

## Request for Records Disposition Authority

Records Schedule Number DAA-0566-2016-0002  
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 Department-wide  
Schedule Subject Form N-400, Application for Naturalization  
Internal agency concurrences will be provided No

Background Information The U.S. Citizenship and Immigration Services (USCIS) processes applications for immigration benefits and issues documentation to applicants that reflects their immigration status and eligibility to travel, work, and live in the United States, as well as their status as derivative or naturalized United States citizens.

- Form N-400, Application for Naturalization, is used by eligible applicants to requesting to become Naturalized United States Residents.

N-400 application submissions may include, but is not limited to:

- Verification of address
- Financial Records
- Employment verification
- Legal name change
- Biographical information (e.g., full name, aliases; birth date, city, state/province, and country; country of citizenship, gender, military status);
- Contact information (e.g., physical and mailing address(es), phone number(s), email address(es));
- Government-issued identification (e.g., passport): document type, issuing organization, document number, expiration date;
- Immigration history (e.g., immigration status, relationships).

### NOTES:

- This schedule covers all N-400s that are adjudicated via USCIS ELIS N-400 adjudicative capabilities regardless of original submission type.
- USCIS ELIS N-400 capabilities were initially deployed on 02/27/2016. N-400s adjudicated outside of USCIS ELIS N-400 will

be retained in the physical A-File and/or the Electronic Document Management System (EDMS).

- After scanning N-400 application packets into USCIS ELIS, all submitted documentation is subject to destruction.

**Exception:**

Records that are linked to national security, law enforcement, fraud, administrative investigations or actions, etc. shall be retained for an additional period of 5 years, which may be extended in 5 year increments.

**This schedule supports:**

- The USCIS initiative to move from paper to electronic records in compliance with the media neutral guidance found in 36 CFR § 1225.24 and the E-Government Act of 2002.

- This schedule also complies with GRS 4.3, Item11 (for previously scheduled records).

**Item Count**

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
8	6	2	0

**GAO Approval**

## Outline of Records Schedule Items for DAA-0566-2016-0002

Sequence Number	
1	Form N-400, Application for Naturalization and supporting documentation/evidence (application packets)
1.1	When APPROVED Disposition Authority Number: DAA-0566-2016-0002-0001
1.2	When DENIED Disposition Authority Number: DAA-0566-2016-0002-0002
1.3	When ABANDONED Disposition Authority Number: DAA-0566-2016-0002-0003
1.4	When WITHDRAWN Disposition Authority Number: DAA-0566-2016-0002-0004
1.5	When TERMINATED Disposition Authority Number: DAA-0566-2016-0002-0005
1.6	When ADMINISTRATIVELY CLOSED Disposition Authority Number: DAA-0566-2016-0002-0006
1.7	When REJECTED due to NON-SUFFICIENT FUNDS (NSF) Disposition Authority Number: DAA-0566-2016-0002-0007
1.8	When REJECTED by the Lockbox Disposition Authority Number: DAA-0566-2016-0002-0008

## Records Schedule Items

Sequence Number	
1	Form N-400, Application for Naturalization and supporting documentation/evidence (application packets)
1.1	<b>When APPROVED</b>
	Disposition Authority Number      DAA-0566-2016-0002-0001
	Final Disposition      Permanent
	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?      Yes
	Do any of the records covered by this item exist as structured electronic data?      Yes
	<b>Disposition Instruction</b>
	Transfer to the National Archives for Accessioning      Transfer to the National Archives 100 year(s) after the individual's date of birth.
	<b>Additional Information</b>
	What will be the date span of the initial transfer of records to the National Archives?      Unknown The initial transfer will be in 2020 and will include individuals born before 1920.
	How frequently will your agency transfer these records to the National Archives?      Unknown Beginning in 2020 and every 5 years thereafter, transfer to the National Archives files of individuals born 100 years earlier.
1.2	<b>When DENIED</b>
	Disposition Authority Number      DAA-0566-2016-0002-0002
	Final Disposition      Permanent
	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?	Yes
	Do any of the records covered by this item exist as structured electronic data?	Yes
	<b>Disposition Instruction</b>	
	Transfer to the National Archives for Accessioning	Transfer to the National Archives 100 year(s) after the individual's date of birth.
	<b>Additional Information</b>	
	What will be the date span of the initial transfer of records to the National Archives?	Unknown The initial transfer will be in 2020 and will include individuals born before 1920.
	How frequently will your agency transfer these records to the National Archives?	Unknown Beginning in 2020 and every 5 years thereafter, transfer to the National Archives files of individuals born 100 years earlier.
1.3	<b>When ABANDONED</b>	
	Disposition Authority Number	DAA-0566-2016-0002-0003
	Final Disposition	Permanent
	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?	Yes
	Do any of the records covered by this item exist as structured electronic data?	Yes
	<b>Disposition Instruction</b>	
	Transfer to the National Archives for Accessioning	Transfer to the National Archives 100 year(s) after the individual's date of birth.
	<b>Additional Information</b>	
	What will be the date span of the initial transfer of records to the National Archives?	Unknown

		The initial transfer will be in 2020 and will include individuals born before 1920.
	How frequently will your agency transfer these records to the National Archives?	Unknown Beginning in 2020 and every 5 years thereafter, transfer to the National Archives files of individuals born 100 years earlier.
1.4	<b>When WITHDRAWN</b>	
	Disposition Authority Number	DAA-0566-2016-0002-0004
	Final Disposition	Permanent
	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?	Yes
	Do any of the records covered by this item exist as structured electronic data?	Yes
	<b>Disposition Instruction</b>	
	Transfer to the National Archives for Accessioning	Transfer to the National Archives 100 year(s) after the individual's date of birth.
	<b>Additional Information</b>	
	What will be the date span of the initial transfer of records to the National Archives?	Unknown The initial transfer will be in 2020 and will include individuals born before 1920.
	How frequently will your agency transfer these records to the National Archives?	Unknown Beginning in 2020 and every 5 years thereafter, transfer to the National Archives files of individuals born 100 years earlier.
1.5	<b>When TERMINATED</b>	
	Disposition Authority Number	DAA-0566-2016-0002-0005
	Final Disposition	Permanent
	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?	Yes
	Do any of the records covered by this item exist as structured electronic data?	Yes
	<b>Disposition Instruction</b>	
	Transfer to the National Archives for Accessioning	Transfer to the National Archives 100 year(s) after the individual's date of birth.
	<b>Additional Information</b>	
	What will be the date span of the initial transfer of records to the National Archives?	Unknown The initial transfer will be in 2020 and will include individuals born before 1920.
	How frequently will your agency transfer these records to the National Archives?	Unknown Beginning in 2020 and every 5 years thereafter, transfer to the National Archives files of individuals born 100 years earlier.
1.6	<b>When ADMINISTRATIVELY CLOSED</b>	
	Disposition Authority Number	DAA-0566-2016-0002-0006
	Final Disposition	Permanent
	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?	Yes
	Do any of the records covered by this item exist as structured electronic data?	Yes
	<b>Disposition Instruction</b>	
	Transfer to the National Archives for Accessioning	Transfer to the National Archives 100 year(s) after individual's Date Of Birth (DOB).
	<b>Additional Information</b>	

	What will be the date span of the initial transfer of records to the National Archives?	Unknown The initial transfer will be in 2020 and will include individuals born before 1920.
	How frequently will your agency transfer these records to the National Archives?	Unknown Beginning in 2020 and every 5 years thereafter, transfer to the National Archives files of individuals born 100 years earlier.
1.7	<b>When REJECTED due to NON-SUFFICIENT FUNDS (NSF)</b>	
	Disposition Authority Number	DAA-0566-2016-0002-0007
	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	Destroy/Delete data 2 years from date of NSF notice.
	<b>Additional Information</b>	
	GAO Approval	Not Required
1.8	<b>When REJECTED by the Lockbox</b>	
	Disposition Authority Number	DAA-0566-2016-0002-0008
	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	Destroy/Delete data 6 years from date of rejection.
	<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
01/21/2016	Return to Submitter	Joseph Martinez	Records Officer	US Citizenship and Immigration Services - Policy and Implementation Branch
01/21/2016	Certify	Joseph Martinez	Records Officer	US Citizenship and Immigration Services - Policy and Implementation Branch
03/04/2016	Return for Revision	Rachel BanTonkin	Supervisor, ACNR Appraisal Team 1	National Archives and Records Administration - Records Management Services
03/04/2016	Submit For Certification	Christopher Pleasant	HQ Records Officer Staff	US Citizenship and Immigration Services - Policy and Implementation Branch
03/04/2016	Certify	Joseph Martinez	Records Officer	US Citizenship and Immigration Services - Policy and Implementation Branch
05/24/2016	Submit for Concurrence	Rachel BanTonkin	Supervisor, ACNR Appraisal Team 1	National Archives and Records Administration - Records Management Services
05/25/2016	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