



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:

Senior Director, Privacy Compliance
The Privacy Office
U.S. Department of Homeland Security
Washington, DC 20528
Tel: 202-343-1717

PIA@hq.dhs.gov

Upon receipt from your 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, on DHSConnect and directly from the DHS Privacy Office via email: pia@hq.dhs.gov, phone: 202-343-1717.



PRIVACY THRESHOLD ANALYSIS (PTA)

SUMMARY INFORMATION

Project or Program Name:	<i>N-4, Monthly Report Naturalization Papers</i>		
Component:	U.S. Citizenship and Immigration Services (USCIS)	Office or Program:	Field Operations
Xacta FISMA Name (if applicable):	N/A	Xacta FISMA Number (if applicable):	N/A
Type of Project or Program:	Form or other Information Collection	Project or program status:	Operational
Date first developed:	UNKWN	Pilot launch date:	N/A
Date of last PTA update	UKNWN	Pilot end date:	N/A
ATO Status (if applicable)	Choose an item.	ATO expiration date (if applicable):	Click here to enter a date.

PROJECT OR PROGRAM MANAGER

Name:	Stacie Banks		
Office:	Citizenship Branch, FOD	Title:	Adjudications Officer
Phone:	202-272-9032	Email:	Stacie.Banks@dhs.gov

INFORMATION SYSTEM SECURITY OFFICER (ISSO) (IF APPLICABLE)

Name:	N/A		
Phone:	N/A	Email:	N/A



SPECIFIC PTA QUESTIONS

1. Reason for submitting the PTA: Choose an item.

Purpose and Authorizing Legislation

Form N-4, Monthly Report on Naturalization Papers, is the form for the clerk of the court conducting judicial naturalization activities under Section 339 of the Immigration and Nationality Act (8 U.S.C. 1450) and 8 CFR 339.

Form Collection and Use

The following naturalization candidate information is provided by USCIS to the presiding court conducting the naturalization ceremonies: applicant's name, address, alien number, date of birth, phone number, e-mail address, and signature.

After the judicial ceremony, the clerk of court completes and signs Form N-4 providing confirmation of the ceremony attendees and the related name changes and court motions that were made during the ceremony. The clerk files this form with the USCIS Local Office with jurisdiction over the location of the court. There is no filing fee.

USCIS uses this form to finalize the record process regarding individuals naturalized in a judicial ceremony and to determine payments to the courts as provided in Section 344(f) of the Immigration and Nationality Act (8 USC 1455).

This is an updated PTA that has been triggered by the form's expiration on 1/31/2016.

Information Technology System

Computer Linked Application Information Management Systems (CLAIMS4) is the information technology system used to identify, select, then schedule the naturalization candidates for judicial naturalization ceremonies.

Responsible Program Office

The Citizenship Branch of the Field Operations Directorate is responsible for managing the agency's naturalization and citizenship programs nationwide. One very important part of our mission is to conduct meaningful naturalization ceremonies. There are 2 types of naturalization ceremonies:

Judicial- presided over by the appropriate jurisdictional court and are generally for applicants subject to the exclusive jurisdiction of the court and those that request name changes as part of the naturalization process.

Administrative- presided over by the agency and open to all other applicants.

Relation to USCIS mission

The USCIS mission is to secure America's promise as a nation of Immigrants by providing accurate and



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useful information to our customers, granting immigration and citizenship benefits, promoting an awareness and understanding of citizenship, and ensuring the integrity of our immigration system.

Use of this form allows for checks and balances system between USCIS and the judicial court presiding and conducting the naturalization ceremony. The information from USCIS for this form provides efficient and customer-oriented immigration benefit and information services during the oath ceremony, as well as after the ceremony when our records are updated from the court's completed, signed, and filed Form N-4.

2. Does this system employ any of the following technologies:

If you are using any of these technologies and want coverage under the respective PIA for that technology please stop here and contact the DHS Privacy Office for further guidance.

- Closed Circuit Television (CCTV)
- Social Media
- Web portal¹ (e.g., SharePoint)
- Contact Lists
- None of these

3. From whom does the Project or Program collect, maintain, use, or disseminate information?

Please check all that apply.

- This program does not collect any personally identifiable information²
- Members of the public
- DHS employees/contractors (list components):
- Contractors working on behalf of DHS
- Employees of other federal agencies

4. What specific information about individuals is collected, generated or retained?

Date, Court Information (Name, District, Address), Name(s) of Clerk(s), Date of Ceremony, Court List Number, Place of Ceremony, Number of Persons Administered Oath, Number of Voided Certificates

¹ Informational and collaboration-based portals in operation at DHS and its components that collect, use, maintain, and share limited personally identifiable information (PII) about individuals who are "members" of the portal or "potential members" who seek to gain access to the portal.

² DHS defines personal information as "Personally Identifiable Information" or PII, which is any information that permits the identity of an individual to be directly or indirectly inferred, including any information that is linked or linkable to that individual, regardless of whether the individual is a U.S. citizen, lawful permanent resident, visitor to the U.S., or employee or contractor to the Department. "Sensitive PII" is PII, which if lost, compromised, or disclosed without authorization, could result in substantial harm, embarrassment, inconvenience, or unfairness to an individual. For the purposes of this PTA, SPII and PII are treated the same.



4(a) Does the project, program, or system retrieve information by personal identifier?	<input type="checkbox"/> No. Please continue to next question. <input checked="" type="checkbox"/> Yes. If yes, please list all personal identifiers used: Name, Date of Birth, Country of Birth, Alien Registration#, and Application Receipt #.
4(b) Does the project, program, or system use Social Security Numbers (SSN)?	<input checked="" type="checkbox"/> No. <input type="checkbox"/> Yes.
4(c) If yes, please provide the specific legal basis and purpose for the collection of SSNs:	Click here to enter text.
4(d) If yes, please describe the uses of the SSNs within the project, program, or system:	Click here to enter text.
4(e) If this project, program, or system is an information technology/system, does it relate solely to infrastructure? <i>For example, is the system a Local Area Network (LAN) or Wide Area Network (WAN)?</i>	<input checked="" type="checkbox"/> No. Please continue to next question. <input type="checkbox"/> Yes. If a log kept of communication traffic, please answer the following question.
4(f) If header or payload data³ is stored in the communication traffic log, please detail the data elements stored.	
Click here to enter text.	

5. Does this project, program, or system connect, receive, or share PII with any other DHS programs or systems⁴?	<input checked="" type="checkbox"/> No. <input checked="" type="checkbox"/> Yes. If yes, please list:
6. Does this project, program, or system connect, receive, or share PII with any external (non-DHS) partners or systems?	<input checked="" type="checkbox"/> No. <input type="checkbox"/> Yes. If yes, please list: All Judicial Courts participating in the naturalization

³ When data is sent over the Internet, each unit transmitted includes both header information and the actual data being sent. The header identifies the source and destination of the packet, while the actual data is referred to as the payload. Because header information, or overhead data, is only used in the transmission process, it is stripped from the packet when it reaches its destination. Therefore, the payload is the only data received by the destination system.

⁴ 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 Xacta.



	process.
6(a) Is this external sharing pursuant to new or existing information sharing access agreement (MOU, MOA, LOI, etc.)?	Choose an item. Please describe applicable information sharing governance in place:
7. Does the project, program, or system provide role-based training for personnel who have access in addition to annual privacy training required of all DHS personnel?	<input type="checkbox"/> No. <input checked="" type="checkbox"/> Yes. If yes, please list: USCIS Privacy Training required in LearningEDGE.
8. Per NIST SP 800-53 Rev. 4, Appendix J, does the project, program, or system maintain an accounting of disclosures of PII to individuals who have requested access to their PII?	<input checked="" type="checkbox"/> Not applicable. <input type="checkbox"/> No. What steps will be taken to develop and maintain the accounting: <input type="checkbox"/> Yes. In what format is the accounting maintained:
9. Is there a FIPS 199 determination?⁴	<input type="checkbox"/> Not applicable. <input type="checkbox"/> Unknown. <input checked="" type="checkbox"/> No. <input type="checkbox"/> Yes. Please indicate the determinations for each of the following: Confidentiality: <input type="checkbox"/> Low <input type="checkbox"/> Moderate <input type="checkbox"/> High <input type="checkbox"/> Undefined Integrity: <input type="checkbox"/> Low <input type="checkbox"/> Moderate <input type="checkbox"/> High <input type="checkbox"/> Undefined Availability: <input type="checkbox"/> Low <input type="checkbox"/> Moderate <input type="checkbox"/> High <input type="checkbox"/> Undefined

⁴ FIPS 199 is the [Federal Information Processing Standard](#) Publication 199, Standards for Security Categorization of Federal Information and Information Systems and is used to establish security categories of information systems.



PRIVACY THRESHOLD REVIEW

(TO BE COMPLETED BY COMPONENT PRIVACY OFFICE)

Component Privacy Office Reviewer:	Catherine Catanzaro Shorten
Date submitted to Component Privacy Office:	June 11, 2015
Date submitted to DHS Privacy Office:	June 16, 2015
Component Privacy Office Recommendation: <i>Please include recommendation below, including what new privacy compliance documentation is needed.</i>	
The Form N-4 primarily as the source from which our agency determines how much remittance is due the presiding court. It is completely by the courts clerk and information from the form is uploaded into CLAIMS 4. Therefore, we recommend designating this form as privacy sensitive, with coverage under the CLAIMS 4 PIA and BIS SORN.	
Furthermore, a Privacy Act Statement is not required because the information is not collected directly from the individual.	

(TO BE COMPLETED BY THE DHS PRIVACY OFFICE)

DHS Privacy Office Reviewer:	Lindsay Lennon
PCTS Workflow Number:	1092246
Date approved by DHS Privacy Office:	September 11, 2015
PTA Expiration Date	September 11, 2018

DESIGNATION

Privacy Sensitive System:	Yes If "no" PTA adjudication is complete.
Category of System:	Form/Information Collection If "other" is selected, please describe: Click here to enter text.
Determination:	<input type="checkbox"/> PTA sufficient at this time. <input type="checkbox"/> Privacy compliance documentation determination in progress. <input type="checkbox"/> New information sharing arrangement is required. <input type="checkbox"/> DHS Policy for Computer-Readable Extracts Containing Sensitive PII applies. <input type="checkbox"/> Privacy Act Statement required. <input checked="" type="checkbox"/> Privacy Impact Assessment (PIA) required.



<input checked="" type="checkbox"/> System of Records Notice (SORN) required. <input type="checkbox"/> Paperwork Reduction Act (PRA) Clearance may be required. Contact your component PRA Officer. <input type="checkbox"/> A Records Schedule may be required. Contact your component Records Officer.	
PIA:	System covered by existing PIA If covered by existing PIA, please list: DHS/USCIS/PIA-015(b) - Computer Linked Application Information Management System (CLAIMS 4) Update
SORN:	System covered by existing SORN If covered by existing SORN, please list: DHS-USCIS-007 - Benefits Information System September 29, 2008 73 FR 56596
DHS Privacy Office Comments: <i>Please describe rationale for privacy compliance determination above.</i>	
Form N4 collects A Numbers and other PII but is used internally by DHS and does not collect information directly from an individual, so a Privacy Act Notice is not necessary. The DHS Privacy Office agrees with USCIS Privacy that this form is covered by the CLAIMS 4 PIA and the BIS SORN. No further action is necessary.	