

## Request for Records Disposition Authority

Records Schedule Number DAA-0566-2016-0001  
Schedule Status Approved  
  
Agency or Establishment Citizenship and Immigration Services  
Record Group / Scheduling Group Records of U.S. Citizenship and Immigration Services  
Records Schedule applies to Agency-wide  
Schedule Subject USCIS ADMINSTRATIVE APPEALS OFFICE (AAO) CASE MANAGEMENT SYSTEM (CMS)  
Internal agency concurrences will be provided No

**Background Information**

The Department of Homeland Security (DHS) U.S. Citizenship and Immigration Services (USCIS) oversees lawful immigration to the United States. Individuals seeking immigration benefits submit an application, petition, or request (hereinafter referred to collectively as application) for that benefit, plus required fee payments and supporting documentation listed on the application form.

The Administrative Appeals Office (AAO) conducts administrative review of appeals to ensure consistency and accuracy in the interpretation of immigration law and policy. The AAO generally issues non-precedent decisions, which apply existing law and policy to the facts of a given case. After review by the Attorney General, the AAO may also issue precedent decisions to provide clear and uniform guidance to adjudicators and the public on the proper interpretation of law and policy.

Case Management System (CMS) is used to track adjudicative work performed by the AAO. CMS also allows for the tracking of receipts, assignments of work to officers, adjudications, or administrative actions. CMS provides leadership the necessary visibility into workloads in order to respond to workload spikes, understand trends, and efficiently report on results.

**Specific Restrictions:** Personally identifiable information. All records are protected from unauthorized access through appropriate administrative, physical, and technical safeguards. The safeguards include designating user roles and restricting access to those with a need to know to perform their official duties.

The following records are governed by NARA General Records Schedules (GRS) as noted.

- Input documents that are not A-File or Receipt File content may be destroyed after data entry and verification in accordance with GRS 20, Item 2a(4).
- Output reports related to workload and operations can be regenerated as needed and will be deleted/destroyed when no longer needed for agency business in accordance with GRS 20, Item 16. CMS-generated correspondence related to a case such as Request for Evidence (RFE), Notice of Intent to Deny (NOID) Letters, and Approval/Denial/Receipt/Revocation Letters, are placed in the appropriate Immigration File or USCIS ELIS dispositioned accordingly.
- System lifecycle documentation will be deleted/destroyed when no longer needed for agency business in accordance with NARA GRS 20, Item 11a(1).

Item Count

| Number of Total Disposition Items | Number of Permanent Disposition Items | Number of Temporary Disposition Items | Number of Withdrawn Disposition Items |
|-----------------------------------|---------------------------------------|---------------------------------------|---------------------------------------|
| 2                                 | 0                                     | 2                                     | 0                                     |

GAO Approval

## Outline of Records Schedule Items for DAA-0566-2016-0001

| Sequence Number |  |
|-----------------|--|
| 1               | Master File  |
| 1.1             | Records on an individual with associated case(s)<br>Disposition Authority Number: DAA-0566-2016-0001-0001    |
| 1.2             | Records on an individual without an associated case<br>Disposition Authority Number: DAA-0566-2016-0001-0002 |

## Records Schedule Items

| Sequence Number |  |
|-----------------|--|
| 1               | <p><b>Master File</b><br/>Information pertaining to background identity and security checks obtained from Central Index System (CIS), Computer Link Application Information Management System (CLAIMS), and other federal information systems may also be entered. The CMS master file contains information about the applicant, petitioner, beneficiary, and/or attorney/representative. CMS may include, but is not limited to the following data elements: Appeal, Motion or Certification; Date Received by USCIS/AAO; Originating Office; Assigned Officer; Reopen Date (in case of AAO Reopen on Service Motion); Appeal File Number; Underlying Petition Receipt Number; Name; COB; Citizenship; Country of Origin; Form Type; Form Appealed; Attorney; Decision (e.g., approved, rejected, withdrawn); Date Adjudicated; Status Code.</p>  |
| 1.1             | <p><b>Records on an individual with associated case(s)</b></p> <p>Disposition Authority Number      DAA-0566-2016-0001-0001</p> <p>Final Disposition                      Temporary</p> <p>Item Status                                Active</p> <p>Is this item media neutral?            Yes</p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?          No</p> <p><b>Disposition Instruction</b></p> <p>Retention Period                         Delete/destroy all records associated with an individual 25 years from the individual's latest case completion date. Exception: Records that are linked to national security, law enforcement, fraud, administrative investigations or actions, congressional inquiries or similar matters may be extended beyond the applicable twenty-five year period in five-year increments.</p> <p><b>Additional Information</b></p> <p>GAO Approval                              Not Required</p> |
| 1.2             | <p><b>Records on an individual without an associated case</b></p> <p>Disposition Authority Number      DAA-0566-2016-0001-0002</p>   |

|   |   |
|---|---|
| Final Disposition   | Temporary   |
| Item Status   | Active  |
| Is this item media neutral?   | Yes   |
| Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? | No  |
| <b>Disposition Instruction</b>  |   |
| Retention Period  | Delete/destroy 25 years from record creation date. Exception: Records that are linked to national security, law enforcement, fraud, administrative investigations or actions, congressional inquiries or similar matters may be extended beyond the applicable twenty-five year period in five-year increments. |
| <b>Additional Information</b>   |   |
| GAO Approval  | Not Required  |

## Agency Certification

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal in this schedule are not now needed for the business of the agency or will not be needed after the retention periods specified.

## Signatory Information

| Date       | Action                 | By               | Title   | Organization   |
|------------|------------------------|------------------|---|--|
| 12/01/2015 | Certify                | Joseph Martinez  | Records Officer                               | US Citizenship and Immigration Services - Policy and Implementation Branch         |
| 05/17/2016 | Submit for Concurrency | Rachel BanTonkin | Supervisor, ACNR Appraisal Team 1             | National Archives and Records Administration - Records Management Services         |
| 05/27/2016 | Concur                 | Margaret Hawkins | Director of Records Management Services       | National Records Management Program - ACNR Records Management Services             |
| 06/02/2016 | Concur                 | Laurence Brewer  | Director, National Records Management Program | National Archives and Records Administration - National Records Management Program |
| 06/05/2016 | Approve                | David Ferriero   | Archivist of the United States                | Office of the Archivist - Office of the Archivist                                  |