



PRIVACY THRESHOLD ANALYSIS (PTA)

This form will be used to determine whether a Privacy Impact Assessment (PIA), System of Records Notice (SORN), or other privacy compliance documentation is required under the E-Government Act of 2002, the Homeland Security Act of 2002, the Privacy Act of 1974, or DHS policy.

Please complete this form and send it to your Component Privacy Office. If you are unsure of your Component Privacy Office contact information, please visit <https://www.dhs.gov/privacy-office-contacts>. If you do not have a Component Privacy Office, please send the PTA to the DHS Privacy Office:

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

PIA@hq.dhs.gov

Your Component Privacy Office will submit the PTA on behalf of your office. Upon receipt from your Component Privacy Office, the DHS Privacy Office will review this form. If a PIA, SORN, or other privacy compliance documentation is required, your Component Privacy Office, in consultation with the DHS Privacy Office, will send you a copy of the template to complete and return.

For more information about the DHS Privacy compliance process, please see <https://www.dhs.gov/compliance>. A copy of the template is available on DHS Connect at

(b)(7)(E) or directly from the DHS Privacy Office via email: PIA@hq.dhs.gov or phone: 202-343-1717.



PRIVACY THRESHOLD ANALYSIS (PTA)

SUMMARY INFORMATION

Project, Program, or System Name:	Unified Processing (UPRO)		
Component or Office:	Customs and Border Protection (CBP)	Office or Program:	ATS-C
FISMA Name (if applicable):	Automated Targeting System Cloud (ATSC)	FISMA Number (if applicable):	CBP-08213-MAJ-08213
Type of Project or Program:	Program	Project or program status:	Development
Date first developed:	Click here to enter a date.	Pilot launch date:	Click here to enter a date.
Date of last PTA update	July 14, 2022	Pilot end date:	Click here to enter a date.
ATO Status (if applicable):¹	Complete	Expected ATO/ATP/OA date (if applicable):	November 18, 2023

PROJECT, PROGRAM, OR SYSTEM MANAGER

Name:	(b)(6) (b)(7)(C)		
Office:	OIT/TASPD	Title:	Deputy Branch Director
Phone:	(b)(6) (b)(7)(C)	Email:	(b)(6) (b)(7)(C)@cbp.dhs.gov

INFORMATION SYSTEM SECURITY OFFICER (ISSO) (IF APPLICABLE)

Name:	(b)(6) (b)(7)(C)		
Phone:	(b)(6) (b)(7)(C)	Email:	(b)(6) (b)(7)(C)@cbp.dhs.gov

¹ The DHS OCIO has implemented a streamlined approach to authorizing an Authority to Operate (ATO), allowing for rapid deployment of new IT systems and initiate using the latest technologies as quickly as possible. This approach is used for selected information systems that meet the required eligibility criteria in order to be operational and connect to the network. For more information, see

(b)(7)(E)



SPECIFIC PTA QUESTIONS

1. Reason for submitting the PTA: Updated PTA

CBP Privacy is submitting this new PTA to provide transparency and coverage for Unified Processing (UPRO), a new CBP system that will consolidate the functionality of both Unified Secondary (USEC) and e3. UPRO is part of the Automated Targeting System (ATS) Cloud security boundary (FISMA #CBP-08213-MAJ-08213). UPRO will be developed and implemented in 9 increments. **This PTA covers Increment 3, Event & Subject Creation / Announcements. The last adjudicated PTA is dated July 14, 2022.**

Background

The development and implementation of UPRO will be a multi-year, multi-increment approach. UPRO will standardize the functions of intake/processing, inspections, custody/detention, and prosecutions functions across U.S. Border Patrol (USBP) and Office of Field Operations (OFO).

UPRO will be a cloud-native, service-based common solution for CBP, which when fully implemented will accomplish the following:

- Streamline OFO and USBP workflows,
- Introduce processing efficiencies,
- Improve downstream reporting and analytics through consistent data capture,
- Leverage advanced technologies such as photo matching to enhance situational awareness and officer, agent, and detainee safety.
- Provide a common user interface and a single system shared by OFO and USBP thus increasing tactical and operational mobility with a readily trained surge force that can immediately respond to evolving situations in either operational domain.

Increment 1 - UPRO Mobile Intake (January 2022)

UPRO Mobile Intake app is a mobile application accessible to USBP agents operating in the field. USBP agents will use the UPRO Mobile Intake app to capture subject information at the time of apprehension / arrest in the field. (See, PTA, CBP - ATS-USBP Mobile Intake, dated 20220124).

Increment 2 – UPRO Desktop – Subject Dashboard/Inbox & Details (June 2022)

UPRO desktop will introduce a subject dashboard / inbox and subject details pages. UPRO will persist and display information collected through e3, UPRO Mobile Intake, or USEC, but will not collect additional information through UPRO directly (this increment introduces Read Only capabilities).

For USBP, subject dashboard/inbox will display all individuals who are currently at, or enroute to a USBP station. The data used to populate the dashboard/inbox will be extracted from the Enforcement Integration Database (EID), where e3 populates event and subject data; and from the UPRO database for subjects initially processed through UPRO Mobile Intake.



For OFO, the *subject dashboard/inbox* will display all individuals referred to secondary at a U.S. Port of Entry (POE). The data used to populate the dashboard/inbox will be extracted from primary to secondary referrals, and from Unified Secondary (USEC).

UPRO will populate the *subject's details* using data extracted from the source systems (e3 or USEC), and/or from UPRO for any subjects initially processed through UPRO Mobile Intake. The subject details page is populated with results from biographic queries performed against available ATS data sources and queries, biometric queries against Automated Biometric Identification System (IDENT), FBI's Next Generation Identification (NGI), and DOD Automated Biometric Identification System (ABIS), as well as photo matches against ATS derogatory holdings and prior EID encounters. Some data sources will not be available in Increment 2 (such as NGI or ABIS); these data sources will be added in future increments.

Increment 3 (Updated April 2023) – Please note that all implementation dates are tentative, and development and deployment may change based on the needs of CBP.

- *Increment 3 – Event & Subject Creation, Announcements (Due FY23Q3)* – will provide USBP and OFO desktop capability to create encounter records for USBP and OFO, standardizes data creation across CBP, and introduces additional automation to reduce manual data entry. All data created through UPRO will be automatically propagated back to the source systems, e3 or USEC, to support subsequent processing steps during parallel operations and full cut-over to UPRO is completed and Full Operational Capability (FOC) is reached. Increment 3 also extends the Subject Inbox and Subject Details pages to Sea Ports of Entry for OFO, and introduces the Announcements feature, which is used to post important information to UPRO users (mobile and desktop).

Increments 4 through 9 will be implemented in FY24 and FY25 and will be discussed at a later date. That forthcoming PTA updates will discuss Biometrics (Increment 4), Prosecutions (Increment 5), Custody, Detentions and Transfers (Increment 6), Case Processing and Charging Documents (Increment 7), Electronic A-File / Inspection Processing (Increment 8), and Vehicle Inbox and Inspections / Specialized Workflows (Increment 9).

<p>2. From whom does the Project, Program, or System collect, maintain, use, or disseminate information? <i>Please check all that apply.</i></p>	<p><input type="checkbox"/> This project does not collect, collect, maintain, use, or disseminate any personally identifiable information²</p> <p><input checked="" type="checkbox"/> Members of the public</p> <p><input checked="" type="checkbox"/> U.S. Persons (U.S citizens or lawful permanent residents)</p> <p><input checked="" type="checkbox"/> Non-U.S. Persons</p>
---	---

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.



	<input checked="" type="checkbox"/> DHS Employees/Contractors (list Components): CBP <input type="checkbox"/> Other federal employees or contractors (list agencies): <i>Click here to enter text.</i>
<p>2(a) Is information meant to be collected from or about sensitive/protected populations?</p>	<input type="checkbox"/> No <input checked="" type="checkbox"/> 8 USC § 1367 protected individuals (e.g., T, U, VAWA) ³ <input checked="" type="checkbox"/> Refugees/Asylees <input type="checkbox"/> Other. Please list: <i>Click here to enter text.</i>

<p>3. What specific information about individuals is collected, maintained, used, or disseminated?</p>
<p>UPRO will collect, maintain, use or disseminate the following PII.</p> <p>Increment 1 (See, PTA, CBP - ATS-USBP Mobile Intake, dated 20220124)</p> <ul style="list-style-type: none"> • Full Name (Last, First, Middle) • Date of Birth • Sex • Nationality • Document Number (i.e., Passport, Driver’s License) (<i>Note: a passport is not a unique identifier unless the country of issuance information is available.</i>) • Document Type (i.e., passport, alien registration card, passport card) • Country of Issuance • Nationality • Photo • Monies in Possession • Property Tag ID • Transfer To Location • Comments/Remarks • Not In Custody Indicator • At Hospital Indicator • EID Event ID <p>Increment 2 (June 2022)</p>

³ This involves the following types of individuals: T nonimmigrant status (Victims of Human Trafficking), U nonimmigrant status (Victims of Criminal Activity), or Violence Against Women Act (VAWA). For more information about 1367 populations, please see: DHS Management Directive 002-02, Implementation of Section 1367 Information Provisions, available at

(b)(7)(E)



UPRO will persist and display information collected through e3, UPRO Mobile Intake, or USEC, but will not collect additional information through UPRO directly (**this increment introduces Read Only capabilities**). The following information will be extracted and persisted in UPRO from the original source system (e3 or USEC) and displayed within UPRO:

Subject Information

- Last Name, First Name
- Date of Birth
- Country of Birth
- Country of Citizenship
- Photo of referred or apprehended individual
- Document Information (Document Number, Document Type, Document Country, and if available Document Photo, Place of Birth, Sex, Issue Date, Expiration Date)
- A-Number
- Fingerprint Identification Number (FIN)
- FBI Number
- Social Security Number
- Conveyance Information
- Apprehension or Referral Location
- Referral Date/Time or Arrest Date/Time
- Entry Site
- Method of Arrest
- Entry Status
- Referral Reason
- Primary Hit information
- Tracking Sign-Cutting and Monitoring (TSM) Event Number
- Custody and holding location information
- Welfare Check information
- Medical information
- Property Information
- Disposition
- Inspection Information (Admissibility, Baggage, Agriculture)
- CDS Classification and CDS Program
- Charges, Allegation Text
- Charging Documents / Forms
- Narrative
- Relatives / Associates
- Contact Information (Foreign and US)
- Attachments from source event
- Family Unit/Family Group associations

Results of Biographic and Biometric Queries (June 2022)

- Biographic Queries against ATS, TECS, ENFORCE Alien Removal Module (EARM), Enforcement Integrated Database (EID), Electronic System for Travel Authorization (ESTA),



Visa, prior Foreign Encounters, USCIS Person Centric Query Service (PCQS), DOJ EOIR, FBI NCIC and Criminal History/Interstate Identification Index (III) data sources.

- Biometric Queries against IDENT, NGI, and ABIS (some biometric sources will be added in future increments)
- Photo matches against ATS derogatory data sources, prior EID encounters, prior Foreign Encounters, and National Center for Missing and Exploited Children (NCMEC)

Officer/Agent Information

- Agent Information:
 - Processing Agent
 - Receiving Agent
 - Deciding Agent
 - Arresting Agent
- Officer Information
 - Primary Officer
 - Processing Officer
 - Inspection Officer
 - Secondary Supervisor

Increment 3 (June 2023)

With Increment 3, UPRO will introduce the ability to create encounter records for USBP (within an existing e3 apprehension event) and encounter records for OFO prior to creation of an event. Encounter data supported by existing e3 and USEC systems will also be written back to those source systems to support further processing. The following data elements will be captured through UPRO as part of an encounter.

USBP:

- Apprehending Agent(s)
- Arrest Latitude and Longitude
- Arrest Zone
- Arresting Station (inferred)
- Arrest Method
- Entry Latitude and Longitude
- Nearest Port of Entry (inferred)
- Encounter Status
- K-9 information
- Intake Reason
- Intake Remarks
- Link/ reference to TSM event and e3 apprehension event
- Family relationships
- Subject photo
- Subject level tags and tag comments
- Biographic information (Full name, Date of Birth, Age, Sex, Country of Citizenship, Country of Birth)



- Pregnancy related questions
- Processing language
- Currency
- Property
- Documents (Document Country, Document Number)
- Holding location
- Co-Traveler group
- Family group
- Family unit
- Contact information (phone numbers, addresses, email addresses)
- Physical descriptors (hair color, eye color, height, weight, complexion, race, scars/marks/tattoos)
- Encountered and non-encountered relatives

OFO:

- Subject photo
- Biographic information (Full name, Date of Birth, Age, Sex, Country of Citizenship, Country of Birth)
- Processing language
- Subject level tags and tag comments
- Holding location
- Carrier and Flight information

Direction of travel

- Referral site
- Inspection type
- Referral remarks
- Contact information (phone numbers, addresses, email addresses)
- Physical descriptors (hair color, eye color, height, weight, complexion, race, scars/marks/tattoos)

UPRO will also display additional data from e3 and USEC events as part of Increment 3, including:

- Update task list options for USBP and OFO (FD936 DNA Collection and Consular Notifications)
- Display event I-44 and G-166 in narrative section.

Results of Biographic, Biometric, or ATS queries (June 2023)

- Biographic Queries against TECS Border Crossings, Nlets, Canadian Nlets, Consular Electronic Application Center (CEAC) and tentatively Inter Agency Counter Terrorism (IACT) visa application data from DoS, EVUS, Inspections
- Photo matches against existing secondary referrals, crossings, or manifest photos
- ATS Rule Findings



3(a) Does this Project, Program, or System collect, maintain, use, or disseminate Social Security numbers (SSN) or other types of stand-alone sensitive information?⁴ If applicable, check all that apply.	
<input checked="" type="checkbox"/> Social Security number <input checked="" type="checkbox"/> Alien Number (A-Number) <input type="checkbox"/> Tax Identification Number <input checked="" type="checkbox"/> Visa Number <input checked="" type="checkbox"/> Passport Number <input type="checkbox"/> Bank Account, Credit Card, or other financial account number <input checked="" type="checkbox"/> Driver's License/State ID Number	<input type="checkbox"/> Social Media Handle/ID <input checked="" type="checkbox"/> Driver's License/State ID Number <input checked="" type="checkbox"/> Biometric identifiers (e.g., <i>FIN, EID</i>) <input checked="" type="checkbox"/> Biometrics. ⁵ <i>Please list modalities (e.g., fingerprints, DNA, iris scans):</i> Photo <input type="checkbox"/> Other. <i>Please list: Click here to enter text.</i>
3(b) Please provide the specific legal basis for the collection of SSN:	<p>For individuals apprehended between the ports of entry SSN is collected based on the authorities specified in 6 U.S. C. 202; 8 USC 1103, 1158, 1201, 1225, 1324, 1357, 1360, 1365a, 1365b, 1379, and 1732; 19 U.S.C. 2071, 1581-1583 and 1461.</p> <p>For individuals encounters at a Port of Entry: ATS derives its authority primarily from 19 U.S.C. §§ 482, 1461, 1496, 1581, 1582; 8 U.S.C. § 1357; 49 U.S.C. § 44909; the Enhanced Border Security and Visa Reform Act of 2002 (EBSVRA) (Pub. L. 107-173); the Trade Act of 2002 (Pub. L. 107-210); the Intelligence Reform and Terrorism Prevention Act of 2004 (IRTPA) (Pub. L. 108-458); and the Security and Accountability for Every Port Act of 2006 (SAFE Port Act) (Pub. L. 109-347).</p>
3(c) If the SSN is needed to carry out the functions and/or fulfill requirements of the Project, System, or Program, please explain why it is necessary and how it will be used.	
<p>Users enter biographic, biometric, encounter, border-violence, and prosecution data to support DHS mission involving the law enforcement apprehensions and encounters.</p> <p>These activities include:</p>	

⁴ Sensitive PII (or sensitive information) is PII that if lost, compromised, or disclosed without authorization, could result in substantial harm, embarrassment, inconvenience, or unfairness to an individual. More information can be found in the DHS Handbook for Safeguarding Sensitive Personally Identifiable Information, available at <https://www.dhs.gov/publication/handbook-safeguarding-sensitive-personally-identifiable-information>.

⁵ If related to IDENT/HART and applicable, please complete all Data Access Request Analysis (DARA) requirements. This form provides privacy analysis for DHS' IDENT, soon to be HART. The form replaces a PTA where IDENT is a service provider for component records. PRIV uses this form to better understand how data is currently shared, will be shared and how data protection within IDENT will be accomplished. IDENT is a biometrics service provider and any component or agency submitting data to IDENT is a data provider.



- Identifying, apprehending, and removing individuals who are in the United States illegally.
- Filing administrative and criminal charges against individuals who commit illegal acts.
- Seizing contraband associated with illegal activities
- Recording incidences of border violence
- Prosecuting individuals who have entered the United States illegally

Although most apprehensions will consist of information gathered from individuals entering the US illegally there is a possibility that information.

Social Security Numbers are also used as additional information to further valid a traveler’s identity.

3(d) If the Project, Program, or System requires the use of SSN, what actions are being taken to abide by Privacy Policy Instruction 047-01-010, SSN Collection and Use Reduction,⁶ which requires the use of privacy-enhancing SSN alternatives when there are technological, legal, or regulatory limitations to eliminating the SSN? Note: even if you are properly authorized to collect SSNs, you are required to use an alternate unique identifier. If there are technological, legal, or regulatory limitations to eliminating the SSN, privacy-enhancing alternatives should be taken, such as masking, truncating, or encrypting the SSN, or blocking the display of SSNs in hard copy or digital formats.

The system applies masking to SSN records to enhance privacy, showing last four digits only. In addition, SSN are only available to those individuals with an operational need to know.

4. How does the Project, Program, or System retrieve information?

By a unique identifier.⁷ Please list all unique identifiers used:

System queries executed using unique identifiers to bring back matching records from ATS data sources, or from IDENT (using FIN).

- Passport Number
- Driver’s License/State ID Number
- Visa Number
- A-File#
- FIN
- Event #
- Subject ID
- FBI #

⁶ See <https://www.dhs.gov/publication/privacy-policy-instruction-047-01-010-ssn-collection-and-use-reduction>.

⁷ 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 checked="" type="checkbox"/> By a non-unique identifier or other means. Please describe: System queries executed using non-unique identifiers such as Name and Date of Birth bring back matching records from ATS data sources.
--	---

<p>5. What is the records retention schedule(s) for the information collected for each category type (include the records schedule number)? <i>If no schedule has been approved, please provide proposed schedule or plans to determine it.</i></p> <p><i>Note: If no records schedule is in place or are unsure of the applicable records schedule, please reach out to the appropriate Records Management Office.⁸</i></p>	<p>Records are maintained in ATS for fifteen years, unless it is linked to active law enforcement lookout records, CBP matches to enforcement activities, and/or investigations or cases (i.e., specific and credible threats; flights, individuals, and routes of concern; or other defined sets of circumstances), in which case the data will be stored in e3 and TECS and remain accessible for the life of the law enforcement matter to support that activity and other enforcement activities that may become related, and are retained for up to 75 years. retention.</p>
--	--

<p>5(a) How does the Project, Program, or System ensure that records are disposed of or deleted in accordance with the retention schedule (e.g., technical/automatic purge, manual audit)?</p>	<p>The system will implement automated purge mechanisms.</p>
---	--

<p>6. Does this Project, Program, or System connect, receive, or share PII with any other DHS/Component projects, programs, or systems?⁹</p>	<p><input type="checkbox"/> No.</p> <p><input checked="" type="checkbox"/> Yes. If yes, please list:</p> <ul style="list-style-type: none"> • Unified Processing will execute queries against the following DHS data sources, which are either ingested into Automated Targeting System (ATS) or are accessed through query services: • CBP Automated Targeting System (ATS) • CBP Consolidated Secondary Inspection System (CSIS)
--	---

⁸ See (b)(7)(E)

⁹ 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 IACS.



	<ul style="list-style-type: none"> • CBP TECS • CBP I-94 • CBP Electronic System for Travel Authorization (ESTA) • CBP Electronic Visa Update System (EVUS) • ICE Enforcement Integrated Database (EID) • ICE Enforce Alien Removal Module (EARM) • ICE Student and Exchange Visa Information System (SEVIS) • USCIS Central Index System (CIS), Person Centric Query Services (PCQS) • OBIM IDENT
<p>7. Does this Project, Program, or System connect, receive, or share PII with any external (non-DHS) government or non-government partners or systems?</p>	<p><input type="checkbox"/> No.</p> <p><input checked="" type="checkbox"/> Yes. If yes, please list:</p> <p>UPRO will execute queries against the following external data sources, which are either ingested into Automated Targeting System (ATS) or are accessed through query services:</p> <ul style="list-style-type: none"> • DoS US Passport data • DoS CEAC data • DoS Visa data • NLETS • Canadian Nlets • FBI National Crime Information Center (NCIC) • FBI Interstate Identification Index (III) • FBI NGI (later increment)



	<ul style="list-style-type: none"> • DoD ABIS (later increment) • DoJ EOIR (retrieved through USCIS PCQS interface)
<p>8. Is this sharing pursuant to new or existing information sharing agreement (MOU, MOA, LOI, RTA, etc.)? If applicable, please provide agreement as an attachment.</p>	<p>Existing</p> <p>Please describe applicable information sharing governance in place: <i>DHS Policy for Internal Information Exchange and Sharing</i>, referred to as the “One DHS” memorandum, which permits open information exchange among DHS and its’ components. In addition, CBP has existing ISAs with external partners.</p>
<p>9. Does the Project, Program, or System or have a mechanism to track external disclosures of an individual’s PII?</p>	<p><input type="checkbox"/> No. What steps will be taken to develop and maintain the accounting: <i>Click here to enter text.</i></p> <p><input checked="" type="checkbox"/> Yes. In what format is the accounting maintained: When fully implemented, UPRO will maintain an account for the transmission of information from CBP to other DHS component systems (i.e., ICE). In the case of third party sharing related to FOIA requests, sharing is tracked using the DHS Form 191.</p>
<p>10. Does this Project, Program, or System use or collect data involving or from any of the following technologies:</p>	<p><input type="checkbox"/> Social Media</p> <p><input type="checkbox"/> Advanced analytics¹⁰</p> <p><input type="checkbox"/> Live PII data for testing</p> <p><input checked="" type="checkbox"/> No</p>
<p>11. Does this Project, Program, or System use data to conduct electronic searches, queries, or analyses in an electronic database to discover or locate a predictive pattern or an anomaly indicative of terrorist or criminal activity on the part of any individual(s)</p>	<p><input checked="" type="checkbox"/> No.</p> <p><input type="checkbox"/> Yes. If yes, please elaborate: <i>Click here to enter text.</i></p>

¹⁰ The autonomous or semi-autonomous examination of Personally Identifiable Information using sophisticated techniques and tools to draw conclusions. Advanced Analytics could include human-developed or machine-developed algorithms and encompasses, but is not limited to, the following: data mining, pattern and trend analysis, complex event processing, machine learning or deep learning, artificial intelligence, predictive analytics, big data analytics.



(i.e., data mining)?¹¹ This does not include subject-based searches.	
11(a) Is information used for research, statistical, or other similar purposes? If so, how will the information be de-identified, aggregated, or otherwise privacy-protected?	<input checked="" type="checkbox"/> No. <input type="checkbox"/> Yes. If yes, please elaborate: <i>Click here to enter text.</i>
12. Does the planned effort include any interaction or intervention with human subjects¹² via pilot studies, exercises, focus groups, surveys, equipment or technology, observation of public behavior, review of data sets, etc. for research purposes	<input checked="" type="checkbox"/> No. <input type="checkbox"/> Yes. If yes, please reach out to the DHS Compliance Assurance Program Office (CAPO) for <u>independent</u> review and approval of this effort. ¹³
13. Does the Project, Program, or System provide role-based or additional privacy training for personnel who have access, <u>in addition</u> to annual privacy training required of all DHS personnel?	<input checked="" type="checkbox"/> No. <input type="checkbox"/> Yes. If yes, please list: <i>Click here to enter text.</i>
14. Is there a FIPS 199 determination?¹⁴	<input type="checkbox"/> No. <input checked="" type="checkbox"/> Yes. Please indicate the determinations for each of the following: Confidentiality:

¹¹ Is this a program involving pattern-based queries, searches, or other analyses of one or more electronic databases, where—
(A) a department or agency of the Federal Government, or a non-Federal entity acting on behalf of the Federal Government, is conducting the queries, searches, or other analyses to discover or locate a predictive pattern or anomaly indicative of terrorist or criminal activity on the part of any individual or individuals;

(B) the queries, searches, or other analyses are not subject-based and do not use personal identifiers of a specific individual, or inputs associated with a specific individual or group of individuals, to retrieve information from the database or databases; and

(C) the purpose of the queries, searches, or other analyses is not solely—
(i) the detection of fraud, waste, or abuse in a Government agency or program; or
(ii) the security of a Government computer system.

¹² Human subject means a living individual about whom an investigator conducting research: (1) obtains information or biospecimens through intervention or interaction with the individual, and uses, studies, or analyzes the information or biospecimens; or (2) obtains, uses, studies, analyzes, or generates identifiable private information or identifiable biospecimens.

¹³ For more information about CAPO and their points of contact, please see: <https://www.dhs.gov/publication/compliance-assurance-program-office> or <https://collaborate.st.dhs.gov/orgs/STCSSites/SitePages/Home.aspx?orgid=36>. For more information about the protection of human subjects, please see DHS Directive 026-04: https://www.dhs.gov/sites/default/files/publications/mgmt/general-science-and-innovation/mgmt-dir_026-04-protection-of-human-subjects_revision-01.pdf.

¹⁴ 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><input type="checkbox"/> Low <input checked="" type="checkbox"/> Moderate <input type="checkbox"/> High <input type="checkbox"/> Undefined</p> <p>Integrity: <input type="checkbox"/> Low <input checked="" type="checkbox"/> Moderate <input type="checkbox"/> High <input type="checkbox"/> Undefined</p> <p>Availability: <input type="checkbox"/> Low <input checked="" type="checkbox"/> Moderate <input type="checkbox"/> High <input type="checkbox"/> Undefined</p>
--	--



PRIVACY THRESHOLD REVIEW

(TO BE COMPLETED BY COMPONENT PRIVACY OFFICE)

Component Privacy Office Reviewer:	(b)(6) (b)(7)(C)
Date submitted to Component Privacy Office:	May 10, 2023
Concurrence from other Component Reviewers involved (if applicable):	Click here to enter text.
Date submitted to DHS Privacy Office:	May 11, 2023
Component Privacy Office Recommendation: <i>Please include recommendation below, including what new privacy compliance documentation is needed, as well as any specific privacy risks/mitigations, as necessary.</i>	
<h1>(b)(5)</h1>	



(TO BE COMPLETED BY THE DHS PRIVACY OFFICE)

DHS Privacy Office Reviewer:	(b)(6)
DHS Privacy Office Approver (if applicable):	
Workflow Number:	0014458
Date approved by DHS Privacy Office:	June 14, 2023
PTA Expiration Date	June 14, 2026

DESIGNATION

Privacy Sensitive System:	Yes
Category of System:	Program If "other" is selected, please describe: <i>Click here to enter text.</i>
Determination:	<input checked="" type="checkbox"/> Project, Program, System in compliance with full coverage <input type="checkbox"/> Project, Program, System in compliance with interim coverage <input type="checkbox"/> Project, Program, System in compliance until changes implemented <input type="checkbox"/> Project, Program, System not in compliance
PIA:	System covered by existing PIA DHS/CBP/PIA-006(e) Automated Targeting System; DHS/CBP/PIA-012 – CBP Portal (e3) to ENFORCE/IDENT; DHS/CBP/PIA-067 U.S. Customs and Border Protection Unified Secondary
SORN:	System covered by existing SORN DHS/CBP-006 Automated Targeting System, May 22, 2012, 77 FR 30297; DHS/CBP-011 U.S. Customs and Border Protection TECS, December 19, 2008, 73 FR 77778; DHS/CBP-013 Seized Assets and Case Tracking System, December 19, 2008, 73 FR 77764; DHS/CBP-023 Border Patrol Enforcement Records (BPER), October 20, 2016, 81 FR 72601; DHS/USCIS/ICE/CBP-001 Alien File, Index, and National File Tracking System of Records, September 18, 2017, 82 FR 43556; DHS/ICE-011 Criminal Arrest Records and Immigration Enforcement Records (CARIER) System of Records, October 19, 2016, 81 FR 72080
DHS Privacy Office Comments: <i>Please describe rationale for privacy compliance determination above, and any further action(s) that must be taken by Component.</i>	
(b)(5)	



(b)(5)



Homeland
Security

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

Privacy Threshold Analysis
Version number: 06-2020
Page 19 of 19

(b)(5)