

<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b>		LEAVE BLANK (NARA use only)	
To NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD, COLLEGE PARK, MID 20740-6001		JOB NUMBER <i>NI-563-09-3</i>	
1 FROM (Agency or establishment) <b>Department of Homeland Security</b>		Date Received <i>1/30/09</i>	
2 MAJOR SUB DIVISION <b>Office of Policy</b>		NOTIFICATION TO AGENCY  In accordance with the provisions of 44 U S C 3303a, the disposition request, including amendments is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10	
3 MINOR SUBDIVISION <b>Office of Immigration Statistics</b>			
4 NAME OF PERSON WITH WHOM TO CONFER <b>Kathy Schultz</b>	5 TELEPHONE <b>202-447-5075</b>	DATE <i>Feb 2010</i>	ARCHIVIST OF THE UNITED STATES <i>[Signature]</i>
<p>6 <b>AGENCY CERTIFICATION</b></p> <p>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 on the attached <u>3</u> page(s) are not needed now for the business of this agency or will not be needed after the retention periods specified, and that written concurrence from the General Accounting Office, under the provisions of Title 8 the GAO Manual for Guidance of Federal Agencies,</p> <p><input checked="" type="checkbox"/> is not required      <input type="checkbox"/> is attached, or      <input type="checkbox"/> has been requested</p>			
DATE <b>1/26/09</b>	SIGNATURE OF AGENCY REPRESENTATIVE <i>Kathy Schultz</i>		TITLE <b>Senior Records Officer</b>
7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
<b>1</b>	<b>See attached sheet(s) for:  Office of Immigration Statistics program records</b>		

**U.S. Department of Homeland Security  
Headquarters Records Schedules**

**Policy, Office of**

The Homeland Security Act of 2002, H.R. 5005 (Public Law 107-296) created the Department of Homeland Security (DHS). With the establishment of DHS, the Office of Immigration Statistics (OIS) became an independent organization reporting to the Under Secretary for Management. It was moved from the Management Directorate to the Office of Policy under Second Stage Review. Formerly a part of the Immigration and Naturalization Service (INS), OIS gained many additional responsibilities along with its independence. The statute called for OIS to collect more statistical information, including data regarding Border Patrol, Detention and Removal, Intelligence, Investigations, and Inspections. In addition to producing statistical analyses, OIS became responsible for establishing standards of reliability and validity for immigration statistics.

The Office of Immigration Statistics (OIS) is responsible for developing, analyzing, and disseminating statistical information needed to assess the effects of immigration in the United States.

Statistical data is collected and compiled into Immigration Statistical Reports. Areas reported on include: foreign nationals who were granted lawful permanent residence (i.e., admitted as immigrants or became legal permanent residents), were admitted into the United States on a temporary basis (e.g., tourists, students, or workers), total inspections of citizens and aliens for entry to the US, border apprehensions, applications and petitions for immigration benefits, naturalization applications and receipts, criminal alien removals, investigations of criminal alien cases, and applications for asylum. Annual and monthly reports are posted on the Web.

**Unless otherwise noted, all disposition instructions are media neutral; they apply regardless of the media or format of the records.**

**1 Annual Reports / Summary of Immigration Statistics**

THIS ITEM MOVED TO BECOME #7d

~~Immigration information is summarized for the fiscal year in reports on immigrants, nonimmigrants, naturalizations, refugees/asylees, and estimates of illegal immigrants. These reports begin in 2004.~~

~~**Disposition:**~~

~~PERMANENT. Cut off at end of fiscal year in which published. Transfer to the National Archives in 5-year blocks immediately following the last cutoff in the block.~~

~~**Additional Information:**~~

~~Date Span: 2004-present~~

~~Year of first transfer to the National Archives: 2009~~

~~Estimated Current Volume: less than 3 cubic inches~~

~~Estimated Annual Accumulation: less than 1 cubic inch~~

**2 Immigration Statistics Data Requests**

Requests for statistical data received via telephone, e-mail and written correspondence from a variety of sources both inside and outside DHS.

**Disposition:**

TEMPORARY. Cut off at end of fiscal year in which the request was received. Destroy or delete 3 years after cutoff. **LONGER RETENTION IS AUTHORIZED IF NEEDED FOR BUSINESS USE.**

### 3 Immigration Statistical Records

#### Lawful Immigrant Records

Aliens lawfully admitted for permanent residency in the United States, including persons already admitted whose status is adjusted to that of permanent resident

#### Naturalizations

Permanent residents meeting requirements to become naturalized US citizens for who certificates of naturalization have been issued

#### Removals/Returns

Aliens removed under order of deportation, aliens required to depart under threat of removal and Aliens allowed to return to their country without removal orders

#### **Disposition:**

PERMANENT Transfer two years worth of data to the National Archives every other year The newest data in the group should be two years old

*Supersedes NC1-085-79-1 Items 1a, 1b, 1e, 1f, 1i*

#### **Additional Information:**

##### Lawful Immigrant Records

Date Span 2005-present

Year of first transfer to the National Archives 2009

Previously scheduled via NC1-085-79-1 Item 1a

##### Naturalizations

Date Span 2005-present

Year of first transfer to the National Archives 2009

Previously scheduled via NC1-085-79-1 Item 1b

##### Removals/Returns

Date Span 2006-present

Year of first transfer to the National Archives 2009

Previously scheduled via NC1-085-79-1 Items 1e, 1f, and 1i

#### **Additional Information about Legacy Removals/Returns Records:**

These records have been arranged differently over the years Initially they were split into three files

##### Deportation Files

Date Span 1974-1992

Scheduled via NC1-085-79-1 Item 1e

##### Required Departure Files

Date Span 1973-1992

Scheduled via NC1-085-79-1 Item 1f

##### Exclusions File

Date Span 1973-1993

Scheduled via NC1-085-79-1 Item 1i

Subsequently they were arranged into two files

Aliens with a Verified Voluntary Departure for the United States File

Date Span 1993-2005

Scheduled via NC1-085-79-1 Item 1f (Previously known as "Required Departure Files ")

Removal of Aliens from the United States File

Date Span 1993-2005

Scheduled via NC1-085-79-1 Items 1e and 1i (Previously known as "Deportation Files" and "Exclusions Files" or "Excluded Aliens" files)

**Additional Information about Accessions of Legacy Removals>Returns Records:**

NARA has accessioned the Exclusions File for FY1993. Within the next five years, DHS will transfer the files for 1973-1992 to the National Archives and then this will be a closed series.

NARA has accessioned the Verified Voluntary Departure Files and Removal Files from 1993 - 1997. In 2009, DHS will transfer the files for 1998-2000 to the National Archives. Within the next five years, DHS will transfer years 2001-2005 to the National Archives and then these will be closed series.

**4 Nonimmigrants Statistical Records**

Statistics about aliens admitted for temporary periods

**Disposition:**

TEMPORARY. Cut off at end of fiscal year in which created. Destroy 20 years after cutoff or until no longer needed for business purposes, whichever is later.

*Supersedes NC1-085-79-1 Item 1h*

**5 G-23 Reports ("Report of Field Operations")**

Monthly statistical reports on all aspects of immigration and naturalization services. Records include, but are not limited to, statistics about inspections, adjudications, naturalizations, investigations, deportations, nationalities of deportable aliens, removals, attorney work, asylum applications, prosecutions, seizures of controlled substances and assets, and border patrol operations.

**Disposition:**

PERMANENT. Transfer 1984-2005 data to the National Archives immediately upon approval of this schedule. Thereafter, transfer two years worth of data to the National Archives every other year. The newest data in the group should be two years old.

**Additional Information:**

Date Span 1940-present

Date Span of Hardcopy Records 1940-1984

Date Span of Electronic Records 1985-2004

Year of Transfer to the National Archives 2009

Estimated Current Volume of Hardcopy Records 3 c f

Estimated Current Volume of Electronic Records 1.5 GB

Estimated Annual Accumulation of Electronic Records 700 MB

**6 Research and background material used to produce the Yearbook of Immigration Statistics**

**Disposition:**

TEMPORARY. Cut off at end of fiscal year in which yearbook is produced. Destroy 3 years after

cutoff. LONGER RETENTION IS AUTHORIZED IF NEEDED FOR BUSINESS USE.

## 7 Annual Statistical Publications on Immigration Programs

A compendium of tables on foreign nationals who, during a fiscal year, were granted lawful permanent residence (i.e., admitted as immigrants or became legal permanent residents), were admitted into the United States on a temporary basis (e.g., tourists, students, or workers), applied for asylum or refugee status, or were naturalized. The Yearbook also presents data on immigration law enforcement actions, including alien apprehensions, removals, and prosecutions.

a. Publications, 1892-2003. This item covers publications that generally contain both statistics and narrative information, including: 1) *Annual Reports* created between 1892 and 1977 by the Immigration and Naturalization Service (INS) and its predecessor agencies; and 2) *Yearbook of Immigration Statistics* created between 1978 and 2003.

DHS maintains these publications in two formats: paper and electronic format (i.e., PDF). DHS will transfer these publications to the National Archives in electronic format if the electronic copies meet the National Archives' recommended quality standards and transfer requirements. Otherwise, DHS will transfer the original, paper publications to the National Archives.

**Disposition:**

PERMANENT. For original paper versions not converted to electronic format: Cut off at end of fiscal year in which published. Transfer to the National Archives when 20 years old or when no longer needed, whichever is later. For electronic copies: Cut off at end of fiscal year in which created. Transfer to the National Archives upon cutoff.

**Additional Information:**

Date Span: 1892-2003  
Estimated year of first transfer to the National Archives: 2010  
Estimated Current Volume of Original Paper Publications: 5 c.f.

b. Publications, 2004-present. This item covers publications that contain only statistics with no accompanying narrative, including the *Yearbook of Immigration Statistics* as it is published beginning in 2004.

**Disposition:**

TEMPORARY. Cut off at end of fiscal year in which created. Destroy 20 years after cutoff or until no longer needed for business purposes, whichever is later.

c. Electronic tables that contain published statistics but in a manipulable format. Includes electronic tables containing statistics published in the *Yearbook of Immigration Statistics* or online as supplemental tables. (Currently, these tables are in Excel.)

**Disposition:**

PERMANENT. Cut off at end of fiscal year in which published. Transfer to the National Archives in 5-year blocks immediately following the last cutoff in the block.

**Additional Information:**

Date Span: 1998-present  
Estimated year of first transfer to the National Archives: immediately upon approval of this schedule  
Estimated Current Volume: less than 700 MB

d. Annual Reports / Summary of Immigration Statistics, 2004-present. Contains narrative information on immigration as summarized for the fiscal year. Includes reports on immigrants,

nonimmigrants, naturalizations, refugees/asylees, and estimates of illegal immigrants Includes Flow Reports and other reports

**Disposition:**

PERMANENT Cut off at end of fiscal year in which published Transfer to the National Archives in 5-year blocks immediately following the last cutoff in the block

**Additional Information:**

Date Span 2004-present  
Year of first transfer to the National Archives 2009  
Estimated Current Volume less than 3 cubic inches  
Estimated Annual Accumulation less than 1 cubic inch

**8 Crewmen Deserted Statistics**

Tabulations of crewmen deserting ships at U S ports

**Disposition:**

PERMANENT Transfer to the National Archives immediately upon approval of this schedule

*Supersedes NC1-085-79-1 Item 1g*

**Additional Information:**

Date Span 1958-1978  
Year of first transfer to the National Archives 2009  
Media Paper  
Estimated Current Volume 3 c f

**9 Alien Address Statistics**

Statistical tables of aliens who reported under the Alien Address Program by specified state of residence, nationality, and status

**Disposition:**

PERMANENT Transfer to the National Archives immediately upon approval of this schedule

**Additional Information:**

Estimated Date Span 1940-1980  
Year of first transfer to the National Archives 2009  
Media Paper  
Estimated Current Volume 4-8 c f

**10 Detail Tables**

Annual statistical tables of immigration and associated code books and keys to abbreviations Statistics include, but are not limited to, information about port or immigration district of arrival, country of birth, gender, state of intended residence, who paid for passage of individual, whom arriving individual is going to join, amount of money brought by individual, cause of debarment, mental or physical defect, occupation, and literacy level

**Disposition:**

PERMANENT Transfer to the National Archives immediately upon approval of this schedule

**Additional Information:**

Date Span 1895-1946 (Bulk of records cover 1920-1946, limited data for 1895-1919 )  
Year of first transfer to the National Archives 2009  
Media Paper  
Estimated Current Volume 4 c f