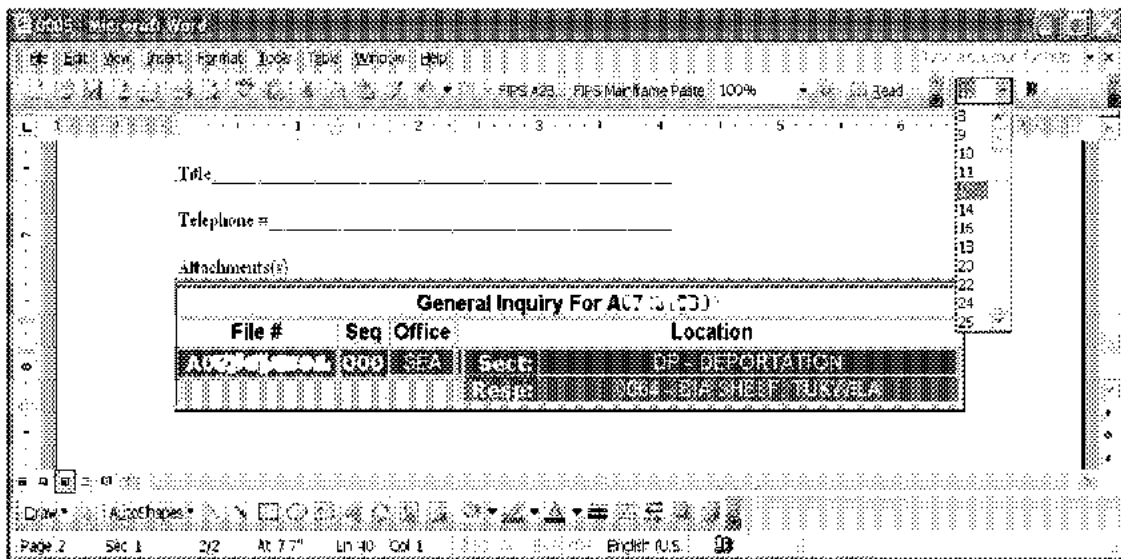
Title \_\_\_\_\_

Telephone # \_\_\_\_\_

Attachment(s) \_\_\_\_\_

General Inquiry For AWP 100-10000			
#	Seq	Office	Location
1	1000	ST4	ST4
2	1001	ST4	ST4
3	1002	ST4	ST4
4	1003	ST4	ST4
5	1004	ST4	ST4
6	1005	ST4	ST4
7	1006	ST4	ST4
8	1007	ST4	ST4
9	1008	ST4	ST4
10	1009	ST4	ST4
11	1010	ST4	ST4
12	1011	ST4	ST4
13	1012	ST4	ST4
14	1013	ST4	ST4
15	1014	ST4	ST4
16	1015	ST4	ST4
17	1016	ST4	ST4
18	1017	ST4	ST4
19	1018	ST4	ST4
20	1019	ST4	ST4
21	1020	ST4	ST4
22	1021	ST4	ST4
23	1022	ST4	ST4
24	1023	ST4	ST4
25	1024	ST4	ST4
26	1025	ST4	ST4
27	1026	ST4	ST4
28	1027	ST4	ST4
29	1028	ST4	ST4
30	1029	ST4	ST4
31	1030	ST4	ST4
32	1031	ST4	ST4
33	1032	ST4	ST4
34	1033	ST4	ST4
35	1034	ST4	ST4
36	1035	ST4	ST4
37	1036	ST4	ST4
38	1037	ST4	ST4
39	1038	ST4	ST4
40	1039	ST4	ST4
41	1040	ST4	ST4
42	1041	ST4	ST4
43	1042	ST4	ST4
44	1043	ST4	ST4
45	1044	ST4	ST4
46	1045	ST4	ST4
47	1046	ST4	ST4
48	1047	ST4	ST4
49	1048	ST4	ST4
50	1049	ST4	ST4
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61	1060	ST4	ST4
62	1061	ST4	ST4
63	1062	ST4	ST4
64	1063	ST4	ST4
65	1064	ST4	ST4
66	1065	ST4	ST4
67	1066	ST4	ST4
68	1067	ST4	ST4
69	1068	ST4	ST4
70	1069	ST4	ST4
71	1070	ST4	ST4
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75	1074	ST4	ST4
76	1075	ST4	ST4
77	1076	ST4	ST4
78	1077	ST4	ST4
79	1078	ST4	ST4
80	1079	ST4	ST4
81	1080	ST4	ST4
82	1081	ST4	ST4
83	1082	ST4	ST4
84	1083	ST4	ST4
85	1084	ST4	ST4
86	1085	ST4	ST4
87	1086	ST4	ST4
88	1087	ST4	ST4
89	1088	ST4	ST4
90	1089	ST4	ST4
91	1090	ST4	ST4
92	1091	ST4	ST4
93	1092	ST4	ST4
94	1093	ST4	ST4
95	1094	ST4	ST4
96	1095	ST4	ST4
97	1096	ST4	ST4
98	1097	ST4	ST4
99	1098	ST4	ST4
100	1099	ST4	ST4
101	1100	ST4	ST4
102	1101	ST4	ST4
103	1102	ST4	ST4
104	1103	ST4	ST4
105	1104	ST4	ST4
106	1105	ST4	ST4
107	1106	ST4	ST4
108	1107	ST4	ST4
109	1108	ST4	ST4
110	1109	ST4	ST4
111	1110	ST4	ST4
112	1111	ST4	ST4
113	1112	ST4	ST4
114	1113	ST4	ST4
115	1114	ST4	ST4
116	1115	ST4	ST4
117	111		

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





Finally, we exit and save our work. We have successfully staffed for the A-file. The next thing we have to do is check the staffing letter back in.

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

Attached is our justification for withholding any responsive material.

The following records system number/title was search.

System	Results	
	Positive	Negative

I certify that I am responsible for the accuracy of the information provided in this request and the attached documents. Office of the Manager

Signature \_\_\_\_\_

Printed/Typed Name \_\_\_\_\_

Title \_\_\_\_\_

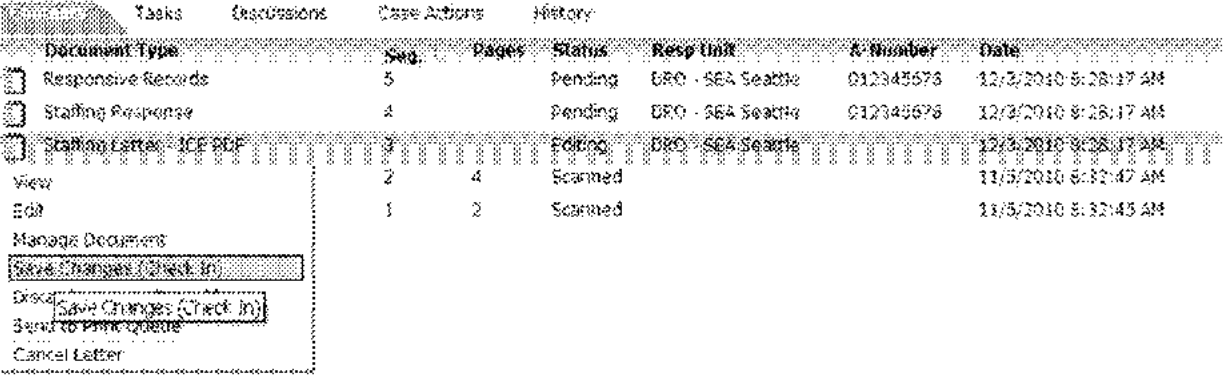
Telephone # \_\_\_\_\_

Attachments(s)

General Inquiry For A07					
File #	Seq	Office	Sect	Respt	Location
AC-119-C-000	SEA	Sect: Respt	DP - DEPORTATION	0084 - BIA SHELF TURKILA	

Barcode: NRC2010000806\_3\_STAFFING\_PDF\_ICE

### 12.1.1.15 Save changes and check it back in

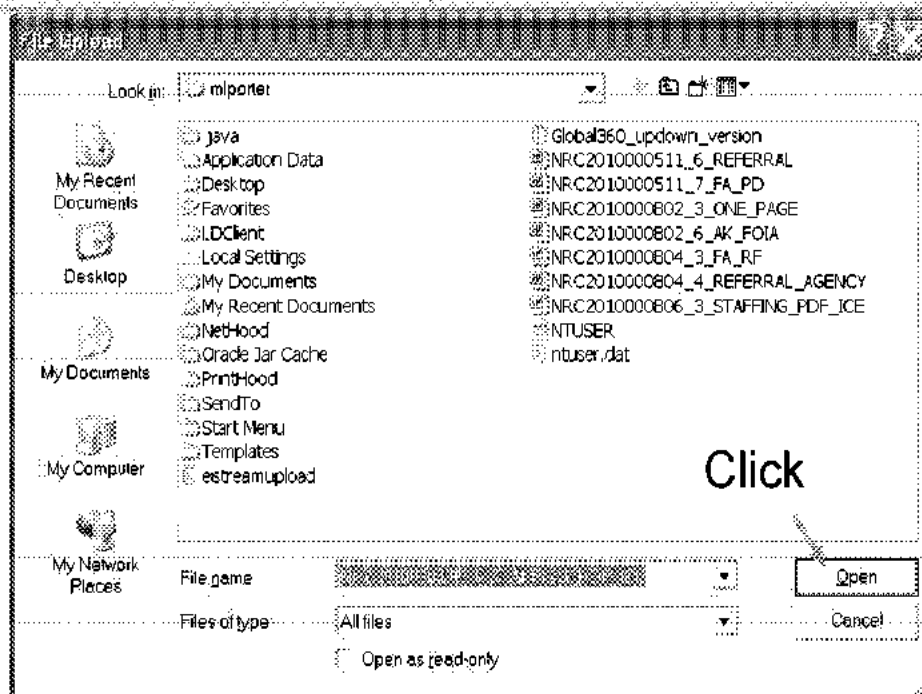


The screenshot shows a web application interface with a table of documents. The table has columns: Document Type, Seq, Pages, Status, Resp Unit, A-Number, and Date. The documents listed are:

Document Type	Seq	Pages	Status	Resp Unit	A-Number	Date
Responsive Records	5		Pending	BRO - SEA Seattle	012345678	12/3/2010 8:28:17 AM
Staffing Response	4		Pending	BRO - SEA Seattle	012345678	12/3/2010 8:28:17 AM
Staffing Letter - ICE PDF	3		Pending	BRO - SEA Seattle		12/3/2010 8:28:17 AM
View	2	4	Scanned			11/5/2010 8:32:47 AM
Edit	1	2	Scanned			11/5/2010 8:32:45 AM

A context menu is open over the 'Staffing Letter - ICE PDF' row, showing options: View, Edit, Manage Documents, Save Changes (Check In), Discard, Save Changes (Check In), Send to Print Queue, and Cancel Letter. The 'Save Changes (Check In)' option is highlighted.

Below the table, there is a URL bar showing: <http://202apennr12.7001/senioraffairs/CheckInStore.jsp?docId=5065>



After this, send the case to "Pend."

### 12.1.2 Two or more A-numbers

Multiple unconsolidated A-numbers - If the requester has provided more than one A-number, you must research CIS for each A-number to determine if they relate to the subject. If the subject has multiple A-numbers, you will create one case and do multiple staffings. When you are required to request two or more unconsolidated A-files, the individual file request must

include the words “**MULTIPLE STAFFINGS**” at the top of each sheet. Do not confuse this with the subject of the file having an “A” file and a “T” file. The alien numbers must refer to different unconsolidated A-files and relate to the subject of the request if you are to mark it “**MULTIPLE STAFFINGS.**”

**Important note:** If one of the files you are requesting is located at RAFACS/CIS, FRC or one of the Service Centers, request those alien numbers first. These locations produce the file faster than other offices. MSB will not know to pull the staffing letters for follow-up unless you noted “Multiple Staffing” on the sheet.

If the alien has multiple unconsolidated A-numbers and the files are both located at the NRC, please add them to the spreadsheet that Records Operations maintains at S:\Record\_Ops\Files to Consolidate.xls. You are responsible for entering the alien numbers of the files that may possibly need consolidation. Records Operations will review the files and consolidate if necessary. If both files are not at NRC, do not add the information to the spreadsheet.

### ***12.1.3 Consolidated A-numbers***

If the alien has a consolidated A-number, then please enter only the lead (or surviving) A-number on the worksheet in FIPS and request that file. Consolidated A-numbers are reflected in CIS on the 9101 screen, under the section titled “Consolidated A-Nos”. The A-number listed first is the primary A-number; the other A-numbers listed below the primary have been consolidated into the primary number.

Note: please do not add consolidated A-numbers to the “files to consolidate” spreadsheet.

## 12.2 Border crossing card number

If the alien number provided by the requester is an 80,000,000 through 86,899,999 series number, it is a Border Crossing Card number. Even though you can research this number in CIS, there is no physical A-file associated with these types of numbers. You will need to research CIS and CLAIMS to see if there are any other A-files/receipt files associated with this alien.

Previously during the Case Create process, if a requester/subject provided a Border Crossing Card Number and all of the required PII (except an A-Number), we asked the requester/subject to provide additional information (Alien or receipt number, copies of documents from the service, etc...). We used this information to determine if the subject had an A-File. We would find the A-file only in very rare instances.

We no longer request additional information if the requester/subject provides all of the required PII (except an A-Number). Since Border Crossing Cards are strictly electronic records (no actual file), we will have the Border Crossing Card screen prints scanned into a RAFACS slot.

Use the Border Crossing Card Number provided; search and print CIS screens 9101, 9101-history (F8), 9222 and 9223. Open a RAFACS staffing slot. Make sure "Customize Letter" is selected. Prepare the screen prints for scanning into this slot as responsive records. Pend the case for responsive records. Please attach a "Scan As" sheet and mark it as "responsive records" with the screen prints to be scanned. The case will be sent to the processor after screen prints are scanned in. Create it as a Track 1 case.

Note: Alien numbers from 86,900,000 through 87,999,999 are not Border Crossing Card Numbers; they are general alien numbers and have corresponding A-files.

## 12.3 EAD numbers (100,000,000 through 149,999,999)

If the alien number provided by the requester is 100,000,000 through 149,999,999, it is an EAD (Employment Authorization Document) card number. There is no physical A-file associated with EAD numbers, even though they can be researched in CIS. You will have to research CLAIMS to locate the receipt number that corresponds with the EAD number, and then request that receipt number. Please refer to the section titled *Staffing Scenarios – Receipt Files* for additional information.

## 12.4 New alien numbers (300,300,000 through 300,322,501)

As of June 2009, the range of numbers 300,300,000 through 300,322,501 are being used as general A-file numbers.

## 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 **NOT** 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 RPC codes XX, XY, ZG, ZY, or ZZ.** 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

### 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.

The screenshot shows the 'General Inquiry For A/c' screen in the NFTS system. It features a table with columns for File #, Date, Status, Description, Action, and Location. The first row shows a file with File # 100, Date 10/1, Status 'Available', Description '100-100-100-100', Action '100-100-100-100', and Location '100-100-100-100'. Below the table, there are fields for 'File #', 'Date', 'Status', 'Description', 'Action', and 'Location'.

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.



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.

```

CIS - FILE TRANSFER DISPLAY (FTD)
File Edit Session Transfer Program Options Window Help

A#: 0917      NAME:      , GLORIA      DOB: 040919

PREVIOUS FCO: NRC      FCO CREATING SUB-FILE:
CURRENT FCO:  SND      SUB-FILE CREATION IND:
REQUEST FCO:  SND

FILE LOCATED IND: N (NOT FOUND)

DATE FTR: 04122002 (MMDDYYYY)      ACCESSION NUMBER: 0000
DATE FTI: 04152002                  INS BOX NUMBER:
DATE FTC: 04162002

PERSON/ACTION: CHU/BP      REQUEST NUMBER:
                           2ND REQUEST DATE:
                           3RD REQUEST DATE:

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

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

3270
  
```

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".



FIPS v7.0 Training build 06      Work Queries      Actions      Standalone Search

Processing      Fee Information

A-Number: 091712345      ☐ EDMS

**Staff Request To**      **Generate Staffing Sheet**

FRAUD DETECTION AND NATIONAL SECURITY

FRC

H&G

HEL (NON A-FILE MATERIAL)

ICE

INP

**LOST FILE AT FCO**

MIL

☐ No Staffing Letter

☐ Customs Letter

☒ File Missing/Lost

1. Check File Missing/Lost

2. Select Lost File at FCO:

3. Click Request File

4. Modify the letter

**Location Address**      **Office Contact**

Lost File at FCO: \_\_\_\_\_

Name: \_\_\_\_\_

Email: \_\_\_\_\_

CC Email: \_\_\_\_\_

Contents	Discussions	Case Actions	History
<b>Task</b>		<b>Status</b>	
Search for Duplicate Cases		Completed	
Create Additional Cases		Not Started	
Create File Request		Not Started	
Acknowledgement Letter		Not Started	
Final Action Letter		Not Started	
Specialty Letter		Not Started	
Status Letter		Not Started	
Blank Letter		Not Started	
Interest Letter		Not Started	
Expedited Denial Letter		Not Started	

Records Locator	Case Processor	Case Approver	Unit Chief	Up-front Approver	Fund	Reassign Office	Se
-----------------	----------------	---------------	------------	-------------------	------	-----------------	----

Microsoft Word - [Document Name].doc

File Edit View Insert Format Tools Table Window Help

Normal Times New Roman 11 75%

1 2 3 4 5 6 7

**Staffed to: Lost File at FCO: SND**  
**CIRCULAR / SPECIAL / LOST FILE SEARCH REQUEST**

Office Code: NRC Control Number: NRC2010000808 Date: December 6, 2010

Alien Number: 091712345 Subject: Gloria Diaz Hernandez

General Inquiry For A0917			
File #	Sec Office	Status/Last Action	Location
A0917	000 270	Status: LOST FILE Last Action: 11/05/2010 12:58:45 Request: RPT LOST FILE	Sec: SEC ENSURE OFFICE SECTION

The attached FOIA/PA request is forwarded to your office for action. As a result of the attached system search, we request that you conduct a circular / special / lost file search for the subject records.

Please certify by your signature and date that the lost / missing / not found record has been placed on the circular / special / lost file search list and its location is actively being sought or that the file has been found. This file

\_\_\_ is on the circular / special / lost file search list,  
 \_\_\_ is attached  
 \_\_\_ could not be located


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

Signature \_\_\_\_\_ Date \_\_\_\_\_

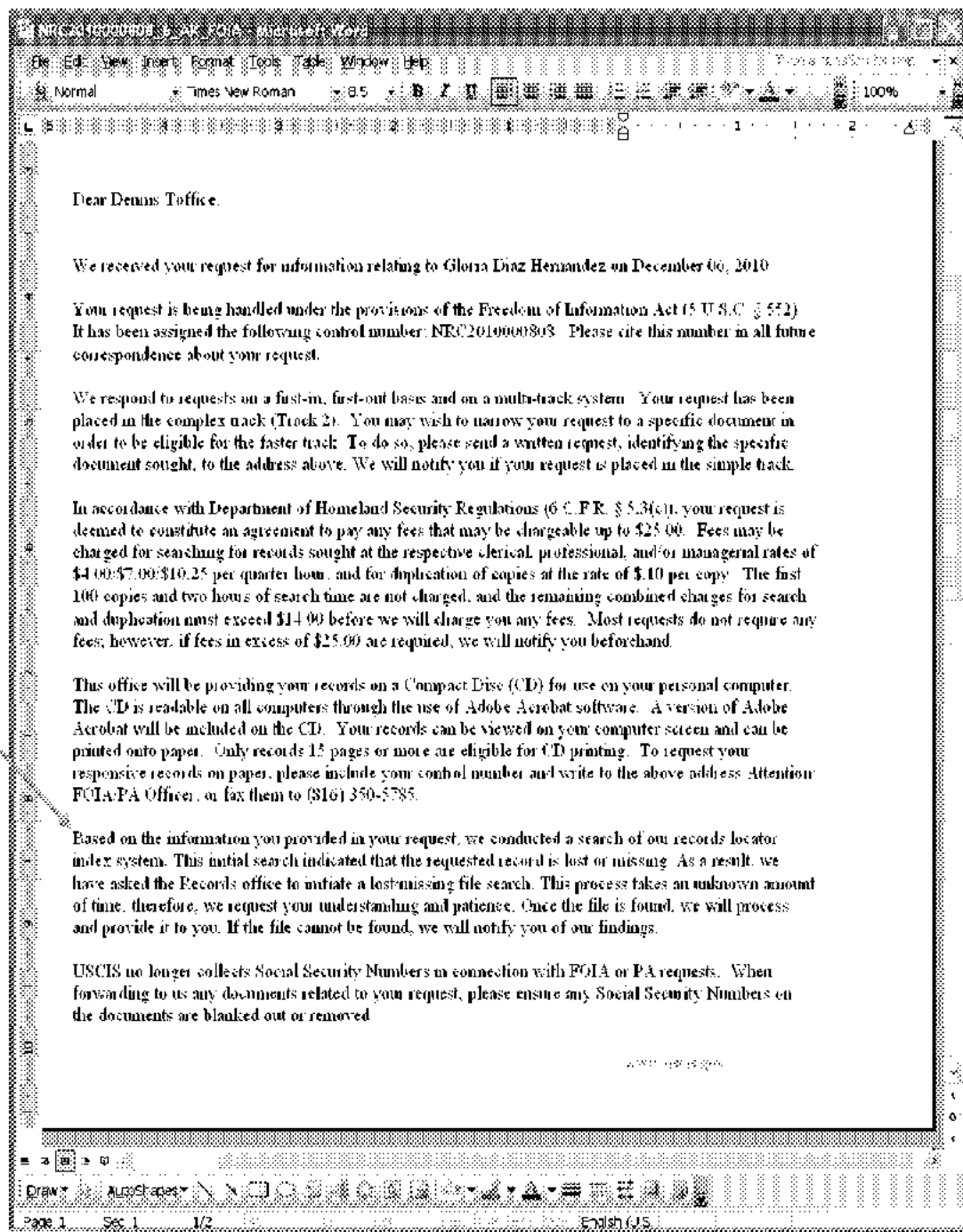
11/05/2010 12:58:45

Page 1 Sec 1 1/1 At 2" Ln 21 Col 1 English U.S.

Generate the acknowledgement letter.

Processing Fee Information	
<b>Acknowledgement Letter Options</b>	<b>Additional Documents Required</b>
Fee Estimate: <input type="text"/> Prepayment Required: <input type="text"/> <input type="checkbox"/> Advance Payment Returned <input checked="" type="checkbox"/> Add Lost File Paragraph <input type="checkbox"/> Add Track 3 Denial Paragraph	<input type="checkbox"/> Other Requester Documentation
<div style="display: flex; justify-content: space-between;"> <div>           1. Click Add Lost File Paragraph            2. Click Generate Letter         </div> <div style="text-align: center;">  </div> </div>	
<b>Additional Options</b> No options found.	
<input type="button" value="Generate Letter"/> <input type="button" value="Cancel"/>	

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



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.)

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. **if** the file has been marked as lost for more than nine months
- b. **and** there is no recent activity in CLAIMS (within last 2 years) or RNACS,
- c. **and** there are no additional files, then: 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.

12.7.3.9      **If the A-file is lost but other records exist** (such as receipt files we would normally request or other a-files, including T-Files, wherever they may be, including NRC) Request the additional records. Put in a Discussion that reads:

A-file number XXXXXXXXXX is currently showing as lost. Staffed for the following additional files: XXXXXXXX, XXXXXXXX, XXXXXXXX. Once they are received, please review. Please also verify that the original a-file is still lost. If the original a-file has been consolidated in fact but not in the systems, please process and send your case to approver. Also send an e-mail to the MSB for resolution. Include both a-numbers. If no documents exist from the original a-file, please process what is available. Advise the requester that the original a-file is lost. Your case will close as a PD even if no redactions are made. Thank you.

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

## **LOST FILE WORKSHEET**

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

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

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

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

1. Search CIS for potential second a-number and/or consolidation
  - a. Second a-number? \_\_\_\_\_
  - b. Any T-files? Yes \_\_\_\_\_ No \_\_\_\_\_
    - i. If yes, have they been staffed and scanned? If not, please do so now.
  - c. Consolidated with? \_\_\_\_\_
  - d. Does the EOIR screen show an upcoming hearing date?  
  
Yes \_\_\_\_\_ No \_\_\_\_\_
2. Check CLAIMS for petition/applications
  - a. Were any found? Yes \_\_\_\_\_ No \_\_\_\_\_
  - b. If so, either provide screen prints with receipt number or list below

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

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

NOTES:

#### **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 after 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 NO RECORDS.

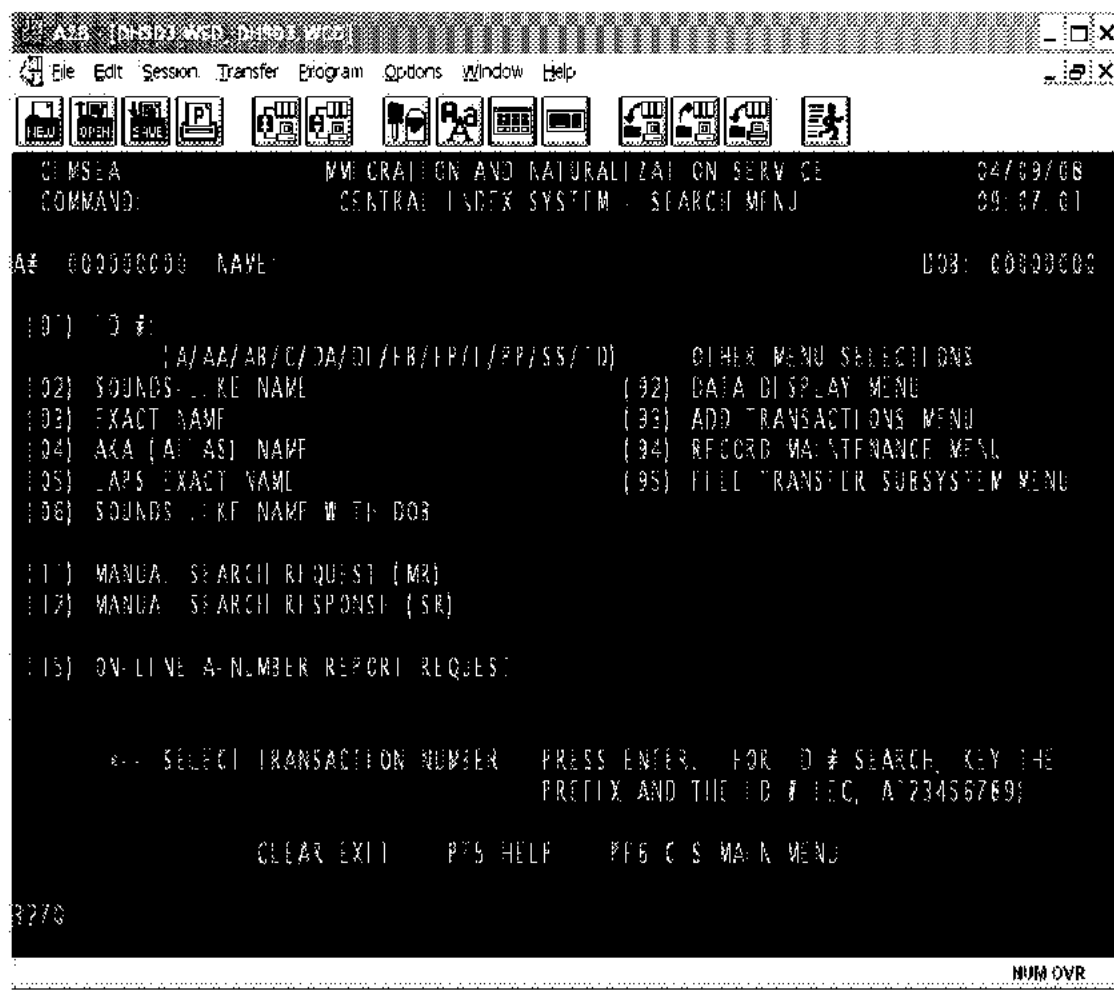
**TO RECAP:** If the subject has had no business with the service since 1975 or earlier, they may or may not have a CIS record. If they do not, then staff to records indexing. If the subject has had business from 1976 forward, do not staff to records indexing.

#### ***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



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

```

A16 - [ANSI] MCD - DURESS MCD
File Edit Session Transfer Program Options Window Help
[Icons]

PSXMI MN          CLAIMS MAINFRAME SYSTEM          04/09/2009
                   UPDATE PROCESSING MENU           09:10
                                                NRC2730A

                SELECT AND COMPLETE ONE LINE

1.  RECD PT NO : [
    (SELECT ONE BELOW FOR APPLICATIONS AND PETITIONS ONLY)

2.  USER ID                      DATE              (MMDDCCYY)

3.  BENEFICIARY/APPLICANT
   NAME (LAST):                   (FIRST):
   BIRTH DATE:                   (MMDDCCYY)

4.  A NUMBER:      A

5.  REFERENCE NO.:

6.  PETITIONER
   NAME (LAST):                   (FIRST):

PF3      PF6      PF8      PF10      PF11      PF12
CANCEL  MAIN MENU  LOCKOFF  REMOTE   ACT UPD BY CODE  ACT UPD BY RCPT
R2730
NUM OVR

```

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

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.

<u>Office Section</u>	<u>Acronym</u>
<b>Trial Attorney's Office</b>	<b>TA</b>
<b>Chief Counsel</b>	
<b>Litigation</b>	<b>LI or LIT</b>
<b>Legal Section</b>	<b>LS</b>
<b>District Counsel</b>	<b>DC</b>

DRO 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.

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

SAC 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.

<u>Office Section</u>	<u>Acronym</u>
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. **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, 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.

#### ***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 possibly PCQS.

Be cautious about requesting receipt files that are for EAD cards only. There should be another application/petition filed in conjunction with this EAD card. If the only receipt numbers you can find is for an EAD card, and they are within the seven-year retention time, then yes, you will request the EAD card.

If they provide a receipt number, you must research CLAIMS, PCQS and NFTS thoroughly. Ensure the receipt file has not been consolidated into a T-file or into an A-file. Please request the A-file or T-file if the receipt file has been consolidated. Check CLAIMS to be sure that the Service did not reject the receipt. Receipts that are shown as rejected in CLAIMS are returned to the submitter by the Service Center. Print the CLAIMS screen(s) that shows the receipt was rejected by the service. Create a File Request to RAFACS (not RAFACS/CIS). Leave the "Customize Letter" button selected. Attach a "Scan As" cover sheet to the screen prints, mark the box "Responsive Records" and take to person designated to scan RAFACS-only responsive records. Pend the case.

If there is no location information in NFTS, and if NVC does not have the receipt, but there is a record in PCQS, print any PCQS screen(s) concerning the petition. Create a File Request to RAFACS (not RAFACS/CIS). Leave the "Customize Letter" button selected. Attach a "Scan As" cover sheet to the screen prints, mark the box "Responsive Records" and take to person designated to scan RAFACS-only responsive records. Pend the case.

**12.7.12.4** 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

FSXMRPT2 CLAIMS MAIN MENU SYSTEM 01/27/2011 09:35 COW6768C

RECEIPT NUMBER 8AC970110001 HAS BEEN ARCHIVED

TO RECEIVE AN OVERNIGHT DETAIL REPORT  
SELECT 'Y' BELOW

GENERATE REPORT - (YES OR NO):

PFC CANCEL PFC MAIN MENU PFC LOGOFF

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

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.

#### ***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.



FIPS v7.0 Training build 66      Work Queue      Actions      Standalone Search

Processing      Fee Information

A-Number

No A-Number entered

EDMS

Click

Staff Request To      Generate Staffing Sheet

CIS

Contracting Office

RAFACS/CIS

RAFACS

RECORDS ALIEN FILE

RECORDS INDEXING

RECORDS NATURALIZATION FILE

No Staffing Letter

Customize Letter

File Missing/Lost

Location Address      Office Contact

RAFACS

Name

Email

CC Email

Request File      Cancel

Contents      Discussions      Case Actions      History

Task	Status
Search for Duplicate Cases	Completed
Create Additional Cases	Not Started
Create File Summary	Not Started
Acknowledgement Letter	Not Started
Final Action Letter	Not Started
Specialty Letter	Not Started
Status Letter	Not Started
Blank Letter	Not Started
Interest Letter	Not Started
Expedited Denial Letter	Not Started

Records Locator      Case Processor      Case Approver      Unit Chief      Up-front Approver      Period      Reassign Office

Page 1 of 2      5002%      Viewing version: 1

**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:**



### 13. 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:

.....

FIPS v7.0 Training build 06      Work Queries      Actions

Processing		Fee Information		
Office	NRC	NRC2010006656REQ	Status Request Case Creator mporter	
RecBLR	Scanned	Created	Perfected	Final Action
 11	11/05/2010			
Request	Select the correct office			
DLS	Porter			
GEN	ita Journal-Constitution			
HQS	Perimeter Center Parkway			
NRC	ita GA 30303			
OBL				
Subject information				
First		Middle		
A-Number:				
Topic: H-1B visas filed by OutSource Georgia, Inc., 2008 to present				

.....

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

.....

(b)(6)

2 [Click here](#)

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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 REQUESTS: Return of original documents.

Processing	Fee Information
<b>Final Action Letter</b> DF: Duplicate ER: Created in Error FC: Requestor's failure to comply FI: Requestor's failure to ID records NB: Not applicable - certified copy NR: Non-possession of records OR: Old records RD: Redirected to another agency RF: Referred to a DHS Component UT: Unable to locate records WD: Request withdrawn	<b>Final Action Dependent Options</b> Records Needed Insert Clerk of Courts/National Archives paragraph Insert women married to U.S. citizens paragraph  <b>Non-FOIA Operational Units</b> MIL NRC-Director RCH FOIA Offices Privacy Act Amendment Request REQUEST FOR FILE FROM A FOREIGN FCO Service Centers TFN FOIA/PA UNIT WCF
<b>Reasons</b>	<b>Redirects/Referrals</b>
<input type="button" value="Submit"/> <input type="button" value="Reset"/> <input type="button" value="Cancel"/>	

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.

## **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.

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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 acknowledgement 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 acknowledgement letter differently.

Go to the “Tasks” tab and select “Acknowledgement Letter”

Contents	Discussions	Case Actions	History
<b>Task</b>			
Search For Duplicate Cases		Not Started	
Create Additional Cases		Not Started	
Create File Request		Not Started	
Acknowledgement Letter		Not Started	
Final Action Letter		Not Started	
Specialty Letter		Not Started	
Status Letter		Not Started	
Blank Letter		Not Started	
Increase Letter		Not Started	
Expedited Denial Letter		Not Started	

Records Locator	Case Processor	Case Approver	Unit Chief	Up-front Approver	Paid	Reassign Office	Se
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After selecting “Acknowledgement Letter,” the Acknowledgment Letter Options screen will open. Options on this screen will allow you to ask for other documentation and will also allow you to add a Track 3 Denial or Lost File paragraph:

Case360 Home

FIPS v7.0 Training build 05      Work Queries      Actions      S

Processing      Fee Information

**Acknowledgement Letter Options**      **Additional Documents Required**

Fee Estimate:

Prepayment Required:

☐ Advance Payment Returned

☐ Add Lost File Paragraph

☐ Add Track 3 Denial Paragraph

☐ Other Requester Documentation

**Additional Options**

No options found.

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:

Case360 Home

FIPS v7.0 Training build 06      Work Queries      Actions      Standalone Search

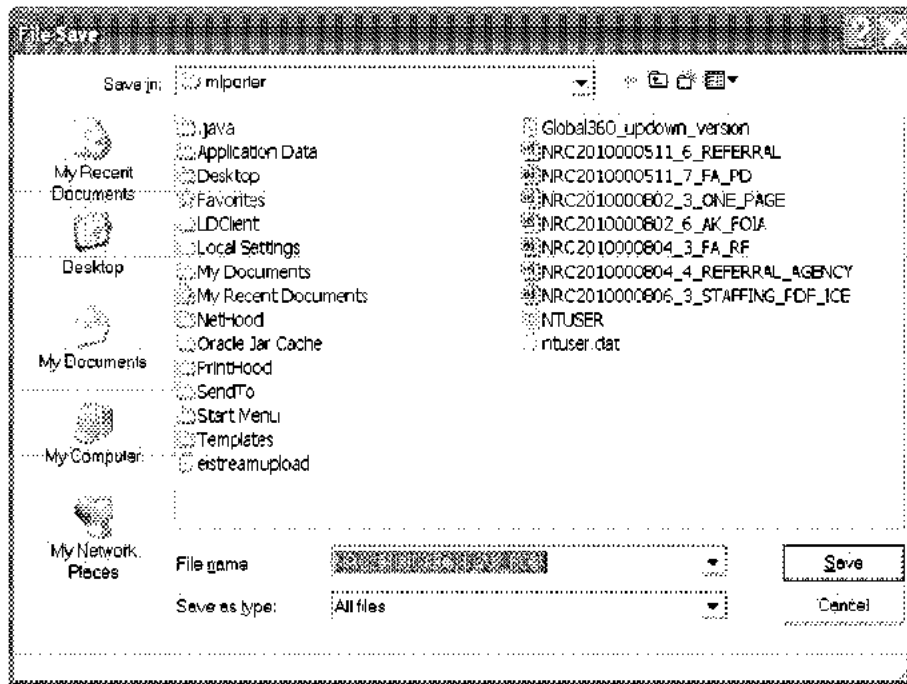
Processing      Fee Information

Successfully generated letter Acknowledgement Letter-FOIA.

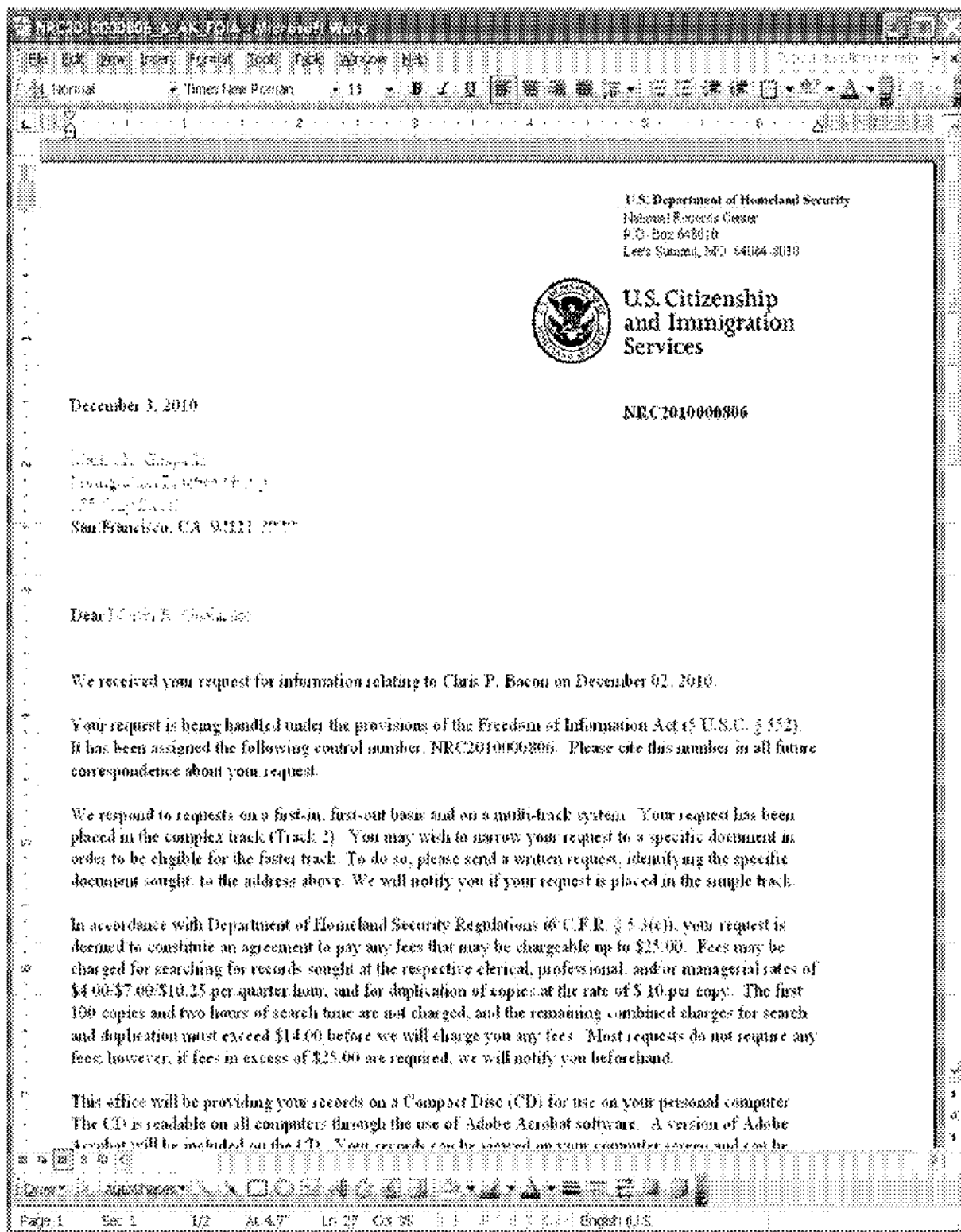
Click on OK to continue.

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





The acknowledgment letter will pop up:



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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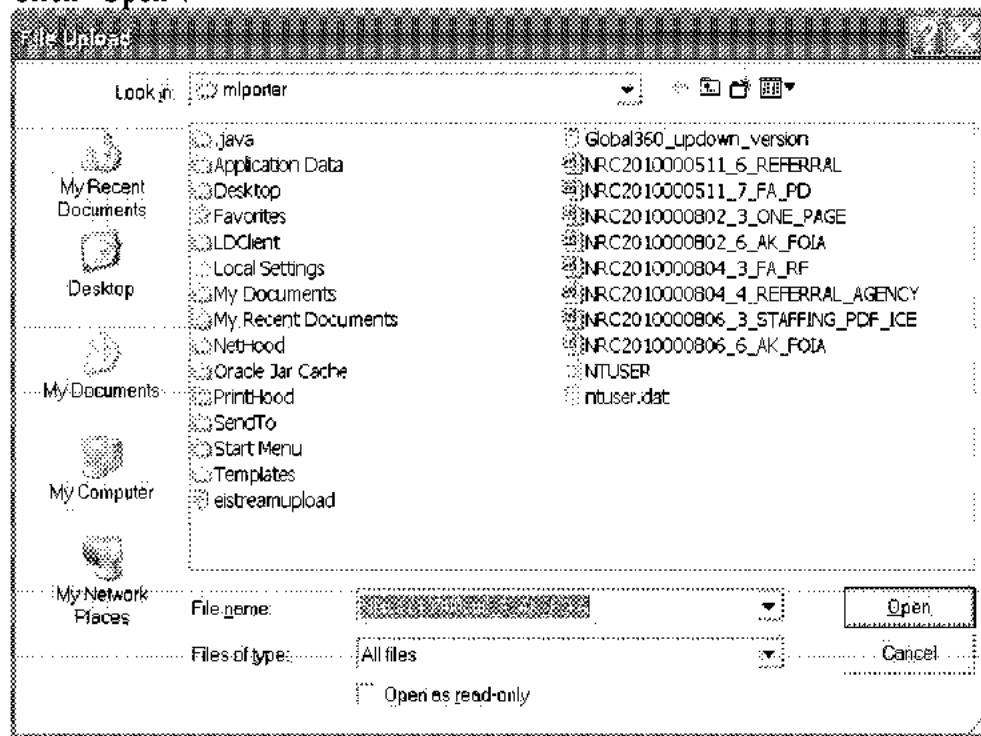
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Tasks Discussions Case Actions History							
Document Type	Seq.	Pages	Status	Resp. Unit	A-Number	Date	
Acknowledgment Letter-FOIA	6		Editing			12/3/2010 10:14:14 AM	
Check In Document	5		Pending	DRO - SEA Seattle	012345678	12/3/2010 8:28:17 AM	
Starting Response	4		Pending	DRO - SEA Seattle	012345678	12/3/2010 8:28:17 AM	
Starting Letter - ICE PDF	3		Editing	DRO - SEA Seattle		12/3/2010 8:28:17 AM	
Request Supporting Documents	2	4	Scanned			11/5/2010 8:32:47 AM	
Request Letter	1	2	Scanned			11/5/2010 8:32:45 AM	

Records Locator	Case Processor	Case Approver	Unit Chief	Up-front Approver	Pend	Reassign Office	Se
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Click "Open":



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,

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 use 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:

**Search Case Research Queue**

Status:

Control Number: COW2010000341

Request Number:

Created After:

Office:

Requester Last Name:

Requester First Name:

Requester Middle Name:

Subject Last Name:

Subject First Name:

Subject Middle Name:


A-Number:

Topic:

1. Enter the case number you are attaching the document to.

2. Click Submit

**Control Number Requester Requester A Last First Middle Topic**  
**Last First Middle Topic**  
**Name Name Name Name**

 COW2010000341 Porter Rhya H-1B visas filed by OutSource Get

3. Click List Pending Documents Icon

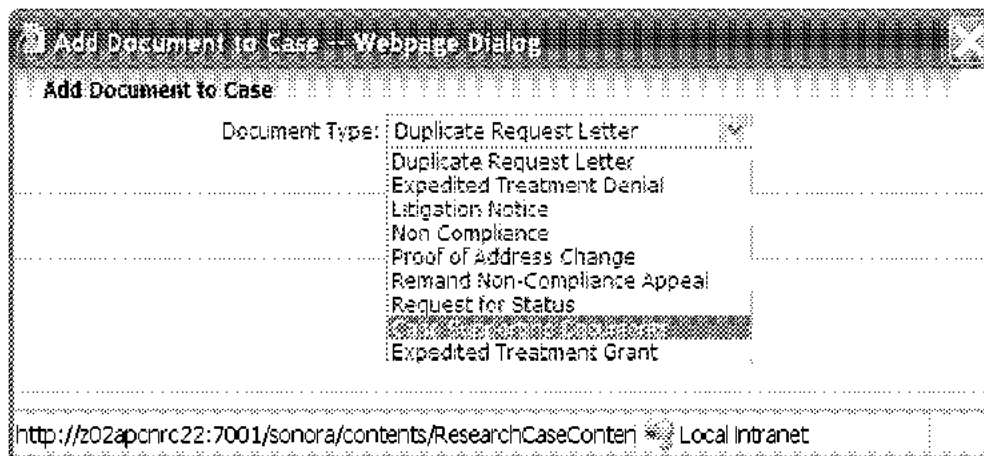
**Document Type Seq. Pages Status Responsive Unit A-Number Created Time Modified Time**

Total Item(s) found (0 of 0)

4. Click Add Document to create a new CSD slot.

☐ Open next

[http://202apcncr32-2001/sunora/Query?cp=msname=sQry\\_PendingDocumentsForCase&RESEARCHCASEFOLDERID=0&CA](http://202apcncr32-2001/sunora/Query?cp=msname=sQry_PendingDocumentsForCase&RESEARCHCASEFOLDERID=0&CA)



## 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.

## 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, NRCFOIAMS)

Send e-mails to the MSB mailbox when:

- An appeal is encountered in case create that was not previously addressed.
- An expedited treatment is encountered in case create or Records Locator 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

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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.



**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

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 Postage

Body 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.
- 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 Request for Change of Address)
- Status Request (see Status Letters)
- Withdrawal of Request (see Withdrawal of FOIA/PA Request)
- A request to change the scope of a FOIA request. The action required to change the scope of a request could involve changing the track of the case; depending upon the type of information/documents requested.
- Correspondence about delinquent payments (including checks)
- 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.

### ***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

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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](http://www.uscis.gov)).

From [www.uscis.gov](http://www.uscis.gov), find the link near the bottom of the left column under "Other Services" marked "[FOIA Request Status Check](#)." Click there to navigate to the online status check page.

The on line status check will indicate whether the request is still pending, or whether the case has been processed or closed within the last six months.

If the request is still pending, the online status check will indicate the position of the request relative to all pending USCIS requests in the same processing track. It also provides the date the request was received.

If the request was processed or closed within the last six months the requester will be given the date the request was closed. The system does not discern how the request was closed i.e. DP, GI, 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**

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.
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 post-it note and stick the post-it note to the top page to identify these as the incorrect letters.
7. Give the incorrect letters to the Team supervisors. The supervisors will give the incorrect final action letters to a FOIA supervisor daily for distribution and review.

### **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. 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.

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.

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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 NRC, FIPSPROBLEM 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 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.

**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

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 FIPS Problem mailbox and ask that the wrong records be removed. Clicking the link above will automatically send a copy to the FOIA Program mailbox.

**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 NRC, FIPS Problem 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 NRC, FIPS Problem 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 Receipt files; 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. REPENDING IN RECORDS LOCATOR QUEUE**

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 NRC, FOIASIG 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 NRC, FOIAFILEREQ 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.

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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. 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 NRC, FIPSPROBLEM mailbox with the following information:

- The NRC control number of the case,
- The A number or Receipt Number of the records,
- The staffing sequence they are scanned into, and
- The number of pages scanned in.

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

[Click here for instructions](#) if you pull a case in Records Locator queue that has been staffed for a **Lost File**.

## **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. 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.

## **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, repond. **\*Do not cancel the staffing and re-staff 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.

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



## **APPENDIX A: PHONE NUMBERS**

NRC/FOIA Fax: 816-350-5785, 5786, 5787

ILD Incoming Call Line: 816-350-5560

Human Resource Office: 816-350-5661

### CIS Forms:

By Phone: 1-800-870-3676

Website: [www.uscis.gov](http://www.uscis.gov)

National Customer Service: 1-800-375-5283

EOIR 800-898-7180

## **APPENDIX B: ADDRESSES**

### **MAILING ADDRESS OF NRC:**

PO Box 648010  
Lee's Summit, MO 64064-8010

### **PHYSICAL LOCATION OF NRC:**

150 Space Center Loop  
Lee's Summit, MO 64064

### **MAILING ADDRESS OF NBC:**

National Benefits Center  
PO Box 648005  
Lee's Summit, MO 64064

### **MAILING ADDRESS OF CBP:**

U.S. Customs and Border Protection  
FOIA Division  
799 9th Street NW, Mint Annex  
Washington, DC 20229-1177

### **MAILING ADDRESS OF ICE:**

Immigration and Customs Enforcement  
800 North Capitol Street, 5<sup>th</sup> Floor, Suite 585  
Washington, DC 20536

### **MAILING ADDRESS OF NATIONAL VISA CENTER:**

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

## **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)

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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)

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)

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 – Rio de Janeiro (Brasil)  
RID – Riyadh (Saudi 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)

VNT – Vientiane (Laos)

WRW – Warsaw (Poland)

YDE – Yaounde (Cameroon)

YRV – Yerevan (Armenia)

ZGB – Zagreb (Croatia)

## **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.

## **APPENDIX E: FORMS**

[www.uscis.gov](http://www.uscis.gov)

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

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

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

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

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Updated on 6/15/2011

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



## **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
AVL	Asylum Virtual Library

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

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Updated on 6/15/2011

CDSO	Collateral Duty Security/Safety Officer
CFR	Code of Federal Regulations
CIA	Central Intelligence Agency
CIO	Chief Information Officer
CIS	Central Index System
CLAIMS	Computer Linked Application Information Management Systems
CMHS	Center for Mental Health Services
COA	Class of Admission or Change of Address
COMSEC	Communications Security
CONUS	Continental United States
COOP	Continuity of Operations Plan
COTR	Contracting Officer Technical Representative
COW	Central Office Washington
CPA	Chief Patrol Agent
CPO	Chief Privacy Officer
CSAT	Computer Security Awareness Training
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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Updated on 6/15/2011

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

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

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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
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

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
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
INA	Immigration and Nationality Act
INS	Immigration and Naturalization Service (legacy)
INTCA	Immigration and Naturalization Technical Corrections Act of 1994
INTERPOL	International Criminal Police Organization
IO	Information Officer
IRCA	Immigration Reform and Control Act
IRS	Internal Revenue Service
ISAP	Intensive Supervision Appearance Program
ISCPM	Identity and Security Checks Procedures Manual
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
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

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

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

PC	Peace Corps
PCII	Protected Critical Infrastructure Information
PIA	Privacy Impact Assessment
PII	Personally Identifiable Information
PLAIN	Plain Language Action and Information Network
POE	Port-of-Entry
PTA	Privacy Threshold Assessment
PTIG	Privacy Technology Implementation Guide
RAC	Resident Agent in Charge
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

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

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

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



## **APPENDIX G: DEFINITIONS**

The definitions listed below are words and phrases that frequently appear in FOIA and PA requests. The list is arranged in alphabetical order. Additional definitions can be located at <http://www.uscis.gov/portal/site/uscis/menuitem>. Select the tab titled "Education and Resource."

**Access** - Includes any form of disclosure, to include oral, visual, or reproduced copy. A reproduced copy, whether in paper or electronic format, always satisfies FOIA/PA access requirements.

**Agency** - Any executive department, military department, Government corporation, Government controlled corporation, or other establishment in the executive branch of the Government (including the Executive Office of the President), or any independent regulatory agency. This does not include the legislative (Congress) or judicial (Courts) branches of the Government, nor does it apply to state, local, or foreign government agencies. The Department of Homeland Security (DHS) is an agency as defined above. The following are components or bureaus of the Department of Homeland Security; United States Immigration and Customs Enforcement (ICE), United States Customs and Border Protection (CBP), United States Secret Service (USSS), etc.

**Agency Record** - Any tangible recording of information and/or any item, collection, or grouping of information, including electronic that is maintained and controlled by an agency.

Notes or documents which are made by an employee, kept purely voluntarily, not circulated to nor used by anyone other than the author, and discarded or retained at the author's sole discretion for his/her own individual purposes are personal records. These are not generally agency records because they are not subject to the rules and controls of the agency for records management and disposition. These may, however, become agency records for purposes of the FOIA or PA if used to carry out an agency function (e.g., as the basis for a performance rating).

**Component** - Each separate bureau, office, board, division, commission, service, or administration, or agency of a Federal Executive Branch Department. For example: Border and Transportation Security (BTS), Citizenship and Immigration Services (USCIS), Federal Emergency Management Agency (FEMA), Immigration and Customs Enforcement (ICE) are components of the Department of Homeland Security.

**Conditions of Disclosure** - Specific provisions in the Privacy Act (5 U.S.C. § 552a(b)(1) through (12)) allows the agency to disseminate information from a PA system of records without the prior written consent of the record subject.

**Congressional Committee Request** - A request from either House of Congress, to the extent of matters within its jurisdiction; a subcommittee thereof; any joint committee of Congress; any subcommittee of any such joint committee. Agencies may not use FOIA or PA exemptions to deny records that are the subject of such a request.

**Congressional Request** - A request from a Member of Congress on his or her own behalf, or on behalf of a constituent. After acknowledgment under congressional correspondence procedures, congressional requests are to be processed in the same manner as any other FOIA or PA request.

**Consolidation** – Combination of paperwork into a main file. After the service completes work on a petition or application, we combine it into the person's A-file. If the service discovers two "unconsolidated" A-numbers for a person, we combine the two files. One of the A-numbers becomes the "survivor" and the other becomes the "consolidated A-number."

**Consultation** - Obtaining the views of another DHS component or Federal agency concerning the release of information that has been incorporated into immigration documents or a reciprocal request. The National Records Center, FOIA/PA Division, makes the final overall determination on release.

**Freedom of Information Act Request** - A request in writing by any person for access to any record maintained by any Federal agency. Federal agencies are not persons for purposes of FOIA.

Included are requests for access to Privacy Act records of another person without the written consent of the record subject, as well as requests from nonimmigrant aliens for access to their own records.

**FOIA/PA Information Processing System (FIPS)** - Through the use of imaging, workflow, and graphical user interface technologies, FIPS allows USCIS to electronically manage and process FOIA and PA requests.

**First Party Requester** - A subject or designated representative asking for access to his/her record. A notarized signature or a sworn declaration under penalty of perjury from the record subject is required for access to records.

**Forms** – Various government forms available from [www.uscis.gov/portal/site/uscis](http://www.uscis.gov/portal/site/uscis) that are provided for the use of requesters and their representatives when submitting a FOIA or PA request with USCIS. The more common forms include:

- **G-28 – Notice of Entry of Appearance as Attorney or Representative** - This form is used for information purposes only. It should be signed by the attorney or representative and by the subject of the record. Does not qualify for consent unless the attorney or representative has inserted the penalty of perjury statement and the subject of the file has signed the document.
- **G-639 Freedom of Information/Privacy Act Request** – This form can be used to make a FOIA/PA request. When completed it provides enough information to complete an extensive search for records.

221

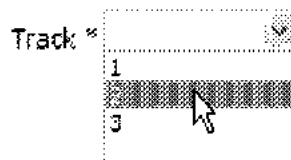
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Updated on 6/15/2011

**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.

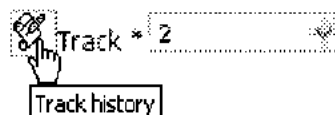
#### Track Drop-Down List



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

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.

## Track History Displayed

Modified By	Action	Modified Date
utestb	Track changed from 1 to 2	3/23/2010 9:30:16 AM
ctestb	Track changed from 1 to 3	3/23/2010 9:30:11 AM
ctestb	Track changed from 2 to 1	3/23/2010 9:30:06 AM
utestb	Track changed from not set to 2	3/24/2010 12:56:11 PM
5090FA	Track changed from 2 to not set	3/4/2013 12:15:56 PM

**Privacy Act Amendment Request** - A request from a U.S.C. or LPR to amend, expunge, or correct information in his/her PA record that the individual believes is not accurate, relevant, timely or complete.

**Privacy Act Record** - Any item, collection, or grouping of information about an individual 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.

**Privacy Act Request** - A request in writing submitted either in person or by mail, for records that are contained in a Privacy Act system of records. The records must be under the control of DHS and be retrieved by the name of the requester or other personal identifier. Requests are received from:

- A USC or LPR for access to or his/her own records, or
- A third-party with a signed privacy waiver from the record subject acting on the subject's behalf, or
- The parent of an LPR or USC minor child or the legal guardian of a person declared incompetent by a court of competent jurisdiction.

**Records Custodian** - The official responsible for the maintenance, security, control, and final disposition of official records that are required by law, regulation, or other directive to be kept by the Agency.

**Referral** - Information found in immigration records – the forwarding of a record that originated with another component of DHS or another Federal agency for direct response to the FOIA/PA requester. Also includes transferring responsibility for responding to a request regarding the release of records to the DHS component best able to determine whether to disclose, or to the Federal agency that originated the record.

**Retire** – The service sends the A-file to the Federal Records Center (FRC) after a number of years have passed with no activity. This is called “retiring” the file. Occasionally, we have to request a retired file from the FRC.

**Rider** – A person who is also listed on a petition or application that will also benefit if that petition or application is approved. For example, a woman applying for asylum lists her husband and two children on her asylum application. They are riders.

**Routine Use** - An established use and authority for disclosure of records from a Privacy Act System of Records, other than an intra-agency disclosure. Disclosure or use must be for a purpose that is compatible with the purpose for it was collected, that would be otherwise prohibited by the PA. Such disclosures do not require the written consent of the record subject, but require Federal Register publication prior to such use.

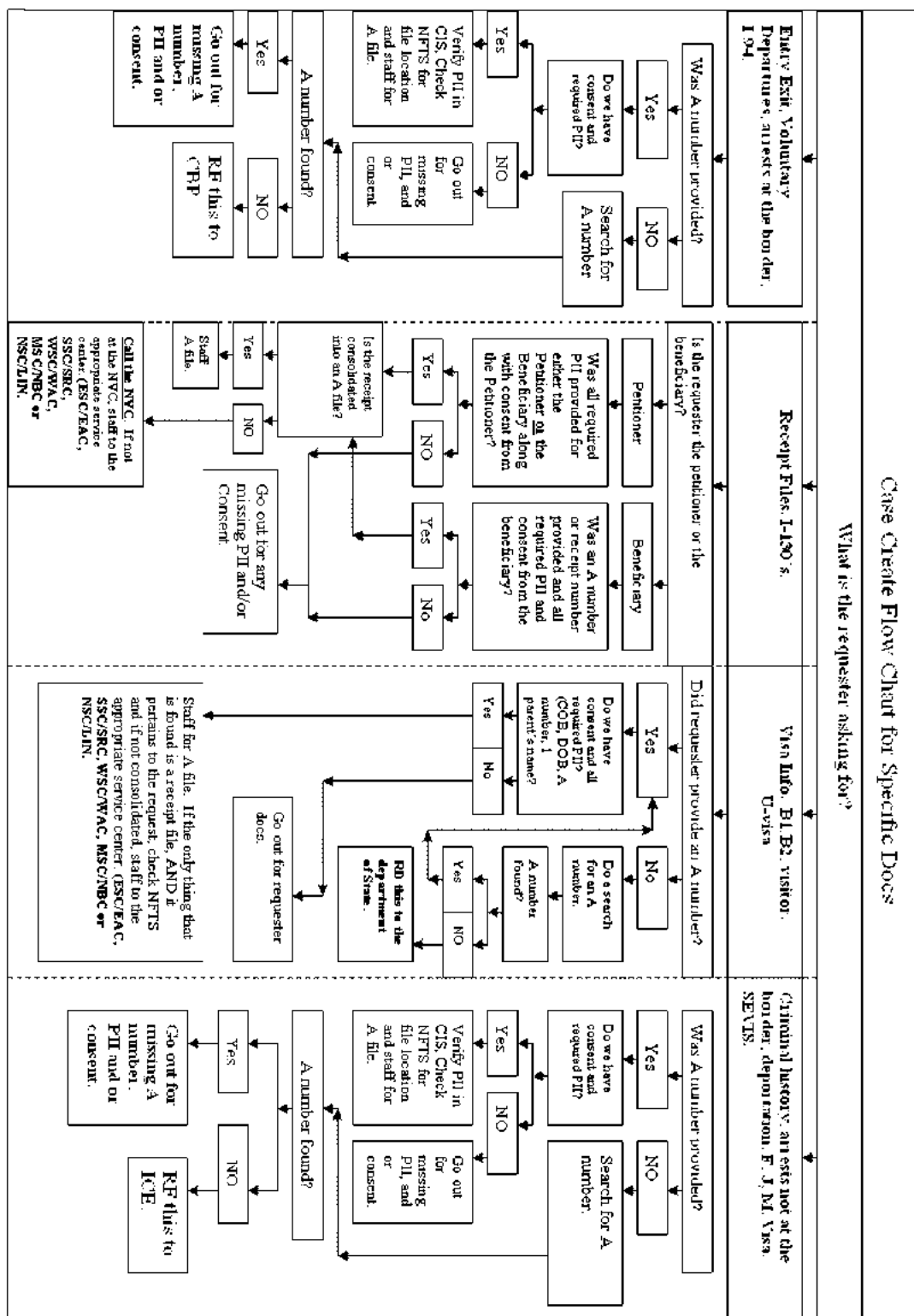
**System of Records** - A group of any records under the control of an agency from which information is retrieved by the name of the individual or by some other identifying number, symbol, or identifying particular assigned to the individual.

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

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

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







# APPENDIX I: ALIEN NUMBER ASSIGNMENT

CLASSIFICATION	TYPE OF NUMBER ISSUED	STARTING NUMBER	ENDING NUMBER
ISSUED PRE-1960	PHYSICAL FILES	A 001-000-000	A 011-999-999
ADJUSTMENTS	PHYSICAL FILES	A 013-000-000	A 014-999-999
CREWMAN	PHYSICAL FILES	A 015-000-000	A 016-999-999
ADJUSTMENTS	PHYSICAL FILES	A 017-000-000	A 029-999-999
VISA (STATE DEPT.)	PHYSICAL FILES	A 030-000-000	A 069-999-999
ADJUSTMENTS	PHYSICAL FILES	A 070-000-000	A 070-491-200
FAMILY FAIRNESS	PHYSICAL FILES	A 070-491-201	A 070-500-000
ADJUSTMENTS	PHYSICAL FILES	A 070-500-201	A 070-527-000
FAMILY FAIRNESS	PHYSICAL FILES	A 070-527-201	A 070-987-200
ADJUSTMENTS	PHYSICAL FILES	A 070-987-201	A 077-535-001
KOSOVO	PHYSICAL FILES	A 077-535-952	A 077-537-451
ADJUSTMENTS	PHYSICAL FILES	A 070-537-452	A 079-999-999
BORDER APPREHENSIONS	ELECTRONIC ONLY	A 080-000-000	A 086-999-999
ADJUSTMENTS	PHYSICAL FILES	A 086-000-000	A 089-999-999
LEGALIZATION	PHYSICAL FILES	A 090-000-000	A 093-999-999
TEMPORARY PROTECTIVE STATUS (TPS)	PHYSICAL FILES	A 094-000-000	A 094-150-000
TEMPORARY PROTECTIVE STATUS (TPS)	PHYSICAL FILES	A 094-328-751	A 094-334-250
HURRICANE MITCH	PHYSICAL FILES	A 094-335-501	A 094-336-750
HURRICANE MITCH	PHYSICAL FILES	A 094-334-251	A 094-364-250
TEMPORARY PROTECTIVE STATUS (TPS)	PHYSICAL FILES	A 094-364-251	A 094-399-500
KOSOVO	PHYSICAL FILES	A 094-399-501	A 094-404-750
TEMPORARY PROTECTIVE STATUS (TPS)	PHYSICAL FILES	A 094-404-751	A 094-500-000
KOSOVO	PHYSICAL FILES	A 094-500-001	A 094-527-000
TEMPORARY PROTECTIVE STATUS (TPS)	PHYSICAL FILES	A 094-755-000	A 095-099-999
NSC ORPHANS	PHYSICAL FILES	A 094-500-001	A 094-502-000
NSC ORPHANS	PHYSICAL FILES	A 094-527-001	A 094-528-000
REFUGEES	PHYSICAL FILES	A 094-528-001	A 094-528-000

PAGE 1 OF 2 RECORDS DIVISION (REV. 2/7/2011)

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Updated on 6/15/2011

CLASSIFICATION	TYPE OF NUMBER ISSUED	STARTING NUMBER	ENDING NUMBER
REFUGEES	PHYSICAL FILES	A 094-638-001	A 094-749-999
ADJUSTMENTS	PHYSICAL FILES	A 095-100-000	A 096-749-999
LIFE ACT	PHYSICAL FILES	A 096-750-000	A 096-999-999
ADJUSTMENTS	PHYSICAL FILES	A 097-000-000	A 098-099-999
ADJUSTMENTS	PHYSICAL FILES	A 098-100-000	A 099-099-999
ADJUSTMENTS	PHYSICAL FILES	A 099-100-000	A 099-299-999
ADJUSTMENTS	PHYSICAL FILES	A 099-300-000	A 099-999-999
EMPLOYMENT AUTHORIZATION DOCUMENT (EAD)	ELECTRONIC ONLY	A 100-000-000	A 199-999-999
ADJUSTMENTS	PHYSICAL FILES	A 200-000-000	A 203-999-999
NOT ISSUED	NOT ISSUED	A 204-000-000	A 204-999-999
ADJUSTMENTS	PHYSICAL FILES	A 205-000-000	A 205-999-999
NOT ISSUED	NOT ISSUED	A 206-000-000	A 209-000-000
ADJUSTMENTS	PHYSICAL FILES	A 210-000-000	A 211-999-999
REFUGEES	PHYSICAL FILES	A 212-000-000	A 213-999-999
ADJUSTMENTS	NOT ISSUED	A 213-400-000	A 299-999-999
NOT ISSUED	NOT ISSUED	A 300-000-000	A 300-299-999
ADJUSTMENT	PHYSICAL FILES	A 300-300-000	A 300-322-501
NOT ISSUED	NOT ISSUED	A 300-323-501	A 999-999-999

#### LEDGER:

**CREWMAN:** Fifteen and sixteen million series have been utilized in Alien Crewman Landing Permit and Identification Cards groups. The blocks of numbers are assigned to offices issuing such cards.

**ELECTRONIC ONLY:** No physical jackets are created.

**PHYSICAL FILES:** A-Number with A-File Jackets

**NOT ISSUED:** The numbers are not by used any Office or Program.

**VISA (STATE DEPT):** DoE is electronically assigned blocks of A-Numbers that they assign to Visa packets.

PAGE 1 OF 2 RECORDS DIVISION (REV. 2/7/2011)

## **FOREWORD**

The FOIA/PA Assistant's Guide has been prepared as a ready reference to assist with day-to-day tasks, such as creating Freedom of Information Act and Privacy Act requests, handling mail, working records locator, and general troubleshooting.

Any previous material distributed in *FOIA Information Bulletins* has been incorporated into this Guide.

For the purposes of this Guide, we may refer to a FOIA/PA Assistant as “you,” or “Assistant,” and in some cases “team member.”

The Guide has been saved in PDF format. The PDF format makes searching for information in the Guide easier. **Please view the guide in PDF/A mode while you have FIPS 7 open.** A potential Java scripting conflict exists if you have the document open in PDF mode while running FIPS 7. Viewing the Guide in PDF/A mode disables Java scripting within the Guide – which means hyperlinks within the Guide will not work, but FIPS 7 will not freeze or crash. You may alternate between PDF and PDF/A mode in Acrobat Reader by selecting Edit ⇨ Preferences ⇨ Documents ⇨ PDF/A View Mode. Select “Never” to turn PDF/A mode off, and select “Only for PDF/A documents” to turn PDF/A mode on.

**How does the rulemaking process for this Guide work?** The Chief of FOIA/PA Operations and your Supervisors direct how Paralegal Specialists, FOIA/PA Assistants and Office Automation personnel accomplish their missions. Through the Chief of Operations, Supervisors submit a new rule or procedure to the Chief FOIA/PA Program Officer. At the direction of the Chief Program Officer, Program Office may immediately amend the guide, or they may seek clarification from Office of Chief Counsel. After consultation, Program Office will either amend the Guide or propose a modified rule to Chief of FOIA/PA Operations. Major re-writes or revisions of the guide are subject to the final approval of the USCIS FOIA Officer.

You, the FOIA/PA Assistant, may notice something in the Guide that is awkwardly worded, or contains a typographical error, or something that simply is not true. You contact your supervisor and then Program Office amends the guide.

Ideally, before we amend the Guide, we first publish a FOIA Information Bulletin (the exception being a misspelled word or a missing punctuation mark). FOIA Information Bulletins and the latest version of this Guide are available on the USCIS FOIA/PA Operations intranet page. When we make additions or revisions, we create a Record of Revision at the front of the Guide for quick reference.

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.

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***Paragraph 12.7.11 T-files of the FOIA/PA Assistant's Guide has been changed (changed portion is underlined):***

**The exception to this rule** – We do not receive A-files from ESC, SSC, NSC, WSC or RDF for scanning. Those offices either scan directly into FIPS for us or we export the A-file from EDMS. Therefore, if the A-file is at one of the above service centers and there is a T-file anywhere else, including at the NRC, you will have to staff for the T-file. MSC is the only service center that sends the A-file to the NRC for scanning. Another example of when we staff for an in-house T-file is when the responsive records are scanned in simultaneously with the request.

---

***Paragraph 12.7.3 Files Lost or Not Found MORE THAN NINE MONTHS of the FOIA/PA Assistant's Guide has been changed (changed portion is underlined):***

12.7.3.9 **If the A-file is lost but other records exist** (such as receipt files we would normally request or other a-files, including T-Files, wherever they may be, including NRC) Request the additional records. Put in a Discussion that reads:

A-file number XXXXXXXXXX is currently showing as lost. Staffed for the following additional files: XXXXXXXX, XXXXXXXX, XXXXXXXX. Once they are received, please review. Please also verify that the original a-file is still lost. If the original a-file has been consolidated in fact but not in the systems, please process and send your case to approver. Also send an e-mail to the MSB for resolution. Include both a-numbers. If no documents exist from the original a-file, please process what is available. Advise the requester that the original a-file is lost. Your case will close as a PD even if no redactions are made. Thank you.

---

**APPENDIX H: CASE CREATE FLOW CHARTS** has been added to the FOIA/PA Assistant's Guide.

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**APPENDIX I: ALIEN NUMBER ASSIGNMENT** has been added to the FOIA/PA Assistant's Guide.

**May 13, 2011**

Paragraph 12.7.6 of the **FOIA/PA Assistant's Guide** has been changed as follows (added ~~portion underlined~~ ~~deleted portion~~ ~~stricken through~~):

When conducting "no record" research, do the query and provide screen prints of all searches as directed. ~~Open a RAFACS (not RAFACS/CIS) staffing slot only. Click on "Customize Letter."~~ Print the appropriate CLAIMS screen prints (this should be no less than six pages and may be lengthier if subject has provided multiple names or multiple alias names). Prepare a "Scan As" sheet to be scanned as case supporting documents responsive records for the case number you have just created, attach it to the screen prints and take those to the OA room for scanning as CSD person designated to scan RAFACS-only responsive records. ~~Pend the case~~ prepare a Final Action Letter with closing code

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Updated on 3/2/2012

NR. Insert a Discussion outlining the systems you searched and stating that you have sent the documentation to OA for scanning as CSD. Send to Up-front Approver.

---

Paragraph 12.7.12 of the **FOIA/PA Assistant's Guide** has been changed as follows (added portion underlined ~~deleted portion stricken through~~):

#### 12.7.12 Receipt files

(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. If the requester specifies a receipt file, search NFTS and staff for that receipt file OR if the receipt has been consolidated into an alien file, staff for that alien file.

**12.7.12.3** If the requester does not provide any receipt number or alien number, then you must research CIS, CLAIMS and possibly PCQS.

Be cautious about requesting receipt files that are for EAD cards only. There should be another application/petition filed in conjunction with this EAD card. If the only receipt numbers you can find is for an EAD card, and they are within the seven-year retention time, then yes, you will request the EAD card.

If they provide a receipt number, you must research CLAIMS, PCQS and NFTS thoroughly. Ensure the receipt file has not been consolidated into a T-file or into an A-file. Please request the A-file or T-file if the receipt file has been consolidated. Check CLAIMS to be sure that the Service did not reject the receipt. Receipts that are shown as rejected in CLAIMS are returned to the submitter by the Service Center. Print the CLAIMS screen(s) that shows the receipt was rejected by the service. Create a File Request to RAFACS (not RAFACS/CIS). Leave the "Customize Letter" button selected. Attach a "Scan As" cover sheet to the screen prints, mark the box "Responsive Records" and take to person designated to scan RAFACS-only responsive records. Pend the case.

If there is no location information in NFTS, and if NVC does not have the receipt, but there is a record in PCQS, print any PCQS screen(s) concerning the petition. Create a File Request to RAFACS (not RAFACS/CIS). Leave the "Customize Letter" button selected. Attach a "Scan As" cover sheet to the screen

prints, mark the box "Responsive Records" and take to person designated to scan RAFACS-only responsive records. Pend the case.

~~12.7.12.4 If there is no information about the receipt file in NFTS, regardless of the prefix of the receipt number, you should staff to the owner of the receipt file and paste in the CLAIMS screen. This information can be located on the CLAIMS inquiry screen upper right hand corner. The CLAIMS screen will show "owned by."~~

New paragraph:

12.7.12.4 As a matter of last resort, if there is neither information about the receipt file in NFTS nor PCQS and you have called National Visa Center and determined NVC does not have the receipt, you should staff to the owner of the receipt file and paste in the CLAIMS screen. This information can be located on the CLAIMS inquiry screen upper right hand corner. The CLAIMS screen will show "owned by."

## **May 27, 2011**

Paragraph 6.3.4.6 of the FOIA/PA Assistant's Guide will be changed as follows: (changed portion in red)

As it used to read:

The case is not Genealogy unless it meets one of the above criteria. If the case you are creating does meet the criteria for Genealogy, create it as **OTHER** then do the following:

- a. Close the request as an ER and send to Up Front Approver
- b. Send an e-mail to the OA room and include the following information:
  - 1) REQ#
  - 2) NRC#
  - 3) Scanner's initials
  - 4) Date scanned

The OA room will pull the original request, include it in the current days count and follow return procedures.

### **Updated Paragraph:**

The case is not Genealogy unless it meets one of the above criteria. If the case you are creating does meet the criteria for Genealogy, create it as **OTHER** then do the following:

- a. Create the and control the case.
- b. Do not staff for any records and do not prepare an acknowledgment letter.
- c. Send the case to Unit Chief with a discussion explaining it is a possible Genealogy

- d. Send an email to the designated person who handles genealogy cases (currently Donna Brasfield) with the control number.

The designated person will review the request to determine if it is, in fact, a genealogy.

If it does not meet the criteria for genealogy it will be returned to you in Case Create to send an acknowledgment letter and staff for records.

If it does meet the criteria, the designated person will create a letter referring the requester to the Genealogy program and will close the case as ER.

---

Paragraph 12.5 Receipt Numbers of the FOIA/PA Assistant's Guide has been changed as follows:

As it used to read:

Do not request receipt files from any offices other than one of the five Service Centers (ESC/EAC, SSC/SRC, WSC/WAC, MSC/NBC or NSC/LIN). For receipt files at HBG, use the NON-FOIA MSC/NBC file request. **Do not request DIG T-files at HBG with RPC codes XX or ZG.** Refer to the Staffing Sheet Guide for the most current information.

**Updated Paragraph:**

Do not request receipt files from any offices other than one of the five Service Centers (ESC/EAC, SSC/SRC, WSC/WAC, MSC/NBC or NSC/LIN). For receipt files at HBG, use the NON-FOIA HBG file request. **Do not request DIG T-files at HBG with RPC codes XX, XY, ZG, ZY, or ZZ.** Refer to the Staffing Sheet Guide for the most current information.

## **June 10, 2011**

The wording of paragraph 28 of the **FOIA/PA Assistant's Guide** has been changed as follows:

**Current language:**

### **28. CONGRESSIONAL REQUESTS AND APPEALS**

All Congressional Requests and Appeals are pulled out of the in-coming mail and handled by a supervisor. If you encounter a Congressional Request or an Appeal in Records Locator queue that was not previously addressed; send an e-mail to NRC, FOIAMS mailbox, include the control number and alien number of the case and specific instructions as to what needs to be done. Put the case in Unit Chief. FOIA/PA Assistants assigned to mail will place the mail in the MSB or Appeals bin.



Here is the new paragraph:

## 28. CONGRESSIONAL REQUESTS AND APPEALS

a. Congressional requests. True congressional requests are requests from a congressman or senator for information which usually does not relate to an alien file or receipt file. Most FOIA/PA requests with congressional correspondence should be handled under paragraph b. of this section, however, if you feel that you have a true congressional request or appeal, control the case, put the case in Unit Chief, and e-mail your supervisor the control number. A supervisor will either send the case to SIG or return the case to you for staffing.

b. Congressional requests on behalf of a constituent: These are requests that have some kind of congressional correspondence included with the request from the subject. These cases should be created in the same manner as any other FOIA or PA request. Please use the subject's name as the requestor, mark "self" in the source block, create the acknowledgment letter and go out for verification of identity or consent as needed. Insert a case note, and e-mail Vicki Ohnells the control number.

## July 8, 2011

A new flow chart for Lost File procedure has been added to **APPENDIX H:**  
**CASE CREATE FLOW CHARTS** in the FOIA/PA Assistant's Guide.

Additionally, in paragraphs

12.7.2 Files Lost or Not Found LESS THAN NINE MONTHS  
and

12.7.3 Files Lost or Not Found MORE THAN NINE MONTHS  
the following new sentence has been added:

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

---

Paragraph 6.1.1.10 of the **FOIA/PA Assistant's Guide** has been changed as follows:

Old version:

6.1.1.10 If the only evidence of an attorney is an envelope or letter, but there is not a duly executed Form G-28, create the case using the name and address of the requester in Section 2,

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Updated on 3/2/2012

*"Requester Information."* Do not use the address on the envelope or letterhead.

New version:

6.1.1.10 If the request came to us on Form G-639, always use the name and address of the requester in Section 2, *"Requester Information."* Do not use the address on the envelope, or Form G-28 or letterhead *unless* the requester did not use Form G-639 *or unless* Section 2 of Form G-639 is illegible. If the address on the G-639 is a foreign consulate office, or is a congressional office, you may use the address listed on the G-28, or other documents in the request, such as an envelope. If you can find no other address, insert a case note and send the case to U/C.

Be careful - it is easy to miss apartment or suite numbers because the space for them is at the right side of Form G-639.

---

The following has been added to 6.4 SEARCH FOR DUPLICATE CASES of the FOIA/PA Assistant's Guide: (old text lined through, new text in red)

This does not include instances in which the requester has faxed the request and then mailed it. If you open a case and find that the exact same request has very recently been created, chances are that you have opened the mailed copy which followed a few days after the fax. ~~Close this case as ER (created in error).~~ Do not create such a case. Click "Send to Research." That case will go and you will be ready for your next case.

Ordinarily, you will search by Alien Number, and if you do not find a duplicate or similar case, your search will be complete. If the requester did not provide an alien number, you may search by the subject's last name and first name, or even by the requester's last name and first name. You may use a percent sign (%) as a wild-card for these searches. For example, if the requester's name is Jaime Vazquez, but you see he also has spelled his name Vasquez – you can search by Subject Last Name "Va%" and Subject First Name "Jaime."

*Further on within paragraph 6.4, in the examples, there are two more changes:*

~~Create a Final Action Letter and select final action code ER: Created in Error. After this, send the case to Up-front Approver~~ Do not click "Create Case." Click "Send to Research." You will then be ready for your next case.

If you determine that it is not a true duplicate, please insert a new Discussion entitled "Similar Case" in each of the cases, so that a processor or approver can review both.

If the date of the request is either the same as your request or within a very few days and:

1. The requester is the same, and
2. The information being requested is the same in both requests,

Do not close this case as a duplicate. ~~Instead, close this case as ER (created in error)~~ Do not click "Create Case." Click "Send to Research."

## **August 30, 2011**

We have added a new paragraph 8.23 to the FOIA/PA Assistant's Guide, as follows:

### **8.23 SITUATION: Requests from Prospective Adoptive Parents**

In the recent past, Vietnam, Cambodia, Guatemala, Nepal, Ethiopia and other countries have had problems concerning adoptions. Birth Certificates have been forged and babies have been taken without consent of the biological parent. In Vietnam, "baby brokers" scour villages looking for unwed, impoverished mothers. They purchase the babies for about \$50 and sell them to commercial adoption services. In Guatemala and elsewhere, people steal babies and sell them to middlemen. Prospective adoptive parents from Spain, Italy and the United States are typically willing to pay as much as \$25,000 to adopt a child. (This information comes from kidsofkathmandu.org).

Normally if we cannot verify consent or prove parentage in a case, we send out for more information. Please do not send out for additional information in pending (not finalized) adoption cases for the following reasons:

1. The Prospective Adoptive Parents (PAP) have the right to all information they submitted for the adoption. It is likely that the adoption never happened. If that is the case, they have no proof of parentage or guardianship.
2. The child is usually too young to give consent.
3. Congress has substantial interest in this matter.

If you decide you need proof of parentage after a full search, please send your case to Admin for supervisor review.

## **September 16, 2011**

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

- \* 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.

\*\*\*\*\*

**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.

\*\*\*\*\*

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.

Paragraph 6.4, **SEARCH FOR DUPLICATE CASES** 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.

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.

## **March 2, 2012**

We have re-written section 6.3.5 as follows:

### **6.3.5 Bureau**

The three possible selections for Bureau are:

**ICE** – Please select ICE if you are staffing to any ICE location, for example OPLA, DRO or SAC. There may be other ICE locations, and if you are unsure, please consult your supervisor.

**CIS** – Used for all other categories. This is the default in FIPS.

**CBP** – Please select CBP if the request pertains specifically to documents relating to the Border Patrol, incident reports relating to apprehension, entry without inspection (EWI), smuggled humans, mobile patrol group, voluntary return, repatriation, checkpoints, entry/exit information, inspection, Port of Entry (POE), legacy customs or legacy inspections. Key words that you could see on a request relating to CBP are inspection, Port of Entry, Bridge of the Americas, Friendship Bridge, and smuggled goods. **Note: If request is for entry/exit information and the requester/subject provided an alien number, request the file.**

We have extensively re-written section **7.3 Reasonable Description of Records Being Sought** to reflect closing for failure to comply if the requester fails to provide name, address, date of birth, place of birth and adequate signature for verification of identity.

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## **1. THE FREEDOM OF INFORMATION ACT**

Congress passed the Freedom of Information Act (FOIA) in 1966 to establish the public's right to access records created or maintained by federal executive branch agencies. The statute became effective on July 4, 1967. The statute relating to the Freedom of Information Act is 5 U.S.C. § 552.

## **2. THE PRIVACY ACT**

The Privacy Act of 1974 regulates the collection, maintenance, use, and dissemination of personal information by the federal government. The statute relating to the Privacy Act is 5 U.S.C. § 552a. The statute became effective September 27, 1975.

## **3. WHAT ARE FOIA REQUESTS AND HOW DO WE GET THEM?**

A Freedom of Information Act (FOIA) request is a request in writing for a copy of any record maintained by any agency of the executive branch of the government. Persons must reasonably describe the records sought, and those records must already exist. Requests can come in a variety of ways. They can come in on the Form G-639 or as a letter from an attorney or representative. They can come in the form of a letter from the alien himself. The requester may mail, fax, hand deliver, or e-mail a request. No matter how we receive them or what the format is, as long as they are in written form and provide enough information to ascertain that they want documents from us, we treat them as FOIA requests. A Privacy Act (PA) request is a request by a person for a copy of his or her file.

For case creating purposes, the difference between a FOIA and PA request does not matter. You will create all cases as FOIA requests, although some of the requests we receive are PA requests. The case processor determines whether the case falls under the Freedom of Information Act or the Privacy Act.

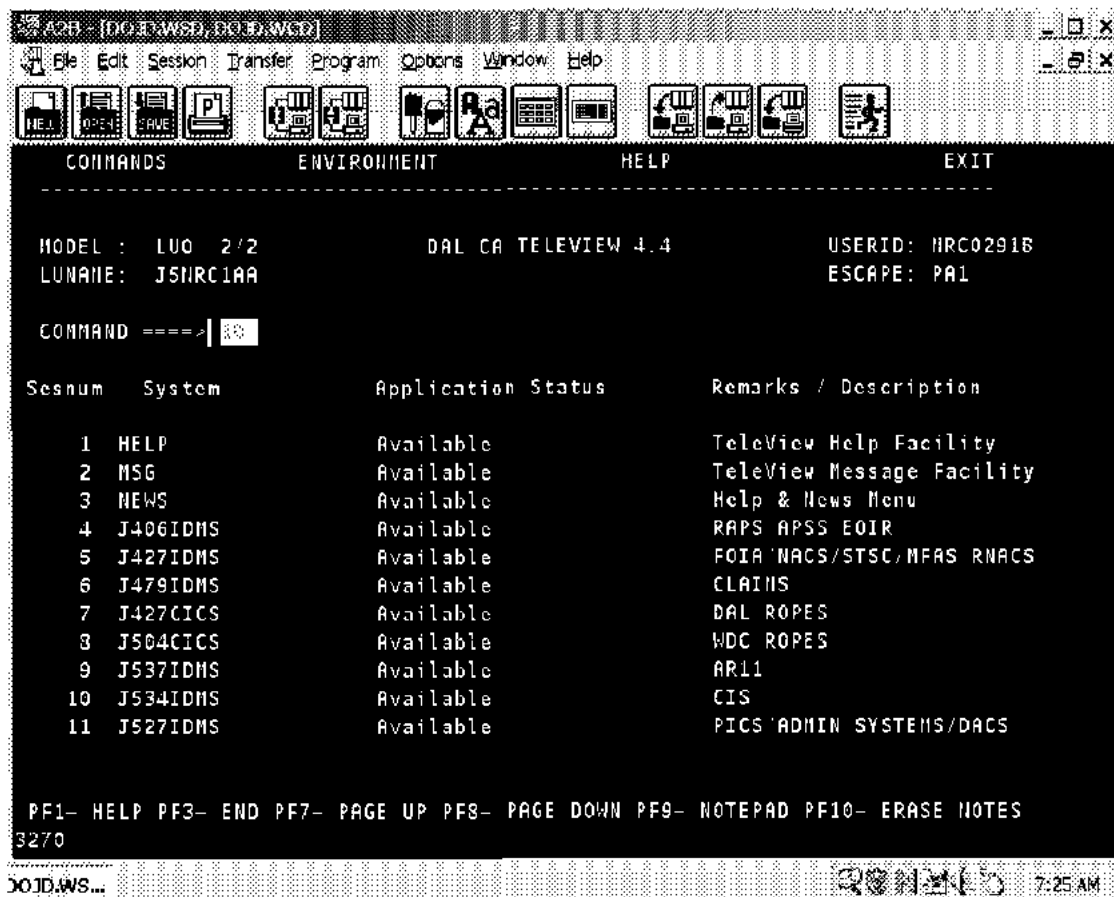
## 4. WHO CAN MAKE A FOIA REQUEST?

Anyone can request any record kept by the executive branch of government. The tricky part is determining if we have enough information and consent to provide the record and who is entitled to what. The most common types of requesters are:

- First party requesters, that is, the alien himself or his designee, attorney or representative, are entitled to a complete copy of the alien file, after any applicable exemptions are applied. However, a parent or guardian may make a request for a minor's record. Please refer to the section titled **"CONSENT RELATING TO RECORDS CONCERNING A MINOR OR PERSON JUDICIALLY DETERMINED TO BE INCOMPETENT"** in this guide.
- Third party requesters, that is, an individual seeking a copy of an alien's file without the subject of record's consent, are entitled only to documents of a public nature or documents they provided in support of an application/petition. Please refer to the section titled **"THIRD PARTY REQUESTS"** in this guide.
- Media requesters are typically accredited members of the media.
- Bond obligors, companies who posted immigration bonds for the aliens, are entitled to a copy of the file under a court case entitled *Amwest v. Reno*. Please refer to the section titled **"IMMIGRATION BOND OBLIGORS"** in this guide.
- Other state and local government agencies are entitled to documents from alien files for law enforcement purposes. Requests for information originating with any other federal agency are operational matters and not FOIA or Privacy Act requests. Please refer to the section titled **"ROUTINE USE"** in this guide.



## 5.1.2 TeleView Main Menu



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



### 5.1.3 CIS Login Screen



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

### 5.1.4 CIS Main Menu

A25 00000000000000000000

File Edit Session Transfer Program Options Window Help

CIHNEN IMMIGRATION AND NATURALIZATION SERVICE 10.18.05  
COMMAND: CENTRAL INDEX SYSTEM MAIN MENU 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

Keyboard Input Form CISResourceGuide 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.

### 5.1.4.1 Search Menu Screen

```
A2B - [DOE.WSD, DOE.WG2]
File Edit Session Transfer Program Options Window Help
[Icons]
CINSEA      IMMIGRATION AND NATURALIZATION SERVICE      10 13/05
COMMAND:    CENTRAL INDEX SYSTEM - SEARCH MENU          10:02:06

A#: 000000000 NAME:                                     DOB: 00000000

(01) ID #:
      (A AA AB C/DA/DL/FB/FP/I PP,SS,TD)  OTHER MENU SELECTIONS
(02) SOUNDS-LIKE NAME                      (92) DATA DISPLAY MENU
(03) EXACT NAME                            (93) ADD TRANSACTIONS MENU
(04) AKA (ALIAS) NAME                     (94) RECORD MAINTENANCE MENU
(05) LAPS EXACT NAME                      (95) FILE TRANSFER SUBSYSTEM MENU
(06) SOUNDS-LIKE NAME WITH DOB

(11) MANUAL SEARCH REQUEST (MR)
(12) MANUAL SEARCH RESPONSE (SR)

(15) ON LINE A NUMBER REPORT REQUEST

[01] - SELECT TRANSACTION NUMBER.  PRESS ENTER.  FOR ID # SEARCH, KEY THE
      PREFIX AND THE ID # (EG, A123456789).

      CLEAR EXIT      PF5 HELP      PF6 CIS MAIN MENU

3270
Keyboard  Input Form  CISResourceGuide  9:02 AM
```

From this search screen a decision is made as to how to begin a search for an individual's records. The most commonly used methods to search for an individual's record are:

#### Code Search by Category

- 01 ID # (A-number, certificate number, social security number, passport number, etc.)
- 02 Sounds-Like Name Search
- 03 Exact Name Search
- 04 Alias (AKA) Name Search
- 06 Sounds-Like Name Search with DOB

Type in the two-digit code (01) and press enter. The screen displayed will be the screen where the search for records begins. **\*Note:** Remember to read the screen in its entirety for additional information.

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

```
CINIDM - [DOE.WSD.DOD.WG2]
File Edit Session Transfer Program Options Window Help
[Icons]
CINIDM IMMIGRATION AND NATURALIZATION SERVICE 10 13/05
COMMAND: 9101 CENTRAL INDEX SYSTEM - ID # SEARCH/DISPLAY 10:02:55

ID # (A/AA/AB/C DA): A#: DOB:
(DL/FB/FP.I.PP/SS/TD)
LAST:
FIRST: NATZ DATE:
MIDDLE: COURT:
ALIASES: LOCATION:

SEX: POE: COB: DOE:
FCO: COA: COC: FATHER:
PFCO: SFCO: DFO: BIN: MOTHER:

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

OVER-KEY ID# TO DISPLAY NEW PERSON. PRESS ENTER. CLEAR EXIT PF1 NEXT CONS A#
PF2 PRIOR CONS A# PF3 REFRESH PF4 RETURN PF5 HELP PF6 MAIN MENU PF8 HISTORY
PF9 EAD PF11 EOIR
3270

Keyboard Input Form CISResourceGuide... 9:03 AM
```

In the ID# field enter the appropriate prefix with information (A = a-number, SS = social security number, PP = passport number, C = naturalization certificate number and I = I-94 number). If there is information in the system on the subject it will populate in the fields below the ID#. Pay special attention to the legend at the bottom of the screen specifically PF8, PF11, and any information listed under (other information). By pressing PF8 the history menu is displayed. This screen holds chronological information about actions that have been taken or changes in the subject's immigration status. The PF11 screen shows EOIR (Executive Office of Immigration Review) information. The significance of this screen is that 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)

A2B [D01AWSD.D01AWCO]

File Edit Session Transfer Program Options Window Help

COMMAND: 9102 IMMIGRATION AND NATURALIZATION SERVICE 10:19:05  
CENTRAL INDEX SYSTEM - "SOUNDS LIKE" SEARCH 10:09:04

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

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

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

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

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

3270

Keyboard Input Form CISResourceGuide ... 9:09 AM

Use the 9102 screen when there could be variations in the spelling of a name. There are times when the person who created the record in CIS misspelled the name. There could be many spelling variations in a name transcribed from a non-Roman alphabet. The \* indicates the minimum amount of information required to search. The search results may be voluminous.

### 5.1.6 Exact Name Search (9103)

A26 [D:\G:\GSD\GSD\GAWC]

File Edit Session Transfer Program Options Window Help

CINEXA IMMIGRATION AND NATURALIZATION SERVICE 12:15:05  
COMMAND: 9103 CENTRAL INDEX SYSTEM - EXACT NAME SEARCH 08:44:21

\* LAST NAME: (40-CHARS MAX)  
\* FIRST NAME: (25 CHARS MAX)  
MIDDLE NAME: (25 CHARS MAX)  
EXACT DOB: (MMDDYYYY)  
DOB RANGE: (DATE RANGE = YYYYR; YYYY=YEAR, R=0-9)  
COB: (5 CHARACTER COUNTRY CODE)  
COC: (5-CHARACTER COUNTRY CODE)  
POE: (3 CHARACTER PORT OF ENTRY CODE)  
DOE: (MMDDYYYY)  
COA: (3 CHARACTER CLASS OF ADMISSION CODE)  
FCO: (3-CHARACTER FILES CONTROL OFFICE CODE)  
SEX: (M/F)

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

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

2270

ptonDoc: [N:\data\1 on Nrc\... [CISResourceGuide 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.

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

CIHALI IMMIGRATION AND NATURALIZATION SERVICE 01/30/06  
COMMAND: 9104 CENTRAL INDEX SYSTEM ALIAS (AKA) NAME SEARCH 12:56:45

AKA/NEE LAST NAME: (40-CHARS MAX)  
AKA/NEE FIRST NAME: (25-CHARS MAX)

LAST NAME MATCH: (NUMBER OF EXACT CHARACTERS TO MATCH (0-9))  
FIRST NAME MATCH: (NUMBER OF EXACT CHARACTERS TO MATCH (0-9))

EXACT DOB: (MMDDYYYY)  
DOB RANGE: (DATE RANGE = YYYYR: YYYY=YEAR, R=0-9)  
COB: (5-CHARACTER COUNTRY CODE)  
COC: (5-CHARACTER COUNTRY CODE)  
POE: (3-CHARACTER PORT OF ENTRY CODE)  
DOE: (MMDDYYYY)  
COA: (3 CHARACTER CLASS OF ADMISSION CODE)  
FCO: (3-CHARACTER FILES CONTROL OFFICE CODE)  
SEX: (M/F)

YOU MAY REQUEST A SEARCH ON FIRST NAME ONLY ALIASES, ON LAST NAME ONLY ALIASES,  
AND ON ALIASES CONTAINING BOTH FIRST AND LAST NAMES. OTHER FIELDS ARE OPTIONAL.  
SPECIFY THE SEARCH CRITERIA, THEN PRESS ENTER TO BEGIN THE ALIAS NAME SEARCH.

CLEAR EXIT PF3 REFRESH PF4 MENU PF5 HELP PF6 MAIN MENU

3270 NUM OVR

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

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

```

CINDSND      IMMIGRATION AND NATURALIZATION SERVICE      08/03/06
COMMAND: 9106  CENTRAL INDEX SYSTEM  "SOUNDS LIKE" NAME  09:25:07
                WITH DATE OF BIRTH (DOB) SEARCH

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

    EXACT DOB:                                (MMDDYYYY; YYYY=YEAR; MM=MONTH; DD=DAY)
    DOB YEAR RANGE:                          (YYYYR;      R=0-9)
    DOB MONTH RANGE:                         (YYYYMMRR;   RR=0-12)
    DOB DAY RANGE:                           (YYYYMMDDRR;  RR=0-31)

    LAST NAME MATCH:                          (NUMBER OF EXACT CHARACTERS TO MATCH (0-9))
    FIRST NAME MATCH:                         (NUMBER OF EXACT CHARACTERS TO MATCH (0-9))

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

* LAST NAME, FIRST NAME AND ONE OF THE DOBS ARE REQUIRED. REMAINING FIELDS ARE
  OPTIONAL. SPECIFY SEARCH CRITERIA. THEN PRESS ENTER TO INITIATE THE SEARCH.
  CLEAR EXIT  PF3 REFRESH  PF4 MENU  PF5 HELP  PF6 MAIN MENU

3270
NUM QVR
```

The 9106 screen allows searches for information pertaining to the subject of the request even if the spelling of the name is incorrect. For example, the requestor made a typographical error in the spelling of the name the search results will yield a list of similar names matching the subjects.



### 5.1.9 Card Search (9222)

```
A2B [DHSD3 WSD DHSD3 WCD]
File Edit Session Transfer Program Options Window Help
[Icons]
CIMCARD IMMIGRATION AND NATURALIZATION SERVICE 08/01/06
COMMAND: 9222 CENTRAL INDEX SYSTEM - ARR/BC CARD DISPLAY (CARD) 08:22:32

A#: 0 NAME: TAYLOR, FRANCIS DOB: 0809
LEGAL PERMANENT RESIDENT

CARD NAME: TAYLOR, FRANCIS E. BIRTHDATE:
INS A# 0 CARD# SRCO
CATEGORY: PERMANENT RESIDENT SINCE: 12/12/2005
SEX: CARD EXPIRES: 02/22/2016
COB:

C1 USA SRCOC
TAYLOR, FRANCIS EDWIN

MOTHER'S NAME: EDWINA FATHER'S NAME: ZACHIOUS
CARD PORT OF ENTRY: BAL

CLEAR EXIT PF4 DISPLAY MENU PF5 HELP PF6 MAIN MENU PF7 CARD HISTORY
3270
NBM OVR
```

The 9222 screen is a snapshot of an actual Legal Permanent Resident (LPR) Card. In addition, this is the same screen to find Border Crossing Card information.

#### 5.1.10 File Transfer Display (9504)

```

A2B DISDAVSD DISDAVCD
File Edit Session Transfer Programs Options Window Help
NEW OPEN SAVE P [Icons]
CIMFTD IMMIGRATION AND NATURALIZATION SERVICE 08/01/06
COMMAND: 0004 CIS FILE TRANSFER DISPLAY (FTD) 11:33:03
A#:  NAME: TAYLOR FRANCIS DOB:

PREVIOUS FCO: BAL FCO CREATING SUB-FILE:
CURRENT FCO: NRC SUB-FILE CREATION IND:
REQUEST FCO: NRC

FILE LOCATED IND: C (FILE TRANSFER COMPLETE)

DATE FTR: 01242006 (MMDDYYYY) ACCESSION NUMBER: 0000
DATE FTI: 01242006 INS BOX NUMBER:
DATE FTC: 02022006

PERSON ACTION: REQUEST NUMBER:
2ND REQUEST DATE:
3RD REQUEST DATE:

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

CLEAR EXIT PF3 REFRESH PF4 FTS MENU PF5 HELP PF6 CIS MAIN MENU
3270
NUM OVR

```

The main purpose of the 9504 screen is to check the location and movement of files. This screen's primary use as it relates to FOIA is that it will be used in conjunction with NFTS in the case create function. The following is a list of acronyms displayed on this screen.

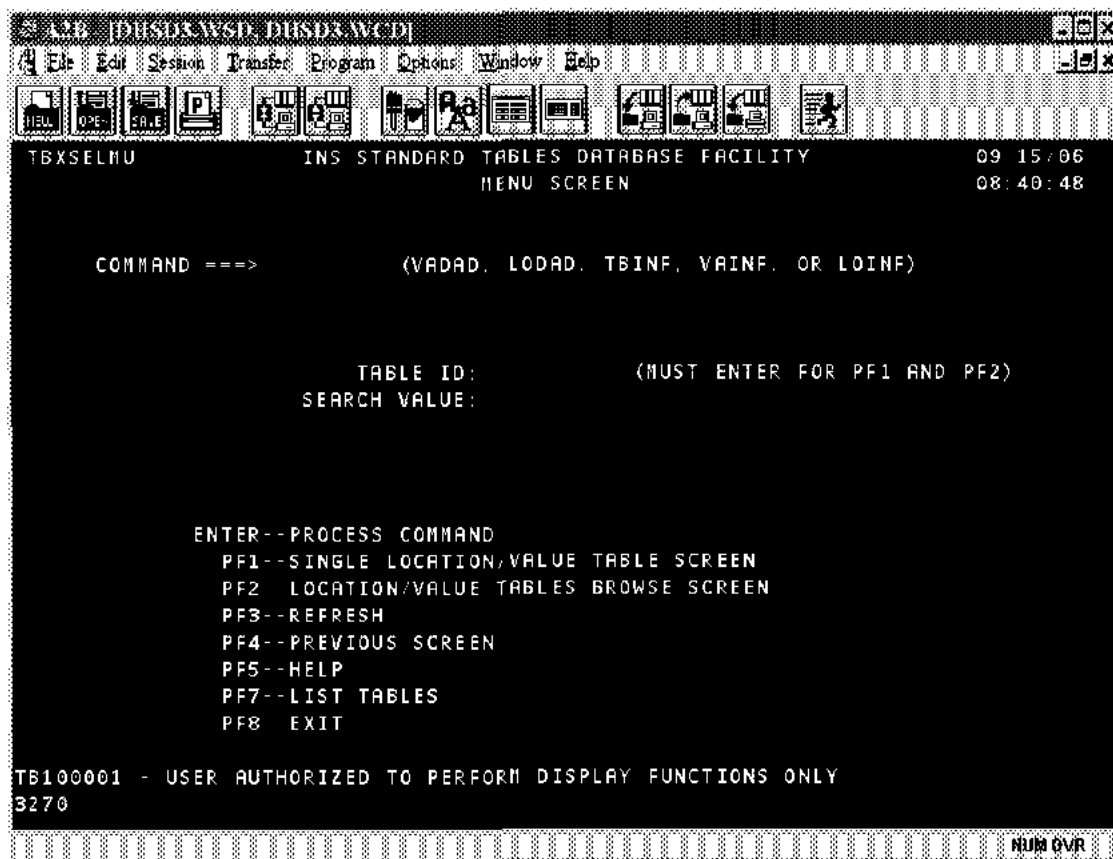
FTR: File Transfer Request  
FTI: File Transfer Initiated  
FTC: File Transfer Complete

### 5.1.11 Tables



The **Tables** section contains a wealth of informational codes that can be of assistance in making a decision about the subject of the request, such as **Class of Admission**. To get to this screen select the "keyboard" from the toolbar at the top of the screen and click the clear button on the keyboard. Once this is done type in the word **tables**. The next screen displayed will be the **Tables Menu Screen**.

### 5.1.12 Tables Menu



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

### 5.1.13 Tables Information Screen

```

A2B [DHSD3.WSD, DHSD3.WCD]
File Edit Session Transfer Program Options Window Help
[Icons]
TBXTBINF      INS STANDARD TABLES DATABASE FACILITY      PAGE 09/15/06
                  TABLE INFORMATION SCREEN                  0001 08:46:07

COMMAND      (SELNU, VADAD, LODAD, VAINF, OR LOINF)

SEL ONE      TABLE ID      TABLE TYPE      TABLE DESCRIPTION

    AOTX      [ ]      VAL      [ ]      ADJUSTMENT OF STATUS CODES
    AFAC      [ ]      VAL      [ ]      CIS/AFAC FCO CODE TABLE
    AIRX      [ ]      LOC      [ ]      INTERNATIONAL MUNICIPAL AIRPORTS
    ASC       [ ]      LOC      [ ]      APPLICATION SUPPORT CENTERS
    ASIL      [ ]      LOC      [ ]      ASYLUM INTERVIEW OFFICES
    ASYL      [ ]      LOC      [ ]      ASYLUM OFFICES
    BPHQ      [ ]      LOC      [ ]      HEADQUARTERS
    BPHX      [ ]      VAL      [ ]      BORDER PATROL SECTOR CODES
    BPSH      [ ]      LOC      [ ]      BORDER PATROL SECTOR HEADQTRS
    BPST      [ ]      LOC      [ ]      BORDER PATROL STATIONS
    BPSX      [ ]      VAL      [ ]      BORDER PATROL STATION CODES
    CCDI      [ ]      VAL      [ ]      INS/DOS/USCS COUNTRY CODE DISCREPS

    PF1      PF2      PF4      PF6      PF8
    PGFRWD   PGBWRD   PREV SCN   MENU    EXIT

TB100043 - SELECT ONE RECORD OR TRY OTHER FUNCTIONS
3270
HOM OVR
  
```

The tables are in alphabetical order. Place an X in the "SEL ONE" column and press enter and this will bring up a list of different codes.

### 5.1.14 Value Tables Browse Screen

TBXVAINF      INS STANDARD TABLES DATABASE FACILITY      PAGE 09/15/06  
 VALUE TABLES BROWSE SCREEN      0014 08:56:10

COMMAND (SELNU, VADAD, LODAD, TBINF, OR LOINF)

TABLE ID: ADJX      TABLE DESC: ADJUSTMENT OF STATUS CODES

SEL	SEARCH VALUE	VALID CODE	TABLE TEXT
IB7		IB7	SLF-PETITION CHILD OF USC
IB8		IB8	CHILD OF IB6
IC6		IC6	INDOCHINESE REFUGEE
IC7		IC7	SPS CH INDOCHN REF NOT QUA SEC
ID6		ID6	INDOCHINESE PAROLEE
IF1		IF1	ALIEN REC ADJ FOR PER RES CREA
IF2		IF2	MINOR CHILD OF IF1 ALIEN
IR0		IR0	PARENT OF U. S. CITIZEN
IR6		IR6	SPOUSE OF CITIZEN
IR7		IR7	CHILD OF CITIZEN
IR8		IR8	ORPHAN ADOPTED ABROAD BY CITZ

PF1      PF2      PF4      PF6      PF8  
 PGFRWD    PGBWRD    PREV SCN    MENU    EXIT

TB100043 - SELECT ONE RECORD OR TRY OTHER FUNCTIONS  
 3270

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

## 5.2. Computer Linked Application Information Management System

### 5.2.1 Introduction

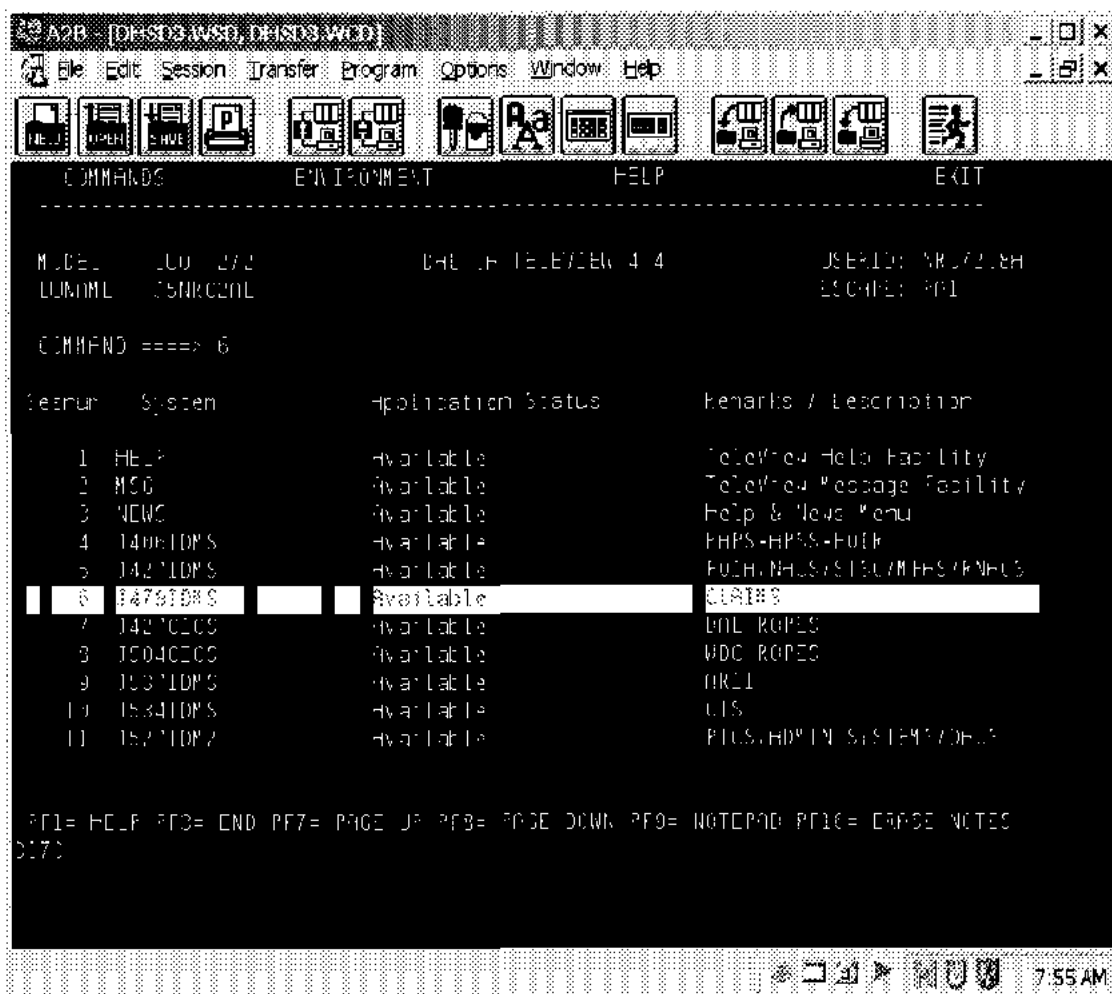
The Computer Linked Application Information Management System (CLAIMS) tracks application and petitions. CLAIMS is a menu driven system. The Inquiry/Update Processing selection on the menu is the only menu NRC FOIA uses because we search for receipts but never modify information in CLAIMS.

### 5.2.2 Teleview Introduction Screen



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

### 5.2.3 CLAIMS Selection Screen



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

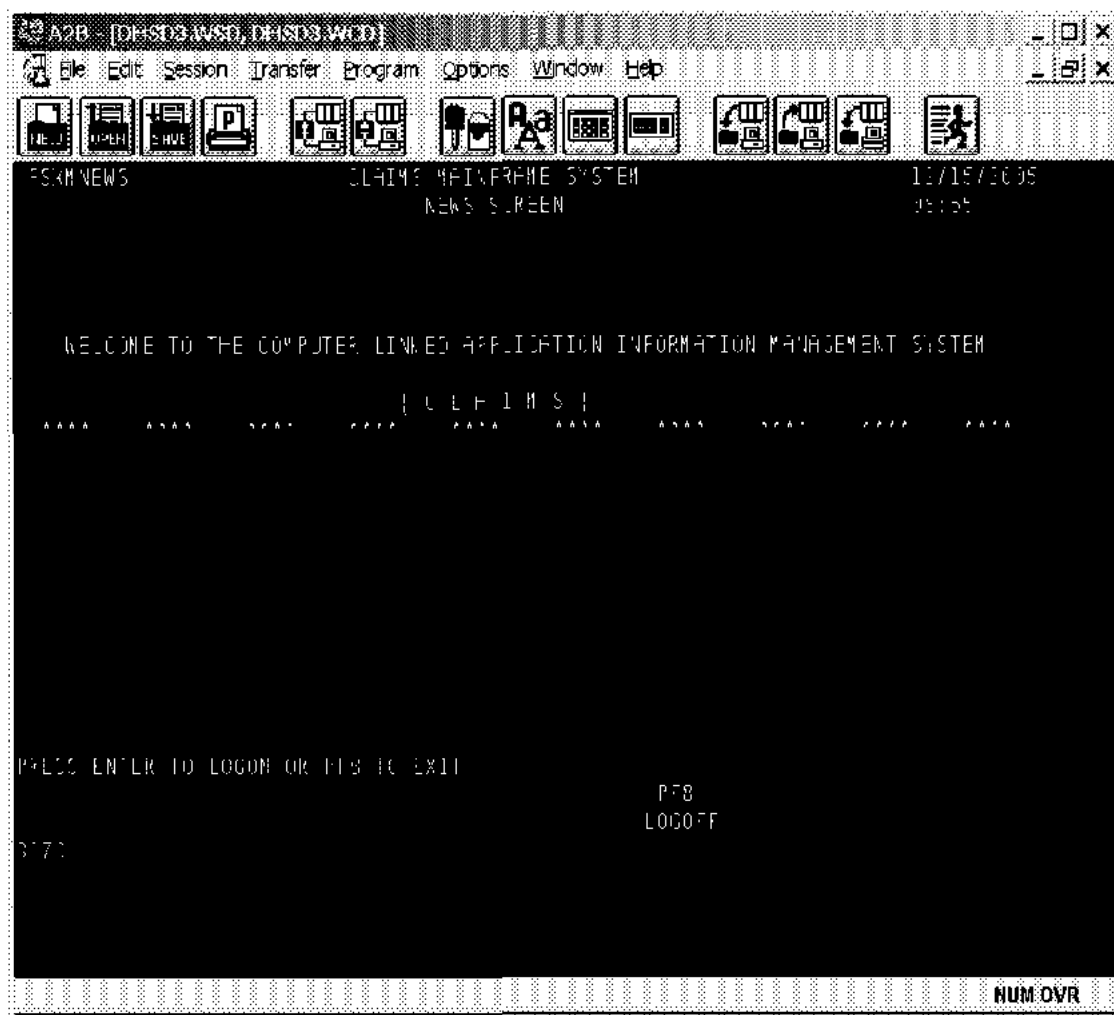


## 5.2.4 CLAIMS Function Screen



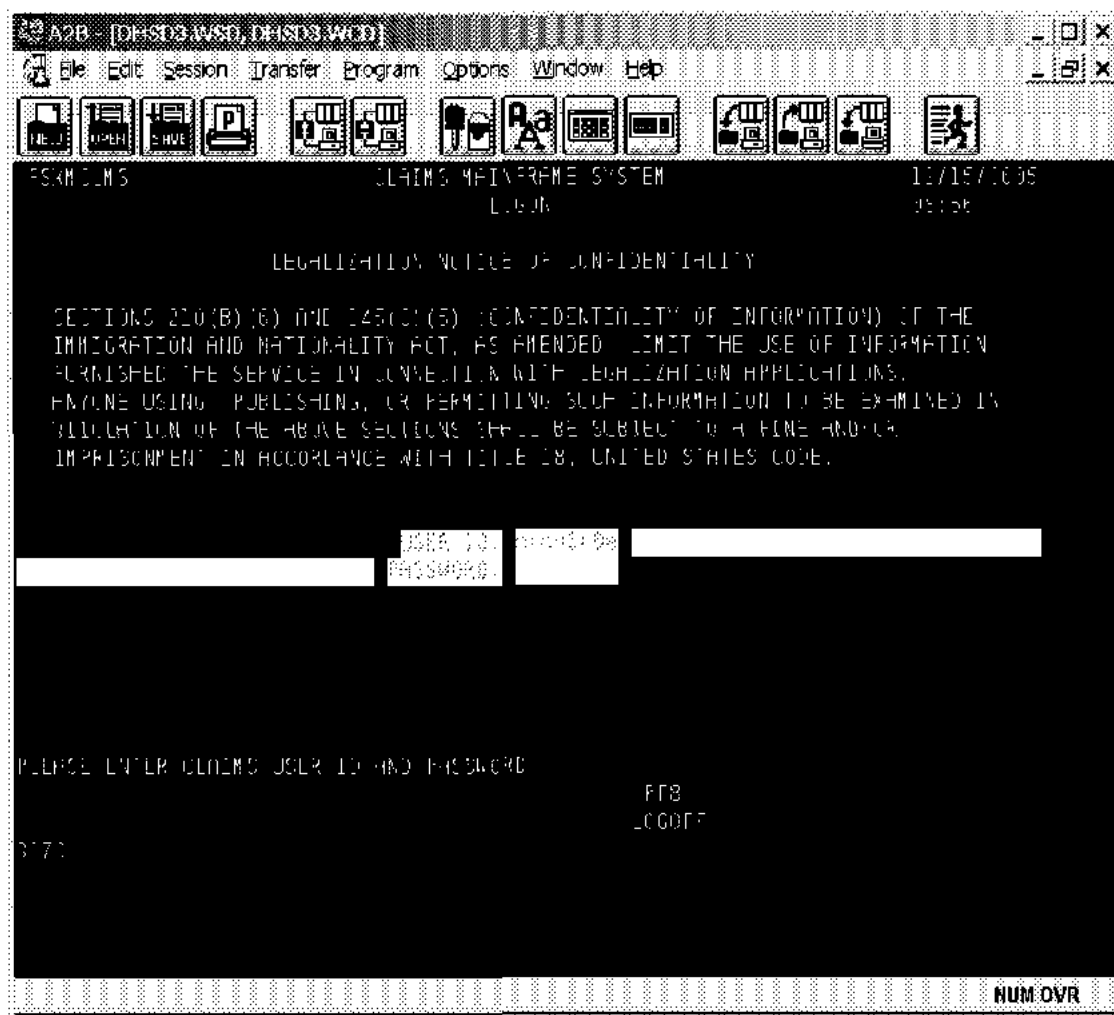
After selecting CLAIMS from the main menu, you will see the screen print shown above. Type in claims and press enter. This screen is not case sensitive.

### 5.2.5 CLAIMS Welcome Screen



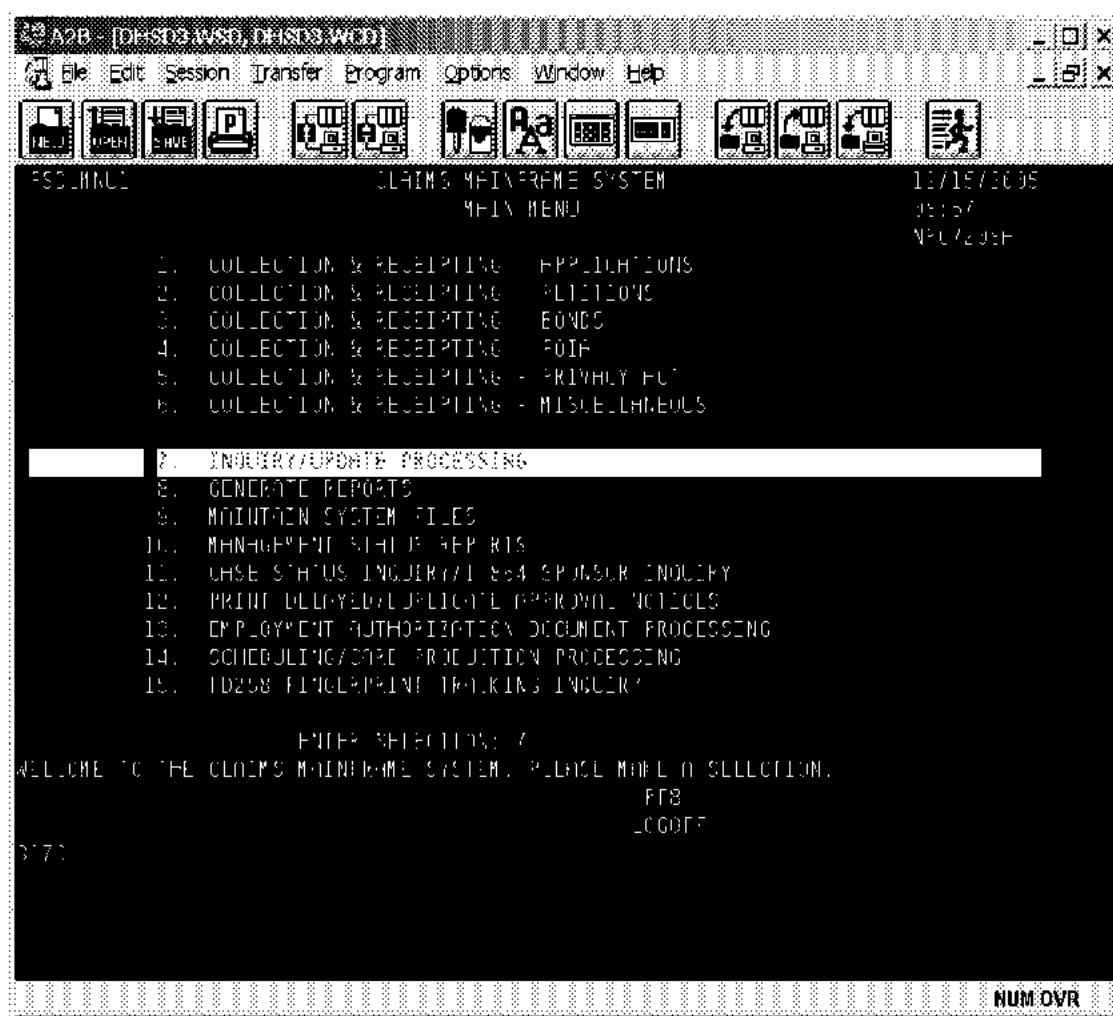
Press enter from here to get to the logon screen.

## 5.2.6 CLAIMS Logon Screen



To logon, your USER ID will be NRC and the last 4 digits of your social security number followed by a letter (NRC1234A). Check with your supervisor for your password.

### 5.2.7 CLAIMS Main Menu Screen



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

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

A2B - [DHSD3.WSD, DHSD3.WCD]

File Edit Session Transfer Program Options Window Help

NEW OPEN SAVE PRINT

CLAIMS MAINFRAME SYSTEM 10/15/2005 09:05 NPO/205H

UPDATE PROCESSING MENU

SELECT AND COMPLETE ONE LINE

1. RECEIPT NO : 8401601891140

(SELECTIONS BELOW FOR APPLICATIONS AND PETITIONS ONLY)

2. USER ID DATE: (MMDDYY)

3. BENEFICIARY/APPLICANT NAME (LAST) (FIRST):  
BIRTH DATE (MMDDYY)

4. ID NUMBER

5. REFERENCE NO.:

6. PETITIONER NAME (LAST) (FIRST):

PF0 PF6 PF8 PF10 PF11 PF12  
CANCEL MAIN MENU LOGOFF REMOTE ACT UPD BY CODE ACT UPD BY PCPT

0170 NUM OVR

On the Inquiry screen, there are several ways to search for records. If you know the receipt number, type the number under the first field to pull up the receipt information.

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

The screenshot shows a mainframe terminal window titled "A2B - [DHSD3.WSD, DHSD3.WCD]". The menu bar includes "File", "Edit", "Session", "Transfer", "Program", "Options", "Window", and "Help". Below the menu is a toolbar with various icons. The main display area shows the "CLAIMS MAINFRAME SYSTEM" and "UPDATE PROCESSING MENU". The date and time are "01/07/2006" and "0:16". The user is "NFC7203H". The prompt is "SELECT FNC COMPLETE ONE LINE".

The search form contains the following fields:

- 1. RECEIPT NO.
- (SELECTIONS BELOW FOR APPLICATIONS AND PETITIONS ONLY)
- 2. USER ID DATE: (MMDDYYYY)
- 3. BENEFICIARY/APPLICANT
  - NAME (LAST): [REDACTED] (FIRST): [REDACTED]
  - BIRTH DATE: [REDACTED] (MMDDYYYY)
- 4. ID NUMBER
- 5. REFERENCE NO.:
- 6. PETITIONER NAME (LAST) (FIRST):

At the bottom, there are function keys: PF0 (CANCEL), PF6 (MAIN MENU), PF8 (LOGOFF), PF10 (REMOTE), PF11 (ACT UPD BY CODE), and PF12 (ACT UPD BY PCPT). The page number "317" is visible on the left, and "NUM OVR" is on the right.

You may also search name and birth date. CLAIMS does not forgive spelling errors and will not conduct "sounds-like" searches. If you do not immediately find a receipt, you should also search by alias names and variations of the name. You may also search without the birth date. This may have the results you are looking for depending on how common the name of the subject. Searching using the birth date will narrow the findings.

(b)(6)

ASB [CHS34W8D, CHS34W8D]

File Edit Session Transfer Program Options Window Help

CLAIMS MAINFRAME SYSTEM 02/21/2007  
INQUIRY/UPDATE RECEIPT LIST 11:53  
NRC093534

RECEIPT NBR	REF NAME	FD FORM	FEE AMT	REC DATE
1.		109	100.00	02/17/2007
2.		1030	100.00	02/14/2007
3.		1565	200.00	02/14/2007
4.		1765	100.00	02/11/2007
5.		1485	300.00	02/11/2007
6.		1029	100.00	01/04/2007
7.		051550		
8.		109		02/13/2007
9.		1765		02/08/2007
10.		1485		02/08/2007
11.		1029	100.00	09/05/2006
12.		1030	100.00	02/12/2007
13.		109	100.00	02/12/2007
14.		1485		02/09/2007
15.		109		02/09/2007
16.		109	100.00	01/17/2007

PF1 PF2 PF3 PF4 PF5 PF6  
PG FWD PG BACK CANCEL PRIOR MENU MAIN MENU LOGOFF

3276

NUM OVR

If your subject has a very common name, the inquiry may result in several pages of matches. View the screen pertaining to the individual receipt number or look for the type of form. It will show detailed information relating to that specific receipt number. To view the detailed information, type the corresponding number at the bottom of the screen labeled "TYPE IN SELECTION." For example, if you type "3", the detailed information relating to receipt number [REDACTED] will be displayed.

### 5.2.10 Searching with the A-Number

The screenshot shows a terminal window titled "A2B - [DHSD3.WSD, DHSD3.WCD]". The menu includes: File, Edit, Session, Transfer, Program, Options, Window, Help. Below the menu is a toolbar with icons for New, Open, Save, Print, Find, and other functions. The main screen displays the following text:

```

PSKHMNL          CLAIMS MAINFRAME SYSTEM          01/07/2006
                  UPDATE PROCESSING MENU          0:16
                                                    VFL7203F

                SELECT FIVE COMPLETE ONE LINE

1.  RECEIPT NO.

      (SELECTIONS BELOW FOR APPLICATIONS AND PETITIONS ONLY)

2.  USER ID                      DATE:                      (MMDDYYYY)

3.  BENEFICIARY/APPLICANT
    NAME (LAST)                      (FIRST):
    BIRTH DATE                      (MMDDYYYY)

4.  A NUMBER:  A  [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ]

5.  REFERENCE NO.:

6.  PETITIONER
    NAME (LAST)                      (FIRST):

PF0      PF6      PF8      PF10     PF11      PF12
CANCEL  MAIN MENU  LOGOFF  REMOTE  ACT UPD BY CODE  ACT UPD BY PCPT
3173
NUM OVR
  
```

You may search by A-number. Navigate through these fields by tabbing, or to go backwards, use Shift-Tab. CLAIMS used to allow adjudicating officers to enter alien numbers as an eight-digit number without a leading zero. Ordinarily you should enter a leading zero immediately following the letter A (in purple on this screen) and then enter the rest of the A-number. If you do not find what you need, try deleting the zero immediately after the "A." If the person has a nine digit A-number, you will not have to worry about it. Note: if you search by A-number, it may not show every receipt belonging to the person, so you may still have to search by name and date of birth or by petitioner's name.



### 5.2.11 Searching with the Petitioner's Name

The screenshot shows a terminal window titled "A2B - [DHSD3 AWS0, DHSD3 W00]". The menu bar includes "File", "Edit", "Session", "Transfer", "Program", "Options", "Window", and "Help". Below the menu bar is a row of icons. The main display area has a black background with white text. At the top, it says "CLAIMS MAINFRAME SYSTEM" and "UPDATE PROCESSING MENU". The date and time "02/07/2008 09:16" and the user "NPO0205H" are in the top right. The prompt "SELECT AND COMPLETE ONE LINE" is centered. The menu items are: 1. RECEIPT NO., (SELECTIONS BELOW FOR APPLICATIONS AND PETITIONS ONLY), 2. USER ID DATE: (MMDDYYYY), 3. BENEFICIARY/APPLICANT NAME (LAST) (FIRST): BIRTH DATE (MMDDYYYY), 4. ID NUMBER ID, 5. REFERENCE NO.:, 6. PETITIONER NAME (LAST) (FIRST):. At the bottom, there are function key labels: FFC CANCEL, PF6 MAIN MENU, PF8 LOGOFF, PF10 REMOTE, PF11 ACT UPD BY CODE, and PF12 ACT UPD BY PCPT. The page number "0170" is in the bottom left, and "NUM OVR" is in the bottom right.

```
A2B - [DHSD3 AWS0, DHSD3 W00]
File Edit Session Transfer Program Options Window Help
[Icons]
CLAIMS MAINFRAME SYSTEM
UPDATE PROCESSING MENU
02/07/2008 09:16
NPO0205H

SELECT AND COMPLETE ONE LINE

1. RECEIPT NO.
   (SELECTIONS BELOW FOR APPLICATIONS AND PETITIONS ONLY)
2. USER ID          DATE:          (MMDDYYYY)
3. BENEFICIARY/APPLICANT
   NAME (LAST)          (FIRST):
   BIRTH DATE          (MMDDYYYY)
4. ID NUMBER      ID
5. REFERENCE NO.:
6. PETITIONER
   NAME (LAST) [ ] (FIRST): [ ]

FFC  PF6  PF8  PF10  PF11  PF12
CANCEL  MAIN MENU  LOGOFF  REMOTE  ACT UPD BY CODE  ACT UPD BY PCPT
0170
NUM OVR
```

You may search by using the petitioner's name, but be forewarned: if the petitioner has a very common name, the results of this search may be overwhelmingly voluminous.

### 5.2.12 Search Results

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

ESKHTAP2 CLAIMS NETWORKING SYSTEM 01/20/2006 15:31

APPLICATION UPDATE PROCESSING

MODE M

FORM I751 RPT NBR: SPC-06-025-0045 APPEALED FORM: OWNER: SRC

PART 2 A PART 3 RECEIVED DT: 10/26/2005

A-NBR A 12345678 REF NBR: ASSOC RPT NBR:

NAME TEST TEST NAME

U/I

STREET 4141 ST AUGUSTINE CITY DALLAS

STATE TX PROVINCE ENTRY ZIP/POSTAL: 75207

GENDER DOB 01161964 COE: AJST? ENTRY OF CITZ SOC SEC #:

EMPLOYER TAX ID

REP CODE REP TYPE: (A-H) (I) B-CERT, REP, L-OTHER

NAME

FORM CLASS

STREET CITY

STATE PROVINCE ENTRY ZIP/POSTAL:

STATUS/ACTION

INC STATUS NEW CLASS:

PRIORITY DATE 10262005 DATE VALID FROM: TO:

01087901 VIEW MODE

PR2	PR3	PR4	PR5	PR6	PR7	PR8	PR9	PR11
1	1	1	1	1	1	1	1	1
1	1	1	1	1	1	1	1	1

2/77

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)

A2B [D:\SDS.WSD, D:\SDS.WSD]

File Edit Session Transfer Program Options Window Help

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

ESK1APP CLAIMS MATRFRM SYSTEM 03/02/2006 15:31 NFO72 APP

APPLICATION UPDATE PROCESSING

MODE M FORM 1751 RCPT NBR: SPC-06-025-00045 APPEALED FORM: OWNER: SRC

PORT 2 G PORT 3 RECEIVED DT 10/20/2005

P-NBR P 12345678 REF NBR: ASSOC RCPT NBR: NAME TEST TEST NAME

STREET 4141 ST AUGUSTINE CITY DALLAS

STATE TX PROVINCE CNTRY ZIP/POSTAL: 75227

GENDER DOB 01161964 CDE: AJST? ENTRY OF CITZ SOC SEC #:

EMPLOYER TAX ID

REP CODE REP TYPE: (A=ATTY B=CERT REP, T=OTHER)

NAME

FIRM CLASS

DIRECT CITY

STATE PROVINCE CNTRY ZIP/POSTAL:

STATUS/ACTION

INS STATUS NEW CLASS:

PRIORITY DATE 10262005 DATE VALID FROM: TO:

CLASS/DEI FILE MODL

PF2 PF3 PF4 PF5 PF6 PF7 PF8 PF9 PF11

II ING CANCEL BACK END INFO MAIN MENU CODES LOGOFF RE\*IT STAT HIST

3/7:

NUM OVR

(b)(7)(e)

The top right corner of the screen shows the owner of the file, this may help in determining where to 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.

A2B [D:\803.W60, D:\813.W60]

File Edit Session Transfer Program Options Window Help

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

ESAMIST: CLAIMS MATTERFRAME SYSTEM 03/02/2006  
PAGE: 1 OF 1 CASE HISTORY 15:30  
MPC72 REP

RECEIPT DATE: 10/26/2005 RECEIPT NUMBER: SRC-06-005-00045

ACTION CODE	ACTION DATE	USER ID
REF RECEIVED - FEE WAIVED	10262005	SPCANDER
1661 [REDACTED]	10312005	PCJIBIS

PRESS F14 OR 'ENTER' TO RETURN TO PREVIOUS SCREEN

PF1	PF2	PF4	PF6	PF7	PF8	PF11
PG FWD	PG BACK	RETURN	MAIN MENU	CODES	LOGOFF	EXIT

3/7/

NUM OVR

(b)(7)(e)

By pressing F11, you may view the history screen. From this screen, we can see the status of the application/petition. If the petition has been approved, destroyed, or transferred, it may make a difference as to how we staff.

### 5.2.13 Beneficiary Petition for Non Immigrant Worker

CLAIMS MAINFRAME SYSTEM  
PETITION UPDATE PROCESSING

01/02/2006 09:37  
VPL7203H

MODE -  
FORM I-129 RECEIPT NBR: EHL000052201 OPENED BY: EHL  
PART 2 ( PART 3 ( RECEIVED DATE: 01/02/2003 PLOT1 TO:  
REF NBR APPLIED FORM: ASSOC RPT NBR:  
PETITNER TEST TEST TEST  
HTIN PRE CEPT:  
STREET CITY ENOSEJPO HILLS  
STATE MI PROVINCE CTRY ZIP/POSTAL: 48409  
JOB COB SOC SEC NBR H NBR:  
EMPLOYER TEST TAX ID  
CONSULT PCE: CLASS PREFERENCE: 161  
VER BENF : LOU:  
STATUS/ACTION PHB PREMIUM PROCESSING CLOCK STOPPED

PRIORITY DATE DATE MOVED FROM 00000000 TO:

PF1 PF2 PF3 PF4 PF5 PF6 PF7 PF8 PF9 PF10 PF11  
BEAT CD INO CANCEL PPV MEN END MAIN MEN CODES LOGOFF REPT REPR HIST  
3170

NUM OVR

On an I-129 petition, the petitioner's information is on the first screen you pull up after you enter or select the receipt number.

```

A2B - [DOS] [MSB] [F1603] [W00]
File Edit Session Transfer Program Options Window Help
[NEW] [OPEN] [SAVE] [PRINT] [F1] [F2] [F3] [F4] [F5] [F6] [F7] [F8] [F9] [F10] [F11] [F12]
ASAM) PLS TRAINING MANAGEMENT SYSTEM 01/10/97 09:37
T-129 HIR BENEFITARY CASE INFORMATION NPC72050

ROBT MBR F000308052291
BETITMR TEST TEST TEST

NAME TESTI TESTI TESTI
C/D
STREET CITY
STATE PROVINCE CTRY ZIP/POSTAL:
COR 10081974 COR NAME: SIG SEC NER A-NER: A
COR I-94 #: EXPIRES
E-MS:AT P-# LOSS TRI TRI CODE:

EDUCATION CODE COMPENSATION: $ 0.00 ELIGIBLE/NOT PROTECTED? Y
FIELD OF STUDY UNICS CODE:

T-1 WAIVER? HIR ELIGIBLE A YES? PREVIOUS EMPLOYER EMPLOY?

DECISION DECISION DATE: VALID FROM 00000000 TO:

BENEFICIARY DISPLAYED
PF2 PF4
C1 INQ RETURN
3070
NUM OVR

```

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

A2B - [DHSD3.WSD, DHSD3.WCD]

File Edit Session Transfer Program Options Window Help

FILE: 1 OF 1 CLAIMS MAINFRAME SYSTEM CASE HISTORY 01/24/2001 09:38 NPO 7203F

RECEIPT DATE: 01/24/2001 RECEIPT NUMBER: ENC 03 088 51191

ACTION CODE	ACTION DATE	USER ID
REH RECEIVED - FEE WAIVED	01242003	EPOLN11
RE DATE CHANGE	01242003	EPOLN11
PR1 PREMIUM PROCESSING CLOCK DATE CHANGED	01242003	EPOLN11
PR CASE MARKED AS PREMIUM PROCESSING	01242003	EPOLN11
PRP PREMIUM PROCESSING CLOCK STARTED	01242003	EPOLN11
PR VOID PRIOR ACTION	01242003	EPOLN11
PRB PREMIUM PROCESSING CLOCK STOPPED	01242003	EPOLN11

PRESS F4 OR ENTER TO RETURN TO PREVIOUS SCREEN

PF1	PF2	PF4	PF6	PF7	PF8	PF11
PG FWD	PG BACK	RETURN	MAIN MENU	CODES	LOGOFF	FUDIT

NUM OVR

A2B [DHSDS.WSD, DHSDS.WSD]

File Edit Session Transfer Program Options Window Help

CLAIMS MATTERFRAME SYSTEM  
INDUSTRY/ADPTE RECEIPT LIST

01/28/2006  
13:44  
M07296P

RECEIPT NBR	LAST NAME	FI	FOR#	FEE FMT	REC DATE
1. HCN3804400001	TEST	T	I751	125.00	12-01/1999
2. JFKFC31310006	TEST	T	I765		02-09/2103
3. NCL3601600002	TEST	T	I193		10-19/2105
4. JFKFC31310004	TEST	T	I765		02-09/2103
5. JMAH052110004	TEST	T	I765		04-29/2105
6. SFC3914754001	TEST	T	05155A		04-21/1999
7. HCN3000100001	TEST	T	I102		10-01/1999
8. NCL3618700005	TEST	T	I193		04-07/2103
9. NCL3604000012	TEST	T	I193		10-24/2102
10. HCN3606600001	TEST	T	I190		01-03/1999
11. JMAH0516900016	TEST	T	I765		02-13/2105
12. JFKFC31310005	TEST	T	I765		02-09/2103
13. JMAH052110005	TEST	T	I765		04-29/2105
14. NCL3604300005	TEST	T	I193		11-15/2105
15. JMAH0521100010	TEST	T	I765		04-29/2105
16. JMW9812100001	TEST	T	N400	95.00	01-29/1999

TYPE IN SELECTION

PF1 PF2 PF3 PF4 PF5 PF6  
PG FWD PG BACK CANCEL PRIOR MENU MAIN MENU LOGOFF

NUM OVR

There may be numerous results on a name search. Press F1 to see the results of the next page. To view number 10 on page 2 of the results, enter "10." To go back to the results of the search, press F4. The screen always returns to the first page of the search results. Remember this if you are going through the results page by page.

### 5.3. National File Tracking System (NFTS)

NFTS is an automated system that enables USCIS to track and account for nearly 50 million Alien Files (A-Files) and Receipt Files. NFTS allows for local control of all files within a designated USCIS File Control Office (FCO) or Case Control Office (CCO), the system supports the file migration from the USCIS field offices to facilitate a national tracking system that supports the National Records Center (NRC) and a centralization of agency records. You will learn much more about using NFTS in the Staffing section of this guide.



## 5.4. Person Centric Query Service (PCQS)

PCQS is an automated system that allows a person to submit a single query for all transactions involving an immigrant across a number of USCIS and Department of State (DoS) systems. PCQS returns a consolidated view of the immigrant's past interactions with USCIS and the Department of State as he or she passed through the U.S. immigration system.

Since PCQS can give us a comprehensive overview of a person's immigration history, it can help us locate certain documents to request, for instance, we may find information about an archived receipt in PCQS that we would not find in CLAIMS. You do not have to log in to PCQS to read the PCQS User Guide. Simply go to <https://pcq.esb.uscis.dhs.gov/> and click on the Users Guide link below the Warning.

(b)(6)

1

2

3

4

1

2

3

4

## 5.5. FOIA/PA Information Processing System (FIPS)

The Freedom of Information Processing System (FIPS) is an automated system that allows us to process FOIA/PA requests electronically. This automated system enables the scanning of paper files into electronic images. These images are easily stored, retrieved, and processed. FIPS provides workflow processing for the life of a case. Any time you do any transaction concerning a FOIA/PA case, it will be through FIPS.

Processing Fee Information

Office NRC **NRC2008000157** Status **Open Case Processor 2 p3test** Web Entry ☐

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

**Requester Information**

**Abner Doubleday**  
1 Hall of Fame Drive  
Cooperstown NY 12345 987-654-3210

Edit Requester  
Change Requester

**Subject Information**

First Jessica Middle Marie Last Powell

A-Num [REDACTED]

Topic Border Patrol Apprehension Data

Track \* 2  
Type \* FOIA Request  
Source \* Self  
Category \* Alien File

Bureau: CIS  
Referred From:   
Expedited: Not Requested  
Fee Waiver: Not Requested

☐ Print To CD  
☐ PA Cited  
☐ In Litigation  
☐ In Circular Search  
☐ Delinquent

Calculate Queue Position

Save

(b)(6)

Type of request	Source	Track 1, 2 or 3	Category	Print to CD
• Always FOIA	• Attorney		• Alien File	
	• Commercial		• Asylum	
	• Education/Scientific		• Specific Documents	
	• Foreign Government		• Non A-File Material	
	• News Media		• Personnel	
	• Others		• Special Interest Group	
	• Representative		• SFR cases at NRC	
	• Self			
	• White House/Congressional			

## 6. CREATING THE CASE

**FIPS 7.00.90 - 07/28/2010**

## Work Queries

[illegible]

On the FIPS worksheet under the header “Contents,” you will notice that usually Sequence 1 is the “Request Letter.” There will be a date and time in the right column.

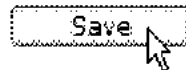
Sometimes the request will be Form G-639 only, sometimes it will be the G-639 and a G-28, Power of Attorney, sometimes it will be a letter from an attorney or representative and a G-28. Sometimes it will be a letter from the subject of record. At times, there will be documents

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Updated on 3/2/2012

scanned in, such as alien registration card, driver's license or other forms of identification. Other documents you may see can include miscellaneous screen prints or memoranda. You should view (almost) all documents scanned in FIPS in the Request Letter and Request Supporting Documents slots before you create the case.

During the Case Create process, you may need to leave your work station, or you may receive a telephone call, or various things may happen to distract you from creating the case. If anything happens and you need to stop work temporarily, it is always a good idea to click:



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

## 6.1 REQUESTER INFORMATION

Processing

Office: BAL BAL2010000751REQ Status Request Case Creator cctestb Web Entry

Received Scanned Created Perfected Final Action Closed Final Reply Due

03/04/2010

**Requester Information** Requester Search/Entry

**Subject Information**

First Middle Last

A-Number:

Topic:

Track \* Type Bureau Referred From

Source Expedited Not Requested

Category Fee Waiver Not Requested

Print To CD

PA Cited

In Litigation

In Circular Search

Delinquent

Calculate Queue Position

Save

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

### 6.1.1 RULES FOR ENTERING INFORMATION ON THE FIPS WORKSHEET

6.1.1.1 Do not use all capital letters in names.

6.1.1.2 Do not use professional titles, such as Doctor or Reverend in the requester information.

6.1.1.3 You may use Jr., Sr. or II, III, etc., if the requester or subject uses it on the request.

6.1.1.4 Do not open cases in the name of a company or firm only. If the name of the requester on the Form G-639 is a company name, please review the supporting documents to try to locate the name of the attorney/representative of the company.

For example, if your request comes in on a G-639 and the name of the requester is only the name of the law firm representing the alien (for example, Wilens & Baker) you will need to look through your supporting documents to see if you can locate the name of the attorney at Wilens & Baker who is representing the alien. If you cannot locate the name of the attorney who is representing the alien, then open the case in the name of the alien, in care of the law firm. Do not use "Wilens & Baker" as the requester name.

6.1.1.5 Do not hyphenate names.

6.1.1.6 Double-check the spelling of the names. If the name of the requester is not clear on the request letter, check the supporting documents for a Form G-28 for a clear copy.

6.1.1.7 Add a period after the middle initial.

6.1.1.8 Rescinded. ~~If the subject does not provide a middle name or initial, enter "NMN" in the "Middle" field.~~

6.1.1.9 Do not use part of the last name as a middle name, for example Hispanic names. Sometimes it is obviously a middle name, such as Juan Jose Gonzalez. Sometimes it is obviously a first and second last name, such as Juan Gonzalez Becerra. Other times, it is not so clear. You might look at the mother's and father's last names, if provided. If you are unsure, contact a supervisor.

6.1.1.10 If the request came to us on Form G-639, always use the name and address of the requester in Section 2, "*Requester Information*." Never use the address on the envelope, or Form G-28 or letterhead *unless* the requester did not use Form G-639 *or unless* Section 2 of Form G-639 is illegible. If the address on the G-639 is a foreign consulate office, or is a congressional office, you may use the address listed on the G-28, or other documents in the request, such as an envelope. If you can find no other address, insert a case note and send the case to U/C.

Be careful - it is easy to miss apartment or suite numbers because the space for them is at the right side of Form G-639.

6.1.1.11 Each line of the address in FIPS can contain no more than 35 characters; this includes spaces and punctuation. When we are printing the responsive records to CD, nothing over 35 characters prints on the CD. This requires the OA clerks to print a label separately for those CD's before mailing.

6.1.1.12 Do not use special characters, such as “&” and “#” in the address field; rather, spell them out or use an abbreviation, such as “and” or “No.” Note: you *may* use spaces, dashes, periods, commas or single quotes (‘). You *may not* use @, #, \$, %, ^, &, \*, (, ), =, +, [, ], {, }, \, <, >, or /.

6.1.1.13 Please include the suite number or apartment number on the same line as the street address. FIPS will allow you to key in more than 4 lines in the address box. The issue is when the case is processed and the CD is printed, it only prints the first 4 lines. The requester’s name is the first line of the address, so you have three lines left. Enter any suite numbers or apartment numbers in the address line.

6.1.1.14 If the requester does not provide a valid address use: 123 Main Street, Washington, DC 12345. Send an e-mail to your supervisor and assign the case to Unit Chief.

6.1.1.15 When the attorney or subject of the request provides both a physical mailing address and a P.O. Box, use the P.O. Box for the official mailing address and do not include the physical address. Please do not use both.

6.1.1.16 The address can only be four lines long, even though FIPS gives you an extra line. The requester’s name is always the first line.

6.1.1.17 If an attorney represents the subject, the first line of the address should be the name of the law firm the attorney is affiliated with, or, Attorney at Law, or “c-o” and the law firm name or the name of the attorney.

6.1.1.18 If the address is foreign, you must check the box marked Foreign. This will change the format of the worksheet to include the Province and Country. You must complete these fields to ensure proper delivery. Before pending this case for any further action, please check the “Print to CD” box and add a Discussion note that you did so.

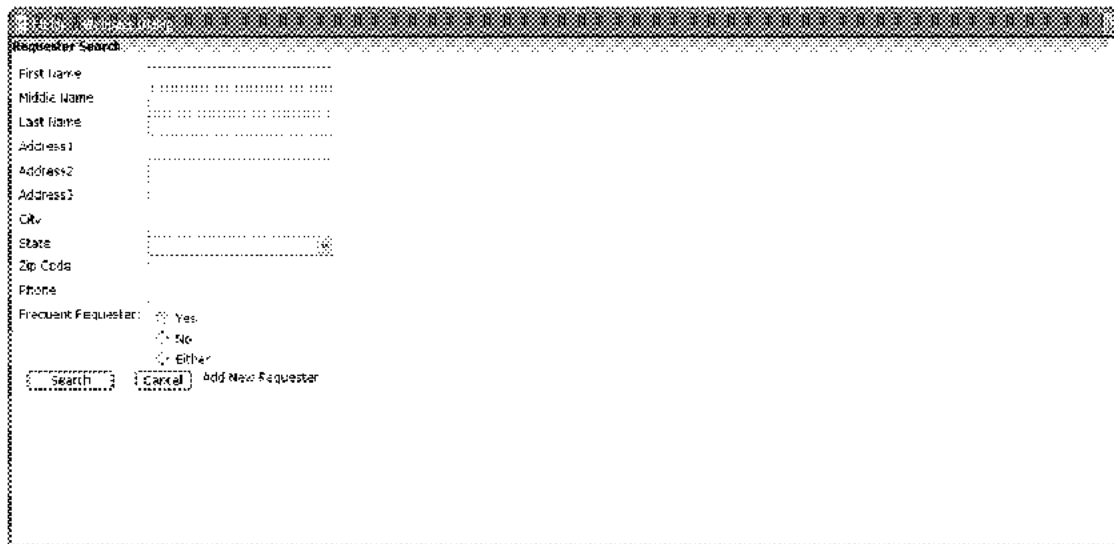
The following places are NOT foreign countries:

- American Samoa
- Guam
- Puerto Rico
- Northern Mariana Islands
- Baker Island
- Howland Island
- Jarvis Island
- Kingman Reef
- Midway Islands
- Navassa Island
- Palau
- Palmyra Atoll

U.S. Virgin Islands  
Wake Island  
Micronesia

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

**6.1.2 Requester Search/Entry.** To locate and select existing requesters or to enter new requesters, click the **Requester Search/Entry** link to open the Requester Search Form. To search for an existing requester, click in one of the available fields in the Requester Search Form and begin entering pertinent information. When searching for a requester whose last name is Smith, for example, click in the Last Name field and enter a portion or the entire last name. After you have entered enough information, click **Search** to locate requesters with matching information.



Requester Search

First Name  
Middle Name  
Last Name  
Address1  
Address2  
Address3  
City  
State  
Zip Code  
Phone

Frequent Requester: ☐ Yes  
☐ No  
☐ Either

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



(b)(6)

The screenshot shows a 'Search Requester' window with a table of requester information. The table has columns for Requester First Name, Requester Middle Name, Requester Last Name, Address Line 1, Address Line 2, Address Line 3, City, State, Province, Postal Code, Country, and Phone. The data rows are:

Requester First Name	Requester Middle Name	Requester Last Name	Address Line 1	Address Line 2	Address Line 3	City	State	Province	Postal Code	Country	Phone
Bernhard		Sauerbraten									
Jones	Mary	Sauerwen									
Todd		Scott									
Milton	Jay	Sheppard									
Bonnie		Simmons									
Timmy		Simpson									

Below the table, it says 'Total item(s) found (6 of 6)'. At the bottom left, there is a 'Page 1 of 1' indicator and a 'Cancel' button. A large black rectangular box redacts the right side of the window, covering the address and phone information.

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:

The screenshot shows a 'Search Requester' window with a table of requester information. The table has columns for Requester First Name, Requester Middle Name, and Requester Last Name. The data rows are:

Requester First Name	Requester Middle Name	Requester Last Name
Bernhard		Sauerbraten
Jones	Mary	Sauerwen
Todd		Scott
Milton	Jay	Sheppard
Bonnie		Simmons
Timmy		Simpson

Below the table, it says 'Total item(s) found (6 of 6)'. At the bottom left, there is a 'Page 1 of 1' indicator and a 'Cancel' button. A tooltip is visible over the 'Assign this requester to case' icon (a small square with a plus sign) next to the 'Jones' row.

And it will populate the requester information like this:

Processing							
Office: BAL	BAL2010000751REQ		Status	Request Case Creator cctestb		Web Entry	
Received	Scanned	Created	Perfected	Final Action	Closed	Final Reply Due	
03/04/2010							
<b>Requester Information</b>							
Bernhard Sauerbraten			Edit Requester				
[Redacted]			Change Requester				
			Copy to Subject				
			(011) 233-4556 x6778				

(b)(6)

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

Requester Search

First Name  
Middle Name  
Last Name  
Address1  
Address2  
Address3  
City  
State  
Zip Code  
Phone

Frequent Requester: ☐ Yes ☐ No ☐ Either

When you click Add New Requester, you will get a dialog box that you fill in. You will enter all information and then click Save.

(b)(6)

Requester Information

First Name  
Middle Name  
Last Name  
Address 1  
Address 2  
Address 3  
City  
State  
Postal Code  
☐ Foreign  
Province  
Country  
Phone Number  
Email  
Frequent Requester: ☐ Yes ☐ No

## 6.2 SUBJECT INFORMATION

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

(b)(6)

Requester Information	
C. G. Culpepper 1 South Street, Hickory	Edit Requester Change Requester Copy to Subject
<div style="border: 1px solid black; height: 30px; width: 100%;"></div>	

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.

Subject Information		
First	Middle	Last
Melville		Crump
A-Number <div style="border: 1px solid black; height: 20px; width: 100%;"></div>		
Topic		

### 6.2.1 Name

Enter the subject's name, as it appears in section 5 of Form G-639 (except in the case of a petitioner asking for a petition).

The name portion of the worksheet is the name of the alien whose file we are requesting. This is usually the name in the subject portion of the Form G-639, or in the subject line of the request letter. However, if the requester is asking for a petition he or she filed on behalf of a beneficiary, then that document will be a separate receipt or it will be in the beneficiary's file, not the requester's file. In situations like this, the subject information would be that of the beneficiary, not the requester.

### 6.2.2 Alien Number

In the alien number field, enter your subject's alien number, as provided on the request, as an eight-digit or nine-digit number.

**6.2.2.1** You should always check the A-number in CIS to be sure it belongs to the correct subject. Once you have established that it is the correct A-number, copying and pasting the A-number will save you from making a typographical error and inadvertently staffing for the wrong file.

**6.2.2.2** If the alien provided us with more than one A-Number, please separate these numbers with a comma.

**6.2.2.3** If you have created the case and you see less than eight digits in the A-number field, please re-check (by pasting the number into CIS) to make sure you have entered the number correctly.

**6.2.2.4** Please do not enter the A-number if the requester is a petitioner asking for a copy of an unconsolidated petition, as it will result in a bad staffing.

**6.2.2.5** If the requester is a petitioner asking for a copy of a petition that has been consolidated into the A-file of the beneficiary, you should enter the A-number of the beneficiary, since we will request the beneficiary's A-file.

### **6.2.3 Topic**

If the request is for something other than an alien file, for example, a receipt file or a vacancy announcement, then you will add this information in the "Topic" field in the Subject Information area.

"Topic" is used at different times, such as:

- when there is an unconsolidated receipt file
- when it is a request for a vacancy announcement
- when it is a request for a personnel file
- when it is a request relating to policies and procedures service-wide

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

**Correct:** MSC0412360000

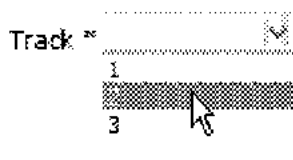
**Incorrect:** MSC-04-123-60000

**6.2.3.2** Enter the receipt number with no dashes or spaces. This format assists the Mission Support Assistants in locating the files and in locating the cases in FIPS when the receipt files come into the facility, and it will make it possible for case creators to spot duplicate or similar cases. If you are requesting multiple receipt files from the same facility, use only one file request. See Staffing Sheet Guide for more guidance.

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

## **6.3 CASE SPECIFICATIONS**

### 6.3.1 Track



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

**6.3.1.1.1** Please select the category **Specific Documents** and make the case a Track 1. The first paragraph of the acknowledgement letter sent to the requester must contain the following paragraph:

We respond to requests on a first-in, first-out basis and on a multi-track system. Your request has been placed in the simple track (Track 1). You specifically requested [enter specific document information here]. If you would like a copy of all your records, please send a written request to the address above, otherwise you will receive only the documents you specified.

**6.3.1.1.2** Continue to create the case in Track 1 as Specific Documents. The requester may write back later responding that they need the whole file, and a FOIA/PA Assistant working in Records Locator queue can change it to Track 2 at that time.

**6.3.1.2 Track 2** – Requests for entire copy of alien file, asylum or refugee requests, and requests from news media or special interest groups.

If the request has “all records” checked and lists more than three documents on the G-639, please select the category **Alien File** and make the case a Track 2.

**6.3.1.3 Track 3** – Requests for records of individuals scheduled in the future to appear before an immigration judge. Requesters must provide one of the following documents to receive Track 3 processing:

- Form I-862, Notice to Appear, documenting a future scheduled date of the subject’s hearing before the immigration judge.
- Form I-122, Order to Show Cause, documenting a future scheduled date of the subject’s hearing before the immigration judge.
- Form I-863, Notice of Referral to Immigration Judge

- Written notice of the continuation of a future scheduled hearing before an Immigration Judge.

**6.3.1.3.1** A supervisor will review all incoming FOIA requests and identify Track 3 requests. The supervisor will verify that necessary documentation is present with the request. There should be an attached cover sheet indicating to the case creator whether the request for Track 3 is approved or denied.

**6.3.1.3.2** If there is no cover sheet and you believe you have a Track 3 request, send the case to Unit Chief and an email to your supervisor.

**6.3.1.3.3** Before you create the case, look at the documentation. Sometimes you will find a reference to a current, open case which the requester wishes to upgrade to Track 3. After you verify that the case is open, you may simply click “Send to Research” and you are finished with the case.

**6.3.1.3.4** Requesters will sometimes request both Track 3 processing and expedited processing. Do not select both. Neither has to do with the other. A requester could be granted either Track 3 processing or expedited processing, but never both on the same case. For expedited processing guidelines, please refer to **“Expedited Treatment”** in this guide.

**6.3.1.3.5** Track 3 processing is not “expedited” processing as that term is used and understood in law. It is not appropriate to use the word “expedited” when discussing Track 3 processing of a FOIA request (“priority” or “accelerated” processing are more appropriate terms for Track 3). Don’t confuse the two in correspondence with requesters.

**6.3.1.3.6** Refer to the cover sheet the supervisor attached to the request. There should be either an Expedited coversheet or a Track 3 coversheet, but not both. Follow the instructions on the cover sheet attached to the request. If there is no cover sheet, do not mark either box.

**6.3.1.3.7** If the requester specified Track 3 processing but the request does not have a cover sheet, please create the case. If you have a request for Track 3 and you see that we have a future court date provided in the request, prepare your response according to the Track 3 Ack Letter found in

O:\Foia\FOIA\_LIBRARY\Case\_Create\_References\Case\_Create\_Template\_Letters

**6.3.1.3.8** If the requester did not provide any documentation or if the documentation says “a date and time to be determined” send the case to Unit Chief and send an email to your supervisor.

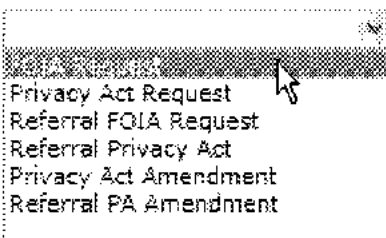
**6.3.1.3.9** If you are not sure whether to approve or deny Track 3, please consult your supervisor.

**6.3.1.3.10** If you assign the case to Track 3, ensure you put the words “TRACK 3” at the top of the file request.

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

### 6.3.2 Type

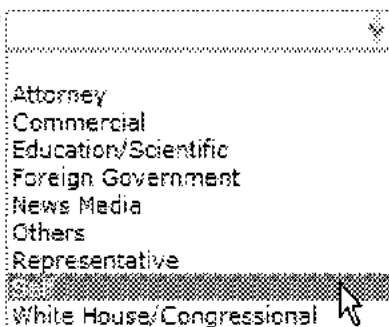
Type \*



Always select **FOIA**. It will be incumbent upon the processor to verify the status of the alien, and to change the case type if necessary.

### 6.3.3 Source

Source \*



The source of the request is, quite simply, who is making the request. Is the requester the individual or an attorney or representative speaking on the alien’s behalf? Is it a request from the media or a true third party requester? Below is a list of possibilities for requesters:

- Attorney - The requester is an attorney representing the alien. The attorney will have checked the box on the G-28 marked “Attorney,” or will have sent us a letter on the law firm’s letterhead.
- Commercial



- Education/Scientific
- Foreign Government
- News Media
- Others - The requester of the file is someone other than the alien, an attorney or an accredited representative. They might possibly include a G-28 with something other than "Attorney" or "Accredited Representative" checked.
- Representative - The requester is an accredited representative under the provisions of 8 CFR 103.2(a)(3) and 292.1(a)(1) or 292.1(a)(4). On a G-28, the requester will have marked the box "Accredited Representative."
- Self - This is a request from the alien himself or herself. The request may have the name of an individual followed by "care of" a certain law firm. This is still a self-request.
- White House/Congressional

If you feel that you have a case of a different source of request, please contact a supervisor for further guidance.

### 6.3.4 Category

Category \*

Alien File	▼
Alien File	▲
Appeals	
Asylum	
Child Support	
Citizenship National Review	
Consultation	
Contract	
Debts Owed	
Dual Citizenship	
Family History	
Haitian Refugee Immigration	
Handbooks, Manuals	
Inheritance	
Internal Audit	
Investigations	
Legal Immigration & Family	
Legalization/Admin Appeal	
Medical History	
NOK Addresses	
Nicaraguan & Central Amer	
Non-A-File Material	
OTHER	
Pensions	
Personnel	
Proof of Naturalization	
Referral	
SFR Cases at NRC	
Special Interest Group	
Specific Document	
Waste, Fraud, Abuse	▼

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

#### 6.3.4.1 Alien File – The requester is asking for an entire copy of an alien file.

This category includes the following:

- a. Files of living subjects
- b. Naturalization records on or after April 1, 1956
- c. Visa records on or after May 1, 1951 in A-files
- d. A-Files above 8 million (A8000000), and documents therein dated on or after May 1, 1951
- e. Registry records on or after May 1, 1951 in A-Files
- f. Alien Registration Forms on or after May 1, 1951 in A-Files

**6.3.4.2 Specific Documents** – The requester is asking for specific documents, such as a copy of a receipt file, an application or a copy of his or her naturalization certificate. A Specific Document case is a Track 1 case, and vice versa. As a rule, you should create a case as Specific Documents if the requester is asking for up to three documents. If a requester is asking for an asylum application and supporting documents, you should create it as Alien File. (Refer to the section “*What track is my case?*” that follows.)

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

**6.3.4.4 Special Interest Group** – Requester(s) are seeking information relating to special interest requests such as news media requests, highly visible or public interest cases. We receive this kind of request from members of the media, activist groups, watchdog organizations or educational institutions. The documents requested are normally associated with a controversial or sensitive subject.

**6.3.4.4.1** Select “Special Interest Group” if any of the following criteria are met:

- a. The FOIA request relates to a Presidential or agency priority;
- b. The FOIA requester or requested documents will garner media attention or is receiving media attention;
- c. The FOIA request is for documents associated with meetings with prominent elected, business, and/or community leaders;
- d. The FOIA request is for congressional correspondence;
- e. The FOIA request is from a member of Congress;
- f. The FOIA request is from a member of the media;
- g. The FOIA request is from a member of an activist group, watchdog organization, special interest group, etc.;
- h. The FOIA request is for documents associated with a controversial or sensitive subject;
- i. The FOIA request is for documents associated with a senior official of the component;
- j. A FOIA appeal if it meets one of the “a” through “i” criteria;

Items listed above are suggestive and not exclusive – exercise judgment when marking cases with category “Special Interest Group.”

**6.3.4.4.2** If you believe a request qualifies as a Special Interest Group, choose that case category in FIPS, change the office from NRC to COW, search for duplicates and then create the case. Do not create a file request or an acknowledgment letter. Prepare an e-mail explaining the situation for NRC, FOIASIG. Click “Reassign Office.” Send the case to Unit

Chief. A Special Interest Group (SIG) processor will create the staffing and acknowledgment letter. This enables the Special Interest Group (SIG), responsible for special interest cases, to create a report and determine whether the case is actually a Special Interest Group case and report it accordingly. If the case creators do not mark Special Interest Group cases properly, we have no way to track and report these high visibility cases. When in doubt, choose the Special Interest Group category in FIPS. The Special Interest Group will sort it out later. If you have questions or need to send information regarding SIG cases to the Special Interest Group, their e-mail address is: NRC, FOIASIG.

**6.3.4.5 SFR cases at NRC** – NRC uses this category to track all workload staffed to SFR. This includes cases retired by or lost by SFR, but **does not include ZSF**.

**6.3.4.6 Genealogy:** Genealogy cases are requests for searches and/or copies of historical records relating to a deceased person. The lists below represent the records that the public would be able to request from the Genealogy Program:

- a. Naturalization Certificate Files (C-Files) from September 27, 1906 to April 1, 1956.
- b. Microfilmed Alien Registration Forms (AR-2), from August 1, 1940 to March 31, 1944 and Alien Registration Forms from March 31, 1944 to April 30, 1951 in A-Files.
- c. Visa Files from July 1, 1924 to May 1, 1951.
- d. Registry files from March 2, 1929 to March 31, 1944 and Registry records from April 1, 1944 to April 30, 1951.
- e. A-Files numbered below 8 million (A8000000), and documents therein dated prior to May 1, 1951.

The case is not Genealogy unless it meets one of the above criteria. If the case you are creating does meet the criteria for Genealogy, create it as **OTHER** then do the following:

- a. Create the case.
- b. Do not staff for any records and do not prepare an acknowledgment letter.
- c. Send the case to Unit Chief with a discussion explaining it is a possible Genealogy
- d. Send an email to the designated person who handles genealogy cases (currently Donna Brasfield) with the control number.

The designated person will review the request to determine if it is, in fact, a genealogy.

If it does not meet the criteria for genealogy it will be returned to you in Case Create to send an acknowledgment letter and staff for records.

If it does meet the criteria, the designated person will create a letter referring the requester to the Genealogy program and will close the case as ER.

### 6.3.5 Bureau

Bureau

The three possible selections for Bureau are:

**ICE** – Please select ICE if you are staffing to any ICE location, for example OPLA, DRO or SAC. There may be other ICE locations, and if you are unsure, please consult your supervisor.

**CIS** – Used for all other categories. This is the default in FIPS.

**CBP** – Please select CBP if the request pertains specifically to documents relating to the Border Patrol, incident reports relating to apprehension, entry without inspection (EWI), smuggled humans, mobile patrol group, voluntary return, repatriation, checkpoints, entry/exit information, inspection, Port of Entry (POE), legacy customs or legacy inspections. Key words that you could see on a request relating to CBP are inspection, Port of Entry, Bridge of the Americas, Friendship Bridge, and smuggled goods. **Note: If request is for entry/exit information and the requester/subject provided an alien number, request the file.**

### 6.3.6 Is there a request for expedited treatment?

Expedited

A requester may ask for his or her request to be expedited and processed outside the order of receipt. By law, we must respond to a request for expedited treatment within 10 business days.

USCIS will grant expedited processing if the requester establishes **either**:

(1) circumstances in which the lack of expedited treatment could reasonably be expected to pose an imminent threat to the life or physical safety of an individual;

**or**

(2) an urgency to inform the public about an actual or alleged federal government activity, if the requester is a person primarily engaged in disseminating information.

The requester must send a statement explaining in detail the basis for requesting expedited treatment. If a requester asks for expedited processing and fails to meet the criteria, we process the request in the appropriate track, using the “first in/first out” rule [See 6 C.F.R. § 5.5(a)].

**6.3.6.1** OA personnel normally separate mail and faxes pertaining to expedited treatment prior to scanning. A supervisor then reviews and makes a determination regarding the expedited treatment. The supervisor will attach a cover sheet to the front of the request detailing the determination. Please create the case in accordance with the instructions on the cover sheet.

**6.3.6.2** If the requested file has already been scanned because of a *currently open* prior FOIA request that has now been resubmitted for expedited processing, do not create the case. You should send the request to Research where they will attach the new request to the existing case as a CSD.

**6.3.6.2.1** If expedited processing has been approved based on new information, you have to check expedited processing approved on the original case and send an expedited treatment approval letter by opening the original case in stand-alone mode, creating a Blank Letter, and adding the following: This letter serves to notify you that your case has been approved for expedited processing.

**6.3.6.2.2** If expedited treatment was already denied in the *currently open* prior case, and the supervisor’s decision is the same, if you have not already created the case, you may Send to Research, where they will attach your request to the original case as a CSD. Go to the original case in Standalone, go to Tasks, and create the Expedited Denial Letter.

**6.3.6.2.3** If the expedited treatment request refers to a case that *has already been closed*, either close it as DP and send a duplicate letter or create it as a new case, based on the situation. If in doubt, consult your supervisor. Please refer to the section on DP (duplicate) Cases.

**6.3.6.3** Sometimes the OA room will miss an expedited request. If this happens, select “Denied” in the drop-down box, create the Expedited Denial Letter, and then create the case as normal.

**6.3.6.4** If you believe the requester meets the requirements for expedited treatment (and there was no cover sheet) then select “Requested” and send the request to Unit Chief. E-mail your supervisor with the details. If the supervisor granted expedited processing, you will not create an Expedited Denial Letter, of course. You must select “Granted” in the

Expedited drop-down box. When you create the acknowledgement letter, it will address the fact that Expedited Treatment is granted.

USCIS denies most requests for expedited treatment because the requester failed to establish either of the necessary criteria.

**6.3.6.5** If you have made a determination to deny, or if the supervisor has indicated denial, you must select “Denied” in the Expedited drop-box. After this, you should create the Expedited Denial Letter. If you or the supervisor denied expedited processing, we must advise the requester of the criteria for expediting a request and offer an opportunity to resubmit additional justification. The requester also has the right to appeal the decision to the USCIS FOIA Appeals Office.

Contents		Discussions	Case Actions
Task		Status	
Search for Duplicate Cases		Not Started	
Create Additional Cases		Not Started	
Create File Request		Not Started	
Acknowledgement Letter		Not Started	
Final Action Letter		Not Started	
Specialty Letter		Not Started	
Status Letter		Not Started	
Stake Letter		Not Started	
Interest Letter		Not Started	
Expedited Denial Letter		Not Started	

**6.3.6.6** Do not mark both “Expedited Treatment Requested” and “Track 3.” A request can be either expedited or Track 3, but not both. If the requester has asked for Expedited Treatment and Track 3, treat it as if it is a Track 3 request and follow the instructions in TRACK 3 PROCEDURES. In such a case, you should not mark “Expedited Treatment Requested” before sending it to Unit Chief.

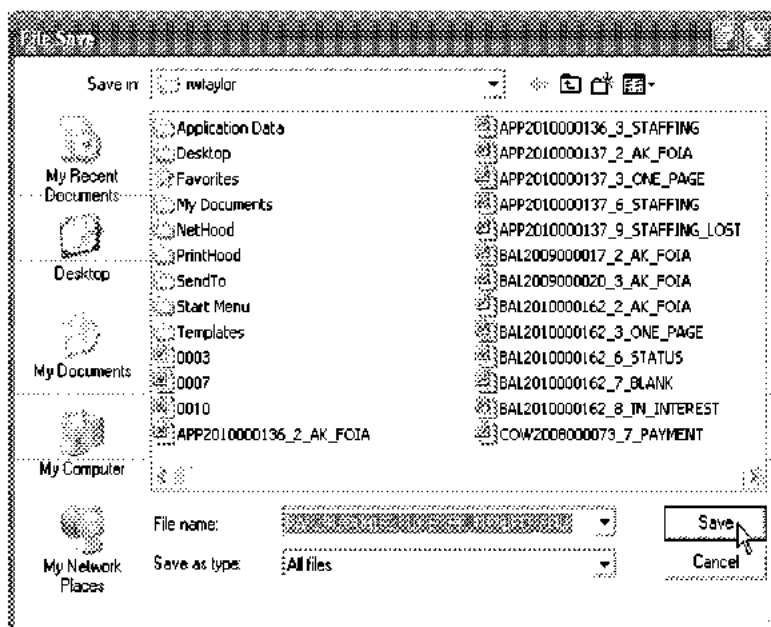
Processing.....

Successfully generated letter Expedited Treatment FOIA Denial.

Click on OK to continue.



A dialog box will pop up. Select “Save”:



A word document explaining the denial and appeal rights will pop up. After you have done any editing necessary, save the document and check it back in.

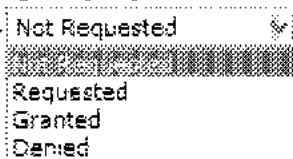
After you have made that selection, your acknowledgement letter will address expedited treatment granted.

**6.3.6.7** If there is an Expedited Treatment Requested cover sheet, and if you determine during case create that this needs to be a multiple case, you must check the Expedited Treatment Requested box (and create the appropriate response letters) for each child case. On the other hand, it might be that we will treat only the parent case as an expedited treatment request. You may make the determination or the supervisor will make a statement to that effect on the cover sheet, and of course, in such a situation, you would not mark the child cases as expedited treatment requests.

**6.3.6.8** If there is an Expedited Treatment Requested cover sheet, and if you determine during case create that we need to close the case RD, RF, DP or ER, then leave the Expedited drop-down box as “Not Requested” and send the case to Up-front Approver. Because we are not generating a letter regarding expedited treatment denial or grant, and because it would cause erroneous reporting of Expedited Treatment Requests, you must leave it as “Not Requested.”



### 6.3.7 Is there a request for fee waiver?

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


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 leave the Fee Waiver drop-down box as “Not Requested” and send the case to Up-front Approver. Because we are not generating a letter regarding Fee Waiver denial or grant, and because it would cause erroneous reporting of Fee Waiver Requests, you must leave it as “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** Leave the “Print to CD box” checked 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.


**6.3.8.2** If the responsive records are already scanned in when you create the case, you will still check print to CD.

**6.3.8.3** All responsive records mailed to a correctional facility must be on paper. In such an instance, you must modify the acknowledgement letter so that we do not tell the requester we are printing the responsive records to CD. Modify the acknowledgement letter by deleting the paragraph that begins with “This office will be providing your records on a Compact Disc (CD)”

**6.3.8.4** If the requester is in prison but we are sending the responsive records to an attorney's office, we will print to CD.


**6.3.8.5** If a requester specifically asks for their records on paper, uncheck the "Print to CD" box and create a Discussion note citing the reason. In such an instance, you must modify the acknowledgment letter so that we do not tell the requester we are printing the responsive records to CD. Modify the acknowledgement letter by removing the paragraph that begins with "This office will be providing your records on a Compact Disc (CD)"

### 6.3.9 Is this a delinquent requester?

- ☐ Print To CD
- ☐ PA Cited
- ☐ In Litigation 
- ☐ In Circular Search
- ☒ Delinquent

The Delinquent Requester search helps FIPS users identify requesters who have unpaid bills in the system. Requesters are delinquent when case fees remain unpaid for more than 45 days.

After you enter the last name of the requester, FIPS will automatically conduct a search for delinquent fees owed by that requester, using the last name of the requester. If the requester is delinquent on any case in any office nationwide, a box will pop up on the screen (see below).

Requester Information	
<b>Sage Morgan</b>  123 Drive Lees Summit MO 64086	(816) 555-5555 x5555 sage@yahoo.com Copy to Subject

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

Requester Information	
<b>Sage Morgan</b>  123 Drive Lees Summit MO 64086 	(816) 555-5555 x5555 sage@yahoo.com Copy to Subject

The query results appear in a separate window.

## Query Results

Delinquent Cases for Requester results - Webpage Dialog			
http://10.63.16.238:7001/sonora/Query?op=m&name=sQry_getDelinquentCasesForCase&CASEID=8704			
Control Number	Closed	Fee Charged	Fee Collected
DL52010000044	4/21/2010	1,500	
Total item(s) found {1}			

If a requester/subject previously submitted a request and owed a fee on a case and he or she did not pay the fee within 30 days, the case closed as FP (failure to pay). If the subject/requester submits a new FOIA request, the Delinquent Requester notification is going to pop up. Your requester may possibly not be on the pop-up list. FIPS conducts a search by the last name(s) of delinquent requesters.

### DELINQUENT REQUESTER RULES:

**6.3.9.1** Do not treat the case as delinquent if the case was processed on or before January 1, 2004. Send an e-mail to NRC, FIPSPROBLEM and NRC, FOIAPROGRAM. In the body of the e-mail, include the name of the delinquent requester and the delinquent case number(s).

**6.3.9.2** If you encounter a delinquent requester from a FIPS Lite office, do not treat them as delinquent. You will know the request was processed in FIPS Lite when you open the case because you will see a "FIPS Lite placeholder."

**6.3.9.3** Make sure the requester of the case you are creating is the same requester that FIPS is showing as delinquent. You must view the delinquent request(s) to make this determination. To view a case, highlight the line and click "view." If the delinquent requester matches your requester, treat the new request as delinquent. To get the delinquent case information (case number, dollar amount) in your acknowledgement letter and in the new case, highlight the name in the box that matches your requester and click ok.

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

Contents		Discussions	Case Actions
Task	Status		
Create Case	Not Started		
Search for Duplicate Cases	Not Started		

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

**6.3.9.4** If the requester is delinquent, do not request responsive records until we receive payment.

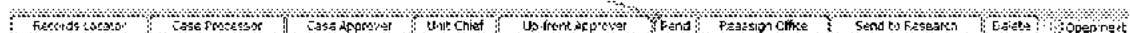
NOTE: If you are creating multiple cases, you should “Create Additional Cases” before you prepare the Acknowledgment Letter and File Request(s) for the original case.

NOTE: A FOIA/PA Assistant working in Records Locator queue may need to cancel pending requester documentation for cases pending requester documentation due to a prior delinquent status that has been removed, because the system does not. If the FOIA/PA Assistant working in Records Locator queue does cancel pending requester documentation, he or she should generate a new interim acknowledgement letter and staff the case as usual.

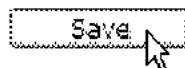
If the requester has more than one delinquent case, you will have to add up the total and modify the delinquent requester letter providing the case number for each delinquent case, the dollar amount owed for each, the total dollar amount owed, and instructions to prepare a check for the total amount made out to “U.S. Treasury.”

When you click “ACK Letter” the following screen pops up. Click OK to generate the letter.

We will take no further action until the delinquency is resolved. Please pend.



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



## **6.4 SEARCH FOR DUPLICATE CASES**

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 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."

Case350 Home

FIPS v7.0 Training build 06    Work Queues    Actions    Standalone Search

Processing    Fee Information

**Search Case**

Status: ☐ Open   ☐ Closed   ☒ Both

Control Number:

Request Number:

Created After: 11/23/2008

Office:

Requester Last Name:

Requester First Name:

Requester Middle Name:

Subject Last Name:

Subject First Name:

Subject Middle Name:

A-Number:

Topic:

Contents    Discussions    Case Actions    History

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

[Click here](#)

Records Location	Case Processor	Case Approver	Unit Chief	Up-front Approver	Pend	Final

Page 2 of 2   65.7%   Viewing version: 1

Ordinarily, you will get a blank result.

Processing

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

<b>Case #</b>		<b>Case Name</b>	
<b>FIPS v7.0 Training buld:</b>	<b>Work Queries</b>	<b>Screens</b>	<b>Standline Search</b>
<b>Processing</b>		<b>Fee Information</b>	
<b>Control Number Scanned</b>	<b>Requester's Last Name</b>	<b>First Middle Initial &amp; Number</b>	<b>Name</b>
<b>Last Name First Name</b>	<b>Name</b>	<b>Name</b>	<b>Name</b>
<b>MR0201003504 5:29:2010 6:00:00 AM Fixed</b>	<b>Laura</b>	<b>00000000000000000000000000000000</b>	<b>00000000000000000000000000000000</b>
<b>Search Complete</b>	<b>Search Again</b>		

If you do get a match, you should select “Edit” (the icon is a folder with a gear in front of it) to open the matching case and carefully review it to be sure it is a duplicate:



Case360 Home

FIPS v7.0 Training build 06 Work Q...

Processing	Fee Information
Control Number Scanned	Req Last
NRC2010030504	5/28/2010 6:00:00 AM Fig...

Edit

Search Complete Search Again

By highlighting the case you wish to review and then clicking the “Edit” icon, FIPS will open the case for your review. You then review the request to ensure that:

- If there has been a case that was closed G1 or PD within six months from same requester –
- This does not include cases that were closed with any other final action code.

Once you verify those items and you determine the case is a duplicate of another case, you will select “Set this case as duplicate to original case” as follows:

Case360 Home

FIPS v7.0 Training build 06 Work Queries

Processing	Fee Information
Control Number Scanned	Requester's Last Name
NRC2010030504	5/26/2010 6:00:00 AM Figueroa

Set this case as duplicate to original case

Search Complete Search Again

Do not click “Create Case.” Click “Send to Research.” You will then be ready for your next case.

If you determine that it is not a true duplicate, please insert a new Discussion entitled “Similar Case” in each of the cases, so that a processor or approver can review both.

If the date of the request is either the same as your request or within a very few days and:

3. The requester is the same, and
4. The information being requested is the same in both requests,

Do not close this case as a duplicate. Do not click "Create Case." Click "Send to Research."

If you are not sure your case meets the duplicate requirements, create a new Discussion in the case and send the case to Unit Chief. Send your supervisor an e-mail with the case information for his or her review.

## 6.5 COPYING RECORDS FROM A CLOSED CASE

You may be checking for duplicates and discover responsive records of an existing closed case meet the following criteria:

- Regular (not Appeals) case
- Status of the duplicate case is "Closed" and
- The date closed was within six months of the current date

If the duplicate case meets all those criteria, then you may copy from the existing case into the new (active) case. The Request Type that you have selected for the existing case and the new case will determine whether any redactions are copied with the responsive records. If both new and existing cases are FOIA Requests or both cases are Privacy Act requests, then redactions will be copied into the new case with the responsive records. However, if the new case is a FOIA Request and the existing case is a Privacy Act request (or vice versa), then the responsive records will be copied but without any redactions.

To begin the search, select the Tasks tab and click **Search for Duplicate Cases**.

Contents	Discussions	Case Actions																								
<table><tr><th>Task</th><th>Status</th></tr><tr><td><u>Search For Duplicate Cases</u></td><td>Not Started</td></tr><tr><td>Create Additional Cases</td><td>Not Started</td></tr><tr><td>Create File Request</td><td>Not Started</td></tr><tr><td>Acknowledgement Letter</td><td>Not Started</td></tr><tr><td>Final Action Letter</td><td>Not Started</td></tr><tr><td>Specialty Letter</td><td>Not Started</td></tr><tr><td>Status Letter</td><td>Not Started</td></tr><tr><td>Blank Letter</td><td>Not Started</td></tr><tr><td>Interest Letter</td><td>Not Started</td></tr><tr><td>Expedited Denial Letter</td><td>Not Started</td></tr><tr><td>Vaughn Index Letter</td><td>Not Started</td></tr></table>			Task	Status	<u>Search For Duplicate Cases</u>	Not Started	Create Additional Cases	Not Started	Create File Request	Not Started	Acknowledgement Letter	Not Started	Final Action Letter	Not Started	Specialty Letter	Not Started	Status Letter	Not Started	Blank Letter	Not Started	Interest Letter	Not Started	Expedited Denial Letter	Not Started	Vaughn Index Letter	Not Started
Task	Status																									
<u>Search For Duplicate Cases</u>	Not Started																									
Create Additional Cases	Not Started																									
Create File Request	Not Started																									
Acknowledgement Letter	Not Started																									
Final Action Letter	Not Started																									
Specialty Letter	Not Started																									
Status Letter	Not Started																									
Blank Letter	Not Started																									
Interest Letter	Not Started																									
Expedited Denial Letter	Not Started																									
Vaughn Index Letter	Not Started																									

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

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

(b)(6)

To copy the responsive records from the case shown in the search results into the new case, click the **Copy Documents** icon, which looks like two pages:

Case Info

	Control Number	Scanned	Requester's		Requester's Last Name	First Name	Middle Name	Topic
			Last Name	First Name				
		5/9/2002 6:00:00 AM	Johnson Esq	Laurence	Nalubwana		Teapista	
		10/31/2002 6:00:00 AM	Steel Esq	Richard	Shin		Un Soak	
		5/3/2010 1:34:12 PM	Sitel	Sam	Sitel		Rick	
		5/3/2010 1:34:12 PM	Sitel	Sam	Sitel		Rick	
		5/4/2010 1:22:47 PM	Sitel	Sam	Sitel		RoxAnne	
		5/6/2010 3:02:43 PM	Richards	Tim	Richards		Wiki Rae	

Search Complete Search Again

A message appears in the Case Info tab confirming that you copied the document into the new case:

Processing  
**Copied 1 documents without redactions.**

The responsive records now appear in the Contents List of the new case:

Tasks		Discussions		Case Actions		
Document Type	Seq.	Pages	Status	Resp Unit	A-Number	Date
Responsive Records	2	19	Scanned	HOU		8/20/2010 3:24:23 PM
Request Letter	1	1	Scanned			8/20/2010 4:04:41 PM

## **7. CONSENT, VERIFICATION OF IDENTITY, AND DESCRIPTION OF RECORDS**

**“Consent”** for the purposes of FOIA/PA is written agreement, approval or permission for access to information in the record by the competent individual to whom the record pertains. **The case creator must review the request and supporting documents to determine if proper consent is present.**

5 U.S.C. § 552a(b) No agency shall disclose any record ... except pursuant to a **written** request by, or with the prior **written** consent of, the individual to whom the record pertains.

6 CFR § 5.21(f): If you are making a request for records concerning *(a living)* individual *(other than yourself)*... You must also provide a statement from the individual certifying the individual's agreement that records concerning the individual may be released to you.

Consent could be:

- Block 3 on Form G-639, or
- A properly executed Form G-28, or
- A separate declaration by the subject, such as:

Pursuant to the Privacy Act of 1974 and DHS policy, I hereby consent to the disclosure to \_\_\_\_\_ of any record pertaining to me that appears in any system of records of USCIS, USCBP, or USICE.

## 7.1 Consent of parents or guardians

If a parent is filing on behalf of a minor child, then the parent must submit proof of parentage. Proof of parentage can be in the form of a birth certificate, adoption decree or similar document, naming them as a legal parent.

If a guardian is filing on behalf of a minor or person judicially determined to be incompetent, he or she must submit proof of guardianship. No consent is necessary from the minor child or the person judicially determined to be incompetent, however the parent/guardian must provide his or her own verification of identity that is notarized or signed under penalty of perjury [6 C.F.R. § 5.21(e)]. The case processor will have to request more information if he or she cannot determine parentage or guardianship within the file.

Minors may request their own files; they do not have to have the consent of their parents or guardians to do so. Attorneys may represent minors also.

## 7.2 Verification of Identity

If a requester is asking for a Privacy Act record, he or she must provide verification of identity.

A Privacy Act record, for USCIS purposes, is any item, collection, or grouping of information about a person which we retrieve by the person's name, identifying number, symbol, or other identifying particular assigned to that person. This information includes, but is not limited to, a person's nationality, immigration status, education, financial, medical, criminal, or employment history.

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

The notarized signature or signature under penalty of perjury **might** be on a:

- Separate letter, or any piece of paper *including* a G-28, but then only if the penalty of perjury statement is directly above the signature of the subject of record.
- G-639, when the subject has signed the first page and the second page does not contain the signature of the subject but has been notarized.
- DOJ-361, Certificate of Identity: we may not suggest or require that a requester use a DOJ-361, but we can accept one as certification of identity with a signature under penalty of perjury or a notarized signature.

A current photo ID is for information purposes only and is not verification of identity.

**“Verification of Identity”** for purposes of FOIA/PA does not include a Form G-28 with a statement made under penalty of perjury by the requesting attorney or representative “that the information I have provided on this form is true and correct.” The statement must come from the subject of the record. A statement made under penalty of perjury must conform to the requirements of 28 U.S.C. § 1746: **Unsworn declarations under penalty of perjury**, which reads as follows:

Wherever, under any law of the United States or under any rule, regulation, order, or requirement made pursuant to law, any matter is required or permitted to be supported, evidenced, established, or proved by the sworn declaration, verification, certificate, statement, oath, or affidavit, in 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 full name, COB, DOB and a notarized signature or signature under penalty of perjury 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.

An "unperfected request" applies when any of the required elements (full name, DOB, COB, notarized signature or signature under penalty of perjury) is missing. In a situation like this, we do not have a reasonable description of the records the requester wants. We will close the case as an Unperfected Request.

Since FIPS does not generate an Unperfected Request letter, there are a few extra steps. First, please open the Failure to Comply (FC) letter and delete the body after the first paragraph. Next, you'll open the Unperfected Request letter and insert the applicable paragraphs into the FC letter. Finally, you'll send the case to Up-front Approver. You will not request a file.

Go to the “Tasks” tab and select “Final Action Letter”

Contents Discussions Case Actions		
Task	Status	
Search For Duplicate Cases	Not Started	
Create Additional Cases	Not Started	
Create File Request	Not Started	
Acknowledgement Letter	Not Started	
<u>Final Action Letter</u>	Not Started	
Specialty Letter	Not Started	
Status Letter	Not Started	
Blank Letter	Not Started	
Interest Letter	Not Started	
Expedited Denial Letter	Not Started	
Vaughn Index Letter	Not Started	

After selecting “Final Action Letter,” the Final Action Letter Options screen will open. The Case Info tab displays the Final Action Letter screen. Select “FC: Requestor’s failure to comply” from the Final Action Letter list, then click **Submit**.

Processing

**Final Action Letter**

- CR: Completely Reversed
- CU: Completely Upheld
- DP: Duplicate
- ER: Created in Error
- FC: Requestor's failure to comply
- NA: FOIA or FA not applicable
- PR: Partially Reversed
- RM: Remand
- WD: Request withdrawn

**Final Action Dependent Options**

Records Needed

- ☐ Insert Clerk of Courts/National Archives paragraph
- ☐ Insert women married to U.S. citizens paragraph

**Non-FOIA Operational Units**

- ADA: Access to Information Act
- ADA: Freedom of Information Act
- ADA: Privacy Act
- ADA: Records Management
- ADA: Other
- ADA: Other
- ADA: Other
- ADA: Other
- ADA: Other
- ADA: Other

**Reasons**

**Redirects/Referrals**

Our only option at that point is to click OK:

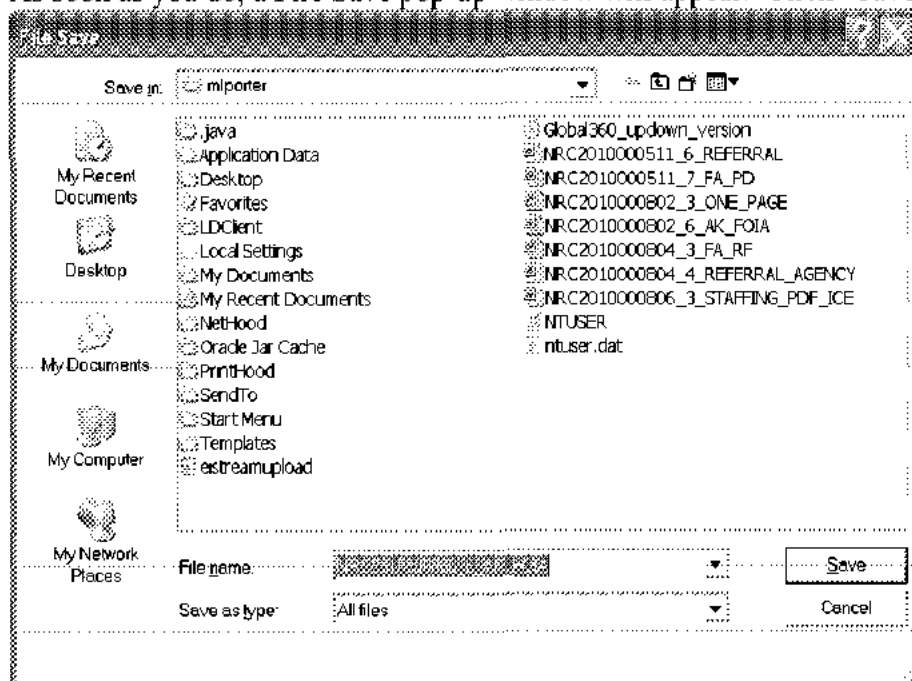
Processing

Successfully generated letter Final Action Letter- FC

Click on OK to continue.



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



The FC letter will pop up. Delete the 4 paragraphs shown below:





U.S. Citizenship  
and Immigration  
Services

Dear J. Loreal:

We received your request for information on [date], relating to [Subject].

The Freedom of Information Act (FOIA), 5 U.S.C. § 552, specifies certain requirements for an access request. One of these requirements is that the request must be made in accordance with the agency's published FOIA regulations. In the Department of Homeland Security (DHS) regulation, Title 6 C.F.R.

§ 5.3 *Requirements for Making A Request*, the procedures for requesting access to DHS records are outlined. See McDonnell v. U.S., 4 F.3d 1227, 1236 (3d Cir. 1993).

Because the records you seek are those of a personal nature, DHS' regulations require you to provide consent from the records subject before a disclosure of records can be made. On [Date] we sent correspondence requesting you provide us with proper consent. Proper consent is defined under 6 CFR § 5.21 as either a notarized signature, a signature signed under penalty of perjury, or proof of death. Although you are not required to use form G-639 to provide consent, a notarized signature in section 7, or a signature at the bottom of section 8 would fulfill this requirement.

Delete

Your case has been closed with no further action taken. If you wish to pursue this request, please provide the information described by the regulation cited above. The requirements for filing a FOIA or PA request are also available for your convenience on our website at [www.uscis.gov](http://www.uscis.gov).

Sincerely,

Jill A. Eggleston  
Director, FOIA Operations

Go into O:\Foia\FOIA LIBRARY\Case Create References\Case Create References\Unperfected Letter, highlight the 3 paragraphs below and select either "Copy" or "CNTRL C." You will paste these 3 paragraphs into the FC letter.



U.S. Citizenship  
and Immigration  
Services

February 2, 2012

NRC

Dear \_\_\_\_\_:

We received your request for information on [date], relating to [subject's name].

The Freedom of Information Act (FOIA), 5 U.S.C. § 552, specifies certain requirements for an access request. One of these requirements is that the request must be made in accordance with the agency's published FOIA regulations. In the Department of Homeland Security (DHS) regulation, Title 6 CFR § 5.3 *Requirements for Making A Request*, the procedures for requesting access to DHS records are outlined. See *McDonnell v. U.S.*, 4 F.3d 1227, 1236 (3d Cir. 1993).

Because the records you seek are those of a personal nature, DHS' regulations require you to provide verification of identity and or consent, if applicable, from the records subject before a disclosure of information can be made. In accordance with 6 CFR § 5.21, verification of identity consists of a written statement from the records subject stating his/her full name, current address, and date and place of birth. Additionally, the written statement must be signed by the records subject and the signature must either be notarized or signed under penalty of perjury. Although it is not required to use Form G-639 when submitting a FOIA request, a notarized signature in section 7, or a signature at the bottom of section 8 of this form would fulfill the signature requirement. The requested information may also be provided on a separate sheet of paper as long as the information provided is signed by the records subject and the signature is notarized or signed under penalty of perjury. Simply providing a copy of a birth certificate, driver's license, or alien card for the records subject will not fulfill this requirement.

Replace with

Your case has been closed with no further action taken. If you wish to pursue this request, please provide the information described by the regulation cited above. The requirements of filing a FOIA or PA request are also available for your convenience on our website at [www.uscis.gov](http://www.uscis.gov).

Sincerely,

Jill A. Eggleston  
Director, FOIA Operations

The resulting page will look something like this:



U.S. Citizenship  
and Immigration  
Services

February 2, 2012

1480

Dear \_\_\_\_\_,

We received your request for information on [date], relating to [subject's name].

The Freedom of Information Act (FOIA), 5 U.S.C. § 552, specifies certain requirements for an access request. One of these requirements is that the request must be made in accordance with the agency's published FOIA regulations. In the Department of Homeland Security (DHS) regulation, Title 62 C.F.R. § 5.3, *Requirements for Making a Request*, the procedures for requesting access to DHS records are outlined. See 62 CFR § 5.3, § 7.34 1228, 1234 (34 C.F.R. 1992).

Because the records you seek are those of a personal nature, DHS regulations require you to provide verification of identity and, if applicable, if the records might be a disclosure of information, not be made. In accordance with 6 C.F.R. § 5.21, verification of identity consists of a written statement from the records subject stating his/her full name, current address, and date and place of birth. Additionally, the written statement must be signed by the records subject and the signature must either be witnessed or signed under penalty of perjury. Although it is not required to use Form 4-613 when submitting a FOIA request, a notarized signature in section 3, or a signature at the bottom of section 4 of this form would fulfill the signature requirement. The requested information may also be provided on a separate sheet of paper as long as the information provided is signed by the records subject and the signature is notarized or signed under penalty of perjury. Simply providing a copy of a birth certificate, driver's license, or passport for the records subject will not fulfill this requirement.

Your case has been closed with no further action taken. If you wish to pursue this request, please provide the information described by the regulation cited above. The requirements of filing a FOIA or DHS request are also available for your convenience on our website at [www.dhs.gov](http://www.dhs.gov).

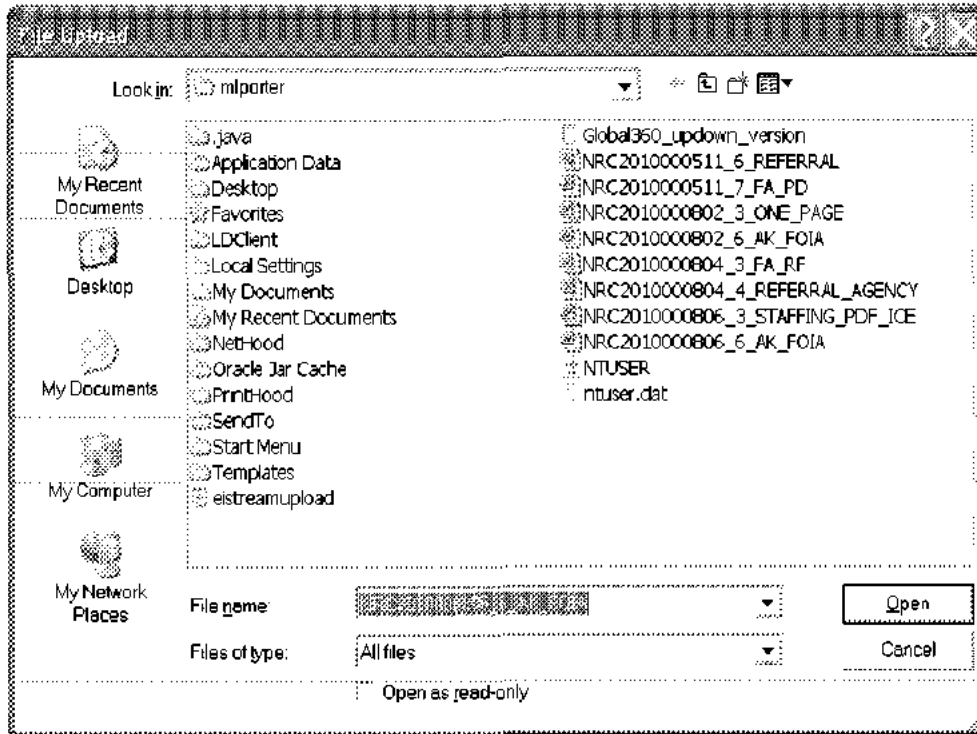
Sincerely,

Bill A. Hagelstein  
Director, FOIA Operations

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:

Task	Description	Case Actions	Status	Keep that	Number	Date
<input checked="" type="checkbox"/> Document Type		Set	Pages	Stamps		
<input checked="" type="checkbox"/> Final Action Letter - #2		0	0	0		11/16/2011 10:14:11 AM
<input checked="" type="checkbox"/> Drafting Letter - #1		1	0	0	000 - 00000000	11/16/2011 10:14:11 AM
<input checked="" type="checkbox"/> Drafting Letter - #2		1	0	0	000 - 00000000	11/16/2011 10:14:11 AM
<input checked="" type="checkbox"/> Drafting Letter - #3		1	0	0	000 - 00000000	11/16/2011 10:14:11 AM
<input checked="" type="checkbox"/> Drafting Letter - #4		1	0	0	000 - 00000000	11/16/2011 10:14:11 AM
<input checked="" type="checkbox"/> Drafting Letter - #5		1	0	0	000 - 00000000	11/16/2011 10:14:11 AM
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<input checked="" type="checkbox"/> Drafting Letter - #97		1	0	0	000 - 00000000	11/16/2011 10:14:11 AM
<input checked="" type="checkbox"/> Drafting Letter - #98		1	0	0	000 - 00000000	11/16/2011 10:14:11 AM
<input checked="" type="checkbox"/> Drafting Letter - #99		1	0	0	000 - 00000000	11/16/2011 10:14:11 AM
<input checked="" type="checkbox"/> Drafting Letter - #100		1	0	0	000 - 00000000	11/16/2011 10:14:11 AM

Click “Open”:



After this, you send the case to “Up-front Approver.”

Document Type	Seq.	Pages	Status	Request	Author	Date
Finalization Letter - IC	6		Strong			10/3/2010 10:34:14 AM
Request for Information	1		Pending	ORR - Sent to Approver	012345678	10/3/2010 9:26:17 AM
Request for Information	2		Pending	ORR - Sent to Approver	012345678	10/3/2010 9:26:17 AM
Request for Information	3		Pending	ORR - Sent to Approver	012345678	10/3/2010 9:26:17 AM
Request for Information	4		Pending	ORR - Sent to Approver	012345678	10/3/2010 9:26:17 AM
Request for Information	5		Pending	ORR - Sent to Approver	012345678	10/3/2010 9:26:17 AM

Click

Document Type	Seq.	Pages	Status	Request	Author	Date
Finalization Letter - IC	6		Strong			10/3/2010 10:34:14 AM
Request for Information	1		Pending	ORR - Sent to Approver	012345678	10/3/2010 9:26:17 AM
Request for Information	2		Pending	ORR - Sent to Approver	012345678	10/3/2010 9:26:17 AM
Request for Information	3		Pending	ORR - Sent to Approver	012345678	10/3/2010 9:26:17 AM
Request for Information	4		Pending	ORR - Sent to Approver	012345678	10/3/2010 9:26:17 AM
Request for Information	5		Pending	ORR - Sent to Approver	012345678	10/3/2010 9:26:17 AM

The Up-front Approver will either close the case or return it for further action.

## 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

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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, NRCFOIAMSMB](#)).

Clicking on the FIPSPROBLEM link above will automatically generate an e-mail addressed to both the NRC, FIPSPROBLEM mailbox and the NRC, FOIA PROGRAM mailbox.

## **8.1 REQUESTS: Foreign Consulate**

Immediately forward any type of correspondence, FOIA request or inquiry received from the consulate of a foreign nation to the Director's Office for handling. USCIS Headquarters is the only one authorized to correspond with foreign consulates.

Please make sure it is a consulate requesting the records and not the subject of the request putting the consulate's address on the G-639 to mail the records to the consulate (for passports). If the request is from a consulate, please send the FOIA request to Up-front Approver to be closed as an ER and send an e-mail to [NRC, FOIAOA](#) mailbox with the case information. The supervisor will review and close the case. If the subject mailed the request and wrote the consulate's address on the G-639, use the subject's address from the envelope and set it up as a self request.

## **8.2 REQUESTS: Non-immigrant visa material**

If the requester specifically asks for non-immigrant visa data and there is no record of the person in CIS or CLAIMS; do not close the request as NR. If the requester is asking a question about being a student, au pair, camp counselor, or participating in a summer work/travel program, or if the requester specifically mentions visa type F-1, F-3, J-1, M-1 or M-3, then you should refer the request to ICE, since that record will be tracked in SEVIS (Student and Exchange Visitor Information System.) An example of a "refer to ICE" type request might be: "Type of visa, visa number and legal documents allowing entry into the US. The subject was a student at the University of Nebraska."

Otherwise, redirect the requester to Department of State. An example of a "re-direct to State" type request might be for a B1/B2 visa, such as: "Type of visa, visa number and legal documents allowing entry into the US. The subject visited Disney World and Cape Canaveral and entered at Orlando International Airport."

## **8.3 REQUESTS: Routine use, no consent required, not FOIA**

USCIS may disclose records to an appropriate Federal, State, tribal, local, international, or foreign agency, including law enforcement, or other appropriate authority charged with investigating or prosecuting a violation or enforcing or implementing a law, rule, regulation, or

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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

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## 8.5 REQUESTS: A-number only

If a requester/subject is asking for his or her alien number **only**, follow these steps:

- Search CIS with the information provided on the request to locate an A-number.
- If you locate an A-number, compare the information provided on the request with the information in CIS to make a positive ID.
- You must have proper consent and all of the required PII in order to proceed. If consent or any PII are missing, generate the acknowledgement letter and request the additional information.
- If proper consent is present and all of the required PII is present:
  - Open a RAFACS staffing slot only
  - Print a copy of CIS 9101 screen, attach a “Scan As” cover sheet and mark the box “Responsive Records.” Take the screen print to the designated person (currently Joan Brown) 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-



Mexico Border ports of entry from ca. 1905 to 1954 (some to 1957). A Bracero admitted in 1960 will not appear in these records due to the cut-off dates.

The requester can request a search by writing directly to NARA. In their letter, the requester should ask for a search of Mexican border arrival manifests in Record Group 85. The correspondence to NARA should contain the date and port of entry, as well as the name used at the time of entry, age at the time of entry and any other identifying information.

NATIONAL ARCHIVES AND RECORDS  
ADMINISTRATION  
CIVIL REFERENCE  
7<sup>th</sup> AND PENNSYLVANIA AVENUE NW  
WASHINGTON DC 20408

## 8.7 REQUESTS: Referrals and Consultations received from other agencies

As other agencies process FOIA/PA requests, they will sometimes find our agency's documents within their files. These documents will be referred to us for processing. The responsive records could be USCIS documents being referred to us for review or joint documents i.e., co-authored by the referring agency and other agencies. A transmittal memorandum advising us to respond directly to the referring agency is a consultation. A transmittal memorandum advising us to reply directly to the requester is a referral.

Send the case to processor. Send an e-mail to the MSB mailbox advising them that you have created the case and that it is a referral/consultation from another agency. Include the alien name and the NRC control number.

## 8.8 REQUESTS: USCIS personnel information

- Requests that deal specifically with USCIS vacancy announcements, performance ratings and awards are scanned and handled in the HQS queue by the Special Interest Group.
- If a request for CIS Personnel Information mistakenly is scanned in the NRC queue, create the case and reassign the case to **HQS**. Create the case as a Track 2 case. Use **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	Send	Reassign Office	Send to Research	Delete	Open next
-----------------	----------------	---------------	------------	-------------------	------	-----------------	------------------	--------	-----------

Click on the "Reassign Office" and select the HQS office. The case will be staffed when it is re-assigned to the HQS queue. Send an e-mail to NRC.FOIASIG with the case information.

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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/eopf\\_folder/eopf\\_logon.xml](http://cbpnet.cbp.dhs.gov/xp/cbpnet/hrm/for_employees/info_about_you/eopf_folder/eopf_logon.xml)

You should then create a Final Action Letter and select the closing code “NA: FOIA or PA not applicable.” You will have to select a Non-FOIA Operational Unit. Choose “NRC-Director.” You do not have to modify the referral letter, but you should make the appropriate edits in the Final Action Letter. Next, send the case to Up-front Approver. The supervisor will review and close the case.

Processing		Fee Information	
<b>Final Action Letter</b>		<b>Final Action Dependent Options</b>	
<div>OP: Duplicate ER: Created in Error FC: Requestor's failure to comply FI: Requestor's failure to ID records <b>NA: FOIA or PA not applicable</b> NR: Not applicable - certified copy NR: Non-possession of records OR: Old records RD: Redirected to another agency RF: Referred to a DHS Component UT: Unable to locate records WD: Request withdrawn</div>		<div>Records Needed <input type="checkbox"/> Insert Clerk of Courts/National Archives paragraph <input type="checkbox"/> Insert women married to U.S. citizens paragraph</div>	
<b>Reasons</b>		<b>Non-FOIA Operational Units</b>	
<div></div>		<div>MR <b>NRC-Director</b> Non-FOIA Offices Privacy Act Amendment Request REQUEST FOR FILE FROM A FOREIGN ECO Service Centers TRN FOIA/PA UNIT WCF</div>	
<b>Redirects/Referrals</b>			
<div></div>			
<div>Submit Reset Cancel</div>			

## 8.10 REQUESTS: Red Cross / Last known address

Requests from the Red Cross or from some other non-governmental organization (such as Salvation Army, etc.) looking for the last known address of an alien are normal FOIA requests. You should create the case and request the file as a specific document request. It is not necessary to create an acknowledgement letter if the request is from the Red Cross.

### **8.11 REQUESTS: Federal, state, local agencies**

Governmental agencies, including county public assistance agencies, are seeking the alien to enforce court ordered support or enforcement of some other lawful responsibility. These types of requests fall under the routine use category.

### **8.12 REQUESTS: Return of original documents**

Requesters will sometimes ask for the return of original documents, such as adoption decrees, birth certificates or other documents of a personal nature on a request addressed to FOIA. If the request for the return of original documents is submitted on a G-639, we are required to provide the requester with a copy of the specific documents requested. For return of original documents, the requester must submit a G-884 to the SAVE Unit of their local district office. Insert the following verbiage in the acknowledgement letter.

In your FOIA request you have specifically asked for the return of original documents. We will provide you with a copy of these documents. In order to obtain the original documents you must submit a G-884, "Request for the Return of Original Documents" to the Save Unit of the nearest district office.

If a Form G-884 has accidentally been scanned into FIPS as a FOIA request, send the case to Up-front Approver for closure as "ER" (created in error). A letter is not created by FIPS; you will need to create a Blank Letter explaining the reason we did not accept their request as a FOIA request. Print two copies of the letter. Attach a cover sheet on one copy to be scanned in as a CSD and send the other copy to the OA room for mailing to the requester. Include a detailed Discussion note. Send the case to Up-front Approver. The supervisor will review and close the case.

If the alien file is located at the NRC, the Case Resolution Team at the NRC handles all G-884's (Request for Return of Original Documents). OA ordinarily forwards any requests for return of original documents to Case Resolution.

### **8.13 REQUESTS: Privacy Act Amendment**

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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 NRC, FOIASIG and insert the case number in the body of the e-mail.
5. Change the Office to "COW." Click "SAVE." Click "Reassign Office." You are now ready to move on to the next case.

## **8.14 SITUATION: Untranslated Foreign Language Documents**

If you find an untranslated foreign language document which may contain essential information needed to create a case, and you are unable to determine what that information is, there are individuals at the NRC available to translate. Here is the procedure:

- Insert a Discussion titled "Untranslated Documents" and the reference page numbers.
- Copy the text of the Discussion and paste it into an e-mail to NRC, NRCFOIAMS.
- Send the case to Unit Chief.
- After translation, a copy of the translated information may be scanned in, or the translator may add a Discussion response. The translator will then return it to you for creation and/or staffing.

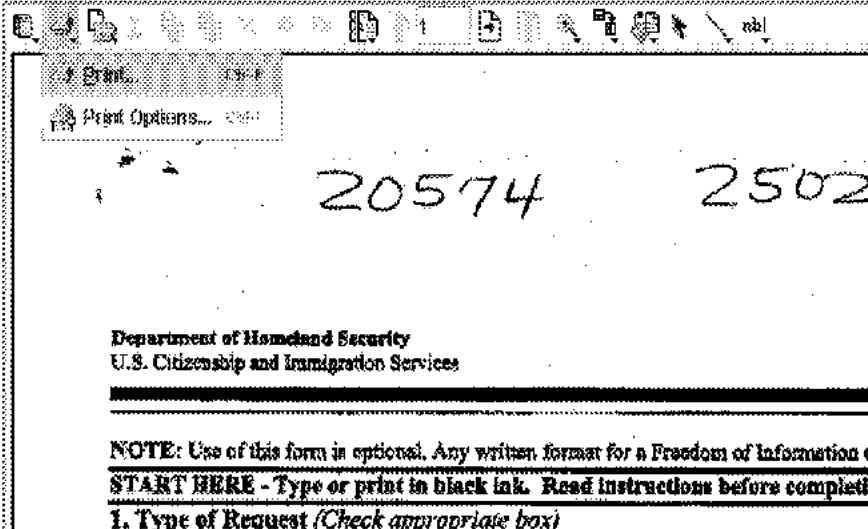
## **8.15 SITUATION: Congressional correspondence**

When the unit receives correspondence from a member of Congress, the creator will need to create the case as a track two case, mark the category as Congressional, request the requested documents and send an e-mail to the MSB Mailbox advising them of the control number, congressional contact information and name of the subject of the request. Do not use the Congressional office address as the address for the FOIA request. If an address for the subject cannot be found, please contact a member of the MSB for more guidance.

## 8.16 SITUATION: Appeals

While case creating, you may open a request and see that it is marked “Appeal.” The requester will include the case number he or she is appealing. If this happens, you do not create the case. In the upper right hand of the image portion of the FIPS worksheet, there is a printer logo:

..... Office: NRC ..... Change Office .....



Print Print Options...

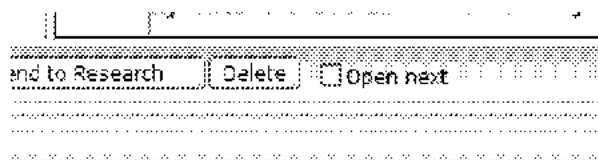
20574 2502

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

NOTE: Use of this form is optional. Any written format for a Freedom of Information Act request should be in the following format:  
**START HERE - Type or print in black ink. Read instructions before completing.**

1. Type of Request (Check appropriate box)

Select “Print.” FIPS will then print out all the pages of the request. Get those pages and take them to the designated appeals POC (Currently 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.”



end to Research Delete Open next

## 8.17 SITUATION: New requests received on the I-694

If you see a case in the creator role or the processor role that has the I-694, Notice of Appeal of Decision Under Sections 245A or 210 of the Immigration and Nationality Act (INA), scanned as the FOIA request letter, this is considered a legitimate request. The Administrative Appeals Office sends this form along with the A-file to the NRC for processing under FOIA.

Form I-694 is used to notify USCIS that an individual is appealing the denial of their permanent residence, temporary residence, or a waiver of grounds of inadmissibility.

To assist you in identifying this request, the words “NEW REQUEST” should have been written on the top of the form before scanning. Please note the request may not have a current date. The case creator should create the case, and request additional information or consent if needed. If additional information or consent is not necessary, send the case to processor.

## **8.18 SITUATION: Subpoena or court order**

If you pull a new request that is a subpoena or court order, please send it to Up-front Approver for closure as ER. Send a message to NRC, FOIA PROGRAM; Cameron, Lincoln providing the REQ number and information indicating the request was a subpoena or court order. The NRC Program Office is currently addressing these requests. Subpoenas or court orders are a high priority. Please notify NRC, FOIA PROGRAM as soon as possible. If you aren't sure, please contact your supervisor for guidance on how to proceed.

## **8.19 SITUATION: Certification of record**

When creating a new case, insert a Discussion “requester wants documents certified.” The processor or approver will handle the certification process.

Certification of records is done in accordance with 8 C.F.R. § 103.7(d) and the Records Operations Handbook (ROH).

The NRC will certify certain documents from A-files as being true and correct copies. The physical file must be located at either the NRC or the FRC. Genealogy requests that were received, staffed and processed by NRC can also be certified by the NRC. The NRC will not certify copies of documents that belong to other agencies. Information will be provided to the requester on how to obtain certified copies of these documents. The NRC can also provide a certified letter giving information such as the date of entry and the status of the individual.

First, evaluate if the request qualifies under the Genealogy Program. Refer to the section entitled Case Specifications, Category 4 (Other).

NRC will not certify naturalization certificates for living persons. If the individual has his or her original naturalization certificate and want or need a certified copy of it, he or she must make an INFOPASS appointment. An individual must submit an N-565, Application for Replacement Naturalization/Citizenship Document if he or she has lost or misplaced the original.

Records Services Branch, USCIS does all certificates of non-existence; these requests must be submitted in writing to the address shown below:

U.S. Citizenship and Immigration Services  
ATTN: Records Service Branch

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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 USCIS Genealogy Program. The web address for more information and instructions for submitting their request is USCIS.gov or,

If the requester's relative is living, please include the following paragraph in your acknowledgement letter:

This is in response to your request for a certified copy of a relative's naturalization certificate in order to apply for dual Italian citizenship. According to information obtained from the Italian Embassy in Washington, D.C., certified copies of naturalization certificates are not required for the dual citizenship application. The Italian Embassy requires the naturalization certificate copy along with our USCIS cover letter and envelope. The uncertified records that we release as part of this FOIA request will serve that purpose.

## **8.21 SITUATION: Record at National Archives and Records Administration (NARA)**

The National Archives and Records Administration has designated alien files as permanent records for the Federal Government, ensuring their retention indefinitely. As with all permanent records of the Federal Government, ownership and physical custody of the record is transferred to NARA at a designated point and NARA becomes the custodian of the record. Once the record is transferred to NARA, anyone who wants documents out of the file will have to file his or her FOIA request directly with NARA. The "magic date" for alien files to be turned over to NARA is when the subject of the file passes 100 years of age. The NRC has begun the process of transferring the targeted files into the custody of NARA.

As a result, case creators need to pay close attention to those cases in which the subject of the file was born more than one hundred years ago, particularly if the request does not meet the criteria for a genealogy case.

For example, the requester writes in and makes the following request:

“I want the records of Joe Crab, date of birth, March 22, 1899. Mr. Crab naturalized in 1957 and died in 1969. Enclosed is proof of his death and alien number.”

NOTE: You may find the complete list of Genealogy criteria in paragraph 6.3.4.6.

Mr. Crab meets one prong of the criteria for genealogy because he was born long ago; however, since he was naturalized in 1957, he does not meet the prong of having no documents in his file dated after 1951. If you are creating a case and the subject of the request is 100 years of age or older, **but** the person DOES NOT fully meet the criteria for a genealogy case, please pay special attention to NFTS. 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 [O:\Foia\FOIA\\_LIBRARY\Case\\_Create\\_References\Case\\_Create\\_Template\\_Letters\Historical\\_Record\\_Letter](O:\Foia\FOIA_LIBRARY\Case_Create_References\Case_Create_Template_Letters\Historical_Record_Letter).

It may happen that USCIS has not yet transferred the file to NARA. If NFTS still shows a shelf location within NRC (or any other office), request the file.

## **8.22 SITUATION: Old records**

Occasionally we will receive a request for records pre-dating our recordkeeping system. The agency maintains immigrant arrival records created since 1892; and naturalization records since 1906.

When a request is for records older than those maintained by the agency, create a Final Action Letter and select “OR.” This generates a letter to the requester explaining that the records being requested are older than those maintained by the agency. After generating the final action letter, send the case to Up-front Approver. The supervisor will review and close the case.

## **8.23 SITUATION: Requests from Prospective Adoptive Parents**

In the recent past, Vietnam, Cambodia, Guatemala, Nepal, Ethiopia and other countries have had problems concerning adoptions. Birth Certificates have been forged and babies have been taken without consent of the biological parent. In Vietnam, “baby brokers” scour villages looking for unwed, impoverished mothers. They purchase the babies for about \$50 and sell them to commercial adoption services. In Guatemala and elsewhere, people steal babies and sell them to

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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 pending (not finalized) adoption cases for the following reasons:

1. The Prospective Adoptive Parents (PAP) have the right to all information they submitted for the adoption. In cases like this, it is likely that the adoption never happened. If that is the case, they have no proof of parentage or guardianship.
2. The child is usually too young to give consent.
3. Congress has substantial interest in this matter.

If you decide you need proof of parentage after a full search, please send your case to Admin for supervisor review.

## **9. REFERRAL AND REDIRECTION**

### **9.1 Referral**

The FOIA requires us not to close a case if there is information in another component of our department. For instance, the Drug Enforcement Administration and the Federal Bureau of Investigation are both components of the Department of Justice. If DEA receives a FOIA request and determines the information is with FBI, they may not close the case and tell the requester to write to FBI (that is redirection). They must send the request to the FBI and advise the requester they have done so (that is referring).

USCIS occasionally receives FOIA requests for non A-file records totally under the purview of another DHS component. When this occurs, we refer the FOIA request in FIPS to the correct component. The following agencies are DHS components:

- Transportation Security Administration (TSA)
- U.S. Customs and Border Protection (CBP)
- U.S. Immigration and Customs Enforcement (ICE)
- U. S. Secret Service (USSS)
- Federal Emergency Management Agency (FEMA)
- U.S. Coast Guard (USCG)

Under the “Tasks” tab, select Final Action Letter. Select “RF: Referred to a DHS Component” as the final action code. Under “Redirects/Referrals” select the component to which we are referring the request and click “Submit.”

FIPS v7.0 Training build 05      Work Queries      Actions      Standalone Search

Processing      Fee Information

---

**Final Action Letter**

DP: Duplicate  
 ER: Created in Error  
 FC: Requester's failure to comply  
 FI: Requester's failure to ID records  
 NA: FOIA or PA not applicable  
 NB: Not applicable - certified copy  
 NR: Non-possession of records  
 OR: Old records  
 RD: Redirected to another agency  
 UT: Unable to locate records  
 WD: Request withdrawn

**Final Action Dependent Options**

Records Needed

- Insert Clerk of Courts/National Archives paragraph
- Insert women married to U.S. citizens paragraph

**Non-FOIA Operational Units**

- AFSC: Bureau
- AFSC: Operations
- AFSC: Training
- AFSC: Support
- AFSC: Logistics
- AFSC: Security
- AFSC: Intelligence
- AFSC: Communications
- AFSC: Information
- AFSC: Legal
- AFSC: Medical
- AFSC: Dental
- AFSC: Veterinary
- AFSC: Pharmacy
- AFSC: Nutrition
- AFSC: Recreation
- AFSC: Transportation
- AFSC: Housing
- AFSC: Utilities
- AFSC: Maintenance
- AFSC: Security
- AFSC: Intelligence
- AFSC: Communications
- AFSC: Information
- AFSC: Legal
- AFSC: Medical
- AFSC: Dental
- AFSC: Veterinary
- AFSC: Pharmacy
- AFSC: Nutrition
- AFSC: Recreation
- AFSC: Transportation
- AFSC: Housing
- AFSC: Utilities
- AFSC: Maintenance

---

**Reasons**

**Redirects/Referrals**

- Federal Emergency Management Agency
- Immigration and Customs Enforcement
- Transportation Security Administration
- U.S. Customs and Border Protection
- United States Coast Guard

---

Contents

Discussions

Case Actions

History

Task	Status
Search for Duplicate Cases	Not Started
Create Additional Cases	Not Started
Create File Request	Not Started
Acknowledgement Letter	Not Started
Final Action Letter	Not Started
Specialty Letter	Not Started
Status Letter	Not Started
Blank Letter	Not Started
Interest Letter	Not Started
Expedited Denial Letter	Not Started

---

Records Locator

Case Processor

Case Approver

Unit Chief

Up-front Approver

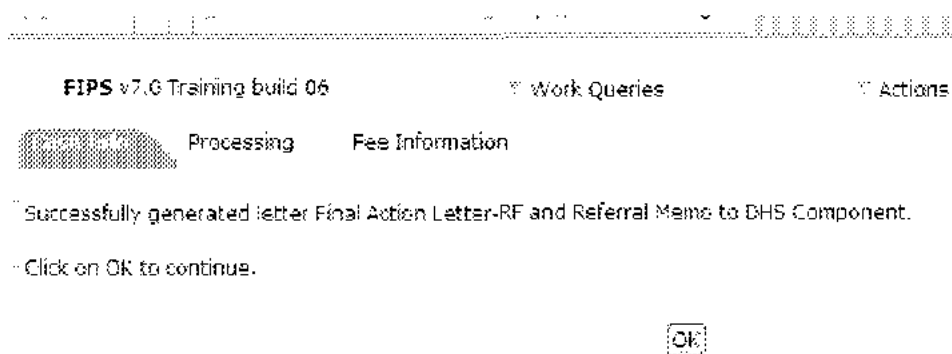
Pend

Reassign Office

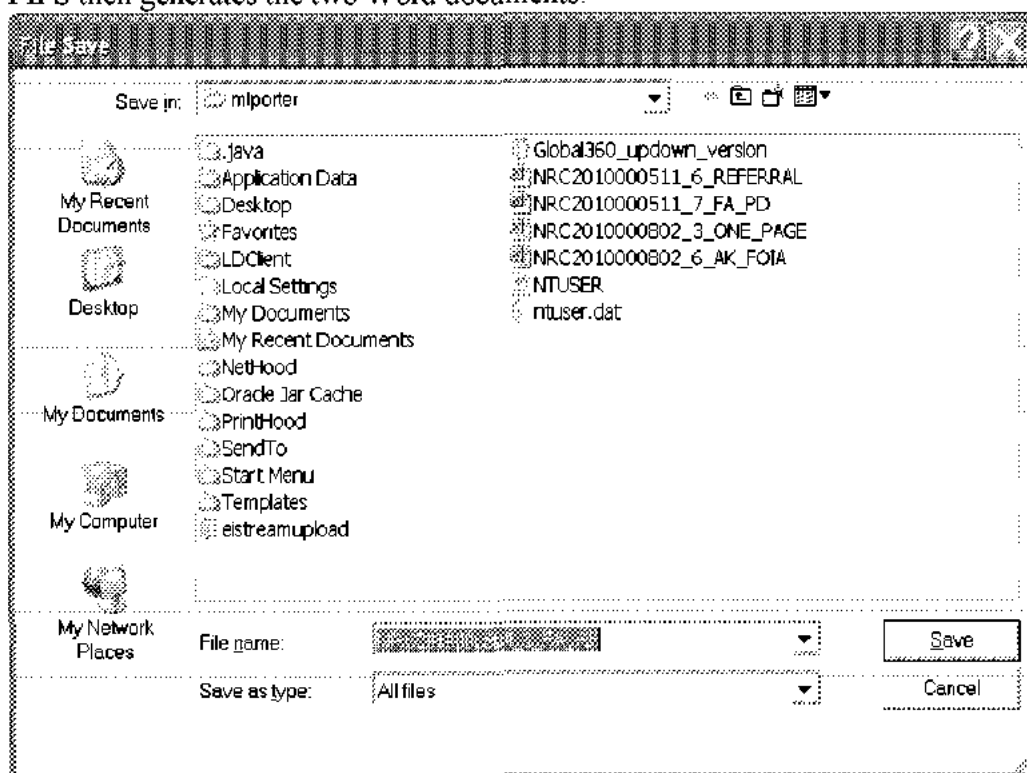
Send

Page 1 of 2    80%    Viewing version: 2

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



FIPS then generates the two Word documents:



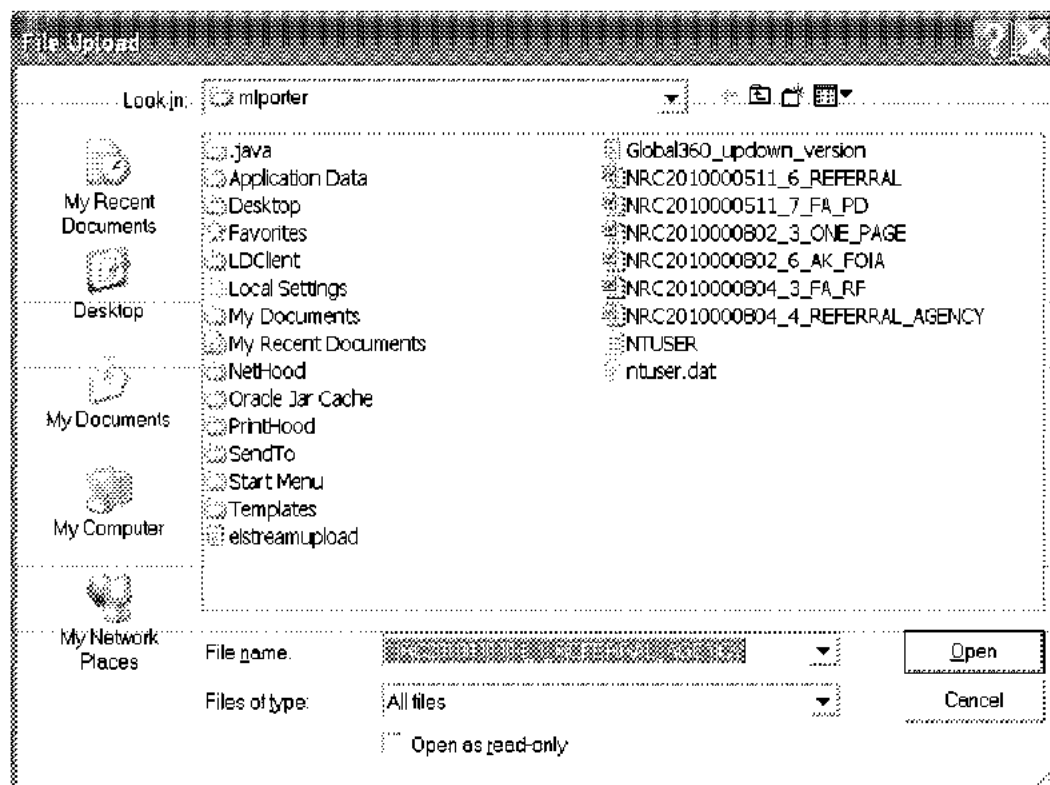
You may have to edit the letter to add needed information. After you exit from the Word documents, they will appear under the “Contents” tab:

Tasks		Discussions		Case Actions		History	
Document Type		Seq.	Pages	Status	Resp Unit	A-Number	Date
	Referral Memo to DHS Component	4		Editing	PER		12/2/2010 11:57:35 AM
	Check In Document	3		Editing			12/2/2010 11:57:34 AM
	Request Supporting Documents	2	1	Scanned			11/5/2010 8:31:58 AM
	Request Letter	1	2	Scanned			11/5/2010 8:31:53 AM

Records Locator	Case Processor	Case Approver	Unit Chief	Up-front Approver	Pend	Reassign Office	Send
-----------------	----------------	---------------	------------	-------------------	------	-----------------	------

<http://z02apcnrc227001/sonora/forms/CheckInFilestore.jsp?docId=5061>

Click on the “Check in Document” icon and you will get a “Save” dialog box. Click “Open.”



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

## 9.2 Redirection

If we receive a request for records that belong to an agency outside of DHS, we close it and write a “redirect letter.” Under the “Tasks” tab, select Final Action Letter. Select “RD: Redirected to

another agency” as the final action code. Under “Redirects/Referrals” select the agency to which we are referring the request and click “Submit.”

An example of a request we close and redirect is a petition that we discover has been forwarded to the National Visa Center for issuance of an immigrant visa. The redirect letter advises the requester to contact the different agency for the information they are seeking. The procedure for the documents is the same as for referrals. You may have to edit the letters to add needed information. After you exit from the Word documents, they will appear under the “Contents” tab. Click on the “Check in Document” icon and you will get a “Save” dialog box. Click “Open.” After you have done this for both documents, send the case to Up-front Approver.

### 9.3 Entry/Exit Information referral to CBP

CBP handles FOIA requests for entry and exit information dating back to 1982, inspection, Port of Entry (POE), requests for information relating to air and/or marine incidents, or the U.S. Border Patrol Academy, legacy Customs or legacy Inspections. Key words that you could see on a request relating to CBP are inspection, Port of Entry, Bridge of the Americas, Friendship Bridge, and smuggled goods. A FOIA request for this type of information should be referred to **CBP** at the address shown below.

U.S. Customs and Border Protection  
FOIA Division  
799 9<sup>th</sup> Street NW, Mint Annex  
Washington, DC 20229-1177

**Note:** If the request is for entry/exit information and the requester/subject provided an alien number, request the file. If the request is for entry/exit information and the requester/subject did not provide an alien number, you must thoroughly search CIS and CLAIMS to be sure the person does not have an alien number or application. CBP has records on entry and exit information dating back to 1982, but no further back. You may modify the referral letter; any information you can provide as to what the requester is asking for will be helpful to CBP.

### 9.4 Border Patrol referral to CBP

If you encounter a Border Patrol Request in Case Create, refer the case to CBP. This includes Border Patrol records relating to apprehension, entry without inspection (EWI), smuggled humans, mobile patrol group, voluntary return, repatriation, or checkpoints.

Exception to this rule, if the requester provides an A-number or you locate an A-number through a search of the systems, please request the A-file.

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Updated on 3/2/2012

## **9.5 Personnel/hiring practices/vacancy announcements**

If you receive a request concerning employee records, vacancy announcements, or any personnel matter generally, please create the case as you normally would by filling in the blanks and controlling the case. After that, change the Category to PER. Do not create a staffing and do not send any correspondence to the requester. Add a Discussion note that this appears to be a personnel-type FOIA request. Send an e-mail to [NRC.FOIASIG](#). After that, send the case to Unit Chief.

## **9.6 US-VT referral to US Visit**

Refer requests relating to United States Visit. The United States Visit is a Border Security Program that records biographic, biometric and travel information for all foreign visitors to the United States. The system screens all crewmembers and passengers that travel to the United States by air, sea or land. United States Citizens are not in the system.

If the requester is asking for both a copy of the alien file and for entry and exit information, you should request the file. See [Entry/Exit CBP](#) information above.

## **10. DETERMINING TO STAFF BASED ON BEST INFORMATION AVAILABLE:**

If you determine that the requester has provided all the PII possible after performing the CIS 9102 or 9106 and 9103 screen searches shown above, and there is only one person in the CIS 9101 screen with the same information, please request the file. However, prepare a Discussion explaining why you staffed for the file.

## **11. SOCIAL SECURITY NUMBER**

USCIS does not use Social Security numbers in the Freedom of Information/Privacy Act requests. Even if the alien disclosed his or her SSN in the request, do not enter that number on the FIPS worksheet. We will not request the Social Security number when requesting additional documentation.

## **12. REQUESTING THE RESPONSIVE RECORDS**

After the acknowledgement letter is created, if all required information is present, the next step is to request the records that are responsive to the request.

How do you determine what records are responsive to the request? First, you have to read the request. Typically, the requester will ask for a complete copy of an alien file and they will provide an alien number. If this is the situation, you must verify in CIS that this alien number belongs to the subject.

There is a staffing guide/RPC reference sheet available on the USCIS Connect FOIA Operations page (<http://connect.uscis.dhs.gov/org/ESD/NRC/Pages/FOIAOperationsDivision.aspx>), under the tab "Helpful Information" 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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Updated on 3/2/2012

## 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 and either a notarized signature or a signature under penalty of perjury) to complete the case create. If any of the required elements are missing, close the case as an Unperfected request. The section that follows is a systematic example of staffing by A-number when the requester has provided one.

#### 12.1.1.1 Open NFTS

NFTS Login

To comply with password security standards, NFTS passwords are now **case sensitive**. If your password was created or reset by PICS, please enter your password in **UPPERCASE** to login.

**NFTS Login**

User ID:

Password:

Login Change Password Clear

**Please enter your user id and password, then press the Login button.**

**WARNING**

You are about to access a Department of Homeland Security computer system. This computer system and data therein are property of the U.S. Government and provided for official U.S. Government information and use. There is no expectation of privacy when you use this system.

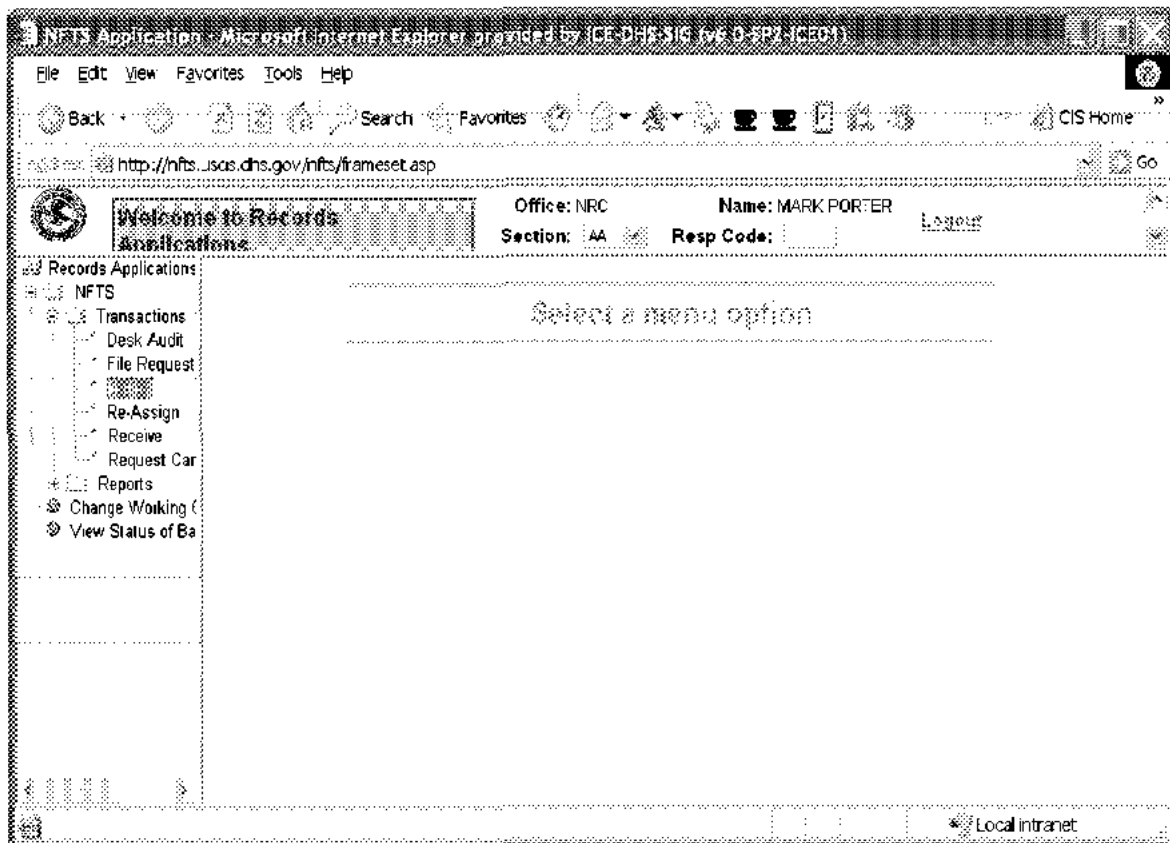
Done Local intranet



### 12.1.1.2 Submit your location

The screenshot shows a Microsoft Internet Explorer window titled "NFTS Login/Choose Location". The address bar displays "http://nfts.uscis.dhs.gov/nfts/setuseroffice.asp". The page content includes a header "NFTS Login/Choose Location" and a central form titled "Select Office and Default Section". The form contains three fields: "Select Office:" with a dropdown menu showing "AA", "Default Section:" with a dropdown menu showing "AA", and "Default Resp. Party:" with a text input field. A "Submit" button is located at the bottom of the form. The status bar at the bottom of the browser window shows "Done" and "Local intranet".

### 12.1.1.3 Select “Inquiry”



**12.1.1.4 Select “ALL Converted Offices”** and enter “A” or a “+” then enter the A-number. Preferably, paste the copied number from CIS so you are sure you are asking for the correct file.

Microsoft Internet Explorer and Security (http://nrt.sic.gov:8080/)

File Edit View Favorites Tools Help

http://nrt.sic.gov:8080/anset.asp

**Inquiry** Office: NRC Name: MARK PORTER Section: 46 Resp Code: Logout

Enter File Number: 4116 Search

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

Show information entered on or after:

Clear Exit

**General Inquiry For**

File #	Seq	Office	Status/Last Action	Location
--------	-----	--------	--------------------	----------

Done Logout

**12.1.1.5 The search result** provides several pieces of information. First, we can verify from CIS that the File Control Office (FCO) is Seattle. The Responsible Party Code (RPC) is DP0064, and it tells us that DP means Deportation. Do you see the four boxes above the “Exit” button? Those are “Rider,” “Consolidation,” “Retire,” and “In Transit.” If any one of those is “grayed out,” it means there is no information there. If one is “blued in,” it means there is information and we should look at it.

The screenshot shows the NRTS Application web interface. The title bar indicates it's a Microsoft Internet Explorer window. The address bar shows the URL: http://nrt.uscis.dhs.gov/nrts/frame.asp. The main content area displays a search result for file number 000-SEA. The file is currently in the 'RECORD IN USE' status. The location is listed as 'DEPORTATION' with a responsible party code of 'DP0064'. The interface also includes a navigation menu on the left with options like 'Transactions', 'Desk Audit', 'File Request', 'Request', 'Request Car', 'Reports', 'Change Working', and 'View Status of D'. The bottom of the screen shows a 'Done' button and a 'Local intranet' indicator.

#### 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 NRTS. 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 USCIS Connect 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 RPC Reference for Staffing.

#### Freedom of Information Act (FOIA) Operations Division

Welcome to the USCIS Freedom of Information Act (FOIA) Operations Division intranet page. The purpose of this page is to provide you, the USCIS employee, information and insight into USCIS FOIA so that you will be better able to provide the information to your customers. If you are a FOIA/PA Assistant or FOIA Paralegal, this page is a central information reference to use in performing your duties.

**NOTE:** All information contained herein is for official use only and should not be disclosed to or used by anyone not acting in an official capacity on behalf of USCIS unless otherwise noted. Handbooks and guides linked to this page are for internal use. Instructions on processing requests, training, and legal interpretations contained within them should generally NOT be disclosed to the public.

The mission of the FOIA Operations Division are:

- Process all JECIS requests for records (including all Asian-Asian) and information requested under the disclosure provisions of the Freedom of Information Act and the Privacy Act.
- Respond to public inquiries received via the National Customer Service Center and FOIA e-mail

To contact the USCIS FOIA Operations Division, you may call Mr. Eggleston, ACD for FOIA Operations, at (816) 330-1821.

#### Statutes    Guides    Helpful Information

- G-639, FOIA Request Form
- DHS Privacy Policy
- Disciplined Attorneys List
- Electronic Reading Room
- FCO List
- FOIA Information Bulletin
- FOIA Contacts at Federal Agencies
- Federal Digital System
- Office of Government Information Services
- Online FOIA Status Check
- **RPC Reference for Staffing**
- Staffing Sheet Guide
- System Notices
- USCIS FOIA Annual Report
- USCIS Privacy Policy

#### Resources

- Contact Information
- Customer Guide
- EDvantage
- Electronic Official Personnel Folder (eOPF)
- Employee Personal Page (EPP)
- NRC ECM Intranet Site

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Updated on 3/2/2012

**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.

http://www.dhs.gov/xfoia/foiaLibrary/caseCreateReferences/caseCreateTemplateLetters/caseCreateReferences/foia/foiaList3312010.pdf

File Edit Go To Favorites Help

Search Favorites

http://www.dhs.gov/xfoia/foiaLibrary/caseCreateReferences/caseCreateTemplateLetters/caseCreateReferences/foia/foiaList3312010.pdf

100%

O:\Foia\Foia Library\Case Create References\Case Create Template Letters\Case Create References\Foia  
FOI List 3 31 2010

RPC REFERENCE FOR STAFFING - Updated 3/31/10				
FCO	Codes	Description	Staffing	Notes or Exceptions
ALL		Adjudications	non - FOIA	
ALL		Airports	non - FOIA	are Border Patrol
ALL		Anti Fraud	non - FOIA	
ALL		Anti Smuggling	SAC/RAC/ASAC	
ALL		Chief Counsel	OPLA	
ALL	CAP	Criminal Alien Program	DRO	
ALL	DI	Deferred Inspection	non - FOIA	Border Patrol function
ALL	DP	Deportation	DRO	
ALL		Detained	DRO	if Co. Jails, Prisons and Processing Centers.
ALL	D & R	Detention and Removal	DRO	
ALL		Detention Facility Name	DRO	This includes Co. Jails, Prisons and Processing Centers
ALL		District Counsel	OPLA	
ALL	EX	Examination	non - FOIA	
ALL	FD	Fraud detection (FDNS)	non - FOIA	
ALL	FO	Customs	DRO	

Done Unknown: Zone

### 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.

[illegible]

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Updated on 3/2/2012

### 12.1.1.10 Figuring out a Staffing Scenario

The Guide confirms what we thought. If we staff to DRO, then we choose the FCO where the file is located. We're going to look for DRO-SEA. Note that the quickest way for me to find the information is by searching "DRO." I could have also gone to the table of contents and looked under Staffing Scenarios.

**STAFFING SCENARIOS - ICE FILES**

There are currently five different types of staffings for files located within the ICE function. The NFTS screen print should be pasted to the second page of the staffing letter.

**OPLA** – Staffing sheets are to be used for files that are located in the following office sections. Choose the FCO where the file is located, such as OPLA-BOS.

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

– Staffing sheets are to be used for files that are located in the following office sections. Choose the FCO where the file is located, such as DRO-DEN.

Office Section	Acronym
Detention & Removal	DENTENT, D&R, DET, DRO, DD&P
Criminal Alien Program	CAP
Deportation Officer Assistant/Clerk	DO, SDDO
Bond Control Spec.	
Immigration Enforcement	IEA
Field District Office	FDO (Washington DC) (DRO-WAS)
Admin Program Office	
Non-Detained or Detained	
Processing Center	OC-Crime Center
Detention Facility name	ie., Gray Mesa, Kuome
Post-Release Care	PRC

Results:

- OPLA/DRO/54C) CTS – used for all c
- the drop down box to select the off c
- as DRO-DEA, Office Section Acrony
- DET, DRO, USCP Criminal Alien Prog
- DRO-WAS) Admin Program Office
- action drop down menu, FPS will au
- on drop-down menu need 'Refined'
- the drop-down menu for 'Category.'

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Go to the “Tasks” tab and click on “Create File Request.”

Make sure the button marked “Customize Letter” is selected. The file is not missing or lost, so we won’t check that box. We know the file is at DRO Seattle, so we will scroll down “Staff Request To” until we find it.

### 12.1.1.12 FIPS – Staffing Request dialog box

We will scroll down the DRO list until we get to SEA, select it and then click Request File:

Processing Fee Information

A-Number: 012345678 ☐ EDMS

**Staff Request To** **Generate Staffing Sheet**

☐ No Staffing Letter  
☒ Customize Letter  
☐ File Missing/Lost

DRO - POM  
 DRO - POO  
 DRO - PRO  
 DRO - REN Reno  
 DRO - SAC Sacramento  
 DRO - S&J San Juan PR  
 DRO - SFR San Francisco

**Request To Staff**

**Location Address** **Office Contact**

DRO - SEA Seattle  
 Deportation Asst.  
 206-833-0061

Name: Sandy Wong  
 Email:  
 CC Email:

**Request File** **Cancel**

Contents	Discussions	Case Actions	History
Task	Status		
Search for Duplicate Cases	Incomplete		
Create Additional Cases	Not Started		
Create File Request	Not Started		
Acknowledgement Letter	Not Started		
Final Action Letter	Not Started		
Specialty Letter	Not Started		
Status Letter	Not Started		
Blank Letter	Not Started		
Interest Letter	Not Started		
Expedited Denial Letter	Not Started		

Records Locator	Case Processor	Case Approver	Unit Chief	Up-front Approver	Pend	Reassign Office	Sen
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Updated on 3/2/2012

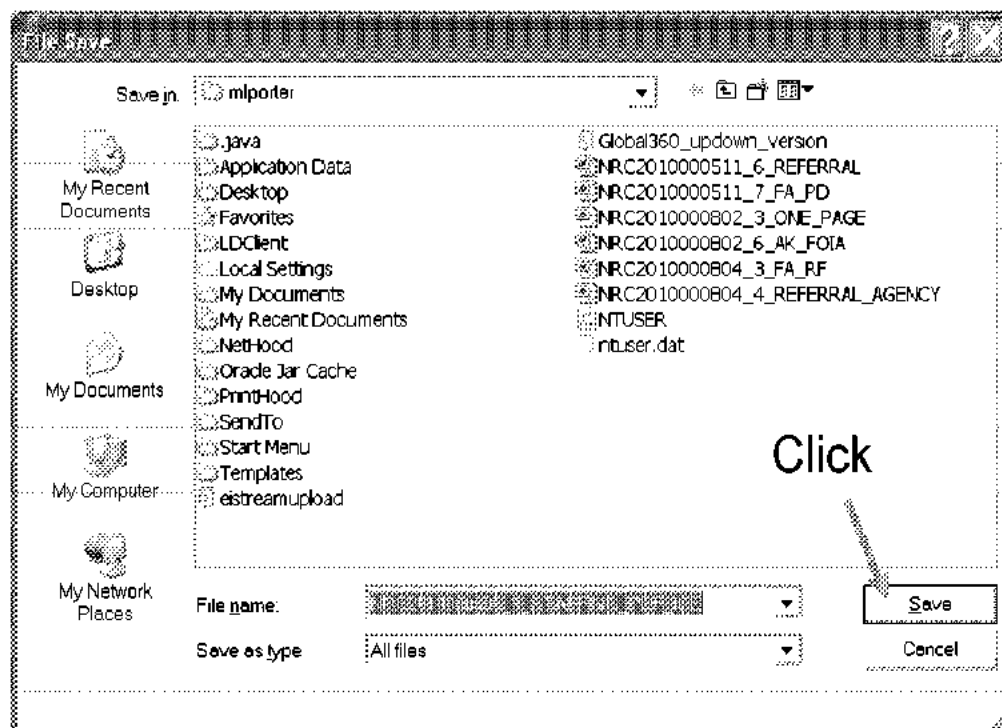
### 12.1.1.13 Create the customized staffing letter

After that, we get a message that says “Successfully generated letter Staffing Letter – ICE PDF.” Click OK and then move to the “Contents” tab. Click on the Staffing Letter and select “Edit (Check Out).”

Tasks		Discussions	Case Actions	History		
Document Type	Seq.	Pages	Status	Resp Unit	A-Number	Date
 Responsive Records	5		Pending	DRO - SEA Seattle	012345678	12/3/2010 8:28:17 AM
 Staffing Response	4		Pending	DRO - SEA Seattle	012345678	12/3/2010 8:28:17 AM
 Staffing Letter - ICE PDF	3		Editing	DRO - SEA Seattle	012345678	12/3/2010 8:28:17 AM
View	2	4	Scanned			11/5/2010 8:32:47 AM
Edit (Check Out)	1	2	Scanned			11/5/2010 8:32:45 AM
Manage Document						
Reserve (Lock)						
Download File						
Send to Print Queue						
Cancel Letter						

Records Locator	Case Processor	Case Approver	Unit Chief	Up-front Approver	Pend	Reassign Office	Send
-----------------	----------------	---------------	------------	-------------------	------	-----------------	------


Page 1 of 2 80.5% Viewing version: 1



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


File Edit View Insert Format Tools Table Window Help  
Normal Times New Roman 11 100%

U.S. Department of Homeland Security  
National Records Center  
P.O. Box 648010  
Lee's Summit, MO 64064-8010

 U.S. Citizenship and Immigration Services

December 3, 2010 NRC2010000806

MEMORANDUM FOR:  
DRO - SEA Seattle  
Deportation Asst.

(b)(6) 

ATTN: Bony Wong

FROM: NRC FOIA/PA

SUBJECT: Freedom of Information/Privacy Act Request NRC2010000806  
Alien # 012345678  
Subject Name: Chris P. Bacon

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

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

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

Page 1 Sec 1 1/2 At 4" Ln 23 Col 19 English (U.S.)

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Updated on 3/2/2012

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.

Normal Times New Roman 11 100%

1 2 3 4 5 6

Attached is additional information to be used to reply to the requester

Attached is our justification for withholding any responsive material.

The following records system number/title was searched

System	Results	
	Positive	Negative

I certify that I am responsible for the search of records conducted in my office encompassed by this request and the attached records were the only such documents located in response to this request.

Signature \_\_\_\_\_ Date \_\_\_\_\_

Printed/Typed Name \_\_\_\_\_

Title \_\_\_\_\_

Telephone # \_\_\_\_\_

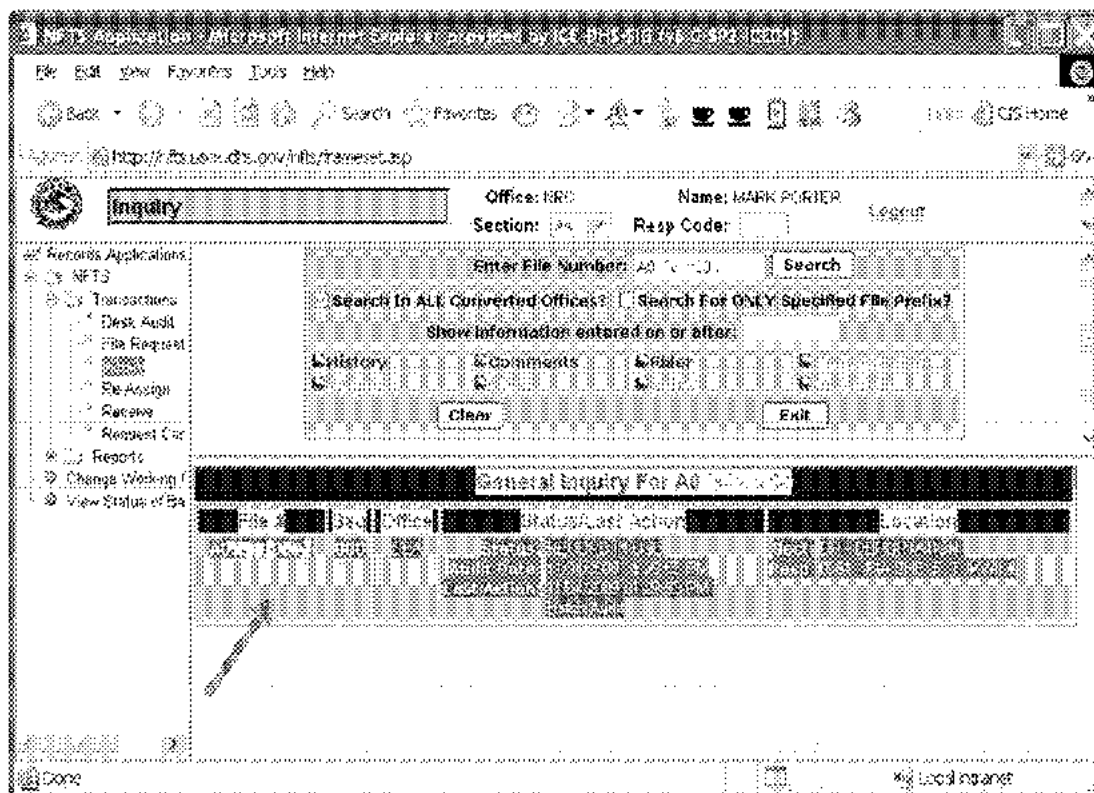
Attachment(s) \_\_\_\_\_

16102838

Page 2 Sec 1 2/2 At B' Ln 42 Col 1 English (U.S.)

#### 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.



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

Microsoft Word

File Edit Format Tools Window Help

Positive Negative

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

I certify that I am responsible for the search of records conducted in my office encompassed by this request and the attached records were the only such documents located in response to this request.

Signature \_\_\_\_\_ Date \_\_\_\_\_

Printed/Typed Name \_\_\_\_\_

Title \_\_\_\_\_

Telephone # \_\_\_\_\_

Attachment(s)

General Inquiry For AUSA [redacted]					
#	Seq	Office	Status	Action	Location
1	000	000	000	000	000
		Status:	SEARCHED INDEXED		Serial:
		Auth Date:	10/02/00 10:00:00		Resp:
		Last Action:	10/02/00 10:00:00		DATA: 00000000 000000
			Exec: 0000		

10/02/00 10:00:00

request and the attached records were the only such documents located in response to this request.

Signature \_\_\_\_\_ Date \_\_\_\_\_

Printed/Typed Name \_\_\_\_\_

Title \_\_\_\_\_

Telephone # \_\_\_\_\_

Attachment(s) \_\_\_\_\_

General Inquiry For All Records		Location	
#	Seq/Office	Status/Last Action	
1	000 004	SEARCHED	DDI/DEPT/STATION
2		INDEXED	DDI/DEPT/STATION
3		FILED	DDI/DEPT/STATION
4		RECEIVED	DDI/DEPT/STATION
5		RECEIVED	DDI/DEPT/STATION
6		RECEIVED	DDI/DEPT/STATION
7		RECEIVED	DDI/DEPT/STATION
8		RECEIVED	DDI/DEPT/STATION
9		RECEIVED	DDI/DEPT/STATION
10		RECEIVED	DDI/DEPT/STATION
11		RECEIVED	DDI/DEPT/STATION
12		RECEIVED	DDI/DEPT/STATION
13		RECEIVED	DDI/DEPT/STATION
14		RECEIVED	DDI/DEPT/STATION
15		RECEIVED	DDI/DEPT/STATION
16		RECEIVED	DDI/DEPT/STATION
17		RECEIVED	DDI/DEPT/STATION
18		RECEIVED	DDI/DEPT/STATION
19		RECEIVED	DDI/DEPT/STATION
20		RECEIVED	DDI/DEPT/STATION
21		RECEIVED	DDI/DEPT/STATION
22		RECEIVED	DDI/DEPT/STATION
23		RECEIVED	DDI/DEPT/STATION
24		RECEIVED	DDI/DEPT/STATION
25		RECEIVED	DDI/DEPT/STATION
26		RECEIVED	DDI/DEPT/STATION
27		RECEIVED	DDI/DEPT/STATION
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37		RECEIVED	DDI/DEPT/STATION
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41		RECEIVED	DDI/DEPT/STATION
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43		RECEIVED	DDI/DEPT/STATION
44		RECEIVED	DDI/DEPT/STATION
45		RECEIVED	DDI/DEPT/STATION
46		RECEIVED	DDI/DEPT/STATION
47		RECEIVED	DDI/DEPT/STATION
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50		RECEIVED	DDI/DEPT/STATION
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54		RECEIVED	DDI/DEPT/STATION
55		RECEIVED	DDI/DEPT/STATION
56		RECEIVED	DDI/DEPT/STATION
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67		RECEIVED	DDI/DEPT/STATION
68		RECEIVED	DDI/DEPT/STATION
69		RECEIVED	DDI/DEPT/STATION
70		RECEIVED	DDI/DEPT/STATION
71		RECEIVED	DDI/DEPT/STATION
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80		RECEIVED	DDI/DEPT/STATION
81		RECEIVED	DDI/DEPT/STATION
82		RECEIVED	DDI/DEPT/STATION
83		RECEIVED	DDI/DEPT/STATION
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86		RECEIVED	DDI/DEPT/STATION
87		RECEIVED	DDI/DEPT/STATION
88		RECEIVED	DDI/DEPT/STATION
89		RECEIVED	DDI/DEPT/STATION
90		RECEIVED	DDI/DEPT/STATION
91		RECEIVED	DDI/DEPT/STATION
92		RECEIVED	DDI/DEPT/STATION
93		RECEIVED	DDI/DEPT/STATION
94		RECEIVED	DDI/DEPT/STATION
95		RECEIVED	DDI/DEPT/STATION
96		RECEIVED	DDI/DEPT/STATION
97		RECEIVED	DDI/DEPT/STATION
98		RECEIVED	DDI/DEPT/STATION
99		RECEIVED	DDI/DEPT/STATION
100		RECEIVED	DDI/DEPT/STATION



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

The screenshot shows a Microsoft Word document with a form titled "General Inquiry For AC7 (UIC)". The form is structured as follows:

File #	Seq	Office	Sect	Location
000	000	SEA	DP - DEPORTATION	
Result: NOCLERASTEE EUNWU				

Below the table, the status bar indicates: Page 2, Sec 1, 1/2, At 9.7", Ln: 40, Col 1, and End of U.S. The document is titled "FIS ACB - FIS Maritime Page: 100%".

Finally, we exit and save our work. We have successfully staffed for the A-file. The next thing we have to do is check the staffing letter back in.

File Edit View Insert Format Tools Table Window Help

Normal Times New Roman 11

Attached is additional information to be used to reply to the requester

Attached is our justification for withholding any responsive material

The following records system number/title was search:

System	Results	
	Positive	Negative

I certify that I am responsible for the search of records indicated in my request and the attached information.

Signature \_\_\_\_\_

Printed/Typed Name \_\_\_\_\_

Title \_\_\_\_\_

Telephone # \_\_\_\_\_

Attachments(s)

General Inquiry For A-File			
File #	Seq	Office	Location
AC 100 000	SEA	Sect: DP - DEPORTATION	
		Resp: 0064 - BIA SHELF TUKWILA	

Do you want to save the changes to NRC2010000806\_3\_STAFFING\_PDF\_ICE?

Yes No Cancel

General Inquiry For A-File

AC 100 000

### 12.1.1.15 Save changes and check it back in

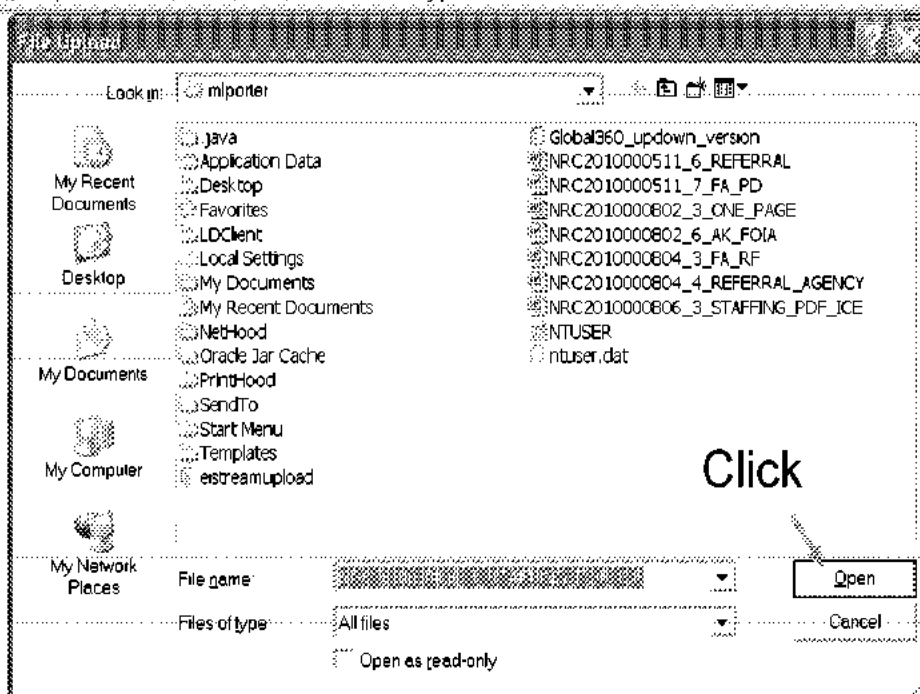
The screenshot shows a web application interface with a table of documents and a context menu.

Document Type	Seq.	Pages	Status	Resp Unit	A-Number	Date
<input type="checkbox"/> Responsive Records	5		Pending	DRO - SEA Seattle	012345678	12/3/2010 8:28:17 AM
<input type="checkbox"/> Staffing Response	4		Pending	DRO - SEA Seattle	012345678	12/3/2010 8:28:17 AM
<input type="checkbox"/> Staffing Letter - ICE PDF	3		Entered	DRO - SEA Seattle		12/3/2010 8:28:17 AM
View	2	4	Scanned			11/5/2010 8:32:47 AM
Edit	1	2	Scanned			11/5/2010 8:32:45 AM

A context menu is open over the 'Staffing Letter - ICE PDF' row, showing options: View, Edit, Manage Document, **Save Changes (Check In)**, Discard, Save Changes (Check In), Send to Print Queue, and Cancel Letter.

Below the table is a navigation bar with buttons: Records Locator, Case Processor, Case Approver, Unit Chief, Up-front Approver, Pend, Reassign Office, and Send.

The URL in the address bar is: <http://z02apcnrc22:7001/sonora/forms/CheckInFilestore.jsp?docId=5065>



After this, send the case to "Pend."

### 12.1.2 Two or more A-numbers

**Multiple unconsolidated A-numbers** - If the requester has provided more than one A-number, you must research CIS for each A-number to determine if they relate to the subject. If the subject has multiple A-numbers, you will create one case and do multiple staffings. When you are required to request two or more unconsolidated A-files, the individual file request must

include the words “**MULTIPLE STAFFINGS**” at the top of each sheet. Do not confuse this with the subject of the file having an “A” file and a “T” file. The alien numbers must refer to different unconsolidated A-files and relate to the subject of the request if you are to mark it “**MULTIPLE STAFFINGS.**”

**Important note:** If one of the files you are requesting is located at RAFACS/CIS, FRC or one of the Service Centers, request those alien numbers first. These locations produce the file faster than other offices. MSB will not know to pull the staffing letters for follow-up unless you noted “Multiple Staffing” on the sheet.

If the alien has multiple unconsolidated A-numbers and the files are both located at the NRC, please add them to the spreadsheet that Records Operations maintains at S:\Record\_Ops\Files\_to\_Consolidate.xls. You are responsible for entering the alien numbers of the files that may possibly need consolidation. Records Operations will review the files and consolidate if necessary. If both files are not at NRC, do not add the information to the spreadsheet.

### ***12.1.3 Consolidated A-numbers***

If the alien has a consolidated A-number, then please enter only the lead (or surviving) A-number on the worksheet in FIPS and request that file. Consolidated A-numbers are reflected in CIS on the 9101 screen, under the section titled “Consolidated A-Nos”. The A-number listed first is the primary A-number; the other A-numbers listed below the primary have been consolidated into the primary number.

Note: please do not add consolidated A-numbers to the “files to consolidate” spreadsheet.

## 12.2 Border crossing card number

If the alien number provided by the requester is an 80,000,000 through 86,899,999 series number, it is a Border Crossing Card number. Even though you can research this number in CIS, there is no physical A-file associated with these types of numbers. You will need to research CIS and CLAIMS to see if there are any other A-files/receipt files associated with this alien.

Previously during the Case Create process, if a requester/subject provided a Border Crossing Card Number and all of the required PII (except an A-Number), we asked the requester/subject to provide additional information (Alien or receipt number, copies of documents from the service, etc.). We used this information to determine if the subject had an A-File. We would find the A-file only in very rare instances.

We no longer request additional information if the requester/subject provides all of the required PII (except an A-Number). Since Border Crossing Cards are strictly electronic records (no actual file), we will have the Border Crossing Card screen prints scanned into a RAFACS slot.

Use the Border Crossing Card Number provided; search and print CIS screens 9101, 9101-history (F8), 9222 and 9223. Open a RAFACS staffing slot. Make sure "Customize Letter" is selected. Prepare the screen prints for scanning into this slot as responsive records. Pend the case for responsive records. Please attach a "Scan As" sheet and mark it as "responsive records" with the screen prints to be scanned. The case will be sent to the processor after screen prints are scanned in. Create it as a Track 1 case.

Note: Alien numbers from 86,900,000 through 87,999,999 are not Border Crossing Card Numbers; they are general alien numbers and have corresponding A-files.

## 12.3 EAD numbers (100,000,000 through 149,999,999)

If the alien number provided by the requester is 100,000,000 through 149,999,999, it is an EAD (Employment Authorization Document) card number. There is no physical A-file associated with EAD numbers, even though they can be researched in CIS. You will have to research CLAIMS to locate the receipt number that corresponds with the EAD number, and then request that receipt number. Please refer to the section titled *Staffing Scenarios – Receipt Files* for additional information.

## 12.4 New alien numbers (300,300,000 through 300,322,501)

As of June 2009, the range of numbers 300,300,000 through 300,322,501 are being used as general A-file numbers.

## 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 **NOT** 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 **RPC codes XX, XY, ZG, ZY, or ZZ**. 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

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Updated on 3/2/2012

### 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.

The screenshot displays the 'General Inquiry' screen for a file. At the top, there is a search bar with '16102838' entered and a 'Search' button. Below this, a banner reads 'DIGITIZED ON 06/20/07'. The main section is titled 'General Inquiry For A/R' and contains a table with columns: 'File #', 'Seq', 'Date', 'Status/Act Action', and 'Location'. The table lists several records, including one with 'File # 16102838' and 'Seq 1'.

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.

Enter File Number: 0000 Search

Search in All Converted Offices? Search For ONLY Specified File Profile?

Show Information entered on or after:

Category: A/C: Records: L: A/Status: A/Last Action:

Display: ON 06/30/2008 01:13:20 AM

Clear Exit

File #	Seq	Office	Status/Last Action	Location
A09504	000	000	Status: A09504 Last Action: 06/20/2008 11:13:20 AM	Sect: RC - RECORDS SECTION Resp: 1000 - RECORDS SECTION
A09505	000	000	Status: A09505 Last Action: 06/20/2008 11:13:20 AM	Sect: RC - RECORDS SECTION Resp: 1000 - RECORDS SECTION
A09506	000	000	Status: A09506 Last Action: 06/20/2008 11:13:20 AM	Sect: RC - RECORDS SECTION Resp: 1000 - RECORDS SECTION
A09507	001	000	Status: A09507 Last Action: 06/20/2008 11:13:20 AM	Sect: RC - RECORDS SECTION Resp: 1000 - RECORDS SECTION

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.

NFTS Application - Microsoft Internet Explorer provided by

File Edit View Favorites Tools Help

Back Forward Stop Search Favorites Media

Address http://nfts.uscis.dhs.gov/nfts/frameset.asp Go Links

File #	Seq	Office	Status/Last Action	Location
A0917	000	000	Status: LOST FILE Last Action: 11/18/2004 12:56:50 PM Last File	Sect: RC - RECORDS SECTION Resp: 1000 - LOST FILE

Done Local intranet



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.

The screenshot shows a terminal window titled "CIS-9504" with a menu bar (File, Edit, Session, Transfer, Program, Options, Window, Help) and a toolbar. The main display area contains the following text:

```
INFITD      IMMIGRATION AND NATURALIZATION SERVICE      05/30/05
CONHAND:    CIS - FILE TRANSFER DISPLAY (FTD)           09:15:36

A#: 0937     NAME:                                     , GLORIA      DOB: 040919

PREVIOUS FCO: MRC                                FCO CREATING SUB-FILE:
CURRENT FCO:  SND                                SUB-FILE CREATION IND:
REQUEST FCO:  SND

FILE LOCATED IND: N (NOT FOUND)

DATE FTR: 04122002 (MMDDYYYY)      ACCESSION NUMBER: 0000
DATE FTI: 04152002                  INS BOX NUMBER:
DATE FTC: 04162002

PERSON/ACTION: CHU/BP                REQUEST NUMBER:
                                      2ND REQUEST DATE:
                                      3RD REQUEST DATE:

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

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

An arrow points to the text "FILE LOCATED IND: N (NOT FOUND)".

3270

NUM CTR

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”.

FIPS v7.0 Training build 06
Work Queries
Actions
Standalone Search

Processing
Fee Information

A-Number
041712345
EDMS

**Staff Request To**

FRAUD DETECTION AND NATIONAL SECURITY

FRC

HSC

HEL NON A-FILE MATERIAL

ICE

INP

**041712345**

MIL

**Generate Staffing Sheet**

☐ No Staffing Letter  
☐ Customize Letter  
☒ File Missing/Lost

1. Check File Missing/Lost

2. Select Lost File at FCO:

3. Click Request File

4. Modify the letter

**Location Address**

Lost File at FCO:

**Office Contact**

Name

Email

Cell Email

Contents
Discussions
Case Actions
History

Task	Status
Search For Duplicate Cases	Completed
Create Additional Cases	Not Started
Create File Request	Not Started
Acknowledgement Letter	Not Started
Final Action Letter	Not Started
Specialty Letter	Not Started
Status Letter	Not Started
Blank Letter	Not Started
Interest Letter	Not Started
Expedited Denial Letter	Not Started

Records Locator
Case Processor
Case Approver
Link Case
Up-front Approver
Perm
Reassign Office
Se

Page 1 of 2 - 80% - Viewing version: 1

Microsoft Word - IS TO JAIL YOU TO STAY...docx

File Edit View Insert Format Tools Table Window Help

Normal Times New Roman 11 75%

1 2 3 4 5 6 7

1 2 3 4 5 6 7 8 9 10

**Staffed to: Lost File at FCO: SND**  
**CIRCULAR / SPECIAL / LOST FILE SEARCH REQUEST**

Office Code: NRC Control Number: NRC2010000808 Date: December 6, 2010

Alien Number: 091712345 Subject: Gloria Diaz Hernandez

General Inquiry For A0917			
File #	Sec Office	Status/As: Action	Location
A0917	004	Status: LOST FILE	Location: SMC 004-004-004-004
Last Action: 11/10/2010 12:30 PM Resp: LOST FILE			

The attached FOIA/PA request is forwarded to your office for action. As a result of the attached system search, we request that you conduct a circular / special / lost file search for the subject records

Please certify by your signature and date that the lost / missing / not found record has been placed on the circular / special / lost file search list and its location is actively being sought or that the file has been found. This file

\_\_\_\_\_ is on the circular / special / lost file search list,  
 \_\_\_\_\_ is attached  
 \_\_\_\_\_ could not be located.

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

Signature \_\_\_\_\_ Date \_\_\_\_\_


WMA00000000

11/10/2010 12:30 PM

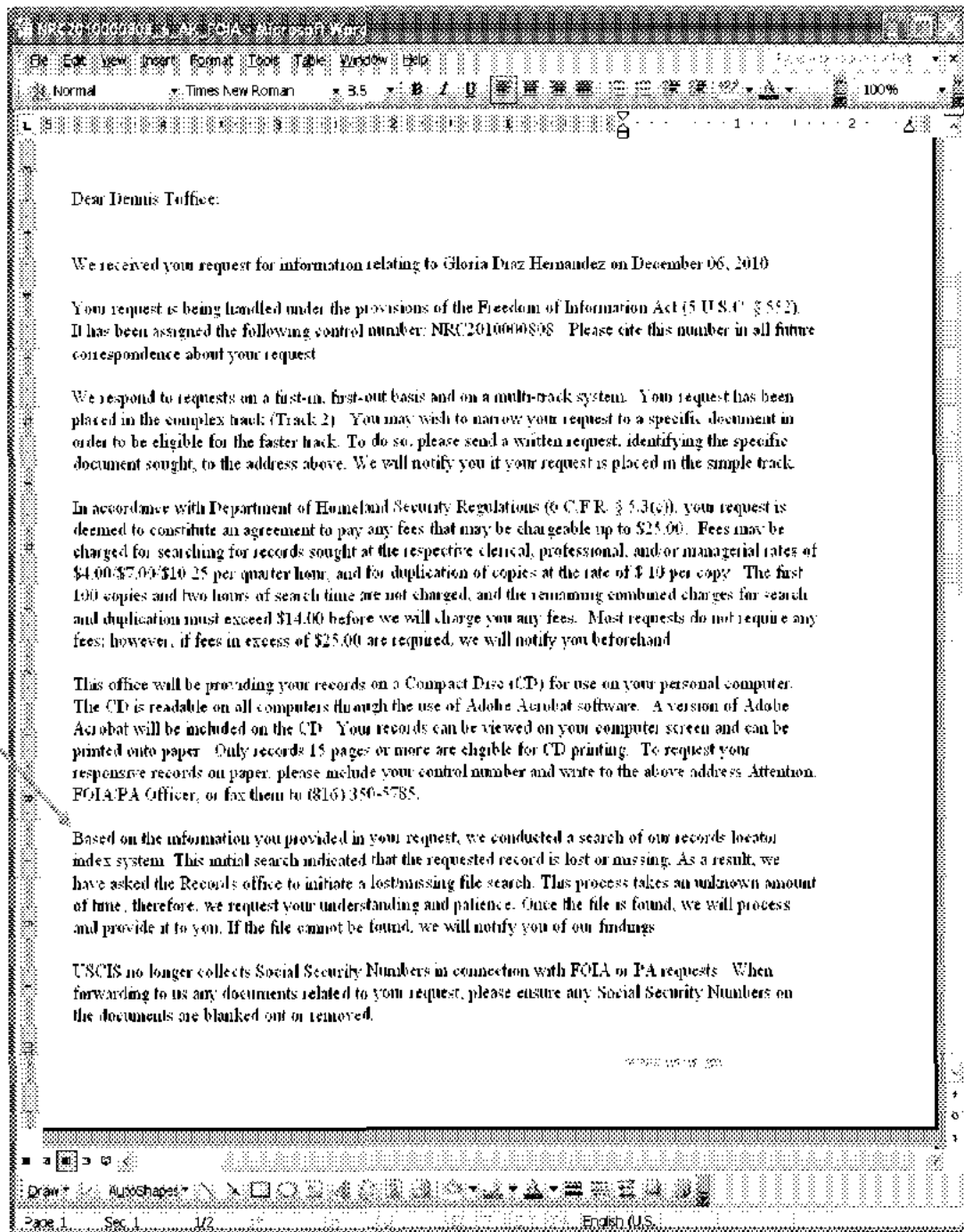
Draw AutoShapes

Page 1 Sec 1 1/1 At 2" Ln 21 Col 1 English (U.S.)

Generate the acknowledgement letter.

Processing Fee Information	
<b>Acknowledgement Letter Options</b>	<b>Additional Documents Required</b>
Fee Estimate <input type="text"/> Prepayment Required <input type="text"/> <input type="checkbox"/> Advance Payment Returned <input checked="" type="checkbox"/> Add Lost File Paragraph <input type="checkbox"/> Add Track 3 Denial Paragraph	<input type="checkbox"/> Other Requester Documentation
<div style="display: flex; justify-content: space-between;"> <div>           1. Click Add Lost File Paragraph            2. Click Generate Letter         </div> <div style="text-align: center;">  </div> </div>	
<b>Additional Options</b> No options found.	
<input type="button" value="Generate Letter"/> <input type="button" value="Cancel"/>	

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



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.)

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. **if** the file has been marked as lost for more than nine months
- b. **and** there is no recent activity in CLAIMS (within last 2 years) or PCQS,
- c. **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.

12.7.3.9      **If the A-file is lost but other records exist** (such as receipt files we would normally request or other a-files, including T-Files, wherever they may be, including NRC) Request the additional records. Put in a Discussion that reads:

A-file number XXXXXXXXXX is currently showing as lost. Staffed for the following additional files: XXXXXXXX, XXXXXXXX, XXXXXXXX. Once they are received, please review. Please also verify that the original a-file is still lost. If the original a-file has been consolidated in fact but not in the systems, please process and send your case to approver. Also send an e-mail to the MSB for resolution. Include both a-numbers. If no documents exist from the original a-file, please process what is available. Advise the requester that the original a-file is lost. Your case will close as a PD even if no redactions are made. Thank you.

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

## **LOST FILE WORKSHEET**

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

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

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

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

1. Search CIS for potential second a-number and/or consolidation
  - a. Second a-number? \_\_\_\_\_
  - b. Any T-files? Yes \_\_\_\_\_ No \_\_\_\_\_
    - i. If yes, have they been staffed and scanned? If not, please do so now.
  - c. Consolidated with? \_\_\_\_\_
  - d. Does the EOIR screen show an upcoming hearing date?  
  
Yes\_\_\_\_ No \_\_\_\_\_
2. Check CLAIMS for petition/applications
  - a. Were any found? Yes \_\_\_\_\_ No \_\_\_\_\_
  - b. If so, either provide screen prints with receipt number or list below

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

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

NOTES:



## 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 after 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 NO RECORDS. It is important that you provide as much information as

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Updated on 3/2/2012

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:

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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 PCQS and located no Records.

### FOIA/PA RECORDS ACTION REQUESTED

<input checked="" type="checkbox"/> All Files	<input type="checkbox"/> C-File	<input type="checkbox"/> AR-Print
<input type="checkbox"/> Alien File	<input type="checkbox"/> Visa File	<input type="checkbox"/> Non-Existence of Record
<input type="checkbox"/> Certify True Copy	<input type="checkbox"/>	

FOIA Remarks:

---

## RECORDS

---

### SYSTEMS CHECKED

Searcher:

<input type="checkbox"/> FLEX	<input type="checkbox"/> MiDAS	<input type="checkbox"/> MI
<input type="checkbox"/> CIS	<input type="checkbox"/> EARMs	<input type="checkbox"/> NIIS
<input type="checkbox"/> CLAIMS	<input type="checkbox"/> NIDC	<input type="checkbox"/> Other

### Search Section

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

I certify that this office conducted a thorough search of Index Systems and no record of the subject was found.

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

---

### Alien Files/ Naturalization Files Section

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

I certify that this office conducted a thorough search in the Alien Files/Naturalization Section and no record of the subject was found.

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

### Records Remarks:

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Updated on 3/2/2012

**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



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.

### 12.7.7 A-number in CIS but not in NFTS

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.

<u>Office Section</u>	<u>Acronym</u>
<b>Trial Attorney's Office</b>	<b>TA</b>
<b>Chief Counsel</b>	
<b>Litigation</b>	<b>LI or LIT</b>
<b>Legal Section</b>	<b>LS</b>
<b>District Counsel</b>	<b>DC</b>

DRO 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.

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

SAC 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.

<u>Office Section</u>	<u>Acronym</u>
<b>Investigations</b>	<b>INV, IV</b>

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. **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, 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.

### **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, [REDACTED], 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, PCQS and NFTS thoroughly. Ensure the receipt file has not been consolidated into a T-file or into an A-file. Please request the A-file or T-file if the receipt file has been consolidated. Check CLAIMS to be sure that the Service did not reject the receipt. Receipts that are shown as rejected in CLAIMS are returned to the submitter by the Service Center. Print the CLAIMS screen(s) that shows the receipt was rejected by the service. Create a File Request to RAFACS (not RAFACS/CIS). Leave the "Customize Letter" button selected. Attach a "Scan As" cover sheet to the screen prints, mark the box "Responsive Records" and take to person designated to scan RAFACS-only responsive records. Pend the case.

If there is no location information in NFTS, and if NVC does not have the receipt, but there is a record in PCQS, print any PCQS screen(s) concerning the petition. Create a File Request to RAFACS (not RAFACS/CIS). Leave the "Customize Letter" button selected. Attach a "Scan As" cover sheet to the screen prints, mark the box "Responsive Records" and take to person designated to scan RAFACS-only responsive records. Pend the case.

**12.7.12.4** 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

The screenshot displays a mainframe terminal window titled "CLAIMS MAINFRAME SYSTEM". The window includes a menu bar with options: File, Edit, Session, Transfer, Program, Options, Window, and Help. Below the menu is a toolbar with various icons. The main display area shows the following text:

```
FSXMRPT2          CLAIMS MAINFRAME SYSTEM          01/27/2011
                  ARCHIVED RECEIPT REQUEST          09:35
                                                    CDW6768C
```

RECEIPT NUMBER ~~WACB7211001~~ HAS BEEN ARCHIVED

TO RECEIVE AN OVERNIGHT DETAIL REPORT  
SELECT 'Y' BELOW

GENERATE REPORT - (YES OR NO):

PF7 CANCEL PF8 MAIN MENU PF9 LOGOFF

3770

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 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 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 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.

#### ***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.

FIPS v7.0 Training build 06      Work Queries      Actions      Standalone Search

Processing      File Information

A-Number

No A-Number entered

EDMS

Click

Staff Request To      Generate Staffing Sheet

CIS

Contracting Office

RAFACS/CIS

RAFACS

RECORDS ALIEN FILE

RECORDS INDEXING

RECORDS NATURALIZATION FILE

No Staffing Letter

Customize Letter

File Missing/Lost

Location Address      Office Contact

RAFACS

Name

Email

CC Email

Request File      Cancel

Contents      Discussions      Case Actions      History

Task	Status
Search For Duplicate Cases	Completed
Create Additional Cases	Not Started
Create File Request	Not Started
Acknowledgement Letter	Not Started
Final Action Letter	Not Started
Specialty Letter	Not Started
Status Letter	Not Started
Blank Letter	Not Started
Interest Letter	Not Started
Expedited Denial Letter	Not Started

Records Listbox      Case Processor      Case Approver      Unit Chief      Upfront Approver      Pending      Reassign Office

Page 1 of 2      00.0%      Viewing version 1

**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:**



### 13. 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:

FIPS v7.0 Training build 06      Work Queries      Actions

---

Processing      Fee Information

Office: NRC	NRC2010006656REQ	Status	Request Case Creator mlporter
Re: BLR	Scanned	Created	Perfected
11 CLP	11/05/2010		Final Action
CNT			

Request: 11/05/2010

Select the correct office

DLS  
GEN  
HQS  
NRC  
OBL

Porter  
ita Journal-Constitution  
Perimeter Center Parkway  
ita GA 30303

---

Subject information

First: \_\_\_\_\_ Middle: \_\_\_\_\_

A-Number: \_\_\_\_\_

Topic: H-1B Visas filed by OutSource Georgia, Inc., 2008 to present.

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

Next, click on "Reassign Office"

FIPS v7.0 Training build 06 Work Queues Actions Standard Search

Processing Fee Information

Office: **COW2010000341** Status: **Open Case Creator reporter** Web Entry

Received: **11/3/2010** Scanned: **11/5/2010** Created: **12/2/2010** Perfected:  Final Action:  Closed:  Final Reply Date: **12/31/2010**

**Requester Information**

**Rhea Porter**  
 Atlanta Journal-Constitution  
 225 Perimeter Center Parkway  
 Atlanta GA 30303

**1. Change Office** Edit Requester Change Requester

**Subject Information**

First:  Middle:  Last:

A-Number:

Topic: **4-15 Virus Bred by Outsource Georgia, Inc. 2009 to present.**

Track: **2** Bureau: **CRS** ☐ Print To CD

Type: **FOIA request** ☒ Expedited ☐ PA Cited

Source: **News Media** ☒ Not Requested ☐ In Litigation

Category: **Special Interest Group** ☒ Fee Waiver ☐ Not Requested ☐ In Computer Search

☐ Delinquent

Calculate Queue Position

**Save**

	Task	Discussions	Case Actions	History				
	Document Type		Seq.	Pages	Status	Resp Unit	A Number	Date
<input type="checkbox"/>	Duplicate Request Letter		3	2	Scanned			11/4/2010 2:30:08 PM
<input type="checkbox"/>	Request Supporting Documents		2	4	Scanned			11/5/2010 8:36:12 AM
<input type="checkbox"/>	Request Letter		1	2	Scanned			11/3/2010 8:36:09 AM

2. Click here

**Records Locator** **Case Processed** **Case Approved** **Unit Chief** **Supervisor Approver** **Reassign Office** **Don**

Page 1 of 2 80.5% Viewing version: 1.

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

## 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 REQUESTS: Return of original documents.

Processing	Fee Information
<b>Final Action Letter</b> DF: Duplicate ER: Created in Error FC: Requestor's failure to comply FI: Requestor's failure to ID records NB: Not applicable - certified copy NR: Non-possession of records OR: Old records RD: Redirected to another agency RF: Referred by a DHS Component UT: Unable to locate records WD: Request withdrawn	<b>Final Action Dependent Options</b> Records Needed Insert Clerk of Courts/National Archives paragraph Insert Women married to U.S. citizens paragraph  <b>Non-FOIA Operational Units</b> NIL Non-FOIA Offices Privacy Act Amendment Request REQUEST FOR FILE FROM A FOREIGN ECO Service Centers TRN FOIA/PA UNIT EWCF
<b>Reasons</b>	<b>Redirects/Referrals</b>
<input type="button" value="Submit"/> <input type="button" value="Reset"/> <input type="button" value="Cancel"/>	

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.



## **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.

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Updated on 3/2/2012

## 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 acknowledgement 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 acknowledgement letter differently.

Go to the “Tasks” tab and select “Acknowledgement Letter”

Contents	Discussions	Case Actions	History
<b>Task</b>		<b>Status</b>	
Search For Duplicate Cases		Completed	
Create Additional Cases		Not Started	
Create File Request		Completed	
<u>Acknowledgement Letter</u>		Not Started	
Final Action Letter		Not Started	
Specialty Letter		Not Started	
Status Letter		Not Started	
Blank Letter		Not Started	
Interest Letter		Not Started	
Expedited Denial Letter		Not Started	

Records Locator	Case Processor	Case Approver	Unit Chief	Up-Front Approver	Paid	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:

Case360 Home

FIPS v7.0 Training build 06    Work Queries    Actions    S

Processing    Fee Information

**Acknowledgement Letter Options**    **Additional Documents Required**

Fee Estimate:

Prepayment Required:

☐ Advance Payment Returned

☐ Add Lost File Paragraph

☐ Add Track 3 Denial Paragraph

☐ Other Requester Documentation

**Additional Options**

No options found.

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:

Case360 Home

FIPS v7.0 Training build 06    Work Queries    Actions    Standalone Search

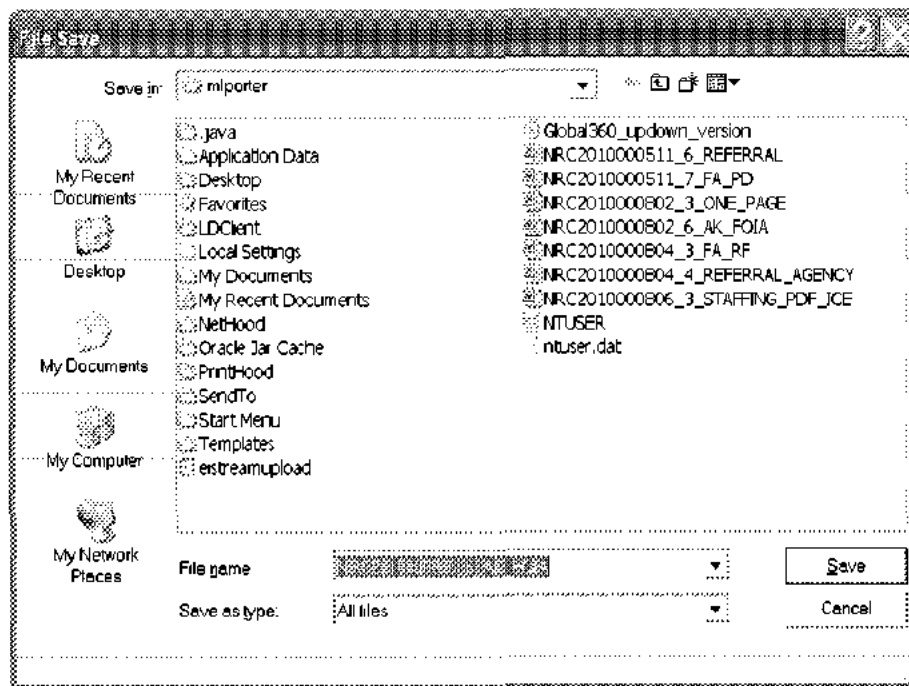
Processing    Fee Information

**Acknowledgement Letter-FOIA**

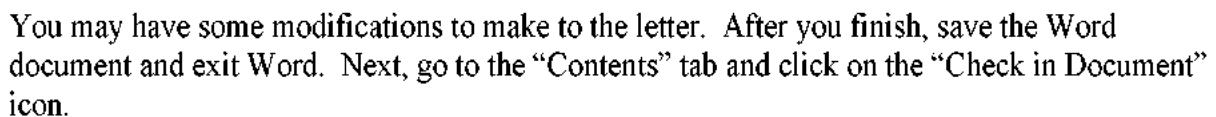
Successfully generated letter Acknowledgement Letter-FOIA.







Click on OK to continue.

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



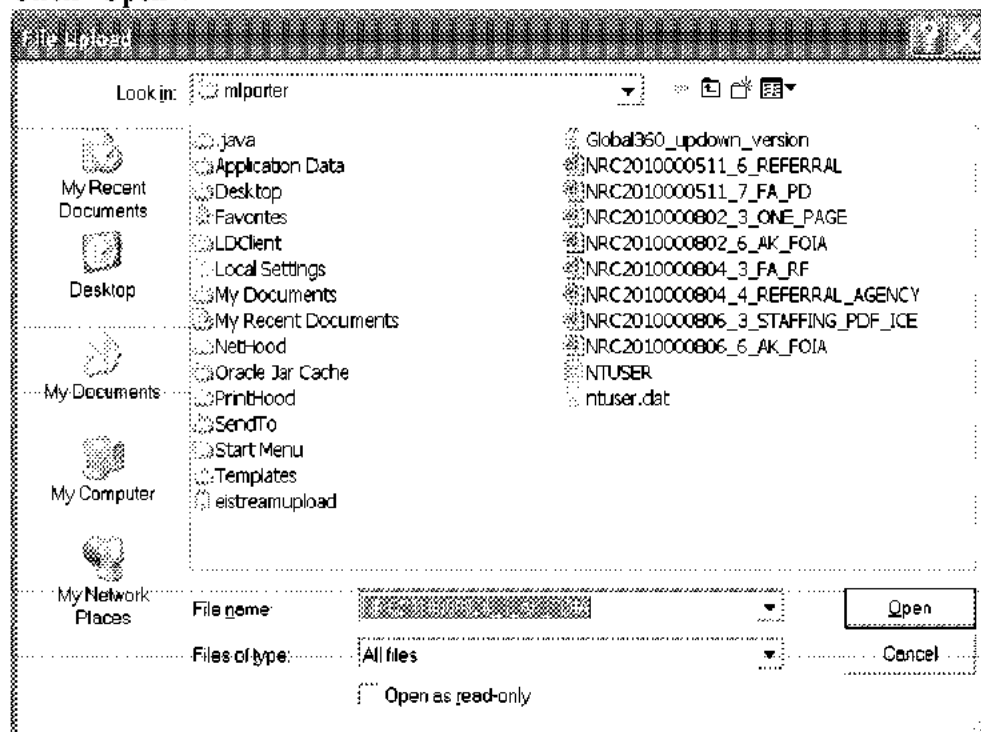
The acknowledgment letter will pop up:



Tasks		Discussions	Case Actions	History			
Document Type		Seq.	Pages	Status	Resp Unit	A Number	Date
	Acknowledgement Letter-FOIA	6		Editing			12/3/2010 10:14:14 AM
	Check In Document	5		Pending	DRO - SEA Seattle	012345678	12/3/2010 8:28:17 AM
	Staffing Response	4		Pending	DRO - SEA Seattle	012345678	12/3/2010 8:28:17 AM
	Staffing Letter - ICE PDF	3		Editing	DRO - SEA Seattle		12/3/2010 8:28:17 AM
	Request Supporting Documents	2	4	Scanned			11/5/2010 8:32:47 AM
	Request Letter	1	2	Scanned			11/5/2010 8:32:45 AM

Records Locator	Case Processor	Case Approver	Unit Chief	Up-front Approver	Pend	Reassign Office	Se
-----------------	----------------	---------------	------------	-------------------	------	-----------------	----

Click "Open":



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,

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 use 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:

**Search Case Research Queue**

Status

Control Number

Request Number

Created After

Office

Requester Last Name

Requester First Name

Requester Middle Name

Subject Last Name

Subject First Name

Subject Middle Name

A-Number

Topic

1. Enter the case number you are attaching the document to.


2. Click Submit

**Control Number Requester Requester A Last First Middle Topic**

**Last First Middle Topic**

**Name Name**

**Name Name Name**

 COW2010000341 Porter Rhea H-1B visas filed by OutSource, Inc.

3. Click List Pending Documents Icon

**Document Type Seq. Pages Status Responsive Unit A-Number Created Time Modified Time**

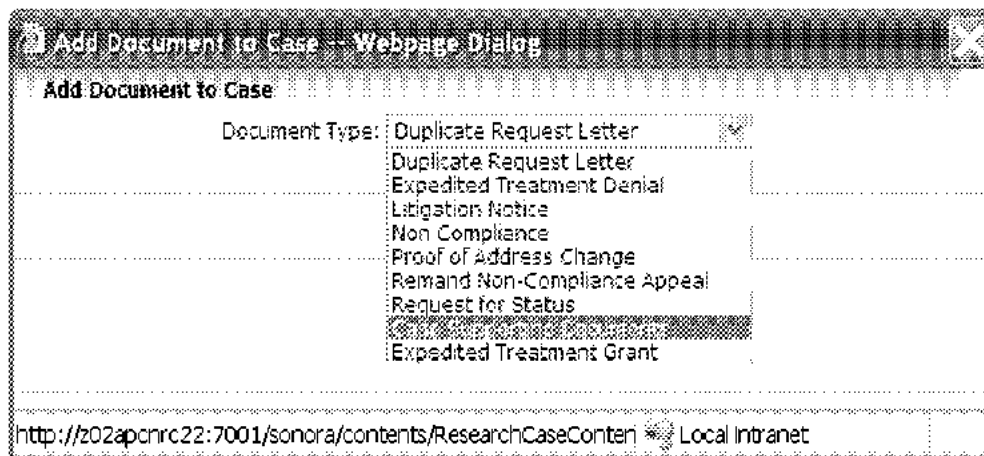
Total item(s) found: 0 of 0

4. Click Add Document to create a new CSD slot.

☐ Open next

[http://202apocrc22.2001/honora/Query?op=main&name=sQuery\\_PendingDocument&forCase=RESEARCHCASEFOLDERID=0&C](http://202apocrc22.2001/honora/Query?op=main&name=sQuery_PendingDocument&forCase=RESEARCHCASEFOLDERID=0&C)





## 21. TROUBLESHOOTING WORK FROM THE OA ROOM

The FOIA/PA Assistants assigned to the mail are responsible for picking up faxes and mail from the OA room and in the basket located next to the copier in the shared workroom each day. They are also 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 taking new requests, requester documentation, CSD's or responsive records to the OA room, completely fill out the "Scan As" sheet with the appropriate information and place the documents in the correct bin. Don't forget to provide your initials and the date.

## 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.

### 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.
- Whenever a requester's address changes, 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, NRCFOIAMS)

Send e-mails to the MSB mailbox when:

- An appeal is encountered in case create that was not previously addressed.
- An expedited treatment is encountered in case create or Records Locator 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 and Program mailboxes, your supervisor and Tracy Bellisime:

- 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

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.**

The Research Queue 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 and the action taken.

**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.

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Updated on 3/2/2012

### **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 "Save" 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**

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 after 90 days.

- B. If another address is found in the CSDs:

1. Research will send an email to OA to reprint. OA will update FIPS and the 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 envelope, then re-mail. Attach the copy of the CD to the original CD mailer and give to the OA Supervisor. File photocopy and keep for 90 days. Note the case with the following Discussion.

Title of Discussion: CD Returned for Additional Postage  
Body 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.

Make a photocopy and 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.

## 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. Scan all direct mail as Case Supporting Documents. Direct mail could consist of, but not limited to, any of the following:

- Change of Address (see Request for Change of Address)
- Status Request (see Status Letters)
- Withdrawal of Request (see Withdrawal of FOIA/PA Request)
- A request to change the scope of a FOIA request. The action required to change the scope of a request could involve changing the track of the case; depending upon the type of information/documents requested.
- Correspondence about delinquent payments (including checks)
- Responses to Track 3 denial or Expedited Treatment denial
- Responses to requests for additional information
- Requester asks for their record on paper

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.

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Updated on 3/2/2012

### ***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 FOIA/PA Assistant 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

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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 someone mails in a request 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 (also send an email to OA):

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](http://www.uscis.gov)).

On [www.uscis.gov](http://www.uscis.gov), enter the receipt number in the “Case Status” box on the top left.

The on line status check will indicate whether the request is still pending, or whether the case has been processed or closed within the last six months.

If the request is still pending, the online status check will indicate the position of the request relative to all pending USCIS requests in the same processing track. It also provides the date the request was received.



If the request was processed or closed within the last six months the requester will be given the date the request was closed. The system does not discern how the request was closed i.e. DP, G1, PD etc., however it does address cases closed for Failure to Comply.

If the control number entered is not recognized, the requester will be advised the number entered is invalid or the case was processed more than six months ago.

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. 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**

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

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## **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 Ohmell 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.
3. Attach the reprinted final action letter to the responsive records.

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4. Take the reprinted final action letter with the responsive records to the OA room to be mailed out.
5. Write the User ID Number of the person who created the final action letter in the upper right corner of the incorrect letter, and notate on the letter the corrections that you made. 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 post-it note and stick the post-it note to the top page to identify these as the incorrect letters.
7. Give the incorrect letters to the Team supervisors. The supervisors will give the incorrect final action letters to a FOIA supervisor daily for distribution and review.

### **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. 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

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- 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.

32.7.3 If you find a duplicate case, put a Discussion in both cases and advise NRC, FIPSPROBLEM mailbox with an e-mail and re-pend.

**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 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.

**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) close it as an Unperfected Request.**

**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 NRC, FIPS Problem mailbox and ask that the wrong records be removed.

**32.14.2 Did the requester ask for a copy of a petition they filed on behalf of a beneficiary?** If so, please close this as an FC with the Unperfected Request Letter which can be found at O:\Foia\FOIA LIBRARY\Case Create References\Case Create References\Unperfected Letter.

**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 reset to pending by the NRC, FIPS Problem 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 NRC, FIPS Problem 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 Receipt files: 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. REPENDING IN RECORDS LOCATOR QUEUE**

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, repond. Do NOT cancel the original file request or restaff 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) repond.

33.4 If a SIG case comes up for repending in Records Locator queue, please repond and notify NRC, FOIASIG 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 repond. If there are two separate staffings for files, then e-mail NRC, FOIAFILEREQ 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.

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, copy NRC,



FOIA PROGRAM, your supervisor and Tracy Bellissime. The e-mail should include the case number and the action you took.

### **35. 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 NRC, FIPSPROBLEM mailbox with the following information:

- The NRC control number of the case,
- The A number or Receipt Number of the records,
- The staffing sequence they are scanned into, and
- The number of pages scanned in.

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

[Click here for instructions](#) if you pull a case in Records Locator 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.~~

### **37. 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.

### **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, repond. **\*Do not cancel the staffing and re-staff 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.

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

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Updated on 3/2/2012

## **APPENDIX A: PHONE NUMBERS**

NRC/FOIA Fax: 816-350-5785, 5786, 5787

ILD Incoming Call Line: 816-350-5560

Human Resource Office: 816-350-5661

### CIS Forms:

By Phone: 1-800-870-3676

Website: [www.uscis.gov](http://www.uscis.gov)

National Customer Service: 1-800-375-5283

EOIR 800-898-7180

## **APPENDIX B: ADDRESSES**

### **MAILING ADDRESS OF NRC:**

PO Box 648010  
Lee's Summit, MO 64064-8010

### **PHYSICAL LOCATION OF NRC:**

150 Space Center Loop  
Lee's Summit, MO 64064

### **MAILING ADDRESS OF NBC:**

National Benefits Center  
PO Box 648005  
Lee's Summit, MO 64064

### **MAILING ADDRESS OF CBP:**

U.S. Customs and Border Protection  
FOIA Division  
799 9th Street NW, Mint Annex  
Washington, DC 20229-1177

### **MAILING ADDRESS OF ICE:**

Immigration and Customs Enforcement  
800 North Capitol Street, 5<sup>th</sup> Floor, Suite 585  
Washington, DC 20536

### **MAILING ADDRESS OF NATIONAL VISA CENTER:**

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

## **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)

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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)



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 – Rio de Janeiro (Brasil)  
RID – Riyadh (Saudi 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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## **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.

## **APPENDIX E: FORMS**

[www.uscis.gov](http://www.uscis.gov)

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

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



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

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

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

## **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
AVL	Asylum Virtual Library

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

CDSO	Collateral Duty Security/Safety Officer
CFR	Code of Federal Regulations
CIA	Central Intelligence Agency
CIO	Chief Information Officer
CIS	Central Index System
CLAIMS	Computer Linked Application Information Management Systems
CMHS	Center for Mental Health Services
COA	Class of Admission or Change of Address
COMSEC	Communications Security
CONUS	Continental United States
COOP	Continuity of Operations Plan
COTR	Contracting Officer Technical Representative
COW	Central Office Washington
CPA	Chief Patrol Agent
CPO	Chief Privacy Officer
CSAT	Computer Security Awareness Training
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

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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

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<b>FEGLI</b>	<b>Federal Employees Group Life Insurance</b>
<b>FEHB</b>	<b>Federal Employees Health Benefits</b>
<b>FEMA</b>	<b>Federal Emergency Management Agency</b>
<b>FHA</b>	<b>Federal Housing Administration</b>
<b>FIPS</b>	<b>Freedom of Information &amp; Privacy Act Processing System</b>
<b>FISMA</b>	<b>Federal Information Security Management Act</b>
<b>FLETC</b>	<b>Federal Law Enforcement Training Center</b>
<b>FMLA</b>	<b>Family Medical Leave Act</b>
<b>FOD</b>	<b>Field Office Director</b>
<b>FOH</b>	<b>Federal Occupational Health</b>
<b>FOIA</b>	<b>Freedom of Information Act</b>
<b>FOSC</b>	<b>Fugitive Operations Support Center</b>
<b>FOUO</b>	<b>For Official Use Only</b>
<b>FPS</b>	<b>Federal Protective Service</b>
<b>FRC</b>	<b>Federal Records Center</b>
<b>FSM</b>	<b>Field Security Manager</b>
<b>G-28</b>	<b>Notice of Entry of Appearance as Attorney or Representative</b>
<b>G-325</b>	<b>Biographic Information</b>
<b>G-325A</b>	<b>Biographic Information</b>
<b>G-639</b>	<b>Freedom of Information/Privacy Act Request</b>
<b>GAO</b>	<b>Government Accountability Office</b>
<b>GILS</b>	<b>Government Information Locator Service</b>

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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
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