



Privacy Impact Assessment

for the

Employee Production Reporting Tools (EPRT)

DHS Reference No. DHS/USCIS/PIA-086

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**Homeland
Security**



Abstract

The U.S. Department of Homeland Security (DHS) U.S. Citizenship and Immigration Services (USCIS) uses multiple reporting tools, collectively referred to as Employee Production Reporting Tools (EPRT), to support the DHS workforce performance management program and promote a culture that values high quality performance. USCIS is conducting this Privacy Impact Assessment (PIA) because Employee Production Reporting Tools collects, uses, and maintains the personally identifiable information (PII) of members of the public.

Overview

USCIS oversees lawful immigration to the United States by making determinations on immigration and citizenship benefit requests, promoting an awareness and understanding of citizenship, and ensuring the integrity of the U.S. immigration system. Pursuant to the Government Performance and Results Act of 1993 (GPRA), agencies are required to engage in performance management tasks such as setting goals, measuring results, and reporting their progress.¹ Government Performance and Results Act is designed to improve government performance management. Consistent with Government Performance and Results Act, USCIS produces strategic plans,² performance plans,³ and gap analyses of projects.⁴ USCIS has also implemented several agency goals to achieve agency-wide core competency performance standards and drive progress toward key outcomes. The aim of this performance measurement, analysis, and knowledge management is to guide the organization towards the achievement of its key goals. USCIS uses multiple reporting tools, collectively referred to as Employee Production Reporting Tools, to support the DHS workforce performance management program and promote a culture that values high quality performance.

For instance, the Performance Management Program and Appraisal Process plays an integral part in USCIS' strategy to create a culture of superior organizational performance. The program supports mission success through the accomplishment of individual employee goals identified in performance plans. Performance plans align individual performance goals with supervisor and agency strategic priorities, to ensure USCIS is prepared to meet its mission requirements. The Performance Management Program is responsible for monitoring, analyzing, and reporting performance and quality within USCIS. The program achieves this goal through

¹ Pub. L. 103–62, 107 Stat. 285 (1993).

² Strategic Plans describe USCIS's Strategic Performance Plan Measures in relation to the homeland security mission.

³ The Performance Plan is a tool designed to assist in setting up and managing the process of monitoring, analyzing, evaluating, and reporting progress toward achieving the agency and employee performance.

⁴ See U.S. DEPARTMENT OF HOMELAND SECURITY, U.S. CITIZENSHIP AND IMMIGRATION SERVICES, ANNUAL STRATEGIC PLANS, available at https://www.uscis.gov/sites/default/files/USCIS/About%20Us/Budget,%20Planning%20and%20Performance/USCIS_2017-2021_Strategic_Plan.pdf.



collecting and analyzing data from various sources. The program develops trend analyses and uses statistical data to provide performance comparisons, monitor corrective actions, coordinate and manage agency activities, and identify and support quality-related training needs.

USCIS leadership conducts quality reviews to comply with the Government Performance and Results Act and to help meet USCIS strategic goals. These reviews measure and track employee workloads to determine if agency performance standards are being met. Effective analysis depends upon the immediate availability of data that is accurate, complete, and yield the information needed for USCIS to make decisions. To that end, USCIS has created Employee Production Reporting Tools, which are used by USCIS employees and contractors throughout the agency to measure employee productivity. The specifics for each Employee Production Reporting Tool are described in the attached *Appendices A and B*. USCIS Employee Production Reporting Tools generally measure the following:

- Accuracy and timeliness of employee responses to inquiries from customers who have benefit request forms pending with USCIS;
- Individual employee productivity and overall statistical production for organizational analysis and performance appraisals;
- The quality of employee and contractor work product by way of assurance reviews and/or audits; and
- The amount of time an employee spends processing a benefit request form, as well as the amount of time spent on non-adjudication work (e.g., annual leave, administrative time, other tracked activities).

Additionally, the Employee Production Reporting Tools are used to assist USCIS in maximizing employee workloads as well as evaluating production, performance, and areas for improvement. Employee Production Reporting Tools help to foster an environment of organizational excellence by ensuring a well-trained and engaged workforce with the knowledge, skills, and tools to deliver on the agency's mission.

USCIS employees either manually enter their own production related information into a specified Employee Production Reporting Tool (e.g., Electronic Statistical Automated Activity Tracking (eSTAT), Quality Unit End User Evaluation (QUEUE), or applicable Locally Developed Applications (LDA)) or productivity information from various case management systems is automatically gathered through a system interconnection. The type and number of data elements collected, maintained, and used by an Employee Production Reporting Tool varies. Generally, an Employee Production Reporting Tool maintains employee and limited customer information. Information stored within the system may include employee name, user ID number for Electronic



Statistical Automated Activity Tracking or Quality Unit End User Evaluation users, date of processing, benefit requestor name, benefit requestor A-Number/Receipt number, and form type.

Employee Production Reporting Tools generate office, district, and regional level USCIS reports that consolidate employee production reporting processes into one system driven process (at regular or irregular intervals). The reports allow USCIS leadership to weigh individual employee productivity against the employee's performance appraisal. At the end of each fiscal year, employees are evaluated to see if they are performing at, above, or below their expected performance standards; with productivity being one factor in the performance appraisal. Access to an Employee Production Reporting Tool database is limited to personnel and supervisors of the specific organization with job duties that require the information.

Section 1.0 Authorities and Other Requirements

1.1 What specific legal authorities and/or agreements permit and define the collection of information by the project in question?

The Government Performance and Results Act permits the collection of employee production reporting data. Under the Government Performance and Results Act, agencies are required to engage in performance management tasks such as setting goals, measuring results, and reporting their progress. 5 CFR § 430.208 sets forth the regulations for performance appraisals. Further, Executive Order 12107 led to the establishment the Office of Personnel Management, Merit Systems Protection Board, the Special Counsel, and the Federal Labor Relations Authority,⁵ and transferred functions set forth in Section 403 of Reorganization Plan No. 2 of 1978 (43 Fed. Reg. 36037).

Additionally, 5 U.S.C. § 1104 directs the Office of Personnel Management to establish federal government standards. 5 U.S.C. § 3321 permits the federal government to take action on individuals who have not satisfactorily completed their probationary period. 5 U.S.C. § 5405 permits the Office of Personnel Management to establish criteria for the training of supervisors, managers, and other individuals involved in the process of making performance distinctions.

1.2 What Privacy Act System of Records Notice(s) (SORN(s)) apply to the information?

The following System of Records Notices cover the collection, maintenance, and use of the information for employee production and labor metrics for reporting purposes:

⁵ Executive Order 12107, *Relating to the Civil Service Commission and labor-Management in the Federal Service (1978)*, 44 Fed. Reg. 1055, available at <https://www.archives.gov/federal-register/codification/executive-order/12107.html>.



- DHS/ALL-004 General Information Technology Access Account Records System covers the DHS employee network information retained and used by USCIS systems to permit access;⁶
- DHS/ALL-019 DHS Payroll, Personnel, and Time and Attendance Records covers employee production and labor metrics;⁷
- DHS/USCIS/ICE/CBP-001 Alien File, Index, and National File Tracking System of Records covers information obtained from members of the public who pass through the U.S. immigration and inspection process and, when applicable, records related to any law enforcement action against or involving the individual;⁸ and
- DHS/USCIS-007 Benefit Information System covers USCIS' collection, use, maintenance, dissemination, and storage of paper and electronic benefit request information, including case processing.⁹

1.3 Has a system security plan been completed for the information system(s) supporting the project?

Yes. Systems covered under the Employee Production Reporting Tools fall under the Digital Innovation and Development – Information Technology (DID-IT) accreditation boundary and Amazon Web Services (AWS) accreditation boundary. For example, Electronic Statistical Automated Activity Tracking and Quality Unit End User Evaluation migrated to the Federal Risk and Authorization Management Program (FedRAMP)-approved Amazon Web Services U.S. cloud environment and received Authority to Operate (ATO) on November 13, 2017. Digital Innovation and Development – Information Technology completed the security assessment and authorization documentation in August 2013 and was accepted into the Ongoing Authorization program. Ongoing Authorization requires Digital Innovation and Development – Information Technology to be reviewed monthly and maintain its security posture to maintain its Authority to Operate.

⁶ See DHS/ALL-004 General Information Technology Access Account Records System (GITAARS), 77 Fed. Reg. 70792 (November 27, 2012), available at <https://www.dhs.gov/system-records-notices-sorns>.

⁷ See DHS/ALL-019 Payroll, Personnel, and Time and Attendance Records System of Records, 80 Fed. Reg. 58283 (September 28, 2015), available at <https://www.dhs.gov/system-records-notices-sorns>.

⁸ See DHS/USCIS/ICE/CBP-001 Alien File, Index, and National File Tracking System of Records, 82 Fed. Reg. 43556 (September 18, 2017), available at <https://www.dhs.gov/system-records-notices-sorns>.

⁹ See DHS/USCIS-007 Benefits Information System, 81 Fed. Reg. 72069 (October 19, 2016), available at <https://www.dhs.gov/system-records-notices-sorns>.



1.4 Does a records retention schedule approved by the National Archives and Records Administration (NARA) exist?

The Time and Production Tracking Tools retention schedule is pending National Archives and Records Administration approval. USCIS is proposing to delete and destroy employee production records 15 years from the date of the last completed action. In the meantime, all records will be retained indefinitely until a retention schedule is approved.

1.5 If the information is covered by the Paperwork Reduction Act (PRA), provide the OMB Control number and the agency number for the collection. If there are multiple forms, include a list in an appendix.

The Paperwork Reduction Act is not applicable as this information for Employee Production Reporting Tools purposes is not collected directly from members of the public.

Section 2.0 Characterization of the Information

2.1 Identify the information the project collects, uses, disseminates, or maintains.

The Employee Production Reporting Tools collect production information from USCIS employees and contractors. The type and amount of information collected and maintained in each system varies. Generally, USCIS collects the following information:

USCIS Employee and Contractor Information includes:

- USCIS Employee and Contractor User ID and/or Username;
- Full name;
- Email address;
- Telephone number;
- Position title;
- Employee status (i.e., active or inactive);
- Organizational Office Code; and
- Supervisor ID.

Work Productivity Information includes:

- Case ID number associated with members of the public (e.g., A-Number, Receipt Number, USCIS Online Account Number);



- Hour type (e.g., regular time, work at home time, holiday hours);
- Action taken (e.g., approval, denial);
- Form type processed;
- Form number;
- Referral ID; and
- Case status.

USCIS will use appendices or future iterations of this Privacy Impact Assessment if the need arises to incorporate additional data elements into the Employee Production Reporting Tools.

Employee Production Reporting Tools will also produce reports for individual and agency performance management purposes. System “users” can generate individual reports pertaining to their own performance. System “analysts” can generate their individual report and aggregate reports for their office. “Supervisors” can generate reports on subordinates and aggregate reports for their office. Office and Regional System Administrators maintain access to all reports under their jurisdiction. Headquarters (HQ) Administrators maintain access to Regional reports and offices under their direct jurisdiction. Role-based access restrictions are enforced to ensure that individuals only receive access to information required in the performance of official duties.

2.2 What are the sources of the information and how is the information collected for the project?

Employee Production Reporting Tools track employee activity for production, performance, and reporting purposes. Employees and contractors either manually enter production data and limited benefit requestor data (e.g., Receipt Number, A-Number, and/or USCIS Online Account Number) or productivity information from various case management systems is automatically collected through a system interconnection for tracking purposes.

2.3 Does the project use information from commercial sources or publicly available data? If so, explain why and how this information is used.

No, Employee Production Reporting Tools do not use information from commercial sources or publicly available data.

2.4 Discuss how accuracy of the data is ensured.

Various measures have been implemented to monitor and verify data quality and integrity. These measures include role-based user accounts and quality assurance reviews. Employee Production Reporting Tools implement user roles that allow supervisors to review data entered



into the system to verify the accuracy of the information. The Employee Production Reporting Tool records are also reviewed for quality assurance purposes to ensure that records were created correctly and that all appropriate updates have been made when cases are processed.

2.5 Privacy Impact Analysis: Related to Characterization of the Information

Privacy Risk: There is a risk of over-collection of information for tracking employee production.

Mitigation: This risk is partially mitigated. The type of information entered into each tool varies, but generally includes the immigration form type and how long the employee spent processing the form, as well as non-adjudication activity and hours (such as leave hours, administrative time, and other tracked activities). Employee Production Reporting Tools may also use a combination of a unique personal identifiers (such as A-Numbers, Receipt Numbers, and/or USCIS Online Account Numbers) to track an employee or contractor's workload and efficiency in relation to a benefit request. Using the combination of the username and/or ID number and unique identifiers related to a case allows USCIS to accurately track case processing information used for employee production tracking and reporting. Further, USCIS supervisors can cross reference an Employee Production Reporting Tool against other USCIS systems to verify the reported information. The USCIS Office of Privacy reviews each tool during the development process, including the purpose of the system and personally identifiable information collected, to ensure that only the minimum amount of information is collected to achieve the intended purpose. Additionally, USCIS has determined that Social Security numbers (SSN) are no longer needed for Employee Production Reporting Tools and no longer uses or stores them.

Privacy Risk: There is a risk of data accountability because USCIS has developed more tools than necessary to sufficiently collect and process employee production metrics.

Mitigation: This risk is mitigated. USCIS recently reduced the number of employee production reporting tools from four to two. Further, the two remaining systems (Electronic Statistical Automated Activity Tracking and Quality Unit End User Evaluation) providing the data to the Employee Production Reporting Tools do not collect Social Security Numbers from employees, contractors, or members of the public, reducing the amount of data across the reduced number of systems.

USCIS is also undergoing a system modernization effort to align with the government-wide Cloud Smart initiative. Cloud Smart is a new strategy for agencies to adopt cloud-based solutions that streamline transformation and embrace modern capabilities. USCIS legacy systems were originally developed using various platforms that required a significant amount of resources to update the systems. Moving to cloud computing reduces the cost and resources of managing and maintaining IT systems and enhances the ability to easily update systems. To further mitigate



risks, offices throughout USCIS have developed additional independent tools to support employee production reporting requirements based on their respective mission needs. Each office has designed and configured their individual reporting tools to collect different information, since reporting requirements differ for each mission, location, and operation.

Section 3.0 Uses of the Information

3.1 Describe how and why the project uses the information.

USCIS uses reporting tools to track and monitor employee performance activities and labor hours and may include the employee or contractor's name and user ID to distinguish employees with similar names. The Employee Production Reporting Tools may also include A-Numbers, Receipt Numbers, and/or USCIS Online Account Numbers to track an employee or contractor's workload and efficiency in processing a particular benefit request. This also allows USCIS supervisors to cross reference the Employee Production Reporting Tools against other USCIS systems. These tools are used for managing workloads and providing statistical analyses. USCIS uses production reports to plan, acquire, manage, and report on workload activities and to respond to incoming inquiries. Regional, district, and field USCIS offices also produce reports of workload and resource utilization data to meet internal management requirements and to determine appropriate staffing levels.

3.2 Does the project use technology to conduct electronic searches, queries, or analyses in an electronic database to discover or locate a predictive pattern or an anomaly? If so, state how DHS plans to use such results.

No, USCIS does not use these tools to conduct electronic searches, queries, or analyses to discover or locate a predictive pattern or an anomaly.

3.3 Are there other components with assigned roles and responsibilities within the system?

No. USCIS does not routinely provide access to information collected or produced by the Employee Production Reporting Tools. However, employees generally have the right to appeal a performance appraisal or to object to the action through the agency's negotiated grievance procedure and share this information in the Employee Production Reporting Tools accordingly. USCIS employees may use their production statistics as evidence supporting a performance appeal and the information may be shared with DHS and USCIS offices such as Equal Employment Office (EEO), Labor and Employee Relations Division, or the Office of Special Counsel.



3.4 Privacy Impact Analysis: Related to the Uses of Information

Privacy Risk: There is a risk that employee and benefit requestor information may be accessed by other employees without a need-to-know and may be used inappropriately.

Mitigation: This risk is mitigated. All records are protected from unauthorized access and use through appropriate administrative, physical, and technical safeguards that include restricting physical and technical access to authorized personnel who have a need-to-know. Employees are only granted access to their production and case information through role-based access controls. Supervisors can access only their respective employees' production and case information. All USCIS employees and contractors are thoroughly trained regarding the use of the database and the sensitivity of the information. Additionally, all USCIS employees and contractors are required to take DHS's annual security and privacy awareness training.

Section 4.0 Notice

4.1 How does the project provide individuals notice prior to the collection of information? If notice is not provided, explain why not.

USCIS employees and contractors are provided with general notice of performance management through the onboarding process as well as through written performance standards. DHS personnel, like personnel at most federal agencies, must participate in the designated performance management programs to measure and evaluate employee performance towards accomplishment of agency missions. Employees accepting a position in a federal agency are instructed on responsibilities associated with employment, including responsibilities related to performance expectations.

In addition, employees and benefit requestors are provided general notice through the publication of this Privacy Impact Assessment. USCIS provides general notice of its information collections from the public on all USCIS applications, requests, and petitions at the point of collection through Privacy Notices.

4.2 What opportunities are available for individuals to consent to uses, decline to provide information, or opt out of the project?

Employees may not opt-out of using the system to fulfill their USCIS performance management responsibilities. Benefit requestors may not opt-out either as this information has already been collected by USCIS for the purpose of processing an immigration-related request.

4.3 Privacy Impact Analysis: Related to Notice

Privacy Risk: There is a risk that benefit requestors may not be aware that USCIS is



using their personally identifiable information for internal employee production reporting.

Mitigation: This risk is partially mitigated. Although USCIS does not provide direct notice that the information may be used for production purposes in its Privacy Notices, benefit requestors are aware that their information is being collected by USCIS for adjudicative purposes. However, as the purpose of the Employee Production Reporting Tools is for USCIS to monitor and manage completion of the public's requests, the risk to notice is outweighed by the accountability these tools bring upon the agency and its responsibilities to benefit requestors.

USCIS partially mitigates this risk through the publication of this Privacy Impact Assessment. Furthermore, the Benefit Information System System of Records Notice provides notice to potential and actual petitioners that USCIS may use benefit requestor information to generate daily reports via associated information technology systems.¹⁰

Section 5.0 Data Retention by the project

5.1 Explain how long and for what reason the information is retained.

USCIS developed the Time and Production Tracking Tools retention schedule for both legacy and current performance management tools. The schedule is extended to cover any future enhancements or tracking tools, including those with modified names that serve a similar purpose. USCIS is proposing to delete and destroy records 15 years after the date of the last completed action. In the meantime, all records will be retained until a retention schedule is approved.

Work production may be captured and consolidated through work measurement reports. Work measurement reports are also covered by the proposed schedule.

5.2 Privacy Impact Analysis: Related to Retention

Privacy Risk: There is a risk that personally identifiable information is retained longer than necessary to fulfill specified purposes.

Mitigation: This risk is not currently mitigated. The proposed employee production data retention period is consistent with the concept of retaining data only for as long as necessary to support the agency's mission. The proposed retention and disposal schedule is 15 years, based upon a need to keep the records available in case there are questions or complaints about employee production. The proposed schedule complies with the requirements of the Federal Records Act and the stated purpose and mission of the systems. Until the National Archives and Records Administration formally approves the proposed records schedule, all records will be retained indefinitely.

¹⁰ *Supra* note 9.



Section 6.0 Information Sharing

6.1 Is information shared outside of DHS as part of the normal agency operations? If so, identify the organization(s) and how the information is accessed and how it is to be used.

USCIS does not share information collected or produced by the Employee Production Reporting Tools with external entities in the normal course of production/performance management. However, USCIS employees may use their production statistics as evidence supporting a performance appeal.

6.2 Describe how the external sharing noted in 6.1 is compatible with the System of Records Notice noted in 1.2.

USCIS does not share information collected or produced by the Employee Production Reporting Tools with external entities in the normal course of production/performance management. USCIS employees may use their production statistics as evidence supporting a performance appeal and the information may be shared with external agencies, if necessary, in accordance with applicable Routine Uses outlined in DHS/ALL-019 DHS Payroll, Personnel, and Time and Attendance Records System of Records Notice.¹¹

6.3 Does the project place limitations on re-dissemination?

USCIS does not share information collected or produced by Employee Production Reporting Tools with external entities.

6.4 Describe how the project maintains a record of any disclosures outside of the Department.

USCIS does not share information collected or produced by Employee Production Reporting Tools with external entities.

6.5 Privacy Impact Analysis: Related to Information Sharing

There is no privacy impact since USCIS does not share Employee Production Reporting Tools information with external entities during normal business operations.

¹¹ See DHS/ALL-019 Payroll, Personnel, and Time and Attendance Records System of Records, 80 Fed. Reg. 58283 (September 28, 2015), available at <https://www.dhs.gov/system-records-notices-sorns>.

Section 7.0 Redress

7.1 What are the procedures that allow individuals to access their information?

All current USCIS employees and contractors are authorized to view their own individual performance management information at any time, in coordination with their supervisor or by logging into the respective Employee Production Reporting Tool system. The employee and contractor records collected, maintained, used, and disseminated by USCIS for the management of performance records are covered by the Privacy Act. Current and former employees may request their information through either the Privacy Act or Freedom of Information Act (FOIA) process to access their personnel records.

Benefit requestors must go through the redress mechanisms related to the systems in which their information is processed. Such access mechanisms are outlined in the appropriate USCIS Privacy Impact Assessments and System of Records Notices.¹²

If an individual would like to file a Privacy Act or Freedom of Information Act request to view his or her USCIS records, the request can be mailed to the below address or submitted electronically at <https://www.uscis.gov/records/request-records-through-the-freedom-of-information-act-or-privacy-act>.

National Records Center
Freedom of Information Act/Privacy Act Program
P. O. Box 648010
Lee's Summit, MO 64064-8010

7.2 What procedures are in place to allow the subject individual to correct inaccurate or erroneous information?

Current employees should resolve concerns over their performance and production metrics with their supervisors. When an employee's concerns remain unresolved, the employee may pursue those concerns through appropriate dispute resolution processes. Employees may dispute a rating through the USCIS administrative grievance procedure. A USCIS employee may also use the Equal Employment Opportunity complaint process in 29 C.F.R. Part 1614 if he or she believes the performance rating is based on unlawful discrimination and/or harassment and not reflective of his or her production metrics. Former employees may access and correct their information through the Privacy Act process.

¹² USCIS Privacy Impact Assessment and System of Records Notices are available at <https://www.dhs.gov/uscis-pias-and-sorns> and <https://www.dhs.gov/system-records-notices-sorns>.



Employee Production Reporting Tools do not employ any mechanisms that allow benefit requestors to amend erroneous information. However, inaccurate information about benefit requestors in EPRT would not directly impact the individuals request as the purpose of the system is to measure employee metrics. As necessary, benefit requestors can access and correct their information through redress procedures for individual source systems as described in the applicable Privacy Impact Assessments and System of Records Notices.

7.3 How does the project notify individuals about the procedures for correcting their information?

Individuals are provided notice about the procedures for correcting information in Sections 7.1 and 7.2 of this Privacy Impact Assessment. USCIS also provides additional information to personnel on its USCIS Performance Management intranet site and other internal information sites.

Procedures for correcting information for benefit requestors are outlined in the appropriate USCIS Privacy Impact Assessments and System of Records Notices.

7.4 Privacy Impact Analysis: Related to Redress

Privacy Risk: There is a privacy risk related to redress.

Mitigation: This risk is mitigated. Supervisors are required to verify and make appropriate changes if an employee demonstrates his or her biographic or production information is inaccurate. There is minimal risk to benefit requestors because the Employee Production Reporting Tools has no bearing on benefit adjudication. Additionally, former employees and benefit requestors are afforded the opportunity to access and correct their information through the Privacy Act or Freedom of Information Act process.

Section 8.0 Auditing and Accountability

8.1 How does the project ensure that the information is used in accordance with stated practices in this PIA?

USCIS ensures that the practices stated in this PIA are followed by providing training, promulgating policies and rules of behavior, and auditing and accountability. USCIS established access and security controls to mitigate privacy risks associated with authorized and unauthorized uses, namely misuse and inappropriate dissemination of data. DHS security specifications require auditing capabilities that log the activity of each user in order to reduce the possibility of misuse and inappropriate dissemination of information. USCIS tracks all user actions via audit logs to identify audit information by user identification, network terminal identification, date, time, and data accessed. All USCIS systems employ auditing measures and technical safeguards to prevent the misuse of data.



8.2 Describe what privacy training is provided to users either generally or specifically relevant to the project.

All USCIS employees and contractors are required to complete annual privacy and security awareness training. These trainings address appropriate privacy concerns, including Privacy Act obligations, and examine appropriate technical, physical, personnel, and administrative controls to safeguard information.

8.3 What procedures are in place to determine which users may access the information and how does the project determine who has access?

USCIS deploys role-based access controls and enforces a separation of duties throughout the production of employee metrics. Access is limited to only those persons who have a need-to-know in order to perform their official duties. This need-to-know is determined by the job responsibilities for each employee. Employees are only granted access to their production and case information. Supervisors can access their respective employees' production and case information.

8.4 How does the project review and approve information sharing agreements, MOUs, new uses of the information, new access to the system by organizations within DHS and outside?

USCIS has a formal review and approval process in place for new information sharing agreements. Any new use of information and/or new access requests for USCIS systems must go through the USCIS change control process, and approved by the proper USCIS leadership, prior to sharing information within and outside of DHS.

Responsible Official

Angela Washington, Privacy Officer
U.S. Citizenship and Immigration Services
U.S. Department of Homeland Security
(240) 721-3701

Approval Signature

Original, signed copy on file with the DHS Privacy Office.

Lynn Dupree Parker
Chief Privacy Officer
U.S. Department of Homeland Security
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Appendix A: Major Employee Production Reporting Tools¹³ covered under FISMA

Quality Unit End User Evaluation (QUEUE)

Quality Unit End User Evaluation performs systematic quality reviews of USCIS employee responses to customer service inquiries. Quality Unit End User Evaluation has a system interface with the Customer Relationship Interface System (CRIS)/Service Request Management Tool (SRMT).¹⁴ The interface allows users to create, track, and respond to customer inquiries received from customers who have an application and/or petition pending with USCIS.

System of Records Notice: The Quality Unit End User Evaluation receives System of Records Notice coverage under the following systems of records: Benefit Information System¹⁵ and General Information Technology Access and Accounts Records,¹⁶

Electronic Statistical Automated Tracking System (eSTAT)

The Electronic Statistical Automated Tracking System is a database that allows officers and clerical support personnel to enter their activities and how much time spent on these activities daily. Users enter all data into the Electronic Statistical Automated Tracking System. The type of information the user enters is the form type and how long the user spent processing the form type on the date of the entry. The user also enters non-adjudication activity, leave hours, admin time, and other tracked activities. The Electronic Statistical Automated Tracking System uses only receipt numbers and does not use A-Numbers. Further, the Electronic Statistical Automated Tracking System will now be used to record receipt numbers of the files that are completed daily by Immigration Services Officers for the purpose of Fiscal Year Performance Plans and Appraisal Goals and Standards.

System of Records Notice: The Electronic Statistical Automated Tracking System receives System of Records Notice coverage under the following systems of records: Payroll, Personnel, and Time and Attendance Records System of Records.¹⁷

¹³ USCIS defines “major” tools as those that are accredited under the requirements of the Federal Information Security Modernization Act (FISMA).

¹⁴ See U.S. DEPARTMENT OF HOMELAND SECURITY, U.S. CITIZENSHIP AND IMMIGRATION SERVICES, PRIVACY IMPACT ASSESSMENT FOR THE CUSTOMER RELATIONSHIP INTERFACE SYSTEM (CRIS), DHS/USCIS/PIA-019 (2008 and subsequent updates), available at <https://www.dhs.gov/uscis-pias-and-sorns>.

¹⁵ See DHS/USCIS-007 Benefits Information System, 81 Fed. Reg. 72069 (October 19, 2016), available at <https://www.dhs.gov/system-records-notices-sorns>.

¹⁶ See DHS/ALL-004 General Information Technology Access Account Records System (GITAARS), 77 Fed. Reg. 70792 (November 27, 2012), available at <https://www.dhs.gov/system-records-notices-sorns>.

¹⁷ See DHS/ALL-019 Payroll, Personnel, and Time and Attendance Records System of Records, 80 Fed. Reg. 58283 (September 28, 2015), available at <https://www.dhs.gov/system-records-notices-sorns>.