

APPENDIX A Interconnected Systems

Below are the systems that provide information to SMART to create reports. This appendix includes a description of the source system and their associated compliance documentation.

Adoption Case Management System (ACMS) is a web-based application used by the National Benefits Center (NBC) and is designed to facilitate efficient processing of both Hague and non-Hague adoption applications.¹

PIA:

- In development.

SORN:

- DHS/USCIS-005 - Inter-Country Adoptions Security, June 5, 2007, 72 FR 31086.

Budget Planning and Reporting System (BPRS): BPRS is a web-based application that allow users to enter, edit, and delete data associated with the USCIS budget planning and reporting process.

PIA:

- Exempt from PIA requirement – designated as Human Resources System.

SORN:

- DHS/ALL-004 - General Information Technology Access Account Records System (GITAARS), November 27, 2012, 77 FR 70792.

Case & Activity Management for International Operation (CAMINO) is a web-based application designed to facilitate the processing of immigration applications and petitions sent to overseas offices and domestic branches of USCIS Headquarters International Operations Division (IOD). In addition, the application provides the ability for IOD to facilitate, at all levels, the management of its overseas casework.

PIA:

- In development.

SORN:

- DHS/USCIS/ICE/CBP-001 - Alien File, Index, and National File Tracking System of Records, November 21, 2013, 78 FR 69864; and
- DHS/USCIS-007 - Benefits Information System, September 29, 2008, 73 FR 56596.

Correspondence Handling and Management Planning System (CHAMPS) was designed to facilitate workflow management, production evaluation, and time and attendance functions.

PIA:

- DHS/USCIS/PIA-012 – Correspondence Handling and Management Planning System (CHAMPS).

SORN:

¹ The Hague Convention on Inter-country Adoption is an international agreement between participating countries on best adoption procedures. These procedures have two goals in mind: the best interest of the children and the prevention of abduction, exploitation, sale, or trafficking of children. All adoption applications under the Hague Convention are filed with the NBC, regardless of the applicant's place of residence.

- DHS/USCIS-007 - Benefits Information System, September 29, 2008, 73 FR 56596.

Central Index System (CIS) contains information on the status of 57 million applicants/petitioners seeking immigration benefits, including: lawful permanent residents, naturalized citizens, U.S. border crossers, aliens who illegally entered the U.S., aliens who have been issued employment authorization documents, individuals who petitioned for benefits on behalf of family members, and other individuals subject to the provisions of the Immigration and Nationality Act.

PIA:

- DHS/USCIS/PIA-009 - Central Index System (CIS).

SORN:

- DHS/USCIS/ICE/CBP-001 - Alien File, Index, and National File Tracking System of Records, November 21, 2013, 78 FR 69864.

Customer Relationship Interface System (CRIS) provides USCIS customers access to the status of their applications and petitions for immigration benefits and processing time information. The Service Request Management Tool (SRMT) component of CRIS provides USCIS customer service staff the ability to document a customer's issue with a pending case in a Service Request (SRs).

PIA:

- DHS/USCIS/PIA-019(b) – Customer Relationship Interface System (CRIS) update.

SORN:

- DHS/USCIS-007 - Benefits Information System, September 29, 2008, 73 FR 56596.

Enterprise Correspondence Handling Online (ECHO) centralizes and streamlines the writing of official correspondence generated while processing applications for immigration benefits. Examples of such correspondence include Expedite Letters, Request for Evidence (RFE), Notice of Intent to Deny (NOID), Denial Letter, Appeal/Motion Response, and Memo to the Department of State (DOS).

PIA:

- DHS/USCIS/PIA-023(a) – Enterprise Citizenship and Immigrations Services Centralized Operational Repository (eCISCOR).

SORN:

- DHS/USCIS/ICE/CBP-001 - Alien File, Index, and National File Tracking System of Records, November 21, 2013, 78 FR 69864

Enterprise Citizenship and Immigration Services Centralized Operational Repository (eCISCOR) consolidates and manages immigration and naturalization information from several USCIS information systems, reducing the labor involved in accessing, reporting, and sharing information and to improve connectivity between USCIS systems.

PIA:

- DHS/USCIS/PIA-023(a) – Enterprise Citizenship and Immigrations Services Centralized

Operational Repository (eCISCOR).

SORN:

- DHS/USCIS/ICE/CBP-001 - Alien File, Index, and National File Tracking System of Records, November 21, 2013, 78 FR 69864
DHS-USCIS-007 - Benefits Information System, September 29, 2008, 73 FR 56596.

Interim CLAIMS (iCLAIMS) processes, tracks, and stores information related to administering the Investor Pilot Program.²

PIA:

- In development.

SORN:

- DHS/USCIS-007 - Benefits Information System, September 29, 2008, 73 FR 56596.

Investigations Division Case Management System (IDCMS) is an electronic case management system that is used to manage information relating to investigations of allegations of misconduct, corruption, and fraud involving any USCIS employee or contractor that is not subject to investigation by the DHS Office of the Inspector General. IDCMS provides reporting and query capabilities, alert, and email notification.

PIA:

- DHS/USCIS/PIA-053 – USCIS Investigations Division Case Management System (IDCMS).

SORN:

- DHS/ALL-020 - Department of Homeland Security Internal Affairs, November 18, 2008, 73 FR 67529.

National File Tracking System (NFTS) is an automated file-tracking system used to maintain an accurate file inventory and track the physical location of files. This system facilitates USCIS's ability to efficiently manage and streamline access to the millions of immigration files under its control.

PIA:

- DHS/USCIS/PIA-032- National File Tracking System (NFTS).

SORN:

- DHS/USCIS/ICE/CBP-001 - Alien File, Index, and National File Tracking System of Records, November 21, 2013, 78 FR 69864.

National Benefits Center Process Workflow Repository (NPWR) is used for the document verification and validation process. NPWR is an electronic checklist used to determine if the applicant has submitted sufficient information to successfully adjudicate the benefit.

² Section 203(b)(5) of the Immigration and Nationality Act (INA), allocates 10,000 "Employment Based-5 (EB-5)" immigrant visas per year as part of the Immigration Investor Pilot Program. 3,000 of the 10,000 visas are reserved for aliens who invest in targeted employment areas (TEA), and 3,000 of the 10,000 visas are reserved for aliens who invest in commercial enterprises affiliated with Regional Centers. A Regional Center is defined as any economic entity, public or private that is involved with the promotion of economic growth, improved regional productivity, job creation, and increased domestic capital investment. EB-5 Investors may be eligible for an EB-5 immigrant visa if they have invested – or are actively in the process of investing – the required amount of capital into one of the following for-profit business-types: a new commercial enterprise (created after 11/29/1990); an enterprise that will expand to 140% of pre-investment net worth or number of employees; or a troubled business in which jobs will be preserved.

PIA:

- DHS/USCIS/PIA-016 - Benefits Processing of Applicants other than Petitions for Naturalization, Refugee Status, and Asylum (CLAIMS 3).

SORN:

- DHS/USCIS-007 - Benefits Information System, September 29, 2008, 73 FR 56596.

Quality Unit End User Evaluation (QUEUE) is used to electronically generate a statistically valid sampling of the Customer Relationship Interface System (CRIS)/ Service Request Management Tool (SRMT) responses that have been fulfilled over a specified period.

PIA:

- In development.

SORN:

- DHS//USCIS-007 - Benefits Information System, September 29, 2008, 73 FR 56596; and
- DHS/ALL-004 - General Information Technology Access Account Records System (GITAARS), November 27, 2012, 77 FR 70792.

Scan on Demand Application (SODA) converts paper Alien files to digitized files when the file is requested by an authorized user to serve an agency purpose.

PIA:

- DHS/USCIS/PIA-003(a) - Integrated Digitization Document Management Program (IDDMP).

SORN:

- DHS/USCIS/ICE/CBP-001 - Alien File, Index, and National File Tracking System of Records, November 21, 2013, 78 FR 69864.

Validation Instrument for Business Enterprises (VIBE) uses commercially available information from an independent information provider to validate basic information about companies or organizations petitioning to employ certain alien workers.

PIA:

- DHS/USCIS/PIA/044 - Validation Instrument for Business Enterprises (VIBE).

SORN:

- DHS/USCIS/ICE/CBP-001 - Alien File, Index, and National File Tracking System of Records, November 21, 2013, 78 FR 69864;
- DHS/USCIS-006 - Fraud Detection and National Security Information System (FDNS), August 18, 2008, 73 FR 48231; and
- DHS/USCIS-007 - Benefits Information System, September 29, 2008, 73 FR 56596.

Verification Information System (VIS) is the technical infrastructure that enables USCIS to operate Systematic Alien Verification for Entitlements (SAVE) and E-Verify. VIS is a nationally accessible database of selected immigration status information containing in excess of 100 million records. Government agencies use SAVE information to help determine whether a non-citizen is eligible for any public benefit, license, or credential based

on citizenship and immigration status. Private employers and government users use E-Verify information to determine whether a newly hired employee is authorized to work in the United States.

PIA:

- DHS/USCIS/PIA-006 - Systematic Alien Verification for Entitlements (SAVE) Program; and
- DHS/USCIS/PIA-030(e) - MyE-Verify.

SORN:

- DHS/USCIS-004 – Systematic Alien Verification for Entitlements Program, September 21, 2011, 76 FR 58525; and
- DHS/USCIS-011 – E-Verify Program August 11, 2014 79 FR 46852.

APPENDIX B

Source System Data elements

Adoption Case Management System (ACMS): SMART retrieves the following information from ACMS: adjudication information (e.g., date, expiration date, created date, decision date, receipt date), adjudicator information (e.g., username, full name), adoption agency name, application full name, applicant full address, A-number, place of birth, applicant province, SSN, case number, country of adoption, decision information, form information, Request For Evidence information, processing times, and attorney information.

Budget Planning and Reporting System (BPRS): Data stored in the system includes, 1) funding/accounting string data (Fund Code, Program Code, Object Code, Sub-object Code, Organization Code, Project Code, Task Code, and OMB Object Class Code), Amounts (Allotments, Obligations, Expenditures, and Commitments), and other process-related data (justifications, descriptions, status, approval comments).

Central Index System (CIS): SMART retrieves the following information from CIS: A-Number, first name, last name, date of birth, class of admission, country of birth, creation date of file, and the FCO (local file control offices) where the file is located, SSN (or other unique identifying number issued by a governmental entity), Derivative Citizenship Number (DA), Naturalization Certificate Number (C-Number), Mother's and Father's Name, aliases, port of entry, and driver's license number (if applicable).

Case and Activity Management for International Operation (CAMINO): SMART retrieves the following information from CAMINO: background check status, processing times, case information, country of citizenship, consular information, interview information, petitioner information, e-mail address, fax number, address, A-number, country of birth, gender, immigration status, fingerprint examination information, and date of birth.

Customer Relationship Interface System (CRIS) Update: SMART retrieves the following information from CRIS SRMT: Filing Date, Form Type, Service Request Type, Caller Type, Applicant First Name, Applicant Last Name, Beneficiary First Name, Beneficiary Last Name, Representative Firm Name, Street Address (city, state, zip code), Email address, Phone number, Alien Number, receipt Number, Status in the United States, Date of Birth, Beneficiary Type, Beneficiary Date of Birth, Country of Birth, Firm or School Name, Length of Stay in the United States, Port of Entry into the United States, Customer Comment, User ID, Password, Security Question, and Security Answer.

Correspondence Handling and Management Planning System (CHAMPS): SMART retrieves the following information from CHAMPS: Name, Addresses, Date of Birth, Immigration Data (e.g., country of birth/citizenship), A-Number, Approval/Denial of Immigration Benefits, Case Management Records (e.g., Receipt Number), and Background Information. Employee information such as Name, User ID, Hours Worked, Functions Performed, Overtime, Leave time, and meetings attended may also be retrieved.

Enterprise Correspondence Handling Online (ECHO): SMART retrieves the following information from ECHO: Applicant, Receipt number, A-Number, Receipt Number, Full name, Full mailing address, Attorney's firm name, Attorney's full mailing address, Narrative in letter containing case information, Form number, Date of birth, Gender, Marital status, and Country of birth.

Enterprise Citizenship and Immigration Services Centralized Operational Repository (eCISCOR):

SMART retrieves multiple data elements from the following USCIS systems:

- **Computer Linked Application Information Management System 3 (CLAIMS 3):** CLAIMS 3 serves the operational and management needs of USCIS personnel accepting and adjudicating applications and petitions for benefits in district offices, service processing centers, and headquarters offices. SMART retrieves the following information from CLAIMS 3 via eCISCOR: receipt number, attorney information, A-number, class expiration date, country of birth information, class of admission, date of birth, full name, date of last arrival, SSN, beneficiary immigration information, beneficiary address information, form number, petitioner immigration status, petitioner address information, valid to/from dates, citizenship country information, immigrant/non-immigrant status code, family information, case status information, applicant address information, e-mail address, gender, height, marital status, phone number, permanent resident date, application fee information, interview information, and region information.
- **Computer Linked Application Information Management System (CLAIMS 4) Update:** CLAIMS 4 processes Applications for Naturalization. SMART retrieves the following information from CLAIMS 4 via eCISCOR: receipt number, attorney information, A-number, class expiration date, country of birth information, class of admission, date of birth, full name, date of last arrival, SSN, beneficiary immigration information, beneficiary address information, form number, petitioner immigration status, petitioner address information, valid to/from dates, citizenship country information, immigrant/non-immigrant status code, family information, case status information, applicant address information, e-mail address, gender, height, marital status, phone number, permanent resident date, application fee information, interview information, and region information.
- **Case Inventory Management System (CIMS):** CIMS is a Vermont Service Center (VSC) local application that contains C3 data. CIMS aggregates C3 for reporting purposes in order to derive _current case status, which cannot be easily derived from the C3 raw data. CIMS delivers to eCISCOR the same PII as CLAIMS 3: receipt number, attorney information, A-number, class expiration date, country of birth information, class of admission, date of birth, full name, date of last arrival, SSN, beneficiary immigration information, beneficiary address information, form number, petitioner immigration status, petitioner address information, valid to/from dates, citizenship country information, immigrant/non-immigrant status code, family information, case status information, applicant address information, e-mail address, gender, height, marital status, phone number, permanent resident date, application fee information, interview information, and region information). CIMS is currently residing on the VSC local servers, but is being consolidated and moved to eCISCOR.
- **Customer Profile Management Service (CPMS):** CPMS supports USCIS' mission to administer immigration benefits by serving as a person-centric repository of biometric and biographic information provided by applicants that have been issued a USCIS card (i.e., permanent residency, work authorization, travel documents). SMART retrieves the following information from CPMS via eCISCOR: A-Number, date-of-birth, receipt number, full name, address, SSN, phone number, and miscellaneous number (e.g., T-Numbers), type of application, country of birth, document issuance data, card information, details about biometrics(e.g., capture date),background check information (results of the FBI name check, Universal Control Number (UCN),³ FBI fingerprint check, and in some cases, DOD fingerprint

³ The FBI Number is now called the Universal Control Number (UCN). The UCN is unique to the fingerprint identity, and all submissions for the same person will be associated with the same UCN. NGI issues a UCN for all biometric identities retained within NGI, not just those with criminal histories. Individuals without an FBI Number will receive a UCN. Individuals who currently have an FBI Number will retain that number as their UCN.

check), transaction identifier data (sending organization; timestamp; workstation; reason fingerprinted, such as entry, visa application, credentialing application, or apprehension; and any available encounter information, including an IDENT-generated encounter identification number (EID)).

- **USCIS Electronic Immigration System (USCIS ELIS):** allows individuals requesting a USCIS benefit to register online and submit certain benefit requests through the online system. SMART retrieves the following information from ELIS: ELIS Number, receipt number, attorney information, A-number, class expiration date, country of birth information, class of admission, date of birth, full name, date of last arrival, SSN, beneficiary immigration information, beneficiary address information, form number, petitioner immigration status, petitioner address information, valid to/from dates, citizenship country information, immigrant/non-immigrant status code, family information, case status information, applicant address information, e-mail address, gender, height, marital status, phone number, permanent resident date, application fee information, interview information, and region information.
- **Marriage Fraud Amendment System (MFAS):** MFAS supports and maintains casework for petitions for Legal Permanent Residency by aliens who have previously been granted Conditional Permanent Residency under the terms of the Marriage Fraud Amendment, including entrepreneurs. CLAIMS 3 MF and MFAS exchange data on I-751 approvals, I-829 petition filings, and attorney data. SMART retrieves the following information from MFAS via eCISCOR: Name, Country of Citizenship, Date of Birth, Alien Number, Present Address, Receipt Number, Social Security Number, Country and Place of Birth, Work Authorization Information, Approval/Denial Codes, Port of Entry, Representative, Phone number, and Family Members information.
- **National Appointment Scheduling System (NASS):** NASS is the automated system that schedules appointments for applicants to submit biometric information at an Application Support Center (ASC) or Service Center. SMART retrieves the following information from NASS via eCISCOR: Notice ID Number, Full Name, Address, A-Number, Receipt Number, Country of Citizenship, Form Type, SSN, Date of Birth, Weight, Height, Race, Eye Color, and Hair Color.
- **USCIS International Visa Project:** The project allows USCIS to collect biometrics of individuals seeking immigration benefits from a participating country who are currently physically present in the United States. This prevents the applicant from having to travel to the participating country to provide this information. SMART retrieves transactional data via eCISCOR on behalf of the USCIS International Visa Project.

Electronic Statistical Automated Tracking (ESTAT): eSTAT serves as a web based solution with centralized workflow processes to conduct performance, statistical analysis and reporting. ESTAT collects user-centric production metrics along activity and operation lines in compliance with the requirements of the G-22/23 PRT feeder system as detailed in the USCIS Administrative Manual. ESTAT provides the ability conduct canned and ad-hoc reporting on those metrics in accordance with congressional and regulatory statutes.

Interim Claims (iCLAIMS): SMART retrieves the following information from iCLAIMS: full name, receipt number, receipt date, date of birth, fax number, telephone number, web address, address, date of birth, fax number, name of commercial enterprise, commercial enterprise full address, business name and business full address, fee receipt, visa classification, priority date, country of birth, SSN, A-Number, arrival date, I-94 number, current nonimmigrant status, date current nonimmigrant status expires, spouse's full name, spouse's date of birth, spouse's gender, spouse's A-Number, spouse's current immigration status, date of marriage, spouse's aliases, children's full name, children's address, children's A-Number, children's current immigration status, and children's date of birth.

Investigations Division Case Management System (IDCMS): SMART retrieves the following information from IDCMS: information on allegations, associated party disposition, disposition actions, address, full name, location information, e-mail address, phone number, nationality, office address and phone number, last four digits of SSN, position/title, incident information, reference full name, case information, evidence, and complaint information.

National File Tracking System (NFTS): SMART retrieves the following information from NFTS: full name; complete address; priority status; postal code; third party information; number of files lost, retired, audited, forwarded, transferred, combined, consolidated, migrated, and received; country code; and region.

National Benefits Center (NBC) Process Workflow Repository (NPWR): SMART retrieves the following information from NPWR: full name, complete address, date of birth, city of birth, state of birth, country of birth, whether sponsor is U.S. Citizen or Lawful Permanent Resident, employment status (i.e., employed, self-employed, retired, unemployed), individual income, individual assets, relationship of household member to sponsor, and A-number.

Quality Unit End User Evaluation (QUEUE): SMART does not retrieve PII from QUEUE, only statistical information.

Scan On Demand Application (SODA): SMART retrieves the following information from SODA: number of files processed, submitted, accepted, rejected, viewed; average number of files; pages per file; A-number; and current location.

Validation Instrument for Business Enterprises (VIBE): SMART retrieves the following information from VIBE: date added to VIBE, form type, status, receipt date and number, time stamp, company name and address, fax number, and phone number.

Verification Information System (VIS): SMART retrieves the following information from VIS: address, receipt number, visa type, username, address, employer, location, e-mail address, fax number, phone number, case number, class of admission code, employer contact information, employer address, status, Social Security Administration case information, benefit information, class of admission, date of birth, entry date, SAVE mismatch code, document information, passport information, Student and Exchange Visitor Information System information, third party company information, visa information, I-94 number, state code, state document, state entry date, and state document issued date.