



PRIVACY THRESHOLD ANALYSIS (PTA)

This form serves as the official determination by the DHS Privacy Office to identify the privacy compliance requirements for all Departmental uses of personally identifiable information (PII).

A Privacy Threshold Analysis (PTA) serves as the document used to identify information technology (IT) systems, information collections/forms, technologies, rulemakings, programs, information sharing arrangements, or pilot projects that involve PII and other activities that otherwise impact the privacy of individuals as determined by the Chief Privacy Officer, pursuant to Section 222 of the Homeland Security Act, and to assess whether there is a need for additional Privacy Compliance Documentation. A PTA includes a general description of the IT system, information collection, form, technology, rulemaking, program, pilot project, information sharing arrangement, or other Department activity and describes what PII is collected (and from whom) and how that information is used and managed.

Please complete the attached Privacy Threshold Analysis and submit it to your component Privacy Office. After review by your component Privacy Officer the PTA is sent to the Department's Senior Director for Privacy Compliance for action. 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 and assess whether any privacy compliance documentation is required. If compliance documentation is required – such as Privacy Impact Assessment (PIA), System of Records Notice (SORN), Privacy Act Statement, or Computer Matching Agreement (CMA) – the DHS Privacy Office or component Privacy Office will send you a copy of the relevant compliance template to complete and return.



Privacy Threshold Analysis (PTA)

Specialized Template for Information Collections (IC) and Forms

The Forms-PTA is a specialized template for Information Collections and Forms. This specialized PTA must accompany all Information Collections submitted as part of the Paperwork Reduction Act process (any instrument for collection (form, survey, questionnaire, etc.) from ten or more members of the public). Components may use this PTA to assess internal, component-specific forms as well.

Form Number: N-426

Form Title: [Click here to enter text.](#)

Request for Certification of Military or Naval Service

Component: U.S. Citizenship and Immigration Services (USCIS) **Office:** **Service Center Operations**

IF COVERED BY THE PAPERWORK REDUCTION ACT:

Collection Title: Form N-426, Request for Certification of Military or Naval Service

OMB Control Number:	1615-0053	OMB Expiration Date:	March 29, 2016
Collection status:	Extension	Date of last PTA (if applicable):	March 26, 2016

PROJECT OR PROGRAM MANAGER

Name: Natalie O'Connor

Office:	Service Center Operations	Title:	Adjudications Officer
Phone:	202-272-2924	Email:	Natalie.A.O'connor@uscis.dhs.gov

COMPONENT INFORMATION COLLECTION/FORMS CONTACT

Name: Cynthia Beauchamps



Office:	Regulatory Coordination Division	Title:	Project Manager
Phone:	202-272-2948	Email:	Cynthia.J.Beauchamps@uscis.dhs.gov

SPECIFIC IC/Forms PTA QUESTIONS

1. Purpose of the Information Collection or Form

- a. Describe the purpose of the information collection or form. *Please provide a general description of the project and its purpose, including how it supports the DHS mission, in a way a non-technical person could understand (you may use information from the Supporting Statement).*
If this is an updated PTA, please specifically describe what changes or upgrades are triggering the update to this PTA.

Click here to enter text.

Persons who are serving or have served under specified conditions in the Armed Forces of the United States are granted certain exemptions from the general requirements for naturalization. To establish eligibility, the law requires the departments with custody of the service records to certify when the service member served and whether each separation from the service was under honorable conditions. Applicants obtain the completed Form N-426 from the certifying official and submit the form with Form N-400, Application for Naturalization. USCIS uses Form N-426 to establish honorable military service of an applicant under sections 328 or 329 of the Immigration and Nationality Act (INA).

Current or former members of the U.S. Armed Forces who are applying for naturalization under section 328 or 329 of the INA submits the following with Form N-426:

- 1. Form N-400, Application for Naturalization, and**
- 2. Copy of Form DD-214 Certificate of Release of Discharge from Active Duty, or NGB Form 22, National Guard Report of Separation and Records of Service.**

The purpose of Form N-426 is for the Department of Defense to verify an applicant's military or naval service. Form N-426 is submitted to the branch of the U.S. military service that the naturalization applicant is currently serving or had served for certification of military service. Completion and certification of this



form by the applicant and certifying official serve as an authenticated certification of military service.

b. List the DHS (or component) authorities to collect, store, and use this information. *If this information will be stored and used by a specific DHS component, list the component-specific authorities.*

Click here to enter text.

Primary authorizing legislations: Sections 328 and 329 of Immigration and Nationality Act (the INA) and Title 8 of Code of Federal Regulations (8 CFR) Parts 328 and 329.

2. Describe the IC/Form	
a. Does this form collect any Personally Identifiable Information” (PII ¹)?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
b. From which type(s) of individuals does this form collect information? <i>(Check all that apply.)</i>	<input checked="" type="checkbox"/> Members of the public <input checked="" type="checkbox"/> U.S. citizens or lawful permanent residents <input checked="" type="checkbox"/> Non-U.S. Persons. <input type="checkbox"/> DHS Employees <input type="checkbox"/> DHS Contractors <input checked="" type="checkbox"/> Other federal employees or contractors.
c. Who will complete and submit this form? <i>(Check all that apply.)</i>	<input checked="" type="checkbox"/> The record subject of the form (e.g., the individual applicant). <input checked="" type="checkbox"/> Legal Representative (preparer, attorney, etc.). <input type="checkbox"/> Business entity. If a business entity, is the only information collected business contact information?

¹ Personally identifiable information means any information that permits the identity of an individual to be directly or indirectly inferred, including any other information which 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.



	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Law enforcement. <input type="checkbox"/> DHS employee or contractor. <input checked="" type="checkbox"/> Other individual/entity/organization that is NOT the record subject. <i>Please describe.</i> Certain Service Members, civilian employees, or contractors of the Department of Defense may act as conduits and submit the form in response to a request for evidence (RFE) by USCIS on behalf of the Service Member and with the expressed permission and consent of the Service Member.
<p>d. How do individuals complete the form? <i>Check all that apply.</i></p>	<input checked="" type="checkbox"/> Paper. <input checked="" type="checkbox"/> Electronic. (ex: fillable PDF) <input type="checkbox"/> Online web form. (available and submitted via the internet) <i>Provide link:</i>
<p>e. What information will DHS collect on the form? <i>List all PII data elements on the form. If the form will collect information from more than one type of individual, please break down list of data elements collected by type of individual.</i></p>	
<p>Form N-426 collects the individual's name, address, social security number, alien number, military service number, date of birth, phone number, e-mail address, place of birth, military history, and signature of the applicant. The form also collects the certifying official's name, title, phone number, email address, and signature.</p>	
<p>f. Does this form collect Social Security number (SSN) or other element that is stand-alone Sensitive Personally Identifiable Information (SPII)? <i>Check all that apply.</i></p>	
<input checked="" type="checkbox"/> Social Security number <input checked="" type="checkbox"/> Alien Number (A-Number)	<input type="checkbox"/> DHS Electronic Data Interchange Personal Identifier (EDIPI)



- | | |
|---|--|
| <input type="checkbox"/> Tax Identification Number | <input type="checkbox"/> Social Media Handle/ID |
| <input type="checkbox"/> Visa Number | <input type="checkbox"/> Known Traveler Number |
| <input type="checkbox"/> Passport Number | <input type="checkbox"/> Trusted Traveler Number (Global Entry, Pre-Check, etc.) |
| <input type="checkbox"/> Bank Account, Credit Card, or other financial account number | <input type="checkbox"/> Driver's License Number |
| <input type="checkbox"/> Other. <i>Please list:</i> | <input type="checkbox"/> Biometrics |

g. List the ***specific authority*** to collect SSN or these other SPII elements.

[Click here to enter text.](#)

INA Sec. 290. [8 U.S.C. 1360]: (a) There shall be established in the office of the Commissioner, for the use of the security and enforcement agencies of the Government of the United States, a central index, which shall contain the names of all aliens heretofore admitted or denied admission to the United States, insofar as such information is available from the existing records of the Service, and the names of all aliens hereafter admitted or denied admission to the United States, the names of their sponsors of record, if any, and such other relevant information as the Attorney General shall require as an aid to the proper enforcement of this Act.

(b) Any information in any records kept by any department or agency of the Government as to the identity and location of aliens in the United States shall be made available to the Service upon request made by the Attorney General to the head of any such department or agency.

(c) 1/ (1) Not later than 3 months after the end of each fiscal year (beginning with fiscal year 1996), the Commissioner of Social Security shall report to the Committees on the Judiciary of the House of Representatives and the Senate on the aggregate quantity of social security account numbers issued to aliens not authorized to be employed, with respect to which, in such fiscal year, earnings were reported to the Social Security Administration.

(2) If earnings are reported on or after January 1, 1997, to the Social Security Administration on a social security account number issued to an alien not authorized to work in the United States, the Commissioner of Social Security shall provide the Attorney General with information regarding the name and address of the alien, the name and address of the person reporting the earnings, and the amount of the earnings. The information shall be provided in an electronic form agreed upon by the Commissioner and the Attorney General.

(d) A written certification signed by the Attorney General or by any officer of the Service designated by the Attorney General to make such certification, that after



diligent search no record or entry of a specified nature is found to exist in the records of the Service, shall be admissible as evidence in any proceeding as evidence that the records of the Service contain no such record or entry, and shall have the same effect as the testimony of a witness given in open court.

h. How will this information be used? What is the purpose of the collection? Describe **why** this collection of SPII is the minimum amount of information necessary to accomplish the purpose of the program.

Click here to enter text.

Information collected will be used to verify the applicant's Characterization of Service as required under Sections 328 and 329 of the INA. The required information assists Immigration Services Officer in determining the applicant's eligibility for the benefit sought.

i. Are individuals provided notice at the time of collection by DHS (*Does the records subject have notice of the collection or is form filled out by third party*)?

- Yes. Please describe how notice is provided.
Click here to enter text.
- No.

3. How will DHS store the IC/form responses?

a. How will DHS store the original, completed IC/forms?

- Paper. Please describe.
Form N-426 will be stored in the individual's USCIS administrative file.
- Electronic. Please describe the IT system that will store the data from the form.
Click here to enter text.
- Scanned forms (completed forms are scanned into an electronic repository). Please describe the electronic repository.
Click here to enter text.



<p>b. If electronic, how does DHS input the responses into the IT system?</p>	<p><input type="checkbox"/> Manually (data elements manually entered). Please describe. Click here to enter text.</p> <p><input type="checkbox"/> Automatically. Please describe. Click here to enter text.</p>
<p>c. How would a user search the information submitted on the forms, <i>i.e.</i>, how is the information retrieved?</p>	<p><input checked="" type="checkbox"/> By a unique identifier.² <i>Please describe.</i> If information is retrieved by personal identifier, please submit a Privacy Act Statement with this PTA. The information can be searched by the alien registration number or receipt number.</p> <p><input type="checkbox"/> By a non-personal identifier. <i>Please describe.</i> Click here to enter text.</p>
<p>d. What is the records retention schedule(s)? <i>Include the records schedule number.</i></p>	<p>The National Archives and Record’s Administration (NARA) approved retention schedule [N1-563-04-004] has not changed. Records in CLAIMS 4 will be deleted 15 years after the application for naturalization is approved, denied, or withdrawn and any appeals process, if applicable is completed. Information is destroyed 15 years after the last completed action with respect to the application, which is stored in the applicant’s alien file (A-file). https://www.archives.gov/records-mgmt/rcs/schedules/departments/department-of-homeland-security/rq-0563/n1-563-04-004_sf115.pdf</p> <p>The A-file NARA approved retention schedule [N1-566-08-11] has been updated. Previous encounter information maintained in the A-file will now be retained in accordance with the A-file retention schedule, which is 100 years from the applicant’s DOB; there after the file is retired to NARA as a permanent record.</p>

² Generally, a unique identifier is considered any type of “personally identifiable information,” meaning any information that permits the identity of an individual to be directly or indirectly inferred, including any other information which 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.



<p>e. How do you ensure that records are disposed of or deleted in accordance with the retention schedule?</p>	<p>CLAIMS 4 will be deleted 15 years after the application for naturalization is approved, denied, or withdrawn and any appeals process, if applicable, is completed. Information is destroyed fifteen years after the last completed action with respect to the application, which is stored in the applicant's A-file. https://www.archives.gov/records-mgmt/rcs/schedules/departments/departments-of-homeland-security/rg-0566/n1-566-08-011_sf115.pdf</p> <p>Information maintained in the A-File will now be retained in accordance with the A-File retention schedule, which is 100 years from the applicant's DOB; there after the file is retired to NARA as a permanent record.</p>
<p>f. Is any of this information shared outside of the original program/office? <i>If yes, describe where (other offices or DHS components or external entities) and why. What are the authorities of the receiving party?</i></p>	
<p><input checked="" type="checkbox"/> Yes, information is shared with other DHS components or offices. Please describe. Partner DHS entities may obtain rudimentary information on the applicant only, along with the form receipt number, via Person Centric Query System (PCQS)</p> <p><input type="checkbox"/> Yes, information is shared <i>external</i> to DHS with other federal agencies, state/local partners, international partners, or non-governmental entities. Please describe. Click here to enter text.</p> <p><input type="checkbox"/> No. Information on this form is not shared outside of the collecting office.</p>	





**Homeland
Security**

Privacy Office
U.S. Department of Homeland Security
Washington, DC 20528
202-343-1717, pia@hq.dhs.gov
www.dhs.gov/privacy

Please include a copy of the referenced form and Privacy Act Statement (if applicable) with this PTA upon submission.



PRIVACY THRESHOLD REVIEW

(TO BE COMPLETED BY COMPONENT PRIVACY OFFICE)

Component Privacy Office Reviewer:	Brian E. Anderson
Date submitted to component Privacy Office:	November 22, 2016
Date submitted to DHS Privacy Office:	November 29, 2016
Have you approved a Privacy Act Statement for this form? <i>(Only applicable if you have received a waiver from the DHS Chief Privacy Officer to approve component Privacy Act Statements.)</i>	<input type="checkbox"/> Yes. Please include it with this PTA submission. <input checked="" type="checkbox"/> No. Please describe why not. USCIS Office of Privacy developed a Privacy Act Statement and is seeking OCC approval.
Component Privacy Office Recommendation: <i>Please include recommendation below, including what existing privacy compliance documentation is available or new privacy compliance documentation is needed.</i>	
<p>Form N-426, Request for Certification of Military or Naval Service (OMB Control Number 1615-0053). Persons who are serving or have served under specified conditions in the Armed Forces of the United States are granted certain exemptions from the general requirements for naturalization. To establish eligibility, the law requires the departments with custody of the service records to certify when the service member served and whether each separation from the service was under honorable conditions. Applicants obtain the completed Form N-426 from the certifying official and submit the form with Form N-400, Application for Naturalization. USCIS uses Form N-426 to establish honorable military service of an applicant under sections 328 or 329 of the Immigration and Nationality Act (INA).</p> <p>USCIS Privacy recommendation is to designate N-426 as a privacy sensitive form with coverage under DHS/USCIS/PIA-015(b) - Computer Linked Application Information Management System 4 (CLAIMS 4) Update, DHS/USCIS-007 Benefits Information System SORN, and DHS/USCIS/CBP/ICE-001 A-File SORN. Further, a Privacy Act Statement is in progress. Also, PAS is required.</p> <p>OMB Control Number: 1615-0053</p>	



PRIVACY THRESHOLD ADJUDICATION

(TO BE COMPLETED BY THE DHS PRIVACY OFFICE)

DHS Privacy Office Reviewer:	Max Binstock
PCTS Workflow Number:	1135615
Date approved by DHS Privacy Office:	December 1, 2016
PTA Expiration Date	December 1, 2019

DESIGNATION

Privacy Sensitive IC or Form:	Yes If "no" PTA adjudication is complete.
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 SPII applies. <input checked="" 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"/> Specialized training required. <input type="checkbox"/> Other. Click here to enter text.
DHS IC/Forms Review:	DHS PRIV has not received this ICR/Form.
Date IC/Form Approved by PRIV:	Click here to enter a date.
IC/Form PCTS Number:	Click here to enter text.
Privacy Act Statement:	New e(3) statement is required. Click here to enter text.
PTA:	New system PTA required. Click here to enter text.
PIA:	System covered by existing PIA



	<p>If covered by existing PIA, please list: DHS/USCIS/PIA-015 Computer Linked Application Information Management System (CLAIMS 4) Update If a PIA update is required, please list: Click here to enter text.</p>
<p>SORN:</p>	<p>System covered by existing SORN If covered by existing SORN, please list: DHS/USCIS/ICE/CBP-001 Alien File, Index, and National File Tracking System of Records, November 21, 2013, 78 FR 69864; DHS/USCIS-007 Benefits Information System October 19, 2016, 81 FR 72069 If a SORN update is required, please list: Click here to enter text.</p>
<p>DHS Privacy Office Comments: <i>Please describe rationale for privacy compliance determination above.</i></p>	
<p>USCIS is submitting this PTA because USCIS uses Form N-426 to establish honorable military service of an applicant under sections 328 or 329 of the Immigration and Nationality Act (INA).</p> <p>PRIV finds that is a privacy sensitive system and a PIA is required because USCIS collects PII from members of the public and other federal employees or contractors.</p> <p>PRIV agrees with USCIS that the CLAIMS 4 PIA provides adequate coverage. DHS/USCIS/PIA-015 discusses the processing and adjudicating of N-400 Applications for Naturalization and supplemental documents such as N-426. PRIV recommends submitting a list of all the supplemental forms to the N-400 to add as an Appendix to the CLAIMS 4 PIA.</p> <p>PRIV finds that a SORN is required because Form N-426 retrieves information by a unique identifier. PRIV agrees with USCIS Privacy recommendation that the BIS SORN and A-File SORN provide adequate coverage. DHS/USCIS/ICE/CBP-001 covers the paper and electronic copy A-File and/or Receipt File, supplemental forms, supplemental evidence, and identity history summaries (formally known as RAP sheets), but does not include all case processing and decisional data. DHS/USCIS-007 covers USCIS' collection, use, maintenance, dissemination, and storage of benefit request information, including case processing and decisional data not included in the A-file.</p> <p>PRIV finds that a PAS is also required.</p>	