



**Homeland  
Security**

The Privacy Office  
U.S. Department of Homeland Security  
Washington, DC 20528  
703-235-0780, pia@dhs.gov  
www.dhs.gov/privacy

**Privacy Threshold Analysis**  
**Version date: June 10, 2010**  
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**PRIVACY THRESHOLD ANALYSIS (PTA)**

**This form is used to determine whether  
a Privacy Impact Assessment is required.**

Please use the attached form to determine whether a Privacy Impact Assessment (PIA) is required under the E-Government Act of 2002 and the Homeland Security Act of 2002.

Please complete this form and send it to your component Privacy Office. If you do not have a component Privacy Office, please send the PTA to the DHS Privacy Office:

Rebecca J. Richards  
Director of Privacy Compliance  
The Privacy Office  
U.S. Department of Homeland Security  
Washington, DC 20528  
Tel: 703-235-0780

PIA@dhs.gov

Upon receipt from the component Privacy Office, the DHS Privacy Office will review this form. If a PIA is required, the DHS Privacy Office will send you a copy of the Official Privacy Impact Assessment Guide and accompanying Template to complete and return.

A copy of the Guide and Template is available on the DHS Privacy Office website, [www.dhs.gov/privacy](http://www.dhs.gov/privacy), on DHSConnect and directly from the DHS Privacy Office via email: [pia@dhs.gov](mailto:pia@dhs.gov), phone: 703-235-0780.



## PRIVACY THRESHOLD ANALYSIS (PTA)

### SUMMARY INFORMATION

**Date Submitted for Review: October 26, 2011**

**Name of Project: I-526, Immigrant Petition by Alien Entrepreneur**

**System Name in TAFISMA: Not Applicable**

**Name of Component: U.S. Citizenship and Immigration Services**

**Name of Project Manager: Alexandra Haskell**

**Email for Project Manager: Alexandra.Haskell@dhs.gov**

**Phone Number for Project Manager: 802-283-7875**

**Type of Project:**

- Information Technology and/or System.\*
- A Notice of Proposed Rule Making or a Final Rule.
- Form or other Information Collection.
- Other: <Please describe the type of project including paper based Privacy Act system of records.>

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\* The E-Government Act of 2002 defines these terms by reference to the definition sections of Titles 40 and 44 of the United States Code. The following is a summary of those definitions:

- “Information Technology” means any equipment or interconnected system or subsystem of equipment, used in the automatic acquisition, storage, manipulation, management, movement, control, display, switching, interchange, transmission, or reception of data or information. See 40 U.S.C. § 11101(6).

- “Information System” means a discrete set of information resources organized for the collection, processing, maintenance, use, sharing, dissemination, or disposition of information. See: 44. U.S.C. § 3502(8).

Note: for purposes of this form, there is no distinction made between national security systems or technologies/systems managed by contractors. All technologies/systems should be initially reviewed for potential privacy impact.



## SPECIFIC QUESTIONS

1. **Describe the project and its purpose:** This form is used by an entrepreneur to petition USCIS for status as an immigrant to the United States under section 203(b)(5) of the Immigration and Nationality Act, as amended.

2. **Status of Project:**

This is a new development effort.

This is an existing project.

Date first developed:

Date last updated: 11/23/2010

<Please provide a general description of the update.> This is a request to extend the use of the Form I-526 under the Paperwork Reduction Act. The form is set to expire on January 31, 2012.

3. **From whom do you collect, process, or retain information on: (Please check all that apply)**

DHS Employees.

Contractors working on behalf of DHS.

The Public.

The System does not contain any such information.

4. **Do you use or collect Social Security Numbers (SSNs)? (This includes truncated SSNs)**

No.

Yes. Why does the program collect SSNs? Provide the function of the SSN and the legal authority to do so: The primary legal authority supporting the collection of information derives from 8 U.S.C. Section 1101; and 8 U.S.C. Section 1103 charges the DHS Secretary with the duty of administering and enforcing all laws relating to the immigration and naturalization of aliens.

5. **What information about individuals could be collected, generated or retained?**

Information about the person includes: Name, address, country of birth, country of citizenship, date of birth, social security number if any, A-number if any, telephone number. Information about the investment includes: name of commercial enterprise, address, phone number, and IRS Tax number.



**6. If this project is a technology/system, does it relate solely to infrastructure? [For example, is the system a Local Area Network (LAN) or Wide Area Network (WAN)]?**

No. Please continue to the next question.

Yes. Is there a log kept of communication traffic?

No. Please continue to the next question.

Yes. What type of data is recorded in the log? (Please choose all that apply.)

Header.

Payload Please describe the data that is logged.

<Please list the data elements in the log.>

**7. Does the system connect, receive, or share Personally Identifiable Information with any other DHS systems<sup>1</sup>?**

No.

Yes.

Please list:

**8. Is there a Certification & Accreditation record within OCIO's FISMA tracking system?**

Unknown.

No.

Yes. Please indicate the determinations for each of the following:

Confidentiality:  Low  Moderate  High  Undefined

Integrity:  Low  Moderate  High  Undefined

Availability:  Low  Moderate  High  Undefined

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<sup>1</sup> PII may be shared, received, or connected to other DHS systems directly, automatically, or by manual processes. Often, these systems are listed as "interconnected systems" in TAFISMA.



## PRIVACY THRESHOLD REVIEW

(TO BE COMPLETED BY THE DHS PRIVACY OFFICE)

Date reviewed by the DHS Privacy Office: October 26, 2011

Name of the DHS Privacy Office Reviewer: Rebecca J. Richards

### DESIGNATION

This is NOT a Privacy Sensitive System – the system contains no Personally Identifiable Information.

This IS a Privacy Sensitive System

#### Category of System

- IT System.
- National Security System.
- Legacy System.
- HR System.
- Rule.
- Other: Form

#### Determination

- PTA sufficient at this time.
- Privacy compliance documentation determination in progress.
- PIA is not required at this time.
- PIA is required.
  - System covered by existing PIA: DHS/USCIS/PIA-016 CLAIMS 3 PIA
  - New PIA is required.
  - PIA update is required.
- SORN not required at this time.
- SORN is required.
  - System covered by existing SORN: DHS/USCIS-007 BIS SORN
  - New SORN is required.

DHS PRIVACY OFFICE COMMENTS