



FOR OFFICIAL USE ONLY

Homeland Security Investigations

Records Management Guide

HSI Guide 21-03 / September 28, 2021



U.S. Immigration
and Customs
Enforcement

Foreword

The Records Management Guide contains instructions and guidance to ensure uniformity and consistency across all U.S. Immigration and Customs Enforcement (ICE) Homeland Security Investigations (HSI) offices when addressing records management. Oversight over the implementation of its provisions resides with the Unit Chief, Information Disclosure Unit, Mission Support.

This Guide is the originating and establishing policy document on HSI Records Management.

The Records Management Guide is an internal policy of HSI. It is not intended to, does not, and may not be relied upon to create any right or benefit, substantive or procedural, enforceable at law by any party in any administrative, civil, or criminal matter, nor are any limitations hereby placed on otherwise lawful enforcement prerogatives of ICE. This Guide is For Official Use Only (FOUO). It is to be controlled, stored, handled, transmitted, distributed, and disposed of in accordance with the U.S. Department of Homeland Security policy relating to FOUO information. This information shall not be distributed beyond the original addressees without prior authorization of the originator. This Guide contains information which may be exempt from disclosure to the public under the Freedom of Information Act, Title 5, United States Code, Section 552(b), and protected from disclosure pursuant to the law enforcement exemption. If disclosure of this Guide or any portion of it is demanded in any judicial or administrative proceeding, the request will be referred to the HSI Information Disclosure Unit in consultation with the Office of the Principal Legal Advisor at Headquarters and/or the affected U.S. Attorney's Office, so that appropriate measures can be taken to invoke privileges against disclosure.

All questions or suggestions for updates should be addressed to the Information Disclosure Unit.

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Steve K. Francis
Acting Executive Associate Director
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Date

RECORDS MANAGEMENT GUIDE

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RECORDS MANAGEMENT GUIDE

Chapter 1. PURPOSE AND SCOPE

The U.S. Immigration and Customs Enforcement (ICE) Homeland Security Investigations (HSI) Records Management Guide provides policy and procedures for HSI personnel when addressing the creation, maintenance, use, and destruction of HSI records. It establishes standard procedures to ensure the effective and consistent execution of records management across HSI. All records must meet the required retention periods and must receive written approval from the HSI Records Liaison Officer (RLO) and the ICE Records and Data Management Unit (RDMU) prior to the transfer, retrieval, or disposition/destruction of records.

Chapter 2. INTRODUCTION

As the largest investigative arm of the Department of Homeland Security (DHS), HSI enforces U.S. customs and immigration laws that have a nexus to homeland security, border security, and public safety. HSI's Records Management Program supports the DHS mission of ensuring that all ICE Directorates and Program Offices have sound and effective records management policies, procedures, and practices. A robust and efficient Records Management Program supports HSI's mission of investigating, disrupting, and dismantling terrorist, transnational, and other criminal organizations and activities that threaten or seek to exploit the customs and immigration laws enforced by ICE.

The HSI Information Disclosure Unit (IDU) provides oversight of the HSI Records Management Program. IDU works in conjunction with RDMU in the ICE Office of Information Governance and Privacy to ensure that up-to-date comprehensive records schedules, file plans, and guidance pertaining to HSI programmatic and administrative records are accessible for review and adherence by HSI staff. The HSI RLO in IDU provides guidance to HSI Headquarters (HQ) and to domestic and international field staff on the maintenance and disposition of HSI records. The RLO coordinates with management in all the HSI HQ and field offices to designate staff members to serve as Records Custodians (RCs). The RLO meets regularly with RCs to provide guidance pertaining to records updates to be shared with all HSI offices within their areas of responsibility (AORs). The RLO also works with RDMU to facilitate the processing of requests for the transfer, retrieval, and disposition/destruction of HSI records.

The HSI Records Management Group Mailbox, **(b) (7)(E)**, has been established to receive requests for records-related actions, questions, and information concerning the HSI Records Management Program. The processing and approval of transfer, disposition/destruction, and retrieval requests are three of the most significant functions of the HSI Records Management Program. These functions implement the creation, maintenance, use, and destruction guidelines mandated by the National Archive and Records Administration (NARA). Records are transferred to and retrieved from one of the [15 Federal Records Centers \(FRCs\)](#)

located in the United States. Federal agencies are required to accession (defined in Section 3.1) their permanent records into the National Archives. Permanent records are accessioned to NARA once they have met approved records schedule guidelines.

This Guide will be retained in accordance with the Administrative and Operational Records Common to All Offices, Records Schedule (DAA-0563-2019-0008).

Chapter 3. DEFINITIONS

The following definitions are provided for the purposes of this Guide only:

3.1 Accession

The process of transferring physical and legal custody of permanent records to NARA.

3.2 Active Record

A document or record that is undergoing processing and is needed, and referred to frequently, in the daily operations of an organization. Active records are those which are referred to at least once per month. Active records are also referred to as “current records.”

3.3 Archives and Records Center Information System

A web-based electronic records tracking system of NARA’s FRCs. The Archives and Records Center Information System (ARCIS) is the online portal through which ICE can access and do business with the FRCs, as well as track transactions electronically, giving instant access to information about stored records.

3.4 Data File

A collection of related data, organized in a strictly prescribed form and format by a computer, that is stored together and treated as a unit.

3.5 Description

The process of analyzing, organizing, and recording information that serves to identify, manage, locate, and explain documentary material, and the contexts and record systems from which that material was selected.

3.6 Destruction

The process of eliminating or deleting documentary material beyond any possible reconstruction.

3.7 Dispose

To carry out the disposition instructions as required by NARA-approved records schedules to destroy or donate temporary records after their retention period expires.

3.8 Disposition

Actions taken regarding agency records no longer needed to conduct the regular or current business of the agency. These actions include transfer to storage facilities or NARA records centers, transfers from one Federal agency to another, transfer of permanent records to NARA, and disposal of temporary records no longer needed to conduct agency business, usually by destruction or occasionally by donation. Before the disposition of any record, HSI is to ensure that the records are not subject to a litigation hold. If the records are, they may not be disposed of until the custodian(s) of the records are provided with official notice that the litigation hold has been lifted. In addition, if no litigation hold is in effect, the NARA-approved records control schedule must be followed and no disposition of records is permitted until the ICE Records Officer reviews and approves the request.

There are two types of dispositions for records:

Temporary – Records with a temporary disposition that will eventually be destroyed or deleted when all relevant business needs have expired.

Permanent – Permanent records that contain historically significant materials, provide evidence of agency accomplishments, or document important events in national history, and as a result will be preserved by NARA.

3.9 Electronic Record

Any information that is recorded in a form that only a computer can process and that satisfies the definition of a record.

3.10 Federal Records Center

A facility for the storage and servicing of records pending their disposal by an agency or permanent transfer to the National Archives. Records centers include NARA-authorized agency records centers and NARA-operated FRCs.

3.11 File Unit

An organized unit of documentary material grouped together either for current use or in the process of archival arrangement. A file unit can also be the intellectual grouping of the documentary material, which may or may not equal the physical grouping. For example, a case file may be housed in several physical folders but described and/or labeled as one file unit.

3.12 Freedom of Information Act

The Freedom of Information Act (FOIA) provides the public with the right to request access to records from any Federal agency. Federal agencies are required to disclose any information requested under FOIA unless it falls under one of nine exemptions which protect interests such as personal privacy, national security, and law enforcement.

3.13 Legal Custody

To have legal control and responsibility for a specific group of documentary material.

3.14 Media Neutral

The physical material in or on which information may be recorded (e.g., paper, magnetic tape, film).

3.15 Permanent Record

A record that has sufficient historical or other value to warrant its continued preservation by the U.S. Government beyond the time it is needed for administrative, legal, or fiscal purposes.

3.16 Personal Papers

Personal papers are documentary materials, or any reasonably segregable portion thereof, of a private or nonpublic character, that do not relate to, or influence, the conduct of agency business. Personal papers are excluded from the definition of Federal records and are not owned by the U.S. Government.

3.17 Physical Custody

Physical control of and responsibility for a specific group of documentary material.

3.18 Preservation

Processes and operations involved in ensuring the technical and intellectual survival of authentic records through time.

3.19 Record

A unit of recorded information created, received, and maintained as evidence or information by an organization or person, in pursuance of legal obligations or in the transaction of business.

3.20 Records Schedule

A type of disposition agreement developed by a Federal agency and approved by NARA that describes Federal records, establishes a period for their retention by the agency, and provides mandatory instructions for what to do with them when they are no longer needed for current government business. Records Schedules are also referred to as records disposition schedules, records control schedules, records retention schedules, records retention and disposition schedules, or schedules.

3.21 Retrieval

The process of getting back an agency's records from the FRC, prior to destruction, when needed for business use.

3.22 Refile

The process of returning an agency's records to the FRC when they are no longer needed for business use.

3.23 Series

Specific description of the function and activity of a specific record used in the drafting phase of a records schedule that may be edited several times before a final schedule is approved.

3.24 Temporary Record

A record approved for disposal by the appropriate authority, either immediately or after a specified retention period.

3.25 Transfer

The processes supporting the moving of documentary material from one location to another. Usually used to refer to the transfer of materials from the creator or custodian to NARA (including FRCs). The body of documentary material for which physical custody is transferred.

Chapter 4. AUTHORITIES/REFERENCES

- A. Freedom of Information Act, as amended; Title 5, United States Code (U.S.C.), Section 552.
- B. 44 U.S.C., Chapter 29, Records Management by the Archivist of the United States and by the Administrator of General Services.

- C. 44 U.S.C. Chapter 31, Records Management by Federal Agencies (Federal Records Act).
- D. 44 U.S.C. Chapter 33, Disposal of Records.
- E. Title 36, Code of Federal Regulations (C.F.R.), Part 1232, Transfer of Records to Records Storage Facilities.
- F. 36 C.F.R. Part 1233, Transfer, Use, and Disposition of Records in a NARA Federal Records Center.
- G. 36 C.F.R. Part 1234, Facility Standards for Records Storage Facilities.
- H. 36 C.F.R. Part 1235, Transfer of Records to the National Archives of the United States.
- I. DHS Directive 141-01, Records and Information Management, dated August 11, 2014 (Certified Current: September 26, 2019).
- J. DHS Instruction 141-01-001, Revision Number: 00.1, Records and Information Management, dated June 8, 2017 (Incorporating Change 1, September 9, 2019, approved by **(b) (7)(E)** Chief Information Officer)
- K. DHS Directive 11042.1, Safeguarding Sensitive but Unclassified (For Official Use Only) Information, dated January 6, 2005 (amended by DHS Instruction Number: 121-01-014 (listed below).
- L. DHS Instruction Number: 121-01-014, Access to “For Official Use Only” (FOUO) Information by the Private Sector, Foreign Governments, International Organizations, and Foreign Non-Governmental Individuals, dated July 7, 2014, or as updated.
- M. ICE Directive 2009.1 (former number: 2-7.0), Retention and Disposition of Electronic Invoice Records and Related Documents, dated January 15, 2008, or as updated.

Chapter 5. RESPONSIBILITIES

5.1 Executive Associate Director, Homeland Security Investigations

The Executive Associate Director of HSI is responsible for the oversight of the policy and procedures provided in this Guide.

5.2 Assistant Director, Mission Support

The Assistant Director, Mission Support, is responsible for overseeing the implementation of the Records Management Program within HSI.

5.3 Assistant Directors, HSI Divisions

The Assistant Directors at HSI HQ are responsible for implementing the provisions of this Guide within their respective Divisions.

5.4 Unit Chief, Information Disclosure Unit

The Unit Chief of IDU is responsible for the implementation of the Records Management Program within HSI.

5.5 Special Agents in Charge and Attachés

Special Agents in Charge and Attachés are responsible for the implementation of the provisions of this Guide within their respective AORs.

5.6 ICE Records and Data Management Unit, HSI Records Liaison Officer, HSI Records Custodian, and HSI Personnel

Responsibilities	
ICE RDMU	<p>ICE RDMU provides records management guidance and facilitates all records transfer, retrieval, destruction, refile, and accession requests ICE-wide.</p> <p>Record Transfer Actions:</p> <ul style="list-style-type: none">• Provides records disposition guidance.• Receives and processes all transfers.• Processes records transfer requests submitted on the Records Transfer and Request Form (RTRF) through ARCIS which will generate an approved Standard Form (SF)-135, Records Transmittal and Receipt.• Receives approved SF-135 and forwards it to the HSI Records Management Program for distribution to the requesting office.• RDMU maintains an electronic copy of approved SF-135. <p>Records Destruction Actions:</p> <ul style="list-style-type: none">• Reviews and provides final approval on destruction requests received on the ICE Records Disposition Form (ICE Form 8-002).

Responsibilities	
	<p>Records Accessioning Actions (Permanent Records Only):</p> <ul style="list-style-type: none"> • Reviews records and RTRF and verifies accession eligibility for requested permanent records. • Creates the SF-258, Agreement to Transfer Records to the National Archives of the United States, using ARCIS. • An electronic copy of approved SF-135 and box inventory listing is maintained in the Electronic Records Archives (ERA). <p>Records Retrieval Actions:</p> <ul style="list-style-type: none"> • Provides records retrievals process guidance to RLOs. • Ensures accurate completion of retrieval requests submitted using Reference Request – FRC, Optional Form 11 (OF-11). • Submits and tracks retrieval request via ARCIS.
HSI RLO	<p>The HSI RLO manages the HSI Records Management Program and serves as a liaison between ICE RDMU and the HSI designated RCs. The HSI RLO writes HSI draft records schedules, and provides first level approval for records transfers, retrievals, and accession requests. The HSI RLO also:</p> <ul style="list-style-type: none"> • Negotiates any changes outside the scope and requirements of ICE-wide schedules, such as waivers and amendments to already-approved records schedules with HSI management and ICE RDMU. • Provides records training and records assessments to HQ and field staff. • Researches and applies approved ICE-wide and General Records Schedule (GRS) records schedules to HSI legal, Privacy Threshold Analysis (PTA), handbooks, and policy guides in accordance with NARA and ICE policies. • Updates this Records Management Guide as needed. • Represents HSI Records Management at conferences and trainings. <p>Record Transfer Actions:</p> <ul style="list-style-type: none"> • Ensures that RTRFs are completed. • Forwards RTRFs (via email) to ICE RDMU. <p>Records Destruction Actions:</p> <ul style="list-style-type: none"> • Receives completed destruction requests (ICE Form 8-002). • Provides initial approvals for destruction requests.

Responsibilities	
	<p>Records Accessioning Actions:</p> <ul style="list-style-type: none"> • Reviews permanent records that are eligible for transfer for initial approval. • Provides initial approval for records transfers. <p>Records Retrieval Actions:</p> <ul style="list-style-type: none"> • Receives, approves, and then forwards OF-11, Reference Request – Federal Records Centers, to ICE RDMU for processing.
HSI RCs	<p>HSI RCs have the assigned responsibility within an office for the day-to-day records management operations by implementing guidance issued by the HSI RLO. HSI RCs are responsible for ensuring that records are maintained in a limited access secure space and for providing guidance to field office staff on the proper handling of records.</p> <p>HSI RCs ensure that all records transfers, destruction, retrieval, and accession requests are processed in accordance with ICE policies.</p> <p>Record Transfer Actions:</p> <ul style="list-style-type: none"> • Pack boxes for transfer. • Ensure that an RTRF is created for each transfer request. • Forward the completed RTRF (via email) to the designated HSI RLO for review. • Ensure that boxes transferred are properly labeled. • Ensure that a copy of the SF-135 is placed in each box of the transfer/shipment. • Ensure that boxes are either shipped via FedEx/UPS or hand delivered to the FRC. • Retain a copy of the RTRF and the SF-135 for the office. <p>Records Retrieval Actions:</p> <ul style="list-style-type: none"> • Contact designated HSI RLO regarding records retrieval support. • Complete OF-11. • Retain a copy of the RTRF and the SF-135 for the office.

Responsibilities	
HSI Personnel	<ul style="list-style-type: none"> • Create, maintain, use, and destroy HSI records in accordance with ICE, DHS, and NARA standards and guidance. • Maintain paper, electronic, and email records in an organized, searchable manner. • Complete scheduled mandatory records management training in the DHS Performance and Learning Management System (PALMS). • Notify the HSI RLO of any unscheduled program records and any records management questions or concerns. • Comply with the provisions of this Guide.

Chapter 6. FEDERAL RECORDS

6.1 Identifying Federal Records

As noted in 44 U.S.C. § 3301, Definition of records, Federal records include but are not limited to all books, papers, maps, photographs, machine-readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by an agency of the U.S. Government under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Government or because of the informational value of the data in them.

6.2 Categories of Federal Records

6.2.1 Permanent Records

Permanent records are media-neutral records that NARA appraises as having sufficient importance to warrant continued preservation by the Federal Government as property of the National Archives. The records have continuing value as documentation of the organization or because the records document significant information on a significant person, such as specific levels of senior leadership, investigative case, or condition. Approximately two percent of Federal records are considered permanent.

6.2.2 Temporary Records

Temporary records are designated for disposal after a specific time period, in accordance with a NARA-approved records schedule or the GRS; temporary records should be retained for the life of the record as required by those approved schedules. Temporary records should not be destroyed prior to -- nor should they be retained past --their authorized retention period.

6.2.3 Non-Record Materials

Non-record materials are government-owned informational items that do not meet the legal definition of a record in 44 U.S.C. § 3301 or that have been excluded from coverage by the definition. Extra copies of documents may be maintained specifically for personal reference when warranted by the level and distinction of the position held by the originator, the significance of the research, or the prestige of the researcher. These documents are considered non-record materials rather than personal papers and must be limited in volume. Working papers maintained only for reference are non-record materials and may be disposed of when no longer needed. Non-record items should be kept in a separate location from records and not together. If both are used in the same document, the part pertaining to agency business should be treated as a record. Examples of non-record materials are copies of documents kept solely for reference and excess copies of publications, training slide decks, and print-outs from systems or websites.

6.2.4 Personal Papers

Personal papers are private documents that do not relate to government business. They are materials that refer solely to an individual employee's or contractor's private affairs, such as professional affiliations, medical-related records, journals, and personal notes. These items include: 1) papers accumulated by an official before joining Government service; 2) materials relating solely to an individual's professional affiliations and private political associations; and 3) books, diaries, and personal notes that are not prepared or received in the process of transacting Government business.

6.2.5 Unscheduled Records

Unscheduled records are those records for which the final disposition has not been approved by NARA. An unscheduled record also applies to any draft records schedule submitted to NARA that is in the approval process. Unscheduled records are not authorized for destruction and should be retained as a permanent record until a schedule has been approved. HSI program areas with unscheduled records should contact the HSI RLO to begin the process of scheduling unscheduled records.

Chapter 7. HSI RECORDS MANAGEMENT

Records Management is critical to the HSI mission and is required by Federal law (Federal Records Act, 44 U.S.C. § 3101). In addition to ensuring access to programmatic records in support of HSI's law enforcement mission, efficient records management ensures accurate and timely access to administrative records, including past and present budgets, policies, processes, decisions, and essential records needed during emergency efforts. The following actions should be taken across HSI to ensure that HSI is abiding by required laws.

- A. Preserve all HSI records containing documentation of functions, policies, decisions, and procedures.

- B. Properly create, maintain, identify, schedule, and protect temporary, permanent, and essential records against loss, destruction, unauthorized release, and natural disasters.
- C. Properly manage HSI records regardless of paper, media, or electronic format.
- D. Follow the NARA records management standards as set forth for all Federal agencies and those specific to ICE.

7.1 HSI Transfer, Retrieval, and Destruction Requirements

Pursuant to approved records retention schedules, HSI records must meet requirements in order to be transferred to an assigned FRC for temporary storage. Records that have been retired to the FRC, if needed for Agency business, are only retrieved by the originating office. If the retrieved file is needed by another office, the originating office can send the record via interagency transfer. HSI records that are approved for destruction must meet disposition date requirements to be approved for destruction by burning or shredding methods.

- A. HSI program or field offices should identify eligible records for transfer, destruction, and retrieval in accordance with NARA guidelines, the DHS-wide Enterprise and ICE-wide Records Schedules, and any remaining valid legacy Customs Schedules or the GRS. (See Appendix J, HSI Records Management Transfer, Retrieval and Refile, and Destruction, for the list of HSI Records Eligible for Disposition.)
- B. HSI Records Management and the ICE RDMU will not approve any records transfers to the FRC prior to the eligible transfer date established pursuant to the pertinent NARA-approved records schedule. Records not eligible for transfer must remain on-site, secured, maintained, and managed by the respective HSI office. Records must meet the full retention requirement prior to transfer or destruction.
- C. Records common to most Federal agencies, such as purchase card receipts and motor vehicle records, are governed by the GRS and cannot be transferred to the FRC. All administrative records must remain on-site and managed by the respective HSI office.
- D. Unscheduled records are retained on-site with the respective HSI RC until a NARA-approved records disposition schedule is established. The HSI RLO should be notified of any unscheduled records

(b) (7) (E)

- F. HSI Records Management has signed an agreement with the ICE Records Division that waives the requirement of maintaining investigative case files on-site for 10 years and allows for the transfer of such records after a minimum of being retained on-site for 3 years after the closure of the related investigation. This waiver was established to alleviate space issues in offices across HSI. (b) (7)(E)

(b) (7)(E)

- G. Investigative case files that have not been retained on-site for at least a minimum of 3 years after the closure of the related investigation will not be approved for transfer to the FRC. Offices should hold investigative case files on-site until the required retention has been reached, then submit a destruction request using ICE Form 8-002 and forwarding it to the HSI Records Liaison Officer at (b) (7)(E) for approval.

- H. Each office is required to retain a copy of the following approved forms and documents in a separate binder, in the office file room, or in a clearly labeled electronic folder on the office shared drive:

- 1) Transfer Requests: SF-135 forms and the associated box listing.
- 2) Destruction Requests: Destruction Request Form 8-002 and the associated box listing.
- 3) Retrieval/Refile Requests: OF-11.

(For detailed guidance, please refer to Appendix J, HSI Records Management Transfer, Retrieval and Refile, and Destruction.)

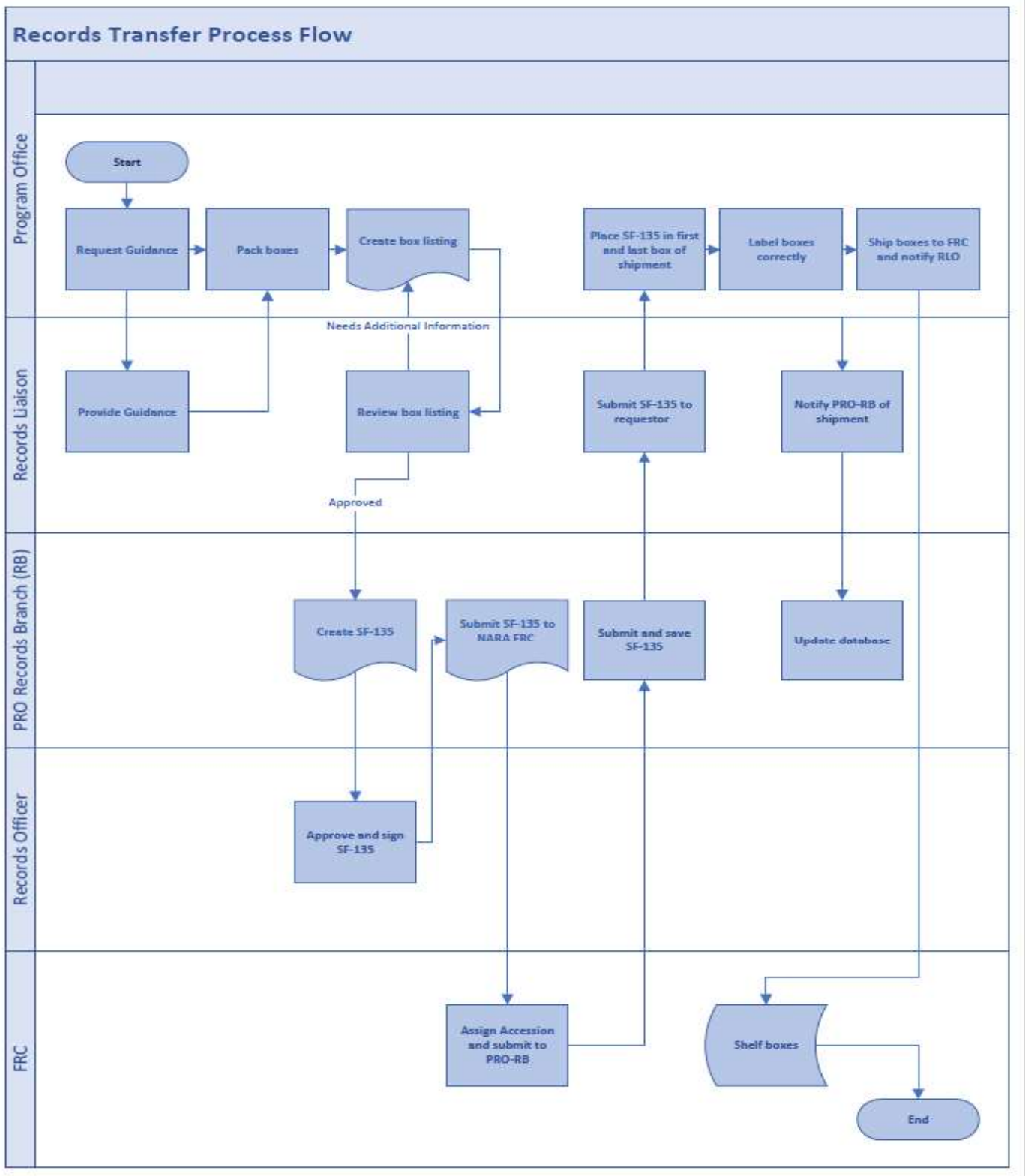
Chapter 8. RECORDS ACCESSIONING

Federal agencies are required to accession their permanent records to NARA. Pursuant to 36 C.F.R. Part 1235, records accessioning refers to the transfer of the legal and physical custody of permanent records from a federal agency to NARA. This process is for records that are currently stored at an FRC. The process of accessioning records is as follows:

- A. HSI offices that have permanent records on-site should complete Form SF-258, *Agreement to Transfer Records to NARA*, and then forward it to ICE RDMU.
- B. Using ERA, the FRC will forward Form SF-258, *Agreement to Transfer Records to NARA*, to ICE RDMU for approval to transfer HSI records from the FRC to permanent NARA custody. (See Appendix F for a sample SF-258.)

- C. Once approved and the records are accessioned, NARA will notify ICE RDMU, via ERA, that the accession is complete.

RECORDS TRANSFER PROCESS MAP



RECORDS TRANSFER REQUEST FORM AND BOX LISTING

Records Transfer Request Form

* = required information

Purpose:
This form must be used for all records transfer requests. The information provided on this form is used by the Records Division to process and submit transfer requests to the Federal Records Centers. All items must be completed unless otherwise noted in these instructions.

Records Liaison Officer (RLO)

Requestor Full Name: *

Program Office/Division: *

Mailing Address where records will be shipped from: *

Disposition Authority: *
[Please click on this link to access relevant Records Schedules: https://insight.icc.dhs.gov/mgt/igp/rm/Pages/recordsSchedules.aspx](https://insight.icc.dhs.gov/mgt/igp/rm/Pages/recordsSchedules.aspx)

Record Series *

Disposition Type: *

Disposition Date: *
[Click on this link to access the IPSC Destroy Date Calendar: https://www.nwcg.gov/committees/incident-planning-subcommittee/ipsc-destroy-date-calendar](https://www.nwcg.gov/committees/incident-planning-subcommittee/ipsc-destroy-date-calendar)

Start Date: *

End Date: *

Number of Boxes: *

**SF-135, RECORDS TRANSMITTAL AND RECEIPT,
AND THE FEDERAL RECORDS CENTER LOCATIONS**

RECORDS TRANSMITTAL AND RECEIPT Complete and send original and one copy of this form to the appropriate Federal Records Center for approval prior to shipment of records. See specific instructions on reverse.										PAGE 1	OF PAGES	
1 TO <u>(Complete the address for the records center serving your area as shown in 36 CFR 1228.150.)</u>						5 FROM <u>(Enter the name and complete mailing address of the office retiring the records. The signed receipt of this form will be sent to this address.)</u>						
Washington National Records Center 4205 Suitland Road Suitland, MD 20746-8001						Department of Homeland Security Immigration and Customs Enforcement (ICE)						
2 AGENCY TRANSFER AUTHORIZATION		TRANSFERRING AGENCY OFFICIAL (signature and title) Rich Mattison, Acting Assistant Director Records Management Branch				DATE		Internal Control #: 201104-ICN0506				
3 AGENCY CONTACT		TRANSFERRING AGENCY LIAISON OFFICIAL (Name, office and telephone No)										
4 RECORDS CENTER RECEIPT		RECORDS RECEIVED BY (Signature and Title)		DATE								
6 RECORDS DATA												
ACCESSION NUMBER			VOLUME (sq. ft.)	AGENCY BOX NUMBERS	SERIES DESCRIPTION (with inclusive dates of records)	RECORDS CENTER	DISPOSAL AUTHORITY (schedule and item number)	DISPOSAL DATE	COMPLETED BY RECORDS CENTER			
RG	FY	NUMBER							LOCATION	SHELF PLAN	COORD. NO.	AUTO. DESP.
(a)	(b)	(c)	(d)	(e)	(f)	(g)	(h)	(i)	(j)	(k)	(l)	(m)
567												

NSN 7540-00-634-4093

135-107

Standard Form 135 (Rev. 7-85) Form

FEDERAL RECORDS CENTER LOCATIONS

Atlanta Federal Records Center

4712 Southpark Blvd.
Ellenwood, GA 30294

Boston Federal Records Center

Frederick C. Murphy Federal Center
Waltham, MA 02452

Chicago Federal Records Center

7358 South Pulaski Road
Chicago, IL 60629-5898

Dayton Federal Records Center

3150 Springboro Road
Moraine, OH 45439

Denver Federal Records Center

17101 Huron Street
Broomfield, CO 80023-8909

Fort Worth Federal Records Center

1400 John Burgess Drive
Fort Worth, TX 76140

Kansas City Federal Records Center

8600 NE Underground Drive
Pillar 300-G, Kansas City, MO 64161

Kingsridge Federal Records Center

8801 Kingsridge Drive
Miamisburg, OH 45458

Lee's Summit Federal Records Center

200 Space Center Drive
Lee's Summit, MO 64064-1182

Lenexa Federal Records Center

17501 W. 98th
Lenexa, KS 66219

Philadelphia Federal Records Center

4700 Townsend Road
Philadelphia, PA 19154-1096

Pittsfield Federal Records Center

10 Conte Drive
Pittsfield, MA 01201-8230

Riverside Federal Records Center

23123 Cajalco Road
Perris, CA 92570-7298

San Bruno Federal Records Center

Leo J. Ryan Building
1000 Commodore Drive
San Bruno, CA 94066-2350

Seattle Federal Records Center

6125 Sand Point Way NE
Seattle, WA 98115-7999

National Personnel Records Center (Military)

1 Archives Drive
Spanish Lake, MO 63138

National Personnel Records Center (Civilian)

1411 Boulder Blvd.
Valmeyer, IL 62295

Washington National Records Center

4205 Suitland Road
Suitland, MD 20746-800

REQUIRED MATERIALS AND SHIPPING INSTRUCTION MATERIALS REQUIRED FOR RECORDS TRANSFER

The FRC requires agencies to use specific types of material for preparing records transfers. To order the required supplies, contact (b) (7)(E) [v](#) for assistance.

Commonly used supplies include:

- Standard size record box for legal or letter-size files: 14.5” x 12” x 9.5”
- Clear Tape (recommended)
- Black, felt tip marker

Shipping Records to the FRC

Preparing Records

- Agencies are required to use the white special-use boxes as referenced on <https://www.archives.gov/frc/toolkit>.

Sorting and Packing Records

- Remove all non-record material and extra copies of documents from files. Media cannot be transferred.
- Remove files and pack in the transfer boxes in the same order as they were maintained in the file drawers.
- Place letter size records in the box with labels facing the front of the transfer box.
- Do not over-pack transfer boxes. Leave at least one inch of space in each box.
- Never add additional material on the bottom, side, or on the top of the records in the box.
- Each transfer must be at least one standard record box or other standard container.
- Loose papers or files will not be accepted.
- Prepare a Records Transfer and Request Form for each transfer.

Accession Number (000-00-0000)

1. The Accession Number is a unique identifier assigned to a group of archival materials that will be transferred into the physical custody of NARA. The accession number links the description of the archival materials and their acquisition/accession documentation.
2. The FRC will assign accession numbers for all transfers.
3. The first three digits with a leading zero is the assigned agency number for ICE.
4. The middle two digits are the current fiscal year.
5. The last four digits are the sequential number sequence.

Labeling and Numbering Boxes

1. Do not use “paste on” labels. Write directly on the carton with a black, large point, felt-tip marker in numbers 1½ to 2 inches high.
2. After the files are boxed, they should be numbered sequentially (1 of 10, 2 of 10, 3 of 10, etc.) in the box labeled Agency Box Number in the upper-right front corner.
3. After receiving the approved SF-135 back from the FRC, the Accession Number and the box number (if not already indicated) must be written in the designated printed blocks on the front of each box with a black felt tip marker.

ACCESSION NUMBER			
<u>5</u>	<u>6</u>	<u>7</u>	■
<u>0</u>	<u>0</u>	<u>0</u>	<u>1</u>

AGENCY BOX NUMBER		
2	OF	10

4. The accession number and the box number are the only information the FRC requires on the front of the box.
5. The agency name and mailing address is not required, as the accession number identifies to whom the records belong.
6. Place a copy of the completed and approved SF-135 and complete box list in box 1, and tape all boxes being transferred closed.
7. Place a copy of the records transfer request form in each of the boxes being transferred. The sealing of boxes is authorized by the FRC; however, tape cannot be placed over the written accession number or box number areas. Check with the receiving FRC to determine if it has additional requirements.
8. The number of boxes being transferred must match the number of boxes listed in column (e) on the SF-135. The FRC will not accept boxes if the number of boxes being transferred does not match **the number in** column (e) on the SF-135.
9. Records of different accessions must be packed in separate boxes.

Shipping Records

1. HSI RCs are required to arrange for the shipment of their records within 90 days after receipt of the approved SF-135. If the transfer cannot be made within this period, please advise the ICE RDMU. Unexplained delays of more than 90 days may result in the FRC canceling the transfer and returning the SF-135.
2. HSI offices are responsible for covering the costs for the initial shipment of records located within their AOR to an FRC. Records may be sent via a commercial carrier (FedEx or UPS) or by an ICE courier. In addition, some FRCs will pick up records through NARA's Metro Courier service at very competitive rates. Check with the local FRC for scheduling and fees.

Pallet Shipping and Stacking

- Large shipments of 50 boxes or more must be palletized. Please contact the local FRC to schedule a delivery date and instruct commercial carriers to contact the records center 24 hours before delivery. FRCs will make every effort to assist and advise agencies during the transfer process. However, shipments that arrive at the FRC out of order, in oversized boxes, damaged, improperly taped, improperly marked, without an SF-135 approved for transfer, or with an SF-135 that does not match the shipment, may require extensive remedial effort and increased costs. These costs are the responsibility of the shipping office. Local FRCs differ slightly regarding the stacking of pallets and the preferred order of boxes on pallets. Please contact the transfer office at the local FRC to confirm proper box order for the FRC (email addresses are available on the [FRC Directors' page](#)). Pallets should be securely banded with shrink-wrap, steel, plastic, or cord strapping before shipping.

PALLET STACKING INSTRUCTIONS

For information relating to palletizing records boxes approved for transfer to an FRC, refer to the Federal Records Centers page located on the NARA website. This information can also be accessed by clicking on the following link: <https://www.archives.gov/frc/toolkit>.

SF-258, AGREEMENT TO TRANSFER RECORDS TO THE NATIONAL ARCHIVES OF THE UNITED STATES

AGREEMENT TO TRANSFER RECORDS TO THE NATIONAL ARCHIVES OF THE UNITED STATES		1. INTERIM CONTROL NO. <i>(NARA Use Only)</i>
TERMS OF AGREEMENT		
<p>The records described below and on the attached _____ pages are deposited in the National Archives of the United States in accordance with 44 U.S.C., 2107. The transferring agency certifies that any restrictions on the use of these records are in conformance with the requirements of 5 U.S.C., 552.</p> <p>In accordance with 44 U.S.C. 2108, custody of these records becomes the responsibility of the Archivist of the United States at the time of transfer of the records. It is agreed that these records will be administered in accordance with the provisions of 44 U.S.C., Chapter 21, 36 CFR XII, 36 CFR Part 1256, and such other rules and regulations as may be prescribed by the Archivist of the United States (The Archivist). Unless specified and justified below, no restrictions of the use of these records will be imposed other than the general and specific</p>		
2A. AGENCY APPROVAL Signature _____ Date _____		3A. NARA APPROVAL Signature _____ Date _____
2B. NAME, TITLE, MAILING ADDRESS		3B. NAME, TITLE, MAILING ADDRESS

RECORDS INFORMATION

4A. RECORDS SERIES TITLE	
4B. DATE SPAN OF SERIES <i>(Attach any additional description)</i>	
5A. AGENCY OR ESTABLISHMENT	9. PHYSICAL FORMS <input type="checkbox"/> Paper Documents <input type="checkbox"/> Posters <input type="checkbox"/> Paper Publications <input type="checkbox"/> Maps and Charts <input type="checkbox"/> Microfilm/Microfiche <input type="checkbox"/> Arch/Eng Drawings <input type="checkbox"/> Electronic Records <input type="checkbox"/> Motion/Sound/Video <input type="checkbox"/> Photographs <input type="checkbox"/> Other <i>(specify):</i> _____
5B. AGENCY MAJOR SUBDIVISION Special Assistant to the Commission for Congressional Liaison	
5C. AGENCY MINOR SUBDIVISION	
5D. UNIT THAT CREATED RECORDS	10. VOLUME: CONTAINERS: Cu. Mtr.: Cu.Ft.: Number: Type:
5E. AGENCY PERSON WITH WHOM TO CONFER ABOUT THE RECORDS Name: _____ Telephone Number: _____	1. DATE RECORDS ELIGIBLE FOR TRANSFER TO THE ARCHIVES
6. DISPOSITION AUTHORITY:	12. ARE RECORDS FULLY AVAILABLE FOR PUBLIC USE? <input type="checkbox"/> YES <input type="checkbox"/> NO <i>(If no, attach limits on use and justification)</i>
7. IS SECURITY CLASSIFIED INFORMATION PRESENT? <input type="checkbox"/> NO <input type="checkbox"/> YES LEVEL: <input type="checkbox"/> Confidential <input type="checkbox"/> Secret <input type="checkbox"/> Top Secret SPECIAL MARKINGS: <input type="checkbox"/> RD/FRD <input type="checkbox"/> SCI <input type="checkbox"/> NATO INFORMATION STATUS: <input type="checkbox"/> Segregated <input type="checkbox"/> Declassified	13. ARE RECORDS SUBJECT TO THE PRIVACY ACT? <input type="checkbox"/> YES <input type="checkbox"/> NO <i>(If yes, cite Agency System Number and Federal Register volume and page number of most recent notice and attach a copy of this notice.)</i>
8. CURRENT LOCATION OF RECORDS <input type="checkbox"/> Agency (Complete 8A only) <input type="checkbox"/> Federal Records Center (Complete 8B only)	14. ATTACHMENTS <input type="checkbox"/> Agency Manual Except <input type="checkbox"/> Listing of Records Transferred <input type="checkbox"/> Additional Description <input type="checkbox"/> NA Form 14097 or Equivalent <input type="checkbox"/> Privacy Act Notice <input type="checkbox"/> Microform Inspection Report <input type="checkbox"/> Other <i>(specify):</i> _____
8A. ADDRESS:	
8B. FRC ACCESSION NUMBER CONTAINER NUMBERS FRC LOCATION	

NARA PROVIDES

15. SHIPPING INSTRUCTIONS TO AGENCIES/REMARKS REGARDING DISPOSITION		RG
16. RECORDS ACCEPTED INTO THE NATIONAL ARCHIVES OF THE UNITED STATES Signature _____ Date _____		17. NATIONAL ARCHIVES ACCESSION NO.

**PREPARING PERMANENT PAPER RECORDS FOR TRANSFER
TO THE FEDERAL RECORDS CENTER OR THE NATIONAL ARCHIVES**

- Remove rubber bands, paper clips, binder clips, and other metal fasteners. (The use of staples is permitted.)
- Make sure that all necessary enclosures or attachments are included.
- Bulky attachments should be placed in accordion folders.
- Remove content of binders/notebooks and place in a file folder.
- Replace a copy of a document with the original, if available.
- Mend, or reinforce with transparent tape, all torn or frayed papers. (Make copies of fragile pages such as onion-skin or carbons.)
- Remove duplicate copies of documents unless they contain handwritten notes or other record notations.
- Remove envelopes. (Tape any pertinent information from the envelope to a document in the file or a blank piece of paper.)
- Arrange folder in date order – most recent on top.
- Don't overcrowd a folder; divide content into another folder.
- Include an accurate listing of each folder contained in each box.
- Leave room in the box to view content easily.
- Do not include classified information in the box shipment.

If you have any questions, contact the HSI RLO or the ICE RDMU.

PREPARING PERMANENT ELECTRONIC AND EMAIL MESSAGES AND ATTACHMENTS FOR TRANSFER TO THE FRC OR TO NARA

For information relating to the preparation of permanent electronic and email messages for transfer, refer to the NARA Transfer Guidance located in the Records Management Regulations, Policy, and Guidance page on the NARA website. This information can also be accessed by clicking on the following link:

<https://www.archives.gov/records-mgmt/policy/transfer-guidance.html>.

OF-11, REFERENCE REQUEST – FEDERAL RECORDS CENTERS

REFERENCE REQUEST - FEDERAL RECORDS CENTERS		NOTE: Use a separate form for each request.		
SECTION I - TO BE COMPLETED BY REQUESTING AGENCY				
ACCESSION NO.	AGENCY BOX NUMBER	RECORDS CENTER LOCATION NUMBER		
	OF			
DESCRIPTION OF RECORD(S) OR INFORMATION REQUESTED				
<input type="checkbox"/> BOX				
<input type="checkbox"/> FOLDER (include file number and title)				
REMARKS				
NATURE OF SERVICE				
<input type="checkbox"/> FURNISHED COPY OF RECORD(S) ONLY <input type="checkbox"/> PERMANENT WITHDRAWAL <input type="checkbox"/> TEMPORARY LOAN OF RECORD(S) <input type="checkbox"/> REVIEW <input type="checkbox"/> OTHER (Specify)				
SECTION II--FOR USE BY RECORDS CENTER				
<input type="checkbox"/> RECORDS NOT IN CENTER CUSTODY <input type="checkbox"/> RECORDS DESTROYED		REMARKS		
<input type="checkbox"/> WRONG ACCESSION NUMBER - PLEASE RECHECK				
<input type="checkbox"/> WRONG BOX NUMBER - PLEASE RECHECK				
<input type="checkbox"/> WRONG CENTER LOCATION - PLEASE RECHECK				
<input type="checkbox"/> ADDITIONAL INFORMATION REQUIRED TO IDENTIFY RECORDS REQUESTED				
<input type="checkbox"/> MISSING (Neither record(s), information nor charge card found in container(s) specified)				
<input type="checkbox"/> RECORDS PREVIOUSLY CHARGED OUT TO (Name, agency and date):				
	DATE	SERVICE	TIME REQUIRED	SEARCHER'S INITIALS
SECTION III--FOR USE BY RECORDS CENTER				
NAME OF REQUESTER		TELEPHONE NO. <input type="checkbox"/> FTS	DATE	
NAME AND ADDRESS OF AGENCY (In Washington, D.C. area also include STOP number)		RECEIPT OF RECORDS		
		Requester please sign, date and return this form, for file item(s) listed above. ONLY if the block to right has been checked by the Records Center. <input type="checkbox"/>		
		SIGNATURE		DATE
NSN 7540-00-682-6423		PREVIOUS EDITION USABLE		OPTIONAL FORM 11 (Rev. 7-87) NATIONAL ARCHIVES AND RECORDS ADMINISTRATION 36 CFR 1228.162

**HSI RECORDS MANAGEMENT
TRANSFER, RETRIEVAL AND REFILE, AND DESTRUCTION**

I. HSI RECORDS ELIGIBLE FOR DISPOSITION

Eligible for Transfer

1. Permanent records
2. Closed Investigative Case Files
3. CI Files

Ineligible for Transfer

1. Administrative records
2. All media (CDs, thumb drives, disks, etc.)

Eligible for Retrieval and Refile

1. Permanent Records
2. Closed Investigative Case Files
3. CI Files

II. HOW TO TRANSFER HSI CLOSED INVESTIGATIVE CASE FILES TO THE FRC

1. Organize all files by case category then by calendar year for each transfer.
2. Closed Investigative Case files must be in file folders and clearly labeled with the case number.
3. Separate 07Q (Child Exploitation) case category/file and send as a separate transfer.
4. Separate 03 (Munitions) case category/file and send as a separate transfer.
5. Case category files 02, 04, 05, 06, 07(all 07s **except 07Q**),08, 09, 10, 11, 12, 13, 14, 15, 16, 17, 18, 19, 20, 21, 22, 23, 24, 25, 26, 27, 28, 29, 30, 31, 32, 33, 34, 35, 36, and 37 can be sent as a single transfer.
6. **Maximum of 5 calendar years per transfer (e.g., 2005, 2006, 2007, 2008, 2009)** or the transfer request will be returned to the requestor for corrections.
7. Pack the boxes, leaving a two (2)-inch space for ease of accessibility. Please do not overpack the boxes. Please click on www.archives.gov/frc/toolkit.html for additional guidance on packing boxes.
8. Paper records transfers **cannot** contain mixed media (CDs, microfilm, tapes, etc.). Media must be either uploaded into the Investigative Case Management (ICM) under the specific case category number or stored in the office by case file number then by close date. Boxes that contain media will be returned.
9. Please do **NOT** write on boxes until the transfer is approved and you receive the SF- 135.
10. Complete a [Records Transfer Request Form](#). Additional box numbers (e.g., 1 of 100) may be added.

Figure 1: Sample of Completed Closed Case File Records Transfer Request Form Template (Except 07Q and 03)

Records Transfer Request Form

Purpose:
This form must be used for all records transfer requests. The information provided on this form is used by the Records Division to process and submit transfer requests to the Federal Records Centers. All items must be completed unless otherwise noted in these instructions.

Records Liaison Officer (RLO) Full Name:	Current RLO Name Here	Sample
Requestor Full Name:	Your Name Here	
Program Office/Division:	Homeland Security Investigations (HSI)	
Mailing Address where records will be shipped from:	1234 N. Snowflake Lane., Ste. 1234 Anywhere, AZ 88703	
Disposition Authority: <small>Please click on this link to access relevant Records Schedules: https://insight.ice.dhs.gov/met/ipo/frm/Pages/recordsSchedules.aspx</small>	N1-563-08-004	<ul style="list-style-type: none"> Click on link; then Click on DHS Enterprise for Closed Investigative Case Files or other ICE program records or; Click on General Records Schedule (GRS) for administrative records Provide the associated disposition authority (records schedule number) in this space.
Record Series Description:	INVESTIGATIVE CASE FILES ARRANGED BY CASE NUMBER	<ul style="list-style-type: none"> Describe the record series that you are attempting to send. This could be program or administrative records.
Disposition Type:	Temporary	
Disposition Date: <small>Click on this link to access the IPSC Destruct Date Calendar: https://www.nwcc.gov/committees/incident-planning-subcommittee/ipsc-destruct-date-calendar</small>	09/2028	Sample
Start Date of Records in this Transfer:	08/04/2004	<ul style="list-style-type: none"> Maximum of five years total in each transfer.
End Date date of Records in this Transfer:	08/28/2008	
Number of Boxes in this Transfer:	2	

Box List				
Box Number	Close Date	File Title	Description of Records	Litigation Hold
1 of 4	5/5/2004	(b) (7)(E)		No
1 of 4	5/6/2004			No
1 of 4	5/13/2004			No
1 of 4	5/8/2004			No
1 of 4	9/15/2006			No
1 of 4	9/2/2006			No
1 of 4	9/13/2006			No
1 of 4	9/23/2006			No
1 of 4	9/16/2007			No
1 of 4	9/21/2005			No
1 of 4	9/22/2005			No
1 of 4	9/23/2005			No
1 of 4	11/23/200			No
1 of 4	11/15/200			No
1 of 4	11/15/200			No
2 of 4	3/15/2008			No
2 of 4	3/15/2006			No

10a. **Column 1: *Box Number*** - this column should contain the number of boxes in the transfer (e.g., Box 1 of 28). Additional box numbers (e.g., 1 of 100) may be added.

10b. **Column 2: *Close date*** - this column should contain the close date (by calendar year) of the case files but should not exceed 5 years. More than 5 years will be returned to the requestor for correction.

10c. **Column 3: *File Title*** - in this column, list the cases contained in the transfer. (Reminder: 07Q and 03 case files must be transferred separately from other case files. See #3, #4, and #5 above.)

10d. **Column 4: *Description of Records*** - this column should contain the following: Investigative Case File- Case Title.

10e. **Column 5: *Litigation Hold*** - please answer to the best of your knowledge “yes” or “no” if there are any litigation holds on the records. Check with the Office of the Principal Legal Advisor (OPLA) if you have any questions regarding this column.

Figure 1A: Sample of Completed Closed Case File Records Transfer Request Form Template (07Q Cases)

Box List				
Box Number	Close Date	File Title	Description of Records	Litigation Hold
1 of 4	5/5/2004	(b) (7) (E)		No
1 of 4	5/6/2004			No
1 of 4	5/18/2004			No
1 of 4	5/3/2004			No
1 of 4	9/16/2006			No
1 of 4	9/2/2006			No
1 of 4	9/18/2006			No
1 of 4	9/23/2006			No
1 of 4	9/16/2007			No
1 of 4	9/21/2006			No
1 of 4	9/22/2006			No
1 of 4	9/23/2006			No
1 of 4	11/23/2007			No
1 of 4	11/19/2005			No
1 of 4	11/15/2005			No
2 of 4	3/15/2008			No
2 of 4	3/16/2006			No

Figure 1B: Sample of Completed Closed Case File Records Transfer Request Form Template (03 Cases)

Box List				
Box Number	Close Date	File Title	Description of Records	Litigation Hold
1 of 4	5/5/2004	(b) (7)(E)		No
1 of 4	5/6/2004			No
1 of 4	5/18/2004			No
1 of 4	5/8/2004			No
1 of 4	9/16/2005			No
1 of 4	9/2/2006			No
1 of 4	9/18/2006			No
1 of 4	9/23/2006			No
1 of 4	9/16/2007			No
1 of 4	9/21/2006			No
1 of 4	9/22/2006			No
1 of 4	9/23/2006			No
1 of 4	11/23/2007			No
1 of 4	11/19/2005			No
1 of 4	11/15/2005			No
2 of 4	3/15/2008			No
2 of 4	3/16/2006			No

11. Do **not** add additional worksheets to the Excel workbook to signify additional box listings. Create a new file in Excel from the attached template. See Figure 1C below.

Figure 1C:

24	BOX 03 OF 03	2/15/2002	(b) (7)(E)
25	BOX 03 OF 03	4/12/2000	
26	BOX 03 OF 03	5/19/2002	
27	BOX 03 OF 03	2/20/2001	
28	BOX 03 OF 03	2/15/2001	
29			

Please do not add additional sheets here. Create a new file/workbook.

12. Email the completed [Records Transfer Request Form](#) to the HSI Records Liaison Officer (RLO) at **(b) (7)(E)** and be sure to include the address of the originating office in your email.
13. The RLO will approve the Records Transfer Request Form and then forward it to the ICE Records and Data Management Unit (RDMU) at **(b) (7)(E)** for final approval. Please allow 6-10 business days for approval.
14. Once approved by the ICE RDMU and the Federal Records Center, you will be emailed a copy of the SF-135. (Note: Records may not be stored at the same FRC each time.)
15. Place a copy of the approved SF-135 and Records Transfer Request Form inside each box.
16. Prepare boxes for transfer. Write the transfer number and the box number on each box using a black permanent marker.
17. Contact the FRC and arrange for shipment and pallet delivery (if needed). The FRC location can be found on the approved SF-135.
18. Email the shipping date to **(b) (7)(E)** with the date the items will be transferred to the FRC. Transfers **must** be sent within 90 days of approval.
19. Please visit www.archives.gov/frc/toolkit.html to answer any additional shipping questions.
20. Retain a copy of the SF-135 and the Records Transfer Request Form for your files and future retrieval and destruction purposes.

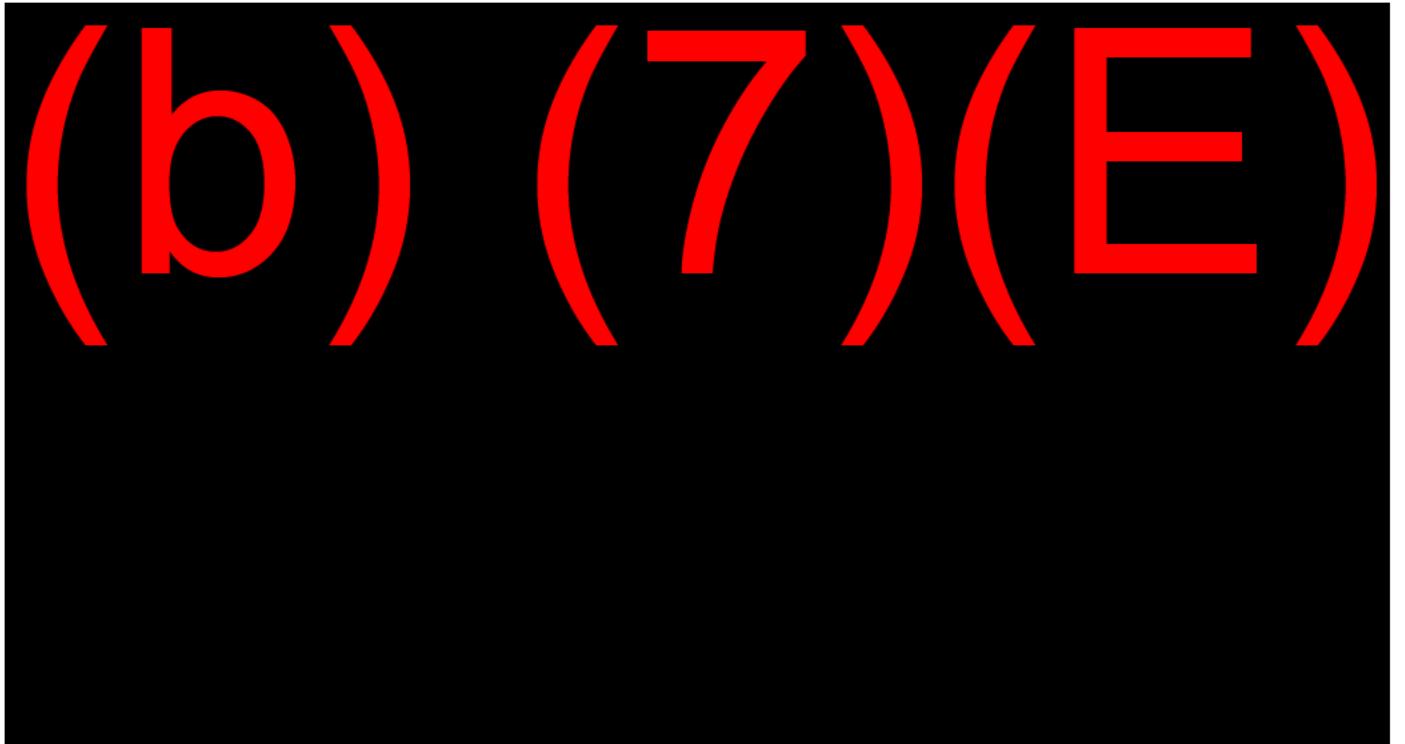
Figure 1D: Sample of Approved SF-135 Form (Approval from ICE RDMU and the FRC to Transfer Records)

RECORDS TRANSMITTAL AND RECEIPT		Complete and send original and two copies of this form to the appropriate Federal Records Center for approval prior to shipment of records.		Page 1						
1. TO (Complete the address for the appropriate Records Center serving your area) FRC - Riverside Facility - 01 23123 CAJALCO ROAD PERRIS, CA, 92570-7298			5. FROM (Enter the name and complete mailing address of the office retaining the records. The signed receipt of this form will be sent to this address.) Rectangular Slip Customer Reference Number: (b)(6) (b)(7)(C) Immigration & Customs Enforcement 567, Bureau of Immigration and Customs Enforcement IMMIGRATION & CUSTOMS ENFORCEMENT 7400 N. ORACLE ROAD, (b) (7)(E) TUCSON, AZ 85704							
As shown in FPMR 101-11.410-1		2. AGENCY TRANSFER AUTHORIZATION TRANSFERRING AGENCY OFFICIAL (Signature and Title) (b)(6) (b)(7)(C)		DATE 11/09/2018						
3. AGENCY CONTACT		TRANSFERRING AGENCY LIAISON OFFICIAL (Name, Office and Telephone No.) (b)(6) (b)(7)(C) Immigration & Customs Enforcement Phone: (b)(6) (b)(7)(C)								
4. RECORDS CENTER RECEIPT		RECORDS RECEIVED BY (Signature and Title) FRC - Riverside		DATE						
RECORDS DATA										
RS (a)	FY (b)	NUMBER (c)	VOLUME (in ft.) (d)	No. of Containers (e)	SERIES DESCRIPTION (with inclusive dates of records) (f)	RESTRICTION (g)	DISPOSITION AUTHORITY (h)	DISPOSITION DATE (i)	LOCATION (j)	CONTAINER TYPE (k)
567	2019	0021	5	5	* 00 - INVESTIGATIVE CASE FILES Inclusive Start Date: 06/01/2008 Inclusive End Date: 08/28/2008	Agency Personnel Security Classification: Unclassified Security Level: Std Records-Std Storage	USCS/INV7B Disposition Code: Temporary Disposition Hold : No Hold Disposition Citation: N1-36-86-1-161.3 inv 7b	10/01/2028	Facility - 01	Standard

NSN 7540-00-634-4093

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Prescribed by NARA
36 CFR 1226.152



(b) (7) (E)

5. Email the completed [Records Transfer Request Form](#) to the HSI Records Liaison Officer (RLO) at (b) (7)(E) and include the address of the originating office.
6. The RLO will approve the Records Transfer Request Form and then forward it to (b) (7)(E) (b) (7)(E) for final approval. Please allow 6-10 business days for approval.
7. Once approved by ICE RDMU and the Federal Records Center, you will be emailed a copy of the SF-135. (Note: Records may not be stored at the same FRC each time.)
8. Place a copy of the approved SF-135 and the Records Transfer Request Form inside each box.
9. Prepare boxes for transfer. Write the transfer number and the box number on each box using a black permanent marker.
10. Contact the FRC and arrange for shipment and pallet delivery (if needed). The FRC location can be found on the approved SF-135.
11. Email the shipping date to the (b) (7)(E) with the date the items will be transferred to the FRC. Transfers **must** be sent within 90 days of approval.
12. Please visit www.archives.gov/frc/toolkit.html to answer any additional shipping questions.
13. Retain a copy of the SF-135 and [Records Transfer Request Form](#) for your files, future retrieval, and destruction purposes.

Figure 2A: Sample of Approved SF-135 Form (Approval from the ICE RDMU and the FRC to Transfer Records)

RECORDS TRANSMITTAL AND RECEIPT		Complete and send original and two copies of this form to the appropriate Federal Records Center for approval prior to shipment of records.		Page 1						
1. TO (Complete the address for the appropriate Records Center serving your area) FRC - Riverside Facility - 01 23123 CAJALCO ROAD PERRIS, CA, 92570-7298		5. FROM (Enter the name and complete mailing address of the office retiring the records. The signed receipt of this form will be sent to this address) Customer Reference Number: (b)(6) (b)(7)(C) Immigration & Customs Enforcement 567, Bureau of Immigration and Customs Enforcement IMMIGRATION & CUSTOMS ENFORCEMENT 7400 N. ORACLE ROAD, (b)(7)(E) TUCSON, AZ 85704		Regular Sign						
As shown in FPMR 101-11.410-1		2. AGENCY TRANSFER AUTHORIZATION (TRANSFERRING AGENCY OFFICIAL (Signature and Title) (b)(6) (b)(7)(C)		DATE 11/09/2018						
3. AGENCY CONTACT		TRANSFERRING AGENCY LIAISON OFFICIAL (Name, Office and Telephone No.) (b)(6) (b)(7)(C) Immigration & Customs Enforcement Phone (b)(6) (b)(7)(C)								
4. RECORDS CENTER RECEIPT		RECORDS RECEIVED BY (Signature and Title) FRC - Riverside		DATE						
RECORDS DATA										
TRANSFER NUMBER	VOLUME	No. Of	SERIES DESCRIPTION	RESTRICTION	DISPOSITION AUTHORITY	DISPOSITION DATE	LOCATION	CONTAINER TYPE		
RG (a) 567	FY (b) 2019	NUMBER (c) 0021	(d) 5	(e) 5	(f) ^00 - INVESTIGATIVE CASE FILES	(g) Agency Personnel	(h) USCS/INV7B	(i) 10/01/2028	(j) Facility - 01	(k) Standard
			Inclusive Start Date: 06/01/2008	Security Classification: Unclassified	Disposition Code: Temporary Disposition Hold: No Hold					
			Inclusive End Date: 08/28/2008	Security Level: Std Records-Std Storage	Disposition Citation: NI-36-86-1-151.3 inv 7b					

NSN 7540-00-634-4093

135-107

Standard Form 135 (Rev. 7-85)
Prescribed by NARA
36 CFR 1226.152

IV. HOW TO REQUEST THE DESTRUCTION OF HSI RECORDS (CLOSED INVESTIGATIVE CASE FILES, PROGRAM RECORDS, AND ADMINISTRATIVE RECORDS)

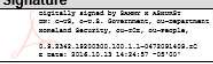
The requestor should complete separate transfer requests for closed investigative case files, program records, and administrative records. See the instructions below on how to request the destruction of these records.

1. Separate records by series.
2. Review [Legacy Records Schedules](#) or [General Records Schedules \(GRS\)](#) to verify the retention.
3. Fill out [ICE Form 8-002](#) per the instructions on this form and have your Special Agent in Charge, Deputy Special Agent in Charge, or Deputy Assistant Director electronically approve/sign # 18. Do **NOT** sign #3, and #3a; those areas are reserved for the RLO and the ICE RDMU.

Figure 3: Sample of Completed ICE Form 8-002

DEPARTMENT OF HOMELAND SECURITY
U.S. Immigration and Customs Enforcement

RECORDS DISPOSITION FORM

1. Requester/Organization/Phone Number Homeland Security Investigations London- Joe Sample (202) 555-1212							2. Records Schedule/Disposition Item See GRS descriptions below			
3. Records Liaison Officer (RLO) Signature (Requestor must have the RLO review/approve/submit this request.)							4. Transfer # (if applicable) N/A		5. Request Date 09/30/2019	
3a. Records Officer (RO) Signature							5a. Description 1. Motor Vehicle Corr Rec- GRS 5.4, Item 10 (3yrs) 2. Budget Execution Rec- GRS 1.3 item 20 (6yrs) 3. Procurement of Goods and Services Rec- GRS 1.1, Item 10 (6yrs)			
<input checked="" type="checkbox"/> 6. Records are stored within the agency				<input type="checkbox"/> 7. Records are stored at Federal Records Center			<input type="checkbox"/> 8. Transfer permanent records to NARA			
9. Records Series/Description/FEA Code		10. Format	11. Volume	12. Location	13. Start Date	14. End Date	15. Close Date	16. Destruction/Transfer Date		17. Destruction Method (if applicable)
MV Corresp Records		Paper	1 cu ft	London	07/14/2008	07/15/2009	07/15/2009	08/01/2012		Shred
Budget Exec Records		Paper	8 cu ft	London	06/14/2011	06/18/2012	06/18/2012	07/01/2018		Shred
Proc of Goods Serv		Paper	5 cu ft	London	04/19/2007	04/22/2008	04/22/2008	05/01/2014		Burn
To be completed by		Print Name		Signature			Date		Certification	
18. DSAC, or DAD, or above									I certify that to the best of my knowledge, these records are not subject to any current or pending audit, litigation, subpoena, or other legal demand for their retention or disclosure, and they are being destroyed or transferred in accordance with the applicable, approved records schedule.	
21. Destroyed by (if applicable)									I certify that these records were destroyed in compliance with ICE requirements. I understand that the sensitive or confidential records must be destroyed by shredding, burning or other definitive means.	
22. Witnessed by (if applicable)										

A records box list must be submitted with this request. Please send the completed form and box list by clicking the email button below.

ICE Form 8-002 (06/15) Page 1 of 3

4. Prepare a box listing (inventory) using only the second page of the Records Transfer Request Form. Additional box numbers may be added.

Figure 4: Sample of Completed Records Transfer Request Form Template for HSI Administrative Records (Destruction)

Box List				
Box Number	Close Date	File Title	Description of Records	Litigation Hold
1 of 4	5/5/2004	Tax Exemption Files	GRS 1.1 item 10	No
1 of 4	5/6/2004	Tax Exemption Files	GRS 1.1 item 10	No
1 of 4	5/18/2004	Tax Exemption Files	GRS 1.1 item 10	No
1 of 4	5/8/2004	Tax Exemption Files	GRS 1.1 item 10	No
1 of 4	9/16/2006	Tax Exemption Files	GRS 1.1 item 10	No
1 of 4	9/2/2006	Tax Exemption Files	GRS 1.1 item 10	No
1 of 4	9/18/2006	Tax Exemption Files	GRS 1.1 item 10	No
2 of 4	9/23/2006	Facility, Space, Equipment, Inspection, Maintenance and Service Records	GRS 5.4 item 70	No
2 of 4	9/16/2007	Facility, Space, Equipment, Inspection, Maintenance and Service Records	GRS 5.4 item 70	No
3 of 4	9/21/2006	Facility, Space, Equipment, Inspection, Maintenance and Service Records	GRS 5.4 item 70	No
3 of 4	9/22/2006	Facility, Space, Equipment, Inspection, Maintenance and Service Records	GRS 5.4 item 70	No
3 of 4	9/23/2006	Facility, Space, Equipment, Inspection, Maintenance and Service Records	GRS 5.4 item 70	No
4 of 4	11/23/2007	Facility, Space, Equipment, Inspection, Maintenance and Service Records	GRS 5.4 item 70	No
4 of 4	11/19/2005	Facility, Space, Equipment, Inspection, Maintenance and Service Records	GRS 5.4 item 70	No
4 of 4	11/15/2005	Facility, Space, Equipment, Inspection, Maintenance and Service Records	GRS 5.4 item 70	No

Figure 4A: Sample of Completed 8-002 Form for HSI Closed Investigative Case Files (Destruction)

U.S. Immigration and Customs Enforcement
RECORDS DISPOSITION FORM

1. Requester/Organization/Phone Number John Doe HSI Investigations New York						2. Records Schedule/Disposition Item Inv. Case Files-161/3 INV 7	
3. Records Liaison Officer (RLO) Signature (Requestor must have the RLO review/approve/submit this request.) [Signature]						4. Transfer # (if applicable) N/A	
3a. Records Officer (RO) Signature [Signature]						5. Request Date 01/03/2018	
<input type="checkbox"/> 6. Records are stored within the agency						<input type="checkbox"/> 7. Records are stored at Federal Records Center	
<input type="checkbox"/> 8. Transfer permanent records to NARA						5a. Description Investigative Case Files- Transfer to FRC after 10 years on-site. Destroy when 20 years old.	
9. Records Series/Description/FEA Code	10. Format	11. Volume	12. Location	13. Start Date	14. End Date	15. Close Date	16. Destruct/Transfer Date
Investigative Case Files	Paper	8 cubic feet	SAC New York	08/08/1996	08/12/1996	08/08/1996	08/08/2016
Investigative Case Files	Paper	8 cubic feet	SAC New York	01/08/1991	04/07/1992	06/07/1993	06/07/2013
To be completed by	Print Name	Signature		Date	Certification		
18. DFOD, DSAC, or DAD, or above	[Signature]	[Signature]		[Date]	I certify that to the best of my knowledge, these records are not subject to any current or pending audit, litigation, subpoena, or other legal demand for their retention or disclosure, and they are being destroyed or transferred in accordance with the applicable, approved records schedule.		
19. Destroyed by (if applicable)		[Signature]			I certify that these records were destroyed in compliance with ICE requirements. I understand that the sensitive or confidential records must be destroyed by shredding, burning or other definitive means.		
20. Witnessed by (if applicable)		[Signature]					

A records box list must be submitted with this request. Please send the completed form and box list by clicking the email button below.

RLO Signature Only!
Please Do Not Sign

Records Officer Signature Only!
Please Do Not Sign

SAC/DSAC or Attache' Only
Print, Sign & Date Here

Figure 4B: Sample of Completed Records Transfer Request Form Template for HSI Closed Investigative Case Files (Destruction)

Box List				
Box Number	Close Date	File Title	Description of Records	Litigation Hold
1 of 3	3/18/1996	(b) (7)(E)		No
1 of 3	3/19/1996			No
1 of 3	3/20/1996			No
1 of 3	3/21/1996			No
1 of 3	3/22/1996			No
1 of 3	3/23/1996			No
1 of 3	3/24/1996			No
2 of 3	11/6/1994			No
2 of 3	11/7/1994			No
2 of 3	11/8/1994			No
2 of 3	11/9/1994			No
2 of 3	11/10/1994			No
2 of 3	11/11/1994			No
3 of 3	1/15/1995			No
3 of 3	1/16/1995			No
3 of 3	1/17/1995			No
3 of 3	1/18/1995			No

5. Email the completed ICE Form 8-002 and the Records Transfer Request Form to the RLO at **(b) (7)(E)**

6. The RLO will approve the Records Transfer Request Form and then forward it to ICE RDMU Management for approval.

7. Once approved, ICE RDMU will send you the approved signed copy via email. Processing and approval can take approximately 10 business days. Please follow-up with **(b) (7)(E)** if the timeframe exceeds 15 days.

8. Destroy the records by the approved destruction method specified on ICE Form 8-002.

9. After destruction, please sign #19 (destroyed by) and then obtain a witness in your office to sign #20 (witnessed by) of the form.

10. Email the completed form to (b) (7)(E) and (b) (7)(E)
(b) (7)(E)

11. You are required to retain a copy for your files.

V. HOW TO RETRIEVE HSI RECORDS FROM THE FRC

HSI records that have been sent to the FRC may need to be retrieved for current use. The requesting HSI office is responsible for the cost associated with the retrieval and return of records to the FRC. To request the retrieval of HSI records located at an FRC:

1. Access the [OF-11](#) Form.
2. Complete Sections 1 and 3 of [OF-11](#) with the following information using the copy of the approved SF-135 that should be on file in your office:
 - a. Accession Number
 - b. Agency Box Number
 - c. Records Center Location
 - d. Specify whether you would like the entire box(es) or a specific folder(s) in the box.
 - e. Remarks Section - Place your office FedEx or UPS account number in this area. (Note: If this is a rush order, specify in the “Remarks” area (an additional charge may apply.)
 - f. Complete all of section 3, including your signature and the date.

Figure 5: Sample of Completed OF-11- Records Request Retrieval Form

REFERENCE REQUESTS - FEDERAL RECORDS CENTERS OF-11		NOTE: Use a separate form for each request.	
SECTION I - TO BE COMPLETED BY REQUESTING AGENCY			
ACCESSION NO. 158-76-7845	AGENCY BOX NUMBER 2 OF 3	RECORDS CENTER LOCATION 125-12-24	
DESCRIPTION OF RECORD(S) OR INFORMATION REQUESTED			
<input checked="" type="checkbox"/> BOX			
<input type="checkbox"/> FOLDER (include file number and title)			
REMARKS			
NATURE OF SERVICE FedEx Account Number- 123456789			
<input type="checkbox"/> FURNISH COPY OF RECORD (S) ONLY	<input type="checkbox"/> PERMANENT WITHDRAWAL	<input checked="" type="checkbox"/> TEMPORARY LOAN OF RECORD(S)	
<input type="checkbox"/> REVIEW	<input type="checkbox"/> OTHER (Specify)		
SECTION II - FOR USE BY RECORDS CENTER			
REMARKS			
<input type="checkbox"/> RECORDS NOT IN CENTER CUSTODY			
<input type="checkbox"/> WRONG ACCESSION NUMBER-PLEASE RECHECK			
<input type="checkbox"/> WRONG BOX NUMBER-PLEASE RECHECK			
<input type="checkbox"/> WRONG CENTER LOCATION-PLEASE RECHECK			
<input type="checkbox"/> ADDITIONAL INFORMATION REQUIRED TO IDENTIFY RECORDS REQUESTED			
<input type="checkbox"/> MISSING (Neither record(s), information nor charge card found in container(s) specified)			
<input type="checkbox"/> RECORDS DESTROYED			
<input type="checkbox"/> RECORDS PREVIOUSLY CHARGED OUT TO (Name, agency and date):			
	DATE	SERVICE	SEARCHER'S INITIALS
SECTION III - TO BE COMPLETED BY REQUESTING AGENCY			
NAME OF REQUESTOR Jane Doe	TELEPHONE NO. (202)555-1212	DATE 1/1/17	RECEIPT OF RECORDS
NAME AND ADDRESS OF AGENCY Jane Doe 124 Brown St. 2 nd Floor Austin, TX 12345	Requestor please sign, date and return this form, for file item(s) listed above, ONLY if the block to the right has been checked by the Records Center. <input type="checkbox"/>		

3. E-mail completed OF-11 to the RLO at **(b) (7)(E)**
4. The RLO will forward it to **(b) (7)(E)** for approval and processing.
5. Once approved **(b) (7)(E)** will send it to the FRC for processing and notify you and **(b) (7)(E)** via email of the expected time of arrival of the records requested.
6. Retain a copy for your files.

VI. HOW TO REFILE HSI RETRIEVED RECORDS BACK TO THE FRC

You should return retrieved record(s) to the FRC when they are no longer needed.

1. Retrieve the retained copy of OF-11 and SF-135.
2. Make a copy of OF-11.
3. Write “REFILE” on the copy version in the “Remarks” area and place it in the box or envelope.
4. Return the file to the [FRC location](#) located on SF-135.
5. The FRC will provide notification once the record(s) have been received.
6. Retain a copy for your files.

ACRONYMS

AOR	Area of Responsibility
ARCIS	Archives and Records Center Information System
C.F.R.	Code of Federal Regulations
(b) (7)(E)	
DHS	Department of Homeland Security
ERA	Electronic Records Archives
FOIA	Freedom of Information Act
FOUO	For Official Use Only
FRC	Federal Records Center
GRS	General Records Schedule
HQ	Headquarters
HSI	Homeland Security Investigations
ICE	U.S. Immigration and Customs Enforcement
IDU	Information Disclosure Unit
NARA	National Archives and Records Administration
OF	Optional Form
PALMS	Performance and Learning Management System
PTA	Privacy Threshold Analysis
RC	Records Custodian
RDMU	Records and Data Management Unit
RLO	Records Liaison Officer
RTRF	Records Transfer and Request Form
SF	Standard Form
SOP	Standard Operating Procedure
U.S.C.	United States Code