| | |
|---|---|
| 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 |

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| | |
|---|---|
| II | Immigration Inspector |
| IIRIRA | Illegal Immigration Reform and Immigrant Responsibility Act of 1996 |
| IJ | Immigration Judge |
| IMMACT | Immigration Act of 1990 |
| INA | Immigration and Nationality Act |
| INS | Immigration and Naturalization Service (legacy) |
| INTCA | Immigration and Naturalization Technical Corrections Act of 1994 |
| 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 |

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| | |
|---|---|
| NCIC | National Crime Information Center |
| NCJRS | National Criminal Justice Reference Service |
| NFTS | National File Tracking System |
| NIIS | Non-immigrant Information System |
| NLETS | National Law Enforcement Telecommunications System |
| NLRB | National Labor Relations Board |
| NOID | Notice of Intent to Deny |
| NQP | Naturalization Quality Procedures |
| NRC | National Records Center / Nuclear Regulatory Commission |
| NSA | National Security Agency |
| NSC | Northern Service Center / National Security Council |
| NSI | National Security Information |
| NSRV | National Security Records and Verification |
| NTA | Notice to Appear |
| NWIRP | Northwest Immigrant Rights Project |
| OCC | Office of Chief Counsel |
| OCDETF | Organized Crime Drug Enforcement Task Force |
| OCIO | Office of the Chief Information Officer |
| OCSE | Office of Child Support Enforcement |
| OEM&S | Office of Emergency Management & Safety |
| OEP | Occupant Emergency Plan |
| OEPC | Office of Emergency Preparedness and Coordination |

| | |
|---|---|
| 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 |

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| | |
|---|---|
| SAVE | Systematic Alien Verification for Entitlement |
| SAW | Special Agricultural Worker |
| SBU | Sensitive But Unclassified |
| SCCLAIMS | Service Center CLAIMS |
| SDAO | Supervisory District Adjudications Officer |
| SDEO | Supervisory Detention Enforcement Officer |
| SDO | Supervisory Detention Officer |
| SES | Senior Executive Service |
| SEVIS | Student and Exchange Visitor Information System |
| SHSI | Sensitive Homeland Security Information |
| SIG | Special Interest Group |
| SII | Supervisory Immigration Inspector |
| SIO | Supervisory Information Officer |
| SLOB | Service Lookout Book (old way) |
| SORN | System of Records Notices |
| SPBP | Special Public Benefit Parole |
| SPOT | Screening Passengers by Observation Techniques |
| SRC | Southern Regional Center (Southern Service Center) |
| SSA | Supervisory Special Agent; or Social Security Administration |
| SSC | Southern Service Center |
| SSI | Sensitive Security Information |
| SSO | Special Security Officer |

| | |
|---|---|
| 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 |

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| | |
|---|---|
| USMC | United States Marine Corps |
| USMS | United States Marshals Service |
| USN | United States Navy |
| USNCB | United States National Central Bureau of INTERPOL |
| USPS | United States Postal Service |
| USRAP | U.S. Refugee Admissions Program |
| USSS | United States Secret Service |
| VA | Department of Veterans Affairs |
| VAWA | Violence Against Women Act |
| VAWO | Violence Against Women Office |
| VD | Voluntary Departure |
| VIS | Verification Information System |
| 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 |

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# APPENDIX G: DEFINITIONS

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

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

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

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

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

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

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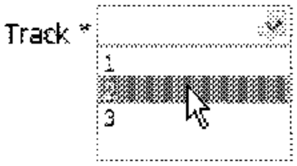
**Individual** - The PA describes an individual as follows: a U.S. Citizen (U.S.C.) or alien lawfully admitted for permanent residence (LPR). Conditional residents are considered LPRs. Corporations and organizations are not individuals.

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

**Track Drop-Down List**



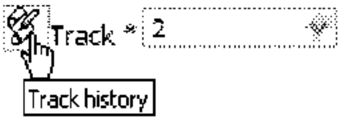
- Track 1 is used for the less complex cases. These are cases where only one or a few specific documents are being requested from the file.

- 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.

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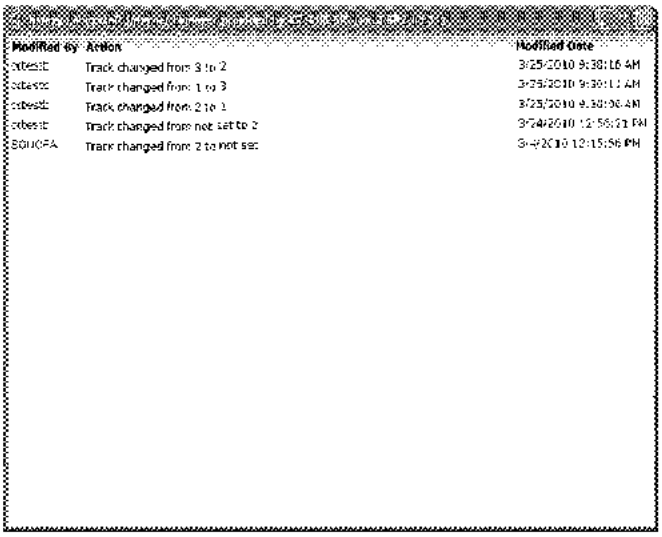
## Track History Displayed



| Modified by | Action | Modified Date |
|---|---|---|
| cxbestt | Track changed from 3 to 2 | 3/25/2010 9:38:16 AM |
| cxbestt | Track changed from 1 to 3 | 3/25/2010 9:30:1[illegible] AM |
| cxbestt | Track changed from 2 to 1 | 3/25/2010 9:30:06 AM |
| cxbestt | Track changed from not set to 2 | 3/24/2010 12:56:21 PM |
| SOUOFA | 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 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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**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.

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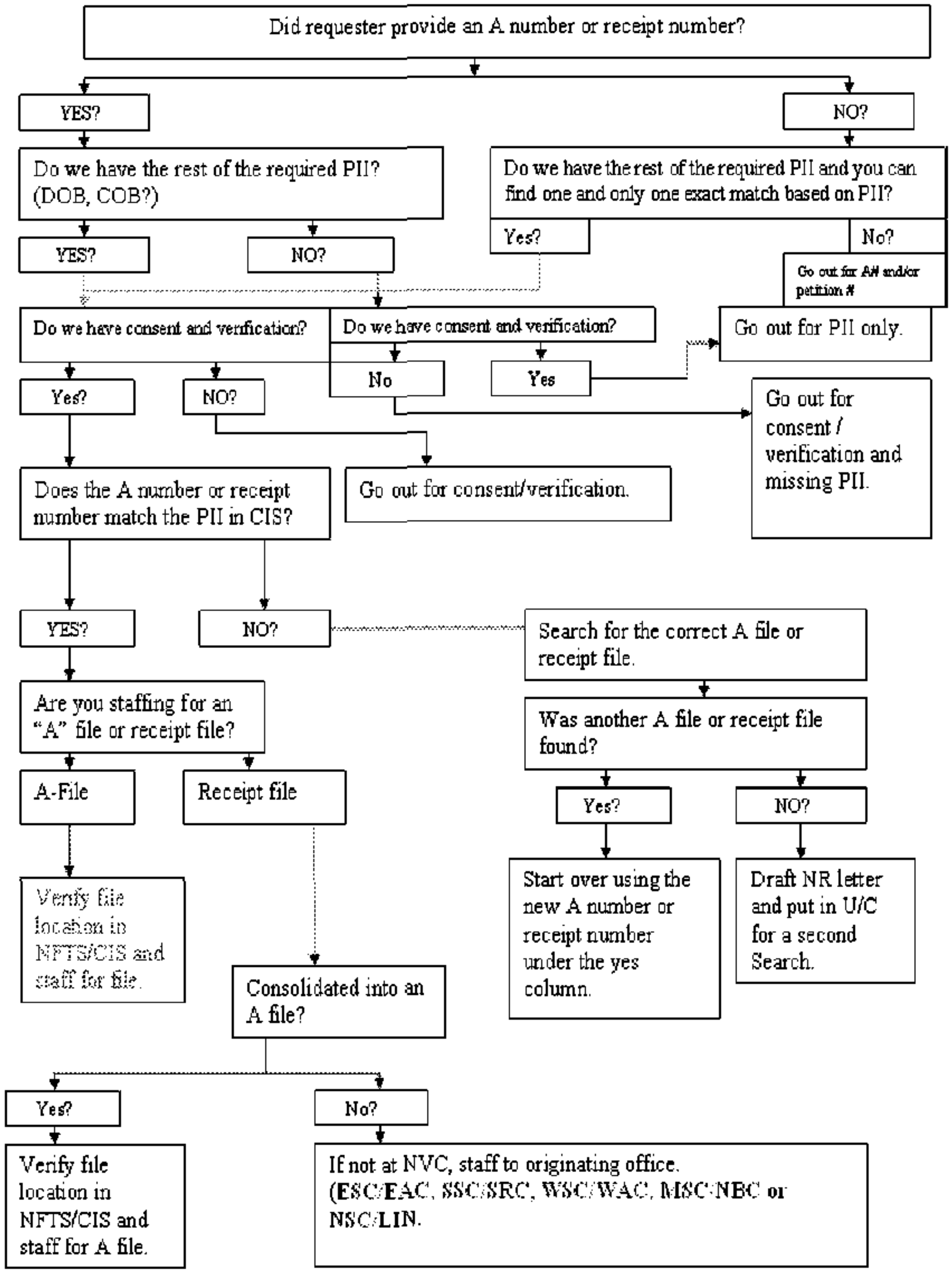
# APPENDIX H: CASE CREATE FLOW CHARTS

## Case Create Flow Chart for All my records.


Did requester provide an A number or receipt number?
YES?
NO?
Do we have the rest of the required PII? (DOB, COB?)
Do we have the rest of the required PII and you can find one and only one exact match based on PII?
YES?
NO?
Yes?
No?
Go out for A# and/or petition #
Do we have consent and verification?
Do we have consent and verification?
Go out for PII only.
Yes?
NO?
No
Yes
Go out for consent / verification and missing PII.
Does the A number or receipt number match the PII in CIS?
Go out for consent/verification.
YES?
NO?
Search for the correct A file or receipt file.
Are you staffing for an "A" file or receipt file?
Was another A file or receipt file found?
A-File
Receipt file
Yes?
NO?
Verify file location in NFTS/CIS and staff for file.
Start over using the new A number or receipt number under the yes column.
Draft NR letter and put in U/C for a second Search.
Consolidated into an A file?
Yes?
No?
Verify file location in NFTS/CIS and staff for A file.
If not at NVC, staff to originating office. (ESC/EAC, SSC/SRC, WSC/WAC, MSC/NBC or NSC/LIN.

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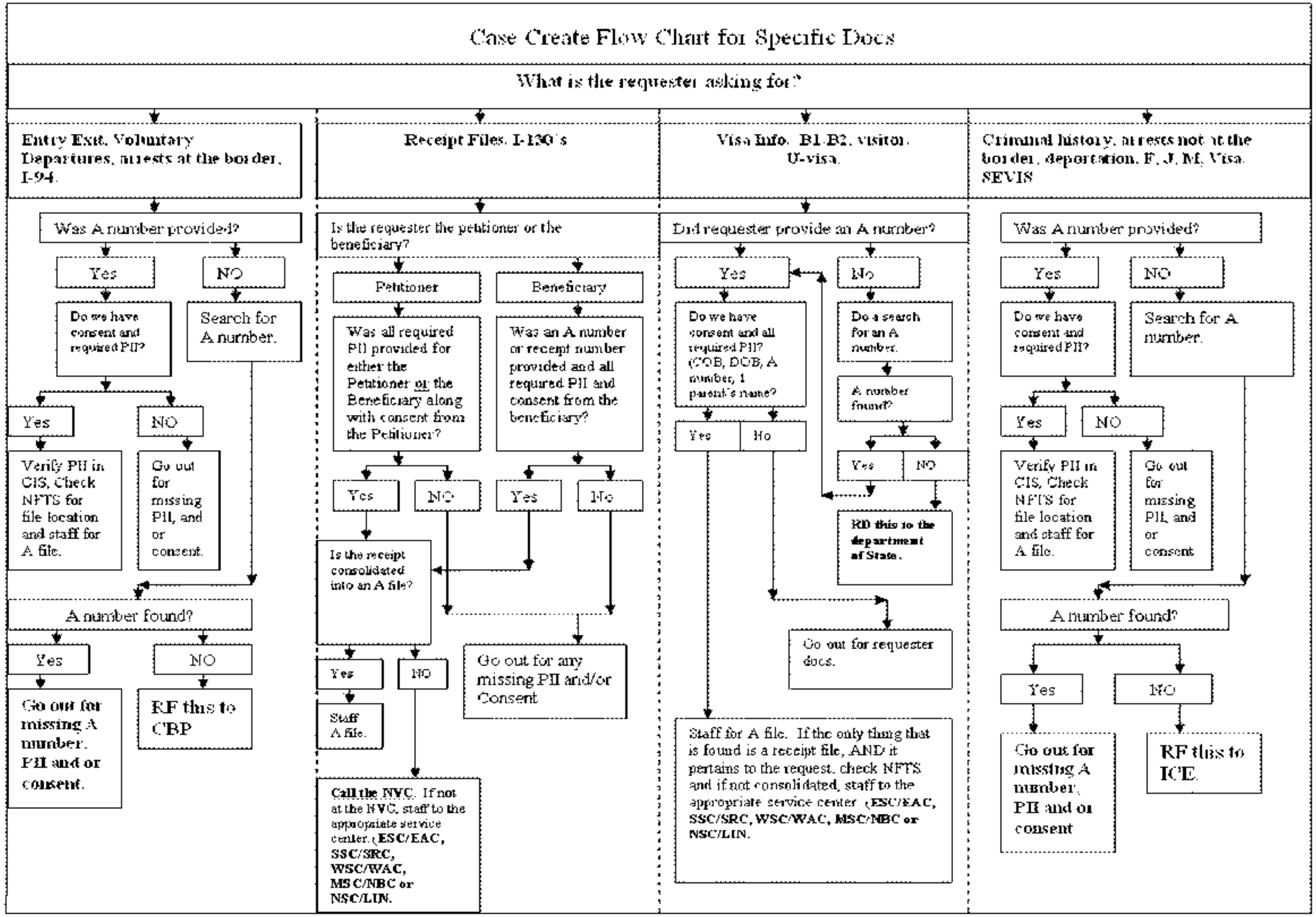
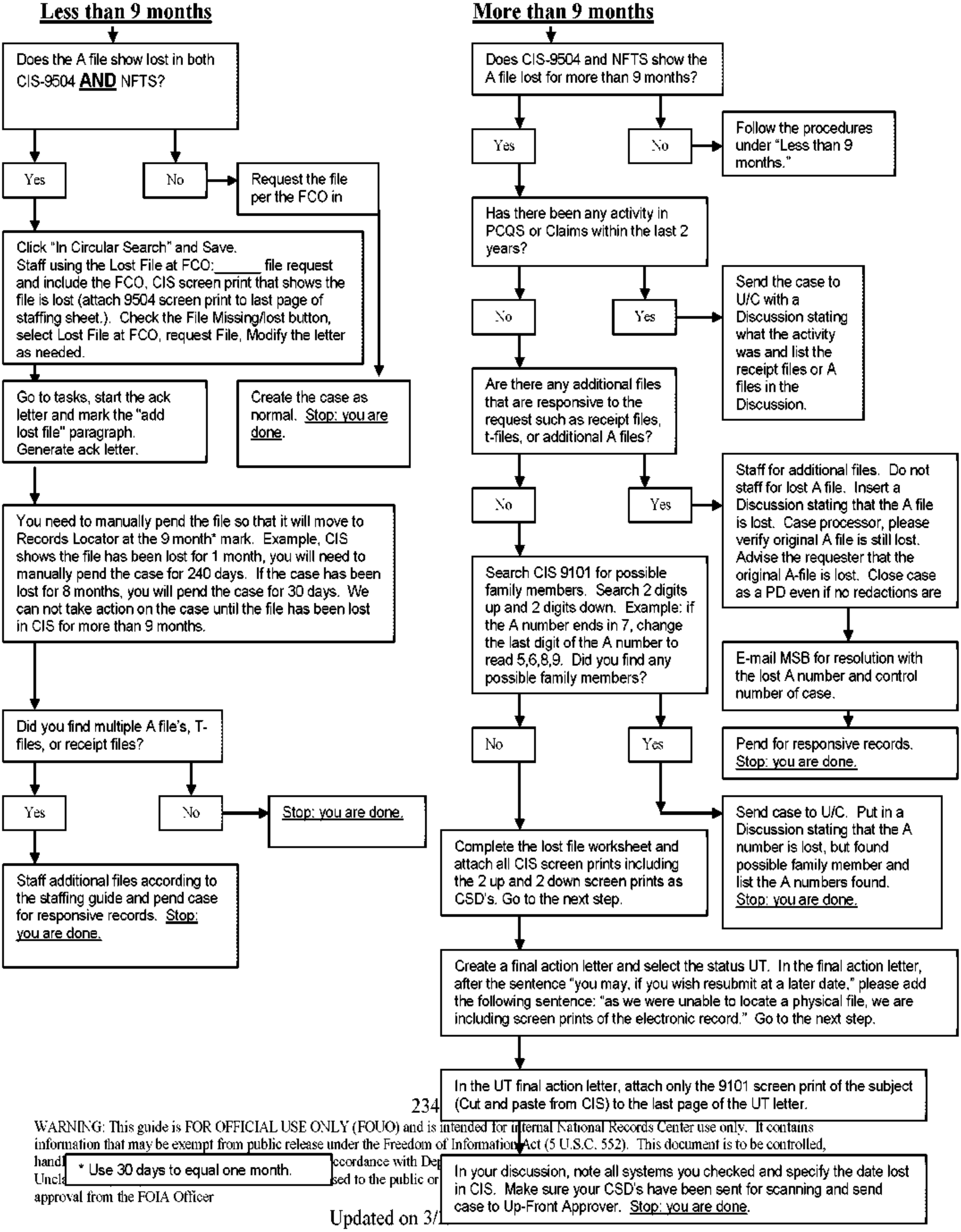

Case Create Flow Chart for Specific Docs
What is the requester asking for?
Entry Exit, Voluntary Departures, arrests at the border, I-94.
Was A number provided?
Yes
NO
Do we have consent and required PII?
Search for A number.
Yes
NO
Verify PII in CIS, Check NFTS for file location and staff for A file.
Go out for missing PII, and or consent.
A number found?
Yes
NO
Go out for missing A number, PII and or consent.
RF this to CBP
Receipt Files: I-130's
Is the requester the petitioner or the beneficiary?
Petitioner
Beneficiary
Was all required PII provided for either the Petitioner or the Beneficiary along with consent from the Petitioner?
Was an A number or receipt number provided and all required PII and consent from the beneficiary?
Yes
NO
Yes
No
Is the receipt consolidated into an A file?
Yes
NO
Staff A file.
Call the NVC. If not at the NVC, staff to the appropriate service center (ESC/EAC, SSC/SRC, WSC/WAC, MSC/NBC or NSC/LIN.
Go out for any missing PII and/or Consent
Visa Info. B1-B2, visitor, U-visa.
Did requester provide an A number?
Yes
No
Do we have consent and all required PII? (COB, DOB, A number, 1 parent's name?
Yes
No
Do a search for an A number.
A number found?
Yes
NO
RD this to the department of State.
Go out for requester docs.
Staff for A file. If the only thing that is found is a receipt file, AND it pertains to the request, check NFTS and if not consolidated, staff to the appropriate service center (ESC/EAC, SSC/SRC, WSC/WAC, MSC/NBC or NSC/LIN.
Criminal history, arrests not at the border, deportation, F, J, M, Visa. SEVIS
Was A number provided?
Yes
NO
Do we have consent and required PII?
Search for A number.
Yes
NO
Verify PII in CIS, Check NFTS for file location and staff for A file.
Go out for missing PII, and or consent.
A number found?
Yes
NO
Go out for missing A number, PII and or consent
RF this to ICE.

# Lost File Flowchart



**Less than 9 months**

Does the A file show lost in both CIS-9504 **AND** NFTS?

Yes

No

Request the file per the FCO in

Click "In Circular Search" and Save. Staff using the Lost File at FCO:______ file request and include the FCO, CIS screen print that shows the file is lost (attach 9504 screen print to last page of staffing sheet.). Check the File Missing/lost button, select Lost File at FCO, request File, Modify the letter as needed.

Go to tasks, start the ack letter and mark the "add lost file" paragraph. Generate ack letter.

Create the case as normal. Stop: you are done.

You need to manually pend the file so that it will move to Records Locator at the 9 month* mark. Example, CIS shows the file has been lost for 1 month, you will need to manually pend the case for 240 days. If the case has been lost for 8 months, you will pend the case for 30 days. We can not take action on the case until the file has been lost in CIS for more than 9 months.

Did you find multiple A file's, T-files, or receipt files?

Yes

No

Stop: you are done.

Staff additional files according to the staffing guide and pend case for responsive records. Stop: you are done.

* Use 30 days to equal one month.

**More than 9 months**

Does CIS-9504 and NFTS show the A file lost for more than 9 months?

Yes

No

Follow the procedures under "Less than 9 months."

Has there been any activity in PCQS or Claims within the last 2 years?

No

Yes

Send the case to U/C with a Discussion stating what the activity was and list the receipt files or A files in the Discussion.

Are there any additional files that are responsive to the request such as receipt files, t-files, or additional A files?

No

Yes

Staff for additional files. Do not staff for lost A file. Insert a Discussion stating that the A file is lost. Case processor, please verify original A file is still lost. Advise the requester that the original A-file is lost. Close case as a PD even if no redactions are

E-mail MSB for resolution with the lost A number and control number of case.

Pend for responsive records. Stop: you are done.

Search CIS 9101 for possible family members. Search 2 digits up and 2 digits down. Example: if the A number ends in 7, change the last digit of the A number to read 5,6,8,9. Did you find any possible family members?

No

Yes

Send case to U/C. Put in a Discussion stating that the A number is lost, but found possible family member and list the A numbers found. Stop: you are done.

Complete the lost file worksheet and attach all CIS screen prints including the 2 up and 2 down screen prints as CSD's. Go to the next step.

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.

In the UT final action letter, attach only the 9101 screen print of the subject (Cut and paste from CIS) to the last page of the UT letter.

In your discussion, note all systems you checked and specify the date lost in CIS. Make sure your CSD's have been sent for scanning and send case to Up-Front Approver. Stop: you are done.

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## APPENDIX I: ALIEN NUMBER ASSIGNMENT

| CLASSIFICATION | TYPE OF NUMBER ISSUED | STARTING NUMBER | ENDING NUMBER |
|---|---|---|---|
| ISSUED PRE-1960 | PHYSCIAL FILES | A 001-000-000 | A 011-999-999 |
| ADJUSTMENTS | PHYSCIAL FILES | A 012-000-000 | A 014-999-999 |
| CREWMAN | PHYSCIAL FILES | A 015-000-000 | A 016-999-999 |
| ADJUSTMENTS | PHYSCIAL FILES | A 017-000-000 | A 029-999-999 |
| VISA (STATE DEPT) | PHYSCIAL FILES | A 030-000-000 | A 069-999-999 |
| ADJUSTMENTS | PHYSCIAL FILES | A 070-000-000 | A 070-491-200 |
| FAMILY FAIRNESS | PHYSCIAL FILES | A 070-491-201 | A 070-503-200 |
| ADJUSTMENTS | PHYSCIAL FILES | A 070-503-201 | A 070-527-200 |
| FAMILY FAIRNESS | PHYSCIAL FILES | A 070-527-201 | A 070-987-200 |
| ADJUSTMENTS | PHYSCIAL FILES | A 070-987-201 | A 077-536-951 |
| KOSOVO | PHYSCIAL FILES | A 077-536-952 | A 077-537-451 |
| ADJUSTMENTS | PHYSCIAL FILES | A 070-537-452 | A 079-999-999 |
| BORDER APPREHENSIONS | ELECTRONIC ONLY | A 080-000-000 | A 086-899-999 |
| ADJUSTMENTS | PHYSCIAL FILES | A 086-900-000 | A 089-999-999 |
| LEGALIZATION | PHYSCIAL FILES | A 090-000-000 | A 093-999-999 |
| TEMPORARY PROTECTIVE STATUS (TPS) | PHYSCIAL FILES | A 094-000-000 | A 094-250-500 |
| TEMPORARY PROTECTIVE STATUS (TPS) | PHYSCIAL FILES | A 094-328-751 | A 094-334-250 |
| HURRICANE MITCH | PHYSCIAL FILES | A 094-250-501 | A 094-328-750 |
| HURRICANE MITCH | PHYSCIAL FILES | A 094-334-251 | A 094-364-250 |
| TEMPORARY PROTECTIVE STATUS (TPS) | PHYSCIAL FILES | A 094-364-251 | A 094-399-500 |
| KOSOVO | PHYSCIAL FILES | A 094-399-501 | A 094-404-750 |
| TEMPORARY PROTECTIVE STATUS (TPS) | PHYSCIAL FILES | A 094-404-751 | A 094-500-000 |
| KOSOVO | PHYSCIAL FILES | A 094-502-001 | A 094-527-000 |
| TEMPORARY PROTECTIVE STATUS (TPS) | PHYSCIAL FILES | A 094-750-000 | A 095-099-999 |
| NSC ORPHANS | PHYSCIAL FILES | A 094-500-001 | A 094-502-000 |
| NSC ORPHANS | PHYSCIAL FILES | A 094-527-001 | A 094-528-000 |
| REFUGEES | PHYSCIAL FILES | A 094-528-001 | A 094-629-000 |

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| CLASSIFICATION | TYPE OF NUMBER ISSUED | STARTING NUMBER | ENDING NUMBER |
|---|---|---|---|
| REFUGEES | PHYSCIAL FILES | A 094-538-001 | A 094-749-999 |
| ADJUSTMENTS | PHYSCIAL FILES | A 095-100-000 | A 096-749-999 |
| LIFE ACT | PHYSCIAL FILES | A 096-750-000 | A 096-999-999 |
| ADJUSTMENTS | PHYSCIAL FILES | A 097-000-000 | A 098-099-999 |
| ADJUSTMENTS | PHYSCIAL FILES | A 098-100-000 | A 099-099-999 |
| ADJUSTMENTS | PHYSCIAL FILES | A 099-100-000 | A 099-299-999 |
| ADJUSTMENTS | PHYSCIAL FILES | A 099-300-000 | A 099-999-999 |
| EMPLOYMENT AUTHORIZATION DOCUMENT (EAD) | ELECTRONIC ONLY | A 100-000-000 | A 199-999-999 |
| ADJUSTMENTS | PHYSCIAL FILES | A 200-000-000 | A 203-999-999 |
| NOT ISSUED | NOT ISSUED | A 204-000-000 | A 2049-999-999 |
| ADJUSTMENTS | PHYSCIAL FILES | A 205-000-000 | A 205-999-999 |
| NOT ISSUED | NOT ISSUED | A 206-000-000 | A 209-000-000 |
| ADJUSTMENTS | PHYSCIAL FILES | A 210-000-000 | A 211-999-999 |
| REFUGEES | PHYSCIAL FILES | A 212-000-000 | A 212-399-999 |
| ADJUSTMENTS | NOT ISSUED | A 212-400-000 | A 299-999-999 |
| NOT ISSUED | NOT ISSUED | A 300-000-000 | A 300-299-999 |
| ADJUSTMENT | PHYSCIAL 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 offices issuing such cards.

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

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

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

**VISA (STATE DEPT):** DoS is electronically assigned 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. Do not send out for requester docs if we have everything in rule 3. If you feel there are extenuating circumstances that require you to go out for additional information, you must get supervisor approval and case note the reason.

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

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

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

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

9. Always use the address listed on the G-639. If you cannot read the address listed on the G-639, or the address is from a consular office, or a congressional office, you may use the address listed on the G-28, or other documents in the request, such as an envelope. If you find no other

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

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

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

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

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

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

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

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

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

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

Signature: ______________________________ Date: ___________________________

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# FOREWORD

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

The Guide contains all updates or changes from the FOIA Information Bulletins issued as of September 28, 2015.

For the purposes of this Guide, we may refer to a FOIA/PA Assistant or Government 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 FOIA Officer, the Chief of FOIA Operations and your Supervisors direct how Government Information 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 FOIA QA & CS Team. At the direction of the FOIA Officer, QA & CS Team may immediately amend the guide, or they may seek clarification from Office of Chief Counsel. After consultation, QA & CS Team will either amend the Guide or propose a modified rule to FOIA/PA Supervisors, the Chief of FOIA Operations and the FOIA Officer. Re-writes or revisions of the guide are subject to the final approval of the FOIA Officer.

You, the FOIA/PA Assistant or Government 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 update the Record of Revision at Appendix K 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 Requestor 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.

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# 4. WHO CAN MAKE A FOIA REQUEST?

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

- First party Requestors, 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 **"CERTIFICATION OF AGREEMENT RELATING TO RECORDS CONCERNING A MINOR OR PERSON JUDICIALLY DETERMINED TO BE INCOMPETENT"** in this guide.

- Third party Requestors; any individual seeking a copy of an alien's file without the subject of record's certification of agreement. As of December 14, 2011, third party Requestors 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. The general rule of thumb is if you need to go into the subject's file, you will need the subject of record's certification of agreement and verification of identity. Please refer to the section titled **"THIRD PARTY REQUESTS" 7.4.** in this guide.

- Media Requestors 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.

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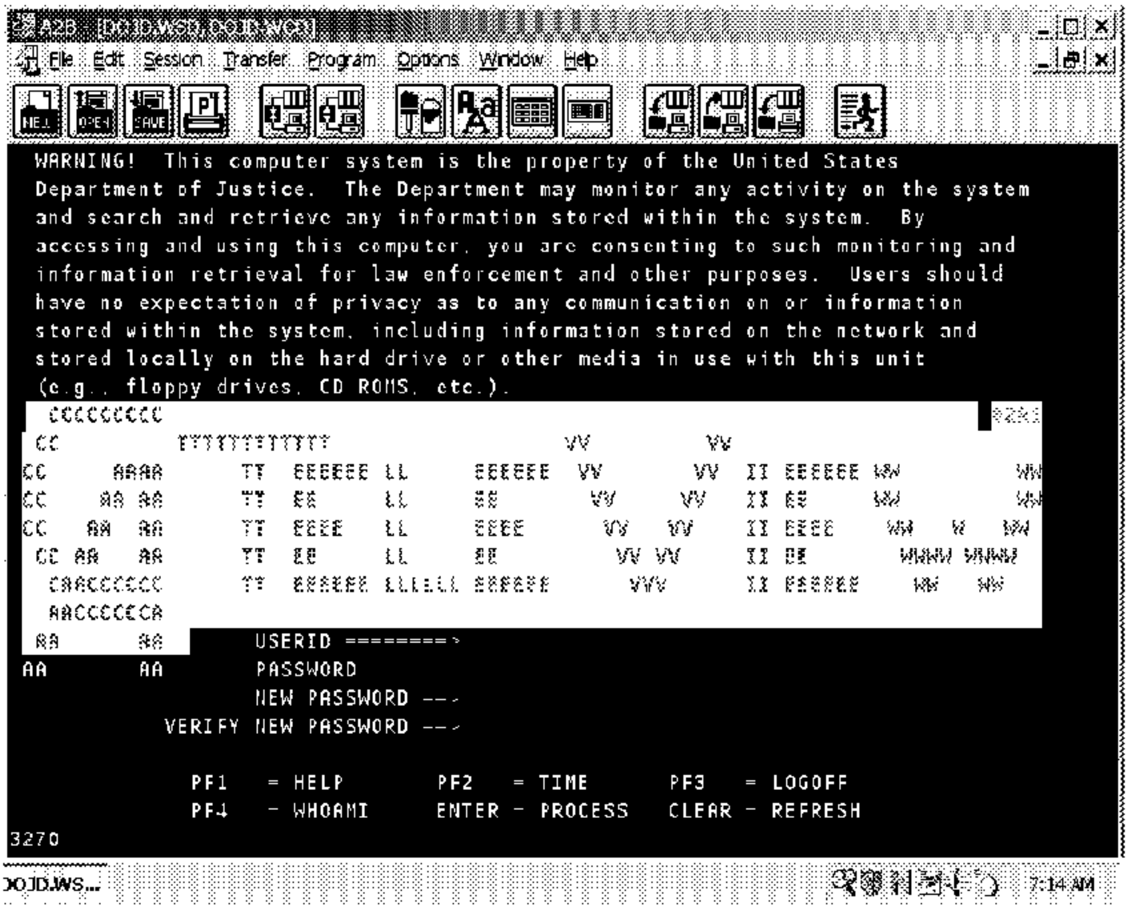
# 5. SYSTEMS USED AND DESCRIPTION OF THE SYSTEMS

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

## 5.1 Central Index System

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

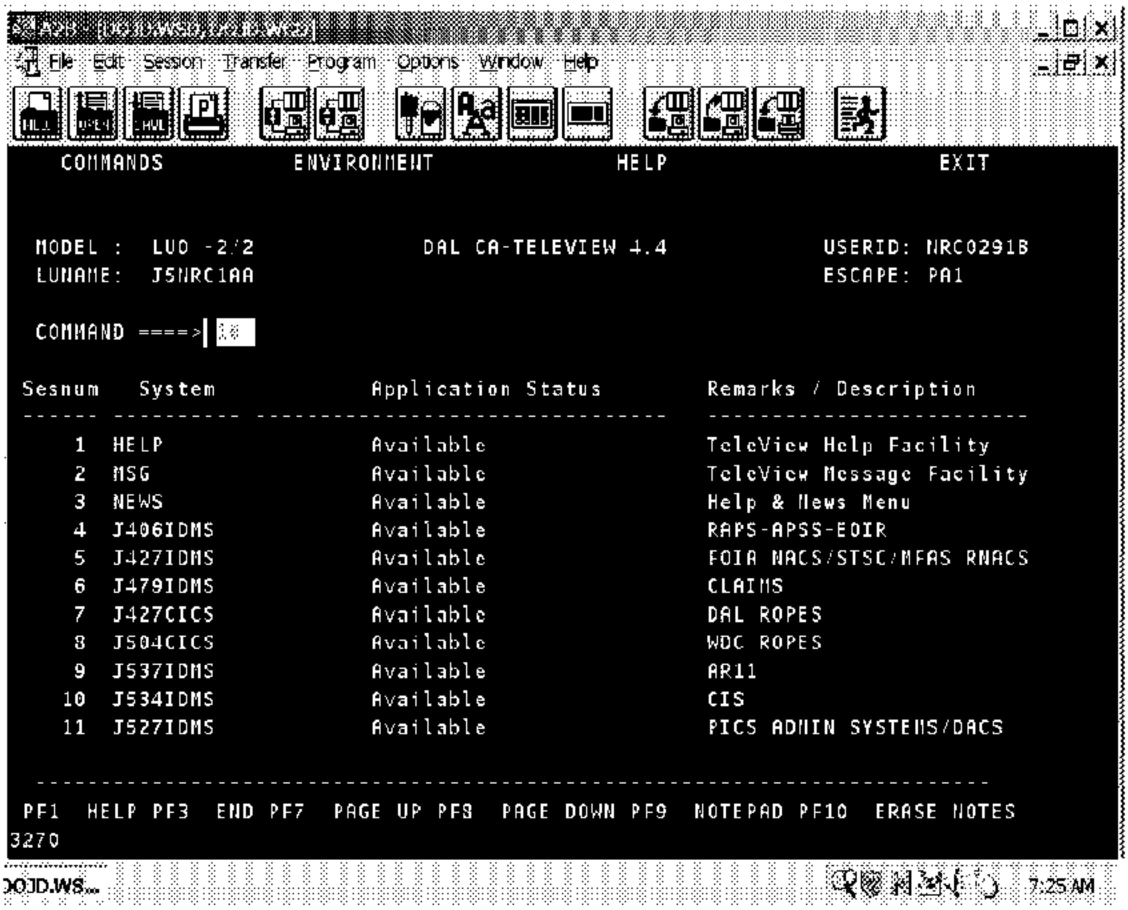
### 5.1.1 Introduction Screen



```
WARNING!  This computer system is the property of the United States
Department of Justice.  The Department may monitor any activity on the system
and search and retrieve any information stored within the system.  By
accessing and using this computer, you are consenting to such monitoring and
information retrieval for law enforcement and other purposes.  Users should
have no expectation of privacy as to any communication on or information
stored within the system, including information stored on the network and
stored locally on the hard drive or other media in use with this unit
(e.g., floppy drives, CD ROMS, etc.).

                  USERID ========>
                  PASSWORD
                  NEW PASSWORD --->
           VERIFY NEW PASSWORD --->

             PF1   = HELP       PF2   = TIME       PF3   = LOGOFF
             PF4   - WHOAMI     ENTER - PROCESS    CLEAR - REFRESH
3270
```

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

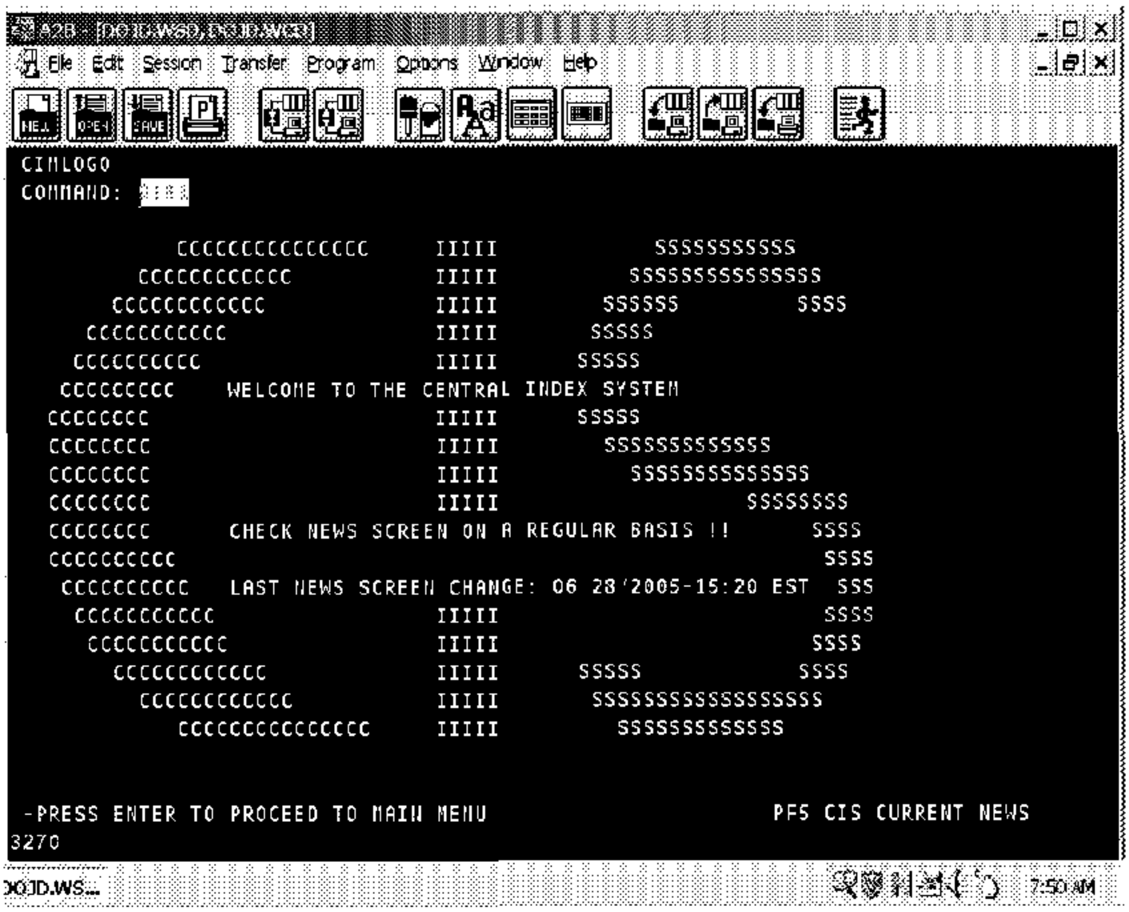
### 5.1.2 TeleView Main Menu



```
  COMMANDS          ENVIRONMENT            HELP                  EXIT


 MODEL :  LUO -2/2            DAL CA-TELEVIEW 4.4          USERID: NRC0291B
 LUNAME:  J5NRC1AA                                         ESCAPE: PA1

 COMMAND ====>| 10

Sesnum  System            Application Status        Remarks / Description
------ --------- ---------------------------     -----------------------
   1  HELP               Available                 TeleView Help Facility
   2  MSG                Available                 TeleView Message Facility
   3  NEWS               Available                 Help & News Menu
   4  J406IDMS           Available                 RAPS-APSS-EOIR
   5  J427IDMS           Available                 FOIA NACS/STSC/MFAS RNACS
   6  J479IDMS           Available                 CLAIMS
   7  J427CICS           Available                 DAL ROPES
   8  J504CICS           Available                 WDC ROPES
   9  J537IDMS           Available                 AR11
  10  J534IDMS           Available                 CIS
  11  J527IDMS           Available                 PICS ADMIN SYSTEMS/DACS

 ---------------------------------------------------------------------
PF1  HELP PF3  END PF7  PAGE UP PF8  PAGE DOWN PF9  NOTEPAD PF10  ERASE NOTES
3270
```

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

### 5.1.3 CIS Login Screen



```
CIMLOGO
COMMAND:

            CCCCCCCCCCCCCCC     IIIII            SSSSSSSSSSS
         CCCCCCCCCCCC           IIIII          SSSSSSSSSSSSSSS
       CCCCCCCCCCCC             IIIII        SSSSSS         SSSS
     CCCCCCCCCCC                IIIII       SSSSS
    CCCCCCCCCC                  IIIII      SSSSS
   CCCCCCCCC    WELCOME TO THE CENTRAL INDEX SYSTEM
  CCCCCCCC                      IIIII      SSSSS
  CCCCCCCC                      IIIII        SSSSSSSSSSSSS
  CCCCCCCC                      IIIII          SSSSSSSSSSSSSS
  CCCCCCCC                      IIIII                   SSSSSSSS
  CCCCCCCC      CHECK NEWS SCREEN ON A REGULAR BASIS !!      SSSS
  CCCCCCCCCC                                                  SSSS
   CCCCCCCCCC   LAST NEWS SCREEN CHANGE: 06 28'2005-15:20 EST  SSS
    CCCCCCCCCCC                 IIIII                         SSSS
     CCCCCCCCCCC                IIIII                        SSSS
       CCCCCCCCCCCC             IIIII      SSSSS            SSSS
         CCCCCCCCCCCC           IIIII       SSSSSSSSSSSSSSSSSS
            CCCCCCCCCCCCCCC     IIIII         SSSSSSSSSSSSS


-PRESS ENTER TO PROCEED TO MAIN MENU                      PF5 CIS CURRENT NEWS
3270
```

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

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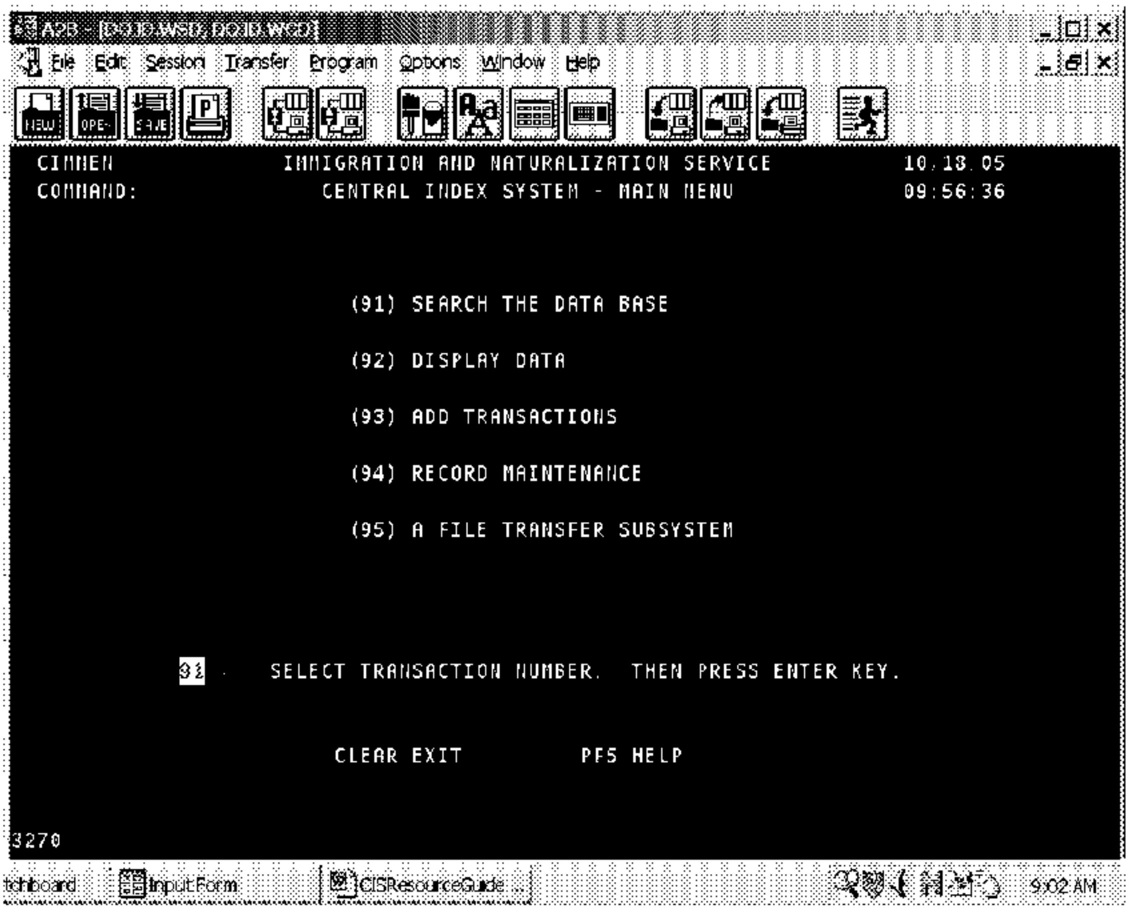
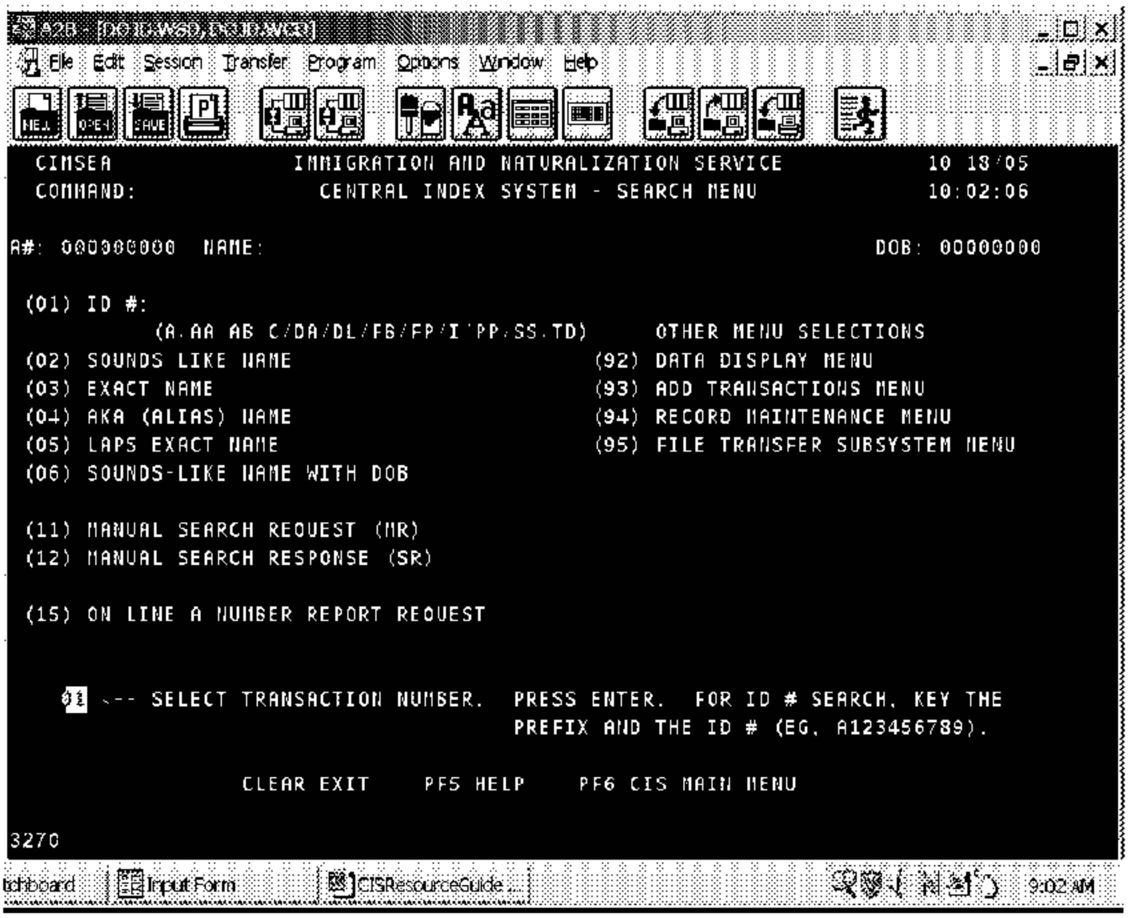
### 5.1.4 CIS Main Menu



```
CIMMEN              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          PF5 HELP

3270
```

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" + F11 (CIS File Transfer Display) to verify if the file is Not Found (N).

### 5.1.4.1 Search Menu Screen



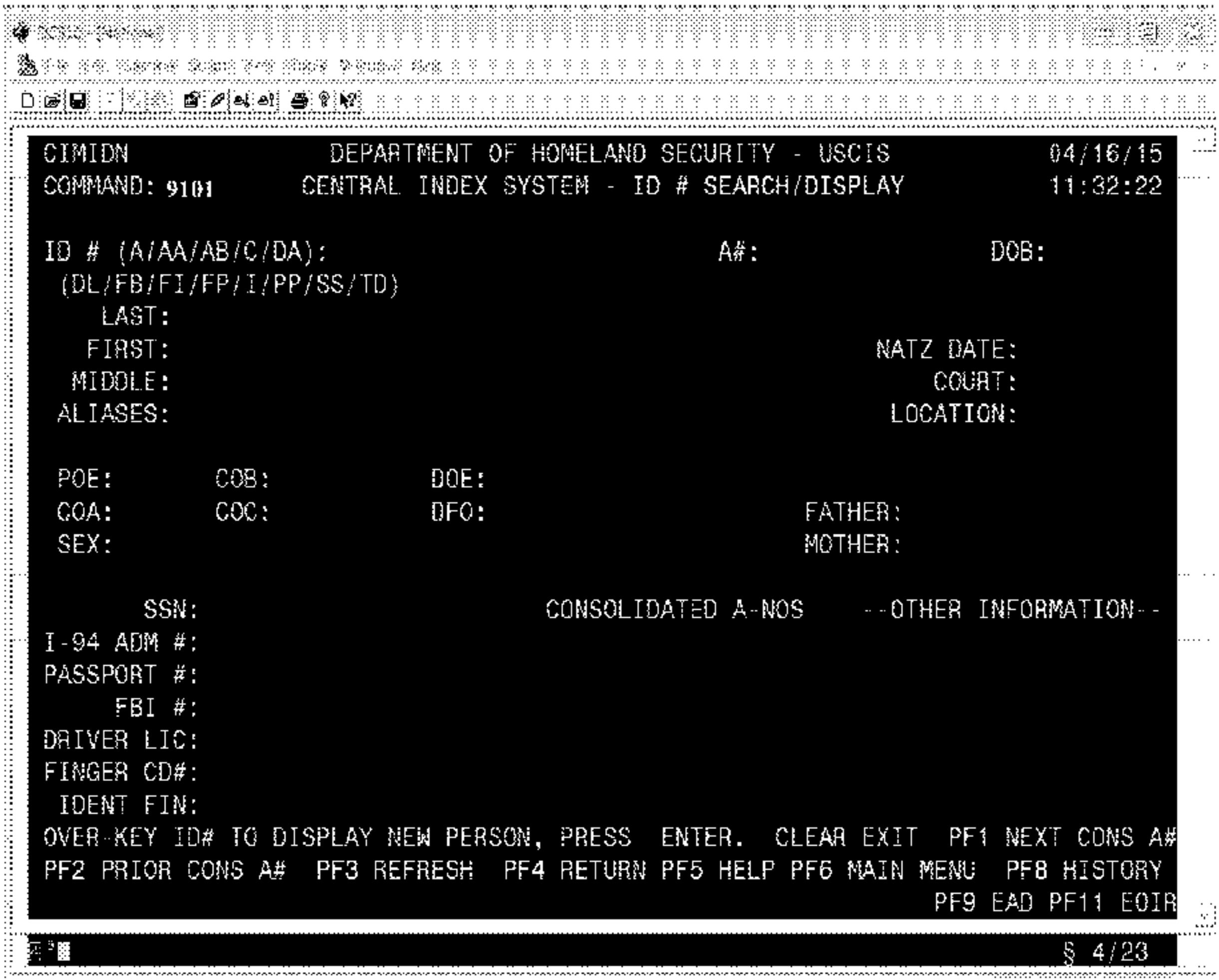
```
 CIMSEA              IMMIGRATION AND NATURALIZATION SERVICE          10 18/05
 COMMAND:              CENTRAL INDEX SYSTEM - SEARCH MENU            10:02:06

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
```

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.

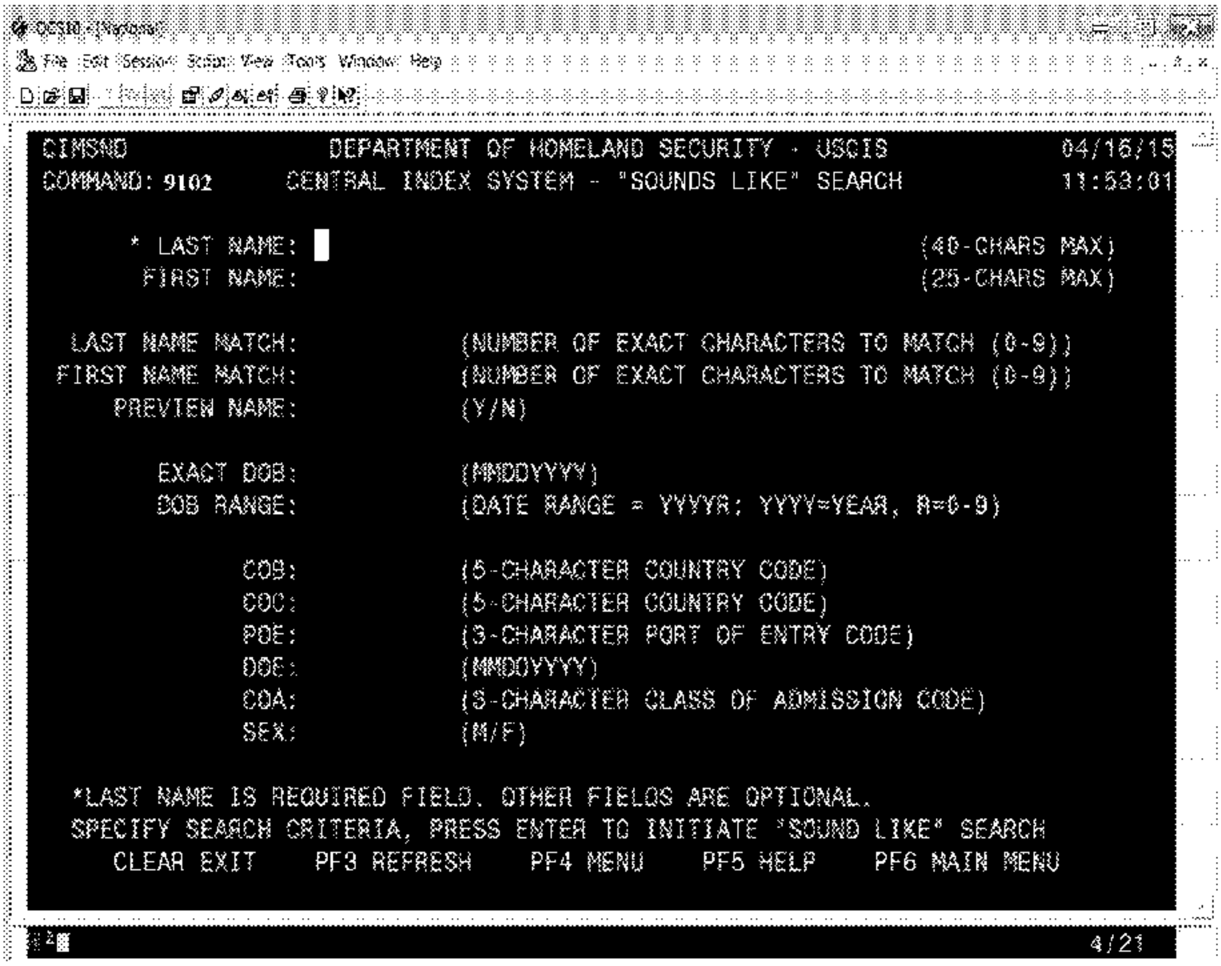
### 5.1.4.2 Search by A-Number (9101)



```
CIMIDN                 DEPARTMENT OF HOMELAND SECURITY - USCIS              04/16/15
COMMAND: 9101         CENTRAL INDEX SYSTEM - ID # SEARCH/DISPLAY           11:32:22

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

 POE:        COB:             DOE:
 COA:        COC:             DFO:                         FATHER:
 SEX:                                                      MOTHER:

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

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.

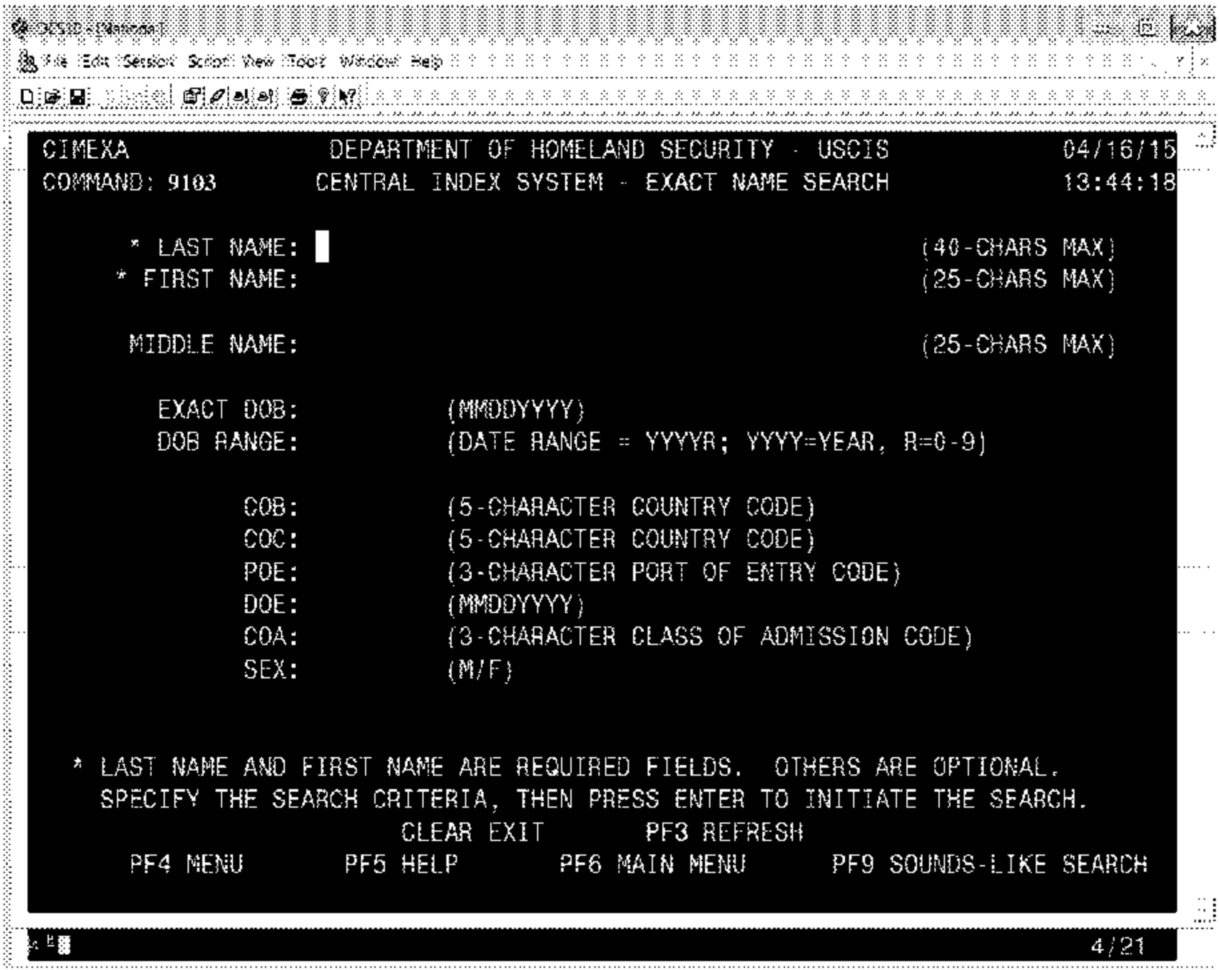
### 5.1.5 Sounds-Like Name Search (9102)



```
CIMSND               DEPARTMENT OF HOMELAND SECURITY - USCIS                04/16/15
COMMAND: 9102      CENTRAL INDEX SYSTEM - "SOUNDS LIKE" SEARCH              11:53:01

       * 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)
               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

                                                                         4/21
```

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)



```
CIMEXA               DEPARTMENT OF HOMELAND SECURITY - USCIS             04/16/15
COMMAND: 9103        CENTRAL INDEX SYSTEM - EXACT NAME SEARCH            13:44:18

      * 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)
              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

                                                                           4/21
```

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.

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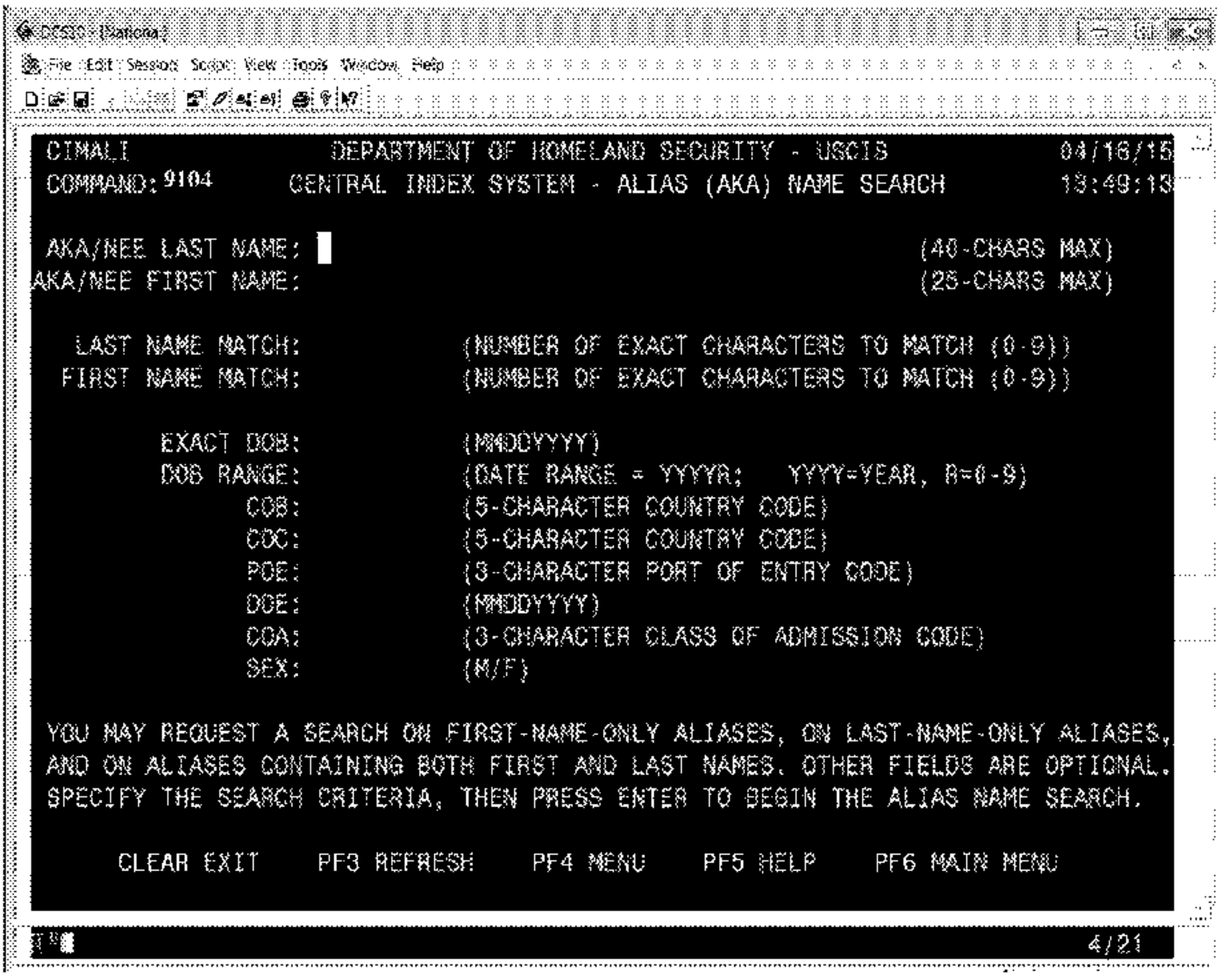
### 5.1.7 Alias (AKA) Name Search (9104)



```
 CIMALI               DEPARTMENT OF HOMELAND SECURITY - USCIS             04/16/15
 COMMAND: 9104      CENTRAL INDEX SYSTEM - ALIAS (AKA) NAME SEARCH        13:49:13

 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)
               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

                                                                          4/21
```

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

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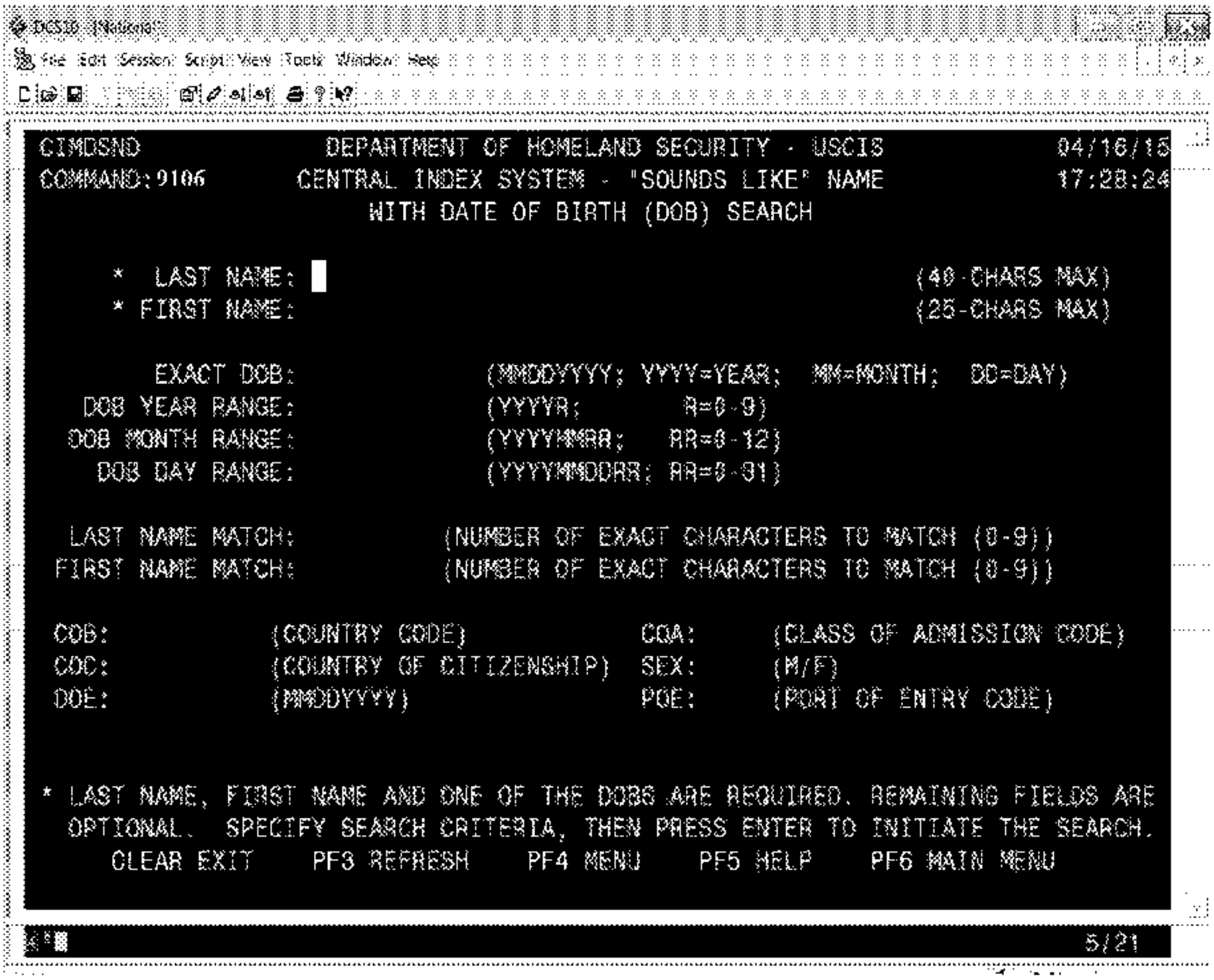
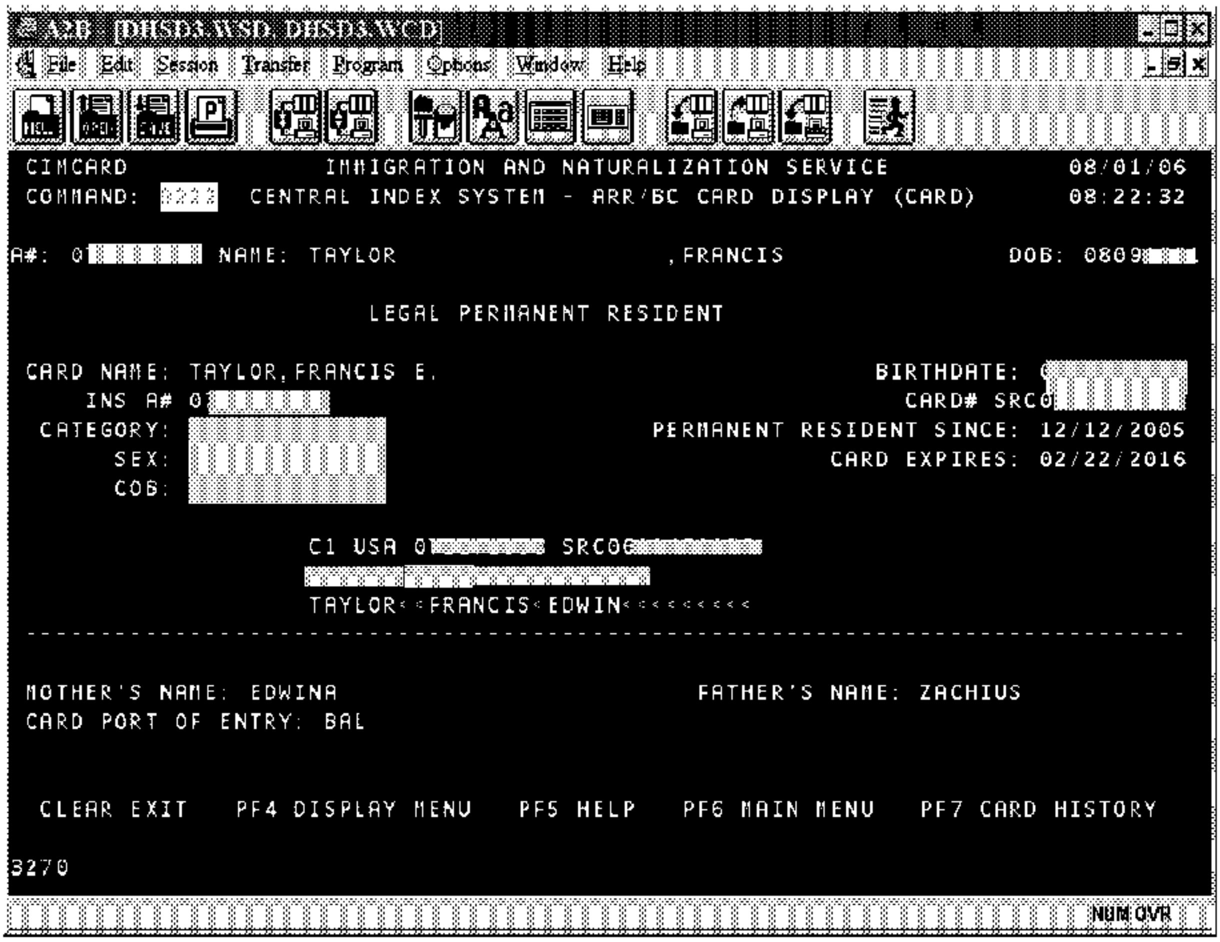
### 5.1.8 Sounds Like Name With Date of Birth (DOB) Search (9106)



```
CIMDSND              DEPARTMENT OF HOMELAND SECURITY - USCIS              04/16/15
COMMAND:9106        CENTRAL INDEX SYSTEM - "SOUNDS LIKE" NAME             17:28:24
                         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)   SEX:     (M/F)
 DOE:           (MMDDYYYY)                 POE:     (PORT OF ENTRY CODE)


* 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

                                                                          5/21
```

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.

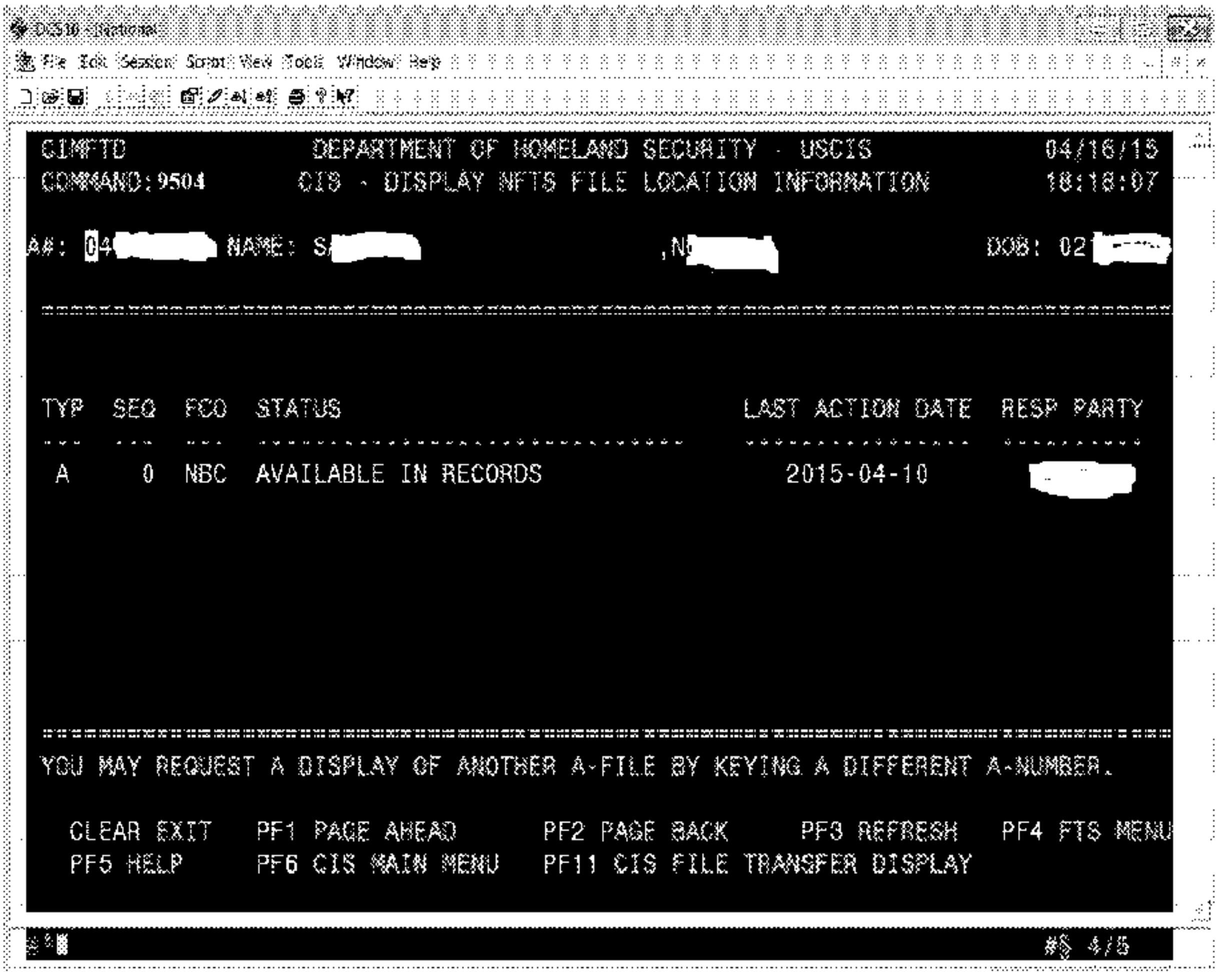
### 5.1.9 Card Display (9222)



```
 CIMCARD               IMMIGRATION AND NATURALIZATION SERVICE           08/01/06
 COMMAND: 9222  CENTRAL INDEX SYSTEM - ARR/BC CARD DISPLAY (CARD)      08:22:32

A#: 0[redacted] NAME: TAYLOR                      ,FRANCIS              DOB: 0809[redacted]

                         LEGAL PERMANENT RESIDENT

 CARD NAME: TAYLOR,FRANCIS E.                              BIRTHDATE: [redacted]
     INS A# 0[redacted]                                       CARD# SRC0[redacted]
  CATEGORY: [redacted]                      PERMANENT RESIDENT SINCE: 12/12/2005
       SEX:                                            CARD EXPIRES: 02/22/2016
       COB:

                    C1 USA 0[redacted] SRC0[redacted]
                    [redacted]
                    TAYLOR<<FRANCIS<EDWIN<<<<<<<<
 ----------------------------------------------------------------------------

 MOTHER'S NAME: EDWINA                         FATHER'S NAME: ZACHIUS
 CARD PORT OF ENTRY: BAL


  CLEAR EXIT   PF4 DISPLAY MENU   PF5 HELP   PF6 MAIN MENU   PF7 CARD HISTORY

3270
```

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 Location Display (9504)



```
CIMFTD             DEPARTMENT OF HOMELAND SECURITY - USCIS           04/16/15
COMMAND:9504       CIS - DISPLAY NFTS FILE LOCATION INFORMATION      18:18:07

A#: 04[redacted] NAME: S[redacted]                ,N[redacted]              DOB: 02[redacted]
=================================================================================


TYP  SEQ  FCO  STATUS                            LAST ACTION DATE  RESP PARTY
---  ---  ---  ------------------------------    ----------------  ----------
 A     0  NBC  AVAILABLE IN RECORDS                 2015-04-10      [redacted]






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

  CLEAR EXIT   PF1 PAGE AHEAD      PF2 PAGE BACK     PF3 REFRESH    PF4 FTS MENU
  PF5 HELP     PF6 CIS MAIN MENU   PF11 CIS FILE TRANSFER DISPLAY
                                                                        4/5
```

The 9504 screen is split into two parts. This first screen shows you which File Control Office (FCO) has the A-file per NFTS. To view the old 9504 screen, please push "F11" (CIS File Transfer Display).

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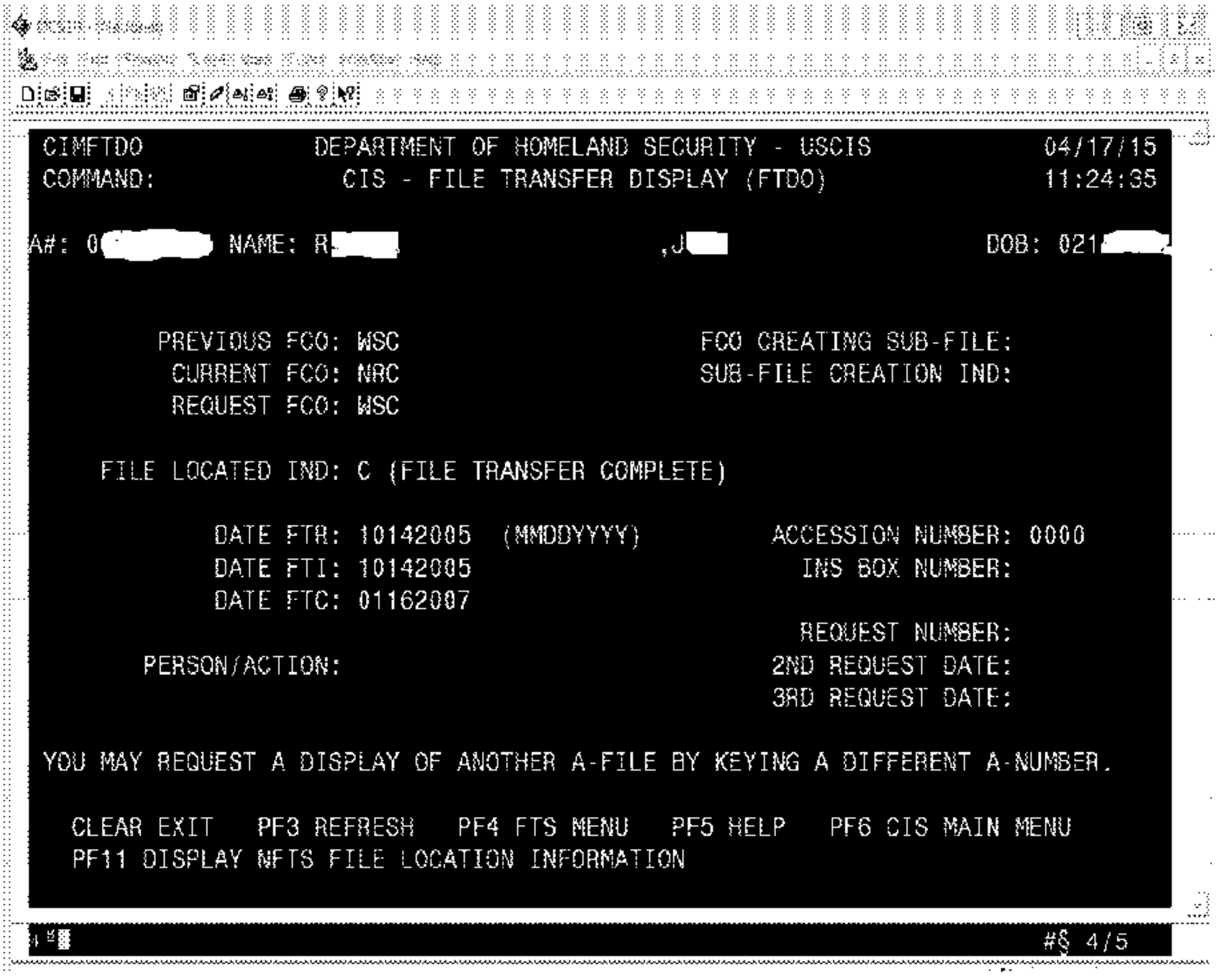
### 5.1.10.1 File Transfer Display (9504 + F11)

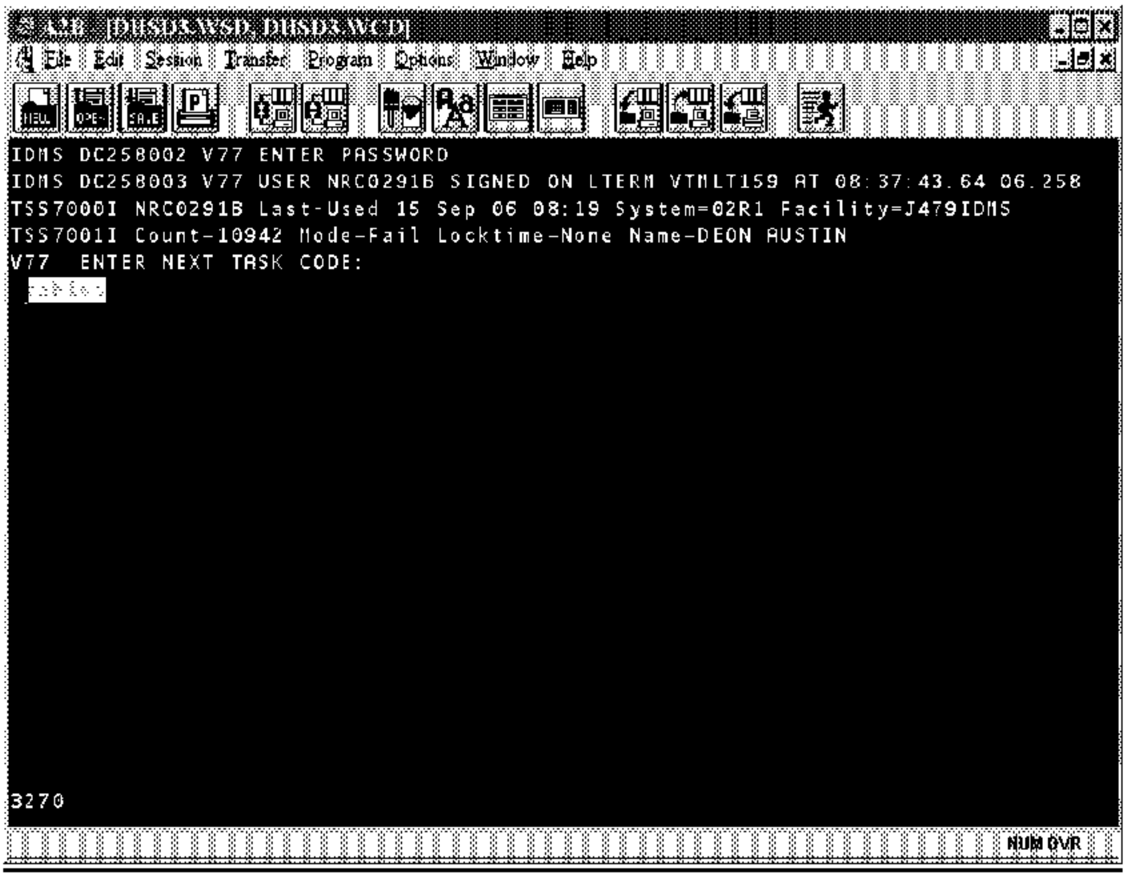


```
CIMFTDO           DEPARTMENT OF HOMELAND SECURITY - USCIS               04/17/15
COMMAND:            CIS - FILE TRANSFER DISPLAY (FTDO)                  11:24:35

A#: 0[redacted] NAME: R[redacted]                ,J[redacted]                   DOB: 021[redacted]


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

     FILE LOCATED IND: C (FILE TRANSFER COMPLETE)

             DATE FTR: 10142005  (MMDDYYYY)        ACCESSION NUMBER: 0000
             DATE FTI: 10142005                      INS BOX NUMBER:
             DATE FTC: 01162007
                                                     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
  PF11 DISPLAY NFTS FILE LOCATION INFORMATION
```

The main purpose of the 9504 screen is to check the location and movement of files. 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



```
IDMS DC258002 V77 ENTER PASSWORD
IDMS DC258003 V77 USER NRC0291B SIGNED ON LTERM VTMLT159 AT 08:37:43.64 06.258
TSS7000I NRC0291B Last-Used 15 Sep 06 08:19 System=02R1 Facility=J479IDMS
TSS7001I Count-10942 Mode-Fail Locktime-None Name-DEON AUSTIN
V77  ENTER NEXT TASK CODE:
 tables





3270
```

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.

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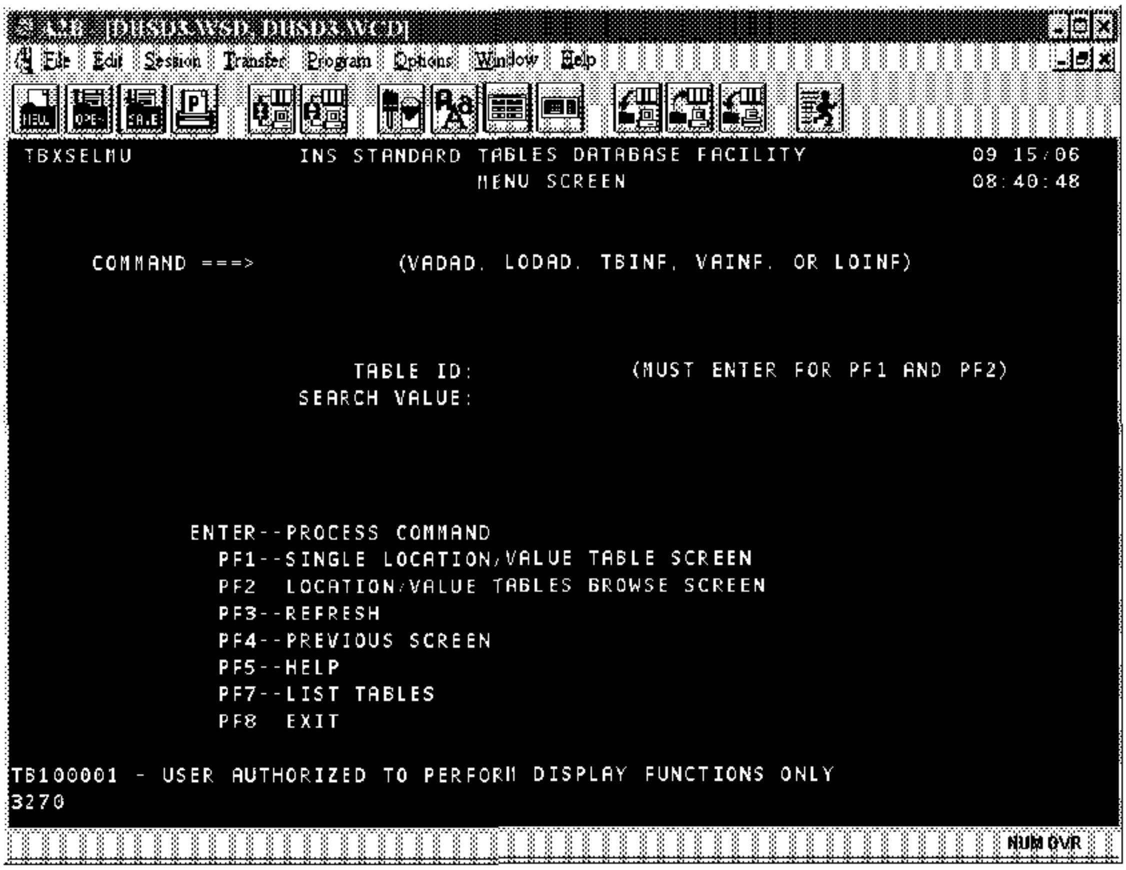
## 5.1.12 Tables Menu



```
 TBXSELMU            INS STANDARD TABLES DATABASE FACILITY          09 15/06
                                 MENU SCREEN                        08:40:48


     COMMAND ===>          (VADAD, LODAD, TBINF, VAINF, OR LOINF)



                         TABLE ID:            (MUST ENTER FOR PF1 AND PF2)
                     SEARCH VALUE:




              ENTER--PROCESS COMMAND
                PF1--SINGLE LOCATION/VALUE TABLE SCREEN
                PF2  LOCATION/VALUE TABLES BROWSE SCREEN
                PF3--REFRESH
                PF4--PREVIOUS SCREEN
                PF5--HELP
                PF7--LIST TABLES
                PF8  EXIT

TB100001 - USER AUTHORIZED TO PERFORM DISPLAY FUNCTIONS ONLY
3270
```

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

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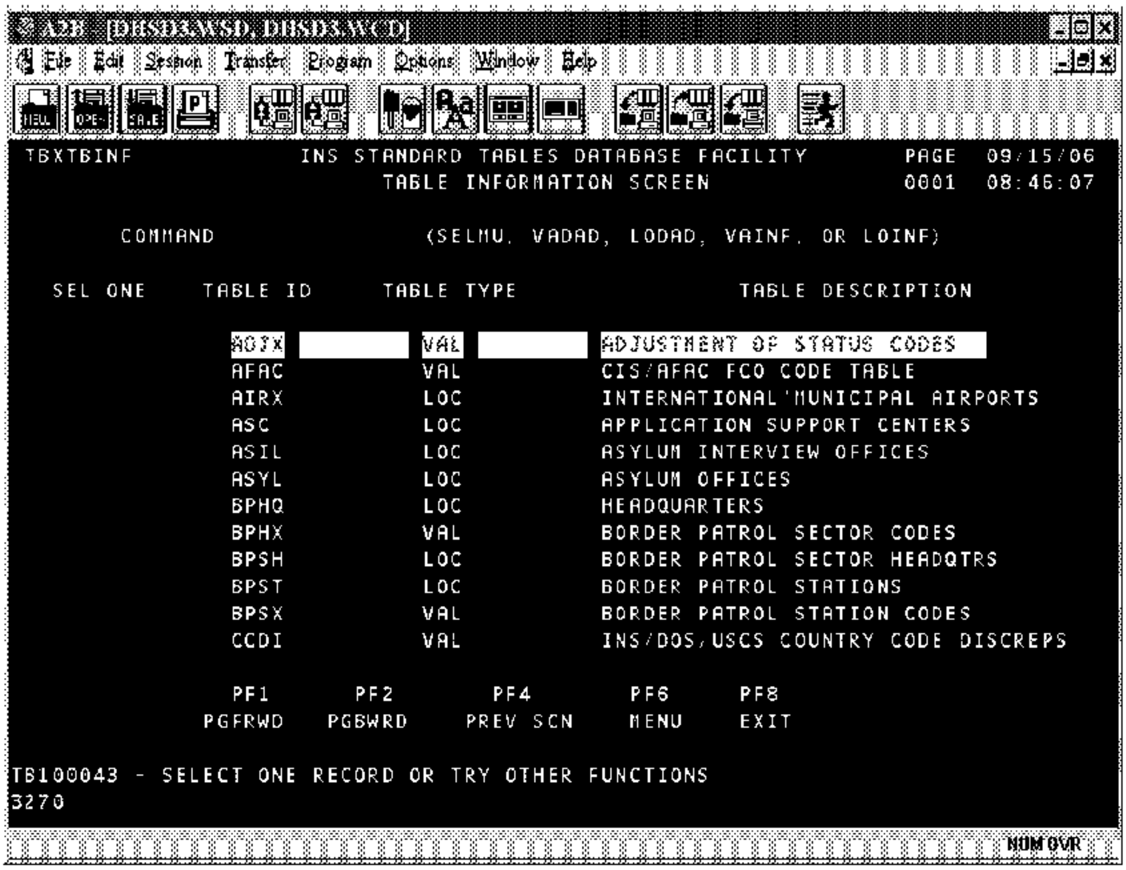
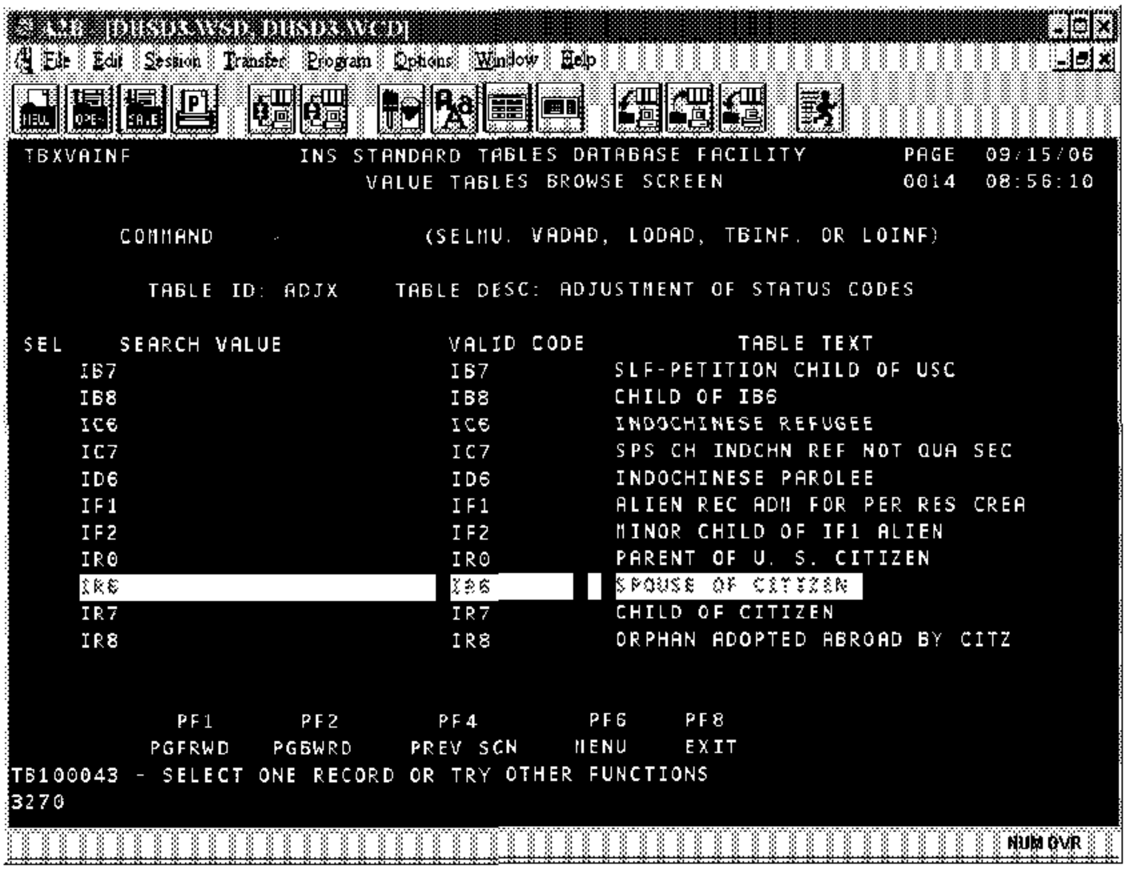
### 5.1.13 Tables Information Screen



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

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

   SEL ONE     TABLE ID      TABLE TYPE                TABLE DESCRIPTION

               ADJX          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
```

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     -            (SELMU. VADAD, LODAD, TBINF. OR LOINF)

          TABLE ID: ADJX      TABLE DESC: ADJUSTMENT OF STATUS CODES

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


           PF1       PF2        PF4         PF6      PF8
         PGFRWD    PGBWRD    PREV SCN     MENU     EXIT
TB100043 - SELECT ONE RECORD OR TRY OTHER FUNCTIONS
3270
```

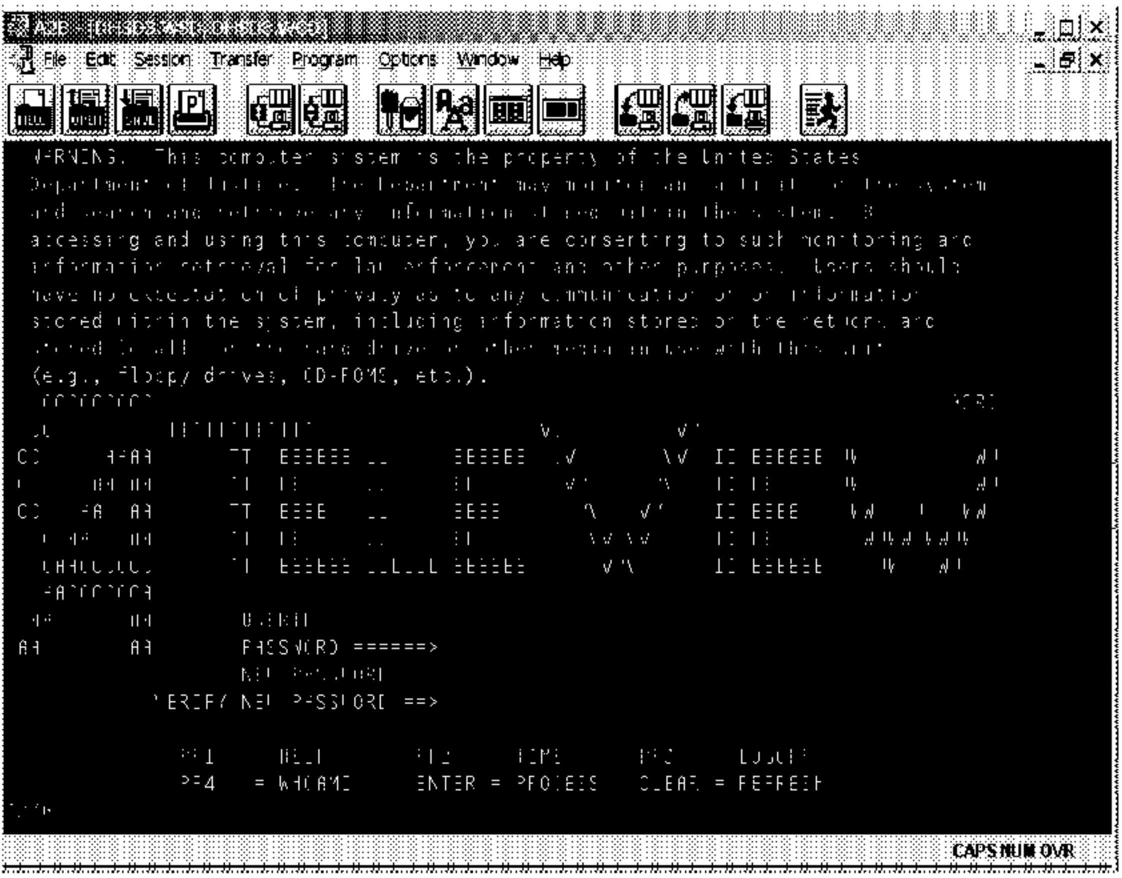
Read the screen in its entirety for navigation instruction and additional information.

## 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 User ID (NRC####A) and Password to sign onto the database.

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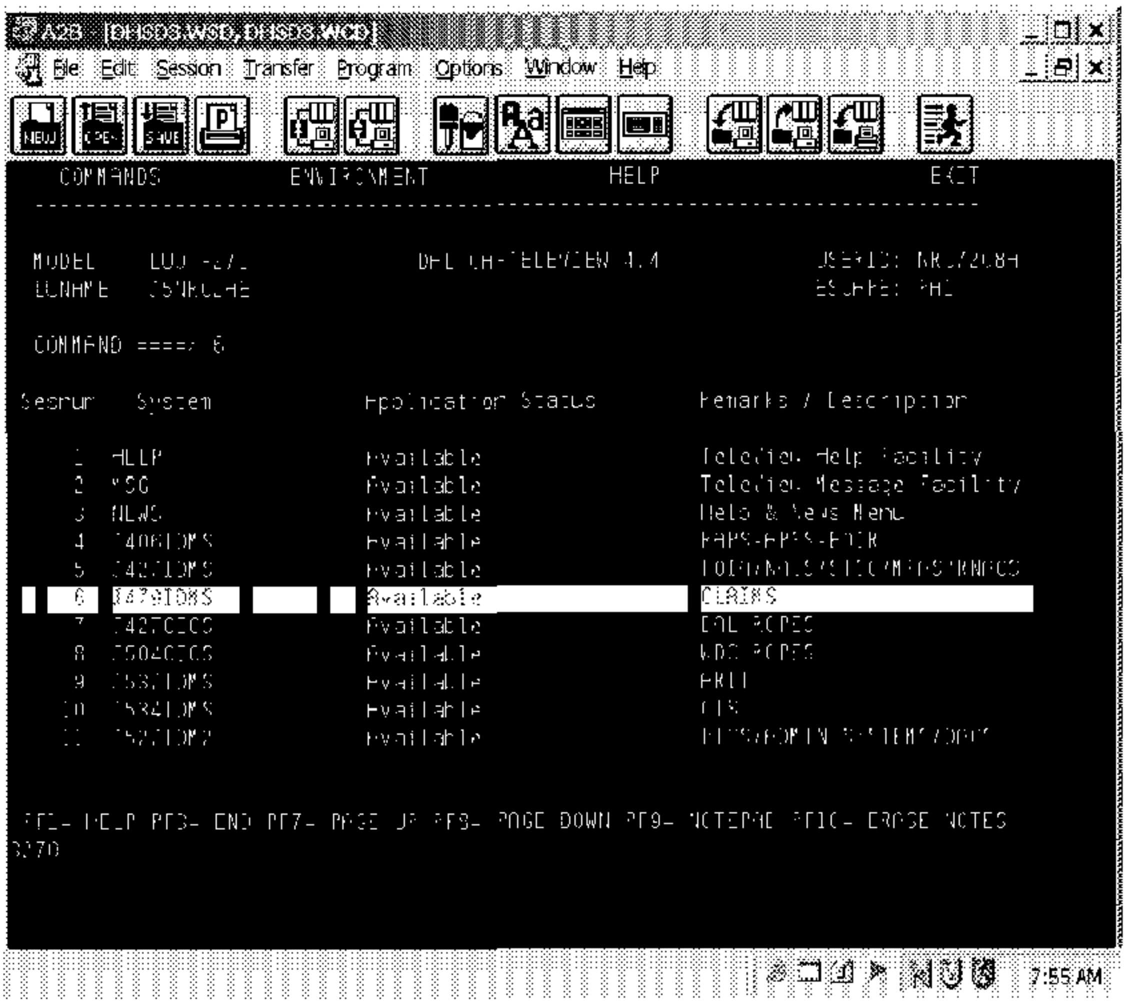
### 5.2.3 CLAIMS Selection Screen



A2B [DHSD3.WSD, DHSD3.WCD]
File Edit Session Transfer Program Options Window Help
NEW
OPEN
SAVE
7:55 AM

```
   COMMANDS          ENVIRONMENT               HELP                    EXIT
 -----------------------------------------------------------------------

 MODEL     LU0 -2/[illegible]         DHS CA-TELEVIEW 4.4           USERID: NRC72084
 LUNAME    [illegible]                                          ESCAPE: PA1

 COMMAND ====> 6

Sesnum   System             Application Status       Remarks / Description

    1  HELP                 Available                TeleView Help Facility
    2  MSG                  Available                TeleView Message Facility
    3  NEWS                 Available                Help & News Menu
    4  T406IDMS             Available                RAPS-APSS-ENTR
    5  T427IDMS             Available                [illegible]
    6  T429IDMS             Available                CLAIMS
    7  T427CICS             Available                CAL RCPTS
    8  T504CICS             Available                WDC RCPTS
    9  T538IDMS             Available                [illegible]
   10  T584IDMS             Available                CIS
   11  T527IDMS             Available                [illegible]


 PF1- HELP PF3- END PF7- PAGE UP PF8- PAGE DOWN PF9- NOTEPAD PF10- ERASE NOTES
3270
```

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

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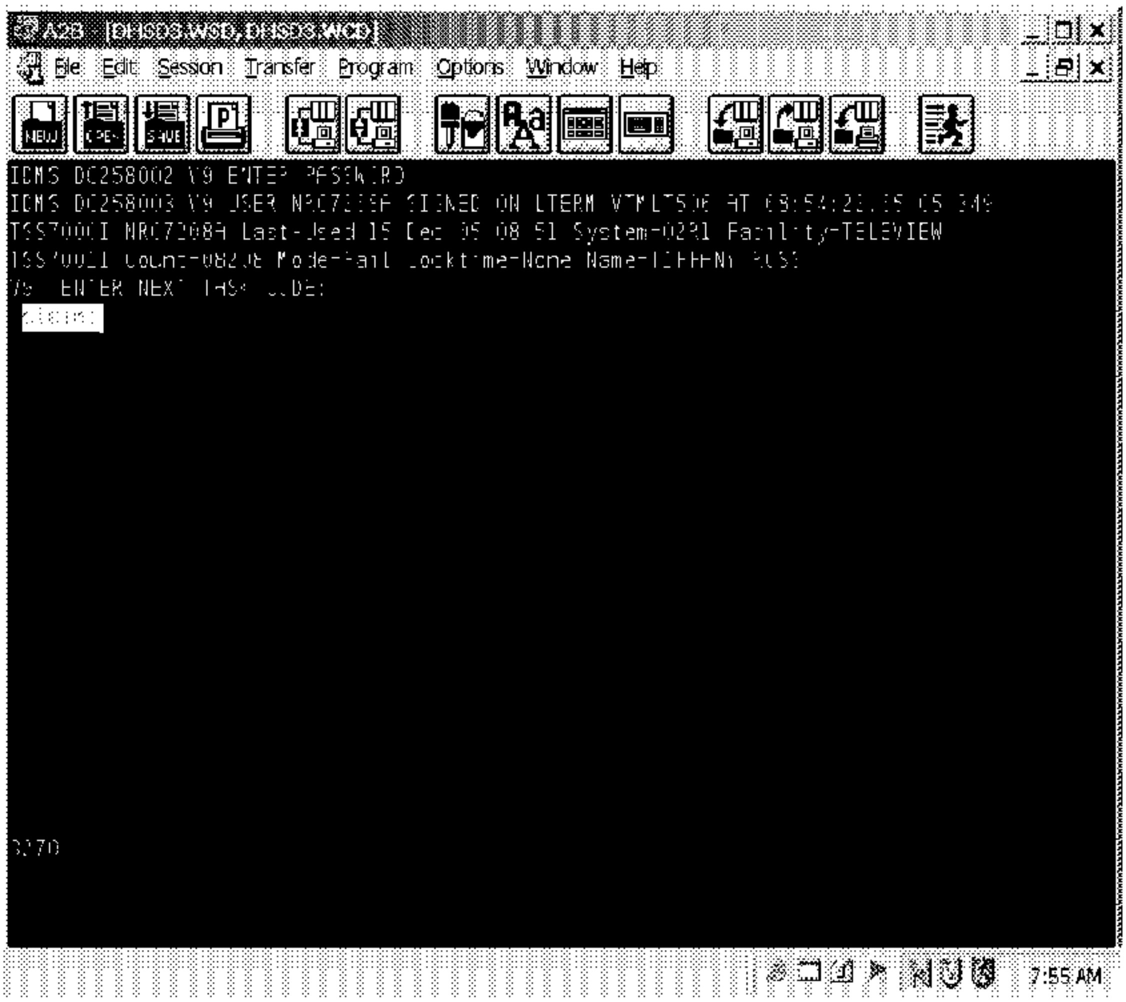
### 5.2.4 CLAIMS Function Screen



```
IDMS DC258002 V9 ENTER PASSWORD
IDMS DC258003 V9 USER NRC72[illegible] SIGNED ON LTERM VTMLT50[illegible] AT 08:54:2[illegible] 05 349
TSS7000I NRC7208[illegible] Last-Used 15 Dec 05 08 51 System=0281 Facility=TELEVIEW
TSS7001I Count=0820[illegible] Mode=Fail Locktime=None Name=[illegible]
[illegible] ENTER NEXT TASK CODE:
 [illegible]

3270
```

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.

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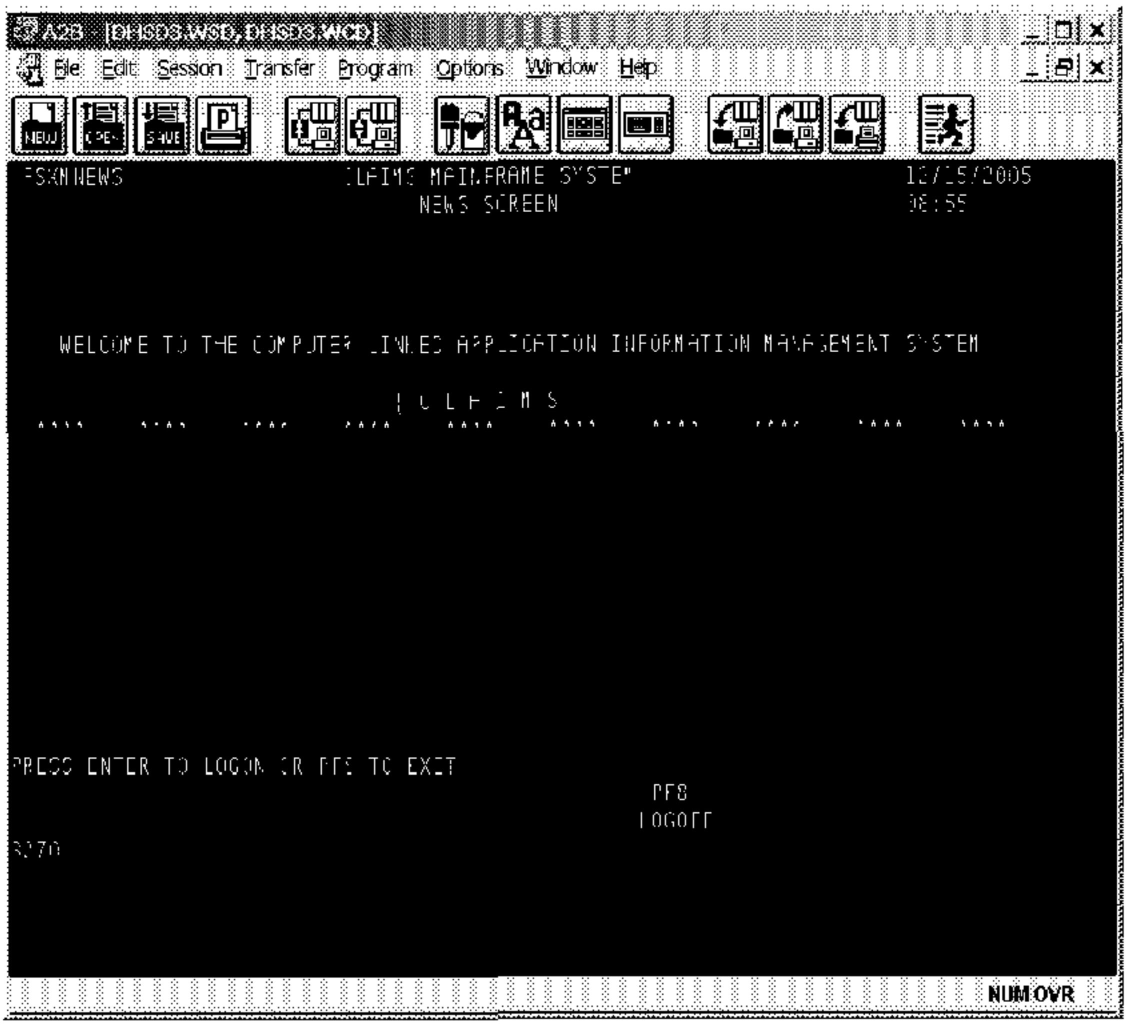
## 5.2.5 CLAIMS Welcome Screen


A2B - [DHSD3.WSD, DHSD3.WCD]
File
Edit
Session
Transfer
Program
Options
Window
Help
NEW
OPEN
SAVE
NUM OVR

```
FSXNNEWS                     CLAIMS MAINFRAME SYSTEM                    12/15/2005
                                  NEWS SCREEN                            08:55


   WELCOME TO THE COMPUTER LINKED APPLICATION INFORMATION MANAGEMENT SYSTEM

                               C L A I M S
 ****    ****    ****    ****    ****    ****    ****    ****    ****    ****



PRESS ENTER TO LOGON OR PF3 TO EXIT
                                             PF8
                                            LOGOFF
3270
```

Press enter from here to get to the logon screen.

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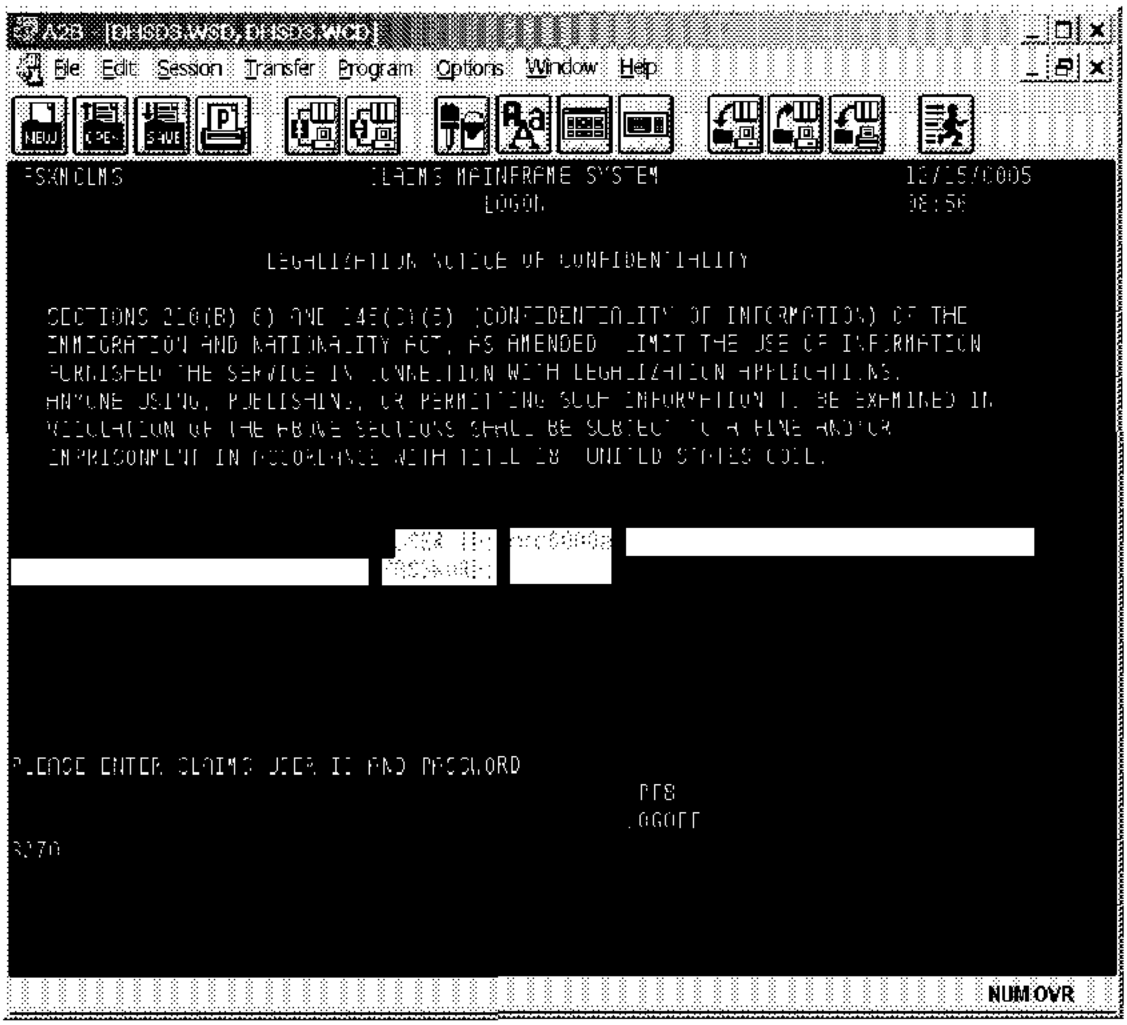
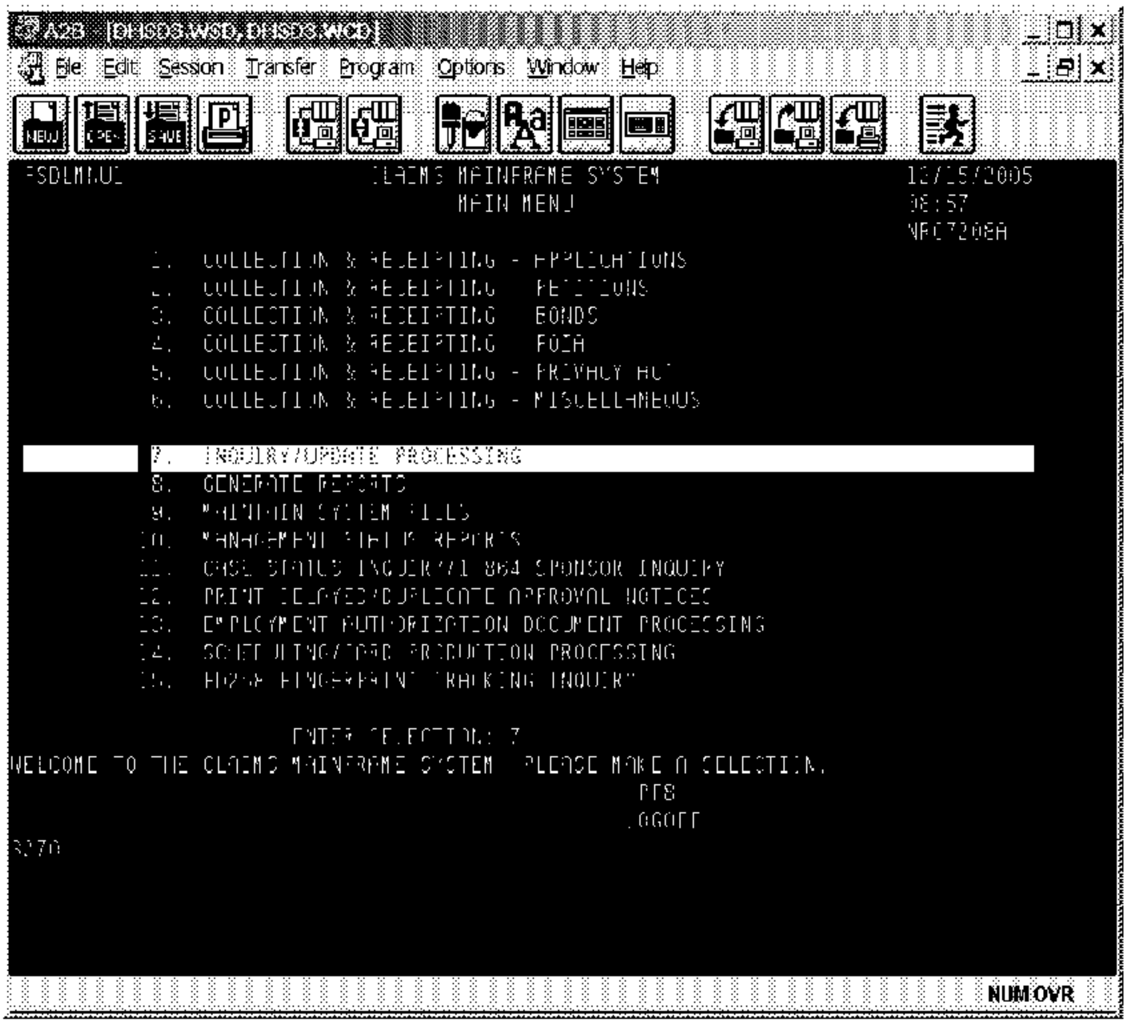
### 5.2.6 CLAIMS Logon Screen



```
FSXNCLMS                      CLAIMS MAINFRAME SYSTEM                 12/15/2005
                                       LOGON                            08:56

                  LEGALIZATION NOTICE OF CONFIDENTIALITY

  SECTIONS 210(B) 6) AND 245(C)(5) (CONFIDENTIALITY OF INFORMATION) OF THE
  IMMIGRATION AND NATIONALITY ACT, AS AMENDED  LIMIT THE USE OF INFORMATION
  FURNISHED THE SERVICE IN CONNECTION WITH LEGALIZATION APPLICATIONS.
  ANYONE USING, PUBLISHING, OR PERMITTING SUCH INFORMATION TO BE EXAMINED IN
  VIOLATION OF THE ABOVE SECTIONS SHALL BE SUBJECT TO A FINE AND/OR
  IMPRISONMENT IN ACCORDANCE WITH TITLE 18  UNITED STATES CODE.


                               USER ID:  nrc0000a  [redacted]
[redacted]                     PASSWORD:




PLEASE ENTER CLAIMS USER ID AND PASSWORD
                                              PF8
                                              LOGOFF

3270
```

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.

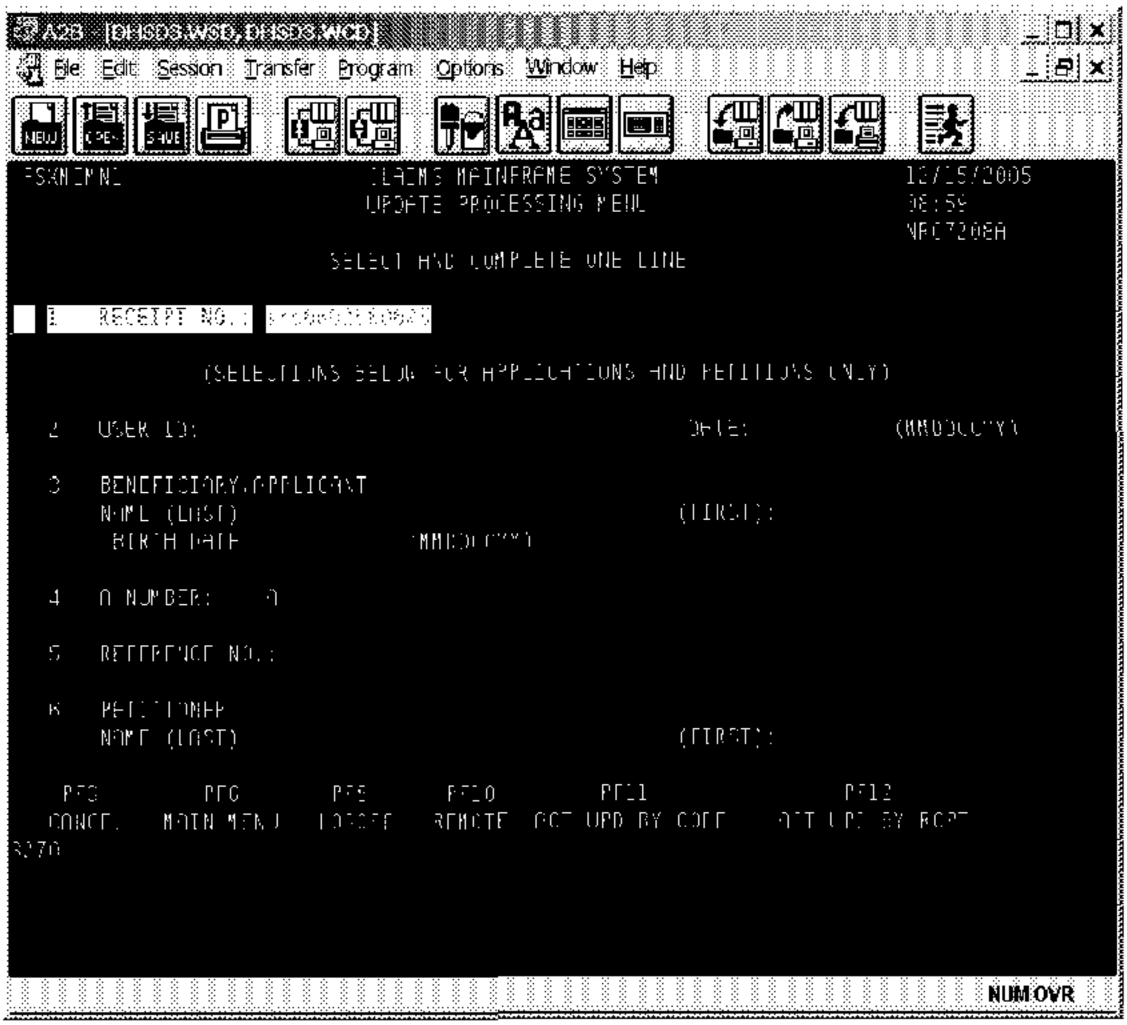
### 5.2.7 CLAIMS Main Menu Screen


A2B - [DHSD3.WSD, DHSD3.WCD]
File Edit Session Transfer Program Options Window Help
NEW
OPEN
SAVE
NUM OVR

```
FSDLMNU1                  CLAIMS MAINFRAME SYSTEM                12/15/2005
                                 MAIN MENU                       08:57
                                                                 NRC7208A
           1.  COLLECTION & RECEIPTING - APPLICATIONS
           2.  COLLECTION & RECEIPTING - PETITIONS
           3.  COLLECTION & RECEIPTING - BONDS
           4.  COLLECTION & RECEIPTING - FOIA
           5.  COLLECTION & RECEIPTING - PRIVACY ACT
           6.  COLLECTION & RECEIPTING - MISCELLANEOUS

           7.  INQUIRY/UPDATE PROCESSING
           8.  GENERATE REPORTS
           9.  MAINTAIN SYSTEM FILES
          10.  MANAGEMENT [illegible] REPORTS
          11.  CASE STATUS INQUIRY/I 864 SPONSOR INQUIRY
          12.  PRINT DELAYED/DUPLICATE APPROVAL NOTICES
          13.  EMPLOYMENT AUTHORIZATION DOCUMENT PROCESSING
          14.  SCHEDULING/CARD PRODUCTION PROCESSING
          15.  FD258 FINGERPRINT TRACKING INQUIRY

                     ENTER SELECTION: 7
WELCOME TO THE CLAIMS MAINFRAME SYSTEM. PLEASE MAKE A SELECTION.
                                             PF8
                                            LOGOFF
3270
```

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
NUM OVR

```
FSXNIMNU                    CLAIMS MAINFRAME SYSTEM                 12/15/2005
                            UPDATE PROCESSING MENU                  08:59
                                                                    NRC7208A
                          SELECT AND COMPLETE ONE LINE

 1   RECEIPT NO.: [illegible]

           (SELECTIONS BELOW FOR APPLICATIONS AND PETITIONS ONLY)

 2   USER ID:                                     DATE:          (MMDDCCYY)

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

 4   A NUMBER:     A

 5   REFERENCE NO.:

 6   PETITIONER
     NAME (LAST)                                  (FIRST):

  PF3       PF6        PF8      PF10       PF11                 PF12
 CANCEL   MAIN MENU   LOGOFF   REMOTE   ACT UPD BY CODE    ACT UPD BY RCPT
3270
```

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.

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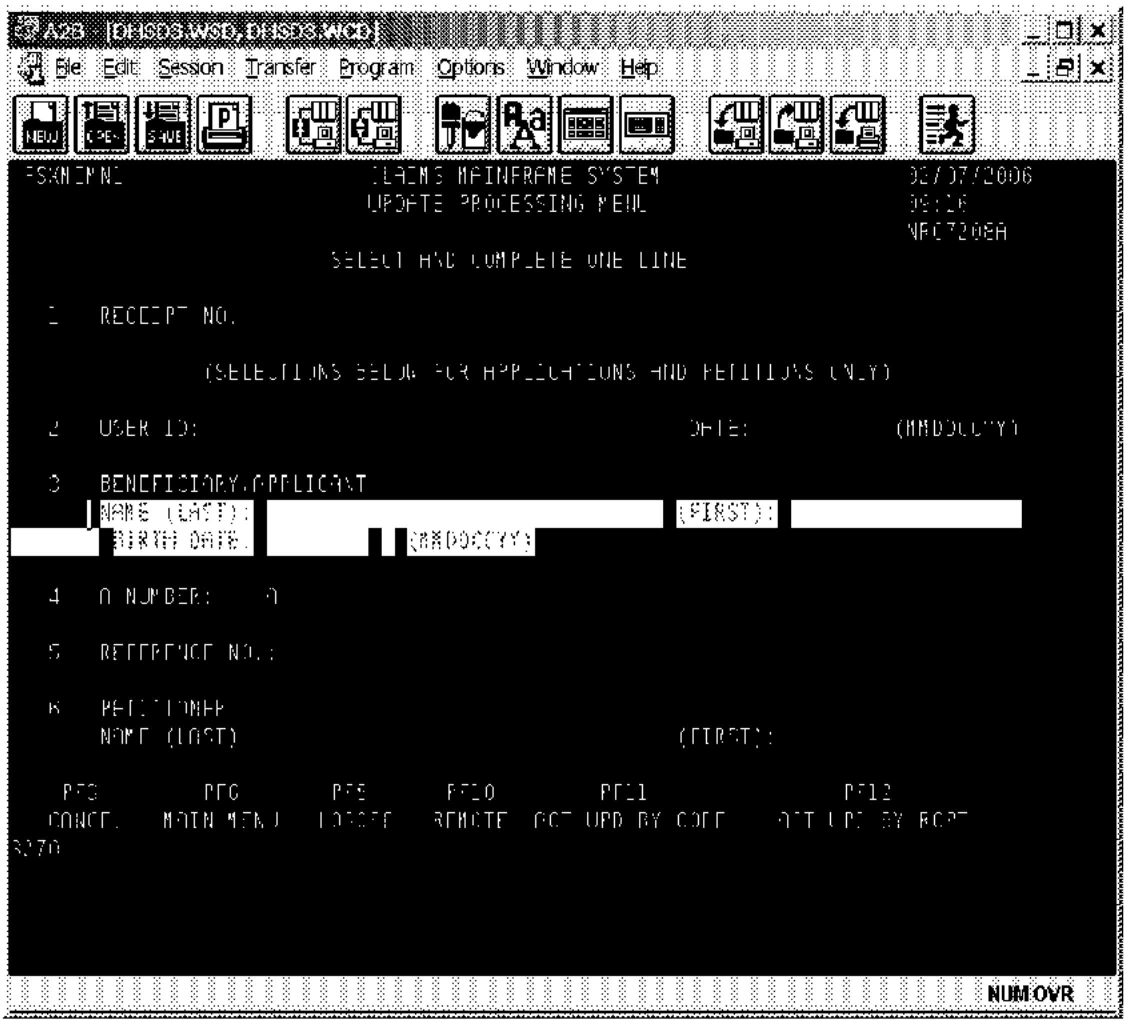
## 5.2.9 Searching CLAIMS using a Name and Date of Birth


A2B - [DHSD3.WSD, DHSD3.WCD]
File Edit Session Transfer Program Options Window Help
NEW
OPEN
SAVE
NUM OVR

```
FSXNMNU                     CLAIMS MAINFRAME SYSTEM                 02/07/2006
                            UPDATE PROCESSING MENU                  09:16
                                                                    NRC7208A
                         SELECT AND COMPLETE ONE LINE

   1   RECEIPT NO.

              (SELECTIONS BELOW FOR APPLICATIONS AND PETITIONS ONLY)

   2   USER ID:                                      DATE:           (MMDDCCYY)

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

   4   A NUMBER:     A

   5   REFERENCE NO.:

   6   PETITIONER
       NAME (LAST)                                   (FIRST):

   PF3       PF6        PF9      PF10        PF11              PF12
  CANCEL   MAIN MENU   LOGOFF   REMOTE   ACT UPD BY CODE   ALT UPD BY RCPT
3270
```

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.

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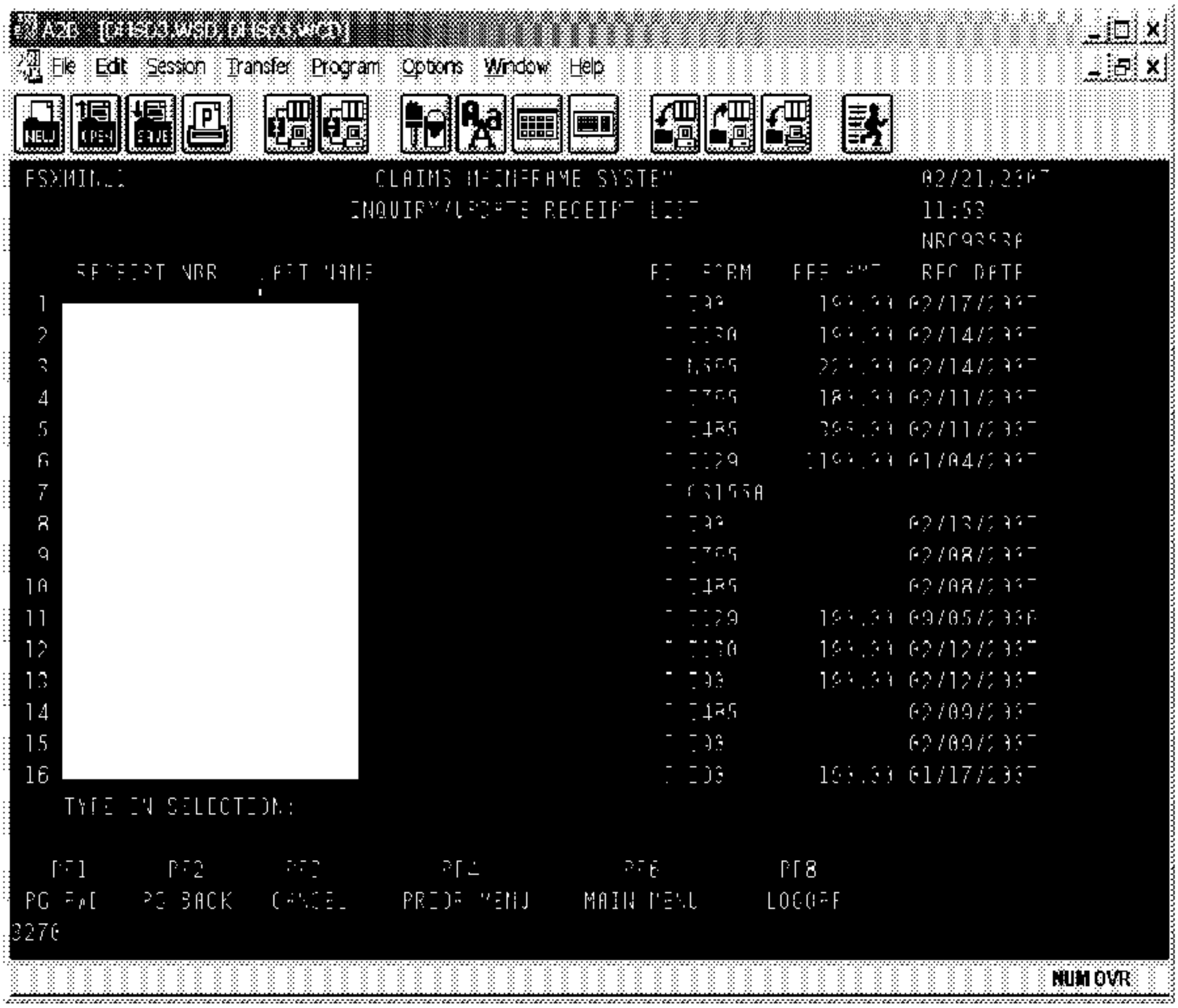
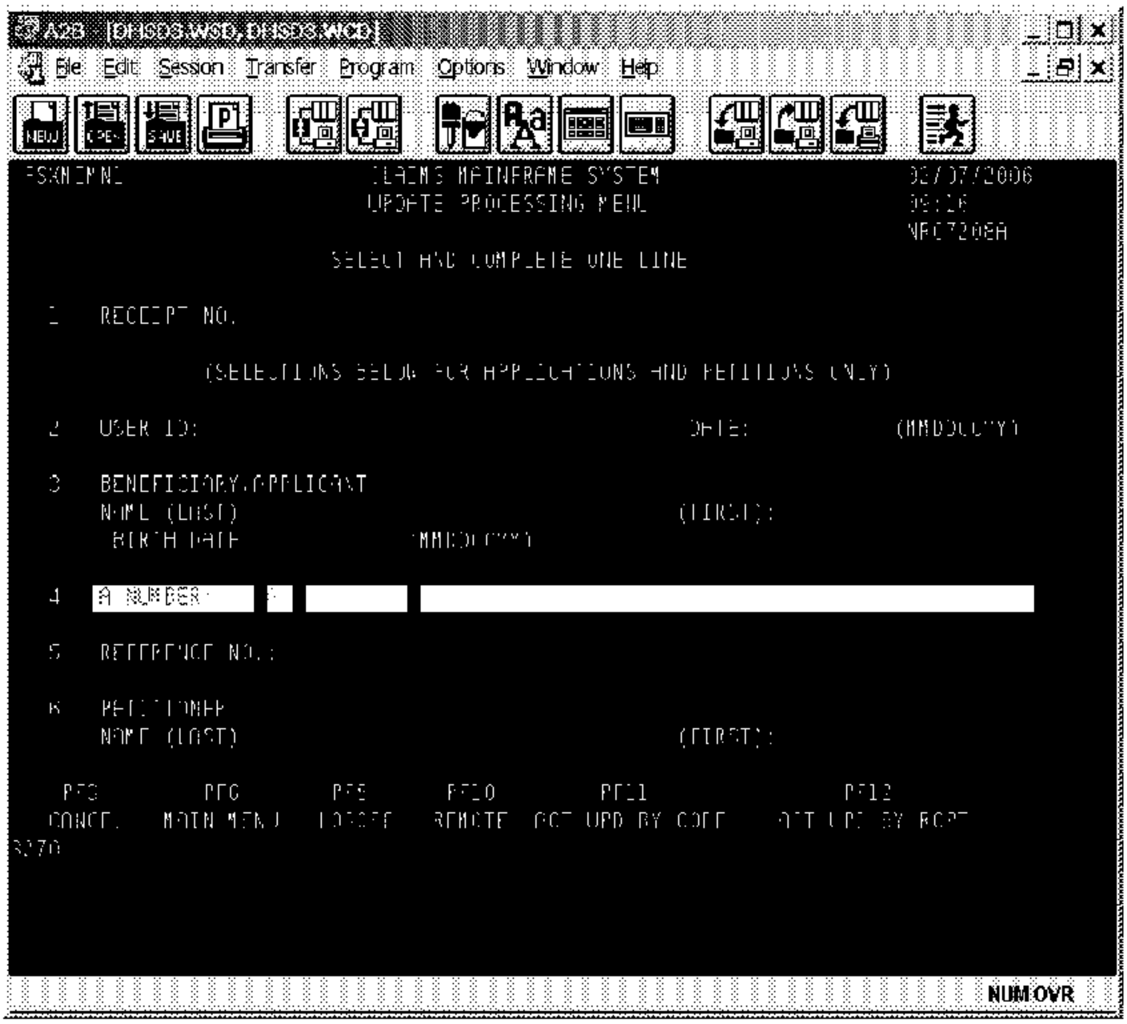
(b)(6)



```
FSXMINLI                CLAIMS MAINFRAME SYSTEM              02/21/2007
                      INQUIRY/UPDATE RECEIPT LIST            11:53
                                                             NRC9353A
    RECEIPT NBR   LAST NAME                  FI  FORM    FEE AMT  REC DATE
  1 [redacted]                               I  I90      190.00 02/17/2007
  2                                          I  I130     190.00 02/14/2007
  3                                          I  N565     220.00 02/14/2007
  4                                          I  I765     180.00 02/11/2007
  5                                          I  I485     325.00 02/11/2007
  6                                          I  I129    1190.00 01/04/2007
  7                                          I  G3155A
  8                                          I  I90             02/13/2007
  9                                          I  I765            02/08/2007
 10                                          I  I485            02/08/2007
 11                                          I  I129     190.00 09/05/2006
 12                                          I  I130     190.00 02/12/2007
 13                                          I  I90      190.00 02/12/2007
 14                                          I  I485            02/09/2007
 15                                          I  I90             02/09/2007
 16                                          I  I90      190.00 01/17/2007
    TYPE IN SELECTION:

  PF1      PF2       PF3        PF4          PF6         PF8
 PG FWD   PG BACK   CANCEL    PRIOR MENU   MAIN MENU    LOGOFF
3276
```

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.

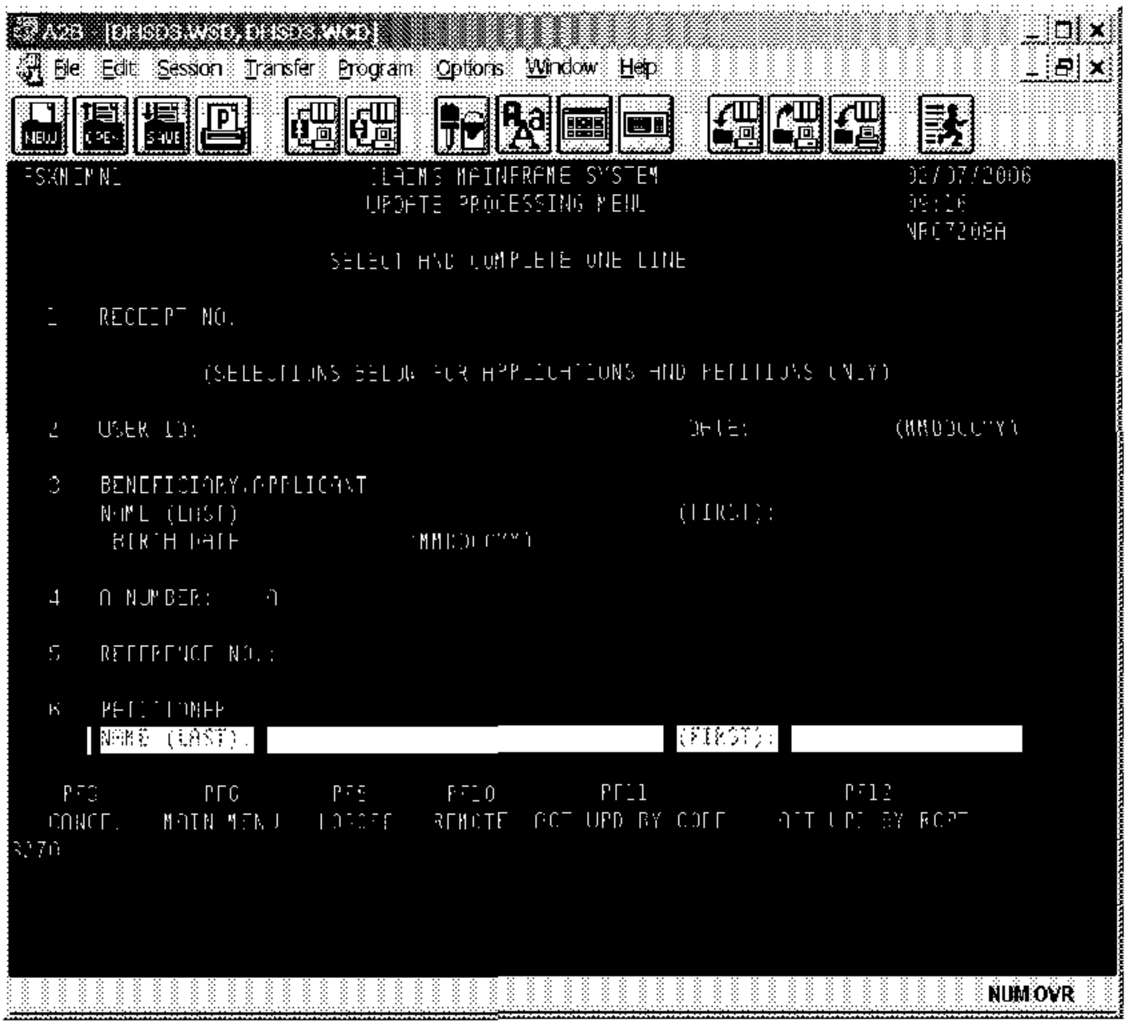
## 5.2.10 Searching with the A-Number


A2B - [DHSD3.WSD, DHSD3.WCD]
File Edit Session Transfer Program Options Window Help
NEW
OPEN
SAVE
NUM OVR

```
FSXNIMNI                    CLAIMS MAINFRAME SYSTEM                  02/07/2006
                            UPDATE PROCESSING MENU                   09:16
                                                                     NRC7208A
                         SELECT AND COMPLETE ONE LINE

  1   RECEIPT NO.

            (SELECTIONS BELOW FOR APPLICATIONS AND PETITIONS ONLY)

  2   USER ID:                                   DATE:          (MMDDCCYY)

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

  4   A NUMBER:

  5   REFERENCE NO.:

  6   PETITIONER
      NAME (LAST)                                (FIRST):

   PF3        PF6       PF8      PF10        PF11              PF12
  CANCEL   MAIN MENU   LOGOFF   REMOTE   ACT UPD BY CODE    ACT UPD BY RCPT
3270
```

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



```
FSXNIMNU                 CLAIMS MAINFRAME SYSTEM                02/07/2006
                         UPDATE PROCESSING MENU                 09:16
                                                                NRC7208A
                      SELECT AND COMPLETE ONE LINE

  1   RECEIPT NO.

          (SELECTIONS BELOW FOR APPLICATIONS AND PETITIONS ONLY)

  2   USER ID:                                   DATE:          (MMDDCCYY)

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

  4   A NUMBER:     A

  5   REFERENCE NO.:

  6   PETITIONER
      NAME (LAST):                               (FIRST):

   PF3       PF6        PF9      PF10        PF11              PF12
  CANCEL  MAIN MENU   LOGOFF    REMOTE  ACT UPD BY CODE   ACT UPD BY RCPT
3270
```

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.

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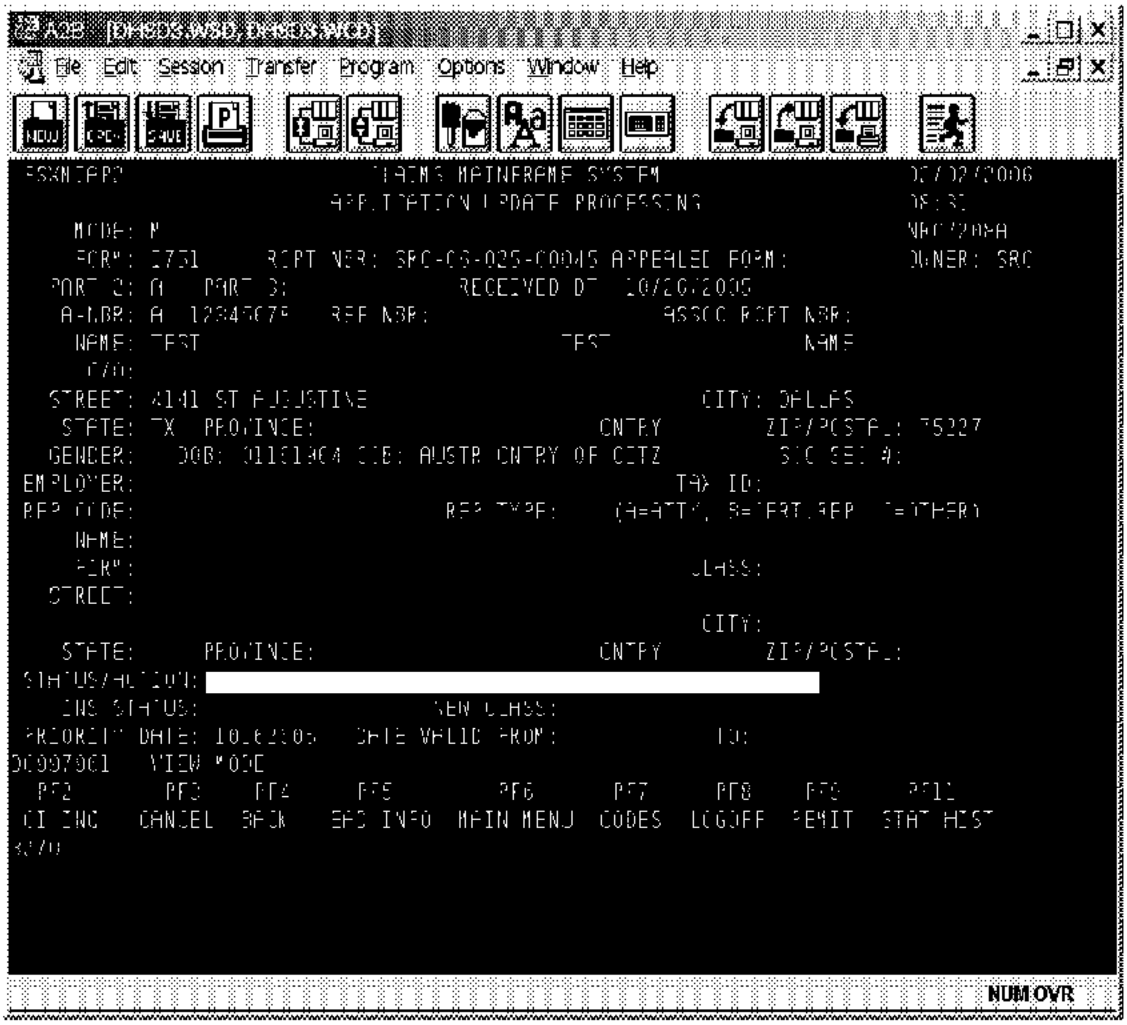
### 5.2.12 Search Results

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



(b)(7)(e)

```
FSXNIAP2                 CLAIMS MAINFRAME SYSTEM                  03/02/2006
                      APPLICATION UPDATE PROCESSING               08:30
    MODE: M                                                       NRC72ARA
    FORM: I751      RCPT NBR: SRC-05-025-00045 APPEALED FORM:     OWNER: SRC
  PART 2: A    PART 3:              RECEIVED DT  10/20/2005
   A-NBR: A  12345678   REF NBR:                    ASSOC RCPT NBR:
    NAME: TEST                          TEST                 NAME
     C/O:
  STREET: 4141 ST AUGUSTINE                         CITY: DALLAS
   STATE: TX  PROVINCE:                     CNTRY         ZIP/POSTAL: 75227
  GENDER:   DOB: 01101964 COB: AUSTR CNTRY OF CITZ         SOC SEC #:
EMPLOYER:                                           TAX ID:
REP CODE:                        REP TYPE:    (A=ATTY, B=ACRT.REP  C=OTHER)
    NAME:
    FIRM:                                           CLASS:
  STREET:
                                                    CITY:
   STATE:      PROVINCE:                    CNTRY         ZIP/POSTAL:
STATUS/ACTION: [redacted]
   INS STATUS:                   NEW CLASS:
PRIORITY DATE: 10202005   DATE VALID FROM:                  TO:
DC097061    VIEW MODE
 PF2        PF3     PF4      PF5        PF6       PF7      PF8     PF9       PF11
CI INC     CANCEL  BACK     EFC INFO   MAIN MENU  CODES    LOGOFF  REMIT    STAT HIST
4B/0
```

The receipt information gives the name, date of birth, A-Number and address. The status of the receipt file is near the bottom of the screen. (STATUS/ACTION: IBS1)

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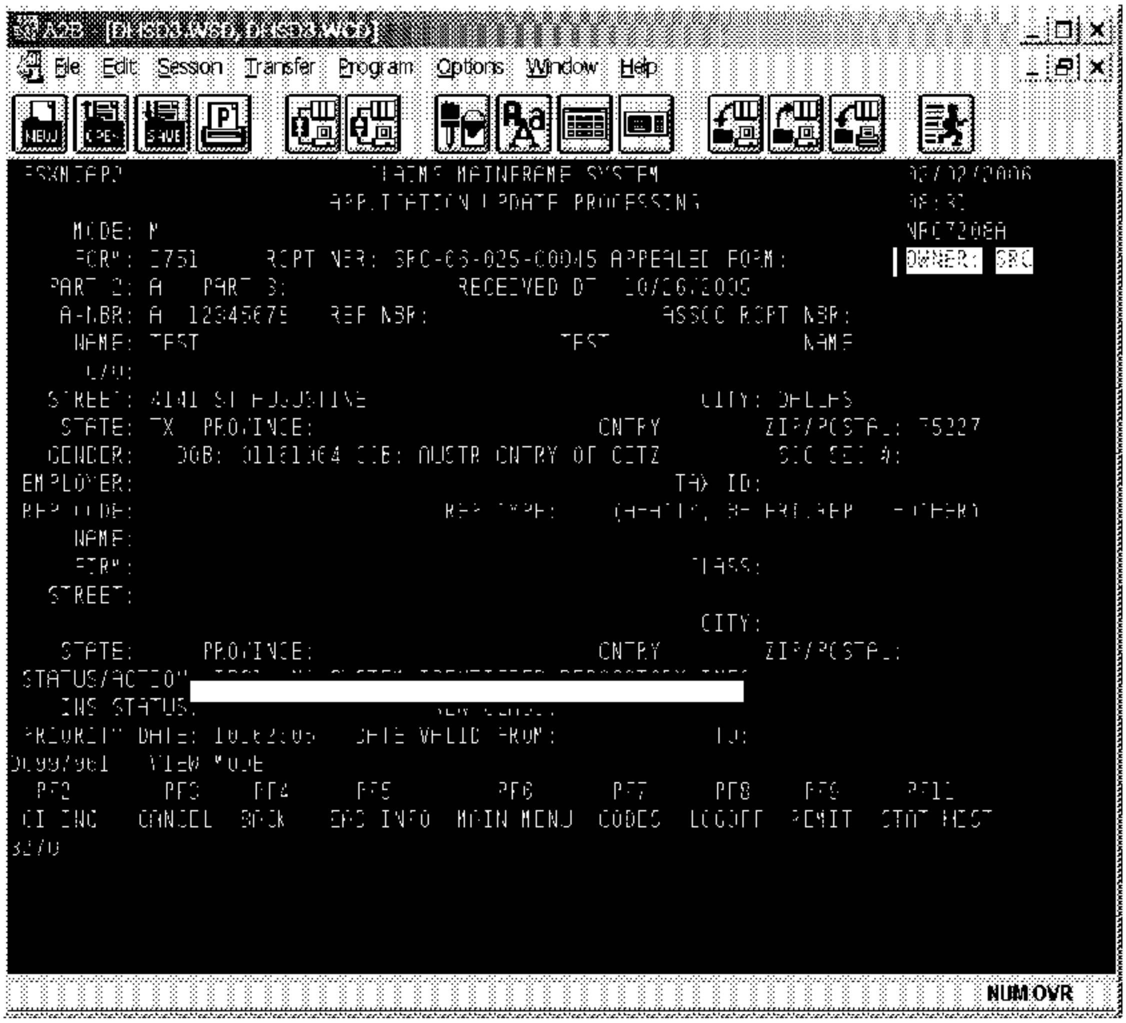

```
FSXNIAP2                    CLAIMS MAINFRAME SYSTEM                    03/02/2006
                          APPLICATION UPDATE PROCESSING                08:30
    MODE: M                                                            NFC720EA
    FORM: I751      RCPT NBR: SRC-05-025-00045 APPEALED FORM:         OWNER: SRC
  PART 2: A    PART 3:             RECEIVED DT  10/26/2005
   A-NBR: A  12345675    REF NBR:                      ASSOC RCPT NBR:
    NAME: TEST                       TEST                  NAME
     C/O:
  STREET: 4141 ST AUGUSTINE                          CITY: DALLAS
   STATE: TX  PROVINCE:                      CNTRY        ZIP/POSTAL: 75227
  GENDER:   DOB: 01181964 COB: AUSTR CNTRY OF CITZ          SOC SEC #:
EMPLOYER:                                          TAX ID:
REP CODE:                        REP TYPE:    (A=ATTY, B= PREPARER  C=OTHER)
    NAME:
    FIRM:                                          CLASS:
  STREET:
                                                   CITY:
   STATE:      PROVINCE:                     CNTRY        ZIP/POSTAL:
STATUS/ACTION [redacted]
   INS STATUS:
PRIORITY DATE: 10262005   DATE VALID FROM:              TO:
00997961    VIEW MODE
  PF2        PF3     PF4     PF5        PF6       PF7     PF8     PF9     PF11
 CI INQ    CANCEL   BACK    EAD INFO  MAIN MENU  CODES   LOGOFF  REMIT   STAT HIST
3270
```

(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.

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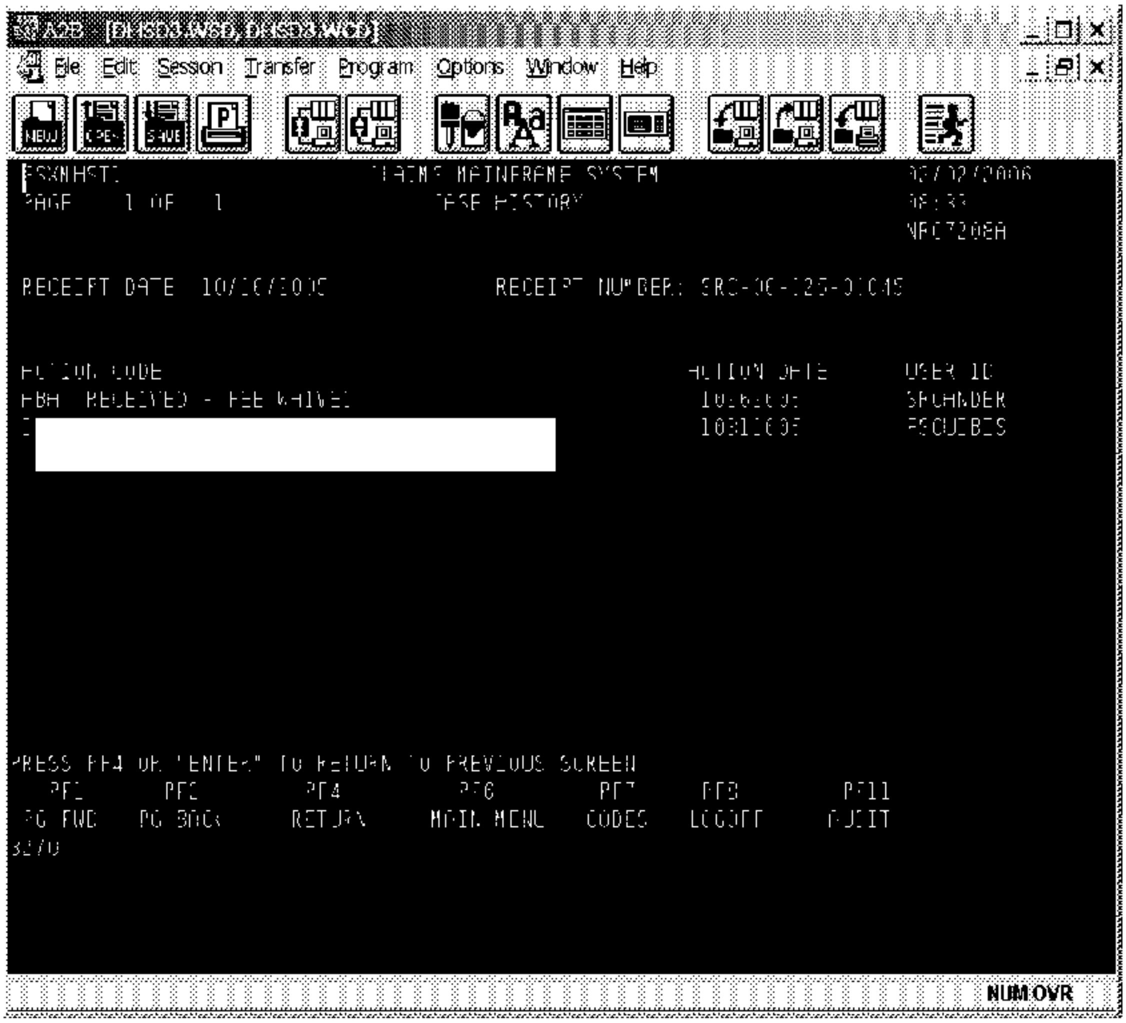

```
FSXNHST1                     CLAIMS MAINFRAME SYSTEM                      03/02/2006
PAGE    1 OF    1                  CASE HISTORY                           08:33
                                                                          NFC720EA

RECEIPT DATE  10/26/2005            RECEIPT NUMBER: SRC-06-025-01045

ACTION CODE                                             ACTION DATE       USER ID
FBH  RECEIVED - FEE WAIVED                               10262005         SRCHANDER
I [redacted]                                             10312005         FSCUIBIS

PRESS PF4 OR "ENTER" TO RETURN TO PREVIOUS SCREEN
   PF1       PF2         PF4          PF6         PF7      PF8        PF11
 PG FWD    PG BACK      RETURN      MAIN MENU    CODES    LOGOFF     QUIT
3270
```

(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.

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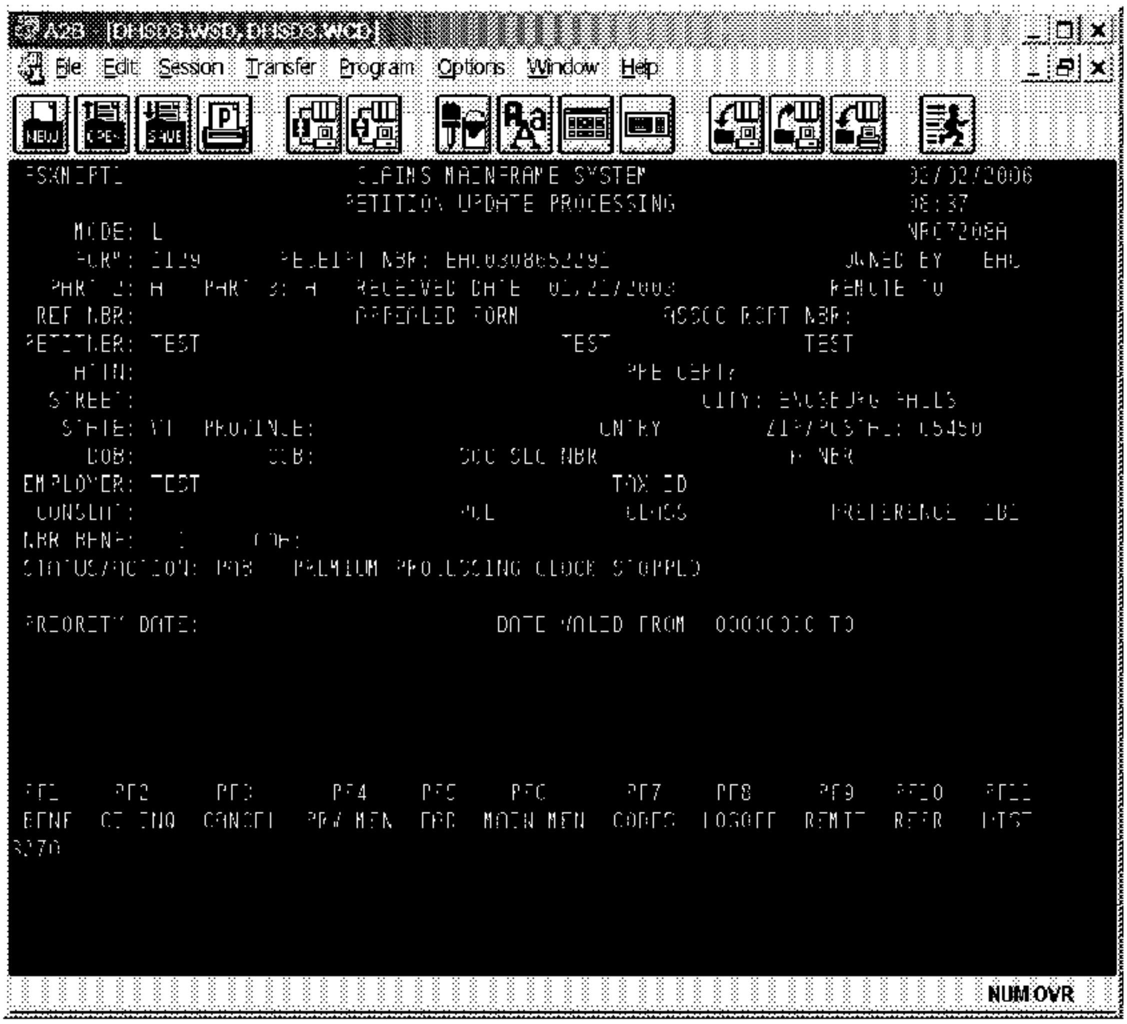
### 5.2.13 Beneficiary Petition for Non Immigrant Worker


A2B - [DHSD3.WSD, DHSD3.WCD]
File Edit Session Transfer Program Options Window Help
NEW
OPEN
SAVE
NUM OVR

```
FSXNIPTI                   CLAIMS MAINFRAME SYSTEM                02/02/2006
                           PETITION UPDATE PROCESSING             08:37
    MODE: L                                                       NRC7208A
    FORM: I129      RECEIPT NBR: EAC0308652291               OWNED BY   EAC
  PART 2: A   PART 3: A   RECEIVED DATE  02/21/2003          ROUTE TO
 REF NBR:                  APPEALED FORM          ASSOC RCPT NBR:
PETITNER: TEST                           TEST               TEST
    ATTN:                                     PRE CERT/
  STREET:                                         CITY: ENOSBURG FALLS
   STATE: VT  PROVINCE:                   CNTRY        ZIP/POSTAL: 05450
     DOB:          COB:          SOC SEC NBR               A NBR
EMPLOYER: TEST                              TAX ID
 CONSLAT:                        POL           CLASS           PREFERENCE  1B1
NBR BENE:    1      COA:
STATUS/ACTION: PAB   PREMIUM PROCESSING CLOCK STOPPED

PRIORITY DATE:                        DATE VALID FROM  00000000 TO




PF1    PF2     PF3      PF4     PF5    PF6       PF7     PF8     PF9    PF10   PF11
BENE  CI INQ  CANCEL   PRV MEN  FEE  MAIN MEN   CODES   LOGOFF  REMIT  REFR   HIST
3270
```

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

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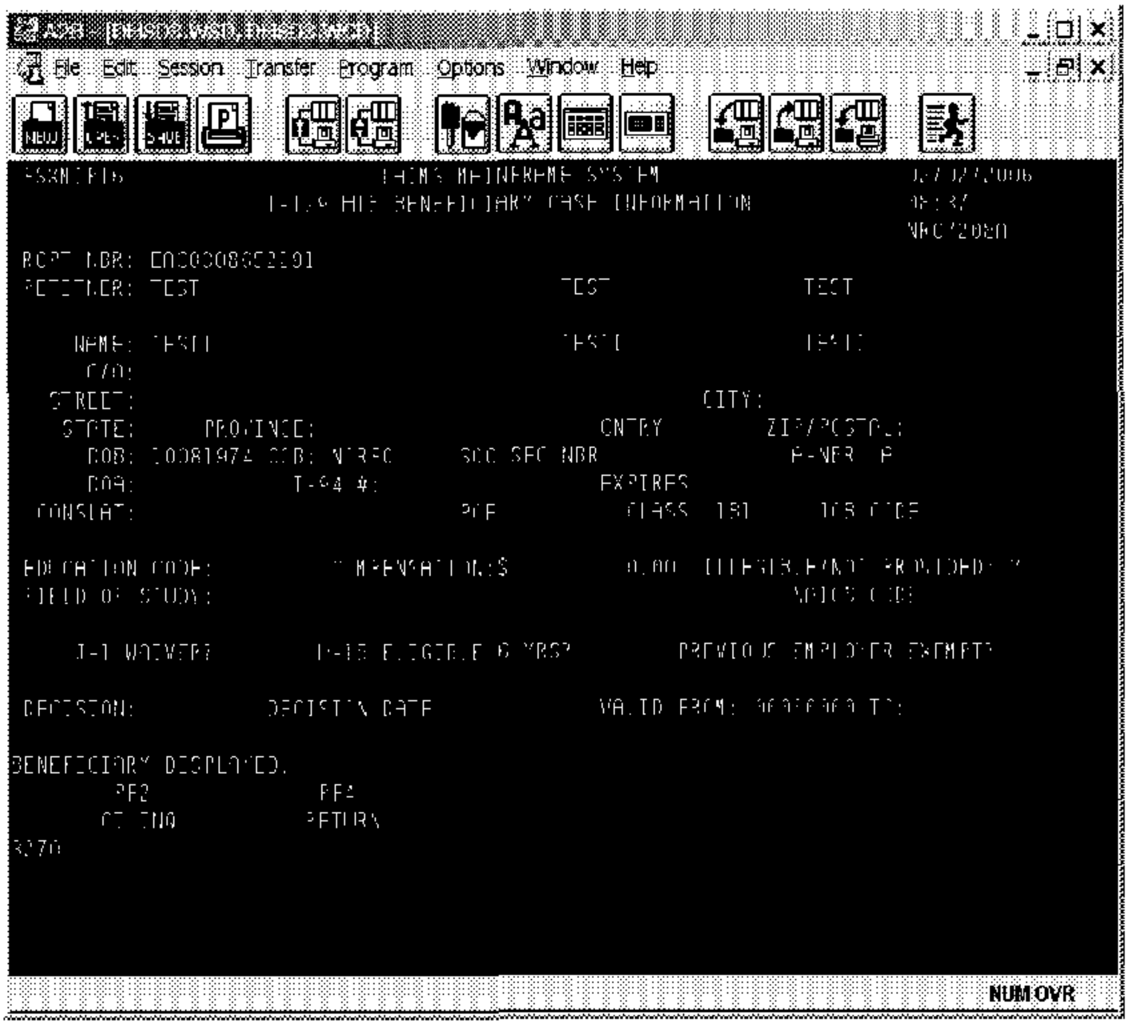
To see the beneficiary information press F1.



```
[illegible]                  CLAIMS MAINFRAME SYSTEM                     [illegible]2006
              I-129 H1B BENEFICIARY CASE INFORMATION                     [illegible]
                                                                          NRC/[illegible]
RCPT NBR: EAC0308652191
PETITNER: TEST                              TEST              TEST

    NAME: TEST1                             TEST1             TEST1
     C/O:
  STREET:                                              CITY:
   STATE:      PROVINCE:                      CNTRY          ZIP/POSTAL:
     DOB: 10081974 COB: [illegible]     SOC SEC NBR                  A-NBR  A
     DOA:                I-94 #:              EXPIRES
 CONSLAT:                            POE          CLASS  1B1       IRS CODE

EDUCATION CODE:          COMPENSATION:$          0.00  [illegible]/NOT PROVIDED: Y
FIELD OF STUDY:                                                  NAICS CODE:

    J-1 WAIVER?         H-1B ELIGIBLE 6 YRS?         PREVIOUS EMPLOYER EXEMPT?

DECISION:            DECISION DATE               VALID FROM: 00000000 TO:

BENEFICIARY DISPLAYED.
        PF2                PF4
      [illegible]          RETURN
3270
```

43

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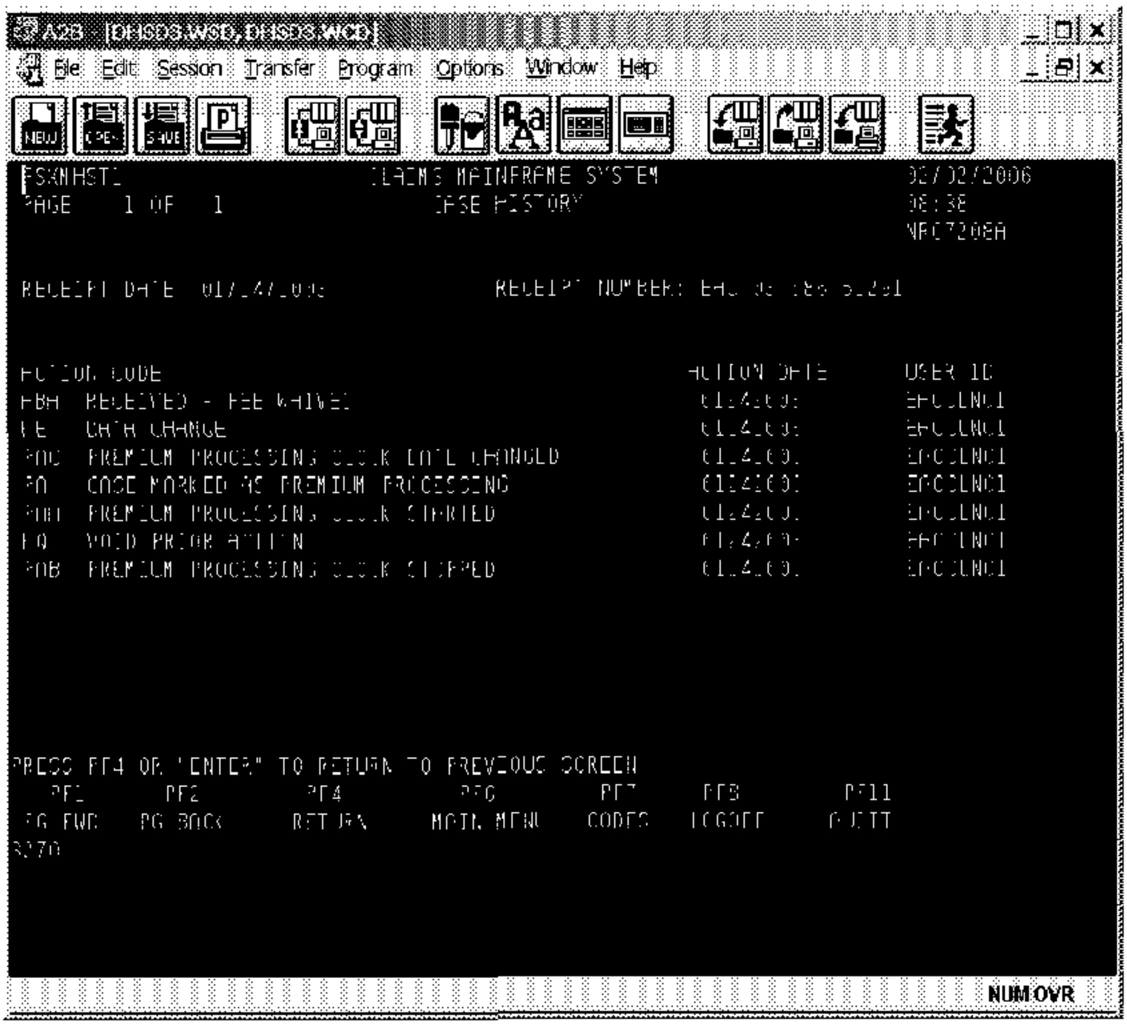
Updated on March 28, 2016

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
NEW
OPEN
SAVE
NUM OVR

```
FSXNHST1                        CLAIMS MAINFRAME SYSTEM                 02/02/2006
PAGE    1 OF    1                      CASE HISTORY                     08:38
                                                                        NRC7208A

RECEIPT DATE  [illegible]                 RECEIPT NUMBER: [illegible]


ACTION CODE                                             ACTION DATE     USER ID
FBA  RECEIVED - FEE WAIVED                               [illegible]    [illegible]
FE   DATA CHANGE                                         [illegible]    [illegible]
PMC  PREMIUM PROCESSING CLOCK DATE CHANGED               [illegible]    [illegible]
PA   CASE MARKED AS PREMIUM PROCESSING                   [illegible]    [illegible]
PMA  PREMIUM PROCESSING CLOCK STARTED                    [illegible]    [illegible]
FQ   VOID PRIOR ACTION                                   [illegible]    [illegible]
PMB  PREMIUM PROCESSING CLOCK STOPPED                    [illegible]    [illegible]




PRESS PF4 OR "ENTER" TO RETURN TO PREVIOUS SCREEN
   PF1       PF2         PF4          PF6         PF7      PF8        PF11
 PG FWD    PG BACK      RETURN      MAIN MENU    CODES    LOGOFF      QUIT
3270
```

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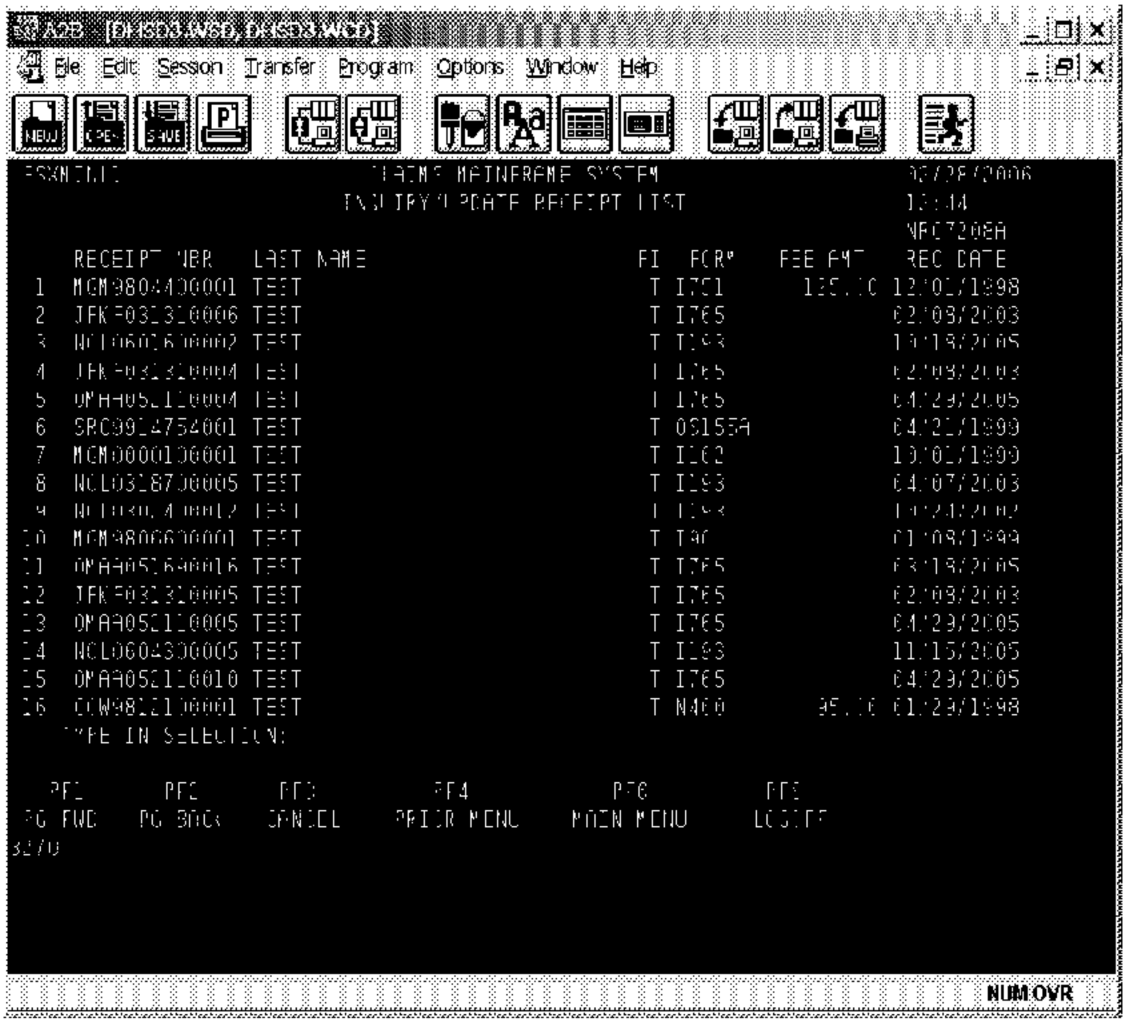


```
FSXNINIT                    CLAIMS MAINFRAME SYSTEM                    03/28/2006
                           INQUIRY/UPDATE RECEIPT LIST                 13:14
                                                                       NFC720EA
    RECEIPT NBR   LAST NAME                         FI  FORM    FEE AMT  REC DATE
 1  MGM9804400001 TEST                              T I751     125.00 12/01/1998
 2  JFK*031310006 TEST                              T I765            02/03/2003
 3  NCL0601600002 TEST                              T I193            10/19/2005
 4  JFK*031310004 TEST                              T I765            02/03/2003
 5  OMA*052110004 TEST                              T I765            04/29/2005
 6  SRC9914754001 TEST                              T OS155A          04/21/1999
 7  MGM0000100001 TEST                              T I102            10/01/1999
 8  NCL0318700005 TEST                              T I193            04/07/2003
 9  NCL0302400012 TEST                              T I193            10/24/2002
10  MGM9806600001 TEST                              T I90             01/08/1999
11  OMA*051640016 TEST                              T I765            03/19/2005
12  JFK*031310005 TEST                              T I765            02/03/2003
13  OMA*052110005 TEST                              T I765            04/29/2005
14  NCL0604300005 TEST                              T I193            11/15/2005
15  OMA*052110010 TEST                              T I765            04/29/2005
16  CCW9812100001 TEST                              T N400      95.00 01/29/1998
   TYPE IN SELECTION:

  PF1      PF2      PF3        PF4         PF6        PF9
PG FWD   PG BACK   CANCEL   PRIOR MENU   MAIN MENU   LOGOFF
3270
```

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.

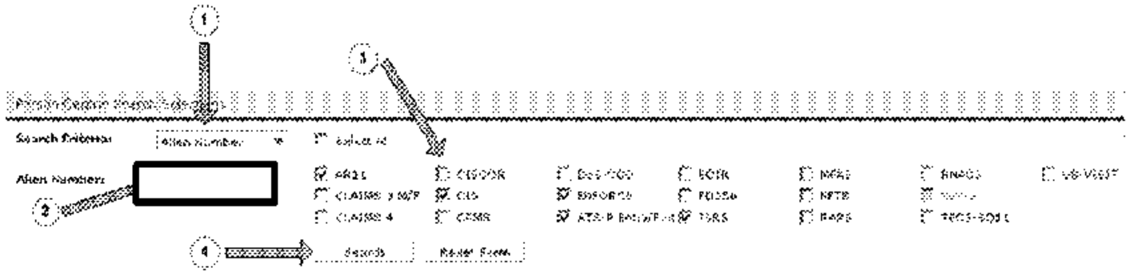
## 5.3. National File Tracking System (NFTS)

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)

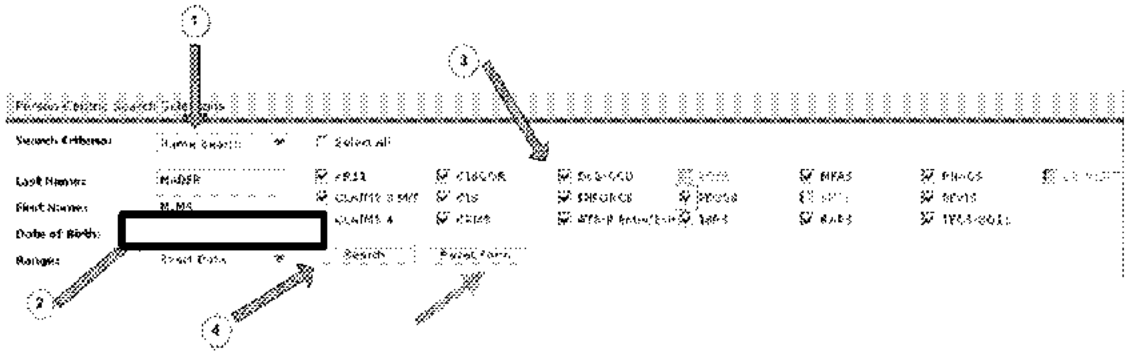
PCQS is an automated system that allows a person to submit a single query for all transactions involving an immigrant across a number of USCIS and Department of State (DOS) systems. PCQS returns a consolidated view of the immigrant's past interactions with USCIS and the Department of State as he or she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


1
3
Search Criteria
Alien Number
Select All
Alien Numbers
2
ARIS
CIS
CLAIMS 4
ENFORCE
ATS-P
TSRS
NFTS
RAPS
4
Search
Reset Form

[redacted]

(b)(6)


1
3
Person Centric Search Selections
Search Criteria
Name Search
Select All
Last Name
First Name
Date of Birth
Ranges
Exact Date
ARIS
CIS
CLAIMS 4
ENFORCE
MFAS
NFTS
RAPS
SEVIS
Search
Reset Form
2
4

[redacted]

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

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

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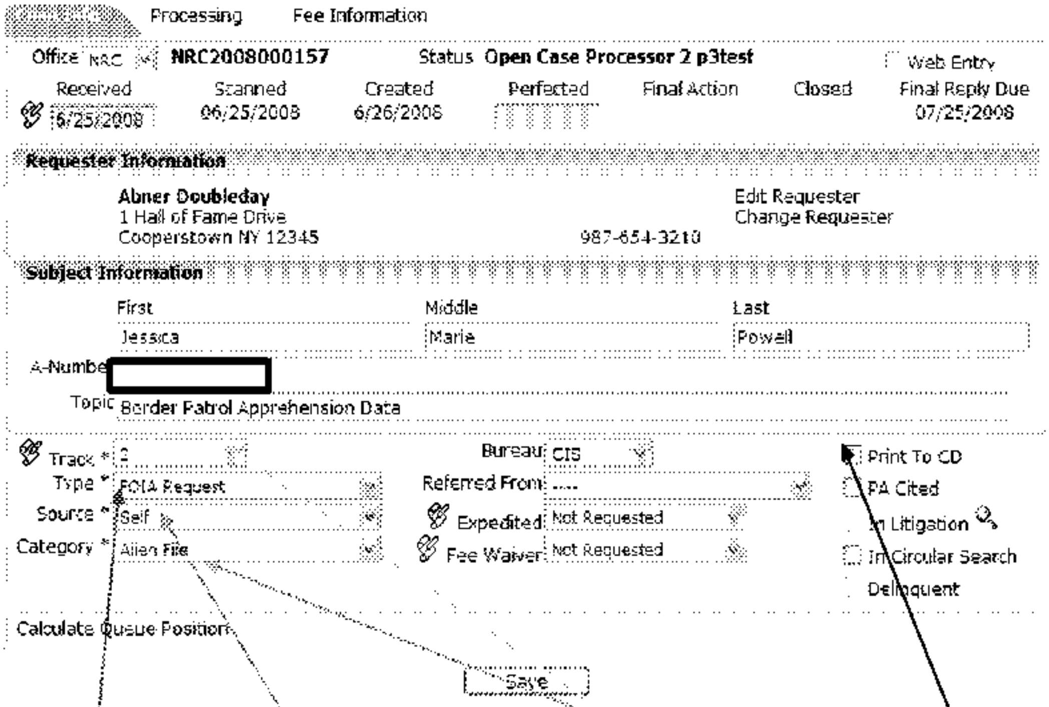
(b)(6)



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

**Subject Information**

First: Jessica
Middle: Marie
Last: Powell
A-Number: [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

**Type of request**

- Always FOIA

**Source**

- Attorney
- Commercial
- Education/Scientific
- Foreign Government
- News Media
- Others
- Representative
- Self
- White House/Congressional

**Track 1, 2 or 3**

**Category**

- Alien File
- Asylum
- Specific Documents
- Non A-File Material
- Personnel
- Special Interest Group
- SFR cases at NRC

**Print to CD**

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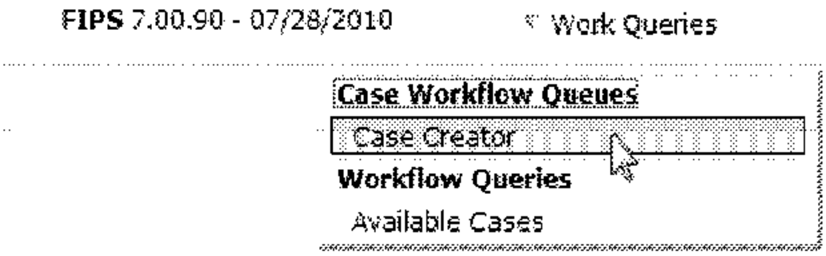
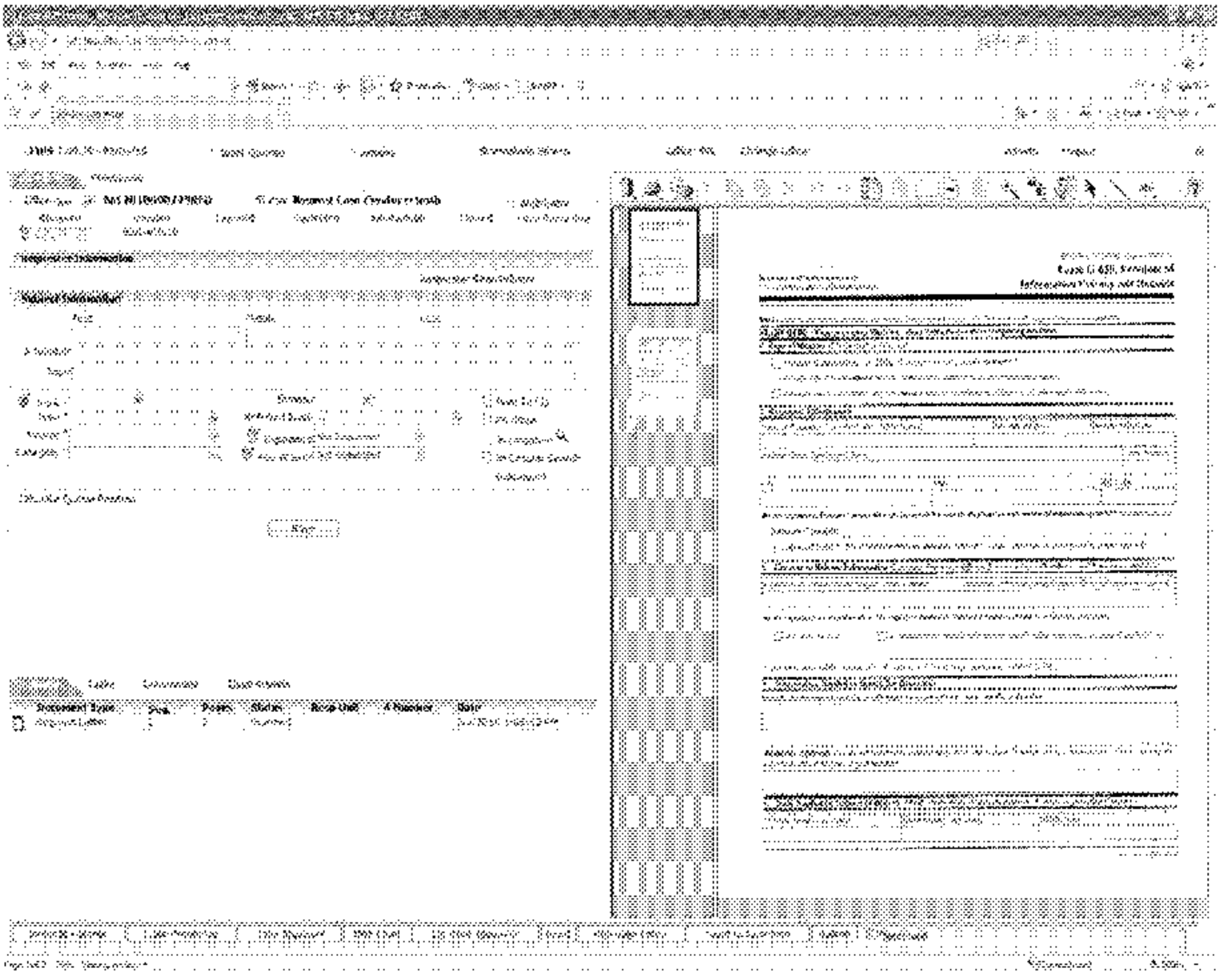
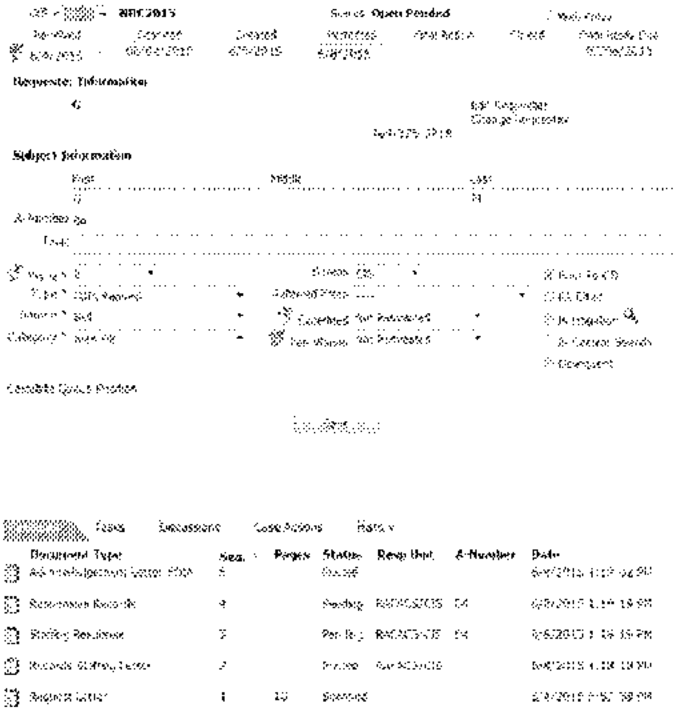
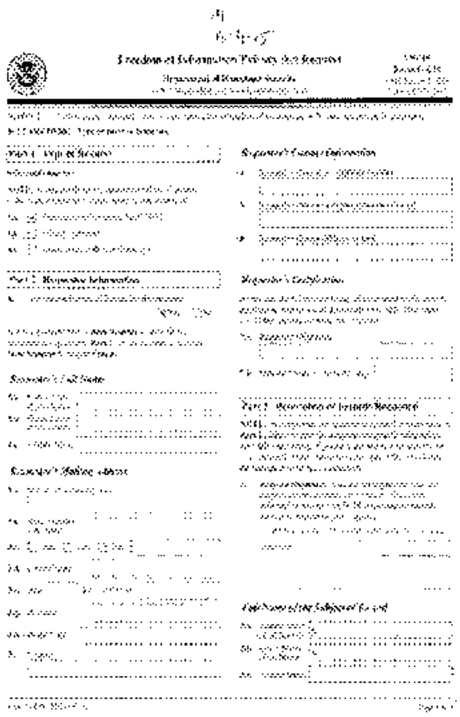
# 6. CREATING THE CASE


FIPS 7.00.90 - 07/28/2010
Work Queries
Case Workflow Queues
Case Creator
Workflow Queries
Available Cases







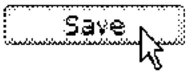
On the FIPS worksheet under the header "Contents," you will notice that usually Seq. 1 is the "Request Letter" and any supporting documents submitted with the request to include the mailing envelope. There will be a date and time in the right column. In older cases, the supporting documents may show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

Occasionally requests are submitted on the following forms; the G-639 alone, G-639 and G28 together, or a Power of Attorney. In addition, requests are submitted by letter from an attorney or a representative and a G-28, and finally requests are submitted by letter from an attorney, or from the subject of record. Occasionally, there will be other documents scanned in, such as an alien registration card, driver's license or other types of identification. You may also see miscellaneous screen prints or memoranda. Make sure to 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 2nd request, create a Discussion note explaining – no further action required.
D. If you do not find an active case for the 2nd 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.

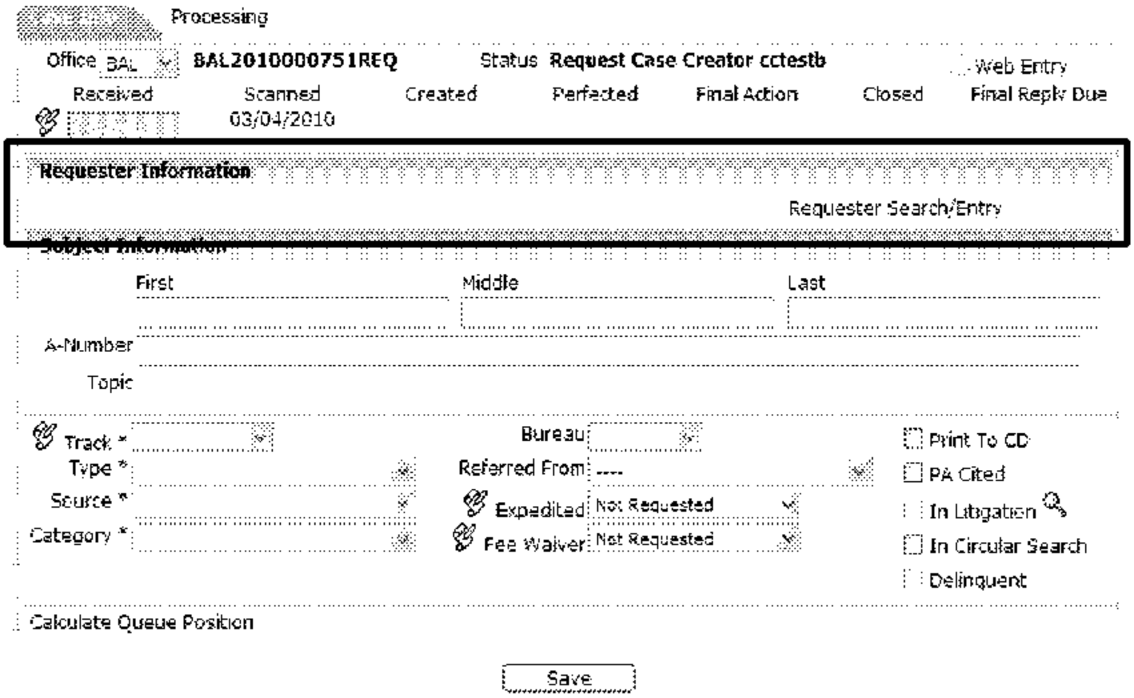
During the Case Create process, you may need to leave your work station, or you may receive a telephone call, or various things may happen to distract you from creating the case. If anything happens and you need to stop work temporarily, it is ***always*** a good idea to click:



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



[redacted] Processing

Office BAL BAL2010000751REQ Status **Request Case Creator cctestb** ☐ Web Entry

| Received | Scanned | Created | Perfected | Final Action | Closed | Final Reply Due |
|---|---|---|---|---|---|---|
| [redacted] | 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

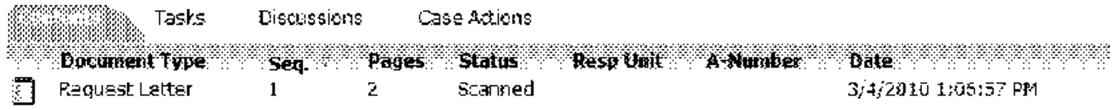
☐ In Litigation

☐ In Circular Search

☐ Delinquent

Calculate Queue Position

Save



[redacted] Tasks Discussions Case Actions

| Document Type | Seq. | Pages | Status | Resp Unit | A-Number | Date |
|---|---|---|---|---|---|---|
| Request Letter | 1 | 2 | Scanned | | | 3/4/2010 1:05:57 PM |

## 6.1.1 RULES FOR ENTERING INFORMATION ON THE FIPS WORKSHEET

6.1.1.1 If the Requestor 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 Requestor did not provide an A-Number, you should search by subject name and/or Requestor name by entering the information on the search screen and checking the boxes to use them in the search. If the Requestor 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 Requestor information.

6.1.1.3 You may use Jr., Sr. or II, III, etc., if the Requestor 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 Requestor 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 Requestor 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 Requestor name.

6.1.1.5 Do not hyphenate names. For instance, if the Requestor 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 Requestor is not clear on the request letter, check the supporting documents for a Form G-28 for the Requestor name.

6.1.1.7 Please add a period after the middle initial.

6.1.1.8 Rescinded.

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 wild-card for these searches. For example, if the Requestor'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 Requestor in Section, "*Requestor Information.*"

If you have a conflict between addresses on a properly filled out G-639 and G-28, please use the address on the G-28.

If the request is not on Form G-639, please use the address that is on the letter unless the Requestor specifies a different address. If you are unsure, please consult a supervisor and add a Discussion explaining your decision.

If the Requestor included a G-28, please look to see if the Requestor is an attorney. If the Requestor is an attorney, please look at the name of the firm. If the name of the firm includes the attorney's name, please make the second line of your address "Attorney at Law." If the name of the firm does not include the attorney's name, please make the second line of the address the name of the firm. If the Requestor is not an attorney, then simply use the address that is in the *Requestor Information* block of the G-639. For further guidance, please refer to section 6.1.1.17 of this guide.

You may use other request documents to verify what is shown as the Requestor address on the request.

We cannot create FOIA cases in the name of a foreign consulate or a congressional office. If the address on the request is a foreign consulate office, or is 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 you do, please create a Discussion saying you did so.

If there is a cover letter or other document specifying that the records should be sent to a different address than the consulate or congressional office, then you may use the address listed on the G-28, or other documents in the request, such as an envelope. If you do, please create a Discussion saying you did so.

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 you can find no useable 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 call the Requestor or 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 issue is when the case is processed and the CD is printed, it only prints the first 4 lines. The Requestor'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 Requestor does not provide a valid address use: 123 Main Street, Washington, DC 12345. Close the case as FC, blank out FC letter, then send the case to up front approver. Please add a Discussion note to the case titled "Missing address," explaining the illegible mailing 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 Requestor's name is always the first line.

6.1.1.17 Why identify the Requestor as an attorney? In addition to being a sign of respect and professionalism, it makes the acknowledgment letter legal mail, which in many states guarantees special confidential treatment. Properly addressing attorney(s) as third party Requestors in FIPS:

**Example 1**: If the attorney(s) is not affiliated with a law firm, then the first line of the address should be "Attorney at Law."

| **Requestor** | **Address** |
|---|---|

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| | |
|---|---|
| Christopher T. Stender, (Esquire) | Attorney at Law<br>111 Main Street<br>Sample, MS 44444 |

**Example 2**: If the attorney(s) name is part of the firm's name, then the first line of the address should be "Attorney at Law."

| **Requestor** | **Address** |
|---|---|
| Manual Solis, of (Law Offices of Manuel Solis) | Attorney at Law<br>111 Main Street<br>Borderline, AK 22222 |

**Example 3**: 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.

| **Requestor** | **Address** |
|---|---|
| Spiro Serras, of (Wilens and Baker) | Wilens and Baker<br>111 Main Street<br>Aroundthebend, OK 33333 |

If the address on the request is a residential address under the name of someone other than the subject or Requestor, you must add 'c-o' and the listed person's name (FIPS will not allow c/o). If USPS does not show the Requestor 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 an address is foreign, 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 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 Requestor Search/Entry.** To locate and select existing Requestors or to enter new Requestors, click the **Requestor Search/Entry** link to open the Requestor Search Form. To search for an existing Requestor, click in one of the available fields in the Requestor Search Form and begin entering pertinent information. When searching for a Requestor 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 Requestors with matching information. Searching by last name and first name brings up more exact matches. Changing the frequent Requestor indicator to 'either' will search for both regular and frequent Requestors. Refer to the rules in section 6.1.1 for any questions on searching for Requestor information.

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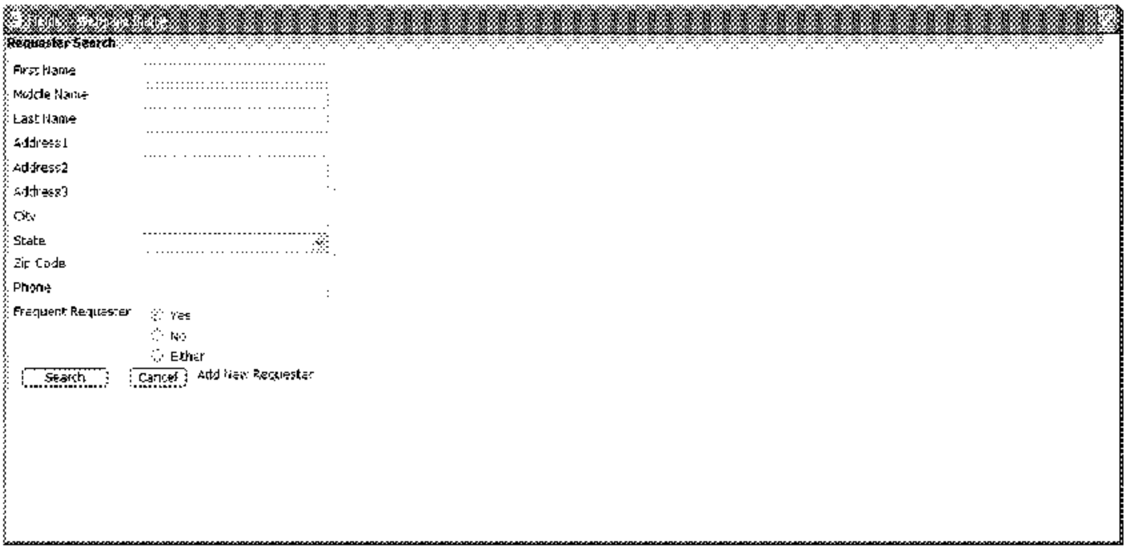
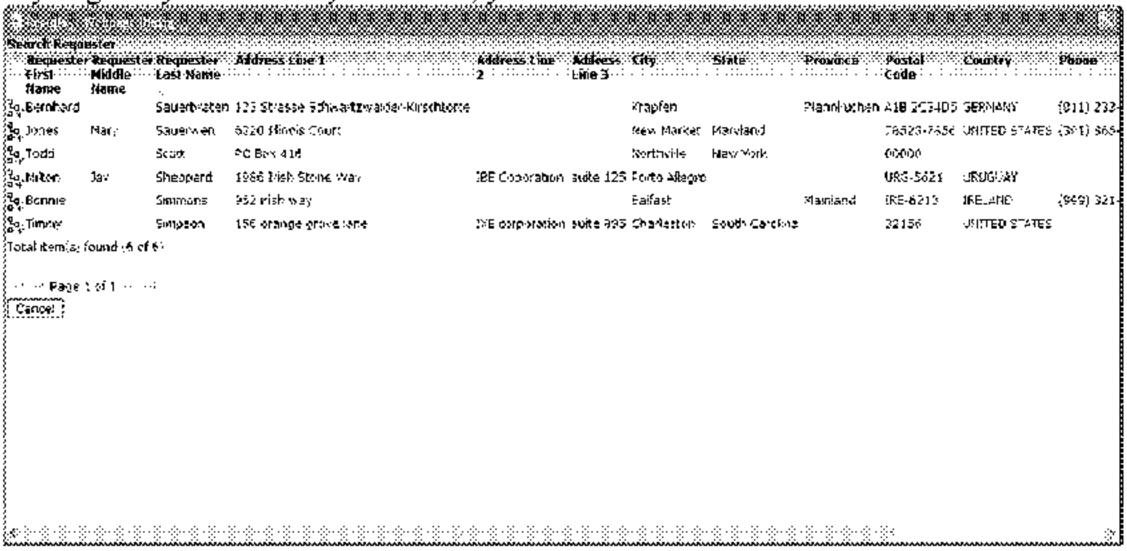

Requester Search
First Name
Middle Name
Last Name
Address1
Address2
Address3
City
State
Zip Code
Phone
Frequent Requester
○ Yes
○ No
○ Either
Search
Cancel
Add New Requester

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

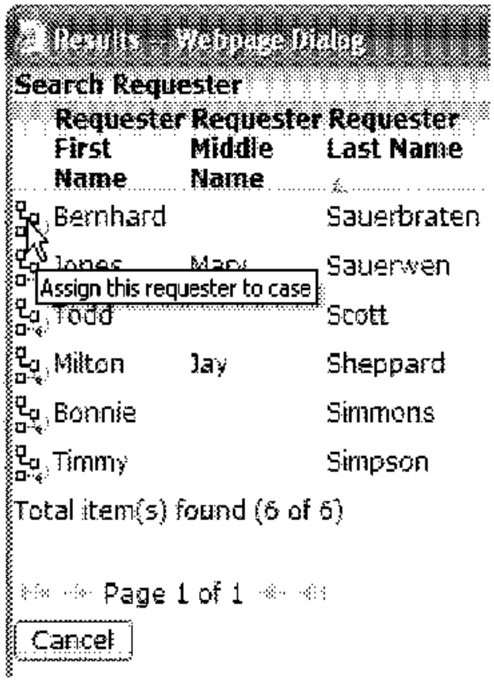

Search Requester

| | Requester First Name | Requester Middle Name | Requester Last Name | Address Line 1 | Address Line 2 | Address Line 3 | City | State | Province | Postal Code | Country | Phone |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | Bernhard | | Sauerbraten | 123 Strasse Schwartzwalder-Kirschtorte | | | Krapfen | | Pfannkuchen | A1B 2C34D5 | GERMANY | (011) 232- |
| | Jones | Mary | Sauerwein | 6320 Illinois Court | | | New Market | Maryland | | 76523-7656 | UNITED STATES | (301) 565- |
| | Todd | | Scott | PO Box 416 | | | Northville | New York | | 00000 | | |
| | Milton | Jay | Sheppard | 1986 Irish Stone Way | IBE Cooporation | suite 125 | Porto Allegro | | | URG-5621 | URUGUAY | |
| | Bonnie | | Simmons | 952 irish way | | | Belfast | | Mainland | IRE-6213 | IRELAND | (949) 321- |
| | Timmy | | Simpson | 156 orange grove lane | IXE corporation | suite 995 | Charleston | South Carolina | | 32156 | UNITED STATES | |

Total item(s) found (6 of 6)

Page 1 of 1
Cancel

If any of those Requestors are a perfect match for your Requestor, you may "Assign this Requestor" 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.



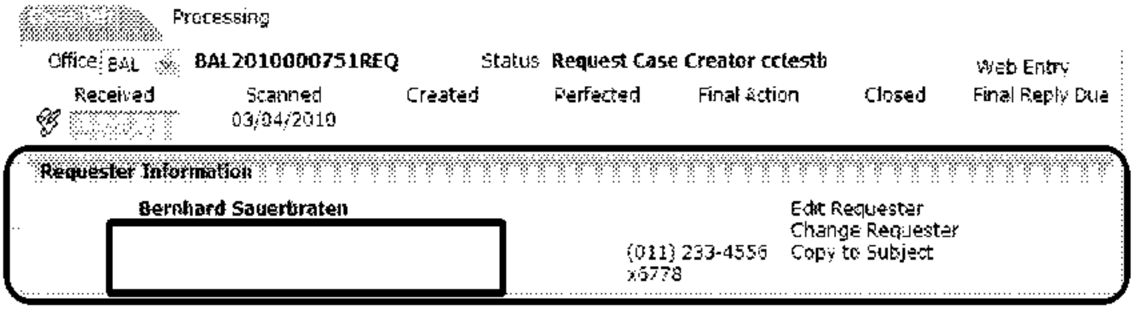
Results -- Webpage Dialog

Search Requester

| Requester First Name | Requester Middle Name | Requester Last Name |
|---|---|---|
| Bernhard | | Sauerbraten |
| Jones | Mary | Sauerwen |
| Todd | | Scott |
| Milton | Jay | Sheppard |
| Bonnie | | Simmons |
| Timmy | | Simpson |

Total item(s) found (6 of 6)

And it will populate the Requestor information like this:



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**

[redacted]

(011) 233-4556
x6778

(b)(6)

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

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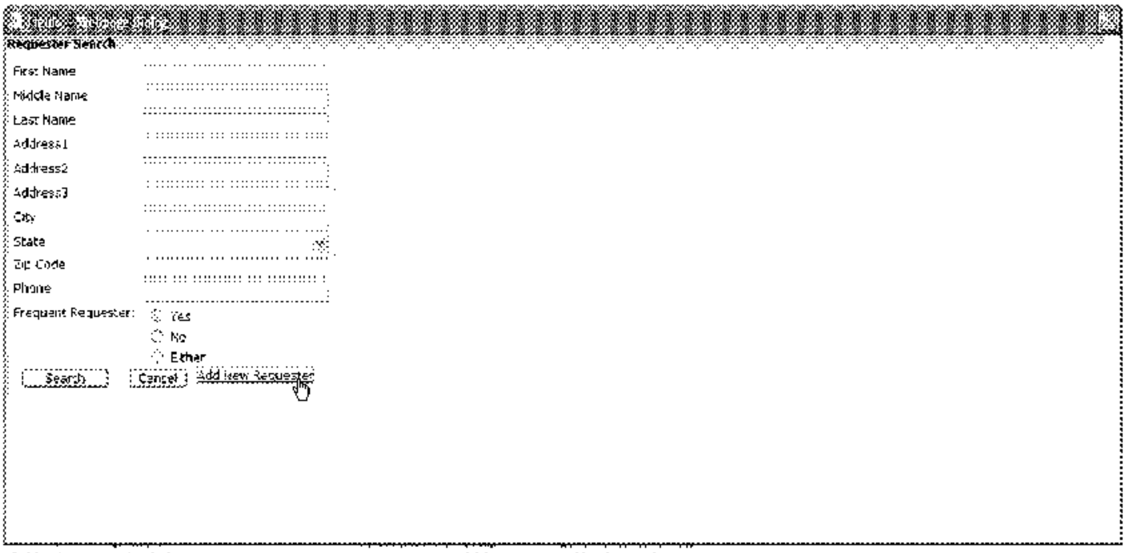
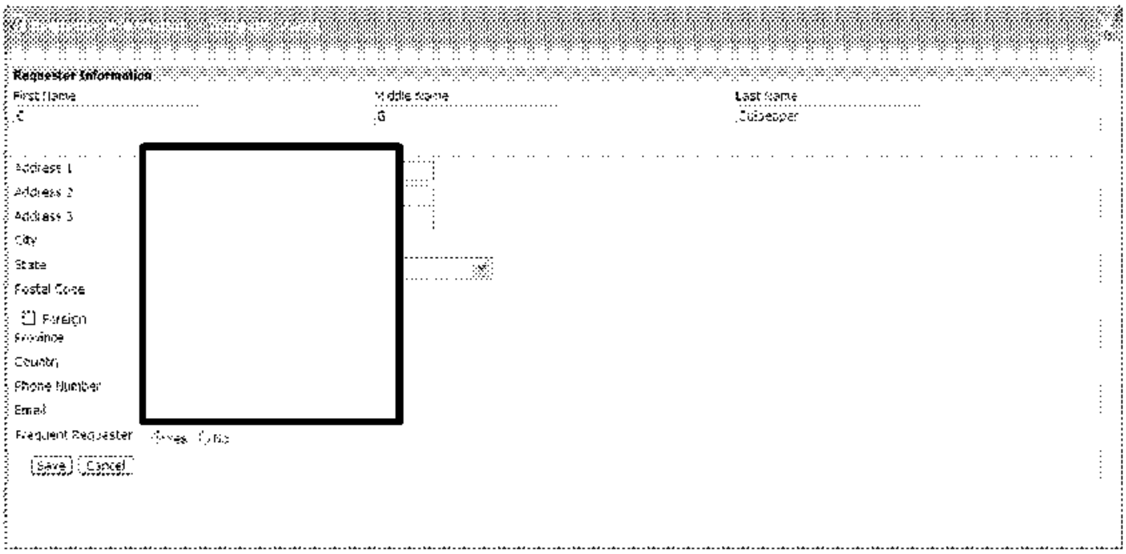

Requester Search
First Name
Middle Name
Last Name
Address1
Address2
Address3
City
State
Zip Code
Phone
Frequent Requester:
Yes
No
Either
Search
Cancel
Add New Requester

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

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

(b)(6)


Requester Information
Address 1
Address 2
Address 3
City
State
Postal Code
Foreign
Province
Country
Phone Number
Email
Frequent Requester
Yes
No
Save
Cancel

First Name: C
Middle Name: G
Last Name: Culpepper

[redacted]

When you click Add New Requestor, you will get a dialog box that you fill in. You will enter all information and decide if this is a Frequent Requestor. If the Requestor is an attorney or representative who is not already in the system, please save as a Frequent Requestor. Do not create a new frequent Requestor 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.'

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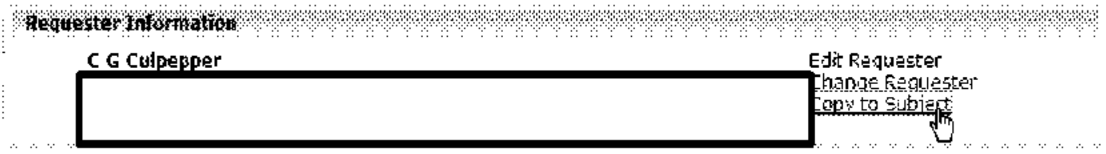
## 6.2 SUBJECT INFORMATION

After saving, look to see if this is a self-request. If so, you can copy the Requestor Information to the Subject by clicking on 'Copy to Subject'



**Requester Information**

C G Culpepper

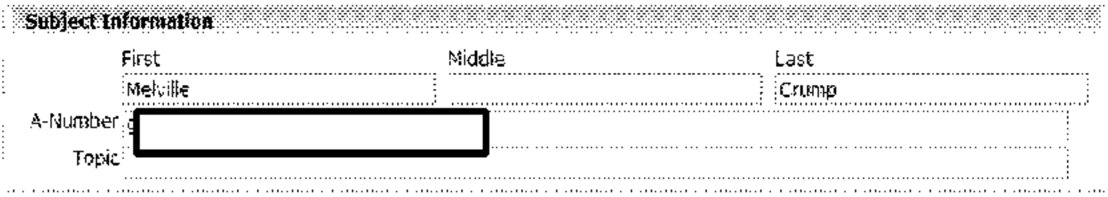
[redacted]

Edit Requester
Change Requester
Copy to Subject

Otherwise, you will have to enter the subject information in the area. If the person gave more than one A-Number, please separate them with a comma in the A-Number field. FIPS converts all 'A-Numbers' to 9 digits by inserting leading zeroes.

(b)(6)

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



**Subject Information**

| First | Middle | Last |
|---|---|---|
| Melville | | Crump |

A-Number: [redacted]
Topic:

### 6.2.1 Name

Enter the subject's name, as it appears in section "Requestor 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 Requestor 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 Requestor's file. In situations like this, the subject information would be that of the beneficiary, not the Requestor. If a receipt has been consolidated into the beneficiary's A-file, we require certification of agreement from the beneficiary or we will close the case as a Total Denial (TD). *See Section 7 for Certification of Agreement 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

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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 additional cases.

**6.2.2.5** If the Requestor 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 certification of agreement from the beneficiary or the case will be closed as a Total Denial (TD). For more information about this, please refer to section 7, Certification of Agreement, Verification of Identity and Description of Records.

### 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:

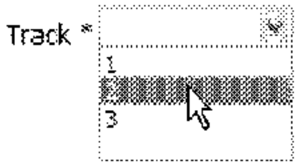
**Correct:** MSC0412360000
**Incorrect:** MSC-04-123-60000

**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.

**6.2.3.3** When the request is for vacancy announcements, the vacancy announcement number must be the first part of the description. See section 6.3.4.4, Significant Interest Group (SIG) Requests, 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 –

Select Track 1 if the request is for:

- a specific document, or
- if your search yields only a receipt file or
- if the only responsive record is screen prints.

Any time you have a RAFACS-only staffing, you should create the case as Track 1. A specific document request consists of three documents or less (except asylum or refugee requests, which you must evaluate more carefully – please refer to section 8.24 SITUATION: Requests for Asylum or Refugee documentation).

**6.3.1.1.1** If the request is for a specific document, please select the category **Specific Documents** and make the case a Track 1. The third paragraph of the acknowledgement letter sent to the Requestor contains the following paragraph and you must modify it 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 Specific Doc Information. 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. Otherwise, if the request is Track 1, but is not a request for specific documents, please delete both sentences that address specific documents (bolded in the paragraph above). Either way, you should never leave the words "**Specific Doc Information**" in your acknowledgment letter.

**6.3.1.1.2** If the request is for a specific document, continue to create the case in Track 1 as Specific Documents. If the Requestor responds that he or she needs the whole file, a FOIA/PA Assistant or Government 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 section 34 for instructions on how to change tracks.

**6.3.1.2 Track 2** – Requests for entire copy of alien file, detentions, deportations or removals, 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 section 34 for instructions on how to change tracks.) Track 2 should also be used for cases created for SIG.

### 6.3.1.1.2.1. Track 1 vs. Track 2 Clarification (G-639 dated 3/31/2015)

We occasionally have confusion on whether a case should be placed in the Track 1 or Track 2 queue. Most of the confusion centers on how we apply Part 3 to our decision-making process.

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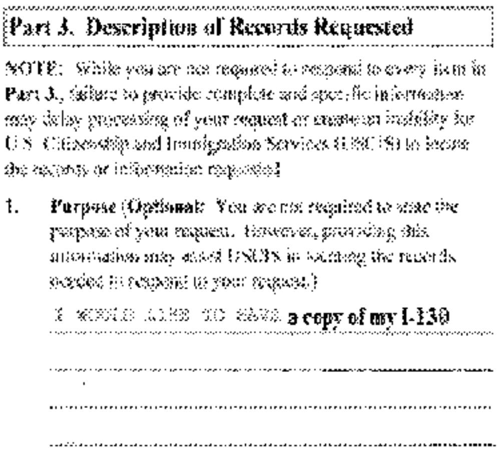
In the latest version of the Form G-639, there is no "Subject of Record Consent to Release Information." You only have Part 3, Description of Record(s) Requested to decide what to release to the requestor.

**Part 3: Description of Record(s) Requested:**

Part 3 is where the requestor decides whether he or she wants their complete A-file or a portion of his or her records.

Consider the example below. The requestor writes in **"I would like to have a copy of my I-130.**

This request will amount to just a few pages. This is a Track 1 case.



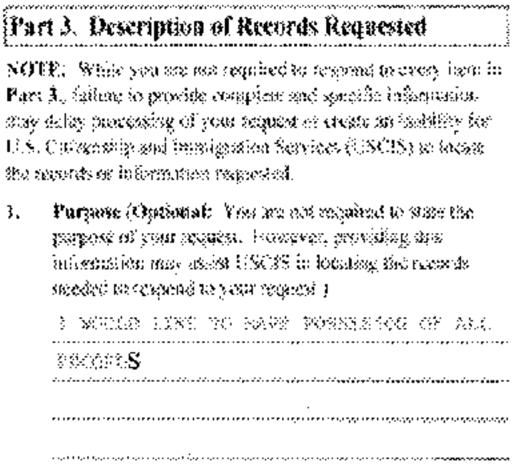
**Part 3. Description of Records Requested**

**NOTE:** While you are not required to respond to every item in **Part 3.**, failure to provide complete and specific information may delay processing of your request or create an inability for U.S. Citizenship and Immigration Services (USCIS) to locate the records or information requested.

1. **Purpose (Optional:** You are not required to state the purpose of your request. However, providing this information may assist USCIS in locating the records needed to respond to your request.)

I WOULD LIKE TO HAVE **a copy of my I-130**

In this next Part 3 example, the requestor wants all of his or her records.



**Part 3. Description of Records Requested**

**NOTE:** While you are not required to respond to every item in **Part 3.**, failure to provide complete and specific information may delay processing of your request or create an inability for U.S. Citizenship and Immigration Services (USCIS) to locate the records or information requested.

1. **Purpose (Optional:** You are not required to state the purpose of your request. However, providing this information may assist USCIS in locating the records needed to respond to your request.)

I WOULD LIKE TO HAVE POSSESSION OF ALL

RECORDS

Is it a Track 2 case? It depends. Section 6.3.3.1 tells us that if you find nothing other than screen prints (RAFACS staffings) or a receipt file, you need to make this a Track 1 case.

However, if the person asks for all records and you find the A-file or more than three documents (Section 6.3.3.2), you are going to make this a Track 2 case.

### 6.3.1.1.2.1 Track 1 vs. Track 2 Clarification

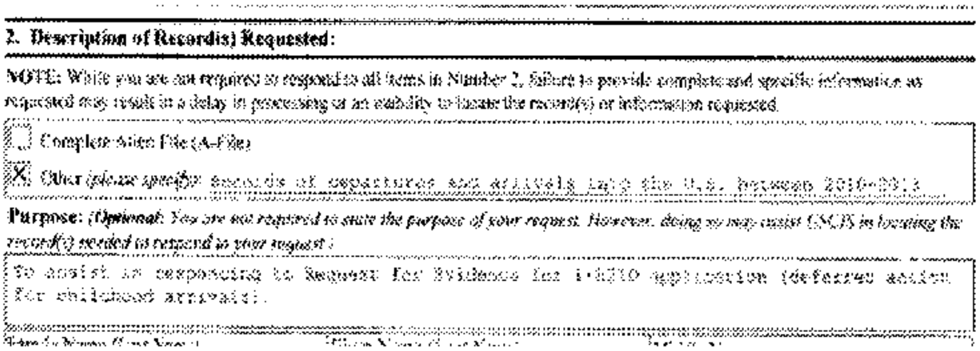
We occasionally have confusion on whether a case should be placed in the Track 1 or Track 2 queue. Most of the confusion centers on how we apply Blocks 2 and 3 to our decision-making process.

**Block 2: Description of Record(s) Requested:**

Block 2 is where the Requestor decides whether he or she wants their complete A-file or a portion of his or her records.

Consider the example below. The Requestor selects **"Other"** and specifies **"Records of departures and arrivals into the U. S. between 2010-2013."**

This request will amount to just a few pages. This is a Track 1 case.



**2. Description of Record(s) Requested:**

**NOTE:** While you are not required to respond to all items in Number 2, failure to provide complete and specific information as requested may result in a delay in processing or an inability to locate the record(s) or information requested.

☐ Complete Alien File (A-File)

☒ Other *(please specify)*: Records of departures and arrivals into the U.S. between 2010-2013

**Purpose:** *(Optional) You are not required to state the purpose of your request. However, doing so may assist USCIS in locating the record(s) needed to respond to your request.*:

To assist in responding to Request for Evidence for I-821D application (deferred action for childhood arrivals).

In this next Block 2 example, "Complete Alien File" is checked.

Is it a Track 2 case? It depends. Section 6.3.3.1 tells us that if you find nothing other than screen prints (RAFACS staffings) or a receipt file, you need to make this a Track 1 case.

But if "Complete Alien File" is checked and you find the A-file or more than three documents (Section 6.3.3.2), check the Track 2 block, no matter what is written in the "Purpose" section.

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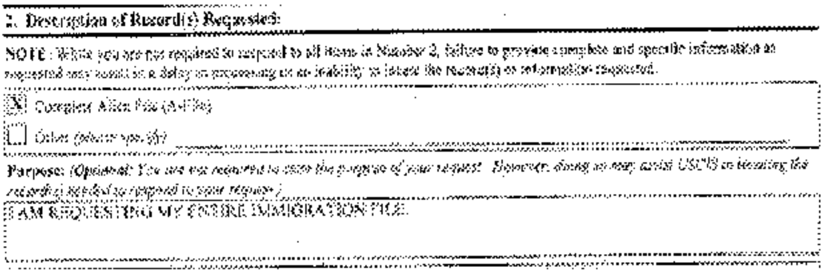


**2. Description of Record(s) Requested:**

**NOTE:** While you are not required to respond to all items in Number 2, failure to provide complete and specific information as requested may result in a delay in processing or an inability to locate the record(s) or information requested.

☒ Complete Alien File (A-File)

☐ Other *(please specify)*

**Purpose:** *(Optional: You are not required to state the purpose of your request. However, doing so may assist USCIS in locating the record(s) needed to respond to your request.)*

I AM REQUESTING MY ENTIRE IMMIGRATION FILE.

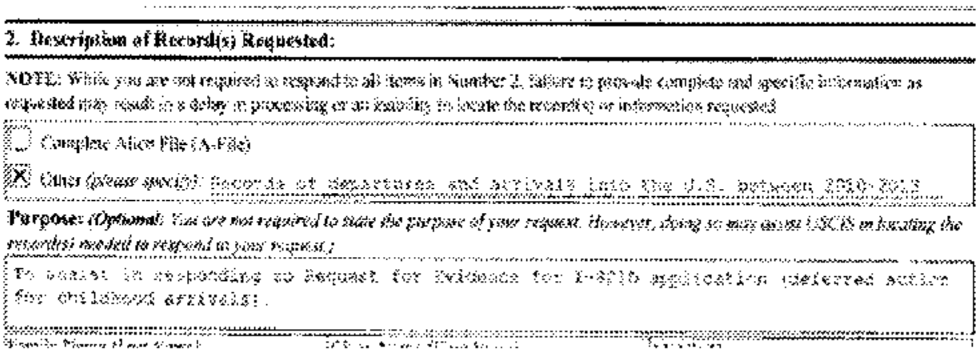
In Block 3, we see what the Requestor gives consent to release.

**Block 3: Subject of Record Consent to Release Information**

You've already selected the track of the case in Block 2. In Block 3, you decide if you have consent. Additionally, you need to consider the following:

1. If your case is a Track 1 (decided in Block 2), the subject of record confirms what information they want released to the Requestor.
2. If your case is a Track 2 (decided in Block 2), Block 3 is only used for certification of agreement if you're releasing to a third-party…nothing else.

For continuity, we'll repeat our first Block 2 example:



**2. Description of Record(s) Requested:**

**NOTE:** While you are not required to respond to all items in Number 2, failure to provide complete and specific information as requested may result in a delay in processing or an inability to locate the record(s) or information requested.

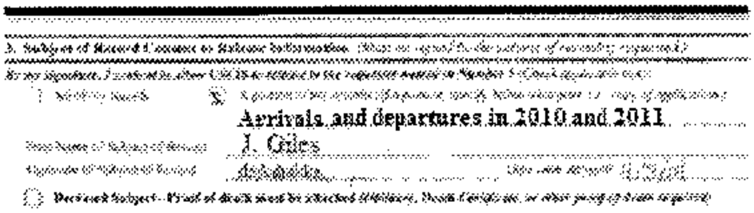
☐ Complete Alien File (A-File)

☒ Other *(please specify)*: Records of departures and arrivals into the U.S. between 2010-2015

**Purpose:** *(Optional: You are not required to state the purpose of your request. However, doing so may assist USCIS in locating the record(s) needed to respond to your request.)*

To assist in responding to Request for Evidence for I-821D application (deferred action for childhood arrivals).

Now in Block 3, the Subject of Record tells us specifically (gives consent) how much of what was requested in Block 2 gets released to the Requestor.



☒ Arrivals and departures in 2010 and 2011

J. Giles

In Block 3, the Subject of Record checked "A portion of my records," and specified that he only wants "Arrivals and Departures in 2010 and 2011" released.
When the records are processed, we will release "Arrivals and Departures in 2010 and 2011" only.

**6.3.1.3 Track 3** – Requests for records of individuals scheduled in the future to appear before an immigration judge. Requestors 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

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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 DP: Duplicate. Add a Discussion to the original case, "Research DP Case closed as DP 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** Requestors will sometimes request both Track 3 processing and expedited processing. Do not select both. Neither has to do with the other. A Requestor 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 Requestors. Attorneys may refer to Track 3 as "the removal track" or "the immigration hearing track." The key is any reference to deportation or removal. Some attorneys do not know the difference between "Track 3" and "Expedited Treatment," and we should not punish them for that. If an attorney requests expedited processing because his or her client has a removal hearing, we should treat that as a request for Track 3 processing and evaluate accordingly.

- Example 1: if the attorney requested expedited processing because his or her client has a removal hearing and the attorney also provided a Notice to Appear with a future scheduled date, then you will create the case as a Track 3 and our acknowledgment will say that the case will be processed in the accelerated track (Track 3). Of course, if you are not sure, you should contact a supervisor.
- Example 2: if the attorney requested expedited processing because his or her client has a removal hearing but the attorney did not also provide supporting documentation, then you will create the case in the regular track and include the Track 3 denial paragraph in your acknowledgment letter. The attorney then has the opportunity to provide supporting documentation to move the case to Track 3.
- Example 3: if the attorney requested expedited processing and cites a threat to health or physical safety, or if the attorney cites no reason at all, then we

should treat it as a request for expedited processing. When we deny expedited processing, we have to send a separate letter informing the Requestor of our decision. The Requestor has the right to appeal our decision to deny expedited processing.

**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.

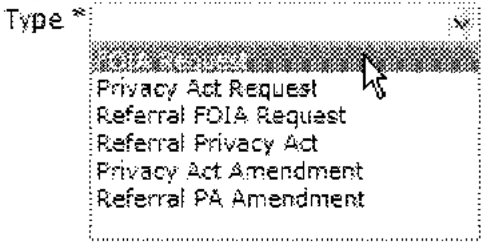
**6.3.1.3.7 New FOIA Requests for Track 3 Processing** If the Requestor specified Track 3 processing on a new FOIA request but the request does not have a cover sheet, please create the case, evaluate the request and make a determination to approve or deny Track 3. If you are unsure, consult your supervisor.

**6.3.1.3.8** If the Requestor 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" near the center of the page on the FIPS staffing sheet, or if it is a letter format, on the first page, just under the address. Entering this information near the center of the page will stop the text box from interfering with the barcode. 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.

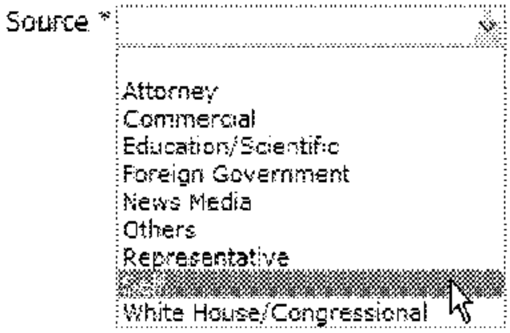
### 6.3.2 Type



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 6.3.4.4.

### 6.3.3 Source



The source of the request is, quite simply, who is making the request. Is the Requestor 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 Requestor? Below is a list of possibilities for Requestors:

- Attorney - The Requestor 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 Requestor 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 Requestor 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 Requestor will have marked the box "Accredited Representative."
- Self - This is a request from the alien himself or herself. The request may have the name of an individual followed by "care of" a certain law firm. This is still a self-request.
- White House/Congressional

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

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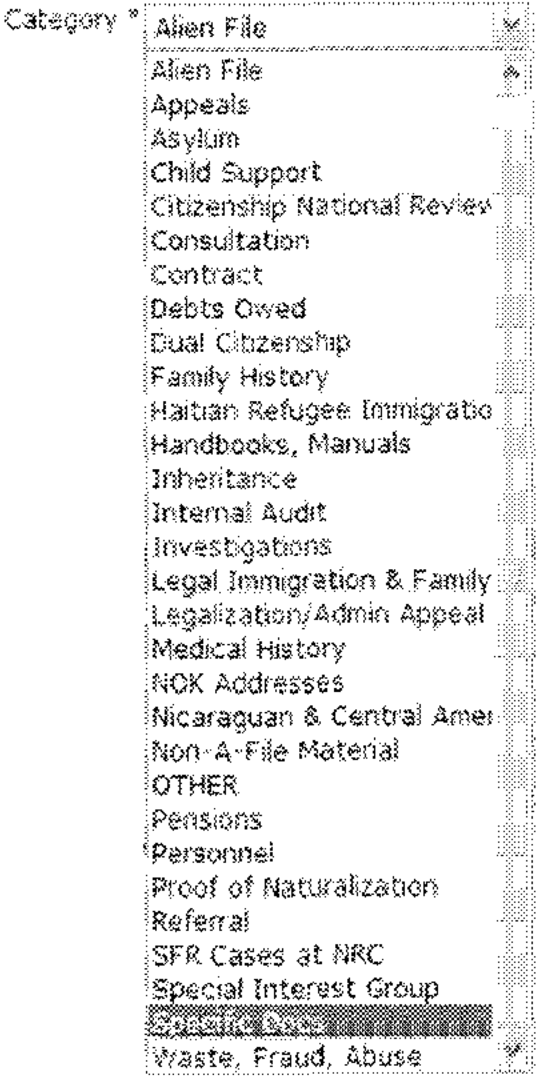
### 6.3.4 Category



Category * Alien File

Alien File
Appeals
Asylum
Child Support
Citizenship National Reviev
Consultation
Contract
Debts Owed
Dual Citizenship
Family History
Haitian Refugee Immigratio
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
Waste, Fraud, Abuse

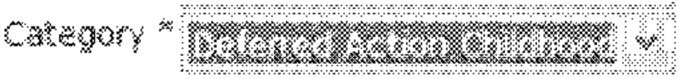
There are 35 different categories of requests. However, the most commonly used ones are:

**6.3.4.1 Alien File** – The Requestor 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 Requestor 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. As a rule, you should create a case as Specific Documents if the Requestor is asking for up to three documents. If a Requestor 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 Specific Document request to specify what documents have been requested. See section 9 for CBP and ICE referrals.

### 6.3.4.3 Deferred Action for Childhood Arrival


Category * Deferred Action Childhood

Please select Category: Deferred Action for Childhood Arrival in any of the following circumstances:

- If the subject of record mentions DACA or Deferred Action for Childhood Arrival
- If the subject mentions being a child on arrival in the United States
- If the subject mentions the "DREAM Act" and you can tell he or she is referring to DACA
- If you see evidence that the person filed Form I-821D in CLAIMS or PCQS.

**Exception: If the FCO is SFR, please select SFR as the category. SFR has priority.**

**6.3.4.4 Significant Interest Group (SIG) Requests** – Generally speaking, SIG processes non-A-File FOIA requests with a few exceptions. Please send requests involving A-files belonging to high-profile individuals, along with all A-file requests submitted by the media, to SIG for handling.

**6.3.4.4.1** Direct the following requests to SIG for handling if:

a. The FOIA request is for congressional correspondence;
b. The FOIA request is from a member of the media;
c. The FOIA request is from a member of an activist group, watchdog organization, special interest group, etc.; Such organizations include: AILA, ACLU, CAIR, CREW, EFF
d. The FOIA request is for a vacancy announcement
e. The FOIA request is for personnel records
f. The FOIA request is for records related to an investigation. It may mention:
    a. Report of Investigation
    b. OSI Investigation

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        - c. Background Investigation (These are not USCIS requests – they are redirected to OPM, however, SIG will handle the redirect).
- g. The FOIA request relates to a USCIS contract
- h. The FOIA request relates to a USCIS grant program
- i. The FOIA request mentions "EB-5" or "Regional Center" records
- j. The FOIA request is for data/statistics
- k. The FOIA request is a PA Amendment
    - a. The Requestor wants to correct information in their records
    - b. The Requestor mentions "SAVE"
- l. The FOIA request is a hybrid, the Requestor is seeking both A-File material AND non-A-File material (for example: "My child's A-file and all USCIS adjudication policies for Vietnam adoptions")
- m. The FOIA request is for emails.

Items listed above are suggestive and not exclusive.

**6.3.4.4.2** If you believe a request qualifies as a SIG request, create the case in the NRC queue, but do not staff or create an acknowledgment letter. Create the case as follows: Track 2; Type: FOIA Request; Source: Others; Category: Others. Do not enter subject's name or A-Number. You must enter a short description into the Topic block. Send an e-mail to NRC, FOIASIG and enter a discussion note into FIPS explaining the situation. Send the case to Unit Chief.

When the FOIA request is for both an immigration file and e-mail, please staff for the file. Next, create a RAFACS staffing slot for the e-mail. Send an e-mail to NRC, FOIASIG, explain the situation in a discussion and send the case to Unit Chief.

A SIG processor will review the case and move it to their queue if it is truly a SIG case. A SIG processor will then finish the creation, create the staffing and acknowledgment letter. If you have questions or need to send information regarding a possible SIG case send it to their e-mail address: 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."

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**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 there is a cover sheet with instructions, such as a Hybrid Genealogy cover sheet, please follow the instructions on the cover sheet, rather than the instructions in this paragraph. 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 the file or create an acknowledgement letter.
c. Select Final Action Letter and redirect (RD) the case to "USCIS Genealogy Program." Use the "RD –Genealogy" letter unless you have a request for dual Italian Citizenship. If you have a request for dual Italian Citizenship use the "Genealogy form –ItalianCit" letter. Both letters are located on the O drive (O:\Foia\FOIA LIBRARY). Copy and paste the appropriate letter over the default letter.
d. After the case is created and the letter has been generated, prepare a discussion and send the case to Unit Chief.
e. Send an email to NRC, GEN (nrc.gen@uscis.dhs.gov) and copy your supervisor with the control number for review. Please case note accordingly.

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, Unit Chief will return the case to you to close.

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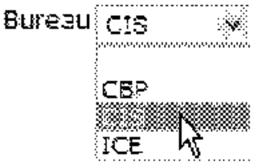
**6.3.4.7 Border Crossing Card:** Sometimes a person has no other record than a Border Crossing Card, and you will know this because the only record you can find for that person is an alien number between 80,000,000 and 86,999,999. If that is the only record you are able to find, select Category **OTHER**, and then refer to Section 12.13 of this guide.

### 6.3.5 Bureau



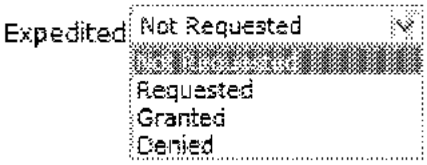
The Bureau selections are used to track cases and apply equally to all processing Tracks. Bureau should be determined by the location of the file at the time the case is created. The three possible selections for Bureau are:

**ICE** – Select this when the Requestor is seeking information in connection with deportation hearings and other immigration related litigation (OPLA/DRO/SAC), based on the NFTS ICE staffing locations. Please set the bureau to ICE if either an A-file or T-file is at an ICE staffing location, regardless of where other files may be.

**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 Requestor/subject provided an alien number, request the file.**

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



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A Requestor 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 Requestor 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 Requestor is a person primarily engaged in disseminating information.

A Requestor 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 Requestor must establish that one of the following situations exists in order to receive expedited treatment of his or her FOIA/PA request. If a Requestor 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:***

A. If you search for duplicates and find the case recently closed as FC or NR, refer to the guidelines in 6.3.6.4 or 6.3.6.5, depending on whether expedited processing was granted or denied. 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 Requestor 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.

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C. If you find a recently closed case with the final action codes of RD, RF, or DP, 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* FOIA request that has now been resubmitted for expedited processing, do not create a new 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 granted 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 or create it as a new case. 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 Requestor 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.

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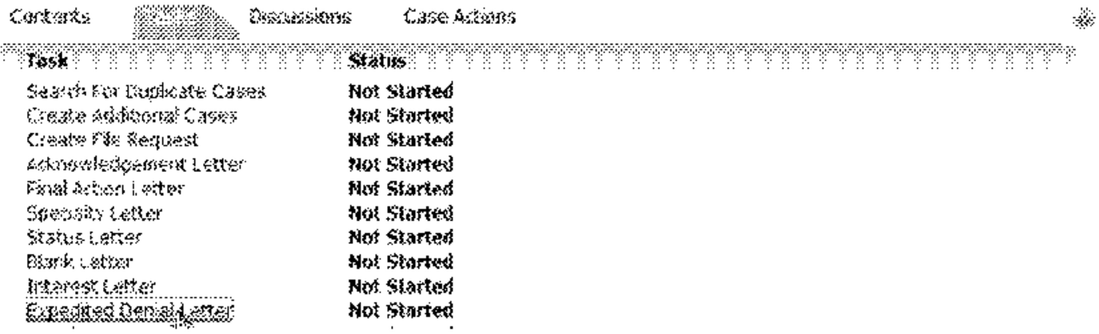
USCIS denies most requests for expedited treatment because the Requestor fails to establish either of the necessary criteria.

**6.3.6.5** If the supervisor **denied expedited processing**, 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 Requestor of the criteria for expediting a request and offer an opportunity to resubmit additional justification. The Requestor 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 Requestor in this denial letter of the criteria for expediting a request and offer an opportunity to resubmit additional justification. The Requestor 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.



| 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 Requestor 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.

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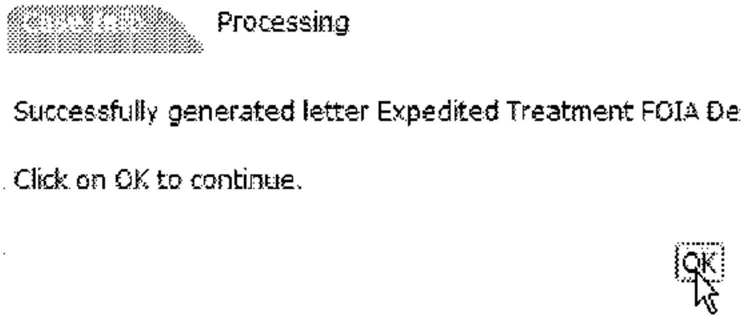
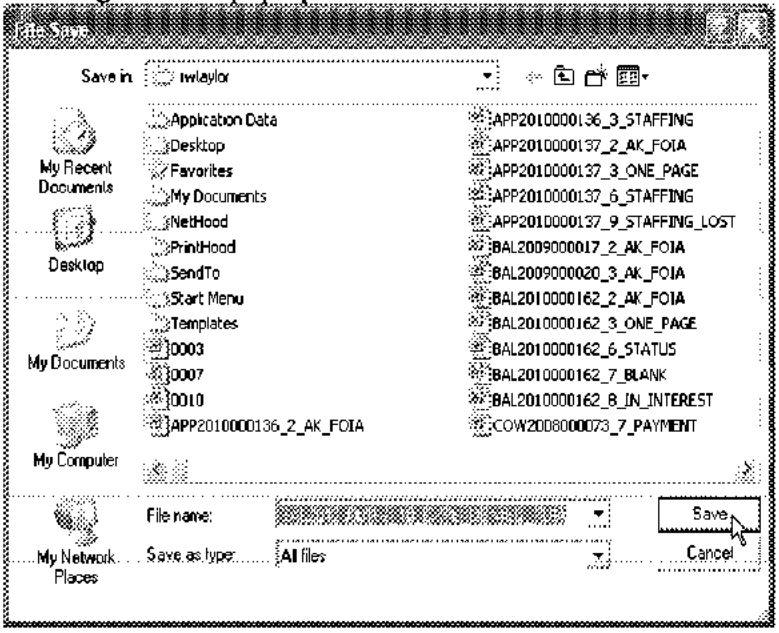


Successfully generated letter Expedited Treatment FOIA Denial.

. Click on OK to continue.

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



Save in: lwlaylor

Application Data
Desktop
Favorites
My Documents
NetHood
PrintHood
SendTo
Start Menu
Templates
0003
0007
0010
APP2010000136_2_AK_FOIA
APP2010000136_3_STAFFING
APP2010000137_2_AK_FOIA
APP2010000137_3_ONE_PAGE
APP2010000137_6_STAFFING
APP2010000137_9_STAFFING_LOST
BAL2009000017_2_AK_FOIA
BAL2009000020_3_AK_FOIA
BAL2010000162_2_AK_FOIA
BAL2010000162_3_ONE_PAGE
BAL2010000162_6_STATUS
BAL2010000162_7_BLANK
BAL2010000162_8_IN_INTEREST
COW2008000073_7_PAYMENT

File name:

Save as type: All files

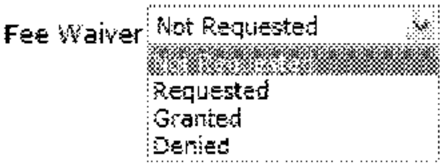
A word document explaining the denial and appeal rights will pop up. After you have done any editing necessary, save the document and check it in.

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 you must create additional cases, 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 section 6.6 of this guide when creating additional 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?



The Requestor 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 Requestor 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 Requestor. For a detailed explanation, please refer to the U.S. Department of Justice Guide to the Freedom of Information Act, "Fees and Fee Waivers."

**If there is no coversheet, how will you recognize a fee waiver request?** Please follow these guidelines:

1. If the Requestor mentions fee waiver at all, treat it as a request for fee waiver.
2. If the Requestor says anything about not being required to pay, treat it as a request for fee waiver.
3. If the form is titled "Fee Waiver Request," treat it as a request for fee waiver.
4. You may call the Requestor to verify that it is a fee waiver request. If you call, please insert a Discussion. If you tried to call but were not able to speak with the Requestor, please insert a Discussion saying so.
5. If the Requestor provides some statement of financial insolvency but makes no mention of fee waiver request or does not mention inability to pay, then it does not constitute a fee waiver request, and we ignore it.
6. Contact a supervisor if you are unsure. If you have specific guidance from a supervisor, please insert a Discussion saying so.

**6.3.7.1** When a Requestor 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 Requestor 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,

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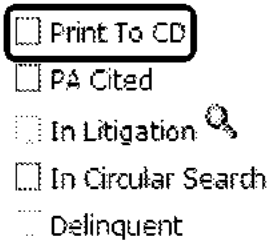
B. Create a Blank Letter with the following sentence included, "This is to inform you that your request for a fee waiver has been granted."

**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 Requestors (with two exceptions). When we send out the acknowledgement letter to the Requestor, 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 Requestor is to a correctional facility or unless the Requestor 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 Requestor 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 Requestor is in prison but we are sending the responsive records to an attorney's office, we will print to CD.

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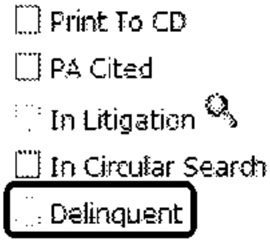
**6.3.8.5** If a Requestor in the United States specifically asks for his or her records on paper, uncheck "Print to CD" box create a Discussion note citing the reason. In such an instance, you must modify the acknowledgment letter so that we do not tell the Requestor we are printing the responsive records 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."

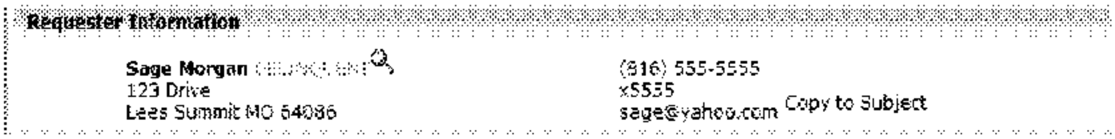
### 6.3.9 Is this a delinquent Requestor?



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

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

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

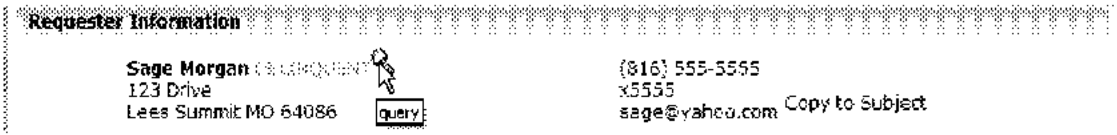


Requester Information

Sage Morgan
123 Drive
Lees Summit MO 64086

(816) 555-5555
x5555
sage@yahoo.com

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



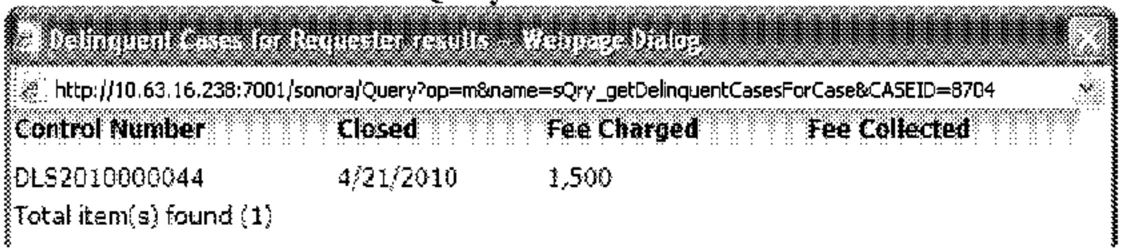
Requester Information

Sage Morgan
123 Drive
Lees Summit MO 64086

(816) 555-5555
x5555
sage@yahoo.com

The query results appear in a separate window.

**Query Results**



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 Requestor/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/Requestor submits a new FOIA request, the Delinquent Requestor notification is going to pop up. Your Requestor may possibly not be on the pop-up list. FIPS conducts a search by the last name(s) of delinquent Requestors.

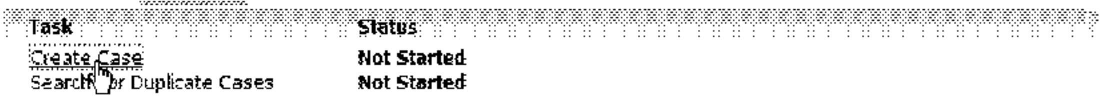
## DELINQUENT REQUESTOR RULES:

**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 Requestor and the delinquent case number(s).

**6.3.9.2** If you encounter a delinquent Requestor 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 Requestor of the case you are creating is the same Requestor 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 Requestor matches your Requestor, 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 Requestor and click ok.

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



| 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 Requestor is delinquent, do not request responsive records until we receive payment.

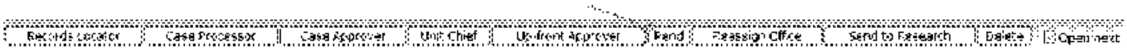
NOTE: If you are creating additional cases, you should do so before you prepare the Acknowledgment Letter and File Request(s) for the original case. For instructions, please refer to section 6.6 of this guide.

NOTE: A FOIA/PA Assistant or Government Information Specialist working in Records Locator queue may need to cancel pending Requestor 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 Government Information Specialist working in Records Locator queue does cancel pending Requestor documentation, he or she should generate a new acknowledgement letter and staff the case as usual.

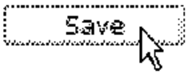
If the Requestor has more than one delinquent case, you will have to add up the total and modify the delinquent Requestor letter providing the case number for each delinquent case, the dollar amount owed for each, the total dollar amount owed, and instructions to prepare a check for the total amount 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 Requestor, include the same request documents dated on or about the same date and is seeking the same information about the same subject. If there is a request with an ICE or CBP referral letter, the letter should have been attached to the ***open pending original case*** as a CSD. Please do not close this case ER. Send the case to research.

Sometimes a Requestor 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, send 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 Requestor is now providing additional information, it is not a duplicate.

This does not include instances in which the Requestor 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. Set this case as a DP (duplicate) case to the open pending original case and modify (insert the "Upon review" statement…) your Final Action Letter.

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 Requestor did not provide an alien number, you may search by the subject's last name and first name, or even by the Requestor's last name and first name. You may use a percent sign (%) as a wild-card for these searches. For example, if the Requestor'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.

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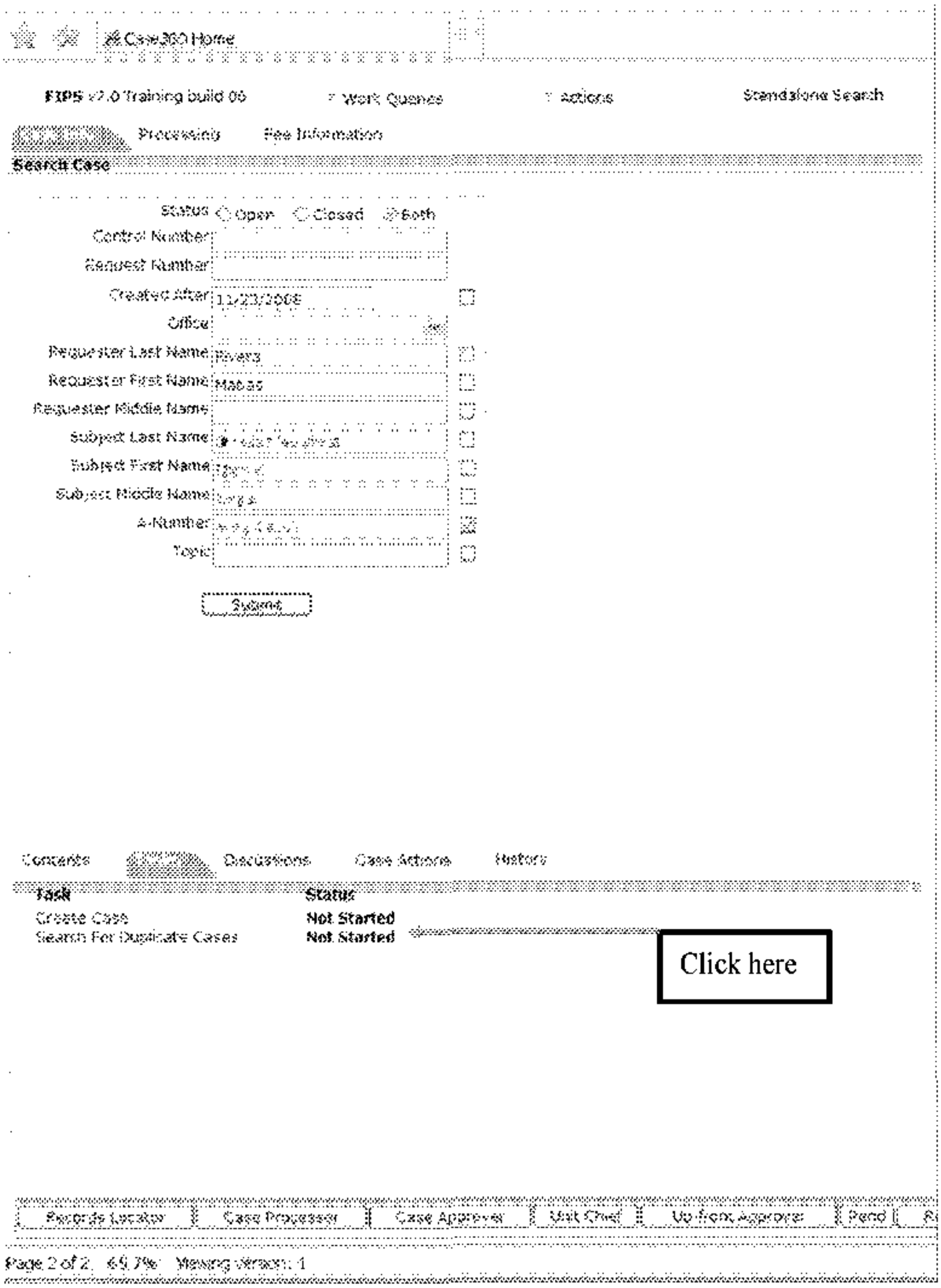

Case360 Home
FIPS v2.0 Training build 06
Work Queues
Actions
Standalone Search
Processing
Fee Information
Search Case

Status ○ Open ○ Closed ● Both

Control Number:

Request Number:

Created After: 11/23/2008

Office:

Requester Last Name: Rivers

Requester First Name: Mabas

Requester Middle Name:

Subject Last Name:

Subject First Name:

Subject Middle Name:

A-Number:

Topic:

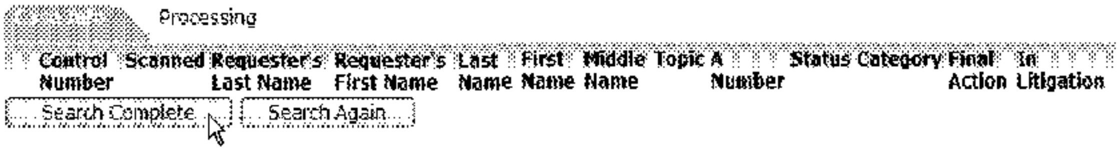
Submit
Contents
Discussions
Case Actions
History

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

Click here

Records Locator
Case Processor
Case Approver
Unit Chief
Up from Approver
Pend
Page 2 of 2 69.7% Viewing Version: 1

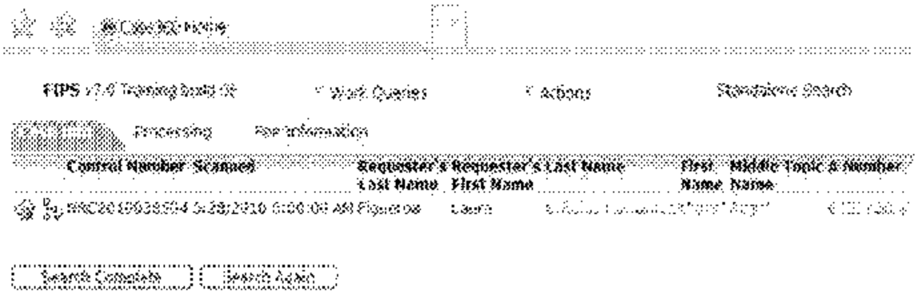
Ordinarily, you will get a blank result.


Processing

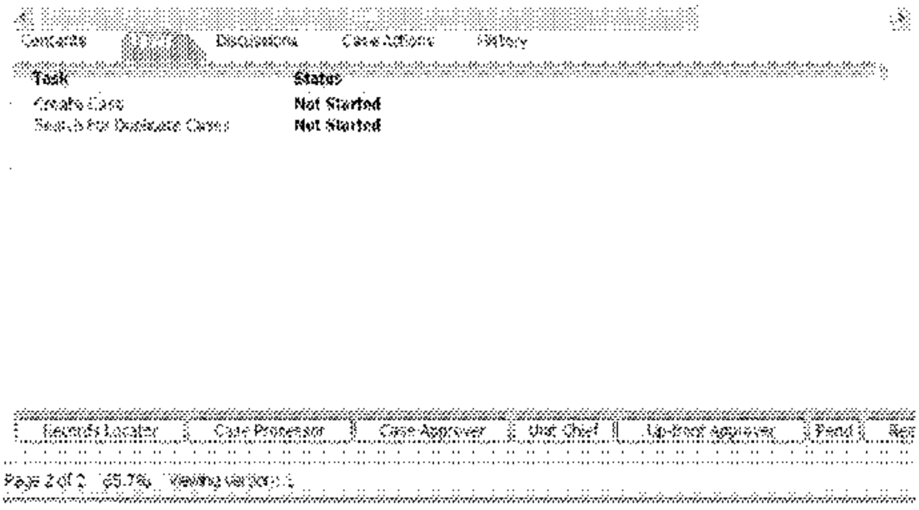
| Control Number | Scanned | Requester's Last Name | Requester's First Name | Last Name | First Name | Middle Name | Topic | A Number | Status | Category | Final Action | In Litigation |
|---|---|---|---|---|---|---|---|---|---|---|---|---|

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, Requestor Last Name, and so forth. However, the search may yield an open case:


FIPS v7.0 Training Build 08
Work Queues
Actions
Standalone Search
Processing
Fee Information
Search Complete
Search Again

| Control Number | Scanned | Requester's Last Name | Requester's First Name | Last Name | First Name | Middle Name | Topic & Number |
|---|---|---|---|---|---|---|---|
| NRC2016038504 | 3/28/2016 6:00:00 AM | [illegible] | [illegible] | [illegible] | [illegible] | [illegible] | [illegible] |


Contacts
Discussions
Case Actions
History
Records Locator
Case Processor
Case Approver
Unit Chief
Up-front approver
Pend
Page 2 of 2

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

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

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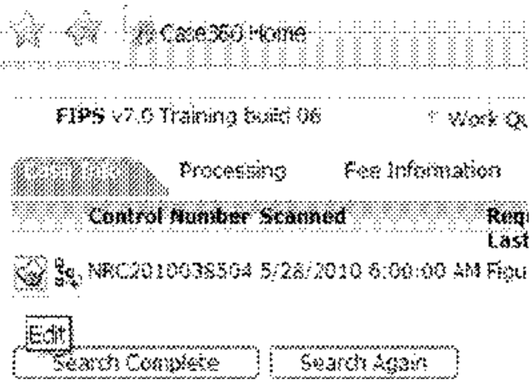
"true duplicate," it needs to be the same Requestor, seeking the same information about the same subject. Also, duplicate would not apply if the original case closed FC unless we are still missing the same information that caused the case to close.



NRC2010038504 5/28/2010 6:00:00 AM Figu

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 Requestor – close the case with final action code DP. Modify the final action letter as follows:

   Upon review of the FOIA/PA Tracking System, we discovered that your request had been duplicated within the system. This request has been closed out. The original request NRC201xxxxxxx, was closed on (insert case close date) and a copy of the requested records were mailed to you on that date. Please contact us if you have not received a copy of the records.

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 Requestor, you will select "Set this case as duplicate to original case" as follows:

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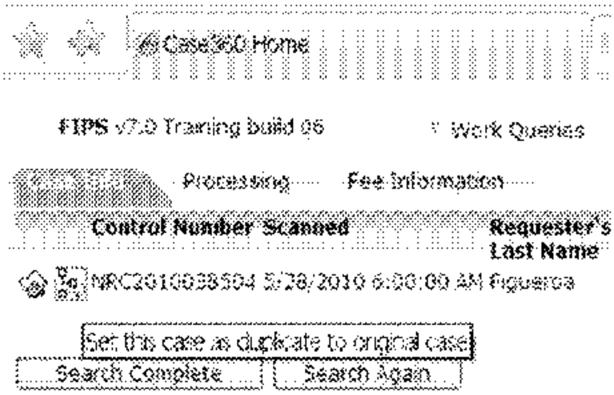


| Control Number | Scanned | Requester's Last Name |
|---|---|---|
| NRC2010038504 | 5/28/2010 6:00:00 AM | Figueroa |

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 Requestor is the same, and
B. The information being requested is the same in both requests,

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 DP and modify (insert the "Upon review" statement…) your Final Action Letter. Next, 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.

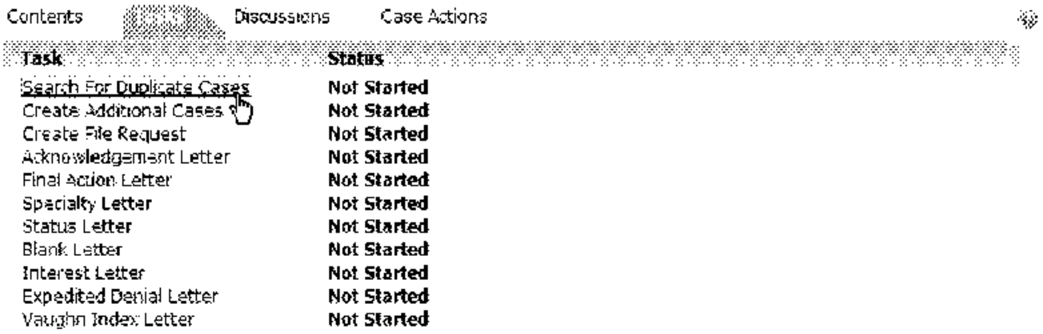
## 6.5 COPYING RECORDS FROM A CLOSED CASE

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**.

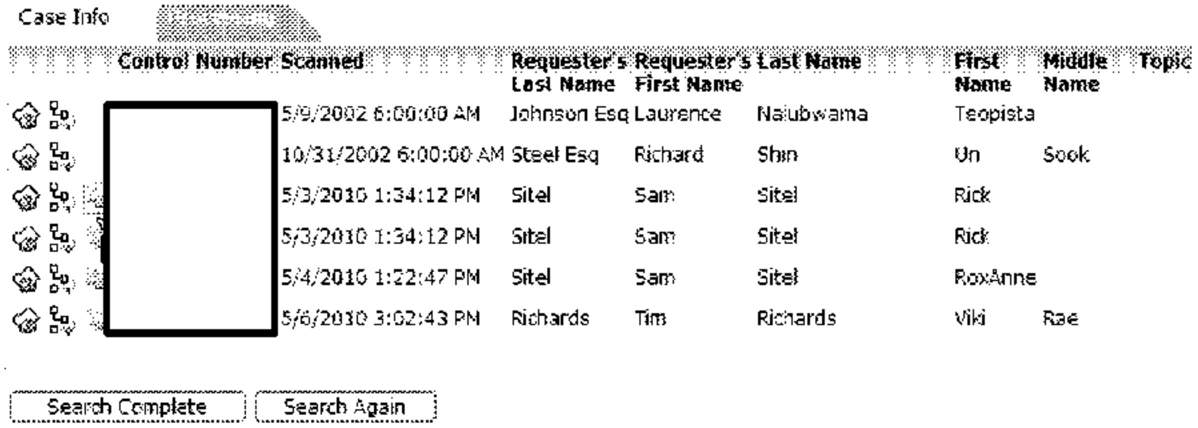


| Task | Status |
|---|---|
| Search For Duplicate Cases | **Not Started** |
| Create Additional Cases | **Not Started** |
| Create File Request | **Not Started** |
| Acknowledgement Letter | **Not Started** |
| Final Action Letter | **Not Started** |
| Specialty Letter | **Not Started** |
| Status Letter | **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 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)



| Control Number | Scanned | Requester's Last Name | Requester's First Name | Last Name | First Name | Middle Name | Topic |
|---|---|---|---|---|---|---|---|
| [redacted] | 5/9/2002 6:00:00 AM | Johnson Esq | Laurence | Nalubwama | Teopista | | |
| [redacted] | 10/31/2002 6:00:00 AM | Steel Esq | Richard | Shin | Un | Sook | |
| [redacted] | 5/3/2010 1:34:12 PM | Sitel | Sam | Sitel | Rick | | |
| [redacted] | 5/3/2010 1:34:12 PM | Sitel | Sam | Sitel | Rick | | |
| [redacted] | 5/4/2010 1:22:47 PM | Sitel | Sam | Sitel | RoxAnne | | |
| [redacted] | 5/6/2010 3:02:43 PM | Richards | Tim | Richards | Viki | Rae | |

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

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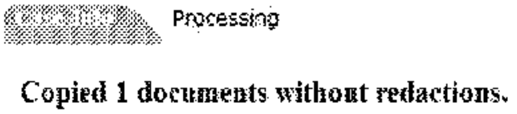
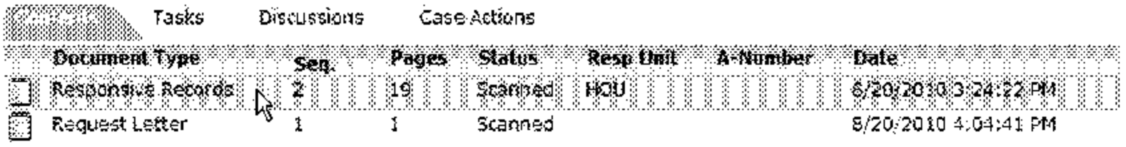


Copied 1 documents without redactions.

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

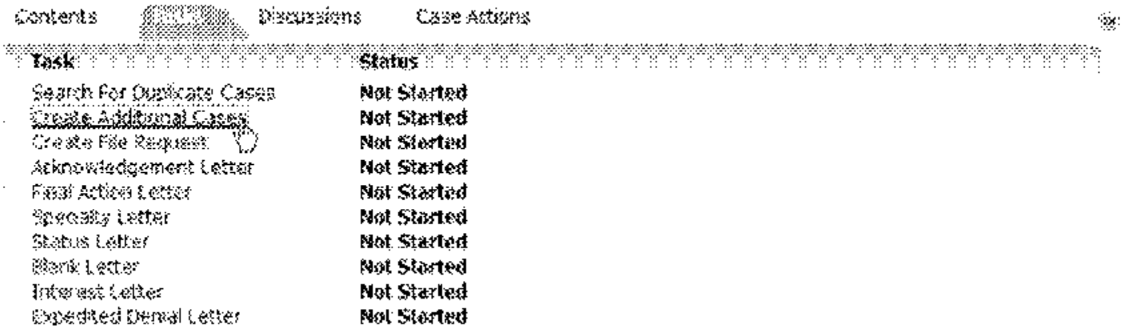


| Document Type | Seq. | Pages | Status | Resp Unit | A-Number | Date |
|---|---|---|---|---|---|---|
| Responsive Records | 2 | 19 | Scanned | HOU | | 6/20/2010 3:24:22 PM |
| Request Letter | 1 | 1 | Scanned | | | 8/20/2010 4:04:41 PM |

## 6.6 CREATING ADDITIONAL CASES

At times, you may have to create additional cases. For instance, a Requestor might send in one G-639 and ask for "all petitions filed for my three children, whose birth certificates are attached." Those petitions may be consolidated into the children's A-files, or they may be unconsolidated. When the Requestor is seeking information relating to more than one person on one FOIA request, you must create an additional case for each individual. This is true even if you are going to close all of the cases FC.

After you have created the first case, but before you have prepared a staffing letter or an acknowledgment letter, go to the Tasks tab and click on Create Additional Cases.



| 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 |

FIPS will ask how many cases need to create and will then create them.

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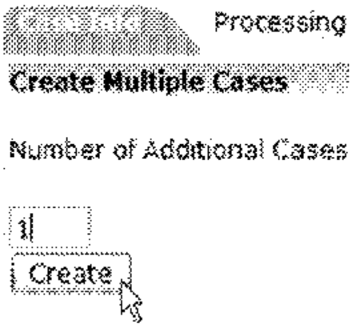

Number of Additional Cases

1

The first case created from the request becomes the "Parent case;" all subsequent cases created (one case for each subject) become the "Child cases." FIPS assigns consecutive case control numbers to the Parent case and all related Child cases, and the cases are given higher priority in the queue so that the Case Creator can process all related cases together. Requestor data from the Parent case is automatically added to all related child cases, as are the initial request letter and any related case supporting documents.

If you forget to create additional cases before you create acknowledgment letters, those documents will carry over into the Child cases. All is not lost. You may simply change the acknowledgment letters and save them in the Child cases. Unfortunately, you will have to cancel the staffings. Go to the Contents tab, click on "Staffing Response" or "Responsive Records," click on "Manage Document," maximize that screen, click on "Cancel Request," and then go back to the Tasks tab and create a new file request based on the correct set of responsive records.

After you have created the first case, but before you have prepared a staffing letter or an acknowledgment letter, go to the Tasks tab and click on Create Additional Cases. FIPS will ask how many cases need to create and will then create them semi-sequentially. That is to say, FIPS will number the cases in sequence, but if another person creates a case while the process is ongoing, that case will take the next available number, so your additional cases might not have exactly sequential numbers. FIPS has the ability to create a parent case with up to 25 child cases. FIPS will automatically insert into each case a note remarking on the fact that the current case is a part of a parent/child case.

When the Requestor is seeking information relating to multiple individuals on one FOIA request, you must create a separate case for each individual.

After FIPS finishes creating the new case(s), you will need to create an acknowledgement letter, request any additional information (if applicable) and staff for responsive records. Of course, nothing is ever this simple all of the time. Now you are ready to determine certification of agreement and PII.

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# 7 CERTIFICATION OF AGREEMENT, VERIFICATION OF IDENTITY, AND DESCRIPTION OF RECORDS (G-639, dated 3-31-2015)

**Note:** On this version of the Form G-639, Certification of Agreement (consent) and Verification of Identity are combined. For Verification of Identity you still need a name, current address, date of birth, place of birth, and a signature.

However, you only need **one** signature, either notarized or signed under Penalty of Perjury. If the any of the above items are missing, close the case as a failure to comply.

Do not close any cases as Total Denials based solely on the Form G-639 (3-31-15).

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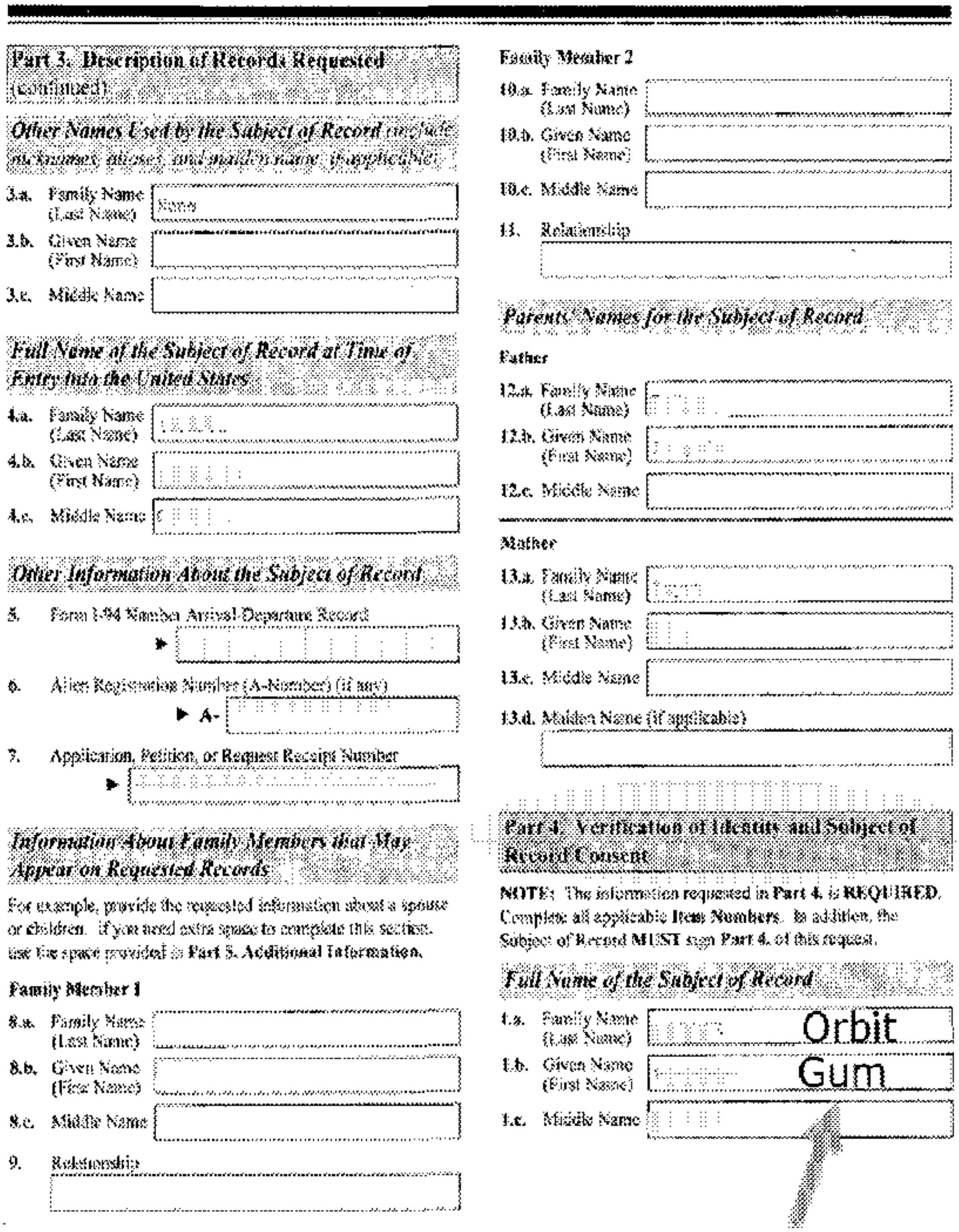

## Part 3. Description of Records Requested (continued)

### *Other Names Used by the Subject of Record (include nicknames, aliases, and maiden name, if applicable)*

3.a. Family Name (Last Name) None

3.b. Given Name (First Name)

3.c. Middle Name

### *Full Name of the Subject of Record at Time of Entry Into the United States*

4.a. Family Name (Last Name) [illegible]

4.b. Given Name (First Name) [illegible]

4.c. Middle Name [illegible]

### *Other Information About the Subject of Record*

5. Form I-94 Number Arrival-Departure Record ►

6. Alien Registration Number (A-Number) (if any) ► A-

7. Application, Petition, or Request Receipt Number ►

### *Information About Family Members that May Appear on Requested Records*

For example, provide the requested information about a spouse or children. If you need extra space to complete this section, use the space provided in **Part 5. Additional Information.**

**Family Member 1**

8.a. Family Name (Last Name)

8.b. Given Name (First Name)

8.c. Middle Name

9. Relationship

**Family Member 2**

10.a. Family Name (Last Name)

10.b. Given Name (First Name)

10.c. Middle Name

11. Relationship

### *Parents' Names for the Subject of Record*

**Father**

12.a. Family Name (Last Name) [illegible]

12.b. Given Name (First Name) [illegible]

12.c. Middle Name

**Mother**

13.a. Family Name (Last Name) [illegible]

13.b. Given Name (First Name) [illegible]

13.c. Middle Name

13.d. Maiden Name (if applicable)

## Part 4. Verification of Identity and Subject of Record Consent

**NOTE:** The information requested in **Part 4.** is **REQUIRED.** Complete all applicable **Item Numbers.** In addition, the Subject of Record **MUST** sign **Part 4.** of this request.

### *Full Name of the Subject of Record*

1.a. Family Name (Last Name) Orbit

1.b. Given Name (First Name) Gum

1.c. Middle Name

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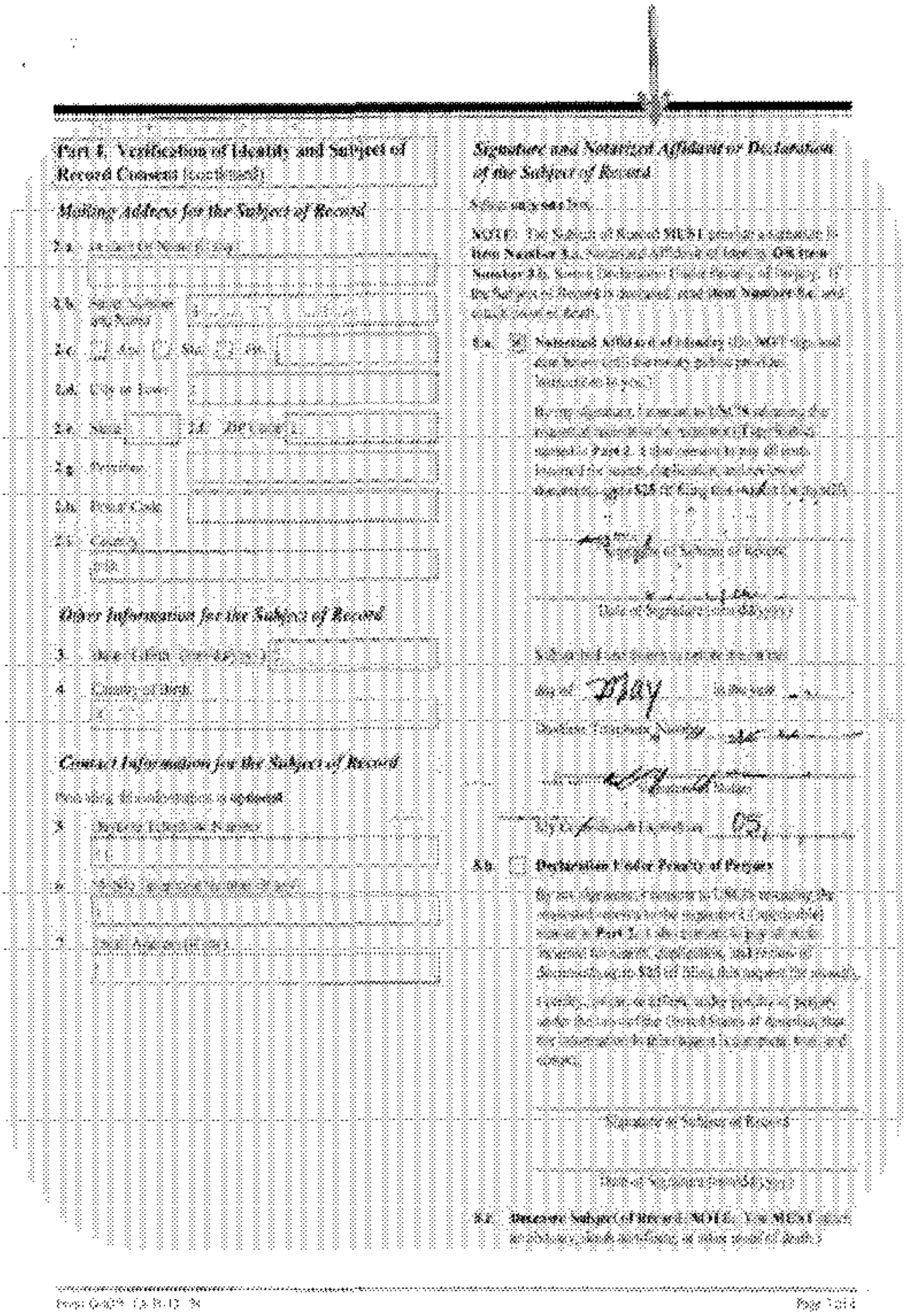

**Part 1. Verification of Identity and Subject of Record Consent** (continued)

*Mailing Address for the Subject of Record*

*Other Information for the Subject of Record*

*Contact Information for the Subject of Record*

*Signature and Notarized Affidavit or Declaration of the Subject of Record*

5.a. ☒ **Notarized Affidavit of Identity**

May

05

5.b. ☐ **Declaration Under Penalty of Perjury**

5.c. **Deceased Subject of Record.**

A Privacy Act Record is 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.

An A-number is an "identifying number" assigned to a single individual. That makes an A-file a Privacy Act Record.

A CBP incident could involve several people. A CBP Incident Report is filed by a number which is not an "identifying particular" for any individual. Even though the file most likely contains sensitive PII, a CBP Incident Report is not a Privacy Act Record. A USCIS contract is another example of a document that is filed by a number, but that number is not an identifying particular for any individual.

If a person requests a non-Privacy Act Record, he or she must request it under the FOIA. The agency will review the record and withhold information that is exempt, including sensitive information about individuals in the record. An individual involved in that record could provide a signed agreement which will allow the agency to release information about that individual to whatever Requestor.

Any time a person other than the subject of a Privacy Act Record requests the record, the subject of record must provide the agency with a signed statement agreeing that the agency may release information in that file to the Requestor.

Unconsolidated petitions are not always one way or the other. An I-360 could be associated with only one person and an I-130 is associated with two or more people. If a third party requests an unconsolidated petition, we need an agreement to release information from at least one of the people associated with the petition.

If a person is not requesting a Privacy Act Record, then there is no requirement to establish Verification of Identity by mail, fax or e-mail, and do not require a signature. Requestors must provide name, mailing address and adequate description of the records they are seeking. By submitting the request, the person is agreeing to pay fees up to $25.00, unless they specify more.

Additionally, if a Requestor establishes that the subject of record is deceased, or if the subject of record is more than 100 years old, then the Requestor is not required to establish his or her own Verification of Identity. The same requirements apply to a request for the file of a deceased person as apply to a request for a Non-Privacy Act Record.

In any third party request for a Privacy Act Record, we need either:

- Verification of Identity to release information to the Requestor, or
- Proof of parentage if the subject of record is a minor at the time of the request, or
- Proof of court-appointed guardianship, or
- Proof of death.

# 7 CERTIFICATION OF AGREEMENT, VERIFICATION OF IDENTITY, AND DESCRIPTION OF RECORDS

Certification of agreement, 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 certification of agreement 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.

Any petition filed for another person creates special requirements for certification of agreement. Sometimes the VOI and certification of agreement the Requestor provided is sufficient, but sometimes not. If the Requestor is asking for a petition, please refer to section 12.16 of this guide.

A person does not need to sign certification of agreement to request his or her own file.

Certification of agreement 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 agree to the disclosure to _________ ___________ of any record pertaining to me that appears in any system of records of USCIS, USCBP, or USICE.

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Form G-28, *Notice of Entry of Appearance as Attorney or Accredited Representative*, has been revised (03/04/2015). As of **May 15, 2015**, USCIS no longer accepts prior versions of the G-28.

As a FOIA/PA Assistant, this may affect your decision on certification of agreement in the following instances:

- If certification of agreement is provided on no other place except Form G-28,
- Then the attorney must use a *properly executed* new Form G-28 (revision of 03/04/2015).
- If the Form G-28 is an older version than the revision of 03/04/2015, then you will close the case FC, not TD. Please refer to section 16b of this guide.
- If the new Form G-28 (revision of 03/04/2015) is not properly executed, then you will close the case TD (inadequate Certification of Agreement). Please refer to section 16a of this guide.

**The G-28 might not matter.** If there is adequate certification of agreement someplace else in the request, such as on Form G-639 or on a separate statement, the version of Form G-28 or if it was properly executed does not matter.

A Privacy Act Record is 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.

An A-number is an "identifying number" assigned to a single individual. That makes an A-file a Privacy Act Record.

A CBP incident could involve several people. A CBP Incident Report is filed by a number which is not an "identifying particular" for any individual. Even though the file most likely contains sensitive PII, a CBP Incident Report is not a Privacy Act Record. A USCIS contract is another example of a document that is filed by a number, but that number is not an identifying particular for any individual.

If a person requests a non-Privacy Act Record, he or she must request it under the FOIA. The agency will review the record and withhold information that is exempt, including sensitive information about individuals in the record. An individual involved in that record could provide a signed agreement which will allow the agency to release information about that individual to whatever Requestor.

Any time a person other than the subject of a Privacy Act Record requests the record, the subject of record must provide the agency with a signed statement agreeing that the agency may release information in that file to the Requestor. We refer to that as "certification of agreement."
A subject of record is not required to provide a certification of agreement signed by himself or herself giving us permission to release information to himself or herself.

Unconsolidated petitions are not always one way or the other. An I-360 could be associated with only one person and an I-130 is associated with two or more people. If a third party requests an unconsolidated petition, we need an agreement to release information from at least one of the people associated with the petition.

If a person is not requesting a Privacy Act Record, then there is no requirement to establish Verification of Identity or Certification of Agreement. Non-Privacy Act Record requests frequently fall under SIG. Such a request may arrive by mail, fax or e-mail, and do not require a signature. Requestors must provide name, mailing address and adequate description of the records they are seeking. By submitting the request, the person is agreeing to pay fees up to $25.00, unless they specify more.

Additionally, if a Requestor establishes that the subject of record is deceased, or if the subject of record is more than 100 years old, then the Requestor is not required to establish his or her own Verification of Identity. The same requirements apply to a request for the file of a deceased person as apply to a request for a Non-Privacy Act Record.

In any third party request for a Privacy Act Record, we need either:

- A certification of agreement to release information to the Requestor, or
- Proof of parentage if the subject of record is a minor at the time of the request, or
- Proof of court-appointed guardianship, or
- Proof of death.

If none of those elements are present, VOI becomes irrelevant. We will close the case as a total denial (TD). For TD procedure, please refer to section 16a, TD (total denial) Case Closings.

| Who is the Requestor? | Certification | VOI | Close? |
|---|---|---|---|
| **Self** | Not needed | If adequate | No close - staff |
| **Self** | Not needed | If inadequate | FC – Sec. 16b |
| **3rd Party (incl Atty)** | If adequate | If adequate | No close - staff |
| **3rd Party (incl Atty)** | If inadequate then | Does not matter | TD – Sec. 16a |
| **3rd Party (incl Atty)** | If adequate | If inadequate | FC – Sec 16b |
| **3rd Party (incl Atty)** | Other proof (death cert, proof of guardianship) | Must establish identity of subject of record | No close - staff |

## 7.1 Certification of agreement 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 the Requestor as a legal parent. If guardians file on behalf of their wards, they must submit proof of guardianship. No certification of agreement is necessary from the minor child or the person judicially determined to be incompetent if the Requestor is the parent or guardian, however the parent or guardian must provide his or her own verification of identity that is notarized or signed under penalty of perjury [6C.F.R. § 5.21(e)].

Please note: if the request references a baby from Vietnam, Cambodia, Guatemala, Nepal or Ethiopia, please refer to section 8.23 of this guide. If the Requestor is a prospective adoptive parent, we will provide any documents concerning them. If unsure, please consult a supervisor.

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 certification of agreement is necessary from the minor child or the person judicially determined to be incompetent as long as the Requestor has proven parentage or guardianship [6 C.F.R. § 5.21(e)].

If the Requestor asserts parentage or guardianship but does not provide proof, we will close the case as a total denial (TD). For TD procedure, please refer to section 16a, TD (total denial) Case Closings.

Minors may request their own files; they do not have to have the certification of agreement from their parents or guardians to do so. Attorneys may represent minors also.

## 7.2 Verification of Identity (VOI) (G-639, dated 3-31-15)

If a requestor 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.

By 6 CFR § 5.21(d), 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 requestor 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 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 requestor 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 requestor declines to provide us with date of birth or place of birth, we will close the case FC. Please refer to section 16b, **FC (failure to comply) CASE CLOSINGS** of this guide.

In addition, on February 17, 2011, we started accepting the required PII if provided via a birth certificate or other document if not written on the G-639.

6 CFR § 5.21(d) ***Verification of Identity***, says the requestor 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 requestor ***did not provide*** all five required pieces of information, you will close the case as a failure to comply (FC). Please refer to Section 16b: FC Case closings. Some examples of failure to comply (FC) are listed below.

A. A requestor 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 not signed under Penalty of Perjury or Verification of Identity. Close as a failure to comply.
C. If the requestor is asking for records concerning a *living* individual and it has not been signed under penalty of perjury nor notarized, close as a failure to comply.

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**8.a.** ☐ **Notarized Affidavit of Identity** (Do **NOT** sign and date below until the notary public provides instructions to you.)

By my signature, I consent to USCIS releasing the requested records to the requestor (if applicable) named in **Part 2.** I also consent to pay all costs incurred for search, duplication, and review of documents up to **$25** (if filing this request for myself).

____________________________________

Signature of Subject of Record

____________________________________

Date of Signature (mm/dd/yyyy)

Subscribed and sworn to before me on this ________

day of ________________ in the year _________.

Daytime Telephone Number ____________________

____________________________________

Signature of Notary

My Commission Expires on ____________________

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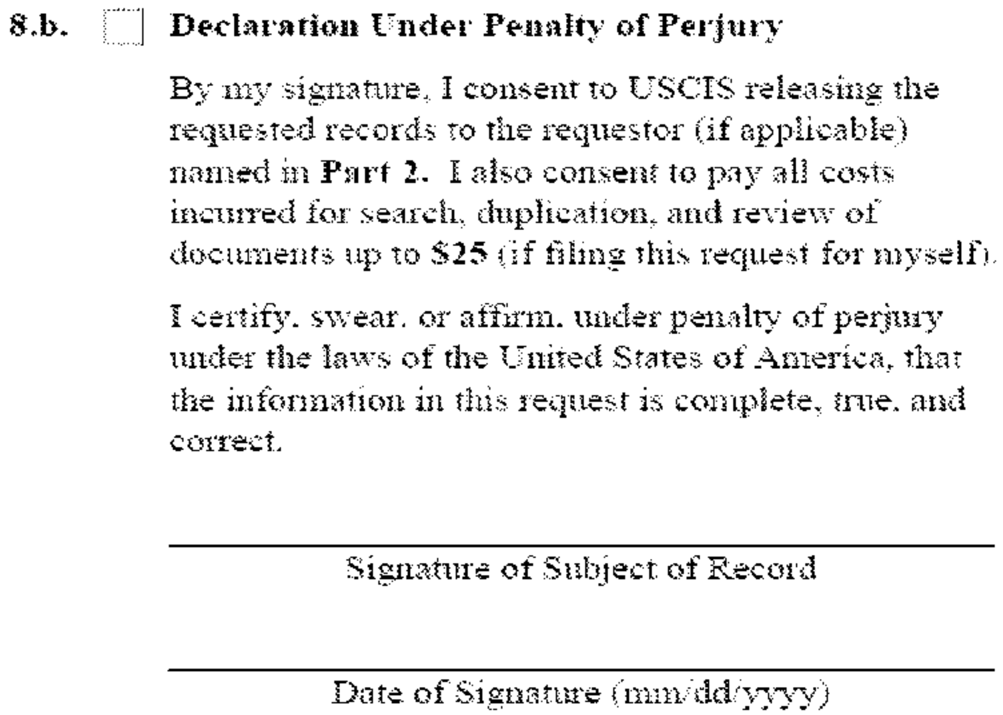

**8.b.** ☐ **Declaration Under Penalty of Perjury**

By my signature, I consent to USCIS releasing the requested records to the requestor (if applicable) named in **Part 2.** I also consent to pay all costs incurred for search, duplication, and review of documents up to **$25** (if filing this request for myself).

I certify, swear, or affirm, under penalty of perjury under the laws of the United States of America, that the information in this request is complete, true, and correct.

Signature of Subject of Record

Date of Signature (mm/dd/yyyy)

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

**More information about VOI:** The signature of the subject of record 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 requestor 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 requestor use a DOJ-361, but we can accept one as verification 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 can be used for 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 State s or under any rule, regulation, order, or requirement made pursuant to law, any matter is required or permitted to be supported, evidenced, established, or proved by the sworn declaration, verification, certificate, statement, oath, or affidavit, in writing of the person making the same (other than a deposition, or an oath of office, or an oath required to be taken before a specified official other than a notary public), such matter may, with like force and effect, be supported, evidenced, established, or proved by the unsworn declaration, certificate, verification, or statement, in writing of such person which is subscribed by him, as true under penalty of perjury, and dated, in substantially the following form:

**(1)**If executed without the United States: "I declare (or certify, verify, or state) under penalty of perjury under the laws of the United States of America that the foregoing is true and correct. Executed on (date).(Signature)".

**(2)**If executed within the United States, its territories, possessions, or commonwealths: "I declare (or certify, verify, or state) under penalty of perjury that the foregoing is true and correct. Executed on (date).(Signature)".

## 7.2 Verification of Identity (VOI)

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

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 6 CFR § 5.21(d), 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 Requestor 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.

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*If we have certification of agreement 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 Requestor 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 Requestor declines to provide us with date of birth or place of birth, we will close the case FC. Please refer to section 16b, **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.

6 CFR § 5.21(d) ***Verification of Identity***, says the Requestor 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 Requestor ***did not provide*** all five required pieces of information, you will close the case as a failure to comply (FC). Please refer to Section 16b: FC Case closings. Some examples of failure to comply (FC) are listed below.

A. A Requestor 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 Requestor is asking for records concerning a *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.

**Closing as Failure to Comply (FC) for inadequate Verification of Identity:** 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)*.

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F. The notarized signature of the subject or the signature under penalty of perjury does not need to be on the G-639.
G. If a Requestor 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.
H. 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.
I. DOJ-361, Certificate of Identity: we may not suggest or require that a Requestor use a DOJ-361, but we can accept one as verification of identity with a signature under penalty of perjury or a notarized signature.
J. 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 can be used for 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).

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(SIGNATURE)".

## 7.3 Reasonable Description of Records Being Sought:

### 7.3.1 Finding a Single Match

If the Requestor 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 Requestor 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 12.18.6, No Record).

If the Requestor 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

Sometimes a requestor provides complete Verification of Identity, but you still cannot locate the Subject of Record. Common subject names will result in multiple name and date of birth matches. You may find no matches at all. You may need additional beneficiary and/or petitioner PII to find a petition. In situations like this, we do not have a reasonable description of the records the requestor wants. We will have to ask for additional requestor documentation, specifically:

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

Additionally, we may ask for items of information such as names of the mother and father. 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 requestor is not required by law or regulation to provide that information, but if the requestor 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 requestor documentation worksheet, save the letter, and check it in. Do not staff for a file if you are sending for requestor documentation. In the "Contents" tab, you will see a Pending slot for Requestor Documentation. Send the case to Pend. After we receive a response from the requestor, a FOIA/PA Assistant or Government Information Specialist working in Records

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Locator queue will request the file. The processor will use the requested information to verify the release of the correct records.

Note: if the requestor 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 requestor 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 requestor 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 Requestor is not asking for specific documents we would normally refer (RF) or Redirect (RD) 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 12.18.6, 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 Requestor 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

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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 Specific Document request. For Specific Document requests, 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. You save the document, exit Word, and check the document in, click "Open" and you will notice that there is now a slot for "Requestor Documentation" and the Responsive Unit is "Requestor."

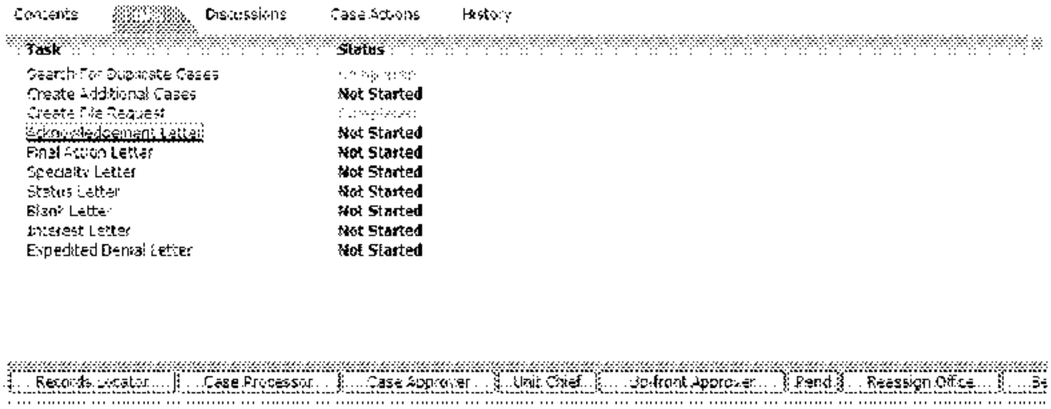
7.3.4.7 Create a Discussion explaining why you needed to request additional information

7.3.4.8 Pend when you are finished.

7.3.4.9 When the Requestor provides the additional information, A FOIA/PA Assistant or Government 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"



| Task | Status |
|---|---|
| Search For Duplicate Cases | [illegible] |
| Create Additional Cases | Not Started |
| Create File Request | Completed |
| 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 |

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

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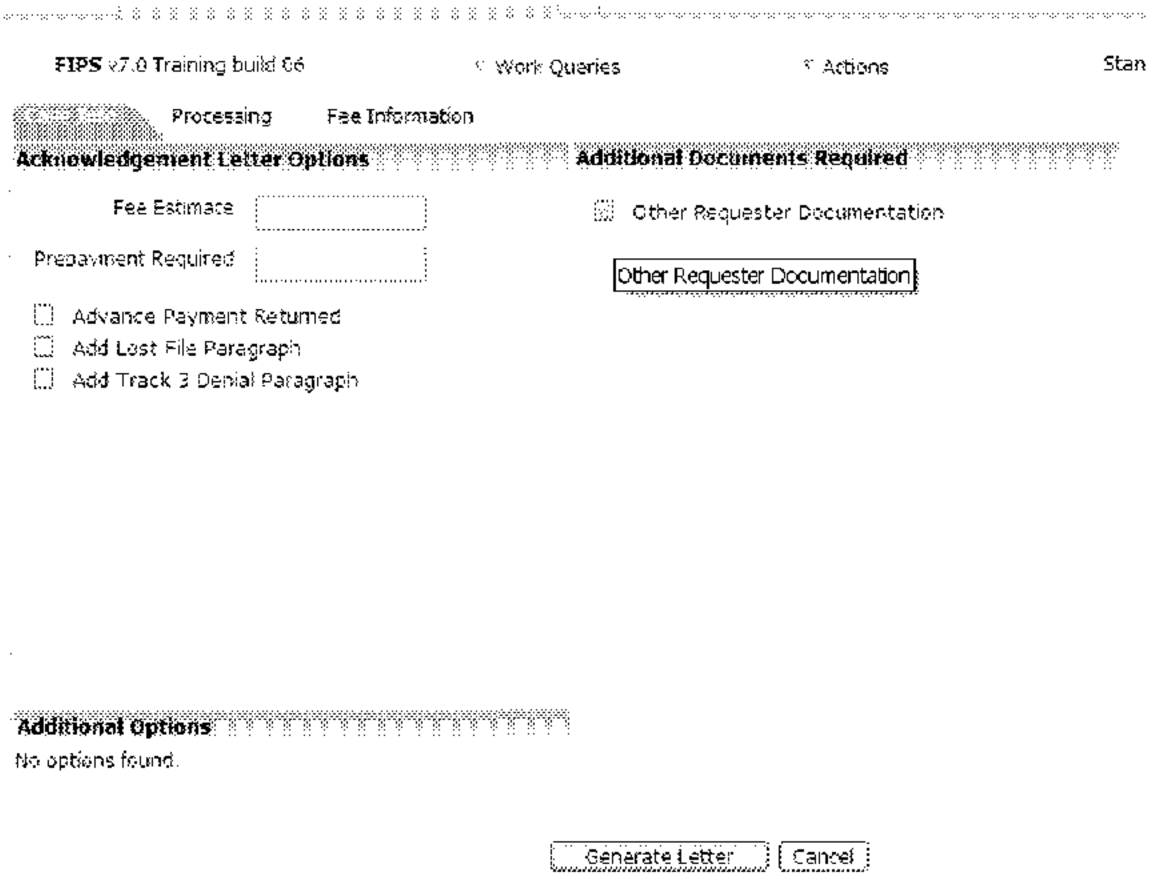
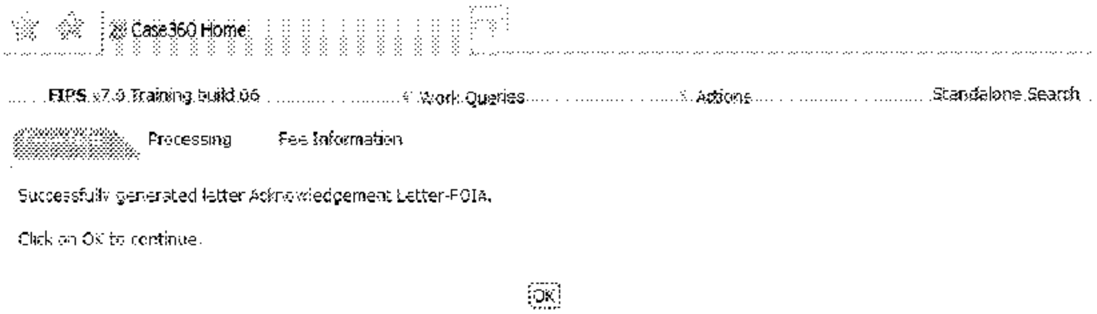

FIPS v7.0 Training build 06
Work Queries
Actions
Stan
Processing
Fee Information
Acknowledgement Letter Options
Additional Documents Required
Fee Estimate
Prepayment Required
☐ Advance Payment Returned
☐ Add Lost File Paragraph
☐ Add Track 3 Denial Paragraph
☐ Other Requester Documentation
Other Requester Documentation
Additional Options
Generate Letter
Cancel

No options found.

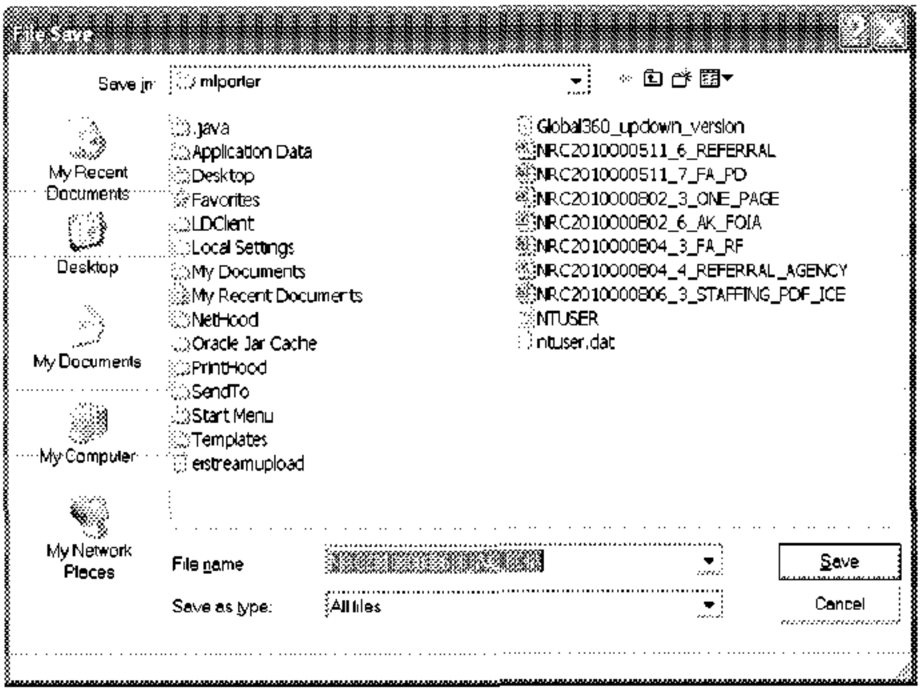
We then click on "Generate Letter." Our only option at that point is to click OK.


Case360 Home
FIPS v7.0 Training build 06
Work Queries
Actions
Standalone Search
Processing
Fee Information
OK

Successfully generated letter Acknowledgement Letter-FOIA.

Click on OK to continue.

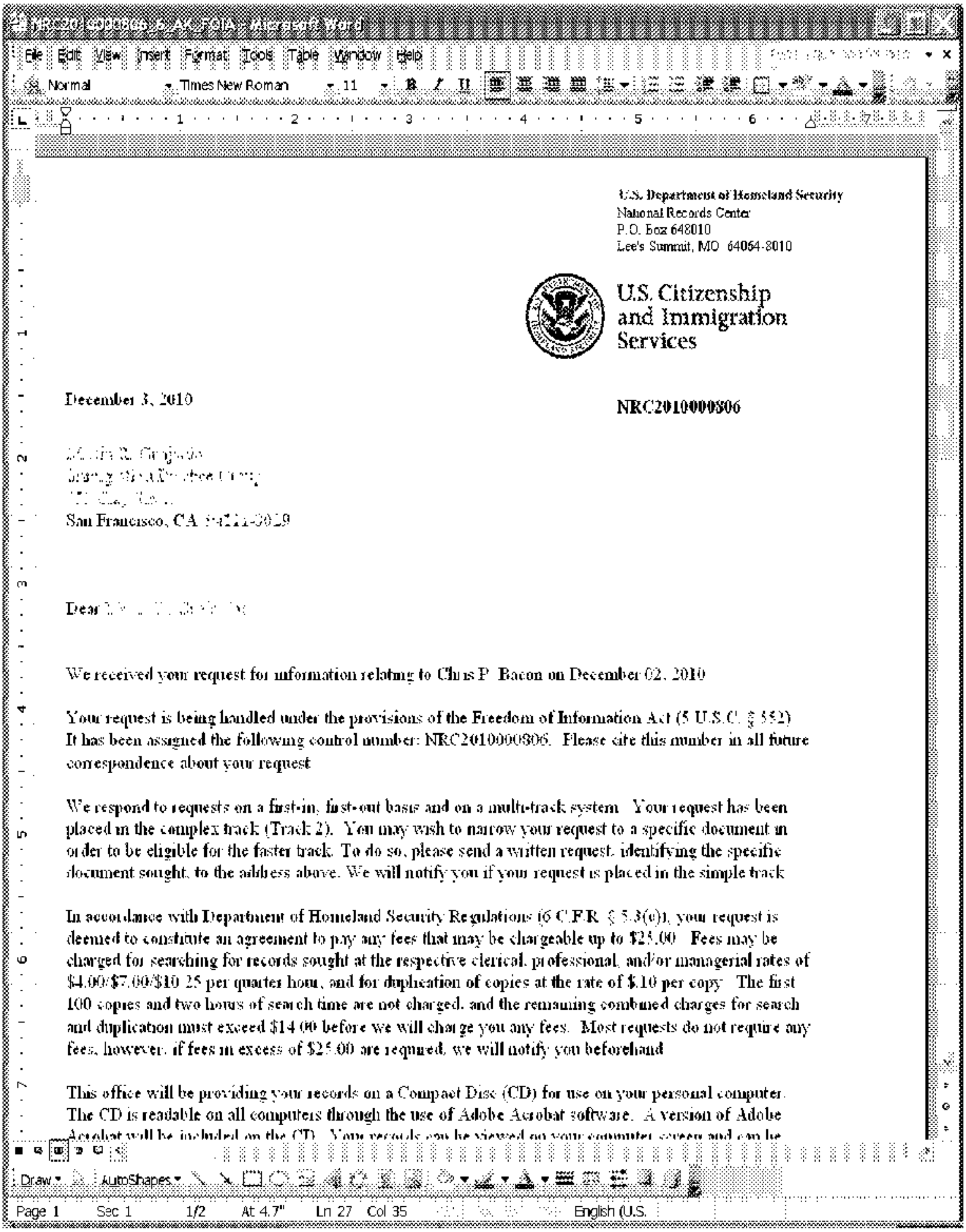
As soon as you do, a File Save pop-up window will appear. Click "Save."


File Save
Save in: mlporter
My Recent Documents
Desktop
My Documents
My Computer
My Network Places
.java
Application Data
Desktop
Favorites
LDClient
Local Settings
My Documents
My Recent Documents
NetHood
Oracle Jar Cache
PrintHood
SendTo
Start Menu
Templates
estreamupload
Global360_updown_version
NRC2010000511_6_REFERRAL
NRC2010000511_7_FA_PD
NRC2010000802_3_ONE_PAGE
NRC2010000802_6_AK_FOIA
NRC2010000804_3_FA_RF
NRC2010000804_4_REFERRAL_AGENCY
NRC2010000806_3_STAFFING_PDF_ICE
NTUSER
ntuser.dat
Save
Cancel

File name: [redacted]

Save as type: All files

The acknowledgment letter will pop up.


NRC2010000806_5_AK_FOIA - Microsoft Word
File Edit View Insert Format Tools Table Window Help
Normal
Times New Roman
11
Draw
AutoShapes
Page 1 Sec 1 1/2 At 4.7" Ln 27 Col 35 English (U.S.

**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**

[redacted]
San Francisco, CA [redacted]

Dear [redacted]

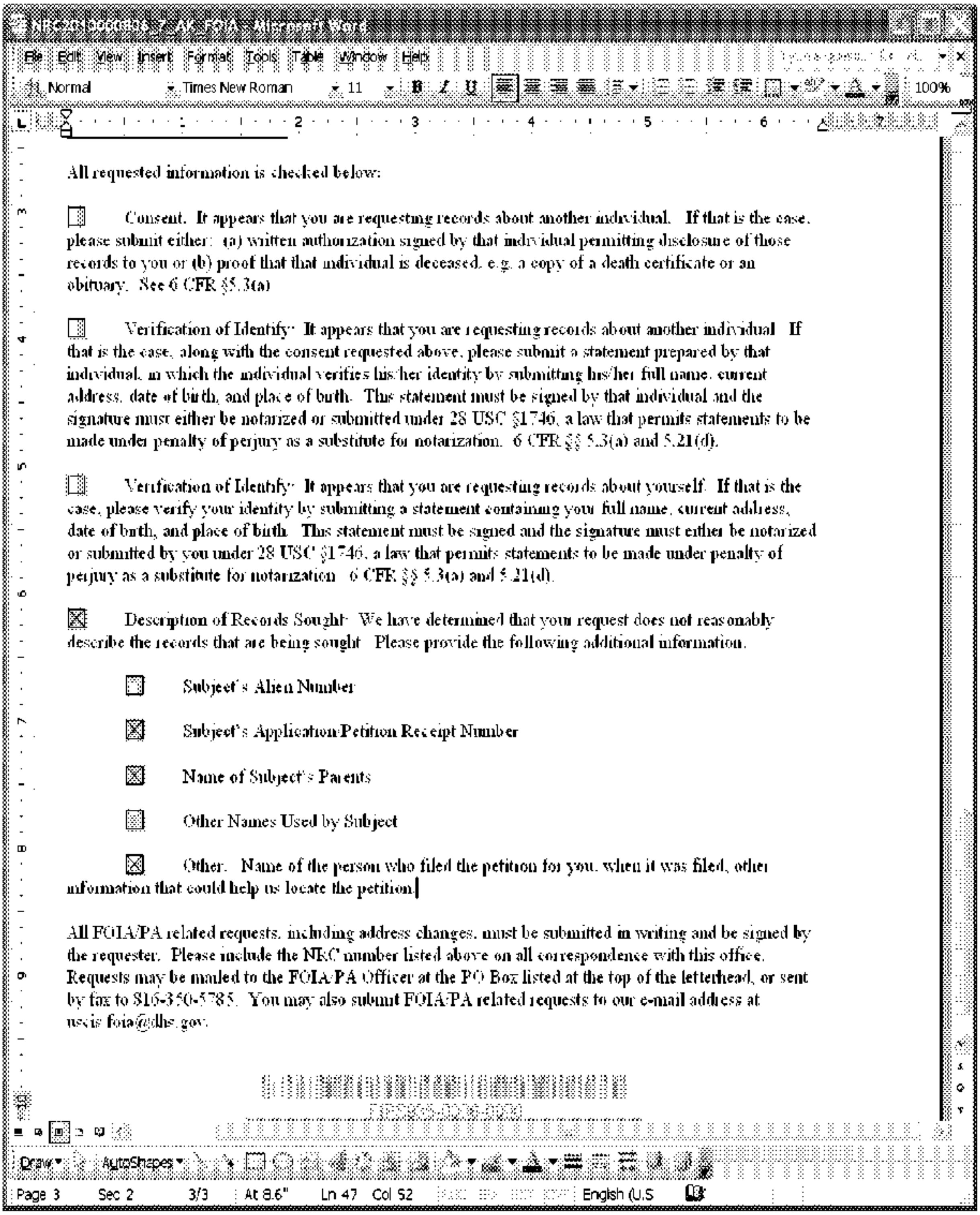
We received your request for information relating to Chris P. Bacon on December 02, 2010.

Your request is being handled under the provisions of the Freedom of Information Act (5 U.S.C. § 552). It has been assigned the following control number: NRC2010000806. Please cite this number in all future correspondence about your request.

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

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

This office will be providing your records on a Compact Disc (CD) for use on your personal computer. The CD is readable on all computers through the use of Adobe Acrobat software. A version of Adobe Acrobat will be included on the CD. Your records can be viewed on your computer screen and can be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Times New Roman
11
100%
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AutoShapes
Page 3 Sec 2 3/3 At 8.6" Ln 47 Col 52 English (U.S

All requested information is checked below:

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

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

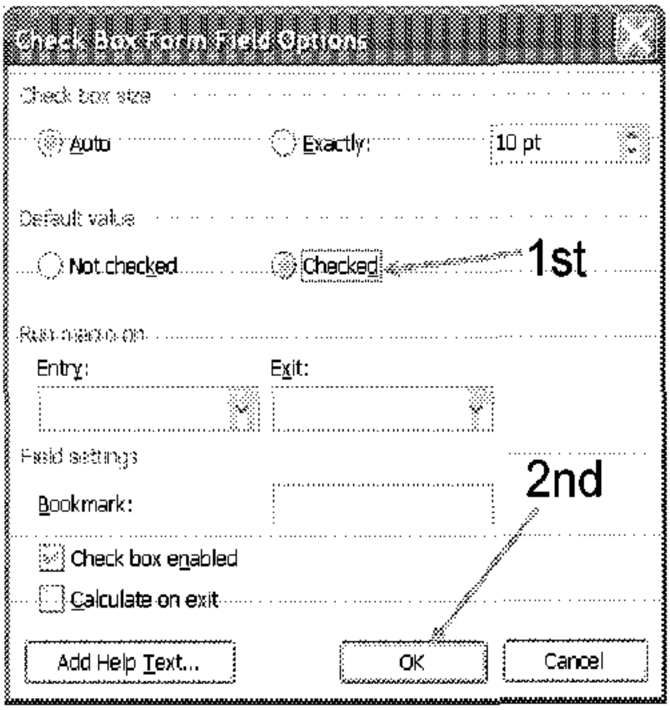
☐ Verification of Identify: It appears that you are requesting records about yourself. If that is the case, please verify your identity by submitting a statement containing your full name, current address, date of birth, and place of birth. This statement must be signed and the signature must either be notarized or submitted by you under 28 USC §1746, a law that permits statements to be made under penalty of 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 NRC number listed above on all correspondence with this office. Requests may be mailed to the FOIA/PA Officer at the PO Box listed at the top of the letterhead, or sent by fax to 816-350-5785. You may also submit FOIA/PA related requests to our e-mail address at uscis.foia@dhs.gov.

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

Run macro on

Entry:

Exit:

Field settings

Bookmark:

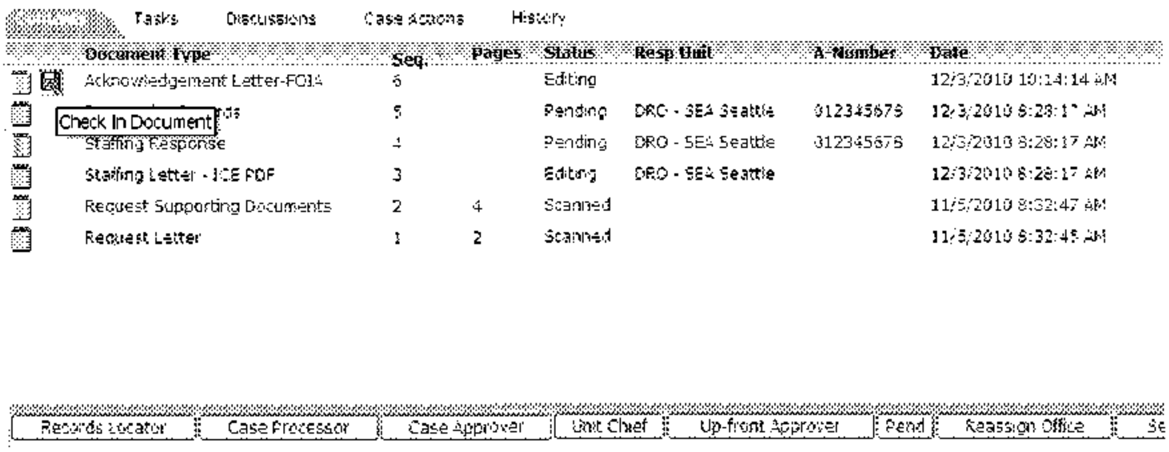
☑ Check box enabled

☐ Calculate on exit

1st
2nd
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.



| Document Type | Seq. | Pages | Status | Resp Unit | A-Number | Date |
|---|---|---|---|---|---|---|
| Acknowledgement Letter-FOIA | 6 | | Editing | | | 12/3/2010 10:14:14 AM |
| [illegible]ds | 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 |

Tasks
Discussions
Case Actions
History
Check In Document
Records Locator
Case Processor
Case Approver
Unit Chief
Up-front Approver
Pend
Reassign Office

Click “Open”.

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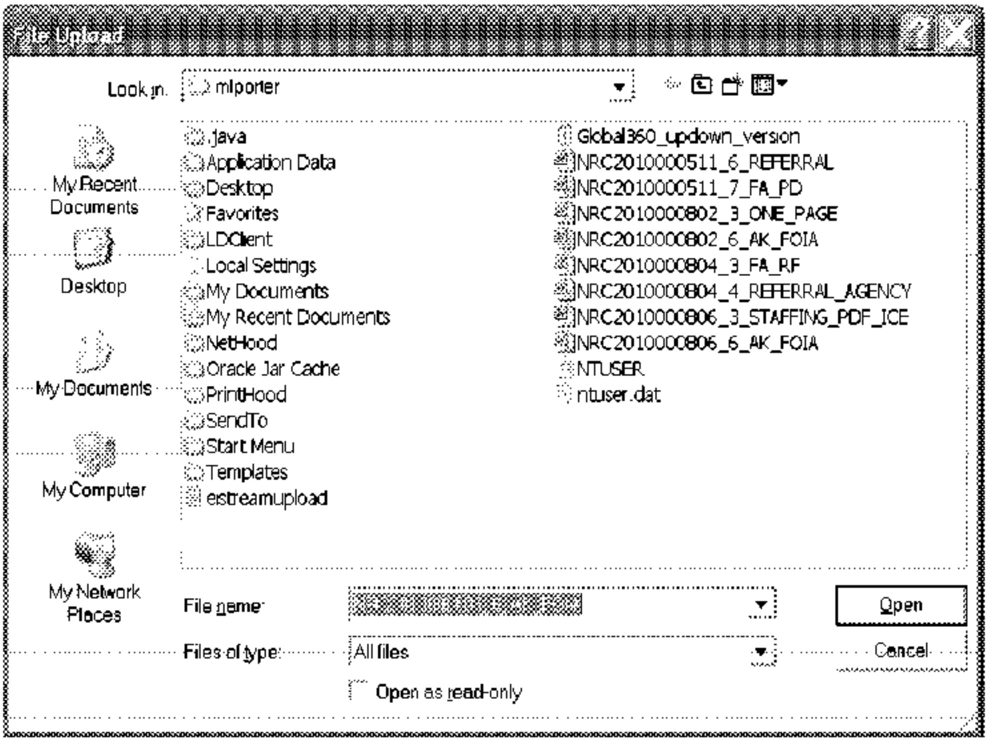
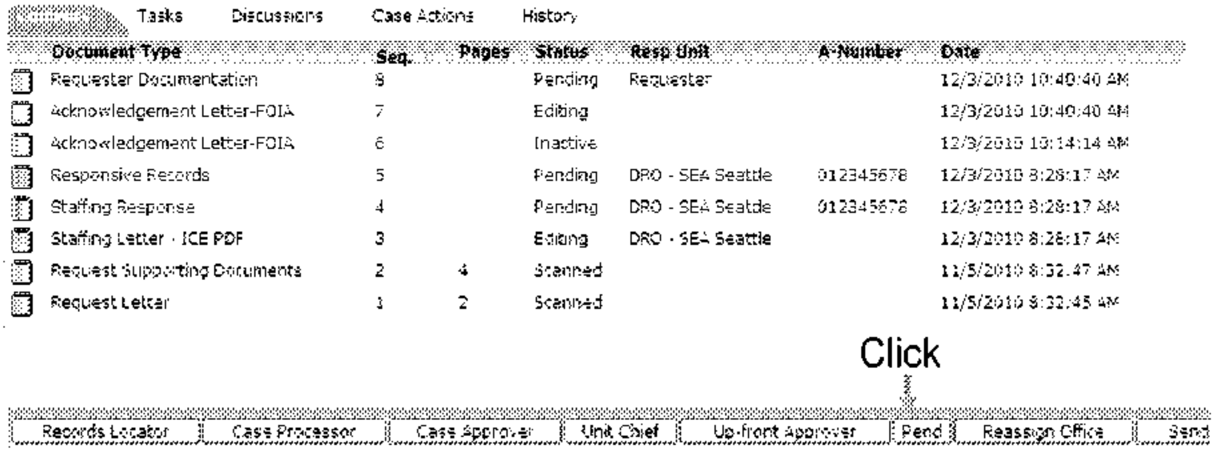

File Upload
Look in: mlporter
My Recent Documents
Desktop
My Documents
My Computer
My Network Places
.java
Application Data
Desktop
Favorites
LDClient
Local Settings
My Documents
My Recent Documents
NetHood
Oracle Jar Cache
PrintHood
SendTo
Start Menu
Templates
estreamupload
Global360_updown_version
NRC2010000511_6_REFERRAL
NRC2010000511_7_FA_PD
NRC2010000802_3_ONE_PAGE
NRC2010000802_6_AK_FOIA
NRC2010000804_3_FA_RF
NRC2010000804_4_REFERRAL_AGENCY
NRC2010000806_3_STAFFING_PDF_ICE
NRC2010000806_6_AK_FOIA
NTUSER
ntuser.dat
File name:
Files of type: All files
Open
Cancel
Open as read-only

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


Tasks
Discussions
Case Actions
History

| Document Type | Seq. | Pages | Status | Resp Unit | A-Number | Date |
|---|---|---|---|---|---|---|
| Requester Documentation | 8 | | Pending | Requester | | 12/3/2010 10:40:40 AM |
| Acknowledgement Letter-FOIA | 7 | | Editing | | | 12/3/2010 10:40:40 AM |
| Acknowledgement Letter-FOIA | 6 | | Inactive | | | 12/3/2010 10:14:14 AM |
| 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 | | 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 |

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

When the Requestor provides the additional information, a FOIA/PA Assistant or Government Information Specialist working in Records Locator queue will request the records.

## 7.4 Third party requests

Sometimes certification of agreement is not necessary. For instance, a Requestor asking for a "*list of all employers in Utah who use E-Verify*" does not have to provide certification of agreement. 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 certification of agreement. If the Requestor is asking for records concerning an individual and does not provide certification of agreement, nor does it appear likely that the Requestor is going to get certification of agreement, close the case as a total denial (TD). It may be obvious from the request that the Requestor will not be able to obtain certification of agreement from the subject of record. If you have a doubt, consult your supervisor.

Third party Requestors are not entitled to any public documents that may be in the file they are seeking, nor documents that 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 certification of agreement, do, close the case as a Total Denial. Please refer to Section 16a, TD (total denial) Case Closings.

## 7.5 Deceased subjects and the 100-year rule

If the subject of a request is deceased, it is incumbent upon the Requestor to provide proof of death. Proof of death could be any of the following:

- Death Certificate;
- Obituary;
- Funeral Memorial; ~~or~~
- Photograph of headstone; or
- Screen print from the Social Security Death Index

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 Requestor says the subject is deceased and did not provide proof of death, but the subject is not over 100, we will close the case as a total denial (TD). For TD procedure, please refer to section 16a, TD (total denial) Case Closings.

## 7.6 Power of Attorney

A power of attorney is a document in which one person appoints another person to act as an agent on his or her behalf. A Requestor may submit a power of attorney with a request, and we may consider it.

The Requestor may have provided adequate certification of agreement on the Form G-639 or elsewhere in the request, and if so, we do not need to evaluate the validity of the power of attorney.

A power of attorney cannot override either the requirement for verification of identity in 6 CFR § 5.21(d) or the requirement for certification of agreement in 6 CFR § 5.21(f).

The subject of record must have signed the power of attorney. In order to meet the 6 CFR § 5.21(d) requirement, the power of attorney must list the subject of record's name, date of birth, place of birth and address, and the subject of record's signature must be notarized or made under penalty of perjury.

If the Requestor did not provide certification of agreement on the G-639 or on some other document, only then we should look for certification of agreement on a power of attorney. The wording on the Power of Attorney must meet the 6 CFR § 5.21(f) requirement, for example:

> "By this Power of Attorney, I agree to the disclosure to (the named person) of any record pertaining to me that appears in any system of records of USCIS, USCBP, or USICE."

If you are unsure if the wording is sufficient to meet the requirement, please contact a supervisor.

If the subject of record is not alive, a power of attorney is irrelevant. If the Requestor states that the subject of record is deceased, please refer to section 7.5 of this guide.

We cannot consider a power of attorney describing blanket authority without specific mention of delegated authority to request USCIS records. We cannot consider a power of attorney with no expiration date or a power of attorney with an indefinite expiration date.

If it is expired, the power of attorney is invalid, even if it met all the § 5.21 requirements. We are not legally covered if we honor an expired power of attorney.

If the Requestor provided adequate certification of agreement and verification of identity elsewhere in the request, such as on Form G-639 or on a separate document, any attached power of attorney is irrelevant, whether or not it is valid.

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# 8. CASE CREATE SITUATIONS/OTHER PROBLEMS

At any time during the case-create process you may encounter a quirky or unusual situation. Some not-so-usual situations follow this paragraph, but as a case creator, you will inevitably see situations you have never seen before. Case creators should seek assistance from their 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, please refer to section 23 of this guide.

## 8.1 REQUESTS: Foreign Consulate

Please verify 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).

After you've verified that the request is from a consulate, please do the following:

1. Print out the entire request.
2. Attach a cover sheet ("Request from Foreign Consulate")
3. Take the printout to your supervisor.
4. Add a discussion, "Request from Foreign Consulate."
5. Send an email to NRC, FOIAOA with the case information.
6. Create the case and close it, ER.
7. Send to Up-front Approver.

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 Requestor 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 Requestor is asking a question about being a student, au pair, camp counselor, or participating in a summer work/travel program, or if the Requestor 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

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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 Requestor 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. Certification of agreement 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 Requestor name to your supervisor

## 8.4 REQUESTS: Bond obligor, no certification of agreement, closed as a Total Denial

Criminal bonds are bonds posted by individuals or bail bondsmen relating to non-immigration violations of the law.

Immigration bond obligors are surety companies who have posted an immigration bond (Form 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.

These requests previously were processed by Immigration and Customs Enforcement.

We will now create bond obligor requests under FOIA.

Since there is no certification of agreement provided with bond obligor cases, we will close these as a TD.

Please refer to Section 16a (TD (total denial) CASE CLOSINGS.

## 8.5 REQUESTS: A-Number Only

If a Requestor/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 certification of agreement in order to proceed. If it is a third-party request and you do not have certification of agreement, VOI does not matter. Close the case as Total Denial (TD). Reference section 16a, TD Case Closings. If VOI is inadequate, close as Failure to Comply (FC). Reference section 16b, FC Case Closings.
D. If you do have adequate agreement to release (if needed) and 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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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 Requestor.
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 12.18.6 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
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.

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The Requestor can request a search by writing directly to NARA. In their letter, the Requestor 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
ADMINSTRATION
CIVIL REFERENCE
7th AND PENNSYLVANIA AVENUE NW
WASHINGTON DC 20408

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

Other government agencies' and DHS components' FOIA/PA offices will make the determination to refer a FOIA request to the USCIS FOIA office at the NRC for a direct response to the Requestor. The referral can be complete or partial.

### **8.7.1** Complete Referrals

A complete referral comes from another government agency or DHS component in which either the entirety or a segregable portion of the request falls under the purview of USCIS. If the referral is a request for an A-File or A-File material (petition, application, etc.) create the case as if the request came directly to the NRC. If the referral is a request for anything else please see section 6.3.4.4 as the request may fall under SIG.

### **8.7.2** Partial Referrals

As other agencies process FOIA/PA requests, they will sometimes find USCIS documents within their files. These documents will be referred to us for processing. The majority of partial referrals come from the Office of Personnel Management (OPM), Department of State, and the Federal Bureau of Investigation (FBI). SIG processes all partial referrals. Follow the procedures in section 6.3.4.4.2 for partial referrals.

We process a consultation when another government agency or DHS component has found USCIS equities within their documents and then forwards those documents to the USCIS FOIA office to make any recommended withholdings or disclosures. The USCIS FOIA office processes only that specific portion of the document that contains USCIS equities and upon completion returns it back to the original agency/component. SIG processes all consultations. Follow the procedures in section 6.3.4.4.2 for consultations.

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## 8.8 Deleted

## 8.9 Deleted

## 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

Requestors 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 Requestor 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 Requestor 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.

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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 Requestor.
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: Inmate in Federal Custody

The Bureau of Prisons (BOP), an agency of the U.S. Department of Justice, will not deliver incoming mail to a person housed in their custody unless it contains the subject's Register Number. Upon entry into BOP custody, each inmate is assigned an eight digit Register Number (i.e. xxxxx-xxx) by which he/she is identified throughout his/her commitment. The first five digits are unique identifiers for that specific inmate, the last three digits, separated from the first five by a dash, indicate the jurisdiction from which the inmate originally entered the corrections system. It is imperative that the correspondence contain the Register Number in the proper format. BOP Register numbers are created for the subjects in the name in which they received a conviction sentence from a federal court or a legal document charging them of an immigration violation and/or removal. This name could be their birth name or an alias name.

ICE will not deliver mail to an ICE detainee unless we include the alien number in the address. Please include the alien number in the address of an ICE detainee, if you are addressing correspondence to the alien in the ICE detention facility. In order to avoid PII spills, OA will prepare an outer envelope without the alien number and mail it in that.

If the inmate is not in federal custody (i.e., Bureau of Prisons location or ICE detention facility) but held at a non-federal correction facility (such as a state prison or county jail), DO NOT put the alien number in the address.

## 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, NRCFOIAMSB
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

Reference section 28 CONGRESSIONAL REQUESTS AND APPEALS.
When the unit receives correspondence from a member of Congress, we may 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 congressionalnrc@uscis.dhs.gov 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 FST for more guidance.

## 8.16 SITUATION: Appeals

While case creating, you may open a request and see that it is marked "Appeal." The Requestor 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."

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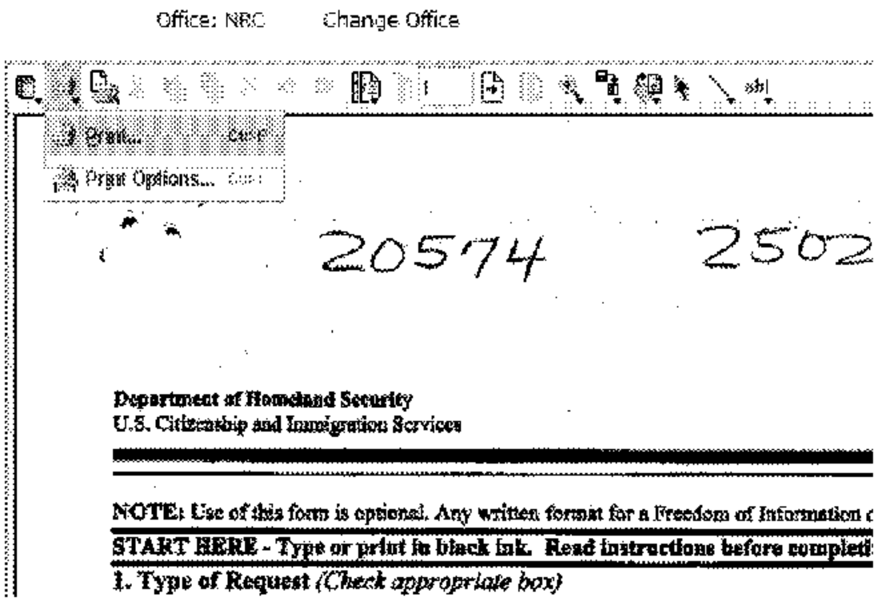


20574 2502

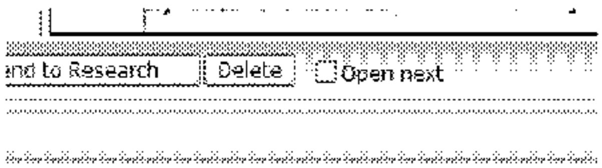
Department of Homeland Security
U.S. Citizenship and Immigration Services

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 completi

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.



## 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.

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A. Create the case.
B. When you prepare the acknowledgment letter, request VOI and/or certification of agreement if needed. Most often, you will have to request adequate VOI. *Please take note:* We do not close an I-694 request TD or FC for not providing all the required elements of Certification of Agreement or VOI with the original request.
C. Create a Discussion for the case processor.
D. If VOI or certification of agreement 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 and the current OCC Paralegal, providing the NRC control 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 "certified documents requested."

Create the case as normal. If you are closing the case as no record, total denial or failure to comply, there is no need to address certification of record in the final action letter. If you are not closing the case NR, TD or FC, and if the Requestor does not want a copy of the whole file, but specifically requests only a certified copy of a particular document, you will be closing the case NB. According to the situation, please add the following paragraph(s) into your final action letter:

NB Situation 1: If a request is only a request for a certified copy of a Name Change document, insert the following paragraph:

> Regarding your request for a certified copy of Name Change document, you may check with the Court that issued and certified the Name Change document.

NB Situation 2: If a request is only for a certified copy of Certificate of Naturalization of a living person and not a request for the whole file:

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> This is in response to your request for a certified copy of your Certificate of Naturalization.
>
> To request a “Certified True Copy” of your Certificate of Naturalization, and if you have the original document, you must make an appointment at your local USCIS office by using the on-line InfoPass Appointment Scheduler. If you do not have the original document, to request a replacement of your Certificate of Naturalization, you must fill out Form N-565, Application for Replacement Naturalization/Citizenship Document. Please see www.uscis.gov for more information about these processes and the downloadable Form N-565.
>
> If you have additional questions, you may contact your local USCIS Office or call the National Customer Service Center at 1-800-375-5283 (TTY 1-800-767-1833).

If the request is for a copy of the whole file, and there is a request for certified copy of a naturalization certificate of a deceased person (but not Italian dual citizenship – if it is an Italian dual citizenship request, please go to section 8.20 of this guide), or if it is a request for any other documents that may be within the file, you will not close the case NB. Please staff for the file and add this paragraph to your acknowledgment letter:

> You requested a certified copy of a U.S. Citizenship and Immigration Services (USCIS) record. The National Records Center does not certify documents and is responding with a copy of these records as required under the Freedom of Information Act/Privacy Act.

## 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 Requestor’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. You may direct them to USCIS.gov for more information. The link for Genealogy requests is in the left column, listed under “Services.”

C. If the Requestor’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 Requestor 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.

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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 Requestor 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.
Replace the body of the Final Action Letter with the National Archives Letter located at O:\Foia\FOIA LIBRARY\Case Create References\National Archives.doc

C. 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 Requestor 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 certification of agreement 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).

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Normally if we cannot verify certification of agreement or prove parentage in a case, we do not send out for additional information, we close as TD or FC for no certification of agreement 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 TD or FC for the following reasons:

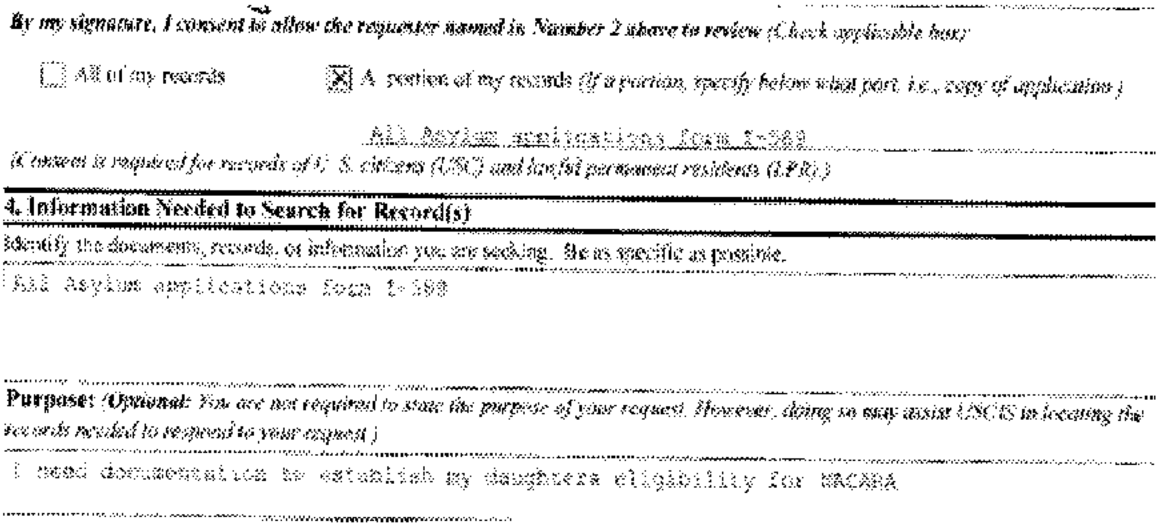
A. The Prospective Adoptive Parents (PAP) have the right to all information they submitted for the adoption. In cases like this, it is likely that the adoption never happened. If that is the case, they have no proof of parentage or guardianship
B. The child is usually too young to give certification of agreement
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.

## 8.24 SITUATION: Requests for Asylum or Refugee documentation

Asylum and refugee A-Files can be very large. We frequently see voluminous evidence of past persecution or conditions that would jeopardize the life or safety of the applicant. Because of this, we do not adhere strictly to the "three documents or less" rule when deciding whether we have a Track 1 or Track 2 case. The two examples below show first, a Track 1 and second, a Track 2:

Example 1, Track 1:



*By my signature, I consent to allow the requester named in Number 2 above to review (Check applicable box)*

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

All Asylum applications form I-589

*(Consent is required for records of U.S. citizens (USC) and lawful permanent residents (LPR).)*

**4. Information Needed to Search for Record(s)**

Identify the documents, records, or information you are seeking. Be as specific as possible.

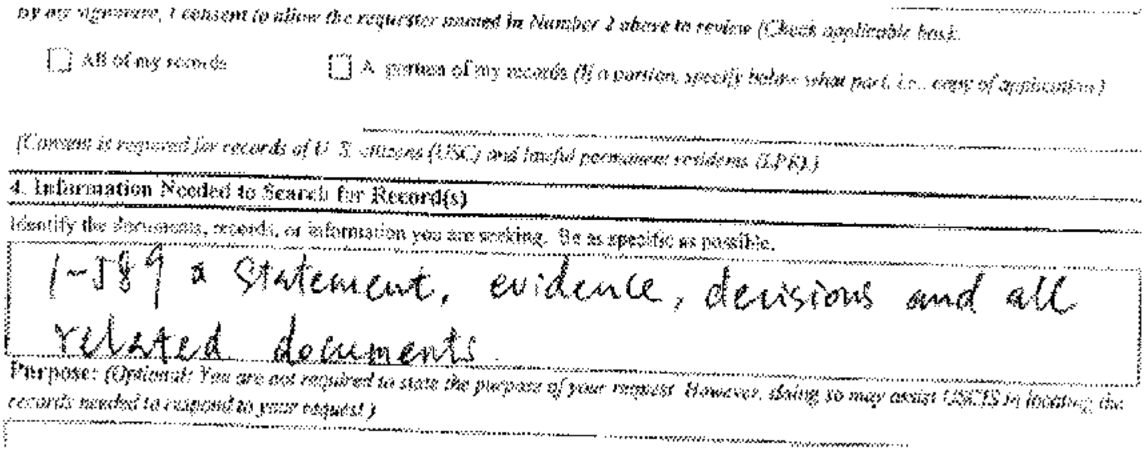
All Asylum applications form I-589

**Purpose:** *(Optional: You are not required to state the purpose of your request. However, doing so may assist USCIS in locating the records needed to respond to your request.)*

I need documentation to establish my daughters eligibility for NACARA

An asylum application and a Form I-589 are the same thing. They are usually about 10 pages. There are some things we might do to help decide whether this is Track 1 or Track 2. For instance, we might want to ask a more experienced creator what it takes to establish eligibility for NACARA. For NACARA, if the Requestor can produce a Form I-589 that was accepted by the service and lists the daughter on it, the Requestor can establish eligibility. We could conclude that all the Requestor needs is the Form I-589. Alternatively, we might call the attorney's office to ask if they mean only the Form I-589 and nothing else. In either case, you would create a Discussion explaining what you did and why, and modify the acknowledgment letter, using language as close as possible to the request while remaining grammatically correct, stating, for example, "you specifically requested all Forms I-589, Asylum Applications." If we fail to state it that specifically in the acknowledgment letter, the processor will be forced to process the case as if it were a request for the entire file. An example of such a failure would be "you specifically requested asylum documents."

Example 2, Track 2:



By my signature, I consent to allow the requester named in Number 2 above to review (Check applicable box):

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

(Consent is required for records of U.S. citizens (USC) and lawful permanent residents (LPR).)

4. Information Needed to Search for Record(s)

Identify the documents, records, or information you are seeking. Be as specific as possible.

I-589 a Statement, evidence, decisions and all related documents

Purpose: (Optional: You are not required to state the purpose of your request. However, doing so may assist USCIS in locating the records needed to respond to your request.)

This may as well be a request for the entire file. Even if this request had only listed three things: "I-589, evidence and decisions," we should still create this as a Track 2 rather than a Track 1 because of the word "evidence," which could imply hundreds of pages.

There are other times that the decision to assign the case to Track 1 or Track 2 is not easy, and at those times it helps to speak with more experienced creators, your supervisor, or as a last resort, create a Discussion and send the case to Unit Chief.

# 9. Referral and Redirection

## 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

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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 Requestor to write to FBI (that is redirection). They must send the request to the FBI and advise the Requestor 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 responsive receipt file for the subject, follow the referral guidelines set forth below. The list below includes examples of when to Refer (RF) to CBP and or ICE.

What is a "responsive" receipt file? If a Requestor checked "All of my records" and you find a receipt file, then it is responsive. If a Requestor said "A portion of my records" and specified "Incident July 25, 2014 at Blaine, Washington, all documents related to apprehension and questioning," and you find a receipt file, that receipt file is not responsive to the request.

If you find an A-file, you should create the case and staff for the file. Please refer to the flow charts at Appendix H. Before you refer the case, you must verify we have no record. When conducting research, do the queries and provide screen prints of CIS 9103, CIS 9102, CIS 9104 and PCQS or CLAIMS searches. There should be no less than two pages and may be lengthier if the 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. In your Discussion, you should also name the systems you searched and state that you have sent the documentation to OA for scanning as CSD.

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 depends on how the Requestor worded the specific documents needed. For example, you could not find any A-file or receipt file and the Requestor specified one of the following:

- 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 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 (Please note: refer to ICE if you found no other record and this is not a Records Indexing Staffing situation – see section 12.7.5)

- Information about SEVIS
- F, J, or M Visa requests

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## Referring the Case

A. Create the case as normal
B. Conduct a search for responsive records. Prepare screen prints and "Scan As" sheet.
C. 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."
D. FIPS will automatically create two documents: a final action letter to the Requestor and a referral memorandum to the DHS component.
E. FIPS then generates the two Word documents
F. 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.
G. Click on the "Check in Document" icon and you will get a "Save" dialog box. Click "Open."
H. After you have done this for both documents, enter a case Discussion with your RF findings stating that you have sent the screen prints to be scanned as CSD.
I. Send the case to Up-front Approver.

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

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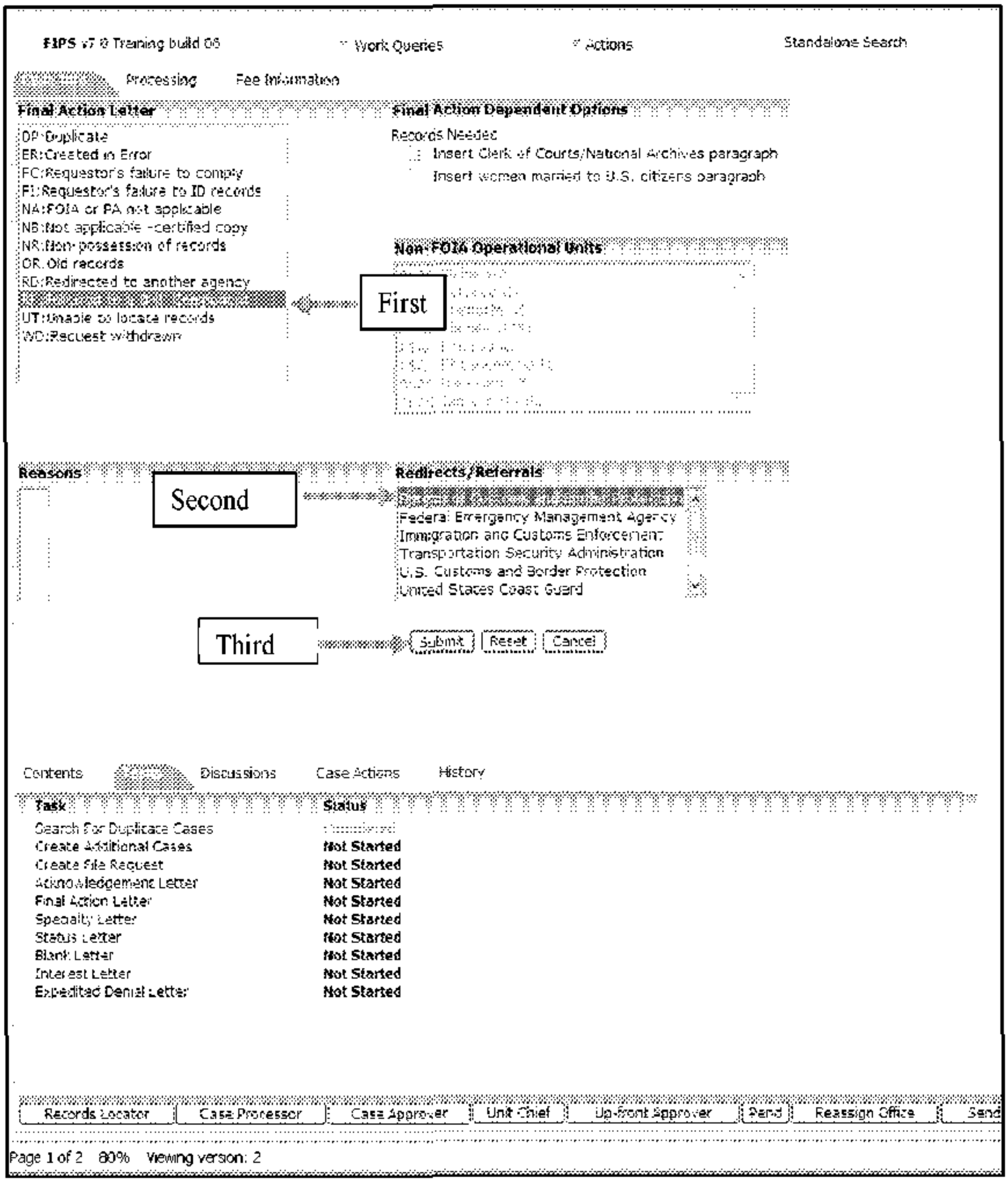

FIPS v7.0 Training build 06
Work Queries
Actions
Standalone Search
Processing
Fee Information
Final Action Letter
DP:Duplicate
ER:Created in Error
FC:Requestor's failure to comply
FI:Requestor's failure to ID records
NA:FOIA or PA not applicable
NB:Not applicable - certified copy
NR:Non-possession of 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
Reasons
Redirects/Referrals
Federal Emergency Management Agency
Immigration and Customs Enforcement
Transportation Security Administration
U.S. Customs and Border Protection
United States Coast Guard
Submit
Reset
Cancel
Contents
Discussions
Case Actions
History
Records Locator
Case Processor
Case Approver
Unit Chief
Up-front Approver
Pend
Reassign Office
Send
Page 1 of 2 80% Viewing version: 2

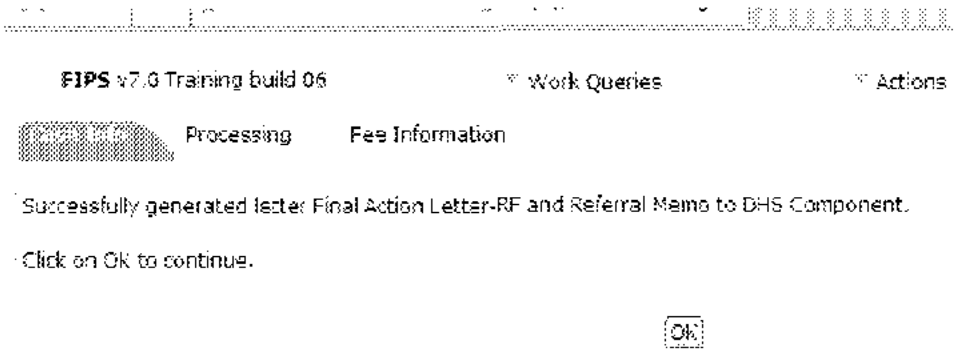
First

Second

Third

| Task | Status |
|---|---|
| Search For Duplicate Cases | [illegible] |
| 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** |

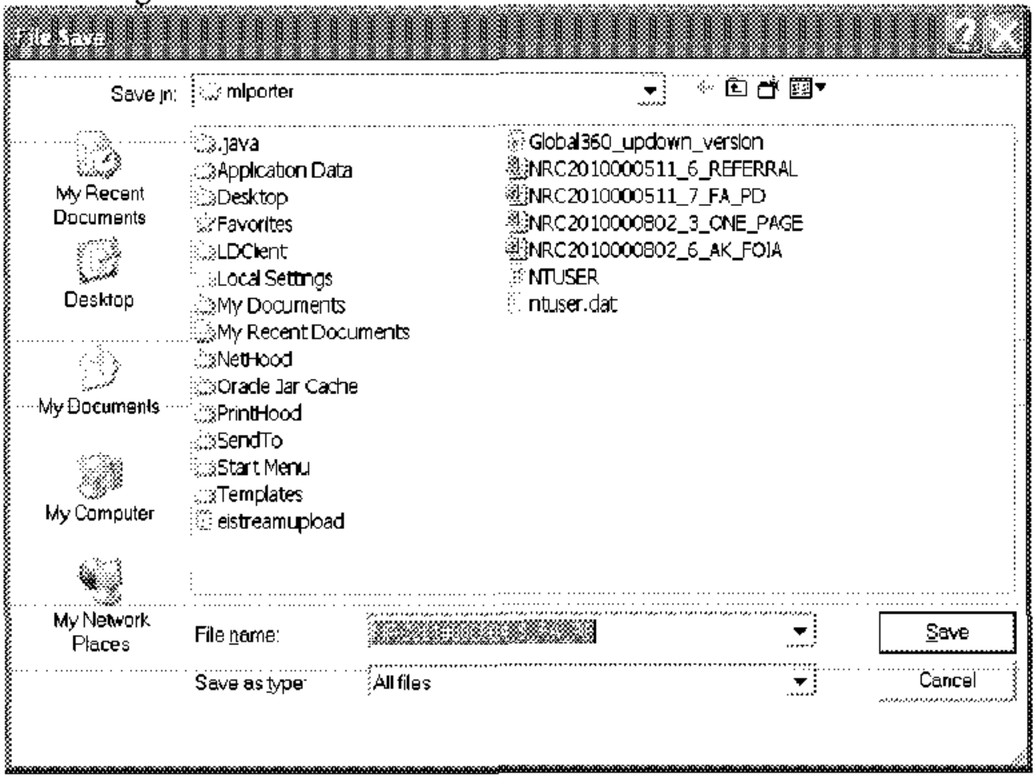
FIPS will automatically create two documents: A final action letter to the Requestor and a referral memorandum to the DHS component.


FIPS v7.0 Training build 06
Work Queries
Actions
Processing
Fee Information
Ok

Successfully generated letter Final Action Letter-RF and Referral Memo to DHS Component.

Click on OK to continue.

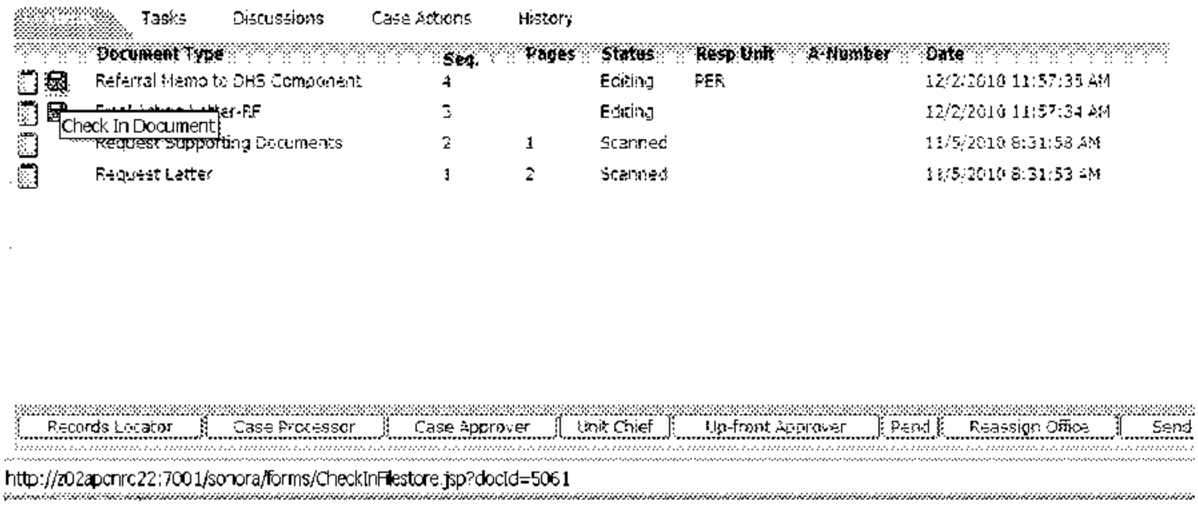
FIPS then generates the two Word documents.


File Save
My Recent Documents
Desktop
My Documents
My Computer
My Network Places
.java
Application Data
Desktop
Favorites
LDClient
Local Settings
My Documents
My Recent Documents
NetHood
Oracle Jar Cache
PrintHood
SendTo
Start Menu
Templates
eistreamupload
Global360_updown_version
NRC2010000511_6_REFERRAL
NRC2010000511_7_FA_PD
NRC2010000802_3_ONE_PAGE
NRC2010000802_6_AK_FOIA
NTUSER
ntuser.dat
File name:
Save
Cancel

Save in: mlporter

Save as type: All files

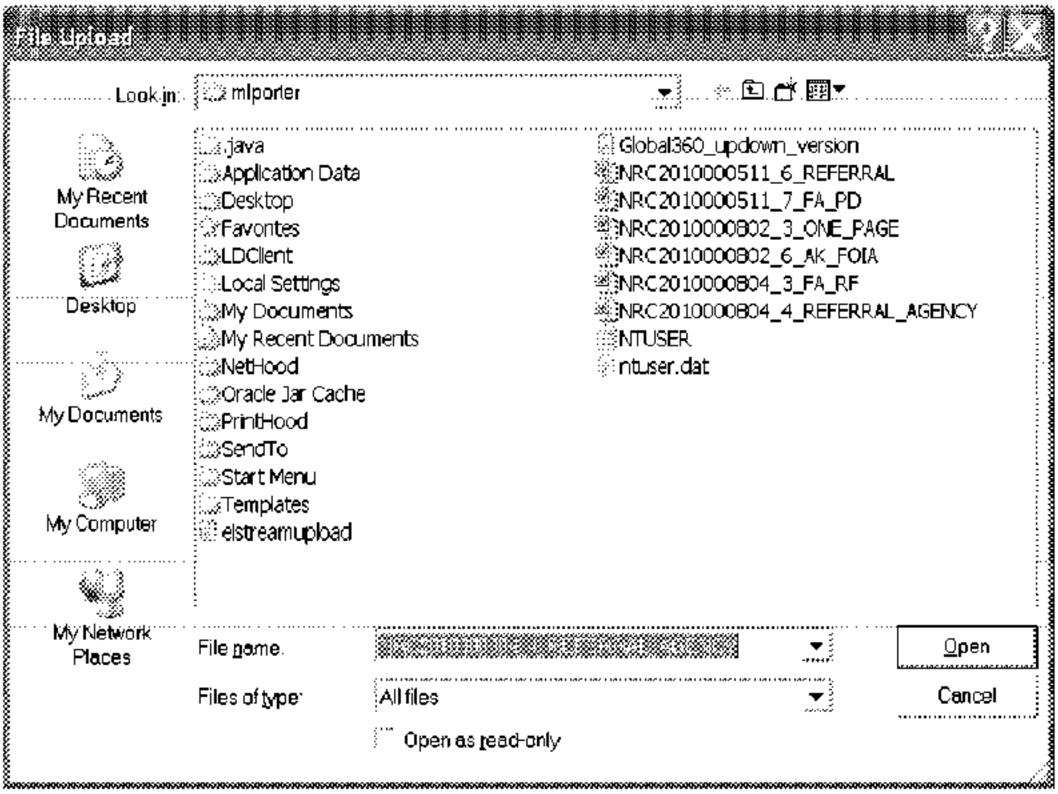
You will have to edit the letter to add needed information. After you exit from the Word documents, they will appear under the "Contents" tab.


Tasks
Discussions
Case Actions
History
Check In Document
Records Locator
Case Processor
Case Approver
Unit Chief
Up-front Approver
Pend
Reassign Office
Send

| 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 |
| [illegible]er-RF | 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 |

http://z02apcnrc22:7001/sonora/forms/CheckInFilestore.jsp?docId=5061

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


File Upload
Look in:
mlporter
My Recent Documents
Desktop
My Documents
My Computer
My Network Places
.java
Application Data
Desktop
Favorites
LDClient
Local Settings
My Documents
My Recent Documents
NetHood
Oracle Jar Cache
PrintHood
SendTo
Start Menu
Templates
elstreamupload
Global360_updown_version
NRC2010000511_6_REFERRAL
NRC2010000511_7_FA_PD
NRC2010000802_3_ONE_PAGE
NRC2010000802_6_AK_FOIA
NRC2010000804_3_FA_RF
NRC2010000804_4_REFERRAL_AGENCY
NTUSER
ntuser.dat
Open
Cancel

File name: [redacted]

Files of type: All files

☐ Open as read-only

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

## 9.2 Redirection (RD)

9.2.1 If we receive a request for specific records that belong to an agency outside of DHS (except NVC), we close it and write a "redirect letter." Always make sure we have no responsive records before redirecting to another agency. **For example, if someone requests a Visitor Visa, but we cannot find a record, we can redirect the request to the U.S. Department of State.** 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.

**9.2.2** If it is a general request for "My Complete A-File" or "All my records," you must conduct a search for responsive records. If you find an A-file, you should create the case and staff for the file. If unable to find the A-file, we are still required to provide any other records we find, including any applications, petitions, etc… However, unless receipt files are specifically requested, we will not produce receipt files in responding to an "All My Records" request. Please refer to the flow charts at Appendix H. Before you redirect the case, you must verify we have no responsive record. When conducting research, do the queries and provide screen prints of CIS 9103, CIS 9102, CIS 9104 and PCQS or CLAIMS searches. There should be no less than two pages and may be lengthier if the subject has provided multiple names. If the receipt is located at the NVC, do not redirect to the NVC. Have the screen prints of the receipt scanned in as responsive records. Make sure the track is TRACK I. Create the 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 to OneNote and send an email to FOIAPROGRAM.NRC@uscis.dhs.gov. On the subject line, put the control number and SOR's name. Pend the case.

In your Discussion, you should also name the systems you searched.

9.2.3 If it is not a request for all records, but a request for a specific receipt, then you should research where that receipt is now, and if we have it, you should staff for that receipt. You do not have to provide the same print-outs as you would when you are conducting research for "All my records," but you should provide print-outs to show the receipt is with NVC, if available. The rest of this section has instructions concerning what to do if we do not have the receipt.

**9.2.4** 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:** 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.

9.2.5 Deleted

9.2.6 Deleted

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

A. Create the case
B. Conduct a search for responsive records. Prepare screen prints and "Scan As" sheet.
C. 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."
D. FIPS will automatically create a document: a final action RD letter to the Requestor.
E. FIPS then generates the Word document.
F. 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.
G. Click on the "Check in Document" icon and you will get a "Save" dialog box. Click "Open."
H. After you have done this for the document, enter a case Discussion with your RD findings stating that you have sent the screen prints to be scanned as CSD.
I. Send the case to Up-front Approver.

## 9.3 Entry/Exit Information and Border Apprehension referral to CBP

CBP handles FOIA requests for entry and exit information dating back to 1982 but no earlier, 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
90 K Street, NE, 9th Floor
Washington, DC 20229-1181

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

Border apprehension referrals are treated differently. If the Border apprehension date is 1998 or earlier, do a thorough search. If you cannot find a record, please close the case NR and add the following paragraph to your NR letter:

> "You may wish to contact Customs and Border Protection, WWW.CBP.GOV. Their website offers information on filing your FOIA request electronically. Please be sure to include dates and locations of any encounters. Please note they do not have complete records for incidents prior to 2000."

**Note 1:** If the request is for entry/exit, the date was prior to 1982 and you cannot locate a record, do not refer the case to CBP. Do a thorough search and then close NR.

**Note 2:** If the request is for entry/exit information and the Requestor/subject provided an alien number, request the file.

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 3:** 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 Requestor provides an A-Number or you locate an A-Number through a search of the systems, please request the A-file.

## 9.5 Deleted

## 9.6 Deleted

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

If you determine that the Requestor 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

## 12.1 Resources

If the Requestor provided adequate VOI, reasonable description of records, and certification of agreement 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 Requestor 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

## 12.2 FOIA Support Team

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

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## 12.3 Request for Alien File

If the Requestor asked for Complete Alien File and provided an A-number, we will staff for that A-number only, unless

- The number they provided was wrong, or
- The A-number they gave us is for a file that has been lost for more than sixty days, or
- The number they provided was between 80 million and 86,999,999, or
- The number they provided was a 100 million series.

## 12.4 Specific Documents

If the Requestor 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 Requestor, using language as close as practical to the Requestor's words. You should never leave the words "Specific Doc Information" in your acknowledgment letter.

## 12.5 Service Centers

The Service Centers 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.

## 12.6 Best Available Information

If the Requestor 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. In this situation, add a Discussion stating how you found the record and that you staffed on best available information. If you are unable to find a record, please refer to section 7.3 of this guide.

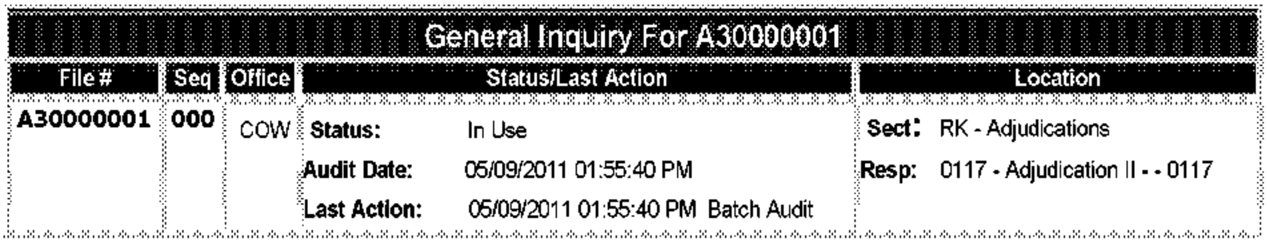
## 12.7 S and W files

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.

## 12.8 RPC of RK

If the file is located at COW with the Responsible Party Code (RPC) of RK, please create the case and refer it to ICE. Please insert a Discussion after you have created the case. The title of the

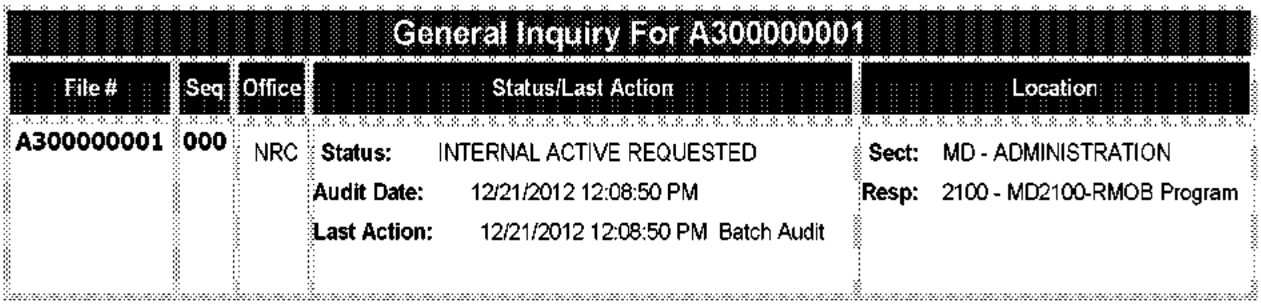
Discussion should read "File is at RK," and there is no need to enter any further comment in that Discussion.



| General Inquiry For A30000001 | | | | |
|---|---|---|---|---|
| **File #** | **Seq** | **Office** | **Status/Last Action** | **Location** |
| **A30000001** | **000** | COW | **Status:** In Use<br>**Audit Date:** 05/09/2011 01:55:40 PM<br>**Last Action:** 05/09/2011 01:55:40 PM Batch Audit | **Sect:** RK - Adjudications<br>**Resp:** 0117 - Adjudication II - - 0117 |

## 12.9 RMOB Program

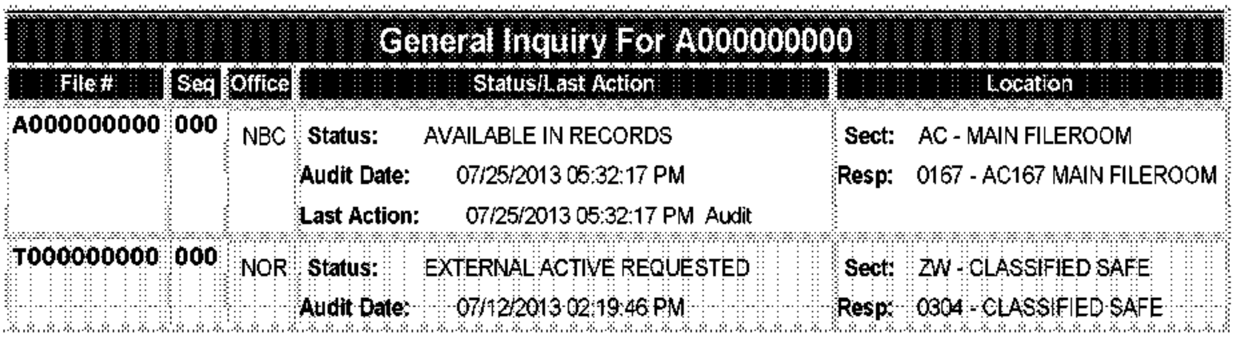
If the file is located at NRC with the Responsible Party Code (RPC) of MD 2100 through MD 2221, please create the case and refer it to ICE. Please insert a Discussion after you have created the case. The title of the Discussion should read "RMOB Program," and there is no need to enter any further comment in that discussion.



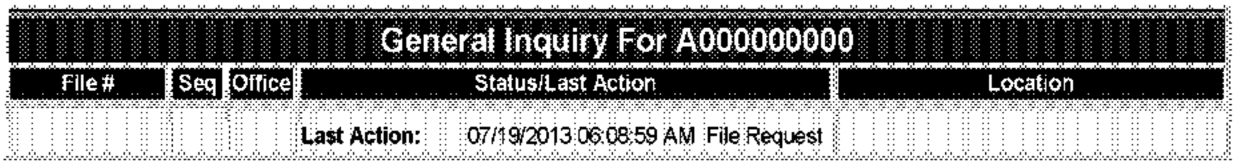
| General Inquiry For A300000001 | | | | |
|---|---|---|---|---|
| **File #** | **Seq** | **Office** | **Status/Last Action** | **Location** |
| **A300000001** | **000** | NRC | **Status:** INTERNAL ACTIVE REQUESTED<br>**Audit Date:** 12/21/2012 12:08:50 PM<br>**Last Action:** 12/21/2012 12:08:50 PM Batch Audit | **Sect:** MD - ADMINISTRATION<br>**Resp:** 2100 - MD2100-RMOB Program |

## 12.10 FOIA Safe

If you see an RPC of **"ZW"** in NFTS; that indicates the file is classified. Staff the file to the current FCO. In the example below, you would create one staffing to MSC/NBC and one staffing to NOR. If you see an RPC code ZW and the Office is NRC, you should staff: FOIA Safe. Whenever you see a file location ZW, always check the Comments – see the examples below:

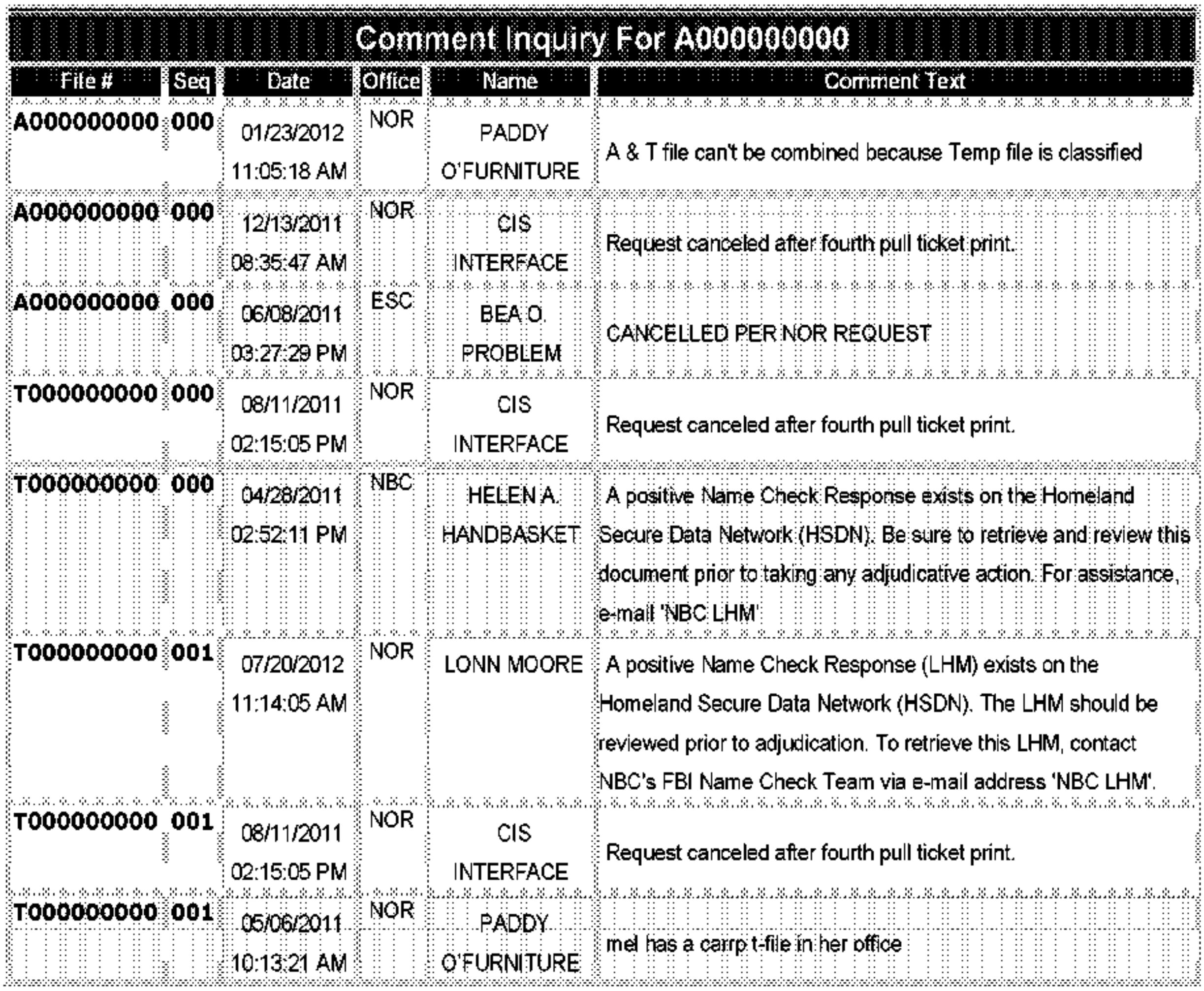


| General Inquiry For A000000000 | | | | |
|---|---|---|---|---|
| **File #** | **Seq** | **Office** | **Status/Last Action** | **Location** |
| **A000000000** | **000** | NBC | **Status:** AVAILABLE IN RECORDS<br>**Audit Date:** 07/25/2013 05:32:17 PM<br>**Last Action:** 07/25/2013 05:32:17 PM Audit | **Sect:** AC - MAIN FILEROOM<br>**Resp:** 0167 - AC167 MAIN FILEROOM |
| **T000000000** | **000** | NOR | **Status:** EXTERNAL ACTIVE REQUESTED<br>**Audit Date:** 07/12/2013 02:19:46 PM | **Sect:** ZW - CLASSIFIED SAFE<br>**Resp:** 0304 - CLASSIFIED SAFE |



**General Inquiry For A000000000**

| File # | Seq | Office | Status/Last Action | Location |
|---|---|---|---|---|
| | | | **Last Action:** 07/19/2013 06:08:59 AM File Request | |



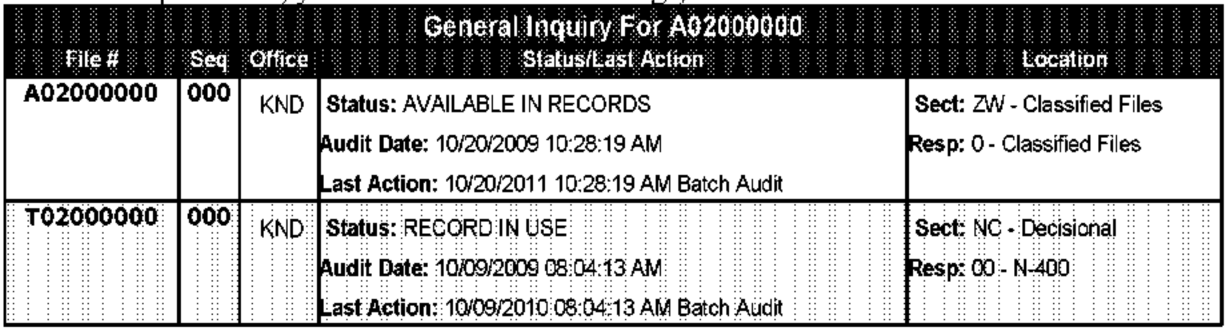
**Comment Inquiry For A000000000**

| File # | Seq | Date | Office | Name | Comment Text |
|---|---|---|---|---|---|
| **A000000000** | **000** | 01/23/2012<br>11:05:18 AM | NOR | PADDY<br>O'FURNITURE | A & T file can't be combined because Temp file is classified |
| **A000000000** | **000** | 12/13/2011<br>08:35:47 AM | NOR | CIS<br>INTERFACE | Request canceled after fourth pull ticket print. |
| **A000000000** | **000** | 06/08/2011<br>03:27:29 PM | ESC | BEA O.<br>PROBLEM | CANCELLED PER NOR REQUEST |
| **T000000000** | **000** | 08/11/2011<br>02:15:05 PM | NOR | CIS<br>INTERFACE | Request canceled after fourth pull ticket print. |
| **T000000000** | **000** | 04/28/2011<br>02:52:11 PM | NBC | HELEN A.<br>HANDBASKET | A positive Name Check Response exists on the Homeland Secure Data Network (HSDN). Be sure to retrieve and review this document prior to taking any adjudicative action. For assistance, e-mail 'NBC LHM' |
| **T000000000** | **001** | 07/20/2012<br>11:14:05 AM | NOR | LONN MOORE | A positive Name Check Response (LHM) exists on the Homeland Secure Data Network (HSDN). The LHM should be reviewed prior to adjudication. To retrieve this LHM, contact NBC's FBI Name Check Team via e-mail address 'NBC LHM'. |
| **T000000000** | **001** | 08/11/2011<br>02:15:05 PM | NOR | CIS<br>INTERFACE | Request canceled after fourth pull ticket print. |
| **T000000000** | **001** | 05/06/2011<br>10:13:21 AM | NOR | PADDY<br>O'FURNITURE | mel has a carrp t-file in her office |

Though you will create the case normally and still staff for the file at its location, you will also email the NRC, FOIA Safe mailbox (copy your supervisor), providing the case number and the name of the subject of the request, stating that the case shows the code ZW in NFTS. View the comments. If there is HSDN commentary (A positive Name Check Response (LHM) exists on the Homeland Secure Data Network (HSDN). The LHM should be reviewed prior to adjudication. To retrieve this LHM, contact NBC's FBI Name Check Team via e-mail address 'NBC LHM'), please paste that into the e-mail. Create a discussion stating that you did send the email to NRC, FOIA Safe mailbox.

You may have an instance where NFTS shows an A and T-file at the same location, but only one of the files is classified.

In a regular case, you would create one staffing for both files.
However, classified and regular A (or T) files are most often sent to us at separate time frames.
Therefore you'll need to create two separate staffings for the same location.
In the example below, you would create two staffings, both to KND.



General Inquiry For A02000000

| File # | Seq | Office | Status/Last Action | Location |
|---|---|---|---|---|
| A02000000 | 000 | KND | **Status:** AVAILABLE IN RECORDS<br>**Audit Date:** 10/20/2009 10:28:19 AM<br>**Last Action:** 10/20/2011 10:28:19 AM Batch Audit | **Sect:** ZW - Classified Files<br>**Resp:** 0 - Classified Files |
| T02000000 | 000 | KND | **Status:** RECORD IN USE<br>**Audit Date:** 10/09/2009 08:04:13 AM<br>**Last Action:** 10/09/2010 08:04:13 AM Batch Audit | **Sect:** NC - Decisional<br>**Resp:** 00 - N-400 |

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.

## 12.11 Pend Destruct

Do not staff for a receipt if the responsible party is "PEND DESTRUCT." If you find a receipt file, but NFTS shows it is in "PEND DESTRUCT," depending on the type of request, you may simply be staffing for the A-file and disregarding the receipt or you may be printing the electronic record from PCQS and creating a RAFACS staffing for those pages. If you are unsure, please consult a supervisor.

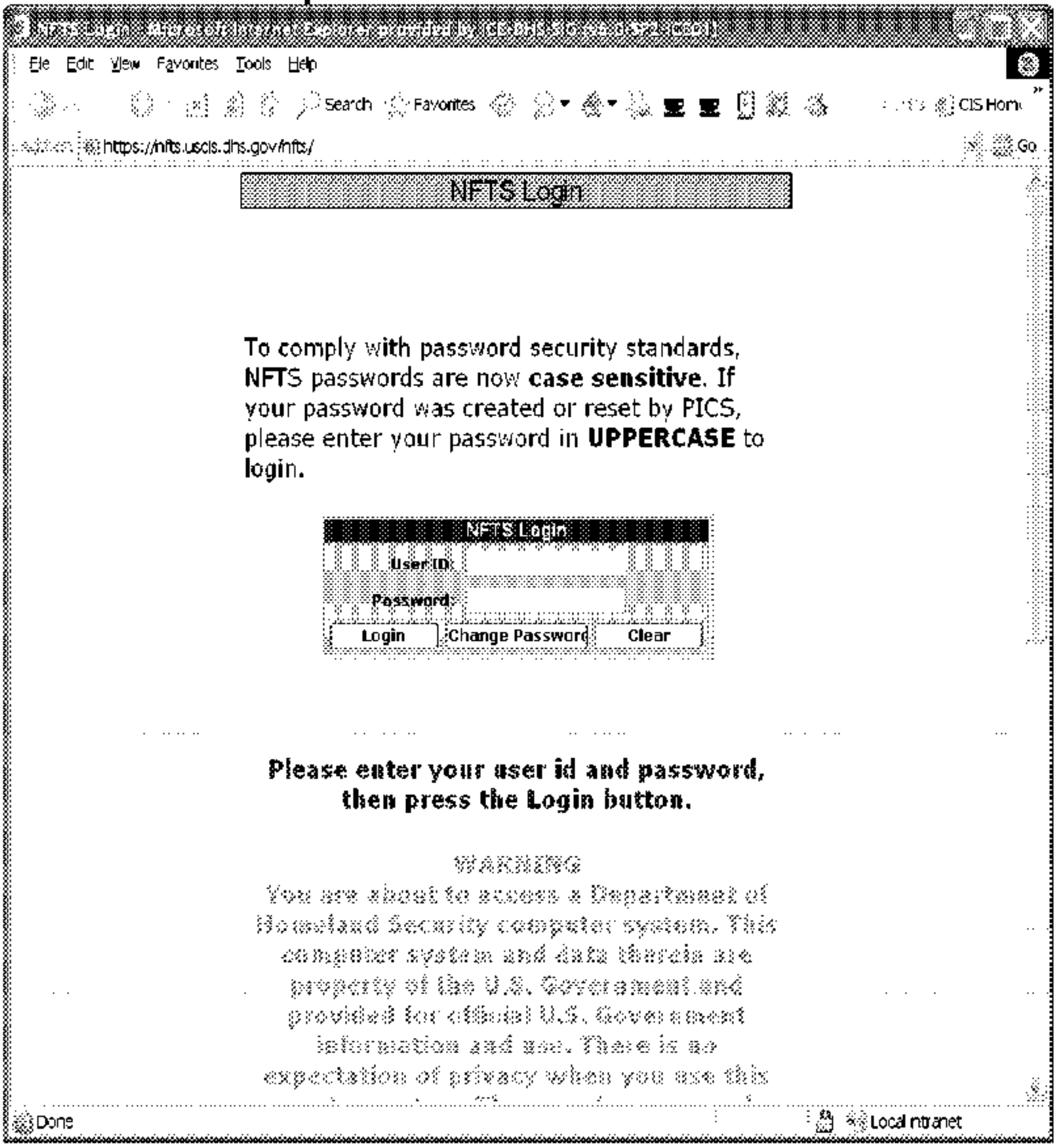
General Inquiry For
Status/Last Action
Location

## 12.12 Staffing by Alien Number

### 12.12.1 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 16b, **FC (failure to comply) CASE CLOSINGS** of this guide. The section that follows is a systematic example of staffing by A-Number when the Requestor has provided one.

### 12.12.1.1 Open NFTS

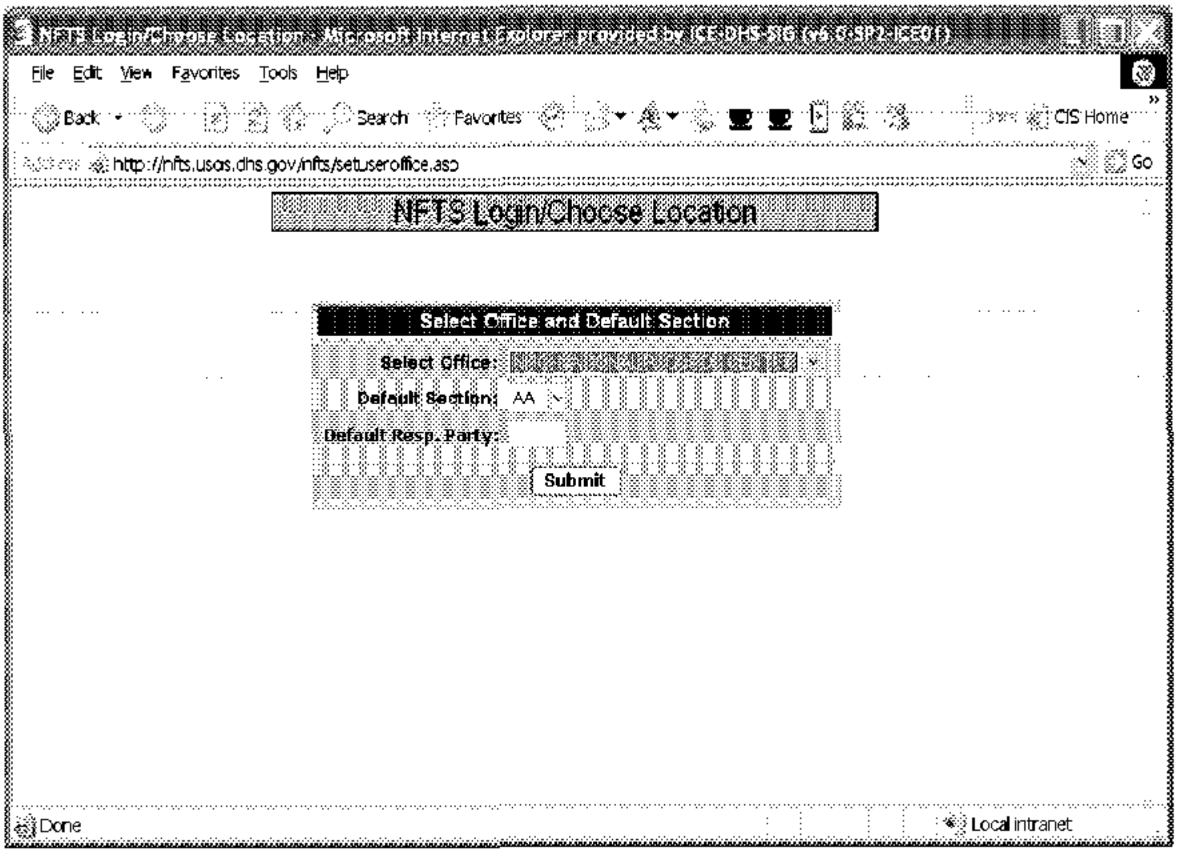

File Edit View Favorites Tools Help
Search
Favorites
CIS Home
https://nfts.uscis.dhs.gov/nfts/
Go
NFTS Login
NFTS Login
User ID:
Password:
Login
Change Password
Clear
Done
Local intranet

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.

**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

### 12.12.1.2 Submit your location


NFTS Login/Choose Location - Microsoft Internet Explorer provided by ICE-DHS-SIG (v6.0-SP2-ICE01)
File Edit View Favorites Tools Help
Back Search Favorites CIS Home
Go
Done
Local intranet

http://nfts.uscis.dhs.gov/nfts/setuseroffice.asp

NFTS Login/Choose Location

Select Office and Default Section

Select Office: [illegible]

Default Section: AA

Default Resp. Party:

Submit

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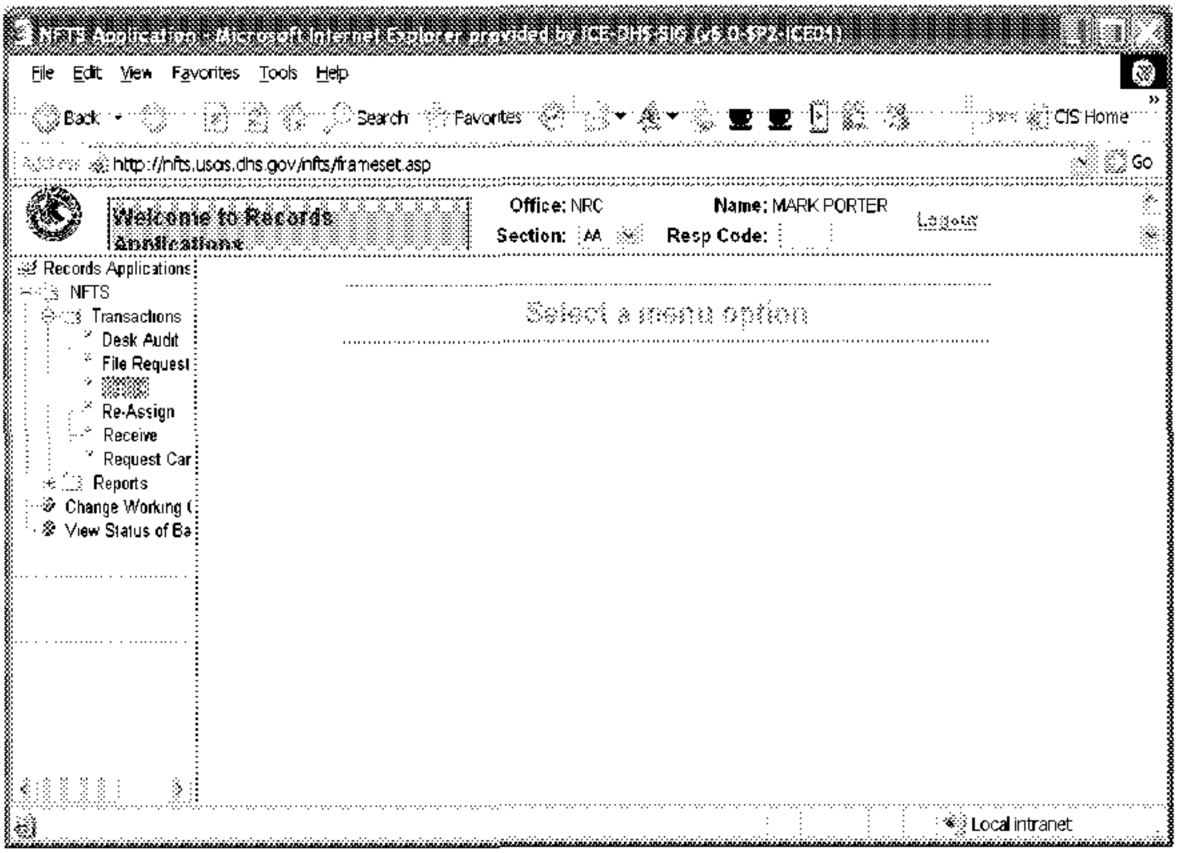
### 12.12.1.3 Select “Inquiry”


NFTS Application - Microsoft Internet Explorer provided by ICE-DHS-SIG (v6.0-SP2-ICED4)
File Edit View Favorites Tools Help
Back
Search
Favorites
CIS Home
Go
Welcome to Records Applications
Logout
Records Applications
NFTS
Transactions
Desk Audit
File Request
Re-Assign
Receive
Request Car
Reports
Change Working (
View Status of Ba
Local intranet

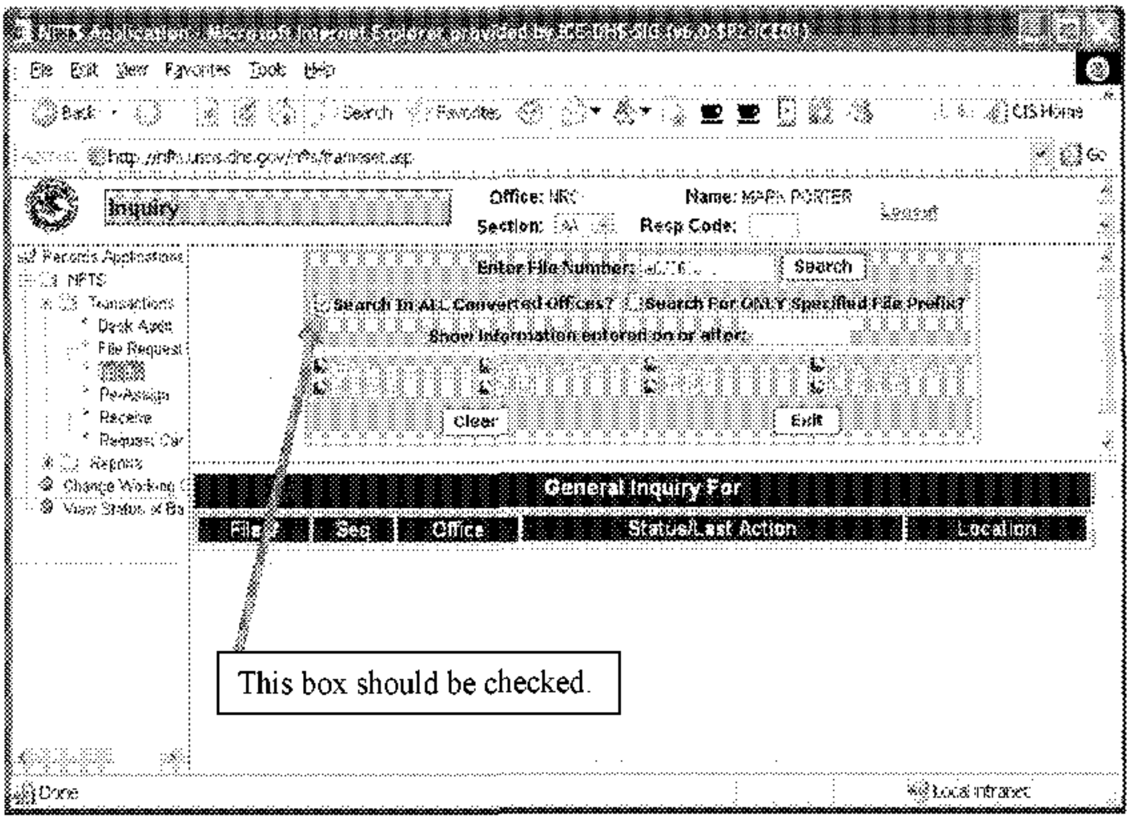
http://nfts.uscis.dhs.gov/nfts/frameset.asp

**Office:** NRC **Name:** MARK PORTER

**Section:** AA **Resp Code:**

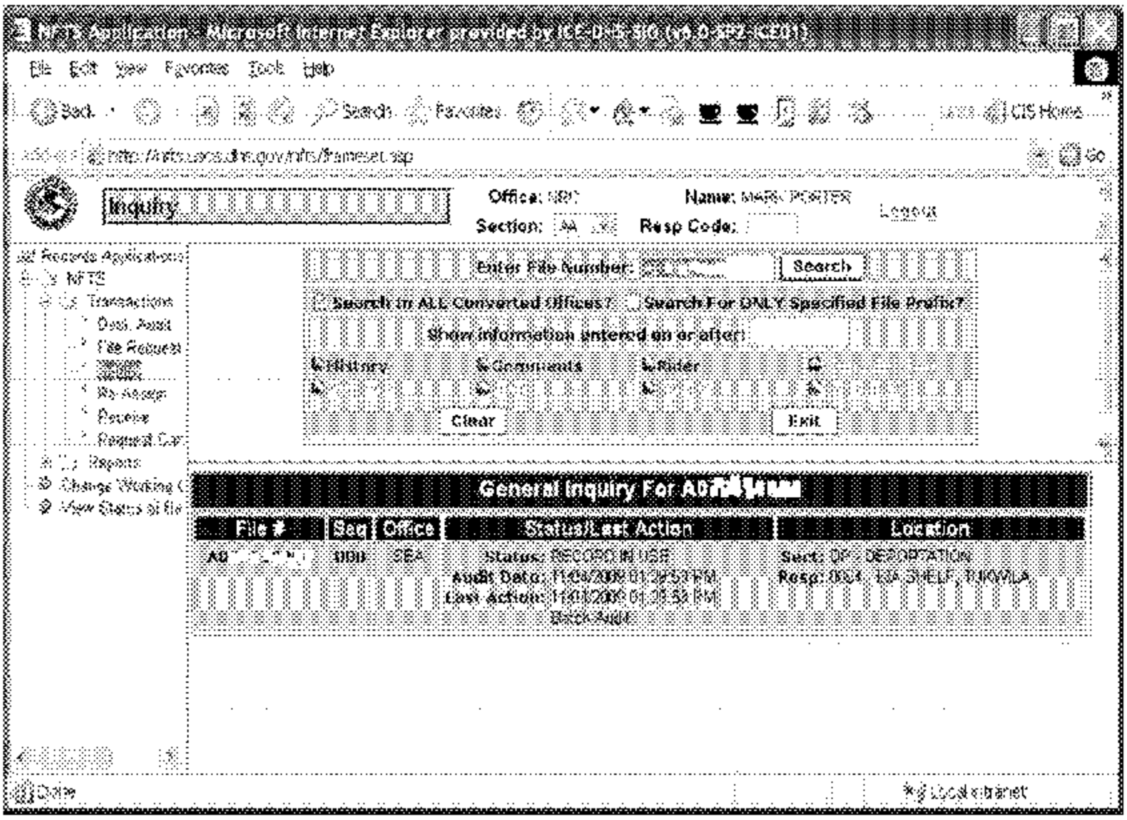
Select a menu option

**12.12.1.4 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.


File Edit View Favorites Tools Help
Back
Search
Favorites
CIS Home
Go
Inquiry
Office: NRC
Section:
Resp Code:
Logout
Records Applications
NFTS
Transactions
Desk Audit
File Request
ReAssign
Receive
Request Car
Reports
Change Working
View Status of Ba
Enter File Number:
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

This box should be checked.

**12.12.1.5 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.


File Edit View Favorites Tools Help
Back Search Favorites
CIS Home
Go
Inquiry
Logout
Records Applications
NFTS
Transactions
Docl. Assist
File Request
Re-Assign
Receive
Request Cart
Reports
Change Working Office
View Status of file
Search
History
Comments
Rider
Clear
Exit
Local intranet

Office: NRC Name: MARK PORTER
Section: AA Resp Code:

Enter File Number: [redacted]

☐ Search in ALL Converted Offices? ☐ Search For ONLY Specified File Prefix?

Show information entered on or after:

General Inquiry For A0[redacted]

| File # | Seq | Office | Status/Last Action | Location |
|---|---|---|---|---|
| A0[redacted] | 000 | SEA | Status: RECORD IN USE<br>Audit Date: 11/04/2009 01:28:53 PM<br>Last Action: 11/04/2009 01:28:53 PM<br>Batch Add | Sect: DP - DEPORTATION<br>Resp: 0064 - [illegible] SHELF, TUKWILA |

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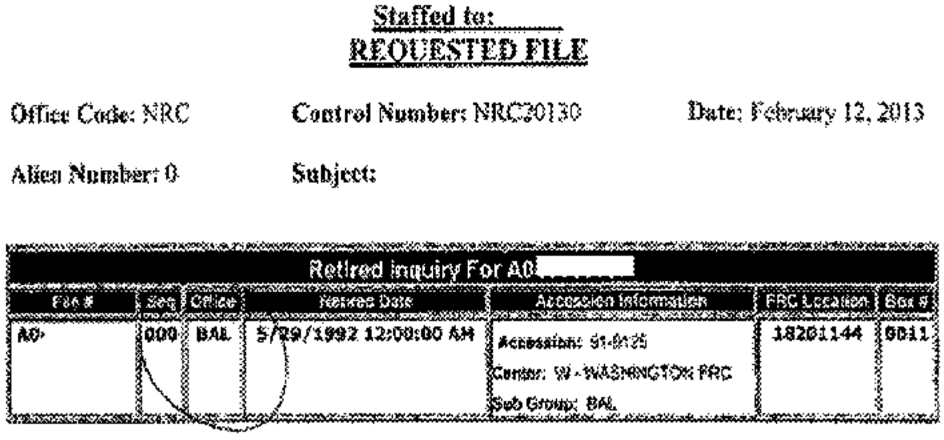
### 12.12.1.6 "Blued in" information

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 the Kansas City area, staff to Non-FOIA for the FCO. Release 6.1.1.0 of NFTS expanded the Kansas City FRC to three locations – Lee's Summit, Lenexa and North Kansas City. All three of those locations are FRC staffings unless the file is digitized.
B. For any FRC other than those three locations, you should create a Non-FOIA staffing to the FCO listed under "Office." It can be confusing. Please refer to the example at the bottom of this section, in which you would staff to Non-FOIA Office, BAL.
C. If "In Transit" had been blued in, it would have been important. We would have staffed to the receiving FCO.
D. 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.
E. "Rider" could be important to the case processor, but it has nothing to do with how we request this file.
F. 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.
G. 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.

Example - the file below is retired to the Washington FRC, but you should not staff to WAS. The FCO is BAL, so you should staff to Non-FOIA Office, BAL. The same principle applies if a file is retired to the SFR FRC - if the FCO is LVG, then you should staff to Non-FOIA Office, LVG, and paste in the screen shot of the Retired Inquiry.



**Staffed to:** ______

**REQUESTED FILE**

**Office Code:** NRC
**Control Number:** NRC20130
**Date:** February 12, 2013

**Alien Number:** 0
**Subject:**

Retired Inquiry For A0[redacted]

| File # | Seq | Office | Retired Date | Accession Information | FRC Location | Box # |
|---|---|---|---|---|---|---|
| A0 | 000 | BAL | 5/29/1992 12:00:00 AM | Accession: 91-0125<br>Center: W - WASHINGTON FRC<br>Sub Group: BAL | 18201144 | 0011 |

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### 12.12.1.7 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

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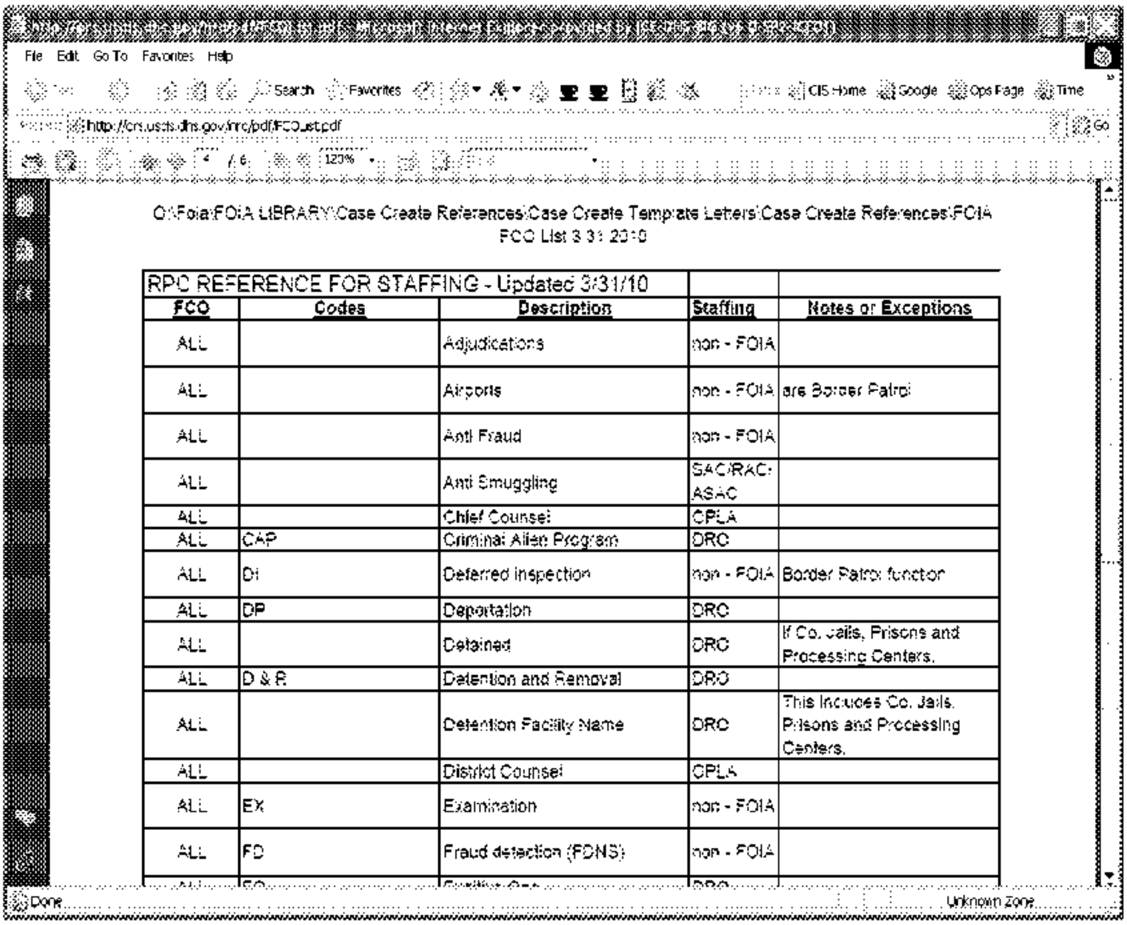
**12.12.1.8 The RPC Reference Guide** says that no matter what the FCO is, if the RPC starts with DP, we staff to DRO. That is ordinarily true, and NFTS will usually say DP-Deportation, so you will have no doubt. Ordinarily, DP means Deportation, and the Staffing column says to staff to DRO. SAC, RAC, ASAC, DRO and OPLA are all ICE functions. That's important for staffing. When you staff for any file that is for one of the ICE functions, be sure to change the Bureau to ICE and click Save.


File Edit Go To Favorites Help
Search Favorites
CIS Home Google Ops Page Time
http://crs.uscis.dhs.gov/nrc/pdf/FCOList.pdf
Go
4 / 6
120%
Done
Unknown Zone

O:\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 (FDNS) | non - FOIA | |

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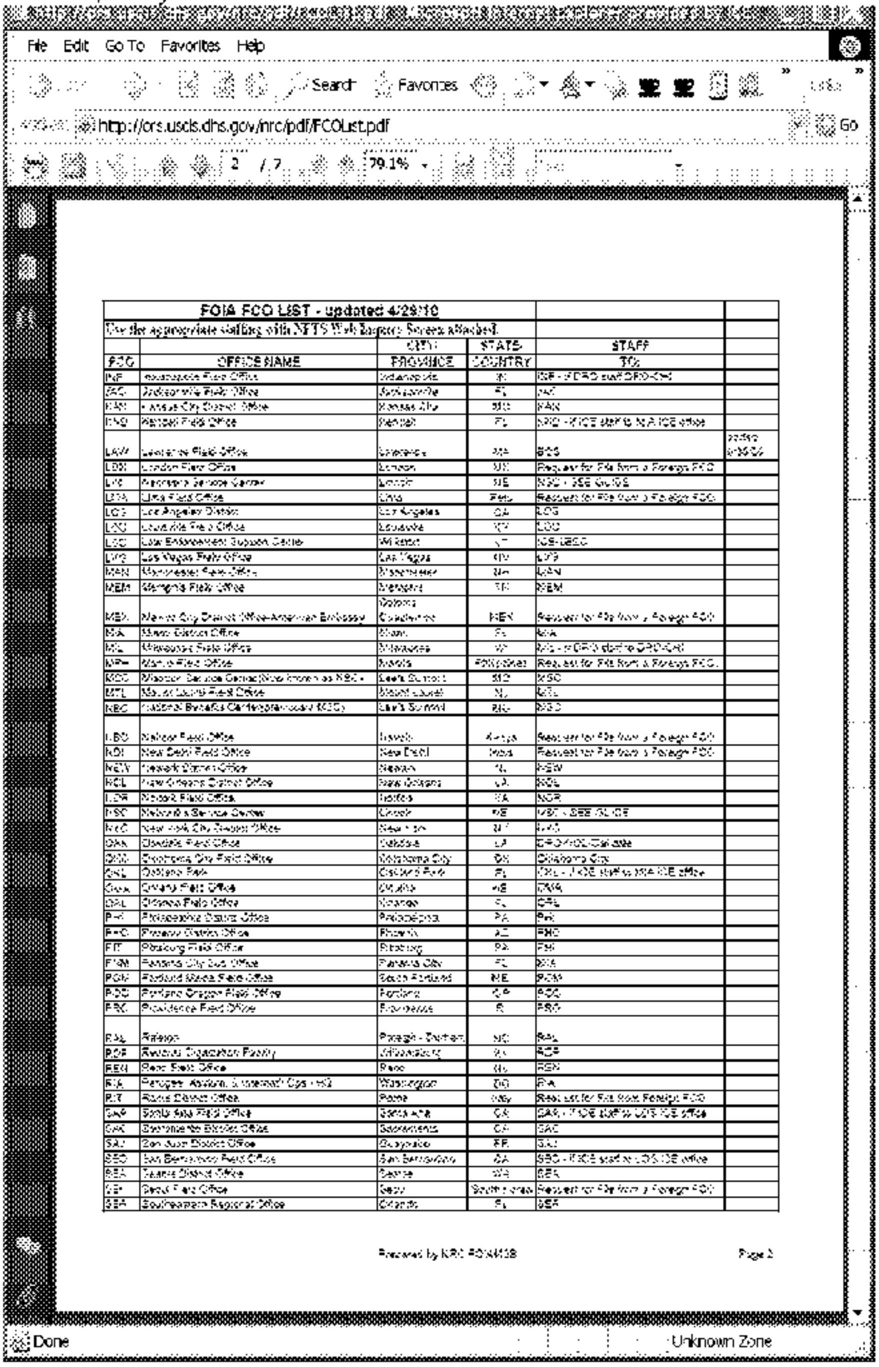
### 12.12.1.9 The FCO List

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.


File Edit Go To Favorites Help
Search
Favorites
http://ors.uscis.dhs.gov/nrc/pdf/FCOList.pdf
Go
2 / 7
79.1%
FOIA FCO LIST - updated 4/29/10
FCO
OFFICE NAME
CITY/ PROVINCE
STATE/ COUNTRY
STAFF TO:
Done
Unknown Zone

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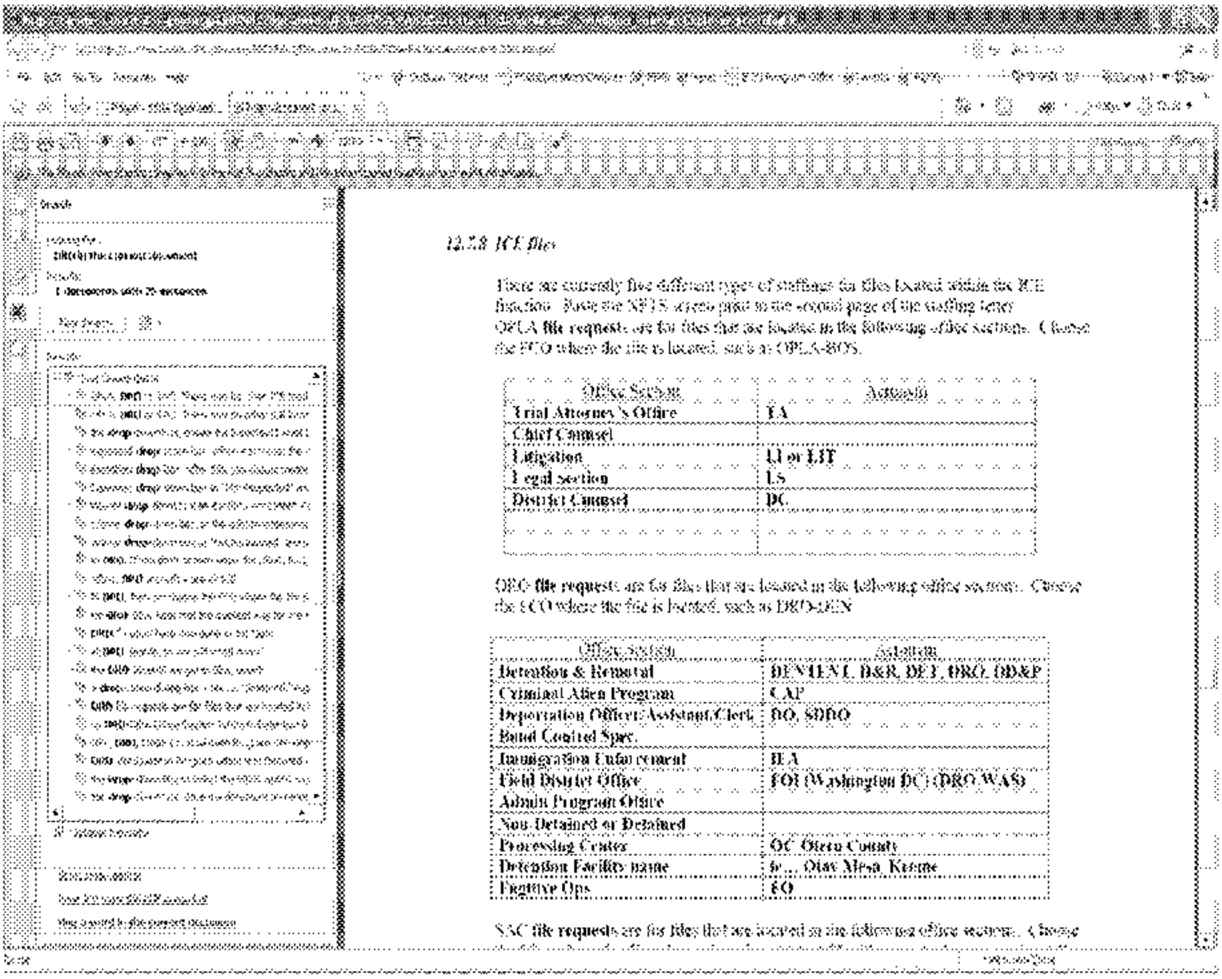
### 12.12.1.10 Figuring out a Staffing Scenario

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. If I *ever* have a doubt, I go talk with FST, because if I staff it correctly the first time, FST won't have to send it back to me and I won't have to do it over.



*12.5.8 ICE files*

There are currently five different types of staffings for files located within the ICE function. Paste the NFTS screen print to the second page of the staffing letter.
OPLA **file requests** are for files that are located in the following office sections. Choose the FCO where the file is located, such as OPLA-BOS.

| Office Section | Acronym |
|---|---|
| Trial Attorney's Office | 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 | Acronym |
|---|---|
| Detention & Removal | DEN/DENL, 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 | FOI (Washington DC) (DRO-WAS) |
| Admin Program Office | |
| Non-Detained or Detained | |
| Processing Center | OC Otero County |
| Detention Facility name | fe… Otay Mesa, Krome |
| Fugitive Ops | FO |

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

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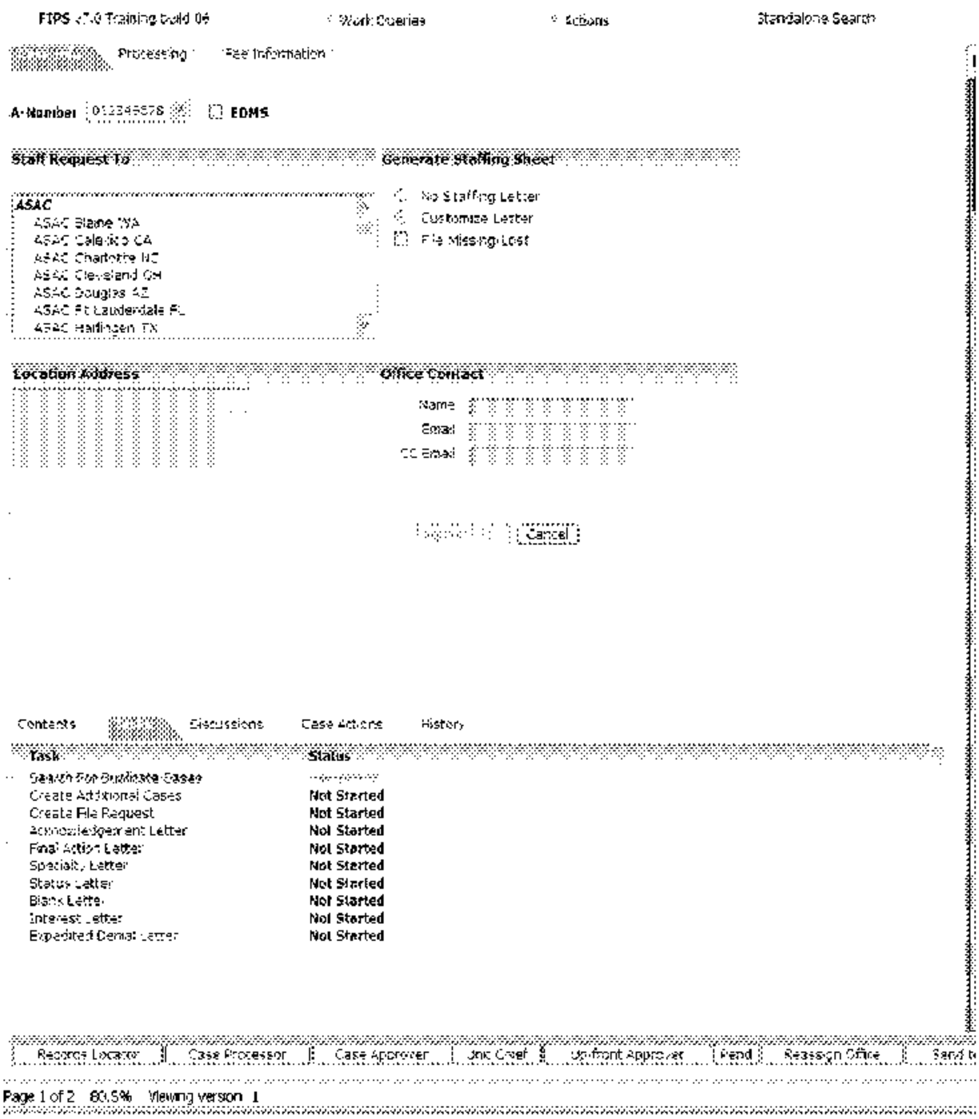
### 12.12.1.11 Generate the file request

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


FIPS v7.0 Training build 06
Work Queries
Actions
Standalone Search
Processing
Fee Information
Staff Request To
Generate Staffing Sheet
Location Address
Office Contact
Cancel
Contents
Discussions
Case Actions
History
Records Locator
Case Processor
Case Approver
Unit Chief
Up-front Approver
Pend
Reassign Office

A-Number 012345678 ☐ EDMS

ASAC
ASAC Blaine WA
ASAC Calexico CA
ASAC Charlotte NC
ASAC Cleveland OH
ASAC Douglas AZ
ASAC Ft Lauderdale FL
ASAC Harlingen TX

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

Name
Email
CC Email

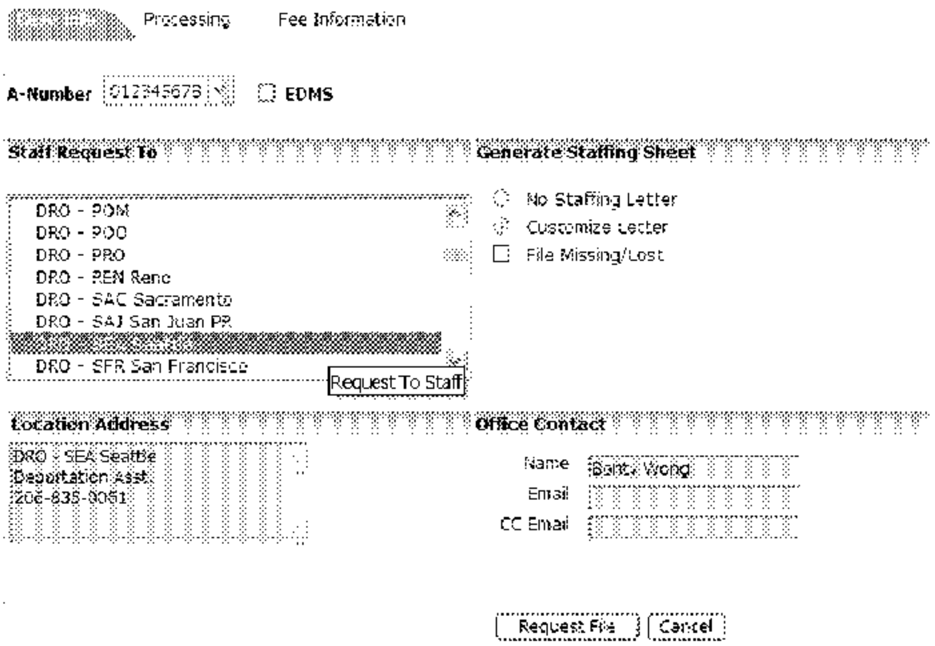
| Task | Status |
|---|---|
| Search For Duplicate Cases | |
| Create Additional Cases | Not Started |
| Create File Request | Not Started |
| Acknowledgement Letter | Not Started |
| Final Action Letter | Not Started |
| Specialty Letter | Not Started |
| Status Letter | Not Started |
| Blank Letter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

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).

### 12.12.1.12 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**

DRO - POM
DRO - POO
DRO - PRO
DRO - REN Reno
DRO - SAC Sacramento
DRO - SAJ San Juan PR
DRO - SFR San Francisco

Request To Staff

**Generate Staffing Sheet**

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

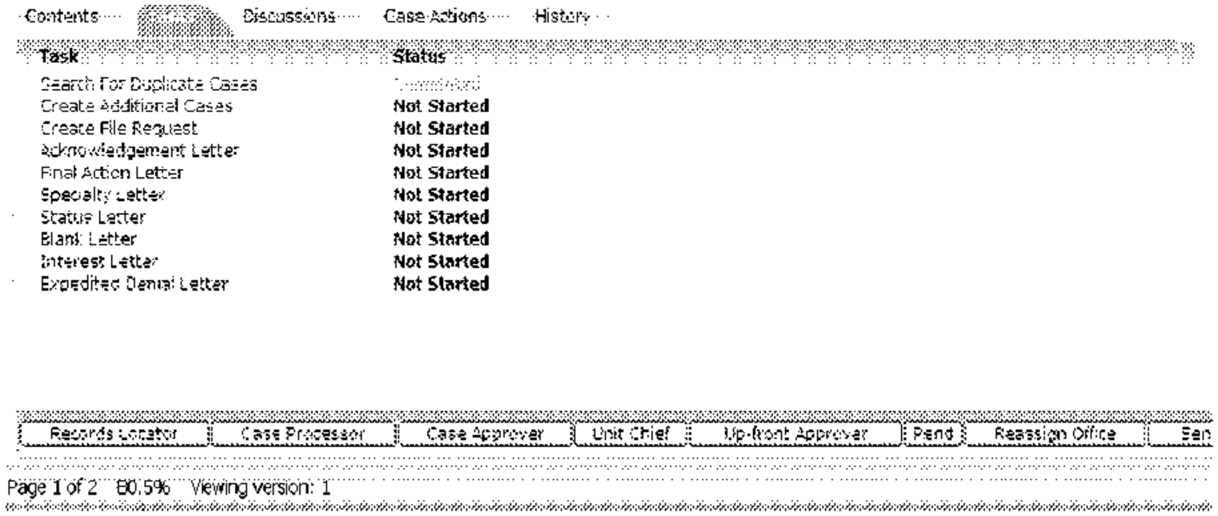
**Location Address**

DRO - SEA Seattle
Deportation Asst.
206-835-0051

**Office Contact**

Name: Betty 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

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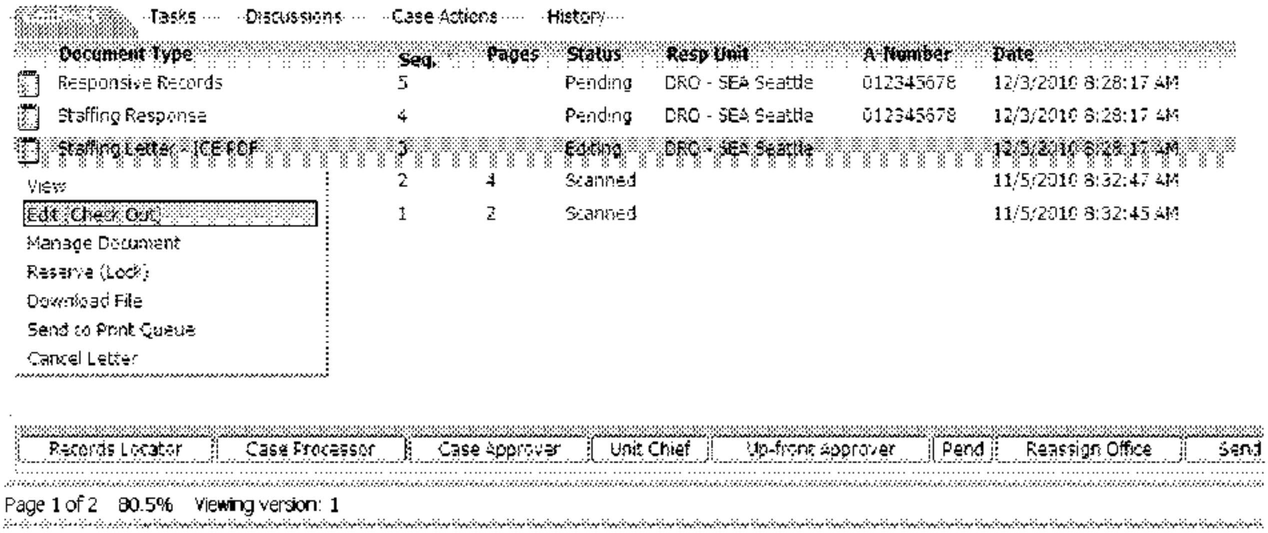
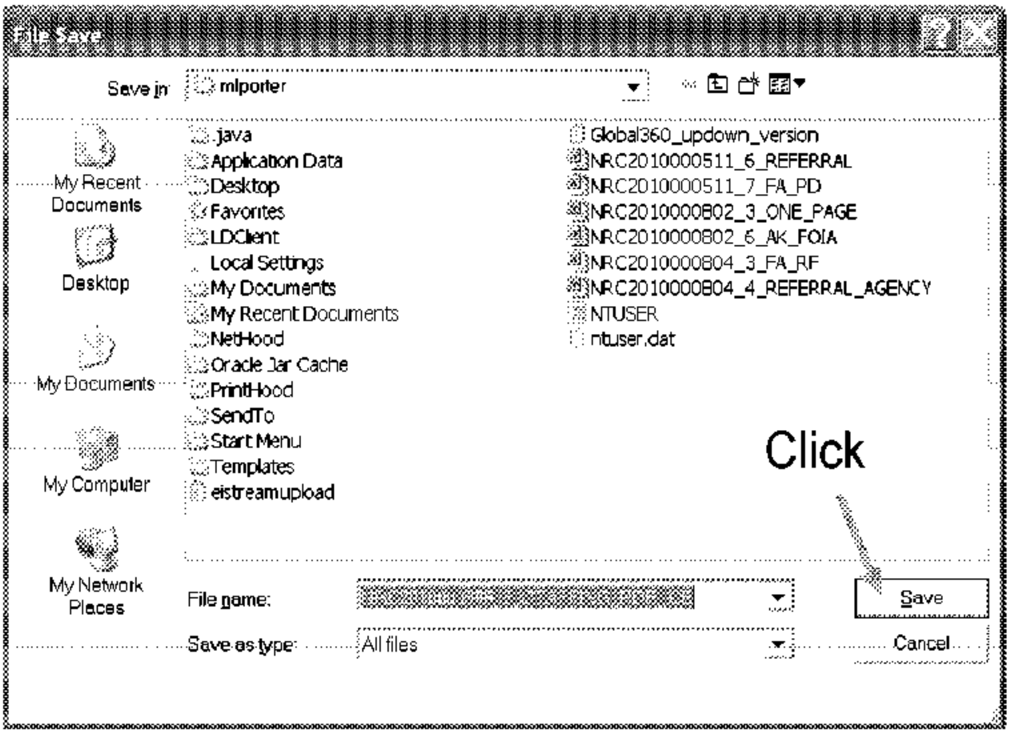
### 12.12.1.13 Create the customized staffing letter

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).”


Tasks
Discussions
Case Actions
History
View
Edit (Check Out)
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

| 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 |  | 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 |

Page 1 of 2 80.5% Viewing version: 1


File Save
My Recent Documents
Desktop
My Documents
My Computer
My Network Places
.java
Application Data
Desktop
Favorites
LDClient
Local Settings
My Documents
My Recent Documents
NetHood
Oracle Jar Cache
PrintHood
SendTo
Start Menu
Templates
eistreamupload
Global360_updown_version
NRC2010000511_6_REFERRAL
NRC2010000511_7_FA_PD
NRC2010000802_3_ONE_PAGE
NRC2010000802_6_AK_FOIA
NRC2010000804_3_FA_RF
NRC2010000804_4_REFERRAL_AGENCY
NTUSER
ntuser.dat
Click
Save
Cancel

Save in: mlporter

File name:

Save as type: All files

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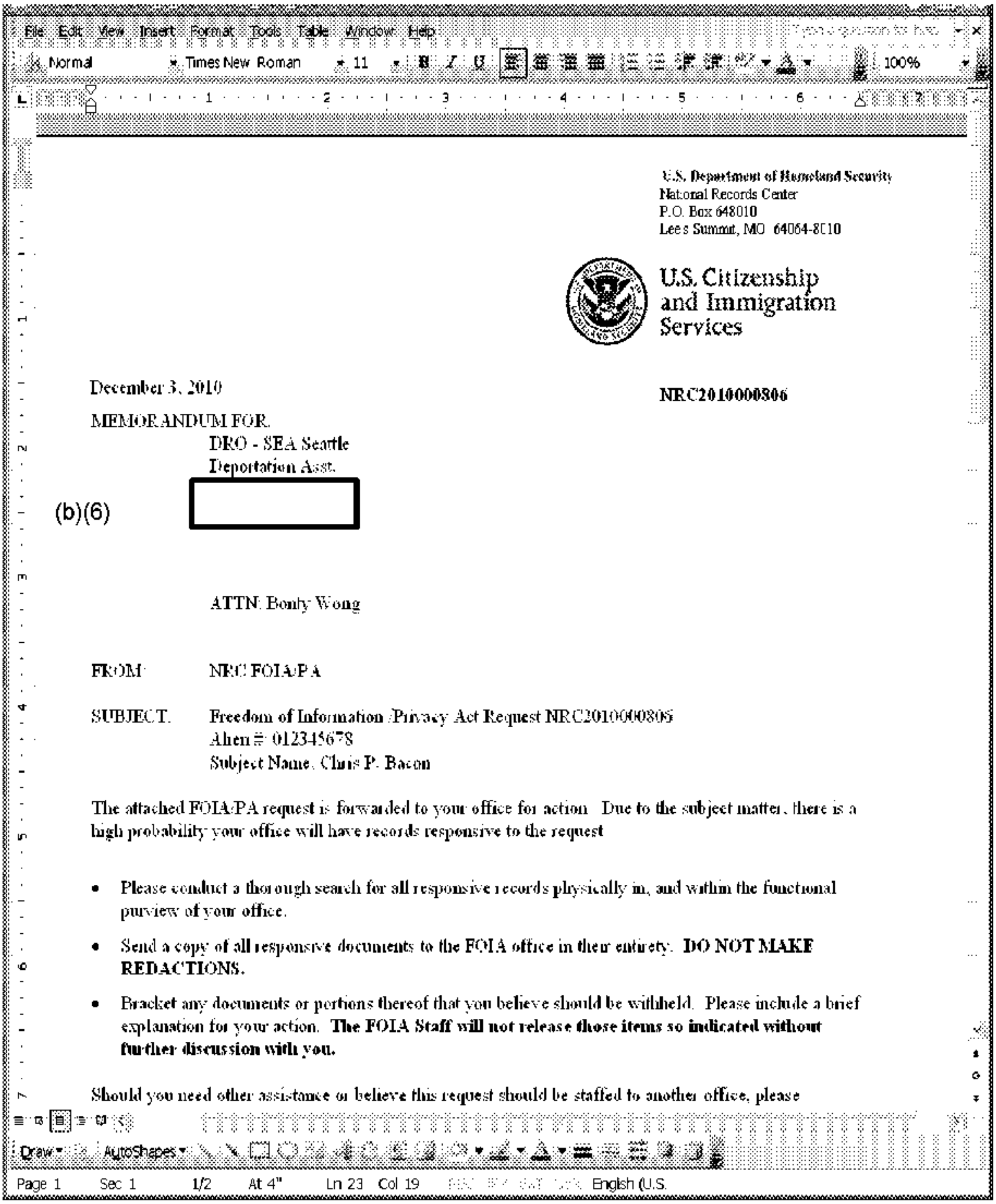
As soon as I clicked "SAVE," FIPS opened the staffing letter for me in Word.


File Edit View Insert Format Tools Table Window Help
Normal
Times New Roman
11
100%
Draw
AutoShapes
Page 1 Sec 1 1/2 At 4" Ln 23 Col 19 English (U.S.

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

U.S. Citizenship
and Immigration
Services

December 3, 2010

**NRC2010000806**

MEMORANDUM FOR.
DRO - SEA Seattle
Deportation Asst.

(b)(6) [redacted]

ATTN: Bonty Wong

FROM: NRC FOIA/PA

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

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

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

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

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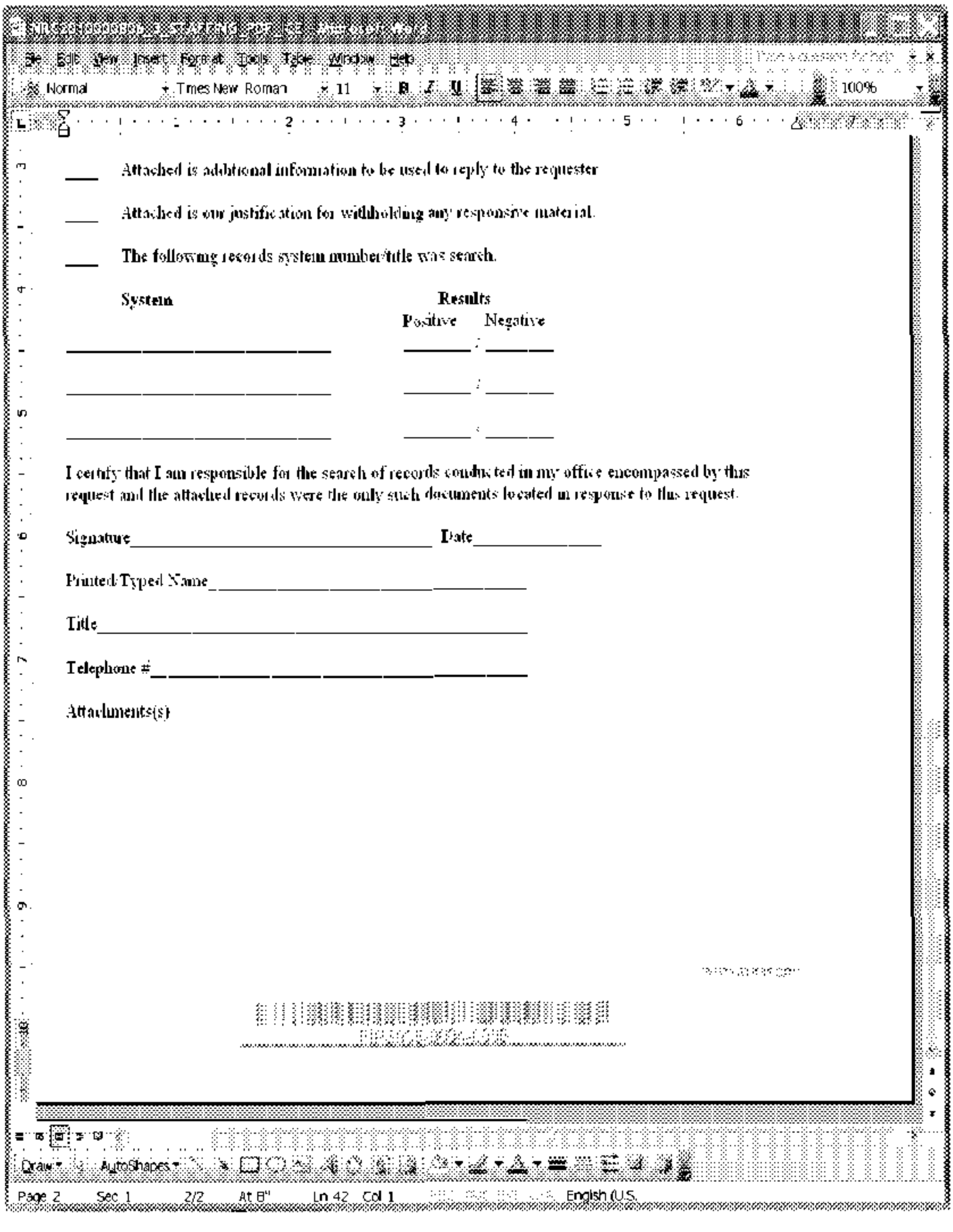
Go to the end of the letter and position your blinking cursor below the word "Attachments." Next, we go back to NFTS and copy the location information.


File Edit View Insert Format Tools Table Window Help
Normal
Times New Roman
11
100%
Draw
AutoShapes
Page 2 Sec 1 2/2 At 8" Ln 42 Col 1
English (U.S.

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

____ Attached is our justification for withholding any responsive material.

____ The following records system number/title was search.

| System | Results | |
|---|---|---|
| | Positive | Negative |
| ____________________ | ________ / | ________ |
| ____________________ | ________ / | ________ |
| ____________________ | ________ / | ________ |

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

Signature______________________________ Date______________

Printed/Typed Name______________________________

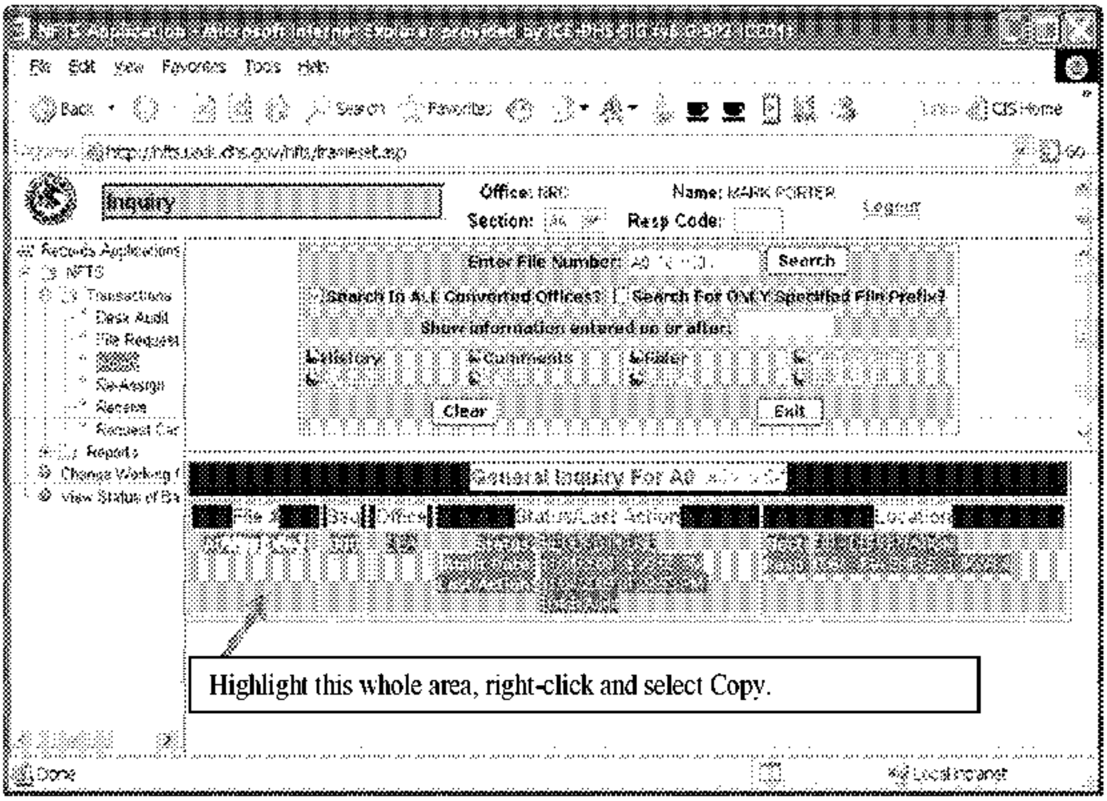
Title______________________________

Telephone #______________________________

Attachments(s)

### 12.12.1.14 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.



Office: NRC
Name: MARK PORTER

File Edit View Favorites Tools Help
Back
Search
Favorites
CIS Home
Inquiry
Section:
Resp Code:
Logout
Records Applications
NFTS
Transactions
Desk Audit
File Request
Re-Assign
Receive
Request Car
Reports
Change Working
View Status of Ba
Enter File Number:
Search
Search In ALL Converted Offices?
Search For ONLY Specified File Prefix?
Show information entered on or after:
History
Comments
Folder
Clear
Exit
General Inquiry For A0
File #
Status/Last Action
Location
Done
Local intranet

Highlight this whole area, right-click and select Copy.

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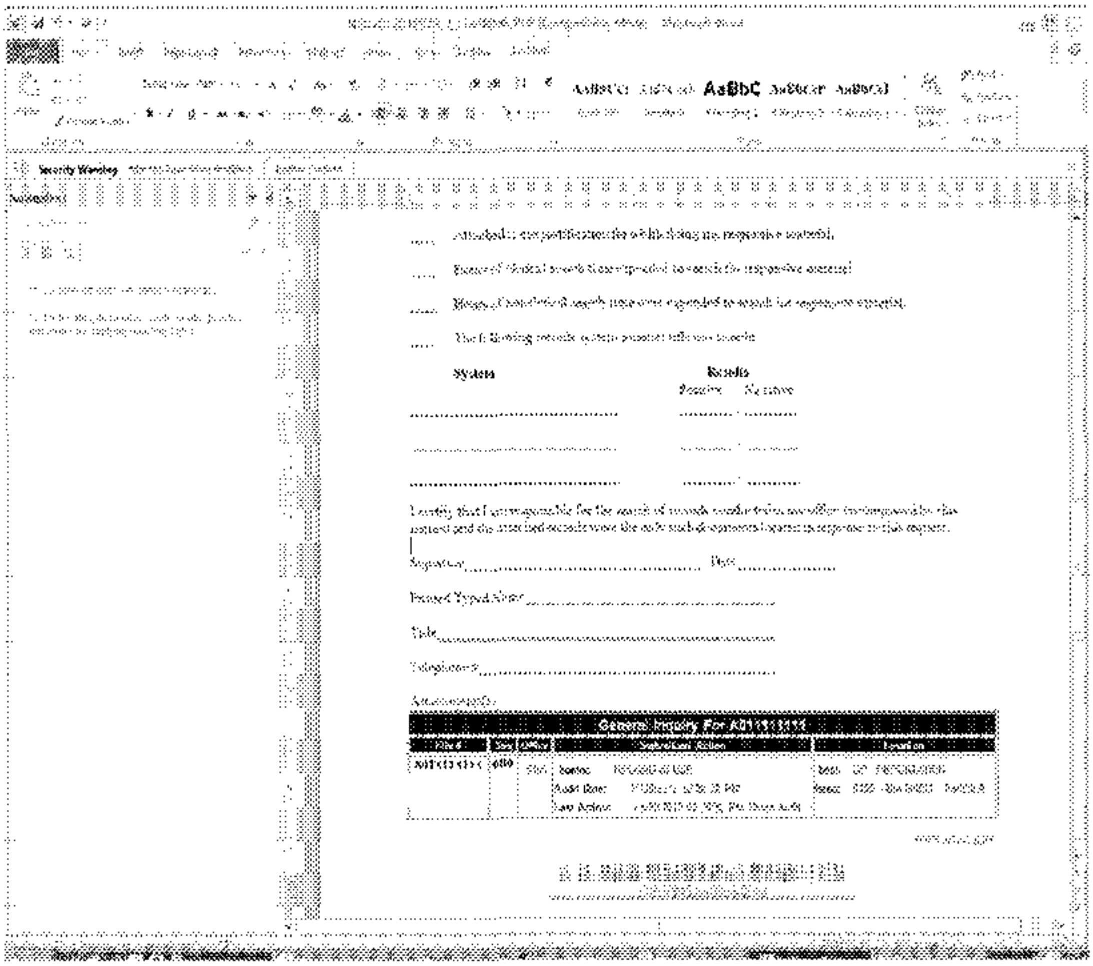
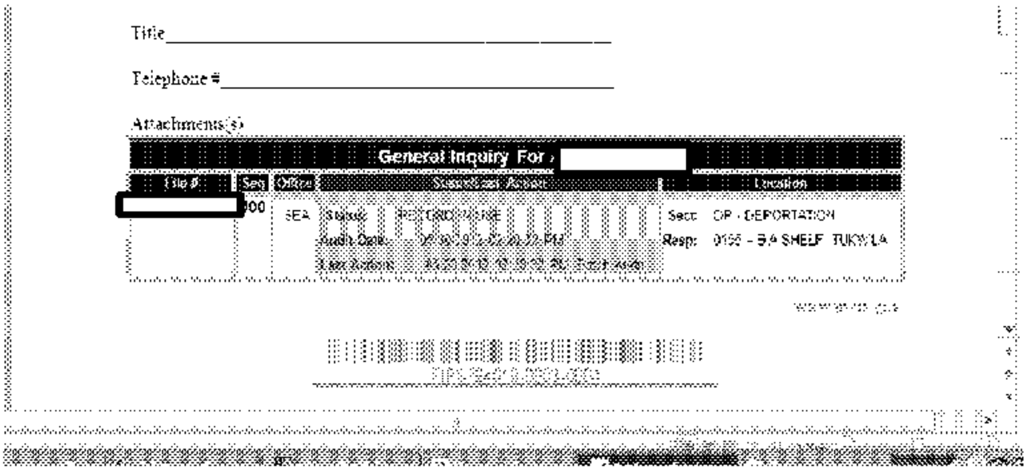
Immediately after pasting, we notice that the result is imperfect and we will have to repair it.



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

(b)(6)



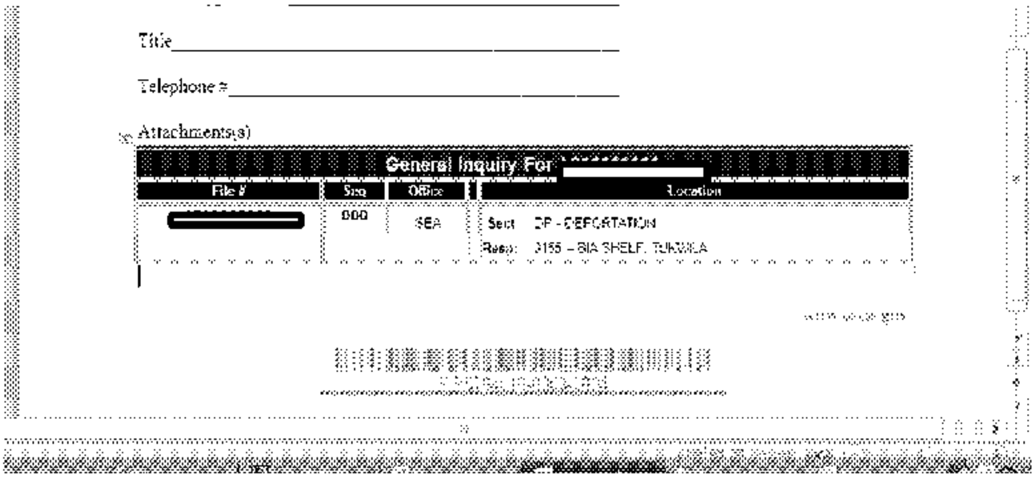
Title____________________________________

Telephone #____________________________________

Attachments(s)

General Inquiry For [redacted]

| File # | Seq | Office | Status/Last Action | Location |
|---|---|---|---|---|
| [redacted] | 000 | SEA | Status: [illegible]<br>Audit Date: [illegible]<br>Last Action: [illegible] | Sect: DP - DEPORTATION<br>Resp: 0155 – BIA SHELF TUKWILA |



Title____________________________________

Telephone #____________________________________

Attachments(s)

General Inquiry For [redacted]

| File # | Seq | Office | Location |
|---|---|---|---|
| [redacted] | 000 | SEA | Sect: DP - DEPORTATION<br>Resp: 0155 – BIA SHELF, TUKWILA |

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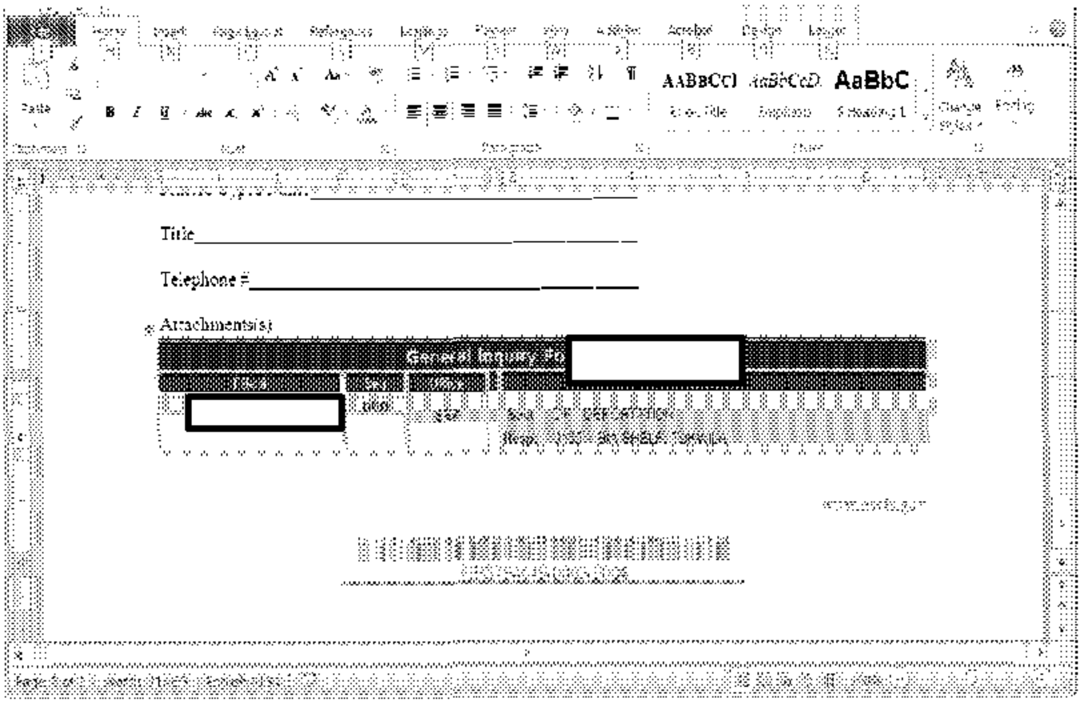
Next, highlight the whole area and change the font size to 12.


Title__________________________________

Telephone #________________________________

Attachments(s)

General Inquiry Po [redacted]

[redacted]

(b)(6)

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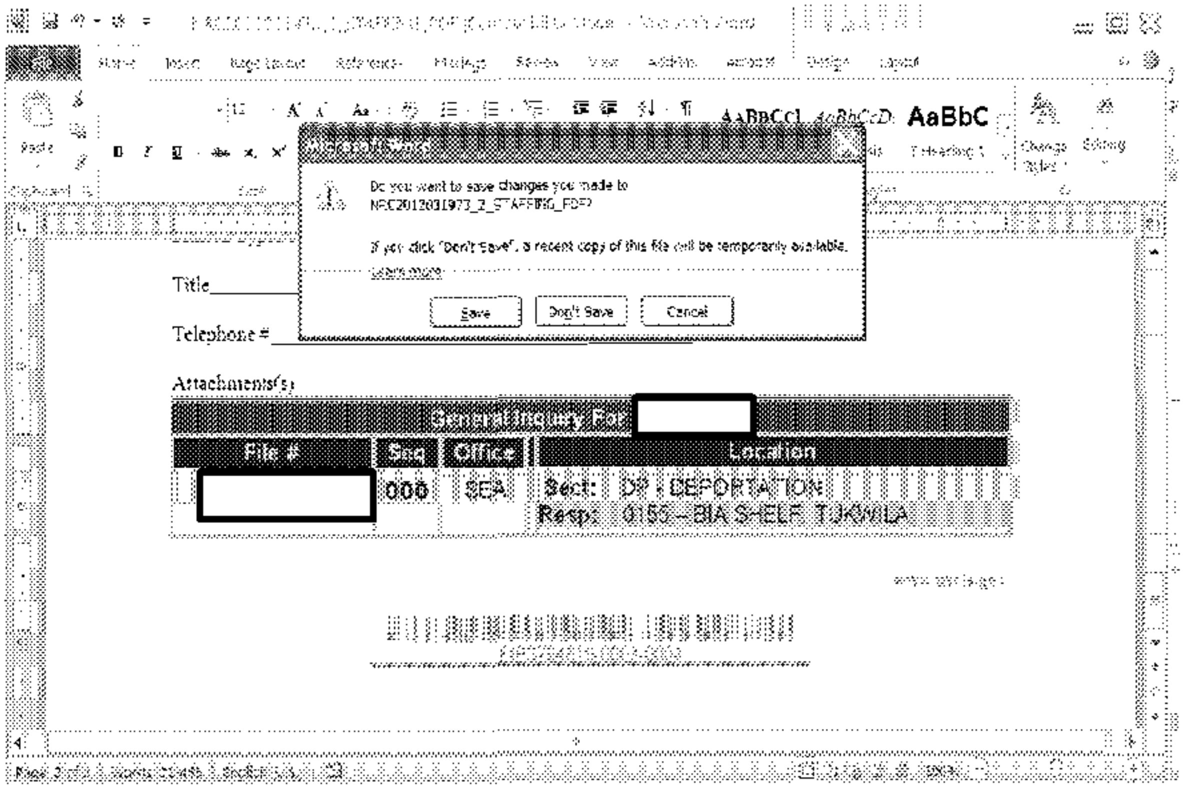
Finally, we exit and save our work. We have successfully staffed for the A-file. The next thing we have to do is check the staffing letter back in.

(b)(6)



Do you want to save changes you made to NRC2012031973_Z_STAFFING_PDF?

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

Learn more

Title__________

Telephone #__________

Attachments(s)

| General Inquiry For [redacted] | | | |
|---|---|---|---|
| **File #** | **Seq** | **Office** | **Location** |
| [redacted] | 000 | SEA | Sect: DP - DEPORTATION<br>Resp: 0155 – BIA SHELF TUKWILA |

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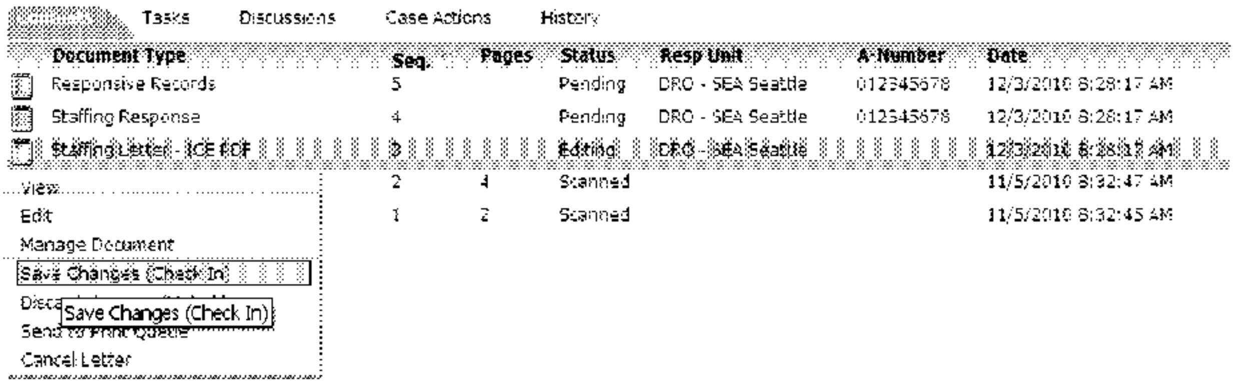
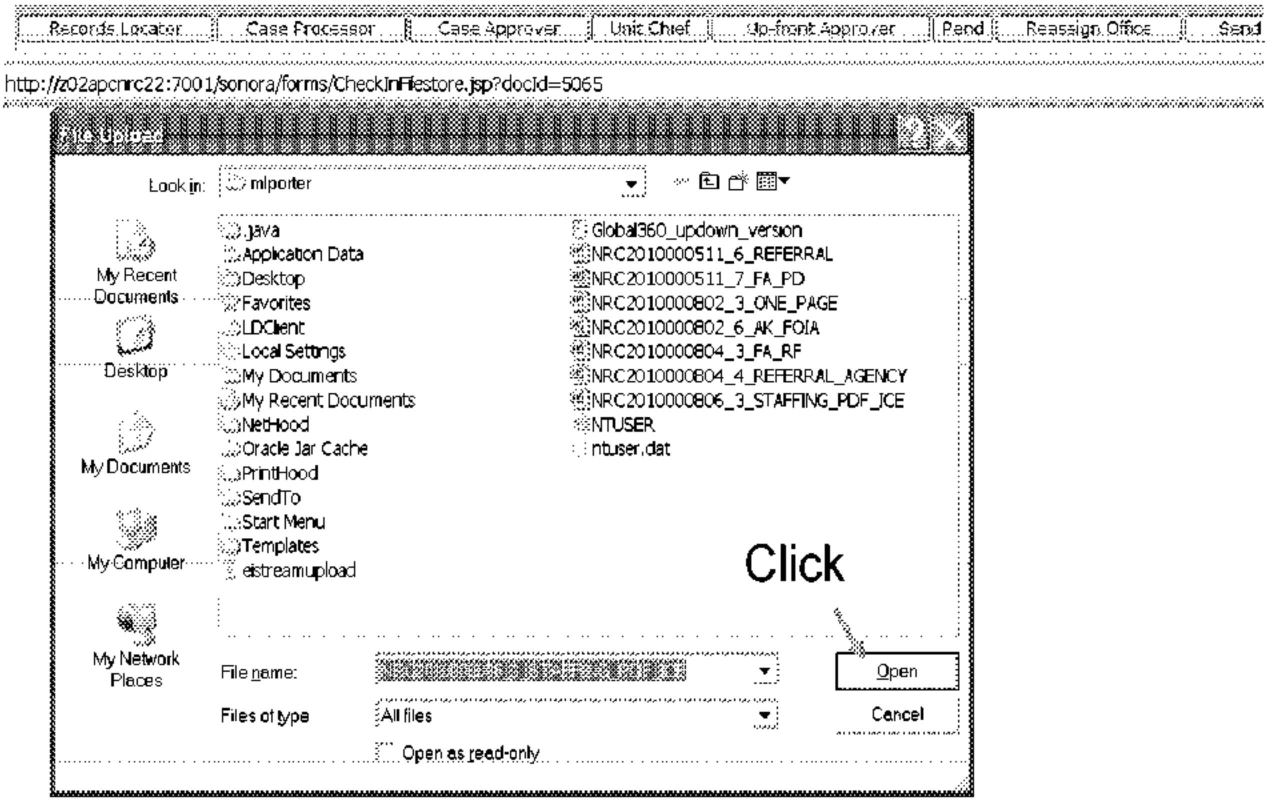
### 12.12.1.15 Save changes and check it back in

Click on the "Contents" tab and wait for it to refresh. You will then 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. Alternatively, you may click on the icon that looks like a notepad beside "Staffing Letter" and wait for the drop down box. You can then move to "Save Changes (Check In)." The screen shot below 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).


Tasks
Discussions
Case Actions
History
View
Edit
Manage Document
Save Changes (Check In)
Save Changes (Check In)
Send to Print Queue
Cancel Letter

| 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 | | 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 |


Records Locator
Case Processor
Case Approver
Unit Chief
Up-front Approver
Pend
Reassign Office
Send
File Upload
Look in:
mlporter
My Recent Documents
Desktop
My Documents
My Computer
My Network Places
.java
Application Data
Desktop
Favorites
LDClient
Local Settings
My Documents
My Recent Documents
NetHood
Oracle Jar Cache
PrintHood
SendTo
Start Menu
Templates
eistreamupload
Global360_updown_version
NRC2010000511_6_REFERRAL
NRC2010000511_7_FA_PD
NRC2010000802_3_ONE_PAGE
NRC2010000802_6_AK_FOIA
NRC2010000804_3_FA_RF
NRC2010000804_4_REFERRAL_AGENCY
NRC2010000806_3_STAFFING_PDF_ICE
NTUSER
ntuser.dat
Click
Open
Cancel
Open as read-only

http://z02apcnrc22:7001/sonora/forms/CheckInRestore.jsp?docId=5065

File name: [redacted]

Files of type: All files

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After this, send the case to "Pend." If you are staffing for a file, you will always click "Pend."

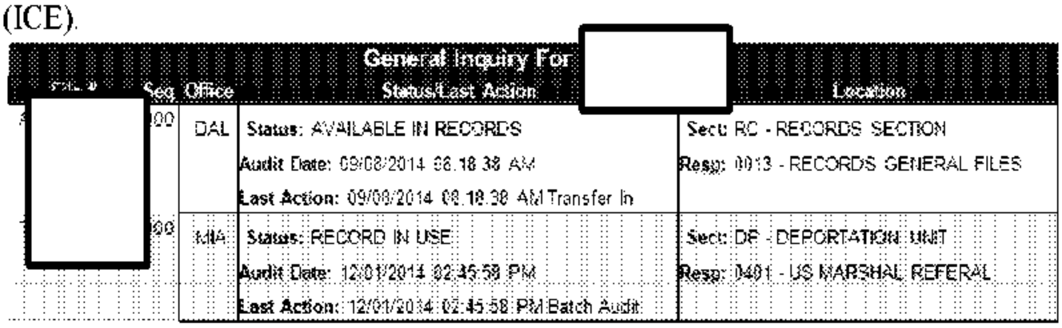
### 12.12.1.16 Highlight the Correct File for Scanning

Section **12.18.11, T-files,** tells you never to crop the NFTS screen print.

However, if your screen print has more than one file, and you are requesting files from different locations, it can pose a problem for the contractor.

How will the contractor know which file(s) to scan? We have to make the correct file stand out to erase any doubt.

Consider the screen print example below. Here we have an A file and a T file at different locations. You will require two separate staffings, one to Dallas, the other to Miami – DRO (ICE).

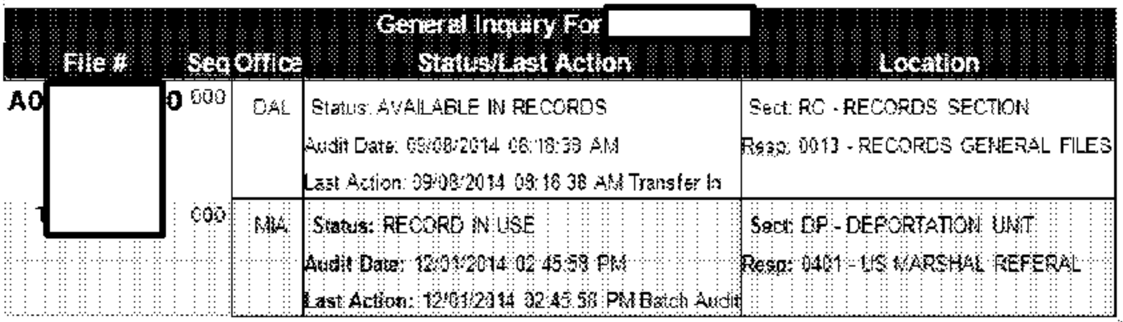


(b)(6)

General Inquiry For [redacted]

| File # | Seq | Office | Status/Last Action | Location |
|---|---|---|---|---|
| [redacted] | 00 | DAL | **Status:** AVAILABLE IN RECORDS<br>**Audit Date:** 09/08/2014 08:18:38 AM<br>**Last Action:** 09/08/2014 08:18:38 AM Transfer In | **Sect:** RC - RECORDS SECTION<br>**Resp:** 0013 - RECORDS GENERAL FILES |
| | 00 | MIA | **Status:** RECORD IN USE<br>**Audit Date:** 12/01/2014 02:45:58 PM<br>**Last Action:** 12/01/2014 02:45:58 PM Batch Audit | **Sect:** DP - DEPORTATION UNIT<br>**Resp:** 0401 - US MARSHAL REFERAL |

First, we will staff for Dallas. You find DAL under the Non FOIA section; click Request File, and the staffing sheet pops up. Next, highlight the DAL A-number, **bold** and increase the size to 10-font.



General Inquiry For [redacted]

| File # | Seq | Office | Status/Last Action | Location |
|---|---|---|---|---|
| [redacted] | 000 | DAL | Status: AVAILABLE IN RECORDS<br>Audit Date: 09/08/2014 08:18:39 AM<br>Last Action: 09/08/2014 08:18:38 AM Transfer In | Sect: RC - RECORDS SECTION<br>Resp: 0013 - RECORDS GENERAL FILES |
| [redacted] | 000 | MIA | **Status:** RECORD IN USE<br>**Audit Date:** 12/01/2014 02:45:59 PM<br>**Last Action:** 12/01/2014 02:45:58 PM Batch Audit | **Sect:** DP - DEPORTATION UNIT<br>**Resp:** 0401 - US MARSHAL REFERAL |

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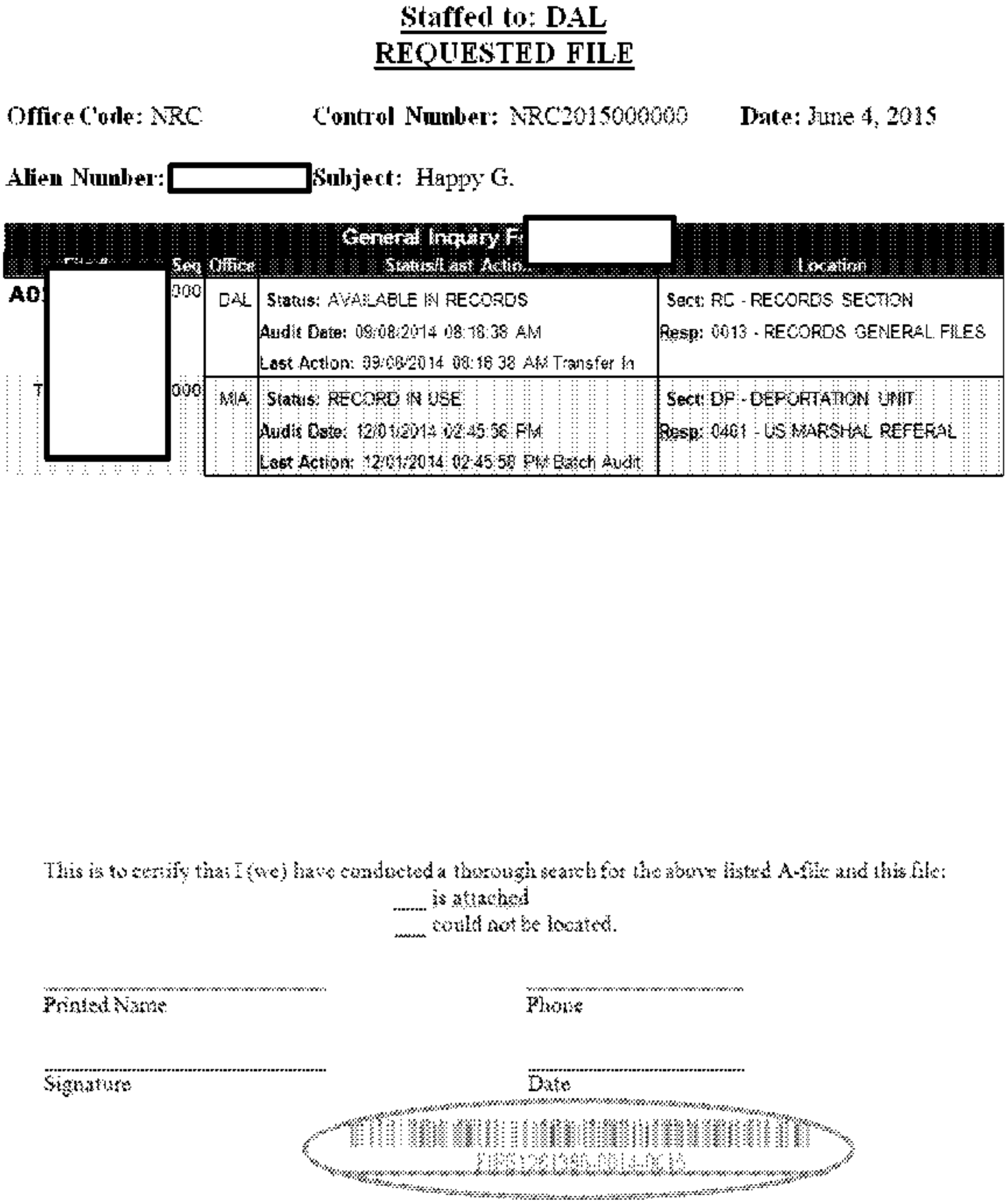
The first of your two staffing letters should look like this:



**Staffed to: DAL**
**REQUESTED FILE**

**Office Code:** NRC **Control Number:** NRC2015000000 **Date:** June 4, 2015

**Alien Number:** [redacted] **Subject:** Happy G.

(b)(6)

General Inquiry F[redacted]

| [redacted] | Seq | Office | Status/Last Actio... | Location |
|---|---|---|---|---|
| A0[redacted] | 000 | DAL | **Status:** AVAILABLE IN RECORDS<br>**Audit Date:** 09/08/2014 08:18:38 AM<br>**Last Action:** 09/08/2014 08:18:38 AM Transfer In | **Sect:** RC - RECORDS SECTION<br>**Resp:** 0013 - RECORDS GENERAL FILES |
| T[redacted] | 000 | MIA | **Status:** RECORD IN USE<br>**Audit Date:** 12/01/2014 02:45:56 PM<br>**Last Action:** 12/01/2014 02:45:58 PM Batch Audit | **Sect:** DP - DEPORTATION UNIT<br>**Resp:** 0401 - US MARSHAL REFERAL |

This is to certify that I (we) have conducted a thorough search for the above listed A-file and this file:
___ is attached
___ could not be located.

Printed Name

Phone

Signature

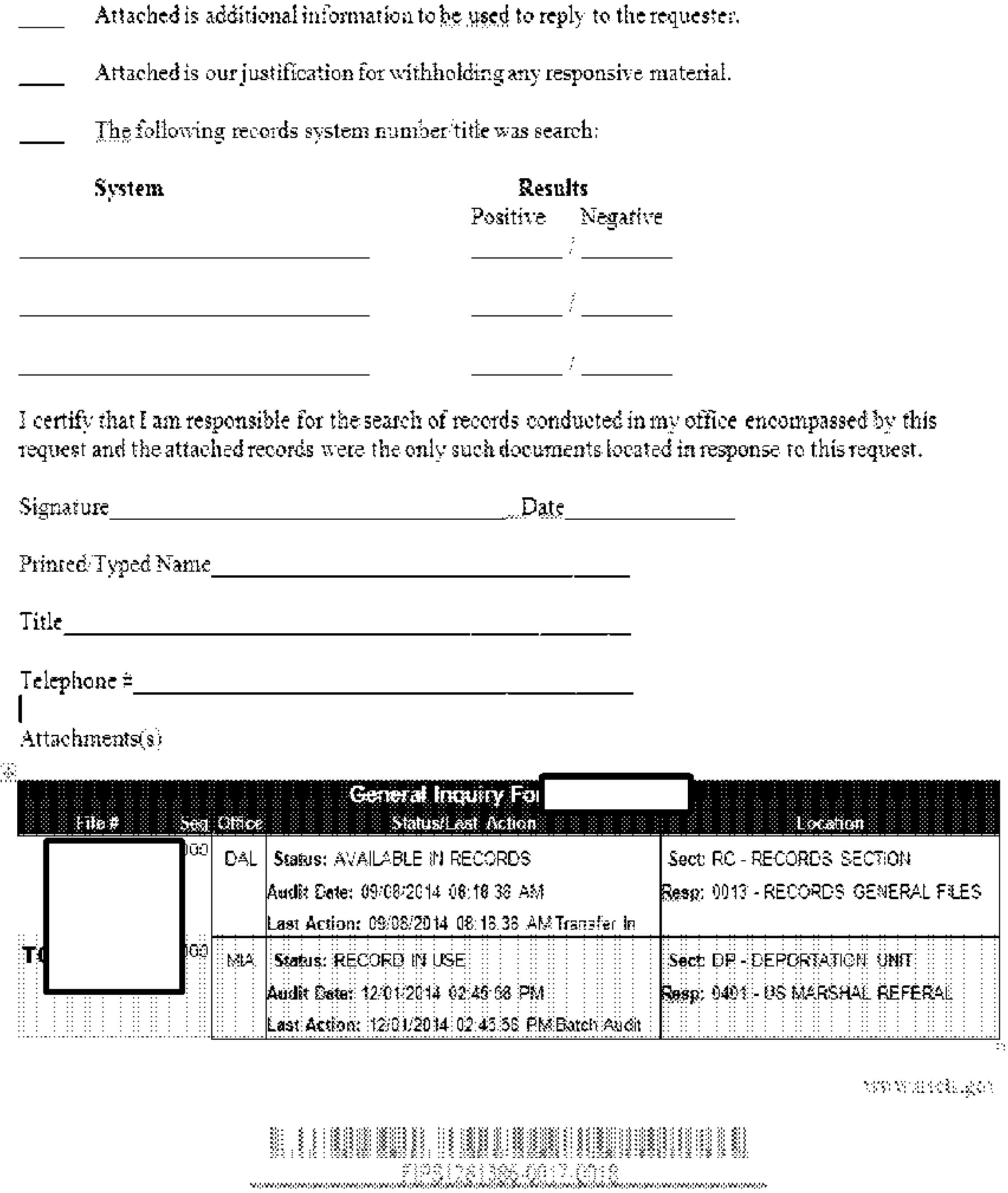
Date

Make sure nothing interferes with the barcode at the bottom of the page. Click and drag the "This is to certify…" section up and away from the barcode if you need to.

Now we will prepare the staffing sheet for Miami – DRO (ICE).

Since this is an ICE staffing, the staffing sheet will be in letter format. Place the entire screen print just below the word "Attachments" but above the barcode.

Highlight the MIA - DRO A-number, **bold** and increase the size to 10-font.



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

____ Attached is our justification for withholding any responsive material.

____ The following records system number/title was search:

| **System** | **Results** Positive / Negative |
|---|---|
| ____________ | ______ / ______ |
| ____________ | ______ / ______ |
| ____________ | ______ / ______ |

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

Signature______________________Date__________

Printed/Typed Name______________________

Title______________________

Telephone #______________________

Attachments(s)

(b)(6)

**General Inquiry For** [redacted]

| File # | Seq | Office | Status/Last Action | Location |
|---|---|---|---|---|
| [redacted] | 000 | DAL | **Status:** AVAILABLE IN RECORDS<br>**Audit Date:** 09/08/2014 08:18:38 AM<br>**Last Action:** 09/08/2014 08:18:38 AM Transfer In | **Sect:** RC - RECORDS SECTION<br>**Resp:** 0013 - RECORDS GENERAL FILES |
| **T**[redacted] | 000 | MIA | **Status:** RECORD IN USE<br>**Audit Date:** 12/01/2014 02:45:58 PM<br>**Last Action:** 12/01/2014 02:45:58 PM Batch Audit | **Sect:** DP - DEPORTATION UNIT<br>**Resp:** 0401 - US MARSHAL REFERAL |

www.uscis.gov

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If your screen print is too large to fit between "Attachments" and the barcode, place the cursor before the screen print and then click "Ctrl + Enter." This will move your screen print to the next page.

### 12.12.2 Two or more A-Numbers

Multiple unconsolidated A-Numbers - If the Requestor 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"** near the center of the page on the FIPS staffing sheet, or if it is a letter format, on the first page, just under the address. 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. FST 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 O:/Government_Contractor Shared Folder/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.

### 12.12.3 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.

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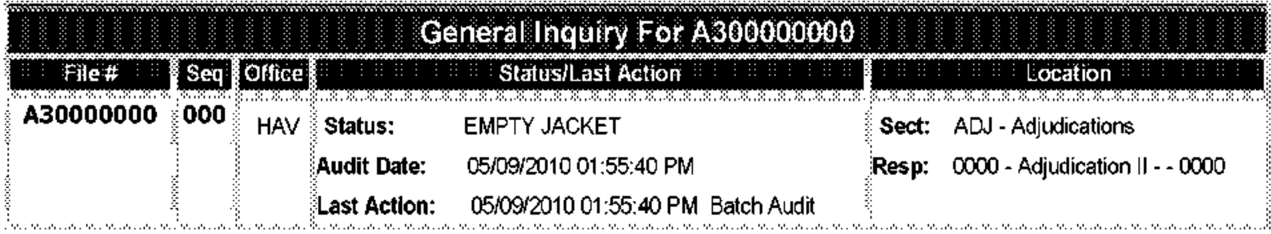
### 12.12.4 Empty Jackets



General Inquiry For A300000000

| File # | Seq | Office | Status/Last Action | | Location | |
|---|---|---|---|---|---|---|
| **A30000000** | **000** | HAV | **Status:**<br>**Audit Date:**<br>**Last Action:** | EMPTY JACKET<br>05/09/2010 01:55:40 PM<br>05/09/2010 01:55:40 PM Batch Audit | **Sect:**<br>**Resp:** | ADJ - Adjudications<br>0000 - Adjudication II - - 0000 |

If NFTS indicates the file as an "Empty Jacket," you will normally not create a file request. The only time you ever staff for an empty jacket is if the FCO is HAV. If you are unsure, please contact FST. If the FCO is not Havana, and the only A-number you found is an empty jacket, your next step is probably to conduct a no records search, depending on the situation (No Record instruction is at Section 12.18.6). If you found a receipt file, please refer to Section 12.18.12.

## 12.13 Border crossing card number

If the alien number provided by the Requestor is an 80,000,000 through 86,999,999 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. Please research CIS, PCQS and CLAIMS to see if there are any other A-files/receipt files associated with this alien, because you will staff for those files, if you find any.

Sometimes a person has no other record than a Border Crossing Card, and you will know this because the only record you can find for that person is an alien number between 80,000,000 and 86,999,999. If that is the only record you are able to find, select Category **OTHER**, then do the following:

a. Create the case.
b. If you have access to PCQS, search PCQS and print any data you find. It is better to provide PCQS screen prints, so if you do not have access to PCQS, please locate a person who has PCQS to print those screens. If that is not possible, search and print CIS screens 9101, 9101-history (F8), 9222 and 9223.
c. Prepare the screen prints for scanning into this slot as responsive records. Please attach a "Scan As" sheet and mark it as "Responsive Records" with the screen prints to be scanned, and then take the responsive records to the designated person. (The current designated person will be posted by FOIA Operations on the ECN page.)
d. Open a RAFACS (not RAFACS/CIS) staffing slot. Make sure "Customize Letter" is selected. You do not have to modify the staffing letter.
e. Prepare a discussion explaining what you did, prepare any correspondence, and then pend the case.

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Note: Alien numbers from 87,000,000 through 87,999,999 are not Border Crossing Card Numbers; they are general alien numbers and have corresponding A-files.

## 12.14 EAD numbers (100,000,000 through 199,999,999)

If the alien number provided by the Requestor 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 12.16 and 12.18.12.3 for additional information. If the receipt has been destroyed, follow instructions in 12.18.14.

## 12.15 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.

## 12.16 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 Requestor provides a receipt number on their request, log into CLAIMS or PCQS and verify the information.

If the Requestor 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 with a prefix from 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 instance, you cannot request receipt number

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LOS0530775120, no matter where it is. However, if you find an unconsolidated receipt file LIN0530775120, and it is at LOS, you can request it.

A receipt could be either an application or a petition. For example, Form I-90 is an Application to Replace Permanent Resident Card. The applicant is requesting a benefit for himself or herself. Form I-360 is a Petition for Amerasian, Widow(er), or Special Immigrant. It is a "self-petition." With form I-360, the petitioner and the beneficiary are the same person and so VOI and consent requirements are the same as for an A-file.

With many other petitions, the "petitioner" and the "beneficiary" are not the same person. That petition will always belong to both parties – both the petitioner and the beneficiary, except that sometimes the petition has been consolidated into another Privacy Act record: the beneficiary's file. The Alien File is stored and retrieved by a unique identifier belonging to only one person: the subject of record (SOR). We need SOR consent to open the A-file, even though the A-file could contain information that belongs to another person.

The following is a list of petitions in which the petitioner and the beneficiary are not the same person:

| | |
|---|---|
| I-129F | Petition for Alien Fiancé(e) |
| I-130 | Petition for Alien Relative |
| I-140 | Immigrant Petition for Alien Worker |
| I-600 | Petition to Classify Orphan as an Immediate Relative |
| I-730 | Refugee/Asylee Relative Petition |
| I-800 | Petition to Classify Convention Adoptee as an Immediate Relative |

If you discover that the petition is consolidated into the beneficiary's file, and you **do** have consent from the beneficiary, you must change the name of the subject in FIPS to the beneficiary. The beneficiary's A-number goes in the A-number field, even if the Requestor entered the petitioner's A-number on the G-639. We must address any correspondence about that petition citing the beneficiary as the "subject of record" or the "records' subject." This is legally important because we must have VOI of the subject of record and we must have certification of agreement if the Requestor is other than the subject of record in order to staff for the record.

If the petition is consolidated into the beneficiary's file, and you **do not** have consent from the beneficiary, you will close the case as Total Denial and include the following blurb as the second sentence in the first paragraph of the TD letter:

> "It is the policy of USCIS to file any adjudicated petitions, such as the Form I-129F or Form I-130 in the beneficiary's record after issuance of a visa. Beneficiary consent is required to obtain any petitions from their record."

This is legally important because we must have VOI of the subject of record and we must have certification of agreement if the Requestor is other than the subject of record. *If we are staffing the subject of record's A-file, and if the Requestor is not the same person as the subject of record, then we need certification of agreement from the subject of record.*

If the petition has not been consolidated into the beneficiary's A-file, whether the petitioner or the beneficiary is the Requestor, we may staff for it. In this situation, we list the subject of record the way it is listed in the request letter, whether the petitioner or the beneficiary.

PCQS or CLAIMS screen-prints usually would not provide the Requestor with the information he or she is requesting, because the Requestor is asking for a copy of the file. Rarely, a petitioner may only need a particular piece of information, such as proof of filing to prove Section 245i eligibility. If that is the situation, and we have the petitioner's VOI (and certification of agreement, if necessary) then you should provide those screen-prints with a RAFACS staffing. This is not usually what happens, so providing screen prints is an exception, not the rule.

- If the Requestor wants a copy of a petition or supporting document,
- and the petition has been consolidated into the beneficiary's A-file,
- and the Requestor did not provide certification of agreement from the beneficiary,
- close the case TD.

When the Requestor needs a copy of a petition or supporting documents:

| Where is the PETITION? | Who is the Requestor? | |
|---|---|---|
| **Unconsolidated** | Petitioner | Staff for the petition. |
| **Unconsolidated** | Beneficiary | Staff for the petition. |
| **Beneficiary's File** | Petitioner | Ensure the subject of record is the beneficiary. Ensure the A-number entered is the beneficiary's.<br>We need either certification of agreement from the Beneficiary or we close the case TD. |
| **Beneficiary's File** | Beneficiary | Staff for the A-file. |
| **NVC** | Petitioner or Beneficiary | If the receipt is located at the NVC, do not redirect to the NVC. Have the screen prints of the receipt scanned in as responsive records. Make sure the Track is TRACK 1. Create the request using |

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| | |
|---|---|
| | 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 in OneNote and send an email to FOIAPROGRAM@uscis.dhs.gov On the subject line, put the control number and the SOR's name. Pend the case. |

Special Cases:

| | |
|---|---|
| NFTS shows petition has been destroyed in accordance with records retention schedule. | **Prepare RAFACS staffing. Provide screen prints from PCQS and provide NFTS history screen print showing it was destroyed.** |
| Petitioner specifies "proof of filing," or "status" AND the petition is consolidated into beneficiary's file AND petitioner does not provide certification of agreement from beneficiary. | Prepare RAFACS staffing. Provide screen prints from PCQS. |
| Petitioner specifies "proof of filing," or "status" AND the petition is consolidated into beneficiary's file AND petitioner does provide certification of agreement from beneficiary. | Ensure the subject of record is the beneficiary.<br>Ensure the A-number entered is the beneficiary's.<br>Staff for the beneficiary's A-file. |
| NFTS shows "Deleted." | First, check history in NFTS. If it shows transferred to NVC, do not redirect to the NVC. Have the screen prints scanned in as responsive records. Make sure the track is TRACK 1. Create the 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 in OneNote, and send an email to FOIAPROGRAM.NRC@uscis.dhs.gov On the subject line, put the control number and the SOR's name.<br>If they do not have it, prepare a RAFACS |

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| | |
|---|---|
| | staffing. Provide screen prints from PCQS. |
| NFTS shows "No record of the receipt" | Look to see if there is information in the history. |
| NFTS shows the petition is at HBG pending destruction. | Prepare RAFACS staffing. Provide screen prints from PCQS and provide NFTS history screen print showing it is pending destruction. |
| NFTS shows the petition is at HBG, but the RPC starts with XX, XY, ZG, ZY, or ZZ. | It's digitized. Refer to the Staffing Sheet Guide. If unsure, consult FST. |

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.

## 12.17 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.

## 12.18 Staffing Scenarios

### 12.18.1 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 red-letter banner stating "DIGITIZED ON …." The screen print below is a sample of the NFTS screen.

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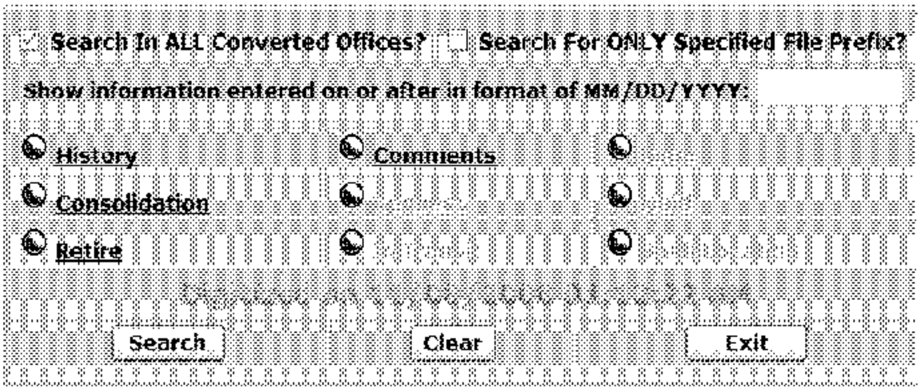
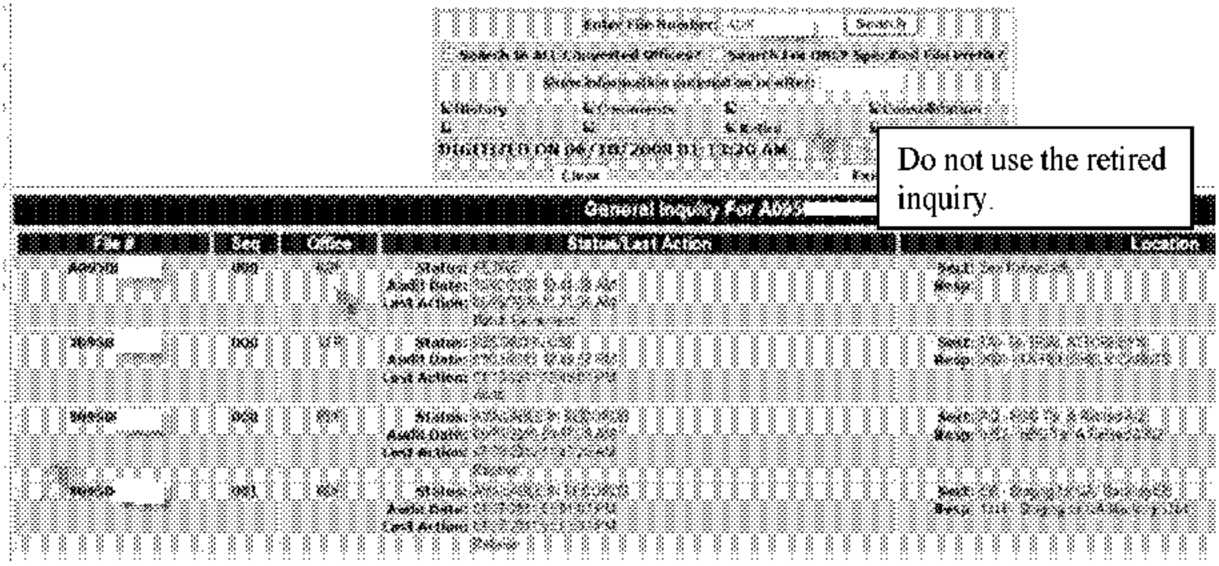
The temptation may be to staff RAFACS/CIS because the file shows available in records at NRC. Do not do that. If it shows "DIGITIZED," then staff to RDF. Also include any T files you find in the General Inquiry screen.


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

Show information entered on or after in format of MM/DD/YYYY:

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. FST 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.


Do not use the retired inquiry.

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."

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### 12.18.2 Files Lost or Not Found LESS THAN SIXTY DAYS (Flowchart at Appendix H)

**12.18.2.1** Verify that the A-file is lost less than sixty days 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.

**12.18.2.2** 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.

**12.18.2.3** 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.

**12.18.2.4** Complete the lost file worksheet. 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.

**12.18.2.5** Click "In Circular Search" and click 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.

**12.18.2.6** To determine a numerical value for days the file shows Not Found, you may refer to the Julian calendar in Appendix H of this guide. From NFTS General Inquiry, use the date of "Last Action" or from CIS 9504 use the Date FTI. Calculate the number of days remaining until the case reaches lost for sixty days and manually repend the lost A-file. If the number of lost days is more than 60, go to paragraph 12.7.3. For example: A-file shows Not Found in CIS for 35 days, 60 days – 35 days = 25 days remaining. You would set the new number of days to pend to 25.

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

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

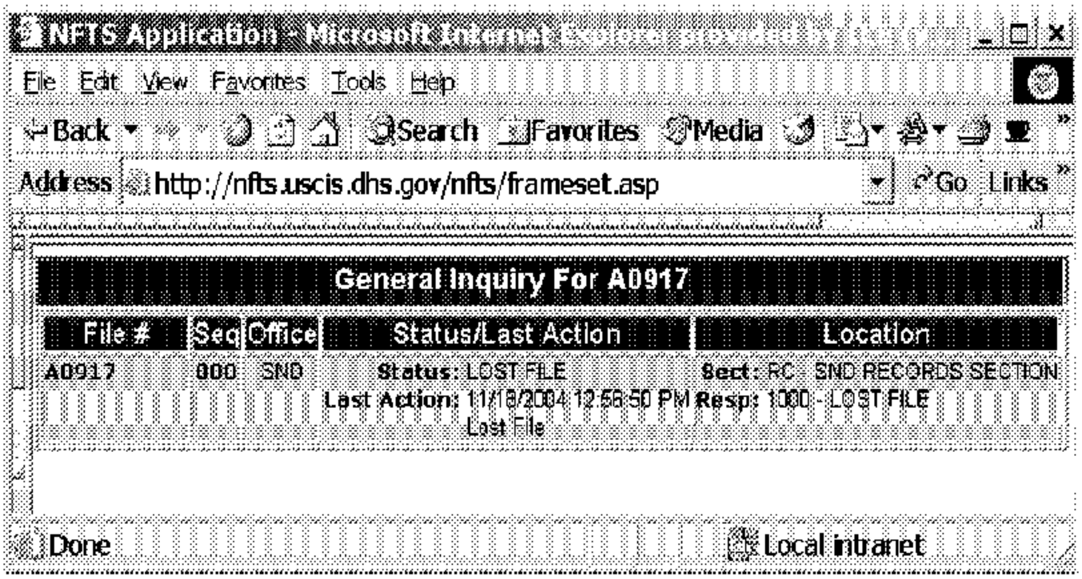
Note: Please refer to the **Lost File Flowchart** which you will find in Appendix H.

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.


NFTS Application - Microsoft Internet
File Edit View Favorites Tools Help
Back Search Favorites Media
Address http://nfts.uscis.dhs.gov/nfts/frameset.asp
Go Links
Done
Local intranet

General Inquiry For A0917

| File # | Seq | Office | Status/Last Action | Location |
|---|---|---|---|---|
| A0917 | 000 | SND | Status: LOST FILE<br>Last Action: 11/18/2004 12:58:50 PM Resp: 1000 - LOST FILE<br>Lost File | Sect: RC - SND RECORDS SECTION |

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 sixty days ago, move to the next section of this guide, Files lost or not found MORE THAN SIXTY DAYS.

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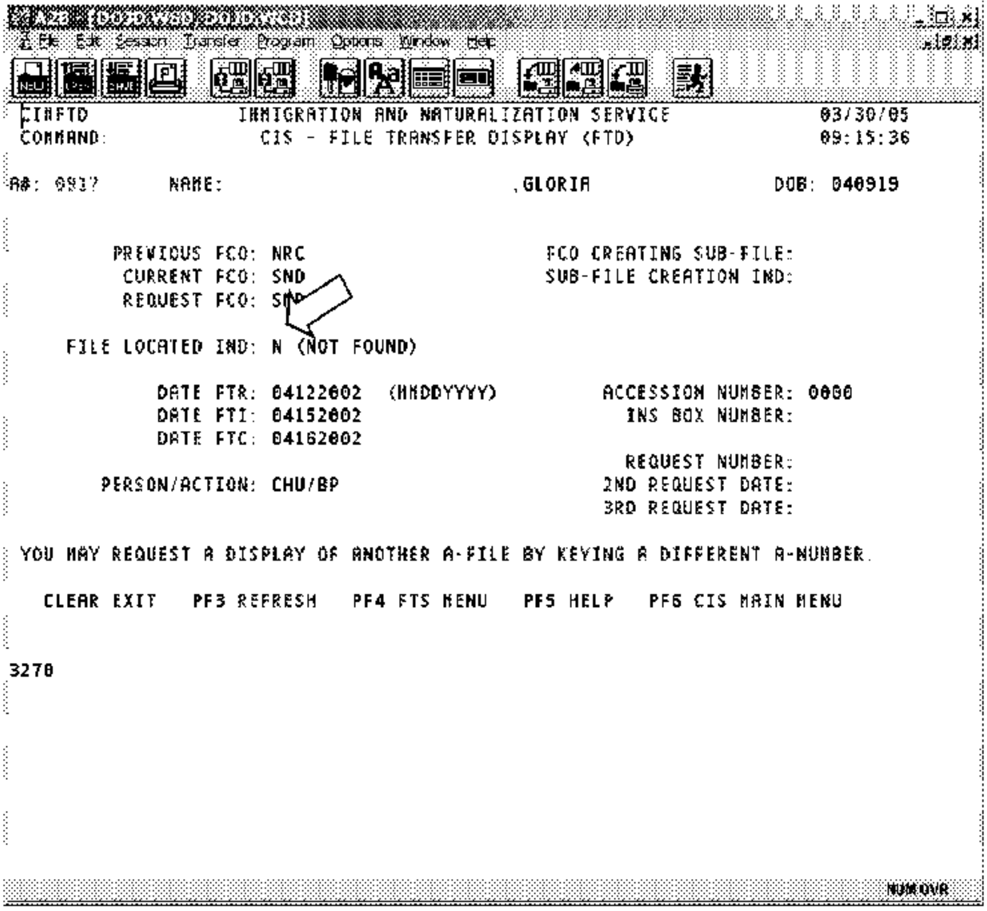

```
CINFTD              IMMIGRATION AND NATURALIZATION SERVICE              03/30/05
COMMAND:              CIS - FILE TRANSFER DISPLAY (FTD)                 09:15:36

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
                                                     REQUEST NUMBER:
       PERSON/ACTION: CHU/BP                       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".

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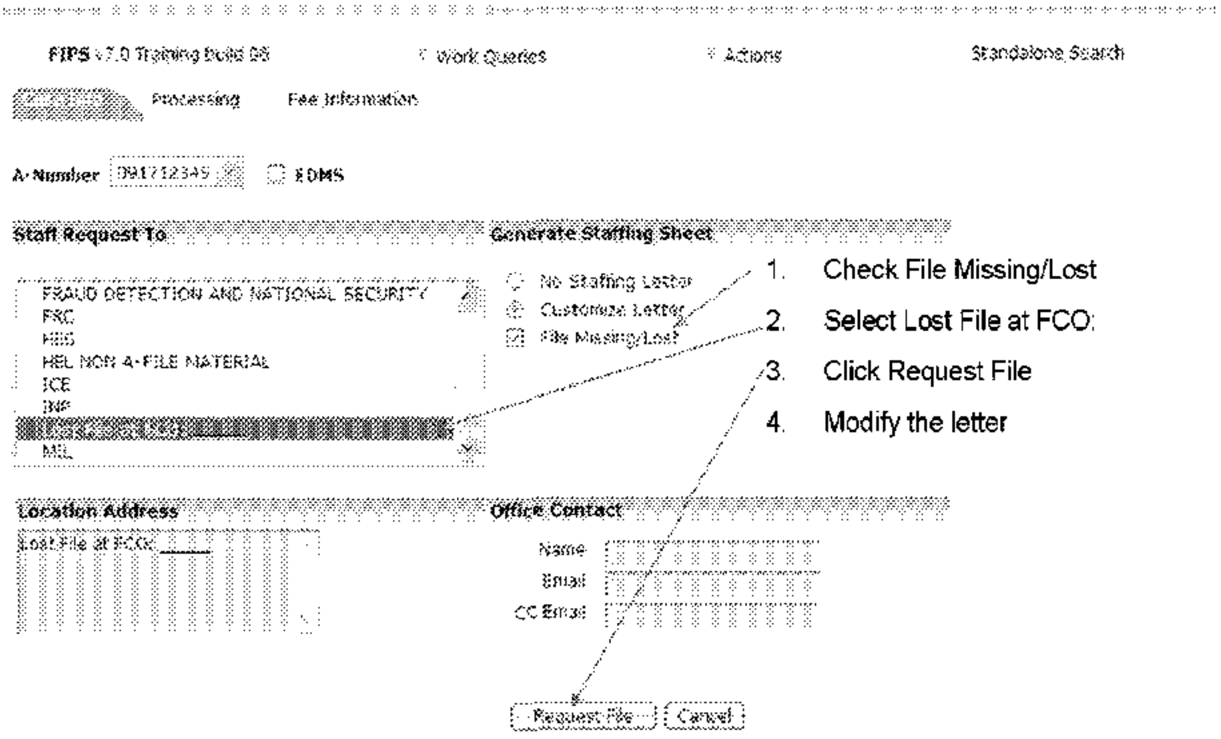

FIPS v7.0 Training Build 98
Work Queries
Actions
Standalone Search
Processing
Fee Information
Staff Request To
Generate Staffing Sheet
Location Address
Office Contact
Request File
Cancel

A-Number 091712345 ☐ EDMS

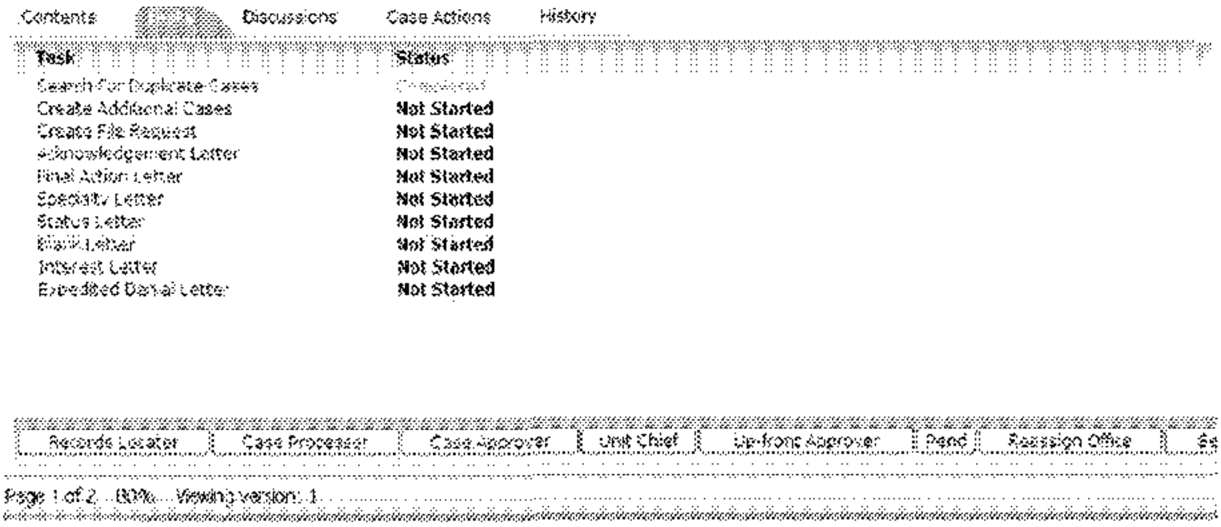
FRAUD DETECTION AND NATIONAL SECURITY
FRC
HEIS
HEL NON A-FILE MATERIAL
ICE
INF
MIL

○ No Staffing Letter
● Customize Letter
☑ File Missing/Lost

Lost File at FCO: ____

Name
Email
CC Email

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


Contents
Discussions
Case Actions
History
Records Locator
Case Processor
Case Approver
Unit Chief
Up-front Approver
Pend
Reassign Office

| 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 |

Page 1 of 2 80% Viewing version: 1

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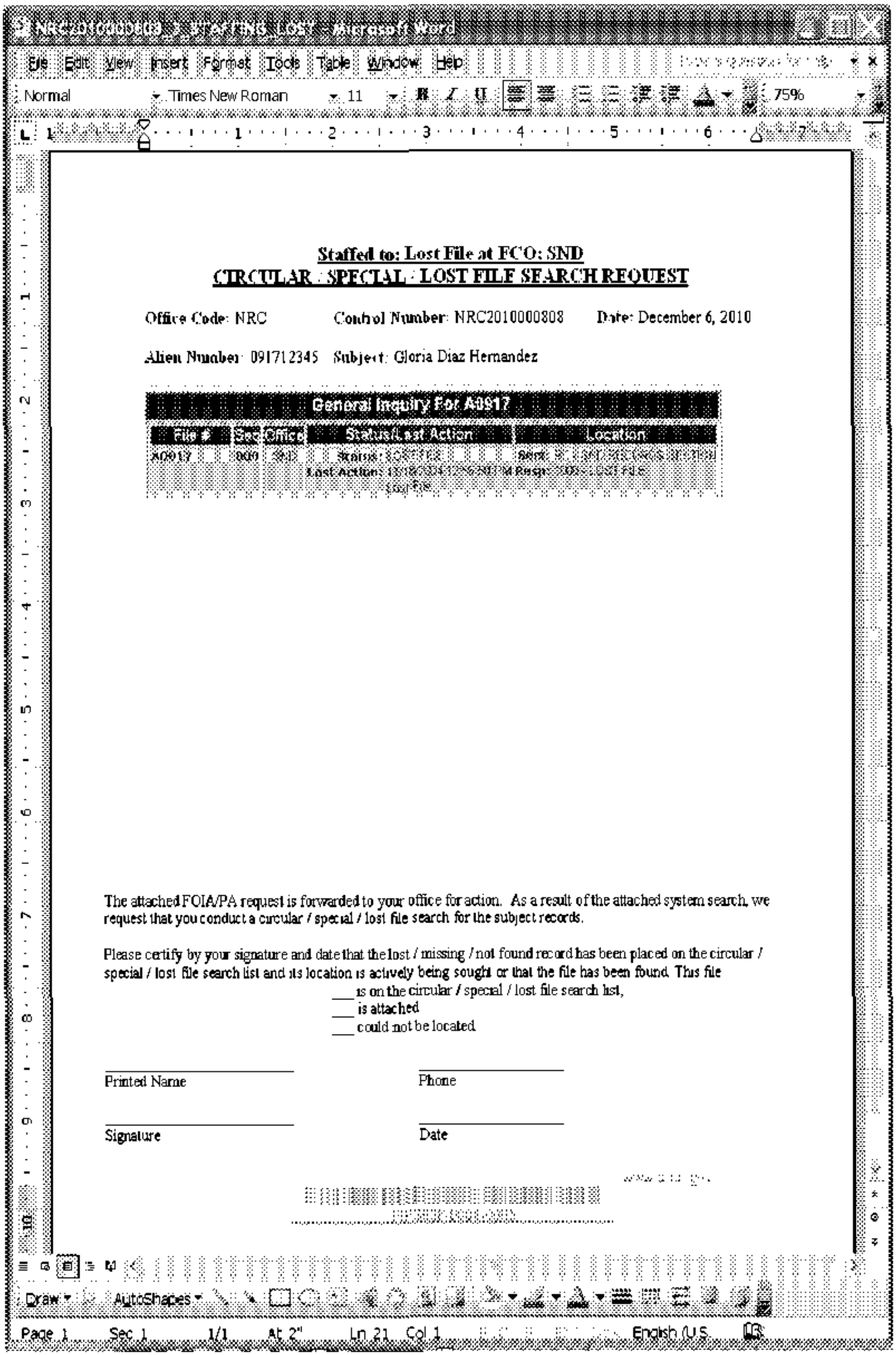

File Edit View Insert Format Tools Table Window Help
Normal
Times New Roman
11
75%
Draw
AutoShapes
Page 1 Sec 1 1/1 At 2" Ln 21 Col 1
English (U.S.

**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 | SND | Status: [illegible]<br>Last Action: [illegible] | [illegible] |

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.

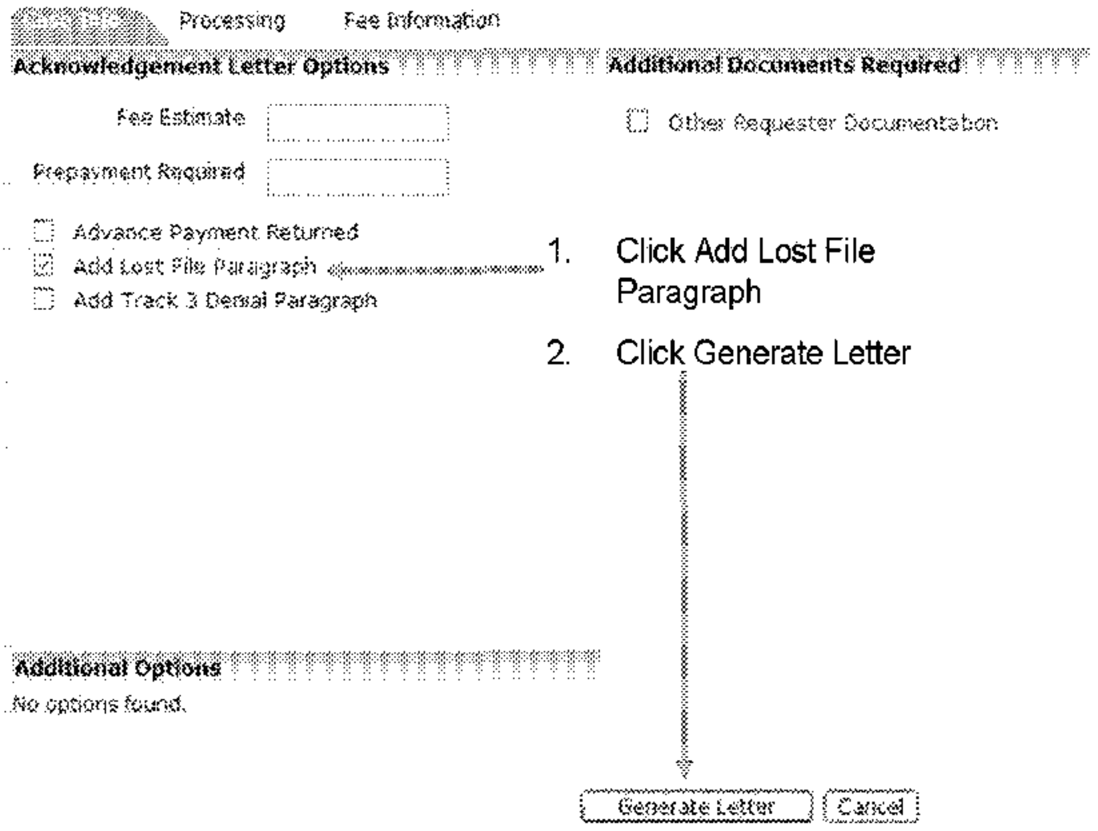
Please certify by your signature and date that the lost / missing / not found record has been placed on the circular / special / lost file search list and its location is actively being sought or that the file has been found. This file

___ is on the circular / special / lost file search list,
___ is attached
___ could not be located

Printed Name ____________________ Phone ____________________

Signature ____________________ Date ____________________

Generate the acknowledgement letter.


Processing
Fee Information
Acknowledgement Letter Options
Additional Documents Required
Fee Estimate
Prepayment Required
☐ Other Requester Documentation
☐ Advance Payment Returned
☑ Add Lost File Paragraph
☐ Add Track 3 Denial Paragraph
Additional Options
No options found.
Generate Letter
Cancel

1. Click Add Lost File Paragraph
2. Click Generate Letter

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

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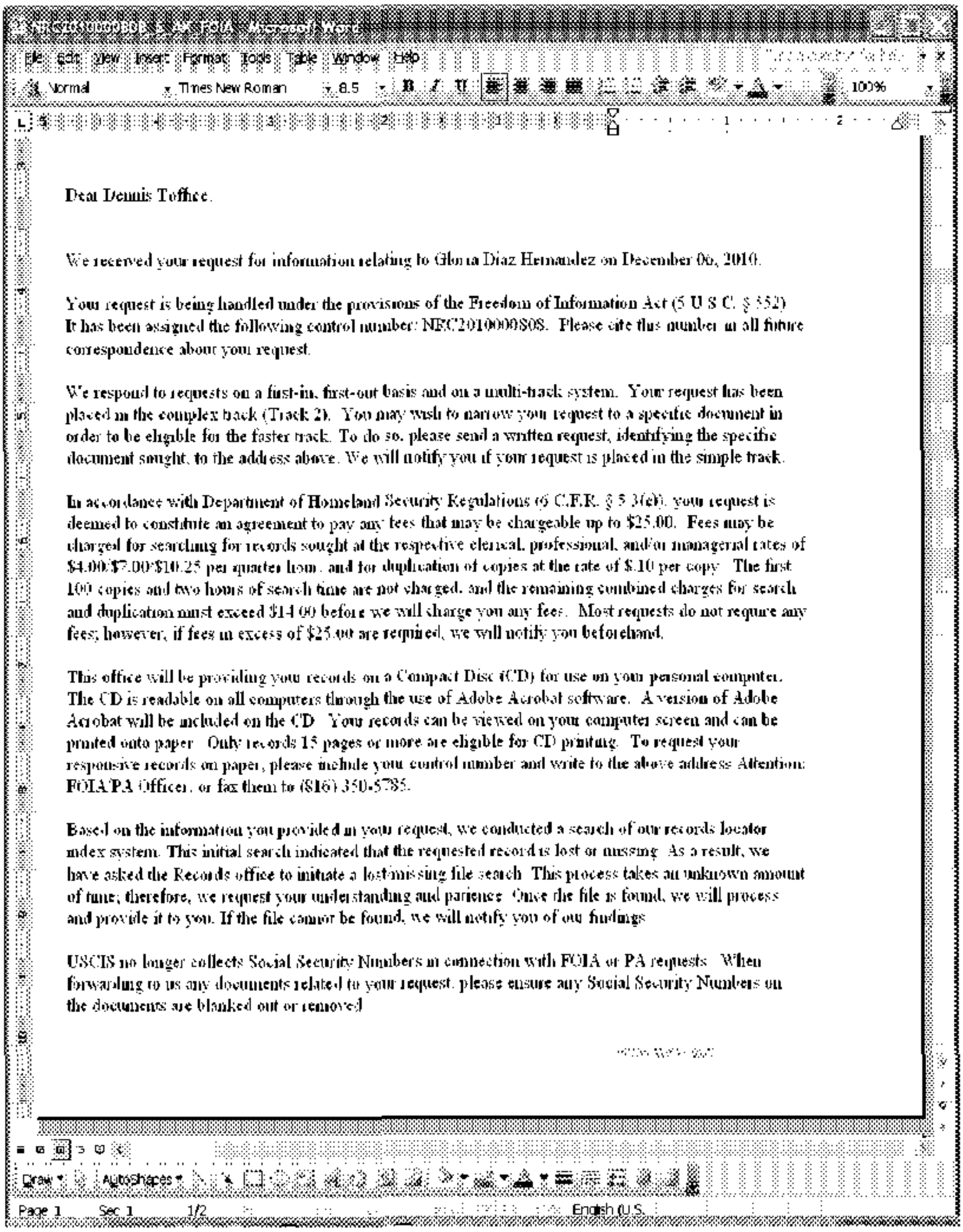

Dear Dennis Toffice.

We received your request for information relating to Gloria Diaz Hernandez on December 06, 2010.

Your request is being handled under the provisions of the Freedom of Information Act (5 U.S.C. § 552). It has been assigned the following control number: NEC2010000808. Please cite this number in all future correspondence about you request.

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

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

This office will be providing your records on a Compact Disc (CD) for use on your personal computer. The CD is readable on all computers through the use of Adobe Acrobat software. A version of Adobe Acrobat will be included on the CD. Your records can be viewed on your computer screen and can be printed onto paper. Only records 15 pages or more are eligible for CD printing. To request your responsive records on paper, please include you control number and write to the above address Attention: FOIA/PA Officer, or fax them to (816) 350-5785.

Based on the information you provided in your request, we conducted a search of our records locator index system. This initial search indicated that the requested record is lost or missing. As a result, we have asked the Records office to initiate a lost/missing file search. This process takes an unknown amount of time; therefore, we request your understanding and patience. Once the file is found, we will process and provide it to you. If the file cannot be found, we will notify you of our findings.

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

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

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### 12.18.3 Files Lost or Not Found MORE THAN SIXTY DAYS (Flowchart at Appendix H)

**12.18.3.1** 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 60 days, you must use the less than 60 day process. DO NOT staff for the A file.

**12.18.3.2** 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 Requestor that the original a-file is lost." Pend case for responsive records. You are done.

**12.18.3.3** 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.

**12.18.3.4** Complete the lost file worksheet. 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 Requestor appeals.

**12.18.3.5** 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.

**12.18.3.6** 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.

**12.18.3.7** Generate the Acknowledgement letter. Click "Add Lost File Paragraph" button so the lost file paragraph will be inserted into the ack letter.

**12.18.3.8** Include note to Case Processor: "A-file has been lost for more than 60 days. Unable to locate any additional A-files, T-files or receipt files and provided a copy of their electronic record. Please advise the Requestor that the original a-file is lost, but we have provided them an electronic copy of their record."

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

**12.18.3.10** 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

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# 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:

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### 12.18.4 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 near the center of the page on the FIPS staffing sheet, or if it is a letter format, on the first page, just under the address.

### 12.18.5 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 Requestor/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 Requestors 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

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refer to section 12.18.6. 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 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:

## 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

☒ All Files
☐ Alien File
☐ Certify True Copy
☐ C-File
☐ Visa File
☐
☐ AR-Print
☐ Non-Existence of Record

FOIA Remarks:

## RECORDS

**SYSTEMS CHECKED** **Searcher:**

☐ FLEX
☐ CIS
☐ CLAIMS
☐ MiDAS
☐ EARMS
☐ NIDC
☐ MI
☐ NIIS
☐ 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

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**Records Remarks:**

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.

### 12.18.6 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 of all CIS and PCQS or CLAIMS searches as directed. Prepare a Final Action Letter with closing code NR. Insert a Discussion naming the systems you searched. 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

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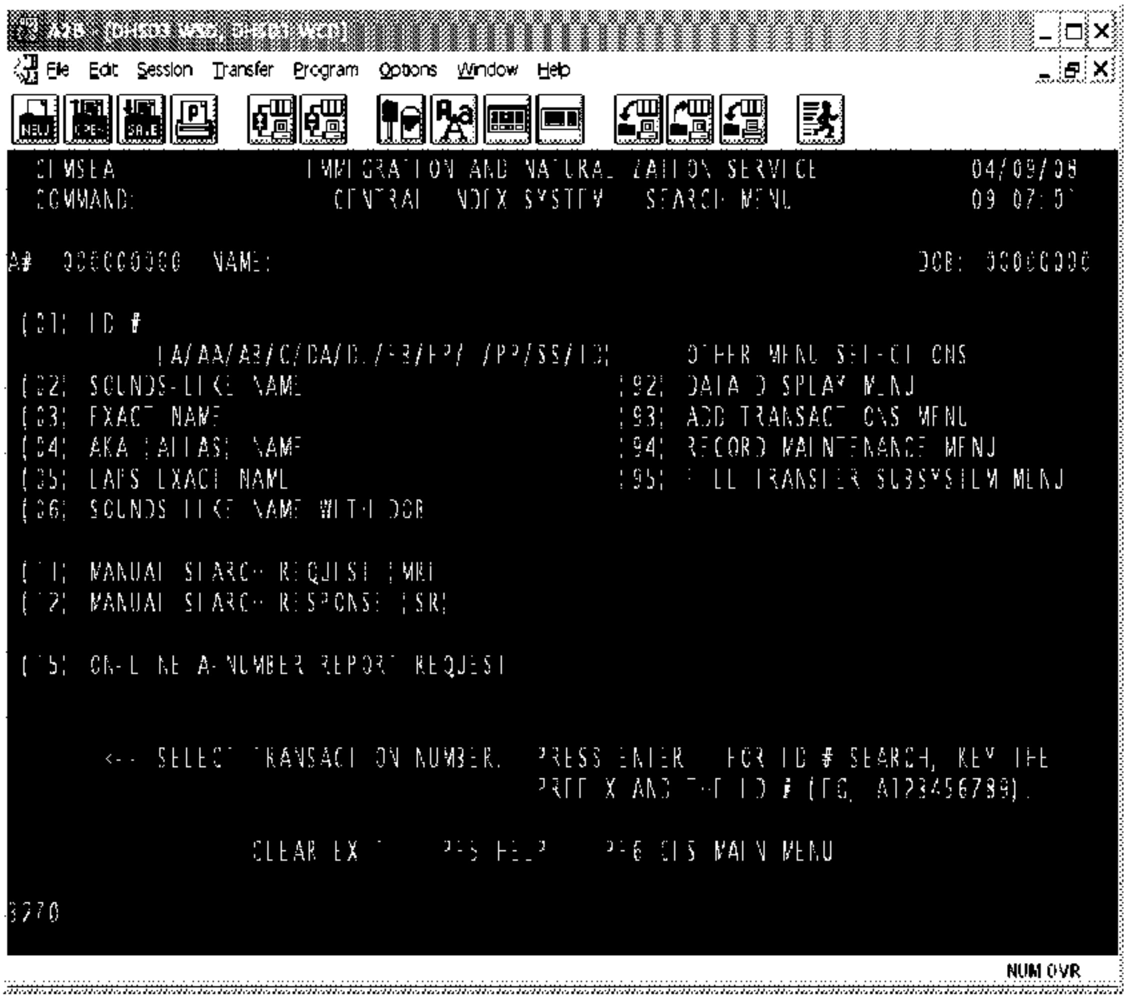

```
 CIMSEA                IMMIGRATION AND NATURALIZATION SERVICE         04/09/08
 COMMAND:                 CENTRAL INDEX SYSTEM    SEARCH MENU         09 07:5
A#  000000000  NAME:                                             DOB: 00000000

(01) ID #
        (A/AA/AB/C/DA/DL/FB/FP/ /PP/SS/TC)         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) LAFS 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
```

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.

> 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).

Genealogy is exempt from this process.

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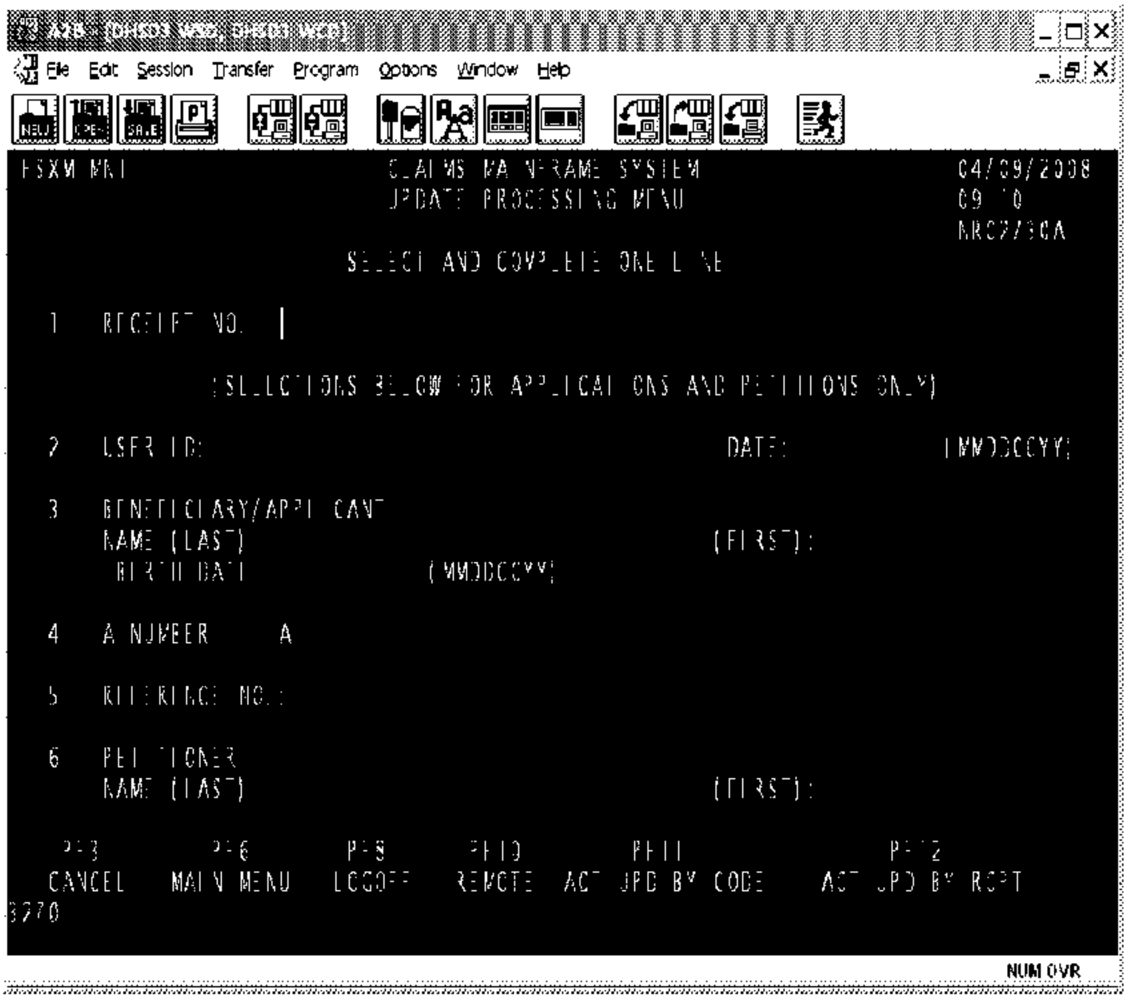

```
FSXM MNT                    CLAIMS MAINFRAME SYSTEM                 04/09/2008
                            UPDATE PROCESSING MENU                  09:10
                                                                    NRC2730A
                         SELECT AND COMPLETE ONE LINE

  1   RECEIPT NO.  |

                (SELECTIONS BELOW FOR APPLICATIONS AND PETITIONS ONLY)

  2   USER ID:                                        DATE:          (MMDDCCYY)

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

  4   A NUMBER     A

  5   REFERENCE NO.:

  6   PETITIONER
      NAME (LAST)                                     (FIRST):

   PF3        PF6        PF9       PF10        PF11               PF12
  CANCEL    MAIN MENU   LOGOFF    REMOTE   ACT UPD BY CODE    ACT UPD BY RCPT
3270
```

### 12.18.7 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.

### 12.18.8 ICE files

When you staff for any 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.

| Office Section | Acronym |
|---|---|
| **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 | 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** | **FOI (Washington DC) (DRO-WAS)** |
| **Admin Program Office** | |
| **Non-Detained or Detained** | |
| **Processing Center** | **OC-Otero County** |
| **Detention Facility name** | **i.e.… Otay Mesa, Krome** |
| **Fugitive Ops** | **FO** |

SAC **file requests** are for files that are located in the following office sections. Choose the FCO where the file is located, such as SAC-ATL. Please note the section that follows concerning SAC locations.

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

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### 12.18.9 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.

### 12.18.10 LESC (LSC) records

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

### 12.18.11 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, NBC 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. This includes any digitized files. Another example of when we staff for an in-house T-file is when the responsive records are scanned in simultaneously with the request.

### 12.18.12 Receipt files

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**12.18.12.1** Do not request receipt files with a prefix 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 instance, you cannot request receipt number LOS0530775120, no matter where it is. However, if you find an unconsolidated receipt file LIN0530775120, and it is at LOS, you can request it.

**12.18.12.2** If the Requestor does not specifically ask for a receipt file and provides an alien number, request the alien file only.

**12.18.12.3** If the Requestor 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.
>
> **12.18.12.4** If the Requestor specifies a receipt file, and the receipt has not been consolidated, you may have VOI (and certification of agreement, if necessary) from either party and you may staff for the file if it is available in records. If you are unsure of whether you need certification of agreement, please refer to section

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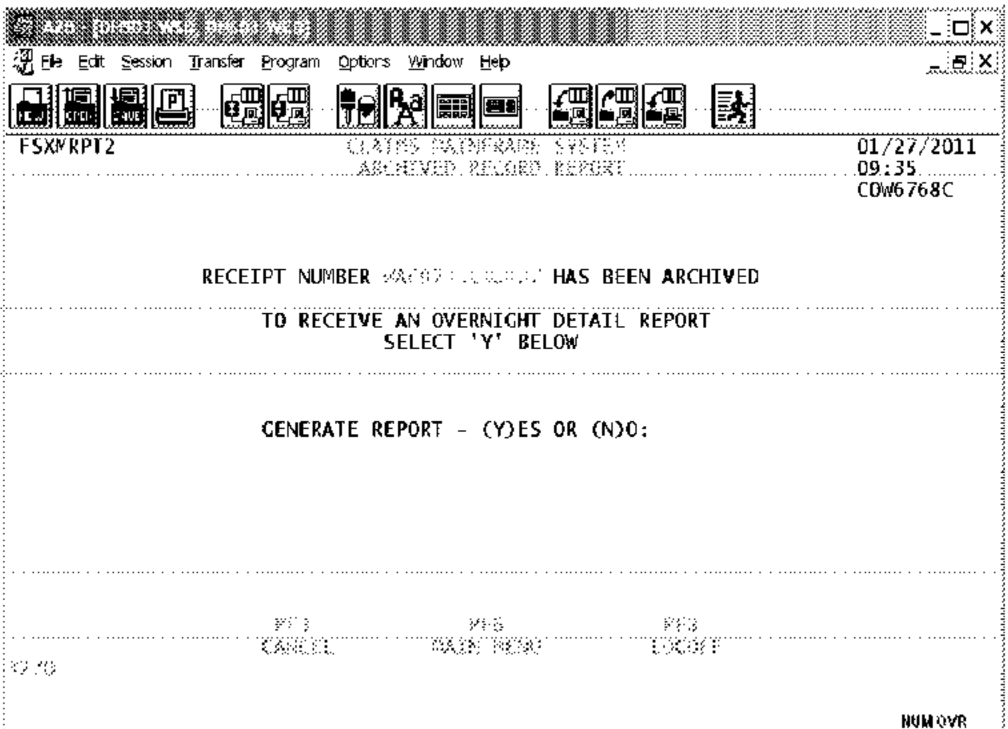
7 of this guide. If the receipt is not available in records, please refer to sections 12.18.6 or 12.18.14 If it is available in records in NFTS, first verify the receipt number belongs to the subject, then staff for that receipt file.

If the receipt has been consolidated into an alien file, the situation is different. If you have VOI (and certification of agreement, if necessary) from the person whose alien file the receipt has been consolidated into, then you should verify the alien number belongs to the subject and staff for that alien file. If there is no certification of agreement from the person whose alien file the petition has been consolidated into, you will close the request as TD. Refer to section 16a, "TD (total denial) CASE CLOSINGS."

**12.18.12.5** Forms I-526 and I-829 are petitions filed by an Alien Entrepreneur. If, while researching the receipt file, you discover in CLAIMS or PCQS that the receipt is either a Form I-526 or Form I-829, please take the following actions:

1. Send an e-mail to NRC, FOIASIG and CC your supervisor stating that NRC201XXXXXXX (your case number) is requesting copies of an I-526 or I-829 receipt file.
2. Copy the body of the e-mail and paste it into a discussion.
3. Send the case to Unit Chief.
4. SIG will then reassign the case to the COW queue for action.

## 12.18.13 Archived receipts



```
FSXMRPT2                CLAIMS MAINFRAME SYSTEM                01/27/2011
                         ARCHIVED RECORD REPORT                09:35
                                                               CDW6768C


            RECEIPT NUMBER [illegible] HAS BEEN ARCHIVED

               TO RECEIVE AN OVERNIGHT DETAIL REPORT
                         SELECT 'Y' BELOW


               GENERATE REPORT - (Y)ES OR (N)O:




               PF3            PF6            PF9
              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 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. Sometimes, you can discover that an archived receipt has been forwarded to NVC through PCQS. If the receipt is located at the NVC, do not redirect to the NVC. Have the screen prints of the receipt scanned in as responsive records. Make sure the track is TRACK I. Create the 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 to OneNote and send an email to FOIAPROGRAM.NRC@uscis.dhs.gov . On the subject line, put the control number and SOR's name. Pend the case.

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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.

C. 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.

D. 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, have the archived report created, and get it scanned in as Responsive Records.

### 12.18.14 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, create as Track 1, category OTHER.

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.

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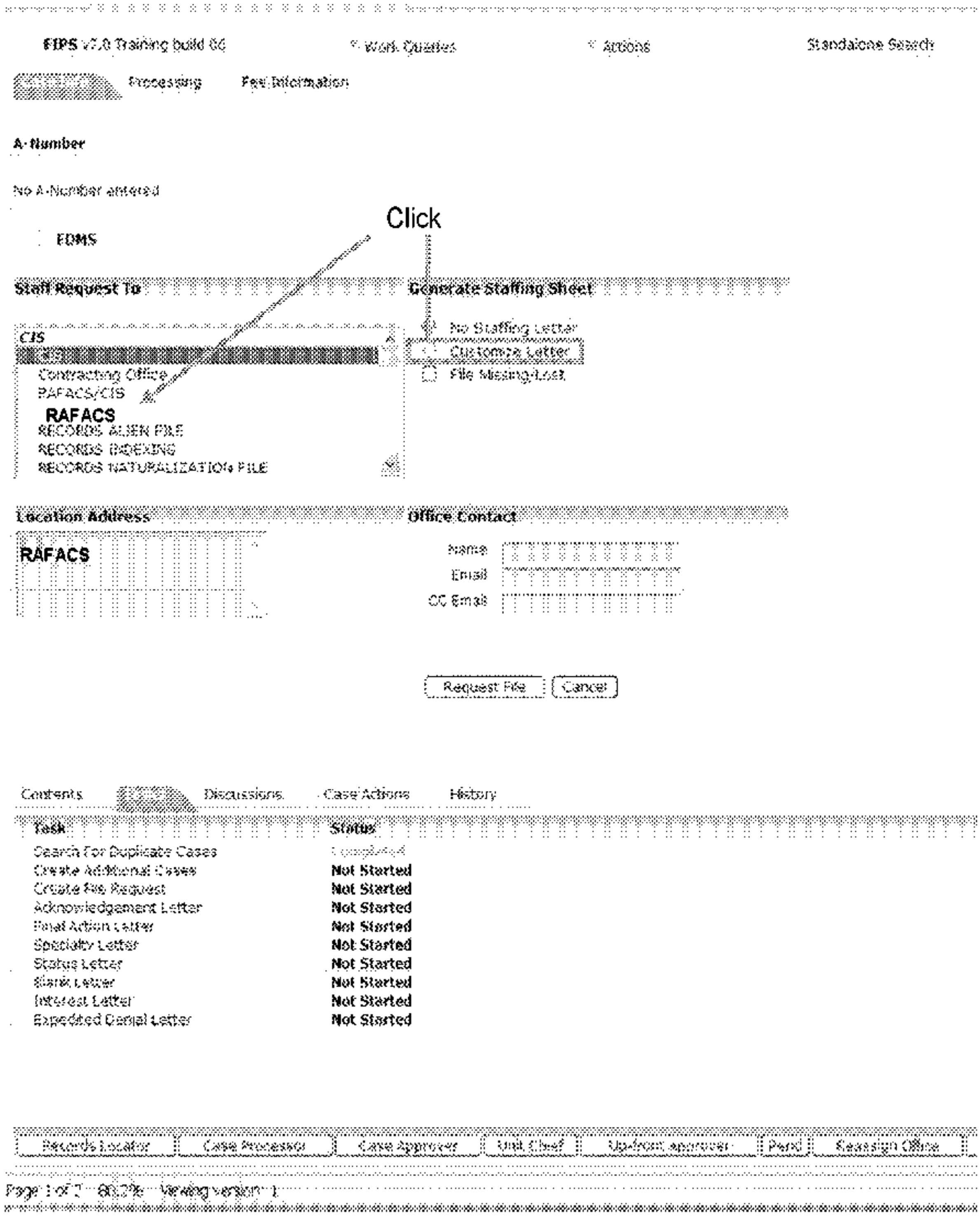

FIPS v7.0 Training build 66
Work Queues
Actions
Standalone Search
Processing
Fee Information
Click
EDMS
Staff Request To
Generate Staffing Sheet
CIS
Contracting Office
RAFACS/CIS
RAFACS
RECORDS ALIEN FILE
RECORDS INDEXING
RECORDS NATURALIZATION FILE
○ No Staffing Letter
○ Customize Letter
☐ File Missing/Lost
Location Address
Office Contact
Name
Email
CC Email
Request File
Cancel
Contents
Discussions
Case Actions
History
Records Locator
Case Processor
Case Approver
Unit Chief
Up-front approver
Pend
Reassign Office
Page 1 of 2 80.2% Viewing version 1

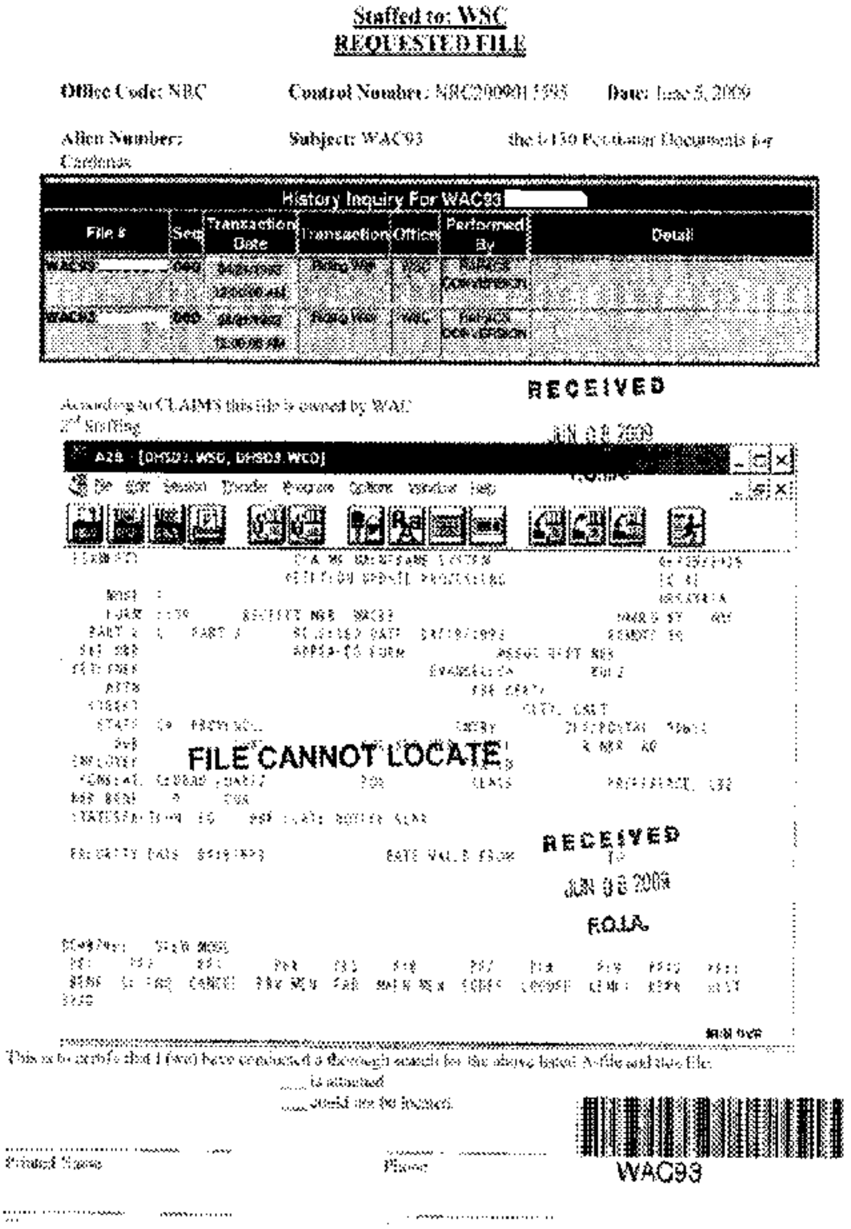
**A-Number**

No A-Number entered

Location Address: RAFACS

| 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 |

**If NFTS shows a receipt has been "Deleted," please refer to section 9.2. Section 12.18.14 is only for files that show Lost, Destroyed or Rejected in NFTS or if we receive a staffing response saying "File cannot locate."** This is what the response will look like:



**Staffed to: WSC**
**REQUESTED FILE**

**Office Code:** NBC **Control Number:** NRC2009011595 **Date:** June 5, 2009

**Alien Number:** **Subject:** WAC93 the I-130 Petition Documents for Cardenas

| History Inquiry For WAC93 [redacted] | | | | | | |
|---|---|---|---|---|---|---|
| File # | Seq | Transaction Date | Transaction | Office | Performed By | Detail |
| WAC93 [redacted] | 000 | [illegible]<br>[illegible] AM | [illegible] | [illegible] | [illegible]<br>CONVERSION | |
| WAC93 [redacted] | 000 | [illegible]<br>[illegible] AM | [illegible] | [illegible] | [illegible]<br>CONVERSION | |

According to CLAIMS this file is owned by WAC
2nd Staffing

RECEIVED
JUN 08 2009
FOIA

A28 - [DHS01.WSC, DHS03.WCO]
File Edit Session Transfer Program Options Window Help

FILE CANNOT LOCATE

RECEIVED
JUN 08 2009
F.O.I.A.

This is to certify that I (we) have conducted a thorough search for the above listed A-file and this file:
____ is attached
____ could not be located.

Printed Name Phone

WAC93

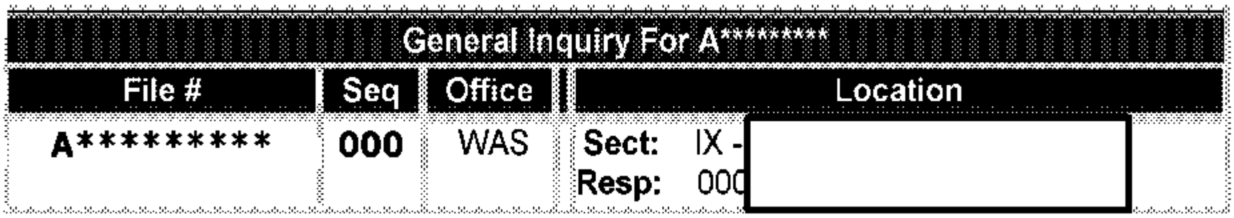
### 12.18.15 Hidden Patriot Investigation Case

(b)(7)(e)

When you enter your file number into NFTS and the result of the search shows the FCO location is WAS, the code is IX, and the description i[redacted] please do the following: Staff for the file at Non-FOIA Office: WAS and create the following discussion note: [redacted] [redacted] **nvestigation case. Staffed for file at Non-FOIA Office WAS. Once file is scanned**

**into responsive records, please forward case to the current designated processor for processing."** Refer to screen print below.

(b)(7)(e)



General Inquiry For A*********

| File # | Seq | Office | Location |
|---|---|---|---|
| A********* | 000 | WAS | Sect: IX -[redacted]<br>Resp: 00 |

### 12.18.16 Creating Staffing and Acknowledgement letters for ELIS2 cases

**NOTE**: All forms have either migrated to ELIS2 or are handled outside of Legacy ELIS.

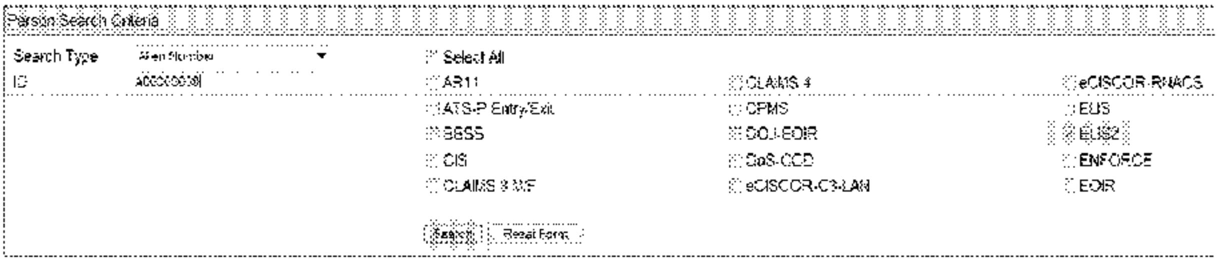
Any references from this point on refer to ELIS2.

Any time you create an ELIS staffing, please send an e-mail to NRC, FOIA QA-CS and copy Tracy Bellisime. The subject of the e-mail should be "ELIS 2 staffing" and the body of the e-mail should be the case number.

### 12.18.16.1 Deleted

### Step 1: Find the IOE Receipt Number

Whenever you create a case, please check the ELIS2 block in PCQS to search for the IOE Receipt number.



Person Search Criteria

Search Type

ID

If you get a response of "Person Found In: ELIS2," please check the box and click "Search Selected Persons" to get your IOE Receipt number.

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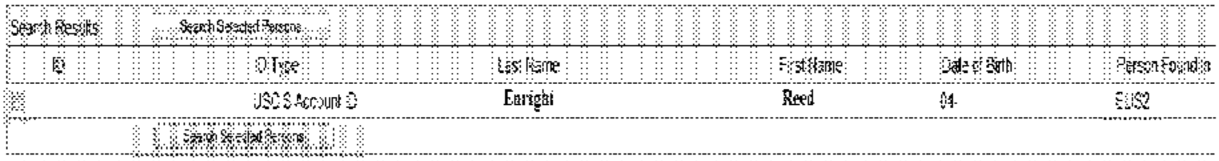
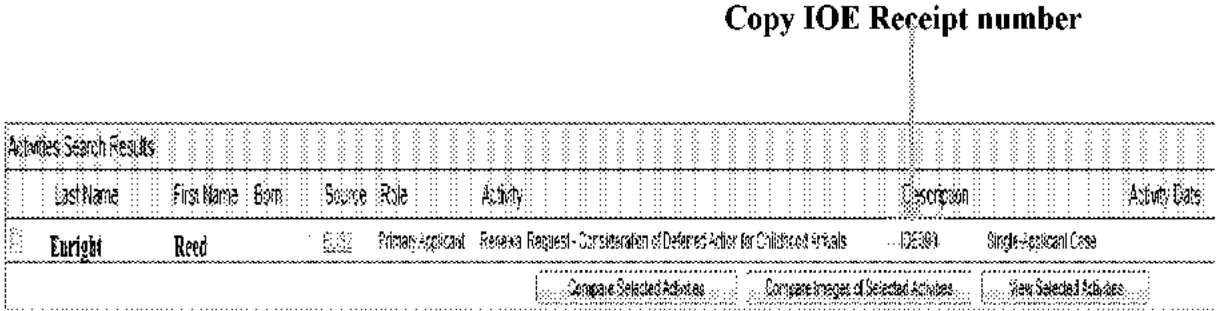

Search Results
Search Selected Persons
Search Selected Persons

| ID | ID Type | Last Name | First Name | Date of Birth | Person Found in |
|---|---|---|---|---|---|
| ☐ | USCIS Account ID | Enright | Reed | 04- | ELIS2 |

You will come to the page below. Please copy the IOE number.

You will come to the page below, "Activities Search Results." Please copy the IOE Receipt number.

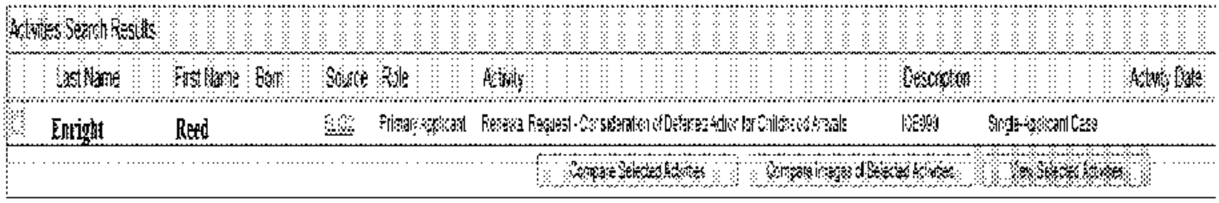

Copy IOE Receipt number
Activities Search Results
Compare Selected Activities
Compare Images of Selected Activities
View Selected Activities

| | Last Name | First Name | Born | Source | Role | Activity | Description | | Activity Date |
|---|---|---|---|---|---|---|---|---|---|
| ☐ | Enright | Reed | | ELIS2 | Primary Applicant | Renewal Request - Consideration of Deferred Action for Childhood Arrivals | IOE99 | Single-Applicant Case | |

### 12.18.16.2 Deleted

**Step 2: Is the case open or closed?**

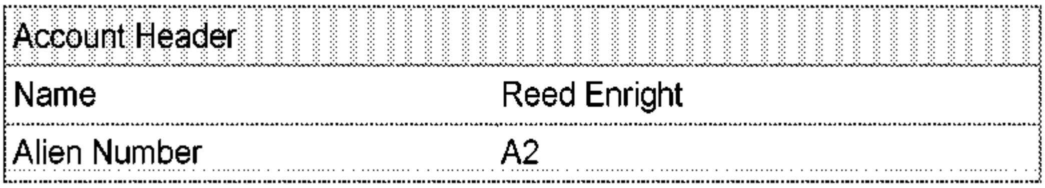
Using this same Activities Search Results section, check the box on the ELIS2 line, then click "View Selected Activities."


Activities Search Results
Compare Selected Activities
Compare Images of Selected Activities
View Selected Activities

| | Last Name | First Name | Born | Source | Role | Activity | Description | | Activity Date |
|---|---|---|---|---|---|---|---|---|---|
| ☐ | Enright | Reed | | ELIS2 | Primary Applicant | Renewal Request - Consideration of Deferred Action for Childhood Arrivals | IOE99 | Single-Applicant Case | |

On the ELIS2 details screen, find the "Case State" in the "Account Header" section.

If the case state is accepted, optimized or reopened, your case is open.



| Account Header | |
|---|---|
| Name | Reed Enright |
| Alien Number | A2 |

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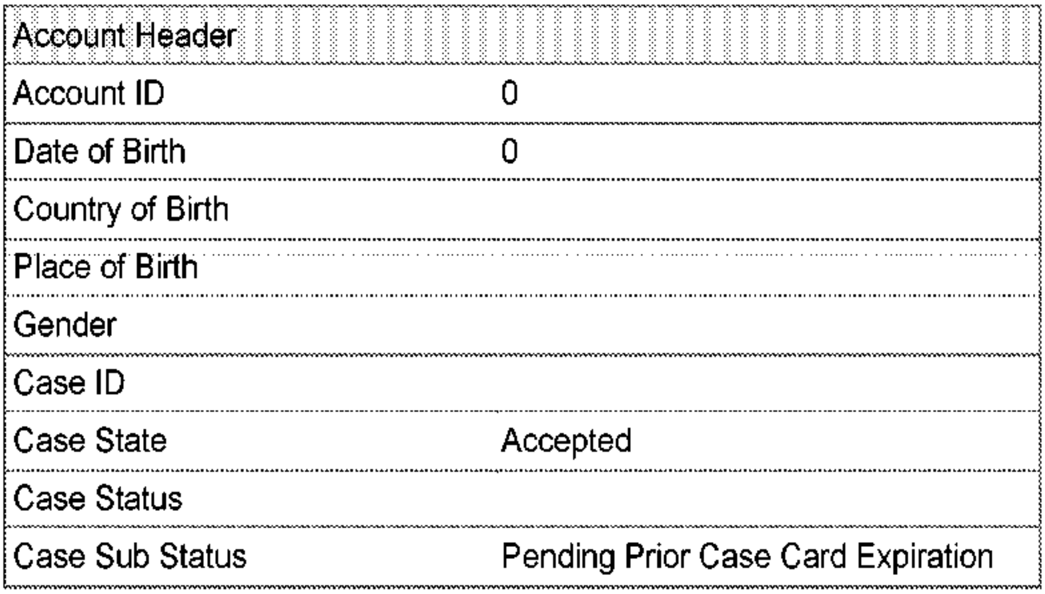
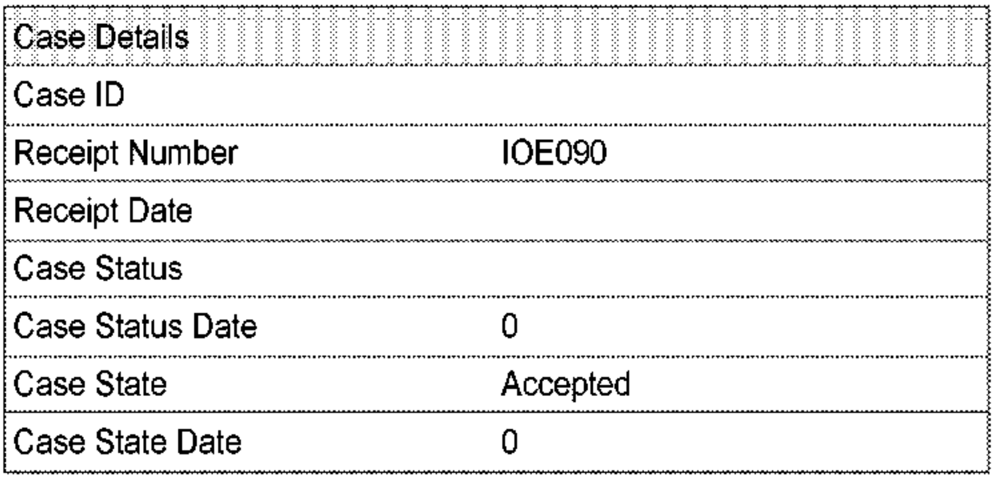


| Account Header | |
|---|---|
| Account ID | 0 |
| Date of Birth | 0 |
| Country of Birth | |
| Place of Birth | |
| Gender | |
| Case ID | |
| Case State | Accepted |
| Case Status | |
| Case Sub Status | Pending Prior Case Card Expiration |

**NOTE**: The Case State can also be found in the Case Details section of your screen print.

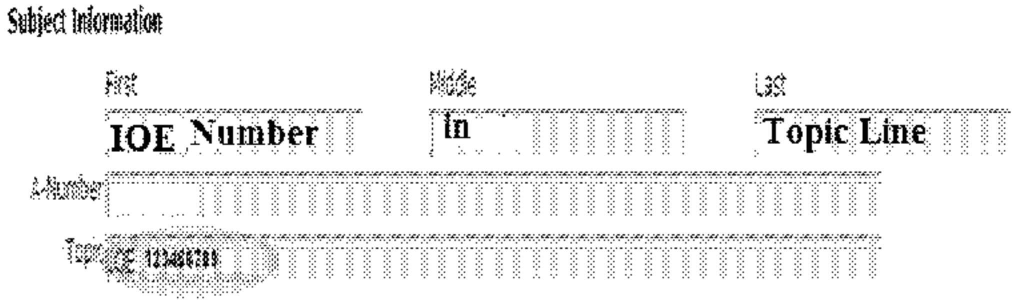


| Case Details | |
|---|---|
| Case ID | |
| Receipt Number | IOE090 |
| Receipt Date | |
| Case Status | |
| Case Status Date | 0 |
| Case State | Accepted |
| Case State Date | 0 |

### 12.18.16.3 Deleted

### Step 3: Create the Case/Put IOE Receipt Number in Topic Line

Fill out the FIPS worksheet as you normally would, except paste "IOE" and the number into the "Topic" line on the FIPS worksheet.



Subject Information

First: IOE Number

Middle: in

Last: Topic Line

A-Number:

Topic: [illegible] 123456789

**NOTE**: Putting the IOE number in the Topic line is the only way we have to track ELIS2 cases.

Next, create a staffing to the correct File Control Office.

### 12.18.16.4 Deleted

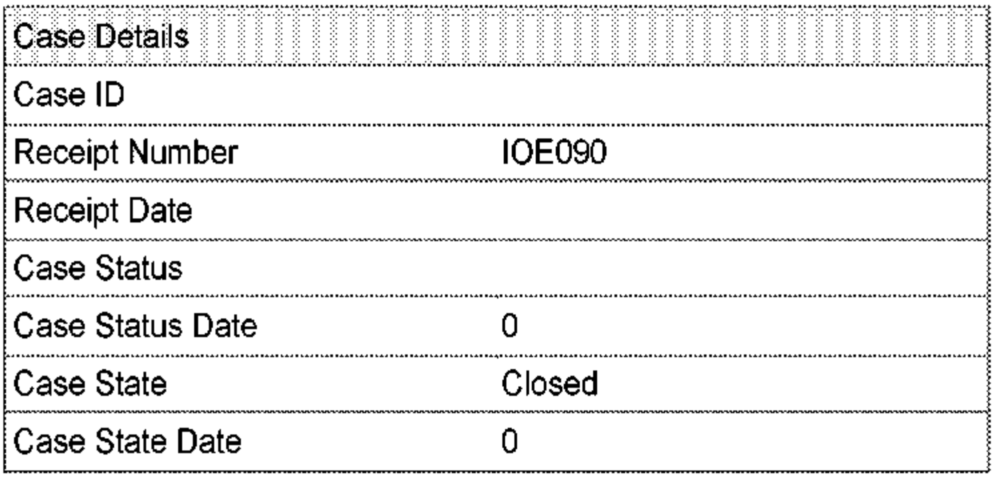
**Step 4: Is your requestor an attorney/representative or is this a self-request?**

If you answered "yes" to either choice, go to Step 5a(1) to create your Staffing and Acknowledgement letters. You will be inserting specific language into both letters.

If the requestor is other than an attorney/representative or a request from the subject of record, go to Step 5b(1) to change your Staffing letter only. There is no change to the Acknowledgement letter.

A wife requesting her husband's file is an example of an "other."

If the case is closed (see example below), it doesn't matter who the requester is.
Go to Step 5b(1).



| Case Details | |
|---|---|
| Case ID | |
| Receipt Number | IOE090 |
| Receipt Date | |
| Case Status | |
| Case Status Date | 0 |
| Case State | Closed |
| Case State Date | 0 |

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### Step 5a(1): Staffing letter

**Open cases from Attorney/Representatives or self-requests:**

- Replace the Alien number at the top and bottom of the page with the IOE Receipt number
- Replace the first part of the second bullet which reads "Send a copy of all responsive documents to the FOIA office in their entirety," with the sentence, "Send a copy of the Case Details and Case History tabs (expand all), any restricted content, and any risk resolution memo."
- Do not replace "**DO NOT MAKE REDACTIONS.**" Leave it at the end of the second bullet.

## Before:

MEMORANDUM FOR:
NSC
P.O. BOX 82521
LINCOLN, NE 68501-2521

ATTN: via email
nsc,foiafilereq

FROM: NRC FOIA/PA

SUBJECT: Freedom of Information /Privacy Act Request NRC2016
Alien #: 2
Subject Name: Reed Enright

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.**

Freedom of Information/Privacy Act Request, NRC2016
Alien #: 2
Subject Name: Reed Enright

## After:

MEMORANDUM FOR:
NSC
P.O. BOX 82521
LINCOLN, NE 68501-2521

ATTN: via email
nsc,foiafilereq

FROM: NRC FOIA/PA

SUBJECT: Freedom of Information /Privacy Act Request NRC2016
**IOEXXXXXXXXX**
Subject Name: Reed Enright

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 the Case Details and Case History tabs (expand all), any restricted content, and any risk resolution memo. DO NOT MAKE REDACTIONS.**

Freedom of Information/Privacy Act Request, NRC2016
**IOEXXXXXXXXX**
Subject Name: Reed Enright

**Step 5a(2): Acknowledgement letter**

**Open cases from Attorney/Representatives or self-requests:**

- Add the paragraph, "From the USCIS Electronic Immigration System (ELIS) you may download the case intake snapshot, case evidence, and correspondence (e.g. any G-28 Representation or Withdrawal request) from your Case Details screen," between the fee and CD paragraphs.

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## Example:

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

From the USCIS Electronic Immigration System (ELIS) you may download the case intake snapshot, case evidence, and correspondence (e.g. any G-28 Representation or Withdrawal request) from your Case Details screen.

This office will be providing your records on a Compact Disc (CD) for use on your personal computer. The CD is readable on all computers through the use of Adobe Acrobat software. A version of Adobe Acrobat will be included on the CD. Your records can be viewed on your computer screen and can be printed onto paper. Only records 15 pages or more are eligible for CD printing. To request your responsive records on paper, please include your control number and write to the above address Attention: FOIA/PA Officer, or fax them to (816) 350-5785.

### Step 5b(1): Staffing letter

**All closed cases or cases from others (not Attorney/Representatives nor self-requests):**

- Replace the Alien number with the IOE Receipt number at the top and bottom of the letter only. Do not replace the second bullet.

## Example:

MEMORANDUM FOR:
NSC
P.O. BOX 82521
LINCOLN, NE 68501-2521

ATTN: via email
nsc,foiafilereq

FROM: NRC FOIA/PA

SUBJECT: Freedom of Information /Privacy Act Request NRC2016
**IOEXXXXXXXXX**
Subject Name: Reed Enright

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.**

Freedom of Information/Privacy Act Request, NRC20160
**IOEXXXXXXXXX**
Subject Name: Reed Enright

Step 5b(2): Acknowledgement letter

All closed cases or cases from others (not Attorney/Representatives nor self-requests):

- There is no change to the Acknowledgement letter

**ELIS FAQ's**

Q: The NFTS screen print says that ELIS is consolidated into a T-file. How do I fill out the Staffing Sheet?

A: If ELIS is consolidated into an A or T-file per NFTS, do not replace the A-number with the IOE receipt number or replace the second bullet. Create as a normal case (not in ELIS), except don't forget to add the IOE Receipt number to the FIPS worksheet.

Q: Which FCOs adjudicate the Form I-90?

A: MSC/NBC, SSC and WSC…check NFTS for the correct staffing.

### 12.18.16.5 Deleted

### 12.18.16.b Deleted

### 12.18.16.b.1 Deleted

### 12.18.16.b.2 Deleted

### 12.18.16.b.3 Deleted

### 12.18.16.b.4 Deleted

### 12.18.16.b.5 Deleted

### 12.18.17 RAFACS Staffings

Occasionally when someone requests a file, we are unable to find it. Do we just close it "NR?" In certain cases, we can.

However, if we can find something that belongs to the Requestor, such as a Border Crossing Card, CLAIMS or PCQS screen prints, we cannot close the case "NR."

Staff to RAFACS all requests that you can't find what the Requestor is asking for, but you can find other documents that relate to the subject of record. After doing so, please change the case to Track 1.

## 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:* Before you create the case, make sure the Office is correct. 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-

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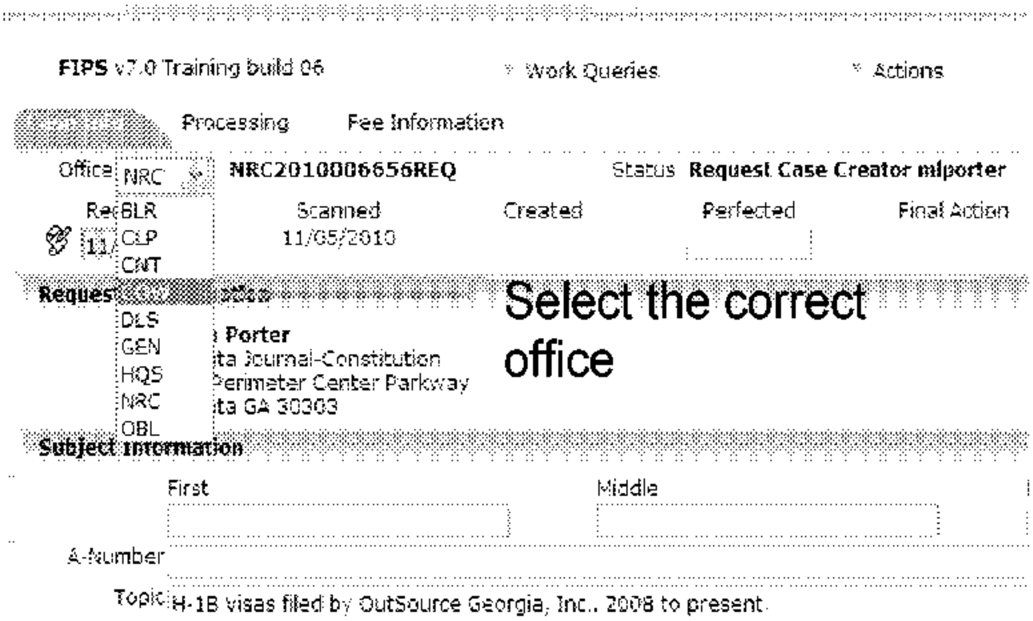
check that NRC is selected before you create the case. If you have accidentally reassigned the office, you must print out all pages of the request, attach a Scan As sheet, and take it to OA to be scanned in as a new case.

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.

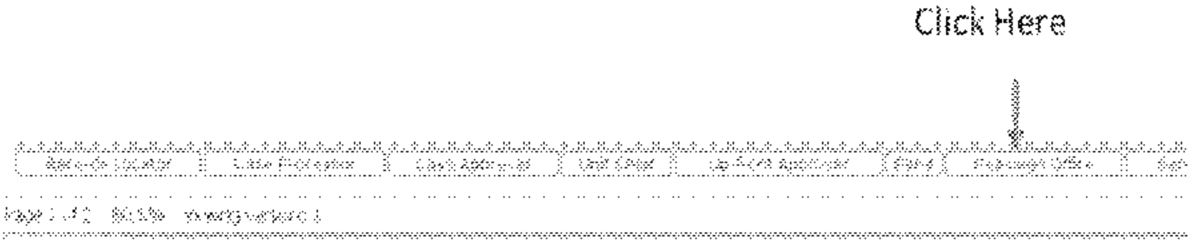


Office: NRC
NRC2010006656REQ
Status Request Case Creator mlporter
Scanned 11/05/2010
Created
Perfected
Final Action
Porter
ta Journal-Constitution
Perimeter Center Parkway
ta GA 30303
First
Middle
A-Number
Topic: H-1B visas filed by OutSource Georgia, Inc.. 2008 to present.

Select the correct office

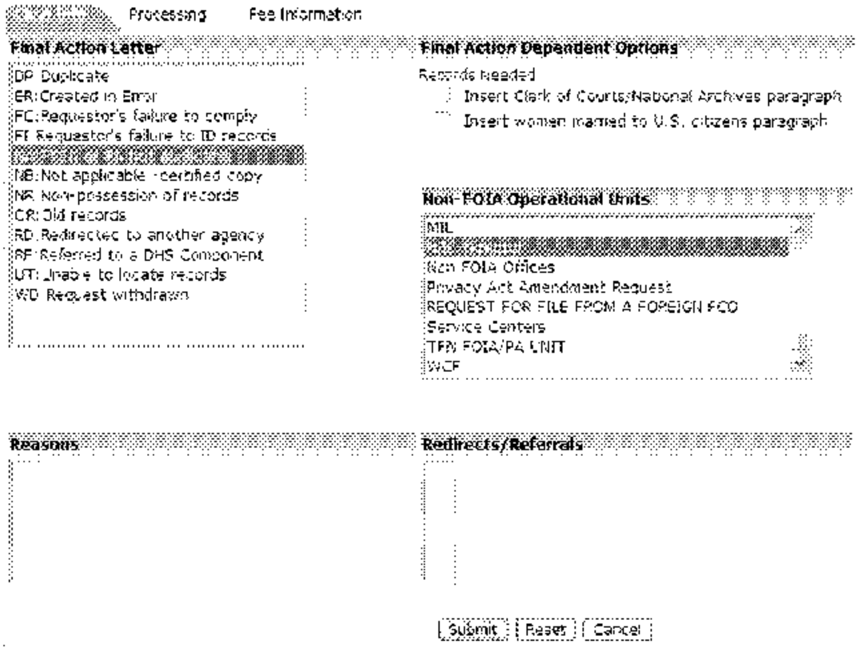
Next, search for duplicate cases and then create the case. The case will have a COW number. You will not be creating an acknowledgement letter or staffing. Before you click on "Reassign Office," prepare an e-mail addressed to NRC, FOIASIG with the case number and brief description of the topic, Requestor 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:



## 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
Final Action Letter
DP 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
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
MIL
Non FOIA Offices
Privacy Act Amendment Request
REQUEST FOR FILE FROM A FOREIGN FCO
Service Centers
TFN FOIA/PA UNIT
WCF
Reasons
Redirects/Referrals
Submit
Reset
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:

A. Create the case if you have not done so already.
B. Select "Final Action Letter" from the Tasks tab.
C. Select ER from the list of options click "Submit."
D. FIPS will not create a letter. Prepare a detailed Discussion.
E. Send the case to Up-front Approver. The supervisor will review and close the case.

## 16a. TD (total denial) CASE CLOSINGS

- Create the case as Track 1.
- Change the case category to "Third Party No Consent" and save.
- Select the "Final Action Letter" from the Tasks tab. Select "TD" from the final action codes list.
- Paste in the body of the "TD No Agreement language" onto the FIPS TD 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.
- Review the letter to ensure the pasted content is in the correct format, save it and check it in.
- Uncheck the Print to CD box.
- Create a Discussion: "Third Party, No Agreement."
- Send to Up-front Approver.

## 16b. FC (failure to comply) CASE CLOSINGS

A. Create the case if you have not done so already.

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 or

F. Select the Unperfected Letter for G-639 dated 3/31/2015.

G. Review the letter to ensure the pasted content is in the correct format

H. 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_for_G-639_dated_3_-_31_-_15

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Or
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.

If you are closing a case WD or FC and there is a FOIA Safe Staffing, please send an e-mail to NRC, FOIASafe with the case number, A-number and name of subject of record. The classified document control point of contact maintains the files in the FOIA Safe until the case is closed. Once she is notified the file is no longer needed, she will return the file to the original FCO.

# 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:

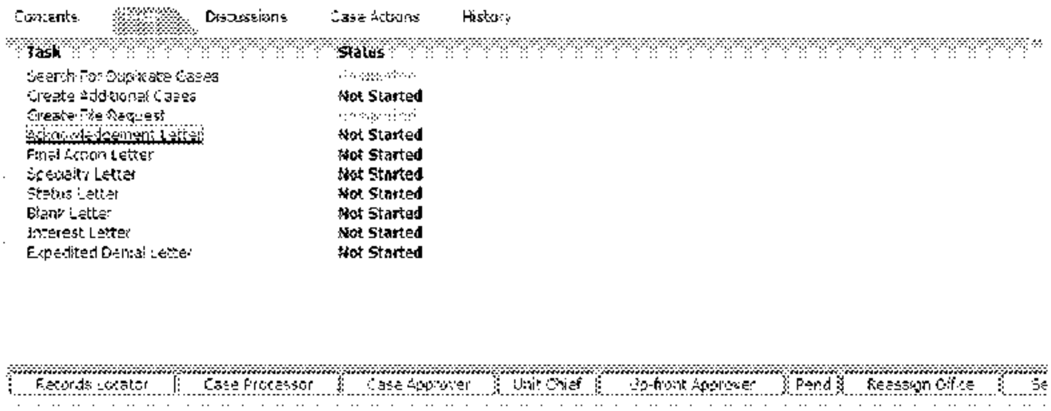
1. Type "DO NOT SEND" at the top of the page,
2. Delete all the information in the letter/memorandum, and
3. Create a Discussion which explains why the letter/memo should not be mailed.

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 certification of agreement and identity, the Requestor 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"

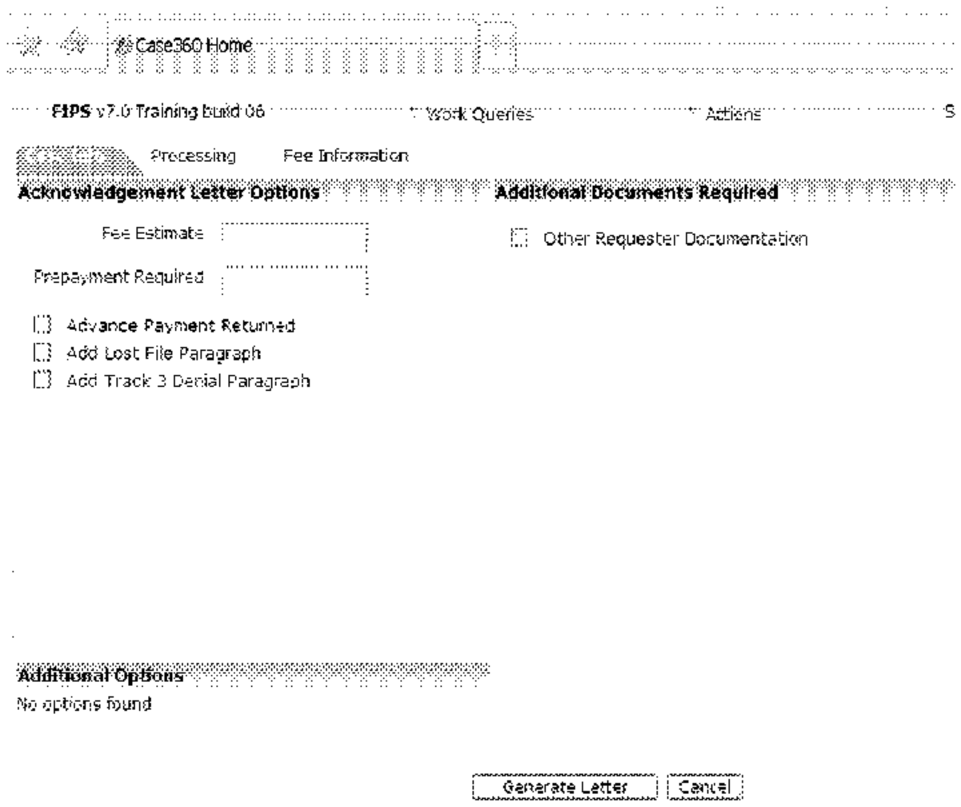


Contents
Discussions
Case Actions
History

| Task | Status |
|---|---|
| Search For Duplicate Cases | [illegible] |
| Create Additional Cases | **Not Started** |
| Create File Request | [illegible] |
| 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

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**

Fee Estimate

Prepayment Required

☐ Advance Payment Returned
☐ Add Lost File Paragraph
☐ Add Track 3 Denial Paragraph

**Additional Documents Required**

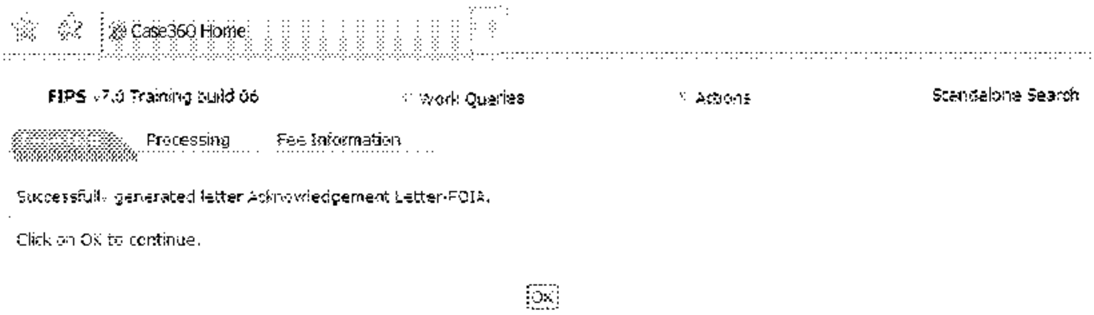
☐ Other Requester Documentation

**Additional Options**

No options found

Generate Letter
Cancel

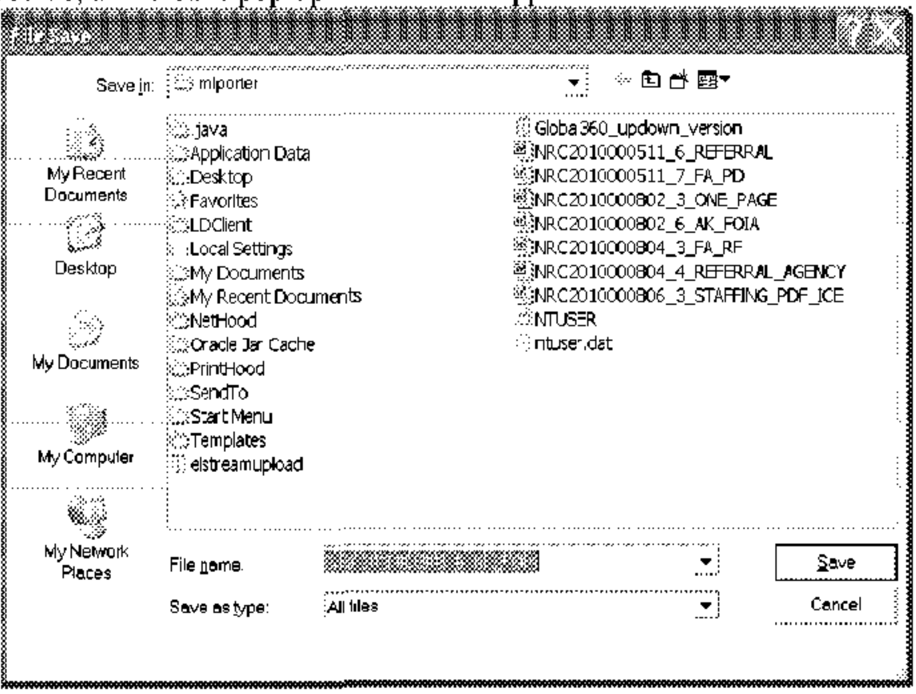
Since our example case does not require us to select any options, we will click on "Generate Letter." Our only option at that point is to click OK:


Case360 Home
FIPS v7.0 Training build 06
Work Queries
Actions
Standalone Search
Processing
Fee Information
OK

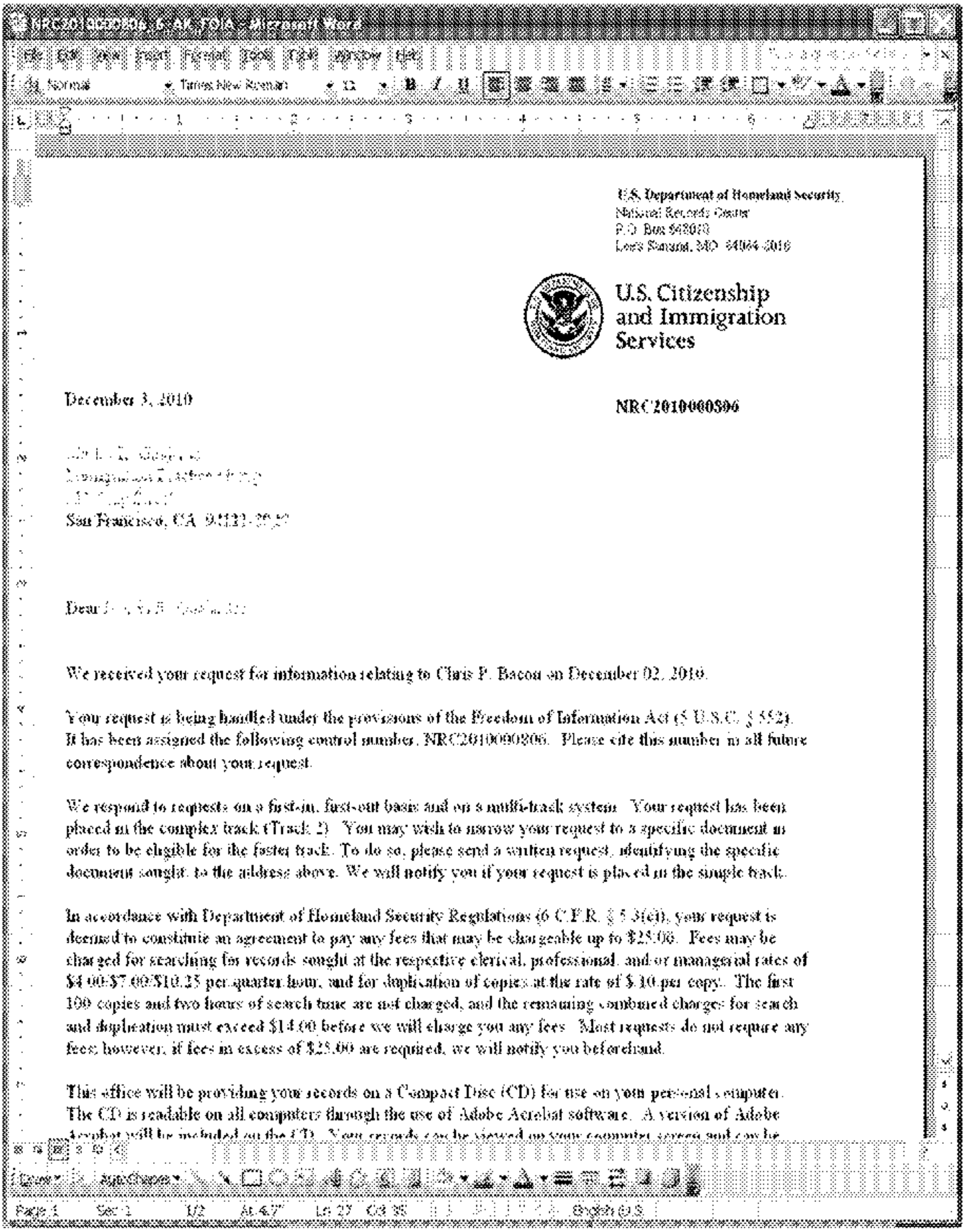
Successfully generated letter Acknowledgement Letter-FOIA.

Click on OK to continue.

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


File Save
Save in: mlporter
My Recent Documents
Desktop
My Documents
My Computer
My Network Places
.java
Application Data
Desktop
Favorites
LDClient
Local Settings
My Documents
My Recent Documents
NetHood
Oracle Jar Cache
PrintHood
SendTo
Start Menu
Templates
elstreamupload
Globa360_updown_version
NRC2010000511_6_REFERRAL
NRC2010000511_7_FA_PD
NRC2010000802_3_ONE_PAGE
NRC2010000802_6_AK_FOIA
NRC2010000804_3_FA_RF
NRC2010000804_4_REFERRAL_AGENCY
NRC2010000806_3_STAFFING_PDF_ICE
NTUSER
ntuser.dat
File name:
Save as type:
All files
Save
Cancel

The acknowledgment letter will pop up:



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

**NRC2010080806**

[illegible]
[illegible]
[illegible]
San Francisco, CA [illegible]

Dear [illegible]

We received your request for information relating to Chris P. Bacon on December 02, 2010.

Your request is being handled under the provisions of the Freedom of Information Act (5 U.S.C. § 552). It has been assigned the following control number: NRC2010080806. Please cite this number in all future correspondence about your request.

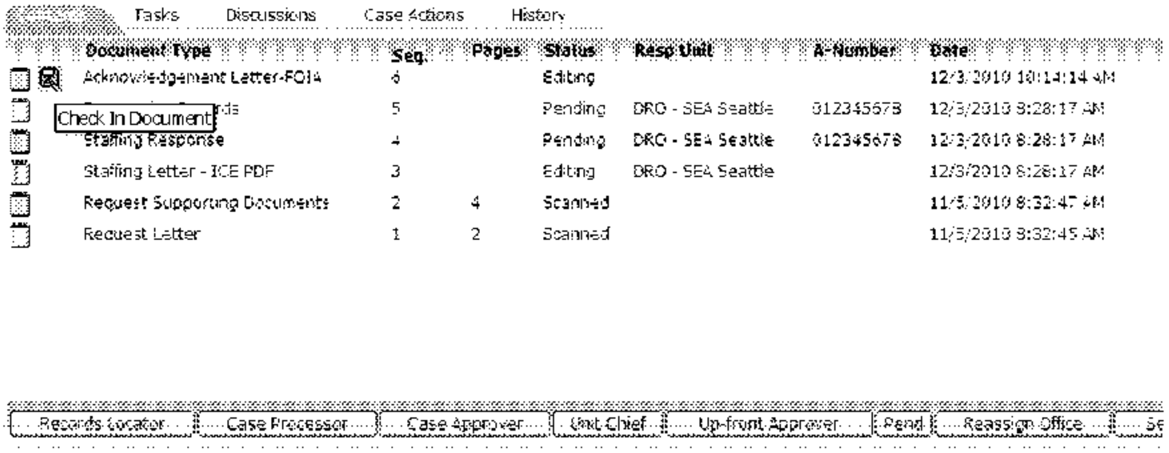
We respond to requests on a first-in, first-out basis and on a multi-track system. Your request has been placed in the complex track (Track 2). You may wish to narrow your request to a specific document in order to be eligible for the faster track. To do so, please send a written request, identifying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

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

This office will be providing your records on a Compact Disc (CD) for use on your personal computer. The CD is readable on all computers through the use of Adobe Acrobat software. A version of Adobe Acrobat will be included on the CD. Your records can be viewed on your computer screen and can be

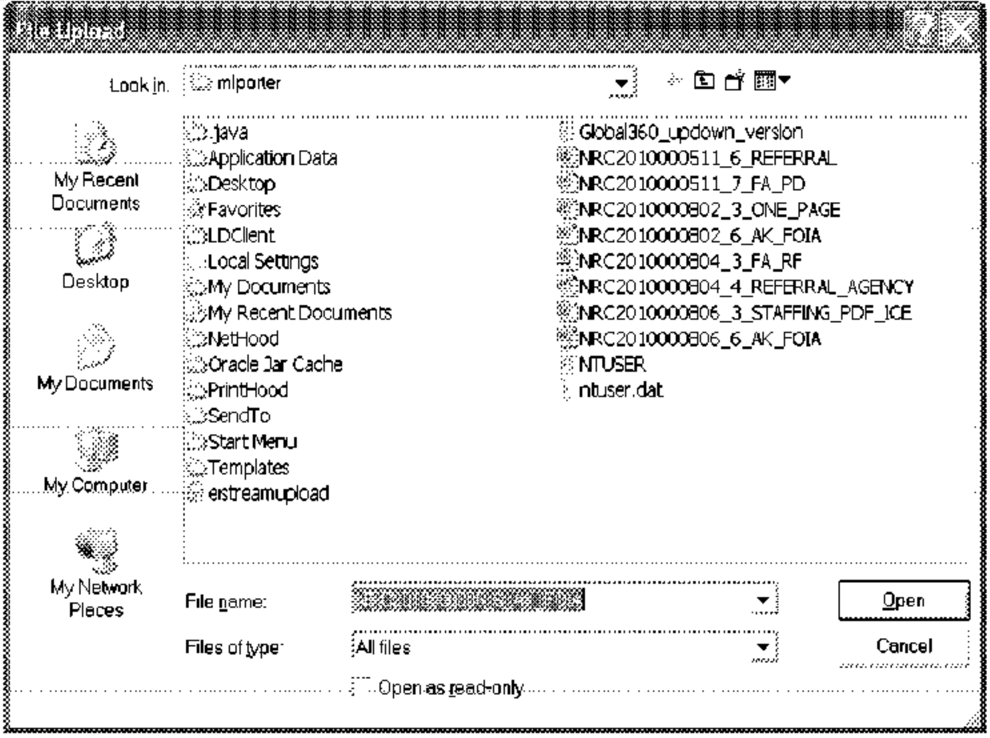
You may have some modifications to make to the letter. If it is a request for Specific Documents, please delete the words "Specific Doc Information" and specify what they are requesting. Word it as closely to their description as possible while maintaining proper grammar and punctuation.

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
Check In Document
Records Locator
Case Processor
Case Approver
Unit Chief
Up-front Approver
Pend
Reassign Office
Se

| Document Type | Seq. | Pages | Status | Resp Unit | A-Number | Date |
|---|---|---|---|---|---|---|
| Acknowledgement Letter-FOIA | 6 | | Editing | | | 12/3/2010 10:14:14 AM |
| rds | 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 |

Click "Open":


File Upload
My Recent Documents
Desktop
My Documents
My Computer
My Network Places
Open
Cancel
Open as read-only

Look in: mlporter

.java
Application Data
Desktop
Favorites
LDClient
Local Settings
My Documents
My Recent Documents
NetHood
Oracle Jar Cache
PrintHood
SendTo
Start Menu
Templates
estreamupload
Global360_updown_version
NRC2010000511_6_REFERRAL
NRC2010000511_7_FA_PD
NRC2010000802_3_ONE_PAGE
NRC2010000802_6_AK_FOIA
NRC2010000804_3_FA_RF
NRC2010000804_4_REFERRAL_AGENCY
NRC2010000806_3_STAFFING_PDF_ICE
NRC2010000806_6_AK_FOIA
NTUSER
ntuser.dat

File name:

Files of type: All files

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

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# 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 Government 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
- any time 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 Government 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 Requestor 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:

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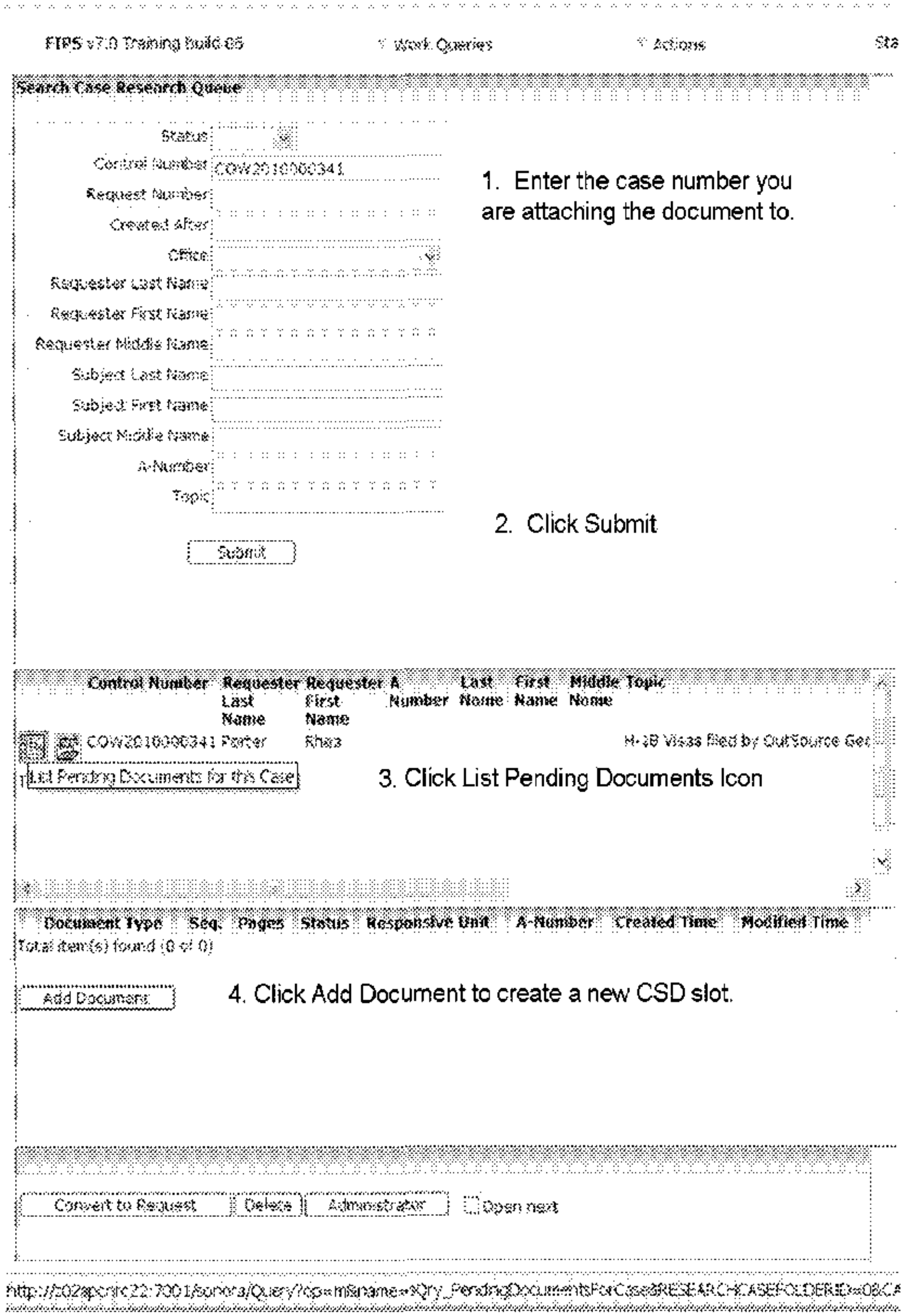
FIPS v7.0 Training Build 05
Work Queries
Actions
Sta
Search Case Research Queue
Status
Submit
Add Document
Convert to Request
Delete
Administrator
Open next

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 | A Number | Last Name | First Name | Middle Name | Topic |
|---|---|---|---|---|---|---|---|
| COW2010000341 | Porter | Rhea | | | | | H-1B Visas filed by OutSource Ge |

List Pending Documents for this Case

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.

http://s02apcnrc22:7001/Sonora/Query?op=m&name=XQry_PendingDocumentsForCase&RESEARCHCASEFOLDERID=0&CA

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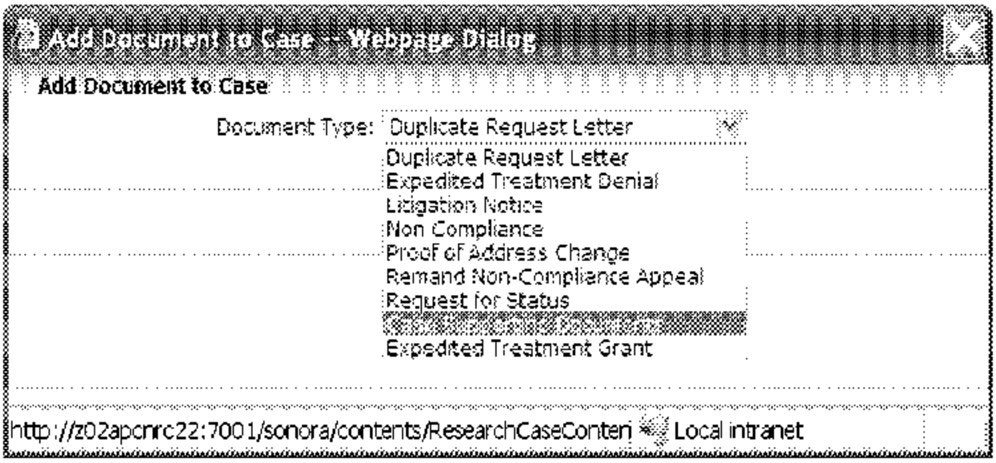
Add Document to Case -- Webpage Dialog
Add Document to Case
Duplicate Request Letter
Expedited Treatment Denial
Litigation Notice
Non Compliance
Proof of Address Change
Remand Non-Compliance Appeal
Request for Status
Expedited Treatment Grant
http://z02apcnrc22:7001/sonora/contents/ResearchCaseConten
Local intranet

Document Type: Duplicate Request Letter

## 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 Requestor documentation, CSD's, responsive records or certifications of identity to the OA room, write "Requestor 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)**

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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:

A. The original Final Action Letter and responsive records were mailed but the Requestor 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 Requestor receiving a broken CD.

C. The Requestor has either has a changed or new address; therefore, the records need to be re-printed and re-mailed to the Requestor. 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 FST **(NRC, NRCFOIAMSB)**

Send e-mails to the FST mailbox when you encounter an appeal in case create that was not previously addressed. See section 8.16

All e-mails to the FST mailbox should contain the control number, the A-Number or subject of the case, and specific instructions relating to the case.

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## 23.3FIPS PROBLEM

Send e-mails to **NRC, FIPSPROBLEM, NRC, FOIA PROGRAM, Tracy Bellisime and your supervisor**:

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, FIPSPROBLEM, NRC, FOIA PROGRAM, Tracy Bellisime and your supervisor.**
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 **FIPSPROBLEM, NRC, FOIA PROGRAM, Tracy Bellisime and your supervisor** 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.

- Are you teleworking or at the office?
- Temporarily: What operating system are you using? XP or Win7?
- What is your cube number?
- What is you 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)?

# 24. E-MAIL TO CUSTOMERS

If necessary, send a message to the NRC, NRCFOIAMSB outlining what we need to say. The FST supervisor will generate the e-mail to the Requestor and transmit. Include all information in the e-mail that the FST supervisor will need in order to be able to send the e-mail. Put a Discussion in FIPS outlining your request to FST. If you are asking for more information from the Requestor, create a slot in the case in FIPS to ensure that the case will close out automatically if no response is received from the Requestor.

# 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 Requestor 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.

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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.
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 Requestor 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:

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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:

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This is mail sent directly to NRC from Requestors, 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)
- Requestor 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.

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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 Requestor 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 Government 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 Requestor documentation / additional information

This consists of documents or more information that we have asked the Requestor/subject to provide. When the information is received it is scanned into the Requestor documentation slot. Use the additional information provided to continue creating the case. If the Requestor/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 12.18.6, *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 Requestor failed to reply within the time allotted - unless it is our fault. An example of our fault would be they sent back the Requestor 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 Requestor a letter advising them that their case has been closed as a FC. If the Requestor 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 Requestor 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 16b, FC (Failure to Comply) Case Closings and if needed NR, No Record section 12.18.6*

### 25.2.3 Request for change of address

If you receive a Form AR-11 or other correspondence from an alien wanting to submit a change of address, forward the original letter and enclosures to the following address:

U.S. Department of Homeland Security
Bureau of Citizenship and Immigration
Change of Address
PO Box 7134
London, KY 40742-7134

**For commercial overnight or fast freight services only:**

U.S. Department of Homeland Security
Bureau of Citizenship and Immigration
Change of Address
1084-I South Laurel Road
London, KY 40744

### 25.2.4 Status letters

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

From www.uscis.gov, click on the "Check your Case Status" icon.

Clicking the icon mentioned above will take you to the "My Case Status" page. Enter the Control or Receipt number, and click "Check Status."

The online 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.

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If the request was processed or closed within the last six months the Requestor 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 Requestor 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 Requestor accurate information. In order to better serve our customers Teams should paste in the online 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 status check. Do not provide status to the Requestor 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.

Note: The Status Letter will always state the track as "Track One." If you are not processing a Track one case, please make sure you change the track.

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 Requestor 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.

If you are closing a case WD or FC and there is a FOIA Safe Staffing, please send an e-mail to NRC, FOIASafe. The classified files POC will keep the files in the FOIA Safe until the case is closed. Once notified the file is no longer needed, he or she will return the file to the original FCO.

### 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 FST, 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 Requestor.

## 27. VIDEO REPRODUCTION

As responsive records are scanned into FIPS; when the scanner encounters any type of media, they forward the alien file to FST when their scanning is complete. The FST 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 FST mailbox with the case number and the page(s) number where the media can be located. FST will pull the media and process/make any necessary redactions. The media will be mailed to the Requestor separately.

## 28. CONGRESSIONAL REQUESTS AND APPEALS

Most FOIA/PA requests with congressional correspondence are written on behalf of a constituent and are actually a FOIA/PA request for an individual's records. These cases should also have an instruction sheet from Congressional, NRC. Simply create the case according to the directions. If you open a case with congressional correspondence, but there is no instruction sheet, please create the case as you normally create any other case, including staffing for the file and creating the acknowledgment letter or final action letter. After you have created the acknowledgment letter and staffing, or the final action letter, as appropriate, please send an e-mail to Congressional, NRC. The subject of the e-mail should be "Congressional Correspondence and the body of the e-mail should be the control number. Please CC your supervisor. Next, create a discussion entitled "Congressional Inquiry" and state in the comment field that you have sent an e-mail to Congressional, NRC. Finally, pend the case.
However, true congressional requests are requests from a congressman or senator for information which usually does not relate to an alien file or receipt file. The case should have an instruction sheet from Congressional, NRC. SIG processes true congressional requests. Simply create the case according to the directions and pend the case.

## 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

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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 needed to verify the correct file (please refer to section 32.7)
- Requestor 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)
- Requestor writes to request the record on paper (please refer to section 32.12)
- Requestor 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 Requestor 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 is needed from the requestor/subject. You will have to create another Acknowledgement Letter and check the other documentation box. The Requestor Documentation Attachment will automatically be added to the Acknowledgement Letter. Check the boxes required and pend the case for Requestor 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.

If the request was for specific documents, please remember to add the specific documents sentence to the new acknowledgement letter the same as in the original acknowledgement letter. If the specific document information sentence was done incorrectly in the original acknowledgment letter, please add an appropriate specific document information sentence to the new acknowledgment letter. That sentence gives us our legal basis for providing only the specific document requested. It also gives the Requestor an opportunity to clarify if the request was poorly worded or if we misunderstood. If we do not add the specific document information sentence to the new acknowledgment letter, the processor must process the entire file.

**32.8 If we have received pending Requestor Documentation:** Review the information provided. If the Requestor/subject adequately provided the requested PII and/or certification of agreement, request the file.

**32.8.1 The Requestor/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, please 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 16b, Failure to Comply Case Closings.

**32.8.2 The Requestor/subject may not return the VOI or certification of agreement 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 three versions of the FC letter:

O:\Foia\FOIA_LIBRARY\Case_Create_References\Case_Create_References_G-639_Unperfected Letter_for_3-31-2015 or
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 certification of agreement is returned but the Requestor says he or she is a third party Requestor** (they have no relationship to the subject of the record and cannot or will not get certification of agreement), do not request the file.

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Create a Discussion with your findings and close as TD. Please refer to section 16a, TD (total denial) CASE CLOSINGS.

**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, FOIA PROGRAM, and Tracy Bellisime and ask that the wrong records be removed.

**32.9.2 Did the Requestor 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 Requestor. 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, FOIA PROGRAM, and Tracy Bellisime and ask them to move the responsive records 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.

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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 you are creating a case and the receipt is located at the NVC, do not redirect to the NVC. Have the screen prints of the receipt scanned in as responsive records. Make sure the track is TRACK I.

32.11.2 If the receipt file is marked Lost, File Destroyed, File Cannot Locate, or Rejected, please refer to section 12.18.14, *Receipt files; Lost receipt file, File destroyed, File cannot locate or File Rejected..*

**32.12 Paper.** If a Requestor 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

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**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 Requestor is narrowing the scope of their request from a Track 2 case to a Track 1 case. Prepare a status letter and advise the Requestor that their case is now on the simple track.

**34.2** The Requestor 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 Requestor that their case is now in the complex track.

**34.3** The Requestor 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 Requestor 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. If this occurs, send an email to NRC, FIPSPROBLEM, copy NRC, FOIA Program, Tracy Bellisime and your supervisor. Please insert a Discussion explaining the problem and send the case to Unit Chief.

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 so that the problem can be resolved.

## 36. Deleted

## 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 FST. 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 FST.

## 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.

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## 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. FST DIRECTED PROJECTS

Occasionally, FST may have special projects that require your assistance.

FST paralegals must receive prior approval from a supervisor before approaching any member of the team member for assistance on such projects.

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

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# APPENDIX A: PHONE NUMBERS

| | |
|---|---|
| NRC/FOIA Fax: | 816-350-5785, 5786, 5787 |
| ILD Incoming Call Line: | 816-350-5560 |
| Human Resource Office: | 816-350-5661 |
| CIS Forms: | |
| By Phone: | 1-800-870-3676 |
| Website: | www.uscis.gov |
| 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
90 K Street, NE, 9th Floor
Washington, DC 20229-1181
MAILING ADDRESS OF ICE:

Immigration and Customs Enforcement
Freedom of Information Act Office
800 North Capitol Street, 5th Floor, Suite 585
Washington, DC 20536

MAILING ADDRESS OF NATIONAL VISA CENTER:

U.S. Department of State
Attn: Sheryl Walter
Office of Information Programs & Services, SA-2
A/GIS/IPS/RL/RC
515 22nd Street, NW
Washington, DC 20522-8001

MAILING ADDRESS FOR APPEALS

DHS, USCIS, NRC
FOIA Appeals Office
150 Space Center Loop, Suite 500
Lee's Summit, MO 64064-2139

# 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 – Asunción (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)

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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)

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 (Haïti)

PTS – Port of Spain (Trinidad & Tobago)

RDJ – Rio de Janeiro (Brasil)

RID – Riyadh (Saudí Arabia)

RKJ – Reykjavik (Iceland)

RNG – Rangoon (Burma)

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SAA – Sana'a (Yemen)

SAR – Sarajevo (Bosnia & Herzegovina)

SDO – Santo Domingo (Dominican Republic)

SEO – Seoul (Korea)

SGP – Singapore

SKO – Skopje (Macedonia)

SNJ – San José (Costa Rica)

SNS – San Salvador (El Salvador)

SNT – Santiago (Chile)

SOF – Sofia (Bulgaria)

STK – Stockholm (Sweden)

SUV – Suva (Fiji)

SYD – Sydney (Australia)

TAI – Taipei

TAL – Tallinn (Estonia)

TBL – Tbilisi (Georgia)

TGG – Tegucigalpa (Honduras)

THT – Tashkent (Uzbekistan)

TIA – Tirana (Albania)

TKY – Tokyo (Japan)

TLV – Tel Aviv (Israel)

TNS – Tunis (Tunisia)

VAC – Vancouver (Canada)

VNN – Vienna (Austria)

VNT – Vientiane (Laos)

WRW – Warsaw (Poland)

YDE – Yaounde (Cameroon)

YRV – Yerevan (Armenia)

ZGB – Zagreb (Croatia)

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# APPENDIX D: CASE CLOSING CODES

PD – The case has been processed, responsive records were released in part.

G1 – The case has been processed, responsive records were released in full.

DP – The case was closed as a duplicate of another case.

ER – Created in error (see 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 16b).

FP – Cases close failure to pay when Requestors fail to submit payment.

RD – Advise Requestor to contact another government agency to acquire records. We tell the Requestor whom they should contact to obtain records responsive to their request.

RF – Cases forwarded to DHS components. We tell the Requestor the name of the agency we referred their request to.

TD – Total Denial (see section 16a).

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# APPENDIX E: FORMS

www.uscis.gov

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

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

| Title | Form Number |
|---|---|
| Waiver of Rights, Privileges, Exemptions and Immunities (Under Section 247(b) of the INA) | I-508 |
| Waiver of Rights, Privileges, Exemptions, and Immunities | I-508F |
| Immigrant Petition by Alien Entrepreneur | I-526 |
| Application To Extend/Change Nonimmigrant Status | I-539 |
| For persons seeking V nonimmigrant status while in the United States or extension of V status. | I-539, Supplement A |
| Interagency Record of Request – A, G or NATO Dependent Employment Authorization or Change/Adjustment to/from A, G or NATO Status | I-566 |
| Application for Asylum and Withholding of Removal | I-589 |
| Petition to Classify Orphan as an Immediate Relative | I-600 |
| Application for Advance Processing of Orphan Petition | I-600A |
| Application for Waiver of Ground of Inadmissibility | I-601 |
| Application By Refugee For Waiver of Grounds of Excludability | I-602 |
| Application for Waiver of the Foreign Residence Requirement (under Section 212(e) of the Immigration and Nationality Act, as Amended) | I-612 |
| Health and Human Services Statistical Data for Refugee/Asylee Adjusting Status | I-643 |
| Application for Status as a Temporary Resident Under Section 245A of the Immigration and Nationality Act | I-687 |
| Application for Waiver of Grounds of Inadmissibility Under Sections 245A or 210 of the Immigration and Nationality Act | I-690 |
| Report of Medical Examination and Vaccination Record | I-693 |
| Notice of Appeal of Decision Under Sections 245A or 210 of the Immigration and Nationality Act | I-694 |

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| Title | Form Number |
|---|---|
| Application to Adjust Status from Temporary to Permanent Resident (Under Section 245A of Public Law 99-603) | I-698 |
| Refugee/Asylee Relative Petition | I-730 |
| Petition to Remove the Conditions of Residence | I-751 |
| Application for Employment Authorization | I-765 |
| Application for Replacement of Northern Mariana Card | I-777 |
| Petition to Classify Convention Adoptee as an Immediate Relative | I-800 |
| Application for Determination of Suitability to Adopt a Child from a Convention Country | I-800A |
| Application for Family Unity Benefits | I-817 |
| Application for Temporary Protected Status | I-821 |
| Application for Action on an Approved Application or Petition | I-824 |
| Petition by Entrepreneur to Remove Conditions | I-829 |
| Inter-Agency Alien Witness and Informant Record | I-854 |
| Affidavit of Support Under Section 213A of the Act | I-864 |
| Contract Between Sponsor and Household Member | I-864A |
| Affidavit of Support Under Section 213A of the Act | I-864EZ |
| Poverty Guidelines | I-864P |
| Intending Immigrant's Affidavit of Support Exemption | I-864W |
| Sponsor's Notice of Change of Address | I-865 |
| Application for Suspension of Deportation or Special Rule Cancellation of Removal (Pursuant to Section 203 of Public Law 105-100 (NACARA)) | I-881 |

| Title | Form Number |
|---|---|
| Employment Eligibility Verification | I-9 |
| Application to Replace Permanent Resident Card | I-90 |
| Application for Authorization to Issue Certification for Health Care Workers | I-905 |
| Request for Premium Processing Service | I-907 |
| Application for T Nonimmigrant Status | I-914 |
| Petition for U Nonimmigrant Status | I-918 |
| Petition for Qualifying Family Member of a U-1 Nonimmigrant | I-929 |
| Application to File Declaration of Intention | N-300 |
| Request for a Hearing on a Decision in Naturalization Proceedings (Under Section 336 of the INA) | N-336 |
| Monthly Report Naturalization Papers | N-4 |
| Application for Naturalization | N-400 |
| Request for Certification of Military or Naval Service | N-426 |
| Application to Preserve Residence for Naturalization Purposes | N-470 |
| Application for Replacement Naturalization/Citizenship Document | N-565 |
| Application for Certificate of Citizenship | N-600 |
| Application for Citizenship and Issuance of Certificate under Section 322 | N-600K |
| Application for Posthumous Citizenship | N-644 |
| Medical Certification for Disability Exceptions | N-648 |

# APPENDIX F: USEFUL ACRONYMS

| | |
|---|---|
| AAPM | Affirmative Asylum Procedures Manual |
| ABC | American Baptist Churches |
| ACLU | American Civil Liberties Union |
| ACPA | Assistant Chief Patrol Agent |
| ADDE | Assistant District Director for Examinations |
| ADDD | Assistant District Director for Deportation |
| ADDI | Assistant District Director for 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 |
| BCAA | Background Check and Adjudicative Assessment |
| BCIC | Border Crossing Identification Card |
| BCC | Border Crossing Card |
| BCIS | Bureau of Citizenship and Immigration Services |
| Bene | Beneficiary |
| 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 |
| BORSTAR | Border Patrol Search, Trauma and Rescue team |
| 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 |

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| | |
|---|---|
| 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 |
| 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 |
| 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 |
| DRO | Detention and Removal Office |
| EABM | Enforce Apprehension Booking Module |
| EAC | Eastern Adjudications Center |
| EAD | Employment Authorization Document |
| EAP | Employee Assistance Program |
| EARM | Enforce Alien Removal Module |
| ECN | Enterprise Collaborative Network |
| EDMS | Enterprise Document Management System |
| EEOC | Equal Employment Opportunity Commission |
| EEV | Employment Eligibility Verification |
| EFF | Electronic Frontier Foundation |
| EFOIA | Electronic Freedom of Information Act (initiative) |
| EIR | Entrepreneur in Residence |
| 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 |
| 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 |

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| | |
|---|---|
| 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 |
| FST | FOIA Support Team |
| 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 |
| GIS | Government Information Specialist |
| 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 |
| 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 |

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| | |
|---|---|
| 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 or 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 |
| NARA | National Archives and Records Administration |
| NBC | National Benefits Center |
| NCIC | National Crime Information Center |

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| | |
|---|---|
| NCJRS | National Criminal Justice Reference Service |
| NFTS | National File Tracking System |
| NIIS | Non-immigrant Information System |
| NLETS | National Law Enforcement Telecommunications System |
| NLRB | National Labor Relations Board |
| NOID | Notice of Intent to Deny |
| NQP | Naturalization Quality Procedures |
| 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 | Significant or 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 |
| US-VISIT | United States Visitor and Immigrant Status Indicator Technology |
| UT | Unable to locate (we know a record exists, but it is lost) |
| VA | Department of Veterans Affairs |

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| | |
|---|---|
| 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 |
| WA/NTA | Warrant for Arrest/Notice to Appear |
| 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 certification of agreement 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 certification of agreement 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 Requestor** - 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 that are provided for the use of Requestors 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 certification of agreement unless the attorney or representative has inserted the penalty of perjury statement and the subject of the file has signed the document.

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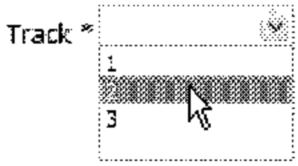
- G-639 Freedom of Information/Privacy Act Request – This form can be used to make a FOIA/PA request. When completed it provides enough information to complete an extensive search for records.

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

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

**Track Drop-Down List**



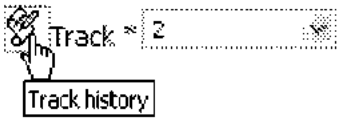
- Track 1 is used for the less complex cases. These are cases where only one Two or three. specific documents are being requested from the file.

- 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.

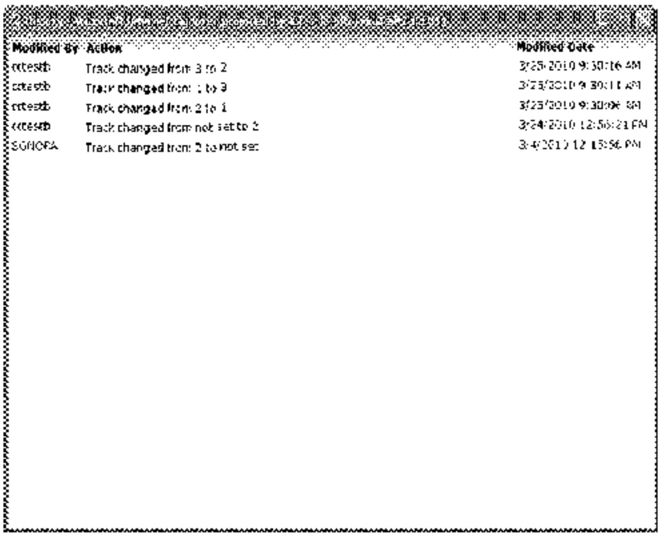
To view the track history of the active case, click the **Track history** icon next to the Track drop-down list.

**Track History Icon**



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

## Track History Displayed



| Modified By | Action | Modified Date |
|---|---|---|
| cctestb | Track changed from 3 to 2 | 3/25/2010 9:30:16 AM |
| cctestb | Track changed from 1 to 3 | 3/25/2010 9:30:11 AM |
| cctestb | Track changed from 2 to 1 | 3/25/2010 9:30:06 AM |
| cctestb | Track changed from not set to 2 | 3/24/2010 12:56:21 PM |
| SONORA | 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 Requestor 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 Requestor. 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 certification of agreement 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.

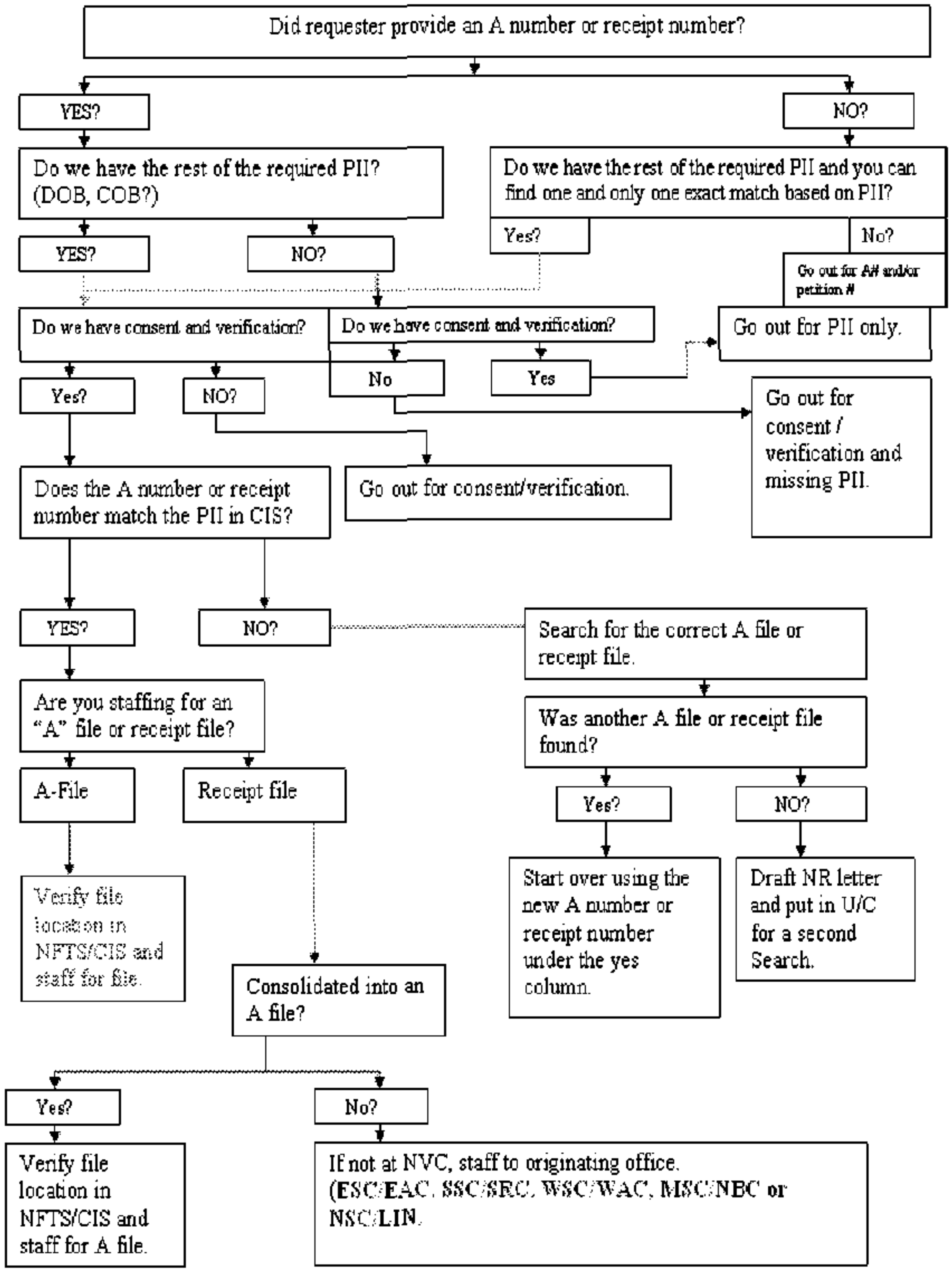
**Third Agency** - Other administrative agencies of the Executive Branch of the Federal government, including other components of DHS.

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

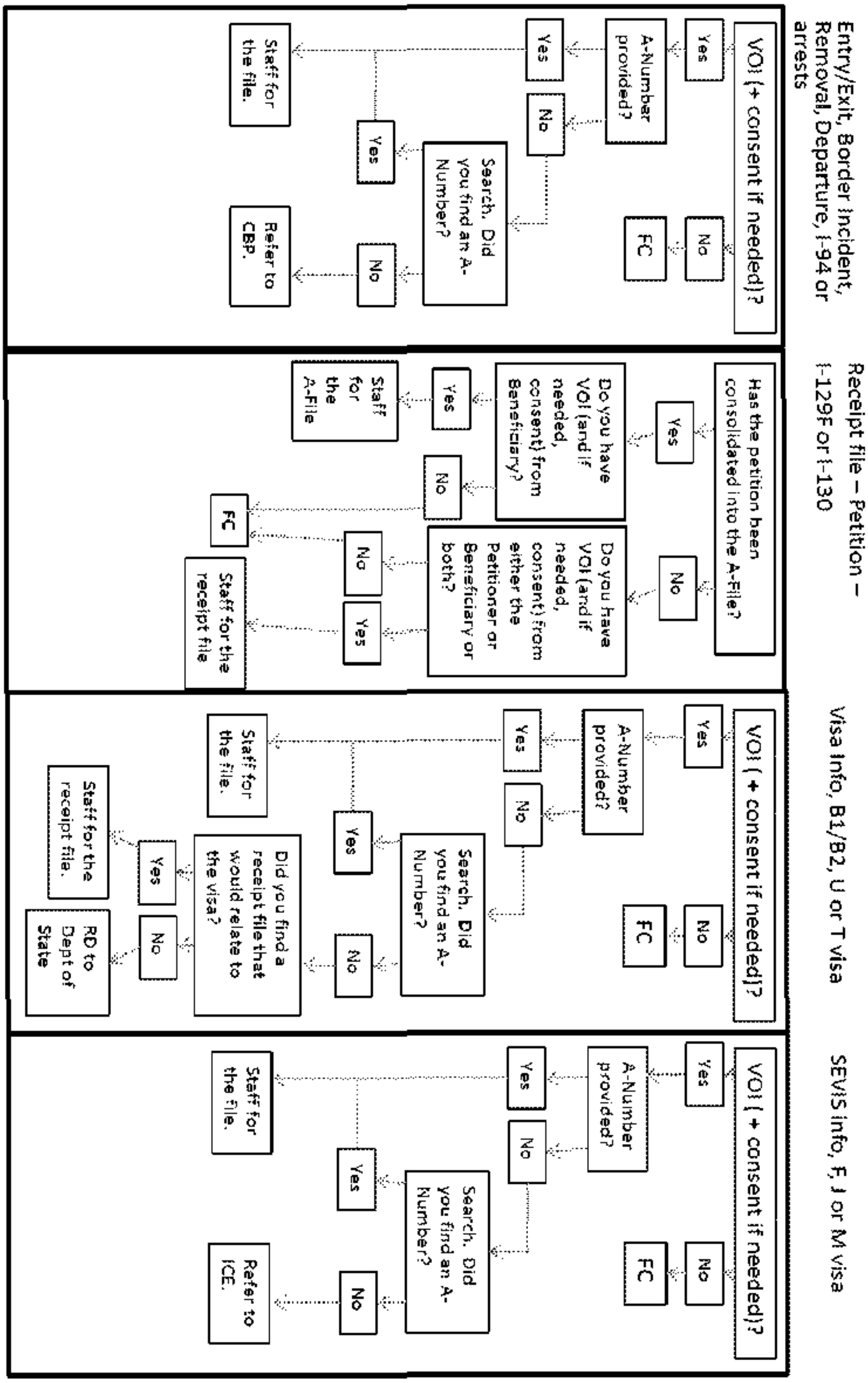
**White House Inquiries** - An official request from any member of the White House staff, or letters of the President forwarded to the agency for response.

# APPENDIX H: CASE CREATE FLOW CHARTS

## Case Create Flow Chart for All my records.


Did requester provide an A number or receipt number?
YES?
NO?
Do we have the rest of the required PII? (DOB, COB?)
Do we have the rest of the required PII and you can find one and only one exact match based on PII?
YES?
NO?
Yes?
No?
Go out for A# and/or petition #
Do we have consent and verification?
Do we have consent and verification?
Go out for PII only.
Yes?
NO?
No
Yes
Go out for consent / verification and missing PII.
Does the A number or receipt number match the PII in CIS?
Go out for consent/verification.
YES?
NO?
Search for the correct A file or receipt file.
Are you staffing for an "A" file or receipt file?
Was another A file or receipt file found?
A-File
Receipt file
Yes?
NO?
Verify file location in NFTS/CIS and staff for file.
Start over using the new A number or receipt number under the yes column.
Draft NR letter and put in U/C for a second Search.
Consolidated into an A file?
Yes?
No?
Verify file location in NFTS/CIS and staff for A file.
If not at NVC, staff to originating office. (ESC/EAC, SSC/SRC, WSC/WAC, MSC/NBC or NSC/LIN.

# Case Create Flow Chart for Specific Docs


Entry/Exit, Border Incident, Removal, Departure, I-94 or arrests
VOI (+ consent if needed)?
Yes
No
FC
A-Number provided?
Yes
No
Staff for the file.
Search. Did you find an A-Number?
Yes
No
Refer to CBP.
Receipt file – Petition – I-129F or I-130
Has the petition been consolidated into the A-File?
Yes
No
Do you have VOI (and if needed, consent) from Beneficiary?
Yes
No
Staff for the A-File
FC
Do you have VOI (and if needed, consent) from either the Petitioner or Beneficiary or both?
No
Yes
Staff for the receipt file
Visa Info, B1/B2, U or T visa
VOI (+ consent if needed)?
Yes
No
FC
A-Number provided?
Yes
No
Staff for the file.
Search. Did you find an A-Number?
Yes
No
Did you find a receipt file that would relate to the visa?
Yes
No
Staff for the receipt file.
RD to Dept of State
SEVIS Info, F, J or M visa
VOI (+ consent if needed)?
Yes
No
FC
A-Number provided?
Yes
No
Staff for the file.
Search. Did you find an A-Number?
Yes
No
Refer to ICE.

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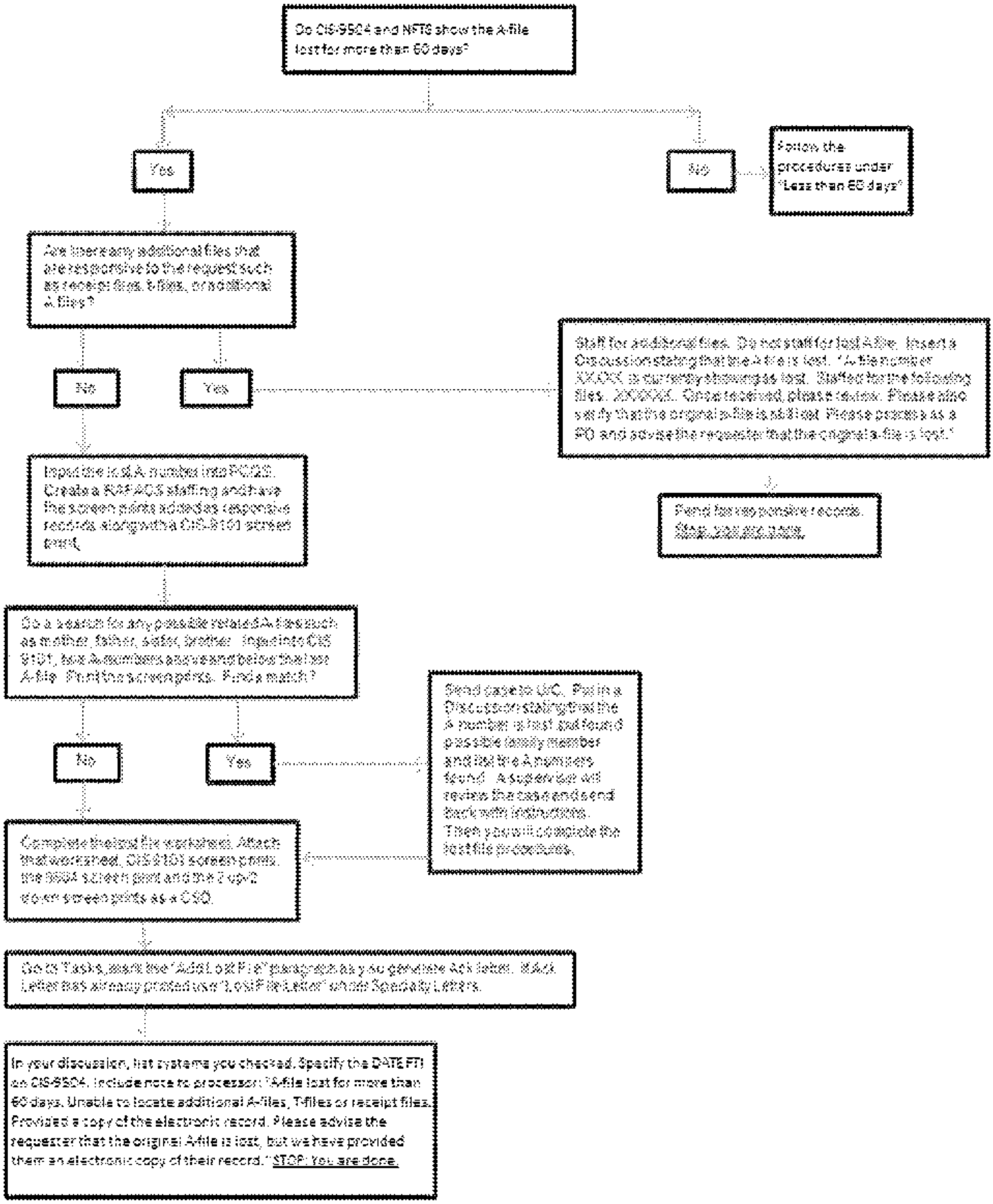
# LOST FILE FLOWCHART - MORE THAN 60 DAYS



Do CIS-9504 and NFTS show the A-file lost for more than 60 days?

Follow the procedures under "Less than 60 days"

Are there any additional files that are responsive to the request such as receipt files, t-files, or additional A-files?

Staff for additional files. Do not staff for lost A-file. Insert a Discussion stating that the A-file is lost. "A-file number XXXXX is currently showing as lost. Staffed for the following files: XXXXX. Once received, please review. Please also verify that the original A-file is still lost. Please process as a PO and advise the requester that the original A-file is lost."

Pend for responsive records. Stop, you are done.

Input the lost A-number into PCQS. Create a RAFACS staffing and have the screen prints added as responsive records along with the CIS-9101 screen print.

Do a search for any possible related A-files such as mother, father, sister, brother. Input into CIS 9101, look A-numbers above and below the lost A-file. Print the screen prints. Find a match?

Send case to LIC. Put in a Discussion stating that the A-number is lost and found possible family member and list the A-numbers found. A supervisor will review the case and send back with instructions. Then you will complete the lost file procedures.

Complete the lost file worksheet. Attach that worksheet, CIS-9101 screen prints, the 9504 screen print and the 2 up/2 down screen prints as a CSO.

Go to Tasks, mark the "Add Lost File" paragraph as you generate Ack letter. If Ack Letter has already printed use "Lost File Letter" under Specialty Letters.

In your discussion, list systems you checked. Specify the DATE FTI on CIS-9504. Include note to processor: "A-file lost for more than 60 days. Unable to locate additional A-files, T-files or receipt files. Provided a copy of the electronic record. Please advise the requester that the original A-file is lost, but we have provided them an electronic copy of their record." STOP: You are done.

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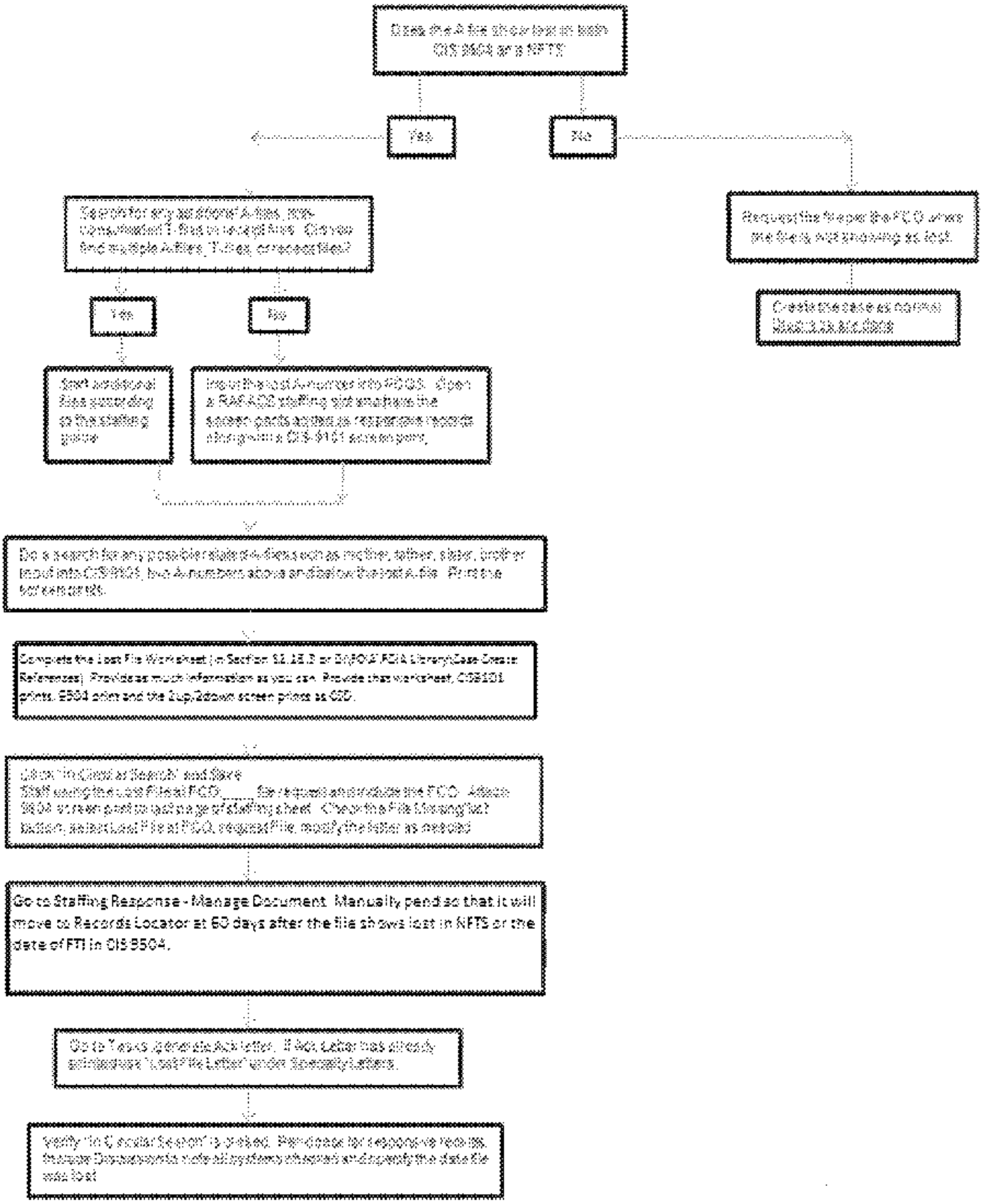
Updated on March 28, 2016

# LOST FILE FLOWCHART - LESS THAN 60 DAYS


Does the A-file show lost in both CIS 9504 and NFTS?
Yes
No
Search for any additional A-files, non-consolidated T-files or receipt files. Did you find multiple A-files, T-files, or receipt files?
Request the file per the FCO where the file is not showing as lost.
Create the case as normal.
Yes
No
Start additional files according to the staffing guide
Input the lost A-number into FOCS. Open a RAFACS staffing slot and save the screen prints as responsive records along with a CIS-9101 screen print.
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.
Complete the Lost File Worksheet (in Section S2.18.2 or D:\FOIA\FOIA Library\Case Create References). Provide as much information as you can. Provide that worksheet, CIS9101 prints, 9504 print and the 2up/2down screen prints as CID.
Click "In Clear as Search" and Save
Staff using the Lost File at FCO ____ file request and route the FCO. Attach 9504 screen print to last page of staffing sheet. Check the File Missing/lost button, select Lost File at FCO, request File, modify the letter as needed
Go to Staffing Response - Manage Document. Manually pend so that it will move to Records Locator at 60 days after the file shows lost in NFTS or the date of FTI in CIS 9504.
Go to Tasks, generate Ack letter. If Ack Letter has already printed use "Lost File Letter" under Specialty Letters.
Verify "In Circular Session" is checked. Pend case for responsive records. In Manage Documents note all systems checked and specify the date file was lost

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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** |

# 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.**

# APPENDIX I: ALIEN NUMBER ASSIGNMENT

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| CLASSIFICATION | TYPE OF NUMBER ISSUED | STARTING NUMBER | ENDING NUMBER |
|---|---|---|---|
| ISSUED PRE-1960 | PHYSCIAL FILES | A 001-000-000 | A 011-999-999 |
| ADJUSTMENTS | PHYSCIAL FILES | A 012-000-000 | A 014-999-999 |
| CREWMAN | PHYSCIAL FILES | A 015-000-000 | A 016-999-999 |
| ADJUSTMENTS | PHYSCIAL FILES | A 017-000-000 | A 029-999-999 |
| VISA (STATE DEPT) | PHYSCIAL FILES | A 030-000-000 | A 069-999-999 |
| ADJUSTMENTS | PHYSCIAL FILES | A 070-000-000 | A 070-491-200 |
| FAMILY FAIRNESS | PHYSCIAL FILES | A 070-491-201 | A 070-503-200 |
| ADJUSTMENTS | PHYSCIAL FILES | A 070-503-201 | A 070-527-200 |
| FAMILY FAIRNESS | PHYSCIAL FILES | A 070-527-201 | A 070-987-200 |
| ADJUSTMENTS | PHYSCIAL FILES | A 070-987-201 | A 077-536-951 |
| KOSOVO | PHYSCIAL FILES | A 077-536-952 | A 077-537-451 |
| ADJUSTMENTS | PHYSCIAL FILES | A 070-537-452 | A 079-999-999 |
| BORDER APPREHENSIONS | ELECTRONIC ONLY | A 080-000-000 | A 086-899-999 |
| ADJUSTMENTS | PHYSCIAL FILES | A 086-900-000 | A 089-999-999 |
| LEGALIZATION | PHYSCIAL FILES | A 090-000-000 | A 093-999-999 |
| TEMPORARY PROTECTIVE STATUS (TPS) | PHYSCIAL FILES | A 094-000-000 | A 094-250-500 |
| TEMPORARY PROTECTIVE STATUS (TPS) | PHYSCIAL FILES | A 094-328-751 | A 094-334-250 |
| HURRICANE MITCH | PHYSCIAL FILES | A 094-250-501 | A 094-328-750 |
| HURRICANE MITCH | PHYSCIAL FILES | A 094-334-251 | A 094-364-250 |
| TEMPORARY PROTECTIVE STATUS (TPS) | PHYSCIAL FILES | A 094-364-251 | A 094-399-500 |
| KOSOVO | PHYSCIAL FILES | A 094-399-501 | A 094-404-750 |
| TEMPORARY PROTECTIVE STATUS (TPS) | PHYSCIAL FILES | A 094-404-751 | A 094-500-000 |
| KOSOVO | PHYSCIAL FILES | A 094-502-001 | A 094-527-000 |
| TEMPORARY PROTECTIVE STATUS (TPS) | PHYSCIAL FILES | A 094-750-000 | A 095-099-999 |
| NSC ORPHANS | PHYSCIAL FILES | A 094-500-001 | A 094-502-000 |
| NSC ORPHANS | PHYSCIAL FILES | A 094-527-001 | A 094-528-000 |
| REFUGEES | PHYSCIAL FILES | A 094-528-001 | A 094-638-000 |

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| CLASSIFICATION | TYPE OF NUMBER ISSUED | STARTING NUMBER | ENDING NUMBER |
|---|---|---|---|
| | | | |
| REFUGEES | PHYSCIAL FILES | A 094-628-001 | A 094-749-999 |
| | | | |
| ADJUSTMENTS | PHYSCIAL FILES | A 095-100-000 | A 096-749-999 |
| | | | |
| LIFE ACT | PHYSCIAL FILES | A 096-750-000 | A 096-999-999 |
| | | | |
| ADJUSTMENTS | PHYSCIAL FILES | A 097-000-000 | A 098-099-999 |
| | | | |
| ADJUSTMENTS | PHYSCIAL FILES | A 098-100-000 | A 099-099-999 |
| | | | |
| ADJUSTMENTS | PHYSCIAL FILES | A 099-100-000 | A 099-299-999 |
| | | | |
| ADJUSTMENTS | PHYSCIAL FILES | A 099-300-000 | A 099-999-999 |
| | | | |
| EMPLOYMENT AUTHORIZATION DOCUMENT (EAD) | ELECTRONIC ONLY | A 100-000-000 | A 199-999-999 |
| | | | |
| ADJUSTMENTS | PHYSCIAL FILES | A 200-000-000 | A 203-999-999 |
| | | | |
| NOT ISSUED | NOT ISSUED | A 204-000-000 | A 2049-999-999 |
| | | | |
| ADJUSTMENTS | PHYSCIAL FILES | A 205-000-000 | A 205-999-999 |
| | | | |
| NOT ISSUED | NOT ISSUED | A 206-000-000 | A 209-000-000 |
| | | | |
| ADJUSTMENTS | PHYSCIAL FILES | A 210-000-000 | A 211-999-999 |
| | | | |
| REFUGEES | PHYSCIAL FILES | A 212-000-000 | A 212-399-999 |
| | | | |
| ADJUSTMENTS | NOT ISSUED | A 212-400-000 | A 299-999-999 |
| | | | |
| NOT ISSUED | NOT ISSUED | A 300-000-000 | A 300-299-999 |
| | | | |
| ADJUSTMENT | PHYSCIAL 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 offices issuing such cards.

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

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

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

**VISA (STATE DEPT):** DoS is electronically assigned 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 Requestor 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, Requestor documents, or track changes) to the Research queue.

3. Make sure we have valid certification of agreement, and VOI (DOB and COB). If not, close as TD or 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 Requestor 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 the whole 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.

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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 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, except in asylum or refugee cases. You must add the specific language on the request (or as close as possible to their language) to the acknowledgment letter if it is a request for Specific Documents.

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. The only time you do not have to create a Discussion is when you have all VOI and certification of agreement, it's a straightforward request, an ordinary staffing, there are no unusual circumstances, and you pend for responsive records. Any other time, 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-

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mailed supervisor to move to proper queue". Discussions are the first thing a supervisor reads and they should immediately be able to tell what actions have been taken in the case and what issue needs to be addressed.

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

(showing revisions after September 28, 2015)

# October 23, 2015

**We have updated** section 8.13 REQUESTS: Inmate in Federal Custody of the FOIA/PA Assistants Guide as follows (new information in red):

## 8.13 REQUESTS: Inmate in Federal Custody

The Bureau of Prisons (BOP), an agency of the U.S. Department of Justice, will not deliver incoming mail to a person housed in their custody unless it contains the subject's Register Number. Upon entry into BOP custody, each inmate is assigned an eight digit Register Number (i.e. xxxxx-xxx) by which he/she is identified throughout his/her commitment. The first five digits are unique identifiers for that specific inmate, the last three digits, separated from the first five by a dash, indicate the jurisdiction from which the inmate originally entered the corrections system. It is imperative that the correspondence contain the Register Number in the proper format. BOP Register numbers are created for the subjects in the name in which they received a conviction sentence from a federal court or a legal document charging them of an immigration violation and/or removal. This name could be their birth name or an alias name.

ICE will not deliver mail to an ICE detainee unless we include the alien number in the address. Please include the alien number in the address of an ICE detainee, if you are addressing correspondence to the alien in the ICE detention facility. In order to avoid PII spills, OA will prepare an outer envelope without the alien number and mail it in that.

If the inmate is not in federal custody (i.e., Bureau of Prisons location or ICE detention facility) but held at a non-federal correction facility (such as a state prison or county jail), DO NOT put the alien number in the address.

**We have updated** section 12.16 Receipt Numbers of the FOIA/PA Assistants Guide as follows (new information in red, deleted information in strikethrough):

## Section 12.16 Receipt Numbers

~~If the petitioner is the Requestor, and if the petition has been consolidated into the beneficiary's A-file, then the beneficiary is always the subject of record. We must address any correspondence about that petition citing the beneficiary as the "subject of record" or the "records' subject." For~~

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~~that reason, even though the Requestor may have listed the petitioner as the subject of record, if you discover that the petition is consolidated into the beneficiary's file, you must change the name of the subject in FIPS to the beneficiary. The beneficiary's A-number goes in the A-number field, even if the Requestor entered the petitioner's A-number on the G-639.~~

If you discover that the petition is consolidated into the beneficiary's file, and you **do** have consent from the beneficiary, you must change the name of the subject in FIPS to the beneficiary. The beneficiary's A-number goes in the A-number field, even if the Requestor entered the petitioner's A-number on the G-639. We must address any correspondence about that petition citing the beneficiary as the "subject of record" or the "records' subject." This is legally important because we must have VOI of the subject of record and we must have certification of agreement if the Requestor is other than the subject of record in order to staff for the record.

If the petition is consolidated into the beneficiary's file, and you **do not** have consent from the beneficiary, you will close the case as Total Denial and include the following blurb as the second sentence in the first paragraph of the TD letter:

> "It is the policy of USCIS to file any adjudicated petitions, such as the Form I-129F or Form I-130 in the beneficiary's record after issuance of a visa. Beneficiary consent is required to obtain any petitions from their record."

This is legally important because we must have VOI of the subject of record and we must have certification of agreement if the Requestor is other than the subject of record. *If we are staffing the subject of record's A-file, and if the Requestor is not the same person as the subject of record, then we need certification of agreement from the subject of record.*

If the petition has not been consolidated into the beneficiary's A-file, whether the petitioner or the beneficiary is the Requestor, we may staff for it. In this situation, we list the subject of record the way it is listed in the request letter, whether the petitioner or the beneficiary.

PCQS or CLAIMS screen-prints usually would not provide the Requestor with the information he or she is requesting, because the Requestor is asking for a copy of the file. Rarely, a petitioner may only need a particular piece of information, such as proof of filing to prove Section 245i eligibility. If that is the situation, and we have the petitioner's VOI (and certification of agreement, if necessary) then you should provide those screen-prints with a RAFACS staffing. This is not usually what happens, so providing screen prints is an exception, not the rule.

# December 14, 2015

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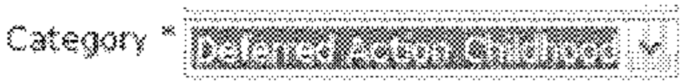
**We have updated** section 6.3.4.3, Deferred Action for Childhood Arrival of the FOIA/PA Assistant's Guide as follows (new information in red):

### 6.3.4.3 Deferred Action for Childhood Arrival



Please select Category: Deferred Action for Childhood Arrival in any of the following circumstances:

- If the subject of record mentions DACA or Deferred Action for Childhood Arrival
- If the subject mentions being a child on arrival in the United States
- If the subject mentions the "DREAM Act" and you can tell he or she is referring to DACA
- If you see evidence that the person filed Form I-821D in CLAIMS or PCQS.

**Exception: If the FCO is SFR, please select SFR as the category. SFR has priority.**

**We have updated** various sections that referred to 12.7.12, 12.7.13 and 12.7.14, none of which exists. Changed all to the correct references in the FOIA/PA Assistant's Guide as follows (new information in red, ~~deleted information in strikethrough~~):

12.14 EAD numbers (100,000,000 through 199,999,999)

If the alien number provided by the Requestor 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~~ 12.16 and ~~12.7.13~~12.18.12.3 for additional information. If the receipt has been destroyed, follow instructions in ~~12.7.14~~ 12.18.14.

12.18.12.4 If the Requestor specifies a receipt file, and the receipt has not been consolidated, you may have VOI (and certification of agreement, if necessary) from either party and you may staff for the file if it is available in records. If you are unsure of whether you need certification of agreement, please refer to section 7 of this guide. If the receipt is not available in records, please refer to sections ~~12.7.13~~ 12.18.6 ~~and~~ or ~~12.7.14~~ 12.18.14 If it is available in records in NFTS, first verify the receipt number belongs to the subject, then staff for that receipt file.

32.11.2 If the receipt file is marked Lost, File Destroyed, File Cannot Locate, or Rejected, please refer to section ~~12.7.14~~ 12.18.14, *Receipt files; Lost receipt file, File destroyed, File cannot locate or File Rejected.*

12.12.4 Empty Jackets

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If NFTS indicates the file as an "Empty Jacket," you will normally not create a file request. The only time you ever staff for an empty jacket is if the FCO is HAV. If you are unsure, please contact FST. If the FCO is not Havana, and the only A-number you found is an empty jacket, your next step is probably to conduct a no records search, depending on the situation (No Record instruction is at Section 12.18.6). If you found a receipt file, please refer to Section 12.7.12. 12.18.12

12.18.14 Receipt files; Lost receipt file, File destroyed, File cannot locate or File Rejected

If NFTS shows a receipt has been "Deleted," please refer to section 9.2. Section 12.18.14 is only for files that show Lost, Destroyed or Rejected in NFTS or if we receive a staffing response saying "File cannot locate."

# February 10, 2016

**We have updated** section **7.2 Verification of Identity (VOI) (G-639, dated 3-31-15)** of the FOIA/PA Assistant's Guide as follows (new information in red, deleted information in strikethrough):

## 7.2 Verification of Identity (VOI) (G-639, dated 3-31-15)

In addition, on February 17, 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.~~ A current photo ID, ~~if not notarized or accompanied by a declaration under penalty of perjury specifically attesting to the information on the photo ID, is for information purposes only and is not~~ can be used for verification of identity.

**We have updated** section **7.2 Verification of Identity (VOI)** of the FOIA/PA Assistant's Guide as follows (new information in red, deleted information in strikethrough):

## 7.2 Verification of Identity (VOI)

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.~~ A current photo ID, ~~if not notarized or accompanied by a declaration under penalty of perjury specifically attesting to the information on the photo ID, is for information purposes only and is not~~ can be used for verification of identity.

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**We have updated** paragraph **9.2.2**, under section **9.2 Redirection** of the FOIA/PA Assistant's Guide as follows (new information in red):

**9.2.2** If it is a general request for "My Complete A-File" or "All my records," you must conduct a search for responsive records. If you find an A-file, you should create the case and staff for the file. If unable to find the A-file, we are still required to provide any other records we find, including any applications, petitions, etc… However, unless receipt files are specifically requested, we will not produce receipt files in responding to an "All My Records" request. Please refer to the flow charts at Appendix H. Before you redirect the case, you must verify we have no responsive record. When conducting research, do the queries and provide screen prints of CIS 9103, CIS 9102, CIS 9104 and PCQS or CLAIMS searches. There should be no less than two pages and may be lengthier if the subject has provided multiple names. If the receipt is located at the NVC, do not redirect to the NVC. Have the screen prints of the receipt scan in as responsive records. Make sure the track is TRACK I. Create the 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 to OneNote and send an email to FOIAPROGRAM.NRC@uscis.dhs.gov. On the subject line, put the control number and SOR's name. Pend the case.

**We have updated** section **32.8.2 The Requestor/subject may not return the VOI or certification of agreement we asked for** of the FOIA/PA Assistant's Guide as follows (new information in red, deleted information in strikethrough):

32.8.2 The Requestor/subject may not return the VOI or certification of agreement 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~~ three versions of the FC letter:

O:\Foia\FOIA_LIBRARY\Case_Create_References\Case_Create_References_G-639_Unperfected Letter_for_3-31-2015 or
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

**We have updated** all unperfected letters by deleting the following sentence as follows (deleted information in strikethrough):

~~Simply providing a copy of a birth certificate, driver's license, or alien card for the records subject will not fulfill this requirement.~~

# February 29, 2016

**We have updated** section 6.1.1.10. RULES FOR ENTERING INFORMATION ON THE FIPS WORKSHEET of the FOIA/PA Assistant's Guide as follows (new information in red, ~~deleted information in strikethrough~~):

6.1.1.10 If the request came to us on Form G-639, you should use the name and address of the Requestor in Section, "*Requestor Information.*"

If you have a conflict between addresses on a properly filled out G-639 and G-28, please use the address on the G-28.

~~If the request is on Form G-639, please do not use the address on the envelope, or Form G-28 or letterhead as the Requestor address without first speaking with a supervisor about it, and after you do, create a Discussion saying you did so. 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 the Requestor specifies. Please create a Discussion explaining why you are not mailing it to the address in~~ ~~*Requestor Information.*~~

If the request is not on Form G-639, please use the address that is on the letter unless the Requestor specifies a different address. If you are unsure, please consult a supervisor and add a Discussion explaining your decision.

If the Requestor included a G-28, please look to see if the Requestor is an attorney. If the Requestor is an attorney, please look at the name of the firm. If the name of the firm includes the attorney's name, please make the second line of your address "Attorney at Law." If the name of the firm does not include the attorney's name, please make the second line of the address the name of the firm. If the Requestor is not an attorney, then simply use the address that is in the Requestor Information block of the G-639. For further guidance, please refer to section 6.1.1.17 of this guide.

# March 28, 2016

**We have updated and changed the name of** section 12.18.16 Creating Staffing and Acknowledgement letters for ELIS cases to Creating Staffing and Acknowledgement letters for ELIS2 cases of the FOIA/PA Assistant's Guide as follows (new information in red, deleted information in strikethrough):

**NOTE**: All forms have either migrated to ELIS2 or are handled outside of Legacy ELIS. Any references from this point on refer to ELIS2.

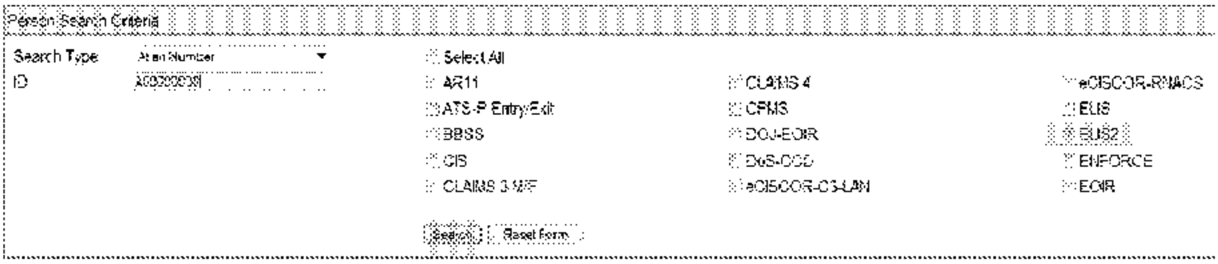
~~(The updated slideshows; ELIS Research Staff Redact – ELIS, and ELIS Research Staff Redact – PCQS can be found at O:\FOIA\FOIA Library\Case Create References, also in Connect and ECN).~~

12.18.16 Creating Staffing and Acknowledgement letters for ELIS2 cases

12.18.16.1 Deleted

Step 1: Find the IOE Receipt Number

Whenever you create a case, please check ~~both~~ the ~~ELIS and~~ ELIS2 block~~s~~ in PCQS to search for ~~ELIS~~ ~~information~~ the IOE Receipt number.



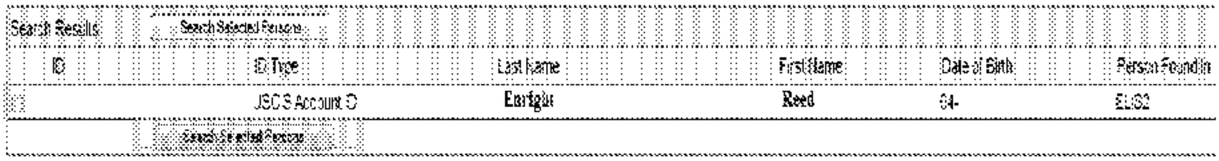
Person Search Criteria

Search Type: Alien Number

ID: A00000000

☐ Select All
☐ AR11
☐ ATS-P Entry/Exit
☐ BBSS
☐ CIS
☐ CLAIMS 3 M/F
☐ CLAIMS 4
☐ CPMS
☐ DOJ-EOIR
☐ DoS-CCD
☐ eCISCOR-CS-LAN
☐ eCISCOR-RNACS
☐ ELIS
☑ ELIS2
☐ ENFORCE
☐ EOIR

If you get a response of "Person Found In: ELIS2," please ~~click twice~~ check the box and click "Search Selected Persons" to get your IOE Receipt number.



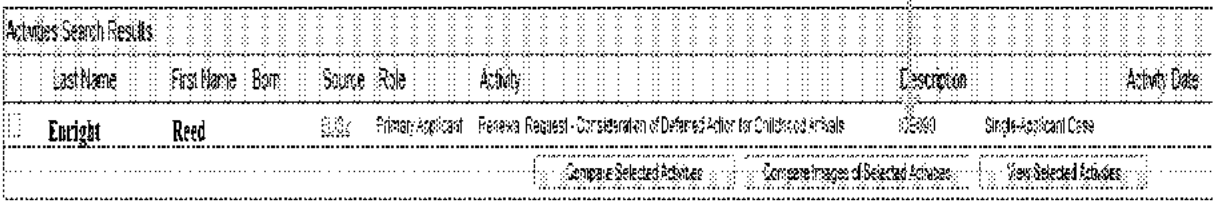
Search Results

| | ID | ID Type | Last Name | First Name | Date of Birth | Person Found In |
|---|---|---|---|---|---|---|
| ☐ | | USCIS Account ID | Earfight | Reed | 04- | ELIS2 |

You will come to the page below, "Activities Search Results." Please copy the IOE Receipt number.

r

Copy IOE Receipt number



Activities Search Results

| | Last Name | First Name | Born | Source | Role | Activity | Description | | Activity Date |
|---|---|---|---|---|---|---|---|---|---|
| ☐ | **Enright** | **Reed** | | ELIS2 | Primary Applicant | Renewal Request - Consideration of Deferred Action for Childhood Arrivals | IOE990 | Single-Applicant Case | |

Compare Selected Activities
Compare Images of Selected Activities
View Selected Activities

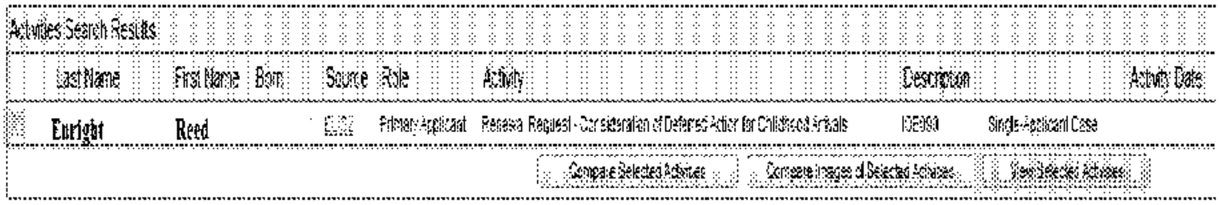
12.18.16.2 Deleted

Step 2: Is the case open or closed?

~~To determine what language (if any) gets copied and pasted into the Staffing and Acknowledgment letters, you have to know two things:~~

~~1. Is this a self-request or a request from Attorney/Representative/Others?~~
~~2. Is the case open or closed?~~

~~You can see if the case is open or closed on the ELIS Case Info screen. If you double-click the person's information in PCQS (same place where you copied the IOE number above), the "Primary Applicant Summary" default screen will display.~~
Using this same Activities Search Results section, check the box on the ELIS2 line, then click "View Selected Activities."



Activities Search Results

| | Last Name | First Name | Born | Source | Role | Activity | Description | | Activity Date |
|---|---|---|---|---|---|---|---|---|---|
| ☑ | **Enright** | **Reed** | | ELIS2 | Primary Applicant | Renewal Request - Consideration of Deferred Action for Childhood Arrivals | IOE990 | Single-Applicant Case | |

Compare Selected Activities
Compare Images of Selected Activities
View Selected Activities

~~Please click to display the "Case Info" screen. On the left side of the Case Info screen, you'll see a category called "Case State." Across from the Case State, you'll see one of four options:~~

~~A. Accepted~~
~~B. Optimized~~
~~C. Reopened~~
~~D. Closed~~

On the ELIS2 details screen, find the "Case State" in the "Account Header" section.

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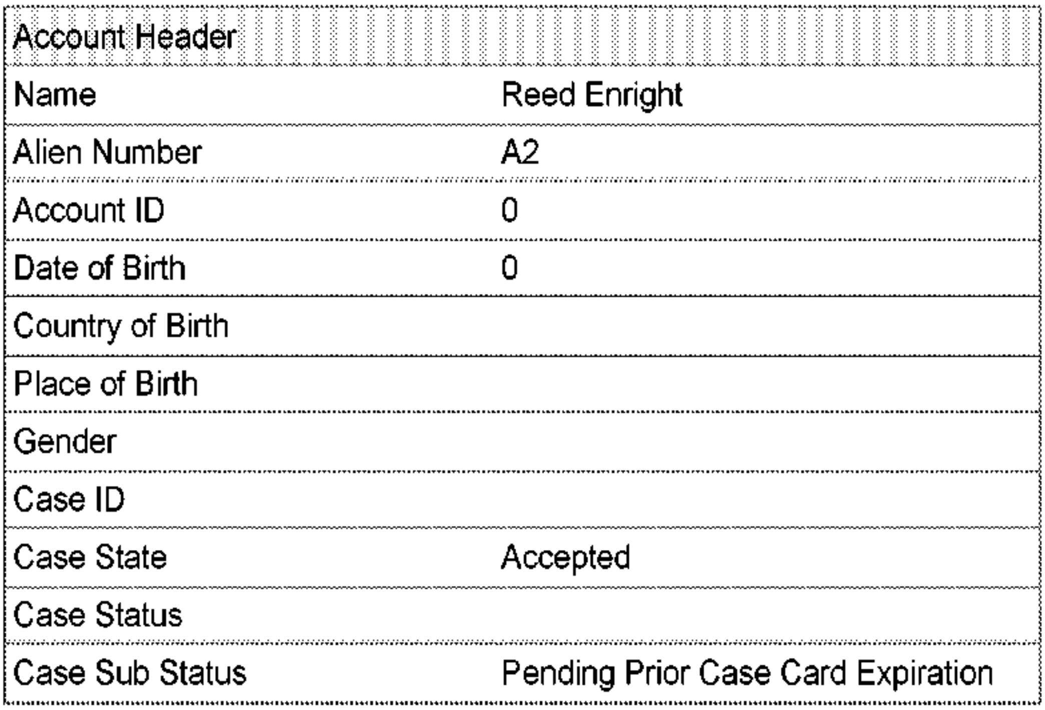
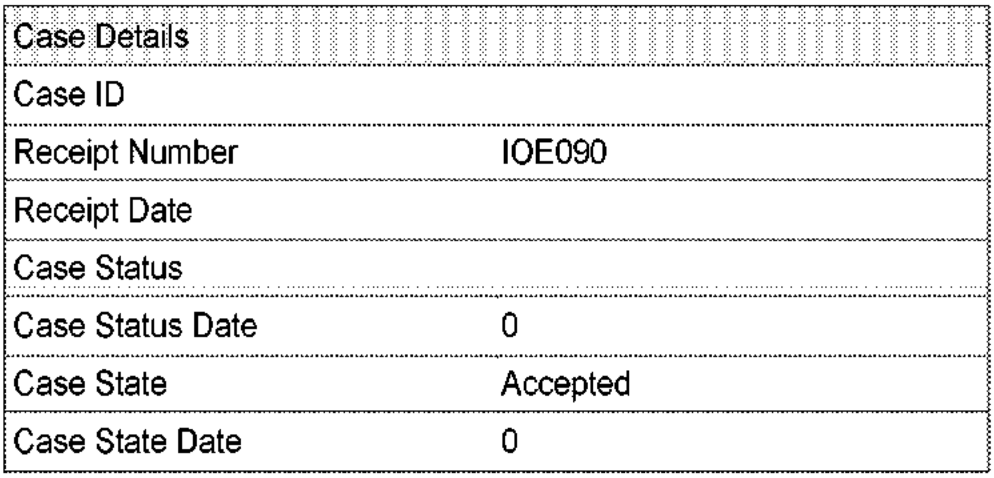
If the case state is accepted, optimized or reopened, your case is open. ~~Closed means closed~~.



| Account Header | |
|---|---|
| Name | Reed Enright |
| Alien Number | A2 |
| Account ID | 0 |
| Date of Birth | 0 |
| Country of Birth | |
| Place of Birth | |
| Gender | |
| Case ID | |
| Case State | Accepted |
| Case Status | |
| Case Sub Status | Pending Prior Case Card Expiration |

**NOTE**: The Case State can also be found in the Case Details section of your screen print.



| Case Details | |
|---|---|
| Case ID | |
| Receipt Number | IOE090 |
| Receipt Date | |
| Case Status | |
| Case Status Date | 0 |
| Case State | Accepted |
| Case State Date | 0 |

12.18.16.3 Deleted

Step 3: Create the Case/Put IOE Receipt Number in Topic Line

Fill out the FIPS worksheet as you normally would, except paste "IOE" and the number into the "Topic" line on the FIPS worksheet.

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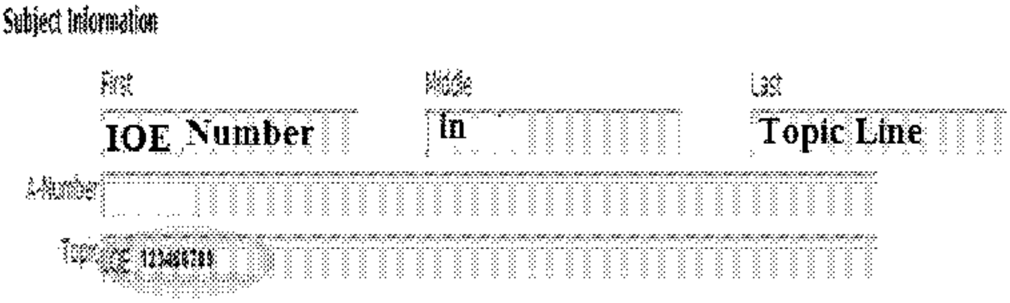


Subject Information

First: IOE Number
Middle: In
Last: Topic Line
A-Number:
Topic: IOE 123456789

**NOTE**: Putting the IOE Receipt number in the Topic line is the only way we have to track ELIS and ELIS2 cases.

Next, ~~either~~ create a~~n~~ ~~SSC or ESC~~ staffing to the correct File Control Office.

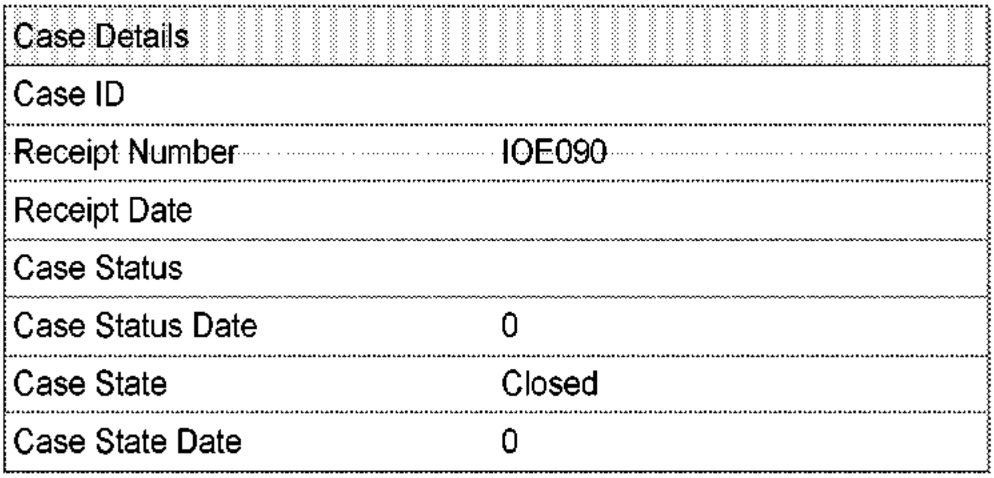
Step 4: Is your requestor an attorney/representative or is this a self-request?

If you answered “yes” to either choice, go to Step 5a(1) to create your Staffing and Acknowledgement letters. You will be inserting specific language into both letters.

If the requestor is other than an attorney/representative or a request from the subject of record, go to Step 5b(1) to change your Staffing letter only. There is no change to the Acknowledgement letter.

A wife requesting her husband’s file is an example of an “other.”

If the case is closed (see example below), it doesn’t matter who the requester is.
Go to Step 5b(1).



| Case Details | |
|---|---|
| Case ID | |
| Receipt Number | IOE090 |
| Receipt Date | |
| Case Status | |
| Case Status Date | 0 |
| Case State | Closed |
| Case State Date | 0 |

**Step 5a(1): Staffing letter**

**Open cases from Attorney/Representatives or self-requests:**

- Replace the Alien number at the top and bottom of the page with the IOE Receipt number
- Replace the first part of the second bullet which reads "Send a copy of all responsive documents to the FOIA office in their entirety," with the sentence, "Send a copy of the Case Details and Case History tabs (expand all), any restricted content, and any risk resolution memo."
- Do not replace "**DO NOT MAKE REDACTIONS.**" Leave it at the end of the second bullet.

## Before:

MEMORANDUM FOR:
NSC
P.O. BOX 82521
LINCOLN, NE 68501-2521

ATTN: via email
nsc,foiafilereq

FROM: NRC FOIA/PA

SUBJECT: Freedom of Information /Privacy Act Request NRC2016
Alien #: 2
Subject Name: Reed Enright

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.**

Freedom of Information/Privacy Act Request, NRC2016
Alien #: 2
Subject Name: Reed Enright

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# After:

MEMORANDUM FOR:
NSC
P.O. BOX 82521
LINCOLN, NE 68501-2521

ATTN: via email
nsc,foiafilereq

FROM: NRC FOIA/PA

SUBJECT: Freedom of Information /Privacy Act Request NRC2016
**IOEXXXXXXXXX**
Subject Name: Reed Enright

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 the Case Details and Case History tabs (expand all), any restricted content, and any risk resolution memo. DO NOT MAKE REDACTIONS.**

Freedom of Information/Privacy Act Request, NRC2016
**IOEXXXXXXXXX**
Subject Name: Reed Enright

**Step 5a(2): Acknowledgement letter**

**Open cases from Attorney/Representatives or self-requests:**

- Add the paragraph, "From the USCIS Electronic Immigration System (ELIS) you may download the case intake snapshot, case evidence, and correspondence (e.g. any G-28 Representation or Withdrawal request) from your Case Details screen," between the fee and CD paragraphs.

## Example:

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

From the USCIS Electronic Immigration System (ELIS) you may download the case intake snapshot, case evidence, and correspondence (e.g. any G-28 Representation or Withdrawal request) from your Case Details screen.

This office will be providing your records on a Compact Disc (CD) for use on your personal computer. The CD is readable on all computers through the use of Adobe Acrobat software. A version of Adobe Acrobat will be included on the CD. Your records can be viewed on your computer screen and can be printed onto paper. Only records 15 pages or more are eligible for CD printing. To request your responsive records on paper, please include your control number and write to the above address Attention: FOIA/PA Officer, or fax them to (816) 350-5785.

### Step 5b(1): Staffing letter

**All closed cases or cases from others (not Attorney/Representatives nor self-requests):**

- Replace the Alien number with the IOE Receipt number at the top and bottom of the letter only. Do not replace the second bullet.

## Example:

MEMORANDUM FOR:
NSC
P.O. BOX 82521
LINCOLN, NE 68501-2521

ATTN: via email
nsc,foiafilereq

FROM: NRC FOIA/PA

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

SUBJECT: Freedom of Information /Privacy Act Request NRC2016
**IOEXXXXXXXXX**
Subject Name: Reed Enright

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.**

Freedom of Information/Privacy Act Request, NRC20160
**IOEXXXXXXXXX**
Subject Name: Reed Enright

**Step 5b(2): Acknowledgement letter**

**All closed cases or cases from others (not Attorney/Representatives nor self-requests):**

- **There is no change to the Acknowledgement letter**

**ELIS FAQ's**

Q: The NFTS screen print says that ELIS is consolidated into a T-file. How do I fill out the Staffing Sheet?

A: If ELIS is consolidated into an A or T-file per NFTS, do not replace the A-number with the IOE receipt number or replace the second bullet. Create as a normal case (not in ELIS), except don't forget to add the IOE Receipt number to the FIPS worksheet.

Q: Which FCOs adjudicate the Form I-90?

A: MSC/NBC, SSC and WSC…check NFTS for the correct staffing.

# 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.

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Record of Revision

May 6, 2011

***Paragraph 7.1,*** **Consent of Parents or Guardians,** ***of the FOIA/PA Assistant's Guide*** *has been changed (changed portion is underlined):*

If a parent is filing on behalf of a minor child, then the parent must submit proof of parentage. Proof of parentage can be in the form of a birth certificate, adoption decree or similar document, naming them as a legal parent.

If a guardian is filing on behalf of a minor or person judicially determined to be incompetent, he or she must submit proof of guardianship. No consent is necessary from the minor child or the person judicially determined to be incompetent, however the parent/guardian must provide his or her own verification of identity that is notarized or signed under penalty of perjury [6 C.F.R. § 5.21(e)]. The case processor will have to request more information if he or she cannot determine parentage or guardianship within the file.

Minors may request their own files; they do not have to have the consent of their parents or guardians to do so. Attorneys may represent minors also.

---

***Paragraph*** 12.7.11 T-files ***of the FOIA/PA Assistant's Guide*** *has been changed* (changed portion is underlined):

**The exception to this rule** – We do not receive A-files from ESC, SSC, NSC, WSC or RDF for scanning. Those offices either scan directly into FIPS for us or we export the A-file from EDMS. Therefore, if the A-file is at one of the above service centers and there is a T-file anywhere else, including at the NRC, you will have to staff for the T-file. MSC is the only service center that sends the A-file to the NRC for scanning. Another example of when we staff for an in-house T-file is when the responsive records are scanned in simultaneously with the request.

---

***Paragraph*** 12.7.3 Files Lost or Not Found MORE THAN NINE MONTHS ***of the FOIA/PA Assistant's Guide*** *has been changed* (changed portion is underlined):

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12.7.3.9 **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 XXXXXXXXX is currently showing as lost. Staffed for the following additional files: XXXXXXX, XXXXXXX, XXXXXXX. Once they are received, please review. Please also verify that the original a-file is still lost. If the original a-file has been consolidated in fact but not in the systems, please process and send your case to approver. Also send an e-mail to the MSB for resolution. Include both a-numbers. If no documents exist from the original a-file, please process what is available. Advise the requester that the original a-file is lost. Your case will close as a PD even if no redactions are made. Thank you.

---

**APPENDIX H: CASE CREATE FLOW CHARTS** has been added to the FOIA/PA Assistant's Guide.

---

**APPENDIX I: ALIEN NUMBER ASSIGNMENT** has been added to the FOIA/PA Assistant's Guide.

May 13, 2011

Paragraph 12.7.6 of the **FOIA/PA Assistant's Guide** has been changed as follows (added portion underlined ~~deleted portion stricken through~~):

> When conducting "no record" research, do the query and provide screen prints of all searches as directed. ~~Open a RAFACS (*not RAFACS/CIS*) staffing slot only. Click on "Customize Letter."~~ Print the appropriate CLAIMS screen prints (this should be no less than six pages and may be lengthier if subject has provided multiple names or multiple alias names). Prepare a "Scan As" sheet to be scanned as 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, [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. 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

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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."

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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 statue 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.

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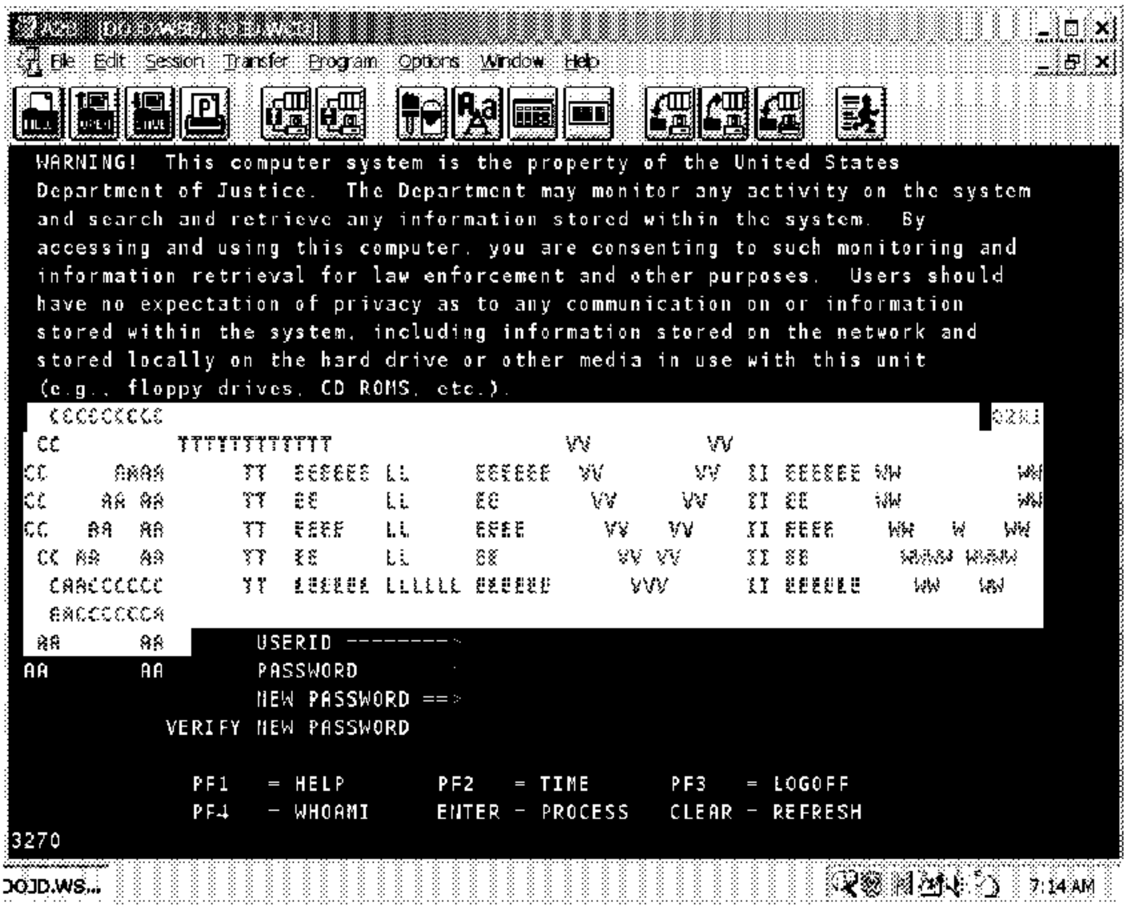
# 5. SYSTEMS USED AND DESCRIPTION OF THE SYSTEMS

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

## 5.1 Central Index System

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

### *5.1.1 Introduction Screen*



```
WARNING! This computer system is the property of the United States
Department of Justice. The Department may monitor any activity on the system
and search and retrieve any information stored within the system. By
accessing and using this computer, you are consenting to such monitoring and
information retrieval for law enforcement and other purposes. Users should
have no expectation of privacy as to any communication on or information
stored within the system, including information stored on the network and
stored locally on the hard drive or other media in use with this unit
(e.g., floppy drives, CD ROMS, etc.).

                    USERID -------->
                    PASSWORD
                    NEW PASSWORD ==>
         VERIFY NEW PASSWORD

           PF1   = HELP      PF2   = TIME      PF3   = LOGOFF
           PF4   - WHOAMI    ENTER - PROCESS   CLEAR - REFRESH
3270
```

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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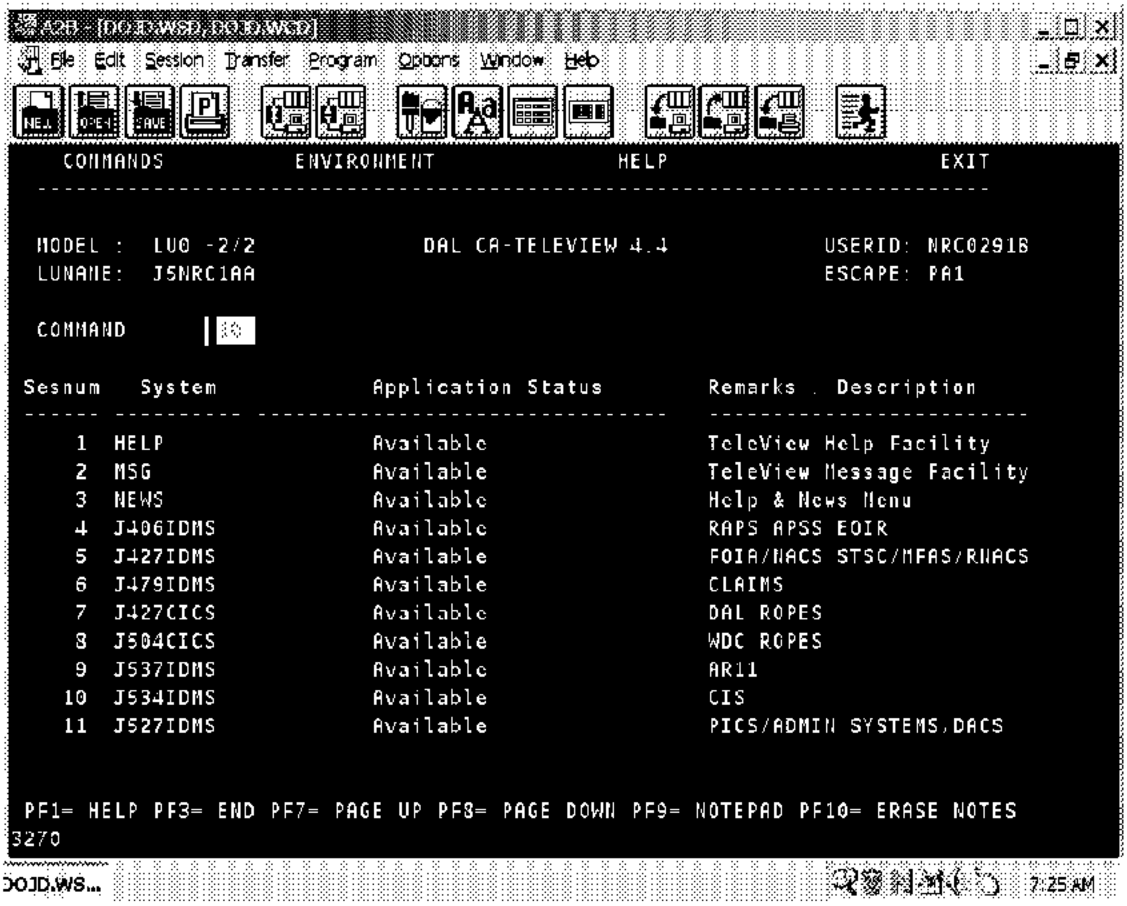
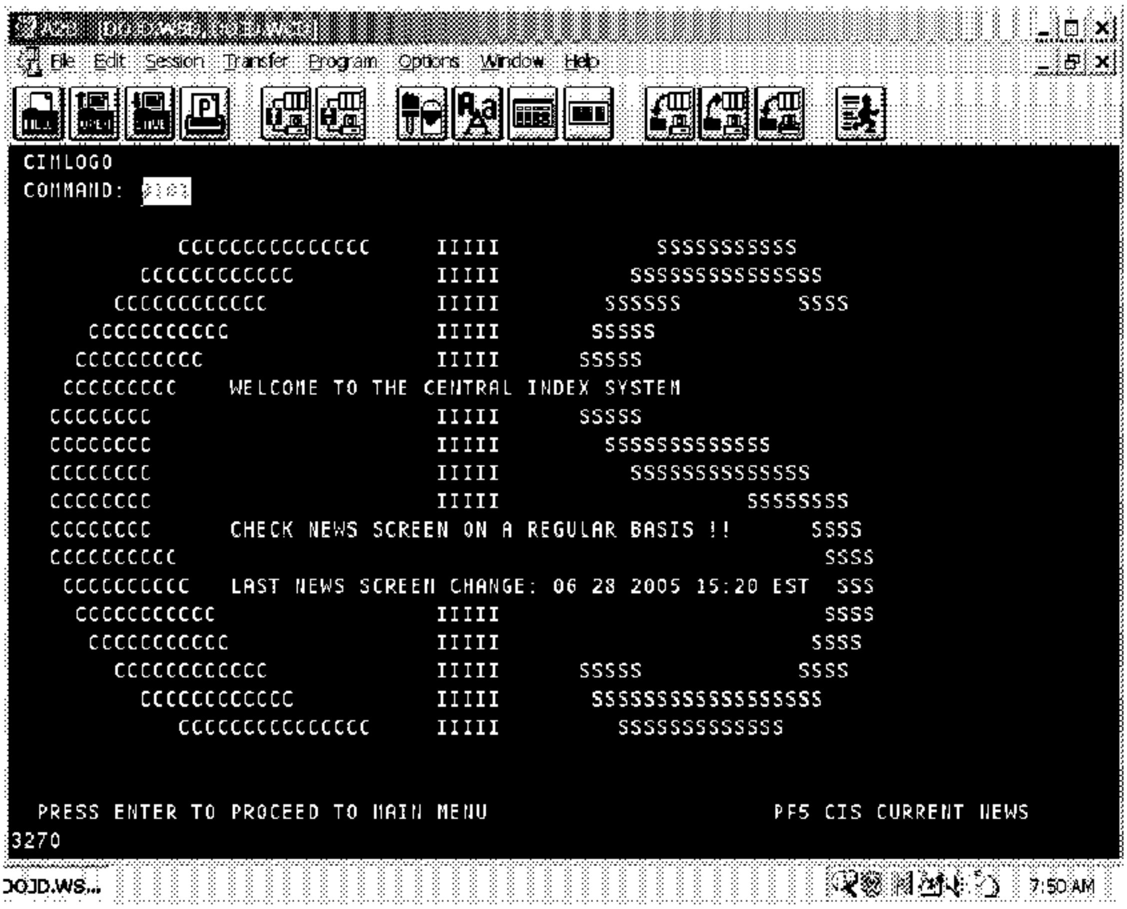
### 5.1.2 *TeleView Main Menu*



```
   COMMANDS           ENVIRONMENT                HELP                     EXIT
 ----------------------------------------------------------------------------

 MODEL :  LU0 -2/2              DAL CA-TELEVIEW 4.4            USERID: NRC0291B
 LUNAME:  J5NRC1AA                                             ESCAPE: PA1

 COMMAND        10

Sesnum   System              Application Status         Remarks . Description
------ ---------- -------------------------------     -------------------------
    1  HELP                Available                  TeleView Help Facility
    2  MSG                 Available                  TeleView Message Facility
    3  NEWS                Available                  Help & News Menu
    4  J406IDMS            Available                  RAPS APSS EOIR
    5  J427IDMS            Available                  FOIA/NACS STSC/MFAS/RNACS
    6  J479IDMS            Available                  CLAIMS
    7  J427CICS            Available                  DAL ROPES
    8  J504CICS            Available                  WDC ROPES
    9  J537IDMS            Available                  AR11
   10  J534IDMS            Available                  CIS
   11  J527IDMS            Available                  PICS/ADMIN SYSTEMS,DACS

 PF1= HELP PF3= END PF7= PAGE UP PF8= PAGE DOWN PF9= NOTEPAD PF10= ERASE NOTES
3270
```

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

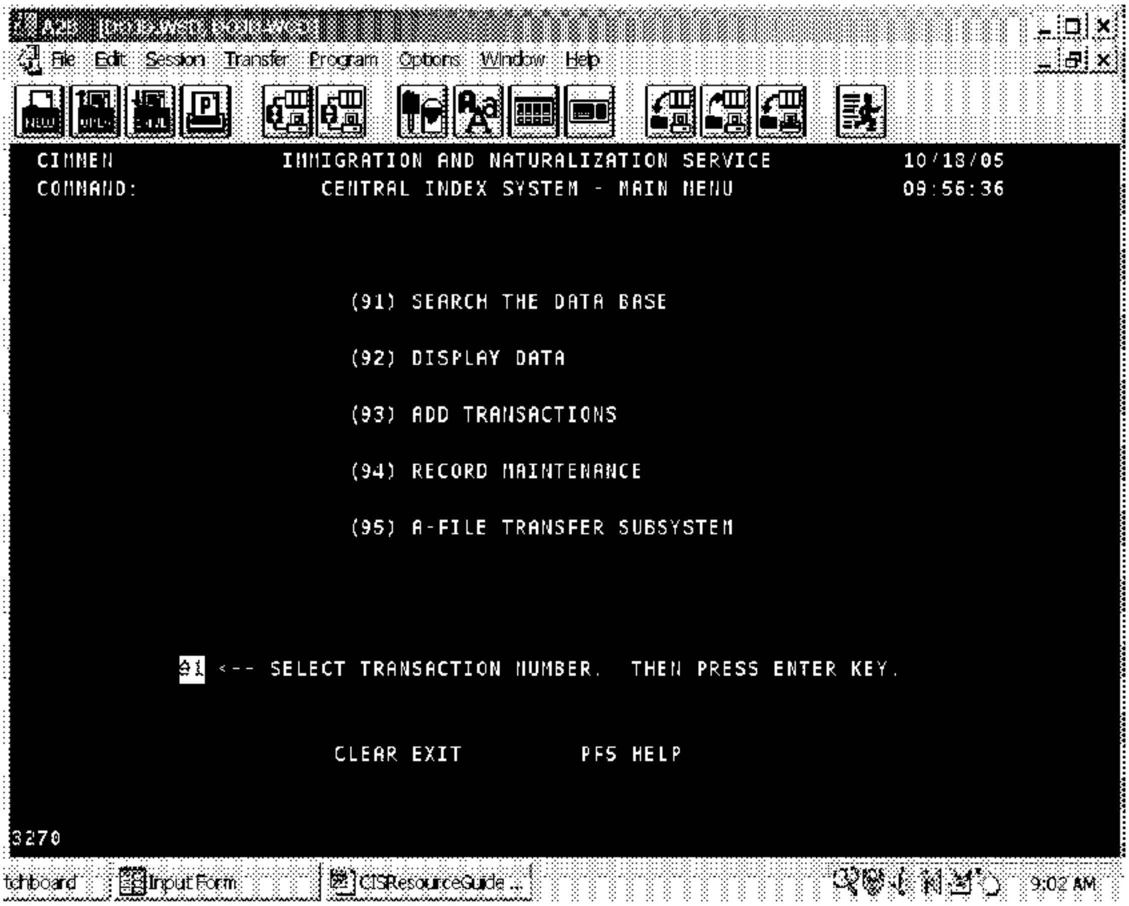
### *5.1.3 CIS Login Screen*



```
 CIMLOGO
 COMMAND: [illegible]

             CCCCCCCCCCCCCCC     IIIII            SSSSSSSSSSS
          CCCCCCCCCCCC           IIIII          SSSSSSSSSSSSSSS
        CCCCCCCCCCCC             IIIII        SSSSSS         SSSS
      CCCCCCCCCCC                IIIII       SSSSS
     CCCCCCCCCC                  IIIII      SSSSS
    CCCCCCCCC    WELCOME TO THE CENTRAL INDEX SYSTEM
   CCCCCCCC                      IIIII      SSSSS
   CCCCCCCC                      IIIII        SSSSSSSSSSSSS
   CCCCCCCC                      IIIII          SSSSSSSSSSSSSS
   CCCCCCCC                      IIIII                   SSSSSSSS
   CCCCCCCC      CHECK NEWS SCREEN ON A REGULAR BASIS !!      SSSS
   CCCCCCCCCC                                                  SSSS
    CCCCCCCCCC   LAST NEWS SCREEN CHANGE: 06 28 2005 15:20 EST  SSS
     CCCCCCCCCCC                 IIIII                         SSSS
      CCCCCCCCCCC                IIIII                        SSSS
        CCCCCCCCCCCC             IIIII      SSSSS            SSSS
          CCCCCCCCCCCC           IIIII       SSSSSSSSSSSSSSSSSS
             CCCCCCCCCCCCCCC     IIIII         SSSSSSSSSSSSS


  PRESS ENTER TO PROCEED TO MAIN MENU                      PF5 CIS CURRENT NEWS
3270
```

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

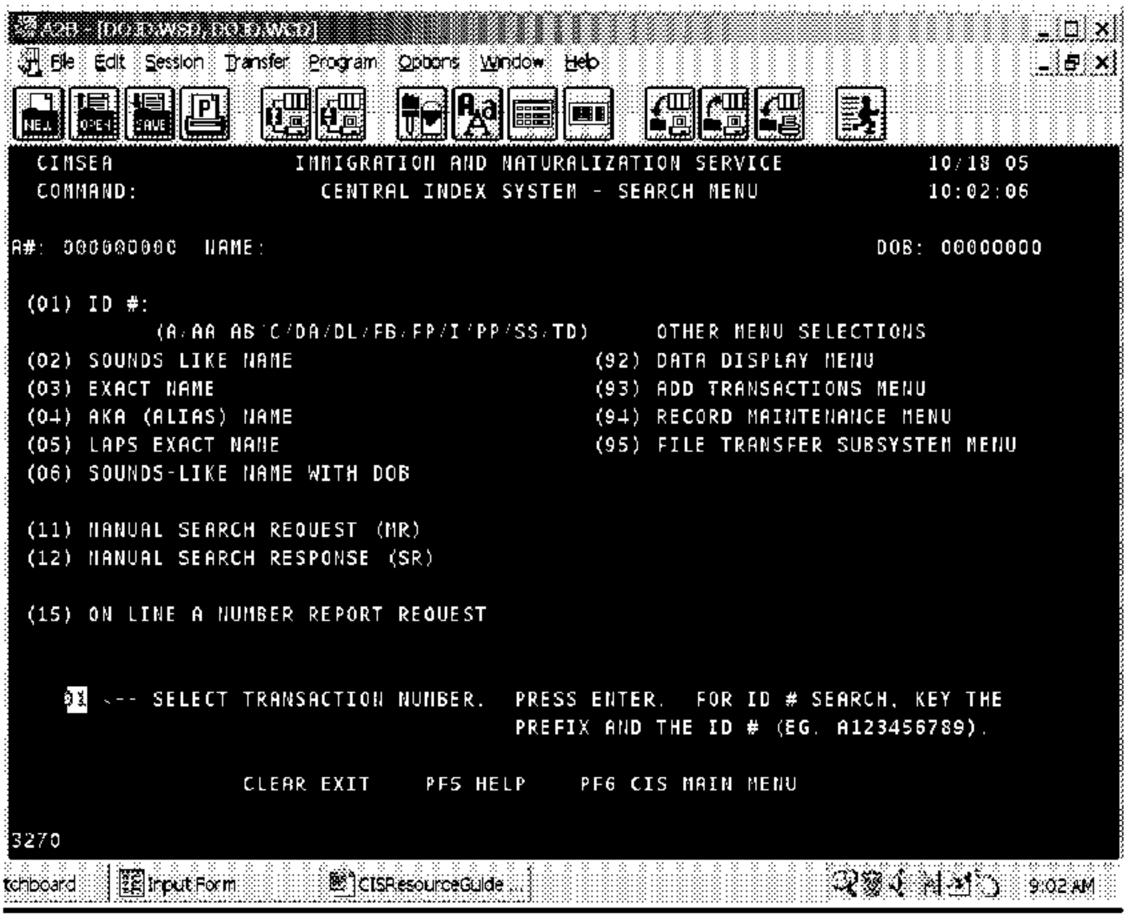
### *5.1.4 CIS Main Menu*



```
 CIMMEN            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         PF5 HELP

3270
```

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



```
 CIMSEA              IMMIGRATION AND NATURALIZATION SERVICE          10/18 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
```

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

| Code | Search By Category |
|---|---|
| 01 | ID # (A-number, certificate number, social security number, passport number ect.) |
| 02 | Sounds-Like Name Search |
| 03 | Exact Name Search |
| 04 | Alias (AKA) Name Search |
| 06 | Sounds-Like Name Search with DOB |

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

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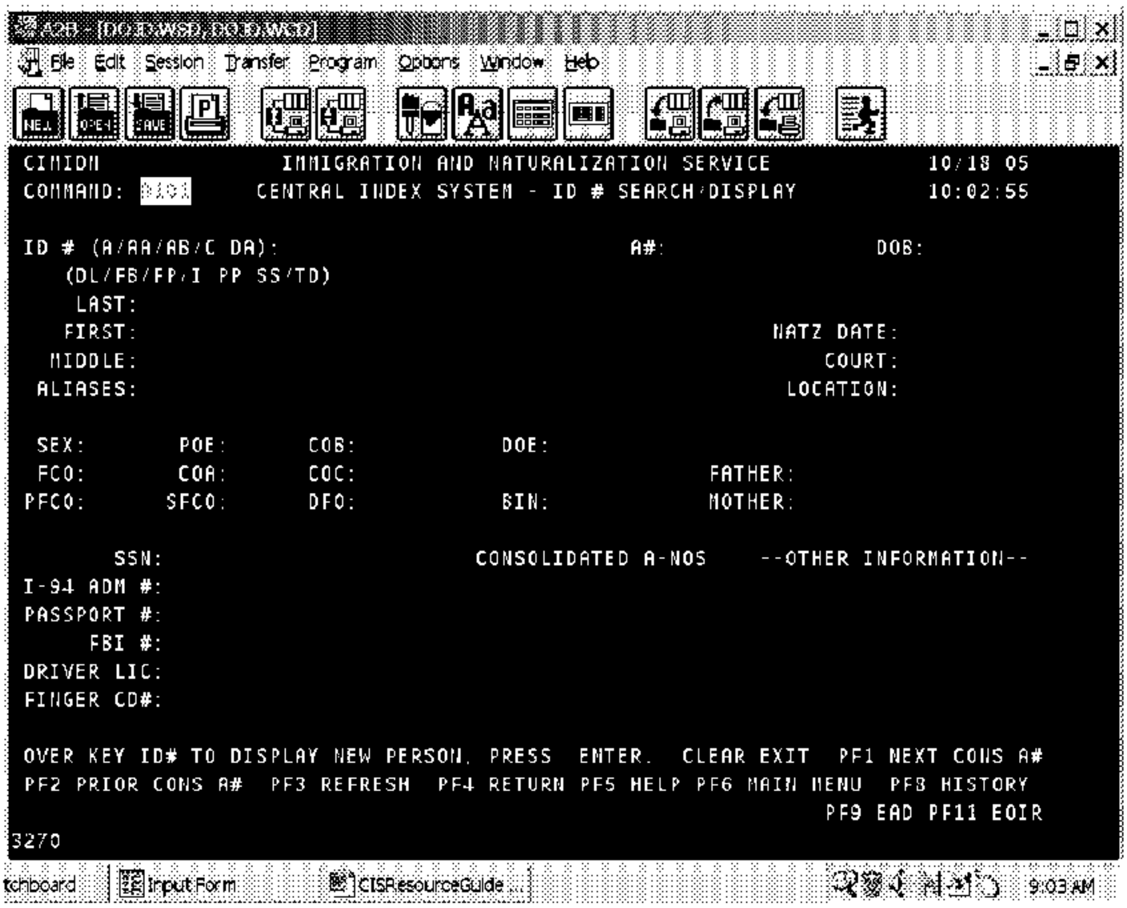
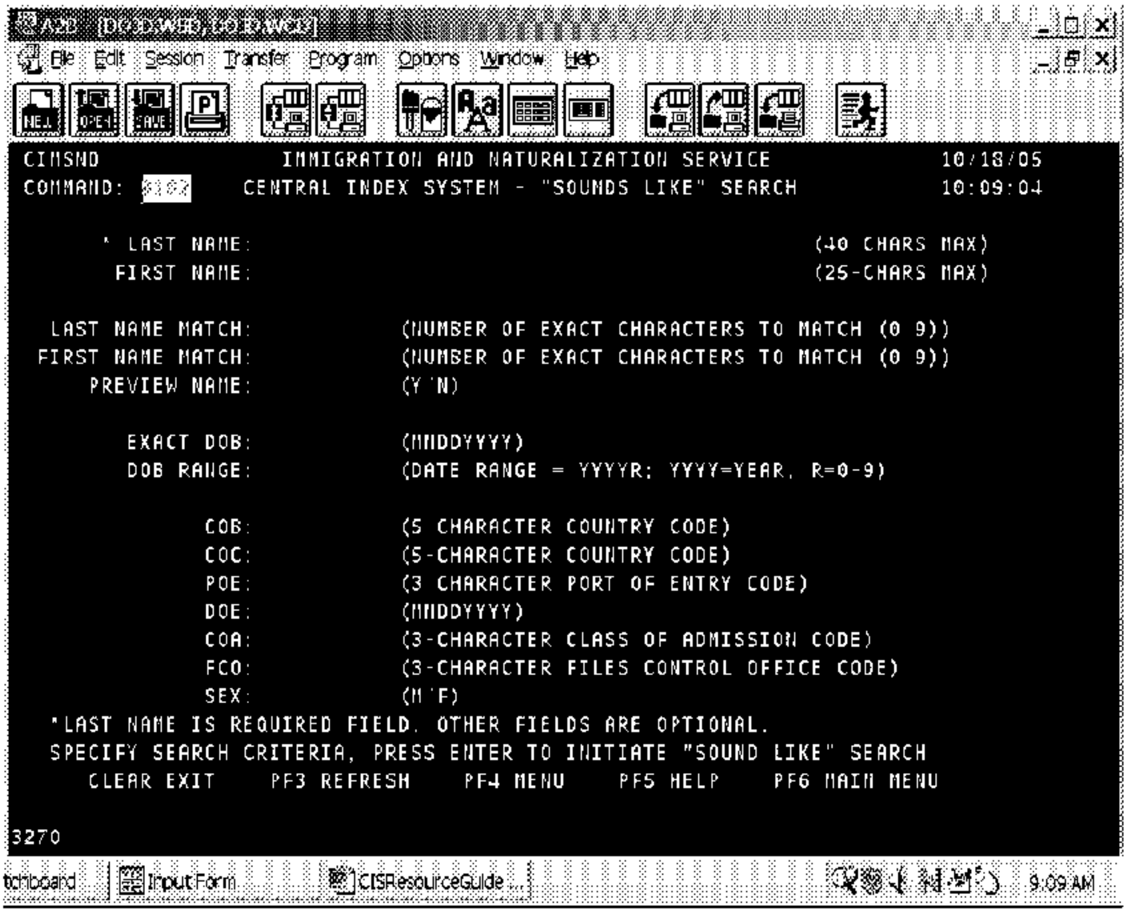
### 5.1.4.2 Search by A-number (9101)



```
CIMIDM                 IMMIGRATION AND NATURALIZATION SERVICE            10/18 05
COMMAND: 9101       CENTRAL INDEX SYSTEM - ID # SEARCH/DISPLAY           10:02:55

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

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

       SSN:                         CONSOLIDATED A-NOS     --OTHER INFORMATION--
I-94 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
```

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.

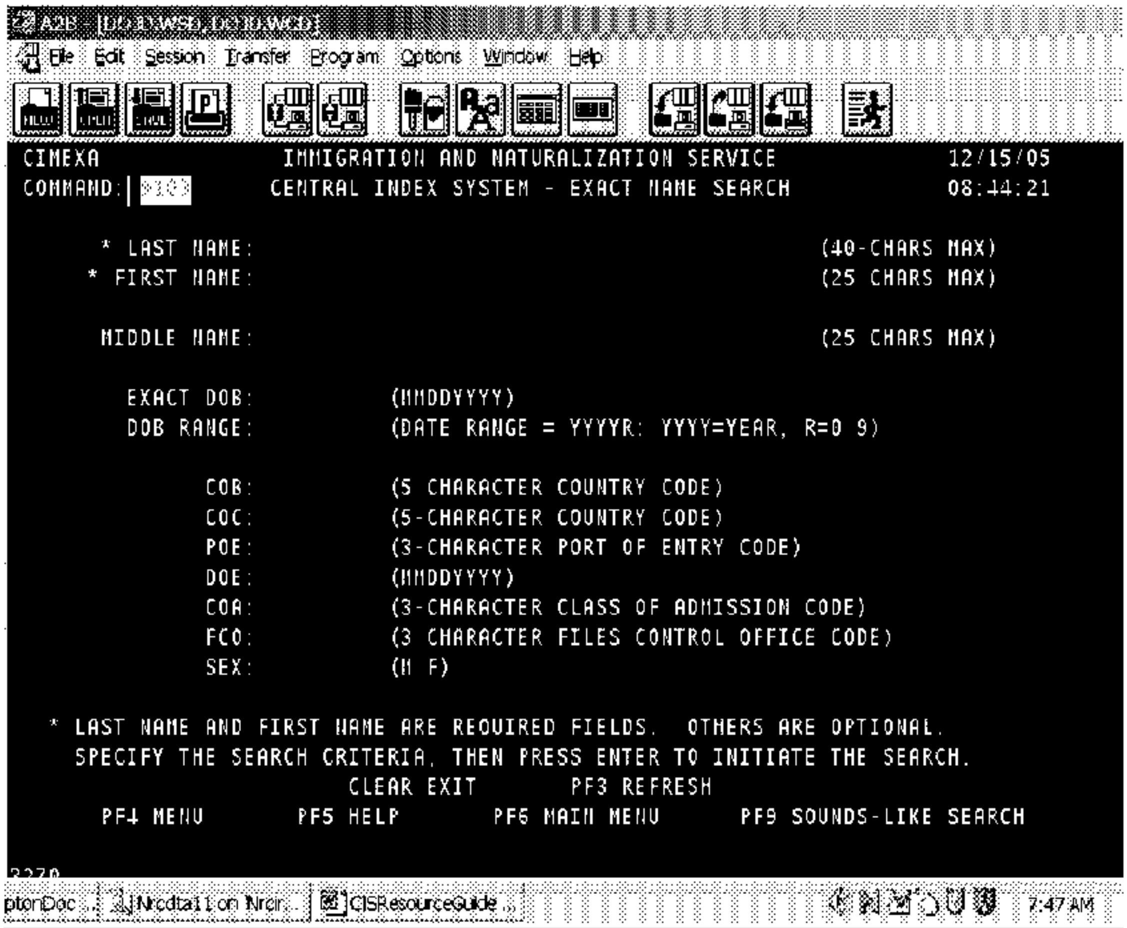
### *5.1.5 Sounds-Like Name Search (9102)*



```
CIMSND             IMMIGRATION AND NATURALIZATION SERVICE            10/18/05
COMMAND: 9102        CENTRAL INDEX SYSTEM - "SOUNDS LIKE" SEARCH      10:09:04

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

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

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

              COB:          (5 CHARACTER COUNTRY CODE)
              COC:          (5-CHARACTER COUNTRY CODE)
              POE:          (3 CHARACTER PORT OF ENTRY CODE)
              DOE:          (MMDDYYYY)
              COA:          (3-CHARACTER CLASS OF ADMISSION CODE)
              FCO:          (3-CHARACTER FILES CONTROL OFFICE CODE)
              SEX:          (M F)
 *LAST NAME IS REQUIRED FIELD. OTHER FIELDS ARE OPTIONAL.
 SPECIFY SEARCH CRITERIA, PRESS ENTER TO INITIATE "SOUND LIKE" SEARCH
   CLEAR EXIT    PF3 REFRESH    PF4 MENU    PF5 HELP    PF6 MAIN MENU

3270
```

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)*



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

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

     MIDDLE NAME:                                        (25 CHARS MAX)

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

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

  * LAST NAME AND FIRST NAME ARE REQUIRED FIELDS.  OTHERS ARE OPTIONAL.
    SPECIFY THE SEARCH CRITERIA, THEN PRESS ENTER TO INITIATE THE SEARCH.
                        CLEAR EXIT       PF3 REFRESH
     PF4 MENU       PF5 HELP       PF6 MAIN MENU      PF9 SOUNDS-LIKE SEARCH

3270
```

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.

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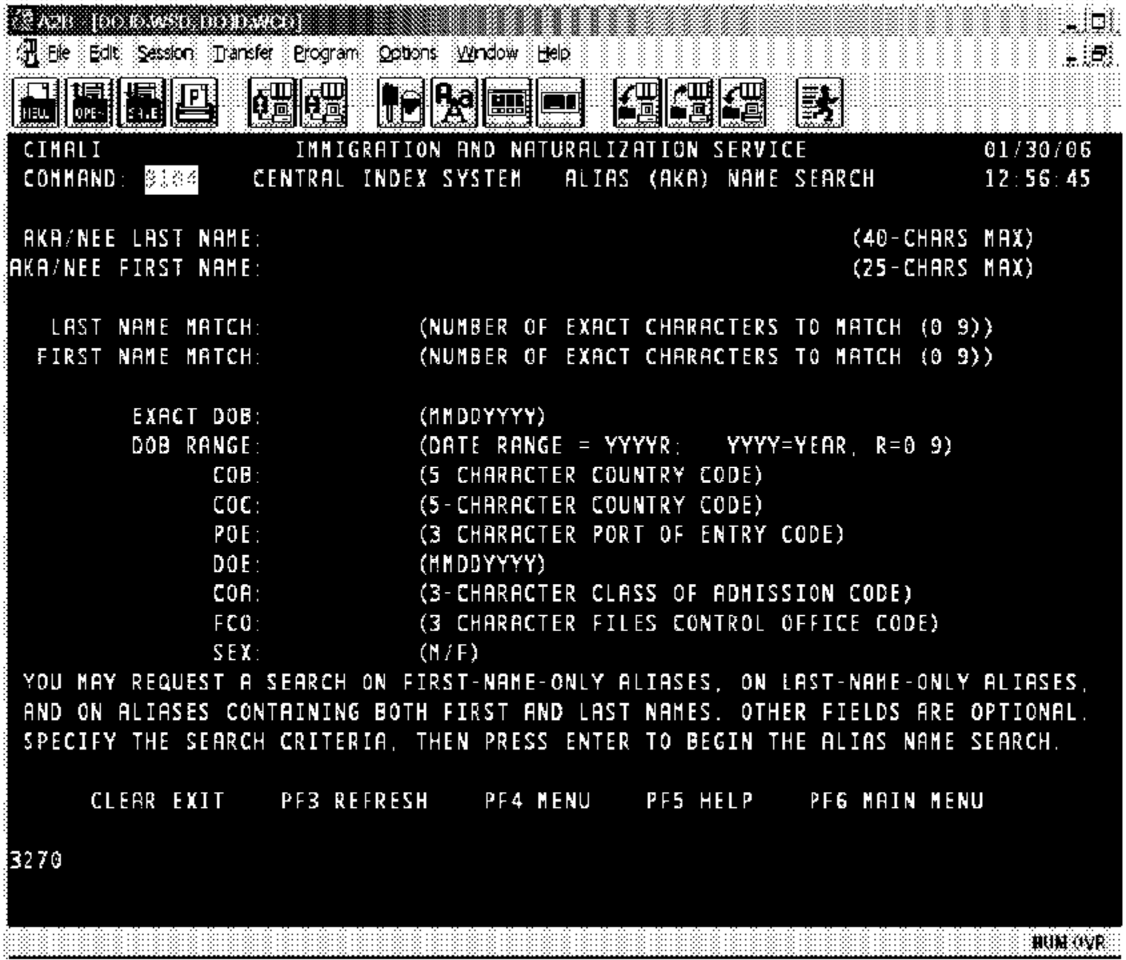
### *5.1.7 Alias (AKA) Name Search (9104)*



```
 CIMALI                  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
```

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

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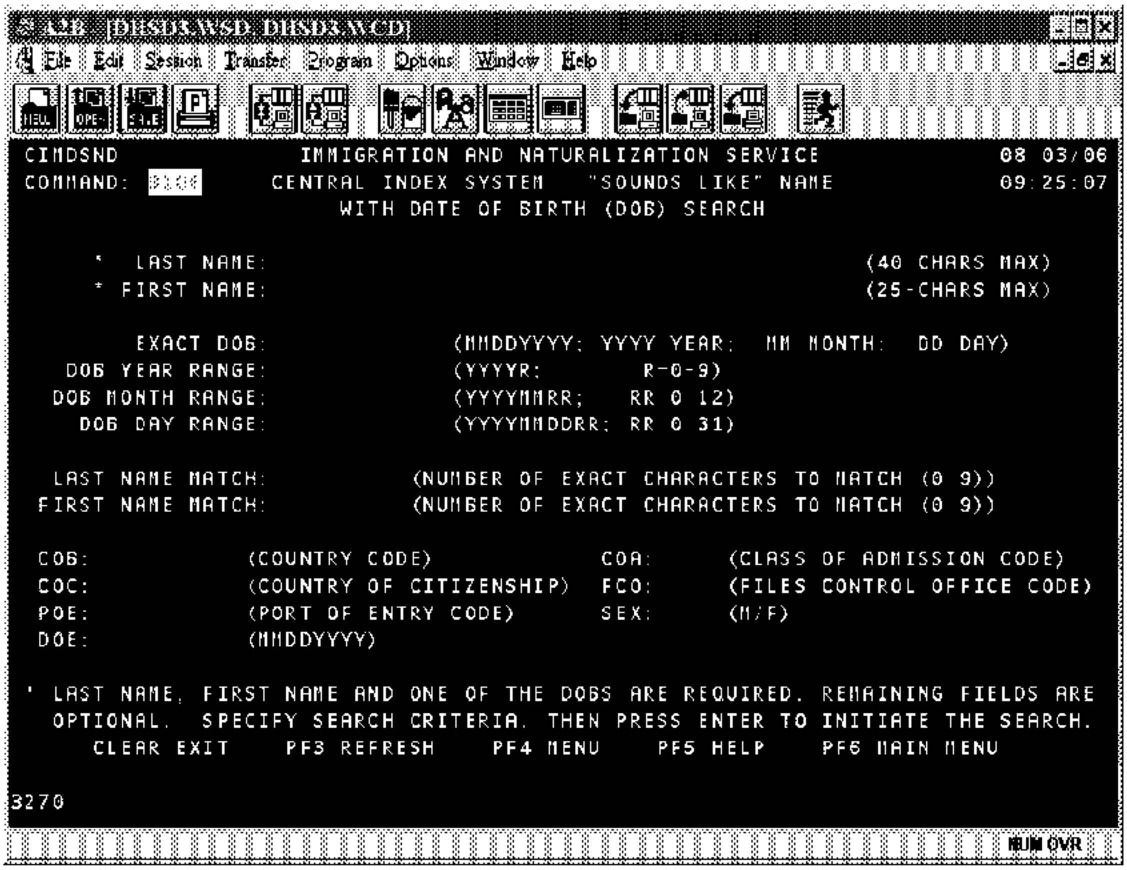
### *5.1.8 Sounds Like Name With Date of Birth (DOB) Search (9106)*



```
CIMDSND            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
```

The 9106 screen allows searches for information pertaining to the subject of the request even if the spelling of the name is incorrect. For example, the requestor made a typographical error in the spelling of the name the search results will yield a list of similar names matching the subjects.

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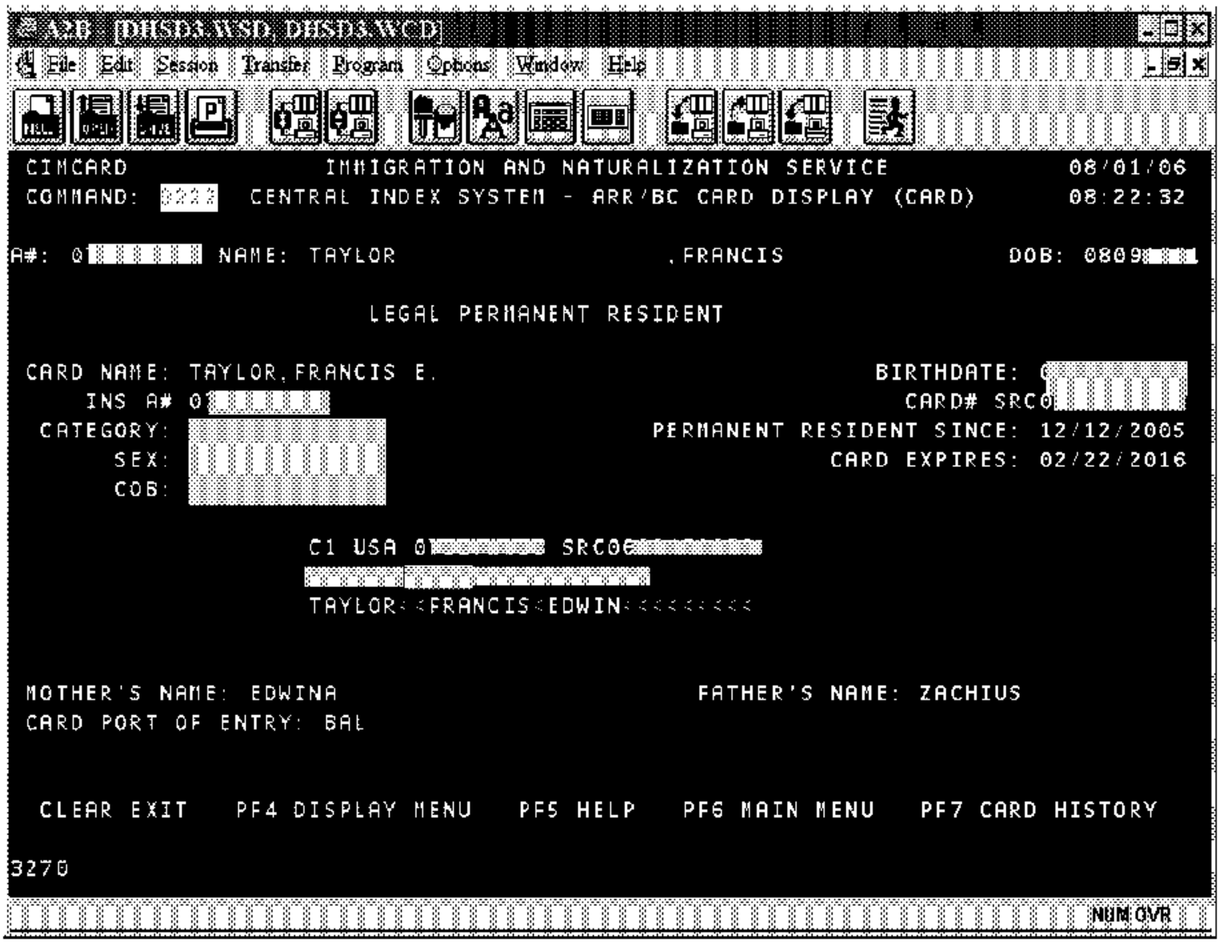
### 5.1.9 *Card Search (9222)*


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

```
 CIMCARD              IMMIGRATION AND NATURALIZATION SERVICE              08/01/06
 COMMAND: 9222  CENTRAL INDEX SYSTEM - ARR/BC CARD DISPLAY (CARD)       08:22:32

A#: 0[redacted] NAME: TAYLOR                       ,FRANCIS               DOB: 0809[redacted]

                           LEGAL PERMANENT RESIDENT

 CARD NAME: TAYLOR,FRANCIS E.                                BIRTHDATE: [redacted]
     INS A# 0[redacted]                                          CARD# SRC0[redacted]
  CATEGORY: [redacted]                          PERMANENT RESIDENT SINCE: 12/12/2005
       SEX:                                               CARD EXPIRES: 02/22/2016
       COB:

                          C1 USA 0[redacted] SRC06[redacted]
                          [redacted]
                          TAYLOR<<FRANCIS<EDWIN<<<<<<<<<

 MOTHER'S NAME: EDWINA                         FATHER'S NAME: ZACHIUS
 CARD PORT OF ENTRY: BAL


  CLEAR EXIT   PF4 DISPLAY MENU   PF5 HELP   PF6 MAIN MENU   PF7 CARD HISTORY

3270
```

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.

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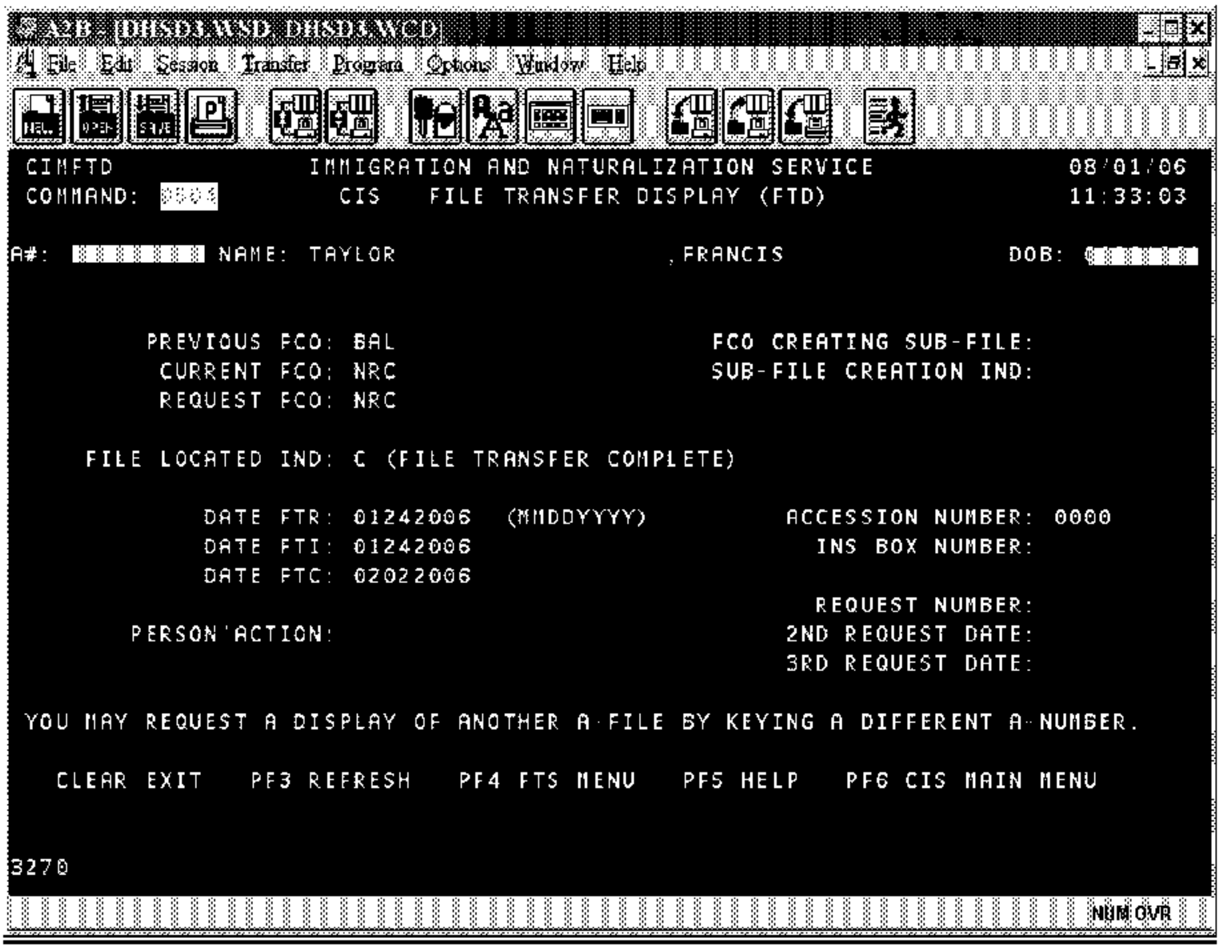
### *5.1.10 File Transfer Display (9504)*



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

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


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

     FILE LOCATED IND: C (FILE TRANSFER COMPLETE)

             DATE FTR: 01242006  (MMDDYYYY)         ACCESSION NUMBER: 0000
             DATE FTI: 01242006                       INS BOX NUMBER:
             DATE FTC: 02022006
                                                      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
```

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

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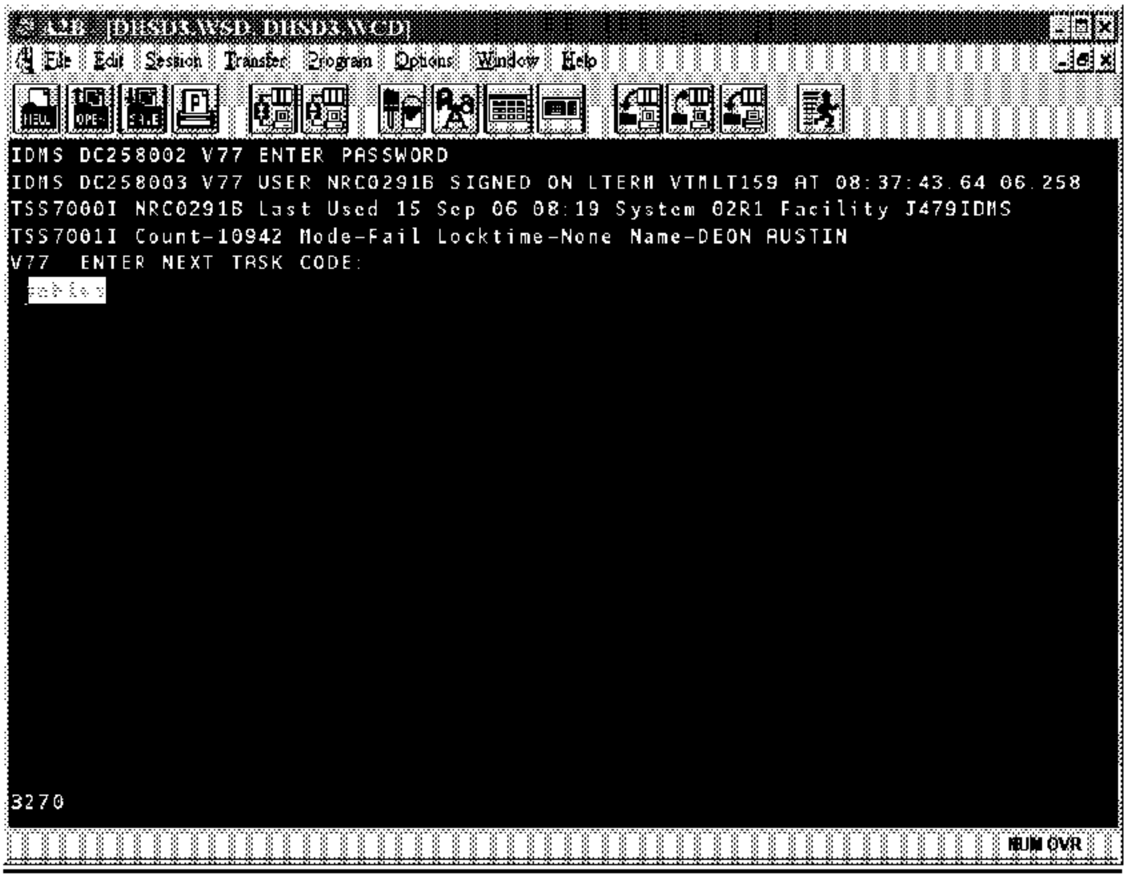
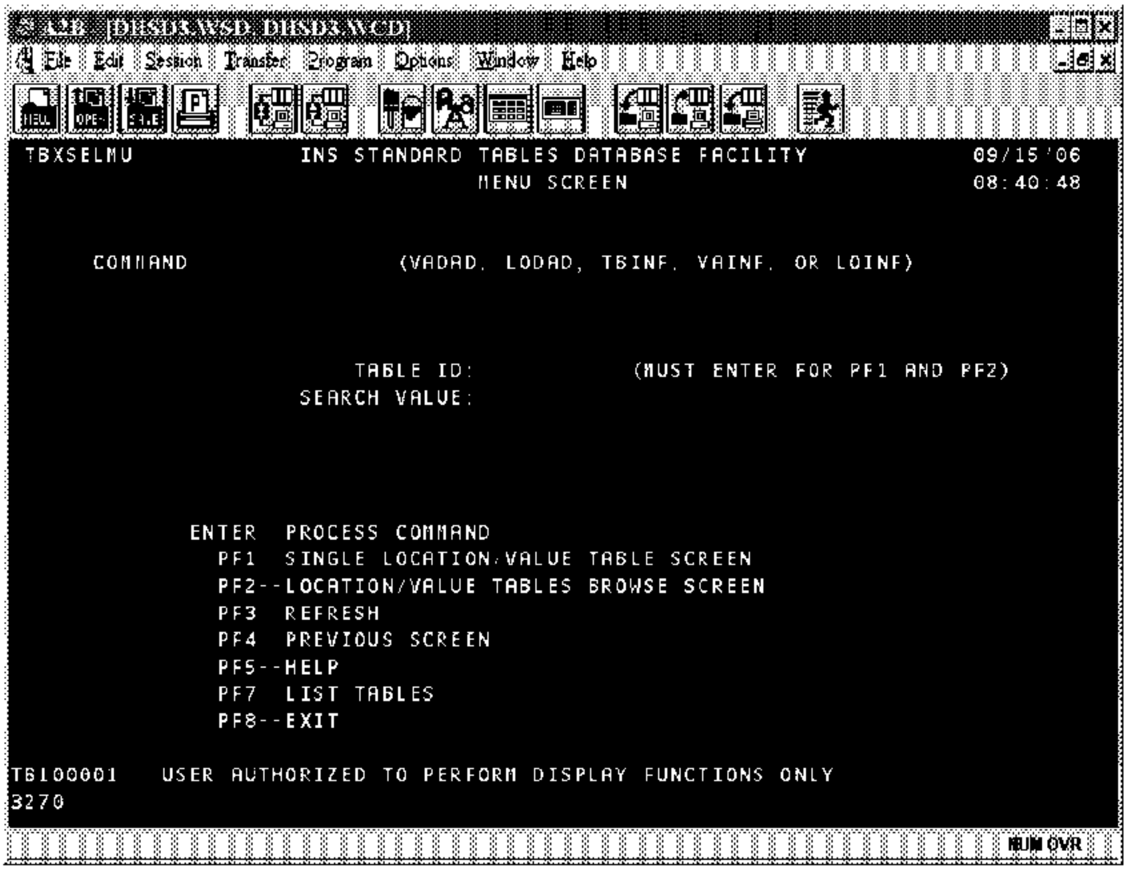
### *5.1.11 Tables*



```
IDMS DC258002 V77 ENTER PASSWORD
IDMS DC258003 V77 USER NRC0291B SIGNED ON LTERM VTMLT159 AT 08:37:43.64 06.258
TSS7000I NRC0291B Last Used 15 Sep 06 08:19 System 02R1 Facility J479IDMS
TSS7001I Count-10942 Mode-Fail Locktime-None Name-DEON AUSTIN
V77  ENTER NEXT TASK CODE:
 tables







3270
```

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*



```
 TBXSELMU            INS STANDARD TABLES DATABASE FACILITY          09/15/06
                                  MENU SCREEN                         08:40:48


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



                        TABLE ID:           (MUST ENTER FOR PF1 AND PF2)
                   SEARCH VALUE:




             ENTER  PROCESS COMMAND
               PF1  SINGLE LOCATION/VALUE TABLE SCREEN
               PF2--LOCATION/VALUE TABLES BROWSE SCREEN
               PF3  REFRESH
               PF4  PREVIOUS SCREEN
               PF5--HELP
               PF7  LIST TABLES
               PF8--EXIT

TB100001   USER AUTHORIZED TO PERFORM DISPLAY FUNCTIONS ONLY
3270
```

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

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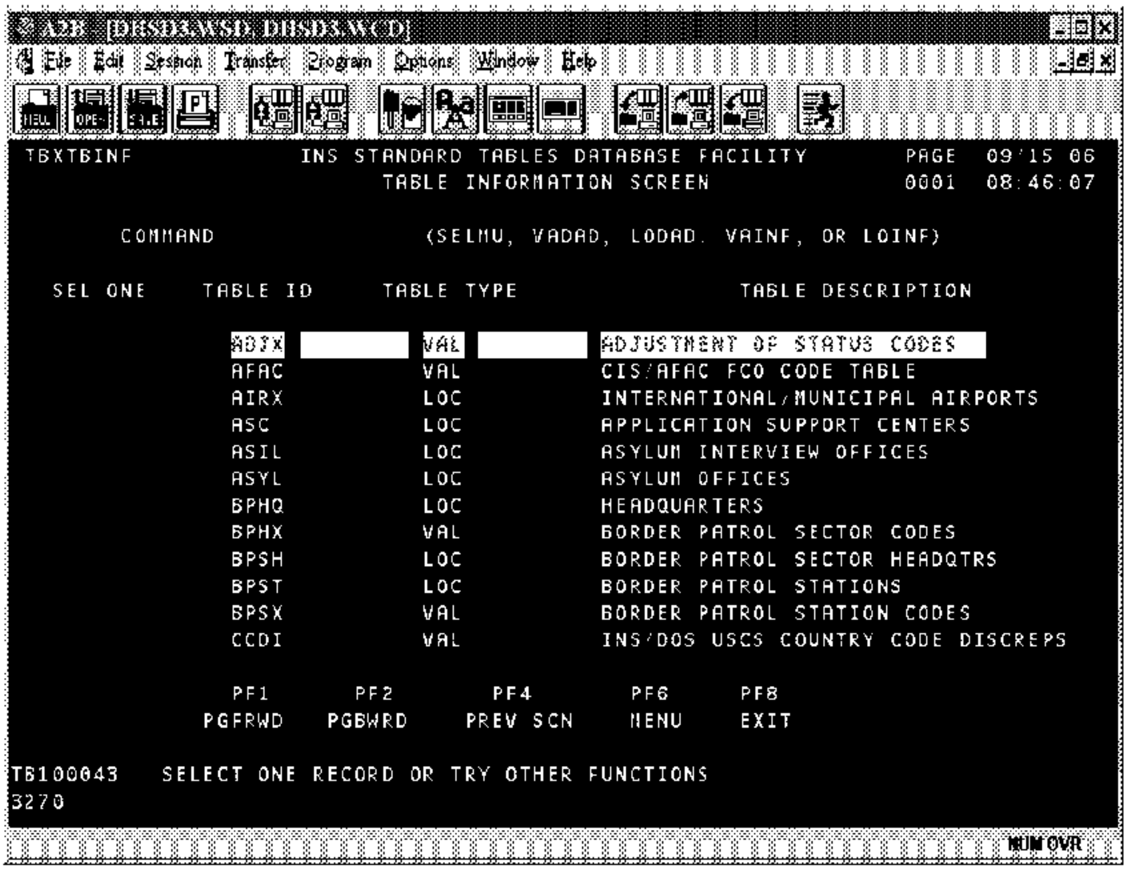
### 5.1.13 *Tables Information Screen*



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

      COMMAND                (SELMU, VADAD, LODAD. VAINF, OR LOINF)

  SEL ONE     TABLE ID      TABLE TYPE              TABLE DESCRIPTION

              ADJX          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
```

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.

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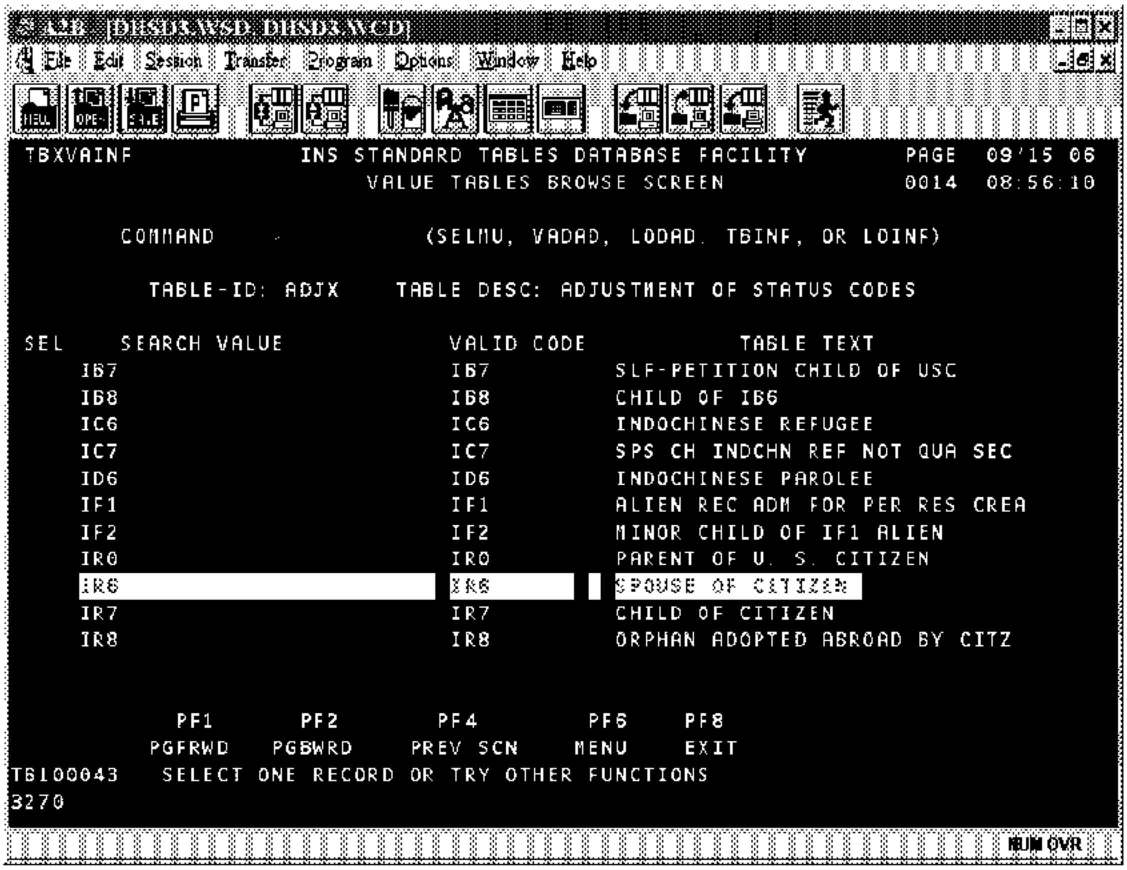
### 5.1.14 *Value Tables Browse Screen*



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

        COMMAND    -              (SELMU, VADAD, LODAD. TBINF, OR LOINF)

          TABLE-ID: ADJX     TABLE DESC: ADJUSTMENT OF STATUS CODES

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


              PF1       PF2         PF4         PF6     PF8
            PGFRWD    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.

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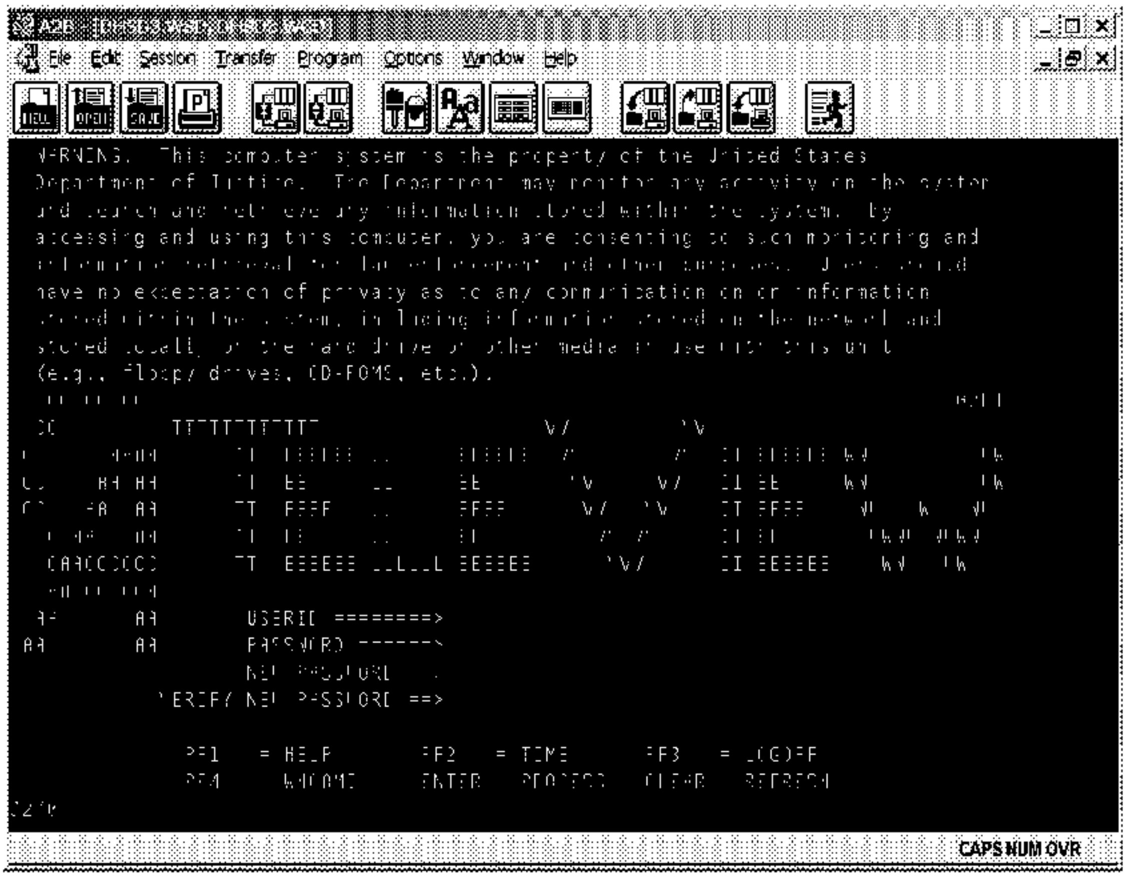
## 5.2. Computer Linked Application Information Management System

### *5.2.1 Introduction*

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

### *5.2.2 Teleview Introduction Screen*


File
Edit
Session
Transfer
Program
Options
Window
Help
USERID ========>
PASSWORD ------->
NEW PASSWORD ==>
VERIFY NEW PASSWORD ==>
PF1 = HELP
PF2 = TIME
PF3 = LOGOFF
PF4 WHOAMI
ENTER PROCEED
CLEAR REFRESH
CAPS NUM OVR

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

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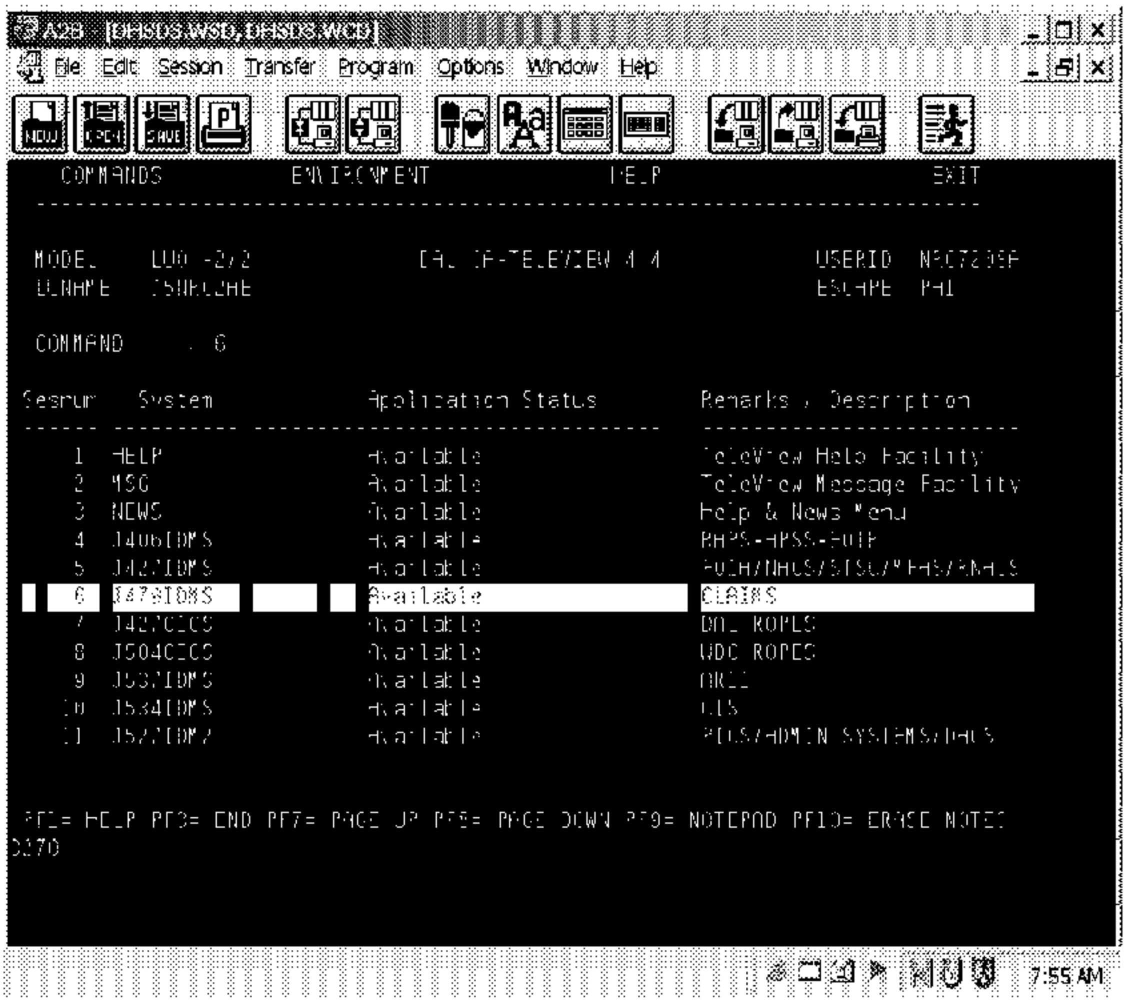
### 5.2.3 CLAIMS Selection Screen


A2B - [DHSDS.WSD, DHSDS.WCD]
File Edit Session Transfer Program Options Window Help
NEW OPEN SAVE
7:55 AM

```
   COMMANDS          ENVIRONMENT            HELP                  EXIT
 ----------------------------------------------------------------------

 MODEL     LU0 -2/2           CAL IF-TELEVIEW 4 4          USERID  NRC7209F
 LUNAME    I5NHC2HE                                        ESCAPE  PA1

 COMMAND      6

Sesnum   System            Application Status       Remarks / Description
------ ---------- -------------------------------  ------------------------
    1  HELP               Available                TeleView Help Facility
    2  MSG                Available                TeleView Message Facility
    3  NEWS               Available                Help & News Menu
    4  J406IDMS           Available                RHPS-HPSS-EOIR
    5  J422IDMS           Available                FOIA/NHCS/STSC/MFAS/RNACS
    6  J479IDMS           Available                CLAIMS
    7  J427CICS           Available                DAL ROPES
    8  J504CICS           Available                WDC ROPES
    9  J537IDMS           Available                ARII
   10  J534IDMS           Available                CIS
   11  J577IDMS           Available                FOIS/ADMIN SYSTEMS/DACS


 PF1= HELP PF3= END PF7= PAGE UP PF8= PAGE DOWN PF9= NOTEPAD PF10= ERASE NOTE?
D270
```

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

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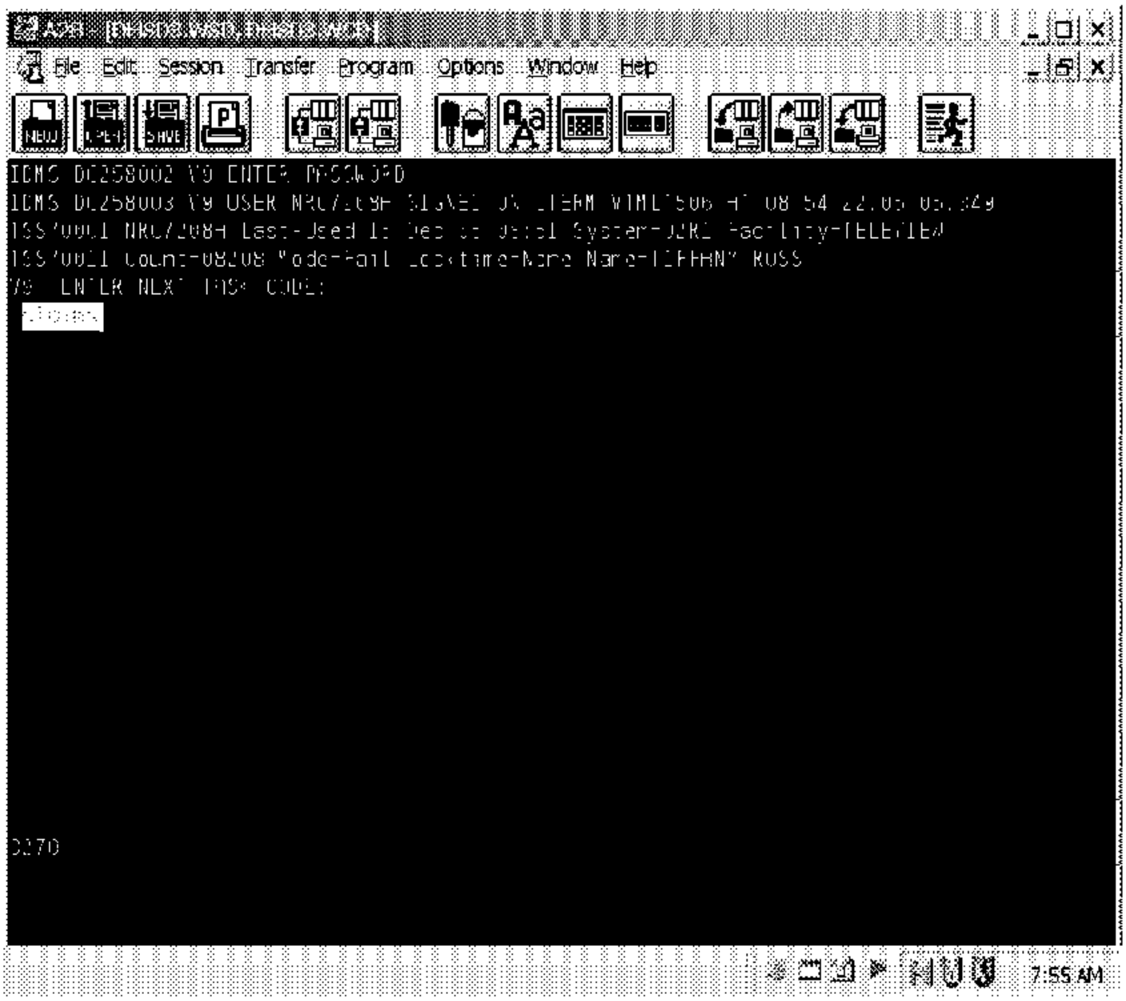
### 5.2.4 *CLAIMS Function Screen*



```
IDMS DC258002 V9 ENTER PASSWORD
IDMS DC258003 V9 USER NRC7208H SIGNED ON LTERM VIML7506 AT 08 54 22.05 05.349
ISS7001I NRC7208H Last-Used is Dec [illegible] [illegible] System=J2RL Facility=TELEVIEW
ISS7001I Count=08208 Mode=Fail Locktime=None Name=TIFFANY ROSS
V9  ENTER NEXT TASK CODE:
 claims

3270
```

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

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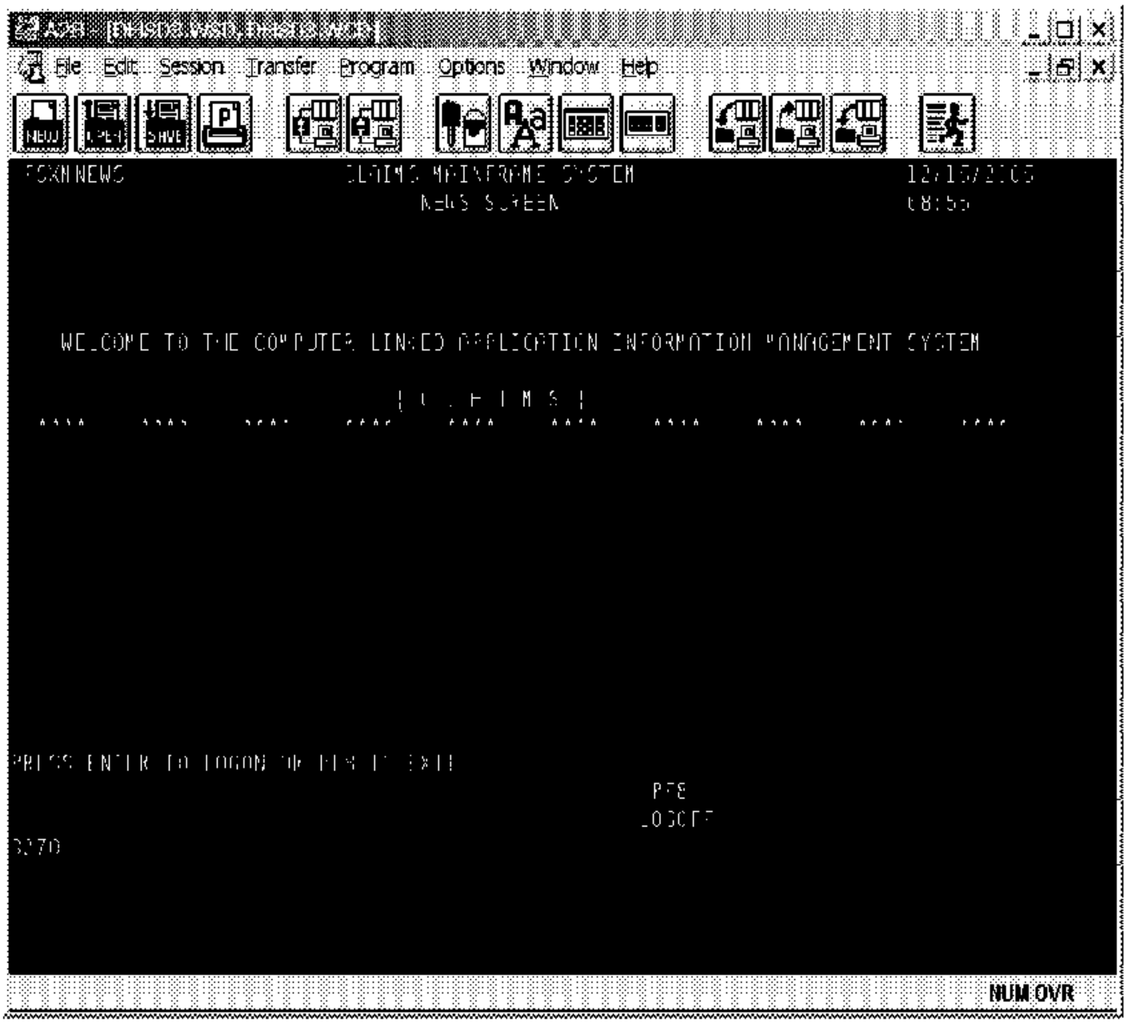
### *5.2.5 CLAIMS Welcome Screen*



```
FOXNNEWS                   CLAIMS MAINFRAME SYSTEM                    12/15/2005
                                 NEWS SCREEN                          08:55



  WELCOME TO THE COMPUTER LINKED APPLICATION INFORMATION MANAGEMENT SYSTEM

                             ( C L A I M S )
 ****     ****     ****     ****     ****     ****     ****     ****     ****     ****








PRESS ENTER TO LOGON OR PF3 TO EXIT
                                            PF3
                                           LOGOFF
3270
```

Press enter from here to get to the logon screen.

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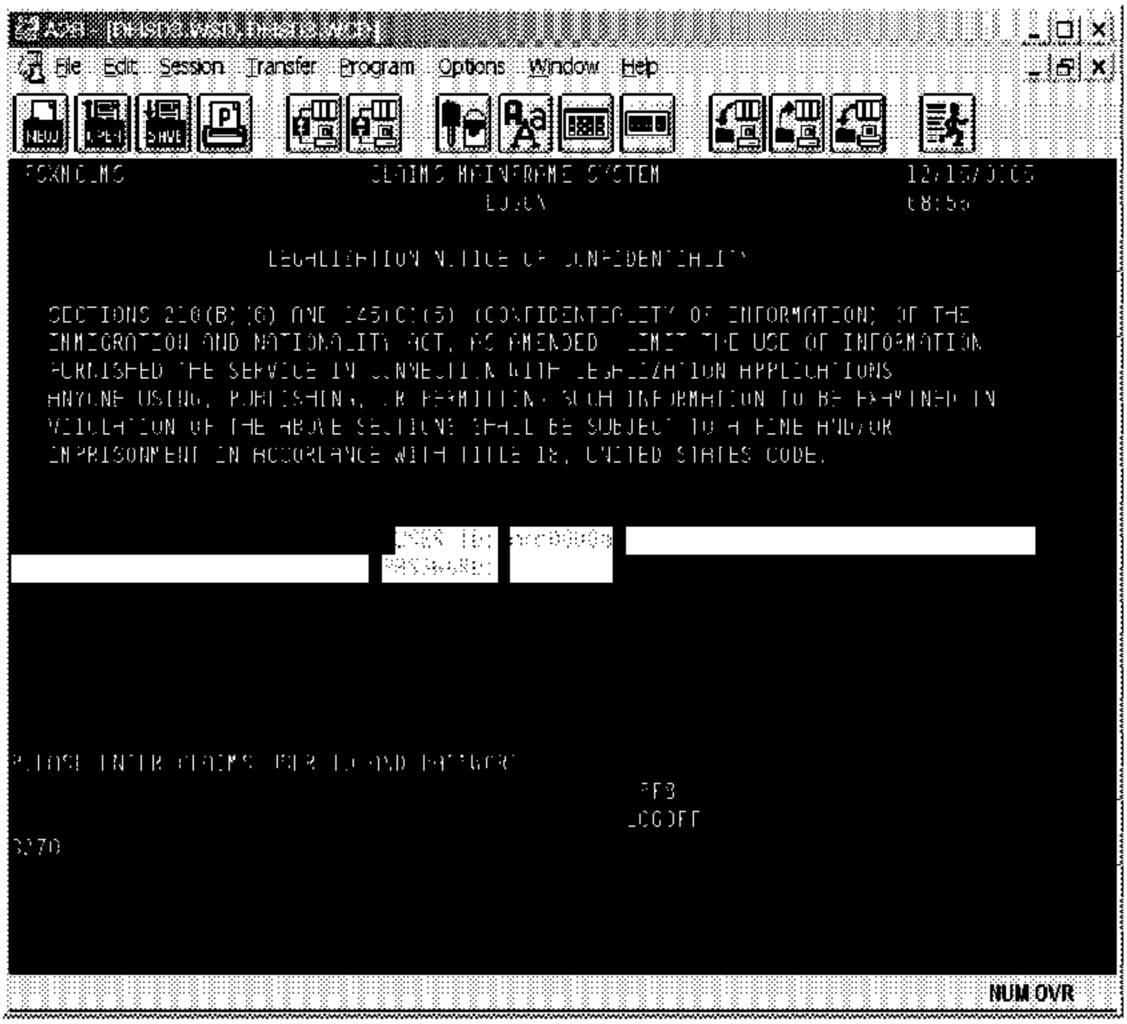
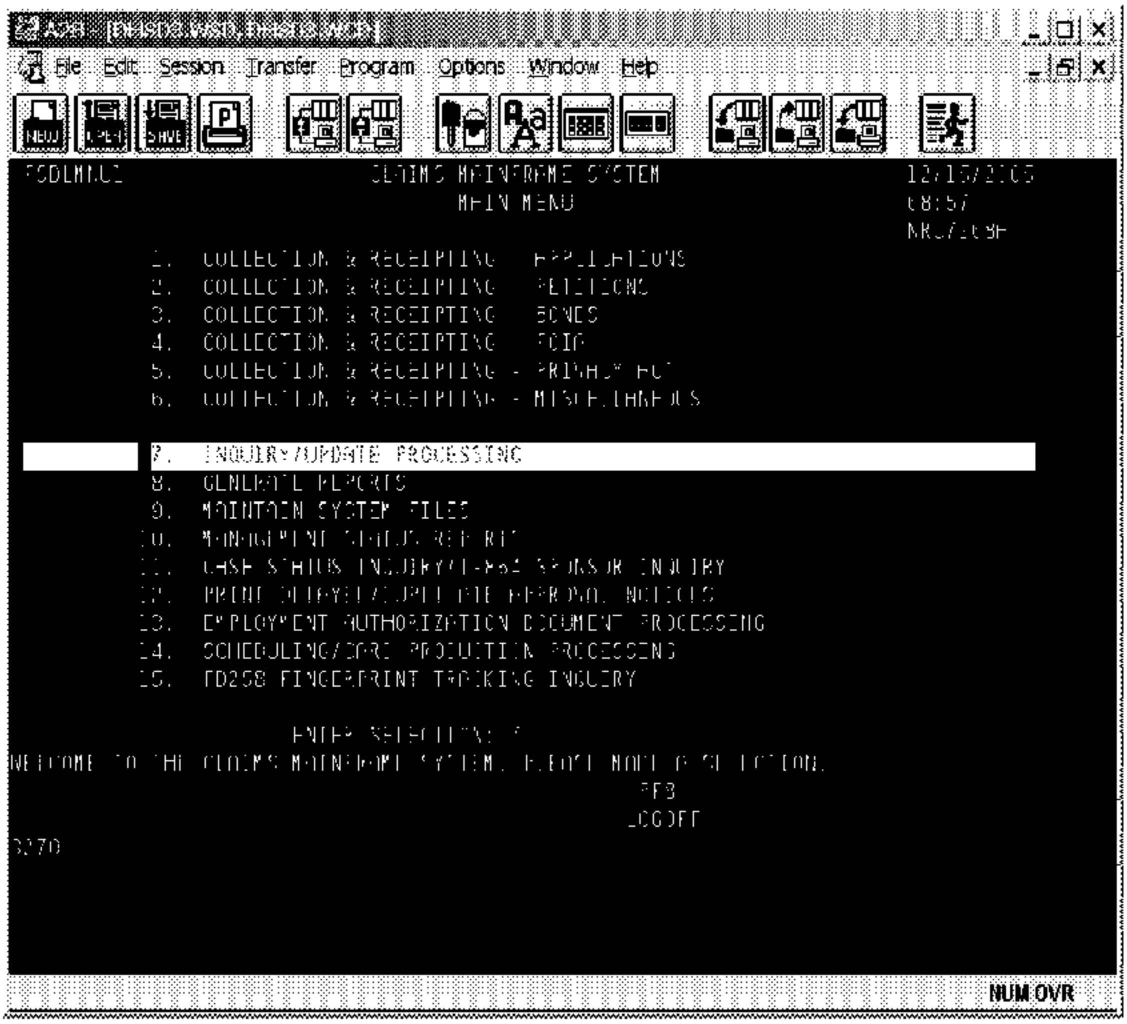
### *5.2.6 CLAIMS Logon Screen*



```
FOXNCLMS                        CLAIMS MAINFRAME SYSTEM                    12/15/2005
                                         LOGON                             08:55

                 LEGALIZATION NOTICE OF CONFIDENTIALITY

  SECTIONS 210(B)(6) AND 245(C)(5) (CONFIDENTIALITY OF INFORMATION) OF THE
  IMMIGRATION AND NATIONALITY ACT, AS AMENDED, LIMIT THE USE OF INFORMATION
  FURNISHED THE SERVICE IN CONNECTION WITH LEGALIZATION APPLICATIONS.
  ANYONE USING, PUBLISHING, OR PERMITTING SUCH INFORMATION TO BE EXAMINED IN
  VIOLATION OF THE ABOVE SECTIONS SHALL BE SUBJECT TO A FINE AND/OR
  IMPRISONMENT IN ACCORDANCE WITH TITLE 18, UNITED STATES CODE.


                                  USER ID: [illegible]
                                 PASSWORD:



PLEASE ENTER CLAIMS USER ID AND PASSWORD
                                                          PF3
                                                         LOGOFF
3270
```

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*



```
FSDLMNU1                    CLAIMS MAINFRAME SYSTEM                      12/15/2005
                                   MAIN MENU                             08:57
                                                                         [illegible]
           1.   COLLECTION & RECEIPTING   APPLICATIONS
           2.   COLLECTION & RECEIPTING   PETITIONS
           3.   COLLECTION & RECEIPTING   BONDS
           4.   COLLECTION & RECEIPTING   FOIA
           5.   COLLECTION & RECEIPTING - PRIVACY ACT
           6.   COLLECTION & RECEIPTING - MISCELLANEOUS

           7.   INQUIRY/UPDATE PROCESSING
           8.   GENERATE REPORTS
           9.   MAINTAIN SYSTEM FILES
          10.   MANAGEMENT STATUS REPORT
          11.   CASE STATUS INQUIRY/I-864 SPONSOR INQUIRY
          12.   PRINT DELAYED/[illegible] FILE APPROVAL NOTICES
          13.   EMPLOYMENT AUTHORIZATION DOCUMENT PROCESSING
          14.   SCHEDULING/CARD PRODUCTION PROCESSING
          15.   FD258 FINGERPRINT TRACKING INQUIRY

                         ENTER SELECTION: 7
WELCOME TO THE CLAIMS MAINFRAME SYSTEM. PLEASE MAKE A SELECTION.
                                                   PF3
                                                   LOGOFF
3270
```

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

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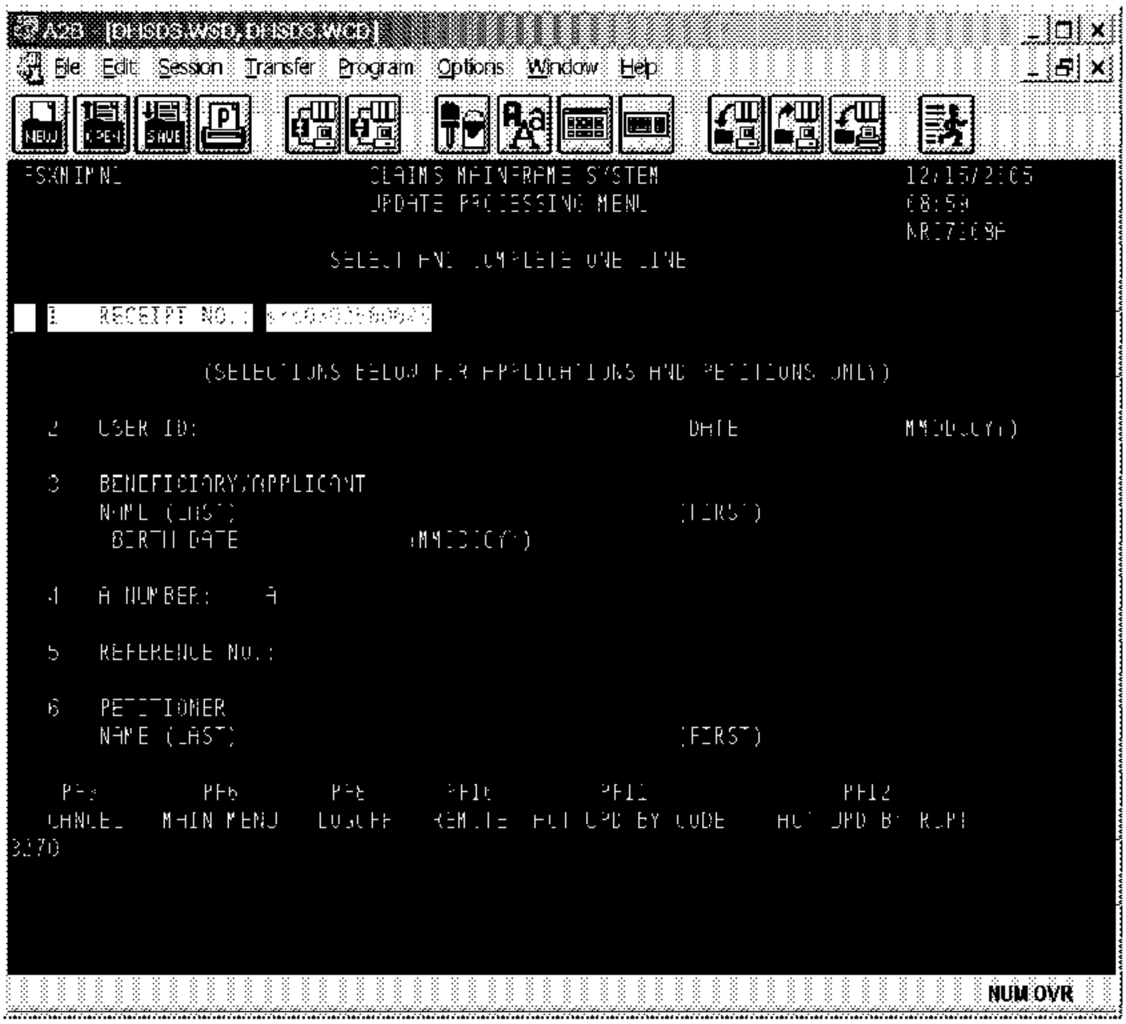
### 5.2.8 *Inquiry Screen, searching with a Receipt Number*


A2B - [DHSDS.WSD, DHSDS.WCD]
File Edit Session Transfer Program Options Window Help
NEW
OPEN
SAVE
NUM OVR

```
FSXNIMNI                 CLAIMS MAINFRAME SYSTEM                  12/15/2005
                         UPDATE PROCESSING MENU                   08:59
                                                                  NRI71C9F
                      SELECT AND COMPLETE ONE LINE

 1   RECEIPT NO.: [illegible]

            (SELECTIONS BELOW FOR APPLICATIONS AND PETITIONS ONLY)

  2   USER ID:                                     DATE             (MMDDCCYY)

  3   BENEFICIARY/APPLICANT
      NAME (LAST)                                  (FIRST)
       BIRTH DATE             (MMDDCCYY)

  4   A NUMBER:     A

  5   REFERENCE NO.:

  6   PETITIONER
      NAME (LAST)                                  (FIRST)

   PF3        PF6        PF8      PF10        PF11                PF12
  CANCEL   MAIN MENU   LOGOFF   REMOTE   ACT UPD BY CODE    ACT UPD BY RCPT
3270
```

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.

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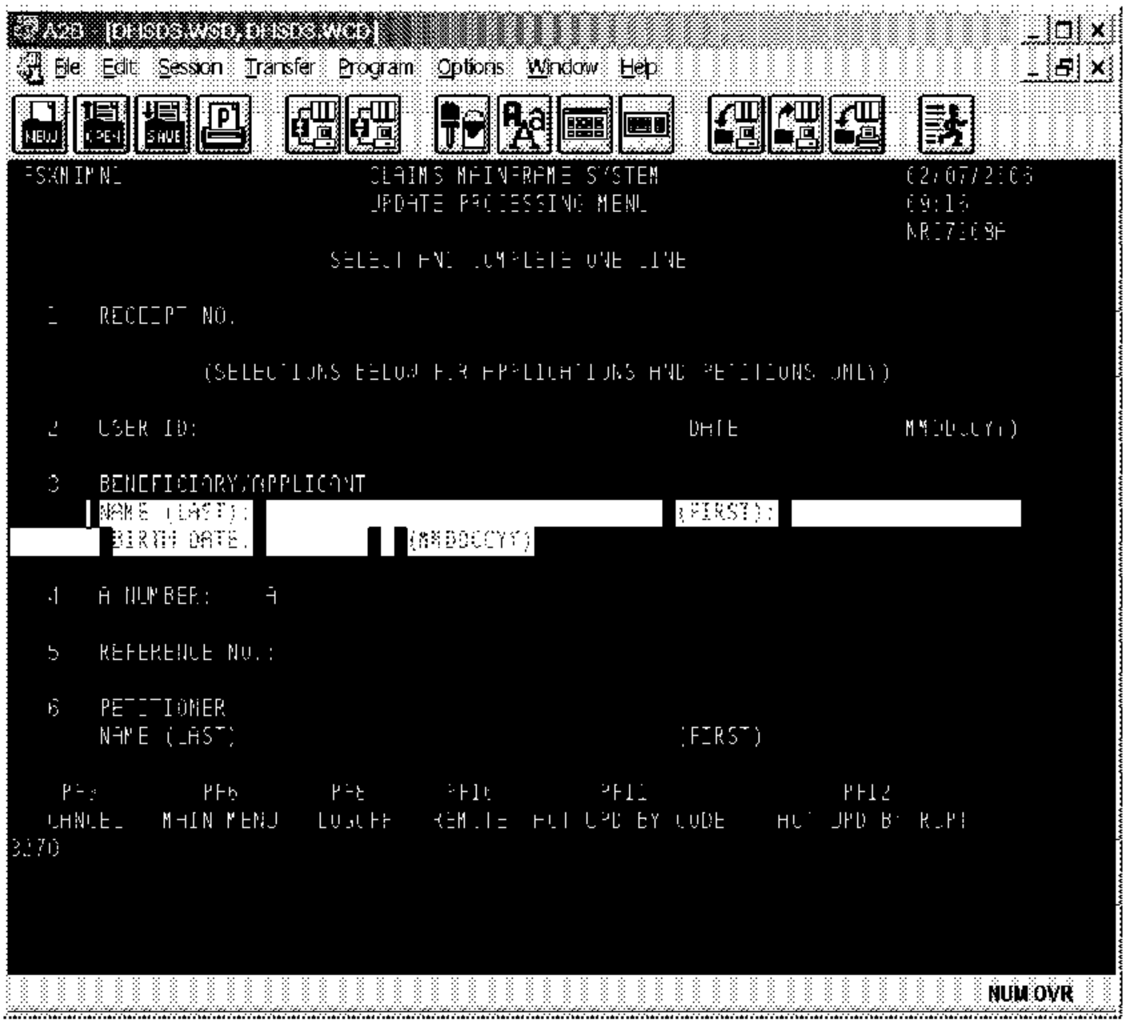
### *5.2.9 Searching CLAIMS using a Name and Date of Birth*


A2B - [DHSDS.WSD, DHSDS.WCD]
File Edit Session Transfer Program Options Window Help
NEW
OPEN
SAVE
NUM OVR

```
FSXNIPNU                 CLAIMS MAINFRAME SYSTEM                  02/07/2006
                         UPDATE PROCESSING MENU                   09:15
                                                                  NRI7109F
                      SELECT AND COMPLETE ONE LINE

  1   RECEIPT NO.

            (SELECTIONS BELOW FOR APPLICATIONS AND PETITIONS ONLY)

  2   USER ID:                                    DATE            MMDDCCYY)

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

  4   A NUMBER:     A

  5   REFERENCE NO.:

  6   PETITIONER
      NAME (LAST)                                 (FIRST)

   PF3       PF6        PF8      PF10       PF11                 PF12
  CANCEL   MAIN MENU   LOGOFF   REMOTE   ACT UPD BY CODE     ACT UPD BY RCPT
3270
```

You may also search name and birth date. CLAIMS does not forgive spelling errors and will not conduct "sounds-like" searches. If you do not immediately find a receipt, you should also search by alias names and variations of the name. You may also search without the birth date. This may have the results you are looking for depending on how common the name of the subject. Searching using the birth date will narrow the findings.

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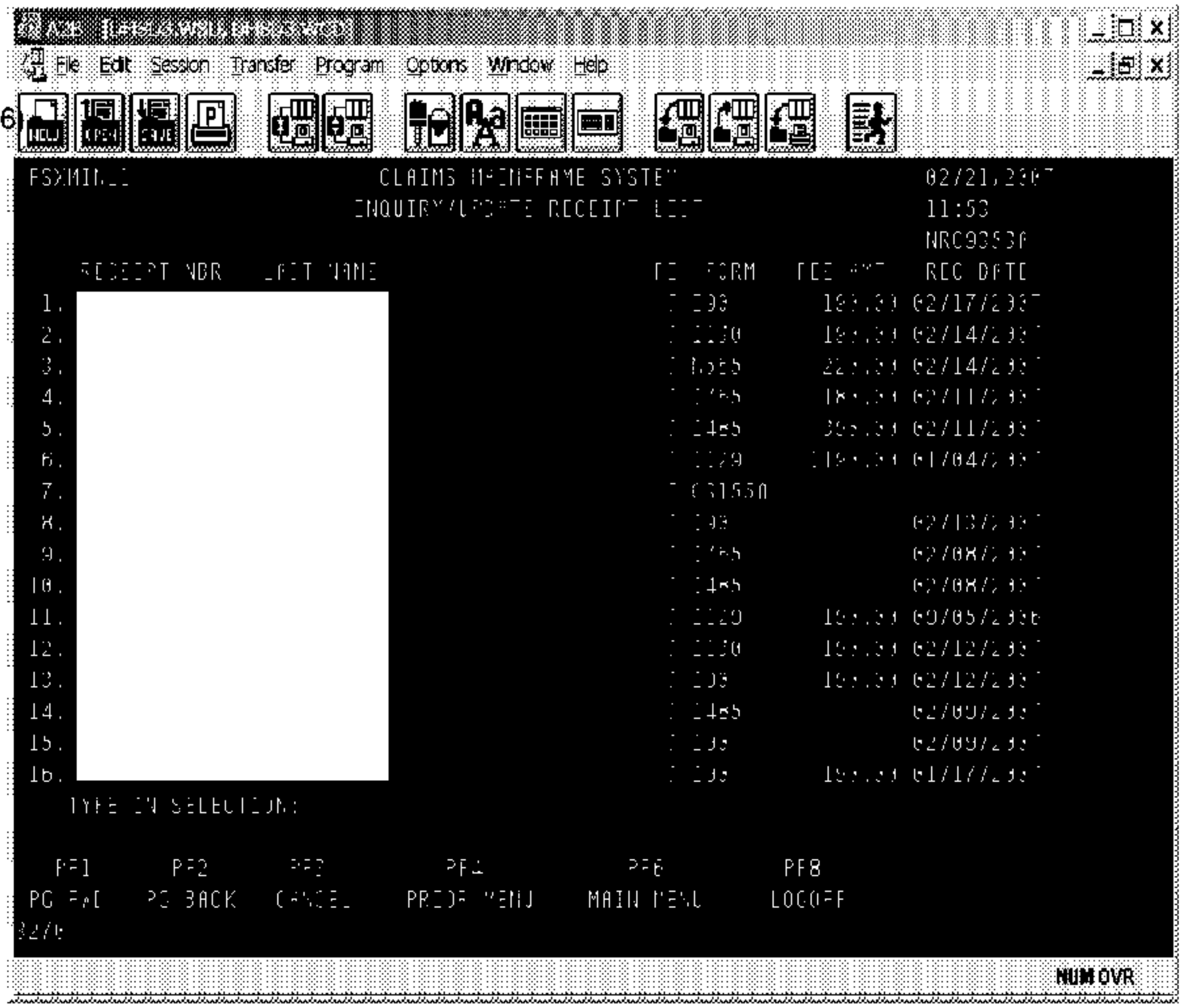
(b)(6)

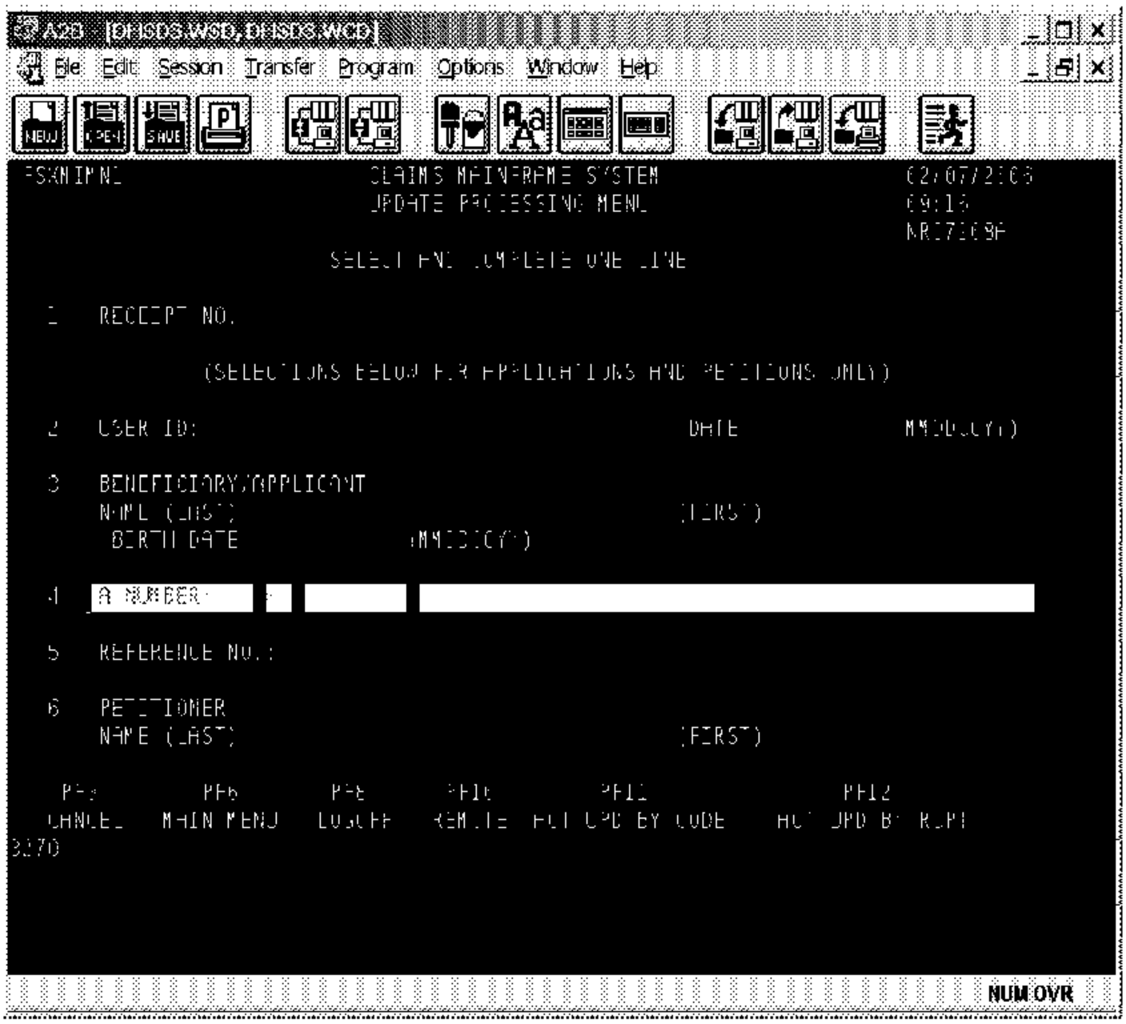


```
FSXMIN..                    CLAIMS MAINFRAME SYSTEM               02/21/2007
                          INQUIRY/UPDATE RECEIPT LIST             11:53
                                                                  NRC93S3A
    RECEIPT NBR    LAST NAME                    FD  FORM   FEE AMT  REC DATE
 1. [redacted]                                  I   I90     190.00 02/17/2007
 2.                                             I   I130    190.00 02/14/2007
 3.                                             I   N565    220.00 02/14/2007
 4.                                             I   I765    180.00 02/11/2007
 5.                                             I   I485    325.00 02/11/2007
 6.                                             I   I129    190.00 01/04/2007
 7.                                             I   G31550
 8.                                             I   I90            02/13/2007
 9.                                             I   I765           02/08/2007
10.                                             I   I485           02/08/2007
11.                                             I   I129    190.00 09/05/2006
12.                                             I   I130    190.00 02/12/2007
13.                                             I   I90     190.00 02/12/2007
14.                                             I   I485           02/09/2007
15.                                             I   I90            02/09/2007
16.                                             I   I90     190.00 01/17/2007
   TYPE IN SELECTION:

  PF1       PF2       PF3        PF4          PF6         PF8
PG FWD   PG BACK    CANCEL    PRIOR MENU    MAIN MENU    LOGOFF
3276
```

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*


A28 - [DHSDS.WSD, DHSDS.WCD]
File Edit Session Transfer Program Options Window Help
NEW
OPEN
SAVE
NUM OVR

```
FSXNIMNU                    CLAIMS MAINFRAME SYSTEM                    02/07/2003
                            UPDATE PROCESSING MENU                     09:16
                                                                       NRC7103F
                         SELECT AND COMPLETE ONE LINE

 1   RECEIPT NO.

           (SELECTIONS BELOW FOR APPLICATIONS AND PETITIONS ONLY)

 2   USER ID:                                   DATE             MMDDCCYY)

 3   BENEFICIARY/APPLICANT
     NAME (LAST)                                (FIRST)
      BIRTH DATE            (MMDDCCYY)

 4   A NUMBER:

 5   REFERENCE NO.:

 6   PETITIONER
     NAME (LAST)                                (FIRST)

  PF3        PF6        PF8       PF10        PF11                PF12
 CANCEL   MAIN MENU   LOGOFF    REMOTE   ACT UPD BY CODE     ACT UPD BY RCPT
3270
```

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

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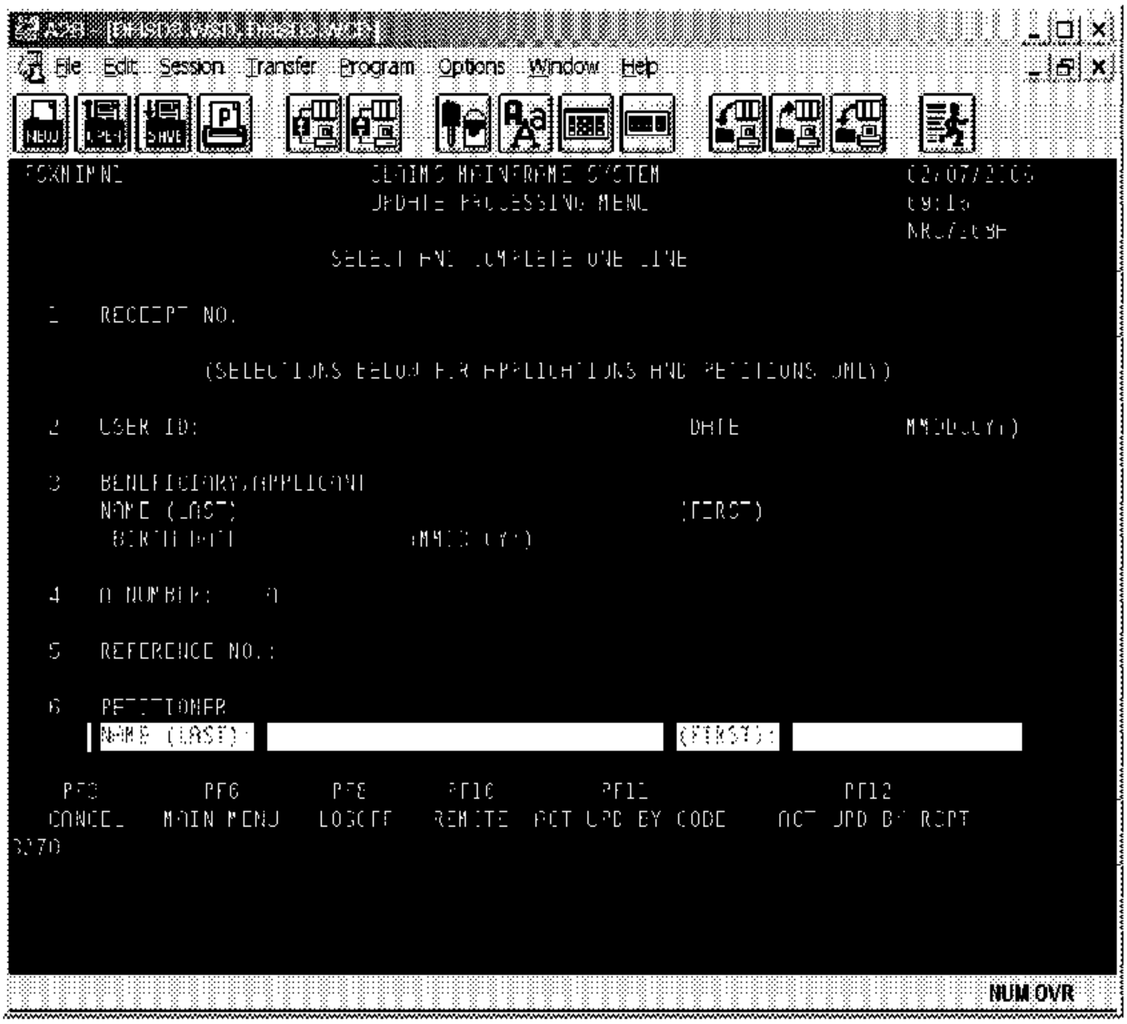
### 5.2.11 *Searching with the Petitioner's Name*



```
FOXNIMNU                  CLAIMS MAINFRAME SYSTEM                02/07/2005
                          UPDATE PROCESSING MENU                 09:15
                                                                 NRC7209F
                     SELECT AND COMPLETE ONE LINE

  1   RECEIPT NO.

          (SELECTIONS BELOW FOR APPLICATIONS AND PETITIONS ONLY)

  2   USER ID:                              DATE               (MMDDCCYY)

  3   BENEFICIARY/APPLICANT
      NAME (LAST)                           (FIRST)
       BIRTH DATE              (MMDDCCYY)

  4   A NUMBER:      A

  5   REFERENCE NO.:

  6   PETITIONER
     |NAME (LAST):                          (FIRST):

  PF3        PF6        PF8       PF10       PF11               PF12
 CANCEL   MAIN MENU   LOGOFF    REWRITE   ACT UPD BY CODE    ACT UPD BY RCPT
3270
```

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.

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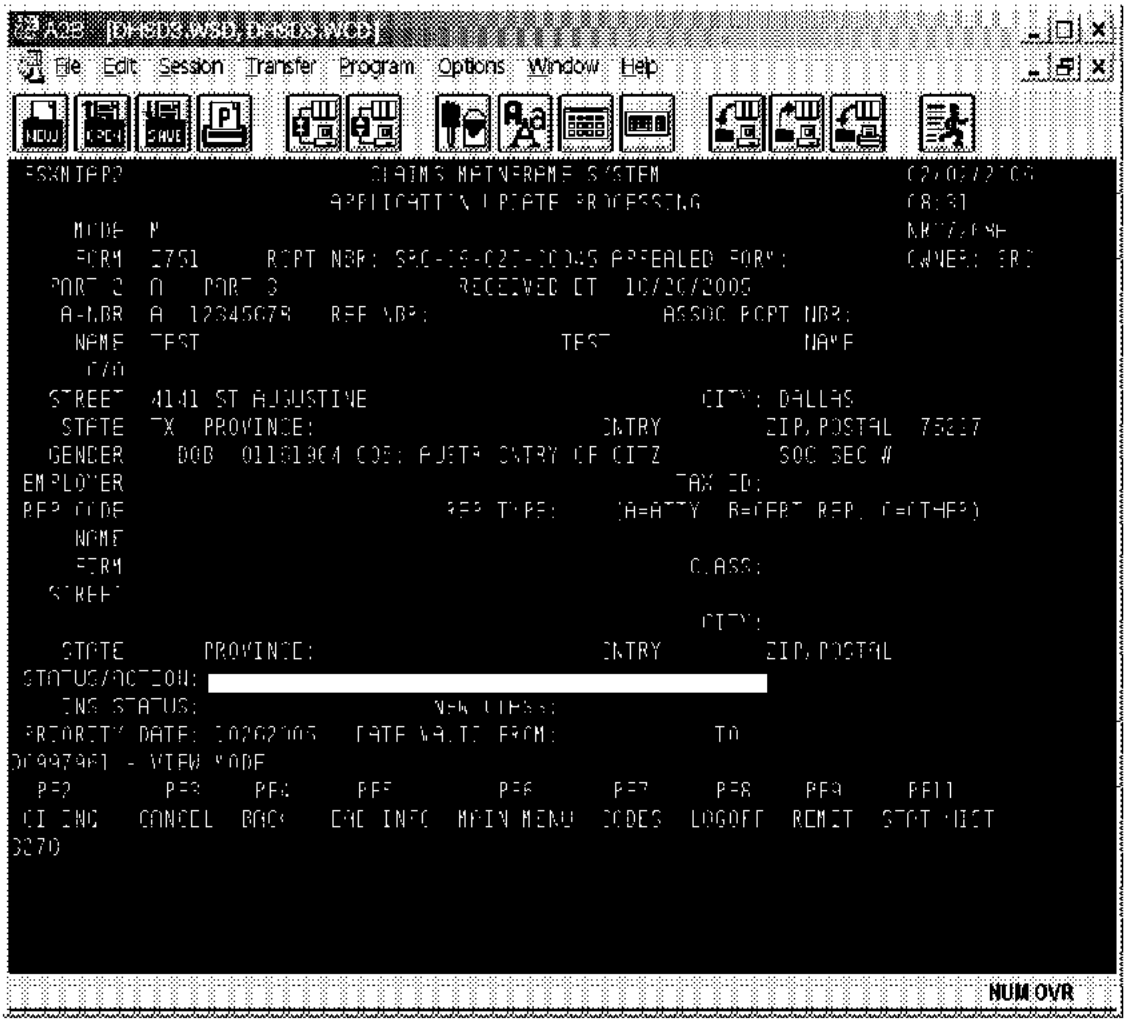
### *5.2.12 Search Results*

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



```
FSXNIAP2                   CLAIMS MAINFRAME SYSTEM                  02/02/2006
                        APPLICATION UPDATE PROCESSING               08:31
    MODE  V                                                         NRC/ANF
    FORM  I751      RCPT NBR: SRC-06-021-00045 APPEALED FORM:       OWNER: SRC
  PART 2  0   PART 3             RECEIVED DT  10/20/2005
   A-NBR  A  12345678   REF NBR:                   ASSOC RCPT NBR:
    NAME  TEST                          TEST                 NAME
     C/O
  STREET  4141 ST AUGUSTINE                          CITY: DALLAS
   STATE  TX  PROVINCE:                      CNTRY          ZIP/POSTAL  75217
  GENDER    DOB  01181964 COB: AUSTRA CNTRY OF CITZ          SOC SEC #
EMPLOYER                                           TAX ID:
REP CODE                    REP TYPE:    (A=ATTY  R=CERT REP, O=OTHER)
    NAME
    FIRM                                           CLASS:
  STREET
                                                   CITY:
   STATE        PROVINCE:                    CNTRY          ZIP/POSTAL
STATUS/ACTION: [redacted]
   INS STATUS:                  NEW ITEMS:
PRIORITY DATE: 10202005   DATE VALID FROM:              TO
DC99798I - VIEW MODE
 PF2         PF3     PF4     PF5         PF6        PF7      PF8      PF9      PF11
CI INQ     CANCEL   BACK    EXT INFO   MAIN MENU   CODES   LOGOFF   REMIT   STAT HIST
3270
```

(b)(7)(e)

The receipt information gives the name, date of birth, A-number and address. The status of the receipt file is near the bottom of the screen. (STATUS/ACTION: IBS1)

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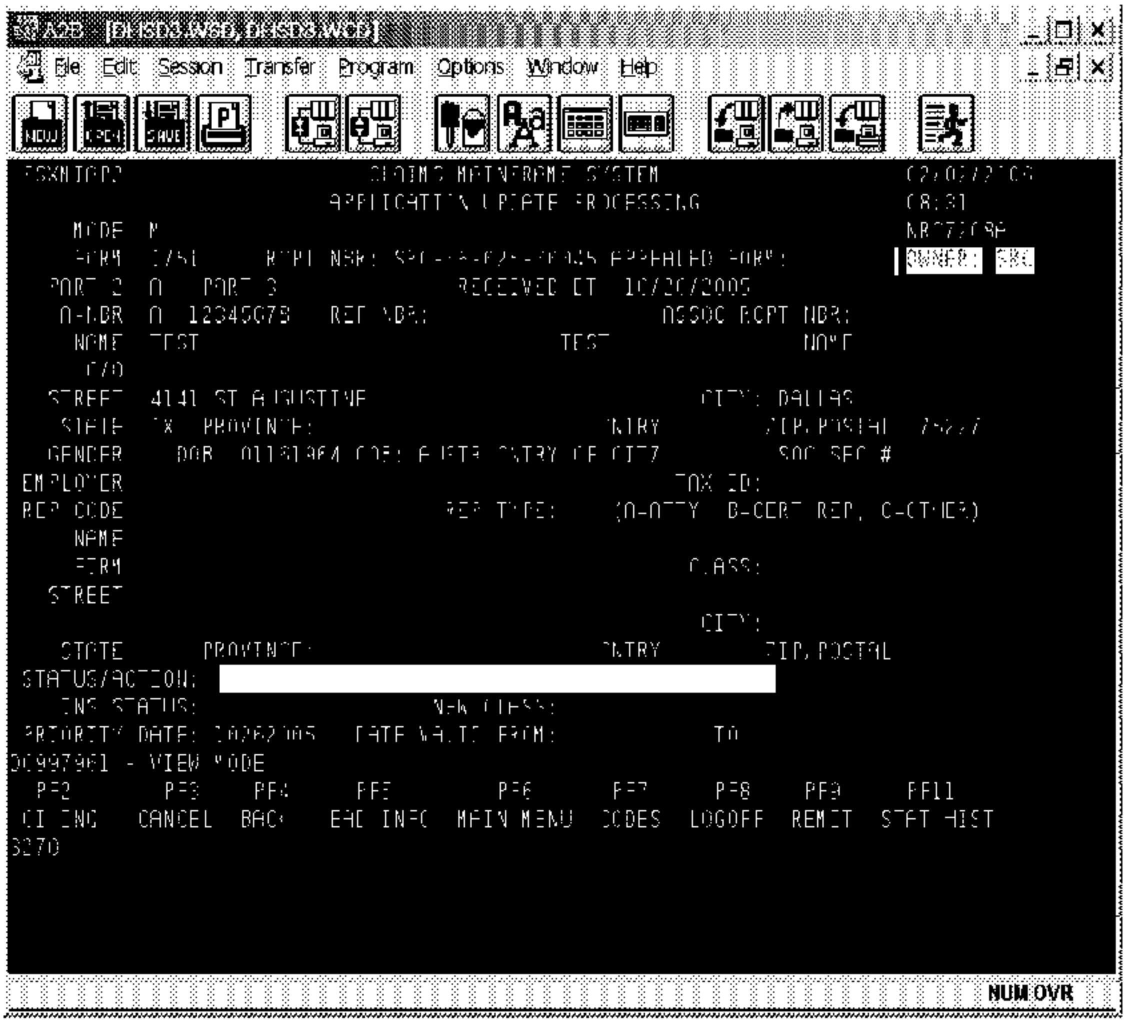

```
[illegible]                CLAIMS MAINFRAME SYSTEM                    [illegible]
                      APPLICATION UPDATE PROCESSING                   08:31
     MODE  M                                                          [illegible]
     FORM  I751     RCPT NBR: SRC-[illegible] APPEALED FORM:          OWNER: SRC
   PART 2  A    PART 3            RECEIVED DT  10/20/2005
    A-NBR  A  12345678    REF NBR:                 ASSOC RCPT NBR:
     NAME  TEST                         TEST                NONE
      C/O
   STREET  4141 ST AUGUSTINE                           CITY: DALLAS
    STATE  TX  PROVINCE:                      CNTRY        ZIP/POSTAL  [illegible]
   GENDER    DOB  01181964 COB: [illegible] CNTRY OF CITZ       SOC SEC #
 EMPLOYER                                              TAX ID:
 REP CODE                        REP TYPE:    (A-ATTY  B-CERT REP, C-OTHER)
     NAME
     FIRM                                              CLASS:
   STREET
                                                       CITY:
    STATE       PROVINCE                      CNTRY        ZIP/POSTAL
STATUS/ACTION: [redacted]
    INS STATUS:                  NEW CLASS:
PRIORITY DATE: [illegible]   DATE VALID FROM:            TO
[illegible] - VIEW MODE
  PF2        PF3     PF4      PF5        PF6       PF7      PF8     PF9      PF11
 [illegible] CANCEL  BACK     [illegible] INFO  MAIN MENU  CODES  LOGOFF  REMIT   STAT HIST
3270
```

(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.

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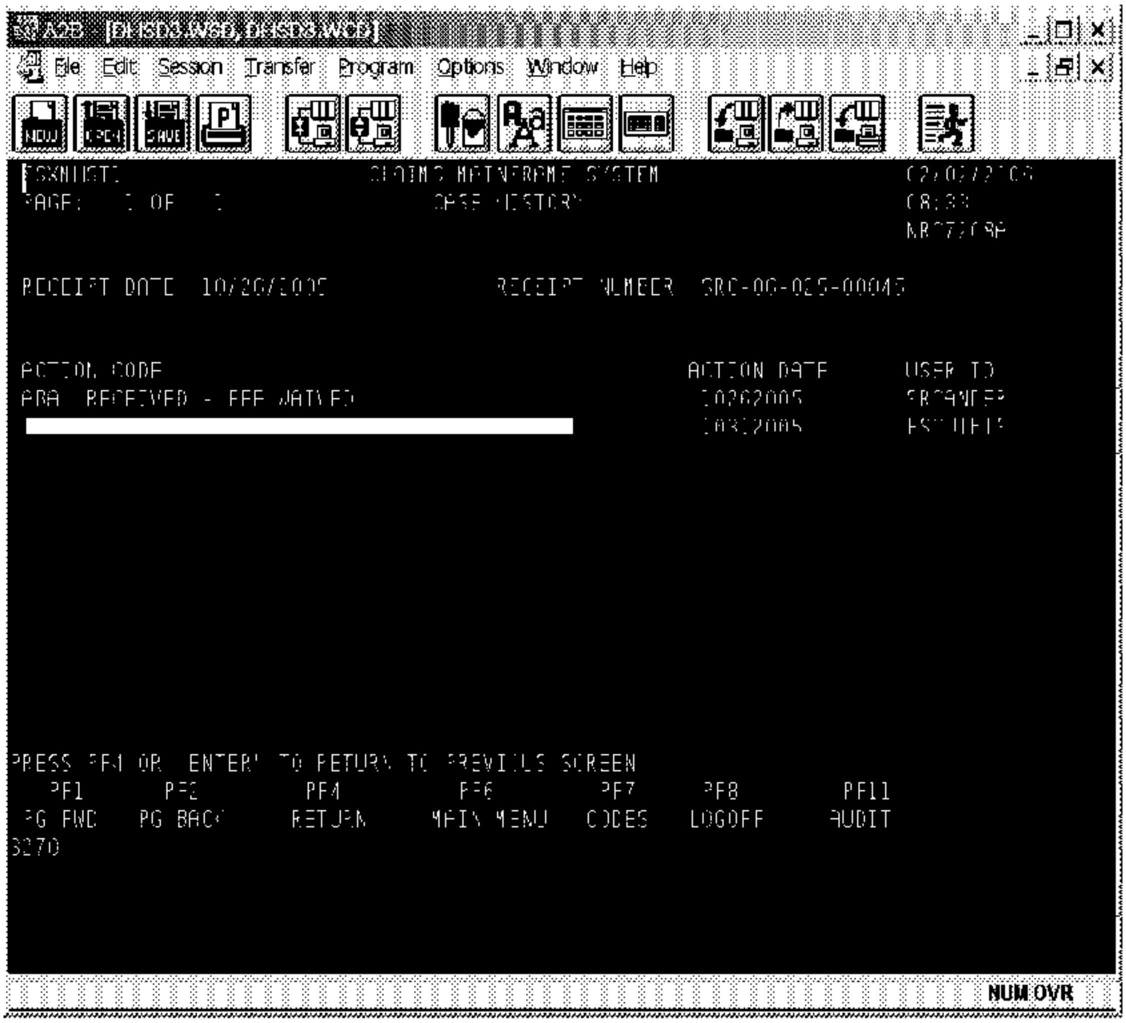

```
FSXNHSTI                 CLAIMS MAINFRAME SYSTEM                  02/02/2006
PAGE:    1 OF    1           CASE HISTORY                         08:33
                                                                  NR072C9P

RECEIPT DATE  10/20/2005          RECEIPT NUMBER  SRC-06-025-00045


ACTION CODE                                       ACTION DATE     USER ID
PRA  RECEIVED - FEE WAIVED                         10262005       SRCANDER
[redacted]                                         10312005       FSCHIEFS










PRESS PF4 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
```

(b)(7)(e)

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

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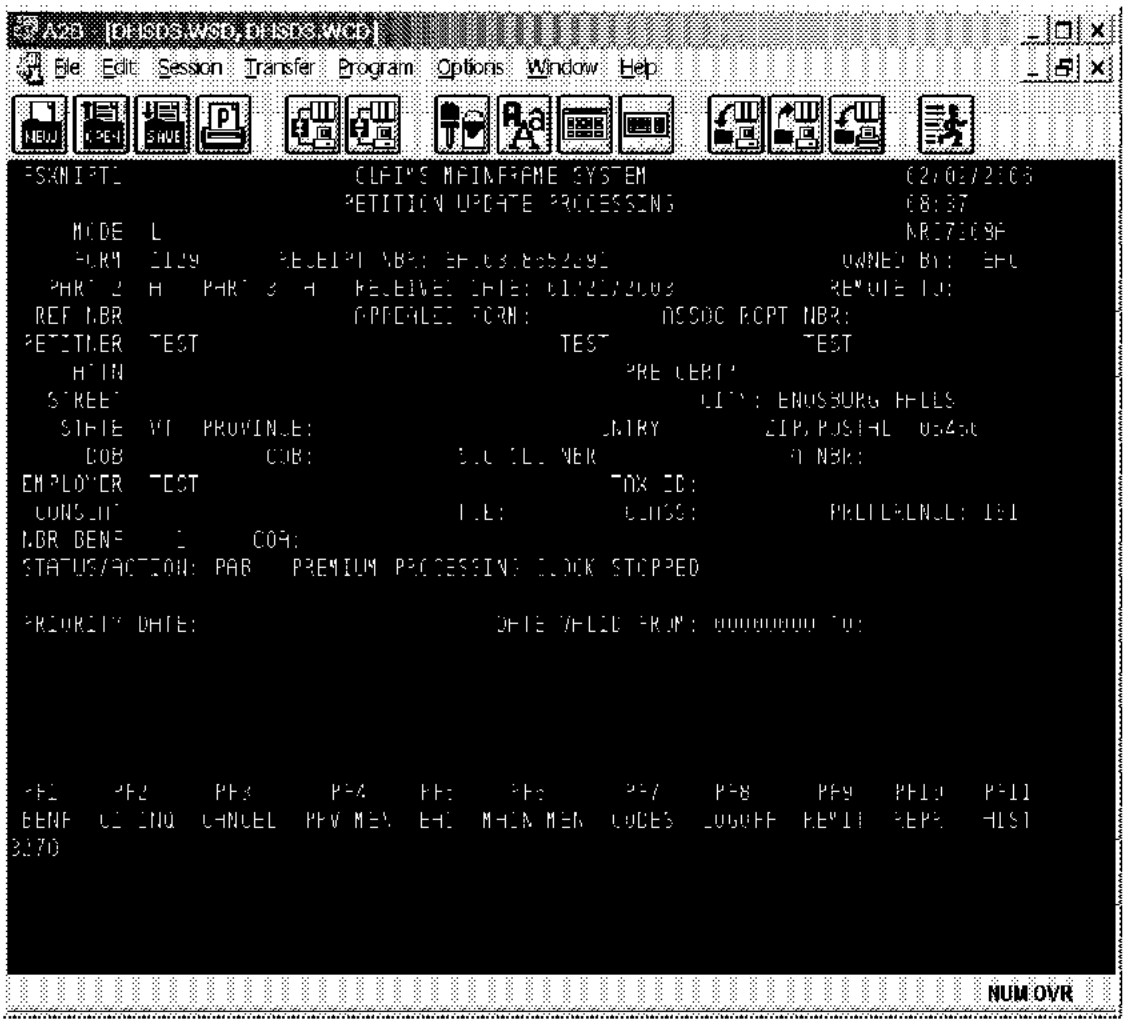
### *5.2.13 Beneficiary Petition for Non Immigrant Worker*


A2B - [DHSDS.WSD, DHSDS.WCD]
File Edit Session Transfer Program Options Window Help
NEW
OPEN
SAVE
NUM OVR

```
FSXNIPTI                  CLAIMS MAINFRAME SYSTEM                   02/02/2003
                          PETITION UPDATE PROCESSING                08:37
    MODE  L                                                         NRI7109F
    FORM  I129      RECEIPT NBR: EAC0318652291                 OWNED BY:  EAC
  PART 2  H   PART 3  H   RECEIVED DATE: 01/22/2003           REMOTE TO:
 REF NBR                  APPEALED FORM:          ASSOC RCPT NBR:
PETITNER  TEST                           TEST                 TEST
    ATTN                                      PRE CERT
  STREET                                            CITY: ENOSBURG FALLS
   STATE  VT   PROVINCE:                     CNTRY         ZIP/POSTAL  05450
     DOB              COB:            SOC SEC NBR              A NBR:
EMPLOYER  TEST                                TAX ID:
 CONSLAT                          FEE:          CLASS:          PRECEDENCE: 151
NBR BENE     1        COA:
STATUS/ACTION: PAB   PREMIUM PROCESSING CLOCK STOPPED

PRIORITY DATE:                       DATE VALID FROM: 00000000 TO:




PF1     PF2     PF3      PF4     PF5    PF6      PF7     PF8     PF9    PF10    PF11
BENE   CI INQ  CANCEL   PRV MEN  END   MAIN MEN  CODES  LOGOFF  REMIT   REPR    HIST
3270
```

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

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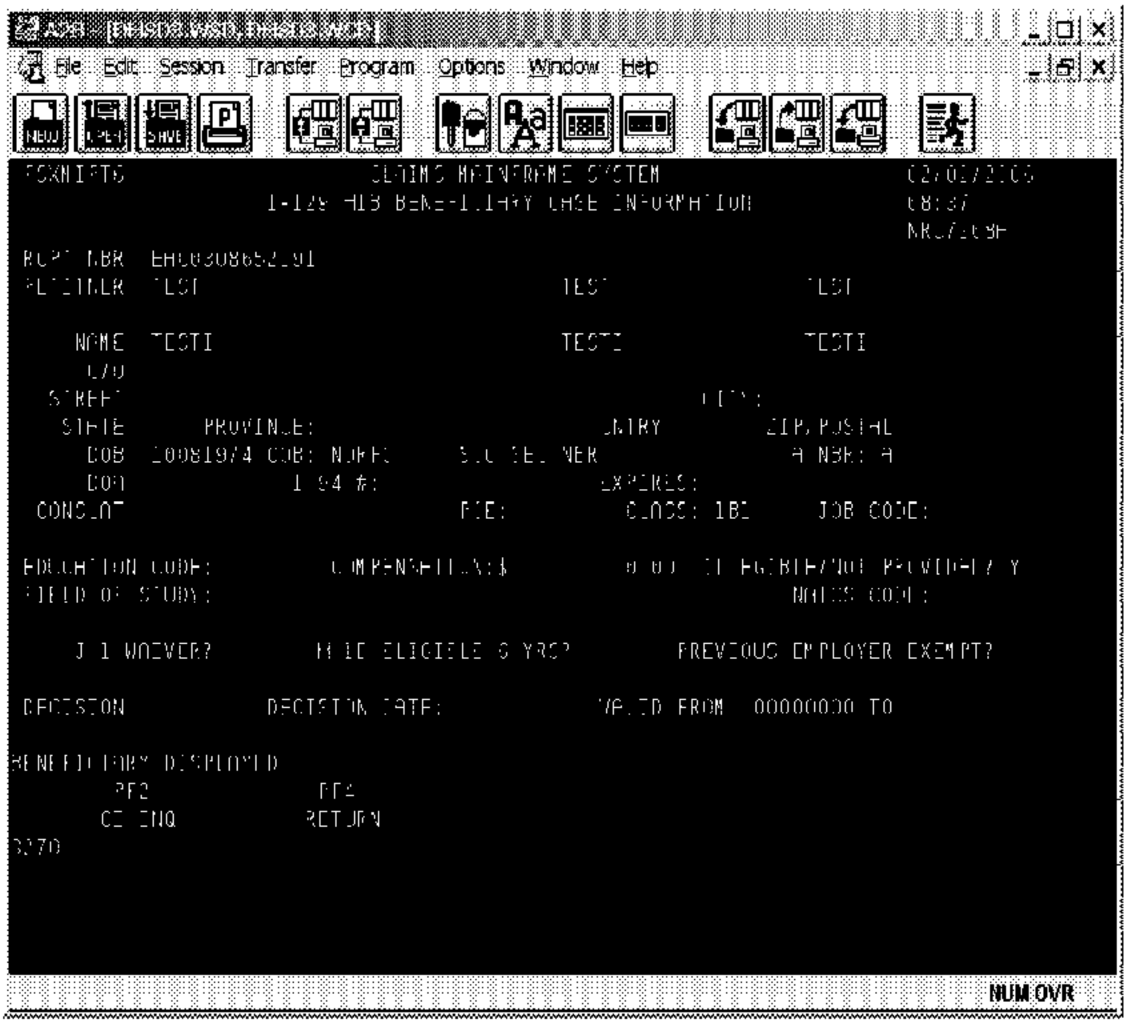
To see the beneficiary information press F1.



```
FOXNIPTG                      CLAIMS MAINFRAME SYSTEM                    02/02/2005
                     I-129 H1B BENEFICIARY CASE INFORMATION              08:37
                                                                         NRC/2CBF
RCPT NBR  EAC0308652191
PETITIONER  TEST                            TEST                   TEST

    NAME  TEST1                            TEST1                  TEST1
     C/O
  STREET                                                  CITY:
   STATE      PROVINCE:                             CNTRY        ZIP/POSTAL
     DOB  10081974 COB: NOREC       SOC SEC NBR                 A NBR: A
     DOA              I 94 #:                       EXPIRES:
 CONSLAT                              PIE:            CLASS: 1B1     JOB CODE:

EDUCATION CODE:            COMPENSATION:$           0.00  EL EGIBLE/NOT PROVIDED? Y
FIELD OF STUDY:                                                    NAICS CODE:

    J 1 WAIVER?          H1B ELIGIBLE 6 YRS?          PREVIOUS EMPLOYER EXEMPT?

DECISION              DECISION DATE:              VALID FROM  00000000 TO

BENEFICIARY DISPLAYED
        PF2              PF4
       CI INQ           RETURN
3270
```

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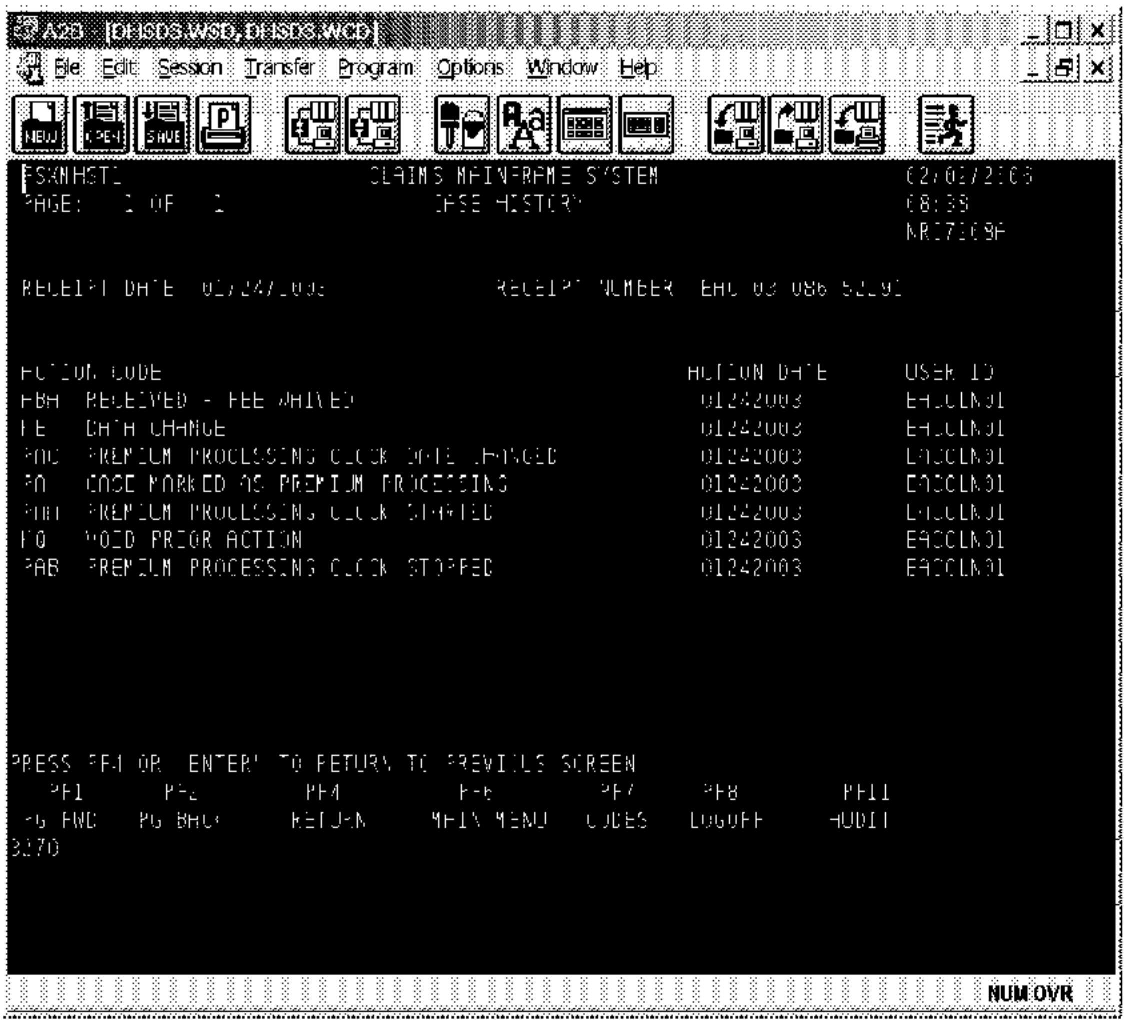
To view the history, press the F4 key to return to the previous screen, and enter F11.


A2B - [DHSDS.WSD, DHSDS.WCD]
File Edit Session Transfer Program Options Window Help
NEW
OPEN
SAVE
NUM OVR

```
FSXNHST1                     CLAIMS MAINFRAME SYSTEM                          02/02/2003
PAGE:   1 OF   1                  CASE HISTORY                                08:39
                                                                              NRI7109F

RECEIPT DATE  01/24/2003              RECEIPT NUMBER  EAC 03 086 52291


ACTION CODE                                             ACTION DATE       USER ID
FBA  RECEIVED - FEE WAIVED                               01242003         EACCLN01
FE   DATA CHANGE                                         01242003         EACCLN01
PMC  PREMIUM PROCESSING CLOCK DATE CHANGED               01242003         EACCLN01
PA   CASE MARKED AS PREMIUM PROCESSING                   01242003         EACCLN01
PAA  PREMIUM PROCESSING CLOCK STARTED                    01242003         EACCLN01
FQ   VOID PRIOR ACTION                                   01242003         EACCLN01
PAB  PREMIUM PROCESSING CLOCK STOPPED                    01242003         EACCLN01





PRESS PF4 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
```

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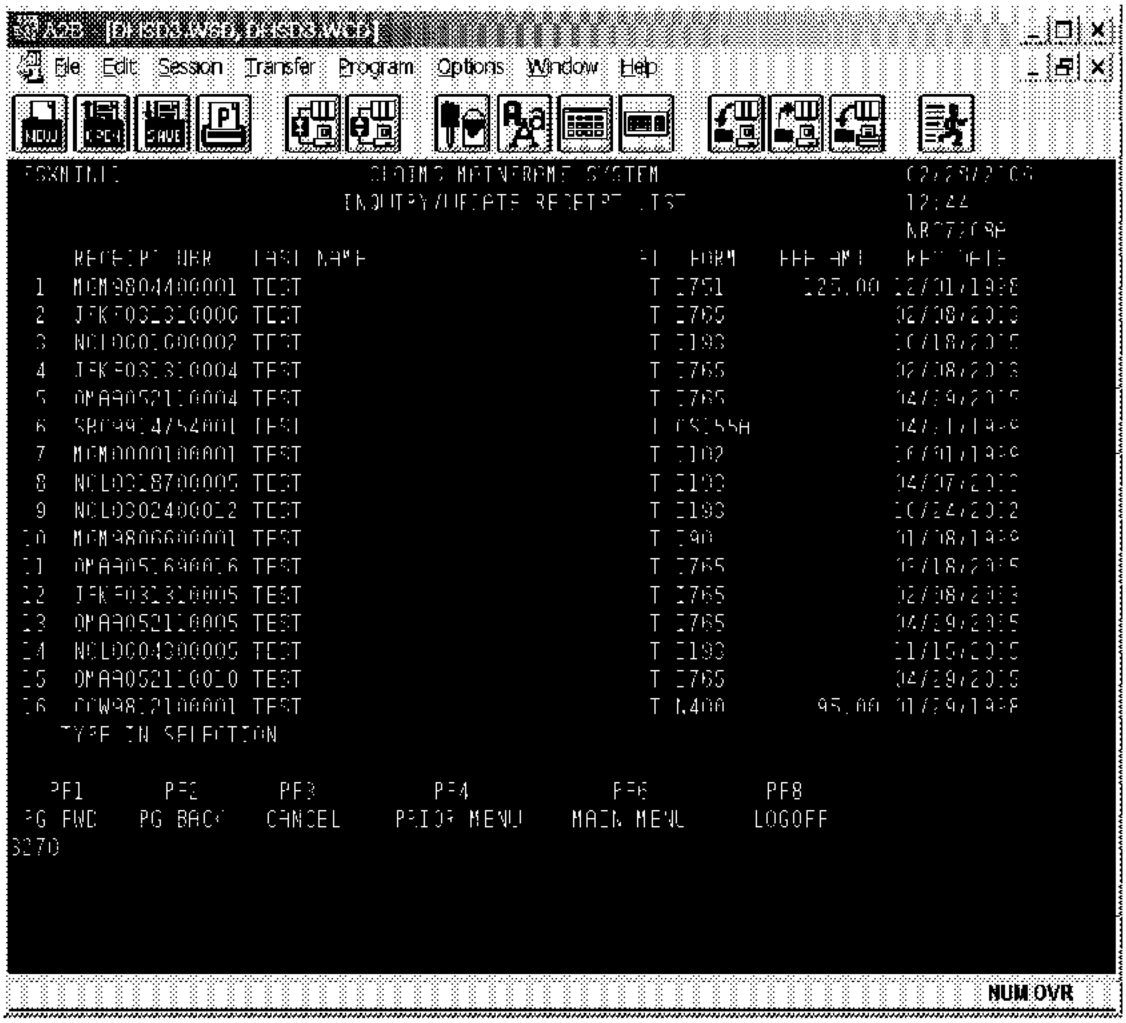
A2B - [DHSD3WCD, DHSD3WCD]
File Edit Session Transfer Program Options Window Help
NEW
OPEN
SAVE
NUM OVR

```
FSXNTINQ                    CLAIMS MAINFRAME SYSTEM                       02/29/2008
                         INQUIRY/UPDATE RECEIPT LIST                      12:44
                                                                          NR07?C9F
    RECEIPT NBR    LAST NAME                        FI   FORM    FEE AMT   REC DATE
 1  MCM9804400001  TEST                             T  I751      125.00  12/01/1998
 2  JFK0031310006  TEST                             T  I765              02/08/2003
 3  NCL0601600002  TEST                             T  I193              10/18/2005
 4  JFK0031310004  TEST                             T  I765              02/08/2003
 5  OMA9052110004  TEST                             T  I765              04/29/2005
 6  SRC9914754001  TEST                             T  CS155H            04/11/1999
 7  MCM0000100001  TEST                             T  I102              10/01/1999
 8  NCL0318700005  TEST                             T  I193              04/07/2003
 9  NCL0302400012  TEST                             T  I193              10/24/2002
10  MCM9806600001  TEST                             T  I90               01/08/1998
11  OMA9051690016  TEST                             T  I765              10/18/2005
12  JFK0031310005  TEST                             T  I765              02/08/2003
13  OMA9052110005  TEST                             T  I765              04/29/2005
14  NCL0604300005  TEST                             T  I193              11/15/2005
15  OMA9052110010  TEST                             T  I765              04/29/2005
16  CCW9812100001  TEST                             T  N400       95.00  01/29/1998
   TYPE IN SELECTION

  PF1       PF2       PF3        PF4           PF6         PF8
PG FWD   PG BACK   CANCEL    PRIOR MENU    MAIN MENU     LOGOFF
3270
```

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

## 5.3. National File Tracking System (NFTS)

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

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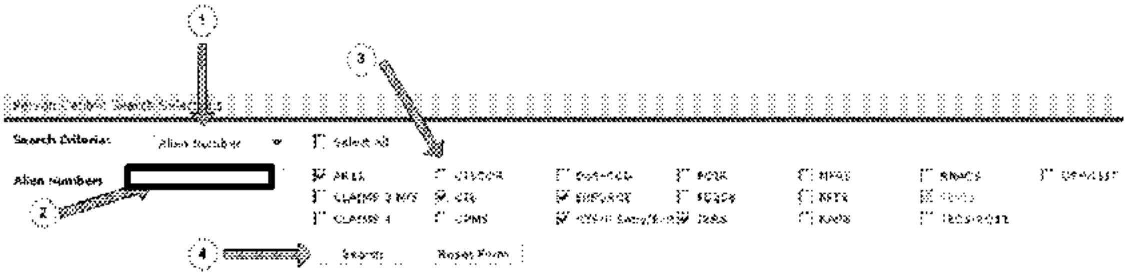
## 5.4. Person Centric Query Service (PCQS)

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

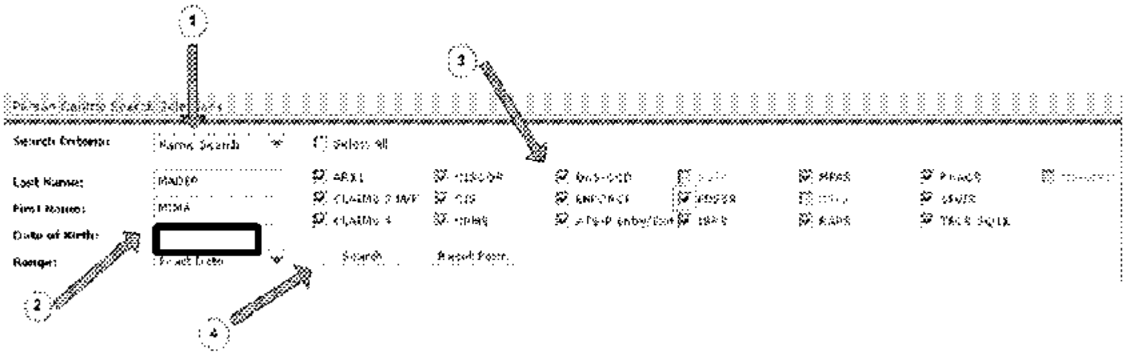
Since PCQS can give us a comprehensive overview of a person's immigration history, it can help us locate certain documents to request, for instance, we may find information about an archived receipt in PCQS that we would not find in CLAIMS. You do not have to log in to PCQS to read the PCQS User Guide. Simply go to https://pcq.esb.uscis.dhs.gov/ and click on the Users Guide link below the Warning.



Search Criteria: Alien Number

Alien Numbers: [redacted]

(b)(6)



Search Criteria: Name Search

Last Name: MADDO

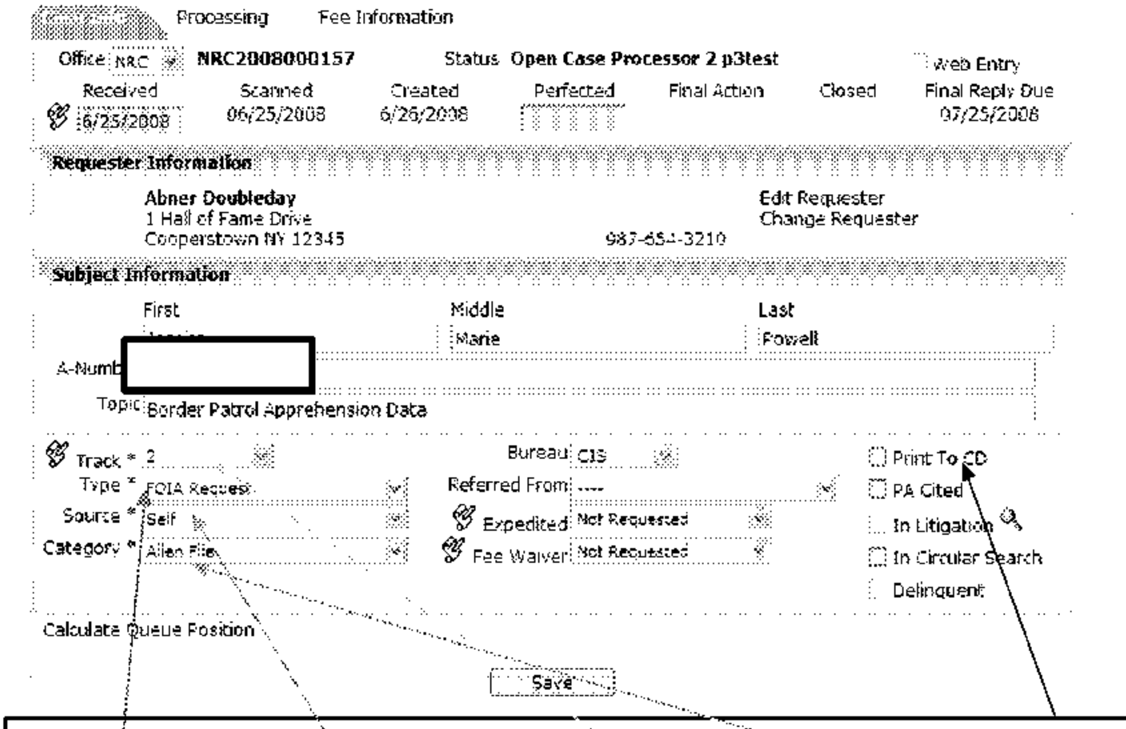
First Name: MIMA

Date of Birth: [redacted]

Range:

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

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



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: [redacted]
Middle: Marie
Last: Powell

A-Number: [redacted]

Topic: Border Patrol Apprehension Data

(b)(6)

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

**Type of request**

- Always FOIA

**Source**

- Attorney
- Commercial
- Education/Scientific
- Foreign Government
- News Media
- Others
- Representative
- Self
- White House/Congressional

**Track 1, 2 or 3**

**Category**

- Alien File
- Asylum
- Specific Documents
- Non A-File Material
- Personnel
- Special Interest Group
- SFR cases at NRC

**Print to CD**

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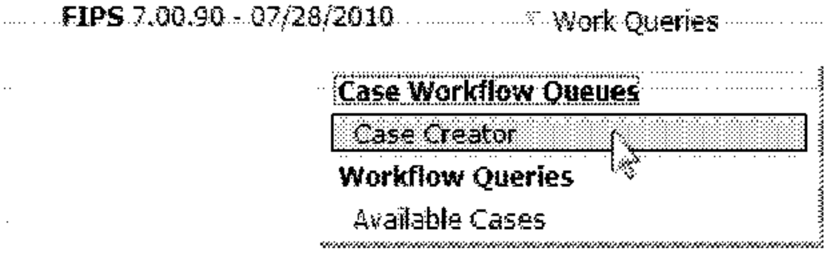
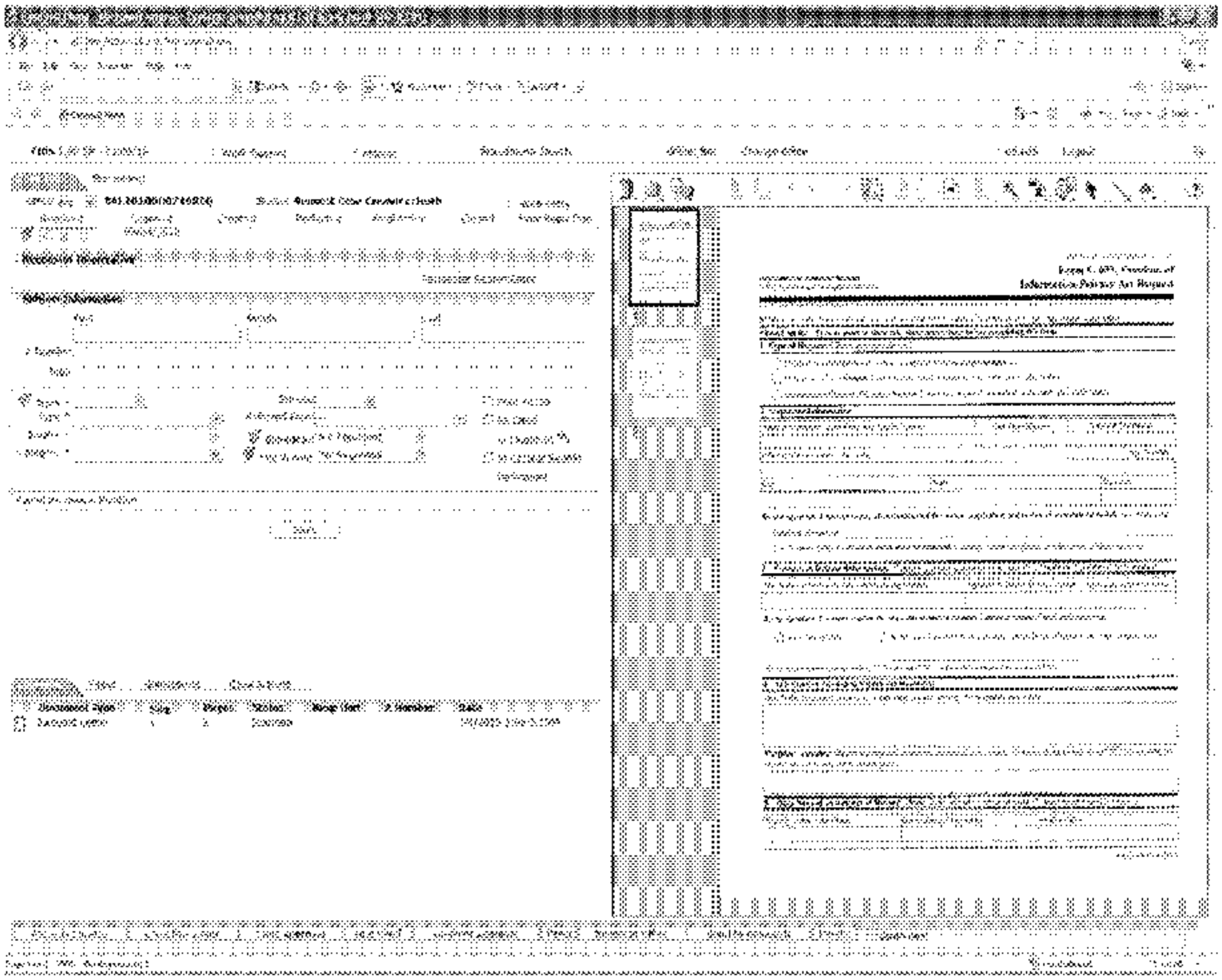
# 6. CREATING THE CASE

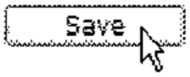

FIPS 7.00.90 - 07/28/2010
Work Queries
Case Workflow Queues
Case Creator
Workflow Queries
Available Cases



On the FIPS worksheet under the header "Contents," you will notice that usually Sequence 1 is the "Request Letter" and Sequence 2 is usually "Request Supporting Documents." There will be a date and time in the right column.

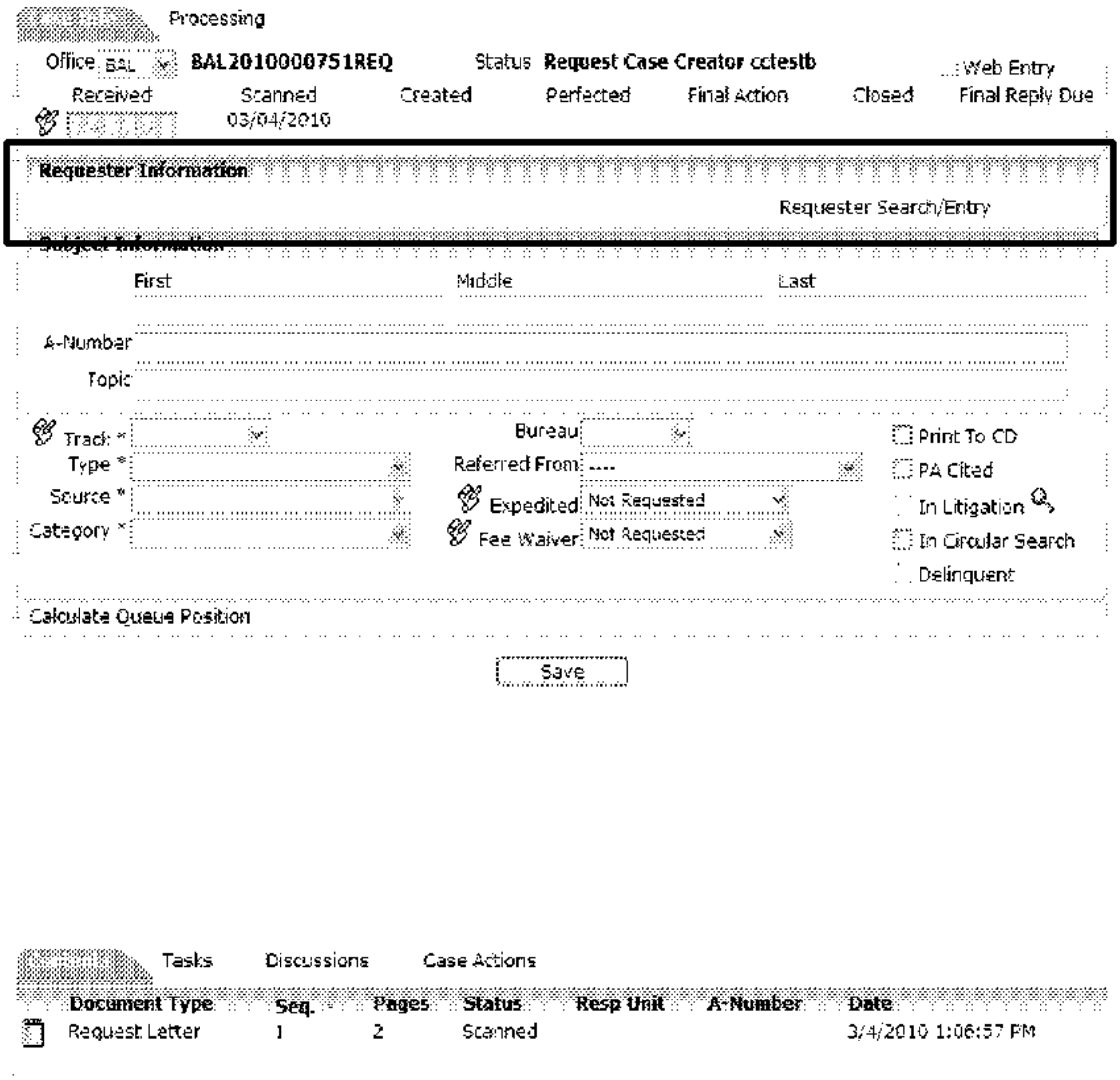
Sometimes the request will be Form G-639 only, sometimes it will be the G-639 and a G-28, Power of Attorney, sometimes it will be a letter from an attorney or representative and a G-28. Sometimes it will be a letter from the subject of record. At times, there will be documents scanned in, such as alien 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

Referred From: ----

Expedited: Not Requested

Fee Waiver: Not Requested

☐ Print To CD
☐ PA Cited
☐ In Litigation
☐ In Circular Search
☐ Delinquent
Calculate Queue Position
Save
Tasks
Discussions
Case Actions

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

### 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.

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

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

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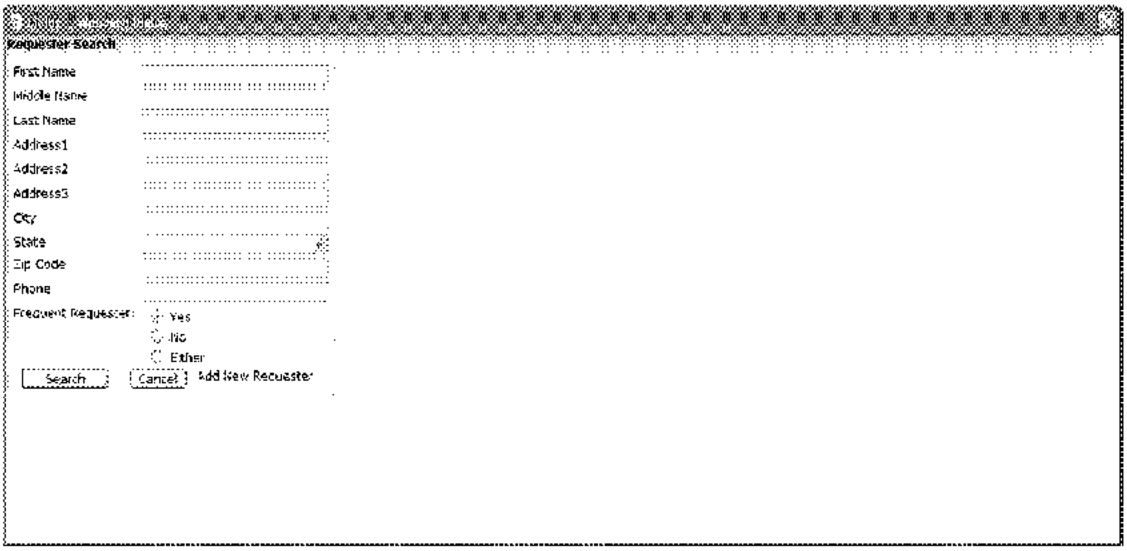
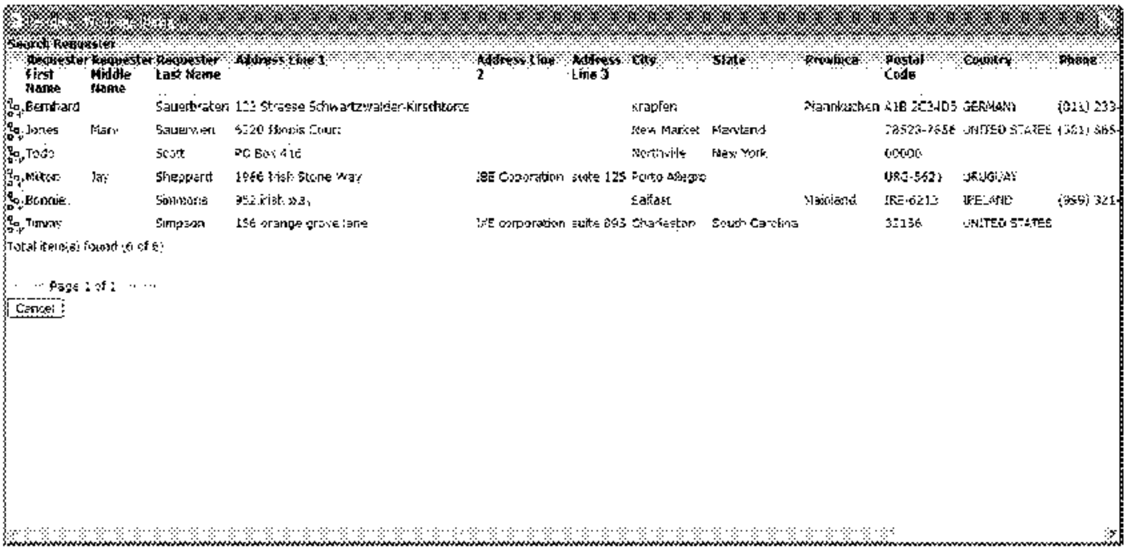
**6.1.2 Requester Search/Entry.** To locate and select existing requesters or to enter new requesters, click the **Requester Search/Entry** link to open the Requester Search Form. To search for an existing requester, click in one of the available fields in the Requester Search Form and begin entering 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:


Search Requester

| Requester First Name | Requester Middle Name | Requester Last Name | Address Line 1 | Address Line 2 | Address Line 3 | City | State | Province | Postal Code | Country | Phone |
|---|---|---|---|---|---|---|---|---|---|---|---|
| Bernhard | | Sauerbraten | 123 Strasse Schwartzwalder-Kirschtorte | | | Krapfen | | Pfannkuchen | A1B 2C3D5 | GERMANY | (011) 233- |
| Jones | Mary | Sauerwein | 5320 Illinois Court | | | New Market | Maryland | | 28523-7656 | UNITED STATES | (301) 865- |
| Todd | | Scott | PO Box 416 | | | Northville | New York | | 00000 | | |
| Milton | Jay | Sheppard | 1966 Irish Stone Way | IBE Corporation | suite 125 | Porto Alegre | | | URG-5621 | URUGUAY | |
| Bonnie | | Simmons | 952 Irish way | | | Belfast | | Mainland | IRE-6213 | IRELAND | (959) 321- |
| Timmy | | Simpson | 156 orange grove lane | J/E corporation | suite 893 | Charleston | South Carolina | | 32136 | UNITED STATES | |

Total item(s) found (6 of 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:

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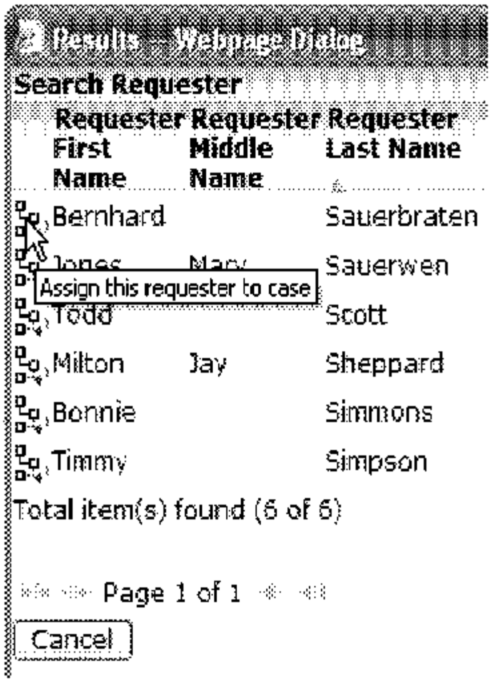


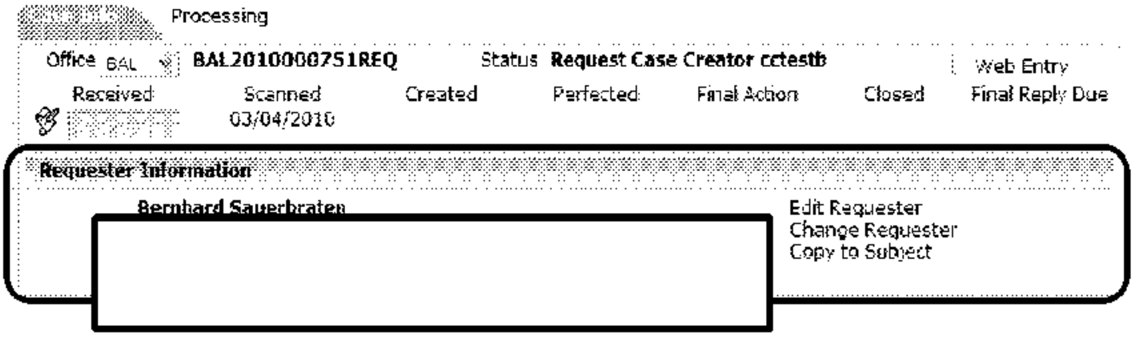
Search Requester

| Requester First Name | Requester Middle Name | Requester Last Name |
|---|---|---|
| Bernhard | | Sauerbraten |
| Jones | Mary | Sauerwen |
| Todd | | Scott |
| Milton | Jay | Sheppard |
| Bonnie | | Simmons |
| Timmy | | Simpson |

Assign this requester to case

Total item(s) found (6 of 6)

And it will populate the requester information like this:



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**

(b)(6)

[redacted]

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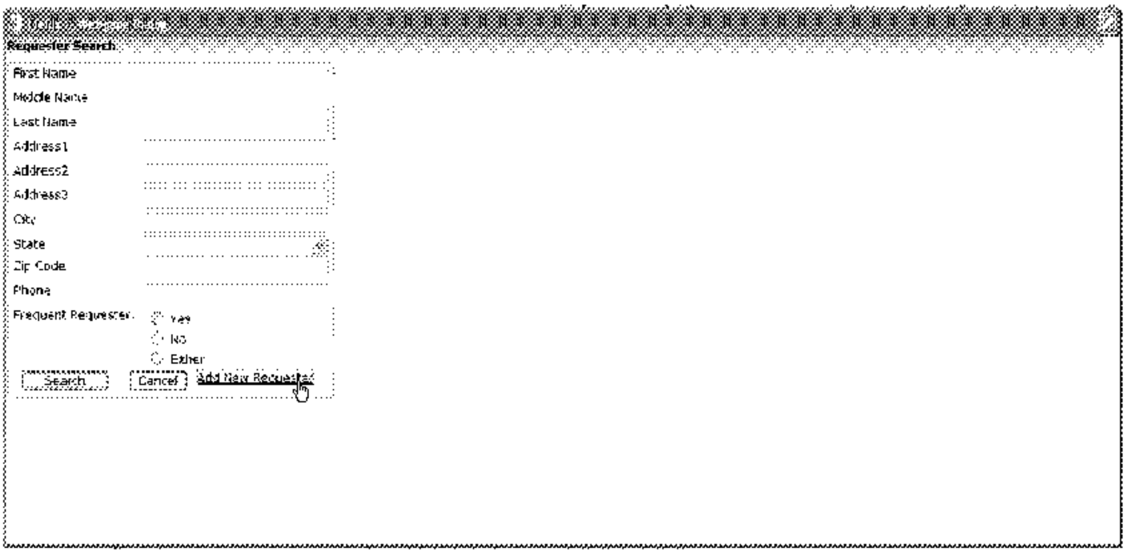
**6.1.3 Add New Requester.** If you do **not** find a match, you will have to add a new requester by selecting Add New Requester:



Requester Search

First Name

Middle Name

Last Name

Address1

Address2

Address3

City

State

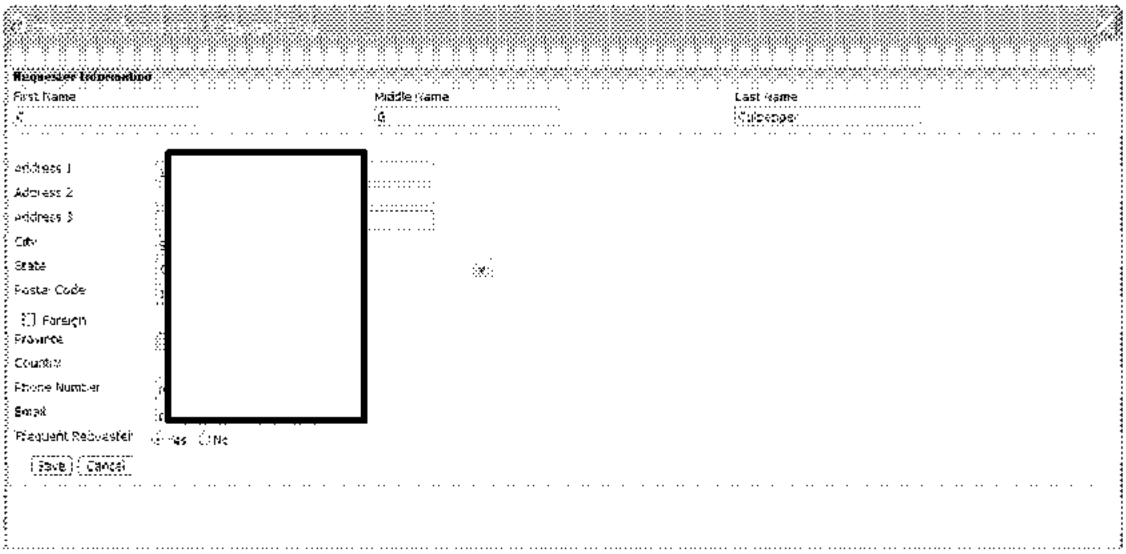
Zip Code

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.

(b)(6)



Requester Information

First Name: A

Middle Name: G

Last Name: Culpepper

[redacted]

Address 1

Address 2

Address 3

City

State

Postal Code

☐ Foreign

Province

Country

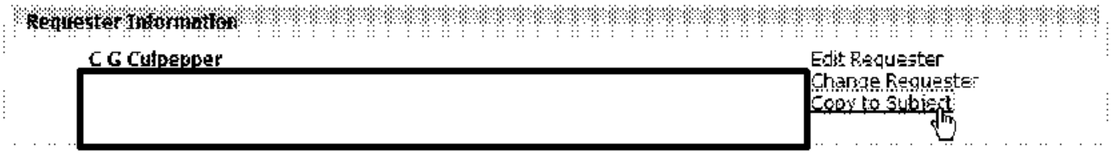
Phone Number

Email

Frequent Requester: ○ Yes ○ No

## 6.2 SUBJECT INFORMATION

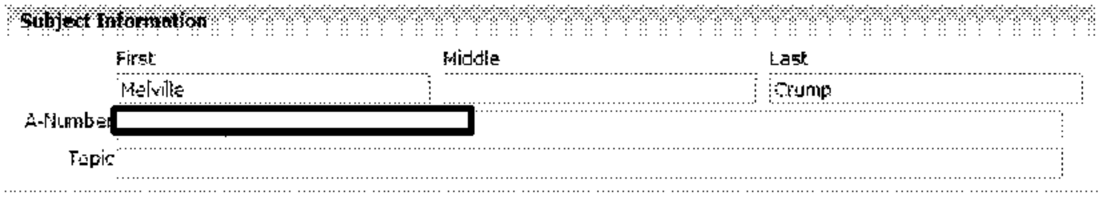
After saving, look to see if this is a self-request. If so, you can copy the Requester Information to the Subject:



C G Culpepper

[redacted]

(b)(6) 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.



First: Melville

Last: Crump

A-Number: [redacted]

### *6.2.1 Name*

Enter the subject's name, as it appears in section 5 of Form G-639 (except in the case of a petitioner asking for a petition).

The name portion of the worksheet is the name of the alien whose file we are requesting. This is usually the name in the subject portion of the Form G-639, or in the subject line of the request letter. However, if the requester is asking for a petition he or she filed on behalf of a beneficiary, then that document will be a separate receipt or it will be in the beneficiary's file, not the requester's file. In situations like this, the subject information would be that of the beneficiary, not the requester.

### *6.2.2 Alien Number*

In the alien number field, enter your subject's alien number, as provided on the request, as an eight-digit or nine-digit number.

**6.2.2.1** You should always check the A-number in CIS to be sure it belongs to the correct subject. Once you have established that it is the correct A-number, copying and pasting the A-number will save you from making a typographical error and inadvertently staffing for the wrong file.

**6.2.2.2** If the alien provided us with more than one A-Number, please separate these numbers with a comma.

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

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**6.2.2.4** Please do not enter the A-number if the requester is a petitioner asking for a copy of an unconsolidated petition, as it will result in a bad staffing.

**6.2.2.5** If the requester is a petitioner asking for a copy of a petition that has been consolidated into the A-file of the beneficiary, you should enter the A-number of the beneficiary, since we will request the beneficiary's A-file.

### *6.2.3 Topic*

If the request is for something other than an alien file, for example, a receipt file or a vacancy announcement, then you will add this information in the "Topic" field in the Subject Information area.

"Topic" is used at different times, such as:

- when there is an unconsolidated receipt file
- when it is a request for a vacancy announcement
- when it is a request for a personnel file
- when it is a request relating to policies and procedures service-wide

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

**Correct:** MSC0412360000

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

**6.2.3.2** Enter the receipt number with no dashes or spaces. This format assists the Mission Support Assistants in locating the files and in locating the cases in FIPS when the receipt files come into the facility, and it will make it possible for case creators to spot duplicate or similar cases. If you are requesting multiple receipt files from the same facility, use only one file request. See **Staffing Sheet Guide** for more guidance.

**6.3.2.3** When the request is for vacancy announcements, the vacancy announcement number must be the first part of the description. See **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

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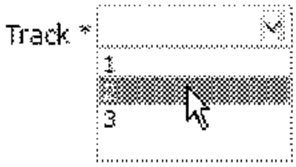
### *6.3.1 Track*



**6.3.1.1 Track 1** – Requests for receipt files and requests for partial records such as a specific document. A specific document request consists of 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.

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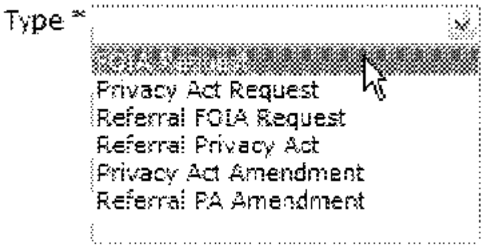
**6.3.1.3.9** If you are not sure whether to approve or deny Track 3, please consult your supervisor.

**6.3.1.3.10** If you assign the case to Track 3, ensure you put the words "TRACK 3" at the top of the file request.

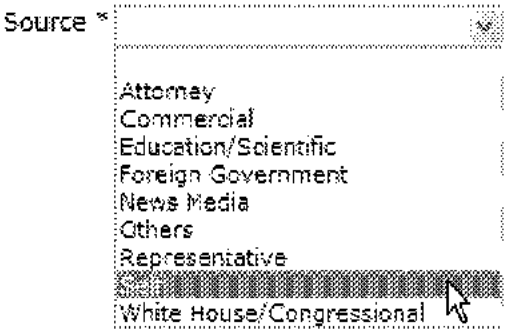
**6.3.1.3.11** If the requested file has already been scanned because of a prior FOIA request that has now been resubmitted for Track 3 processing, do not create the case. You should send the case to Research, where they will attach the new request to the existing case as a CSD. If Track 3 processing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

### *6.3.2 Type*


Type *
[illegible]
Privacy Act Request
Referral FOIA Request
Referral Privacy Act
Privacy Act Amendment
Referral PA Amendment

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

### *6.3.3 Source*


Source *
Attorney
Commercial
Education/Scientific
Foreign Government
News Media
Others
Representative
[illegible]
White House/Congressional

The source of the request is, quite simply, who is making the request. Is the requester the individual or an attorney or representative speaking on the alien's behalf? Is it a request from the media or a true third party requester? Below is a list of possibilities for requesters:

- Attorney - The requester is an attorney representing the alien. The attorney will have checked the box on the G-28 marked "Attorney," or will have sent us a letter on the law firm's letterhead.

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

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

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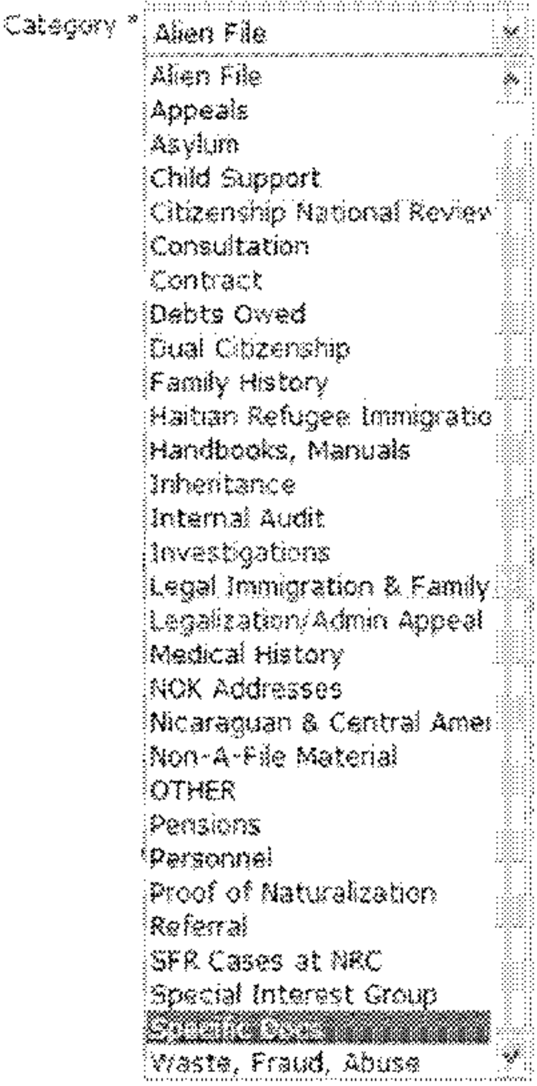
### *6.3.4 Category*


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

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

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

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

**6.3.4.2 Specific Documents** – The requester is asking for specific documents, such as a copy of a receipt file, an application or a copy of his or her naturalization certificate. A Specific Document case is a Track 1 case, and vice versa. As a rule, you should create a case as Specific Documents if the requester is asking for up to three documents. If a requester is asking for an asylum application and supporting documents, you should create it as Alien File. (Refer to the section *"What track is my case?"* that follows.)

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

**6.3.4.4 Special Interest Group** – Requester(s) are seeking information relating to special interest requests such as news media requests, highly visible or public interest cases. We receive this kind of request from members of the media, activist groups, watchdog organizations or educational institutions. The documents requested are normally associated with a controversial or sensitive subject.

**6.3.4.4.1** Select "Special Interest Group" if any of the following criteria are met:

a. The FOIA request relates to a Presidential or agency priority;
b. The FOIA requester or requested documents will garner media attention or is receiving media attention;
c. The FOIA request is for documents associated with meetings with prominent elected, business, and/or community leaders;
d. The FOIA request is for congressional correspondence;
e. The FOIA request is from a member of Congress;
f. The FOIA request is from a member of the media;
g. The FOIA request is from a member of an activist group, watchdog organization, special interest group, etc.;
h. The FOIA request is for documents associated with a controversial or sensitive subject;
i. The FOIA request is for documents associated with a senior official of the component;
j. A FOIA appeal if it meets one of the "a" through "i" criteria;

Items listed above are suggestive and not exclusive – exercise judgment when marking cases with category "Special Interest Group."

**6.3.4.4.2** If you believe a request qualifies as a Special Interest Group, choose that case category in FIPS, change the office from NRC to COW, search for duplicates and then create the case. Do not create a file request or an acknowledgment letter. Prepare an e-mail explaining the situation for NRC, FOIASIG. Click "Reassign Office." Send the case to Unit

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 OTHER:** 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. 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.

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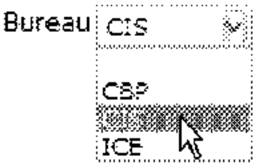
### *6.3.5 Bureau*



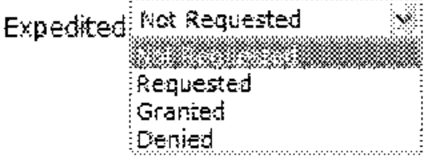
The three possible selections for Bureau are:

**ICE** – Used to identify requests wherein the requester is seeking information in connection with deportation hearings and other immigration related litigation (OPLA/DRO/SAC)

**CIS** – Used for all other categories. This is the default in FIPS.

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



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.

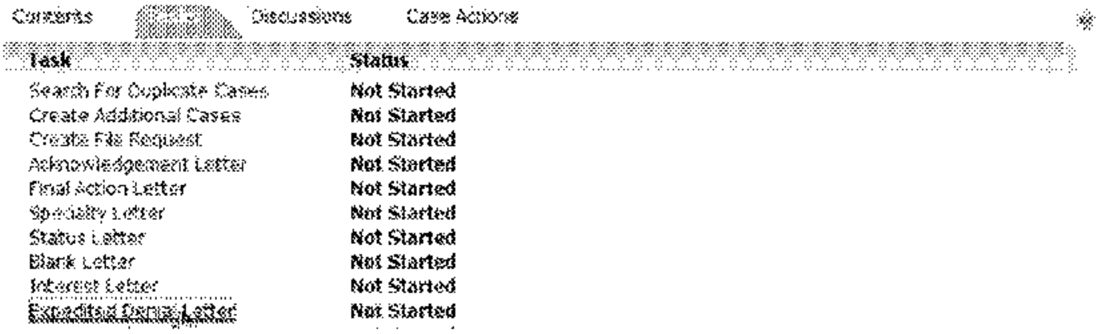
> **6.3.6.2.1** If expedited processing has been approved based on new information, you have to check expedited processing approved on the original case and send an expedited treatment approval letter by opening the original case in stand-alone mode, creating a Blank Letter, and adding the following: 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.

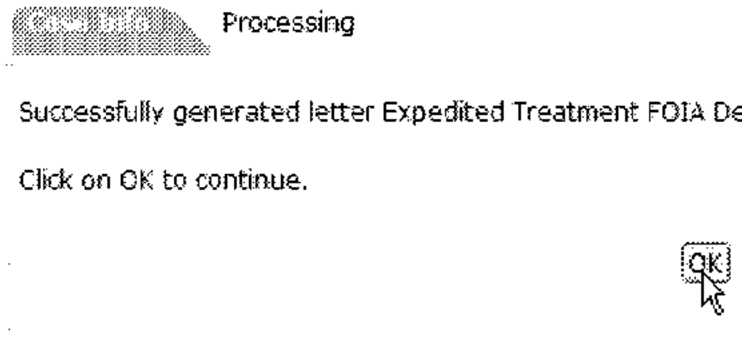
USCIS denies most requests for expedited treatment because the requester failed to establish either of the necessary criteria.

**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.



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

**6.3.6.6** Do not mark both "Expedited Treatment Requested" and "Track 3." A request can be either expedited or Track 3, but not both. If the requester has asked for Expedited Treatment and Track 3, treat it as if it is a Track 3 request and follow the instructions in TRACK 3 PROCEDURES. In such a case, you should not mark "Expedited Treatment Requested" before sending it to Unit Chief.



Successfully generated letter Expedited Treatment FOIA Denial.

Click on OK to continue.

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

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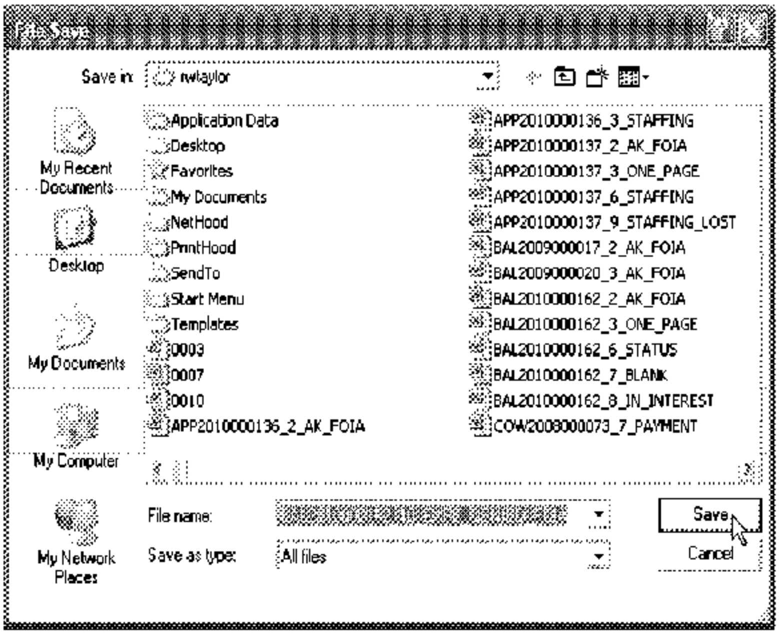

File Save
My Recent Documents
Desktop
My Documents
My Computer
My Network Places
Application Data
Desktop
Favorites
My Documents
NetHood
PrintHood
SendTo
Start Menu
Templates
0003
0007
0010
APP2010000136_2_AK_FOIA
APP2010000136_3_STAFFING
APP2010000137_2_AK_FOIA
APP2010000137_3_ONE_PAGE
APP2010000137_6_STAFFING
APP2010000137_9_STAFFING_LOST
BAL2009000017_2_AK_FOIA
BAL2009000020_3_AK_FOIA
BAL2010000162_2_AK_FOIA
BAL2010000162_3_ONE_PAGE
BAL2010000162_6_STATUS
BAL2010000162_7_BLANK
BAL2010000162_8_IN_INTEREST
COW2008000073_7_PAYMENT
File name:
Save
Cancel

Save in: rwtaylor

Save as type: All files

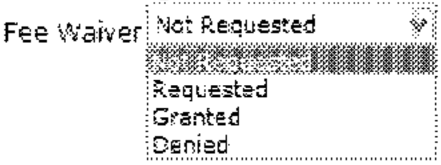
A word document explaining the denial and appeal rights will pop up. After you have done any editing necessary, save the document and check it back in.

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?*



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."

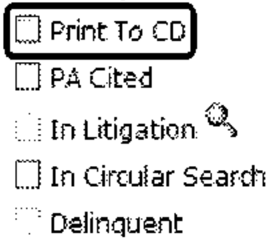
**6.3.7.4** Fee Waiver Denied: When you respond to a request for fee waiver, you must add specific language to the acknowledgement letter. Please see O:\Foia\FOIA_LIBRARY\Case_Create_References\Case_Create_Template_Letters\Fee_Waiver(denied) for an example of the denial language. Copy and paste this 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).

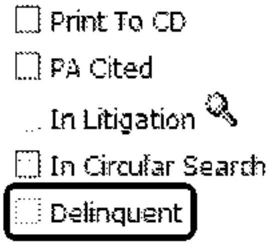
**6.3.8.2** If the responsive records are already scanned in when you create the case, you will still check print to CD.

**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)"

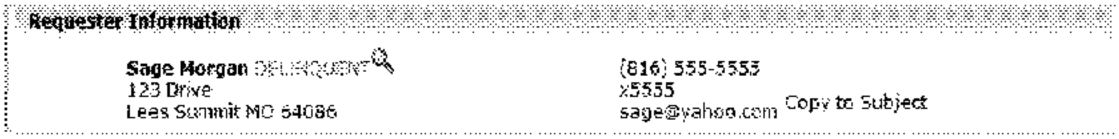
### *6.3.9 Is this a delinquent requester?*



☐ 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).

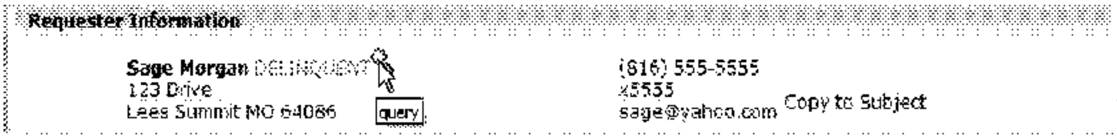


**Requester Information**

**Sage Morgan** 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**

**Sage Morgan** DELINQUENT
123 Drive
Lees Summit MO 64086 query

(816) 555-5555
x5555
sage@yahoo.com Copy to Subject

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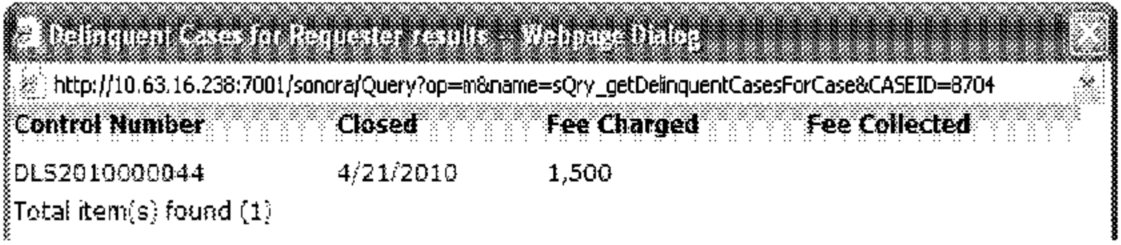
The query results appear in a separate window.

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.

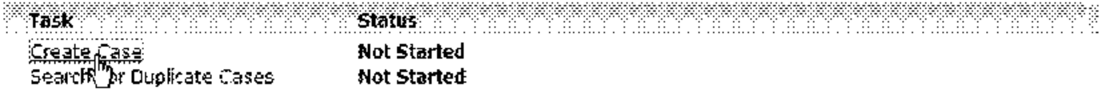
**DELINQUENT REQUESTER RULES:**

**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:



| Task | Status |
|---|---|
| Create Case | Not Started |
| Search for Duplicate Cases | Not Started |

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

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

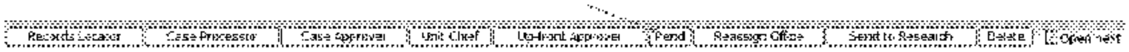
NOTE: If you are creating multiple cases, you should "Create Additional Cases" before you prepare the Acknowledgment Letter and File Request(s) for the original case.

NOTE: A FOIA/PA Assistant working in Records Locator queue may need to cancel pending requester documentation for cases pending requester documentation due to a prior delinquent status that has been removed, because the system does not.
If the FOIA/PA Assistant working in Records Locator queue does cancel pending requester documentation, he or she should generate a new interim acknowledgement letter and staff the case as usual.

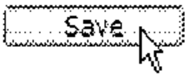
If the requester has more than one delinquent case, you will have to add up the total and modify the delinquent requester letter providing the case number for each delinquent case, the dollar amount owed for each, the total dollar amount owed, and instructions to prepare a check for the total amount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

When you click "ACK Letter" the following screen pops up. Click OK to generate the letter.

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



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

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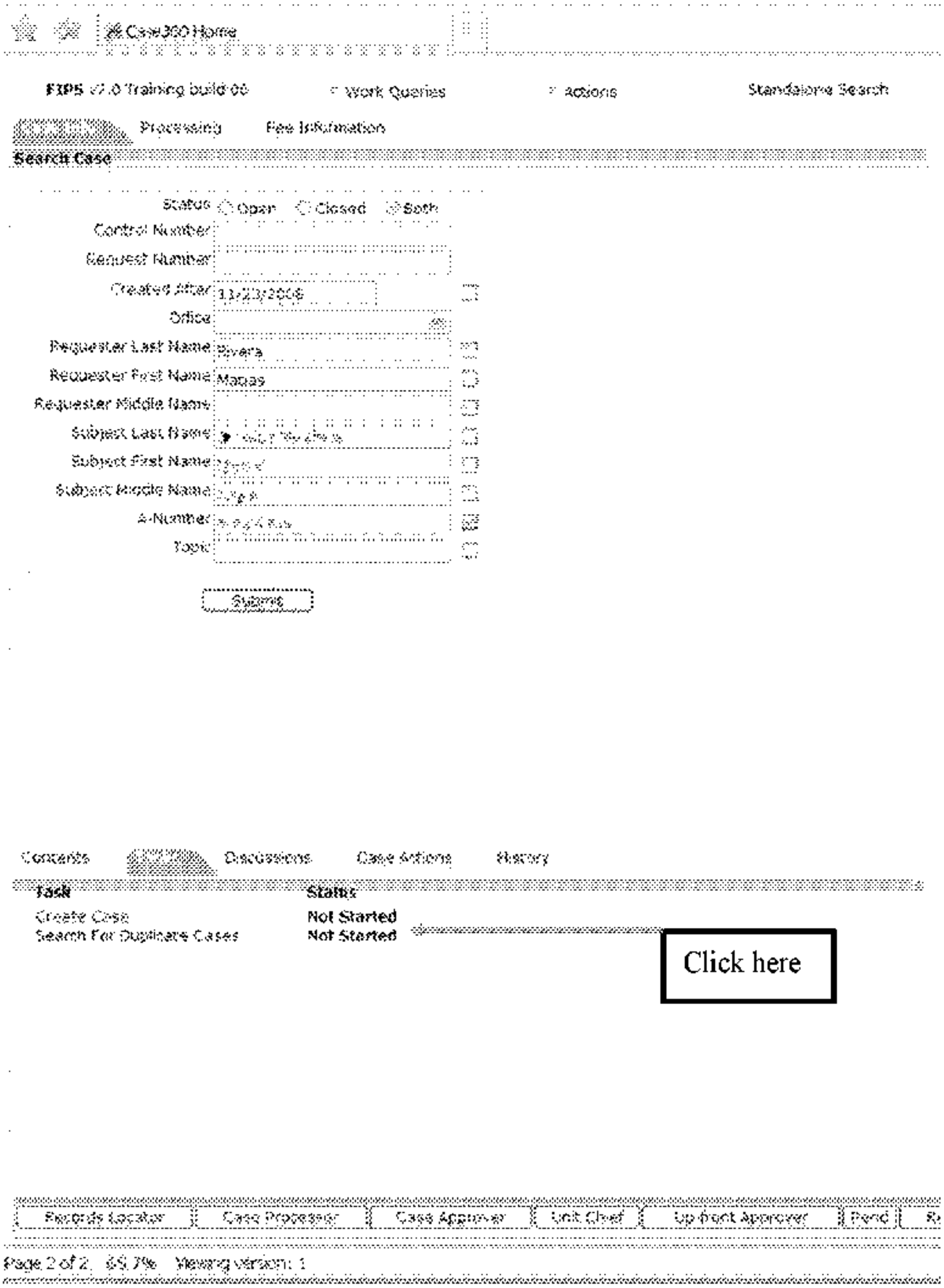
receiving offices will then in turn, transfer these requests to NRC. These are duplicate cases when an office has already processed this request with a final action code of either PD or G1, or has it ready to be processed.

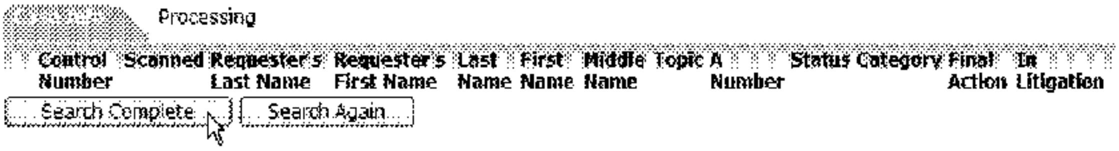
This does not include instances in which the requester has faxed the request and then mailed it. If you open a case and find that the exact same request has very recently been created, chances are that you have opened the mailed copy which followed a few days after the fax. Close this case as ER (created in error).


Case360 Home
FIPS v2.0 Training build 06
Work Queries
Actions
Standalone Search
Processing
Fee Information
Search Case
Status ○ Open ○ Closed ○ Both
Control Number
Request Number
Office
Requester Middle Name
Subject Last Name
Subject First Name
Subject Middle Name
A-Number
Topic
Submit
Contents
Discussions
Case Actions
History
Click here
Records Locator
Case Processor
Case Approver
Unit Chief
Up-front Approver
Pend
Page 2 of 2 65.7% Viewing version: 1

Created After: 11/23/2006
Requester Last Name: Rivera
Requester First Name: Mapas

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

Ordinarily, you will get a blank result.


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

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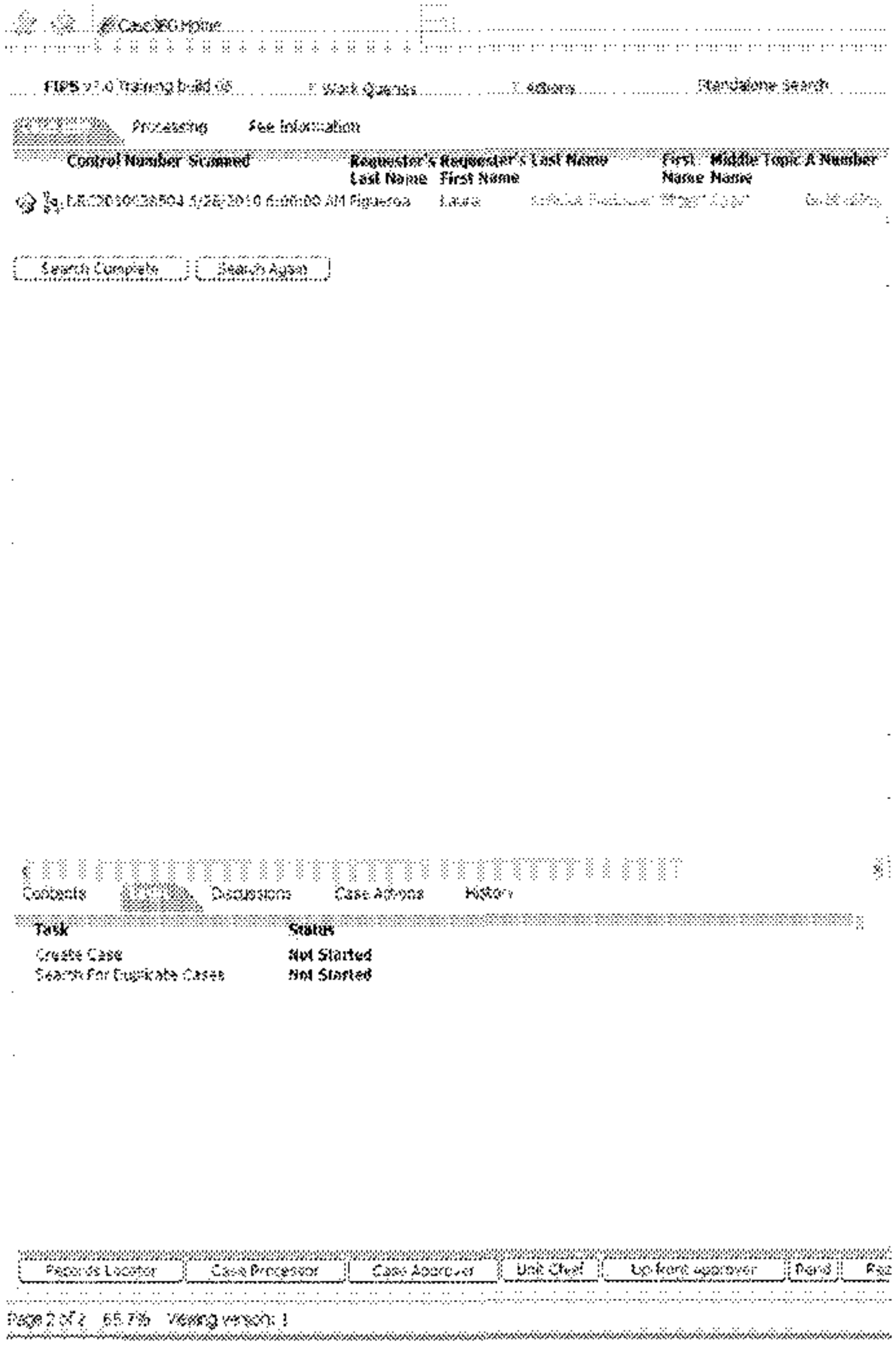
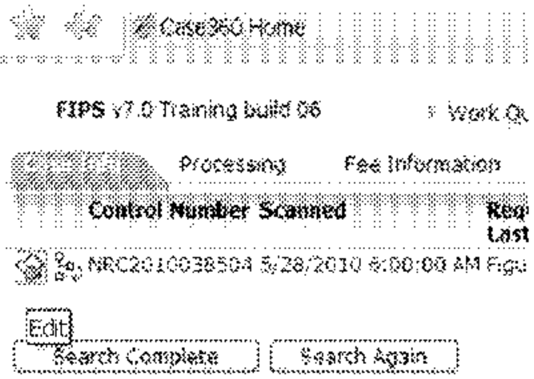
You may select "Search Complete" or you may select "Search Again" to try the search by a single criterion or different combinations such as Subject Last Name, Subject First Name, Requester Last Name, and so forth. However, the search may yield an open case:


Case360 Home
FIPS v7.0 Training build
Work Queues
Actions
Standalone Search
Processing
Fee Information
Search Complete
Search Again
Contacts
Discussions
Case Actions
History
Records Locator
Case Processor
Case Approver
Unit Chief
Up front approver
Pend
Page 2 of 2 65.7% Viewing version: 1

| Control Number | Scanned | Requester's Last Name | Requester's First Name | Last Name | First Name | Middle Name | Topic | A Number |
|---|---|---|---|---|---|---|---|---|
| LRC2010028504 | 5/28/2010 6:00:00 AM | Figueroa | Laura | [illegible] | [illegible] | [illegible] | | [illegible] |

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

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:

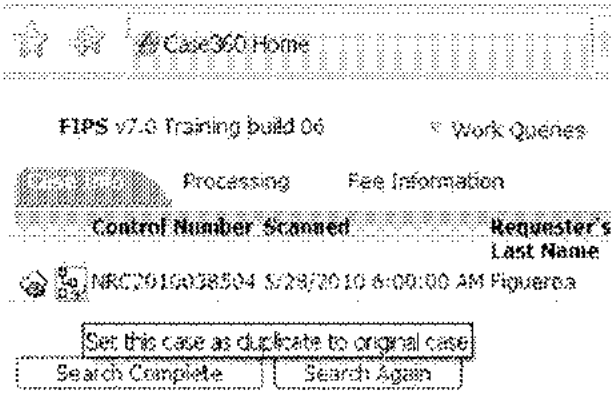

Case360 Home
FIPS v7.0 Training build 06
Work Qu
Processing
Fee Information
Control Number Scanned
Req
Last
Edit
Search Complete
Search Again

NRC2010038504 5/28/2010 6:00:00 AM Figu

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
Set this case as duplicate to original case
Search Complete
Search Again

NRC2010038504 5/28/2010 6:00:00 AM Figueroa

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.

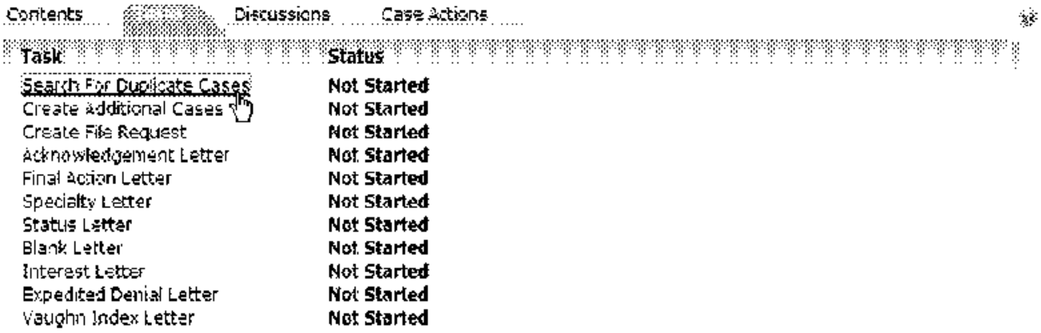
## 6.5 COPYING RECORDS FROM A CLOSED CASE

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**.



| 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.

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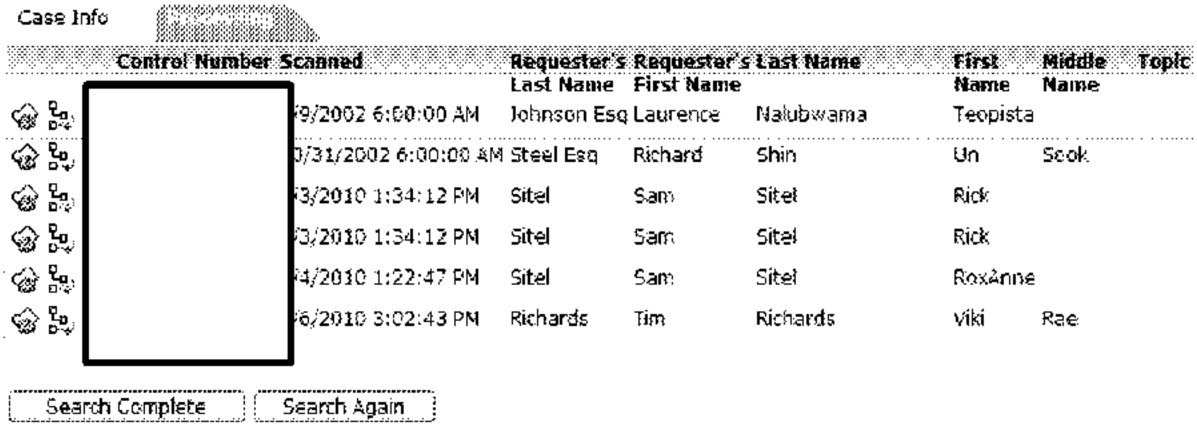
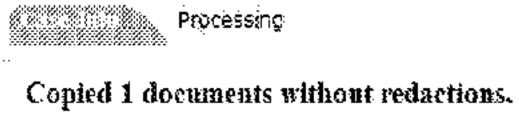
To copy the responsive records from the case shown in the search results into the new case, click the **Copy Documents** icon, which looks like two pages:



(b)(6)

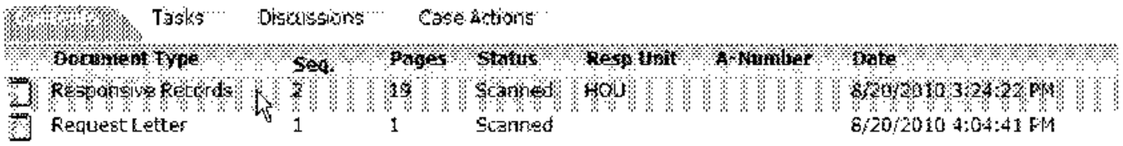
| Control Number | Scanned | Requester's Last Name | Requester's First Name | Last Name | First Name | Middle Name | Topic |
|---|---|---|---|---|---|---|---|
| [redacted] | 9/2002 6:00:00 AM | Johnson Esq | Laurence | Nalubwama | Teopista | | |
| [redacted] | 0/31/2002 6:00:00 AM | Steel Esq | Richard | Shin | Un | Seok | |
| [redacted] | 3/2010 1:34:12 PM | Sitel | Sam | Sitel | Rick | | |
| [redacted] | 3/2010 1:34:12 PM | Sitel | Sam | Sitel | Rick | | |
| [redacted] | 4/2010 1:22:47 PM | Sitel | Sam | Sitel | RoxAnne | | |
| [redacted] | 6/2010 3:02:43 PM | Richards | Tim | Richards | Viki | Rae | |

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



**Copied 1 documents without redactions.**

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



| 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.

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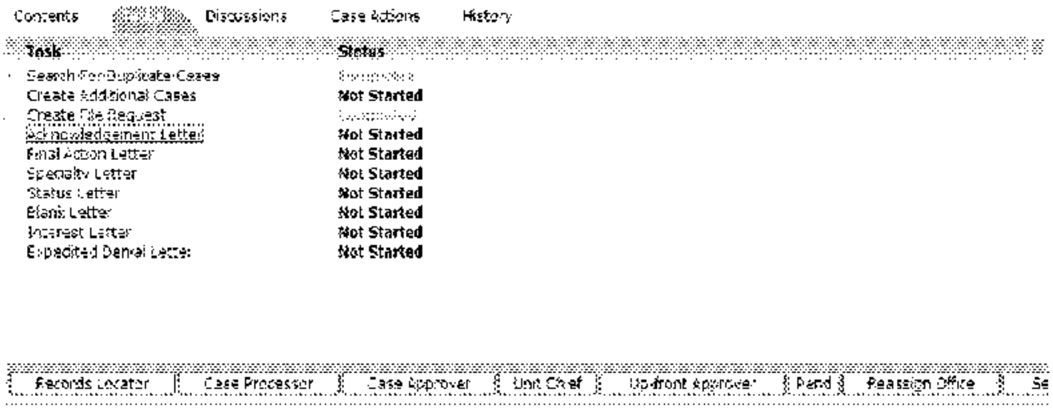
Please request the additional PII with your Acknowledgement Letter. After you create the acknowledgment letter requesting additional documentation, do not create the file request. In the "Contents" tab, you will see a Pending slot for Requester Documentation. Send the case to Pend. After we receive a response from the requester, a FOIA/PA Assistant working in Records Locator queue will request the file. The processor will use the requested information to verify the release of the correct records.

Note: if the requester marks "unknown," "none" or "N/A" for any element of the above PII, please do not request this information as part of the Acknowledgement Letter.

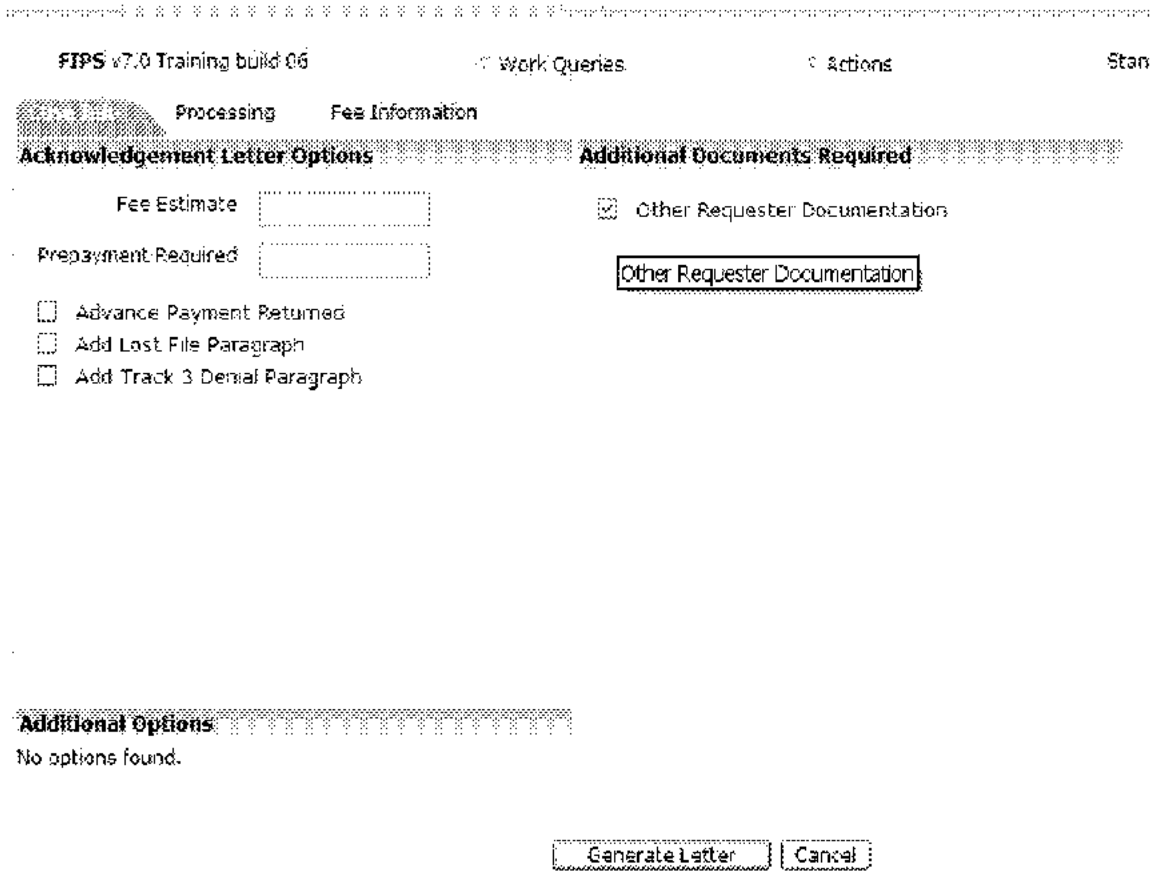
At this point, you will send an acknowledgment letter requesting additional information. You will not request a file.

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



| Task | Status |
|---|---|
| Search For Duplicate Cases | Completed |
| Create Additional Cases | Not Started |
| Create File Request | Completed |
| 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 |

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
Generate Letter
Cancel

**Acknowledgement Letter Options**

Fee Estimate

Prepayment Required

☐ Advance Payment Returned
☐ Add Lost File Paragraph
☐ Add Track 3 Denial Paragraph

**Additional Documents Required**

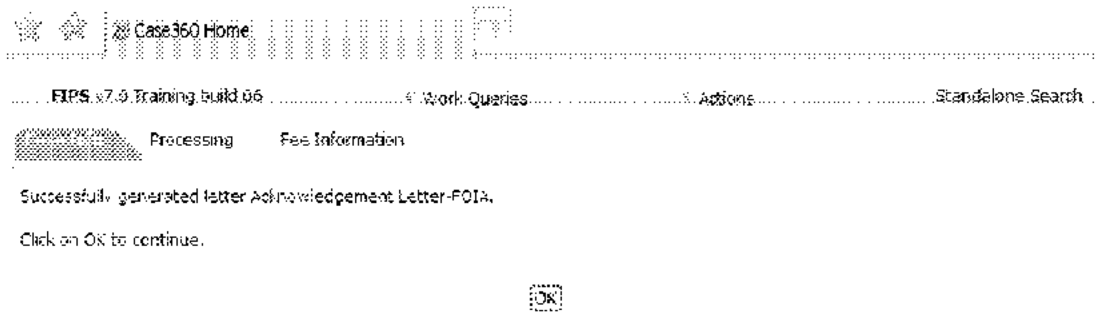
☑ Other Requester Documentation

Other Requester Documentation

**Additional Options**

No options found.

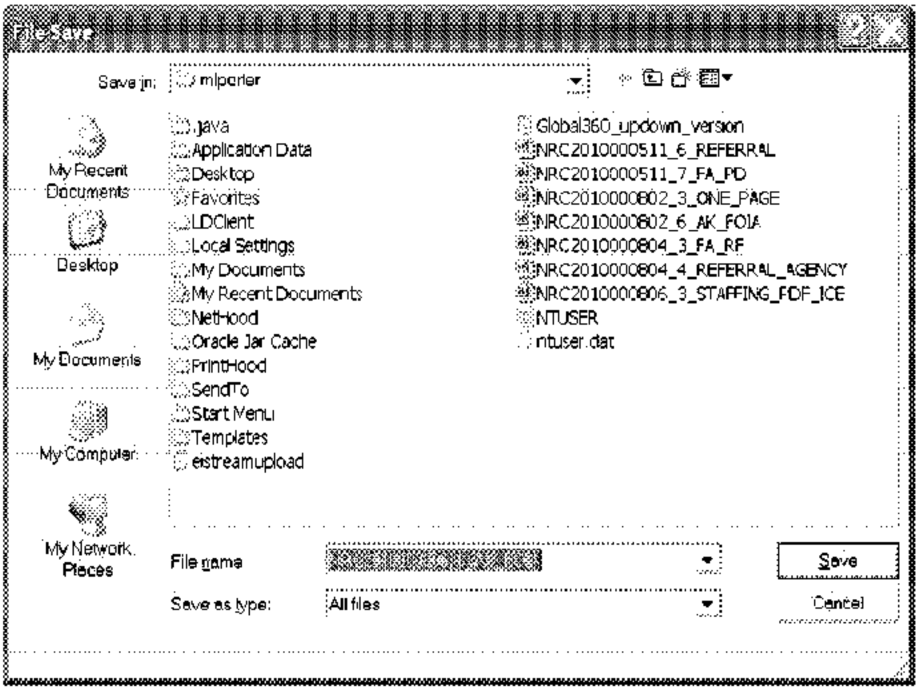
We then click on "Generate Letter." Our only option at that point is to click OK:


Case360 Home
FIPS v7.0 Training build 06
Work Queries
Actions
Standalone Search
Processing
Fee Information
OK

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."



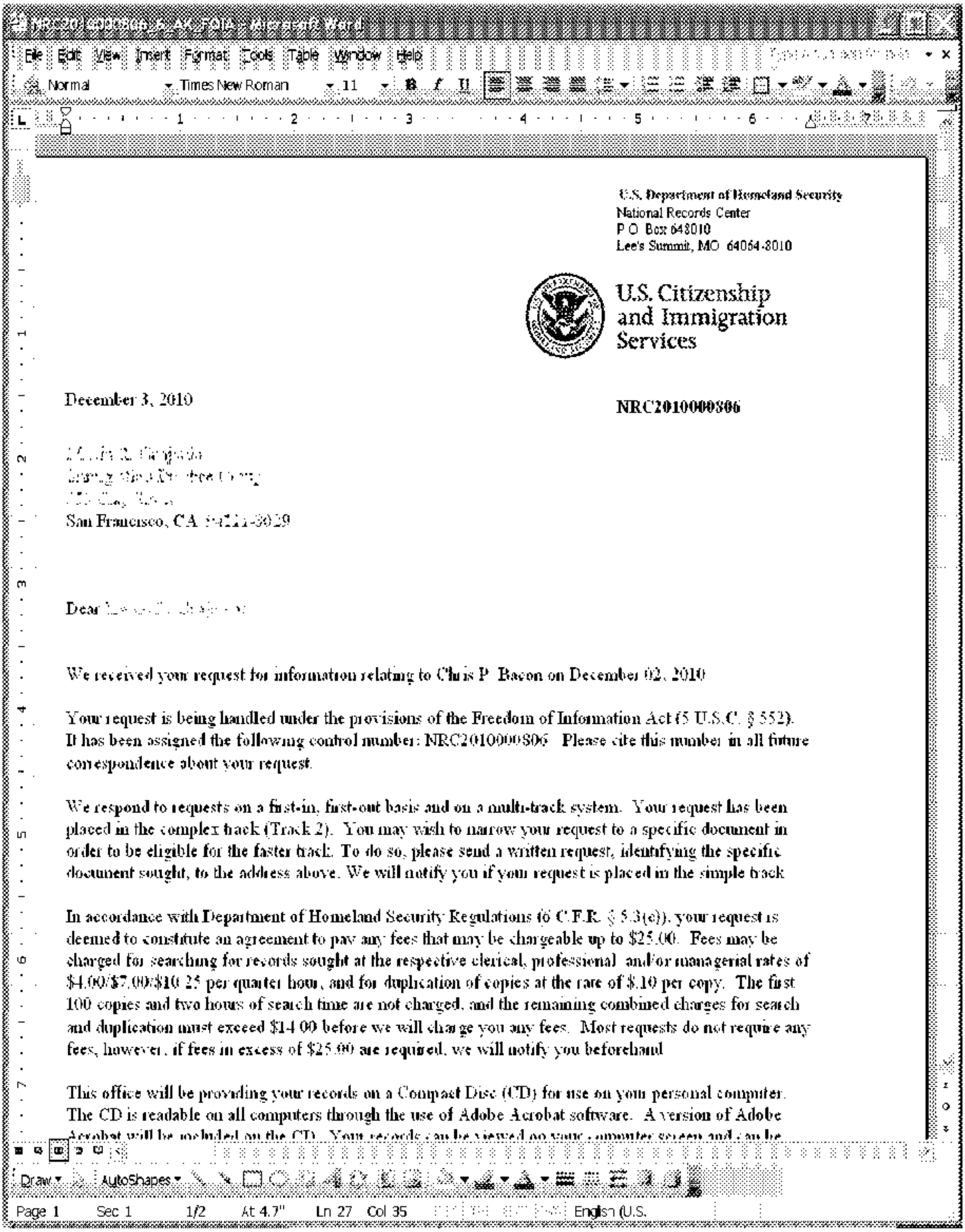
Save in: mlporter

.java
Application Data
Desktop
Favorites
LDClient
Local Settings
My Documents
My Recent Documents
NetHood
Oracle Jar Cache
PrintHood
SendTo
Start Menu
Templates
estreamupload
Global360_updown_version
NRC2010000511_6_REFERRAL
NRC2010000511_7_FA_PD
NRC2010000802_3_ONE_PAGE
NRC2010000802_6_AK_FOIA
NRC2010000804_3_FA_RF
NRC2010000804_4_REFERRAL_AGENCY
NRC2010000806_3_STAFFING_PDF_ICE
NTUSER
ntuser.dat

File name: [redacted]

Save as type: All files

The acknowledgment letter will pop up:


File Edit View Insert Format Tools Table Window Help
Normal
Times New Roman
11
Draw
AutoShapes
Page 1 Sec 1 1/2 At 4.7" Ln 27 Col 35 English (U.S.

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

[illegible]
[illegible]
[illegible]
San Francisco, CA [illegible]

Dear [illegible]

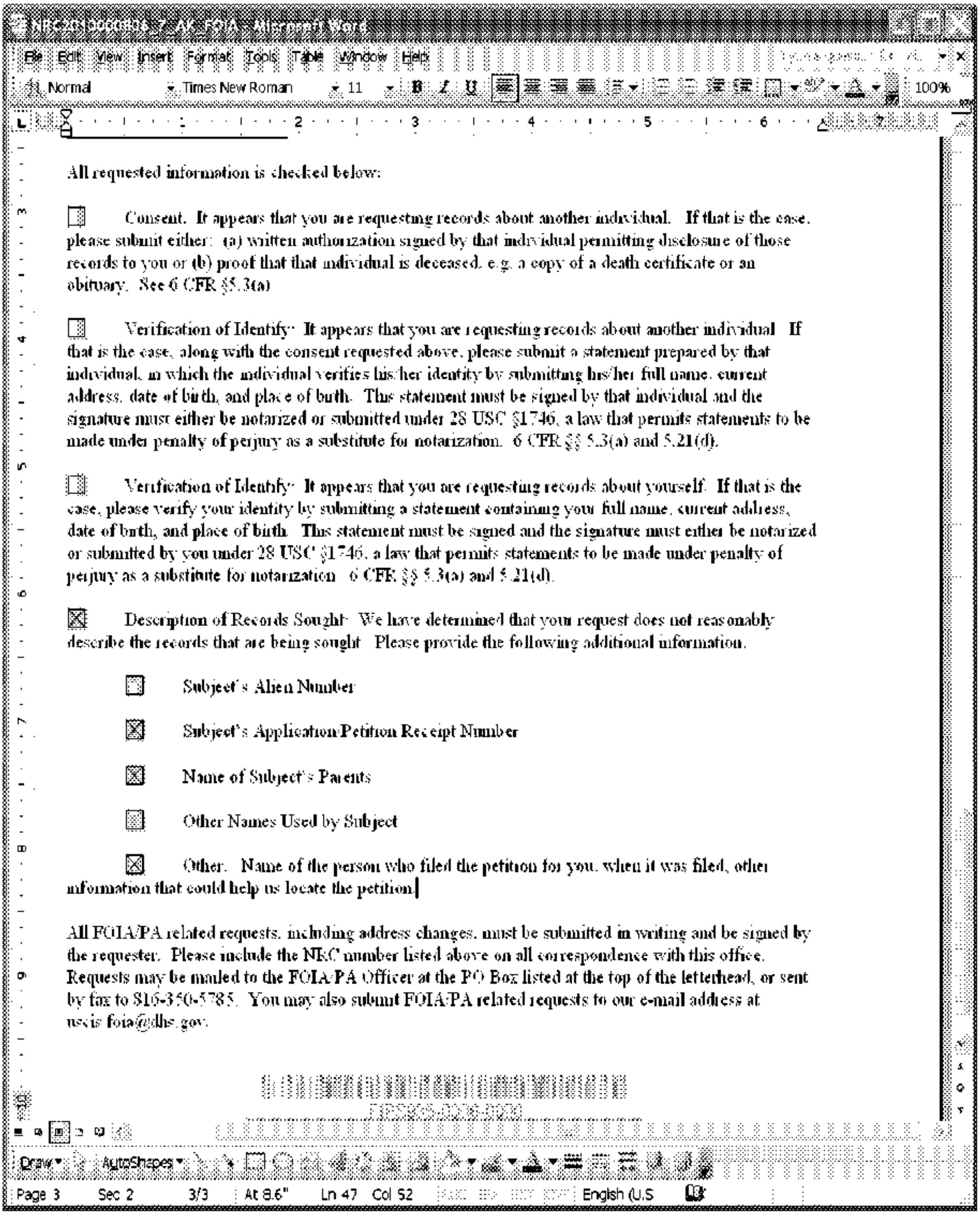
We received your request for information relating to Chris P Bacon on December 02, 2010

Your request is being handled under the provisions of the Freedom of Information Act (5 U.S.C. § 552). It has been assigned the following control number: NRC2010000806 Please cite this number in all future correspondence about your request.

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

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

This office will be providing your records on a Compact Disc (CD) for use on your personal computer. The CD is readable on all computers through the use of Adobe Acrobat software. A version of Adobe Acrobat will be included on the CD. Your records can be viewed on your computer screen and can be


File Edit View Insert Format Tools Table Window Help
Normal
Times New Roman
11
100%
Draw
AutoShapes
Page 3 Sec 2 3/3 At 8.6" Ln 47 Col 52 English (U.S

All requested information is checked below:

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

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

☐ Verification of Identify: It appears that you are requesting records about yourself. If that is the case, please verify your identity by submitting a statement containing your full name, current address, date of birth, and place of birth. This statement must be signed and the signature must either be notarized or submitted by you under 28 USC §1746, a law that permits statements to be made under penalty of 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 NRC number listed above on all correspondence with this office. Requests may be mailed to the FOIA/PA Officer at the PO Box listed at the top of the letterhead, or sent by fax to 816-350-5785. You may also submit FOIA/PA related requests to our e-mail address at uscis.foia@dhs.gov.

The acknowledgement letter has a third page. Do not change the wording on the page without specific supervisory instruction to do so. You may add information after the "Other" checkbox to clarify what information we need. Double-click in the area you need additional information, select the radio button marked "Checked" and then click OK for each item of information you need:

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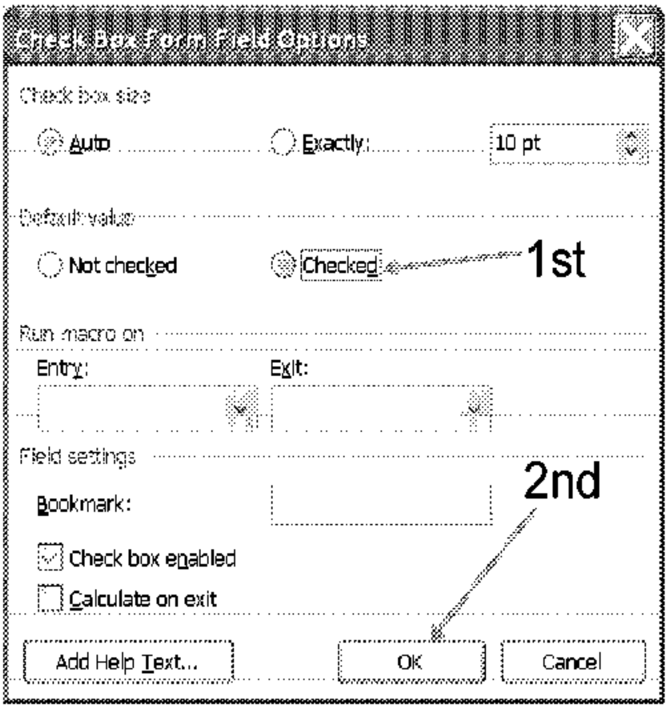


Check Box Form Field Options

Check box size

● Auto ○ Exactly: 10 pt

Default value

○ Not checked ● Checked

Run macro on

Entry:

Exit:

Field settings

Bookmark:

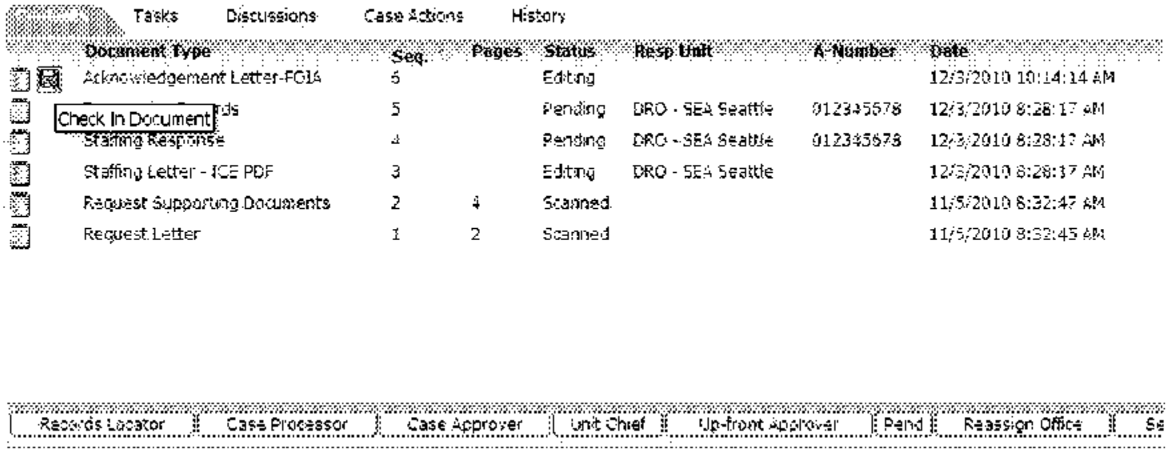
☑ Check box enabled

☐ Calculate on exit

1st
2nd
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
Check In Document

| Document Type | Seq. | Pages | Status | Resp Unit | A-Number | Date |
|---|---|---|---|---|---|---|
| Acknowledgement Letter-FOIA | 6 | | Editing | | | 12/3/2010 10:14:14 AM |
| rds | 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 8:28:37 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":

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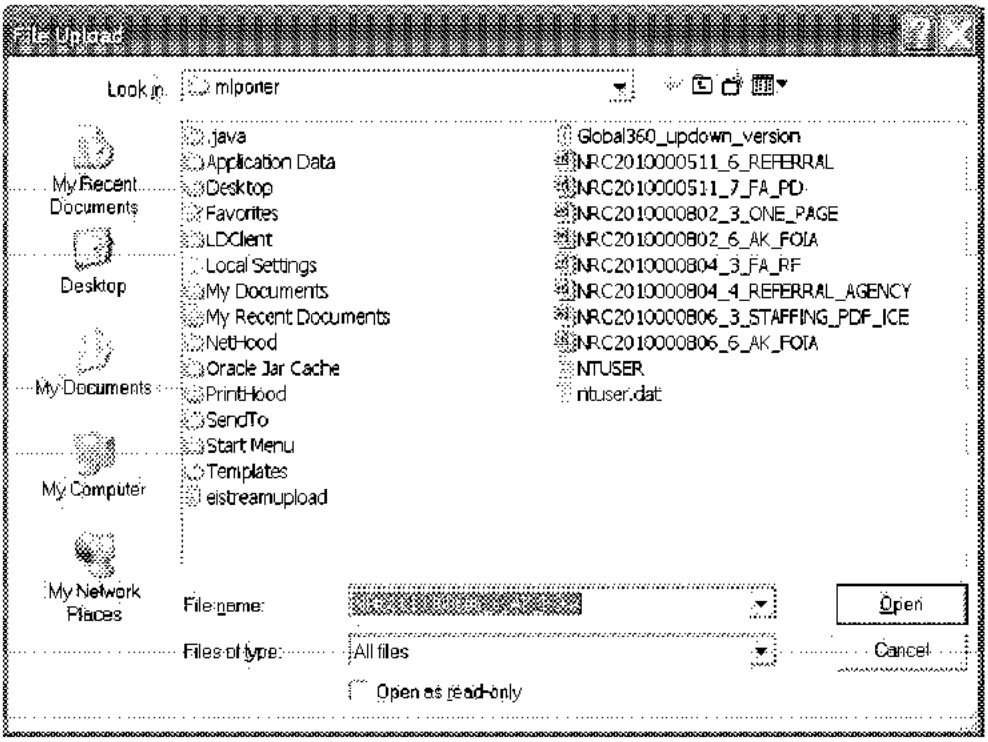
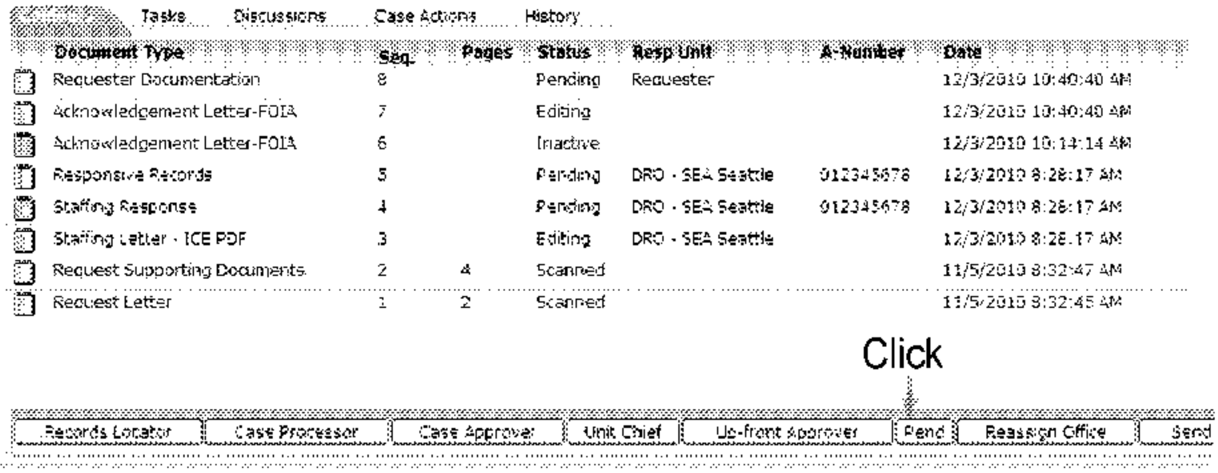

File Upload
Look in: mlporter
My Recent Documents
Desktop
My Documents
My Computer
My Network Places
File name:
Files of type: All files
Open
Cancel
Open as read-only

.java
Application Data
Desktop
Favorites
LDClient
Local Settings
My Documents
My Recent Documents
NetHood
Oracle Jar Cache
PrintHood
SendTo
Start Menu
Templates
eistreamupload
Global360_updown_version
NRC2010000511_6_REFERRAL
NRC2010000511_7_FA_PD
NRC2010000802_3_ONE_PAGE
NRC2010000802_6_AK_FOIA
NRC2010000804_3_FA_RF
NRC2010000804_4_REFERRAL_AGENCY
NRC2010000806_3_STAFFING_PDF_ICE
NRC2010000806_6_AK_FOIA
NTUSER
ntuser.dat

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

| Document Type | Seq. | Pages | Status | Resp Unit | A-Number | Date |
|---|---|---|---|---|---|---|
| Requester Documentation | 8 | | Pending | Requester | | 12/3/2010 10:40:40 AM |
| Acknowledgement Letter-FOIA | 7 | | Editing | | | 12/3/2010 10:40:40 AM |
| Acknowledgement Letter-FOIA | 6 | | Inactive | | | 12/3/2010 10:14:14 AM |
| 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 | | 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 |

Click

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

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## 7.4 Third party requests

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

On the other hand, USCIS will not release personally identifying information (PII) or personally sensitive information to a third party without consent. If the requester is asking for records concerning an individual and does not provide consent, nor does it appear likely that the requester is going to get consent, we treat it as a third party request without consent. It may be obvious from the request that the requester will not be able to obtain consent from the subject of record. If you have a doubt, consult your supervisor. The supervisor may have you send for consent, call the requester to see if you can make a determination, or create the case as third party without consent.

Third party requesters are entitled to any public documents that may be in the file they are seeking, as well as documents they provided in support of an application or petition. For example, if a wife is looking for a copy of her husband's file so that she may divorce him, and says in her request letter that she does not know where he is or says she cannot get his consent, do not send a request back to her for her husband's consent. In a situation like this, simply request the file and put a Discussion in FIPS that it is a third party request without consent. In the above example, if she did not specifically say she cannot get his consent or that she does not know where he is, do not request the file. In a situation like this, send a request for consent and pend the case for requester documentation.

## 7.5 Deceased subjects and the 100-year rule

If the subject of a request is deceased, it is incumbent upon the requester to provide proof of death. Proof of death could be any of the following:

- Death Certificate;
- Obituary;
- Funeral Memorial; or
- Photograph of headstone

If the subject of a request is over 100 years old, USCIS assumes he or she is deceased and no proof of death is required.

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# 8. CASE CREATE SITUATIONS/OTHER PROBLEMS

At any time during the case-create process you may encounter a quirky or unusual situation. Some not-so-usual situations follow this paragraph, but as a case creator, you will inevitably see situations you have never seen before. Case creators should seek assistance from their supervisors as a first step. If the problem cannot be resolved, the creator should send the case to the Unit Chief and send an e-mail to the supervisor for clarification. If it is not a situation that needs clarification but some type of FIPS error, send an e-mail to the FIPS Problem mailbox (NRC, FIPSPROBLEM), or in other situations to the MSB mailbox (NRC, NRCFOIAMSB).

Clicking on the FIPSPROBLEM link above will automatically generate an e-mail addressed to both the NRC, FIPSPROBLEM mailbox and the NRC, FOIA PROGRAM mailbox.

## 8.1 REQUESTS: Foreign Consulate

Immediately forward any type of correspondence, FOIA request or inquiry received from the consulate of a foreign nation to the Director's Office for handling. USCIS Headquarters is the only one authorized to correspond with foreign consulates.

Please make sure it is a consulate requesting the records and not the subject of the request putting the consulate's address on the G-639 to mail the records to the consulate (for passports). If the request is from a consulate, please send the FOIA request to Up-front Approver to be closed as an ER and send an e-mail to NRC, FOIAOA mailbox with the case information. The supervisor will review and close the case. If the subject mailed the request and wrote the consulate's address on the G-639, use the subject's address from the envelope and set it up as a self request.

## 8.2 REQUESTS: Non-immigrant visa material

If the requester specifically asks for non-immigrant visa data and there is no record of the person in CIS or CLAIMS; do not close the request as NR. If the requester is asking a question about being a student, au pair, camp counselor, or participating in a summer work/travel program, or if the requester specifically mentions visa type F-1, F-3, J-1, M-1 or M-3, then you should refer the request to ICE, since that record will be tracked in SEVIS (Student and Exchange Visitor Information System.) An example of a "refer to ICE" type request might be: "Type of visa, visa number and legal documents allowing entry into the US. The subject was a student at the University of Nebraska."

Otherwise, redirect the requester to Department of State. An example of a "re-direct to State" type request might be for a B1/B2 visa, such as: "Type of visa, visa number and legal documents allowing entry into the US. The subject visited Disney World and Cape Canaveral and entered at Orlando International Airport."

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## 8.3 REQUESTS: Routine use, no consent required, not FOIA

USCIS may disclose records to an appropriate Federal, State, tribal, local, international, or foreign agency, including law enforcement, or other appropriate authority charged with investigating or prosecuting a violation or enforcing or implementing a law, rule, regulation, or order, where a record, either on its face or in conjunction with other information, indicates a violation or potential violation of law, which includes criminal, civil, or regulatory violations and such disclosure is proper and consistent with the official duties of the person making the disclosure.

What does that mean? We may disclose records from alien files to other Federal, State and local government agencies as a normal course of operation for law enforcement purposes. Consent is not necessary for the processing of these types of requests. Some examples of these types of requests include requests relating to child support enforcement and aliens seeking public assistance.

Requests from government agencies (federal, state or local) for verification of status of aliens are routine use.

These types of requests are not a part of FOIA and should not be in FIPS. For example, you may open a request from a county public assistance agency attempting to locate a child's father who is avoiding financial responsibility. If you open a request from a state or local government agency requesting information about an alien, send the case to Up-front Approver for closing as ER. The only exception to this rule is if there is a cover sheet with instructions to create as FOIA.

## 8.4 REQUESTS: Bond obligor, no consent required, not USCIS FOIA

Criminal bonds are bonds posted by individuals or bail bondsmen relating to non-immigration violations of the law. These requests are processed by Immigration and Customs Enforcement.

Immigration bond obligors are surety companies who have posted an immigration bond (I-352) for an alien who has been taken into custody by the Service. If the alien fails to attend his or her hearing, then he or she forfeits the bond. Under the court case *Amwest v. Reno*, the surety companies, or their attorneys, are entitled to a complete copy of the alien's file to assist them in trying to locate the alien. Consent is not required for the bond obligor; however, they should provide a copy of the bond contract, Form I-352, with their FOIA request.

We no longer process requests received from immigration bond obligors or criminal bond obligors. Please send any new requests that are scanned into FIPS to Up-front Approver for closing as ER. Please send an e-mail to NRC, FOIAOA and provide the REQ number or control number, and also include the requester's name.

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
ADMINSTRATION
CIVIL REFERENCE
7th AND PENNSYLVANIA AVENUE NW
WASHINGTON DC 20408

## 8.7 REQUESTS: Referrals and Consultations received from other agencies

As other agencies process FOIA/PA requests, they will sometimes find our agency's documents within their files. These documents will be referred to us for processing. The responsive records could be USCIS documents being referred to us for review or joint documents i.e., co-authored by the referring agency and other agencies. A transmittal memorandum advising us to respond directly to the referring agency is a consultation. A transmittal memorandum advising us to reply directly to the requester is a referral.

Send the case to processor. Send an e-mail to the MSB mailbox advising them that you have created the case and that it is a referral/consultation from another agency. Include the alien name and the NRC control number.

## 8.8 REQUESTS: USCIS personnel information

- Requests that deal specifically with USCIS vacancy announcements, performance ratings and awards are scanned and handled in the HQS queue by the Special Interest Group.
- If a request for CIS Personnel Information mistakenly is scanned in the NRC queue, create the case and reassign the case to **HQS**. Create the case as a Track 2 case. Use

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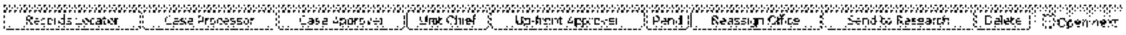
**PER** for the category and **CIS** for the bureau, in the "Topic" field, enter the vacancy announcement number.



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

You should then create a Final Action Letter and select the closing code "NA: FOIA or PA not applicable." You will have to select a Non-FOIA Operational Unit. Choose "NRC-Director." You do not have to modify the referral letter, but you should make the appropriate edits in the Final Action Letter. Next, send the case to Up-front Approver. The supervisor will review and close the case.

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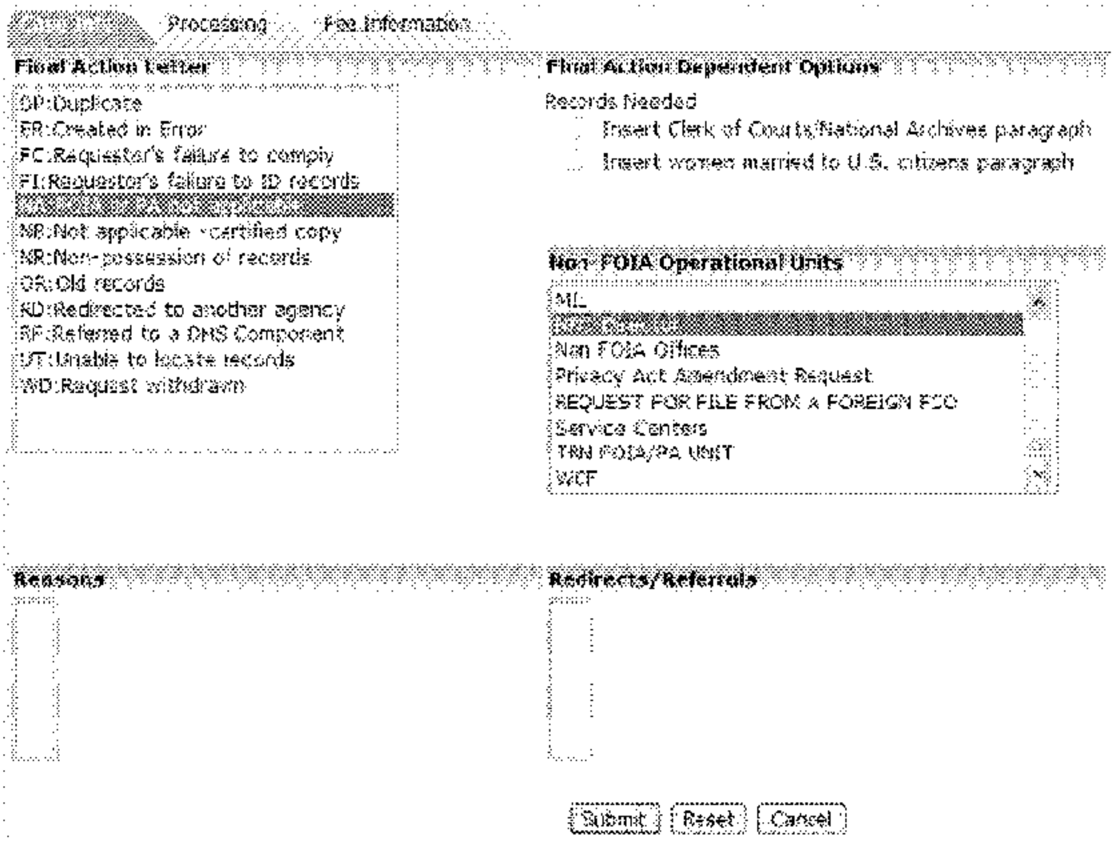
Processing
Fee Information
Final Action Letter
DP:Duplicate
ER:Created in Error
FC:Requester's failure to comply
FI:Requestor's failure to ID records
[illegible]
NP:Not applicable - certified copy
NR:Non-possession of records
OR:Old records
RD:Redirected to another agency
RF:Referred to a DHS Component
UT:Unable to locate records
WD:Request withdrawn
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
ML
[illegible]
Non FOIA Offices
Privacy Act Amendment Request
REQUEST FOR FILE FROM A FOREIGN FCO
Service Centers
TRN FOIA/PA UNIT
WCF
Reasons
Redirects/Referrals
Submit
Reset
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

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Requesters will sometimes ask for the return of original documents, such as adoption decrees, birth certificates or other documents of a personal nature on a request addressed to FOIA. If the request for the return of original documents is submitted on a G-639, we are required to provide the requester with a copy of the specific documents requested. For return of original documents, the requester must submit a G-884 to the SAVE Unit of their local district office. Insert the following verbiage in the acknowledgement letter.

> In your FOIA request you have specifically asked for the return of original documents. We will provide you with a copy of these documents. In order to obtain the original documents you must submit a G-884, "Request for the Return of Original Documents" to the Save Unit of the nearest district office.

If a Form G-884 has accidentally been scanned into FIPS as a FOIA request, send the case to Up-front Approver for closure as "ER" (created in error). A letter is not created by FIPS; you will need to create a Blank Letter explaining the reason we did not accept their request as a FOIA request. Print two copies of the letter. Attach a cover sheet on one copy to be scanned in as a CSD and send the other copy to the OA room for mailing to the requester. Include a detailed Discussion note. Send the case to Up-front Approver. The supervisor will review and close the case.

If the alien file is located at the NRC, the Case Resolution Team at the NRC handles all G-884's (Request for Return of Original Documents). OA ordinarily forwards any requests for return of original documents to Case Resolution.

## 8.13 REQUESTS: Privacy Act Amendment

A person who is a United States Citizen or a Lawful Permanent Resident may request that we amend, expunge, or correct information in his/her PA record that the individual believes is not accurate, relevant, timely or complete. Sometimes a supervisor will place a coversheet on the request stating "Privacy Act Amendment."

If you are creating a Privacy Act Amendment request, please do the following:

1. Begin as usual, filling in requester and subject information and searching for duplicates.
2. Assign it to Track 2. Assign it to Category: Special Interest Group.
3. Create the case.
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.

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## 8.14 SITUATION: Untranslated Foreign Language Documents

If you find an untranslated foreign language document which may contain essential information needed to create a case, and you are unable to determine what that information is, there are individuals at the NRC available to translate. Here is the procedure:

- Insert a Discussion titled "Untranslated Documents" and the reference page numbers.
- Copy the text of the Discussion and paste it into an e-mail to NRC, NRCFOIAMSB.
- Send the case to Unit Chief.
- After translation, a copy of the translated information may be scanned in, or the translator may add a Discussion response. The translator will then return it to you for creation and/or staffing.

## 8.15 SITUATION: Congressional correspondence

When the unit receives correspondence from a member of Congress, the creator will need to create the case as a track two case, mark the category as Congressional, request the requested documents and send an e-mail to the 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:

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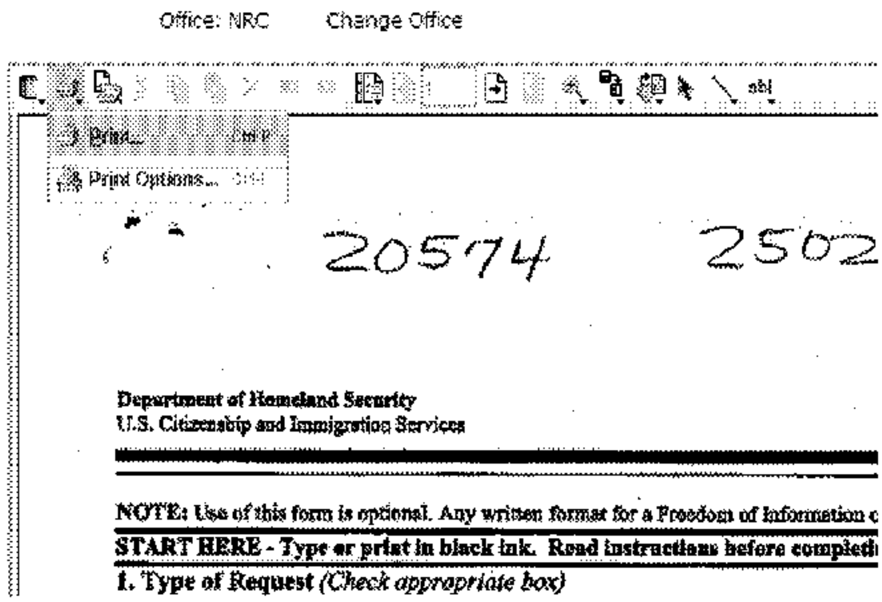
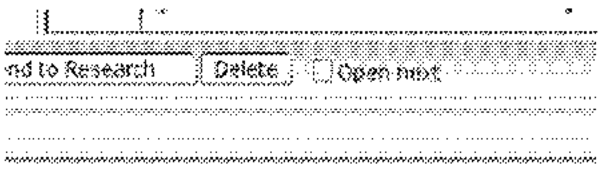


20574 2502

**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 c**
**START HERE - Type or print in black ink. Read instructions before completi**
**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 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."



## 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, 2nd Floor
Washington, DC 20529-2204

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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 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.

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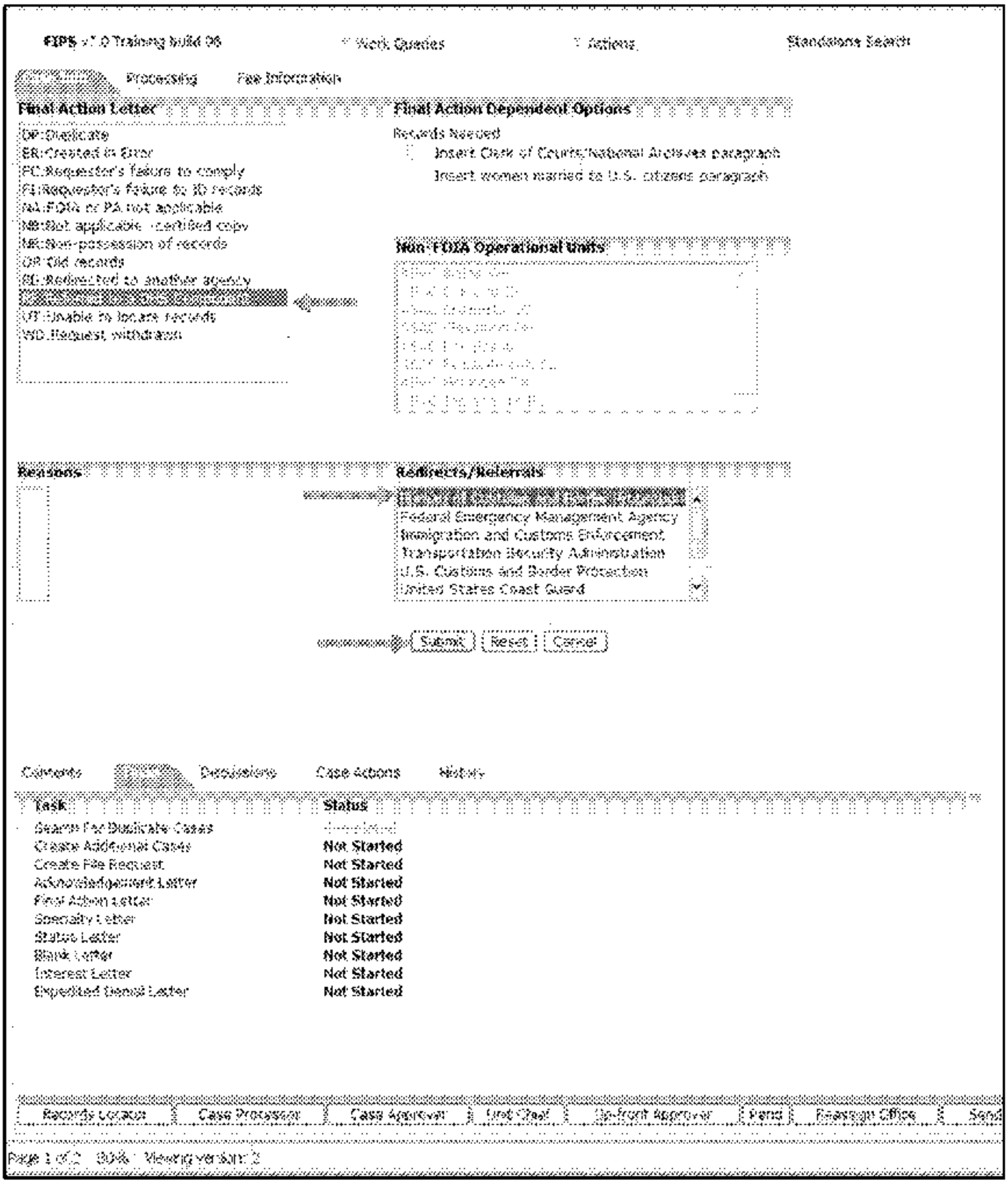
# 9. REFERRAL AND REDIRECTION

## 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
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**

**Reasons**

**Redirects/Referrals**

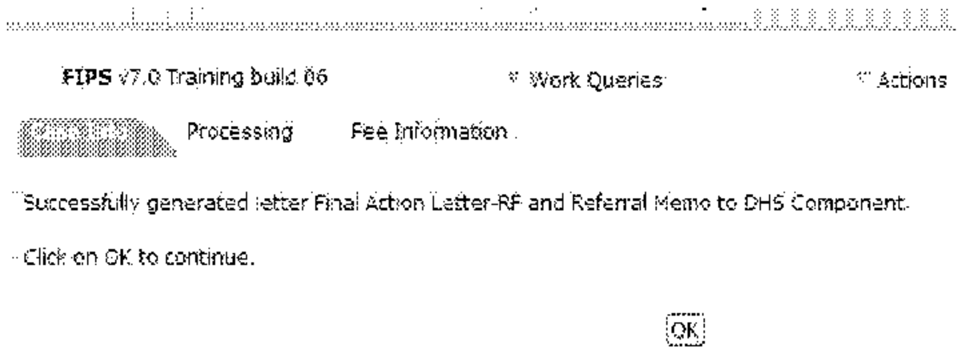
Federal Emergency Management Agency
Immigration and Customs Enforcement
Transportation Security Administration
U.S. Customs and Border Protection
United States Coast Guard

Submit
Reset
Cancel
Comments
Decisions
Case Actions
History

| Task | Status |
|---|---|
| Search For Duplicate Cases | [illegible] |
| 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 90% Viewing version: 2

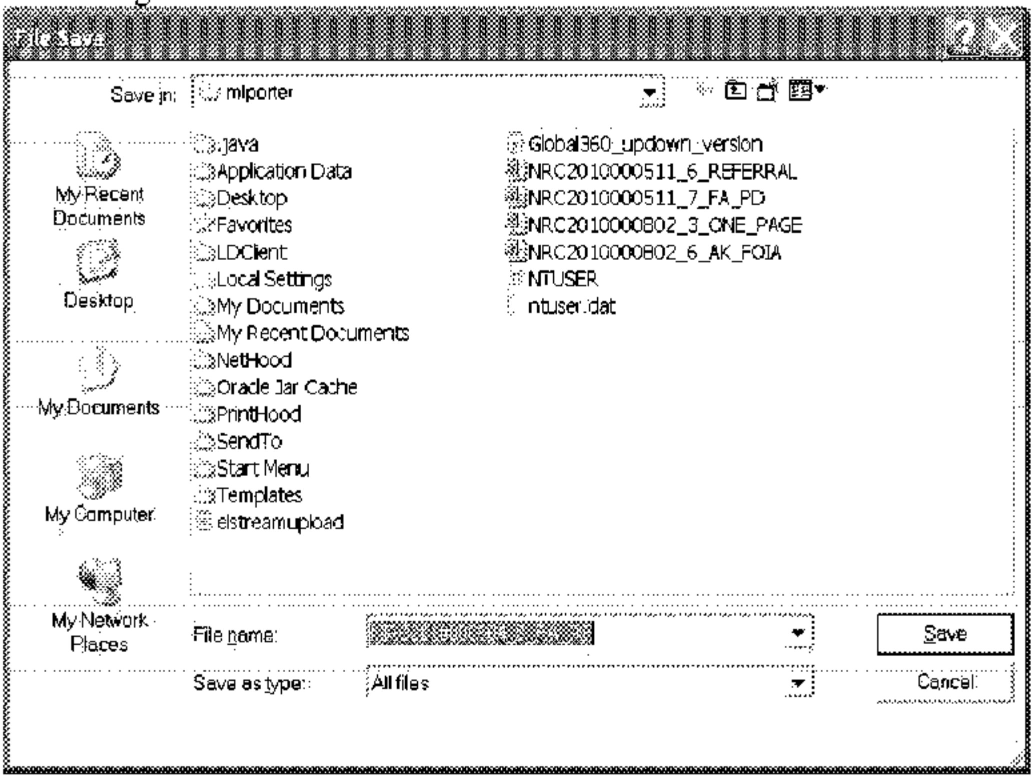
FIPS will automatically create two documents: A final action letter to the requester and a referral memorandum to the DHS component.


FIPS v7.0 Training build 06
Work Queries
Actions
Processing
Fee Information
OK

Successfully generated letter Final Action Letter-RF and Referral Memo to DHS Component.

Click on OK to continue.

FIPS then generates the two Word documents:


File Save
Save in: mlporter
My Recent Documents
Desktop
My Documents
My Computer
My Network Places
.java
Application Data
Desktop
Favorites
LDClient
Local Settings
My Documents
My Recent Documents
NetHood
Oracle Jar Cache
PrintHood
SendTo
Start Menu
Templates
elstreamupload
Global360_updown_version
NRC2010000511_6_REFERRAL
NRC2010000511_7_FA_PD
NRC2010000802_3_ONE_PAGE
NRC2010000802_6_AK_FOIA
NTUSER
ntuser.dat
File name:
Save
Save as type:
All files
Cancel

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

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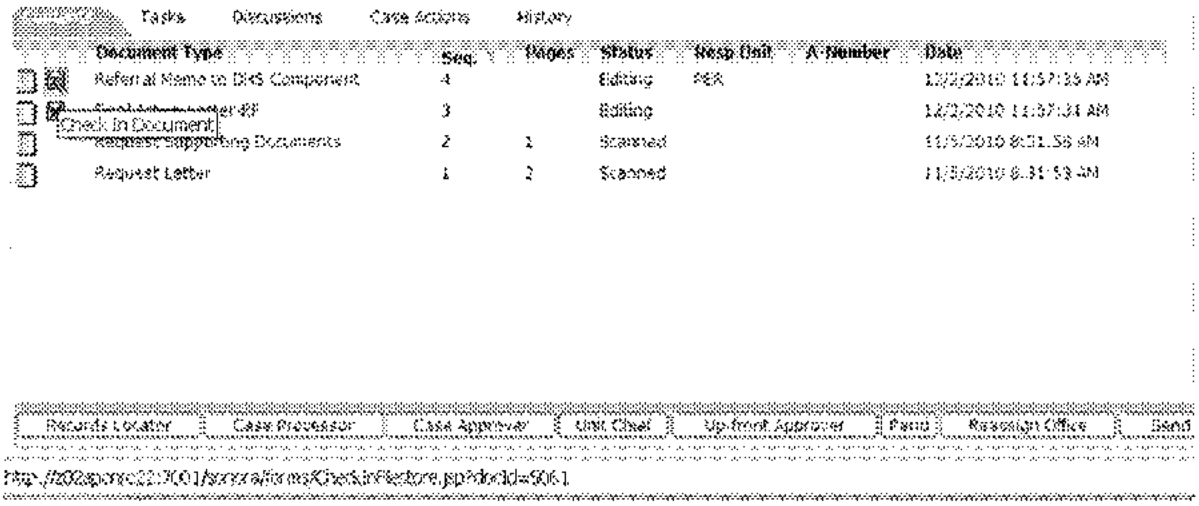
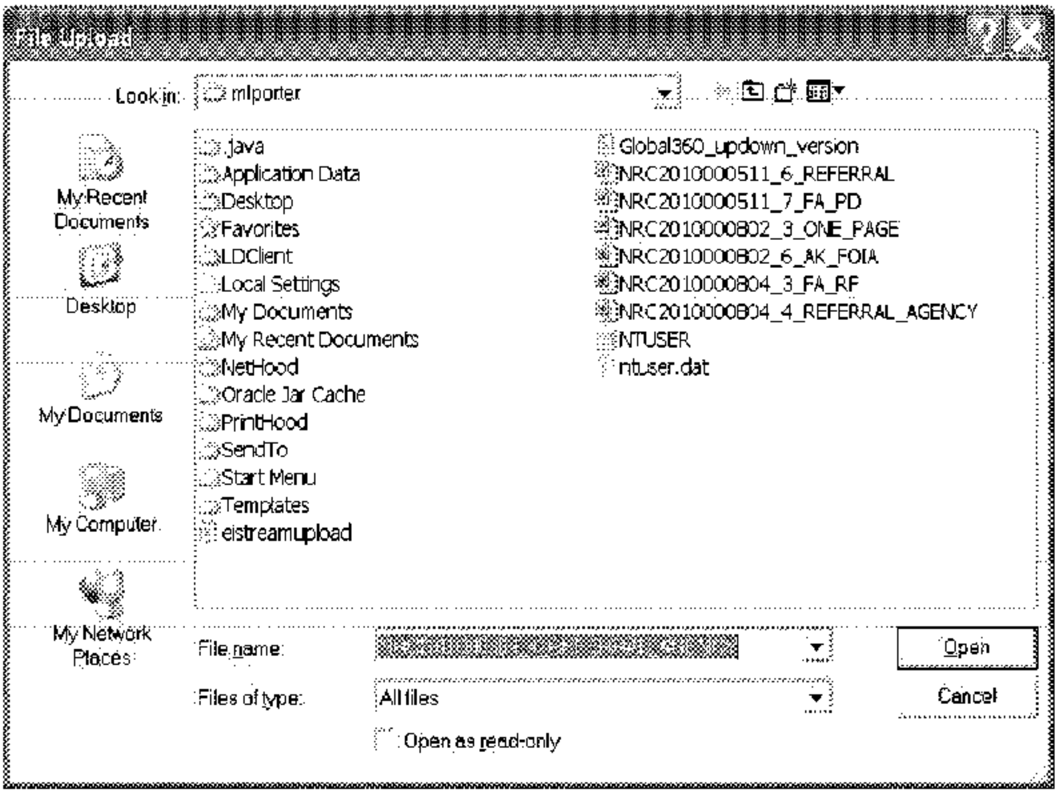
 
Tasks
Discussions
Case Actions
History
Check In Document
Records Locator
Case Processor
Case Approver
Unit Chief
Up-front Approver
Fwrd
Reassign Office
Send

| | 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 |
| ☐ | [illegible]er RF | 3 | | Editing | | | 12/2/2010 11:57:34 AM |
| ☐ | Request Supporting Documents | 2 | 1 | Scanned | | | 11/5/2010 8:31:56 AM |
| ☐ | Request Letter | 1 | 2 | Scanned | | | 11/5/2010 8:31:53 AM |

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


File Upload
Look in: mlporter
My Recent Documents
Desktop
My Documents
My Computer
My Network Places
.java
Application Data
Desktop
Favorites
LDClient
Local Settings
My Documents
My Recent Documents
NetHood
Oracle Jar Cache
PrintHood
SendTo
Start Menu
Templates
eistreamupload
Global360_updown_version
NRC2010000511_6_REFERRAL
NRC2010000511_7_FA_PD
NRC2010000802_3_ONE_PAGE
NRC2010000802_6_AK_FOIA
NRC2010000804_3_FA_RF
NRC2010000804_4_REFERRAL_AGENCY
NTUSER
ntuser.dat
File name:
Files of type:
All files
Open as read-only
Open
Cancel

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 9th Street NW, Mint Annex
Washington, DC 20229-1177

**Note:** If the request is for entry/exit information and the requester/subject provided an alien number, request the file. If the request is for entry/exit information and the requester/subject did not provide an alien number, you must thoroughly search CIS and CLAIMS to be sure the person does not have an alien number or application. CBP has records on entry and exit information dating back to 1982, but no further back. You may modify the referral letter; any information you can provide as to what the requester is asking for will be helpful to CBP.

## 9.4 Border Patrol referral to CBP

If you encounter a Border Patrol Request in Case Create, refer the case to CBP. This includes Border Patrol records relating to apprehension, entry without inspection (EWI), smuggled humans, mobile patrol group, voluntary return, repatriation, or checkpoints.

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

## 9.5 Personnel/hiring practices/vacancy announcements

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

## 9.6 US-VT referral to US Visit

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

If the requester is asking for both a copy of the alien file and for entry and exit information, you should request the file. See Entry/Exit CBP information above.

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

If you determine that the requester has provided all the PII possible after performing the CIS 9102 or 9106 and 9103 screen searches shown above, and there is only one person in the CIS 9101 screen with the same information, please request the file. However, prepare a Discussion explaining why you staffed for the file.

# 11. SOCIAL SECURITY NUMBER

USCIS does not use Social Security numbers in the Freedom of Information/Privacy Act requests. Even if the alien disclosed his or her SSN in the request, do not enter that number on the FIPS worksheet. We will not request the Social Security number when requesting additional documentation.

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# 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.

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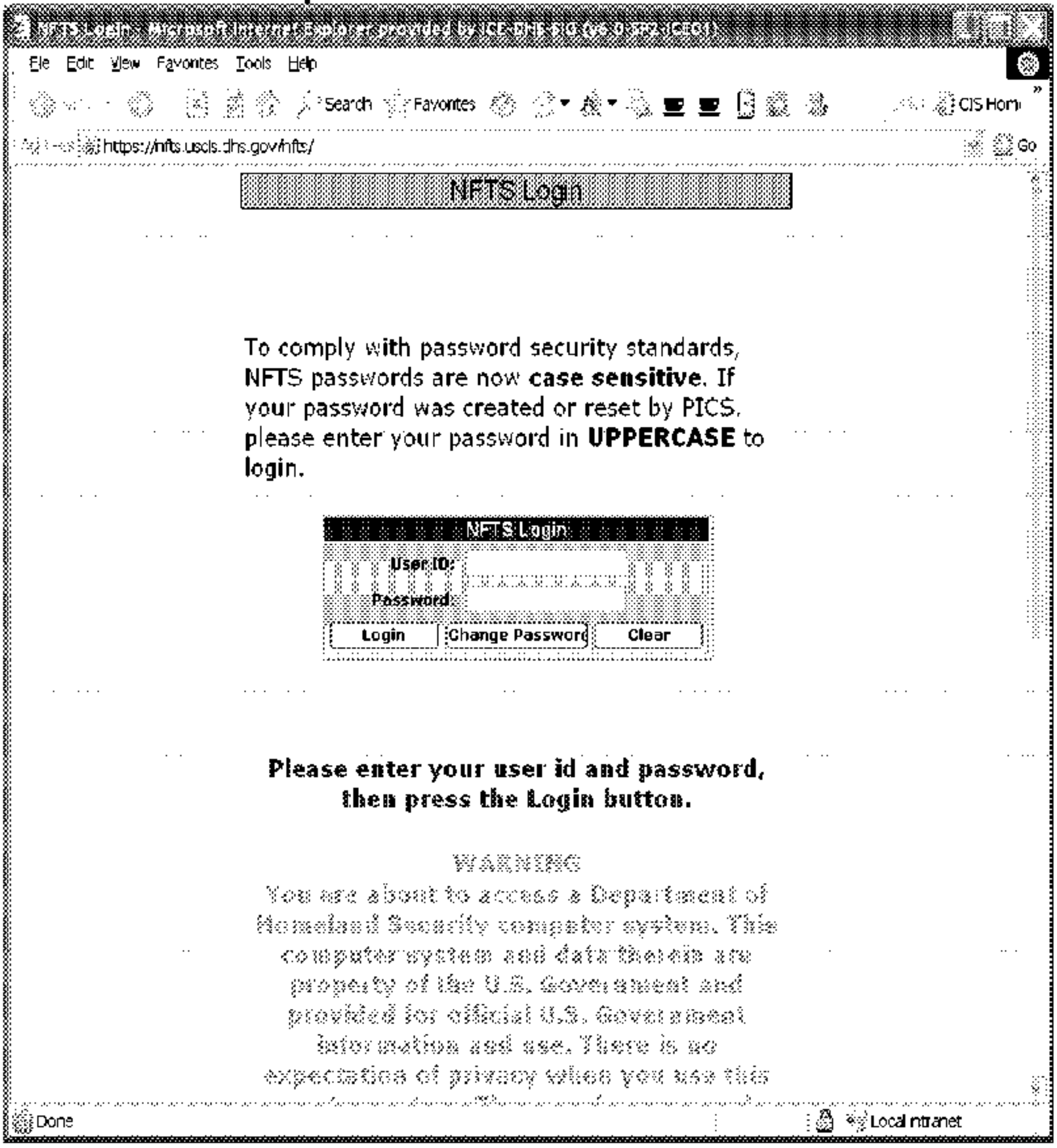
## 12.1 Staffing by Alien Number

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

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

#### 12.1.1.1. Open NFTS


NFTS Login - Microsoft Internet Explorer provided by ICE-DHS-SIG
File Edit View Favorites Tools Help
Search
Favorites
CIS Hom
https://nfts.uscis.dhs.gov/nfts/
Go
NFTS Login
NFTS Login
User ID:
Password:
Login
Change Password
Clear
Done
Local intranet

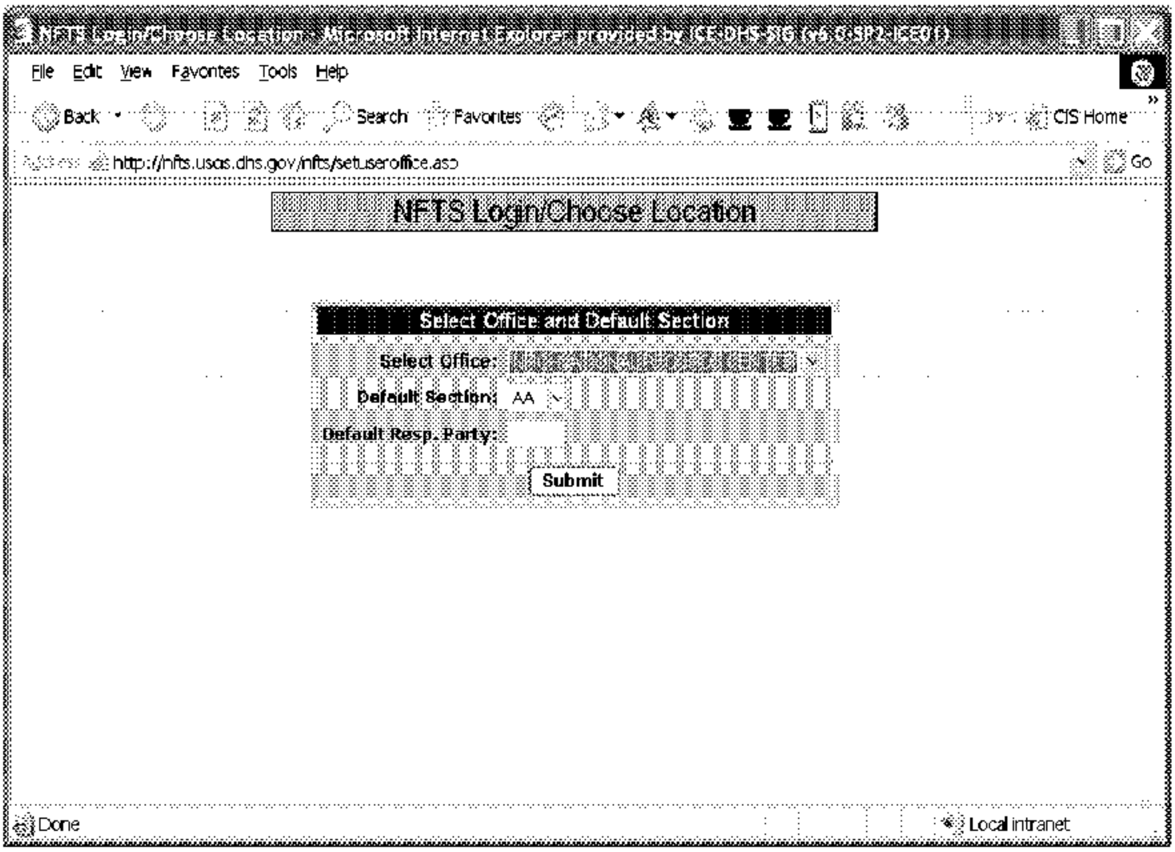
To comply with password security standards, NFTS passwords are now **case sensitive.** If your password was created or reset by PICS, please enter your password in **UPPERCASE** to login.

**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

### 12.1.1.2. Submit your location


NFTS Login/Choose Location - Microsoft Internet Explorer provided by ICE DHS SIG
File Edit View Favorites Tools Help
Back
Search
Favorites
CIS Home
Go
Done
Local intranet

Address: http://nfts.uscis.dhs.gov/nfts/setuseroffice.asp

NFTS Login/Choose Location

**Select Office and Default Section**

**Select Office:** [illegible]

**Default Section:** AA

**Default Resp. Party:**

Submit

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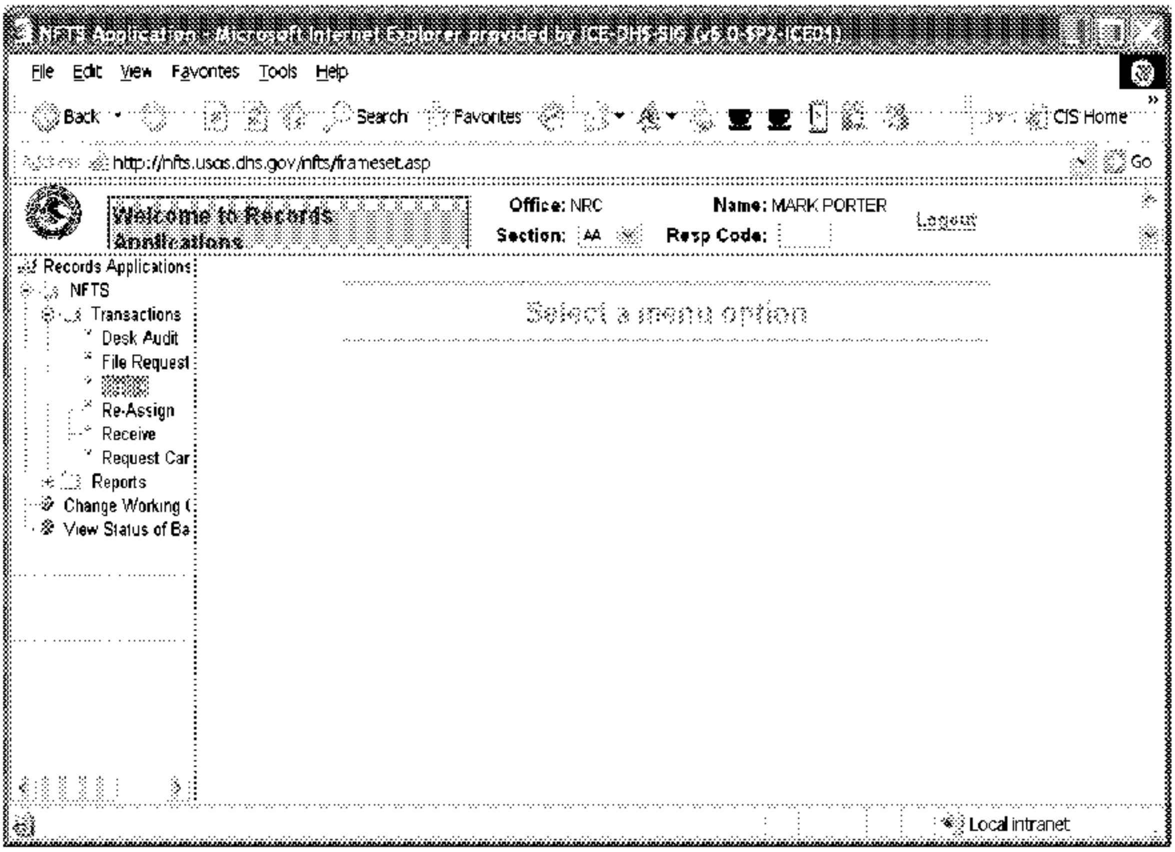
### 12.1.1.3. Select "Inquiry"


NFTS Application - Microsoft Internet Explorer provided by ICE-DHS-EIG (v6.0-SP2-ICE01)

http://nfts.uscis.dhs.gov/nfts/frameset.asp

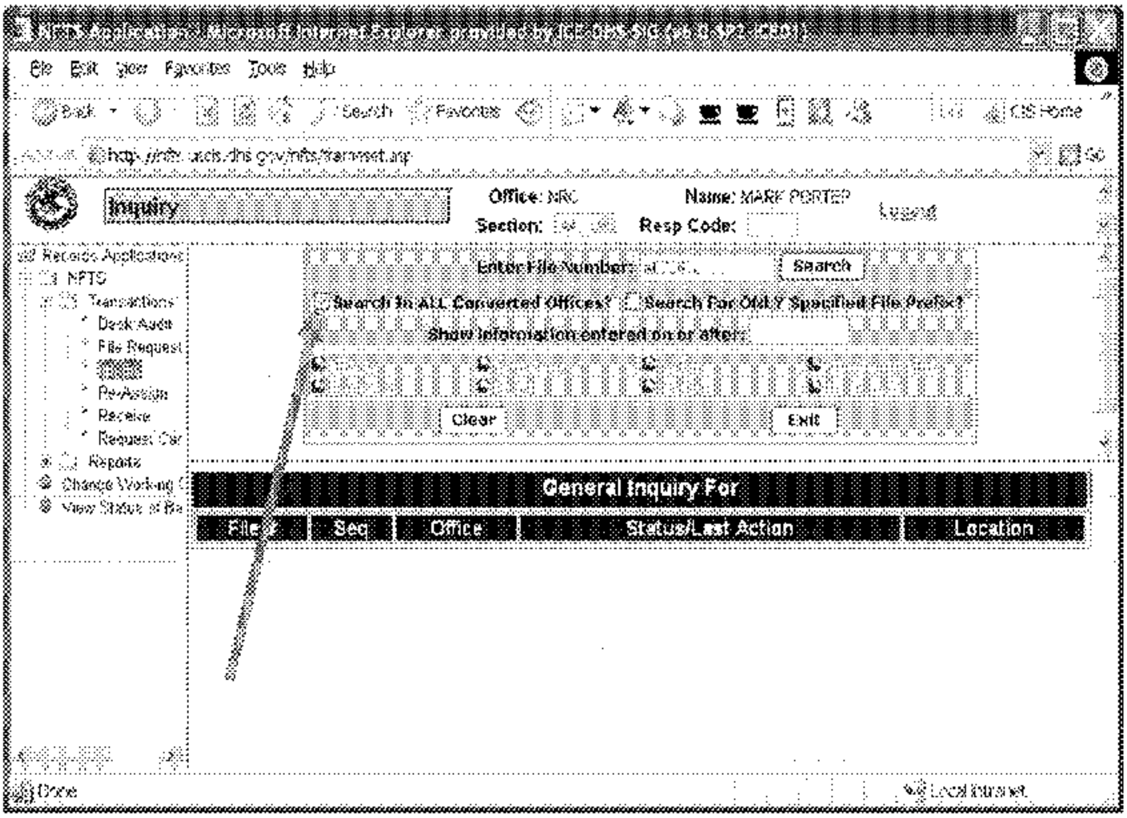
Welcome to Records Applications

**Office:** NRC
**Name:** MARK PORTER
**Section:** AA
**Resp Code:**

Select a menu option

File
Edit
View
Favorites
Tools
Help
Back
Search
Favorites
CIS Home
Go
Logout
Records Applications
NFTS
Transactions
Desk Audit
File Request
Re-Assign
Receive
Request Car
Reports
Change Working (
View Status of Ba
Local intranet

**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.



Office: NRC

Name: MARK PORTER

File Edit View Favorites Tools Help
Back
Search
Favorites
CIS Home
Go
Inquiry
Section:
Resp Code:
Legend
Records Applications
NFTS
Transactions
Desk Audit
File Request
Re-Assign
Receive
Request Car
Reports
Change Working C
View Status of Re
Enter File Number:
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

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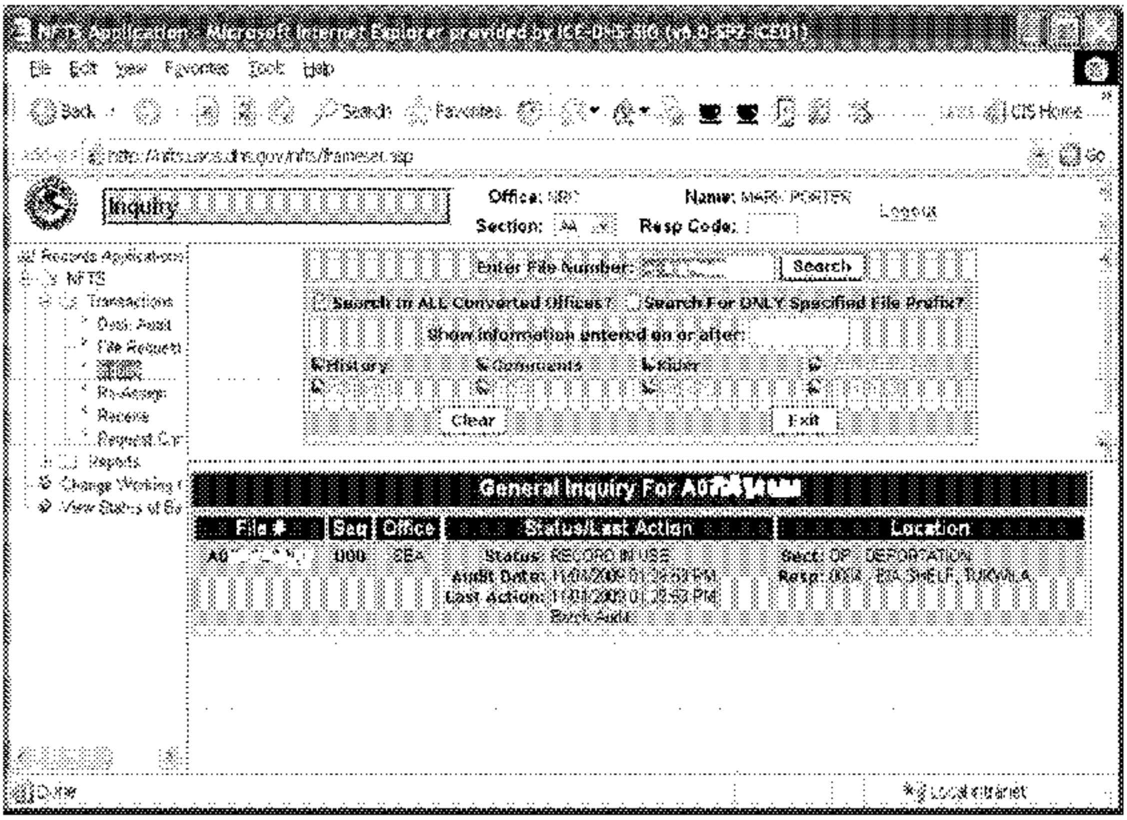
**12.1.1.5. The search result** provides several pieces of information. First, we can verify from CIS that the File Control Office (FCO) is Seattle. The Responsible Party Code (RPC) is DP0064, and it tells us that DP means Deportation. Do you see the four boxes above the "Exit" button? Those are "Rider," "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.


File Edit View Favorites Tools Help
Back
Search
Favorites
CIS Home
Go
Inquiry
Logout
Records Applications
NFTS
Transactions
Desk Audit
File Request
Re-Assign
Receive
Request Corr
Reports
Change Working
View Status of
Search
Clear
Exit
Done
Local intranet

Office: NRC
Name: MARK PORTER
Section: AA
Resp Code:

Enter File Number:

☐ Search in ALL Converted Offices? ☐ Search For ONLY Specified File Prefix?

Show information entered on or after:

History Comments Rider

General Inquiry For A0[redacted]

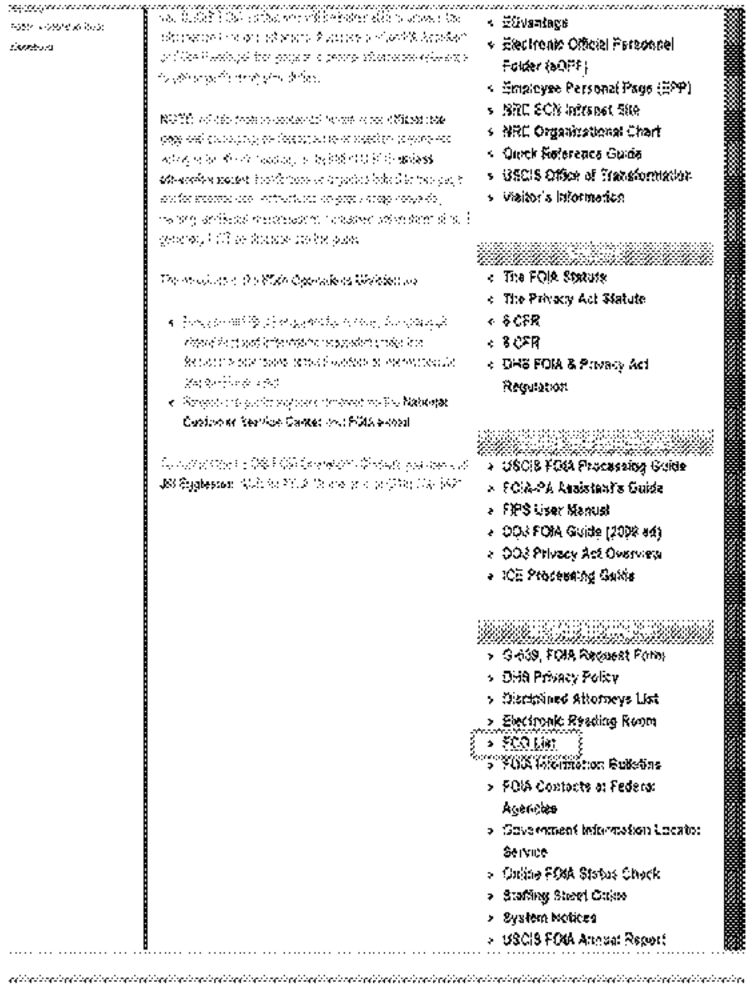
| File # | Seq | Office | Status/Last Action | Location |
|---|---|---|---|---|
| A0[redacted] | 000 | SEA | Status: RECORD IN USE<br>Audit Date: 11/04/2009 01:29:53 PM<br>Last Action: 11/04/2009 01:29:53 PM<br>Batch Audit | Sect: DP - DEPORTATION<br>Resp: DXX - EXA SHELF, TUKWILA |

### 12.1.1.6 "Blued in" information

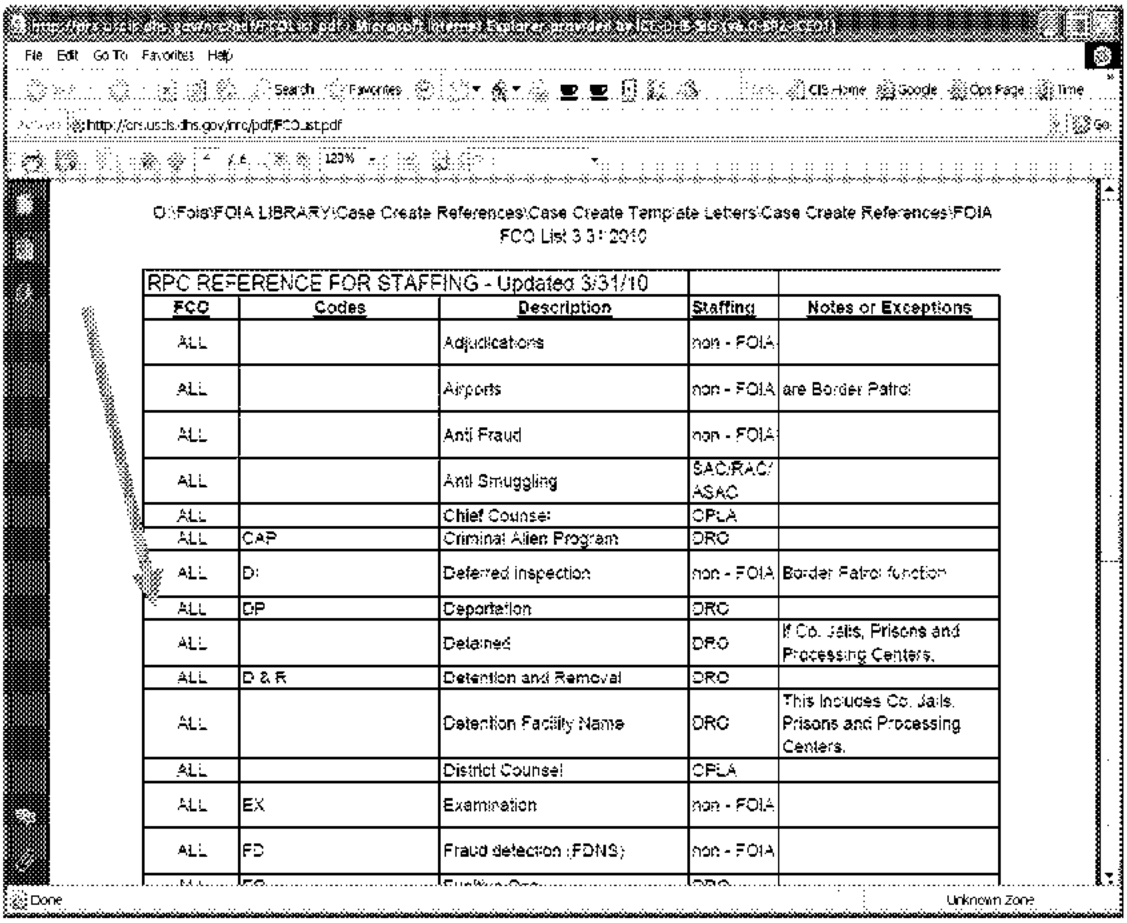
- If "Retire" had been blued in, it would have been important. We would have used that inquiry screen to staff from the FRC.
- If "In Transit" had been blued in, it would have been important. We would have staffed to the receiving FCO.
- If "Consolidation" had been blued in, it would have been important. 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.


EEvantage
Electronic Official Personnel Folder (eOPF)
Employee Personal Page (EPP)
NRC ECN Intranet Site
NRC Organizational Chart
Quick Reference Guide
USCIS Office of Transformation
Visitor's Information
The FOIA Statute
The Privacy Act Statute
6 CFR
8 CFR
DHS FOIA & Privacy Act Regulation
USCIS FOIA Processing Guide
FOIA-PA Assistant's Guide
FIPS User Manual
DOJ FOIA Guide (2009 ed)
DOJ Privacy Act Overview
ICE Processing Guide
G-639, FOIA Request Form
DHS Privacy Policy
Disciplined Attorneys List
Electronic Reading Room
FCO List
FOIA Information Bulletins
FOIA Contacts at Federal Agencies
Government Information Locator Service
Online FOIA Status Check
Staffing Sheet Online
System Notices
USCIS FOIA Annual Report

**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://crs.uscis.dhs.gov/nrc/pdf/FCOList.pdf

O:\Fois\FOIA LIBRARY\Case Create References\Case Create Template Letters\Case Create References\FOIA FCO List 3 31 2010

RPC REFERENCE FOR STAFFING - Updated 3/31/10

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

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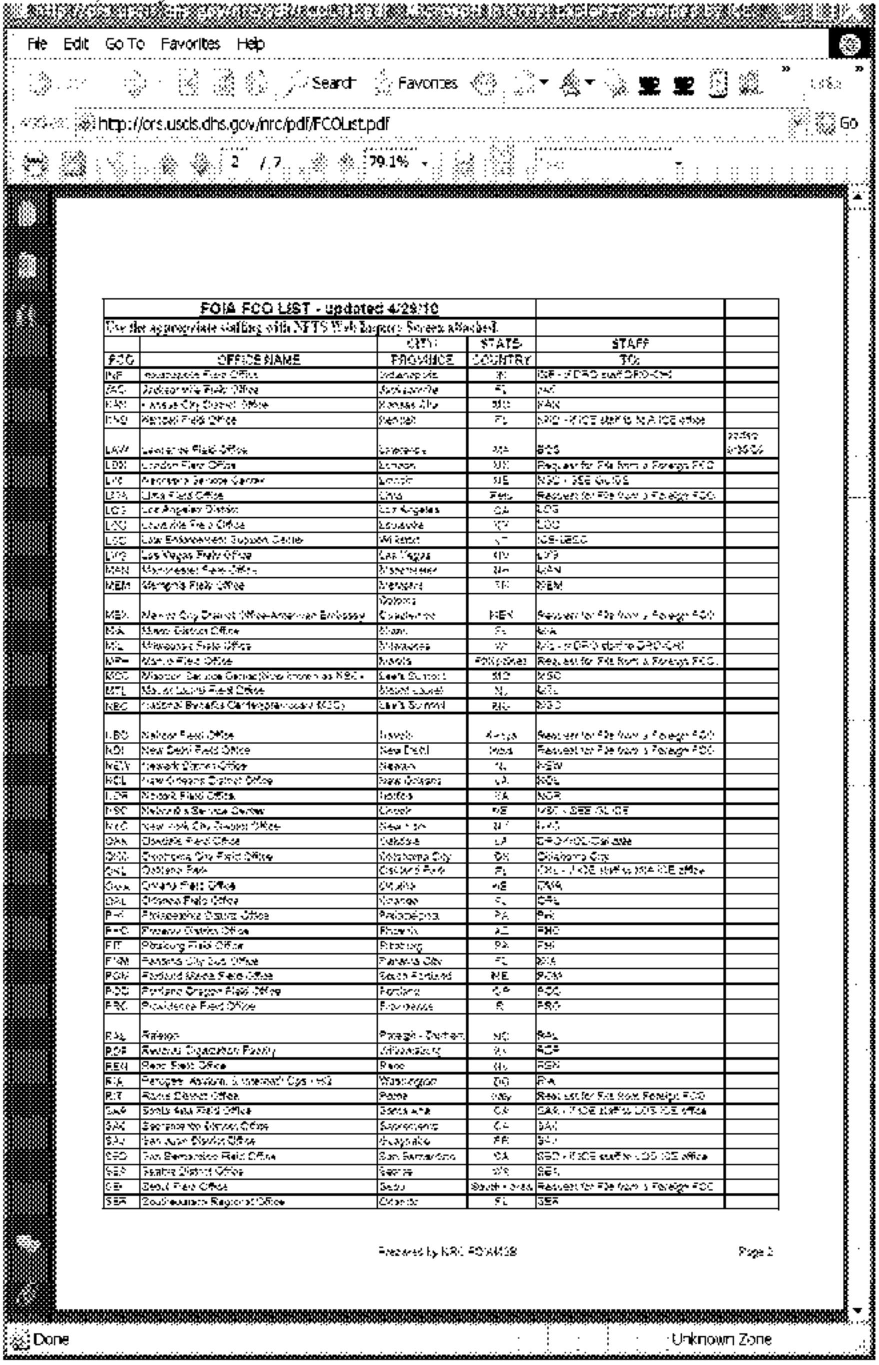
### 12.1.1.9 The FCO List

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



http://ors.uscis.dhs.gov/nrc/pdf/FCOList.pdf

FOIA FCO LIST - updated 4/29/10

| FCO | OFFICE NAME | CITY/ PROVINCE | STATE/ COUNTRY | STAFF TO: |
|---|---|---|---|---|

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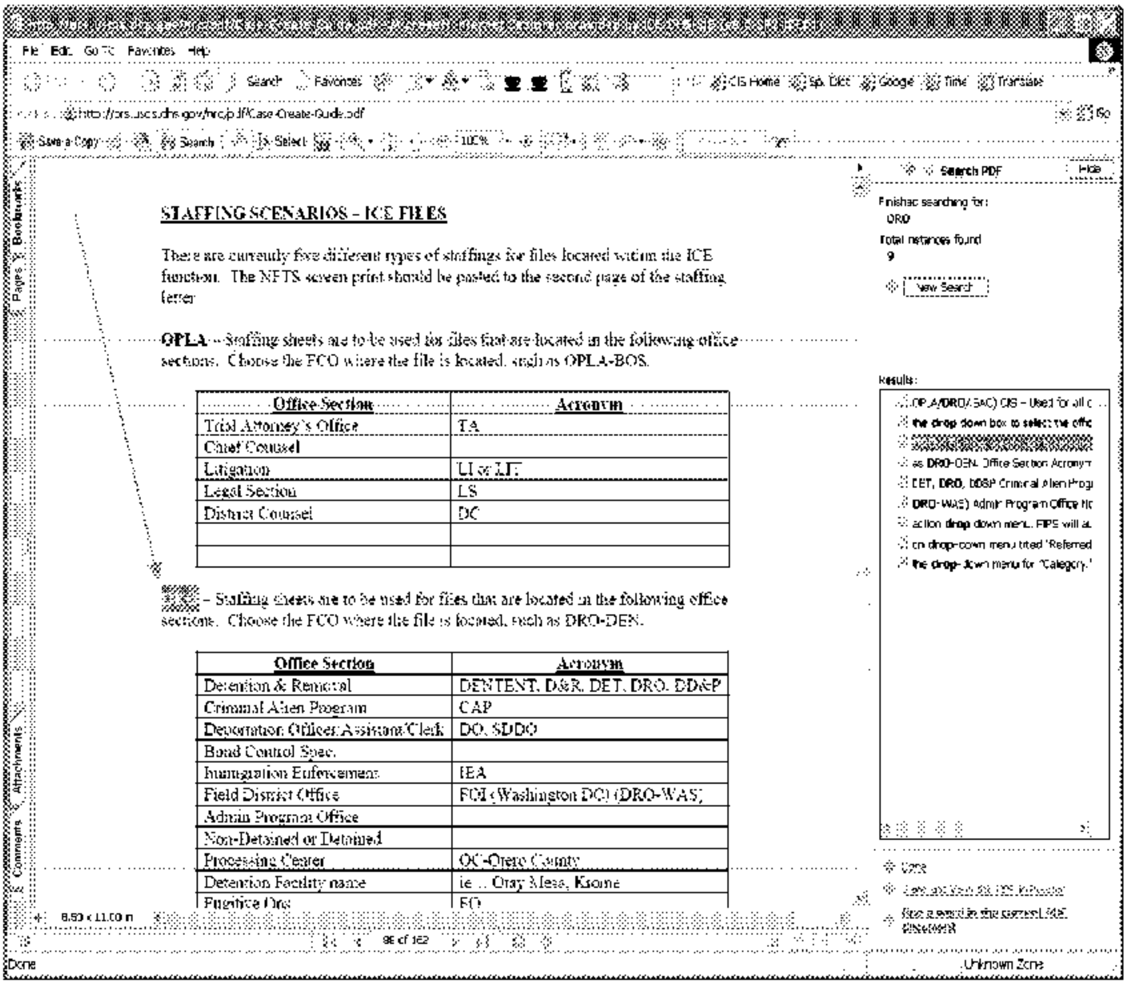
### 12.1.1.10 Figuring out a Staffing Scenario

The Guide confirms what we thought. If we staff to DRO, then we choose the FCO where the file is located. We're going to look for DRO-SEA. Note that the quickest way for me to find the information is by searching "DRO." I could have also gone to the table of contents and looked under Staffing Scenarios.


File Edit Go To Favorites Help
Search
Favorites
CIS Home
Sp. Dict
Google
Time
Translate
http://ors.uscis.dhs.gov/nrc/pdf/Case-Create-Guide.pdf
Go
Save a Copy
Search
Select
100%
Bookmarks
Pages
Attachments
Comments
Search PDF
Hide
New Search
Results:
Done
8.50 x 11.00 in
98 of 162
Unknown Zone

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 |
| | |
| | |

[illegible] – 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.

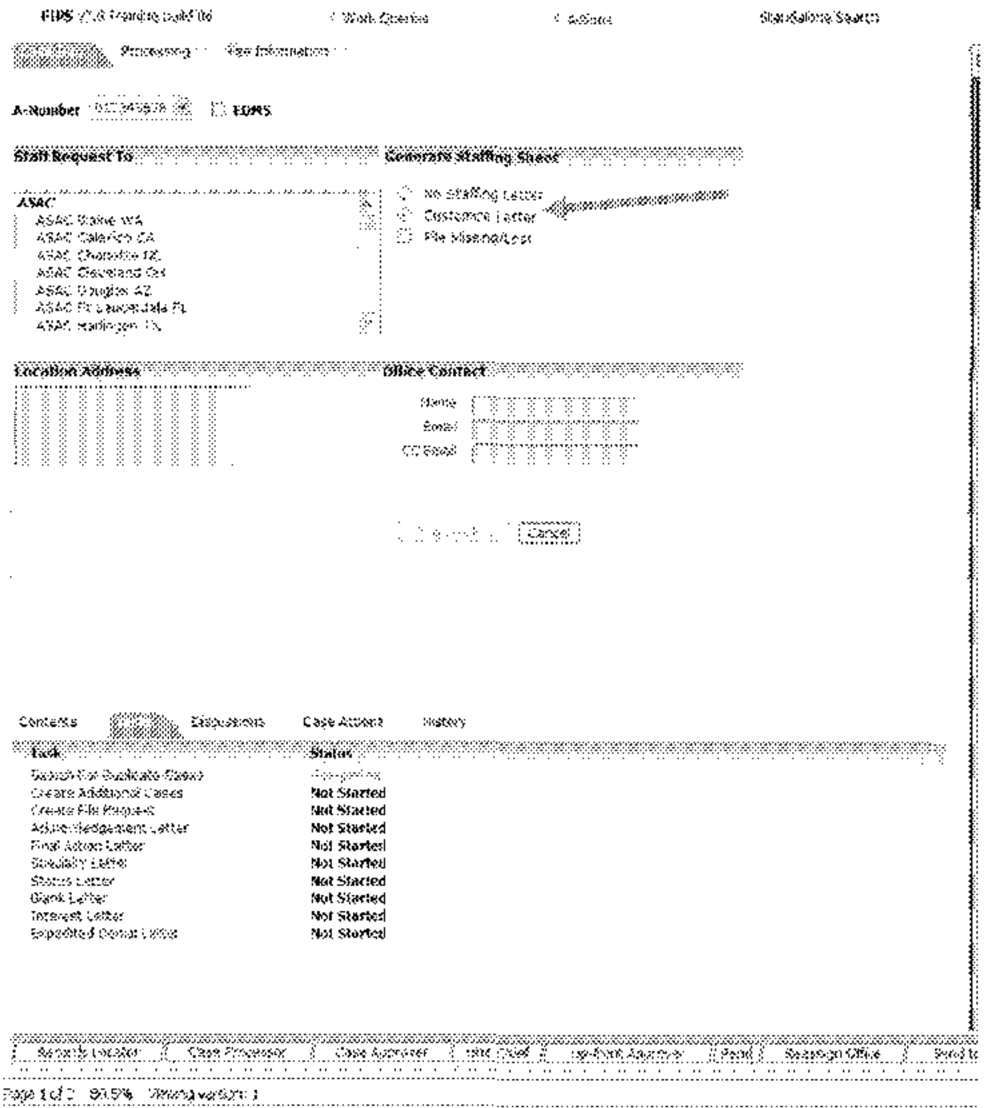
| Office Section | Acronym |
|---|---|
| Detention & Removal | DENTENT, D&R, DET, DRO, DD&P |
| Criminal Alien Program | CAP |
| Deportation Officer/Assistant/Clerk | DO, SDDO |
| Bond Control Spec. | |
| Immigration Enforcement | IEA |
| Field District Office | FO1 (Washington DC) (DRO-WAS) |
| Admin Program Office | |
| Non-Detained or Detained | |
| Processing Center | OC-Otero County |
| Detention Facility name | ie … Otay Mesa, Krome |
| Fugitive Ops | FO |

Finished searching for:
DRO
Total instances found
9

OPLA/DRO/SAC) CIS – Used for all c…
the drop down box to select the offic
[illegible]
as DRO-DEN. Office Section Acronym
DET, DRO, DD&P Criminal Alien Progr
DRO-WAS) Admin Program Office No
action drop down menu. FIPS will a
on drop-down menu titled "Referred
the drop-down menu for "Category."

### 12.1.1.11 Generate the file request

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


Processing
View Information
Staff Request To
Generate Staffing Sheet
ASAC
Location Address
Office Contact
Name
Email
CC Email
Cancel
Contents
Dispositions
Case Actions
History

A-Number ☐ EDMS

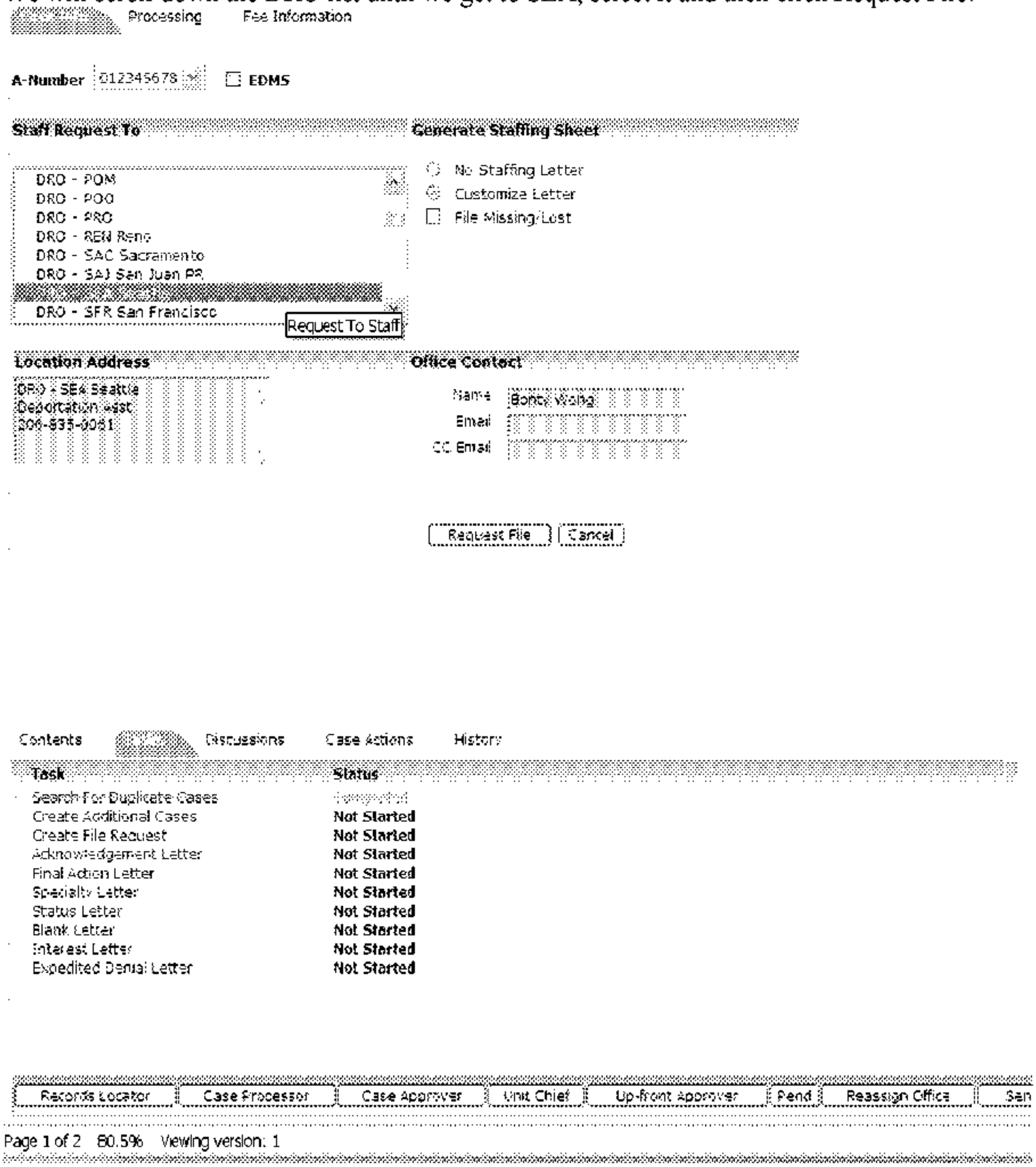
○ No Staffing Letter
○ Customize Letter
☐ File Missing/Lost

| Task | Status |
|---|---|
| Search For Duplicate Cases | [illegible] |
| 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 |

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**

DRO - POM
DRO - POO
DRO - PRO
DRO - REN Reno
DRO - SAC Sacramento
DRO - SAJ San Juan PR
DRO - SFR San Francisco

Request To Staff

**Generate Staffing Sheet**

○ No Staffing Letter
● Customize Letter
☐ File Missing/Lost

**Location Address**

DRO - SEA Seattle
Deportation Asst
206-835-0061

**Office Contact**

Name: Bonty Wong
Email:
CC Email:

Request File
Cancel
Contents
Discussions
Case Actions
History

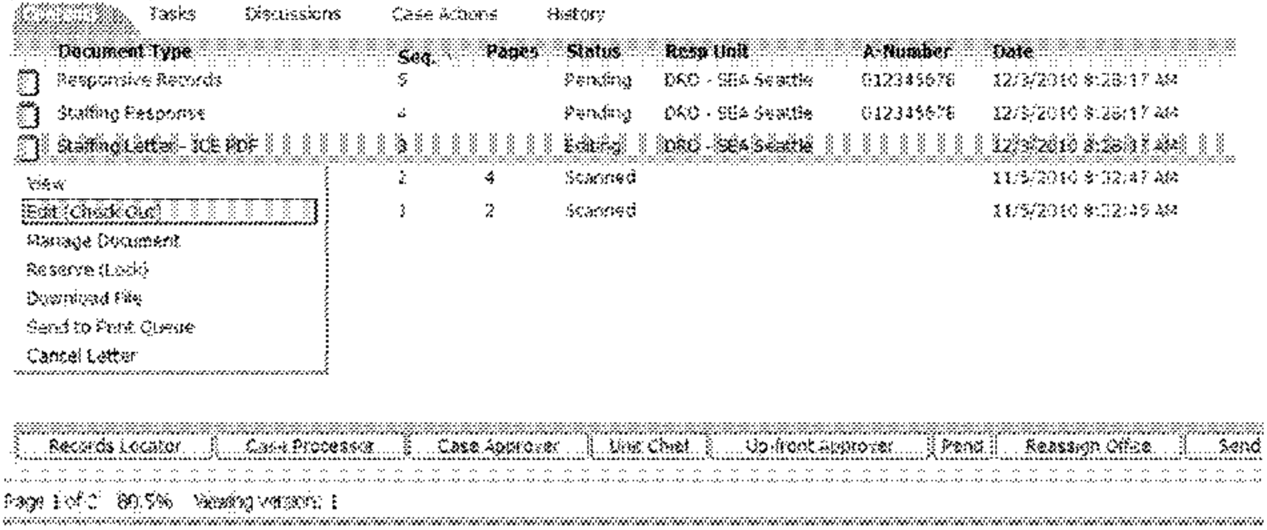
| Task | Status |
|---|---|
| Search For Duplicate Cases | [illegible] |
| Create Additional Cases | **Not Started** |
| Create File Request | **Not Started** |
| Acknowledgement Letter | **Not Started** |
| Final Action Letter | **Not Started** |
| Specialty Letter | **Not Started** |
| Status Letter | **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

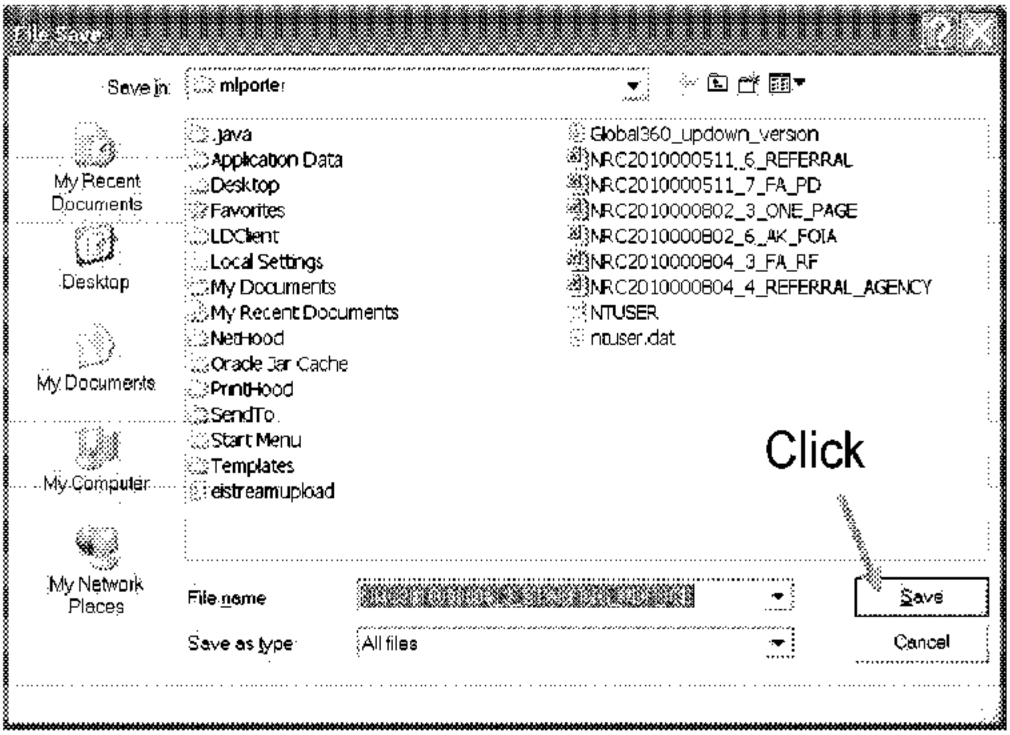
After that, we get a message that says "Successfully generated letter Staffing Letter – ICE PDF." Click OK and then move to the "Contents" tab. Click on the Staffing Letter and select "Edit (Check Out)."


Tasks
Discussions
Case Actions
History

| Document Type | Seq. | Pages | Status | Resp Unit | A-Number | Date |
|---|---|---|---|---|---|---|
| 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 | | 12/3/2010 8:28:17 AM |
| | 2 | 4 | Scanned | | | 11/5/2010 9:32:47 AM |
| | 1 | 2 | Scanned | | | 11/5/2010 9:32:49 AM |

View
Edit (Check Out)
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


File Save
My Recent Documents
Desktop
My Documents
My Computer
My Network Places
.java
Application Data
Desktop
Favorites
LDClient
Local Settings
My Documents
My Recent Documents
NetHood
Oracle Jar Cache
PrintHood
SendTo
Start Menu
Templates
eistreamupload
Global360_updown_version
NRC2010000511_6_REFERRAL
NRC2010000511_7_FA_PD
NRC2010000802_3_ONE_PAGE
NRC2010000802_6_4K_FOIA
NRC2010000804_3_FA_RF
NRC2010000804_4_REFERRAL_AGENCY
NTUSER
ntuser.dat
Click
Save
Cancel

Save in: mlporter

File name: [redacted]

Save as type: All files

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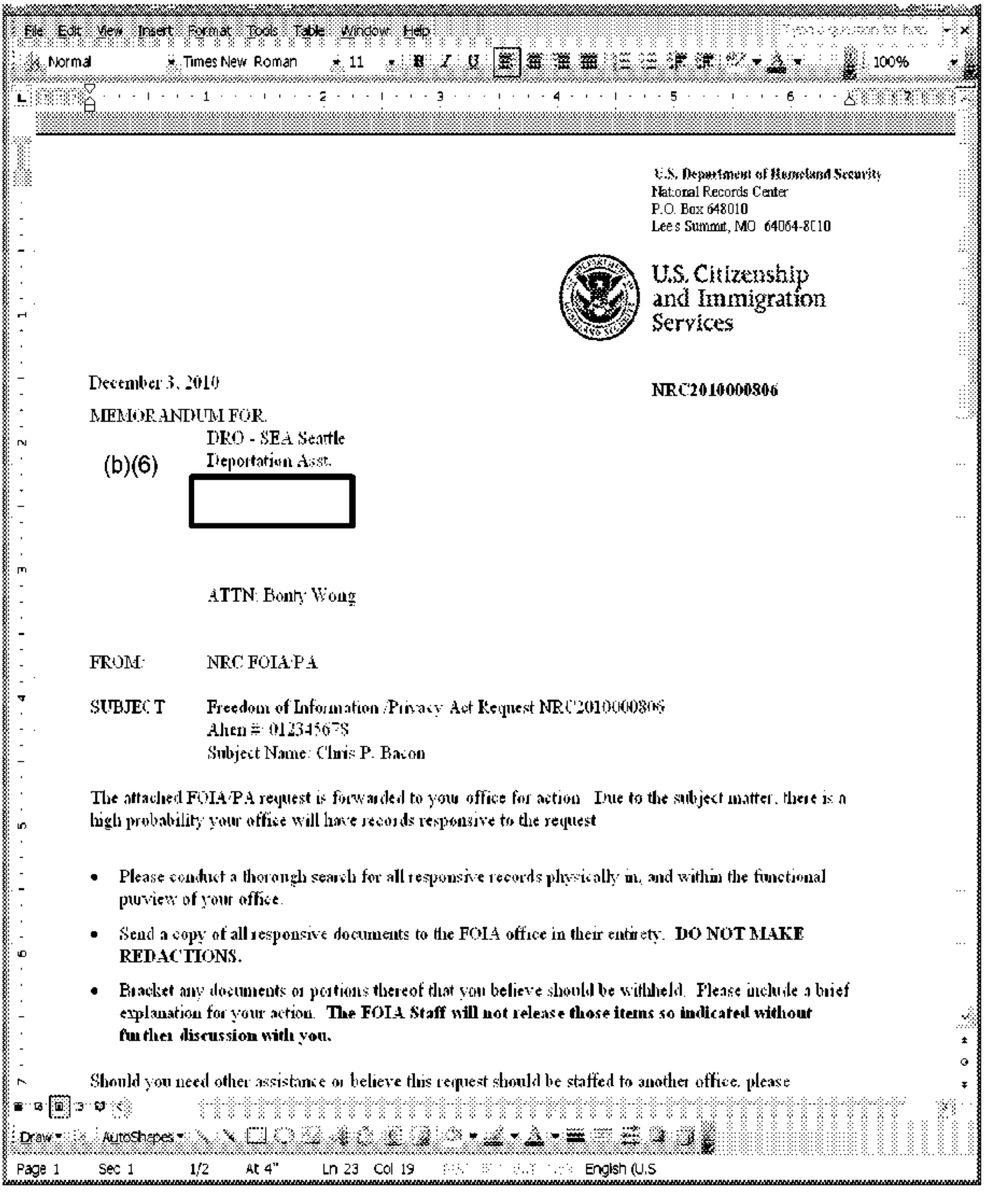
As soon as I clicked “SAVE,” FIPS opened the staffing letter for me in Word.


File Edit View Insert Format Tools Table Window Help
Normal
Times New Roman
11
100%
Draw
AutoShapes
Page 1 Sec 1 1/2 At 4" Ln 23 Col 19 English (U.S

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

U.S. Citizenship
and Immigration
Services

December 3, 2010

NRC2010000806

MEMORANDUM FOR.
DRO - SEA Seattle
Deportation Asst.
(b)(6) [redacted]

ATTN: Bonty Wong

FROM: NRC FOIA/PA

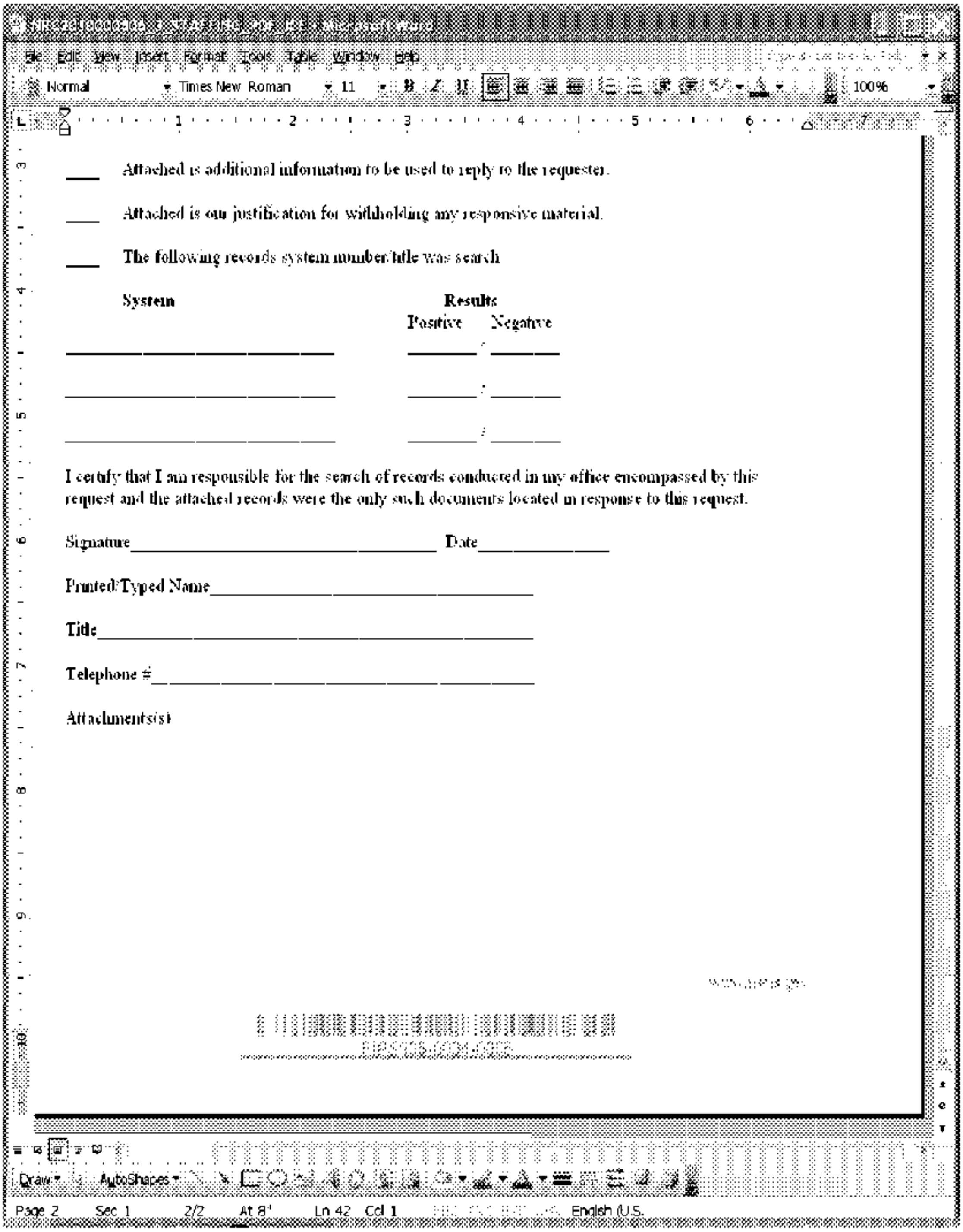
SUBJECT Freedom of Information /Privacy Act Request NRC2010000806
Alien #: 012345678
Subject Name: Chris P. Bacon

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

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

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

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.


File Edit View Insert Format Tools Table Window Help
Normal
Times New Roman
11
100%
Draw AutoShapes
Page 2 Sec 1 2/2 At 8" Ln 42 Col 1 English (U.S.

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

____ Attached is our justification for withholding any responsive material.

____ The following records system number/title was search

| **System** | **Results** Positive | Negative |
|---|---|---|
| ________________ | ______ | ______ |
| ________________ | ______ | ______ |
| ________________ | ______ | ______ |

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

Signature______________________________ Date____________

Printed/Typed Name______________________________

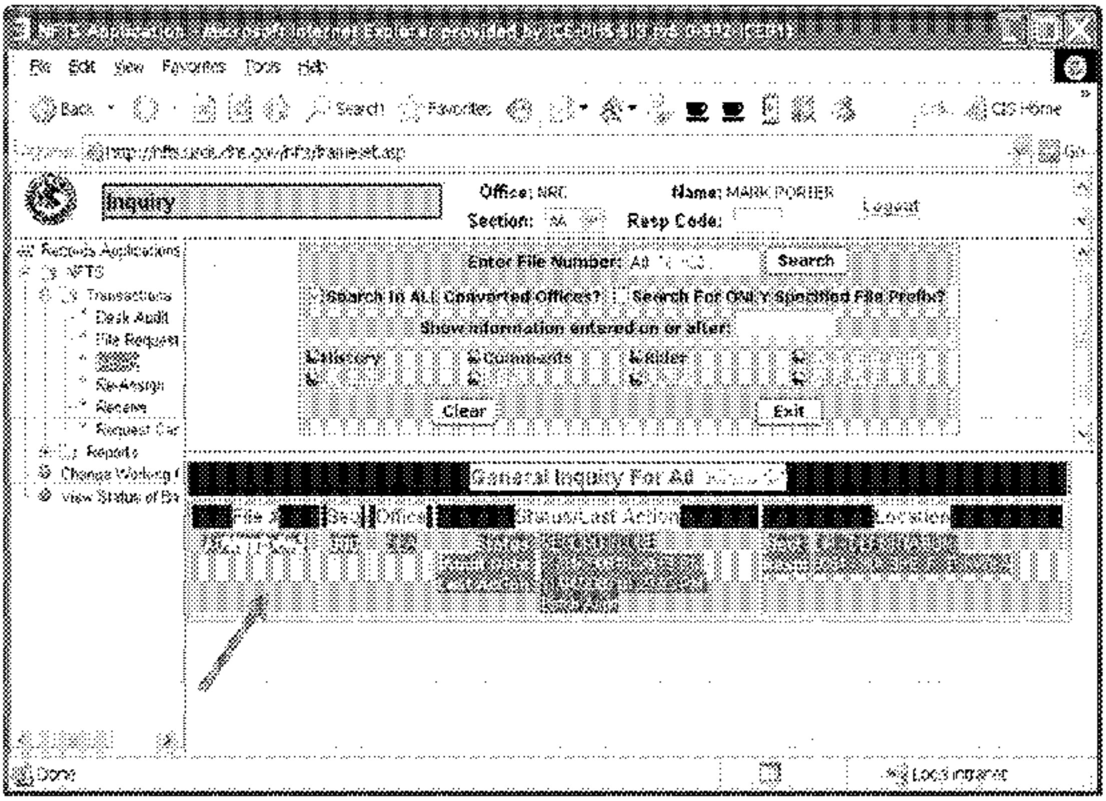
Title______________________________

Telephone #______________________________

Attachments(s)

### 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.



Office: NRC

Name: MARK PORTER

File
Edit
View
Favorites
Tools
Help
Back
Search
Favorites
CIS Home
Inquiry
Section:
Resp Code:
Logout
Records Applications
NFTS
Transactions
Desk Audit
File Request
ReAssign
Receive
Request Car
Reports
Change Working
View Status of Ba
Enter File Number: A#
Search
Search In ALL Converted Offices?
Search For ONLY Specified File Prefix?
Show information entered on or after:
Category
Comments
Rider
Clear
Exit
General Inquiry For A#
File A
Seq
Office
Status/Last Action
Location
Done
Local intranet

125

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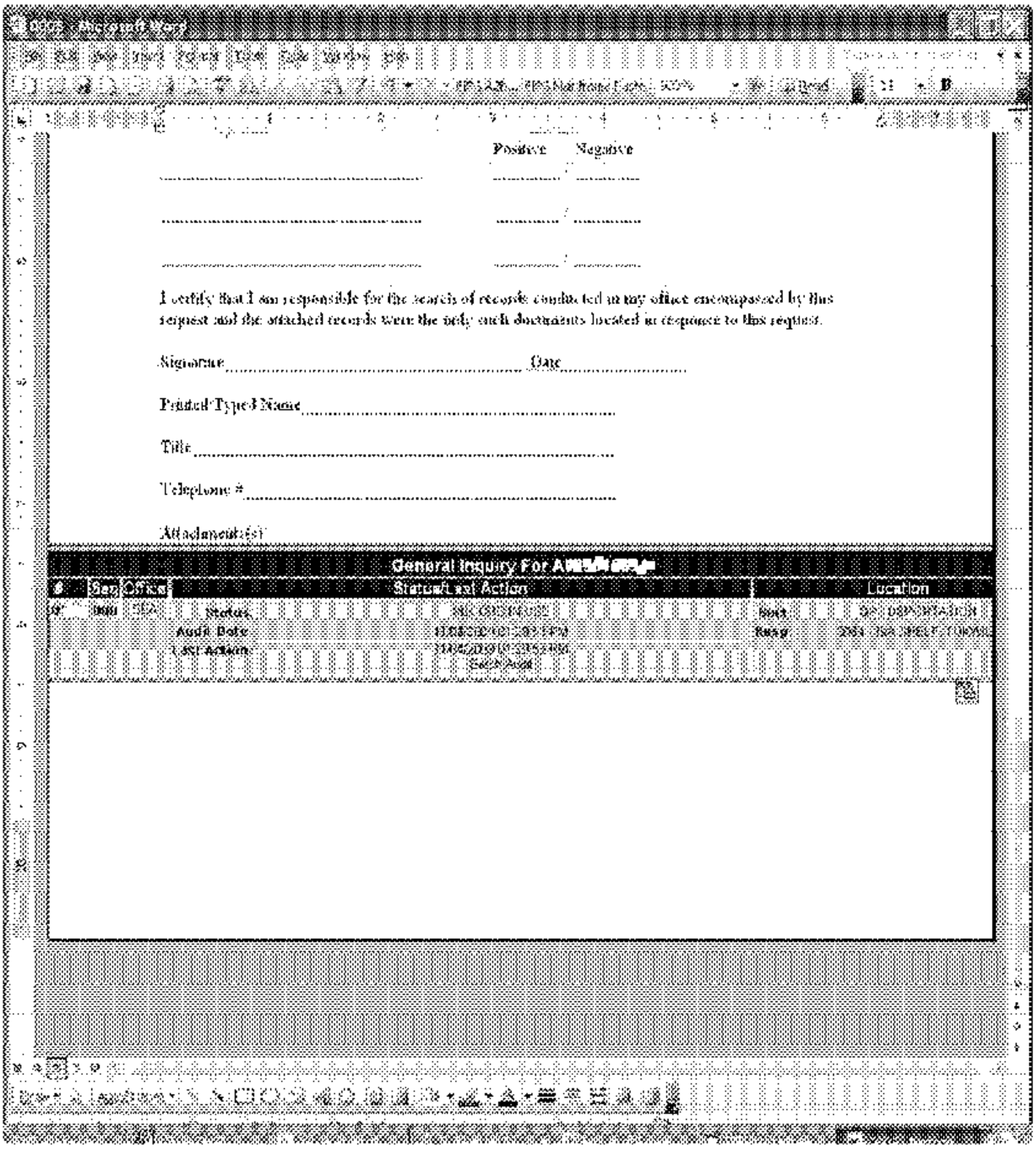
Immediately after pasting, we notice that the result is imperfect and we will have to repair it.



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 A[redacted]

| # | Seq | Office | Status/Last Action | | Location | |
|---|---|---|---|---|---|---|
| [illegible] | [illegible] | [illegible] | Status | [illegible] | Sent | [illegible] |
| | | | Audit Date | [illegible] | Recvd | [illegible] |
| | | | Last Action | [illegible] | | |

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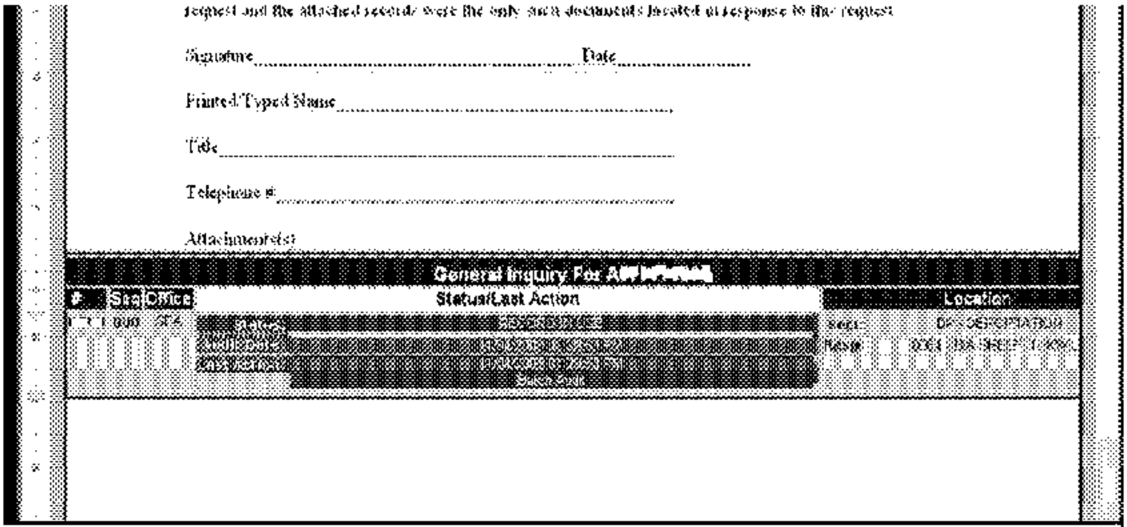
Left-click and highlight everything in the center column, starting at Status/Last Action, then press Delete.



request and the attached records were the only such documents located in response to the request

Signature____________________ Date__________

Printed/Typed Name____________________

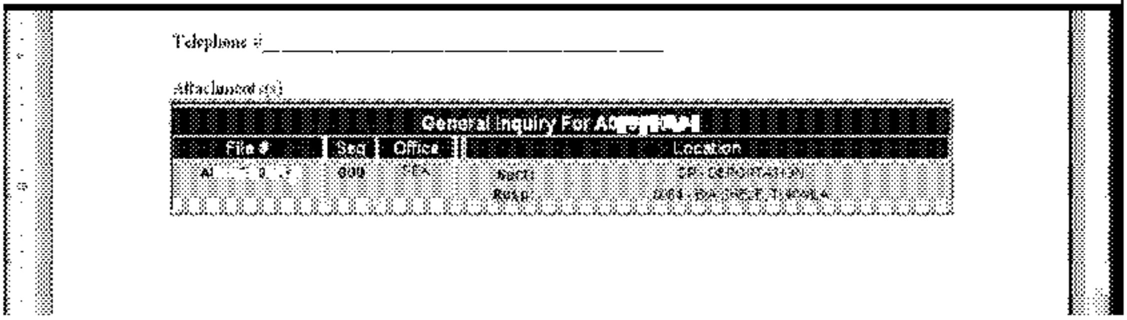
Title____________________

Telephone #____________________

Attachment(s):

**General Inquiry For A[redacted]**

| # | Seq | Office | Status/Last Action | Location |
|---|---|---|---|---|
| [illegible] | 000 | [illegible] | [illegible] | [illegible] |



Telephone #____________________

Attachment(s):

**General Inquiry For A[redacted]**

| File # | Seq | Office | Location | |
|---|---|---|---|---|
| A[illegible] | 000 | [illegible] | Rec'd: | [illegible] |
| | | | Resp: | [illegible] |

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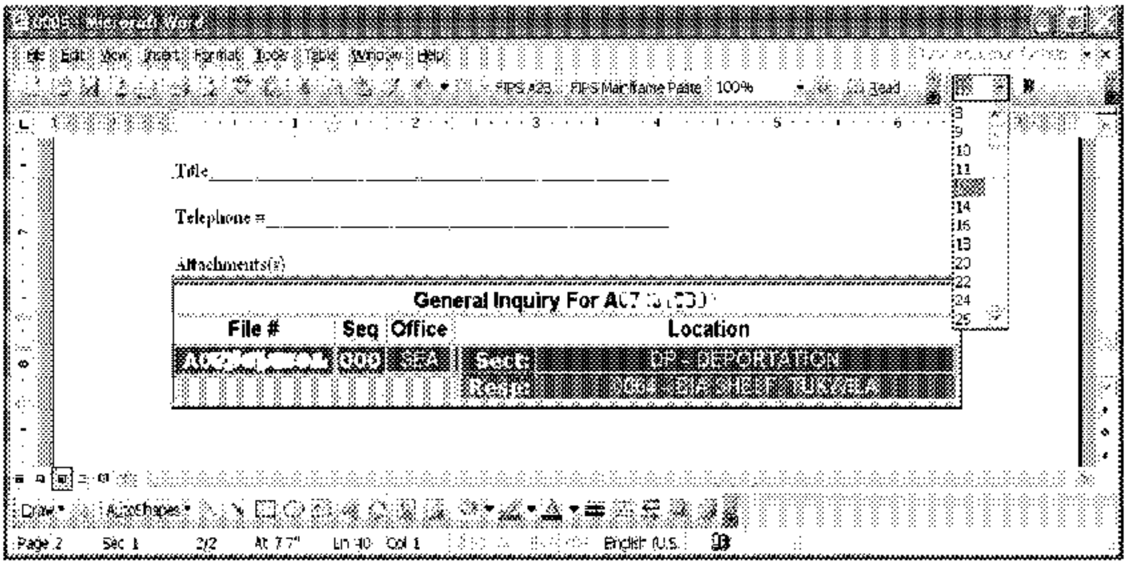
Next, highlight the whole area and change the font size to 12.


File
Edit
View
Insert
Format
Tools
Table
Window
Help
FIPS #23
FIPS Mainframe Paste
100%
Read
8
9
10
11
14
16
18
20
22
24
26
Draw
AutoShapes
Page 2
Sec 1
2/2
At 7.7"
Ln 40
Col 1
English (U.S.

Title___________________________________

Telephone #______________________________

Attachments(s)

| General Inquiry For A0[illegible] | | | | |
|---|---|---|---|---|
| File # | Seq | Office | Location | |
| [illegible] | 000 | SEA | Sect: | DP - DEPORTATION |
| | | | Recip: | 064 - BIA SHELF TUK/BLA |

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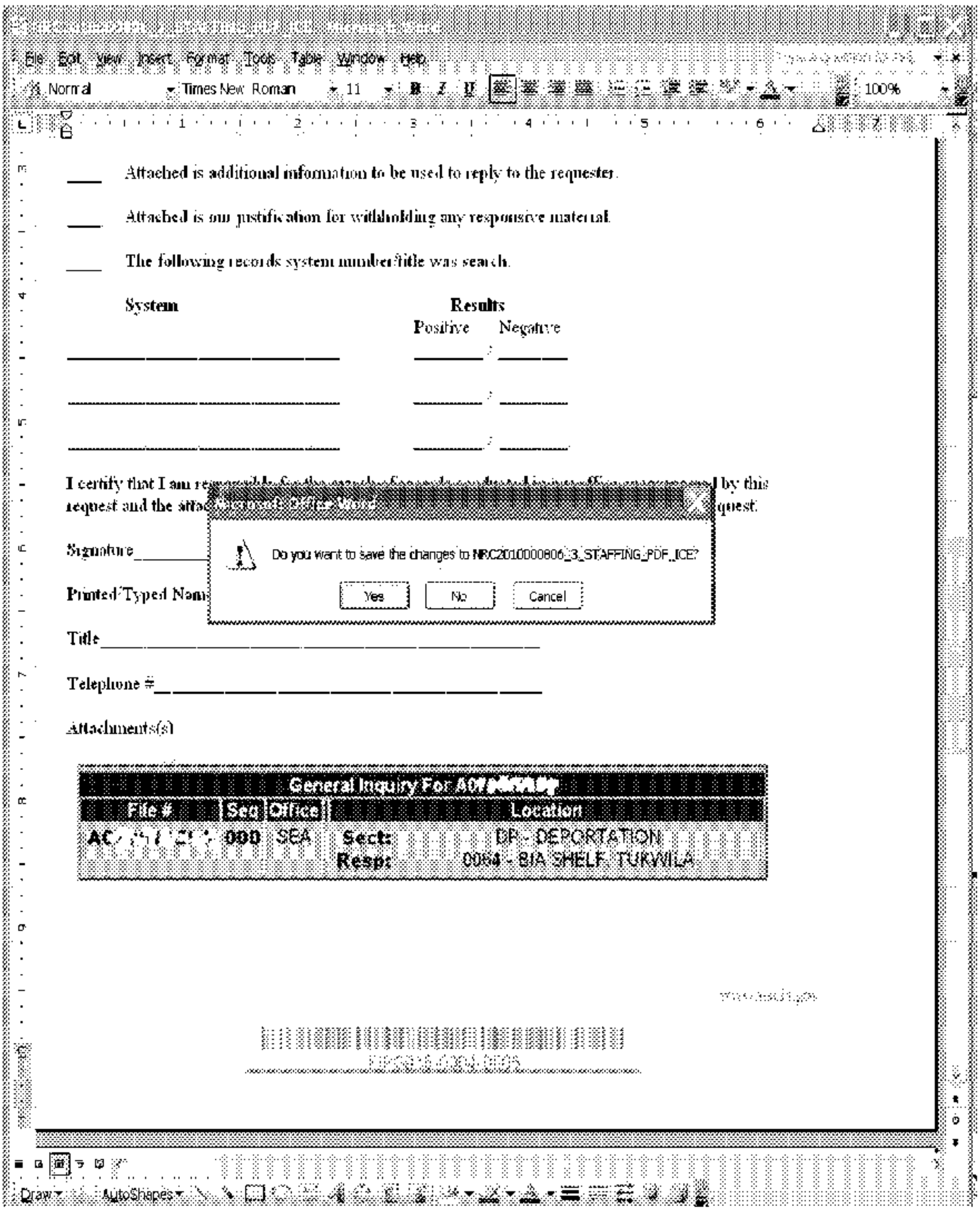
Finally, we exit and save our work. We have successfully staffed for the A-file. The next thing we have to do is check the staffing letter back in.



____ 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 | Results Negative |
|---|---|---|
| ______________ | ______ | ______ |
| ______________ | ______ | ______ |
| ______________ | ______ | ______ |

I certify that I am re... by this request and the atta... quest.

Signature________

Printed/Typed Nam

Title______________________________

Telephone #______________________________

Attachments(s)

Do you want to save the changes to NRC2010000806_3_STAFFING_PDF_ICE?

| General Inquiry For A0[redacted] | | | | |
|---|---|---|---|---|
| File # | Seq | Office | Location | |
| AC[redacted] | 000 | SEA | Sect: | DP - DEPORTATION |
| | | | Resp: | 0084 - BIA SHELF, TUKWILA |

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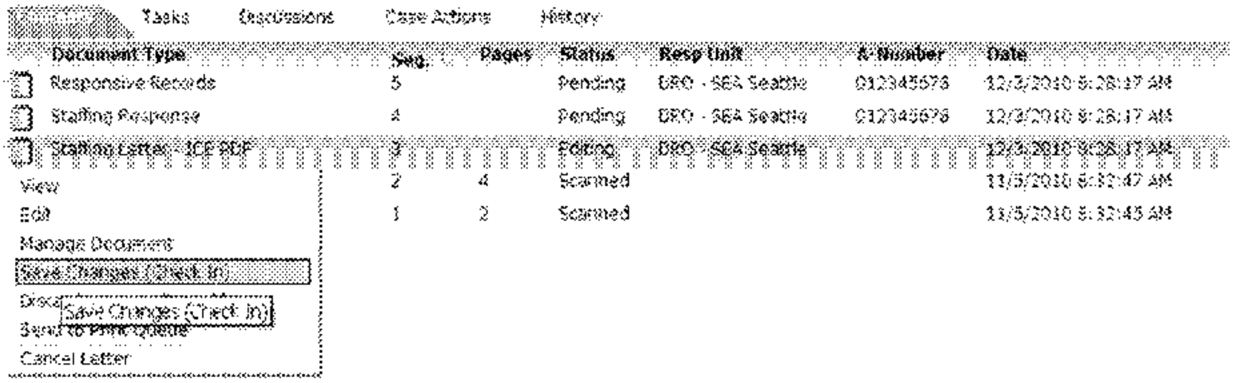
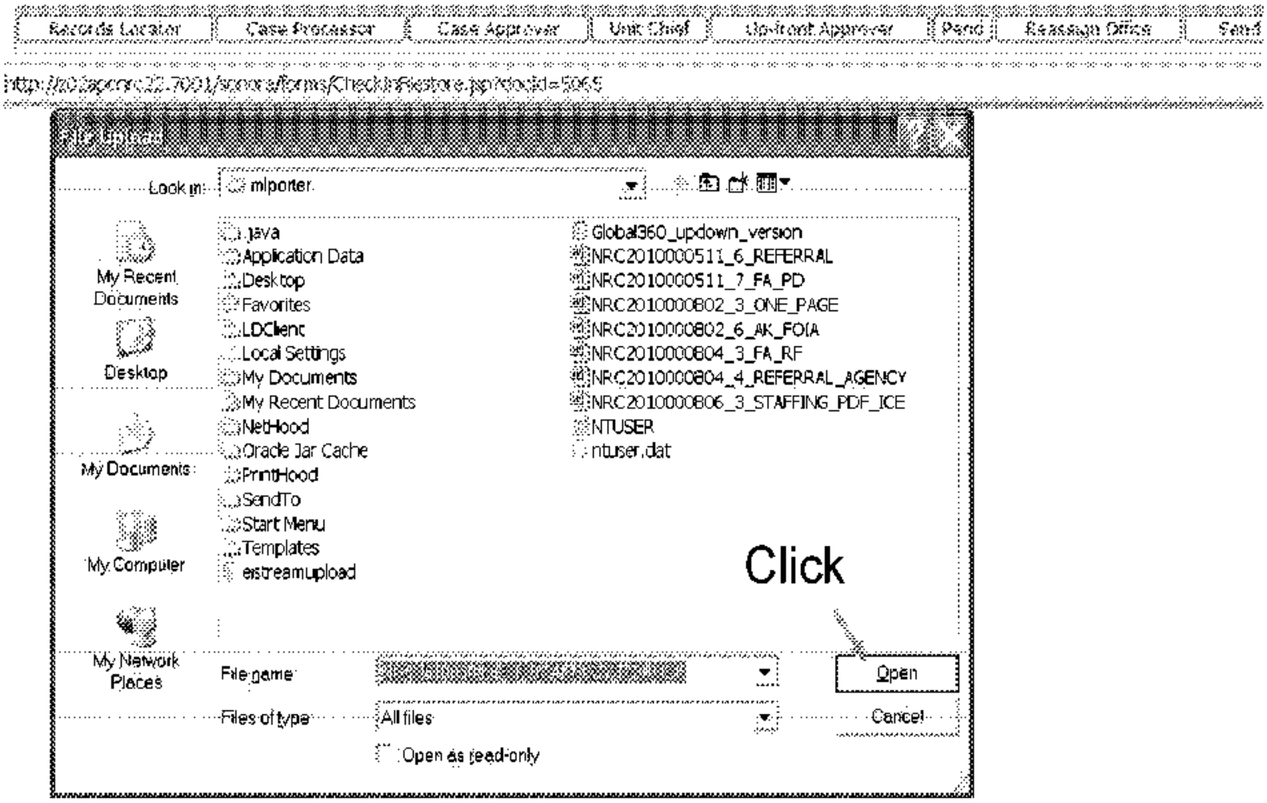
### 12.1.1.15 Save changes and check it back in


Tasks
Discussions
Case Actions
History
View
Edit
Manage Document
Save Changes (Check In)
Save Changes (Check In)
Send to Print Queue
Cancel Letter

| 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 | | 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 |


Records Locator
Case Processor
Case Approver
Unit Chief
Up-front Approver
Pend
Reassign Office
Send
File Upload
Look in:
My Recent Documents
Desktop
My Documents
My Computer
My Network Places
.java
Application Data
Desktop
Favorites
LDClient
Local Settings
My Documents
My Recent Documents
NetHood
Oracle Jar Cache
PrintHood
SendTo
Start Menu
Templates
estreamupload
Global360_updown_version
NRC2010000511_6_REFERRAL
NRC2010000511_7_FA_PD
NRC2010000802_3_ONE_PAGE
NRC2010000802_6_AK_FOIA
NRC2010000804_3_FA_RF
NRC2010000804_4_REFERRAL_AGENCY
NRC2010000806_3_STAFFING_PDF_ICE
NTUSER
ntuser.dat
Click
Open
Cancel
File name:
Files of type:
Open as read-only

http://z02apcnrc22:7001/scoria/forms/CheckInRestore.jsp?docid=5065

Look in: mlporter

Files of type: All files

☐ Open as read-only

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.

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## 12.2 Border crossing card number

If the alien number provided by the requester is an 80,000,000 through 86,899,999 series number, it is a Border Crossing Card number. Even though you can research this number in CIS, there is no physical A-file associated with these types of numbers. You will need to research CIS and CLAIMS to see if there are any other A-files/receipt files associated with this alien.

Previously during the Case Create process, if a requester/subject provided a Border Crossing Card Number and all of the required PII (except an A-Number), we asked the requester/subject to provide additional information (Alien or receipt number, copies of documents from the service, etc…). We used this information to determine if the subject had an A-File. We would find the A-file only in very rare instances.

We no longer request additional information if the requester/subject provides all of the required PII (except an A-Number). Since Border Crossing Cards are strictly electronic records (no actual file), we will have the Border Crossing Card screen prints scanned into a RAFACS slot.

Use the Border Crossing Card Number provided; search and print CIS screens 9101, 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 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.

## 12.6 Archives and Records Centers Information System (ARCIS)

ARCIS is a new system used by the Federal Records Center (FRC) to track the location of retired files. The accession data is now 27 digits long. NFTS will not accept the accession data because of the length. Instead, you will see the word "ARCIS" in the location field in NFTS.

When the case you are creating shows the file is located at FRC and you see the word "ARCIS" in the location field in NFTS, use the FRC file request and paste the retired screen from NFTS.

Not all files located at the FRC will have "ARCIS" in the location field. For those files, continue to staff using the FRC file request and paste the retired screen print.

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## 12.7 Staffing Scenarios

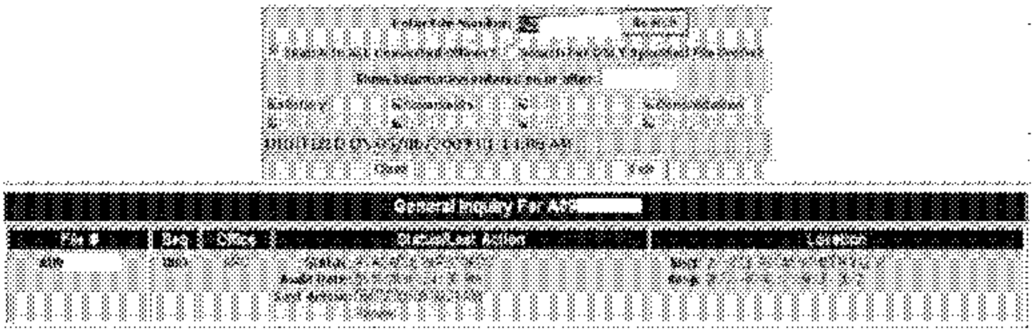
### *12.7.1 Digitized files*

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

How do I tell if it is a digitized file?

NFTS will show the "Location" of the file as either **RDF** or **NRC**. If the file location is NRC, you will see a banner stating "DIGITIZED ON ...." The screen print below is a sample of the NFTS screen.

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



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

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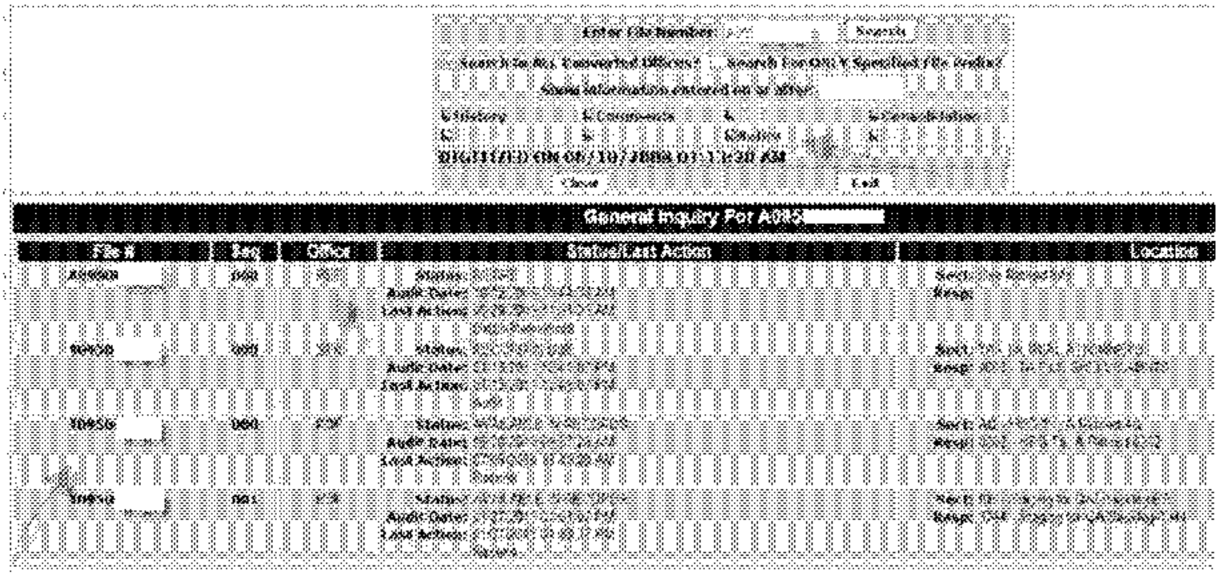
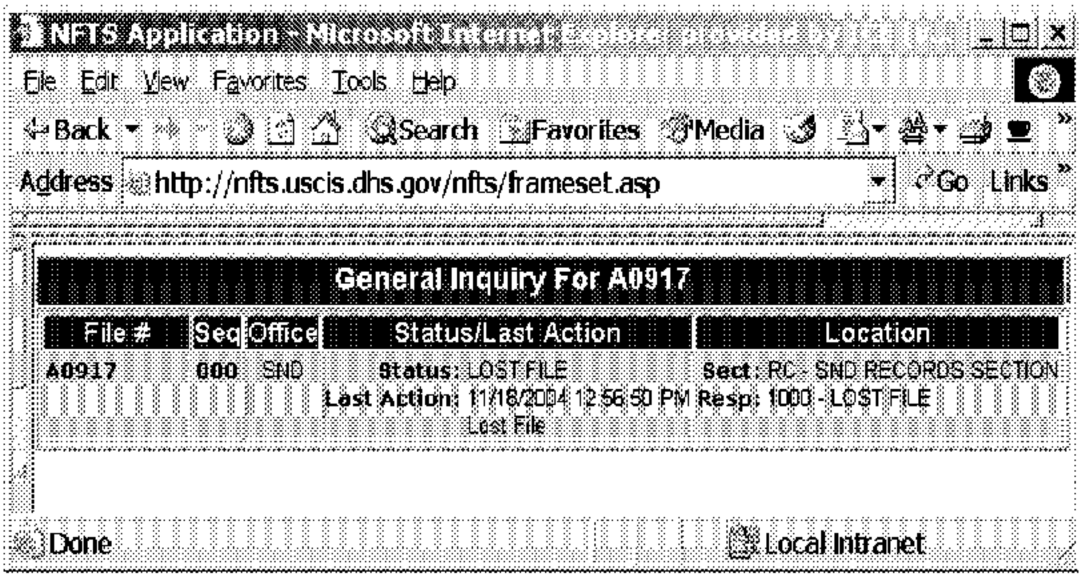

General Inquiry For A085 [redacted]
File #
Seq
Office
Status/Last Action
Location

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*

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
Search
Favorites
Media
Address
Go
Links
Done
Local intranet

http://nfts.uscis.dhs.gov/nfts/frameset.asp

General Inquiry For A0917

| File # | Seq | Office | Status/Last Action | Location |
|---|---|---|---|---|
| A0917 | 000 | SND | **Status:** LOST FILE<br>**Last Action:** 11/18/2004 12:56:50 PM<br>Lost File | **Sect:** RC - SND RECORDS SECTION<br>**Resp:** 1000 - LOST FILE |

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

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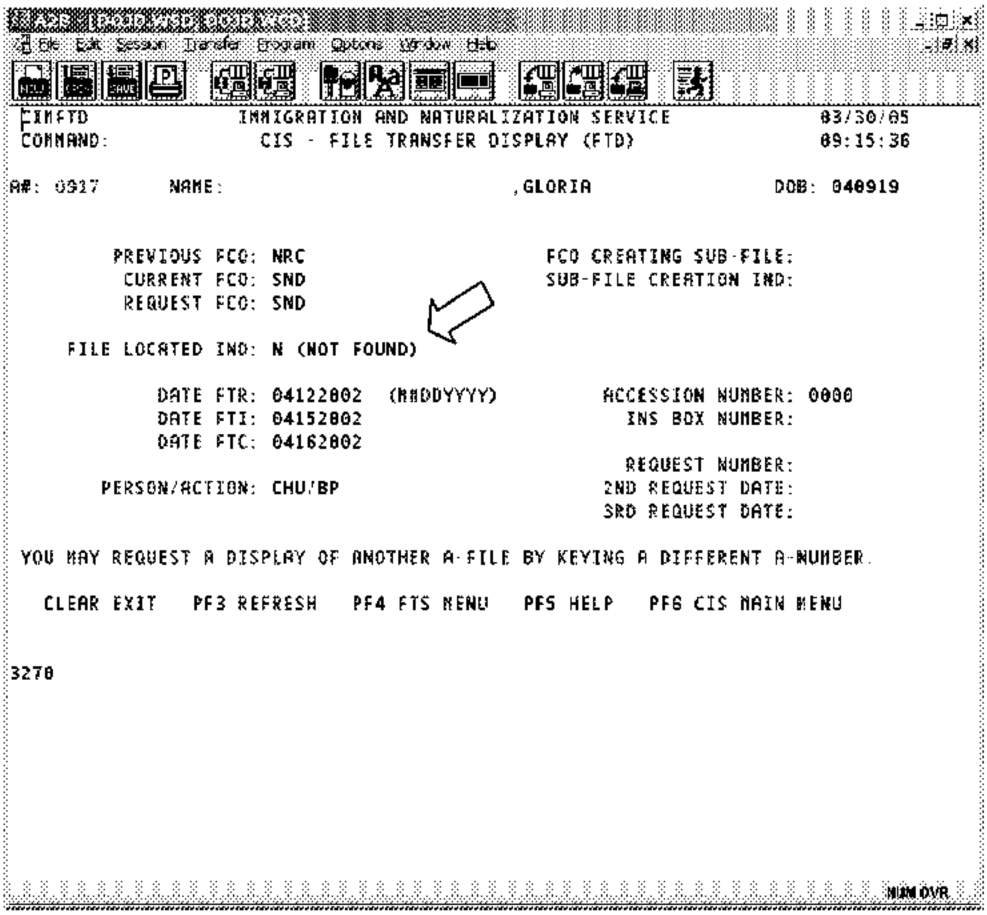
If the "Last Action" is more than nine months ago, move to the next section of this guide, Files lost or not found MORE THAN NINE MONTHS.



```
CIMFTD              IMMIGRATION AND NATURALIZATION SERVICE              03/30/05
COMMAND:               CIS - FILE TRANSFER DISPLAY (FTD)                09:15:36

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
                                                       REQUEST NUMBER:
      PERSON/ACTION: CHU/BP                          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".

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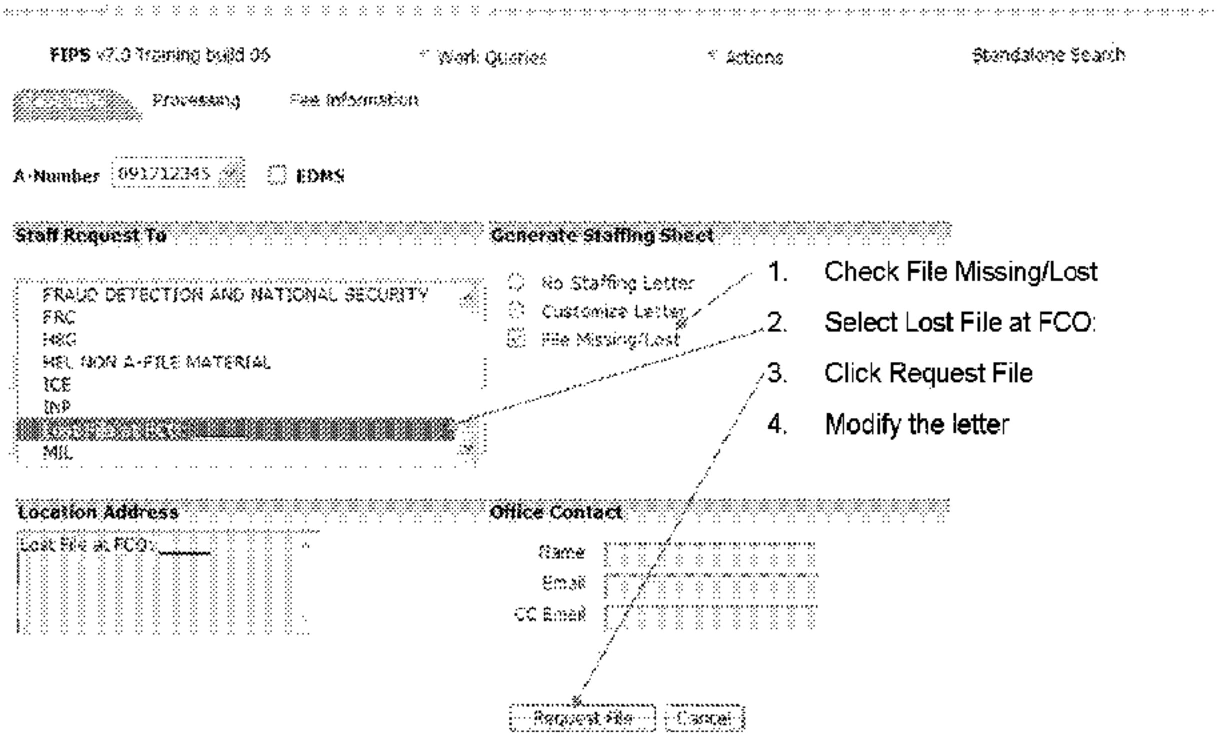
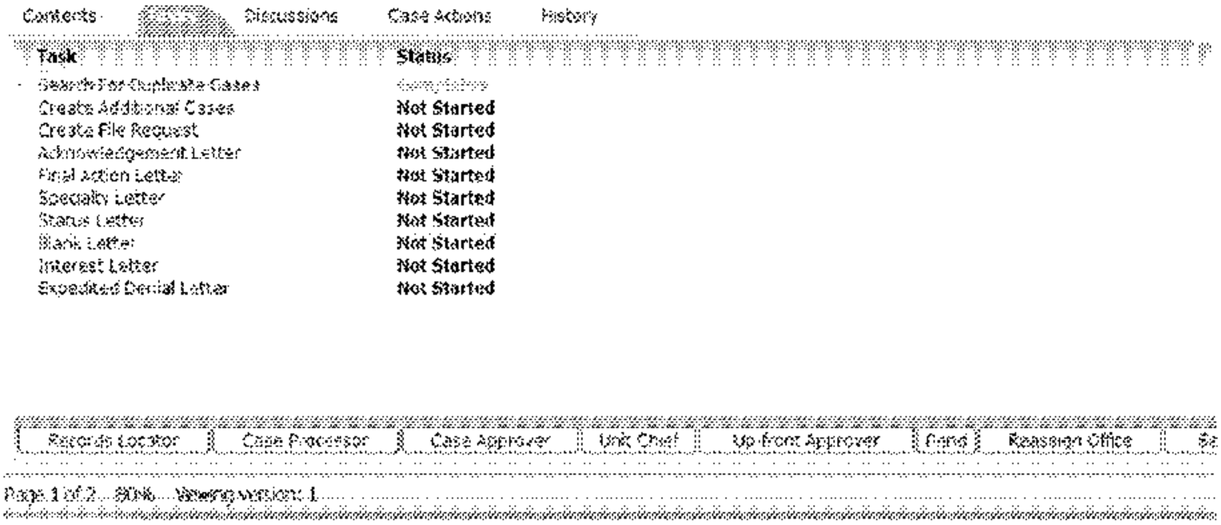

FIPS v7.0 Training build 06
Work Queries
Actions
Standalone Search
Processing
Fee Information
Staff Request To
FRAUD DETECTION AND NATIONAL SECURITY
FRC
HRG
HSL NON A-FILE MATERIAL
ICE
INP
MIL
Generate Staffing Sheet
Location Address
Office Contact
Name
Email
CC Email
Request File
Cancel

A-Number 091712345 ☐ EDMS

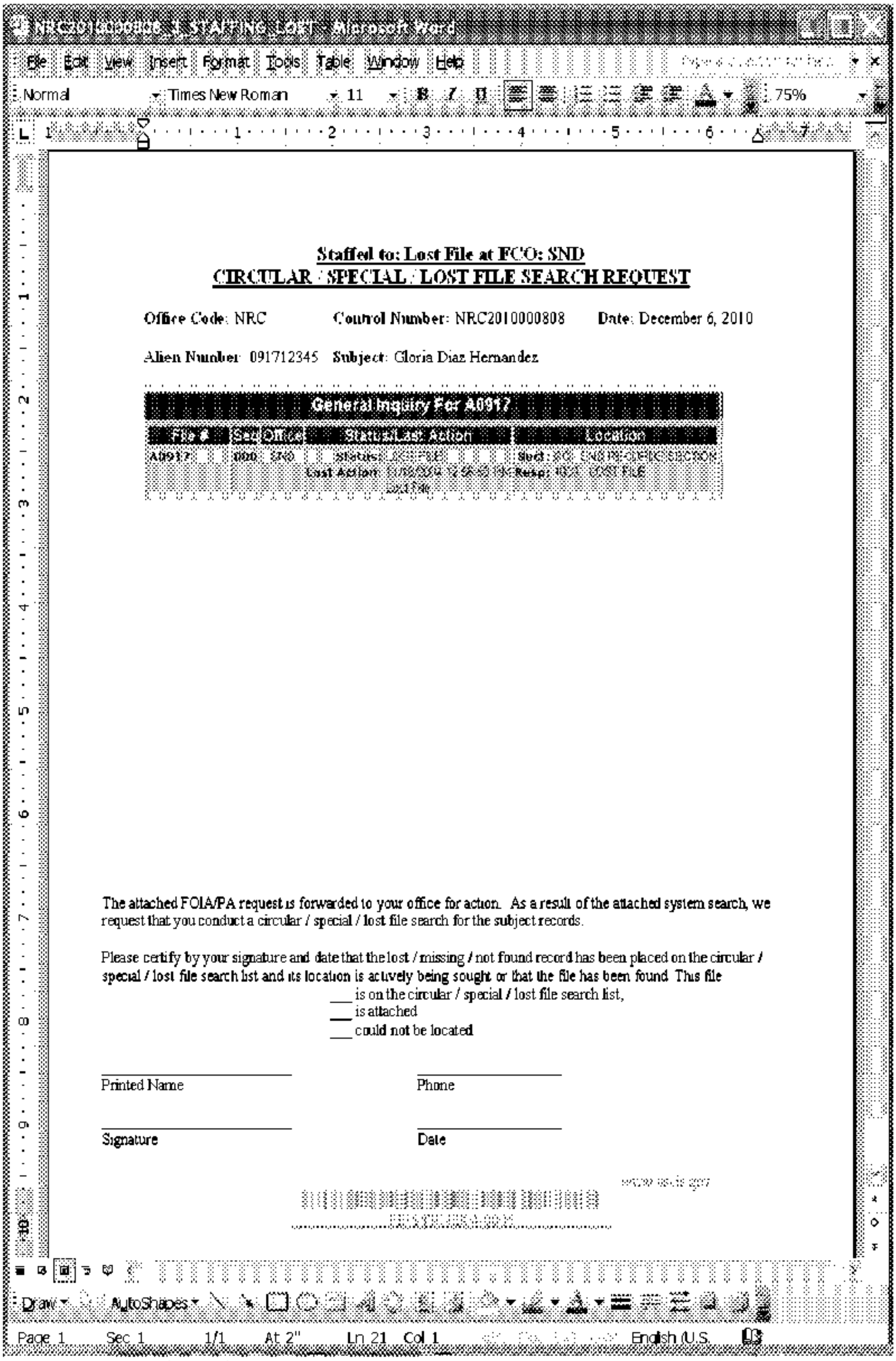
○ No Staffing Letter
○ Customize Letter
☒ File Missing/Lost

Lost File at FCO: _____

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


Contents
Discussions
Case Actions
History
Records Locator
Case Processor
Case Approver
Unit Chief
Up-front Approver
Pend
Reassign Office
Page 1 of 2 80% Viewing version: 1

| 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 |


File Edit View Insert Format Tools Table Window Help
Normal
Times New Roman
11
75%
Draw
AutoShapes
Page 1 Sec 1 1/1 At 2" Ln 21 Col 1
English (U.S.

**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 #** | **Seq** | **Office** | **Status/Last Action** | **Location** |
| A0917 | 000 | SND | **Status:** [illegible]<br>**Last Action:** [illegible] | **Sect:** [illegible]<br>**Resp:** [illegible] 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

www.uscis.gov

Generate the acknowledgement letter.

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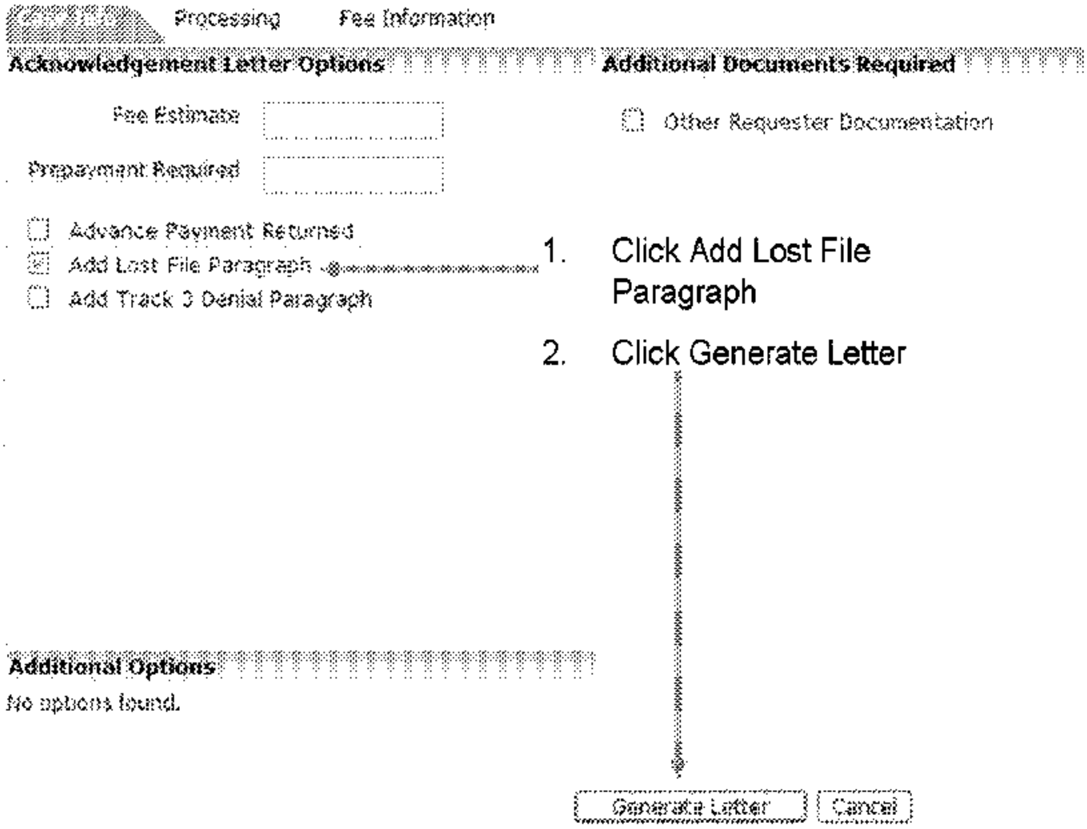
Processing
Fee Information
Acknowledgement Letter Options
Additional Documents Required
Fee Estimate
☐ Other Requester Documentation
Prepayment Required
☐ Advance Payment Returned
☒ Add Lost File Paragraph
☐ Add Track 3 Denial Paragraph
Additional Options
No options found.
Generate Letter
Cancel

1. Click Add Lost File Paragraph
2. Click Generate Letter

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

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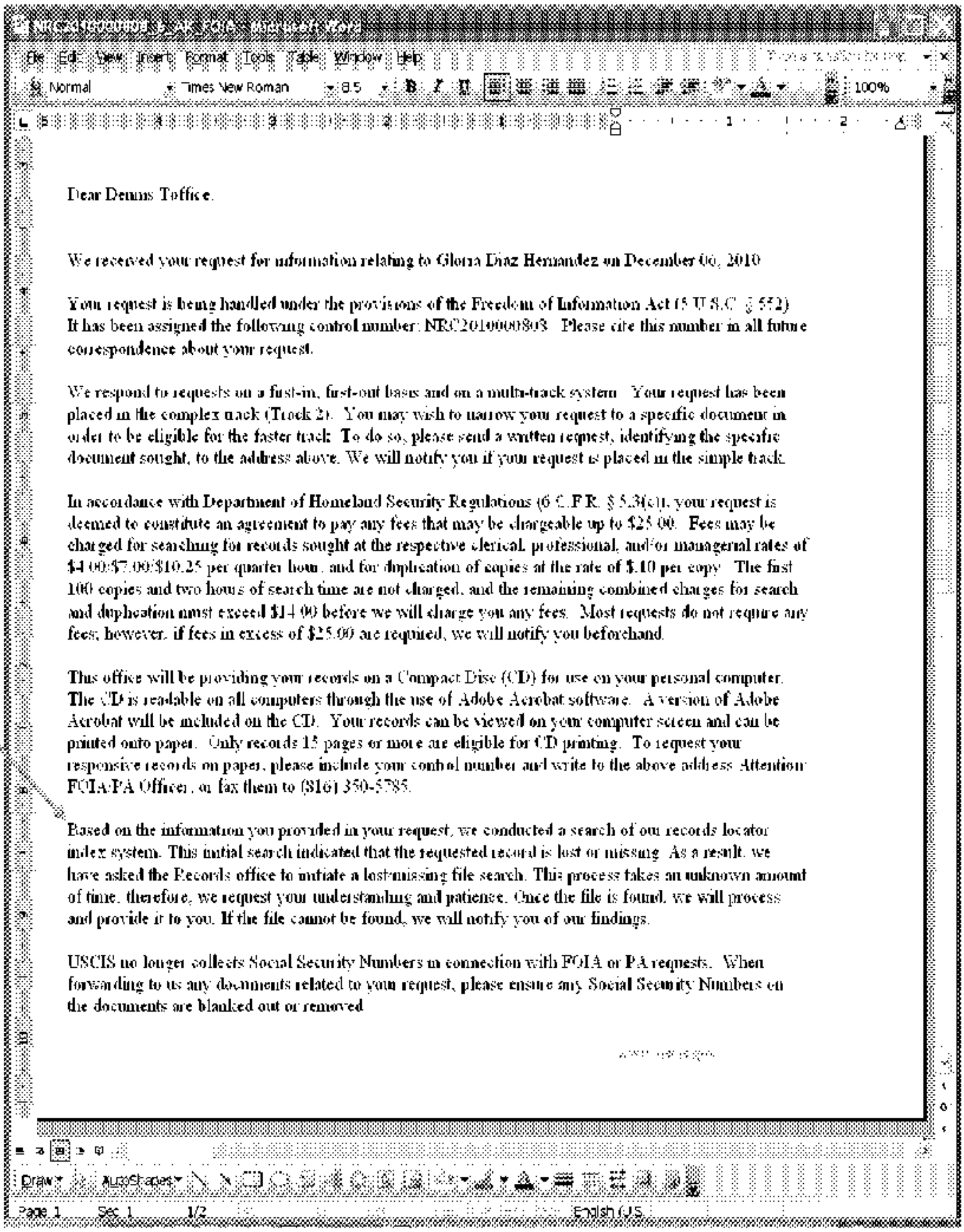

Dear Dennis Toffice.

We received your request for information relating to Gloria Diaz Hernandez on December 06, 2010

Your request is being handled under the provisions of the Freedom of Information Act (5 U.S.C. § 552). It has been assigned the following control number: NRC2010000803. Please cite this number in all future correspondence about your request.

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

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

This office will be providing your records on a Compact Disc (CD) for use on your personal computer. The CD is readable on all computers through the use of Adobe Acrobat software. A version of Adobe Acrobat will be included on the CD. Your records can be viewed on your computer screen and can be printed onto paper. Only records 15 pages or more are eligible for CD printing. To request your responsive records on paper, please include your control number and write to the above address Attention: FOIA/PA Officer, or fax them to (816) 350-5785.

Based on the information you provided in your request, we conducted a search of our records locator index system. This initial search indicated that the requested record is lost or missing. As a result, we have asked the Records office to initiate a lost/missing file search. This process takes an unknown amount of time, therefore, we request your understanding and patience. Once the file is found, we will process and provide it to you. If the file cannot be found, we will notify you of our findings.

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

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.)

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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.

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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 XXXXXXXXX is currently showing as lost. Staffed for the following additional files: XXXXXXX, XXXXXXX, XXXXXXX. Once they are received, please review. Please also verify that the original a-file is still lost. If the original a-file has been consolidated in fact but not in the systems, please process and send your case to approver. Also send an e-mail to the MSB for resolution. Include both a-numbers. If no documents exist from the original a-file, please process what is available. Advise the requester that the original a-file is lost. Your case will close as a PD even if no redactions are made. Thank you.

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

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# LOST FILE WORKSHEET

A-number ______________________________________________

Name of Alien ___________________________________________

Date shown as Not Found in CIS ______________________________

Date shown as lost in NFTS __________________________________

1. Search CIS for potential second a-number and/or consolidation
    a. Second a-number? ____________________________
    b. Any T-files? Yes _____ No _____
        i. If yes, have they been staffed and scanned? If not, please do so now.

    c. Consolidated with? ___________________________
    d. Does the EOIR screen show an upcoming hearing date?

        Yes___ No ____

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

3. Check NFTS. Any current file movement. Yes ______ No ________

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

NOTES:

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### *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

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- Naturalization dates

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

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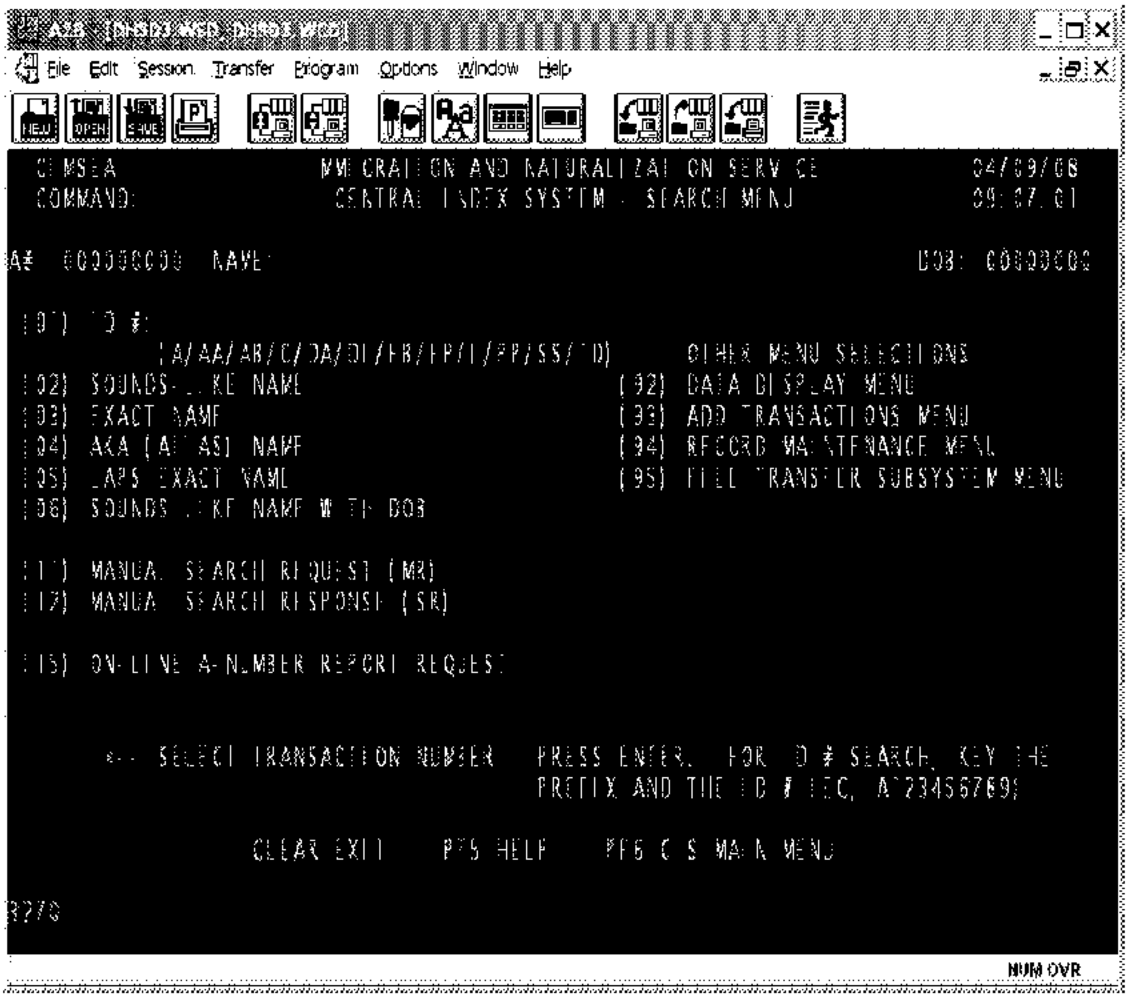

```
 CIMSEA              IMMIGRATION AND NATURALIZATION SERVICE          04/09/08
 COMMAND:              CENTRAL INDEX SYSTEM - SEARCH MENU            09:07:01

A#  00000000  NAME:                                            DOB: 00000000

 (01)  ID #:
          (A/AA/AR/C/DA/DI/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 # (E.G., A123456789)

                  CLEAR EXIT    PF5 HELP    PF6 CIS MAIN MENU

3270
```

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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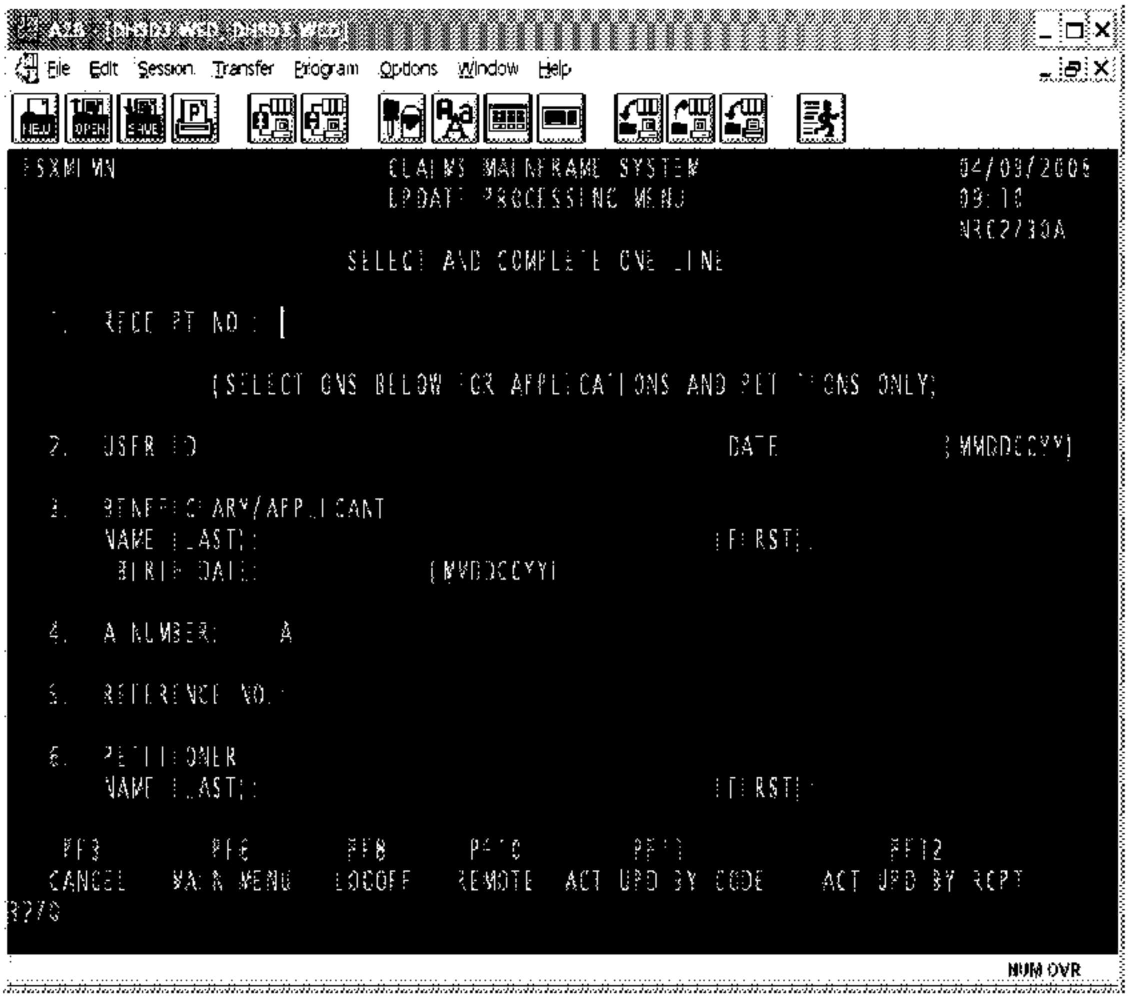

```
FSXMIMN                   CLAIMS MAINFRAME SYSTEM                  04/03/2006
                          UPDATE PROCESSING MENU                   09:10
                                                                   NRC2730A
                      SELECT AND COMPLETE ONE LINE

 1.  RECEIPT NO : |

           (SELECT ONS BELOW FOR APPLICATIONS AND PETITIONS ONLY)

 2.  USER ID                                    DATE           (MMDDCCYY)

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

 4.  A NUMBER:     A

 5.  REFERENCE NO.:

 6.  PETITIONER
     NAME (LAST):                              (FIRST):

  PF3        PF6        PF8       PF10       PF11              PF12
 CANCEL   MAIN MENU   LOGOFF    REMOTE   ACT UPD BY CODE   ACT UPD BY RCPT
3270
```

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.

| Office Section | Acronym |
|---|---|
| **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 | 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** | **FOI (Washington DC) (DRO-WAS)** |
| **Admin Program Office** | |
| **Non-Detained or Detained** | |
| **Processing Center** | **OC-Otero County** |
| **Detention Facility name** | **ie… Otay Mesa, Krome** |
| **Fugitive Ops** | **FO** |

SAC **file requests** are for files that are located in the following office sections. Choose the FCO where the file is located, such as SAC-ATL. Please note the section that follows concerning SAC locations.

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

### *12.7.9 SAC locations*

Occasionally, you will see a requesting a SAC (Special Agent in Charge) case, and not be able to find the File Control Office under SAC in your FIPS staffing list (ex. POO/Portland, Oregon). How do you staff correctly for the file? Would you use the "ICE General" staffing?

Yes, you do, but only as a last resort. Before staffing under ICE General, please check under RAC (Resident Alien in Charge) and ASAC, in consecutive order to find the staffing location. Since you cannot find Portland under SAC, you would next check RAC, and then ASAC (Portland is found under ASAC). Finally, if you cannot find the location **after** searching SAC, RAC and ASAC, please staff under ICE General.

### *12.7.10 LESC (LSC) records*

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

### *12.7.11 T-files*

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

A: In this case, we will request both files, EXCEPT, do not request T-files at HBG with RPC codes XX or ZG.

Q: What if they have an A-file at an outside office and a T-file here at the NRC?

A: Request the A-file only, but include the T-file portion on the file request. The T-file will get combined with the A-file when it arrives at the facility for scanning. **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.

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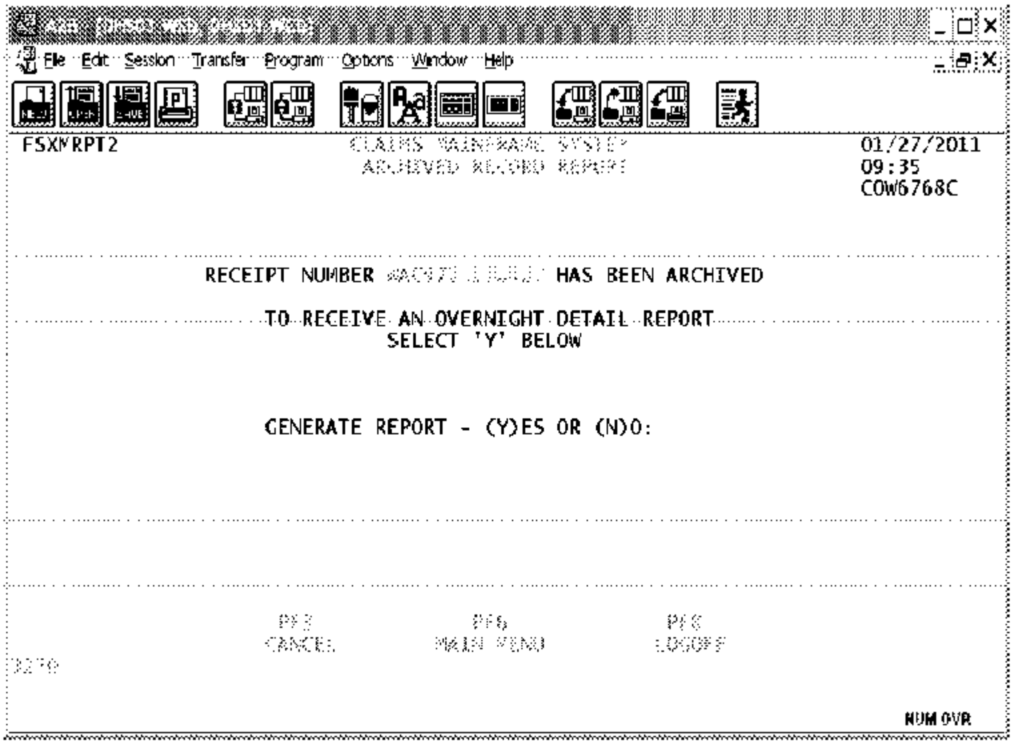
**12.7.12.4** As a matter of last resort, if there is neither information about the receipt file in NFTS nor PCQS and you have called National Visa Center and determined NVC does not have the receipt, you should staff to the owner of the receipt file and paste in the CLAIMS screen. This information can be located on the CLAIMS inquiry screen upper right hand corner. The CLAIMS screen will show "owned by."

### *12.7.13 Archived receipts*



```
FSXMRPT2                CLAIMS MAINFRAME SYSTEM             01/27/2011
                         ARCHIVED RECORD REPORT             09:35
                                                            COW6768C

            RECEIPT NUMBER [illegible] HAS BEEN ARCHIVED

               TO RECEIVE AN OVERNIGHT DETAIL REPORT
                          SELECT 'Y' BELOW


               GENERATE REPORT - (Y)ES OR (N)O:




               PF3             PF6             PF8
               CANCEL          MAIN MENU       LOGOFF
3270

                                                            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

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

3. You may call the NVC automated help line at **603-334-0700** and enter the receipt number. There may be evidence that the receipt file has been forwarded to the NVC in which case you would redirect the request to NVC.
4. If there is no evidence that the archived receipt file has been forwarded to NVC we will create a file request using RAFACS (not RAFACS/CIS). Find the information from the archived receipt in PCQS and print that information. Prepare a "Scan As" sheet to be scanned as responsive records for the case number you have just created, attach it to the screen prints and take those to the person designated to scan RAFACS-only responsive records. Pend the case.
5. If there is no evidence in PCQS, follow the instructions for *Receipt files; Lost receipt file, File destroyed or File cannot locate.*.

Reading the request is very important; if the requester is seeking information relating to what appears to be a receipt number and it begins with "CDJ" or one of the other prefixes found in the section **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.

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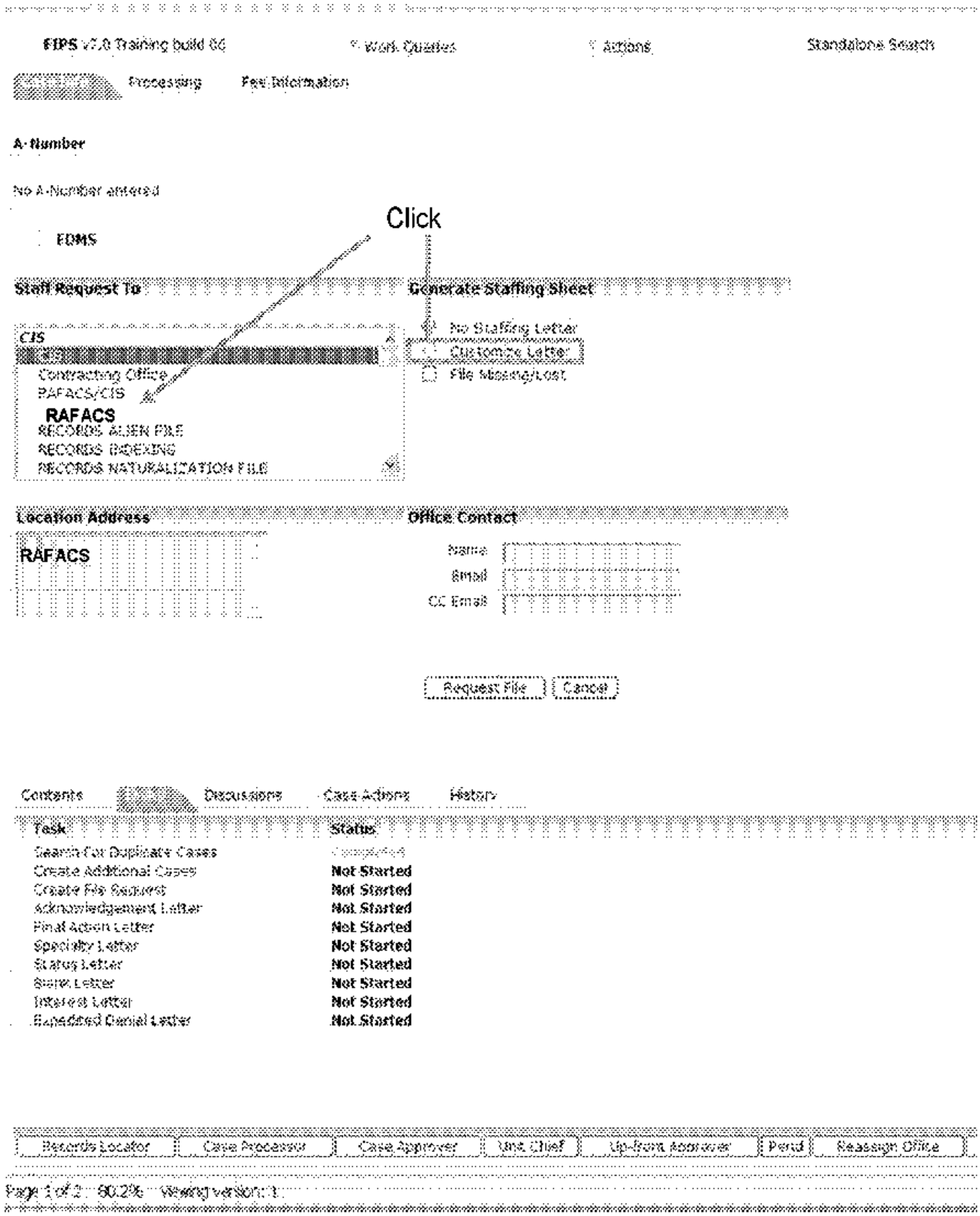

FIPS v7.0 Training build 66
Work Queues
Actions
Standalone Search
Processing
Fee Information
EDMS
Click
Request File
Cancel
Contents
Discussions
Case Actions
History
Records Locator
Case Processor
Case Approver
Unit Chief
Up-front Approver
Pend
Reassign Office
Page 1 of 2 80.2% Viewing version: 1

**A-Number**

No A-Number entered

**Staff Request To**

CIS
Contracting Office
RAFACS/CIS
**RAFACS**
RECORDS ALIEN FILE
RECORDS INDEXING
RECORDS NATURALIZATION FILE

**Generate Staffing Sheet**

● No Staffing Letter
○ Customize Letter
☐ File Missing/Lost

**Location Address**

**RAFACS**

**Office Contact**

Name
Email
CC Email

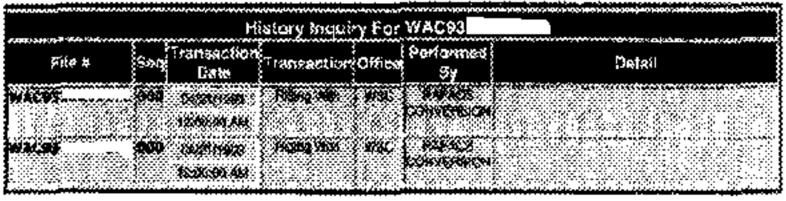
| Task | Status |
|---|---|
| Search For Duplicate Cases | Completed |
| Create Additional Cases | **Not Started** |
| Create File Request | **Not Started** |
| Acknowledgement Letter | **Not Started** |
| Final Action Letter | **Not Started** |
| Specialty Letter | **Not Started** |
| Status Letter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

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

## Staffed to: WSC
## REQUESTED FILE

**Office Code:** NRC **Control Number:** NRC2009012395 **Date:** June 5, 2009

**Alien Number:** **Subject:** WAC93 [redacted] the I-130 Petitioner Documents for Cardenas



History Inquiry For WAC93 [redacted]

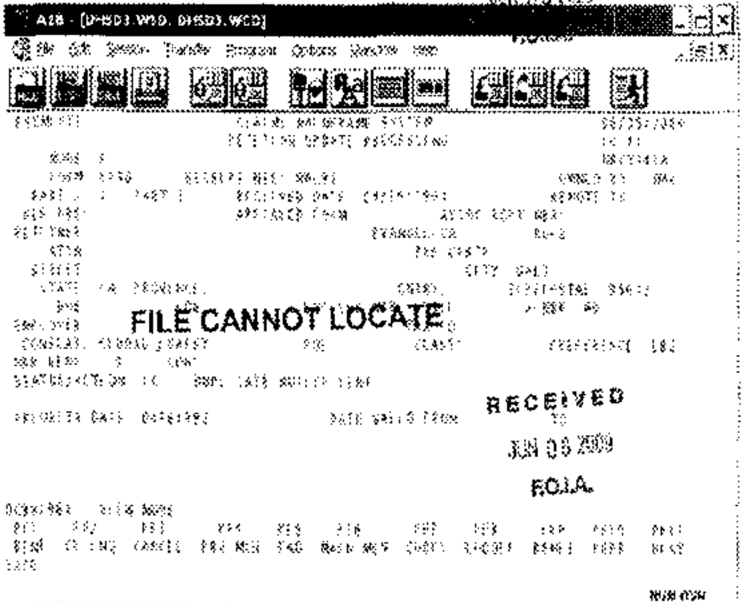
| File # | Seq | Transaction Date | Transaction | Office | Performed By | Detail |
|---|---|---|---|---|---|---|
| WAC93 [redacted] | 000 | [illegible] 12:00:00 AM | [illegible] | WSC | [illegible] CONVERSION | |
| WAC93 [redacted] | 000 | [illegible] 12:00:00 AM | [illegible] | WSC | [illegible] CONVERSION | |

According to CLAIMS this file is owned by WAC

2nd Staffing

RECEIVED

JUN 08 2009



A28 - [DHSD3.W3D, DHSD3.WCD]

FILE CANNOT LOCATE

RECEIVED

JUN 08 2009

F.O.I.A.

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

___ is attached

___ could not be located

Printed Name

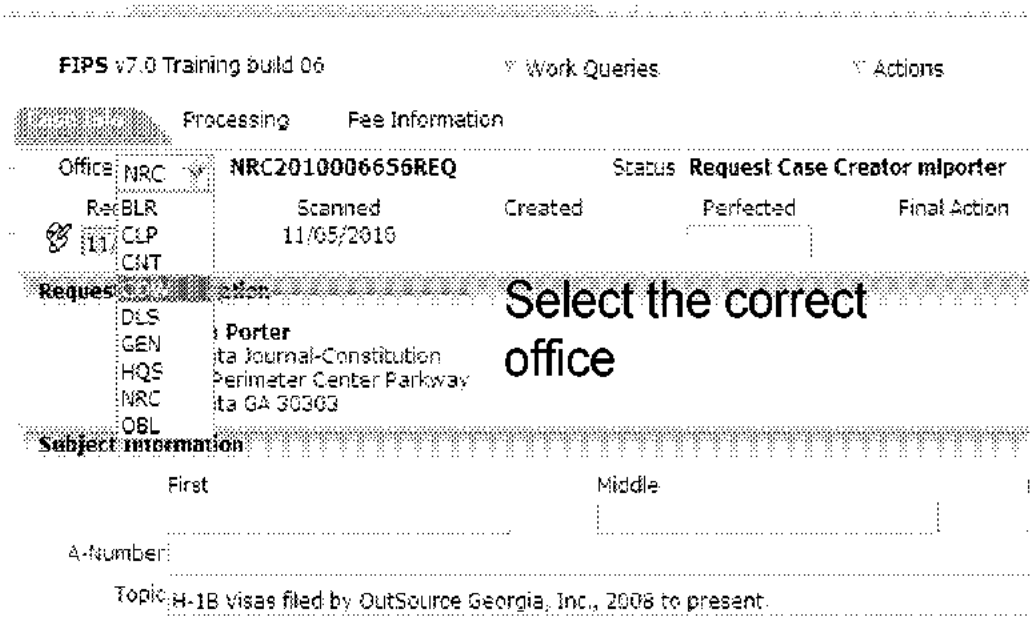
Room

WAC93

# 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

Office: NRC

**NRC2010006656REQ**

Status **Request Case Creator mlporter**

Scanned 11/05/2010

**Porter**
ta Journal-Constitution
Perimeter Center Parkway
ta GA 30303

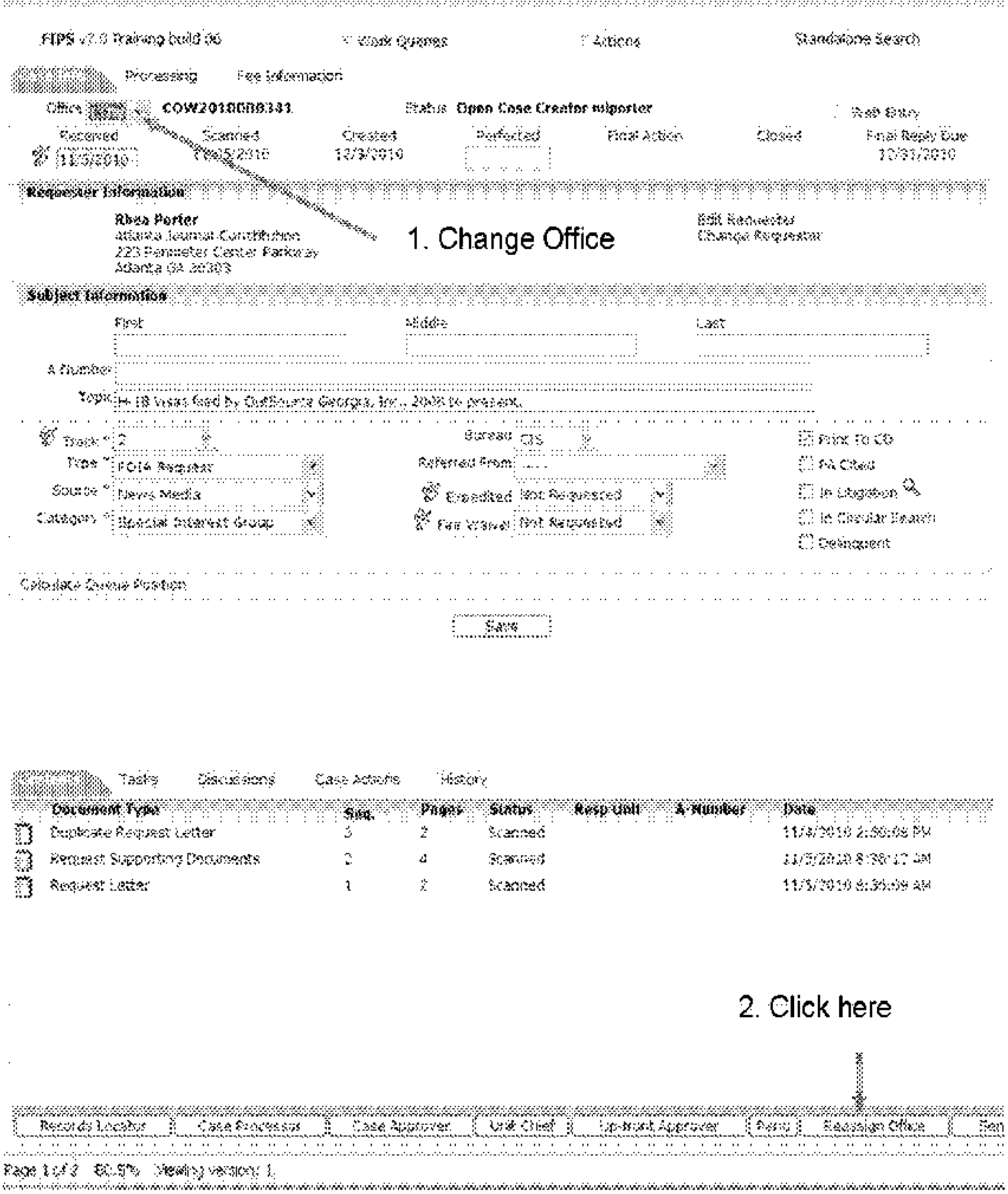
Topic: H-1B Visas filed by OutSource Georgia, Inc., 2008 to present.

Select the correct office

Work Queries
Actions
Processing
Fee Information
Rec
Created
Perfected
Final Action
BLR
CLP
CNT
DLS
GEN
HQS
NRC
OBL
Reques
Subject Information
First
Middle
A-Number

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

Next, click on "Reassign Office"


FIPS v2.0 Training build 06
Work Queues
Actions
Standalone Search
Processing
Fee Information
Web Entry
Edit Requester
Change Requester
Calculate Queue Position
Save
Tasks
Discussions
Case Actions
History
Records Locator
Case Processor
Case Approver
Unit Chief
Up-front Approver
Reassign Office
1. Change Office
2. Click here

Office: COW2010000331

Status: Open Case Creator [illegible]

| Received | Scanned | Created | Perfected | Final Action | Closed | Final Reply Due |
|---|---|---|---|---|---|---|
| 11/5/2010 | 11/05/2010 | 12/3/2010 | | | | 12/31/2010 |

**Requester Information**

**Rhea Porter**
Atlanta Journal Constitution
223 Perimeter Center Parkway
Atlanta GA 30303

**Subject Information**

First:
Middle:
Last:
A Number:
Topic: H-1B Visas filed by [illegible] Georgia, Inc., 2008 to present.

Track *: 2
Type *: FOIA Request
Source *: News Media
Category *: Special Interest Group
Bureau: CIS
Referred From:
Expedited: Not Requested
Fee Waiver: Not Requested

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

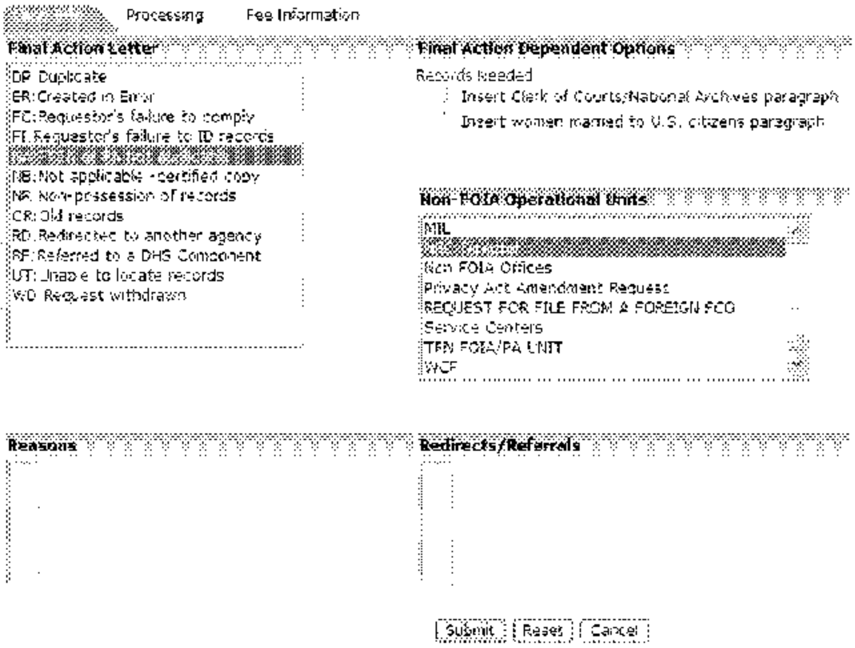
| Document Type | Seq. | Pages | Status | Resp Unit | A-Number | Date |
|---|---|---|---|---|---|---|
| Duplicate Request Letter | 3 | 2 | Scanned | | | 11/4/2010 2:56:08 PM |
| Request Supporting Documents | 2 | 4 | Scanned | | | 11/5/2010 8:38:17 AM |
| Request Letter | 1 | 2 | Scanned | | | 11/5/2010 8:36:09 AM |

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
Final Action Letter
DP 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
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
MIL
Non FOIA Offices
Privacy Act Amendment Request
REQUEST FOR FILE FROM A FOREIGN FCO
Service Centers
TFN FOIA/PA UNIT
WCF
Reasons
Redirects/Referrals
Submit
Reset
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.

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## 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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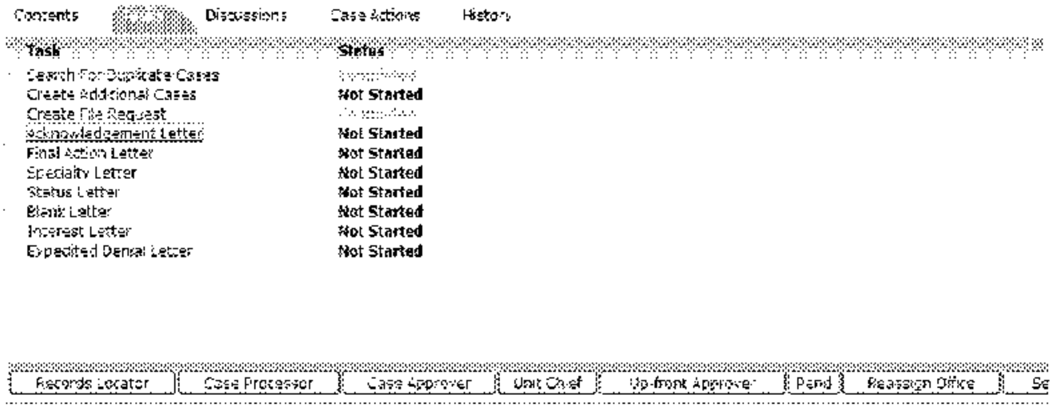
# 18. ACKNOWLEDGEMENT LETTERS

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 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"



| Task | Status |
|---|---|
| Search For Duplicate Cases | [illegible] |
| Create Additional Cases | **Not Started** |
| Create File Request | [illegible] |
| 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** |

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

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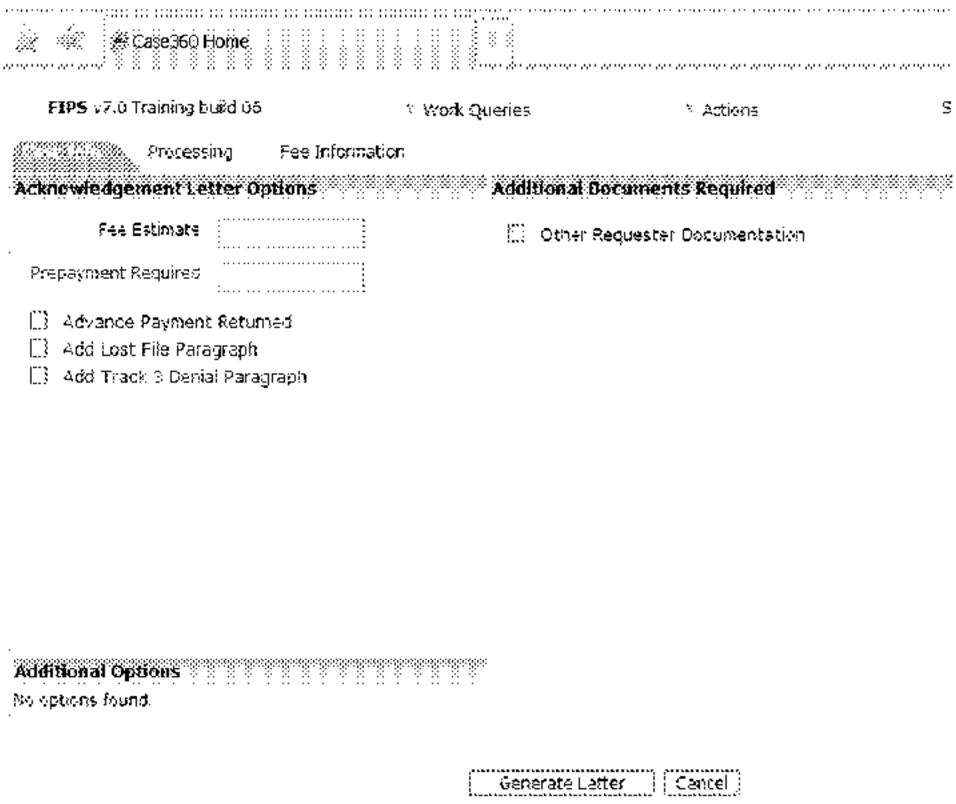

Case360 Home
FIPS v7.0 Training build 06
Work Queries
Actions
S
Processing
Fee Information
Generate Letter
Cancel

**Acknowledgement Letter Options**

Fee Estimate

Prepayment Required

☐ Advance Payment Returned
☐ Add Lost File Paragraph
☐ Add Track 3 Denial Paragraph

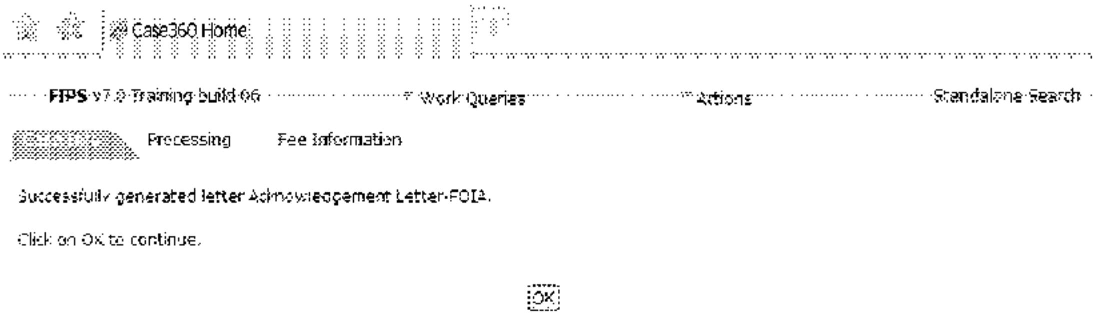
**Additional Documents Required**

☐ Other Requester Documentation

**Additional Options**

No options found.

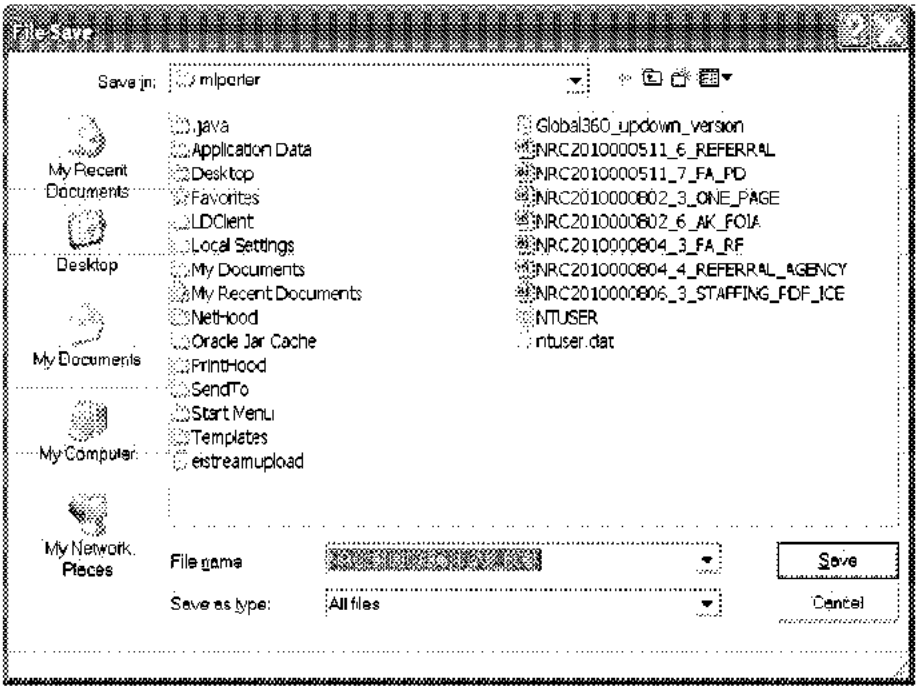
Since our example case does not require us to select any options, we will click on "Generate Letter." Our only option at that point is to click OK:


Case360 Home
FIPS v7.0 Training build 06
Work Queries
Actions
Standalone Search
Processing
Fee Information
OK

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."



Save in: mlporter

.java
Application Data
Desktop
Favorites
LDClient
Local Settings
My Documents
My Recent Documents
NetHood
Oracle Jar Cache
PrintHood
SendTo
Start Menu
Templates
estreamupload
Global360_updown_version
NRC2010000511_6_REFERRAL
NRC2010000511_7_FA_PD
NRC2010000802_3_ONE_PAGE
NRC2010000802_6_AK_FOIA
NRC2010000804_3_FA_RF
NRC2010000804_4_REFERRAL_AGENCY
NRC2010000806_3_STAFFING_PDF_ICE
NTUSER
ntuser.dat

File name: [redacted]

Save as type: All files

The acknowledgment letter will pop up:

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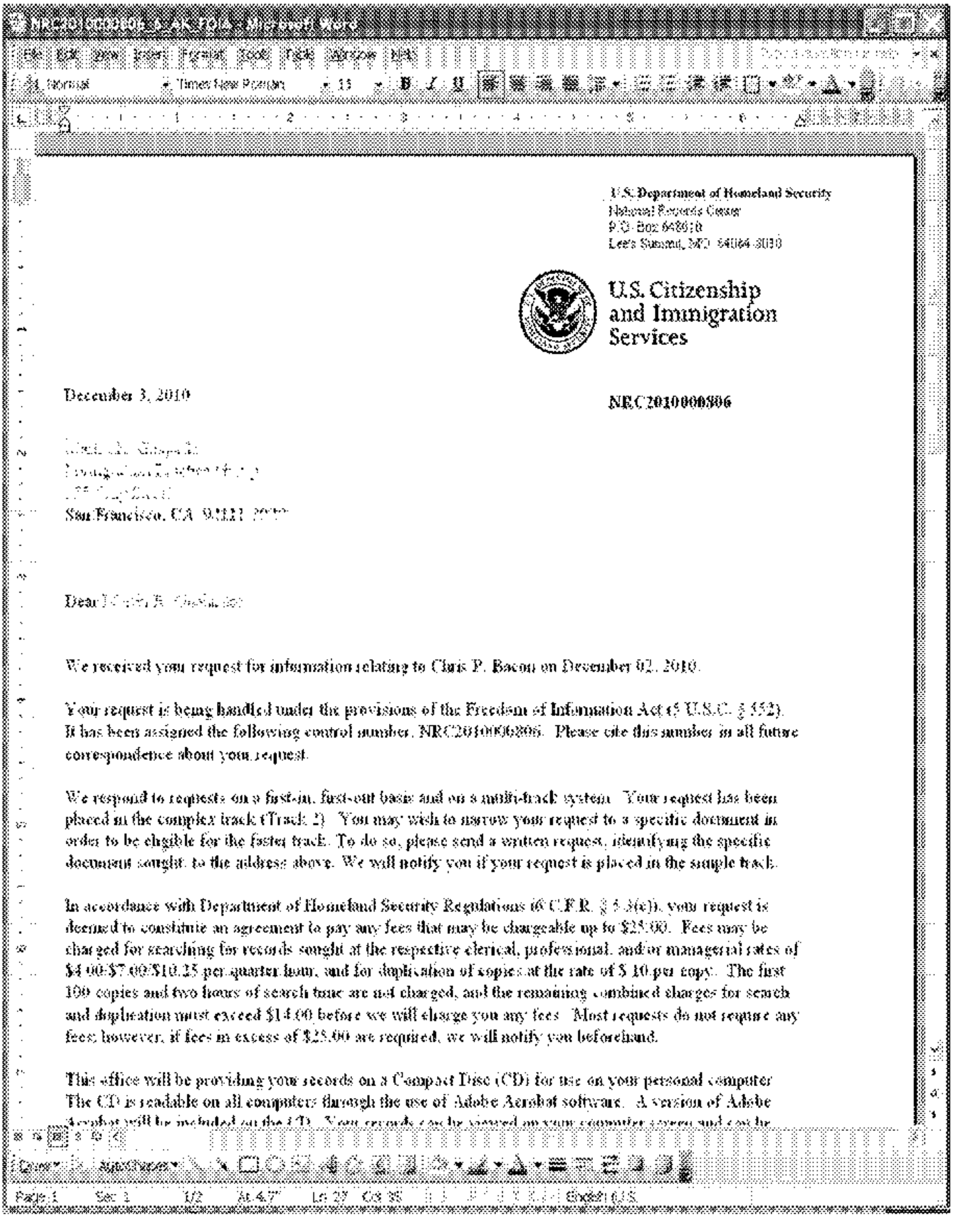

NRC2010000806 ... FOIA - Microsoft Word
File Edit View Insert Format Tools Table Window Help
Normal
Times New Roman
Page 1 Sec 1 1/2 At 4.7" Ln 27 Col 35 English U.S.

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**

[redacted]
San Francisco, CA [redacted]

Dear [redacted]

We received your request for information relating to Chris P. Bacon on December 02, 2010.

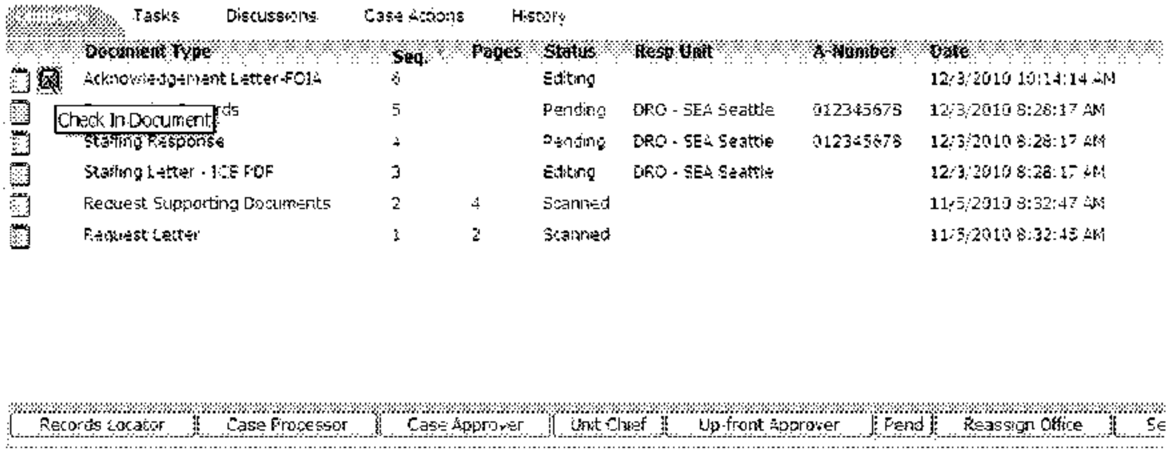
Your request is being handled under the provisions of the Freedom of Information Act (5 U.S.C. § 552). It has been assigned the following control number, NRC2010000806. Please cite this number in all future correspondence about your request.

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

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

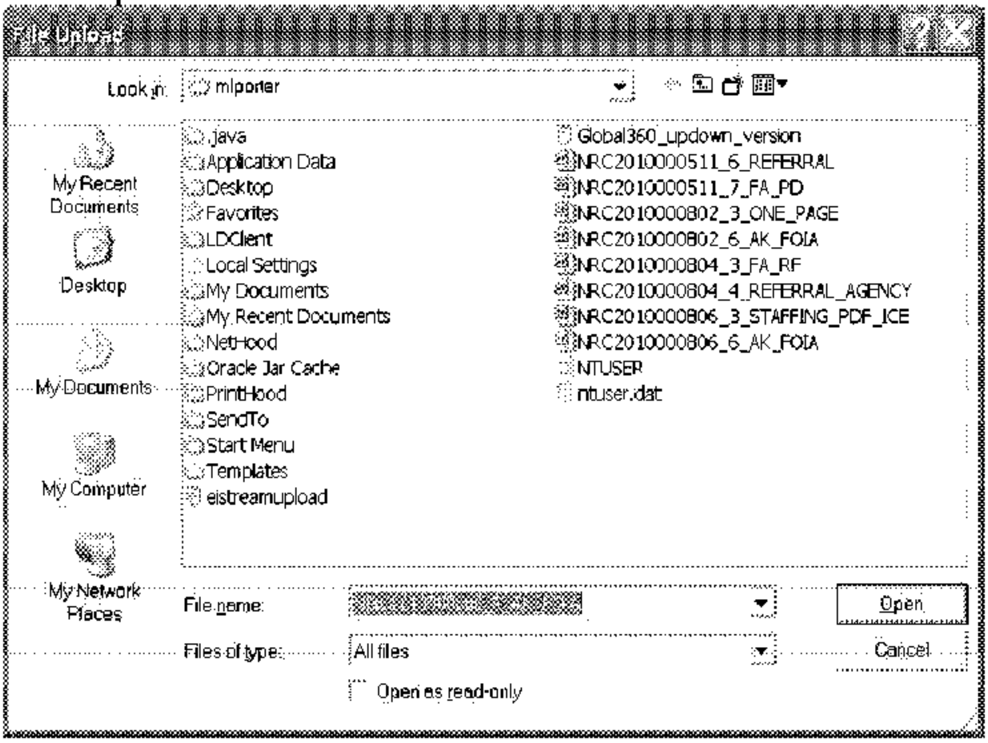
This office will be providing your records on a Compact Disc (CD) for use on your personal computer. The CD is readable on all computers through the use of Adobe Acrobat software. A version of Adobe Acrobat will be included on the CD. Your records can be viewed on your computer screen and can be

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.


Tasks
Discussions
Case Actions
History
Check In Document
Records Locator
Case Processor
Case Approver
Unit Chief
Up-front Approver
Pend
Reassign Office
Se

| Document Type | Seq. | Pages | Status | Resp Unit | A-Number | Date |
|---|---|---|---|---|---|---|
| Acknowledgement Letter-FOIA | 6 |  | Editing |  |  | 12/3/2010 10:14:14 AM |
| rds | 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 |

Click "Open":


File Upload
My Recent Documents
Desktop
My Documents
My Computer
My Network Places
java
Application Data
Desktop
Favorites
LDClient
Local Settings
My Documents
My Recent Documents
NetHood
Oracle Jar Cache
PrintHood
SendTo
Start Menu
Templates
eistreamupload
Global360_updown_version
NRC2010000511_6_REFERRAL
NRC2010000511_7_FA_PD
NRC2010000802_3_ONE_PAGE
NRC2010000802_6_AK_FOIA
NRC2010000804_3_FA_RF
NRC2010000804_4_REFERRAL_AGENCY
NRC2010000806_3_STAFFING_PDF_ICE
NRC2010000806_6_AK_FOIA
NTUSER
ntuser.dat
Open
Cancel

Look in: mlporter

File name: [redacted]

Files of type: All files

☐ Open as read-only

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

# 19. DISCUSSIONS

Discussion notes are crucial to creating and processing a case. When creators are establishing the case in FIPS, they should note any unusual circumstances or details in a Discussion for later reference. FIPS also automatically generates Discussions in various situations, such as duplicate,

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multiples and when responsive records are copied from one case to another. Because Discussions become a permanent part of the case in FIPS, you should not used Discussions to record personal feelings or to debate, question, or even to seek clarification. A FOIA/PA Assistant should discuss issues needing clarification via e-mail, a telephone call or a personal visit to his or her supervisor.

## 20. CHANGING A REQ TO A CSD

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

Occasionally requester documents, certificates of identity, status requests and other correspondence will inadvertently get scanned into FIPS as a new request. If you encounter these types of documents in FIPS as REQ's, please attempt to locate the case to which the documents belong. After you locate the case in FIPS, make a note of the control number. Create a Discussion asking Research to add the request as CSD to the appropriate case. Next, go back to the worksheet in FIPS and Send to Research.

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

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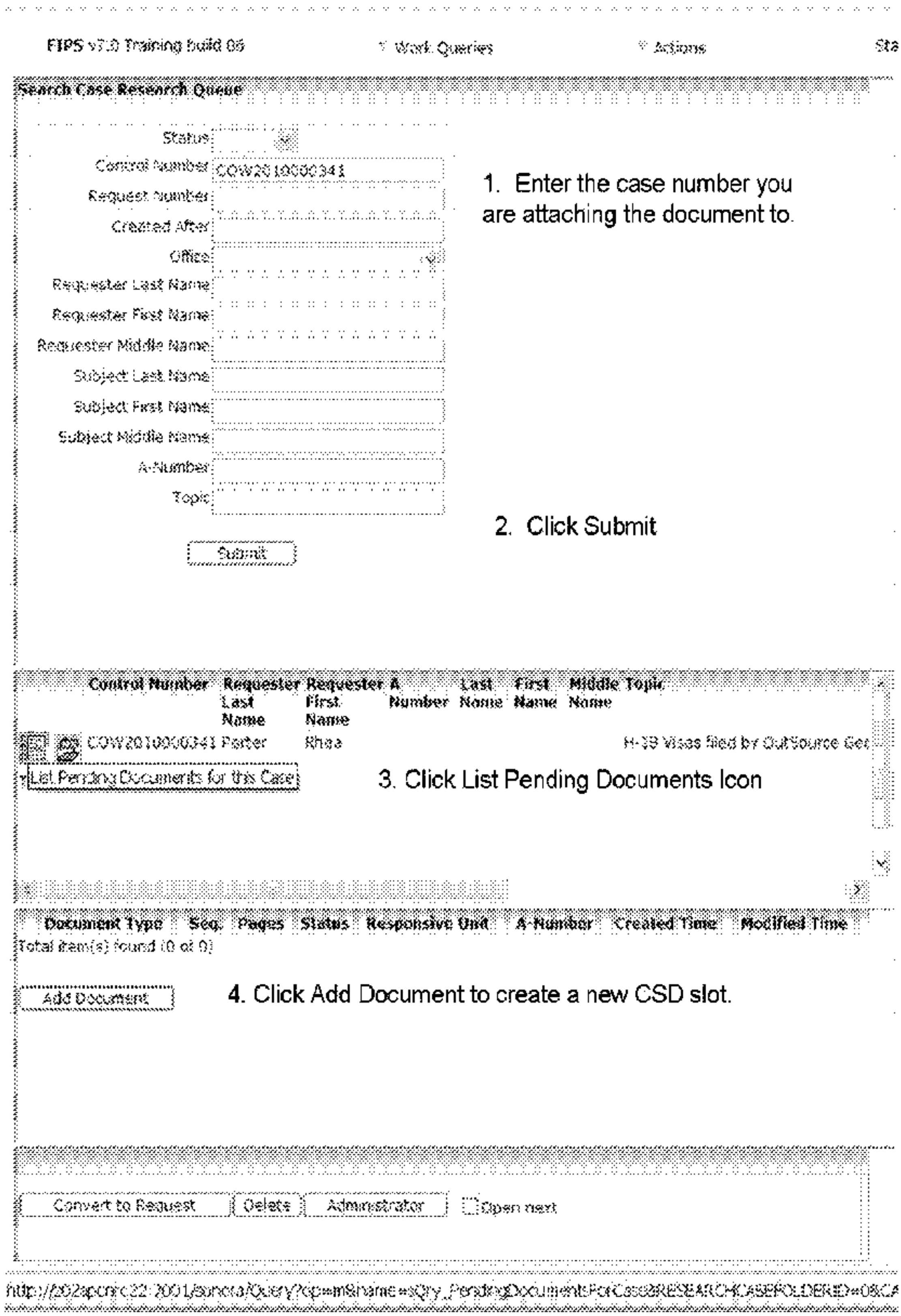
FIPS v7.0 Training build 06
Work Queries
Actions
Sta
Search Case Research Queue
Status
Request Number
Created After
Office
Requester Last Name
Requester First Name
Requester Middle Name
Subject Last Name
Subject First Name
Subject Middle Name
A-Number
Topic
Submit
Add Document
Convert to Request
Delete
Administrator
☐ Open next

Control Number: COW2010000341

1. Enter the case number you are attaching the document to.

2. Click Submit

| | Control Number | Requester Last Name | Requester First Name | A Number | Last Name | First Name | Middle Name | Topic |
|---|---|---|---|---|---|---|---|---|
| | COW2010000341 | Porter | Rhea | | | | | H-3B Visas filed by OutSource Ge |

List Pending Documents for this Case

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.

http://202apcnrc22:2001/aurora/Query?cp=m&name=sQry_PendingDocumentsForCase&RESEARCHCASEFOLDERID=0&CA

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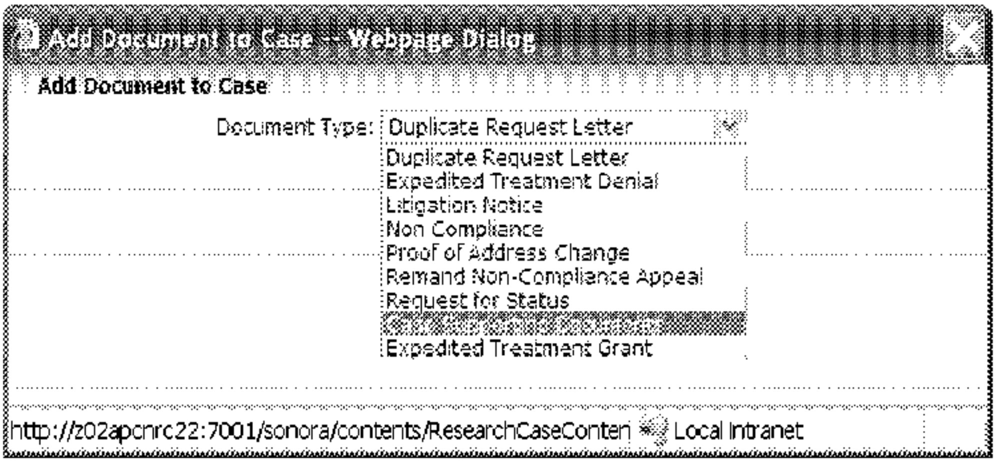
Add Document to Case -- Webpage Dialog
Add Document to Case
Duplicate Request Letter
Expedited Treatment Denial
Litigation Notice
Non Compliance
Proof of Address Change
Remand Non-Compliance Appeal
Request for Status
[illegible]
Expedited Treatment Grant
Local intranet

Document Type: Duplicate Request Letter

http://z02apcnrc22:7001/sonora/contents/ResearchCaseConten

## 21. TROUBLESHOOTING WORK *FROM* THE OA ROOM

The FOIA/PA Assistants assigned to the mail are responsible for picking up faxes and mail (in the black bins marked Troubleshooter) from the OA room and in the basket located next to the copier in shared workroom each day and are responsible for sorting and working the mail. Individual team members expecting a fax should notify his or her supervisor or retrieve the fax. If the case has been created, insert a Discussion (Scan in fax and notify [me] when the fax has been scanned). If the fax needs to be scanned in before reviewing, the FOIA/PA Assistants can scan it in and notify you. They may also deliver the fax or mail if needed.

## 22. TROUBLESHOOTING WORK *TO* THE OA ROOM

When new requests are taken to the OA room, place them in the "New Request" bin on the counter.

When taking requester documentation, CSD's, responsive records or certifications of identity to the OA room, write "Requester Docs" or "CSD" on the first page, along with the date and your initials.

## 23. FOIA MAILBOXES:

FOIA has access to various e-mail mailboxes that serve different purposes. The paragraphs below describe these mailboxes and their purposes. E-mails to any of the FOIA mailboxes must contain specific instructions.

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## 23.1 THE OA ROOM **(NRC, FOIAOA)**

Send e-mails to the OA Room when:

- The request letter and supporting docs need to be printed and scanned in as a new case. Include instructions to the case creator, if necessary.

- The original Final Action Letter and responsive records were mailed but the requester never received them. The OA room will reprint the records to CD or paper and re-mail per instructions provided in the e-mail. The instructions must include the control number and whether to print CD or paper, as well as how the case was closed "G1 or PD." Include a Discussion in the original case.

- The responsive records need to be re-printed to CD due to the requester receiving a broken CD.

- The requester has either has a changed or new address; therefore, the records need to be re-printed and re-mailed to the requester. You need to state in your instructions to the OA room that you've made the changes to the address in the final action letter. Correct the address on the final action letter and the FIPS database. State that you've changed the address in a Discussion.

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

## 23.2 MSB **(NRC, NRCFOIAMSB)**

Send e-mails to the MSB mailbox when:

- An appeal is encountered in case create that was not previously addressed.

- An expedited treatment is encountered in case create or Records Locator queue that was not previously addressed. Personnel handling the MSB mailbox will forward the e-mail to the supervisor(s) handling the expedited treatment.

All e-mails to the MSB mailbox should contain the control number, the A-number or subject of the case, and specific instructions relating to the case.

## 23.3 FIPS PROBLEM **(NRC, FIPSPROBLEM)**

Send e-mails to the FIPS Problem mailbox:

- If errors are encountered in the case

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- If responsive records need to be copied from one case to another
- If records are incorrectly scanned in a case and need to be removed

All e-mails to FIPS Problem mailbox must contain specific instructions, including a description of the problem and the role of the case; standalone, create, locator or processing and the control number or REQ number if you were creating the case.

## 23.4 FOIA FILE REQUEST (NRC, FOIAFILEREQ)

Send e-mails to FOIA File Request if you discover A file sitting on a shelf and it has not been scanned in to the case. Include the control number and the A-number in these e-mails.

# 24. E-MAIL TO CUSTOMERS

If necessary, send a message to the USCIS mailbox outlining what needs to be sent. The MSB supervisor will generate the e-mail to the requester and transmit. Include all information in the e-mail that the MSB supervisor will need in order to be able to send the e-mail. Put a Discussion in FIPS outlining your request to MSB. If you are asking for more information from the requester, create a slot in the case in FIPS to ensure that the case will close out automatically if no response is received from the requester.

# 25. MAIL

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

## 25.1 RETURNED MAIL:

### *25.1.1 Interim Interest Letters*

Returned Interim Interest Letters are scanned as Requester Docs.

Except for Interim Interest Letters, all returned envelopes and letters are scanned as CSD's.

**Do not use forwarding addresses provided by US Postal Service.**

OA's will note each case with action taken for each piece of returned mail. Notes are to be complete and concise. They should include the reason the letter was returned, action taken, and the OA's name.

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**Note:** Not all letters are acknowledgment letters. The returned correspondence could be a status letter or request for additional information. Before letters are updated with the correct address, confirm the correct letter is being updated. The Discussion should include the type of letter being corrected and resent.

### *25.1.2 Acknowledgement letters*

Compare address on acknowledgement letter to address on the G-639, G-28 and returned address on the original envelope.

A. If there is a transcription error in the address:

1. Correct the address in the address section of the FIPS worksheet and click on the "U" to update FIPS.
2. Correct the acknowledgement letter and resend letter.
3. Write the ID of the case creator on the returned letter and give to OA Supervisor. Do this in a controlled manner so that you and the supervisor are the only ones who see this paperwork.
4. Note the case. Example of the Discussion:

| | |
|---|---|
| **Title of Discussion:** | **Returned Mail – no such number** |
| Body of Discussion: | Address on letter did not match G639. Street address should be 1003 Market Street, not 103 Market Street. Updated FIPS and ack letter and resent letter. Name. |

5. Returned acknowledgement letters with a requester document need to be repended for additional time. **Give the letter to the OA supervisor to repend.**

B. If the address on the acknowledgement letter matches the address on the G-639, G-28 and/or return address on original envelope:

1. Note the case. Example of the Discussion:

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

2. Give acknowledgement letter to OA Supervisor to Close.

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### *25.1.3 Final Action Letters*

Compare address on final action letter to address on the G-639, G-28 and returned address on original envelope. Check all CSDs for a new address.

A. If address matches G-639 and/or G-28 and no other address is found, note case with the reason the letter and responsive records were returned. Discussion should include "no other address found; did not resend final action letter" and OA's name. **Scan envelope and front page of letter as CSD.**

   Shred the letter and responsive records.

B. If another address is found in the CSDs:

   1. Update FIPS and final action letter, reprint letter, and label and resend. **Scan original letter and envelope as CSD.**
   2. Write the ID of the **case processor** on the returned letter and give to OA Supervisor. Do this in a controlled manner so that you and the supervisor are the only ones who see this paperwork.

### *25.1.4 CDs*

A. CDs Returned for postage.

   Make a copy of the CD and re-mail. Attach the copy of the CD to the original CD mailer and give to the OA Supervisor. Note the case with the following Discussion.

   Title of Discussion: CD Returned for Additional 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:

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a. Make a copy of the CD and returned envelope.

b. Update FIPS and reprint a new label. (Do not update letter in FIPS). Put the new label on the outside of the CD Mailer (not directly on the CD).

c. Write the ID of the **case processor** on the copy of the returned CD and give to OA Supervisor. Do this in a controlled manner so that you and the supervisor are the only ones who see this paperwork.

## 25.2 DIRECT MAIL:

This is mail sent directly to NRC from requesters, subjects, attorneys, etc. The content of direct mail is varied and usually requires some type of action. Direct mail could consist of, but not limited to, any of the following:

- Change of Address (see **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 requester a letter advising them that their case has been closed as a FC. If the requester still has an interest in receiving the information, he or she will need to submit a new FOIA request. This includes cases closed within the same month. We are handling these FC requests the same for everyone so nobody is getting unfair treatment. However, if you receive a call asking for more time to return the requester docs, and before the case closes, you may repend. A template FC letter is located at: O:\Foia\FOIA LIBRARY\Case Create References\Template Letters\FC Letter.

### *25.2.3 Request for change of address*

If you receive a Form AR-11 or other correspondence from an alien wanting to submit a change of address, forward the original letter and enclosures to the following address:

U.S. Department of Homeland Security
Bureau of Citizenship and Immigration
Change of Address
PO Box 7134
London, KY 40742-7134

**For commercial overnight or fast freight services only:**

U.S. Department of Homeland Security
Bureau of Citizenship and Immigration
Change of Address
1084-I South Laurel Road
London, KY 40744

### *25.2.4 Status letters*

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

From 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.

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If the request is still pending, the online status check will indicate the position of the request relative to all pending USCIS requests in the 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. 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.

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## 26. BLANK TAPES/CD's

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

## 27. VIDEO REPRODUCTION

As responsive records are scanned into FIPS; when the scanner encounters any type of media, they forward the alien file to MSB when their scanning is complete. The MSB staff assigned to audio/video reproduction will copy the media and insert a Discussion that it is complete. Once the case is processed, the processor will send an e-mail to the MSB mailbox with the case number and the page(s) number where the media can be located. MSB will pull the media and process/make any necessary redactions. The media will be mailed to the requester separately.

## 28. CONGRESSIONAL REQUESTS AND APPEALS

All Congressional Requests and Appeals are pulled out of the in-coming mail and handled by a supervisor. If you encounter a Congressional Request or an Appeal in Records Locator queue that was not previously addressed; send an e-mail to NRC, FOIAMSB mailbox, include the control number and alien number of the case and specific instructions as to what needs to be done. Put the case in Unit Chief. FOIA/PA Assistants assigned to mail will place the mail in the MSB or Appeals bin.

## 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.

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.

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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.

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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.

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.

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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.

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## 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, 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.

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

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# APPENDIX A: PHONE NUMBERS

| | |
|---|---|
| NRC/FOIA Fax: | 816-350-5785, 5786, 5787 |
| ILD Incoming Call Line: | 816-350-5560 |
| Human Resource Office: | 816-350-5661 |
| CIS Forms: | |
| By Phone: | 1-800-870-3676 |
| Website: | www.uscis.gov |
| National Customer Service: | 1-800-375-5283 |
| EOIR | 800-898-7180 |

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# APPENDIX B: ADDRESSES

## MAILING ADDRESS OF NRC:

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

## PHYSICAL LOCATION OF NRC:

150 Space Center Loop
Lee's Summit, MO 64064

## MAILING ADDRESS OF NBC:

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

## MAILING ADDRESS OF CBP:

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

## MAILING ADDRESS OF ICE:

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

## MAILING ADDRESS OF NATIONAL VISA CENTER:

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

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## 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 – Cuidad Juarez (Mexico)

CLM – Colombo (Sri Lanka)

COT – Cotonou (Benin)

CPN – Copenhagen (Denmark)

CRO – Cairo (Egypt)

CRS – Caracas (Venezuela)

CSB – Casablanca (Morocco)

DBL – Dublin (Ireland)

DHK – Dhaka (Bangladesh)

DJI – Djibouti (Djibouti)

DKR – Dakar (Senegal)

DMS – Damascus (Syria)

DOH – Doha (Qatar)

DRS – Dar Es Salaam (Tanzania)

FRN – Frankfurt (Germany)

FTN – Freetown (Sierra Leone)

GEO – Georgetown (Guyana)

GTM – Guatemala City (Guatemala)

GUZ – Guangzhou (Canton)

GYQ – Guayaquil (Ecuador)

HAV- Havana (Cuba)

HCM – Ho Chi Minh City (Saigon)

HLS – Helsinki (Finland)

HML – Hamilton

HNK – Hong Kong

HRE – Harare (Zimbabwe)

ISL – Islamabad (Pakistan)

JAK – Jakarta (Indonesia)

JHN – Johannesburg (South Africa)

JRS – Jerusalem (Israel)

KDU – Kathmandu (Nepal)

KEV – Kyiv (Ukraine)

KHF – Khartoum (Sudan)

KIN – Kinshasa (Congo)

KLL – Kuala Lumpur (Malaysia)

KNG – Kingston (Jamaica)

KWT – Al Kuwait aka Kuwait City (Kuwait)

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LGS – Lagos (Nigeria)

LIB – Libreville (Gabon)

LIL – Lilongwe (Malawi)

LMA – Lima (Peru)

LND – London (United Kingdom)

LOM – Lome (Togo)

LPZ – La Paz (Bolivia)

LSB – Lisbon (Portugal)

LUA – Luanda (Angola)

LUS – Lusaka (Zambia)

MDD – Madrid (Spain)

MDR – Madras aka Chennai (India)

MNA – Manama (Bahrain)

MNG – Managua (Nicaragua)

MNL – Manila (Philippines)

MOS – Moscow (Russia)

MRV – Monrovia (Liberia)

MST – Muscat (Oman)

MTL – Montreal (Canada)

MTV – Montevideo (Uruguay)

NHA – Naha

NMY – Niamey (Niger)

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NPL – Naples (Italy)

NRB – Nairobi (Kenya)

NSS – Nassau (Bahamas)

NWD – New Delhi (India)

OSL – Oslo (Norway)

OUG – Ouagadougou (Burkina Faso)

PHP – Phnom Penh (Cambodia)

PIA – Praia (Cape Verde)

PNM – Panama City (Panama)

PRG – Prague (Czech Republic)

PRM – Paramaribo (Suriname)

PRS – Paris (France)

PTD – Ponta Delgada (Azores)

PTM – Port Moresby (Papua New Guinea)

PTP – Port-au-Prince (Haiti)

PTS – Port of Spain (Trinidad & Tobago)

RDJ – Río de Janeiro (Brasil)

RID – Riyadh (Saudí Arabia)

RKJ – Reykjavik (Iceland)

RNG – Rangoon (Burma)

SAA – Sana'a (Yemen)

SAR – Sarajevo (Bosnia & Herzegovina)

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SDO – Santo Domingo (Dominican Republic)

SEO – Seoul (Korea)

SGP – Singapore

SKO – Skopje (Macedonia)

SNJ – San José (Costa Rica)

SNS – San Salvador (El Salvador)

SNT – Santiago (Chile)

SOF – Sofia (Bulgaria)

STK – Stockholm (Sweden)

SUV – Suva (Fiji)

SYD – Sydney (Australia)

TAI – Taipei

TAL – Tallinn (Estonia)

TBL – Tbilisi (Georgia)

TGG – Tegucigalpa (Honduras)

THT – Tashkent (Uzbekistan)

TIA – Tirana (Albania)

TKY – Tokyo (Japan)

TLV – Tel Aviv (Israel)

TNS – Tunis (Tunisia)

VAC – Vancouver (Canada)

VNN – Vienna (Austria)

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VNT – Vientiane (Laos)

WRW – Warsaw (Poland)

YDE – Yaounde (Cameroon)

YRV – Yerevan (Armenia)

ZGB – Zagreb (Croatia)

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# 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

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

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

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

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

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

# 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 |

| | |
|---|---|
| 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 |

| | |
|---|---|
| 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 |

| | |
|---|---|
| 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 |

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| | |
|---|---|
| KST | Known Suspected Terrorist |
| LAPR | Lawfully Admitted Permanent Resident |
| LAPS | Legalization Application Processing System |
| LEAD | Leadership Education and Development |
| LES | Law Enforcement Sensitive |
| LESC | Law Enforcement Support Center |
| LIFE | Legal Immigration Family Equity (Act) |
| LIN | Northern Service Center (Lincoln, NE) |
| LOU | Limited Official Use |
| LPR | Lawful Permanent Resident |
| LULAC | League of United Latin American Citizens |
| MFAS | Marriage Fraud Amendment System |
| MOA | Memorandum of Agreement |
| MOU | Memorandum of Understanding |
| N-300 | Application to File Declaration of Intention |
| N-400 | Application for Naturalization |
| N-565 | Application for Replacement of Naturalization/Citizenship Document |
| N-600 | Application for Certification of Citizenship |
| NACARA | Nicaraguan Adjustment and Central American Relief Act of 1997 |
| NACS | Naturalization Application Casework System |
| NAILS | National Automated Immigration Lookout System |
| NBC | National Benefits Center |

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| | |
|---|---|
| NCIC | National Crime Information Center |
| NCJRS | National Criminal Justice Reference Service |
| NFTS | National File Tracking System |
| NIIS | Non-immigrant Information System |
| NLETS | National Law Enforcement Telecommunications System |
| NLRB | National Labor Relations Board |
| NOID | Notice of Intent to Deny |
| NQP | Naturalization Quality Procedures |
| NRC | National Records Center / Nuclear Regulatory Commission |
| NSA | National Security Agency |
| NSC | Northern Service Center / National Security Council |
| NSI | National Security Information |
| NSRV | National Security Records and Verification |
| NTA | Notice to Appear |
| NWIRP | Northwest Immigrant Rights Project |
| OCC | Office of Chief Counsel |
| OCDETF | Organized Crime Drug Enforcement Task Force |
| OCIO | Office of the Chief Information Officer |
| OCSE | Office of Child Support Enforcement |
| OEM&S | Office of Emergency Management & Safety |
| OEP | Occupant Emergency Plan |
| OEPC | Office of Emergency Preparedness and Coordination |

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| | |
|---|---|
| OFR | Office of the Federal Register |
| OIC | Officer in Charge |
| OIG | Office of the Inspector General |
| OIS | Office of Immigration Statistics |
| OIT | Office of Information Technology |
| OMB | Office of Management and Budget |
| OPF | Official Personnel File |
| OPLA | Office of the Principal Legal Advisor |
| OPM | Office of Personnel Management |
| OPSEC | Operational Security |
| ORR | Office of Refugee Resettlement |
| ORS | Office of Records Services |
| OSC | Order to Show Cause / Office of Special Council |
| OSCE | Office of Child Support Enforcement |
| OSI | Office of Security and Integrity |
| OTD | Office of Training and Development |
| OUO | Official Use Only |
| OVC | Office for Victims of Crime |
| OWCP | Office of Workers' Compensation Programs |
| PA | Privacy Act |
| PAIC | Patrol Agent in Charge |
| RAIO | Refugee, Asylum, and International Operations |

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| | |
|---|---|
| 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 |

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| | |
|---|---|
| SAVE | Systematic Alien Verification for Entitlement |
| SAW | Special Agricultural Worker |
| SBU | Sensitive But Unclassified |
| SCCLAIMS | Service Center CLAIMS |
| SDAO | Supervisory District Adjudications Officer |
| SDEO | Supervisory Detention Enforcement Officer |
| SDO | Supervisory Detention Officer |
| SES | Senior Executive Service |
| SEVIS | Student and Exchange Visitor Information System |
| SHSI | Sensitive Homeland Security Information |
| SIG | Special Interest Group |
| SII | Supervisory Immigration Inspector |
| SIO | Supervisory Information Officer |
| SLOB | Service Lookout Book (old way) |
| SORN | System of Records Notices |
| SPBP | Special Public Benefit Parole |
| SPOT | Screening Passengers by Observation Techniques |
| SRC | Southern Regional Center (Southern Service Center) |
| SSA | Supervisory Special Agent; or Social Security Administration |
| SSC | Southern Service Center |
| SSI | Sensitive Security Information |
| SSO | Special Security Officer |

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| | |
|---|---|
| STAR | System for Time and Attendance Reporting |
| TAC | Third Agency Checks |
| TAP | Tuition Assistance Program |
| TCDD | Training and Career Development Division |
| TECS | Treasury Enforcement Communication System |
| TPO | Transformation Program Offices |
| TPS | Temporary Protective Status |
| TSA | Transportation Security Administration |
| TSC | Texas Service Center |
| TSP | Thrift Savings Plan |
| TVA | Tennessee Valley Authority |
| UK | United Kingdom |
| UNHCR | United Nations High Commissioner for Refugees |
| UNICEF | United Nations Children's Fund |
| USA | United States Army |
| USACE | U.S. Army Corps of Engineers |
| USAF | United States Air Force |
| USC | United States Citizen |
| U.S.C. | United States Code |
| USCG | United States Coast Guard |
| USCIS | United States Citizenship and Immigration Services |
| USCS | United States Customs Service |

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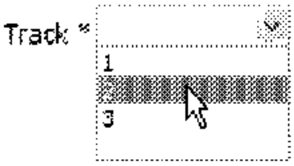
**Individual** - The PA describes an individual as follows: a U.S. Citizen (U.S.C.) or alien lawfully admitted for permanent residence (LPR). Conditional residents are considered LPRs. Corporations and organizations are not individuals.

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

**Track Drop-Down List**



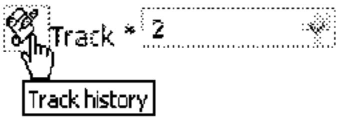
- Track 1 is used for the less complex cases. These are cases where only one or a few specific documents are being requested from the file.

- 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.

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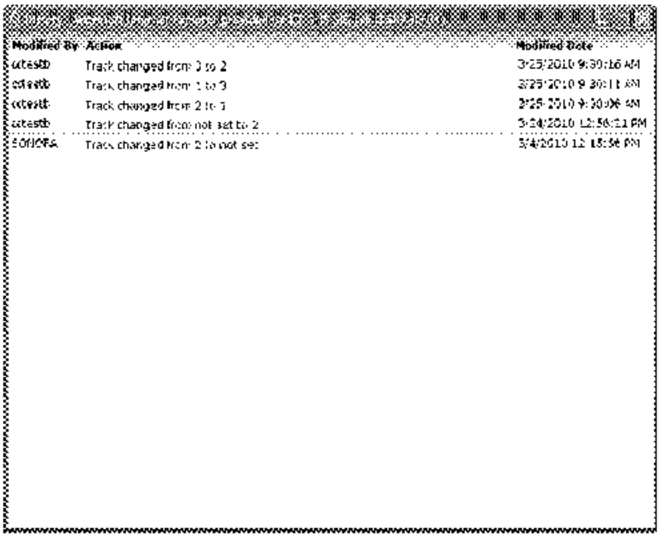
## Track History Displayed



| Modified By | Action | Modified Date |
|---|---|---|
| cctestb | Track changed from 3 to 2 | 3/25/2010 9:30:16 AM |
| cctestb | Track changed from 1 to 3 | 3/25/2010 9:30:11 AM |
| cctestb | Track changed from 2 to 1 | 3/25/2010 9:30:06 AM |
| cctestb | Track changed from not set to 2 | 3/24/2010 12:56:21 PM |
| SONOFA | Track changed from 2 to not set | 5/4/2010 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.

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

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

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

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

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

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

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

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

**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.

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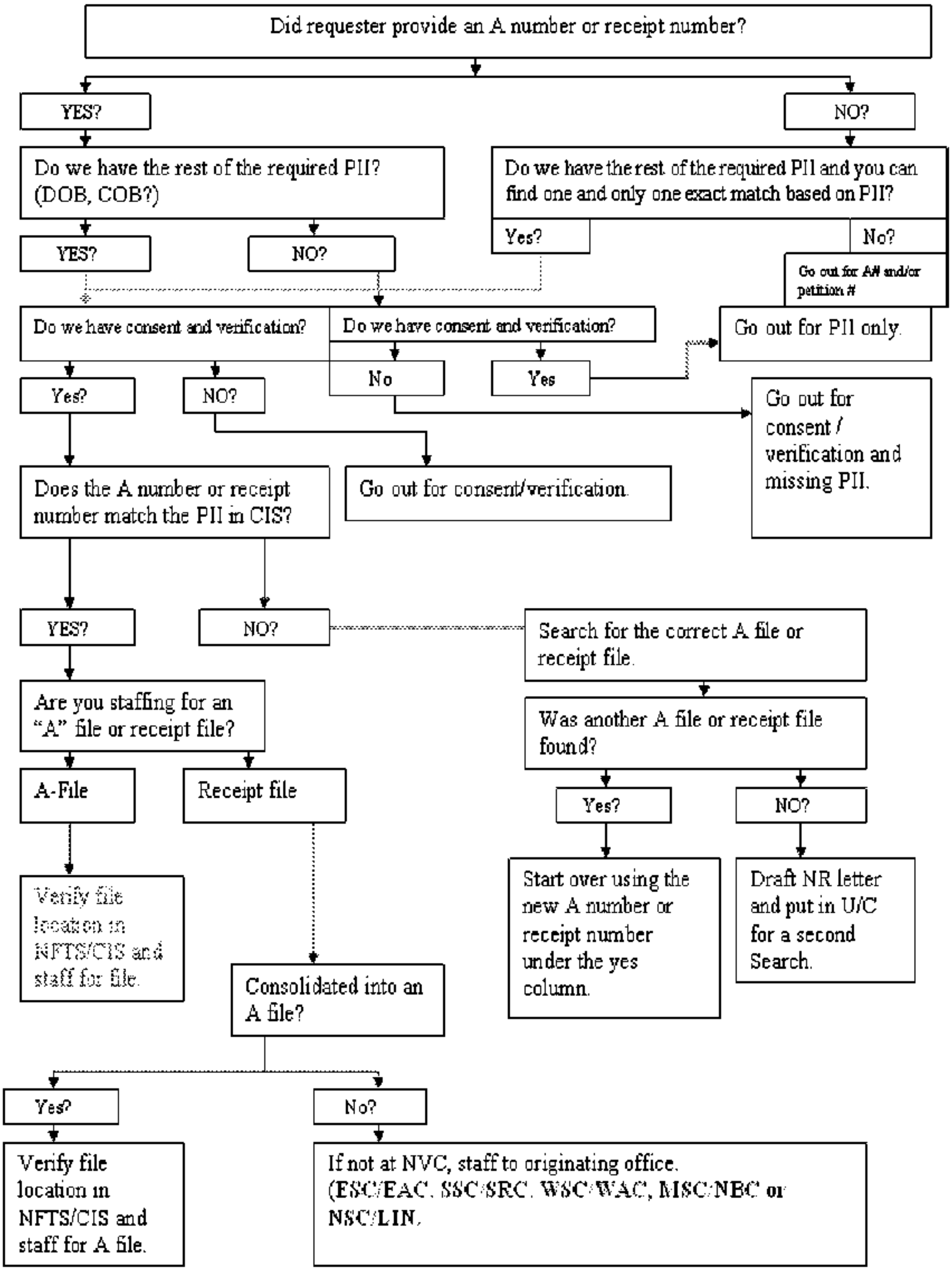
# APPENDIX H: CASE CREATE FLOW CHARTS

## Case Create Flow Chart for All my records.


Did requester provide an A number or receipt number?
YES?
NO?
Do we have the rest of the required PII? (DOB, COB?)
Do we have the rest of the required PII and you can find one and only one exact match based on PII?
YES?
NO?
Yes?
No?
Go out for A# and/or petition #
Do we have consent and verification?
Do we have consent and verification?
Go out for PII only.
Yes?
NO?
No
Yes
Go out for consent / verification and missing PII.
Does the A number or receipt number match the PII in CIS?
Go out for consent/verification.
YES?
NO?
Search for the correct A file or receipt file.
Are you staffing for an "A" file or receipt file?
Was another A file or receipt file found?
A-File
Receipt file
Yes?
NO?
Verify file location in NFTS/CIS and staff for file.
Start over using the new A number or receipt number under the yes column.
Draft NR letter and put in U/C for a second Search.
Consolidated into an A file?
Yes?
No?
Verify file location in NFTS/CIS and staff for A file.
If not at NVC, staff to originating office. (ESC/EAC, SSC/SRC, WSC/WAC, MSC/NBC or NSC/LIN.

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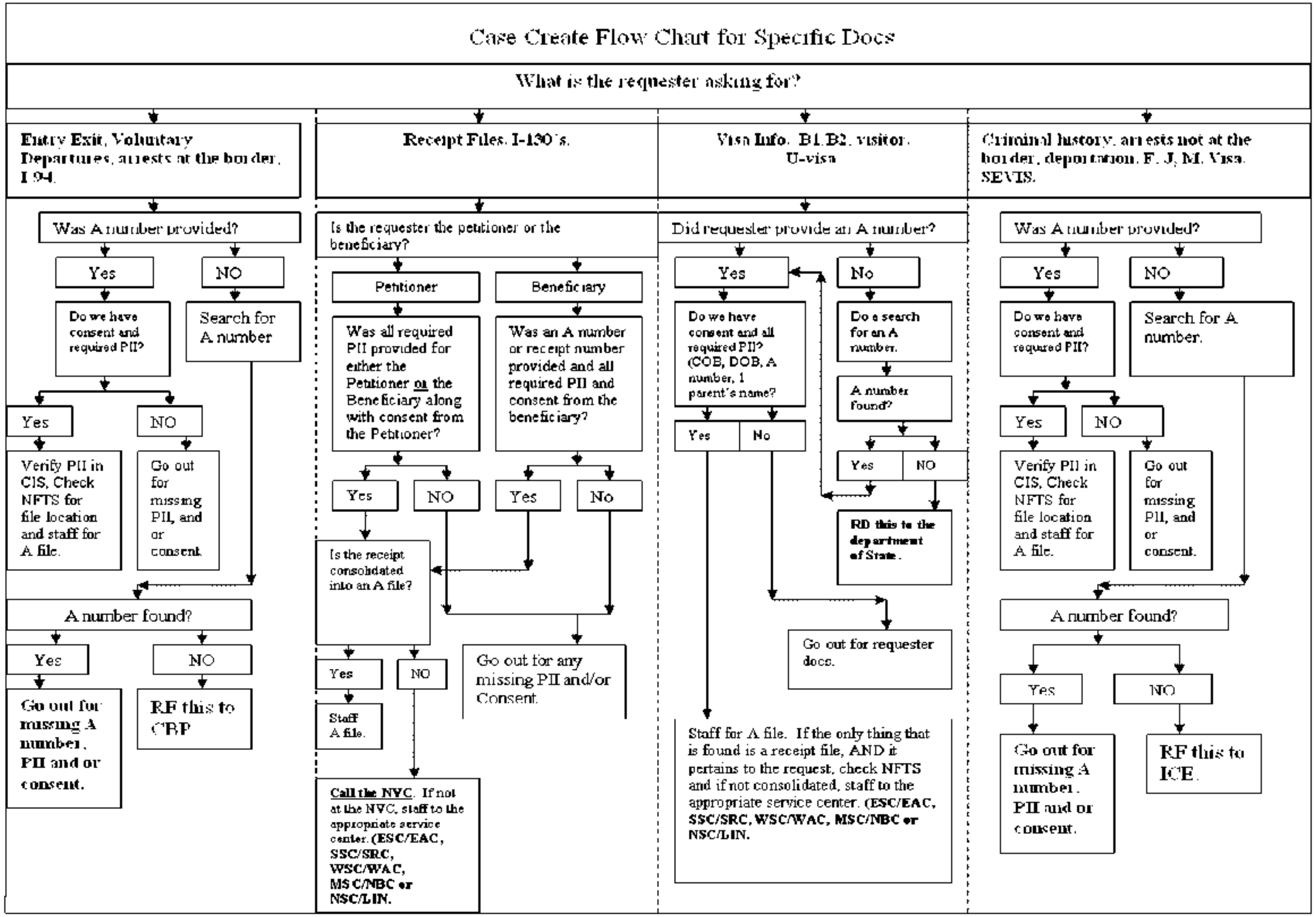
Case Create Flow Chart for Specific Docs
What is the requester asking for?
Entry Exit, Voluntary Departures, arrests at the border, I 94.
Was A number provided?
Yes
NO
Do we have consent and required PII?
Search for A number
Yes
NO
Verify PII in CIS, Check NFTS for file location and staff for A file.
Go out for missing PII, and or consent.
A number found?
Yes
NO
Go out for missing A number, PII and or consent.
RF this to CBP
Receipt Files. I-130's.
Is the requester the petitioner or the beneficiary?
Petitioner
Beneficiary
Was all required PII provided for either the Petitioner or the Beneficiary along with consent from the Petitioner?
Was an A number or receipt number provided and all required PII and consent from the beneficiary?
Yes
NO
Yes
No
Is the receipt consolidated into an A file?
Yes
NO
Staff A file.
Call the NVC. If not at the NVC, staff to the appropriate service center. (ESC/EAC, SSC/SRC, WSC/WAC, MSC/NBC or NSC/LIN.
Go out for any missing PII and/or Consent.
Visa Info. B1.B2. visitor. U-visa
Did requester provide an A number?
Yes
No
Do we have consent and all required PII? (COB, DOB, A number, 1 parent's name?
Yes
No
Do a search for an A number.
A number found?
Yes
NO
RD this to the department of State.
Go out for requester docs.
Staff for A file. If the only thing that is found is a receipt file, AND it pertains to the request, check NFTS and if not consolidated, staff to the appropriate service center. (ESC/EAC, SSC/SRC, WSC/WAC, MSC/NBC or NSC/LIN.
Criminal history, arrests not at the border, deportation. F, J, M. Visa. SEVIS.
Was A number provided?
Yes
NO
Do we have consent and required PII?
Search for A number.
Yes
NO
Verify PII in CIS, Check NFTS for file location and staff for A file.
Go out for missing PII, and or consent.
A number found?
Yes
NO
Go out for missing A number, PII and or consent.
RF this to ICE.

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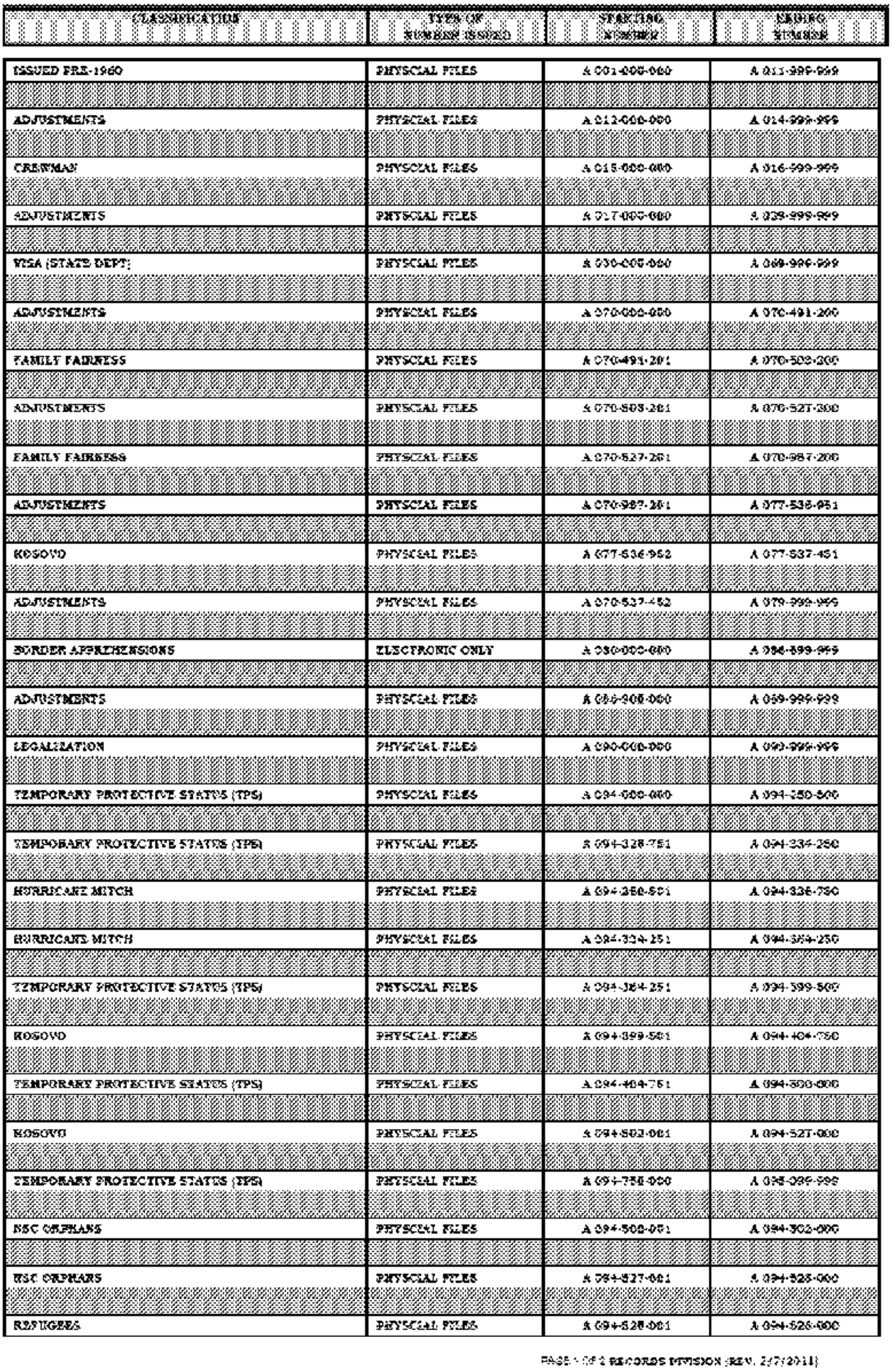
# APPENDIX I: ALIEN NUMBER ASSIGNMENT



| CLASSIFICATION | TYPE OF NUMBER ISSUED | STARTING NUMBER | ENDING NUMBER |
|---|---|---|---|
| ISSUED PRE-1960 | PHYSCIAL FILES | A 001-000-000 | A 011-999-999 |
| ADJUSTMENTS | PHYSCIAL FILES | A 012-000-000 | A 014-999-999 |
| CREWMAN | PHYSCIAL FILES | A 015-000-000 | A 016-999-999 |
| ADJUSTMENTS | PHYSCIAL FILES | A 017-000-000 | A 029-999-999 |
| VISA (STATE DEPT) | PHYSCIAL FILES | A 030-000-000 | A 069-999-999 |
| ADJUSTMENTS | PHYSCIAL FILES | A 070-000-000 | A 070-491-200 |
| FAMILY FAIRNESS | PHYSCIAL FILES | A 070-491-201 | A 070-503-200 |
| ADJUSTMENTS | PHYSCIAL FILES | A 070-503-201 | A 070-527-200 |
| FAMILY FAIRNESS | PHYSCIAL FILES | A 070-527-201 | A 070-987-200 |
| ADJUSTMENTS | PHYSCIAL FILES | A 070-987-201 | A 077-536-951 |
| KOSOVO | PHYSCIAL FILES | A 077-536-952 | A 077-537-451 |
| ADJUSTMENTS | PHYSCIAL FILES | A 077-537-452 | A 079-999-999 |
| BORDER APPREHENSIONS | ELECTRONIC ONLY | A 080-000-000 | A 086-899-999 |
| ADJUSTMENTS | PHYSCIAL FILES | A 086-900-000 | A 089-999-999 |
| LEGALIZATION | PHYSCIAL FILES | A 090-000-000 | A 093-999-999 |
| TEMPORARY PROTECTIVE STATUS (TPS) | PHYSCIAL FILES | A 094-000-000 | A 094-250-500 |
| TEMPORARY PROTECTIVE STATUS (TPS) | PHYSCIAL FILES | A 094-328-751 | A 094-334-250 |
| HURRICANE MITCH | PHYSCIAL FILES | A 094-250-501 | A 094-328-750 |
| HURRICANE MITCH | PHYSCIAL FILES | A 094-334-251 | A 094-364-250 |
| TEMPORARY PROTECTIVE STATUS (TPS) | PHYSCIAL FILES | A 094-364-251 | A 094-399-500 |
| KOSOVO | PHYSCIAL FILES | A 094-399-501 | A 094-404-750 |
| TEMPORARY PROTECTIVE STATUS (TPS) | PHYSCIAL FILES | A 094-404-751 | A 094-500-000 |
| KOSOVO | PHYSCIAL FILES | A 094-502-001 | A 094-527-000 |
| TEMPORARY PROTECTIVE STATUS (TPS) | PHYSCIAL FILES | A 094-750-000 | A 095-099-999 |
| NSC ORPHANS | PHYSCIAL FILES | A 094-500-001 | A 094-502-000 |
| NSC ORPHANS | PHYSCIAL FILES | A 094-527-001 | A 094-528-000 |
| REFUGEES | PHYSCIAL FILES | A 094-528-001 | A 094-626-000 |

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| CLASSIFICATION | TYPE OF NUMBER ISSUED | STARTING NUMBER | ENDING NUMBER |
|---|---|---|---|
| | | | |
| REFUGEES | PHYSCIAL FILES | A 094-636-001 | A 094-749-999 |
| | | | |
| ADJUSTMENTS | PHYSCIAL FILES | A 095-100-000 | A 096-749-999 |
| | | | |
| LIFE ACT | PHYSCIAL FILES | A 096-750-000 | A 096-999-999 |
| | | | |
| ADJUSTMENTS | PHYSCIAL FILES | A 097-000-000 | A 098-099-999 |
| | | | |
| ADJUSTMENTS | PHYSCIAL FILES | A 098-100-000 | A 099-099-999 |
| | | | |
| ADJUSTMENTS | PHYSCIAL FILES | A 099-100-000 | A 099-299-999 |
| | | | |
| ADJUSTMENTS | PHYSCIAL FILES | A 099-300-000 | A 099-999-999 |
| | | | |
| EMPLOYMENT AUTHORIZATION DOCUMENT (EAD) | ELECTRONIC ONLY | A 100-000-000 | A 199-999-999 |
| | | | |
| ADJUSTMENTS | PHYSCIAL FILES | A 200-000-000 | A 203-999-999 |
| | | | |
| NOT ISSUED | NOT ISSUED | A 204-000-000 | A 2049-999-999 |
| | | | |
| ADJUSTMENTS | PHYSCIAL FILES | A 205-000-000 | A 205-999-999 |
| | | | |
| NOT ISSUED | NOT ISSUED | A 206-000-000 | A 209-000-000 |
| | | | |
| ADJUSTMENTS | PHYSCIAL FILES | A 210-000-000 | A 211-999-999 |
| | | | |
| REFUGEES | PHYSCIAL FILES | A 212-000-000 | A 213-399-999 |
| | | | |
| ADJUSTMENTS | NOT ISSUED | A 213-400-000 | A 299-999-999 |
| | | | |
| NOT ISSUED | NOT ISSUED | A 300-000-000 | A 300-299-999 |
| | | | |
| ADJUSTMENT | PHYSCIAL 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 offices issuing such cards.

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

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

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

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

PAGE 2 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?** 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.

---

***Paragraph*** 12.7.11 T-files *of the **FOIA/PA Assistant's Guide** has been changed* (changed portion is underlined):

**The exception to this rule** – We do not receive A-files from ESC, SSC, NSC, WSC or RDF for scanning. Those offices either scan directly into FIPS for us or we export the A-file from EDMS. Therefore, if the A-file is at one of the above service centers and there is a T-file anywhere else, including at the NRC, you will have to staff for the T-file. MSC is the only service center that sends the A-file to the NRC for scanning. Another example of when we staff for an in-house T-file is when the responsive records are scanned in simultaneously with the request.

---

***Paragraph*** 12.7.3 Files Lost or Not Found MORE THAN NINE MONTHS *of the **FOIA/PA Assistant's Guide** has been changed* (changed portion is underlined):

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12.7.3.9 **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 XXXXXXXXX is currently showing as lost. Staffed for the following additional files: XXXXXXX, XXXXXXX, XXXXXXX. Once they are received, please review. Please also verify that the original a-file is still lost. If the original a-file has been consolidated in fact but not in the systems, please process and send your case to approver. Also send an e-mail to the MSB for resolution. Include both a-numbers. If no documents exist from the original a-file, please process what is available. Advise the requester that the original a-file is lost. Your case will close as a PD even if no redactions are made. Thank you.

---

**APPENDIX H: CASE CREATE FLOW CHARTS** has been added to the FOIA/PA Assistant's Guide.

---

**APPENDIX I: ALIEN NUMBER ASSIGNMENT** has been added to the FOIA/PA Assistant's Guide.

May 13, 2011

Paragraph 12.7.6 of the **FOIA/PA Assistant's Guide** has been changed as follows (added portion underlined ~~deleted portion stricken through~~):

> When conducting "no record" research, do the query and provide screen prints of all searches as directed. ~~Open a RAFACS (*not RAFACS/CIS*) staffing slot only. Click on "Customize Letter."~~ Print the appropriate CLAIMS screen prints (this should be no less than six pages and may be lengthier if subject has provided multiple names or multiple alias names). Prepare a "Scan As" sheet to be scanned as 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

**12.7.12.1** Do not request receipt files from any offices other than one of the five Service Centers (ESC/EAC, SSC/**SRC, WSC/WAC, MSC/NBC or NSC/LIN**). For example, LOSJ9163201111, DALC922740405 or SPM9606900035, etc., are not receipt files we can request.

**12.7.12.2** If the requester does not specifically ask for a receipt file and provides an alien number, request the alien file only. If the requester specifies a receipt file, search NFTS and staff for that receipt file OR if the receipt has been consolidated into an alien file, staff for that alien file.

**12.7.12.3** If the requester does not provide any receipt number or alien number, then you must research CIS, CLAIMS and ~~possibly~~ PCQS.

Be cautious about requesting receipt files that are for EAD cards only. There should be another application/petition filed in conjunction with this EAD card. If the only receipt numbers you can find is for an EAD card, and they are within the seven-year retention time, then yes, you will request the EAD card.

If they provide a receipt number, you must research CLAIMS, 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.

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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 statue 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.

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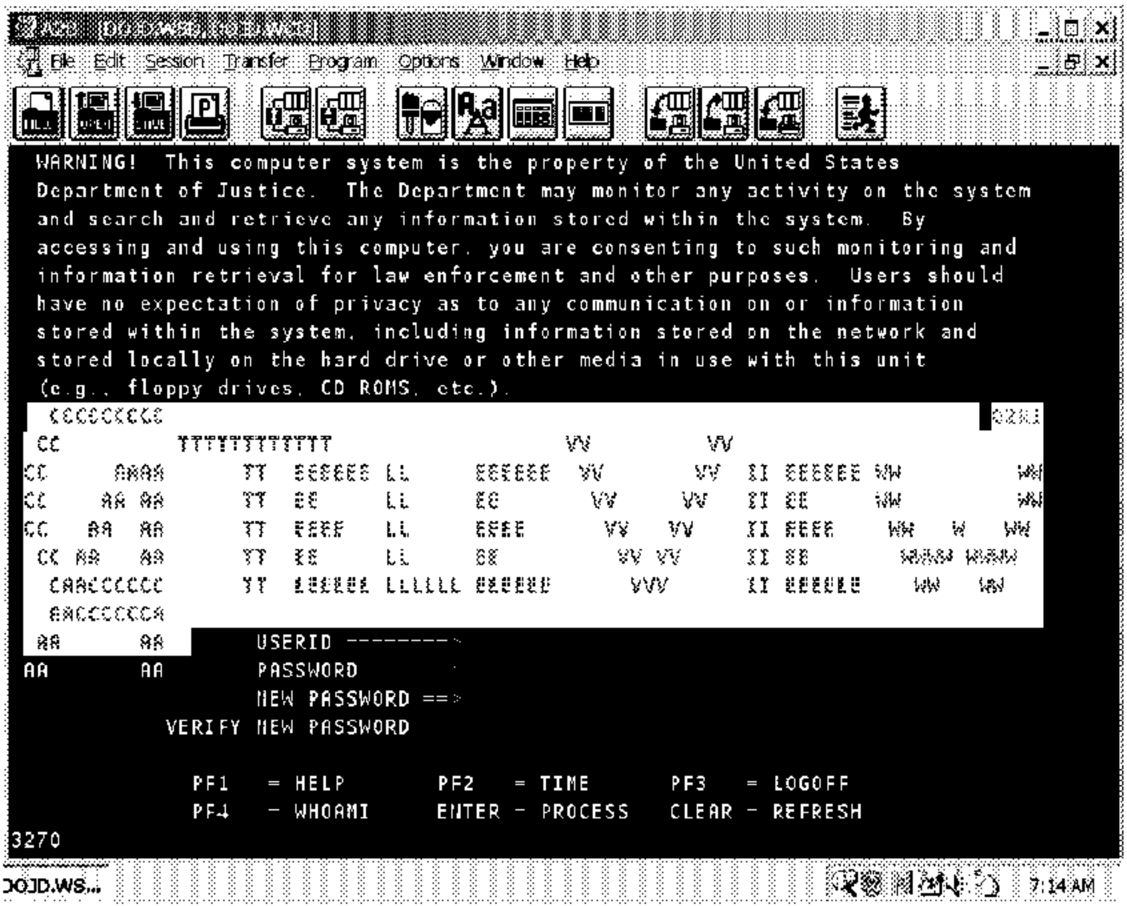
# 5. SYSTEMS USED AND DESCRIPTION OF THE SYSTEMS

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

## 5.1 Central Index System

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

### *5.1.1 Introduction Screen*



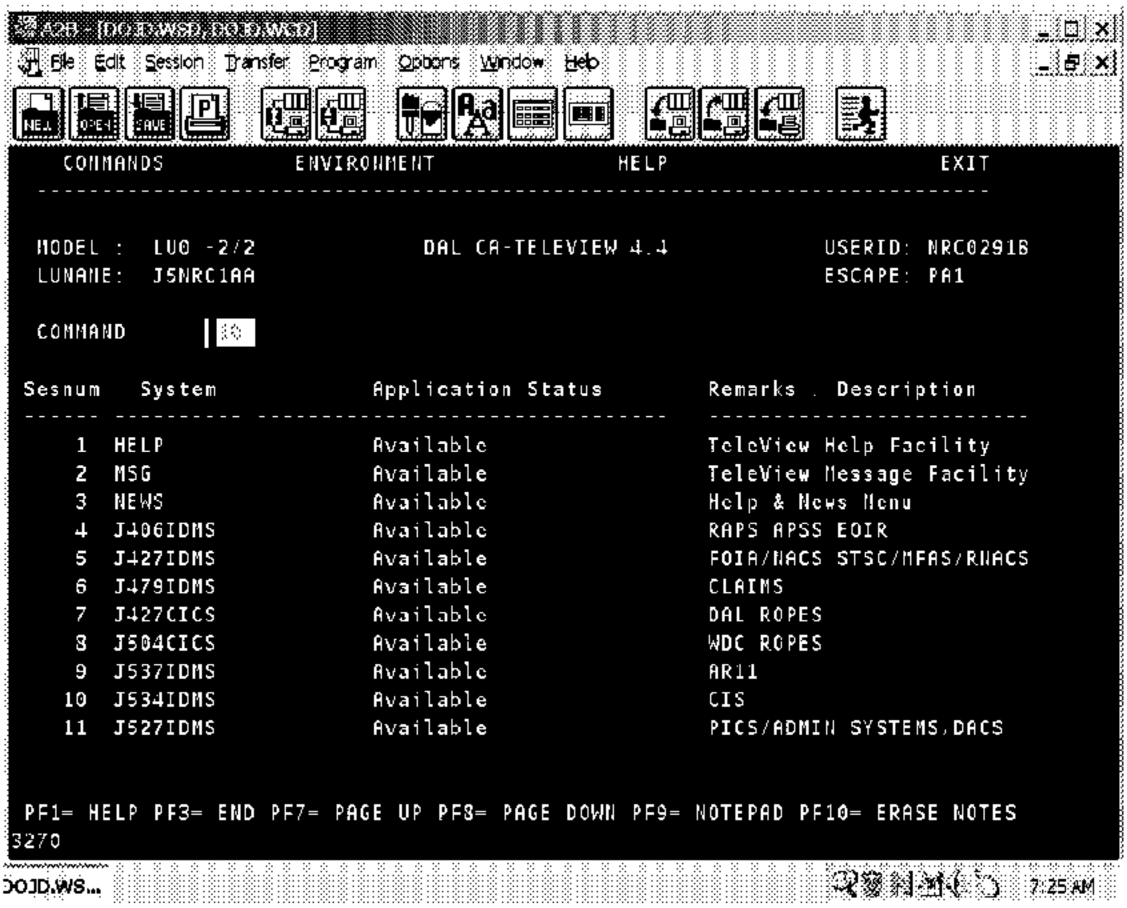
```
WARNING!  This computer system is the property of the United States
Department of Justice.  The Department may monitor any activity on the system
and search and retrieve any information stored within the system.  By
accessing and using this computer, you are consenting to such monitoring and
information retrieval for law enforcement and other purposes.  Users should
have no expectation of privacy as to any communication on or information
stored within the system, including information stored on the network and
stored locally on the hard drive or other media in use with this unit
(e.g., floppy drives, CD ROMS, etc.).

                USERID -------->
                PASSWORD
                NEW PASSWORD ==>
          VERIFY NEW PASSWORD

            PF1   = HELP       PF2   = TIME      PF3   = LOGOFF
            PF4   - WHOAMI     ENTER - PROCESS   CLEAR - REFRESH
```

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*


A2B - [DOJD.WSD, DOJD.WSD]
File Edit Session Transfer Program Options Window Help
NEW
OPEN
SAVE
DOJD.WS...
7:25 AM

```
   COMMANDS            ENVIRONMENT                HELP                     EXIT
  -----------------------------------------------------------------------------


  MODEL :   LU0 -2/2             DAL CA-TELEVIEW 4.4              USERID: NRC0291B
  LUNAME:   J5NRC1AA                                              ESCAPE: PA1

  COMMAND        10

 Sesnum   System              Application Status         Remarks . Description
 ------ ---------- -------------------------------      ------------------------
     1  HELP                  Available                  TeleView Help Facility
     2  MSG                   Available                  TeleView Message Facility
     3  NEWS                  Available                  Help & News Menu
     4  J406IDMS              Available                  RAPS APSS EOIR
     5  J427IDMS              Available                  FOIA/NACS STSC/MFAS/RNACS
     6  J479IDMS              Available                  CLAIMS
     7  J427CICS              Available                  DAL ROPES
     8  J504CICS              Available                  WDC ROPES
     9  J537IDMS              Available                  AR11
    10  J534IDMS              Available                  CIS
    11  J527IDMS              Available                  PICS/ADMIN SYSTEMS,DACS


 PF1= HELP PF3= END PF7= PAGE UP PF8= PAGE DOWN PF9= NOTEPAD PF10= ERASE NOTES
3270
```

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

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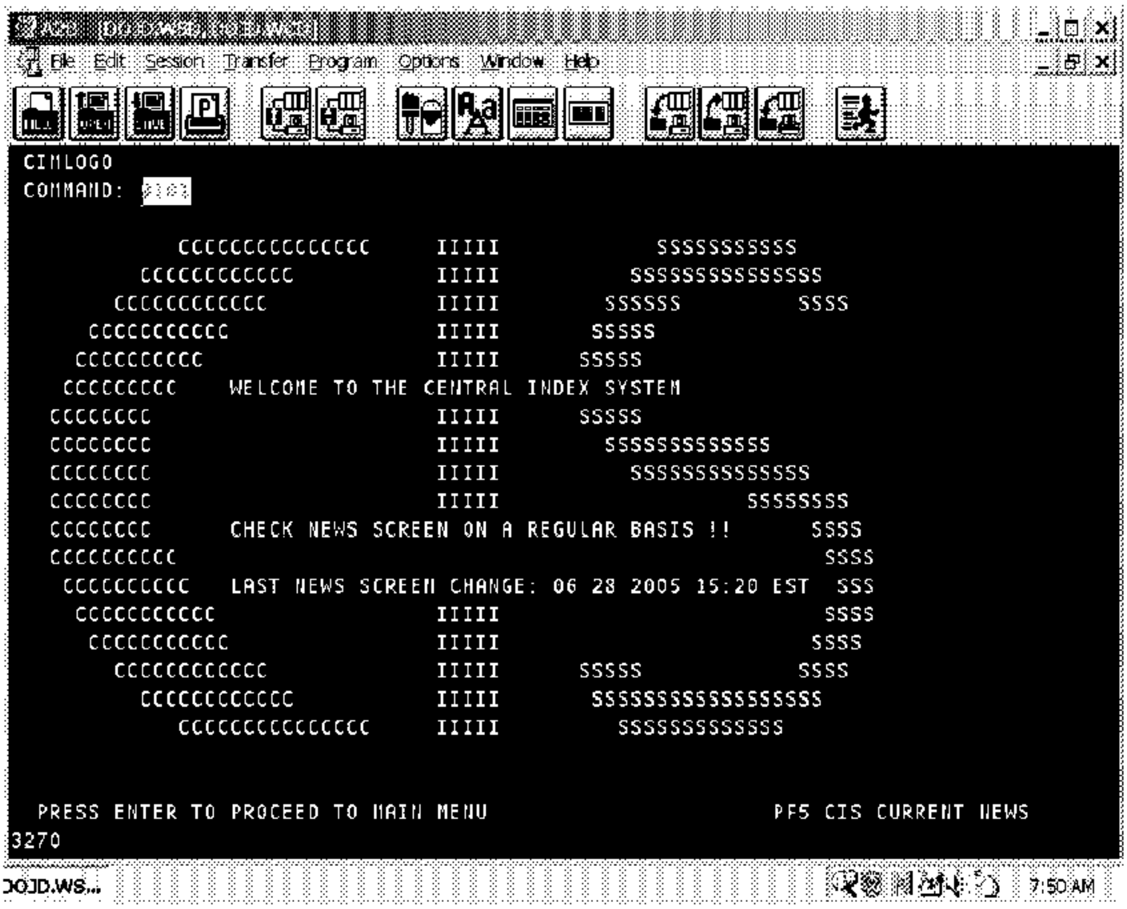
### *5.1.3 CIS Login Screen*



```
 CIMLOGO
 COMMAND:

             CCCCCCCCCCCCCCC     IIIII             SSSSSSSSSSS
          CCCCCCCCCCCC           IIIII          SSSSSSSSSSSSSSS
        CCCCCCCCCCCC             IIIII        SSSSSS         SSSS
      CCCCCCCCCCC                IIIII       SSSSS
     CCCCCCCCCC                  IIIII      SSSSS
    CCCCCCCCC    WELCOME TO THE CENTRAL INDEX SYSTEM
   CCCCCCCC                      IIIII      SSSSS
   CCCCCCCC                      IIIII        SSSSSSSSSSSSS
   CCCCCCCC                      IIIII          SSSSSSSSSSSSSS
   CCCCCCCC                      IIIII                   SSSSSSSS
   CCCCCCCC      CHECK NEWS SCREEN ON A REGULAR BASIS !!      SSSS
   CCCCCCCCCC                                                  SSSS
    CCCCCCCCCC   LAST NEWS SCREEN CHANGE: 06 28 2005 15:20 EST  SSS
     CCCCCCCCCCC                 IIIII                         SSSS
      CCCCCCCCCCC                IIIII                        SSSS
        CCCCCCCCCCCC             IIIII      SSSSS            SSSS
          CCCCCCCCCCCC           IIIII       SSSSSSSSSSSSSSSSSS
             CCCCCCCCCCCCCCC     IIIII         SSSSSSSSSSSSS


  PRESS ENTER TO PROCEED TO MAIN MENU                      PF5 CIS CURRENT NEWS
3270
```

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

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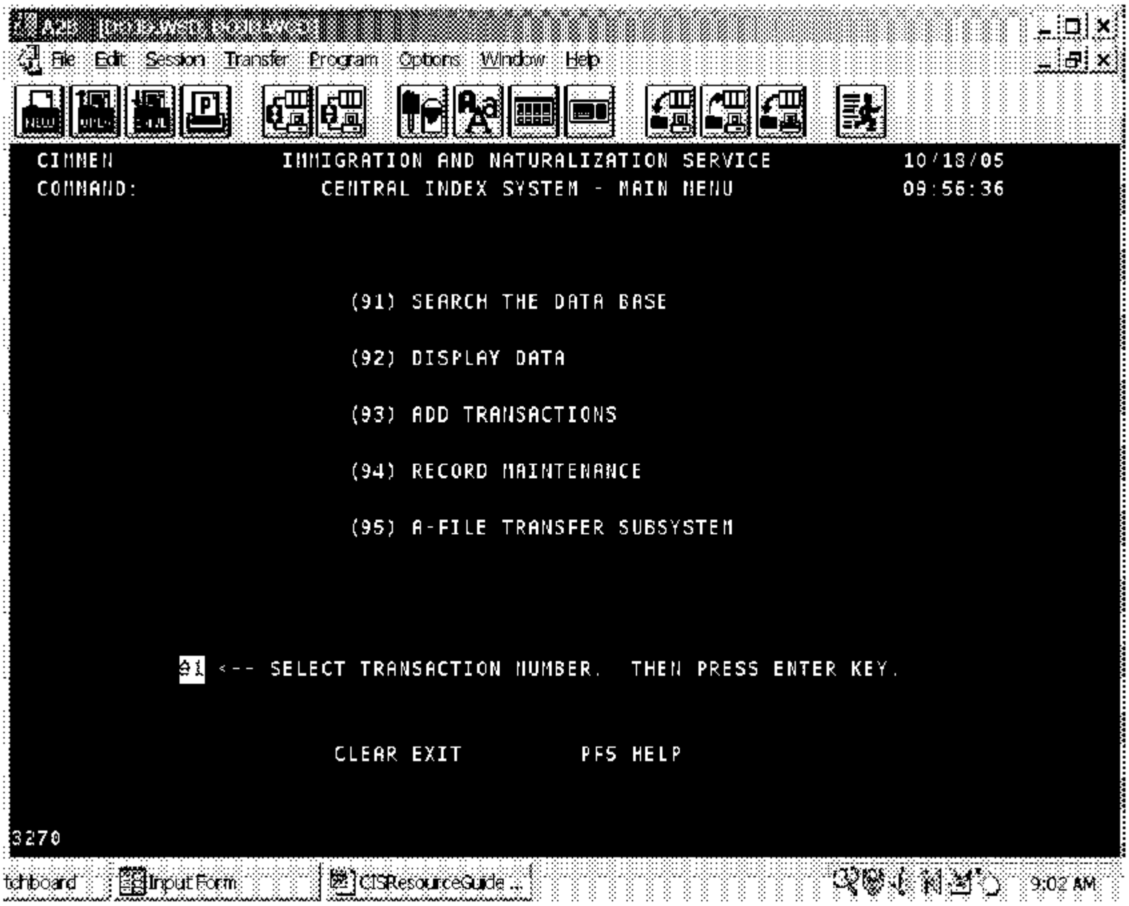
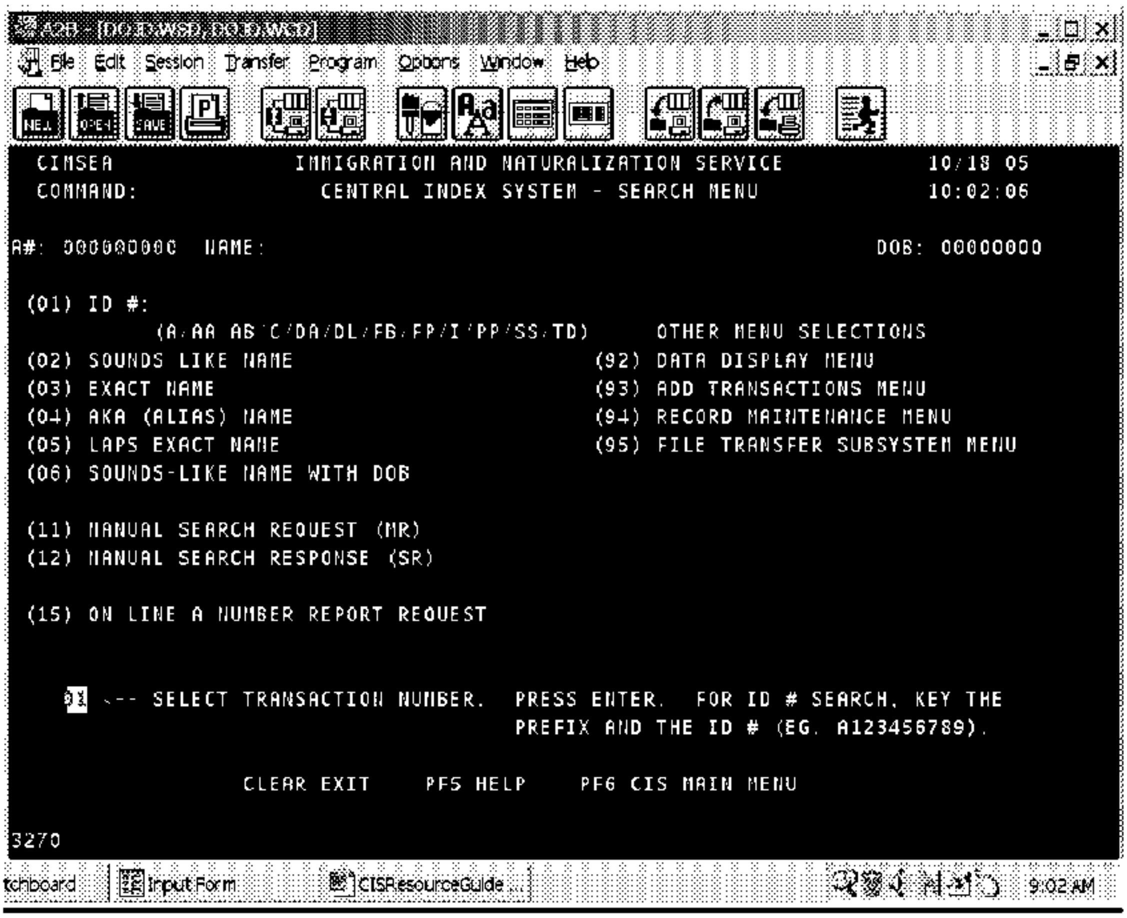
### *5.1.4 CIS Main Menu*



```
 CIMMEN              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          PF5 HELP

3270
```

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 - [DOJD.WSD, DOJD.WSD]
File Edit Session Transfer Program Options Window Help
NEW
OPEN
SAVE
tchboard
Input Form
CISResourceGuide ...
9:02 AM

```
 CIMSEA              IMMIGRATION AND NATURALIZATION SERVICE           10/18 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
```

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

| Code | Search By Category |
|---|---|
| 01 | ID # (A-number, certificate number, social security number, passport number ect.) |
| 02 | Sounds-Like Name Search |
| 03 | Exact Name Search |
| 04 | Alias (AKA) Name Search |
| 06 | Sounds-Like Name Search with DOB |

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

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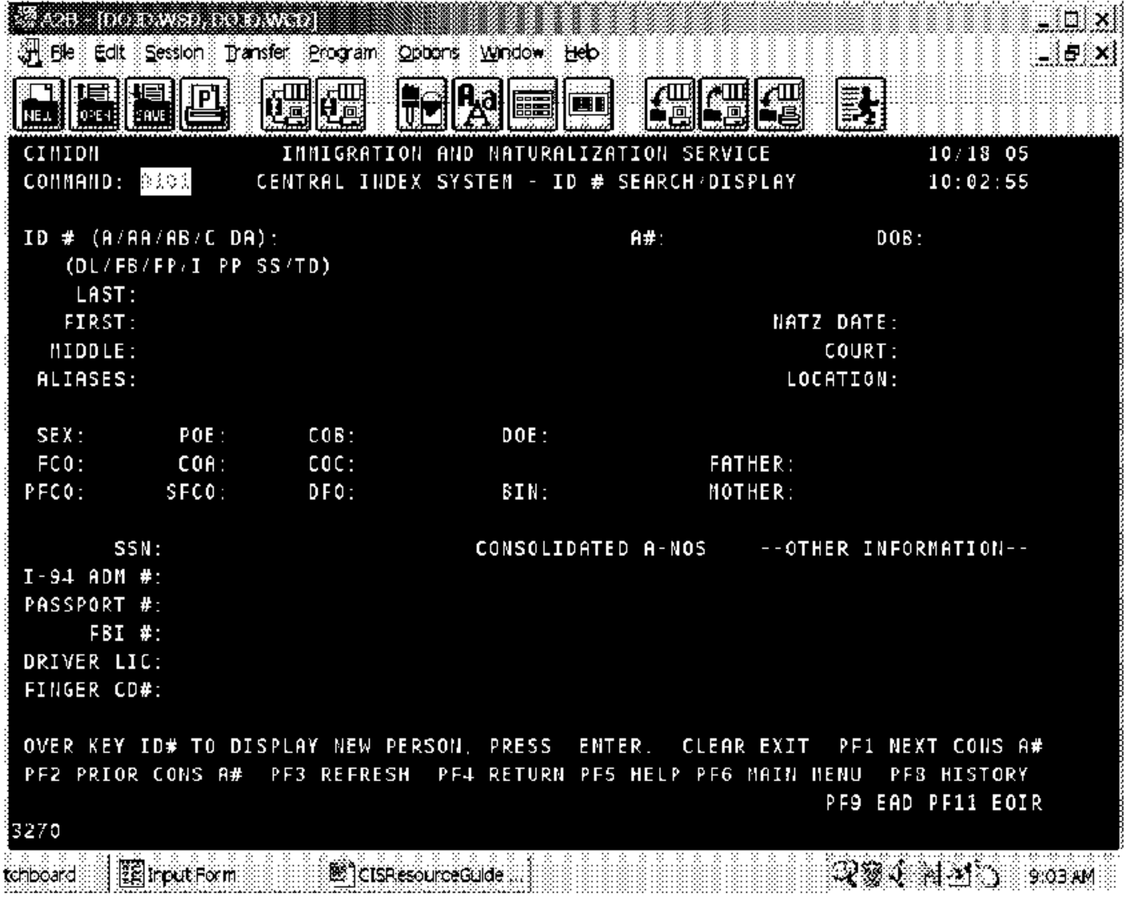
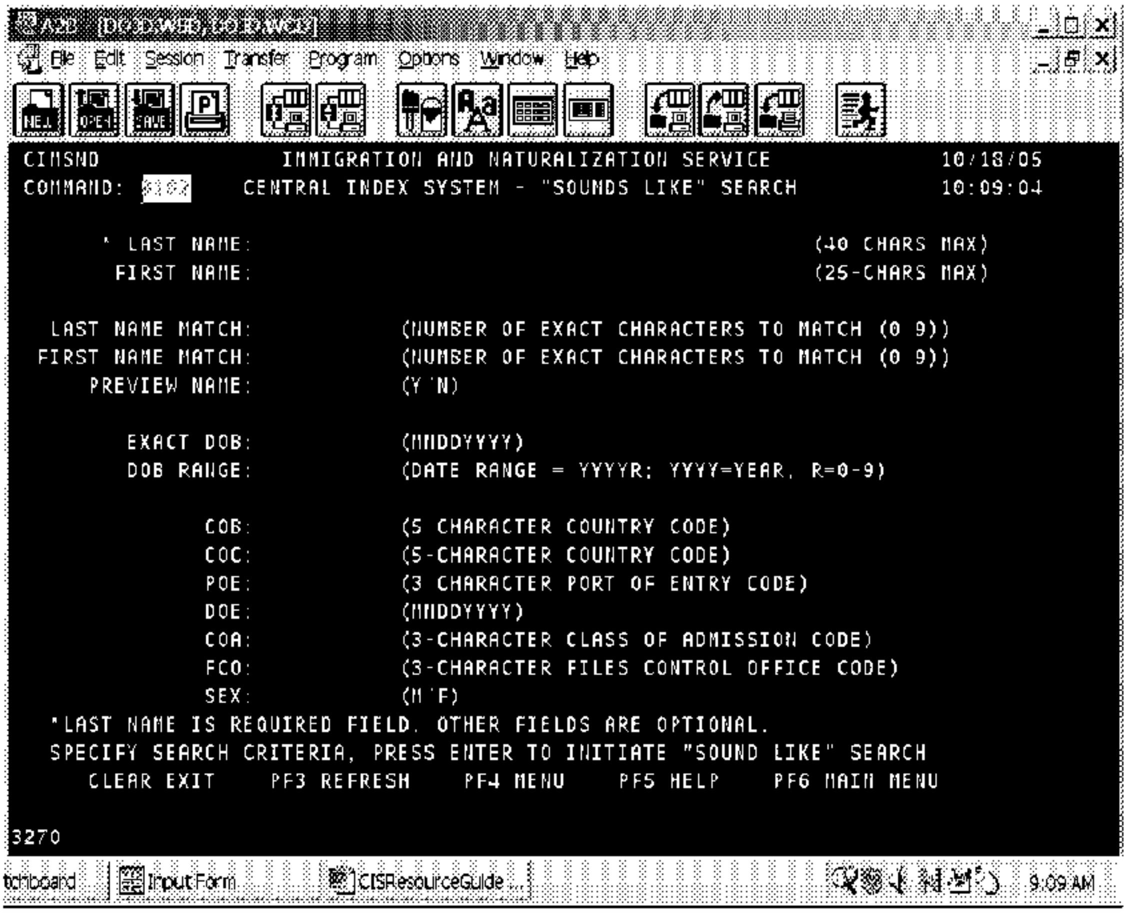
### 5.1.4.2 Search by A-number (9101)



```
CIMIDM             IMMIGRATION AND NATURALIZATION SERVICE              10/18 05
COMMAND: 9101      CENTRAL INDEX SYSTEM - ID # SEARCH/DISPLAY          10:02:55

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

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

       SSN:                          CONSOLIDATED A-NOS     --OTHER INFORMATION--
I-94 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
```

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.

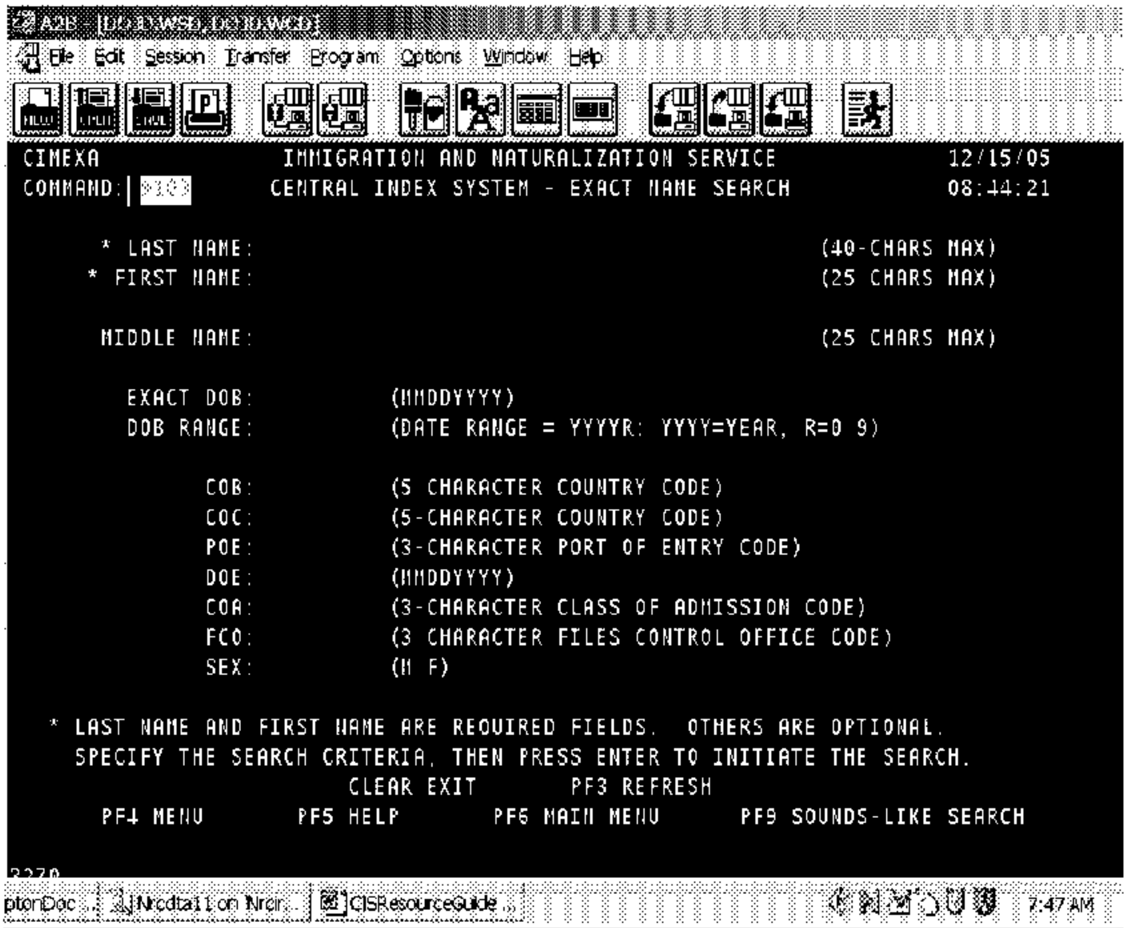
### *5.1.5 Sounds-Like Name Search (9102)*



```
 CIMSND              IMMIGRATION AND NATURALIZATION SERVICE              10/18/05
 COMMAND: 9102       CENTRAL INDEX SYSTEM - "SOUNDS LIKE" SEARCH          10:09:04

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

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

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

                COB:           (5 CHARACTER COUNTRY CODE)
                COC:           (5-CHARACTER COUNTRY CODE)
                POE:           (3 CHARACTER PORT OF ENTRY CODE)
                DOE:           (MMDDYYYY)
                COA:           (3-CHARACTER CLASS OF ADMISSION CODE)
                FCO:           (3-CHARACTER FILES CONTROL OFFICE CODE)
                SEX:           (M F)
   *LAST NAME IS REQUIRED FIELD. OTHER FIELDS ARE OPTIONAL.
   SPECIFY SEARCH CRITERIA, PRESS ENTER TO INITIATE "SOUND LIKE" SEARCH
      CLEAR EXIT    PF3 REFRESH    PF4 MENU    PF5 HELP    PF6 MAIN MENU

3270
```

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.

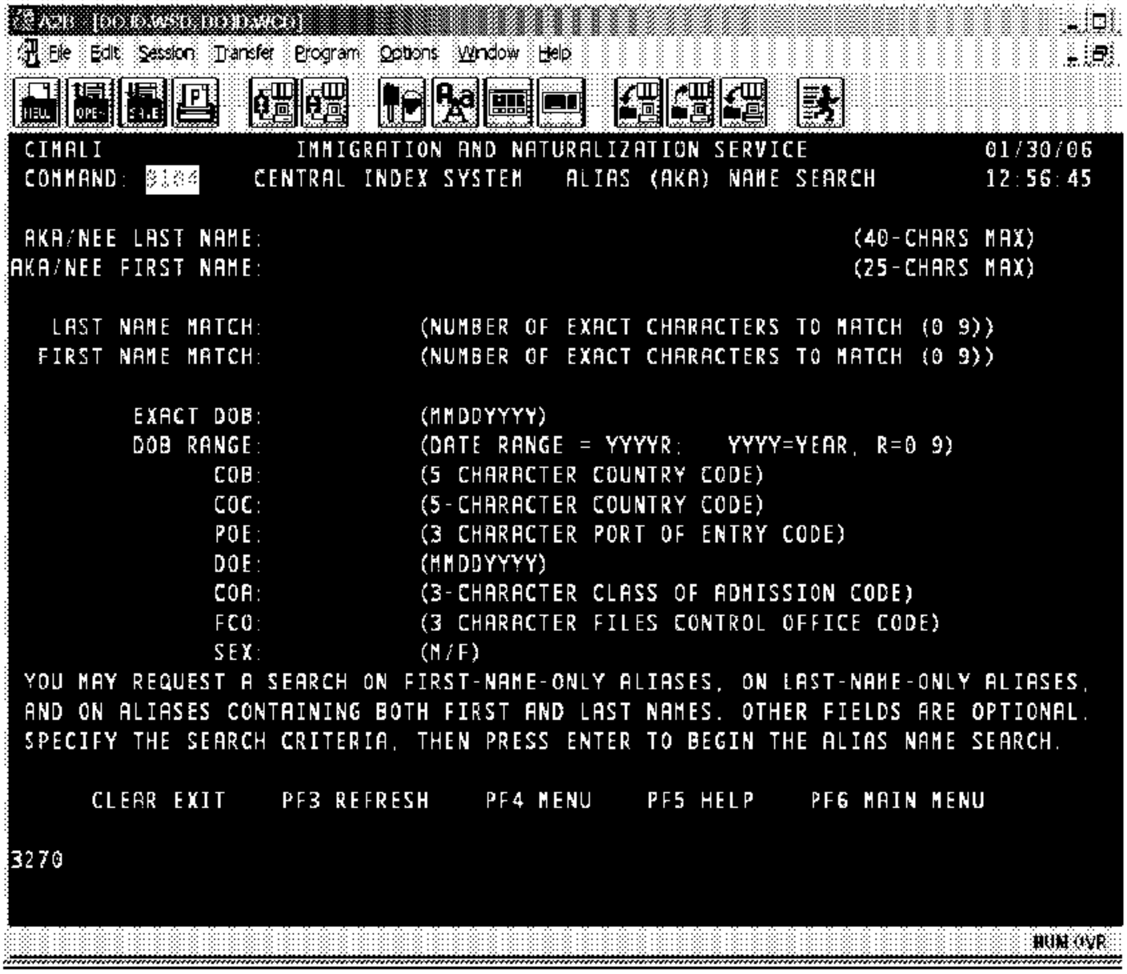
### 5.1.6 Exact Name Search (9103)



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

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

     MIDDLE NAME:                                          (25 CHARS MAX)

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

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

  * LAST NAME AND FIRST NAME ARE REQUIRED FIELDS.  OTHERS ARE OPTIONAL.
    SPECIFY THE SEARCH CRITERIA, THEN PRESS ENTER TO INITIATE THE SEARCH.
                      CLEAR EXIT       PF3 REFRESH
     PF4 MENU     PF5 HELP     PF6 MAIN MENU     PF9 SOUNDS-LIKE SEARCH

3270
```

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)*



```
 CIMALI                   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
```

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

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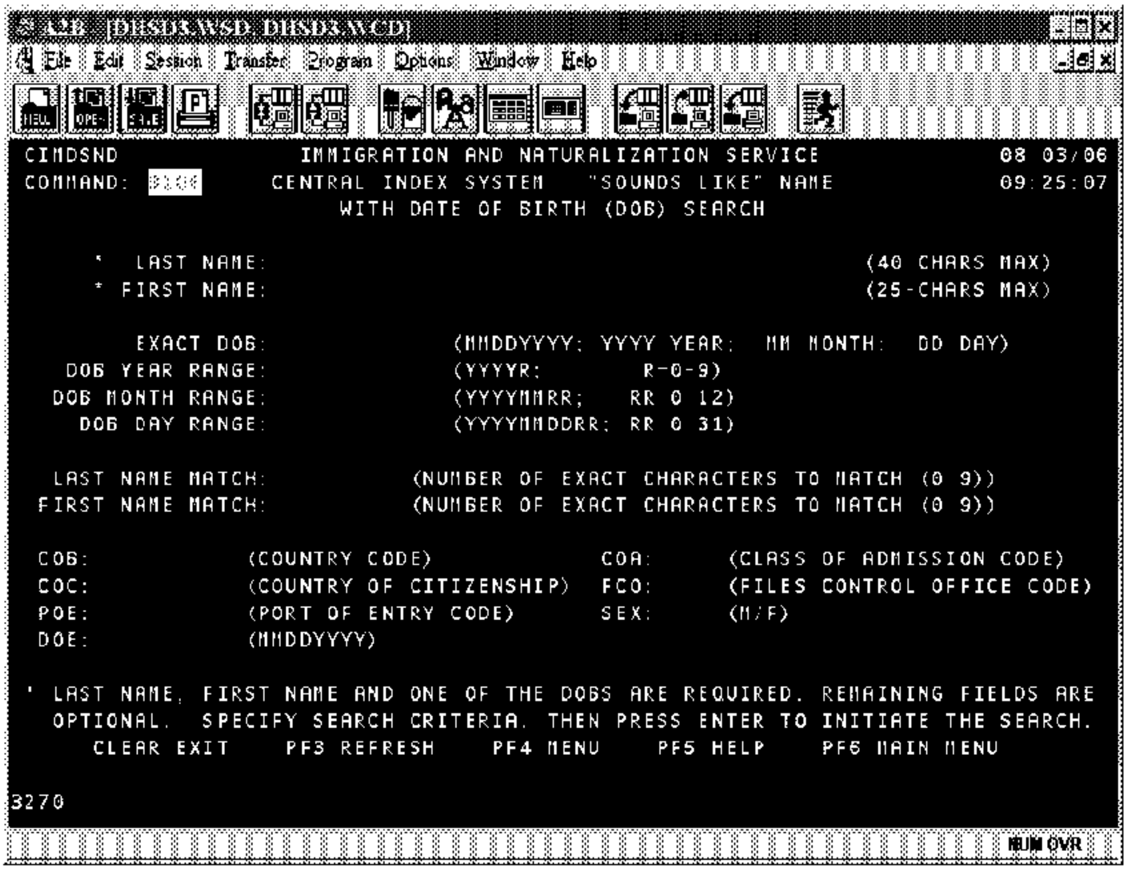
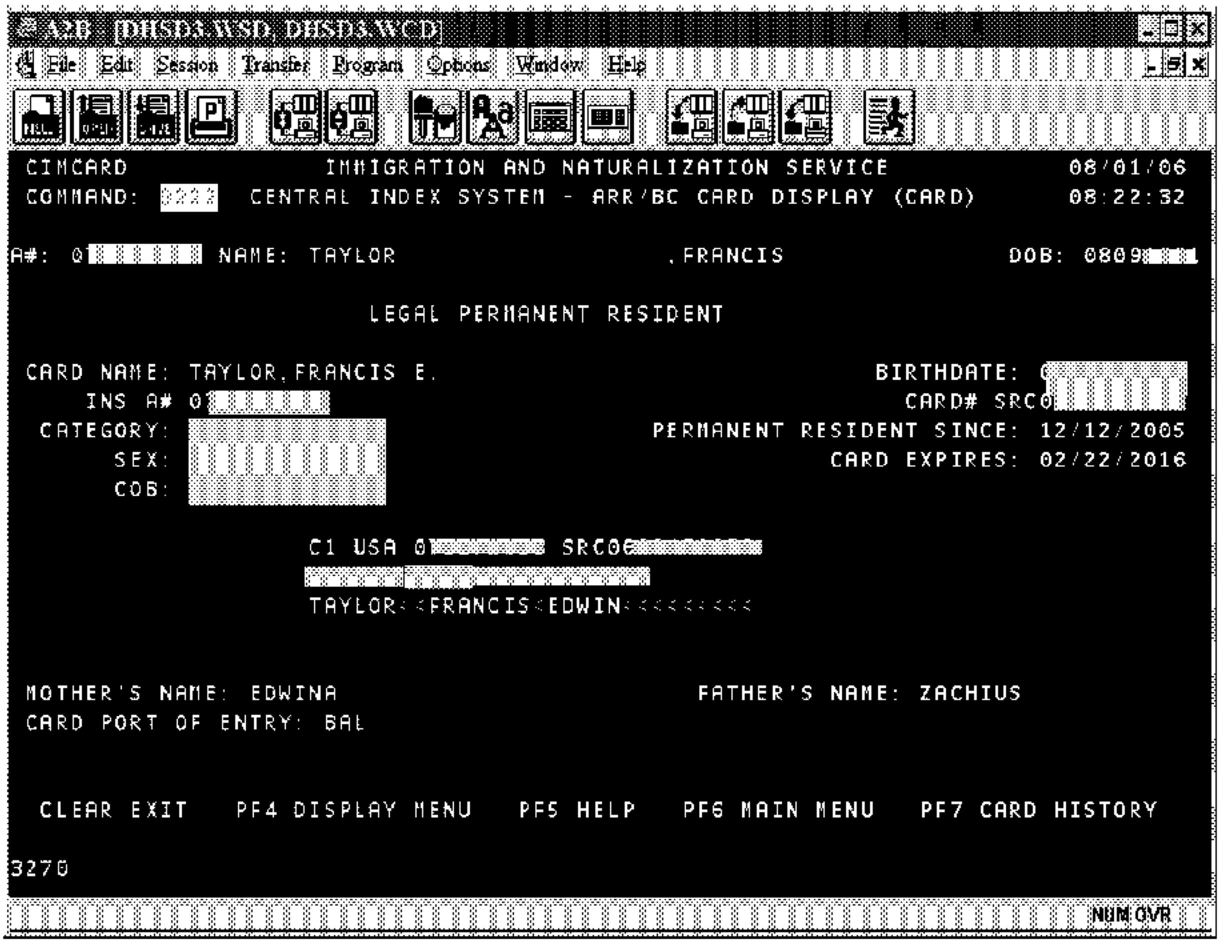
### *5.1.8 Sounds Like Name With Date of Birth (DOB) Search (9106)*



```
CIMDSND            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
```

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.

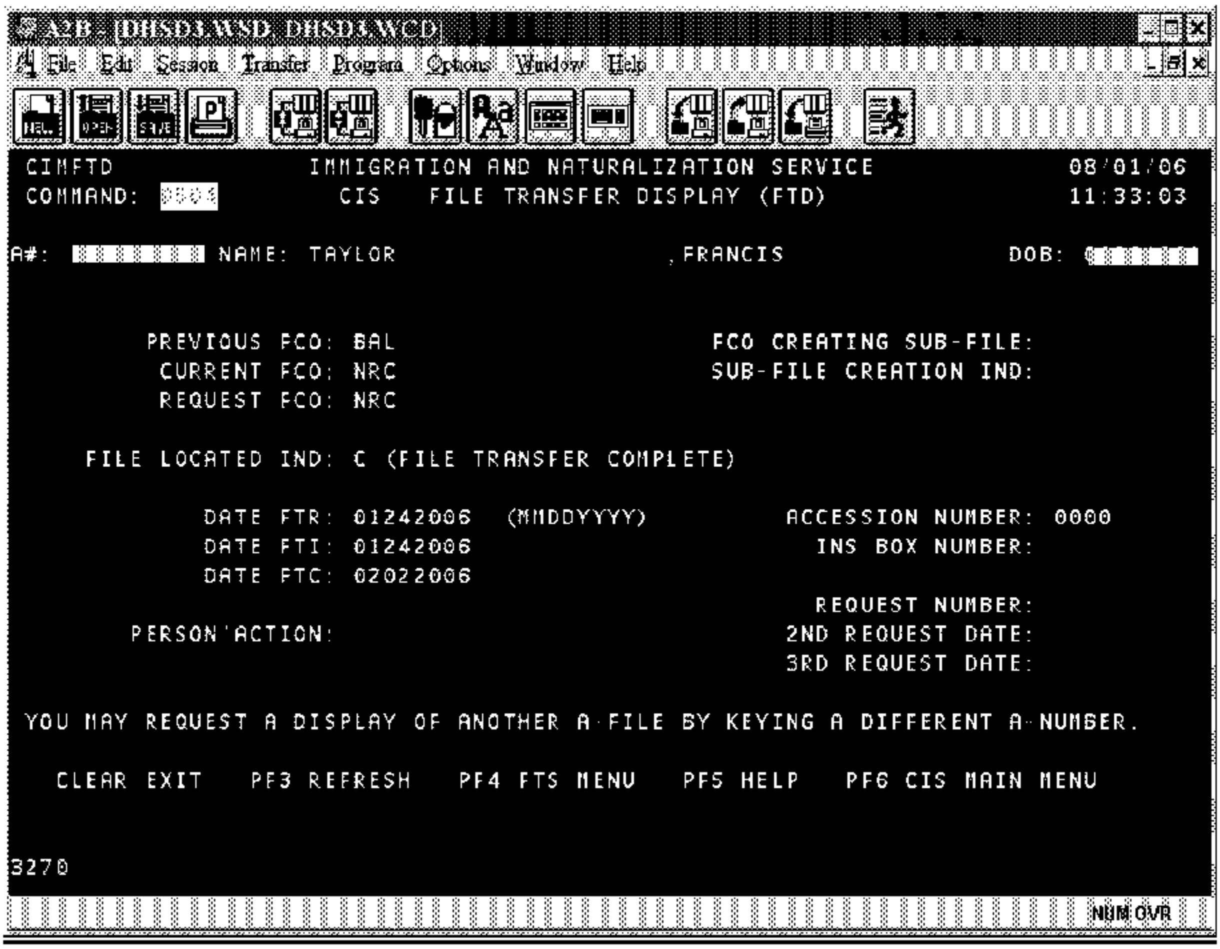
### *5.1.9 Card Search (9222)*


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

```
 CIMCARD              IMMIGRATION AND NATURALIZATION SERVICE              08/01/06
 COMMAND: [redacted]  CENTRAL INDEX SYSTEM - ARR/BC CARD DISPLAY (CARD)    08:22:32

A#: 0[redacted] NAME: TAYLOR                   ,FRANCIS              DOB: 0809[redacted]

                         LEGAL PERMANENT RESIDENT

 CARD NAME: TAYLOR,FRANCIS E.                            BIRTHDATE: [redacted]
     INS A# 0[redacted]                                     CARD# SRC0[redacted]
  CATEGORY: [redacted]                       PERMANENT RESIDENT SINCE: 12/12/2005
       SEX:                                             CARD EXPIRES: 02/22/2016
       COB:

                     C1 USA 0[redacted] SRC0[redacted]
                     [redacted]
                     TAYLOR<<FRANCIS<EDWIN<<<<<<<<

 MOTHER'S NAME: EDWINA                        FATHER'S NAME: ZACHIUS
 CARD PORT OF ENTRY: BAL

  CLEAR EXIT   PF4 DISPLAY MENU   PF5 HELP   PF6 MAIN MENU   PF7 CARD HISTORY

3270
```

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)*

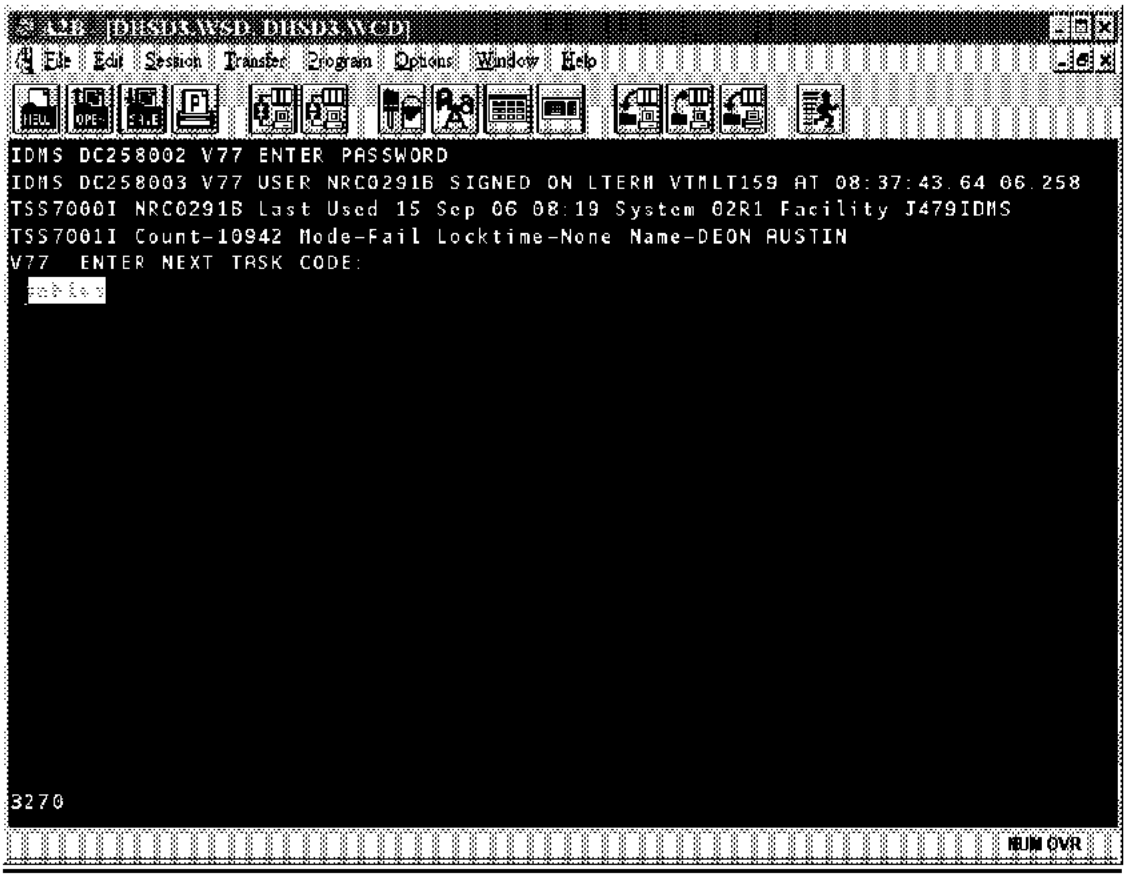


```
 CIMFTD              IMMIGRATION AND NATURALIZATION SERVICE              08/01/06
 COMMAND: 9504            CIS   FILE TRANSFER DISPLAY (FTD)              11:33:03

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


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

      FILE LOCATED IND: C (FILE TRANSFER COMPLETE)

              DATE FTR: 01242006  (MMDDYYYY)        ACCESSION NUMBER: 0000
              DATE FTI: 01242006                      INS BOX NUMBER:
              DATE FTC: 02022006
                                                      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
```

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***



```
IDMS DC258002 V77 ENTER PASSWORD
IDMS DC258003 V77 USER NRC0291B SIGNED ON LTERM VTMLT159 AT 08:37:43.64 06.258
TSS7000I NRC0291B Last Used 15 Sep 06 08:19 System 02R1 Facility J479IDMS
TSS7001I Count-10942 Mode-Fail Locktime-None Name-DEON AUSTIN
V77  ENTER NEXT TASK CODE:
 tables
3270
```

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**.

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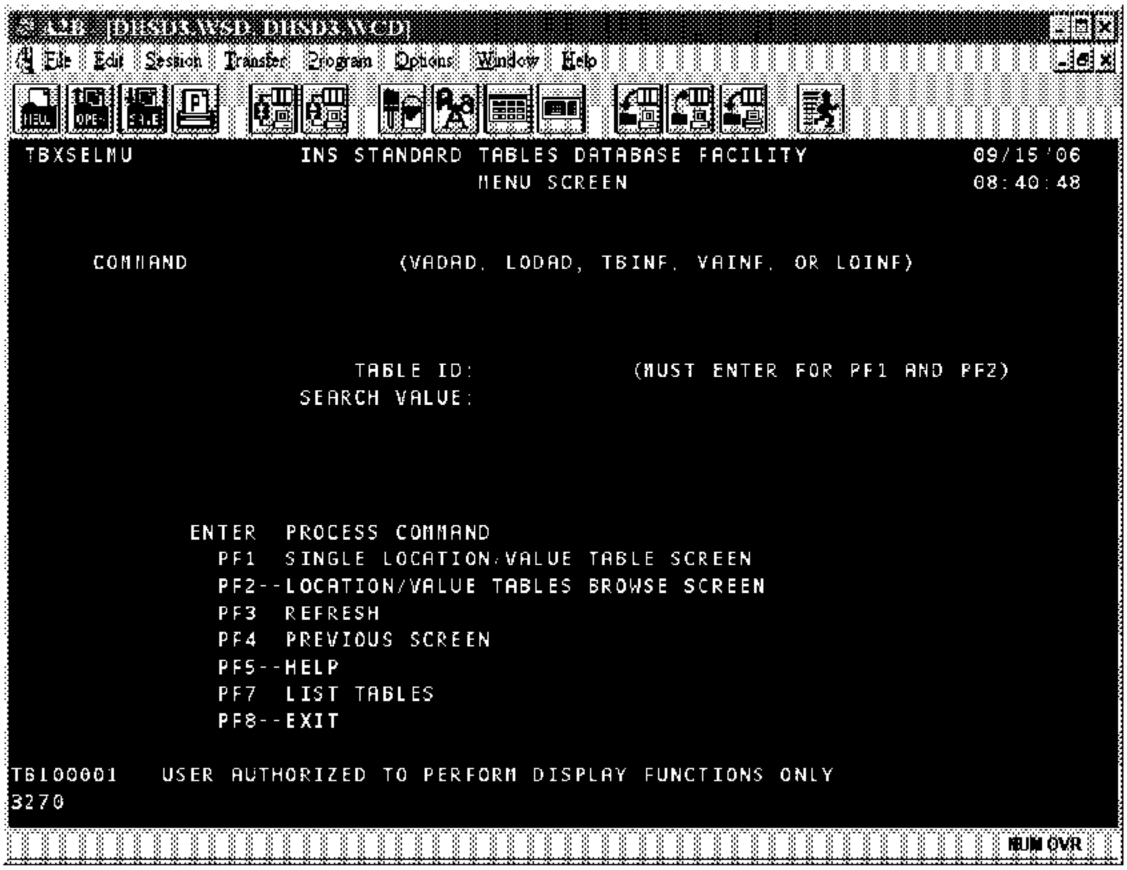
### *5.1.12 Tables Menu*



```
 TBXSELMU            INS STANDARD TABLES DATABASE FACILITY             09/15/06
                                   MENU SCREEN                         08:40:48


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




                         TABLE ID:           (MUST ENTER FOR PF1 AND PF2)
                    SEARCH VALUE:





             ENTER  PROCESS COMMAND
               PF1  SINGLE LOCATION/VALUE TABLE SCREEN
               PF2--LOCATION/VALUE TABLES BROWSE SCREEN
               PF3  REFRESH
               PF4  PREVIOUS SCREEN
               PF5--HELP
               PF7  LIST TABLES
               PF8--EXIT

TB100001   USER AUTHORIZED TO PERFORM DISPLAY FUNCTIONS ONLY
3270
```

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

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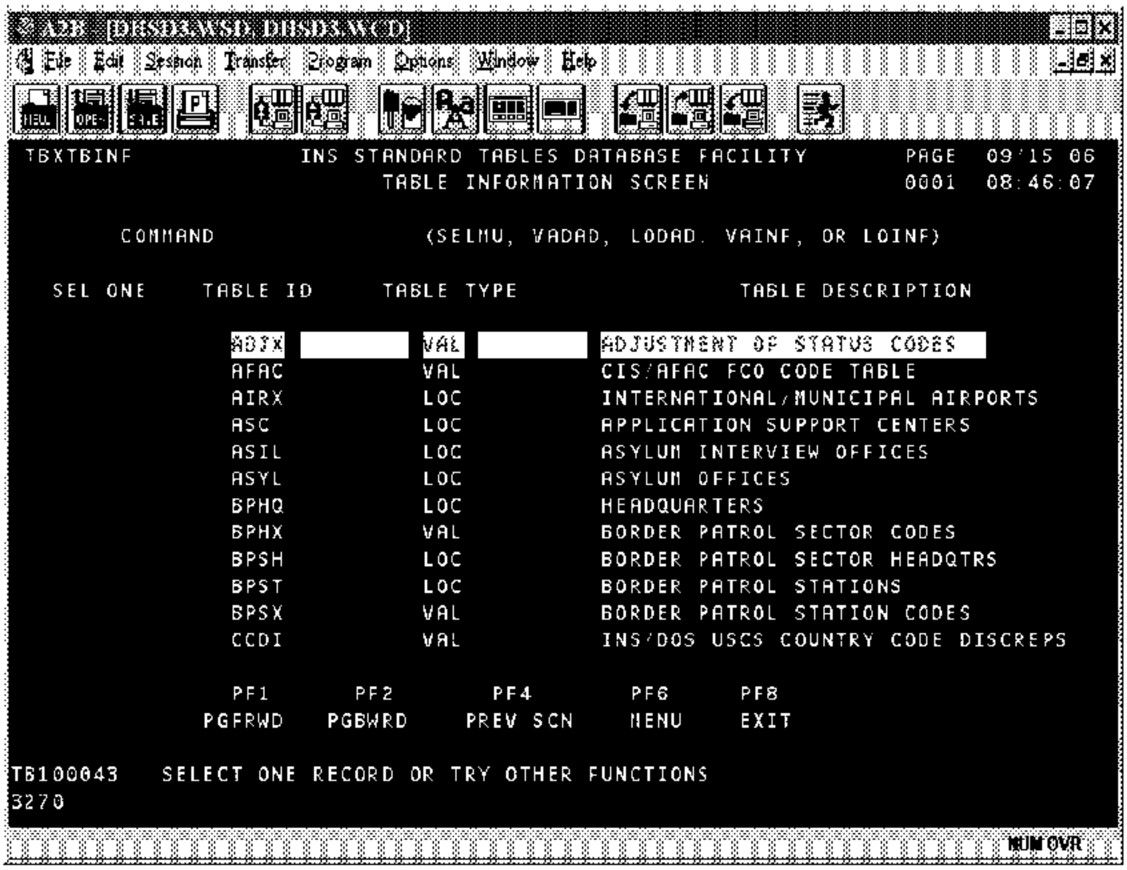
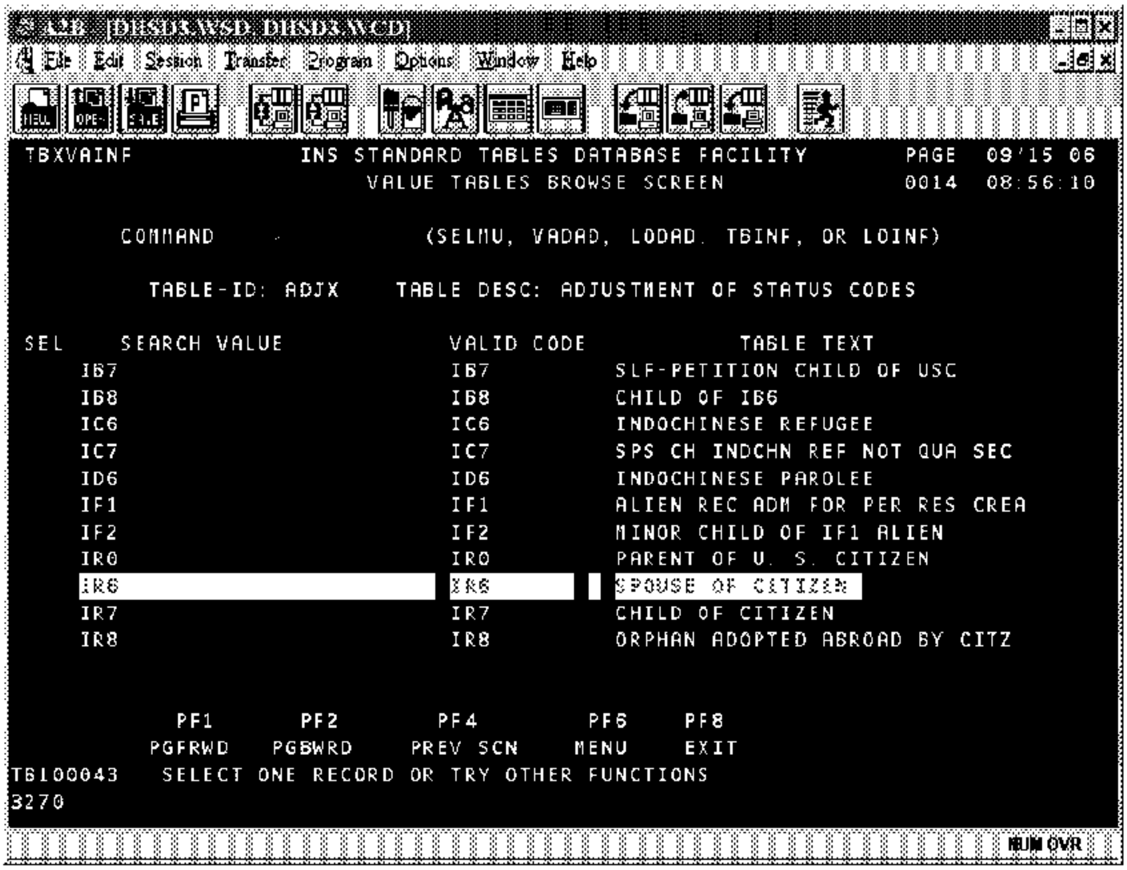
### 5.1.13 Tables Information Screen



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

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

   SEL ONE    TABLE ID     TABLE TYPE               TABLE DESCRIPTION

                 ADJX         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
```

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    .          (SELMU, VADAD, LODAD. TBINF, OR LOINF)

          TABLE-ID: ADJX    TABLE DESC: ADJUSTMENT OF STATUS CODES

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


           PF1       PF2        PF4        PF6     PF8
         PGFRWD    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.

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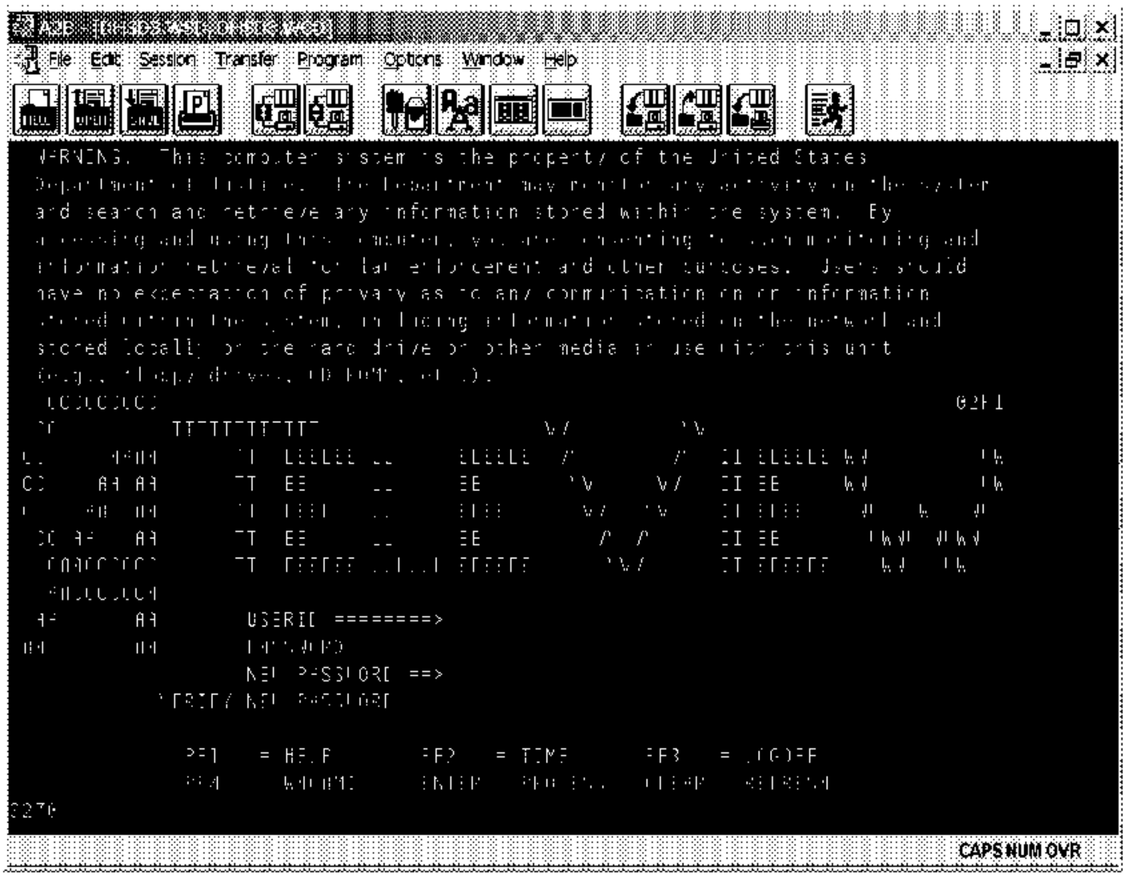
## 5.2. Computer Linked Application Information Management System

### *5.2.1 Introduction*

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

### *5.2.2 Teleview Introduction Screen*



```
 WARNING:  This computer system is the property of the United States
 [illegible]
 and search and retrieve any information stored within the system.  By
 [illegible]
 information retrieval for law enforcement and other purposes.  Users should
 have no expectation of privacy as to any communication on or information
 [illegible]
 stored locally on the hard drive or other media in use with this unit
 [illegible]

              USERID ========>
              [illegible]
              NEW PASSWORD ==>
         [illegible]

           PF1  = HELP      PF2  = TIME      PF3  = LOGOFF
```

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

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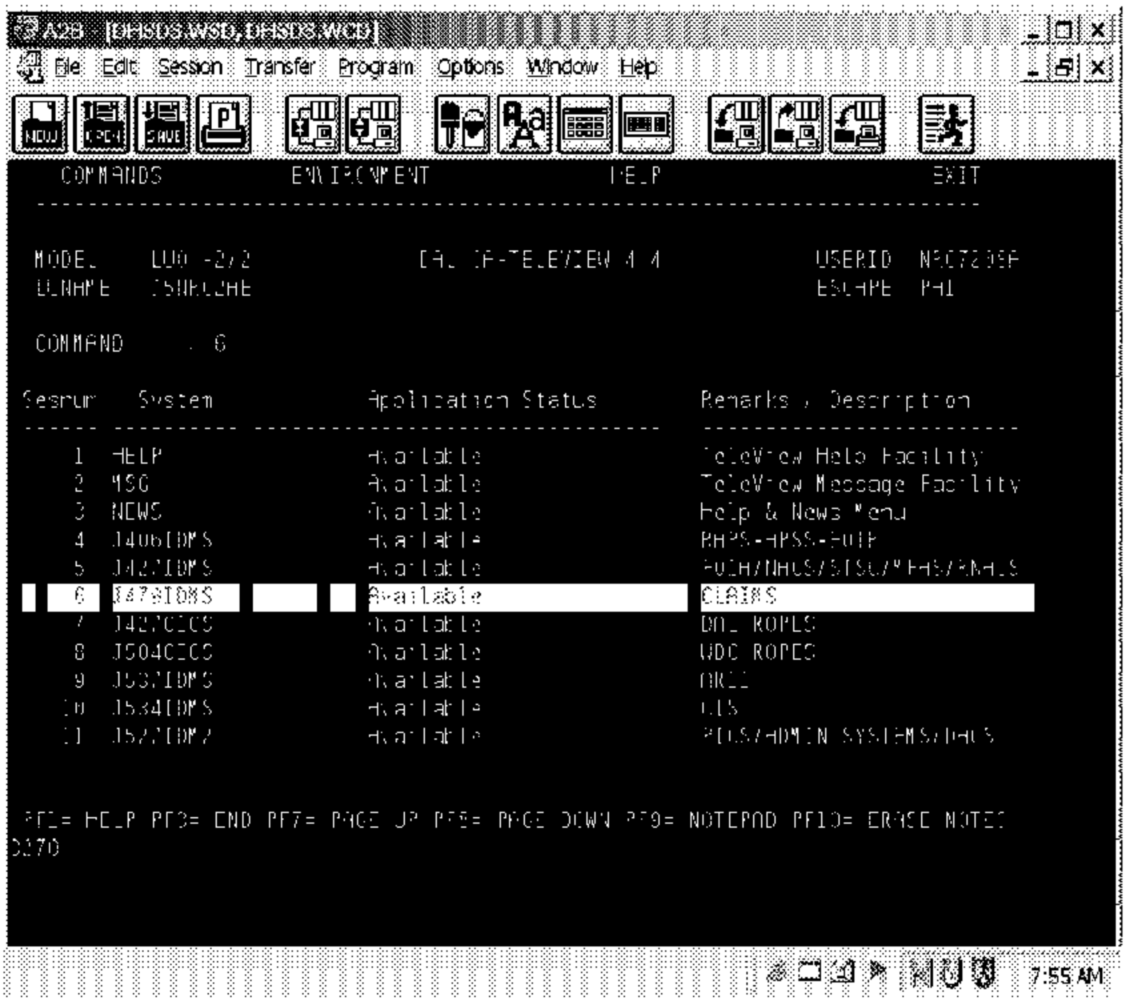
### 5.2.3 CLAIMS Selection Screen


A2B - [DHSDS.WSD, DHSDS.WCD]
File Edit Session Transfer Program Options Window Help
NEW
OPEN
SAVE
7:55 AM

```
   COMMANDS          ENVIRONMENT               HELP                    EXIT
 ---------------------------------------------------------------------

 MODEL     LU0 -2/2          CAL IF-TELEVIEW 4.4           USERID  NRC7209F
 LUNAME    I5HRCZHE                                        ESCAPE  PA1

 COMMAND      . 6

Sesnum   System          Application Status          Remarks / Description
------ ---------- ------------------------------    ------------------------
    1  HELP              Available                TeleView Help Facility
    2  MSG               Available                TeleView Message Facility
    3  NEWS              Available                Help & News Menu
    4  J406IDMS          Available                RHPS-HPSS-FOIP
    5  J422IDMS          Available                FOIA/NRCS/STSC/MFHS/RNHLS
    6  J479IDMS          Available                CLAIMS
    7  J422CICS          Available                DOL ROPES
    8  J504CICS          Available                WDC ROPES
    9  J537IDMS          Available                ARII
   10  J534IDMS          Available                CIS
   11  J522IDMS          Available                PICS/ADMIN SYSTEMS/DHCS


 PF1= HELP PF3= END PF7= PAGE UP PF8= PAGE DOWN PF9= NOTEPAD PF10= ERASE NOTES
0270
```

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

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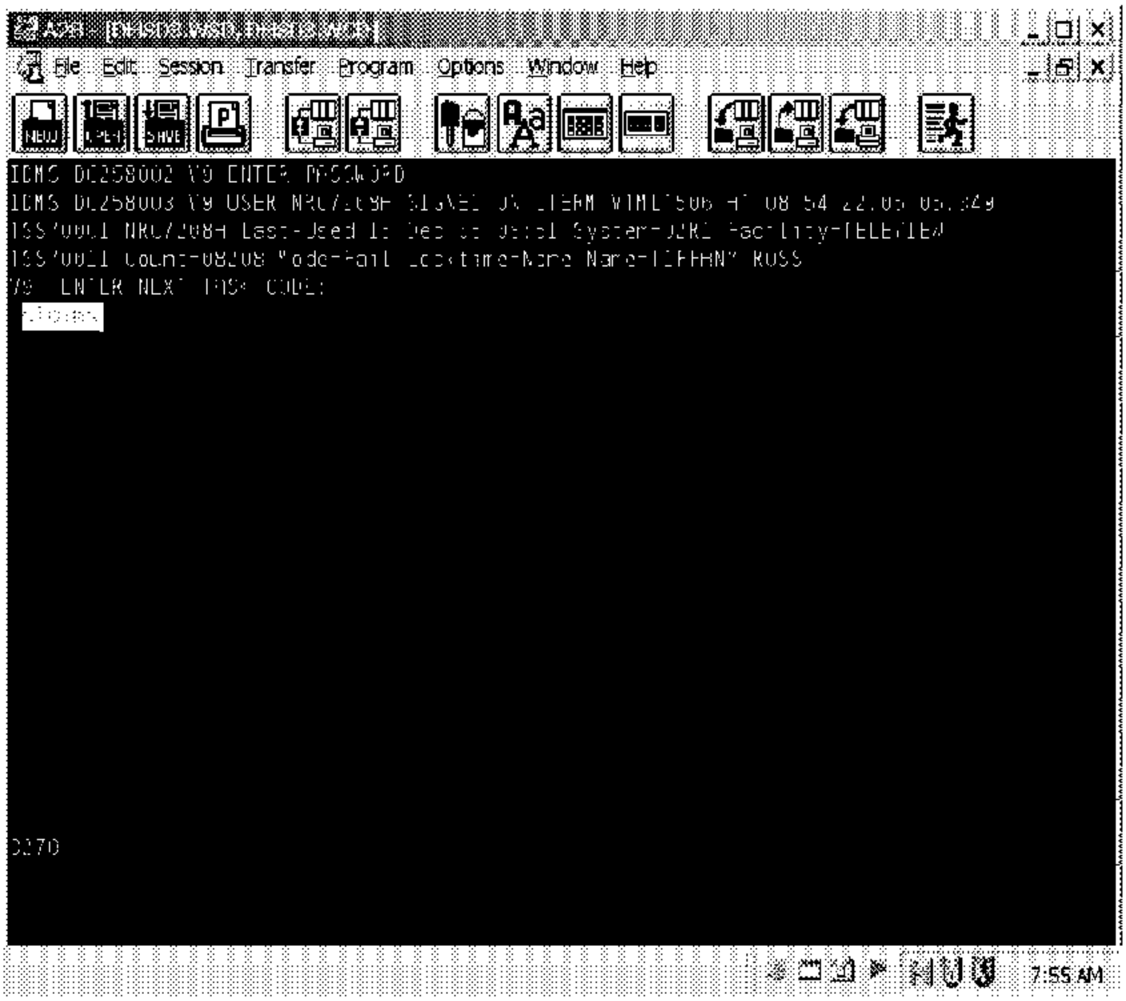
### 5.2.4 *CLAIMS Function Screen*



```
IDMS DC258002 V9 ENTER PASSWORD
IDMS DC258003 V9 USER NRC7208H SIGNED ON TERM VTML1506 AT 08 54 22.05 05.349
ISS7001 NRC7208H Last-Used [illegible] System-U2R1 Facility-TELEVIEW
ISS7001 Count-08208 Mode-Fail Locktime-None Name-TIFFANY RUSS
V9 ENTER NEXT TASK CODE:
 claims





3270
```

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

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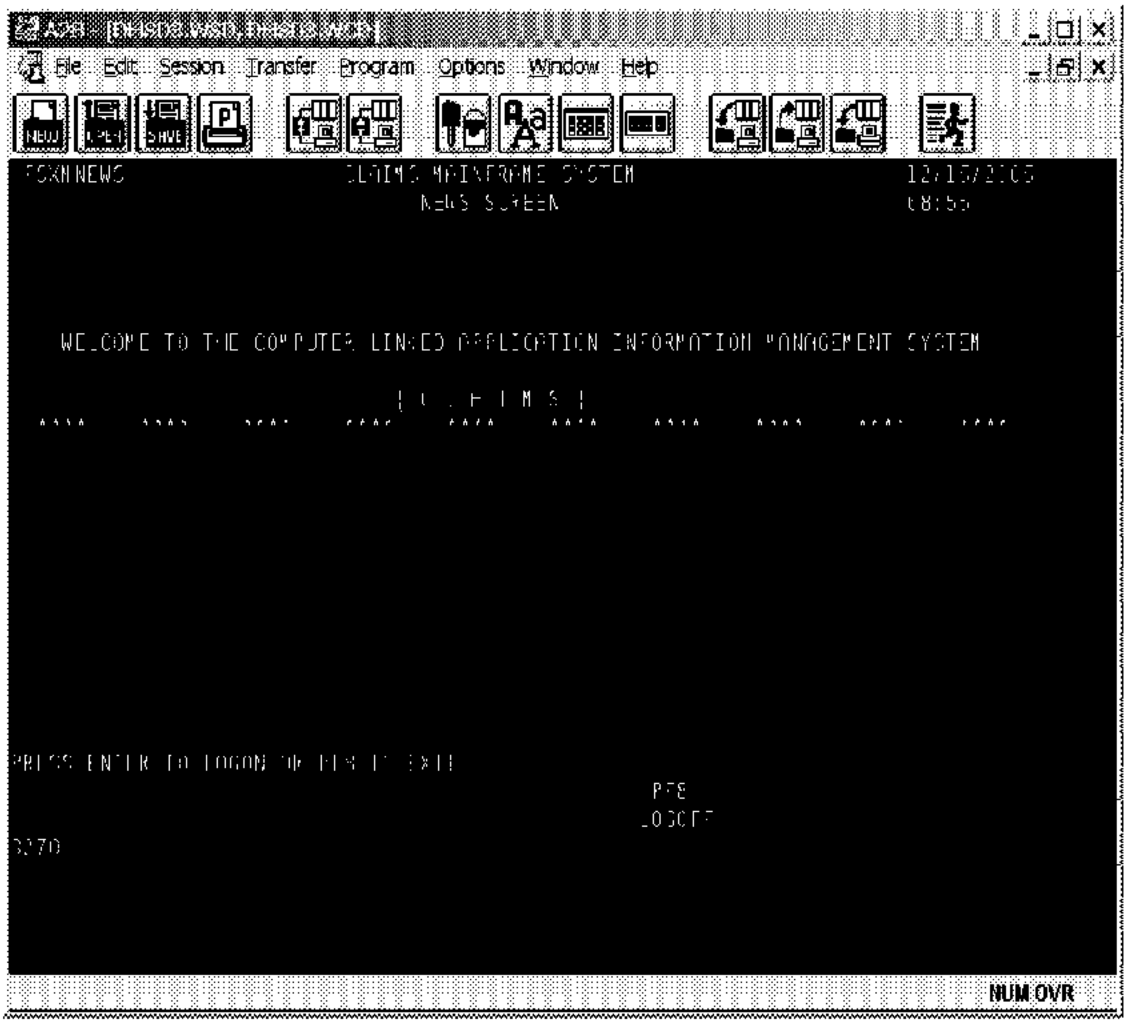
### *5.2.5 CLAIMS Welcome Screen*



```
FOXNNEWS                  CLAIMS MAINFRAME SYSTEM                    12/15/2005
                                NEWS SCREEN                          08:55



   WELCOME TO THE COMPUTER LINKED APPLICATION INFORMATION MANAGEMENT SYSTEM

                              ( C L A I M S )
  ****     ****     ****     ****     ****     ****     ****     ****     ****     ****







PRESS ENTER TO LOGON OR PF3 TO EXIT
                                              PF3
                                              LOGOFF
3270
```

Press enter from here to get to the logon screen.

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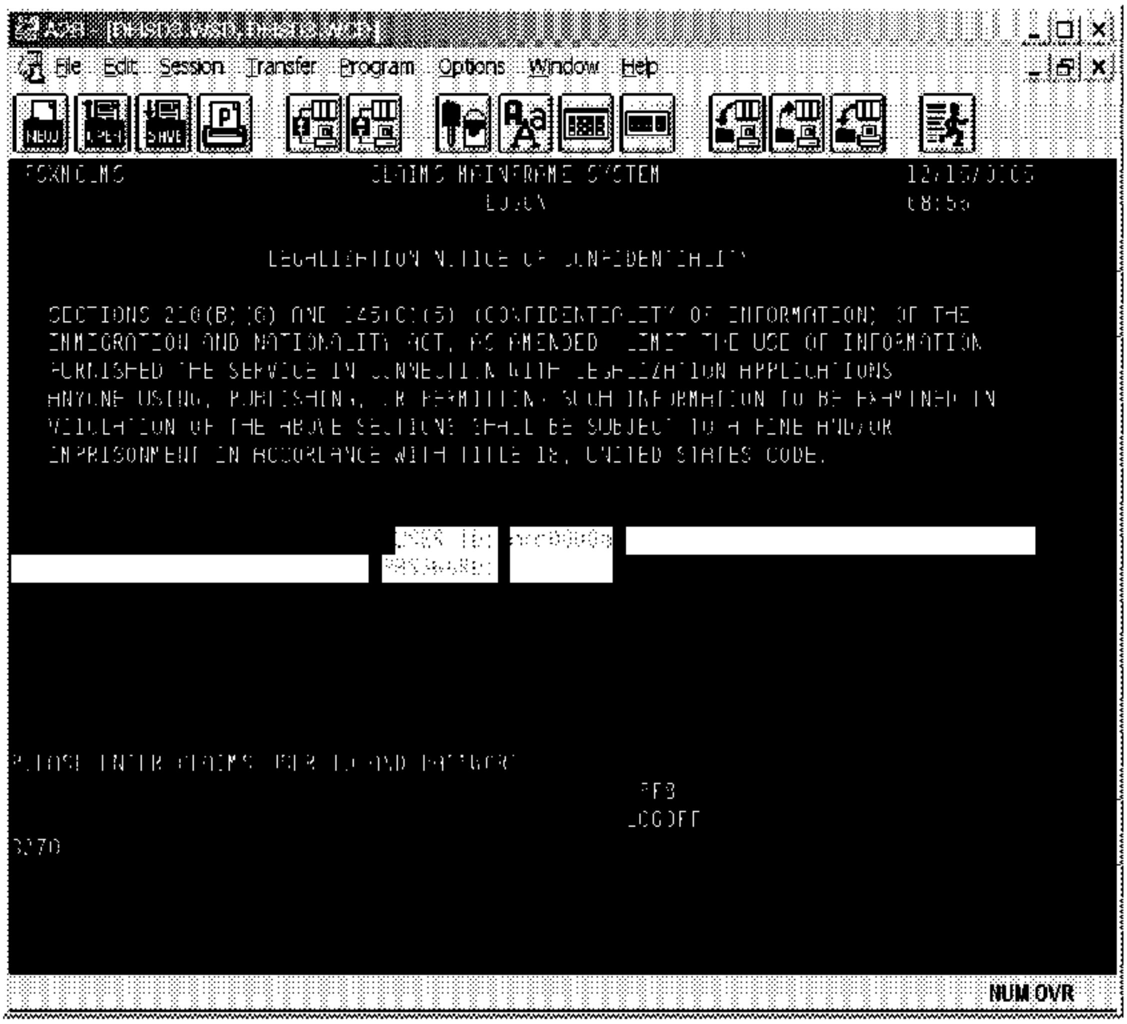
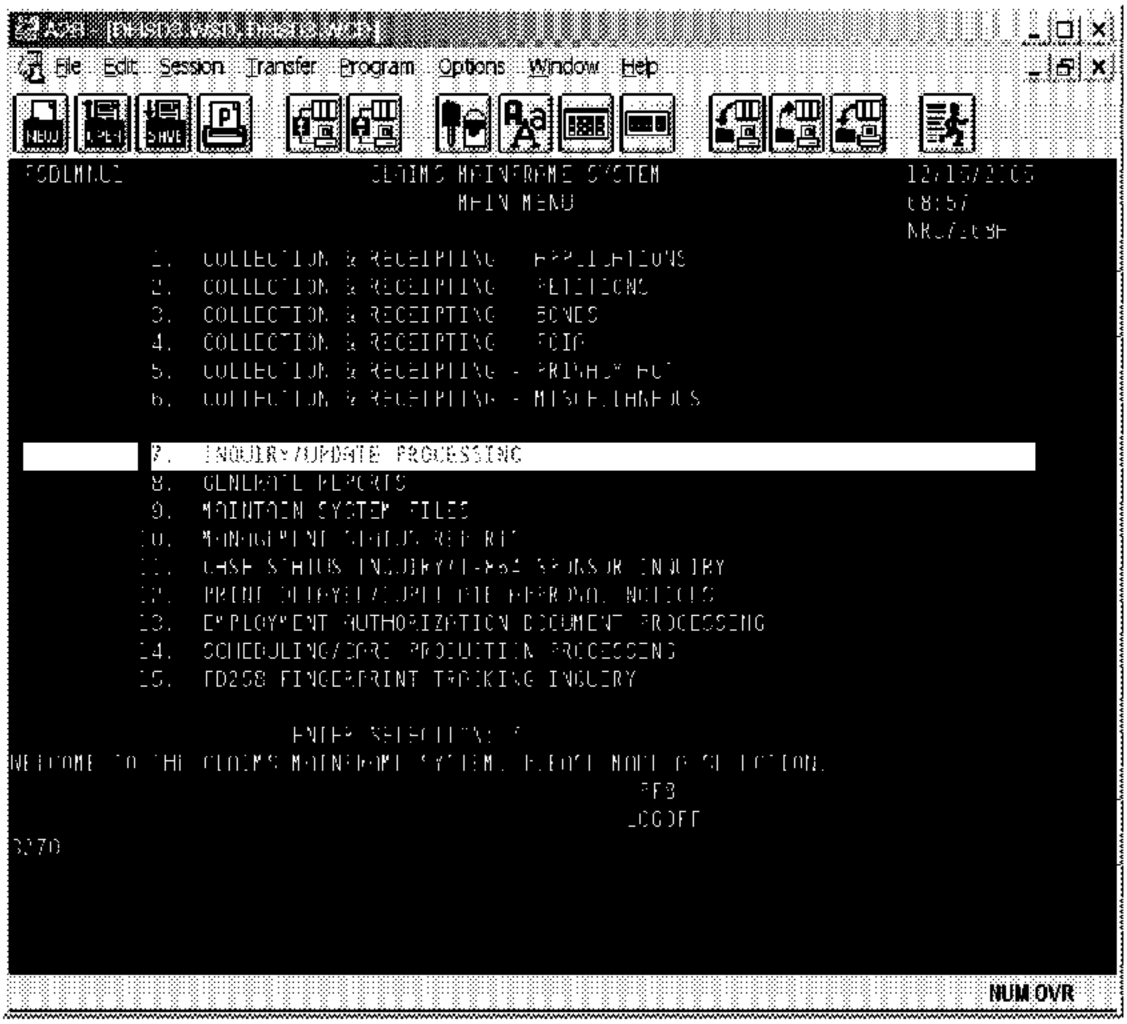
### 5.2.6 *CLAIMS Logon Screen*



```
FOXNCLMS                    CLAIMS MAINFRAME SYSTEM                  12/15/2005
                                     LOGON                              08:55

                   LEGALIZATION NOTICE OF CONFIDENTIALITY

  SECTIONS 210(B)(6) AND 245(C)(5) (CONFIDENTIALITY OF INFORMATION) OF THE
  IMMIGRATION AND NATIONALITY ACT, AS AMENDED, LIMIT THE USE OF INFORMATION
  FURNISHED THE SERVICE IN CONNECTION WITH LEGALIZATION APPLICATIONS.
  ANYONE USING, PUBLISHING, OR PERMITTING SUCH INFORMATION TO BE EXAMINED IN
  VIOLATION OF THE ABOVE SECTIONS SHALL BE SUBJECT TO A FINE AND/OR
  IMPRISONMENT IN ACCORDANCE WITH TITLE 18, UNITED STATES CODE.


                                  USER ID: [illegible]
                                 PASSWORD:




PLEASE ENTER CLAIMS USER ID AND PASSWORD
                                                    PF3
                                                   LOGOFF
3270
```

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*



```
FSDLMNU1                    CLAIMS MAINFRAME SYSTEM                     12/15/2005
                                   MAIN MENU                            08:57
                                                                        NRC7E0BA
          1.   COLLECTION & RECEIPTING   APPLICATIONS
          2.   COLLECTION & RECEIPTING   PETITIONS
          3.   COLLECTION & RECEIPTING   BONDS
          4.   COLLECTION & RECEIPTING   FOIA
          5.   COLLECTION & RECEIPTING - PRIVACY ACT
          6.   COLLECTION & RECEIPTING - MISCELLANEOUS

          7.   INQUIRY/UPDATE PROCESSING
          8.   GENERATE REPORTS
          9.   MAINTAIN SYSTEM FILES
         10.   MANAGEMENT STATUS REPORT
         11.   CASE STATUS INQUIRY/I-864 SPONSOR INQUIRY
         12.   PRINT DELAYED/DUPLICATE APPROVAL NOTICES
         13.   EMPLOYMENT AUTHORIZATION DOCUMENT PROCESSING
         14.   SCHEDULING/CARD PRODUCTION PROCESSING
         15.   FD258 FINGERPRINT TRACKING INQUIRY

                         ENTER SELECTION: 7
WELCOME TO THE CLAIMS MAINFRAME SYSTEM. PLEASE MAKE A SELECTION.
                                                    PF3
                                                   LOGOFF
3270
```

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

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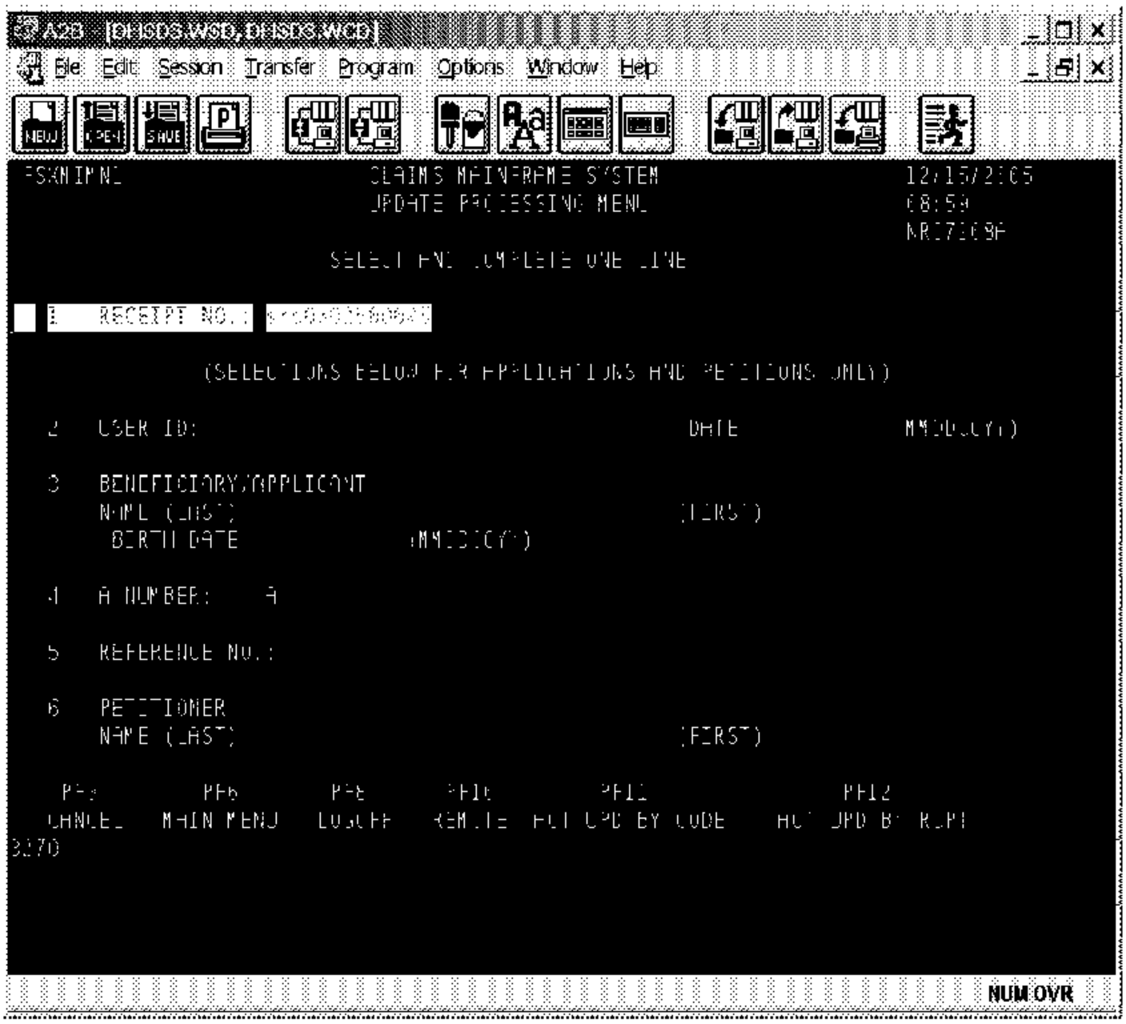
### *5.2.8 Inquiry Screen, searching with a Receipt Number*


A28 [DHSDS.WSD, DHSDS.WCD]
File Edit Session Transfer Program Options Window Help
NEW
OPEN
SAVE
NUM OVR

```
FSXNIPNI                      CLAIMS MAINFRAME SYSTEM                  12/15/2005
                              UPDATE PROCESSING MENU                   08:59
                                                                       NRI7I09F
                         SELECT AND COMPLETE ONE LINE

 1   RECEIPT NO.: [illegible]

            (SELECTIONS BELOW FOR APPLICATIONS AND PETITIONS ONLY)

  2   USER ID:                                         DATE            MMDDCCYY)

  3   BENEFICIARY/APPLICANT
      NAME (LAST)                                      (FIRST)
       BIRTH DATE              (MMDDCCYY)

  4   A NUMBER:    A

  5   REFERENCE NO.:

  6   PETITIONER
      NAME (LAST)                                      (FIRST)

   PF3       PF6       PF8      PF10        PF11              PF12
  CANCEL   MAIN MENU   LOGOFF   REMOTE  ACT UPD BY CODE   ACT UPD BY RCPT
3270
```

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.

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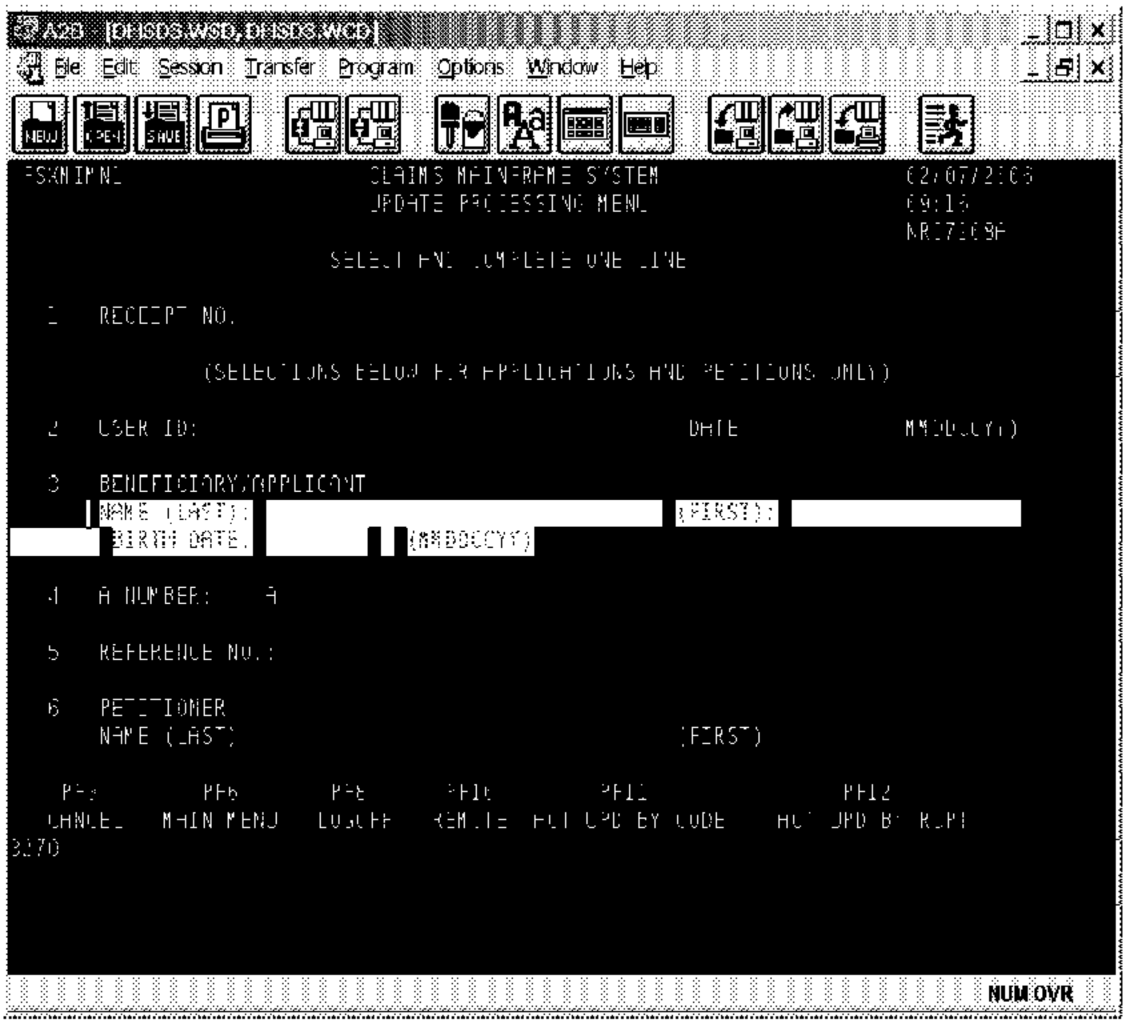
### 5.2.9 *Searching CLAIMS using a Name and Date of Birth*


A2B - [DHSDS.WSD, DHSDS.WCD]
File Edit Session Transfer Program Options Window Help
NEW
OPEN
SAVE
NUM OVR

```
FSXMIPNU                 CLAIMS MAINFRAME SYSTEM                  02/07/2006
                         UPDATE PROCESSING MENU                   09:15
                                                                  NRC7109F
                       SELECT AND COMPLETE ONE LINE

  1   RECEIPT NO.

          (SELECTIONS BELOW FOR APPLICATIONS AND PETITIONS ONLY)

  2   USER ID:                                  DATE              MMDDCCYY)

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

  4   A NUMBER:      A

  5   REFERENCE NO.:

  6   PETITIONER
      NAME (LAST)                               (FIRST)

   PF3       PF6       PF8      PF10      PF11                 PF12
  CANCEL   MAIN MENU  LOGOFF   REMOTE  ACT UPD BY CODE    ACT UPD BY RCPT
3270
```

You may also search name and birth date. CLAIMS does not forgive spelling errors and will not conduct "sounds-like" searches. If you do not immediately find a receipt, you should also search by alias names and variations of the name. You may also search without the birth date. This may have the results you are looking for depending on how common the name of the subject. Searching using the birth date will narrow the findings.

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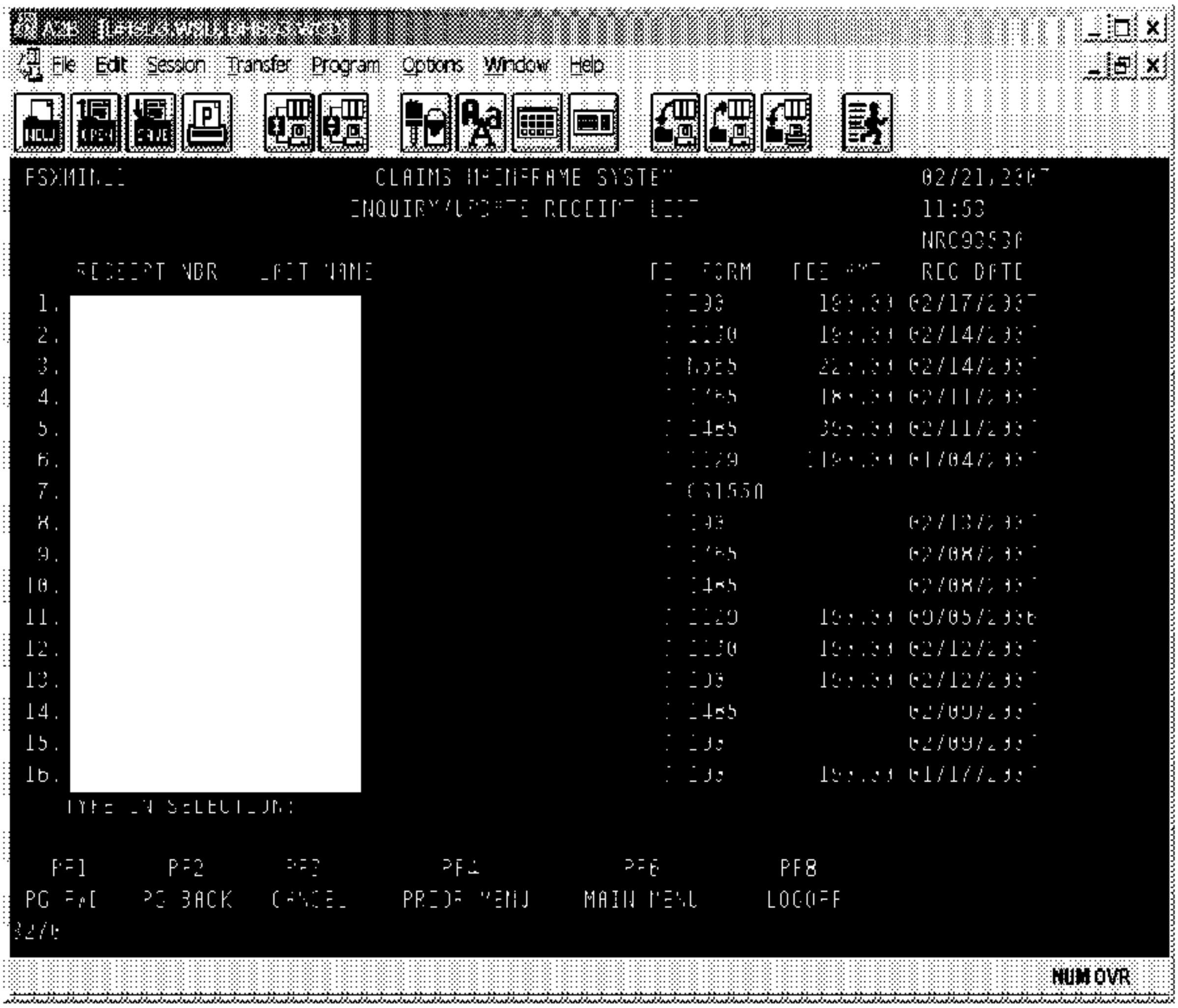
(b)(6)

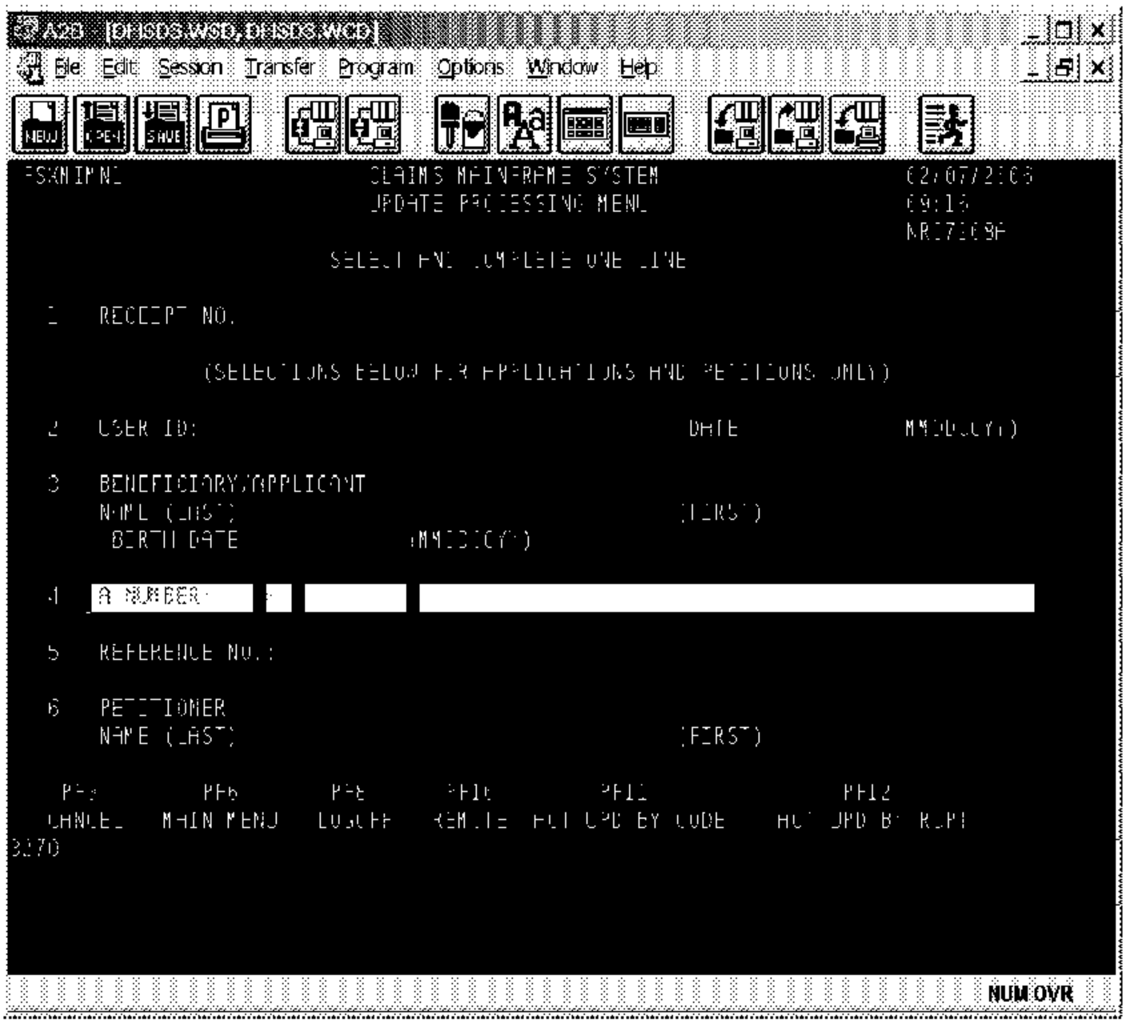


```
FSXMINQ1                 CLAIMS MAINFRAME SYSTEM              02/21/2007
                       INQUIRY/UPDATE RECEIPT LIST            11:53
                                                              NRC9353A
    RECEIPT NBR   LAST NAME                   FI  FORM     FEE AMT   REC DATE
 1. [redacted]                                 I  I90   [illegible]  02/17/2007
 2.                                            I  I130  [illegible]  02/14/2007
 3.                                            I  [illegible] [illegible] 02/14/2007
 4.                                            I  I765  [illegible]  02/11/2007
 5.                                            I  I485  [illegible]  02/11/2007
 6.                                            I  I129  [illegible]  01/04/2007
 7.                                            I  [illegible]
 8.                                            I  I90                02/13/2007
 9.                                            I  I765               02/08/2007
10.                                            I  I485               02/08/2007
11.                                            I  I129  [illegible]  09/05/2006
12.                                            I  I130  [illegible]  02/12/2007
13.                                            I  I90   [illegible]  02/12/2007
14.                                            I  I485               02/09/2007
15.                                            I  I90                02/09/2007
16.                                            I  I90   [illegible]  01/17/2007
    TYPE IN SELECTION:

  PF1        PF2       PF3          PF4            PF6          PF8
PG FWD    PG BACK    CANCEL    PRIOR MENU      MAIN MENU      LOGOFF
3270
```

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*



```
FSXNIPNI                     CLAIMS MAINFRAME SYSTEM                    02/07/2003
                             UPDATE PROCESSING MENU                     09:16
                                                                        NRI7I09F
                        SELECT AND COMPLETE ONE LINE

  1   RECEIPT NO.

           (SELECTIONS BELOW FOR APPLICATIONS AND PETITIONS ONLY)

  2   USER ID:                                      DATE             MMDDCCYY)

  3   BENEFICIARY/APPLICANT
      NAME (LAST)                                   (FIRST)
       BIRTH DATE             (MMDDCCYY)

  4   A NUMBER:

  5   REFERENCE NO.:

  6   PETITIONER
      NAME (LAST)                                   (FIRST)

   PF3       PF6       PF8       PF10      PF11               PF12
  CANCEL   MAIN MENU  LOGOFF    REMOTE   ACT UPD BY CODE    ACT UPD BY RCPT
3270
```

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

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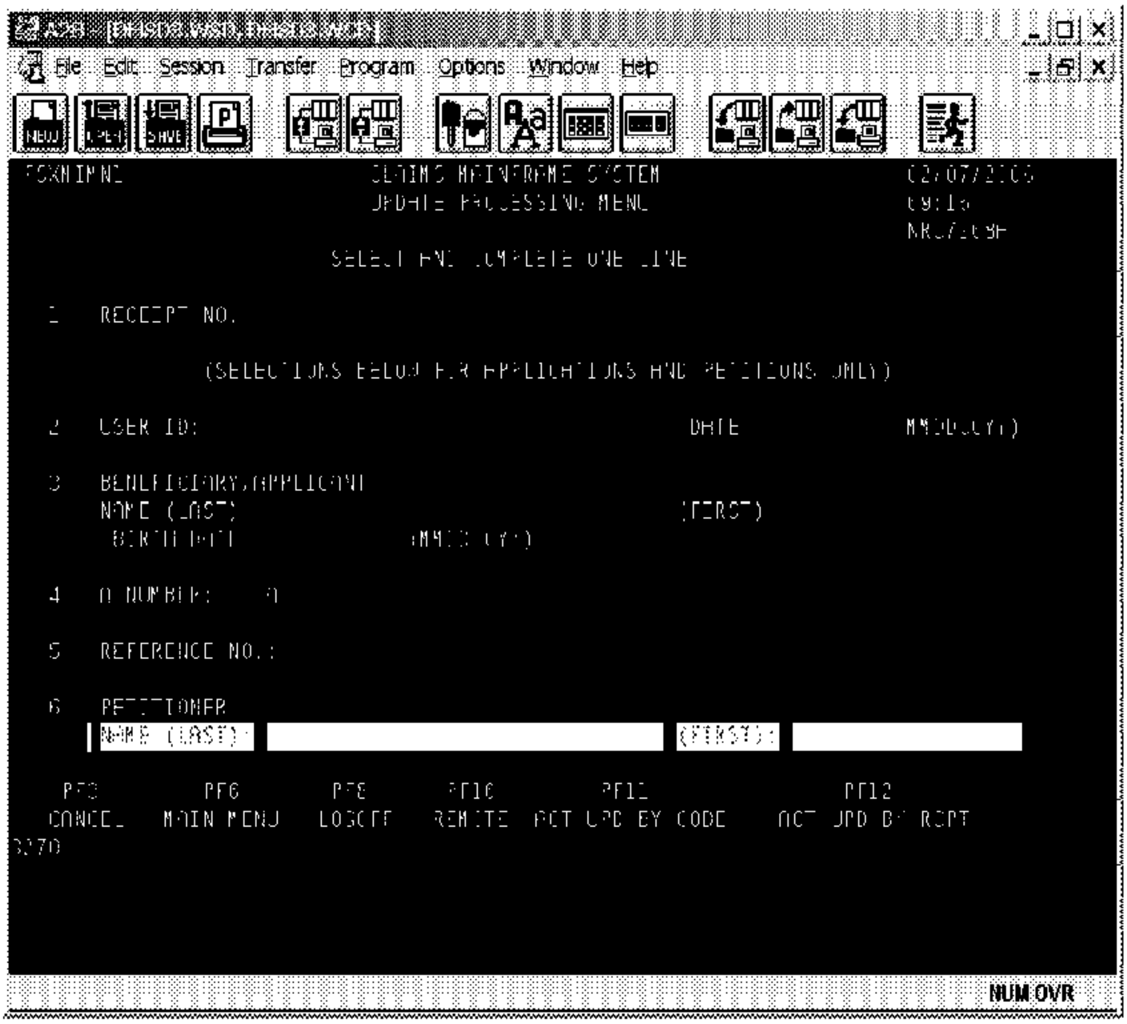
### *5.2.11 Searching with the Petitioner's Name*



```
FOXNIPNI                CLAIMS MAINFRAME SYSTEM                02/07/2006
                        UPDATE PROCESSING MENU                 09:15
                                                               [illegible]
                      SELECT AND COMPLETE ONE LINE

  1   RECEIPT NO.

            (SELECTIONS BELOW FOR APPLICATIONS AND PETITIONS ONLY)

  2   USER ID:                                DATE             (MMDDCCYY)

  3   BENEFICIARY/APPLICANT
      NAME (LAST)                             (FIRST)
       BIRTH DATE               (MMDDCCYY)

  4   A NUMBER:     A

  5   REFERENCE NO.:

  6   PETITIONER
     NAME (LAST):                             (FIRST):

  PF3        PF6        PF8       PF10        PF11               PF12
 CANCEL   MAIN MENU   LOGOFF    REMOTE   ACT UPD BY CODE    ACT UPD BY RCPT
3270
```

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.

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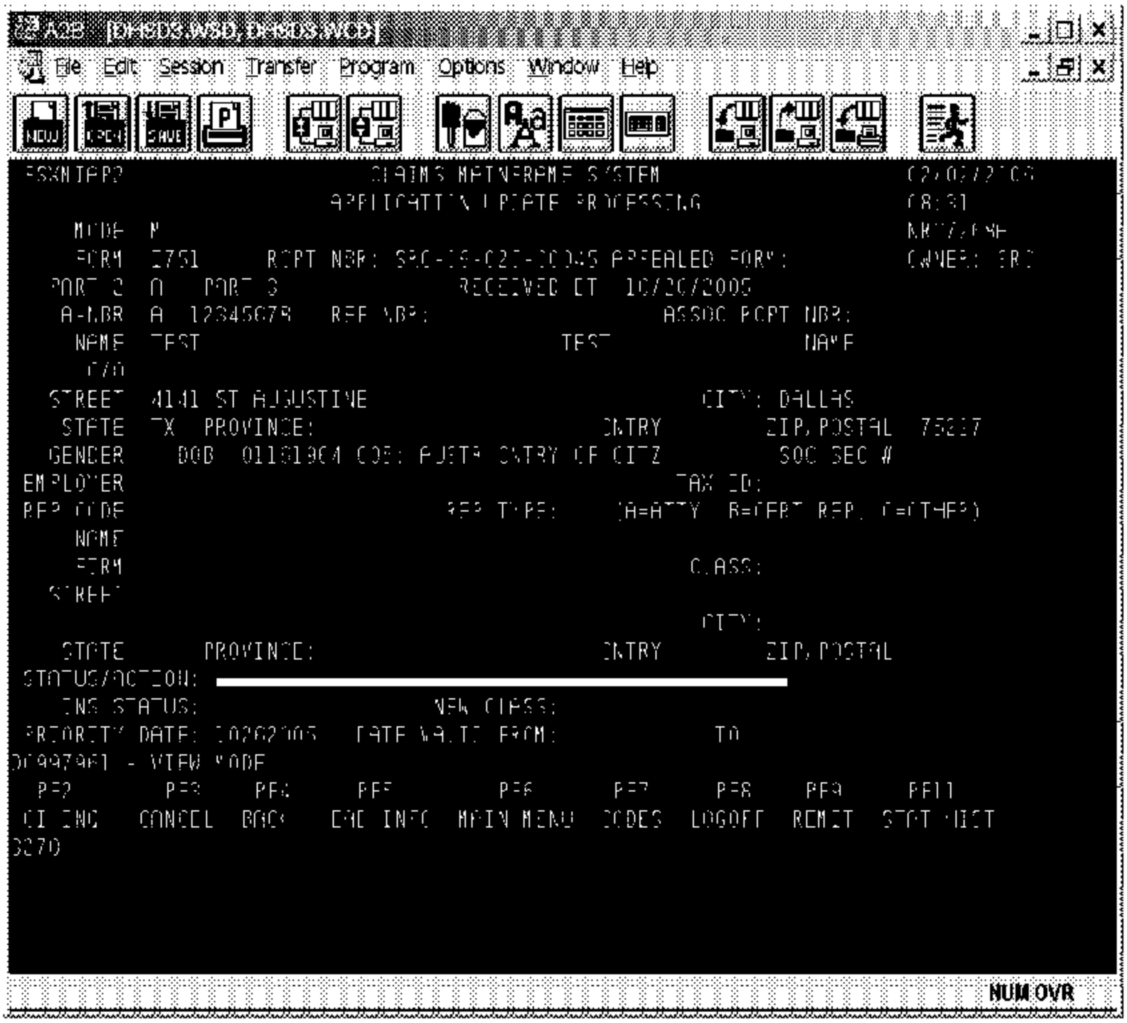
### 5.2.12 *Search Results*

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



```
FSXNIAP2                     CLAIMS MAINFRAME SYSTEM                        02/02/2006
                          APPLICATION UPDATE PROCESSING                     08:31
    MODE  M                                                                 NRC7/ENF
    FORM  I751      RCPT NBR: SRC-19-02I-I0045 APPEALED FORM:               OWNER: SRC
  PART 2  0    PART 3               RECEIVED DT  10/20/2005
   A-NBR  A  12345678   REF NBR:                      ASSOC RCPT NBR:
    NAME  TEST                             TEST               NAME
     C/O
  STREET  4141 ST AUGUSTINE                           CITY: DALLAS
   STATE  TX  PROVINCE:                       CNTRY          ZIP,POSTAL  75217
  GENDER    DOB  01101964 COB: AUSTRA CNTRY OF CITZ         SOC SEC #
EMPLOYER                                              TAX ID:
REP CODE                          REP TYPE:    (A=ATTY  B=CERT REP, C=OTHER)
    NAME
    FIRM                                              CLASS:
  STREET
                                                      CITY:
   STATE      PROVINCE:                       CNTRY          ZIP,POSTAL
STATUS/ACTION: [redacted]
   INS STATUS:                    NEW CLASS:
PRIORITY DATE: 10202005   DATE VALID FROM:              TO
DC99798I - VIEW MODE
 PF2        PF3    PF4     PF5        PF6       PF7      PF8     PF9      PF11
CI INQ    CANCEL  BACK    ENE INFO  MAIN MENU  CODES   LOGOFF   REMIT   STAT HIST
0270
```

(b)(7)(e)

The receipt information gives the name, date of birth, A-number and address. The status of the receipt file is near the bottom of the screen. (STATUS/ACTION: IBS1)

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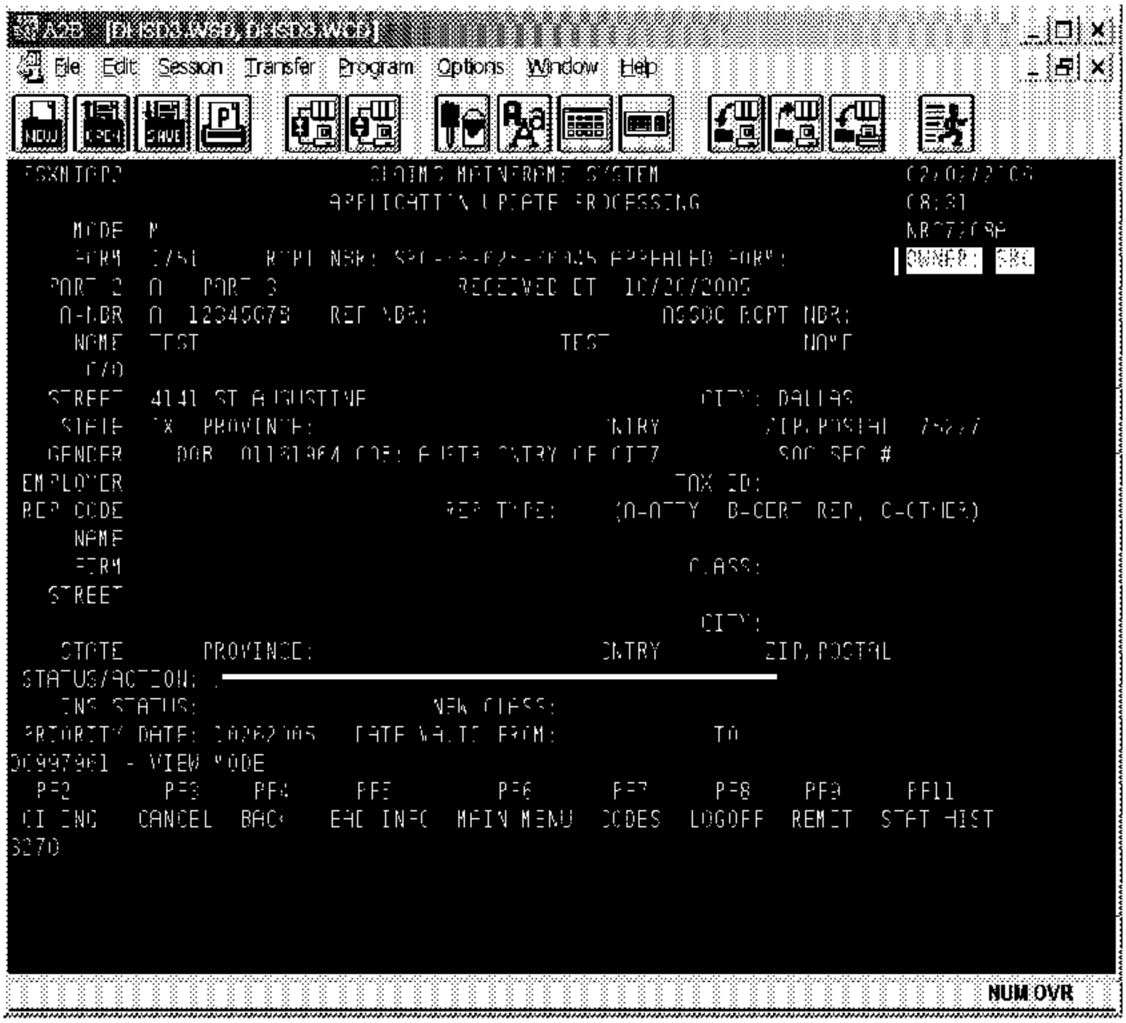
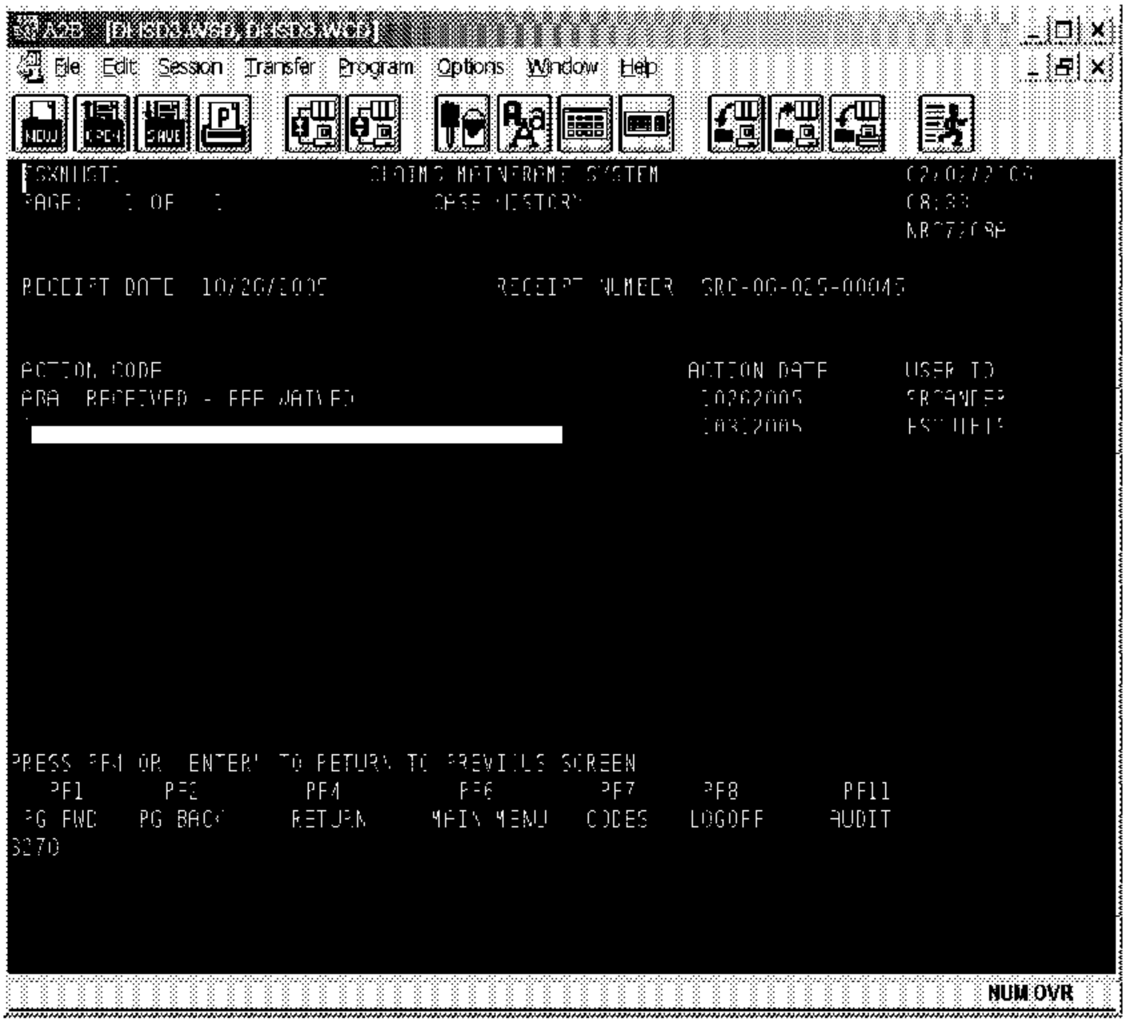


```
FSXNTAP2              CLAIMS MAINFRAME SYSTEM                        02/02/2009
                   APPLICATION UPDATE PROCESSING                     08:31
    MODE  M                                                          NR072C9A
    FORM  I751     RCPT NBR: SRC-[illegible]  APPEALED FORM:        OWNER: SRC
  PART 2  A    PART 3              RECEIVED DT  10/20/2005
   A-NBR  A  12345678   REF NBR:                   ASSOC RCPT NBR:
    NAME  TEST                       TEST                   NAME
     C/O
  STREET  4141 ST AUGUSTINE                        CITY: DALLAS
   STATE  TX  PROVINCE:                      CNTRY        ZIP/POSTAL  752[illegible]
  GENDER    DOB  01181964 COB: [illegible]          SOC SEC #
EMPLOYER                                       TAX ID:
REP CODE                      REP TYPE:    (A-ATTY  B-CERT REP, C-OTHER)
    NAME
    FIRM                                       CLASS:
  STREET
                                               CITY:
   STATE       PROVINCE:                     CNTRY        ZIP/POSTAL
STATUS/ACTION:
   INS STATUS:                   NEW CLASS:
PRIORITY DATE: 10262005   DATE WAIT FROM:             TO
00997961 - VIEW MODE
 PF2        PF3      PF4      PF5        PF6       PF7      PF8      PF9     PF11
CLAIMS     CANCEL   BACK     EAD INFO  MAIN MENU  CODES    LOGOFF   REMIT   STAT HIST
3270
```

(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.



```
FSXNHST1                    CLAIMS MAINFRAME SYSTEM                    02/02/2006
PAGE:   1 OF   1                    CASE HISTORY                       08:33
                                                                       NRC72C9P

RECEIPT DATE  10/26/2005            RECEIPT NUMBER  SRC-06-025-00045

ACTION CODE                                        ACTION DATE       USER ID
ARA  RECEIVED - FEE WAIVED                          10262005         [illegible]
[redacted]                                          10312005         [illegible]

PRESS PF4 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
```

(b)(7)(e)

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

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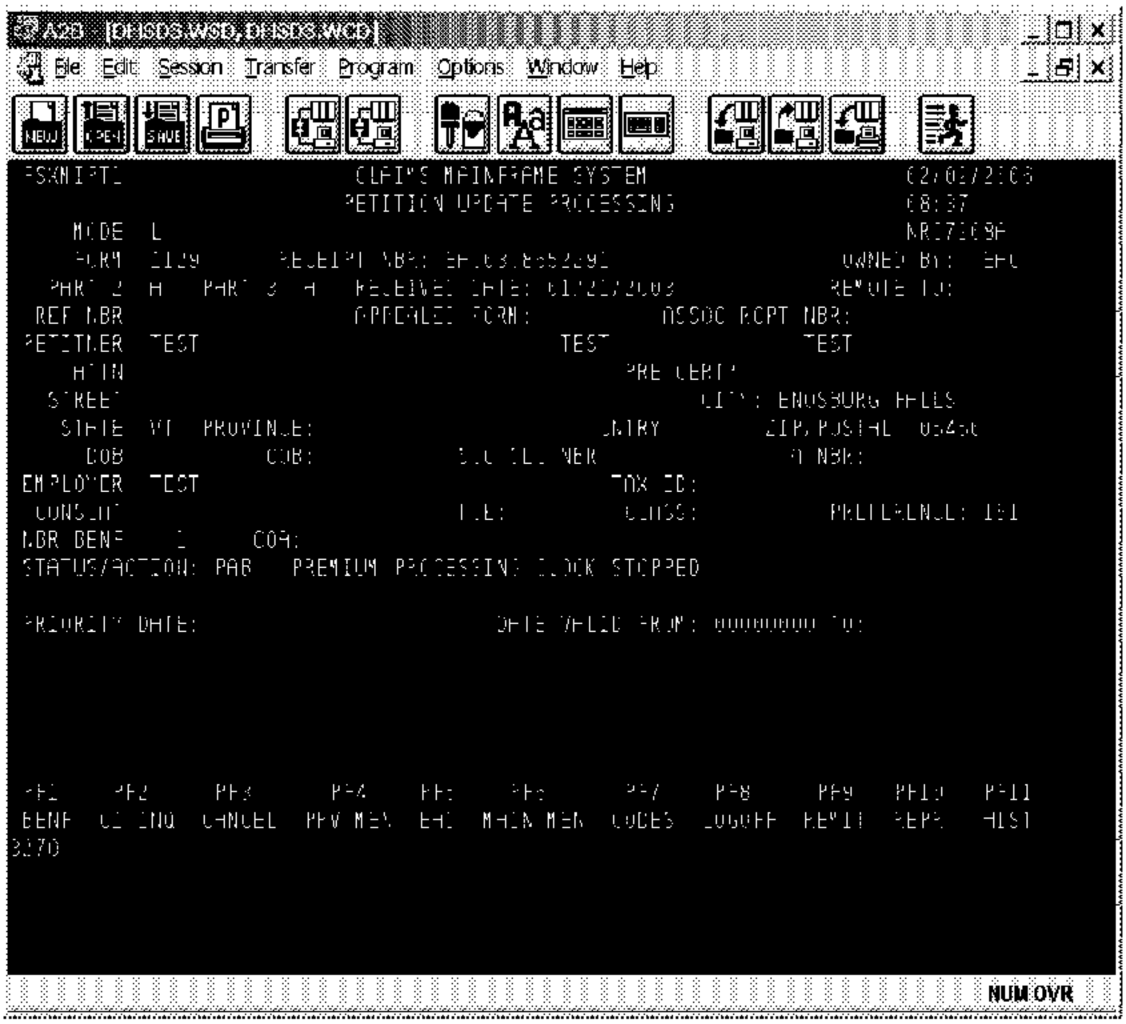
### *5.2.13 Beneficiary Petition for Non Immigrant Worker*



```
PSXNIPTI                    CLAIMS MAINFRAME SYSTEM                    02/02/2003
                            PETITION UPDATE PROCESSING                 08:37
    MODE  L                                                            NRI7109F
    FORM  I129      RECEIPT NBR: EAC0318052291                  OWNED BY:  EAC
  PART 2  A   PART 3  A   RECEIVED DATE: 01/21/2003             REMOTE TO:
 REF NBR                  APPEALED FORM:          ASSOC RCPT NBR:
PETITNER  TEST                             TEST               TEST
    ATTN                                       PRE CERT
  STREET                                             CITY: ENOSBURG FALLS
   STATE  VT  PROVINCE:                    CNTRY        ZIP/POSTAL  05450
     DOB            COB:          SOC SEC NBR               A NBR:
EMPLOYER  TEST                                 TAX ID:
 CONSLAT                          FEE:          CLASS:          PREFERENCE: 1B1
NBR BENF     1      COA:
STATUS/ACTION: PAB   PREMIUM PROCESSING CLOCK STOPPED

PRIORITY DATE:                       DATE VALID FROM: 00000000 TO:




 PF1    PF2     PF3      PF4     PF5    PF6       PF7    PF8     PF9    PF10   PF11
BENF   CL INQ  CANCEL   PRV MEN  EAC   MAIN MEN  CODES  LOGOFF  REMIT  REPR   HIST
3270
```

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

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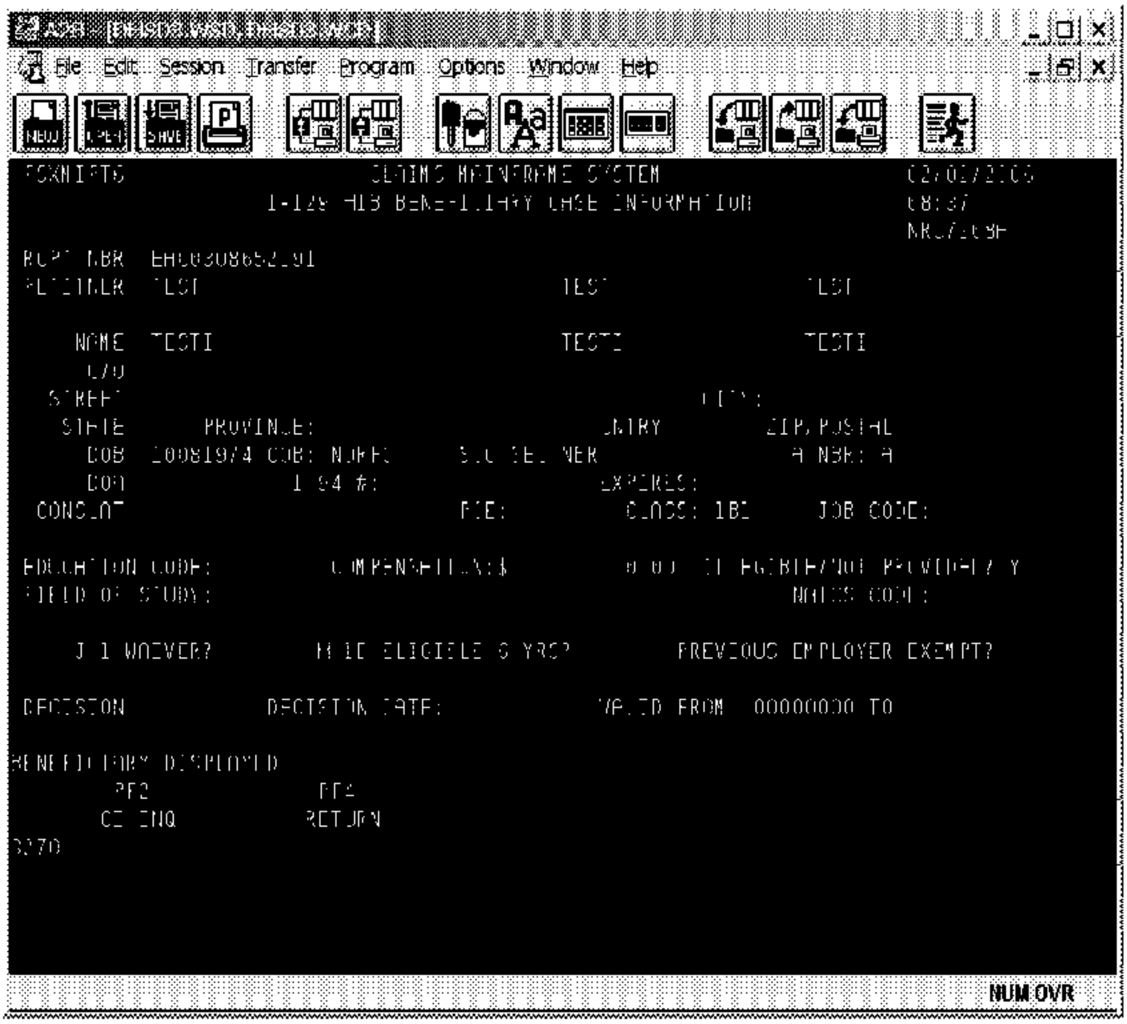
To see the beneficiary information press F1.



```
FOXNIPTS                    CLAIMS MAINFRAME SYSTEM                    02/01/2006
                  I-129 H1B BENEFICIARY CASE INFORMATION               08:37
                                                                       NRC/2C3F
RCPT NBR  EAC0308652191
PETITIONER  TEST                           TEST              TEST

    NAME  TEST1                            TEST1             TEST1
     C/O
  STREET                                             CITY:
   STATE      PROVINCE:                     CNTRY         ZIP/POSTAL
     DOB  10081974 COB: NORFC      SOC SEC NBR              A NBR: A
     DOA              I 94 #:               EXPIRES:
 CONSULAT                         FEE:         CLASS: 1B1     JOB CODE:

EDUCATION CODE:          COMPENSATION:$         0.00  IF EGIBLE/NOT PROVIDED/ Y
FIELD OF STUDY:                                               NAICS CODE:

    J 1 WAIVER?        H 1B ELIGIBLE 6 YRS?        PREVIOUS EMPLOYER EXEMPT?

DECISION            DECISION DATE:            VALID FROM  00000000 TO

BENEFICIARY DISPLAYED
        PF2             PF4
      CI INQ           RETURN
3270
```

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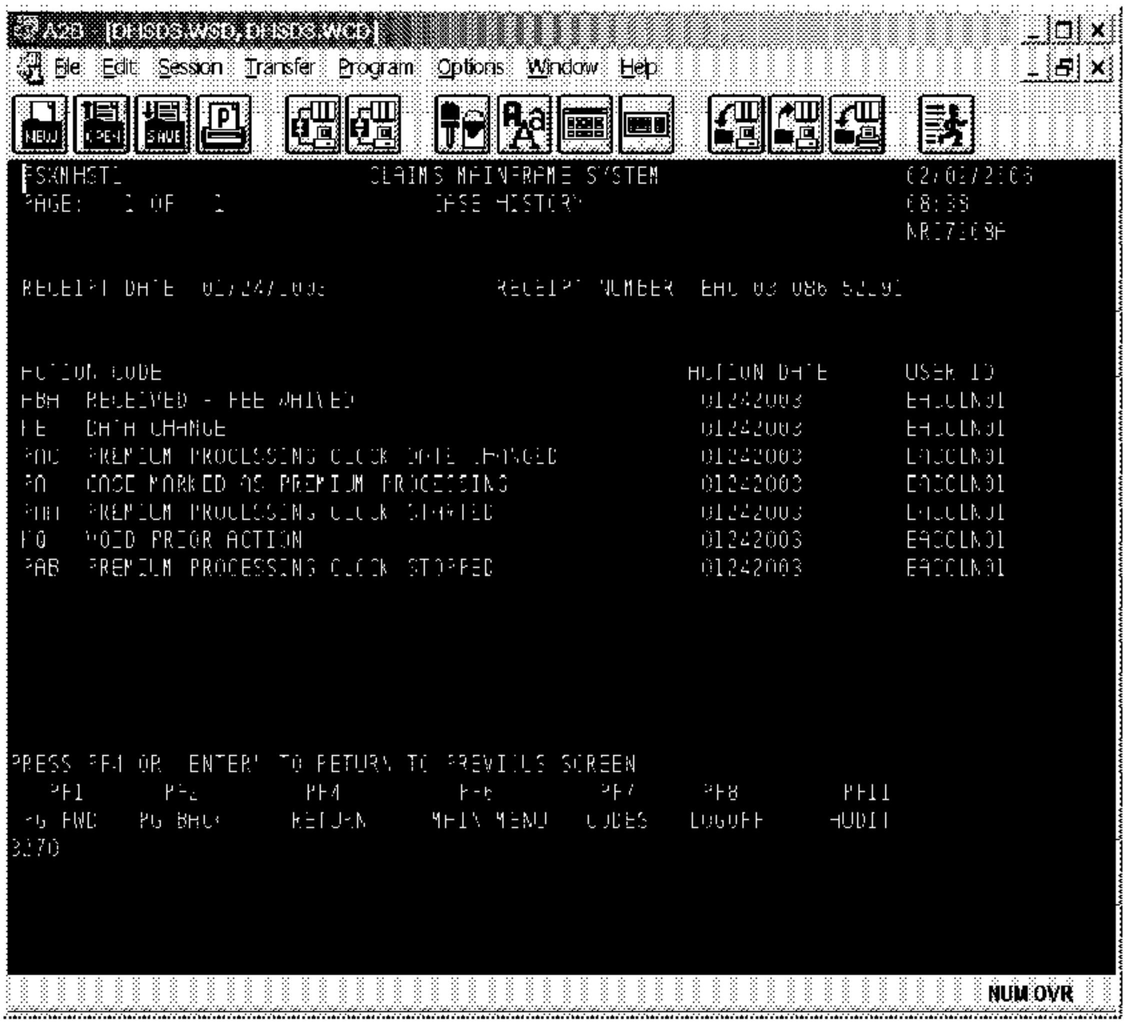
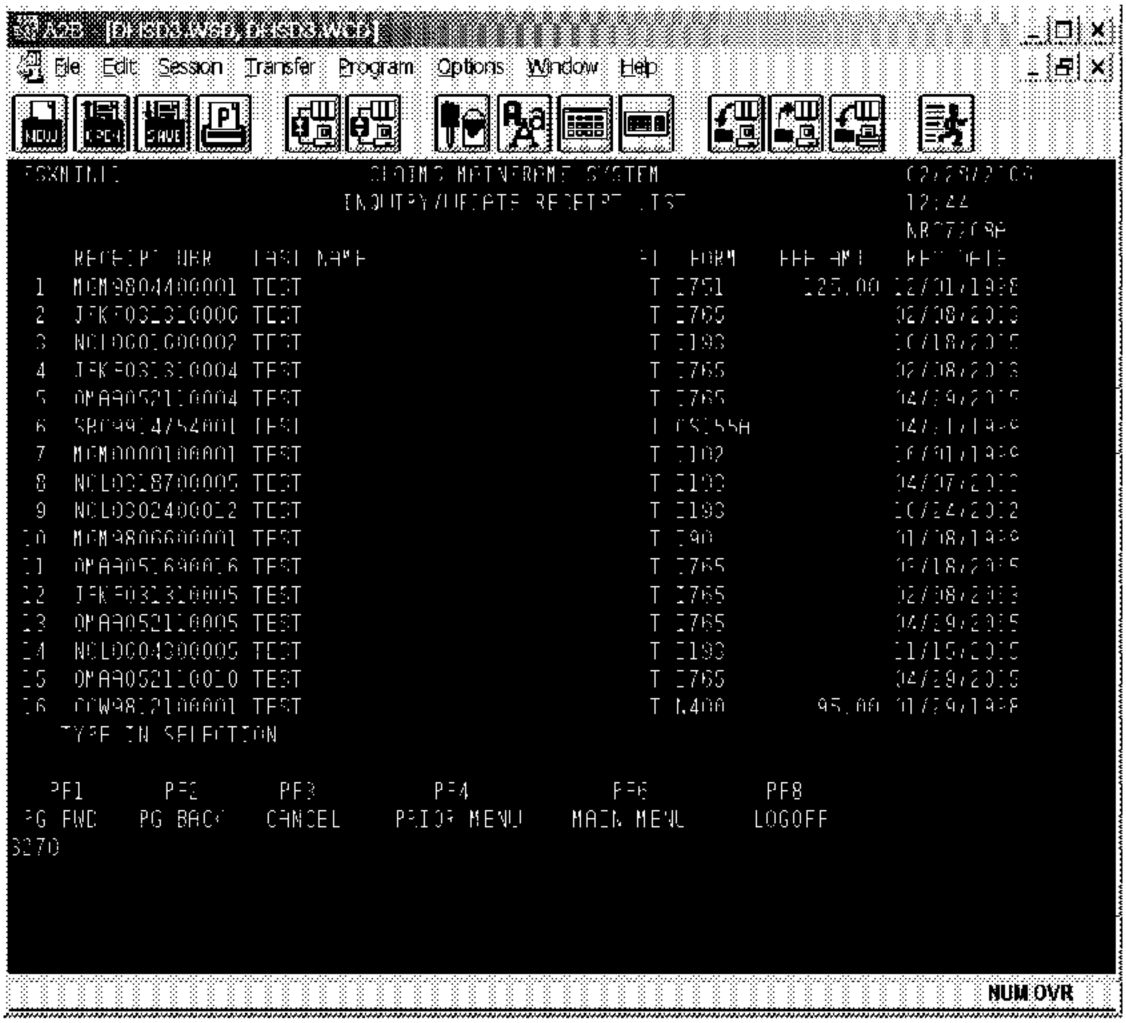
To view the history, press the F4 key to return to the previous screen, and enter F11.



```
FSXNHST1                     CLAIMS MAINFRAME SYSTEM                    02/02/2003
PAGE:   1 OF   1                  CASE HISTORY                          08:39
                                                                        NR171C9F

RECEIPT DATE  01/24/2003              RECEIPT NUMBER  EAC 03 086 52291


ACTION CODE                                            ACTION DATE      USER ID
FBA  RECEIVED - FEE WAIVED                              01242003        EAOCLN01
FE   DATA CHANGE                                        01242003        EAOCLN01
PAC  PREMIUM PROCESSING CLOCK DATE CHANGED              01242003        EAOCLN01
PA   CASE MARKED AS PREMIUM PROCESSING                  01242003        EAOCLN01
PAA  PREMIUM PROCESSING CLOCK STARTED                   01242003        EAOCLN01
FQ   VOID PRIOR ACTION                                  01242003        EAOCLN01
PAB  PREMIUM PROCESSING CLOCK STOPPED                   01242003        EAOCLN01





PRESS PF4 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
```



```
FSXNINIT                      CLAIMS MAINFRAME SYSTEM                    02/29/2016
                        INQUIRY/UPDATE RECEIPT LIST                      12:44
                                                                         NRC72C9F
    RECEIPT NBR    LAST NAME                           FI   FORM    FEE AMT   REC DATE
 1  MCM9804400001 TEST                                 T I751        125.00 12/01/1998
 2  JFKF031310006 TEST                                 T I765               02/08/2013
 3  NCL0601000002 TEST                                 T I193               10/18/2015
 4  JFKF031310004 TEST                                 T I765               02/08/2013
 5  OMA9052110004 TEST                                 T I765               04/29/2015
 6  SRC9914754001 TEST                                 I CSI55H             04/21/1999
 7  MCM0000100001 TEST                                 T I102               10/01/1999
 8  NCL0018700005 TEST                                 T I193               04/07/2011
 9  NCL0302400012 TEST                                 T I193               10/24/2012
10  MCM9806600001 TEST                                 T I90                01/08/1999
11  OMA9051690016 TEST                                 T I765               10/18/2015
12  JFKF031310005 TEST                                 T I765               02/08/2013
13  OMA9052110005 TEST                                 T I765               04/29/2015
14  NCL0604300005 TEST                                 T I193               11/15/2015
15  OMA9052110010 TEST                                 T I765               04/29/2015
16  CCW9812100001 TEST                                 T N400         95.00 01/29/1998
   TYPE IN SELECTION

  PF1      PF2      PF3        PF4          PF6        PF8
 PG FWD   PG BACK  CANCEL    PRIOR MENU   MAIN MENU   LOGOFF
3270
```

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.

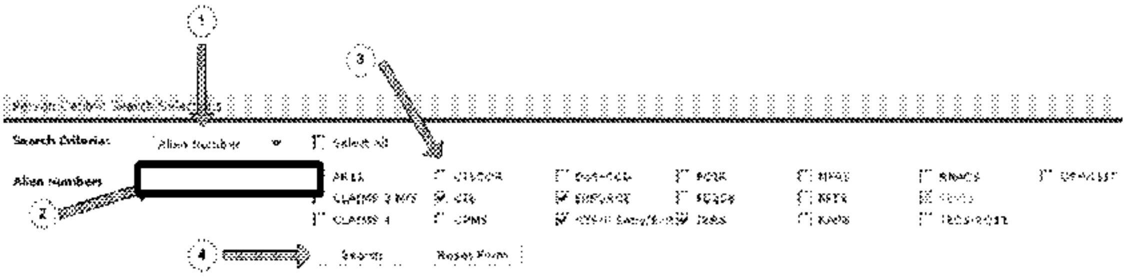
## 5.3. National File Tracking System (NFTS)

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.

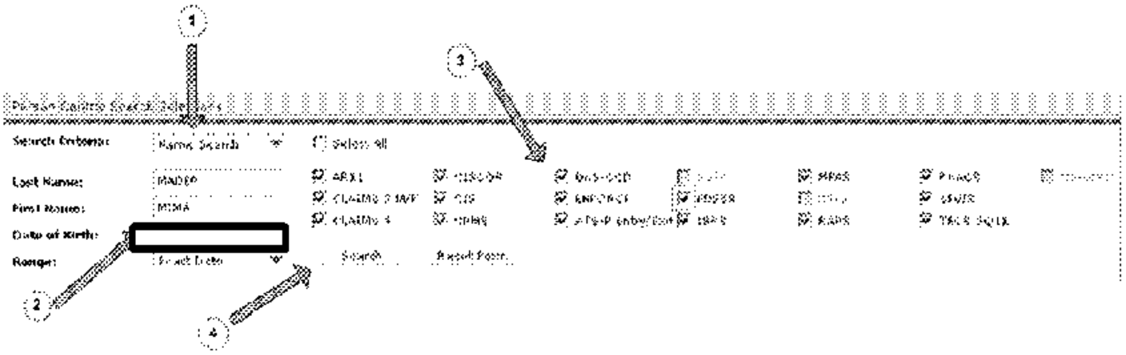
## 5.4. Person Centric Query Service (PCQS)

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.

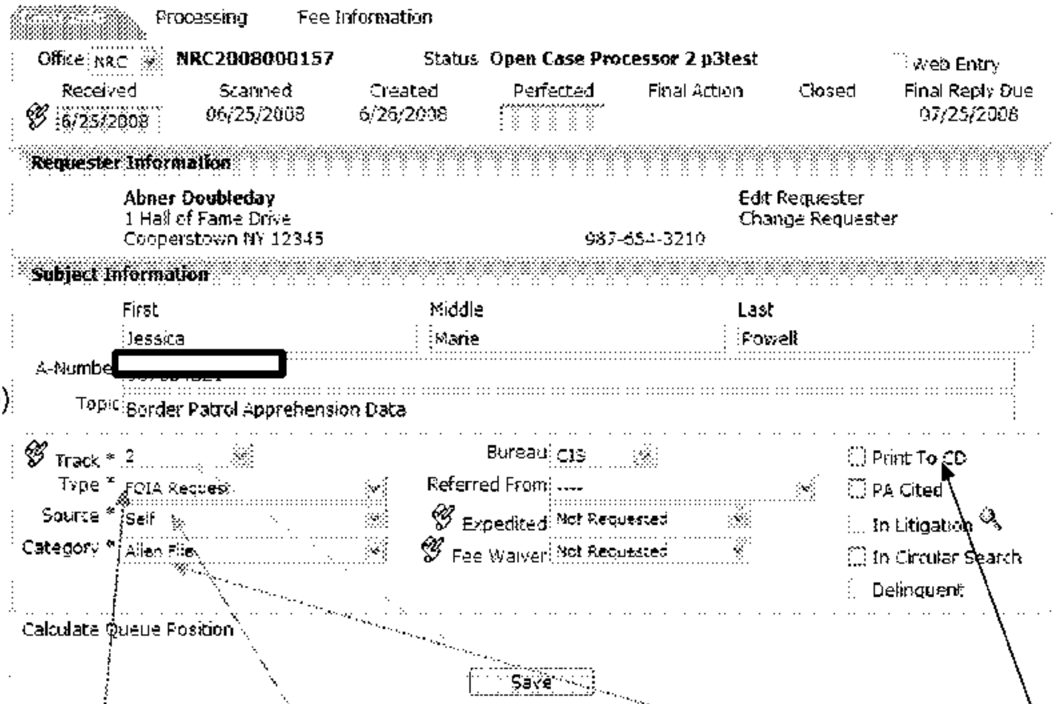

1
3
Search Criteria:
Alien Number
Select All
Alien Numbers
[redacted]
2
4
Search
Reset Form

(b)(6)


1
3
Person Centric Search Selections
Search Criteria:
Name Search
Select All
Last Name:
First Name:
Date of Birth:
[redacted]
Range:
Search
Reset Form
2
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.



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

**Subject Information**

First: Jessica
Middle: Marie
Last: Powell

A-Number [redacted]

(b)(6)

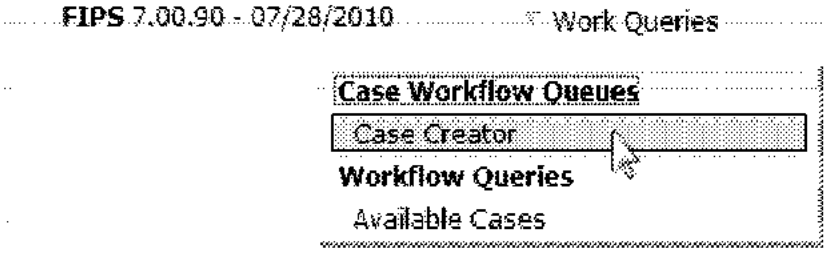
Topic: Border Patrol Apprehension Data

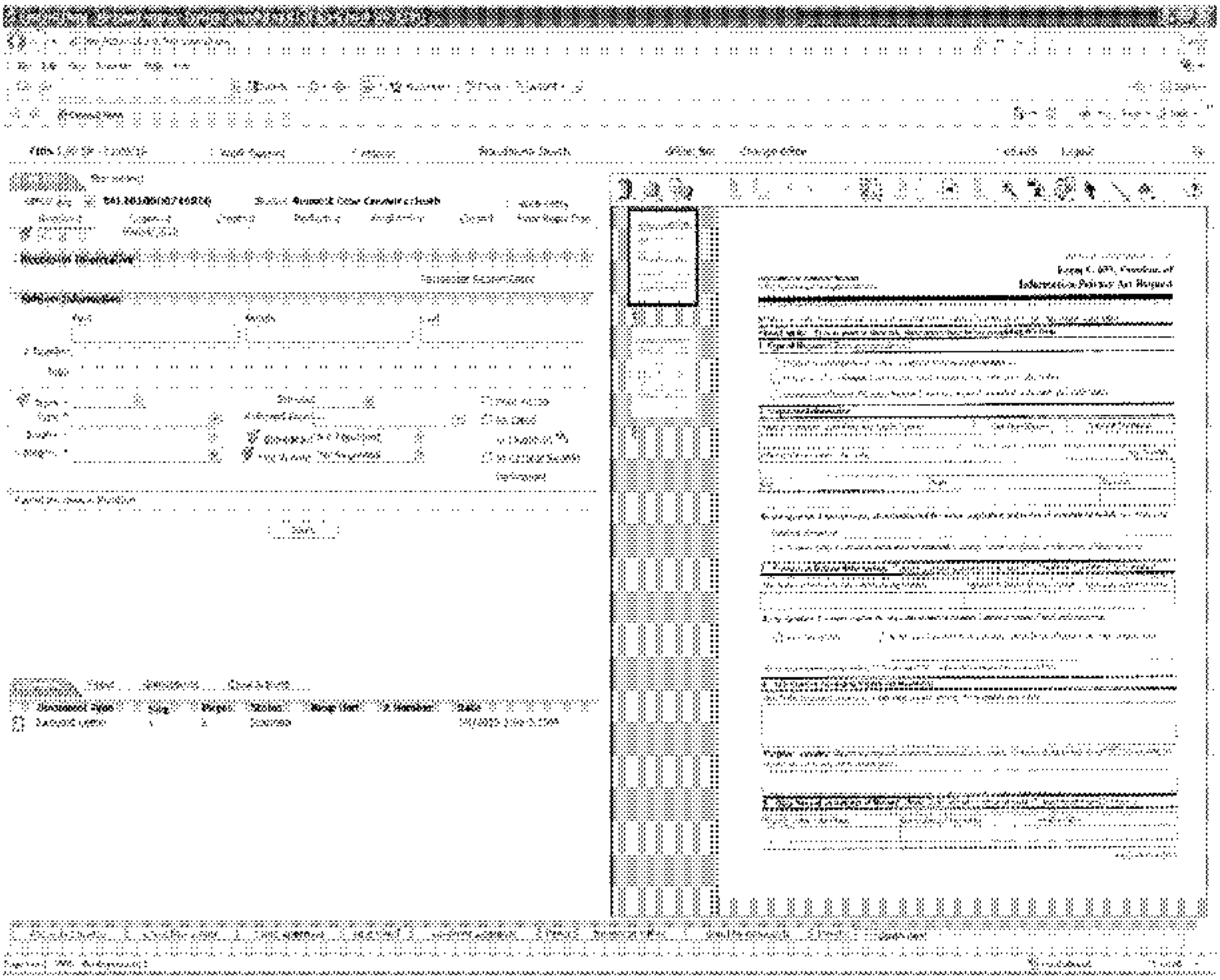
Track *: 2
Type *: FOIA Request
Source *: Self
Category *: Alien File
Bureau: CIS
Referred From: ----
Expedited: Not Requested
Fee Waiver: Not Requested

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

| 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
Case Workflow Queues
Case Creator
Workflow Queries
Available Cases



On the FIPS worksheet under the header "Contents," you will notice that usually Sequence 1 is the "Request Letter" and Sequence 2 is usually "Request Supporting Documents." There will be a date and time in the right column.

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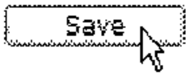
Sometimes the request will be Form G-639 only, sometimes it will be the G-639 and a G-28, Power of Attorney, sometimes it will be a letter from an attorney or representative and a G-28. Sometimes it will be a letter from the subject of record. At times, there will be documents scanned in, such as alien registration card, driver's license or other forms of identification. Other documents you may see can include miscellaneous screen prints or memoranda. You should view (almost) all documents scanned in FIPS in the Request Letter and Request Supporting Documents slots before you create the case.

During the Case Create process, you may need to leave your work station, or you may receive a telephone call, or various things may happen to distract you from creating the case. If anything happens and you need to stop work temporarily, it is ***always*** a good idea to click:



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

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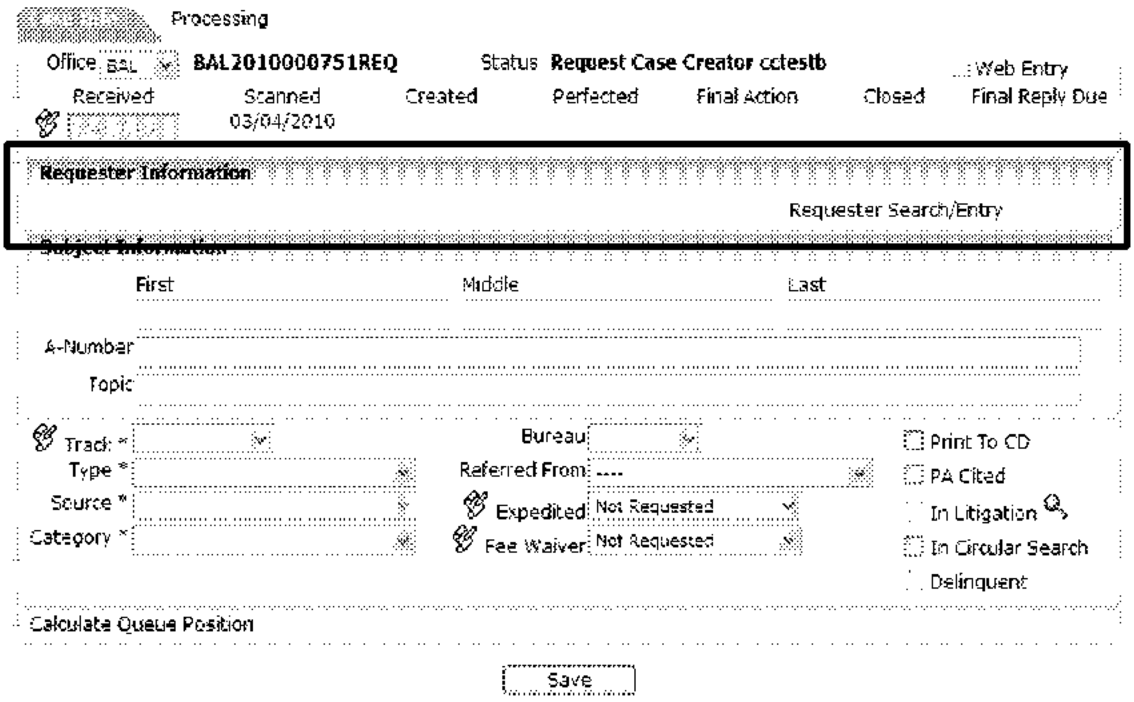
# 6.1 REQUESTER INFORMATION



Office: BAL

BAL2010000751REQ

Status: Request Case Creator cctestb

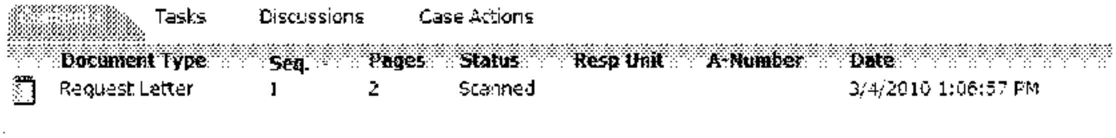
Scanned: 03/04/2010

Expedited: Not Requested

Fee Waiver: Not Requested

Referred From: ----

Processing
Web Entry
Received
Scanned
Created
Perfected
Final Action
Closed
Final Reply Due
Requester Information
Requester Search/Entry
Subject Information
First
Middle
Last
A-Number
Topic
Track *
Type *
Source *
Category *
Bureau
Referred From
Expedited
Fee Waiver
☐ 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 |

Tasks
Discussions
Case Actions

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

6.1.1.1 Do not use all capital letters in names.

6.1.1.2 Do not use professional titles, such as Doctor or Reverend in the requester information.

6.1.1.3 You may use Jr., Sr. or II, III, etc., if the requester or subject uses it on the request.

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6.1.1.4 Do not open cases in the name of a company or firm only. If the name of the requester on the Form G-639 is a company name, please review the supporting documents to try to locate the name of the attorney/representative of the company.

For example, if your request comes in on a G-639 and the name of the requester is only the name of the law firm representing the alien (for example, Wilens & Baker) you will need to look through your supporting documents to see if you can locate the name of the attorney at Wilens & Baker who is representing the alien. If you cannot locate the name of the attorney who is representing the alien, then open the case in the name of the alien, in care of the law firm. Do not use "Wilens & Baker" as the requester name.
6.1.1.5 Do not hyphenate names.

6.1.1.6 Double-check the spelling of the names. If the name of the requester is not clear on the request letter, check the supporting documents for a Form G-28 for a clear copy.

6.1.1.7 Add a period after the middle initial.

6.1.1.8 Rescinded. ~~If the subject does not provide a middle name or initial, enter "NMN" in the "Middle" field.~~

6.1.1.9 Do not use part of the last name as a middle name, for example Hispanic names. Sometimes it is obviously a middle name, such as Juan Jose Gonzalez. Sometimes it is obviously a first and second last name, such as Juan Gonzalez Becerra. Other times, it is not so clear. You might look at the mother's and father's last names, if provided. If you are unsure, contact a supervisor.

6.1.1.10 If the 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.

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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.

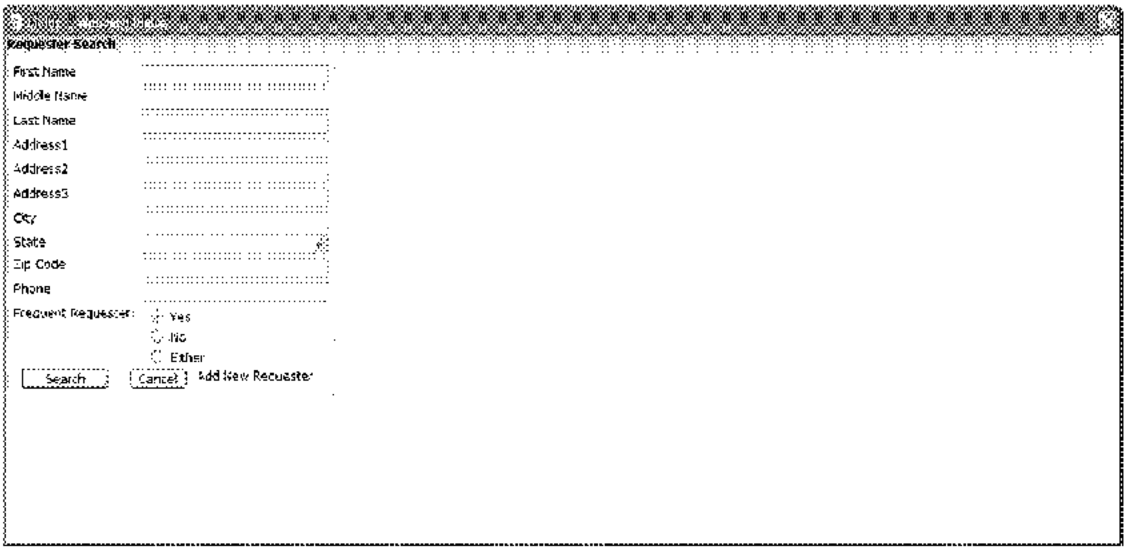
6.1.1.18 If the address is foreign, you must check the box marked Foreign. This will change the format of the worksheet to include the Province and Country. You must complete these fields to ensure proper delivery. Before pending this case for any further action, please check the "Print to CD" box and add a Discussion note that you did so.

The following places are NOT foreign countries:

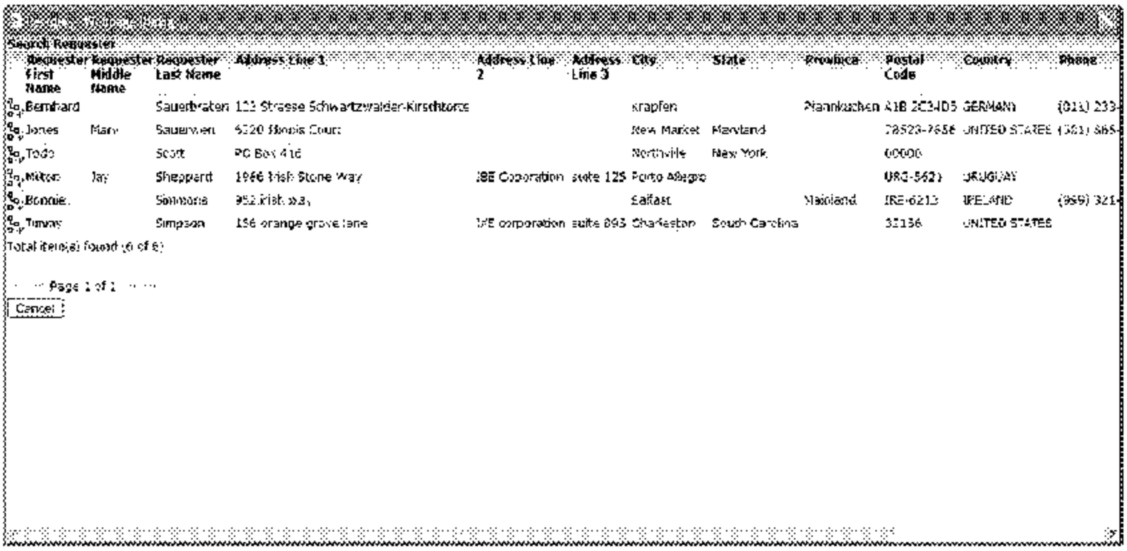
American Samoa
Guam
Puerto Rico
Northern Mariana Islands
Baker Island
Howland Island
Jarvis Island
Kingman Reef
Midway Islands
Navassa Island
New Mexico
Palau
Palmyra Atoll
U.S. Virgin Islands
Wake Island
Micronesia

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

**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:



| | 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 | 123 Strasse Schwartzwalder-Kirschtorte | | | krapfen | | Pfannkuchen | A1B 2C3D5 | GERMANY | (011) 233- |
| | Jones | Mary | Sauerwein | 5320 Illinois Court | | | New Market | Maryland | | 78523-7656 | UNITED STATES | (301) 865- |
| | Todd | | Scott | PO Box 416 | | | Northville | New York | | 00000 | | |
| | Milton | Jay | Sheppard | 1966 Irish Stone Way | IBE Corporation | suite 125 | Porto Allegro | | | URG-5621 | URUGUAY | |
| | Bonnie | | Simmons | 952 Irish way | | | Belfast | | Mainland | IRE-6213 | IRELAND | (969) 321- |
| | Timmy | | Simpson | 156 orange grove lane | IVE corporation | suite 893 | Charleston | South Carolina | | 32156 | UNITED STATES | |

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:

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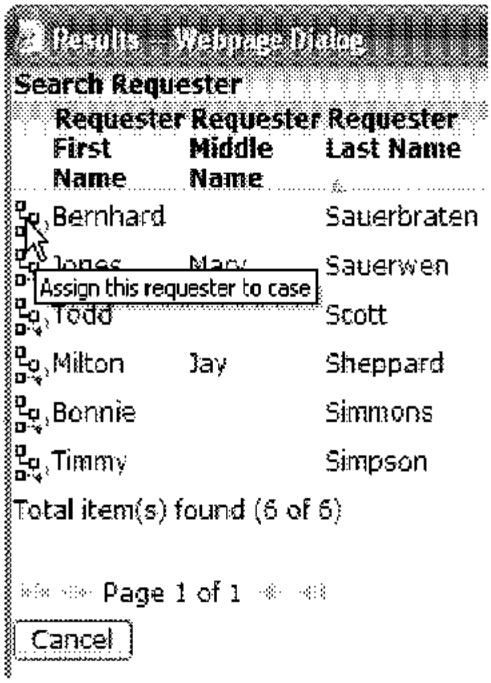

Results -- Webpage Dialog

**Search Requester**

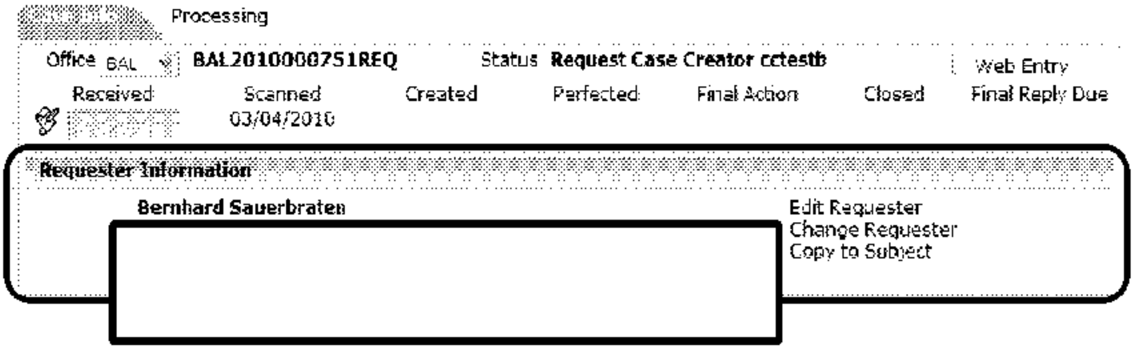
| Requester First Name | Requester Middle Name | Requester Last Name |
|---|---|---|
| Bernhard | | Sauerbraten |
| Jones | Mary | Sauerwen |
| Todd | | Scott |
| Milton | Jay | Sheppard |
| Bonnie | | Simmons |
| Timmy | | Simpson |

Assign this requester to case

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**

(b)(6)

[redacted]

Edit Requester
Change Requester
Copy to Subject

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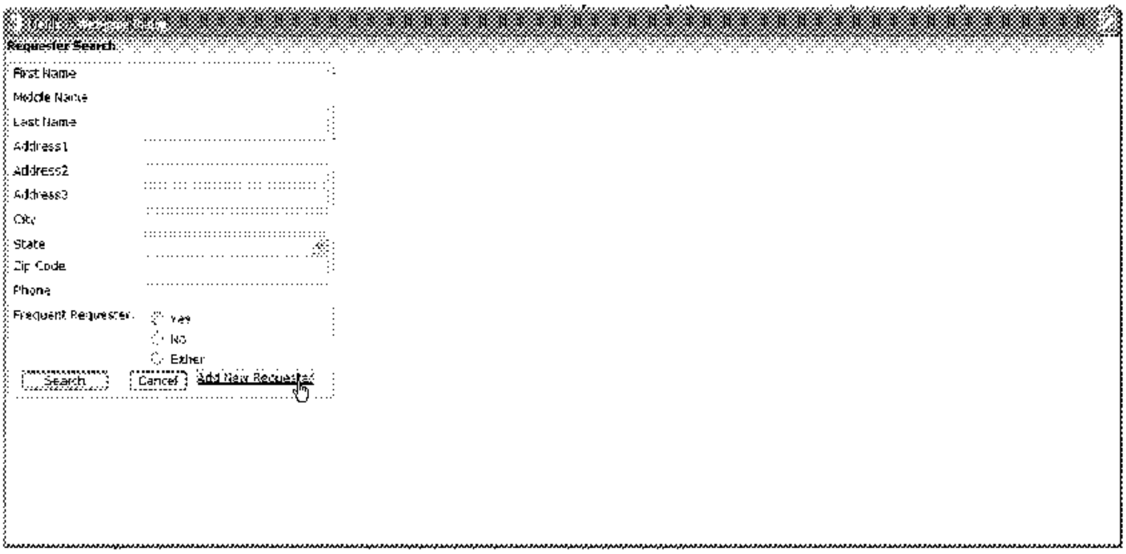
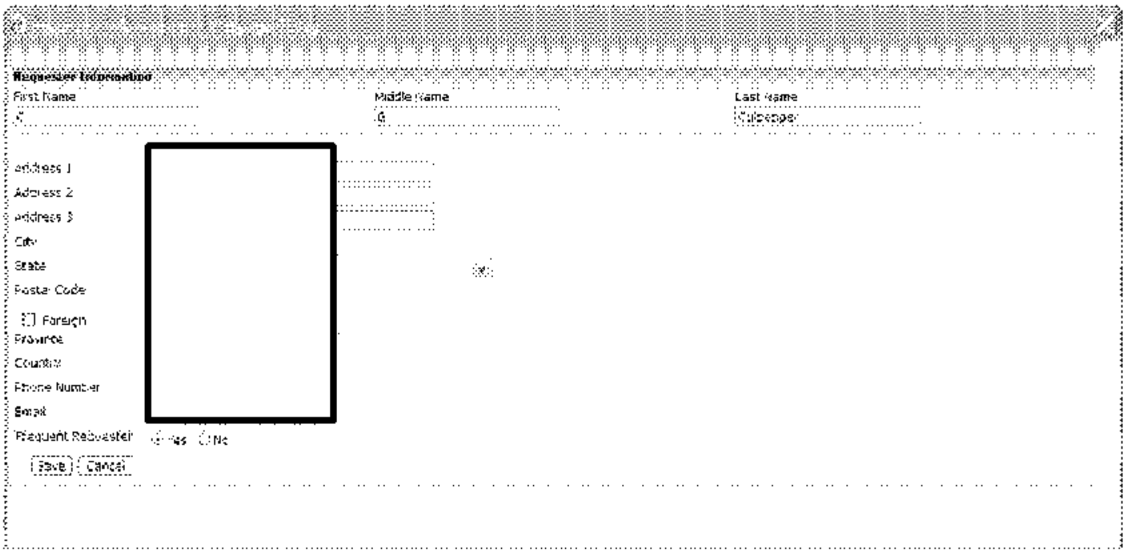
**6.1.3 Add New Requester.** If you do **not** find a match, you will have to add a new requester by selecting Add New Requester:


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

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.

(b)(6)


Requester Information
Address 1
Address 2
Address 3
City
State
Postal Code
☐ Foreign
Province
Country
Phone Number
Email
Frequent Requester
○ Yes ○ No
Save
Cancel

First Name: S

Middle Name: G

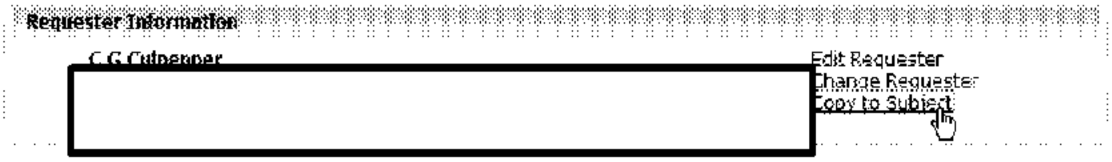
Last Name: Culpepper

[redacted]

## 6.2 SUBJECT INFORMATION

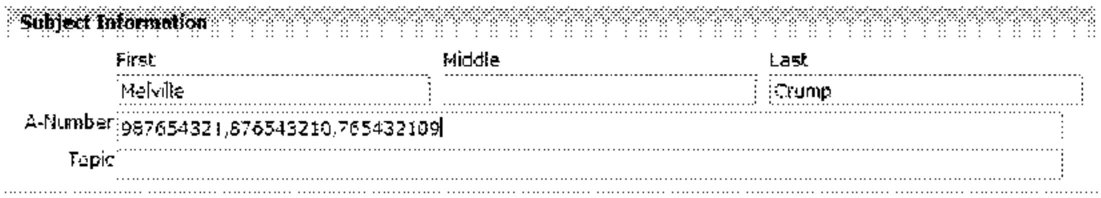
After saving, look to see if this is a self-request. If so, you can copy the Requester Information to the Subject:

(b)(6)



[redacted]

Otherwise, you will have to enter the subject information in the area. If the person gave more than one A-Number, please separate them with a comma in the A-Number field.



First: Melville
Middle:
Last: Crump
A-Number: 987654321,876543210,765432109
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

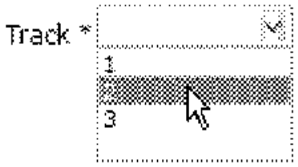
**Incorrect:** MSC-04-123-60000

**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, 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.

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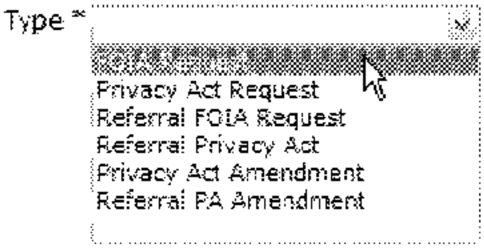
**6.3.1.3.9** If you are not sure whether to approve or deny Track 3, please consult your supervisor.

**6.3.1.3.10** If you assign the case to Track 3, ensure you put the words "TRACK 3" at the top of the file request.

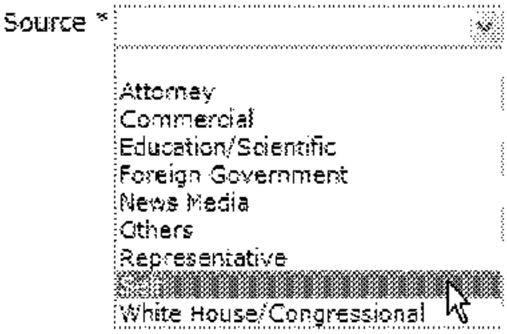
**6.3.1.3.11** If the requested file has already been scanned because of a prior FOIA request that has now been resubmitted for Track 3 processing, do not create the case. You should send the case to Research, where they will attach the new request to the existing case as a CSD. If Track 3 processing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

### *6.3.2 Type*


Type *
[illegible]
Privacy Act Request
Referral FOIA Request
Referral Privacy Act
Privacy Act Amendment
Referral PA Amendment

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

### *6.3.3 Source*


Source *
Attorney
Commercial
Education/Scientific
Foreign Government
News Media
Others
Representative
[illegible]
White House/Congressional

The source of the request is, quite simply, who is making the request. Is the requester the individual or an attorney or representative speaking on the alien's behalf? Is it a request from the media or a true third party requester? Below is a list of possibilities for requesters:

- Attorney - The requester is an attorney representing the alien. The attorney will have checked the box on the G-28 marked "Attorney," or will have sent us a letter on the law firm's letterhead.

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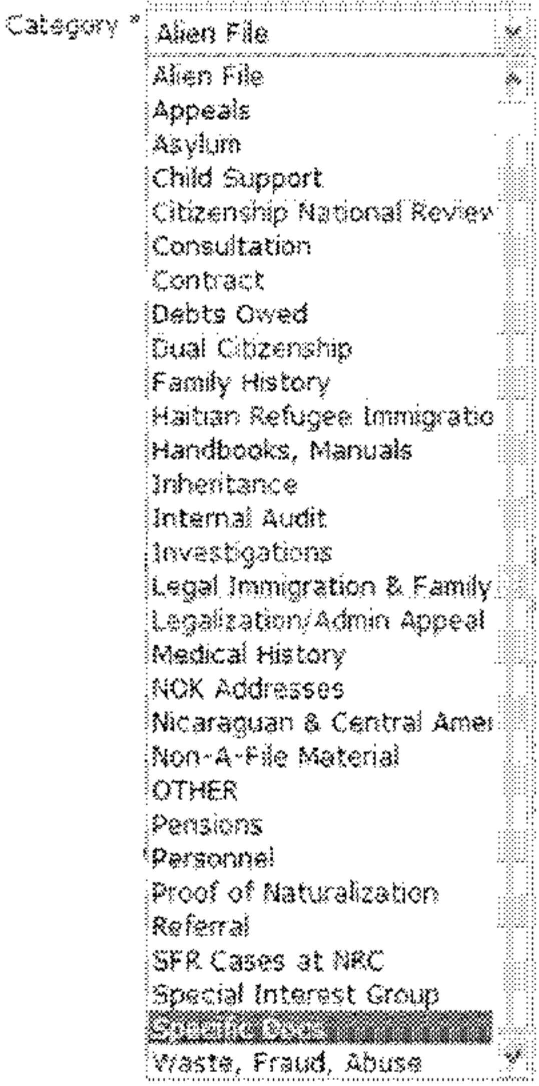
- Commercial
- Education/Scientific
- Foreign Government
- News Media
- Others - The requester of the file is someone other than the alien, an attorney or an accredited representative. They might possibly include a G-28 with something other than "Attorney" or "Accredited Representative" checked.
- Representative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

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

### *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 Immigratio
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
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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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.

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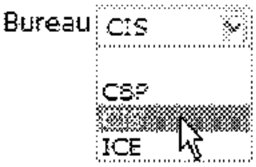
If it does meet the criteria, the designated person will create a letter referring the requester to the Genealogy program and will close the case as ER.

### *6.3.5 Bureau*



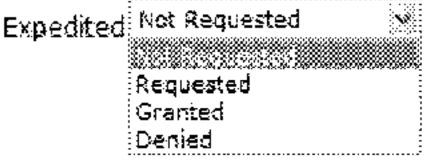
The three possible selections for Bureau are:

**ICE** – Used to identify requests wherein the requester is seeking information in connection with deportation hearings and other immigration related litigation (OPLA/DRO/SAC)

**CIS** – Used for all other categories. This is the default in FIPS.

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



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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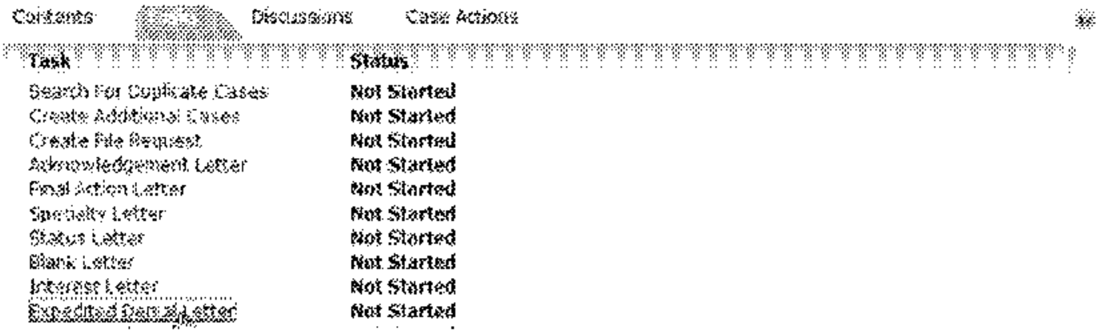
Expedited drop-down box. When you create the acknowledgement letter, it will address the fact that Expedited Treatment is granted.

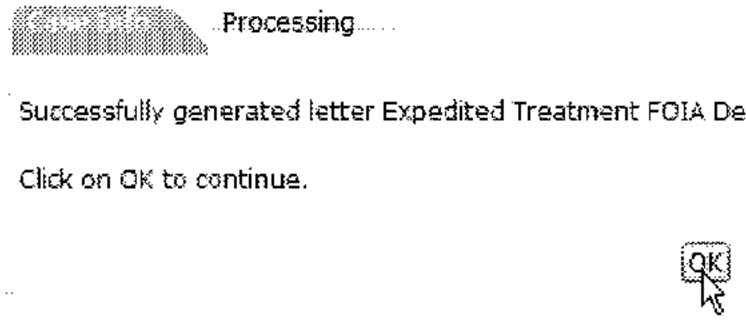
USCIS denies most requests for expedited treatment because the requester failed to establish either of the necessary criteria.

**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.



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

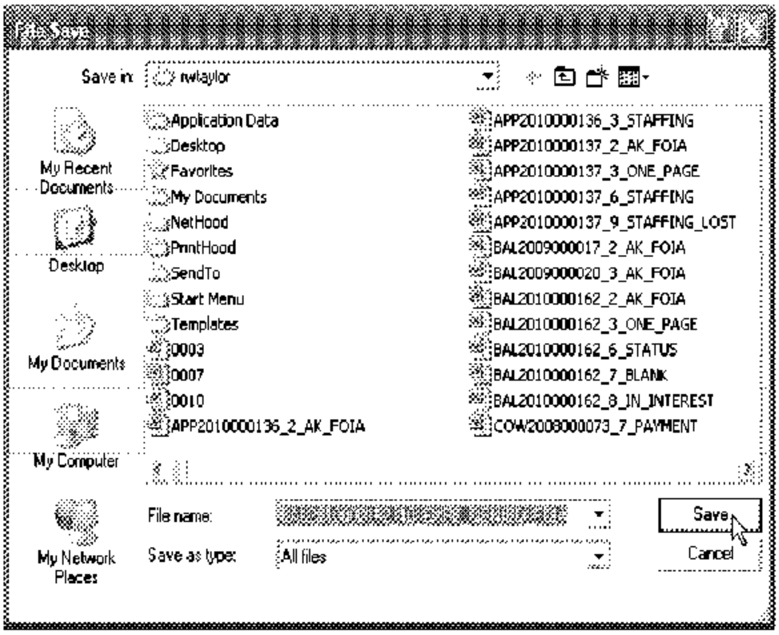
**6.3.6.6** Do not mark both "Expedited Treatment Requested" and "Track 3." A request can be either expedited or Track 3, but not both. If the requester has asked for Expedited Treatment and Track 3, treat it as if it is a Track 3 request and follow the instructions in TRACK 3 PROCEDURES. In such a case, you should not mark "Expedited Treatment Requested" before sending it to Unit Chief.



Successfully generated letter Expedited Treatment FOIA Denial.

Click on OK to continue.

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


File Save
My Recent Documents
Desktop
My Documents
My Computer
My Network Places
Application Data
Desktop
Favorites
My Documents
NetHood
PrintHood
SendTo
Start Menu
Templates
0003
0007
0010
APP2010000136_2_AK_FOIA
APP2010000136_3_STAFFING
APP2010000137_2_AK_FOIA
APP2010000137_3_ONE_PAGE
APP2010000137_6_STAFFING
APP2010000137_9_STAFFING_LOST
BAL2009000017_2_AK_FOIA
BAL2009000020_3_AK_FOIA
BAL2010000162_2_AK_FOIA
BAL2010000162_3_ONE_PAGE
BAL2010000162_6_STATUS
BAL2010000162_7_BLANK
BAL2010000162_8_IN_INTEREST
COW2008000073_7_PAYMENT
Save
Cancel

Save in: rwtaylor

File name: [illegible]

Save as type: All files

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."

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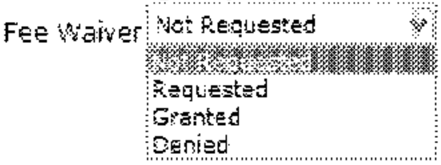
### *6.3.7 Is there a request for fee waiver?*



The requester may ask for a waiver of fees in his or her request or in accompanying documentation submitted with his or her request. USCIS considers all requests for fee waivers on a case-by-case basis.

A requester must meet two requirements in order for USCIS to grant a fee waiver:

1. The disclosure of the requested information must be in the public interest,
2. AND the disclosure of the information is not primarily in the commercial interest of the requester. For a detailed explanation, please refer to the U.S. Department of Justice Guide to the Freedom of Information Act, "Fees and Fee Waivers."

Also note: the requester must ask for a fee waiver. Simply including a DOJ Fee Waiver form does not constitute a request for fee waiver. If the requester has written any statement to the effect of a request for fee waiver on the form, then you treat it as a request for fee waiver.

**6.3.7.1** When a requester has asked for a fee waiver, there should be a cover sheet advising you of approval or denial. You may determine to deny based upon the two criteria listed above. If you do so, you must select "Denied" in the Fee Waiver drop-down box on the FIPS worksheet. Regardless of the decision on the fee waiver, you must insert a Discussion in FIPS indicating that you addressed the fee waiver request.

**6.3.7.2** When you are finished creating a case with a fee waiver request, create a Specialty Letter and select Fee Waiver Denied, edit the document if necessary and then create the case as normal. If you are not sure, please consult your supervisor.

**6.3.7.3** If you believe the requester meets the requirements for fee waiver (and there was no cover sheet) then select "Requested" and send the request to Unit Chief. E-mail your supervisor with the details. A supervisor will make the decision to approve or deny the fee waiver and send the case back to you in the case create role. At that point, you will select either "Granted" or "Denied."

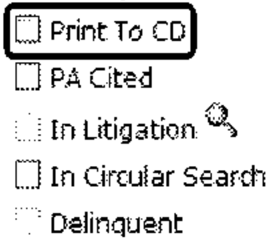
**6.3.7.4** Fee Waiver Denied: When you respond to a request for fee waiver, you must add specific language to the acknowledgement letter. Please see O:\Foia\FOIA_LIBRARY\Case_Create_References\Case_Create_Template_Letters\Fee_Waiver(denied) for an example of the denial language. Copy and paste this language into the acknowledgement letter. Do not bold, underline, highlight or enlarge the font of the 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*



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

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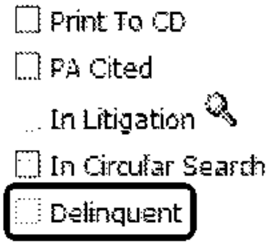
be providing your records on a Compact Disc (CD)"

**6.3.8.4** If the requester is in prison but we are sending the responsive records to an attorney's office, we will print to CD.

**6.3.8.5** If a requester specifically asks for their records on paper, do not check "Print to CD" box create a Discussion note citing the reason. In such an instance, you must modify the acknowledgment letter so that we do not tell the requester we are printing the responsive records to CD. Modify the acknowledgement letter by removing the paragraph that begins with "This office will be providing your records on a Compact Disc (CD)"

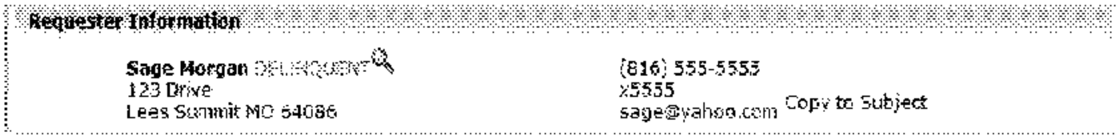
### *6.3.9 Is this a delinquent requester?*



☐ 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).

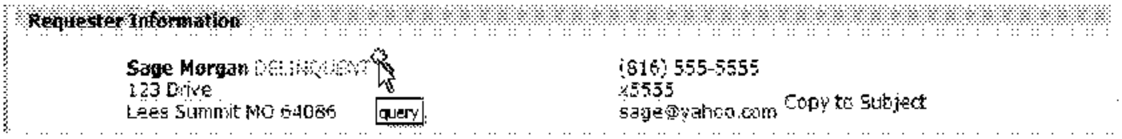


**Requester Information**

**Sage Morgan** 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**

**Sage Morgan** DELINQUENT
123 Drive
Lees Summit MO 64086 query

(816) 555-5555
x5555
sage@yahoo.com Copy to Subject

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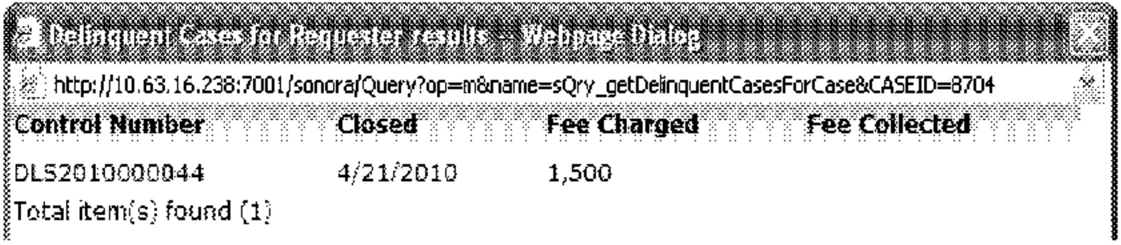
The query results appear in a separate window.

**Query Results**



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.

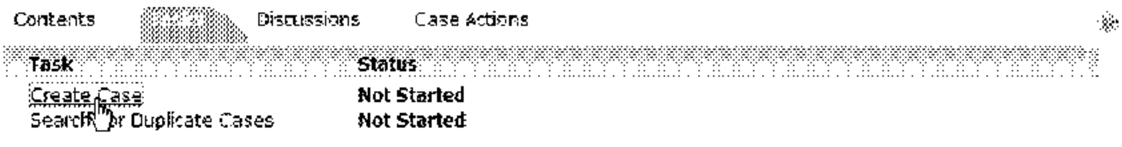
**DELINQUENT REQUESTER RULES:**

**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:



| 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.

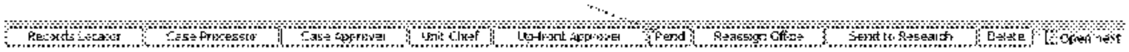
NOTE: If you are creating multiple cases, you should "Create Additional Cases" before you prepare the Acknowledgment Letter and File Request(s) for the original case.

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.

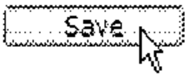
If the requester has more than one delinquent case, you will have to add up the total and modify the delinquent requester letter providing the case number for each delinquent case, the dollar amount owed for each, the total dollar amount owed, and instructions to prepare a check for the total amount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

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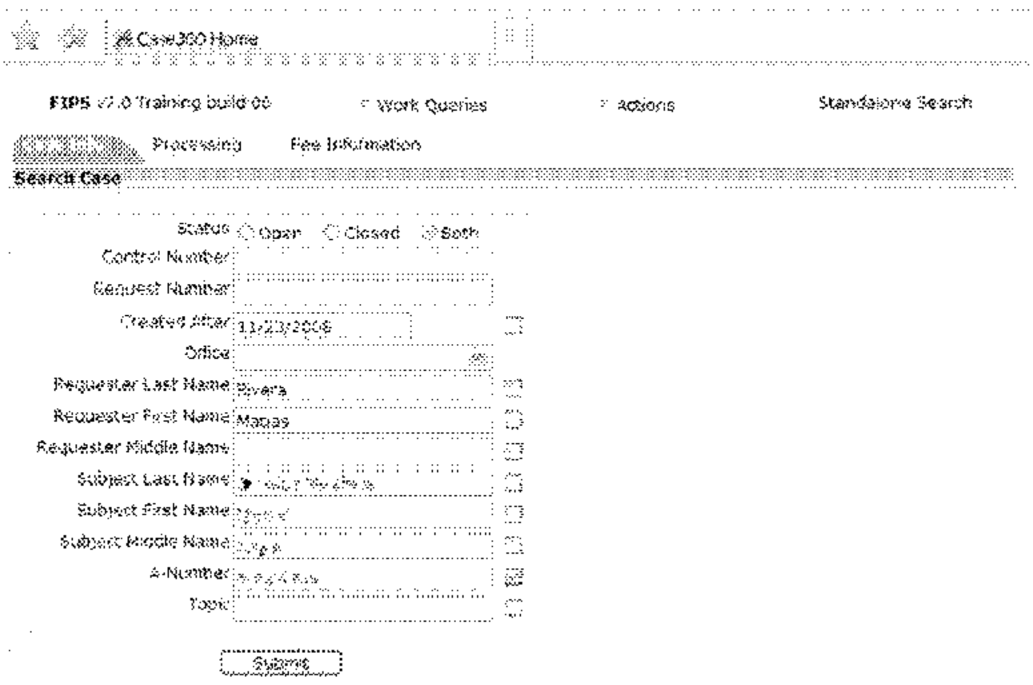
receiving offices will then in turn, transfer these requests to NRC. These are duplicate cases when an office has already processed this request with a final action code of either PD or G1, or has it ready to be processed.

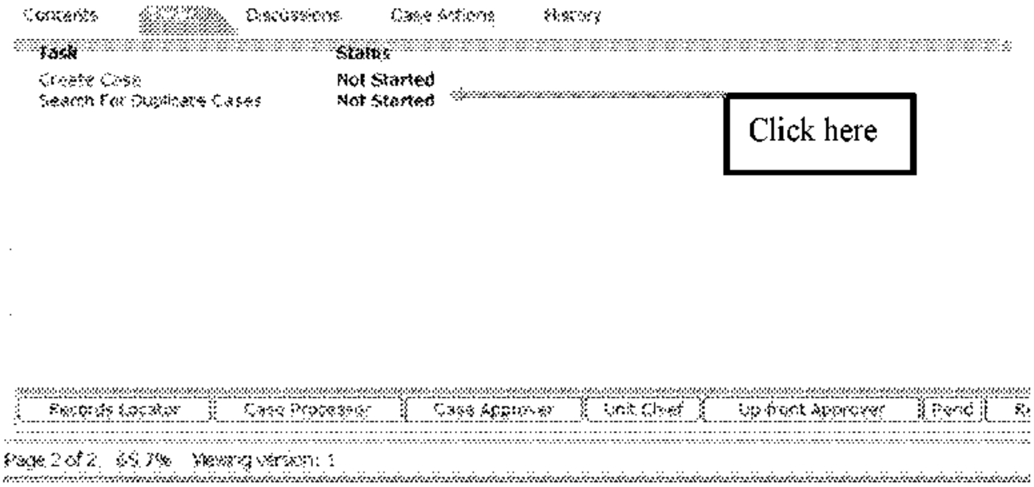
This does not include instances in which the requester has faxed the request and then mailed it. If you open a case and find that the exact same request has very recently been created, chances are that you have opened the mailed copy which followed a few days after the fax. Close this case as ER (created in error).


Case360 Home
FIPS v2.0 Training build 00
Work Queries
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: Rivera
Requester First Name: Mapas
Requester Middle Name:
Subject Last Name: [illegible]
Subject First Name: [illegible]
Subject Middle Name: [illegible]
A-Number: [illegible]
Topic:

Submit


Contents
Discussions
Case Actions
History

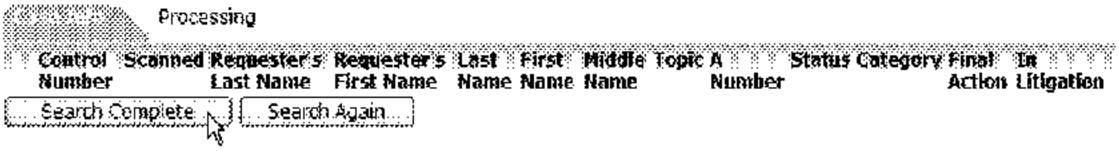
| Task | Status |
|---|---|
| Create Case | Not Started |
| Search For Duplicate Cases | Not Started |

Click here

Records Locator
Case Processor
Case Approver
Unit Chief
Up-front Approver
Pend

Page 2 of 2 69.7% Viewing version: 1

Ordinarily, you will get a blank result.


Processing

| Control Number | Scanned | Requester's Last Name | Requester's First Name | Last Name | First Name | Middle Name | Topic | A Number | Status | Category | Final Action | In Litigation |
|---|---|---|---|---|---|---|---|---|---|---|---|---|

Search Complete
Search Again

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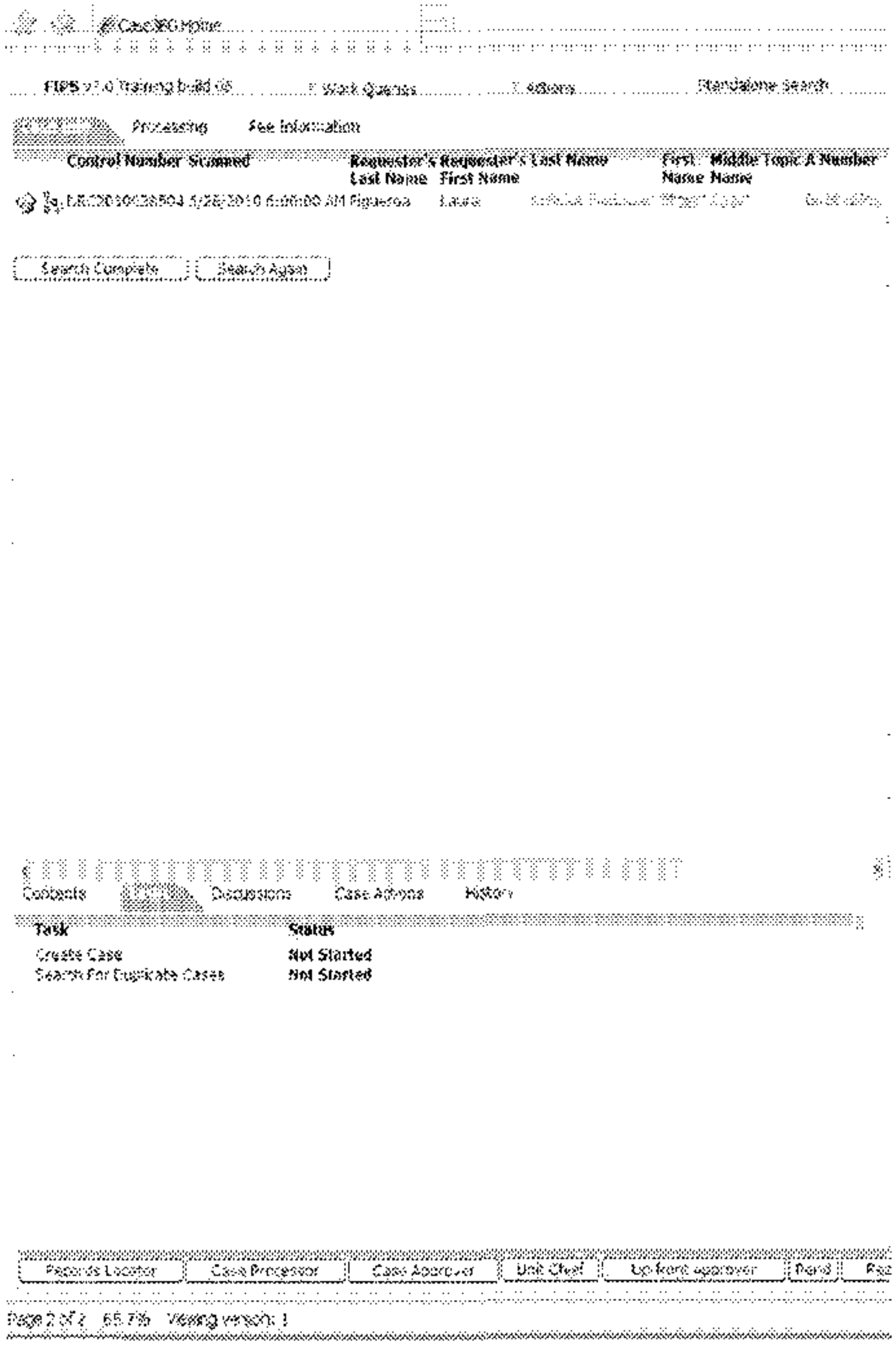
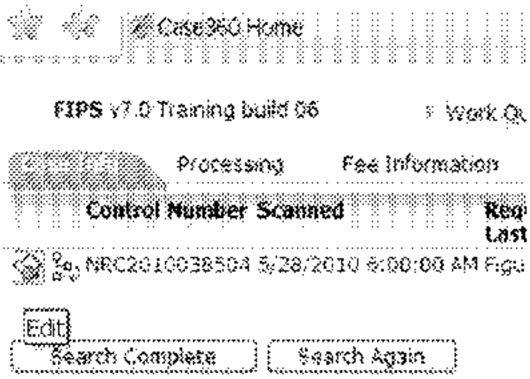
You may select "Search Complete" or you may select "Search Again" to try the search by a single criterion or different combinations such as Subject Last Name, Subject First Name, Requester Last Name, and so forth. However, the search may yield an open case:


Case360 Home
FIPS v7.0 Training build
Work Queues
Actions
Standalone Search
Processing
Fee Information
Search Complete
Search Again
Contacts
Discussions
Case Actions
History
Records Locator
Case Processor
Case Approver
Unit Chief
Up front approver
Pend
Page 2 of 2 65.7% Viewing version: 1

| Control Number | Scanned | Requester's Last Name | Requester's First Name | Last Name | First Name | Middle Name | Topic | A Number |
|---|---|---|---|---|---|---|---|---|
| [illegible] | 5/28/2010 6:00:00 AM | Figueroa | Laura | [illegible] | [illegible] |  |  | [illegible] |

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

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:

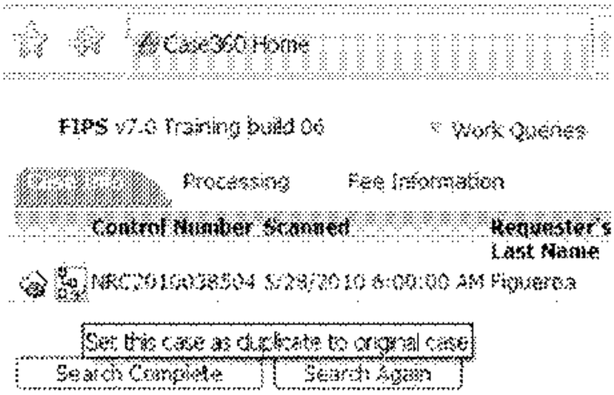

Case360 Home
FIPS v7.0 Training build 06
Work Q
Processing
Fee Information
Edit
Search Complete
Search Again

Control Number Scanned | Req Last
NRC2010038504 5/28/2010 6:00:00 AM Figu

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
Set this case as duplicate to original case
Search Complete
Search Again

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

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.

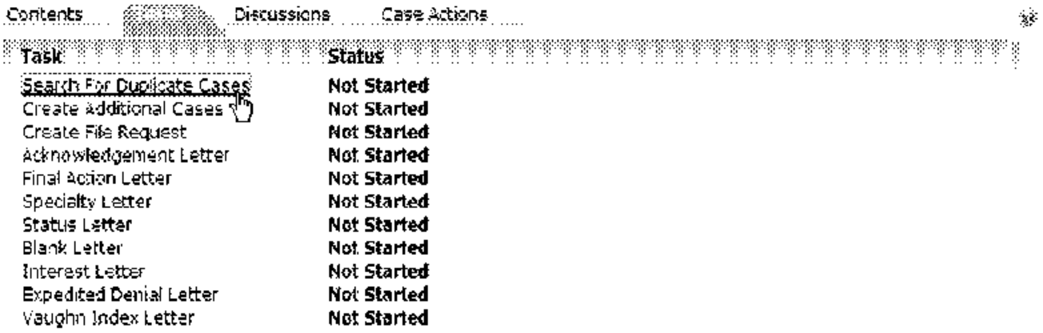
## 6.5 COPYING RECORDS FROM A CLOSED CASE

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**.

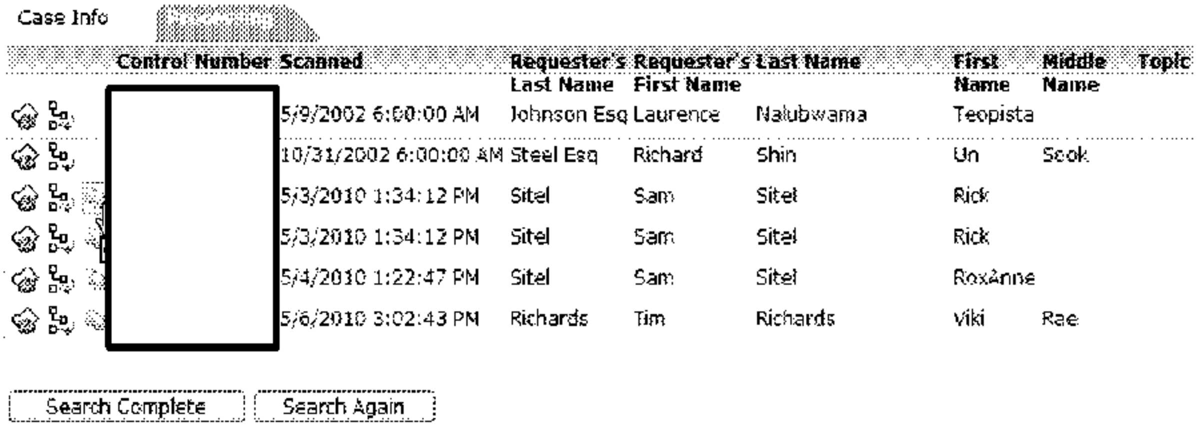


| Task | Status |
|---|---|
| Search For Duplicate Cases | **Not Started** |
| Create Additional Cases | **Not Started** |
| Create File Request | **Not Started** |
| Acknowledgement Letter | **Not Started** |
| Final Action Letter | **Not Started** |
| Specialty Letter | **Not Started** |
| Status Letter | **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.

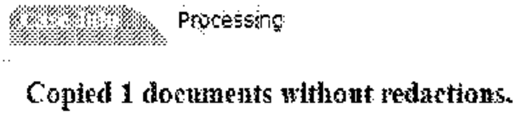
To copy the responsive records from the case shown in the search results into the new case, click the **Copy Documents** icon, which looks like two pages:



(b)(6)

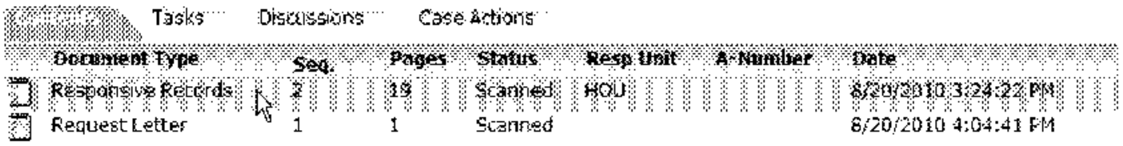
| Control Number | Scanned | Requester's Last Name | Requester's First Name | Last Name | First Name | Middle Name | Topic |
|---|---|---|---|---|---|---|---|
| [redacted] | 5/9/2002 6:00:00 AM | Johnson Esq | Laurence | Nalubwama | Teopista | | |
| | 10/31/2002 6:00:00 AM | Steel Esq | Richard | Shin | Un | Seok | |
| | 5/3/2010 1:34:12 PM | Sitel | Sam | Sitel | Rick | | |
| | 5/3/2010 1:34:12 PM | Sitel | Sam | Sitel | Rick | | |
| | 5/4/2010 1:22:47 PM | Sitel | Sam | Sitel | RoxAnne | | |
| | 5/6/2010 3:02:43 PM | Richards | Tim | Richards | Viki | Rae | |

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



**Copied 1 documents without redactions.**

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



| Document Type | Seq. | Pages | Status | Resp Unit | A-Number | Date |
|---|---|---|---|---|---|---|
| Responsive Records | 2 | 19 | Scanned | HQU | | 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.

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

Consent could be:

- Block 3 on Form G-639, or
- A properly executed Form G-28, or
- A separate declaration by the subject, such as:

  Pursuant to the Privacy Act of 1974 and DHS policy, I hereby consent to the disclosure to ________ __________ of any record pertaining to me that appears in any system of records of USCIS, USCBP, or USICE.

## 7.1 Consent of parents or guardians

If a parent is filing on behalf of a minor child, then the parent must submit proof of parentage. Proof of parentage can be in the form of a birth certificate, adoption decree or similar document, naming them as a legal parent.

If a guardian is filing on behalf of a minor or person judicially determined to be incompetent, he or she must submit proof of guardianship. No consent is necessary from the minor child or the person judicially determined to be incompetent, however the parent/guardian must provide his or her own verification of identity that is notarized or signed under penalty of perjury [6 C.F.R. § 5.21(e)]. The case processor will have to request more information if he or she cannot determine parentage or guardianship within the file.

Minors may request their own files; they do not have to have the consent of their parents or guardians to do so. Attorneys may represent minors also.

## 7.2 Verification of Identity

If a requester is asking for a Privacy Act record, he or she must provide verification of identity.

A Privacy Act record, for USCIS purposes, is any item, collection, or grouping of information about a person which we retrieve by the person's name, identifying number, symbol, or other identifying particular assigned to that person. This information includes, but is not limited to, a person's nationality, immigration status, education, financial, medical, criminal, or employment history.

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

- Full Name
- Current address
- Date of Birth
- Place of Birth

If the requester did not provide all four required pieces of information, 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)

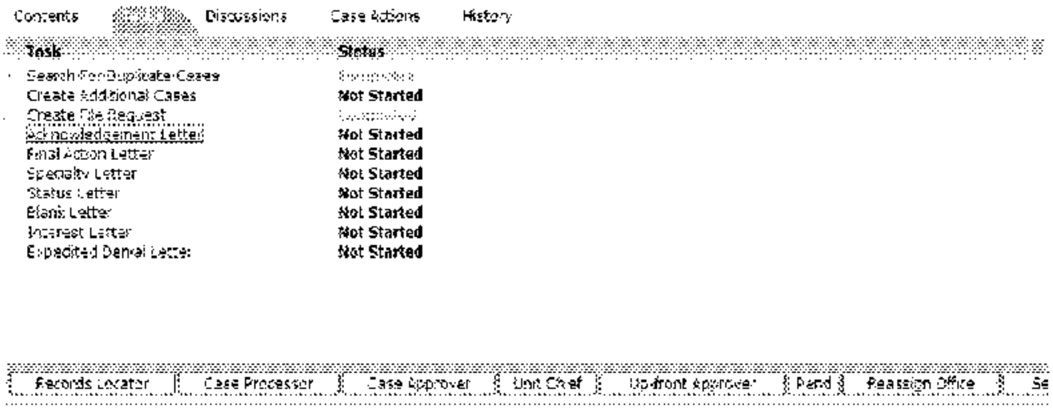
Additionally, we may ask for items of information such as mother's and father's names. The requester is not required by law or regulation to provide that information, but if the requester does not, we may be unable to locate a responsive record.

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"



| Task | Status |
|---|---|
| Search For Duplicate Cases | Completed |
| Create Additional Cases | **Not Started** |
| Create File Request | Completed |
| 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** |

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

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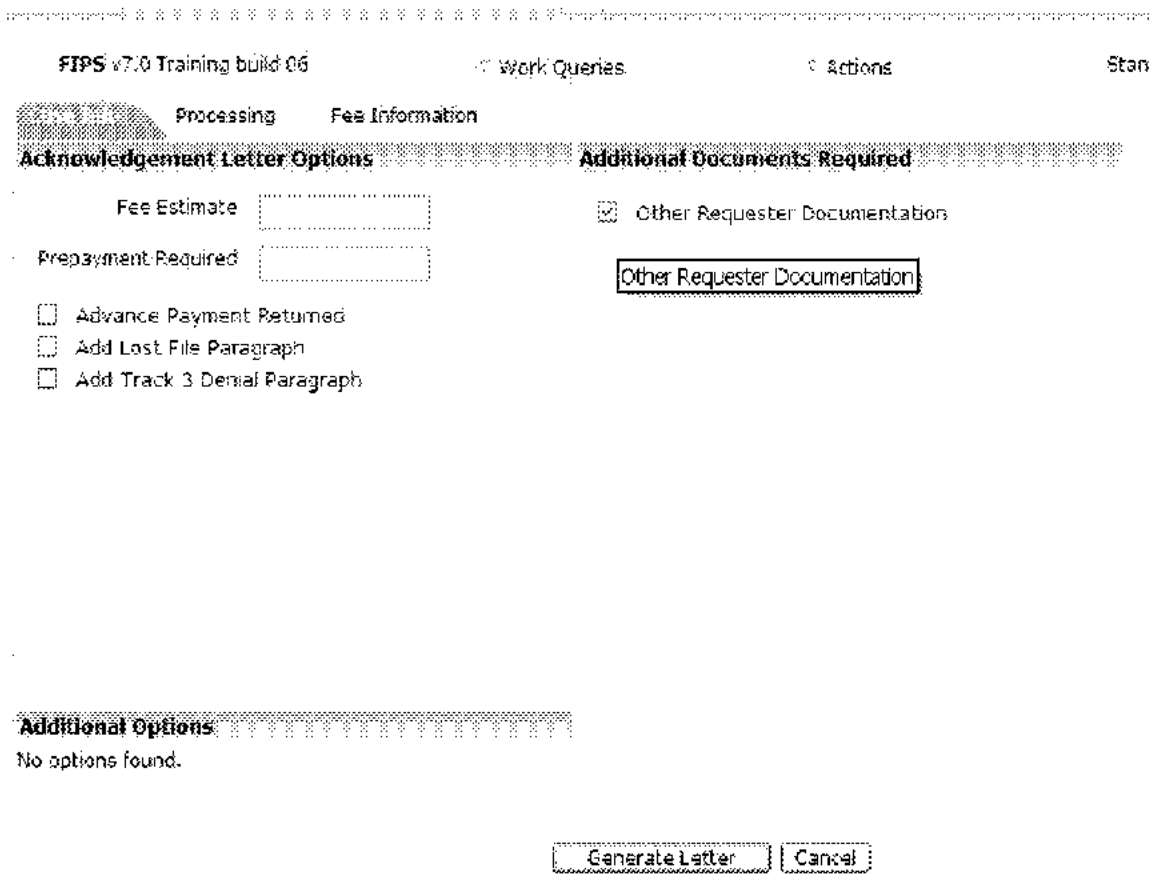
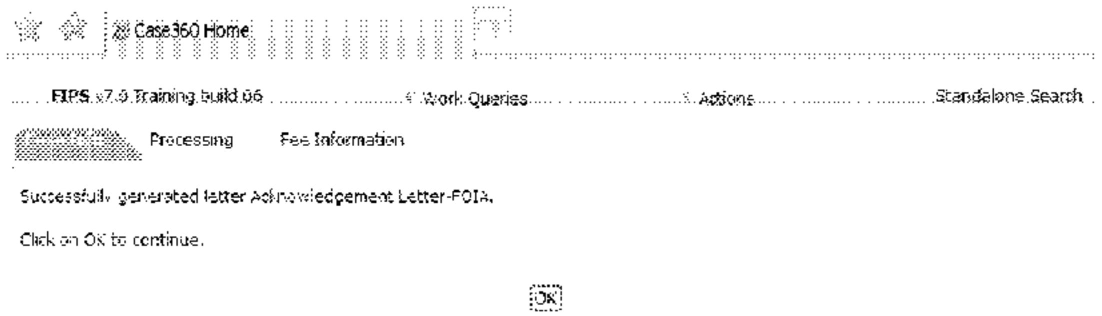

FIPS v7.0 Training build 06
Work Queries
Actions
Stan
Processing
Fee Information
Acknowledgement Letter Options
Additional Documents Required
Other Requester Documentation
Additional Options
Generate Letter
Cancel

Fee Estimate
Prepayment Required
☐ Advance Payment Returned
☐ Add Lost File Paragraph
☐ Add Track 3 Denial Paragraph
☑ Other Requester Documentation

No options found.

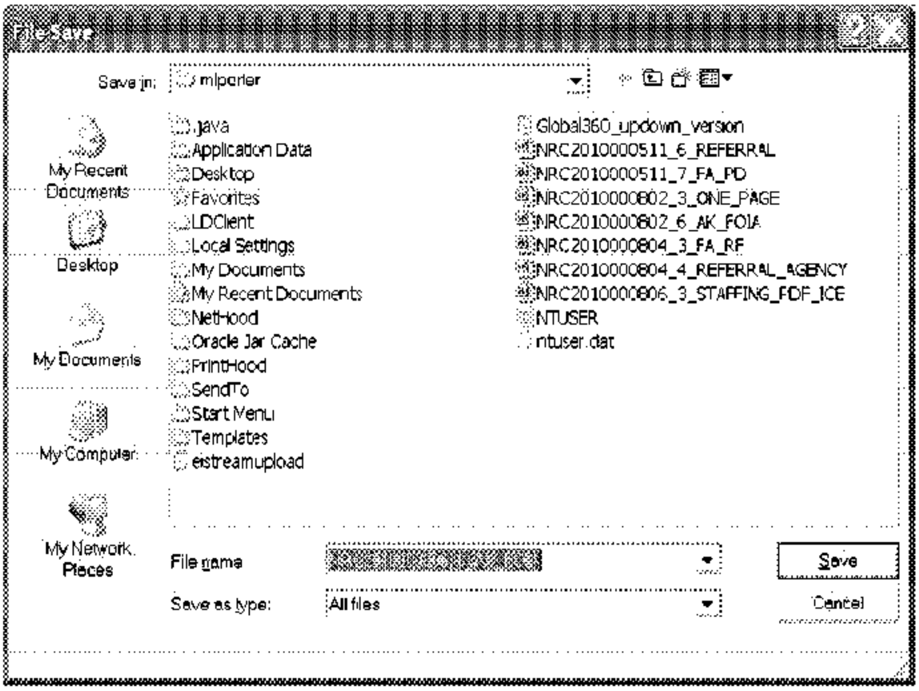
We then click on “Generate Letter.” Our only option at that point is to click OK:


Case360 Home
FIPS v7.0 Training build 06
Work Queries
Actions
Standalone Search
Processing
Fee Information
OK

Successfully generated letter Acknowledgement Letter-FOIA.

Click on OK to continue.

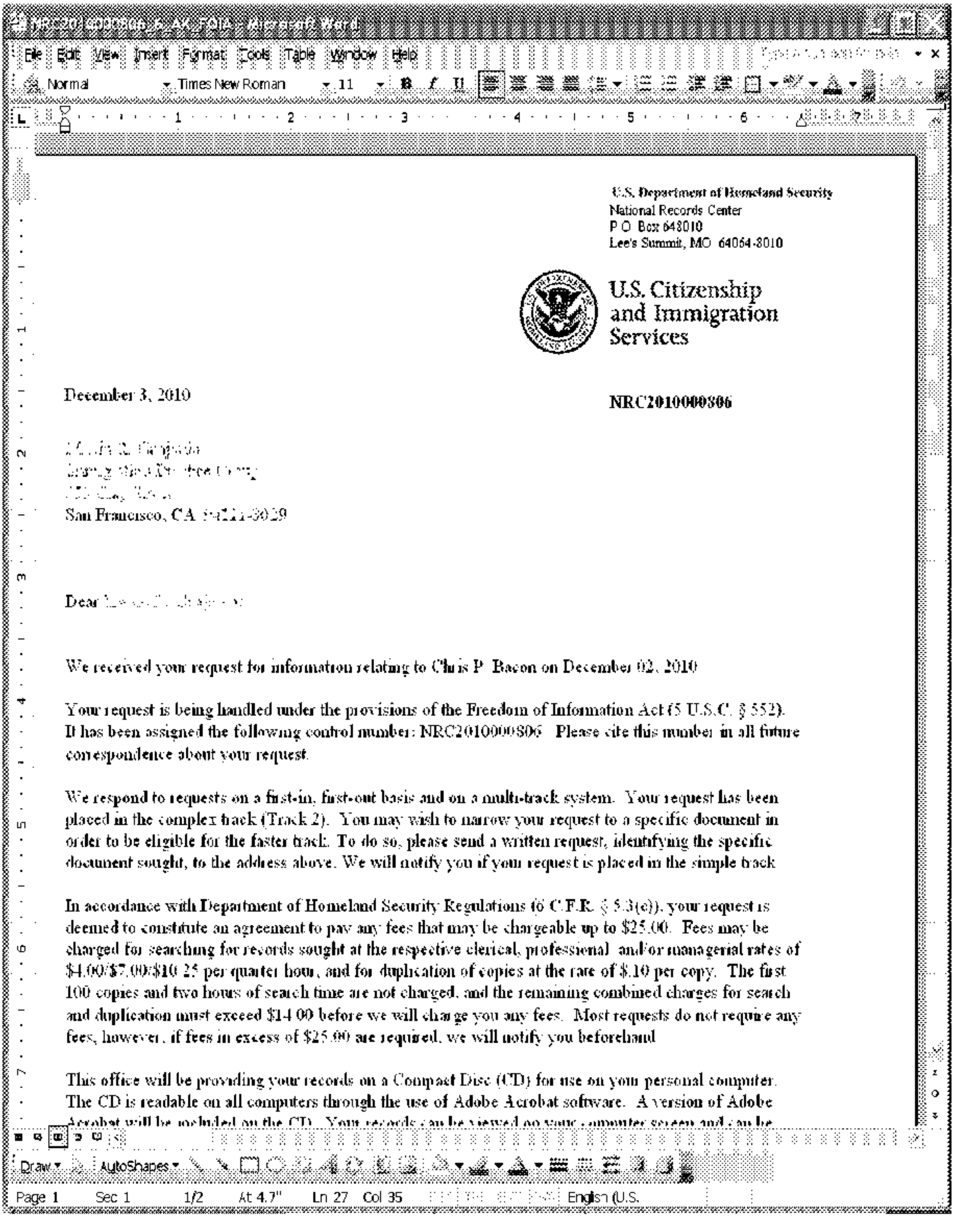
As soon as you do, a File Save pop-up window will appear. Click “Save.”


File Save
My Recent Documents
Desktop
My Documents
My Computer
My Network Places
.java
Application Data
Desktop
Favorites
LDClient
Local Settings
My Documents
My Recent Documents
NetHood
Oracle Jar Cache
PrintHood
SendTo
Start Menu
Templates
eistreamupload
Global360_updown_version
NRC2010000511_6_REFERRAL
NRC2010000511_7_FA_PD
NRC2010000802_3_ONE_PAGE
NRC2010000802_6_AK_FOIA
NRC2010000804_3_FA_RF
NRC2010000804_4_REFERRAL_AGENCY
NRC2010000806_3_STAFFING_PDF_ICE
NTUSER
ntuser.dat
File name
Save
Cancel

Save in: mlporter

Save as type: All files

The acknowledgment letter will pop up:



NRC2010000806_5_AK_FOIA - Microsoft Word
File Edit View Insert Format Tools Table Window Help
Normal
Times New Roman
11
Draw
AutoShapes
Page 1 Sec 1 1/2 At 4.7" Ln 27 Col 35 English (U.S.

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**

[redacted]
San Francisco, CA [redacted]

Dear [redacted]

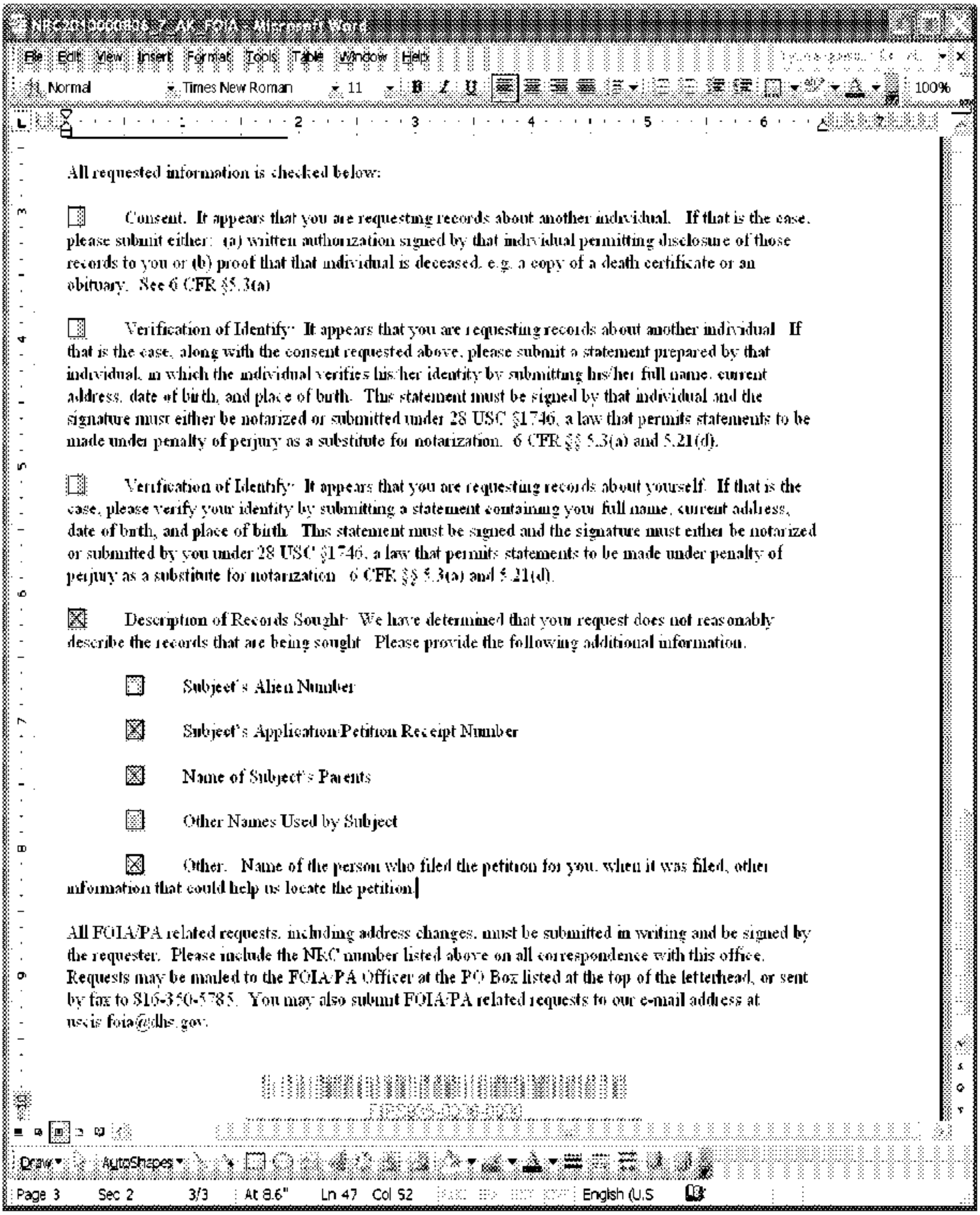
We received your request for information relating to Chris P. Bacon on December 02, 2010

Your request is being handled under the provisions of the Freedom of Information Act (5 U.S.C. § 552). It has been assigned the following control number: NRC2010000806. Please cite this number in all future correspondence about your request.

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

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

This office will be providing your records on a Compact Disc (CD) for use on your personal computer. The CD is readable on all computers through the use of Adobe Acrobat software. A version of Adobe Acrobat will be included on the CD. Your records can be viewed on your computer screen and can be


File Edit View Insert Format Tools Table Window Help
Normal
Times New Roman
11
100%
Draw
AutoShapes
Page 3 Sec 2 3/3 At 8.6" Ln 47 Col 52 English (U.S

All requested information is checked below:

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

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

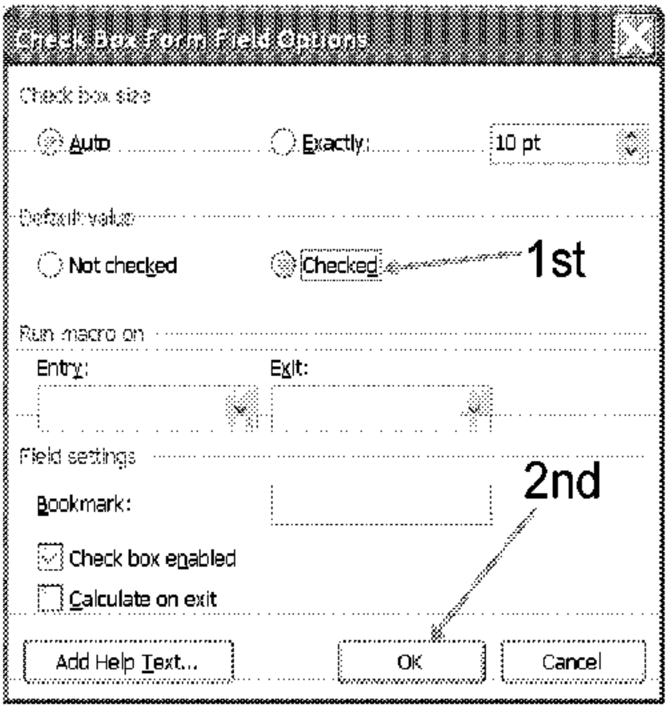
☐ Verification of Identify: It appears that you are requesting records about yourself. If that is the case, please verify your identity by submitting a statement containing your full name, current address, date of birth, and place of birth. This statement must be signed and the signature must either be notarized or submitted by you under 28 USC §1746, a law that permits statements to be made under penalty of 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 NRC number listed above on all correspondence with this office. Requests may be mailed to the FOIA/PA Officer at the PO Box listed at the top of the letterhead, or sent by fax to 816-350-5785. You may also submit FOIA/PA related requests to our e-mail address at uscis.foia@dhs.gov.

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
1st
2nd
Add Help Text...
OK
Cancel

Check box size
● Auto ○ Exactly: 10 pt

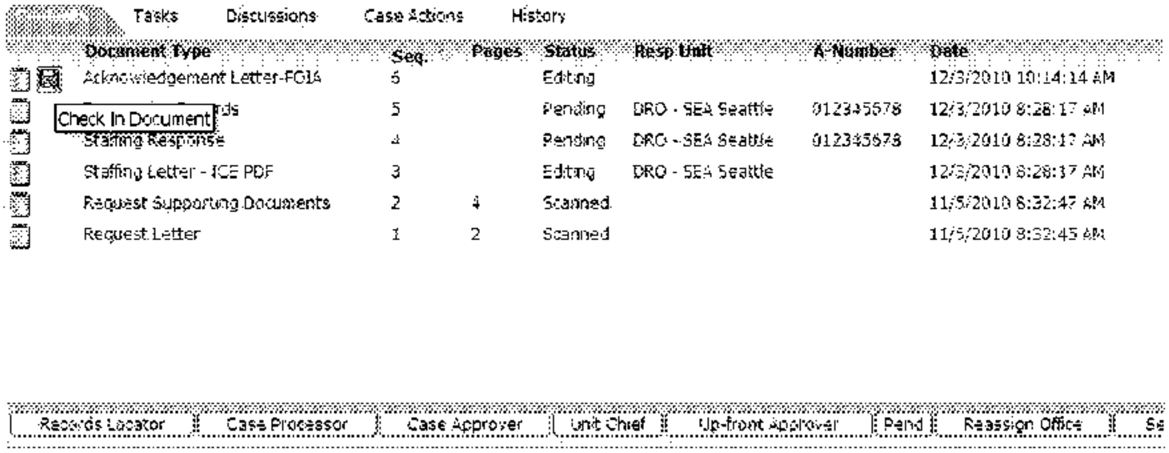
Default value
○ Not checked ● Checked

Run macro on
Entry:
Exit:

Field settings
Bookmark:
☑ Check box enabled
☐ Calculate on exit

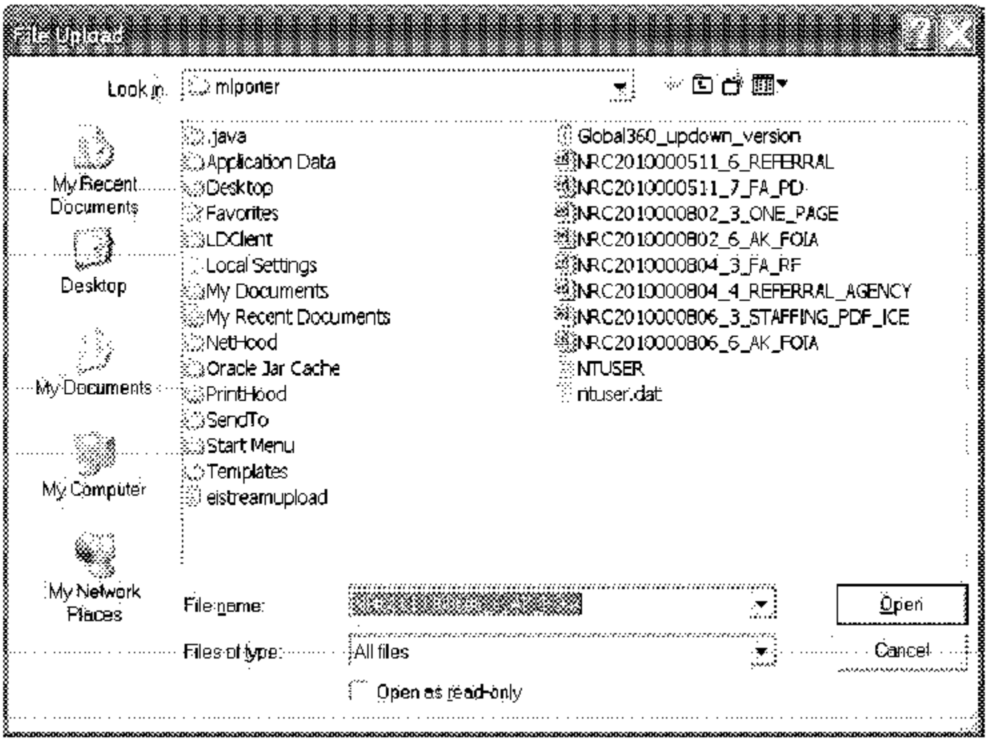
The resulting page will look something like this:

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:

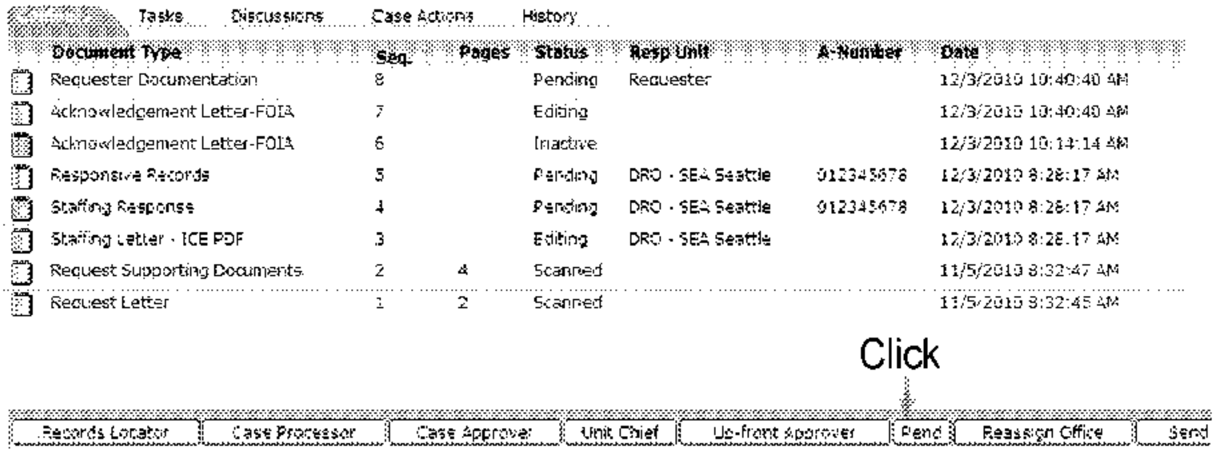

Tasks
Discussions
Case Actions
History
Check In Document
Records Locator
Case Processor
Case Approver
Unit Chief
Up-front Approver
Pend
Reassign Office
Se

| Document Type | Seq. | Pages | Status | Resp Unit | A-Number | Date |
|---|---|---|---|---|---|---|
| Acknowledgement Letter-FOIA | 6 | | Editing | | | 12/3/2010 10:14:14 AM |
| [illegible]rds | 5 | | Pending | DRO - SEA Seattle | 012345578 | 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 8:28:37 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 |

Click "Open":


File Upload
Look in: mlporter
My Recent Documents
Desktop
My Documents
My Computer
My Network Places
.java
Application Data
Desktop
Favorites
LDClient
Local Settings
My Documents
My Recent Documents
NetHood
Oracle Jar Cache
PrintHood
SendTo
Start Menu
Templates
eistreamupload
Global360_updown_version
NRC2010000511_6_REFERRAL
NRC2010000511_7_FA_PD
NRC2010000802_3_ONE_PAGE
NRC2010000802_6_AK_FOIA
NRC2010000804_3_FA_RF
NRC2010000804_4_REFERRAL_AGENCY
NRC2010000806_3_STAFFING_PDF_ICE
NRC2010000806_6_AK_FOIA
NTUSER
ntuser.dat
File name:
Files of type: All files
Open
Cancel
☐ Open as read-only

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 |
|---|---|---|---|---|---|---|
| Requester Documentation | 8 | | Pending | Requester | | 12/3/2010 10:40:40 AM |
| Acknowledgement Letter-FOIA | 7 | | Editing | | | 12/3/2010 10:40:40 AM |
| Acknowledgement Letter-FOIA | 6 | | Inactive | | | 12/3/2010 10:14:14 AM |
| 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 | | 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 |

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.

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## 7.4 Third party requests

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

On the other hand, USCIS will not release personally identifying information (PII) or personally sensitive information to a third party without consent. If the requester is asking for records concerning an individual and does not provide consent, nor does it appear likely that the requester is going to get consent, we treat it as a third party request without consent. It may be obvious from the request that the requester will not be able to obtain consent from the subject of record. If you have a doubt, consult your supervisor. The supervisor may have you send for consent, call the requester to see if you can make a determination, or create the case as third party without consent.

Third party requesters are entitled to any public documents that may be in the file they are seeking, as well as documents they provided in support of an application or petition. For example, if a wife is looking for a copy of her husband's file so that she may divorce him, and says in her request letter that she does not know where he is or says she cannot get his consent, do not send a request back to her for her husband's consent. In a situation like this, simply request the file and put a Discussion in FIPS that it is a third party request without consent. In the above example, if she did not specifically say she cannot get his consent or that she does not know where he is, do not request the file. In a situation like this, send a request for consent and pend the case for requester documentation.

## 7.5 Deceased subjects and the 100-year rule

If the subject of a request is deceased, it is incumbent upon the requester to provide proof of death. Proof of death could be any of the following:

- Death Certificate;
- Obituary;
- Funeral Memorial; or
- Photograph of headstone

If the subject of a request is over 100 years old, USCIS assumes he or she is deceased and no proof of death is required.

# 8. CASE CREATE SITUATIONS/OTHER PROBLEMS

At any time during the case-create process you may encounter a quirky or unusual situation. Some not-so-usual situations follow this paragraph, but as a case creator, you will inevitably see situations you have never seen before. Case creators should seek assistance from their supervisors as a first step. If the problem cannot be resolved, the creator should send the case to the Unit Chief and send an e-mail to the supervisor for clarification. If it is not a situation that needs clarification but some type of FIPS error, send an e-mail to the FIPS Problem mailbox (NRC, FIPSPROBLEM), or in other situations to the MSB mailbox (NRC, NRCFOIAMSB).

Clicking on the FIPSPROBLEM link above will automatically generate an e-mail addressed to both the NRC, FIPSPROBLEM mailbox and the NRC, FOIA PROGRAM mailbox.

## 8.1 REQUESTS: Foreign Consulate

Immediately forward any type of correspondence, FOIA request or inquiry received from the consulate of a foreign nation to the Director's Office for handling. USCIS Headquarters is the only one authorized to correspond with foreign consulates.

Please make sure it is a consulate requesting the records and not the subject of the request putting the consulate's address on the G-639 to mail the records to the consulate (for passports). If the request is from a consulate, please send the FOIA request to Up-front Approver to be closed as an ER and send an e-mail to NRC, FOIAOA mailbox with the case information. The supervisor will review and close the case. If the subject mailed the request and wrote the consulate's address on the G-639, use the subject's address from the envelope and set it up as a self request.

## 8.2 REQUESTS: Non-immigrant visa material

If the requester specifically asks for non-immigrant visa data and there is no record of the person in CIS or CLAIMS; do not close the request as NR. If the requester is asking a question about being a student, au pair, camp counselor, or participating in a summer work/travel program, or if the requester specifically mentions visa type F-1, F-3, J-1, M-1 or M-3, then you should refer the request to ICE, since that record will be tracked in SEVIS (Student and Exchange Visitor Information System.) An example of a "refer to ICE" type request might be: "Type of visa, visa number and legal documents allowing entry into the US. The subject was a student at the University of Nebraska."

Otherwise, redirect the requester to Department of State. An example of a "re-direct to State" type request might be for a B1/B2 visa, such as: "Type of visa, visa number and legal documents allowing entry into the US. The subject visited Disney World and Cape Canaveral and entered at Orlando International Airport."

## 8.3 REQUESTS: Routine use, no consent required, not FOIA

USCIS may disclose records to an appropriate Federal, State, tribal, local, international, or foreign agency, including law enforcement, or other appropriate authority charged with investigating or prosecuting a violation or enforcing or implementing a law, rule, regulation, or order, where a record, either on its face or in conjunction with other information, indicates a violation or potential violation of law, which includes criminal, civil, or regulatory violations and such disclosure is proper and consistent with the official duties of the person making the disclosure.

What does that mean? We may disclose records from alien files to other Federal, State and local government agencies as a normal course of operation for law enforcement purposes. Consent is not necessary for the processing of these types of requests. Some examples of these types of requests include requests relating to child support enforcement and aliens seeking public assistance.

Requests from government agencies (federal, state or local) for verification of status of aliens are routine use.

These types of requests are not a part of FOIA and should not be in FIPS. For example, you may open a request from a county public assistance agency attempting to locate a child's father who is avoiding financial responsibility. If you open a request from a state or local government agency requesting information about an alien, send the case to Up-front Approver for closing as ER. The only exception to this rule is if there is a cover sheet with instructions to create as FOIA.

## 8.4 REQUESTS: Bond obligor, no consent required, not USCIS FOIA

Criminal bonds are bonds posted by individuals or bail bondsmen relating to non-immigration violations of the law. These requests are processed by Immigration and Customs Enforcement.

Immigration bond obligors are surety companies who have posted an immigration bond (I-352) for an alien who has been taken into custody by the Service. If the alien fails to attend his or her hearing, then he or she forfeits the bond. Under the court case *Amwest v. Reno*, the surety companies, or their attorneys, are entitled to a complete copy of the alien's file to assist them in trying to locate the alien. Consent is not required for the bond obligor; however, they should provide a copy of the bond contract, Form I-352, with their FOIA request.

We no longer process requests received from immigration bond obligors or criminal bond obligors. Please send any new requests that are scanned into FIPS to Up-front Approver for closing as ER. Please send an e-mail to NRC, FOIAOA and provide the REQ number or control number, and also include the requester's name.

OA room will mail the request to the following address:

Immigration and Customs Enforcement
Attention: Catrina Pavlik-Keenan
ICE FOIA/PA Unit
800 North Capitol Street, NW, Room 585
Washington, DC 20536-5009

## 8.5 REQUESTS: A-number only

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

- Search CIS with the information provided on the request to locate an A-number.
- If you locate an A-number, compare the information provided on the request with the information in CIS to make a positive ID.
- You must have proper consent and all of the required PII in order to proceed. If consent or any PII are missing, generate the acknowledgement letter and request the additional information.
- If proper consent is present and all of the required PII is present:
    - Open a RAFACS staffing slot only
    - Print a copy of CIS 9101 screen, attach a "Scan As" cover sheet and mark the box "Responsive Records." Take the screen print to the designated person (currently John Latimer) for scanning.

Make the case a Track 1 case and pend the case for responsive records. When the responsive records are scanned in, the case will move to the processing queue.

## 8.6 REQUESTS: Bracero Program

The Bracero Program (1942-1964) began as a temporary World War II program to fill agricultural labor shortages, and continued in one form or another for more than twenty years. Initially the program included workers from Mexico, the Virgin Islands, British West Indies, and elsewhere. After about 1945, the program was limited to agricultural workers from Mexico, and the term "bracero" refers to an imported farm worker from Mexico. "Brazo" means arm, and "bracero" means a person who works with his arms.

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Begin with a thorough search of CIS. If no record is located, request a manual search. Create a Records Indexing Staffing and enter all information provided by the requester. If the manual search produces no record, generate a "NR" letter and send the case to Up-front Approver. The supervisor will review and close the case.

In these no record cases, the researcher's only recourse may be to search for a record of admission at the National Archives (NARA). Today NARA holds microfilm of arrivals at US-Mexico Border ports of entry from ca. 1905 to 1954 (some to 1957). A Bracero admitted in 1960 will not appear in these records due to the cut-off dates.

The requester can request a search by writing directly to NARA. In their letter, the requester should ask for a search of Mexican border arrival manifests in Record Group 85. The correspondence to NARA should contain the date and port of entry, as well as the name used at the time of entry, age at the time of entry and any other identifying information.

NATIONAL ARCHIVES AND RECORDS
ADMINSTRATION
CIVIL REFERENCE
7th AND PENNSYLVANIA AVENUE NW
WASHINGTON DC 20408

## 8.7 REQUESTS: Referrals and Consultations received from other agencies

As other agencies process FOIA/PA requests, they will sometimes find our agency's documents within their files. These documents will be referred to us for processing. The responsive records could be USCIS documents being referred to us for review or joint documents i.e., co-authored by the referring agency and other agencies. A transmittal memorandum advising us to respond directly to the referring agency is a consultation. A transmittal memorandum advising us to reply directly to the requester is a referral.

Send the case to processor. Send an e-mail to the MSB mailbox advising them that you have created the case and that it is a referral/consultation from another agency. Include the alien name and the NRC control number.

## 8.8 REQUESTS: USCIS personnel information

- Requests that deal specifically with USCIS vacancy announcements, performance ratings and awards are scanned and handled in the HQS queue by the Special Interest Group.
- If a request for CIS Personnel Information mistakenly is scanned in the NRC queue, create the case and reassign the case to **HQS**. Create the case as a Track 2 case. Use

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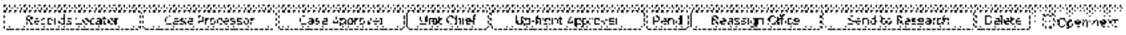
**PER** for the category and **CIS** for the bureau, in the “Topic” field, enter the vacancy announcement number.



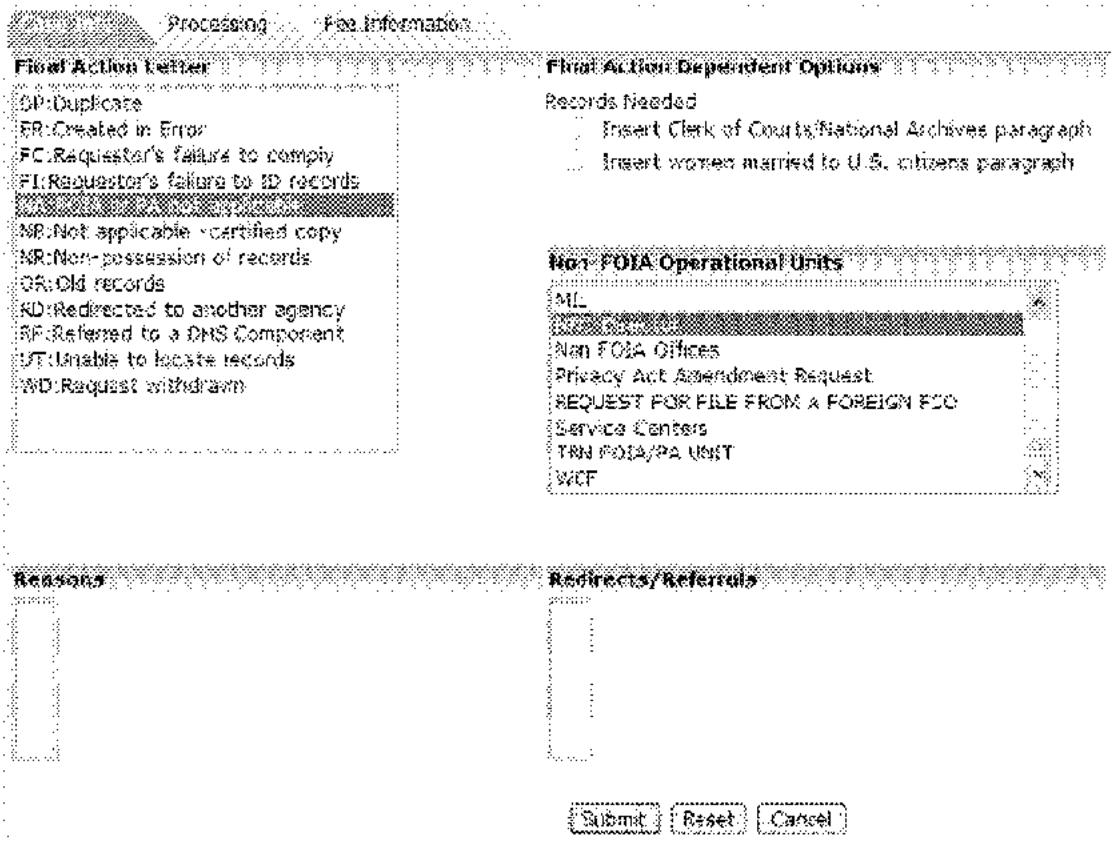
Click on the “Reassign Office” and select the HQS office. The case will be staffed when it is re-assigned to the HQS queue. Send an e-mail to NRC, FOIASIG with the case information.

## 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

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.



**Final Action Letter**

DP:Duplicate
ER:Created in Error
FC:Requester's failure to comply
FI:Requester's failure to ID records
[illegible]
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

**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**

MIL
[illegible]
Non FOIA Offices
Privacy Act Amendment Request
REQUEST FOR FILE FROM A FOREIGN FCO
Service Centers
TRN FOIA/PA UNIT
WCF

**Reasons**

**Redirects/Referrals**

## 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, NRCFOIAMSB.
- Send the case to Unit Chief.
- After translation, a copy of the translated information may be scanned in, or the translator may add a Discussion response. The translator will then return it to you for creation and/or staffing.

## 8.15 SITUATION: Congressional correspondence

When the unit receives correspondence from a member of Congress, the creator will need to create the case as a track two case, mark the category as Congressional, request the requested documents and send an e-mail to the 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:

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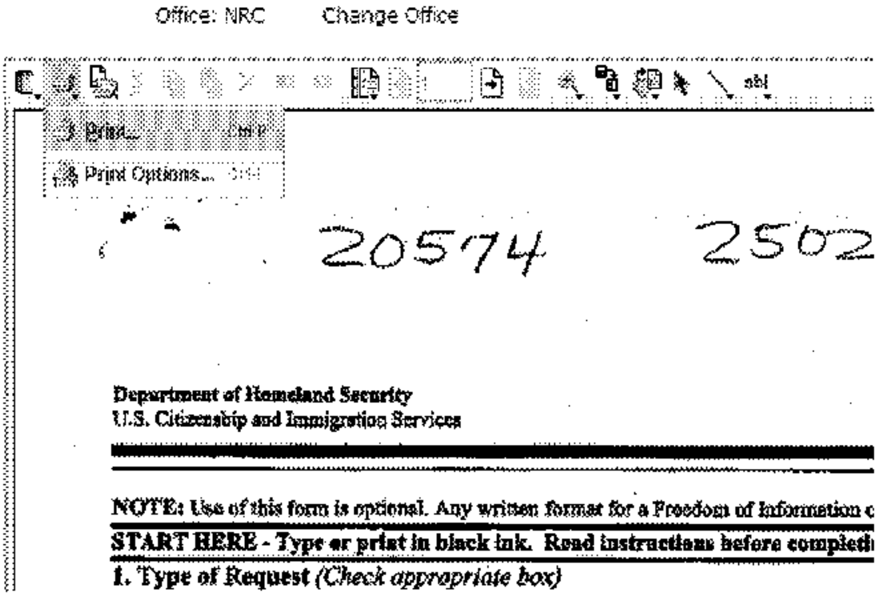


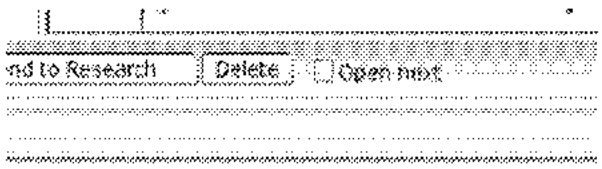
Department of Homeland Security
U.S. Citizenship and Immigration Services

NOTE: Use of this form is optional. Any written format for a Freedom of Information c

START HERE - Type or print in black ink. Read instructions before completi

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 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."



## 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.

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## 8.18 SITUATION: Subpoena or court order

If you pull a new request that is a subpoena or court order, please send it to Up-front Approver for closure as ER. Send a message to 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, 2nd Floor
Washington, DC 20529-2204

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

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

> Evaluate if the request qualifies under the Genealogy Program. Refer to the section entitled Case Specifications, Category 4 (Other).
>
> If the requester's relative is deceased, he or she must submit the request to the 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."

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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.

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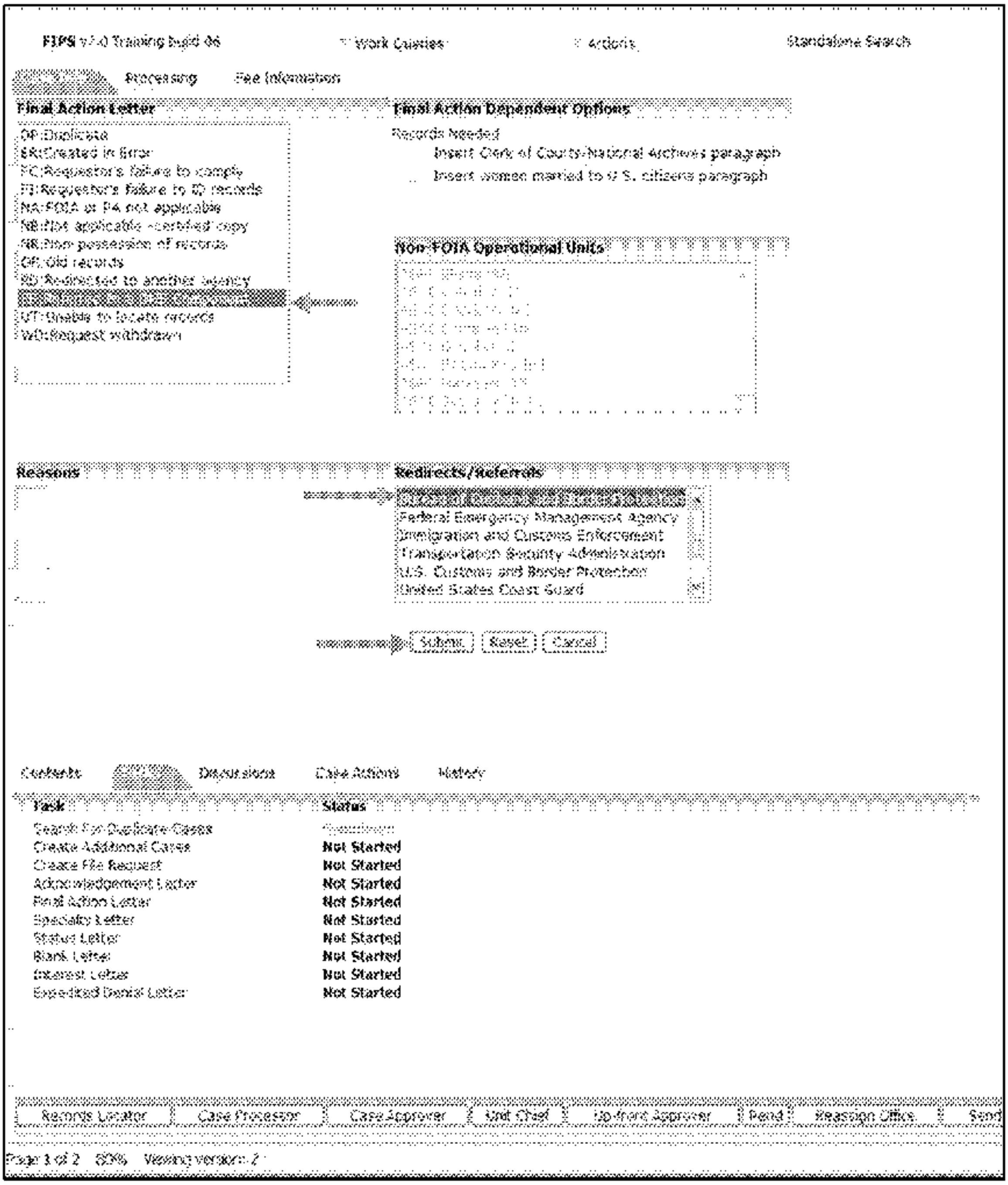
# 9. REFERRAL AND REDIRECTION

## 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:

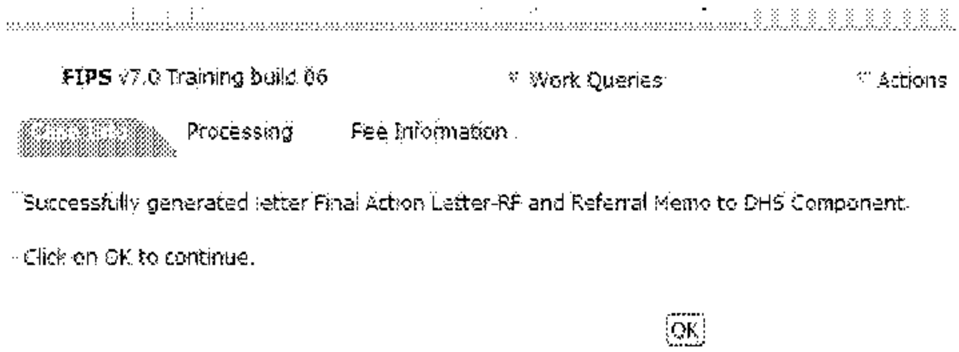
Transportation Security Administration (TSA)
U.S. Customs and Border Protection (CBP)
U.S. Immigration and Customs Enforcement (ICE)
U. S. Secret Service (USSS)
Federal Emergency Management Agency (FEMA)
U.S. Coast Guard (USCG)

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 v2.0 Training build 06
Work Queues
Actions
Standalone Search
Processing
Fee Information
Final Action Letter
DP:Duplicate
ER:Created in Error
FC:Requestor's failure to comply
FI:Requestor'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
Reasons
Redirects/Referrals
Federal Emergency Management Agency
Immigration and Customs Enforcement
Transportation Security Administration
U.S. Customs and Border Protection
United States Coast Guard
Submit
Reset
Cancel
Contents
Discussions
Case Actions
History
Records Locator
Case Processor
Case Approver
Unit Chief
Up-front Approver
Pend
Reassign Office
Send
Page 1 of 2
50%
Viewing version: 2

| Task | Status |
|---|---|
| Search For Duplicate Cases | [illegible] |
| 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 |

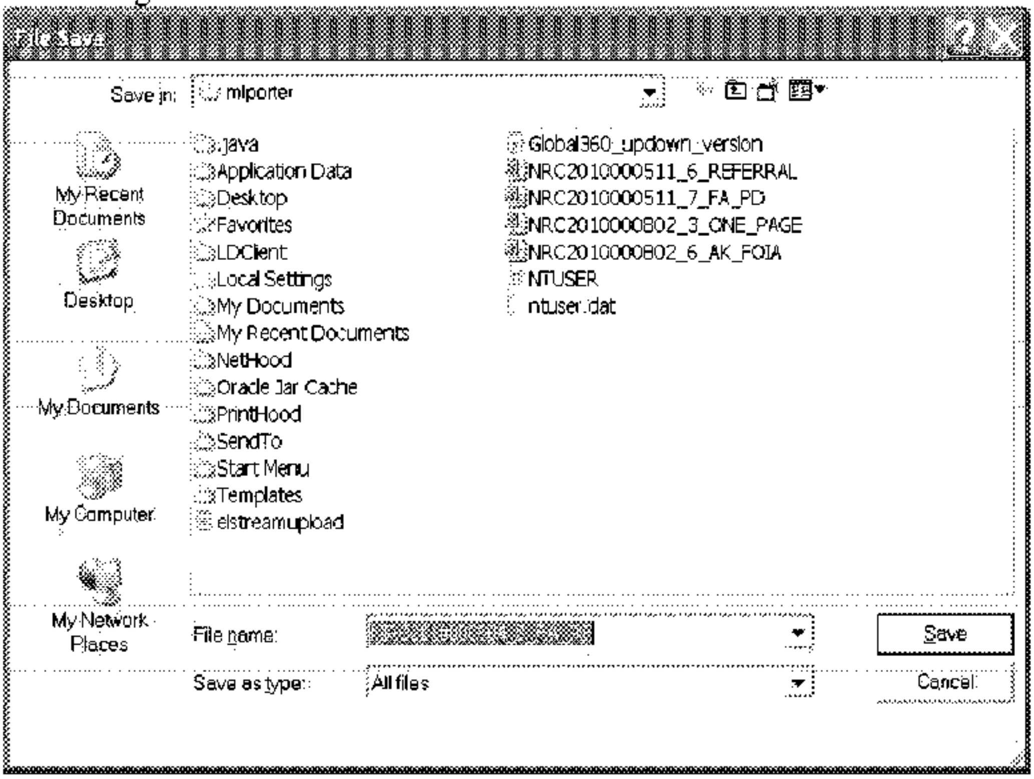
FIPS will automatically create two documents: A final action letter to the requester and a referral memorandum to the DHS component.


FIPS v7.0 Training build 06
Work Queries
Actions
Processing
Fee Information
OK

Successfully generated letter Final Action Letter-RF and Referral Memo to DHS Component.

Click on OK to continue.

FIPS then generates the two Word documents:


File Save
My Recent Documents
Desktop
My Documents
My Computer
My Network Places
.java
Application Data
Desktop
Favorites
LDClient
Local Settings
My Documents
My Recent Documents
NetHood
Oracle Jar Cache
PrintHood
SendTo
Start Menu
Templates
elstreamupload
Global360_updown_version
NRC2010000511_6_REFERRAL
NRC2010000511_7_FA_PD
NRC2010000802_3_ONE_PAGE
NRC2010000802_6_AK_FOIA
NTUSER
ntuser.dat
Save
Cancel

Save in: mlporter

File name:

Save as type: All files

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

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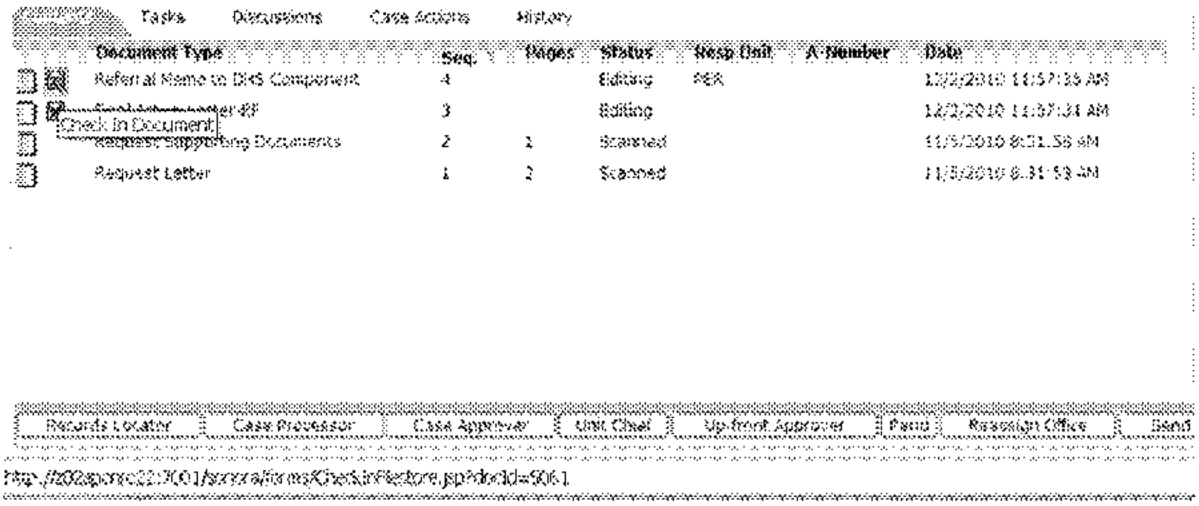
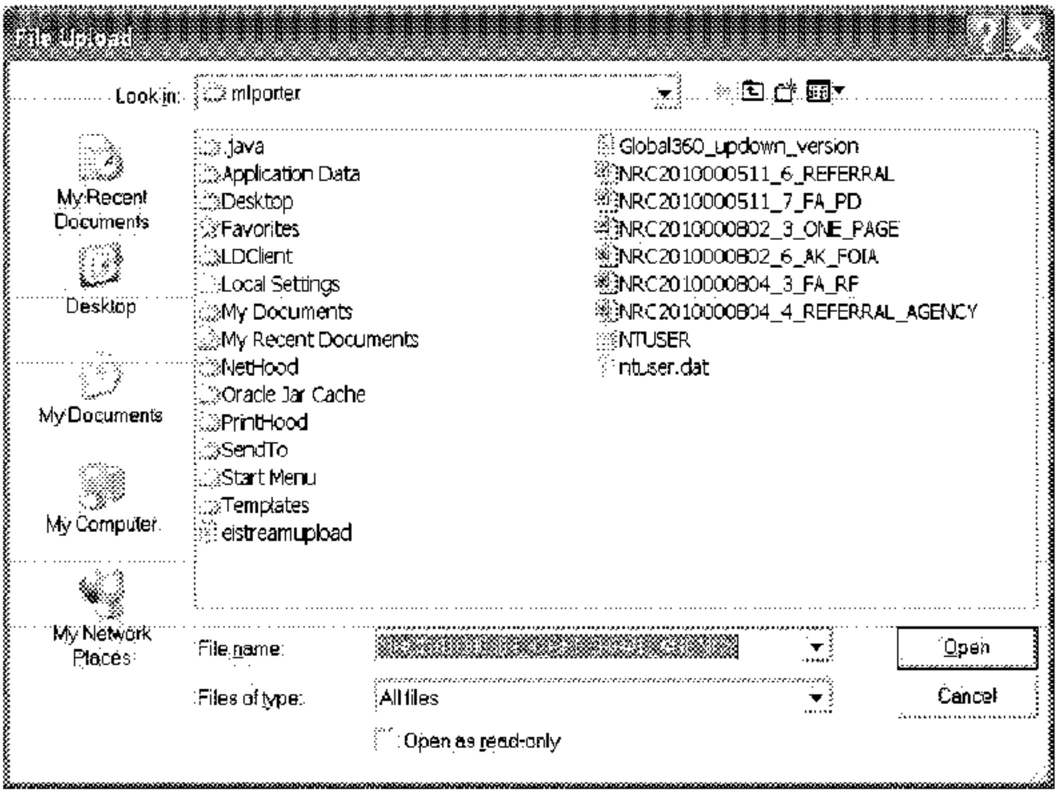

Tasks
Discussions
Case Actions
History
Check In Document
Records Locator
Case Processor
Case Approver
Unit Chief
Up-front Approver
Pend
Reassign Office
Send

| Document Type | Seq. | Pages | Status | Resp Unit | A-Number | Date |
|---|---|---|---|---|---|---|
| Referral Memo to DHS Component | 4 | | Editing | PER | | 12/2/2010 11:57:36 AM |
| [illegible]er 4F | 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 |

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


File Upload
Look in:
My Recent Documents
Desktop
My Documents
My Computer
My Network Places
Open
Cancel

Look in: mlporter

.java
Application Data
Desktop
Favorites
LDClient
Local Settings
My Documents
My Recent Documents
NetHood
Oracle Jar Cache
PrintHood
SendTo
Start Menu
Templates
eistreamupload
Global360_updown_version
NRC2010000511_6_REFERRAL
NRC2010000511_7_FA_PD
NRC2010000802_3_ONE_PAGE
NRC2010000802_6_AK_FOIA
NRC2010000804_3_FA_RF
NRC2010000804_4_REFERRAL_AGENCY
NTUSER
ntuser.dat

File name: [redacted]
Files of type: All files
☐ Open as read-only

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

## 9.2 Redirection

If we receive a request for records that belong to an agency outside of DHS, we close it and write a "redirect letter." Under the "Tasks" tab, select Final Action Letter. Select "RD: Redirected to

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another agency" as the final action code. Under "Redirects/Referrals" select the agency to which we are referring the request and click "Submit."

An example of a request we close and redirect is a petition that we discover has been forwarded to the National Visa Center for issuance of an immigrant visa. The redirect letter advises the requester to contact the different agency for the information they are seeking. The procedure for the documents is the same as for referrals. You may have to edit the letters to add needed information. After you exit from the Word documents, they will appear under the "Contents" tab. Click on the "Check in Document" icon and you will get a "Save" dialog box. Click "Open." After you have done this for both documents, send the case to Up-front Approver.

## 9.3 Entry/Exit Information referral to CBP

CBP handles FOIA requests for entry and exit information dating back to 1982, inspection, Port of Entry (POE), requests for information relating to air and/or marine incidents, or the U.S. Border Patrol Academy, legacy Customs or legacy Inspections. Key words that you could see on a request relating to CBP are inspection, Port of Entry, Bridge of the Americas, Friendship Bridge, and smuggled goods. A FOIA request for this type of information should be referred to **CBP** at the address shown below.

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

**Note:** If the request is for entry/exit information and the requester/subject provided an alien number, request the file. If the request is for entry/exit information and the requester/subject did not provide an alien number, you must thoroughly search CIS and CLAIMS to be sure the person does not have an alien number or application. CBP has records on entry and exit information dating back to 1982, but no further back. You may modify the referral letter; any information you can provide as to what the requester is asking for will be helpful to CBP.

## 9.4 Border Patrol referral to CBP

If you encounter a Border Patrol Request in Case Create, refer the case to CBP. This includes Border Patrol records relating to apprehension, entry without inspection (EWI), smuggled humans, mobile patrol group, voluntary return, repatriation, or checkpoints.

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

### 9.5 Personnel/hiring practices/vacancy announcements

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

### 9.6 US-VT referral to US Visit

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

If the requester is asking for both a copy of the alien file and for entry and exit information, you should request the file. See Entry/Exit CBP information above.

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

If you determine that the requester has provided all the PII possible after performing the CIS 9102 or 9106 and 9103 screen searches shown above, and there is only one person in the CIS 9101 screen with the same information, please request the file. However, prepare a Discussion explaining why you staffed for the file.

## 11. SOCIAL SECURITY NUMBER

USCIS does not use Social Security numbers in the Freedom of Information/Privacy Act requests. Even if the alien disclosed his or her SSN in the request, do not enter that number on the FIPS worksheet. We will not request the Social Security number when requesting additional documentation.

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# 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.

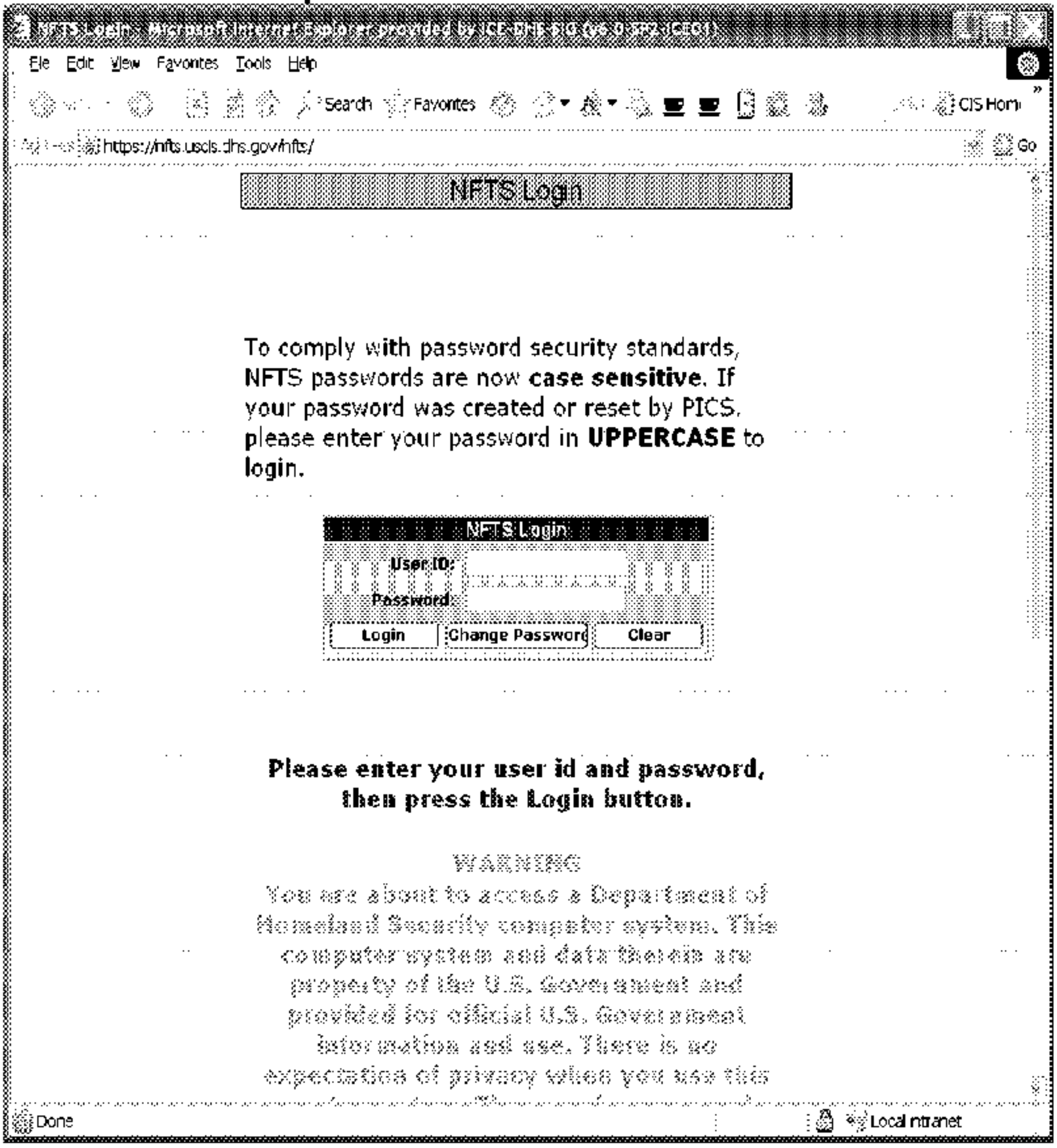
If you pull a case that has a FOIA Safe staffing you should **NEVER** cancel the file request. Send the case to Pend.

## 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



NFTS Login

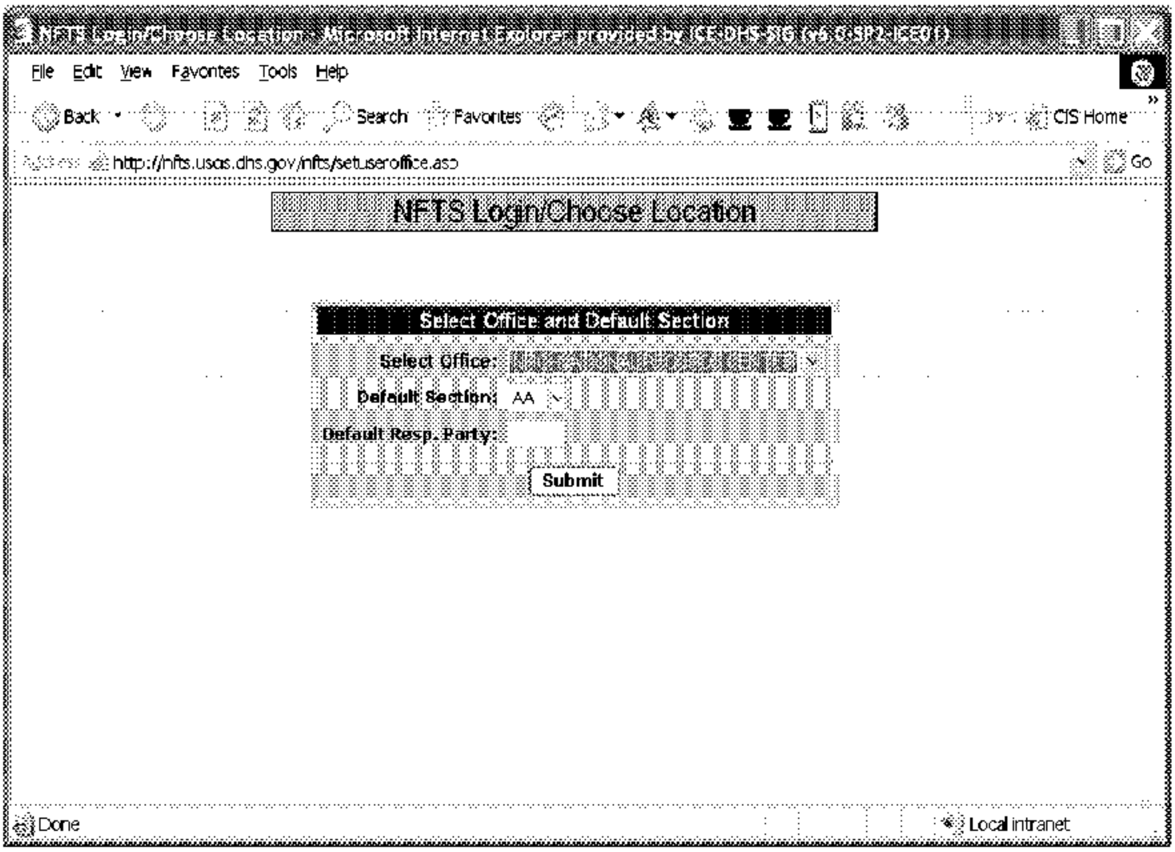
To comply with password security standards, NFTS passwords are now **case sensitive**. If your password was created or reset by PICS, please enter your password in **UPPERCASE** to login.

**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

#### 12.1.1.2 Submit your location



NFTS Login/Choose Location - Microsoft Internet Explorer provided by ICE-DHS-SIG (v6.0-SP2-ICE01)
File Edit View Favorites Tools Help
Back
Search
Favorites
CIS Home
http://nfts.uscis.dhs.gov/nfts/setuseroffice.asp
Go
Done
Local intranet

NFTS Login/Choose Location

**Select Office and Default Section**

**Select Office:** [illegible]

**Default Section:** AA

**Default Resp. Party:**

Submit

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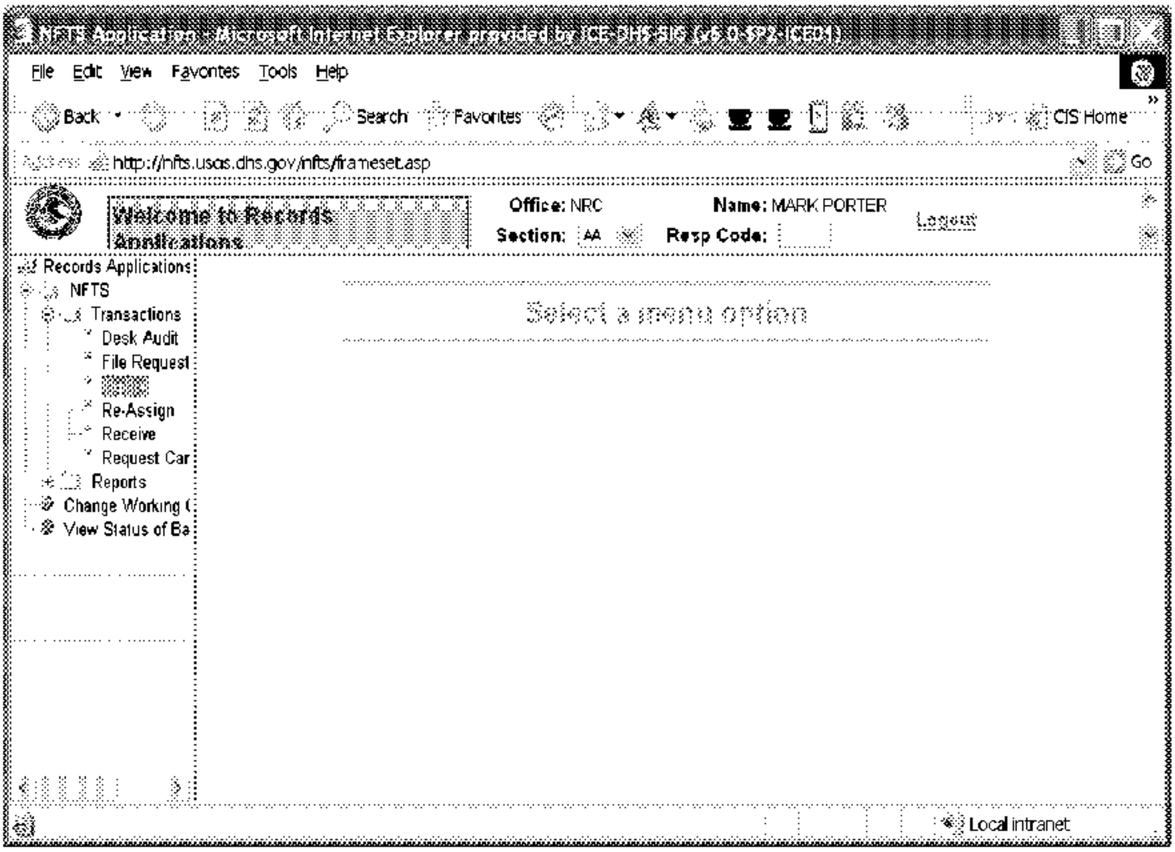
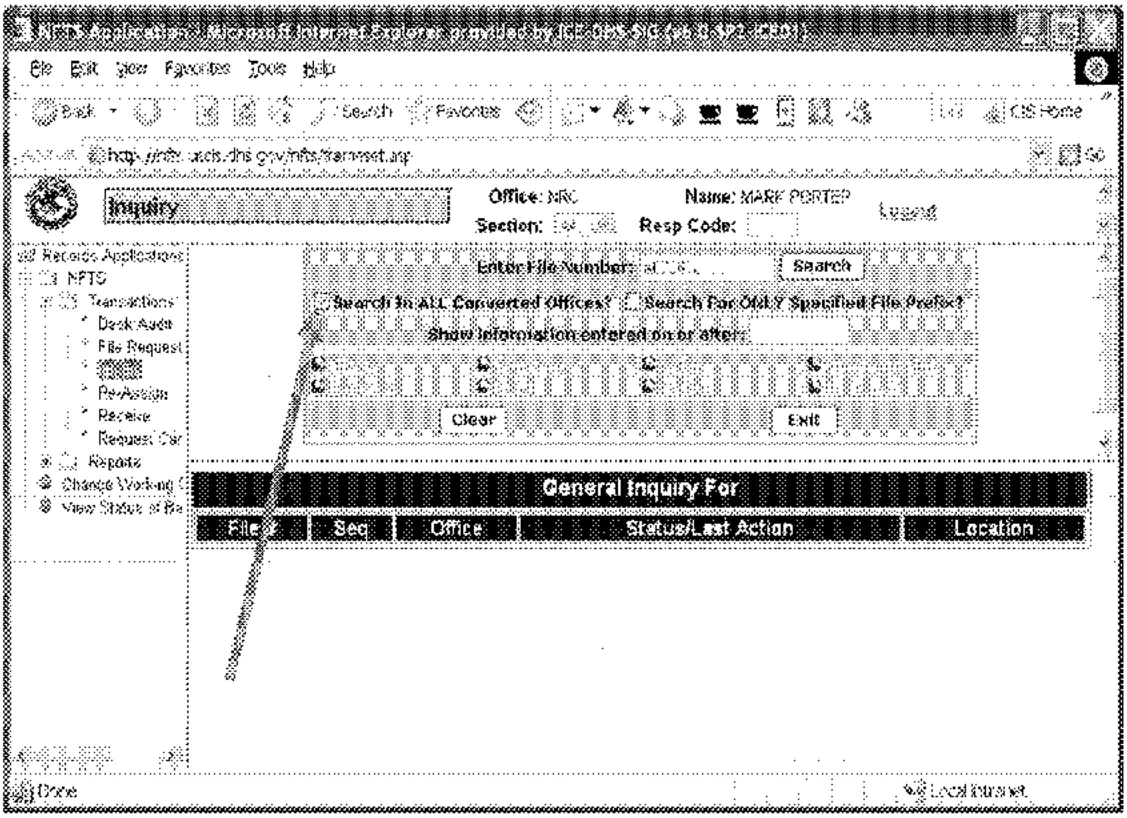
### 12.1.1.3 Select "Inquiry"



NFTS Application - Microsoft Internet Explorer provided by ICE-DHS-EIS (v6.0-SP2-ICE01)
File Edit View Favorites Tools Help
Back
Search
Favorites
CIS Home
http://nfts.uscis.dhs.gov/nfts/frameset.asp
Go
Welcome to Records Applications
Logout
Records Applications
NFTS
Transactions
Desk Audit
File Request
Re-Assign
Receive
Request Car
Reports
Change Working (
View Status of Ba
Select a menu option
Local intranet

Office: NRC
Name: MARK PORTER
Section: AA
Resp Code:

**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.



Office: NRC

Name: MARK PORTER

Enter File Number:

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

Show information entered on or after:

File Edit View Favorites Tools Help
Back
Search
Favorites
CIS Home
Go
Inquiry
Section:
Resp Code:
Legend
Records Applications
NFTS
Transactions
Desk Audit
File Request
Re-Assign
Receive
Request Car
Reports
Change Working
View Status of Re
Search
Clear
Exit
General Inquiry For
File #
Seq
Office
Status/Last Action
Location
Done
Local intranet

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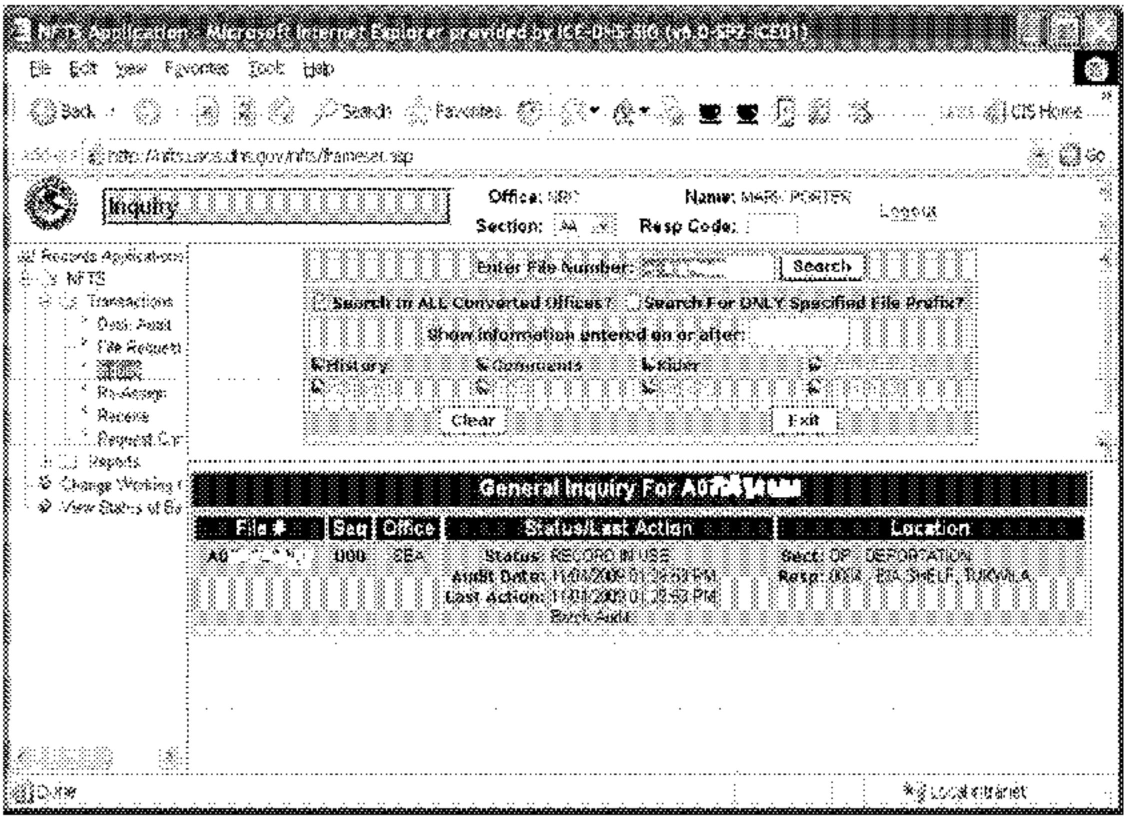
**12.1.1.5 The search result** provides several pieces of information. First, we can verify from CIS that the File Control Office (FCO) is Seattle. The Responsible Party Code (RPC) is DP0064, and it tells us that DP means Deportation. Do you see the four boxes above the "Exit" button? Those are "Rider," "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.


File Edit View Favorites Tools Help
Back
Search
Favorites
CIS Home
Inquiry
Office:
Name:
Section: AA
Resp Code:
Logout
Records Applications
NFTS
Transactions
Re-Assign
Receive
Reports
Enter File Number:
Search
Search in ALL Converted Offices?
Search For ONLY Specified File Prefix?
Show information entered on or after:
History
Comments
Rider
Clear
Exit
Local intranet

General Inquiry For A07[redacted]

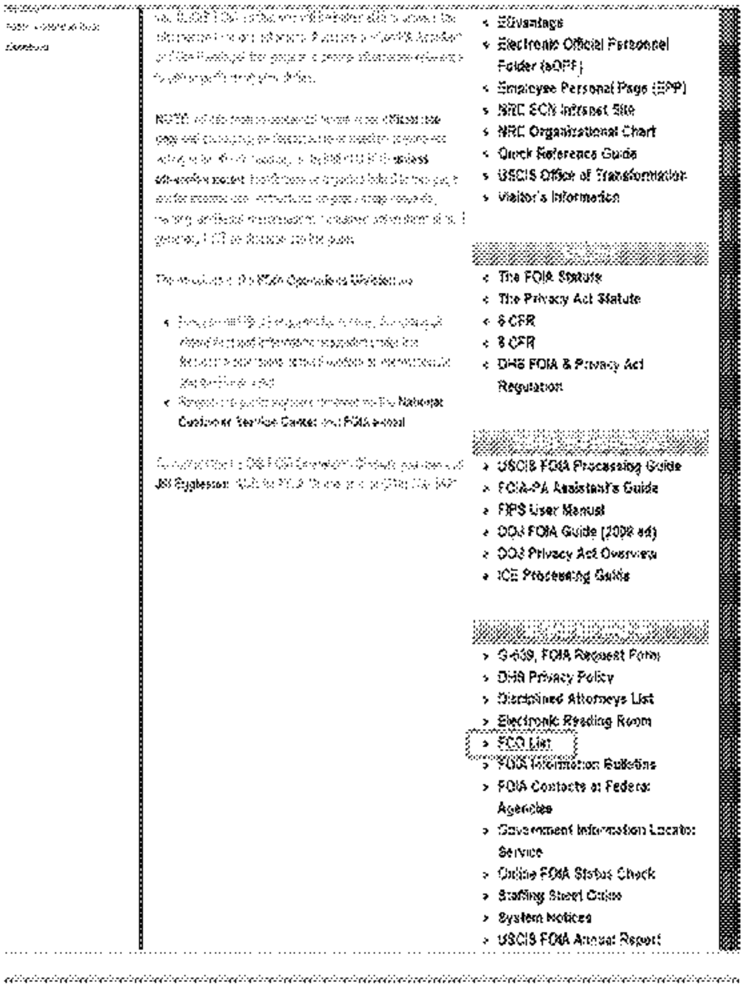
| File # | Seq | Office | Status/Last Action | Location |
|---|---|---|---|---|
| A0[redacted] | 000 | SEA | Status: RECORD IN USE<br>Audit Date:<br>Last Action: | Sect: DP - DEPORTATION<br>Resp: |

#### 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.


EOVantage
Electronic Official Personnel Folder (eOPF)
Employee Personal Page (EPP)
NRC ECN Intranet Site
NRC Organizational Chart
Quick Reference Guide
USCIS Office of Transformation
Visitor's Information
The FOIA Statute
The Privacy Act Statute
6 CFR
8 CFR
DHS FOIA & Privacy Act Regulation
USCIS FOIA Processing Guide
FOIA-PA Assistant's Guide
FIPS User Manual
DOJ FOIA Guide (2009 ed)
DOJ Privacy Act Overview
ICE Processing Guide
G-639, FOIA Request Form
DHS Privacy Policy
Disciplined Attorneys List
Electronic Reading Room
FCO List
FOIA Information Bulletins
FOIA Contacts at Federal Agencies
Government Information Locator Service
Online FOIA Status Check
Staffing Sheet Online
System Notices
USCIS FOIA Annual Report

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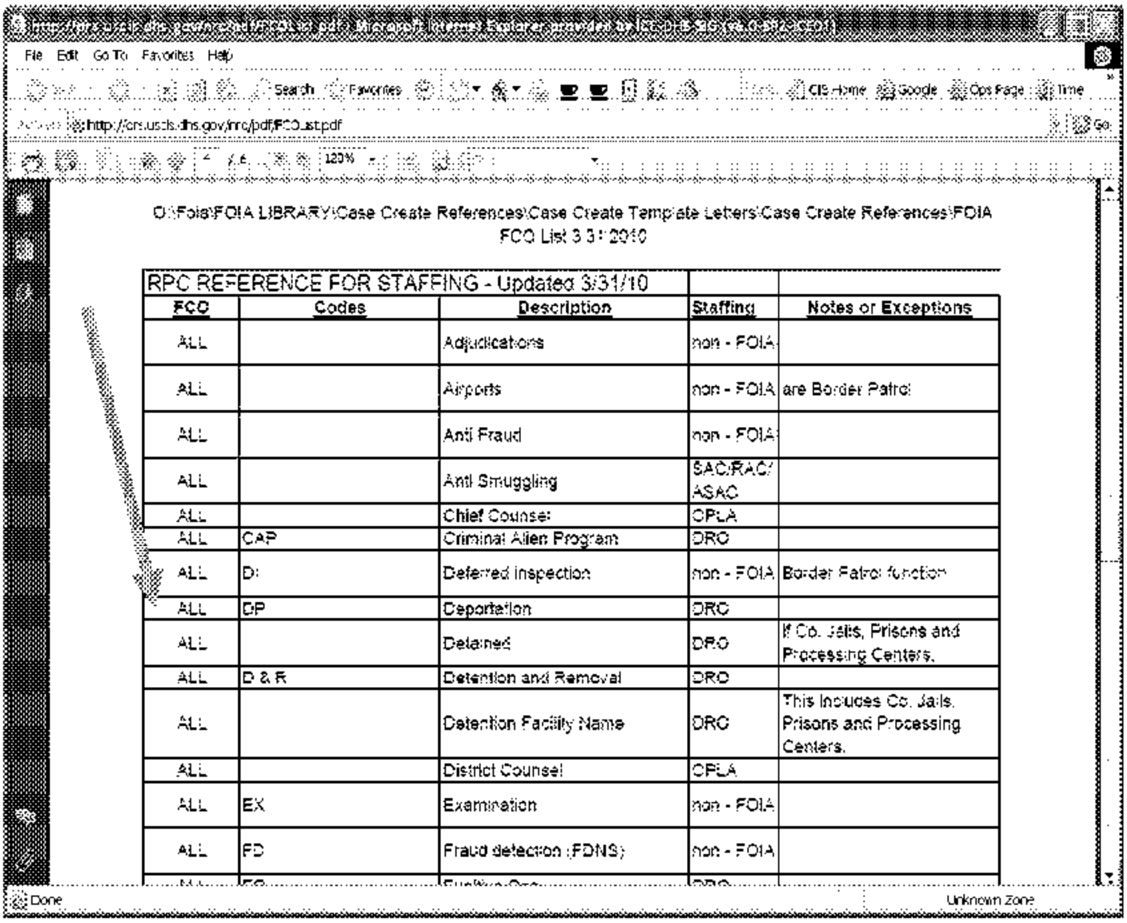
**12.1.1.8** **The RPC Reference Guide** says that no matter what the FCO is, if the RPC starts with DP, we staff to DRO. If you don't already know this, SAC, RAC, ASAC, DRO and OPLA are all ICE functions. That's important for staffing.

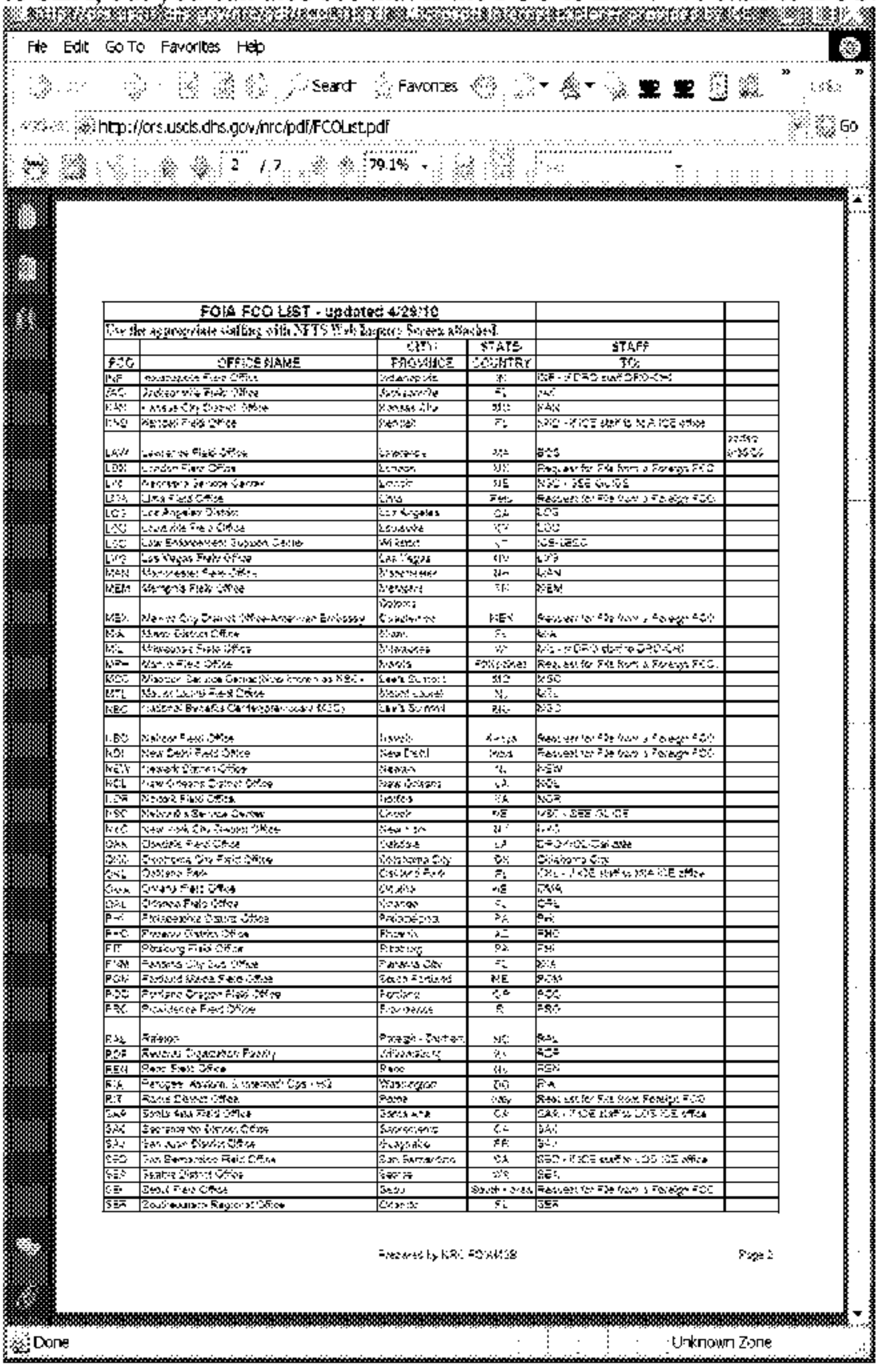

File Edit Go To Favorites Help
Search
Favorites
CIS Home
Google
Ops Page
Time
http://crs.uscis.dhs.gov/nrc/pdf/FCOList.pdf
Go
120%
Done
Unknown Zone

O:\Fois\FOIA LIBRARY\Case Create References\Case Create Template Letters\Case Create References\FOIA FCO List 3 31 2010

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

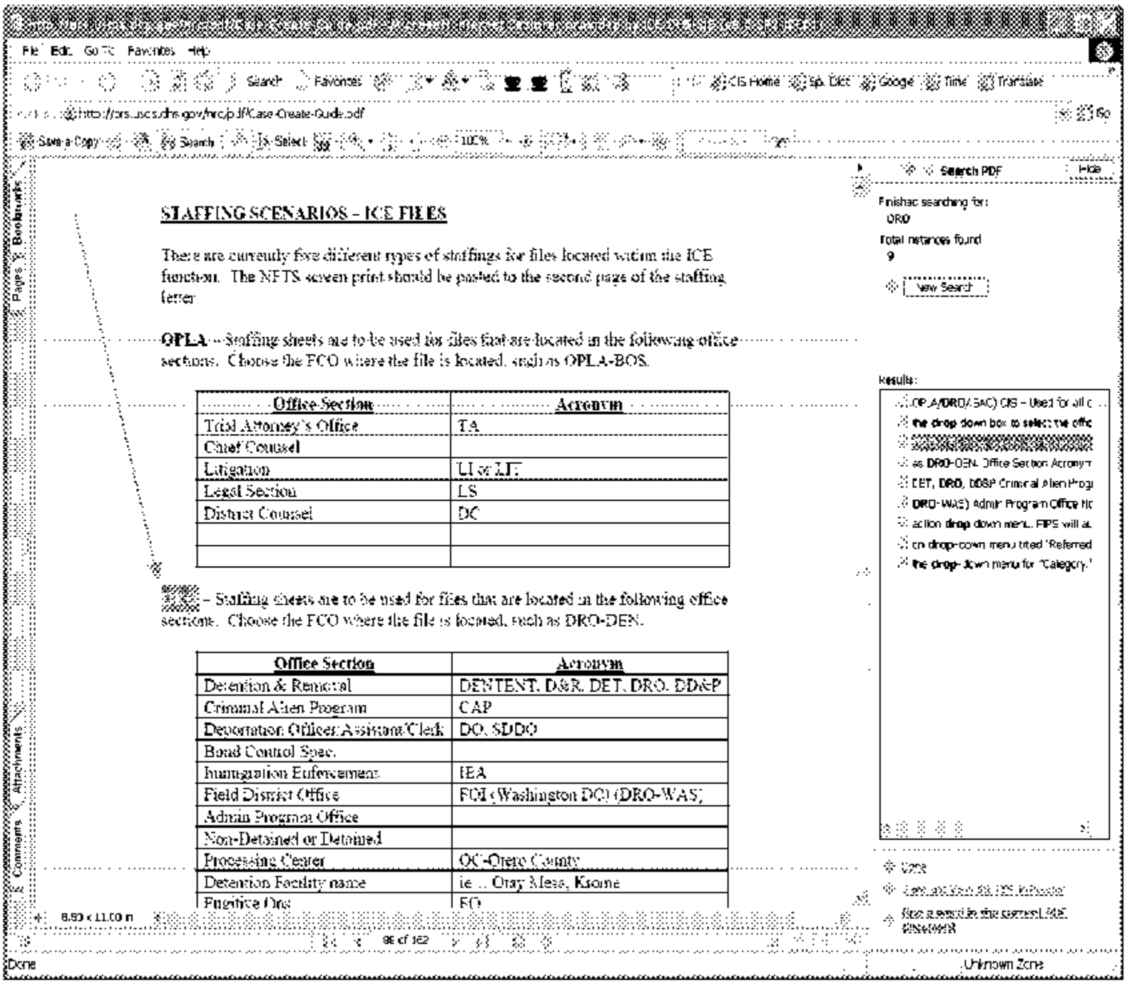
### 12.1.1.9 The FCO List

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.


File Edit Go To Favorites Help
Search
Favorites
http://ors.uscis.dhs.gov/nrc/pdf/FCOList.pdf
Go
2 / 7
79.1%
FOIA FCO LIST - updated 4/29/10
FCO
OFFICE NAME
CITY/ PROVINCE
STATE/ COUNTRY
STAFF TO:
Page 2
Done
Unknown Zone

### 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.



File Edit Go To Favorites Help
Search Favorites
CIS Home Sp. Dict Google Time Translate
http://ors.uscis.dhs.gov/nrc/pdf/Case-Create-Guide.pdf
Go
Save a Copy Search Select 100%
Pages Bookmarks Attachments Comments
Search PDF
Hide
New Search
Results:
Done
8.50 x 11.00 in
98 of 162
Unknown Zone

**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 |
| | |
| | |

[illegible] – 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 | FOI (Washington DC) (DRO-WAS) |
| Admin Program Office | |
| Non-Detained or Detained | |
| Processing Center | OC-Otero County |
| Detention Facility name | ie .. Otay Mesa, Krome |
| Fugitive Ops | FO |

Finished searching for:
DRO
Total instances found
9

Results:

- OPLA/DRO/SAC) CIS – Used for all c
- the drop down box to select the offic
- [illegible]
- as DRO-DEN. Office Section Acronym
- DET, DRO, DD&P Criminal Alien Progr
- DRO-WAS) Admin Program Office No
- action drop down menu. FIPS will au
- on drop-down menu titled "Referred
- the drop-down menu for "Category."

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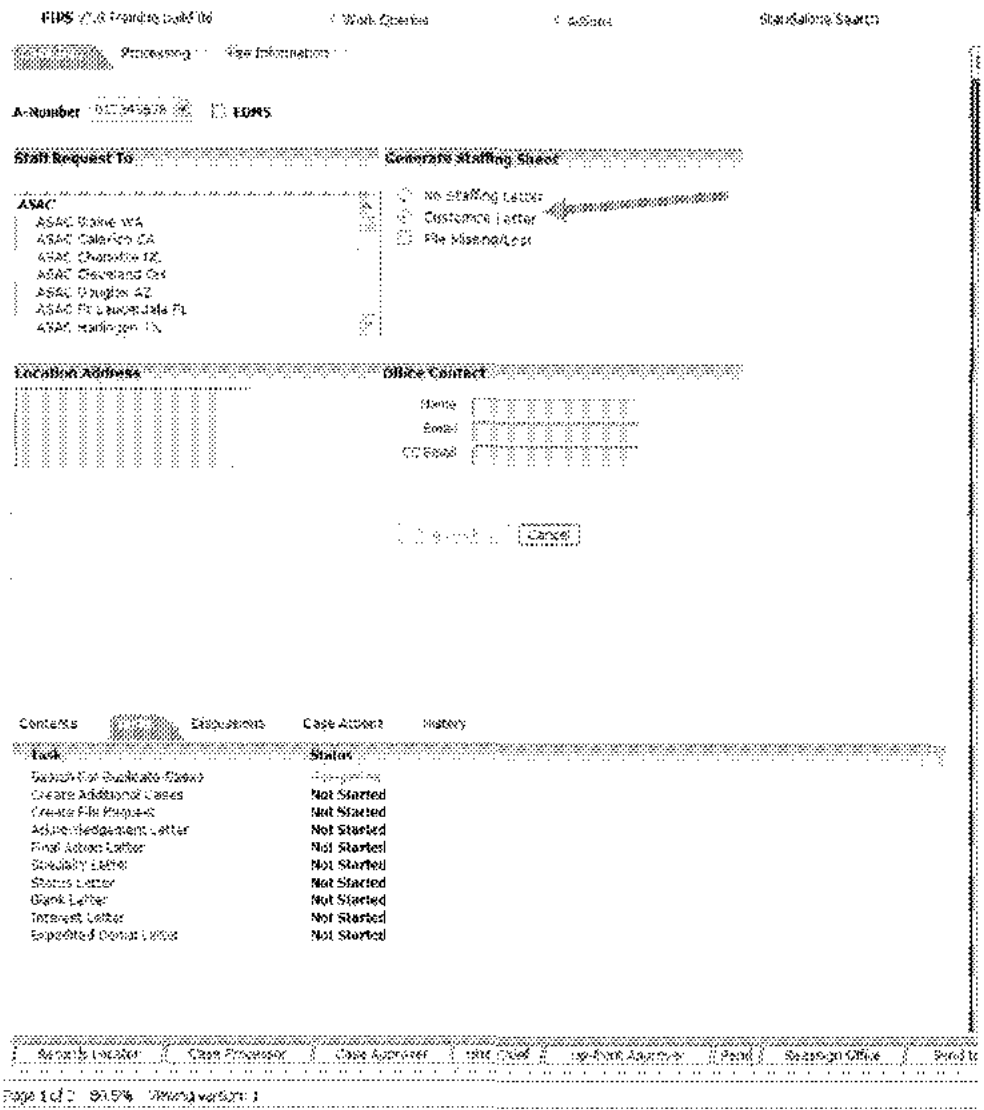
### 12.1.1.11 Generate the file request

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


Work Queries
Standalone Search
Processing
View Information
A-Number
EDRS
Staff Request To
Generate Staffing Sheet
ASAC
ASAC Blaine WA
ASAC Calexico CA
ASAC Charlotte NC
ASAC Cleveland OH
ASAC Douglas AZ
ASAC Ft Lauderdale FL
ASAC Harlingen TX
○ No Staffing Letter
● Customize Letter
☐ File Missing/Lost
Location Address
Office Contact
Name
Email
CC Email
Cancel
Contents
Dispositions
Case Actions
History
Case Processor
Case Approver
Send
Page 1 of 2 93.5%

| Task | Status |
|---|---|
| Search For Duplicate Cases | [illegible] |
| 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 |

Make sure the button marked "Customize Letter" is selected. The file is not missing or lost, so we won't check that box. We know the file is at DRO Seattle, so we will scroll down "Staff Request To" until we find it.

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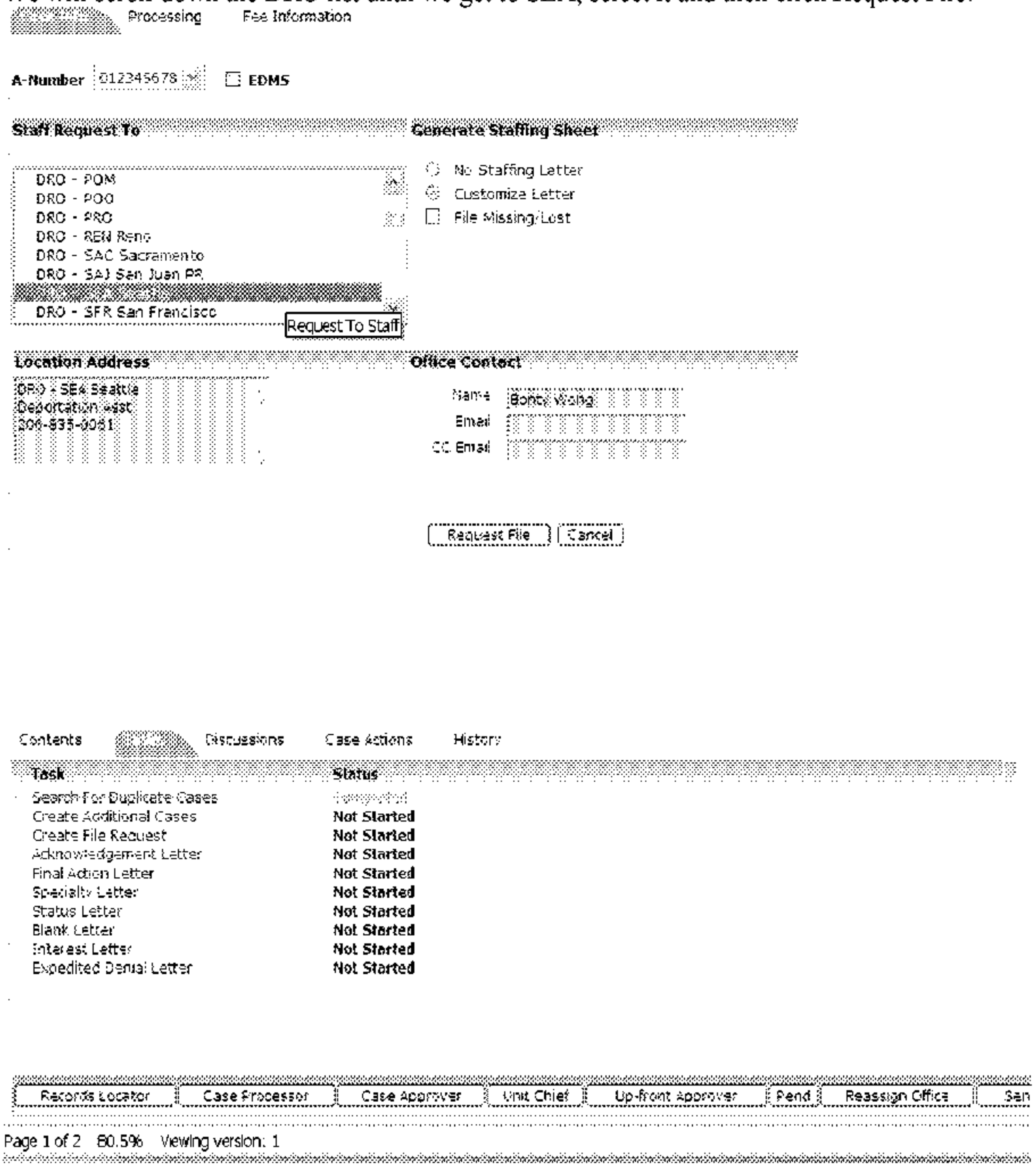
### 12.1.1.12 FIPS – Staffing Request dialog box

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


Processing
Fee Information

**A-Number** 012345678 ☐ **EDMS**

**Staff Request To**

DRO - POM
DRO - POO
DRO - PRO
DRO - REN Reno
DRO - SAC Sacramento
DRO - SAJ San Juan PR
DRO - SFR San Francisco

Request To Staff

**Generate Staffing Sheet**

○ No Staffing Letter
● Customize Letter
☐ File Missing/Lost

**Location Address**

DRO - SEA Seattle
Deportation Asst
206-835-0061

**Office Contact**

Name: Bonny 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

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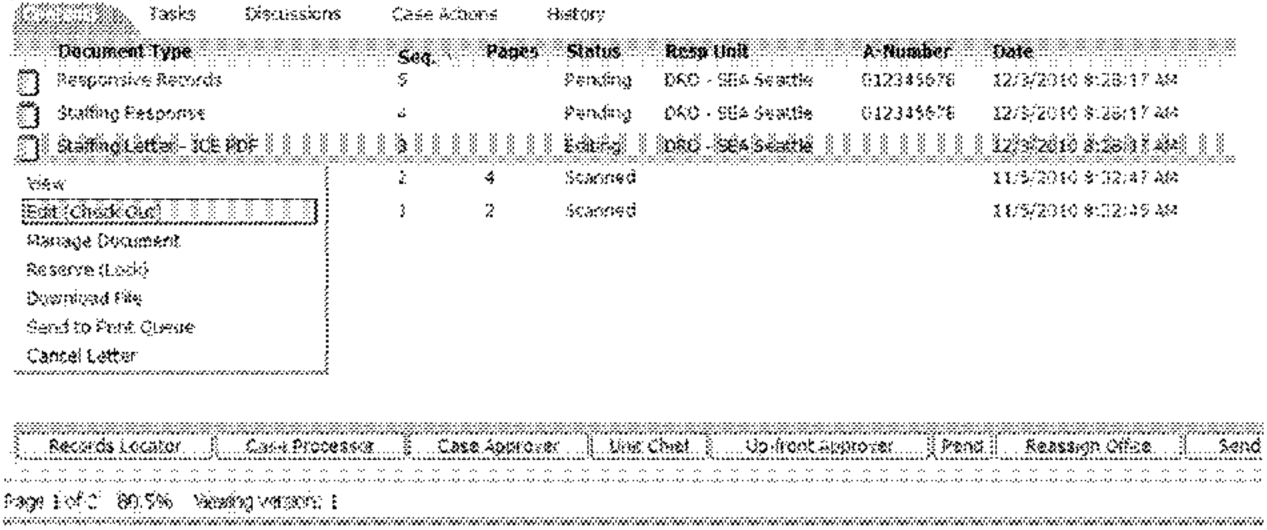
### 12.1.1.13 Create the customized staffing letter

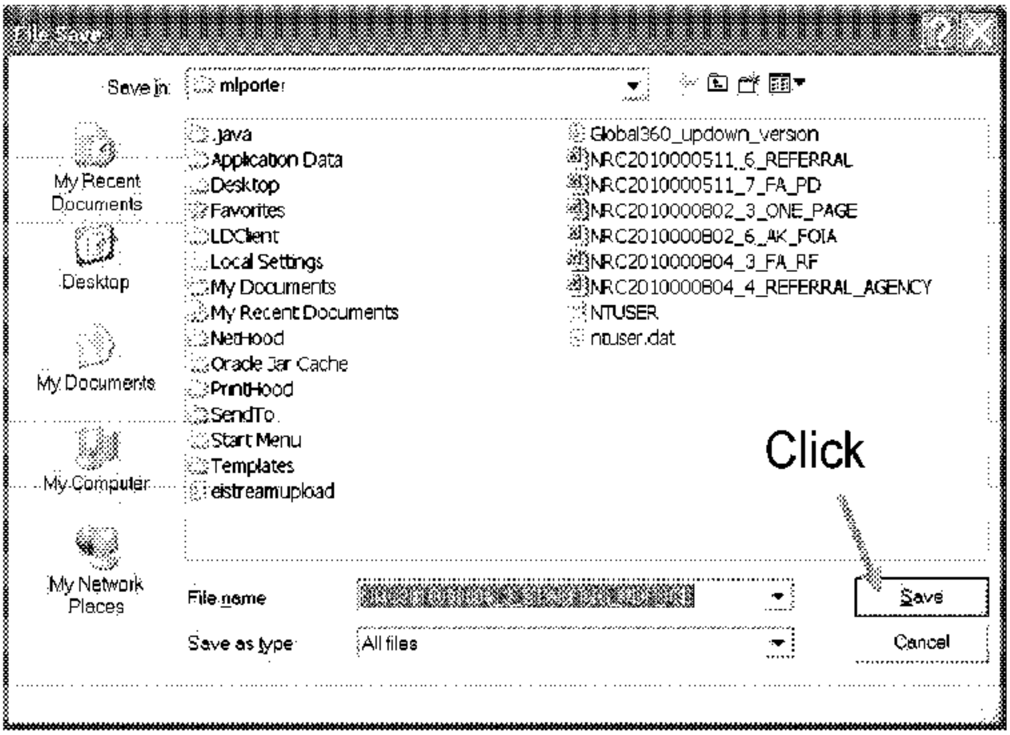
After that, we get a message that says "Successfully generated letter Staffing Letter – ICE PDF." Click OK and then move to the "Contents" tab. Click on the Staffing Letter and select "Edit (Check Out)."



| 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 | | 12/3/2010 8:28:17 AM |
| | 2 | 4 | Scanned | | | 11/5/2010 9:32:47 AM |
| | 1 | 2 | Scanned | | | 11/5/2010 9:32:49 AM |

Page 1 of 2 80.5% Viewing version: 1

Tasks
Discussions
Case Actions
History
View
Edit (Check Out)
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



File Save
Save in: mlporter
My Recent Documents
Desktop
My Documents
My Computer
My Network Places
.java
Application Data
Desktop
Favorites
LDClient
Local Settings
My Documents
My Recent Documents
NetHood
Oracle Jar Cache
PrintHood
SendTo
Start Menu
Templates
eistreamupload
Global360_updown_version
NRC2010000511_6_REFERRAL
NRC2010000511_7_FA_PD
NRC2010000802_3_ONE_PAGE
NRC2010000802_6_4K_FOIA
NRC2010000804_3_FA_RF
NRC2010000804_4_REFERRAL_AGENCY
NTUSER
ntuser.dat
File name
Save as type
All files
Save
Cancel
Click

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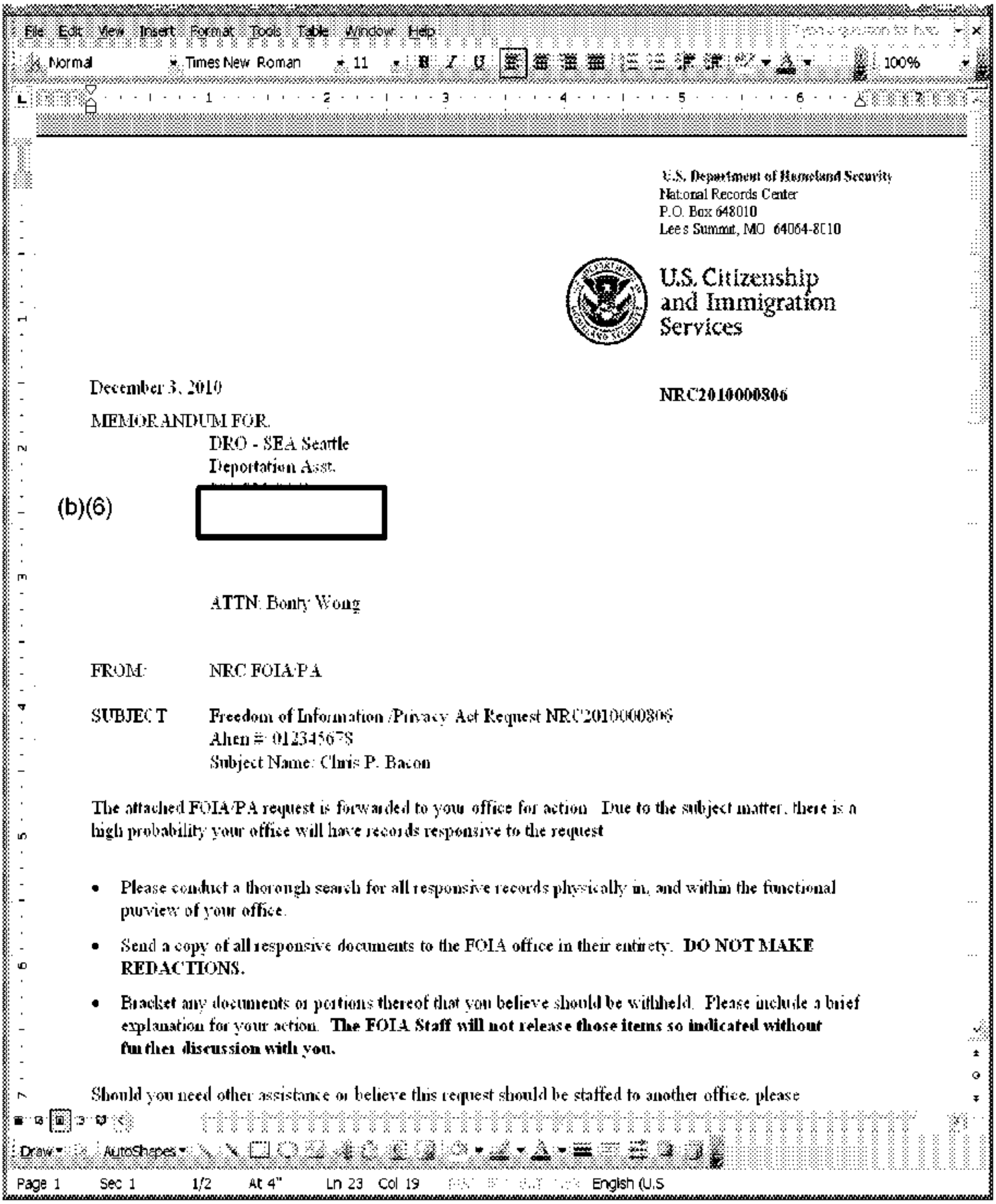
As soon as I clicked “SAVE,” FIPS opened the staffing letter for me in Word.


File Edit View Insert Format Tools Table Window Help
Normal
Times New Roman
11
100%
Draw
AutoShapes
Page 1 Sec 1 1/2 At 4" Ln 23 Col 19 English (U.S

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

U.S. Citizenship
and Immigration
Services

December 3, 2010

**NRC2010000806**

MEMORANDUM FOR.
DRO - SEA Seattle
Deportation Asst.
(b)(6) [redacted]

ATTN: Bonty Wong

FROM: NRC FOIA/PA

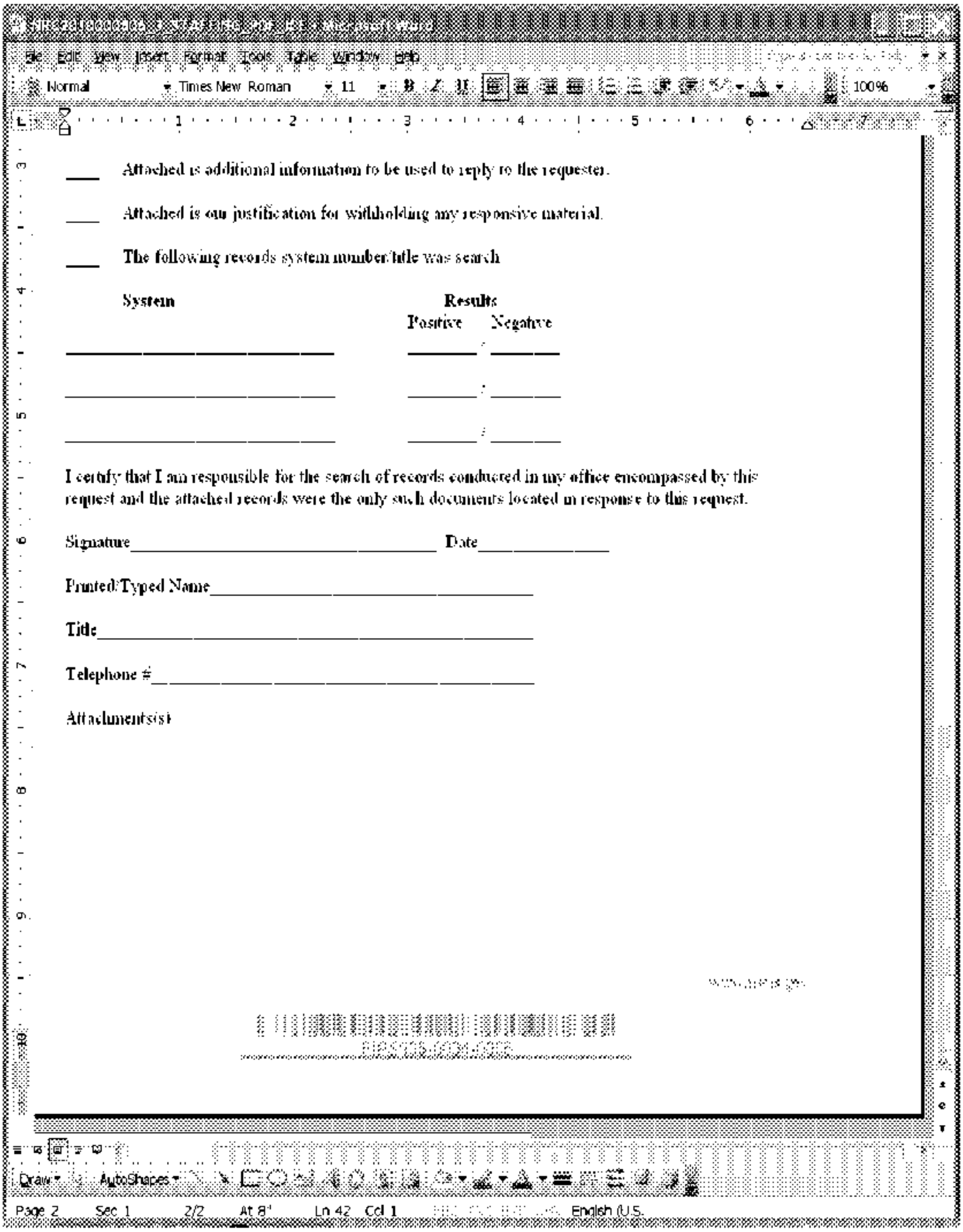
SUBJECT **Freedom of Information /Privacy Act Request NRC2010000806**
Alien #: 012345678
Subject Name: Chris P. Bacon

The attached FOIA/PA request is forwarded to you 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

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.


File Edit View Insert Format Tools Table Window Help
Normal
Times New Roman
11
100%
Draw
AutoShapes
Page 2 Sec 1 2/2 At 8" Ln 42 Col 1
English (U.S.

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

____ Attached is our justification for withholding any responsive material.

____ The following records system number/title was search

| **System** | **Results** | |
|---|---|---|
| | **Positive** | **Negative** |
| ______________________ | ________ | ________ |
| ______________________ | ________ | ________ |
| ______________________ | ________ | ________ |

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

Signature______________________________ Date____________

Printed/Typed Name______________________________

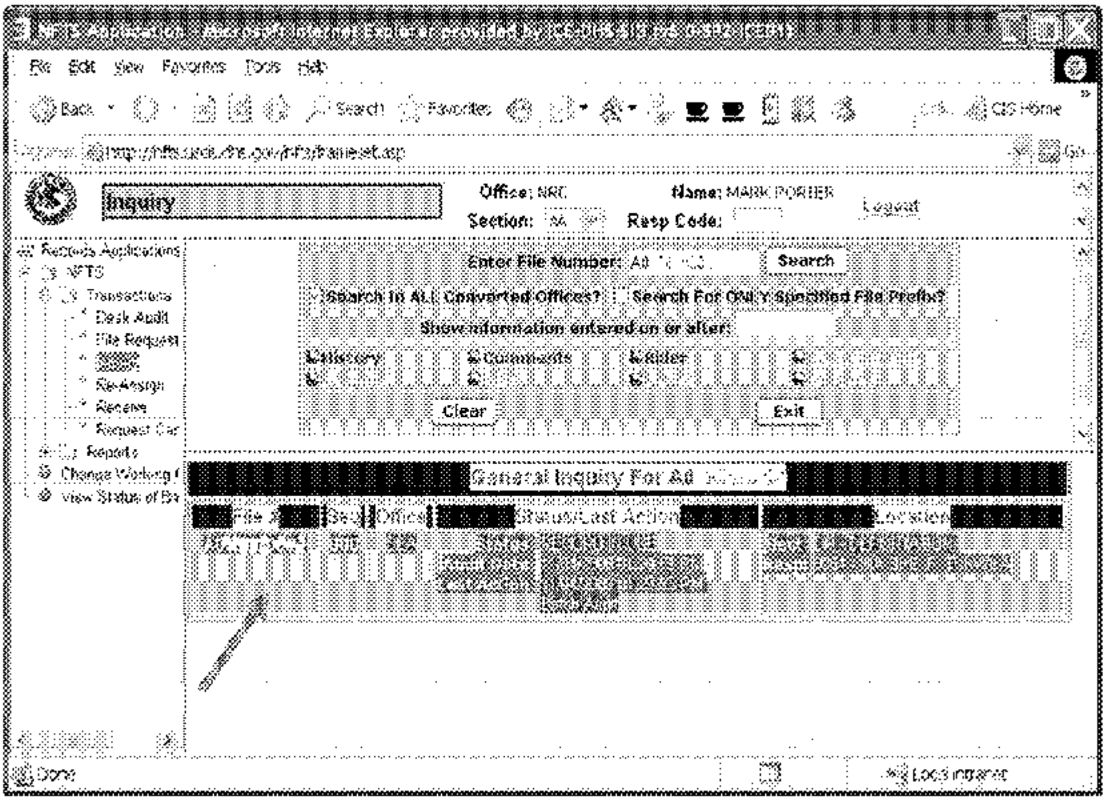
Title______________________________

Telephone #______________________________

Attachments(s)

### 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.



Office: NRC

Name: MARK PORTER

Enter File Number: A0

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

Show information entered on or after:

File Edit View Favorites Tools Help
Back
Search
Favorites
CIS Home
http://nfts.uscis.dhs.gov/nfts/frameset.asp
Inquiry
Section:
Resp Code:
Logout
Records Applications
NFTS
Transactions
Desk Audit
File Request
ReAssign
Receive
Request Car
Reports
Change Working
View Status of Ba
Search
Category
Comments
Rider
Clear
Exit
General Inquiry For A0
File #
Seq
Office
Status/Last Action
Location
Done
Local intranet

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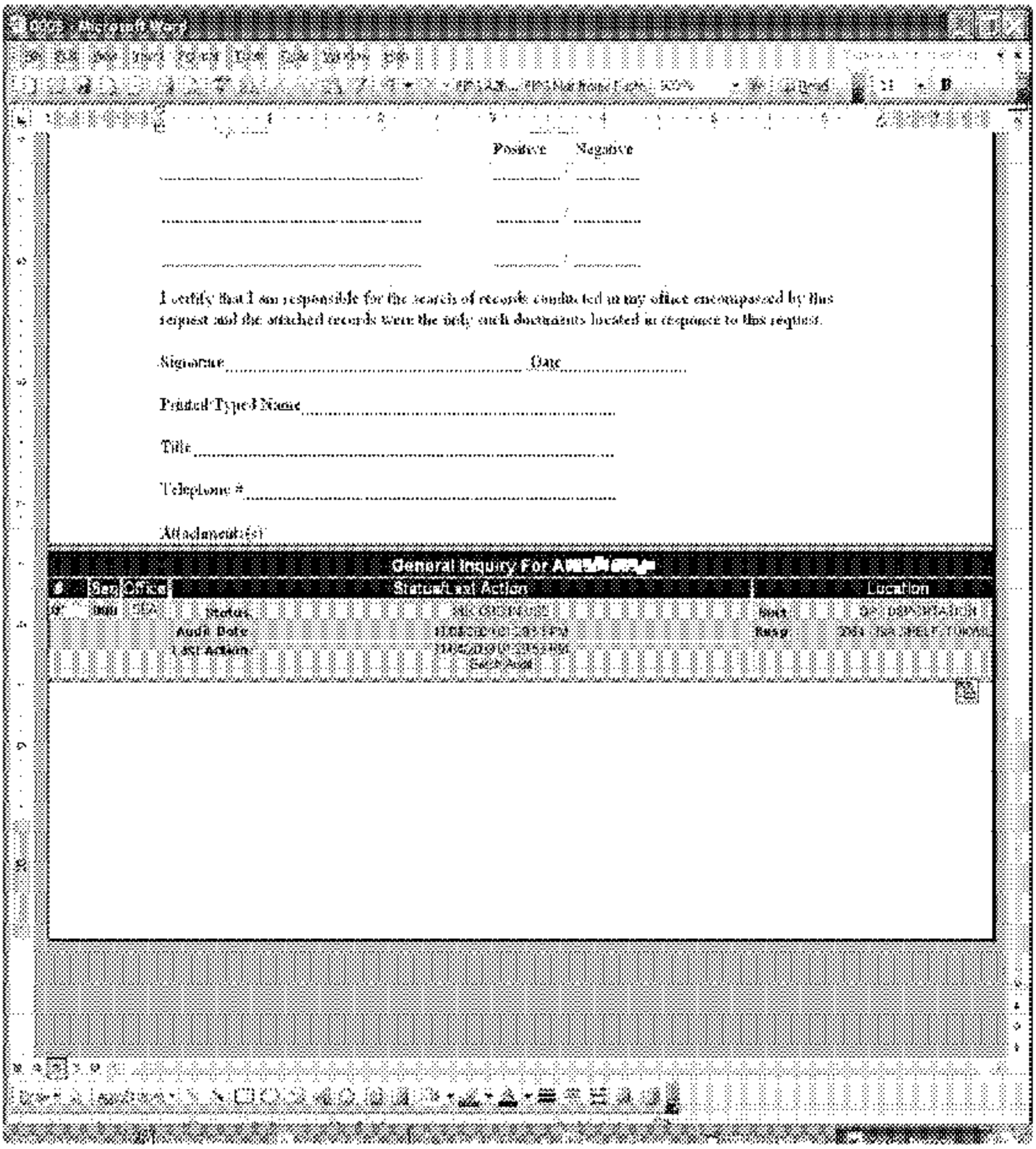
Immediately after pasting, we notice that the result is imperfect and we will have to repair it.



| | 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 A[redacted]

| # | Seq | Office | Status/Last Action | | | Location |
|---|---|---|---|---|---|---|
| [illegible] | [illegible] | [illegible] | Status | [illegible] | Sent | [illegible] |
| | | | Audit Date | [illegible] | Resp | [illegible] |
| | | | Last Action | [illegible] | | |

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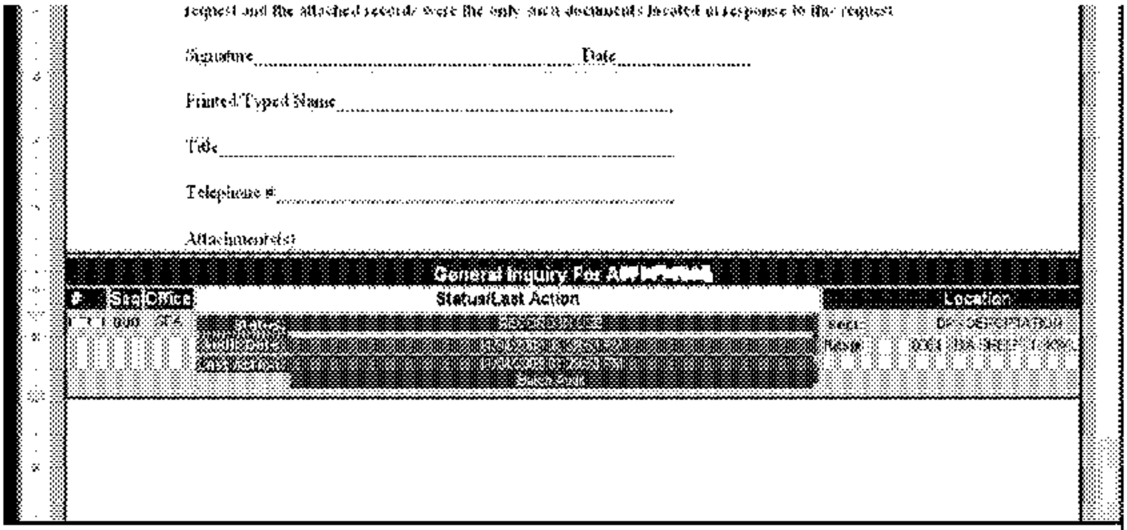
Left-click and highlight everything in the center column, starting at Status/Last Action, then press Delete.



request and the attached records were the only such documents located in response to the request

Signature____________________ Date__________

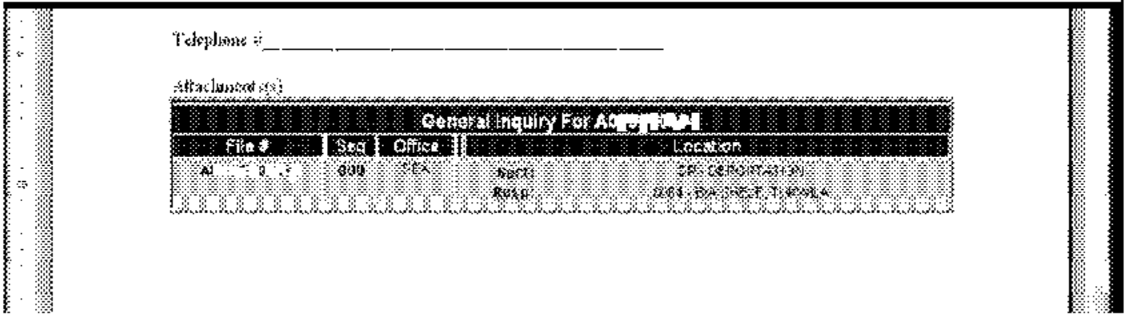
Printed/Typed Name____________________

Title____________________

Telephone #____________________

Attachment(s)

General Inquiry For A[redacted]
#
Seq
Office
Status/Last Action
Location

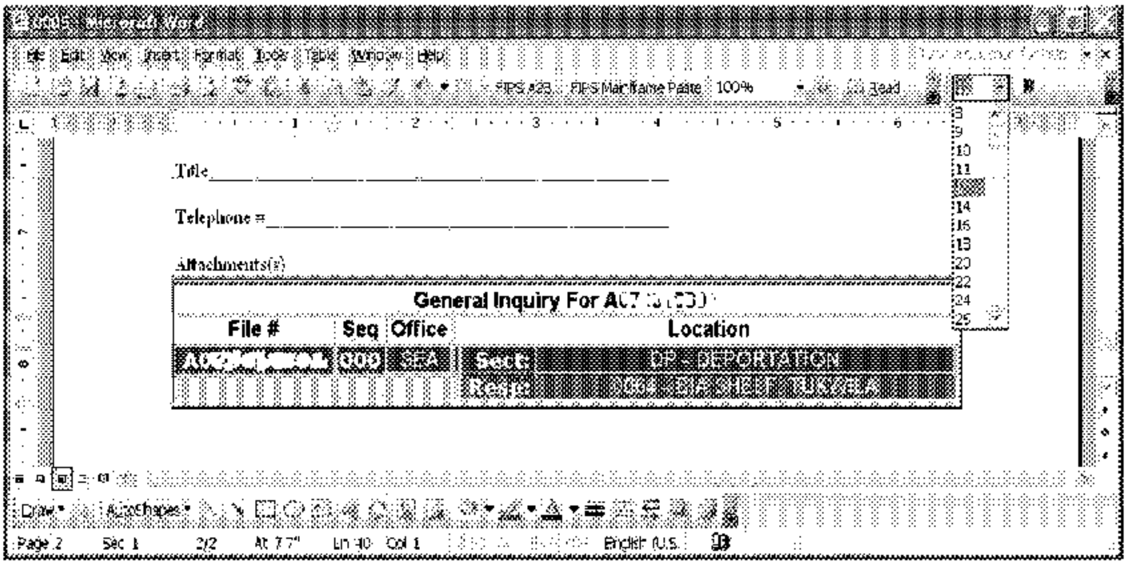


Telephone #____________________

Attachment(s)

General Inquiry For A[redacted]
File #
Seq
Office
Location
000
Rec'd
Resp

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



File Edit View Insert Format Tools Table Window Help
FIPS #3B
FIPS Mainframe Paste
100%
Read
8
9
10
11
14
16
18
20
22
24
26
Draw
AutoShapes
Page 2
Sec 1
2/2
At 7.7"
Ln 40
Col 1
English (U.S.

Title________________________________

Telephone #________________________________

Attachments(s)

| General Inquiry For A07 [illegible] | | | | |
|---|---|---|---|---|
| File # | Seq | Office | Location | |
| [redacted] | 000 | SEA | Sect: | DP - DEPORTATION |
| | | | Resp: | 064 - DIA SHELF TUKY/ELA |

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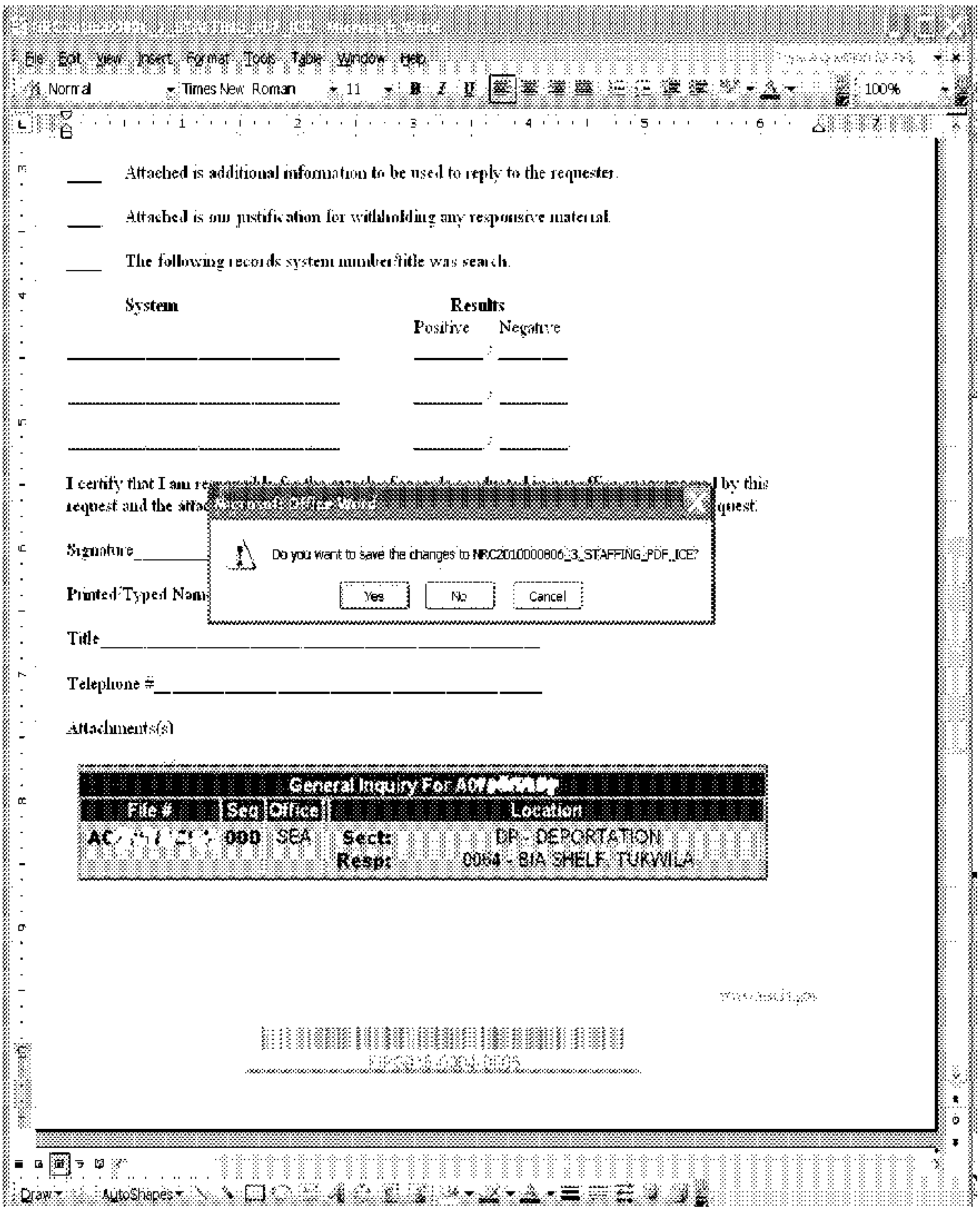
Finally, we exit and save our work. We have successfully staffed for the A-file. The next thing we have to do is check the staffing letter back in.



____ 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<br>Positive | <br>Negative |
|---|---|---|
| ______________________ | ________ | ________ |
| ______________________ | ________ | ________ |
| ______________________ | ________ | ________ |

I certify that I am re… by this request and the atta… quest.

Signature________

Printed/Typed Nam…

Title________________________________

Telephone #________________________________

Attachments(s)

Do you want to save the changes to NRC2010000806_3_STAFFING_PDF_ICE?

Yes No Cancel

General Inquiry For A0[redacted]

| File # | Seq | Office | Location |  |
|---|---|---|---|---|
| AC[redacted] | 000 | SEA | Sect: | DP - DEPORTATION |
|  |  |  | Resp: | 0064 - BIA SHELF, TUKWILA |

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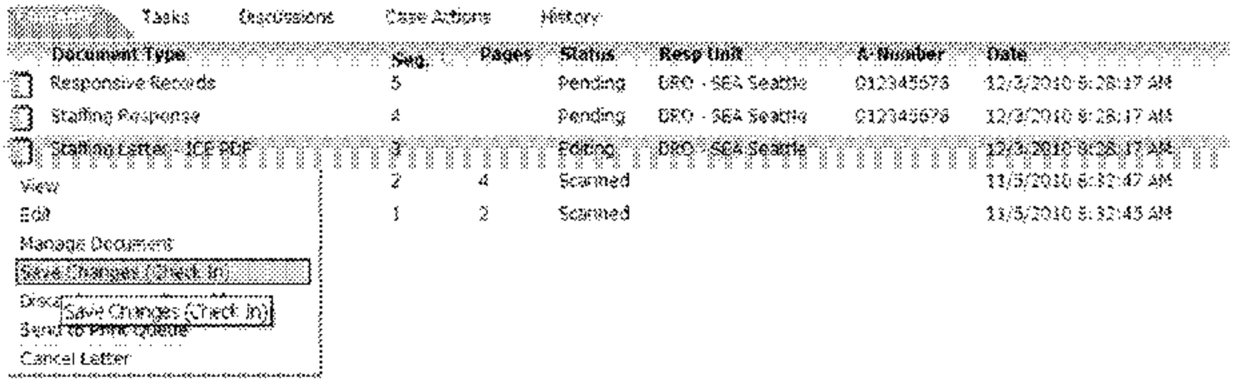
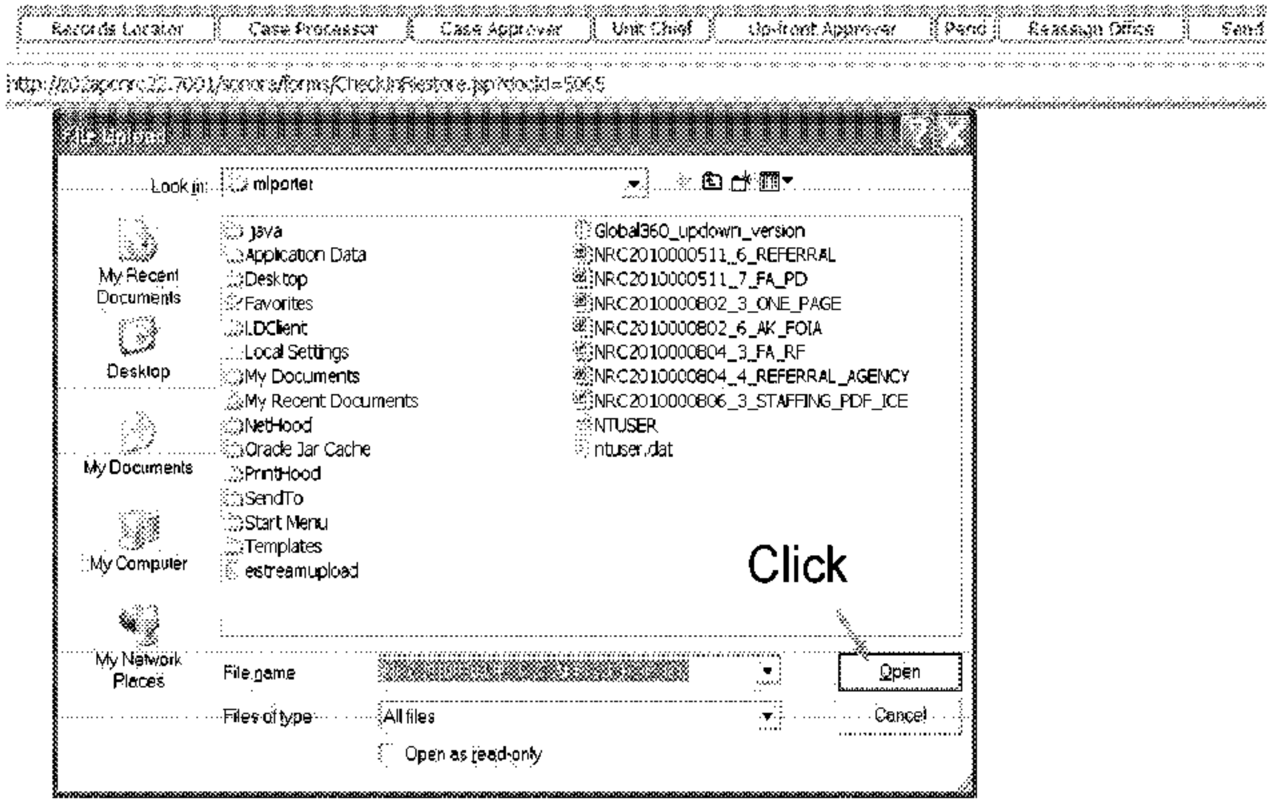
### 12.1.1.15 Save changes and check it back in


Tasks
Discussions
Case Actions
History
View
Edit
Manage Document
Save Changes (Check In)
Discard
Save Changes (Check In)
Send to Print Queue
Cancel Letter

| 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 | | 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 |


Records Locator
Case Processor
Case Approver
Unit Chief
Up-front Approver
Pend
Reassign Office
Send
http://z02apcrnc22:7001/xxxx/forms/CheckInRestore.jsp?docId=5065
File Upload
My Recent Documents
Desktop
My Documents
My Computer
My Network Places
java
Application Data
Desktop
Favorites
LDClient
Local Settings
My Documents
My Recent Documents
NetHood
Oracle Jar Cache
PrintHood
SendTo
Start Menu
Templates
estreamupload
Global360_updown_version
NRC2010000511_6_REFERRAL
NRC2010000511_7_FA_PD
NRC2010000802_3_ONE_PAGE
NRC2010000802_6_AK_FOIA
NRC2010000804_3_FA_RF
NRC2010000804_4_REFERRAL_AGENCY
NRC2010000806_3_STAFFING_PDF_ICE
NTUSER
ntuser.dat
Click
Open
Cancel

Look in: mlporter

File name:

Files of type: All files

☐ Open as read-only

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.

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## 12.5 Receipt numbers

Receipt numbers are comprised of the three-letter office code, followed by a 10-digit number. Receipt numbers are assigned to applications and petitions filed with the Service, such as Form I-765, Employment Authorization applications and Form I-130, Petition for Alien Relative. If the requester provides a receipt number on their request, log into CLAIMS and verify the information.

If the requester provides only a receipt number and it is for a Service Center we work, then we need to request the receipt file. Enter the receipt information into the Topic field. Make the first part of the description the receipt file number. Use the complete receipt number with no spaces or dashes.

Example of the correct way: EAC0812345678
An example of how **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.

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## 12.7 Staffing Scenarios

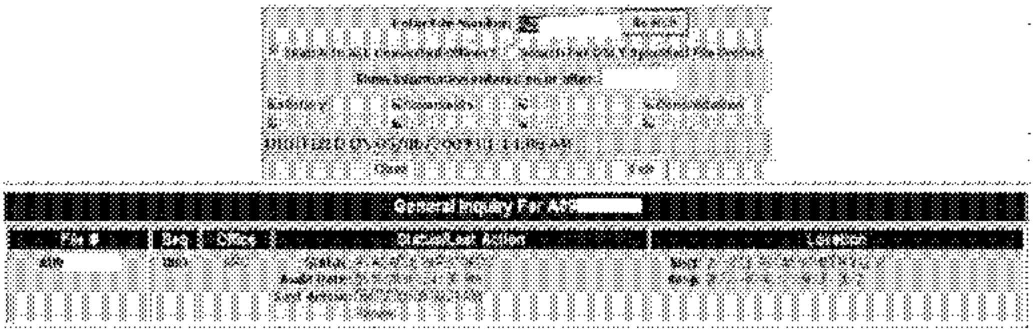
### *12.7.1 Digitized files*

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

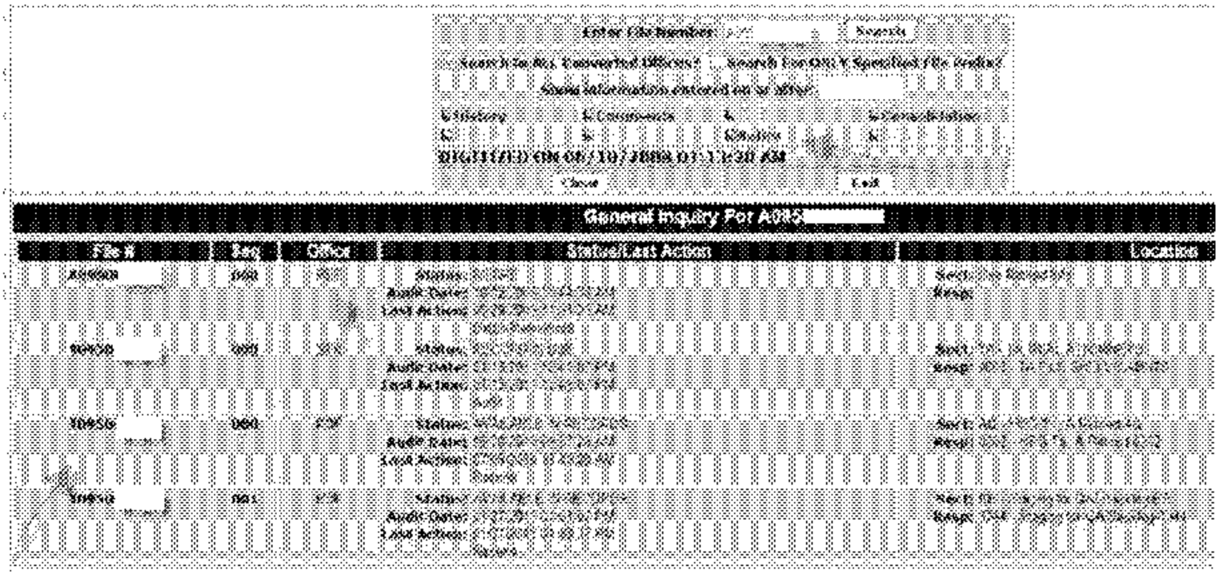
How do I tell if it is a digitized file?

NFTS will show the "Location" of the file as either **RDF** or **NRC**. If the file location is NRC, you will see a banner stating "DIGITIZED ON …." The screen print below is a sample of the NFTS screen.

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



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


Enter File Number:
Search
Close
Exit

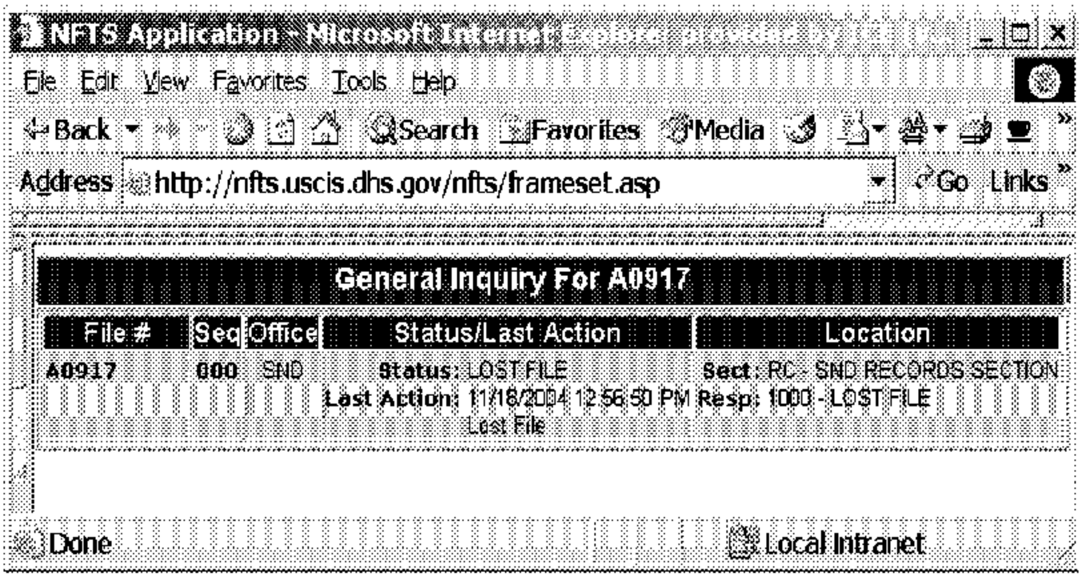
General Inquiry For A085[redacted]

| File # | Seq | Office | Status/Last Action | Location |
|---|---|---|---|---|
| [redacted] | [illegible] | [illegible] | [illegible] | [illegible] |
| [redacted] | [illegible] | [illegible] | [illegible] | [illegible] |
| [redacted] | [illegible] | [illegible] | [illegible] | [illegible] |
| [redacted] | [illegible] | [illegible] | [illegible] | [illegible] |

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*

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
Search
Favorites
Media
Address
http://nfts.uscis.dhs.gov/nfts/frameset.asp
Go
Links
Done
Local intranet

General Inquiry For A0917

| File # | Seq | Office | Status/Last Action | Location |
|---|---|---|---|---|
| A0917 | 000 | SND | **Status:** LOST FILE<br>**Last Action:** 11/18/2004 12:56:50 PM<br>Lost File | **Sect:** RC - SND RECORDS SECTION<br>**Resp:** 1000 - LOST FILE |

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

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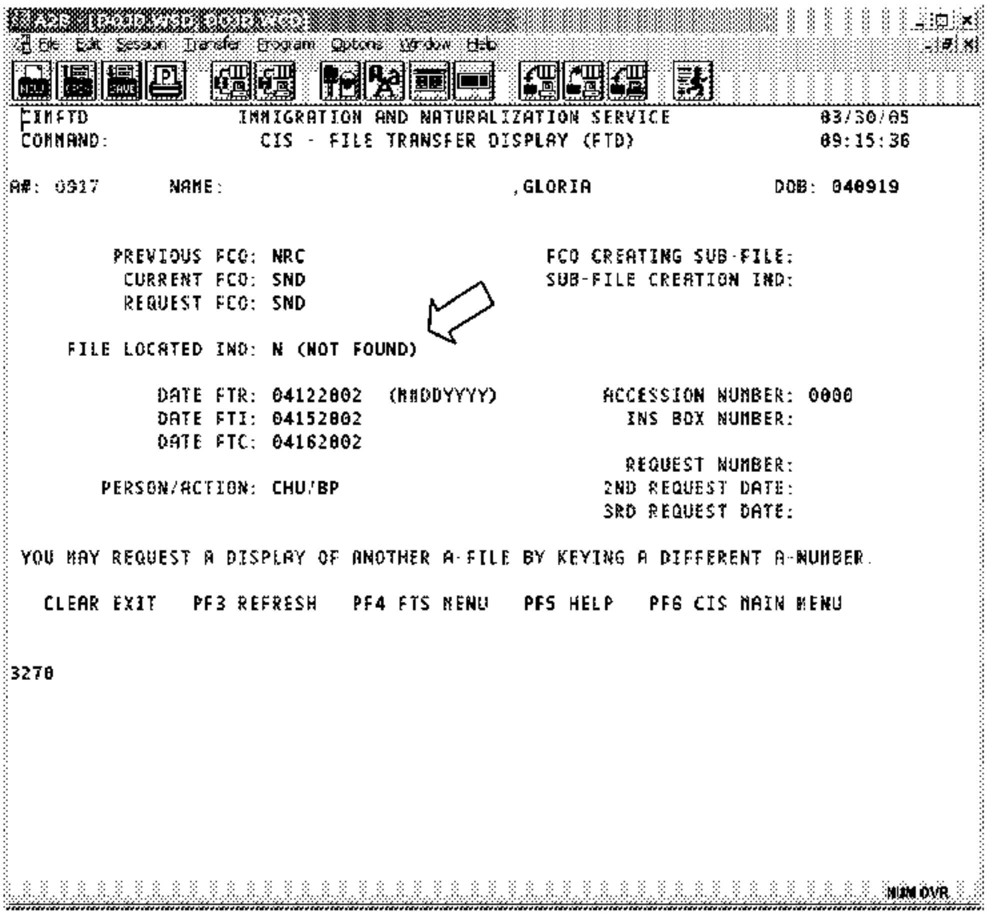
If the "Last Action" is more than nine months ago, move to the next section of this guide, Files lost or not found MORE THAN NINE MONTHS.



```
 IMFTD                 IMMIGRATION AND NATURALIZATION SERVICE              03/30/05
 COMMAND:                 CIS - FILE TRANSFER DISPLAY (FTD)                09:15:36

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
                                                        REQUEST NUMBER:
       PERSON/ACTION: CHU/BP                          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".

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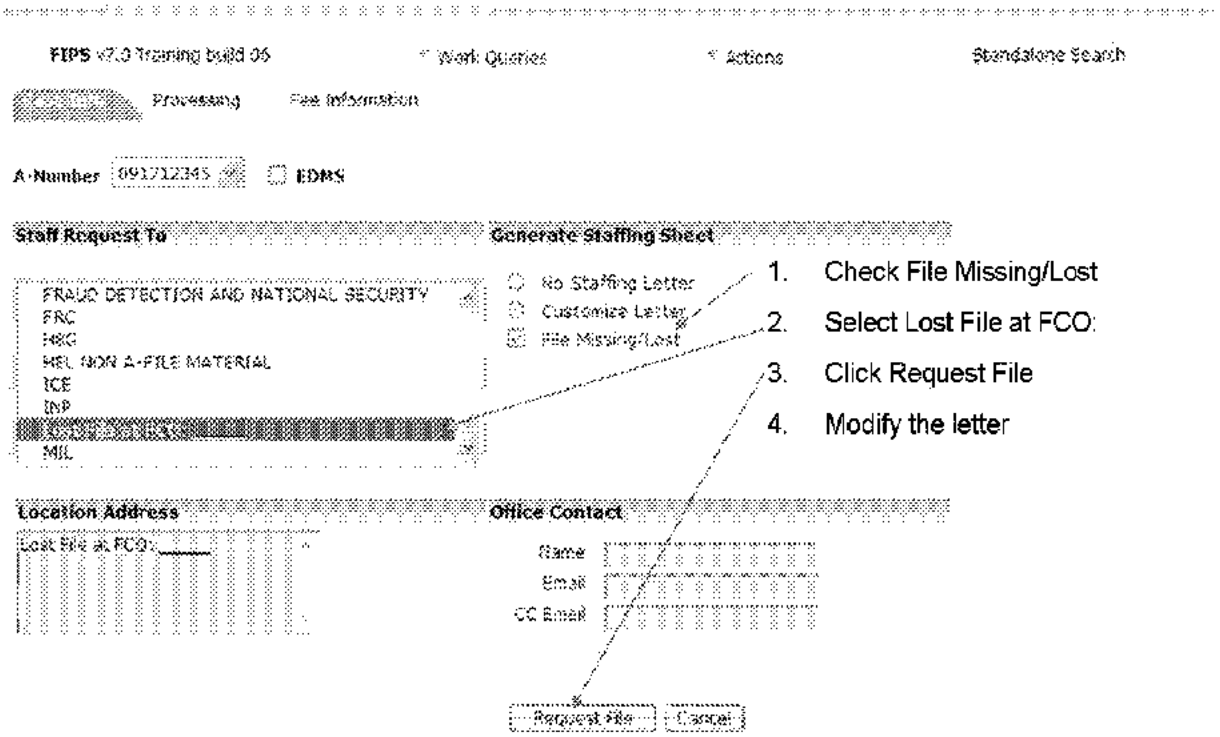

FIPS v7.0 Training build 06
Work Queries
Actions
Standalone Search
Processing
Fee Information
FRAUD DETECTION AND NATIONAL SECURITY
FRC
HKG
HEL NON A-FILE MATERIAL
ICE
INP
MIL
○ No Staffing Letter
○ Customize Letter
Request File
Cancel

**A-Number** 091712345 ☐ **EDMS**

**Staff Request To**

**Generate Staffing Sheet**

☒ File Missing/Lost

**Location Address**

Lost File at FCO:_____

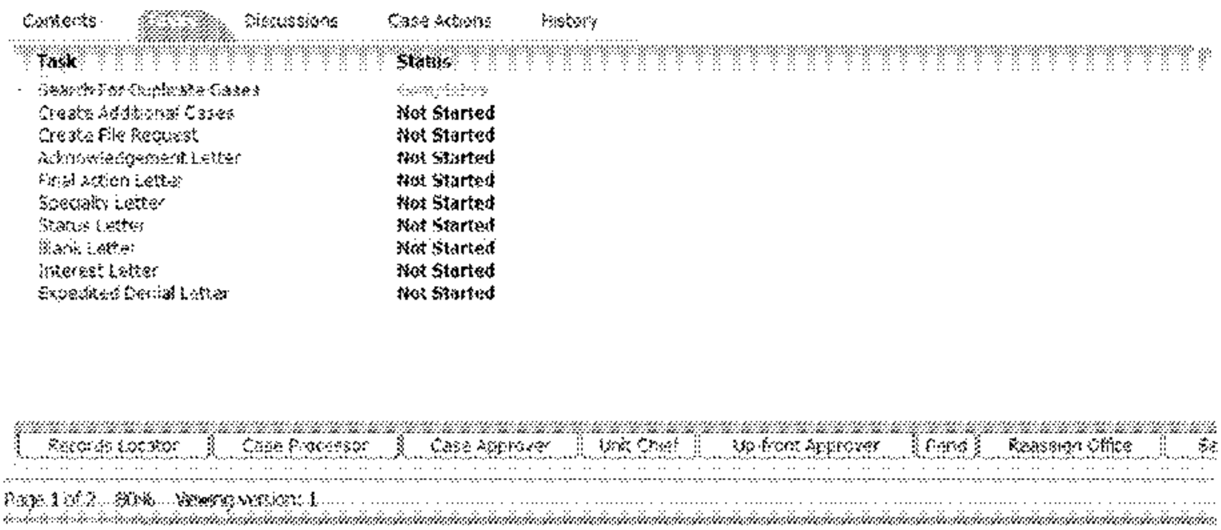
**Office Contact**

Name

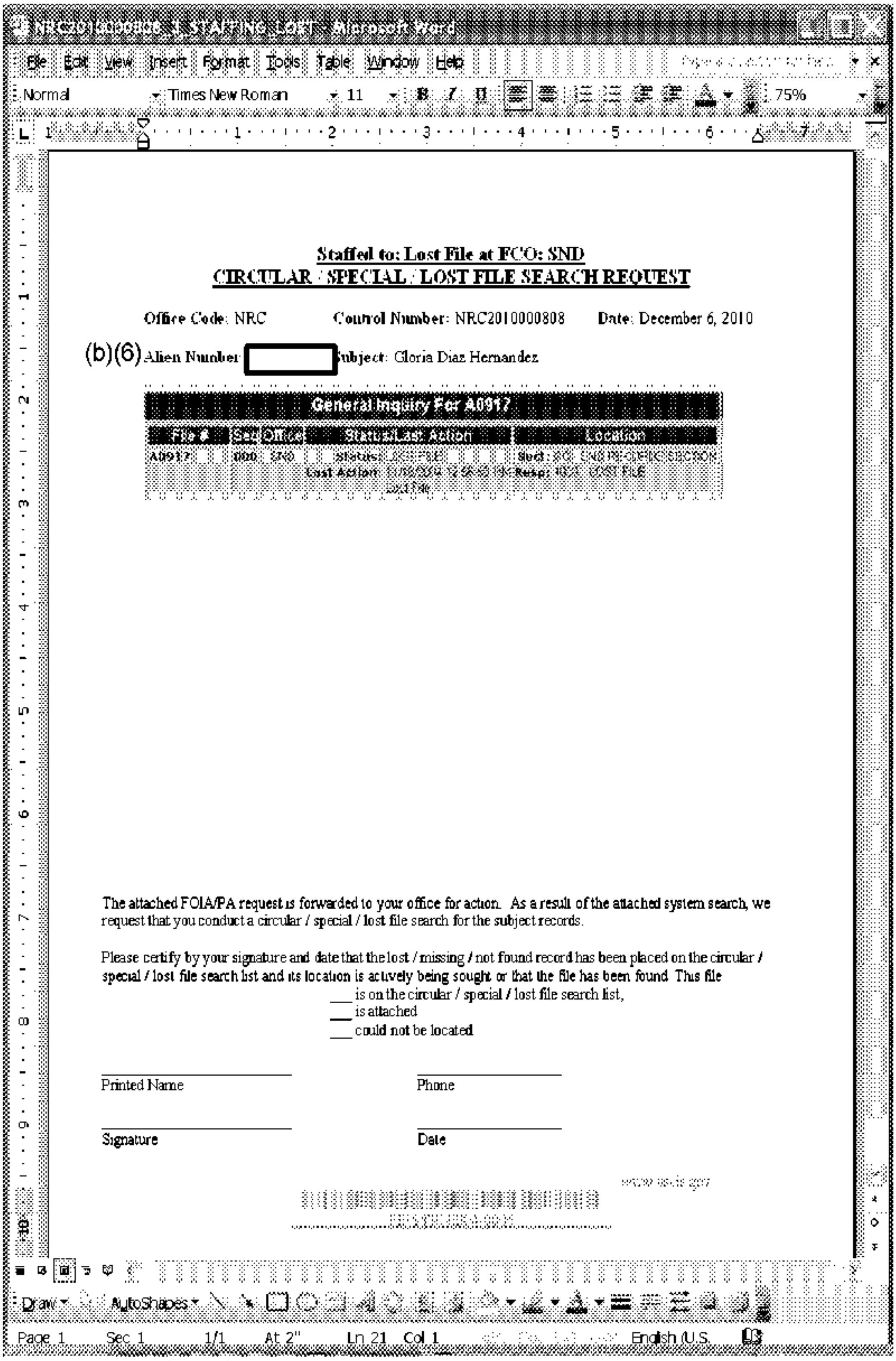
Email

CC Email

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


Contents
Discussions
Case Actions
History
Records Locator
Case Processor
Case Approver
Unit Chief
Up-front Approver
Pend
Reassign Office
Page 1 of 2 ... 80% ... Viewing version: 1

| 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** |


File Edit View Insert Format Tools Table Window Help
Normal
Times New Roman
11
75%
Draw
AutoShapes
Page 1 Sec 1 1/1 At 2" Ln 21 Col 1
English (U.S.)

**Staffed to: Lost File at FCO: SND**

**CIRCULAR / SPECIAL / LOST FILE SEARCH REQUEST**

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

(b)(6) **Alien Number**: [redacted] **Subject**: Gloria Diaz Hernandez

| General Inquiry For A0917 | | | | |
|---|---|---|---|---|
| File # | Sec | Office | Status/Last Action | Location |
| A0917 | 000 | SND | Status: [illegible]<br>Last Action: [illegible] | Sect: [illegible]<br>Resp: [illegible] 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 ____________________

www.uscis.gov

Generate the acknowledgement letter.

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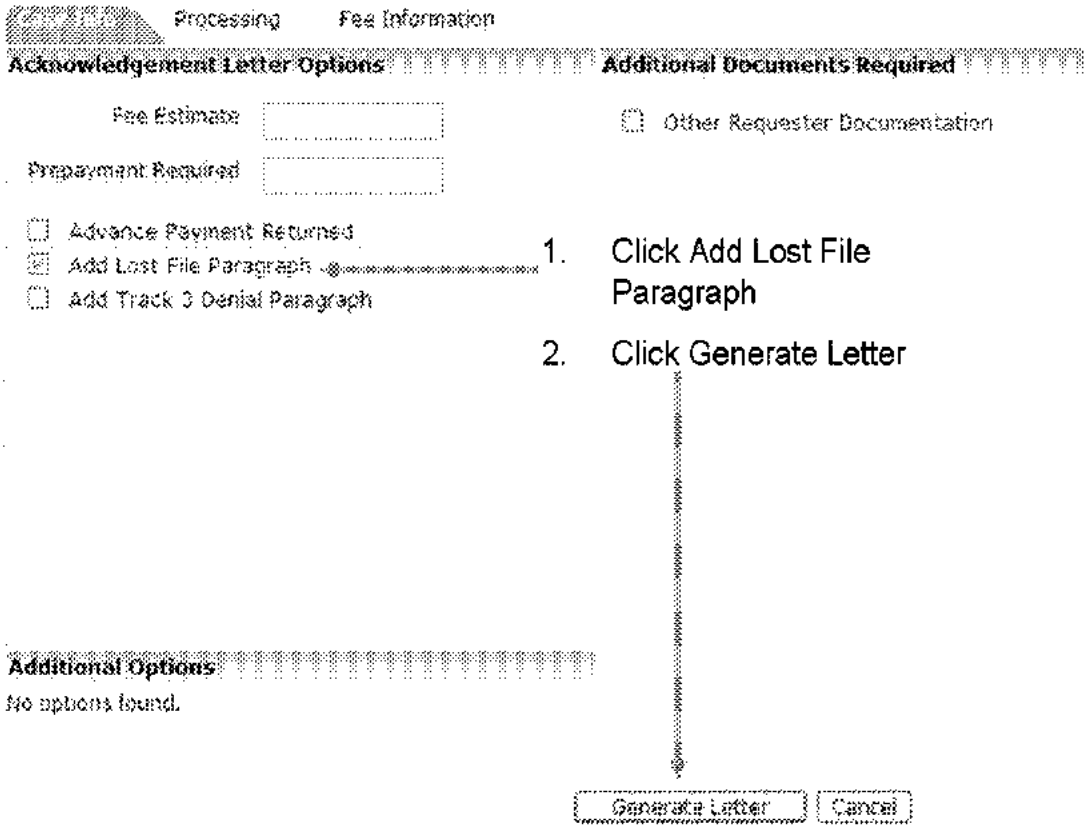

**Acknowledgement Letter Options**

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.

1. Click Add Lost File Paragraph
2. Click Generate Letter

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

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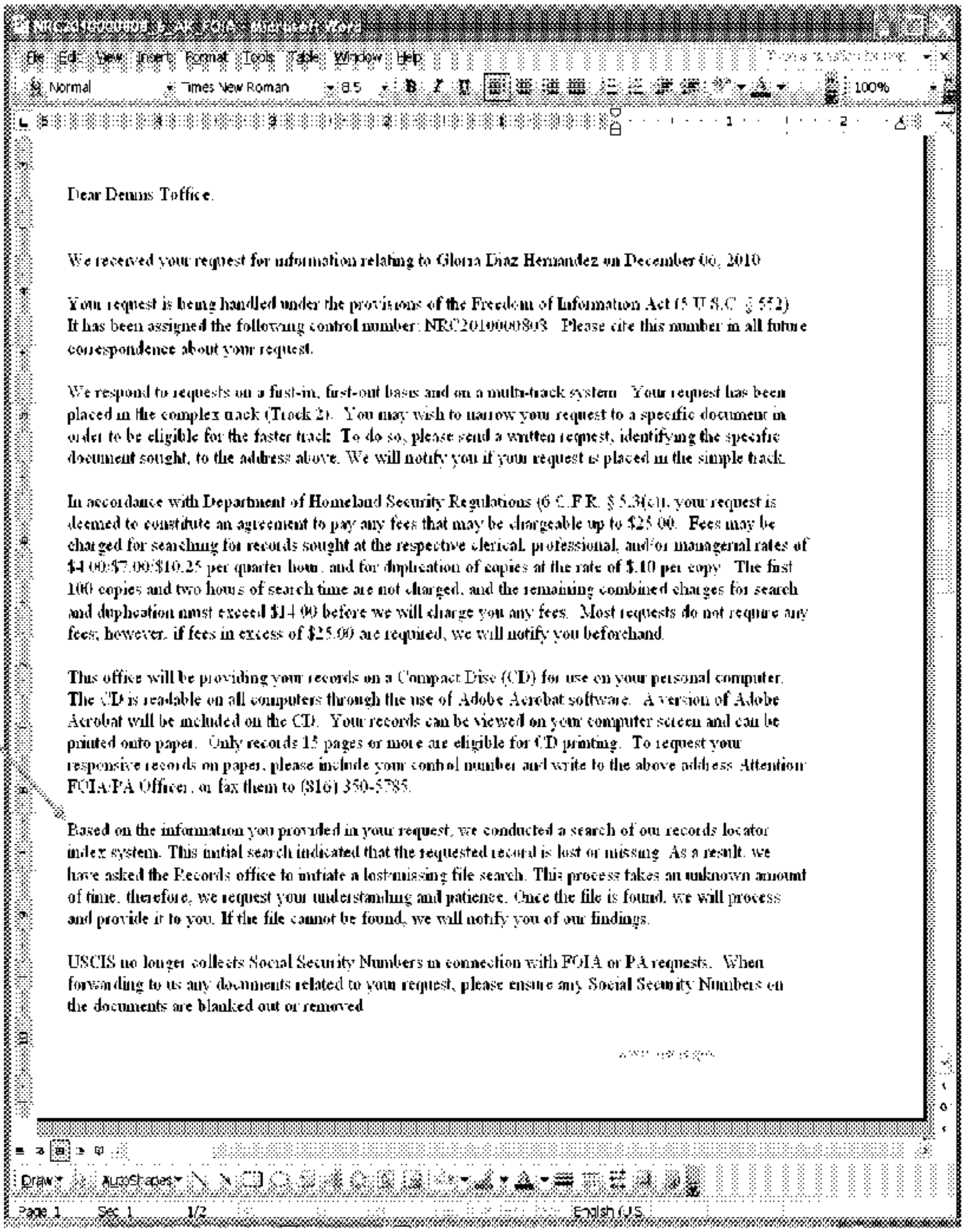

Dear Dennis Toffice.

We received your request for information relating to Gloria Diaz Hernandez on December 06, 2010

Your request is being handled under the provisions of the Freedom of Information Act (5 U.S.C. § 552). It has been assigned the following control number: NRC2010000803. Please cite this number in all future correspondence about your request.

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

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

This office will be providing your records on a Compact Disc (CD) for use on your personal computer. The CD is readable on all computers through the use of Adobe Acrobat software. A version of Adobe Acrobat will be included on the CD. Your records can be viewed on your computer screen and can be printed onto paper. Only records 15 pages or more are eligible for CD printing. To request your responsive records on paper, please include your control number and write to the above address Attention: FOIA/PA Officer, or fax them to (816) 350-5785.

Based on the information you provided in your request, we conducted a search of our records locator index system. This initial search indicated that the requested record is lost or missing. As a result, we have asked the Records office to initiate a lost/missing file search. This process takes an unknown amount of time, therefore, we request your understanding and patience. Once the file is found, we will process and provide it to you. If the file cannot be found, we will notify you of our findings.

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

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 XXXXXXXXX is currently showing as lost. Staffed for the following additional files: XXXXXXX, XXXXXXX, XXXXXXX. Once they are received, please review. Please also verify that the original a-file is still lost. If the original a-file has been consolidated in fact but not in the systems, please process and send your case to approver. Also send an e-mail to the MSB for resolution. Include both a-numbers. If no documents exist from the original a-file, please process what is available. Advise the requester that the original a-file is lost. Your case will close as a PD even if no redactions are made. Thank you.

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

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# LOST FILE WORKSHEET

A-number ____________________________________________

Name of Alien ________________________________________

Date shown as Not Found in CIS ____________________________

Date shown as lost in NFTS ________________________________

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

       Yes___ No ____

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

3. Check NFTS. Any current file movement. Yes ______ No ________

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

NOTES:

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### *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

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- Naturalization dates

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

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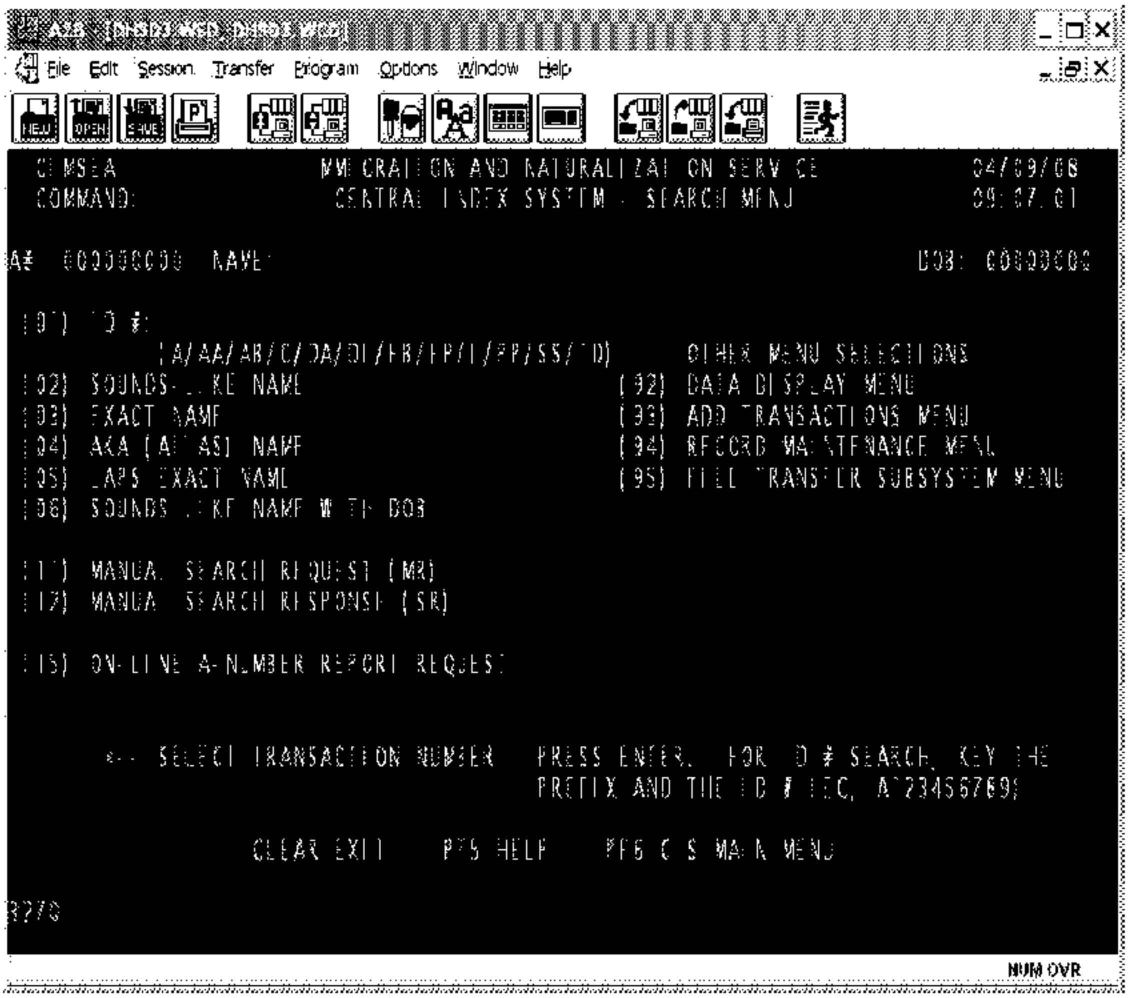
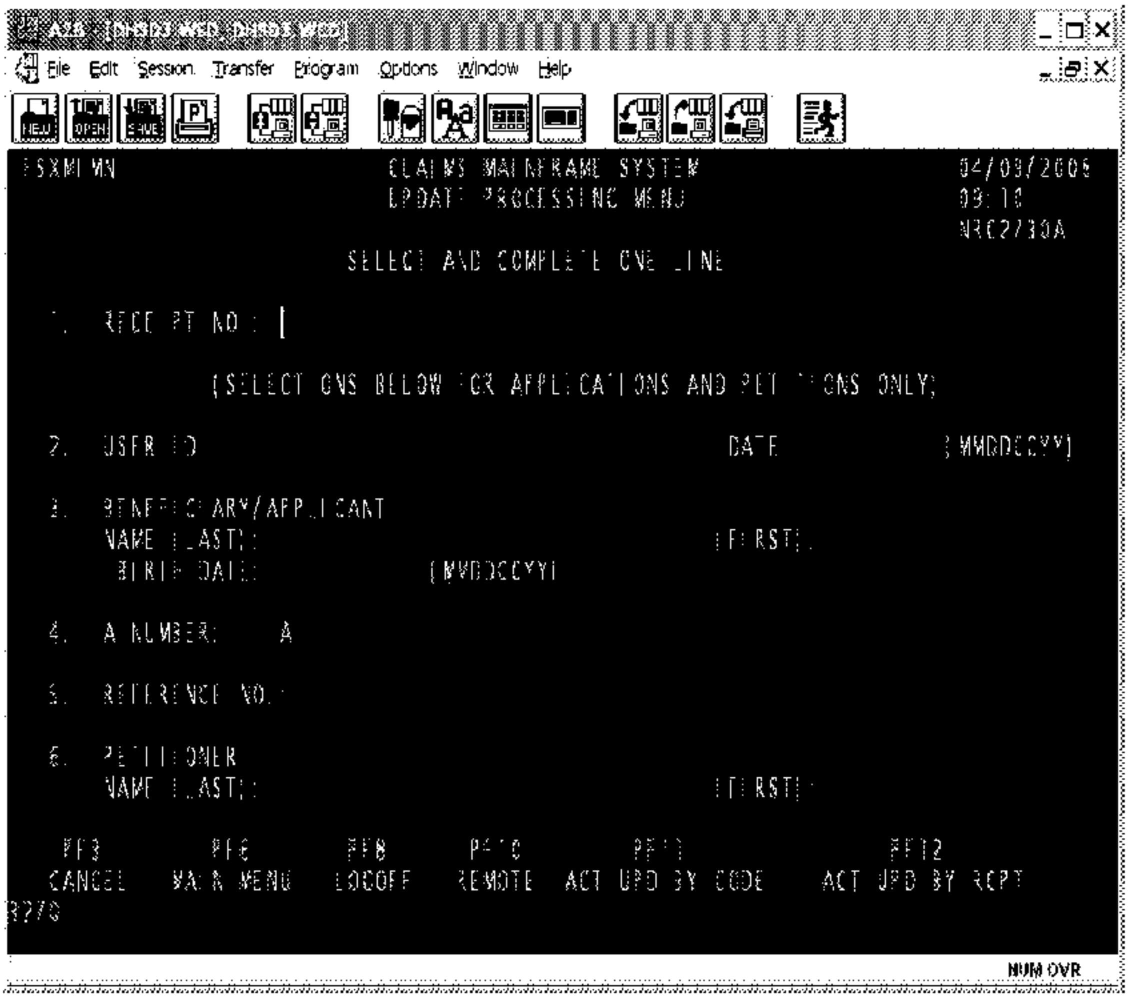


```
 CIMSEA               IMMIGRATION AND NATURALIZATION SERVICE          04/09/08
 COMMAND:               CENTRAL INDEX SYSTEM - SEARCH MENU            09:07:01

A#  00000000  NAME:                                              DOB: 00000000

(01)  ID #:
           (A/AA/AB/C/DA/DI/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
```

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).



```
FSXMI MN                     CLAIMS MAINFRAME SYSTEM                    04/03/2006
                             UPDATE PROCESSING MENU                     09:10
                                                                        NRC2730A
                         SELECT AND COMPLETE ONE LINE

  1.  RECEIPT 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   LOGOFF   REMOTE   ACT UPD BY CODE     ACT UPD BY RCPT
3270
```

When conducting "no record" research, do the query and provide screen prints of all searches as directed. Print the appropriate CLAIMS screen prints (this should be no less than six pages and may be lengthier if subject has provided multiple names or multiple alias names). Prepare a "Scan As" sheet to be scanned as case supporting documents for the case number you have just created, attach it to the screen prints and take those to the OA room for scanning as CSD and prepare a Final Action Letter with closing code NR. Insert a Discussion outlining the systems you searched and stating that you have sent the documentation to OA for scanning as CSD. Send to Up-front Approver.

Genealogy is exempt from this process.

### *12.7.7 A-number in CIS but not in NFTS*

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If there is an A-number in CIS but no information in NFTS, create a file request according to the Staffing Sheet Guide and FCO List, and paste in the 9504 screen of the CIS record rather than the NFTS information. Otherwise, the procedure is the same.

### *12.7.8 ICE files*

There are currently five different types of staffings for files located within the ICE function. Paste the NFTS screen print to the second page of the staffing letter.

OPLA **file requests** are for files that are located in the following office sections. Choose the FCO where the file is located, such as OPLA-BOS.

| Office Section | Acronym |
|---|---|
| **Trial Attorney's Office** | **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 | 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** | **FOI (Washington DC) (DRO-WAS)** |
| **Admin Program Office** | |
| **Non-Detained or Detained** | |
| **Processing Center** | **OC-Otero County** |
| **Detention Facility name** | **ie… Otay Mesa, Krome** |
| **Fugitive Ops** | **FO** |

SAC **file requests** are for files that are located in the following office sections. Choose the FCO where the file is located, such as SAC-ATL. Please note the section that follows concerning SAC locations.

| Office Section | Acronym |
|---|---|
| **Investigations** | **INV, IV** |
| **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

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is a T-file anywhere else, including at the NRC, you will have to staff for the T-file. MSC is the only service center that sends the A-file to the NRC for scanning. Another example of when we staff for an in-house T-file is when the responsive records are scanned in simultaneously with the request.

### *12.7.12 Receipt files*

**12.7.12.1** Do not request receipt files from any offices other than one of the five Service Centers **(ESC/EAC, SSC/SRC, WSC/WAC, MSC/NBC or NSC/LIN)**. For example, (b)(6) [redacted] etc., are not receipt files we

**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.

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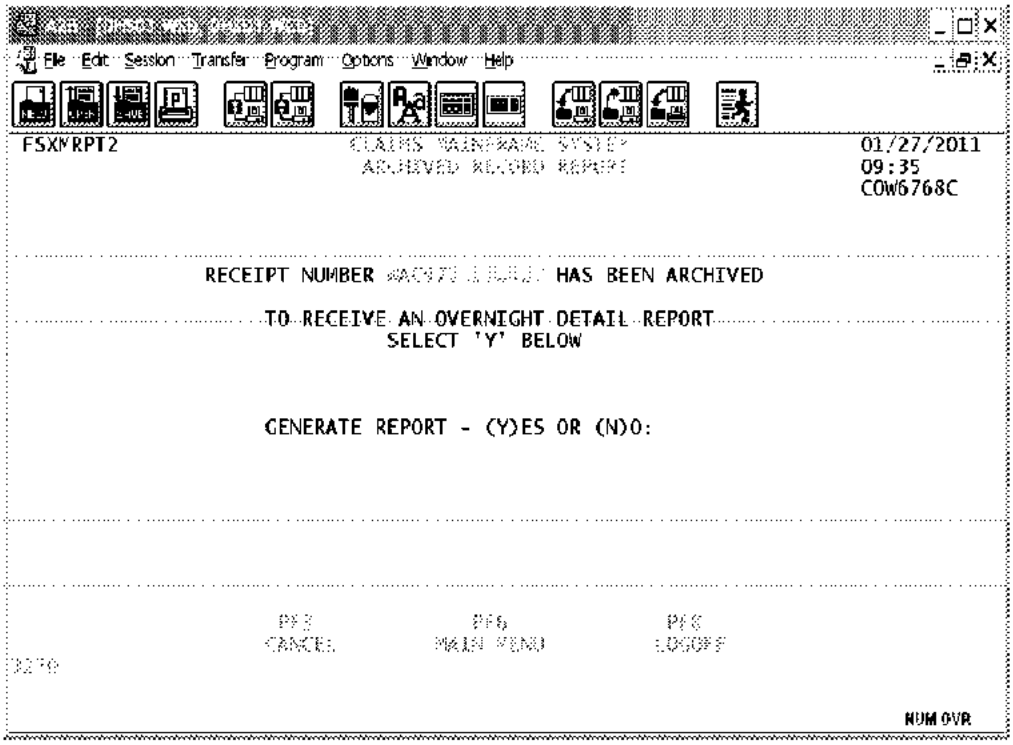
**12.7.12.4** As a matter of last resort, if there is neither information about the receipt file in NFTS nor PCQS and you have called National Visa Center and determined NVC does not have the receipt, you should staff to the owner of the receipt file and paste in the CLAIMS screen. This information can be located on the CLAIMS inquiry screen upper right hand corner. The CLAIMS screen will show "owned by."

### *12.7.13 Archived receipts*



```
FSXMRPT2                CLAIMS MAINFRAME SYSTEM                01/27/2011
                        ARCHIVED RECORD REPORT                 09:35
                                                               COW6768C

              RECEIPT NUMBER [illegible] HAS BEEN ARCHIVED

                TO RECEIVE AN OVERNIGHT DETAIL REPORT
                          SELECT 'Y' BELOW


                  GENERATE REPORT - (Y)ES OR (N)O:




                  PF3           PF6           PF8
                 CANCEL      MAIN MENU      LOGOFF
0270

                                                               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

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

3. You may call the NVC automated help line at **603-334-0700** and enter the receipt number. There may be evidence that the receipt file has been forwarded to the NVC in which case you would redirect the request to NVC.
4. If there is no evidence that the archived receipt file has been forwarded to NVC we will create a file request using RAFACS (not RAFACS/CIS). Find the information from the archived receipt in PCQS and print that information. Prepare a "Scan As" sheet to be scanned as responsive records for the case number you have just created, attach it to the screen prints and take those to the person designated to scan RAFACS-only responsive records. Pend the case.
5. If there is no evidence in PCQS, follow the instructions for *Receipt files; Lost receipt file, File destroyed or File cannot locate..*

Reading the request is very important; if the requester is seeking information relating to what appears to be a receipt number and it begins with "CDJ" or one of the other prefixes found in the section **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.

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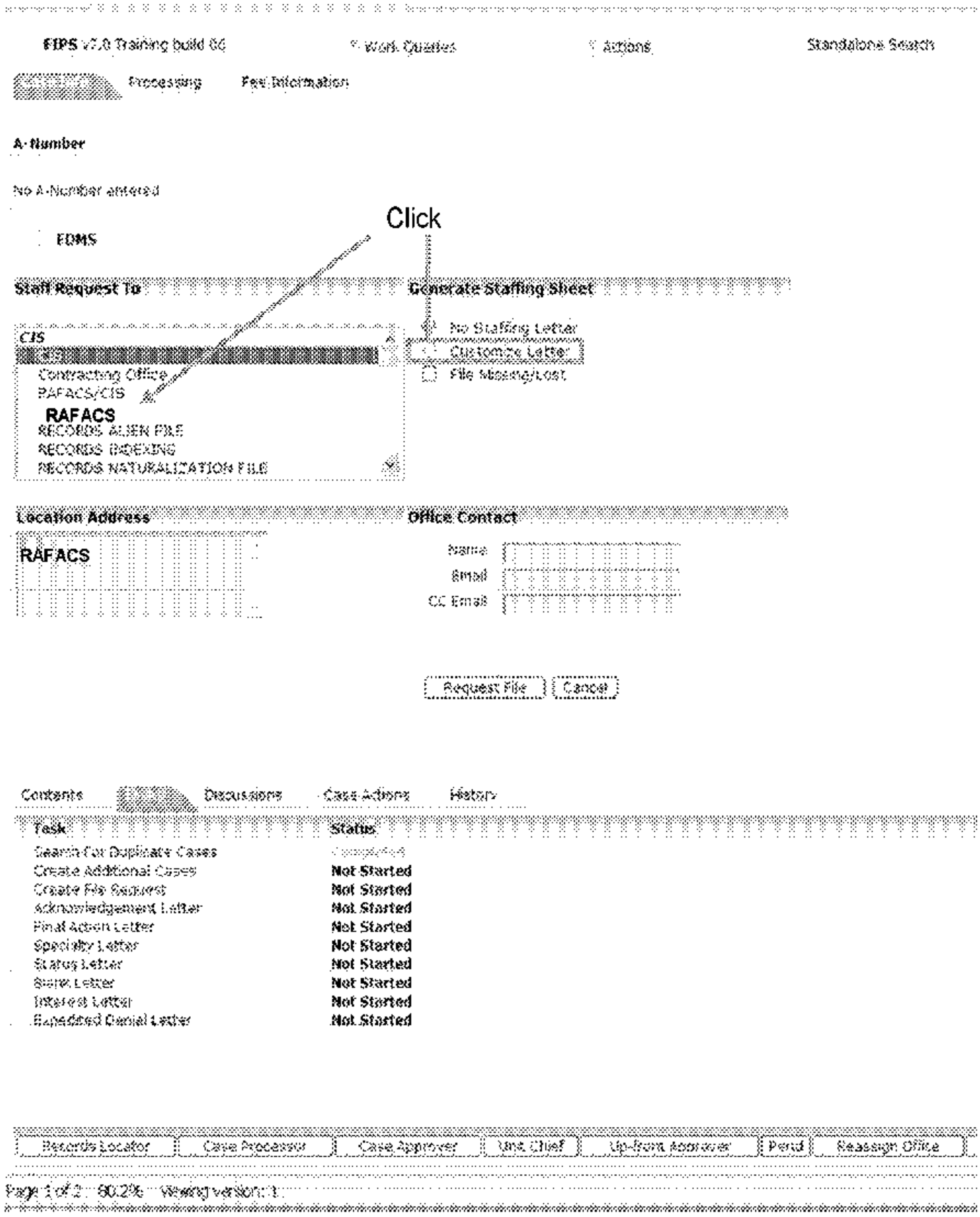

FIPS v7.0 Training build 66
Work Queues
Actions
Standalone Search
Processing
Fee Information
Click
EDMS
Staff Request To
CIS
Contracting Office
RAFACS/CIS
RAFACS
RECORDS ALIEN FILE
RECORDS INDEXING
RECORDS NATURALIZATION FILE
Generate Staffing Sheet
No Staffing Letter
Customize Letter
File Missing/Lost
Location Address
RAFACS
Office Contact
Name
Email
CC Email
Request File
Cancel
Contents
Discussions
Case Actions
History
Records Locator
Case Processor
Case Approver
Unit Chief
Up-front Approver
Pend
Reassign Office
Page 1 of 2 90.2% Viewing version: 1

**A-Number**

No A-Number entered

| 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** |
| Stark Letter | **Not Started** |
| Interest Letter | **Not Started** |
| Expedited Denial Letter | **Not Started** |

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

**Staffed to: WSC**
**REQUESTED FILE**

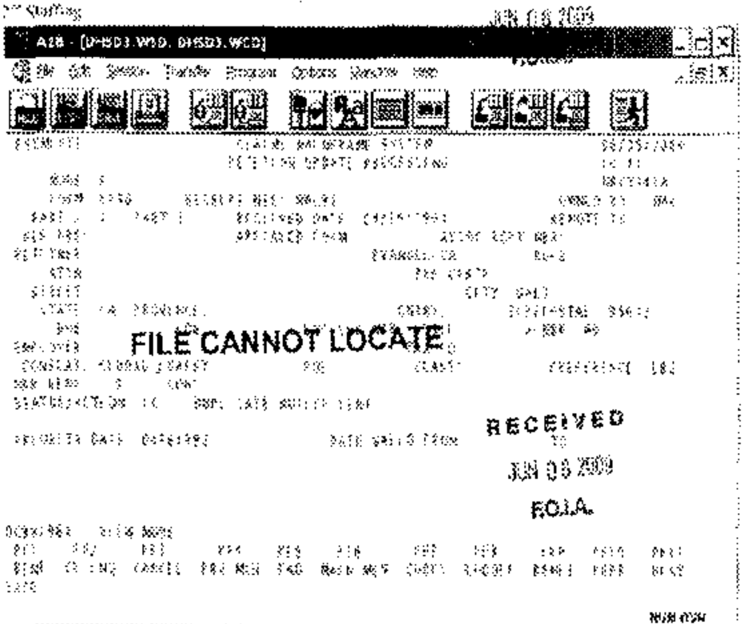
**Office Code:** NRC **Control Number:** NRC2009012395 **Date:** June 5, 2009

**Alien Number:** **Subject:** WAC93 [redacted] the I-130 Petitioner Documents for Cardenas

| History Inquiry For WAC93[redacted] | | | | | | |
|---|---|---|---|---|---|---|
| File # | Seq | Transaction Date | Transaction | Office | Performed By | Detail |
| WAC93[redacted] | [illegible] | [illegible]<br>12:00:00 AM | Filing [illegible] | WSC | PAPACS CONVERSION | |
| WAC93[redacted] | [illegible] | [illegible]<br>12:00:00 AM | Filing [illegible] | WAC | PAPACS CONVERSION | |

RECEIVED
JUN 08 2009
F.O.I.A.

According to CLAIMS this file is owned by WAC
2nd Staffing


A28 - [DHSD3.W9D, DHSD3.WCD]
File Edit Session Transfer Program Options Window Help

FILE CANNOT LOCATE

RECEIVED
JUN 08 2009
F.O.I.A.

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

____ is attached
____ could not be located

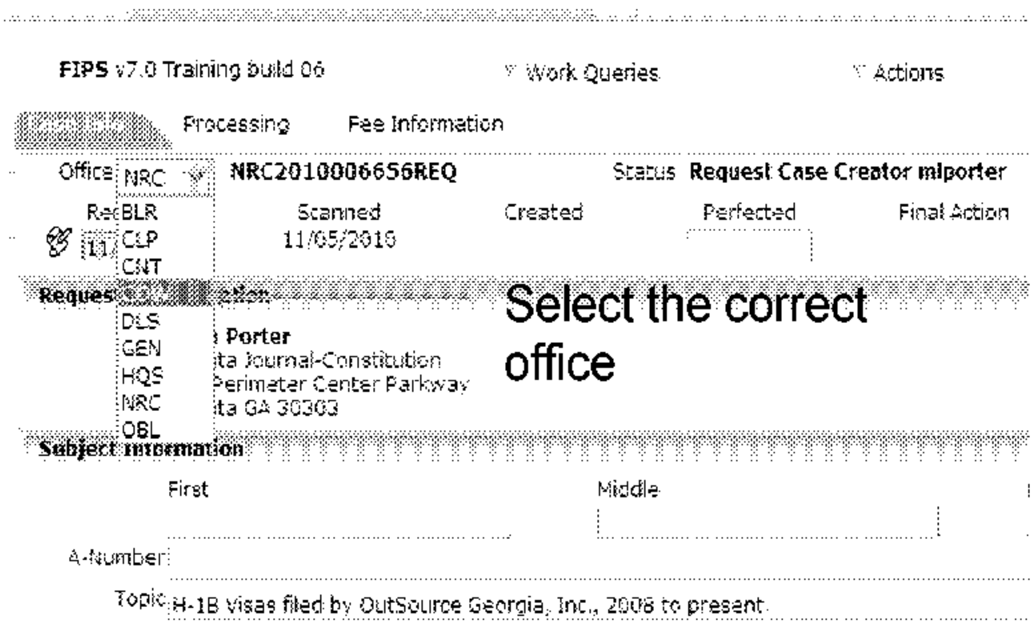
WAC93

Printed Name Room

# 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:



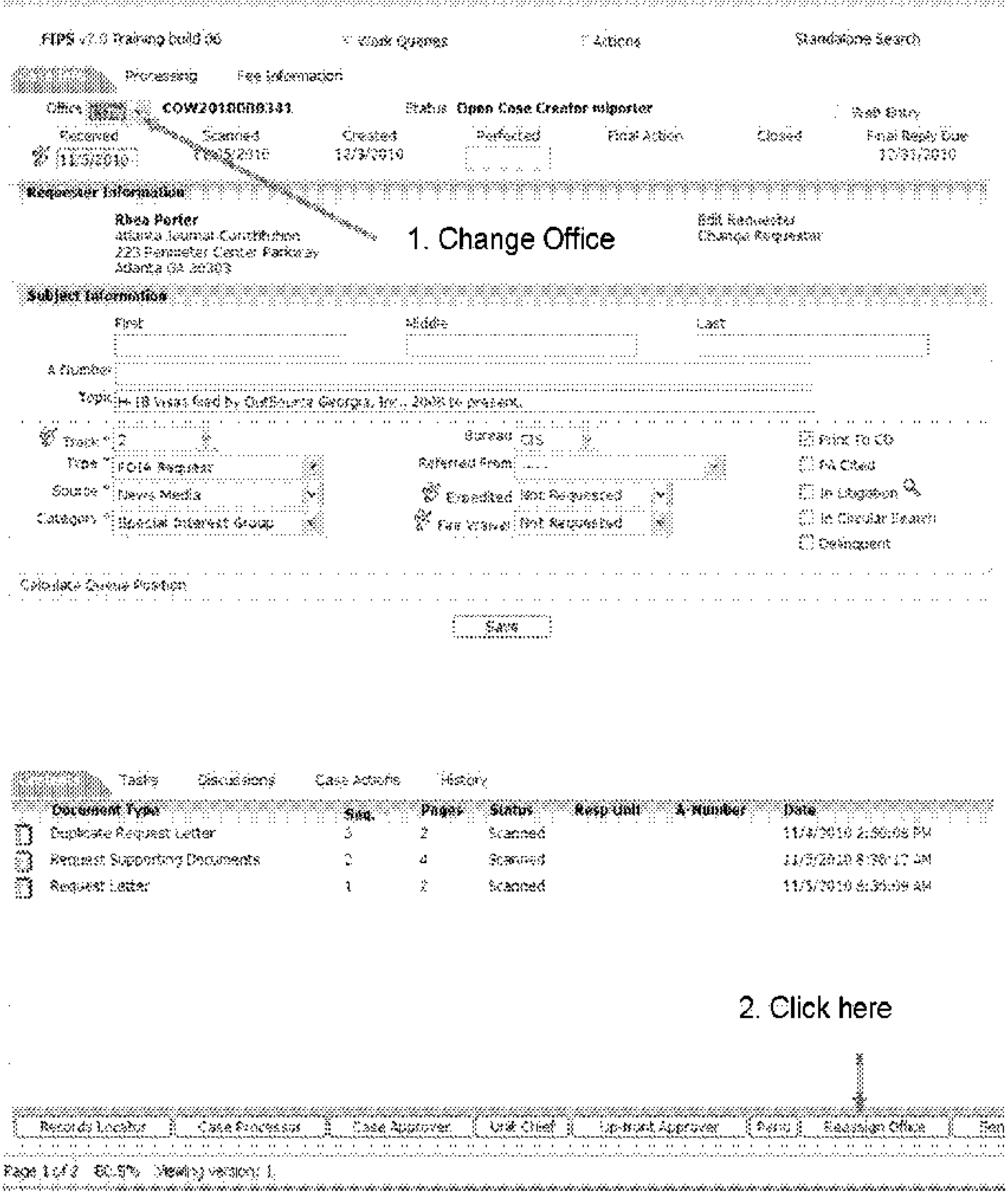
Office: NRC
NRC2010006656REQ
Status: Request Case Creator mlporter
Scanned: 11/05/2010
Created
Perfected
Final Action
Subject Information
First
Middle
A-Number:
Topic: H-1B Visas filed by OutSource Georgia, Inc., 2008 to present.

Porter
ta Journal-Constitution
Perimeter Center Parkway
ta GA 30303

Select the correct office

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

Next, click on "Reassign Office"


FIPS v2.0 Training build 06
Work Queues
Actions
Standalone Search
Processing
Fee Information
Web Entry
Edit Requester
Change Requester
Calculate Queue Position
Save
Tasks
Discussions
Case Actions
History
Records Locator
Case Processor
Case Approver
Unit Chief
Up-front Approver
Reassign Office
Page 1 of 3 80.5% Viewing version: 1
1. Change Office
2. Click here

Office COW2010000331 Status Open Case Creator

| Received | Scanned | Created | Perfected | Final Action | Closed | Final Reply Due |
|---|---|---|---|---|---|---|
| 11/5/2010 | 11/05/2010 | 11/3/2010 | | | | 12/31/2010 |

**Requester Information**

**Rhea Porter**
Atlanta Journal-Constitution
223 Perimeter Center Parkway
Atlanta GA 30303

**Subject Information**

First:
Middle:
Last:
A Number:
Topic: H-1B visas filed by OutSource Georgia, Inc., 2008 to present.

Track: 2
Type: FOIA Request
Source: News Media
Category: Special Interest Group
Bureau: CIS
Referred From:
Expedited: Not Requested
Fee Waiver: Not Requested

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

| Document Type | Seq. | Pages | Status | Resp Unit | A-Number | Date |
|---|---|---|---|---|---|---|
| Duplicate Request Letter | 3 | 2 | Scanned | | | 11/4/2010 2:56:08 PM |
| Request Supporting Documents | 2 | 4 | Scanned | | | 11/5/2010 8:38:17 AM |
| Request Letter | 1 | 2 | Scanned | | | 11/5/2010 8:36:09 AM |

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.

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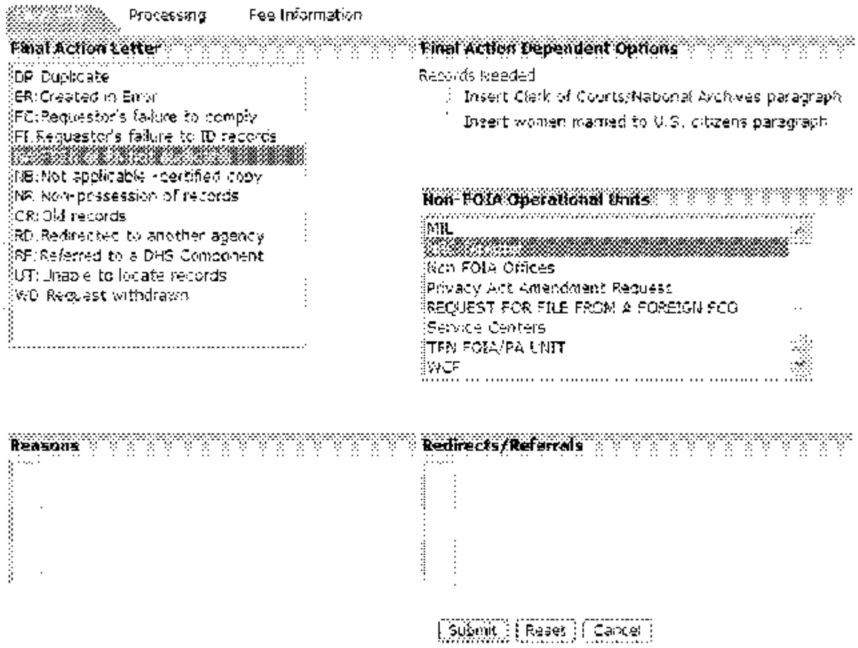
# 14. CLOSING A CASE AS "NA:FOIA or PA not applicable:"

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
Final Action Letter
DP Duplicate
ER:Created in Error
FC:Requestor's failure to comply
FI:Requestor's failure to ID records
[illegible]
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
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
MIL
[illegible]
Non FOIA Offices
Privacy Act Amendment Request
REQUEST FOR FILE FROM A FOREIGN PCO
Service Centers
TFN FOIA/PA UNIT
WCF
Reasons
Redirects/Referrals
Submit
Reset
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.

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## 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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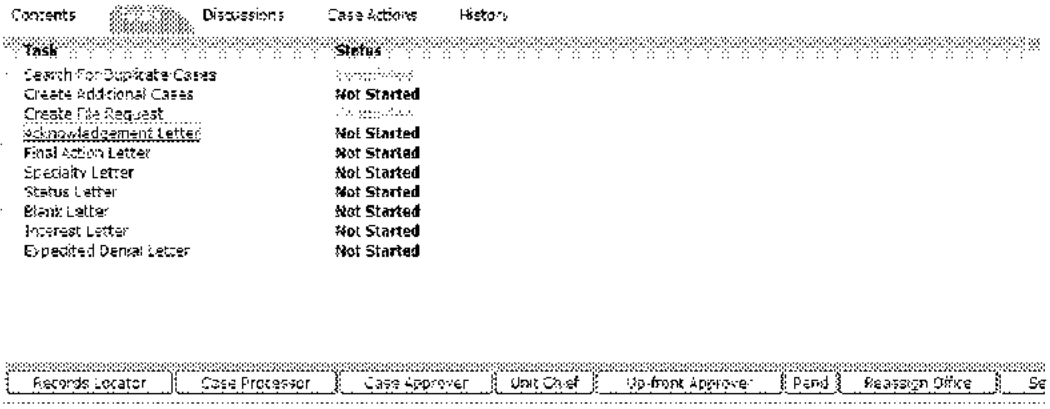
# 18. ACKNOWLEDGEMENT LETTERS

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 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"



| Task | Status |
|---|---|
| Search For Duplicate Cases | [illegible] |
| Create Additional Cases | **Not Started** |
| Create File Request | [illegible] |
| 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** |

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

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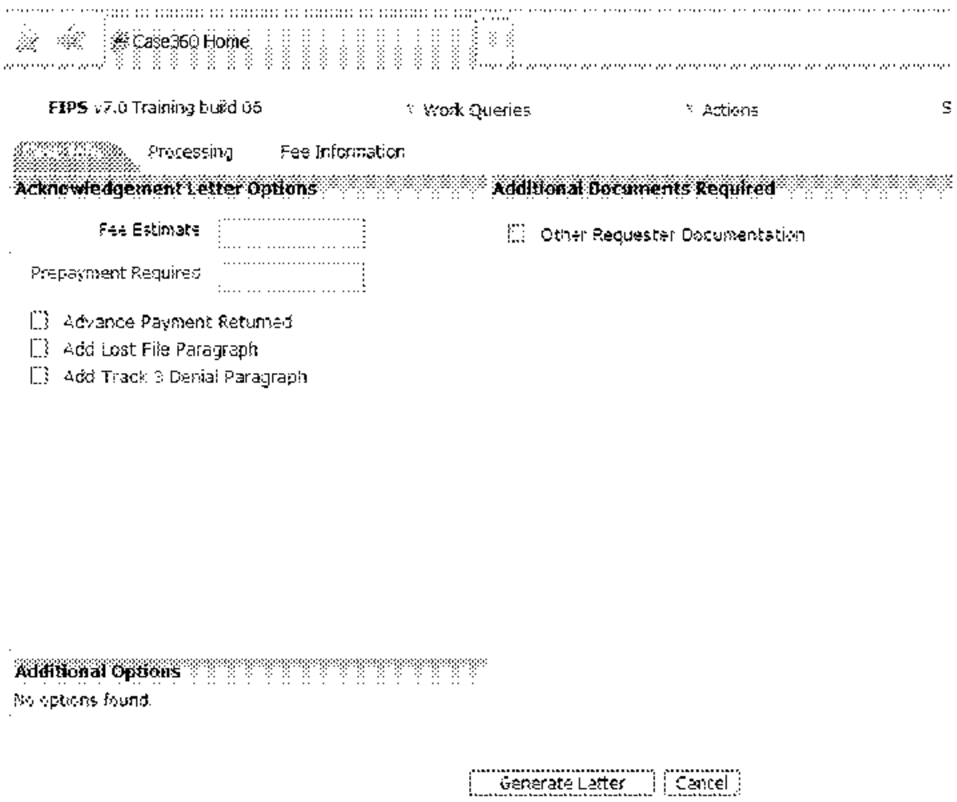

Case360 Home
FIPS v7.0 Training build 06
Work Queries
Actions
S
Processing
Fee Information

**Acknowledgement Letter Options**

Fee Estimate

Prepayment Required

- ☐ Advance Payment Returned
- ☐ Add Lost File Paragraph
- ☐ Add Track 3 Denial Paragraph

**Additional Documents Required**

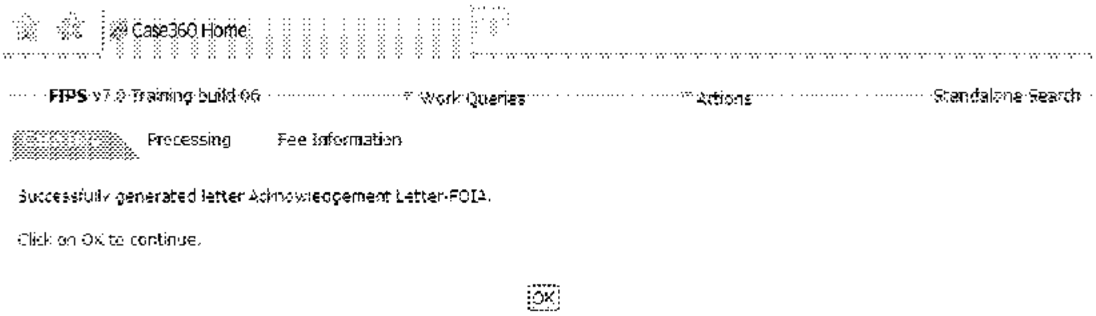
- ☐ Other Requester Documentation

**Additional Options**

No options found.

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:


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.

OK

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

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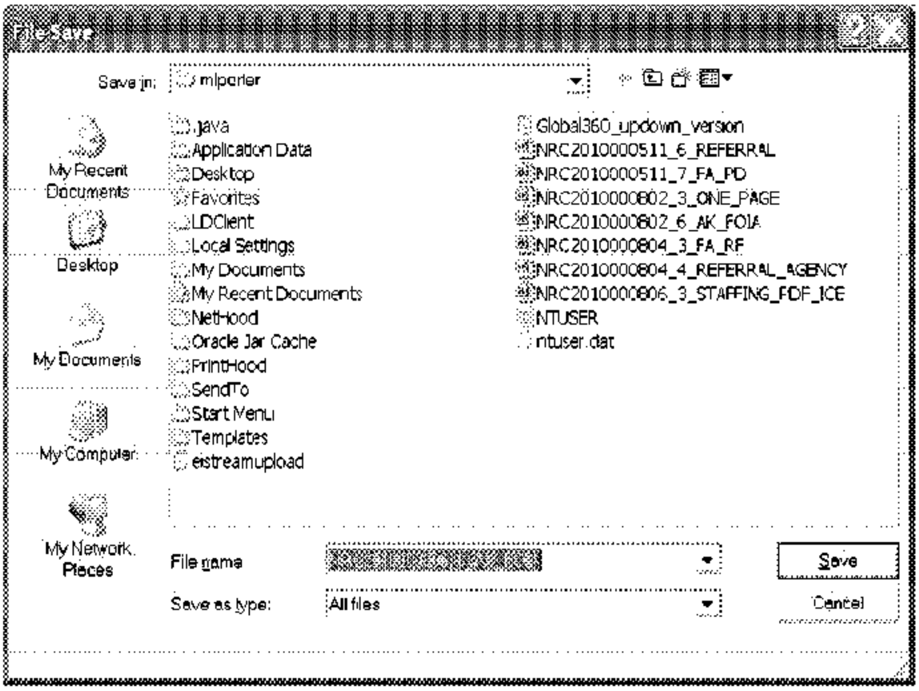
File Save
My Recent Documents
Desktop
My Documents
My Computer
My Network Places
.java
Application Data
Desktop
Favorites
LDClient
Local Settings
My Documents
My Recent Documents
NetHood
Oracle Jar Cache
PrintHood
SendTo
Start Menu
Templates
eistreamupload
Global360_updown_version
NRC2010000511_6_REFERRAL
NRC2010000511_7_FA_PD
NRC2010000802_3_ONE_PAGE
NRC2010000802_6_AK_FOIA
NRC2010000804_3_FA_RF
NRC2010000804_4_REFERRAL_AGENCY
NRC2010000806_3_STAFFING_PDF_ICE
NTUSER
ntuser.dat
Save
Cancel

Save in: mlporter

File name: [illegible]

Save as type: All files

The acknowledgment letter will pop up:

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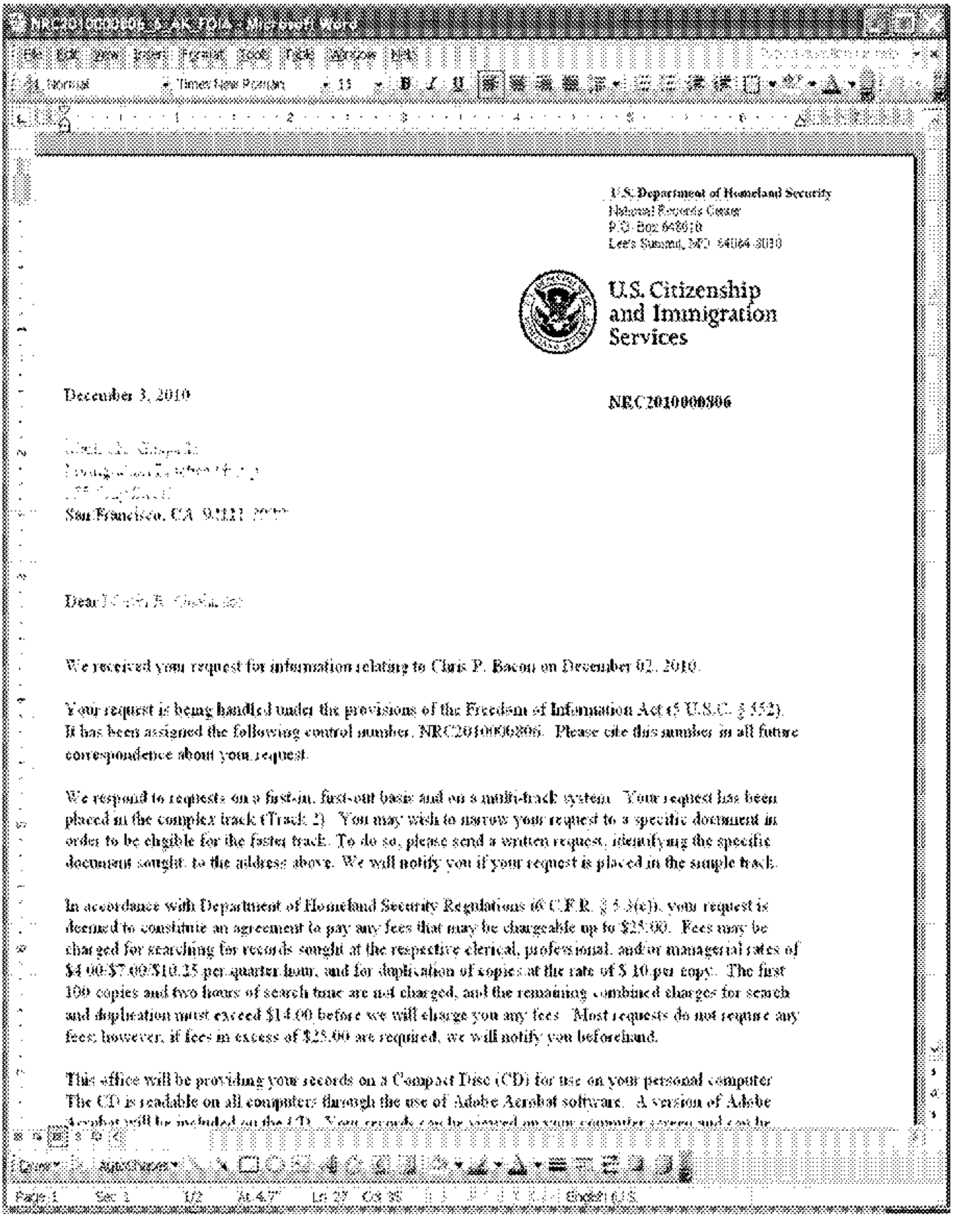
NRC2010000806_S_AK_FOIA - Microsoft Word
File Edit View Insert Format Tools Table Window Help
Normal
Times New Roman
12
Page 1 Sec 1 1/2 At 4.7" Ln 27 Col 35 English (U.S.)

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**

[illegible]
[illegible]
[illegible]
San Francisco, CA [illegible]

Dear [illegible]

We received your request for information relating to Chris P. Bacon on December 02, 2010.

Your request is being handled under the provisions of the Freedom of Information Act (5 U.S.C. § 552). It has been assigned the following control number: NRC2010000806. Please cite this number in all future correspondence about your request.

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

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

This office will be providing your records on a Compact Disc (CD) for use on your personal computer. The CD is readable on all computers through the use of Adobe Acrobat software. A version of Adobe Acrobat will be included on the CD. Your records can be viewed on your computer screen and can be

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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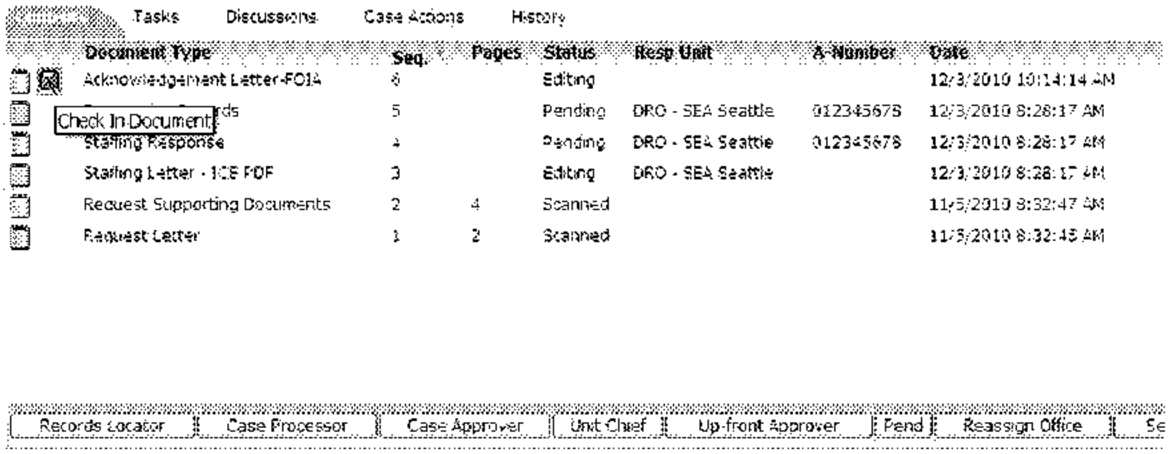
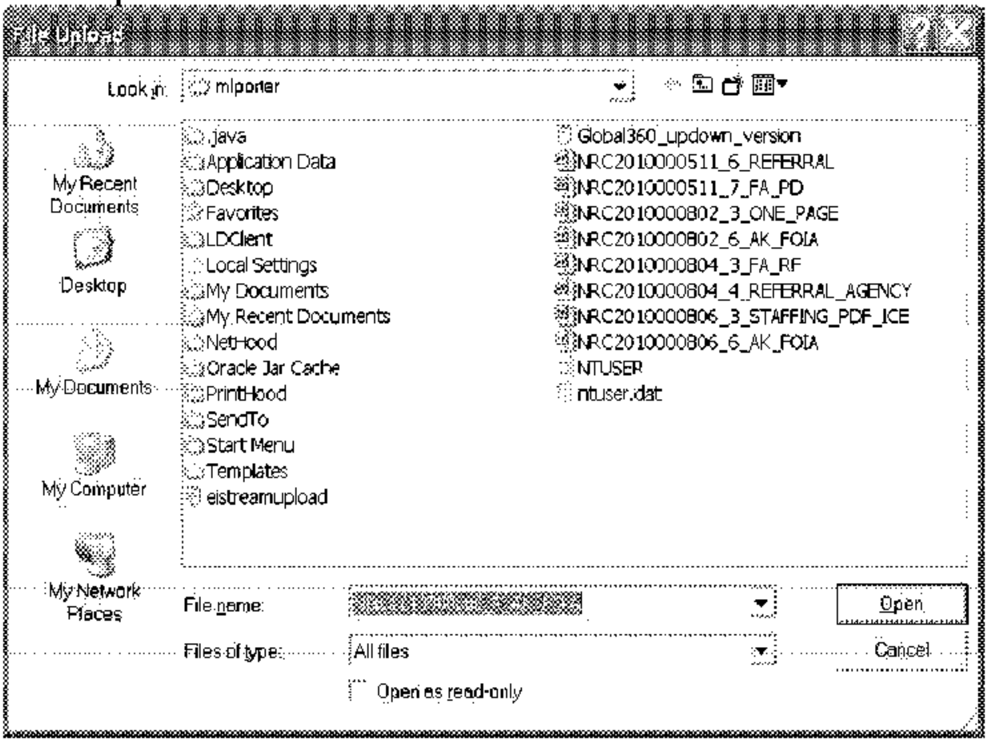

Tasks
Discussions
Case Actions
History
Check In Document
Records Locator
Case Processor
Case Approver
Unit Chief
Up-front Approver
Pend
Reassign Office
Se

| Document Type | Seq. | Pages | Status | Resp Unit | A-Number | Date |
|---|---|---|---|---|---|---|
| Acknowledgement Letter-FOIA | 6 | | Editing | | | 12/3/2010 10:14:14 AM |
| rds | 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 |

Click "Open":


File Upload
Look in: mlporter
java
Application Data
Desktop
Favorites
LDClient
Local Settings
My Documents
My Recent Documents
NetHood
Oracle Jar Cache
PrintHood
SendTo
Start Menu
Templates
eistreamupload
Global360_updown_version
NRC2010000511_6_REFERRAL
NRC2010000511_7_FA_PD
NRC2010000802_3_ONE_PAGE
NRC2010000802_6_AK_FOIA
NRC2010000804_3_FA_RF
NRC2010000804_4_REFERRAL_AGENCY
NRC2010000806_3_STAFFING_PDF_ICE
NRC2010000806_6_AK_FOIA
NTUSER
ntuser.dat
My Recent Documents
Desktop
My Documents
My Computer
My Network Places
File name:
Files of type: All files
Open as read-only
Open
Cancel

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 used Discussions to record personal feelings or to debate, question, or even to seek clarification. A FOIA/PA Assistant should discuss issues needing clarification via e-mail, a telephone call or a personal visit to his or her supervisor.

## 20. CHANGING A REQ TO A CSD

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

Occasionally requester documents, certificates of identity, status requests and other correspondence will inadvertently get scanned into FIPS as a new request. If you encounter these types of documents in FIPS as REQ's, please attempt to locate the case to which the documents belong. After you locate the case in FIPS, make a note of the control number. Create a Discussion asking Research to add the request as CSD to the appropriate case. Next, go back to the worksheet in FIPS and Send to Research.

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

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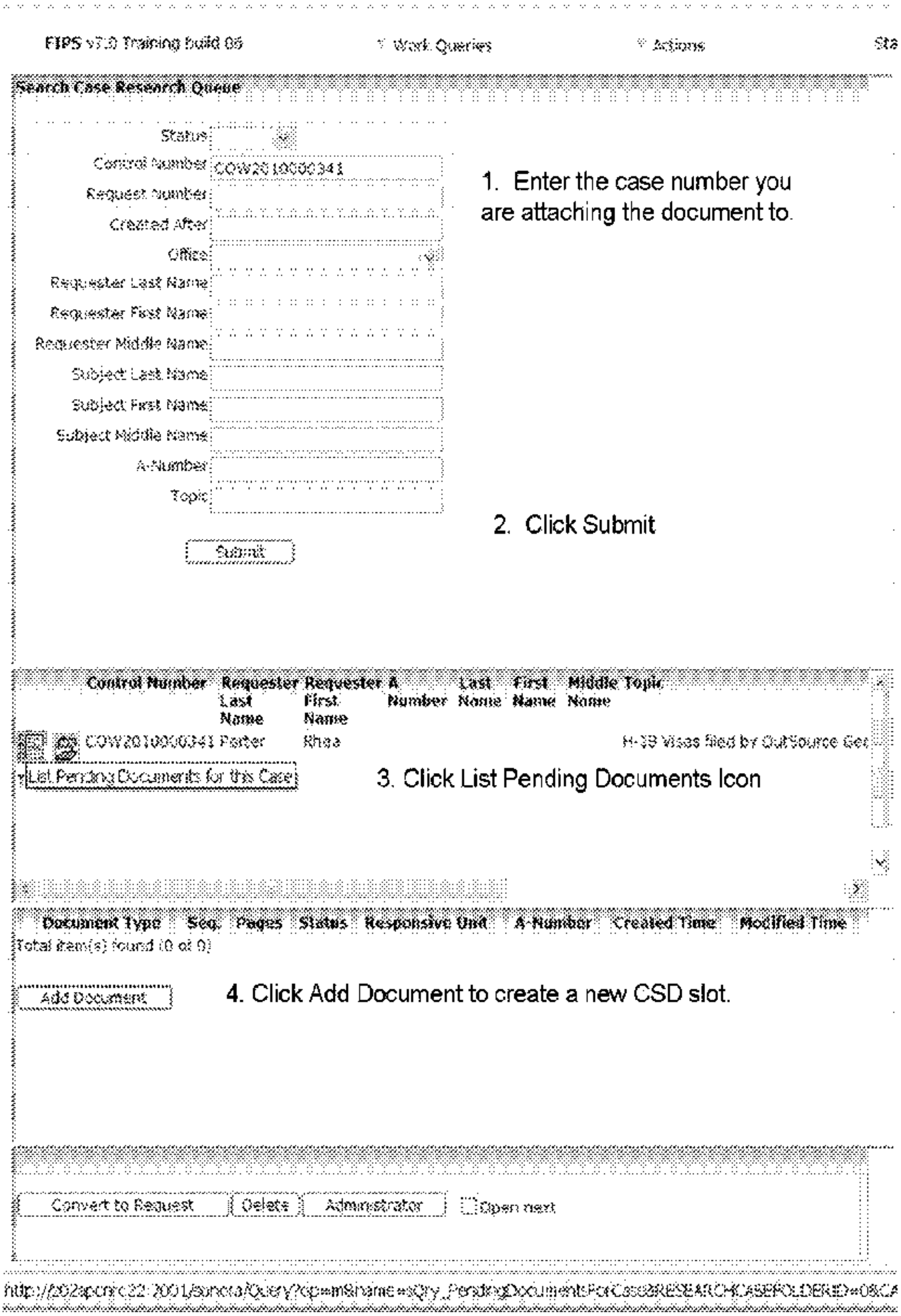
FIPS v7.0 Training build 06
Work Queries
Actions
Sta
Search Case Research Queue
Status:
Request Number:
Created After:
Office:
Requester Last Name:
Requester First Name:
Requester Middle Name:
Subject Last Name:
Subject First Name:
Subject Middle Name:
A-Number:
Topic:
Submit
List Pending Documents for this Case
Add Document
Convert to Request
Delete
Administrator
☐ Open next

Control Number: COW2010000341

1. Enter the case number you are attaching the document to.

2. Click Submit

| Control Number | Requester Last Name | Requester First Name | A Number | Last Name | First Name | Middle Name | Topic |
|---|---|---|---|---|---|---|---|
| COW2010000341 | Porter | Rhea | | | | | H-3B Visas filed by OutSource Ge |

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.

http://202apcnrc22:2001/suncia/Query?op=m&name=sQry_PendingDocumentsForCase&RESEARCHCASEFOLDERID=0&CA

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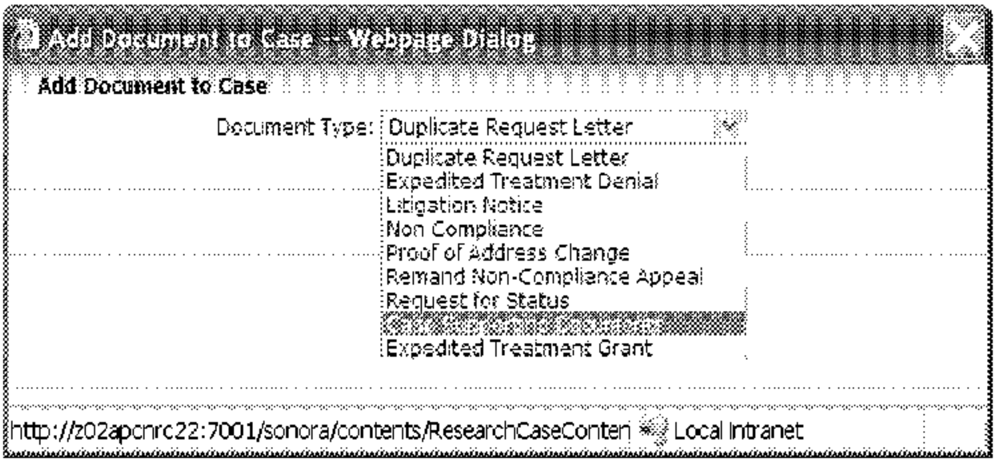
Add Document to Case -- Webpage Dialog
Add Document to Case
Duplicate Request Letter
Expedited Treatment Denial
Litigation Notice
Non Compliance
Proof of Address Change
Remand Non-Compliance Appeal
Request for Status
[illegible]
Expedited Treatment Grant
Local Intranet

Document Type: Duplicate Request Letter

http://z02apcnrc22:7001/sonora/contents/ResearchCaseConten

## 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, NRCFOIAMSB)**

Send e-mails to the MSB mailbox when:

- An appeal is encountered in case create that was not previously addressed.
- An expedited treatment is encountered in case create or Records Locator queue that was not previously addressed. Personnel handling the MSB mailbox will forward the e-mail to the supervisor(s) handling the expedited treatment.

All e-mails to the MSB mailbox should contain the control number, the A-number or subject of the case, and specific instructions relating to the case.

## 23.3 FIPS PROBLEM **(NRC, FIPSPROBLEM)**

Send e-mails to the FIPS Problem mailbox:

- If errors are encountered in the case

- 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.

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### *25.1.3 Final Action Letters*

Compare address on final action letter to address on the G-639, G-28 and returned address on original envelope. Check all CSDs for a new address.

A. If address matches G-639 and/or G-28 and no other address is found, note case with the reason the letter and responsive records were returned. Discussion should include "no other address found; did not resend final action letter" and OA's name. **Scan envelope and front page of letter as CSD.**

   Shred the letter and responsive records.

B. If another address is found in the CSDs:

   1. Update FIPS and final action letter, reprint letter, and label and resend. **Scan original letter and envelope as CSD.**
   2. Write the ID of the **case processor** on the returned letter and give to OA Supervisor. Do this in a controlled manner so that you and the supervisor are the only ones who see this paperwork.

### *25.1.4 CDs*

A. CDs Returned for postage.

   Make a copy of the CD and re-mail. Attach the copy of the CD to the original CD mailer and give to the OA Supervisor. Note the case with the following Discussion.

   Title of Discussion: CD Returned for Additional 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:

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a. Make a copy of the CD and returned envelope.

b. Update FIPS and reprint a new label. (Do not update letter in FIPS). Put the new label on the outside of the CD Mailer (not directly on the CD).

c. Write the ID of the **case processor** on the copy of the returned CD and give to OA Supervisor. Do this in a controlled manner so that you and the supervisor are the only ones who see this paperwork.

## 25.2 DIRECT MAIL:

This is mail sent directly to NRC from requesters, subjects, attorneys, etc. The content of direct mail is varied and usually requires some type of action. Direct mail could consist of, but not limited to, any of the following:

- Change of Address (see **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 requester a letter advising them that their case has been closed as a FC. If the requester still has an interest in receiving the information, he or she will need to submit a new FOIA request. This includes cases closed within the same month. We are handling these FC requests the same for everyone so nobody is getting unfair treatment. However, if you receive a call asking for more time to return the requester docs, and before the case closes, you may repend. A template FC letter is located at: O:\Foia\FOIA LIBRARY\Case Create References\Template Letters\FC Letter.

### *25.2.3 Request for change of address*

If you receive a Form AR-11 or other correspondence from an alien wanting to submit a change of address, forward the original letter and enclosures to the following address:

U.S. Department of Homeland Security
Bureau of Citizenship and Immigration
Change of Address
PO Box 7134
London, KY 40742-7134

**For commercial overnight or fast freight services only:**

U.S. Department of Homeland Security
Bureau of Citizenship and Immigration
Change of Address
1084-I South Laurel Road
London, KY 40744

### *25.2.4 Status letters*

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

From 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.

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.

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## 26. BLANK TAPES/CD's

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

## 27. VIDEO REPRODUCTION

As responsive records are scanned into FIPS; when the scanner encounters any type of media, they forward the alien file to MSB when their scanning is complete. The MSB staff assigned to audio/video reproduction will copy the media and insert a Discussion that it is complete. Once the case is processed, the processor will send an e-mail to the MSB mailbox with the case number and the page(s) number where the media can be located. MSB will pull the media and process/make any necessary redactions. The media will be mailed to the requester separately.

## 28. CONGRESSIONAL REQUESTS AND APPEALS

All Congressional Requests and Appeals are pulled out of the in-coming mail and handled by a supervisor. If you encounter a Congressional Request or an Appeal in Records Locator queue that was not previously addressed; send an e-mail to NRC, FOIAMSB mailbox, include the control number and alien number of the case and specific instructions as to what needs to be done. Put the case in Unit Chief. FOIA/PA Assistants assigned to mail will place the mail in the MSB or Appeals bin.

## 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.

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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

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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**:

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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.

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.

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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.

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## 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, 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.

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# APPENDIX A: PHONE NUMBERS

| | |
|---|---|
| NRC/FOIA Fax: | 816-350-5785, 5786, 5787 |
| ILD Incoming Call Line: | 816-350-5560 |
| Human Resource Office: | 816-350-5661 |
| CIS Forms: | |
| By Phone: | 1-800-870-3676 |
| Website: | www.uscis.gov |
| National Customer Service: | 1-800-375-5283 |
| EOIR | 800-898-7180 |

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# APPENDIX B: ADDRESSES

## MAILING ADDRESS OF NRC:

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

## PHYSICAL LOCATION OF NRC:

150 Space Center Loop
Lee's Summit, MO 64064

## MAILING ADDRESS OF NBC:

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

## MAILING ADDRESS OF CBP:

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

## MAILING ADDRESS OF ICE:

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

## MAILING ADDRESS OF NATIONAL VISA CENTER:

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