



## 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](mailto: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.

<b>Form Number:</b>	<b>Form I-130</b>		
<b>Form Title:</b>	<b>Petition for Alien Relative</b>		
Component:	U.S. Citizenship and Immigration Services (USCIS)	Office:	<b>Field Operations Directorate</b>

#### IF COVERED BY THE PAPERWORK REDUCTION ACT:

<b>Collection Title:</b>	<b>Form I-130, Petition for Alien Relative</b>		
OMB Control Number:	1615-0012	OMB Expiration Date:	July 31, 2018
Collection status:	Extension	Date of last PTA (if applicable):	<b>May 20, 2016</b>

#### PROJECT OR PROGRAM MANAGER

Name:	Mariusz Misiaszek		
Office:	Field Operations Directorate	Title:	Adjudications Officer
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#### COMPONENT INFORMATION COLLECTION/FORMS CONTACT



Name:	Megan Barker		
Office:	Office of Policy & Strategy	Title:	Management Program Analyst
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## 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.*

#### **Form Extension**

USCIS is submitting the Form I-130 PTA to document that the form is being extended under PRA with no revisions.

#### **Form I-130, Petition for Alien Relative**

Form I-130, *Petition for Alien Relative*, is a petition for a U.S. citizen or lawful permanent resident to submit on behalf of certain alien relatives who wish to immigrate to the United States. It is used to establish the relationship of the petitioner to certain alien relatives. Filing a Form I-130 is only the first step in helping a relative immigrate to the United States. Eligible family members must wait until there is a visa number available before they can apply to become a lawful permanent resident. Generally, to be eligible for approval the petitioner must establish:

- A bona fide relationship exists between the beneficiary and petitioner; and
- The petitioner is a U.S. citizen or lawful permanent resident.

If the petitioner is a U.S. citizen, they may file Form I-130 for their:

- spouse;
- unmarried children under 21 years of age;
- unmarried sons or daughters 21 years of age or older;
- married sons or daughters of any age;
- brothers or sisters (petitioner must be 21 years of age or older); and
- mother or father (petitioner must be 21 years of age or older).

If the petitioner is a lawful permanent resident of the United States, they may file Form I-130 for their:

- spouse;



- unmarried child under 21 years of age; and
- unmarried son or daughter 21 years of age or older.

When a petition is approved for the spouse, unmarried children under 21 years of age, or parents of a U.S. citizen, these persons are classified as immediate relatives, which means visas are immediately available. When a petition is approved for a U.S. citizen's sibling or married or adult son or daughter, or for a lawful permanent resident's spouse, child, or unmarried son or daughter, it is assigned to the appropriate visa preference category. Each year, a limited number of immigrant visas are available for each preference category. The visas are processed in the order in which the petitions are properly filed and accepted by us. To be considered properly filed, a petition must be fully completed and signed, and the filing fee must be paid.

There are a variety of requirements and eligibilities for the petitioner and beneficiary. Detailed information can be found on the [Instructions for Form I-130, Petition for Alien Relative, and Form I-130A, Supplemental Information for Spouse Beneficiary](#) found on [USCIS' website](#).

US Citizens and Lawful Permanent Residents file the Form I-130 by mail at the USCIS Phoenix or Chicago Lockboxes, depending on where the petitioner lives and whether their relative is also concurrently filing Form I-485, Application to Register Permanent Residence or Adjust Status.

### **Relevant IT System**

USCIS currently uses the Interim Case Management Solutions (ICMS), CLAIMS 3, and Case and Activity Management for International Operations (CAMINO) to adjudicate the petition. However, the Form I-130 is currently being reviewed, and requirements are being gathered, to eventually enable adjudication in the Electronic Immigration System (ELIS), an internal case management system used primarily by USCIS officers to review and adjudicate cases. Online filing via MyUSCIS, a customer service tool that provides an online public-facing portal for USCIS customers to access information related to their applications, petitions, and service requests, is expected to become available at the same time. The Form I-130 is adjudicated in a receipt file (if filed on its own) or A-File (if filed concurrently with other immigration status granting applications), but all adjudicated Form I-130s are eventually incorporated into and stored in an A-File.

- 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.*

Office of Information and Technology (OIT) and Immigration Records and Identity Services (IRIS)



2. Describe the IC/Form	
a. Does this form collect any Personally Identifiable Information” (PII <sup>1</sup> )?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
b. From which type(s) of individuals does this form collect information? (Check all that apply.)	<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 type="checkbox"/> Other federal employees or contractors.
c. Who will complete and submit this form? (Check all that apply.)	<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? <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Law enforcement. <input type="checkbox"/> DHS employee or contractor. <input type="checkbox"/> Other individual/entity/organization <b>that is NOT the record subject.</b> <i>Please describe.</i> <a href="#">Click here to enter text.</a>

<sup>1</sup> 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.



<p>d. How do individuals complete the form? <i>Check all that apply.</i></p>	<p><input checked="" type="checkbox"/> Paper.</p> <p><input checked="" type="checkbox"/> Electronic. (ex: fillable PDF)</p> <p><input type="checkbox"/> Online web form. (available and submitted via the internet)</p> <p><i>Provide link:</i></p>
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e. What information will DHS collect on the form? *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.*

**Information about the petitioner:**

- A-Number (if one)
- USCIS Online Account Number (if any)
- U.S. Social Security Number (if any)
- Full Name
- Aliases
- City/Town/Village and Country of Birth
- Date of Birth
- Sex
- Mailing Address
- Physical Address
- Address History for last five years
- Number of times married
- Current marital status
- Date of current marriage (if currently married)
- Place of current marriage (if currently married)
- Full name of current spouse (if currently married)
- Full names of prior spouses (if married in the past)
- Dates prior marriages ended (if married in the past)
- Parents' full name
- Parent's date of birth
- Parents' sex
- Parents' country of birth
- Parents' city/town/village and country of residence
- Current status in United States (either USC or LPR)
- How citizenship acquired (if USC)
- U.S. Certificate of Naturalization or Citizenship number, place of issuance, and date of issuance (if obtained)
- Class of admission (if LPR)



- Date and place of admission (if LPR)
- Whether LPR status acquired through marriage to a USC or LPR (if LPR)
- Employment History for the last five years
- Ethnicity
- Race
- Height
- Weight
- Eye color
- Hair color
- Last address physically lived with beneficiary, if the beneficiary is the petitioner's spouse
- Full name of any individuals filed a petition for in the past
- City/town and state where petitions for any individuals in the past were filed
- Date any petitions for any individuals in the past were filed
- Result of any petitions filed for any individuals in the past
- Full name and relationship of any other beneficiaries currently filing a petition for
- Daytime telephone number
- Mobile telephone number (if any)
- Email address (if any)

**Information about the beneficiary:**

- A-Number (if one)
- USCIS Online Account Number (if any)
- U.S. Social Security Number (if any)
- Full Name
- Aliases
- City/town/village and country of birth
- Date of birth
- Sex
- Physical Address
- Address in the United States intend to live (if different from physical address)
- Address outside the United States (if different from physical address)
- Daytime telephone number (if any)
- Mobile telephone number (if any)
- Email address (if any)
- Number of times married
- Current marital status
- Date of current marriage (if currently married)
- Place of current marriage (if currently married)
- Full name of current spouse (if currently married)



- Full names of prior spouses (if married in the past)
- Dates prior marriages ended (if married in the past)
- Date of birth of current spouse (if currently married)
- Country of birth of current spouse (if currently married)
- Children's full name
- Relationship with children (son, daughter)
- Children's date of birth
- Children's country of birth
- Class of admission (if in the United States)
- Form I-94 Arrival/Departure Record Instructions number (if in the United States)
- Date of arrival (if in the United States)
- Date authorized stay expires (if in the United States)
- Travel document information
- Current employment information
- Type of immigration proceedings (if ever in proceedings)
- City/town, state, and date of immigration proceedings (if ever in proceedings)

#### **Information about the preparer:**

- Full name
- Business or Organization name (if any)
- Mailing address
- Daytime telephone number
- Mobile telephone number (if any)
- Email address (if any)

#### **Information about the interpreter:**

- Full name
- Business or Organization name (if any)
- Mailing address
- Daytime telephone number
- Mobile telephone number (if any)
- Email address (if any)

#### **Information about the attorney:**

- Volag Number
- Attorney State Bar Number
- USCIS Online Account Number (if any)





<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>	
<p><input checked="" type="checkbox"/> Social Security number</p> <p><input checked="" type="checkbox"/> Alien Number (A-Number)</p> <p><input type="checkbox"/> Tax Identification Number</p> <p><input type="checkbox"/> Visa Number</p> <p><input checked="" type="checkbox"/> Passport Number</p> <p><input type="checkbox"/> Bank Account, Credit Card, or other financial account number</p> <p><input type="checkbox"/> Other. <i>Please list:</i></p>	<p><input type="checkbox"/> DHS Electronic Data Interchange Personal Identifier (EDIPI)</p> <p><input type="checkbox"/> Social Media Handle/ID</p> <p><input type="checkbox"/> Known Traveler Number</p> <p><input type="checkbox"/> Trusted Traveler Number (Global Entry, Pre-Check, etc.)</p> <p><input type="checkbox"/> Driver's License Number</p> <p><input checked="" type="checkbox"/> Biometrics</p>
<p>g. List the <b>specific authority</b> to collect SSN or these other SPII elements.</p>	
<p>Sections 103, 204, and 264(f) of the Immigration and Nationality Act; 8 USC, 1101, 1181, 1185, and 1304; 22 CFR 41.104; Memorandum of President of the United States, Mar. 6, 2017, 82 F.R. 16279 "Implementing Immediate Heightened Screening and Vetting of Applications for Visas and Other Immigration Benefits, Ensuring Enforcement of All Laws for Entry Into the United States, and Increasing Transparency Among Departments and Agencies of the Federal Government and for the American People"</p>	
<p>h. How will this information be used? What is the purpose of the collection? Describe <b>why</b> this collection of SPII is the minimum amount of information necessary to accomplish the purpose of the program.</p>	
<p>The social security number may be used to verify the identity of the petitioner and beneficiary. The SSN is used when investigating potential fraud or criminal issues in various records and systems, as it is a unique identifier, just as are fingerprints.</p>	
<p>i. Are individuals provided notice at the time of collection by DHS (<i>Does the records subject have notice of the collection or is form filled out by third party</i>)?</p>	<p><input checked="" type="checkbox"/> Yes. Please describe how notice is provided.</p> <p>A Privacy Notice is included in the corresponding form instructions. The Form I-130 can be filled out by the petitioner or, at the petitioner's request, a preparer and with the assistance of an interpreter. The Petitioner must sign and date the Petition, certifying that all of the information was provided or authorized by the petitioner, and that they reviewed and understood all of the information contained in, and submitted with the petition, and that all of the information is complete, true, and correct.</p>



	<input type="checkbox"/> No.
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3. How will DHS store the IC/form responses?	
a. How will DHS store the original, completed IC/forms?	<input checked="" type="checkbox"/> Paper. Please describe. A-File <input checked="" type="checkbox"/> Electronic. Please describe the IT system that will store the data from the form. CLAIMS 3, ICMS, and CAMINO <input checked="" type="checkbox"/> Scanned forms (completed forms are scanned into an electronic repository). Please describe the electronic repository. Enterprise Document Management System (EDMS)
b. If electronic, how does DHS input the responses into the IT system?	<input checked="" type="checkbox"/> Manually (data elements manually entered). Please describe. Some information is submitted manually by employees with Lockbox. The Lockbox uses both, with the first step being an automatic scan to capture recognizable information. Then, for fields that we have designated for additional verification, Lockbox contract staff are manually reviewing, verifying, and correcting, if needed. <input checked="" type="checkbox"/> Automatically. Please describe. Initial Automatic scan to capture recognizable information.
c. How would a user search the information submitted on the forms, <i>i.e.</i> , how is the information retrieved?	<input checked="" type="checkbox"/> By a unique identifier. <sup>2</sup> <i>Please describe.</i> If information is retrieved by personal identifier, please submit a Privacy Act Statement with this PTA. Records may be retrieved a personal identifier or a combination of personal identifiers such as name and date of birth and A number.

<sup>2</sup> 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.



	<input type="checkbox"/> By a non-personal identifier. <i>Please describe.</i> <a href="#">Click here to enter text.</a>
<p>d. What is the records retention schedule(s)? <i>Include the records schedule number.</i></p>	<p>DAA-0566-2016-0018 covers Form I-130</p> <p>DAA-0566-2016-0009 covers CLAIMS 3 records. Data is destroyed 50 years after the last completed action.</p> <p>N1-566-12-06 covers CAMINO - Case and Activity Management for International Operations</p> <p>ICMS is a non-record system.</p> <p>N1-566-08-11 covers A-Files records which were deemed permanent. USCIS transfers A-Files 100 years after the individual's date of birth.</p>
<p>e. How do you ensure that records are disposed of or deleted in accordance with the retention schedule?</p>	<p>The system owner is responsible for ensuring the records are deleted in accordance with the approved records retention schedule.</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 type="checkbox"/> Yes, information is shared with other DHS components or offices. Please describe.  <a href="#">Click here to enter text.</a></p> <p><input checked="" 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.</p> <p><b>U.S. Department of State (DOS)</b></p> <p>Once an individual is the beneficiary of an approved immigrant petition and an immigrant visa number is immediately available to them, there are two ways to apply for lawful permanent resident status (a Green Card). If the beneficiary is already in the United States, they can apply for permanent resident status without having to return to their home country to complete processing. This process is called adjustment of status.</p> <p>If the beneficiary is outside of the United States, they may apply at a U.S. Department of State consulate abroad for an immigrant visa in order to come to the United States and be admitted</p>	



as a permanent resident. This pathway is referred to as consular processing. Consular processing involves the sending of an approved I-130 to the Department of State so that DOS can interview the beneficiary who is seeking the immigrant visa.

No. Information on this form is not shared outside of the collecting office.



**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:	<b>Nina Robinson</b>
Date submitted to component Privacy Office:	<b>April 20, 2018</b>
Date submitted to DHS Privacy Office:	<b>May 8, 2018</b>
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 checked="" type="checkbox"/> Yes. Please include it with this PTA submission. <input type="checkbox"/> No. Please describe why not. <a href="#">Click here to enter text.</a>
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>	
The USCIS Office of Privacy recommendation is to designate this form as privacy sensitive with coverage under the following:	
<p><b><u>PIA</u></b></p> <ul style="list-style-type: none"> <li>• DHS/USCIS/PIA-003 Integrated Digitization Document Management Program (IDDMP), which covers the storage of Form I-130 in EDMS</li> <li>• DHS/USCIS/PIA-016 Computer Linked Application Information Management System (CLAIMS 3) and Associated Systems, which covers the processing and storage of Form I-130</li> <li>• DHS/USCIS/PIA-051 Case and Activity Management for International Operations, which covers the processing and storage of the Form I-130</li> </ul> <p><b><u>SORN</u></b></p> <ul style="list-style-type: none"> <li>• DHS/USCIS/ICE/CBP-001- Alien File, Index, and National File Tracking System of Records, which covers the use, collection, and storage of the Form I-130 in the A-File</li> <li>• DHS/USCIS-007-Benefits Information System, which covers the use, collection, and storage of beneficiaries, family members, representatives, and preparers and</li> </ul>	



interpreters information to determine and administer the Petition for the Alien Relative



## PRIVACY THRESHOLD ADJUDICATION

**(TO BE COMPLETED BY THE DHS PRIVACY OFFICE)**

DHS Privacy Office Reviewer:	<b>Hannah Burgess</b>
PCTS Workflow Number:	<b>1162951</b>
Date approved by DHS Privacy Office:	May 14, 2018
PTA Expiration Date	May 14, 2021

### DESIGNATION

Privacy Sensitive IC or Form:	<b>Yes If "no" PTA adjudication is complete.</b>
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:	Choose an item.
Date IC/Form Approved by PRIV:	Click here to enter a date.
IC/Form PCTS Number:	Click here to enter text.
Privacy Act Statement:	Choose an item. Click here to enter text.
PTA:	Choose an item. Click here to enter text.



PIA:	<p><b>System covered by existing PIA</b>          If covered by existing PIA, please list: <b>DHS/USCIS/PIA-003 Integrated Digitization Document Management Program (IDDMP); DHS/USCIS/PIA-016 Computer Linked Application Information Management System (CLAIMS 3) and Associated Systems; DHS/USCIS/PIA-051 Case and Activity Management for International Operations</b>          If a PIA update is required, please list: <a href="#">Click here to enter text.</a></p>
SORN:	<p><b>System covered by existing SORN</b>          If covered by existing SORN, please list: <b>DHS/USCIS/ICE/CBP-001 – Alien File, Index, and National File Tracking System of Records, September 18, 2017, 82 FR 43556; DHS/USCIS-007 - Benefits Information System October 19, 2016 81 FR 72069</b>          If a SORN update is required, please list: <a href="#">Click here to enter text.</a></p>
<p>DHS Privacy Office Comments:  <i>Please describe rationale for privacy compliance determination above.</i></p>	
<p><b>USCIS is submitting this PTA to discuss Form I-130, Petition for Alien Relative, per the three-year expiration. Form I-130 is used to allow U.S. citizens or lawful permanent residents to submit a petition on behalf of alien relatives wishing to immigrate to the United States.</b></p> <p><b>The form collects an array of PII about the requesting individual, the relative in question, and any preparer/interpreter/attorney involved. USCIS uses the information on the form to establish the relationship of the requestor to the relative, and begin the process of helping a relative immigrate to the United States. All adjudicated Form I-130s are eventually incorporated into and stored in an A-File.</b></p> <p><b>The DHS Privacy Office finds that this is a privacy sensitive collection, requiring PIA coverage. Coverage is provided by DHS/USCIS/PIA-003 Integrated Digitization Document Management Program (IDDMP), which covers the storage of Form I-130 in EDMS, and DHS/USCIS/PIA-016 Computer Linked Application Information Management System (CLAIMS 3) and Associated Systems and DHS/USCIS/PIA-051 Case and Activity Management for International Operations, which cover the processing and storage of Form I-130.</b></p> <p><b>SORN coverage is also required, and is provided by DHS/USCIS/ICE/CBP-001 Alien File, Index, and National File Tracking System of Records, which covers the use, collection, and storage of the Form I-130 in the A-File, and DHS/USCIS-007 Benefits Information System, which covers the use, collection, and storage of PII from beneficiaries, family members, representatives, and preparers and interpreters.</b></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](http://www.dhs.gov/privacy)

**The DHS Privacy Office notes that once online/electronic filing is enabled for Form I-130, a new PTA should be submitted.**