



Homeland Security Investigations

Significant Case Report Handbook

HSI HB 22-01 / January 3, 2022



U.S. Immigration
and Customs
Enforcement

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Foreword

The Significant Case Report Handbook provides a uniform source of national procedures, responsibilities, guidelines, and controls to be followed by U.S. Immigration and Customs Enforcement (ICE) Homeland Security Investigations (HSI) Special Agents when submitting Significant Case Reports. The use of this Handbook will help to ensure uniformity and operational consistency within HSI. Oversight for the Significant Case Report Program resides with the Assistant Director, Domestic Operations Division.

This Handbook supersedes HSI HB 18-04, Significant Case Report Handbook, dated August 16, 2018.

The Significant Case Report Handbook 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 Handbook is For Official Use Only (FOUO) – Law Enforcement Sensitive. It is to be controlled, stored, handled, transmitted, distributed, and disposed of in accordance with the Department of Homeland Security policy relating to FOUO information and the ICE Directive on Safeguarding Law Enforcement Sensitive Information. This information shall not be distributed beyond the original addressees without prior authorization of the originator. If disclosure of this Handbook or any portion of it is demanded in any judicial or administrative proceeding, the HSI Information Disclosure Unit, as well as the appropriate ICE Counsel and/or U.S. Attorney, are to be consulted so that appropriate measures can be taken to invoke privileges against disclosure. This Handbook 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 privilege. Any other requests for disclosure of this Handbook or information contained herein should be referred to the Information Disclosure Unit.

The Domestic Operations Division is responsible for the content and issuance of this Handbook. All suggested changes or updates to this Handbook should be submitted to the Domestic Operations Division.



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January 3, 2022

Date

SIGNIFICANT CASE REPORT HANDBOOK

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SIGNIFICANT CASE REPORT HANDBOOK

Chapter 1. PURPOSE AND SCOPE

The Significant Case Report Handbook provides a uniform source of national procedures, responsibilities, guidelines, and controls for U.S. Immigration and Customs Enforcement (ICE) Homeland Security Investigations (HSI) Special Agents (SAs) when submitting Significant Case Reports (SCRs). This Handbook is designed to ensure that the SCR process is uniform and operationally consistent so that the measures derived from the process are valid and reliable. The SCR process yields results that HSI reports publicly, demonstrating to its stakeholders (e.g., the Department of Homeland Security (DHS), Congress, and the public) that HSI is meeting its mission to disrupt and dismantle transnational criminal organizations (TCOs).

This Handbook includes step-by-step instructions that will help guide HSI SAs and their supervisors through the process of nominating, reviewing, modifying, and approving an investigation for SCR designation and the required reports associated with an SCR designation.

Chapter 2. DEFINITIONS

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

(b) (7) (E)

(b) (7) (E)

2.4 Initial Significant Investigation

(b) (7) (E)

2.5 Significant Case

(b) (7) (E)

2.6 Significant Case Designation

(b) (7) (E)

2.7 Significant Case Report

(b) (7) (E)

2.8 Significant Case Report Worksheet

(b) (7) (E)

2.9 Significant Case Review Panel

A committee that meets on a monthly basis, is chaired by a Unit Chief from Domestic Operations, and is composed of members from HSI HQ Divisions. The Panel reviews and recommends to the AD, Domestic Operations, the approval or disapproval of (1) all initial significant investigation, disruption, and dismantlement SCRs and (2) any changes to SCR categories or validation criteria.

2.10 Transnational Criminal Organization

A self-perpetuating association of individuals who operate across international borders for the purpose of obtaining power, influence, monetary and/or commercial gains, wholly or in part by illegal means. TCOs accomplish this while protecting their activities through a pattern of corruption and/or violence, or while protecting their illegal activities through a structure that exploits international commerce. There is no single structure under which TCOs operate; they vary from hierarchies to clans, networks, and cells, and may evolve to other structures.

Chapter 3. AUTHORITIES/REFERENCES

The SCR process was developed as a result of the Government Performance and Results Act (GPRA) Modernization Act of 2010 which requires DHS to implement and provide results-oriented, output-based performance measures. The SCR process provides output-based measures that illustrate to Congress and the American public the extraordinary work accomplished by HSI. These measures are used for multiple purposes, including budget justifications and resource allocations. HSI's GPRA measures are based on the number of significant, high-risk transnational criminal investigations that result in a disruption or dismantlement. Each of the investigative categories may also be reported individually.

- A. Government Performance and Results Act Modernization Act of 2010 (Public Law 111-352), enacted January 4, 2011.
- B. Executive Order (EO) 13773, Enforcing Federal Law with Respect to Transnational Criminal Organizations and Preventing International Trafficking, dated February 9, 2017.
- C. EO 13776, Task Force on Crime Reduction and Public Safety, dated February 9, 2017.

Chapter 4. RESPONSIBILITIES

4.1 Executive Associate Director, Homeland Security Investigations

The Executive Associate Director of HSI has the overall responsibility for the oversight and implementation of the policies and procedures set forth in this Handbook.

4.2 Assistant Director, Domestic Operations

The AD, Domestic Operations, is responsible for the final approval or disapproval of initial significant investigation, disruption, and dismantlement SCRs after reviewing the recommendations of the SCR Panel (*see* Chapter 8). Discontinuances do not require approval from the AD, Domestic Operations.

4.3 Assistant Director, Office of Intelligence

The AD, Office of Intelligence, or delegate, serves as an SCR panel member and is responsible for providing for panel review all Reports of Analysis (ROAs) referenced in SCR submissions.

4.4 Operations Chiefs and Operations Managers

Operations Chiefs and Operations Managers at HQ are responsible for the informal review of SCR worksheets and for providing feedback on their contents prior to their formal submission. Operations Chiefs and Operations Managers are also responsible for participating in the SCR Panel when so assigned.

4.5 Special Agents in Charge and Attachés

SACs and Attachés are responsible for implementing the policies and procedures set forth in this Handbook within their respective areas of responsibility. SACs and Attachés are responsible for reviewing and approving initial significant investigation, disruption, dismantlement, and discontinuance SCR worksheets and SCRs that are submitted by their field supervisors and SAs.

4.6 Field Supervisors

Field supervisors (Resident Agents in Charge, Group Supervisors, and Assistant Attachés) are responsible for identifying, reviewing, and approving initial significant investigation, disruption, dismantlement, and discontinuance SCR worksheets and SCRs prepared by their subordinates to ensure that the submissions are complete and meet all necessary criteria for SCR status in accordance with this Handbook. When field supervisors concur with an SCR worksheet, they shall forward the package to their SAC or Attaché for approval. When a field supervisor approves an initial significant investigation, disruption, dismantlement, or discontinuance SCR in ICM, ICM will electronically route the SCR to the appropriate SAC or Attaché for approval.

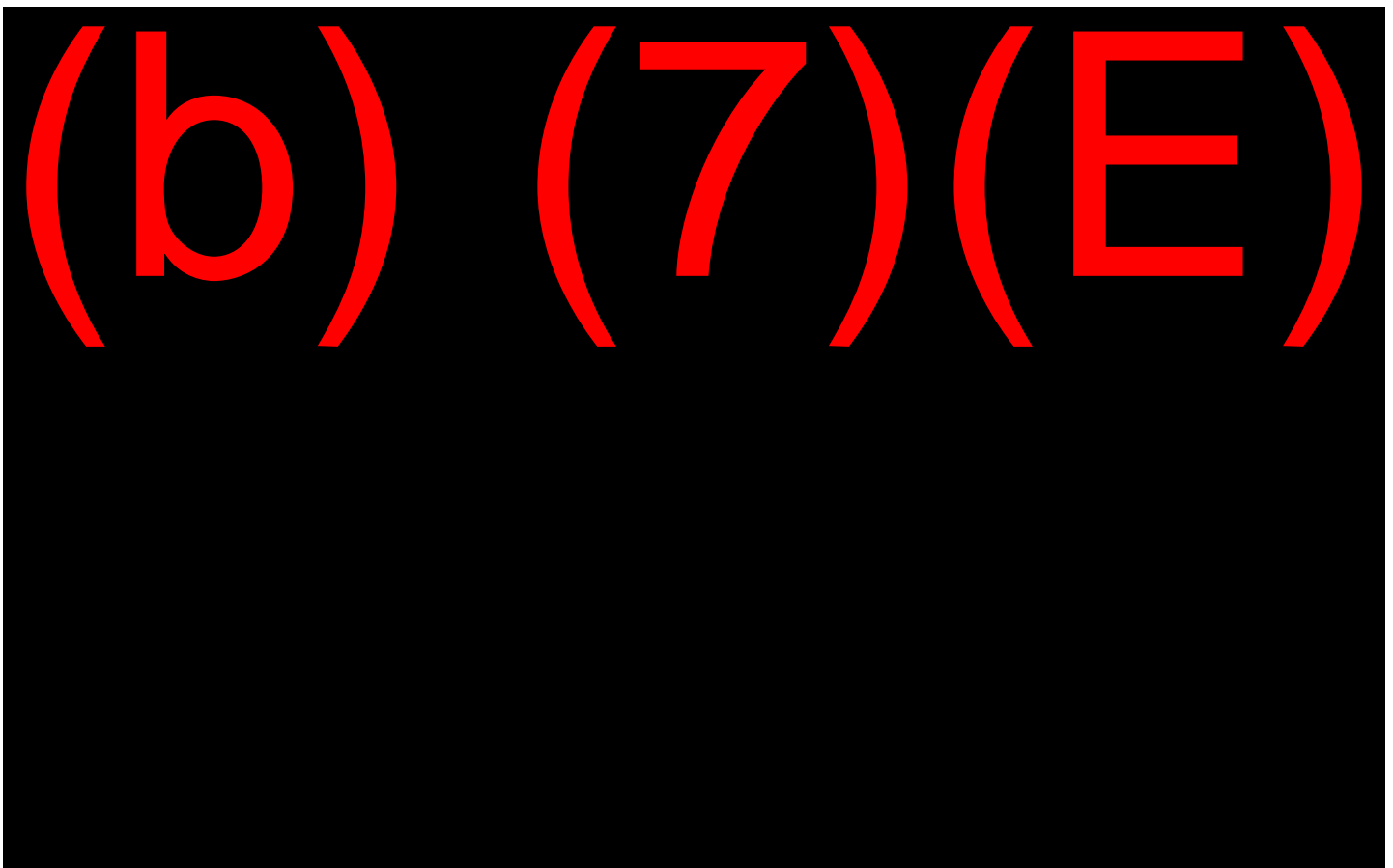
4.7 Special Agents

SAs are responsible for complying with the provisions of this Handbook. Specifically, SAs are responsible for identifying investigations which meet the criteria for submission as an initial significant investigation (*see* Appendix A for categories and criteria), completing and submitting the SCR worksheet for review and approval by the SAC or Attaché and by the AD, Domestic Operations, or the AD, International Operations, as appropriate, and entering the information from the approved worksheet into ICM to create the SCR. SAs are also responsible for submitting for review and approval disruption, dismantlement, and discontinuance worksheets and SCRs summarizing those activities in SC-designated investigations.

4.8 Criminal Analysts

Criminal Analysts are responsible for working in partnership with SAs to produce ROAs that fully describe criminal networks, organizations, groups, cells, and conspiracies. These ROAs greatly assist SAs in describing the significance of the criminals and criminal organization they are investigating. Whenever possible, SAs should reference ROAs in SCR submissions.

Chapter 5. TYPES OF SIGNIFICANT CASE REPORTS



(b) (7) (E)

(b) (7) (E)

6.2 Preparing the Initial Significant Case Report Worksheet

(b) (7) (E)

(b) (7) (E)

(b) (7) (E)

6.2.1 Completing All Sections of the Worksheet

(b) (7) (E)

6.2.2 Obtaining Local Worksheet Review and Local Approvals

(b) (7) (E)

6.2.3 Obtaining Headquarters Worksheet Review and Approval

(b) (7) (E)

6.3 (b) (7)(E)

(b) (7)(E)

6.3.1 Submitting Initial Significant Case Report

(b) (7)(E)

6.3.2 Review and Approval by the Supervisor

(b) (7)(E)

(b) (7)(E)

6.5 Approval or Disapproval of Significant Case Designation

(b) (7)(E)

Chapter 7. SUBMITTING A DISRUPTION, DISMANTLEMENT, OR DISCONTINUANCE REPORT

(b) (7)(E)

7.1 Identifying (b) (7)(E) Activity

The process for submitting a (b) (7)(E) report begins when an SA identifies an enforcement action that meets the criteria and has documented that activity in one or more ROIs for an investigation that has been approved by HQ for SC designation.

7.2 Preparing a (b) (7)(E) Worksheet

Once SAs have documented one or more actions in ROIs that meet the criteria for a (b) (7)(E) they must complete an SCR worksheet (*see* Appendix C; also available on the SCR page (b) (7)(E)) summarizing those actions.

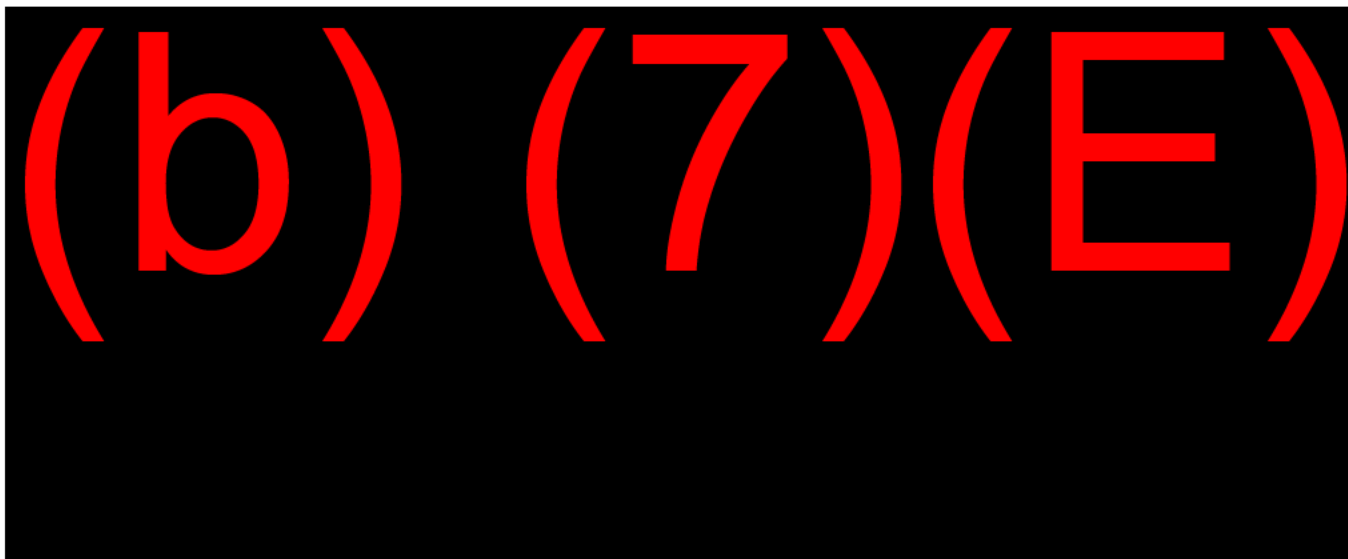
The following Table provides general guidance to help SAs avoid the most common errors found in SCR worksheet submissions:

(b) (7) (E)

7.2.2 Obtaining Local Worksheet Review and Local Approvals

SAs submit the SCR worksheet to their first-line supervisor for review. If the supervisors approve the SCR worksheet, they submit it, via their chain of command, to the SAC or Attaché (or delegated approver) for review. If disapproved at either level, the worksheet is returned to the SA who submitted it, with a reason for disapproval.

7.2.3 Obtaining Headquarters Worksheet Review and Approvals



7.3 (b) (7)(E) Reports in ICM

Once a (b) (7)(E) SCR worksheet receives HQ approval, the SA will complete the (b) (7)(E) SCR in ICM and submit it for HQ review and approval.

7.3.1 Submitting (b) (7)(E)

Upon receipt of a HQ-approved worksheet, the SA may complete the (b) (7)(E) report in ICM under the correct subcategory threshold. SAs should not type over an existing SCR but must create a new one. The title should be descriptive of the enforcement action. The justification section of the approved (b) (7)(E) SCR worksheet should be copied into the SCR narrative section of the ICM SCR submission. This will contribute to the decision on whether the submission is approved. Once the SA submits the SCR, ICM will route it to the SA's field supervisor.

The SA may make corrections or updates to a (b) (7)(E) SCR that is still in "pending approval" status in ICM. For example, if a disruption report is still pending when a subsequent disruption occurs, both can be consolidated into one disruption SCR. In a second example, if a disruption report is still pending, it can be changed to a dismantlement if the events so dictate. Any modifications made to a (b) (7)(E) pending approval will require review and re-approval.

7.3.2 Review and Approval by the Supervisor

(b) (7)(E)

7.3.3 Review and Approval by the Special Agent in Charge or Attaché

(b) (7)(E)

7.4 Discontinuance Reports in ICM

(b) (7)(E)

7.4.1 Submitting Discontinuance Reports

(b) (7)(E)

7.4.2 Review and Approval by the Supervisor

(b) (7)(E)

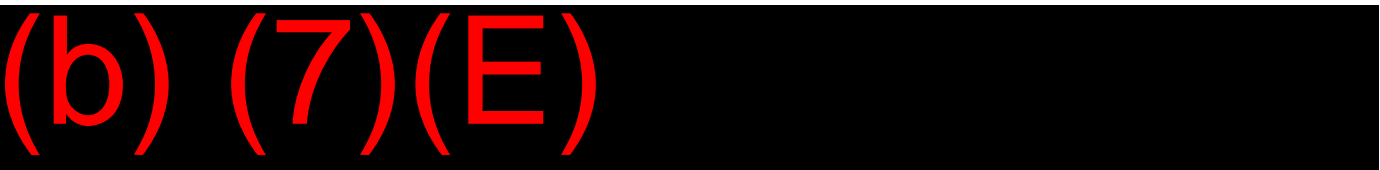
7.4.3 Review and Approval by the Special Agent in Charge or Attaché

(b) (7)(E)

7.5 Review by Headquarters and the Significant Case Report Panel



7.6 Approval or Disapproval of Disruption or Dismantlement Report



Chapter 8. THE SIGNIFICANT CASE REPORT PANEL

8.1 SCR Panel Authority

The SCR Panel has the authority to make recommendations on the following:



8.2 Composition

The SCR Panel is chaired by a Domestic Operations Chief. Panel attendees represent their respective Divisions and are assigned to the Panel by their Division leadership. Panel attendees include the following, with voting members designated:

A. (b) (7)(E) [REDACTED]

[REDACTED]

- 1) (b) (7)(E) [REDACTED];
- 2) (b) (7)(E) [REDACTED]
- 3) (b) (7)(E) [REDACTED]
[REDACTED] (E)
- 5) (b) (7)(E) [REDACTED];
- 6) (b) (7)(E) [REDACTED];
- 7) (b) (7)(E) [REDACTED]
- 8) (b) (7)(E) [REDACTED]
- 9) (b) (7)(E) [REDACTED].

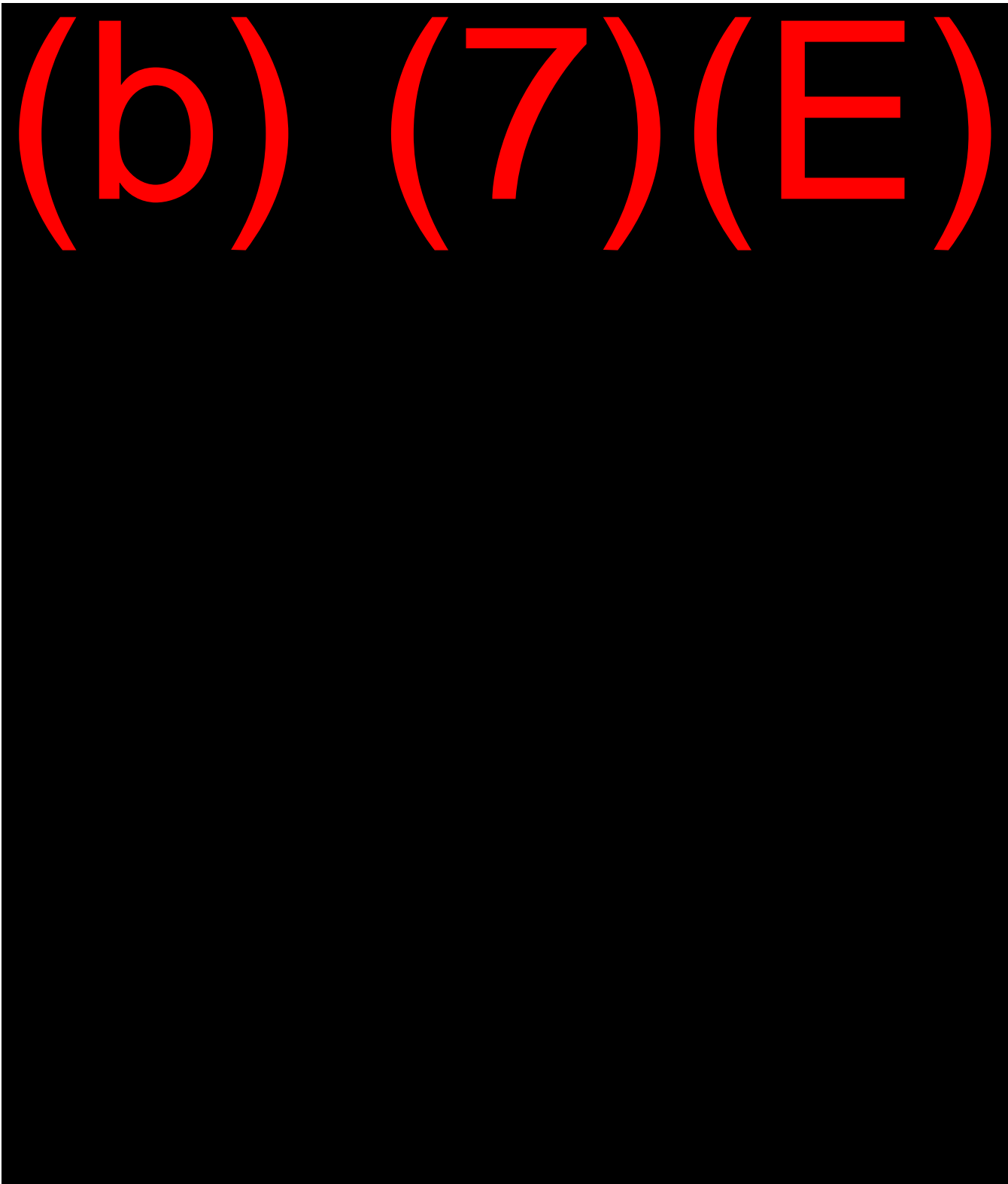
(b) (7)(E)

8.4 Timeline

It can take between 60-90 calendar days from the date of submission before an SCR is HQ-approved in ICM. SAs should contact their Domestic or International Operations Manager if it has been more than 90 calendar days since the SAC-approval date and the SCR is still indicating

(b) (7)(E)

CRITERIA FOR SIGNIFICANT CASE REPORTS



Infrastructure Identification, Prioritization, and Protection, dated December 17, 2003.

(b) (7)(E)

(b) (7) (E)

(b) (7) (E)

(b) (7)(E)

(b) (7) (E)

(b) (7)(E)

(b) (7) (E)

(b) (7) (E)

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(b) (7) (E)

(b) (7) (E)

(b) (7)(E)

(b) (7) (E)

(b) (7) (E)

(b) (7) (E)

(b) (7) (E)

CRITERIA FOR

(b) (7) (E)

(b) (7) (E)

(b) (7)(E)

(b) (7) (E)

Significant Case Report Submission

(b) (7) (E)

**STEP-BY-STEP INSTRUCTIONS FOR
HSI SIGNIFICANT CASE REPORTS**



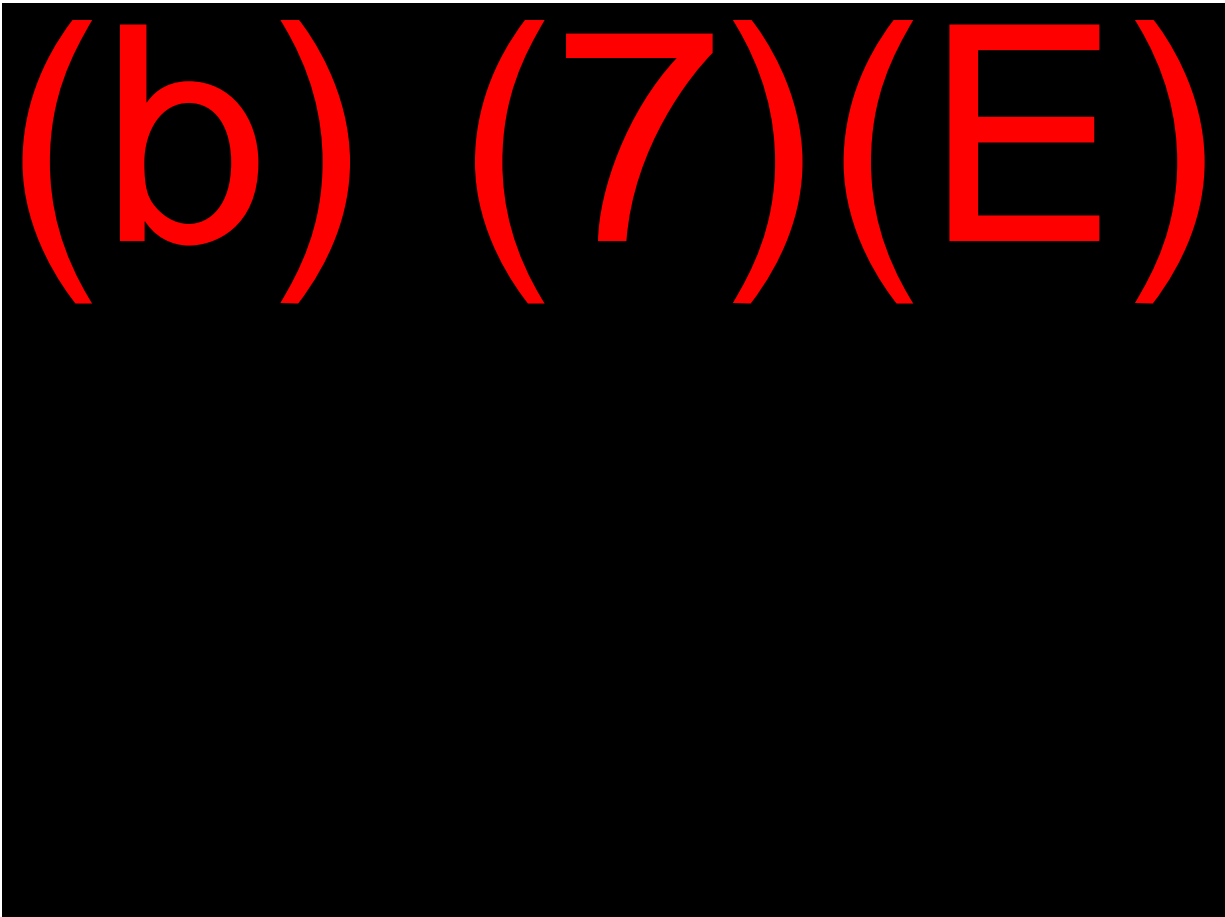
(b) (7) (E)

9. (b) (7)(E)

(b) (7) (E)

(b) (7) (E)

(b) (7) (E)



FREQUENTLY ASKED QUESTIONS

(b) (7) (E)



(b) (7) (E)

(b) (7) (E)

ACRONYMS

AD	Assistant Director
CEIU	Child Exploitation Investigations Unit
CIP	Critical Infrastructure Protection
CITF	Counterintelligence Task Force
CPOT	Consolidated Priority Organization Target
DHS	Department of Homeland Security
DT	Domestic Terrorist
ECT	Extraterritorial Criminal Travel
EO	Executive Order
FOUO	For Official Use Only
GPRA	Government Performance and Results Act
HQ	Headquarters
HRVWCU	Human Rights Violators and War Crimes Unit
HSI	Homeland Security Investigations
HVE	Homegrown Violent Extremist
ICE	U.S. Immigration and Customs Enforcement
ICM	Investigative Case Management
INA	Immigration and Nationality Act
IT	Information Technology
ITAR	International Trafficking in Arms Regulations
IWG	Interagency Working Group
NIF	Notice of Intent to Fine
OCDETF	Organized Crime Drug Enforcement Task Force
OFAC	Office of Foreign Assets Control
OMB	Office of Management and Budget
PTOC	Priority Transnational Organized Crime
RICO	Racketeer Influenced and Corrupt Organization
ROA	Report of Analysis
ROI	Report of Investigation
RPOT	Regional Priority Organization Target
SA	Special Agent
SAC	Special Agent in Charge
SC	Significant Case
SCR	Significant Case Report
SEVIS	Student and Exchange Visitor Information System
TCO	Transnational Criminal Organization
TICOT	Top International Criminal Organization Target
TIDE	Terrorist Identities Datamart Environment
TSDB	Terrorist Screening Database
WMD	Weapons of Mass Destruction