



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:	Form I-694, Notice of Appeal of Decision Under Section 210 or 245A of the Immigration and Nationality Act		
Component:	U.S. Citizenship and Immigration Services (USCIS)	Office or Program:	FOD
Xacta FISMA Name (if applicable):	Click here to enter text.	Xacta FISMA Number (if applicable):	Click here to enter text.
Type of Project or Program:	Form or other Information Collection	Project or program status:	Update
Date first developed:	Click here to enter a date.	Pilot launch date:	Click here to enter a date.
Date of last PTA update	July 13, 2010	Pilot end date:	Click here to enter a date.
ATO Status (if applicable)	Choose an item.	ATO expiration date (if applicable):	Click here to enter a date.

PROJECT OR PROGRAM MANAGER

Name:	Click here to enter text.		
Office:	Click here to enter text.	Title:	Click here to enter text.
Phone:	Click here to enter text.	Email:	Click here to enter text.

INFORMATION SYSTEM SECURITY OFFICER (ISSO) (IF APPLICABLE)

Name:	Click here to enter text.		
Phone:	Click here to enter text.	Email:	Click here to enter text.



SPECIFIC PTA QUESTIONS

1. Reason for submitting the PTA: Updated PTA

USCIS Instructions: Please provide a brief overview of the Form to understand the purpose, mission and justification of collecting the requested information. Include the following:

- Description of the purpose of the form
- A brief description of who the form collects information on and how the information is collected
- Description of the information technology used to support this project
- Description of the responsible Program Office
- Description of any authorizing legislation
- Description of how the form relates to the USCIS' mission

Example: The USCIS Genealogy Program provides access to historical immigration and naturalization records of deceased immigrants to family historians and other researchers through two fee-based services:

- **Index Search:** Form G-1041, Genealogy Index Search Request is used to request a search of USCIS historical databases. Request for searches of these databases are used to determine whether any records pertaining to a subject exists, and, if such records exist, to collect record citations (i.e., USCIS file numbers). The fee for an index search is \$20.00.
- **Record Copy Request:** Form G-1041A, Genealogy Records Request is used to obtain copies of USCIS historical records. Researchers with valid record citations, gained through the index search (Form G-1041) or through independent research, may request microfilm and/or paper-based copies of genealogy records. The fee for a record copy request depends on the record type but varies between \$20.00 -\$35.00.

This form can be filled out and submitted to USCIS by researchers seeking records of their ancestry for genealogical or family history purposes; historians or social scientists seeking historical records of persons that can be identified by name, date of birth and place of birth; or a researcher involved in their location.

This is an update of the previously approved PTA. There is one change since the last PTA; the collection of USCIS online account number.

This form will be used by USCIS in considering appeals of denials or termination of temporary and permanent residence status by legalization applicants and special agricultural workers, under sections 210 and 245A of the Immigration and Nationality Act, and related applications for waiver of grounds of inadmissibility.

This form collects information on legalization and special agricultural worker appellants, interpreters, and preparers.



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This project continues to use CLAIMS 3 to support this project. This form is stored in the A-file.
The Field Operations Directorate is the business owner for this form. The Administrative Appeals Office is responsible for reviewing and determining whether to grant or deny this benefit request.
USCIS is authorized to collect Form I-694 pursuant to the Immigration and Nationality Act, section 245A(f)(3) and Title 8 Code of Federal Regulations, part 103.3(a)(3) and 103.3(a)(4).
The USCIS mission is to administer immigration benefits. This form enables USCIS to determine whether to grant an immigration benefit.

<p>2. Does this system employ any of the following technologies: <i>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.</i></p> <p>USCIS Instructions: Please check “None of the above” since this PTA is intended to cover the form and does not relate to any technologies.</p>	<p><input type="checkbox"/> Closed Circuit Television (CCTV)</p> <p><input type="checkbox"/> Social Media</p> <p><input type="checkbox"/> Web portal¹ (e.g., SharePoint)</p> <p><input type="checkbox"/> Contact Lists</p> <p><input checked="" type="checkbox"/> None of these</p>
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<p>3. From whom does the Project or Program collect, maintain, use, or disseminate information? <i>Please check all that apply.</i></p> <p>USCIS Instructions: Please check the appropriate box to indicate the source of information for the form.</p>	<p><input type="checkbox"/> This program does not collect any personally identifiable information²</p> <p><input checked="" type="checkbox"/> Members of the public</p> <p><input type="checkbox"/> DHS employees/contractors (list components):</p> <p><input type="checkbox"/> Contractors working on behalf of DHS</p> <p><input type="checkbox"/> Employees of other federal agencies</p>
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4. What specific information about individuals is collected, generated or retained?

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.



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USCIS Instructions: Identify (1) the categories of individuals for whom information is collected, and (2) for each category, list all information, including PII that is collected and stored by the form. Please indicate if the form collects Social Security Numbers by either checking “Yes” or “No.” The response should also include the purpose of the collection and the legal authority to collect such information.

Example: PII could include, but is not limited to: name, date of birth, mailing address, telephone number, social security number, e-mail address, zip code, facsimile number, mother’s maiden name, medical record number, bank account number, health plan beneficiary number, any other account numbers, certificate/license number, vehicle identifier including license plate, marriage record, civil or criminal history information, medical records, device identifiers and serial numbers, education record, biometric identifiers, photographic facial image, or any other unique identifying number or characteristic.

The authority to collect information in this form is set forth in the Immigration and Nationality Act, 8 U.S.C. §§ 1103, 1158, 1225, 1228, and Title II of Public Law 105-100 and in the implementing regulations found in volume 8 of the Code of Federal Regulations (CFR). The SSN information collected within the form I-000 application is used to assist the DHS in enforcing the immigration laws of the United States by providing timely and accurate information about persons who are subject to those laws.

(1) This form is filed by individuals (appellants) appealing the denial of an immigration benefit under INA section 210 or 245A. Interpreter and preparer information may be collected also.

(2) Information collected from legalized and special agricultural work (appellants) includes:

- A-number
- Name (first name, last name)
- Address
- Contact Information (daytime phone, mobile phone, and email address)
- USCIS Online Account Number
- Email address

(3) Interpreter

- Name (first name, last name)
- Business/Organization name
- Mailing address
- Contact information (daytime phone, mobile phone, and email address)

(4) Preparer

- Name (first name, last name)
- Business/Organization name
- Mailing address
- Contact information (daytime phone, mobile phone, and email address)



<p>4(a) Does the project, program, or system retrieve information by personal identifier?</p> <p>USCIS Instructions: Please check “Yes” and include the identifiers(s) used to retrieve information from case management systems used to process this form.</p>	<p><input type="checkbox"/> No. Please continue to next question.</p> <p><input checked="" type="checkbox"/> Yes. If yes, please list all personal identifiers used: Name, A-Number</p>
<p>4(b) Does the project, program, or system use Social Security Numbers (SSN)?</p>	<p><input checked="" type="checkbox"/> No.</p> <p><input type="checkbox"/> Yes.</p>
<p>4(c) If yes, please provide the specific legal basis and purpose for the collection of SSNs:</p>	<p>Click here to enter text.</p>
<p>4(d) If yes, please describe the uses of the SSNs within the project, program, or system:</p>	<p>Click here to enter text.</p>
<p>4(e) If this project, program, or system is an information technology/system, does it relate solely to infrastructure?</p> <p><i>For example, is the system a Local Area Network (LAN) or Wide Area Network (WAN)?</i></p> <p>USCIS Instructions: Please check “No” since this PTA is intended to cover the form and does not relate to an information technology.</p>	<p><input checked="" type="checkbox"/> No. Please continue to next question.</p> <p><input type="checkbox"/> Yes. If a log kept of communication traffic, please answer the following question.</p>
<p>4(f) If header or payload data³ is stored in the communication traffic log, please detail the data elements stored.</p> <p>Click here to enter text.</p>	

<p>5. Does this project, program, or system connect, receive, or share PII with any other DHS programs or systems⁴?</p>	<p><input type="checkbox"/> No.</p> <p><input checked="" type="checkbox"/> Yes. If yes, please list: CLAIMS 3</p>
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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.



<p>USCIS Instructions: Please check “Yes” and include the information technology system that supports this form.</p>	
<p>6. Does this project, program, or system connect, receive, or share PII with any external (non-DHS) partners or systems?</p> <p>USCIS Instructions: Please check “No” if the form itself is maintained in a USCIS system and not shared externally. However, if this form is processed and maintained in an external system (e.g. a Department of State system) please include the relevant IT system). Additionally, if the form itself is shared externally, please check “Yes” and include the name of the recipient.</p>	<p><input checked="" type="checkbox"/> No.</p> <p><input type="checkbox"/> Yes. If yes, please list:</p> <p>Click here to enter text.</p>
<p>6(a) Is this external sharing pursuant to new or existing information sharing access agreement (MOU, MOA, LOI, etc.)?</p>	<p>Choose an item.</p> <p>Please describe applicable information sharing governance in place:</p>
<p>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?</p> <p>USCIS Instructions: Please check “Yes” and include the relevant trainings USCIS staff complete.</p>	<p><input type="checkbox"/> No.</p> <p><input checked="" type="checkbox"/> Yes. If yes, please list: USCIS Privacy Awareness Training</p> <p>CLAIMS 3 Training</p>
<p>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?</p> <p>USCIS Instructions: Please check “No” since this is a question solely related to IT systems.</p>	<p><input checked="" type="checkbox"/> Not applicable.</p> <p><input type="checkbox"/> No. What steps will be taken to develop and maintain the accounting:</p> <p><input type="checkbox"/> Yes. In what format is the accounting maintained:</p>
<p>9. Is there a FIPS 199 determination?⁴</p>	<p><input checked="" type="checkbox"/> Not applicable.</p>

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.



<p>USCIS Instructions: Please check “No” since this is a question solely related to IT systems.</p>	<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
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PRIVACY THRESHOLD REVIEW

(TO BE COMPLETED BY COMPONENT PRIVACY OFFICE)

Component Privacy Office Reviewer:	Kim Mott
Date submitted to Component Privacy Office:	April 15, 2016
Date submitted to DHS Privacy Office:	May 11, 2016
Component Privacy Office Recommendation:	
<i>Please include recommendation below, including what new privacy compliance documentation is needed.</i>	
<p>This is an update of the previously approved PTA. There is one change since the last PTA; the collection of USCIS online account number. This form will be used by USCIS in considering appeals of denials or termination of temporary and permanent residence status by legalization applicants and special agricultural workers, under sections 210 and 245A of the Immigration and Nationality Act, and related applications for waiver of grounds of inadmissibility. This form collects information on legalization and special agricultural worker appellants, interpreters and preparers. This project continues to use CLAIMS 3 to support this project. This form is stored in the A-file.</p> <p>The Privacy Act Statement (PAS) has been reviewed by the Form Sponsor to verify accuracy. It has been sent to the Office of Chief Counsel for review.</p>	



The Office of Privacy recommendation is this is a privacy sensitive form with coverage under existing PIAs/SORNs.

PIA

- DHS/USCIS/PIA – 016(a), Computer Linked Application Information Management System (CLAIMS 3) which covers name, address, telephone number, DOB, SSN, citizenship information, immigration status (which includes the A-number), and unique identifying numbers (USCIS ELIS account numbers) for the appellant. This PIA covers name, business, mailing address, email address, phone number of the interpreter and preparer. This is the updated PIA that will be posted on the web site soon.

SORN

- DHS/USCIS/ICE/CBP-001, Alien File, Index and National File Tracking System of Records (78 FR 69864) since this is where the form is stored. It covers the appellant, preparer and representatives who assist the individual during benefit and enforcement proceeding and includes name, address, phone number and email addresses.
- DHS/USCIS-007, Benefits Information System (73 FR 56596) which covers processing all immigrant and non-immigrant benefits applications for petitioners including name, A-number, addresses, telephone numbers, and DHS issued card serial numbers. Preparer information covered includes name, mailing address, and telephone number.

(TO BE COMPLETED BY THE DHS PRIVACY OFFICE)

DHS Privacy Office Reviewer:	Max Binstock
PCTS Workflow Number:	<u>1123538</u>
Date approved by DHS Privacy Office:	May 11, 2016
PTA Expiration Date	May 11, 2019

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/PIA/USCIS-016(a) Computer Linked Application Information Management System (CLAIMS 3) and Associated Systems
SORN:	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 -Forthcoming DHS/USCIS-007 Benefits Information System
DHS Privacy Office Comments: <i>Please describe rationale for privacy compliance determination above.</i>	
<p>USCIS is submitting Form I-694 PTA in considering appeals of denials or termination of temporary and permanent residence status by legalization applicants and special agricultural workers.</p> <p>PRIV agrees that Form I-694 is a privacy sensitive system that requires PIA coverage because Form I-694 collects PII from members of the public. Specifically, it collects information on legalization and special agricultural worker appellants, interpreters, and preparers.</p> <p>DHS/USCIS-016(a) CLAIMS 3 provides coverage because it supports and maintains officer casework documentation and tracking for most benefit requests. DHS/USCIS-016(a) covers name, address, telephone number, DOB, SSN, citizenship information, immigration status (which includes the A-number) for the appellant. CLAIMS 3 also provides coverage for name, business, mailing address, email address, phone number of the interpreter and preparer.</p> <p>PRIV finds Form I-694 is covered by the DHS/USCIS/ICE/CBP-001 SORN, which covers maintenance of records collected in the A-File.</p> <p>Form I-694 will be covered by the forthcoming DHS/USCIS-007 SORN, which covers automated processing of immigrant and nonimmigrant benefit petitions and applications.</p>	



**Homeland
Security**

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