

From: Farnam, Julie E
To: Alfonso, Angelica M; Atkinson, Ronald A; Tintary, Ruth E
Cc: Renaud, Tracy L
Subject: RE: Top USCIS Issues
Date: Monday, December 12, 2016 11:07:05 AM
Attachments: [USCIS Transformation IP 2016 Clean.docx](#)
[USCIS Refugee Processing IP 2016 FINAL.docx](#)
[USCIS DACA IP 2016 FINAL.docx](#)

Yes, I think those would be the top 3: DACA, refugee processing, and transformation. Attached are the cleared issue papers. The transformation paper just cleared DHS this morning, so that one is very much up-to-date. The refugee paper may need the FY16 figures added, if they have been officially released. We also have a refugee processing and vetting presentation that is pending clearance with the front office, but I anticipate that it will be cleared in the next day or so. For the DACA paper, I just checked and the FY16 Q4 stats are not yet published, and the paper will need to be updated when that does occur.

We probably also want to sit down at some point soon to discuss what we've already prepared. We have a 400+ page briefing book done and I think just about every issue is covered in the book. It also has leadership bios, updated org charts, etc. It's fairly comprehensive, so it may have most of what you would need to prepare for the upcoming confirmations.

Julie Farnam
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(d) 202-272-1102
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From: Alfonso, Angelica M
Sent: Monday, December 12, 2016 10:45 AM
To: Farnam, Julie E; Atkinson, Ronald A; Tintary, Ruth E
Cc: Renaud, Tracy L
Subject: RE: Top USCIS Issues

Hey Julie – please see below. The issues appear on target (I'd maybe add ELIS). Is this consistent with what you've been sharing and do you have something already drafted?

Thanks,
Angie

From: Joh, Joseph
Sent: Monday, December 12, 2016 10:41 AM
To: Alfonso, Angelica M; Atkinson, Ronald A; Tintary, Ruth E
Subject: Top USCIS Issues

Angie/Alan/Ruth E.,

Greetings. We're working on a document for the landing team and need USCIS's top 3 issues with a few sentences describing each. DACA, refugees screening/processing are probably among the key issues for the new Administration. Could you assist us with this tasking. We're looking for something by early afternoon today. It should be big picture and something we could include in a powerpoint. Thanks.

Joseph

Deferred Action for Childhood Arrivals

Background

The implementation of Deferred Action for Childhood Arrivals (DACA) was announced in a June 15, 2012, memorandum by Secretary of Homeland Security Janet Napolitano. On August 15, 2012, USCIS began accepting DACA requests. Requests for consideration of DACA are decided on a case-by-case basis, pursuant to DHS's prosecutorial discretion. Under the 2012 guidelines, individuals may be considered for an initial grant of DACA if they:

- Were under the age of 31 as of June 15, 2012;
- Came to the United States before reaching their 16th birthday;
- Have continuously resided in the United States since June 15, 2007, up to the present time;
- Were physically present in the United States on June 15, 2012, and at the time of making their request for consideration of deferred action with USCIS;
- Had no lawful status on June 15, 2012;
- Are currently in school, have graduated or obtained a certificate of completion from high school, have obtained a general education development (GED) certificate, or are an honorably discharged veteran of the Coast Guard or Armed Forces of the United States; and,
- Have not been convicted of a felony, significant misdemeanor, or three or more other misdemeanors, and do not otherwise pose a threat to national security or public safety.

Individuals may be considered for renewal of DACA if they meet the initial DACA guidelines and they:

- Did not depart the United States on or after August 15, 2012, without advance parole;
- Have continuously resided in the United States since they submitted their most recent DACA request that was approved; and,
- Have not been convicted of a felony, a significant misdemeanor, or three or more misdemeanors, and do not otherwise pose a threat to national security or public safety. A grant of either an initial DACA request or renewal DACA request will defer action for a two-year period, subject to termination at DHS's discretion.

Requestors must be 15 years of age or older at the time of requesting DACA, unless they are in removal proceedings, have a final removal order, or have a voluntary departure order, and are not in immigration detention. Children who were under the age of 15 on June 15, 2012, are able to request consideration of DACA once they meet the minimum age requirement. In all instances, requestors must be under the age of 31 as of June 15, 2012. As long as they were under that age on June 15, 2012, they may request a renewal after turning 31.

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Current Status

On November 20, 2014, Secretary Jeh Johnson announced a series of actions that included expanding the population eligible for DACA and changing the validity period of deferred action from two years to three years.

On February 16, 2015, the U.S. District Court for the Southern District of Texas, Brownsville Division, issued an order preliminarily enjoining the expansion of DACA. USCIS ceased all DACA approvals reflecting a three-year validity period in compliance with the court order. The Court of Appeals for the Fifth Circuit upheld the lower court's ruling, causing the U.S. Department of Justice to seek a Supreme Court review of the decision. On June 23, 2016, the Supreme Court reached a 4-4 split decision. Accordingly, the preliminary injunction that temporarily halted the implementation of expanded DACA remains in effect. This ruling did not impact the original DACA launched in 2012. USCIS continues to process DACA requests under the original June 15, 2012, guidelines, providing a two-year validity period for all approved requests.

Challenges

USCIS metrics show that a large number of DACA requestors are submitting renewal requests fewer than USCIS' publically recommended 150 to 120 days from expiration of their current period of deferred action resulting in lapses in deferred action and employment authorization.

Additionally, all DACA requests received by USCIS after January 28, 2016, are receipted by the lockbox and electronically entered into the USCIS Electronic Immigration System (ELIS). DACA filings received from this date forward are adjudicated within the ELIS environment. USCIS has experienced a number of technical issues with processing DACA renewal requests in the new ELIS environment which has resulted in processing delays for many individuals requesting renewal of DACA. USCIS has worked diligently to fix technical issues as they have arisen, and is focused on restoring normal processing times as quickly as possible.

Milestones

Recent and future milestones related to DACA include:

- USCIS has revised the Form I-512L Authorization for Parole of an Alien into the United States for the DACA population to provide clarity on the dates of authorized travel in response to concerns from stakeholders.
- USCIS proactively publishes quarterly data on the number of DACA requests received, accepted, granted and denied.¹ Data currently exists from inception of DACA through June 30, 2016 (Fiscal Year 2016, 3rd Quarter).

¹ USCIS official website, Data Set: Form I-821D, Deferred Action for Childhood Arrivals, <http://www.uscis.gov/tools/reports-studies/immigration-forms-data/data-set-form-i-821d-deferred-action-childhood-arrivals>

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- Since USCIS began accepting DACA requests in August 2012, the agency has approved more than 728,000 initial filings and over 511,000 requests for renewal.

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Refugee Processing

Background

The United States Refugee Admissions Program (USRAP) is a complex interagency effort involving a number of governmental and non-governmental partners both overseas and in the U.S., including:

- Department of State/Bureau of Population, Refugees and Migration (PRM)
- United Nations High Commissioner for Refugees (UNHCR)
- Resettlement Support Centers (RSC)
- Department of Homeland Security (DHS)
- Department of Health and Human Services/Office of Refugee Resettlement (ORR)
- International Organization for Migration (IOM)
- Domestic Non-Governmental Organizations

An annual refugee admissions ceiling is established by the President, in consultation with the Congress. The process leading to that annual determination was established by the Refugee Act of 1980, incorporated into Section 207 of the Immigration and Nationality Act (INA). The Secretary of State traditionally serves as the Cabinet member presenting the President's proposal at the Consultations. The Department of Homeland Security (DHS) has been represented by the USCIS Director and has been accompanied by the directors of the Refugee, Asylum, and International Operations Directorate, Refugee Affairs Division, and Congressional Relations, along with a representative of the Office of Chief Counsel.

Following the Consultations, the Department of State (DOS) drafts a Presidential Determination for signature by the President, which establishes the overall admissions levels and regional allocations. The Department of State has the lead in arranging the Consultations.

Also on an annual basis, processing priorities are established that determine which of the world's refugees are "of special humanitarian concern to the United States," i.e., eligible to be considered for possible resettlement in the United States. The priorities currently in use are:

- P-1:** UN High Commissioner for Refugees, U.S. Embassy, or non-governmental organization (NGO) identified cases, including persons facing compelling security concerns, women-at-risk, victims of torture or violence and others in need of resettlement
- P-2:** groups of special concern identified by the U.S. refugee program (e.g., Bhutanese in Nepal)
- P-3:** family reunification cases (i.e., spouses, unmarried children under 21, and parents of persons lawfully admitted to the U.S. as refugees or asylees or persons who are legal permanent residents or U.S. citizens who previously had refugee or asylum status)

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Eligibility for refugee status is decided on an individual, case-by-case basis. A USCIS officer conducts a personal interview of the applicant that is non-adversarial and designed to elicit information about the applicant's claim for refugee status. During a refugee interview, an officer confirms the basic biographical data of the applicant; verifies that the applicant was properly given access to the USRAP; determines whether the applicant has suffered past persecution or has a well-founded fear of future persecution, on the basis of political opinion, religion, nationality, race, or membership in a particular social group in their home country; determines whether the applicant is firmly resettled and is admissible to the United States; and assesses the credibility of the applicant.

Current Status

For FY 2016, the Presidential Determination (PD) set an admissions ceiling of 85,000 individuals, which was 15,000 higher than the ceiling set in FY 2015. For FY 2017, the White House has announced its intention to establish an admissions ceiling of 100,000.

Challenges

The nature and location of refugee processing activities often lead to unexpected delays or cancelations, as many processing locations have volatile security situations and host country processing limitations. The proportion of complex cases (e.g., Syrian) has increased, requiring more time to interview and process, while less complex cases with historically high approval rates (e.g., Nepal and Thailand) have declined. The Refugee Affairs Division also faces challenges with staffing levels as admissions ceilings increase, which it is addressing with aggressive hiring efforts.

Milestones

Recent and future milestones related to refugee admissions include:

- In an effort to reach the goal of 10,000 Syrian refugee admissions in FY 2016, the USCIS Refugee Affairs Division successfully completed a large scale operation in Amman, Jordan in which USCIS officers interviewed 11,648 individuals. As of June 3, 2016, of the 79,925 interviews conducted worldwide by USCIS officers in FY 2016, 19,004 were Syrians.
- From FY 2013 to FY 2015, USCIS admitted approximately 99.9% of its target admissions ceiling of 70,000, admitting 69,926 refugees in FY 2013, 69,986 refugees in FY 2014, and 69,933 in FY 2015.

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USCIS Transformation

Every year, U.S. Citizenship and Immigration Services (USCIS) receives approximately seven million applications, petitions, and requests for review and adjudication. Until recently, USCIS relied on customers submitting paper forms to request an immigration benefit. This paper-driven process is labor intensive and can result in processing delays, especially when paper records have to be transferred to or from a USCIS field office or service center. In order to streamline these processes, individual field offices would often acquire their own technology and develop innovative procedures. However, these local field office systems or procedures were not always adopted nationwide and could result in inconsistencies in case processing and adjudication. Additionally, USCIS recognized that its dependence on paper files made it difficult to verify applicants' identities, detect fraud, and provide DHS and other government agencies with the information they need to make informed business decisions.

Background

As part of a comprehensive set of initiatives to modernize, USCIS embarked on an enterprise-wide effort to transition from a paper-based to a paperless operational environment. The new operating environment, referred to internally as USCIS Electronic Immigration System (ELIS), is being delivered by the USCIS Office of Transformation Coordination (OTC) in partnership with the USCIS Office of Information Technology. The system is supported by a number of enterprise services (e.g., Identity, Credential and Access Management, Person Centric Query Service, Fraud Detection and National Security Data System, etc.) that ensure the right information is available for the adjudication process. The system eventually will also serve as USCIS' single case management system for all immigration benefits and requests.

The implementation of ELIS includes improving performance of the five major operating requirements as follows:

- **Document Intake** – Through ELIS, customers can file and pay for certain benefits directly online. In addition, even if a customer submits a paper form, USCIS is able to capture data and digitized images from the paper form filed with a USCIS Lockbox¹ and transmit this information into ELIS so that USCIS can make decisions in the electronic environment. Customers and their legal representatives also can

¹ The Lockbox is operated by J.P. Morgan as a financial agent for the Department of Treasury.

create online accounts to check the status of cases pending with USCIS, respond to requests for evidence, and receive electronic notifications when the agency has made a final decision.

- **Case Management** – Through ELIS, USCIS has consolidated and streamlined many separate processes that were required to move a case from filing through to a final decision. USCIS can conduct case pre-processing online (e.g., data entry, automated background and security checks), schedule interviews and biometric services appointments, and issue notices and decisions all in a single system. USCIS officers all over the country can access and review information about a specific case in the electronic environment instead of having to wait for a paper A-file to be transmitted to a specific office for review.
- **Risk and Fraud Management** – ELIS contains features and functionality that allow USCIS to send, receive, and consolidate information required for processing and assessing the results of security background checks based on biographic and biometric information. With easy access to such information in an electronic environment, USCIS can also readily detect filing patterns and identity filings by certain users who may be involved in fraud or criminal activity, or who may be considered a threat to national security or public safety.
- **Content Management** – Through ELIS, USCIS can manage case content electronically. USCIS officers can view digitized evidence and have a complete picture of the entire application, including supporting documents, immediately available for review. Electronic content management includes digitizing, managing, and sharing content that includes data and images.
- **Management Tools** – ELIS contains features for generating management reports and facilitating the management of fees and customer inquiries. In ELIS, every internal user's actions are logged within the system, which creates a streamlined process for conducting audits. Agency and knowledge management through ELIS also supports the alignment of resources and tools to support adjudication and case processing

In November 2008, USCIS awarded a solutions architect contract to IBM to design, develop, test, deploy, and sustain an integrated operating system for the transformation program. On May 22, 2012, USCIS deployed its initial version of ELIS. The initial launch was behind schedule and over budget for this first release. The architecture used

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to develop the initial system required integration and maintenance of multiple commercial proprietary off-the-shelf products and lacked the flexibility to make quick changes in the environment. As a result, USCIS was not able to deploy functionality in successive 4-6 month intervals as initially contemplated.

USCIS was directed to refocus program management and changed the software development methodology to agile development. Through agile development, USCIS is able to develop, test, and deploy functionality in an iterative fashion and more frequently. USCIS changed the technical architecture and adopted a cloud-based service similar to those used by companies in the private sector, like Amazon and Google. USCIS also changed its acquisition strategy to use best practices from private industry.

- ✓ **Software Development Methodology**: In April 2012 the program transitioned from a waterfall to an agile software development methodology. The agile methodology allows for flexibility and responsiveness to the changing priorities and dynamics in the development process offering more frequent value-added releases to ELIS. This approach allows the program to incrementally implement functionality every 4 – 6 months.
- ✓ **Acquisition Strategy**: In May 2012, the Transformation Executive Steering Committee² approved a change to the acquisition strategy. To introduce more competition into the development work, the revised Acquisition Strategy changed from a single solutions architect (IBM) to multiple contracts for and supporting software development, code integration, testing, requirements and training. This changed was implemented in September 2014 with the award of the Flexible Agile Development Services contract.
- ✓ **Technical Architecture**: In March 2013, the Executive Steering Committee approved moving ELIS into a new architecture that allows for simpler development and is easier to maintain. The architecture was changed from multiple Commercial-Off-the-Shelf products to an open-source code framework that allows for development and production using cloud services. The new architecture is using best practices design and generalized capabilities where possible and removes products that duplicate other USCIS products.

² The Transformation Executive Steering Committee is chaired by the Director of USCIS and includes the USCIS Deputy Director, DHS HQ organizations, and USCIS directorate and program heads. The primary purpose of the ESC is to provide effective governance, oversight, and guidance to Transformation and all related projects and initiatives to ensure successful development and operation in support of mission objectives.

(b)(5)

The Life Cycle Cost Estimate that was approved in April 2015 for the re-baselined program is 



Current Status

Since the program changed its approach as well as rebuilding the system the following has been accomplished:

- **April 2015** – USCIS started processing all Form I-90, Application to Replace Permanent Resident Card (Green Card) in ELIS. Customers can file the Form I-90 in paper or directly online.
- **August 2015** – USCIS deployed capability to allow new immigrants who are required to pay a \$165 USCIS Immigrant Fee³ to pay online in ELIS. USCIS also migrated open cases from the legacy ELIS system to the new architecture.
- **February 2016** – USCIS finished migrating over 1,000,000 closed immigrant fee cases from the legacy ELIS system.
- **February 2016** – USCIS started processing all Form I-821D, Consideration of Deferred Action for Childhood Arrivals (DACA) renewal cases. At this time, customers can only file the paper version of the Form I-821D which is scanned and transmitted into ELIS for adjudication online.
- **April 2016** – USCIS started processing N-400, Application for Naturalization Applications, filed on the newest version of the form, in ELIS.
- **April 2016** – USCIS decommissioned the legacy ELIS system.
- **May 2016** – USCIS started processing Form I-821, Application for Temporary Protected Status for Nicaragua. At this time, customers can only file the paper version of the Form I-821 which is scanned and transmitted into ELIS for adjudication online.

³ The USCIS Immigrant Fee is used to process immigrant visa packets issued by the Department of State to new immigrants who are entering the United States and to process Permanent Resident Cards for such immigrants.



Challenges

The predictable challenges associated with managing a complex Level I multi-billion dollar program that encompasses a large staff of both government and contractor employees include:

- Managing expectations of internal users. The transformation effort requires OTC to request from the directorates and program offices internal staff to assist with ELIS development because of their immigration process knowledge and expertise. This often requires OTC to balance the needs and resources of the -directorate or program office with the needs for ELIS development.
- Managing resources and process to provide more assurance of a quality coded product upon delivery and responsiveness when technical problems are found.
- Coordinating the timeframes within which the Department of Treasury Lockbox is able to accept a new form for processing and transmission of data into ELIS with the notice and clearance requirements of the Paperwork Reduction Act which must be completed before any form can be ingested into ELIS.

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To: Farnam, Julie E; Atkinson, Ronald A; Tintary, Ruth E
Cc: Renaud, Tracy L
Subject: RE: Top USCIS Issues
Date: Monday, December 12, 2016 10:45:11 AM

Hey Julie – please see below. The issues appear on target (I'd maybe add ELIS). Is this consistent with what you've been sharing and do you have something already drafted?

Thanks,
Angie

From: Joh, Joseph
Sent: Monday, December 12, 2016 10:41 AM
To: Alfonso, Angelica M; Atkinson, Ronald A; Tintary, Ruth E
Subject: Top USCIS Issues

Angie/Alan/Ruth E.,

Greetings. We're working on a document for the landing team and need USCIS's top 3 issues with a few sentences describing each. DACA, refugees screening/processing are probably among the key issues for the new Administration. Could you assist us with this tasking. We're looking for something by early afternoon today. It should be big picture and something we could include in a powerpoint. Thanks.

Joseph

From: [Davidson, Andrew J](#)
To: [Scialabba, Lori L](#); [Emrich, Matthew D](#)
Cc: [Renaul, Tracy L](#); [Kerns, Kevin J](#)
Subject: RE: New govt fraud issues
Date: Friday, December 09, 2016 11:57:53 AM

Lori,

I am copying Tracy and Kevin as a lot of the potential discussion will surround mitigating fraud, waste and abuse relative to improper payments and financial systems.

Andrew Davidson
Acting Deputy Associate Director
Fraud Detection and National Security
U.S. Citizenship and Immigration Services
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202-272-1501 (o) 202-256-3761 (c)

From: Scialabba, Lori L
Sent: Friday, December 09, 2016 12:05:12 AM
To: Davidson, Andrew J; Emrich, Matthew D
Subject: FW: New govt fraud issues

FYI

From: Jonathan Copeland [<mailto:jonathan@theperfinst.org>]
Sent: Thursday, December 08, 2016 4:34 PM
To: Scialabba, Lori L
Subject: New govt fraud issues

Lori-

Now that a new Administration is beginning to take shape, it's very likely that there will be an even higher mandate on detecting fraud and waste in government programs and systems across the board.

What will that look like? We're covering this – and a lot more – at our upcoming two-day forum on Fraud Analytics in Government January 30-31 that presents best practices on using existing government data streams and systems to detect and prevent fraud and improper payments.

We've got some outstanding speakers lined up at the event, including experts from USPS-OIG, Commerce, and Social Security Administration.

Can I get you an agenda?

-Jonathan

Jonathan Copeland
Deputy Director, Outreach
Performance Institute

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From: [Krebs, Kristie L](#)
To: [USCIS Presidential Transition](#)
Cc: [Renaud, Tracy L](#)
Subject: RE: library
Date: Tuesday, December 06, 2016 2:45:16 PM

Thank you

From: USCIS Presidential Transition
Sent: Tuesday, December 06, 2016 2:43 PM
To: Krebs, Kristie L
Cc: Renaud, Tracy L
Subject: RE: library

Attached is the totality of all the briefing materials that have been prepared. Please let me know if you need anything else.

Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
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From: Krebs, Kristie L
Sent: Tuesday, December 06, 2016 1:45 PM
To: USCIS Presidential Transition
Subject: library

Hi Julie – is there an ECN site or DHS site that I can go to, to see all the briefing materials that have been prepared for the new Administration?

From: [USCIS Presidential Transition](#)
To: [Krebs, Kristie L](#)
Cc: [Renaud, Tracy L](#)
Subject: RE: library
Date: Tuesday, December 06, 2016 2:42:57 PM
Attachments: [USCIS Electronic Briefing Book.pdf](#)

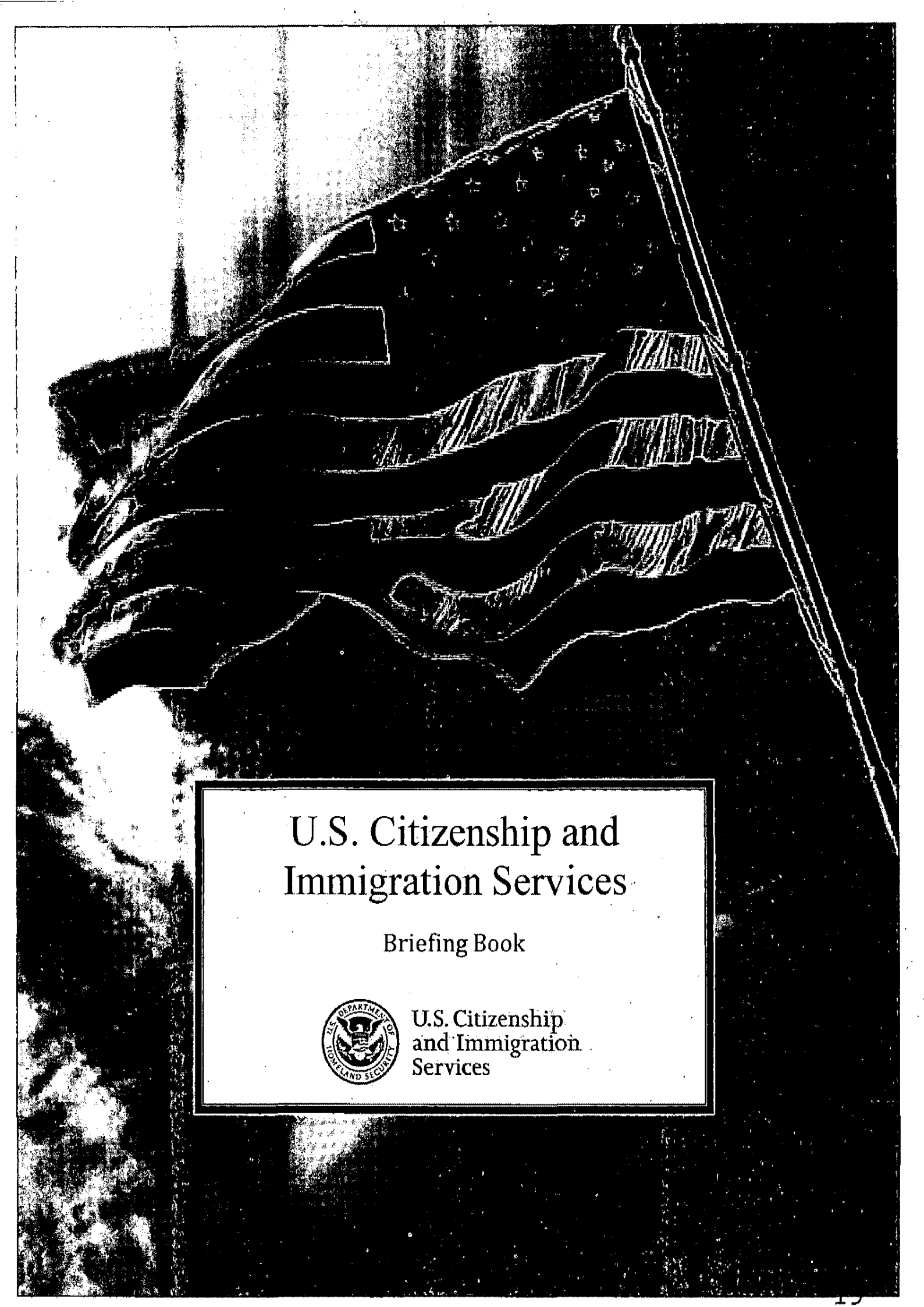
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Julie Farnam
Senior Advisor
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U.S. Citizenship and Immigration Services

Briefing Book



U.S. Citizenship
and Immigration
Services

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Contents

Director’s Welcome Message 7

Deputy Director’s Welcome Message 8

U.S. Citizenship and Immigration Services Overview 9

 An Average USCIS Day 10

 Mission 11

 Organizational Chart USCIS Regional Structure and Domestic Force Laydown 12

 USCIS International Force Laydown 14

 Budget 15

 Workforce 17

 Strategic Priorities 18

 Transformation 18

 Backlogs 19

 Verification Modernization 19

 Supporting Immigrant Integration Efforts 20

Key Partnerships / Stakeholders 21

Legislative Agenda 26

 EB-5 Discretionary Authority 26

 Naturalization Requirements for Elderly Applicants 26

 Refugee Fingerprint Collection 27

 Citizenship and Integration Grant Program 27

 National Crime Information Center (NCIC) Access 27

 Avoiding Statelessness through Renunciation of U.S. Citizenship in the United States 28

 Eligibility of Asylees to Adjust 28

 Carryover of Diversity Visa Numbers 28

 Exemption of Spouses and Children from the Employment-Based Visa Cap 29

 Permanently Transfer H-2B Enforcement Authority to the Department of Labor 29

 Correct Omission of Certain Derivative Family Members from T Nonimmigrant Adjustment of Status Provision 30

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T Visa Program Adding Principal's Children as Derivatives Regardless of Age or Marital Status 30

Government Accountability Office / Office of the Inspector General Audits 31

 Asylum: Additional Actions Needed to Assess and Address Fraud Risks 31

 Immigration Benefits Systems: U.S. Citizenship and Immigration Services Can Improve Program Management 31

 Refugee Screening Process 32

 DHS Use of Biometric Information to Detect and Respond to Naturalization Fraud 32

Strategic Priorities 33

 Strategic Priority: USCIS Transformation 33

 Strategic Priority: USCIS Adjudication Backlogs 38

 Strategic Priority: Verification (E-Verify and SAVE) Modernization 41

 Strategic Priority: Executive Action on Immigration 44

 Strategic Priority: Supporting Interagency Immigrant Integration Efforts 47

Legislative Agenda Items 50

 Legislative Agenda: Discretionary Authority in the EB-5 Program 50

 Legislative Agenda: Improving the Naturalization Process for Elderly Applicants 58

 Legislative Agenda: Collection of Fingerprints for Refugee Processing 63

 Legislative Agenda: Gift Solicitation and Acceptance Authority to Support Citizenship and Immigrant Integration Activities 66

 Legislative Agenda: Access to Criminal History Information 68

 Legislative Agenda: Avoiding Statelessness through Renunciation of U.S. Citizenship in the United States 71

 Legislative Agenda: Eligibility of Asylees to Adjust 74

 Legislative Agenda: Carryover of Diversity Visa Numbers 77

 Legislative Agenda: Exemption of Spouses and Children from Employment-Based Immigrant Visa Cap 79

 Legislative Agenda: Permanently Transfer H-2B Enforcement Authority to the Department of Labor 83

 Legislative Agenda: Correct Omission of Certain Derivative Family Members from T Nonimmigrant Adjustment of Status Provision 86

Warning! This document, along with any attachments, contains NON-PUBLIC INFORMATION exempt from release to the public by federal law. It may contain confidential, legally privileged, proprietary or deliberative process inter-agency/intra-agency material. You are hereby notified that any dissemination, copying, or further distribution of this information to unauthorized individuals (including unauthorized members of the President-elect Transition Team) is strictly prohibited. Unauthorized disclosure or release of this information may result in loss of access to information, and civil and/or criminal fines and penalties.

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Legislative Agenda: T Visa Program Adding Principal's Children as Derivatives Regardless of Age or Marital Status 88

Issue Papers 91

Administrative Site Visit and Verification Program 91

USCIS Anti-Fraud Efforts 95

Asylum Processing 100

USCIS Capacity Building 103

Credible Fear Claims 106

Improving Customer Access to Immigration Services 109

Central American Minors (CAM) Refugee/Parole Program 112

CW-1 Nonimmigrant Visa Program 115

Deferred Action for Childhood Arrivals 119

EB-5 Investor Visa Program 122

Executive Action on Immigration 129

H-1B Nonimmigrant Visa Program 132

H-2A Nonimmigrant Visa Program 137

H-2B Nonimmigrant Visa Program 141

Customer Profile Management System IDENTITY Verification Tool (CPMS-IVT) 146

USCIS Immigration Statistics and Trends 151

Intercountry Adoptions 154

USCIS Information Sharing and Privacy-Related Issues 157

K-1 Visa Program Review 160

Mass Migration and Caribbean Steady State 163

Military Naturalization 167

USCIS Policy Manual Overview 169

Reasonable Fear Claims 171

Non-Delivery of Secure Documents 174

Refugee Processing 177

Social Media 180

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FOR OFFICIAL USE ONLY

Special Immigrant Juveniles 185

Terrorism-Related Inadmissibility Grounds (TRIG)..... 189

Unaccompanied Alien Children and Asylum 194

Directorate and Program Office Overviews..... 197

Customer Service and Public Engagement Directorate..... 197

USCIS Field Operations Directorate..... 202

Fraud Detection and National Security Directorate 205

Immigration Records and Identity Services Directorate 211

Management Directorate..... 215

Refugee, Asylum and International Operations Directorate..... 218

Service Center Operations..... 221

Administrative Appeals Office 223

Office of Communications..... 226

Office of Equal Opportunity and Inclusion 230

Office of the Executive Secretariat..... 233

Office of Policy and Strategy 236

Office of Privacy..... 239

Office of Transformation Coordination..... 244

USCIS Leadership Biographies..... 247

Headquarters Leadership 247

 Director..... 247

 Deputy Director 247

 Chief of Staff..... 247

Directorate Leadership..... 247

Program Office Leadership..... 247

Field Operations Leadership..... 248

 Field Operations Headquarters Leadership..... 248

 Immigrant Investor Program Office Leadership..... 248

 National Benefits Center Leadership..... 248

Warning! This document, along with any attachments, contains NON-PUBLIC INFORMATION exempt from release to the public by federal law. It may contain confidential, legally privileged, proprietary or deliberative process inter-agency/intra-agency material. You are hereby notified that any dissemination, copying, or further distribution of this information to unauthorized individuals (including unauthorized members of the President-elect Transition Team) is strictly prohibited. Unauthorized disclosure or release of this information may result in loss of access to information, and civil and/or criminal fines and penalties.

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Regional Leadership..... 248

Field Leadership-District 1 (Boston) 248

Field Leadership-District 2 (Buffalo) 248

Field Leadership-District 3 (New York City) 249

Field Leadership-District 4 (Newark) 249

Field Leadership-District 5 (Philadelphia) 249

Field Leadership-District 6 (Baltimore)..... 249

Field Leadership-District 7 (Washington, DC)..... 249

Field Leadership-District 8 (Atlanta) 249

Field Leadership-District 9 (Miami) 250

Field Leadership-District 10 (Tampa)..... 250

Field Leadership-District 11 (New Orleans)..... 250

Field Leadership-District 12 (Detroit) 250

Field Leadership-District 13 (Cleveland)..... 251

Field Leadership-District 14 (Chicago) 251

Field Leadership-District 15 (Kansas City)..... 251

Field Leadership-District 16 (Dallas) 251

Field Leadership-District 17 (Houston)..... 251

Field Leadership-District 18 (San Antonio) 252

Field Leadership-District 19 (Denver) 252

Field Leadership-District 20 (Seattle) 252

Field Leadership-District 21 (San Francisco)..... 252

Field Leadership-District 22 (Sacramento) 252

Field Leadership-District 23 (Los Angeles)..... 253

Field Leadership-District 24 (San Diego)..... 253

Field Leadership-District 25 (Phoenix)..... 253

Field Leadership-District 26 (Hawaii)..... 253

Service Center Operations Leadership 254

Refugee, Asylum, and International Operations (RAIO) Leadership 255

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RAIO Headquarters Leadership 255
Refugee Affairs Division..... 255
Asylum Division..... 255
International Operations Division 255
Glossary of Acronyms..... 432

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Director's Welcome Message

Over the past three years, I have had the immense privilege of leading U.S. Citizenship and Immigration Services and working with our outstanding staff. We have accomplished much during this time: screening the nearly 85,000 refugees that were admitted to the U.S. in Fiscal Year 2016, naturalizing nearly two million new citizens during my time here, and providing hope and a means to support themselves and their families to thousands of students, graduates, and military members.

These accomplishments belong to the hard working and dedicated employees of this agency. I had the distinct honor of supporting them in achieving these remarkable milestones. I want the president-elect and the new Secretary of Homeland Security to know that he is inheriting an extraordinary agency. Staff here stands willing to implement any new policies or initiatives, consistent with the Constitution and laws of the United States, and will do so with efficiency, quality, and grace as I have seen them do many times over the course of my tenure.

My family came to this country as refugees and I am honored and humbled to have had the opportunity to lead U.S. Citizenship and Immigration Services and to help others achieve the American dream just as my family has.

Sincerely,

León Rodríguez

Director

U.S. Citizenship and Immigration Services



Deputy Director's Welcome Message

Since 1986, I have dedicated my career to administering the immigration laws of this country. When I assumed my current position as Deputy Director of U.S. Citizenship and Immigration Services five and a half years ago, I gained a new perspective, understanding, and respect for what is accomplished in this agency. Not a day goes by that I don't remark about something impressive we've accomplished at USCIS. The work is challenging, but the rewards are great both for the dedicated employees within the agency and for the people we serve.



The mission of this agency has a profound impact on both individuals and the nation. The agency embodies and demonstrates our American values in its daily work. USCIS plays a direct role in the welcoming of immigrants to the United States, the protection of the homeland, and the fulfillment of the American dream.

I welcome the opportunity to discuss with you the significant things this agency achieves each day, our challenges, and how we can move forward together.

Sincerely,

Lori Scialabba
Deputy Director
U.S. Citizenship and Immigration Services

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U.S. Citizenship and Immigration Services Overview



Naturalization Ceremony, July 21, 2014, at Mt Rainier National Park Photo: USCIS

U.S. Citizenship and Immigration Services (USCIS) is the Federal agency that oversees lawful immigration to the United States. USCIS began operations on March 1, 2003, as part of the newly established U.S. Department of Homeland Security (DHS). Congress disbanded the Immigration and Naturalization Service in the Department of Justice and transferred its functions to three new agencies in DHS: USCIS, U.S. Immigration and Customs Enforcement (ICE), and U.S. Customs and Border Protection (CBP).

USCIS officers adjudicate requests for immigration benefits, including lawful permanent residence (Green Cards), and naturalization. Combatting fraud and safeguarding national security are agency priorities.

USCIS also plays key roles in the U.S. Refugee Admissions Program and in other



USCIS employees check applicants in before their naturalization ceremony. Photo: USCIS

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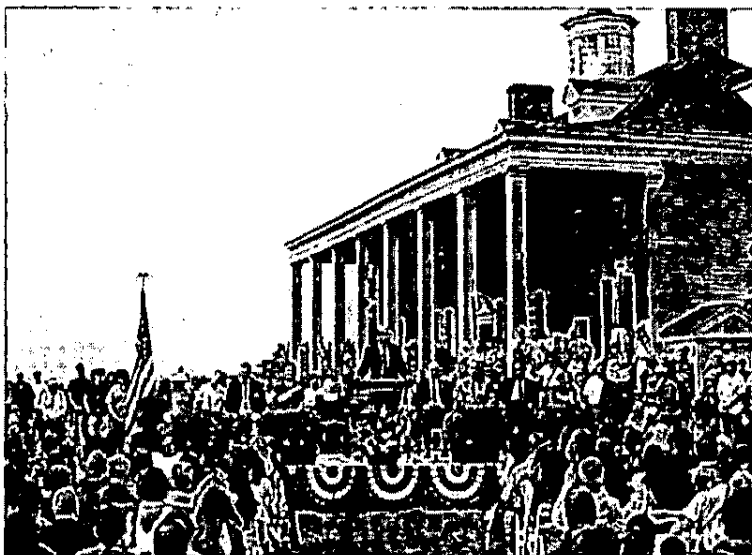
national security areas including:

- Conducting robust security screening of potential refugees;
- Determining asylum eligibility for those claiming to face persecution in their home countries;
- Providing relief for victims of human trafficking and violent crimes;
- Enabling inter-country adoptions for U.S. citizen parents; and
- Verifying the employment eligibility of new hires in the United States.

In a nation of immigrants, the employees of USCIS are proud to play a vital role in this country's long tradition of enrichment and renewal through immigration. USCIS' workforce consists of approximately 19,000 government workers and contractors, who are located at 223 offices around the world and are entrusted to uphold the agency's core values of integrity, respect, ingenuity, and vigilance.

An Average USCIS Day

- Adjudicates more than 26,000 requests for various immigration benefits.
- Processes 3,700 applications to sponsor relatives and future spouses.
- Processes 200 refugee applications around the world and grants asylum to 45 individuals already in the United States.
- Screens 146 people for protection on the basis of credible fear.
- Answers 50,000 phone calls to our toll-free customer service line and serves 2,200 customers at appointments for information in its 86 domestic field offices.
- Ensures the employment eligibility of more than 80,000 new hires in the United States.
- Fingerprints and photographs 13,000 people at 137 Application Support Centers.



USCIS Director Rodriguez speaking at a naturalization ceremony at Mount Vernon. Photo: USCIS

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- Approves applications and petitions to assist American parents in adopting 25 foreign-born orphans.
- Grants lawful permanent residence to approximately 2,100 people and issues approximately 7,000 Permanent Resident Cards (Green Cards).
- Receives 335,000 visitor sessions to uscis.gov.
- Welcomes nearly 2,000 new citizens at naturalization ceremonies. Typically 36 of these new citizens are members of the U.S. armed forces.

Mission

USCIS will secure America's promise as a nation of immigrants by providing accurate and useful information to its customers, granting immigration and citizenship benefits, promoting awareness and understanding of U.S. citizenship, and ensuring the integrity of the immigration system.



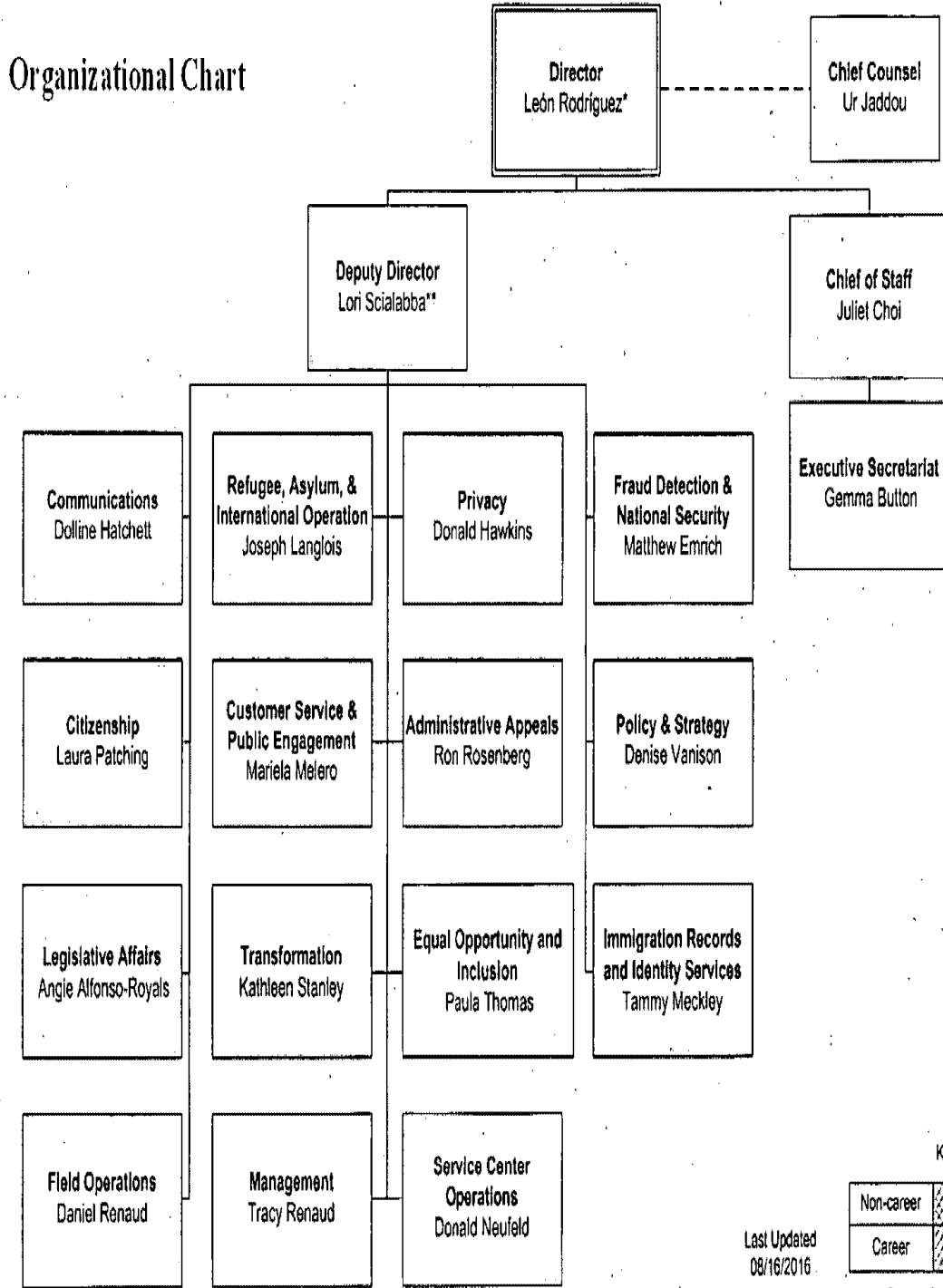
USCIS Immigration Services Officer interviewing a candidate for citizenship.
Photo: USCIS

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U.S. Citizenship and Immigration Services

Organizational Chart

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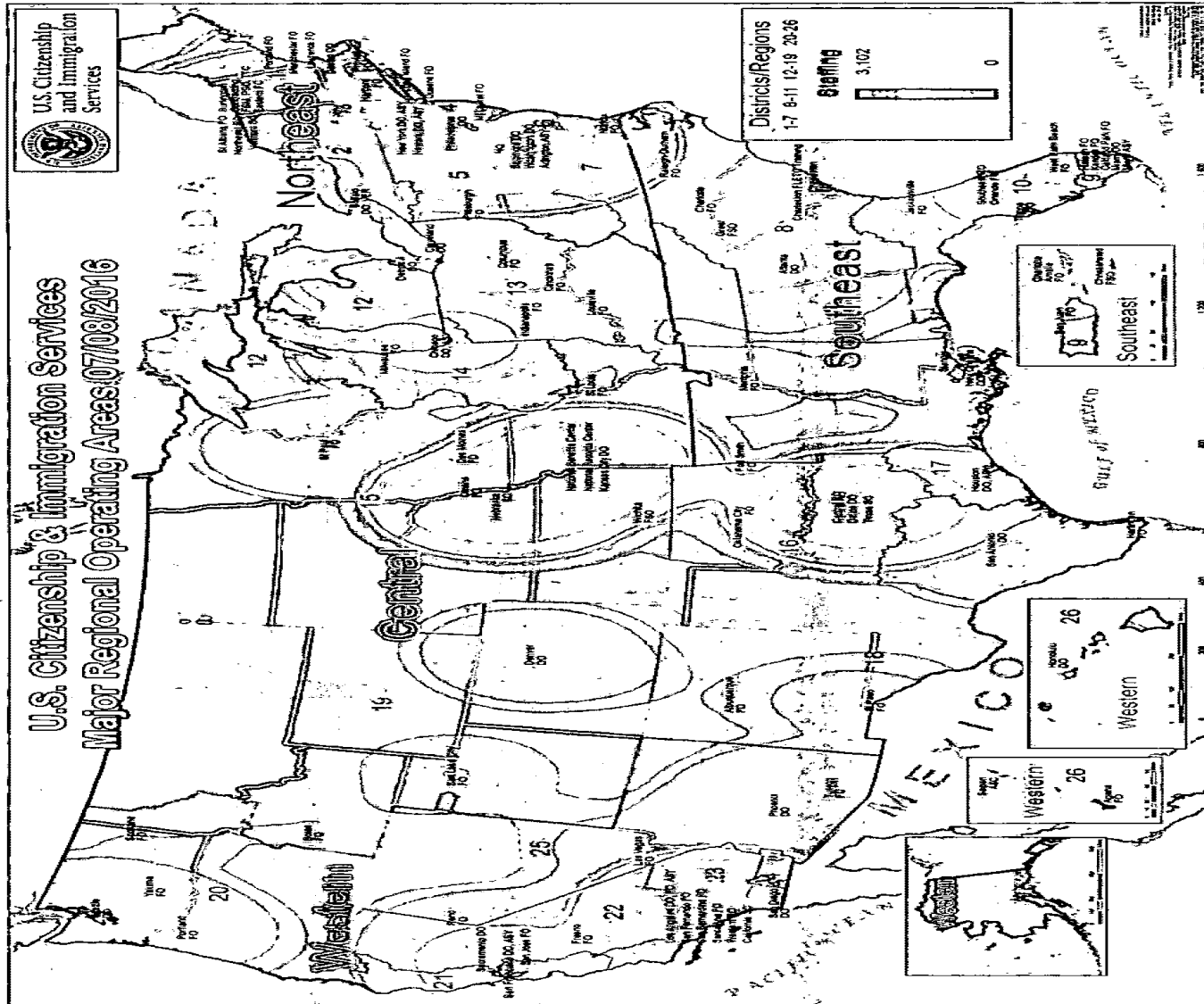
Last Updated
08/16/2016

Key	
Non-career	Vacant
Career	Acting

*Senate Confirmed
** Senior Career Official

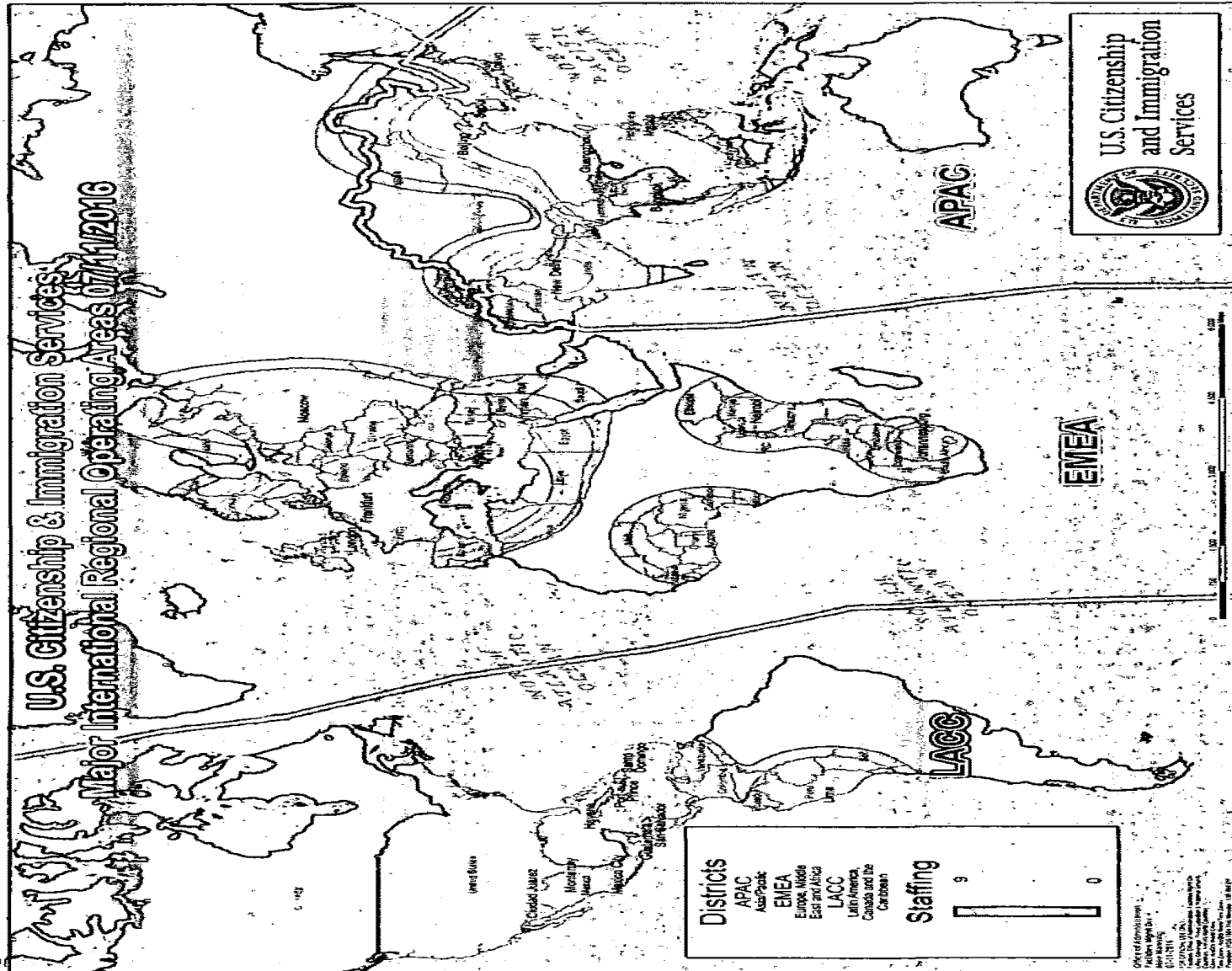
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USCIS Regional Structure and Domestic Force Laydown



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USCIS International Force Laydown



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Budget

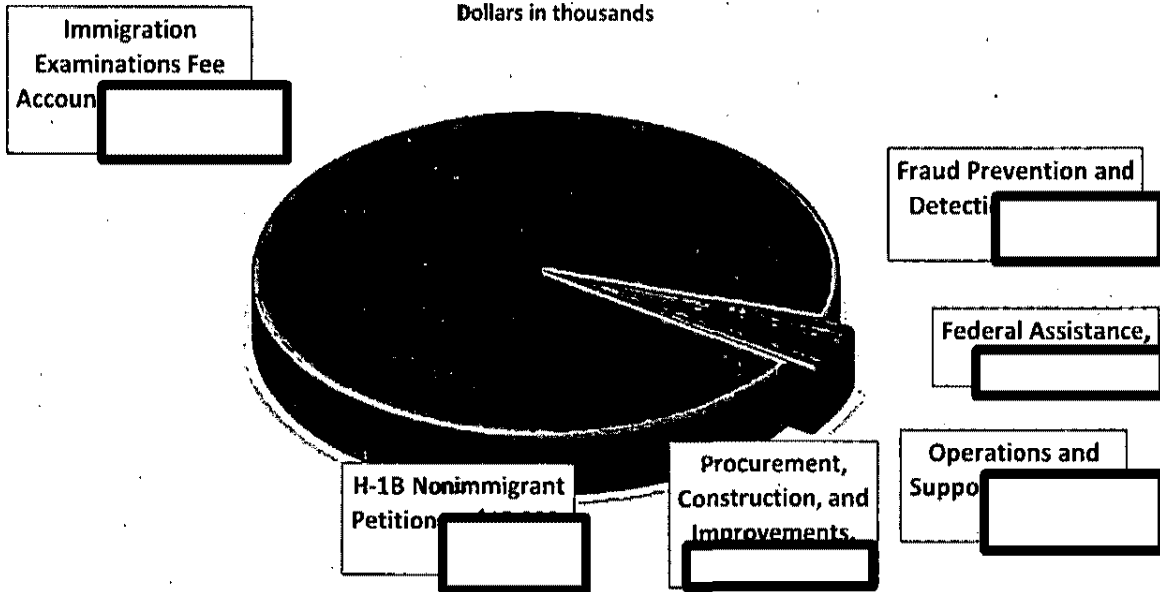
Approximately 95% of USCIS' budget is funded by Immigration Examination Fees. In accordance with the Immigration and Nationality Act (INA) Sections 286(m) and (n), USCIS is authorized to establish and charge fees for the adjudication and naturalization services it provides, as well as retain such fees until expended to directly fund the agency's operations.

USCIS - Total Budget Authority		
FY 2016 Enacted	FY 2017 President's Budget	+/-
(b)(5)		

*FY 2017 President's budget includes [redacted] for the enjoined aspects of Executive Action on Immigration. Congress is expected to subtract this out of USCIS' initial budget authority in the FY 2017 appropriations bill.

FY17 President's Budget

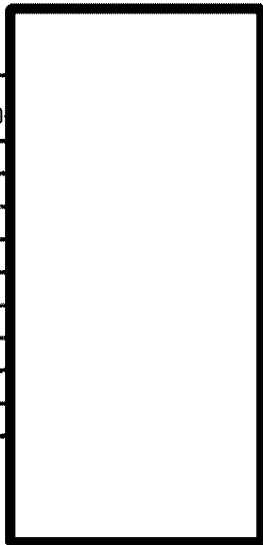
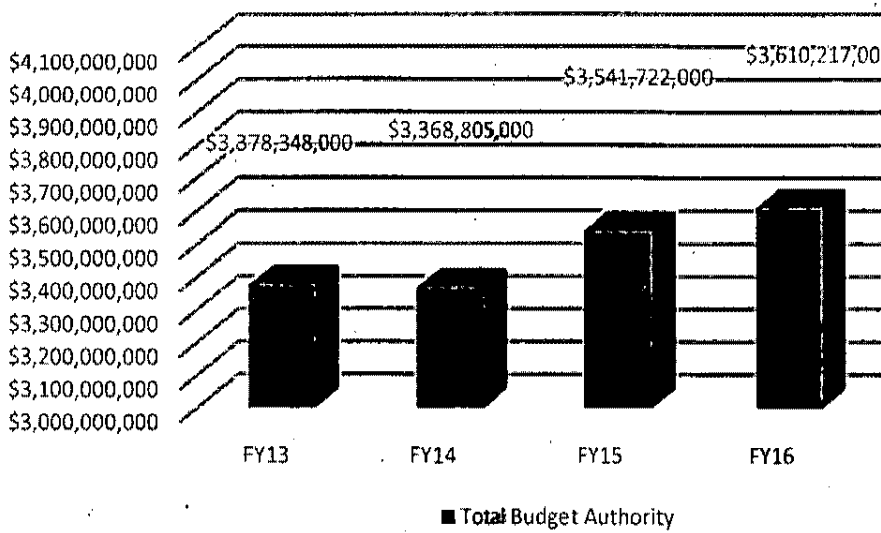
Dollars in thousands



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USCIS- 5-year Funding Trend

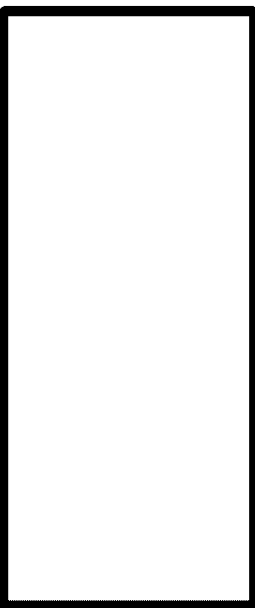
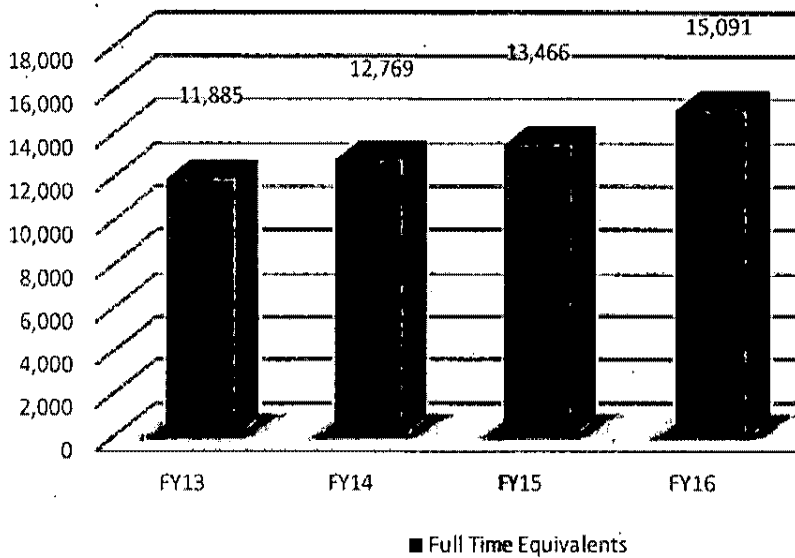


(b)(5)

*FY 2016 amount is enacted and does not include \$177.1 million that was part of the reprogramming approved by Congress.

* FY 2016. Does not include reimbursable, working capital, or revolving account employees. Authorized and onboard figures are as of May 14, 2016/Pay Period 9 and only include full-time permanent employees.

USCIS - 5-year Workforce Trend



(b)(5)



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Workforce

Directorate/Program Office	Authorized Federal Employees	Onboard	Vacancies
Total USCIS	16,617	14,959	1,658
Office of Administrative Appeals	113	101	12
Office of the Chief Counsel	263	254	9
Office of Citizenship	28	21	7
Office of Communications	77	66	11
Office of the Director	24	17	7
Office of Equal Opportunity & Inclusion	29	23	6
Office of Executive Secretariat	25	18	7
Office of Legislative Affairs	30	27	3
Office of Policy & Strategy	106	83	23
Office of Privacy	22	20	2
Office of Transformation Coordination	104	86	18
Customer Service and Public	324	299	25

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Engagement Directorate			
Field Operations Directorate	6,062	5,624	438
Fraud Detection and National Security Directorate	1,114	940	174
Immigration Records and Identity Services Directorate	1,094	939	155
Management Directorate	1,644	1,418	226
Refugee, Asylum & International Operations Directorate	1,589	1,252	337
Service Center Operations Directorate	3,969	3,771	198

Strategic Priorities

Transformation - Each year, USCIS receives approximately seven million requests for immigration benefits and other action for review and adjudication. Until recently, a



USCIS employee sorting paper immigration files Photo: USCIS

paper form was the primary workflow driver for processing each request, supported by a number of stove-piped systems. Individual field offices would often acquire their own technology and develop innovative procedures to create more efficiencies in the paper process, but those local procedures were not necessarily adopted across the agency.

Additionally, USCIS recognized that its dependence on paper files made it difficult

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to verify applicants' identities and provide

DHS and other government agencies with the information they need to make informed business decisions. As part of a comprehensive set of initiatives to modernize, USCIS embarked on an enterprise-wide effort to transition from a paper-based to a paperless, electronic operational environment. The new operating environment, referred to internally as USCIS Electronic Immigration System (ELIS), is being delivered by the USCIS Office of Transformation Coordination in partnership with the USCIS Office of Information Technology. The system is supported by a number of enterprise data services that ensure the right information is available for the adjudication process. The system eventually will also serve as USCIS' single case management system for all immigration benefits and requests. The life cycle cost estimate that was approved in April 2015 for the re-baselined program is [REDACTED]

(b)(5)

Backlogs - Backlogs at USCIS have grown over the past year, mainly due to increased filings and a lack of resources necessary to complete the work in a timely manner. As USCIS is a fee-funded agency, there is a natural mechanism to increase funding commensurate with the increased workload. However, the workload can expand at a faster rate than USCIS is capable of matching with personnel, creating a backlog of cases that are pending adjudication and are outside of the specific cycle time goal (that is, outside the number of months USCIS expects it will take to adjudicate the specific form type).

Verification Modernization - In 2012, USCIS initiated the Verification Modernization (VER MOD) program to modernize the E-Verify and Systematic Alien Verification for Entitlements (SAVE) programs, as well as a suite of supporting applications. The legacy programs are operational but are constrained by tightly-coupled information technology architecture. Workload volumes for both programs are expected to continue to increase and are already beyond the current operational program limits. Modernization is intended to increase the capacity and flexibility of these programs in order to enable DHS to meet its mission to enforce and administer the nation's immigration laws. The projected life cycle cost of VER MOD is [REDACTED] which includes operations of both E-Verify and

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SAVE. The acquisition program was cleared by DHS to enter the execution phase in October 2015.



Refugee applicants in Jordan take an oath before their interview for refugee resettlement through the U.S. Refugee Admissions Program.

Supporting Immigrant Integration Efforts - Since November 2014, following the release of the "Creating Welcoming Communities and Fully Integrating Immigrants and Refugees"

Presidential Memorandum, USCIS and the White House Domestic Policy Council have served as co-chairs of the White House Task Force on New Americans ("Task Force"). The Task Force includes 16 federal departments, agencies, and White House offices and was charged with developing a coordinated federal strategy to better integrate immigrants into American communities. In April 2015, the Task

Force issued a Strategic Action Plan with goals and recommended actions to build welcoming communities; strengthen existing pathways to naturalization and promote civic engagement; support the skill development, entrepreneurship, and protect new American workers; expand opportunities for linguistic integration and education; and strengthen federal immigrant and refugee integration infrastructure. Under the auspices of the Task Force, the federal government has made great strides in coordinating and enhancing immigrant integration activities, including implementing the more than 40 recommendations included in the Strategic Action Plan. USCIS seeks to continue these interagency coordination and implementation efforts to help immigrants integrate into communities and contribute to society to their fullest potential.

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Key Partnerships / Stakeholders

Interagency	
Partner	Description
U.S. Department of Defense (DOD).	<p>USCIS has an interagency agreement to share biometric data for specific classes of immigrants through the Automated Biometric Identification System (ABIS).</p> <p>USCIS also has interagency agreements allowing U.S. military facilities to host immigration operations in support of U.S. military personnel seeking immigration benefits.</p> <p>For the naturalization process, USCIS receives confirmation from DoD of an applicant's military service and whether the applicant was honorably discharged from the U.S. Armed Forces.</p>
U.S. Department of Labor (DOL)	USCIS and DOL work collaboratively on employment-based immigrant and nonimmigrant visa issues.

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Interagency	
Partner	Description
U.S. Department of State (DOS)	<p>USCIS retrieves information relating to individuals receiving immigrant visas for the purpose of issuing Permanent Resident Cards. DOS issues U.S. passports and shares the authority to make decisions on U.S. citizenship claims.</p> <p>DOS is a data partner with the USCIS Immigration Records and Identity Services Directorate and shares information needed to validate passport and passport card data and photos for the E-Verify program.</p> <p>DOS also assists with payroll processing for overseas allowances</p> <p>DOS and DHS are partners in the U.S. Refugee Admissions Program, an interagency effort involving a number of governmental and non-governmental partners both overseas and in the United States who work together towards refugee admissions each year.</p>

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Interagency	
Partner	Description
U.S. Department of Treasury, Fiscal Service	Treasury's Fiscal Service designates a Financial Agent (JP Morgan Chase line 12) to provide Lockbox Services for the collection of fees and associated immigration forms for USCIS. Fiscal Service and USCIS jointly manage the Lockbox Service Provider, through a Memorandum of Understanding. Treasury is USCIS' partner in managing the lockbox operation, which is responsible for the intake and deposit of approximately 90% of USCIS forms and fees.
Executive Office for Immigration Review (EOIR)	<p>The immigration courts fall under the jurisdiction of EOIR and are responsible for conducting proceedings related to an individual's removal or deportation from, and/or admissibility to the United States.</p> <p>USCIS retrieves data collected by the immigration courts regarding hearing dates, results of the hearing, and status of the individual who is in proceedings before the court. USCIS also issues Notices to Appear, placing individuals into immigration proceedings before EOIR.</p>

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Interagency	
Partner	Description
Federal Bureau of Investigation (FBI)	USCIS conducts background and security checks for most requests for immigration benefits. USCIS works with the FBI to obtain and complete background and security checks for individuals seeking immigration benefits.
General Services Administration (GSA)	The GSA acquires and manages all real property acquisitions and facilities related projects on behalf of USCIS. This directly supports USCIS' mission, allowing USCIS employees and customers to conduct business in safe and professional environments.

Stakeholder Groups and Federal Advisory Committees (FACA)	
Partner	Description
Non-governmental entities, community-based organizations, and various public and private associations.	There are many public and private entities and organizations that work with individuals seeking immigration benefits (e.g., Catholic Charities, Catholic Legal Immigration Network (CLINIC), National Council of La Raza, American Immigration Lawyers Association, United We Dream). USCIS frequently holds public outreach sessions with such organizations on various immigration issues and offers them an opportunity to provide feedback on issues such as customer service, agency policies, and case processing.

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International Engagements	
Partner	Description
United Nations High Commissioner for Refugees (UNHCR)	UNHCR refers a vast majority of the refugee resettlement applicants to the U.S. Refugee Admissions Program.

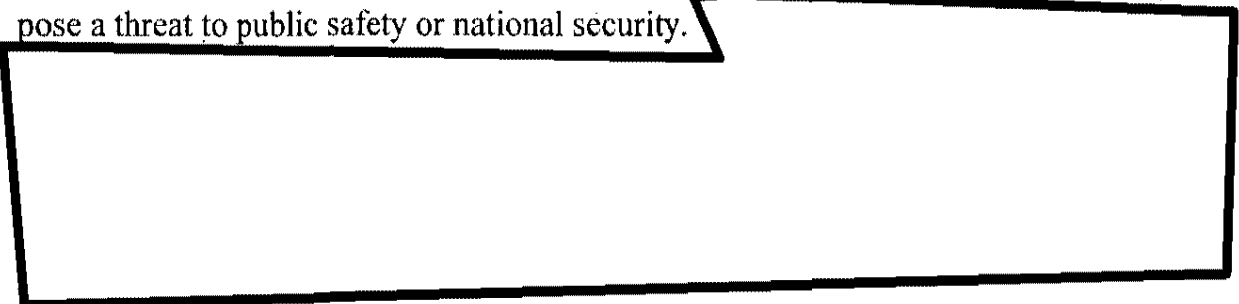
Organized Labor/Advocacy Groups	
Partner	Description
American Federation of Government Employees (AFGE)-National Citizenship and Immigration Services Council (NCISC)	AFGE represents USCIS bargaining unit employees. USCIS and AFGE-NCISC work together to collaboratively negotiate and establish procedures for work conditions and resolve employee grievances.

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Legislative Agenda

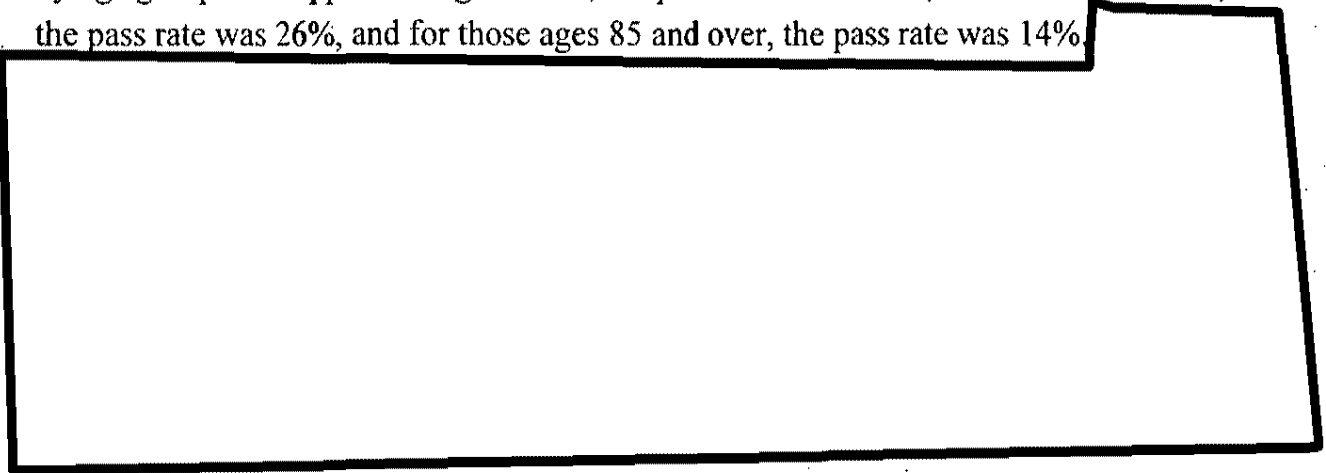
EB-5 Discretionary Authority- In 1992, Congress created the Immigrant Investor Program, also known as the Regional Center Program. This sets aside EB-5 visas for participants who invest in commercial enterprises associated with regional centers approved by USCIS based on proposals for promoting economic growth. USCIS currently cannot deny EB-5 regional center program benefits solely due to concerns that the regional center, its associated commercial enterprises, or those in control of the regional center or associated commercial enterprises may be engaged in fraud or criminal activity, or may pose a threat to public safety or national security.

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Naturalization Requirements for Elderly Applicants - The redesigned naturalization test, implemented on October 1, 2008, standardized the content and administration of the naturalization test; however, elderly test takers are still at a much higher risk of not naturalizing because of their inability to meet the educational requirements for naturalization. Based on internal analysis of USCIS data from October 1, 2009 through April 30, 2016, older applicants have a significantly lower pass rate on the naturalization test compared to younger applicants. Data shows that the pass rate for first time test takers ages 18-25 was 98%, and for those ages 25-35 was 96.6%. The pass rate declines by age group. For applicants ages 65-74, the pass rate was 39.6%, for those ages 75-84, the pass rate was 26%, and for those ages 85 and over, the pass rate was 14%.

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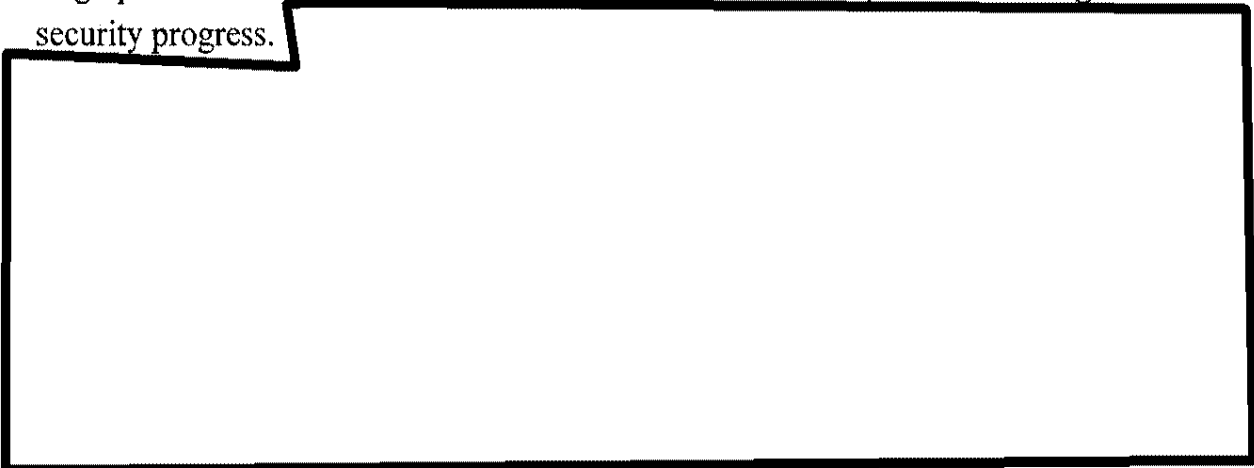


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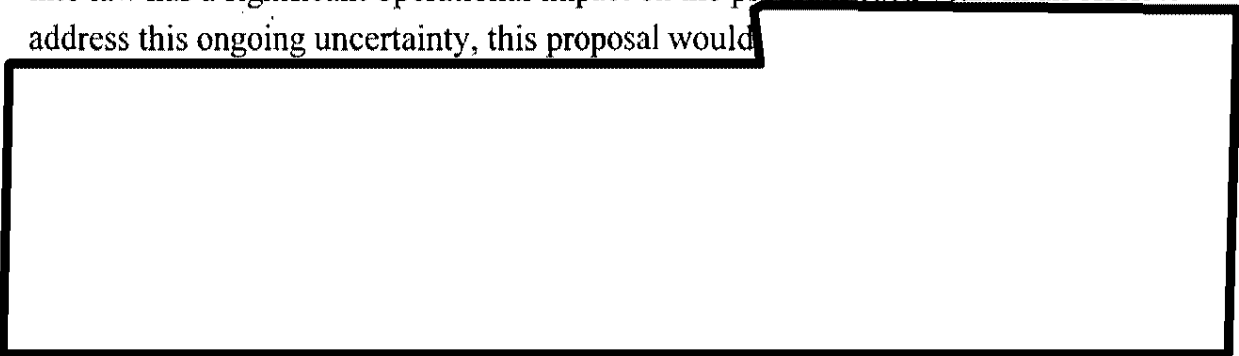
Refugee Fingerprint Collection – Refugee applicants are fingerprinted generally at the time of the applicant’s USCIS interview abroad and are then checked against electronic databases as part of the background and security progress. The results of these checks are, therefore, not available to a USCIS officer until after the interview has been completed. Currently, refugee applicants 14 to 79 years old are required to submit their fingerprints, along with photographs and biographic information, to USCIS. Those fingerprints are then checked against electronic databases as part of the background and security progress.

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Citizenship and Integration Grant Program - Since FY 2009, the Citizenship and Integration Grant Program has been authorized by Congress on an annual basis. The lack of a permanent authorization and need to wait until the appropriations bills are enacted into law has a significant operational impact on the program each year. In an effort to address this ongoing uncertainty, this proposal would

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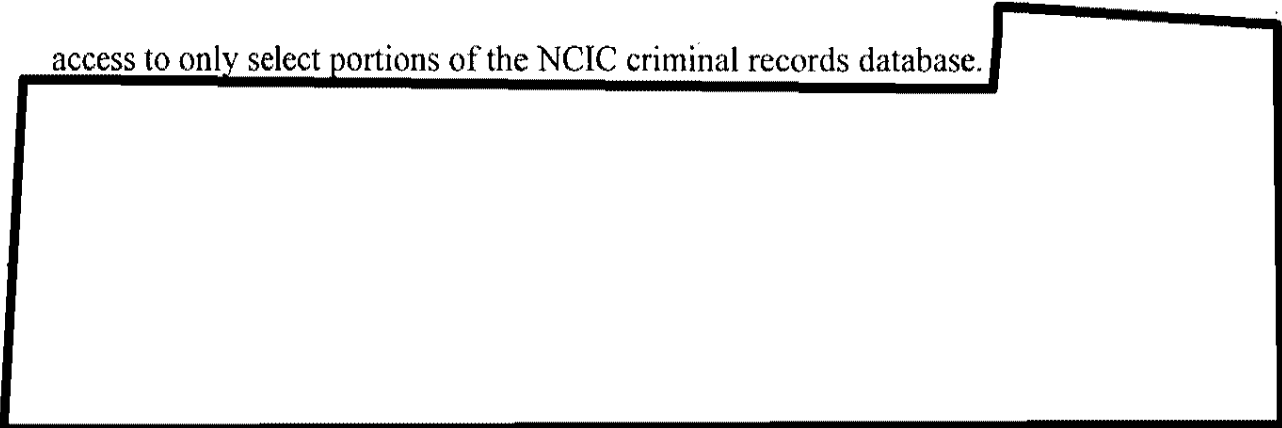


National Crime Information Center (NCIC) Access - USCIS is charged with the critical mission of protecting the national security and public safety through ensuring that applicants for a wide variety of immigration and citizenship benefits under the Immigration and Nationality Act are eligible for the benefit sought, including determining whether criminal grounds of ineligibility apply. Current statute defines “immigration and naturalization matters” as “noncriminal justice purposes,” which limits

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access to only select portions of the NCIC criminal records database.



Avoiding Statelessness through Renunciation of U.S. Citizenship in the United States -Neither national security nor any other legitimate public purpose is served by permitting U.S. citizens within the United States (whether or not they may have a basis for dual nationality) to renounce their duty of loyalty to their country in time of war. Nor should hostilities ongoing in Afghanistan or elsewhere serve as a coincidental and unrelated basis to allow prison inmates or others to renounce their citizenship. Section 349(a)(6) is an unfortunate vestige of a sad historical episode. It need not continue as the source of claims for renunciation by individuals whose resulting statelessness would run counter to the public interest of the United States. USCIS strongly urges that it be repealed outright.

Eligibility of Asylees to Adjust - Pursuant to INA 209(b), asylees may adjust to LPR status under certain conditions. One of these conditions is that, at the time of adjustment, the asylee still must meet the definition of a refugee or be a spouse or child of such a refugee. There are individuals who want to apply for LPR status under this section of law who can no longer be considered spouses or children of refugees because the relationship to the principal no longer exists—for example, the child gets married and thus no longer meets the definition of "child." The USCIS Asylum Division instituted many years ago a pro forma process whereby it grants asylum status "nunc pro tunc" to these derivatives (backdated to when they obtained derivative status) in order to make them principal asylees in their own right (and therefore refugees), so that they can adjust. If a nunc pro tunc process was not in place, these individuals would be derivative asylees indefinitely.

Carryover of Diversity Visa Numbers - Under the Diversity Visa (DV) program, lottery winners' adjustment applications must be approved during the year in which they "win" the lottery. Occasionally, DHS processing and security check delays result in lottery

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winners losing the opportunity to immigrate because their case is not completed by the end of the fiscal year. This has led to litigation and a year-end scramble to complete cases.



(b)(5) **Exemption of Spouses and Children from the Employment-Based Visa Cap** - As amended by the Immigration Act of 1990, the Immigration and Nationality Act (INA) imposes a total numerical limit on a world-wide basis of 140,000 immigrant visas annually for all employment-based (EB) immigration for foreign nationals to obtain U.S. lawful permanent resident (“green card”) status. This is also referred to as the immigrant quotas or caps. Of the five EB immigrant categories, the EB-1 Priority Workers (persons with extraordinary ability in the sciences, arts, education, business, or athletics; outstanding professors or researchers; and multinational executives and managers), EB-2 Advanced Degreed Professionals and Persons with Exceptional Ability (in the arts, sciences or business), and Skilled Workers-Professionals-Other Workers (EB-3) categories are each allotted 28.6% of the world-wide cap; the EB-4 Special Immigrants and EB-5 Employment Creation-Immigrant Investor categories are each allotted 7.1%. Under current law and policy, both principal EB immigrants (the actual workers) and their accompanying spouses and children are counted against the EB immigrant visa caps. In other words, these spouses and children use EB visas that otherwise could go to an immigrant worker.

Permanently Transfer H-2B Enforcement Authority to the Department of Labor - Under section 214(c)(14) of the Immigration and Nationality Act (INA), the Secretary of Homeland Security has authority to fine or debar an H-2B petitioner that the Secretary has found, after a hearing, to have substantially failed to meet the conditions of the H-2B petition (e.g., payment of the prevailing wage). In 2009 DHS delegated this authority to the Department of Labor (DOL), as DOL possesses the appropriate expertise to determine if there has been substantial failure of petition conditions, including adequacy of attempts to recruit U.S. workers and payment of prevailing wages, as well as resources for conducting the required hearings.

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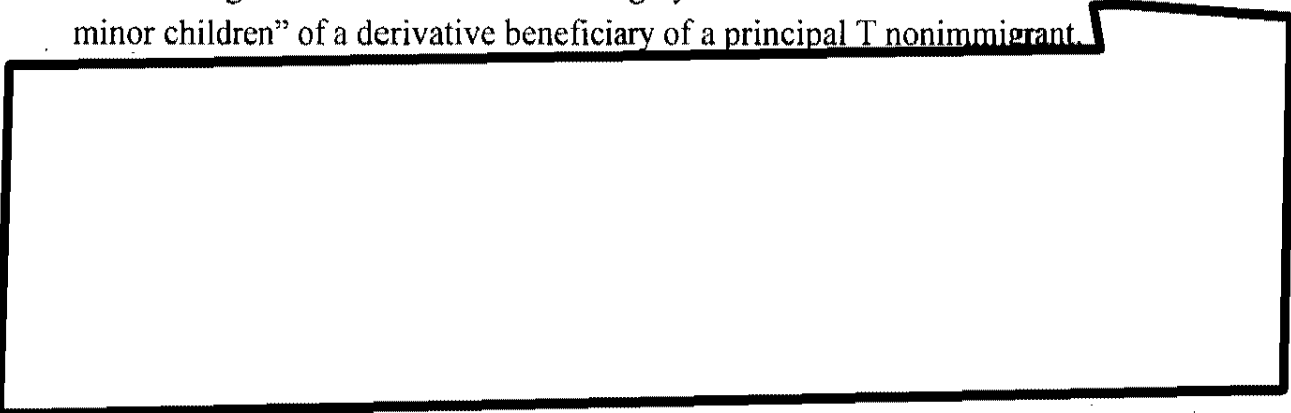
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Correct Omission of Certain Derivative Family Members from T Nonimmigrant Adjustment of Status Provision - The U adjustment of status statute at INA § 245(m) protects certain family members of U nonimmigrants who did not derive U nonimmigrant status from the principal. Specifically, INA § 245(m)(3) allows certain qualifying family members (spouse, child, or in the case of a principal who is a child, the parent) who have never held derivative U nonimmigrant status to seek an immigrant visa or adjust status, if necessary to avoid extreme hardship. Because a U or T derivative's nonimmigrant status is dependent on the principal's nonimmigrant status, a U or T derivative cannot obtain derivative U or T nonimmigrant status once the principal no longer has U or T nonimmigrant status (for example, if the principal adjusts to lawful permanent residence).



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T Visa Program Adding Principal's Children as Derivatives Regardless of Age or Marital Status - Under INA § 101(a)(15)(ii)(I) and (II), principal T nonimmigrants can petition for derivative T nonimmigrant status for certain immediate family members. Principals under the age of 21 can petition for their spouse, unmarried children under 21 years of age, unmarried siblings under 18 years of age, and parents. Principal T nonimmigrants over the age of 21 can petition for their spouse and unmarried children under 21 years of age. Section 1221 of the Violence Against Women Reauthorization Act of 2013 (VAWA 2013) expanded the list of derivative beneficiaries to include family members whose eligibility to derive status is based on facing a present danger of retaliation as a result of the principal's escape from trafficking or cooperation with law enforcement. See INA § 101(a)(15)(ii)(III). This expanded list includes the principal's parent or unmarried sibling under the age of 18 as well as a new category of derivatives of derivatives: the "adult or minor children" of a derivative beneficiary of a principal T nonimmigrant.



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Government Accountability Office / Office of the Inspector General Audits

GAO Audits			
Title	Report Number	Description	Final Report Due
Asylum: Additional Actions Needed to Assess and Address Fraud Risks	<u>GAO-16-50</u>	House Committee on the Judiciary requested audit to assess: (1) What do the Department of Homeland Security's (DHS) and the Department of Justice (DOJ) Executive Office for Immigration Review's (EOIR) data indicate about the number and characteristics of asylum claims over the past 5 years? (2) To what extent have U.S. Citizenship and Immigration Services (USCIS) and EOIR developed and implemented policies and procedures to detect and prevent fraud in the asylum process? (3) What federal public benefits were provided to asylees who had their status terminated for fraud?	Final report issued December 2, 2015.
Immigration Benefits Systems: U.S. Citizenship and Immigration Services Can Improve Program Management	<u>GAO-16-467</u>	House Committee on Homeland Security requested audit to assess the extent to which the USCIS <u>Transformation</u> program uses information technology program management best practices. GAO found that software development and systems integration and testing for USCIS' Electronic Immigration System (USCIS ELIS) have not consistently been managed in line with the program's policies and guidance or with leading practices. The report contained 12 recommendations, with which DHS concurred.	Final report issued July 7, 2016.

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<p>Refugee Screening Process</p>	<p>N/A (GAO job code 100527)</p>	<p>House Committee on Homeland Security requested audit to determine: (1) What do data indicate about the characteristics of refugee resettlement applications to the United States?; (2) How does the Department of Homeland Security (DHS) determine admissibility for refugees seeking resettlement in the United States?; (3) To what extent have DHS and State implemented policies and procedures for conducting security checks of applicants for refugee resettlement?; and (4) How, if at all, do DHS and State coordinate with other U.S. agencies in conducting such security checks?</p>	<p>Projected report release date to be determined. GAO announced the audit in January 2016 and is currently conducting fieldwork.</p>
<p>OIG Audits</p>			
<p>Title</p>	<p>Report Number</p>	<p>Description</p>	<p>Final Report Due</p>
<p>DHS Use of Biometric Information to Detect and Respond to Naturalization Fraud</p>	<p><u>OIG-16-130</u></p>	<p>OIG self-initiated audit of the results of Operation Janus, a DHS study that identified approximately 1,650 aliens who may have engaged in naturalization fraud. Specifically, the Operation Janus study purports to have identified aliens who received naturalization, despite DHS biometric records that associated these aliens with multiple identities and Final Removal Orders.</p>	<p>Report issued on September 8, 2016.</p>

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Strategic Priorities

Strategic Priority: USCIS Transformation

Every year, U.S. Citizenship and Immigration Services (USCIS) receives approximately seven million applications, petitions, and requests for review and adjudication. Until recently USCIS relied on customers submitting paper forms to request an immigration benefit. This paper-driven process is labor intensive and can result in processing delays, especially when paper records have to be transferred to or from a USCIS field office or service center. In order to streamline these processes, individual field offices would often acquire their own technology and develop innovative procedures. However, these local field office systems or procedures were not always adopted nationwide and could result in inconsistencies in case processing and adjudication. Additionally, USCIS recognized that its dependence on paper files made it difficult to verify applicants' identities, detect fraud, and provide DHS and other government agencies with the information they need to make informed business decisions.

Background

As part of a comprehensive set of initiatives to modernize, USCIS embarked on an enterprise-wide effort to transition from a paper-based to a paperless operational environment. The new operating environment, referred to internally as USCIS Electronic Immigration System (ELIS), is being delivered by the USCIS Office of Transformation Coordination (OTC) in partnership with the USCIS Office of Information Technology. The system is supported by a number of enterprise services (e.g., Identity, Credential and Access Management, Person Centric Query Service, Fraud Detection and National Security Data System, etc.) that ensure the right information is available for the adjudication process. The system eventually will also serve as USCIS' single case management system for all immigration benefits and requests.

The implementation of ELIS includes improving performance of the five major operating requirements as follows:

- **Document Intake** – Through ELIS, customers can file and pay for certain benefits directly online. In addition, even if a customer submits a paper form, USCIS is able to capture data and digitized images from the paper form filed with a USCIS Lockbox¹ and transmit this information into ELIS so that USCIS can make decisions

¹ The Lockbox is operated by J.P. Morgan as a financial agent for the Department of Treasury.

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in the electronic environment. Customers and their legal representatives also can create online accounts to check the status of cases pending with USCIS, respond to requests for evidence, and receive electronic notifications when the agency has made a final decision.

- **Case Management** – Through ELIS, USCIS has consolidated and streamlined many separate processes that were required to move a case from filing through to a final decision. USCIS can conduct case pre-processing online (e.g., data entry, automated background and security checks), schedule interviews and biometric services appointments, and issue notices and decisions all in a single system. USCIS officers all over the country can access and review information about a specific case in the electronic environment instead of having to wait for a paper A-file to be transmitted to a specific office for review.
- **Risk and Fraud Management** – ELIS contains features and functionality that allow USCIS to send, receive, and consolidate information required for processing and assessing the results of security background checks based on biographic and biometric information. With easy access to such information in an electronic environment, USCIS can also readily detect filing patterns and identity filings by certain users who may be involved in fraud or criminal activity, or who may be considered a threat to national security or public safety.
- **Content Management** – Through ELIS, USCIS can manage case content electronically. USCIS officers can view digitized evidence and have a complete picture of the entire application, including supporting documents, immediately available for review. Electronic content management includes digitizing, managing, and sharing content that includes data and images.
- **Management Tools** – ELIS contains features for generating management reports and facilitating the management of fees and customer inquiries. In ELIS, every internal user's actions are logged within the system, which creates a streamlined process for conducting audits. Agency and knowledge management through ELIS also supports the alignment of resources and tools to support adjudication and case processing

In November 2008, USCIS awarded a solutions architect contract to IBM to design, develop, test, deploy, and sustain an integrated operating system for the transformation program. On May 22, 2012, USCIS deployed its initial version of ELIS. The initial

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launch was behind schedule and over budget for this first release. The architecture used to develop the initial system required integration and maintenance of over 29 commercial proprietary off-the-shelf products and lacked the flexibility to make quick changes in the environment. As a result, USCIS was not able to deploy functionality in successive 4-6 month intervals as initially contemplated.

USCIS was directed to refocus program management and changed the software development methodology to agile development. Through agile development, USCIS is able to develop, test, and deploy functionality in an iterative fashion and more frequently. USCIS changed the technical architecture and adopted a cloud-based service similar to those used by companies in the private sector, like Amazon and Google. USCIS also changed its acquisition strategy to use best practices from private industry.

- ✓ **Software Development Methodology**: In April 2012 the program transitioned from a waterfall to an agile software development methodology. The agile methodology allows for flexibility and responsiveness to the changing priorities and dynamics in the development process offering more frequent value-added releases to ELIS. This approach allows the program to incrementally implement functionality every 4 – 6 months.
- ✓ **Acquisition Strategy**: In May 2012, the Transformation Executive Steering Committee² approved a change to the acquisition strategy. To introduce more competition into the development work, the revised Acquisition Strategy changed from a single solutions architect (IBM) to multiple contracts for and supporting software development, code integration, testing, requirements and training.
- ✓ **Technical Architecture**: In March 2013, the Executive Steering Committee approved moving ELIS into a new architecture that allows for simpler development and is easier to maintain. The architecture was changed from 29 proprietary Commercial-Off-the-Shelf products to an open-source code framework that allows for development and production using cloud services. The new architecture is using best practices design and generalized capabilities where possible and removes products that duplicate other USCIS products.

² The Transformation Executive Steering Committee is chaired by the Director of USCIS and includes the USCIS Deputy Director, DHS HQ organizations, and USCIS directorate and program heads. The primary purpose of the ESC is to provide effective governance, oversight, and guidance to Transformation and all related projects and initiatives to ensure successful development and operation in support of mission objectives.

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(b)(5) The Life Cycle Cost Estimate that was approved in April 2015 for the re-baselined program is [REDACTED]

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Current Status

Since the program changed its approach as well as rebuilding the system the following has been accomplished:

- **April 2015** – USCIS started processing all Form I-90, Application to Replace Permanent Resident Card (Green Card) in ELIS. Customers can file the Form I-90 in paper or directly online.
- **August 2015** – USCIS deployed capability to allow new immigrants who are required to pay a \$165 USCIS Immigrant Fee³ to pay online in ELIS. USCIS also migrated open cases from the legacy ELIS system to the new architecture.
- **February 2016** – USCIS finished migrating over 1,000,000 closed immigrant fee cases from the legacy ELIS system.
- **February 2016** – USCIS started processing all Form I-821D, Consideration of Deferred Action for Childhood Arrivals (DACA) renewal cases. At this time, customers can only file the paper version of the Form I-821D which is scanned and transmitted into ELIS for adjudication online.
- **April 2016** – USCIS started processing N-400, Application for Naturalization Applications, filed on the newest version of the form, in ELIS.
- **April 2016** – USCIS decommissioned the legacy ELIS system.
- **May 2016** – USCIS started processing Form I-821, Application for Temporary Protected Status for Nicaragua. At this time, customers can only file the paper version of the Form I-821 which is scanned and transmitted into ELIS for adjudication online.

³ The USCIS Immigrant Fee is used to process immigrant visa packets issued by the Department of State to new immigrants who are entering the United States and to process Permanent Resident Cards for such immigrants.

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Challenges

The predictable challenges associated with managing a complex Level I multi-billion dollar program that encompasses a large staff of both government and contractor employees include:

- Maintaining ongoing discussions and transparency with Congressional oversight and audit organizations (e.g., GAO and OIG) where past failures are considered predictive of the future.
- Managing expectations of internal users. The transformation effort requires OTC to request from the directorates and program offices internal staff to assist with ELIS development because of their immigration process knowledge and expertise. This often requires OTC to balance the needs and resources of the -directorate or program office with the needs for ELIS development.
- Managing resources and process to provide more assurance of a quality coded product upon delivery and responsiveness when technical problems are found.
- Coordinating the timeframes within which the Department of Treasury Lockbox is able to accept a new form for processing and transmission of data into ELIS with the notice and clearance requirements of the Paperwork Reduction Act which must be completed before any form can be ingested into ELIS.

Milestones

Recent and future milestones related to the Transformation Program include:

- *April 1, 2015* - The USCIS Transformation Program was removed from breach status by the DHS Acquisition Review Board chaired by the DHS Undersecretary of Management.

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Strategic Priority: USCIS Adjudication Backlogs

Background

- The “backlog” is the number of cases that are pending adjudication and are outside of the cycle time goal (that is, outside the number of months USCIS expects an adjudication of that form type to take).
- Current backlog elimination plans rely primarily on increasing staff, rebalancing workloads among staff/work units, and utilizing overtime. Some smaller efficiencies may be gained through process or technology enhancements as well.
- Backlogs have grown over the past year, mainly due to increased filings and a gap in the number of resources necessary to complete the work.

Current Status

- At the end of FY16, the affirmative asylum backlog is approximately 132K cases, up 69.5K or 110% from levels of one year ago.
- Field Operations and Service Center Operations have a combined backlog of approximately 915K cases, up 345K or 61% from the levels of one year ago.

Challenges

- The FY16 affirmative asylum backlog is a 110% increase over the FY15 backlog level of approximately 63,000 cases.
- The affirmative asylum backlog is a product of both the receipt of a growing number of affirmative asylum applications and the diversion of USCIS Asylum Officers to other high priority workloads, such as the credible fear caseload and overseas refugee processing.

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- Form I-140 (Immigrant Petition for Alien Worker) receipts, which are adjudicated within the Service Center Operations Directorate, have increased 45% over last fiscal year and are more than 45% over projection. Form I-129 (Petition for a Nonimmigrant Worker) receipts have increased by 5.3% over last fiscal year and are 6.5% over projections. Form I-90 (Application to Replace Permanent Resident Card) receipts, which are adjudicated within the Service Center Operations Directorate beginning in August 2016, measure at approximately 219,000 cases at end of FY16.

Milestones

Affirmative Asylum Case Backlog

- To address these increasing workloads, USCIS expanded its Asylum Officer Corps from 272 authorized Asylum Officer Positions to 533 officers.
- To accommodate this growth in the workforce, the Asylum Division expanded its operations in FY15 and FY16 to include the Boston and New Orleans Asylum Sub-Offices and the Asylum Pre-Screening Center in Arlington, Virginia.

Service Center Operations

- Service Center Operations has begun transferring workloads among Service Centers. Since the start of FY16, Service Center Operations began weekly Capacity Planning sessions with the five Service Centers to review capacity at each Service Center and, based on findings, redistribute the workload among the Service Centers. This type of planning allows the Directorate to maximize personnel and resources. In early FY16, Service Center Operations transferred cases between all Service Centers, including Potomac Service Center, to balance workloads.
- Another important aspect of the Capacity Planning has been authorizing overtime beginning in the 2nd Quarter of FY16. The overtime is allocated based on a

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specific form type with the largest volume of backlog. With the authorization of overtime, Service Center Operations tracks and monitors the reduction on a quarterly basis that has resulted in reduction in its backlog.

Field Operations

- The Field Operations Directorate is faced with the continued challenge of balancing workloads among competing resources. In FY16, Field Operations has focused on counteracting the impacts of attrition and hiring challenges on the processing of its workload by allowing offices which are facing challenges to use overtime and overhire authorities to address their resource shortfalls. In addition, Field Operations has authorized already trained Immigration Service Officers to be detailed to offices which experienced high backlog impacts. The approval of short-term details between offices is being used as a means to address resource gaps which exist due to lags in onboarding and training of new officers.
- At the end of FY15, the Field Operations Directorate was able to meet its Form N-400 cycle time goal of 5 months. However, the Form N-400 cycle time increased slightly and finished higher than goal at the end of FY16, in part due to the unusually high volume of receipts. Field Operations continues to focus on keeping the Form N-400 cycle time close to goal by balancing resources.
- Field Operations is implementing an 18-month hiring plan, which it anticipates will allow field offices to onboard Immigration Service Officers in a timelier manner. In addition, Field Operations will be working more closely with its regions to develop and implement a backlog reduction strategy in FY17.

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Strategic Priority: Verification (E-Verify and SAVE) Modernization

Background

In 2012, USCIS initiated the Verification Modernization (VER MOD) program to modernize the E-Verify⁴ and Systematic Alien Verification of Entitlements (SAVE)⁵ programs, as well as a suite of supporting applications. The legacy programs are operational but are constrained by tightly-coupled information technology architecture. Workload volumes for both programs are expected to continue to increase and are already beyond the current operational program limits. Modernization is intended to increase the capacity and flexibility of these programs in order to enable DHS to meet its mission to enforce and administer our nation's dynamic immigration laws. The projected life cycle cost of VER MOD is [REDACTED] which includes operations of both E-Verify and SAVE. The acquisition program was cleared by DHS to enter the execution phase in October 2015.⁶

(b)(5)



Current Status

Initial development work for VER MOD has begun. This includes analyzing the current technical framework to fully understand the architecture, and deploying a new version of a discrete segment of the legacy system in a virtual environment (Amazon Web

⁴ E-Verify is an Internet-based system that allows businesses to confirm the eligibility of their employees to work in the United States. <https://www.uscis.gov/e-verify>

⁵ The Systematic Alien Verification for Entitlements (SAVE) Program is a service that helps federal, state and local benefit-issuing agencies, institutions, and licensing agencies determine the immigration status of benefit applicants so only those entitled to benefits receive them. <https://www.uscis.gov/save>

⁶ Russel Deyo, DHS Under Secretary for Management, "Acquisition Decision Memorandum: Acquisition Review Board for the USCIS Verification Modernization Program," dated 6 October 2015.

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Services). The program has deployed the E-Verify portion of the Status Verification System to a test group of users and is currently working to develop and deploy the SAVE portion. Once deployed to the entire user community, the Status Verification System represents Initial Operating Capability for the program. The Status Verification System is critical as it is the system used by status verifiers when having to manually intervene and process E-Verify and SAVE cases that do not return an automated response on initial verification.

Challenges

- VER MOD is part of a DHS pilot for agile execution of a major information technology acquisition program. While this approach represents an excellent opportunity for USCIS, it also presents some risks as the Department adjusts oversight and governance to this new approach.
- The Verification Information System is dependent on non-USCIS data partners for its success in providing immigration status information and employment authorization verification. This means that if data partners experience an outage, such as the Social Security Administration or other non-USCIS DHS data systems, or there are data integrity issues, the Verification Information System operations are impacted.
- As additional major releases are deployed, the complexity of the effort will likely increase, which may slow the velocity of the program and/or increase costs. The program is managing this risk through the agile, incremental approach with a focus on delivering business value.
- The dynamic nature of immigration laws regularly impact E-Verify and SAVE operations by increasing workload volumes or impacting business processes. Should comprehensive immigration reform, or other mandatory E-Verify legislation, be enacted prior to VER MOD reaching Full Operating Capability, then current plans and cost estimates will need to be adjusted.

Milestones

Recent and future milestones related to VER MOD include:

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- April 2015: Deployed my E-Verify nationwide
- September 2015: program achieved an Acquisition Decision Event 2A/B, establishing program-wide baselines for cost, schedule and performance
- November 2015: Wisconsin joined Nebraska, North Dakota, Mississippi, Florida, Idaho, and Iowa as a participant in the Records and Information from DMVs for E-Verify (RIDE) initiative
- February 2016: E-Verify website optimized for mobile devices
- April 2016: Public testing began for the new E-Verify Mobile Application pilot
- September 2016: Completion of VER MOD pilots that will analyze the feasibility of operating the Verification Information System in alternative environments
- December 2016: Achieve Initial Operating Capability with the deployment of an enhanced, service-oriented Status Verification System solution

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Strategic Priority: Executive Action on Immigration

Background

On November 20, 2014, President Obama announced a series of executive actions related to immigration reform.

As they relate to USCIS' mission, these initiatives included expanding the population eligible for the existing Deferred Action for Childhood Arrivals (DACA) process, and extending the period of DACA and work authorization; allowing parents of U.S. citizens and lawful permanent residents to request deferred action and employment authorization through Deferred Action for Parents of Americans and Lawful Permanent Residents (DAPA); expanding the use of provisional waivers of unlawful presence; modernizing, improving and clarifying immigrant and nonimmigrant visa programs to support U.S. high-skilled businesses and workers; promoting citizenship education and public awareness for lawful permanent residents and providing an option for naturalization applicants to use credit cards to pay the application fee. In addition, President Obama directed leaders from 16 federal organizations to create a White House Task Force on New Americans (TFNA) to develop a coordinated federal strategy to better integrate new Americans into communities and support state and local efforts to do the same.

On July 15, 2015, President Obama also issued a Presidential Memorandum on "Modernizing and Streamlining the U.S. Immigrant Visa System for the 21st Century." The President directed the Secretary of State and the Secretary of Homeland Security to develop recommendations, in consultation with stakeholders and experts, to reduce government costs, improve services for applicants, reduce burdens on employers, and combat waste, fraud, and abuse in the system; ensure that policies, practices, and systems use all of the visa numbers that Congress provides for and intends to be used, consistent with demand; and modernize the information technology infrastructure underlying the visa processing system with the goal to reduce redundant systems, improve the experience of applicants, and enable better oversight.

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Current Status

- Due to a federal court order, USCIS suspended implementation of expanded DACA and DAPA. A Supreme Court decision in this matter is expected in June.
- The Employment Authorization for Certain H-4 Dependent Spouses final rule published on May 26, 2015.
- The Expansion of Provisional Unlawful Presence Waivers of Inadmissibility proposed rule was published on July 22, 2015.
- Clarifying guidance for L-1B adjudications was published on August 18, 2015.
- Since September 2015, naturalization applicants can pay fees by check, money order, or credit card.
- Revisions were made to the Visa Bulletin to ensure the maximum number of visas is issued every year and to better align with the procedures used by the Department of State for foreign nationals who seek to become U.S. permanent residents from abroad.
- Draft guidance clarifying the extreme hardship standard that must be met to obtain a waiver when a visa is immediately available was published on October 7, 2015.
- The Retention of EB-1, EB-2, and EB-3 Immigrant Workers and Program Improvements Affecting High-Skilled Nonimmigrant Workers proposed rule was published on December 31, 2015.
- The TFNA submitted a Strategic Action Plan on Immigrant and Refugee Integration to the White House in April 2015 and a one year progress report in December 2015.
- The Improving and Expanding Training Opportunities for F-1 Nonimmigrant Students with STEM Degrees and Cap-Gap Relief for All Eligible F-1 Students final rule was published on March 11, 2016.
- Final guidance on determining whether a job offer is considered to be in a “same or similar” occupational classification for INA 204(j) portability adjudications was published on March 21, 2016.

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Challenges

- Navigating the internal clearance process
- Ensuring that deadlines for form revisions and rule publication are met
- Coordinating with relevant component and external agencies

Milestones

- Finalize the Expansion of Provisional Unlawful Presence Waivers of Inadmissibility rule.
- Finalize policy guidance on extreme hardship determinations in inadmissibility waivers.
- Clarify the standard for national interest waivers to include foreign investors, researchers and entrepreneurs.
- Finalize the Retention of EB-1, EB-2, and EB-3 Immigrant Workers and Program Improvements Affecting High-Skilled Nonimmigrant Workers rule.
- Issue proposed regulation to grant parole to international entrepreneurs.
- Issue guidance on Notices to Appear in line with the Secretary's enforcement priorities.

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Strategic Priority: Supporting Interagency Immigrant Integration Efforts

Background

Since November 2014, following the release of the "Creating Welcoming Communities and Fully Integrating Immigrants and Refugees" Presidential Memorandum, USCIS and the White House Domestic Policy Council have served as co-chairs of the White House Task Force on New Americans ("Task Force"). The Task Force includes 16 federal departments, agencies, and White House offices and was charged with developing a coordinated federal strategy to better integrate immigrants into American communities. In April 2015, the Task Force issued a Strategic Action Plan with goals and recommended actions to build welcoming communities; strengthen existing pathways to naturalization and promote civic engagement; support the skill development, entrepreneurship, and protect new American workers; expand opportunities for linguistic integration and education; and strengthen federal immigrant and refugee integration infrastructure. Under the auspices of the Task Force, the federal government has made great strides in coordinating and enhancing immigrant integration activities, including implementing the more than 40 recommendations included in the Strategic Action Plan. USCIS seeks to continue these interagency coordination and implementation efforts to help immigrants integrate into communities and contribute to society to their fullest potential.

Current Status

In December 2015, the Task Force submitted a one-year status report to the President. The report highlights key accomplishments and progress related to the more than 40 recommendations outlined in the April 2015 Strategic Action Plan. USCIS plays a key role in Task Force initiatives, including:

- The USCIS Citizenship Public Education and Awareness Campaign and the White House "Stand Stronger" Campaign, which both use print, radio, video and digital media to promote awareness of the rights, responsibilities and importance of U.S. citizenship;

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- The **Building Welcoming Communities Campaign**, which encourages communities to develop integration strategies tailored to their needs, with technical assistance support from Task Force members and key national organizations; and
- **Presidential Ambassadors for Citizenship and Naturalization**, which highlights the stories of prominent new Americans and U.S.-born individuals with immigrant roots to promote naturalization, bolster integration initiatives, and increase awareness of the rich contributions of new Americans

Since January 2016, as part of the Building Welcoming Communities Campaign, the White House has held Regional Convenings on New Americans across the country with participants from community- and faith-based organizations, consulates, government, ethnic media, as well as business and the philanthropic sector. As of June 10, 2016, the White House will have hosted ten convenings (Los Angeles, CA; Houston, TX; Miami, FL; Atlanta, GA; San José, CA; Boston, MA; Dearborn, MI; Denver, CO; Santa Fe, NM; and Seattle, WA).

Challenges

With the transition in leadership of the White House Domestic Policy Council (co-chair of the Task Force) and other key Task Force members, and the lack of an ongoing structured mechanism to coordinate interagency efforts to support immigrant integration, USCIS has identified a risk that recent interagency progress made in support of immigrant integration will be impacted. While the Presidential Memorandum establishing the Task Force will remain in effect unless revoked by a future president, priority will need to be placed on continued interagency support for immigrant integration efforts.

Milestones

Recent and future milestones include:

- On November 21, 2014, President Obama released a Presidential Memorandum entitled, "Creating Welcoming Communities and Fully Integrating Immigrants and Refugees," directing leaders from 16 federal organizations to create a White House Task Force on New Americans.

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- In April 2015, the Task Force developed and submitted to the President a Strategic Action Plan with recommendations for agency actions to further the integration of new Americans.
- In December 2015, the Task Force submitted a one-year status report to the President regarding the implementation of the "Creating Welcoming Communities and Fully Integrating Immigrants and Refugees" Presidential Memorandum.
- From January to June 2016, the White House held ten Regional Convenings on New Americans in communities across the United States.
- In June 2016, the Task Force, in partnership with the Departments of Education, Health and Human Services, and Labor will host a National Skills and Credential Institute to help improve outcomes for skilled immigrants. The White House will also host an event to close the Regional Convenings on New Americans that recognizes and highlights the work of the cities and counties that have joined the Building Welcoming Communities Campaign.

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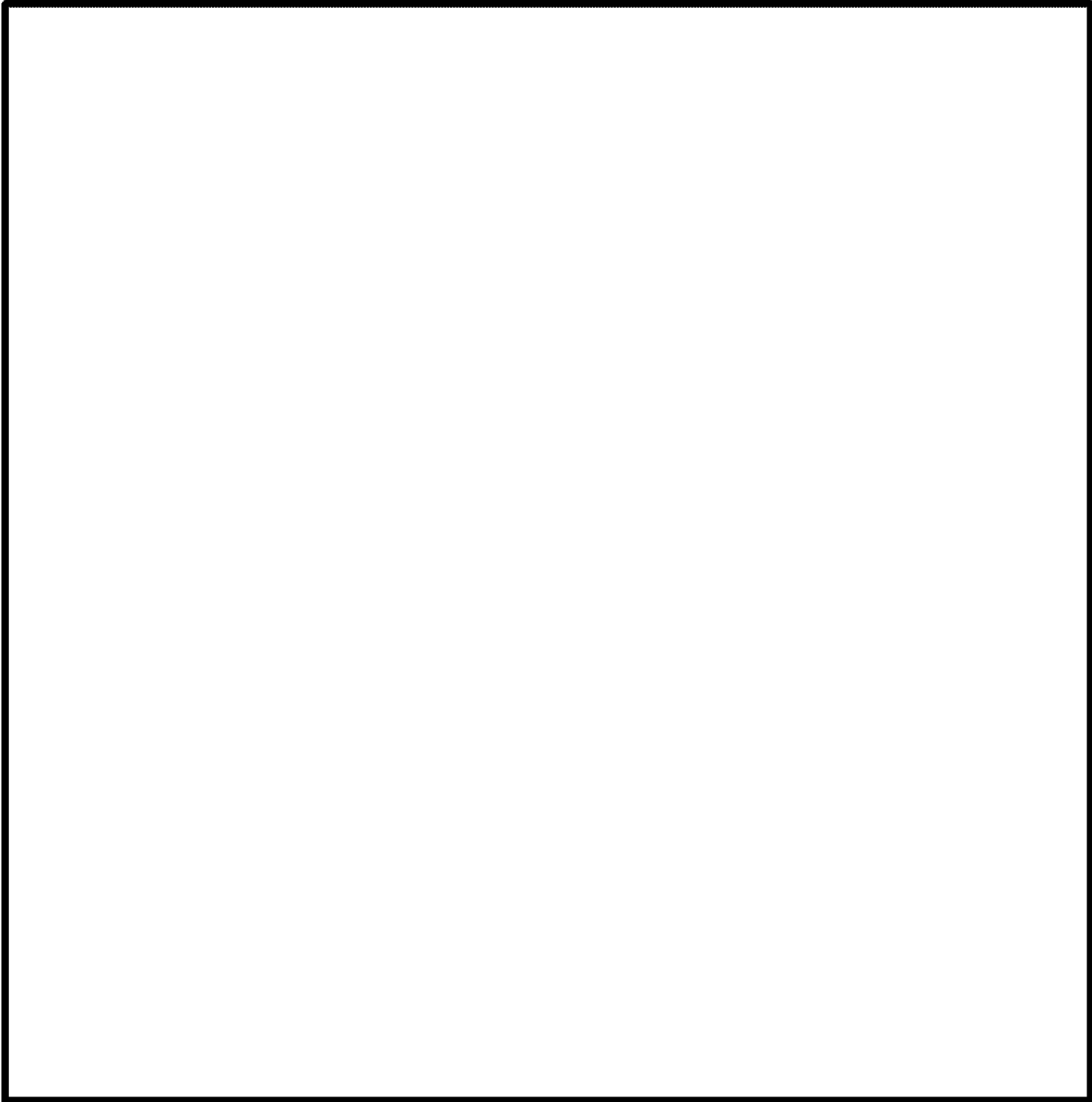
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Legislative Agenda Items

Legislative Agenda: Discretionary Authority in the EB-5 Program

Enacting Language

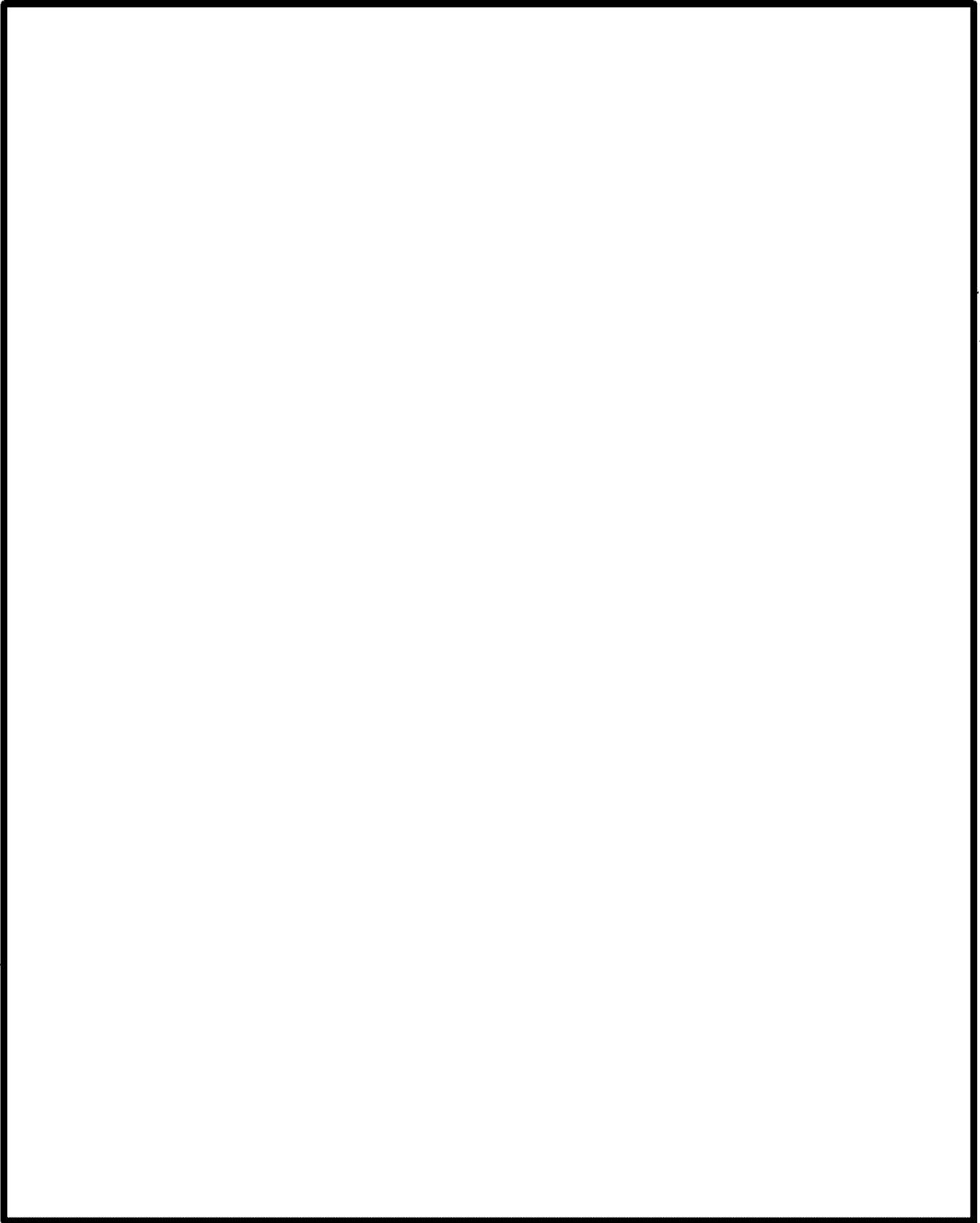
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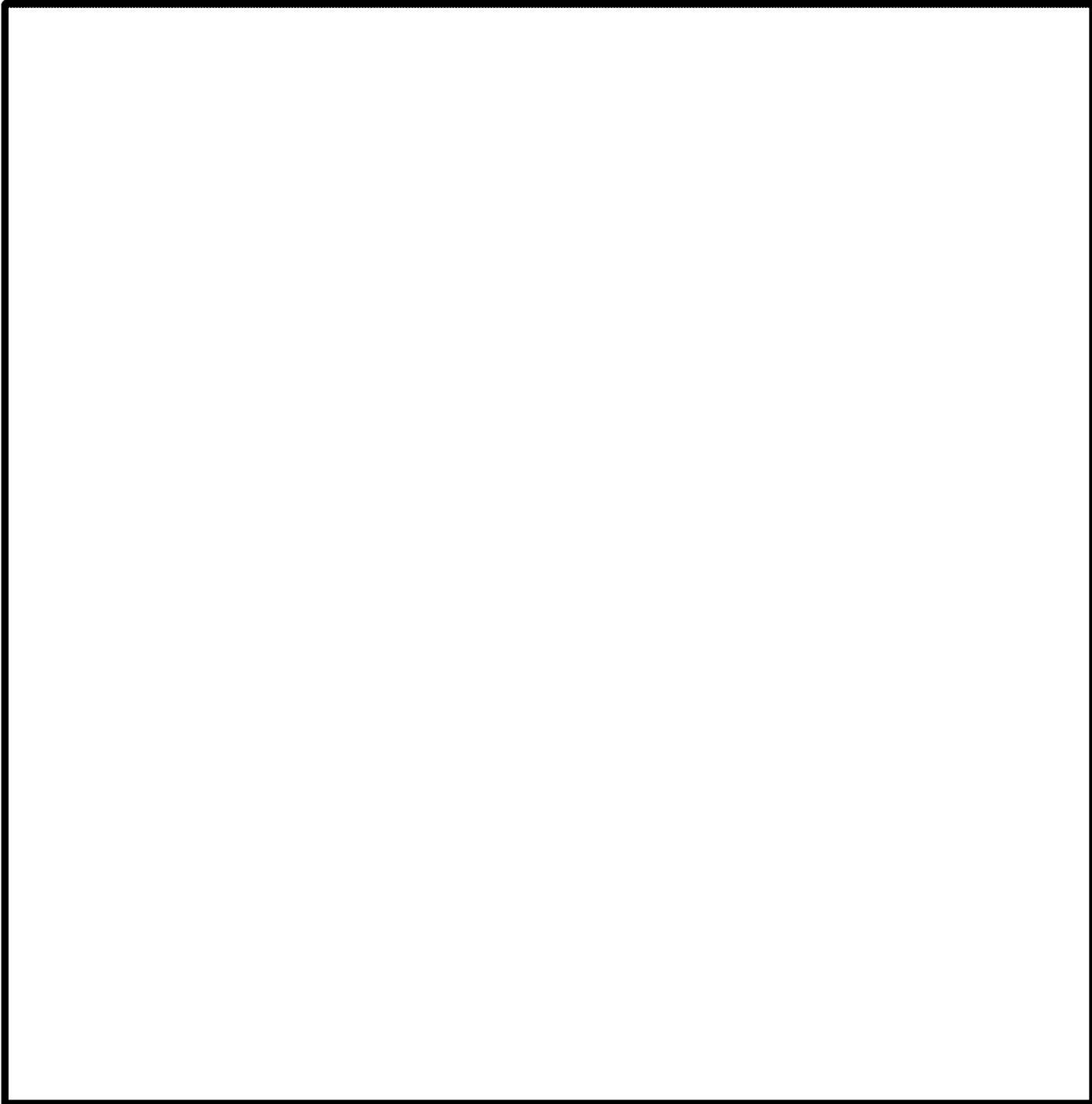


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INA § 216A (8 U.S.C. § 1186b)

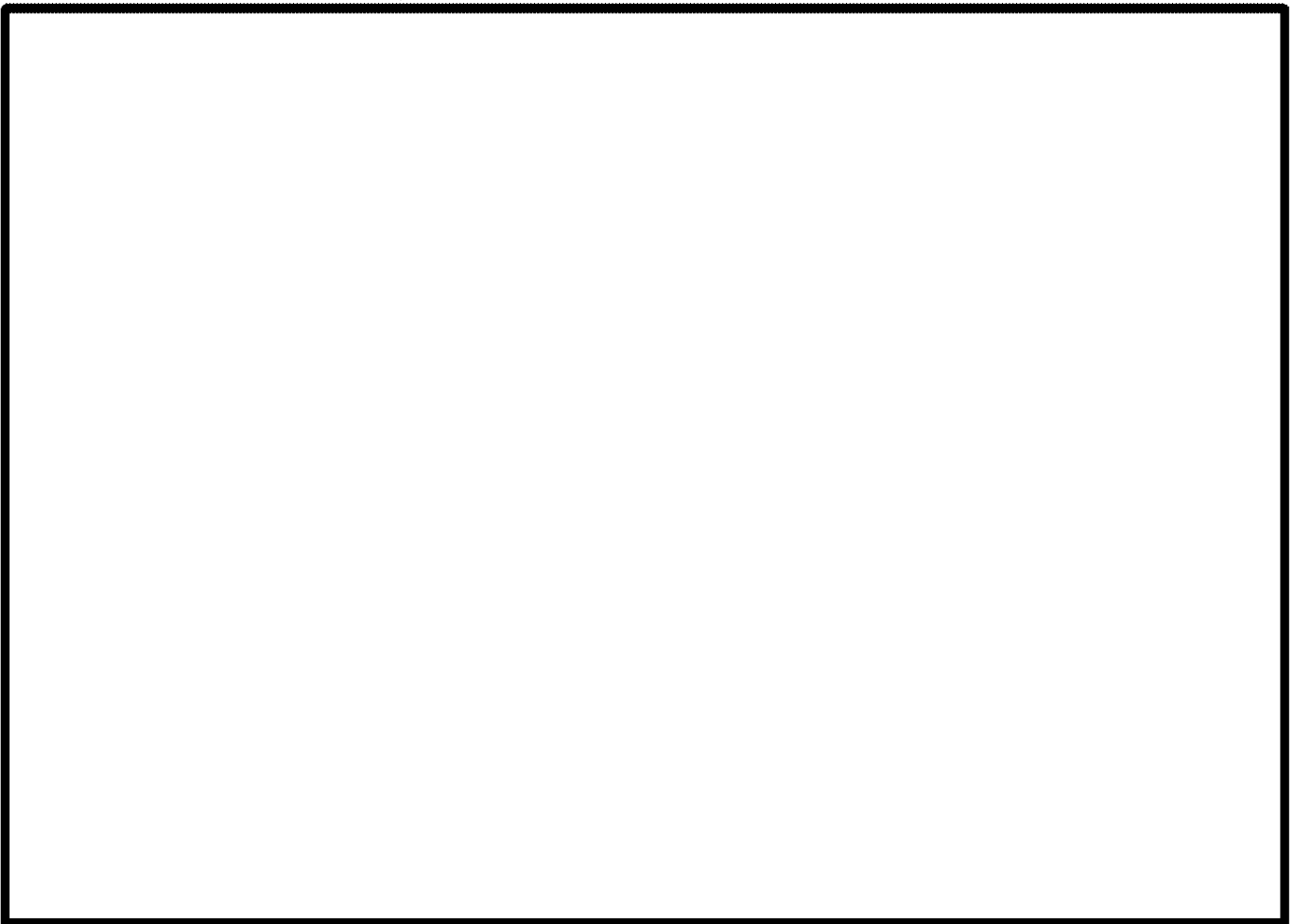


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Narrative Justification



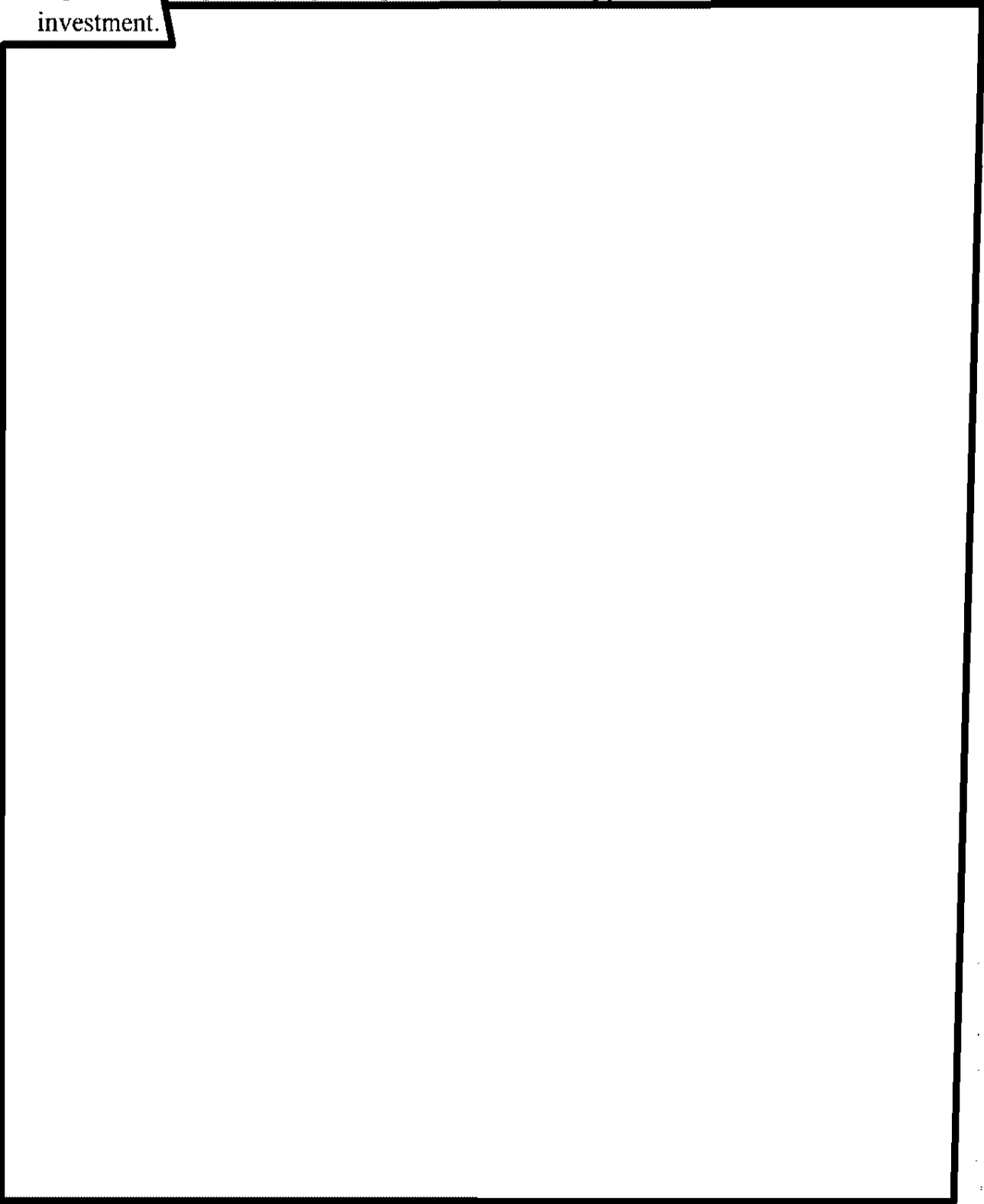
⁷ INA 242(a)(2)(B)(ii)

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The public law enacting the regional center program requires designation upon only a showing that the regional center is promoting economic growth, including increasing export sales, improving regional productivity, creating jobs or increasing domestic capital investment.



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Cost/PAYGO Considerations



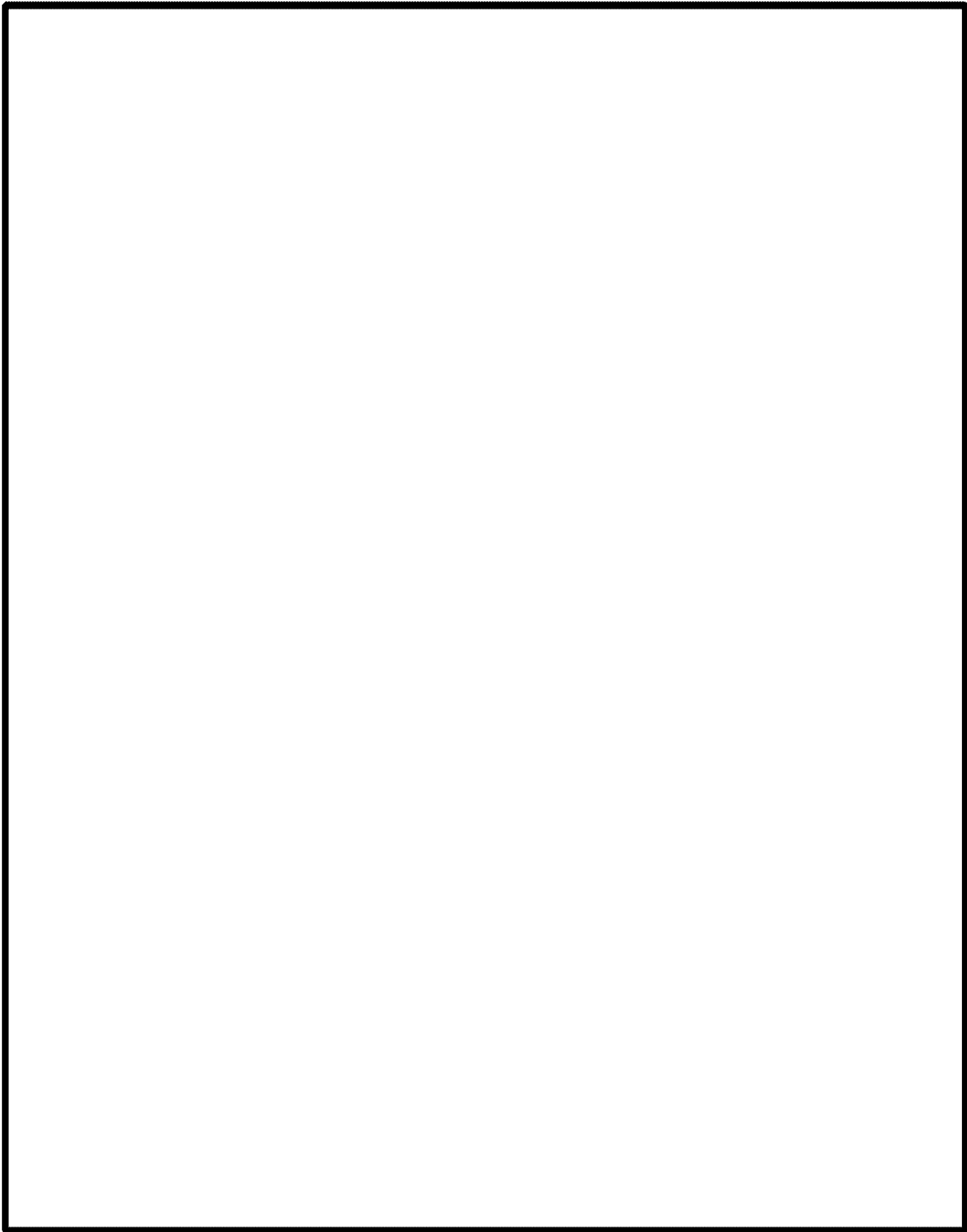
Tribal Consultation Requirement

This proposal has no impact on tribal interests so no consultation was necessary.

Line-in/Line-out Proposed Changes to Existing Law

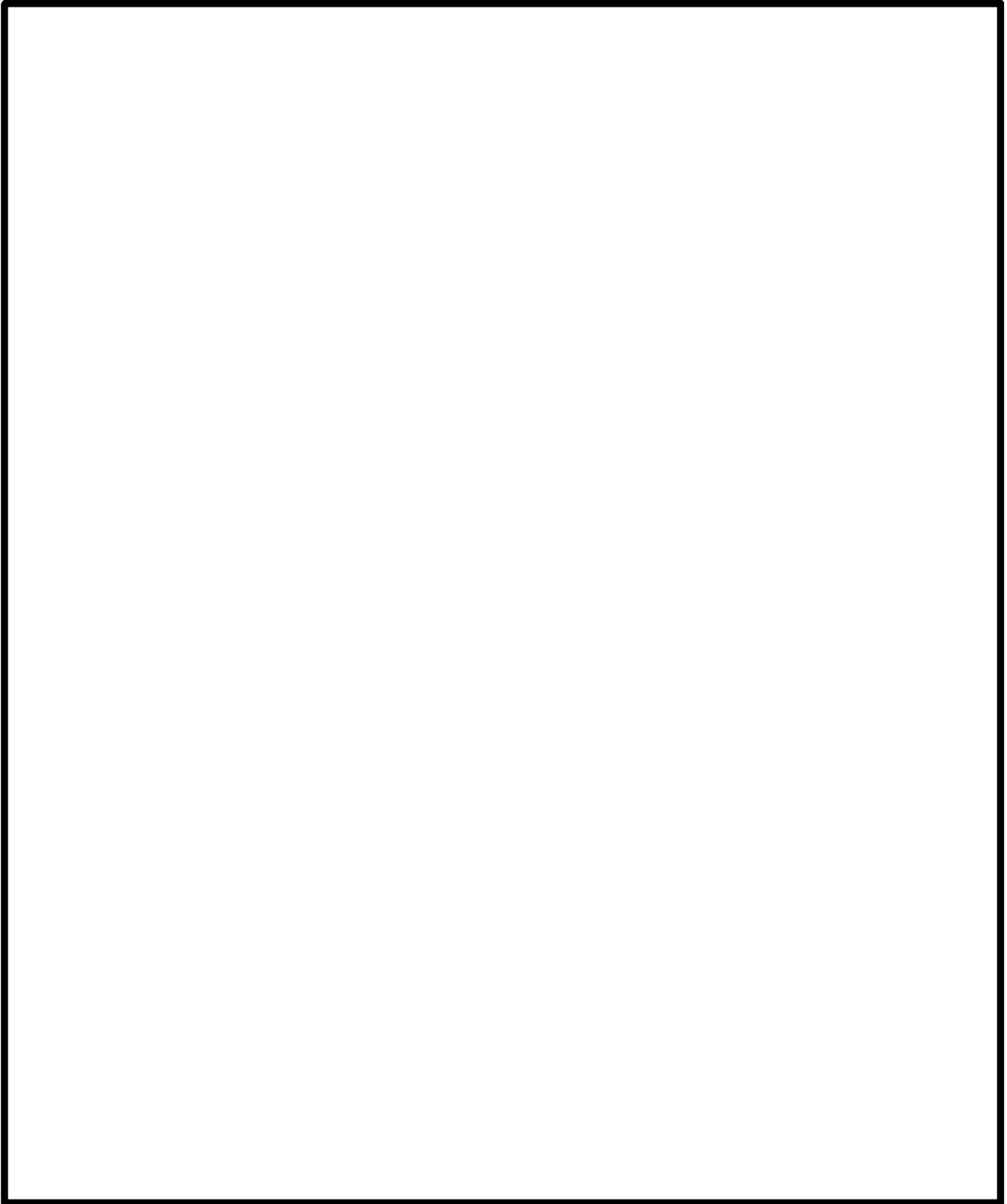
⁸ INA 242(a)(2)(B)(ii). Courts have narrowly constructed this statute to require discretion be written in to the statute. "Congress barred court review of discretionary decisions only when Congress itself set out the Attorney General's discretionary authority in the statute." *Kucana v. Holder*, 130 S.Ct. 827, 834 n.10. The section only includes "acts [for which] the authority ... is specified under the INA to be discretionary" and not just any discretionary decision. *Spencer Enterprises, Inc. v. U.S.*, 345 F.3d 683, 689 (9th Cir. 2003).

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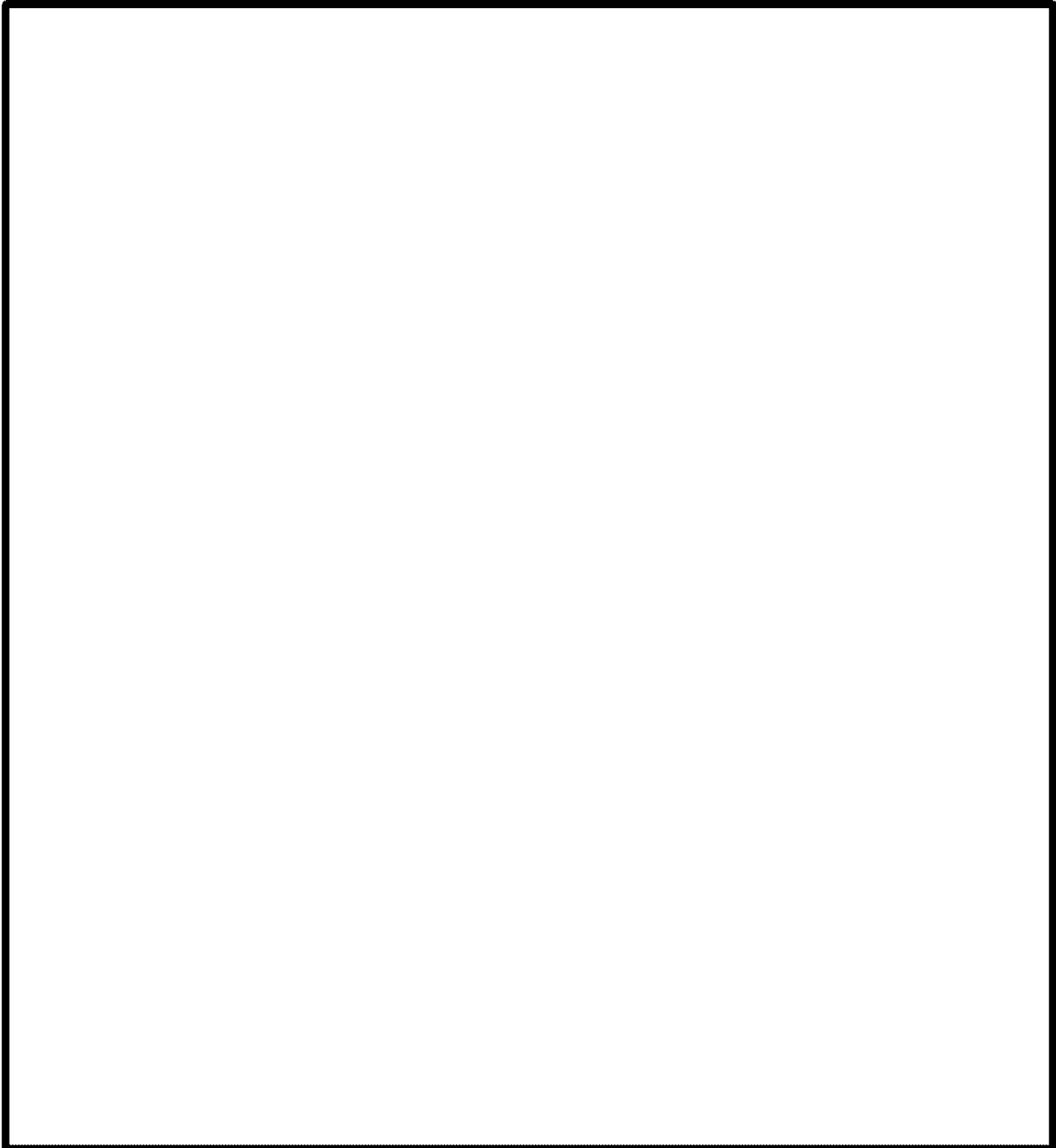
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Legislative Agenda: Improving the Naturalization Process for Elderly Applicants

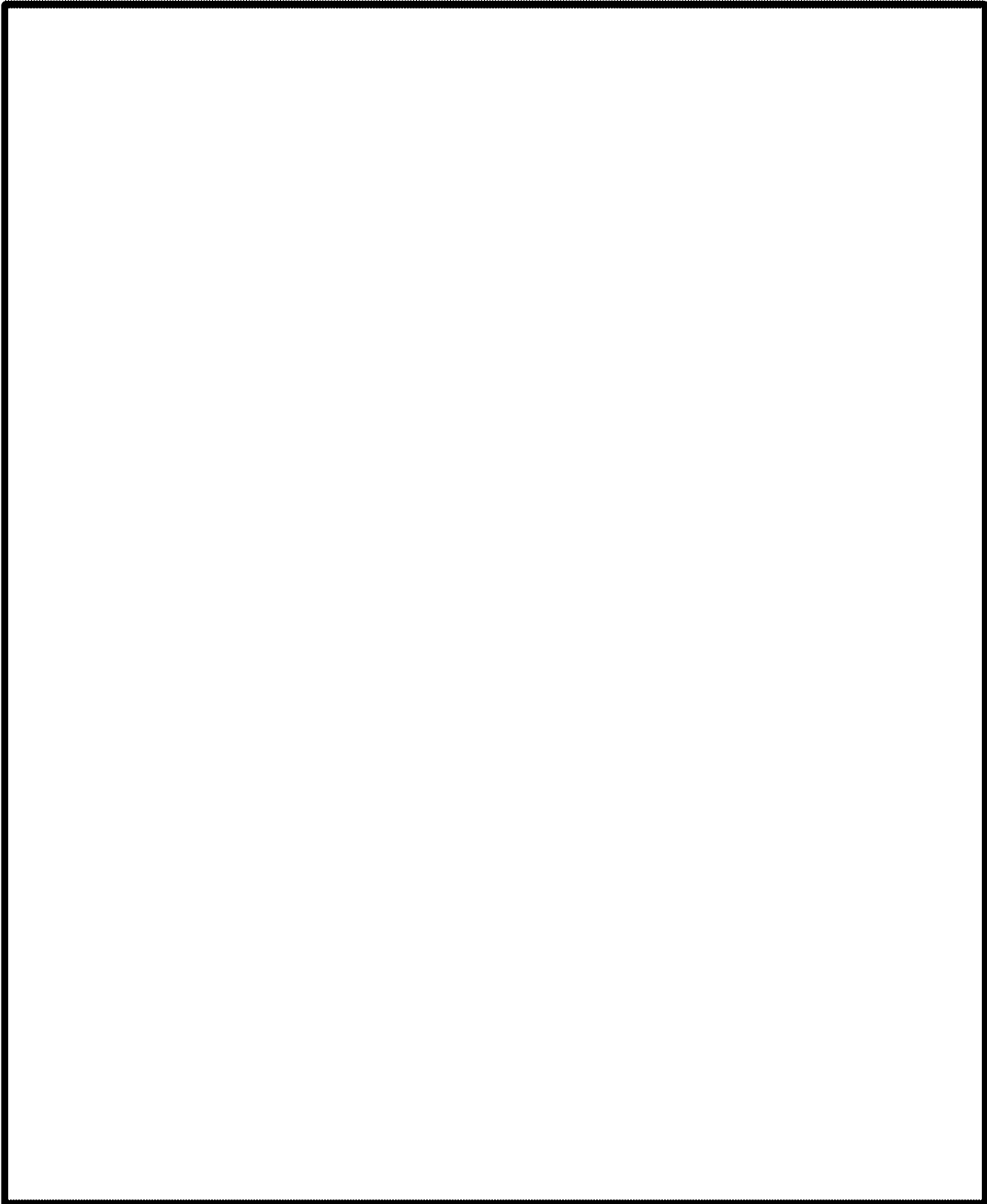
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Narrative Justification



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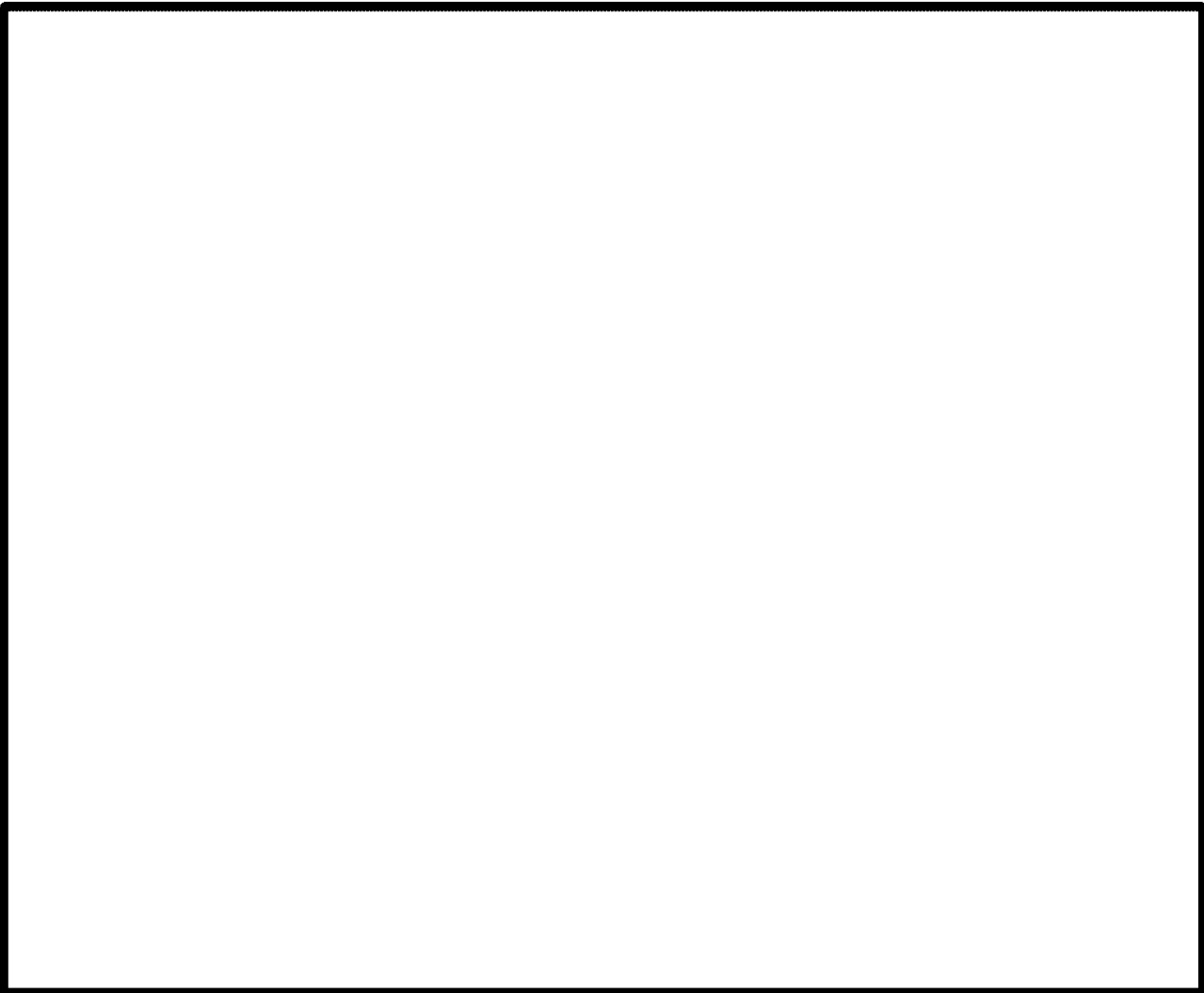
Cost/PAYGO Considerations

This is a budget neutral proposal, and no increased funding will be necessary to implement.

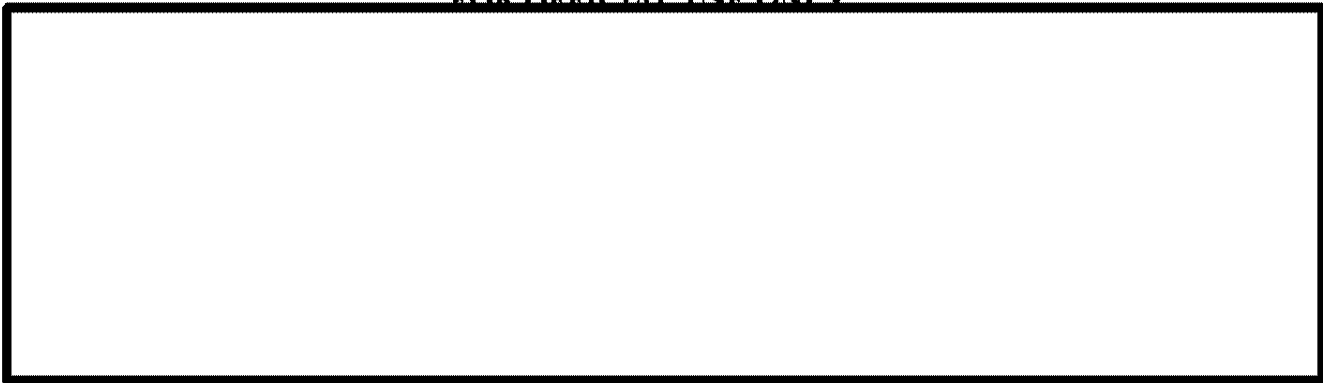
Tribal Consultation Requirement

This proposal has no impact on tribal interests so no consultation was necessary.

Line-in/Line-out Proposed Changes to Existing Law



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Current section 312(b):

[(b)(1) The requirements of subsection (a) of this section shall not apply to any person who is unable because of physical or developmental disability or mental impairment to comply therewith; or.

(2) The requirement of subsection (a)(1) of this section shall not apply to any person who, on the date of the filing of the person's application for naturalization as provided in section 1445 of this title, either--

(A) is over fifty years of age and has been living in the United States for periods totaling at least twenty years subsequent to a lawful admission for permanent residence, or

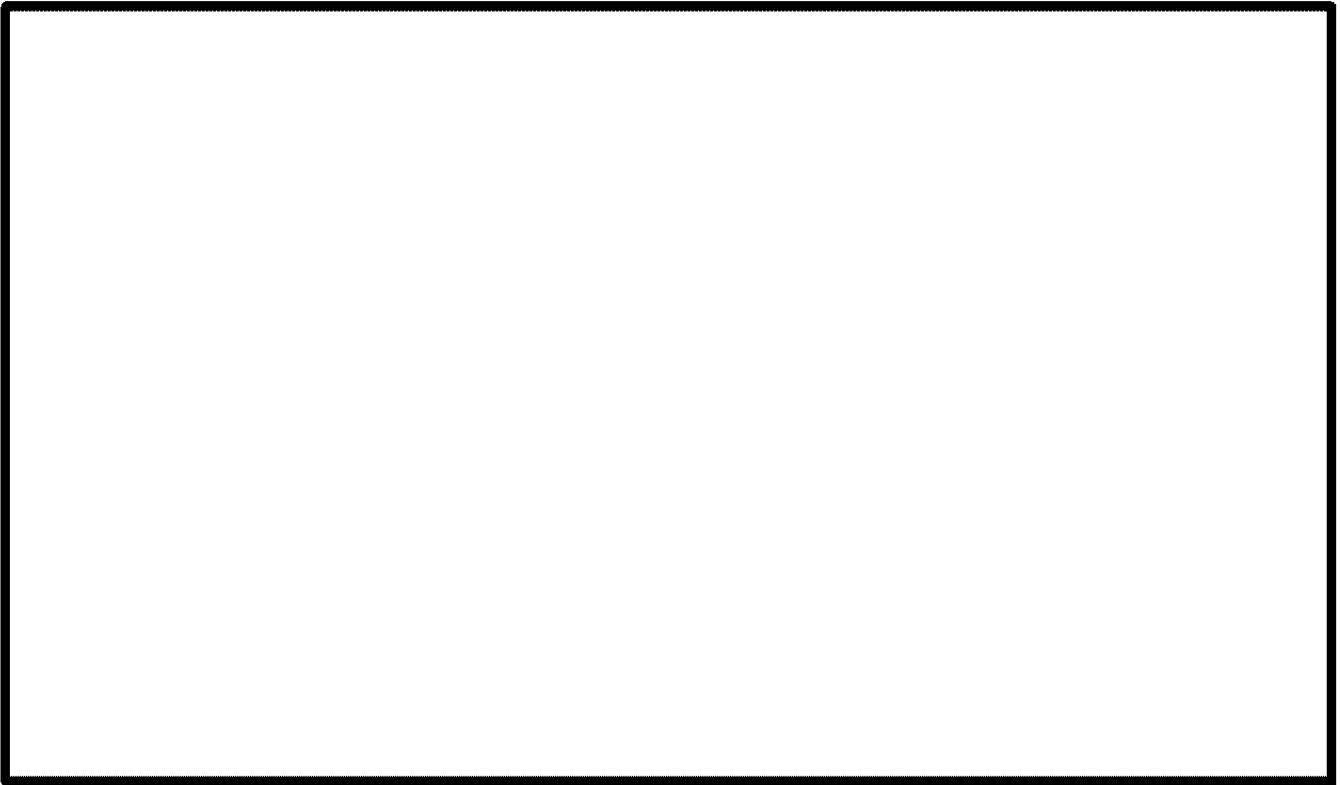
(B) is over fifty-five years of age and has been living in the United States for periods totaling at least fifteen years subsequent to a lawful admission for permanent residence.

(3) The Attorney General, pursuant to regulations, shall provide for special consideration, as determined by the Attorney General, concerning the requirement of subsection (a)(2) of this section with respect to any person who, on the date of the filing of the person's application for naturalization as provided in section 1445 of this title, is over sixty-five years of age and has been living in the United States for periods totaling at least twenty years subsequent to a lawful admission for permanent residence.]

Legislative Agenda: Collection of Fingerprints for Refugee Processing

Enacting Language

(b)(5)



Narrative Justification



Currently, refugee applicants 14 to 79 years old are required to submit their fingerprints, along with photographs and biographic information, to the DHS U.S. Citizenship and Immigration Services (USCIS) before their applications can be processed. See 8 CFR Section 207.2, requiring submission of the FD-258 fingerprinting card. At present, fingerprinting generally occurs at the time of the applicant's USCIS interview abroad.

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Those fingerprints are then checked against electronic databases as part of the background and security progress. The results of these checks are therefore not available to a USCIS officer until after the interview has been completed. USCIS would like to move the fingerprinting process upstream so the background check results are available to the USCIS officer at the time the officer interviews the refugee applicant.

The fingerprinting collection process uses Form FD-258, or secure electronic fingerprint collection processes, and takes place in a variety of locations, including refugee camps or at facilities used by international or nongovernmental organizations working under a cooperative agreement with the Department of State (DOS), or buildings used by international organizations such as the United Nations High Commissioner for Refugees. The 1998 Appropriations Act and resulting regulations note that, "in the case of individuals who reside abroad, a properly completed Form FD-258 Applicant Card, is one prepared by the Service [USCIS], a United States consular office at a United States embassy or consulate or a United States military installation abroad." See *Department of Commerce, Justice, and State, the Judiciary, and Related Agencies Appropriations Act, 1998*, Title I, Pub. L. No. 105-119, 111 Stat. 2440, 2447-48 (Nov. 26, 1997) (1998 DOJ Appropriations Act); 8 CFR Section 103.2(e)(3). Because the prescreening is generally done at facilities used by Overseas Processing Entities under cooperative agreement with the DOS's Bureau of Population, Refugees, and Migration, rather than at a consular office or DHS facility, the 1998 DOJ Appropriations Act does not appear to permit the collection of fingerprints at these locations, thus limiting the U.S. Refugee Admissions Program's (USRAP) ability to take fingerprints at the pre-screening stage.

(b)(5)



process and mitigating the need for re-interviews by DHS as currently occurs when

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Cost/PAYGO Considerations

This is a budget neutral proposal, and no increased funding will be necessary to implement.

Tribal Consultation Requirement

This proposal has no impact on tribal interests so no consultation was necessary.

Line-in/Line-out Proposed Changes to Existing Law

None, as this would be a new freestanding provision of law.

As background, the provision of law it would supplement (but not directly amend) is the following clause within a lengthy INS appropriations bill paragraph in Pub. L. 105-119:



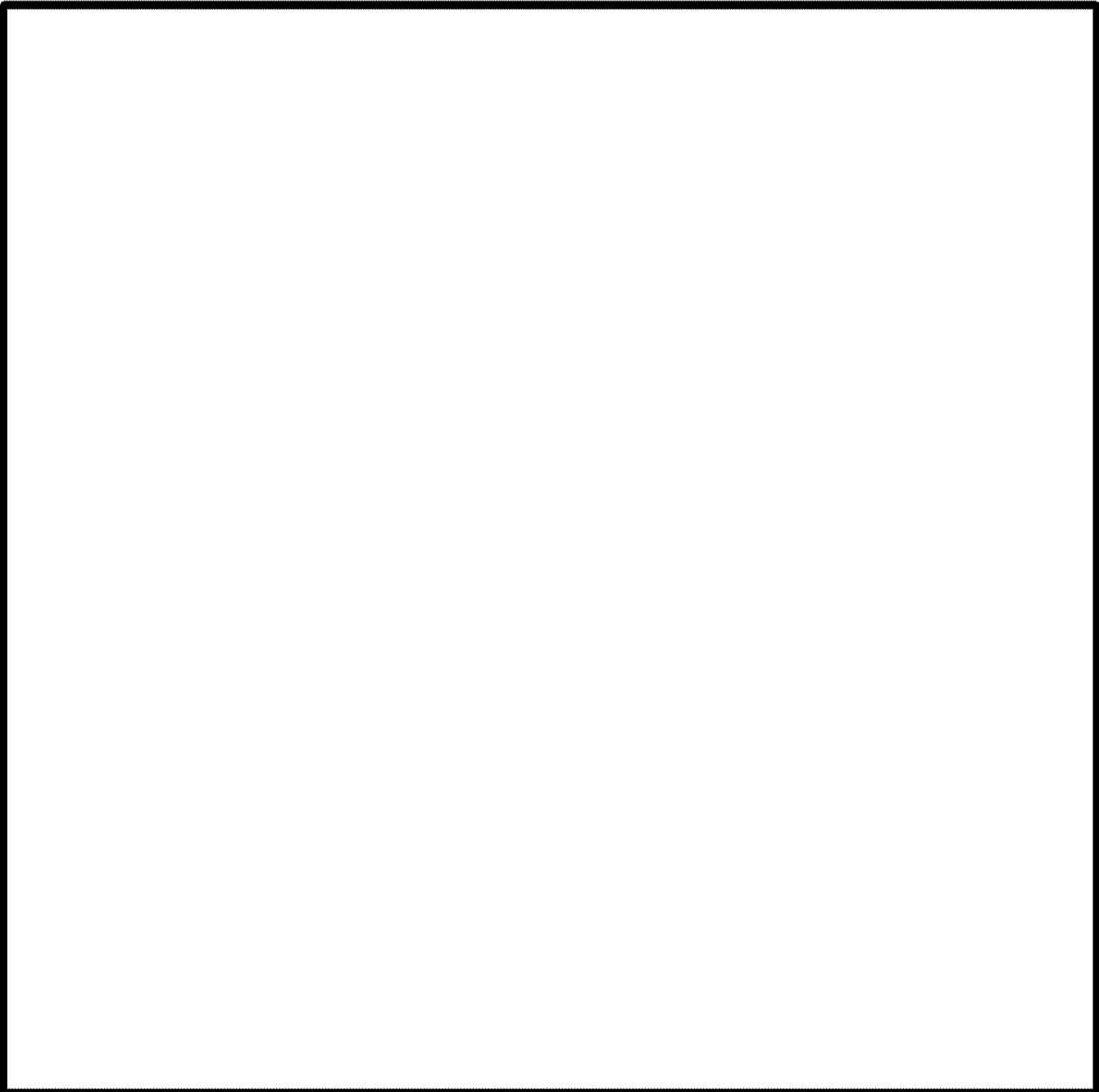
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**Legislative Agenda: Gift Solicitation and Acceptance Authority to Support
Citizenship and Immigrant Integration Activities**

Enacting Language

(b)(5)

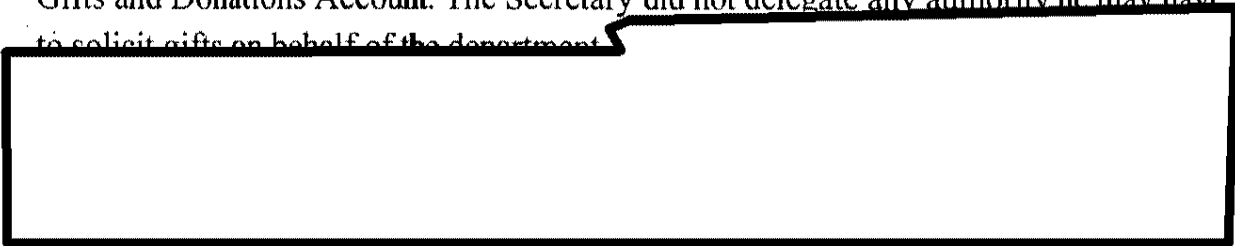


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Narrative Justification

Pursuant to Public Law 108-90, the Secretary of Homeland Security is authorized to solicit and accept gifts, which must be placed in the Department of Homeland Security, Gifts and Donations Account. The Secretary did not delegate any authority he may have to solicit gifts on behalf of the department.



Cost/PAYGO Considerations

This proposal requires no appropriated funding from Congress.

Tribal Consultation Requirement

This proposal has no impact on tribal interests so no consultation was necessary.

Line-in/Line-out Proposed Changes to Existing Law

[rewrite of statute with requested changes—changed/added language should be in bold]

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Legislative Agenda: Access to Criminal History Information

(b)(5)

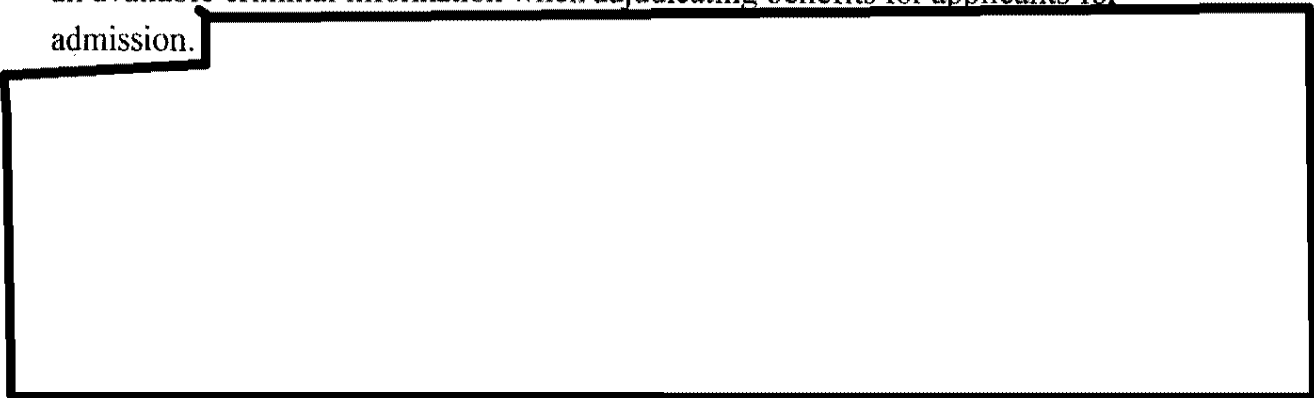
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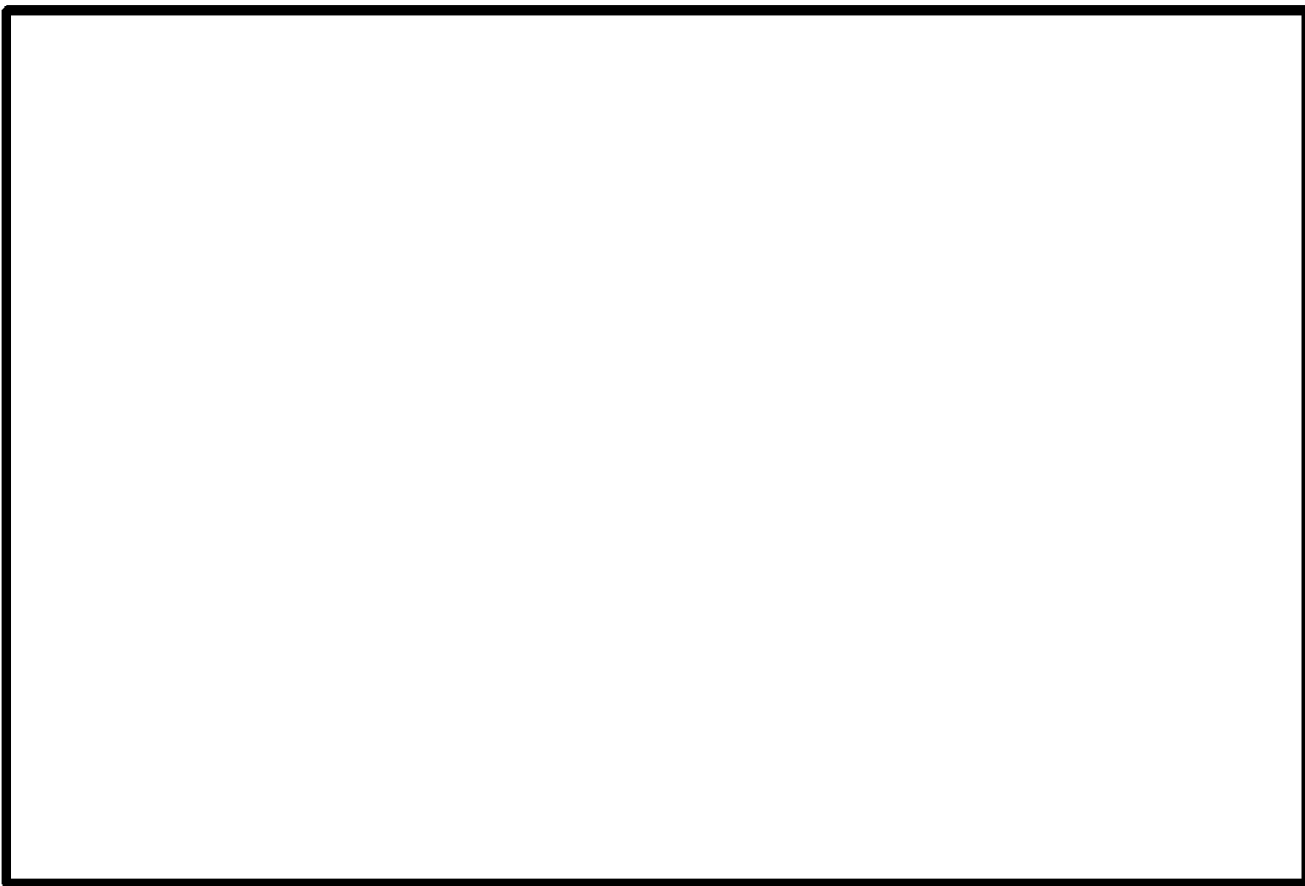
Narrative Justification

U.S. Citizenship and Immigration Services (USCIS) is charged with the critical mission of protecting the national security and public safety through ensuring that applicants for a wide variety of immigration and citizenship benefits under the Immigration and Nationality Act (INA) are eligible for the benefit sought, including determining whether criminal grounds of ineligibility apply. However, USCIS officers do not have access to all available criminal information when adjudicating benefits for applicants for admission.

(b)(5)



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Cost/PAYGO Considerations

This is a budget neutral proposal, and no increased funding will be necessary to implement. The cost of name check access to the III System is expected to be minimal. USCIS will continue to pay the costs of fingerprint checks to the FBI as provided by Article V(d)(1) of the National Crime Prevention and Privacy Compact (42 U.S.C. 14616).

Tribal Consultation Requirement

This proposal has no impact on tribal interests so no consultation was necessary.

Line-in/Line-out Proposed Changes to Existing Law

¹⁰ USCIS' Fraud Detection and National Security (FDNS) office has extremely limited authority to conduct name checks in NCIC III in certain circumstances involving an active or potential criminal investigation, but the results cannot be shared with USCIS adjudicators.

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This is a freestanding proposal that does not amend existing statutory text, in order to provide maximum legislative flexibility. With minor technical adjustments it could be made into an amendment either to the INA or to the provisions of law in title 42 relating to the National Crime Prevention and Privacy Compact.

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Legislative Agenda: Avoiding Statelessness through
Renunciation of U.S. Citizenship in the United States

Explanation

Section 349(a)(6) of the Immigration and Nationality Act (INA) (8 U.S.C. § 1481(a)(6)) provides that a citizen of the United States may renounce his citizenship by “making in the United States a formal written renunciation of nationality in such form as may be prescribed by . . . the Attorney General, whenever the United States shall be in a state of war and the Attorney General shall approve such renunciation as not contrary to the interests of national defense.” The Secretary of Homeland Security now exercises the authority formerly held by the Attorney General under this provision.

This provision of law has an unfortunate history. It was first added to the immigration laws in 1944 as “a means of accomplishing the detention of [Japanese-Americans] without violating the Constitution” (*i.e.*, that these citizens could then be treated as “enemy aliens”). Abo v. Clark, 77 F. Supp. 806, 810 (N.D. Cal. 1948) (quoting affidavit of John L. Burling, assistant to the Director of the Alien Enemy Control Unit of the War Division of the Department of Justice), aff’d in part and rev’d in part sub. nom. McGrath v. Abo, 186 F.2d 766 (9th Cir. 1951). As reflected in the allegations and findings made in Abo and similar litigation relating to coerced renunciations in wartime internment camps, *see, e.g.*, Acheson v. Murakami, 176 F.2d 963 (9th Cir. 1949), the implementation of this provision was as unfortunate as the reason for its enactment.

Although the 1944 provision was terminated by the end of World War II, the renunciation provision survived, without apparent debate or discussion, in the 1952 INA. Although on rare occasions since then purported renunciation claims under section 349(a)(6) have arisen, the former Immigration and Naturalization Service and DHS have successfully maintained the position that the provision is limited to declared wars only, so it has effectively been moribund in the law as the United States has not declared war since World War II.

In 2005 a litigious inmate, James Kaufman, sued to compel the federal government to grant his request to renounce his U.S. citizenship and has achieved success in the litigation to date.¹¹ In February 2010, a United States district court held that the United

¹¹ At the time he filed suit, Kaufman was incarcerated in a Wisconsin state prison on a child pornography conviction. As of 2008, he was briefly released on parole, *see Kaufman v. Mukasey*, 524 F.3d 1334, 1337 (D.C. Cir. 2008), but was soon returned to prison for a parole violation, where he remains incarcerated.

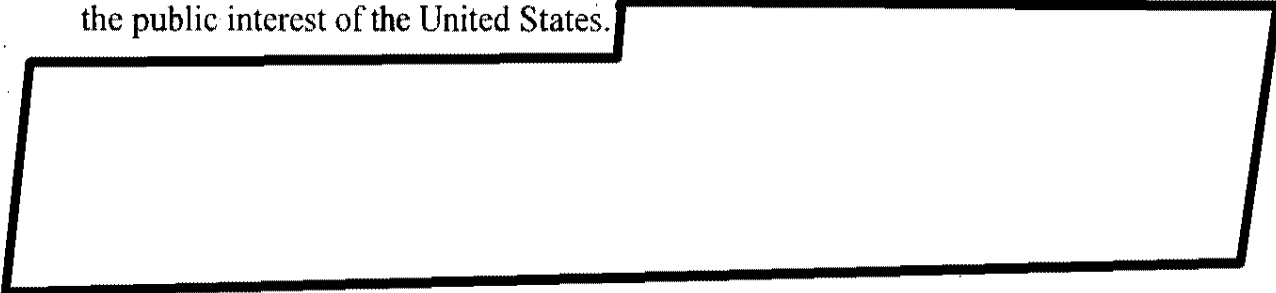
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States was in a "state of war" in both 2004 and 2008, when Kaufman asked to renounce his citizenship, and that USCIS must adjudicate his request under the "national defense" standard of this provision. Kaufman v. Holder, 686 F. Supp. 2d 40 (D.D.C. 2010). Since Kaufman's court victory, other inmates have begun making similar requests.

Kaufman is a United States citizen by his birth in the United States. Allowing him, or any other person without dual nationality, to renounce citizenship while physically present in the United States will cause many problems. By granting his request and others like his, DHS would be creating a sub-class of stateless individuals in the United States. As the Supreme Court has said in the context of denaturalization, statelessness is "a condition deplored in the international community of democracies." Trop v. Dulles, 356 U.S. 86, 101 (1958). If a person renounces his U.S. citizenship, he cannot get a U.S. passport and, unless another country is willing to provide one (even though most of the people seeking to renounce under INA § 349(a)(6) are criminals, given the fact that those who are in a position to depart the United States can renounce their citizenship abroad under other provisions of section 349), he will become an illegal alien subject to removal. He will be subject to ICE detention after release from prison. He will likely be subject to removal proceedings, but it will be unlikely that another country would accept him. He will then have to request employment authorization on an annual basis from USCIS. It is unclear whether he would be eligible for an employment authorization document, or any U.S. identity documents or state or federal benefits.

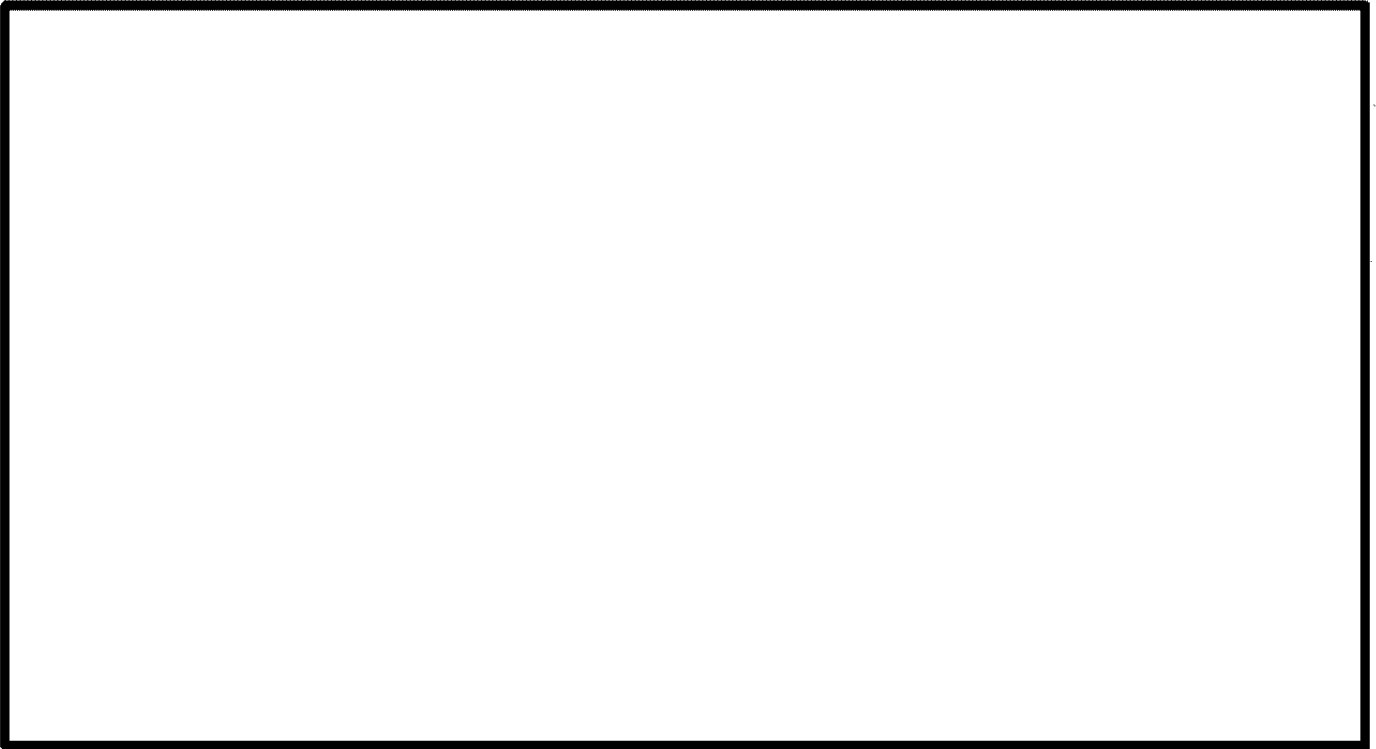
Neither national security nor any other legitimate public purpose is served by permitting U.S. citizens within the United States (whether or not they may have a basis for dual nationality) to renounce their duty of loyalty to their country in time of war. Nor should hostilities ongoing in Afghanistan or elsewhere serve as a coincidental and unrelated basis to allow prison inmates or others to renounce their citizenship. Section 349(a)(6) is an unfortunate vestige of a sad historical episode. It need not continue as the source of claims for renunciation by individuals whose resulting statelessness would run counter to the public interest of the United States.

(b)(5)



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Legislative Language



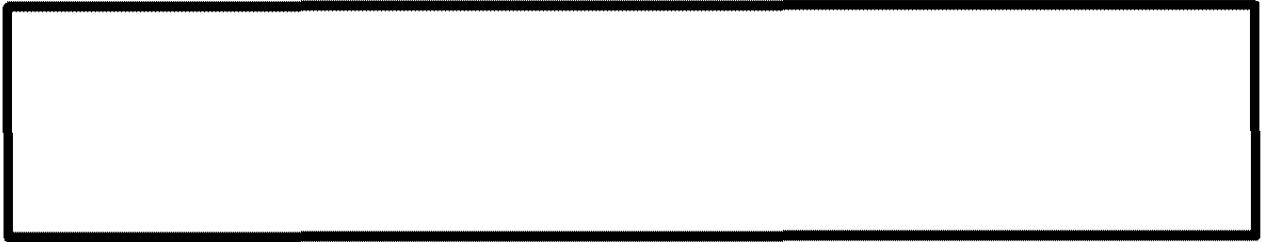
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(b)(5)

Legislative Agenda: Eligibility of Asylees to Adjust

Enacting Language



Narrative Justification

Pursuant to INA 209(b), asylees may adjust to LPR status under certain conditions. One of these conditions is that, at the time of adjustment, the asylee still must meet the definition of a refugee or be a spouse or child of such a refugee. The problem is, there are individuals who want to apply for LPR status under this section of law who can no longer be considered spouses or children of refugees because the relationship to the principal no longer exists -- for example, the child gets married and thus no longer meets the definition of "child."

The USCIS Asylum Division instituted many years ago a pro forma process whereby it grants asylum status "nunc pro tunc" to these derivatives (backdated to when they obtained derivative status) in order to make them principal asylees in their own right (and therefore refugees), so that they can adjust. If a nunc pro tunc process were not in place, these individuals would be derivative asylees indefinitely.

However, this nunc pro tunc process is not codified in regulations and is inherently problematic. For example, USCIS has been sued because of its policy of not allowing individuals granted nunc pro tunc to file I-730s (petition filed by asylees and refugees on behalf of their spouses and children).

In addition, in recent years the USCIS Asylum Division has experienced a surge of cases in all program areas: affirmative asylum applications (including asylum applications from unaccompanied alien children (UACs)), credible fear referrals, and reasonable fear referrals. This surge has resulted in a growing pending caseload of affirmative asylum cases as the Asylum Division has focused resources on the detained populations in the

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credible and reasonable fear programs as well as on asylum applications filed by UACs. Some nunc pro tunc cases may wait an extended period for adjudication, and those that are adjudicated take interview slots away from applicants with full asylum claims.

(b)(5)



Cost/PAYGO Considerations

This is at worst a budget neutral proposal, and no increased funding will be necessary to implement; at best, there will be some cost savings to the agency as it will no longer be necessary to adjudicate I-589 asylum applications filed by derivatives seeking a nunc pro tunc grant.

Tribal Consultation Requirement

This proposal has no impact on tribal interests so no consultation was necessary.

(b)(5) **Line-in/Line-out Proposed Changes to Existing Law**



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Legislative Agenda: Carryover of Diversity Visa Numbers

(b)(5)

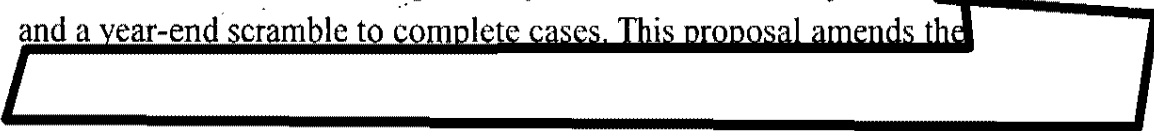
Enacting Language



Narrative Justification

Under the Diversity Visa (DV) program, lottery winners' adjustment applications must be approved during the year in which they win the lottery. Occasionally, DHS processing and security check delays result in lottery winners losing the opportunity to immigrate because their case is not completed by the end of the fiscal year. This has led to litigation and a year-end scramble to complete cases. This proposal amends the

(b)(5)



Cost/PAYGO Considerations

This is a budget neutral proposal, and no increased funding will be necessary to implement.

Tribal Consultation Requirement

This proposal has no impact on tribal interests so no consultation was necessary.

Line-in/Line-out Proposed Changes to Existing Law

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**Legislative Agenda: Exemption of Spouses and Children from
Employment-Based Immigrant Visa Cap**

Background

As amended by the Immigration Act of 1990, the Immigration and Nationality Act (INA) imposes a total numerical limit on a world-wide basis of 140,000 immigrant visas annually for all employment-based (EB) immigration for foreign nationals to obtain U.S. lawful permanent resident (“green card”) status. (This is also referred to as the immigrant quotas or caps.) Of the five EB immigrant categories, the EB-1 Priority Workers (persons with extraordinary ability in the sciences, arts, education, business, or athletics; outstanding professors or researchers; and multinational executives and managers), EB-2 Advanced Degreed Professionals and Persons with Exceptional Ability (in the arts, sciences or business), and Skilled Workers-Professionals-Other Workers (EB-3) categories are each allotted 28.6% of the world-wide cap; the EB-4 Special Immigrants and EB-5 Employment Creation-Immigrant Investor categories are each allotted 7.1%.

Under current law and policy, both principal EB immigrants (the actual workers) and their accompanying spouses and children are counted against the EB immigrant visa caps. In other words, these spouses and children use EB visas that otherwise could go to an immigrant worker.

According to the DHS 2005-2014 *Yearbooks of Immigration Statistics*, on average, only 45% of total EB immigrant visa allocations for this 10-year period went to principal immigrant workers whereas 55% went to their family members, including 25% to children not even of working age. This means that less than half of the EB immigrant visas provided by Congress are actually allocated to the immigrant workers themselves.

Employment-Based Visa Allocation, FY2005-2014							
<u>Visa Category</u>	<u>Principals</u>	<u>Dependents</u>	<u>Totals</u>	<u>% Principal</u>	<u>% Dependent</u>	<u>Children</u>	<u>% Children</u>
EB1	161,546	229,598		41%	59%	109,663	28%

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			391,144				
EB2	248,930	258,901	507,831	49%	51%	80,556	16%
EB3	269,322	325,590	594,912	45%	55%	166,608	28%
EB4*	32,211	39,218	71,429	45%	55%	21,948	31%
EB5	13,688	24,765	38,453	36%	64%	15,492	40%
<u>All EB Categories</u>							
*	725,697	878,072	1,603,769	45%	55%	394,267	25%
*Excludes SIJs							
Source: DHS Office of Immigration Statistics, 2005- 2014 Yearbooks of Immigration Statistics							

Enacting Language

(b)(5)



Narrative Justification

The annual number of available employment-based immigrant visas has remained unchanged since the passage of the Immigration Act of 1990. In the intervening 25+ years, the country's economy has expanded dramatically and demand by U.S. employers for EB immigrant workers has increased significantly.

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For the last several years, the number of intending employment-based immigrants has exceeded the numerically limited supply of EB immigrant visas. This has resulted in most of the EB categories becoming backlogged – creating waiting times of up to several years before these intending immigrants can finally become U.S. lawful permanent residents (LPRs). In some cases, delays can last more than a decade. The June 2016 Visa Bulletin published by the U.S. Department of State shows that, except for the EB-1 category, all four other EB categories are backlogged -- either for some or all countries.

In order for the United States to remain competitive in the international marketplace, many economists believe it is essential that the United States be positioned to attract the most highly skilled international workers available. However, long backlogs in the availability of EB immigrant visas create uncertainties and hardships for both intending EB immigrants and their U.S. employers. Various reports indicate that many workers who represent the best and the brightest from around the world have grown so frustrated with delays in the U.S. immigration process that they opt to immigrate to other highly developed countries such as Canada and Australia.

As noted earlier, a principal EB immigrant worker's spouse and children are allowed to obtain LPR status along with the principal immigrant but, in so doing, reduce the number of immigrant visas available for other immigrant workers. Based on actual EB visas numbers used over the past 10 years, each principal EB immigrant brings approximately 1.3 dependents; this means that the average annual number of EB workers becoming LPRs amounts to less than 63,000, considerably less than the total quota limit of 140,000 workers.

(b)(5)



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Legislative Agenda: Permanently Transfer H-2B Enforcement Authority to the Department of Labor

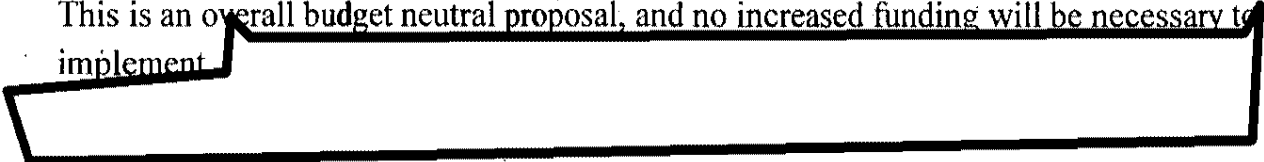


Narrative Justification

Under section 214(c)(14) of the INA, the Secretary of Homeland Security has authority to fine or debar an H-2B petitioner that the Secretary has found, after a hearing, to have substantially failed to meet the conditions of the H-2B petition (e.g., payment of the prevailing wage). In 2009 DHS delegated this authority to the Department of Labor (DOL), as DOL possesses the appropriate expertise to determine if there has been substantial failure of petition conditions, including adequacy of attempts to recruit U.S. workers and payment of prevailing wages, as well as resources for conducting the required hearings. These responsibilities – except debarment from filing petitions – should be permanently transferred to DOL. Such a transfer would also enable DOL to include funding for H-2B enforcement in its general appropriations requests.

Cost/PAYGO Considerations

This is an overall budget neutral proposal, and no increased funding will be necessary to implement



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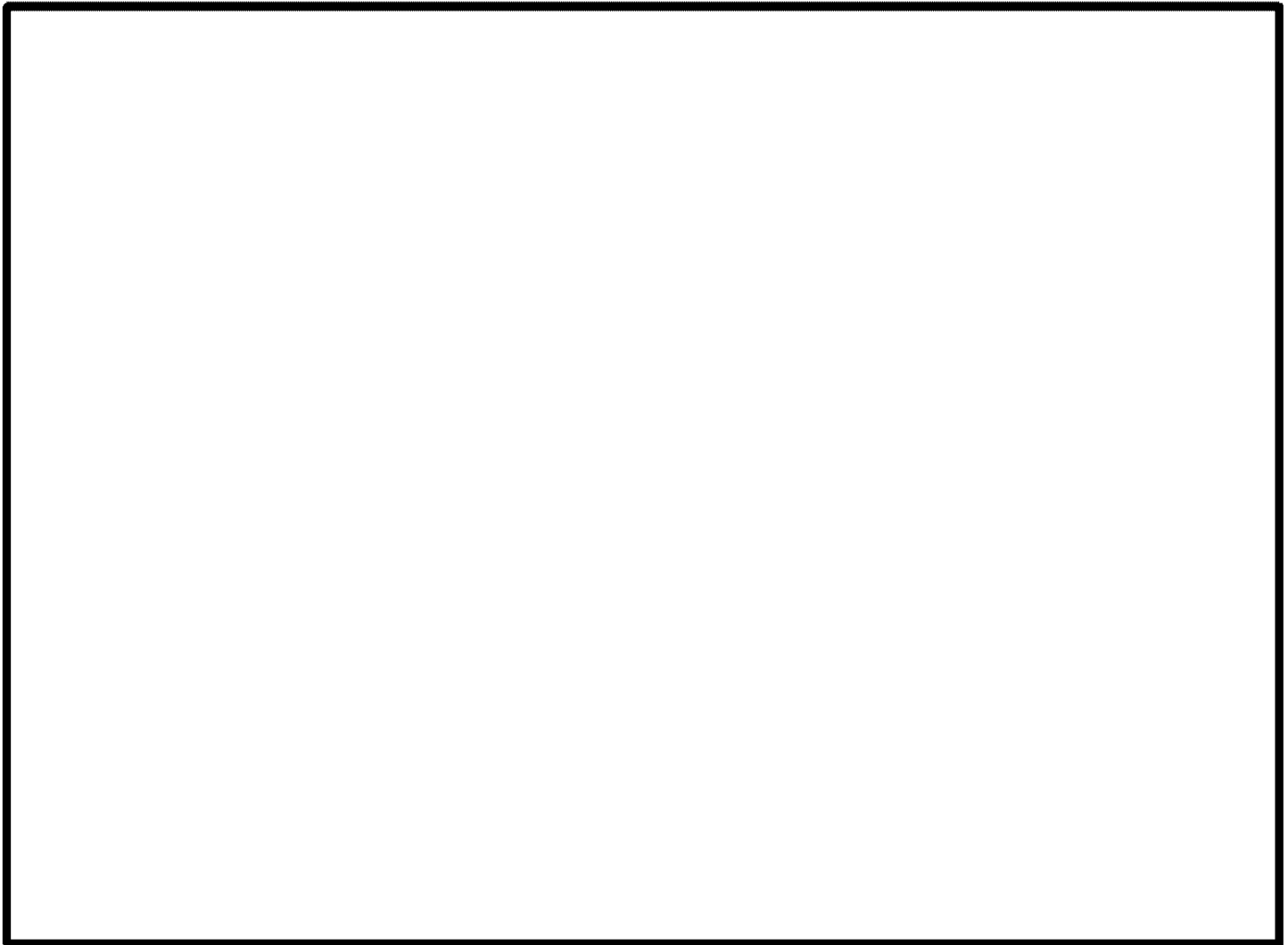
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Tribal Consultation Requirement

This proposal has no impact on tribal interests so no consultation was necessary.

Line-in/Line-out Proposed Changes to Existing Law



¹² Text included here is the U.S.C. version of the statute, which uses some different organizational references than the INA itself (for example, "this title" rather than "this Act") as that version is likely more accessible and familiar to readers.

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(b)(5) **Legislative Agenda: Correct Omission of Certain Derivative Family Members from T Nonimmigrant Adjustment of Status Provision**

Enacting Language



Narrative Justification

The U adjustment of status statute at INA § 245(m) protects certain family members of U nonimmigrants who did not derive U nonimmigrant status from the principal. Specifically, INA § 245(m)(3) allows certain qualifying family members (spouse, child, or in the case of a principal who is a child, the parent) who have never held derivative U nonimmigrant status to seek an immigrant visa or adjust status, if necessary to avoid extreme hardship. Because a U or T derivative's nonimmigrant status is dependent on the principal's nonimmigrant status, a U or T derivative cannot obtain derivative U or T nonimmigrant status once the principal no longer has U or T nonimmigrant status (for example, if the principal adjusts to lawful permanent residence). Under INA § 245(m)(3), a U derivative in this scenario could adjust status through a Form I-929, Petition for Qualifying Family Member of a U-1 Nonimmigrant. However, a T derivative in the same situation could not do so. This proposed legislative change would make the adjustment of status provisions consistent for both programs.

Congress intended to protect human trafficking victims and their immediate family members through the ability to obtain T nonimmigrant status. It is clear that Congress has a strong interest in protecting family members of T principals because section 1221 of the Violence Against Women Act of 2013 (VAWA 2013) extended eligibility for T derivative nonimmigrant status to even more family members. In keeping with this Congressional intent, the law should provide for immigrant visas or adjustment of status to lawful permanent residence to T derivatives that have never held derivative T nonimmigrant status.

Cost/PAYGO Considerations

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The costs of this correction would be low. Historically, principal T nonimmigrants have not petitioned for a high number of derivatives. USCIS estimates that it approves T nonimmigrant status at the rate of approximately .8 derivatives per principal. We have approved T nonimmigrant status for less than 1,000 principals and less than 1,000 derivatives each year. Thus, USCIS does not anticipate that the number of T derivatives who would apply to adjust status would not be very high.

Tribal Consultation Requirement

This proposal has no impact on tribal interests so no consultation was necessary.

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(b)(5) principal cannot petition for his or her own son or daughter if that son or daughter faces a present danger of retaliation, but is over age 21, or under age 21 and married. This omission could lead to the illogical result that a principal T nonimmigrant's 22-year-old stepchild who faces a present danger of retaliation could qualify as the derivative of the principal's spouse, but a principal T nonimmigrant's 22-year old biological child who faces a present danger of retaliation could not. DHS does not believe this was the intent of the 2013 provision. This gap would most affect principals over 21 years old given that principals under 21 are unlikely to have children under 21 who are married or children over 21.



Cost/PAYGO Considerations

The costs of this correction would be low. Historically, principal T nonimmigrants have not petitioned for a high number of derivatives. USCIS estimates that it approves T nonimmigrant status at the rate of approximately .8 derivatives per principal. We have approved T nonimmigrant status for less than 1,000 principals and less than 1,000 derivatives each fiscal year. See approval statistics:

Tribal Consultation Requirement

This proposal has no impact on tribal interests so no consultation was necessary.

Line-in/Line-out Proposed Changes to Existing Law

(b)(5)



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Issue Papers

Administrative Site Visit and Verification Programs (ASVVP)

Anti-Fraud Effort

Asylum Processing

Capacity Building

Central American Minors (CAM) Program

Credible Fear Determinations

Customer Access

CW-1 Nonimmigrant Visa Program

Deferred Action for Childhood Arrivals (DACA)

Employment-Based Fifth Preference Visa (EB-5) Program

Executive Action

H-1B Visa Program

H-2A Visa Program

H-2B Visa Program

Identity Verification Tool

Immigration Statistics and Trends

Information Sharing

Intercountry Adoptions

K-1 (Fiancé(e)) Visa Review

Mass Migration

Military Naturalization

Policy Manual Overview

Reasonable Fear Determinations

Refugee Processing

Secure Delivery

Social Media

Special Immigrant Juveniles

Terrorism-Related Inadmissibility Grounds (TRIG)

Unaccompanied Alien Children (UACs)

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Administrative Site Visit and Verification Program

Background

USCIS adjudicates various employment-based immigration benefit requests, including petitions for nonimmigrant workers. Through the Administrative Site Visit and Verification Program (ASVVP), the Fraud Detection and National Security (FDNS) Directorate performs administrative site visits and other informational verifications on specific petitions and applications for immigration benefits.

ASVVP was implemented in July 2009 based on findings from the Benefit Fraud and Compliance Assessment process, which recommended that physical site inspections would be a valuable fraud detection tool. The program relies on site visits to verify information provided to USCIS in support of certain employment-based visa petitions. Administrative site visits are performed at various types of work locations.

Under ASVVP, FDNS conducts unannounced pre- and post-adjudication¹³ site visits to verify information contained in certain visa petitions as part of a compliance review. The verification process is designed to assess whether petitioners and beneficiaries are in compliance with applicable immigration laws and regulations. This process includes review of public records and information, review of the petition and accompanying evidence, interviews with the petitioner and beneficiary, and site visit findings. Compliance review verification may include follow up with the petitioner and/or beneficiary by phone and email.

Participation by the petitioner and/or beneficiary during a site visit is voluntary. At any time the petitioner and/or the beneficiary may indicate their unwillingness to participate in the site visit. In such instances, the site inspector will terminate the site visit, complete his or her report, and indicate that the site visit was terminated at the request of the petitioner or beneficiary.

¹³ Pre-adjudication site visits are conducted prior to adjudicating the petition while post-adjudication site visits are conducted following the approval of the petition. Only religious worker petitions are subject to pre-adjudicative site visits.

Since 2009, ASVVP has proven to be a critical tool in verifying compliance with applicable immigration laws and regulations that govern certain employment-based visa categories. Initial implementation focused on verification of compliance for pre-adjudicative religious worker petitions followed by H-1B petitions post-approval. The H-1B nonimmigrant classification enables U.S. employers to hire foreign workers meeting specific qualifications to work in the United States.

During FY 2014, ASVVP compliance review site visits were extended to include the L-1A intracompany transferee classification. The L-1A intracompany transferee classification enables a U.S. employer to transfer an executive or manager from one of its affiliated foreign offices to one of its U.S. offices. This classification also enables a foreign company that does not yet have an affiliated U.S. office to send an executive or manager to the United States with the purpose of establishing a new office.

Current Status

The ASVVP uses a random sampling method to select post-adjudicative religious worker, H-1B, and L-1A petitions for post-adjudication verifications and site visits to deter fraud. ASVVP also conducts pre-adjudication compliance reviews on 100% of petitioners for religious organizations. Since implementation, ASVVP has conducted thousands of compliance reviews on pre-adjudicative religious petitions and randomly selected petitions for nonimmigrant workers in specialty occupations (H-1B) as well as intracompany transferees (executive or manager) (L-1A).

Under the ASVVP, FDNS Immigration Officers conduct unannounced pre- and post-adjudication, in-person site visits to verify information contained in certain visa petitions as part of a compliance review. Once a site visit has been conducted, FDNS reviews the results of the site visit and makes a final determination of compliance. In cases where FDNS determines that substantive and articulable fraud indicators exist, it conducts an administrative fraud investigation to determine the applicability of any grounds of inadmissibility or removability.

If during the course of an administrative investigation FDNS uncovers evidence of criminal misconduct, public safety threats, or national security concerns, it refers the case to U.S. Immigration and Customs Enforcement (ICE) or notifies other government agencies as appropriate.

The ASVVP is also exploring expansion into the EB-5 visa category. In addition, Congress recently requested that USCIS establish a risk-based, data-driven goal for completing unannounced compliance audits of employers.

Challenges

USCIS continues to explore development of risk-based and data-driven fraud detection programs for employment-based benefits.

Milestones

Recent and future milestones¹⁴ related to the ASVVP include:

As of October 1, 2016, FDNS completed a cumulative total of 101,544 site visits on religious worker, H-1B, and L-1A visa petitioners. Of this number, 89,009 (88%) compliance reviews were deemed compliant; while 12,535 (12%) were found to be non-compliant.

After implementation of ASVVP, fraud and noncompliance rates for H-1B and L-1A petitioners dropped from 21% in FY 2008 to 12% in FY 2016. Religious worker fraud and noncompliance rates dropped from 33% in FY 2005 to 8% in FY 2016.

During FY 2015, USCIS updated the ASVVP Standard Operating Procedures and FDNS-DS User Guide to reflect the most recent operational updates and to help Immigration Officers properly prepare, perform, and document their compliance review assignments. The updated procedures also reflect ASVVP's transition to setting hard-target completion goals to manage workloads based on current office capacity and available resources.

¹⁴ Source: FDNS-DS as of October 31, 2016.

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The EB-5 site visit pilot was conducted in FY 2016. The outcome of the pilot will assist in determining the best way to incorporate EB-5 site visits into the ASVVP.

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USCIS Anti-Fraud Efforts

Background

Created in 2004 and promoted to a Directorate in 2010, the Fraud Detection and National Security (FDNS) Directorate reflects the prioritization of our agency's mission to help safeguard our nation's security and to protect the integrity of its legal immigration system. FDNS is responsible for developing and maintaining policies and procedures that govern the detection of persons seeking immigration benefits who pose a threat to national security and/or public safety.

The Immigration and Nationality Act (INA) charges the Secretary of Homeland Security with administering and enforcing U.S. immigration laws. Under Homeland Security Delegation No. 0150.1, issued June 5, 2003, the Secretary of Homeland Security delegates U.S. Citizenship and Immigration Services (USCIS) the authority to administer U.S. immigration laws as defined in section 101(a)(1) of the INA. This delegation also provides USCIS with the authority to investigate alleged civil and criminal violations of the immigration laws, interrogate aliens and issue subpoenas, administer oaths, take and consider evidence, and fingerprint and photograph aliens. In 2004, USCIS established FDNS in response to a Congressional recommendation to create an organization responsible for developing, implementing, directing, and overseeing the joint USCIS-Immigration and Customs Enforcement (ICE) anti-fraud initiative and conducting law enforcement/background checks on every applicant, beneficiary, and petitioner prior to granting immigration benefits. In 2010, FDNS was elevated to the status of a USCIS Directorate.

FDNS's mission is to enhance the integrity of the legal immigration system by identifying threats to national security and public safety, detecting and combating immigration benefit fraud, and removing systemic and other vulnerabilities. FDNS officers are located in USCIS Service Centers, District Offices, Field Offices, and Asylum Offices. FDNS officers are also located overseas and in other government agencies.

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Supporting the USCIS mission, FDNS's objective is to enhance USCIS' effectiveness and efficiency in detecting and removing known and suspected fraud and national security concerns from the application process, thus promoting the efficient processing of legitimate immigration applications and petitions.

Current Status

Each day, FDNS Officers work to fulfill the USCIS mission of enhancing both national security and the integrity of the legal immigration system by: (1) identifying threats to national security and public safety posed by those seeking immigration benefits; (2) detecting, pursuing, and deterring immigration benefit fraud; (3) identifying and removing systemic vulnerabilities in the process of the legal immigration system; and (4) acting as USCIS' primary conduit for information sharing and collaboration with other governmental agencies. FDNS also oversees a strategy to promote a balanced operation that distinguishes USCIS' administrative authority, responsibility, and jurisdiction from ICE's criminal investigative authority.

FDNS Immigration Officers receive fraud referrals both internally within USCIS, via application screening results and other government referrals, and externally, via tip letters from the public or other government agency referrals. FDNS officers create a lead for all received referrals. Those leads that are determined to be both articulated and actionable are promoted to a case. FDNS IOs conduct administrative investigations on cases. The objective of this investigation is to produce information that USCIS adjudication officers can use to determine an individual's eligibility for an immigration benefit. FDNS performs administrative investigations and coordinates with law enforcement for criminal investigations. FDNS investigations are tailored to verify relationships that are the basis for the transmission of an immigration benefit as well as to identify grounds of inadmissibility and removability. A Statement of Findings (SOF) memorializes the FDNS findings from the results of either the administrative or criminal investigation. FDNS cases result in one of three conclusions: 1) fraud found, 2) fraud not found, or 3) inconclusive.

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The FDNS program conducts targeted site visits on all benefit request types when circumstances suggest possible fraud indicators. Traditionally, USCIS adjudicators identify fraud indicators in an application or petition and refer the case to FDNS for investigation. FDNS also receives referrals from tip letters, law enforcement entities, and other government agencies. FDNS researches and investigates the information in the referral, and where warranted, conducts a site visit to gather additional information, interview petitioners, applicants, and beneficiaries, and obtain sworn statements.

During the administrative investigation, FDNS also evaluates the case in order to determine if it meets the criteria for referral established in the September 26, 2008 and revised December 12, 2008, Memorandum of Agreement between USCIS and Immigration and Customs Enforcement (ICE) on the investigation of immigration benefit fraud. Under existing policy, USCIS refers egregious public safety cases to ICE.

FDNS also initiates overseas verification requests, a process to confirm events and statements, and authenticate documents that originated overseas and which relate to an application/petition for immigration benefits.

FDNS uses the Fraud Detection and National Security Data System (FDNS-DS) to identify fraud and track potential patterns.

FDNS has a workforce of approximately 980 officers throughout the U.S. and in selected offices overseas. FDNS has an annual budget of approximately \$165 million dollars, \$25 million of which comes from a set-aside portion of employment-based non-immigrant visa fees that are mandated in law.

FDNS conducts domestic site visits on petitioning organizations and beneficiaries referred by Department of State (DOS) consular officers through the External Source Site Visit Program (ESSVP). In the ESSVP, DOS consular officers have identified fraud indicators on pending visa applications. FDNS has three Immigration Officers embedded at DOS facilities, two at the Kentucky Consular Center and one at the National Visa Center. These FDNS Immigration Officers vet referrals from consular officers and assign targeted site visits to FDNS Immigration Officers located in field offices based on

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Cost/PAYGO Considerations

[Unknown]

Tribal Consultation Requirement

This proposal has no impact on tribal interests and thus no consultation was necessary.

(b)(5)

Line-in/Line-out Proposed Changes to Existing Law



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petitioner location. The results of these site visits are returned to DOS consular officers for use in their adjudicative decisions.

Challenges

Staffing needs arise as new challenges and responsibilities are placed upon the Directorate. This is especially pertinent to increased screening and as well as fraud and national security concerns. Increased inquiries related to immigration processes from Congress, the media, the Government Accountability Office, the Office of the Inspector General as well as the general public, have highlighted USCIS and its screening and fraud programs. This increased interest has significantly affected FDNS operations and has resulted in increased staffing needs.

Staff training needs are also a challenge. As USCIS moves toward increased usage of automated systems, the capability to detect, track and document fraud has changed. Staff will need to be trained in the new ways individuals may attempt to circumvent immigration laws. In addition to new ways of documenting fraud, staff will also need to be trained on new methods and procedures due to the fluid case law in the various circuits as well as any changes to the laws and regulations. This training will assist in ensuring that fraud findings are upheld in court.

Milestones

Recent and future milestones related to the USCIS Fraud Efforts include:

- In FY 16¹⁵ FDNS:
 - Found Fraud in 14,990 cases
 - Referred 1,164 Benefit Fraud cases to ICE for criminal investigation
 - Completed 1,372 Overseas Verification Requests
 - Responded to 1,310 Requests for Information

¹⁵ Source FDNS-DS as of October 31, 2016.

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- Answered 40,030 Requests for Assistance
- Conducted 10,366 ASVVP site visits
- Completed 4,707 benefit fraud cases that included at least 1 site visit
- Expansion into more automated fraud referral and detection methods

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Asylum Processing

Background

- There are 152,370 pending affirmative asylum applications (as of April 24, 2016).
- By the end of FY 2016, the affirmative asylum backlog is projected to reach at least 181,723 pending cases.
- All affirmative asylum applicants and dependents are subject to mandatory biographic and biometric security checks.

Current Status

Security Vetting in the USCIS Affirmative Asylum Process

- All affirmative asylum applicants and dependents are subject to mandatory biographic and biometric security checks.
- **Mandatory Biographic Security Checks** - Biographic checks search various systems using the applicant's biographic information, such as name, date of birth, aliases, alternate dates of birth, and/or alien registration number.
 - Mandatory biographic checks are run against the USCIS Central Index System, CBP TECS, ICE ENFORCE Alien Removal Module, FBI's Name Check process, the State Department's Consular Consolidated Database, and through the National Counterterrorism Center (NCTC).
- **Mandatory Biometric Security Vetting** -
 - The Asylum Division collects a photograph, press-print, and signature for all applicants and ten-prints for all applicants over 12 years and 9 months of age. Checks of this data include Federal Bureau of Investigation (FBI) fingerprint checks, Department of Defense (DOD) Automated Biometric Identification System vetting, and DHS-IDENT (encounter search and biometric identity verification).

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- **Mandatory Interview Process** - The Asylum Division conducts an in-person interview of every affirmative asylum applicant, which is an important part of the vetting process. Asylum Officers conduct in-depth interviews to develop all issues related to eligibility for asylum including credibility, whether the individual meets the refugee definition, and whether the applicant or any dependent is subject to a mandatory bar to asylum.
 - Mandatory bars to asylum include a conviction of a particularly serious crime; commission of a serious nonpolitical crime outside the United States; national security risk; terrorist-related inadmissibility grounds; and participation in the persecution of others on account of race, religion, nationality, membership in a particular social group or political opinion. Officers must elicit during the in-person interview the specific testimony necessary to vet and adjudicate the case in light of these mandatory bars.

- **Additional Integrity Measures** - The Asylum Division undertakes a number of additional measures to aid in the vetting of asylum cases and ensure integrity in the process. These measures include:
 - Mandatory supervisory review of all asylum decisions;
 - Random case assignment;
 - Government-funded interpreter monitors;
 - USCIS Fraud Detection and National Security (FDNS) teams in every asylum office:
 - At least two FDNS Immigration Officers are stationed full-time at each asylum office. The FDNS officers conduct pre-screening of cases; vet cases with national security concerns in-depth; monitor the asylum caseload for fraud; and coordinate with ICE and other law enforcement partners as necessary to address fraud, public safety, and national security concerns.
 - Information sharing with other countries
 - Under the Statement of Mutual Understanding on Information Sharing with Canada and its Annex and the SCC High Value Data Sharing Protocol, the United States is authorized to share information on

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asylum applicants with Canada, Australia, New Zealand, and the United Kingdom.

Challenges

Affirmative Asylum Case Backlog

- The current pending asylum backlog is a 40-percent increase over the FY 2015 end-pending level of 108,749 cases.
- The affirmative asylum backlog is a product of both the receipt of a growing number of affirmative asylum applications and the diversion of USCIS Asylum Officers to other high priority workloads, such as the credible fear caseload and overseas refugee processing.

Milestones

Asylum Division Staffing

- To address these increasing workloads, USCIS expanded its Asylum Officer corps from 272 authorized Asylum Officer positions to 533 officers.
- To accommodate this growth in the workforce, the Asylum Division expanded its operations in FY 2015 and FY 2016 to include the Boston and New Orleans Asylum Sub-Offices and the Asylum Pre-Screening Center in Arlington, Virginia.
- The Asylum Division has been aggressively hiring and training new Asylum Officers to reach its full staffing level. By Q3 FY2016, the Asylum Division projects that it will have hired at least 480 Asylum Officers, representing 90% of its authorized staffing level.

USCIS Capacity Building

Background

USCIS' primary workload comes from the filing of applications and petitions. While the agency is making progress in automating procedures, much of the work is dependent on manual processing and determinations. As a result of this intensive manual effort, when applications and petitions increase, the number of personnel required to process the work increases. As USCIS is a fee funded agency, there is a natural mechanism to increase funding commensurate with the increase of work. However, the workload can expand at a faster rate than USCIS is capable of matching with personnel, leaving it behind in meeting customers' needs. Additionally, as policy changes, national security concerns or the like occur, processing times can lengthen, which results in an increased demand for personnel to keep up with the amount of applications and petitions filed.

Current Status

- The hiring of new employees takes approximately 100 days. Often, when the vacancy is at the GS-12 or higher grade, it is filled by personnel from within USCIS, leaving another vacancy. Most new hires also require an extensive training period before they become fully operational.
- On top of merely meeting forecasted demand if all things remain the same, changes to immigration policy, national security concerns, stakeholder concerns can lengthen the time per application, increasing the need for additional personnel. In this case, the same issues as the above come to play. Typically, both increased applications and changes to policy, etc., are in play at any one time, causing USCIS to continually lag behind needed capacity.

Challenges

With an increasing volume of immigration applications and petitions, the demand for services and additional personnel has also grown. Five major factors delaying capacity building are:

1. First, USCIS projects the necessary Full Time Equivalent (FTEs) required on an annual cycle projecting volumes and calculating associated required end-strength
2. Second, as discussed above, the hiring of new employees takes more than three months on average and often results in other vacancies within the agency.
3. Third, once a person is hired, internal security clearances take 18 days. If there is doubt as to whether the person should be cleared, the agency waits for OPM to complete their background investigation. The OPM process currently takes on average around 200 days before final clearance.
4. Fourth, once selected, cleared through security and on board, a new officer does not reach full productivity until the one-year mark. Individuals ramp up their first 4 months through a combination of on-the-job training and mentoring. Next they attend a 5 week residential adjudications training program.
5. Lastly, offices reach a point when they can no longer absorb additional personnel and the agency is forced to renovate existing space, or lease a new office, to provide the additional new space. This process typically takes 2-3 years if everything moves smoothly, which occurs about 50% of the time. Renovating existing space requires 6 to 12 months, depending on the extent of renovations.

The cumulative effect of these challenges is a 12-18 month response to smaller demand for personnel increases, and 4-5 years to respond to larger demands. While USCIS aggressively uses telework and mobility tools to maximize workplace flexibility and facility usage, there is still a lag in capacity building that could be of tremendous concern

with any immigration reform. Actions to reduce the demand on facilities and shorten capacity building timelines are outlined under milestones.

Milestones

- Implementation of “Field Operations Directorate 2020” initiatives to expand the use of telework in field offices, to better utilize our facilities/reduce the need to expand or renovate real property.
- Increased telework opportunities in specialized units, such as the Immigrant Investor Program Office, Administrative Appeals Office, and Verification.
- Utilize incoming call management technology to allow call center personnel to work from home or remote locations, reducing demand on call center facilities.
- Review all training to ensure **only** the essential tasks are trained.
- Train leaders on hiring flexibilities to trim hiring time lines.

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Credible Fear Claims

Background

Expedited removal provides for swift removal of certain individuals from the United States without a hearing before an immigration judge. Generally, those subject to expedited removal are individuals without proper documentation who are arriving at a port-of-entry or are apprehended within 14 days after entry and within 100 air miles of the U.S. land border after having entered the United States illegally.

When an individual in expedited removal indicates an intention to apply for asylum, a fear of persecution or torture, or a fear of return to his or her country, he or she is referred to a USCIS asylum officer for a screening interview to determine whether the individual possesses a "credible fear" of persecution or torture. Similar to reasonable fear determinations, credible fear determinations serve as a screening mechanism to identify potentially meritorious protection claims for further consideration by an Immigration Judge. Congress defined "credible fear" as a "significant possibility" of establishing eligibility for protection, including asylum, withholding of removal, and protection under the Convention Against Torture. The screening is a safeguard to identify those with protection concerns consistent with our treaty obligations relating to non-refoulement—i.e., refraining from returning individuals to a country where they will face persecution or torture.

- A positive credible fear determination is not a grant of relief. Rather, those who meet the credible fear threshold with USCIS are placed in removal proceedings before an immigration judge under section 240 of the Immigration and Nationality Act (INA), where they may apply for asylum or other relief or protection from removal.
- If USCIS finds that the individual has not established a credible fear of persecution or torture, the individual may ask for an immigration judge to review the USCIS determination. If the immigration judge overturns the USCIS determination, the individual is placed in removal proceedings under section 240 of the INA, per above. If the immigration judge sustains the USCIS

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determination, the individual may be removed.

To ensure integrity in the screening context, DHS institutes numerous measures to prevent abuse of the system. These measures include mandatory biographic and biometric checks prior to referral and during the credible fear process, mandatory supervisory review of all determinations, and an assessment of the individual's credibility.

Individuals who are placed in the expedited removal process upon their arrival in the United States are subject to detention throughout the process or until a positive credible fear determination has been made, unless DHS exercises its exclusive discretion to "parole" them from custody into the United States.

Current Status

USCIS continues to see an annual increase in credible fear referrals from CBP and ICE. In FY 2016, the Asylum Division received 94,048 credible fear referrals, while receiving a total of 48,052 for all of FY 2015. With respect to individuals residing in ICE's family residential centers (FRCs), the number of credible fear referrals quadrupled from approximately 9,960 in fiscal year 2015, to approximately 41,356 in fiscal year 2016. In fiscal year 2016, the Asylum Division made approximately 36,570 positive credible fear determinations and approximately 1,626 negative credible fear determinations for individuals residing at the ICE family residential centers.

In FY 2013, 65% of individuals in the credible fear process were nationals of Guatemala, El Salvador, or Honduras—countries in which deteriorating living conditions, violence, and human rights abuses are well documented. In FY 2016, the percentage of nationals from those counties increased to 73%. In FY 2016, USCIS processed credible fear claims in an average of 10.5 calendar days.

Challenges

Since DHS opened new FRCs at Dilley and Karnes, USCIS has been sending asylum officers to these sites to conduct credible and reasonable fear interviews. The high

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volume of individuals asserting fear claims in the expedited removal has placed a strain on DHS resources. USCIS has prioritized the processing of these detained credible and reasonable fear cases, often at the expense of its affirmative asylum caseload, which has grown 499% since FY13 to over 194,986 pending cases in FY 2016.

Milestones

Recent and future milestones related to the credible fear claims include:

USCIS continues to see an annual increase in credible fear referrals from CBP and ICE.

In FY 2016, the Asylum Division received 94,048 credible fear referrals, which is the highest number of receipts in the program's history. This total nearly doubles the previous high totals of 48,052 in all of FY 2015 and 51,001 in all of FY 2014.

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Improving Customer Access to Immigration Services

The USCIS Customer Service and Public Engagement Directorate (CSPED) improves the customer experience by facilitating the intake and resolution of millions of customer inquiries, overseeing a multifaceted engagement platform that reaches a broad base of customers and stakeholders, and developing new customer service tools in response to emerging customer needs.

Background

To support USCIS in achieving its mission to provide accurate and useful information to our customers, grant immigration and citizenship benefits, promote awareness and understanding of citizenship, and ensure the integrity of our immigration system, CSPED works to expand access to programs, services, activities, and information. CSPED removes barriers that would otherwise limit access for vulnerable populations, including persons with limited English proficiency (LEP), persons with disabilities, victims of crime and scams, and special categories of protected individuals, such as children.

Current Status

CSPED leads the agency's public engagement efforts by promoting open and transparent discussions on a wide variety of highly visible and sensitive topics, including:

- Leading the multi-agency, nationwide initiative to combat the unauthorized practice of immigration law (UPIL) and raise awareness about immigration scams through sustained public engagement, education, and close collaboration with federal, state, local and community partners.
- Hosting national stakeholder engagements to promote awareness of programs serving special at-risk communities, such as special immigrant juveniles (SIJ) and temporary protected status designations.
- Engaging with our federal, state, and local partners and community-based organizations about critical humanitarian programs through reoccurring

engagements, including those related to refugees, victims of human trafficking, domestic violence, and other serious crimes (T/U/VAWA).

- Elevating the visibility of the refugee admissions process by overseeing a strategic engagement plan that involves key federal partners, state and local officials, and community based organizations.

Challenges

There remain serious customer access challenges that require our continued effort and commitment, including:

- Collaborating effectively with law enforcement partners so that immigration scams are investigated and future scams are prevented.
- Improving access for LEP and persons with disabilities by ensuring the availability of USCIS information in formats and languages other than English and leading the discussion about translating USCIS forms, form instructions, and other important material.
- Working alongside our federal and community partners to increase the availability of knowledgeable and authorized immigration legal service providers in communities across the United States.
- Targeting outreach on critical humanitarian programs, such as the Central American Minors (CAM) program, so audiences are aware of safe and viable options for legal migration.

Milestones

CSPED continues to focus on expanding access to our services and information to customers who are most vulnerable. Some current achievements include:

- Managing a Multilingual Resource Center on USCIS' public facing website where

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customers can access important up-to-date USCIS information in multiple languages.

- Hosting and supporting ongoing national public engagements in languages other than English, including Cantonese, Spanish, Hindi, Tagalog, and Spanish sign language.
- Leveraging a newly-appointed USCIS Customer Disability Access and Accommodations Coordinator to examine ways to improve access to information, services, and activities, and to buildings and facilities for persons with disabilities.
- Continuing our strong public education efforts to combat and prevent the unauthorized practice of immigration law and raise awareness about immigration scams.
- Leading on the dissemination and implementation of a USCIS Language Access Plan and championing the adoption of broader language access goals within the federal community.
- Serving as the leader in the federal community on developing best practices for overcoming access barriers, ensuring quality translations, and designing user-friendly multilingual customer service tools.

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Central American Minors (CAM) Refugee/Parole Program

Background

Vice President Biden announced the CAM Program publicly on November 14, 2014, at the Inter-American Development Bank as part of a broader U.S. commitment to working with Central American countries to help create the economic, social, governance, and citizen security conditions to address factors contributing to increases in migration to the United States. Since that time, DHS/USCIS has worked closely with the Department of State and the White House to develop and implement the CAM Program, which began accepting applications on December 1, 2014.

In addition, the Administration recently announced expansion of the CAM program to allow additional categories of applicants to be considered when they accompany a qualified child. This includes the in-country biological parent of a qualified child who is not married to the parent in the U.S., a caregiver who is also related to the lawfully present parent in the United States, and sons and daughters who are married and/or age 21 or older. The CAM program and its expansion are part of the nation's commitment to protecting Central Americans at risk and to expand resettlement opportunities in the region.

CAM Processing

A USCIS officer conducts an in-country interview with each applicant to determine whether he or she is eligible for refugee resettlement. This includes a determination of whether he or she meets the refugee definition in Immigration and Nationality Act (INA) section 101(a)(42) and is otherwise admissible to the United States. Any child or parent admitted as a refugee will be included in the Latin America/Caribbean regional allocation of the U.S. Refugee Admissions Program, which is 4,000 for FY 2016.

Individuals who receive access to the program and are found ineligible for refugee status, but are found to be at risk of harm, are considered on a case-by-case basis for parole into

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the United States. Unlike refugee status, parole does not lead to any immigration status, but does allow an individual to stay temporarily in the United States and apply for work authorization.

Current Status

The Central American Minors (CAM) Refugee and Parole Program provides certain minors in El Salvador, Guatemala, and Honduras a safe, legal, and orderly alternative to the dangerous journey that some children are currently undertaking to the United States.

This program allows certain parents lawfully present in the United States to request a refugee resettlement interview for unmarried children under age 21 in Guatemala, El Salvador, or Honduras. In some situations, the in-country parent of the qualifying child may also be considered under the refugee program.

This program is not a pathway for undocumented parents to bring children to the United States. The parent in the United States must be lawfully present in one of several identified categories in order to request that his or her child be permitted to come to this country. As of August 22, 2016, USCIS has completed circuit rides to Central America in which there have been 253 interviews (representing 3,416 individuals). Of these, USCIS has conditionally approved 802 cases (representing 873 individuals), or approximately 26.6 percent, for refugee resettlement; 2,086 cases (representing 2,151 individuals), or about 63.0 percent, were recommended for parole.

The breakdown of results for each country over these circuit rides is:

- El Salvador: Interviews: 2,785 cases (2,920 individuals); Refugee Status: 25.7%; Parole: 62.8%; Denied: Less than 1%; Holds: 10%.
- Honduras: Interviews: 417 cases (445 individuals); Refugee Status: 24.9%; Parole 64.5%; Denied: Less than 1%, Holds: 10.3%

Guatemala: Interviews: 51 cases (51 individuals); Refugee Status: 21.6%; Parole: 60.8%, Denied: 0%, Holds: 17.6%

An additional approximately 1,000 cases were interviewed in El Salvador during a currently ongoing trip that began in early July 2016. As of August 22, 2016, there have

been 366 individual refugee and 455 individual parolee arrivals to the United States, for a total of 821 arrivals. Approval rates may change if any original decisions are changed based on applicants' requests to reconsider them, and these percentages are not necessarily indicative of future approval and denial rates.

Individuals considered for refugee status or parole undergo the same rigorous background checks as all refugees. All refugee and parole applicants are required to complete an in-person interview with a trained immigration officer. DHS has not devoted additional funds to implement this program. This program fits under the existing fee-funded budget structure that DHS/USCIS allocates for refugee processing worldwide annually.

Challenges

Balancing the numerous required elements of the refugee processing protocol with the security needs of children who are imminently at risk is an issue USCIS continues to address.

Milestones

Recent and future milestones related to the CAM program include:

- FY 2015, Quarter 4: USCIS conducted its first circuit ride to interview cases for the Central American Minors Program.
- FY 2016: USCIS increased the size and number of teams traveling to Central America to process applicants through this program.
- FY 2016, Quarter 3: Since the program's first mission to Central America in Q4 FY 2015, USCIS has conducted more than 3,000 interviews of CAM applicants.
- FY 2016, Quarter 4: By the end of FY 2016, USCIS expects to have completed nearly 4,000 interviews of CAM applicants.

CW-1 Nonimmigrant Visa Program

Background

- Until 2009, the Commonwealth of the Northern Mariana Islands (CNMI) was a territory of the United States that had the authority to control its own immigration system.
- In 2008, Congress passed the Consolidated Natural Resources Act of 2008 (CNRA), Public Law 110-229. Title VII of the CNRA mandated that the CNMI would be brought under the jurisdiction of the Immigration and Nationality Act on November 28, 2009, the “transition date.”
 - This mandate phased-out the CNMI’s foreign worker permit system and phased-in the U.S. federal immigration system in a manner that minimized adverse economic and fiscal effects and maximized the CNMI’s potential for future economic and business growth.
 - The CNRA authorized the Department of Homeland Security (DHS) to create a nonimmigrant classification that would ensure adequate employment in the CNMI during a transition period. Accordingly, the CNMI-Only Transitional Worker classification (CW) was created by regulation.
- The CW-1 program was initially set to sunset on December 31, 2014, but it was subsequently extended by the U.S. Secretary of Labor, and then by statute, until December 31, 2019.

The Overall Petition Process

- The CW classification allows employers in the CNMI to apply for temporary permission to employ nonimmigrant workers who are otherwise ineligible to work

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under other nonimmigrant worker categories.

- U.S. Citizenship and Immigration Services (USCIS) is the component of DHS that adjudicates CW-1 petitions. The California Service Center has sole jurisdiction over these petitions.
- Form I-129CW, Petition for a CNMI-Only Nonimmigrant Transitional Worker, does not require a labor determination from the U.S. Department of Labor, but employers must complete and submit an attestation certifying that no qualified United States workers are available to fill the position.
- When the transition period began, most CW-1 workers requested a “Grant of Status” so they could remain on the island(s) and not have to re-enter through the consulate.
- If otherwise eligible, workers may be granted CW-1 status up to one year (spouses and children under 18 may obtain derivative CW-2 status; CW-2 is not numerically capped).

Current Status

The CW-1 Cap

- Among other elements, the CNRA mandates an annual reduction in the number of CW-1 workers and the total elimination of the CW nonimmigrant classification by December 31, 2019.
- DHS initially set the CW-1 cap for FY 2011 and FY 2012 in the CW-1 program regulations. However, beginning with FY 2013, DHS chose to make a yearly assessment of the CNMI workforce need when determining the upcoming fiscal year cap. Each fiscal year CW-1 cap is annually published in the Federal Register. The FY 2016 CW-1 cap was set at 12,999, and the FY 2017 cap was set at 12,998.

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- On May 5, 2016, USCIS reached the FY 2016 cap for the first time in the program's history.
 - In early 2016, USCIS experienced an unprecedented increase in new employment requests. A large portion of the new requests were related to the construction industry.
 - Generally all CW-1 workers are subject to the cap unless the worker was already counted towards the CW-1 cap in the same fiscal year.
 - In August 2016, USCIS announced that it would consider deferred action for impacted CW-1 workers who had exceptional circumstances or justification for this relief. This was a singular response to address short-term and unexpected humanitarian circumstances immediately arising from the FY 2016 CW-1 cap closure.

- On October 14, 2016, USCIS reached the FY 2017 cap.

Challenges

CW-1 Extension of Stay Petitions

- Because the FY 2016 and FY 2017 CW-1 caps were reached, most subsequently-filed CW-1 extension of stay petitions were rejected.

- The CNMI media is publishing stories highlighting the various hardships on families and businesses as a result of CW-1 workers being unable to extend their stay.

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- CNMI employers continue to indicate that they rely on these workers in order to maintain local businesses and their overall economy.
- The CNMI Delegate to Congress, Governor, and other CNMI officials are exploring alternative solutions for their territory.

Milestones

- On January 15, 2016, the “Enhancing Opportunities for H-1B1, CW-1, and E-3 Nonimmigrants and EB-1 Immigrants” final rule was published in the Federal Register. It became effective February 16, 2016. This rule provides CW-1 workers authorization to continue to work with the same employer up to 240 days beyond the existing validity period while waiting for USCIS to adjudicate a timely-filed extension of stay request.
- In July of 2016, a team of USCIS personnel visited the CNMI on a week-long public engagement and outreach tour speaking to stakeholders about the CW-1 cap and alternate nonimmigrant and immigrant visa classifications that might be considered to address their workforce needs.

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Deferred Action for Childhood Arrivals

Background

The implementation of Deferred Action for Childhood Arrivals (DACA) was announced in a June 15, 2012, memorandum by Secretary of Homeland Security Janet Napolitano. On August 15, 2012, USCIS began accepting DACA requests. Requests for consideration of DACA are decided on a case-by-case basis, pursuant to DHS's prosecutorial discretion. Under the 2012 guidelines, individuals may be considered for an initial grant of DACA if they:

- Were under the age of 31 as of June 15, 2012;
- Came to the United States before reaching their 16th birthday;
- Have continuously resided in the United States since June 15, 2007, up to the present time;
- Were physically present in the United States on June 15, 2012, and at the time of making their request for consideration of deferred action with USCIS;
- Had no lawful status on June 15, 2012;
- Are currently in school, have graduated or obtained a certificate of completion from high school, have obtained a general education development (GED) certificate, or are an honorably discharged veteran of the Coast Guard or Armed Forces of the United States; and,
- Have not been convicted of a felony, significant misdemeanor, or three or more other misdemeanors, and do not otherwise pose a threat to national security or public safety.

Individuals may be considered for renewal of DACA if they meet the initial DACA guidelines and they:

- Did not depart the United States on or after Aug. 15, 2012, without advance parole;
- Have continuously resided in the United States since they submitted their most recent DACA request that was approved; and,

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- Have not been convicted of a felony, a significant misdemeanor, or three or more misdemeanors, and do not otherwise pose a threat to national security or public safety. A grant of either an initial DACA request or renewal DACA request will defer action for a two-year period, subject to termination at DHS's discretion.

Requestors must be 15 years of age or older at the time of requesting DACA, unless they are in removal proceedings, have a final removal order, or have a voluntary departure order, and are not in immigration detention. Children who were under the age of 15 on June 15, 2012 are able to request consideration of DACA once they meet the minimum age requirement. In all instances, requestors must be under the age of 31 as of June 15, 2012. As long as they were under that age on June 15, 2012, they may request a renewal after turning 31.

Current Status

On November 20, 2014, Secretary Jeh Johnson announced a series of actions that included expanding the population eligible for DACA and changing the validity period of deferred action from two years to three years.

On February 16, 2015, the U.S. District Court for the Southern District of Texas, Brownsville Division, issued an order preliminarily enjoining the expansion of DACA. USCIS ceased all DACA approvals reflecting a three-year validity period in compliance with the court order. The Court of Appeals for the Fifth Circuit upheld the lower court's ruling, causing the U.S. Department of Justice to seek a Supreme Court review of the decision. On June 23, 2016, the Supreme Court reached a 4-4 split decision. Accordingly, the preliminary injunction that temporarily halted the implementation of expanded DACA remains in effect. This ruling did not impact the original DACA launched in 2012. USCIS continues to process DACA requests under the original June 15, 2012 guidelines, providing a two-year validity period for all approved requests.

Challenges

USCIS metrics show that a large number of DACA requestors are submitting renewal requests fewer than USCIS' publically recommended 150 to 120 days from expiration of

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their current period of deferred action resulting in lapses in deferred action and employment authorization.

Additionally, all DACA requests received by USCIS after January 28, 2016 are received by the lockbox and electronically entered into the USCIS Electronic Immigration System (ELIS). DACA filings received from this date forward are adjudicated within the ELIS environment. USCIS has experienced a number of technical issues with processing DACA renewal requests in the new ELIS environment which has resulted in processing delays for many individuals requesting renewal of DACA. USCIS has worked diligently to fix technical issues as they have arisen, and is focused on restoring normal processing times as quickly as possible.

Milestones

Recent and future milestones related to DACA include:

- USCIS has revised the Form I-512L Authorization for Parole of an Alien into the United States for the DACA population to provide clarity on the dates of authorized travel in response to concerns from stakeholders.
- USCIS proactively publishes quarterly data on the number of DACA requests received, accepted, granted and denied.¹⁶ Data currently exists from inception of DACA through June 30, 2016 (Fiscal Year 2016, 3rd Quarter).
- Since USCIS began accepting DACA requests in August 2012, the agency has approved more than 728,000 initial filings and over 511,000 requests for renewal.

¹⁶ USCIS official website, Data Set: Form I821D, Deferred Action for Childhood Arrivals, <http://www.uscis.gov/tools/reports-studies/immigration-forms-data/data-set-form-i-821d-deferred-action-childhood-arrivals>

EB-5 Investor Visa Program

Background

The employment-based fifth preference (EB-5) visa program is designed to attract investors and entrepreneurs from around the world to create jobs in the United States. Congress created the EB-5 visa program in 1990 to stimulate the U.S. economy through job creation and capital investment by foreign investors. The program makes approximately 10,000 visas available annually to foreign nationals, and their dependents, who invest at least \$500,000, if the investment is in a targeted employment area (TEA), defined to include certain rural areas and areas of high unemployment, or \$1,000,000 in a U.S. business that will create or preserve at least 10 full-time jobs in the U.S.

Under an immigration program first enacted in 1992, 3,000 of the available EB-5 visas are set aside for foreign investors who invest in new commercial enterprises associated with regional centers designated by USCIS. As of October 3, 2016, there are 863 regional centers throughout the United States.

Economic Benefits^[1]

In FY 2016, U.S. Citizenship and Immigration Services (USCIS) received more than 14,000 Immigrant Petitions by Alien Entrepreneur (Form I-526), which represent approximately \$7B in future potential investment. USCIS approved more than 7,500 Form I-526s, representing more than \$3.7B in investments and at least 75,000 potential new jobs.

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^[1]The actual economic benefits may be higher, as these numbers are based solely on the minimum statutory investment and job creation requirements (\$500,000/10 jobs).

Audits of the EB-5 Program

The U.S. Government Accountability Office (GAO) issued a report on the EB-5 program in August 2015. GAO assessed fraud risks, as well as the validity and reliability of methodologies used to determine job creation and economic benefits. While highlighting the positive steps USCIS has taken to mitigate fraud and administer the EB-5 program, GAO made four recommendations for USCIS to strengthen fraud prevention, detection, and mitigation capabilities within the program (e.g., with respect to limitations in information systems and processes) and to more accurately assess and report on program outcomes and the overall economic benefits of the program. DHS concurred with these recommendations and is working to implement them.

GAO initiated two new reviews of the EB-5 program in FY 2016.

- In a report published in September 2016, GAO reviewed USCIS' actions to address fraud risks in the EB-5 program since GAO's August 2015 report. The new report confirmed that USCIS has recently taken steps intended to enhance fraud detection and mitigation activities for the EB-5 program and address previous GAO recommendations, and recommended that USCIS develop a fraud risk profile that aligns with leading practices identified in GAO's Fraud Risk Framework. DHS concurred with this recommendation and is working to implement it.
- The second review assessed how many projects proposed in EB-5 petitions filed in 2015 were located in rural areas or high unemployment areas qualifying as a TEA; how many projects were in census tracts with an unemployment rate of at least 150 percent of the national average rate or used multiple census tracts to qualify for TEA status; and what proportion of investors and investments in projects proposed in EB-5 petitions filed in fiscal year 2015 came from EB-5 investors, other foreign investment, or U.S. investment. GAO issued the final report, which does not contain any recommendations, in September 2016.

EB-5 Protocols

April 2015, the Secretary approved protocols developed by the General Counsel of the Department of Homeland Security (DHS) which regulate the manner and circumstances

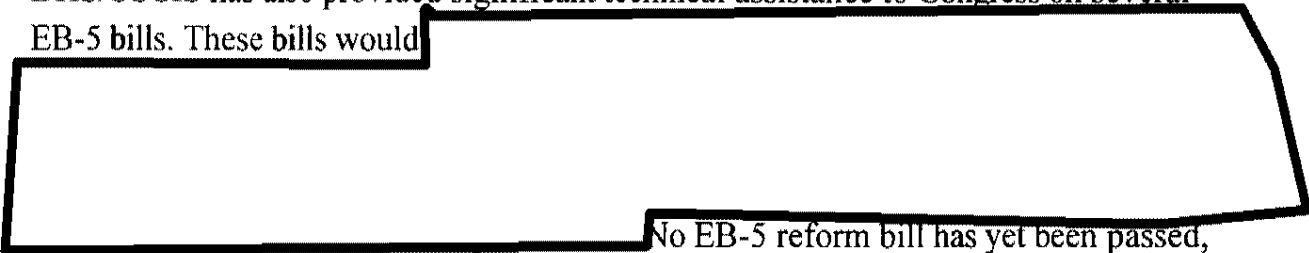
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under which it is appropriate for DHS and USCIS employees and contractors involved in policymaking, evaluation, or review of the EB-5 program or the adjudication of any specific EB-5-related petition or application to communicate with those outside the Department on an EB-5 matter. The protocols also specify when it is appropriate for a senior departmental official to intervene in the normal course and consideration of a pending EB-5 related petition or application. Training on these protocols has been delivered to all affected DHS and USCIS employees and contractors.

Current Status

Reforming the EB-5 program is a priority for the Department of Homeland Security and USCIS, and USCIS is working diligently on reforms through the formal rulemaking process, including regulatory enhancements and improvements that would result in increased economic benefits to the United States. USCIS has sought feedback from stakeholders on the prospective areas for administrative reform.

(b)(5) DHS/USCIS has also provided significant technical assistance to Congress on several EB-5 bills. These bills would

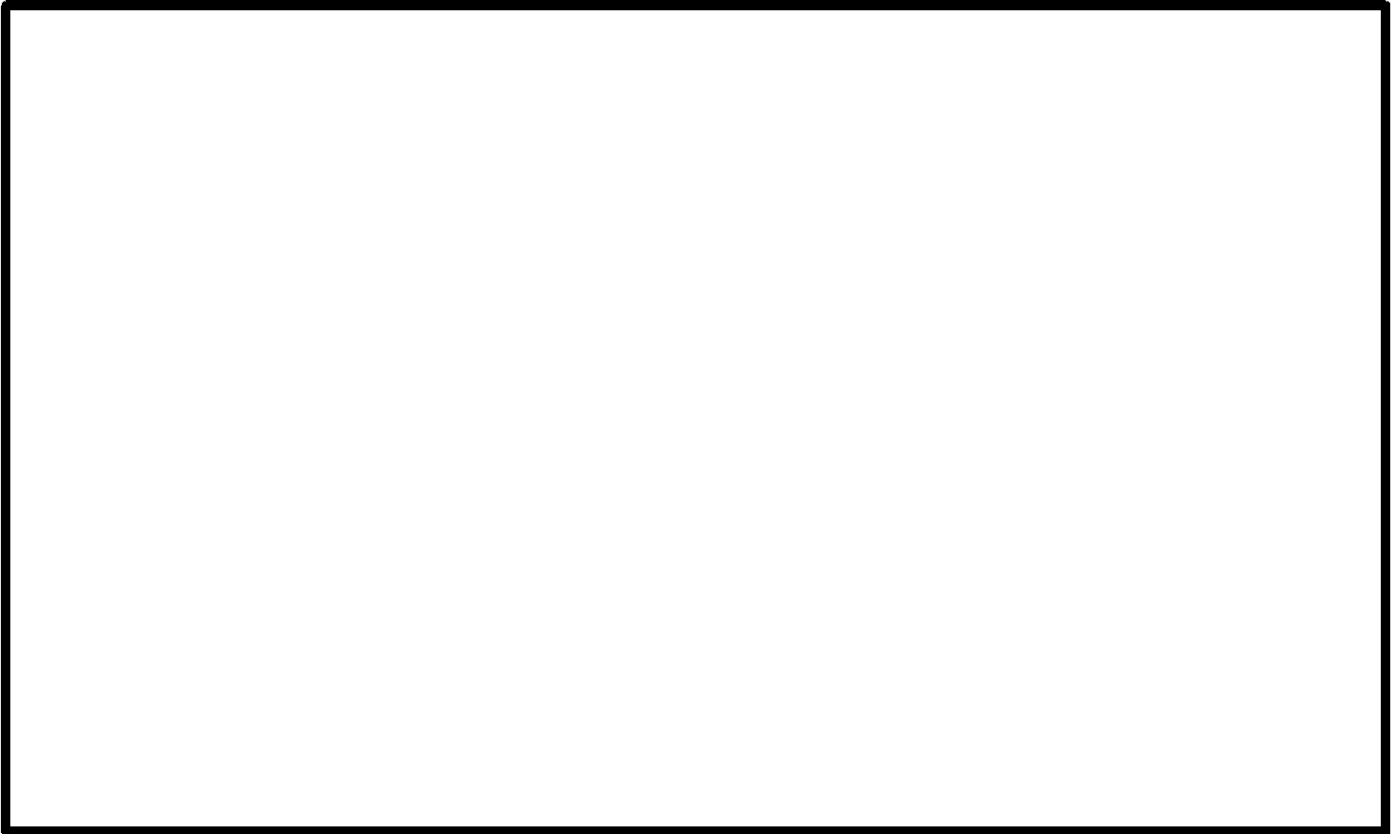


No EB-5 reform bill has yet been passed, and the regional center program was most recently extended without change through December 9, 2016.

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Challenges

- In response to the exponential increase in EB-5 program usage in recent years, USCIS initiated steps to update the EB-5 regulation. USCIS established an internal working group in FY 2014 to draft potential regulatory changes and held a listening session with stakeholders. In FY 2015, however, these regulatory changes were eventually set aside in anticipation of reform legislation, which would have necessitated different regulatory action. Because the reform legislation did not pass, USCIS is renewing its efforts to update the EB-5 regulation, and is working toward publishing a Notice of Proposed Rulemaking.
- In the past, the Secretary has sought from Congress a number of statutory enhancements to the program's integrity, including greater discretion to deny or revoke cases when necessary, authority to exclude people with criminal backgrounds from participating in EB-5 regional centers, and authority to require regional centers to certify compliance with U.S. securities laws.

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Milestones

Recent Security and Operational Enhancements

- USCIS created IPO in Washington, D.C. to handle EB-5 matters. The agency invested in IPO by hiring staff with expertise in economics, law, business, finance, securities, and banking to enhance consistency, timeliness, and integrity within the program. A dedicated team of attorneys from USCIS Office of Chief Counsel advise on program-related legal matters.
- USCIS created a Fraud Detection and National Security EB-5 Division (FDNS EB-5) and embedded its personnel within the Immigrant Investor Program Office (IPO) to work alongside adjudications officers.
- USCIS has expanded security checks to cover regional center businesses and individuals participating in the program, and recently completed a memorandum of understanding with the Financial Crimes Enforcement Network (FinCEN) to further expand access to its holdings and services.
- USCIS has partnered with several other government agencies including the U.S. Securities and Exchange Commission and U.S. Immigration and Customs Enforcement to strengthen the EB-5 program, and has hosted case agents to collaborate in furtherance of the agencies' individual missions.
- FDNS EB-5 has language expertise to translate and conduct research in foreign languages.
- FDNS EB-5 completed a pilot in FY 2016 to conduct random site visits for project locations and anticipates incorporating the lessons learned from the pilot and expanding the existing Administrative Site Visit and Verification Program to regularly include EB-5 random site visits. USCIS is hiring additional officers who

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will be primarily dedicated to conducting EB-5 site visits.

- USCIS developed and tested a procedure to interview EB-5 petitioners by video conference at the time they seek to remove the conditions on their conditional permanent residence, and conducted 11 such interviews in FY 2016. IPO plans to increase the use of interviews in FY17.
- USCIS has undertaken a more robust review of existing regional centers and terminated more regional centers in FY 2016 than in any previous year. Lists of approved and terminated regional centers are posted on the USCIS web site to improve program transparency and facilitate investor due diligence.
- USCIS has assigned more than 20 Fraud Detection and National Security professionals to work on this program exclusively. Additionally, USCIS provides ongoing anti-fraud related training to assigned staff. USCIS works to investigate specific cases where fraud indicators have been identified. USCIS has also created interagency relationships to help better identify potential fraud.
- In addition to EB-5 related training, USCIS staff assigned to this program have received training in securities-related red flags, the identification of fraudulent documents and money laundering, and international banking. FDNS EB-5 staff receives training in conducting anti-money laundering and financial fraud investigations from the Federal Law Enforcement Training Center (FLETC). Additionally, training is held each month to highlight fraud trends and the results of fraud related referrals.

Public Input

- In FY 2016, IPO's customer service team responded to nearly 20,000 EB-5-related inquiries.

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- USCIS hosts regular EB-5 stakeholder engagements, which in FY 2016 averaged more than 600 telephonic attendees per engagement.
- Members of Congress contact USCIS in writing, by email and/or telephonically more than 1,500 times per year, on average, about specific EB-5 cases.

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Executive Action on Immigration

Background

On November 20, 2014, President Obama announced a series of executive actions related to immigration reform.

As they relate to USCIS' mission, these initiatives included expanding the population eligible for the existing Deferred Action for Childhood Arrivals (DACA) process, and extending the period of DACA and work authorization; allowing parents of U.S. citizens and lawful permanent residents to request deferred action and employment authorization through Deferred Action for Parents of Americans and Lawful Permanent Residents (DAPA); expanding the use of provisional waivers of unlawful presence; modernizing, improving and clarifying immigrant and nonimmigrant visa programs to support U.S. high-skilled businesses and workers; promoting citizenship education and public awareness for lawful permanent residents and providing an option for naturalization applicants to use credit cards to pay the application fee. In addition, President Obama directed leaders from 16 federal organizations to create a White House Task Force on New Americans (TFNA) to develop a coordinated federal strategy to better integrate new Americans into communities and support state and local efforts to do the same.

On July 15, 2015, President Obama also issued a Presidential Memorandum on "Modernizing and Streamlining the U.S. Immigrant Visa System for the 21st Century." The President directed the Secretary of State and the Secretary of Homeland Security to develop recommendations, in consultation with stakeholders and experts, to reduce government costs, improve services for applicants, reduce burdens on employers, and combat waste, fraud, and abuse in the system; ensure that policies, practices, and systems use all of the visa numbers that Congress provides for and intends to be used, consistent with demand; and modernize the information technology infrastructure underlying the visa processing system with the goal to reduce redundant systems, improve the experience of applicants, and enable better oversight.

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Current Status

Due to a federal court order, USCIS suspended implementation of expanded DACA and DAPA.

The Employment Authorization for Certain H-4 Dependent Spouses final rule published on May 26, 2015.

The Expansion of Provisional Unlawful Presence Waivers of Inadmissibility proposed rule was published on July 22, 2015. The final rule was published on July 29, 2016, and became effective on August 29, 2016.

Clarifying guidance for L-1B adjudications was published on August 18, 2015.

Since September 2015, naturalization applicants can pay fees by check, money order, or credit card.

Revisions were made to the Visa Bulletin to ensure the maximum number of visas is issued every year and to better align with the procedures used by the Department of State for foreign nationals who seek to become U.S. permanent residents from abroad.

Draft guidance clarifying the extreme hardship standard that must be met to obtain a waiver when a visa is immediately available was published on October 7, 2015. Final guidance was published on October 21, 2016, with an effective date of December 5, 2016.

The Retention of EB-1, EB-2, and EB-3 Immigrant Workers and Program Improvements Affecting High-Skilled Nonimmigrant Workers proposed rule was published on December 31, 2015.

The TFNA submitted a Strategic Action Plan on Immigrant and Refugee Integration to the White House in April 2015 and a one year progress report in December 2015. In June 2016, the TFNA hosted a National Skills and Credential Institute in Washington, DC and published a *Bright Spots in Welcoming and Integration* report highlighting welcoming initiatives being carried out by cities and counties across the country.

The Improving and Expanding Training Opportunities for F-1 Nonimmigrant Students with STEM Degrees and Cap-Gap Relief for All Eligible F-1 Students final rule was published on March 11, 2016.

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Final guidance on determining whether a job offer is considered to be in a “same or similar” occupational classification for INA 204(j) portability adjudications was published on March 21, 2016.

The International Entrepreneurs proposed rule was published on August 31, 2016.

Challenges

Navigating the internal clearance process

Ensuring that deadlines for form revisions and rule publication are met

Coordinating with relevant component and external agencies

Milestones

Finalize the Expansion of Provisional Unlawful Presence Waivers of Inadmissibility rule.

Finalize policy guidance on extreme hardship determinations in inadmissibility waivers.

Clarify the standard for national interest waivers to include foreign investors, researchers and entrepreneurs.

Finalize the Retention of EB-1, EB-2, and EB-3 Immigrant Workers and Program Improvements Affecting High-Skilled Nonimmigrant Workers rule.

Issue proposed regulation to grant parole to international entrepreneurs.

Issue guidance on Notices to Appear in line with the Secretary’s enforcement priorities.

H-1B Nonimmigrant Visa Program

Background

- The H-1B nonimmigrant classification is for aliens coming to the United States temporarily to perform services: in a specialty occupation; of an exceptional nature relating to certain types of projects administered by the U.S. Department of Defense; or as a fashion model of distinguished merit and ability.
- There is a congressionally-mandated numerical limitation (cap) of 65,000 H-1B visas that can be granted per fiscal year for new employment with some exceptions, including:
 - the first 20,000 petitions approved by USCIS where the beneficiary has obtained a U.S. master's degree or higher from a nonprofit or public U.S. institution of higher education;
 - petitions filed on behalf of beneficiaries who will work at nonprofit or public U.S. institutions of higher education or related or affiliated nonprofit entities, nonprofit research organizations or governmental research organizations; and,
 - petitions filed between now and December 31, 2019 on behalf of beneficiaries who will work only in Guam or the Commonwealth of the Northern Mariana Islands.
- Petitions filed on behalf of H-1B workers who have been counted previously against the numerical limitation and are applying for the time remaining on their 6-year maximum H-1B authorized period of admission also do not count towards the congressionally mandated annual H-1B cap.
- DHS regulations limit the filing of H-1B petitions to no sooner than 6 months before the date of intended employment. Employment based on cap-subject petitions can

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start on or after the first day of the relevant fiscal year, so the earliest date cap-subject H-1B petitions can be filed is April 1 in the preceding fiscal year. USCIS will continue to receive cap-subject petitions until it is determined that a sufficient number of petitions have been received to meet the statutory cap. On the day that the cap is met, USCIS may conduct a computer-generated random selection process (commonly known as a "lottery") to determine which petitions received on that day will be accepted under the numerical limitations and which will be rejected. If the cap is met on any of the first five business days in which petitions for a fiscal year may be filed, USCIS will instead place petitions received during those first five days in the lottery, not just those received on the specific date the cap was met. When conducting a lottery, USCIS takes into account that some petitions may be denied, revoked, or withdrawn and makes estimates on the amount of petitions that need to be accepted so that all cap numbers will likely be used.

- The initial period of validity and extensions for H-1B specialty occupation petitions are issued in increments of up to three years. An H-1B nonimmigrant worker's total period of authorized admission generally cannot exceed six years, with certain exceptions under the American Competitiveness in the Twenty-First Century Act of 2000 (AC21).
- Fees associated with the filing of an H-1B petition include a base petition fee of \$325¹⁷; an American Competitiveness and Workforce Improvement Act (ACWIA) fee for initial petitions, including change of employer petitions, and the first extension filed by the petitioner for certain beneficiaries, of \$1,500 for petitioners with more than 25 employees or \$750 for petitioners with 25 or fewer employees. Initial H-1B petitions or change of employer petitions also require a \$500 Fraud Prevention and Detection fee. Additionally, a \$4,000 Public Law 114-113 fee is required for initial H-1B petitions or change of employer petitions if the petitioner employs 50 or more employees in the United States and if more than 50% of those employees are in H-1B, L-1A, or L-1B status.

¹⁷ Under the new fee rule, the base filing fee for an I-129 petition will be \$460. The new rule is effective 12/23/16.

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Current Status

- On April 7, 2016, USCIS received a sufficient number of petitions to reach the statutory cap and advanced degree exemption for Fiscal Year (FY) 2017. As such, petitions received on the first five business days were subjected to a lottery run on April 9, 2016 to select a sufficient number of petitions needed to meet the caps of 65,000 for the general category and 20,000 under the advanced degree exemption limit.
- Based on the overall increase in H-1B filings, processing times for certain H-1B petitions are currently over one year. These processing times have created problems for certain H-1B beneficiaries for whom employment authorization is automatically extended for up to 240 days after the expiration of the beneficiary's I-94 Arrival/Departure record, when the same petitioner files a timely extension of stay petition. After this 240 day period, if the petition is not adjudicated, the beneficiary will have to cease employment until the H-1B petition is adjudicated.

Challenges

- On June 2, 2016, two petitioners whose petitions were rejected in the FY17 cap, along with the two H-1B beneficiaries, filed a lawsuit in federal court seeking class certification (on behalf of all H-1B cap petitions rejected since FY13) challenging USCIS on the H-1B lottery process claiming that the H-1B lottery and USCIS rejection of petitions after the cap has been met violates immigration laws. The lawsuit is currently pending.
- On April 9, 2015, the USCIS Administrative Appeals Office (AAO) issued a precedent decision *Matter of Simeio Solution, LLC (Simeio)*. The decision, which is binding upon the agency, stated that a change in the place of employment to a geographical area that requires a new corresponding Labor Condition Application from the Department of Labor is a material change in the terms and conditions of employment and the petitioner must file an amended or new H-1B petition. On July 21, 2015, USCIS issued a Policy Memorandum providing additional guidance based

on the *Simeio* decision. The policy memorandum granted a safe harbor period for employers to come into compliance with *Simeio*.

- Some stakeholders have expressed concern regarding the *Simeio* precedent decision claiming that the requirements to file an amended or new petition are very costly and time consuming for companies who have a mobile workforce.
- The *Simeio* precedent decision is not a new policy but a clarification of existing legal requirements within DHS regulations regarding when an H-1B petitioner must file an amended or new H-1B petition.
- Decreasing processing times: USCIS is monitoring the H-1B workload and other workloads to determine if additional capacity can be transferred to the H-1B workload. USCIS has also set up a process for which employer/representatives can submit an SRMT inquiry with the National Customer Service Center for any extension of stay petition pending over 210 days.

Milestones

Recent and future milestones related to the H-1B program include:

- Balancing the completion of all FY17 cap petitions with the extension of stay workload to ensure petitions are adjudicated before any lapse in employment authorization.
- On July 1, 2016, the Nebraska Service Center began accepting Form I-129 for H-1B and H-1B1 (Chile/Singapore Free Trade) petitions if the petitioner requests a continuation of previously approved employment without change with the same employer. This was implemented to redistribute the workload and decrease H-1B processing times.

(b)(5)



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H-2A Nonimmigrant Visa Program

Background

General Information

- The H-2A nonimmigrant visa program provides employers with temporary and seasonal workers to fill agricultural jobs in the United States for which qualified U.S. workers are unavailable.
- There is no annual cap on the number of H-2A nonimmigrant visas that may be issued.
- Generally, U.S. Citizenship and Immigration Services (USCIS) may grant the H-2A classification for up to the period of time authorized on the temporary labor certification (TLC). The H-2A classification may be extended in increments of up to 1 year each. The maximum period of stay in H-2A classification is 3 years.
- Generally, a person who has held H-2A nonimmigrant status for a total of 3 years must depart and remain outside the United States for an uninterrupted period of 3 months before seeking readmission as an H-2A nonimmigrant.
- USCIS generally may only approve H-2A petitions for nationals of countries the Secretary of Homeland Security, in consultation with Department of State (DOS), has designated as eligible to participate in the program. However, USCIS may approve H-2A petitions for nationals of countries not on the list if it is determined to be in the interest of the United States.

The Overall Petition Process

- USCIS is the component of the Department of Homeland Security (DHS) that adjudicates H-2A petitions. Before filing Form I-129, Petition for a

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Nonimmigrant Worker, with USCIS for H-2A workers, petitioners must generally obtain a single, valid TLC from Department of Labor (DOL). DOL must issue a certification determining that there are not sufficient able, willing, and qualified U.S. workers available to perform the temporary or seasonal agricultural employment; and the employment of the H-2A nonimmigrant workers will not adversely affect the wages and working conditions of similarly employed U.S. workers.

- After receiving an approved TLC, petitioners file Form I-129 with USCIS. Once USCIS approves Form I-129, the prospective H-2A workers who are outside the United States must:
 - Apply for an H-2A visa with DOS at a U.S. Embassy or Consulate abroad and then seek admission to the United States with U.S. Customs and Border Protection (CBP) at a U.S. port of entry, or
 - Where permissible, directly seek admission to the United States in H-2A classification with CBP at a U.S. port of entry in cases where an H-2A visa is not required.
- Since 2007, the adjudication of Form I-129 petitions filed by employers seeking H-2A classification for their workers have been centralized at the USCIS California Service Center and prioritized for expedited processing. This practice was instituted by USCIS to provide agricultural employers with an orderly and timely flow of workers, without requiring payment of additional fees for an expedited decision, while striving for consistency in the adjudicative process.

Current Status

Anticipated Growth

DOL, DOS, and Stakeholders have all indicated the H-2A program could grow significantly in coming years, driven by increased use of the program by growers in California.

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Challenges

Employer Notifications/Absconders

Regulations generally bar for 5 years applicants for H-2A status who have previously violated the terms of the H-2A program. Regulations also require H-2A petitioners to notify USCIS within 2 workdays when an H-2A worker fails to report for 5 workdays or is terminated. USCIS reviews each notification to determine whether there has been a violation that might invoke the 5-year prohibition and, when appropriate, makes a record in an electronic system which share information with enforcement components within DHS. Enforcing this prohibition principally falls upon DHS enforcement components, such as CBP or ICE, as most H-2A petitions are for unnamed workers.

Milestones

E-Approval

- On May 11, 2016, USCIS and DOS launched a new process that allows USCIS to electronically send approval information for H-2A petitions to DOS by the end of the next business day. DOS will accept this electronic information in place of a paper-Form I-797 approval notice and allow its consular posts to proceed with processing an H-2A nonimmigrant visa application, including conducting any required interview.
- The goal of the e-Approval process is to: reduce delays for U.S. employers that wish to employ H-2A workers; reduce the paperwork between USCIS and DOS; replace the current paper-based USCIS/DOS notification process with an electronic process that is more efficient for customers; and provide greater efficiency and consistency in transmitting information to DOS consular posts.
- The e-Approval process for H-2A petitions is considered a model for potential expansion to other nonimmigrant and immigrant visa classifications. However, by request of DOS, any such expansion is dependent upon USCIS undertaking additional responsibilities scanning and transferring the respective petitions to the Kentucky Consular Center (KCC).

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Pre-Paid Mailers

- On May 11, 2016, USCIS also began using pre-paid mailers provided by petitioners to send out receipt notices for H-2A petitions. This is a change from standard processing at USCIS service centers, which normally use pre-paid mailers only for final decision notices.
- This change was initiated in recognition of stakeholder interest in expediting the delivery of receipt notices for this very time-sensitive classification. It is limited only to H-2A petitions.

Caribbean Visa Exemption

On February 19, 2016, DHS and DOS published a Federal Register Notice eliminating a longstanding visa exemption for certain Caribbean residents coming to the U.S. as H-2A agricultural workers. Prior to this time, these individuals were not required to go through a consular interview or obtain a visa from DOS, and this exception was seen as a potential security risk.

H-2B Nonimmigrant Visa Program

Background

General Information

- The H-2B visa program is for nonagricultural workers coming to the U.S. to perform temporary services or labor. To be considered temporary, the employer's need for the services or labor must be a one-time occurrence, a seasonal need, a peak load need, or an intermittent need.
 - Generally, a person who has held H-2B nonimmigrant status for a total of 3 years must depart and remain outside the U.S. for an uninterrupted period of 3 months before seeking readmission as an H-2B nonimmigrant.
- USCIS generally may only approve H-2B petitions for nationals of countries the Secretary of Homeland Security, in consultation with Department of State (DOS), has designated as eligible to participate in the program. However, USCIS may approve H-2B petitions for nationals of countries not on the list if it is determined to be in the interest of the United States. There is a congressionally-mandated numerical limitation (or "cap") of 66,000 foreign nationals who may be issued an H-2B visa or otherwise granted H-2B status during a Fiscal Year (FY). This is divided evenly between workers beginning employment in the 1st half (October 1 – March 31) and the 2nd half (April 1 – September 30) of the FY. Any unused visas from the 1st half are available in the 2nd half. However, unused visas from one FY do not carry over to the next FY.
- USCIS' role in managing the H-2B cap involves monitoring the number of beneficiaries requested on H-2B petitions and ensuring that the cap is not exceeded.
- The following H-2B petitions are not subject to the congressionally mandated cap:

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- Current H-2B workers in the U.S. petitioning to extend their stay and, if applicable, change the terms of their employment or change their employers;
- Fish roe processors, fish roe technicians or supervisors of fish roe processing; and
- Workers performing labor or services from November 28, 2009, until December 31, 2019, in the Commonwealth of Northern Mariana Islands (CNMI) or Guam.

The Overall Petition Process

- USCIS is the component of the Department of Homeland Security (DHS) that adjudicates H-2B petitions. Before filing Form I-129, Petition for a Nonimmigrant Worker, with USCIS for H-2B workers, petitioners must generally obtain a single, valid temporary labor certification (TLC) from the Department of Labor (DOL) or from the Governor of Guam.
- After receiving an approved TLC, petitioners file Form I-129 with USCIS. Once USCIS approves Form I-129, the prospective H-2B workers who are outside the U.S. must:
 - Apply for an H-2B visa with DOS at a U.S. Embassy or Consulate abroad and then seek admission with U.S. Customs and Border Protection (CBP) at a U.S. port of entry, or
 - Where permissible, directly seek admission to the U.S. in H-2B classification with CBP at a U.S. port of entry in cases where an H-2B visa is not required.

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Current Status

H-2B Cap Methodology

- Pursuant to regulation, USCIS makes projections of the number of petitions necessary to achieve the H-2B cap, taking into account historical data related to approvals, denials, revocations, and other relevant factors. USCIS monitors this information and refines its projections. However, at the time USCIS approves a petition, it is not possible to know whether a given beneficiary will be determined eligible for H-2B visa issuance or be admitted to the U.S. Management of the H-2B cap is not based on real-time visa issuance data and continues to rely upon projections.

H-2B Returning Workers

- H-2B “returning workers” were exempted from the H-2B cap for FY 2016 only. A returning worker is defined as an H-2B worker who was previously counted against the annual H-2B cap during one of the three preceding fiscal years and is certified by the petitioner. The returning worker exemption was previously in place for FYs 2005 through 2007. DOS issued a special H-2R visa to returning workers in this previous iteration but issued regular H-2B visas to such workers in FY 2016.

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Challenges

DOL Processing Delays

- In early 2016, DOL experienced significant delays in the processing of applications for H-2B TLC's. This resulted in considerable pressure on USCIS to make-up for these delays. DOL has messaged to that, due to a lack of resources, similar delays are currently expected in early 2017.

H-2B Workers on Guam

- In early 2016, a significant increase in Requests for Evidence (RFEs) and denials was identified for H-2B petitioners requesting construction workers and nurses on Guam. The construction worker petitions related to the relocation of U.S. armed forces from Okinawa. These extension requests generally exceeded the three-year maximum provided by regulations and thus did not fit within the regulatory definition of a temporary need.
- Recognizing the national interest and serious impact, USCIS has provided technical advice for legislative relief that would, through FY 2028, exempt H-2B employment on Guam in direct support of the military-funded construction or in healthcare from the requirement that it be "temporary." USCIS has also considered potentially providing temporary parole to nurses needed on Guam.
- On October 4, 2016, a putative class action lawsuit was filed in the District of Guam alleging that beginning in June 2015, USCIS changed its interpretation of "peak load" and "one-time occurrence" in the temporary need analysis for H-2B temporary worker petitions. Plaintiffs state that due to this change, the approval rate for H-2B petitions on Guam dropped from 95 percent to 0.3 percent by January 2016. The lawsuit is currently pending.

Milestones

- Beginning in FY2016, USCIS now receives more detailed and more current visa issuance data from DOS than in previous years, which allows improved

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management of the H-2B cap and greater precision.

- Implementation of the FY 2016 Returning Worker program that was enacted into law more than two months after the FY began.

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Customer Profile Management System IDENTity Verification Tool (CPMS-IVT)

The Customer Profile Management System IDENTity Verification Tool (CPMS-IVT) is an Internet-based application that enables United States Citizenship and Immigration Services (USCIS) to verify an applicant's identity before an interview or appearance at a USCIS office.

CPMS-IVT processes, retrieves, and displays biometric and biographic data from the Automated Biometric Identification System (IDENT), the central DHS-wide system for storage and processing of biometric and associated biographic information. CPMS-IVT provides USCIS with the capability to compare an individual's biometric and biographic information to previous biometric encounters contained within IDENT. CPMS-IVT replaces the Secondary Inspections Tool (SIT), contained within IDENT, which was currently in use at USCIS Field and Asylum offices.

USCIS uses CPMS-IVT to verify the identity of the individual at the time of an in-person interview or when the individual appears at an USCIS office to obtain documentation evidencing an immigration benefit. Individuals are required to have their photograph and fingerprints taken at a USCIS office to be entered into IDENT through the CPMS-IVT. The USCIS Immigration Services Officer (ISO) asks the applicant to place two fingers on the fingerprint scanner, which electronically scans and sends them to IDENT for comparison and matching. In addition, the USCIS ISO takes a digital photograph of the benefit requestor, which is stored in the IDENT database.

CPMS-IVT is owned, managed, and supported by USCIS Office of Information Technology (OIT) and does not depend on an external agency for functional reliability. This internal support enables faster modification of system and technological requirements to support USCIS business operations. CPMS-IVT allows IDENT to be searched by multiple query fields such as: A-number; Z-number (an identifying number generated by the Livescan capture software when neither an A-Number or a social

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security number exists for an individual); Encounter Identification (EID); Fingerprint Identification (FIN); and receipt number.

Background

In 2013, USCIS' Field Operations Directorate (FOD) started using the Secondary Inspection Tool (SIT), a resource of the Office of Biometric Identity Management (OBIM, formerly US-VISIT), to achieve one-to-one biometric identity matching. However, because it was originally developed for U.S. Customs and Border Protection (CBP), the SIT tool fell short. The shortcomings with SIT included:

- SIT's response time was typically in the 90-second to 2-minute range;
- Previous encounter photos were not visible until after a biometric submission took place, so ISOs were unable to compare prior encounter photos to the person being processed;
- Due to a lack of input controls and data validation schemes, SIT had numerous data integrity issues which led to mismatches, and ultimately to incorrect A-Numbers being associated with biometrics;
- SIT's biometric matching function was not compatible with Windows 7 (and OIT was required to migrate all machines from Windows XP to Windows 7 by the end of June 2015); and
- SIT required a separate Password Issuance and Control System (PICS) ID username and password instead of a use modern Windows authentication.

Additionally, because USCIS learned in May 2015 that OBIM planned to discontinue support for SIT and decommission the system's one-to-one biometric identity matching functionality, USCIS began contemplating replacements for SIT.

The USCIS Biometrics Division (BD) determined that developing a tool that incorporated existing IDENT capabilities to meet specific requirements of the various USCIS business needs would be the best way to address the above-listed concerns. So, in June 2014, BD began developing CPMS-IVT.

During development, BD provided CPMS-IVT system capability demonstrations to its internal stakeholders across agency directorates. In December 2014 and January 2015, FOD staff presented similar demonstrations to the USCIS employees' union. After the union requested, received, and agreed with a User Acceptance Test plan in early 2015, USCIS proceeded with CPMS-IVT pilot testing and training.

In April 2015, CPMS-IVT Pilot testing began at the Detroit, New Orleans, Philadelphia, and Phoenix field offices. In May 2015, FOD Headquarters produced an after-action report for the pilot, and FOD leadership approved full deployment of CPMS-IVT. FOD then began deploying CPMS-IVT region-by-region. FOD accomplished full deployment in about 30-days, ending in late July 2015.

Current Status

CPMS-IVT is operational and available in all domestic field offices and Application Support Centers (ASCs). On December 30, 2015, FODHQ approved funding to equip every Immigration Service Officer (ISO) and Immigration Officer (IO) who conducts interviews with a fingerprint scanner and camera. USCIS conducted a search for replacement equipment, and the vendor submission review process ended in late March 2016. CPMS-IVT developers tested new equipment and approved a new single-fingerprint scanner for the CPMS-IVT on April 8, 2016.

As of April 14, 2016, CPMS-IVT JETS contract team developers began to fully integrate the new fingerprint scanner into production. The CPMS-IVT developers unfolded, tested, and identified the proper software requirements. After the integration process was completed, production availability occurred on October 1, 2016 to support the new scanner and was deployed into the CPMS-IVT Production Environment.

Other CPMS-IVT enhancements included new scanner model integration and acquiring fingerprint scanners and cameras to be placed on the desks of all interviewing officers. The CPMS-IVT system now conducts real-time verification through the camera and fingerprint scanner at each officer's desk. This will support the Transformation Initiative on Identity Management because CPMS-IVT can be used to biometrically validate the

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identity of an applicant during the naturalization interview. While this will be done outside of ELIS (the electronic case management system that allows USCIS to process certain immigration benefit requests), ELIS allows users to confirm that CPMS-IVT has biometrically verified the applicant's identity. As ELIS expands to encompass more USCIS caseloads, an interface from CPMS-IVT would systematically update ELIS with results of the biometric verification of applicants, petitioners, and/or beneficiaries.

Milestones

Recent and future milestones related to the CPMS-IVT deployment include:

Equipment:

- Procured cameras and fingerprint scanners for all field locations. Each officer in the field has been shipped the required equipment. Developers have determined that the new equipment will be compatible with CPMS-IVT.
- Equipment delivery will not be delayed based on software development.
 - Equipment purchase, delivery, and installation is in progress.

CPMS-IVT Technology Enhancements:

- Linking IVT to the CPMS Query module by the FIN, thereby allowing CPMS Query users to quickly see IVT search results.
- Establishing *Verify Biometrics* functionality to check required fields prior to biometrics collection.
- Enabling IVT search by document (Doc Type, Doc Number, and country of issuance) functionality.
- Adding bar code input as a data capture vehicle.
- Adding Site Code Descriptions which translate the IDENT site codes into descriptions (i.e. Arlington Asylum Office instead of ZAR). This will help users who are not familiar with the three-letter site code designation for every operational location.
- Hosting a fillable FOD Form G-1221 (CIV-CPMS-IVT Verification Worksheet) within CPMS-IVT module.
- OBIM technical assessment for testing server capacity or throughput.

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- Throughput was tested at the Newark (NEW) Office from 10/17/2016 to 10/21/2016.
- All NEW ISOs conducting interviews for permanent residency and naturalization adjudications are utilizing CPMS-IVT with success on a daily basis.
- All NEW Customer Service Officers are utilizing CPMS-IVT with success on a daily basis for customers appearing for information or to obtain proof of an immigration benefit.

Implementation:

- CPMS-IVT biometrics collection was tested in Newark Field Office from October 17-21, 2016, with successful results.
- More than 80 officers collected biometrics to biometrically verify every customer's identity.
- Full implementation of biometrics verification for all customers across all USCIS field offices is in the final planning stage. The Newark test proved that CPMS-IVT can be used across the country but requires use of updated computer equipment. Older model computers showed a 25% failure rate while newer machines showed a 100% success. 100% CPMS-IVT verifications will be implemented in every field office based on USCISs equipment refresh schedule.

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USCIS Immigration Statistics and Trends

Background

USCIS received and adjudicated more than 8 million immigration and naturalization benefit requests¹⁸ in FY 2015. Although USCIS grants many types of benefits, the two most prominent in terms of resource requirements are for lawful permanent resident status (immigrants) and U.S. citizenship (naturalized citizens). Over the past 5 years the number of persons granted lawful permanent resident status has averaged about 1 million persons a year, while the number of persons naturalized averaged about 700,000. The percentage of the U.S. population that is foreign born has grown from 4.7 percent in 1970 to 13.3 percent in 2014.¹⁹ The number of naturalized citizens has grown from 6.2 million to 20.0 million over the same period.

Current Status

Approximately 97 percent of USCIS' 2016 budget is funded through fees accompanying most benefit requests. The annual number of benefit requests has increased recently (from 5.9 million in 2009 to 8.1 million in 2015) allowing for increases in adjudicative staff (from 4,700 in FY 2009 to 5,700 in FY 2016). Contributing to the increase in requests over this period was the introduction of Deferred Action for Childhood Arrivals (DACA) beginning in August 2012. As of July 2016, about 741,000 persons have been approved for DACA and 526,000 of those persons have been approved for renewal.

As of May 2016, total receipts were approximately 12 percent above projections due to higher than expected benefit requests for the fiscal year: naturalization applications (+20 percent above projections); immigrant worker petitions (+41 percent); family immigrant adjustments (+14 percent); employment authorization (+12 percent); and credible fear

¹⁸ *Benefit request* means any application, petition, motion, appeal, or other request relating to an immigration or naturalization benefit, whether such request is filed on a paper form or submitted in an electronic format, provided such request is submitted in a manner prescribed by DHS for such purpose. 8 CFR 1.2.

¹⁹ Unauthorized migration is difficult to estimate, but may have accounted for about one third of the growth in the foreign born population of 33 million between 1970 and 2014.

referrals (+149 percent). This increase in benefit request filing volume has contributed to the overall increase in backlogs in 2016.²⁰

Challenges

USCIS (formerly INS) has traditionally experienced periodic backlogs in requests resulting in delays in processing time for customers. Backlogs typically grow following the introduction of new, major benefits or programs or fee increases. Following legislation that increased the number of persons eligible for benefits in 2001 under the LIFE Act, for example, the number of pending applications reached 6 million in 2003. Pending requests were reduced by nearly half to 3.3 million as of February 2007, but then increased to 5.1 million due to a surge in applications in 2007 related to planned fee increases, a historic election, and a sudden (temporary) increase in the number of persons eligible to file for lawful permanent resident status based on an offer of employment. The number of pending requests was reduced to 1.9 million by February 2010, but has been growing steadily since then to 3.8 million as of May 2016—still well below recent historical highs in 2003 and 2007.

The increase in pending requests since 2010 is atypical because of its gradual nature despite no new major policies other than DACA and provisional unlawful presence waivers. Although provisional waiver volumes are not as high as DACA, the number of hours devoted to their adjudication is significant. The growth in the number of receipts has outpaced hiring and there is evidence that productivity has decreased over the past 5 years for many benefit requests (see appendix charts for completion rates by form type). The issue of building adjudicative capacity is discussed in a separate issue paper titled “Building Capacity.”

There is no single answer as to the reasons for the decreases in productivity. Possible factors are increases in benefit request complexity, additional security checks, difficulties in hiring personnel, and learning curves associated with the need to shift resources to competing priorities. An initiative within the Quality Workplace Program (QWP) introduced in December 2013 may have also affected productivity. The QWP initiative

²⁰ Backlogs refer to the volume of cases that fall outside targeted processing times. Pending refers to all cases waiting a decision. Backlogged cases are a subset of pending cases.

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removed production metrics from annual performance appraisals and switched the rating emphasis towards quality of USCIS work, being centered on USCIS mission, and designed to foster teamwork and collaboration.

With the growth in backlogs, 11 out of USCIS' 16 major benefit requests are outside of their respective goals for processing time as of March 2016. The adjustment of status application goal, for example, is 4.0 months, but it was estimated to take 6.6 months to process. The major request with the longest processing times is for victims of criminal activity, U nonimmigrant status, (21.7 months compared to the goal of 4.0 months).

USCIS has also experienced relatively higher increases in humanitarian applications (refugees, asylees, credible fear, and victims of criminal activity), applications for which there is no fee. In addition, a growing number of fee waivers are being sought and granted for fee-based, petitions, and requests. USCIS currently has a Notice of Proposed Rule Making scheduled to be finalized in December 2016 that will increase fees by 21.7 percent on average. The most recent fee increase took place in 2010. The appendix includes detailed charts providing data on the number of receipts, completions, pending requests, backlogged requests, officer hours devoted to adjudication, and hours per completion (completion rate) for the leading USCIS requests. The data cover the period from October 2009 to May 2016.

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Intercountry Adoptions

Background

- USCIS National Benefits Center (NBC) and USCIS international offices process applications and petitions related to intercountry adoptions. These adjudications include:
 - Determining the eligibility and suitability of U.S. prospective adoptive parents looking to adopt a child abroad, and
 - Determining the eligibility of an adopted child to immigrate to the United States under U.S. immigration law.
- The Hague Convention on Protection of Children and Co-operation in Respect of Intercountry Adoption (Hague Adoption Convention, Convention, or Hague) entered into force for the United States on April 1, 2008. The Convention establishes safeguards and guidelines for the intercountry adoption process and requires that decisions be made in the best interests of the child.
- In order to process new immigration petitions filed by U.S. citizens on behalf of children habitually resident in countries that also have ratified the Hague Adoption Convention, the Department of State, as the U.S. Central Authority under the Convention, often in consultation with USCIS, must first certify that the country can meet its Hague obligations. If the country can, the Hague process must generally be followed. This includes the need for prospective adoptive parents to work with a U.S. adoption service provider who is accredited or approved to conduct such services in accordance with Department of State Hague accreditation standards.

Adoption cases not governed by the Hague Adoption Convention follow a separate process called the “Orphan” or non-Hague process. The Intercountry Adoption Universal Accreditation Act of 2012 extended Hague accreditation standards to non-Hague cases. The Universal Accreditation Act seeks to enhance the integrity of the

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intercountry adoption process by requiring that adoption service providers comply with the same accreditation standards as those in Hague Adoption Convention cases.

In countries where USCIS does not have a presence, DHS has delegated limited authority to the Department of State to approve clearly approvable orphan petitions on behalf of USCIS.

Current Status

- Intercountry Adoption Statistics:
 - In FY2012, the Department of State issued 8,668 intercountry adoption-related immigrant visas.
 - In FY2013, the Department of State issued 7,094 intercountry adoption-related immigrant visas.
 - In FY2014, the Department of State issued 6,441 intercountry adoption-related immigrant visas.
 - In FY 2015, the Department of State issued 5,648 intercountry adoption-related immigrant visas.

- For FY2015, the top three Hague countries from which U.S. citizens adopt are:²¹
 - China (2,354 Incoming Adoptions)
 - Bulgaria (185 Incoming Adoptions)
 - Latvia (170 Incoming Adoptions)

- For FY2015, the top three non-Hague countries from which U.S. citizens adopt are:²²
 - Ethiopia (335 Incoming Adoptions)
 - South Korea (318 Incoming Adoptions)
 - Ukraine (303 Incoming Adoptions)

²¹ Statistics represent visas issued by the Department of State and may not align directly with the number of applications and petitions adjudicated by USCIS.

²² *Ibid.*

Challenges

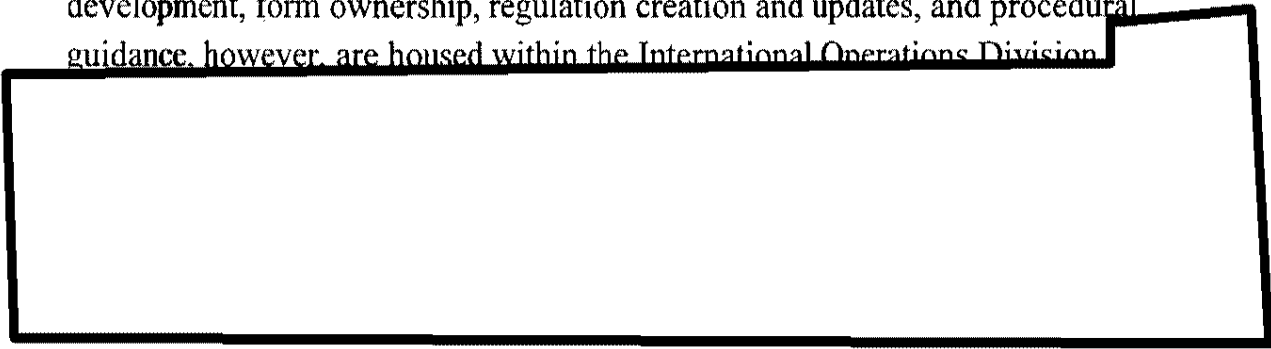
- Some stakeholders have expressed concern that the U.S. implementation of the Hague Adoption Convention and the Universal Accreditation Act have contributed to the decline of intercountry adoptions to the U.S. Other potential reasons for the decline include countries improving their own child welfare systems and domestic adoption options, the impact of certain countries (e.g., Russia) prohibiting U.S. citizens from adopting children from their country, and increased utilization of assisted reproductive technologies by U.S. citizens.
- The number of intercountry adoptions has decreased in the last decade. There is significant Congressional and stakeholder interest to reverse this trend and make overall improvements to the intercountry adoption system in the United States.

Milestones

Recent and future milestones related to the intercountry adoptions include:

- There is a proposal to reorganize intercountry adoption processing and policy development within USCIS. The NBC is responsible for all Hague cases and domestically filed orphan cases. USCIS International Operations Division is responsible for processing some orphan cases that are filed abroad. All policy development, form ownership, regulation creation and updates, and procedural guidance, however, are housed within the International Operations Division.

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USCIS Information Sharing and Privacy-Related Issues

Background

The USCIS Office of Privacy is responsible for ensuring that personally identifiable information USCIS collects, maintains, and uses is protected and disclosed within the bounds of law, policy, and mission necessity. USCIS receives requests for data from internal and external partners. The Office of Privacy plays a critical role in ensuring the data collected and stored in USCIS systems of records is protected under the Privacy Act of 1974, statutory, regulatory, and DHS policies.

Current Status

- **USCIS actively shares information with DHS and external partners.** USCIS enters into information sharing agreements with federal and state agencies, federal law enforcement, intelligence, foreign government, and benefit granting agencies. The Office of Privacy supports the development of the agreements and any alterations to the agreement through the lifecycle of the arrangement.

Requests for Information (RFIs) meeting certain criteria established by DHS are processed through the Single Point of Service (SPS) with DHS Office of Intelligence and Analysis (I&A) as the lead and the USCIS Fraud Detection and National Security Directorate (FDNS), Intelligence Division (ID) as the designated data steward. FDNS consults with the Office of Privacy on non-routine requests.

USCIS also shares information through ad-hoc requests made by partners from federal, state, local, tribal, and territorial authorities through our Field Operations. Requests are typically for application status, either directly by the affected individual or by third party representation, to include legal representation.

- **Data sharing needs to continue to increase and evolve.** Protecting the country from ever-evolving, transnational threats requires a strengthened homeland

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security enterprise that shares information across traditional organizational boundaries. DHS continues to enter into information sharing agreements with additional partners to ensure that it uses all available permissible information available for a secure homeland. DHS and DHS Components are expected to reciprocate by making DHS information available to information sharing partners.

Challenges

Special Protected Classes. USCIS administers benefits for certain individuals who are afforded additional statutory, regulatory, and policy restrictions on disclosure beyond the Privacy Act of 1974. With the expanding sharing of data through automated methods, USCIS is challenged to develop the appropriate controls and filtering for each data set.

- **Sharing immigration information for purposes beyond the immigration process.** One challenge for the Office of Privacy is ensuring the data collected for immigration purposes is shared appropriately and in compliance with the Privacy Act of 1974.
- **Ensuring that information shared is continually protected by the partner.** Privacy protections must extend to all data sharing partners. While information sharing agreements outline the restrictions on use, without effective auditing of the partner's handling of the data, USCIS cannot guarantee the partner is in compliance. RFI data exchanges rarely include restrictions on use of the data.
- **One DHS Policy:** The DHS Policy for Internal Information Exchange and Sharing, known as "One DHS," presumes that DHS components are considered one agency for purposes of sharing under the Privacy Act. However, given the sensitivity of certain USCIS data and restrictions on sharing, USCIS has adopted a best practice of memorializing certain types of internal sharing through formal information sharing and access agreements even where there is not a specific policy requirement to do so. In doing this, there remains a risk that program personnel may be unaware that such agreements exist and may assume that data

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can be shared per the "One DHS" rule without restriction.

- **Consent for Third Party Disclosure:** Individuals request for their information to be disclosed to a third party. There is currently no approved form for individuals to consent to this sharing (in cases when there is not an applicable Privacy Act exception and the records subject is not available to release the records himself).

Milestones

Recent and future milestones related to the information sharing and privacy-related issues include:

Recent creation of Information Sharing Officer position (Completed FY16 Q3);

- **Domestic Law Enforcement:** transition from direct connection to the Department of Justice's Next Generation Identification (NGI) to going through IDENT to allow more control over data sharing;

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K-1 Visa Program Review

Background

On December 2, 2015, Syed Rizwan Farook and Tashfeen Malik used firearms to attack a holiday office party in San Bernardino, California. The attack resulted in the deaths of 14 individuals. A post-attack review of the assailants' identity and citizenship status showed that Tashfeen Malik entered the United States on a K-1 nonimmigrant visa based on her being the fiancée of Syed Rizwan Farook, who was a U.S. citizen.

The K-1 visa program allows a U.S. citizen to seek admission of a foreign national fiancé(e) living abroad to the United States to marry. The K-1 visa process is initiated when the U.S. citizen petitioner files Form I-129F, Petition for Alien Fiancé(e). The petition is filed centrally at the USCIS Lockbox facility in Dallas, Texas. The Form I-129F must include evidence showing:

- The petitioner's identity and U.S. citizenship;
- The termination of all prior marriages for the U.S. citizen petitioner and his/her fiancé(e);
- The intent of the U.S. citizen and fiancé(e) to marry within 90 days of the fiancé(e)'s admission into the United States as a K-1 nonimmigrant;
- That the U.S. citizen petitioner and his/her fiancé(e) have met in person in the two years prior to filing the Form I-129F (although USCIS may waive this requirement if the petitioner establishes that meeting in person would violate strict and long-held customs of the U.S. citizen petitioner or his/her fiancé(e)'s foreign cultural or social practice or would result in extreme hardship to the U.S. citizen petitioner); and

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- If the petitioner was convicted of certain crimes, court and police records showing the charges and disposition of every such conviction. The petitioner may request waiver of filing limitations due to these convictions by submitting a signed, dated letter and supporting evidence demonstrating why a waiver should be granted.

In addition to the Form I-129F and supporting evidence, the U.S. citizen petitioner must file Form G-325A, Biographic Information, for both himself or herself and his or her fiancé(e).

An initial review of the Form I-129F, and all supporting documentation is done by USCIS. If the relationship appears valid and there are no indicators of fraud or other derogatory information based on a review of the documents and a check of TECS, the Form I-129F generally is approved. Approved Forms I-129F are then sent to the U.S. Department of State for overseas processing at the embassy with jurisdiction over the fiancé(e)'s place of residence. The parties must marry within 90 days of the fiancé(e)'s admission into the United States as a K-1 nonimmigrant. Upon marriage to the petitioning U.S. citizen, the K-1 nonimmigrant immediately becomes eligible to apply for adjustment of status.

Applications for adjustment of status, including those based on an underlying Form I-129F, which present fraud indicators or other derogatory information, are subject to additional scrutiny, including interviews, site visits, and additional background checks to verify the information provided.

Current Status

DHS, in coordination with the U.S. Department of State, has undertaken a review of the K-1 nonimmigrant visa process to identify and develop strategies to strengthen processing for K-1 nonimmigrant visas and subsequent adjustment of status cases following the San Bernardino attack of December 2, 2015. USCIS' Field Operations Directorate (FOD) has jurisdiction over applications for adjustment of status to lawful permanent residence filed by K-1 nonimmigrant visa entrants and has begun implementing the recommendations of the joint working group. FOD has begun implementing recommendations across four areas:

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- Form and information collection,
- Officer training,
- K-1 interview techniques, and
- Use of social media.

Challenges

USCIS is working on the logistics for mandating the interview for certain K-1 nonimmigrant adjustment of status applications, particularly for applicants from countries designated as a country of concern.

USCIS is developing guidance on how to use the results of social media searches in K-1 visa petitions, adjustments of status, and other USCIS benefit applications, including determining when the information is derogatory and may be used to support further inquiry or a potential denial. This guidance will form the basis for broader guidance for social media use. USCIS is also developing pilots to test the lead-based use of social media for all types of adjudications, not just K-1 visa petitions. Additionally, as semi-automated processes and tools for social media screening are developed and made available through the DHS Social Media Center of Excellence (COE), USCIS will increasingly turn to the COE to assist USCIS in its social media vetting of immigration applicants.

Mass Migration and Caribbean Steady State

Background

The United States seeks to transform the historic pattern of irregular Caribbean boat departures into a safe, legal and orderly migration flow. U.S. migration policy in relation to its neighbors is an outgrowth of the policy considerations each country represents.

U.S. migration policy in relation to Cuba has two complementary goals: to encourage legal migration through the expanded opportunities provided under the Joint Communiqué of September 4, 1994; and to deter illegal boat departures through the direct return of irregular Cuban migrants under the Joint Statement of May 2, 1995.

U.S. migration policy in relation to its other Caribbean neighbors is rooted in the desire to balance safety of life at sea while also protecting those migrants in accordance with the principles of our international humanitarian obligations.

Current Status

The United States has a long-standing policy of providing all migrants interdicted at sea, whether in the Caribbean region or elsewhere, with a meaningful opportunity to seek protection from persecution or torture. It is U.S. practice to provide a credible fear screening for any interdicted migrant who expresses or indicates, verbally or physically, a fear of return to their country of origin.

USCIS does not have nationality specific screening standards. The credible fear standard is applied uniformly to any interdicted migrant who claims to fear return or torture. There are, however, two exceptions to U.S. policy of requiring migrants to affirmatively identify themselves as fearing return. In the case of Cuban and Chinese migrants, the U.S. Government has adopted individualized processes for identifying individuals who may fear return as a result of the unique circumstances under which these two interdiction programs developed.

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Cubans nationals are interviewed by a USCIS official and given the opportunity to state why they believe they cannot be returned to Cuba. This practice was introduced as part of the implementation of the 1995 direct return agreement signed with the Government of Cuba and, as a result, all Cubans interdicted at sea are provided credible fear screenings.

In the case of Chinese migrants, USCIS has adopted individualized processes for identifying individuals who may fear return. Questionnaires are administered to interdicted Chinese migrants who are being smuggled into the United States and who are unlikely to come forward for fear of retribution from their smugglers.

For other nationals, the U.S. Coast Guard will refer a migrant to USCIS upon manifestation of fear of returning to country of origin. This manifestation of fear applies to all interdicted migrants, including migrants from Haiti and the Dominican Republic.

Refugee Affairs Division coordinates closely with the U.S. Coast Guard to conduct protection screening of interdicted migrants. USCIS maintains a constant presence in Key West, Florida, where a trained Protection Screening Officer is on call with the U.S. Coast Guard 24 hours a day to conduct protection screening interviews of migrants interdicted at sea. Generally, there is one officer stationed in Key West, and this staffing level is adequate for steady state migration interdictions.

Individuals found to have protection concerns on board a cutter in the Caribbean region are transferred to the Naval Station Guantanamo Bay for further screening and processing. There, USCIS officers conduct an interview to determine whether the migrants have a well-founded fear of persecution or torture. Those who demonstrate such well-founded fear are referred to the care and custody of the Department of State at Naval Station Guantanamo Bay, pending the identification of a third country which will accept them for resettlement. Such individuals are not brought to the United States in order to reduce the incentive for inherently dangerous irregular maritime departures.

Mass Migration Planning

USCIS works regularly with several other DHS components to plan for a possible "surge" or mass migration event in the Caribbean. The Homeland Security Task Force

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Southeast (HSTF-SE) – an interagency task force established by Secretary Ridge in 2003 – has the lead to oversee and coordinate a unified response. Operations Plan (OPLAN) Vigilant Sentry, or OVS, is HSTF-SE's single, comprehensive, integrated national plan for a rapid, effective, and unified response by federal, state, and local capabilities to a mass migration in the Caribbean. HSTF-SE provides the organizational framework to facilitate the deployment of resources and assignment of forces to participating agencies. The primary objectives of OVS are to protect the safety of life at sea; to deter illegal or unsafe migrant departures; and to interdict, screen, protect or repatriate, and detain migrant populations as necessary and appropriate to maintain the security of the United States. OVS reaffirms the U.S. government's longstanding commitment to preserve the availability of meaningful protection screening for interdicted migrants by adapting screening practices to address a dynamic migratory flow. OVS identifies the resources necessary to ensure that protection screening of migrants can be continuously maintained. USCIS' goal is to ensure that with the screening mechanisms and assets executed under OVS, there will be no need to abandon, even temporarily, protection screening of migrants intercepted at sea.

Challenges

The number of Cuban migrants interviewed by Refugee Affairs Division is increasing, from 1,912 in FY 2014 to 2,779 in FY 2015. In FY 2016, as of July 12, 2016, 3,201 Cuban migrants have been interviewed at sea. Despite intensified U.S. prosecution of maritime smugglers and continued overland migration, irregular maritime migration by Cuban migrants is expected to continue.

Milestones

Recent and future milestones related to the issue include:

In FY 2016, the Refugee Affairs Division updated the Mass Migration Emergency List. Currently 106 Asylum officers have volunteered to be tasked together with Refugee officers in the event of a migration surge.

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Military Naturalization

Background

Since October 1, 2001, USCIS has naturalized over 100,000 members of the military, with approximately 11,000 of those service members becoming citizens during USCIS naturalization ceremonies in 34 foreign countries: Afghanistan, Albania, Australia, Bahrain, China (Hong Kong), Cuba (Guantanamo), Djibouti, El Salvador, Georgia, Germany, Greece, Haiti, Honduras, Iceland, Iraq, Italy, Jamaica, Japan, Jordan, Kenya, Korea, Kosovo, Kuwait, Kyrgyzstan, Libya, Mexico, the Philippines, Qatar, South Korea, Spain, Thailand, Turkey, United Arab Emirates and the United Kingdom. These numbers include totals from FY15.

USCIS established the Naturalization at Basic Training Initiative in August 2009 with the Army to give noncitizen enlistees the opportunity to naturalize when they graduate from basic training. Under this initiative, USCIS conducts all naturalization processing including the capture of biometrics, the naturalization interview and administration of the *Oath of Allegiance* on the military installation. Since 2009, USCIS has expanded the initiative to all the military branches, giving enlistees of all branches equal opportunity to complete basic training as U.S. citizens, in most cases.

Current Status

Currently, USCIS provides support for military installations nationwide either on base or through our outreach efforts. Thus far, our on base support includes: Sacramento, Fresno, and San Diego, CA; Chicago (Great Lakes Naval Base), IL; Ft. Leonardwood, MO; Ft. Lee, VA; Ft. Benning, GA; Ft. Jackson, SC; and Ft. Sill, OK. USCIS also provides support to Kirtland, NM and Lackland Air Force Bases, TX as well as surrounding military bases near Buffalo, NY.

Furthermore, USCIS provides continuous support to the U.S. Armed Forces through quarterly meeting with members of the U.S. Department of Defense.

Challenges

Current challenges that USCIS is faced with include transitioning the pre-processing of naturalization applications from those serving in the military from the Nebraska Service Center to the National Benefit Center. We are also working to update our online publications as well as the military publications to reflect the most current and accurate information to be distributed to our service members nationwide and abroad. Through collaboration within the agency and with the various entities involved in military naturalization, a plan has been put in place to make the transition as smooth as possible.

USCIS continues to face challenges regarding the timely processing of required background checks. This can impact processing of a service member's application and may hinder USCIS' ability to naturalize a service member prior to his or her completion of basic training. However, USCIS makes every effort to ensure that those service members who met the requirements are naturalized while they attend Advanced Individual Training (AIT) or before they move to their permanent duty station.

Milestones

Recent and future milestones related to the military naturalization include:

USCIS is working to establish on base support to Ft. Sill, OK supported by the Oklahoma City Field Office. On June 22, 2016, the U.S. Department of Defense and USCIS completed a Memorandum of Agreement. USCIS anticipates becoming a permanent presence on Ft. Sill by December 2016.

The Nebraska Service Center (NSC) is currently engaged in data entry for Form N-400 applications. As of June 2016, the National Benefits Center (NBC) completes pre-processing for those cases before they are forwarded to field offices for completion. As early as December 21, 2016, FOD hopes to completely transfer the pre-processing workload from the NSC to the NBC.

USCIS Policy Manual Overview

Background

The USCIS Policy Manual is the agency's comprehensive and centralized repository for adjudication and customer service policies.²³ The Policy Manual will ultimately replace the Adjudicator's Field Manual (AFM), the USCIS Immigration Policy Memoranda site, and other policy repositories. USCIS created the Policy Manual as the result of an extensive and ongoing comprehensive review of our adjudication and customer service policies to improve quality, transparency, and efficiency.

The Policy Manual is designed to ensure that USCIS policies and decision-making standards are transparent and easily readable. The Policy Manual is organized into different volumes, parts, and chapters that present policies in a logical and sequential manner. The format is designed to adapt easily to structural changes in immigration law and policy. The Policy Manual includes charts, graphs, and process flow maps to facilitate decision-making and transparency in adjudicative and customer service practices.

Current Status

USCIS continues to work on drafting the remaining unpublished sections of the Policy Manual and to update sections of existing content as needed.

Challenges

Currently, USCIS policies reside in many different repositories, including:

- Federal Register Publications, including notices and supplementary information explaining legacy INS and USCIS rulemakings
- The Adjudicator's Field Manual
- Affirmative Asylum Procedures Manual
- Refugee Adjudications Manual

²³ USCIS released the Policy Manual through its website in January 2013, see <https://www.uscis.gov/policymanual/HTML/PolicyManual.html>

- USCIS and legacy INS policy memoranda
- Legacy INS Operations Instructions and Interpretations
- Legacy INS letters to constituents addressing particular policy topics

Consequently, USCIS officers encounter difficulties accessing policy guidance pertinent to their particular cases and reconciling conflicting and fragmented policy guidance. Equally important, past policy guidance was not written in plain language making it difficult for officers and the public to understand. USCIS continues to work on updating agency guidance in plain language and to supersede and consolidate policies that currently reside in different repositories.

Milestones

Recent and future milestones include:

- Since January 2013, USCIS has published 24 parts in 6 volumes of the Policy Manual, plus 25 subsequent updates to those published parts.²⁴

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²⁴ See USCIS Policy Manual Updates page, <https://www.uscis.gov/policymanual/HTML/PolicyManual-Updates.html>

Reasonable Fear Claims

Background

Similar to credible fear determinations in expedited removal, reasonable fear determinations serve as a screening mechanism to identify potentially meritorious protection claims for further consideration by an IJ. Interim regulations²⁵ require asylum officers to make reasonable fear determinations in two types of cases referred by other DHS officers: in the case of an alien against whom a final administrative order of removal is issued (INA Section 238(b); or in the case of an alien subject to re-instatement of a prior order of exclusion, deportation, or removal (INA Section 241(a)(5)). These classes of aliens are ineligible for all forms of relief from deportation, or removal and would be removed without being placed in removal proceedings before an immigration judge. Nevertheless, they may be entitled to withholding of removal or deferral of removal, two forms of protection from removal under the U.S. laws that implement the *non-refoulement* provisions of the Refugee Convention and the Convention Against Torture.

When an individual enters the United States illegally after having been removed or after having left the United States voluntarily under an order of exclusion, deportation, or removal, DHS may reinstate that prior order. If an individual is deportable because they were convicted of an aggravated felony after admission to the United States, then DHS may issue a final administrative removal order. When an individual is subject to one of these administrative orders and expresses a fear of return, the individual will be referred to a USCIS asylum officer for a reasonable fear screening.

- If the asylum officer finds that an individual has established reasonable fear, the individual is afforded the opportunity to apply for withholding of removal and/or protection under the Convention Against Torture before an immigration judge.

²⁵ 8 C.F.R. 208.31; 64 Fed. Reg. 8478 (February 19, 1999)

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- If the asylum officer finds that an individual has not established a reasonable fear, the individual may ask an immigration judge to review the USCIS determination. If the immigration judge reviews the USCIS determination and determines that the individual has established a reasonable fear, the individual is afforded the opportunity to apply for withholding of removal and/or protection under the Convention Against Torture. If the immigration judge concurs with the asylum officer's negative determination, no further review is available and the individual may be removed.
- If the asylum officer finds that the individual has not established a reasonable fear and the individual does not ask for an immigration judge to review the USCIS determination, the individual is subject to removal.

To ensure integrity in the screening context, DHS institutes numerous measures to prevent abuse of the system. These measures include mandatory biographic and biometric checks prior to referral and during the reasonable fear process, mandatory supervisory review of all determinations, and an assessment of the individual's credibility.

Individuals who are subject to reinstatement of removal or a final administrative removal order are generally subject to detention throughout the reasonable fear process.

Current Status

On October 27, 2015, the United States District Court for the Northern District of California granted final approval of the settlement agreement for Alfaro Garcia, et. al. v. Johnson, et. al., Case No. 4:14-cv-01775-YGR (N.D. Cal.). The agreement provided that absent exceptional circumstances, USCIS will achieve a 10.49 court day national average for processing reasonable fear determinations and any case over 20 court days must be reported to the Asylum Division Chief. USCIS has decreased the average reasonable fear determination timeframe from 62.4 calendar days in fiscal year 2013 to the current processing timeframe of 7.3 court days.

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USCIS continues to see an annual increase in reasonable fear referrals from CBP and ICE. The Asylum Division received approximately 9,632 reasonable fear referrals in fiscal year 2016. For individuals residing in ICE's family residential centers, the Asylum Division received approximately 971 reasonable fear referrals in fiscal year 2016. The Asylum Division, in fiscal year 2016, also made approximately 710 positive reasonable fear determinations and approximately 235 negative reasonable fear determinations for individuals residing at the ICE family residential centers.

Challenges

Since DHS opened new FRCs at Dilley and Karnes, USCIS has been sending asylum officers to these sites to conduct credible and reasonable fear interviews. The high volume of individuals asserting fear claims in the expedited removal, reinstatement of removal, and administrative removal processes has placed a strain on DHS resources. USCIS has prioritized the processing of these detained credible fear and reasonable fear cases, often at the expense of its affirmative asylum caseload, which has grown 499% since fiscal year 2013 to approximately 194,986 pending cases in fiscal year 2016.

Milestones

Recent and future milestones related to the reasonable fear claims include:

At the time the reasonable fear rule was promulgated in 1999, the number of cases subject to the reasonable fear process was far smaller than today. The number of reasonable fear referrals increased from 205 referrals in fiscal year 2001 to 9,632 referrals in fiscal year 2016, a 4,599% increase.

Non-Delivery of Secure Documents

Background

The USCIS Customer Service and Public Engagement Directorate (CSPED) manages the agency's intake and resolution of millions of customer inquiries, oversees a multifaceted engagement platform with a broad variety of customers and stakeholders, and develops new technology to foster a positive customer experience.

In FY 2015, USCIS mailed more than 4 million Permanent Resident Cards (Green Cards) and Employment Authorization Documents to customers. Currently, USCIS mails most secure documents through the U.S. Postal Service (USPS) Priority Mail with Delivery Confirmation, which allows USCIS customers to stay up-to-date on the delivery status of their documents.

USCIS customers, however, are not required to sign for their documents. Further, the current process only tracks the delivery of the document to the destination city, state, and zip code – not to the street address. Therefore, issues such as mail delivered to the wrong mailbox, misinterpreted delivery address, misplacement/loss of a mail piece, mailbox theft, and loss of mail due to mishandling/damage by the carrier cannot be entirely avoided.

The non-delivery of secure documents is a significant issue for customers who do not receive their documents. Not only do they lack proof of status that the document provides, they often must reapply for the document, and in many cases pay the fee again. Additionally, secure documents that are lost or stolen could fall into the hands of unscrupulous individuals who could use the documents for illicit purposes. This poses a threat to the integrity of the immigration system.

The USCIS National Customer Service Center (NCSC) receives about 14 million telephone calls each year. Non-delivery of secure documents is one of the top three reasons for customer inquiries. In the last four years, the number of service requests for non-delivered documents rose 42 percent from 220,235 in 2012 to 312,860 in 2015. Each year, non-delivery accounts for about 22 percent of all service requests. In FY 2015,

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92,645 service requests were created just for non-delivery of Green Cards, a 119 percent increase over FY 2013.

Current Status

In 2014, CSPED began to take a closer look at the non-delivery of secure documents. CSPED examined several USPS delivery options, including signature confirmation, certified mail, restricted delivery, and hold for pickup. Hold for pickup was the only option that increased delivery security at no additional cost to the customer.

Agency leadership ultimately approved a 6-month pilot using the hold for pickup option for Form I-90 filers. Participation in the pilot will be fully optional, and it will be available to both electronic and paper filers.

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Challenges

Customers—Convincing customers that having a secure document held for pickup at the post office is in their best interest may be the greatest challenge. It is convenient to have a secure document mailed to your house. It is less convenient to go to the post office to pick it up. Only when faced with the prospect of paying the filing fee again to replace a missing card may customers see the value of the hold for pickup option. As a result, promoting the pilot and explaining the benefit in having the card held for pickup will be key.

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Refugee Processing

Background

The United States Refugee Admissions Program (USRAP) is a complex interagency effort involving a number of governmental and non-governmental partners both overseas and in the U.S., including:

- Department of State/Bureau of Population, Refugees and Migration (PRM)
- United Nations High Commissioner for Refugees (UNHCR)
- Resettlement Support Centers (RSC)
- Department of Homeland Security (DHS)
- Department of Health and Human Services/Office of Refugee Resettlement (ORR)
- International Organization for Migration (IOM)
- Domestic Non-Governmental Organizations

An annual refugee admissions ceiling is established by the President, in consultation with the Congress. The process leading to that annual determination was established by the Refugee Act of 1980, incorporated into Section 207 of the Immigration and Nationality Act (INA). The Secretary of State traditionally serves as the Cabinet member presenting the President's proposal at the Consultations. The Department of Homeland Security (DHS) has been represented by the USCIS Director and has been accompanied by the directors of the Refugee, Asylum, and International Operations Directorate, Refugee Affairs Division, and Congressional Relations, along with a representative of the Office of Chief Counsel.

Following the Consultations, the Department of State (DOS) drafts a Presidential Determination for signature by the President, which establishes the overall admissions levels and regional allocations. The Department of State has the lead in arranging the Consultations.

Also on an annual basis, processing priorities are established that determine which of the world's refugees are "of special humanitarian concern to the United States," i.e., eligible

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to be considered for possible resettlement in the United States. The priorities currently in use are:

P-1: UN High Commissioner for Refugees, U.S. Embassy, or non-governmental organization (NGO) identified cases, including persons facing compelling security concerns, women-at-risk, victims of torture or violence and others in need of resettlement

P-2: groups of special concern identified by the U.S. refugee program (e.g., Bhutanese in Nepal)

P-3: family reunification cases (i.e., spouses, unmarried children under 21, and parents of persons lawfully admitted to the U.S. as refugees or asylees or persons who are legal permanent residents or U.S. citizens who previously had refugee or asylum status)

Eligibility for refugee status is decided on an individual, case-by-case basis. A USCIS officer conducts a personal interview of the applicant that is non-adversarial and designed to elicit information about the applicant's claim for refugee status. During a refugee interview, an officer confirms the basic biographical data of the applicant; verifies that the applicant was properly given access to the USRAP; determines whether the applicant has suffered past persecution or has a well-founded fear of future persecution, on the basis of political opinion, religion, nationality, race, or membership in a particular social group in their home country; determines whether the applicant is firmly resettled and is admissible to the United States; and assesses the credibility of the applicant.

Current Status

For FY 2016, the Presidential Determination (PD) set an admissions ceiling of 85,000 individuals, which was 15,000 higher than the ceiling set in FY 2015. For FY 2017, the White House has announced an admissions ceiling of 110,000.

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Challenges

The nature and location of refugee processing activities often lead to unexpected delays or cancelations, as many processing locations have volatile security situations and host country processing limitations. The proportion of complex cases (e.g., Syrian) has increased, requiring more time to interview and process, while less complex cases with historically high approval rates (e.g., Nepal and Thailand) have declined. The Refugee Affairs Division also faces challenges with staffing levels as admissions ceilings increase, which it is addressing with aggressive hiring efforts.

Milestones

Recent and future milestones related to refugee admissions include:

- In an effort to reach the goal of 10,000 Syrian refugee admissions in FY 2016, the USCIS Refugee Affairs Division successfully completed a large scale operation in Amman, Jordan in which USCIS officers interviewed 11,648 individuals. As of June 3, 2016, of the 79,925 interviews conducted worldwide by USCIS officers in FY 2016, 19,004 were Syrians.
- From FY 2013 to FY 2015, USCIS admitted approximately 99.9% of its target admissions ceiling of 70,000, admitting 69,926 refugees in FY 2013, 69,986 refugees in FY 2014, and 69,933 in FY 2015.

Social Media

Background

USCIS use of social media is governed by DHS Directive 110-01, "Privacy Policy for Operational Use of Social Media." This policy requires USCIS to receive approval from the DHS Privacy Office regarding the privacy implications of any planned operational use of social media. USCIS use of social media also requires authorization from senior agency leadership.

FDNS, in collaboration with the USCIS Refugee, Asylum, and International Operations Directorate (RAIO) and the USCIS Field Operations Directorate (FOD), and DHS partners, including Science and Technology (S&T) and the Office of Intelligence and Analysis (I&A), has also conducted several pilots leveraging the use of social media in the screening and vetting process for certain refugees and certain applicants for adjustment of status. Pilot efforts to date include:

- Refugee Pilot 1: During Q1 of FY15, USCIS, in collaboration with DHS I&A, the Intelligence Community, and the Department of Defense (DOD), implemented social media review on 35 denied Syrian Refugee cases.

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- Refugee Pilot 3: USCIS tested the use of a social media tool created by the Defense Advanced Research Projects Agency (DARPA) to screen against Instagram, Twitter, and the deep and dark webs. USCIS screened 200 pending FY16 Q1 Syrian refugee cases (approximately 1,200 individuals) identified for enhanced screening through the DARPA tool in order to assess its capabilities. FDNS encountered a number of challenges, limitations, and inefficiencies with the tool and concluded that it did not meet USCIS needs for social media screening.

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- Refugee Pilots 1, 2, and 3 Results: Although applicant data was successfully used to identify some applicants' social media accounts, the information in the accounts did not yield clear, articulable links to national security concerns, even for those applicants who were found to pose a potential national security threat based on other security screening results.
- K-1 Pilot: In January 2016, USCIS conducted social media research on certain K-1 (fiancé) adjustment cases in three ways:
 - Approximately 1,469 cases of K-1 applicants for adjustment of status were reviewed using the Giant Oak commercial social media screening applications under an ICE contract.
 - The same 1,469 cases were initially screened with the support of DHS S&T using Babel Street, a commercial application. Forty-one of these cases that were pending an interview with a USCIS Field Office were subsequently prioritized for analyst review and evaluation.
 - Staff at the USCIS National Benefits Center manually searched and reviewed Twitter, Facebook, and Google on 245 K-1 adjustment applicants.
 - The results of this vetting, including the Giant Oak review, the Babel Street review, and the manual review, were compiled in a final report that identified a number of lessons learned and detailed the challenges in utilizing social media for screening purposes.
- 50-50 Pilot/Refugee Pilot 4: In January 2016, in collaboration with DHS S&T, USCIS ran data from 50 Iraqi and 50 Syrian refugee applicants and their family members through Babel Street to review social media. The pilot found that this group of individuals had minimal presence on U.S.-based social media platforms accessible through Babel Street (or other social media applications). No derogatory information was identified or associated with the pilot data set.
 - The results of this vetting were compiled in a final report that identified a number of lessons learned and detailed the challenges in utilizing social media for screening purposes.

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Current Status

In accordance with the Social Media Expansion Plan for Refugees Concept of Operations (CONOPS), FDNS continues to deploy a risk-based phased approach for the expansion of social media review for refugees. Currently, FDNS relies on a manual process to review Facebook for cases referred to FDNS for Syrian enhanced review. In July 2016, FDNS will begin manually reviewing Facebook, Twitter, and Instagram accounts for cases referred to FDNS for Syrian enhanced review and for Syrian and Iraqi Controlled Application Review and Resolution Program (CARRP) cases.

As of November 4, 2016, USCIS has conducted social media screening on approximately 2,898 refugee cases or approximately 11,971 individuals. At this time, no refugee applications have been denied solely based on social media information.

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FDNS, a part of the DHS Social Media Task Force, continues to collaborate with partner components and agencies to explore semi-automated solutions. DHS S&T is currently undergoing an acquisition process to evaluate a number of commercially-available tools to determine if any meet the operational requirements of USCIS and other DHS components that possess a need to access social media information for lawful purposes. USCIS, for both manual searches and semi-automated searches currently in operation, only seeks access to publically available social media information for the purposes of screening and vetting, in accordance with privacy, civil rights, and civil liberties oversight.

As of November 4, 2016, no immigration benefits have been denied solely or primarily because of information uncovered through social media vetting. In a small number of cases, information discovered through social media screening had limited impact on the processing of those cases – specifically in developing additional lines of inquiry. In cases of benefit denial, the denial was based on information found outside of social media, such as through routine security and background checks, or uncovered during an interview.

Challenges

- The process of social media screening and vetting necessitates a labor intensive, manual review in which officers must first attempt to assess whether the content relates to an individual with a pending immigration benefit request. Even if information that definitively relates to such an individual is found, authenticity, veracity, social context, and whether the content evidences indicators of fraud, public safety, or national security concern are often difficult to determine with any level of certainty, but may be helpful in developing additional lines of inquiry when adjudicating the benefit request.
- There are several technical challenges to semi-automated use and access of social media that DHS is working to overcome, such as employing and collating social media data for large numbers of applicants; efficiently automating search algorithms; automated language translation; and resolving a person's online identity. In addition, there are further technical limitations. Specifically, USCIS cannot access messages in peer-to-peer messaging systems or the back-end data of

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social media platforms, nor does it seek to access this information.

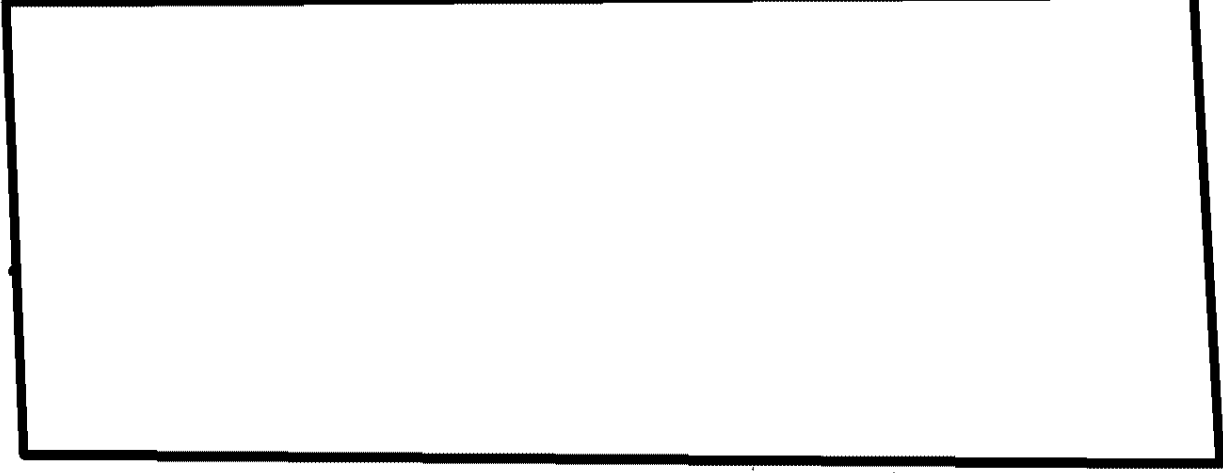
- The social media review that FDNS currently conducts is relatively limited because FDNS does not have the same authorities as other components, which limits our searches and the value derived from them.
- Having FDNS personnel dedicated to mass social media screening diverts them away from conducting the more targeted enhanced vetting they are well trained and equipped to do. USCIS is working now on developing greater social media vetting capability on that kind of case-by-case referral basis.
- Content obtained from social media is often in languages other than English and requires translation support.

Milestones

Future milestones related to the Social Media include:

- FDNS will continue a risk-based expansion of social media screening

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Special Immigrant Juveniles

Background

Special Immigrant Juvenile (SIJ) is an immigration classification for certain foreign-born children present in the United States who have been abused, neglected, or abandoned by a parent. SIJ classification is sought by filing a Petition for Amerasian, Widow(er), or Special Immigrant (Form I-360). Petitioners may concurrently file an Application to Register Permanent Residence or Adjust Status (Form I-485) provided a visa is available and they are otherwise eligible.

SIJs are subject to the employment-based fourth preference (EB-4) numerical limits, which is shared with other categories of special immigrants (e.g., religious workers). Visas for special immigrants may not exceed 7.1 percent of the annual worldwide employment-based immigration limit. In addition, no more than 7 percent of visas in a given category can be issued to beneficiaries from a particular country.

The Citizenship and Immigration Services Ombudsman (CISOMB), in its 2014 and 2015 Annual Reports, recommended the centralization of SIJ adjudications to improve quality and consistency of decisions. During April 2015, USCIS' Senior Policy Council endorsed centralization of the SIJ program.

Current Status

USCIS' Field Operations Directorate (FOD) has jurisdiction over SIJ petitions (Form I-360) and SIJ-based adjustment of status application (Form I-485). On November 1, 2016, USCIS implemented centralized adjudication of SIJ based Form I-360 and Form I-485 at the National Benefits Center (NBC) while retaining discretion to refer to Field Offices for interview as necessary.

Preparations for centralization included the development of:

- Updated policy guidance related to both the petition and application to adjust status;

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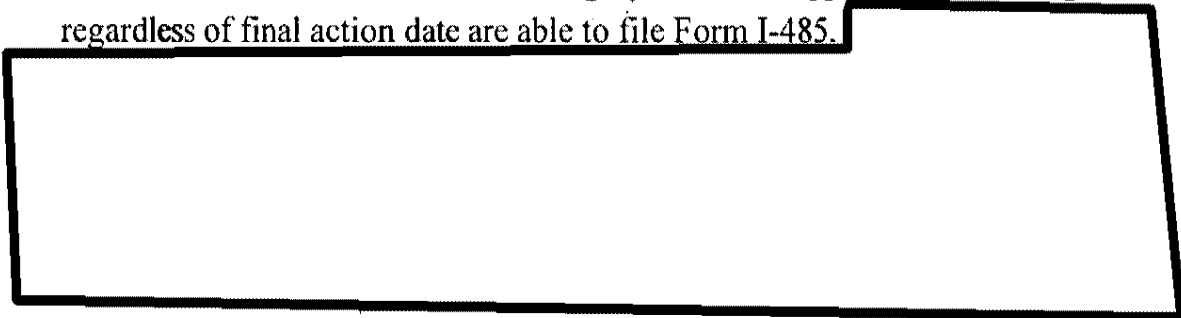
- Updated operational guidance for publication in the Consolidation Handbook of Adjudication Procedures (CHAP); and
- New training materials related to the adjudication of SIJ based petitions and applications to adjust status.

Challenges

The number of SIJ petitions filed with USCIS has been steadily increasing. In 2010, USCIS received 1,646 SIJ petitions, compared with 19,532 during FY 2016. This has resulted in a significant increase in Employment Based 4th Preference (EB4) visa usage by SIJs. The Department of State (DOS) issued 3,174 EB4 visas to SIJs in FY 2014 and 4,742 in FY 2015. During FY 2016 DOS issuance of EB4 visas reached the allotted cap of approximately 10,000.

- The increased demand of visa usage has resulted in El Salvador, Honduras, and Guatemala exceeding their yearly visa allotment by mid-April 2016, with Mexico exceeding by June 30th, and India exceeding by July 31st. As a result, the final action date (priority date) for the affected countries regressed to January 1, 2010. For FY 2017, the October visa bulletin indicated El Salvador, Guatemala, and Honduras' final action date advanced to June 15, 2015, and Mexico and India became current in the EB4 category. The November visa bulletin advanced El Salvador, Guatemala, and Honduras' final action date to July 15, 2015 and Mexico and India remained current.
- For October and November 2016, USCIS instructed EB4 applicants to use the "Dates for Filing Employment Based Preference Applications" and which shows all countries as current in the EB4 category. All EB4 applicants, including SIJs, regardless of final action date are able to file Form I-485.

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- Recently, there have been instances of fraud related to certain SIJ filings. USCIS became aware of petitioners who presented false information to state judges to obtain a court order showing that they were abused, abandoned, or neglected. The USCIS Fraud Detection and National Security Directorate (FDNS) has been vigilant in investigating fraud in the SIJ program, which has strengthened the integrity of the SIJ program.
- Stakeholders have expressed concern that USCIS adjudicators sometimes seek clarification when information in the applicant's immigration record differs from information contained in a court order. Stakeholders believe that this is overreaching and USCIS should not review the factual findings made by state courts and that USCIS give deference to state court orders. Extensive guidance has been provided to adjudicators as to when it may be appropriate to request additional evidence or clarification in these circumstances.

Milestones

Recent milestones related to the SIJ Program include:

- Expanded outreach initiatives and updated informational resources made available;
- Publication of updated policy guidance and CHAP procedures;

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- Delivery of updated training materials; and
- Centralization of the adjudication of SIJ petitions and applications.

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Terrorism-Related Inadmissibility Grounds (TRIG)

Background

Individuals who engage in terrorist activity as defined in section 212(a)(3)(B) of the Immigration and Nationality Act (INA) are barred from admission to the United States and from receiving many immigration benefits. “Engaging in terrorist activity” can range from provision of material support²⁶ to a terrorist organization to committing acts including, but not limited to, the use of weapons, explosives, or dangerous devices (other than for mere monetary gain), with intent to endanger the safety of individuals.

The Secretaries of Homeland Security and State, in consultation with each other and with the Attorney General, may exercise discretionary authority to exempt certain individuals from a number of inadmissibility grounds under specific circumstances. The Secretaries of Homeland Security and State have issued individual, group-based, and situational exemptions to-date.²⁷

Terrorist organizations may be “designated” by the Department of State (DOS) in accordance with section 219 of the INA, or may be “undesignated” but still fall within the definition of a terrorist organization under the INA. The INA defines an undesignated terrorist organization as a group of two or more individuals who, whether organized or not, engage in terrorist activity or has a subgroup that engages in terrorist activity. Armed resistance groups, including those fighting oppressive regimes, generally fall within the definition of terrorist organizations,²⁸ even where the group has not been explicitly designated a terrorist organization by DOS.

²⁶ Under section 212(a)(3)(B)(iv)(VI), an applicant who commits an act that he or she knows or reasonably should know, “affords material support” for the commission of a terrorist activity, or to (1) an individual the actor knows or reasonably should know has plan to commit or has committed a terrorist activity; (2) to a designated terrorist organization; or (3) to an undesignated terrorist organization (unless the actor did not know or reasonably should not have known that the organization was a terrorist organization) has engaged in terrorist activity. “Material support” includes, but is not limited to, providing “a safe house, transportation, communications, funds, transfer or funds or other material financial benefit, false documentation or identification, weapons (including chemical, biological or radiological weapons), explosives, or training.” Material support has been interpreted extremely broadly to include almost any transaction with or activity in connection with a designated or undesignated terrorist organization, regardless of intent.

²⁷ INA § 212(d)(3)(B)(i).

²⁸ INA § 212(a)(3)(B)(vi)(III).

Through March 31 2016, U.S. Citizenship and Immigration Services (USCIS) has granted 20,358 terrorism-related inadmissibility grounds (TRIG) exemptions to individuals because who pose no danger to the safety and security of the United States. These exemptions were only granted after extensive security checks were conducted, including checks coordinated across multiple agencies, and after a careful case-by-case review of the totality of the circumstances.

Current Status

Individual, Situational, and Group-Based Exemptions

- USCIS has cumulatively granted 20,358 discretionary TRIG exemptions. These exemptions are designed for individuals who pose no danger to the safety and security of the United States and who merit an exercise of the Secretary's discretionary authority. Often, such exemptions serve important policy, humanitarian, and national security interests. The Secretary of Homeland Security has delegated the implementation of situational and group-based exemptions to USCIS, in consultation with U.S. Immigration and Customs Enforcement (ICE).
- Since 2007, USCIS, ICE, DHS OGC, and DHS Policy have participated in a National Security Council (NSC)-led interagency group, with DOS and the Department of Justice (DOJ), to consider situational or group-based exemptions. Exemptions have been exercised for the following categories:
 1. Applicants who: (1) solicited funds on behalf of, or persons for membership in, a terrorist organization while under duress; (2) provided material support to a terrorist organization under duress; (3) received military-type training from a terrorist organization under duress; (4) provided voluntary medical care to a terrorist organization or to members of terrorist organizations;
 2. Applicants who carried out certain activities, under specified circumstances, with specific undesigned groups;²⁹

²⁹ Exemptions have been issued for applications who had activities or associations with one of the following ten groups named in the Consolidated Appropriations Act of 2008: Karen National Union/Karen National Liberation Army (KNU/KNLA); Chin National Front/Chin National Army (CNF/CNA); Chin National League for Democracy (CNLD); Kayan New Land Party (KNLP); Arakan Liberation Party (ALP); Tibetan Mustangs; Cuban Alzados; Karenni National Progressive Party (KNPP); appropriate groups affiliated with Hmong; and appropriate groups affiliated with the Montagnards. Exemptions have also been issued for certain activities with the Iraqi groups that

3. Certain qualified aliens³⁰ with existing immigration benefits under the Limited General Exemption³¹ who: provided material support to, solicited funds for, solicited individuals for membership in or received military-type training from certain qualified undesignated terrorist organizations. Under this exemption, USCIS has released a significant number of cases from hold for adjudication. The majority of applicants benefitting from this exemption are asylees and refugees applying for adjustment of status;
4. Certain applicants who provided certain limited material support or insignificant material support to undesignated terrorist organizations; and
5. A limited number of applicants not eligible for existing categorical exemptions granted by either the Secretary of Homeland Security or the Secretary of State, in consultation with one another and the Attorney General.

Hold Categories

As of March 31, 2016, there are 2,067 TRIG cases that remain on hold. These cases, involving certain categories of applicants who are ineligible for benefits sought due to TRIG, are placed on hold to allow them to be considered for exemptions that may become available in the future. The hold categories currently include:

1. Applicants with certain voluntary activities or associations with an undesignated terrorist organization not otherwise eligible for an exemption;
2. Applicants with certain activities or associations with designated or undesignated organizations under duress for which an exemption does not currently exist; and

opposed the Saddam Hussein regime (Iraqi National Congress (INC), the Kurdistan Democratic Party (KDP), and the Patriotic Union of Kurdistan (PUK)); All India Sikh Student Federation - Bittu Faction (AISSF-Bittu); All Burma Students' Democratic Front (ABSDF); certain Salvadoran groups (Farabundo Marti National Liberation Front (FMLN), Nationalist Republican Alliance (Alianza Republicana Nacionalista or ARENA)); certain Ethiopian and Eritrean groups (Oromo Liberation Front (OLF), Eritrean Liberation Front (ELF), Democratic Movement for the Liberation of Eritrean Kunama (DMLEK), Ethiopian People's Revolutionary Party (EPRP), Tigray People's Liberation Front (TPLF)); Kosovo Liberation Army (KLA); and the Iraqi Uprisings in 1991.

³⁰ Qualified aliens are those who currently possess lawful status in the United States, other than a nonimmigrant status, and who are not in removal proceedings or subject to a final order of removal. The exemption also applies to beneficiaries of asylees or refugees who have filed a Form I-730 Refugee/Asylee Relative Petition. The exemption does not apply to applicants for refugee or asylum status.

³¹ Issued by the Secretary of Homeland Security and published in the *Federal Register* on August 10, 2012.

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3. Applicants who are inadmissible as the spouses or children of aliens described directly above, whether or not those aliens have applied for an immigration benefit.

Exemptions for the Provision of Certain Limited or Insignificant Material Support

On February 5, 2014, the Secretaries of Homeland Security and State, after consultation with the Attorney General, published notices announcing two new exemptions.³² The USCIS policy memoranda for these exemptions were issued on May 8, 2015, and application of these exemptions to eligible cases is ongoing.

- The Certain Limited Material Support Exercise of Authority authorizes exemption for certain applicants who provided limited amounts of material support to an undesignated terrorist organization or to a member of such an organization. Exemption is permitted for routine commercial transactions, routine social transactions, certain humanitarian assistance, and material support provided under substantial pressure that did not rise to the level of duress (referred to as sub-duress pressure). The applicant must establish that he or she did not know and reasonably should not have known that the support he or she provided could be directly used to engage in violent or terrorist activity, and that he or she did not intend to support an undesignated terrorist organization.
- The Insignificant Material Support Exercise of Authority authorizes exemptions for certain applicants who provided insignificant amounts of material support to an undesignated terrorist organization. The applicant must establish that he or she did not know and reasonably should not have known that the support he or she provided could be directly used to engage in violent or terrorist activity and that he or she did not intend to further the undesignated terrorist organization's violent or terrorist activities.

Challenges

Existing TRIG exemptions are vital to advancing the U.S. Government's goal of ensuring national security, public safety, and the necessary flexibility to grant protection or other benefits, including visas, to those whom the United States, after careful analysis, does not

³² The exemptions were not dated when signed by the Secretaries of Homeland Security and State and the Attorney General; they were published in the *Federal Register* on February 2, 2014.

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consider a threat. Existing exemptions were fastidiously crafted to allow us to consider benefit applicants, including refugee and asylum applicants, who pose no danger to the safety and security of the United States. Extensive security checks are required for all individuals who are considered for TRIG exemptions, including checks coordinated across multiple agencies. Moreover, these exemptions are only applied on a case-by-case basis after careful individualized review, and after all required security checks have cleared. Finally, the exemptions are only granted if warranted under the totality of the circumstances in the case being considered.

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Unaccompanied Alien Children and Asylum

Background

The William Wilberforce Trafficking Victims Protection Reauthorization Act of 2008 (TVPRA) provided USCIS with initial jurisdiction over asylum applications filed by unaccompanied alien children (UACs) in removal proceedings. UACs in removal proceedings may file the Form I-589 asylum application with USCIS instead of the Executive Office for Immigration Review (EOIR). Under the TVPRA UACs receive a non-adversarial interview with a USCIS Asylum Officer in the first instance. If USCIS finds the UAC ineligible for asylum, the UAC, just as any referred applicant, can renew his or her asylum application before an EOIR Immigration Judge in an adversarial proceeding.

A UAC is defined by statute as a child under 18 with no lawful immigration status in the United States for whom there is no parent or legal guardian available to provide care and physical custody in the United States. In cases where U.S. Customs and Border Protection (CBP) or U.S. Immigration and Customs Enforcement (ICE) has already determined that the applicant is a UAC, and that determination is still in place on the date the asylum application is filed, USCIS Asylum Officers generally adopt that determination and assume jurisdiction over the application. Asylum Officers do not conduct further fact finding about whether the applicant may have turned 18 years of age or whether a parent or legal guardian later became available to provide care for the child.

Prior to 2013, before adjudicating a UAC's asylum claim, USCIS Asylum Officers determined in every case whether an applicant who entered the United States as a UAC was still a UAC on the date of filing for asylum. Because this was a difficult and time consuming determination that created perverse incentives for parents and children to avoid or conceal reunification, USCIS Asylum Officers no longer re-determine UAC status before taking jurisdiction over the asylum claim of a child who was previously determined to be a UAC.

If CBP or ICE has not already made a determination that an applicant in removal

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proceedings is a UAC, USCIS Asylum Officers make UAC determinations for the purpose of deciding whether USCIS has initial jurisdiction over the asylum application. Asylum Officers determine whether the applicant was a UAC on the date of the initial filing of the asylum application by examining an applicant's age, immigration status, and whether the applicant had a parent or legal guardian in the United States available to provide care and physical custody to him or her on that date.

All Asylum Officers receive specialized training on child-appropriate interview techniques and guidelines for children's asylum claims.

In recognition of the particular vulnerability of UACs, the TVPRA amended the Immigration and Nationality Act to state that the one-year filing deadline does not apply to them.

UACs are not subject to expedited removal or other streamlined removal processes and are therefore not subject to the credible or reasonable fear processes. Instead, UACs whom DHS seeks to remove are placed into removal proceedings before an Immigration Judge. While the Immigration Judge has jurisdiction over the removal proceedings, USCIS has initial jurisdiction over any asylum application filed by a UAC.

Current Status

Most UACs who apply for asylum are from Central America. From fiscal year (FY) 2009 through the third quarter (Q3) of FY 2016, 93 percent of UACs in removal proceedings who applied for asylum were nationals of El Salvador, Guatemala, or Honduras.

Of all UAC applications filed in FY 2016 through Q3, 68% were filed by UACs who entered the United States on or after May 1, 2014. Of those 65%, 25% entered in FY 2014, 60% entered in FY 2015, and 15% entered in FY2016.

Challenges

The high volume of individuals asserting fear claims in the expedited removal, reinstatement of removal, and administrative removal processes has placed a strain on USCIS Asylum Division resources. The Asylum Division has prioritized the processing of these detained cases, often at the expense of its affirmative asylum caseload, which has grown 424% since the end of FY 2013 to over 170,000 pending cases at the end of FY 2016 Q3. Within the affirmative asylum caseload, the Asylum Division currently prioritizes applications filed by UACs for interview scheduling.

Milestones

Recent and future milestones related to UACs and asylum include:

The USCIS Asylum Division is experiencing an increase in the number of asylum applications filed by UACs. In FY 2016 through Q3, USCIS has received a total of 11,140 asylum applications filed by UACs. This is approximately 13% of the total number of asylum applications received by USCIS during the same time period.

In FY 2015, 14,218 UACs applied for asylum with USCIS. This was approximately 17% of the total number of asylum applications received by USCIS in FY 2015. In FY 2014, 2,739 UACs applied for asylum with USCIS. This was approximately 5% of the total number of asylum applications received by USCIS in FY 2014.

Directorate and Program Office Overviews

Customer Service and Public Engagement Directorate

Summary of Component

USCIS' Customer Service and Public Engagement Directorate (CSPED) manages the agency's intake and resolution of customer inquiries through a centralized, multi-tiered system designed to provide clear, accurate and timely responses to complex immigration issues; seeks to proactively explain immigration benefits through community and stakeholder outreach; and develops new technology to support the customer experience.

Customer Service

The USCIS customer service program is comprised of three customer-facing entities that directly engage with customers and stakeholders via phone, email, and written correspondence. Most inquiries to USCIS are from customers seeking more information on pending applications or resolution of issues that have arisen during the adjudication process. The USCIS points of customer service intake are:

- The National Customer Service Center—this is a toll free number and is the primary avenue where customers engage with USCIS.
 - The Center provides telephone assistance to customers calling from within the United States about immigration services and benefits. Service is available in English and Spanish. Customers can engage with three levels of support:
 - Prerecorded Interactive Voice Response (IVR).
 - Tier 1 Customer Service Representatives (contractors) who handle basic inquiries.

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- Tier 2 Immigration Services Officers who handle case-specific and complex inquiries.
- In FY2015, the Center received more than 14 million calls, with about half of the calls resolved by the IVR. About 6.5 million calls were elevated to Tier 1 representatives and 1 million calls were referred to Tier 2 officers for resolution.
- When an inquiry is beyond the Center's scope, the case is referred to the appropriate USCIS field office or service center for resolution. These referrals or "service requests" can also be created by officers in the field, usually when more information is needed to address an applicant's question. The Center created 913,796 service requests in FY2015.
- The Customer Contact Center (CCC)—this is the primary channel for inquiring about electronically filed applications. Customer inquiries are received and responded to primarily through email.
 - In FY2015, the CCC responded to more than 6,000 email inquiries, 1,000 telephonic inquiries, and 8,000 internal service requests. It also serves as a technical help desk that responds to system-related customer inquiries.
- The Customer Assistance and Liaison Office—this team is the lead for resolving sensitive and complex cases and inquiries received from the White House, DHS headquarters and components, USCIS leadership, and other federal agencies. Inquiries are received through email, telephone, and written correspondence.
 - Senior analysts, adjudicators, and team leaders collaborate directly with field offices, service centers, and operational directorates to address customer inquiries and policy/systemic issues. In FY2015, the office addressed more than 9,000 complex customer inquiries and provided direct assistance to the USCIS Ombudsman in resolving inquiries and issues.

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Public Engagement

The USCIS public engagement program consists of a centralized, headquarters-led national outreach effort, which is supported by field offices in communities around the country. Every week, CSPED headquarters staff plan and lead webinars, social media engagements, teleconferences, and in-person meetings on a full spectrum of immigration topics. Periodic in-person conferences with immigration advocates and stakeholders are also coordinated with the participation of the Director and other key USCIS leadership.

CSPED headquarters staff and Community Relations Officers in the field conduct thousands of engagements each year to inform the public about a variety of business and family-based immigrant classifications, humanitarian programs, family reunification initiatives, and the citizenship process. Outreach is conducted in English and other languages to ensure access for Limited English Proficient communities. Within the federal community, CSPED leads efforts to raise awareness about and help combat predatory immigration scams and human trafficking that threaten vulnerable communities.

Major Supporting Initiatives

CSPED has been recognized as a leader in the use of innovation and technology to transform the way in which the federal government interacts with customers and partners with the private sector. CSPED aims to create an enhanced online customer experience by shifting away from traditional call center services to modernized, user-centric, cloud-based digital services and collaborates with federal government and private sector partners to build tools and services that meet the needs of the customer.

Through myUSCIS, a one-stop shop that helps customers navigate the immigration process, CSPED has launched a number of online, mobile-responsive tools:

- *Explore My Options* allows customers to enter a small amount of general information about who they are and what they want to accomplish through the immigration process to narrow down the amount of options available to them under immigration law.

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- *Help Center* offers customers an easy-to-search knowledgebase to ask general immigration questions in their own words, get the answers they need, access to other helpful resources, or inform USCIS if responses were useful.
- *Find a Doctor* provides customers a list of all USCIS authorized doctors in their area.
- *Locate a Class* lets customers to find the resources in their community that will help them prepare for their English and civics tests.
- *Civics Practice Test* helps customers test their U.S. government and history knowledge, in English and Spanish, in preparation for the naturalization interview and recommends additional resources.

In addition, CSPED manages a number of self-help tools that have improved customer service in recent years:

- *Emma* is an online virtual assistant that answers customers' questions in plain English or Spanish in real-time.
- *Case Status Online* provides an easy-to-use platform to check current case status as well as a logged in option for additional information on case history and future actions.
- A *virtual hold* option that allows customers to receive a call back, saving them from having to wait in a calling queue.
- A new *appointment scheduler* that will allow customers to quickly and easily schedule an appointment with any domestic or international USCIS field office from a desktop or mobile device.

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Challenges

USCIS strives to ensure that all customers get the information they need in a timely and appropriate manner so that they obtain the services and benefits for which they are entitled.

In addition to its customer base, CSPED serves a variety of stakeholder communities who support and assist customers, including state, local, tribal, and territorial governments, advocates, community-based organizations, and national associations.

Key Senior Executive Officials

Mariela Melero, Associate Director, mariela.melero@uscis.dhs.gov, (202) 272-1318

Debra Rogers, Deputy Associate Director, debra.a.rogers@uscis.dhs.gov, (202) 272-8532

USCIS Field Operations Directorate

Summary of Component

The USCIS Field Operations Directorate oversees the operations of more than 80 domestic field offices, which are each charged with administering and enforcing the immigration laws of the United States. Specifically, field offices interview applicants for immigration benefits to determine eligibility and provide in-person customer assistance. Each field office is managed by one of 26 districts offices, and each district is overseen by one of four regional offices. The Field Operations Directorate oversees the National Benefits Center in Missouri, whose mission is to prepare immigration benefit applications and petitions for interview in a field office, and to adjudicate a variety of cases such as international adoptions and provisional waivers for unlawful presence. Also, the Directorate manages the Immigrant Investor Program Office which administers the employment-based fifth preference (EB-5) visa program. Field Operations Directorate staffing includes 6,032 federal employees and 2,121 contractors.

Mission

The Field Operations Directorate mission is to ensure efficient adjudication of all applications and petitions for immigration benefits requiring face-to-face interviews, timely action on related ancillary applications and other assigned product lines, provision of direct customer service, immigration information, ensuring the integrity of the immigration system and assistance to applicants, petitioners and beneficiaries.

Key Initiatives

Immigrant Investor or "EB-5" Program: The Immigrant Investor Program Office (IPO) administers the employment-based fifth preference (EB-5) visa program. Congress established the EB-5 Program in 1990 to bring new investment capital into the country and to create new jobs in the United States. The program expanded in 1992 when Congress promulgated legislation to create the Immigrant Investor Pilot Program, which allowed for indirect job creation through pooled investment into regional centers. As of May 2, 2016, there were 834 regional centers throughout the United States. USCIS

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estimates more than \$15B in investments (based on Form I-526 approvals) and 84,000 jobs (based on Form I-829 Petition by Entrepreneur to Remove Conditions approvals) have been created since program inception through September 2015. USCIS is focused on reducing the risk for fraud, preserving our national security, increasing the transparency and consistency of EB-5 adjudications, and further strengthening the operations and integrity of the EB-5 program.

Military Naturalization at Basic Training Program: USCIS has established a process to conduct all aspects of the naturalization process on several US military installations, which allows recruits in basic training to complete the entire naturalization process without having to travel to a USCIS Field Office. USCIS officers conduct the entire process within 8 to 10 weeks, including the oath ceremony, so recruits are sworn in as US citizens before they are deployed overseas and placed in harm's way. Military readiness is improved as members become citizens at the earliest point possible of their military career and are able to petition for benefits for their families.

- In 2011, FOD established the very first USCIS office on a military installation at Ft. Jackson, SC. USCIS now provides Naturalization at Basic Training at all Army, Navy, and Air Force basic training sites. USCIS recently entered an agreement with the US Marine Corps to implement this initiative at Parris Island, SC later this year.
- Since implementation, over 11,000 enlistees have been naturalized through this process.
- On-site USCIS personnel at each installation provide informational services to military and Department of Defense personnel and their families, including education materials and seminars on eligibility requirements and how to apply for immigration benefits.

Challenges

- **Field Operations Domestic Footprint:** The Field Operations Directorate is reviewing the location of its field offices across the United States. As the primary

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source for in-person customer service, field offices should be strategically situated based on USCIS and customer needs. As immigrant centers have changed over time, there are now concentrations of immigrants in areas that are not near any field office. As a result, those customers must travel long distances for in-person services, including interviews.

- With an ever increasing volume of immigration petitions and applications, the demand for services and additional USCIS personnel has also grown. This workload increase directly impacts the need for hiring new staff and (re)configuring space. Developing the internal capability and structure to match demand for our services requires vigilance and cooperation from multiple levels and organizations.
- A possible constraint on increasing the number of local offices is OMB Memo 12-12, which precludes the building of new offices until another office is closed (“no net new”).

Key Senior Executive Officials

- Daniel M. Renaud, Associate Director, Field Operations, 202-272-8110
- Michael Valverde, Deputy Associate Director, Field Operations, 202-272-9176
- Lori Pietropaoli, Regional Director, Northeast Region, 802-660-5000
- Kathy Redman, Regional Director, Southeast Region, 407-237-8811
- Robert Looney, Regional Director, Central Region, 972-893-5495
- Carolyn Muzyka, Regional Director, Western Region, 949-360-2995
- Nicholas V. Colucci, Chief, Immigrant Investor Program Office, 202-357-9210
- Robert Cowan, Center Director, National Benefits Center, 816-251-2222

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Fraud Detection and National Security Directorate

Summary of Component

Created in 2004, the Fraud Detection and National Security Directorate (FDNS) is the USCIS component responsible for leading agency efforts aimed at detecting those who seek to exploit or abuse our nation's immigration system. FDNS does this by providing guidance, operational support, and oversight to programs and activities relating to national security, public safety, fraud detection and deterrence, and information sharing. Originally created as an office within a directorate, FDNS became a stand-alone directorate in 2010 to reflect its critical role in meeting the agency's mission to help safeguard our nation's security and protect the integrity of the immigration system.

FDNS Immigration Officers are posted in USCIS Service Centers, Regional Offices, District Offices, Field Offices, and Asylum Offices across the United States, as well as Frankfurt, Germany, Monterrey, Mexico, and New Delhi, India. FDNS Immigration Officers are also located in, or support, other government agencies, including Customs and Border Protection's (CBP) National Targeting Center for Passengers, Immigration and Customs Enforcement's (ICE) Document and Benefit Fraud Task Forces, the Forensic Document Laboratory, the National Counterterrorism Center, the Department of State's Kentucky Consular Center and National Visa Center, the Federal Bureau of Investigation's Terrorist Screening Center and National Joint Terrorism Task Force, and INTERPOL's U.S. National Central Bureau.

Number of Federal employees by direct and matrix management (as of Pay Period 9 in FY16):

- Headquarters: 178
- Headquarters Refugee and International Operations (RAIO): 12
- FDNS/Field Operations Directorate: 518
- FDNS/RAIO (Asylum Offices): 34
- FDNS/Service Center Operations: 189
- Total: 932

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Mission

FDNS leads agency efforts to determine whether individuals or organizations filing for immigration benefits pose a threat to national security, public safety, or the integrity of the nation's immigration system. FDNS issues operational guidance and procedures on national security, fraud, and public safety issues, and manages screening policy and procedures across all USCIS components.

Mission Essential Functions:

- Develop and implement efficient and effective security screening practices, programs, and procedures, integrated across USCIS.
- Provide USCIS-wide intelligence services, and serve as primary conduit for information sharing and collaboration with law enforcement and the Intelligence Community.
- Establish guidance and oversee process for identifying, reviewing, vetting, and adjudicating cases involving national security concerns.
- Provide framework for senior leadership review of cases with national security concerns.
- Oversee the processing and adjudication of certain law enforcement-connected immigration benefits, including but not limited to: benefits linked to the S-visa program, issuance of notional documents to support law enforcement, and all adjudications connected to the Federal Witness Security program.
- Enhance the integrity of the U.S. immigration system by deterring, detecting, and administratively investigating immigration-related fraud.
- Develop innovative technical platforms to support capabilities to enhance the abilities of adjudicators and Immigration Officers to match names, verify identities, and uncover links to suspect individuals.
- Develop effective data collection and analysis protocols to support agency national security, fraud detection, and intelligence operations.

Major Supporting Efforts/Initiatives

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National Security Division:

- Establishes operational policy and provides operational support on national security issues.
- Partners with U.S. law enforcement and intelligence entities to identify trends related to immigration and national security.
- Manages an overarching screening framework encompassing policy-making, strategic policy-making, strategic planning, training, and liaison activities.
- Facilitates communications within USCIS, and between USCIS and other government agencies, to identify, obtain, and vet derogatory information.

Fraud Division:

- Develops, manages, and maintains anti-fraud programs, training, and procedures.
- Manages the Administrative Site Visit and Verification Program (ASVVP). Under ASVVP, unannounced pre- and post-adjudication site inspections are conducted as part of a Compliance Review (CR) to verify information contained in certain visa petitions (Religious Workers, H-1B and L-1A temporary non-immigrant professional workers).
- Manages the External Source Site Visit Program (ESSVP). Under ESSVP, Department of State (DOS) Consular Officers request site inspections to verify statements and documents originating overseas.

Intelligence Division:

- Informs USCIS senior leadership and USCIS directorates of intelligence on significant national security issues and threats.
- Manages the processing, analysis, production, and dissemination of USCIS immigration data to enhance national security efforts and identify trends and patterns in immigration fraud, national security, and public safety.
- Produces Intelligence Assessments on select national security cases.
- Serves as the USCIS lead for coordinating information sharing and collaboration efforts between USCIS, DHS, and the Intelligence Communities, and facilitates the completion of Requests for Information received from

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- outside of USCIS through the DHS Single Point of Service
- Conducts Syrian refugee enhanced review.

Public Safety Division:

- Serves as the USCIS point of contact for biographic data sharing inquiries from Canadian immigration officials under the U.S.-Canada Beyond the Border agreement.
- Develops and implements biometric screening rules and associated processes, in collaboration with FDNS Program Management Office (PMO).
- Participates in interagency efforts in support of the July 2011 Strategy to Combat Transnational Organized Crime (TOC) and helps mitigate the national security threats posed by TOC in the United States. Represents USCIS in the interagency process to add known TOC actors to the Terrorist Screening Center watchlist.
- Adjudicates certain benefit requests in support of law enforcement and oversees agency-wide activities related to these programs.

EB-5 Division:

- Support the work performed by the adjudicators and economists in the Investment Program Office (IPO) by performing background and security check activities associated with all forms included under the EB-5 program.
- Partners with ICE, FBI, and the Securities and Exchange Commission (SEC) to identify and analyze fraud and enforcement issues, including interagency review of EB-5 processes and the enhancement of referral protocols.
- Investigates and resolves fraud and national security concerns encountered during the review and adjudication of EB-5 applications and petitions.
- Coordinates responses to requests for assistance from partner agencies such as ICE, the SEC, and the Department of the Treasury.
- Identifies systemic vulnerabilities affecting the immigrant investor program and develops measures to mitigate and manage risk.

Social Media Program:

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- Pioneers social media screening and vetting efforts for DHS by leading pilots and testing emerging tools and technology.
- Conducts manual social media review on certain refugee cases in accordance with the risk-based phased approach outlined in the Social Media Expansion Plan for Refugees.
- Produces Social Media assessments for cases with relevant social media information.
- Develops procedures and training for social media screening and vetting implementation.

Program Management Office:

- Serves as the directorate's steward for market research, analysis of alternatives, defining programs, developing acquisition strategies, capturing requirements, managing the acquisition lifecycle, and investment formulation and execution.
- Develops initiatives to improve business process areas that directly impact key agency, component, and directorate objectives.
- Manages the FDNS-Data System (FDNS-DS).
- Oversees the implementation of System Generated Notification (SGN) rules, which automatically identify and alert USCIS Officers to certain potential National Security, Fraud, and Public Safety concerns.

Mission Support Division:

- Provides administrative support to all FDNS Components, including budget, human resources, and employee on-boarding.
- Conducts statistical reporting and analysis, tracks reporting on Annual Operating Plan and Government Performance and Results Act performance measures, and uses data from FDNS-DS and other internal and external data sources to develop Staffing Allocation Models and generate reports.

Training Division:

- Produces and delivers targeted training products for FDNS staff based at Headquarters and in the Field.

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- Produces modules to be included in other USCIS training courses and provides training to external partner agencies including DHS, CBP, and the Department of State.

Knowledge Management Group:

- Enhances information-sharing across FDNS:
- Standardizes business practices, preserves information, and promotes transparency.

Major Challenges/Key Issues

- Optimizing the fraud referral process.
- Ensuring training needs are met as FDNS continues to grow.
- Conducting comprehensive social media reviews without the ability to safely create social media accounts because of limited legal authorities.

Key Senior Executive Officials

Matthew Emrich, Associate Director, matthew.d.emrich@uscis.dhs.gov, (202) 272-1394

Immigration Records and Identity Services Directorate

Summary of Component

The Immigration Records and Identity Services Directorate (IRIS) was established within U.S. Citizenship and Immigration Services (USCIS) in January 2010. It is comprised of four programs: Biometrics, the National Records Center (NRC), Records, and Verification.

IRIS's work supports several of the missions outlined in the Quadrennial Homeland Security Review Report (QHSR). IRIS supports Mission 1: Preventing Terrorism and Enhancing Security, through its biometrics capture and providing background checks to identify individuals who are not eligible for immigration benefits. IRIS also supports Mission 3: Enforcing and Administering Our Immigration Laws, by serving as the custodian of citizenship and immigration information. IRIS supports Goal 3.2 of Mission 3: Prevent Unlawful Immigration, by administering the E-Verify and SAVE programs that provides a means for employers to identify employees who are work authorized and identifying individuals eligible for immigration benefits. Through these programs, IRIS provides the following services:

- Oversees the capture, transmission, and storage of biometric and biographic data of applicants seeking immigration benefits. Provides biometrics as a service (BaaS) to the United Kingdom and Canada, and possibly Ireland in the near future. Oversees batch and manual name check processing to the FBI for background checks.
- Provides storage, management, and integrity of immigration and receipt files used throughout USCIS, Immigration and Customs Enforcement (ICE), and Customs and Border Protection (CBP).
- Processes Freedom of Information Act (FOIA) and Privacy Act requests for USCIS.
- Oversees the development, implementation monitoring compliance, and

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training of USCIS records management policies.

- Administers and oversees Form I-9, used for verifying the identity and employment authorization of individuals hired for employment in the U.S.
- Administers and oversees the E-Verify program, which compares information the employer enters from Form I-9 to records available to the U.S. Department of Homeland Security (DHS).
- Administers and oversees myE-Verify, a free website service available to all employees in the U.S. myE-Verify provides services, such as Self Check, Self Lock and Case History, Case Tracker, Resource Center, and Rights/Responsibilities of E-Verify users to U.S. workers and job seekers.
- Administers and oversees the Systematic Alien Verification for Entitlements (SAVE) program, an internet-based service that provides federal, state and local benefit-granting agencies, institutions, and licensing bureaus immigration status information to assist agencies with determining benefit eligibility.

Mission

IRIS's mission is to provide trusted and timely immigration, employment, and identity information through a culture of efficiency and creativity. IRIS achieves this mission by accomplishing its five goals: (1) Customers; (2) Data; (3) Employees; (4) Processes; and (5) Technology.

Major Program Initiatives

Person-Centric Biometric Processing: IRIS is building the capability to utilize biometric verification to confirm the identity of applicants across multiple visits to USCIS offices.

Support for Secure Real Time Platform: IRIS is leading USCIS' role in expanding international information sharing with the Five Country Conference (FCC) partners, with the goal of sharing biometric data.

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8.6%. The current backlog is at 34,000 FOIA requests, and has taken proactive steps to reduce this backlog.

FOIA Electronic Processing System: The NRC is capitalizing on new technologies by procuring a new system that will provide electronic processing of FOIA requests.

Major Challenges

Data Integrity: IRIS relies on the integrity of information managed by outside agencies to perform its mission. When the data is not properly managed by IRIS's partners, it can have consequences on employees, employers, and benefit seekers.

Space Management: USCIS is facing a records storage crisis. The increasing size of the A-file, continued growth in the number of A-files, significant rise of workload, and limited file storage capacity in offices throughout the field (including O-CONUS) have all resulted in larger populations coming to the NRC.

The Harrisonburg File Storage Facility (HBG/FSF) is the primary repository for non-permanent USCIS receipt files that document decisions made in response to various alien petitions for benefits. For the past two years, the volume of paper holdings has substantially increased. This is because the transformation of USCIS business processes from paper to digital documents has encountered significant delays, and the volume of paper holdings and files continue to increase. As a result, HBG/FSF is at 125% of its designed capacity.

Key Senior Executive Officials

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Management Directorate

Summary of Component

The overall success of USCIS depends on the efficacy of the support functions provided by the Management Directorate. The USCIS Management Directorate is responsible for procurement; investment management; management of facilities, property, equipment, and other material resources; planning, budget and performance, strategic and competitive sourcing, and financial and capital asset management; IT systems infrastructure and support; ensuring equal employment opportunities and inclusion for current and potential USCIS employees; human resources and personnel recruitment, hiring, training, leadership development, employee benefits, and work-life programs; immigration forms, print services, and receipt and intake of immigration benefit applications; management of security and emergency operations; statistical and data analyses of agency programs and operations; and the monitoring, assessing, and developing benefits processing and staffing models.

Mission

Engage customers to design and implement innovative, cost effective solutions to effectively fortify and sustain USCIS business operations and service delivery.

Fiscal Year 2016 Directorate Strategic Goals

1. Enhance the internal control environment to provide for greater accountability, process improvement and reporting across USCIS. Implement financial system modernization, improve contract performance, and use of Lean Six Sigma.
2. Develop a plan to reduce the USCIS footprint while accommodating increased workload and supporting staff and increased hiring surge.
3. Drive IT efficiency across USCIS and the Department, delivering major customer initiatives such as: FOIA Replacement System; Customer Engagement Center launch;

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- Kathy T. Hochman, Chief, Office of Human Capital & Training
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Refugee, Asylum and International Operations Directorate

Summary of Component

The Refugee, Asylum, and International Operations (RAIO) Directorate is responsible for extending protection and humanitarian assistance, and providing other immigration benefits and services to eligible persons both domestically and overseas, while combating fraud and protecting national security. RAIO interacts with the United States and foreign governments, international organizations, and private entities worldwide.

RAIO is comprised of three operational divisions, the Refugee Affairs Division, the Asylum Division and the International Operations Division, as well as a directorate management support unit, including Fraud Detection and National Security. RAIO has a global presence at 24 U.S. Embassies and Consulates in 21 countries within three Districts. Additionally, RAIO performs refugee interviews in more than 60 international locations. Domestically, there are eight Asylum offices, three Asylum sub-offices, and three International Operations components, as well as Headquarter functions in Washington, DC.

Mission

RAIO leverages its domestic and overseas presence to provide protection, humanitarian, and other immigration benefits and services throughout the world, while combating fraud and protecting national security.

Major Policy/Program Initiatives

The Refugee Affairs Division (RAD) is the DHS entity responsible for administering the U.S. Refugee Admissions Program (USRAP) along with the Department of State and other stakeholders. In addition to its Headquarters program components in Washington, DC, RAD is comprised of the Refugee Corps, a specially-trained cadre of adjudicators

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Division's workloads. The lack of capacity may lead to an increase in the existing affirmative asylum backlog which currently exceeds 140,000 cases. It also may create delays in credible fear and reasonable fear processing which could lead to the prolonged detention of potential asylees and rising detention and litigation costs for DHS.

- The deteriorating security situation overseas in many refugee processing locations may lead to delayed or canceled deployments of circuit ride teams, making it difficult to achieve refugee processing goals in affected locations.
- While progress has been made to address security screening delays for refugee applicants, RAD must continue to refine, streamline and modernize security check procedures with its vetting partners to gain processing efficiencies.
- Given the time and cost of positioning international staff, International Operations has a fixed staffing profile, making it difficult to address fluctuations in workload or other emergency workload demands.

Key Senior Executive Officials

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Barbara Strack, Chief, Refugee Affairs Division, barbara.l.strack@uscis.dhs.gov, (202) 272-1675

John Lafferty, Chief, Asylum Division, john.l.lafferty@uscis.dhs.gov, (202) 272-1758

Joanna Ruppel, Chief, International Operations Division, joanna.ruppel@uscis.dhs.gov, (202) 272-1625

Service Center Operations

Summary of Component

The Service Center Operations Directorate ensures that information and benefits decisions are provided to domestic customers in a timely, accurate, consistent, courteous and professional manner.

Mission

Through our dedicated staff of professionals established across 5 geographically diverse Service Centers, Service Center Operations efficiently provides quality services for persons seeking immigration benefits while ensuring the integrity and security of our immigration system

Major Supporting Efforts

With respect to major supporting efforts, the USCIS Service Center Operations continues to work to support the adjudication of the high volume of multiple different immigration benefit types received annually. Of the nearly 7 million petitions received annually by USCIS, USCIS processes nearly 4 million petitions each year through its Service Centers. In addition to this standard workload, the Service Center Operations works to ensure its readiness to implement additional workload capacities imposed by executive decision or legislation. [NB: Suggest we hold including further specifics until after the DAPA ruling and any implementation decisions as appropriate].

Major Challenges

With receipt of nearly 4 million applications per year in its Service Centers, the balancing of workloads is an ongoing challenge to avoid a "backlog" of cases. The "backlog" is the number of cases that are pending adjudication and are outside of the cycle time goal (that

is, outside the number of months USCIS expects an adjudication of that form type to take).

The backlog has increased over the last six months from approximately 270,000 in October 2015 to approximately 289,000 in April 2016. Backlogs have grown over the past year, in part due to increased filings and a gap in the number of resources necessary to complete the work. The current backlog elimination plans rely upon increasing staff, rebalancing workloads among staff/work units, and utilizing overtime.

In order to ensure that that type of backlog does not develop again, SCOPS will continue to prioritize this important workload and routinely monitor receipt and adjudication rates to avoid large backlogs developing. SCOPS will reallocate resources as needed to address any filing surges that may arise.

When implementing new programs, there is always a possibility that backlogs will develop or increase, due to the increased workload and rebalancing new and existing workloads among new and existing staff. USCIS and SCOPS are always looking for ways to vigorously make quality improvements in the administration of the immigration system, while not sacrificing processing times for application and petition adjudication.

Key Senior Executive Officials

- Donald W. Neufeld, Associate Director, Service Center Operations,
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- James W. McCament, Deputy Associate Director, Service Center Operations,
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Administrative Appeals Office

Mission

The AAO conducts appellate review of denied applications for immigration benefits to promote consistency and accuracy in the interpretation and application of immigration law and policy.

Mission Essential Functions

Conduct *de novo* review and write appellate decisions on matters both appealed by customers as well as certified by USCIS service centers and field offices.

Issue precedent and adopted decisions to announce new legal interpretations or agency policy, or to reinforce existing law and policy by demonstrating its application to a unique factual record.

Leverage subject matter expertise and adjudication experience to inform agency deliberations on matters of legal interpretation and policy.

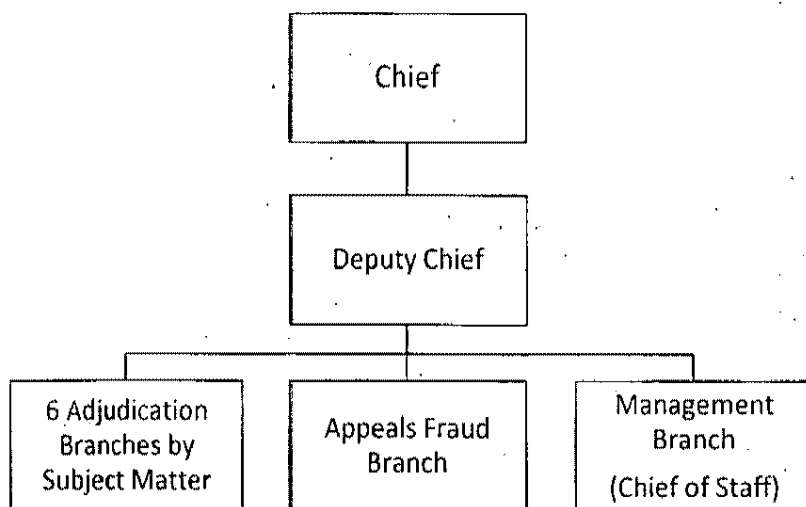
Produce final agency decisions of high quality to dissuade, or prevail in, federal court litigation.

Reports to:

Deputy Director, USCIS

Organizational Chart

Appeals officers are assigned to one of six adjudication branches that specialize in certain immigration benefit types. Appeal adjudication activities are supported by the Chief of Staff's Management Branch as well as the Appeals Fraud Branch.



Geographic Office Locations

The AAO is a headquarters component, located at 2121 Crystal Drive, Suite 302, Arlington, VA.

Resources

Federal Employees: 113 Contractors: 12 (file room management)

Key Unit Activities

The six adjudication branches write appellate decisions and engage in agency deliberations on matters of legal interpretation and policy.

The Management Branch, under the direction of the Chief of Staff, performs a range of functions, including mission support, training, quality assurance, and performance management.

The Appeals Fraud Branch supports the adjudication branches in the identification and resolution of issues of fraud, national security, and public safety.

Challenges

Precedent decision issuance:

- Before publication, AAO precedent decisions (PDs) are vetted through USCIS,

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DHS, and then DOJ. This bi-departmental clearance process is thorough and thus often protracted. During the lengthy vetting process, appeals may be withdrawn or become moot. Vetting timeframes limit the Department's ability to issue PDs that bind the immigration sector and command *Chevron* deference in court.

- Given this challenge, USCIS has elected to "adopt" AAO non-precedent decisions to more quickly clarify policy or legal interpretations. While a PD legally binds all components responsible for enforcing immigration laws, an adopted decision (AD) articulates guidance that binds USCIS personnel as a matter of agency policy.

Appeals tracking: When an appeal is filed, the USCIS service center or field office that denied the benefit conducts an initial field review (IFR) within 45 days. That office may take favorable action or forward the appeal to the AAO. Competing adjudication priorities may delay IFR. When IFR is completed as resources permit, large numbers of appeals may be forwarded at once, generating backlogs downstream. Delays may discourage customers from appealing to AAO, in favor of costly federal court review. The proposed rulemaking (described below) would eliminate IFR. In the meantime, USCIS needs to continue to develop stronger tracking and performance management measures to ensure timely, two-step appeal processing.

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Office of Communications

Mission

The Office of Communications (OCOMM) oversees and coordinates official USCIS communications with audiences inside and outside the agency. OCOMM:

- Ensures a consistent agency message supporting the goals of USCIS and DHS leadership
- Provides guidance, counsel and editorial support to program offices and the Director's Office to create effective communications
- Informs the public, in English and Spanish, about immigration benefits and USCIS policies and services, and promotes the use of plain language in agency materials
- Executes high-level communications plans through digital engagement, media outreach, videos and still images, live events, printed materials and more
- Manages employee communication and engagements with the USCIS workforce

Mission Essential Functions

- Provide crisis communications support and ongoing media management by public affairs officers
- Manage USCIS' English and Spanish websites, social media and email outreach
- Edit agency materials for clarity and accuracy, and teach plain language training classes for USCIS employees; provide Spanish translation services

Reports to

Deputy Director, USCIS

Geographic Locations

Headquarters Washington, DC

Public affairs officers are located in:

- Atlanta, GA
- Boston, MA
- Burlington, VT
- Chicago, IL
- Dallas, TX
- Denver, CO
- Los Angeles, CA
- Miami, FL
- Minneapolis, MN
- New York, NY

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- Orlando, FL
- Philadelphia, PA
- Phoenix, AZ
- San Francisco, CA
- Seattle, WA

Resources

Federal Employees: 77 (includes one Schedule A and one Schedule C)

Contractors: 1

Key Unit Activities

Strategic Communications

- Planning and key message development
- Agency priority alignment
- Coordination with USCIS program offices and directorates on communication product development and clearance.
- Director's Office communications briefings and product clearance

Media Relations

- Active and reactive media outreach
- Managing media interactions at HQ and the field in both English and Spanish
- Develops and coordinates agency, DHS and White House clearance of press statements, news releases and talking points
- Provides media training, as needed, for subject matter experts and agency executives
- Manages field-level Twitter engagement

Multimedia

- Live streaming and on-demand video
- Meeting/event services (Tomich Center)
- Video production
- Off-site video services
- Graphic design
- Photography
- Visual branding
- Digital signage

Plain Language & Content

- Editorial services for program offices, directorates and working groups
- Content development
- Review of agency materials for Plain Writing Act compliance
- Spanish translation services
- Lead USCIS Plain Language Program
 - Plain language training classes for entire agency. Training for DHS components upon request.
 - Plain Language Awards (annual)

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- Chair USCIS Plain Language Committee
- Liaise with DHS Plain Writing working group

E-Communications

- Communicate major announcements online.
- Manage English and Spanish websites, developing innovative features and guiding program offices' content
- Lead USCIS audience engagement via social media, using both one-way and two-way communications
- Use email outreach to reach major subscriber groups and engage audiences
- Analyze and enhance online communications effectiveness; help other offices analyze their efforts
- Coordinate with DHS and component agencies on best practices for online communications to reduce costs and redundancies

Mission Support

- Manages and coordinates key administrative support for the office in the areas of budget, human resources, space, equipment, and performance management
- Leads office-wide employee training and engagement efforts

Key Challenges

- USCIS' increasingly decentralized external affairs structure
- Volatility and uncertainty surrounding immigration issues

Employee Communications and Engagement

- Partner with program offices and directorates to develop strategic internal communications campaigns (such as FEVS, Public Service Recognition Week, Combined Federal Campaign, etc.)
- Issuance of Leadership Guidance messages, Messages from the Director and Employee Broadcasts
- USCIS Today
- In The Loop (internal video program)
- Product owners for USCIS Innovation (IdeaScale-based ideation platform)
- USCIS PULSE Poll (based on enterprise license with Survey Monkey)
- Product owners for USCIS Connect (intranet)
- Employee Town Halls

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- Misinformation, copycat websites and immigration scams
- Speed of news reporting vs. pace of clearing responses
- Large, geographically dispersed agency workforce largely comprised of case adjudicators with little time for email
- Limited headquarters space
- Limited travel budget
- Cumbersome approval process for new communications mechanisms

Milestones

- Continued transition to electronic immigration system – process and culture change for customers and employees
- Top to bottom scrub of all website content in English and Spanish
- Launch of new social media platforms
- Promoting new online forms, coordinating with all of USCIS

Key Senior Executive Officials

Dolline Hatchett, Chief, 202-272-1224

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Office of Equal Opportunity and Inclusion

Mission

To develop and deliver quality programs and services to achieve equality, foster workplace inclusion, and promote the value of diversity utilizing data-driven, strategic and collaborative approaches.

Mission Essential Functions

Maintaining an efficient, fair, and impartial EEO complaint resolution process.

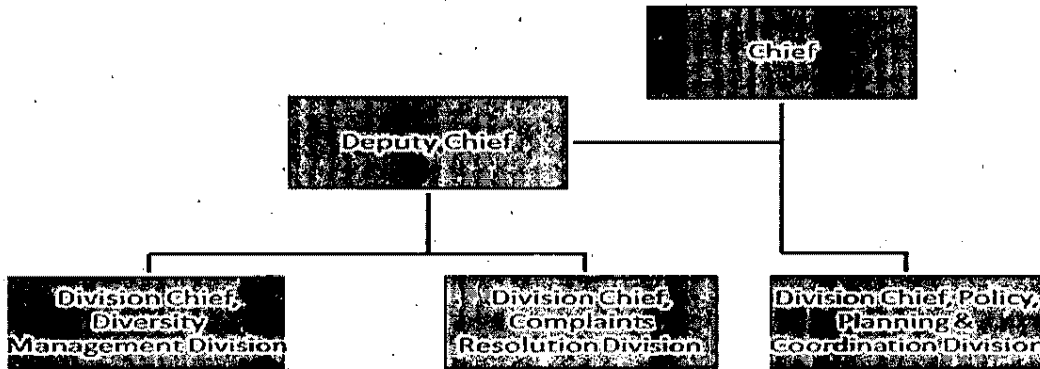
Supporting USCIS' efforts and initiatives to recruit, manage, and retain a competent, engaged and diverse workforce at all levels of the organization.

Providing information, training, and tools to USCIS leaders and employees to increase awareness and understanding of EEO principles and the value of a diverse workforce.

Reports to

Deputy Director, USCIS

Organizational Chart



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Geographic Office Locations

Headquarters

1200 1st Street, NE, 3rd Floor

Washington, DC 20002

Management Twin Cities

9360 Ensign Ave. South

Bloomington, MN 55438

Resources

Federal Employees: 29 Contractors: None

Key Unit Activities

- Investigating and assisting in resolving EEO complaints and providing technical assistance to ensure compliance with Federal anti-discrimination laws and policies.
- Providing guidance to employees and management on disability accommodation request processing issues.
- Conducting comprehensive EEO and diversity studies of USCIS recruitment, hiring, promotion, career development, and employee retention practices.
- Developing and implementing programs, including training, workshops, outreach and special emphasis programs, to promote diversity awareness and inclusion throughout USCIS.
- Assisting in the identification and elimination of barriers to the recruitment and advancement of individuals with disabilities and target disabilities.

Key Challenges

- Identifying causes for lower than expected workforce participation certain demographics groups in the overall USCIS workforce and in higher grades.
- Identifying and addressing causes of the most prevalent bases raised in EEO complaints, including retaliation.
- Increasing the settlement rate for EEO complaints where the agency's alternative dispute resolution process has been utilized.
- Fostering an inclusive work environment.

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Milestones/Key Decisions to Be Made During 2016

- Expanding utilization of the Alternative Dispute Resolution Program
- Conducting barrier analysis studies addressing low workforce participation rates
- Expanding targeted recruitment of individuals with targeted disabilities
- Increasing partnerships with Minority Serving Institutions
- Conducting a second EEO and Diversity Climate Survey
- Completing an diversity and inclusion strategic plan
- Developing and utilizing an EEO program assessment

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Office of the Executive Secretariat

Mission

To deliver prompt, quality customer service to USCIS program offices and directorates as well as to DHS components using a consistent and efficient clearance process to effectively coordinate tasks. The Office of the Executive Secretariat (EXSO) manages the agency's top-level written communications which form a key component of the agency's interaction with the White House, Congress, other governmental agencies, state and local agencies, and the public.

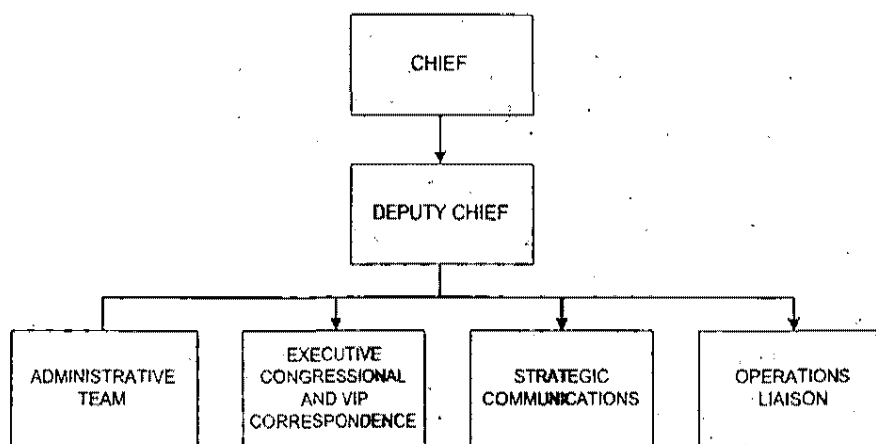
Mission Essential Functions

- Manages the clearance and coordination of Agency policy and guidance.
- Manages the clearance and coordination of Executive Congressional correspondence, Congressional Authorization Reports, and VIP correspondence.
- Liaises with DHS HQ and Components on intra-, and inter-Departmental clearances and taskings.
- Manages classified intra-Departmental taskings.
- Maintains the official record of these clearance activities.

Reports to

Chief of Staff, USCIS

Organizational Chart



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Geographic Office Locations

Headquarters, Washington, DC

Resources

Federal Employees: 20

Key Unit Activities

- Administers the official HQ Clearance Process for Agency policy and guidance.
- Manages Executive Congressional correspondence, Congressional Authorization Reports, and VIP correspondence.
- Facilitate DHS classified taskings.
- Manages responses to USCIS' priority written communications, and correspondence addressed to the Director, Deputy Director, or Chief of Staff as well as those delegated to USCIS by the DHS Executive Secretariat on behalf of the Secretary.
- Ensures clarity, consistency, and accuracy in responses prepared for the Secretary, Deputy Secretary, Director Deputy Director, or Chief of Staff.
- Maintains the official record for the USCIS Director, Deputy Director, and Chief of Staff.

Key Challenges

- Providing adequate staff coverage in a variable workload environment for the various clearance and record maintenance activities.
- Inadequate and ad hoc technology used to track and record the official HQ clearance processes.
- Transforming manual reporting and record keeping to an electronic environment.
- Insufficient Resources.
- Meeting DHS timeliness standards while ensuring a quality and accurate response or Congressional report is prepared and thoroughly vetted within USCIS and the Department.

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- Capturing Metrics for Agency's responsiveness to DHS timeframes.

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Office of Policy and Strategy

Mission

The Office of Policy and Strategy (OP&S) was created pursuant to the Homeland Security Act of 2002 to serve as the principal policy advisor for the Director and USCIS, as well as perform research and analysis on immigration issues and program evaluations. In addition, OP&S is charged with chairing and moderating the Senior Policy Council (SPC), developing and managing the Policy Manual, and coordinating regulatory development to ensure compliance with the policy goals of USCIS and DHS.

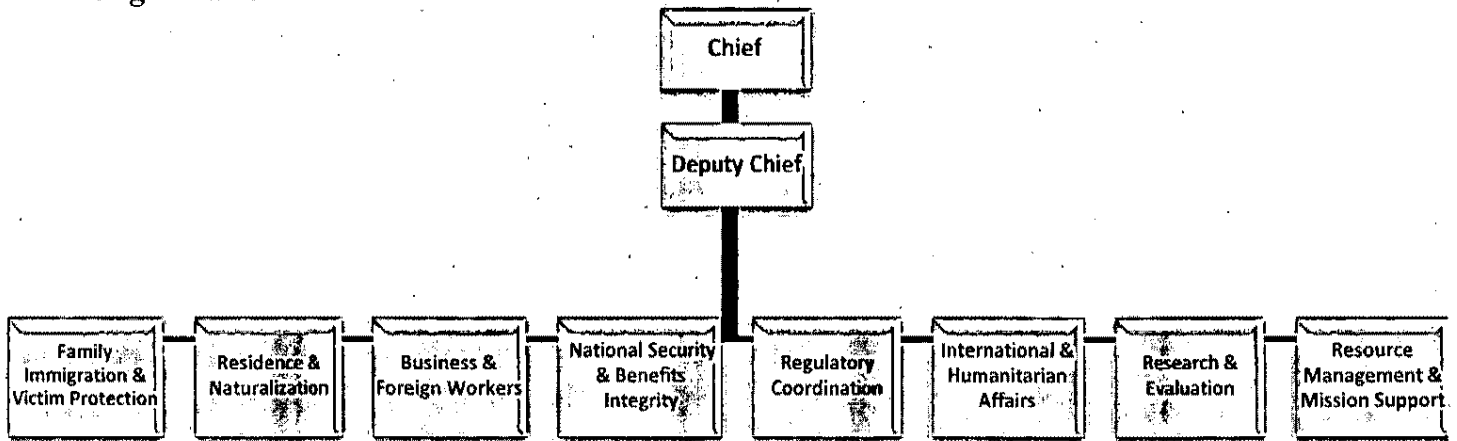
Mission Essential Functions

- Develop national immigration policy recommendations
- Coordinate and manage policy and regulatory development for USCIS
- Perform research, evaluation, and analysis on immigration policy, programs, services, and trends
- Assist USCIS headquarters and field offices in developing sound methodology for conducting policy-oriented research and evaluations and for collecting baseline data needed for evaluation
- Consult and liaise within and outside of DHS to include both Headquarters and Field offices; component agencies, other Federal agencies, NGOs, non-profit research organizations, and professional societies
- Manage information collections of USCIS to comply with the Paperwork Reduction Act

Reports to

Deputy Director, USCIS

Organizational Chart



Geographic Office Locations

USCIS Headquarters, Washington, DC

Resources

Federal Employees: 106

Key Unit Activities

Chief

- Functions as the principal advisor for the agency and Director on immigration policy matters, regulations, and research issues
- Identifies and prioritizes policy, regulatory, and program activities for USCIS
- Leads the agency regulatory development process
- Chairs, moderates, and sets the agenda for Senior Policy Council meetings
- Leads the USCIS Policy Manual and Policy Review initiative
- Conducts policy consultation at all levels within and outside of USCIS and DHS
- Oversees research, studies, and evaluations of immigration and citizenship issues to facilitate well-informed policy decision making

Deputy Chief

- Advises the Chief in developing sound and efficient immigration policy and regulations

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- Provides guidance and direction to Division Chiefs to identify policy, regulatory, program and research priorities, and ensures resource support to complete and implement these initiatives
- Reviews and updates office resource needs; identifies budgetary and staffing shortfalls, and advocates for allocation to support required policy functions and initiatives
- Manages staff and resources to ensure effective and efficient administration of programs and operations

Key Challenges

Obtaining prompt review and concurrence of regulations, information collection request packages, and policy guidance from USCIS, DHS, and other components.

Milestones/Key Decisions to Be Made in FY2016 – FY2017

Fourth Quarter FY2016

- Publish the I-140 /AC-21 final rule
- Publish the International Entrepreneurs Notice of Proposed Rulemaking
- Publish the provisional waiver final rule
- Launch the USCIS Social Media Pilots for the Approved Operational Use Cases
- Publish new Form I-765V for victims
- Publish the revised Notice to Appear (NTA) policy and extreme hardship policy memorandum

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Office of Privacy

Mission

The mission of the USCIS Office of Privacy is to preserve and enhance privacy protections for individuals and to promote transparency of USCIS operations. In keeping with this mission, the Office of Privacy provides guidance and technical assistance to leadership and management to ensure privacy protections are implemented throughout USCIS programs, systems, processes and operations, and ensure USCIS' adherence to federal, regulatory, statutory, Departmental and Component privacy requirements, mandates, directives and policies. The privacy staff evaluates USCIS programs, systems, information sharing agreements, and operations to identify privacy sensitivities; recommend mitigation strategies to reduce potential privacy impact; and provide guidance and global assistance to USCIS program offices and directorates in meeting such requirements.

Mission Essential Functions

- Ensure that personal information maintained in Privacy Act systems of record are handled in full compliance with 5 U.S.C. § 552a, as amended, statutes, regulations, and DHS implementing policies and directives
- Provide Privacy Awareness training to USCIS employees and contractors.
- Conduct site visits and audits at 100 percent of USCIS facilities. Advise USCIS senior leadership, management, and staff on matters with privacy impact to ensure privacy protections are implemented throughout USCIS programs, systems, processes and operations, and ensure USCIS' adherence to federal, regulatory, statutory, Departmental and Component privacy requirements, mandates, directives and policy.
- Develop and issue USCIS privacy policies.
- Provide advice and technical assistance in the development of USCIS systems and/or applications through privacy compliance documentation.
- Establish policy memos to ensure proper guidance to meet DHS and USCIS privacy needs and requirements.

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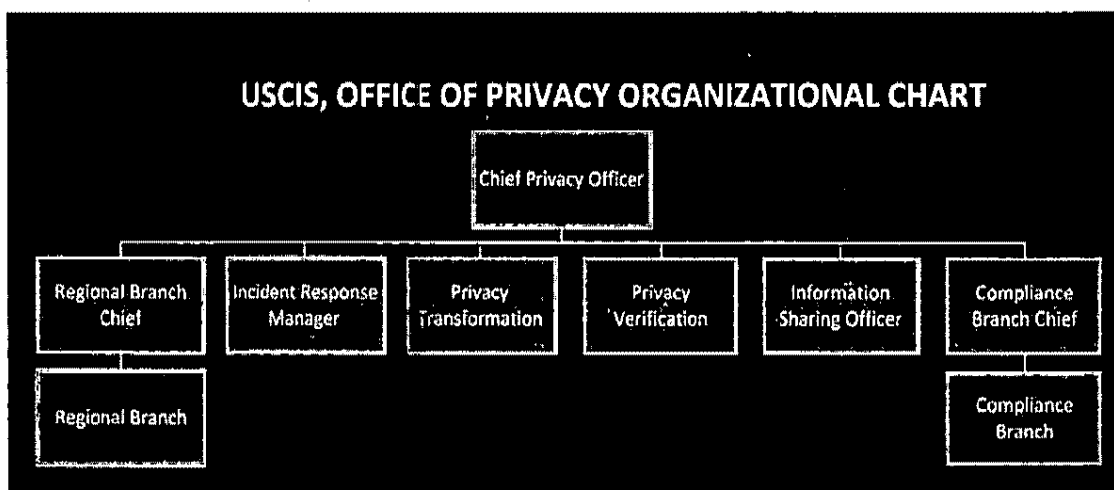
- Review all Rules and Notice of Proposed Rulemaking to ensure proper privacy protection is given to those impacted.
- Ensure all DHS and USCIS policies and procedures are followed by USCIS personnel for the operational use of social media.
- Lead the investigation and mitigation of privacy incidents consistent with the DHS Privacy Incident Handling Guidance and OMB-07-16 including notifying the DHS Security Operations Center of any privacy incident.
- Review all USCIS data sharing agreements and assist in the development of information sharing agreements.
- Monitor and review all contracts involving personally identifiable information (PII), and contracts that have a potential impact on the privacy of individuals to ensure privacy requirements are met.
- Investigate privacy complaints that may originate for USCIS staff and/or applicants.
- Review and approve all Computer Matching Agreements, Information Sharing Agreements, and Memorandums of Understanding/Agreement with data sharing partners.
- Review all Requests for Information (RFIs), to ensure sharing of information is appropriate and not in violation of the Fair Information Practice Principles (FIPPs).

Reports to

Deputy Director, USCIS

Organizational Chart

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Geographic Office Locations

Headquarters	Northeast	Southeast	Central	Western
20 Massachusetts Ave., NW Washington, D.C. 20529	70 Kimball Ave. South Burlington, VT 05403	390 N. Orange Ave. Orlando, FL 32801-168	4500 Fuller Dr. Irving, TX 75038	24000 Avila Rd. Laguna Niguel, CA 92677

Resources

Federal Employees: 22 Contractors: None

Key Unit Activities

- Identify and take action on locally developed applications (LDA) to ensure that USCIS' systems are not being compromised by malicious activity.
- Ensure that all Computer Readable Extracts (CRE) are documented, and not in violation of the Privacy Act or other federal privacy statutes.
- Ensure A-files are properly handled to reduce identity theft by providing training and guidance to USCIS personnel on privacy policies for protecting sensitive files, and by working with internal stakeholders on ensuring USCIS personnel are following the procedures to prevent reportable privacy incidents.
- Ensure Enterprise Content Management (ECM) sites are not in violation of the E-Government Act of 2002.
- Review Privacy Threshold Analysis (PTA) to ensure all USCIS systems are in

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compliance with privacy regulations, and determine if additional privacy documentation is required, such as a new or updated (PTA), System of Records Notice (SORN), and/or Privacy Act (e)(3) Statement.

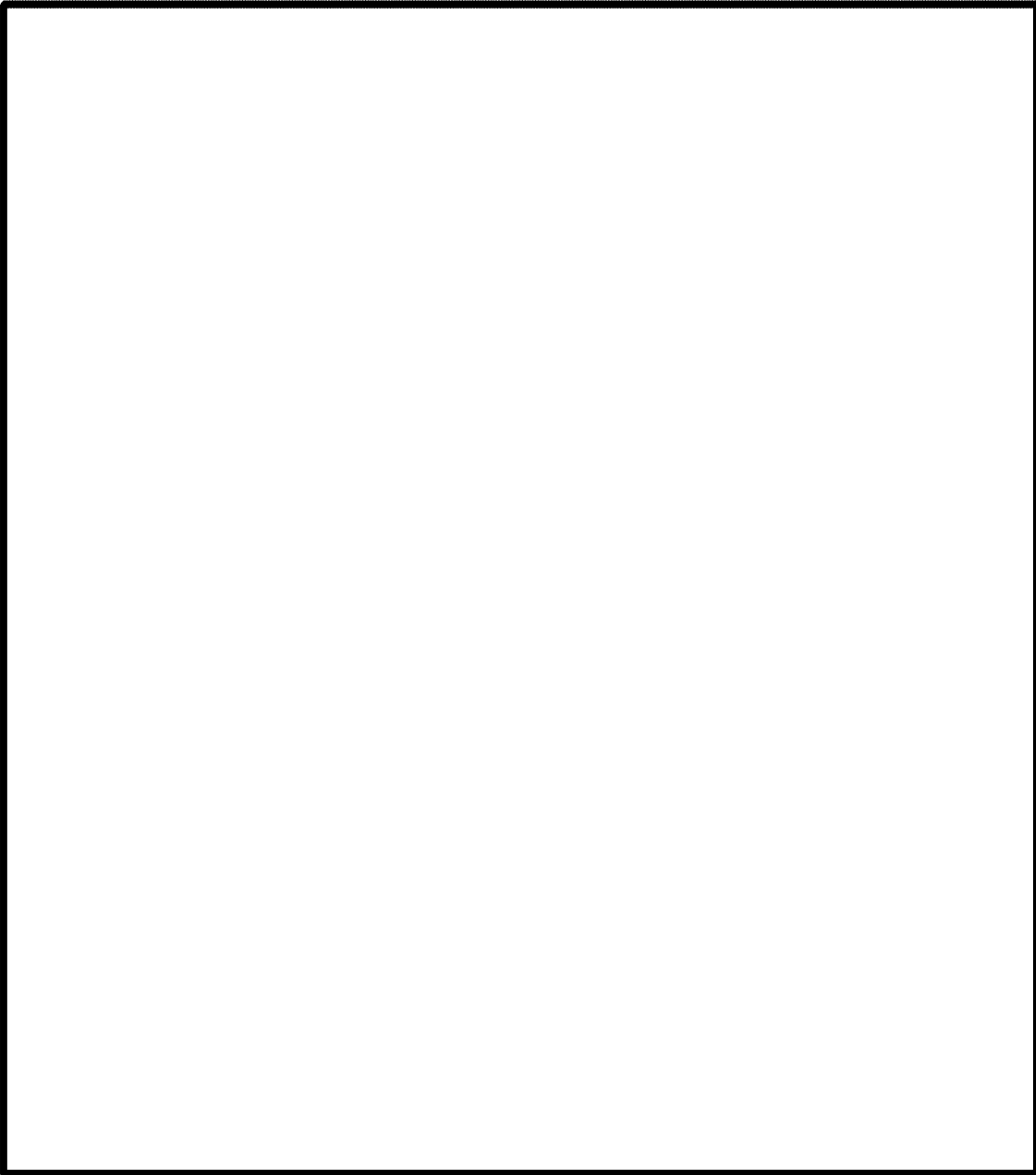
- Monitor the operational use of Social Media within USCIS and provide best practices and training to all USCIS personnel for appropriately sharing and collaborating on social media within USCIS and with external partners, consistent with legal authorities and privacy, civil rights, and civil liberties protections.
- Manage and provide oversight to the Privacy Incident Response Program to ensure reportable privacy incidents are reported, evaluated, remediated and closed.
- Provide guidance to all of USCIS on the requirements to protect information that has been entrusted to the agency, the importance of safeguarding PII/SPII to prevent future incidents, and work with internal and external stakeholders on major reportable incidents/breaches.
- Ensure compliance with the new guidance issued by DHS Chief Procurement Officer: Class Deviation 15-01 from the Homeland Security Acquisition Regulation (HSRA): Safeguarding of Sensitive Information issued on March 9, 2015, to determine contracts that are considered to be high risk and if the HSRA clause should be added in coordination with the Office of Information Technology; Office of Security and Integrity, and Program Manager.
- Review all information sharing agreements where USCIS information is impacted.

Key Challenges

- Providing limitations on the collection and use of PII to only what is needed to adjudicate benefit applications.
- Ensuring one hundred (100) percent of USCIS employees are aware of privacy protections relating to the collection, use, dissemination, and maintenance of personal information throughout the Department, and to ensure that employee's handle PII in full compliance with the fair information practice principles set forth in the Privacy Act.
- Ensuring information sharing arrangements protect individuals afforded additional confidentiality protections through statute, regulation, or policy.
- Ensuring that the operational use of social media is used in accordance with USCIS authority and operations and does not violate the privacy of individuals.

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Office of Transformation Coordination

Mission

Transition the agency from a fragmented paper-based operational environment to an environment that allows for electronic processing and storage of immigration benefit requests.

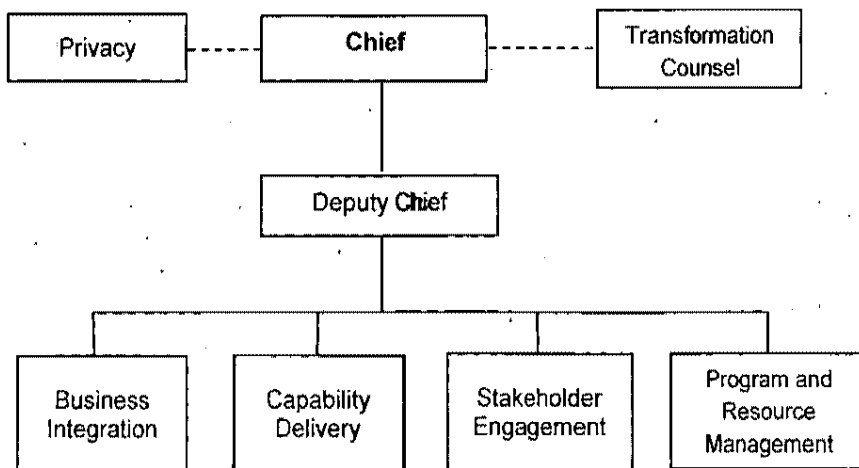
Mission Essential Functions

- Modernize USCIS business processes by implementing the Electronic Immigration System (ELIS).
- Implement a case management system that presents data regarding a person's immigration history and current benefit request; processes security background checks and allows for the sharing of the information on the benefit seeker while protecting the privacy rights of individuals doing business with the agency.
- Work with subject matter experts from across USCIS to develop requirements, provide immediate information and feedback to developed functionality and to support ongoing testing activities.
- Continuously solicit feedback on system functionality for improvements.

Reports to

Deputy Director, USCIS

Organizational Chart



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Geographic Office Locations

USCIS Headquarters, Washington, DC

Resources

- **Federal Employees:** The program has 104 permanent federal assigned positions that are responsible for day to day program management activities. The program also receives support from federal staff within the USCIS Offices of Information Technology, Privacy and Chief Counsel in the day to day activities of managing the requirements and development activities. The program is also supported by Business Advisors and Subject Matter Experts from operations throughout the development cycle..
- **Contract Support Services:** The program has 33 contractors supporting the federal staff with oversight of program management activities, requirements development, and ELIS training.
- **Other Contractors:** The program has 216 contractors supporting the development, testing, integration, infrastructure, quality and deployment of functionality in ELIS. All of these contracts are managed by the Office of Information Technology. However the Office of Transformation Coordination team sets priorities for the development work to be done, accepts the work done by the development contractors and provides feedback to the development contractors for improvements.

Key Office Activities

- **Business Integration Division:** Coordinates and collaborates with the USCIS operational directorates to reengineer processes, document requirements and identify core standardized functionality for product lines that will be built in ELIS.
- **Capability Delivery Division:** Manages the end-to-end system development and delivery lifecycle – from designing the solution, development and testing, deployment, and sustainment..
- **Stakeholder Engagement Division:** Engages internal and external stakeholders to facilitate understanding and acceptance of the electronic application -. This effort is accomplished in partnership with affected USCIS Directorates, the Office of

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Communication, the Office of Legislative Affairs and USCIS Training and Customer Service organizations.

- **Program and Resource Management Division:** Manages and evaluates program risks and program controls to ensure a high level of quality in the transformation effort. The division also manages human resources, budget, logistics, life cycle cost, and acquisition efforts for the program which includes coordination with DHS oversight offices. Assist with front office operations, governance coordination, audit reviews and quality workplace initiative.
- **Office of Information Technology:** Partners with Office of Transformation Coordination in the development, testing, quality, and deployment of functionality in USCIS ELIS

Major Challenge

- Managing the expectations of a Level 1 Program that is high cost and high visibility and tagged with a previous failure.
- Maintaining ongoing discussions and transparency with oversight and audit organizations.
- Managing expectations of internal users. The program pulls many internal staff for their expertise and de-conflicting expertise is challenging.
- Working with all offices in USCIS to move from a “paper” based environment, to understand the need to operate under a new business model
- Managing resources and process that provide more assurance of a quality coded product upon delivery and responsiveness when problem are found.
- Managing the expectations of internal and external stakeholders and oversight organizations when results of the transformation of USCIS will be achieved
- Insuring that USCIS ELIS meets the needs of USCIS and its partner agencies by providing access to the information required to support areas on US immigration policy that intersect with USCIS ELIS.
- De-conflicting schedules with the Department of Treasury Lockbox and the Paperwork Reduction Act requirements when there are changes to USCIS forms.

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USCIS Leadership Biographies

Headquarters Leadership

Director

Deputy Director

Chief of Staff

Directorate Leadership

Associate Director, Customer Service and Public Engagement Directorate

Associate Director, Field Operations Directorate

Associate Director, Fraud Detection and National Security Directorate

Associate Director, Immigration Records and Identity Services Directorate

Associate Director, Management Directorate

Associate Director, Refugee Affairs, Asylum, and International Operations Directorate

Associate Director, Service Center Operations Directorate

Program Office Leadership

Chief, Administrative Appeals Office

Chief, Office of Chief Counsel

Chief, Office of Citizenship

Chief, Office of Communication

Chief, Office of Equal Opportunity and Inclusion

Chief, Office of the Executive Secretariat

Chief, Office of Legislative Affairs

Chief, Office of Policy and Strategy

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Chief, Office of Privacy

Chief, Office of Transformation Communication

Field Operations Leadership

Field Operations Headquarters Leadership

Daniel M. Renaud, Associate Director, Field Operations Directorate

Michaël Valverde, Deputy Associate Director, Field Operations Directorate

Immigrant Investor Program Office Leadership

Nicholas V. Colucci, Chief, Immigrant Investor Program Office

National Benefits Center Leadership

Robert Cowan, Director, National Benefits Center

Regional Leadership

Lori Pietropaoli, Regional Director, Northeast Region

Kathy Redman, Regional Director, Southeast Region

Robert Looney, Regional Director, Central Region

Carolyn Muzyka, Regional Director, Western Region

Field Leadership-District 1 (Boston)

Denis Riordan, District Director, District 1 (Boston)

Michael McCleary, Field Office Director, Boston Field Office

Luis A. Chaves, Field Office Director, Lawrence Field Office

Adam N. Bergeron, Field Office Director, Providence Field Office

Andrea Rogers, Field Office Director, Manchester Field Office

Sally Blauvelt, Field Office Director, Portland, ME Field Office

Field Leadership-District 2 (Buffalo)

Edward Newman, District Director, District 2 (Buffalo)

Carmen Whaling, Field Office Director, Buffalo Field Office

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Nieves Cardinale, Field Office Director, Hartford Field Office

Michael Paul, Field Office Director, St. Albans Field Office

Field Leadership-District 3 (New York City)

Phyllis A. Coven, District Director, District 3 (New York City)

Wilhelm F. Bierman, Field Office Director, New York City Field Office

Bryan Christian, Field Office Director, Queens Field Office

Elizabeth Miller, Field Office Director, Long Island Field Office

Field Leadership-District 4 (Newark)

John Thompson, District Director, District 4 (Newark)

Randi Borgen, Field Office Director, Newark Field Office

Ya-Mei Chen, Field Office Director, Mt. Laurel Field Office

Field Leadership-District 5 (Philadelphia)

Michael Borgen, District Director, District 5 (Philadelphia)

Kathy Bausman, Field Office Director, Philadelphia Field Office

Michael Horvath, Field Office Director, Pittsburgh Field Office

Field Leadership-District 6 (Baltimore)

Greg Collett, District Director, District 6 (Baltimore)

Conrad J. Zaragoza, Field Office Director, Baltimore Field Office

Field Leadership-District 7 (Washington, DC)

Sarah Taylor, District Director, District 7 (Washington, DC)

Kimberly J. Zanotti, Field Office Director, Washington Field Office

Frank C. Reffel, Field Office Director, Norfolk Field Office

Field Leadership-District 8 (Atlanta)

Denise Frazier, District Director, District 8 (Atlanta)

Brett R. Rinehart, Field Office Director, Atlanta Field Office

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Leander B. Holston, Field Office Director, Charlotte Field Office

Jay Weselmann, Field Office Director, Raleigh Field Office

Field Leadership-District 9 (Miami)

Linda Swacina, District Director, District 9 (Miami)

Yeseira Diaz, Field Office Director, Miami Field Office

Enid Stulz, Field Office Director, Hialeah Field Office

Randell M. Akins, Field Office Director, Kendall Field Office

Emigdio F. Martinez, Field Office Director, Oakland Park Field Office

Deliana Gonzalez, Field Office Director, San Juan Field Office

Lorelie C. Conner, Field Office Director, Charlotte Amalie (USVI) Field Office

Field Leadership-District 10 (Tampa)

Tony R. Bryson, District Director, District 10 (Tampa)

Leslie A. Meeker, Field Office Director, Tampa Field Office

Shelley Randall, Field Office Director, Fort Myers Field Office

Lisa D. Bradley, Field Office Director, Jacksonville Field Office

Kimberly D. Dean, Field Office Director, Orlando Field Office

Wendy M. Wilcox, Field Office Director, West Palm Beach Field Office

Field Leadership-District 11 (New Orleans)

Cindy N. Gomez, District Director, District 11 (New Orleans)

Stanley W. Crockett, Field Office Director, New Orleans Field Office

Lynuel W. Dennis, Field Office Director, Memphis Field Office

Christina Olguin, Field Office Director, Fort Smith Field Office

Field Leadership-District 12 (Detroit)

Mick Dedvukaj, District Director, District 12 (Detroit)

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Field Leadership-District 13 (Cleveland)

Mark B. Hansen, District Director, District 13 (Cleveland)

Karyn M. Zarlenga, Field Office Director, Cleveland Field Office

Benjamin A. Wenger, Field Office Director, Cincinnati Field Office

Stephanie Reither, Field Office Director, Columbus Field Office

Kamsing V. Lee, Field Office Director, Indianapolis Field Office

Arthur Schat, Field Office Director, Louisville Field Office

Field Leadership-District 14 (Chicago)

Thomas M. Cioppa, District Director, District 14 (Chicago)

Martha Medina-Maltes, Field Office Director, Chicago

Kay F. Leopold, Field Office Director, Milwaukee

Field Leadership-District 15 (Kansas City)

David M. Douglas, District Director, District 15 (Kansas City)

Michelle C. Perry, Field Office Director, Kansas City Field Office

Marta Maya Nickols, Field Office Director, Des Moines Field Office

William Connor, Field Office Director, Omaha Field Office

Chester S. Moyer, Field Office Director, St. Louis Field Office

Leslie D. Tritten, Field Office Director, St. Paul Field Office

(Vacant), Field Office Director, Wichita Field Office

Field Leadership-District 16 (Dallas)

Lisa M. Kehl, District Director, District 16 (Dallas)

Tracy Tarango, Field Office Director, Dallas Field Office

Mark T. Siegl, Field Office Director, Oklahoma City Field Office

Field Leadership-District 17 (Houston)

Sandy M. Heathman, District Director, District 17 (Houston)

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Field Leadership-District 18 (San Antonio)

Mario R. Ortiz, District Director, District 18 (San Antonio)

Elaine M. Mueller-Cantu, Field Office Director, San Antonio Field Office

Margaret A. Hartnett, Field Office Director, El Paso Field Office

Norma A. Limon, Field Office Director, Harlingen Field Office

Jesse X. Mendez, Field Office Director, Albuquerque Field Office

Field Leadership-District 19 (Denver)

Angela K. Barrows, District Director, District 19 (Denver)

Andrew M. Lambrecht, Field Office Director, Denver Field Office

Jodi Bard, Field Office Director, Helena Field Office

John W. McCarthy, Field Office Director, Boise Field Office

Laura K. McNeer, Field Office Director, Salt Lake City Field Office

Field Leadership-District 20 (Seattle)

Anne Arries Corsano, District Director, District 20 (Seattle)

(Vacant), Field Office Director, Seattle Field Office

Terry J. Charbonneau, Field Office Director, Anchorage Field Office

Michael Hickman, Field Office Director, Portland, OR, Field Office

Chrysta D. Stock, Field Office Director, Spokane Field Office

Keith M. Brown, Field Office Director, Yakima Field Office

Field Leadership-District 21 (San Francisco)

John Kramar, District Director, District 21 (San Francisco)

Robin L. Barrett, Field Office Director, San Francisco Field Office

James Wyrrough, Field Office Director, San Jose Field Office

Field Leadership-District 22 (Sacramento)

Monica E. Toro, District Director, District 22 (Sacramento)

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(Vacant), Field Office Director, Sacramento Field Office

Lynn Feldman, Field Office Director, Fresno Field Office

Field Leadership-District 23 (Los Angeles)

Susan M. Curda, District Director, District 23 (Los Angeles)

Corinna A. Luna, Field Office Director, Los Angeles Field Office

Nancy Alby, Field Office Director, Los Angeles County Field Office

(Vacant), Field Office Director, San Fernando Valley Field Office

David Lester, Field Office Director, Santa Ana Field Office

Irene Martin, Field Office Director, San Bernardino Field Office

Field Leadership-District 24 (San Diego)

Alanna Y. Ow, District Director, District 24 (San Diego)

Melissa W. Maxim, Field Office Director, San Diego Field Office

(Vacant), Field Office Director, Imperial Field Office

Field Leadership-District 25 (Phoenix)

Al Gallmann III, District Director, District 25 (Phoenix)

John M. Ramirez, Field Office Director, Phoenix Field Office

Jeanne M. Kent, Field Office Director, Las Vegas Field Office

Walter L. Haith, Field Office Director, Reno Field Office

Julie Hashimoto, Field Office Director, Tucson Field Office

Field Leadership-District 26 (Hawaii)

David G. Gulick, District Director, District 26 (Hawaii)

(Vacant), Field Office Director, Honolulu Field Office

Stephen P. Green, Field Office Director, Guam, Field Office

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Service Center Operations Leadership

Donald Neufeld, Associate Director, Service Center Operations Directorate

James McCament, Deputy Associate Director, Service Center Operations Directorate

Laura Zuchowski, Director, Vermont Service Center

Barbara Velarde, Director, Potomac Service Center

Mark Hazuda, Director, Nebraska Service Center

Gregory Richardson, Director, Texas Service Center

Kathy Baran, Director, California Service Center

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Refugee, Asylum, and International Operations (RAIO) Leadership

RAIO Headquarters Leadership

Joseph Langlois, Associate Director, Refugee, Asylum, and International Operations Directorate

Jennifer Higgins, Deputy Associate Director, Refugee, Asylum, and International Operations Directorate

Refugee Affairs Division

Barbara Strack, Chief, Refugee Affairs Division

Asylum Division

John Lafferty, Chief, Asylum Division

Jedidah M. Hussey, Director, Arlington Asylum Office

Kenneth Madsen, Director, Chicago Asylum Office

Robert Daum, Director, Houston Asylum Office

David M. Radel, Director, Los Angeles Asylum Office

Varsenik Papazian, Director, Miami Asylum Office

Patricia Menges, Director, New York Asylum Office

Susan Raufer, Director, Newark Asylum Office

Emilia Bordini, Director, San Francisco Asylum Office

International Operations Division

Joanna Ruppel, Chief, International Operations

Donald J. Monica, District Director, Asia/Pacific District

Gregory Sanders, Field Office Director, Bangkok, Thailand

James Chiang, Field Office Director, Beijing, China

Kevin Riddle, Field Office Director, Guangzhou, China

Tom Curley, Field Office Director, Manila, The Philippines

Kenneth Sherman, Field Office Director, New Delhi, India

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Carl Risch, Field Office Director, Seoul, South Korea

(Vacant), District Director, Europe, Middle East, and Africa District

Aster Zeleke, Field Office Director, Accra, Ghana

Sarah Schoener, Field Office Director, Amman, Jordan

James Fletcher, Field Office Director, Athens, Greece

Karen FitzGerald, Field Office Director, Frankfurt, Germany

Mark Baxter, Field Office Director, Johannesburg, South Africa

Laurie O'Bryon, Field Office Director, Rome, Italy

Joseph Hackbarth, Field Office Director, London, England

Emery Moore, Field Office Director, Moscow, Russia

Charles Wright, Field Office Director, Nairobi, Kenya

Erin Faticà, District Director, Latin America, Canada, and the Caribbean District

Miguel Chavez, Field Office Director, Ciudad Juarez, Mexico

Kristen Smith, Field Office Director, Guatemala City, Guatemala

Marilyn Rebatta, Field Office Director, Havana, Cuba

W. Patrick Lujan, Field Office Director, Lima, Peru

Rodolfo Núñez, Field Office Director, Mexico City, Mexico

Joel Miramontes, Field Office Director, Monterrey, Mexico

Margarette Nicolas, Field Office Director, Port-au-Prince, Haiti

Claudia Guevara, Field Office Director, San Salvador, El Salvador

(Vacant), Field Office Director, Santo Domingo, Dominican Republic

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León Rodríguez

Director

U.S. Citizenship and Immigration Services

León Rodríguez was confirmed by the Senate in June 2014 and sworn in on July 9, 2014, as the director of USCIS.

He previously served as the director of the Office for Civil Rights at the Department of Health and Human Services, a position he held from 2011 to 2014. From 2010 to 2011, he served as chief of staff and deputy assistant attorney general for civil rights at the Department of Justice (DOJ).

Previously, Rodríguez was county attorney for Montgomery County, Maryland from 2007 to 2010. He was a principal at Ober, Kaler, Grimes & Shriver in Washington, D.C. from 2001 to 2007. He served in the United States Attorney's Office for the Western District of Pennsylvania from 1997 to 2001, first as chief of the White Collar Crimes Section from 1998 to 1999 and then as first assistant U.S. Attorney until his departure. Before joining the U.S. Attorney's Office, Rodríguez was a trial attorney in the Civil Rights Division at DOJ from 1994 to 1997 and a senior assistant district attorney at the Kings County District Attorney's Office in New York from 1988 to 1994.

Rodríguez is the son of immigrants who came from Cuba in 1961, and was raised speaking Spanish at home. He received a B.A. from Brown University and a J.D. from Boston College Law School and now lives in Maryland.

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Lori Scialabba
Deputy Director
U.S. Citizenship and Immigration Services

Lori Scialabba has served as the deputy director of USCIS since May 2011.

From December 2013 to July 2014, she served as acting director of USCIS. From 2006 to 2011, Scialabba was the associate director of USCIS' Refugee, Asylum and International Operations. From 2007 to 2009, she concurrently served as a senior advisor to then-Secretary of Homeland Security Michael Chertoff on issues affecting Iraqi refugees. In 2009, Scialabba received a Meritorious Executive Presidential Rank Award for sustained accomplishments, one of the highest awards for federal employees

Before joining the Department of Homeland Security, Scialabba worked for the Department of Justice (DOJ). She began her career with DOJ in October 1985 through the Attorney General's Honors Program. She worked as a trial attorney for the Immigration and Naturalization Service (INS) in Chicago, where she litigated deportation cases. From 1986 to 1989, she worked as the assistant general counsel for INS Headquarters. In 1989, she joined the Civil Division in DOJ's Office of Immigration Litigation, where she defended immigration cases in federal courts.

In 1994, Scialabba joined the Senior Executive Service as deputy general counsel for INS.

In 1998, she was selected as a member of the Board of Immigration Appeals (BIA) in the Executive Office for Immigration Review. She became vice chairman in 1999 and served as chairman from 2003 to 2006. During her BIA tenure, she was responsible for day-to-day operations and managed the BIA's reorganization and the streamlining of more than 120,000 cases.

Scialabba received her bachelor's degree in 1982 from the University of Maryland and her Juris Doctor in 1985 from Memphis State University. She also attended the Senior Managers in Government program at Harvard University's John F. Kennedy School of Government.

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Juliet K. Choi

Chief of Staff

U.S. Citizenship and Immigration Services

Juliet K. Choi was appointed USCIS chief of staff on July 9, 2014.

From 2011 to 2014, Choi was appointed as the chief of staff and senior advisor for the Office for Civil Rights in the Department of Health and Human Services (HHS). Her areas of responsibility included civil rights policy, intra-HHS coordination, legislative and intragovernmental affairs, outreach and stakeholder relations. From 2006 to 2011, Choi was a member of the Disaster Services executive leadership team at the American Red Cross National Headquarters. Under her leadership, she helped to steward critical new partnerships with several groups, including the Legal Services Corporation, the National Disability Rights Network, and the National Baptist Convention, USA.

From 2004 to 2006, Choi served at the Asian American Justice Center as the inaugural National Asian Pacific American Bar Association (NAPABA) Partners Community Law Fellow and staff attorney. She focused her legal and policy expertise on Title VI and language access, with an emphasis on health care, disasters, and the courts. Before her legal career, Choi spent seven years with the corporate division of Gannett Broadcasting (1992-1999) and worked subsequently as the policy director with the National Mental Health Association (1999-2000).

Choi is the daughter of immigrants from South Korea. A certified mediator, she served as a judicial law clerk to the Honorable Dennis M. Sweeney (retired) of the Circuit Court for Howard County, Maryland (2003-2004). Choi received her bachelor's degree in economics from the University of Virginia and law degree from the University of Maryland School of Law.

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Mariela Melero

Associate Director

**Customer Service and Public Engagement Directorate
U.S. Citizenship and Immigration Services**

Mariela Melero is the Associate Director of the Customer Service and Public Engagement Directorate (CSPED) for U.S. Citizenship and Immigration Services (USCIS). She assumed this role in May 2012.

Before her appointment, Melero was the chief of the Office of Public Engagement where she directed national stakeholder relations and intergovernmental affairs and worked closely with DHS components, the White House, and other cabinet-level agencies. Melero began federal service in 1987 as director of Public Affairs for the former Immigration and Naturalization Service in Houston. She also served as director of the agency's Central Regional Office for Congressional and Public Affairs in Dallas. In 2003, Melero moved to the agency's headquarters office in Washington as deputy chief of the newly established USCIS Office of Citizenship. In 2006, she transitioned to the Office of Communications as deputy director.

Melero obtained her undergraduate degree in Journalism and Mass Communications Research from New York University in New York. She also has a Master's in International Service from American University in Washington, and a Master's in Hemispheric Defense and Security from the Universidad del Salvador in Buenos Aires, Argentina, and the Inter American Defense College in Washington, DC.

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Daniel M. Renaud
Associate Director, Field Operations Directorate
U.S. Citizenship and Immigration Services

Daniel M. Renaud began serving as the Associate Director of the Field Operations Directorate on February 22, 2015. Prior to this position, Mr. Renaud was the Deputy Associate Director of Field Operations. In this position, he managed the daily operations of the more than 80 offices nationwide that speak with the public, carry out interviews, conduct citizenship tests, and hold naturalization ceremonies for more than 600,000 citizens a year.

Since November 2012, Field Operations has been responsible for the Immigrant Investor Program (IPO). From March 2013 through November 2013, Mr. Renaud was the Acting Chief of the Immigrant Investor Program. This period marked an unparalleled time of scrutiny and change and the establishment of the IPO as a stand-alone office which relocated from California to Washington, D.C.

In September 2008, Mr. Renaud was selected as the fourth Director of the Vermont Service Center (VSC), which was one of the four centers responsible for the adjudication of more than 100 USCIS forms. His prior leadership USCIS experience includes serving as the Chief of the Transformation Program and Director of the Performance Management Division.

Mr. Renaud has served as a federal immigration professional since 1988, and a manager since 1996. He has a Bachelor's Degree in Economics and Political Science from the University of Vermont in Burlington, VT.

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Matthew D. Emrich

Associate Director

**Fraud Detection and National Security Directorate
U.S. Citizenship and Immigration Services**

Matthew Emrich was selected as the Associate Director of the Fraud Detection and National Security Directorate (FDNS) on November 15, 2015. Prior to this position, Emrich was the Deputy Associate Director of FDNS and has been a member of the Senior Executive Service since November 2012.

Emrich began his civilian government career in 1997 as a Special Agent for the legacy Immigration and Naturalization Service (INS) Chicago District. Following Sept. 11, 2001, he was detailed to the National Security Unit at INS headquarters and later selected for assignment to the Chicago Joint Terrorism Task Force. Emrich also served as a Supervisory Special Agent and Assistant Immigration and Customs Enforcement (ICE) Attaché at the U.S. Embassy in Riyadh, Saudi Arabia, to help establish the first permanent ICE Visa Security Program post. In February 2008, Emrich headed ICE's headquarters-based analytic units as a Deputy Assistant Director in ICE's Office of Intelligence.

Emrich served for eight years on active duty in the Marine Corps in infantry and counterintelligence. He was also deployed to Baghdad, Iraq, as a Senior Human Intelligence Analyst for multinational forces. He has a Master's degree in Strategic Intelligence from the Defense Intelligence Agency's National Intelligence University, a graduate certificate in Applied Management from the Australian Institute of Police Management and a Bachelor's degree in Criminal Justice Administration from Park University.

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Tammy M. Meckley

Associate Director

**Immigration Records and Identity Services Directorate
U.S. Citizenship and Immigration Services**

Tammy M. Meckley has over 15 years of experience with U.S. Federal Government in the Departments of Homeland Security and Justice, as well as service in the private sector, serving in key executive positions. Tammy holds a Bachelor of Science in Business Management from George Mason University.

As a Senior Executive, she's the Associate Director of the Immigration Records and Identity Services Directorate (IRIS). Prior to becoming the AD, Tammy served a four year term as the Deputy Associate Director for IRIS.

Ms. Meckley has also held several positions within Immigration and Customs Enforcement (ICE). There she served as Assistant Director, Office of Professional Responsibility, Immigration and Customs Enforcement (ICE), from April 2010 to November 2010; Acting Assistant Director, Detention and Removal Operations (DRO) Mission Support, ICE from October 2009 to April 2010; and Chief of Staff for Management, ICE Headquarters from July 2007 to October 2009.

From February 1996 to August 2004, Ms. Meckley served in various positions with the U.S. Department of Justice, including the Office of the United States Trustee, the United States Attorney's Office for the Southern District of Florida, and the Executive Office for United States Attorneys (EOUSA).

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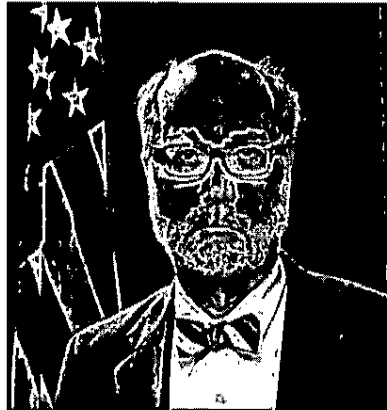
Tracy L. Renaud
Associate Director, Management Directorate
U.S. Citizenship and Immigration Services

Tracy L. Renaud is the Associate Director of the Management Directorate (MGT) for the U.S. Citizenship and Immigration Services (USCIS). Ms. Renaud assumed this role November 2, 2014, having formerly served as the Deputy Associate Director of the Management Directorate. She has responsibility for the operations of USCIS' Office of Administration, Office of the Chief Financial Officer, Office of Contracting, Office of Human Capital and Training, Office of Information Technology, Office of Intake and Document Production, Office of Performance and Quality, Office of Security and Integrity, and the Investment Management Division.

Ms. Renaud began her distinguished career with the Immigration and Naturalization Service in 1982, at the Vermont Service Center (VSC) and has more than 30 years of experience in the area of immigration benefits and services. her tenure at Headquarters, Ms. Renaud served in a variety of positions, including Chief of Field Operations and Deputy Associate Director, Refugee Asylum and International Operations. Also while at Headquarters, Ms. Renaud worked in the Services Modernization Program (now known as the Office of Transformation Coordination). She also served as a Senior Adjudications Officer within Service Center Operations Directorate during which time she was notably responsible for the implementation of the agency's Premium Processing program.

In April 2008, Ms. Renaud returned to Vermont as the USCIS Northeast Regional Director where she was responsible for the District and Field Offices in the northeastern quadrant of the United States. Ms. Renaud held this position until she rejoined Headquarters as the Deputy Associate Director of the Management Directorate in July 2013.

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Joseph Langlois

Associate Director

**Refugee, Asylum, and International Operations Directorate
U.S. Citizenship and Immigration Services**

Joe Langlois is the associate director of the Refugee, Asylum, and International Operations Directorate.

Langlois has spent more than 33 years working on asylum, refugee and immigration issues. In 1991, he joined the Immigration and Naturalization Service as an asylum officer at the San Francisco Asylum Office. He later became a supervisory asylum officer in San Francisco and the director of the Newark Asylum Office. In June 1997, Langlois was appointed as the first deputy director of the Asylum Division. He served as its acting director until his appointment as director in January 2001. In April 2012, Langlois was selected to serve as deputy associate director for RAIO.

In 2008, Langlois was the recipient of the Securing America's Promise Award. This award is the highest and most prestigious award granted within USCIS. In 2009, he received the Presidential Rank Award, Distinguished Executive. This is the nation's highest civil service award.

Langlois has been a member of the Senior Executive Service since January 2001. He is a graduate of Georgetown University's School of Foreign Service in Washington, D.C.

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Donald Neufeld

**Associate Director, Service Center Operations Directorate
U.S. Citizenship and Immigration Services**

Donald Neufeld currently manages Service Center Operations (SCOPS) Directorate as the Associate Director since January 2010. He oversees all policy, planning, management and execution functions of SCOPS. Mr. Neufeld began his career with the Immigration and Naturalization Service (INS) in 1983. Initially hired as a clerk in the Los Angeles District, he also served as an Information Officer, then Immigration Examiner. He also performed inspections of arriving passengers at Los Angeles International Airport.

Mr. Neufeld joined the INS management team in 1991. Over the next several years, he held progressively responsible management positions in the field, including Deputy Assistant District Director, Adjudications for the Los Angeles District, and Assistant District Director, Adjudications for the Miami District. He later joined Headquarters' Immigration Services Division to serve as the Director of Production Management.

In 2002, Mr. Neufeld was appointed Director of the California Service Center. In 2005 he served as the Acting Director of the Nebraska Service Center, and later as the Acting Director of the Miami District.

In January 2006 he joined USCIS Headquarters' Office of Domestic Operations, serving first as Chief of Field Operations. In January 2008 he became the Deputy Associate Director, Domestic Operations, and then serving as the Acting Associate Director, Domestic Operations.

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Ron Rosenberg
Chief, Administrative Appeals Office
U.S. Citizenship and Immigration Services

Ron Rosenberg currently serves as the Chief of the U.S. Citizenship and Immigration Services (USCIS) Administrative Appeals Office.

Mr. Rosenberg has previously served as the Director of USCIS' Arlington Asylum Office; Special Assistant within USCIS' Refugee, Asylum, and International Operations Directorate; USCIS Field Office Director at the U.S. Interests Section in Havana, Cuba; and Associate Counsel with the USCIS Office of the Chief Counsel.

Mr. Rosenberg began his public service as an attorney advisor with the Executive Office for Immigration Review in Miami, Florida. He has a B.A. from the University of Texas at Austin, a J.D. from the University of Virginia, and a M.A. in International Affairs from the Fletcher School of Law and Diplomacy at Tufts University.

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Ur Mendoza Jaddou
Chief, Office of the Chief Counsel
U.S. Citizenship and Immigration Services

On June 30, 2014, Ur Mendoza Jaddou was appointed as Chief Counsel for USCIS. Previously, Ms. Jaddou served with the U.S. Department of State, Bureau of Legislative Affairs, where she was Deputy Assistant Secretary. While there, she was responsible for developing and executing congressional strategy for the Department of State, including critical work on the reauthorization of the Iraq special immigrant visa program. Before that, Ms. Jaddou served as Chief Counsel for the Subcommittee on Immigration and Border Security, U.S. House of Representatives, and as senior counsel to Representative Zoe Lofgren.

Ms. Jaddou is a graduate of the University of California, Los Angeles School of Law and Stanford University. She is married and has two daughters.



Laura Patching
Chief, Office of Citizenship
U.S. Citizenship and Immigration Services

Laura Patching is the chief of the Office of Citizenship. In this capacity, she leads federal initiatives to promote the rights, responsibilities and importance of U.S. citizenship. She also oversees the development of citizenship education resources, training and outreach initiatives, and agency engagement with governmental, non-governmental, and international institutions on immigrant integration. Additionally, she leads efforts to enhance and coordinate interagency initiatives to support citizenship education and immigrant integration.

She joined the Immigration and Naturalization Service in 2001 and helped manage the Service's transition into USCIS after the passage of the Homeland Security Act of 2002. Patching has been part of the Office of Citizenship since it was created in 2003.

Before joining the federal government, she served in several positions in the Australian Department of Immigration and Citizenship (now referred to as the Australian Department of Immigration and Border Protection) both in Washington, D.C. and Santiago, Chile.

Patching received her B.A. from American University in Washington, D.C. and a post-graduate diploma from the University of Chile's Institute for International Studies in Santiago, Chile.

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Doline Hatchett
Chief, Office of Communications (OCOMM)
U.S. Citizenship and Immigration Services

Director León Rodríguez is announced the appointment of Doline Hatchett as the Chief of Office of Communications July 11, 2016.

Hatchett previously served as vice president of communications at the Export-Import (EXIM) Bank of the U.S., where she managed its digital practice, media relations, marketing, events and strategic communications. Before joining the EXIM Bank, she served as the director of media relations for AREVA, Inc., the world's largest nuclear energy provider. Before AREVA, Hatchett was the director of communications and public affairs at the U.S. Department of Energy.

Hatchett has more than 20 years of federal and corporate experience including a tour at the Department of Labor where she was the director of public affairs and field services. In earlier roles, Hatchett served as a public affairs advisor and spokesperson to two cabinet-level secretaries. She was also an on-camera spokesperson for the Department of Navy; she represented a two-star admiral for all communications issues.

Hatchett graduated with honors from Norfolk State University. She graduated from the Defense Information School at Fort Benjamin Harrison, Indiana, and completed the Department of Defense Public Affairs Officer course. Additionally, Hatchett completed the Executive Development courses at Harvard University, John F. Kennedy School of Government and the Federal Executive Institute in Charlottesville, Virginia.

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Paula Thomas
Chief, Office of Equal Opportunity and Inclusion
U.S. Citizenship and Immigration Services

Paula Thomas, Chief, Office of Equal Opportunity and Inclusion has over 20 years of leadership experience in EEO and Diversity Management. Prior to joining USCIS in 2010, she served as the EEO and Diversity Director for the IRS National Taxpayer Advocate and the Deputy Director of Equal Opportunity Programs at the University of Virginia in Charlottesville, VA. She holds a Bachelor of Science Degree in Public Administration from the City University of New York, Medgar Evers College and a Master of Public Administration Degree from John Jay College of Criminal Justice.

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Maria “Gemma” Button
Chief, Office of the Executive Secretariat
U.S. Citizenship and Immigration Services

Maria Gemma Button entered on duty June 30, 2014, as chief of the USCIS Office of the Executive Secretariat, and is responsible for managing USCIS’ top-level written communications.

From 2005 to 2014, Ms. Button served at the Department of Veterans Affairs (VA) as Deputy Executive Secretary in the Office of the Executive Secretariat, the central coordination point for all correspondence to and from the VA secretary and deputy secretary. Prior to Ms. Button’s appointment as Deputy Executive Secretary for VA, Ms. Button served as the Team Leader for Executive Support Services in the Office of Enterprise Architecture Management, Office of Information and Technology.

Previous to VA, Ms. Button served at the Department of Justice (DOJ) as the Assistant Director of DOJ’s Executive Secretariat. Ms. Button began her Federal career in July 1990 working for the Department of Transportation, Office of the Secretary, in both policy and operations.

Ms. Button holds a Bachelor’s of Science in Information Management Systems from the University of Maryland – Baltimore County. She is also a 2013 graduate of the Federal Executive Institute, Leadership for a Democratic Society program. Ms. Button is the daughter of immigrants from the Philippines, and she resides in Maryland with her husband and two young daughters.

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Angelica Alfonso-Royals
Chief, Office of Legislative Affairs
U.S. Citizenship and Immigration Services

On May 1, 2016, Angelica Alfonso-Royals was appointed chief of the Office of Legislative Affairs. She oversees the work of 160 employees who manage USCIS' interaction with members of Congress and their staff on matters of legislative development, immigration policy, agency operations and individual cases of interest.

Alfonso-Royals previously served as the chief of the Office of Communications (OCOMM). In this role, she provided oversight for the office to provide the USCIS workforce and the public with consistent, clear, and timely information about the agency and the nation's immigration system. Alfonso-Royals began serving as the deputy chief of OCOMM in 2009, became the acting chief in April 2012, and was named permanent chief in November 2014. She oversaw the successful communications launch of major initiatives including the Deferred Action for Childhood Arrivals program, the redesign of uscis.gov, the 2014 executive actions on immigration reform, and the redesign of the USCIS Today. She also spearheaded the use of social media at USCIS.

Alfonso-Royals has served four USCIS directors, providing advice and counsel on national and international issues. She has been with OCOMM since joining USCIS in 2004, previously serving as press secretary and as the first chief of strategic communications.

Before joining USCIS, Alfonso-Royals worked as a press secretary on Capitol Hill. She graduated from the University of Miami with a Bachelor of Science in political science and journalism.

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Denise A. Vanison
Chief, Office of Policy and Strategy
U.S. Citizenship and Immigration Services

Denise A. Vanison was appointed as the Chief of the Office of Policy and Strategy for U.S. Citizenship and Immigration Services on February 12, 2010.

Ms. Vanison was previously an associate and partner for over 18 years in the Washington, D.C. office of the law firm Patton Boggs LLP where she practiced immigration law. Additionally, Ms. Vanison has served on Patton Boggs' Management and Executive Committees and was chair of the Pro Bono Committee. An advocate for pro bono work and community service for over 18 years, she was a volunteer for Human Rights First, Capital Area Immigrants' Rights Coalition, the D.C. Bar Pro Bono Program, the Washington Lawyers' Committee for Civil Rights and Urban Affairs, and the Whitman Walker Clinic Legal Services. She has served on the Board of Directors of the Center for Justice and Accountability and as Co-chair of the Board of the Washington Lawyers' Committee for Civil Rights and Urban Affairs and was the recipient of the 2003 Washington Lawyers' Committee Outstanding Achievement Award in the field of Immigration and Refugee Rights. Ms. Vanison has also served as a volunteer at Francis Junior High School in Washington, DC, for almost 15 years.

Ms. Vanison received her Bachelor's degree from the University of Virginia, and her Juris Doctorate from Georgetown University Law Center. Ms. Vanison was an Adjunct Professor for a course on immigration law at American University Washington College of Law and has been a Guest Lecturer for a seminar course, International Protection of Refugees and Displaced Persons.

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Donald Hawkins
Chief, Office of Privacy
U.S. Citizenship and Immigration Services

Donald K. Hawkins was appointed Chief Privacy Officer of USCIS in November 2007. Mr. Hawkins leads agency-wide efforts to ensure USCIS adheres to federal privacy laws, regulations, and DHS policy.

Under Mr. Hawkins' executive leadership, the Office of Privacy sustains privacy protections and transparency of USCIS' operations at a global level, while supporting the mission of USCIS and the Department. Mr. Hawkins' spearheads a diverse and quality-driven workforce, delivering extensive privacy knowledge and a broad-range of experiences that has equipped him for mastering resolutions to challenges that are presented while leading privacy efforts within the agency.

Mr. Hawkins has held federal positions with the Department of Justice; Federal Bureau of Prisons; the Executive Office of the President; the Office of Management and Budget; and the Department of Homeland Security, U.S. Secret Service. In addition, he served in the U.S. Air Force from 1980 to 2003.

Mr. Hawkins completed a Master of Science degree in Organizational Leadership, is a Certified Information Privacy Professional in Government (CIPP/G) as well as a licensed teacher, trainer, and speaker. Mr. Hawkins is a native Mississippian and is married with two children.

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Kathleen Stanley
Chief, Office of Transformation Coordination
U.S. Citizenship and Immigration Services

Kathleen “Kath” Stanley was appointed as the Chief of the Office of Transformation Coordination on Oct. 1, 2012. As chief, she is responsible for ensuring that the new electronic immigration system, USCIS ELIS, provides superior service to USCIS customers, staff, and stakeholders.

Previously, Stanley served as the first chief of the USCIS Office of Intake and Document Production, where she led the consolidation of forms design, printing, document distribution, card production and the intake process for immigration benefits into one office.

During her 24 years with USCIS and the legacy Immigration and Naturalization Service, Stanley has worked in several offices. As the division chief for Lockbox Operations within the Office of the Chief Financial Officer, she was responsible for centralizing the form and fee intake process to a secure lockbox environment.

Kath’s extensive career as a public servant also includes service with the Department of Defense’s Office of the Inspector General and the Government Accountability Office. In conjunction with this, Kath has raised two wonderful daughters with her husband.

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Michael Valverde

Deputy Associate Director, Field Operations Directorate
U.S. Citizenship and Immigration Services

Michael Valverde was appointed Deputy Associate Director of the Field Operations Directorate on September 20, 2015.

From August 2013 until May 2015, Valverde served as Deputy Chief of the Refugee Affairs Division, which processed nearly 70,000 refugee admissions in both fiscal years 2013 and 2014. In September 2012, Valverde was selected as Refugee, Asylum and International Operations' Chief of Performance Management and Planning. He also served as the USCIS senior liaison officer to the United Kingdom Border Agency in London.

Valverde has worked in a federal immigration professional capacity since 1997. His federal career began as a Presidential Management Intern with legacy Immigration and Naturalization Service's Office of Adjudications. He has served in various roles and offices during his career, including the Administrative Appeals Office, the INS Office of Congressional Relations, and the International Operations Division.

Valverde was the valedictorian of his immigration academy BASIC class, attended the Senior Executive Fellows Program at Harvard University and graduated from the DHS SES Candidate Development Program. He holds Bachelor's Degrees in Latin American Studies and Government from the College of William and Mary and a Master's Degree in International Relations from the University of Delaware.

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Nicholas V. Colucci
Chief, Immigrant Investor Program Office
Field Operations Directorate

Nicholas V. Colucci is the Chief of the Immigrant Investor Program Office (IPO), a position he assumed in December 2013.

In this role, Mr. Colucci leads IPO's staff of adjudicators, economists, and program support specialists in administering the employment-based, fifth preference (EB-5) program.

Mr. Colucci joined USCIS with more than 21 years of experience with the Bureau of Alcohol, Tobacco, Firearms and Explosives (ATF) and the Department of the Treasury. Most recently he served as the Associate Director for the Analysis and Liaison Division at Treasury's Financial Crimes Enforcement Network (FinCEN). Prior to FinCEN, Mr. Colucci served as ATF's Deputy Assistant Director in the Office of Public and Government Affairs.

Mr. Colucci brings a formidable amount of law enforcement and regulatory experience. He has managed diverse teams dedicated to combatting fraud, money laundering, and terrorist financing.

Mr. Colucci received his B.A., Magna Cum Laude, from Long Island University and his M.B.A. from Loyola University.

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Robert Cowan
Director, National Benefits Center
U.S. Citizenship and Immigration Services

Robert Cowan became the director of the National Benefits Center in October 2003. The NBC processes applications for legal permanent residency and naturalization to prepare them for interview at USCIS field offices.

Cowan previously served as the first director of the legacy Immigration and Naturalization Service's National Records Center, which currently manages nearly 20 million A-Files. Cowan oversaw all NRC operations, which included Freedom of Information Act/Privacy Act processing, records management activities, and immigration status verification for governmental benefits granting agencies.

Cowan also served in a variety of positions in both public and private sector organizations, including the U.S. Department of Justice's Community Relations Service and the U.S. Peace Corps.

Cowan holds a Master of Business Administration from the University of Maryland, with a concentration in information technology and a Bachelor of Science in business administration from Southern Illinois University.

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Lori Pietropaoli
Regional Director, Northeast Region
U.S. Citizenship and Immigration Services

Lori Pietropaoli became the Regional Director for the Northeast Region on April 6, 2014. As Regional Director, she manages immigration services and information in 12 states, focusing on improving customer service, increasing openness and transparency and developing employees. Pietropaoli became a member of the Senior Executive Service in 2012 when she served as the District Director in Chicago, Illinois.

Pietropaoli began her career with the Immigration and Naturalization Service in 1993 as an immigration inspector in Montreal, Quebec, Canada. She was a District Adjudications Officer in Boston, Massachusetts, before transferring to INS Headquarters. She served in the Rome District Office as the Deputy District Director from 2007 – 2010, Acting District Director from November 2007 – March 2008 and Field Office Director from 2005 – 2007. Pietropaoli was the Southeast Region's Associate Regional Director for Operations from 2010 – 2012.

Pietropaoli received her bachelor's degree at Canisius College and master's degree from Boston University. She attended the Federal Executive Institute's Leadership in a Democratic Society in 2012 and Harvard University's Senior Executive Fellows program in 2007.

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Kathy Redman

**Regional Director, Southeast Region
U.S. Citizenship and Immigration Services**

Ms. Kathy Redman is the Regional Director for the Southeast Region. Prior to her current assignment, Ms. Redman was the District 10 District Director. Prior to that Ms. Redman was the Officer-in-Charge of the New Delhi, India Sub-Office for four years, covering all immigration benefits related matters throughout India, Sri Lanka, Bangladesh, Nepal, Bhutan and the Maldives.

Prior to serving in the New Delhi sub-office, Ms. Redman served for four years in Headquarters. During that time she served as the Acting Assistant Director, directing the writing of Immigration regulations; as Special Assistant to the Associate Director for Adjudications; and as the Acting Associate Director for Domestic Operations. Prior to going to headquarters, Ms. Redman was the Deputy District Director in Detroit, Michigan; the Assistant District Director for Adjudications in St. Paul, Minnesota; and a Supervisory District Adjudications Officer in Las Vegas, Nevada and Baltimore, Maryland. Ms. Redman began her career with Immigration in 1978 as an Inspector at JFK airport in New York. She moved to Baltimore as an adjudicator and then moved to Headquarters as the editor of the Administrative Appeals Unit.

Ms. Redman received her Bachelor of Arts degree in Criminal Justice from the University of Baltimore. She also has a Master of Public Administration and a Juris Doctorate from the same University. Ms. Redman is a member of the Maryland Bar Association.

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Robert Looney
Regional Director, Central Region
U.S. Citizenship and Immigration Services

Robert V. Looney entered on duty as Central Regional Director on April 21, 2013. The Central Region includes twenty-one states from the Canadian to Mexican borders within central United States. Prior to entering on duty as the Central Regional Director, Robert was the San Francisco District Director, beginning in August 2011.

Robert began his USCIS and legacy INS career as an Immigration Inspector in El Paso, Texas in 1978 and was promoted to the Supervisory Immigration Inspector position in 1983. He later served as an Immigration Officer and then Assistant Officer in Charge in Seoul, Korea. Other permanent assignments included Asia Desk Liaison Officer at INS Headquarters; Officer in Charge in Vienna, Austria; Assistant District Director for Examinations in El Paso; Director of the Los Angeles Asylum Office; and District Director of the Bangkok, Thailand District. He also completed temporary assignments in Miami, and in Afghanistan, Egypt, Macedonia, Turkey, and Saudi Arabia.

As part of his regional responsibilities in USCIS and Legacy INS service, Robert has traveled extensively in the U.S. and in many other countries. He speaks Spanish and studied Korean, Tagalog, and German during his overseas assignments. He earned his Bachelor of Arts Degrees in History and Journalism from the University of New Mexico and completed the U.S. Department of Agriculture Executive Potential Program in 1998 as well as the Leadership in a Democratic Society curriculum in 2009 from the Federal Executive Institute.

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Carolyn L. Muzyka
Regional Director, Western Region
U.S. Citizenship and Immigration Services

Ms. Carolyn Muzyka was appointed Regional Director of the Western Region of U.S. Citizenship and Immigration Services in September 2003. In this capacity, she oversees the management of complex immigration services to thousands of customers a year. She has regional oversight over 29 field offices and greater than 1,300 employees in the seven western states of California, Arizona, Nevada, Hawaii, Oregon, Washington, Alaska, the Territory of Guam and the Commonwealth of the Northern Mariana Islands. Ms. Muzyka has more than 38 years of immigration experience, including more than 27 years as a senior manager. She became a member of the Senior Executive Service in 2005.

Ms. Muzyka began her career with the legacy Immigration and Naturalization Service as an Immigration Inspector at LAX. She transferred to the Western Region Office in Laguna Niguel where she served in a variety of positions including the Program Manager for Inspections and the Associate Regional Director. As the first Regional Director for Western Region under USCIS, she played a key role in the standing up of the new agency and the transition of Western Region offices into USCIS.

Ms. Muzyka is a native Californian. She graduated from California State University in Fullerton with a dual major in German and Russian/Eastern European Studies.

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Denis C. Riordan
District Director, Boston
U.S. Citizenship and Immigration Services

In January 2004, Mr. Riordan was appointed District Director of U.S. Citizenship and Immigration Services District 1, Boston. Prior to that time he served as Deputy District Director responsible for INS operations in the States of Massachusetts, Connecticut, Rhode Island and New Hampshire.

After receiving an undergraduate degree from the University of Detroit, Mr. Riordan began his career with INS in 1978 as an immigration inspector in the Detroit District. He was promoted to an immigration examiner position in the Baltimore District in 1983. In 1987, he was selected as the first senior immigration examiner in INS. From 1988 to 1998, Mr. Riordan held the position of Area Port Director/Immigration Attaché assigned to inspections and adjudications activities in the Republic of Ireland. During this period, Mr. Riordan also served a term as the Acting Officer-in-Charge of the INS office London and Acting Deputy District Director INS Rome District, and headed multiple refugee processing assignments to locations in the Middle East and Europe. Mr. Riordan was promoted to Deputy District Director in Boston in 1998. He served as the Acting District Director in Boston during the period September 2001 through February 2003.

Mr. Riordan resides in Braintree, Massachusetts with his wife, Mary, and five children.

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Michael McCleary
Field Office Director, Boston
U.S. Citizenship and Immigration Services

Michael J. McCleary entered on duty August 21, 2016, as the Field Office Director (FOD) in Boston. The Boston Field Office serves southern Massachusetts and the greater Boston area. Prior to being appointed FOD, Mr. McCleary served as a Section Manager in the Boston Field Office beginning in April 2013.

Mr. McCleary started his career as a District Adjudications Officer in the Providence, RI Field Office in June 2004. In 2008, Mr. McCleary was selected as a Supervisory Adjudications Officer in the Providence, RI Field Office. In 2010-2011, Mr. McCleary also served as the acting FOD in the Providence Field Office for 9 months. In 2011, Michael was then assigned to the Boston Field Office as Supervisory Immigration Services Officer.

Mr. McCleary is a native of Massachusetts. Michael graduated Magna Cum Laude from Bridgewater State College, Bridgewater, MA with a degree in Criminal Justice. Michael resides in Mansfield, Massachusetts with his wife, Christine, and two children, Stephen and Julia.

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Luis Chaves
Field Office Director, Lawrence
U.S. Citizenship and Immigration Services

Luis “Lou” Chaves is the new Field Office Director at the Lawrence Field Office of United States Citizenship and Immigration Services (USCIS). The Lawrence Field Office is part of District 1 (Boston) and the Northeast Region of USCIS.

Chaves is a naturalized citizen who emigrated to the U.S. from the small island of Santa Maria in the Azores in 1967 when he was ten years old. He naturalized at historic Faneuil Hall in Boston, Massachusetts. In 1975, at age 18, he joined the U.S. Navy and proudly served until 1998 when he retired as a Chief Petty Officer.

Chaves began his immigration career in 2002 at the Phoenix Field Office of “Legacy INS” as a District Adjudications Officer. From 2002 to 2007, he adjudicated various applications and petitions for immigration benefits. In 2007, when his term appointment ended, he went to work for the Internal Revenue Service as a Revenue Officer until 2008, when he returned to USCIS as a permanent District Adjudications Officer and later served as a Senior Immigration Services Officer. In March 2009, he was selected as a Supervisory Immigrations Services Officer for the Lawrence Field Office in Lawrence, Massachusetts. While preparing for that office to officially open in July 2009, he worked as a SISO at the Boston Field Office.

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Adam Bergeron
Field Office Director, Providence
U.S. Citizenship and Immigration Services

Adam Bergeron is the Field Office Director of the Providence Field Office. He entered on duty with USCIS in 2008 as an Immigration Services Officer (ISO), and became a Supervisory ISO in 2010. Adam began his new position as Field Office Director on May 5, 2013 after serving details as the Acting Field Office Director in Providence and Acting Section Chief at the Boston Field Office.

Prior to joining USCIS, Adam worked as a musician, teaching and performing on the trumpet. He received a Bachelor's degree from Western Michigan University, and worked as a teaching assistant while attending graduate school at Illinois State University and the University of Connecticut.

Adam resides in Sterling, Connecticut, with his wife, Zoila, their daughter, Ella, and son, Samuel. He spends the majority of his free time taking his kids to their activities.

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Andrea Rogers
Field Office Director, Manchester
U.S. Citizenship and Immigration Services

Andrea Rogers was selected as the Field Office Director, Manchester, New Hampshire on August 10, 2015.

Ms. Rogers joined U.S. Citizenship and Immigration Services (USCIS) following 14 years of service in numerous capacities within U.S. Immigration and Customs Enforcement (ICE). From 2001 until 2004 she represented the legacy INS and ICE as an Assistant Chief Counsel in Miami, Florida. From 2004 until 2010, she served the ICE Office of the Principal Legal Advisor in Washington D.C. as an Associate Legal Advisor, a Deputy Chief, and as Chief of ICE's National Security Law Division. In 2010 she joined ICE's Enforcement and Removal Operations program, also in Washington, D.C., serving in various positions, including Chief of Staff and Senior Advisor for Field Operations.

Ms. Rogers received her undergraduate degree in Applied Economics from the University of Minnesota and is an honors graduate of the William Mitchell College of Law.

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Sally Blauvelt

**Field Office Director, Portland, ME
U.S. Citizenship and Immigration Services**

Sally Blauvelt is the Field Office Director of the Portland Field Office in US Citizenship and Immigration Services (USCIS) District 1. Ms. Blauvelt previously served as the Deputy Chief for the Office of Public Engagement (OPE) within USCIS.

Ms. Blauvelt began her work in outreach in 2001 under legacy INS with the former Community Relations Program. Since that time, the Community Relations Program has been housed within the Office of Policy and Strategy, the Office of Citizenship, and the Office of Communications. Former USCIS Director Alejandro Mayorkas created the Office of Public Engagement in September 2009. At that time, the Community Relations program was moved into OPE as one of the three divisions under this new office.

Ms. Blauvelt began her federal career in 1996 as an asylum officer for the Arlington Asylum office. Prior to that, she spent several years in the refugee camps of Thailand, Malaysia, and Hong Kong working with unaccompanied minors and victims of violence for the United Nations High Commissioner for Refugees and the International Rescue Committee. Ms. Blauvelt was a Peace Corps volunteer in Kenya in the mid-1980s. She received her Bachelor's degree in Political Science from San Jose State University and her Master's Degree in International Management from the American Graduate School of International Management.

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Edward Newman
District Director, Buffalo
U.S. Citizenship and Immigration Services

Edward A. Newman began his U.S. Government career in 1988 with the Immigration and Naturalization Service. He worked as an Immigration Inspector at land-border ports-of-entry in Niagara Falls and Buffalo, New York. He later became an Adjudications Officer at the Buffalo District Office and in 2000 was promoted to Supervisory Adjudications Officer, where he served until April 2007, when he became the first Field Office Director for the newly formed Buffalo Field Office under US Citizenship and Immigration Services, and now currently serves as the District Director for D02.

Mr. Newman was honored with a USCIS Commissioner's award, "Supervisor of the Year" in 2006. He is a native Western New Yorker with a Bachelor of Arts Degree in Communication from the State University of New York at Buffalo.

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Carmen Whaling
Field Office Director, Buffalo
U.S. Citizenship and Immigration Services

Carmen M. Whaling was selected as the Field Office Director of the Buffalo Field Office on February 21, 2016.

Ms. Carmen Whaling began her career with U.S. Citizenship and Immigration Services in April 2005 as a District Adjudications Officer at the Charlotte, NC Field Office. In March 2012 she accepted the challenge of serving in the capacity of Supervisory Immigration Services Officer in Charlotte. This position afforded her the opportunity to train and mentor those around her, assist them in the identification of career goals and provide support in their efforts to achieve while re-enforcing the USCIS mission and core values. Ms. Whaling has also participated in various assignments to include the Hurricane Sandy assistance mission in New York and details in Service Center Operations at the Texas Service Center, the Office of Transformation, and HQ Field Operations Directorate. In July 2015 Ms. Whaling transferred to the Atlanta Field Office where she served as a Section Manager. In February 2016 Ms. Whaling joined the Buffalo Field Office team where she is currently serving as the Field Office Director.

Ms. Whaling graduated from the University of North Carolina at Charlotte with a BSBA degree having majored in International Business. Ms. Whaling also obtained an Executive Leadership Certificate from Cornell University.

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Gwynne Dinolfo
Field Office Director, Albany
U.S. Citizenship and Immigration Services

Gwynne Dinolfo began her career with the Immigration and Naturalization Service in May 1997 as a college intern. She served as an Immigration Services Officer at the Albany Field Office from May 1998 until February 2007, and was promoted from within the office to Supervisory Immigration Services Officer in February 2007. She now serves as the Albany Field Office Director. She is a graduate from Southern Vermont College located in Bennington, Vermont with a degree in Criminal Justice.

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Nieves Cardinale
Field Office Director, Hartford
U.S. Citizenship and Immigration Services

Nieves Cardinale has 32 years of government service with the legacy Immigration and Naturalization Service (INS), U.S. Customs and Border Protection (CBP), and currently with U.S. Citizenship and Immigration Services (USCIS). Mrs. Cardinale was promoted to Field Office Director at the Hartford Field Office on April 4, 2016.

Mrs. Cardinale began her career as an Immigration Inspector at JFK Airport in NY in June 1984, promoted to Special Operations Officer in 1992 and promoted to Supervisory Immigration Officer in 1994. In 1997, Mrs. Cardinale was promoted to Supervisory Deportation Officer at NYC. In May 2001, she was appointed Area Port Director and Assistant District Director for Inspections at Philadelphia International Airport. While in Philadelphia she assumed the additional role of Acting Deputy District Director and Acting District Director from September 2001 through May 2003. Mrs. Cardinale returned to the Philadelphia airport and was the Branch Chief for Passport Control with Customs and Border Protection. In April 2007, Ms. Cardinale was appointed Supervisor Immigration Officer with USCIS at the Mount Laurel, New Jersey, Field Office and in January 2008 she was promoted to Field Office Director at the Mount Laurel Office.

Mrs. Cardinale is married to Joseph Cardinale and has two grandchildren.

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Michael Paul
Field Office Director, St. Albans
U.S. Citizenship and Immigration Services

Michael J. Paul began his position as Field Office Director of the St. Albans Field Office, St. Albans, Vermont on January 25, 2016.

Michael began his federal service career in 1992 with legacy INS as an immigration inspector at the Los Angeles International Airport. Over his 24 year career, he has held various officer corps, supervisory, and management positions within legacy INS and USCIS. More recently, he served as an Assistant Center Director from 2007 to 2011 at the Vermont Service Center, an Adjudications Officer at USCIS headquarters from 2011 to 2012, and a Supervisory Immigration Services Officer in the National Security Unit at the Vermont Service Center from 2012 through 2015.

Michael is a graduate of Illinois State University completing a Bachelor's degree in 1985 and a Master's degree in 1989.

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Phyllis Coven

District Director, New York, NY

U.S. Citizenship and Immigration Services

Phyllis A. Coven entered on duty as District Director for the New York District Office on March 24, 2014. Ms. Coven has two decades of experience working for both the federal government and international organizations, leading a wide range of immigration and refugee initiatives. She is known internationally for her work on refugee and migration emergencies, and is credited with having created a group methodology for resettlement which now accounts for more than one half of the referrals UNHCR makes to resettlement partners. She is one of the few members of the Department who has worked for Immigration Naturalization Services (INS), U.S. Citizenship and Immigration Services (USCIS), Immigration and Customs Enforcement, the Department of Justice (DOJ), the United High Commissioner for Refugees (UNHCR), and the International Organization for Migration.

Ms. Coven began her federal service as a Deputy Associate Attorney General at DOJ where she was responsible for the immigration portfolio (1993-1995). She later served as the Director of INS, Office of International Affairs (1995-1998), where she was the key policy and operational official responsible for implementing the reform of the United States asylum system. She also served as the primary point of contact with the National Security Council for DOJ and INS in handling the Haitian and Cuban boat emergencies during the mid-1990s. In addition, Ms. Coven played a pivotal role in creating the first regional consultative process on migration, and established unprecedented cooperation with Mexico and Central American governments on returns and smuggling.

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Wilhelm Bierman

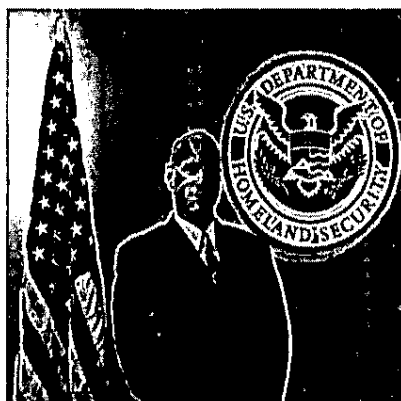
**Field Office Director, New York, NY
U.S. Citizenship and Immigration Services**

Wilhelm F. "Will" Bierman has been selected as the Field Office Director. He began his new role on June 12, 2016.

Mr. Bierman joined USCIS in November 2006, as an Asylum Officer with the Houston Asylum Office. He quickly became a subject matter expert in the Credible Fear/Reasonable Fear Expedited Removal processes, and became a Supervisory Asylum Officer in April 2007. He served as a Supervisory Refugee Officer with Refugee, Asylum, and International Operations (RAIO) in April 2009. During his time in the Refugee Corps, Mr. Bierman led Refugee Officers in Iraq, Egypt, Kuwait, UAE, Yemen, Jordan, Libya, Thailand and Malaysia. In September 2013, Mr. Bierman became the Supervisory Immigration Officer for the Fraud Detection and National Security Directorate in USCIS District 25, covering Arizona and Nevada. He left District 25 FDNS to become the Deputy Field Office Director for the New York City Field Office in USCIS District 3 in October 2014. Prior to joining USCIS, Mr. Bierman was a commonwealth attorney for the Commonwealth of the Northern Mariana Islands (CNMI) on the island of Saipan, an attorney the State of Wyoming, and an officer and attorney with the United States Army Judge Advocate Generals' Corps.

Mr. Bierman received a Bachelor's Degree from the University of Wyoming, in Laramie, Wyoming. He obtained his Juris Doctorate from the University of Wyoming College of Law.

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Bryan Christian
Field Office Director, Queens
U.S. Citizenship and Immigration Services

Bryan P. Christian has been the Field Office Director of the Queens Field Office since November 2014. Since December 2015, he has also served as the Field Office Director of the New York Field Office Adjustment of Status Unit and has had oversight of the New York City Customer Service Unit. Mr. Christian began his career with the legacy Immigration and Naturalization Service (INS) in March 2000 as an Asylum Officer in the Chicago Asylum Office. In October 2003, Mr. Christian became a Program Manager at Asylum Division Headquarters. In March 2007, he became the Deputy Director of the Arlington Asylum Office. In March 2009, Mr. Christian became the Branch Chief for Adjustment and Naturalization in the Service Center Operations Directorate (SCOPS). In 2011, he served as the Acting Field Office Director of the Washington Field Office. From July 2012 until March 2014, he represented SCOPS in USCIS Transformation and served as Product Owner for the USCIS Electronic Immigration System (USCIS ELIS). Between March and November 2014, Mr. Christian was the Branch Chief for Law Enforcement Support Operations (LESO) in the Fraud Detection and National Security Directorate (FDNS).

He holds a Bachelor of Arts from Drew University and a Master of Arts from Georgetown University. Mr. Christian was a Fulbright Research Scholar in Germany.

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Elizabeth Miller
Field Office Director, Long Island
U.S. Citizenship and Immigration Services

Elizabeth Miller entered on duty as the Field Office Director for the Long Island Field Office in April 2013.

Elizabeth Miller began her government career in 1980 in the United States Air Force. After serving on active duty for 8 years she continued her military service in the United States Air National Guard while also attending the University of the Air Force.

In 1989, Ms. Miller began her civilian government career with the Legacy Immigration and Naturalization Service as an Immigration Inspector at John F. Kennedy International Airport in New York where she was later promoted to Supervisory Immigration Inspector in 1995. Then in 1999, Ms. Miller transferred to Adjudications at the Garden City Field Office in New York assuming the role of Supervisory District Adjudications Officer. In 2007, she became a Section Manager in the Garden City Field Office.

In 2010, Ms. Miller became the first Section Manager of the brand new Long Island Field Office, the first full-service field office of its kind on Long Island, located in Holtsville, New York. Then in 2013, with over 20 years of military service and 24 years of civilian service, Ms. Miller was selected to lead the Long Island Field Office as its Field Office Director.

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John Thompson
District Director, Newark
U.S. Citizenship and Immigration Services

John Thompson has approximately 36 years of experience with the Immigration and Naturalization Service (INS), U.S. Customs and Border Protection (CBP), and most recently with U.S. Citizenship and Immigration Services (USCIS). Dr. Thompson began his latest appointment as the CIS District Director for Newark New Jersey on February 04, 2007.

John Thompson began his career with the Federal Government in June 1975 as an Immigration Inspector for the U.S. Immigration and Naturalization Service on the Northern Border. He transferred to JFK International Airport (JFKIA) in June 1977. He became a Supervisory Immigration Inspector at JFKIA in 1985 and was promoted to Assistant Area Port Director in 1990. Dr. Thompson transferred to Newark International Airport in February 1996 as the Area Port Director/Assistant District Director of the Inspections Branch of the Newark, New Jersey District. In October 2000, he was designated the Acting Deputy District Director of the Newark District. With the creation of U.S. Customs and Border Protection within the Department of Homeland Security in March 2003, he was designated the Acting Assistant Director for Immigration Policies and Procedures for the New York Field Office. In October 2004, he was promoted to the position of CBP Assistant Director Field Operations, Border Security and Facilitation for the New York Field Office.

John Thompson has a Bachelor of Science degree in psychology from Brockport State University (1975), a Master's of Science in psychology from Rutgers University (1978) and a PhD in psychology from Rutgers University (1983).

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Randi Borgen
Field Office Director, Newark
U.S. Citizenship and Immigration Services

On July 3, 2011, Ms. Borgen was promoted to the position of Field Office Director of the Newark Field Office.

She began her career as an Office Automation Clerk in October 1992 in the New York City District in the Naturalization Unit. In October 1995, she was promoted to District Adjudications Officer (DAO). In 1998, Ms. Borgen was a DAO in the Refugee and Parole Unit. In July 2000, she was promoted to Supervisory District Adjudications Officer (SDAO) in the Naturalization Unit in the New York City District. In November 2001, Ms. Borgen transferred to the Newark District Office as a Supervisory District Adjudications Officer. In April 2003 she worked in the Adjustment of Status Unit. She worked as an SDAO in the Adjustment of Status Unit until she was promoted to Section Manager in December 2006.

On December 10, 2006, Ms. Borgen was promoted to Section Manager overseeing the CIS employees at the Application Support Center as well as the Records Department, Information Unit and our Special Projects Unit. Shortly thereafter, Ms. Borgen took over as Section Manager for the Adjustment of Status Unit. She worked as a Section Manager in the Adjustment of Status Unit until her current promotion as Field Office Director in July 2011.

Ms. Borgen received a Bachelor of Arts Degree in Liberal Arts from Hunter College in 1992.

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Ya-Mei Chen
Field Office Director, Mt. Laurel
U.S. Citizenship and Immigration Services

Ya-Mei Chen started as the Field Office Director on March 20, 2016.

Ya-Mei Chen began her career with USCIS as an Application Adjudicator at the National Benefits Center in 2005. She was promoted to Immigration Service Officer II in 2007. In 2010 Ya-Mei was selected as the first Community Relations Officer at the NBC. Ya-Mei was promoted to Supervisory Immigration Service Officer in 2012. In 2013, Ya-Mei served as USCIS Academy adjunct faculty and taught Immigration Service Officer Basic courses at Lee's Summit, Missouri location. She then served as Supervisory Immigration Services Officer at Background Check Unit at NBC Overland Park office. She is a certified mediator providing Alternative Dispute Resolutions service to federal agencies in Kansas City Metropolitan area.

Before working for the NBC, Ya-Mei worked for the Internal Revenue Service as a Tax Examiner. Ya-Mei was a reporter covering Kansas City local news for the World Journal which is the largest Chinese newspaper in North America. Ya-Mei spent ten years volunteering in the Chinese School of Greater Kansas City. She served as a language instructor, secretary, vice principal, and eventually principal for a school, where she managed more than 140 students and 20 teachers and staff. Ya-Mei holds a Master's degree in Journalism with an emphasis in Public Relations from the Ohio State University. She is an immigrant from Taiwan and proudly became a U.S. citizen in 2002.

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Michael Borgen
District Director, Philadelphia
U.S. Citizenship and Immigration Services

Michael Borgen started as the District Director of the Philadelphia District on October 18, 2015. Mr. Borgen joined the Immigration & Naturalization Service in October 1995 as a District Adjudications Officer, at the New York District. In December 1996, Mr. Borgen assumed the duties of the Staff Officer to the Assistant District Director for Adjudications and as the New York District's Law Enforcement Liaison Officer. In September 2000, Mr. Borgen was selected as a Supervisory District Adjudications Officer for New York's Adjustment of Status Section. In November 2001, Mr. Borgen transferred to the Newark District Office and became the supervisor of the unit. In February 2003, Mr. Borgen was detailed to the Cherry Hill Office and remained there as the Acting Officer in Charge in the absence of the incumbent, guiding the office through a major renovation. In July 2004, Mr. Borgen was selected as the Officer in Charge for Cherry Hill. In October 2006, Mr. Borgen moved his staff from the Cherry Hill office to their new office in Mount Laurel. He later assumed the title of Field Office Director upon reclassification of the position. In October 2007, Mr. Borgen transferred to District 3 in New York, as the Chief of Staff. In January 2012, Mr. Borgen was promoted to the position of the Deputy District Director.

A native of Michigan, Mr. Borgen enlisted in the U.S. Navy in 1986. His job assignments ranged from personnel specialist to Personnel Officer, as he rose through the enlisted ranks. Through the length of his naval career, Mr. Borgen traveled to Europe and Asia, and transited the Arctic Circle, the Equator, and the Suez Canal.

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Kathy Bausman
Field Office Director, Philadelphia
U.S. Citizenship and Immigration Services

Kathleen Bausman has been selected as the Field Office Director of the Philadelphia Field Office on June 12, 2016.

Ms. Bausman began her government career in 1992 with the legacy Immigration and Naturalization Service as an Immigration Examiner, was promoted to Supervisor in 2001, and then to Section Chief in 2008. During her tenure, she has had a wide range of experiences and has managed the Adjustment of Status Unit, Naturalization Unit, Records Department, Customer Service Unit, and Application Support Centers. Additionally, she served as Special Assistant to the Associate Director for Field Operations from June 2014 through September 2014.

Ms. Bausman is a native of Philadelphia and has a bachelor's degree from Temple University.

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Michael Horvath
Field Office Director, Pittsburgh
U.S. Citizenship and Immigration Services

Michael Horvath started as the Field Office Director of the Pittsburgh Field Office on August 23, 2015.

Michael began his career with USCIS in July 2005 as a term District Adjudications Officer. He also served as an Immigration Information Officer and Immigration Services Officer before becoming a Supervisory Immigration Services Officer in 2012. Michael has extensive experience in adjudication of immediate relative petitions, family based adjustment of status, and naturalization and citizenship applications. In the spring of 2015, Michael was selected to be an Adjunct Instructor at the USCIS Academy. Prior to joining USCIS, Michael held positions as a paralegal focusing on employment based immigration and as a consultant working with foreign students and scholars.

Michael holds a Bachelor of Science in Psychology from the University of Pittsburgh and a Master of Science in Legal Studies from California University of Pennsylvania. He is a graduate of the U.S. Department of Agriculture, Center for Leadership Management, New Leaders Program and has completed numerous immigration law and leadership courses through the USCIS Academy and the Federal Law Enforcement Training Center.

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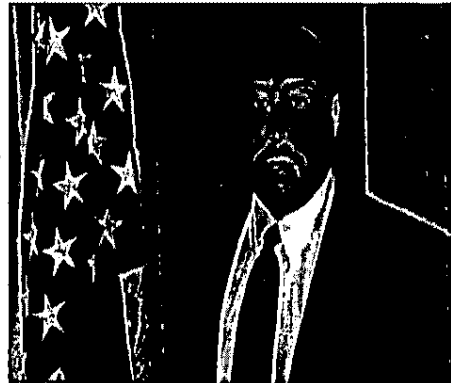
Gregory Collett
District Director, Baltimore
U.S. Citizenship and Immigration Services

Mr. Gregory L. Collett was selected in June of 2010 to return as the District Director for District 6 (Baltimore). Mr. Collett previously served as District Director of District 6 from 2007 - 2008. Until his appointment as District Director, Mr. Collett served as the Chief of the Office of Transformation (OTC). Mr. Collett was appointed Chief of the OTC in November 2008.

Mr. Collett's immigration career began in 1989 with legacy Immigration and Naturalization Service (INS) in the Baltimore District Office's Asylum Branch. He subsequently held several field office positions, including Examiner and Inspector, and worked on a range of adjudications portfolios, until transferring to Headquarters in 1995. While at Headquarters, Additionally, he worked on technical policy and process issues with the Office of Congressional Affairs for two years before joining the Office of Field Operation's Fingerprint Unit in 1997. Prior to becoming District Director for the Baltimore District, Mr. Collett, as Branch Chief for the Application Support Centers (ASCs), led the team responsible for operating over 134 ASCs and 54 Designated Law Enforcement Agencies across the country.

Mr. Collett graduated from Towson University with a Bachelor of Arts degree in English.

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Conrad Zaragoza
Field Office Director, Baltimore
U.S. Citizenship and Immigration Services

Conrad J. Zaragoza was selected as the Baltimore Field Office Director on August 12, 2013.

Zaragoza, a native of Los Angeles, California, began his career with INS in 1993. Prior to joining INS, Zaragoza, a veteran of the first Gulf War, served twelve years in the United States Marine Corps and was Honorably Discharged in October of 1992.

Conrad J. Zaragoza has over twenty years of Immigration Officer experience and leadership with the former INS, and with CBP and USCIS. He has served in progressively challenging assignments as District and Center Adjudications Officer; FLETC Law Instructor; Application Support Center Manager; Supervisory District Adjudications Officer; Port Director; Officer-in-Charge; Field Office Director; Associate Regional Director; Deputy Chief, Office of Field Operations; Chief of the Biometrics Division; and Chief of Staff of the Fraud Detection and National Security Directorate.

Zaragoza attended Southern Illinois University. In 2008 he graduated from the Federal Executive Institute where he completed the Leadership for a Democratic Society program and in 2009 he attended the Center for Leadership Development and completed the Dynamics of Public Policy program. In 2011, he attended and completed the School of Public Affairs, American University, Key Executive Program.

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Sarah Taylor
District Director, Washington, DC
U.S. Citizenship and Immigration Services

In August, 2009, Ms. Taylor became District Director for the Washington District of USCIS. For 5 years prior to coming to the District, Ms. Taylor served as Chief, Office of Congressional Relations (OCR), U. S. Citizenship and Immigration Services (USCIS). Sarah had been with legacy INS for 16 years in Congressional Relations, most recently as Acting Director of Congressional Relations.

Ms. Taylor began her career with the Federal Government in 1987 as a Congressional Liaison in the INS Office of Congressional Relations. While working, she earned a Master's Degree in Public Administration with a concentration in Executive, Legislative and Regulatory Management from The George Washington University. Ms. Taylor graduated from Cornell University in 1986, with a Bachelor of Arts in American Government.

She is married to Sam Taylor Jr. and has two children, Caitlin and Sam.

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Kim Zanotti
Field Office Director, Washington, DC
U.S. Citizenship and Immigration Services

Mrs. Zanotti began her career as an Immigration Inspector in 1991 working pre-flight inspection at Dorval Airport in Montreal, Canada. In early 1993, she transferred to the INS Newark district as a District Adjudications Officer. In late 1998, Mrs. Zanotti became a Supervisory District Adjudications Officer in the Adjustment of Status unit. In April 2003, Mrs. Zanotti was transferred to the naturalization unit to supervise officers for N-400 Applications for Naturalization.

In August 2005, she was promoted to the position as Section Manager over the naturalization unit. In April 2007, she became the Newark Field Office Field Office Director where she has oversight over all operational and support functions of the office. She also successfully completed the 2008 DHS Fellows Program. In July 2011, she was transferred to the Washington Field Office in Fairfax, Virginia where she has oversight over all operational and support functions of the office.

She has a Bachelor of Arts Degree in Modern Languages (Spanish) and a minor in Secondary Education from St. Bonaventure University in May 1991.

Mrs. Zanotti is married to Immigration and Customs Enforcement Program Manager William Zanotti and they have two children, Dan and Kelly.

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Frank C. Reffel
Field Office Director, Norfolk
U.S. Citizenship and Immigration Services

Frank C Reffel is the Field Office Director for the Norfolk Field Office. He began his new role on January 25, 2015.

Mr. Reffel was born in Brooklyn, NY and grew up in Connecticut. Mr. Reffel joined the U.S. Army straight out of high school and after his return embarked on a successful career as a professional chef. In the following years he worked for the U.S. Postal Service, first as a clerk and then as an Acting Postmaster in several locations throughout Connecticut.

In 2002 Mr. Reffel started with the U.S. Customs Service at JFK International Airport. After the creation of DHS, he became a Customs and Border Protection Officer at the same port of entry. During the transition, Mr. Reffel began working with the legacy Immigration Primary/Passport Control and quickly progressed to working in Secondary. Mr. Reffel joined USCIS at the Hartford, CT Field Office in late 2005 as an Adjudications Officer/ISO-II. In 2012, he took a promotion to an ISO-III at the Norfolk Field Office, and in June of 2014 started a one year detail at the Raleigh-Durham Field Office as a supervisor. The detail was cut short by his promotion to the Field Office Director's position back at the Norfolk Filed Office effective January 2015.

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Denise M. Frazier
District Director, Atlanta
U.S. Citizenship and Immigration Services

On August 2, 2009 Ms. Frazier entered on duty as the District Director for District 8-Atlanta. In this capacity Ms. Frazier oversees the USCIS operations for District 8, which encompasses all of Alabama, Georgia, North Carolina and South Carolina. In addition, District 8 has a USCIS military operation on Ft. Benning, and on the Parris Island Marine Corp base.

Denise M. Frazier began her federal career in 1987 with USINS as an Applications Clerk in the Western Adjudications Center (now known as the California Service Center). In December 1988, she was promoted to the position of Center Adjudications Officer at the California Service Center. From 1992 to 1999 she was promoted to several supervisory and managerial positions within the California Service Center. In May 1999, Ms. Frazier transferred to the San Francisco District Office as a Supervisory District Adjudications Officer. In January, 2000 she was promoted to Director of Benefits for the San Jose Sub-Office. In March 2001 Ms. Frazier was promoted to Assistant District Director, Adjudications (ADDA) for the San Francisco District. In January, 2004 Ms. Frazier was selected as the Field Office Director for the St. Paul Field Office.

Ms. Frazier has a bachelor's degree in Public Administration from National University in California. She is a graduate of OPM's Federal Executive Institute and the Harvard Kennedy Executive Education program.

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Brett R. Rinehart
Field Office Director, Atlanta
U.S. Citizenship and Immigration Services

Brett R. Rinehart began his role as the Field Office Director in Atlanta, Georgia on October 19, 2014.

Brett began his civil service career in 1996 with the Immigration and Naturalization Service (INS), where he served for four years as an Immigration Inspector. As an Inspector, he worked the ports of entry in Miami, Florida, and Tampa, Florida. Brett was selected in 2006, as a Senior ISO at the Tampa Field Office. Within two years he was promoted to serve as Tampa's Branch Chief. Brett has served in the capacity of Acting Field Office Director at both the Tampa and West Palm Beach Field Offices, as well as, Acting Branch Chief at the Oakland Park Field Office.

In December 2011, he began serving as Special Assistant to the Regional Director at the Southeast Region located in Orlando, Florida. In 2013, Brett was selected for the Department of Homeland Security's (DHS) Fellows Program designed to strengthen leadership skills through a proven combination of innovative coursework and Department-wide networking that are tailored to DHS's unique operating environment.

Prior to his career in public administration, Brett proudly served in the United States Army from 1987 to 1995. He earned numerous awards while serving his country.

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Kristian M. Parker
Field Office Director, Charleston
U.S. Citizenship and Immigration Services

Kristian M. Parker has been selected as the Field Office Director of the Charleston Field Office in South Carolina. She began her new role on March 6, 2016. Ms. Parker is proud to be part of the inaugural cohort of the FOD Field Operations Director in Training (FIT) Program.

She began her career with USCIS as an Immigration Services Officer (ISO) in 2008. As an ISO, she led a team to create an electronic resource library called District 3 Adjudicative Resources and Tools. From April 2012 to November 2014, Ms. Parker was a Supervisory Immigration Services Officer (SISO) in the New York Field Office. She also served as a Special Assistant to the Section Chief and developed a collaborative, team-based scheduling system. She served as Section Chief for the Adjustment of Status Unit in the New York Field Office from November 2014 through March 2016. In that capacity she led her team of more than sixty staff to develop and implement process improvements that dramatically improved adjudication process efficiency.

Ms. Parker received her Juris Doctorate from Duquesne University School of Law in Pittsburgh, PA, where she was inducted into the Musmanno Honor Society for Excellence in Oral Advocacy. She also studied international law in Ireland at University College Dublin and Queen's University Belfast. She is admitted to the Bars of Pennsylvania and New Jersey. Her Bachelor of Arts degree is from Chatham University.

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Leander Holston
Field Office Director, Charlotte
U.S. Citizenship and Immigration Services

Mr. Leander B. (Lee) Holston entered on duty as the Field Office Director, Charlotte Field Office of U.S. Citizenship and Immigration Services (USCIS) in March of 2014. On September 30, 2002, Mr. Holston began his career with the former Immigration and Naturalization Service (INS). For two years he worked as an Immigration Inspector in San Diego, California, first assigned to the San Ysidro Port of Entry and later the Otay Mesa Port of Entry.

Mr. Holston transferred to Phoenix as a District Adjudications Officer in October of 2004. In May 2008, Mr. Holston was selected as Supervisory Immigration Services Officer (Temporary) and subsequently selected permanently in September of 2008. In December of 2009, Mr. Holston was selected as the Field Office Director for the New Orleans Field Office in Metairie, Louisiana.

Prior to joining INS, Mr. Holston served in the U.S. Marine Corps. He enlisted in May 1971 and attended basic training at Parris Island, South Carolina. He retired from the Marine Corps on February 1, 2002, having attained the rank of Master Gunnery Sergeant, the highest enlisted rank. He attended McKenzie Business College where he received a diploma in Junior Executive Duties in March of 1971. He obtained a BS in Management/Computer Information Systems in 2004 and a Master of Public Administration Degree in 2006, both from Park University.

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Jay Weselmann
Field Office Director, Raleigh-Durham
U.S. Citizenship and Immigration Services

On May 4, 2014, Mr. Jay Weselmann entered on duty as the Field Office Director of the USCIS facility in Durham, North Carolina. The Raleigh-Durham field office serves Eastern and Central North Carolina's rapidly growing immigrant population.

Mr. Weselmann began his federal career with United States Citizenship and Immigration Services in 2003 as a Center Adjudications Officer with the Vermont Service Center. In 2005, Officer Weselmann took a position in the Hartford Field Office as an Immigration Services Officer Level II and subsequently, served in the same capacity at the Saint Paul Field Office. In June of 2008, he began working in the Raleigh-Durham Field Office where he has served as an Immigration Services Officer Level II, Immigration Services Officer Level III, and Supervisory Immigration Services Officer.

Mr. Weselmann holds a Bachelor of Arts degree from the University of Iowa and a Master of Arts degree in International Studies from the University of Washington in Seattle, WA.

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Linda M. Swacina
District Director, Miami
U.S. Citizenship and Immigration Services

On July 24, 2006, Linda M. Swacina began serving as the District Director for the Miami and Caribbean District of the Department of Homeland Security's U.S. Citizenship and Immigration Services in Miami, Florida.

Prior to joining USCIS, Ms. Swacina served as the Executive Director of the U.S. Department of Agriculture's Food Safety Institute of the Americas (FSIA) in Miami, Florida. From 2002 to 2004, Ms. Swacina was the Deputy Administrator for USDA's Food Safety and Inspection Service (FSIS) in Washington, D.C. Ms. Swacina also previously served as FSIS Assistant Administrator for Staff Services. From 1992-2001, she was the FSIS director of the congressional & public affairs office. She joined FSIS in March 1988.

Before coming to FSIS, Ms. Swacina worked as a legislative assistant for various Members of Congress, where she handled mainly defense and foreign affairs issues. She also worked for the Vice President in the Office of Domestic Policy.

Ms. Swacina received a B.A. in Political Science/Latin American Studies from the University of Arkansas. She received her J.D. from George Mason University School of Law and is a Member of the Florida Bar.

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Yeseira Diaz
Field Office Director, Miami
U.S. Citizenship and Immigration Services

Yeseira A. Diaz became the director of the Miami Field Office in June 2016.

Prior to her current assignment, Ms. Diaz served as the Acting Field Office Director and Acting Section Chief for the Miami Field Office. Ms. Diaz started her career with USCIS at the Miami District Office as the Quality Management Specialist for the USCIS Miami and Caribbean District in 2013.

Ms. Diaz started her career as an auditor for the U.S. Department of the Navy. She has fifteen years of experience evaluating and improving federal government programs and operations. She worked at the U.S. Department of Homeland Security Office of Inspector General for over seven years, five of those as an audit manager.

Ms. Diaz received her Bachelor of Arts degree, summa cum laude, in Business Administration from the University of Sagrado Corazon in Puerto Rico in 2001. She earned her Master of Business Administration from Florida International University in 2009, graduating in the top five percent of her class. Ms. Diaz is currently an examiner for the Florida Sterling Council, a program designed to assess organizational excellence.

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Enid Stulz

Field Office Director, Hialeah
U.S. Citizenship and Immigration Services

Ms. Enid S. Stulz serves as the Hialeah Field Office Director of the Miami and Caribbean District. Previously, she was the Acting Field Office Director of the San Juan Field Office. Ms. Stulz' career with USCIS spans for over twenty years, joining the U.S. Immigration and Naturalization Service in Miami in 1984.

She has occupied a wide variety of positions that have taken her from Miami to the American Embassy in Santo Domingo, Dominican Republic where she worked in partnership with the U.S. State Department and Dominican officials to curb illegal migration and assist with third party nationals, in a country with the third largest consulate in the world. She also worked with other Federal Law Enforcement agencies as a member of the interagency country team.

From overseas, Ms. Stulz transferred on to the San Juan District Office as the Assistant District Director for Adjudications where she has forged liaison with other DHS components in the pursuit of common national security goals. She is very much enthusiastic as to the challenges that such a vibrant District as the Miami District presents and embraces such challenges with great commitment to public service.

Ms. Stulz is a graduate of Barry University in Miami Shores. She was born and raised in Mayaguez, Puerto Rico, and is the youngest of five siblings. Ms. Stulz has two children.

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Randell Akins
Field Office Director, Kendall
U.S. Citizenship and Immigration Services

Randell M. Akins was selected as the Field Office Director of the Kendal Field Office in Miami, Florida in March 2016. Mr. Akins served as the Section Chief for the Analysis and Integrity Division at the National Benefits Center from July 2013 through March 2016. In May 2015 he was selected for an ELIS N400 detail as a reporting subject matters expert. Mr. Akins severed as Acting Assistant Center Director for Analysis and Integrity Division from September 2014 through February 2015.

Mr. Akins began USCIS career in April 2006 at the Kansas City Field Office as Records and Information Supervisor. In 2008, he was promoted to an Immigration Services Analyst for District 15 - Kansas City where he supported and provided analysis for five field offices and one satellite office. In 2010, he came to the NBC as an Immigration Services Analyst and was promoted in 2011 to Supervisory Immigration Services Analyst for the Data Analysis Team. Prior to working for USCIS, Mr. Akins served over fourteen years in the United States Air Force as an Information Manager. His assignments included many CONUS assignments as well as Osan AB Korea, Aviano AB Italy, and Prince Sultan Air Base, Saudi.

Mr. Akins possesses a Master's of Business Administration degree from the University of Phoenix, a Bachelor's of Science degree in Management/Human Resources from Park University. He also earned an Associate of Applied Science degree in Information Management from the Community College of the Air Force.

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Emigdio Martinez
Field Office Director, Oakland Park
U.S. Citizenship and Immigration Services

Emigdio F. Martinez began his role as Field Office Director for the Oakland Park Field Office on March 23, 2015. Mr. Martinez has been serving as an Assistant Regional Director for the Office of Fraud Detection and National Security (FDNS) at the Southeast Region in Orlando, Florida since April 2011. He managed the Administrative Site Visit Verification Program (ASVVP) and the Quality and Analysis units for FDNS at the Southeast region.

Mr. Martinez started his INS/USCIS career in 1998 at Miami, Florida. He worked as a District Adjudications Officer in Miami for 6 years. He became the first FDNS officer in Jacksonville, Florida in May 2006. In June 2007, Mr. Martinez was selected to work at the Frankfurt Field Office as an Overseas Adjudications Officer.

He served as the Acting Field Office Director in Frankfurt, Germany from November 2007 to May 2008. In September 2008, Mr. Martinez began serving as the Field Office Director in Tegucigalpa, Honduras. He coordinated the first naturalization ceremony of a U.S. Service Member in Latin America in June 2009. Mr. Martinez led his team and continued to serve USCIS customers during the Honduran Coup D'état in June 2009 and the subsequent constitutional crisis.

Mr. Martinez served in the United States Navy and is a Gulf War Veteran. He has a Bachelor's degree in International Business from Barry University and a Master's Degree in Public Administration from Florida Atlantic University.

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Deliana Gonzalez
Field Office Director, San Juan
U.S. Citizenship and Immigration Services

Deliana Gonzalez is the Field Office Director for San Juan Field Office. She is one of five field office directors comprising the Miami and Caribbean District (District 9).

Mrs. Gonzalez began her government career as a District Adjudications Officer (DAO) in 2003. At the beginning of her tenure as a DAO, she worked mainly with applications for adjustment of status and family visa petitions.

In August of 2009, she was selected to lead the newly created Customer Service Team dealing with customers' inquiries, congressional inquiries, and high profile cases in Puerto Rico. She managed the development of the Community Outreach Program in San Juan, achieving strong collaborative relationship with stakeholders, including community-based organizations, federal and state agencies, and other DHS Components.

In 2010 became a Supervisory Immigration Services Officer (SISO) for the San Juan Field Office overseeing the Adjudications Unit, Information Unit, Records, and Application Support Center. During her tenure as a SISO she was awarded with the Leadership in Action Award by the Miami and the Caribbean District (District 9), the Supervisor of the Year Award by the Southeast Region, and the Director's Manager of the Year Award by the USCIS Director. In 2014 she was selected as the Field Office Director for San Juan.

Mrs. Gonzalez is a native of Puerto Rico and graduated with a Bachelor's Degree in Business Administration from the University of Puerto Rico.

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Lorelie C. Conner
Field Office Director, US Virgin Islands
U.S. Citizenship and Immigration Services

Lorelie C. Connor became the Field Office Director for the Charlotte Amalie, St. Thomas, U.S. Virgin Islands Field Office in July 2016. Previously, she served as the Section Chief and Supervisory Immigration Service Officer for the Charlotte Amalie Field Office.

Ms. Connor served in the United States Army from 1989 to 1995 and was hired as an Immigration Inspector in 1996 with Legacy Immigration and Naturalization Service under the VRA program. She worked in both airport and seaport operations in all three Virgin Islands Ports of Entry. In 2000 she was selected as a Special Operations Inspector and in 2002 as a Supervisory Immigration Inspector and became a CBP Supervisor when DHS was established in 2003.

In 2004 Ms. Conner was transferred to the Charlotte Amalie Field Office when she was selected as the Application Support Center Manager/Adjudications Officer, then Immigration Service Officer. During her tenure as Immigration Service Officer she also served as Acting Supervisory Immigration Service Officer. In January 2010, she was selected as the Supervisory Immigration Service Officer.

Ms. Conner received her certification in Interior Design from the Art Institute of Pittsburg in 2006. She is blessed with two beautiful daughters.



Tony Bryson
District Director, Tampa
U.S. Citizenship and Immigration Services

Mr. Tony Bryson was appointed as the Tampa District Director in June 2015.

In January 2011, Mr. Bryson was appointed District Director in Philadelphia. Immediately prior to this appointment he served as Deputy Director and Acting Director, over the Academy Training Center in Dallas, Texas, that cultivates employees, managers, and leaders by developing a mission-focused workforce. In January 2006, Mr. Bryson was appointed Field Office Director in Norfolk that services 35 counties in Southeastern Virginia.

Mr. Bryson began his career with Immigration and Naturalization Service (INS) in 1998 as an Immigration Inspector at Dallas Fort Worth International Airport. He was promoted to District Adjudications Officer in February 2000 at the Dallas District Office. In April 2004, he was then promoted to Supervisory District Adjudications Officer in Dallas; a position he held until his appointment as the Field Office Director in January 2006.

Mr. Bryson holds a Bachelor's degree in Political Science from the University of North Texas, in Denton, Texas, and is a member of Phi Beta Sigma Fraternity, Inc. In addition, he graduated from the Department of Homeland Security Fellows Program in 2008.



Leslie Meeker
Field Office Director, Tampa
U.S. Citizenship and Immigration Services

Leslie Meeker is the USCIS Field Office Director for the Tampa Field Office. She joined the Tampa Management team in February 2011 after serving as the Field Office Director in the Virgin Islands since 2008.

Ms. Meeker was the Field Office Director 2005-2007, South Africa. She was responsible for USCIS immigration matters in 13 countries in Southern Africa. She was previously the Deputy Director of the USCIS San Francisco Asylum Office and has held several supervisory and officer positions with the Service since 1996.

Before joining USCIS, Ms. Meeker was employed by two overseas agencies which processed refugee and immigration applicants for INS under the auspices of the Department of State. She has also worked in the publishing and public relations fields for private companies.

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Shelly D. Randall
Field Office Director, Fort Myers
U.S. Citizenship and Immigration Services

Shelly Randall became director of the Fort Myers Field office in March 2016. This is a new Field Office for District 10.

Ms. Randall started her career with legacy Immigration and Naturalization Service in August 1996 as an Application Clerk with the Denver Field Office. During her time as an Application Clerk, she worked in multiple sections. This provided her several opportunities to develop her skills. Ms. Randall was promoted to a District Adjudications Officer in October 1998; she was responsible for adjudicating all application types processed at the Denver Field Office.

In September 2007, Ms. Randall was promoted to the newly created Senior Immigration Services Officer position. She handled the more complex cases within the Denver Field Office. Ms. Randall reached her goal of becoming a supervisor in January 2008 when she was promoted to be a SISO in the Denver Field Office. She relocated to the Tampa Field Office to become a Branch Chief in May 2012. She initially oversaw the Records and Customer Service Section, and then transitioned to the Adjudications section.

She started her government career in August 1989 by serving in the US Navy. She obtained a Bachelor of Science from Regis University in May 2006.

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Lisa Bradley
Field Office Director, Jacksonville
U.S. Citizenship and Immigration Services

Lisa Bradley joined District 10 as the Jacksonville Field Office Director, effective September 8, 2013.

She began her career with the federal government in 2001 as a District adjudications officer in the Atlanta Field Office. In 2006, she transferred to the Miami Field Office as a District Adjudications Officer. In 2007 she began work for The Refugee, Asylum, and International Operations Directorate (RAIO) as an Asylum Officer in the Miami Asylum Office.

In 2008, she was promoted to Supervisory Immigration Services Officer in the Miami Field Office. She has over four years' experience as a Supervisory Immigration Services Officer serving in both the Miami and Atlanta Field Offices. Director Bradley obtained a Bachelor of Science degree in Criminal Justice from Columbus State University in Columbus, Georgia.



Kimberly Dean
Field Office Director, Orlando
U.S. Citizenship and Immigration Services

Kimberly Dean entered her role as Field Office Director of the Orlando Field Office in November 2015.

Ms. Dean federal career began in 1991 working for INS' Buffalo District as an Immigration Inspector and then Supervisory Immigration Inspector in Toronto, Canada. During this time she was also detailed to Ottawa, Canada where she served as Port Director. In 2002, she accepted a position as a Supervisory Center Adjudications Officer at the Vermont Service Center to help create and manage a newly formed team overseeing the new post 9/11 requirements for background checks. Ms. Dean was part of a nation-wide team assembled to create policy and standard operating agreements relating to IBIS check requirements for Service Centers and Field Operations. In 2004, she was selected as the very first Fraud Detection and National Security Immigration Officer (IO) at the Vermont Service Center. Ms. Dean was selected to serve as a Supervisory Immigration Officer in 2006 for what was then known as the Fraud Detection Unit at the Vermont Service Center. In addition to her work at USCIS, Ms. Dean is also on the faculty of Strayer University as an Adjunct Professor of Criminal Justice and Homeland Security Studies.

Ms. Dean holds Bachelor's Degrees in International Studies and French from Niagara University and a Master's Degree in Justice Administration from Norwich University.

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Wendy M. Wilcox
Field Office Director, West Palm Beach
U.S. Citizenship and Immigration Services

Wendy Wilcox began her role as Field Office Director in the West Palm Beach Field Office in January 2016.

Ms. Wilcox began her federal government career in July 2003 as a Center Adjudications Officer in the Nebraska Service Center and in November 2006 transferred to the Portland, Maine Field Office as a District Adjudications Officer. In April 2008, she completed a detail to the Raleigh-Durham Field Office playing a vital role with the opening of this new field office and in May 2008 transferred to that office as an Immigration Services Officer II. In January 2010, Ms. Wilcox completed a detail to the Field Operations Directorate and the Enterprise Services Directorate as the Project Manager for the ASC Refresh Project.

In September 2010, she was promoted to Senior Immigration Services Officer in the Charlotte Field Office and served as a subject matter expert in the adjudications section and worked on various adjudicative and customer service initiatives. From April 2012 through January 2016, she served as the Charleston Field Office Director. During this period, the Ft. Jackson Office grew as a stand-alone sub office dedicated to serving recruits on the U.S. Army Base in the *Naturalization at Basic Training Initiative*.

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Cindy Gomez
District Director, New Orleans
U.S. Citizenship and Immigration Services

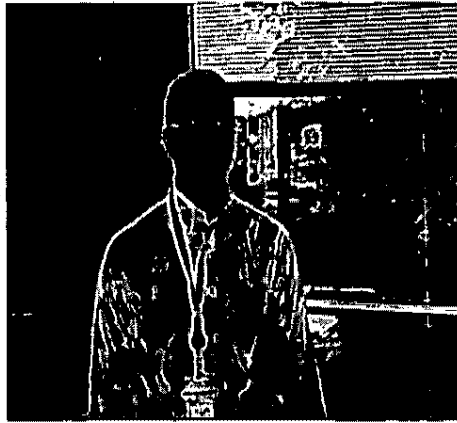
District Director Cindy Gomez has been honored to serve at the New Orleans District Office since October 2007. She officially entered on permanent duty, September 2008.

Ms. Gomez has held various positions with the Immigration and Naturalization Service (INS) since entering on duty as an Immigration Inspector in Laredo, Texas, in 1978, including positions in Inspections and Adjudications, in Miami, Dallas, and Washington, D.C. One of the many highlights of her career included being a member of the Legalization taskforce after the Immigration Reform and Control Act was signed in late 1986. She also worked at the Department of Health and Human Services, National Institutes of Health (NIH) from 1992-1995, where she led the 16 institutes at the NIH in all immigration-related communications and issues, and provided the processing of legal status for all foreign scientists and physicians who were on-site at the Bethesda location.

In 1995, Ms. Gomez returned to INS to serve as an Immigration Examiner at the Administrative Appeals Office (AAO). She also took on several other temporary assignments, including the "Green Card" Renewal Program and the lead for the Prevent Departure Unit in Inspections from 2001-2002, after the travesty of September 11, 2001. Her last position before coming to New Orleans was as a Branch Chief at the AAO.

Ms. Gomez holds a Bachelor of Arts in Psychology and English, from the University of Texas at San Antonio (1977), and a Master of Science in Organizational Counseling and Clinical Counseling from Johns Hopkins University, Baltimore, Maryland (2006).

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Stanley Crockett
Field Office Director, New Orleans
U.S. Citizenship and Immigration Services

Stanley Crockett EOD as Field Office Director in New Orleans in December, 2012.

Mr. Crockett began his federal career in January of 1991 with USCIS as an Immigration Service Officer at the New Orleans Field Office. In October 2005 he was promoted to a Supervisory Immigration Service Officer at the New Orleans Field Office.

Stanley graduated from Southern University in Baton Rouge, LA with his BS in Business Administration. Stanley is a native of New Orleans and enjoys jogging, biking, investing in financial markets, volunteering as a youth worker at a local church and being a Sunday school teacher.

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Lynuel W. Dennis
Field Office Director, Memphis
U.S. Citizenship and Immigration Services

Lynuel W. Dennis, Memphis Field Office Director (FOD), began her tenure begin in June 2009 in an acting capacity and on August 17, 2009, as the permanent Director. She has over 29 years of experience with the Service. During her tenure as FOD she has initiated several new initiatives that have increase efficiency and reduce processing times to within 4 months for residency applications and 5 months for citizenship applications.

Ms. Dennis began her career, in June 1982, as an Application Clerk in the Western Adjudication Center. She became an Immigration Inspector, at one of the largest land border ports, San Ysidro, CA, POE, from October 1985 until March 1988. Ms. Dennis accepted a position, in 1988, as an Immigration Examiner in New Orleans, LA., which continued as a District Adjudication Officer until her promotion as supervisor in 2000. During her time in New Orleans, as a DAO, Ms. Dennis was responsible for all facets of adjudication and conducted inspections at both the airport and seaport. During her tenure she was detailed to conduct Cuban asylum interview in Miami in 1988.

In October 2000, Ms. Dennis was selected as Supervisory District Adjudication Officer, Memphis, TN, of the then legacy INS. She served as Interim Officer in Charge of the Memphis Field Office for U.S. Citizenship and Immigration Services from March 2003 until September 2003 and Acting Field Office Director in 2008 for Ft. Smith, AR. Ms. Dennis supervised both the Examination and Naturalization Units until July 2001, and has supervised the Examination Unit until her selection as FOD.

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Christina Olguin
Field Office Director, Fort Smith
U.S. Citizenship and Immigration Services

Christina Olguin began her career with legacy INS in January 2002 at the Oklahoma City Sub-Office as a term District Adjudications Officer (DAO). Ms. Olguin transferred to Fort Smith, Arkansas Sub-Office in 2004 as a permanent DAO. In 2006, she was selected for a staff officer at CIS Headquarters where she worked in the Field Operations Branch.

Ms. Olguin spent seven months as an instructor at the USCIS Academy in Dallas, Texas before her selection in 2009 as Supervisory Immigration Services Officer at the Memphis Field Office. In 2010, Ms. Olguin returned home to the Fort Smith Field Office as the Supervisory Immigration Services Officer, and assumed the role as the Acting Field Office Director in February 2011. She was selected as the Fort Smith Field Office Director in September 2011.

Ms. Olguin earned her Bachelor of Science degree in Criminal Justice at Lamar University, Beaumont, Texas in 1992. In 1995 she completed her Masters in Criminal Justice Administration at Oklahoma City University in Oklahoma City, Oklahoma.

Ms. Olguin has been married to her husband, Danny, for sixteen years and they have a son, Joseph "Joey." In her spare time, she enjoys playing golf with Danny and Joey.



Mirash "Mick" Dedvukaj
District Director, Detroit
U.S. Citizenship and Immigration Services

Mr. Mick Dedvukaj began his career with INS as an Asylum Officer in the New York Asylum Office in August 1997. Prior to that, Mr. Dedvukaj was an attorney in private practice in New York. Mr. Dedvukaj was selected as a Supervisory Asylum Officer in 2000 and then as Deputy Director of the New York Asylum Office in 2002. Mr. Dedvukaj was appointed as the District Director for the Detroit district in the summer of 2007.

Mick Dedvukaj is a first generation immigrant and a naturalized United States citizen. He was born in Yugoslavia to Albanian parents and immigrated with his family to the United States at the age of one.

Mick Dedvukaj received his undergraduate degree in 1989 from St. John's University and his Juris Doctorate in 1992 from Touro Law School.

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Michael Klinger

Field Office Director, Detroit Field Office
U.S. Citizenship and Immigration Services

Michael Klinger is the Field Office Director of U.S. Citizenship and Immigration Services (USCIS) for Detroit, Michigan providing jurisdiction over the entire state of Michigan.

Prior to his appointment in Detroit, Mr. Klinger worked in the Pittsburgh Field Office, Philadelphia District of USCIS, as the Field Office Director. In Pittsburgh, Mr. Klinger was responsible for the day to day operations of the field office which held jurisdiction over Western Pennsylvania and the State of West Virginia. Mr. Klinger began his career with the former Immigration and Naturalization Service in Chicago in 2002 as a District Adjudications Officer and a Temporary Supervisory Adjudications Officer in the adjustment of status section and the naturalization units in Chicago. In 2008, Mr. Klinger left Chicago and began working as a Supervisory Adjudications Officer with the USCIS Albuquerque Field Office and in May of 2010 joined the Pittsburgh Field Office as the Field Office Director. While working in the Philadelphia District, Mr. Klinger was also afforded the opportunity to be the Acting District Director.

Klinger received his Bachelors of Science in Political Science/ Social Science from Eastern Michigan University and completed masters' courses at Wayne State University in Detroit, Michigan where he wrapped up a 12 year stint as a football coach, having coached at the junior high, high school, and college levels.

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Mark Hansen
District Director, Cleveland
U.S. Citizenship and Immigration Services

In September 2003, Mr. Hansen was appointed District Director, U.S. Citizenship and Immigration Services, Cleveland. Prior to that time he served as District Director responsible for INS operations in the State of Ohio. These operations included the inspection of persons arriving at airports and seaports, the processing of applications for benefits such as permanent residence and naturalization, the investigation of criminal and administrative violations, as well as detention and removal operations.

Mr. Hansen began his career with INS in 1983 as an Immigration Inspector in St. Paul. He also served in New Orleans from 1985 to 1987 as an Immigration Inspector. He was then assigned to the position Immigration Examiner in Salt Lake City from 1987 to 1988. Mr. Hansen served as a Senior Criminal Investigator in Laguna Niguel from 1988 to 1991. In May 1991, he began his service with the Examinations Branch in Cleveland where he held several positions including Senior Immigration Examiner, Supervisory Immigration Examiner, and Assistant District Director, Examinations. In 1998 he was promoted to Deputy District Director and in 1999 he became the District Director

Mr. Hansen holds an undergraduate degree in Criminal Justice from the University of St. Thomas in St. Paul, Minnesota.

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Karyn M. Zarlenga
Field Office Director, Cleveland
U.S. Citizenship and Immigration Services

Karyn Zarlenga was appointed to Field Office Director for the Cleveland Field Office in July 2015.

Ms. Zarlenga began her career with legacy Immigration and Naturalization Service in 1992, where she served as an Applications Clerk and later as Secretary to the District Director. In April 1995, she began her officer career as an Immigration Inspector. She transitioned to position of District Adjudications Officer later that same year. She served as an Adjudications Officer for ten years before being promoted to Supervisory Adjudications Officer in August 2005. Ms. Zarlenga has served her government career with legacy INS and USCIS in Cleveland, Ohio.

Ms. Zarlenga holds a bachelor's degree in Criminal Justice/Political Science from the University of Akron.

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Benjamin Wenger
Field Office Director, Cincinnati
U.S. Citizenship and Immigration Services

Ben Wenger was appointed as the Field Office Director for the Cincinnati Field Office on April 6, 2015.

Mr. Wenger joined USCIS in March 2008, as an Immigration Services Officer with the Phoenix Field Office. While in Phoenix, Mr. Wenger worked primarily in the adjustment of status unit. Additionally, he completed rotations into the naturalization unit and also served as the Local Security Officer.

In October 2011, Mr. Wenger transferred to the Columbus Field Office where he continued to serve as an Immigration Services Officer. In February 2013, Mr. Wenger began serving as a Supervisory Immigration Services Officer in Columbus, and from August to November 2014, he served as the Acting Field Office Director in Columbus.

Mr. Wenger received his bachelor's degree in political science from The Ohio State University.

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Stephanie Reither
Field Office Director, Columbus
U.S. Citizenship and Immigration Services

In November 2014, Stephanie Reither was appointed as the Field Office Director, Columbus Field Office. Prior to her current role, Ms. Reither served as the Field Office Director in the Norfolk Field Office from 2011 until 2014.

Ms. Reither began her career with U.S. Citizenship and Immigration Services in 2003 as an adjudications officer at the St. Paul Field Office, and later transferred to the Columbus Field Office in the same position. In 2008 she was promoted to a Supervisory Immigration Services Officer position at the Indianapolis Field Office. In 2010 she was promoted to the position of Section Manager at the Atlanta Field Office.

Ms. Reither holds a bachelor's degree in criminology and sociology from Ohio State University and has successfully completed the USDA's Executive Leadership Program.

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Kamsing Lee
Field Office Director, Indianapolis
U.S. Citizenship and Immigration Services

In October 2008, Mr. Lee was appointed Field Office Director, U.S. Citizenship and Immigration Services, Indianapolis, Indiana.

Mr. Lee began his career with legacy Immigration and Naturalization Service in 1999 as a District Adjudications Officer in Garden City Sub-Office, New York City District. In July 2003, Mr. Lee transferred to Columbus Field Office. He was later promoted to Supervisory Adjudications Officer in 2006.

Prior to his federal career, Mr. Lee served as an International Student Advisor at Duke University, Durham, North Carolina.

Mr. Lee holds a Bachelor's degree in Business Administration from the State University of New York at Buffalo and a Master's degree in College Student Personnel Administration from the State University of New York Buffalo State College.

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Arthur Schat
Field Office Director, Louisville
U.S. Citizenship and Immigration Services

Arthur Schat naturalized as a U.S. Citizen in 1999 and began his service with USCIS in 2005 as an Adjudications Officer in the Manchester, NH Field Office. He transferred to the Louisville Field Office in 2007 and was promoted to the Supervisory Immigration Services Officer position in 2013.

Mr. Schat served in the SISO II capacity until his promotion to the Louisville Field Office Director position in September 2016.

Mr. Schat is bilingual in English and French and holds a Master of Science in Resource Management and Administration.

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Thomas Cioppa
District Director, Chicago
U.S. Citizenship and Immigration Services

Thomas Cioppa became the Chicago District Director in August 2014.

He previously served as the director of the National Records Center. There, he oversaw the administration of USCIS Freedom of Information Act requests, management of more than 22 million immigration records, storage and destruction of receipt files, and 24/7 access for DHS components to information from immigration records. He has also served as the Acting Director of the Vermont Service Center.

Cioppa retired in August 2011 with more than 26 years of service in the United States Army, including combat tours in support of Operation Iraqi Freedom and Operation Enduring Freedom. Cioppa began his career in 1985 upon graduation from the United States Military Academy.

Cioppa holds a Bachelor of Science degree from the United States Military Academy, a Master of Science degree and a Ph.D. in operations research from the Naval Postgraduate School. He also holds a Master of Arts degree in national security and strategic studies from the U.S. Naval War College.

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Martha Medina-Maltes
Field Office Director, Chicago
U.S. Citizenship and Immigration Services

Ms. Medina-Maltes began her Federal career with U.S. Department of Agriculture (USDA) in 1980 as a clerk-typist. In September 1980, she accepted a position with legacy Immigration and Naturalization Service, Chicago, Illinois as a secretary for the Anti-Smuggling Unit, Investigations. Ms. Medina-Maltes also worked as the secretary to the Deputy District Director for INS and as an INS Interpreter.

In 1987, Ms. Medina-Maltes became an Immigration Inspector at O'Hare International Airport and then later detailed to the District Office. While at the District Office, she worked in the Deferred Inspection Unit, Employment Authorization Document Unit, on a variety of cases which included but were not limited to CSS-Newman cases. In 1996, she was assigned as a District Adjudications Officer for the Citizenship USA Program. In 2007, she was promoted as the Customer Service Branch Chief. In March 2009, Ms. Medina-Maltes completed the Executive Potential Program in March 2009.

Prior to becoming the Field Office Director for Chicago in November 2011, Ms. Medina-Maltes was provided the opportunities to be the Acting Field Office Director and Acting District Director for District 14, the Acting Field Office Director in Des Moines, and the Acting Assistant Director for Mission Support at the Chicago District Office.

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Kay Leopold
Field Office Director, Milwaukee
U.S. Citizenship and Immigration Services

Kay Francis Leopold became the permanent Field Office Director, then Officer-in-Charge of the Milwaukee Field Office in January 2004. This assignment is the pinnacle of her life-long career in the Milwaukee, Wisconsin office. She began her career with the U.S. Immigration and Naturalization Service in February 1978 as a clerk typist. As she advanced through the ranks, among many adjudication assignments, she also held the position of Port Director of the Port of Milwaukee from February 1998 through July 2003.

Ms. Leopold was honored in 2003 with the very prestigious award of The Black Excellence Award which is awarded to Milwaukee residents who are leaders in their various fields of employment. Her outstanding achievements in government service has resulted in many Certificates of recognition from leaders at the federal, state, county and local levels including United States Senator Feingold, United States Congressman Jerry Kleczka, Wisconsin Governor Jim Doyle, Wisconsin Legislature Common Council members and the Mayor of Milwaukee.

Ms. Leopold earned her undergraduate degree in Criminal Justice and Management in May 1998, graduating "cum laude." She is currently pursuing an advanced degree in Divinity.

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David M. Douglas
District Director, Kansas City
U.S. Citizenship and Immigration Services

Mr. Douglas began serving as the District Director for the “Heartland District” of USCIS in Kansas City, Missouri in June, 2012.

David Douglas is originally from San Diego, California. He graduated from the University of California, Riverside in 1992 with a Bachelor of Arts degree in Political Science and Administrative Studies. In 1992, he began his career with the federal government as a U.S. Border Patrol Agent assigned to the Temecula, California Station.

In 1995, Mr. Douglas took a position as a Center Adjudications Officer with the California Service Center (CSC) in Laguna Niguel. After a lead role in the stand-up of the N-400 direct mail program at the Center, he was later promoted to Supervisor Center Adjudications Officer.

In 1998, Mr. Douglas was assigned to the Western Regional Office as an Adjudications Officer, where he worked until April, 2007. While at the region, Mr. Douglas had a number of significant details and temporary assignments including Special Assistant to the Chief of Staff, INS HQ (2002); Assistant Center Director at the CSC (2002-2003); and Acting District Director, Honolulu District (2006). From April 2007 to June 2012, David Douglas served as the first Field Office Director for the Los Angeles Field Office within District 23.

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Michelle Perry
Field Office Director, Kansas City
U.S. Citizenship and Immigration Services

Mrs. Michelle Perry, Kansas City Field Office Director, entered on duty with the Department of Justice, Immigration & Naturalization Service on January 23, 1978. During her career, she has served as a Paralegal, an Immigration Examiner, a Chief Legalization Officer, a Supervisory Immigration Examiner, and an Assistant District Director. She was assigned as the Acting District Director of the Kansas City, Missouri District Office during 2002-2003. From this position, she was appointed to serve as the Kansas City Field Office Director.

Mrs. Perry currently serves as the Field Office Director and is responsible for a workforce of employees in the Adjudications, Applications Support Center, the Fraud Division, Records and Information, Congressional Division, and the Administrative Support in the Kansas City Field Office as well as the USCIS employees in the Field Service Office in Wichita, Kansas. The Kansas City Field Office is responsible for the States of Kansas and the Western District of Missouri.

Mrs. Perry is responsible for the administration of immigration and naturalization adjudication functions, providing administrative and logistical support for fraud detection and national security services, and establishing immigration services policies and priorities.

Mrs. Perry holds a Bachelor of Science degree in Interdisciplinary Social Science from Kansas State University.

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Marta Nickols
Field Office Director, Des Moines
U.S. Citizenship and Immigration Services

Ms. Marta Maya Nickols entered on duty as Director of the Des Moines, Iowa Field Office on April 3, 2016.

Marta began her career with the Immigration Service as an Immigration Services Officer Level 2 at the Des Moines, Iowa Field Office. She later became the Supervisory Immigration Services Officer at the Des Moines, Iowa Field Office.

Marta was Acting Field Office Director at the Des Moines Field Office for a total of over nine months between October 2014 and March 2016. She is responsible for a workforce of employees in the Adjudications, Applications Support Center, the Fraud Division, Records and Information, Congressional Division, and the Administrative Support in the Des Moines office. The Des Moines Field Office is responsible for most of the State of Iowa and Western District of Illinois.

Marta holds a Bachelor's Degree in Psychology and a Master's Degree in Law Enforcement and Justice Administration, both from Western Illinois University.

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William "Bill" Conner
Field Office Director, Omaha
U.S. Citizenship and Immigration Services

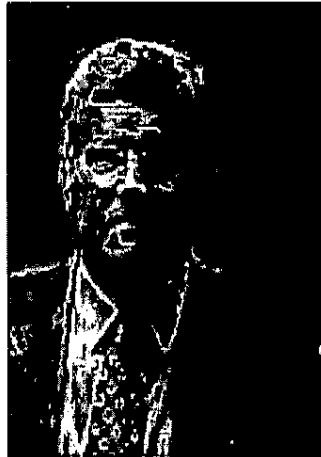
William Connor is originally from Omaha, Nebraska. Mr. Connor served in the United States Army on active duty from 1988 to 1991 as a Military Police Officer and served in the Army Reserve, the Nebraska National Guard and the Washington State National Guard from 1991 to 1995.

Mr. Connor started his career with legacy INS in 1993 as an Immigration Inspector in Omaha, Nebraska. Over the next ten years Mr. Connor served as an Immigration Inspector in Blaine, Washington, Victoria, British Columbia, Oroville, Washington, Philadelphia, Pennsylvania and Winnipeg, Manitoba. From 2003 to 2007, Mr. Connor served as a Senior Intelligence Research Specialist with Immigration and Customs Enforcement in Omaha, Nebraska. From 2007 to 2009, Mr. Connor served as a Supervisory Intelligence Research Specialist with Citizenship and Immigration Services at the Nebraska Service Center's Fraud Detection Unit in Lincoln, Nebraska.

From January 2009 to December 2013, Mr. Connor held the Supervisory Immigration Officer (FDNS) position. Mr. Connor supervised 12 Fraud Detection and National Security Immigration Officers located throughout District 15.

In December 2013, Mr. Connor accepted the Field Office Director position at the Omaha Field Office.

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Chester Moyer
Field Office Director, St. Louis
U.S. Citizenship and Immigration Services

Chester Moyer entered on duty as an Immigration Inspector in 1972 at Buffalo, N.Y. In early 1976 he transferred to the Washington District Office as a Deportation Officer.

In 1978 he transferred to examinations in the same office where he was promoted to Supervisory Immigration Examiner and then Assistant District Director for Examinations. In 1984 he transferred to St Louis as the Officer in Charge of the Immigration and Naturalization Service.

After the creation of the Department of Homeland Security, he was appointed Officer in Charge of Citizenship and Immigration Services in St Louis. He is now the Field Officer Director of the St Louis Office.



Leslie Tritten
Field Office Director, St. Paul
U.S. Citizenship and Immigration Services

Leslie Tritten began her federal career with the Immigration and Naturalization Service in 2001 at the National Record Center, where she performed various functions related to immigration records and SAVE verification.

In 2002, she became a Center Adjudications Officer at the National Benefits Center and was later promoted to Supervisory Adjudications Officer and then Assistant Center Director of the Adjustment of Status Division. During this time, she completed detail assignments to the USCIS Director's Office and the Office of Transformation, where she was the Domestic Operations lead of the Benefit Case Management team. She transferred to USCIS Headquarters in 2010 as the Chief of the Project Liaison Team, where she served as the USCIS liaison to the CIS Ombudsman's Office and the DHS Office of Civil Rights/Civil Liberties. Since September 2011, she has worked in the Field Operations Directorate as Special Assistant to the Associate Director, where she acted as the Directorate's primary liaison with the Office of Legislative Affairs and the Public Engagement Division, as well as with other offices that work with Field Operations staff.

Leslie holds Bachelor's degrees in Political Science and Russian from the University of Missouri-Columbia and a Master's degree in Public Administration from the University of Missouri-Kansas City.

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Lisa Kehl
District Director, Dallas
U.S. Citizenship and Immigration Services

Lisa Kehl is the District Director for United States Citizenship and Immigration Services (USCIS) Dallas Office.

Ms. Kehl began her career with the Immigration and Naturalization Service and has held positions in different activities and offices. Through the years, she has served on numerous details covering a wide-range of activities throughout the United States. Ms. Kehl joined the Texas Service Center management team beginning as a supervisory adjudications officer. Over the next several years, she held progressively responsible management positions, including Assistant Service Center Director and Deputy Service Center Director for the Texas Service Center. She joined Service Center Operations Division on detail in Washington, D.C. as the acting Deputy Director.

Ms. Kehl was appointed to District Director of the Dallas Office of USCIS in 2008. In this role, she oversees a workforce of government and contract employees adjudicating thousands of petitions and applications for immigration benefits annually. The Dallas District Office includes two field offices, one in Dallas covering north Texas and one in Oklahoma City, covering the entire state of Oklahoma.

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Tracy Tarango
Field Office Director, Dallas
U.S. Citizenship and Immigration Services

Tracy Tarango has served as a federal immigration professional since 1991. She joined the Legacy Immigration and Naturalization Service (INS) as an Immigration Examiner at the Newark District Office. Since that time Ms. Tarango has held several positions with Legacy INS and USCIS at the San Diego District Office, the Los Angeles District Office, and the Central Region Office in Dallas, TX. She became the USCIS Dallas Field Office Director on April 1, 2007.

Ms. Tarango is committed to upholding the integrity of the U.S. immigration system and providing outstanding customer service. As the field office director, she has two favorite duties. The first is presiding over naturalization ceremonies, followed closely by meeting with USCIS stakeholders.



Mark Siegl
Field Office Director, Oklahoma City
U.S. Citizenship and Immigration Services

Mark Siegl began his career with legacy INS in February 2002 at the Denver District Office as a term District Adjudications Officer and soon transferred into a permanent position. In April 2008, he was promoted to Supervisory Adjudications Officer. In this position he supervised all aspects of adjudications, primarily the adjustment of status section, the Application Support Centers (ASCs) and the Controlled Application Review and Resolution Program (CARRP). From February through April 2012, he served as Acting Field Office Director in the Oklahoma City Field Office. He currently serves as the Field Office Director of the Oklahoma City Field Office, since September 2012. The Oklahoma City Field Office has jurisdiction over the state of Oklahoma. His current projects include opening an office on the Fort Sill Army Base in Lawton, OK and planning the relocation of the current field office.

Prior to his career with the agency, Mark served as a Navy Corpsman and was stationed at the Orlando Naval Hospital and the Marine Corps' Second Marine Division in Camp Lejeune, North Carolina. He holds a Bachelor of Science Degree in Criminal Justice from the University of Wisconsin-Milwaukee and is a 2011 graduate of the federal government's Executive Leadership Program.

When not at work, Mark enjoys spending time with his wife, Eileen, and son, Erich, a very energetic fourth-grader.

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Sandy Heathman
District Director, Houston
U.S. Citizenship and Immigration Services

Sandra M. Heathman has been the District Director of the Houston District Office of Citizenship and Immigration Services since May 2009.

Sandy M. Heathman has a distinguished government service beginning in 1987 with the Immigration and Naturalization Service in Houston, Texas. Her service began as an Investigations Assistant. Within 18 months she was promoted to Immigration Inspector at the George Bush Intercontinental airport where she served there until 1994. In 1995, Ms. Heathman continued to pursue her goals with legacy INS and was selected as a District Adjudications Officer. In 2000, Ms. Heathman went back to Inspections as an Assistant Port Director at George Bush Intercontinental airport. In 2004, Ms. Heathman returned to the Citizenship and Immigration as an Immigration Officer with the newly formed Fraud Detection and National Security Unit. In 2005 she was selected as the Deputy District Director for the Houston District Citizenship and Immigration Service. In March 2007, she was selected as the Field Office Director for the Houston District Office.

Ms. Heathman attended Canal Zone College, Balboa Canal Zone where she obtained her Associate Degree. She later attended St. Leo College in Florida and the University of Houston majoring in Biology. She is married and has one teenage daughter.

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Ricky W Hamilton
Field Office Director, Houston
U.S. Citizenship and Immigration Services

Mr. Hamilton entered on duty as the Houston Field Office Director on November 8, 2009. From June 2007 – November 2009 he was the Field Office Director in Salt Lake City.

He began his career with the Service in June 1992 as an Immigration Inspector in Dallas, TX. After which he was assigned as an Immigration Inspector in Nassau Bahamas for two years. Following the Bahamas, he served as a District Adjudications Officer and Supervisory Adjudications Officer in Miami, FL. In September 2006 he was detailed to be the District Director's Special Assistant.

From 1973 to 1988, he served in both the U.S. Army and the U.S. Marine Corps. Prior to starting with the Service, Mr. Hamilton was a Quality Engineer for Shelby AAT. He has received both graduate and under graduate degrees from Texas A&M.



Mario Ortiz
District Director, San Antonio
U.S. Citizenship and Immigration Services

Mr. Mario Ortiz is the District Director for a region that encompasses central Texas, the entire south Texas border region, and the state of New Mexico.

Mr. Ortiz began his career with the former Immigration and Naturalization Service in Dallas, Texas, serving as Regional Director for Congressional and Public Affairs from 1985-1998. He was responsible for all media, congressional, and community liaison activities over a 13-state region. Mr. Ortiz later became the Assistant Officer in Charge in Albuquerque, N.M.

Prior to his appointment in San Antonio, Mr. Ortiz was the District Director in Denver, Colorado. He also previously served as the Immigration Attaché assigned to the American Embassy in Singapore. During his four-year diplomatic assignment in Southeast Asia, Mr. Ortiz handled benefits and enforcement issues.

Under Director Ortiz' leadership, the USCIS district headquartered in San Antonio has garnered national recognition for community relations outreach, inter-agency partnership efforts, and military assistance programs.

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Elaine Mueller-Cantu
Field Office Director, San Antonio Field Office
U.S. Citizenship and Immigration Services

Ms. Elaine Mueller-Cantu is the Field Office Director (FOD) for an area that includes 78-counties in central and south Texas.

Previously, Ms. Mueller-Cantu was the Chief of Staff for the San Antonio District that has an area covering central and south Texas, the Texas border region, and New Mexico. Ms. Mueller-Cantu was an Immigration Analyst for the San Antonio District 18 Office and a supervisor in the San Antonio Field Office where she worked on projects that helped form and change national policy.

In the 1990s, Ms. Mueller-Cantu worked as an adjudicator. Earlier, she was an Immigration Inspector in El Paso, Texas, and also worked in the Legalization Office as an adjudicator and supervisor from 1987-1990.

Ms. Mueller-Cantu began her federal career in 1976 as a clerk with the former Immigration and Naturalization Service office in her hometown of Helena, Montana.

With Ms. Mueller-Cantu's leadership, the San Antonio Field Office is known for its strong military programs, far-reaching community relations efforts, and commitment to customer service.

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Margaret Harnett
Field Office Director, El Paso
U.S. Citizenship and Immigration Services

Ms. Margaret Harnett is the Field Office Director (FOD) for an area that encompasses 16 counties in west Texas and the southern one-third of New Mexico.

Before becoming the El Paso FOD, Ms. Harnett served as a Supervisory Immigration Services Officer for several years. She came to the El Paso Field Office in 2005 as an Immigration Services Officer. Ms. Harnett started her career with the former Immigration and Naturalization Service (INS) in the San Antonio Field Office as an Adjudications Officer in 2002.

The native of Fort Davis, Texas, Ms. Harnett was raised in El Paso. She was a secondary school teacher for ten years prior to her career with the former INS and current USCIS.

Ms. Harnett has built solid relationships and developed networks within USCIS, the Department of State, and foreign consulates. Under her leadership, the El Paso Field Office coordinates naturalization ceremonies with the Federal Court, Department of State, and local community volunteers.

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Norma Limon
Field Office Director, Harlingen
U.S. Citizenship and Immigration Services

Ms. Norma Limon is the Field Office Director (FOD) overseeing USCIS activities in the Rio Grande Valley of south Texas.

Recently, Ms. Limon served an Assistant Service Center Director for customer relations at the National Benefits Center (NBC) in Lee's Summit, Missouri. She began her federal service in 2002 with the former Immigration and Naturalization Service as a Service Center Adjudications Officer at the NBC, where, until her appointment to Harlingen, she had thus far served most of her career.

The Brownsville, Texas native has a bachelor's degree in Business Administration with a major in Management from the University of Texas at Brownsville. She also holds a master's degree in Project Management from Keller Graduate School of Management in Kansas City, Missouri.

The Harlingen Field Office is known for its community outreach efforts in the Rio Grande Valley, its connection with Department of Homeland Security partners, and its understanding of complex immigration issues affecting the U.S.-Mexico border.

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Jesse Mendez

Field Office Director, Albuquerque
U.S. Citizenship and Immigration Services

Mr. Jesse Mendez is the Field Office Director (FOD) overseeing USCIS activities in central and northern New Mexico.

Previously, Mr. Mendez was a Supervisory Immigrations Services Officer in Harlingen, Texas. He was also an Adjudicator in the Dallas Field Office and in Harlingen. As an adjudicator, he spent almost a year in Backlog Reduction details to the Baltimore, Maryland and Washington, D.C. Field Offices.

Mr. Mendez began his federal career with U.S. Customs and Border Protection (CBP) and the former Immigration and Naturalization Service in August, 2002. He was a CBP Officer and Immigration Inspector at the Roma, Texas Port of Entry for three years. Mr. Mendez received the 2005 CBP Commissioner's Integrity Award for his participation in an enforcement operation that investigated bribery attempts.

Under Mr. Mendez' leadership, the Albuquerque Field Office continuously develops and maintains relationships with local, state, and Federal stakeholders, tribal organizations, and military assistance programs. The Albuquerque office recently earned the Partnership Award with the National Park Service for joint achievement conducting naturalization ceremonies in national parks.

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Angela "Kristi" Barrows
District Director, Denver
U.S. Citizenship and Immigration Services

Mrs. Barrows entered on duty in July 2014, as the District Director of the U.S. Citizenship and Immigration Services in Denver, Colorado. Previously, she was assigned as the Deputy Director of the Texas Service Center (TSC), which is within the Service Center Operations Directorate (SCOPS) of the US Citizenship and Immigrations Services, under the Department of Homeland Security (USCIS/DHS). She oversaw the work of more than 450 government employees and 300 contract employees in the adjudication of employment and refugee permanent residence cases, employment cases, and travel benefit cases, as well as immigrant visa processing.

Ms. Barrows joined the federal sector in 1990 as an Immigration Examiner for the former Immigration and Naturalization Service (INS) at the Texas Service Center. She then joined the Department of Justice, Office of Inspector General as a Special Agent, but later rejoined the INS as an Adjudications Officer in Boston, Massachusetts. She worked in the agency's Houston, Texas Office as the Public Affairs Officer and as a Supervisory District Adjudications Officer. In 2002, she relocated to Dallas, Texas where she became the first District Director for the Dallas District Office under USCIS. In 2008, Kristi rejoined the TSC as the Deputy Director.

Ms. Barrows holds a degree in Speech Communication from Oklahoma Christian University and is an alumnus of the USDA Executive Potential Program and the Federal Executive Institute.

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Andrew Lambrecht
Field Office Director, Denver
U.S. Citizenship and Immigration Services

Andrew Lambrecht entered on duty on January 28, 2013, as the Director of the Denver Field Office of U.S. Citizenship and Immigration Services (USCIS).

Mr. Lambrecht began his career in 2001 as a District Adjudications Officer with legacy INS in the Milwaukee Field Office. He joined the Denver Field Office as an Immigration Services Officer in 2006. He was promoted to Supervisory Immigration Services Officer in 2007 and served in that position for over four years. Prior to entering on duty as Denver's Field Office Director, Mr. Lambrecht served as the Chief of Staff for the Denver District Office.

Mr. Lambrecht graduated from Marquette University in 2001 with a Bachelor of Arts degree in Political Science and History. While at Marquette, Mr. Lambrecht studied at the Les Aspin Center for Government in Washington, DC and completed an internship working for a Member of Congress. He is also a graduate of the USDA Graduate School's Executive Leadership Program (June 2010).

Mr. Lambrecht is married and has two wonderful children. In his free time, he enjoys playing and watching sports, reading, playing board games, and listening to music.



Jodi Bard
Field Office Director, Helena
U.S. Citizenship and Immigration Services

Ms. Bard is the Field Office Director in Helena, Montana. The Helena Field Office encompasses the entire state of Montana.

Ms. Bard began her career in 1999 at the Vermont Service Center occupying positions in adjudications, administration, and human resources. In August of 2003, Ms. Bard became an Adjudications Officer with the Salt Lake City Field Office and was promoted to Supervisory Adjudications Officer in December of 2008. As supervisor, she enhanced relationships with local Department of Homeland Security associates, congressional representatives, AILA members and local community based organizations. She served as an employee representative to enhance employee management relations from relations from 2004 through 2008. Ms. Bard is a graduate of USDA Aspiring Leadership Program. Prior to her career with legacy Immigration and Naturalization Service, Ms. Bard was a customer service representative for 10 years within the private sector.

Ms. Bard has advanced the Helena Field Office into one that is known for excellent customer service, fresh partnerships with the National Park Service, enhanced relationships with District Courts, and increased outreach to local communities within Big Sky Country.

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John McCarthy
Field Office Director, Boise
U.S. Citizenship and Immigration Services

Mr. McCarthy was entered on duty as the Field Office Director for the Citizenship and Immigration Services office in Boise, Idaho on March 22, 2015.

Jack began his career in the Immigration Service in 1995 as an Immigration Inspector and Special Operations Inspector with legacy INS, conducting airport, seaport, and land border operations at the San Diego Ports of Entry. He later became a District Adjudications Officer and Supervisory District Adjudications Officer at San Diego, CA. While at SND, Jack also served as District Ombudsman, Records and Information Manager, and Contracting Officer's Representative.

In 2007, Jack spent the better part of the year as Acting Field Office Director in the U.S. Virgin Islands, overseeing operations in Charlotte Amalie, St. Thomas and Christiansted, St. Croix. In 2008, he was detailed to the Mexico City District Office and served as Acting District Director and Acting Field Office Director. Since 2009, Jack has been Director of the Mexico City Field Office and has completed numerous TDY assignments as AFOD at various posts throughout Latin America and the Caribbean.

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Laura McNeer
Field Office Director, Salt Lake City
U.S. Citizenship and Immigration Services

On August 24, 2014, Laura McNeer became the Field Office Director of U.S. Citizenship and Immigration Services (USCIS) for Salt Lake City, Utah. The Salt Lake City Field Office encompasses the state of Utah and a southwestern portion of Wyoming.

Ms. McNeer began her career with USCIS in 2004 as an Immigration Services Officer in Columbus, Ohio. In 2010, she became a Supervisory Immigration Services Officer and was appointed as Field Office Director of the Columbus, Ohio field office in 2012. She has served details in Washington, D.C., Cincinnati, Cleveland, and Kingston, Jamaica.

Prior to USCIS, Ms. McNeer worked as a Personnel Security Specialist for the Defense Office of Hearings and Appeals. She holds an undergraduate degree in Economics and German from Xavier University in Cincinnati, Ohio and a Master's degree in Labor and Human Resources Management from The Ohio State University in Columbus, Ohio

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Anne Arries Corsano
District Director, Seattle
U.S. Citizenship and Immigration Services

Ms. Corsano entered on duty as the District Director for USCIS' District 20 in Seattle in 2007. District 20 encompasses five field offices in the states of Washington, Oregon and Alaska.

Originally from Chicago, Ms. Corsano received a BA in 1978 in International Affairs and Sociology from Colgate University. After her undergraduate education, she served as a Peace Corps Volunteer in the Philippines and subsequently remained there to work for the International Catholic Migration Commission (ICMC). After 5 years in the Philippines, she returned to the U.S. to attend law school and received a JD from Antioch School of Law in 1986.

After completing law school, Mr. Corsano worked as an Assistant General Counsel for the legacy Immigration & Naturalization Service's (INS) Office of the General Counsel and then as a federal litigator for Department of Justice's Civil Division, Office of Immigration Litigation. Ms. Corsano's operational positions with legacy INS and USCIS include: Field Office Director positions at the U.S. Embassies in London and Moscow; Chief Inspector for legacy INS Headquarters responsible for air and land border inspection operations; Assistant Regional Director for Detention and Removal Operation in Burlington, Vermont; and Deputy District Director of the Rome District Office at the U.S. Embassy in Rome.

She has two adult children and is an avid tennis player.

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Terry J. Charbonneau
Field Office Director, Anchorage
U.S. Citizenship and Immigration Services

Mr. Terry Charbonneau entered on duty as the Anchorage, Alaska Field Office Director on April 19, 2015. Prior to accepting the Field Office Director position Terry served as the Supervisory Immigration Services Officer in the Anchorage Field Office.

Mr. Charbonneau's career commenced on October 9, 1973, as a Border Patrol Agent in Presidio, Texas, and El Cajon, California. Mr. Charbonneau moved into inspections serving as an Immigration Inspector at the Port of Entry in Danville, Washington before joining the legacy Immigration and Naturalization Service (INS) at Anchorage, Alaska in July of 1982, as the District Adjudications Officer. Mr. Charbonneau has served as a member of the INS Philippine World War II Veterans processing team in Manila, Philippines, as the Acting Director of the Western Telephone Center, and on many occasions as the Acting Field Office Director.

The Anchorage Field Office serves the needs of the entire Immigration Community in the State of Alaska. In addition, employees of the USCIS Anchorage office travel to Dutch Harbor, Fairbanks, Juneau, Ketchikan and Kodiak as the need arises, to conduct interviews, collect biometrics and oversee judicial, and administrative naturalization ceremonies.

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Michael Hickman
Field Office Director, Portland, OR
U.S. Citizenship and Immigration Services

Michael Hickman is the Portland, Oregon, Field Office Director. He began this role on January 25, 2015.

Michael joined the Western Region Leadership Team in July 2013 as the Field Office Director in Anchorage, Alaska.

Before this position, he served almost 2 years as the Field Office Director in Beijing, China. In this role, he served as the director as well as the USCIS Attaché. Michael has over 12 years of adjudications experience having previously worked at the Nebraska Service Center as the Special Assistant to the Director and as an Immigration Services Officer and Supervisor.

Before joining USCIS, he was a private practice attorney in Phoenix, Arizona. He received a Bachelor of Science Degree in Business Administration from the University of Nebraska and a Juris Doctorate Degree from the University of Arizona.

Michael is a native of Nebraska and a member of the State Bar Associations for Arizona and Nebraska. He is also a graduate of the Graduate School's Executive Potential Program for senior-level public service employees.

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Chrysta D. Stock
Field Office Director, Spokane
U.S. Citizenship and Immigration Services

Ms. Stock began her career with the United States Citizenship and Immigration Service in 2003 working at the California Service Center. From that time she has served in many locations across the nation in a variety of positions that range from Center Adjudications Officer, Immigration Services Officer, Supervisory Immigrations Services Officer, and Community Engagement Officer. Additionally, as a supervisor, she served as an adjunct faculty member at the USCIS Academy Training Center. This experience has given Ms. Stock a diverse background in immigration laws ranging from humanitarian programs, non-immigrant status, legal permanent resident status, naturalization and citizenship. In addition to these areas of knowledge, she served on a national program with the USCIS Headquarters Office of Transformation Coordination.

In September of 2013, Ms. Stock was selected to become the Field Office Director with the USCIS Spokane Field Office where she currently manages the daily operations of a local Field Office servicing the immigrant community in 12 counties throughout Washington and 10 counties in the northern panhandle of Idaho.

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Keith M. Brown
Field Office Director, Yakima
U.S. Citizenship and Immigration Services

Mr. Brown was born in Tacoma, Washington and moved to Tekoa, Washington in 1968. After graduating high school, Mr. Brown entered the United States Army and served in a variety of positions including Infantry Squad Leader, Platoon Sergeant, Drill Sergeant, First Sergeant, and Sergeant Major. His career included tours in Germany, Korea, and the Mideast. In 1997, Mr. Brown retired from the United States Army as a Sergeant Major after almost 26 years of service.

In November 1997, Mr. Brown was selected as a District Adjudications Officer in the Seattle District Office. He was selected as a Supervisory District Adjudications Officer in May 2001 and served in that position until selection to his current position in November 2004. On November 3, 2004 Keith Brown became the Field Office Director in Yakima Washington for U.S. Citizenship and Immigration Services (USCIS) under the Department of Homeland Security.

Mr. Brown holds a Bachelor of Arts degree in Political Science Cum Laude from Saint Martins College, Lacey, Washington, and an Associate in Technology from Pierce College, Fort Lewis, Washington. He is a graduate of the Stanford University Strategic Decision and Risk Management Certificate Program and is a Senior Fellow of the Department of Homeland Security Excellence in Government Program. Mr. Brown resides with his wife Karen in Yakima, Washington.

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John Kramar
District Director, San Francisco
U.S. Citizenship and Immigration Services

John Kramar became the San Francisco District Director on March 10, 2014. The district serves 16 Northern California counties, from Monterey County in the south to Del Norte County in the north, and has two field offices located in San Francisco and Santa Clara. Before joining the San Francisco District Office, Mr. Kramar primarily directed districts in the Western Region, including Districts 25 and 26. He has also served temporary duty assignments including acting district director in Denver, Colorado, and interim deputy director of the California Service Center in Laguna Niguel.

Mr. Kramar joined the Los Angeles Asylum Office in 1992, under the Immigration and Naturalization Service, as an Asylum Officer, and adjudicated naturalization cases with the Los Angeles District Office. He was named the Deputy and Acting Director with the Arlington Asylum Office from April 2003 to October 2006.

Mr. Kramar is a third generation Californian, graduating from the University of California, Hastings College of Law, in San Francisco in 1991. He is a member of the California Bar Association. He earned his bachelor's degree in history, political science, and mathematics from Vanguard University in California, and was awarded a graduate certificate in global migration from the Georgetown University in 2012. He was elected the San Francisco Federal Executive Board chair in 2015 and works collaboratively with Bay Area agencies.

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Robin Barrett

Field Office Director, San Francisco
U.S. Citizenship and Immigration Services

Robin Barrett was selected as the Field Office Director for the San Francisco Field Office in April 2007. Ms. Barrett is responsible for the day-to-day operations of the field office, which includes oversight of Naturalization and Adjustment of Status Units, Information, Application Support Centers, and Mission Support.

Ms. Barrett worked for 25 years in the private sector prior to joining the public sector. She joined the legacy Immigration and Naturalization Service in 1994 and began her career with the government as an Inspector at the San Francisco International Airport. From 1995 until 1999, Ms. Barrett worked as a District Adjudications Officer in the San Francisco District Office. Since 1999 she has served in various supervisory and managerial roles.

Barrett began her college career in midlife and graduated with distinction from the University of California in 1994 with a B.A. in International and Area Studies. She is also a graduate of U.S. Department of Agriculture's Executive Potential Program and the Federal Executive Institute's "Leadership for a Democratic Society." Ms. Barrett has participated in developmental details with the California Service Center, and the former Information Customer Services at headquarters. She has also served as the Acting Associate Regional Director at the Southeast Regional Office and has served several times as the Acting District Director for San Francisco.

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**U.S. Citizenship
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James Wyrrough

**Field Office Director, San Jose
U.S. Citizenship and Immigration Services**

Jim Wyrrough entered on duty as San Jose Field Office Director on July 29, 2012. Prior to this, he served as Albany Field Office Director from October 26, 2008.

Mr. Wyrrough joined the former Immigration and Naturalization Service in November 1994 as an Asylum Officer with the Los Angeles Asylum Office. He was a member of the training team, served as acting supervisor and chief steward for AFGE Local 1200. In February 1998, he became a Headquarters Asylum Officer assigned to the Quality Assurance team. He was detailed to serve as the Acting Deputy Director of the Los Angeles Asylum office in 2000 and served as the Acting Chief of the Resource Information Center in 2005. For more than ten years in DC, Mr. Wyrrough was an Administrative Appeals Officer and a Refugee Officer in addition to serving in many roles for the Asylum Division.

Before joining federal service Mr. Wyrrough practiced law as an immigration attorney for The Catholic Legal Immigration Network, Inc. in Washington DC and Miami, FL. He worked on their Master Exhibit on Haiti, assisted in training immigration practitioners and represented individuals before EOIR as well as Immigration and Naturalization Service district and asylum offices. Mr. Wyrrough is member of the Maryland Bar and a past member of the American Immigration Lawyers Association. He graduated from Catholic University Columbus School of Law in 1991 and from Rutgers University in 1984.

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Monica Toro
District Director, Sacramento
U.S. Citizenship and Immigration Services

Monica Toro accepted the position of D22 District Director in Feb. 2016. She began her career with the former Immigration and Naturalization Service (INS) in May 2001 as a District Adjudications Officer in the New York Garden City Office. She became a Supervisory District Adjudications Officer in 2005 and served in that role until accepting the position of FOD in Reno in 2008. During her tenure in Reno, Ms. Toro was asked to serve in numerous leadership positions in an acting capacity, including lead for the Redesign Team at the USCIS Academy; Associate Chief, Outreach Branch for the Office of Legislative Affairs; Field Office Director Los Angeles Field Office; District Director for D25; and District Director for D19 (Denver). She then accepted the position of Field Office Director in Sacramento in 2014. During her various leadership assignments, she has demonstrated strong management skills and an ability to effectively connect with the community and inspire and motivate her staff. She is known for being an innovator and a results-driven leader.

Ms. Toro graduated Magna Cum Laude from Marymount Manhattan College and holds a Doctorate Degree from Columbia University.

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Lynn Feldman
Field Office Director, Fresno
U.S. Citizenship and Immigration Services

Lynn Quan Feldman became the Fresno Field Office Director in March, 2016. Prior to that, she joined the Fresno Field Office as Section Chief in November 2013. She comes to Fresno after serving a 2.5-year special assignment from USCIS to an international organization in Geneva, Switzerland. Prior to that, she had worked in the Bangkok Field Office, Senate Judiciary Committee, USCIS Headquarters (within Service Center Operations and the Office of Policy and Regulations Development), and the Vermont Service Center where she started her career in 2001. She received her law degree from Chicago-Kent College of Law.

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Corinna A. Luna
Field Office Director, Los Angeles
U.S. Citizenship and Immigration Services

Corinna A. Luna was selected to serve as the Los Angeles Field Office Director (FOD) in November 2012. She has over thirty years of Federal service. Ms. Luna began her Federal career with the Department of Defense in 1986 as a Special Agent, where she remained until she joined the legacy Immigration and Naturalization Service (INS) in 1997 as an Asylum Officer at the Los Angeles Asylum Office. She also served at the California Service Center as a Center Adjudications Officer, Supervisory Center Adjudication Officer and Acting Assistant Center Director before transitioning to HQ Service Center Operations. Ms. Luna served as a Federal Bureau of Investigation Senior Intelligence Analyst for Counterterrorism/Counterintelligence. She was responsible for developing, implementing and monitoring special projects involving national security issues.

Additionally, Ms. Luna served as both Immigration Anti-Fraud Officer/Acting Supervisory Immigration Officer with the HQ Fraud Detection and National Security. She served with International Operations as the Field Office Director, New Delhi, India from June 2008 to June 2011. She was then selected as Branch Chief (BC) for HQ Service Center Operations. During her tenure, she was detailed to the San Jose Field Office for several months to serve as Acting Field Office Director.

Ms. Luna holds a MA in National Security Studies with an emphasis in International Relations and a BA in Criminal Justice from California State University San Bernardino, California.

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Nancy J. Alby
Field Office Director, Los Angeles County
U.S. Citizenship and Immigration Services

Nancy J. Alby is currently serving as the Field Office Director for the Los Angeles County Field Office in District 23. Prior to this position, she served for two years as the Director of the USCIS National Customer Service Center at the Western Telephone Center in Los Angeles. She has completed a detail as the Acting Branch Chief for the Content Management Office for the Information and Customer Service Division in Washington DC.

Prior to her position in Los Angeles, Ms. Alby was detailed to the Western Region Office of Adjudications as part of the Management Rotation Program. She previously held the position of Assistant Center Director at the California Service Center in Laguna Niguel, California. She has also served as a Supervisory Center Adjudications Officer and Supervisory Immigration Examiner. She has extensive experience as a Training Officer with the Export Training Program in Glynco, GA, and has worked as an Adjudications Officer and Immigration Examiner at the California and Nebraska Service Centers.

Ms. Alby began her career with legacy Immigration and Naturalization Service in 1987 as a Mail File Clerk. She attended the University of Nebraska in Lincoln.

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Irene Martin

Field Office Director, San Bernardino
U.S. Citizenship and Immigration Services

Ms. Irene Martin was appointed Field Office Director of the San Bernardino Field Office, District 23 of USCIS in September 2003.

Beginning in Jan. 2000 and prior to her current appointment, Ms. Martin served as the Officer in Charge of the former Immigration and Naturalization Service (INS). Ms. Martin had the opportunity to build and establish a full service office in San Bernardino, CA. Ms. Martin has established and maintained a liaison with local, state and federal agencies as well as many of the community based organizations throughout Riverside and San Bernardino Counties.

Ms. Martin began her career with the federal government in 1984 as an Investigator with the U.S. Office of Personnel Management. In 1991, she transferred to INS as an Asylum Officer at the Los Angeles Asylum Office. She was promoted to a supervisory position in 1993 and in 1997; she was appointed the Deputy Director of the Los Angeles Asylum Office where she was responsible for the oversight and direction of the nation's largest Asylum Office.

Ms. Martin graduated from California State University in Fullerton with a Bachelor's Degree in Criminal Justice.

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Alanna Ow
District Director, San Diego
U.S. Citizenship and Immigration Services

Alanna Ow serves as the District Director for District 24, overseeing operations in San Diego and Imperial Counties. She entered on duty on January 25, 2015.

Alanna began her public service career in 2000 with the Immigration and Naturalization Service as a District Adjudications Officer in Los Angeles, CA. In 2001, she participated in the Aspiring Leaders Program, detailed to Headquarters. This turned into a seven-year experience where Alanna served in various capacities to include: Congressional Liaison, Adjudications Officer, Special Assistant to Director Emilio T. Gonzalez, and Acting Chief of International Operations.

While at Headquarters, Alanna contributed to the expansion of electronic lockbox processing, the institution of ICMS, and the establishment of the National Benefits Center. Additionally, she led agency efforts to revamp BASIC and completed USCIS' first international footprint review. In 2008, Alanna accepted her first field leadership position as the Field Office Director in Miami, FL. Two years later, she became the Chief of Staff for District 9, Miami & Caribbean District. In 2012, she returned to Washington, DC to participate in the DHS Senior Executive Service Candidate Development Program, and served as the Chief of Staff for DHS International Affairs and the Principal Director of Immigration Policy for the DHS Office of Policy.

Alanna holds a Master of Arts in Public Administration from American University.

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Melissa Maxim
Field Office Director, San Diego
U.S. Citizenship and Immigration Services

Melissa Maxim serves as the Field Office Director for the San Diego Field Office. She oversees all adjudications and naturalization programs and related functions, to include managing all administrative programs, activities and operations within the San Diego Field Office. She entered on duty on March 6, 2016.

Ms. Maxim began her career with USCIS at the Vermont Service Center (VSC) as an Adjudications Officer in 2007. In 2011, Ms. Maxim accepted a position with Field Operations Directorate at the Northeast Region (NER) as an Officer on the Adjudications Team and was subsequently selected as the first NER Training Officer. While at the NER, she served in several long-term details, most notably as a Supervisory Immigration Services Officer in the Newark Field Office and as an Adjudications Officer in the Citizenship Branch of Field Operations Directorate Headquarters. In 2013, she joined Refugee, Asylum & International Operations as an Adjudications Officer.

Before joining USCIS, Ms. Maxim was a practicing attorney. She received her undergraduate degree from Hamilton College (NY), and her law degree from Case Western Reserve University.

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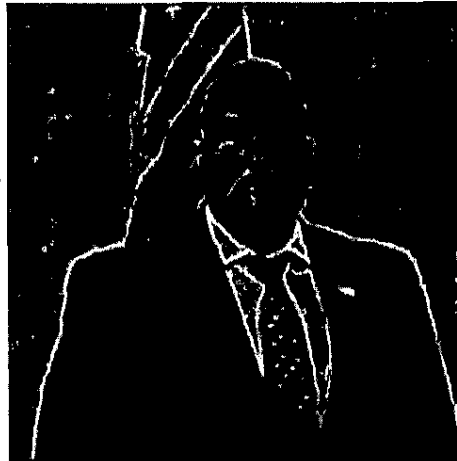
Al Gallmann III
District Director, Phoenix
U.S. Citizenship and Immigration Services

Mr. Al Gallmann was appointed U.S. Citizenship and Immigration Services (USCIS) District Director for District 25 on March 9, 2014.

Immediately prior to his appointment in Arizona, Mr. Gallmann was the USCIS Tucson Field Office Director. In 2012, he served as Acting District Director for the Sacramento, California District for 5 months. In July 2006, Mr. Gallmann retired from federal service, but returned to USCIS in July 2008. He resumed permanent duty status on April 12, 2009, when he was selected as the Field Office Director in Tucson, Arizona.

Gallmann was selected as the Assistant District Director, Adjudications of the former Immigration and Naturalization Services (INS) Phoenix District and subsequently served in the same capacity in USCIS' Phoenix District 25 when it was established in 2003. Mr. Gallmann began his career with legacy INS in March, 1976, as a Border Patrol Agent in Yuma, Arizona. He served as a Border Patrol Agent in Yuma and Tucson Sectors until he was promoted to Immigration Examiner in Lincoln, Nebraska in 1984. Subsequently, he became a Supervisory Immigration Examiner at the Southern Regional Service Center in Dallas, Texas and later Deputy Director and then Director of the Service Center. He transferred to Tucson, Arizona as Supervisory Immigration Examiner in 1989, where he remained until moving to Phoenix in March 2000.

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John Ramirez
Field Office Director, Phoenix
U.S. Citizenship and Immigration Services

John Ramirez became the Field Office Director for the Phoenix Field Office in January 2009. He is responsible for the operation and administration of this office, which has jurisdiction over the following Arizona counties: Apache, Coconino, Gila, Greenlee, La Paz, Maricopa, Mohave, Navajo, Yavapai, and Yuma.

During the two years prior to arriving in Phoenix, Mr. Ramirez was the Field Director for USCIS' Tucson Field Office. From September 2000 until January 2007, Mr. Ramirez was the Supervisory District Adjudications Officer, for the Tucson Sub-office. He was the first Supervisory District Adjudications Officer in the Reno Sub-office of the former Immigration and Naturalization Service (INS) from June 1999 to August 2000..

In October 1995, Mr. Ramirez was selected as a District Adjudications Officer in the Tucson Sub-Office. His first full-time position with the former INS was an Immigration Inspector at the Tucson International Airport, starting in April 1991.

While a university student, Mr. Ramirez began his immigration career as part of the Student Cooperation Program in May 1988. Mr. Ramirez was born and raised in Tucson, Arizona. He graduated from the University of Arizona in December 1990 with a major in Business and Public Administration.

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Jeanne M. Kent

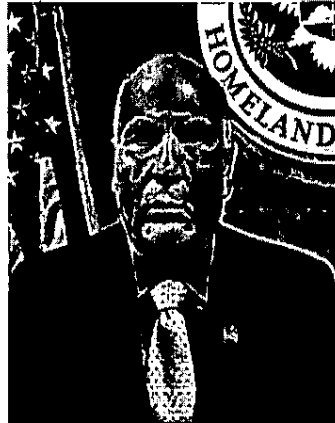
**Field Office Director, Las Vegas
U.S. Citizenship and Immigration Services**

Ms. Jeanne Kent began her tenure in Las Vegas on June 29, 2014 as the Field Office Director of Las Vegas. She returned to District 25 following a four-year tour of duty as the Field Office Director of Salt Lake City, which she began in March 2010. Previously, she was the Senior Immigration Services Officer for the Phoenix Field Office.

Jeanne began her career with legacy INS in May 1997, as a Temporary District Adjudications Officer in Tucson, Arizona. Six months later she moved to Reno, Nevada, to serve as a permanent District Adjudications Officer. She served in Reno, Nevada, until May of 2003, and then transferred to Phoenix, Arizona, to serve as the Special Assistant to the District Director for the Phoenix District. In January of 2005, she took the Supervisory District Adjudications Officer position and served in that capacity until November of 2008, when she took the position of Senior Adjudications Officer. While serving in that position, she also was detailed as a Supervisory Immigration Services Officer until her promotion to Field Office Director in March 2010.

Prior to joining legacy INS, Ms. Kent was an attorney in private practice in California. She has a Bachelor of Arts degree from Augustana College and a Juris Doctor degree from California Western School of Law. She is also a graduate of the USDA Executive Potential Program.

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Walter Haith
Field Office Director, Reno
U.S. Citizenship and Immigration Services

Walter Haith commenced his tenure as the U.S. Citizenship and Immigration Services (USCIS) Field Office Director in Reno, Nevada, on September 7, 2014. Prior to this assignment, he held the position of Field Office Director at the U.S. Embassy in Seoul, Korea, with jurisdiction in Korea and Japan.

Preceding his assignment in Seoul, Walter served as the USCIS Field Office Director in Guam and the Northern Mariana Islands. Additionally, he performed duties as an Immigration Officer at the American Consulate in Frankfurt, Germany, and as an Adjudications Supervisor at the Nebraska Service Center in Lincoln, Nebraska. Mr. Haith began his career with the U.S. Immigration and Naturalization Service (INS) in 1995. The years 1998-2000 found Walter conducting naturalization interviews for Filipino World War II Veterans while serving as the lead adjudication officer on details to the Philippine Islands.

Preceding his immigration career, Mr. Haith spent over 20 years in the law enforcement field, mostly in his home State of Nebraska. In January 2000, Mr. Haith retired from military service having served 8 years on active duty and over 13 years with the National Guard/Army Reserve. While in the U.S. Army, he completed his degree in Criminal Justice from University of Hawaii.

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Julie Hashimoto
Field Office Director, Tucson
U.S. Citizenship and Immigration Services

Julie Hashimoto serves as the Field Office Director, for the Tucson Field Office, U.S. Citizenship and Immigration Services (USCIS), within the Department of Homeland Security, since July 2014. Prior to accepting this position, she served as the Section Chief for the West Palm Beach Field Office, District 10. Before heading to the Southeast Region, she was a Supervisory Immigration Services Officer for the Tucson Field Office.

Julie's career with USCIS began in April of 1996 as an Adjudications Officer with the San Francisco Field Office. She adjudicated both Naturalization and Adjustment of Status applications. In July of 2001, she relocated to Tucson, Arizona, as the Application Support Center Manager. Prior to accepting her position as Supervisory Immigration Services Officer, Julie was detailed to the Application Support Division at Headquarters as a Subject Matter Expert (SME) for the Application Support Centers.

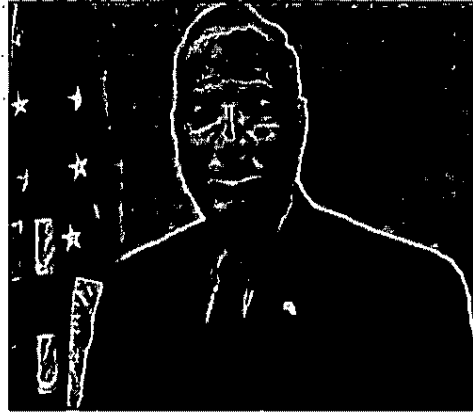
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David G. Gulick
District Director, Honolulu
U.S. Citizenship and Immigration Services

David G. Gulick was initially appointed District Director in January 2004. From July 2006 to June 2008 he served as Chief of Staff for Domestic Operations in Headquarters. He resumed the duties of District Director for District 26 in July 2008. Mr. Gulick began his service in 1972 as an Immigration Inspector at Detroit, Michigan. He subsequently served as an Immigration Inspector at Chateaugay, New York; Immigration Examiner, Milwaukee, Wisconsin; and Supervisory Immigration Inspector, Dulles International Airport, Washington, DC. In 1984, he was promoted to Assistant District Director for Examinations, Washington, DC. He transferred to Honolulu, Hawaii in 1986 as Assistant District Director for Examinations and has remained there since. In May 2008, Mr. Gulick was also appointed as the USCIS Lead for implementation of Public Law 110-229. PL 110-229 applies most of the provisions of the Immigration and Nationality Act to the Commonwealth of Northern Mariana Islands (CNMI). Mr. Gulick is a native of Baton Rouge, Louisiana. He graduated from Louisiana State University in 1971 with a B.S. degree in General Studies. He is married and has a son and a daughter.

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Stephen P. Green
Field Office Director, Agana
U.S. Citizenship and Immigration Services

Stephen P. Green began as the Agana, Guam Field Office Director in January 2012. As Director, Mr. Green oversees Guam and the Northern Mariana Islands. Before this appointment, he served as a Supervisory Immigration Officer at the Las Vegas Field Office, where he was also Acting Field Office Director on multiple occasions. Mr. Green began his career with the former Immigration and Naturalization Services (INS) in 1998 as an Immigration Inspector in San Francisco. In 2001, he was selected as an Adjudications Officer in Las Vegas and was promoted to a supervisory position in 2006. Before joining the legacy INS, Mr. Green worked in the private sector as a manager and customer service representative at the Aloha Tower Market Place and Harbor Court in Honolulu, Hawaii. He also spent 16 years in the U.S. Navy as an Aviation Acoustic Analyst in Honolulu, Hawaii, and had multiple temporary duty assignments in locations from Panama to the Persian Gulf.

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James McCament
Deputy Associate Director
Service Center Operations Directorate
U.S. Citizenship and Immigration Services

Since March 2016, James McCament has served as Deputy Associate Director, Service Center Operations.

He served in an acting capacity since August 2015, while continuing to serve as the chief of the Office of Legislative Affairs (OLA) since January 2009. From May 2014 to August 2015, McCament served as acting Chief of Staff, then as acting Deputy Chief of Staff, in the Office of the Director. From 2008 to 2009, he served as DHS Field Office Director (FOD) in Havana, Cuba. From 2006 to 2008, McCament served as the senior counselor to the Director of USCIS. From September 2003 until joining USCIS in 2006, McCament served as a special advisor to Department of Homeland Security Secretaries Tom Ridge and Michael Chertoff. Prior to joining DHS upon its first day in 2003, from 2001-2003 McCament served as an honors attorney in the Department of the Treasury Office of the General Counsel. From 2000-2001 McCament served as law clerk to the Honorable William C. Lee, Chief Judge of the United States District Court for the Northern District of Indiana.

McCament received his Juris Doctor from the University of Notre Dame Law School, and his bachelor's degree from Mount Vernon Nazarene College. A Harvard Kennedy School Senior Executive Fellow and Federal Executive Institute graduate, McCament is bar licensed in Ohio and is adjunct professor of law for the Antonin Scalia Law School at George Mason University.

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Lynn Feldman
Field Office Director, Fresno
U.S. Citizenship and Immigration Services

Lynn Quan Feldman became the Fresno Field Office Director in March, 2016. Prior to that, she joined the Fresno Field Office as Section Chief in November 2013. She comes to Fresno after serving a 2.5-year special assignment from USCIS to an international organization in Geneva, Switzerland. Prior to that, she had worked in the Bangkok Field Office, Senate Judiciary Committee, USCIS Headquarters (within Service Center Operations and the Office of Policy and Regulations Development), and the Vermont Service Center where she started her career in 2001. She received her law degree from Chicago-Kent College of Law.

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Susan Curda
District Director, Los Angeles
U.S. Citizenship and Immigration Services

Susan M. Curda became the District Director for Los Angeles on Oct. 20, 2014.

Ms. Curda has more than 30 years of immigration experience and was appointed to the Senior Executive Service in 2014. She previously served as the District Director in San Diego and Director of the Rome Field Office. As the USCIS attaché at the U.S. Embassy in Rome, Italy, Ms. Curda was responsible for 16 countries in Europe and Northern Africa. Before moving overseas, Ms. Curda was the USCIS District Director in Sacramento, California, overseeing immigration services for 33 counties in Northern and Central California. Before 2003, she served as the officer in charge of the Immigration and Naturalization Service sub-office in Sacramento, responsible for the full range of immigration programs, including criminal investigations and detention and deportation.

Ms. Curda began her career as an immigration inspector in Chicago, Illinois. She served as a supervisory inspector in Houston, Texas, and as an assistant chief inspector in Washington, D.C. Ms. Curda held several other positions in INS, completing her Headquarters career as the Assistant Commissioner for Planning. Ms. Curda is the recipient of three high level agency awards. She graduated summa cum laude from Illinois State University and holds a Bachelor of Arts degree.

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Laura B. Zuchowski
Director, Vermont Service Center
U.S. Citizenship and Immigration Services

Serving as the Vermont Service Center director since June 2014, Laura Zuchowski leads the VSC's daily effort to align with excellence in determining eligibility for immigration benefits.

She began her federal government career with the Immigration and Naturalization Service in 1993. In 2000, Zuchowski served as the director of procurement and property management under the INS Eastern Region.

In 2005, Zuchowski became the chief of the Office of Contracting, directing the agency-wide contracting portfolio. In that role, she led the USCIS-wide contracting portfolio responsible for over \$1 billion annually and an investment contract portfolio of \$4 billion.

Zuchowski graduated from the University of Vermont in 1993. During her tenure as chief, she graduated from the Harvard Kennedy School Senior Executive Fellows Program in 2012. She also previously held a DHS Level III Federal Acquisition Certification.

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Barbara Velarde
Director, Potomac Service Center
U.S. Citizenship and Immigration Services

Barbara Velarde became the director of the Potomac Service Center on July 26, 2015.

Velarde began her federal career in November 1994 as an asylum officer at the Los Angeles Asylum Office. From 1998 to 2003, she served as a supervisory asylum officer and later as an assistant center director at the California Service Center. In 2003, she moved to Washington, D.C., where she served in several positions, including branch chief for Service Center Operations, chief for the Performance Management Division and chief of Fraud Operations in FDNS. In 2007, Velarde was promoted to chief of Service Center Operations and later in 2010 to deputy associate director for the newly formed Service Center Operations Directorate.

Velarde has a Bachelor of Arts from the University of California, Irvine, and received her Juris Doctor from Western State University, College of Law in Fullerton, California. She is licensed in the state of California. Recently, she attended the intensive "Senior Executives in National and International Security" program at Harvard Kennedy School of Government. In 2014, she received her International Coaching Federation license as an executive coach after completing the one-year Executive Leadership Coaching program at the Georgetown University School of Continuing Studies.

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Mark Hazuda

Director, Nebraska Service Center
U.S. Citizenship and Immigration Services

Mark J. Hazuda was named director of the Nebraska Service Center in September 2011. He is charged with leading the 900 federal employees in accurately processing in excess of 1.7 million immigration applications and petitions annually.

Hazuda previously served as the deputy director of the Vermont Service Center for USCIS where he was responsible for managing day-to-day operations.

Hazuda began his federal career with the Department of Agriculture's National Finance Center based in New Orleans, Louisiana. As the director of the Government Employees Services Division, he led all e-Government initiatives including the Human Resource Line of Business. His division provided all human resource and payroll applications, operations and accounting services to more than 600,000 federal employees.

Before his federal government service, Hazuda enjoyed a successful career in the private sector, where he held various senior-level positions with companies including Automatic Data Processing Inc., First Data Corporation and Paychex, Inc.

Hazuda earned both a Masters of Business Administration degree and a Bachelor of Science degree in business administration from State University of New York at Buffalo.

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Gregory Richardson
Director, Texas Service Center
U.S. Citizenship and Immigration Services

Gregory A. Richardson has served as the Texas Service Center (TSC) director since September 2011. The Texas Service Center is comprised of 665 federal employees who adjudicate employment and asylum adjustments for permanent residence, as well as other immigration applications and petitions for immigration benefits.

In 1988, Richardson started his federal career with the Internal Revenue Service. He joined the Immigration and Naturalization Service (INS) as an enforcement officer and in 1992, became an adjudications and inspections officer. Before his current position, he was the chief of the Adjudications Division with SCOPS. His other roles include chief of staff of SCOPS, the acting deputy director of the Nebraska Service Center, and a supervisory immigration officer and acting branch chief of Fraud Detection Operations. He has also worked in the Field Operations Directorate as a supervisory center adjudications officer and acting assistant center director of adjudications at the National Benefits Center.

Mr. Richardson received his Bachelor of Science degree in Criminal Justice Administration and Minor in Management from the University of Central Missouri. Over his career he has attended several INS and USCIS Basic and Advanced Officer Academies. Mr. Richardson attended the National Security Leadership and Decision-Making in 2007, the US Coast Guard Executive Change Leadership course and the Federal Executive Institute course in 2012.

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Kathy Baran

Director, California Service Center
U.S. Citizenship and Immigration Services

On June 16, 2013, Kathy A. Baran was appointed Director of the California Service.

Ms. Baran joins USCIS from the U.S. Navy's Pacific Fleet Headquarters in Pearl Harbor, Hawaii, where she served as the principal advisor to the Commander. Ms. Baran was selected for appointment to the Senior Executive Service (SES) in September 2011.

From 1982 to 2011, Ms. Baran served as a naval officer, retiring in the grade of Captain after 29 years of service. Ms. Baran holds a Bachelor of Arts degree in Psychology from the State University of New York at Albany, a Master of Arts degree in Education Administration from San Diego State University, and a Master of Science degree in National Resource Strategy from the Eisenhower School at National Defense University. She has been certified as a Senior Professional in Human Resources by the Society for Human Resource Management since 2006.

Ms. Baran's military decorations include three awards of the Legion of Merit, three awards of the Meritorious Service Medal, three awards of the Navy Commendation Medal, and the Navy Achievement Medal. Her civilian awards include the Superior Civilian Service Award, the second highest honorary award under the Department of the Navy Civilian Awards program.

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Jennifer Higgins
Deputy Associate Director
Refugee, Asylum, and International Operations Directorate
U.S. Citizenship and Immigration Services

Jennifer B. Higgins currently serves as the Deputy Associate Director for the USCIS Refugee, Asylum and International Operations Directorate (RAIO).

She first joined the Immigration and Naturalization Service's (INS) Office of International Affairs in 1999 as a Presidential Management Fellow after completing her Master's Degree in Comparative Politics at American University. Upon completion of her Fellowship in 2001, Ms. Higgins joined the INS Refugee Affairs Division as an Immigration Officer where she served as a regional desk officer. In 2007, Ms. Higgins accepted a position with the USCIS Office of Congressional Relations. Later that year, she returned to RAIO and since that time has served in several leadership positions, first as the Branch Chief for Asylum Operations and next as the Deputy Chief for the Refugee Affairs Division. Following her promotion to the Senior Executive Service in January 2014, Ms. Higgins was selected to serve as a Senior Advisor to USCIS Director, León Rodríguez. Since April 2016, Ms. Higgins has been on temporary assignment serving as the Chief of Staff for the Deputy Secretary of the Department of Homeland Security.

Ms. Higgins is the recipient of the 2016 Director's Exceptional Service Award which is USCIS' highest award, as well as the 2010 USCIS Director's Manager of the Year Award, the 2006 USCIS Director's Compass Award, and the 2002 INS Commissioner's Challenge Award.

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Barbara Stack
Chief, Refugee Affairs Division
U.S. Citizenship and Immigration Services

Barbara Strack joined USCIS as chief of the Refugee Affairs Division in November 2005. She manages the Refugee Corps and headquarters staff to support the U.S. refugee admissions program by conducting overseas adjudications and through related policy, training, quality assurance, anti-fraud and national security efforts. Previously, she directed a project on immigrant integration at the National Immigration Forum; served in the policy office at the legacy Immigration and Naturalization Service; worked as counsel to a U.S. Senate subcommittee; and practiced law in Washington, D.C. at O'Melveny & Myers. In 2010, she received a Presidential Rank Award for excellence in public service.

Strack attended the International Summer School in Forced Migration at the University of Oxford, and she is a graduate of the University of Michigan Law School and Brown University.

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John Lafferty
Chief, Asylum Division
U.S. Citizenship and Immigration Services

John Lafferty joined the legacy Immigration and Naturalization Service as an asylum officer in San Francisco in November 1994. He served in various positions in the Asylum Division in San Francisco and Washington, D.C., until his selection to serve as the deputy director of the Los Angeles Asylum Office in 2000. He returned to Washington, D.C. in April 2004 as head of the Asylum Division's Quality Assurance and Training Branch. In December 2005, Lafferty joined the USCIS Refugee Affairs Division as a deputy chief, and held that position until he entered on duty as the district director for the Rome District Office in March 2008. He returned to headquarters in 2013 as the chief of the Asylum Division.

Lafferty received his bachelor's degree from Knox College and his law degree from the University of San Diego School Of Law. After law school, he served in the Peace Corps in Niger, West Africa. Upon returning to the United States, he worked for nearly five years as a staff attorney with the Catholic Charities Refugee Immigration Program in San Jose, CA.

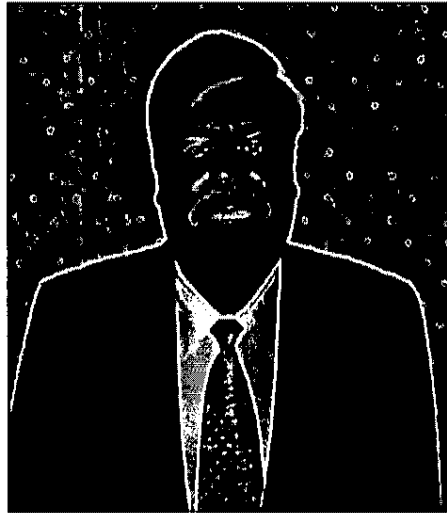
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Jedidah M. Hussey
Director, Arlington Asylum Office
U.S. Citizenship and Immigration Services

Jedidah Hussey became the director of the Arlington Asylum Office in February 2014. Previously she served as the chief of the Training and Career Development Division with the USCIS Office of Human Capital and Training where she led development of USCIS training policies, managed corporate training programs, and created mechanisms for employee career development. Prior to TCDD, Ms. Hussey held a range of positions within the Refugee, Asylum and International Operations Directorate, including deputy chief of the Asylum Division (2008 – 2010), chief of the Asylum Division's Training, Research, and Quality Branch (2005 – 2008), and an asylum officer supporting research, training, and quality assurance functions (1999 - 2005). From 2007 to April 2009, she chaired the Asylum and Refugee Working Group of the Intergovernmental Consultations on Migration, Asylum and Refugees (IGC) based out of Geneva, Switzerland. Ms. Hussey joined the legacy Immigration and Naturalization Service in 1997 through the Presidential Management Fellow Program. She holds a B.S. in Russian language, a M.A. in Russian and East European studies, and a J.D. from Georgetown University.

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Kenneth S. Madsen
Director, Chicago Asylum Office
U.S. Citizenship and Immigration Services

Kenneth Madsen became director of the Chicago Asylum Office in October 2005. He has served with the Chicago Asylum Office nearly since its inception, starting in 1992. Prior to being selected as director, Madsen served as an asylum officer for over five years and as a supervisory asylum officer for more than seven years.

Before joining the legacy Immigration and Naturalization Service (INS), Madsen served as a commissioned officer in the United States Navy. Serving on active duty for over seven years, he completed two tours at sea on surface combatants and ashore as a school director at Naval Training Center, Great Lakes.

Madsen has bachelor's degrees in economics and history from Purdue University, and a Juris Doctor from DePaul University College of Law.

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Robert Daum
Director, Houston Asylum Office
U.S. Citizenship and Immigration Services

Robert Daum entered on duty as Director of the U.S. Citizenship and Immigration Services (USCIS) Houston Asylum Office in June of 2014. Mr. Daum joined the Houston Asylum Office from the USCIS Asia-Pacific District Office in Bangkok, Thailand, where he was the Deputy District Director. In that position, Mr. Daum managed the operations of the 6 USCIS field offices in the Asia-Pacific region. Prior to that, Mr. Daum was the Field Office Director of the USCIS field office in Rome, Italy, where he was responsible for immigration benefits matters, including military naturalization and refugee processing, in the 16 countries under the jurisdiction of the Rome Field Office. Mr. Daum previously served in various positions at USCIS headquarters including Deputy Chief of the Transformation Program Office. Mr. Daum joined the legacy Immigration and Naturalization Service (INS) as a Presidential Management Fellow in 1999. Prior to joining INS, Mr. Daum attended the Elliott School of International Affairs at George Washington University where he earned a Master's Degree in International Development. He is also a graduate of John Carroll University in Cleveland, Ohio. Other previous experience includes service as a volunteer teacher and coach in the Federated States of Micronesia with Jesuit Volunteers: International.

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David M. Radel
Director, Los Angeles Asylum Office
U.S. Citizenship and Immigration Services

David Radel has served as director of the Los Angeles Asylum Office since September 2014.

Radel first joined USCIS and the Los Angeles Asylum Office as an asylum officer in 2003. He was appointed as a supervisory asylum officer in 2004, asylum office deputy director in 2006, and acting asylum office director in March 2014. He has also served as acting chief of the USCIS Asylum Division's Operations Branch and as acting officer-in-charge of the USCIS sub-office in Port-au-Prince, Haiti. He has conducted overseas refugee processing details to the Ivory Coast, Cuba, Ecuador, Costa Rica, Egypt, and Nepal. From 2009-2012, he traveled to Israel on several occasions to develop and provide training at the Israel's first Refugee Status Determination Officer (RSDO) training courses and to lead an Asylum Division team responsible for assisting Israel in its development of an asylum protection program.

Prior to joining the Asylum Program, Radel worked as an immigration attorney for Morrison & Foerster, and as a staff attorney at Neighborhood Legal Services of Los Angeles County. Radel has a bachelor's degree from The American University, a master's degree from Stanford University, and a Juris Doctor from Stanford Law School.

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Varsenik Papazian
Director, Miami Asylum Office
U.S. Citizenship and Immigration Services

Varsenik “Varny” Papazian serves as the Director of the Miami Asylum Office, a position that she has held since July 2012.

Papazian’s extensive career in immigration law and public service includes both government and non-government work. Prior to joining government service, she worked as a Staff Attorney for Catholic Legal Immigration Network (CLINIC), where she represented asylum seekers and immigrants applying for other benefits, including affirmative asylum. Papazian later became the managing attorney for the Miami office of Church World Service, where she led a team of attorneys and para-professionals providing legal representation to South Florida’s low-income and indigent immigrant population. In January 2000, she joined the Miami Asylum Office as an Asylum Officer. From 2002-2008, she served as a Supervisory Asylum Officer, a position that she held until her promotion to Deputy Director in 2008.

Papazian holds a law degree from the University of Miami and is a member in good-standing of the Florida Bar.

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Patricia A. Menges
Director, New York Asylum Office
U.S. Citizenship and Immigration Services

Patricia Menges was appointed director of the New York Asylum Office in 1999. She entered the office shortly after its inception in 1995 as a supervisory asylum officer. She held this position until 1997 when she became the office deputy director.

Menges established a strong career foundation with the legacy Immigration and Naturalization Service. Starting in 1984, she entered the field as an immigration inspector at John F. Kennedy International Airport in New York. Her responsibilities included inspecting persons arriving at the airport. In 1991, Menges became a supervisor in the adjudications branch in the New York District Office, where she managed Manhattan's naturalization application caseload. In 1993, Menges transferred to the non-immigrant/marriage fraud unit. She remained there until 1995, when she joined the asylum corps.

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Susan Raufer

**Director, Newark Asylum Office
U.S. Citizenship and Immigration Services**

Susan Raufer was appointed Director of the Newark Asylum Office in September 1999. Prior to her appointment, she was the deputy director of the same office.

Raufer began her career with the legacy Immigration and Naturalization Service (INS) in 1994 as an asylum officer, responsible for the adjudication of applications for asylum. She became a supervisory asylum officer in 1996 and deputy director in 1998. Prior to joining the INS, Raufer worked for 13 years for Lutheran Social Ministries of New Jersey. She was initially responsible for the resettlement of refugees through church or agency sponsorship. While there, Raufer co-founded the immigration program for the agency, a New Jersey affiliate of Lutheran Immigration and Refugee Services, and became the program's first accredited representative. She wrote an article on In-Country Processing of Refugees that appeared in the Georgetown Immigration Law Journal (Spring 1995). Raufer began her career as an English teacher for Save the Children Foundation in a refugee camp in Phanat Nikhom, Thailand, teaching English to Cambodian, Laotian and Vietnamese refugees bound for resettlement in the United States.

Raufer has a Juris Doctor from Rutgers University School of Law in Camden, NJ, and an undergraduate degree in international studies from the School for International Training in Brattleboro, VT.

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Emilia Bardini

Director, San Francisco Asylum Office
U.S. Citizenship and Immigration Services

Emilia Bardini joined the Asylum Corps in 1992 as an Asylum Officer in the San Francisco Asylum Office. In 1999 she was selected as Director. Prior to government service Emilia worked as an advertising executive and chose public interest/service law as a second career. Emilia practiced law in the field of employment discrimination, along with pro bono work in immigration law. While part of the asylum office Emilia has been fortunate to have traveled to Moscow, Russia and Amman, Jordan for the Refugee division.

Emilia has a BA in Journalism and MA in English Literature from the University of California, Berkeley, and a JD from The University of San Francisco Kendrick School of Law. She is a member of the California Bar Association.

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U.S. Citizenship
and Immigration
Services



Joanna Ruppel
Chief, International Operations Division
Refugee, Asylum, and International Operations Directorate
U.S. Citizenship and Immigration Services

Joanna Ruppel is the chief of the International Operations Division in the Refugee Asylum and International Operations Directorate.

In January 2008, Ruppel was selected to join the Senior Executive Service as chief of International Operations for US Citizenship and Immigration Services. From January 21, 2008, to May 19, 2008, she served as the acting district director for the Mexico City District. Prior to joining the Office of International Operations, Ruppel served as deputy chief of the USCIS Asylum Division, supervisor for the Operations Branch in the Asylum Division, and asylum officer. From 1990-1992, she clerked for a U.S. District Court Judge in Denver, Colorado.

Ruppel received a JD from the University of California School of Law (Boalt Hall) in 1990. Ruppel also studied International Human Rights Law at the Institute for Human Rights in Strasbourg France and Humanitarian Law at the Dunant Institute in Geneva Switzerland, and completed the Senior Executive Fellows Program at the Kennedy School of Government.

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**U.S. Citizenship
and Immigration
Services**



Donald Monica

**District Director, Asia/Pacific District
U.S. Citizenship and Immigration Services**

Don Monica began his government career in 1980 with the legacy Immigration and Naturalization Service (INS), serving for eight years as an Immigration Inspector and Senior Immigration Inspector at ports of entry in Toronto, Montreal, Champlain, NY, and Niagara Falls, NY. He then transferred to the Buffalo District Office where he served as the District Intelligence Officer and later as an Immigration Examiner. Monica thereafter transferred to the INS Office in Nairobi, Kenya as the Assistant Officer in Charge and was promoted after one year to the Officer in Charge. After five years in Nairobi, Monica transferred to Philadelphia to serve as Assistant District Director for Examinations, which included oversight of the adjudications, records, and information and immigration inspection programs. He returned overseas from 1999 to 2001 as the Officer in Charge in Moscow. From Moscow, Monica transferred to Miami as the Assistant District Director for Adjudications.

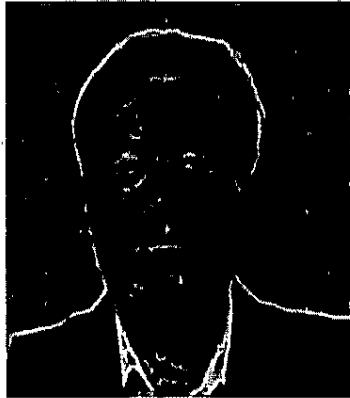
After INS was abolished and USCIS was established in 2003, Monica was appointed as interim District Director in Chicago for one year and was then assigned to serve as the District Director in Philadelphia. He was briefly the District Director in Atlanta before accepting an assignment as the Southeast Regional Director in Orlando, Florida. In 2010, Monica moved to headquarters as the Deputy Associate Director for the Field Operations Directorate and then assumed the Associate Director position in 2011.

Monica is a native of Cleveland and has a bachelor's degree from Cleveland State University. He holds a Master of Arts from the University of St. Michael's College in Toronto.

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**U.S. Citizenship
and Immigration
Services**



Gregory Sanders
Field Office Director, Bangkok
U.S. Citizenship and Immigration Services

Greg Sanders is currently the Bangkok USCIS Field Office Director. Prior to this position, he was a Supervisory Refugee Officer with RAD who has lead details to Thailand, Nepal, Malaysia, Syria, Turkey, and Jordan. He has held several positions in American and overseas voluntary agencies (ICMC, IOM) before joining the government as an asylum officer and supervisory asylum officer in San Francisco (ZSF) in 1997. He served as Director of Unaccompanied Minors foster care program in central Illinois which resettled over 500 refugee minors with American families. He then was a UNHCR interviewer based in Thailand for the Orderly Departure Program (ODP) in Vietnam. For several years, Greg was a para-consular officer interviewing Amerasians and immigrant visa applicants in Vietnam pre-diplomatic relations for DOS. After serving with ZSF, he returned to Bangkok under legacy INS and eventually became the leading supervisor for the Vietnam Orderly Departure program which he closed in 1999.

Greg obtained his BA in Education from Illinois State University, thereafter joined the US Air Force, learned Vietnamese at the Defense Language Institute, and then MA in Teaching English as a Second Language from Southern Illinois University.

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**U.S. Citizenship
and Immigration
Services**



James Chiang
Field Office Director, Beijing
U.S. Citizenship and Immigration Services

On February 24, 2014, James Chiang entered on Duty as the US Citizenship and Immigration Services (USCIS) Beijing Field Office Director (FOD). James began his civil service career with USCIS in 2001 as an Asylum Officer for the Los Angeles Asylum Office. In 2003, he worked as an Immigration Adjudications Analyst and later became a Supervisor at the California Service Center. James moved to Service Center Operations HQ in 2004 and later served as the Branch Chief of the Systems Quality Assurance and Training Branch. From 2008 to 2010, James worked for International Operations Division within Refugee Asylum International Operation Directorate (RAIO) as the FOD for USCIS Beijing. In January 2011, James became the first RAIO Directorate's Fraud Detection and National Security Branch Chief.

James received his Bachelor's Degree in Mechanical Engineering from the California Polytechnic University and his Juris Doctorate Degree from the Whittier College of Law. Prior to becoming a career civil servant, James worked as a staff attorney for the Asian Pacific American Legal Center where he consulted and represented indigent immigrants on family law and immigration cases. James is married to Carol and has two sons named Justin and Christopher.

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U.S. Citizenship
and Immigration
Services



Kevin Riddle

Field Office Director, Guangzhou
U.S. Citizenship and Immigration Services

Kevin Riddle began his career with USCIS in 2007 as a Refugee Officer. After that he spent three years working as a Supervisory Refugee Officer where he managed teams of officers on refugee processing trips. During his career Kevin has travelled to over 20 countries for refugee related work. In 2013 Kevin was competitively selected for and successfully completed the DHS Fellows Program. During his fellowship he participated in a rotation at DHS Headquarters with the Program Analysis and Evaluation division of the DHS Office of the Chief Financial Officer. Kevin joined International Operations as an Overseas Adjudications Officer with the Bangkok Field Office in 2014. He is currently serving as the Field Office Director for the Guangzhou Field Office.

Kevin completed his undergraduate education at the University of Illinois in Urbana-Champaign, receiving a B.A. in Political Science. After graduating, he spent two years as a Peace Corps volunteer living in a rural Samoan village. After Samoa, Kevin moved to Hawaii to begin graduate school at the University of Hawaii, Manoa. There, he completed an M.A. in Pacific Islands Studies in 2006 before relocating to Washington, DC.

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**U.S. Citizenship
and Immigration
Services**



Thomas Curley
Field Office Director, Manila
U.S. Citizenship and Immigration Services

Thomas Curley is the USCIS Field Office Director in Manila, Philippines. A native of upstate New York, he began his federal immigration career in 1997, as an INS Immigration Inspector in Montreal, Canada. In 2001, he moved to the INS Asylum Corps, working in both New York (ZNY) and New Jersey (ZNK). From 2005-2007, Thomas served as an overseas adjudications officer and acting Field Office Director at the USCIS Moscow Field Office. From 2007-2009 and from 2011-2013, Thomas worked at USCIS Headquarters within RAIO Directorate's International Operations Division. From 2009-2011, Thomas served as the USCIS Liaison Officer to Citizenship and Immigration Canada (CIC) while concurrently assigned as USCIS attaché at the U.S. Embassy in Ottawa, Canada. He began his current FOD assignment in the Philippines in December 2013. Prior to his federal immigration career, he was a Peace Corps Volunteer in Bulgaria (1994-1996) and resettled refugees in New York State. Thomas is a graduate of New York University and alumni of the DHS Fellows Program.

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U.S. Citizenship
and Immigration
Services



Kenneth J. Sherman
Field Office Director, New Delhi
U.S. Citizenship and Immigration Services

Kenneth J. Sherman entered on duty September 4 as director of the New Delhi Field Office within the Asia Pacific District. Sherman's previous position was director of the Boston Field Office from 2013 until his current appointment.

He served as director of the Honolulu Field Office from 2011 to 2013, and Seoul Field Office in South Korea from 2007 to 2011. Sherman started his USCIS career in 1996 as an immigration inspector. In 1998, he was promoted to adjudication officer. He became a supervisory adjudication officer in 2003. In 2005, Sherman was assigned to the Bangkok Field Office in Thailand as an overseas adjudication officer. His temporary assignments abroad included Accra, Ghana; Guangzhou, China; Ho Chi Minh City, Vietnam; Kabul, Afghanistan; Kuala Lumpur, Malaysia; Manila, Philippines; Nairobi, Kenya; Phnom Penh, Cambodia; Seoul, South Korea; and Tokyo. Sherman also presided over naturalization ceremonies overseas and aboard U.S. naval vessels at sea.

Sherman is a native of New Hampshire and served honorably in the U.S. Air Force from 1986 to 1990. He graduated from the State University of New York in Plattsburgh, New York, in 1990 with a bachelor's degree in political science. He is married and has two daughters.

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U.S. Citizenship
and Immigration
Services



Carl Risch
Field Office Director, Seoul
U.S. Citizenship and Immigration Services

Carl Risch has been the Field Office Director in Seoul since February 2015. Prior to serving in Seoul, Mr. Risch was the overseas adjudications officer in Manila, Philippines, from July 2013 until he entered on duty as the Field Office Director in Seoul.

Before joining the International Operations Division, Mr. Risch worked at the Administrative Appeals Office in Washington, DC, first as an adjudicator, starting in 2006, and later as a supervisor, focusing on employment-based immigration matters. He is also a licensed attorney and former State Department consular officer.

Mr. Risch is a native of Pennsylvania. He currently lives in Seoul, Korea, with his spouse and two daughters.

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U.S. Citizenship
and Immigration
Services



Aster Zeleke
Field Office Director, Accra
U.S. Citizenship and Immigration Services

Aster Zeleke has been the Field Office Director of the USCIS Field Office in Accra, Ghana since December 2012. Prior to serving as Field Office Director, Aster had been the Deputy Director of the Newark Asylum Office, which she had joined as an asylum officer in November 1994. She served the office in various capacities as an Asylum Officer, Acting Supervisory Asylum Officer, Quality Assurance/Trainer, and Deputy Director. As part of her work with the USCIS Asylum Division, she has participated in number of refugee processing details in Croatia, East and West Africa, and Yemen. She also served as Acting Field Office Director in New Delhi, India and Johannesburg, South Africa. Before joining the Asylum Office, Aster worked as Case Manager and Fiscal Supervisor with Presbyterian Refuge and Immigration Ministry Efforts (PRIME) - Affiliate office of Church World Service in Pennsylvania. She resettled and provided case management services to arriving refugees from different regions of the world. Aster has a Master's degree in Economics from University of Timisoara, Romania.

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U.S. Citizenship
and Immigration
Services



Sarah Schoener

**Field Office Director, Amman
U.S. Citizenship and Immigration Services**

Sarah Schoener entered on duty as Field Office Director of the USCIS Amman Field Office in September 2016. Previously, she had been serving as an Overseas Adjudications Officer in the New Delhi Field Office since September 2014. Shortly after her arrival in New Delhi, Sarah served as Acting Field Office Director from January to May 2015.

Prior to joining International Operations, Sarah served for three years as the Domestic Desk Officer with the Refugee Affairs Division, where she was responsible for developing policy and procedures for the P-3 refugee family reunification program, DNA testing, congressional inquiries, FOIA requests, records management, and supporting refugee circuit rides to Africa. She originally joined RAD in May 2008 as a Refugee Officer and has adjudicated refugee cases throughout Africa, the Middle East, and Asia.

Sarah received a Master's degree in Public International Law and Forced Migration from the Fletcher School of Law and Diplomacy and worked as a protection intern with UNHCR in Conakry, Guinea. She was a Fulbright Scholar in South Korea and received a Bachelor of Arts degree in International Studies and French from the University of South Carolina.

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U.S. Citizenship
and Immigration
Services



James C. Fletcher
Field Office Director, Athens
U.S. Citizenship and Immigration Services

On January 24th, 2016, Mr. James C. Fletcher entered on duty as the Field Office Director of the Athens Field Office.

Prior to being selected as the Field Office Director in Athens, Mr. Fletcher served as the first Field Office Director of the newly created Wichita Field Office. Mr. Fletcher began his civil service career with USCIS in 2003 as an Applications Adjudicator at the Missouri Service Center (now the National Benefits Center) in Lee's Summit, Missouri. In 2004, Mr. Fletcher became a District Adjudications Officer in the Employment Authorization and Legalization Unit at the New York District Office. Mr. Fletcher has subsequently held positions as a Refugee Officer, an Intelligence Research Specialist with FDNS at the National Benefits Center, an FDNS Immigration Officer at Headquarters, a Management & Program Analyst with the Office of the Chief Financial Officer, and Supervisory Immigration Services Officer (Branch Chief) for the Adjudications Section of the Orlando Field Office. From October 2009 through May 2010, Mr. Fletcher was detailed to the Office of Transformation and in 2010 Mr. Fletcher was selected for a permanent position with the Office of Transformation Coordination as a Supervisory Management & Program Analyst.

Mr. Fletcher received his Bachelor's Degree from the University of Kansas in 2001 with a double major in History and Political Science.

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U.S. Citizenship
and Immigration
Services



Karen FitzGerald
Field Office Director, Frankfurt
U.S. Citizenship and Immigration Services

Karen L. FitzGerald has served as the Field Office Director of the USCIS Frankfurt Field Office since February 2014.

Before moving to Frankfurt, FitzGerald was the deputy director of the Vermont Service Center. In that role, she spent two months at Headquarters as part of the Deferred Action for Childhood Arrivals Working Group. Previously, FitzGerald served as the district director in Philadelphia. From 2004 to 2008, she was the field office director and USCIS attaché at the American Embassy in London.

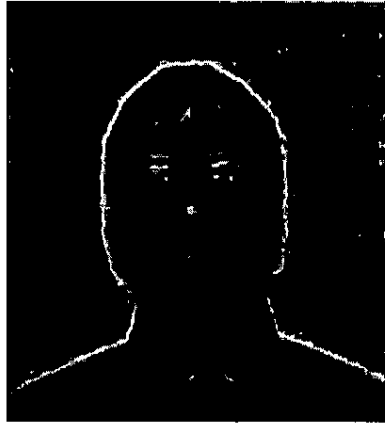
Before moving to London, FitzGerald spent nearly 10 years at Headquarters in various positions, including special assistant to the associate director and deputy associate director for operations. In these roles, she managed and developed policies for multiple programs, including the Violence Against Women Act program, the Protection for Victims of Trafficking program and the Inter-Country Adoption program.

FitzGerald graduated from Boston University and has a master's degree in European politics from the University of Essex.

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U.S. Citizenship
and Immigration
Services



Mark Baxter
Field Office Director, Johannesburg
U.S. Citizenship and Immigration Services

Mark Baxter is currently the Field Office Director at the USCIS Johannesburg Field Office. He previously served as an Overseas Adjudications Officer in New Delhi, a Supervisory Refugee Officer and Refugee Officer with the USCIS Refugee Affairs Division in Washington, DC, and an Adjudications Officer in New York City. He also previously served as a community and youth educator in the Peace Corps in West Africa and has a B.A. and a J.D. from Michigan State University.

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**U.S. Citizenship
and Immigration
Services**



Laurie E. O'Bryon
Field Office Director, Rome
U.S. Citizenship and Immigration Services

Laurie E. O'Bryon entered on duty as the Field Office Director of the USCIS Rome office on October 5, 2014. Previously, she was the Chief of the Training and Quality Assurance Branch of the Refugee Affairs Division (RAD). Prior to joining RAD in 2006, she served as an adjudications officer in the Administrative Appeals Office, where she adjudicated complex H and L visa appeals. O'Bryon joined the federal government in 2001 as an asylum officer at the Arlington Asylum Office.

Before joining USCIS, she practiced law for several years in Washington, DC. She then took a pro bono position with Legal Assistance for Vietnamese Asylum Seekers (LAVAS), a non-governmental organization in the Philippines, representing Vietnamese asylum seekers in their political asylum appeals. When she returned to the United States, she worked for LAVAS as the Executive Director before becoming the associate director of Jesuit Refugee Service/USA. She worked at JRS/USA from 1994-2000.

O'Bryon graduated from Gettysburg College, Boston University School of Law, and received certificates from the University of Oxford's Refugee Studies Centre and Georgetown University's International Migration Studies Program.

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U.S. Citizenship
and Immigration
Services



Joseph Hackbarth
Field Office Director, London
U.S. Citizenship and Immigration Services

Joseph Hackbarth became the director of the London Field Office on Dec. 19, 2013. Hackbarth began working for the legacy INS in 1993 and brings to his current position a wealth of experience from Headquarters, the San Francisco District Office, the FBI Liaison Office in Clarksburg, WV, the California Service Center, and the Rome Field Office. Before rejoining the Europe, Middle East and Africa District, Hackbarth worked as the field office director at the San Juan and Kendall Field Offices and as the Miami District Office acting chief of staff.

Hackbarth has a bachelor's degree in Business Administration from National University in San Diego, California.

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**U.S. Citizenship
and Immigration
Services**



Emery Moore

**Field Office Director, Moscow
U.S. Citizenship and Immigration Services**

Emery Moore entered on duty as the Field Office Director in Moscow, Russia, in March 2014.

He began his federal career with the Immigration and Naturalization Service in 1998 as an Adjudications Officer at the Vermont Service Center (VSC). Since 2004, he assumed various supervisory and management roles; his most recent position at the VSC was that of a Fraud Detection and National Security Supervisory Immigration Officer. In 2012, Emery joined the Field Operations Directorate in Washington, DC as a Supervisory Adjudications Officer in Transformation.

Emery is a recipient of the Director's Pioneer Award for Ingenuity and Innovation for exploring ways to better serve USCIS customers and to promote economic prosperity and job creation for his work as a Tactical Team member in the Entrepreneurs in Residence program sponsored by the White House. Emery has a Bachelor's Degree in Secondary Education and Social Studies from Johnson State College, and a Master's Degree in Diplomacy from Norwich University. He is a graduate of the USDA Graduate School Executive Leadership Program, and holds a Government Strategic Leader Certification from the National Defense University. Emery is proficient in Hungarian, German, and Russian.

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**U.S. Citizenship
and Immigration
Services**



Charles Wright
Field Office Director, Nairobi
U.S. Citizenship and Immigration Services

Charles Wright is the Field Office Director for the USCIS Field Office in Nairobi, Kenya. In this position he is responsible for immigration petition and application adjudication, public and government-facing customer service, consultations and trainings with regional consular and law enforcement offices, overseas document verification, and DNA collection.

Prior to his role as Attaché, Wright served as the supervisory officer for the congressional unit of the California Service Center, the largest adjudicative USCIS office. He also worked in and supervised customer service, green card, and naturalization components of the USCIS Washington Field Office located in Fairfax, Virginia. His other previous work experience within USCIS includes working with refugees, humanitarian parolees, and ELIS (the Electronic Immigration System).

Wright holds a M.S. in Foreign Service from Georgetown University and is a graduate of Georgia Institute of Technology (Georgia Tech).

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**U.S. Citizenship
and Immigration
Services**



Erin Fatica

**District Director, Latin America, Canada and the Caribbean
U.S. Citizenship and Immigration Services**

Erin Fatica has served as District Director of the U.S. Citizenship and Immigration Services (USCIS) Latin America, Canada, and Caribbean District (LACC) since June 2014. She was previously Deputy District Director for LACC from 2012-2014. She began working on immigration issues in 1995, when she was selected for a joint Jesuit Refugee Service-Catholic Legal Immigration Network, Inc. (CLINIC) fellowship as a staff attorney representing Haitian asylum seekers in Miami. After two years with CLINIC, she joined legacy INS in 1997 as an Asylum Officer at the Miami Asylum Office. She became a Supervisory Asylum Officer in 1999. In 2001, she moved to Headquarters Asylum in Washington, DC, where she specialized in asylum procedures and finalized the Affirmative Asylum Procedures Manual. She then briefly left the Asylum Division to work for the Administrative Appeals Office, specializing in waivers of inadmissibility. In 2005, Erin returned to the Miami Asylum Office as Deputy Director and was promoted to Director in February 2008, where she served until joining International Operations in 2012. Erin has a Bachelor of Arts degree from University of Minnesota and a Juris Doctor from Georgetown University, where she served on the editorial board for the Georgetown Immigration Law Journal. Erin speaks Haitian Creole.

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**U.S. Citizenship
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Miguel "Mike" Chavez
Field Office Director, Ciudad Juarez
U.S. Citizenship and Immigration Services

Mike Chavez has been the Field Office Director in Ciudad Juarez since May 2015. Before arriving, Mike was an Overseas Adjudications Officer at the Mexico City field office where he was very active in outreach events, office adjudications and providing technical support to the consular section at the U.S. Embassy. Before coming to International Operations, Mike was an Immigration Services officer in El Paso, Texas. He was the military liaison where he was recognized for providing valuable information and services to the Fort Bliss military community. Before CIS, Mike began his government service career with almost 26-years in the Air Force where he served throughout the world. His most memorable assignments were in Micronesia, Europe, the Middle East and before retiring, at Fort Bliss, Texas where he was an instructor at the Sergeants Major Academy. He also served with Border Patrol and as a Customs Inspector in Douglas, Arizona. Mike holds degrees from the Community College of the Air Force and with State University of New York.

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U.S. Citizenship
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Kirsten Marie Smith
Field Office Director, Guatemala City
U.S. Citizenship and Immigration Services

Kristen has served at the Guatemala City Field Office since September 2011. In January 2014 she was promoted to the Field Office Director and Dual-Hat DHS Attaché. During her tenure she has played an instrumental role in moving forward the pending transitional adoption cases that were left in limbo when Guatemala joined the Hague Convention on Adoptions on December 31, 2007. Kristen is part of the technical team that meets regularly with members of the Guatemalan government to discuss the remaining pending cases.

Kristen has worked at numerous USCIS offices across the country, including: Phoenix, the National Benefits Center in Lee's Summit, Missouri; and the Office of Transformation at HQ.

Kristen, a Kansas City, Missouri native, graduated from San Diego State University with a B.A. in International Business and a minor in Latin American Studies. She studied abroad in Buenos Aires, Argentina. Kristen graduated from the USDA's Executive Leadership Program in June of 2009.

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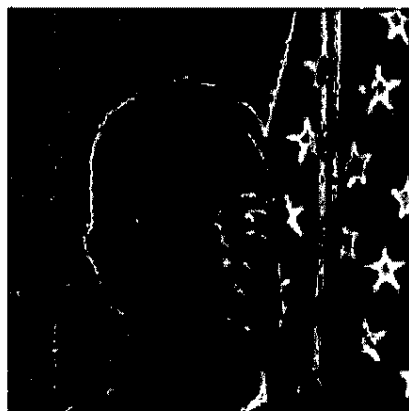
Marilyn H. Rebatta
Field Office Director, Havana
U.S. Citizenship and Immigration Services

Marilyn H. Rebatta is the Field Office Director of the USCIS Havana Field Office and DHS Attaché in Cuba. She began her career with USCIS in 2005 as an Adjudications Officer at the West Palm Beach Field Office in Florida. In 2009, Marilyn joined the Refugee Affairs Division where she initially served as a Refugee Officer and later as a Supervisory Refugee Officer. She adjudicated refugee applications in Malaysia, Nepal, Turkey, Egypt, Tunisia, Jordan, Iraq, Kuwait, Austria, Kenya, Cuba, Key West and U.S. Naval Station Guantanamo Bay; and, supervised teams in Nepal, Ecuador and Cuba. Marilyn briefly worked with Service Center Operations as an Adjudications Officer, specializing in issues of terrorism-related inadmissibility grounds (TRIG). Prior to joining USCIS, she served as a Bilingual Speech-Language Pathologist for the University of Miami. She earned a B.S. in Special Education—Mental Retardation from Florida International University and an M.S. in Communication Disorders—Speech-Language Pathology from Florida Atlantic University. Marilyn is a veteran of the U.S. Navy. She has been awarded a Navy Unit Commendation and three USCIS Director's awards—Heritage Award (2011), Cornerstone Award (2012) and Golden Door Award (2013).

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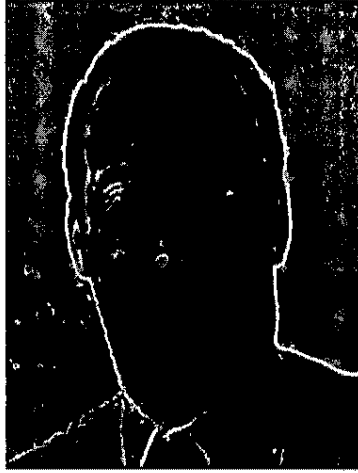
Patrick Lujan
Field Office Director, Lima
U.S. Citizenship and Immigration Services

Patrick Lujan has been the USCIS Field Office Director in Lima, Peru since February, 2014. His region includes South America and he also serves as the dual-hat DHS Attaché.

Patrick was an adjudicator and Acting Chief of the Project Liaison Team in the Office of the USCIS Director from 2011 to 2014. From 2007 to 2011, Patrick was a Latin America and Caribbean desk officer with Refugee Affairs Division, responsible for managing the regional program, including protection screening on board USCG cutters and in Guantanamo Naval Station and for regional refugee processing. He was also responsible for Caribbean mass migration contingency planning and training, engaging with interagency partners to develop mass migration plans at the DHS and White House levels.

Patrick joined USCIS in 2003 as an Asylum Officer and was promoted to Supervisory Asylum Officer in 2006. Patrick has adjudicated asylum cases in Guam, and has conducted refugee interviews in Russia, Colombia, Ecuador, Costa Rica, Pakistan, and Bangkok. Patrick is a graduate of Santa Clara University School of Law and the University of California, Santa Barbara.

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Rodolfo Núñez
Field Office Director, Mexico City
U.S. Citizenship and Immigration Services

Rodolfo Núñez began working with USCIS (former INS) as an Adjudications Officer in 1997 where his first experience was in Naturalization. He worked in the Miami Naturalization Unit from March 1997 until November 1999 at which time he transferred to the Miami Field Office to work in the Adjustment of Status Unit. From 2005 until 2007, he was an Overseas Immigration Services Officer at the Rome Field Office. In August of 2007 he returned to the Miami Field Office to work as an Adjudicator and temporary Supervisory Adjudicator. From 2008 until 2011 he was an FNDS Officer in the Fraud Detection and National Security Directorate. In this capacity he assisted Immigration and Customs Enforcement in the investigation of several large-scale immigration fraud rings. From 2011 until March 2015 he was the Section Chief in the Miami Field Office where he was in charge of both the Adjudication and Records Units. Since March of 2015 he has been working with International Operations as the Field Office Director of Mexico City.

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Joel R. Miramontes
Field Office Director, Monterrey
U.S. Citizenship and Immigration Services

Joel R. Miramontes currently serves as the Field Office Director (FOD) of the USCIS office at the U.S. Consulate in Monterrey, Mexico. With his current position at Monterrey, Mexico, Mr. Miramontes has served twice at an overseas USCIS office. In August 2005, he served for three year as the FOD of the USCIS office at the U.S. Embassy in Tegucigalpa, Honduras.

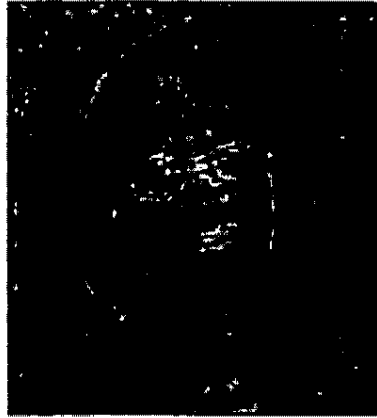
Mr. Miramontes began his civilian federal service as an Asylum Officer with the U.S. Immigration and Naturalization Service in November 1994. Thereafter, he served as a Supervisory District Adjudications Officer for four years. In April 2002, he was selected to the position of Deputy Assistant Regional Director, Adjudications at the Western Region Office. After serving three years as the FOD at the USCIS office at the U.S. Embassy in Tegucigalpa, Honduras, Mr. Miramontes served almost seven years as Section Manager at the San Bernardino Field Office.

Prior to his civilian federal employment, Mr. Miramontes served three years in the U.S. Army. After his military service, Mr. Miramontes earned a B.A. Degree in Business-Economics at the University of California at Santa Barbara, California. Thereafter, he earned a Juris Doctor and a Master's Degree in Law at the University of San Diego School of Law. Mr. Miramontes is a member of the California Bar Association.

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Margarete Nicolas
Field Office Director, Port au Prince
U.S. Citizenship and Immigration Services

Margarete Nicolas has over 12 years of experience in the field of immigration that includes both public service and private practice. She is currently serving in Port-au-Prince, Haiti, as the Field Office Director and the DHS Attaché with the LAAC District. Margarete began her federal career in 2004, as an Asylum Officer in the Miami Asylum Office and also as an Asylum Pre-Screening Officer (APSO), where she conducted Credible and Reasonable Fear interviews. She has served in Athens, Greece as an Overseas Adjudication Officer.

Margarete has served in Haiti for a short period of time in 2009, and was also deployed to Port-au-Prince, Haiti after the 2010 earthquake, to help expedite the adoption process. For her services in Haiti, she was awarded the 2010 USCIS Director's Exceptional Service Award. She is married and has two children and two stepchildren. She enjoys reading, sewing.

Margarete graduated from the Executive Leadership Program (ELP) in 2011. Margarete holds a B.S. in Business Management from the University of Maryland; a M.S. in Project Management from the George Washington University, and a J.D. from the American University, Washington College of Law.

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**U.S. Citizenship
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Claudia Guevara
Field Office Director, San Salvador
U.S. Citizenship and Immigration Services

Claudia Guevara joined U.S. Citizenship and Immigration Services as an Asylum Officer in November 2007. In that capacity, she adjudicated asylum claims presented by individuals from all over the world including China, Iraq, El Salvador, Guatemala, Mexico, Indonesia, and various countries in Africa. In August 2009, she transferred to the Refugee Affairs Division (RAD) as a Refugee Officer where she travelled to the Middle East, Africa, Asia, and Latin America to conduct refugee processing. She later took a position within RAD as Supervisory Refugee Officer and led teams throughout the world to process refugees. Ms. Guevara's previous experience includes work in the non-profit sector, with a specialization in immigration and refugee law and policy. Before joining the Department of Homeland Security, she worked with The Coalition for Humane Immigrant Rights of Los Angeles, American Civil Liberties Union of Los Angeles, and Legal Aid of Los Angeles. Ms. Guevara is a graduate of the University of California Berkeley School of Law and Wells College.

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Glossary of Acronyms

AAO	Administrative Appeals Office
ABQ	Albuquerque Field Office
ACG	Accra, Ghana
AD	Associate Director
AFGE	American Federation of Government Employees
AFM	Adjudicators Field Manual
AGA	Agana, Guam Field Office
ALB	Albany Field Office
AMM	Amman, Jordan Field Office
ANC	Anchorage Field Office
ARD	Associate Regional Director
ASC	Application Support Center
ATH	Athens, Greece Field Office
ATL	Atlanta Field Office
BAL	Baltimore Field Office
BEI	Beijing, China Field Office
BIA	Board of Immigration Appeals
BKK	Bangkok, Thailand Field Office
BOI	Boise Field Office
BOS	Boston Field Office
BUF	Buffalo Field Office
CAM	Central American Minors
CARRP	Controlled Application Review and Resolution Program
CBO	Community-Based Organization
CBP	Customs and Border Protection
CFR	Code of Federal Regulations
CHA	Charlotte Amalie, USVI Field Office
CHAP	Consolidated Handbook of Adjudication Procedures
CHI	Chicago Field Office
CHL	Charleston Field Office
CIN	Cincinnati Field Office
CIS	Central Index System

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CISOMB	Citizenship and Immigration Services Ombudsman
CJS	Ciudad Juarez, Mexico Field Office
CLE	Cleveland Field Office
CLM	Columbus Field Office
CLT	Charlotte Field Office
CNMI	Commonwealth of Northern Mariana Islands
COE	Center of Excellence
CONOPS	Concept of Operations
COW	Central Office Washington
CRO	Central Region Office
CSC	California Service Center
CSPED	Customer Service and Public Engagement Directorate
DACA	Deferred Action for Childhood Arrivals
DAD	Deputy Associate Director
DAL	Dallas Field Office
DARPA	Defense Advanced Research Projects Agency
DD	District Director
DDD	Deputy District Director
DEN	Denver Field Office
DET	Detroit Field Office
DHS	Department of Homeland Security
DOD	Department of Defense
DOJ	Department of Justice
DOL	Department of Labor
DOS	Department of State
DSM	Des Moines Field Office
EAD	Employment Authorization Document
EB	Employment-Based
ELIS	Electronic Immigration System
ELP	El Paso Field Office
EOIR	Executive Office for Immigration Review
ERO	Enforcement and Removal Operations
FBI	Federal Bureau of Investigations
FDNS	Fraud Detection and National Security Directorate
FinCEN	Financial Crimes Enforcement Network

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FKG	Frankfurt, Germany Field Office
FLETC	Federal Law Enforcement Training Center
FOD	Field Office Director
FOD	Field Operations Directorate
FOIA	Freedom of Information Act
FRE	Fresno Field Office
FSA	Fort Smith Arkansas
FY	Fiscal Year
GAO	Government Accountability Office
GMT	Guatemala City Field Office
GRR	Greer Field Office
GSA	General Services Administration
GZH	Guangzhou, China Field Office
HAR	Hartford Field Office
HAV	Havana, Cuba Field Office
HBG	Harrisonburg, Virginia File Storage Facility
HEL	Helena Field Office
HFE	Historical Fingerprint Enrollment
HHS	Department of Health and Human Services
HHW	Honolulu Field Office
HIA	Hialeah Field Office
HLG	Harlingen Field Office
HOU	Houston Field Office
HSI	Homeland Security Investigations
HSTF-SE	Homeland Security Task Force-Southeast
I&A	Intelligence and Analysis
IAFIS	Integrated Automated Fingerprint Identification System
IC	Intelligence Community
ICE	Immigration and Customs Enforcement
ID	Intelligence Division
IJ	Immigration Judge
IMP	Imperial Field Office
INA	Immigration and Nationality Act
IDENT	Automated Biometric Identification System
INP	Indianapolis Field Office

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INS	Immigration and Naturalization Service
IO	International Operations Division
IOM	International Organization for Migration
IPO	Immigrant Investor Program Office
IRIS	Immigration Records and Identity Services Directorate
ISO	Immigration Services Officer
JAC	Jacksonville Field Office
JHS	Johannesburg, South Africa Field Office
KAN	Kansas City Field Office
KND	Kendall Field Office
LAC	Los Angeles County Field Office
LAW	Lawrence Field Office
LDN	London, England Field Office
LMA	Lima, Peru Field Office
LVG	Long Island Field Office
LOS	Los Angeles Field Office
LOU	Louisville Field Office
LPR	Lawful Permanent Resident
LVG	Las Vegas Field Office
MAN	Manchester Field Office
MEM	Memphis Field Office
MGMT	Management Directorate
MIA	Miami Field Office
MIL	Milwaukee Field Office
MOS	Moscow, Russia Field Office
MPH	Manila, The Philippines Field Office
MTL	Mt. Laurel Field Office
MTR	Monterrey, Mexico Field Office
NBC	National Benefits Center
NBO	Nairobi, Kenya Field Office
NCISC	National Citizenship and Immigration Services Council
NDI	New Delhi, India Field Office
NER	Northeast Region Office
NEW	Newark Field Office
NGI	Next Generation Identification

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NGO	Non-Governmental Organization
NOL	New Orleans Field Office
NOR	Norfolk Field Office
NRC	National Records Center
NSC	Nebraska Service Center
NVC	National Visa Center
NYC	New York City Field Office
OCC	Office of Chief Counsel (USCIS)
OCOMM	Office of Communication
OEOI	Office of Equal Opportunity and Inclusion
OFM	Fort Myers Field Office
OGC	Office of General Counsel (DHS)
OIG	Office of Inspector General
OIT	Office of Information Technology
OKC	Oklahoma City Field Office
OKL	Oakland Park Field Office
OLA	Office of Legislative Affairs
OMA	Omaha Field Office
OoC	Office of Citizenship
OPLAN	Operations Plan
OPQ	Office of Performance and Quality
OPS	Office of Operations Coordination
OP&S	Office of Policy and Strategy
ORL	Orlando Field Office
ORR	Office of Refugee Resettlement
OSI	Office of Security and Integrity
OTC	Office of Transformation Coordination
OVS	Operation Vigilant Sentry
PA	Privacy Act
PAP	Port-au-Prince, Haiti Field Office
PHI	Philadelphia Field Office
PHO	Phoenix Field Office
PIT	Pittsburgh Field Office
POM	Portland, Maine Field Office
POO	Portland, Oregon Field Office

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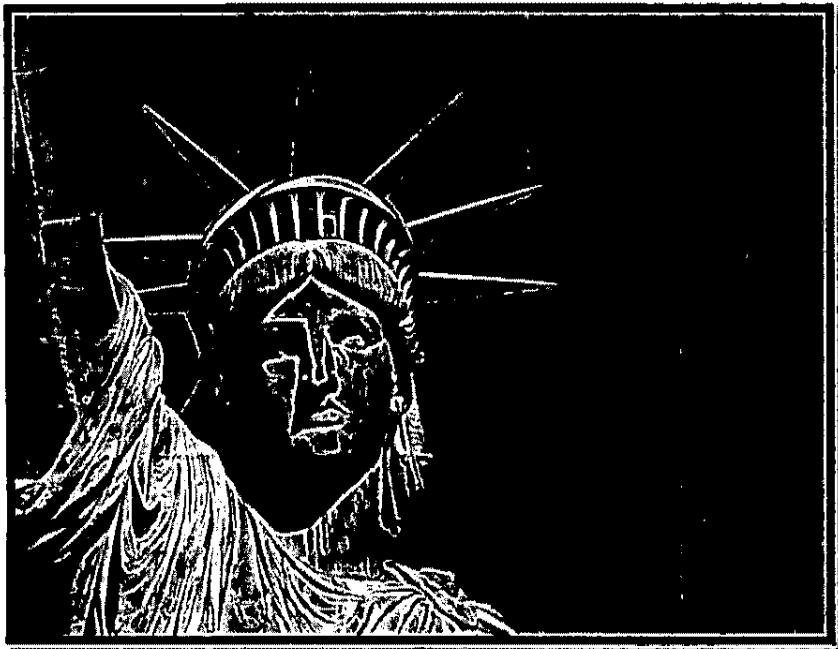
PRM	Bureau of Populations, Refugees, and Migration
PRO	Providence Field Office
PSC	Potomac Service Center
QNS	Queens Field Office
RAD	Refugee Affairs Division
RAIO	Refugee, Asylum, and International Operations Directorate
RAL	Raleigh Field Office
RD	Regional Director
REN	Reno Field Office
RFI	request for Information
RIDE	Records and Information from DMVs for E-Verify
RSC	Resettlement Support Centers
S&T	Science and Technology Directorate
SAA	Santa Ana Field Office
SAC	Sacramento Field Office
SAN	San Salvador, El Salvador Field Office
SAVE	Systematic Alien Verification for Entitlements
SBD	San Bernardino Field Office
SCOPS	Service Center Operations
SDM	Santo Domingo, Dominican Republic Field Office
SEA	Seattle Field Office
SEK	Seoul, South Korea Field Office
SER	Southeast Region Field Office
SFR	San Francisco Field Office
SFV	San Fernando Valley Field Office
SISO	Supervisory Immigration Services Officer
SLC	Salt Lake City Field Office
SNA	San Antonio Field Office
SND	San Diego Field Office
SNJ	San Jose Field Office
SNJ	San Juan Field Office
SPM	St. Paul Field Office
SPO	Spokane Field Office
SPS	Single Point of Service
STA	St. Albans Field Office

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STL	St. Louis Field Office
TAM	Tampa Field Office
TPS	Temporary Protected Status
TRIG	Terrorism-Related Inadmissibility Grounds
TSC	Texas Service Center
TUC	Tucson Field Office
TVPRA	Trafficking Victims Protection Reauthorization Act
UAC	Unaccompanied Alien Children
UNHCR	United Nations High Commissioner for Refugees
USC	United States Citizen
USC	United States Code
USCIS	U.S. Citizenship and Immigration Services
USRAP	U.S. Refugee Admissions Program
VAWA	Violence Against Women Act
VERMOD	Verification Modernization
VSC	Vermont Service Center
WAS	Washington, DC Field Office
WIC	Wichita Field Office
WPB	West Palm Beach Field Office
WRO	Western Region Office
YAK	Yakima Field Office
ZAR	Arlington Asylum Office
ZBO	Boston Asylum Sub-Office
ZCH	Chicago Asylum Office
ZHN	Houston Asylum Office
ZLA	Los Angeles Asylum Office
ZMI	Miami Asylum Office
ZNK	Newark Asylum Office
ZOL	New Orleans Asylum Office
ZSF	San Francisco Asylum Office

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U.S. Citizenship
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Homeland Security

ACQUISITION DECISION MEMORANDUM

MEMORANDUM FOR: León Rodríguez
Director
U.S. Citizenship and Immigration Services

FROM: Chip Fulghum
Deputy Under Secretary for Management and
Chief Financial Officer

SUBJECT: U.S. Citizenship and Immigration Services Transformation
Program Notification of Acquisition Program Baseline Schedule
Breach, dated October 4, 2016

DECISION:

On October 4, 2016, the Acquisition Decision Authority (ADA) and the Executive Director, Office of Program Accountability and Risk Management (PARM) received the U.S. Citizenship and Immigration Services (USCIS) Transformation program Notification of Acquisition Program Baseline (APB) Schedule Breach. The breach memorandum states that the program did not achieve two APB threshold schedule milestones. Additionally, on November 4, 2016, the ADA received the breach remediation plan for consideration. The DHS Acquisition Review Board (ARB) recognizes that over the past two years significant capability has been deployed, and this capability supports the goal of transforming how USCIS processes benefits. The ARB is further aware of the proposed USCIS reorganization effort designed to support completion of this large, complex capability.

Based on a review of the breach memorandum and remediation plan, as well as becoming aware of the recent proposed organizational changes around the program the following decisions were made:

1. The USCIS Transformation remediation plan is approved.
Until approved by the ARB, USCIS is directed to stop planning and development work not related to (a) improvements to existing product lines in production, and (b) deployed infrastructure, and/or (c) business process and reorganization efforts, and/or (d) work that may be required by the new administration.

- 2.
3. As part of the re-baseline, USCIS will provide the ARB with details of the re-organization and a proposal for the new governance structure.
4. Submit updates to the necessary acquisition documents for approval in accordance with Acquisition Management Directive (MD) 102-01-001 Rev 1.

BACKGROUND:

1. The Transformation program failed to achieve the threshold date of September 30, 2016, as required by the APB, which was approved on April 1, 2015. The date refers to delivery of the Citizenship Line of Business (LoB) and the conducting an Acquisition Decision Event (ADE).
2. The notification memorandum states that the causes of the breach were system defects and critical operating issues that delayed implementing all product lines as scheduled. The program office and Field Operations Directorate (FOD) identified various issues. The FOD adjudicators encountered various issues that impacted their ability to fully process the Application for Naturalization (N-400) workload, including completion of the naturalization adjudication process within the Electronic Immigration System (ELIS).
3. Due to the ELIS operational concerns and FOD's requirement to maintain N-400 throughput, USCIS made a decision to stop transmitting applications through ELIS and switch to the legacy system CLAIMS 4. USCIS executed the switch on August 26, 2016. Work has been ongoing to expand N-400 ELIS intake and execution.
4. USCIS, with the assistance of the U.S. Digital Service, the Department of Homeland Security (DHS) Chief Technology Officer, and PARM, are developing measures that will focus the program of efforts to increase operational efficiency and effectiveness. Such measures will inform decision making for setting priorities and measuring impact of field capability. The schedule breach initiated an effort within USCIS to shift away from a schedule driven by lines of business and product line development to one of focusing on defining and prioritizing a key set of processes and technology investments that support operational product lines that will improve efficiencies. USCIS will detail this shift through the acquisition documents and governance structure defined within those documents.

ACTIONS:

The following action items are assigned:

1. *Re-baseline the relevant acquisition documents:* The USCIS Transformation program will re-baseline to align with the current acquisition strategy. At a minimum, the LCCE, ORD, TEMP, and APB will be submitted to the relevant DHS approval authorities. These documents are to be submitted no later February 28, 2017.

2. Acquisition Review Board: USCIS will return to the Acquisition Review Board (ARB) for a review of the new operating model and acquisition strategy. The presentation will include a review of the new programmatic and governance approach as well as the USCIS organizational changes to include how USCIS will operate under the new model. The ARB will occur no later than February 28, 2017.

This Acquisition Decision Memorandum (ADM) has been coordinated with all ARB members, and US Digital Service. It is the responsibility of USCIS to ensure that the results of this ADM are communicated to the affected stakeholders. PARM will provide support and assistance. Send action items, status, and supporting documentation to PARMExecSec@hq.dhs.gov. Should you have any questions, please contact Mr. Jeremy Dusina, PARM, at (202) 343-4550 or jeremy.dusina@hq.dhs.gov.

Attachment:

1. U.S. Citizenship and Immigration Services Transformation Program Notification of Acquisition Program Baseline Schedule Breach, dated October 4, 2016
2. Schedule Breach Remediation Plan for the USCIS Transformation Program, dated Nov 4, 2016

Cc:

Acting Deputy Secretary
Under Secretary for Science and Technology
Assistant Secretary for Policy
Deputy General Counsel
Chief Financial Officer
Chief Information Officer
Chief Procurement Officer
Chief Readiness Support Officer
Chief Human Capital Officer
Chief Security Officer
Executive Director, Office of Program Accountability and Risk Management
Director, Office of Test & Evaluation, Science and Technology
Director of Legislative Affairs for the Management Directorate, Office of Legislative Affairs
Director, Budget Division, Office of the Chief Financial Officer
Chairman, Joint Requirements Council
Component Acquisition Executive, USCIS
Chief Financial Officer, USCIS
Chief Information Officer, USCIS
Program Manager, Transformation Program, USCIS

From: Stewart, Bion
To: PTO Master Distro
Subject: RE: Presidential Transition - WARNING ORDER - Landing Team Engagement Update
Date: Thursday, December 01, 2016 6:33:40 PM
Attachments: Landing Team Component Brief FrameworkV4.pptx

Minor update to the attachment.

Bion Stewart
Deputy Presidential Transition Officer
Department of Homeland Security
202-282-9125

From: Stewart, Bion
Sent: Thursday, December 1, 2016 6:30 PM
To: PTO Master Distro <PTOMasterDistro@hq.dhs.gov>
Subject: Presidential Transition - WARNING ORDER - Landing Team Engagement Update
Importance: High

Transition Colleagues,

The following are projected overview meetings planned for next week. We will be reaching out to SCAOs/CAOs for specific coordination individually. As we are planning multiple meetings each day, absorbing time for travel is going to be problematic so we will be requesting externally-located briefers to come to the NAC. Overview briefings are intended to be presented by your Designated Career Successor; however this does not preclude political leadership from attending. SCAOs may also attend. Please coordinate briefers with the PTO prior to the engagement. All additional attendees must be cleared by the PTO; however, please be mindful these briefings are meant to be senior leadership-level only and attendance will be tightly controlled by the PTO.

The purpose of these briefs is to provide the Landing Team with an overview of your Component / Directorate / Office and insights on the opportunities and challenges facing your organization from your leadership's perspective. You may assume the Landing Team has read the Overview materials in preparing your brief. Please focus on your key activities, issues, priorities, and objectives.

Please note your presentation should not include any discussion about resources or policy issues that are considered pre-decisional. A general framework is attached for guidance. You may adapt the framework as appropriate to your organization/mission, and as desired by your leadership. As a reminder - ALL briefing materials, including publically available materials you intend to provide to the Landing Team must be cleared by the PTO prior to the engagement.

In addition to these overview meetings, we anticipate targeted issue briefs and RFIs from the Landing Team. Additional guidance will be provided as necessary.

(b)(5)

V/R,

Bion

Bion Stewart
Deputy Presidential Transition Officer

Department of Homeland Security
202-282-9125

[Component/Directorate/Office] Brief

Agency Review Team

[date]

[Briefer]

High Level Description

- Assume they have read the overview provided in the briefing materials.
- Highlight unique characteristics or authorities driving your mission set and/or organizational structure.
- You may provide a more detailed breakdown of your internal structure highlighting programmatic / functional alignments.

Current Events

- Brief summary of major operations/activities (highlight activities of significant impact to homeland security, your mission set, GAO / OIG audits, or related to the current news cycle)

Linkage to DHS Priorities/Missions

- Emphasize your components role in (as appropriate)
 - Counterterrorism
 - Border Security
 - Immigration (enforcement / administration)
 - Disaster/Incident Response
 - Cyber-security

Other areas of Focus

- Offer key areas of focus for your organization not already captured.
For example:
 - Trade
 - Safety and stewardship
 - Community outreach and partnerships
 - Business process improvements / oversight

Leadership Perspective: Concerns/Challenges/Opportunities

- “What keeps your component head awake at night?”
- What immediate problems may be of interest to the new Administration?
- What are the top priorities for FY17? What gap do these priorities fill and what is the expected outcome (in high level terms)?

Closing

- What is the ***most important*** thing the new President needs to know about your organization.

From: [Farnam, Julie E](#)
To: [Pons, Luis A](#); [Renaud, Tracy L](#)
Cc: [Moreno, Miriam E](#)
Subject: RE: Discussion items for D1-CISOMB Nov 30 meet (Transition)
Date: Tuesday, November 22, 2016 9:42:20 AM
Attachments: [D1-CISOMB Briefing Topics for Nov 30 \(Transition\).docx](#)

Here you go, Luis. If you need anything additional, please let me know.

Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
(c) 202-489-8802

This communication, along with any attachments, may contain confidential information and is covered by federal laws governing electronic communications. Electronic communications may also be monitored by the Department of Homeland Security, U.S. Citizenship and Immigration Services. If the reader of this message is not the intended recipient, you are hereby notified that any dissemination, distribution, use, or copying of this message is strictly prohibited. If you have received this in error, please delete this message and all attachments and immediately notify the sender.

From: Pons, Luis A
Sent: Monday, November 21, 2016 4:58 PM
To: Farnam, Julie E; Renaud, Tracy L
Cc: Moreno, Miriam E
Subject: Discussion items for D1-CISOMB Nov 30 meet (Transition)

Good afternoon Julie and Tracy:

The Director and the CISOMB will meet on Wednesday November 30. In their agenda for this meeting, the CISOMB submitted a list of discussion items, one of which pertains to Leadership Transition. I have forwarded this item to you at the suggestion of Emilie Hyams at the Director's Office.

I have included this item in the attached. Please respond with detailed responses that address the items as fully as possible.

This being a short-fused matter put forth during the time of a major holiday, please respond as soon as possible and no later **than close of business Friday, November 25.**

I truly appreciate your assistance with this. Please let me know immediately if I have reached out to the wrong office. Also, please let me know if you have any questions.

Respectfully,
Luis

Luis A. Pons

Management and Program Analyst

Liaison and Coordination Branch

Customer Service and Public Engagement Directorate

U.S. Citizenship and Immigration Services

Washington, DC

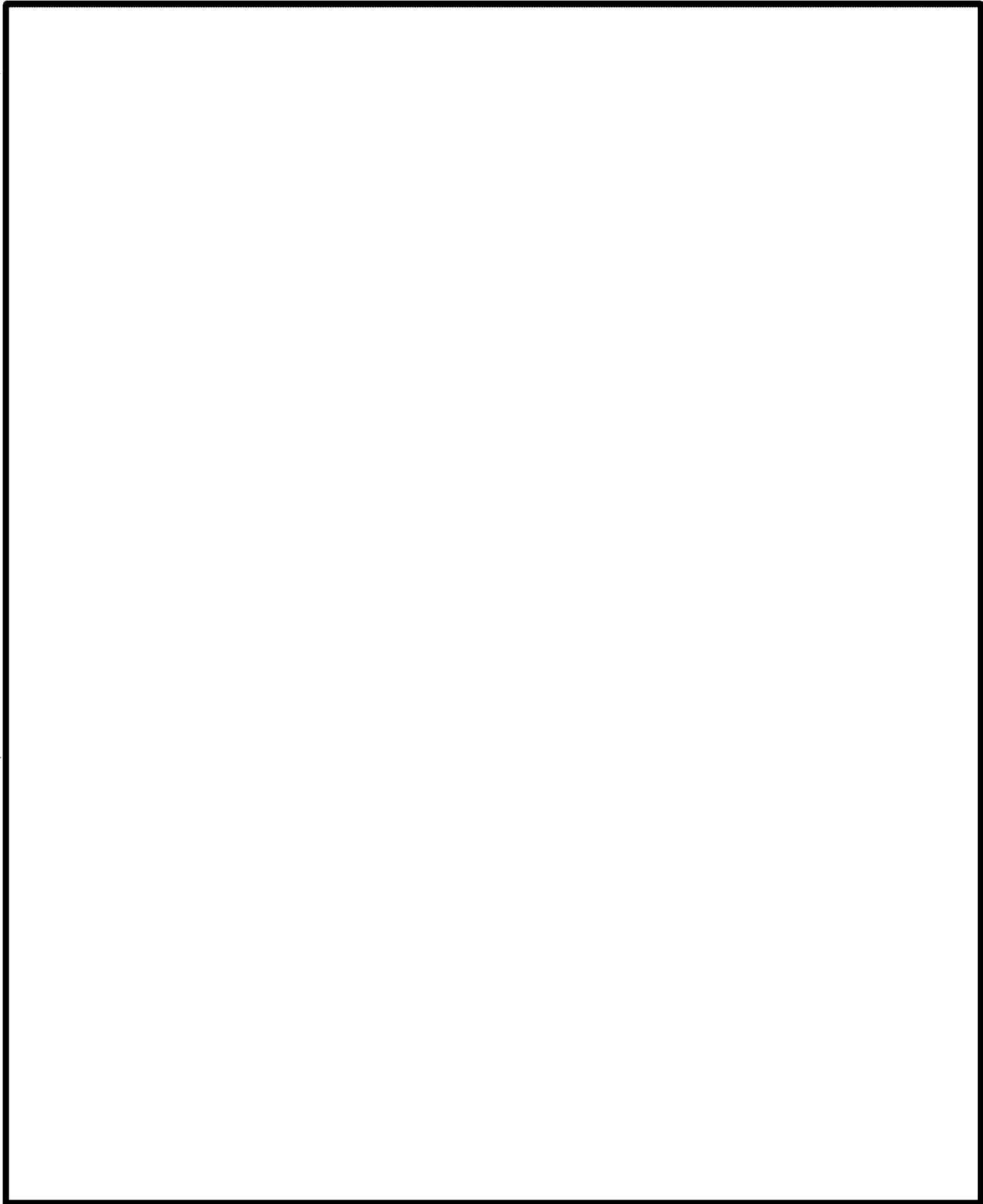
Office: 202-272-1267

Cell: 202-697-0708

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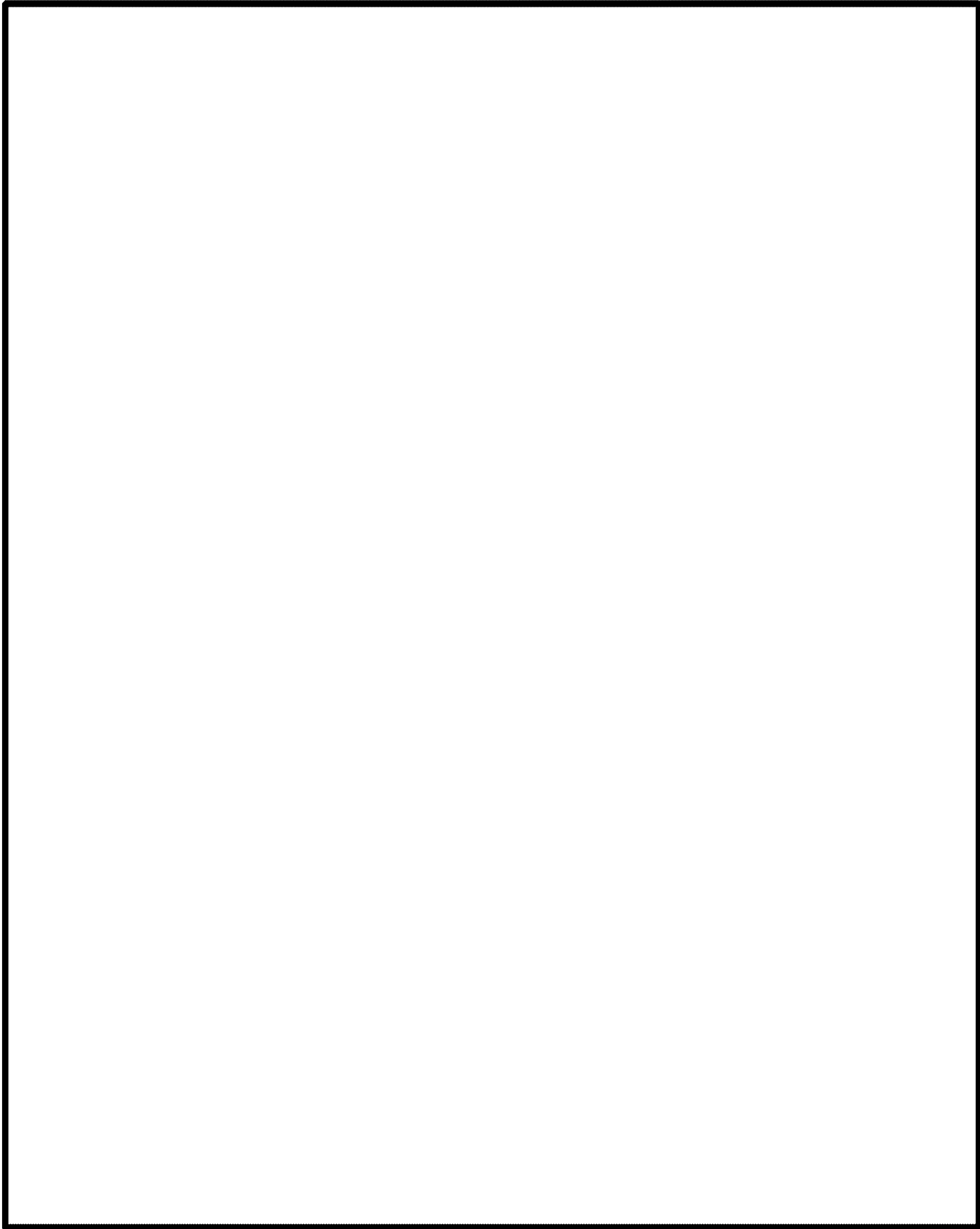
U.S. Citizenship
and Immigration
Services



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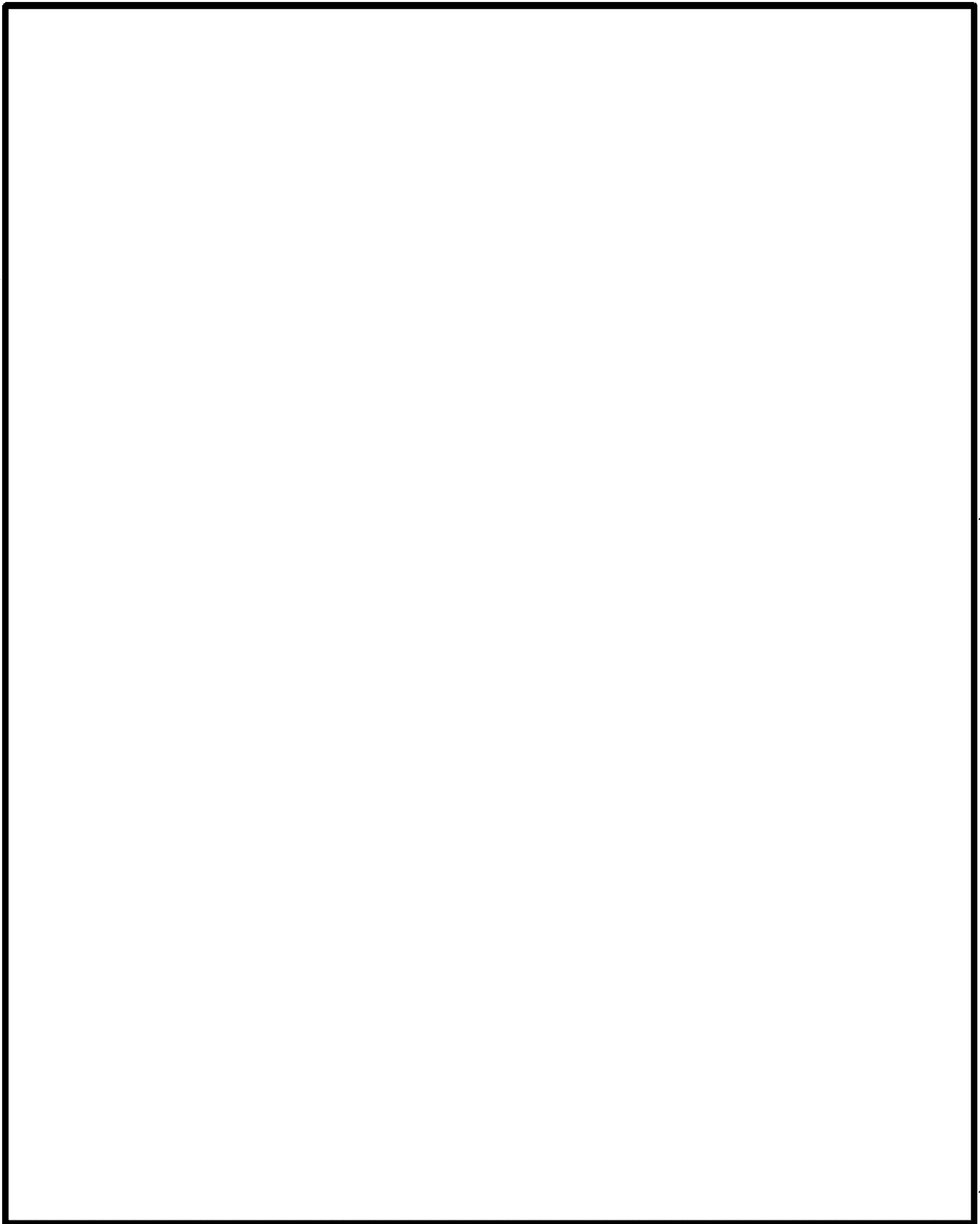
U.S. Citizenship
and Immigration
Services



(b)(5)



U.S. Citizenship
and Immigration
Services



From: Choi, Juliet K
To: Farnam, Julie E; Renaud, Tracy L
Cc: Rodriguez, Leon; Scialabba, Lori L
Subject: RE: POTUS Transition
Date: Monday, November 21, 2016 5:20:45 PM

Thank you!

From: Farnam, Julie E
Sent: Monday, November 21, 2016 5:16 PM
To: Choi, Juliet K; Renaud, Tracy L
Cc: Rodriguez, Leon; Scialabba, Lori L
Subject: RE: POTUS Transition

DHS said they are aware of these names and the article. They've seen these names associated with other Landing Teams on previous lists, but not DHS. While it is possible these will be the DHS Landing Team leads, they have not been officially provided by the WH. Tracy and I will be sure to keep everyone posted as soon as we hear something officially.

Julie

From: Choi, Juliet K
Sent: Monday, November 21, 2016 5:04:59 PM
To: Renaud, Tracy L; Farnam, Julie E
Cc: Rodriguez, Leon; Scialabba, Lori L
Subject: FW: POTUS Transition

Hi, could you confirm. Is OCOMM's information correct?

From: Hatchett, Dolline L
Sent: Monday, November 21, 2016 3:28 PM
To: Carter, Jeffrey T (Jeff); Choi, Juliet K
Subject: RE: POTUS Transition

Thanks Jeff. I flagged this for Lori and Tracy as well.

From: Carter, Jeffrey T (Jeff)
Sent: Monday, November 21, 2016 3:23 PM
To: Hatchett, Dolline L; Choi, Juliet K
Subject: RE: POTUS Transition

James Carafano is the director of the Douglas and Sarah Allison Center for Foreign Policy Studies and the deputy director of the Kathryn and Shelby Cullom Davis Institute for International Studies at The Heritage Foundation.

Michael Dougherty is the CEO of the Identification Technology Association and formerly worked at DHS.

Jeff

Jeff Carter
Acting Deputy Chief, Office of Communications
U.S. Citizenship and Immigration Services
(202) 272-1556 (office)
(202) 815-5370 (cell)
Jeffrey.T.Carter@uscis.dhs.gov
Please visit www.uscis.gov for news and information.

From: Carter, Jeffrey T (Jeff)
Sent: Monday, November 21, 2016 3:16 PM
To: Hatchett, Doline L; Choi, Juliet K
Subject: POTUS Transition

The names of the domestic issues landing team leads for Homeland Security: James Carafano and Michael Dougherty.

http://www.govexec.com/management/2016/11/trump-team-wont-say-whether-new-administration-will-cut-or-close-any-federal-agencies/133318/?oref=govexec_today_pm_nl

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Please visit www.uscis.gov for news and information.

(b)(5)

From: Farnam, Julie E
To: Choi, Juliet K; Renaud, Tracy L
Cc: Rodriguez, Leon; Scialabba, Lori L
Subject: RE: POTUS Transition
Date: Monday, November 21, 2016 5:15:43 PM

DHS said they are aware of these names and the article. They've seen these names associated with other Landing Teams on previous lists, but not DHS. While it is possible these will be the DHS Landing Team leads, they have not been officially provided by the WH. Tracy and I will be sure to keep everyone posted as soon as we hear something officially.

Julie

From: Choi, Juliet K
Sent: Monday, November 21, 2016 5:04:59 PM
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Cc: Rodriguez, Leon; Scialabba, Lori L
Subject: FW: POTUS Transition

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Jeffrey.T.Carter@uscis.dhs.gov
Please visit www.uscis.gov for news and information.

From: Strack, Barbara L
To: Renaud, Tracy L; Farnam, Julie E
Cc: Stone, Mary M
Subject: RE: Transition questions
Date: Wednesday, November 16, 2016 6:59:50 PM

Thanks – just having responses from the transition team will help staff feel like we’re paying attention to their concerns and doing what we can.

From: Renaud, Tracy L
Sent: Wednesday, November 16, 2016 5:55 PM
To: Strack, Barbara L; Hochman, Kathleen T; Farnam, Julie E
Cc: Langlois, Joseph E; Stone, Mary M
Subject: RE: Transition questions

Barbara,

I agree with what you and Kathy have said in the message chain below.

*Tracy L. Renaud
Associate Director
Management Directorate
US Citizenship & Immigration Services
Department of Homeland Security
202-272-1739 (desk)*

From: Strack, Barbara L
Sent: Wednesday, November 16, 2016 4:45 PM
To: Hochman, Kathleen T; Renaud, Tracy L; Farnam, Julie E
Cc: Langlois, Joseph E; Stone, Mary M
Subject: RE: Transition questions

Thanks, Kathy. I did have this conversation w/staff this a.m. Not being able to anticipate the future, I think some people are focusing on the “fine print,” so to speak, so the technical info. you’ve provided is helpful.

From: Hochman, Kathleen T
Sent: Wednesday, November 16, 2016 4:40 PM
To: Strack, Barbara L; Renaud, Tracy L; Farnam, Julie E
Cc: Langlois, Joseph E; Stone, Mary M
Subject: RE: Transition questions

Barbara,

With or without this transition, it is always possible for a temporary appointment to be terminated before the NTE date. However, I think it is important to communicate to our employees that until the new administration is in place we cannot speculate what will happen. The interns should understand that unless there is a performance or misconduct issue, their jobs are safe in the meantime. It is too early to predict how any directives from the new administration will impact any of our jobs, if at all. I realize people are nervous but we need to try to allay their concerns until we can react to

actual facts.

Hope this helps,

Kathy

Kathleen Hochman | Chief, Office of Human Capital and Training, USCIS | 202-233-2541 (office) | 202-355-4525 (mobile) | Vtel 6602190

From: Strack, Barbara L
Sent: Wednesday, November 16, 2016 4:20 PM
To: Renaud, Tracy L; Farnam, Julie E
Cc: Langlois, Joseph E; Stone, Mary M; Hochman, Kathleen T
Subject: Transition questions

Hi, Tracy – I've had 2 new questions from RAD staff about the transition that I wanted to run past you. Please know that I've spoken with my folks and let them know that none of us can predict the future, so that there is no point in asking speculative questions. I thought that these 2 questions, however, were worth further discussion.

- 1) "For RAD staff who work extremely closely with our processing partners, particularly RSCs and PRM, is there specific messaging that we should employ if the topic of transition or processing changes arise?" I understand that State's talking point is along the lines of: 'We can't speculate on what the next Administration will do.' Do you agree that this is a suitable response?
- 2) From our Pathways interns: "our current 'not to exceed' date is listed as May 30th, 2017. Recognizing that we are temporary employees, how is the contract written? Is the job guaranteed until May 30th, or is it a job that legally could be dissolved before the NTE date?" I suspect that the answer is a temp. job could be terminated before the NTE date, but wanted to be sure.

Thanks for your help.

From: Renaud, Tracy L
To: Strack, Barbara L; Hochman, Kathleen T; Farnam, Julie E
Cc: Langlois, Joseph E; Stone, Mary M
Subject: RE: Transition questions
Date: Wednesday, November 16, 2016 5:55:00 PM

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*Tracy L. Renaud
Associate Director
Management Directorate
US Citizenship & Immigration Services
Department of Homeland Security
202-272-1739 (desk)*

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Kathy

Kathleen Hochman | Chief, Office of Human Capital and Training, USCIS | 202-233-2541 (office) | 202-355-4525 (mobile) | Vtel 6602190

From: Strack, Barbara L
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Thanks for your help.

From: Strack, Barbara L
To: Hochman, Kathleen T; Renaud, Tracy L; Farnam, Julie E
Cc: Langlois, Joseph E; Stone, Mary M
Subject: RE: Transition questions
Date: Wednesday, November 16, 2016 4:45:25 PM

Thanks, Kathy. I did have this conversation w/staff this a.m. Not being able to anticipate the future, I think some people are focusing on the "fine print," so to speak, so the technical info. you've provided is helpful.

From: Hochman, Kathleen T
Sent: Wednesday, November 16, 2016 4:40 PM
To: Strack, Barbara L; Renaud, Tracy L; Farnam, Julie E
Cc: Langlois, Joseph E; Stone, Mary M
Subject: RE: Transition questions

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Kathy

Kathleen Hochman | Chief, Office of Human Capital and Training, USCIS | 202-233-2541 (office) | 202-355-4525 (mobile) | Vtel 6602190

From: Strack, Barbara L
Sent: Wednesday, November 16, 2016 4:20 PM
To: Renaud, Tracy L; Farnam, Julie E
Cc: Langlois, Joseph E; Stone, Mary M; Hochman, Kathleen T
Subject: Transition questions

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Thanks for your help.

From: Strack, Barbara L
To: Renaud, Tracy L; Hochman, Kathleen T
Cc: Langlois, Joseph E; Stone, Mary M; Farnam, Julie E
Subject: RE: questions from job candidates - Transition guidance?
Date: Thursday, November 10, 2016 12:59:31 PM

Thanks.

From: Renaud, Tracy L
Sent: Thursday, November 10, 2016 12:45 PM
To: Strack, Barbara L; Hochman, Kathleen T
Cc: Langlois, Joseph E; Stone, Mary M; Farnam, Julie E
Subject: RE: questions from job candidates - Transition guidance?

Barbara,

You are correct, the offers are good. Throughout this period we need to continue to remember that we report to one Secretary and one President and their policies reign until such time that someone changes them. If policies do change in the future we would do whatever we can to limit negative impact on employees. You and I know that the reality is that we have so much affirmative asylum work that even if the priorities changed we have adequate work to keep many more staff busy.

In short, I would keep it simple and say that the job offer is valid and that we cannot predict what policy changes might be forthcoming under a new administration.

*Tracy L. Renaud
Associate Director
Management Directorate
US Citizenship & Immigration Services
Department of Homeland Security
202-272-1739 (desk)*

From: Strack, Barbara L
Sent: Thursday, November 10, 2016 12:27 PM
To: Renaud, Tracy L; Hochman, Kathleen T
Cc: Langlois, Joseph E; Stone, Mary M
Subject: questions from job candidates - Transition guidance?

Hi, Tracy and Kathy – My Refugee Corps branch chief has gotten a few calls (and I suspect we'll get more) from job candidates to whom we have made offers to join the Refugee Corps. We currently have over 90 selections pending, some of them quite recent so people are weighing whether to accept, as well as those already in the medical/security clearance process. In light of the election, the question is whether the job offers are (1) good and will be honored or (2) if they can be rescinded prior to EOD if, for example, the new Administration decides on a different approach to refugee resettlement processing.

I believe that the short answer is that the job offer is good, which is what my branch chief told the

callers yesterday. I don't know what the personnel rules are about rescinding job offers before a person EOD's, due to changed circumstances. Can you provide us with a recommended response to such queries?

Thank you,
Barbara

From: Stewart, Bion
To: Petyo, Briana; Farnam, Julie E
Cc: Renaud, Tracy L; Burriesci, Kelli
Subject: RE: Presidential Transition Office - Immigration Areas of Focus
Date: Wednesday, November 02, 2016 10:19:40 AM
Attachments: immigration Areas of Focus.OGC.DOCX

And this should be the last one....

Thanks.

Bion

From: Stewart, Bion
Sent: Wednesday, November 2, 2016 10:17 AM
To: Petyo, Briana <Briana.Petyo@hq.dhs.gov>; Farnam, Julie E <Julie.E.Farnam@uscis.dhs.gov>
Cc: Renaud, Tracy L <Tracy.L.Renaud@uscis.dhs.gov>; Burriesci, Kelli <kelli.burriesci@hq.dhs.gov>
Subject: RE: Presidential Transition Office - Screening and Vetting Paper

Same request for the attached as well.

Thanks.

Bion

From: Stewart, Bion
Sent: Wednesday, November 2, 2016 9:58 AM
To: Petyo, Briana <Briana.Petyo@hq.dhs.gov>; Farnam, Julie E <Julie.E.Farnam@uscis.dhs.gov>
Cc: Renaud, Tracy L <Tracy.L.Renaud@uscis.dhs.gov>; Burriesci, Kelli <kelli.burriesci@hq.dhs.gov>
Subject: Presidential Transition Office - Watchlisting Paper

OGC had some late comments/edits on the attached. Please adjudicate and send back the clean document as soon as possible.

OGC POC is Kaiya Pontinen if you need to reach back.

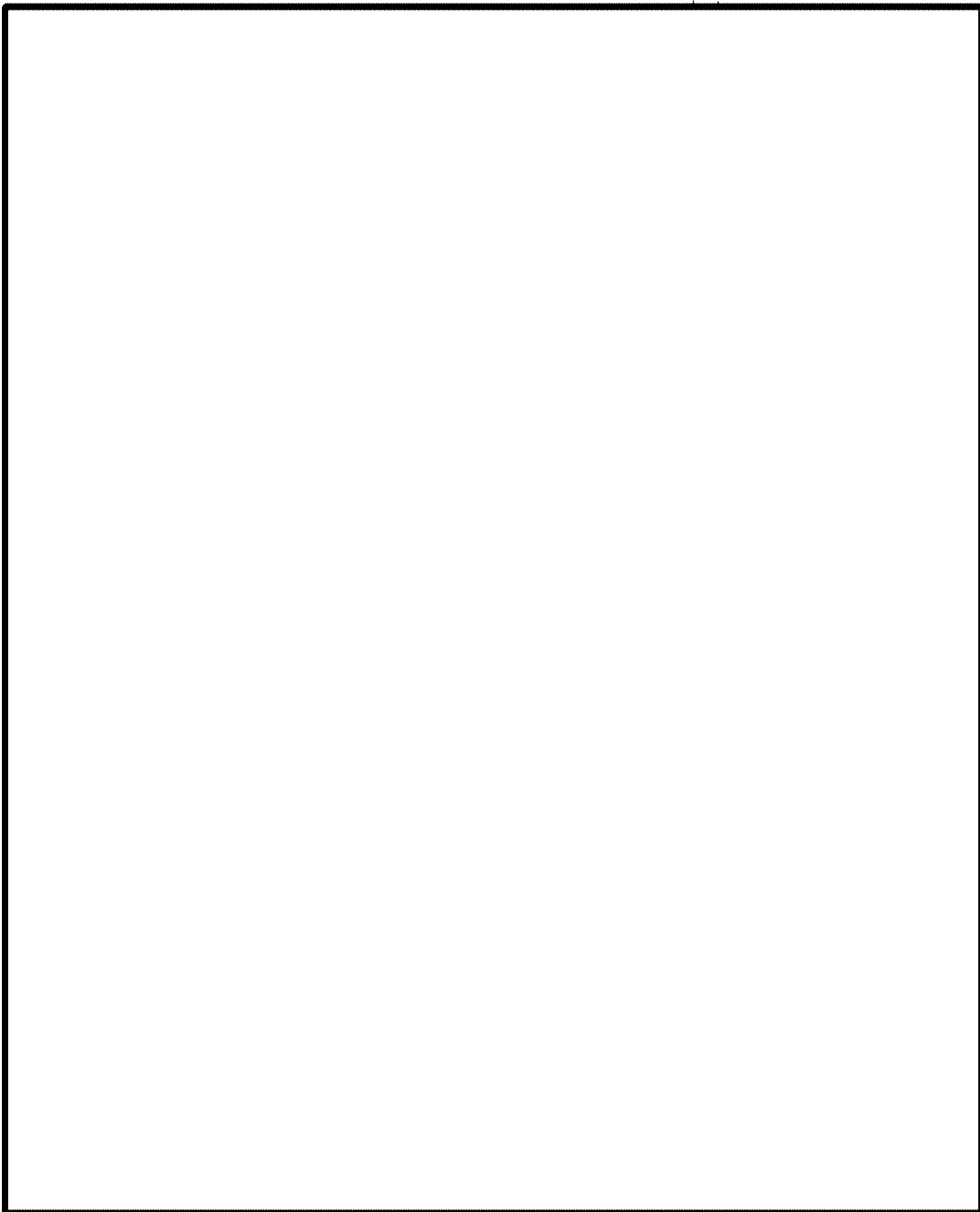
Thanks.

Bion

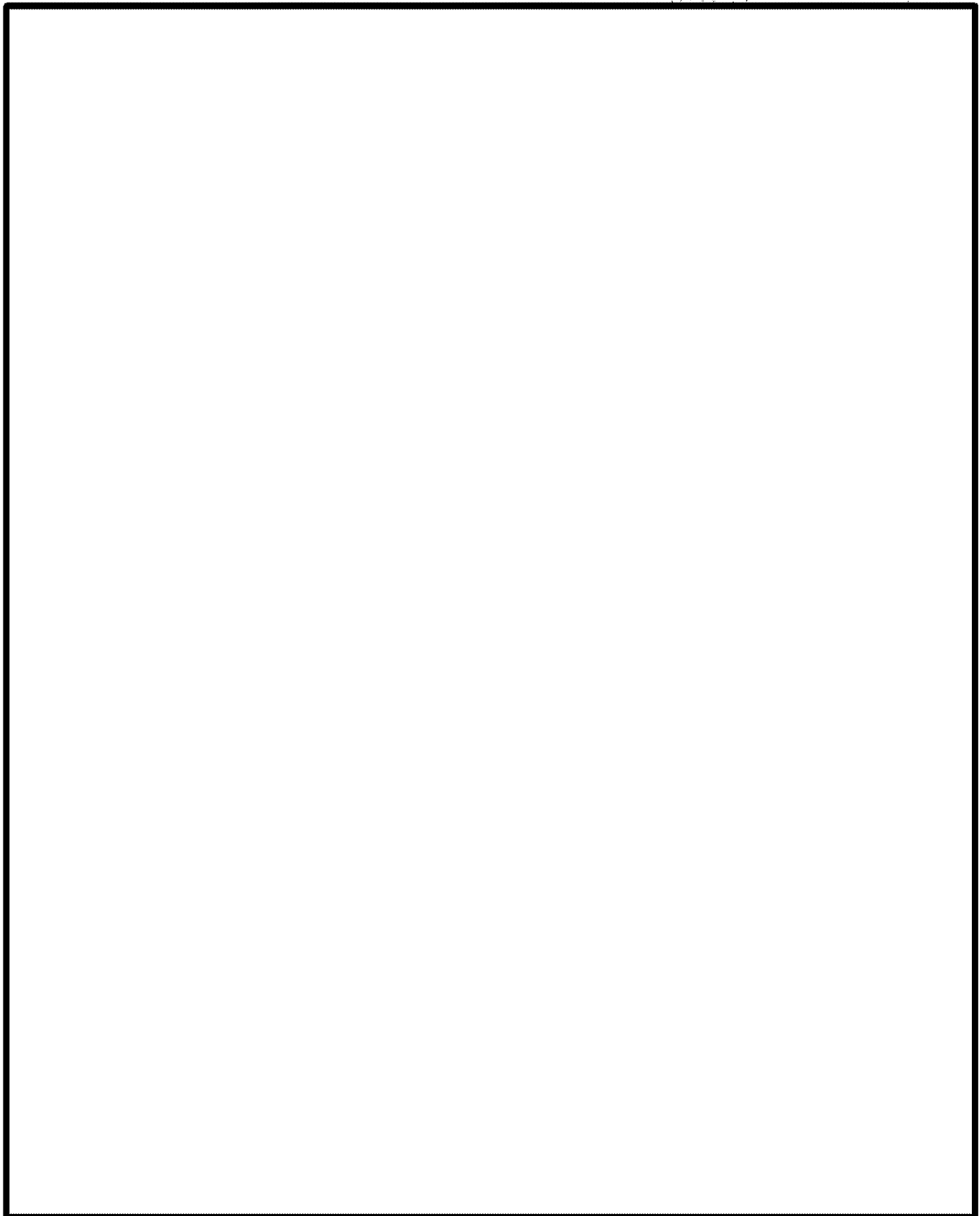
Bion Stewart
Deputy Presidential Transition Officer

Department of Homeland Security
202-282-9125

(b)(5)



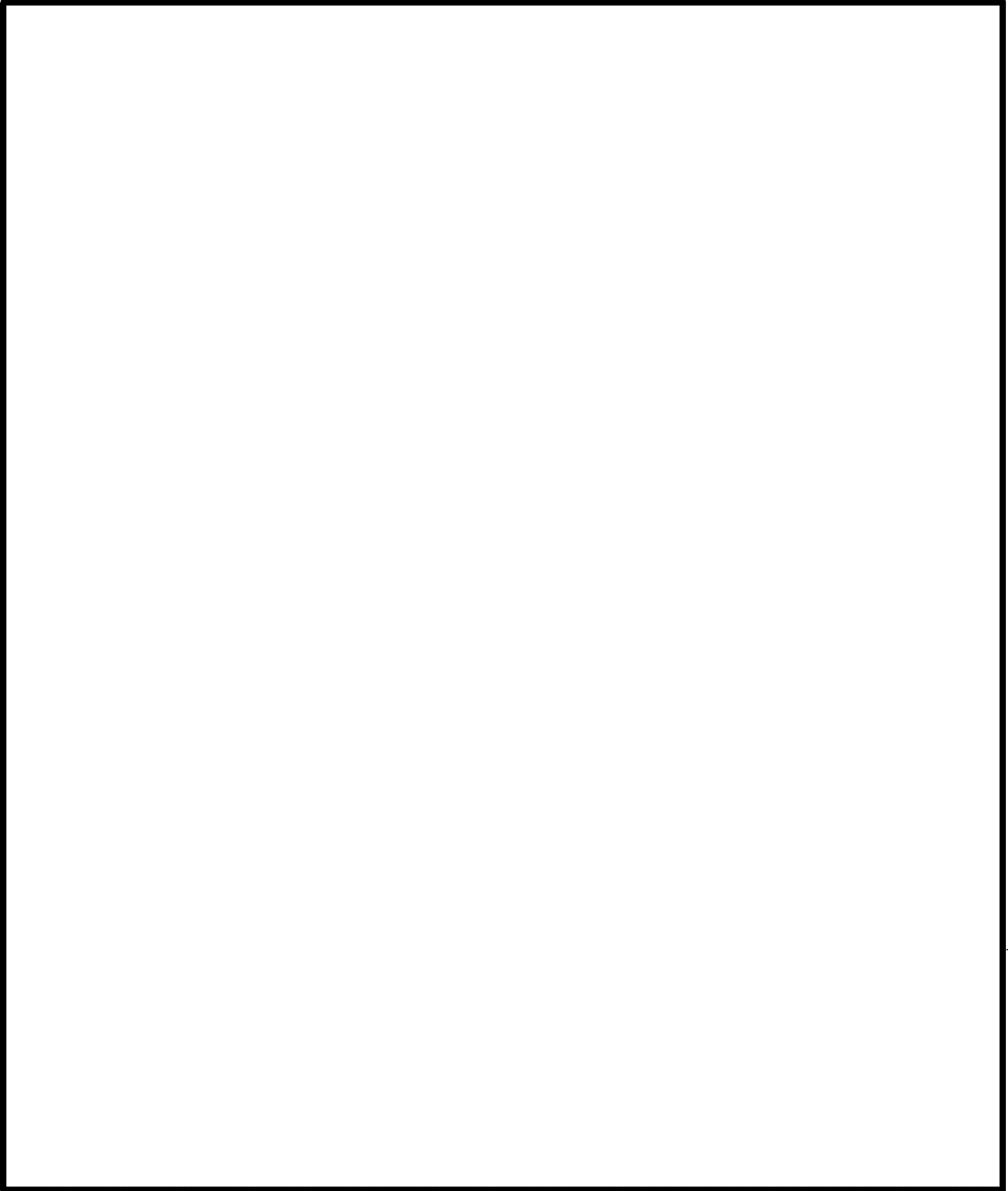
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Homeland Security

DHS Career Successors,

With the Presidential election approaching, the Department completed a comprehensive review of the succession plan for key officials. This process was completed with the Secretary's approval on September 14. A key aspect of this process has been to identify career successors for all key leadership positions within the Department. You are one of the career leaders who serves in a successor position.

Part of a smooth transition is to ensure that the career employees who may step in to act are prepared for the challenges that they may face. To ensure all career successors are *Ready to Act*, the Presidential Transition Office has worked with several Components and good government partners to provide executive briefing sessions for you.

Participation in the session is a mandatory requirement for you as a career successor. This 90-minute session will include an update on the Department's Presidential Transition preparations and how they impact you. Also, a brief overview of Continuity of Operations, Continuity of Government, and Incident Response responsibilities for successors will be provided. The session will conclude with a discussion on preparing and managing the arrival of the new Administration leadership within your organization.

The *Ready to Act: Successor Executive Briefing* will be offered four times during the month of October. Please select the session that best fits your schedule. The session dates are:

- October 14, 2016 – 10:30 a.m. to 12 p.m. at OCHCO, 1201 New York Ave., NW
- October 20, 2016 – 10:30 a.m. to 12 p.m. at OCHCO, 1201 New York Ave., NW
- October 21, 2016 – 10:30 a.m. to 12 p.m. (Webinar for field staff outside of the National Capital Region)
- October 31, 2016 – 1:30 p.m. to 3 p.m. at Nebraska Avenue Complex, room NAC01-044

Please RSVP to Transition2017@hq.dhs.gov with the date of the session you wish to attend. Once the RSVP is received, an Outlook calendar invitation will be sent to you for the executive briefing.

Every day, DHS employees help to safeguard our Nation. With your support, we will continue to deliver our mission – with honor and integrity, safeguarding the American people, our homeland, and our values. Thank you for your hard work.

Sincerely,

Russ Deyo
Under Secretary for Management

From: [Stewart, Bion](#)
To: [Renaud, Tracy L](#)
Subject: RE: REMINDER! 2016-17 Presidential Transition Ready to Act Training
Date: Monday, October 17, 2016 10:37:51 AM
Attachments: [image001.png](#)

Thanks. I'll make sure we have it recorded.

Bion

From: Renaud, Tracy L
Sent: Monday, October 17, 2016 10:37 AM
To: Stewart, Bion <bion.stewart@hq.dhs.gov>
Subject: RE: REMINDER! 2016-17 Presidential Transition Ready to Act Training

He attended last Friday - I can vouch since I sat next to him!

Tracy L. Renaud
Associate Director, Management
U.S. Citizenship and Immigration Services
Department of Homeland Security
202-272-1739 (office)

From: Stewart, Bion
Sent: Monday, October 17, 2016 8:31:12 AM
To: Renaud, Tracy L
Subject: FW: REMINDER! 2016-17 Presidential Transition Ready to Act Training

Tracy,

Per Vince's email, following up to let you know we have not yet received an RSVP to register for a Ready to Act Executive Brief from Daniel Renaud. If you could please follow up with him to register for one of the remaining dates, we'd appreciate it.

Thanks.

Bion

Bion Stewart
Deputy Presidential Transition Officer
Department of Homeland Security
202-282-9125

From: Micone, Vincent

Sent: Friday, October 14, 2016 1:21 PM

Subject: FW: REMINDER! 2016-17 Presidential Transition Ready to Act Training

SCAOs,

Your account exec will provide you information for your component on who has registered To date and who has not. Would appreciate nudges from you, as I need to report out on our numbers to the front office.

Thanks,
Vince

Vince Micone
DHS Presidential Transition Officer
and Senior Counselor
Management Directorate
U.S. Department of Homeland Security
(202) 447-3400

From: Office of the Under Secretary for Management

Sent: Friday, October 14, 2016 1:18 PM

Subject: REMINDER! 2016-17 Presidential Transition Ready to Act Training



**Homeland
Security**

Colleagues,

I would like to thank all of you who have confirmed your attendance for a *Ready to Act: Successor Executive Briefing Session*. Our first session was held today.

The *Ready to Act: Successor Executive Briefing* will be offered three additional times during the month of October. Please select the session that best fits your schedule. The session dates are:

- October 20, 2016 – 10:30 a.m. to 12 p.m. – OCHCO, 1201 New York Avenue, NW
- October 21, 2016 – 10:30 a.m. to 12 p.m. – Nebraska Avenue Complex, Room NAC01-044 and by webinar for field staff outside of the National Capital Region
- October 31, 2016 – 1:30 p.m. to 3 p.m. – Nebraska Avenue Complex, Room NAC01-044

As a reminder, attendance at a session is mandatory. Please RSVP to Transition2017@hq.dhs.gov with the date of the session you wish to attend. Once the RSVP is received, an Outlook calendar invitation will be sent to you for the executive briefing.

If you have any questions about the Presidential Transition, please contact me by email at vincent.micone@hq.dhs.gov or by telephone on (202) 447-3400.

Thanks,

Vince Micone
DHS Presidential Transition Officer and Senior Counselor
Management Directorate

From: Office of the Under Secretary for Management
Sent: Tuesday, October 4, 2016 10:28 AM
Subject: 2016-17 Presidential Transition Ready to Act Training



**Homeland
Security**

DHS Career Successors,

With the Presidential election approaching, the Department completed a comprehensive review of the succession plan for key officials. This process was completed with the Secretary's approval on September 14. A key aspect of this process has been to identify career successors for all key leadership positions within the Department. You are one of the career leaders who serves in a successor position.

Part of a smooth transition is to ensure that the career employees who may step in to act are prepared for the challenges that they may face. To ensure all career successors are *Ready to Act*, the Presidential Transition Office has worked with several Components and good government partners to provide executive briefing sessions for you.

Participation in the session is a mandatory requirement for you as a career successor. This 90-minute session will include an update on the Department's Presidential Transition preparations and how they impact you. Also, a brief overview of Continuity of Operations, Continuity of Government, and Incident Response responsibilities for successors will be provided. The session will conclude with a discussion on preparing and managing the arrival of the new Administration leadership within your organization.

The *Ready to Act: Successor Executive Briefing* will be offered four times during the month of October. Please select the session that best fits your schedule. The session dates are:

- October 14, 2016 – 10:30 a.m. to 12 p.m. at OCHCO, 1201 New York Ave., NW
- October 20, 2016 – 10:30 a.m. to 12 p.m. at OCHCO, 1201 New York Ave., NW
- October 21, 2016 – 10:30 a.m. to 12 p.m. (Webinar for field staff outside of the National Capital Region)
- October 31, 2016 – 1:30 p.m. to 3 p.m. at Nebraska Avenue Complex, room NAC01-044

Please RSVP to Transition2017@hq.dhs.gov with the date of the session you wish to attend. Once the RSVP is received, an Outlook calendar invitation will be sent to you for the executive briefing.

Every day, DHS employees help to safeguard our Nation. With your support, we will continue to deliver our mission – with honor and integrity, safeguarding the American people, our homeland, and our values. Thank you for your hard work.

Sincerely,

Russ Deyo
Under Secretary for Management

From: [Stewart, Bion](#)
To: [Renaud, Tracy L](#)
Subject: FW: REMINDER! 2016-17 Presidential Transition Ready to Act Training
Date: Monday, October 17, 2016 8:31:14 AM
Attachments: [image001.png](#)

Tracy,

Per Vince's email, following up to let you know we have not yet received an RSVP to register for a Ready to Act Executive Brief from Daniel Renaud. If you could please follow up with him to register for one of the remaining dates, we'd appreciate it.

Thanks.

Bion

Bion Stewart
Deputy Presidential Transition Officer
Department of Homeland Security
202-282-9125

From: Micone, Vincent
Sent: Friday, October 14, 2016 1:21 PM
Subject: FW: REMINDER! 2016-17 Presidential Transition Ready to Act Training

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Thanks,
Vince

Vince Micone
DHS Presidential Transition Officer
and Senior Counselor
Management Directorate
U.S. Department of Homeland Security
(202) 447-3400

From: Office of the Under Secretary for Management
Sent: Friday, October 14, 2016 1:18 PM
Subject: REMINDER! 2016-17 Presidential Transition Ready to Act Training

From: [Schamberger, Jill W.](#)
To: [Farnam, Julie E.](#); [Renaud, Tracy L.](#)
Cc: [Conklin, Jeffery A.](#); [Schamberger, Jill W.](#)
Subject: FW: CIGIE Releases "Presidential Transition Handbook"
Date: Thursday, October 13, 2016 9:47:28 AM
Attachments: [CIGIE Presidential Transition Handbook Web October 2016.pdf](#)

Hi there.

FYI.

jill

Jill W. Schamberger
Audit Liaison Team Lead
Office of Security and Integrity
US Citizenship and Immigration Services
Office: (202) 272-1621
Cell: (202) 330-1526

From: Crumacker, Jim

Sent: Thursday, October 13, 2016 9:24 AM

To: Bibo, David; Boulden, Laurie; Bruce, Melissa; BUSTER ROBERT P; Canevari, Holly; Carver, Jonathan; Conklin, Jeffery A; Cribbs, Carol; Gottfried, Jordan; Heinz, Todd; Hess, David; Kruger, Mary; Lewis, Donald R; McDaniels, Thomas (OGA); Metzler, Alan; MILDREW, SEAN; Nichols, Kate; Passow, Richard; Ramanathan, Sue; Savage, Brian; Tiongson, Andrew J RDML; Tippie, Tammy; Venture, Veronica; Blumenthal, Nathan; Brzozowski, Christa; Fulghum, Chip; Guttentag, Lucas; Hakim, Neema; Higgins, Jennifer; Hoy, Serena; Johnson, Tia; Kuepper, Andrew; Maher, Joseph; Manfra, Jeanette; McNamara, Phil; Pino, Lisa; Ramanathan, Sue; Rosen, Paul; Russell, Michael; Swain, Donald; Ulloa, Isabella; Micone, Vincent

Cc: Almy, Michael; Anderson, Rose; Bailey, Angela; Balliet, Eric; Benecke, Michelle; Bennett, Craig A SES; Bobich, Jeffrey; Cassidy Bianchino, Amy; Corbin, Susan; Correa, Soraya; Cox, Debra; Fahmy, Nasr; Gleason, Eddie; Harper, Jerald; Harris, Mark E (DHS CFO); Howard, Tammy; Johnson, Kim R; Kouters, Angela; LaRossa, Connie; Marcott, Stacy; Martin, Cynthia; Mathias, Susan; McComb, Rich; McCormack, Luke; Nowak, Philip A; O'Connor, Kimberly; Orner, Jeffery; Palmer, David; Readinger, Jeff; Rezmovic, Jeffrey; Schneider, Katelyn E; Smiley, Dennis; Stough, Michael; Tamarkin, Eric; Watkins, Trae; Amendolia, Deana; Backfield, Mitchell; Bauman, Joshua D CDR; Beitel, Kari; Chester, Lisa; Cooch, Shila; Crawley, Ayn; Cuneo, Edward; DeAntonio, Robert F; Debnam, Sandra; Eames, Seth; Edwards, Toni; Elliott, Mike; Evans, Matthew; Feltrin, Thomas; Gehrcke, Taylor; Hahn, Linda; Hamidi, Heela; Hattis, Daniel; HOFFMAN, SHERRI LEE; Johnson, Kim R; Karau, Michael; Kulwicki, Mark; Leonard, Clarissa; Malenab, Jennifer; Mason, Robert W; Mathias, Susan; Mckeon, Gary; Moy, Michael C; NAU BRENDA M; NEGLIA, CECELIA; Nemeth, Carmen M; Norman, Keanna; Norton, Gina; OCIOaudits; PATTEN EMILY S; Petyo, Briana; PICHON LESLIE C; Plaza, David; Readinger, Jeff; Schaeffer, Shelly; Schamberger, Jill W; Schamberger, Steven; Staine, Stella; Steedley, Sonya; Tagay, Maxine; Taylor, Sandra; Tippie, Tammy; Venture, Veronica; Vernon, Morgan; Warkentin, Gary; WHITE, ROBIN A; Wilson, Laura C.T.; Wood, Susan; Yi, Jennifer H (Jen); DHS Additional CALS; DHS DAL

Subject: CIGIE Releases "Presidential Transition Handbook".

As information, the Council of the Inspectors General on Integrity and Efficiency (CIGIE) has released the subject Handbook describing the role of Inspectors General and the transition to a new Administration (see attached). More specifically, the Handbook addresses:

- ✓ The Role of Inspectors General
 - The Inspector General Act
 - Role and Authorities of Inspectors General
 - Inspector General Independence
 - Inspector General Reports and Processes

- Recoveries and Cost Savings
- CIGIE

- ✓ Transition Issues Relating to Inspectors General
 - The Role of IGs in the Transition to a New Administration
 - New Administration Officials' Interaction with IGs
 - Filling Inspector General Vacancies

Also of note is a chart in the appendix of the Handbook which outlines many of the recurring major reporting requirements applicable to most OIGs:

- ✓ OIG Semiannual Report to Congress
- ✓ Financial Statement Audit
- ✓ Annual Federal Information Security Management Act Reviews
- ✓ Agency Management and Performance Challenges
- ✓ Purchase and Travel Card Oversight Report
- ✓ Improper Payment Reporting
- ✓ Report on Federal Entities Cyber Threat Indicators
- ✓ Council of Inspectors General on Financial Oversight Annual Report
- ✓ Accountability for Federal Funding Report

v/r

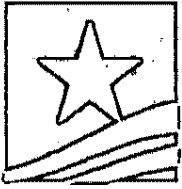
Jim

JIM H. CRUMPACKER, CIA, CFE
Director
Departmental GAO-OIG Liaison Office
U.S. Department of Homeland Security

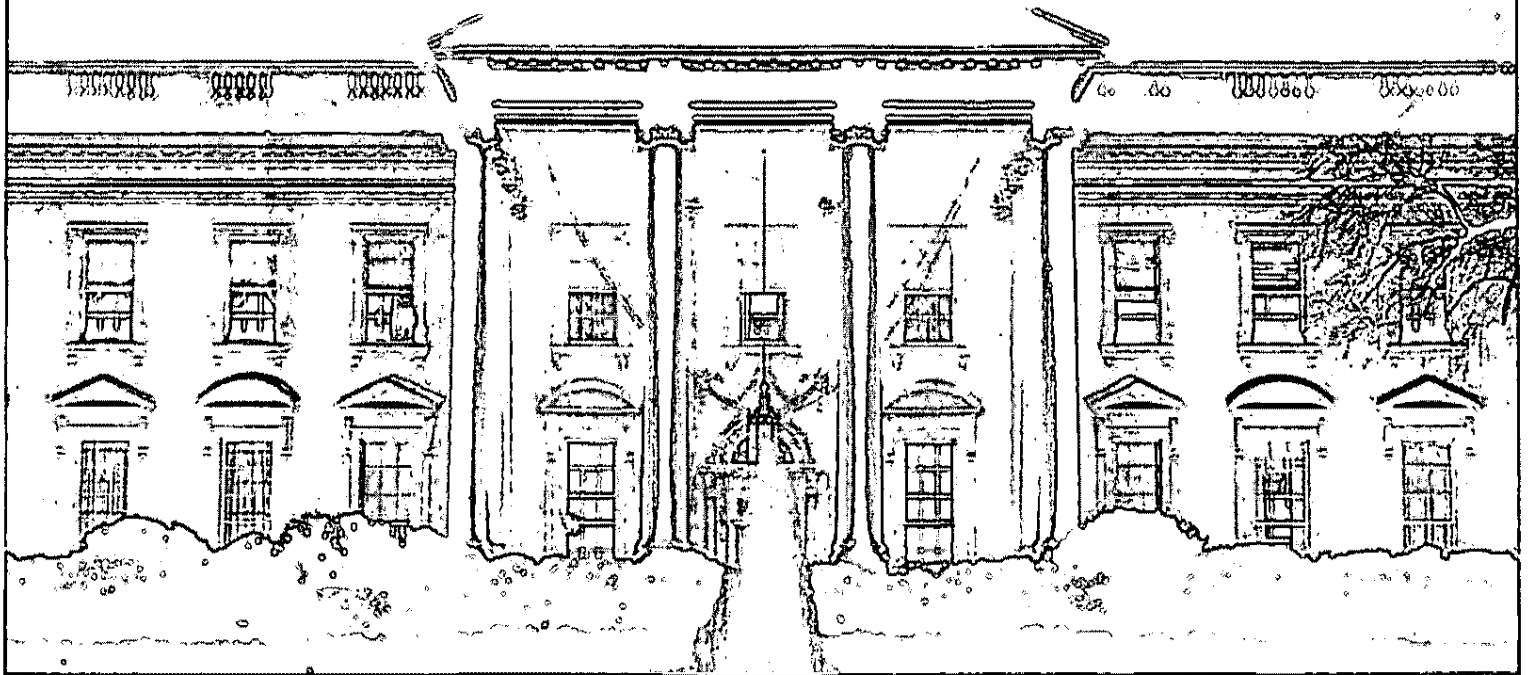
(202) 447-5939 (office)
(202) 262-6776 (cell)

“Liaison = Relationships + Communication”

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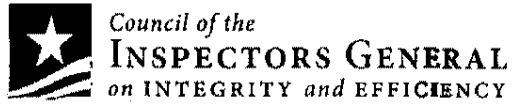
Council of the
INSPECTORS GENERAL
on INTEGRITY and EFFICIENCY



PRESIDENTIAL TRANSITION HANDBOOK

The Role of Inspectors General
and the Transition to a
New Administration

October 4, 2016



MISSION, VISION, AND VALUES

Improving government-wide efficiency, effectiveness, and integrity and enhancing the professionalism of CIGIE members.

VISION

Advancing good government through collaboration.

VALUES

- Integrity
- Accountability
- Transparency
- Collaboration
- Excellence

EXECUTIVE SUMMARY

The Role of Inspectors General

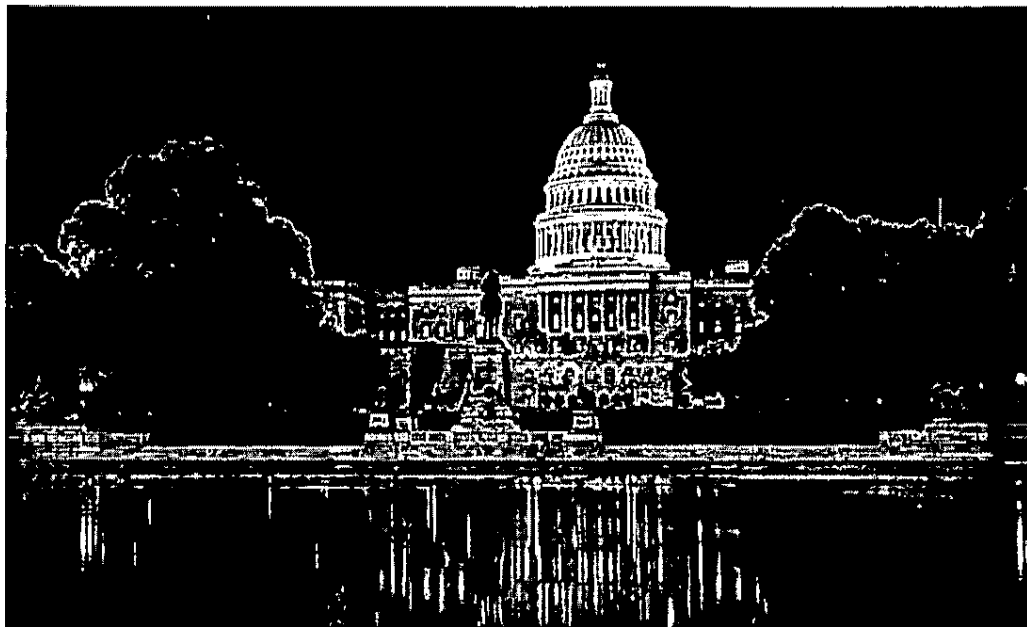
In accordance with the Inspector General Act of 1978, as amended (IG Act),¹ virtually every federal agency has an Inspector General (IG). There are 73 federal IGs. Approximately half are appointed by the President subject to Senate confirmation, and approximately half are appointed by the agency head.

According to the IG Act, the role of an IG is to prevent and detect waste, fraud, and abuse relating to each agency's programs and operations, and to promote economy, efficiency, and effectiveness in the agency's operations and programs.

IGs are nonpartisan and are selected without regard to political affiliations. They have a dual reporting requirement—to their agency heads and to Congress. IGs are required by the IG Act to keep both their agency heads and Congress fully and currently informed about problems and deficiencies in their agencies' programs and operations, as well as the necessity for and progress of corrective action.

Offices of Inspector General (OIGs) are located within their agencies but must conduct their audits, investigations, evaluations, and special reviews independently from their agencies. For example, agency heads may not prevent the IGs from

The role of an IG is to prevent and detect waste, fraud, and abuse relating to each agency's programs and operations, and to promote economy, efficiency, and effectiveness in the agency's operations and programs.



West Front of the U.S. Capitol Building, Washington, D.C. (Source: iStock)

¹ Pub. L. No. 95 452, 92 Stat. 1101 (codified at 5 U.S.C. app. 3, §§ 1-13).

initiating, carrying out, or completing any audit, evaluation, or investigation, except in limited circumstances. IGs must maintain their independence, in both reality and in appearance, to provide credible oversight.

Under the IG Act, IGs are given broad statutory authorities, including access to all agency records and information. IGs also have the authority to subpoena relevant documents and information from non-federal organizations and individuals.

IGs should meet regularly with the heads of each agency to foster effective communications. According to the IG Act, IGs must have direct and prompt access to agency heads.

The Council of the Inspectors General on Integrity and Efficiency (CIGIE), to which all 73 IGs belong, provides training for OIG employees; develops policies, professional standards, best practices, and common approaches for the work of the OIGs; and coordinates reviews by OIGs on issues that span multiple agencies.

In 2016, CIGIE established the CIGIE Presidential Transition Working Group to coordinate on behalf of the IG community with eligible Presidential candidates' transition teams and to provide information about the role of federal IGs to the transition teams and to appointees in the new Administration. The CIGIE Presidential Transition Working Group drafted this handbook.

Transition Issues Relating to Inspectors General

Reflecting their independent, nonpartisan role, unlike other political appointees, IGs typically remain in office when Presidential Administrations change. This practice has been followed for the past 35 years.

To sustain the independent role of IGs during the Presidential transition, transition teams should consider scheduling separate briefings by the IGs, parallel to briefings by other senior leaders in their agencies. The transition teams should also pay close attention to the IGs' congressionally mandated management challenges reports—an annual document that explains what the IGs consider as the most important management and performance challenges facing their agencies.

The transition teams should also focus attention, in coordination with the Office of Presidential Personnel, on promptly filling any vacant IG positions. The IG within each agency is a critically important position, and vacant positions should be filled with a permanent IG as quickly as feasible.

To sustain the independent role of IGs during the Presidential transition, transition teams should consider scheduling separate briefings by the IGs, parallel to briefings by other senior leaders in their agencies.

To promote an effective relationship with the IG and to support the mission of the IG, after taking office the head of each agency should consider:

- Scheduling a meeting with the IG to discuss issues affecting the agency, including significant ongoing and completed IG audits, investigations, and evaluations;
- Establishing a regular meeting schedule with the IG; and
- Sending the agency workforce a message of support for the IG's mission, underscoring IG independence, the IG's right of access to information, employees' duty to cooperate with the IG, and their duty to report illegal conduct and suspected waste, fraud, and abuse to the IG.

IGS ARE NONPARTISAN AND ARE SELECTED WITHOUT REGARD TO POLITICAL AFFILIATIONS. THEY HAVE A DUAL REPORTING REQUIREMENT—TO THEIR AGENCY HEADS AND TO CONGRESS. IGS ARE REQUIRED BY THE IG ACT TO KEEP BOTH FULLY AND CURRENTLY INFORMED ABOUT PROBLEMS AND DEFICIENCIES IN THEIR AGENCIES' PROGRAMS AND OPERATIONS, AS WELL AS THE NECESSITY FOR AND PROGRESS OF CORRECTIVE ACTION.

THE ROLE OF INSPECTORS GENERAL



Council of the
INSPECTORS GENERAL
on INTEGRITY and EFFICIENCY

THE ROLE OF INSPECTORS GENERAL

The Inspector General Act

Following a series of scandals involving fraud in federal programs, Inspectors General (IGs) were created by statute in a few civilian agencies, including the Department of Agriculture (in 1962) and the Department of Health, Education, and Welfare (the predecessor to the Department of Health and Human Services) (in 1976). After congressional hearings in the mid-1970s that exposed waste and fraud in executive agencies, Congress enacted the Inspector General Act of 1978 (IG Act), which established IGs in 12 agencies.² Since 1978, the IG Act has been amended several times to provide IGs more authority and to establish IGs throughout the federal government, in virtually every federal agency. To view the current version of the IG Act, visit www.ignet.gov/content/ig-act.

The purpose of the IG Act was to create independent, objective IGs whose responsibility is to prevent and detect waste, fraud, and abuse and to promote economy, efficiency, and effectiveness in each agency's operations.

Currently, there are 73 federal IGs.³ Approximately half are appointed by the President subject to Senate confirmation (called Establishment IGs or PAS IGs), and approximately half (called Designated Federal Entity or DFE IGs) are appointed by the head of the agency, which can be an individual, a board, or a commission. See the Appendix for CIGIE's current membership list, which also identifies Establishment IGs and DFE IGs.

IGs are nonpartisan. According to the IG Act, they must be selected without regard to political affiliation, based solely on "integrity and demonstrated ability in accounting, auditing, financial analysis, law, management analysis, public administration, or investigations."

² Pub. L. No. 95-452 (Oct. 12, 1978), 92 Stat. 1101 (codified at 5 U.S.C. app. 3, §§ 1-13). See Congressional Research Service, *Federal Inspectors General: History, Characteristics, and Recent Congressional Actions* (June 2016), available at www.fas.org/sgp/crs/misc/R43814.pdf.

³ There is one additional federal IG, the IG for the House of Representatives, who is not a member of CIGIE.

The IG Act contains congressional notification procedures regarding the removal of IGs.

IGs do not have a term of office.⁴ Establishment IGs can be removed by the President, and DFE IGs can be removed by their agency head. Unlike other political or high-level political appointees, IGs typically remain in office when Presidential Administrations change. Moreover, the IG Act contains congressional notification procedures regarding the removal of IGs. If the President intends to remove or transfer an Establishment IG, or an agency head intends to remove a DFE IG, they must communicate the reasons for the action in writing to both Houses of Congress at least 30 days before the removal or transfer. This provision has only been invoked once.

Role and Authorities of Inspectors General

IGs have a dual reporting requirement—to both the agency head and to Congress. IGs are required to keep both “fully and currently informed” about problems and deficiencies relating to agency programs and operations.

IGs typically brief their agency heads on important audits, investigations, evaluations, and other reviews they conduct. In addition, IGs often testify before congressional committees, and they regularly receive requests from, provide briefings to, and participate in meetings with congressional members and their staffs.

To fulfill their mission, IGs are granted broad authorities. Among other powers, IGs are authorized to:

- Obtain access to information and documents within their agency in relation to any program or operations over which the IG has responsibility;
- Request information or assistance from any Federal, State, or local, agency;
- Subpoena records and documents from any non-federal entity or individual;
- Take statements under oath;
- Have direct and prompt access to the agency head for any purpose pertaining to the IG’s responsibilities; and
- Select, appoint, and employ officers and employees as necessary to carry out the functions, powers, and duties of the OIG.

⁴ The exceptions are the U.S. Postal Service IG (a seven-year term) and the U.S. Capitol Police IG (a five-year term, and may be reappointed for not more than two additional terms).

Inspector General Independence

IGs must perform their audits, investigations, evaluations, and special reviews objectively and independently from the agency.

Several key provisions of the IG Act seek to ensure IG independence, in both reality and appearance. For example, according to the IG Act, an agency head may not prevent the IG from initiating, carrying out, or completing any audit or investigation, except in very limited circumstances.⁵

Moreover, IGs report only to the agency head or the officer next in rank below the agency head. The IG Act specifies that each IG “shall report to and be under the general supervision of the head of the establishment involved or, to the extent such authority is delegated, the officer next in rank below such head, but shall not report to, or be subject to supervision by, any other officer of such establishment.”

There is no statutory definition of “general supervision.” However, this supervision is limited and may not be exercised in a way that would inhibit IGs’ discretion to perform their mission, to undertake an audit or investigation, to issue subpoenas, or to see these matters through to conclusion.⁶

The Inspector General Reform Act of 2008 contained language to be used in setting the pay of all IGs.⁷ Establishment IGs are compensated at an amount equivalent to level III of the Executive Schedule plus 3 percent. Pay for DFE IGs is set by a formula detailed in the Inspector General Reform Act of 2008, which ensures that the agency head cannot reduce the IG’s pay based on a disagreement with the IG’s work.

In addition, the IG Act requires the IG to have direct and prompt access to the agency head for any purpose related to the performance of the IG’s responsibilities.

⁵ Under the IG Act, the heads of seven agencies (the Departments of Defense, Homeland Security, Justice, and Treasury; the Federal Reserve Board; the Consumer Financial Protection Bureau; and the U.S. Postal Service) may prevent their respective IGs from initiating or completing an investigation or audit, or issuing a subpoena, but only for reasons specified in the IG Act (see, e.g., IG Act, § 8). These reasons include, among others, preserving national security interests, protecting ongoing criminal prosecutions, or limiting the disclosure of information that could significantly influence the economy or market behavior (see, e.g., IG Act, § 8D). If agency heads invoke this power, they must send an explanatory statement to certain congressional committees within 30 days.

⁶ Although a few court decisions have analyzed the “general supervision” language of the IG Act, one case in particular, *United States Nuclear Regulatory Commission v. Federal Labor Relations Authority*, 25 F.3d 229, 235 (4th Cir. 1994), reviewed the legislative history of the “general supervision” language and described the agency head’s supervisory authority over the IG as “nominal.”

⁷ Pub. L. No. 110-409, 122 Stat. 4302.

To ensure independence, each OIG is considered “a separate agency” for certain administrative purposes. For example, many IGs operate their own personnel offices and determine the recruitment, screening, selection, promotion, and discipline of their employees. In addition, many of the larger IGs operate their own information technology networks, separate from the agency’s computer networks.

IGs are also required by law to obtain legal counsel independent of the agency counsel. Specifically, the IG Act requires an IG to obtain legal advice from a counsel who reports directly to the IG, to another IG, or from the organization of federal IGs (the Council of the Inspectors General on Integrity and Efficiency (CIGIE)).

According to the IG Act, an IG’s budget requests must be separately identified within their agency budgets when submitted to the Office of Management and Budget (OMB), and by OMB to Congress. Also, IGs may comment to Congress on the sufficiency of their budgets if the amount proposed in the President’s budget would “substantially inhibit the [IG] from performing the duties of the office.”

In addition, to ensure IGs’ access to relevant information, the IG Act requires IGs to report to their agency heads “without delay” the circumstances of any unreasonable refusal of their information requests. The IG Act also empowers IGs to request information or assistance from any Federal, State, or local government. To ensure IGs have sufficient resources, the IG Act authorizes IGs to enter into contracts and other arrangements to support their work.

Inspector General Reports and Processes

IGs are provided broad latitude to determine the reviews they conduct and the reports they issue.

The IG Act requires Establishment IGs to appoint only two officials—an Assistant Inspector General for Auditing and an Assistant Inspector General for Investigations. There is no corresponding requirement that DFE IGs appoint these officials; in practice, however, this is the model followed by many DFE IGs.

IGs regularly conduct audits of their agency’s programs and operations, including congressionally mandated audits, such as annual Financial Statement Audits and the annual evaluation of information security and privacy programs under the Federal Information Security Modernization Act (FISMA) of 2014. OIG audits also cover the performance of agency contractors and grantees. OIG audits, which are conducted

in accordance with *Generally Accepted Government Auditing Standards* (called the “Yellow Book”), OMB guidance, CIGIE guidance, and other professional standards, can help reduce waste, fraud, abuse, and mismanagement. OIG audits often result in significant taxpayer savings, improved agency effectiveness, and other efficiencies.

Many IGs have also established offices that perform inspections or evaluations of their agency’s programs and operations, which can also improve the performance and effectiveness of agency operations, as well as reduce waste, fraud, abuse, and mismanagement. These reviews are conducted according to CIGIE’s *Quality Standards for Inspection and Evaluation* (called the “Blue Book”).

IG audits and evaluations often make recommendations to management for improvement. Although an IG cannot compel agency management to implement any recommendation, the agency is required to respond to each IG recommendation and state whether it agrees or disagrees with the recommendation. The status of an IG’s recommendations must be included in each IG’s Semiannual Report to Congress. In addition, IG recommendations are often the subject of congressional inquiry and hearings. IGs regularly testify before Congress about their reports, their recommendations, and their view of management corrective actions in response to IG recommendations.

IGs also conduct criminal, civil, and administrative investigations related to the employees, programs, operations, grants, and contracts of their agencies. The subjects of an investigation may be agency employees, contractors, or consultants, or any person or entity involved in alleged wrongdoing affecting the agency’s programs or operations.

With regard to criminal investigations, the IG Act gives many, but not all, OIGs law enforcement authority to assist in such criminal investigations.⁸ These authorities include the ability to carry firearms while engaging in official duties; to make arrests without a warrant; and to seek and execute warrants for arrests, searches of premises, and seizures of evidence. OIGs refer evidence of criminal violations to the Department of Justice for possible prosecution or recovery of monetary damages and penalties.

⁸ Some IGs are granted law enforcement authority through the IG Act, while other IGs require an initial determination of eligibility by the Attorney General. See IG Act, § 6(e). A small number of IGs were granted law enforcement authority through other laws.

OIG audits, which are conducted in accordance with Generally Accepted Government Auditing Standards (called the “Yellow Book”), OMB guidance, CIGIE guidance, and other professional standards, can help reduce waste, fraud, abuse, and mismanagement.

With regard to administrative investigations, IGs report the results of these investigations to agency management officials for consideration of disciplinary or remedial action.

In addition, several IGs have created offices that conduct special reviews, combining the multidisciplinary skills of investigators, auditors, evaluators, and lawyers. These special reviews are often hybrid reviews, involving potential misconduct by agency employees as well as systemic evaluations of an agency program or operation. Examples of such special reviews are the Department of Justice OIG's review of the treatment of detainees after the 9/11 attacks and the Peace Corps IG's review of the death of a Peace Corps volunteer in China.

Each IG is authorized to receive complaints relating to potential misconduct or waste, fraud, or abuse in connection with agency programs and operations. The IG may not disclose the identity of an agency employee who makes such a disclosure without the employee's consent, except when disclosure is "unavoidable" during the course of the investigation. Other laws also restrict the disclosure of complainants' identities, and most IGs allow complainants to request confidentiality or file complaints anonymously.

Many OIGs manage an OIG Hotline to receive and process complaints about fraud, waste, or abuse related to agency programs and operations. Although some of the tens of thousands of calls made each year to IG Hotlines are misdirected, frivolous, or otherwise not productive, many lead to IG investigations and audits that result in prosecutions, cost savings, and efficiency recommendations.

Under the IG Act, OIGs also help protect whistleblowers from retaliation for protected disclosures. Federal law explicitly prohibits government personnel from retaliating against an employee who acts as a whistleblower by reporting suspected waste, fraud, or abuse to the OIG. In addition, the IG Act requires Establishment IGs to appoint a Whistleblower Protection Ombudsmen to educate agency employees about the prohibitions on retaliation for protected disclosures.

To further facilitate the reporting of waste, fraud, or abuse to IGs, each agency homepage must contain a direct link to the Web site of the agency's IG.

Transparency is a key attribute of IG work. The IG Act requires OIGs to post public audit and evaluation reports (or portions of them) on the OIG's website. IG reports must be posted on their public websites not later than three days after being made publicly available.

Under the IG Act, OIGs also help protect whistleblowers from retaliation for protected disclosures. Federal law explicitly prohibits government personnel from retaliating against an employee who acts as a whistleblower by reporting suspected waste, fraud, or abuse to the OIG.

Each IG also must issue Semiannual Reports to Congress detailing, among other items, significant problems and deficiencies identified by the IG during the preceding six-month period, listing current and pending OIG recommendations, identifying cost savings from their reports, and summarizing prosecutorial referrals made during the period. As noted above, under the IG Act, the report also must describe any disagreement with significant management decisions.



Agency IGs must issue Semiannual Reports to Congress detailing significant problems and deficiencies during the preceding six-month period.

In addition to the Semiannual Report to Congress, IGs have other mandatory reporting requirements, such as annual audits of agency financial statements, annual evaluations of information security programs and practices, annual discussion of the top management challenges in their agencies, and annual reports on agency improper payments. A list of the most significant recurring mandatory reporting requirements, including the source of the requirement and the due dates for the required reports, is contained in the Appendix to this handbook.

Several congressional committees have standing requests to OIGs to report periodically on the status of open and unimplemented OIG recommendations, matters referred to the Department of Justice for possible prosecution, and any challenges OIGs are encountering involving agency delays or refusals to provide access to information.

The IG Act also authorizes an IG to report “immediately” to the agency head when the IG becomes aware of “particularly serious or flagrant problems, abuses, or deficiencies relating to the administration of programs and operations.” In turn, the agency head must transmit the report—and any comments—to the appropriate committees or subcommittees of Congress within seven calendar days. In practice, this so-called “Seven-Day Letter” is a powerful tool available to the IG in compelling circumstances requiring immediate congressional attention, but it has rarely been used.

Recoveries and Cost Savings

IG reports and investigations regularly contribute to significant recoveries and cost savings to taxpayers. CIGIE’s FY 2015 annual report to the President will report that the combined work of approximately 13,000 federal OIG employees resulted in significant improvements to the economy and efficiency of programs government-wide, with potential savings totaling approximately \$36.5 billion.⁹ Based on the OIG community’s aggregate budget of approximately \$2.7 billion, these potential savings represent about a \$14 return on every dollar invested in OIGs.

The potential savings total includes: \$26.3 billion in potential savings from audit recommendations agreed to by management and \$10.2 billion from investigative receivables and recoveries.

In addition, OIGs strengthened agency programs through:

- 5,280 audit, inspection, and evaluation reports issued;
- 24,246 investigations closed;
- 545,504 hotline complaints processed;
- 5,717 indictments and criminal information;
- 5,553 successful prosecutions;

⁹ Compiled from CIGIE’s Fiscal Year 2015 information.

- 1,861 successful civil actions;
- 7,244 suspensions or debarments; and
- 4,501 personnel actions.

In addition, IGs regularly make recommendations to agency management for improvement in the operations and programs of the agency. Although the agency is not required to implement the recommendations, the agency must respond to the recommendations, and IGs report open recommendations in their Semiannual Report to Congress. IG recommendations regularly result in more efficient and effective programs, in addition to the monetary recoveries discussed above.

The Council of the Inspectors General on Integrity and Efficiency (CIGIE)

CIGIE is the coordinating entity for federal IGs. Congress established CIGIE as an independent entity within the Executive Branch with passage of the Inspector General Reform Act of 2008.

CIGIE's mission is to address integrity, economy, and effectiveness issues that transcend individual Government agencies. For example, CIGIE coordinates cross-cutting projects among OIGs on issues that span multiple agencies. CIGIE also seeks to increase the professionalism and effectiveness of OIG personnel by developing policies, standards, and common approaches among OIGs. A key initiative in this area is the CIGIE Training Institute, which includes an Audit, Inspection & Evaluation Academy, an Inspector General Criminal Investigator Academy, and a Leadership and Mission Support Academy, which train employees from throughout the OIG community.

CIGIE has also established a series of committees to coordinate among IGs. One such committee is the CIGIE Integrity Committee, which is responsible for investigating allegations against IGs, their senior staff, and OIG employees acting with the knowledge of the IG or whose alleged misconduct is related to an allegation against the IG.

CIGIE has a panel to recommend to the Office of Presidential Personnel and to agency heads suitable candidates for vacant IG positions. For a list of vacant IG positions as of September 19, 2016, see page 18.

Congress established CIGIE as an independent entity within the Executive Branch with passage of the Inspector General Reform Act of 2008.

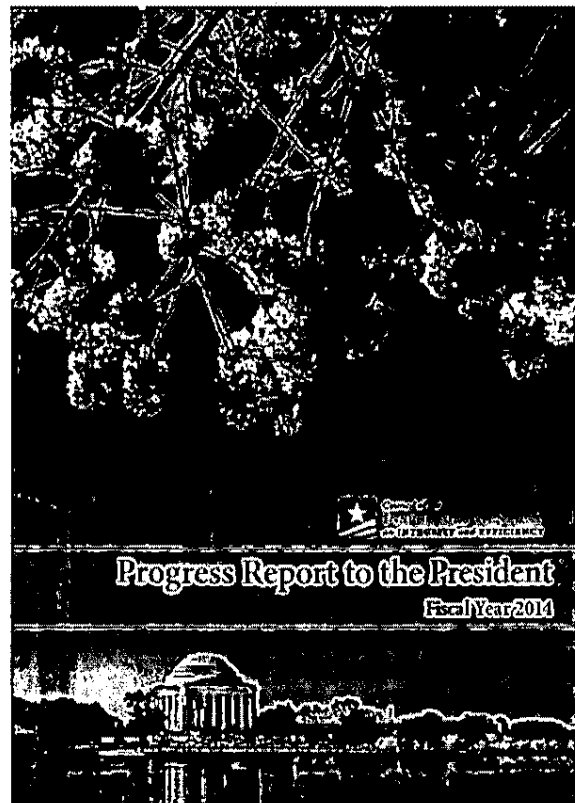
Another key CIGIE function is to oversee periodic external peer reviews of the OIGs' investigations and audit work by another OIG. These peer reviews ensure that these core OIG activities are conducted in accordance with professional standards.

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CIGIE also coordinates and communicates an OIG position to Congress on potential legislation affecting the IG community. For example, CIGIE has advocated for full OIG access to information necessary to accomplish IG responsibilities. In June 2016, the House of Representatives passed the Inspector General Empowerment Act of 2016, H.R. 2395, which clarifies that IGs must have full and prompt access to all agency records, allows IGs to subpoena federal contractors and former government employees under certain circumstances, and allows IGs to match data across agencies to help uncover wasteful spending. A similar bill, S.579, is under consideration by the Senate.

OIGs work closely with the OMB. The OMB Deputy Director for Management serves as CIGIE's Executive Chair, signifying the strong partnership between the Executive Branch's management and performance mission with the OIG's independent oversight mission. Through CIGIE, the OIG community also meets periodically with the Government Accountability Office to share work plans, deconflict work projects, and discuss matters of mutual interest.

CIGIE annually reports to the President on the combined work of approximately 13,000 federal OIG employees, which results in significant improvements to the economy and efficiency of programs government-wide.



TRANSITION ISSUES
RELATING TO INSPECTORS GENERAL



Council of the
INSPECTORS GENERAL
on INTEGRITY and EFFICIENCY

TRANSITION ISSUES RELATING TO INSPECTORS GENERAL

Historically, because of their nonpartisan, independent status, IGs have remained in office when Presidential Administrations change.

The first Presidential Administration change after the passage of the IG Act was in 1980, when President Reagan was elected. His Administration asked for the resignation of all Presidential appointees, and did not make an exception for IGs. This created controversy and concern that the removal of IGs gave the appearance of an attempt to politicize these independent, nonpartisan offices. Congressional representatives explained, for example, that it was not intended the IGs be automatically removed on a wholesale basis without regard to their individual merits whenever there was a change in Administrations. In response, the Reagan Administration decided to reappoint several of the dismissed IGs.

Since that time, every President has exempted IGs as a group from the requirement that political appointees resign when Administrations change.

Since that time, every President has exempted IGs as a group from the requirement that political appointees resign when Administrations change.

The Role of Inspectors General in the Transition to a New Administration

IGs can perform, and have performed in the past, a valuable role during Presidential transitions. Based on their experience and ongoing work, IGs are a valuable source of information about the key issues that will confront the new Administration's management team. They, and their staffs, have deep institutional and historical knowledge about the challenges facing their agencies.

In the past, the transition teams for many agencies have met individually with the IG of that agency for a briefing on the IG's ongoing and recently completed work, as well as the IG's view of the important issues within the agency that will confront the new Administration. It is useful for the transition teams to meet with the IG of that agency early in the transition process. Reflecting the IGs' independence and unique perspective on their agency, transition teams should meet with the IGs separate from their meetings with other management officials from that agency.

A critical document for the transition team to review is an annual document created by many IGs on the top management challenges within their agency. The Reports Consolidation Act of 2000 requires most IGs to report annually on their agencies' top management and performance challenges. This IG document typically provides a list of the top challenges, the IG's description of the challenges and the agency's progress in addressing each challenge, and a summary of ongoing and completed OIG work that relates to the challenge. This document can provide an extremely useful overview for the transition team and new Administration appointees in understanding the scope of the issues they will confront in each agency. CIGIE encourages transition teams, and new leadership of each agency, to obtain this document and discuss with IGs their assessment of these challenges.

IGs can perform, and have performed in the past, a valuable role during Presidential transitions.

New Administration Officials' Interaction with Inspectors General

Once a new Administration takes office, it is critical for each IG and the agency's leadership to have regular and candid communications. After leadership of an agency is appointed, it is important that they establish regular communications with the IG of the agency.

Many agency heads and deputy agency heads meet monthly with their IG. Those meetings enable the IG to inform the agency leadership about ongoing OIG work, the results of completed work, the status of open recommendations from IG audits and evaluations, and the scope and status of major investigations. IGs are also able to answer questions about the processes and procedures the OIGs use in their work. In addition, the agency heads are able to discuss their priorities and their views on IG reviews that could be valuable for agency programs. IGs can raise any impediments to their work or any areas that the IG believes management needs to focus attention on for corrective action. On these and other issues, effective and regular communication between agency leadership and the IG is important to establish an effective and candid relationship.

In this regard, agency cooperation with the IG, including full access to agency information and employees, is essential for an IG to be effective. The new agency head should consider sending the agency workforce a message of support for the role of the OIG, emphasizing the duty of agency employees to cooperate with OIG audits,

evaluations, and investigations; the OIG's right of access to information; and each employees' duty to report illegal conduct and suspected waste, fraud, and abuse to the IG. The tone of agency cooperation and support for the role of the IG is set from the top of an agency.

Filling Inspector General Vacancies

The IG is a critically important position within each agency. Although the IG has the potential to significantly improve the performance of each agency, the IG may not be among the first positions that transition teams or the new Administration act to fill when taking office. However, it is important for the new Administration to focus on filling vacant IG positions expeditiously. In the past, IG positions have often remained vacant for significant periods of time, generating concern and criticism. Although Acting IGs have performed admirably in many cases, a confirmed IG is in a much better position to effectively fulfill the responsibilities of the office.

Pursuant to a requirement in the IG Act, CIGIE provides recommendations to the White House or the appropriate appointing authority for the vacant IG positions. CIGIE has established a committee that reviews potential IG candidates and submits recommendations of qualified candidates for vacant IG positions.

The following is a list of current IG vacancies, by date vacated (as of September 19, 2016).

Agency	Appointment Type	Date Vacated
Department of the Interior	PAS	December 2011
Federal Deposit Insurance Corporation	PAS	September 2013
Export-Import Bank of the United States	PAS	June 2014
Central Intelligence Agency	PAS	February 2015
Department of Commerce	PAS	June 2015
Department of Energy	PAS	October 2015
Department of Defense	PAS	January 2016
U.S. Postal Service	DFE	February 2016
Office of Personnel Management	PAS	February 2016
Social Security Administration	PAS	May 2016
National Security Agency	PAS	May 2016
Committee for Purchase From People Who Are Blind or Severely Disabled	DFE	Created in FY 2016 Omnibus

The IG is a critically important position within each agency.

APPENDIX



Council of the
INSPECTORS GENERAL
on INTEGRITY and EFFICIENCY

APPENDIX

CIGIE Inspector General Offices

CIGIE's public website provides contact information for most OIGs, including links to each OIG's public website: <https://www.ignet.gov/content/inspectors-general-directory>.

OIGs in Establishment Agencies

Agency for International Development	Department of Veterans Affairs
Corporation for National and Community Service	Environmental Protection Agency and the Chemical Safety and Hazard Investigation Board
Department of Agriculture	Export-Import Bank of the United States
Department of Commerce	Federal Deposit Insurance Corporation
Department of Defense	Federal Housing Finance Agency
Department of Education	General Services Administration
Department of Energy	National Aeronautics and Space Administration
Department of Health and Human Services	National Reconnaissance Office
Department of Homeland Security	National Security Agency
Department of Housing and Urban Development	Office of Personnel Management
Department of the Interior	Small Business Administration
Department of Justice	Social Security Administration
Department of Labor	Tennessee Valley Authority
Department of State and the Broadcasting Board of Governors	Treasury Inspector General for Tax Administration
Department of Transportation	U.S. Nuclear Regulatory Commission
Department of the Treasury	U.S. Railroad Retirement Board

OIGs in Designated Federal Entities

Amtrak	Federal Maritime Commission
Appalachian Regional Commission	Federal Trade Commission
Board of Governors of the Federal Reserve System and Consumer Financial Protection Bureau	Legal Services Corporation
Committee for Purchase From People Who Are Blind or Severely Disabled	National Archives and Records Administration
Commodity Futures Trading Commission	National Credit Union Administration
Consumer Product Safety Commission	National Endowment for the Arts
Corporation for Public Broadcasting	National Endowment for the Humanities
Defense Intelligence Agency	National Geospatial-Intelligence Agency
Denali Commission	National Labor Relations Board
Election Assistance Commission	National Science Foundation
Equal Employment Opportunity Commission	Peace Corps
Farm Credit Administration	Pension Benefit Guaranty Corporation
Federal Communications Commission	Postal Regulatory Commission
Federal Election Commission	Smithsonian Institution
Federal Labor Relations Authority	U.S. International Trade Commission
	U.S. Postal Service
	U.S. Securities and Exchange Commission

Other OIGs

There are also Inspectors General established pursuant to statutes other than the IG Act. These statutes may incorporate some, but not necessarily all, of the provisions of the IG Act.

OIGs	Authorizing Legislation
Architect of the Capitol	2 U.S.C. § 1808
Central Intelligence Agency	50 U.S.C. § 3517
Government Printing Office	44 U.S.C. § 3901
Library of Congress	2 U.S.C. § 185
Office of the Inspector General of the Intelligence Community	50 U.S.C. § 3033
Special Inspector General for Afghanistan Reconstruction	National Defense Authorization Act for FY 2008, Pub. L. No. 110-181, § 1229(b) (Jan. 2008)
Special Inspector General for the Troubled Asset Relief Program	Emergency Economic Stabilization Act of 2008, Pub. L. No. 110-343, § 121 (Oct. 3 2008)
U.S. Capitol Police	2 U.S.C. § 1909
U.S. Government Accountability Office	31 U.S.C. § 705

Office of Inspector General Major Reporting Requirements

The following list sets forth many of the recurring reporting requirements applicable to most OIGs. OIGs are required to post publically available reports on their websites within 3 days of issuance.

Report/Requirement Source	Subject Matter	Frequency	Next Report Deadline
OIG Semiannual Report to Congress Inspector General Act of 1978, as amended	Semiannual report summarizing the activities of the OIG during the immediately preceding six-month period.	Semiannual Report: April 30 and October 31 to the Agency Head; who must transmit the report to the appropriate Congressional Committee no later than 30 days after receipt by the agency head.	October 31, 2016
Financial Statement Audit Chief Financial Officer Act of 1990, Accountability of Tax Dollars Act of 2002, and Government Management Reform Act of 1994	Agencies that have an IG shall audit each financial statement prepared in accordance with applicable generally accepted government auditing standards covering all accounts and associated activities of each office, bureau, and activity of the agency.	Annual	November 15, 2016
Annual FISMA Reviews Federal Information Security Management Act	Report results of OIG annual IT security reviews of agency programs and systems.	Annual	November 2016
Agency Management and Performance Challenges Reports Consolidation Act of 2000	Report or statement summarizing the most serious management and performance challenges facing the agency, and briefly assess the agency's progress in addressing those challenges.	Annually	November 15, 2016
Purchase and Travel Card Oversight Report Government Charge Card Abuse Prevention Act of 2012	The IG is required to: (1) Submit a joint report on purchase card violations semi-annually; (2) conduct periodic (minimum annually) risk assessments of the agency's purchase card program; and (3) submit an annual purchase and travel card audit recommendation status report.	(1) Semiannually in January and July; (2) Annually; and (3) Annually	January 31, 2017

Report/Requirement Source	Subject Matter	Frequency	Next Report Deadline
<p>Improper Payment Reporting Improper Payments Elimination and Recovery Act of 2010</p>	<p>Report determining whether the agency is in compliance with: (1) publishing an annual financial statement; (2) if required, conducted a program specific assessment for each program or activity; (3) if required, published improper payment estimates for all programs and activities; (4) published programmatic corrective action plans; (5) published improper payment reduction targets; (6) reported an improper payment rate of less than 10 percent for each program and activity for which an estimate was published.</p>	<p>Annually</p>	<p>May 2017</p>
<p>Report on Federal Entities Cyber Threat Indicators Consolidated Appropriations (FY 2016) - Cybersecurity Information Sharing Act of 2015</p>	<p>The IG of the appropriate Federal entities, in consultation with the IG of the Intelligence Community and The Council of Inspectors General on Financial Oversight, jointly submit to Congress an interagency report on the actions of the executive branch of the Federal Government relating to cybersecurity information sharing.</p>	<p>Every two years</p>	<p>December 18, 2016</p>
<p>Council of Inspectors General on Financial Oversight Annual Report The Dodd-Frank Wall Street Reform and Consumer Protection Act</p>	<p>The Council of Inspectors General on Financial Oversight is required to report annually about concerns and recommendations, as well as issues that may apply to the broader financial sector.</p>	<p>Annually</p>	<p>2017</p>
<p>Accountability for Federal Funding Report Digital Accountability and Transparency Act of 2014 (DATA Act)</p>	<p>The IG, in consultation with the Comptroller General, issues a report assessing the completeness, timeliness, quality, and accuracy of data sampled and the implementation and use of data standards by the Federal agency.</p>	<p>Every two years (Last reporting deadline November 2021)</p>	<p>November 15, 2017</p>

WITH THEIR DEEP INSTITUTIONAL AND HISTORICAL KNOWLEDGE ABOUT THE CHALLENGES FACING THEIR AGENCIES, INSPECTORS GENERAL ARE A VALUABLE SOURCE OF INFORMATION ABOUT THE KEY ISSUES THAT WILL CONFRONT THE NEW ADMINISTRATION'S MANAGEMENT TEAM.



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on INTEGRITY and EFFICIENCY



Council of the
INSPECTORS GENERAL
on INTEGRITY and EFFICIENCY

www.ignet.gov

From: Renaud, Tracy L
To: Prater, Jocelyn S
Subject: RE: 2016-17 Presidential Transition Ready to Act Training
Date: Wednesday, October 12, 2016 2:16:21 PM

Thx

Tracy L. Renaud
Associate Director, Management
U.S. Citizenship and Immigration Services
Department of Homeland Security
202-272-1739 (office)

From: Prater, Jocelyn S
Sent: Wednesday, October 12, 2016 1:53:53 PM
To: Renaud, Tracy L
Subject: RE: 2016-17 Presidential Transition Ready to Act Training

Tracy,

Lori will be attending the Webinar training.

Thank you,

Jocelyn

Jocelyn S. Prater | Lead Scheduler | Office of the Deputy Director |
U.S. Citizenship and Immigration Services (USCIS) | Department of Homeland Security (DHS) |

(o) 202-272-1637 (c) 202-740-4636 (m) 202-272-8000 | jocelyn.s.prater@uscis.dhs.gov

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From: Renaud, Tracy L
Sent: Wednesday, October 12, 2016 10:59 AM
To: Prater, Jocelyn S
Subject: RE: 2016-17 Presidential Transition Ready to Act Training

Jocelyn,

I know you were looking for a session that would suit Lori's calendar and you said the 10/21 session that is a webinar was the best time. DHS said that if people in the NCR need to attend the 10/21 session due to calendar conflicts it is fine but they need to attend in person (NAC 044) they can't use one of the webinar lines, those are reserved for attendees outside NCR.

Tracy L. Renaud
Associate Director
Management Directorate
US Citizenship & Immigration Services
Department of Homeland Security
202-272-1739 (desk)

From: Prater, Jocelyn S
Sent: Tuesday, October 04, 2016 4:20 PM
To: Renaud, Tracy L
Subject: RE: 2016-17 Presidential Transition Ready to Act Training

Sure.

Thank you,

Jocelyn

Jocelyn S. Prater | Lead Scheduler | Office of the Deputy Director |
U.S. Citizenship and Immigration Services (USCIS) | Department of Homeland Security (DHS) |

(o) 202-272-1637 (c) 202-740-4636 (m) 202-272-8000 | jocelyn.s.prater@uscis.dhs.gov

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From: Renaud, Tracy L
Sent: Tuesday, October 04, 2016 4:16 PM
To: Prater, Jocelyn S
Subject: FW: 2016-17 Presidential Transition Ready to Act Training

Jocelyn,

It is mandatory for Lori to attend one of these sessions. Can you RSVP to this email on her behalf and let them know which session best suits her schedule?

Tracy L. Renaud
Associate Director
Management Directorate
US Citizenship & Immigration Services
Department of Homeland Security
202-272-1739 (desk)

From: Office of the Under Secretary for Management
Sent: Tuesday, October 04, 2016 10:28 AM
Subject: 2016-17 Presidential Transition Ready to Act Training



Homeland Security

DHS Career Successors,

With the Presidential election approaching, the Department completed a comprehensive review of the succession plan for key officials. This process was completed with the Secretary's approval on September 14. A key aspect of this process has been to identify career successors for all key leadership positions within the Department. You are one of the career leaders who serves in a successor position.

Part of a smooth transition is to ensure that the career employees who may step in to act are prepared for the challenges that they may face. To ensure all career successors are *Ready to Act*, the Presidential Transition Office has worked with several Components and good government partners to provide executive briefing sessions for you.

Participation in the session is a mandatory requirement for you as a career successor. This 90-minute session will include an update on the Department's Presidential Transition preparations and how they impact you. Also, a brief overview of Continuity of Operations, Continuity of Government, and Incident Response responsibilities for successors will be provided. The session will conclude with a discussion on preparing and managing the arrival of the new Administration leadership within your organization.

The *Ready to Act: Successor Executive Briefing* will be offered four times during the month of October. Please select the session that best fits your schedule. The session dates are:

- October 14, 2016 – 10:30 a.m. to 12 p.m. at OCHCO, 1201 New York Ave., NW
- October 20, 2016 – 10:30 a.m. to 12 p.m. at OCHCO, 1201 New York Ave., NW
- October 21, 2016 – 10:30 a.m. to 12 p.m. (Webinar for field staff outside of the National Capital Region)
- October 31, 2016 – 1:30 p.m. to 3 p.m. at Nebraska Avenue Complex, room NAC01-044

Please RSVP to Transition2017@hq.dhs.gov with the date of the session you wish to attend. Once the RSVP is received, an Outlook calendar invitation will be sent to you for the executive briefing.

Every day, DHS employees help to safeguard our Nation. With your support, we will continue to deliver our mission – with honor and integrity, safeguarding the American people, our homeland, and our values. Thank you for your hard work.

Sincerely,

Russ Deyo
Under Secretary for Management

From: Stewart, Bion
To: ROACH, LEWIS S; Rahilly, Lyn M; Voot, Anthony J RDML; Hess, David; Scanlon, Julie; Bibb, David; PARAMORE FARRON K; Renaud, Tracy L
Cc: BUTLER, AMY J.; WILSON CORY P; Wiemers, Todd C CAPT; Snell, Allison; Mellendick, Theresa; Farnam, Julie E; McKean, Wendy C; Bartholomew, Heather; Baden, Tim; SCHORR, STEPHEN; Micone, Vincent; Halter, Greg; Beagles, James; Horowitz, Scott; Lee, Charmaine
Subject: Presidential Transition Office - Operational Component Agency Review Team Briefings
Date: Wednesday, October 12, 2016 11:29:53 AM
Attachments: ART Component Brief FrameworkV2.pptx

Transition Colleagues,

As discussed, attached is a framework for the briefs we'll be proposing for the ART in the first week or so after they arrive. The content is based on our discussion from a few weeks ago.

Please adapt, stylize, and augment as you see fit with a target of no more than an hour for the brief and Q&A.

The PTO would like to see your draft brief. If you can please send your draft brief to me by November 1st, we'd appreciate it.

Please let me know if you have any questions.

Thank you,

Bion

Bion Stewart
Deputy Presidential Transition Officer
Department of Homeland Security
202-282-9125

[Component] Brief

Agency Review Team

[date]

[Briefer]

High Level Description

- Assume they have read the overview provided in the briefing materials.
- Highlight unique characteristics or authorities driving your mission set and/or organizational structure.
- You may provide a more detailed breakdown of your internal structure highlighting programmatic / functional alignments.

Current Events

- Brief summary of major operations/activities either in the current news cycle or of significant impact to homeland security and your mission set. (e.g., Hurricane MATTHEW response, terrorism response/investigations, NSSE support)

Linkage to DHS Priorities/Missions

- Emphasize your components role in
 - Counterterrorism
 - Border Security
 - Immigration (enforcement / administration)
 - Disaster/Incident Response
 - Cyber-security

Other areas of Focus

- Offer key areas of focus for your organization not already captured.
For example:
 - Trade
 - Safety and stewardship
 - Community outreach and partnerships

Leadership Perspective: Concerns/Challenges/Opportunities

- “What keeps your component head awake at night?”
- What immediate problems do you need the new Administration’s help/support to resolve?
- What are the top 2 budget priorities for FY18? What gap do these priorities fill and what is the expected outcome (in high level terms)?

Closing

- What is the ***most important*** thing the new President needs to know about your organization.

From: Renaud, Tracy L
To: Savina, Jennifer P (CTR); Bjorndahl, Jami A; Patrick, Shirley A (CTR)
Cc: Farnam, Julie E
Subject: FW: 2016-17 Presidential Transition Appointee Town Hall, October 18
Date: Tuesday, October 04, 2016 4:55:00 PM

Jami, Jenni and Shirley,

All of the political appointees should have received the email below and they should plan to attend. Since it did not come out as a calendar invite I wanted to pass the email along so you can block note the calendars accordingly.

*Tracy L. Renaud
Associate Director
Management Directorate
US Citizenship & Immigration Services
Department of Homeland Security
202-272-1739 (desk)*

From: Micone, Vincent
Sent: Monday, October 03, 2016 3:26 PM
Subject: FW: 2016-17 Presidential Transition Appointee Town Hall, October 18

SCAOs:

Below is the message sent to non-career appointees a short time ago.

Thanks,
Vince

Vince Micone
DHS Presidential Transition Officer
and Senior Counselor
Management Directorate
U.S. Department of Homeland Security
(202) 447-3400

From: Office of the Under Secretary for Management
Sent: Monday, October 03, 2016 3:08 PM
Subject: 2016-17 Presidential Transition Appointee Town Hall, October 18



Fellow Presidential Appointees,

With the election now six weeks away, I thought it would be helpful to provide an overview

of our efforts to prepare for the Presidential Transition.

Earlier this year, we established the Presidential Transition Office and DHS Transition Council. This effort is led by a career SES, Vince Micone, and the DHS Transition Council is comprised of career representatives from the Department's Operational Components, Directorates, and Headquarters Offices. There has been close collaboration on key efforts to ensure that we are prepared to efficiently and effectively process departing appointees, and welcome and support the new Administration.

The Presidential Transition Office, in coordination with the White House Liaison Office, has scheduled a Town Hall for all appointees on **October 18th at 1:00 p.m. in the NAC Chapel**. The focus of the town hall is to inform all appointees on what they can expect, and will need to accomplish, as part of the transition process. The meeting is mandatory, so please schedule accordingly.

The upcoming Town Hall will provide comprehensive guidance for departing appointees to support them during their transition.

Thank you for your continued support of the Department and our efforts to secure our homeland.

Sincerely,

Russ Deyo
Under Secretary for Management

From: Prater, Jocelyn S
To: Renaud, Tracy L
Subject: RE: 2016-17 Presidential Transition Ready to Act Training
Date: Tuesday, October 04, 2016 4:20:21 PM

Sure.

Thank you,

Jocelyn

Jocelyn S. Prater | Lead Scheduler | Office of the Deputy Director |
U.S. Citizenship and Immigration Services (USCIS) | Department of Homeland Security (DHS) |

(o) 202-272-1637 (c) 202-740-4636 (m) 202-272-8000 | jocelyn.s.prater@uscis.dhs.gov

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Sent: Tuesday, October 04, 2016 4:16 PM
To: Prater, Jocelyn S
Subject: FW: 2016-17 Presidential Transition Ready to Act Training

Jocelyn,

It is mandatory for Lori to attend one of these sessions. Can you RSVP to this email on her behalf and let them know which session best suits her schedule?

Tracy L. Renaud
Associate Director
Management Directorate
US Citizenship & Immigration Services
Department of Homeland Security
202-272-1739 (desk)

From: Office of the Under Secretary for Management
Sent: Tuesday, October 04, 2016 10:28 AM
Subject: 2016-17 Presidential Transition Ready to Act Training



DHS Career Successors,

With the Presidential election approaching, the Department completed a comprehensive

review of the succession plan for key officials. This process was completed with the Secretary's approval on September 14. A key aspect of this process has been to identify career successors for all key leadership positions within the Department. You are one of the career leaders who serves in a successor position.

Part of a smooth transition is to ensure that the career employees who may step in to act are prepared for the challenges that they may face. To ensure all career successors are *Ready to Act*, the Presidential Transition Office has worked with several Components and good government partners to provide executive briefing sessions for you.

Participation in the session is a mandatory requirement for you as a career successor. This 90-minute session will include an update on the Department's Presidential Transition preparations and how they impact you. Also, a brief overview of Continuity of Operations, Continuity of Government, and Incident Response responsibilities for successors will be provided. The session will conclude with a discussion on preparing and managing the arrival of the new Administration leadership within your organization.

The *Ready to Act: Successor Executive Briefing* will be offered four times during the month of October. Please select the session that best fits your schedule. The session dates are:

- October 14, 2016 – 10:30 a.m. to 12 p.m. at OCHCO, 1201 New York Ave., NW
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Please RSVP to Transition2017@hq.dhs.gov with the date of the session you wish to attend. Once the RSVP is received, an Outlook calendar invitation will be sent to you for the executive briefing.

Every day, DHS employees help to safeguard our Nation. With your support, we will continue to deliver our mission – with honor and integrity, safeguarding the American people, our homeland, and our values. Thank you for your hard work.

Sincerely,

Russ Deyo
Under Secretary for Management

From: Renaud, Tracy L
To: Prater, Jocelyn S
Subject: FW: 2016-17 Presidential Transition Ready to Act Training
Date: Tuesday, October 04, 2016 4:15:00 PM

Jocelyn,

It is mandatory for Lori to attend one of these sessions. Can you RSVP to this email on her behalf and let them know which session best suits her schedule?

*Tracy L. Renaud
Associate Director
Management Directorate
US Citizenship & Immigration Services
Department of Homeland Security
202-272-1739 (desk)*

From: Office of the Under Secretary for Management
Sent: Tuesday, October 04, 2016 10:28 AM
Subject: 2016-17 Presidential Transition Ready to Act Training



**Homeland
Security**

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Sincerely,

Russ Deyo
Under Secretary for Management

From: Renaud, Tracy L
To: [Transition 2017](#)
Subject: 2016-17 Presidential Transition Ready to Act Training
Date: Tuesday, October 04, 2016 11:45:00 AM

October 14th session, please.

Tracy L. Renaud
Associate Director
Management Directorate
US Citizenship & Immigration Services
Department of Homeland Security
202-272-1739 (desk)

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Sincerely,

Russ Deyo
Under Secretary for Management

From: Micone, Vincent
Subject: FW: 2016-17 Presidential Transition Ready to Act Training
Date: Tuesday, October 04, 2016 10:48:12 AM

SCAOs:

Below is the successor message that went out this morning. Please make sure your successors register for the mandatory session.

This is the last group stakeholder message until next week!

Thanks,
Vince

Vince Micone
DHS Presidential Transition Officer
and Senior Counselor
Management Directorate
U.S. Department of Homeland Security
(202) 447-3400

From: Office of the Under Secretary for Management
Sent: Tuesday, October 04, 2016 10:27:47 AM
Subject: 2016-17 Presidential Transition Ready to Act Training



**Homeland
Security**

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Sincerely,

Russ Deyo
Under Secretary for Management

From: Office of the Under Secretary for Management
Subject: 2016-17 Presidential Transition Ready to Act Training
Date: Tuesday, October 04, 2016 10:27:50 AM



Homeland Security

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Sincerely,

Russ Deyo

Under Secretary for Management

From: Renaud, Tracy L.
To: Halter, Greg; Horowitz, Scott
Cc: Micone, Vincent; Farnam, Julie E
Subject: FW: Successors Message and Ready to Act Executive Brief
Date: Tuesday, October 04, 2016 9:27:00 AM
Attachments: Delegation 0106, Revision 06, DHS Orders of Succession and Delegations o...pdf
Copy of RSVP List for Executive Sessions 2016 09 29v2.xlsx

All – the names listed for USCIS are correct and I gave them all a heads up last week that they should be expecting invitations.

Tracy L. Renaud
Associate Director
Management Directorate
US Citizenship & Immigration Services
Department of Homeland Security
202-272-1739 (desk)

From: Micone, Vincent
Sent: Monday, October 03, 2016 10:14 AM
Subject: Successors Message and Ready to Act Executive Brief

FOR OFFICIAL USE ONLY

SCAOs:

Today and tomorrow, you will see several messages related to the Presidential Transition transmitted under the USM's signature.

- An email was to all **senior leaders** this morning and an **all-employee** message outlining the Department's transition efforts will be sent early this afternoon.
- An email will be sent to all **non-career officials** appointees late this afternoon inviting them to attend the Town Hall that will provide them with transition guidance and information specific to departing appointees. The Town Hall will be held on October 18th at the NAC Chapel from 1 to 3 pm.
- Additionally, a series of articles in the **Connected** e-newsletter will begin with this month's edition and continue through February. The October connected will be sent by Wednesday of this week.

Copies of the senior leader and non-career emails will be forwarded to you.

Tomorrow, we will send out an invitation for all **career successors** to participate in a mandatory *Ready to Act: Executive Brief*.

- All personnel identified in the attached list are required to attend one of the four sessions being offered this month (details will be included in the invitation).
- The invite list reflects career positions and names identified in the attached Order of Succession Delegation signed by S1 on September 14th and the organization charts you submitted for RFI 1 respectively.
- SCAOs are also required to attend one of the sessions.
- **Please review your organization's section and verify the names and associated positions are accurate. Please notify Greg Halter and Scott Horowitz if you see any discrepancies ASAP.**

The Succession Delegation has been posted on Connect as of today. The list of names should not be

distributed and is for your use in validating your components successors. Please note that you are included in this list. If you receive any questions about the delegation, please reach out to Bion, Jim, or myself.

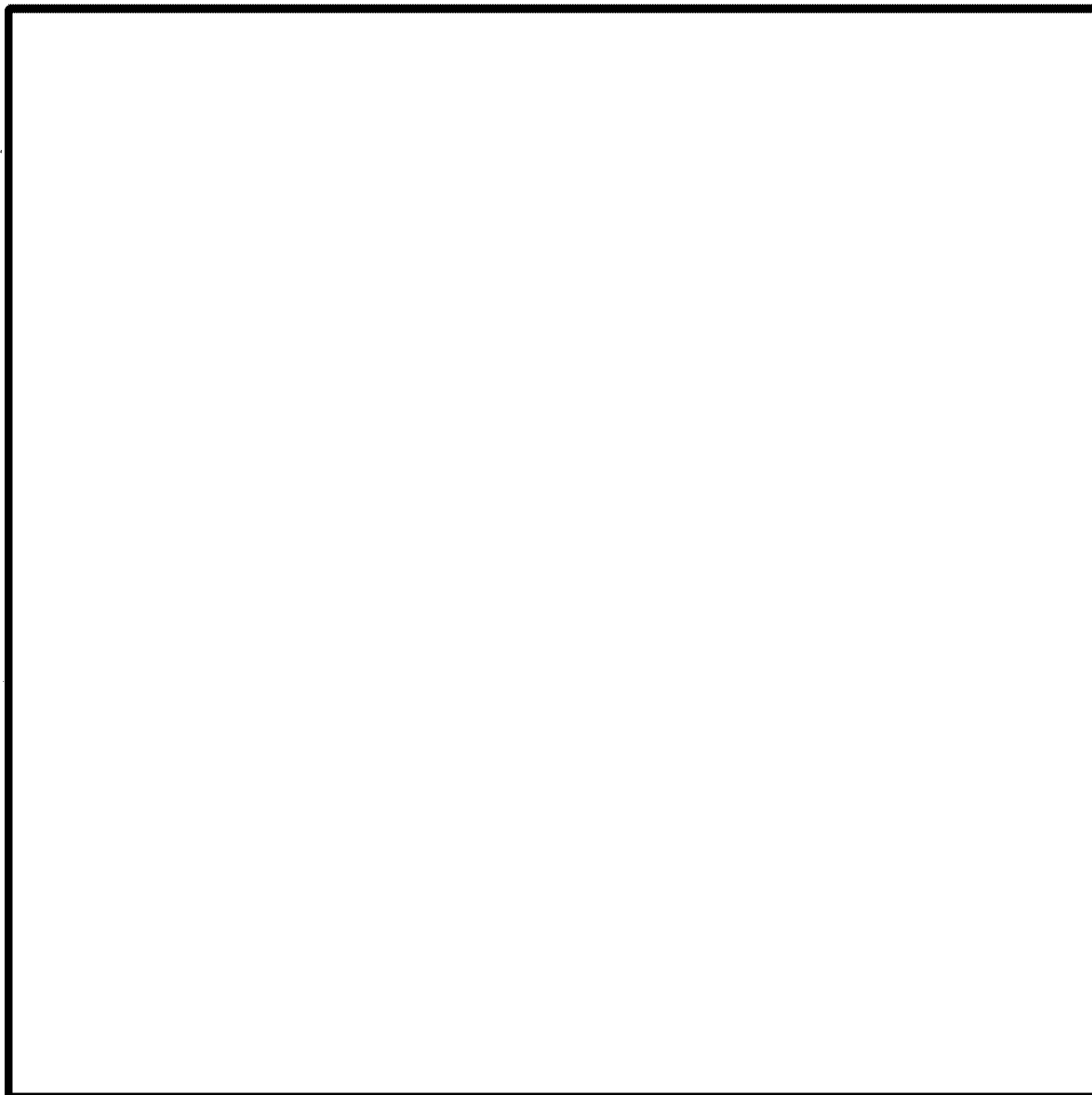
Thanks for your assistance!

Vince

Vince Micone
DHS Presidential Transition Officer
and Senior Counselor
Management Directorate
U.S. Department of Homeland Security
(202) 447-3400

(b)(5)

DRAFT - DRAFT - DRAFT





Under Secretary for Management

Department of Homeland Security
DHS Delegation Number: 0106
Revision Number: 06
Issue Date: 9/14/2016

DHS ORDERS OF SUCCESSION AND DELEGATIONS OF AUTHORITIES FOR NAMED POSITIONS

I. Purpose

This is a succession order for named positions and a delegation of authority for the continuity of essential functions of officials at the Department of Homeland Security (DHS) in case of absence, the inability of the incumbent to act during disasters or catastrophic emergencies, or vacancies in offices.

II. Succession Order/Delegation

- A. In case of the Secretary's death, resignation, or inability to perform the functions of the Office, the orderly succession of officials is governed by Executive Order 13442 (August 13, 2007).
- B. I hereby delegate to the officials occupying the identified positions in the order listed (Annex A), my authority to exercise the powers and perform the functions and duties of my office, to the extent not otherwise prohibited by law, in the event I am unavailable to act during a disaster or catastrophic emergency.
- C. The order of succession for the named positions, other than the Office of the Secretary, are provided in Annexes B through AD.
- D. I hereby delegate authority to the officials occupying the identified positions in the orders listed in Annexes B through AD to exercise the powers and perform the functions and duties of the named positions in case of death, resignation, inability to perform, absence, or inability to act during a disaster or catastrophic emergency until that condition ceases.
- E. In terms of named positions in which appointment is required to be made by the President, by and with the advice and consent of the Senate (PAS), if positions are vacant as that term is used in the Federal Vacancies Reform Act of 1998, the First Assistant shall act as the incumbent until a successor is appointed, unless otherwise designated by the President. The individual serving

in the position identified as the first to succeed is designated the "First Assistant" for the purposes of the Federal Vacancies Reform Act of 1998. If the First Assistant position is vacant, the next designated official in the order of succession may exercise all the powers, duties, authorities, rights, and functions authorized by law to be exercised by the incumbent, but may not perform any function or duty required by law to be performed exclusively by the office holder.

F. For all other positions that are not subject to the Federal Vacancies Reform Act of 1998, any official in the order provided for in the succession order may exercise all the powers, duties, authorities, rights, and functions authorized to be performed by the incumbent, to the extent not otherwise limited by law.

G. Only officials specifically designated in the order of succession for each of the named positions in Annexes B through AD are eligible, subject to modification in accordance with Section II.I. Unless formally appointed by the Secretary, persons appointed on an acting basis, or on some other temporary basis, are ineligible to serve as a successor; therefore, the order of succession would fall to the next designated official in the approved order of succession.

H. The prohibition on any re-delegation of powers, authorities, functions, and duties contained in Departmental Delegations, Directives, Management Directives, Instructions, Manuals, or similar internal documents is not applicable to restrict the authority of any individual who is exercising the authority of a vacant position under this Delegation. Such an individual shall, however, be bound by such Departmental Delegations, Directives, Management Directives, Instructions, Manuals, or similar internal documents, and shall not further re-delegate powers to any individual.

I. Each Annex may be updated separately. A Component head seeks modification of his/her order of succession by forwarding a proposed updated Annex to the Office of Operations Coordination (OPS), Continuity Division and the Office of the Under Secretary for Management (MGMT), Program Manager, Delegations and Directives; Annexes are processed by MGMT, in consultation with the Office of the General Counsel (OGC), for approval of the Secretary. At a minimum, the Annex is coordinated with OGC and the White House Liaison. Where possible, Component orders of succession should be at least three positions deep and geographically dispersed.

J. The Office of the Executive Secretary, MGMT, and OPS are responsible for maintaining a current list of incumbents holding all positions identified in Annexes B through AD.

K. Nothing in this delegation is intended to limit my discretion as Secretary to depart from this delegation.

III. Authorities

A. Title 5, United States Code (U.S.C.) §§ 3345-49 (Federal Vacancies Reform Act of 1998, as amended)

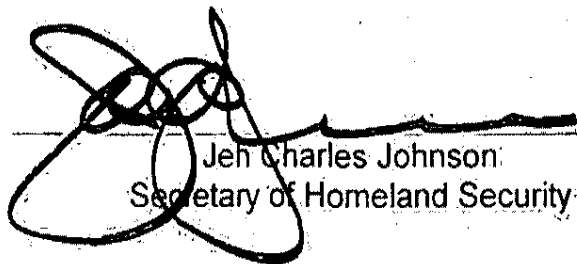
B. 6 U.S.C. § 112 (Secretary functions)

IV. Office of Primary Interest

OPS and MGMT is the office of primary interest for maintaining and updating the Annexes to this Delegation.

V. Cancellation

DHS Delegation 0106, "DHS Orders of Succession and Delegations of Authorities for Named Positions," Revision 05, is superseded.



Jeh Charles Johnson
Secretary of Homeland Security

Sep 6 14 2016
Date

Legend

Career	C
Limited Term Appointment	L
Military Officer	M
Non-Career in the Senior Executive Service or Schedule C	N
Presidential Appointee	P
Presidential Appointee with Senate Confirmation	S
Scientific Professional	T
First Assistant pursuant to the Federal Vacancies Reform Act	*

ORDER FOR DELEGATION OF AUTHORITY BY THE SECRETARY OF THE DEPARTMENT OF HOMELAND SECURITY

Pursuant to Executive Order 13442 (August 13, 2007)

1. Deputy Secretary of Homeland Security
2. Under Secretary for National Protection and Programs
3. Under Secretary for Management
4. Assistant Secretary of Homeland Security (Policy)
5. Under Secretary for Science and Technology
6. General Counsel
7. Assistant Secretary of Homeland Security (Transportation Security Administration)
8. Administrator of the Federal Emergency Management Agency
9. Commissioner of U.S. Customs and Border Protection
10. Assistant Secretary of Homeland Security (U.S. Immigration and Customs Enforcement)
11. Director of U.S. Citizenship and Immigration Services
12. Chief Financial Officer
13. Regional Administrator, Region V, Federal Emergency Management Agency
14. Regional Administrator, Region VI, Federal Emergency Management Agency
15. Regional Administrator, Region VII, Federal Emergency Management Agency
16. Regional Administrator, Region IX, Federal Emergency Management Agency
17. Regional Administrator, Region I, Federal Emergency Management Agency

DHS ORDERS OF SUCCESSION AND ORDERS FOR DELEGATIONS OF AUTHORITIES

Position	Career Status
Deputy Secretary, Office of the	
1 Deputy Secretary	S
2 Under Secretary for Management*	S
3 Administrator, Federal Emergency Management Agency	S
4 Under Secretary, National Programs and Protection Directorate	S
5 Under Secretary, Science and Technology	S
6 Under Secretary, Intelligence and Analysis	S
7 Commissioner, U.S. Customs and Border Protection	S
8 Assistant Secretary/Administrator, Transportation Security Administration	S
9 Assistant Secretary, U.S. Immigration and Customs Enforcement	S
10 Director, U.S. Citizenship and Immigration Services	S
11 Assistant Secretary, Office of Policy	S
12 General Counsel	S
13 Deputy Under Secretary for Management	C
14 Deputy Commissioner, U.S. Customs and Border Protection	C
15 Deputy Administrator, Transportation Security Administration	C
16 Deputy Director, U.S. Immigration and Customs Enforcement	C
17 Deputy Director, U.S. Citizenship and Immigration Services	C
18 Director, Federal Law Enforcement Training Center	C

DHS ORDERS OF SUCCESSION AND ORDERS FOR DELEGATIONS OF AUTHORITIES

Position	Career Status
Citizenship and Immigration Services Ombudsman	
1 Ombudsman	N
2 Deputy Director	C
3 Senior Advisor	L
4 Chief of Staff	C
5 Director of Operations	C
6 Chief of Casework	C

DHS ORDERS OF SUCCESSION AND ORDERS FOR DELEGATIONS OF AUTHORITIES

Position	Career Status
Citizenship and Immigration Services, United States	
1 Director	S
2 Deputy Director*	C
3 Associate Director, Management Directorate	C
4 Associate Director, Refugee Asylum and International Operations Directorate	C
5 Associate Director, Service Center Operations Directorate	C
6 Associate Director, Field Operations Directorate	C
7 Director, National Benefits Center	C

DHS ORDERS OF SUCCESSION AND ORDERS FOR DELEGATIONS OF AUTHORITIES

Position	Career Status
Civil Rights and Civil Liberties, Office for	
1 Civil Rights and Civil Liberties Officer	P
2 Deputy Officer, Programs and Compliance	C
3 Deputy Officer, Equal Employment Opportunity Programs	C
4 Executive Officer	C

DHS ORDERS OF SUCCESSION AND ORDERS FOR DELEGATIONS OF AUTHORITIES

Position	Career Status
Coast Guard, United States	
1 Commandant	M
2 Vice Commandant	M
3-4 Deputy Commandant for Mission Support or Deputy Commandant for Operations in precedence of their grade	M
5-6 Other Vice Admirals in precedence of their grade	M

DHS ORDERS OF SUCCESSION AND ORDERS FOR DELEGATIONS OF AUTHORITIES

Position	Career Status
Customs and Border Protection, United States	
1 Commissioner	S
2 Deputy Commissioner*	C
3 Executive Assistant Commissioner, Office of Field Operations	C
4 Chief, U.S. Border Patrol	C
5 Executive Assistant Commissioner, Air and Marine Operations	C
6 Executive Assistant Commissioner, Trade	C
7 Executive Assistant Commissioner, Operations Support	C
8 Executive Assistant Commissioner, Enterprise Services	C

DHS ORDERS OF SUCCESSION AND ORDERS FOR DELEGATIONS OF AUTHORITIES

Position	Career Status
Domestic Nuclear Detection Office	
1. Director	P
2. Deputy Director	C
3. Assistant Director, Assessments Directorate	C
4. Assistant Director, Operations Support Directorate	C
5. Chief of Staff	C
6. Assistant Director, Transformational and Applied Research	C

DHS ORDERS OF SUCCESSION AND ORDERS FOR DELEGATIONS OF AUTHORITIES

Position	Career Status
Executive Secretariat	
1 Executive Secretary	N
2 Deputy Executive Secretary	C
3 Assistant Executive Secretary, Briefing Books/Interagency Coordination	C

DHS ORDERS OF SUCCESSION AND ORDERS FOR DELEGATIONS OF AUTHORITIES

Position	Career Status
Federal Emergency Management Agency	
1 Administrator	S
2 Deputy Administrator*	S
3 Deputy Administrator, Protection and National Preparedness	S
4 Associate Administrator, Response and Recovery	N
5 FEMA Region IX Administrator	C
6 FEMA Region VI Administrator	C

DHS ORDERS OF SUCCESSION AND ORDERS FOR DELEGATIONS OF AUTHORITIES

Position	Career Status
Federal Law Enforcement Training Center	
1 Director	C
2 Deputy Director for Training	C
3 Deputy Director for Management	C
4 Assistant Director, Mission and Readiness Support	C
5 Assistant Director, Regional and International Training	C
6 Assistant Director, Chief Financial Officer	C
7 Assistant Director, Glynco Training	C
8 Assistant Director, Centralized Training Management	C
8 Assistant Director, Washington Operations	C
9 Assistant Director, Chief Information Officer	C
10 Chief of Staff	C

DHS ORDERS OF SUCCESSION AND ORDERS FOR DELEGATIONS OF AUTHORITIES

Position	Career Status
General Counsel, Office of the	
1 General Counsel	S
2 Principal Deputy General Counsel*	C
3 Deputy General Counsel [Senior ranking by time in position and in DHS] ¹	N
4 Deputy General Counsel [Senior ranking by time in position and in DHS]	N
5 Deputy General Counsel [Senior ranking by time in position and in DHS]	N
6 Chief of Staff	C
7 Associate General Counsel, Operations and Enforcement	C
8 Associate General Counsel, General Law	C
9 Chief Counsel, Transportation Security Administration	C
10 Chief Counsel, Federal Law Enforcement Training Center	C

¹ For the Deputy General Counsel positions identified in lines 3-5, seniority is determined by length of time in the position. In the event more than one Deputy General Counsel has the same appointment date, time in service in the Department is the second determining factor for seniority.

DHS ORDERS OF SUCCESSION AND ORDERS FOR DELEGATIONS OF AUTHORITIES

Position	Career Status
Health Affairs, Office of	
1 Assistant Secretary for Health Affairs and Chief Medical Officer	P
2 Principal Deputy Assistant Secretary and Deputy Chief Medical Officer	C
3 Associate Chief Medical Officer and Division Director, Workforce Health and Medical Support	C
4 Deputy Assistant Secretary and Division Director, Health Threats Resilience	C

DHS ORDERS OF SUCCESSION AND ORDERS FOR DELEGATIONS OF AUTHORITIES

Position	Career Status
Immigration and Customs Enforcement, United States	
1 Assistant Secretary	S
2 Deputy Director*	C
3 Executive Associate Director, Homeland Security Investigations	C
4 Executive Associate Director, Enforcement and Removal Operations	C
5 Executive Associate Director, Management and Administration	C
6 Principal Legal Advisor	N
7 Special Agent in Charge -- Denver	C
8 Field Officer Director -- San Antonio	C

DHS ORDERS OF SUCCESSION AND ORDERS FOR DELEGATIONS OF AUTHORITIES

Position	Career Status
Inspector General, Office of	
1 Inspector General	S
2 Deputy Inspector General*	C
3 Counsel to the Inspector General	C
4 Assistant Inspector General, Audits	C
5 Assistant Inspector General, Inspections	C
6 Assistant Inspector General, Emergency Management Oversight	C

DHS ORDERS OF SUCCESSION AND ORDERS FOR DELEGATIONS OF AUTHORITIES

Position	Career Status
Intelligence and Analysis, Office of	
1 Under Secretary for Intelligence and Analysis/DHS Chief Intelligence Officer	S
2 Principal Deputy Under Secretary for Intelligence and Analysis*	C
3 Deputy Under Secretary for Intelligence Operations	C
4 Deputy Under Secretary for Mission Support	C
5 Associate Deputy Director, El Paso Intelligence Center/ Strategic Analysis Section	C

DHS ORDERS OF SUCCESSION AND ORDERS FOR DELEGATIONS OF AUTHORITIES

Position	Career Status
Legislative Affairs, Office of	
1 Assistant Secretary for Legislative Affairs	P
2 Deputy Assistant Secretary (Senate)	N
3 Deputy Assistant Secretary (House)	N
4 Chief of Staff	C
5 Director, Management Team	C
6 Director, FEMA Team	C
7 Director, Borders and Immigration	C

DHS ORDERS OF SUCCESSION AND ORDERS FOR DELEGATIONS OF AUTHORITIES

Position	Career Status
Management Directorate	
1 Under Secretary for Management	S
2 Deputy Under Secretary for Management*	C
3 Chief Financial Officer	S
4 Chief Information Officer	P
5 Chief Human Capital Officer	C
6 Chief Procurement Officer	C
7 Chief Readiness Support Officer	C
8 Chief Security Officer	C
9 Chief of Staff	C
10 Deputy Director, Federal Law Enforcement Training Center	C

DHS ORDERS OF SUCCESSION AND ORDERS FOR DELEGATIONS OF AUTHORITIES

Position	Career Status
National Protection and Programs Directorate	
1 Under Secretary	S
2 Deputy Under Secretary for NPPD*	N
3 Deputy Under Secretary for Cybersecurity	N
4 Chief of Staff	C
5 Assistant Secretary, Office of Infrastructure Protection	P
6 Assistant Secretary, Office of Cybersecurity and Communications	N
7 Director, Federal Protective Service	C
8 Director, Office of Biometric Identity Management	C
9 Director, Office of Cyber and Infrastructure Analysis	C
10 Director of Management	C
11 Federal Protective Service Assistant Director for Field Operations – West	C

DHS ORDERS OF SUCCESSION AND ORDERS FOR DELEGATIONS OF AUTHORITIES

Position	Career Status
Operations Coordination, Office of	
1 Director	C
2 Deputy Director	C
3 Director, Current Operations Division	C
4 Director, National Operations Center	C
5 Chief of Staff	C

DHS ORDERS OF SUCCESSION AND ORDERS FOR DELEGATIONS OF AUTHORITIES

Position	Career Status
Partnership and Engagement, Office of	
1 Assistant Secretary	N
2 Assistant Secretary for State and Local Law Enforcement	N
3 Deputy Assistant Secretary, Intergovernmental Affairs	C
4 Deputy Assistant Secretary, Private Sector Office	N
5 Director of Local Affairs	C

DHS ORDERS OF SUCCESSION AND ORDERS FOR DELEGATIONS OF AUTHORITIES

Position	Career Status
Policy, Office of	
1 Assistant Secretary	S
2 Assistant Secretary for International Affairs and Chief Diplomatic Officer*	N
3 Principal Deputy Assistant Secretary	N
4 Assistant Secretary for Threat Prevention and Security Policy	N
5 Assistant Secretary for Border, Immigration, and Trade	N
6 Assistant Secretary for Cyber, Infrastructure, and Resilience	N
7 Assistant Secretary for Strategy, Plans, Analysis, and Risk	C
8 Deputy Assistant Secretary for Screening Coordination Office	C
9 Deputy Assistant Secretary for International Affairs	C

DHS ORDERS OF SUCCESSION AND ORDERS FOR DELEGATIONS OF AUTHORITIES

Position	Career Status
Privacy Officer, Chief	
1 Chief Privacy Officer	N
2 Deputy Chief Privacy Officer	C
3 Deputy Chief FOIA Officer	C
4 Senior Director, Privacy Compliance	C
5 Chief of Staff	C

DHS ORDERS OF SUCCESSION AND ORDERS FOR DELEGATIONS OF AUTHORITIES

Position	Career Status
Public Affairs, Office of	
1 Assistant Secretary	P
2 Principal Deputy Assistant Secretary	C
3 Deputy Assistant Secretary for Media Operations/Press Secretary	N
4 Deputy Assistant Secretary for Strategic Communications	N
5 Director of Communications	N
6 Chief of Staff	C
7 Director, Incident Communications	C

DHS ORDERS OF SUCCESSION AND ORDERS FOR DELEGATIONS OF AUTHORITIES

Position	Career Status
Science and Technology	
1 Under Secretary	S
2 Deputy Under Secretary*	C
3 Chief of Staff	C
4 Director, Finance and Budget Division	C
5 Director, Homeland Security Advanced Research Projects Agency	C
6 Director, Office of Support to the Homeland Security Enterprise and First Responders Division	C
7 Director, Capability Development Support Division	C
8 Director, Research and Development Partnerships	C
9 Director, Administrative Support Division	C
10 Deputy Chief of Staff	C
11 Deputy Director, Finance and Budget Division	C
12 Deputy Director, Homeland Security Advanced Research Projects Agency	C
13 Deputy Director, Office of Support to the Homeland Security Enterprise and First Responders Group	C
14 Deputy Director, Capability Development Support Division	C
15 Deputy Director, Research and Development Partnerships	C

DHS ORDERS OF SUCCESSION AND ORDERS FOR DELEGATIONS OF AUTHORITIES

Position	Career Status
Secret Service, United States	
1 Director	P
2 Deputy Director	C
3 Chief Operating Officer	C
4 Assistant Director - Protective Operations	C
5 Assistant Director - Investigations	C
6 Assistant Director - Government and Public Affairs	C
7 Assistant Director - Human Resources	C
8 Assistant Director - Professional Responsibility	C
9 Assistant Director - Strategic Intelligence and Information	C
10 Assistant Director - Training	C
11 Chief - Uniformed Division	C
12 Chief Counsel	C
13 Chief Technology Officer	C
14 Chief Financial Officer	C
15 Chief - Strategic Planning and Policy	C
16 Deputy Assistant Director(s) - Protective Operations	C
17 Deputy Assistant Director(s) - Investigations	C
18 Deputy Assistant Director(s) - Government and Public Affairs	C
19 Deputy Assistant Director(s) - Human Resources	C
20 Deputy Assistant Director(s) - Professional Responsibility	C
21 Deputy Assistant Director(s) - Strategic Intelligence and Information	C
22 Deputy Assistant Director(s) - Training	C
23 Deputy Assistant Director(s) - Technical Development and Mission Support	C
24 Deputy Assistant Director(s) - Strategic Planning and Policy	C
25 Special Agent in Charge - Washington	C
26 Special Agent in Charge - New York	C
27 Special Agent in Charge - Miami	C
28 Special Agent in Charge - Los Angeles	C

DHS ORDERS OF SUCCESSION AND ORDERS FOR DELEGATIONS OF AUTHORITIES

Position	Career Status
Transportation Security Administration	
1 Assistant Secretary/ Administrator	S
2 Deputy Administrator*	C
3 Chief of Operations	C
4 Assistant Administrator, Office of Security Operations	C
5 Assistant Administrator, Office of Law Enforcement/Federal Air Marshal Service	C
6 Assistant Administrator, Office of Global Strategies	C
7 Regional Director, Atlanta, Office of Security Operations	C
8 Regional Director, Dallas, Office of Security Operations	C
9 Federal Security Director, Denver International Airport	C
10 Federal Air Marshal/Supervisory Air Marshal in Charge, Los Angeles	C


**DESIGNATION OF FIRST ASSISTANTS FOR NON-COMPONENT HEAD PRESIDENTIAL
APPOINTEES WITH SENATE CONFIRMATION POSITIONS**

Position	Career Status
Chief Financial Officer (DHS)	
1 Chief Financial Officer	S
2 Deputy Chief Financial Officer*	C

**DESIGNATION OF FIRST ASSISTANTS FOR NON-COMPONENT HEAD PRESIDENTIAL
APPOINTEES WITH SENATE CONFIRMATION POSITIONS**

Position	Career Status
Deputy Administrator, Federal Emergency Management Agency (FEMA)	
1 Deputy Administrator, FEMA	S
2 Deputy Administrator, Protection and National Preparedness*	S
3 Associate Administrator, Mission Support	C
4 Deputy Associate Administrator, Office of Policy and Program Analysis	C
5 Region IX Administrator	C
6 Region VI Administrator	C

**DESIGNATION OF FIRST ASSISTANTS FOR NON-COMPONENT HEAD PRESIDENTIAL
APPOINTEES WITH SENATE CONFIRMATION POSITIONS**

Position	Career Status
	
1 Deputy Administrator, Protection and National Preparedness	S
2 Assistant Administrator, National Preparedness Directorate*	C
3 Assistant Administrator, Grant Programs	P
4 Assistant Administrator, National Continuity Programs	N

From: [Micone, Vincent](#)
Subject: FW: 2016-17 Presidential Transition Appointee Town Hall, October 18
Date: Monday, October 03, 2016 3:26:19 PM

SCAOs:

Below is the message sent to non-career appointees a short time ago.

Thanks,
Vince

Vince Micone
DHS Presidential Transition Officer
and Senior Counselor
Management Directorate
U.S. Department of Homeland Security
(202) 447-3400

From: Office of the Under Secretary for Management
Sent: Monday, October 03, 2016 3:08 PM
Subject: 2016-17 Presidential Transition Appointee Town Hall, October 18



**Homeland
Security**

Fellow Presidential Appointees,

With the election now six weeks away, I thought it would be helpful to provide an overview of our efforts to prepare for the Presidential Transition.

Earlier this year, we established the Presidential Transition Office and DHS Transition Council. This effort is led by a career SES, Vince Micone, and the DHS Transition Council is comprised of career representatives from the Department's Operational Components, Directorates, and Headquarters Offices. There has been close collaboration on key efforts to ensure that we are prepared to efficiently and effectively process departing appointees, and welcome and support the new Administration.

The Presidential Transition Office, in coordination with the White House Liaison Office, has scheduled a Town Hall for all appointees on **October 18th at 1:00 p.m. in the NAC Chapel**. The focus of the town hall is to inform all appointees on what they can expect, and will need to accomplish, as part of the transition process. The meeting is mandatory, so please schedule accordingly.

The upcoming Town Hall will provide comprehensive guidance for departing appointees to support them during their transition.

Thank you for your continued support of the Department and our efforts to secure our

homeland.

Sincerely,

Russ Deyo
Under Secretary for Management

From: Micone, Vincent
Subject: FW: 2016-17 Presidential Transition
Date: Monday, October 03, 2016 12:19:02 PM

SCAOs,

This is the leader alert transmitted to SES, TSES, SL, ST, and USCG Flag Rank. The all employee email will hit your email boxes shortly.

Thanks,
Vince

Vince Micone
DHS Presidential Transition Officer
and Senior Counselor
Management Directorate
U.S. Department of Homeland Security
(202) 447-3400

From: Office of the Under Secretary for Management
Sent: Monday, October 03, 2016 9:17 AM
Subject: 2016-17 Presidential Transition



**Homeland
Security**

Dear Colleagues,

With the election now six weeks away, I thought it would be helpful to provide an overview of our efforts to prepare for the Presidential Transition.

Earlier this year, we established a Presidential Transition Office (PTO) and DHS Transition Council. The PTO is led by a career SES, Vince Micone, and the DHS Transition Council is comprised of career representatives from the Department's Operational Components, Directorates, and Headquarters (HQ) Offices. The PTO has been working closely with component counterparts on a number of key efforts to ensure we are prepared to welcome and support the new Administration.

Through these efforts, we have made great progress. We have completed drafting overview briefing materials and strategic issue papers for the President-Elect's Agency Review Team and new appointees. Operational Components, Directorates, and HQ Offices are now preparing internal transition materials. We have also reviewed and updated the line of succession for all key leadership positions within the Department. During October, we will provide executive briefing sessions for career successors so they are prepared to act.

The Presidential Transitions Improvements Act, which passed Congress and was signed by the President this year, provides a structure for candidates to formally begin preparing

for a smooth transition well in advance of Election Day. Candidates have already identified leadership for their efforts and teams are being assembled. These actions will allow the President-elect to make key decisions and to prepare to govern earlier than in prior elections.

Later today I will be sending an email to all employees providing them with an update similar to the one I am providing to you. Also, an update will be provided on our transition efforts in Connected, the Department's monthly workforce newsletter.

I encourage you to include transition issues in your discussions with your subordinate leaders and employees. Given the operational nature of the Department, the daily work of our employees will be unaffected. However, a change in executive leadership can cause concern. It will also be helpful for you to remind employees of ethics guidance regarding activities during election periods. This guidance is available through Connect and your Ethics Official.

Finally, in late October, we plan to host a webinar to provide you with an update on transition efforts. Registration information will be sent to you in a few weeks.

Thank you for your continued support of the Department's Presidential transition efforts.

Sincerely,

Russ Deyo
Under Secretary for Management

From: Office of the Under Secretary for Management
Subject: 2016-17 Presidential Transition
Date: Monday, October 03, 2016 12:18:02 PM



Homeland Security

Dear Colleagues,

On November 8, 2016, the American people will elect our next President. Seventy-three days later, that President will take office in a peaceful transfer of power that is a hallmark of our American democracy.

To ensure that the Presidential transition is efficient and organized, every federal agency is undertaking a meticulous planning process. This includes preparing materials to guide the incoming Administration, as well as preparing the organization for any changes that may occur when the next President takes office.

Early this year, we established a Presidential Transition Office and Departmental Transition Council to undertake this challenging but essential task. In the coming weeks and months, transition leadership will prepare materials for the incoming leadership, ensure a smooth transition for outgoing and incoming non-career Presidential appointees, and welcome the President-elect's review team so they may prepare the new Administration to govern. Through these efforts, we will ensure continuity of operations and facilitate a seamless transition from the current Administration to the next Administration.

Employees in DHS contribute every day to safeguard our nation during this election season. For example, the U.S. Secret Service protects the candidates and their families every day. FEMA is working with interagency partners to prepare training exercises for the new Administration. NPPD is providing assistance to state and local officials to protect election systems from cyber intrusions. Employees from all Components contribute to these and other mission-critical efforts.

During the coming months, updates on transition preparations will be shared in our monthly employee e-newsletter, *Connected*. You can also visit [Connect](#) and your Component's intranet page for additional information.

Your support will enable the Department to continue to deliver our mission – with honor and integrity, safeguarding the American people, our homeland, and our values. Thank you for your continued hard work and support.

Sincerely,

Russ Deyo
Under Secretary for Management

From: Micone, Vincent
Subject: Successors Message and Ready to Act Executive Brief
Date: Monday, October 03, 2016 10:14:04 AM
Attachments: Delegation 0106, Revision 06, DHS Orders of Succession and Delegations o....pdf
Copy of RSVP List for Executive Sessions 2016 09 29v2.xlsx

FOR OFFICIAL USE ONLY

SCAOs:

Today and tomorrow, you will see several messages related to the Presidential Transition transmitted under the USM's signature.

- An email was to all **senior leaders** this morning and an **all-employee** message outlining the Department's transition efforts will be sent early this afternoon.
- An email will be sent to all **non-career officials** appointees late this afternoon inviting them to attend the Town Hall that will provide them with transition guidance and information specific to departing appointees. The Town Hall will be held on October 18th at the NAC Chapel from 1 to 3 pm.
- Additionally, a series of articles in the **Connected** e-newsletter will begin with this month's edition and continue through February. The October connected will be sent by Wednesday of this week.

Copies of the senior leader and non-career emails will be forwarded to you.

Tomorrow, we will send out an invitation for all **career successors** to participate in a mandatory **Ready to Act: Executive Brief**.

- All personnel identified in the attached list are required to attend one of the four sessions being offered this month (details will be included in the invitation).
- The invite list reflects career positions and names identified in the attached Order of Succession Delegation signed by S1 on September 14th and the organization charts you submitted for RFI 1 respectively.
- SCAOs are also required to attend one of the sessions.
- **Please review your organization's section and verify the names and associated positions are accurate. Please notify Greg Halter and Scott Horowitz if you see any discrepancies ASAP.**

The Succession Delegation has been posted on Connect as of today. The list of names should not be distributed and is for your use in validating your components successors. Please note that you are included in this list. If you receive any questions about the delegation, please reach out to Bion, Jim, or myself.

Thanks for your assistance!

Vince

Vince Micone
DHS Presidential Transition Officer
and Senior Counselor
Management Directorate
U.S. Department of Homeland Security
(202) 447-3400

DRAFT - DRAFT - DRAFT

(b)(5)

Russ Deyo
Under Secretary for Management

From: Office of the Under Secretary for Management
Subject: 2016-17 Presidential Transition
Date: Monday, October 03, 2016 9:16:54 AM



Homeland Security

Dear Colleagues,

With the election now six weeks away, I thought it would be helpful to provide an overview of our efforts to prepare for the Presidential Transition.

Earlier this year, we established a Presidential Transition Office (PTO) and DHS Transition Council. The PTO is led by a career SES, Vince Micone, and the DHS Transition Council is comprised of career representatives from the Department's Operational Components, Directorates, and Headquarters (HQ) Offices. The PTO has been working closely with component counterparts on a number of key efforts to ensure we are prepared to welcome and support the new Administration.

Through these efforts, we have made great progress. We have completed drafting overview briefing materials and strategic issue papers for the President-Elect's Agency Review Team and new appointees. Operational Components, Directorates, and HQ Offices are now preparing internal transition materials. We have also reviewed and updated the line of succession for all key leadership positions within the Department. During October, we will provide executive briefing sessions for career successors so they are prepared to act.

The Presidential Transitions Improvements Act, which passed Congress and was signed by the President this year, provides a structure for candidates to formally begin preparing for a smooth transition well in advance of Election Day. Candidates have already identified leadership for their efforts and teams are being assembled. These actions will allow the President-elect to make key decisions and to prepare to govern earlier than in prior elections.

Later today I will be sending an email to all employees providing them with an update similar to the one I am providing to you. Also, an update will be provided on our transition efforts in *Connected*, the Department's monthly workforce newsletter.

I encourage you to include transition issues in your discussions with your subordinate leaders and employees. Given the operational nature of the Department, the daily work of our employees will be unaffected. However, a change in executive leadership can cause concern. It will also be helpful for you to remind employees of ethics guidance regarding activities during election periods. This guidance is available through [Connect](#) and your Ethics Official.

Finally, in late October, we plan to host a webinar to provide you with an update on transition efforts. Registration information will be sent to you in a few weeks.

Thank you for your continued support of the Department's Presidential transition efforts.

Sincerely,

Russ Deyo
Under Secretary for Management

From: [Renaud, Tracy L](#)
To: [Scialabba, Lori L](#)
Subject: RE: Executive Briefing for Successors
Date: Monday, September 26, 2016 8:14:54 PM

Great...I can't wait.

Tracy L. Renaud
Associate Director, Management
U.S. Citizenship and Immigration Services
Department of Homeland Security
202-272-1739 (office)

From: Scialabba, Lori L
Sent: Monday, September 26, 2016 7:53:50 PM
To: Renaud, Tracy L
Subject: RE: Executive Briefing for Successors

CTABs are scary as hell.

From: Renaud, Tracy L
Sent: Friday, September 23, 2016 1:36 PM
To: Scialabba, Lori L
Cc: Farnam, Julie E; Prater, Jocelyn S
Subject: FW: Executive Briefing for Successors

Lori,

In addition to the prep session below, you will also be receiving an invitation for a mandatory 30-minute session in early November that will be for career successors for heads of components where you will receive guidance and direction from the Secretary. I have added Jocelyn to this message for her awareness. They are also working with I&A on putting together a CTAB prep session which will occur in October. I don't know that you need it for yourself, but in my opinion your attendance could be beneficial to others as you would be able to provide some real-life input since you routinely attend CTAB. I believe I will need to attend the CTAB session as the Acting D2 designee.

*Tracy L. Renaud
Associate Director
Management Directorate
US Citizenship & Immigration Services
Department of Homeland Security
202-272-1739 (desk)*

From: Renaud, Tracy L
Sent: Friday, September 23, 2016 1:15 PM
To: 'Scialabba, Lori L (Lori.Scialabba@uscis.dhs.gov)'; Langlois, Joseph E (Joseph.Langlois@uscis.dhs.gov); Neufeld, Donald W; 'Renaud, Daniel M

(Daniel.M.Renaud@uscis.dhs.gov); Cowan; Robert M
Cc: USCIS Presidential Transition; Farnam, Julie E
Subject: Executive Briefing for Successors

Lori, Joe, Don, Dan and Rob,

I was informed today that the Secretary signed off on the Department's Leadership Succession earlier this month and it has been sent on to WH/OMB. The Secretary did not take this task lightly and what was scheduled to be a 15-minute briefing with him on the targeted successor plan ended up lasting about 75 minutes. I was verbally informed that the USCIS order of succession was not modified. For your awareness, the succession planning that USCIS has had in place for the last couple of years continues to be the order of succession for times when the Director is unable or unavailable to perform his duties is as follows:

1. Deputy Director (Lori Scialabba)
2. Associate Director Management (Tracy Renaud)
3. Associate Director RAI0 (Joseph Langlois)
4. Associate Director SCOPS (Donald Neufeld)
5. Associate Director FOD (Daniel Renaud)
6. Director, NBC (Robert Cowan)

While this order of successors is **not** directly related to Presidential Transition you can easily understand why it is important to have this in place during the transition and have all those identified as successors ready to act should any event occur during the transition and as we prepare for transition. To that end, the DHS Presidential Transition Team will be hosting a 90-minute session to provide an executive briefing to all career successors across DHS which will include: transition update, COOP, COG, emergency management and preparing for the new Administration. There will be four opportunities throughout the month of October for you to participate in one of these sessions, currently the planned dates are as follows:

- October 14th at 10:00 in the DHS OCHCO conference room
- October 20th at 10:00 in the DHS OCHCO conference room
- October 21st at 10:00 Webinar
- October 31st at 1:30 at the NAC

You will be receiving the invitation directly but I wanted to give you a heads up so you understand why you have been invited to attend when the invitation comes to you. If you have any questions please let me or Julie know.

Tracy L. Renaud
Associate Director
Management Directorate

US Citizenship & Immigration Services
Department of Homeland Security
202-272-1739 (desk)

From: [Beagles, James](#)
To: [PTO Master Distro](#)
Subject: Ready to Act Framework
Date: Friday, September 23, 2016 3:37:53 PM
Attachments: [Ready to Act Framework 9-23-16.docx](#)

Attached is the ready to Act Framework we discussed at today's SCAO meeting.

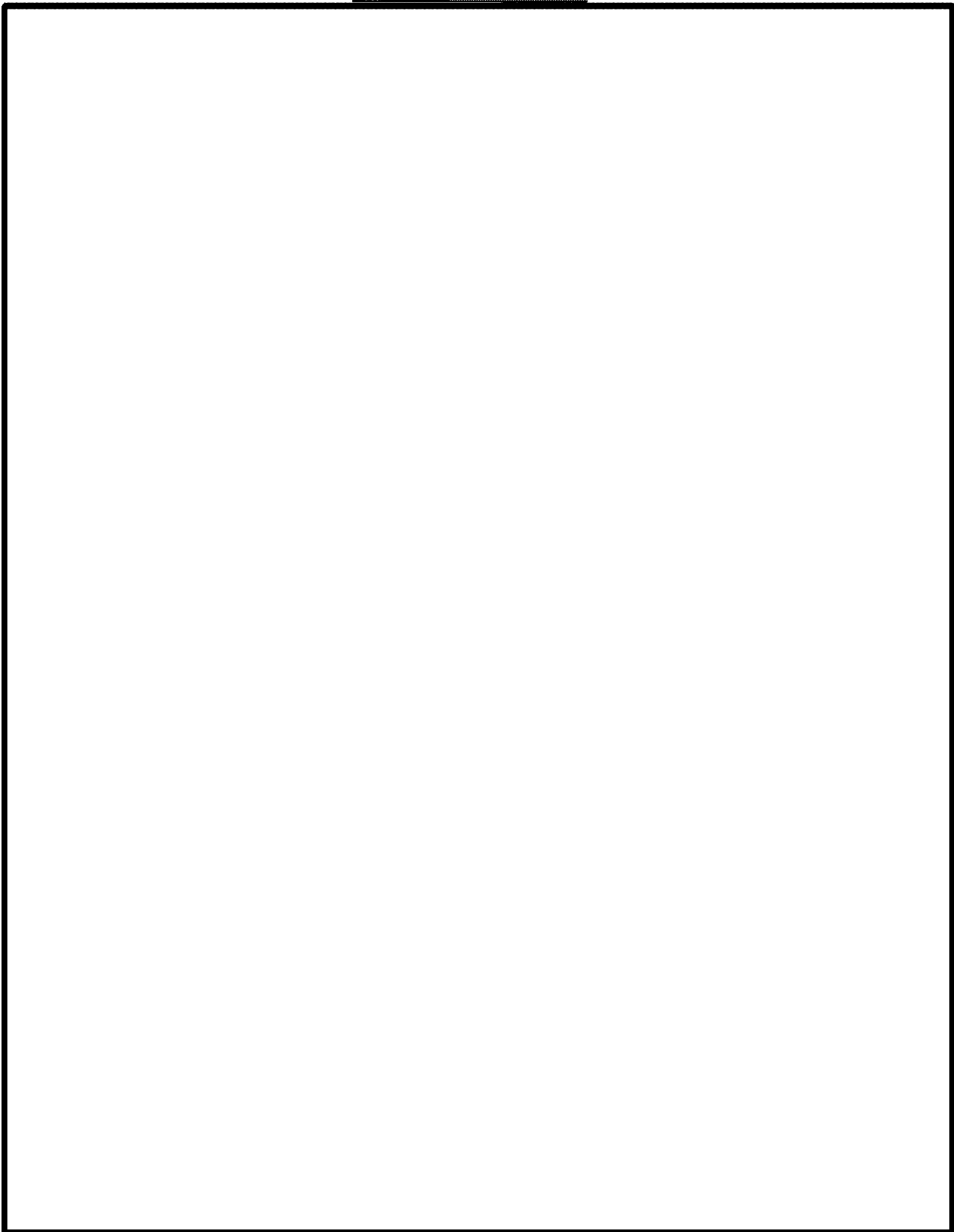
Have a great weekend,

Jim

James M. Beagles
Chief of Staff
DHS Presidential Transition Office
Office: 202-282-9392
Cell: 202-577-5238

(b)(5)

2016 Presidential Transition



From: Renaud, Tracy L
To: Vanison, Denise
Subject: RE: Presidential Transition
Date: Friday, September 23, 2016 1:39:00 PM

Yes, I wanted you to be aware but it isn't mandatory that the political attend.

Tracy L. Renaud
Associate Director
Management Directorate
US Citizenship & Immigration Services
Department of Homeland Security
202-272-1739 (desk)

From: Vanison, Denise
Sent: Friday, September 23, 2016 1:38 PM
To: Renaud, Tracy L
Subject: RE: Presidential Transition

Are the political SESs exempted from this, Tracy?

Denise Vanison
Chief, Office of Policy and Strategy
U.S. Citizenship and Immigration Services
Department of Homeland Security
(202) 272-1496

From: Renaud, Tracy L
Sent: Friday, September 23, 2016 6:30:22 PM
To: USCIS_SES_ALL
Cc: USCIS Presidential Transition; Farnam, Julie E
Subject: Presidential Transition

USCIS Executives,

As you know, I have been designated as the USCIS Senior Component Accountable Official (SCAO) for the Presidential Transition efforts and Julie Farnam has been designated as the USCIS Component Action Officer (CAO). To date, our activities have been primarily revolving around preparation of documentation that we would use to in-brief the new Administration on the state of the agency, agency mission and key issues that we are dealing with. However, we do anticipate that there will be increased activity as we enter into the month of October. As part of the Department-wide efforts related to transition, the DHS Presidential Transition Office will be hosting a Webinar for DHS Senior Leaders during the month of October. That group will include all SES members from USCIS. The topic will be "Preparing for a New Administration" and will include discussion surrounding how career executives can prepare for a change in administration; how executives can prepare their staff and general strategies for effectively working with the new administration. When the date/time is firmed up you should receive an invitation directly from DHS, but I wanted to

give you a heads up so you understand why you are receiving the invitation. Please bear in mind that this will include all ~700 executives across DHS so when you receive the invitation it should not be further disseminated to non-executive staff.

If you have any question regarding this or transition efforts in general please feel free to reach out to me or Julie directly or through our mailbox at USCISPresidentialTransition@uscis.dhs.gov.

Tracy L. Renaud
Associate Director
Management Directorate
US Citizenship & Immigration Services
Department of Homeland Security
202-272-1739 (desk)

From: Stewart, Bion
To: Scanlon, Julie; Vogt, Anthony J RDML; Hess, David; Rahilly, Lyn M; Bibb, David; Renaud, Tracy L; ROACH, LEWIS S; Micone, Vincent; Baden, Tim; Wiemers, Todd C CAPT; PARAMORE FARON K; Bartholomew, Heather; FRIEL, MICHAEL J; McKean, Wendy C
Subject: Presidential Transition Office - ART Leadership Briefs
Date: Friday, September 23, 2016 9:04:59 AM

Thank you all for taking the time to discuss the leadership briefs yesterday. I found it very helpful to frame our approach and recommendations for the ART. I will be pulling together the framework in the next week or so to share with the group and we can move forward from there to refine and standardize for your and your principal's use.

For the Coast Guard and Secret Service - one thought that popped into my head yesterday (because obviously I have nothing better to think about) which may or may not be of value is the other Components will have trusted champions of the new Administration and the Department placed into senior leadership positions. In many ways this will be an advantage in terms of influencing and aligning priorities with the new Administration. You will not have the same "advantage" when it comes to leveraging an established relationship and particularly trust with the new Administration from the onset. This may make the first engagements you have with the ART even more critical to ensure you not only inform the new Administration of your organization's priorities and challenges, but begin the process of building trust and influence moving forward. Just a random thought.

V/R,

Bion

Bion Stewart
Deputy Presidential Transition Officer
Department of Homeland Security
202-282-9125

From: USCIS Presidential Transition
To: USCIS Exec Sec
Cc: Button, Maria G (Gemma); Renaud, Tracy L
Subject: FW: Presidential Transition Office - Strategic Issue Papers
Date: Monday, September 19, 2016 12:42:03 PM
Attachments: Strategic Issue Paper Assignments.xlsx
Issue Paper FormatV3.docx
Presidential Transition Strategic Issue Paper Topic ListV2.docx

Hi Johnnetta,

Here's the original tasking from DHS. Although all of the issue papers listed in the attachment will likely be sent through the Exec Sec for final clearance we would like to make sure our leadership is good with our joint USCIS/CBP and USCIS/I&A papers now.

Thank you,
Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
(c) 202-489-8802

This communication, along with any attachments, may contain confidential information and is covered by federal laws governing electronic communications. Electronic communications may also be monitored by the Department of Homeland Security, U.S. Citizenship and Immigration Services. If the reader of this message is not the intended recipient, you are hereby notified that any dissemination, distribution, use, or copying of this message is strictly prohibited. If you have received this in error, please delete this message and all attachments and immediately notify the sender.

From: Stewart, Bion
Sent: Monday, August 15, 2016 2:02 PM
To: PTO Master Distro
Subject: Presidential Transition Office - Strategic Issue Papers

Transition Colleagues,

As previously conveyed, the PTO is providing you with an advance look at the DMAG-approved Strategic Issue Paper topic list. We are providing this advance look so co-leads may identify appropriate program leads, plan coordination, and begin drafting at your discretion. The PTO is working on scheduling time to brief S1/S2, and once the list receives final approval, a formal tasking will be sent out via ExecSec. The PTO will also highlight any S1 / S2 changes to the list at that time. The projected due date for the issue paper drafts is **COB September 21st** (a change from our original timeline of 9/15). We are still targeting finalizing all issue papers by **October 1st**, and will continue to monitor workload and timelines and make adjustments as necessary.

Guidance:

- The attached spreadsheet identifies the issue paper topics (as modified / amended by the DMAG), co-leads, a brief description of the paper based on the nominations, and requested

consultations. Co-leads were identified based on the subject matter, nomination submissions, and assessment by the PTO. Requested consultations were identified in a similar fashion. SCOAs are responsible for coordinating paper development in consultation with their co-lead counterparts and working with consulting.

- Components or Offices who wish to change the designated co-leads for any topic may request a change after consultation with the designated or prospective co-leads as appropriate and an agreement is reached. The PTO will not entertain a unilateral request for a change of co-leads. Please notify the PTO via email of the agreed-upon change with all involved SCAOs included.
- Components or Offices who wish to provide input or request to consult on any strategic issue paper may request so through the designated co-leads. Co-leads are encouraged to collaborate with requested consulting Components and Offices to the greatest extent practicable.
- Co-leads are responsible for the content of the strategic issue papers including accepting or rejecting input from other Components and Offices at their discretion. Co-leads are also responsible for ensuring the draft is cleared by the designated requested consulting Components and Offices at a minimum prior to submitting to the PTO. Co-leads may coordinate review/clearance with other Components and Offices at their discretion. Due to the volume of papers and the timeline, not all Components and Offices will have an opportunity to review and clear on all strategic issue papers. This "pre-clearance" process will help facilitate a reasonable review and clearance process within the available timeline. Additional information regarding finalizing strategic issue papers will be provided at a later date.
- Issue papers are limited to **three pages of text** using the attached format unless otherwise noted. Co-leads are encouraged to include graphs, tables, and/or pictures as appropriate, which will not be counted against the page limit. The strategic issue paper format is based largely on the format used for S1 hearing preparations. The purpose of these papers is not to make the reader a subject matter expert, but to provide the incoming leadership with the **most critical information** they should know on these topics in their first 30-60 days. Please ensure the papers focus **only** on the key components of the issue and are drafted for S1 / S2 or Component / Office Head consumption. If it is not possible to reasonably convey the critical information in three pages of text, please contact the PTO to discuss options. The expectation is the incoming leadership will request additional detail and briefings on these topics as desired.
- These papers are not intended for the transition team, but for incoming appointees so the papers may be FOUO or LE Sensitive if necessary (unclassified preferred if possible). If a co-lead determines an issue paper must be classified, please contact the PTO to discuss.

The PTO will send an invite for a conference call in the next couple of days to discuss the way ahead and answer any questions you may have about the strategic issue papers.

I've also attached a briefing paper capturing all the feedback received from the DMAG as well as a bucketed list of topics and co-leads for easier reference.

Thank you once again for your support and tremendous efforts.

V/R,

Bion

Bion Stewart
Deputy Presidential Transition Officer
Department of Homeland Security
202-282-9125

DHS Transition Issue Paper Format

“Topic”

OVERVIEW

- Key bullets describing the issue, including the outcomes we hope to achieve for the American public
- Briefly describe why this issue is important for leadership visibility
- What are the trends/drivers requiring a change in operational posture, policy, and/or resource allocation?
 - Trend 1- legislative changes, OIG/GAO findings, etc.
 - Trend 2 – evolving threats, strategic environment, etc.
- What are the major risks associated with this issue space?
- Briefly describe the potential courses of action to address this issue and when action is needed
 - Course of Action 1
 - Course of Action 2
 - Course of Action 3

DETAILED DISCUSSION

Role of DHS in “topic”

- Where do DHS missions align with or impact this issue?
 - Mission / relationship
 - Mission / relationship
 - Mission / relationship

Issue Background

- Present relevant qualitative and quantitative information / data to support an understanding of the issue (e.g., flows, demographics, trends)

Courses of Action

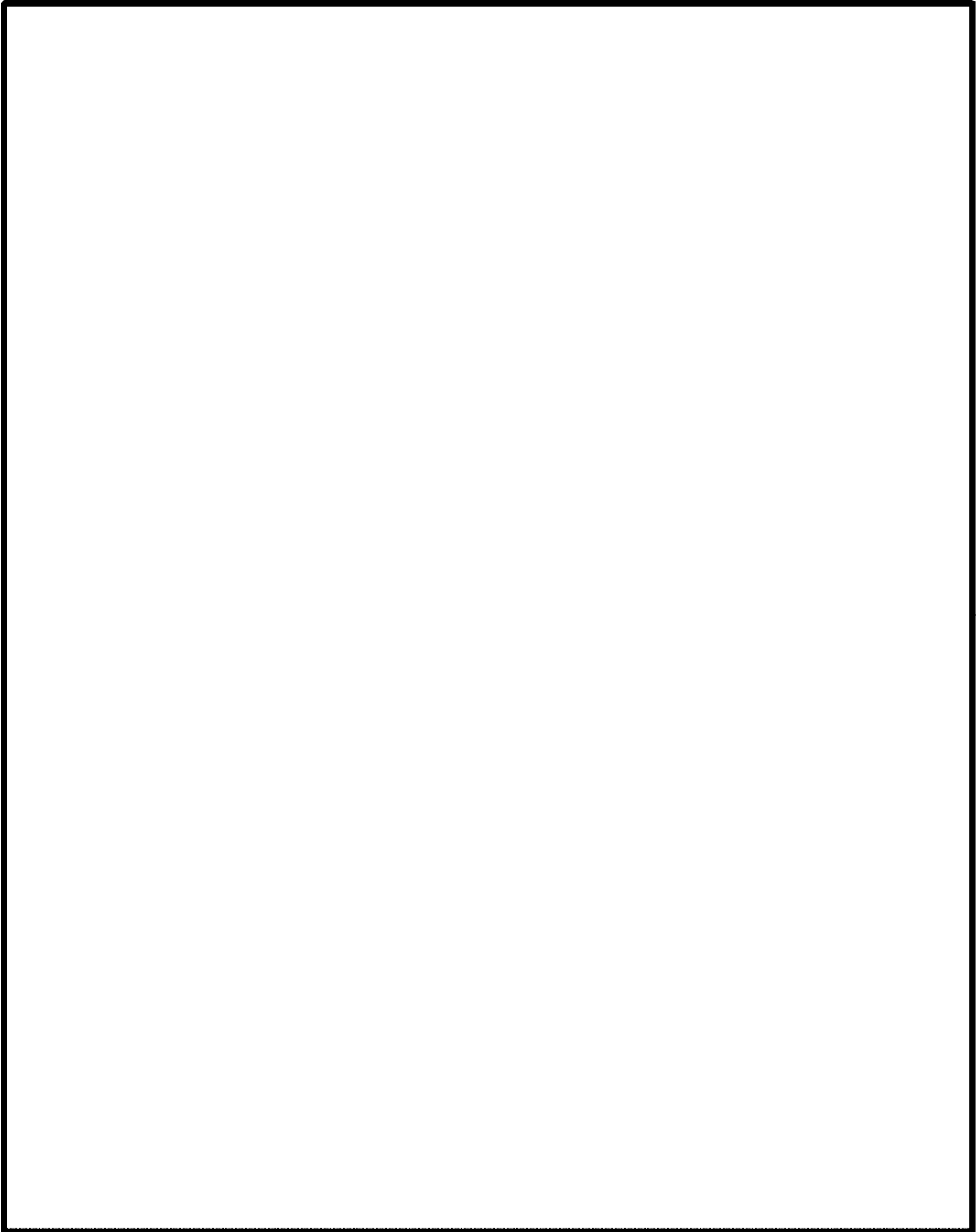
- More fully describe the potential courses of action to address this issue, its pros, cons, and associated risks (e.g., operational, policy, partnerships, and resources). Consider changes to existing legislative authorities, regulations, and/or policies needed to better address this issue. Present quantitative data to support an understanding of the potential courses of action
 - Status Quo
 - Course of Action 1
 - Course of Action 2
 - Course of Action 3

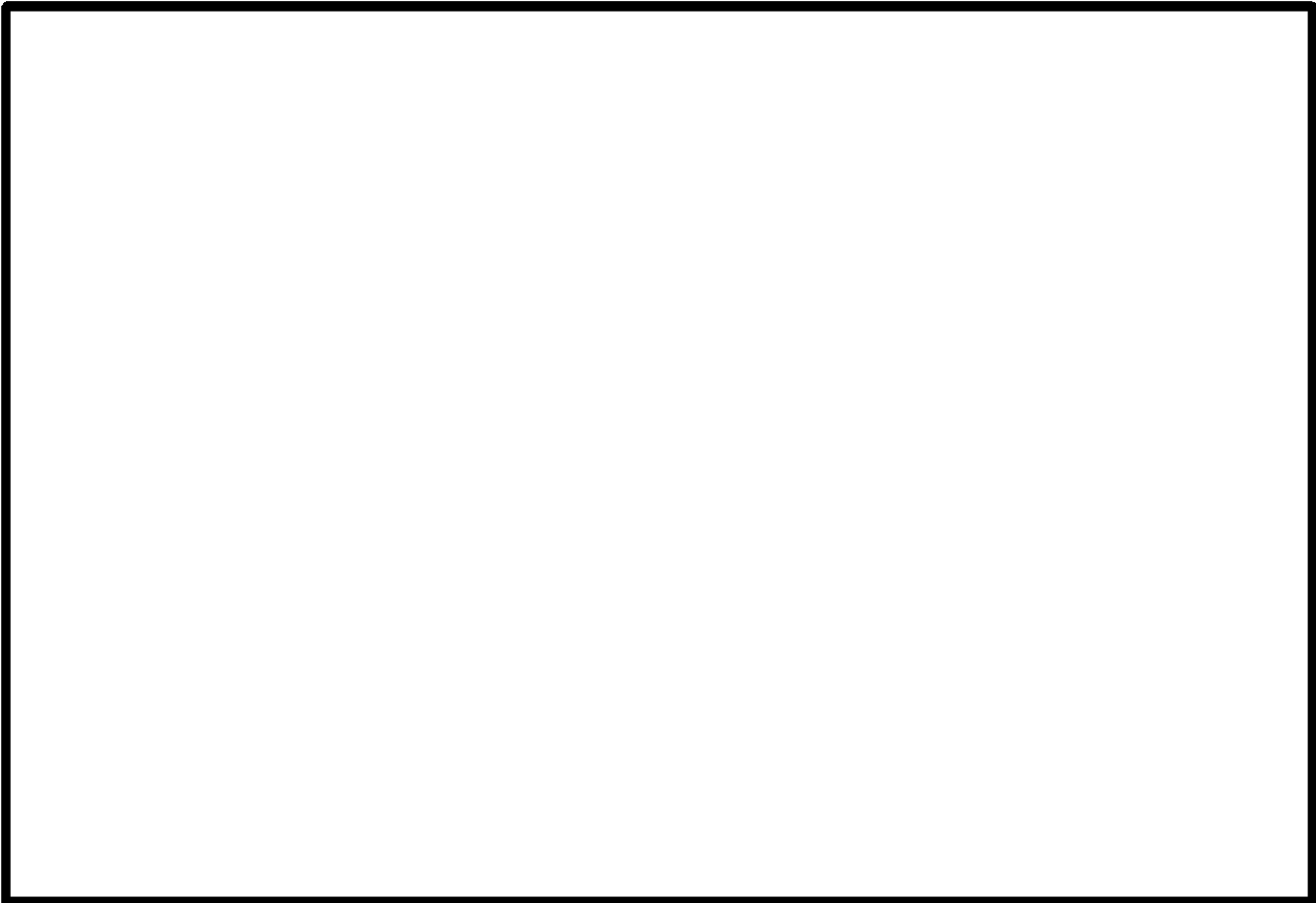
Key Partnerships

- What key stakeholders / partners are affected by this issue and how?
Consider:
 - Federal
 - SLTT
 - International
 - NGO
 - Public / Private

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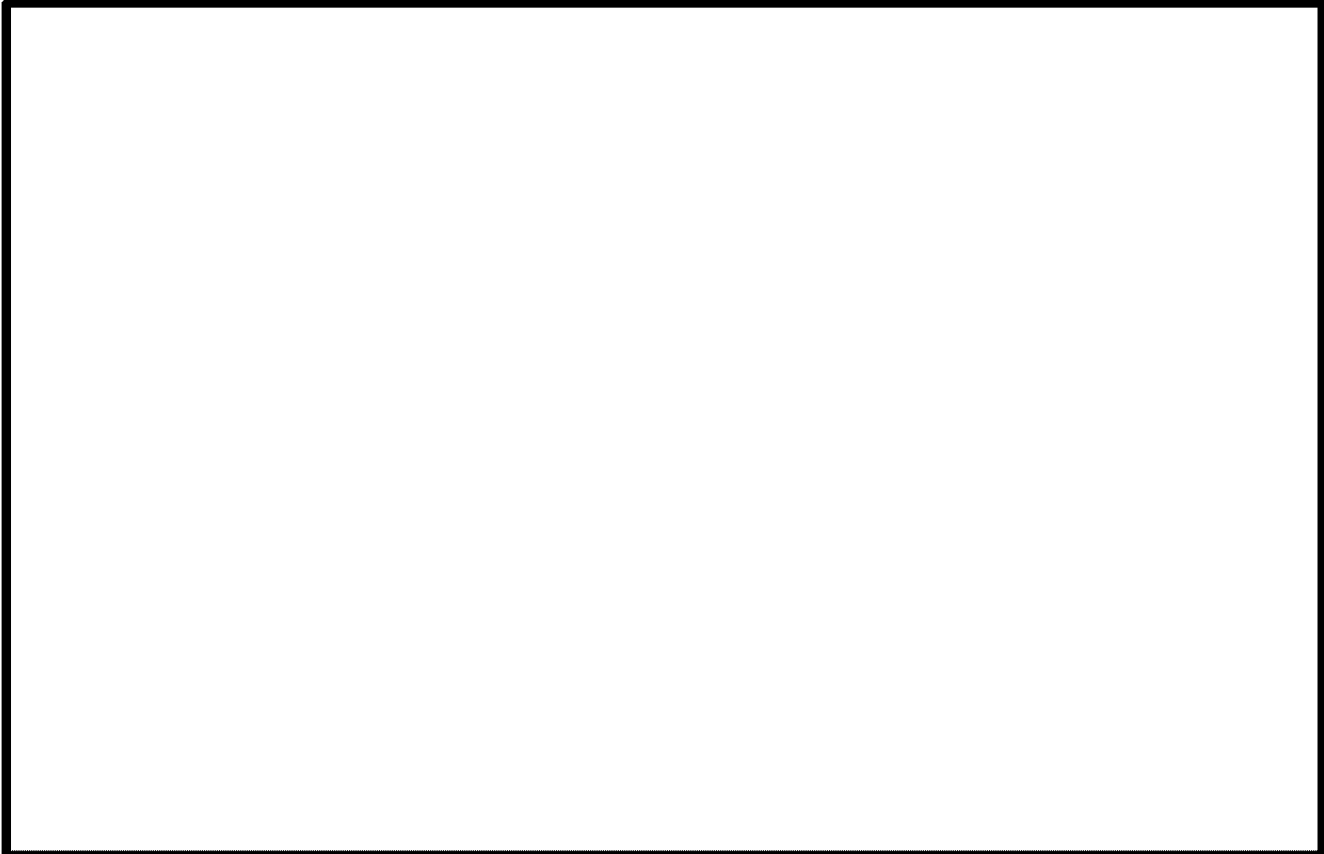
Presidential Transition Strategic Issue Paper Topic List



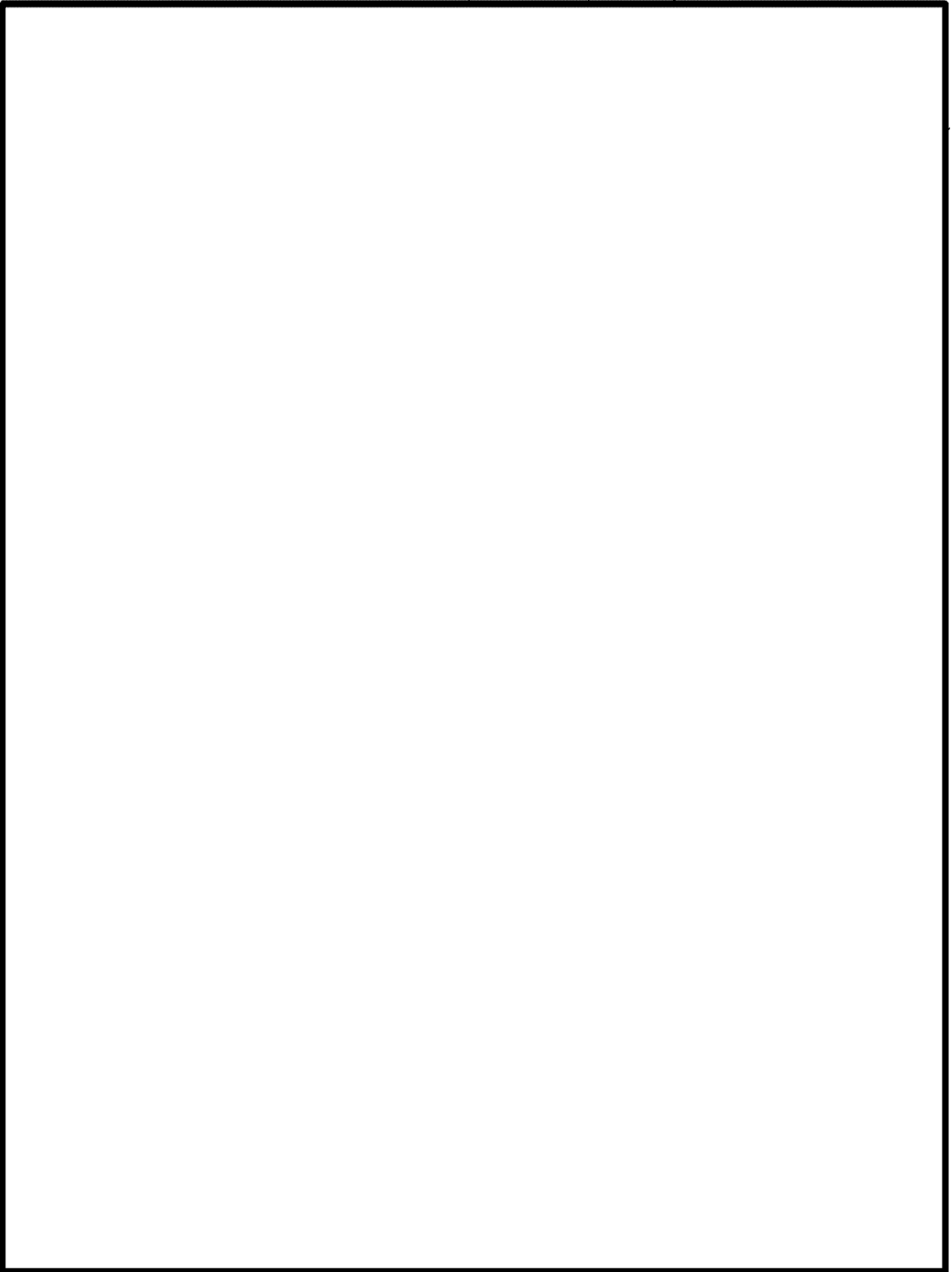


Strategic Issue Papers

Policy and Operations



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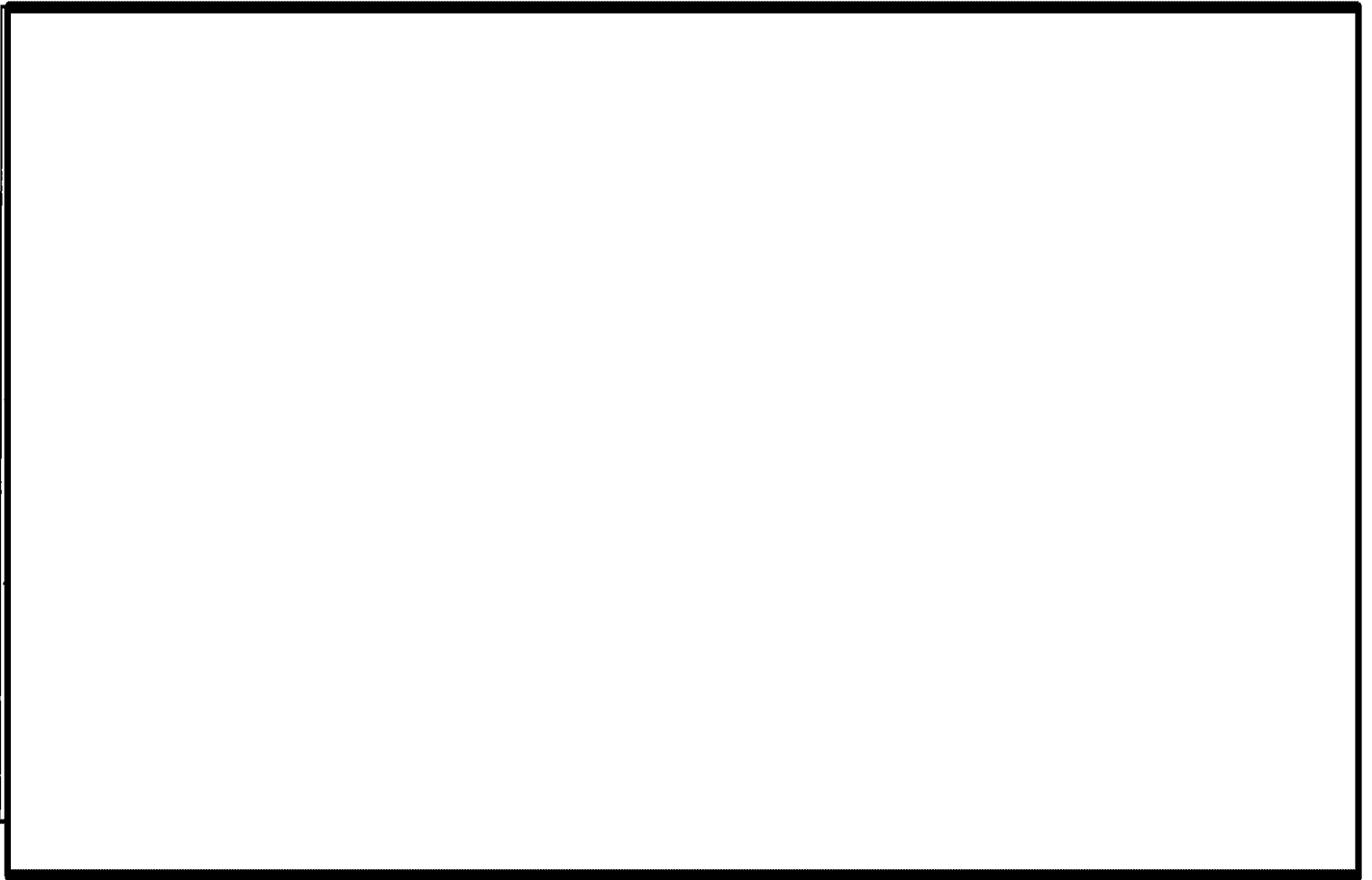


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Topic	Summary	Co-Lead	Co-Lead	Requested Consultation
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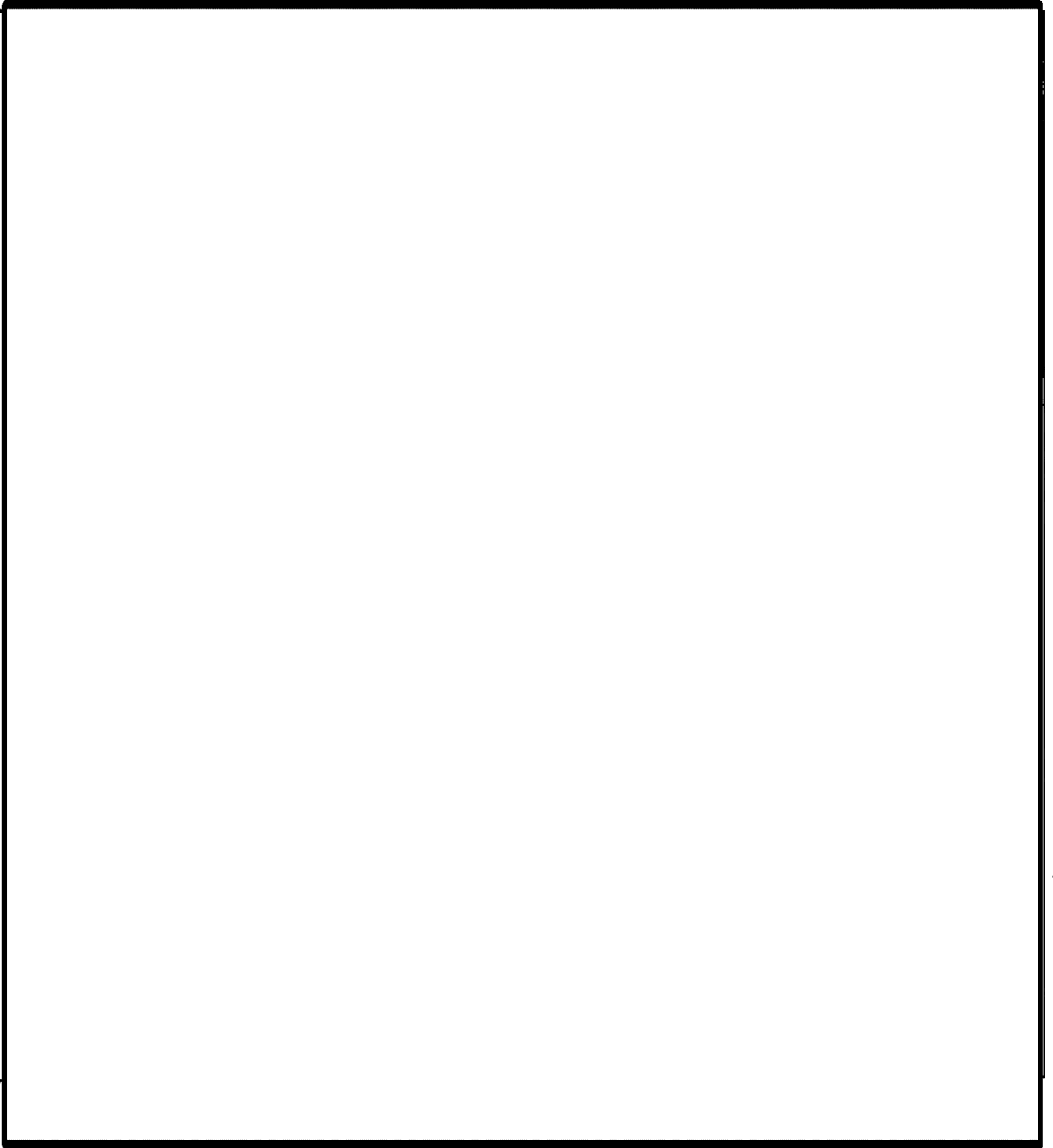
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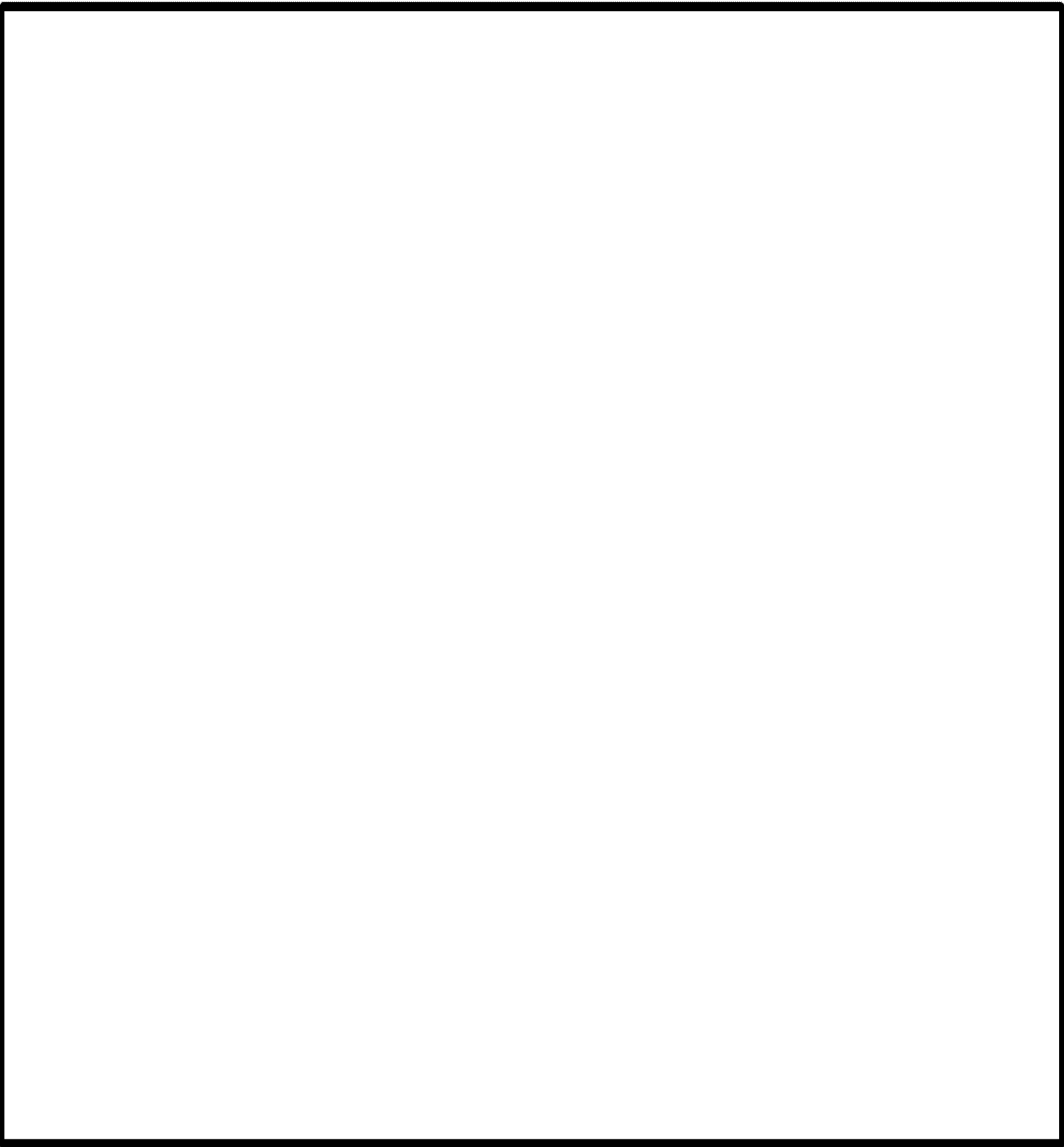
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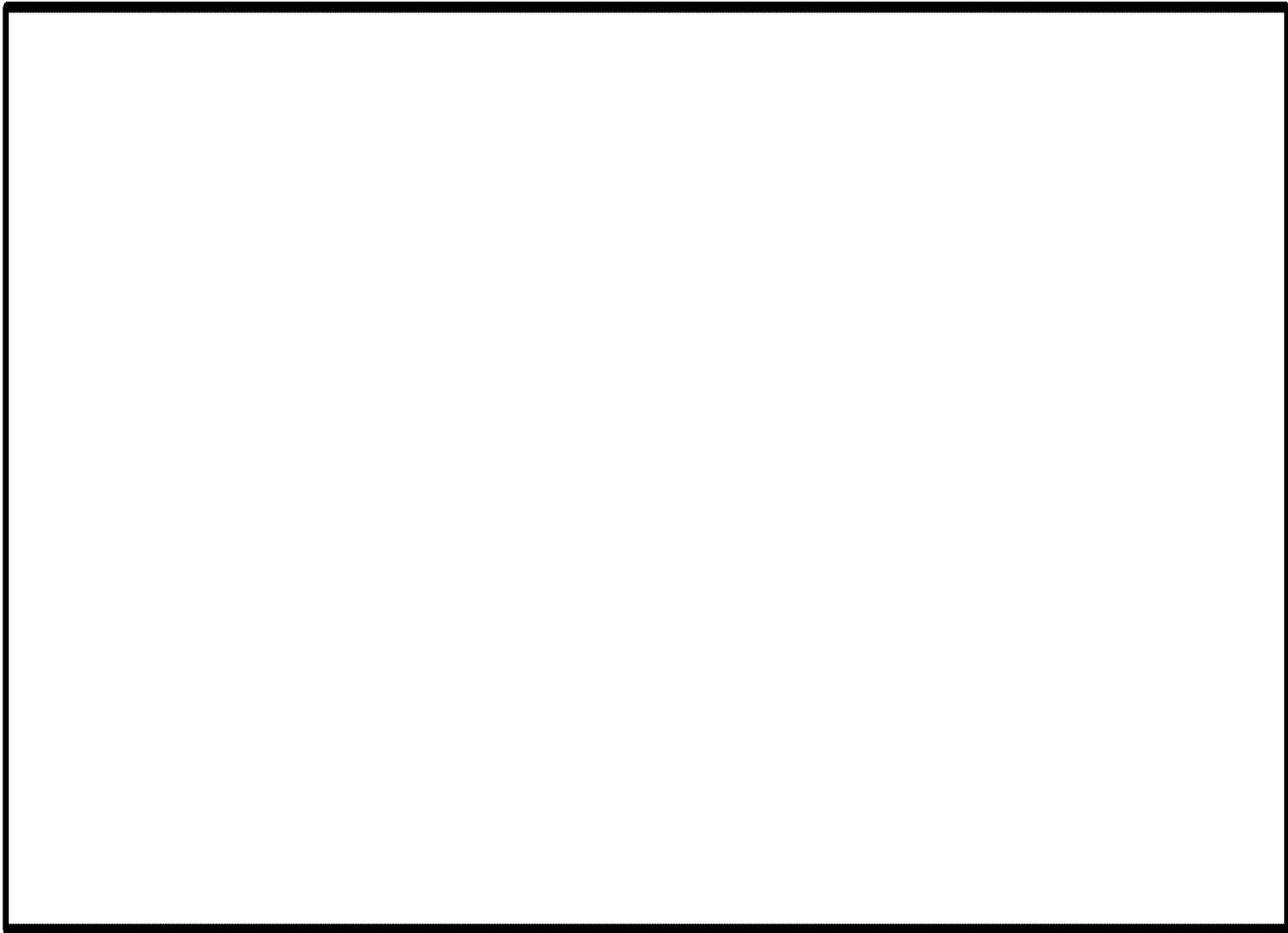
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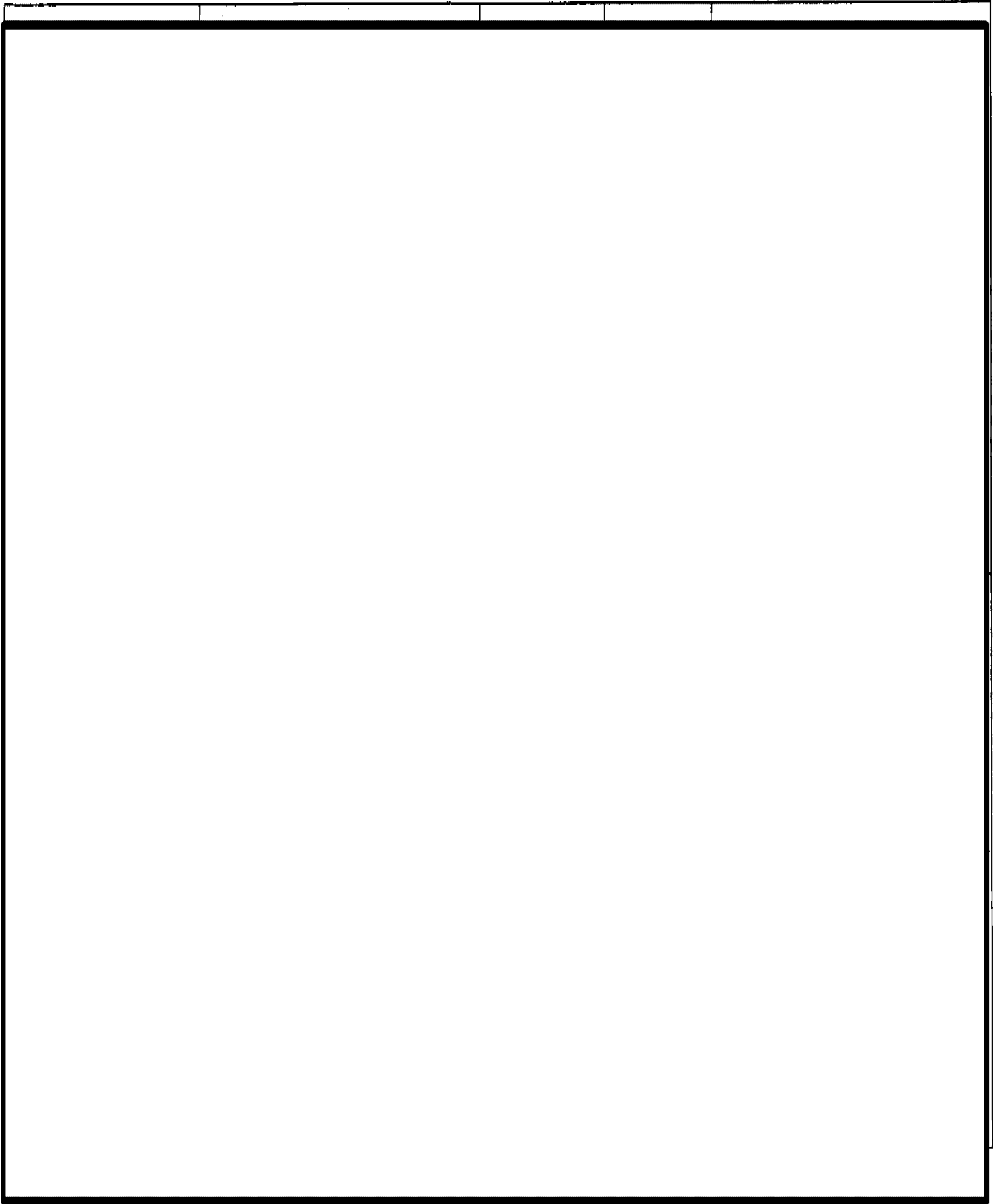
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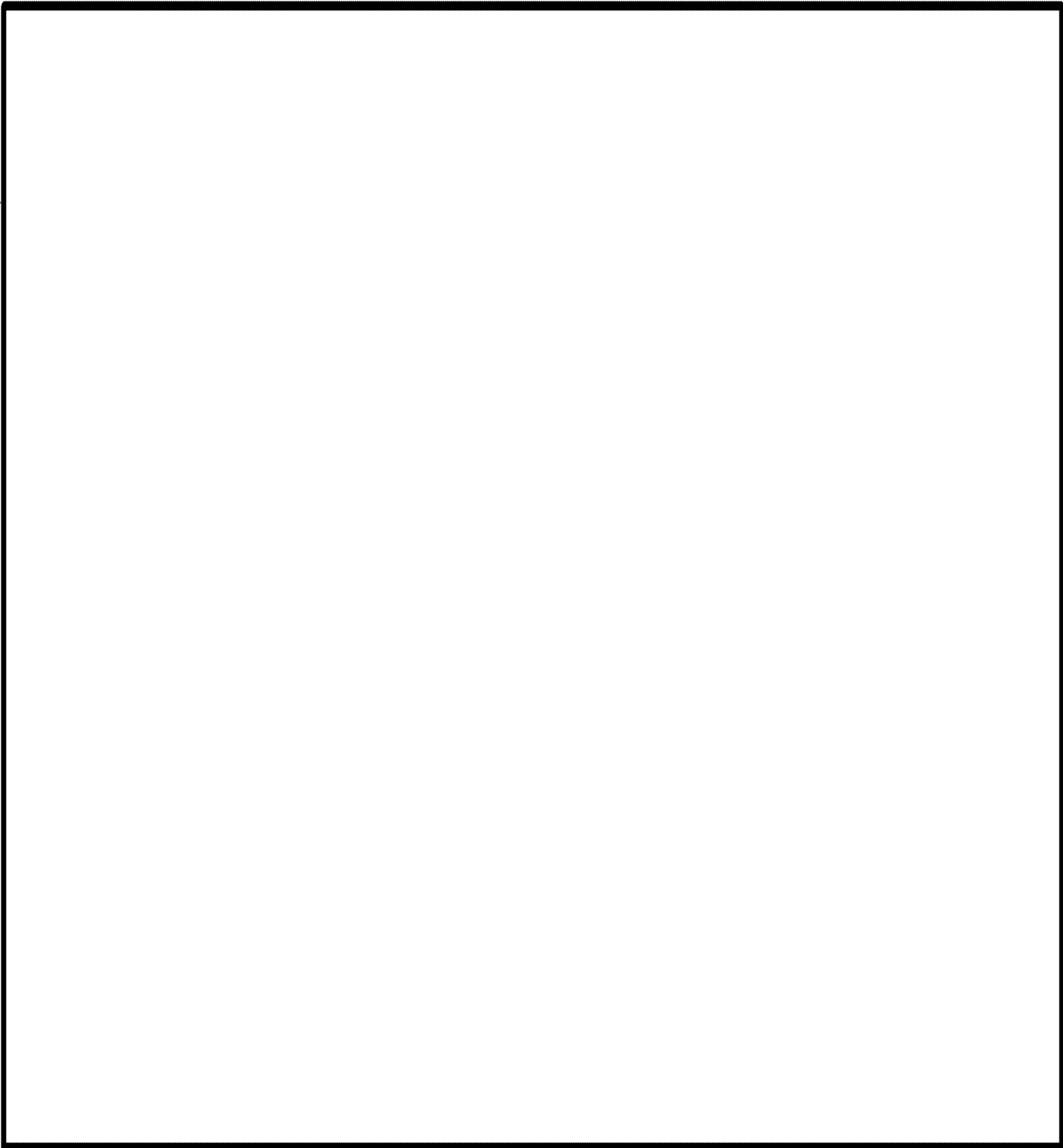
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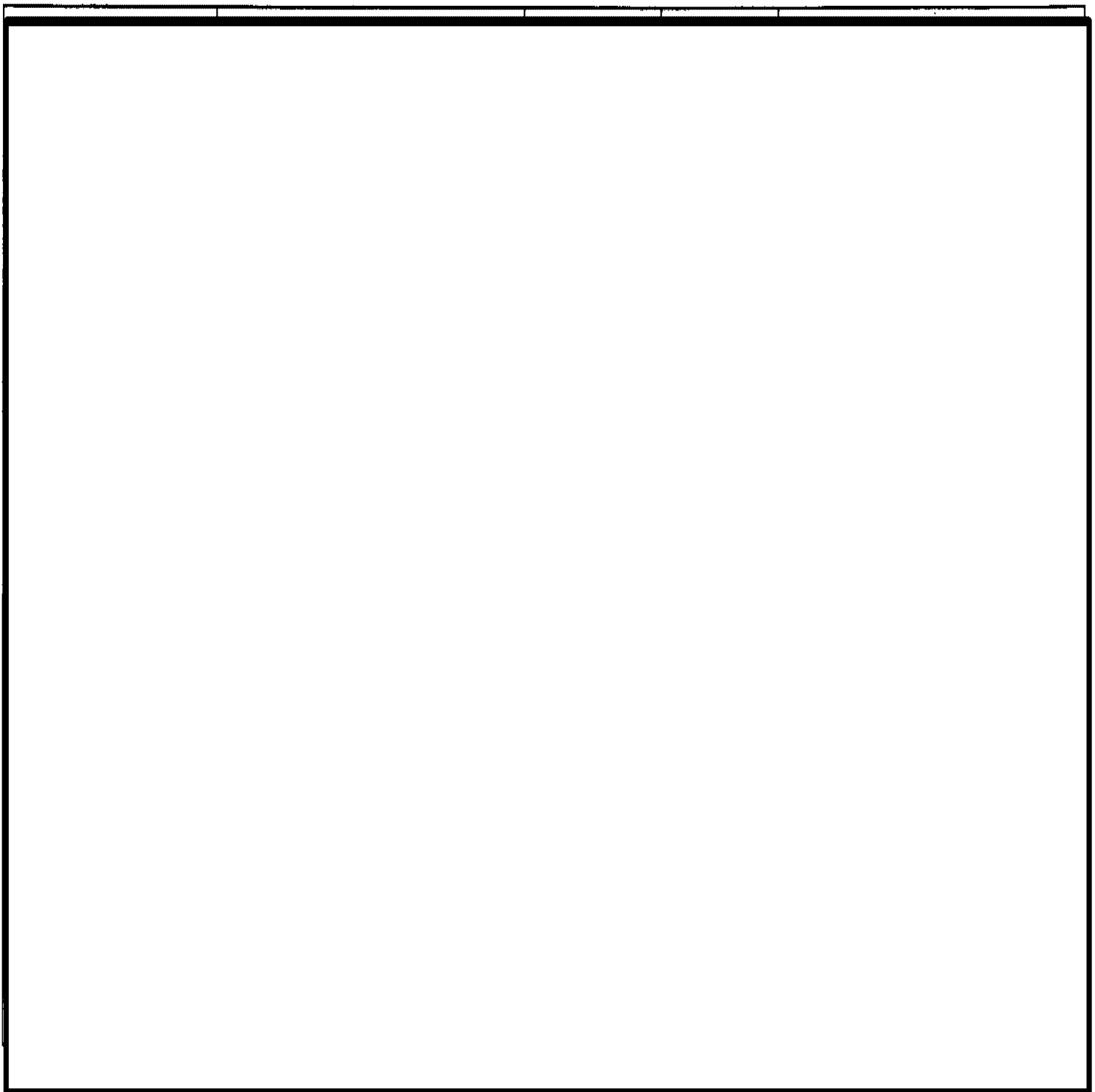




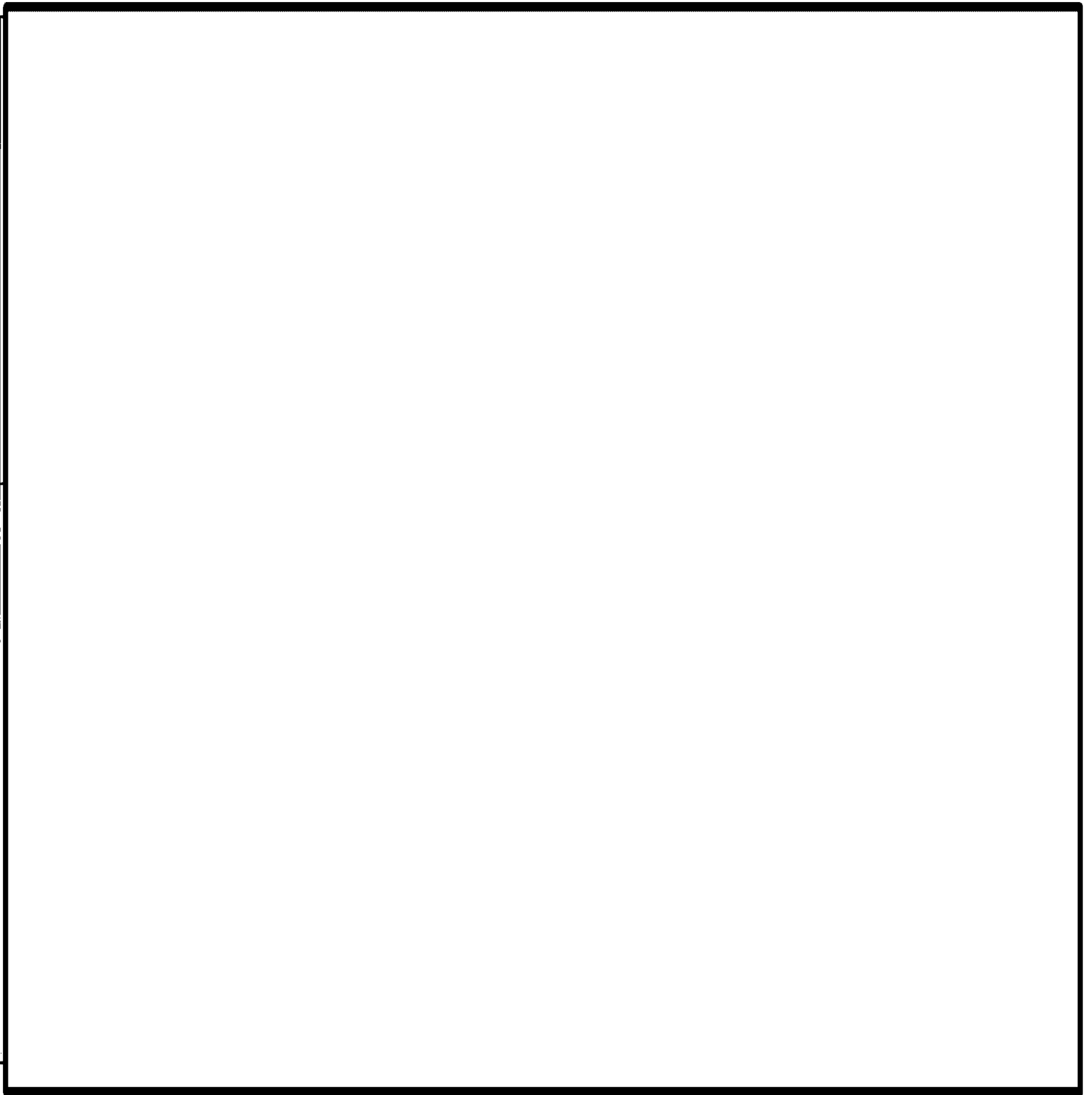
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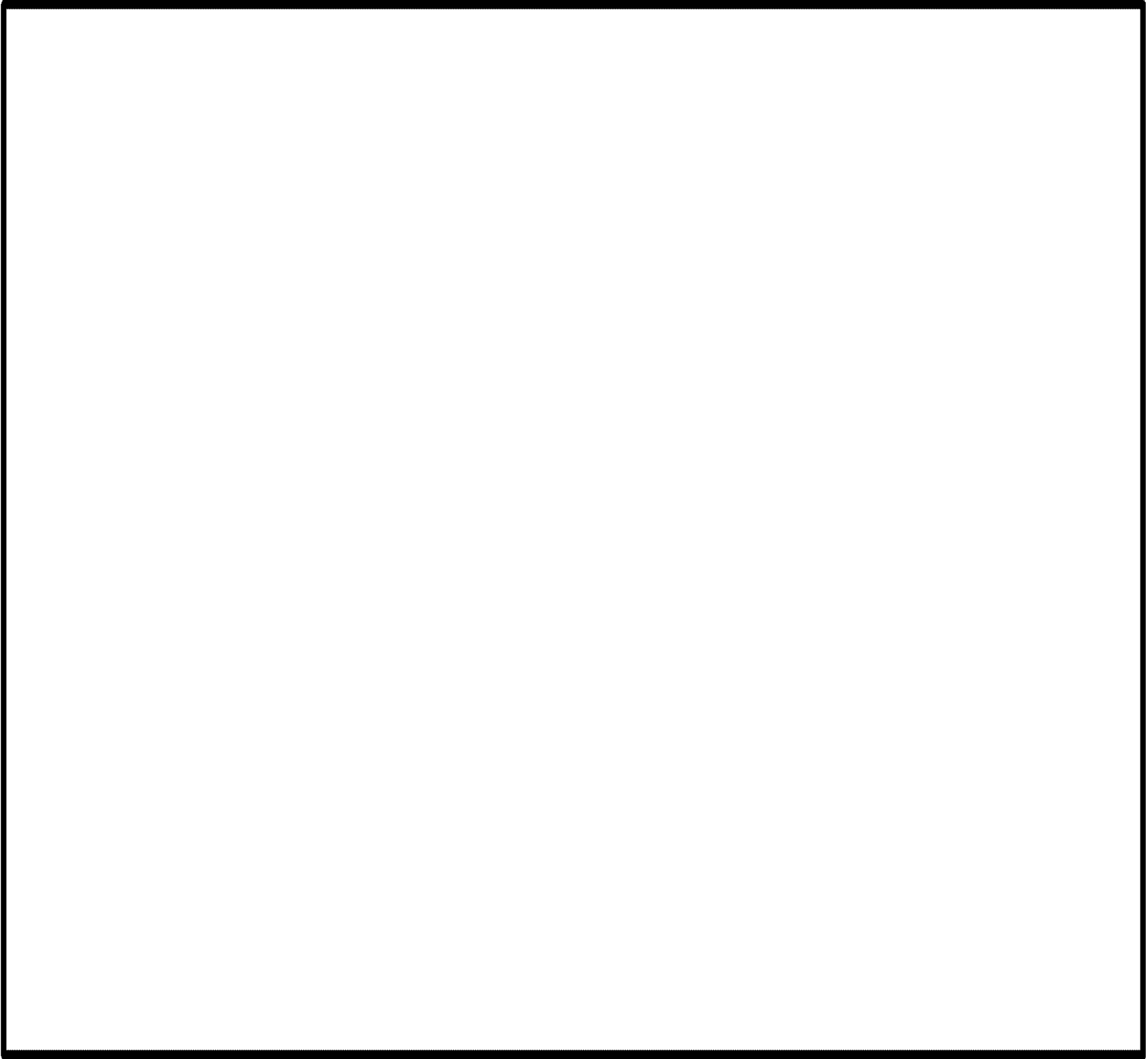


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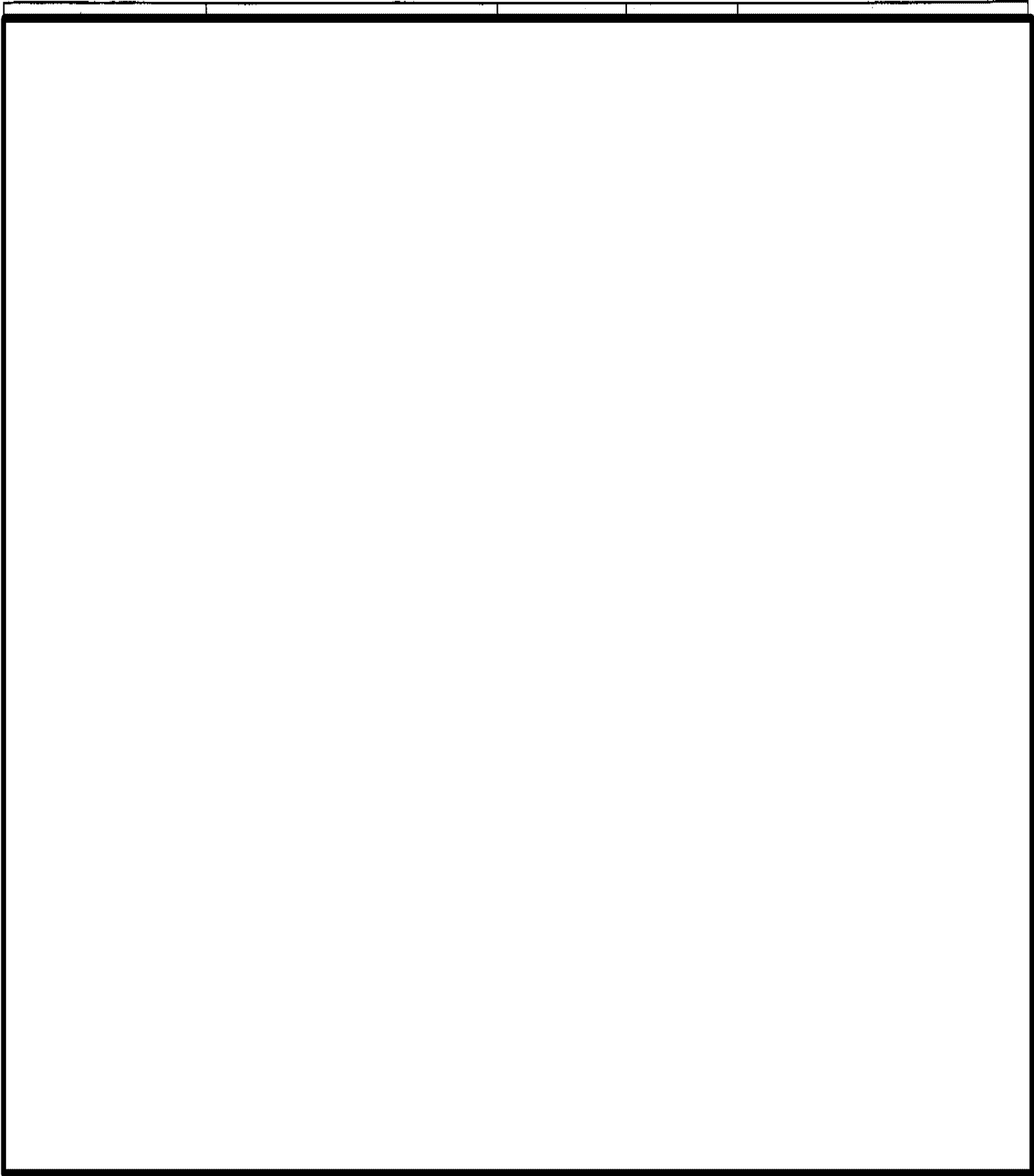
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From: [USCIS Presidential Transition](#)
To: [Renaud, Tracy L](#)
Subject: FW: Presidential Transition Office - Strategic Issue Papers
Date: Monday, September 19, 2016 12:19:49 PM
Attachments: [Strategic Issue Paper Assignments.xlsx](#)
[Issue Paper FormatV3.docx](#)
[Presidential Transition Strategic Issue Paper Topic ListV2.docx](#)

Tracy,

Sorry to bug you on your vacation. It looks like the issue papers will come back around to all the components through the Exec Sec process in the next week or so, but before we send our final drafts to DHS, I was thinking that we'd still want our leadership to clear on them before returning to the PTO. Should we send these for Lori and Leon's clearance now before we send them back to DHS or wait? Thanks!

Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
(c) 202-489-8802

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From: Stewart, Bion
Sent: Monday, August 15, 2016 2:02 PM
To: PTO Master Distro
Subject: Presidential Transition Office - Strategic Issue Papers

Transition Colleagues,

As previously conveyed, the PTO is providing you with an advance look at the DMAG-approved Strategic Issue Paper topic list. We are providing this advance look so co-leads may identify appropriate program leads, plan coordination, and begin drafting at your discretion. The PTO is working on scheduling time to brief S1/S2, and once the list receives final approval, a formal tasking will be sent out via ExecSec. The PTO will also highlight any S1 / S2 changes to the list at that time. The projected due date for the issue paper drafts is **COB September 21st** (a change from our original timeline of 9/15). We are still targeting finalizing all issue papers by **October 1st**, and will continue to monitor workload and timelines and make adjustments as necessary.

Guidance:

- The attached spreadsheet identifies the issue paper topics (as modified / amended by the DMAG), co-leads, a brief description of the paper based on the nominations, and requested consultations. Co-leads were identified based on the subject matter, nomination submissions, and assessment by the PTO. Requested consultations were identified in a similar fashion. SCOA's are responsible for coordinating paper development in consultation with their co-lead counterparts and working with consulting.
- Components or Offices who wish to change the designated co-leads for any topic may request a change after consultation with the designated or prospective co-leads as appropriate and an agreement is reached. The PTO will not entertain a unilateral request for a change of co-leads. Please notify the PTO via email of the agreed-upon change with all involved SCOA's included.
- Components or Offices who wish to provide input or request to consult on any strategic issue paper may request so through the designated co-leads. Co-leads are encouraged to collaborate with requested consulting Components and Offices to the greatest extent practicable.
- Co-leads are responsible for the content of the strategic issue papers including accepting or rejecting input from other Components and Offices at their discretion. Co-leads are also responsible for ensuring the draft is cleared by the designated requested consulting Components and Offices at a minimum prior to submitting to the PTO. Co-leads may coordinate review/clearance with other Components and Offices at their discretion. Due to the volume of papers and the timeline, not all Components and Offices will have an opportunity to review and clear on all strategic issue papers. This "pre-clearance" process will help facilitate a reasonable review and clearance process within the available timeline. Additional information regarding finalizing strategic issue papers will be provided at a later date.
- Issue papers are limited to **three pages of text** using the attached format unless otherwise noted. Co-leads are encouraged to include graphs, tables, and/or pictures as appropriate, which will not be counted against the page limit. The strategic issue paper format is based largely on the format used for S1 hearing preparations. The purpose of these papers is not to make the reader a subject matter expert, but to provide the incoming leadership with **the most critical information** they should know on these topics in their first 30-60 days. Please ensure the papers focus only on the key components of the issue and are drafted for S1 / S2 or Component / Office Head consumption. If it is not possible to reasonably convey the critical information in three pages of text, please contact the PTO to discuss options. The expectation is the incoming leadership will request additional detail and briefings on these topics as desired.
- These papers are not intended for the transition team, but for incoming appointees so the papers may be FOUO or LE Sensitive if necessary (unclassified preferred if possible). If a co-lead determines an issue paper must be classified, please contact the PTO to discuss.

The PTO will send an invite for a conference call in the next couple of days to discuss the way ahead and answer any questions you may have about the strategic issue papers.

I've also attached a briefing paper capturing all the feedback received from the DMAG as well as a bucketed list of topics and co-leads for easier reference.

Thank you once again for your support and tremendous efforts.

V/R,

Bion

Bion Stewart
Deputy Presidential Transition Officer
Department of Homeland Security
202-282-9125

From: USCIS Presidential Transition
To: Baran, Amanda; Immigration Policy
Cc: Renaud, Tracy L
Subject: RE: Transition Paper - Key Immigration Areas of Focus
Date: Friday, September 16, 2016 4:01:03 PM
Attachments: Immigration Areas of Focus USCIS Edits Redlined.docx

Amanda,

We received a couple more edits in from our Office of Chief Counsel. Most of the edits pertain to the "litigation" section. I've add them to our previously submitted edits.

Thank you,
Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
(c) 202-489-8802

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From: USCIS Presidential Transition
Sent: Wednesday, September 14, 2016 10:40 AM
To: Baran, Amanda
Cc: Renaud, Tracy L
Subject: RE: Transition Paper - Key Immigration Areas of Focus

This is what we have for now, but we may have more edits and comments depending on what I receive later today. We'll send our final version as soon as we can.

Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
(c) 202-489-8802

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From: Baran, Amanda
Sent: Wednesday, September 14, 2016 10:31 AM
To: USCIS Presidential Transition
Subject: RE: Transition Paper - Key Immigration Areas of Focus

Hi Julie, unfortunately this is due to my leadership by COB today, so please send me edits/comments ASAP. Thanks.

From: USCIS Presidential Transition
Sent: Wednesday, September 14, 2016 10:02 AM
To: Baran, Amanda <amanda.baran@hq.dhs.gov>; ICE Exec Sec <ICEExecSec2@ice.dhs.gov>; OGC Exec Sec <OGCExecSec@HQ.DHS.GOV>; Snell, Allison <Allison.Snell@HQ.DHS.GOV>; ROACH, LEWIS S <LEWIS.S.ROACH@cbp.dhs.gov>
Cc: Giovagnoli, Mary <mary.giovagnoli@hq.dhs.gov>; Renaud, Tracy L <Tracy.L.Renaud@uscis.dhs.gov>
Subject: RE: Transition Paper - Key Immigration Areas of Focus

Good morning, Amanda.

Thank you for taking the lead on this issue paper. Comments and edits from our operational components are due back to me today and then I will need to send the paper to our agency leadership for review. I will have final edits to you by Friday.

Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
(c) 202-489-8802

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From: Baran, Amanda
Sent: Wednesday, September 14, 2016 9:44 AM
To: USCIS Presidential Transition; ICE Exec Sec; OGC Exec Sec; Snell, Allison; ROACH, LEWIS S
Cc: Giovagnoli, Mary
Subject: RE: Transition Paper - Key Immigration Areas of Focus

All,

I have not received your comments/edits to this paper and will need them ASAP. Please let me know if you have any questions.

Thanks,
Amanda

From: Baran, Amanda

Sent: Sunday, September 11, 2016 8:53 PM

To: USCIS Presidential Transition <uscispresidentialtransition@uscis.dhs.gov>; ICE Exec Sec <ICEExecSec2@ice.dhs.gov>; OGC Exec Sec <OGCExecSec@HQ.DHS.GOV>; MGMTExecSec <MGMTExecSec@HQ.DHS.GOV>; PRIV Exec Sec <PRIVExecSec@HQ.DHS.GOV>; CRCL Exec Sec <crclxecsec@HQ.DHS.GOV>; Shore, Stacy <Stacy.Shore@HQ.DHS.GOV>; Snell, Allison <Allison.Snell@HQ.DHS.GOV>; ROACH, LEWIS S <LEWIS.S.ROACH@cbp.dhs.gov>; Harris, Mark E (DHS CFO) <mark.harris@HQ.DHS.GOV>

Cc: Giovagnoli, Mary <Mary.Giovagnoli@hq.dhs.gov>

Subject: Transition Paper - Key Immigration Areas of Focus

All,

Attached, please find a Presidential transition paper entitled, "Key Immigration Areas of Focus." Please forward any edits/comments to amanda.baran@hq.dhs.gov by COB Tuesday, September 13th.

Thanks,
Amanda

Amanda Baran
Principal Director, Immigration Policy
DHS Office of Policy

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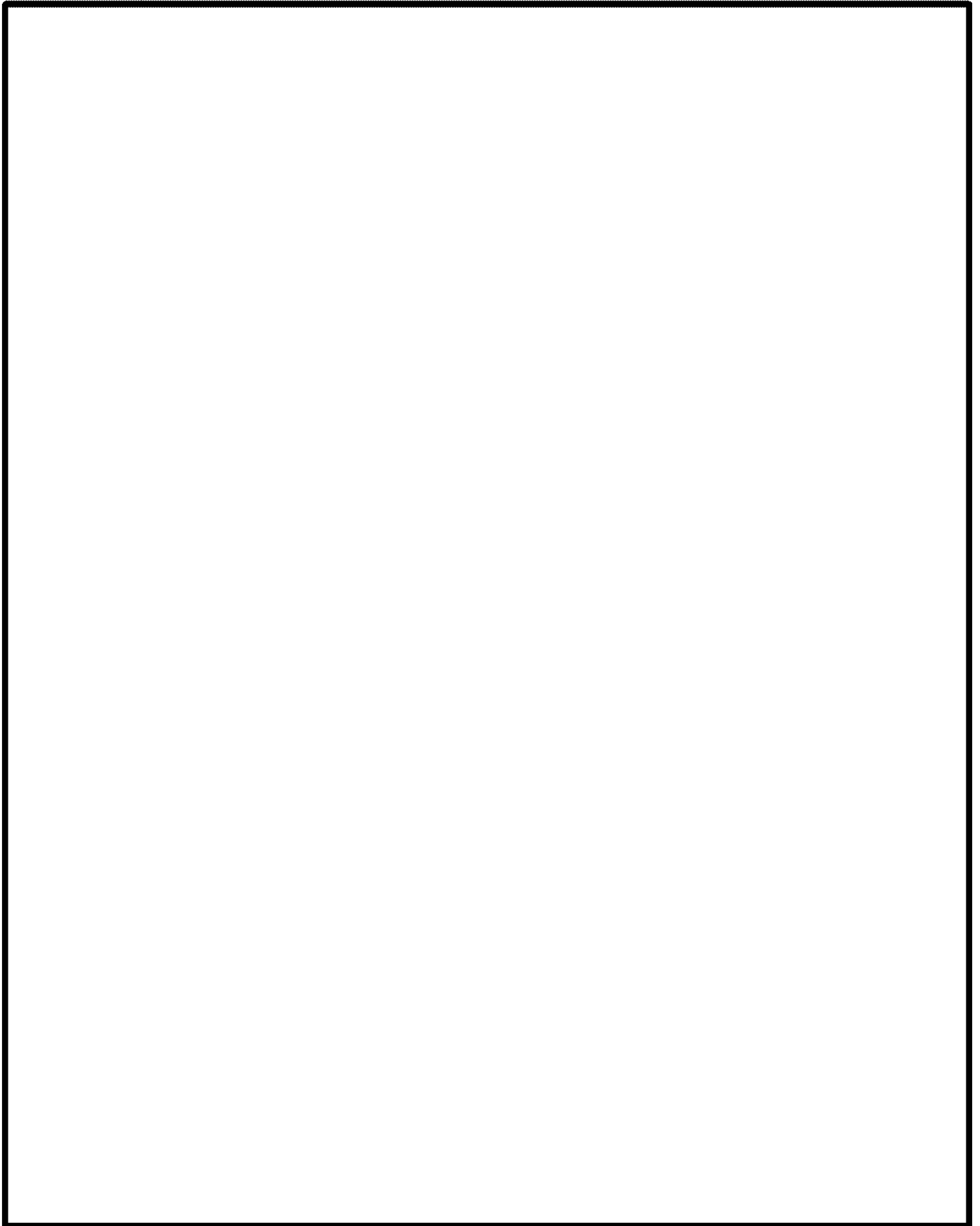
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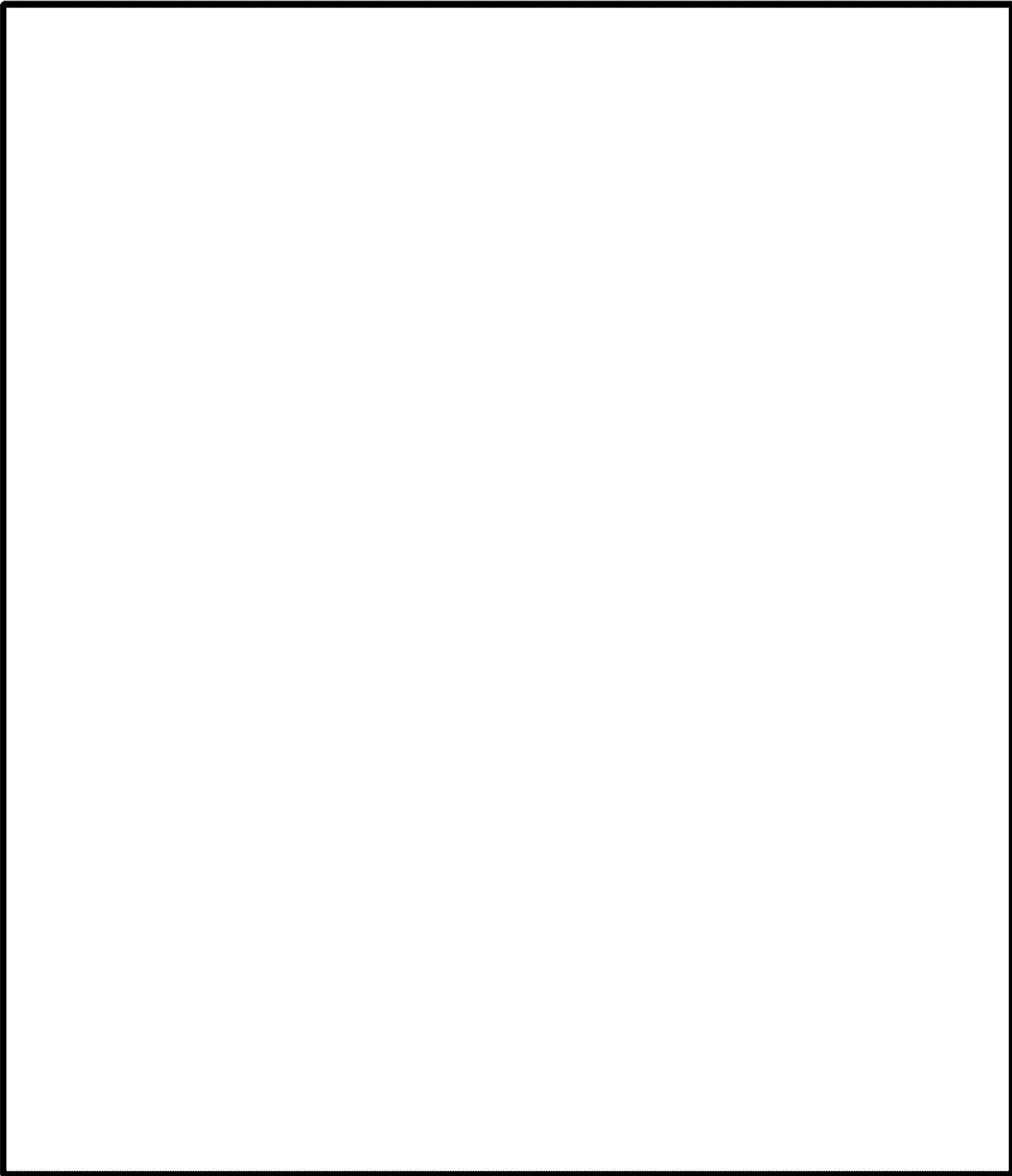
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From: Drake, Johnetta on behalf of USCIS Exec Sec
To: USCIS Presidential Transition; USCIS Exec Sec
Cc: Renaud, Tracy L; Button, Maria G (Gemma)
Subject: RE: Issue Paper Review Due COB 9/14 - Key Immigration Areas of Focus
Date: Friday, September 16, 2016 12:04:56 PM
Attachments: [OCC - Issue Paper - Immigration Areas of Focus USCIS Edits Redlined.docx](#)
[OoC - Issue Paper - Immigration Areas of Focus - USCIS Edits Redlined.docx](#)
[OPS - Issue Paper - Immigration Areas of Focus USCIS Edits .docx](#)
[RAIO - Issue Paper - Immigration Areas of Focus USCIS Edits Redlined RAD edits.docx](#)

Hi Julie,

Attached are edits/comments from OCC, OoC, OP&S, and RAIO. When you submit the final to EXSO, please let us know if it will need to be cleared by the Director's Office.

Johnetta Drake

USCIS Office of the Executive Secretariat

202-236-4246 (Cell)

202-272-0998 (Desk)

202-272-0990 (Office)

[EXSO Connect Page](#)

[EXSO ECN Page](#)

Please upload all actions for which Forms G-1056 are used to CATS.

Please send all official actions to USCIS-Exec-Sec@uscis.dhs.gov.

From: USCIS Presidential Transition
Sent: Monday, September 12, 2016 8:37 AM
To: USCIS Exec Sec
Cc: Renaud, Tracy L; Button, Maria G (Gemma)
Subject: Issue Paper Review Due COB 9/14
Importance: High

Good morning,

Attached is an issue paper providing an overview of immigration within the Department that DHS Policy drafted. This paper will be included along with other briefing materials as part of the presidential transition.

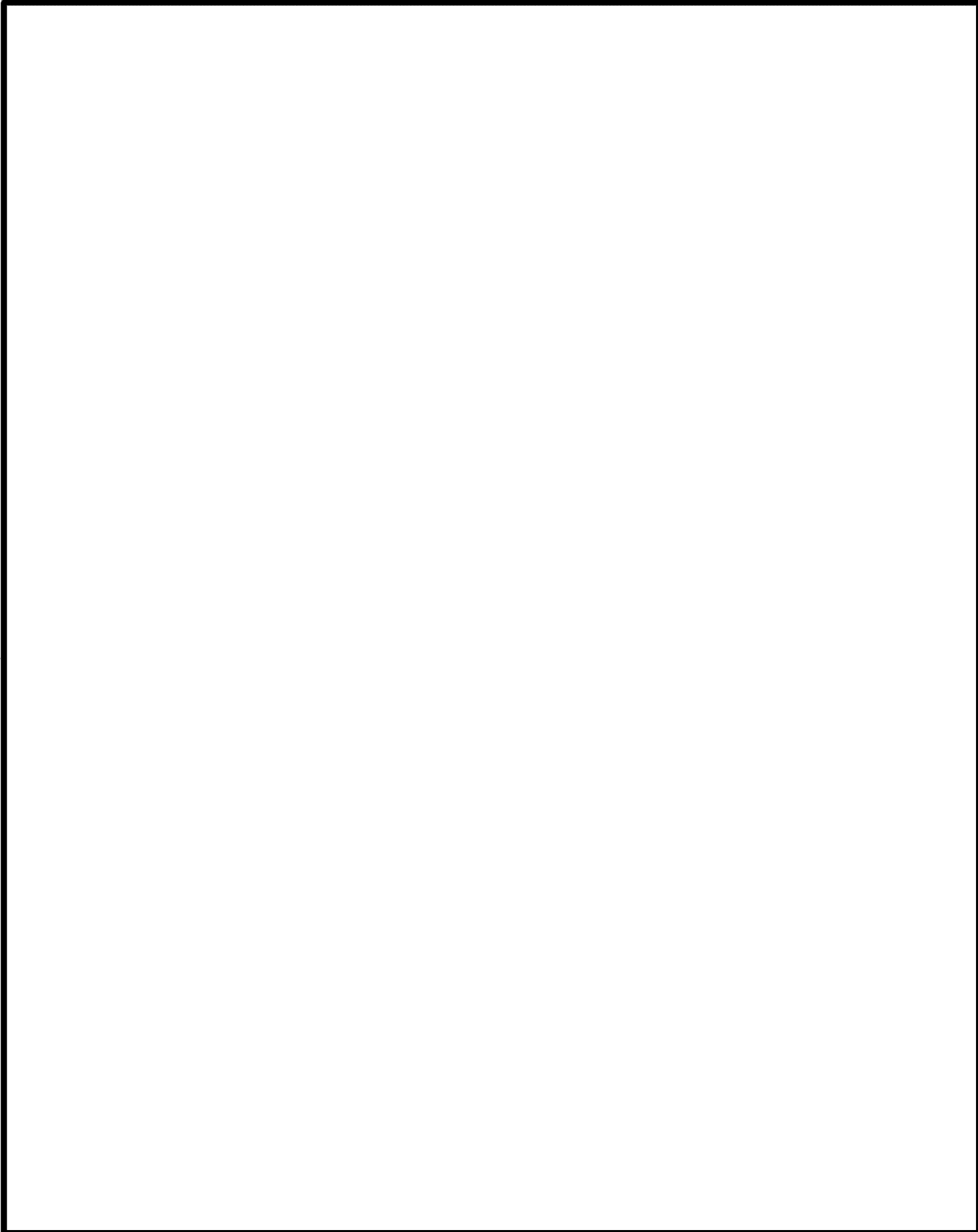
We request review/clearance from RAIO, FDNS, SCOPS, FOD, OCC, OP&S, OoC, by COB on Wednesday and clearance from the front office by noon on Friday. I've made edits to PLCY's original draft and have attached both a redlined and clean version of the document. Please note that the paper may not exceed three pages and the tone should be politically neutral.

Thank you,
Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102

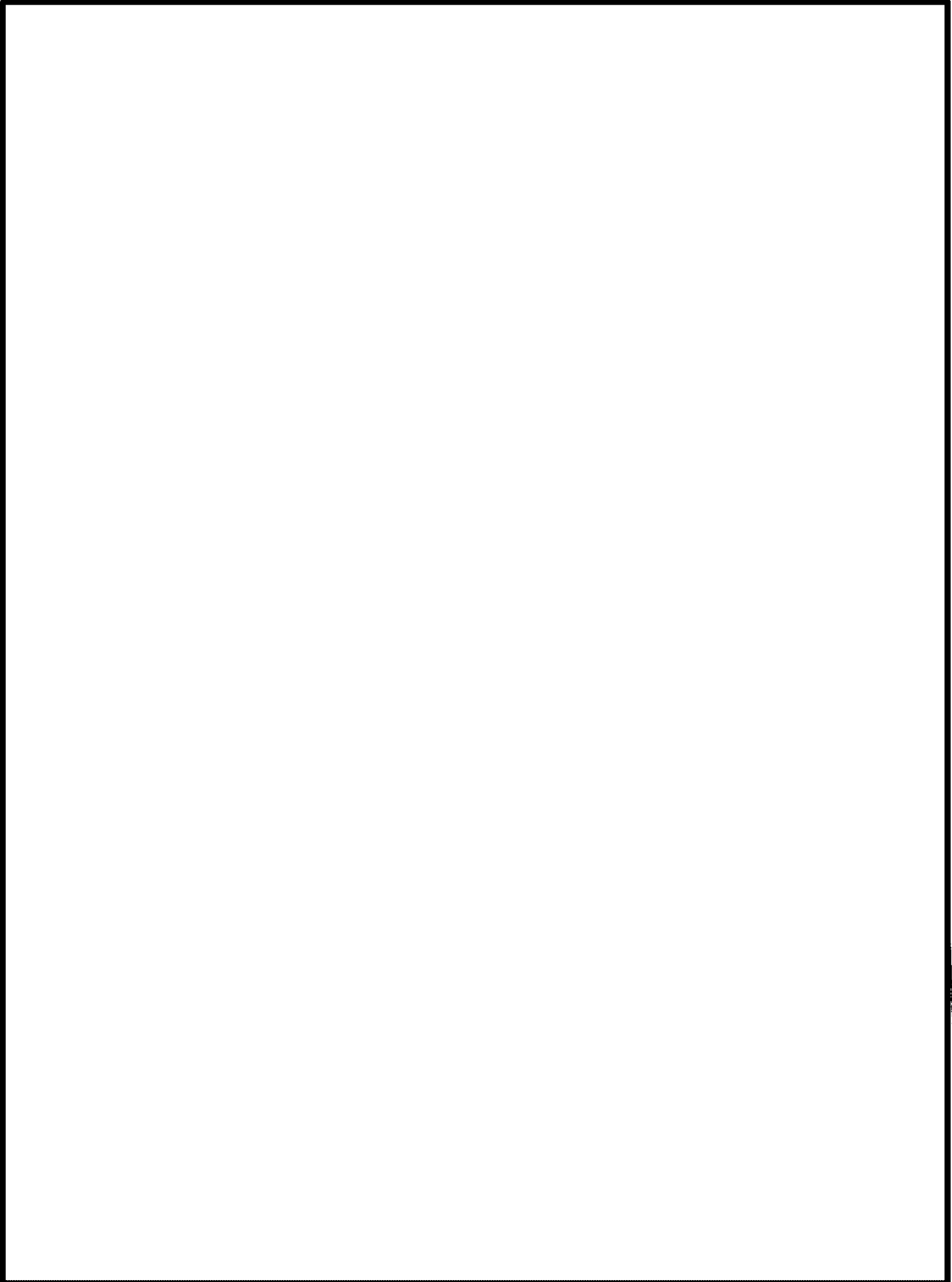
(c) 202-489-8802

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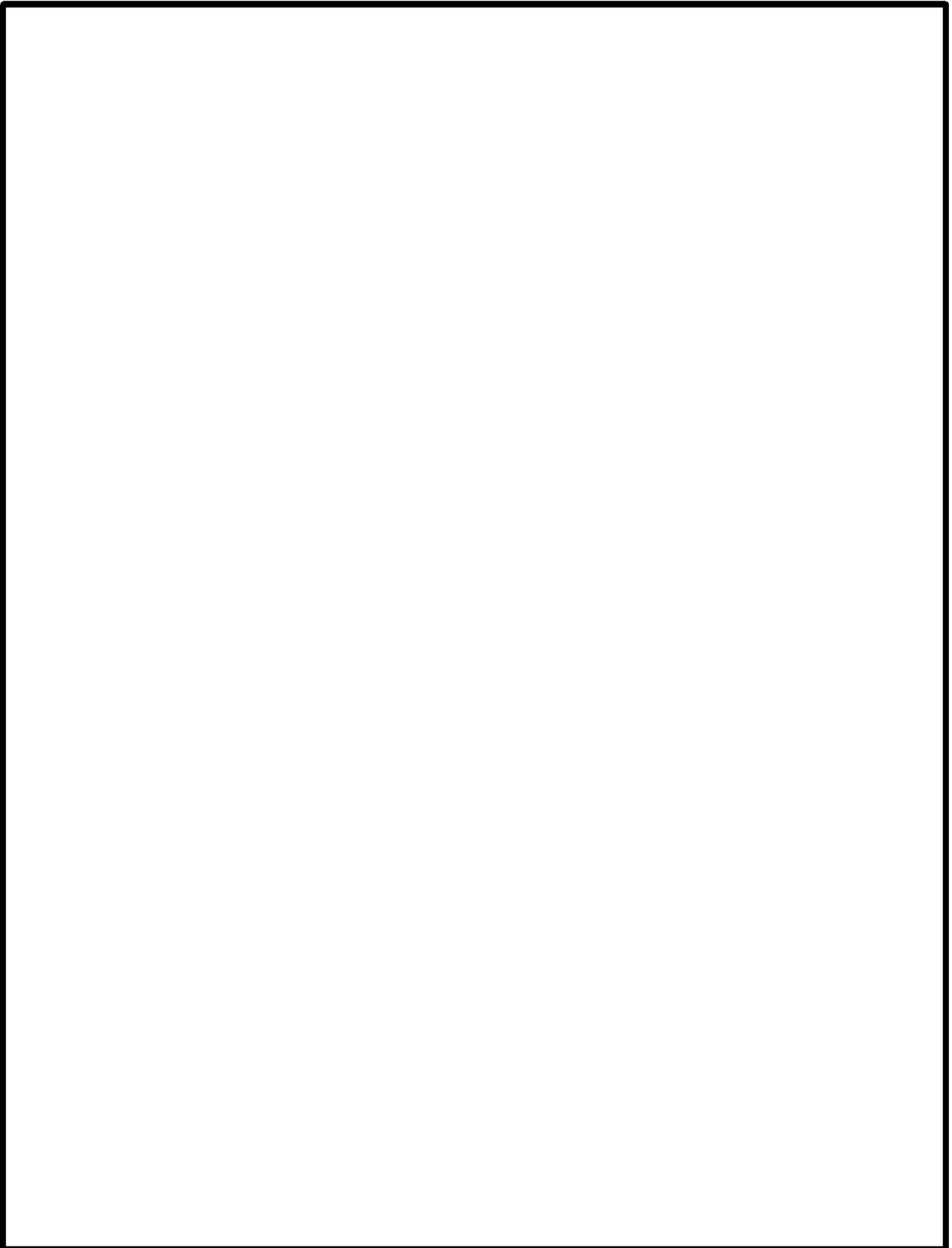
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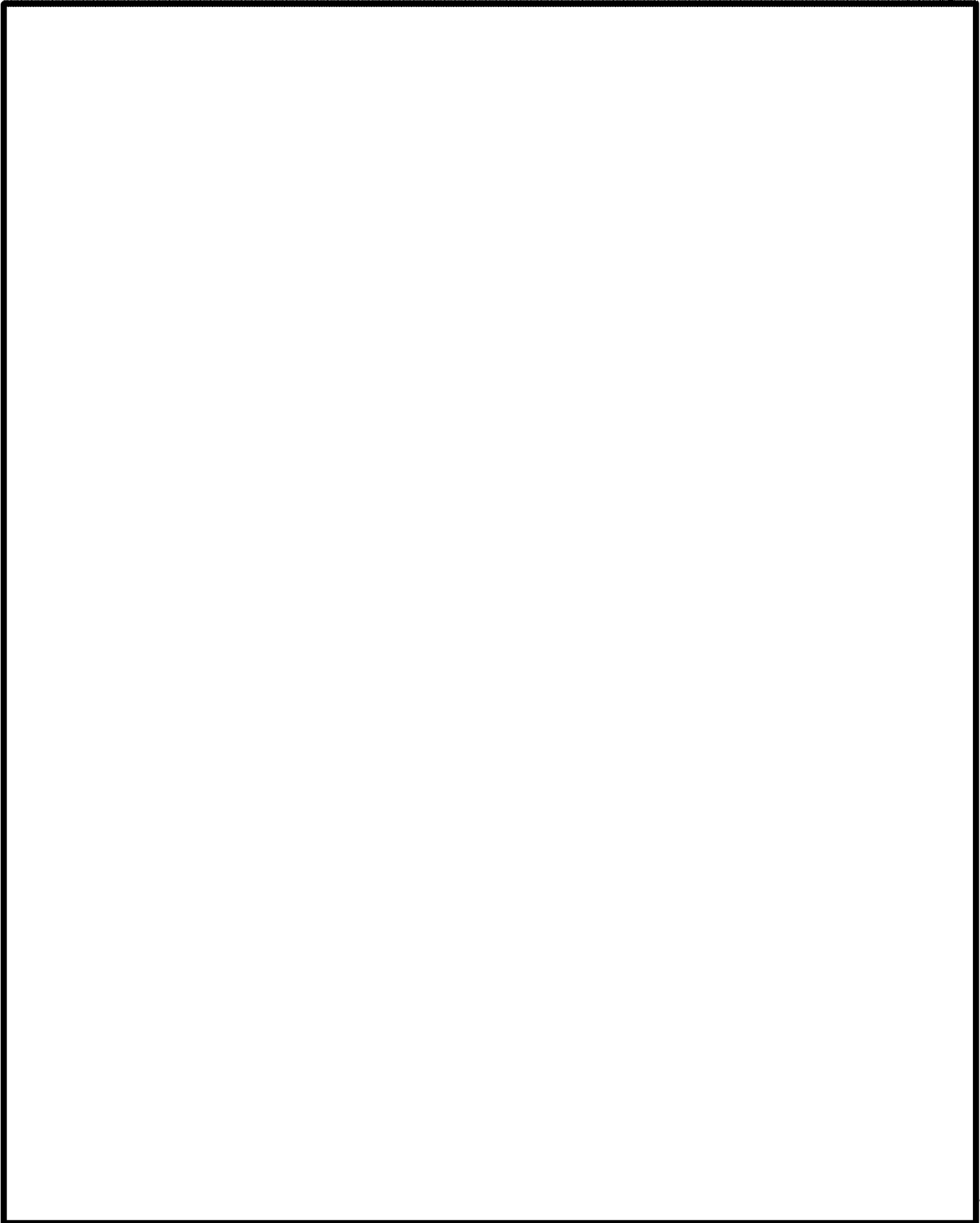
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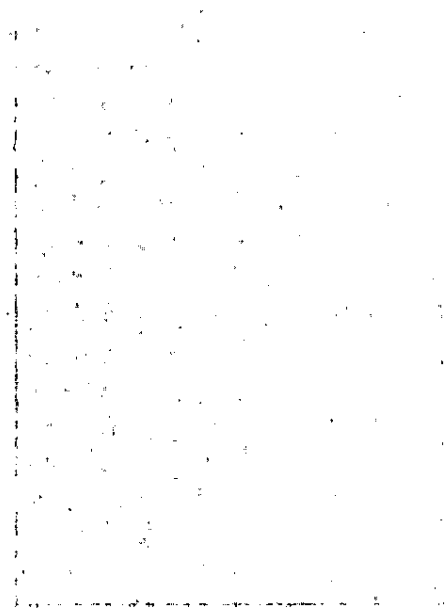
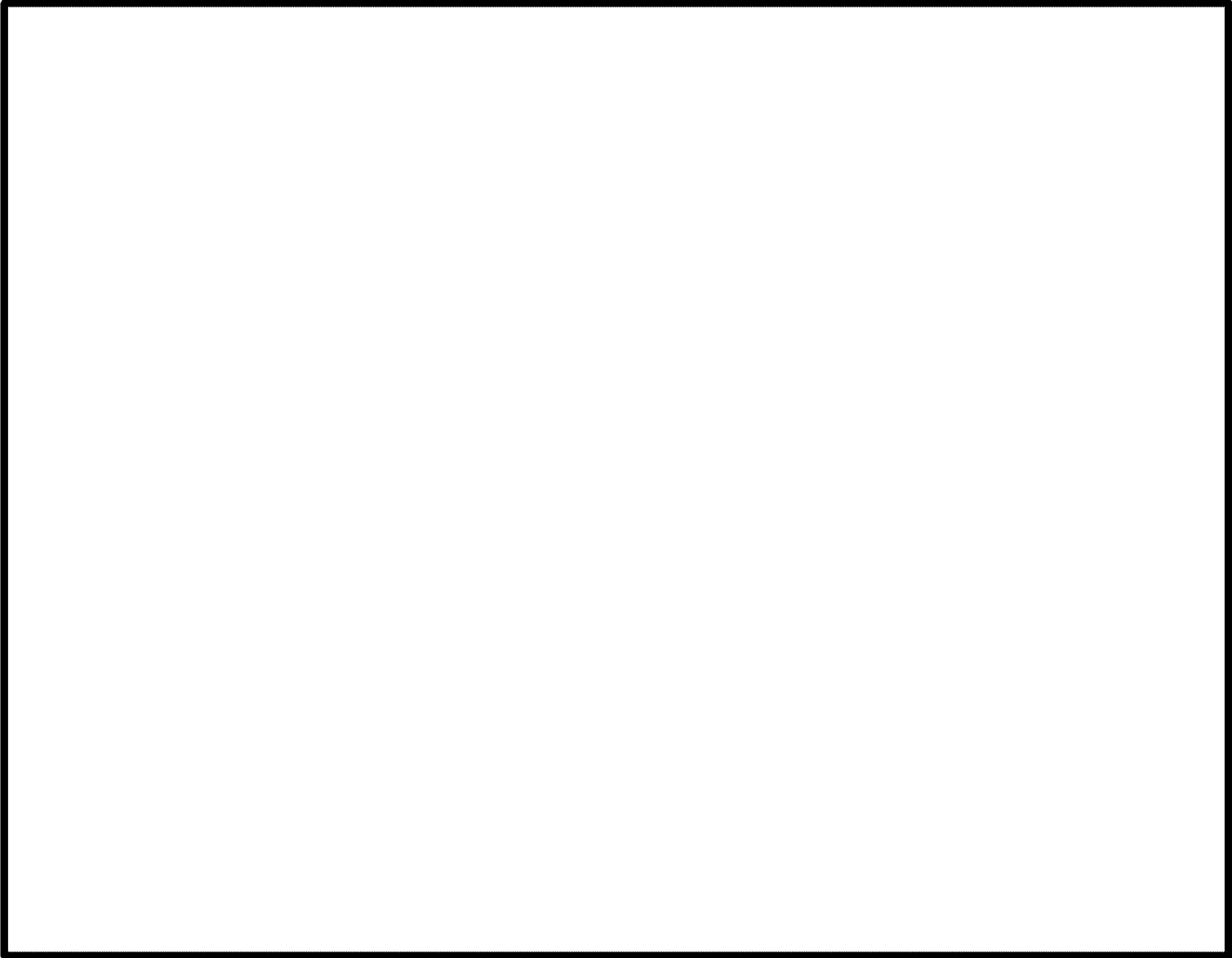
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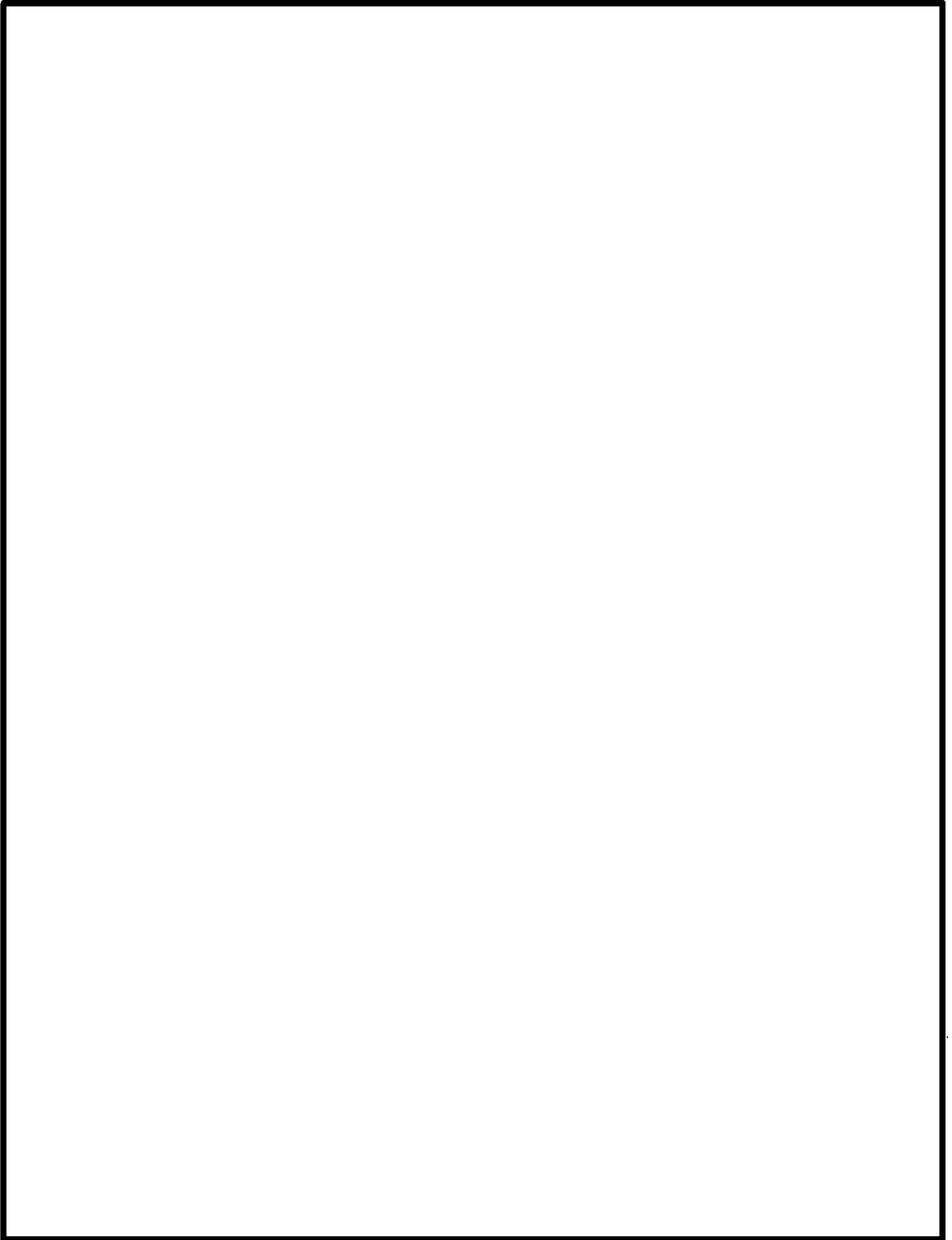
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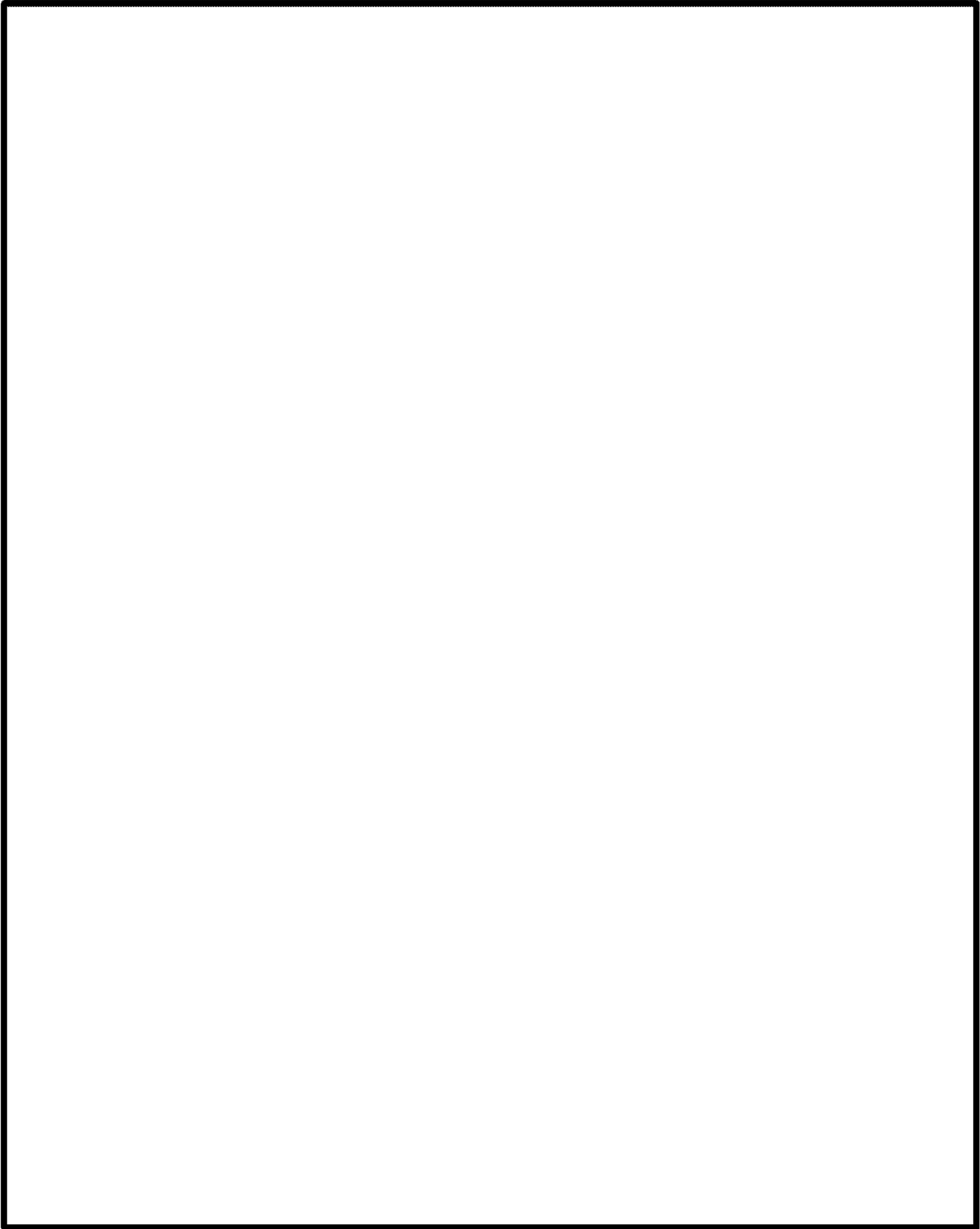
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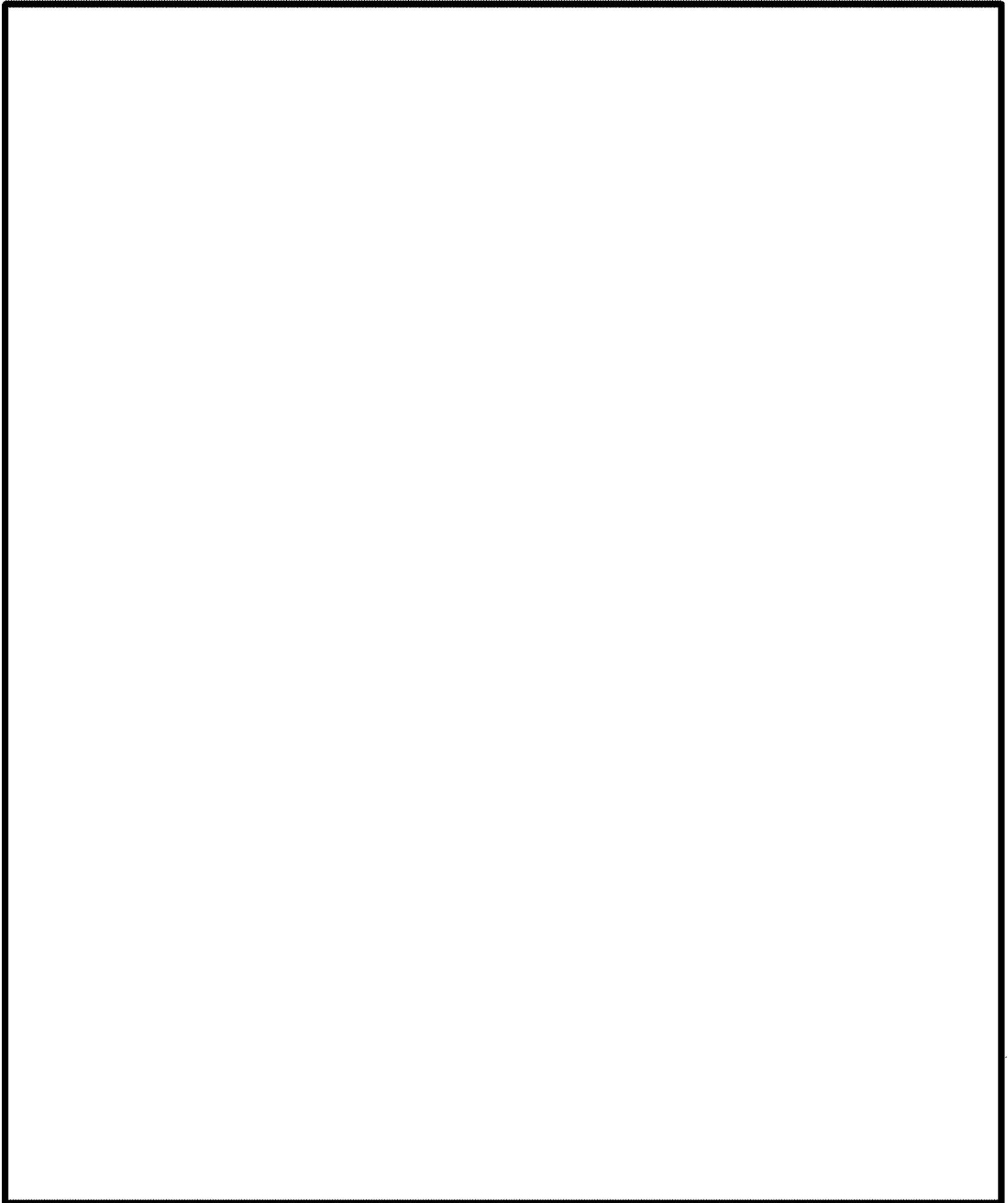
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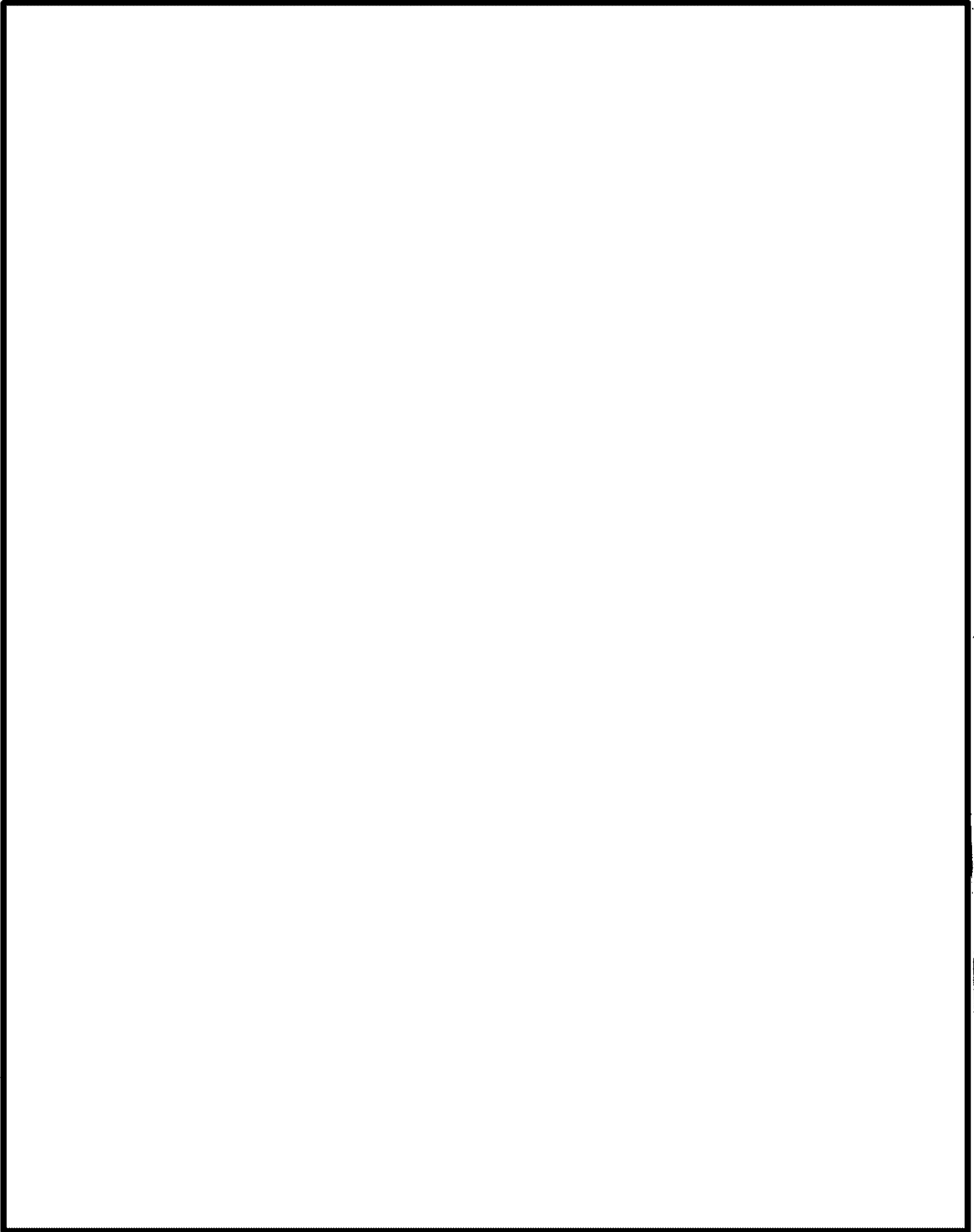
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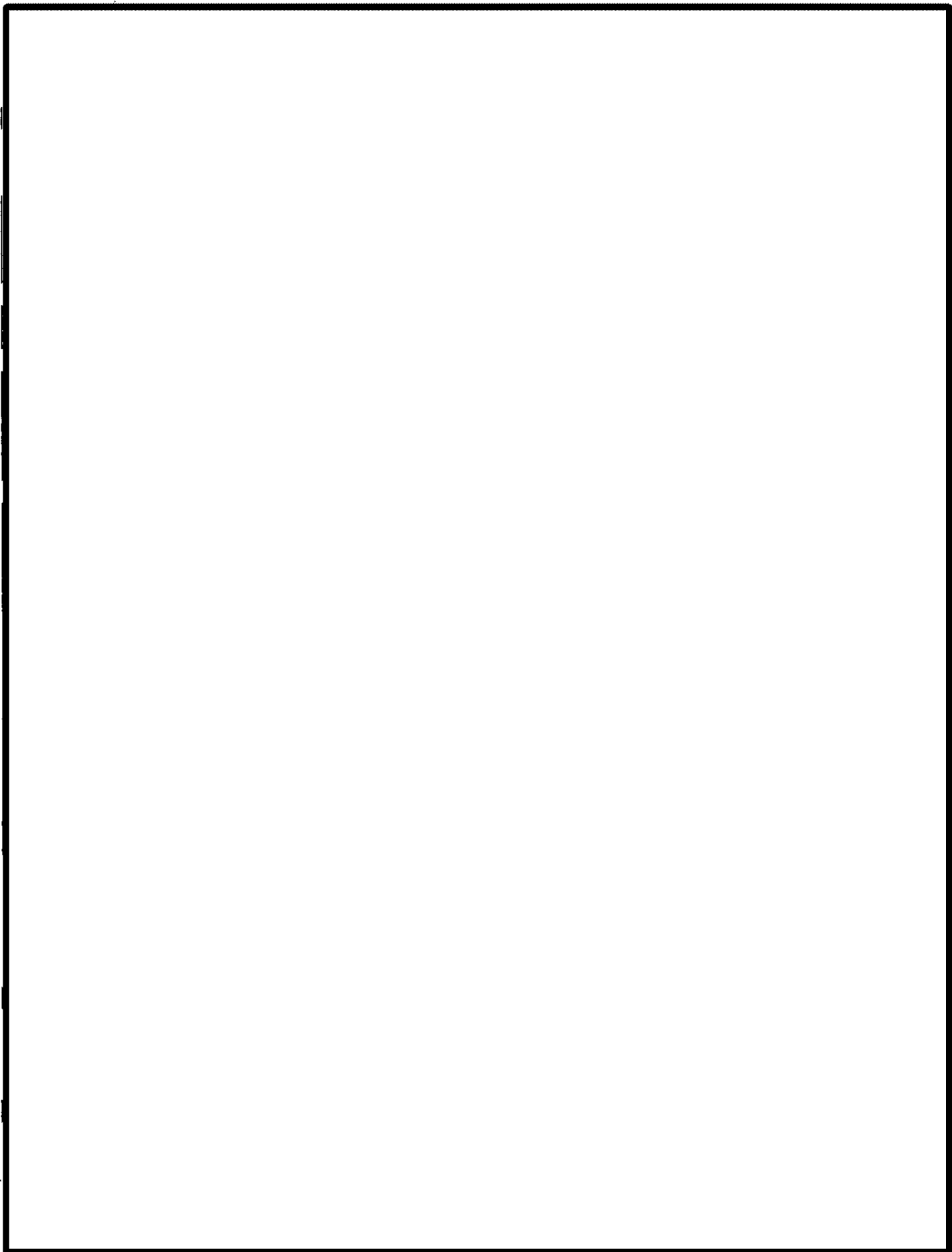
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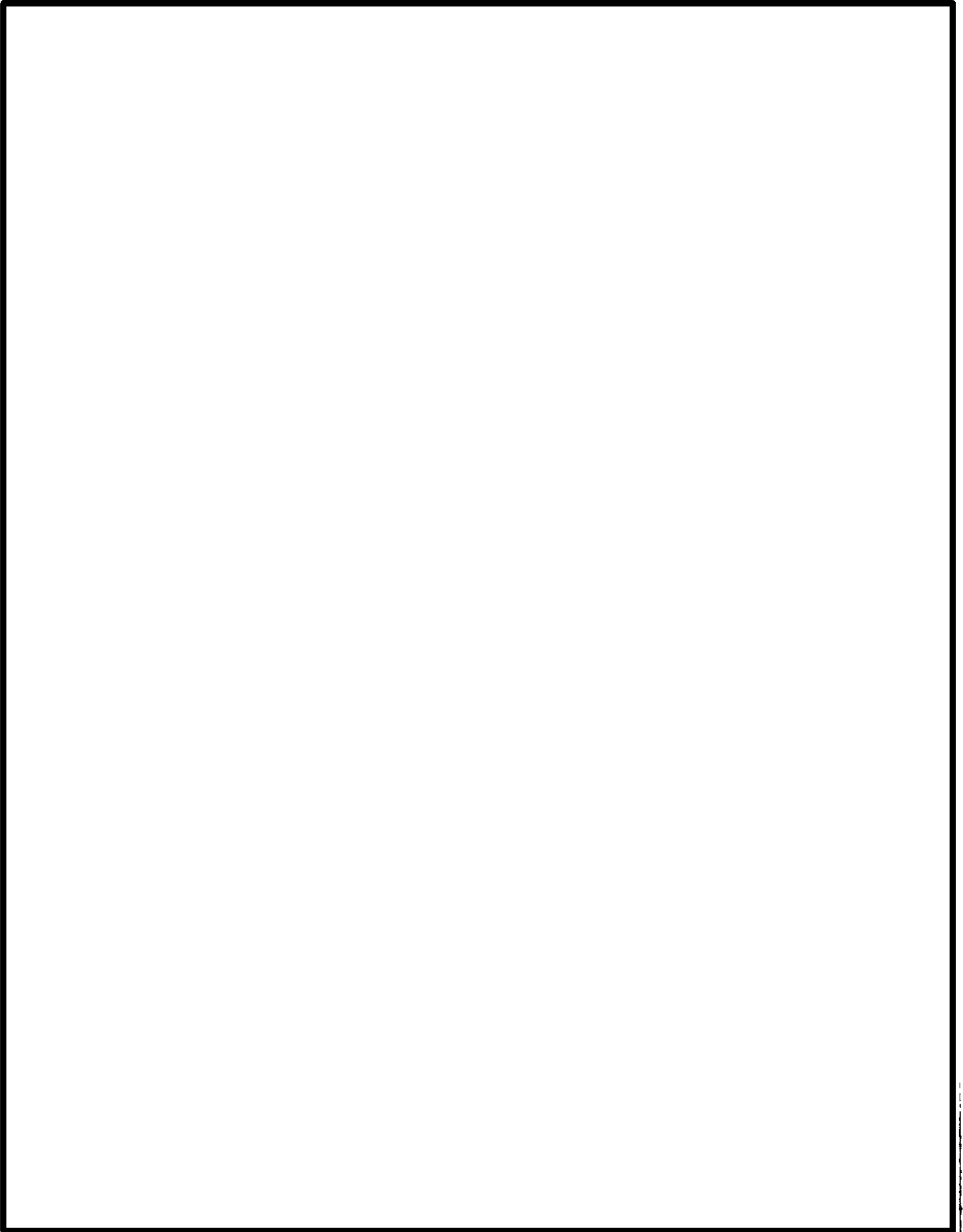
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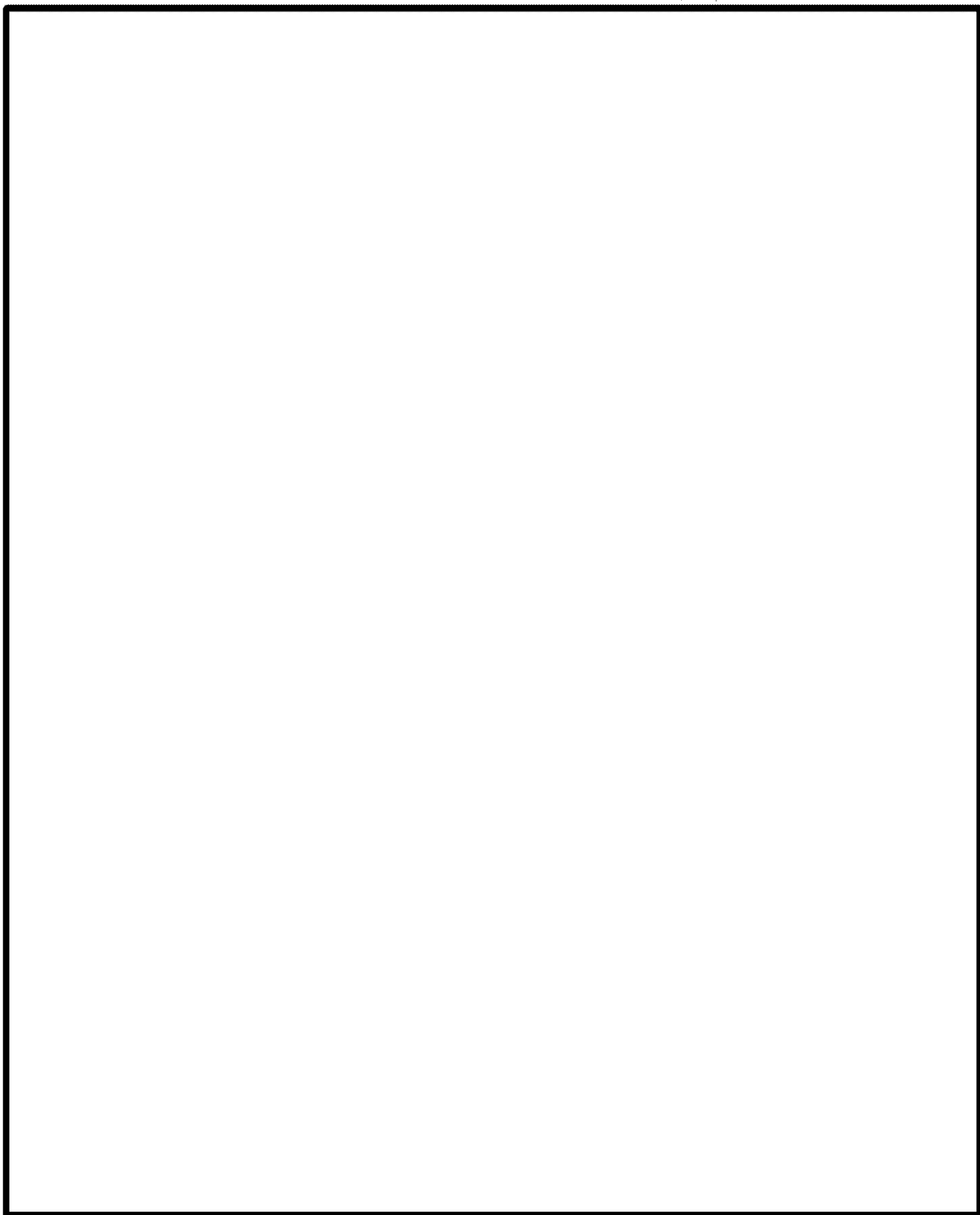


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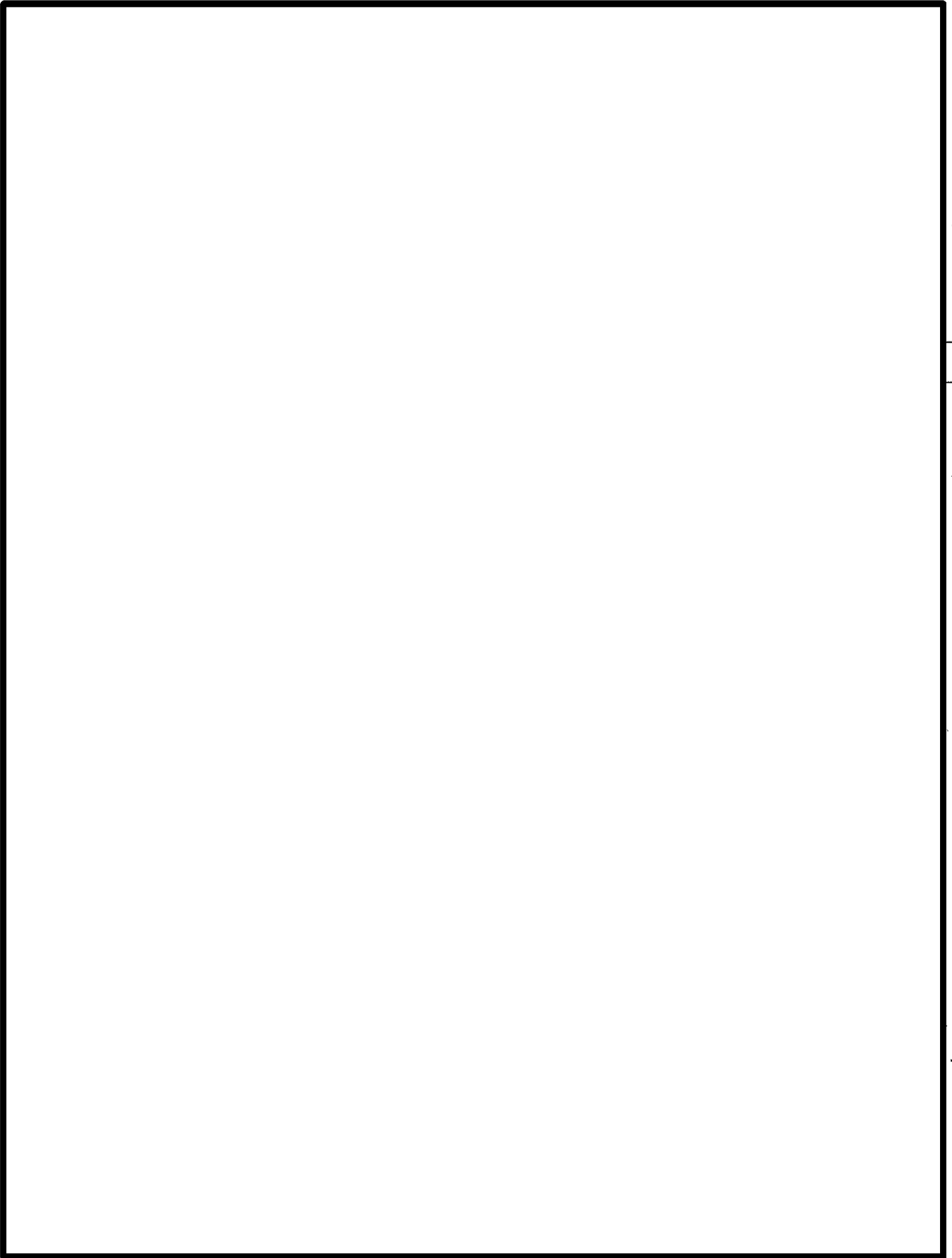


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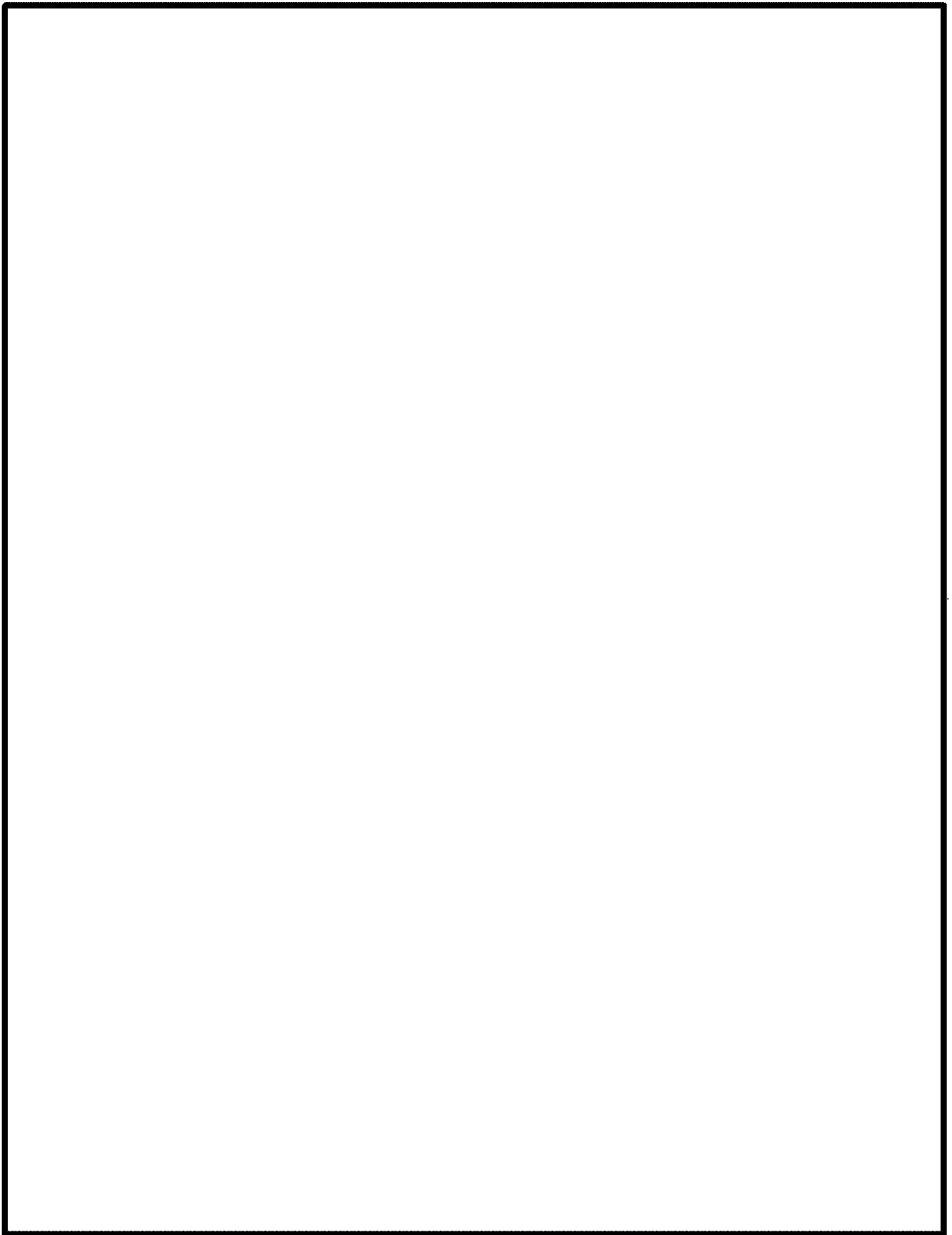




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From: [Stewart, Bion](#)
To: [PTO Master Distro](#)
Subject: Presidential Transition Office - Strategic Issue Paper Spreadsheet
Date: Friday, September 16, 2016 10:21:14 AM
Attachments: [Strategic Issue Paper Assignments 9.15.16.xlsx](#)

Transition Colleagues,

Updated spreadsheet attached with changes in red. Please note the addition of a paper on the Department's R&D programs lead by S&T and CG. This was a particular point of interest from congressional appropriators, and the PTO concurred with their recommendation to include the paper in the portfolio.

In addition, based on feedback from OHA, the PTO approved breaking out the Infectious Disease, Biological, and Chemical threats papers into three separate papers.

As always, thank you for the excellent work coordinating and drafting these papers. Please let me know if you have any questions. Looking forward to seeing the drafts next week.

V/R,

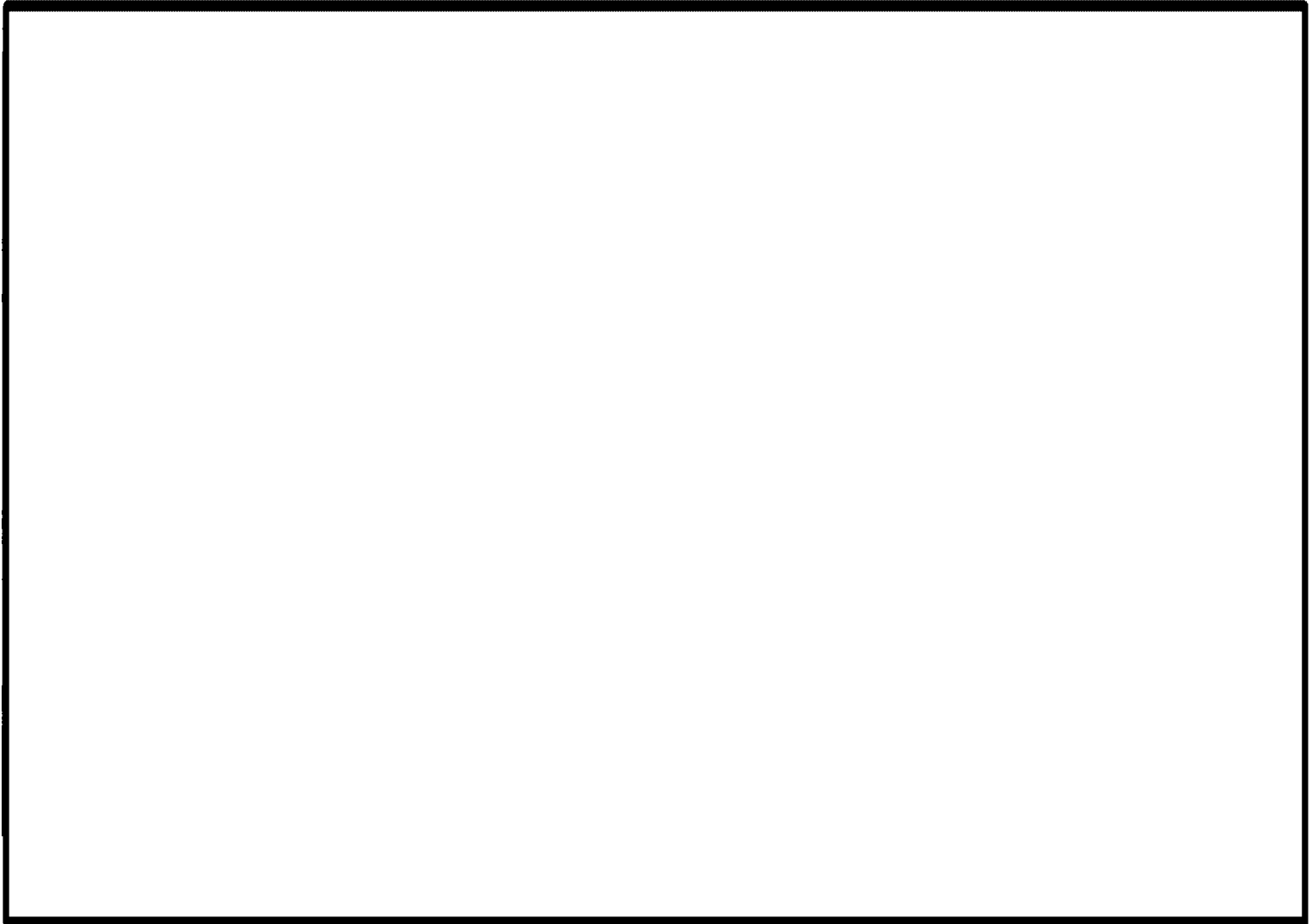
Bion

Bion Stewart
Deputy Presidential Transition Officer
Department of Homeland Security
202-282-9125

Topic	Summary	Co-Lead	Co-Lead	Requested Consultation
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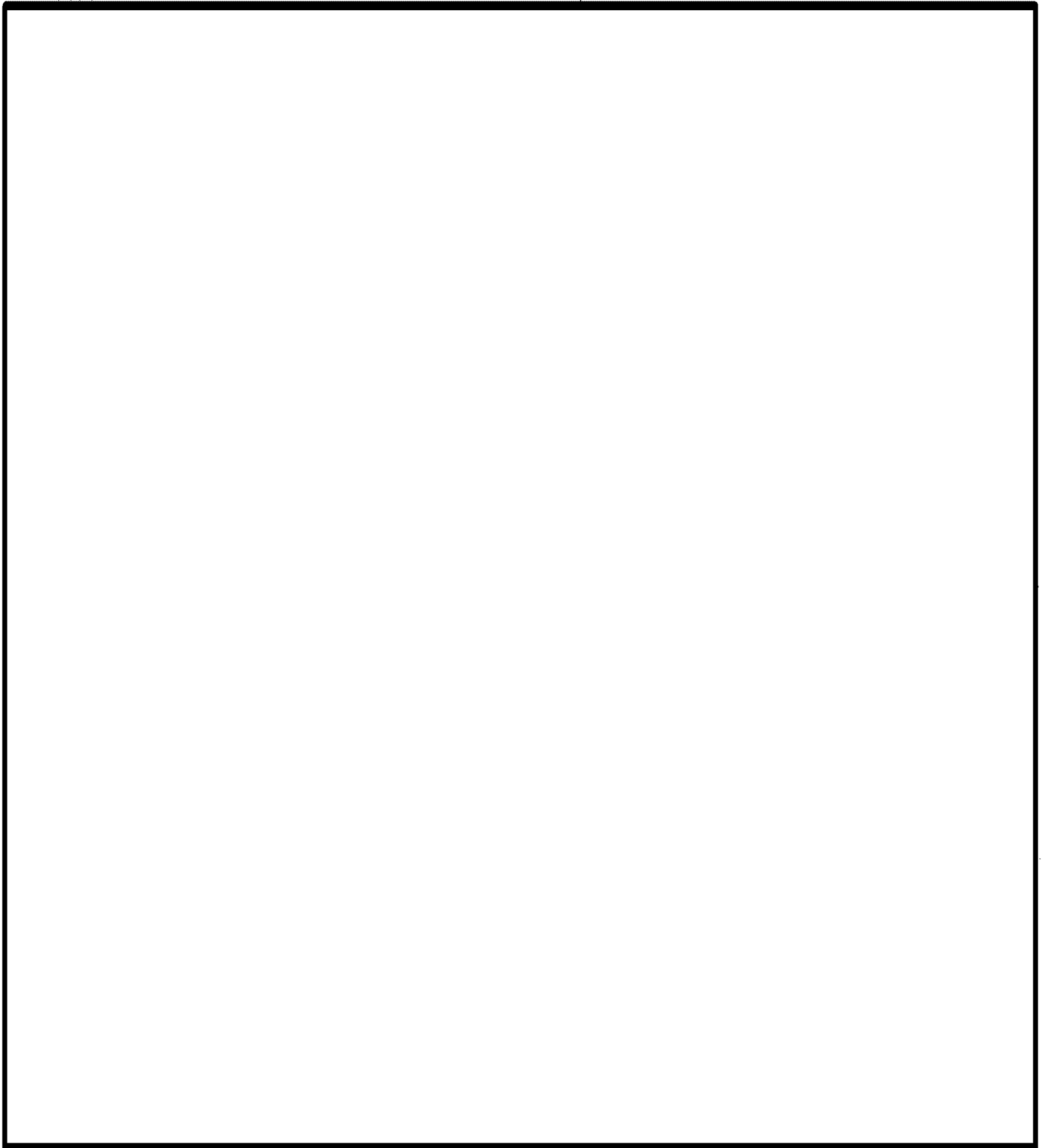
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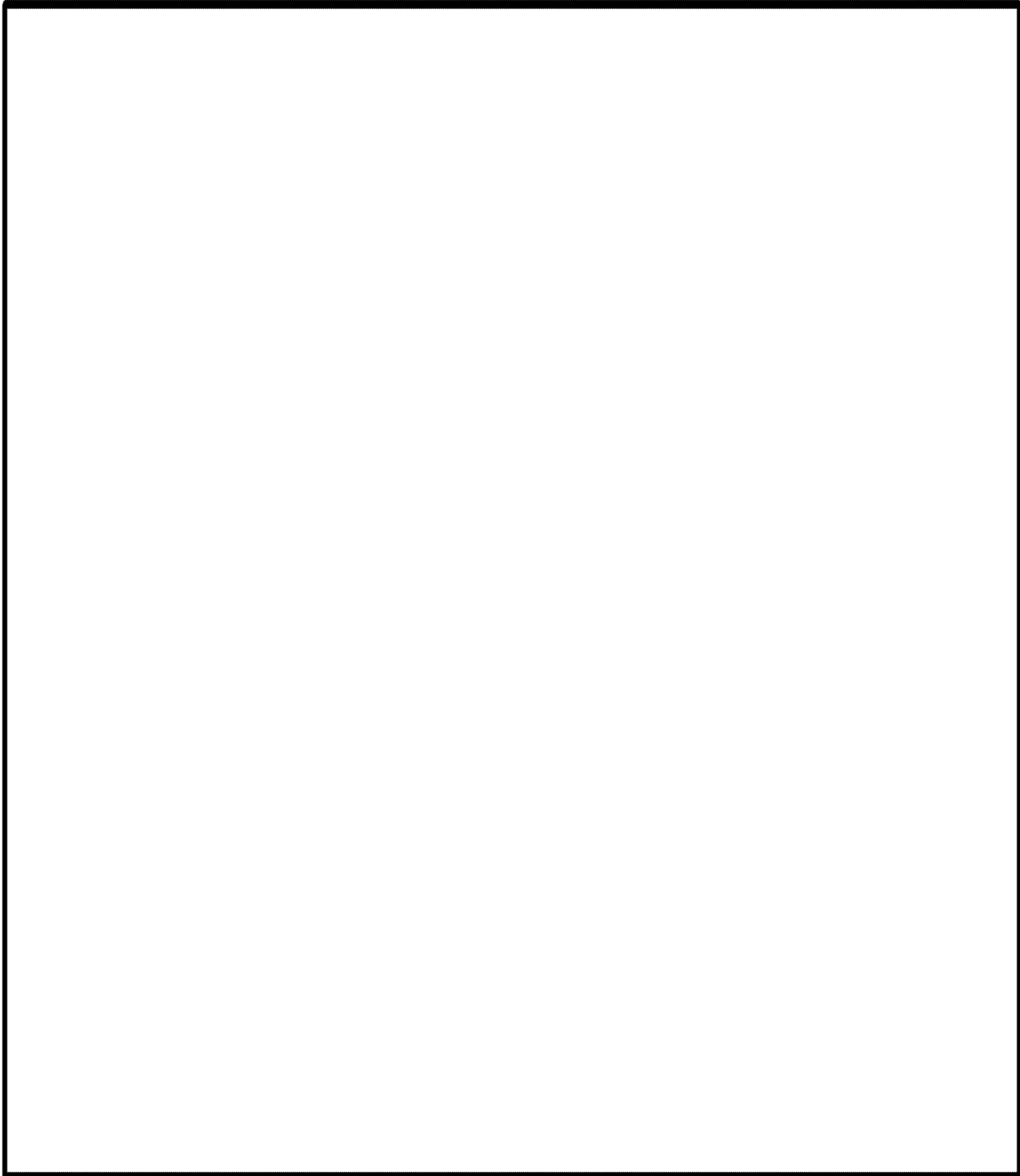


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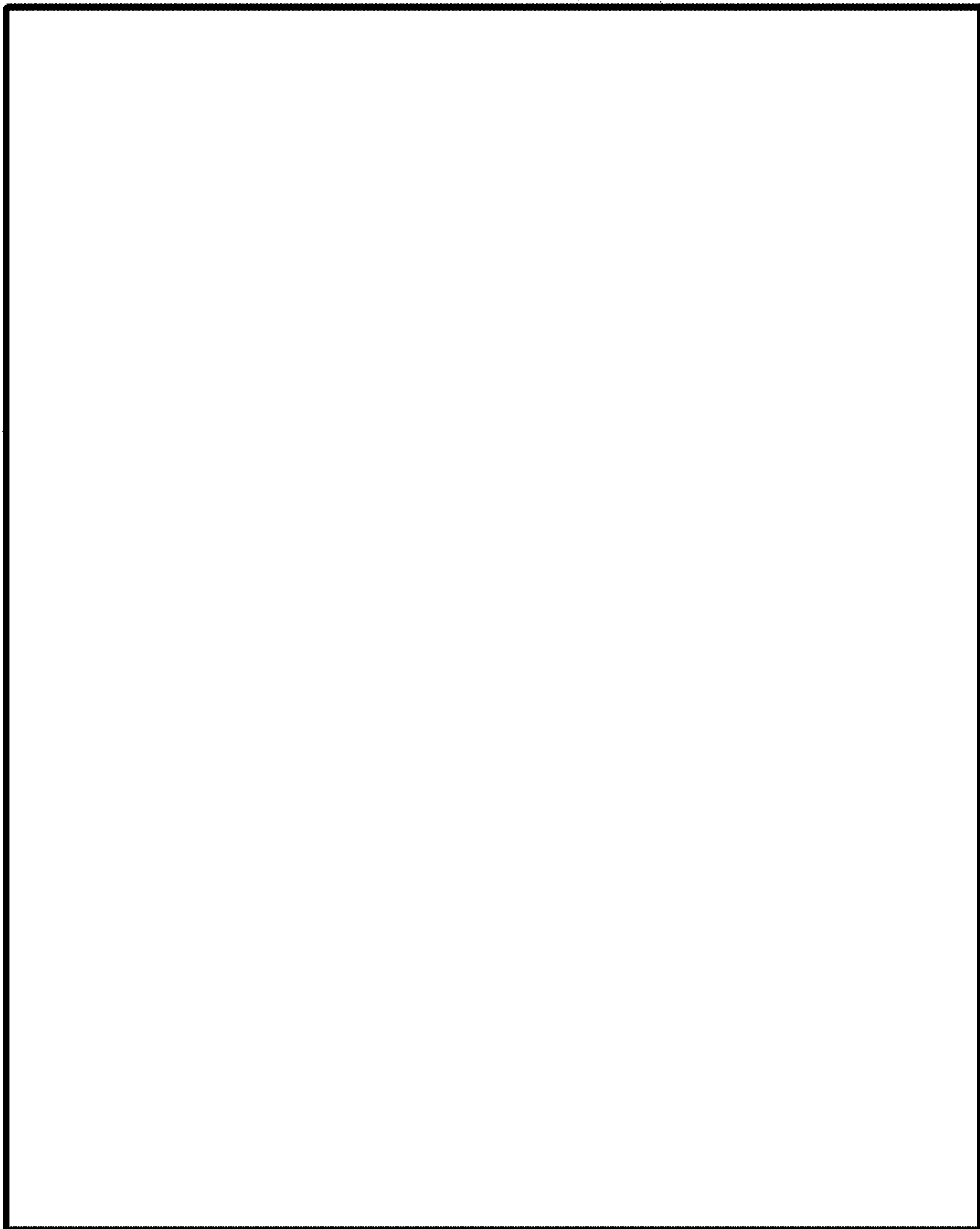


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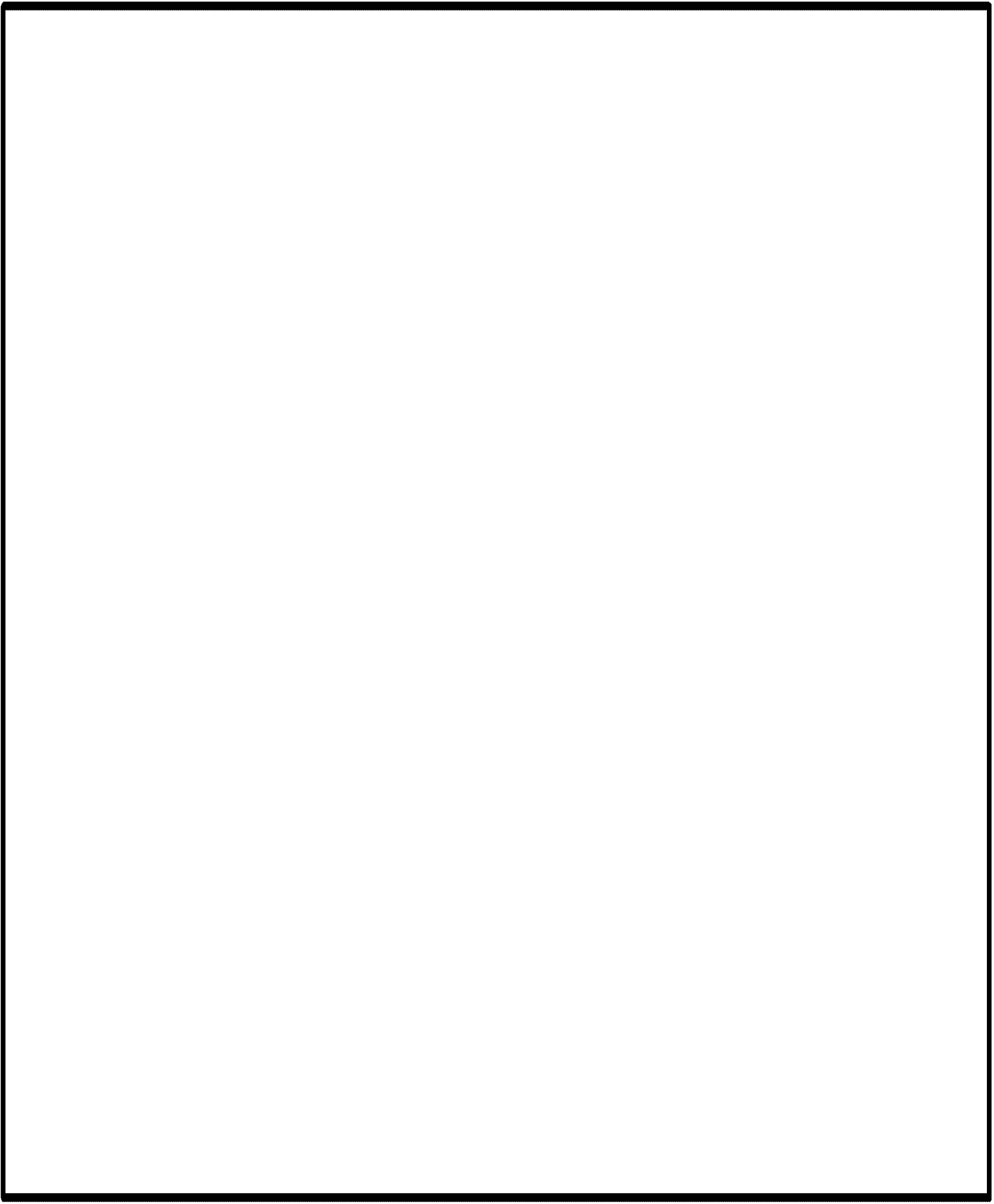


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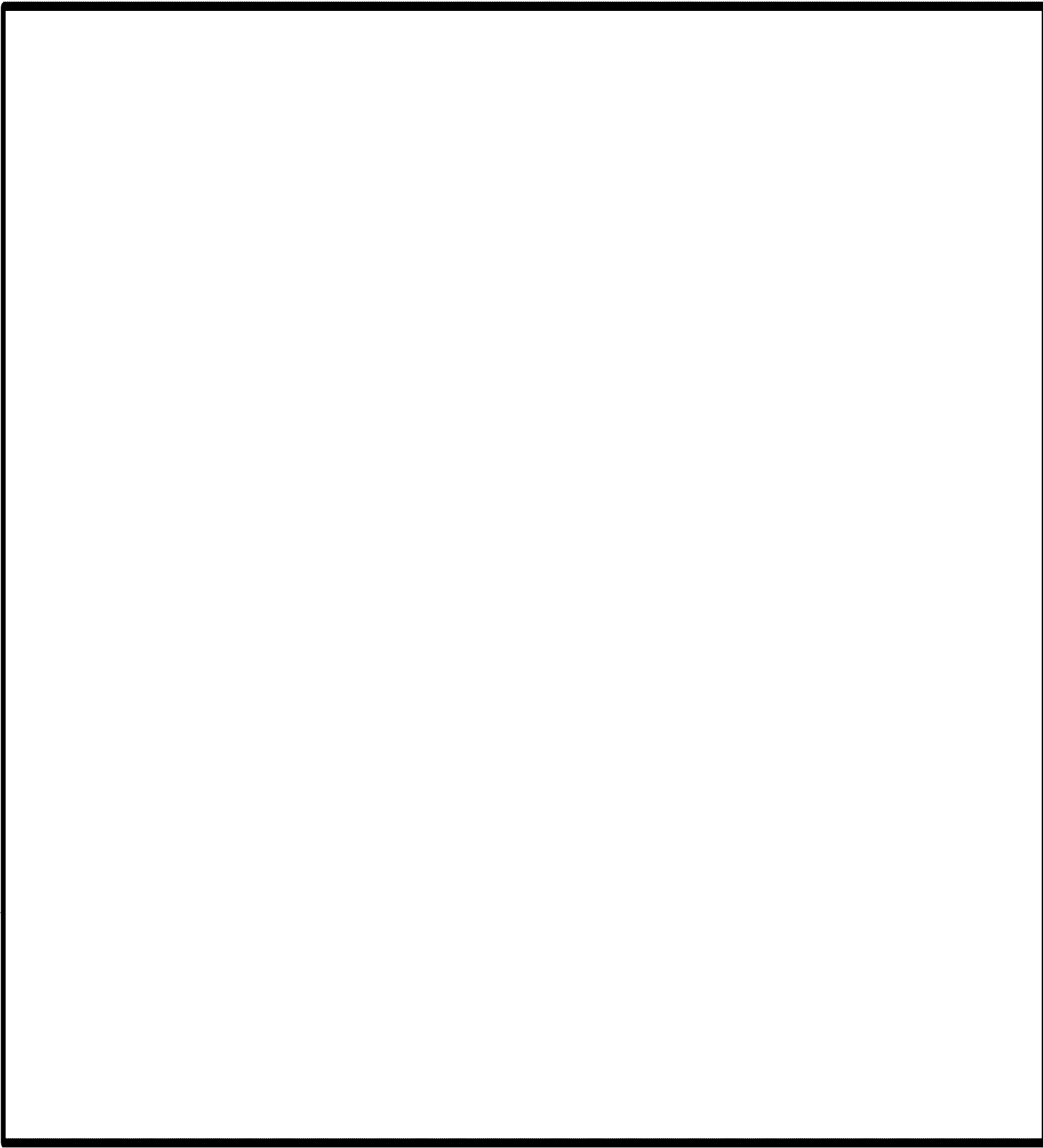
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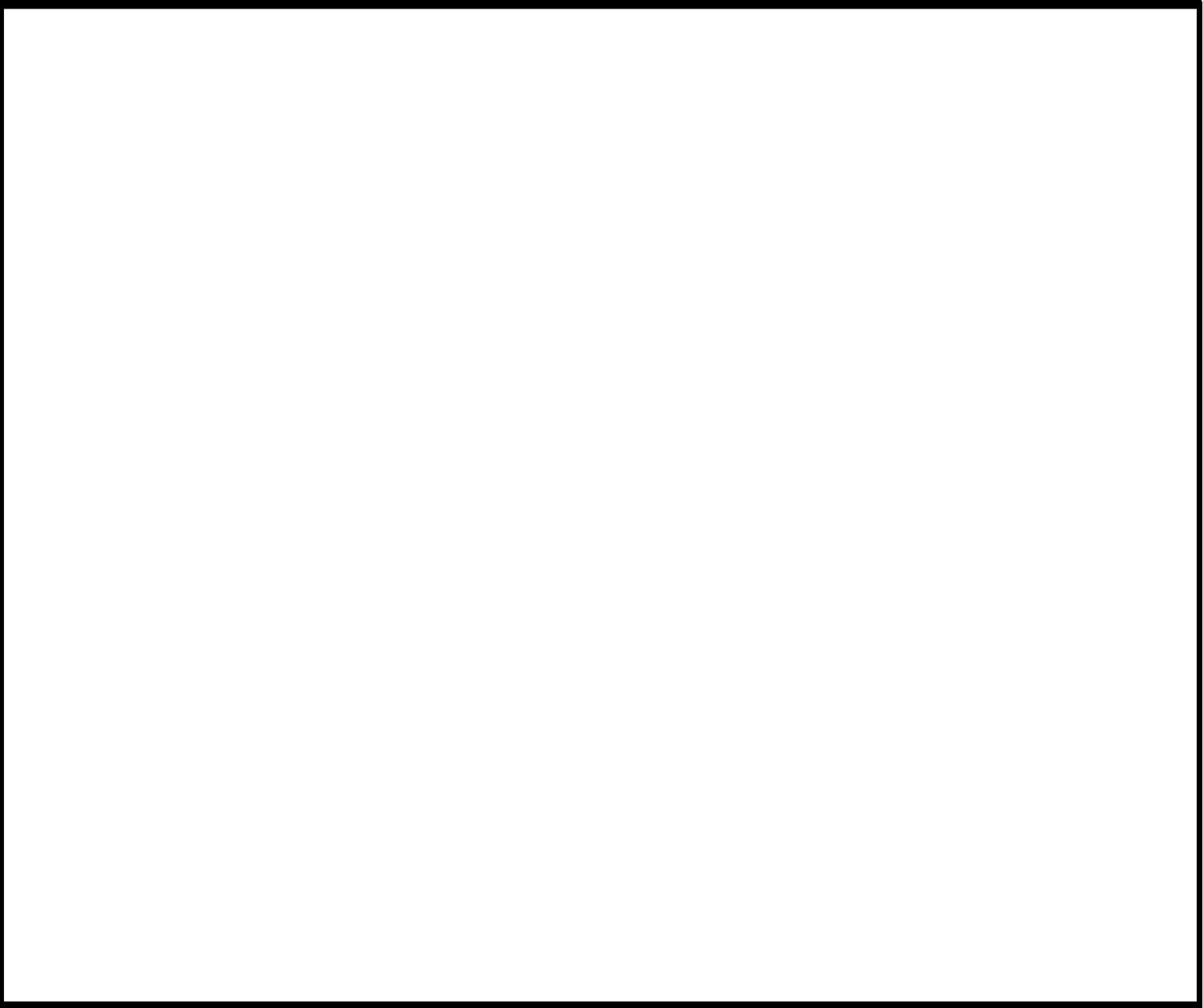


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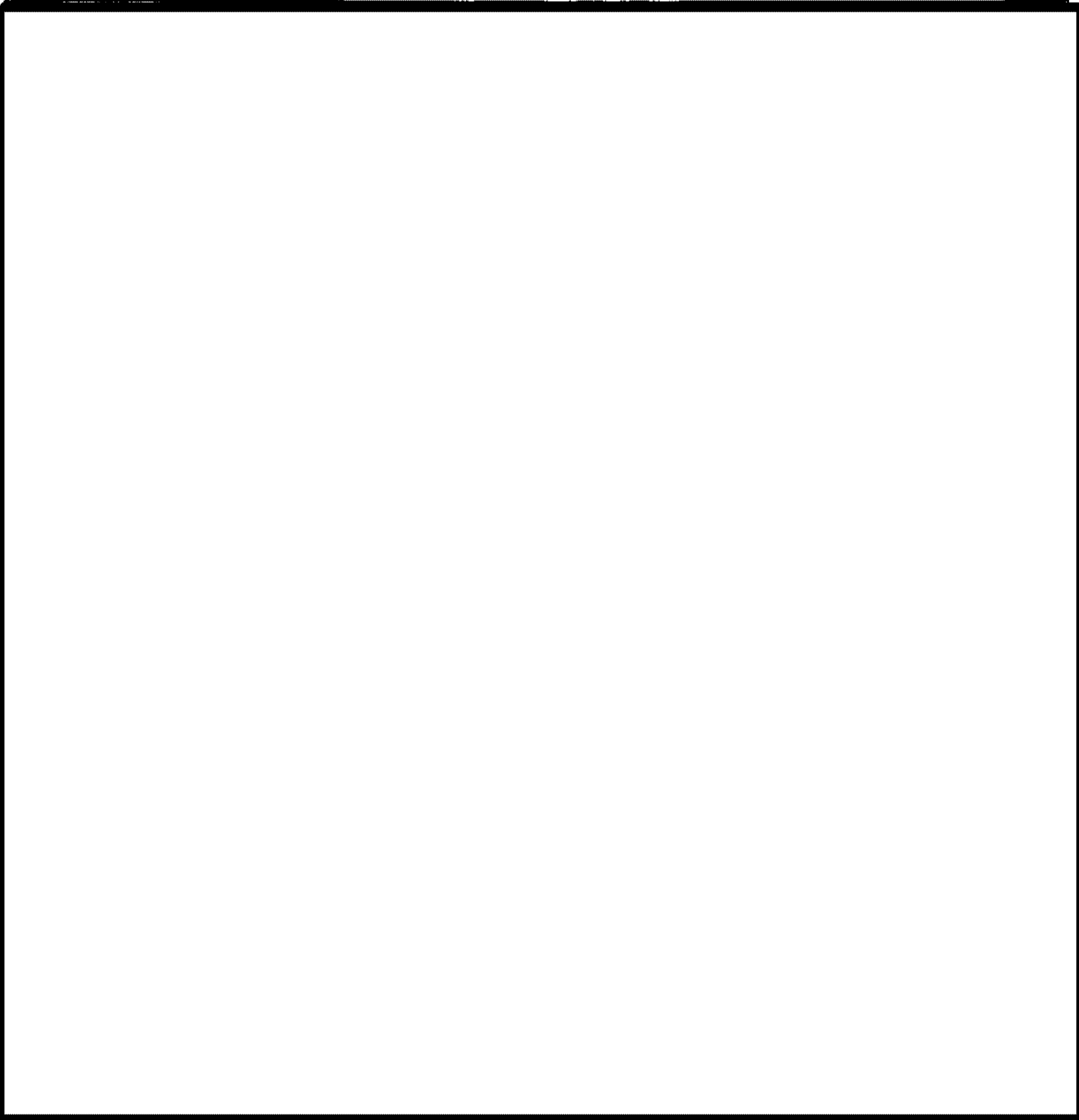


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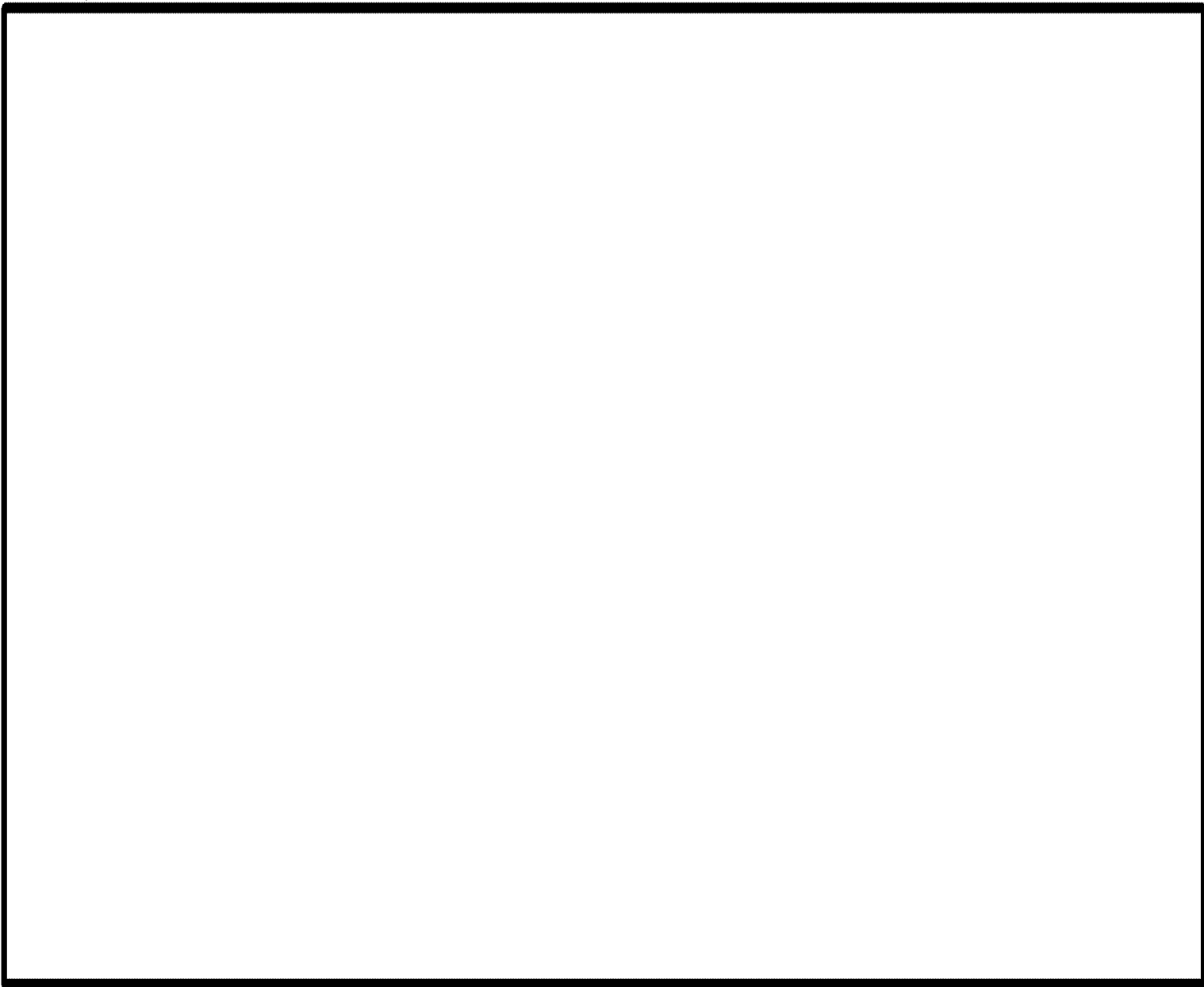




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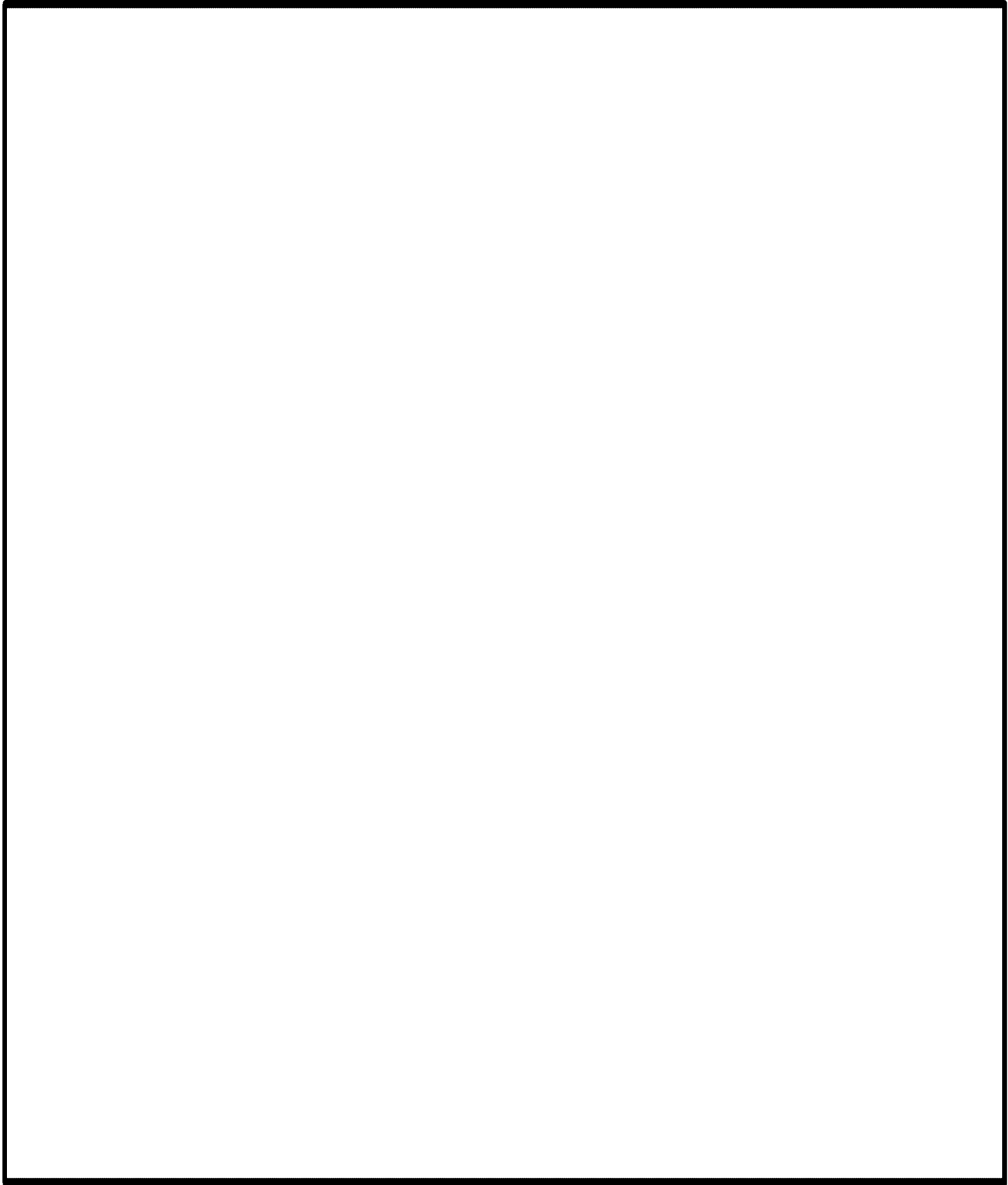


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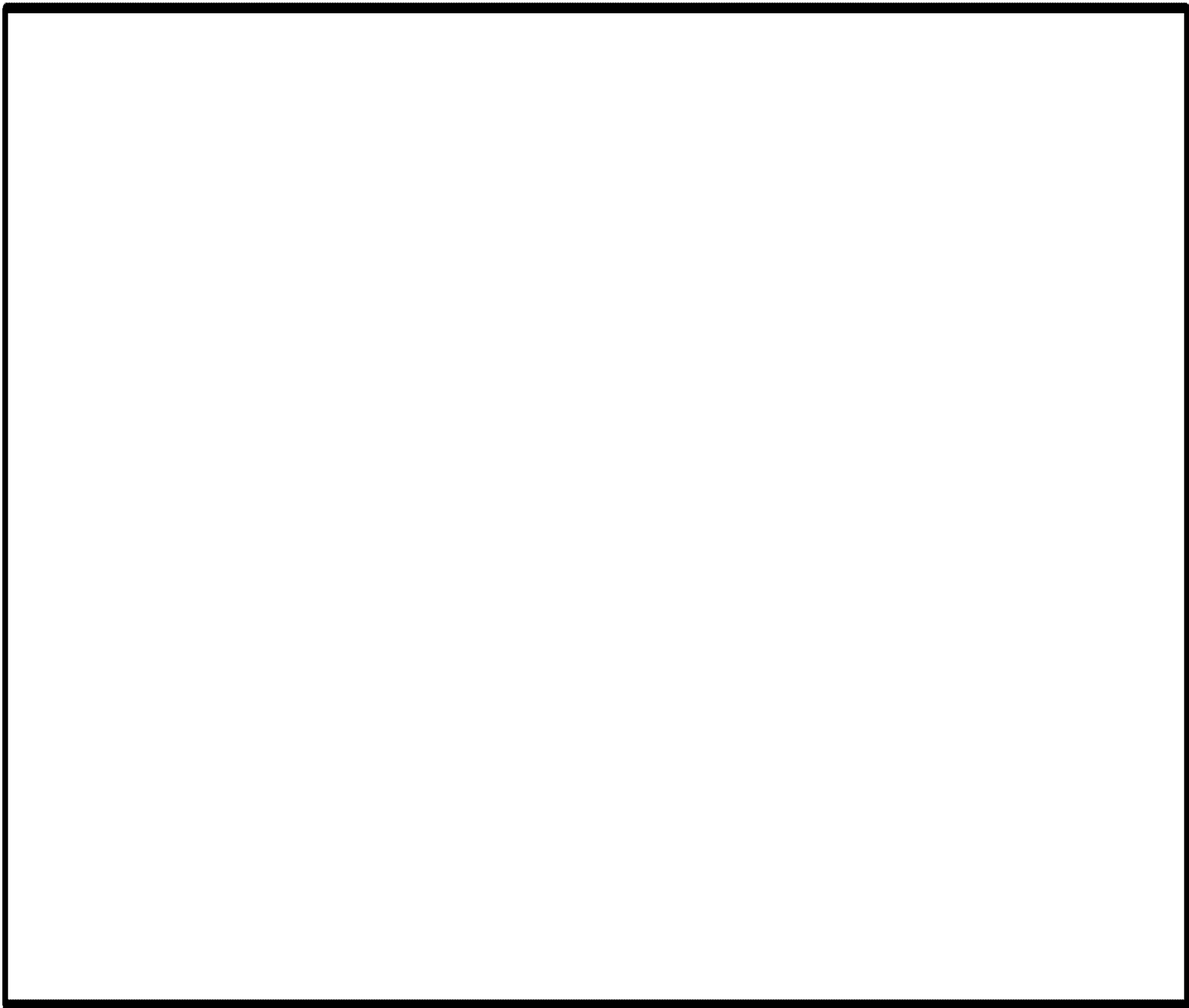


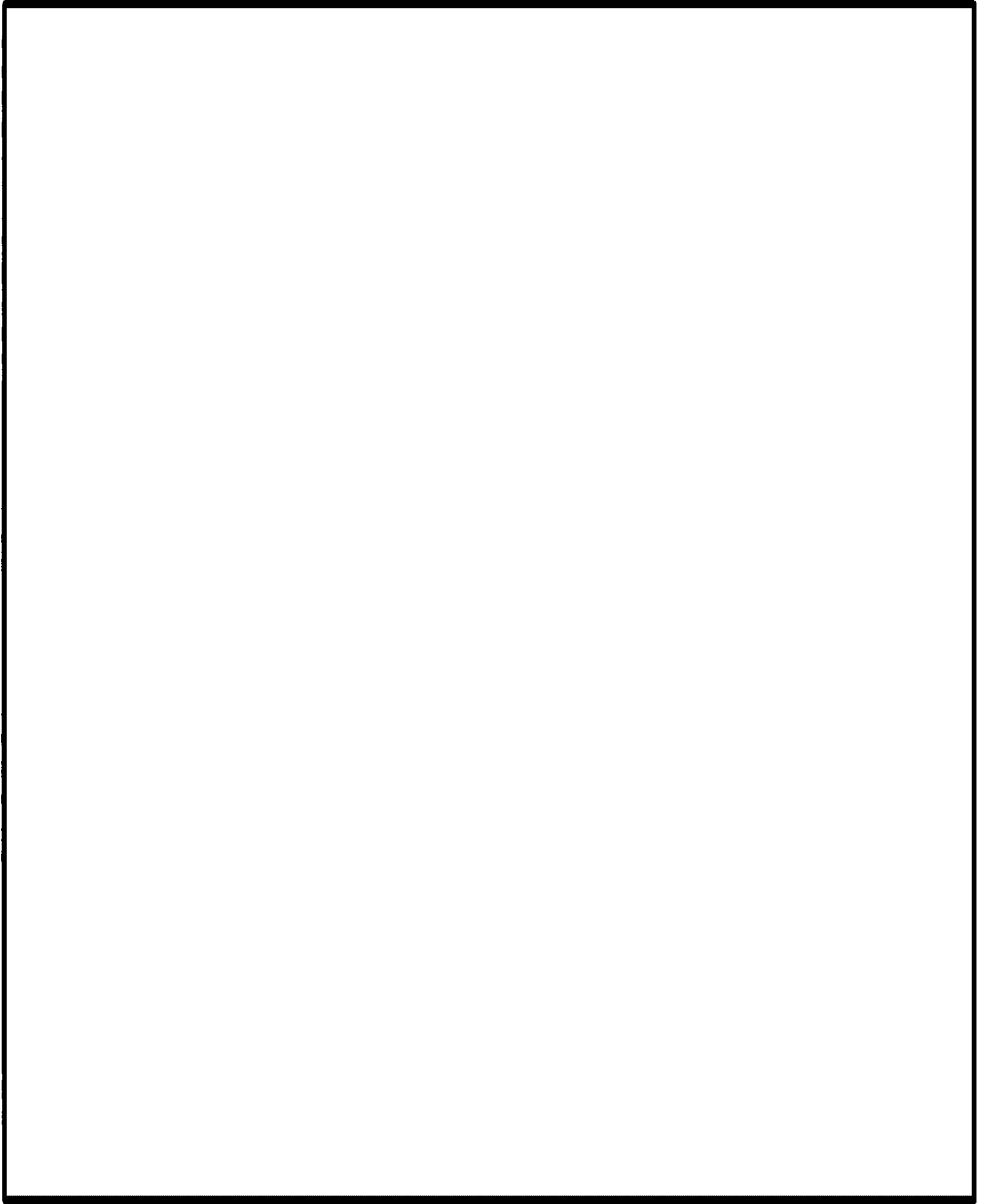


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From: [Stewart, Bion](#)
To: [Stewart, Bion](#)
Cc: [Halter, Greg](#); [Horowitz, Scott](#); [Beales, James](#)
Subject: Presidential Transition Office - Ready to Act: Panel Featuring Leaders from the 2008 Transition
Date: Thursday, September 15, 2016 9:54:17 AM

Transition Colleagues,

Just a reminder the Ready to Act panel featuring leaders from the 2008 transition is this Friday from 1:00 to 2:30 in the NAC large Conference room (NAC 01-01-044). The original invite is below. You, your career successor, and a plus-one were invited. If you have not already confirmed your Component's attendance with Greg, we would appreciate it if you could reach out to confirm today.

Thank you,

V/R,

Bion

Bion Stewart
Deputy Presidential Transition Officer
Department of Homeland Security
202-282-9125

From: Micone, Vincent
Sent: Monday, September 12, 2016 4:59 PM
Subject: Ready to Act: Panel Featuring Leaders from the 2008 Transition, September 16, 1 pm

Career Successors and SCAOs:

You are invited to attend a high-level discussion with previous DHS senior officials on their experiences in the 2008 Presidential transition. This panel, the first of our *Ready to Act* executive sessions, will be held on **Friday, September 16, 2016, 1-2:30 pm, in the NAC Large Conference Room**. Distinguished panelists (in alphabetical order) will include:

- Rand Beers, Former Acting Secretary and Under Secretary for NPPD. Mr. Beers was a leader of the 2008 DHS agency review team for then President-Elect Obama.
- Noah Kroloff, Former Chief of Staff to Secretary Napolitano. Mr. Kroloff assisted then Governor Napolitano through the confirmation process and was one of the first appointees at DHS after the Inauguration.
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Thanks,
Vince

Vince Micone
DHS Presidential Transition Officer
and Senior Counselor
Management Directorate
U.S. Department of Homeland Security
(202) 447-3400

From: USCIS Presidential Transition
To: Baran, Amanda
Cc: Renaud, Tracy L
Subject: RE: Transition Paper - Key Immigration Areas of Focus
Date: Wednesday, September 14, 2016 10:39:49 AM
Attachments: Issue Paper - Immigration Areas of Focus USCIS Edits Redlined.docx

This is what we have for now, but we may have more edits and comments depending on what I receive later today. We'll send our final version as soon as we can.

Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
(c) 202-489-8802

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From: Baran, Amanda
Sent: Wednesday, September 14, 2016 10:31 AM
To: USCIS Presidential Transition
Subject: RE: Transition Paper - Key Immigration Areas of Focus

Hi Julie, unfortunately this is due to my leadership by COB today, so please send me edits/comments ASAP. Thanks.

From: USCIS Presidential Transition
Sent: Wednesday, September 14, 2016 10:02 AM
To: Baran, Amanda <amanda.baran@hq.dhs.gov>; ICE Exec Sec <ICEExecSec2@ice.dhs.gov>; OGC Exec Sec <OGCExecSec@HQ.DHS.GOV>; Snell, Allison <Allison.Snell@HQ.DHS.GOV>; ROACH, LEWIS S <LEWIS.S.ROACH@cbp.dhs.gov>
Cc: Giovagnoli, Mary <mary.giovagnoli@hq.dhs.gov>; Renaud, Tracy L <Tracy.L.Renaud@uscis.dhs.gov>
Subject: RE: Transition Paper - Key Immigration Areas of Focus

Good morning, Amanda.

Thank you for taking the lead on this issue paper. Comments and edits from our operational components are due back to me today and then I will need to send the paper to our agency leadership for review. I will have final edits to you by Friday.

Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
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From: Baran, Amanda
Sent: Wednesday, September 14, 2016 9:44 AM
To: USCIS Presidential Transition; ICE Exec Sec; OGC Exec Sec; Snell, Allison; ROACH, LEWIS S
Cc: Giovagnoli, Mary
Subject: RE: Transition Paper - Key Immigration Areas of Focus

All,

I have not received your comments/edits to this paper and will need them ASAP. Please let me know if you have any questions.

Thanks,
Amanda

From: Baran, Amanda
Sent: Sunday, September 11, 2016 8:53 PM
To: USCIS Presidential Transition <uscispresidentialtransition@uscis.dhs.gov>; ICE Exec Sec <ICEExecSec2@ice.dhs.gov>; OGC Exec Sec <OGCExecSec@HQ.DHS.GOV>; MGMTExecSec <MGMTExecSec@HQ.DHS.GOV>; PRIV Exec Sec <PRIVExecSec@HQ.DHS.GOV>; CRCL Exec Sec <crclxecsec@HQ.DHS.GOV>; Shore, Stacy <Stacy.Shore@HQ.DHS.GOV>; Snell, Allison <Allison.Snell@HQ.DHS.GOV>; ROACH, LEWIS S <LEWIS.S.ROACH@cbp.dhs.gov>; Harris, Mark E (DHS CFO) <mark.harris@HQ.DHS.GOV>
Cc: Giovagnoli, Mary <Mary.Giovagnoli@hq.dhs.gov>
Subject: Transition Paper - Key Immigration Areas of Focus

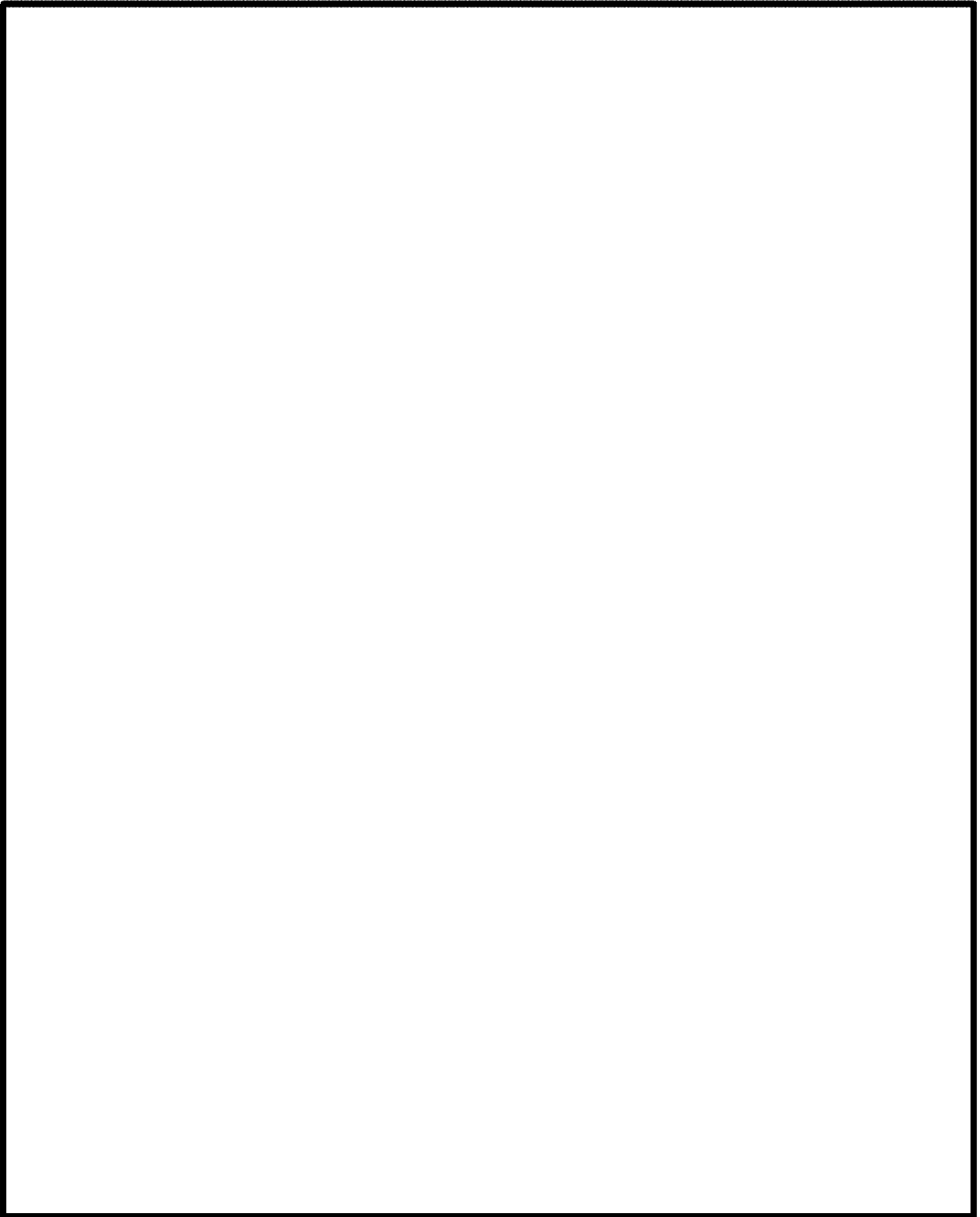
All,

Attached, please find a Presidential transition paper entitled, "Key Immigration Areas of Focus." Please forward any edits/comments to amanda.baran@hq.dhs.gov by COB Tuesday, September 13th.

Thanks,
Amanda

Amanda Baran
Principal Director, Immigration Policy
DHS Office of Policy

(b)(5)



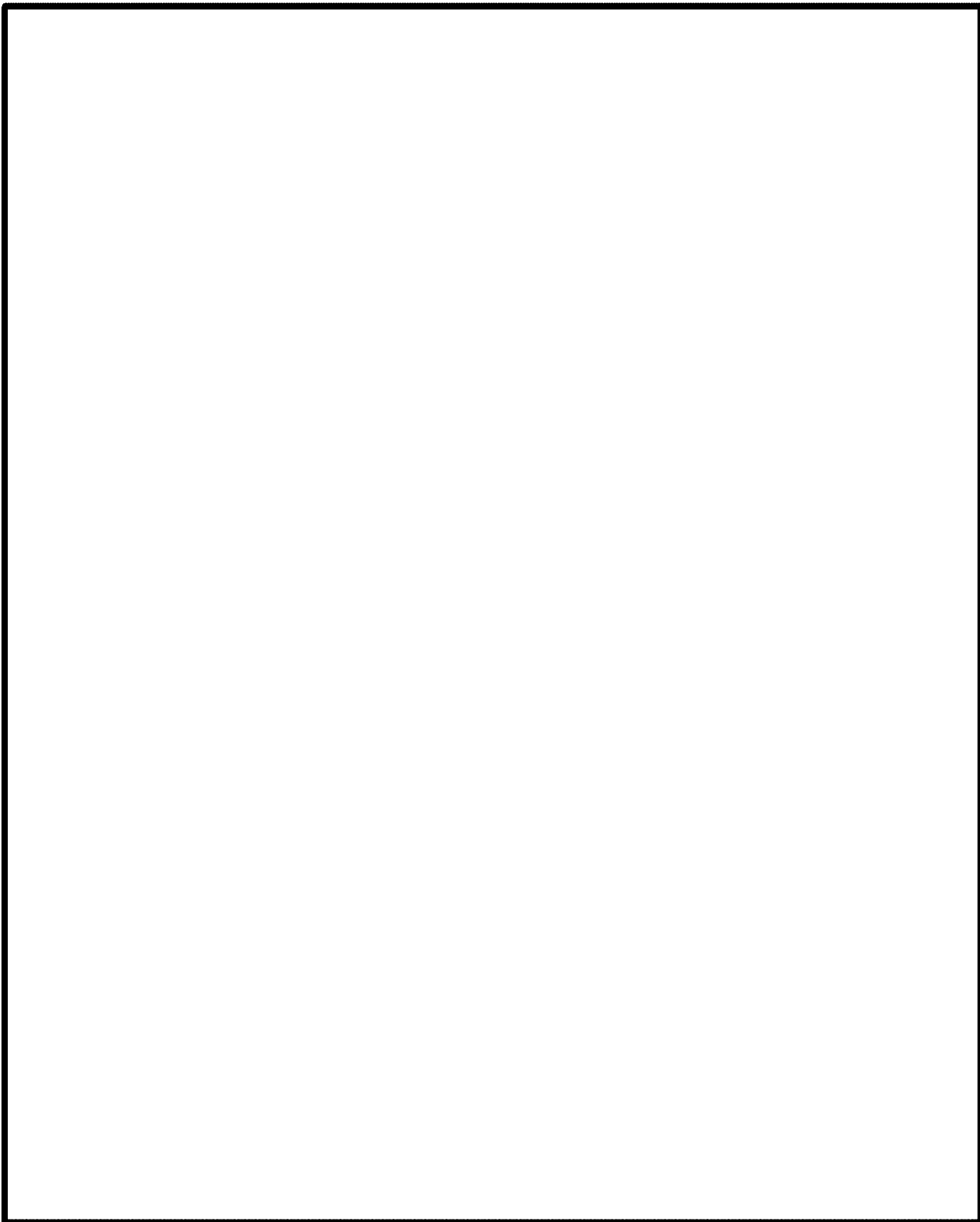
(b)(5)



(b)(5)



(b)(5)



From: USCIS Presidential Transition
To: Renaud, Tracy L
Subject: RE: Ready to Act: Panel Featuring Leaders from the 2008 Transition, September 16, 1 pm
Date: Tuesday, September 13, 2016 1:22:18 PM

Sorry about that. I haven't heard from Dea, but I believe everyone else is not in this week, so hopefully my invitation didn't cause too much trouble. ☹

From: Renaud, Tracy L
Sent: Tuesday, September 13, 2016 1:16 PM
To: USCIS Presidential Transition; McCament, James W; Levine, Laurence D; Carpenter, Dea D
Subject: RE: Ready to Act: Panel Featuring Leaders from the 2008 Transition, September 16, 1 pm

Julie-

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Tracy L. Renaud
Associate Director, Management
U.S. Citizenship and Immigration Services
Department of Homeland Security
202-272-1739 (office)

From: USCIS Presidential Transition
Sent: Tuesday, September 13, 2016 12:24:37 PM
To: McCament, James W; Levine, Laurence D; Carpenter, Dea D
Cc: Renaud, Tracy L
Subject: FW: Ready to Act: Panel Featuring Leaders from the 2008 Transition, September 16, 1 pm

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Julie Farnam
Senior Advisor
Field Operations Directorate
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(d) 202-272-1102
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From: Micone, Vincent

Sent: Monday, September 12, 2016 4:59 PM

Subject: Ready to Act: Panel Featuring Leaders from the 2008 Transition, September 16, 1 pm

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Vince Micone
DHS Presidential Transition Officer
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Management Directorate
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(202) 447-3400

From: USCIS Presidential Transition
To: Renaud, Tracy L; McCament, James W; Levine, Laurence D; Carpenter, Dea D
Subject: RE: Ready to Act: Panel Featuring Leaders from the 2008 Transition, September 16, 1 pm
Date: Tuesday, September 13, 2016 1:16:39 PM

Thanks, Tracy, I will confirm.

From: Renaud, Tracy L
Sent: Tuesday, September 13, 2016 1:16 PM
To: USCIS Presidential Transition; McCament, James W; Levine, Laurence D; Carpenter, Dea D
Subject: RE: Ready to Act: Panel Featuring Leaders from the 2008 Transition, September 16, 1 pm

Julie-

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202-272-1739 (office)

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Cc: Renaud, Tracy L
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DHS Presidential Transition Officer
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From: Renaud, Tracy L
To: USCIS Presidential Transition; McCament, James W; Levine, Laurence D; Carpenter, Dea D
Subject: RE: Ready to Act: Panel Featuring Leaders from the 2008 Transition, September 16, 1 pm
Date: Tuesday, September 13, 2016 1:15:40 PM

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To: McCament, James W; Levine, Laurence D; Carpenter, Dea D
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Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
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Vince Micone
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and Senior Counselor
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(202) 447-3400

From: Renaud, Tracy L
To: McCament, James W; USCIS Presidential Transition; Levine, Laurence D; Carpenter, Dea D
Subject: RE: Ready to Act: Panel Featuring Leaders from the 2008 Transition, September 16, 1 pm
Date: Tuesday, September 13, 2016 1:13:02 PM

It is it for all Actings. I think only those that will acting in the number 1 or 2 slot in each component.

Tracy L. Renaud
Associate Director, Management
U.S. Citizenship and Immigration Services
Department of Homeland Security
202-272-1739 (office)

From: McCament, James W
Sent: Tuesday, September 13, 2016 12:35:09 PM
To: USCIS Presidential Transition; Levine, Laurence D; Carpenter, Dea D
Cc: Renaud, Tracy L
Subject: RE: Ready to Act: Panel Featuring Leaders from the 2008 Transition, September 16, 1 pm

Julie, thank you for sending the invitation. I don't appear to have received it separately (unless I'm not on the distribution list?) I would love to attend-the line up of speakers will share a lot of great insight I know. Unfortunately, I'm out of town on Friday (personal) so will be unable to attend.

Thanks again,

James

James W. McCament
Deputy Associate Director, Service Center Operations
U.S. Citizenship and Immigration Services
Department of Homeland Security
Washington, DC 20529-2150
(202) 272-1571 (Office)|(202) 341-9757 (Cell)
james.w.mccament@uscis.dhs.gov

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From: USCIS Presidential Transition
Sent: Tuesday, September 13, 2016 12:25 PM
To: McCament, James W; Levine, Laurence D; Carpenter, Dea D
Cc: Renaud, Tracy L
Subject: FW: Ready to Act: Panel Featuring Leaders from the 2008 Transition, September 16, 1 pm

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Field Operations Directorate
U.S. Citizenship and Immigration Services
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Subject: RE: Ready to Act: Panel Featuring Leaders from the 2008 Transition, September 16, 1 pm
Date: Tuesday, September 13, 2016 12:35:10 PM

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Thanks again,

James

James W. McCament
Deputy Associate Director, Service Center Operations
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Washington, DC 20529-2150
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Management Directorate
U.S. Department of Homeland Security
(202) 447-3400

From: USCIS Presidential Transition
To: Young, Todd P; Walters, Jessica S
Cc: Renaud, Tracy L
Subject: FW: Ready to Act: Panel Featuring Leaders from the 2008 Transition, September 16, 1 pm
Date: Tuesday, September 13, 2016 12:25:56 PM

I don't know if Lori has received this invite or if she'd want to attend this discussion, but I am passing this along as she is a career successor.

Julie Farnam
Senior Advisor
Field Operations Directorate
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Subject: FW: Ready to Act: Panel Featuring Leaders from the 2008 Transition, September 16, 1 pm
Date: Tuesday, September 13, 2016 12:24:39 PM

I'm not sure if you received this message, but if not, I wanted to pass this along to you. You should have received an invite, but if you did not, please let me know. I already have a car reserved to go to the NAC, so if you'd like to join, please let me know and I'll make sure the car does not leave without you.

Thank you,
Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
(c) 202-489-8802

This communication, along with any attachments, may contain confidential information and is covered by federal laws governing electronic communications. Electronic communications may also be monitored by the Department of Homeland Security, U.S. Citizenship and Immigration Services. If the reader of this message is not the intended recipient, you are hereby notified that any dissemination, distribution, use, or copying of this message is strictly prohibited. If you have received this in error, please delete this message and all attachments and immediately notify the sender.

From: Micone, Vincent
Sent: Monday, September 12, 2016 4:59 PM
Subject: Ready to Act: Panel Featuring Leaders from the 2008 Transition, September 16, 1 pm

Career Successors and SCAOs:

You are invited to attend a high-level discussion with previous DHS senior officials on their experiences in the 2008 Presidential transition. This panel, the first of our *Ready to Act* executive sessions, will be held on **Friday, September 16, 2016, 1-2:30 pm, in the NAC Large Conference Room**. Distinguished panelists (in alphabetical order) will include:

- Rand Beers, Former Acting Secretary and Under Secretary for NPPD. Mr. Beers was a leader of the 2008 DHS agency review team for then President-Elect Obama.
- Noah Kroloff, Former Chief of Staff to Secretary Napolitano. Mr. Kroloff assisted then Governor Napolitano through the confirmation process and was one of the first appointees at DHS after the Inauguration.
- Chad Sweet, Former Chief of Staff to Secretary Chertoff. Mr. Sweet ensured a smooth transition from Secretary Chertoff to Secretary Napolitano.
- Paul Schneider, Former Deputy Secretary and Under Secretary for Management. Mr. Schneider provided executive leadership to the 2008 DHS transition program.

This will be an exceptional opportunity to understand the sprint that takes place after the Presidential election through the Inauguration and into the first months of a new administration.

Attendance will be limited to the Career Successors to Component Heads, Senior Component Accountable Officials for Transition, and one additional participant from each Operational Component,

Directorate, HQ Office and LOB such as an Action Officer or other transition lead.

An Outlook scheduler has been sent to you. To participate, please RSVP by 12 noon on Wednesday, September 13, to Greg Halter at greg.halter@hq.dhs.gov.

Thanks,
Vince

Vince Micone
DHS Presidential Transition Officer
and Senior Counselor
Management Directorate
U.S. Department of Homeland Security
(202) 447-3400

From: Micone, Vincent
Subject: Ready to Act: Panel Featuring Leaders from the 2008 Transition, September 16, 1 pm
Date: Monday, September 12, 2016 4:58:50 PM

Career Successors and SCAOs:

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Thanks,
Vince

Vince Micone
DHS Presidential Transition Officer
and Senior Counselor
Management Directorate
U.S. Department of Homeland Security
(202) 447-3400

From: USCIS Presidential Transition
To: USCIS Exec Sec
Cc: Renaud, Tracy L; Button, Maria G (Gemma)
Subject: Issue Paper Review Due COB 9/14
Date: Monday, September 12, 2016 8:37:00 AM
Attachments: Issue Paper - Immigration Areas of Focus USCIS Edits Clean.docx
Issue Paper - Immigration Areas of Focus USCIS Edits Redlined.docx
Importance: High

Good morning,

Attached is an issue paper providing an overview of immigration within the Department that DHS Policy drafted. This paper will be included along with other briefing materials as part of the presidential transition.

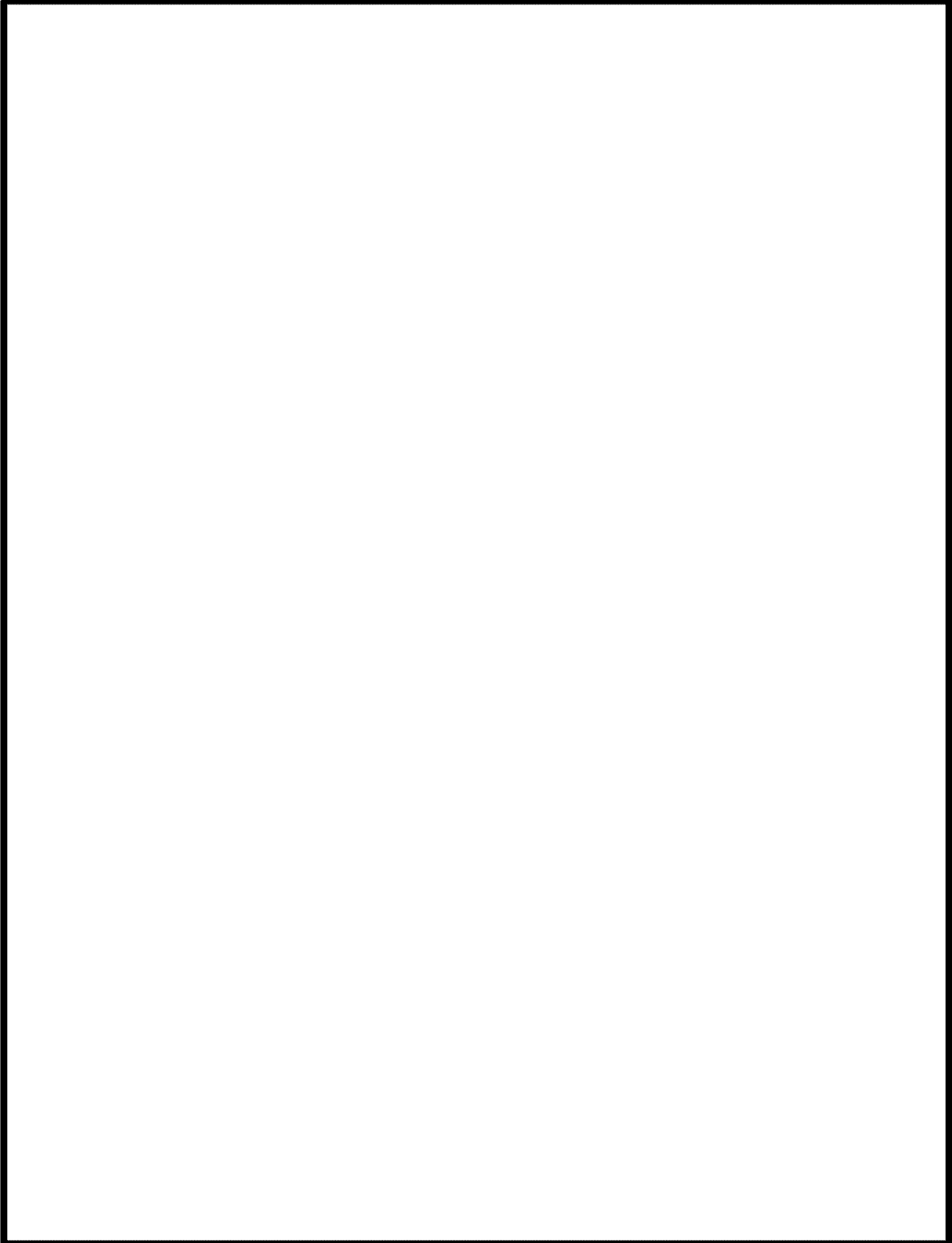
We request review/clearance from RAIO, FDNS, SCOPS, FOD, OCC, OP&S, OoC, by COB on Wednesday and clearance from the front office by noon on Friday. I've made edits to PLCY's original draft and have attached both a redlined and clean version of the document. Please note that the paper may not exceed three pages and the tone should be politically neutral.

Thank you,
Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
(c) 202-489-8802

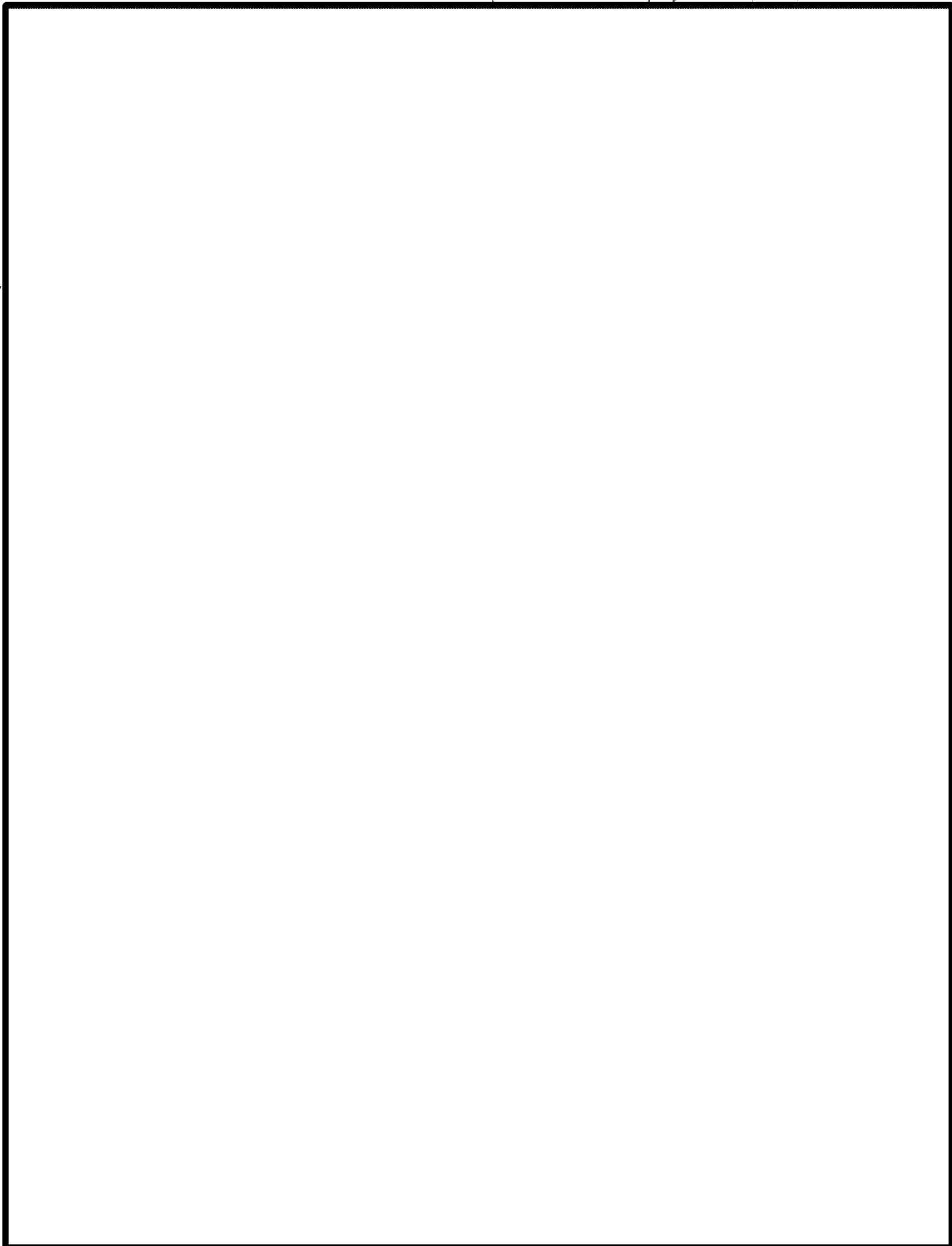
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(b)(5)

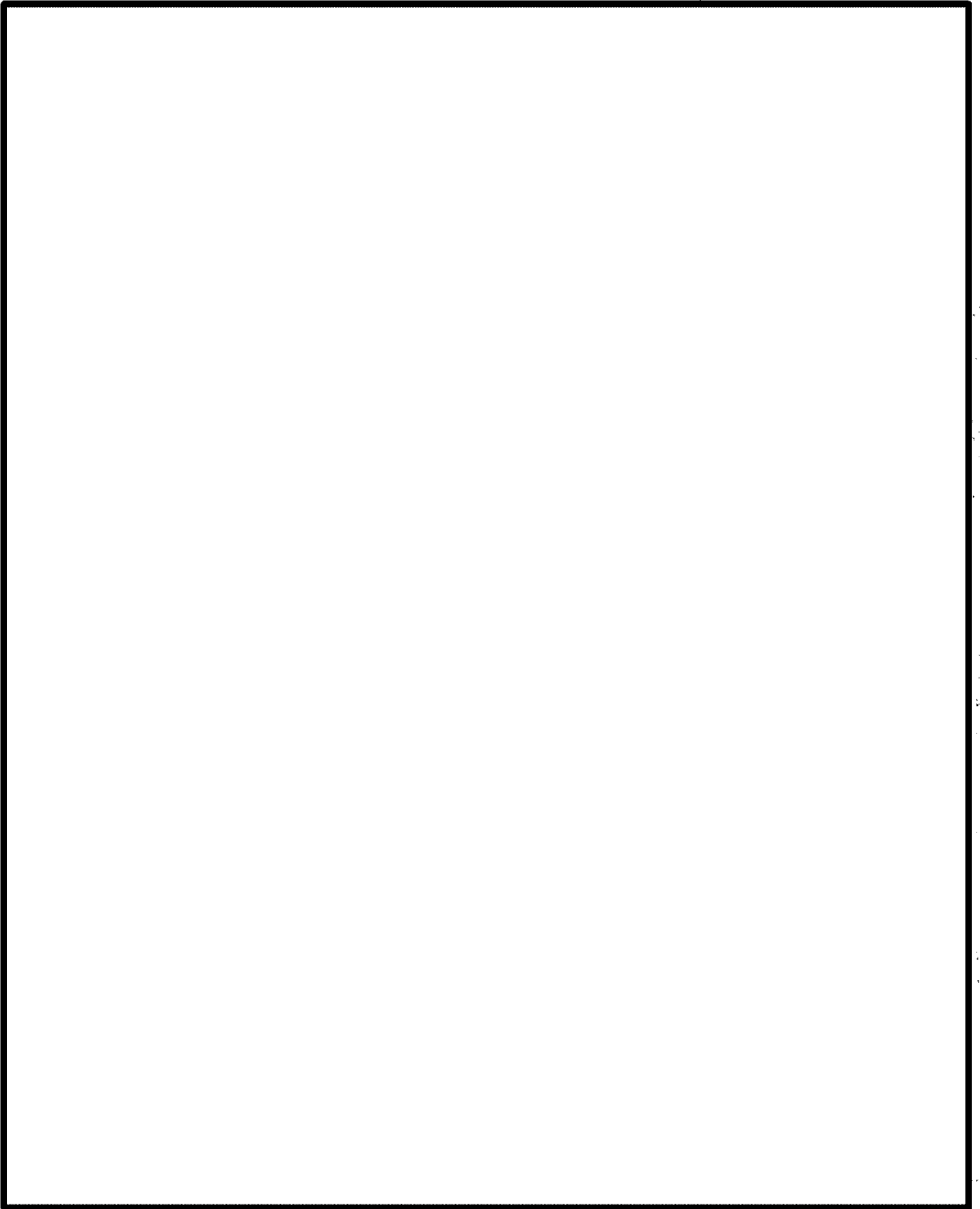
Key Immigration Areas of Focus



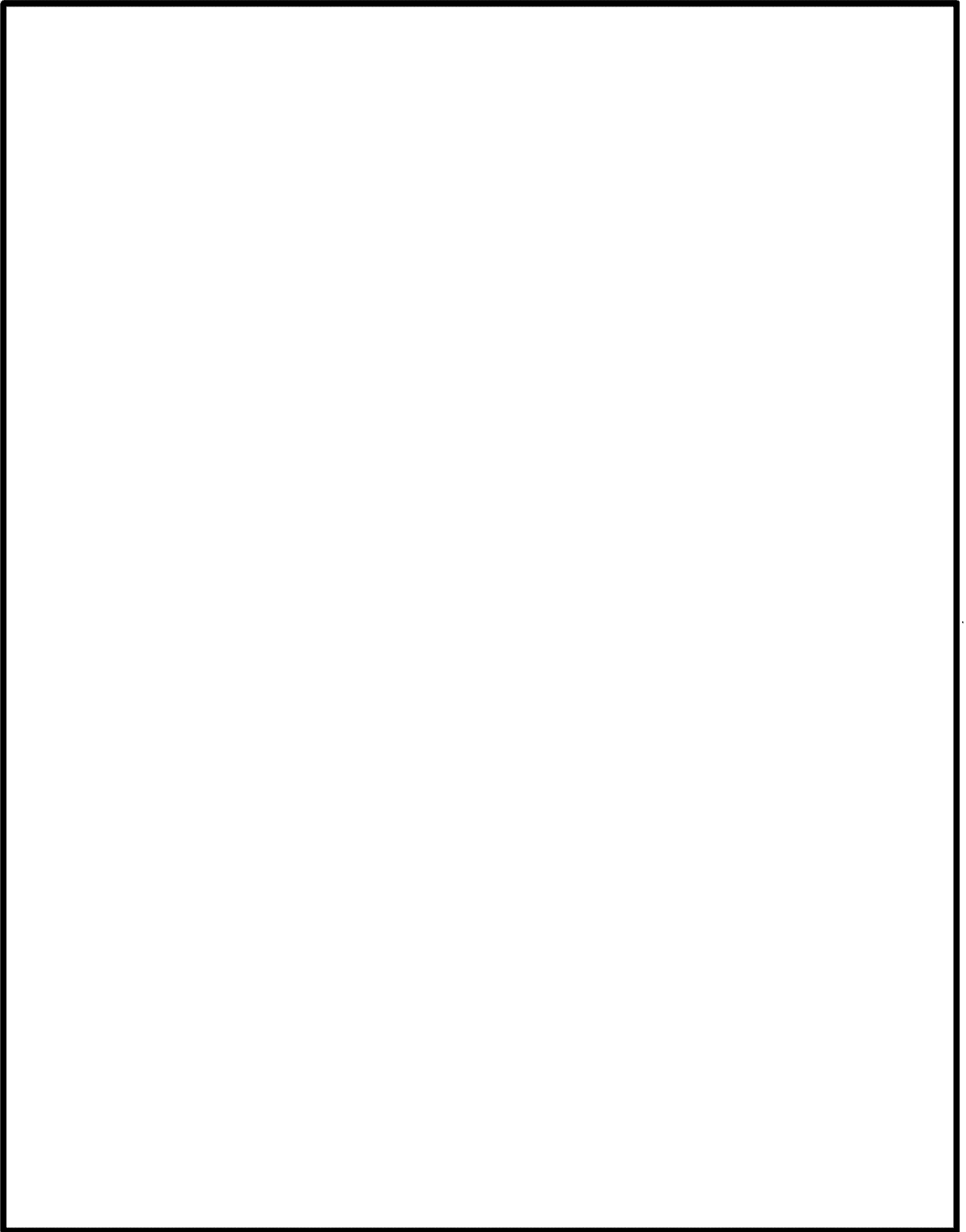
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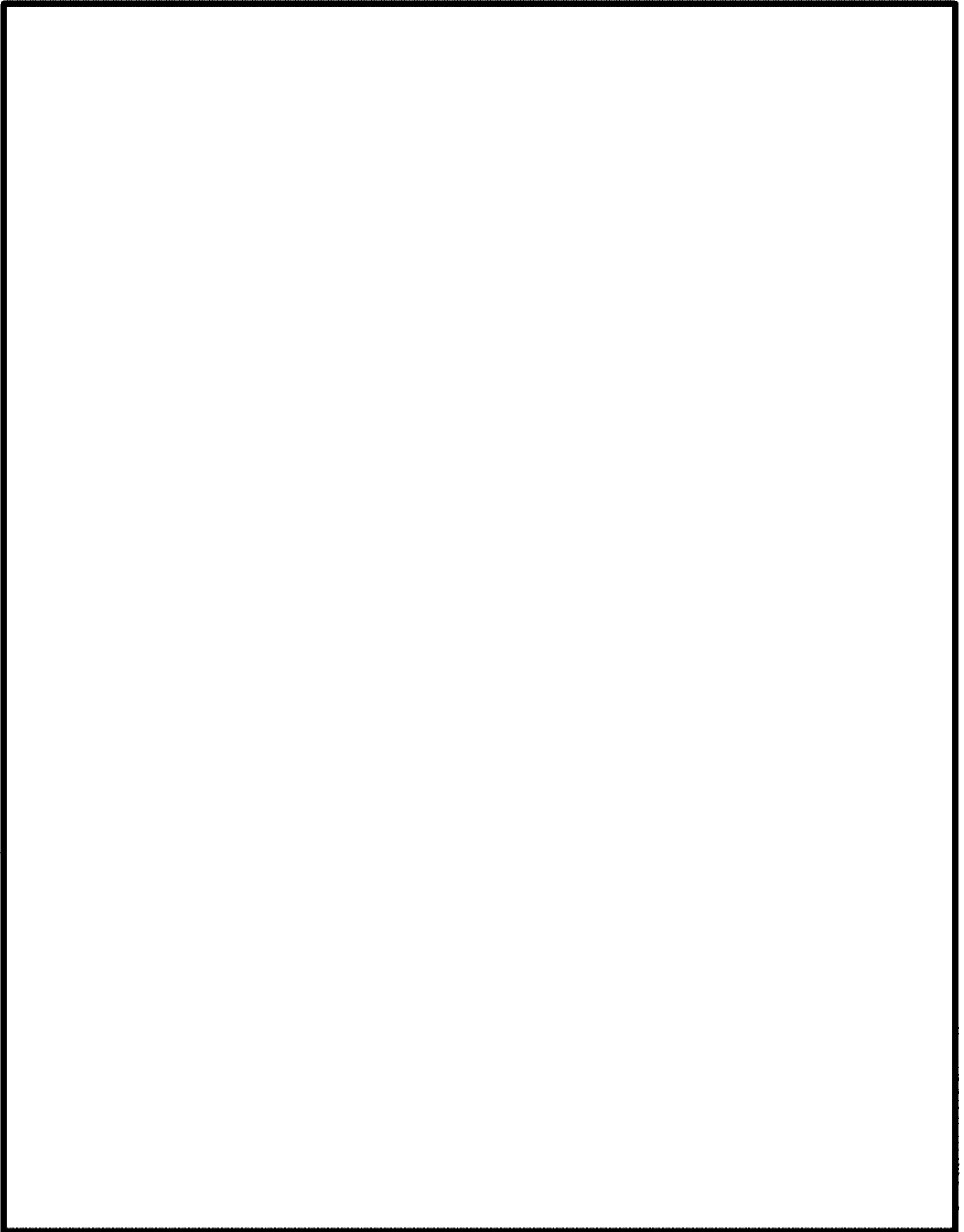
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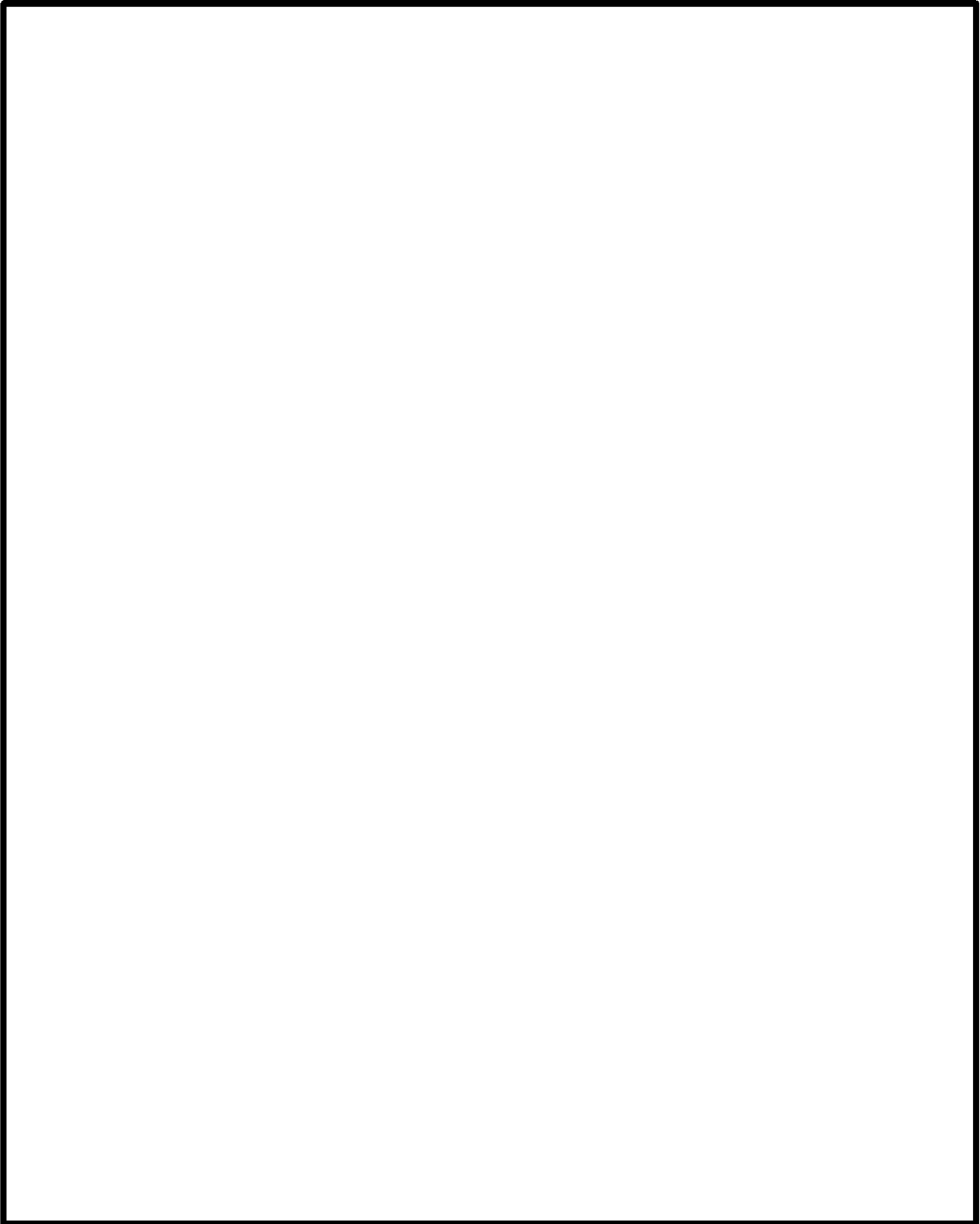
(b)(5)



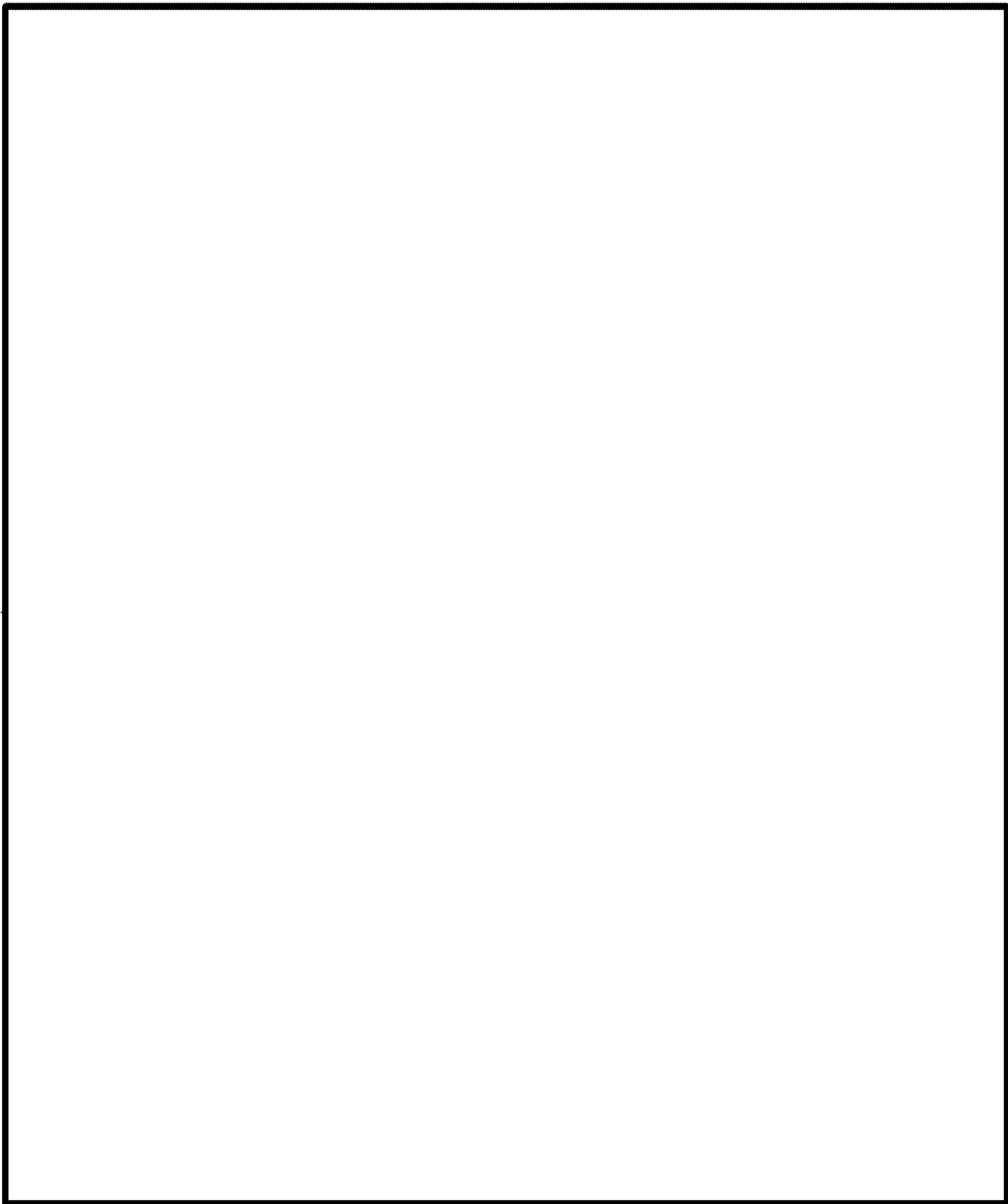
(b)(5)



(b)(5)



(b)(5)



From: [Stewart, Bion](#)
To: [PTO Master Distro](#)
Subject: Presidential Transition Office - Strategic Issue Paper - Review Process Update
Date: Friday, September 09, 2016 12:50:33 PM
Attachments: [Strategic Issue Paper Assignments 9.6.16.xlsx](#)

Transition Colleagues,

This is an update to the review and clearance process we are implementing for the Strategic Issue Papers. As noted previously the purpose of the co-lead/consult process is to provide an opportunity for broad collaboration up front in the drafting process and to allow interested stakeholders an opportunity to review drafts prior to submission to the PTO to help minimize the review and clearance time typically required for these broad, cross-cutting issues. Recognizing the role of certain offices responsible for department-wide policies and standards, and the unique requirements of the Senate confirmation process which these papers will directly support, the PTO will be coordinating a review process for all strategic issue papers with MGMT, OGC, OLA, and PLCY.

MGMT, OGC, OLA, and PLCY are also serving as co-leads and may be consulting in the initial drafting process for several of the strategic issue papers. This update to the review and clearance process does not change those roles. However, if MGMT, OGC, OLA, and PLCY would like to defer consultation on issue papers to the final review process, the PTO has no objection.

We know this is a challenging endeavor and we appreciate everyone's willingness to work together. The PTO participated in a roundtable with DOJ and their Bureaus as well as our law enforcement Components this morning, and one of the takeaways was it is clear DHS and all of you are well ahead of the curve in preparing for the transition. Furthermore, the draft papers we've previewed thus far have been excellent and reflect the unity of effort concepts we've been working toward as a foundational component of our transition activities.

There have been a few updates to the spreadsheet this week (highlighted in red). As always, please don't hesitate to reach out to the PTO with any questions you may have.

Thank you.

V/R,

Bion

Bion Stewart
Deputy Presidential Transition Officer
Department of Homeland Security
202-282-9125

From: [USCIS Presidential Transition](#)
To: [Baran, Amanda](#)
Cc: [Renaud, Tracy L](#)
Subject: FW: Presidential Transition- Strategic Issue Paper Tasking - PLCY Led
Date: Wednesday, September 07, 2016 2:39:49 PM
Attachments: [Issue Paper FormatV3.docx](#)
[Presidential Transition Office-Strategic Issue Paper Assignments - PLCY Tracker.xlsx](#)

Hi Amanda,

Emilie forwarded your message to me. Please feel free to reach out to me or our SCAO Tracy Renaud, copied on this message, in coordinating the drafting of issue papers. We have an immigration overview paper drafted and it is with our counsel now. Of course, our paper is only a piece of the whole immigration picture, but it should provide you with some useful stats regarding immigration. I hope to have the paper cleared to send to you either a little later today or sometime tomorrow. If you'd like to discuss further, please give me a call.

Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
(c) 202-489-8802.

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From: Baran, Amanda
Sent: Wednesday, September 07, 2016 2:54:26 PM
To: Hyams, Emilie R
Subject: FW: Presidential Transition- Strategic Issue Paper Tasking - PLCY Led

Hi Emilie,

As you can see from the attached, PLCY and USCIS have been tasked with drafting a transition paper entitled, "Immigration Overview." I will be leading this effort for PLCY and wanted to connect to discuss who at USCIS I should be in touch with regarding this paper.

Let me know if you have any questions.

Thanks!
Amanda

From: Petyo, Briana
Sent: Tuesday, September 6, 2016 6:58 PM.

To: Monarez, Susan <susan.monarez@hq.dhs.gov>; Sobel, Ted <ted.sobel@HQ.DHS.GOV>; Lester-Saura, Victoria <Victoria.LesterSaura@HQ.DHS.GOV>; Giovagnoli, Mary <mary.giovagnoli@hq.dhs.gov>; Baran, Amanda <amanda.baran@hq.dhs.gov>; Rogal, Leah <leah.rogal@hq.dhs.gov>; Pejic, Gregory <gregory.pejic@hq.dhs.gov>; Kuepper, Andrew <andrew.kuepper@hq.dhs.gov>; King, Matthew <matthew.king@hq.dhs.gov>; Scardaville, Michael <Michael.Scardaville@HQ.DHS.GOV>; Shelton, Paul <paul.shelton@hq.dhs.gov>
Cc: Burriesci, Kelli <kelli.burriesci@hq.dhs.gov>; Canevari, Holly <holly.canevari@HQ.DHS.GOV>
Subject: Presidential Transition- Strategic Issue Paper Tasking - PLCY Led

All,

We have received the first round of issue paper tasking from the Presidential Transition Office. If you are receiving this email, you are designated a co-lead on a paper for DHS. Attached please find the issue paper template and a spreadsheet that will outline the papers topics, assignments across the Components, and a detailed breakdown of internal PLCY leads and required coordinators.

Please be proactive in reaching out to your co-leads sooner rather than later to ensure you have a path forward and our input is included given the uncertainty of the co-lead construct. Be sure to coordinate closely with others in PLCY who have equities prior to circulating with other Components. Please let me know if you are having difficulty identifying the right POC for a co-lead and I can facilitate. Additionally, please remember that these are meant to be very high-level and only the most critical information for a Principal should be included. They should be no more than 3 pages in length and should be unclassified if possible but may be FOUO or LES, if necessary.

Papers are due to me and Kelli Ann by 9/14.

Thanks,
Briana

From: [Stewart, Bion](#)
To: [PTO Master Distro](#)
Subject: Presidential Transition Office - Strategic Issue Paper Spreadsheet (update)
Date: Friday, September 02, 2016 12:35:26 PM
Attachments: [Strategic Issue Paper Assignments 9.1.16.xlsx](#)

Transition Colleagues,

Attached is an updated version of the issue paper spreadsheet with the changes I have received (highlighted in red). Please let me know if you have additional changes or corrections.

I've seen a couple of draft papers that were provided to the PTO as an FYI, and they are both excellent. Thank you for the continued exceptional work on these products.

Please have a pleasant and safe Labor Day weekend.

V/R,

Bion

Bion Stewart
Deputy Presidential Transition Officer
Department of Homeland Security
202-282-9125

From: DMAG
To: DMAG
Subject: DMAG - Thursday September 1 (FY19-23 Winter Studies and Resource Planning Priorities)
Date: Monday, August 29, 2016 5:12:45 PM
Attachments: [Handout A - DMAG Agenda September 1.docx](#)
[Handout B - DMAG Decision Brief - FY19-23 RPG Winter Studies.pptx](#)
[Handout C - DMAG Decision Brief - FY19-23 RPG RPPs.pptx](#)

DMAG Members:

Please find the agenda and decision briefs for the Deputy's Management Action Group (DMAG) to be held from 11:15 AM to 12:45 PM on Thursday, September 1 in NAC 5, Conference Room 5107. The purpose of this meeting is to provide the Secretary with recommendations on 1) Winter Study topics and 2) Resource Planning Priorities to include in the FY2019-2023 Resource Planning Guidance (RPG).

You may read about DMAG procedures and recent "Summary of Conclusions" on the [DMAG Website](#).

Please direct your questions to the DMAG Executive Agent, DMAG@hq.dhs.gov / 202-447-3632.

-DMAG Executive Agent

From: Stewart, Bion
To: PTO Master Distro
Subject: RE: Presidential Transition Office - Updated Issue Paper Spreadsheet
Date: Thursday, August 25, 2016 12:06:54 PM
Attachments: Strategic Issue Paper Assignments 8.25.16.xlsx

Please refer to this version, which includes a few additional updates I missed. My apologies.

Bion

From: Stewart, Bion
Sent: Thursday, August 25, 2016 11:23 AM
To: PTO Master Distro <PTOMasterDistro@hq.dhs.gov>
Subject: Presidential Transition Office - Updated Issue Paper Spreadsheet

Transition Colleagues,

The attached spreadsheet is updated with changes in red based on feedback and communications being tracked by the PTO.

Most of the changes are related to consultation requests already made known to the PTO. There are two noteworthy changes related to the paper topics and co-leads:

(b)(5)

As was discussed last Thursday and again yesterday, those wishing to consult on a paper do not require approval or documentation by the PTO to work with the respective co-leads. Please continue to reach out and collaborate directly with your counterparts. The PTO will continue to track additions (and subtractions as appropriate) as they are made aware to us, and we will send out updates of this spreadsheet as necessary.

As a follow up to yesterday's discussion about attribution, as you wrap up your drafts, please note at the end of the paper the Component/Office and program most directly involved in drafting as well as those Components and Offices who consulted on and/or reviewed the paper.

Please let me know if you have any questions, and as always thank you for the tremendous work all of you are doing.

V/R,

Bion

Bion Stewart
Deputy Presidential Transition Officer

Department of Homeland Security
202-282-9125

From: Clark, Alaina
To: Renaud, Tracy L
Cc: Furst, Hala; Clark, Alaina
Subject: FW: Presidential Transition Office - Updated Issue Paper Spreadsheet - USCIS Issue Paper
Date: Thursday, August 25, 2016 11:57:34 AM
Attachments: Strategic Issue Paper Assignments 8.25.16.xlsx

Good Afternoon David,

(b)(5)

As a follow up to the PTO's instructions, the Office of Partnership & Engagement would like to be added as a "requested consultation" to the following issue paper that USCIS has lead on:

[REDACTED]

Regards,
Alaina

From: Stewart, Bion
Sent: Thursday, August 25, 2016 11:24 AM
To: PTO Master Distro <PTOMasterDistro@hq.dhs.gov>
Subject: Presidential Transition Office - Updated Issue Paper Spreadsheet

Transition Colleagues,

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Most of the changes are related to consultation requests already made known to the PTO. There are two noteworthy changes related to the paper topics and co-leads:

(b)(5)

[REDACTED]

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Please let me know if you have any questions, and as always thank you for the tremendous work all of you are doing.

V/R,

Bion

Bion Stewart
Deputy Presidential Transition Officer
Department of Homeland Security
202-282-9125

From: Stewart, Bion
To: PTO Master Distro
Subject: Presidential Transition Office - Updated Issue Paper Spreadsheet
Date: Thursday, August 25, 2016 11:23:33 AM
Attachments: Strategic Issue Paper Assignments 8.25.16.xlsx

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Please let me know if you have any questions, and as always thank you for the tremendous work all of you are doing.

V/R,

Bion

Bion Stewart
Deputy Presidential Transition Officer
Department of Homeland Security
202-282-9125

From: [Shore, Stacy](#)
To: [Renaud, Tracy L](#); [Farnam, Julie E](#); [Burriesci, Kelli](#)
Cc: [Horowitz, Scott](#); [Stewart, Bion](#); [Beagles, James](#)
Subject: FW: Presidential Transition Office - Strategic Issue Papers
Date: Thursday, August 25, 2016 10:56:01 AM
Attachments: [Strategic Issue Paper Assignments.xlsx](#)
[Issue Paper FormatV3.docx](#)
[Presidential Transition Strategic Issue Paper Topic ListV2.docx](#)

Good morning,

CISOMB would like to be added as a consultant on the Immigration Overview Issue Paper.

Thank you,

Stacy Shore
Acting Deputy Director
Office of the Citizenship and Immigration Services Ombudsman
U.S. Department of Homeland Security
(202) 357-8397
stacy.shore@hq.dhs.gov

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From: Stewart, Bion
Sent: Monday, August 15, 2016 2:02 PM
To: PTO Master Distro
Subject: Presidential Transition Office - Strategic Issue Papers

Transition Colleagues,

As previously conveyed, the PTO is providing you with an advance look at the DMAG-approved Strategic Issue Paper topic list. We are providing this advance look so co-leads may identify appropriate program leads, plan coordination, and begin drafting at your discretion. The PTO is working on scheduling time to brief S1/S2, and once the list receives final approval, a formal tasking will be sent out via ExecSec. The PTO will also highlight any S1 / S2 changes to the list at that time. The projected due date for the issue paper drafts is **COB September 21st** (a change from our original timeline of 9/15). We are still targeting finalizing all issue papers by **October 1st**, and will continue to monitor workload and timelines and make adjustments as necessary.

Guidance:

- The attached spreadsheet identifies the issue paper topics (as modified / amended by the DMAG), co-leads, a brief description of the paper based on the nominations, and requested consultations. Co-leads were identified based on the subject matter, nomination submissions, and assessment by the PTO. Requested consultations were identified in a similar fashion. SCOA's are responsible for coordinating paper development in consultation with their co-lead counterparts and working with consulting.
- Components or Offices who wish to change the designated co-leads for any topic may request a change after consultation with the designated or prospective co-leads as appropriate and an agreement is reached. The PTO will not entertain a unilateral request for a change of co-leads. Please notify the PTO via email of the agreed-upon change with all involved SCOA's included.
- Components or Offices who wish to provide input or request to consult on any strategic issue paper may request so through the designated co-leads. Co-leads are encouraged to collaborate with requested consulting Components and Offices to the greatest extent practicable.
- Co-leads are responsible for the content of the strategic issue papers including accepting or rejecting input from other Components and Offices at their discretion. Co-leads are also responsible for ensuring the draft is cleared by the designated requested consulting Components and Offices at a minimum prior to submitting to the PTO. Co-leads may coordinate review/clearance with other Components and Offices at their discretion. Due to the volume of papers and the timeline, not all Components and Offices will have an opportunity to review and clear on all strategic issue papers. This "pre-clearance" process will help facilitate a reasonable review and clearance process within the available timeline. Additional information regarding finalizing strategic issue papers will be provided at a later date.
- Issue papers are limited to **three pages of text** using the attached format unless otherwise noted. Co-leads are encouraged to include graphs, tables, and/or pictures as appropriate, which will not be counted against the page limit. The strategic issue paper format is based largely on the format used for S1 hearing preparations. The purpose of these papers is not

to make the reader a subject matter expert, but to provide the incoming leadership with the **most critical information** they should know on these topics in their first 30-60 days. Please ensure the papers focus only on the key components of the issue and are drafted for S1 / S2 or Component / Office Head consumption. If it is not possible to reasonably convey the critical information in three pages of text, please contact the PTO to discuss options. The expectation is the incoming leadership will request additional detail and briefings on these topics as desired.

- These papers are not intended for the transition team, but for incoming appointees so the papers may be FOUO or LE Sensitive if necessary (unclassified preferred if possible). If a co-lead determines an issue paper must be classified, please contact the PTO to discuss.

The PTO will send an invite for a conference call in the next couple of days to discuss the way ahead and answer any questions you may have about the strategic issue papers.

I've also attached a briefing paper capturing all the feedback received from the DMAG as well as a bucketed list of topics and co-leads for easier reference.

Thank you once again for your support and tremendous efforts.

V/R,

Bion

Bion Stewart
Deputy Presidential Transition Officer
Department of Homeland Security
202-282-9125

From: Andreacchio, Miranda
To: Stewart, Bion; PTO Master Distro
Cc: Venzor, Jose; Lasov, Jeffrey; Stefano, Benjamin; Downey, Teresa; Curry, Timothy; Rohde, Brian; Vislocky, Lori; Anderson, Christopher; Buss, Nathaniel; Vockel, James P; Button, Christopher; Boncella, Renee; Jones, Rodney; Reifer, Chad; Spencer, William; Marvin, Scott
Subject: RE: Presidential Transition Office - Strategic Issue Papers
Date: Wednesday, August 24, 2016 1:40:37 PM
Attachments: Strategic Issue Paper Assignments (IA POCs).xlsx

All: Apologies for the multiple emails. Once, slight change, we are not requesting co-lead on the transportation threats paper, consultation is sufficient. Please use the updated spreadsheet attached.

Thanks,
Miranda

Miranda J. Andreacchio
Branch Chief, Executive Secretariat
Office of Intelligence and Analysis
Department of Homeland Security
(202) 282-9149
I&AExecSec@hq.dhs.gov

From: Andreacchio, Miranda
Sent: Wednesday, August 24, 2016 1:29 PM
To: Stewart, Bion <bion.stewart@hq.dhs.gov>; PTO Master Distro <PTOMasterDistro@hq.dhs.gov>
Cc: Venzor, Jose <Jose.Venzor@hq.dhs.gov>; Lasov, Jeffrey <Jeffrey.Lasov@HQ.DHS.GOV>; Stefano, Benjamin <Benjamin.Stefano@HQ.DHS.GOV>; Downey, Teresa <Teresa.Downey@hq.dhs.gov>; Curry, Timothy <Timothy.Curry@HQ.DHS.GOV>; Rohde, Brian <Brian.Rohde@HQ.DHS.GOV>; Vislocky, Lori <lori.vislocky@hq.dhs.gov>; Anderson, Christopher <Christopher.Anderson1@hq.dhs.gov>; Buss, Nathaniel <nathaniel.buss@HQ.DHS.GOV>; Vockel, James P <James.P.Vockel@HQ.DHS.GOV>; Button, Christopher <Christopher.Button@HQ.DHS.GOV>; Boncella, Renee <renee.boncella@HQ.DHS.GOV>; Jones, Rodney <rodney.jones@HQ.DHS.GOV>; Reifer, Chad <Chad.Reifer@HQ.DHS.GOV>; Spencer, William <William.Spencer@HQ.DHS.GOV>; Marvin, Scott <Scott.Marvin@HQ.DHS.GOV>
Subject: RE: Presidential Transition Office - Strategic Issue Papers

Transition team members:

Please find attached I&A and CT POCs and their email addresses listed next to each paper where we have a role.

Please note, we are requesting to be added as a co-lead along with TSA and CBP to "Persistent Threats to Transportation Security." Additionally, we are requesting to be added as consultation on the following papers:

"Security and Facilitation of Travel"
"Cybersecurity Policy and Authority"

"Countering Violent Extremism"

"Screening/Vetting"

"Emerging Infectious Disease, Biological, and Chemical Threats to the Homeland"

"Enforcement, Facilitation, and Security of Trade"

CT Staff, as the primary co-lead for the CT paper, will work on an initial draft and I will send to the co-lead POCs (and their respective transition POCs) to add input and clear before we send to those requesting consultation to review. For papers where we are a secondary co-lead, please have your lead POCs cc me when they send drafts to our POCs to add input to these papers so that I can ensure we also get our leadership review on those drafts. For papers where we are required consultation, please feel free to send direct to the POCs I have listed to gather their comments/edits.

Please let me know if you have any questions or concerns.

Thanks,
Miranda

Miranda J. Andreacchio

Branch Chief, Executive Secretariat

Office of Intelligence and Analysis

Department of Homeland Security

(202) 282-9149

I&AExecSec@hq.dhs.gov

From: Stewart, Bion

Sent: Monday, August 15, 2016 2:02 PM

To: PTO Master Distro <PTOMasterDistro@hq.dhs.gov>

Subject: Presidential Transition Office - Strategic Issue Papers

Transition Colleagues,

As previously conveyed, the PTO is providing you with an advance look at the DMAG-approved Strategic Issue Paper topic list. We are providing this advance look so co-leads may identify appropriate program leads, plan coordination, and begin drafting at your discretion. The PTO is working on scheduling time to brief S1/S2, and once the list receives final approval, a formal tasking will be sent out via ExecSec. The PTO will also highlight any S1 / S2 changes to the list at that time.

The projected due date for the issue paper drafts is **COB September 21st** (a change from our original timeline of 9/15). We are still targeting finalizing all issue papers by **October 1st**, and will continue to monitor workload and timelines and make adjustments as necessary.

Guidance:

- The attached spreadsheet identifies the issue paper topics (as modified / amended by the DMAG), co-leads, a brief description of the paper based on the nominations, and requested consultations. Co-leads were identified based on the subject matter, nomination

submissions, and assessment by the PTO. Requested consultations were identified in a similar fashion. SCOA's are responsible for coordinating paper development in consultation with their co-lead counterparts and working with consulting.

- Components or Offices who wish to change the designated co-leads for any topic may request a change after consultation with the designated or prospective co-leads as appropriate and an agreement is reached. The PTO will not entertain a unilateral request for a change of co-leads. Please notify the PTO via email of the agreed-upon change with all involved SCOA's included.
- Components or Offices who wish to provide input or request to consult on any strategic issue paper may request so through the designated co-leads. Co-leads are encouraged to collaborate with requested consulting Components and Offices to the greatest extent practicable.
- Co-leads are responsible for the content of the strategic issue papers including accepting or rejecting input from other Components and Offices at their discretion. Co-leads are also responsible for ensuring the draft is cleared by the designated requested consulting Components and Offices at a minimum prior to submitting to the PTO. Co-leads may coordinate review/clearance with other Components and Offices at their discretion. Due to the volume of papers and the timeline, not all Components and Offices will have an opportunity to review and clear on all strategic issue papers. This "pre-clearance" process will help facilitate a reasonable review and clearance process within the available timeline. Additional information regarding finalizing strategic issue papers will be provided at a later date.
- Issue papers are limited to **three pages of text** using the attached format unless otherwise noted. Co-leads are encouraged to include graphs, tables, and/or pictures as appropriate, which will not be counted against the page limit. The strategic issue paper format is based largely on the format used for S1 hearing preparations. The purpose of these papers is not to make the reader a subject matter expert, but to provide the incoming leadership with **the most critical information** they should know on these topics in their first 30-60 days. Please ensure the papers focus only on the key components of the issue and are drafted for S1 / S2 or Component / Office Head consumption. If it is not possible to reasonably convey the critical information in three pages of text, please contact the PTO to discuss options. The expectation is the incoming leadership will request additional detail and briefings on these topics as desired.
- These papers are not intended for the transition team, but for incoming appointees so the papers may be FOUO or LE Sensitive if necessary (unclassified preferred if possible). If a co-lead determines an issue paper must be classified, please contact the PTO to discuss.

The PTO will send an invite for a conference call in the next couple of days to discuss the way ahead and answer any questions you may have about the strategic issue papers.

I've also attached a briefing paper capturing all the feedback received from the DMAG as well as a bucketed list of topics and co-leads for easier reference.

Thank you once again for your support and tremendous efforts.

V/R,

Bion

Bion Stewart
Deputy Presidential Transition Officer
Department of Homeland Security
202-282-9125

From: Renaud, Tracy L
To: USCIS Presidential Transition
Subject: RE: DUE 7/20: Presidential Transition Tasking 2
Date: Thursday, July 28, 2016 8:54:00 AM

Yes. Thanks.

*Tracy L. Renaud
Associate Director
Management Directorate
US Citizenship & Immigration Services
Department of Homeland Security
202-272-1739 (desk)*

From: USCIS Presidential Transition
Sent: Thursday, July 28, 2016 8:09 AM
To: Renaud, Tracy L
Subject: FW: DUE 7/20: Presidential Transition Tasking 2

Since Leon and Juliet aren't here, are we okay to send this list to DHS?

From: Young, Todd P
Sent: Wednesday, July 27, 2016 3:43 PM
To: USCIS Presidential Transition
Cc: Renaud, Tracy L; Kerns, Kevin J; Walters, Jessica S; Farnam, Julie E
Subject: RE: DUE 7/20: Presidential Transition Tasking 2

Hi Julie,

On behalf of Lori, I am clearing the below top ten list of non-DHS partners. Apologies for the delayed response.

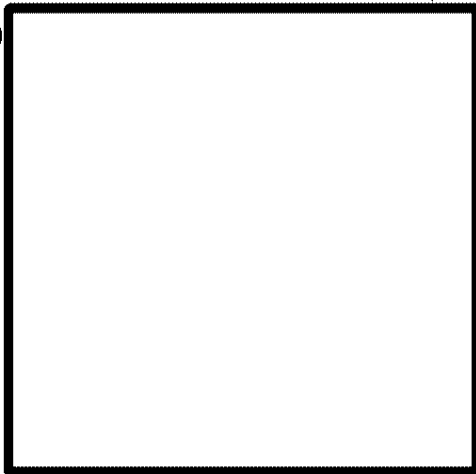
Todd

From: USCIS Presidential Transition
Sent: Friday, July 22, 2016 2:25 PM
To: Young, Todd P
Cc: Renaud, Tracy L; Kerns, Kevin J; Walters, Jessica S; Farnam, Julie E
Subject: RE: DUE 7/20: Presidential Transition Tasking 2

Hi Todd,

DHS has requested that we narrow our non-DHS partner's list down to our top ten. I've updated the spreadsheet with the following partners (in alphabetical order, not ranking in significance of the partnership):

(b)(5)



I'm resubmitting for Lori's clearance. Thank you for your help with this.

Julie Farnam
Special Assistant
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
(c) 202-489-8802

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From: Young, Todd P
Sent: Tuesday, July 19, 2016 4:31 PM
To: Farnam, Julie E; Walters, Jessica S
Cc: Renaud, Tracy L; USCIS Presidential Transition; Kerns, Kevin J
Subject: RE: DUE 7/20: Presidential Transition Tasking 2

Hi Julie,

Lori was briefed on the transition documents earlier today and she's fine with submitting them to the Department. Thank you for coordinating the list of key non-DHS partnerships with the directorates and program offices!

Todd

From: Farnam, Julie E
Sent: Monday, July 18, 2016 3:17 PM
To: Young, Todd P; Walters, Jessica S
Cc: Renaud, Tracy L; USCIS Presidential Transition

Subject: DJE 7/20: Presidential Transition Tasking 2

Todd/Jessica,

Our next presidential transition tasking is due to the Department on Wednesday. This tasking requests four things from USCIS:

1. Photos from USCIS. OCOMM is compiling these photos now. The photos will be used in a briefing booklet that DHS is compiling for the new administration.
2. Key non-DHS partnerships. These are non-DHS partners or stakeholders that have "frequent and significant impact on mission execution, policy development, resource management, and/or mission-focused research and development." I have attached a spreadsheet compiling the significant and frequent partnership responses from the directorates and program offices. I kindly ask that you assist in having Lori review and to let me know if there any she would like removed from the list or added to the list.
3. Biographies of directorate/program office heads, deputies, and acting career successors (for positions that will be vacated by a political).
4. An overview of an average day within USCIS. This is taken directly from the PAG OCOMM has on the day in the life of USCIS.
5. A heat map of USCIS's personnel and assets.

The full tasking instructions are attached for your reference. These materials are due to DHS on Wednesday and we are hoping you can help to have them reviewed and cleared. If Lori would like an in-person briefing of the materials, please let me know.

Thank you,
Julie Farnam
Special Assistant
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
(c) 202-489-8802

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From: [Frederick, Precious A](#)
To: [Renaud, Tracy L](#)
Subject: FW: Questions for Discussion with Tracy on July 28
Date: Tuesday, July 26, 2016 4:58:09 PM
Attachments: [Questions that may be asked of Tracy.docx](#)

Please see the attached for your meeting on Thursday with OIDP Leadership.

Precious A. Frederick
USCIS Management Directorate
(202) 272-1704

From: DeStefano, Ernest
Sent: Tuesday, July 26, 2016 7:16:00 AM
To: Frederick, Precious A
Cc: Anderson, Erik C
Subject: Questions for Discussion with Tracy on July 28

Precious:

Attached you will find a list of questions I solicited from those in the OIDP Leadership Summit.

Ernie

Ernest DeStefano
Chief OIDP
202-320-2484

(b)(5)

A DAY IN THE LIFE OF USCIS

U.S. Citizenship and Immigration Services is the federal agency that oversees lawful immigration to the United States. USCIS began operations on March 1, 2003, as part of the newly established Department of Homeland Security. Congress disbanded the U.S. Immigration and Naturalization Service in the Justice Department and transferred its functions to three new agencies in DHS: USCIS, U.S. Immigration and Customs Enforcement, and U.S. Customs and Border Protection.

USCIS officers adjudicate requests for immigration benefits, including lawful permanent residency (Green Cards), family- and employment-based immigration, and naturalization. Combatting fraud and safeguarding national security are agency priorities.

USCIS also plays key roles in the U.S. Refugee Admissions Program and in other areas including:

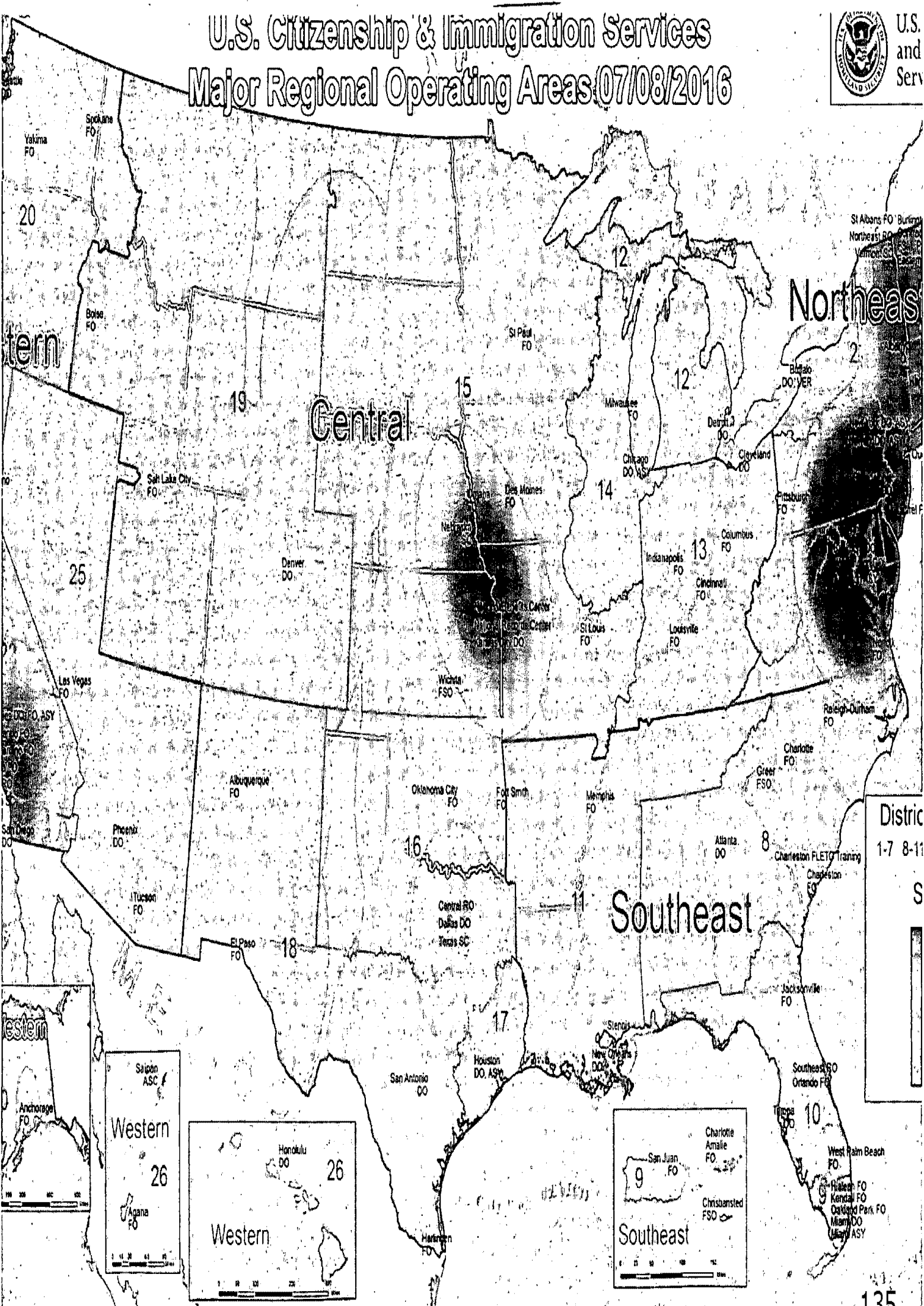
- Determining asylum eligibility for those claiming to face persecution in their home countries;
- Providing relief for victims of human trafficking and violent crimes;
- Enabling inter-country adoptions for U.S. parents; and
- Verifying the employment eligibility of new hires in the United States.

In a nation of immigrants, the employees of USCIS are proud to play a vital role in this country's long tradition of enrichment and renewal through immigration. USCIS's mission is to secure America's promise as a nation of immigrants by providing high quality customer service, promoting an understanding of the privileges and obligations of U.S. citizenship and ensuring the integrity of the U.S. immigration system. The USCIS workforce consists of about 19,000 government workers and contractors, located at 223 offices across the world and entrusted to uphold the agency's core values of integrity, respect, ingenuity and vigilance.

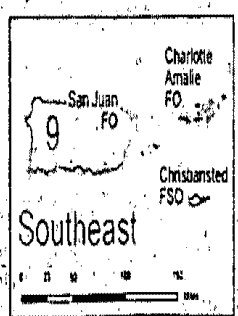
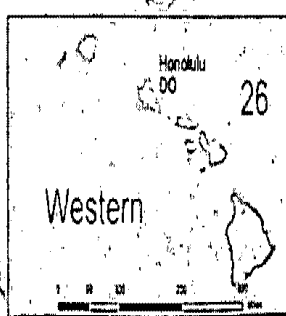
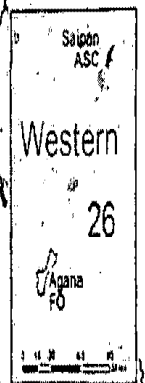
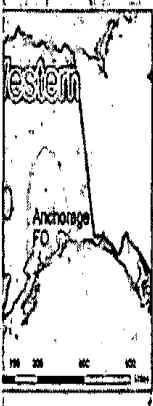
On an average day USCIS:

- Processes 200 refugee applications around the world and grant asylum to 45 people already in the United States.
- Screens 146 people for protection on the basis of credible fear.
- Answers 50,000 phone calls to our toll-free customer service line and serve 2,200 customers at our 83 field offices.
- Ensures the employment eligibility of more than 80,000 new hires in the United States.
- Fingerprints and photographs 13,000 people at our 137 application support centers.
- Adjudicates more than 26,000 requests for various immigration benefits.
- Processes 3,700 applications to sponsor relatives and future spouses.
- Helps American parents adopt 25 foreign-born orphans.
- Processes about 2,000 petitions filed by employers to bring workers to the United States.
- Grants permanent residence to about 2,100 people and issue approximately 7,000 Permanent Resident Cards (Green Cards).
- Welcomes nearly 2,500 new citizens at naturalization ceremonies. Typically, 36 of these new citizens are already serving their adopted country in the U.S. armed forces.
- Receives 335,000 visitor sessions to www.uscis.gov.

U.S. Citizenship & Immigration Services Major Regional Operating Areas (07/08/2016)



District
1-7 8-11
S



Presidential Transition: Request for Information #2

Information Request and Guidance

The Department of Homeland Security (DHS) Presidential Transition Office (PTO) is coordinating transition efforts across the Department in cooperation with all Operational Components, Headquarters Offices, and Directorates. Your office has identified a Senior Component Accountable Official (SCAO) that has been briefed on the efforts of this tasking, and future Presidential Transition efforts. Information requests will be processed through the DHS Executive Secretariat (ExecSec) process with specific routing directions to your SCAOs as identified in a separate attachment to the ExecSec tasker.

Agencies are encouraged to use existing, senior leadership-approved information and documents to the greatest extent possible. Please ensure the information provided addresses the specific content requirements and format specified, and is approved by the senior leadership within your organization. Please imbed answers within this document unless otherwise specified.

Input is due 7/20/16

*** Component Photograph PowerPoint** (please provide a separate file as an attachment)

1. Please provide a 10-slide PowerPoint presentation with official, DHS owned/copyrighted photographs (no photo limit) representing your Component's missions, activities, area of operations, assets, and workforce.
 - a. Include photo credit as appropriate embedded within each photograph
 - b. Photos should be formatted for imbedding and scaling within Word document text.
 - c. Include a brief caption for each photograph describing the person, asset and/or activity/operation.

*** Partnerships**

1. Please identify your key non-DHS partnerships/stakeholders. Focus on partnerships with **frequent and significant** impact on mission execution, policy development, resource management, and/or mission-focused research and development such as:
 - Other Federal departments and agencies
 - Interagency coordinating groups (e.g., NSC IPCs, JIATF-S)
 - State, Local, Territorial, and Tribal entities and organizations
 - Advisory councils (FACA and non-FACA)
 - National or regional homeland security-and/or mission-focused consortiums and associations
 - Centers of Excellence and academic institutions
2. Organize your key non-DHS partnerships in the following categories:
 - a. DoD, military, and interagency relationships
 - b. Stakeholder groups and FACAs
 - c. Industry relationships and ship/plane builders

- d. International engagements
 - e. Organized labor
3. For each entry please identify the name of the organization and the following:
- a. Primary QHSR mission(s) supported
 - b. Brief statement of equities/dependencies – why this partnership is important to your mission success

Please use the following format for each partner entry:

Category: (e.g. DoD, FACA, International)

Partner Name:

Primary QHSR Mission Supported:

Equities/Dependencies:

**** Personnel – Leadership Biographies***

- 1. Provide a one-page biography with photograph of your Component/Office/Directorate head and Deputy/Assistant and/or designated acting career successor.

Operational Components Only –

****“Average [Component] Day”***

- 1. Please provide an “Average [Component] Day” overview of your Components mission activities. Example:

Average Coast Guard Day:

- Conducts 45 search and rescue cases;
- Saves 10 lives;
- Saves over \$1.2M in property;
- Seizes 874 pounds of cocaine and 214 pounds of marijuana
- Conducts 57 waterborne patrols of critical maritime infrastructure;
- Interdicts 17 illegal migrants;
- Escorts 5 high-capacity passenger vessels;
- Conducts 24 security boardings in and around U.S. ports;
- Screens 360 merchant vessels for potential security threats prior to arrival in U.S. ports;
- Conducts 14 fisheries conservation boardings;
- Services 82 buoys and fixed aids to navigation;
- Investigates 35 pollution incidents;
- Completes 26 safety examinations on foreign vessels;
- Conducts 105 marine inspections;
- Investigates 14 marine casualties involving commercial vessels;
- Facilitates movement of \$8.7B worth of goods and commodities through the Nation's Maritime Transportation System.

Operational Components Only –

*** Force Laydown Graphic**

1. Please provide a map of your Component's major regional operating areas. Overlaid on this map, please include a "heat map" representation of your Component's major concentrations of personnel and assets. (Please ensure the map can be imbedded and manipulated within Word for formatting – JPEG, PPT, etc). Note: The map does not have to reflect every person or asset in every city, but should provide a high-level, quick look of where the majority of your workforce and assets are located.

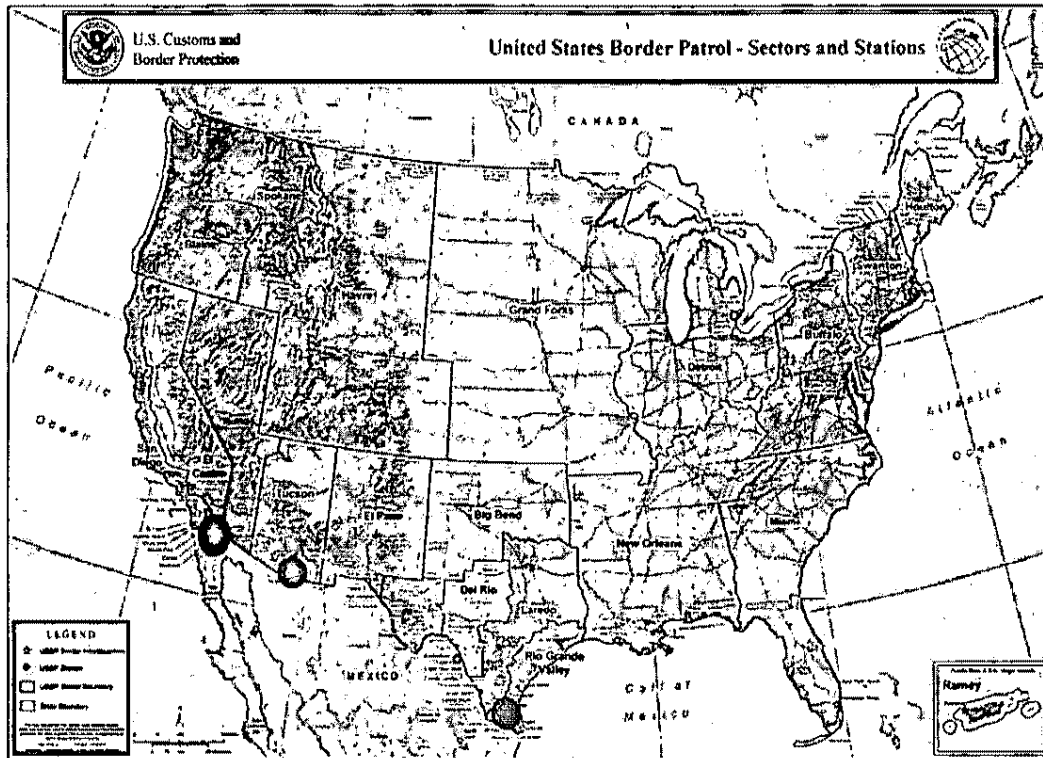
2. For Components with a permanent international presence, please include a similar presentation of your international force laydown.

Example (*not an official CBP presentation*)— your presentation does not have to be identical, but should display similar information:



U.S. Customs and Border Protection

DHS Briefing Binder



USCG & CBP only

* Asset Table

1. Please provide a table identifying your primary operational assets including aircraft, cutters (CG-only), boats, unmanned assets, and vehicles (CBP-only).
 - a. The table may include pictures, but must fit on a single 8 ½ X 11 page (landscape or portrait).
 - b. Include total number of each asset type.
 - c. Please ensure the table can be imbedded and manipulated for format within a Word document.

From: USCIS Presidential Transition
To: Stewart, Bion
Cc: Renaud, Tracy L
Subject: RE: Presidential Transition Office - Strategic Issue Paper Ranking
Date: Monday, July 18, 2016 12:33:59 PM
Attachments: USCIS Nomination Spreadsheet Consolidation Ranking.xlsx

Sorry about that, Bion. Please see the attached document. If you need anything additional, please let me know.

Julie Farnam
Special Assistant
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
(c) 202-489-8802

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From: Stewart, Bion
Sent: Monday, July 18, 2016 12:09 PM
To: USCIS Presidential Transition
Cc: Renaud, Tracy L
Subject: FW: Presidential Transition Office - Strategic Issue Paper Ranking

USCIS Transition Colleagues,

We appreciate you sending this over, but part of the instructions were to not alter the spreadsheet in any other way than adding your rankings in the designated column. Because I'm calculating rankings for all nominations across all Components and Offices (literally 3900 calculations), I need all of the columns and rows to be uniform so Excel can run the formula properly.

Can you please populate the original spreadsheet with your rankings without any other changes and resend?

Thanks.

Bion

From: Button, Maria G (Gemma) **On Behalf Of** USCIS Exec Sec
Sent: Friday, July 15, 2016 10:08 AM

To: Stewart, Bion <bion.stewart@hq.dhs.gov>; Horowitz, Scott <Scott.Horowitz@HQ.DHS.GOV>;
Beagles, James <James.Beagles@HQ.DHS.GOV>
Cc: Rinehart, Kalee <Kalee.Rinehart@hq.dhs.gov>; USCIS Exec Sec <USCIS-Exec-Sec@uscis.dhs.gov>
Subject: RE: Presidential Transition Office - Strategic Issue Paper Ranking

Good Morning,

Attached is USCIS' response to this tasking.

Have a good day.

Gemma

Maria Gemma Button
Chief
US Citizenship and Immigration Services
Office of the Executive Secretariat
202-272-8568
e-mail: USCIS-Exec-Sec@uscis.dhs.gov
e-mail: Connect: <http://connect.uscis.dhs.gov/org/EXSO/Pages/default.aspx>

From: Rinehart, Kalee
Sent: Wednesday, July 06, 2016 4:19 PM
To: CISOMBExecSec; CRCL Exec Sec; DNDO Exec Sec; FLETC Exec Sec; ESEC-Internal Liaison; I&A Exec Sec; PRIV Exec Sec; OGC Exec Sec; ohaexecsec; OIG Execsec; OLA Exec Sec; OPE Tasking; OPE_Tasking; OPA Exec Sec; OPS Exec Sec; Pcy Exec Sec; S&T Exec Sec; CBPEXECSEC; FEMAExecSec; ICE Exec Sec; NPPDExecSec; TSAExecSec; EXEC, USCG SMB; USCIS Exec Sec; CFO Exec Sec; CHCOExecSec; OCIO ExecSec; CPOEXECSEC; CRSO_ExecSec; CSOEXECSEC; PARMEExecSec;; Comans, Mary Francis; USSS Exec Sec
Cc: Stewart, Bion; Horowitz, Scott; MGMTEExecSec
Subject: Presidential Transition Office - Strategic Issue Paper Ranking

Sorry – I didn't mean to recall this message. This tasking still stands!

To All DHS Component and LOB ESEC Sec's

Please see tasker from the DHS Transition Office

"The Presidential Transition Office (PTO) requests Component, Office, Directorate & MGMT LOB review and ranking of Presidential Transition Strategic Issue Papers. The attached spreadsheet includes over 100 transition strategic issue paper topics submitted by DHS Components, Offices, Directorates, and MGMT LOBs. Please review and indicate your top 30 strategic issue papers by ranking them from 1 (most important) to 30 in the "Rank" column on the far right of the document. Please do not alter the spreadsheet in any other way. Please include your Component/Office in the file name of spreadsheet upon return.

This is the next step in the process to recommend a list of transition strategic issue papers to the

DMAG and ultimately S1 for final approval. Request this tasker be routed to Component/Office/Directorate & MGMT LOB SCAO's as identified in the attached Transition SCAO list. **Please deliver responses by COB 15 July 2016** to bion.stewart@hq.dhs.gov, scott.horowitz@hq.dhs.gov & James.Beagles@hq.dhs.gov.

For questions regarding this request, please contact Bion Stewart, 202-282-9125 or Scott Horowitz, 202-282-8152"

From: Button, Maria G (Gemma)
To: USCIS Presidential Transition
Cc: USCIS Exec Sec; Renaud, Tracy L; Farnam, Julie E
Subject: FW: Presidential Transition Office - Strategic Issue Paper Ranking
Date: Friday, July 15, 2016 10:18:32 AM
Attachments: USCIS_Nomination_Spreadsheet_Consolidation_Ranking.xlsx

Good Morning,

I am confirming that USCIS' submission was sent. Please note that I changed the file name to include USCIS, as requested in the original tasking.

Thank you.

Gemma

Maria Gemma Button
Chief
US Citizenship and Immigration Services
Office of the Executive Secretariat
202-272-8568
e-mail: USCIS-Exec-Sec@uscis.dhs.gov
e-mail: Connect: <http://connect.uscis.dhs.gov/org/EXSO/Pages/default.aspx>

From: Button, Maria G (Gemma) **On Behalf Of** USCIS Exec Sec
Sent: Friday, July 15, 2016 10:08 AM
To: Stewart, Bion; Horowitz, Scott; Beagles, James
Cc: Rinehart, Kalee; 'uscis exsec (USCIS-Exec-Sec@uscis.dhs.gov)'
Subject: RE: Presidential Transition Office - Strategic Issue Paper Ranking

Good Morning,

Attached is USCIS' response to this tasking.

Have a good day.

Gemma

Maria Gemma Button
Chief
US Citizenship and Immigration Services
Office of the Executive Secretariat
202-272-8568
e-mail: USCIS-Exec-Sec@uscis.dhs.gov
e-mail: Connect: <http://connect.uscis.dhs.gov/org/EXSO/Pages/default.aspx>

From: Rinehart, Kalee
Sent: Wednesday, July 06, 2016 4:19 PM
To: CISOMBExecSec; CRCL Exec Sec; DNDO Exec Sec; FLETC Exec Sec; ESEC-Internal Liaison; I&A Exec Sec; PRIV Exec Sec; OGC Exec Sec; ohaexecsec; OIG Execsec; OLA Exec Sec; OPE Tasking; OPE_Tasking; OPA Exec Sec; OPS Exec Sec; Ploy Exec Sec; S&T Exec Sec; CBPEXECSEC; FEMAExecSec; ICE Exec Sec; NPPDExecSec; TSAExecSec; EXEC, USCG SMB; USCIS Exec Sec; CFO Exec Sec;

CHCOExecSec; OCIO ExecSec; CPOEXECSEC; CRSO_ExecSec; CSOEXECSEC; PARMEExecSec;; Comans,
Mary Francis; USSS Exec Sec
Cc: Stewart, Bion; Horowitz, Scott; MGMTExecSec
Subject: Presidential Transition Office - Strategic Issue Paper Ranking

Sorry – I didn't mean to recall this message. This tasking still stands!

To All DHS Component and LOB ESEC Sec's

Please see tasker from the DHS Transition Office

"The Presidential Transition Office (PTO) requests Component, Office, Directorate & MGMT LOB review and ranking of Presidential Transition Strategic Issue Papers. The attached spreadsheet includes over 100 transition strategic issue paper topics submitted by DHS Components, Offices, Directorates, and MGMT LOBs. Please review and indicate your top 30 strategic issue papers by ranking them from 1 (most important) to 30 in the "Rank" column on the far right of the document. Please do not alter the spreadsheet in any other way. Please include your Component/Office in the file name of spreadsheet upon return.

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For questions regarding this request, please contact Bion Stewart, 202-282-9125 or Scott Horowitz, 202-282-8152"

From: USCIS Presidential Transition
To: USCIS Exec Sec
Cc: Button, Maria G (Gemma); Farnam, Julie E; Renaud, Tracy L
Subject: RE: Presidential Transition Office - Strategic Issue Paper Ranking DUE 7/15
Date: Friday, July 15, 2016 6:49:13 AM
Attachments: [Nomination Spreadsheet Consolidation Ranking.xlsx](#)

Good morning,

It looks like this is ready to go then. Here's both spreadsheets (the original and USCIS's rankings) consolidated into one document. Thank you for your assistance with this.

Julie Farnam
Special Assistant
Field Operations Directorate
U.S. Citizenship and Immigration Services
202-489-8802

From: Renaud, Tracy L
Sent: Friday, July 15, 2016 6:21 AM
To: USCIS Presidential Transition; USCIS Exec Sec
Cc: Button, Maria G (Gemma); Farnam, Julie E
Subject: RE: Presidential Transition Office - Strategic Issue Paper Ranking DUE 7/15

D1 and COS are out of country and out of communication. Since the transition team indicated clearance required at COS level or higher I think we are fine to send with only D2 concurrence.

Tracy L. Renaud
Associate Director, Management
U.S. Citizenship and Immigration Services
Department of Homeland Security
202-272-1739 (office)

From: USCIS Presidential Transition
Sent: Thursday, July 14, 2016 8:54:56 PM
To: USCIS Exec Sec
Cc: Renaud, Tracy L; Button, Maria G (Gemma); Farnam, Julie E
Subject: RE: Presidential Transition Office - Strategic Issue Paper Ranking DUE 7/15

Good evening,

Attached is our response to this tasking. It has been reviewed and cleared by D2 and we would also ask for your assistance in obtaining COS or D1's concurrence. This tasking is due to the Department tomorrow, July 15th.

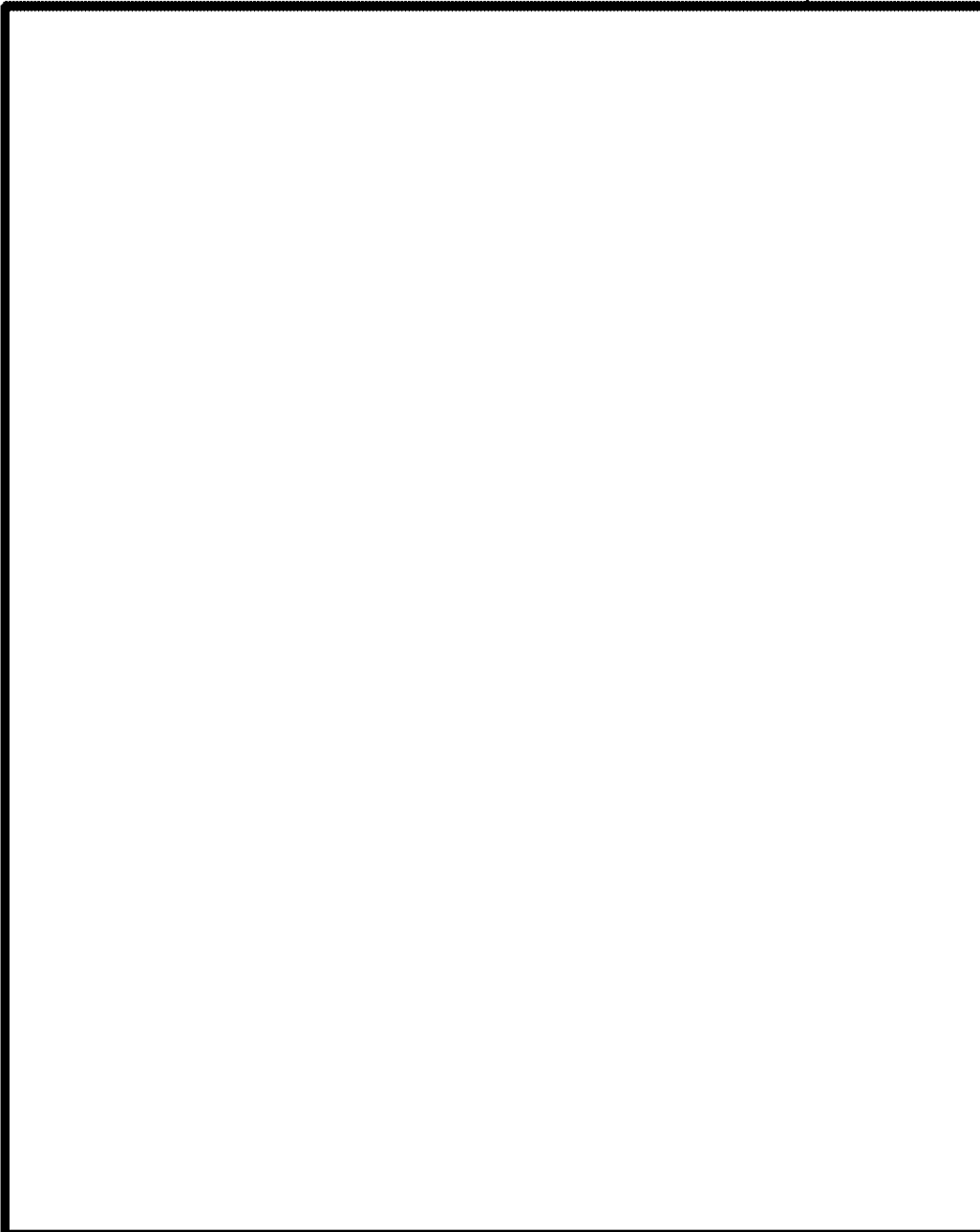
This tasking is where the Department did the data call to collect five cross-component issues for

potential issue papers related to the transition. Each component and DHS HQ program sent in their list and the compiled them into a document (there is some overlap between some of the items). The second attachment is the full list that was collected. The DHS Presidential Transition Office has asked each component to rank their top 30 of the 120+ issues to assist them in determining what goes forward for consideration by USM and then S1/S2. The first attachment is our attempt to identify top DHS issues, which is synopsized below.

When you are reading the tables, the first column is the component that nominated the potential issue paper – that is the only relevance of that column, although it is assumed that the nominating component has a role in the identified issue. The fourth column is the list of stakeholders. If the issue is determined to move forward to have an issue paper prepared, the primary stakeholder would be assigned to produce the issue paper and will need to collaborate with the other stakeholders on the final product.

Here is a summary of the topics, rank, and lead agency:

(b)(5)



(b)(5)



Thank you for your assistance.

Julie Farnam
Special Assistant
Field Operations Directorate
U.S. Citizenship and Immigration Services
202-489-8802

From: Drake, Johnetta On Behalf Of USCIS Exec Sec
Sent: Wednesday, July 06, 2016 3:46 PM
To: USCIS Presidential Transition; Renaud, Tracy L; Farnam, Julie E
Cc: USCIS Exec Sec
Subject: FW: Presidential Transition Office - Strategic Issue Paper Ranking

Please handle as appropriate. The last attachment is the second tasking.

Johnetta Drake
USCIS Office of the Executive Secretariat
202-236-4246 (Cell)
202-272-0998 (Desk)
202-272-0990 (Office)
[EXSO Connect Page](#)

[EXSO ECN Page](#)

*Please upload all actions for which Forms G-1056 are used to **CATS**.*
Please send all official actions to USCIS-Exec-Sec@uscis.dhs.gov.

From: Rinehart, Kalee
Sent: Wednesday, July 06, 2016 3:36 PM
To: CISOMBExecSec; CRCL Exec Sec; DNDO Exec Sec; FLETC Exec Sec; ESEC-Internal Liaison; I&A Exec Sec; PRIV Exec Sec; OGC Exec Sec; ohaexecsec; OIG Execsec; OLA Exec Sec; OPE Tasking; OPE_Tasking; OPA Exec Sec; OPS Exec Sec; Pcly Exec Sec; S&T Exec Sec; CBPEXECSEC; FEMAExecSec; ICE Exec Sec; NPPDExecSec; TSAExecSec; EXEC, USCG SMB; USCIS Exec Sec; CFO Exec Sec; CHCOExecSec; OCIO ExecSec; CPOEXECSEC; CRSO_ExecSec; CSOEXECSEC; PARMExecSec;; Comans, Mary Francis; USSS Exec Sec
Cc: Stewart, Bion; Horowitz, Scott; MGMTExecSec
Subject: Presidential Transition Office - Strategic Issue Paper Ranking

To All DHS Component and LOB ESEC Sec's

Please see tasker from the DHS Transition Office

"The Presidential Transition Office (PTO) requests Component, Office, Directorate & MGMT LOB review and ranking of Presidential Transition Strategic Issue Papers. The attached spreadsheet includes over 100 transition strategic issue paper topics submitted by DHS Components, Offices, Directorates, and MGMT LOBs. Please review and indicate your top 30 strategic issue papers by ranking them from 1 (most important) to 30 in the "Rank" column on the far right of the document.

Please do not alter the spreadsheet in any other way. Please include **your** Component/Office in the file name of spreadsheet upon return.

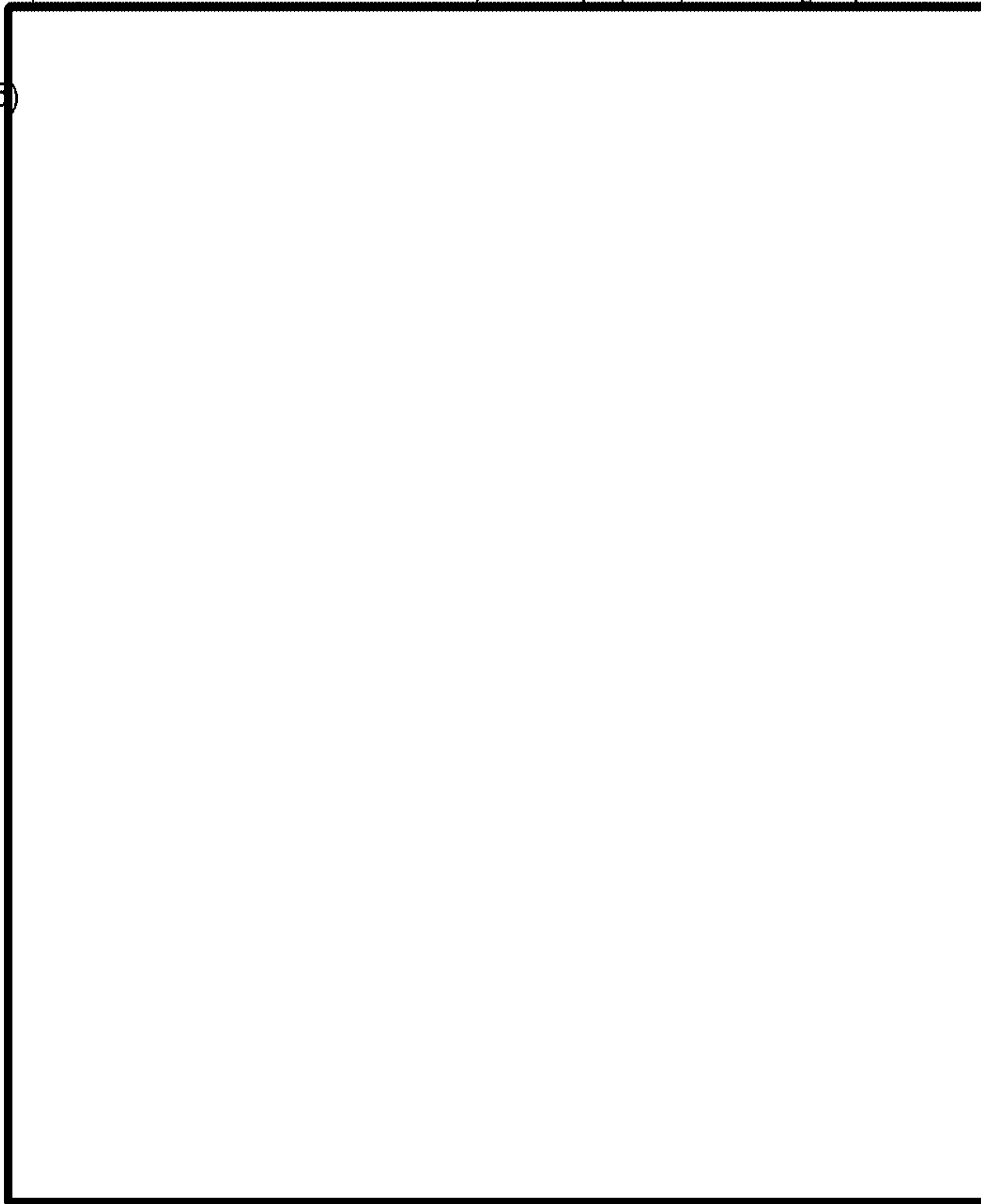
This is the next step in the process to recommend a list of transition strategic issue papers to the DMAG and ultimately S1 for final approval. Request this tasker be routed to Component/Office/Directorate & MGMT LOB SCAO's as identified in the attached Transition SCAO list. **Please deliver responses by COB 15 July 2016** to bion.stewart@hq.dhs.gov, scott.horowitz@hq.dhs.gov & James.Beagles@hq.dhs.gov.

For questions regarding this request, please contact Bion Stewart, 202-282-9125 or Scott Horowitz, 202-282-8152"

From: Farnam, Julie E
To: Renaud, Tracy L
Cc: USCIS Presidential Transition
Subject: Presidential Transition DHS Issue Paper Topic Rankings
Date: Tuesday, July 12, 2016 12:18:50 PM
Attachments: Nomination Spreadsheet Consolidation Ranking.xlsx

Attached is USCIS's ranking of the top 30 issue paper topics for the Department as part of the presidential transition. Here is a summary of the topics, rank, and lead agency:

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If you'd like any additions, eliminations, or change in rankings to the list, please let me know. The full list of all 130+ issue paper topics can be found on the first tab of the attached spreadsheet.

Julie Farnam
Special Assistant

Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
(c) 202-489-8802

This communication, along with any attachments, may contain confidential information and is covered by federal laws governing electronic communications. Electronic communications may also be monitored by the Department of Homeland Security, U.S. Citizenship and Immigration Services. If the reader of this message is not the intended recipient, you are hereby notified that any dissemination, distribution, use, or copying of this message is strictly prohibited. If you have received this in error, please delete this message and all attachments and immediately notify the sender.

From: Farnam, Julie E
To: Renaud, Tracy L
Subject: Issue Paper Nomination Rankings
Date: Friday, July 08, 2016 10:12:45 AM
Attachments: [Nomination Spreadsheet Consolidation Ranking.xlsx](#)

Hi Tracy,

I went through the issue paper list that the Department sent and pulled 40 that I thought could be on our final list of 30. I noticed there was quite a bit of overlap on several topics (e.g., cyber security, vetting, etc.). Please let me know if you have any additions or if there are any topics you would like removed from the list.

Thank you,
Julie Farnam
Special Assistant
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
(c) 202-489-8802

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From: Renaud, Tracy L
To: Scialabba, Lori L (Lori.Scialabba@uscis.dhs.gov)
Cc: Young, Todd P; Walters, Jessica S (Jessica.S.Walters@uscis.dhs.gov); Farnam, Julie E
Subject: FW: Presidential Transition Office - Strategic Issue Paper Ranking
Date: Thursday, July 07, 2016 3:19:00 PM
Attachments: [Nomination_Spreadsheet.Consolidation.Ranking.xlsx](#)

Lori,

Here is our next tasking from the DHS PTO – we now need to rank all of the proposed issue paper submissions into our priority 1 through 30 due next Friday. Do you want to discuss and we can decide together or is it easier for you if we take a shot at ranking and get it to you for clearance?

*Tracy L. Renaud
Associate Director
Management Directorate
US Citizenship & Immigration Services
Department of Homeland Security
202-272-1739 (desk)*

From: Drake, Johnetta **On Behalf Of** USCIS Exec Sec
Sent: Wednesday, July 06, 2016 3:46 PM
To: USCIS Presidential Transition; Renaud, Tracy L; Farnam, Julie E
Cc: USCIS Exec Sec
Subject: FW: Presidential Transition Office - Strategic Issue Paper Ranking

Please handle as appropriate. The last attachment is the second tasking.

*Johnetta Drake
USCIS Office of the Executive Secretariat
202-236-4246 (Cell)
202-272-0998 (Desk)
202-272-0990 (Office)
[EXSO Connect Page](#)
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*Please upload all actions for which Forms G-1056 are used to **CATS**.
Please send all official actions to USCIS-Exec-Sec@uscis.dhs.gov.*

From: Rinehart, Kalee
Sent: Wednesday, July 06, 2016 3:36 PM
To: CISOMBExecSec; CRCL Exec Sec; DNDO Exec Sec; FLETC Exec Sec; ESEC-Internal Liaison; I&A Exec Sec; PRIV Exec Sec; OGC Exec Sec; ohaexecsec; OIG Execsec; OLA Exec Sec; OPE Tasking; OPE_Tasking; OPA Exec Sec; OPS Exec Sec; Pcly Exec Sec; S&T Exec Sec; CBPEXECSEC; FEMAExecSec; ICE Exec Sec; NPPDExecSec; TSAExecSec; EXEC, USCG SMB; USCIS Exec Sec; CFO Exec Sec; CHCOExecSec; OCIO ExecSec; CPOEXECSEC; CRSO_ExecSec; CSOEXECSEC; PARMExecSec; Comans, Mary Francis; USSS Exec Sec
Cc: Stewart, Bion; Horowitz, Scott; MGMTExecSec
Subject: Presidential Transition Office - Strategic Issue Paper Ranking

To All DHS Component and LOB ESEC Sec's

Please see tasker from the DHS Transition Office

"The Presidential Transition Office (PTO) requests Component, Office, Directorate & MGMT LOB review and ranking of Presidential Transition Strategic Issue Papers. The attached spreadsheet includes over 100 transition strategic issue paper topics submitted by DHS Components, Offices, Directorates, and MGMT LOBs. Please review and indicate your top 30 strategic issue papers by ranking them from 1 (most important) to 30 in the "Rank" column on the far right of the document. Please do not alter the spreadsheet in any other way. Please include your Component/Office in the file name of spreadsheet upon return.

This is the next step in the process to recommend a list of transition strategic issue papers to the DMAG and ultimately S1 for final approval. Request this tasker be routed to Component/Office/Directorate & MGMT LOB SCAO's as identified in the attached Transition SCAO list. **Please deliver responses by COB 15 July 2016** to bion.stewart@hq.dhs.gov, scott.horowitz@hq.dhs.gov & James.Beagles@hq.dhs.gov.

For questions regarding this request, please contact Bion Stewart, 202-282-9125 or Scott Horowitz, 202-282-8152"

Worley, Jordan P

From: Rinehart, Kalee
Sent: Wednesday, July 06, 2016 2:38 PM
To: CISOMBExecSec; CRCL Exec Sec; DNDO Exec Sec; FLETC Exec Sec; ESEC-Internal Liaison; I&A Exec Sec; PRIV Exec Sec; OGC Exec Sec; ohaexecsec; OIG Execsec; OLA Exec Sec; OPE Tasking; OPE_Tasking; OPA Exec Sec; OPS Exec Sec; Plcy Exec Sec; S&T Exec Sec; CBPEXECSEC; FEMAExecSec; ICE Exec Sec; NPPDExecSec; TSAExecSec; EXEC, USCG SMB; USCIS Exec Sec; CFO Exec Sec; CHCOExecSec; OCIO ExecSec; CPOEXECSEC; CRSO_ExecSec; CSOEXECSEC; PARMExecSec.; Comans, Mary Francis; USSS Exec Sec
Cc: Stewart, Bion; Horowitz, Scott; MGMTExecSec
Subject: Presidential Transition Office - Request for Information #2

To All DHS Component and LOB ESEC Sec's

Please see tasker from the DHS Transition Office. This should be routed to the Senior Component Accountable Officials as identified in the attached "SCAO" document.

"The Presidential Transition Office (PTO) requests Component, Office, Directorate, and MGMT LOB responses to the attached PTO Request For Information #2. Responses to the attached will be included with responses to RFI #1 to build out the DHS Overview briefing materials. Please note some requested items are identified and highlighted as Operational Components Only and/or for USCG and CBP Only. Responses for this RFI will be imbedded within the attached document unless otherwise specified. Request this tasker be routed to Component/Office/Directorate & MGMT LOB SCAO's as identified in the attached Transition SCAO list. Please deliver responses by COB 20 July 2016 to bion.stewart@hq.dhs.gov; scott.horowitz@hq.dhs.gov; James.Beagles@hq.dhs.gov

For questions regarding this request, please contact Bion Stewart, 202-282-9125 or Scott Horowitz, 202-282-8152"

Thank you.

DHS Presidential Transition
Senior Component Accountable Officials (SCAOs) and
Line of Business Senior Accountable Officials (SAOs)

As of June 23, 2016

Headquarters			
<i>Office</i>	<i>SCAO</i>	<i>Title</i>	<i>Phone Number</i>
CIS Ombudsman	Stacy Shore	Acting Deputy Director	202-357-8397 (o) 202-617-9712 (c)
CRCL	Veronica Venture	Deputy Officer	202-357-1270 (o) 202-697-0872 (c)
DNDO	Joel Rynes	Assistant Director	202-254-7608 (o) 202-549-4130 (c)
FLETC	Connie Patrick	Director	912-267-2501 (o)
Front Office	Jennifer Higgins	Deputy Chief of Staff	202-282-8261 (o) 202-836-1566 (c)
I&A	Mary Peterson	Chief of Staff	202-282-8821 (o) 571-216-4725 (c)
PRIV	James Holzer	Deputy Chief FOIA Officer	202-343-1756 (o) 202-997-1624 (c)
OGC	Meghan Ludtke	Chief of Staff	202-282-8889 (o) 202-680-4900 (c)
OHA	Larry (Dave) Fluty	Principal Deputy Assistant Secretary	202-254-8836 (o) 281-638-2281 (c)
OIG	Louise McGlathery	Assistant Inspector General, Office of Management	202-254-5408 (o) 202-345-4342 (c)
OLA	Susan Corbin	Chief of Staff	202-253-0177
OPE	Alaina Clark	Deputy Assistant Secretary	202-447-3101 (o) 202-281-8135 (c)
OPA	Tammy L. Howard	Chief of Staff	202-282-9264 (o) 202-557-6422 (c)
OPS	Todd Heinz	Chief of Staff	202-282-8432 (o) 202-380-7512 (c)
PLCY	Kelli Ann Burriesci	Acting Assistant Secretary for Threat Prevention and Security Policy	202-447-3814 (o) 202-510-1386 (c)
S&T	Keith Holtermann	Senior S&T Advisor to FEMA for RDT&E	202-254-6019 (o) 202-646-4099 (o) 202-306-7619 (c)

Operational Components			
<i>Office</i>	<i>SCAO</i>	<i>Title</i>	<i>Phone Number</i>
CBP	Lewis Roach	Deputy Director, Policy and Planning	202-417-4185
FEMA	David Bibo	Acting Associate Administrator, Office of Policy & Program Analysis	202-212-4771 (o) 202-495-8892 (c)
ICE	Lyn Rahilly	Assistant Director for Privacy and Records	202-732-3301 (o) 703-298-7734 (c)
NPPD	David Hess	Chief of Staff	703-235-2090 (o) 202-557-6021 (c)
TSA	Julie Scanlon	Deputy Assistant Administrator	571-227-3008 (o)
USCG	RDML Anthony Vogt	Assistant Superintendent	860-444-8286 (o) 907-957-0639 (c)
USCIS	Tracy Renaud	Senior Executive and Associate Director for Management	202-272-1739 (o) 202-445-0986 (c)
USSS	Faron Paramore	Assistant Director	

Management Lines of Business			
<i>Office</i>	<i>LOBSAO</i>	<i>Title</i>	<i>Phone Number</i>
OCFO	Stacy Marcott	Deputy Chief Financial Officer	202-447-5757 (o) 202-557-0507 (c)
OCHCO	Kirstin Austin	Manager, Workforce Development Strategy	202-357-8502 (o)
OCIO	Shila Cooch	Chief of Staff	202-207-8718 (c)
OCPO	Anthony Bell	Procurement Analyst	202-447-0063 (o) 202-573-6705 (c)
OCRSO	Laurie Boulden	Chief of Staff	202-343-4048 (o) 703-999-2237 (c)
OCSO	Robert McRae	Deputy Division Chief	202-282-9864 (o) 202-507-2337 (c)
PARM	David Patrick	Director, Acquisition Operations	202-570-9583 (o) 202-343-4558 (c)

Other Offices/DHS Entities			
<i>Office</i>	<i>Point of Contact</i>	<i>Title</i>	<i>Phone Number</i>
Joint Requirements Council	Mary Comans		

From: Young, Todd P
To: Renaud, Tracy L; Farnam, Julie E
Subject: FW: [DIRECTOR'S OFFICE CLEARANCE REQUEST]Presidential Transition Improvement Act Threats and Vulnerabilities
Date: Monday, June 13, 2016 2:23:35 PM
Attachments: DHS Congressional Report Transition Threats Vulnerabilities DHS Clearance RAIO edits.doc

I believe you've seen this, but passing it along just in case.

From: Sahai, Rawn S **On Behalf Of** USCIS Exec Sec
Sent: Monday, June 13, 2016 11:37 AM
To: DDCLEAR
Cc: Scialabba, Lori L; Krebs, Kristie L; Walters, Jessica S; Swanson, Toni; Young, Todd P; Adeleye, David; Prelogar, Brandon B; Hyams, Emilie R; Allred, Esther R; Bacon, William H; Button, Maria G (Gemma); Carter, Constance L; Davis, Marla J; Williams, Lee D; USCIS, Exec Sec
Subject: [DIRECTOR'S OFFICE CLEARANCE REQUEST]Presidential Transition Improvement Act Threats and Vulnerabilities

Good morning,

The Department has tasked USCIS to review & clear the **Presidential Transition Improvement Act Threats and Vulnerabilities, WF1124072.**

SCOPS, OP&S, and OCC, has cleared without comments. RAIO cleared with comments (refer to attachment pg. 9.)

Clearance/Comments are due to DHS by COB Tuesday, June 14, 2016.

Thank you,

Rawn Sahai

Office of the Executive Secretariat
U.S. Citizenship and Immigration Services
Office: (202) 272-1848
Cell: (202) 308-2551

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From: DMAG
To: DMAG
Subject: DMAG - Thursday June 9 (Missions 1 and 5 Overview)
Date: Tuesday, June 07, 2016 5:07:09 PM
Attachments: [Handout A - DMAG Agenda June 9.docx](#)
[Handout B - FY 2018-2022 Program and Budget Review Mission 1-5 Overview.pptx](#)

DMAG Members:

Please find the agenda and decision brief for the Deputy's Management Action Group (DMAG) to be held from 11:15 AM to 12:15 PM on Thursday, June 9 in NAC 5, Conference Room 5107. The purpose of this meeting is for the DHS CFO to solicit DMAG guidance on select offsets and enhancements for Missions 1 (Prevent Terrorism and Enhance Security) and 5 (Strengthen National Preparedness and Resilience).

You may read about DMAG procedures and recent "Summary of Conclusions" on the [DMAG Website](#).

Please direct your questions to the DMAG Executive Agent, DMAG@hq.dhs.gov / 202-447-3632.

-DMAG Executive Agent

Deputy's Management Action Group (DMAG) Agenda

June 9, 2016, 11:15 AM – 12:15 PM

Meeting Location: NAC 5, Conference Room 5107

Meeting Objectives:

- Solicit DMAG guidance on select offsets and enhancements for both Missions 1 (Prevent Terrorism and Enhance Security) and 5 (Strengthen National Preparedness and Resilience)

Members:

- Alejandro Mayorkas, Deputy Secretary
(*Chair*)
- Russ Deyo, MGMT (*Alternate Chair*)
- Paul Rosen, Chief of Staff
- Kevin McAleenan, CBP
- Joseph Nimmich, FEMA
- Daniel Ragsdale, ICE
- VADM Charles Michel, USCG
- Lori Scialabba, USCIS
- Craig Magaw, USSS
- Dr. Huban Gowadia, TSA
- Dr. Reggie Brothers, S&T
- Suzanne Spaulding, NPPD
- BrigGen Frank Taylor, I&A
- Chip Fulghum, MGMT
- Kelli Ann Burriesci, PLCY

Other Invitees:

- Steve Bunnell, OGC
- Dr. Wayne Brasure, DNDO
- Dr. Katherine Brinsfield, OHA
- Karen Neuman, PRIV
- Megan Mack, CRCL
- Mark Dolan, JRC
- Jonathan Lee, Deputy Chief of Staff
- Jennifer Higgins, Deputy Chief of Staff
- Peter Verga, Defense Advisor to the Secretary
- Drew Kuepper, Deputy Assistant Secretary, PLCY/UOEI
- Michael Stough, Director, CFO/PA&E
(*Presenter*)

Read-Ahead Materials:

Handout – FY2018-2022 Missions 1 and 5 Overview (Decision Brief)

Agenda:

Time	Topic	Presenter
11:15 am	Opening Remarks	Deputy Secretary Mayorkas
11:20 am	DHS Integrated Product Teams	Michael Stough, Director, PA&E
12:10 pm	Wrap-Up	Deputy Secretary Mayorkas
12:15 pm	Conclusion	

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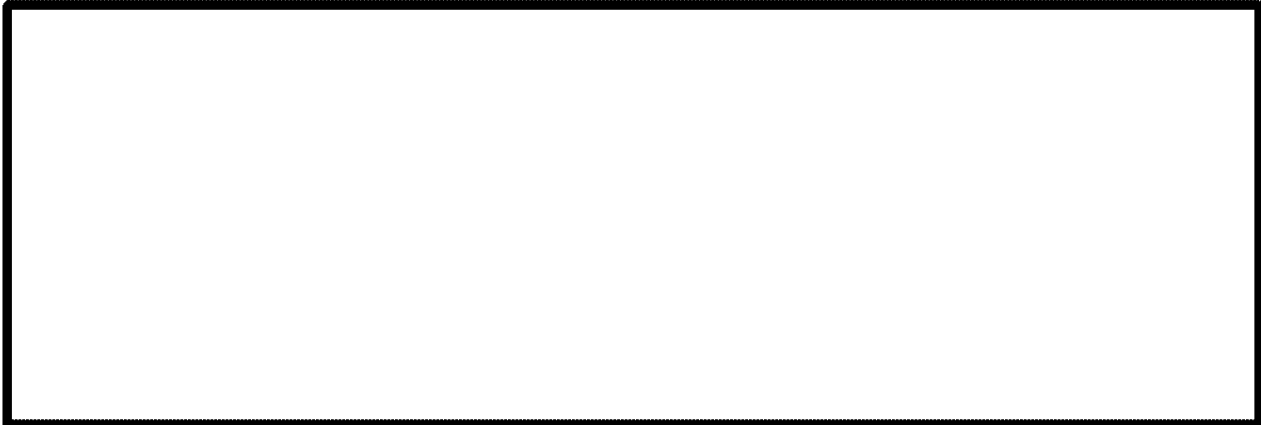
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From: Kerns, Kevin J
To: Scialabba, Lori L; Moore, Joseph D
Cc: Renaud, Tracy L; Rilly, Richard M
Subject: RE: DMAG
Date: Tuesday, June 07, 2016 3:55:35 PM

(b)(5)



Kevin J. Kerns
Deputy Associate Director
Management Directorate
US Citizenship and Immigration Services
(202) 272-2990 Kevin.J.Kerns@USCIS.DHS.GOV

From: Scialabba, Lori L
Sent: Tuesday, June 07, 2016 2:13 PM
To: Kerns, Kevin J; Moore, Joseph D
Cc: Renaud, Tracy L
Subject: FW: DMAG

(b)(5)

Joe,



Thanks Joe,
Lori

From: DMAG
Sent: Tuesday, June 07, 2016 1:04:59 PM
To: DMAG
Subject: DMAG

DMAG Members and Support Staff:

The attached is a "Paper DMAG" information briefing on the FY2018-2022 Program and Budget Review.

CFO/PA&E and the DMAG Executive Agent requests that you review these materials prior

to the start of a series of in-person DMAG decision briefings which begin on Thursday, June 9 (concerning Mission 1 and Mission 5 Overview). Be advised that "Read ahead" materials for the June 9 DMAG will be sent to you via separate correspondence.

If you have any questions please contact the DMAG Executive Agent, 202-447-3632.

-DMAG Executive Agent

From: [Scialabba, Lori L](#)
To: [Kerns, Kevin J](#); [Moore, Joseph D](#)
Cc: [Renaud, Tracy L](#)
Subject: FW: DMAG
Date: Tuesday, June 07, 2016 2:13:07 PM
Attachments: [20160607_DMAG BM FY18-22 RAP Summary.docx](#)
[Attachment A Paper DMAG FY18-22 Summary Component RAP Brief.pptx](#)

Joe,

(b)(5)

Thanks Joe,
Lori

From: DMAG
Sent: Tuesday, June 07, 2016 1:04:59 PM
To: DMAG
Subject: DMAG

DMAG Members and Support Staff:

The attached is a "Paper DMAG" information briefing on the FY2018-2022 Program and Budget Review.

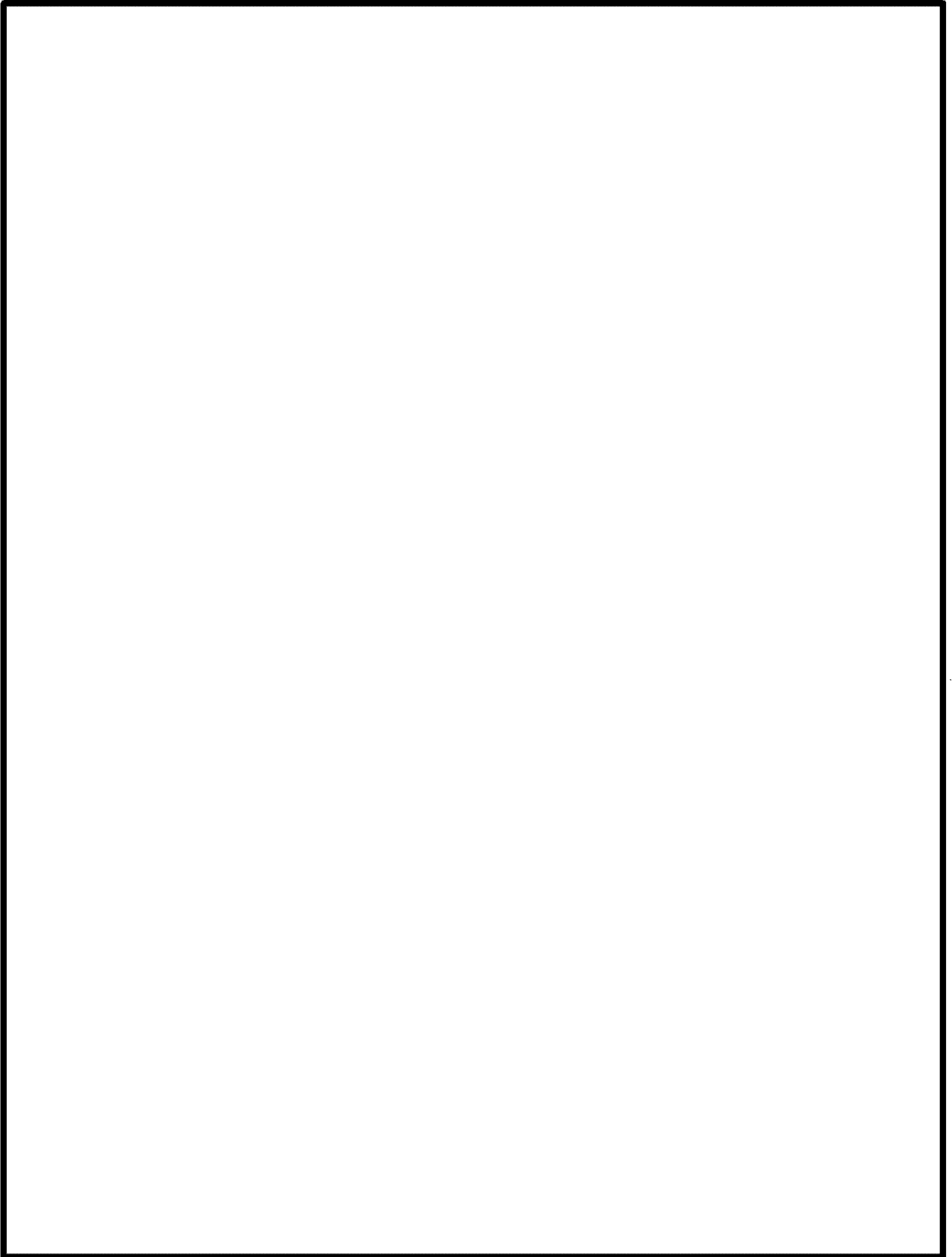
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If you have any questions please contact the DMAG Executive Agent, 202-447-3632.

-DMAG Executive Agent

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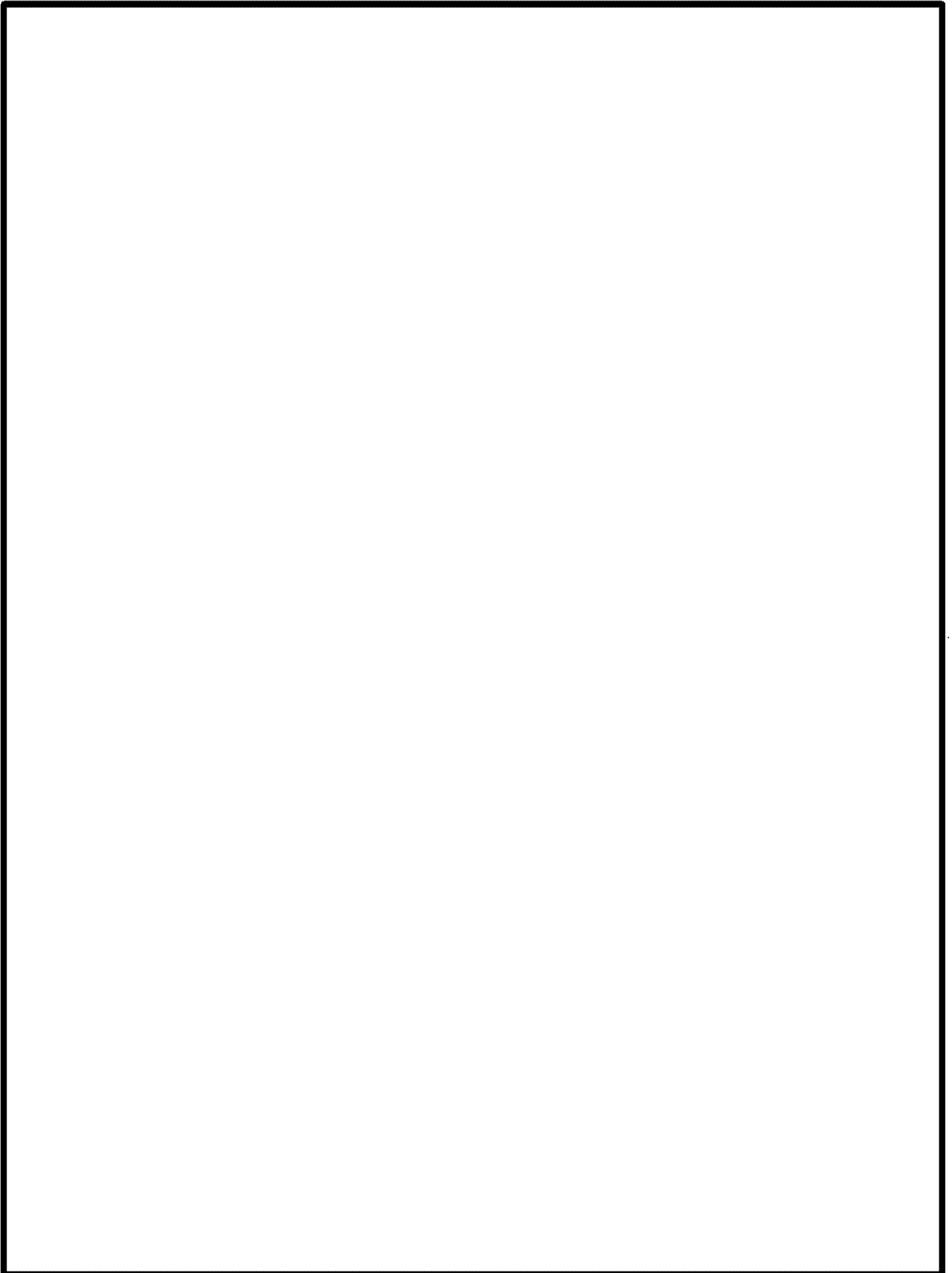
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FOR OFFICIAL USE ONLY

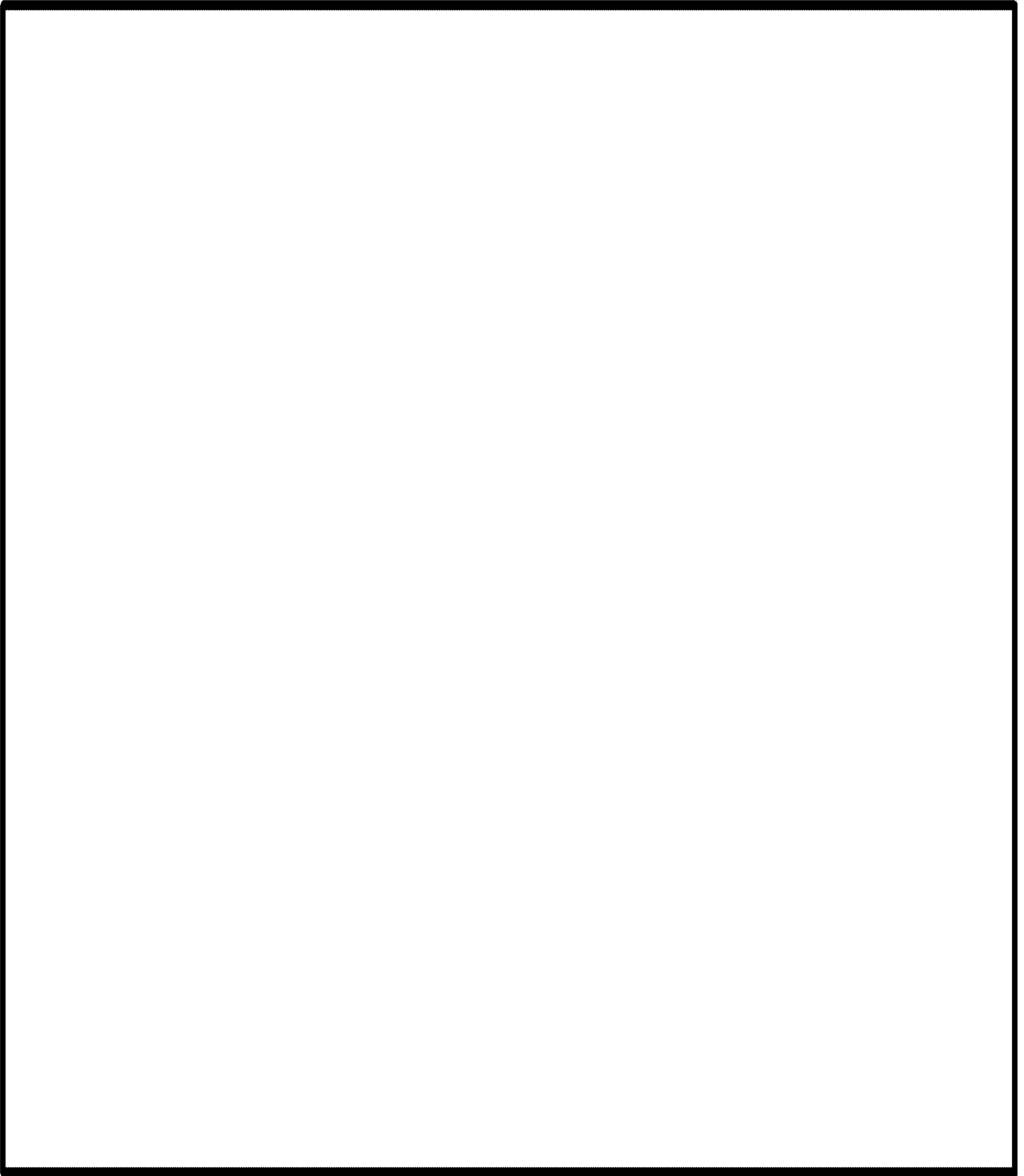
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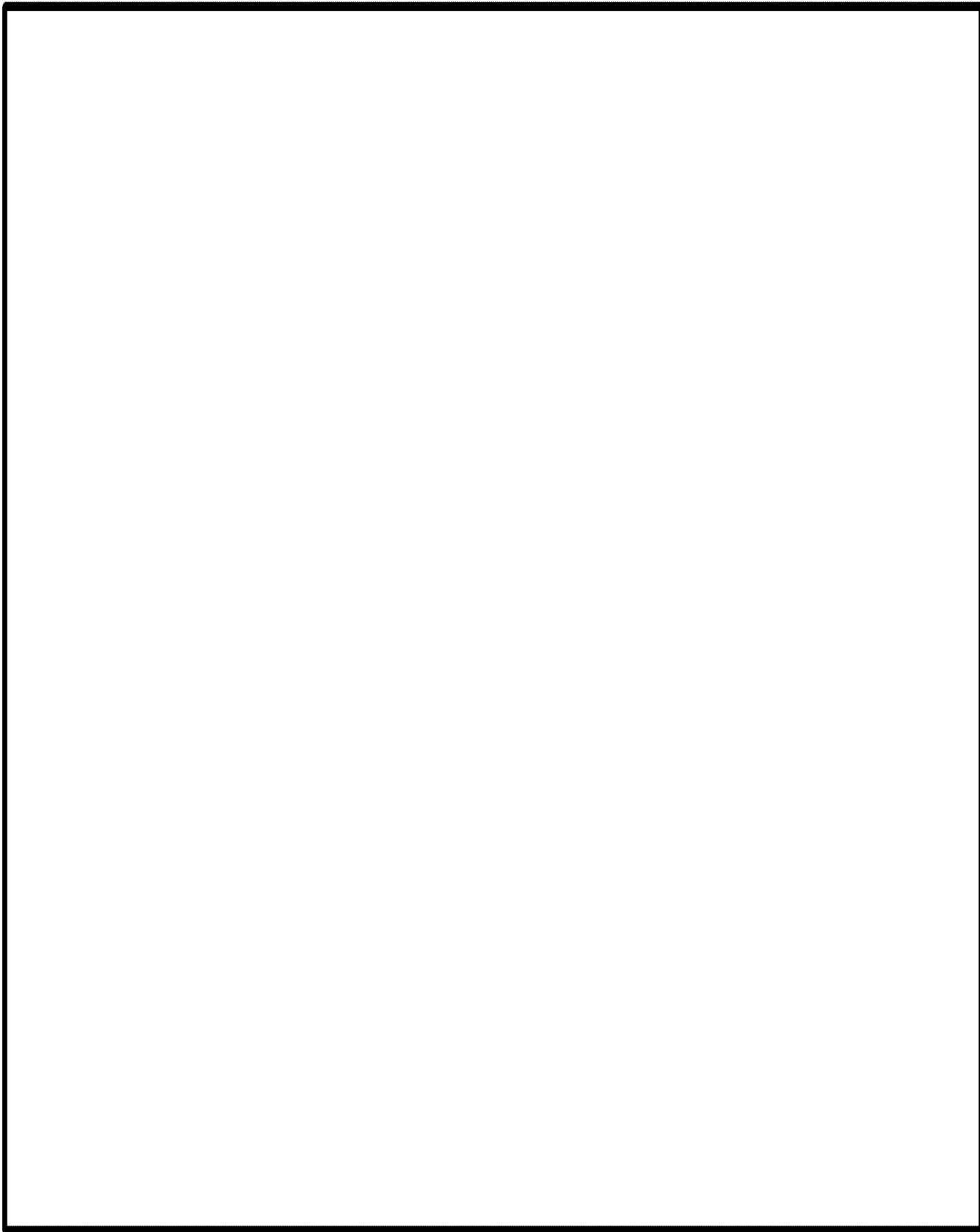
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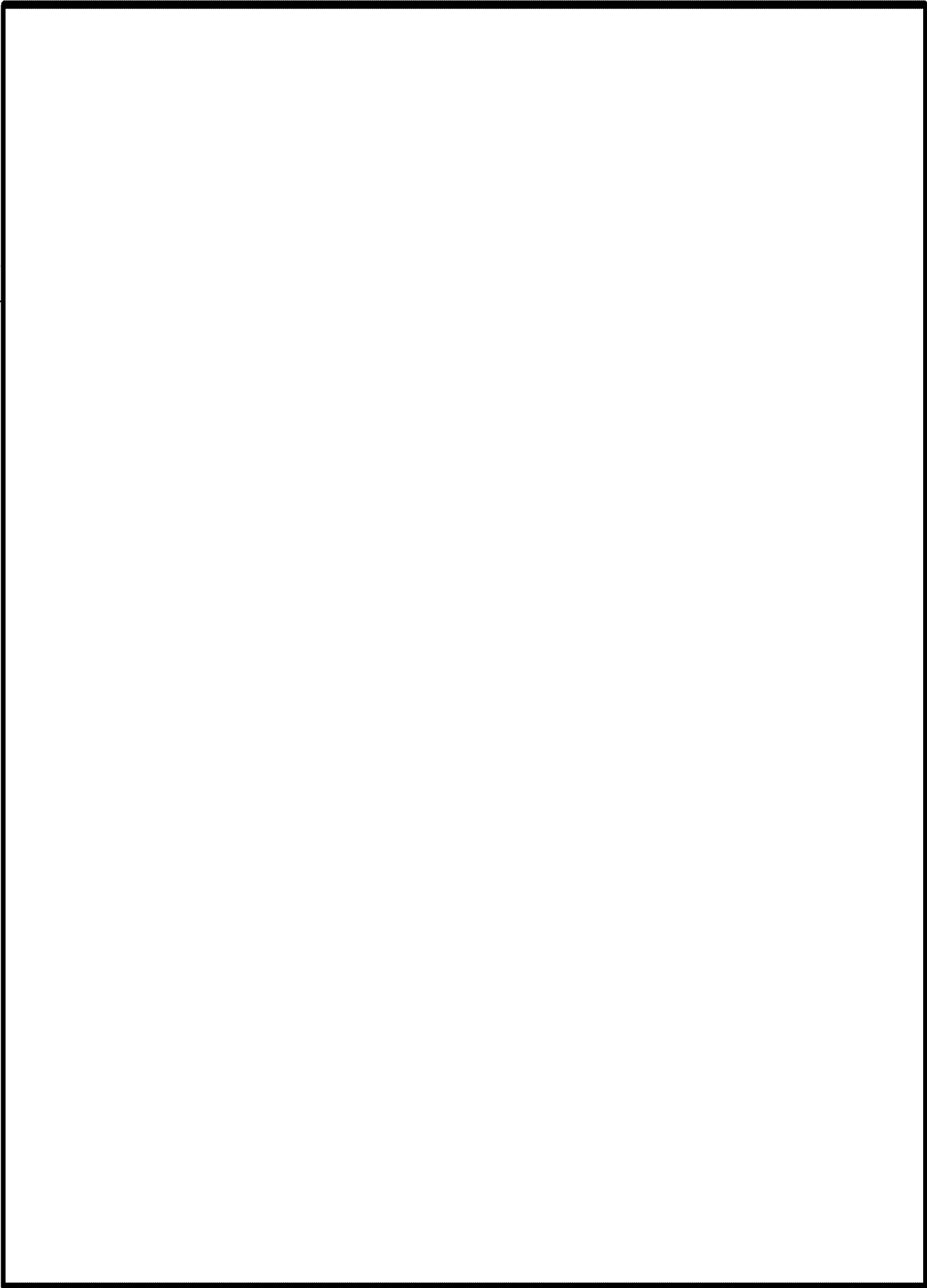


FOR OFFICIAL USE ONLY

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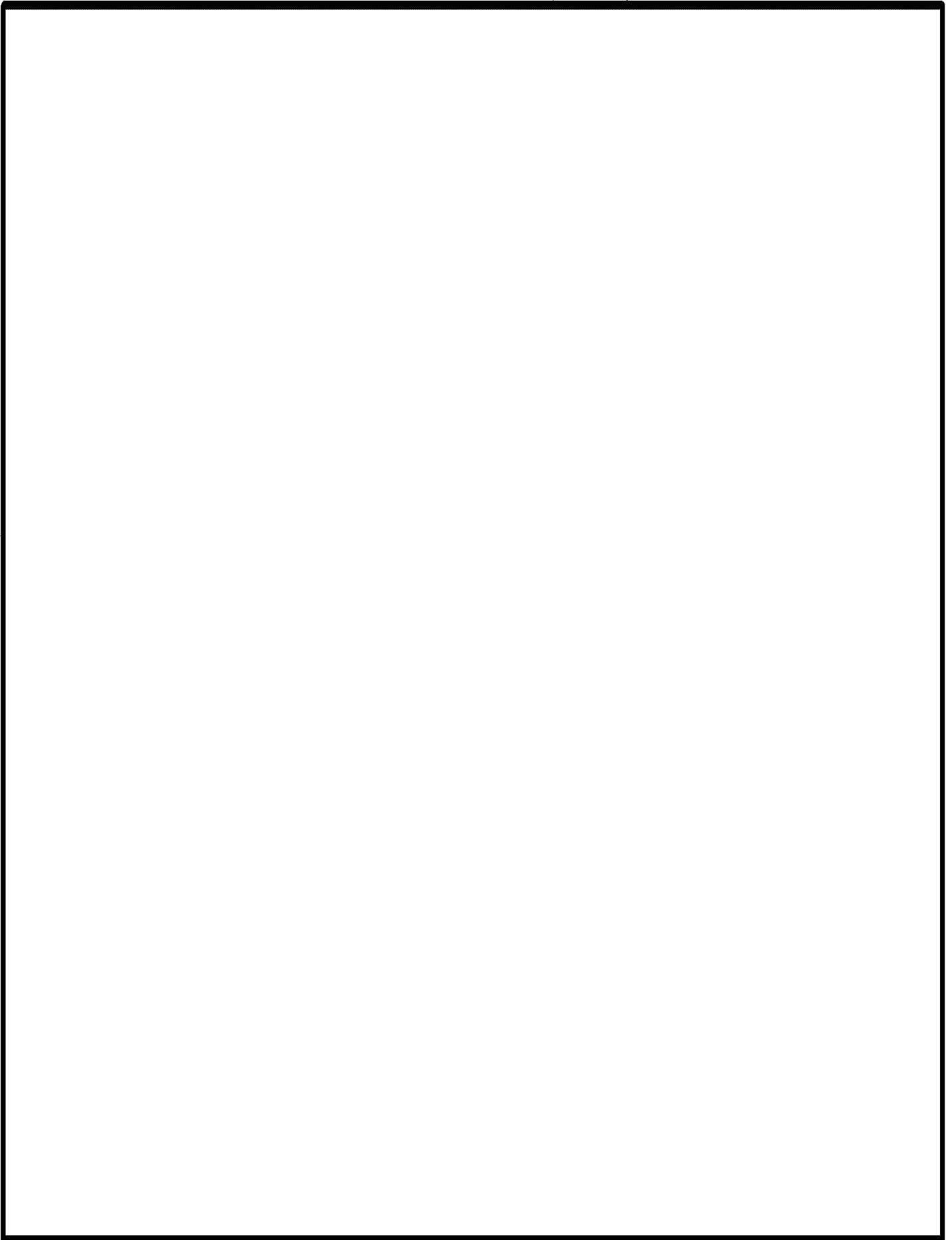




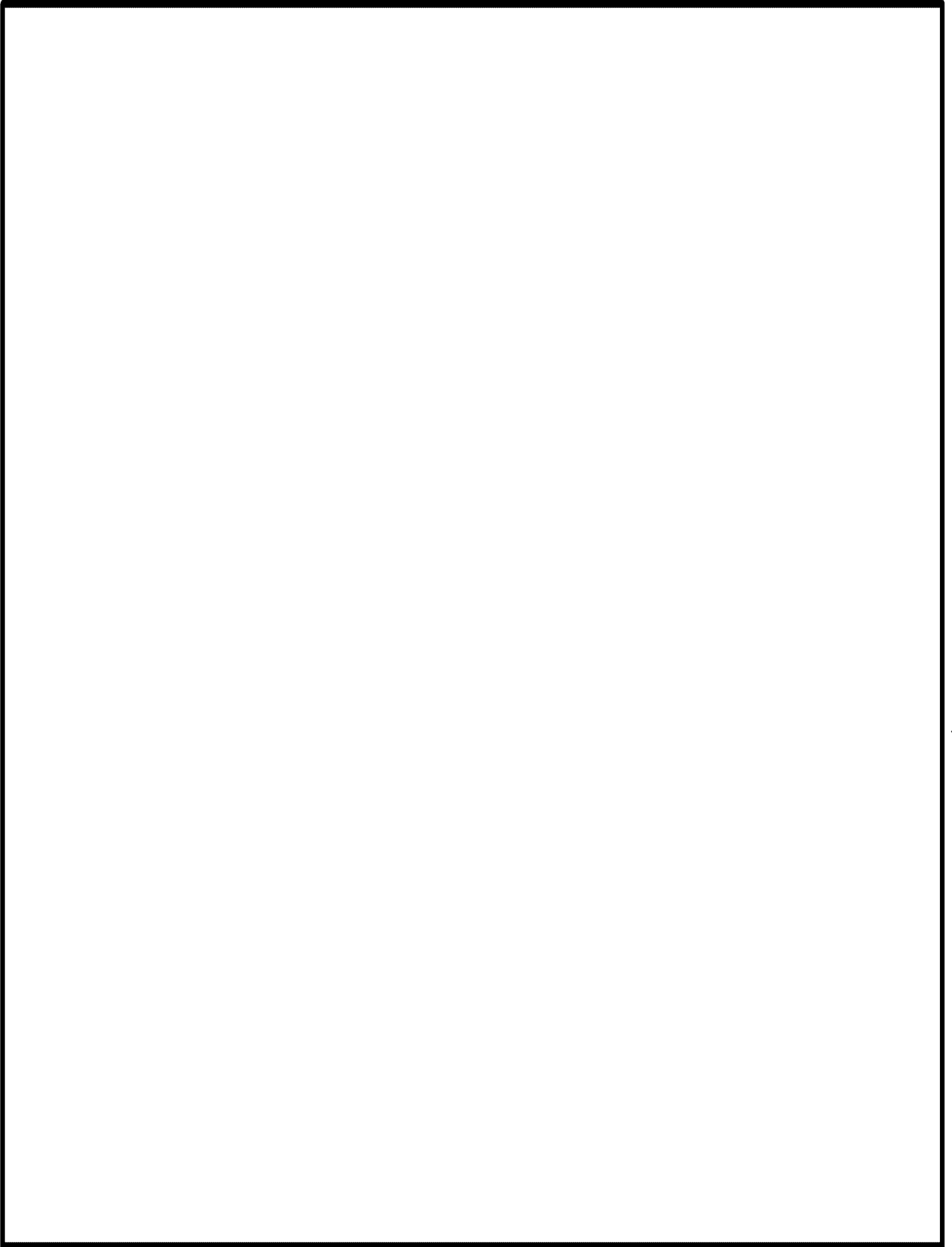


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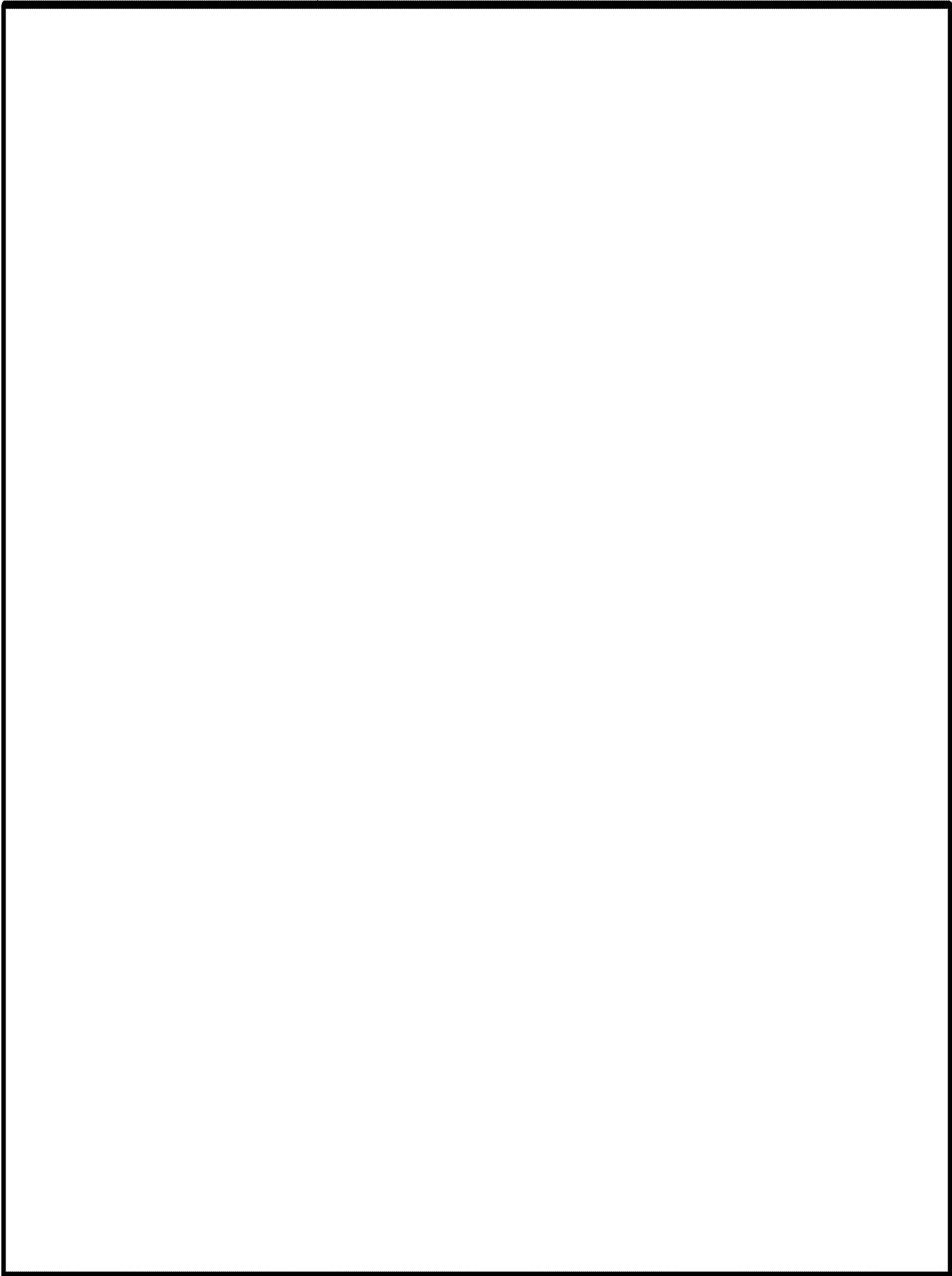


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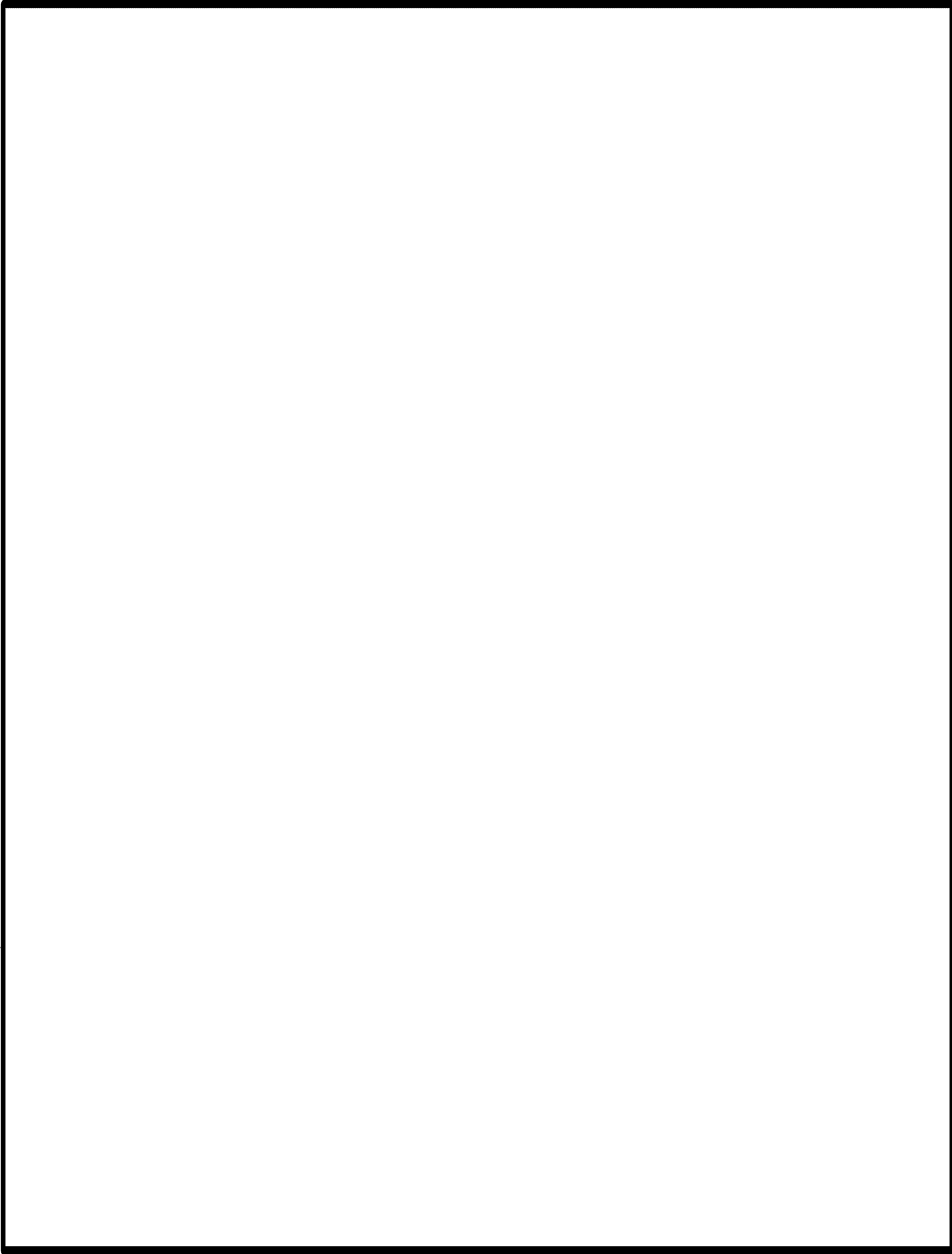


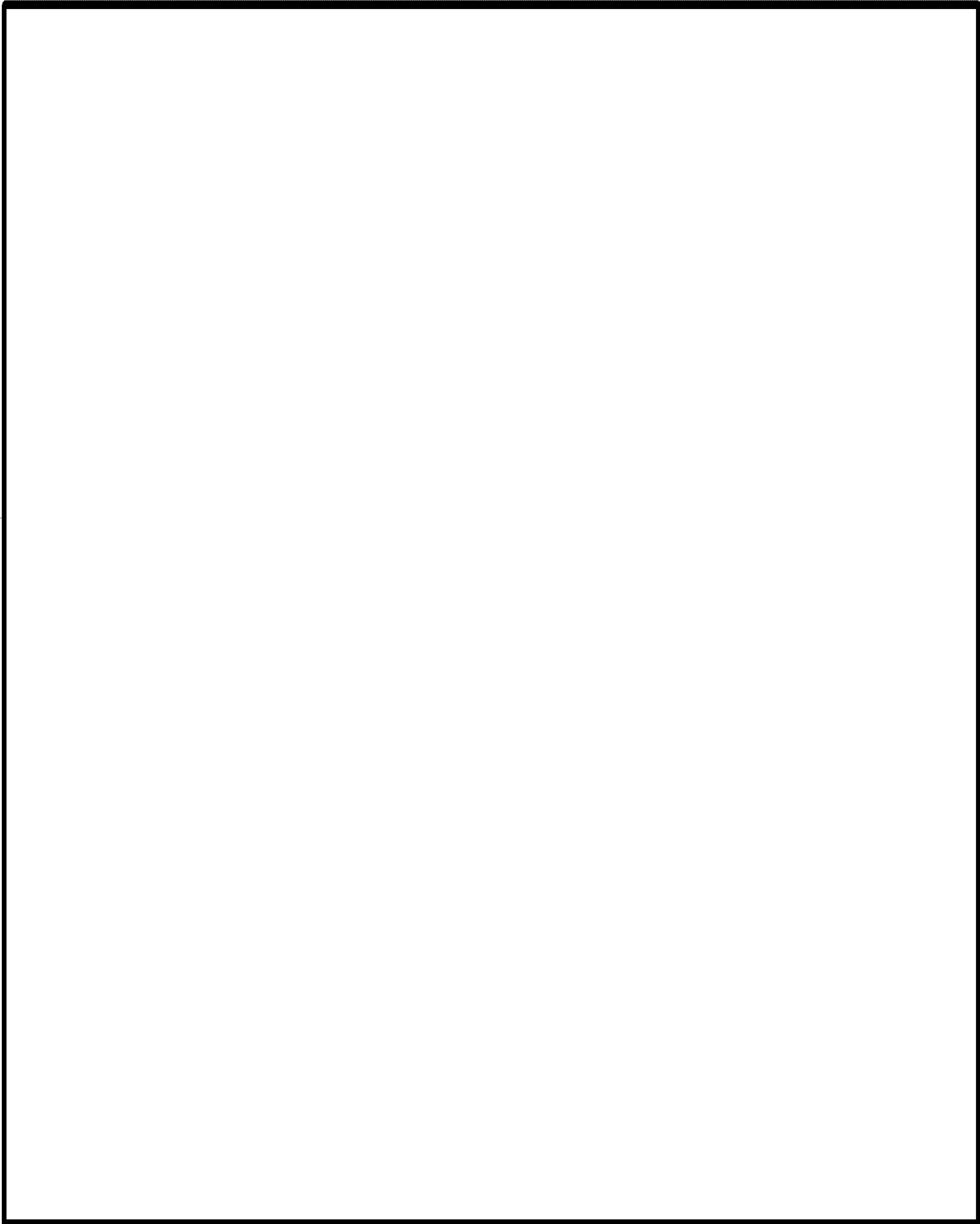




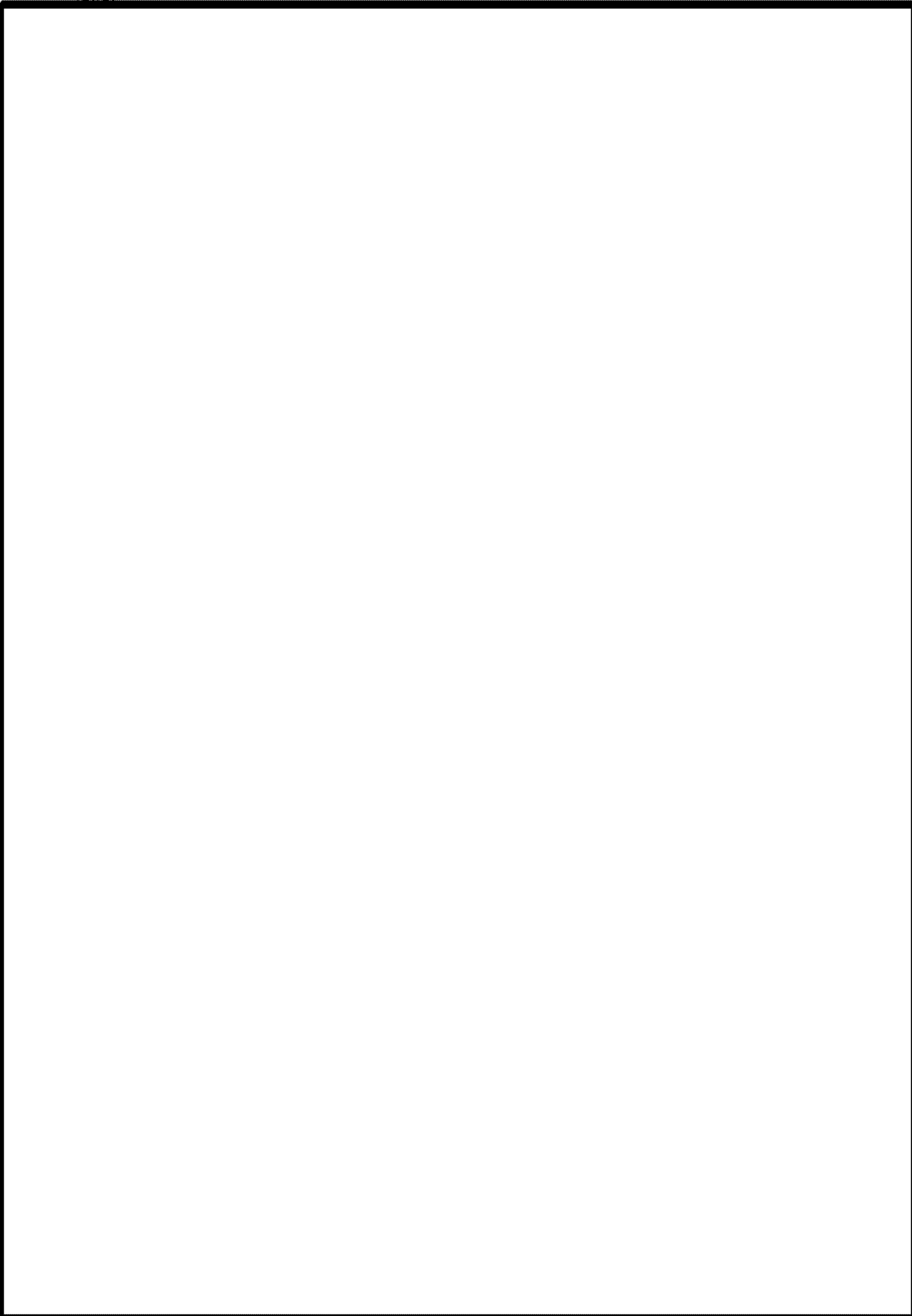


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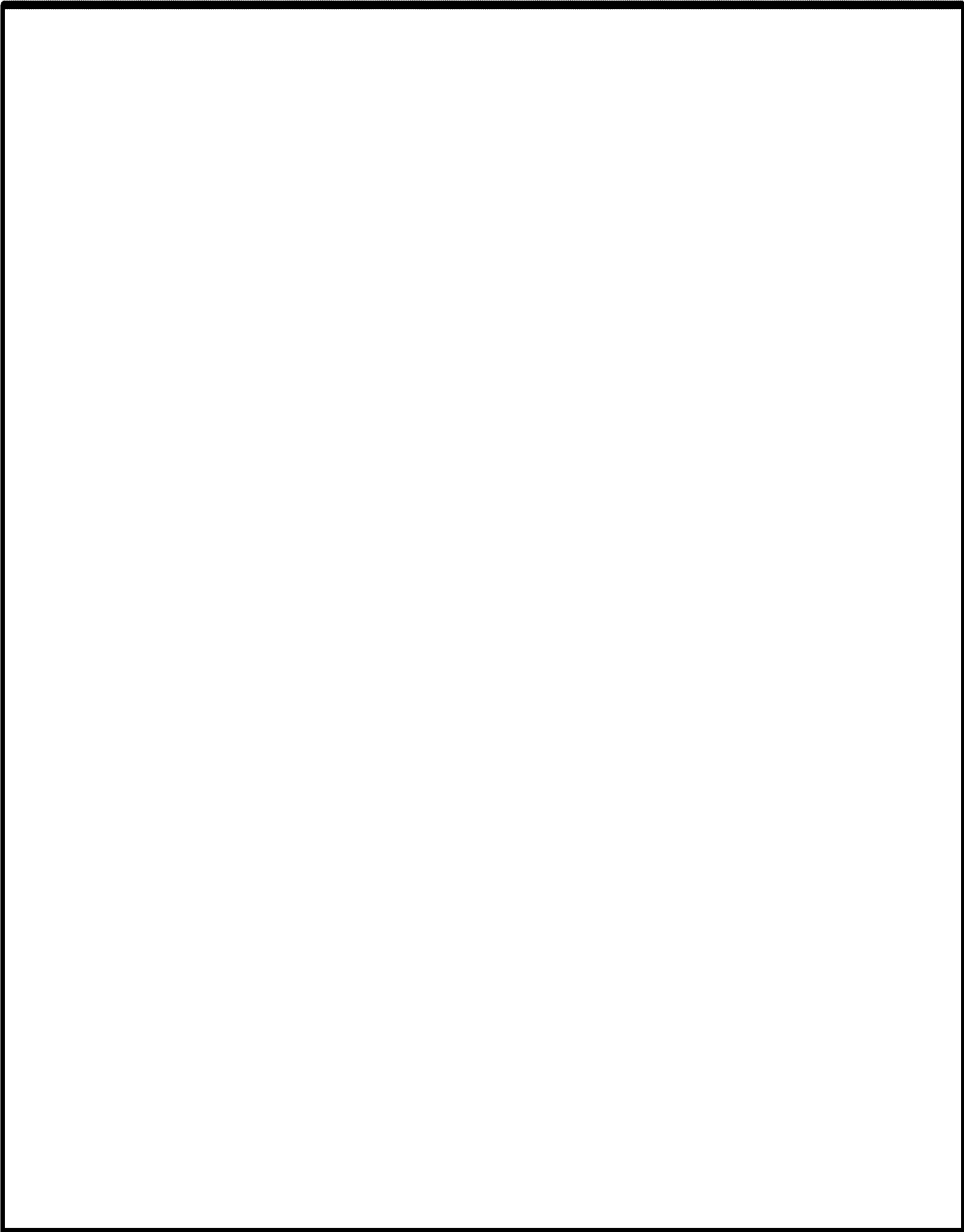
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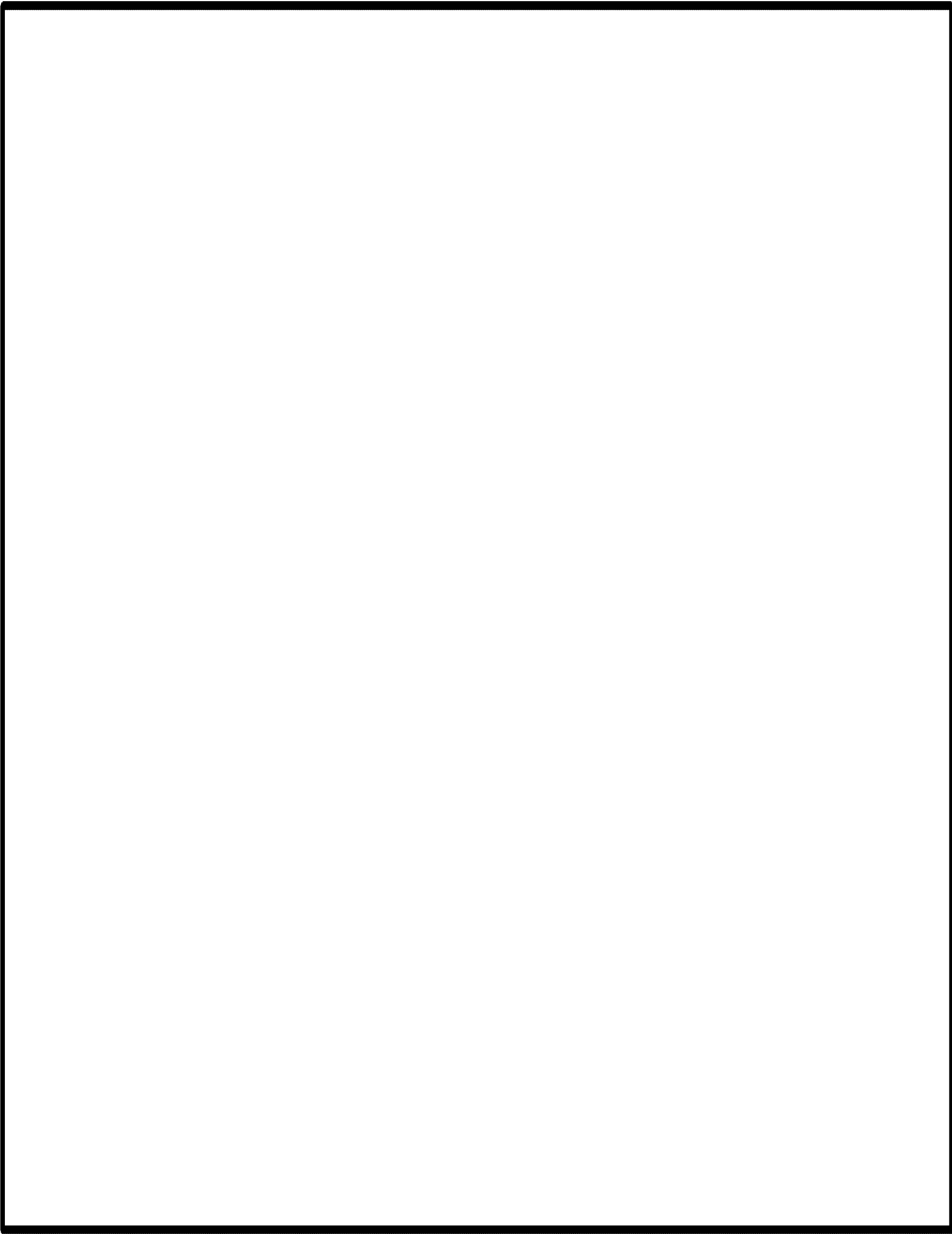


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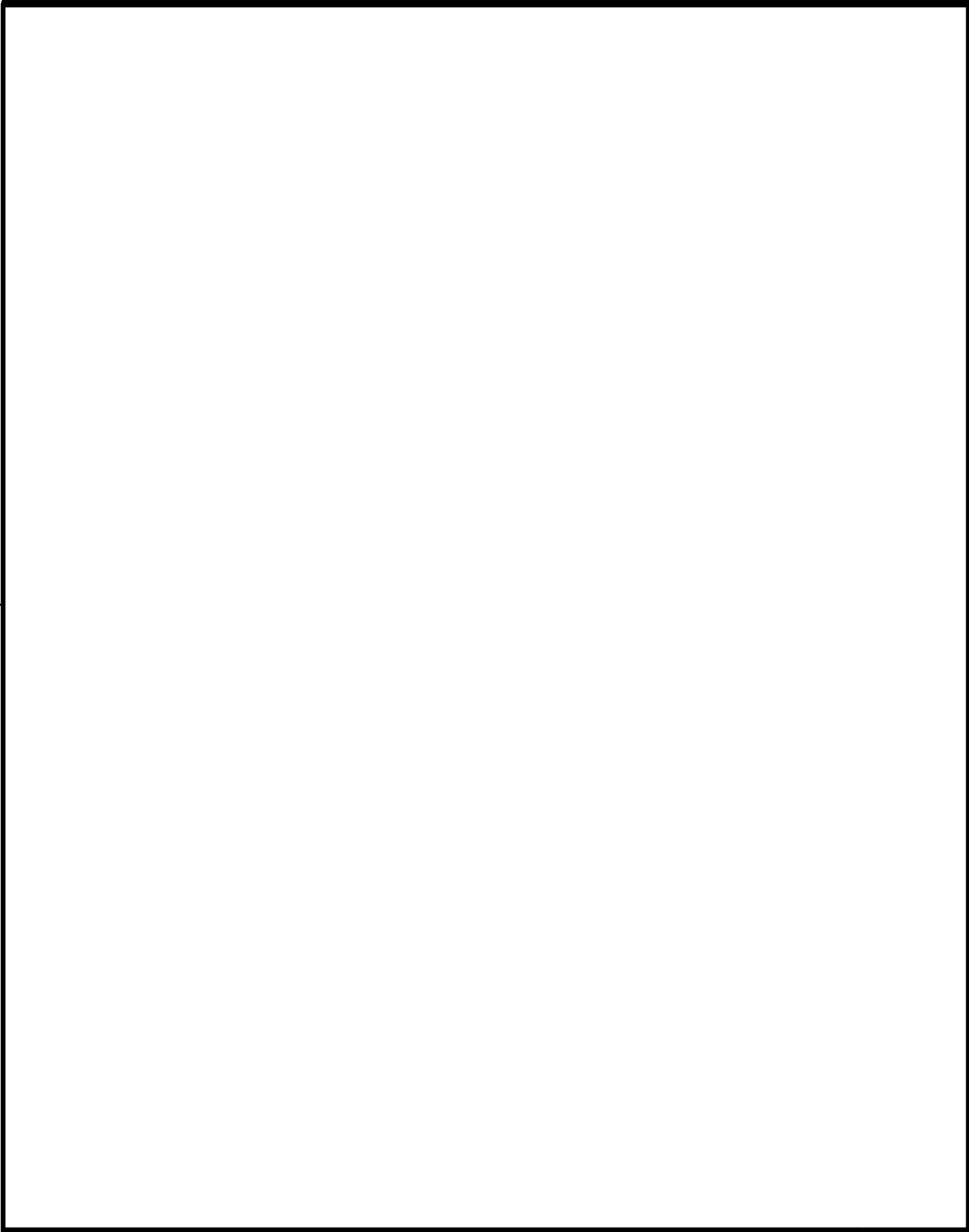


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From: Renaud, Tracy L
To: Atkinson, Ronald A
Subject: FW: President transition report to congress. WF1124072
Date: Tuesday, May 17, 2016 8:22:00 AM
Attachments: 1605-06-2086 HTD Input transition JCD clean 05122016 (002)-CT Staff chgs-HTD update.docx
WF 1124072 - Public Law 114-136 tasked for draft of the Presidential Transition Improvement Act Threats and Vulnerabilities (Ad Hoc) 05.06.16.pdf

Alan – FYI. This has been cleared with no edits and returned to DHS but wanted you to have for awareness.

Tracy L. Renaud
Associate Director
Management Directorate
US Citizenship & Immigration Services
Department of Homeland Security
202-272-1739 (desk)

From: Drake, Johnetta **On Behalf Of** USCIS Exec Sec
Sent: Monday, May 16, 2016 11:28 AM
To: Renaud, Tracy L; Sahai, Rawn S; Francis, Gregory I; Williams, Lee D; Davis, Marla J
Cc: USCIS Exec Sec
Subject: President transition report to congress. WF1124072

President transition - Congressional report

Johnetta Drake
USCIS Office of the Executive Secretariat
202-236-4246 (Cell)
202-272-0998 (Desk)
202-272-0990 (Office)
[EXSO Connect Page](#)
[EXSO ECN Page](#)

*Please upload all actions for which Forms G-1056 are used to **CATS**.*
Please send all official actions to USCIS-Exec-Sec@uscis.dhs.gov.

From: Almont, Yohanna **On Behalf Of** I&A Exec Sec
Sent: Monday, May 16, 2016 11:09 AM
To: USSS Exec Sec; EXEC, USCG SMB; USCIS Exec Sec; CBPTASKING; TSAExecSec; Ploy Exec Sec; OGC Exec Sec; MGMTExecSec; ICE Exec Sec
Cc: I&A Exec Sec; WAITE ALFRED D; Belzak, Brad
Subject: President transition report to congress. WF1124072

Components,

Please see the attached draft report to congress on threats during the Presidential Transition.
Please review and provide any additional information by 10:00 am tomorrow May 17, 2016.

Thank you,

Yohanna Almont
Staff Officer
Executive Secretariat
Office of Intelligence and Analysis
Desk 202-447-3194
Mobile 202-440-3895

From: Renaud, Tracy L
To: Choi, Juliet K
Cc: USCIS Exec Sec
Subject: FW: President transition report to congress. WF1124072
Date: Tuesday, May 17, 2016 7:24:01 AM
Attachments: 1605-06-2086 HTD Input transition JCD clean 05122016 (002)-CT Staff chos-HTD update.docx
WF 1124072 - Public Law 114-136 tasked for draft of the Presidential Transition Improvement Act Threats and Vulnerabilities (Ad Hoc).05.06.16.pdf

Juliet,

Can you please clear on this? It has been reviewed by FDNS and Matt had no edits/comments. All transition documents require my clearance and COS or higher clearance.

From: Drake, Johnetta on behalf of USCIS Exec Sec
Sent: Monday, May 16, 2016 11:27:32 AM
To: Renaud, Tracy L; Sahai, Rawn S; Francis, Gregory I; Williams, Lee D; Davis, Marla J
Cc: USCIS Exec Sec
Subject: President transition report to congress. WF1124072

President transition - Congressional report

Johnetta Drake

USCIS Office of the Executive Secretariat

202-236-4246 (Cell)

202-272-0998 (Desk)

202-272-0990 (Office)

[EXSO Connect Page](#)

[EXSO ECN Page](#)

Please upload all actions for which Forms G-1056 are used to CATS.

Please send all official actions to USCIS-Exec-Sec@uscis.dhs.gov.

From: Almont, Yohanna On Behalf Of I&A Exec Sec
Sent: Monday, May 16, 2016 11:09 AM
To: USSS Exec Sec; EXEC, USCG SMB; USCIS Exec Sec; CBPTASKING; TSAExecSec; PICY Exec Sec; OGC Exec Sec; MGMTEExecSec; ICE Exec Sec
Cc: I&A Exec Sec; WAITE ALFRED D; Belzak, Brad
Subject: President transition report to congress. WF1124072

Components,

Please see the attached draft report to congress on threats during the Presidential Transition.
Please review and provide any additional information by 10:00 am tomorrow May 17, 2016.

Thank you,

Yohanna Almont
Staff Officer

Executive Secretariat
Office of Intelligence and Analysis
Desk 202-447-3194
Mobile 202-440-3895

From: Renaud, Tracy L
To: Young, Todd P
Subject: FW: President transition report to congress. WF1124072
Date: Monday, May 16, 2016 3:46:27 PM
Attachments: 1605-06-2086 HTD Input transition JCD clean 05122016 (002)-CT Staff chgs-HTD update.docx
WF_1124072 - Public Law 114-136 tasked for draft of the Presidential Transition Improvement Act Threats and Vulnerabilities (Ad Hoc) 05.06.16.pdf

For your awareness and passing to Lori as you deem appropriate. I have FDNS reviewing for any comments.

From: Drake, Johnetta on behalf of USCIS Exec Sec
Sent: Monday, May 16, 2016 11:27:32 AM
To: Renaud, Tracy L; Sahai, Rawn S; Francis, Gregory I; Williams, Lee D; Davis, Marla J
Cc: USCIS Exec Sec
Subject: President transition report to congress. WF1124072

President transition - Congressional report

Johnetta Drake

USCIS Office of the Executive Secretariat

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*Please upload all actions for which Forms G-1056 are used to **CATS**.
Please send all official actions to USCIS-Exec-Sec@uscis.dhs.gov.*

From: Almont, Yohanna On Behalf Of I&A Exec Sec
Sent: Monday, May 16, 2016 11:09 AM
To: USSS Exec Sec; EXEC, USCG SMB; USCIS Exec Sec; CBPTASKING; TSAExecSec; Ploy Exec Sec; OGC Exec Sec; MGMTExecSec; ICE Exec Sec
Cc: I&A Exec Sec; WAITE ALFRED D; Belzak, Brad
Subject: President transition report to congress. WF1124072

Components,

Please see the attached draft report to congress on threats during the Presidential Transition. Please review and provide any additional information by 10:00 am tomorrow May 17, 2016.

Thank you,

Yohanna Almont
Staff Officer
Executive Secretariat
Office of Intelligence and Analysis
Desk 202-447-3194

Mobile 202-440-3895

From: Renaud, Tracy L
To: Emrich, Matthew D
Cc: Farnam, Julie E
Subject: FW: President transition report to congress. WF1124072
Date: Monday, May 16, 2016 3:44:36 PM
Attachments: 1605-06-2086 HTD Input transition JCD clean 05122016 (002)-CT Staff chgs-HTD update.docx
WF 1124072 - Public Law 114-136 tasked for draft of the Presidential Transition Improvement Act Threats and Vulnerabilities (Ad Hoc) 05.06.16.pdf

Matt - Please review the draft report and let me and Julie know as soon as possible if you have any edits/comments so we can get them back to the transition team.
Thanks.

From: Drake, Johnetta on behalf of USCIS Exec Sec
Sent: Monday, May 16, 2016 11:27:32 AM
To: Renaud, Tracy L; Sahai, Rawn S; Francis, Gregory I; Williams, Lee D; Davis, Marla J
Cc: USCIS Exec Sec
Subject: President transition report to congress. WF1124072

President transition - Congressional report

Johnetta Drake
USCIS Office of the Executive Secretariat
202-236-4246 (Cell)
202-272-0998 (Desk)
202-272-0990 (Office)
EXSO Connect Page
EXSO ECN Page

Please upload all actions for which Forms G-1056 are used to CATS.
Please send all official actions to USCIS-Exec-Sec@uscis.dhs.gov.

From: Almont, Yohanna **On Behalf Of** I&A Exec Sec
Sent: Monday, May 16, 2016 11:09 AM
To: USSS Exec Sec; EXEC, USCG SMB; USCIS Exec Sec; CBPTASKING; TSAExecSec; Plcy Exec Sec; OGC Exec Sec; MGMTEExecSec; ICE Exec Sec
Cc: I&A Exec Sec; WAITE ALFRED D; Belzak, Brad
Subject: President transition report to congress. WF1124072

Components,

Please see the attached draft report to congress on threats during the Presidential Transition.
Please review and provide any additional information by 10:00 am tomorrow May 17, 2016.

Thank you,

Yohanna Almont
Staff Officer
Executive Secretariat

From: Drake, Johnetta on behalf of USCIS Exec Sec
To: Renaud, Tracy L; Sahai, Rawn S; Francis, Gregory J; Williams, Lee D; Davis, Maria J
Cc: USCIS Exec Sec
Subject: President transition report to congress. WF1124072
Date: Monday, May 16, 2016 11:27:35 AM
Attachments: 1605-06-2086 HTD Input transition JCD clean 05122016 (002)-CT Staff chgs-HTD update.docx
WF 1124072 - Public Law 114-136 tasked for draft of the Presidential Transition Improvement Act Threats and Vulnerabilities (Ad Hoc) 05.06.16.pdf

President transition - Congressional report

Johnetta Drake

USCIS Office of the Executive Secretariat

202-236-4246 (Cell)

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Sent: Monday, May 16, 2016 11:09 AM
To: USSS Exec Sec; EXEC, USCG SMB; USCIS Exec Sec; CBPTASKING; TSAExecSec; Plcy Exec Sec; OGC Exec Sec; MGMTExecSec; ICE Exec Sec
Cc: I&A Exec Sec; WAITE ALFRED D; Belzak, Brad
Subject: President transition report to congress. WF1124072

Components,

Please see the attached draft report to congress on threats during the Presidential Transition.
Please review and provide any additional information by 10:00 am tomorrow May 17, 2016.

Thank you,

Yohanna Almont
Staff Officer
Executive Secretariat
Office of Intelligence and Analysis
Desk 202-447-3194
Mobile 202-440-3895

From: Neufeld, Donald W
To: Moore, Joseph D; Renaud, Tracy L; Scialabba, Lori L; Walters, Jessica S; McCament, James W
Cc: Young, Todd P; Hoefer, Michael D; McConnell, James E
Subject: RE: SCOPS Staffing
Date: Friday, May 06, 2016 10:14:04 AM

(b)(5)



Sent with Good (www.good.com)

From: Neufeld, Donald W
Sent: Friday, May 06, 2016 9:58:41 AM
To: Moore, Joseph D; Renaud, Tracy L; Scialabba, Lori L; Walters, Jessica S; McCament, James W
Cc: Young, Todd P; Hoefer, Michael D; McConnell, James E
Subject: RE: SCOPS Staffing



Sent with Good (www.good.com)

From: Moore, Joseph D
Sent: Friday, May 06, 2016 9:19:24 AM
To: Neufeld, Donald W; Renaud, Tracy L; Scialabba, Lori L; Walters, Jessica S; McCament, James W
Cc: Young, Todd P; Hoefer, Michael D; McConnell, James E
Subject: RE: SCOPS Staffing



Joseph Moore
Chief Financial Officer
U.S. Citizenship and Immigration Services
Department of Homeland Security
joseph.moore@uscis.dhs.gov
(p) 202.272.1701

From: Neufeld, Donald W
Sent: Friday, May 06, 2016 9:16 AM
To: Moore, Joseph D; Renaud, Tracy L; Scialabba, Lori L; Walters, Jessica S; McCament, James W
Cc: Young, Todd P; Hoefer, Michael D; McConnell, James E
Subject: RE: SCOPS Staffing



Sent with Good (www.good.com)

(b)(5)

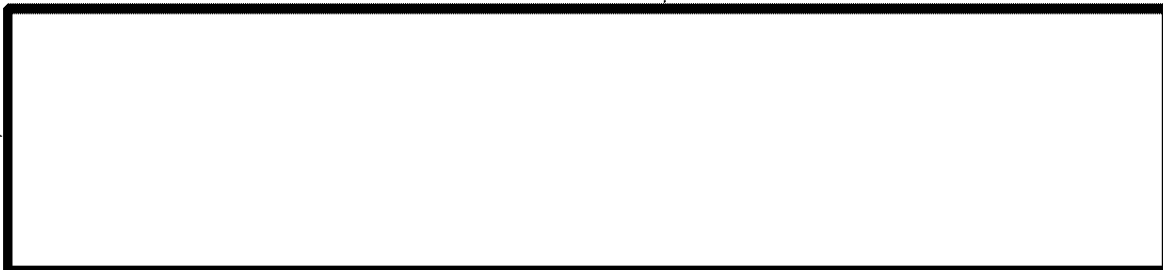
From: Moore, Joseph D
Sent: Friday, May 06, 2016 8:16:32 AM
To: Neufeld, Donald W; Renaud, Tracy L; Scialabba, Lori L; Walters, Jessica S; McCament, James W
Cc: Young, Todd P; Hoefler, Michael D; McConnell, James E
Subject: RE: SCOPS Staffing



Joseph Moore
Chief Financial Officer
U.S. Citizenship and Immigration Services
Department of Homeland Security
Joseph.moore@dhs.gov
(p) 202.272.1701

From: Neufeld, Donald W
Sent: Thursday, May 05, 2016 2:33 PM
To: Moore, Joseph D; Renaud, Tracy L; Scialabba, Lori L; Walters, Jessica S; McCament, James W
Cc: Young, Todd P; Hoefler, Michael D; McConnell, James E
Subject: SCOPS Staffing

(b)(5)



From: Neufeld, Donald W
Sent: Thursday, May 05, 2016 1:03 PM
To: Moore, Joseph D; Renaud, Tracy L; Scialabba, Lori L; Walters, Jessica S; McCament, James W
Cc: Young, Todd P; Hoefler, Michael D; McConnell, James E
Subject: RE: Bi-weekly w/ Don Neufeld

(b)(5)



From: Moore, Joseph D
Sent: Thursday, May 05, 2016 12:36 PM
To: Renaud, Tracy L; Neufeld, Donald W; Scialabba, Lori L; Walters, Jessica S; McCament, James W
Cc: Young, Todd P; Hoefler, Michael D; McConnell, James E
Subject: RE: Bi-weekly w/ Don Neufeld



Joseph Moore
Chief Financial Officer
U.S. Citizenship and Immigration Services
Department of Homeland Security
Joseph.moore@uscis.dhs.gov
(p) 202.272.1701

From: Renaud, Tracy L
Sent: Thursday, May 05, 2016 12:18 PM
To: Neufeld, Donald W; Scialabba, Lori L; Walters, Jessica S; McCament, James W
Cc: Young, Todd P; Moore, Joseph D; Hoefler, Michael D; McConnell, James E
Subject: RE: Bi-weekly w/ Don Neufeld



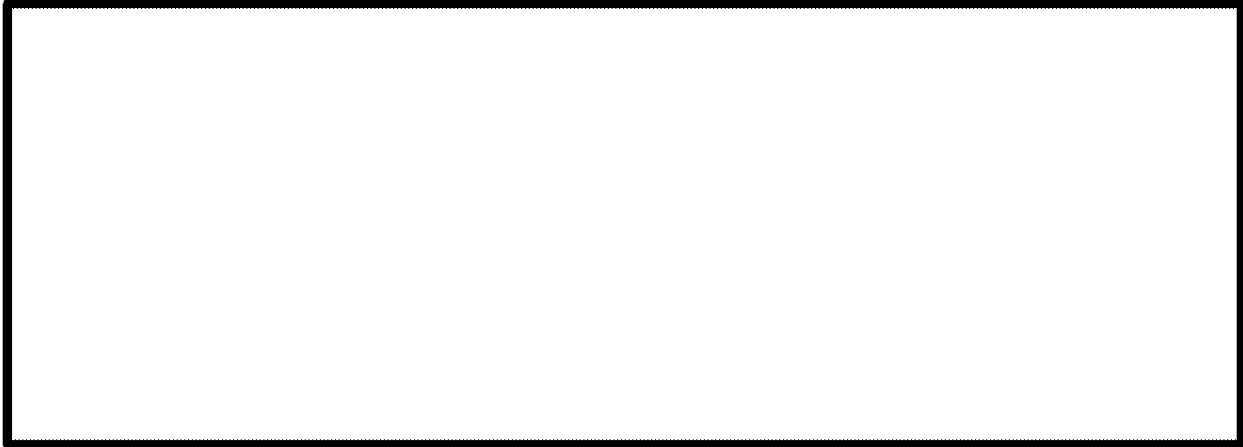
Tracy L. Renaud
Associate Director
Management Directorate
US Citizenship & Immigration Services
Department of Homeland Security
202-272-1739 (desk)

From: Renaud, Tracy L
Sent: Thursday, May 05, 2016 11:57 AM
To: Neufeld, Donald W; Scialabba, Lori L; Walters, Jessica S; McCament, James W
Cc: Young, Todd P; Moore, Joseph D; Hoefler, Michael D; McConnell, James E
Subject: RE: Bi-weekly w/ Don Neufeld

(b)(5)

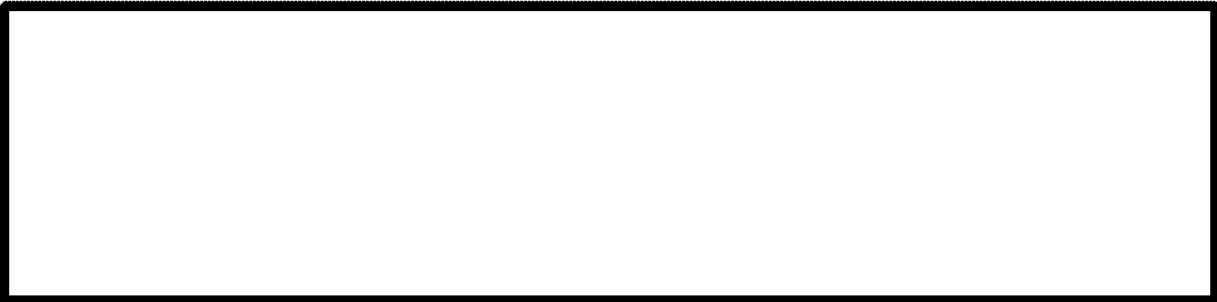
Lori,

(b)(5)



*Tracy L. Renaud
Associate Director
Management Directorate
US Citizenship & Immigration Services
Department of Homeland Security
202-272-1739 (desk)*

From: Neufeld, Donald W
Sent: Thursday, May 05, 2016 11:42 AM
To: Scialabba, Lori L; Walters, Jessica S; McCament, James W
Cc: Young, Todd P; Renaud, Tracy L; Moore, Joseph D; Hoefer, Michael D; McConnell, James E
Subject: FW: Bi-weekly w/ Don Neufeld



Don

From: Neufeld, Donald W
Sent: Thursday, May 05, 2016 10:23 AM
To: Scialabba, Lori L; Scheduler, Scialabba; Walters, Jessica S; McCament, James W
Cc: Young, Todd P; Renaud, Tracy L; Moore, Joseph D; Hoefer, Michael D
Subject: RE: Bi-weekly w/ Don Neufeld

(b)(5)





I have copied Tracy, Joe and Mike as well.

Thanks,

Don

Sent with Good (www.good.com)

From: Neufeld, Donald W
Sent: Wednesday, May 04, 2016 3:55:22 PM
To: Scialabba, Lori L; Scheduler, Scialabba; Walters, Jessica S; McCament, James W
Cc: Young, Todd P
Subject: RE: Bi-weekly w/ Don Neufeld

I had asked last week for a meeting to include Joe and Tracy so that would be great if it can be arranged.



(b)(5)

From: Scialabba, Lori L
Sent: Wednesday, May 04, 2016 3:51 PM
To: Neufeld, Donald W; Scheduler, Scialabba; Walters, Jessica S; McCament, James W
Cc: Young, Todd P
Subject: RE: Bi-weekly w/ Don Neufeld

Don,



(b)(5)

Lori

From: Neufeld, Donald W
Sent: Wednesday, May 04, 2016 3:30:57 PM
To: Scheduler, Scialabba; Scialabba, Lori L; Walters, Jessica S; McCament, James W
Cc: Young, Todd P
Subject: RE: Bi-weekly w/ Don Neufeld

(b)(5)

Lori and Jocelyn,

[REDACTED]

[REDACTED] Can we find time either later today or another time tomorrow? I'm out on Friday and I know next week is no good.

-----Original Appointment-----

From: Prater, Jocelyn S **On Behalf Of** Scheduler, Scialabba

Sent: Wednesday, May 04, 2016 2:04 PM

To: Scialabba, Lori L; Walters, Jessica S; Neufeld, Donald W; McCament, James W

Cc: Young, Todd P

Subject: Canceled: Bi-weekly w/ Don Neufeld

When: Thursday, May 05, 2016 2:00 PM-2:45 PM (UTC-05:00) Eastern Time (US & Canada).

Where: Deputy Director's Office

Importance: High

From: Neufeld, Donald W
To: Moore, Joseph D; Renaud, Tracy L; Scialabba, Lori L; Walters, Jessica S; McCament, James W
Cc: Young, Todd P; Hoefler, Michael D; McConnell, James E
Subject: RE: SCOPS Staffing
Date: Friday, May 06, 2016 9:58:43 AM



Sent with Good (www.good.com)

From: Moore, Joseph D
Sent: Friday, May 06, 2016 9:19:24 AM
To: Neufeld, Donald W; Renaud, Tracy L; Scialabba, Lori L; Walters, Jessica S; McCament, James W
Cc: Young, Todd P; Hoefler, Michael D; McConnell, James E
Subject: RE: SCOPS Staffing

(b)(5)



Joseph Moore
Chief Financial Officer
U.S. Citizenship and Immigration Services
Department of Homeland Security
Joseph.moore@uscis.dhs.gov
(p) 202.272.1701

From: Neufeld, Donald W
Sent: Friday, May 06, 2016 9:16 AM
To: Moore, Joseph D; Renaud, Tracy L; Scialabba, Lori L; Walters, Jessica S; McCament, James W
Cc: Young, Todd P; Hoefler, Michael D; McConnell, James E
Subject: RE: SCOPS Staffing

(b)(5)



Sent with Good (www.good.com)

From: Moore, Joseph D
Sent: Friday, May 06, 2016 8:16:32 AM
To: Neufeld, Donald W; Renaud, Tracy L; Scialabba, Lori L; Walters, Jessica S; McCament, James W
Cc: Young, Todd P; Hoefler, Michael D; McConnell, James E
Subject: RE: SCOPS Staffing



(b)(5)



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(p) 202.272.1701

From: Neufeld, Donald W
Sent: Thursday, May 05, 2016 2:33 PM
To: Moore, Joseph D; Renaud, Tracy L; Scialabba, Lori L; Walters, Jessica S; McCament, James W
Cc: Young, Todd P; Hoefer, Michael D; McConnell, James E
Subject: SCOPS Staffing

(b)(5)



From: Neufeld, Donald W
Sent: Thursday, May 05, 2016 1:03 PM
To: Moore, Joseph D; Renaud, Tracy L; Scialabba, Lori L; Walters, Jessica S; McCament, James W
Cc: Young, Todd P; Hoefer, Michael D; McConnell, James E
Subject: RE: Bi-weekly w/ Don Neufeld



From: Moore, Joseph D
Sent: Thursday, May 05, 2016 12:36 PM
To: Renaud, Tracy L; Neufeld, Donald W; Scialabba, Lori L; Walters, Jessica S; McCament, James W
Cc: Young, Todd P; Hoefer, Michael D; McConnell, James E
Subject: RE: Bi-weekly w/ Don Neufeld

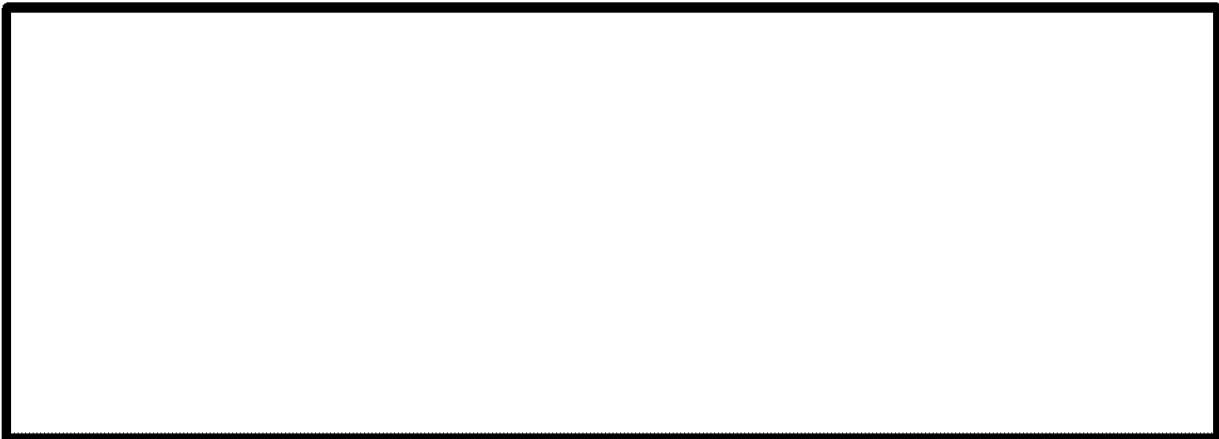
(b)(5)



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Joseph.moore@uscis.dhs.gov
(p) 202.272.1701

From: Renaud, Tracy L
Sent: Thursday, May 05, 2016 12:18 PM
To: Neufeld, Donald W; Scialabba, Lori L; Walters, Jessica S; McCament, James W
Cc: Young, Todd P; Moore, Joseph D; Hofer, Michael D; McConnell, James E
Subject: RE: Bi-weekly w/ Don Neufeld

(b)(5)



Tracy L. Renaud
Associate Director
Management Directorate
US Citizenship & Immigration Services
Department of Homeland Security
202-272-1739 (desk)

From: Renaud, Tracy L
Sent: Thursday, May 05, 2016 11:57 AM
To: Neufeld, Donald W; Scialabba, Lori L; Walters, Jessica S; McCament, James W
Cc: Young, Todd P; Moore, Joseph D; Hofer, Michael D; McConnell, James E
Subject: RE: Bi-weekly w/ Don Neufeld

Lori,

(b)(5)



about why it is different.

*Tracy L. Renaud
Associate Director
Management Directorate
US Citizenship & Immigration Services
Department of Homeland Security
202-272-1739 (desk)*

From: Neufeld, Donald W
Sent: Thursday, May 05, 2016 11:42 AM
To: Scialabba, Lori L; Walters, Jessica S; McCament, James W
Cc: Young, Todd P; Renaud, Tracy L; Moore, Joseph D; Hoefer, Michael D; McConnell, James E
Subject: FW: Bi-weekly w/ Don Neufeld

(b)(5)

Don

From: Neufeld, Donald W
Sent: Thursday, May 05, 2016 10:23 AM
To: Scialabba, Lori L; Scheduler, Scialabba; Walters, Jessica S; McCament, James W
Cc: Young, Todd P; Renaud, Tracy L; Moore, Joseph D; Hoefer, Michael D
Subject: RE: Bi-weekly w/ Don Neufeld

(b)(5)

I would like to get going as soon as possible and am happy to meet to discuss as soon as we can.

I have copied Tracy, Joe and Mike as well.

Thanks,

Don

Sent with Good (www.good.com)

From: Neufeld, Donald W
Sent: Wednesday, May 04, 2016 3:55:22 PM
To: Scialabba, Lori L; Scheduler, Scialabba; Walters, Jessica S; McCament, James W
Cc: Young, Todd P
Subject: RE: Bi-weekly w/ Don Neufeld

(b)(5)



From: Scialabba, Lori L
Sent: Wednesday, May 04, 2016 3:51 PM
To: Neufeld, Donald W; Scheduler, Scialabba; Walters, Jessica S; McCament, James W
Cc: Young, Todd P
Subject: RE: Bi-weekly w/ Don Neufeld

Don



Lori

From: Neufeld, Donald W
Sent: Wednesday, May 04, 2016 3:30:57 PM
To: Scheduler, Scialabba; Scialabba, Lori L; Walters, Jessica S; McCament, James W
Cc: Young, Todd P
Subject: RE: Bi-weekly w/ Don Neufeld

Lori and Jocelyn,



(b)(5)

-----Original Appointment-----

From: Prater, Jocelyn S **On Behalf Of** Scheduler, Scialabba
Sent: Wednesday, May 04, 2016 2:04 PM
To: Scialabba, Lori L; Walters, Jessica S; Neufeld, Donald W; McCament, James W
Cc: Young, Todd P
Subject: Canceled: Bi-weekly w/ Don Neufeld
When: Thursday, May 05, 2016 2:00 PM-2:45 PM (UTC-05:00) Eastern Time (US & Canada).
Where: Deputy Director's Office

Importance: High

Office of Intelligence and Analysis

Desk 202-447-3194

Mobile 202-440-3895

From: Renaud, Tracy L
To: Kerns, Kevin J
Subject: RE: Bi-weekly w/ Don Neufeld
Date: Thursday, May 05, 2016 12:53:00 PM

Back to your normal question: what are they doing to help themselves?

Tracy L. Renaud
Associate Director
Management Directorate
US Citizenship & Immigration Services
Department of Homeland Security
202-272-1739 (desk)

From: Kerns, Kevin J
Sent: Thursday, May 05, 2016 12:53 PM
To: Renaud, Tracy L
Subject: RE: Bi-weekly w/ Don Neufeld



(b)(5)

Kevin J. Kerns
Deputy Associate Director
Management Directorate
US Citizenship and Immigration Services
(202) 272-2990 Kevin.J.Kerns@USCIS.DHS.GOV

From: Renaud, Tracy L
Sent: Thursday, May 05, 2016 12:44 PM
To: Kerns, Kevin J
Subject: FW: Bi-weekly w/ Don Neufeld

Tracy L. Renaud
Associate Director
Management Directorate
US Citizenship & Immigration Services
Department of Homeland Security
202-272-1739 (desk)

From: Moore, Joseph D
Sent: Thursday, May 05, 2016 12:36 PM
To: Renaud, Tracy L; Neufeld, Donald W; Scialabba, Lori L; Walters, Jessica S; McCament, James W
Cc: Young, Todd P; Hoefler, Michael D; McConnell, James E
Subject: RE: Bi-weekly w/ Don Neufeld



(b)(5)

(b)(5)



Joseph Moore
Chief Financial Officer
U.S. Citizenship and Immigration Services
Department of Homeland Security
Joseph.moore@uscis.dhs.gov
(p) 202.272.1701

From: Renaud, Tracy L
Sent: Thursday, May 05, 2016 12:18 PM
To: Neufeld, Donald W; Scialabba, Lori L; Walters, Jessica S; McCament, James W
Cc: Young, Todd P; Moore, Joseph D; Hoefler, Michael D; McConnell, James E
Subject: RE: Bi-weekly w/ Don Neufeld

(b)(5)



Tracy L. Renaud
Associate Director
Management Directorate
US Citizenship & Immigration Services
Department of Homeland Security
202-272-1739 (desk)

From: Renaud, Tracy L
Sent: Thursday, May 05, 2016 11:57 AM
To: Neufeld, Donald W; Scialabba, Lori L; Walters, Jessica S; McCament, James W
Cc: Young, Todd P; Moore, Joseph D; Hoefler, Michael D; McConnell, James E
Subject: RE: Bi-weekly w/ Don Neufeld

Lori,

(b)(5)





Tracy L. Renaud
Associate Director
Management Directorate
US Citizenship & Immigration Services
Department of Homeland Security
202-272-1739 (desk)

From: Neufeld, Donald W
Sent: Thursday, May 05, 2016 11:42 AM
To: Scialabba, Lori L; Walters, Jessica S; McCament, James W
Cc: Young, Todd P; Renaud, Tracy L; Moore, Joseph D; Hoefler, Michael D; McConnell, James E
Subject: FW: Bi-weekly w/ Don Neufeld

(b)(5)



Don

From: Neufeld, Donald W
Sent: Thursday, May 05, 2016 10:23 AM
To: Scialabba, Lori L; Scheduler, Scialabba; Walters, Jessica S; McCament, James W
Cc: Young, Todd P; Renaud, Tracy L; Moore, Joseph D; Hoefler, Michael D
Subject: RE: Bi-weekly w/ Don Neufeld

(b)(5)



I have copied Tracy, Joe and Mike as well.

Thanks,

Don

Sent with Good (www.good.com)

From: Neufeld, Donald W
Sent: Wednesday, May 04, 2016 3:55:22 PM
To: Scialabba, Lori L; Scheduler, Scialabba; Walters, Jessica S; McCament, James W
Cc: Young, Todd P
Subject: RE: Bi-weekly w/ Don Neufeld

(b)(5) I had asked last week for a meeting to include Joe and Tracy so that would be great if it can be arranged. I will send you shortly the analysis of our staffing needs that have been validated by OPQ.

[Redacted]

From: Scialabba, Lori L
Sent: Wednesday, May 04, 2016 3:51 PM
To: Neufeld, Donald W; Scheduler, Scialabba; Walters, Jessica S; McCament, James W
Cc: Young, Todd P
Subject: RE: Bi-weekly w/ Don Neufeld

Don,

[Redacted]

Lori

From: Neufeld, Donald W
Sent: Wednesday, May 04, 2016 3:30:57 PM
To: Scheduler, Scialabba; Scialabba, Lori L; Walters, Jessica S; McCament, James W
Cc: Young, Todd P
Subject: RE: Bi-weekly w/ Don Neufeld

Lori and Jocelyn,

I was planning to use this time to present our OPQ validated staffing numbers and hopefully finalize a target for increased hiring. Can we find time either later today or another time tomorrow? I'm out on Friday and I know next week is no good.

-----Original Appointment-----

From: Prater, Jocelyn S **On Behalf Of** Scheduler, Scialabba

Sent: Wednesday, May 04, 2016 2:04 PM

To: Scialabba, Lori L; Walters, Jessica S; Neufeld, Donald W; McCament, James W

Cc: Young, Todd P

Subject: Canceled: Bi-weekly w/ Don Neufeld

When: Thursday, May 05, 2016 2:00 PM-2:45 PM (UTC-05:00) Eastern Time (US & Canada).

Where: Deputy Director's Office

Importance: High

From: Moore, Joseph D
To: Renaud, Tracy L; Neufeld, Donald W; Scialabba, Lori L; Walters, Jessica S; McCament, James W
Cc: Young, Todd P; Hoefler, Michael D; McConnell, James E
Subject: RE: Bi-weekly w/ Don Neufeld
Date: Thursday, May 05, 2016 12:36:03 PM

(b)(5)

Joseph Moore
Chief Financial Officer
U.S. Citizenship and Immigration Services
Department of Homeland Security
Joseph.moore@uscis.dhs.gov
(p) 202.272.1701

From: Renaud, Tracy L
Sent: Thursday, May 05, 2016 12:18 PM
To: Neufeld, Donald W; Scialabba, Lori L; Walters, Jessica S; McCament, James W
Cc: Young, Todd P; Moore, Joseph D; Hoefler, Michael D; McConnell, James E
Subject: RE: Bi-weekly w/ Don Neufeld

(b)(5)

Tracy L. Renaud
Associate Director
Management Directorate
US Citizenship & Immigration Services
Department of Homeland Security
202-272-1739 (desk)

From: Renaud, Tracy L
Sent: Thursday, May 05, 2016 11:57 AM
To: Neufeld, Donald W; Scialabba, Lori L; Walters, Jessica S; McCament, James W
Cc: Young, Todd P; Moore, Joseph D; Hoefler, Michael D; McConnell, James E
Subject: RE: Bi-weekly w/ Don Neufeld

Lori,

(b)(5)



*Tracy L. Renaud
Associate Director
Management Directorate
US Citizenship & Immigration Services
Department of Homeland Security
202-272-1739 (desk)*

From: Neufeld, Donald W
Sent: Thursday, May 05, 2016 11:42 AM
To: Scialabba, Lori L; Walters, Jessica S; McCament, James W
Cc: Young, Todd P; Renaud, Tracy L; Moore, Joseph D; Hoefer, Michael D; McConnell, James E
Subject: FW: Bi-weekly w/ Don Neufeld

(b)(5)



Don

From: Neufeld, Donald W
Sent: Thursday, May 05, 2016 10:23 AM
To: Scialabba, Lori L; Scheduler, Scialabba; Walters, Jessica S; McCament, James W
Cc: Young, Todd P; Renaud, Tracy L; Moore, Joseph D; Hoefer, Michael D
Subject: RE: Bi-weekly w/ Don Neufeld



[REDACTED]

I have copied Tracy, Joe and Mike as well.

Thanks,

Don

Sent with Good (www.good.com)

From: Neufeld, Donald W
Sent: Wednesday, May 04, 2016 3:55:22 PM
To: Scialabba, Lori L; Scheduler, Scialabba; Walters, Jessica S; McCament, James W
Cc: Young, Todd P
Subject: RE: Bi-weekly w/ Don Neufeld

(b)(5)

[REDACTED]

From: Scialabba, Lori L
Sent: Wednesday, May 04, 2016 3:51 PM
To: Neufeld, Donald W; Scheduler, Scialabba; Walters, Jessica S; McCament, James W
Cc: Young, Todd P
Subject: RE: Bi-weekly w/ Don Neufeld

Don,

[REDACTED]

Lori

From: Neufeld, Donald W
Sent: Wednesday, May 04, 2016 3:30:57 PM
To: Scheduler, Scialabba; Scialabba, Lori L; Walters, Jessica S; McCament, James W
Cc: Young, Todd P
Subject: RE: Bi-weekly w/ Don Neufeld

Lori and Jocelyn,

(b)(5)



-----Original Appointment-----

From: Prater, Jocelyn S **On Behalf Of** Scheduler, Scialabba

Sent: Wednesday, May 04, 2016 2:04 PM

To: Scialabba, Lori L; Walters, Jessica S; Neufeld, Donald W; McCament, James W

Cc: Young, Todd P

Subject: Canceled: Bi-weekly w/ Don Neufeld

When: Thursday, May 05, 2016 2:00 PM-2:45 PM (UTC-05:00) Eastern Time (US & Canada).

Where: Deputy Director's Office

Importance: High

From: Melero, Mariela
To: Inouye, Shinichi (Shin); Nino, Teresa; Rodriguez, Leon; Higgins, Jennifer B; Renaud, Tracy L; Renaud, Daniel M; Vanison, Denise; Guttentag, Lucas; Neufeld, Donald W; Jaddou, Ur M; Moore, Joseph D; Alfonso, Angelica M
Cc: Scialabba, Lori L; Choi, Juliet K; McCament, James W
Subject: RE: OMB Document for Review
Date: Thursday, November 13, 2014 2:54:39 PM
Attachments: @

Dear Jennifer,

Attached, please find an edit and a comment for your consideration.

Best,

Mariela

Mariela Melero

Associate Director

Customer Service and

Public Engagement Directorate

US Citizenship and Immigration Services

202 272 1318 office

202 528 5809 cell

From: Inouye, Shinichi (Shin)
Sent: Thursday, November 13, 2014 1:14 PM
To: Nino, Teresa; Rodriguez, Leon; Higgins, Jennifer B; Renaud, Tracy L; Renaud, Daniel M; Vanison, Denise; Guttentag, Lucas; Neufeld, Donald W; Jaddou, Ur M; Moore, Joseph D; Melero, Mariela; Alfonso, Angelica M
Cc: Scialabba, Lori L; Choi, Juliet K; McCament, James W
Subject: RE: OMB Document for Review

(b)(5)

Shin Inouye

Press Secretary and Advisor for Intergovernmental and External

From: Office of the Under Secretary for Management
Subject: 2016-17 Presidential Transition
Date: Monday, October 03, 2016 12:18:02 PM



Homeland Security

Dear Colleagues,

On November 8, 2016, the American people will elect our next President. Seventy-three days later, that President will take office in a peaceful transfer of power that is a hallmark of our American democracy.

To ensure that the Presidential transition is efficient and organized, every federal agency is undertaking a meticulous planning process. This includes preparing materials to guide the incoming Administration, as well as preparing the organization for any changes that may occur when the next President takes office.

Early this year, we established a Presidential Transition Office and Departmental Transition Council to undertake this challenging but essential task. In the coming weeks and months, transition leadership will prepare materials for the incoming leadership, ensure a smooth transition for outgoing and incoming non-career Presidential appointees, and welcome the President-elect's review team so they may prepare the new Administration to govern. Through these efforts, we will ensure continuity of operations and facilitate a seamless transition from the current Administration to the next Administration.

Employees in DHS contribute every day to safeguard our nation during this election season. For example, the U.S. Secret Service protects the candidates and their families every day. FEMA is working with interagency partners to prepare training exercises for the new Administration. NPPD is providing assistance to state and local officials to protect election systems from cyber intrusions. Employees from all Components contribute to these and other mission-critical efforts.

During the coming months, updates on transition preparations will be shared in our monthly employee e-newsletter, *Connected*. You can also visit [Connect](#) and your Component's intranet page for additional information.

Your support will enable the Department to continue to deliver our mission – with honor and integrity, safeguarding the American people, our homeland, and our values. Thank you for your continued hard work and support.

Sincerely,

Russ Deyo
Under Secretary for Management

From: Office of the Under Secretary for Management
Subject: 2016-17 Presidential Transition Ready to Act Training
Date: Tuesday, October 04, 2016 10:27:50 AM



Homeland Security

DHS Career Successors,

With the Presidential election approaching, the Department completed a comprehensive review of the succession plan for key officials. This process was completed with the Secretary's approval on September 14. A key aspect of this process has been to identify career successors for all key leadership positions within the Department. You are one of the career leaders who serves in a successor position.

Part of a smooth transition is to ensure that the career employees who may step in to act are prepared for the challenges that they may face. To ensure all career successors are *Ready to Act*, the Presidential Transition Office has worked with several Components and good government partners to provide executive briefing sessions for you.

Participation in the session is a mandatory requirement for you as a career successor. This 90-minute session will include an update on the Department's Presidential Transition preparations and how they impact you. Also, a brief overview of Continuity of Operations, Continuity of Government, and Incident Response responsibilities for successors will be provided. The session will conclude with a discussion on preparing and managing the arrival of the new Administration leadership within your organization.

The *Ready to Act: Successor Executive Briefing* will be offered four times during the month of October. Please select the session that best fits your schedule. The session dates are:

- October 14, 2016 – 10:30 a.m. to 12 p.m. at OCHCO, 1201 New York Ave., NW
- October 20, 2016 – 10:30 a.m. to 12 p.m. at OCHCO, 1201 New York Ave., NW
- October 21, 2016 – 10:30 a.m. to 12 p.m. (Webinar for field staff outside of the National Capital Region)
- October 31, 2016 – 1:30 p.m. to 3 p.m. at Nebraska Avenue Complex, room NAC01-044

Please RSVP to Transition2017@hq.dhs.gov with the date of the session you wish to attend. Once the RSVP is received, an Outlook calendar invitation will be sent to you for the executive briefing.

Every day, DHS employees help to safeguard our Nation. With your support, we will continue to deliver our mission – with honor and integrity, safeguarding the American people, our homeland, and our values. Thank you for your hard work.

Sincerely,

Russ Deyo

Under Secretary for Management

From: Office of the Under Secretary for Management
Subject: 2016-17 Presidential Transition
Date: Monday, October 03, 2016 9:16:54 AM



Homeland Security

Dear Colleagues,

With the election now six weeks away, I thought it would be helpful to provide an overview of our efforts to prepare for the Presidential Transition.

Earlier this year, we established a Presidential Transition Office (PTO) and DHS Transition Council. The PTO is led by a career SES, Vince Micone, and the DHS Transition Council is comprised of career representatives from the Department's Operational Components, Directorates, and Headquarters (HQ) Offices. The PTO has been working closely with component counterparts on a number of key efforts to ensure we are prepared to welcome and support the new Administration.

Through these efforts, we have made great progress. We have completed drafting overview briefing materials and strategic issue papers for the President-Elect's Agency Review Team and new appointees. Operational Components, Directorates, and HQ Offices are now preparing internal transition materials. We have also reviewed and updated the line of succession for all key leadership positions within the Department. During October, we will provide executive briefing sessions for career successors so they are prepared to act.

The Presidential Transitions Improvements Act, which passed Congress and was signed by the President this year, provides a structure for candidates to formally begin preparing for a smooth transition well in advance of Election Day. Candidates have already identified leadership for their efforts and teams are being assembled. These actions will allow the President-elect to make key decisions and to prepare to govern earlier than in prior elections.

Later today I will be sending an email to all employees providing them with an update similar to the one I am providing to you. Also, an update will be provided on our transition efforts in *Connected*, the Department's monthly workforce newsletter.

I encourage you to include transition issues in your discussions with your subordinate leaders and employees. Given the operational nature of the Department, the daily work of our employees will be unaffected. However, a change in executive leadership can cause concern. It will also be helpful for you to remind employees of ethics guidance regarding activities during election periods. This guidance is available through Connect and your Ethics Official.

Finally, in late October, we plan to host a webinar to provide you with an update on transition efforts. Registration information will be sent to you in a few weeks.

Thank you for your continued support of the Department's Presidential transition efforts.

Sincerely,

Russ Deyo
Under Secretary for Management

From: DMAG
To: DMAG
Subject: DMAG
Date: Tuesday, June 07, 2016 1:05:05 PM
Attachments: [20160607_DMAG BM FY18-22 RAP Summary.docx](#)
[Attachment A Paper DMAG FY18-22 Summary Component RAP Brief.pptx](#)

DMAG Members and Support Staff:

The attached is a "Paper DMAG" information briefing on the FY2018-2022 Program and Budget Review.

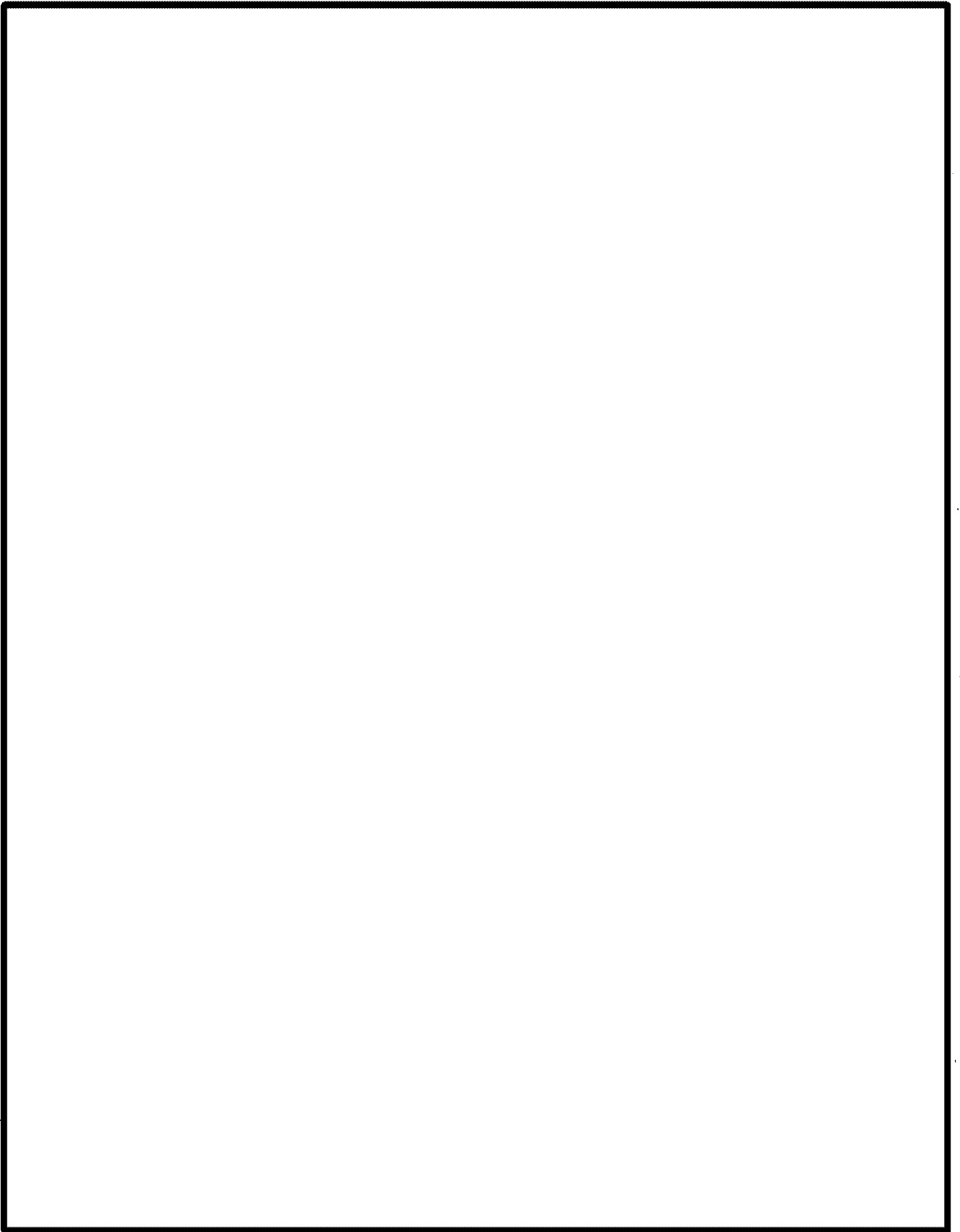
CFO/PA&E and the DMAG Executive Agent requests that you review these materials prior to the start of a series of in-person DMAG decision briefings which begin on Thursday, June 9 (concerning Mission 1 and Mission 5 Overview). Be advised that "Read ahead" materials for the June 9 DMAG will be sent to you via separate correspondence.

If you have any questions please contact the DMAG Executive Agent, 202-447-3632.

-DMAG Executive Agent

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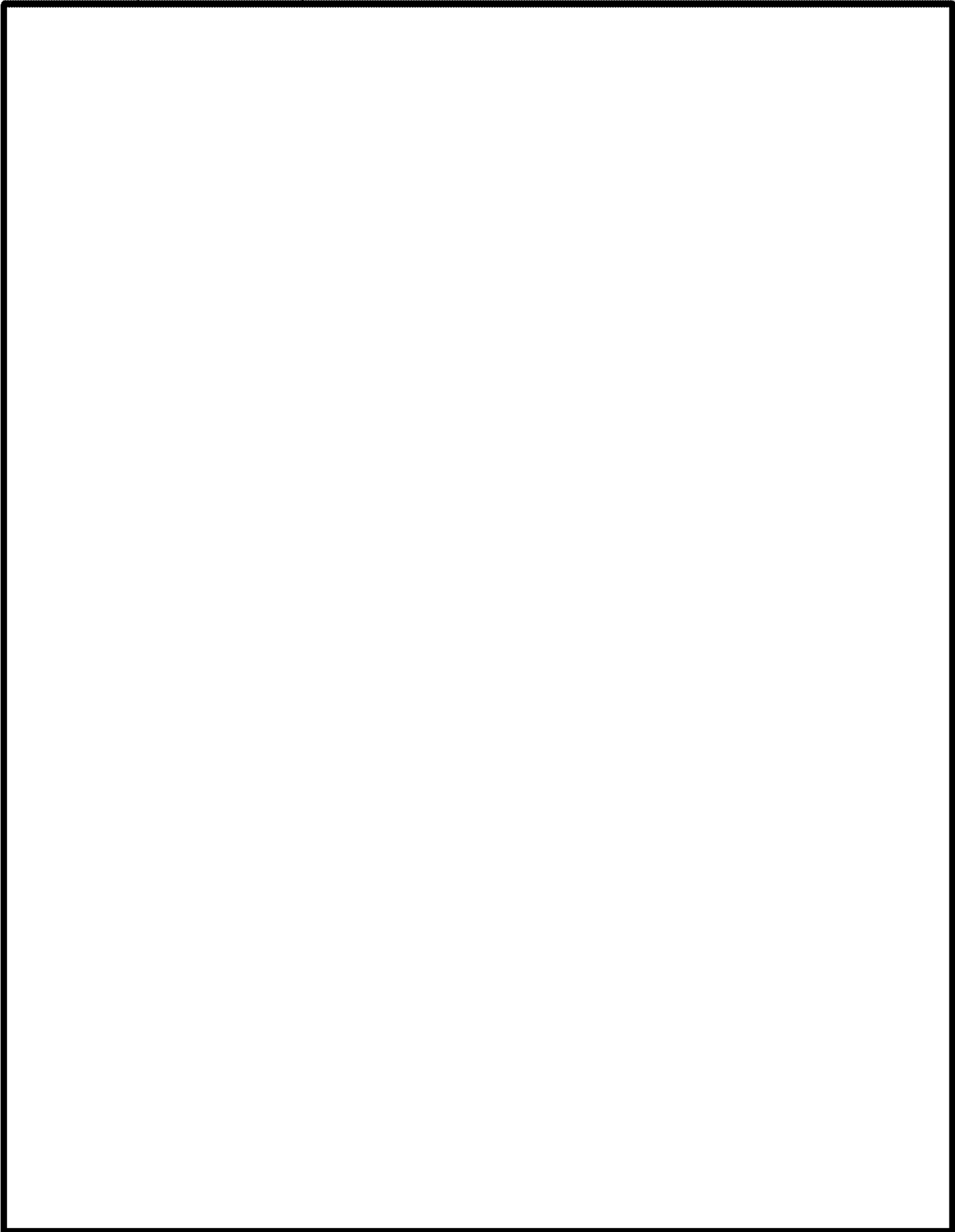
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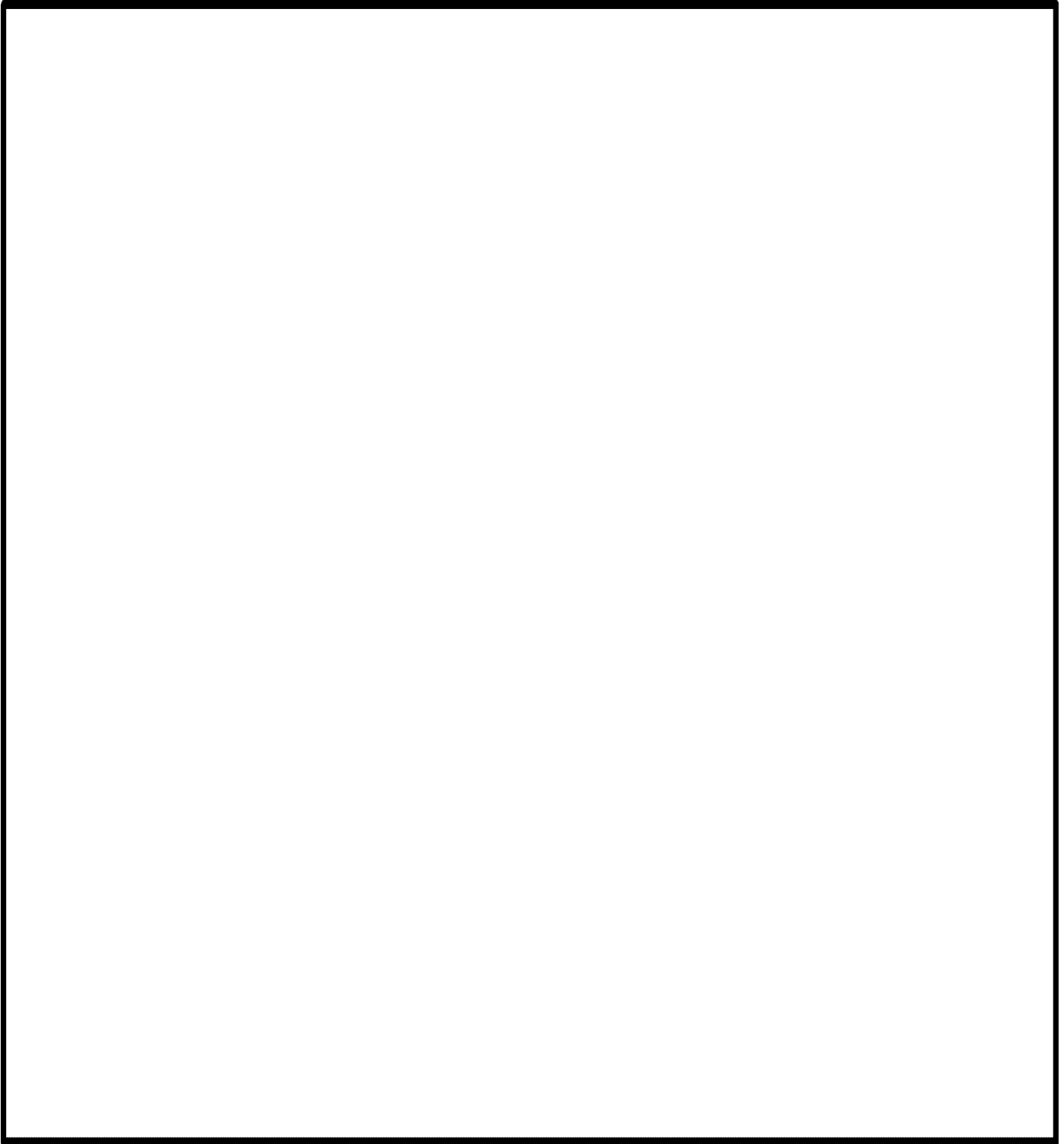
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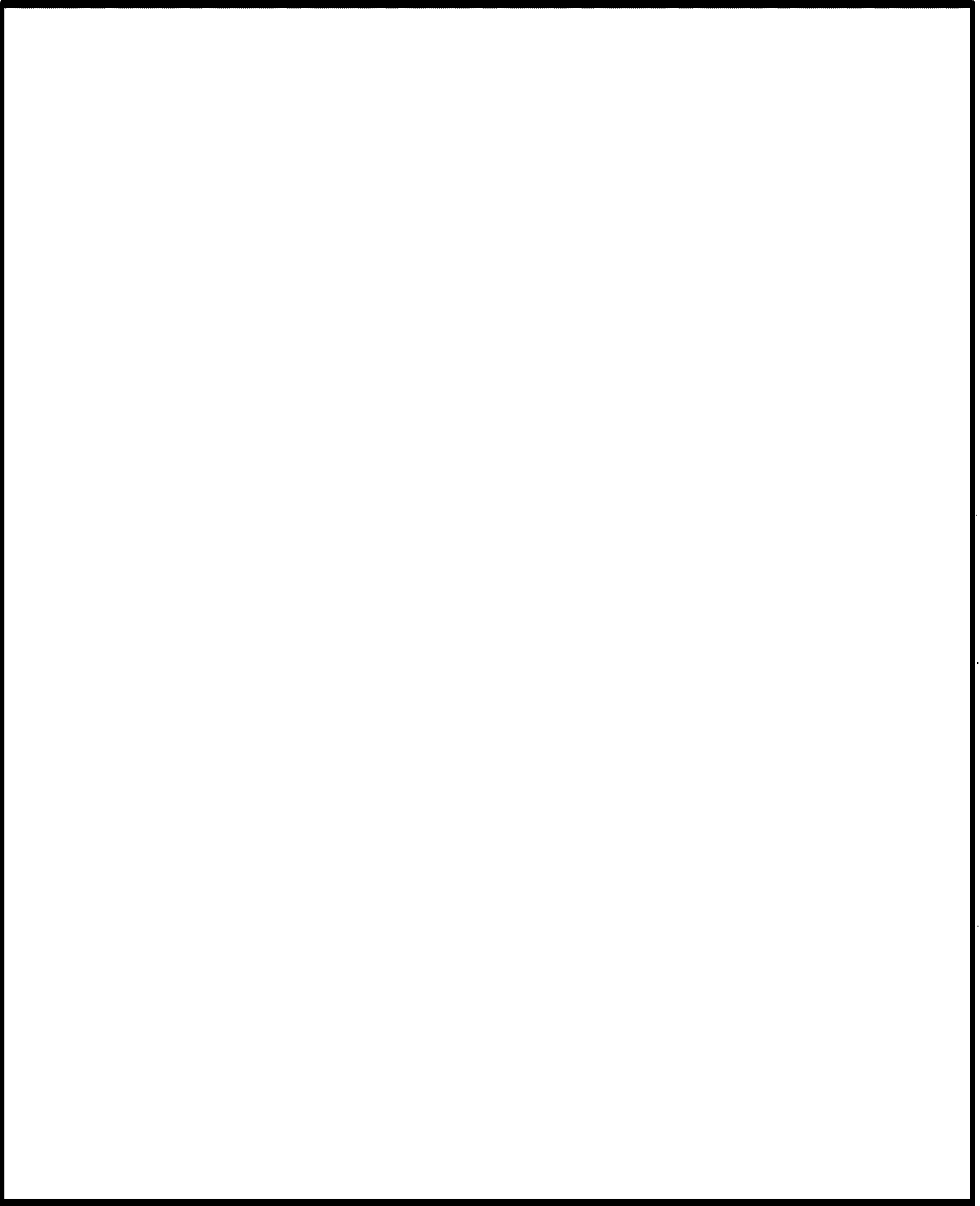
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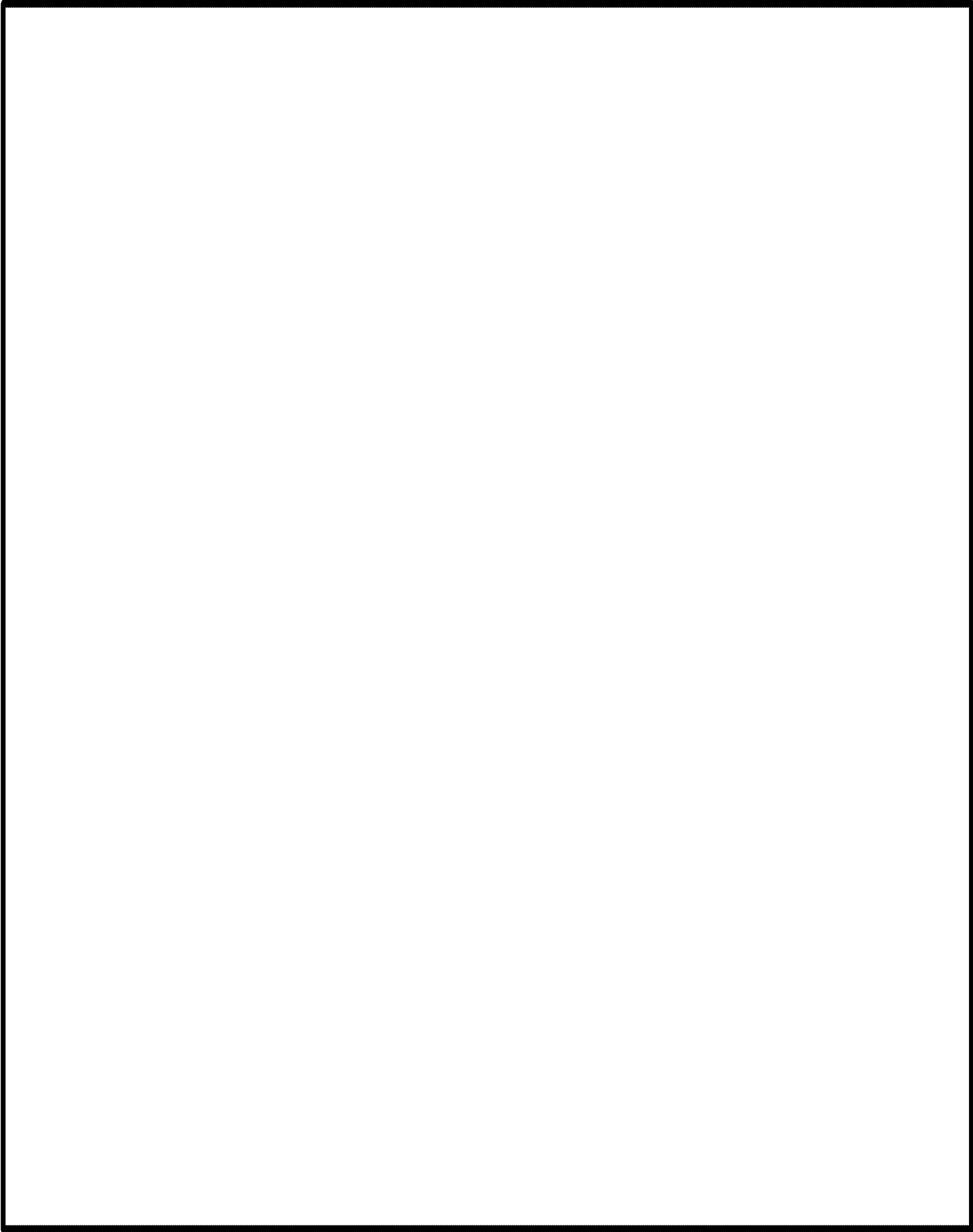
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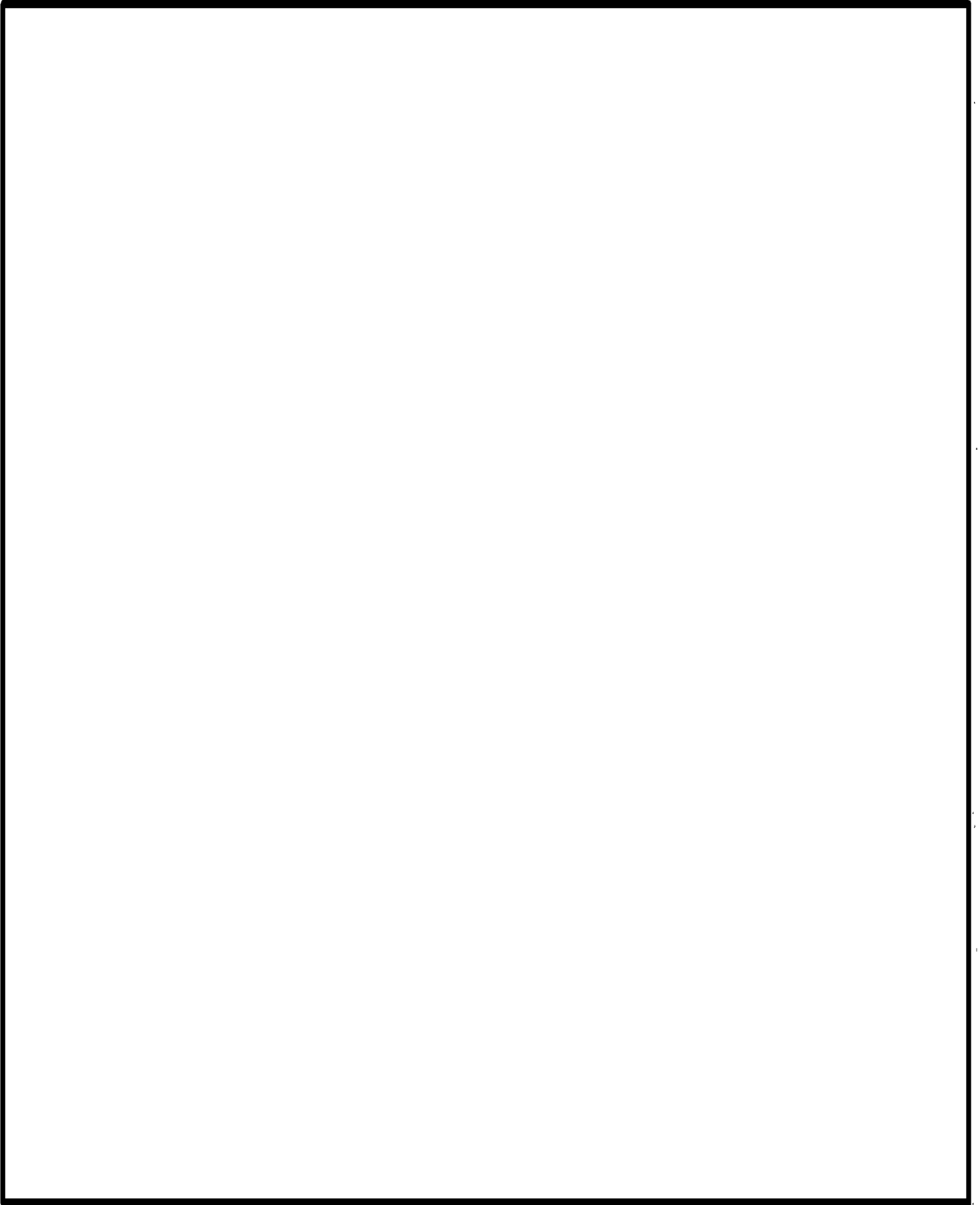
6/9/2016 Chief Financial Officer

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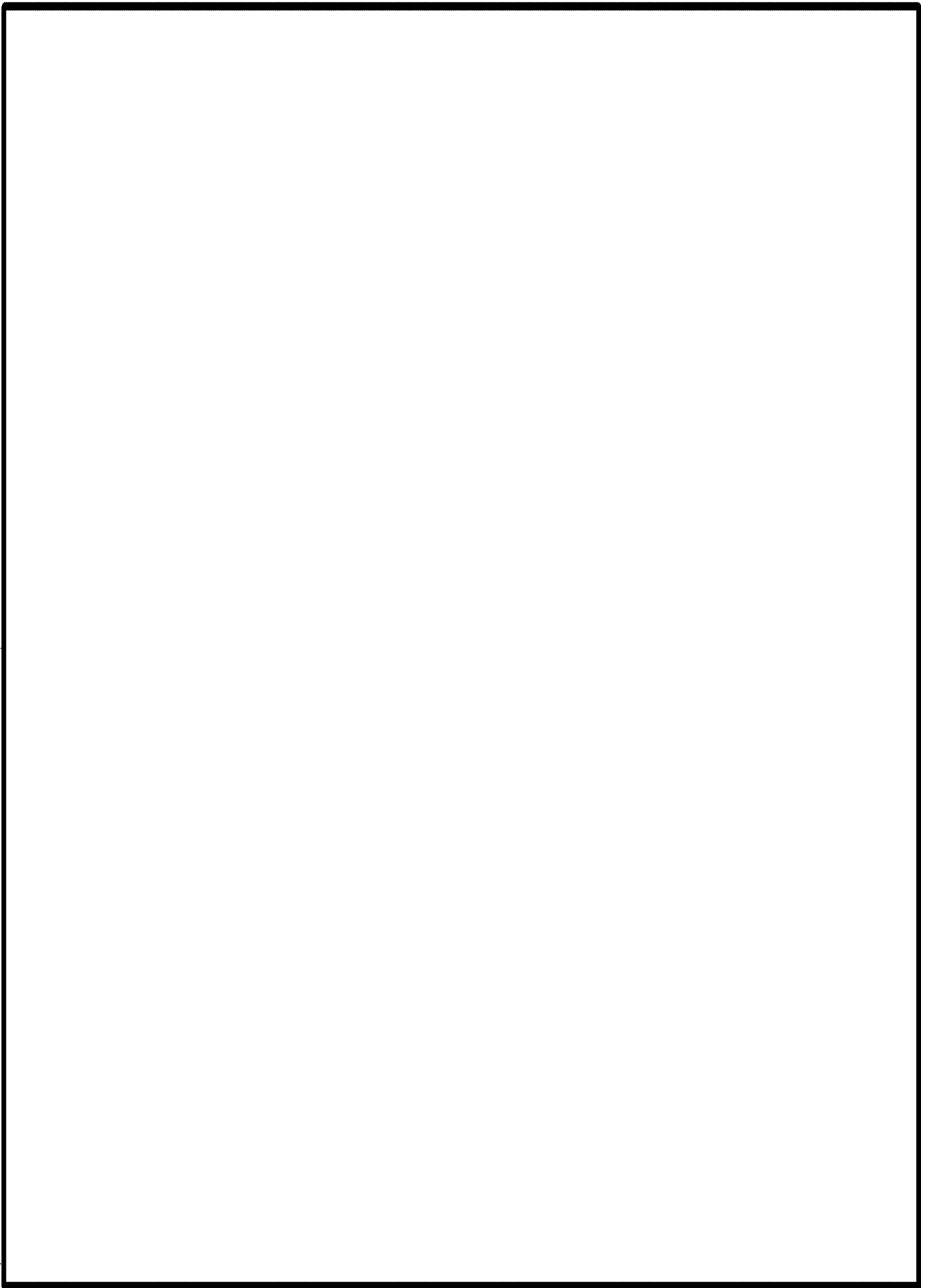
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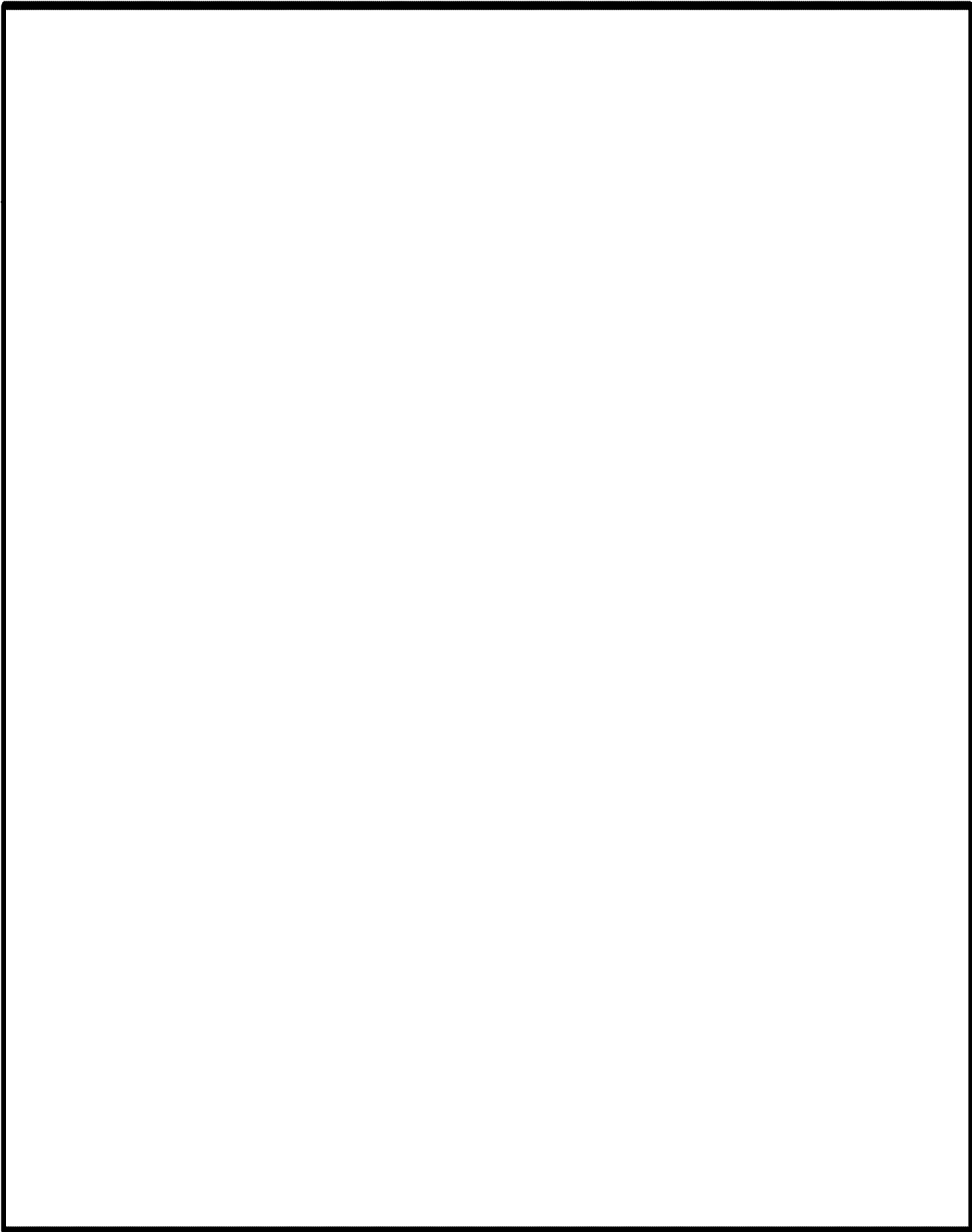


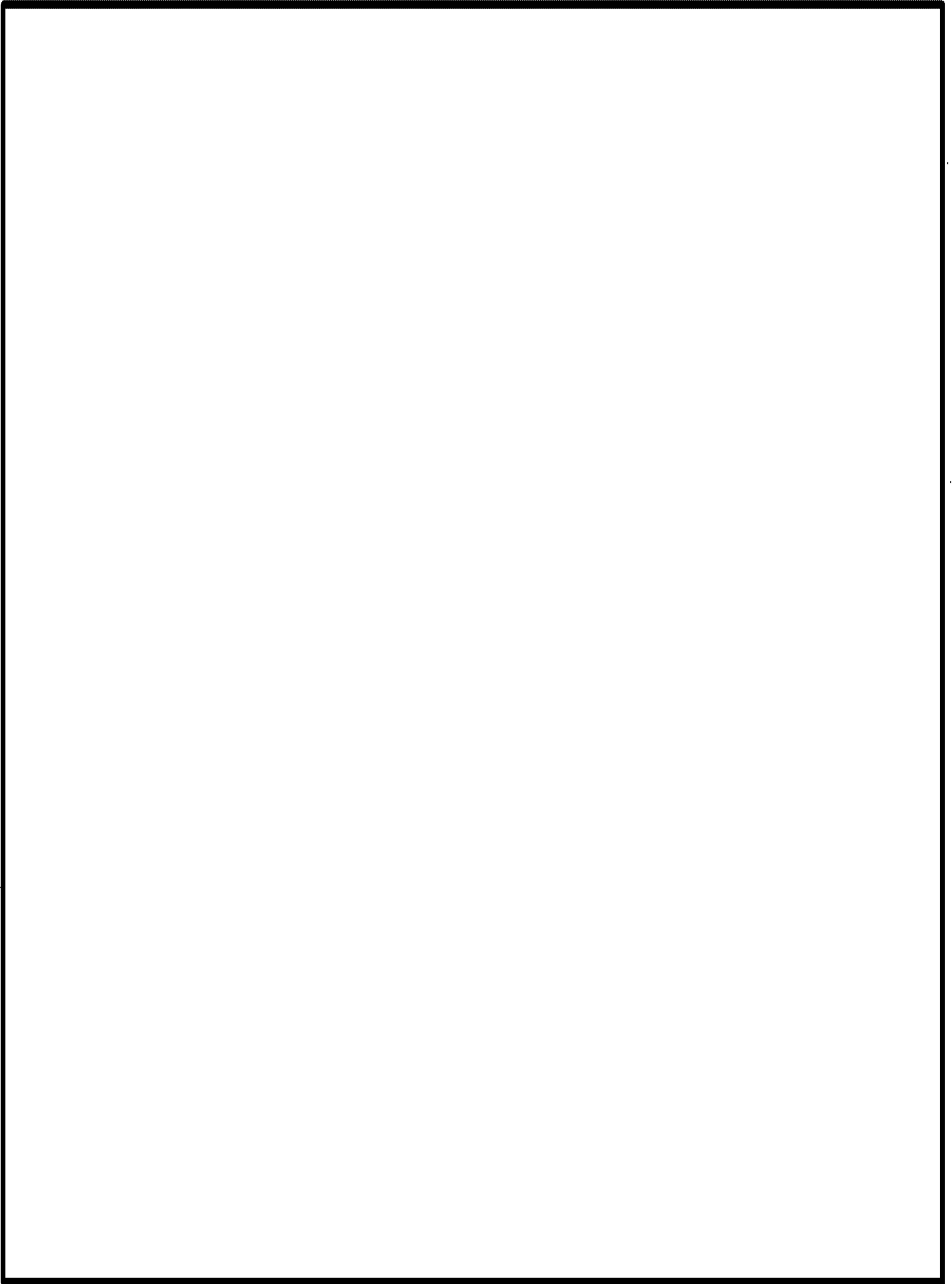
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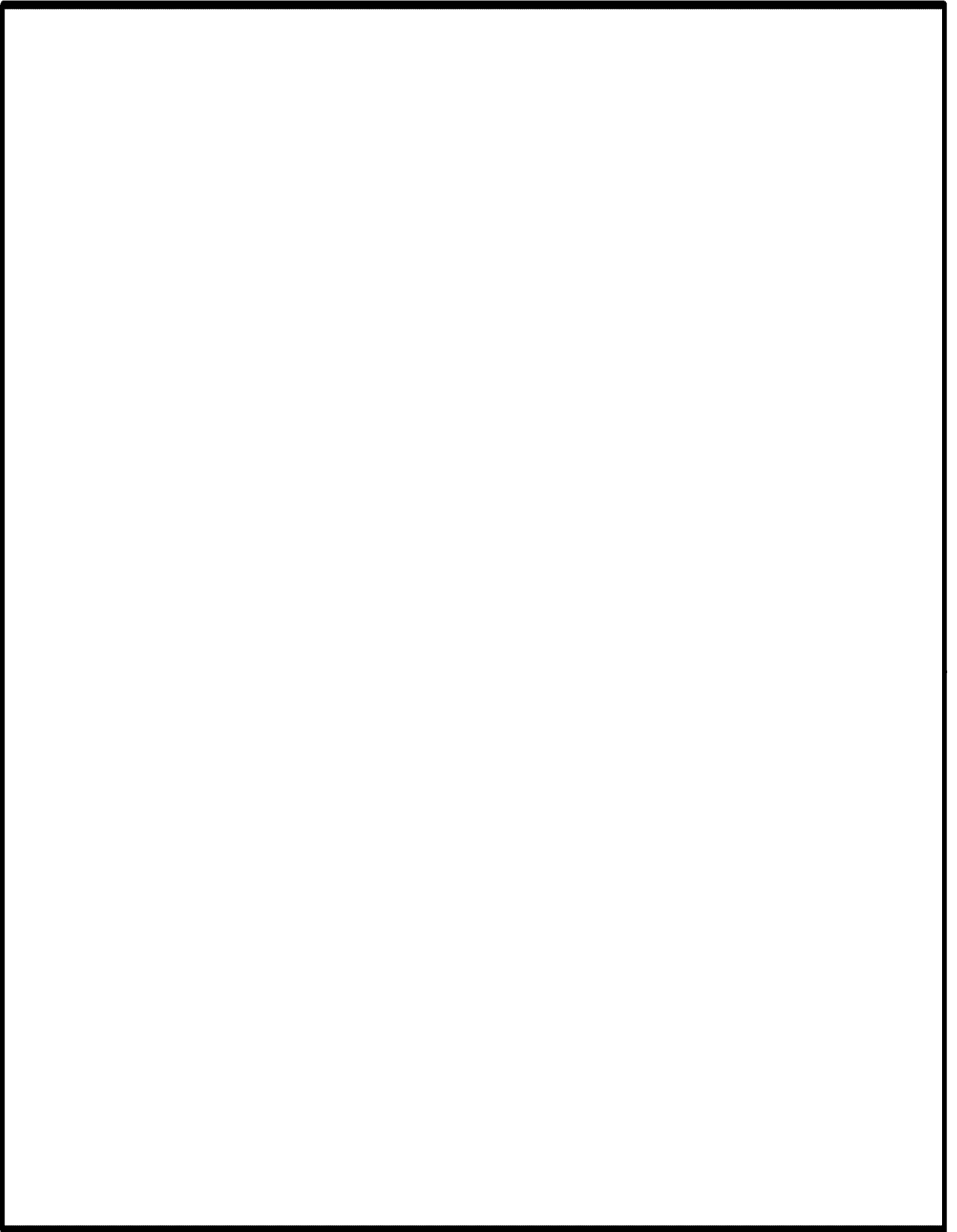


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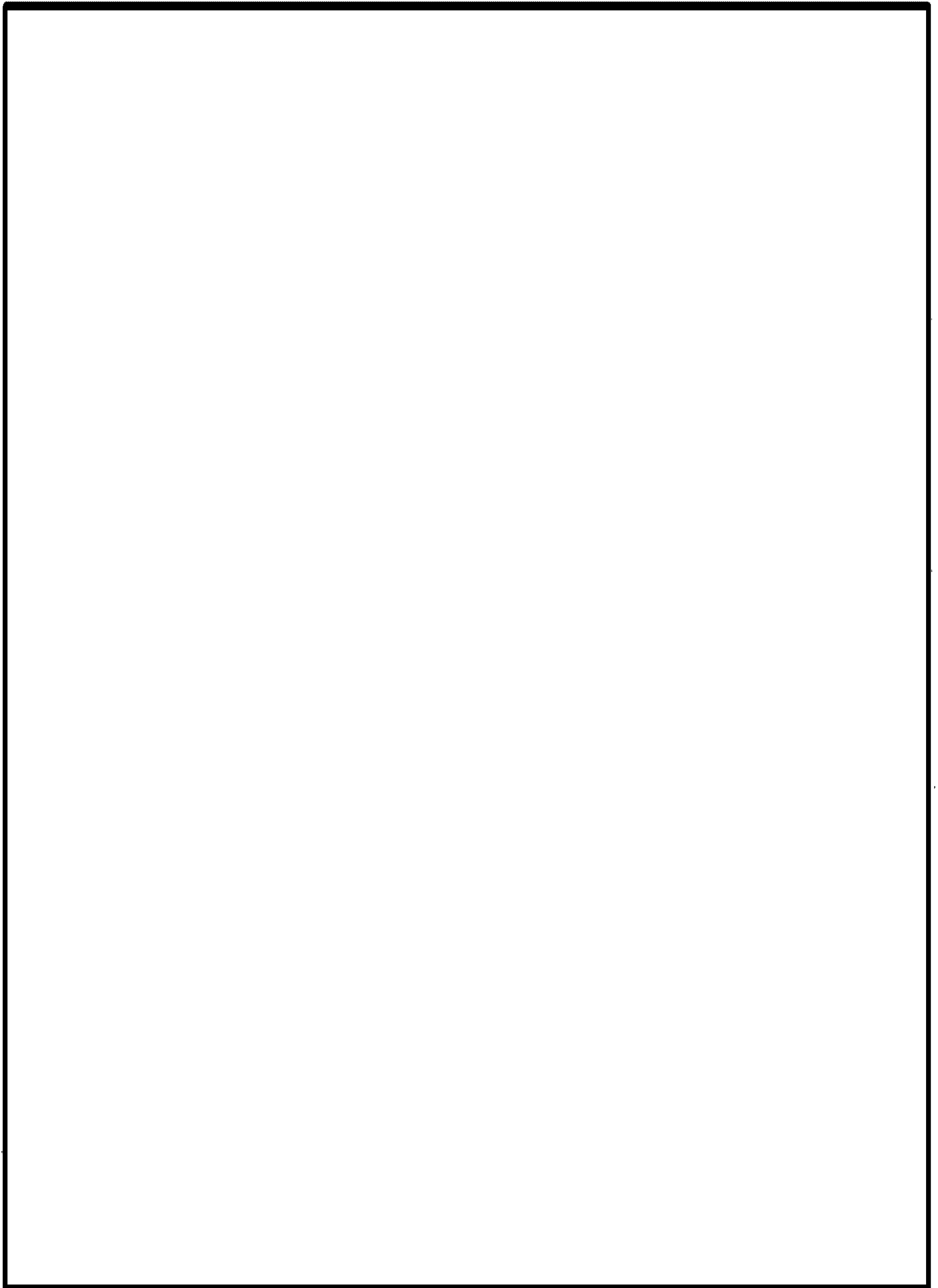
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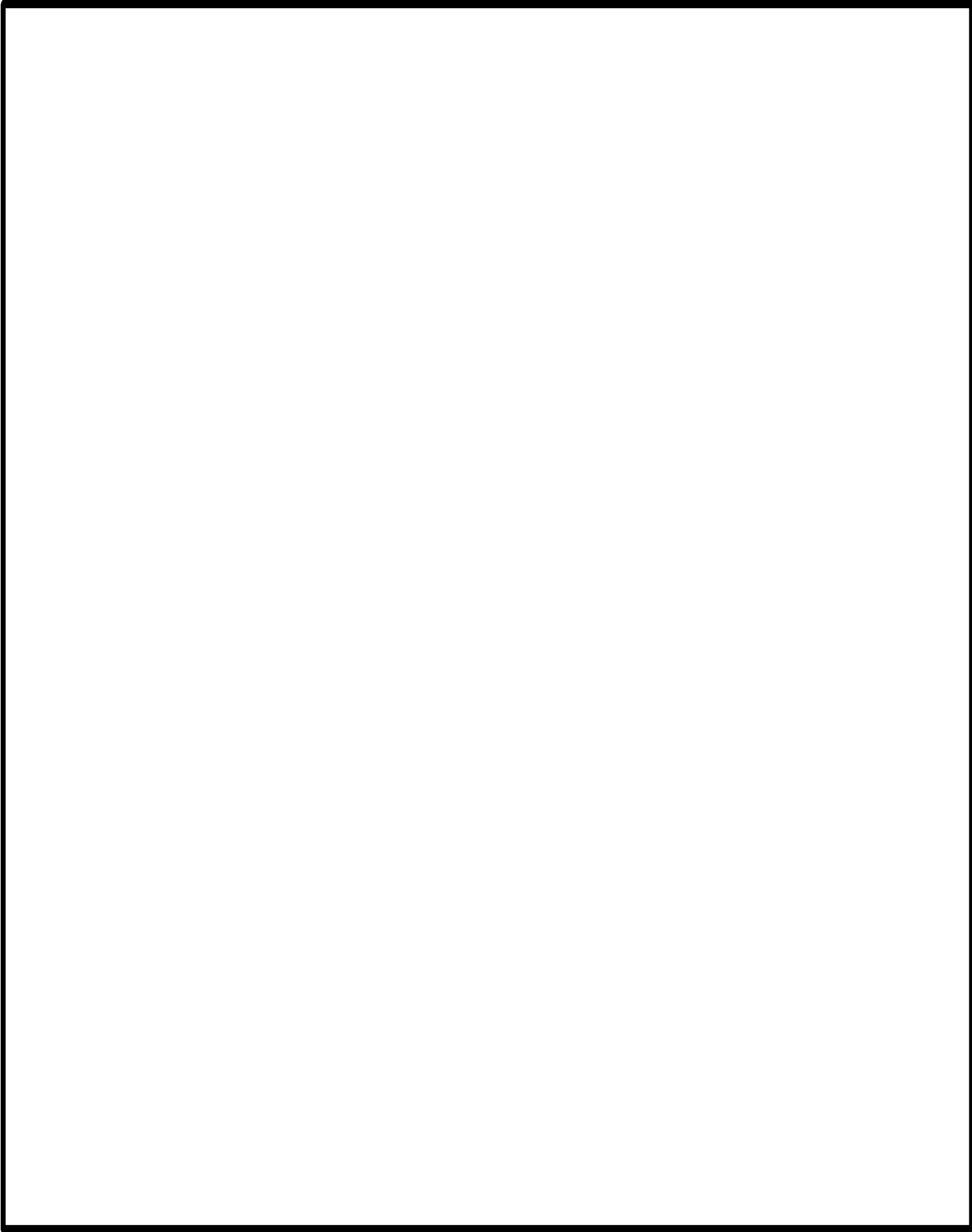




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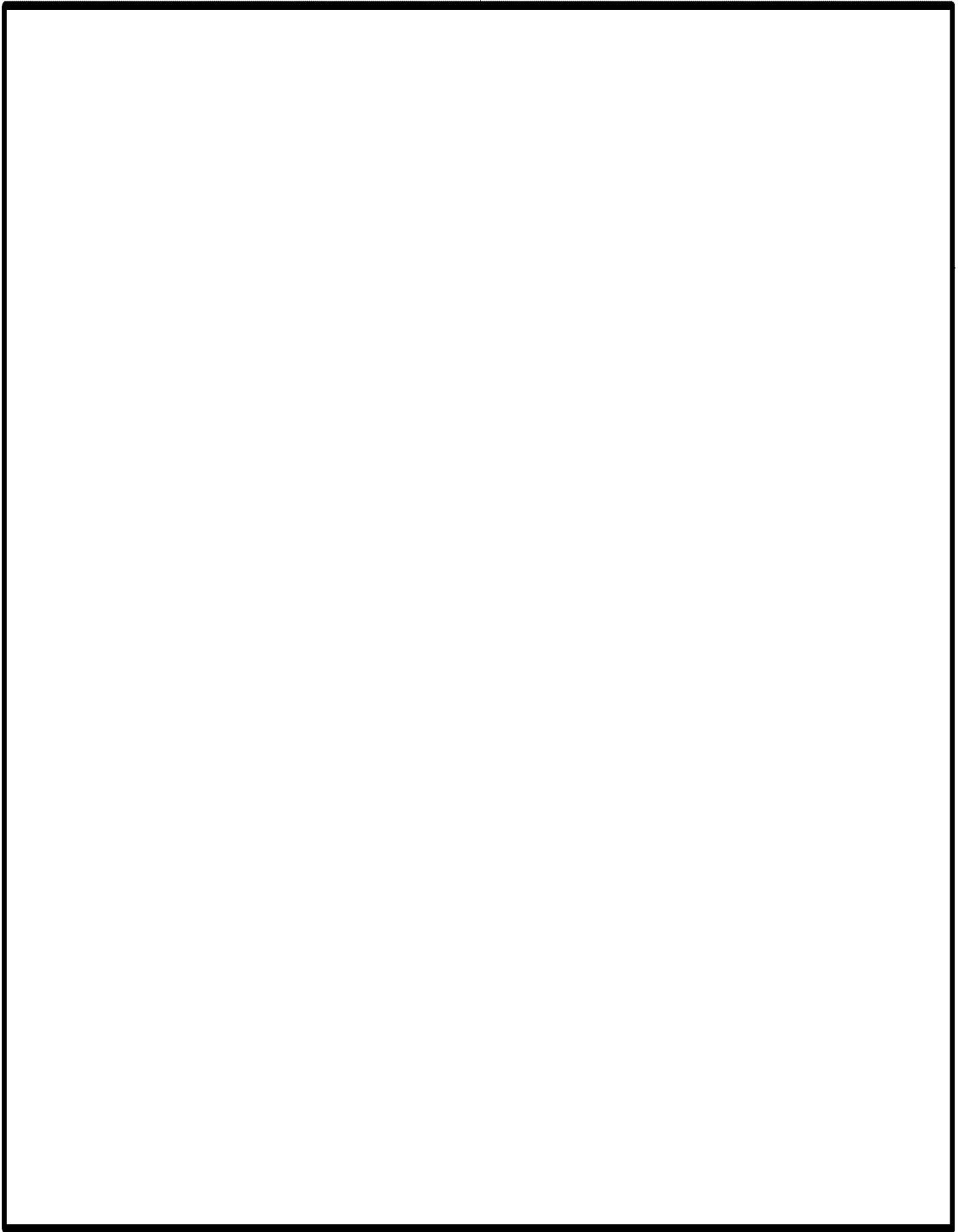


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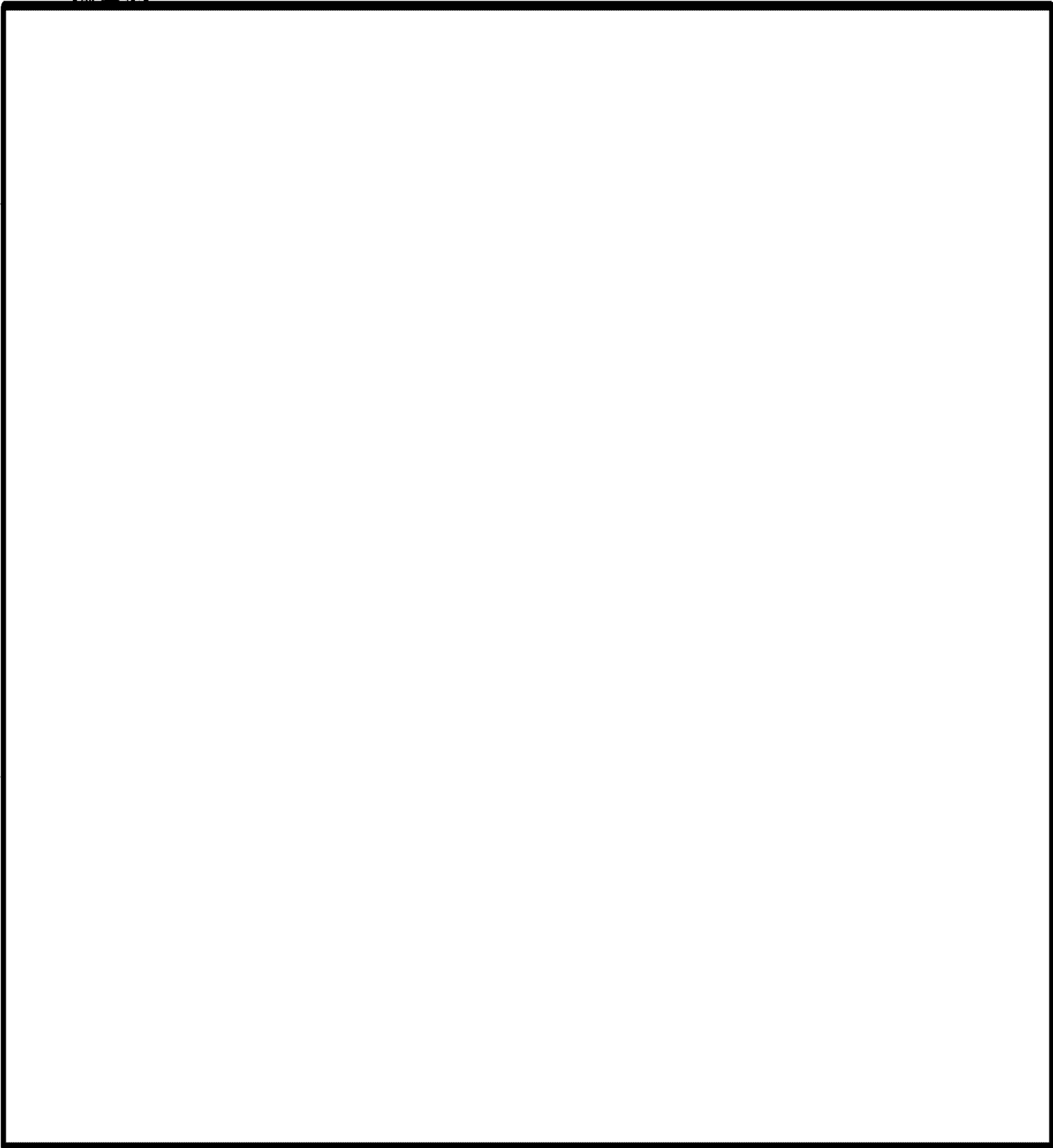
¹ Counters Resource Planning Guidance ² CFO Proposed

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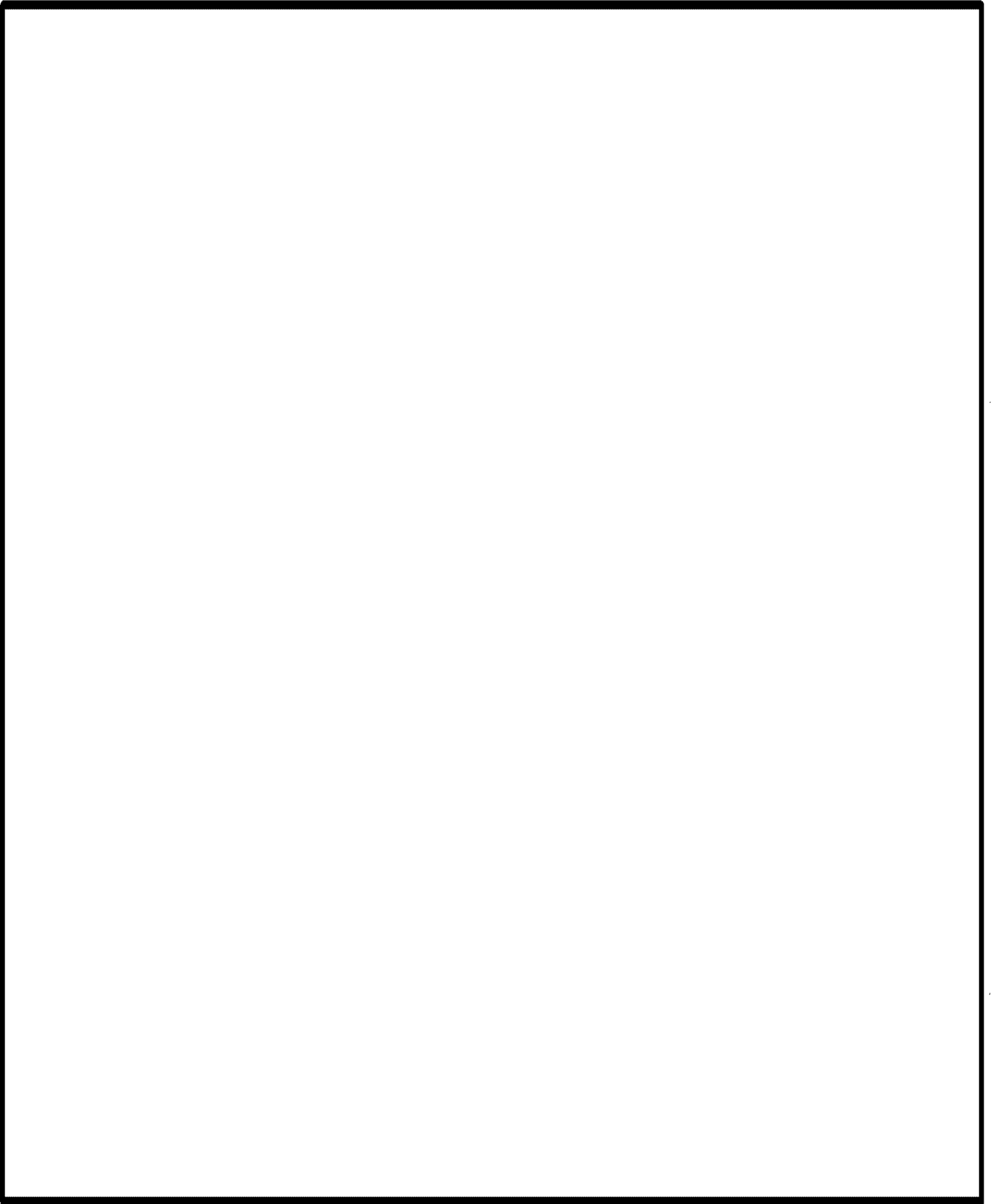
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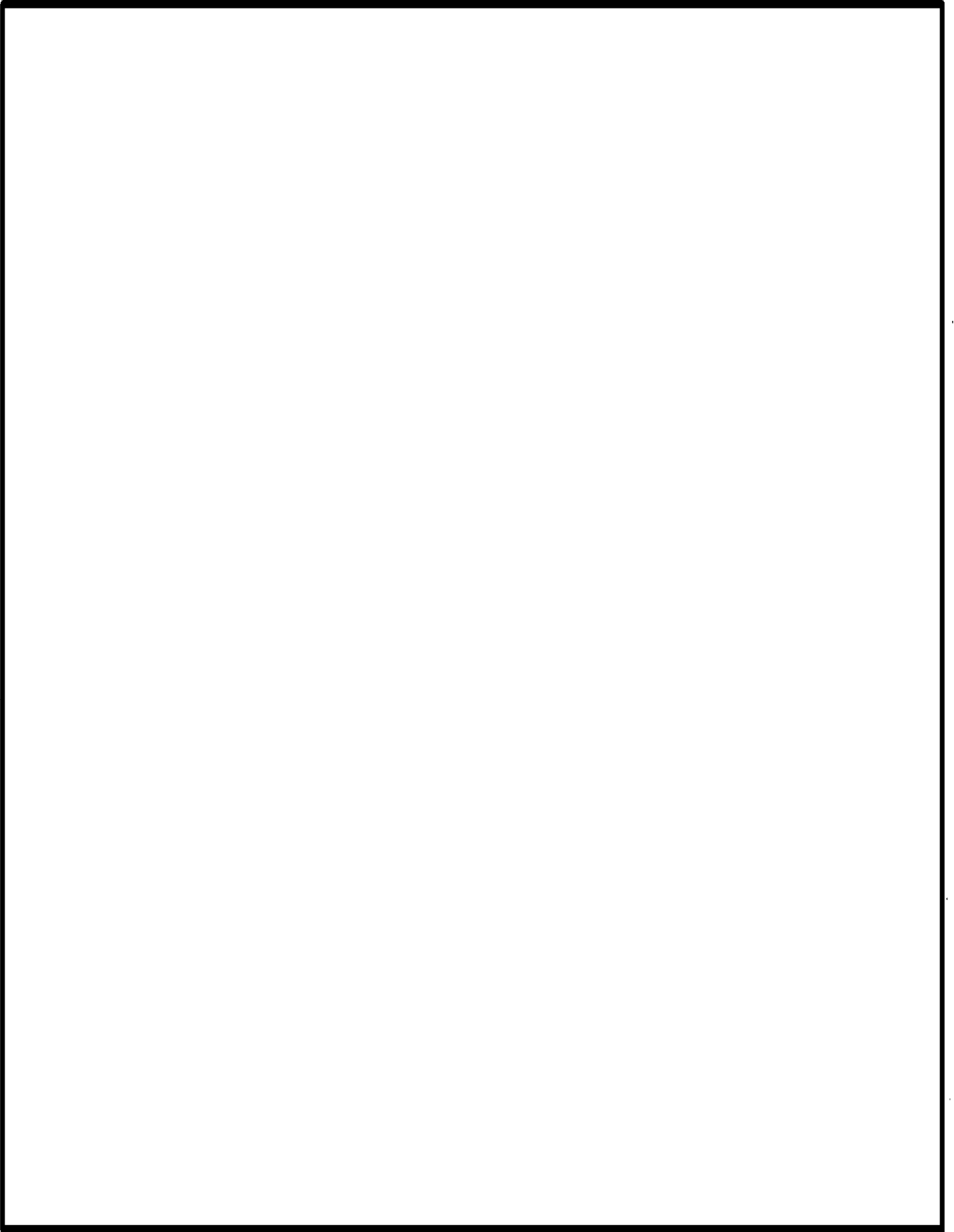
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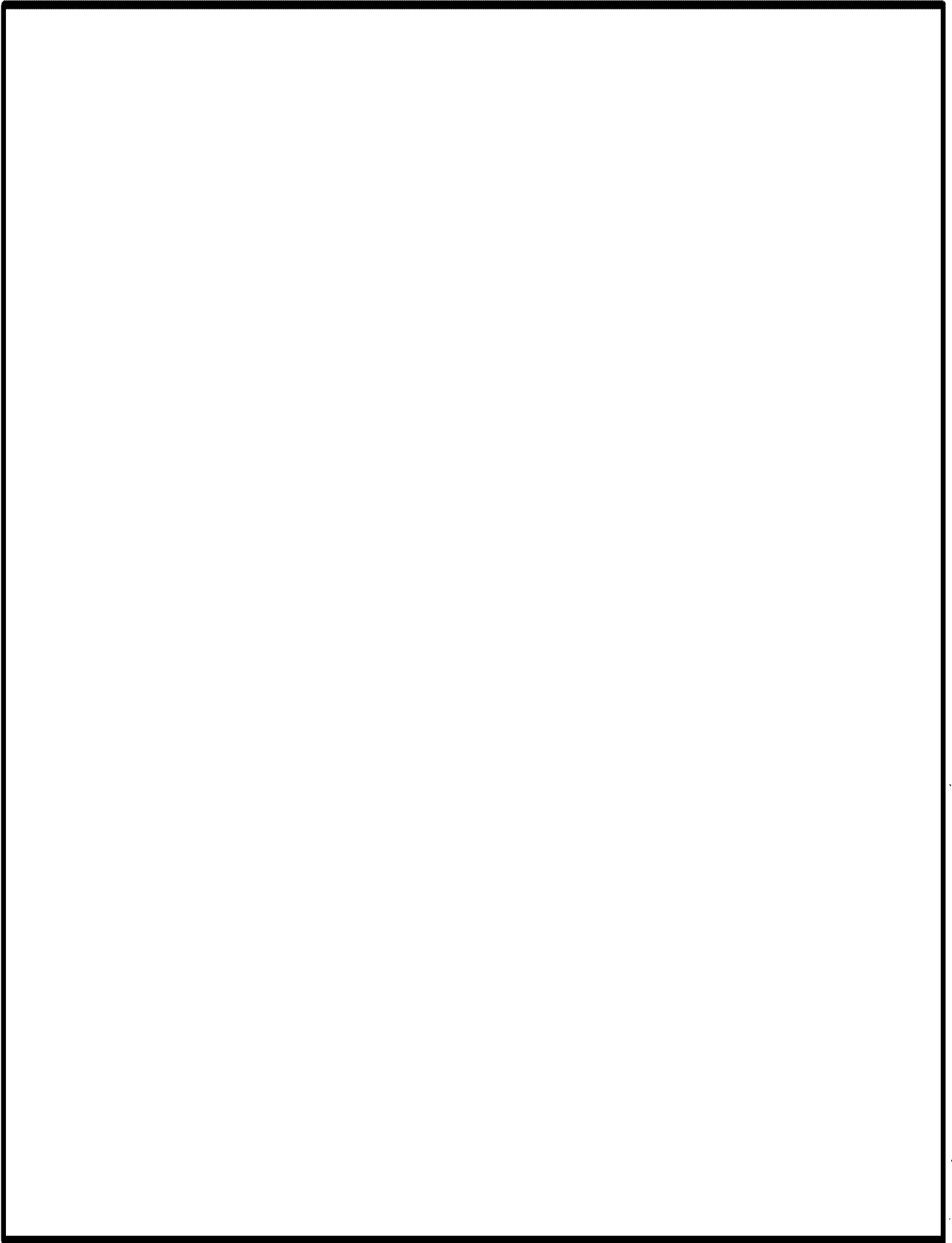


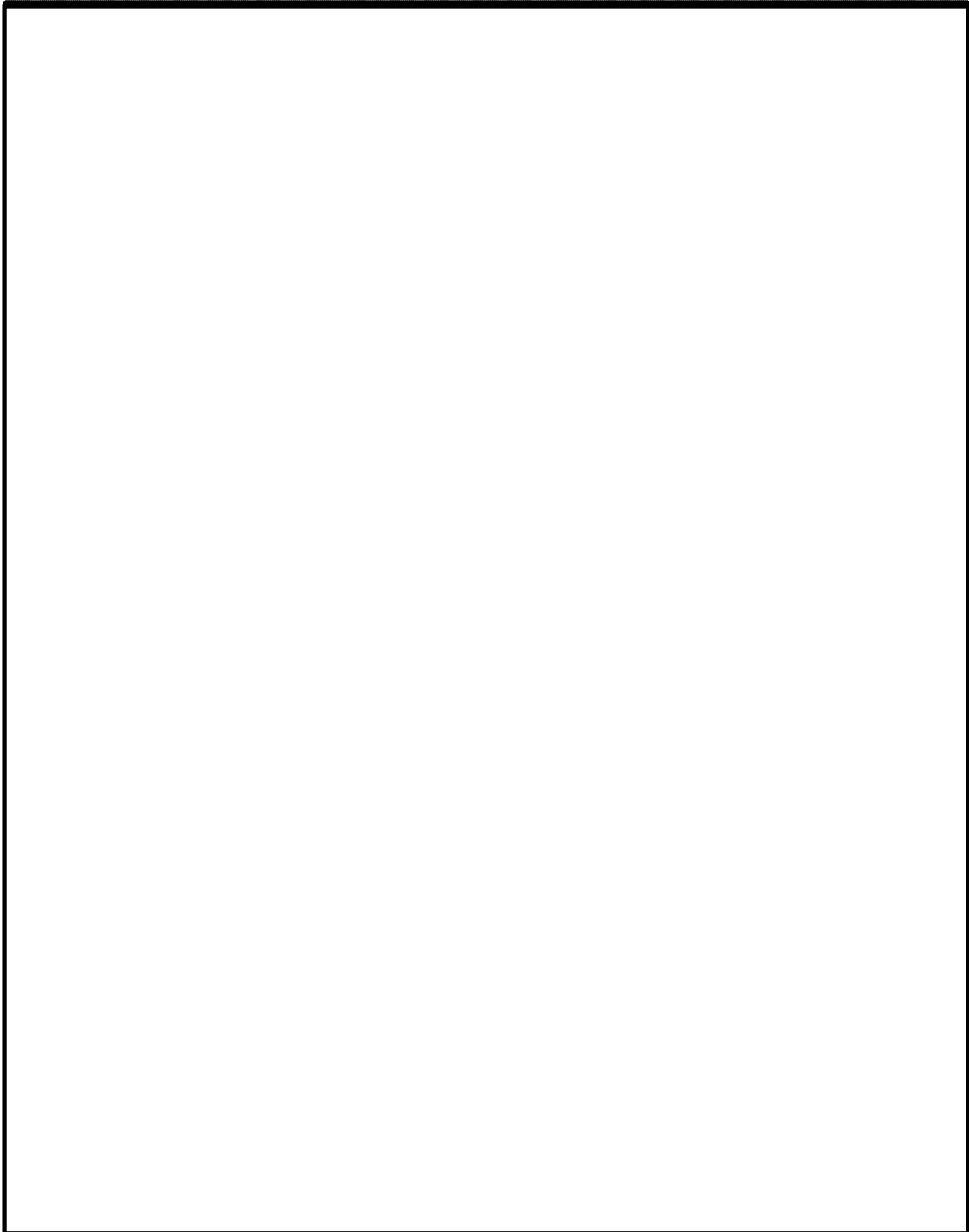
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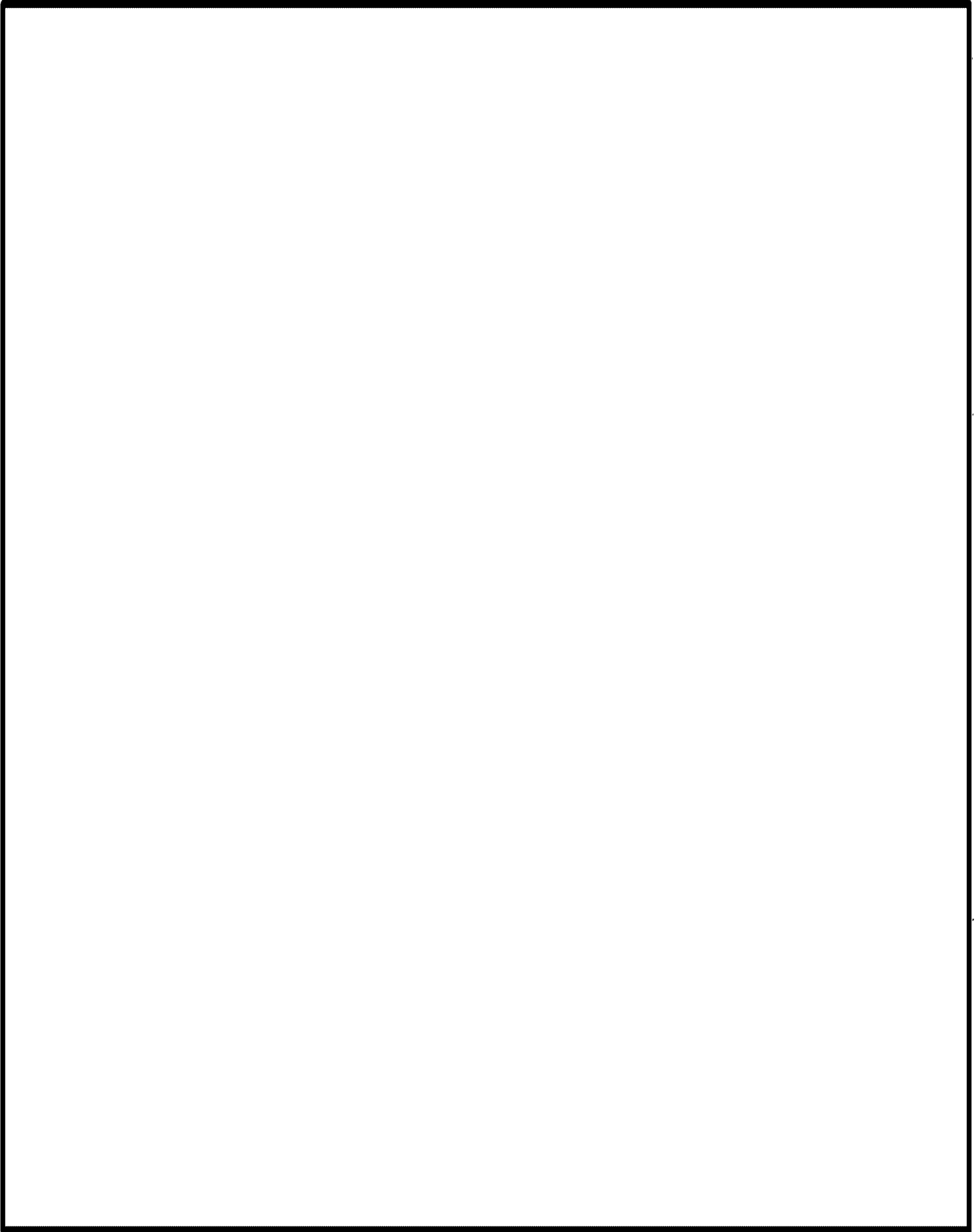




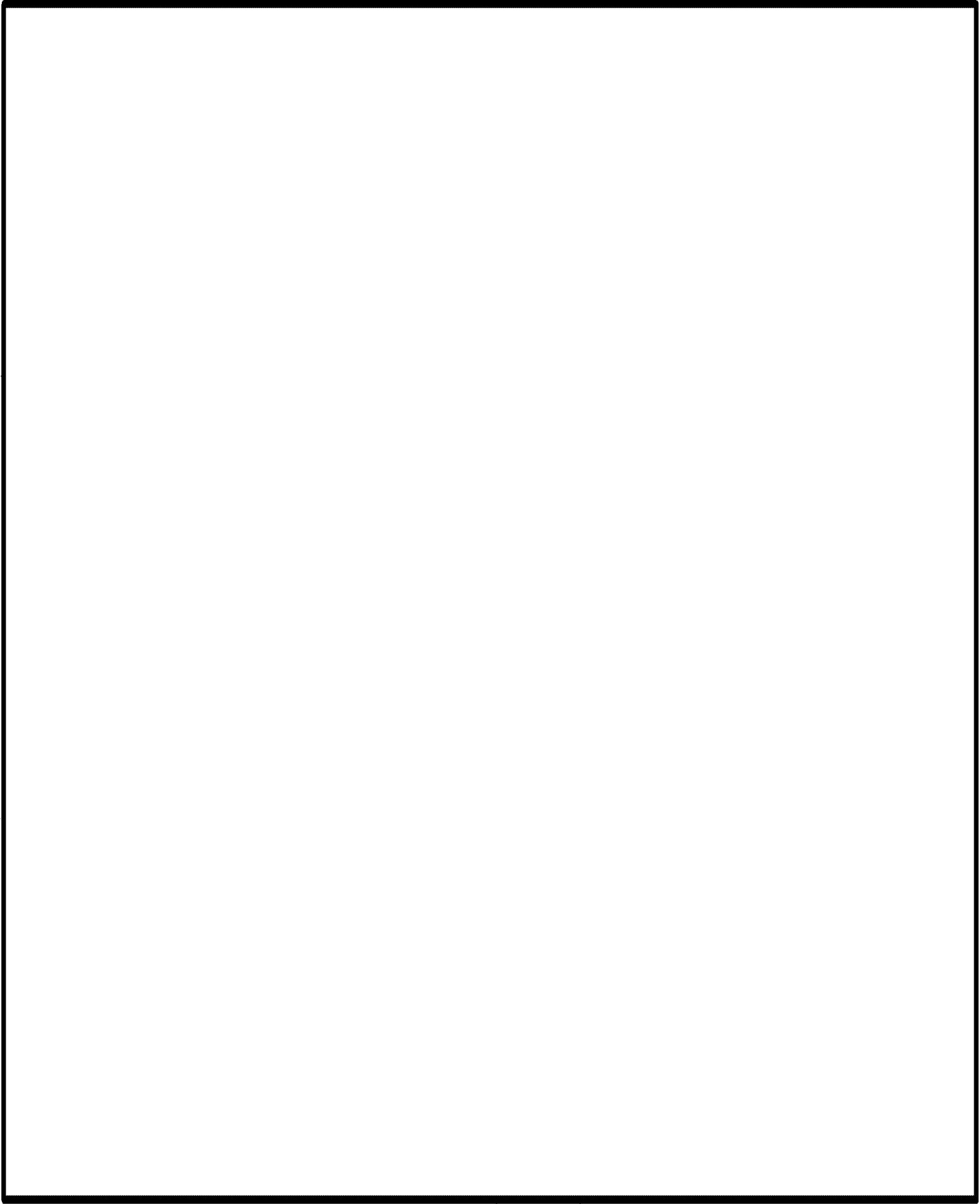




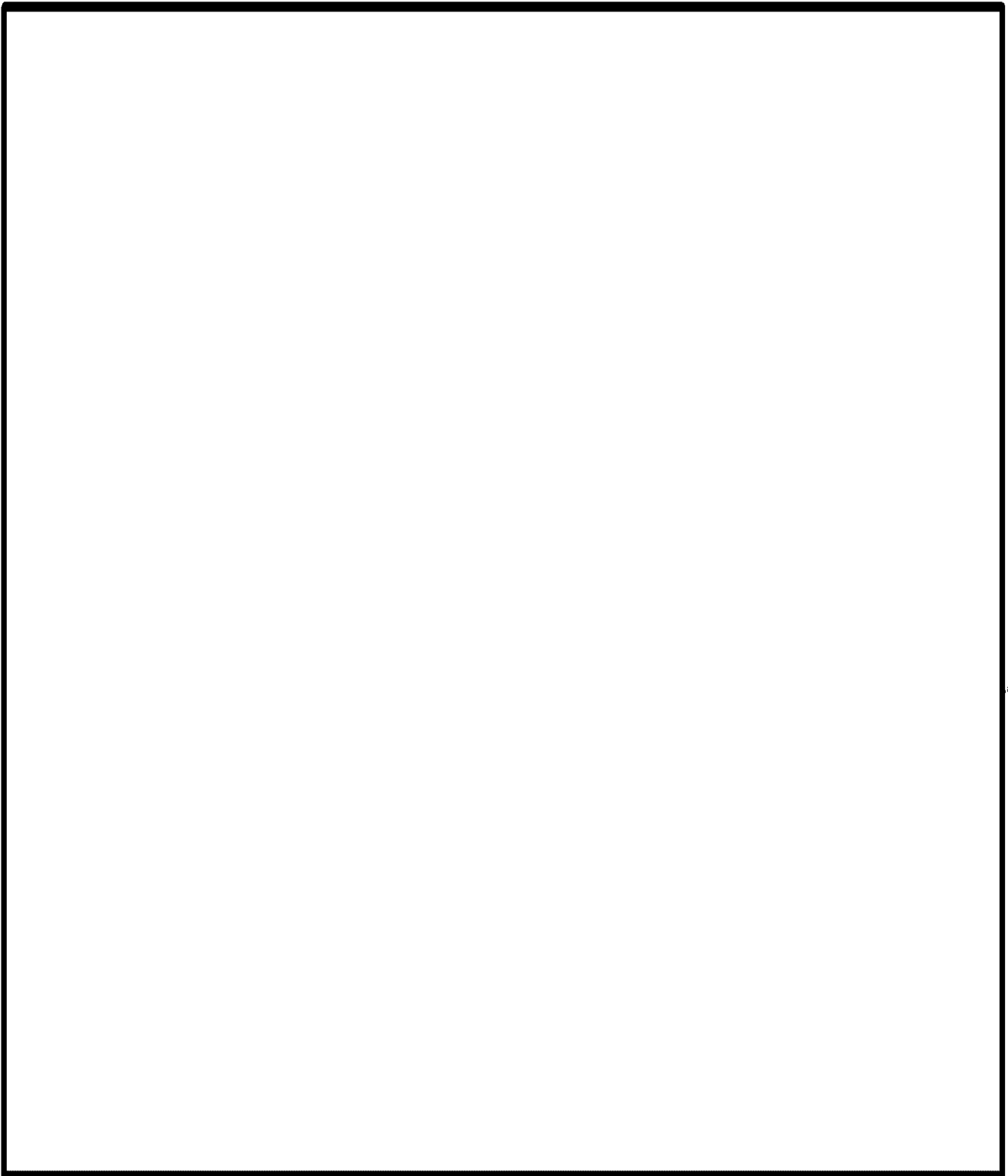
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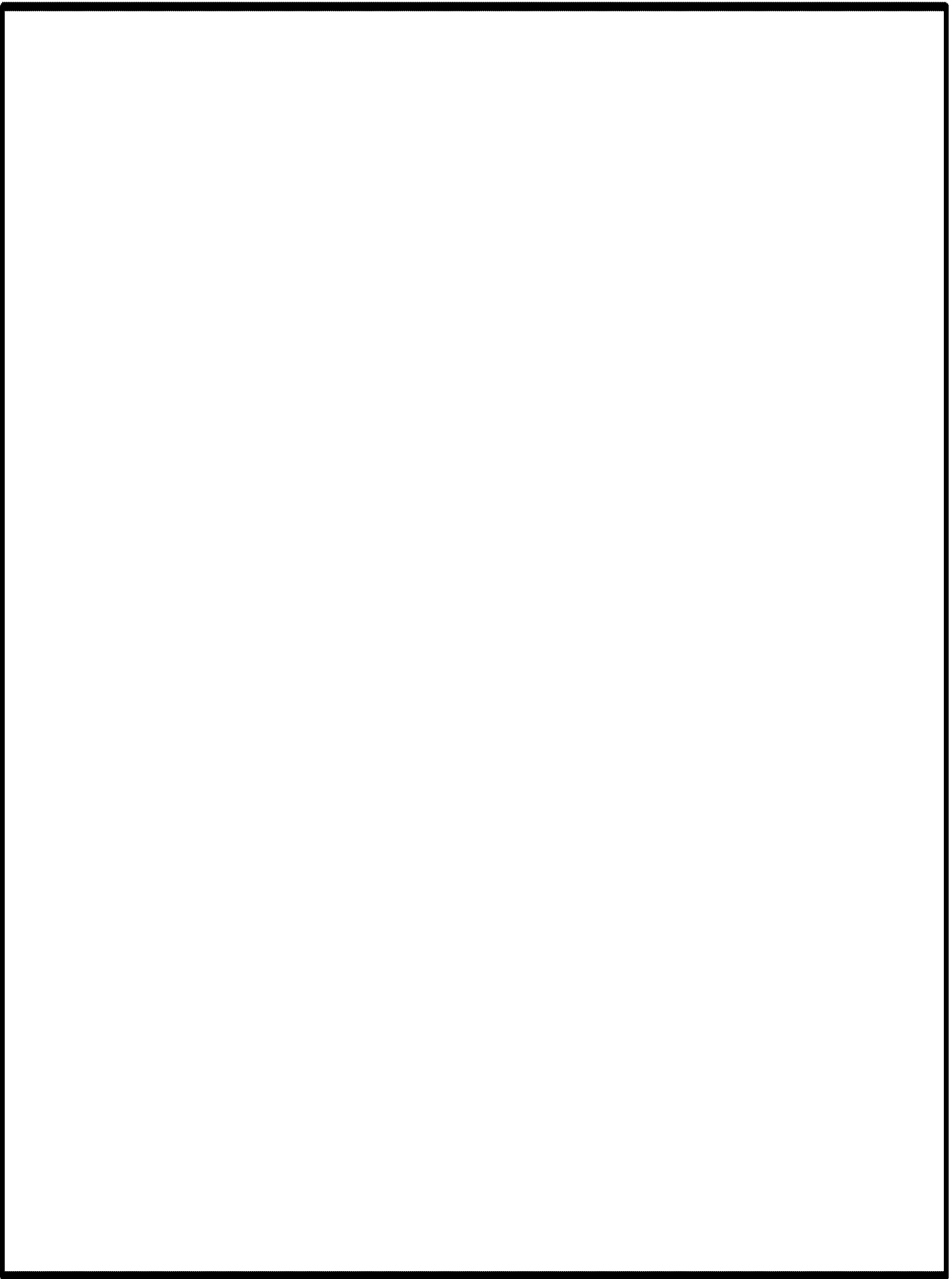
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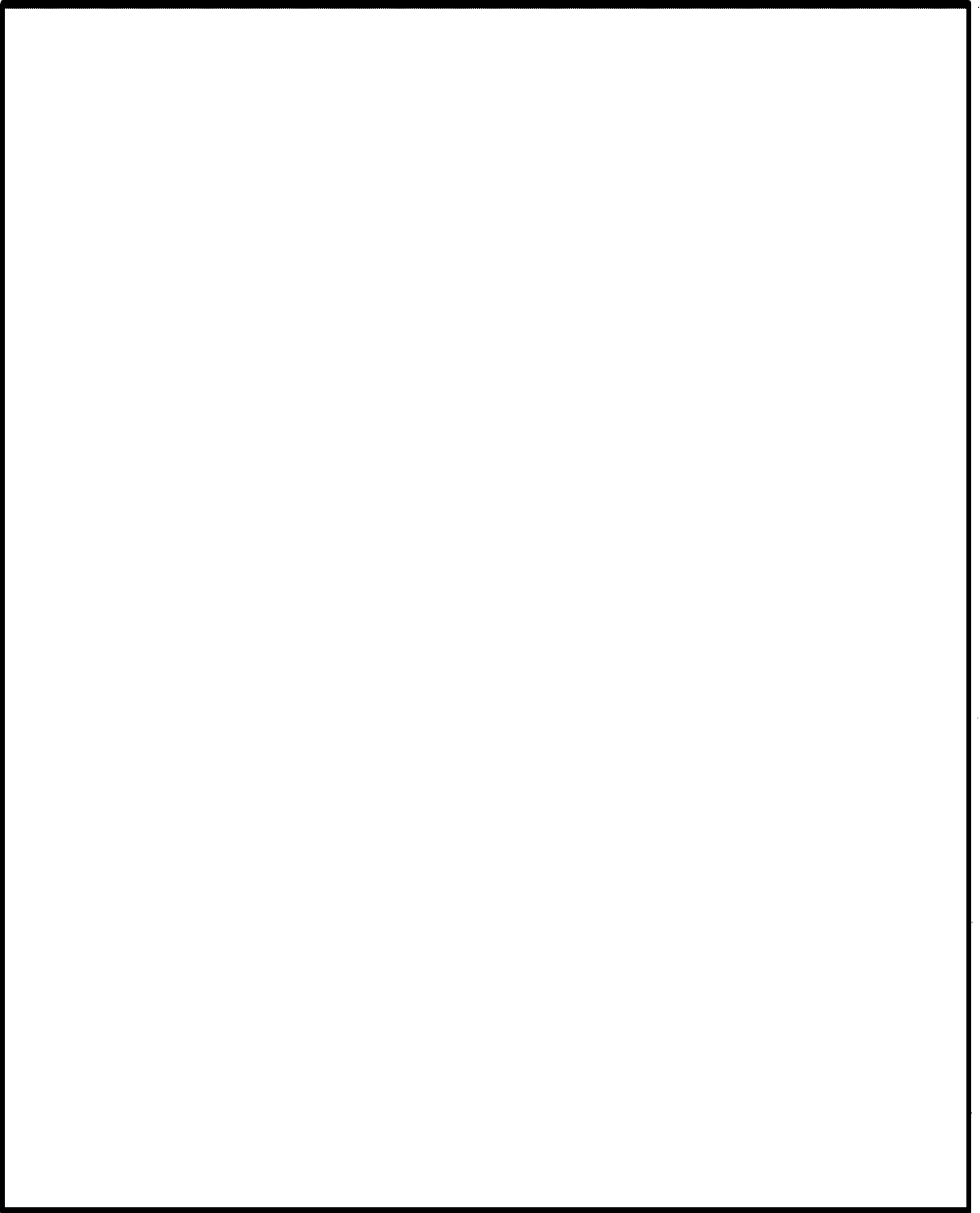
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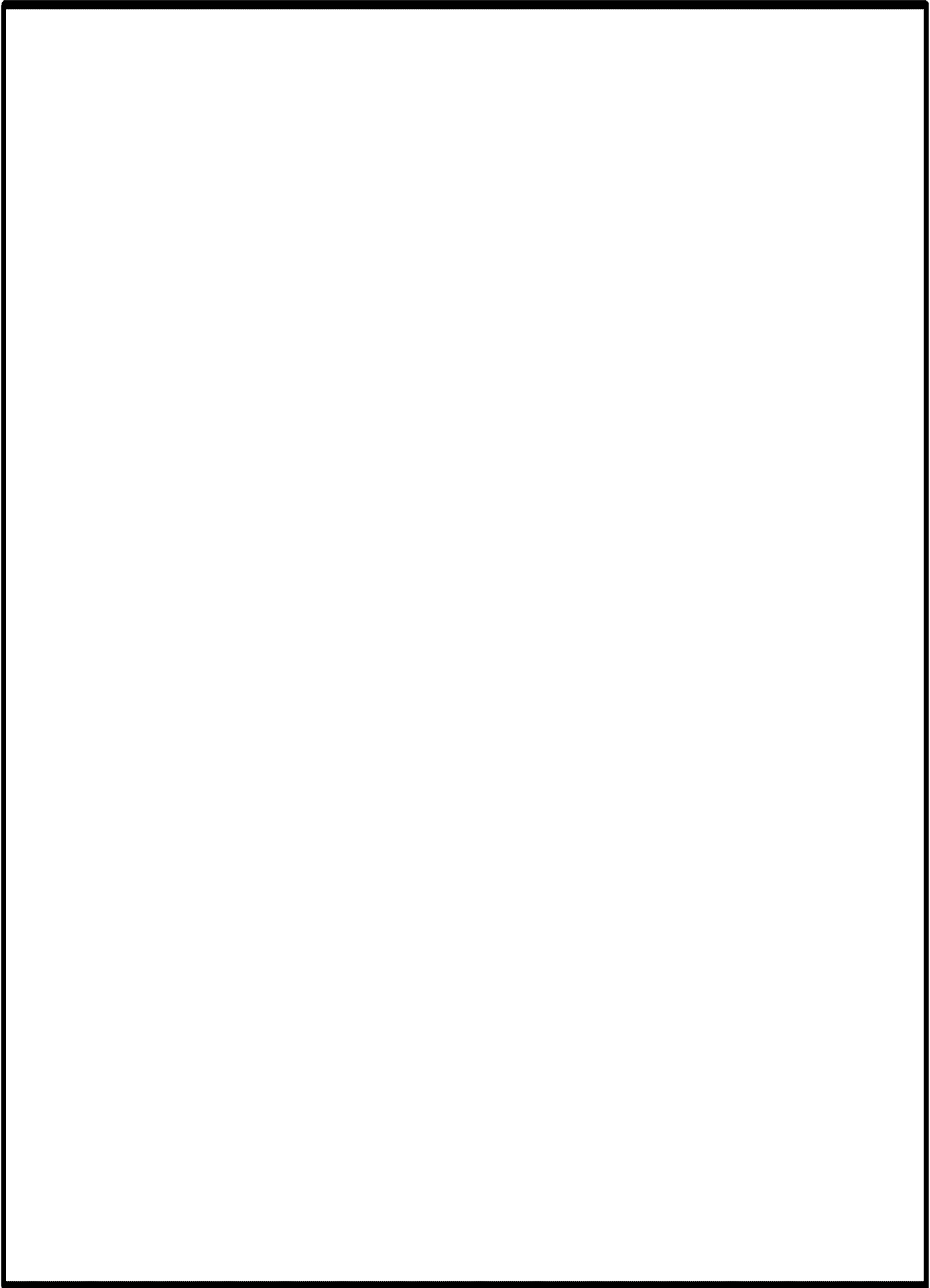


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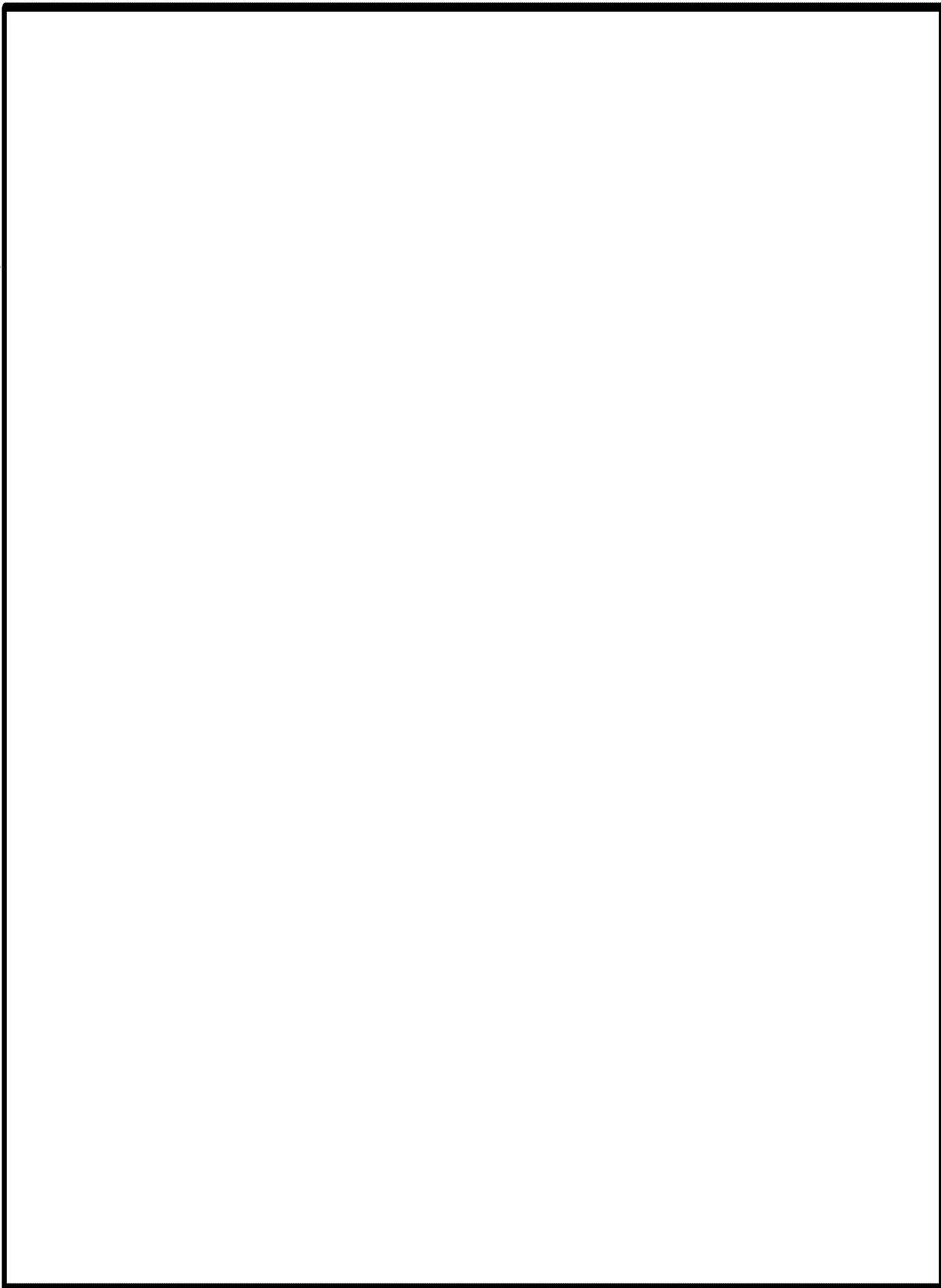


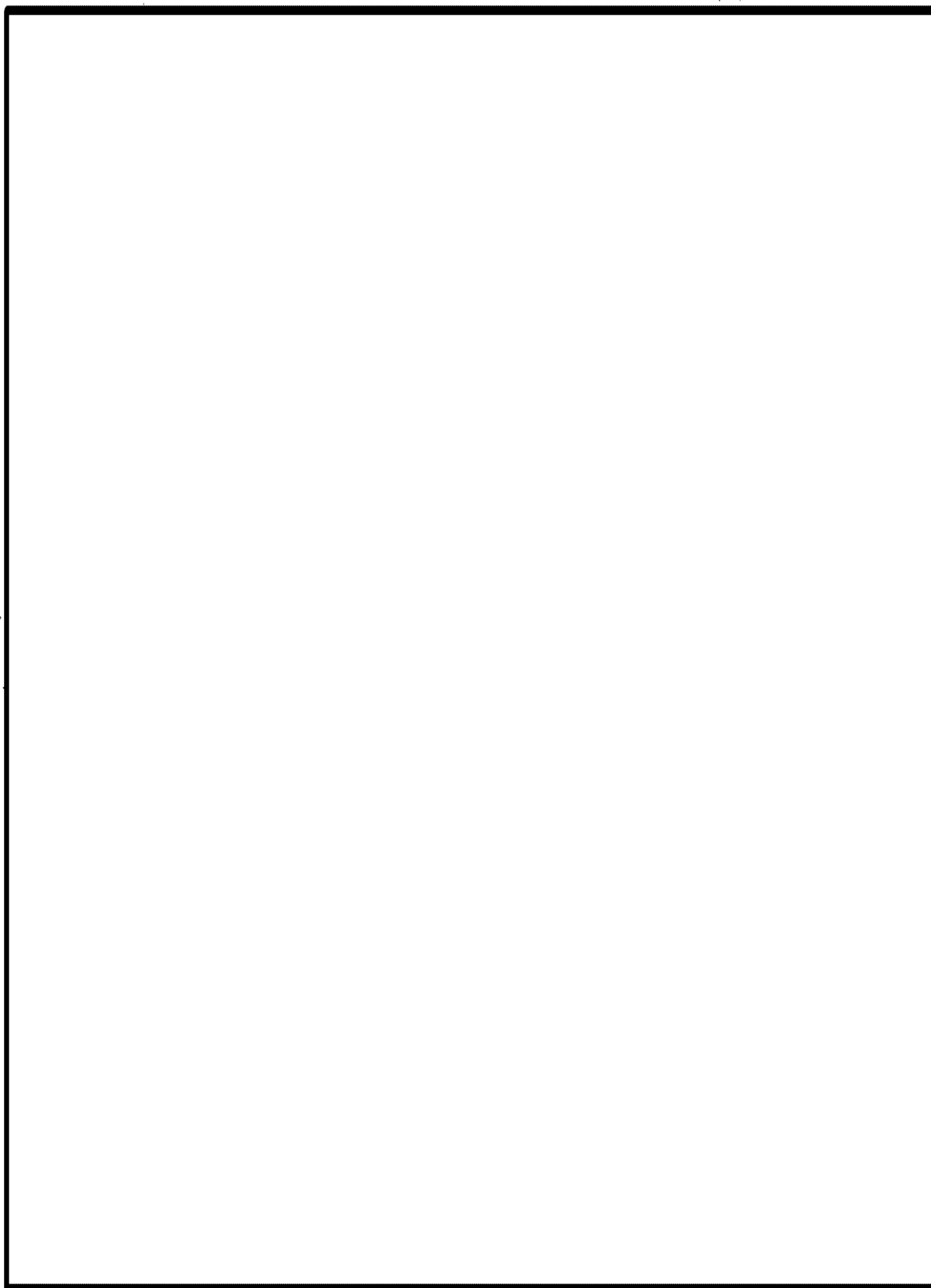
6/9/2016 Chief Financial Officer

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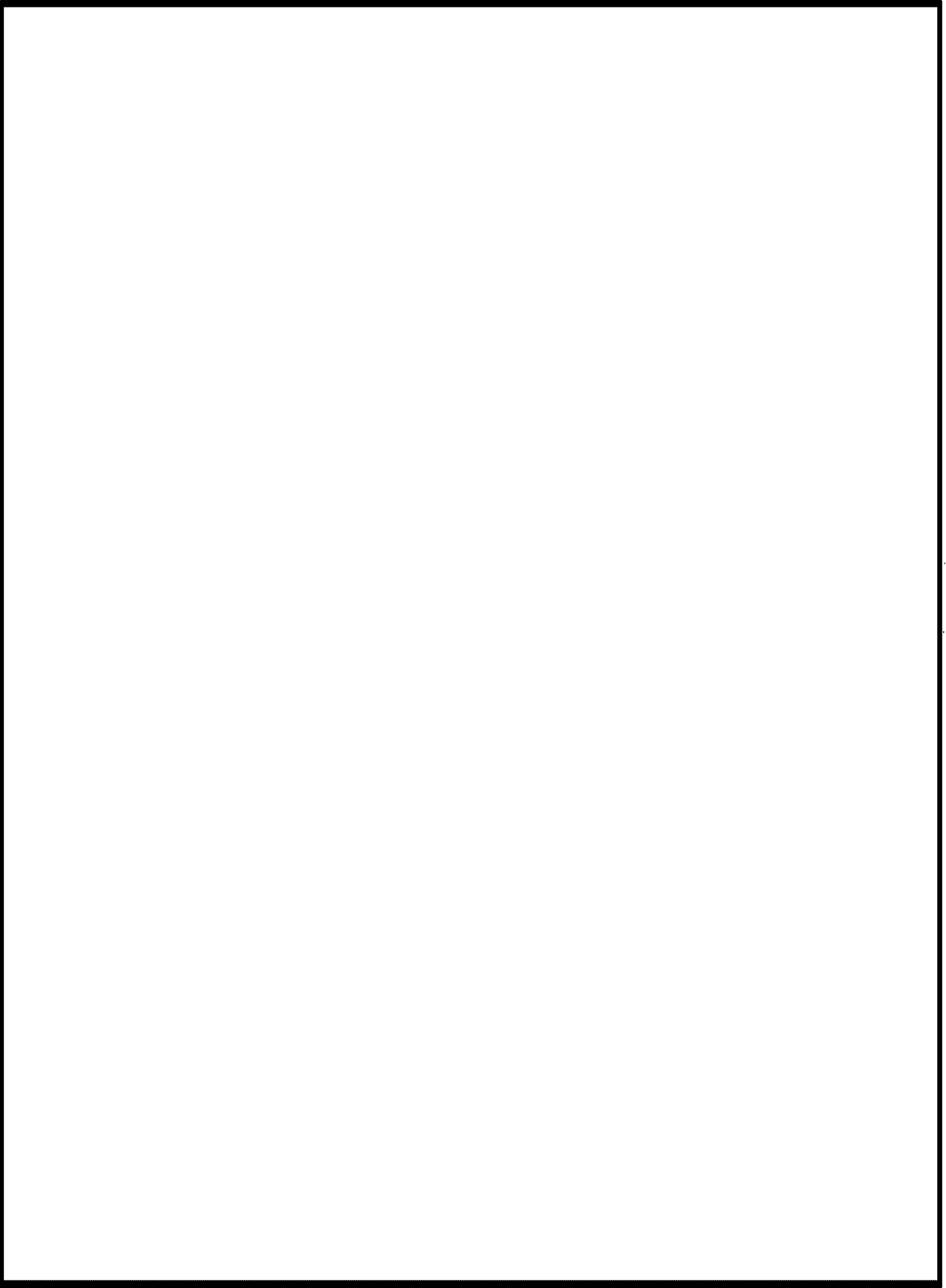


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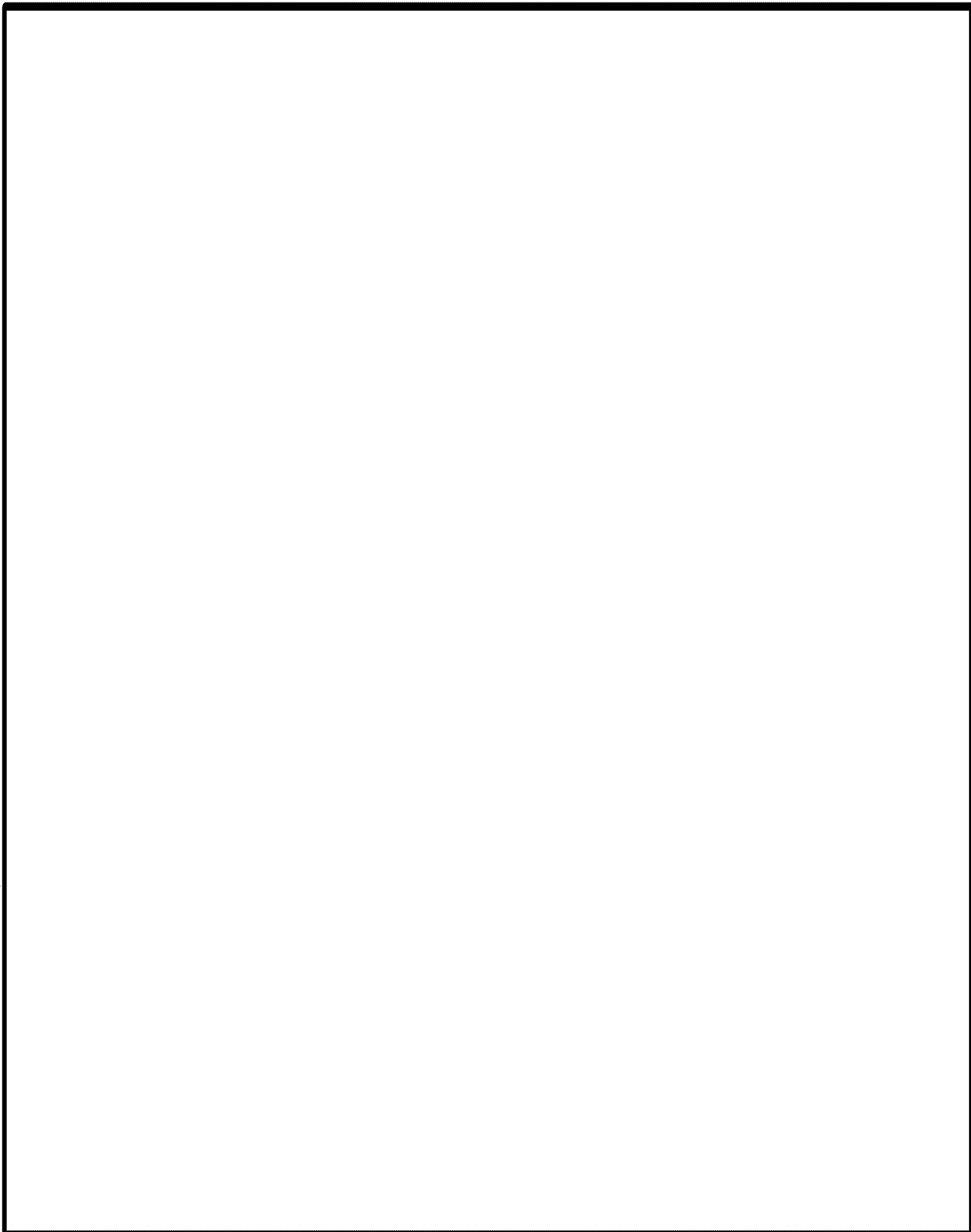




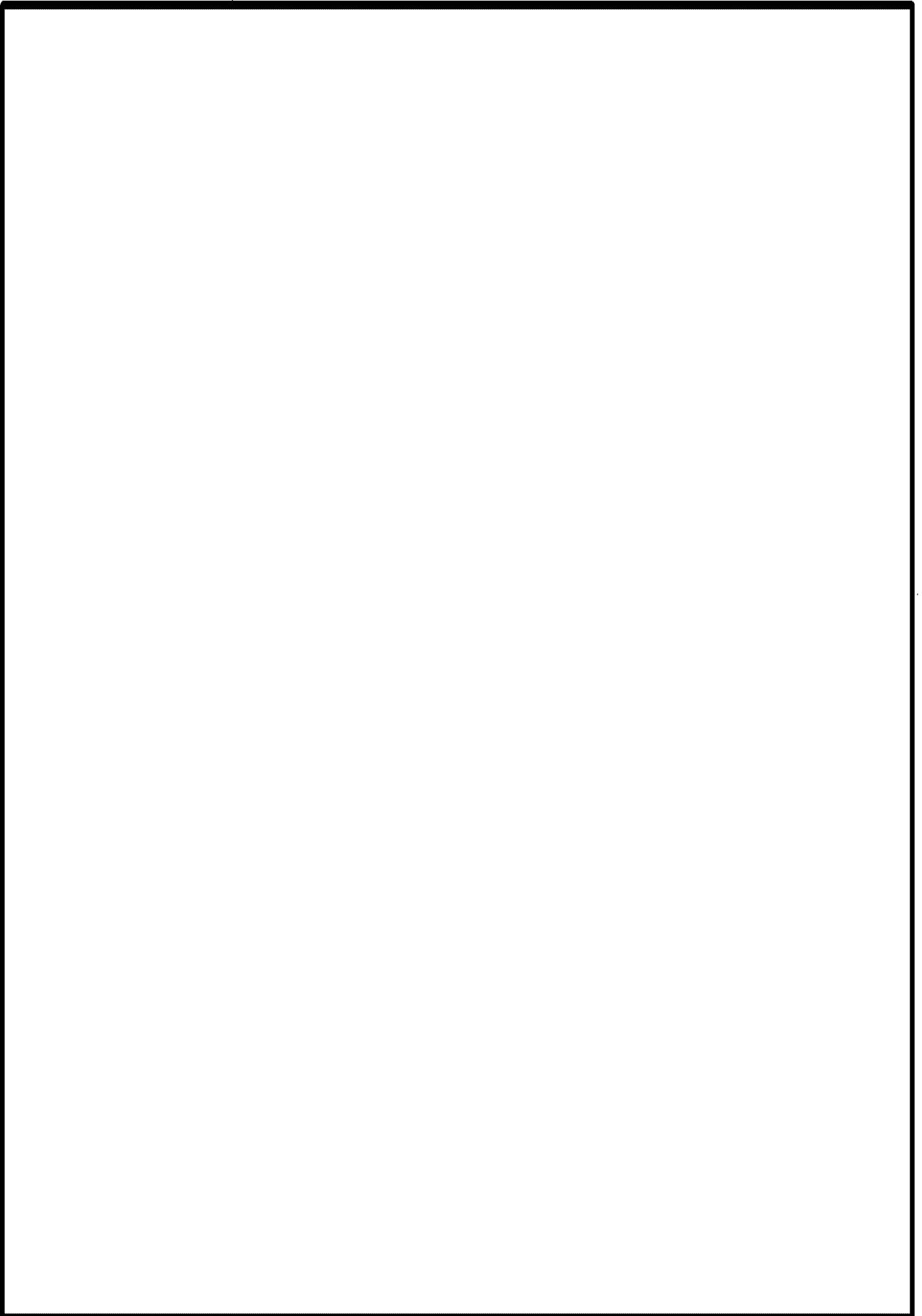
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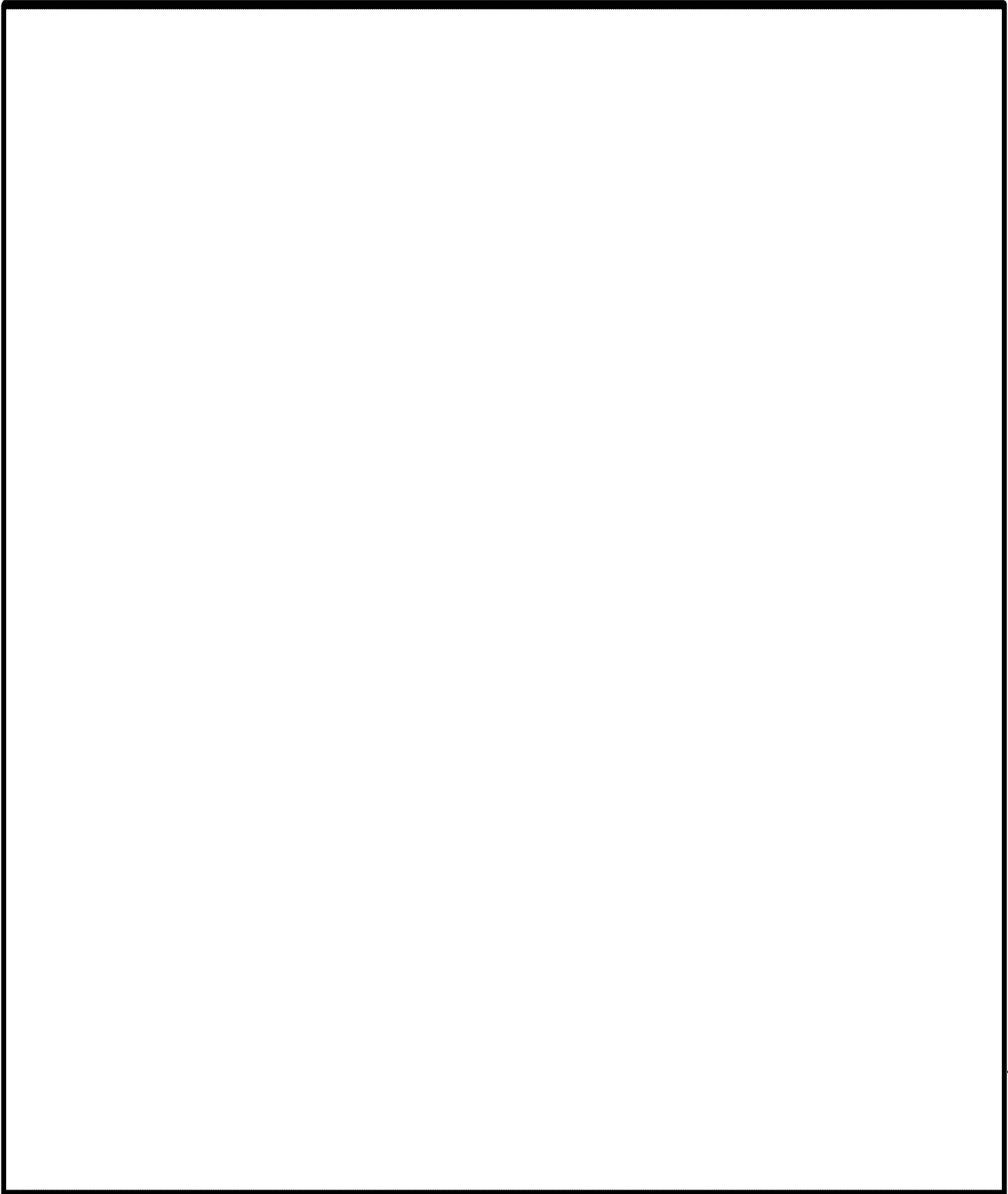
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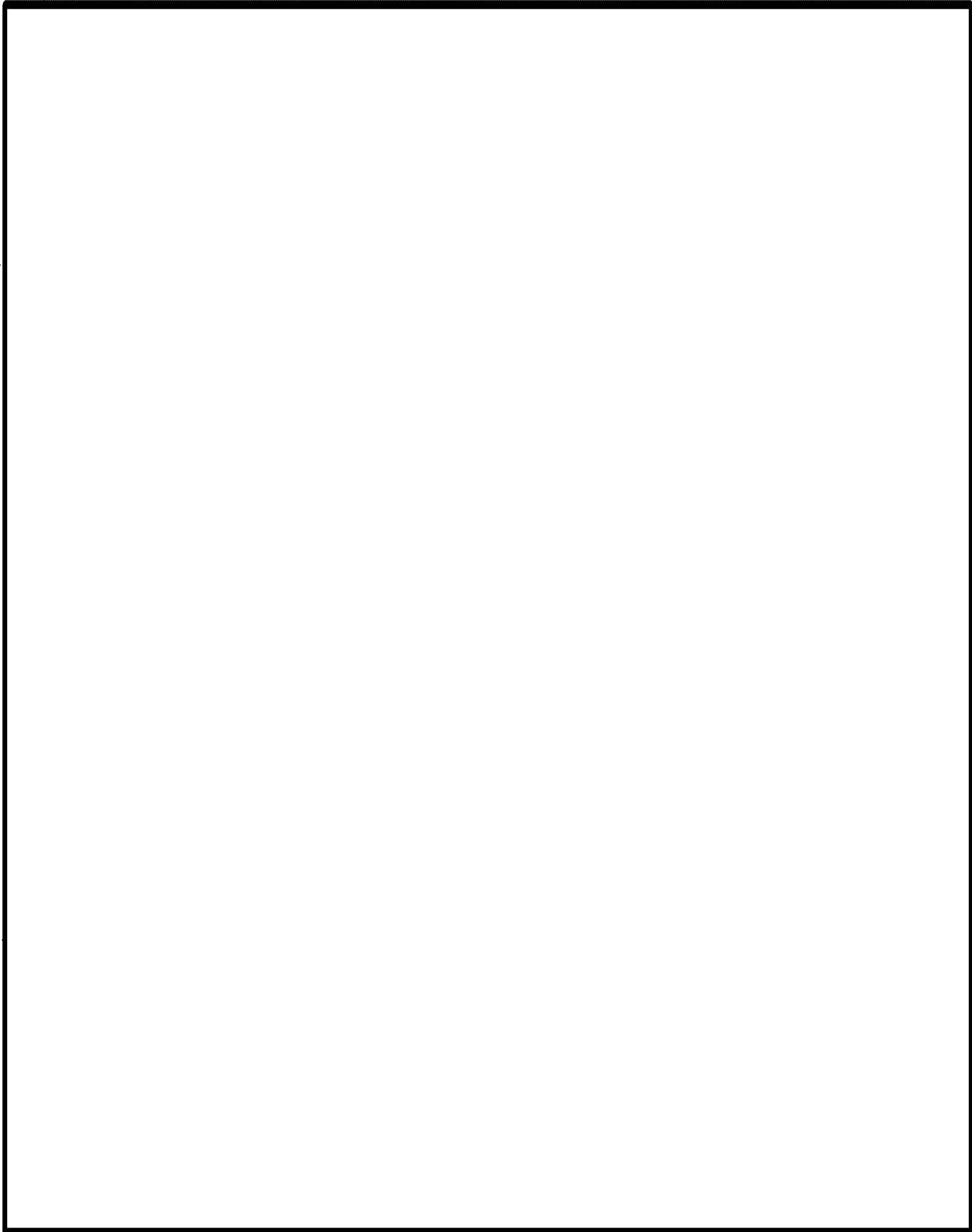


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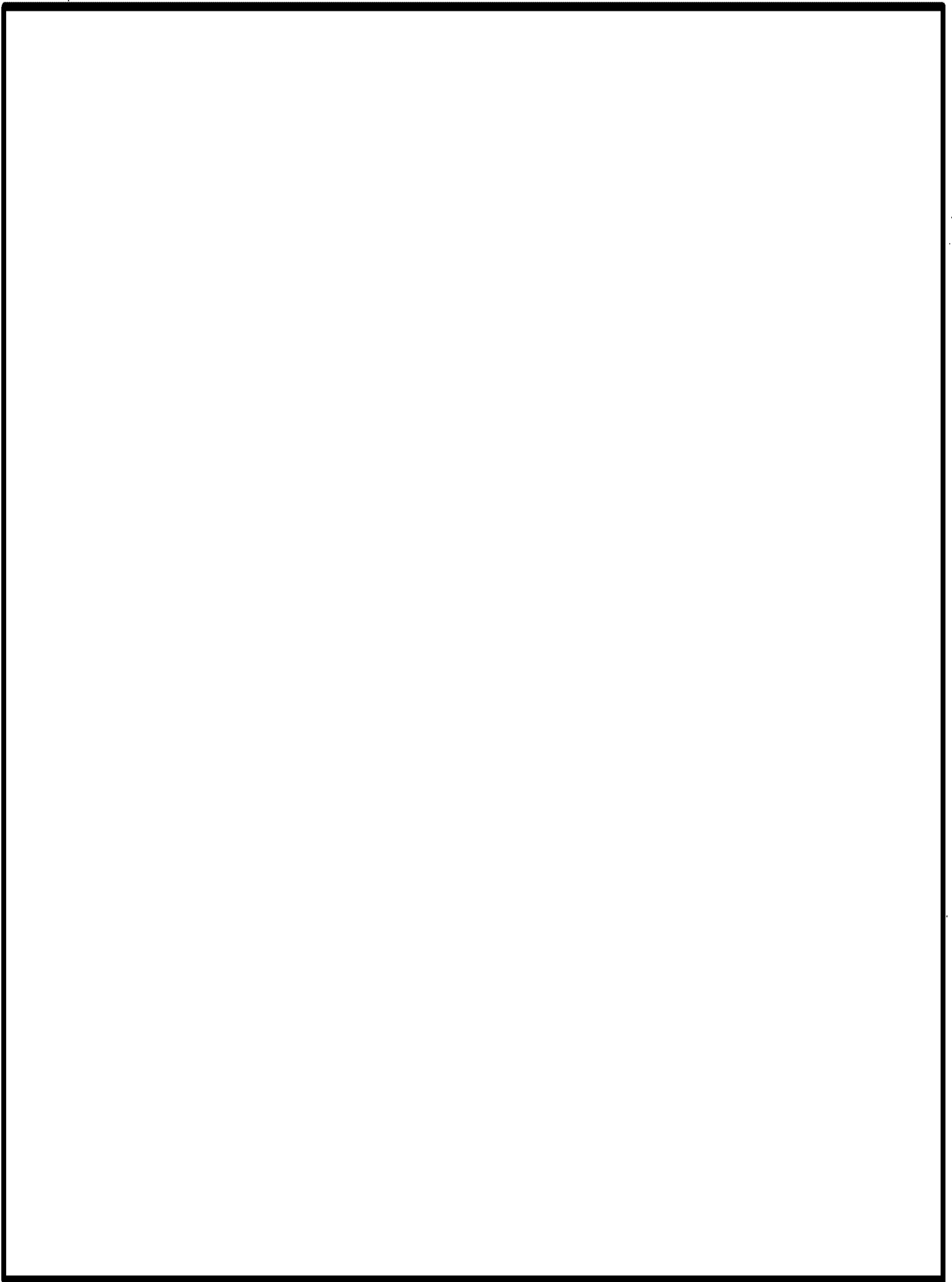
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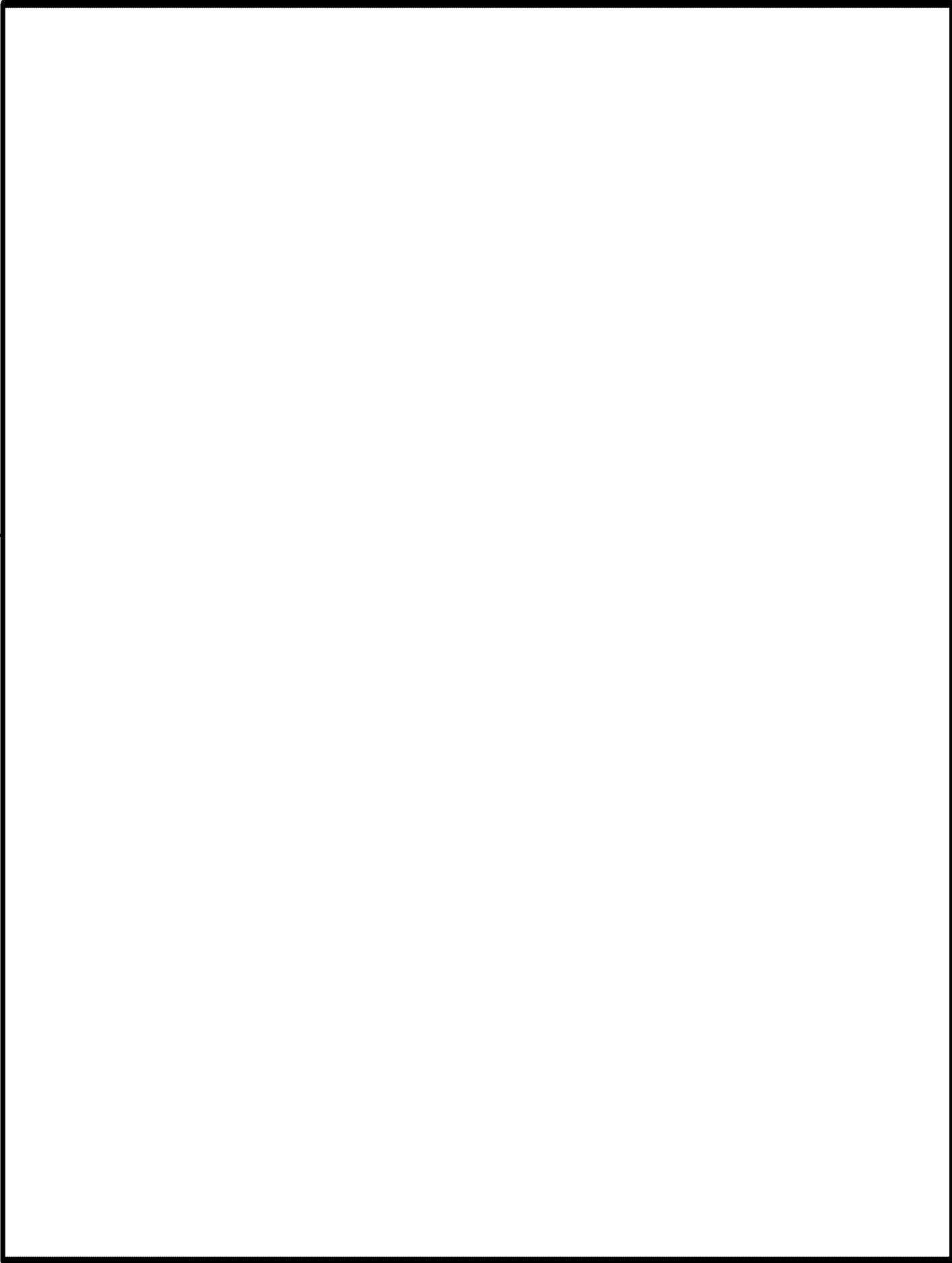
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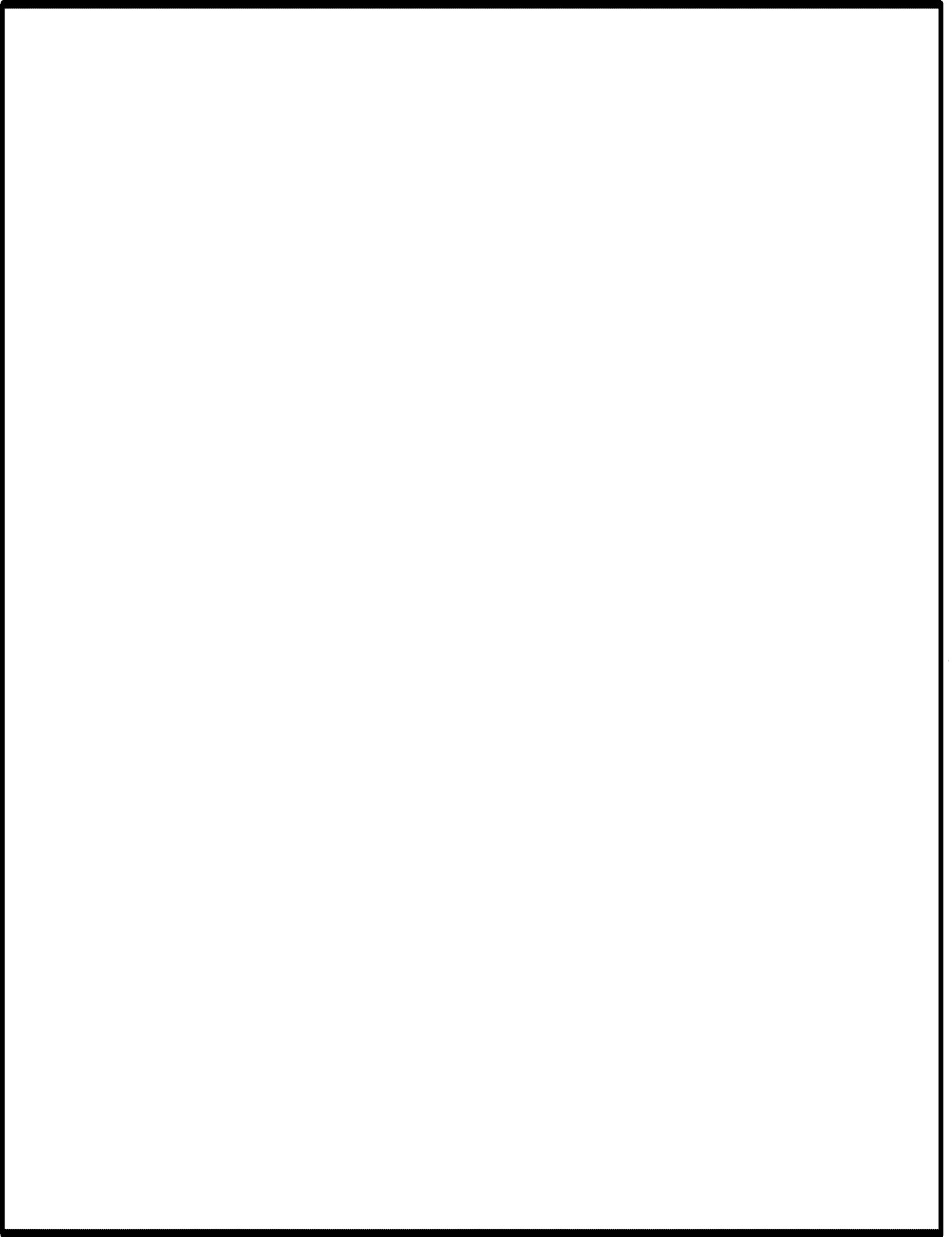


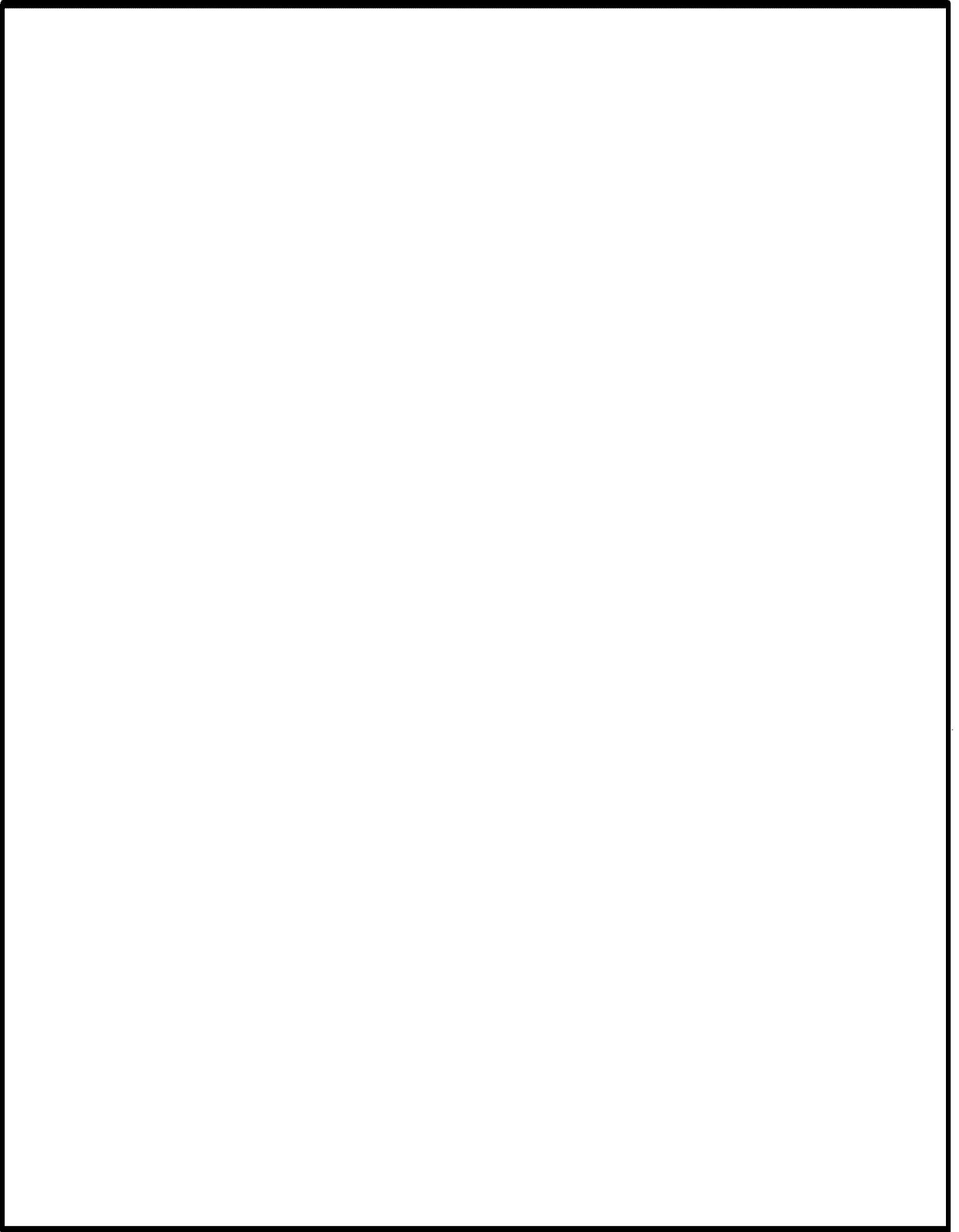
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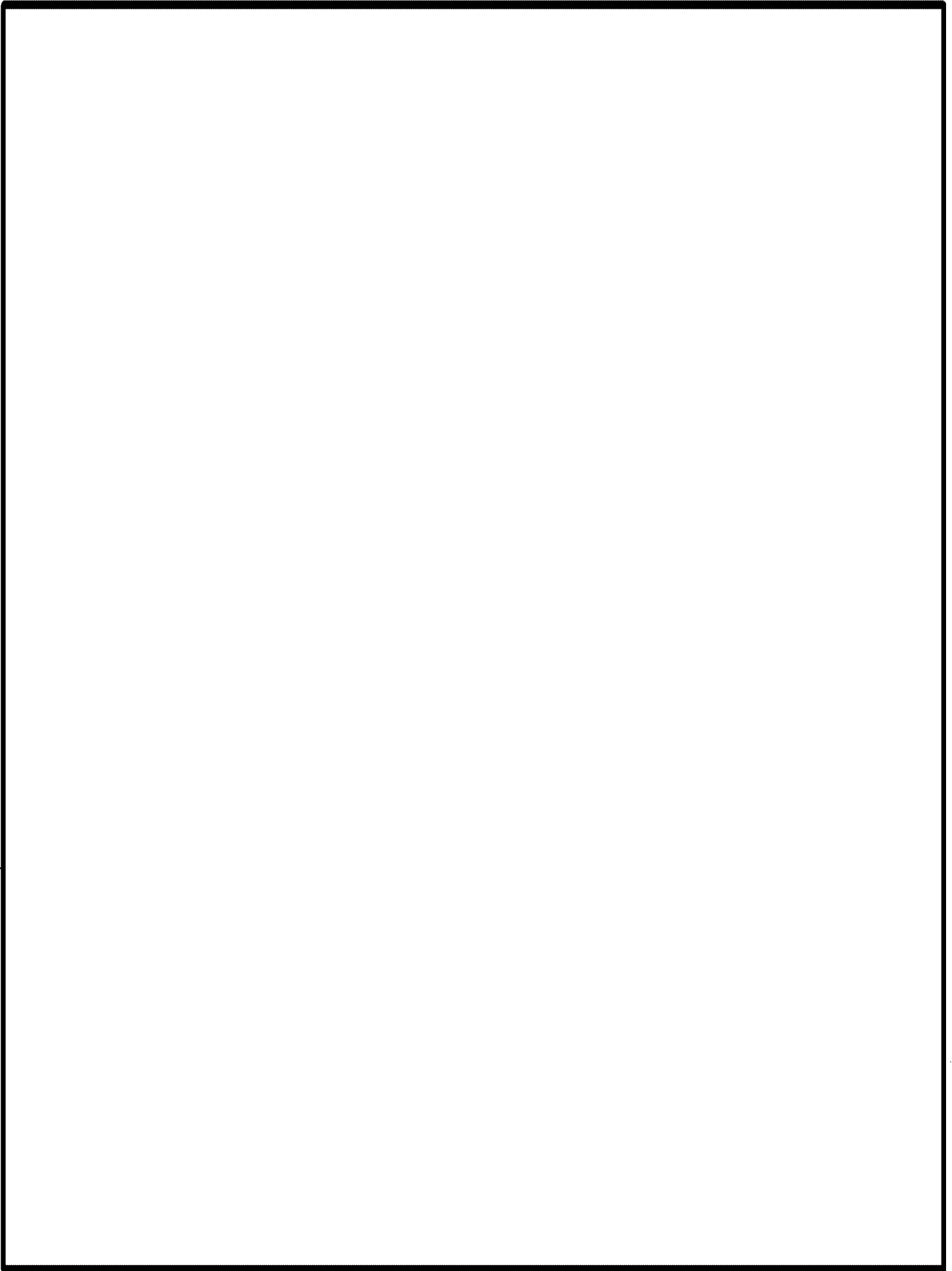
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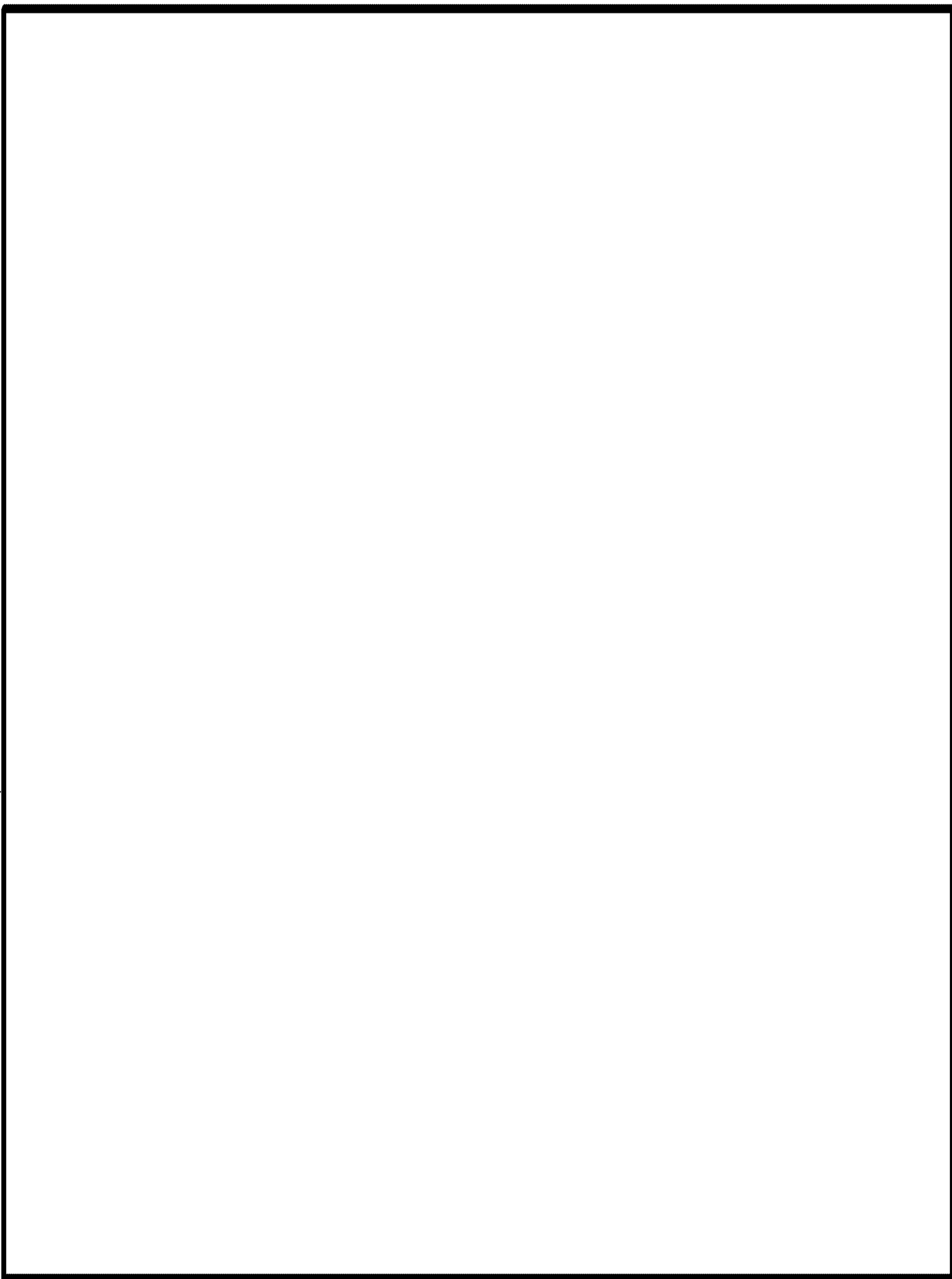




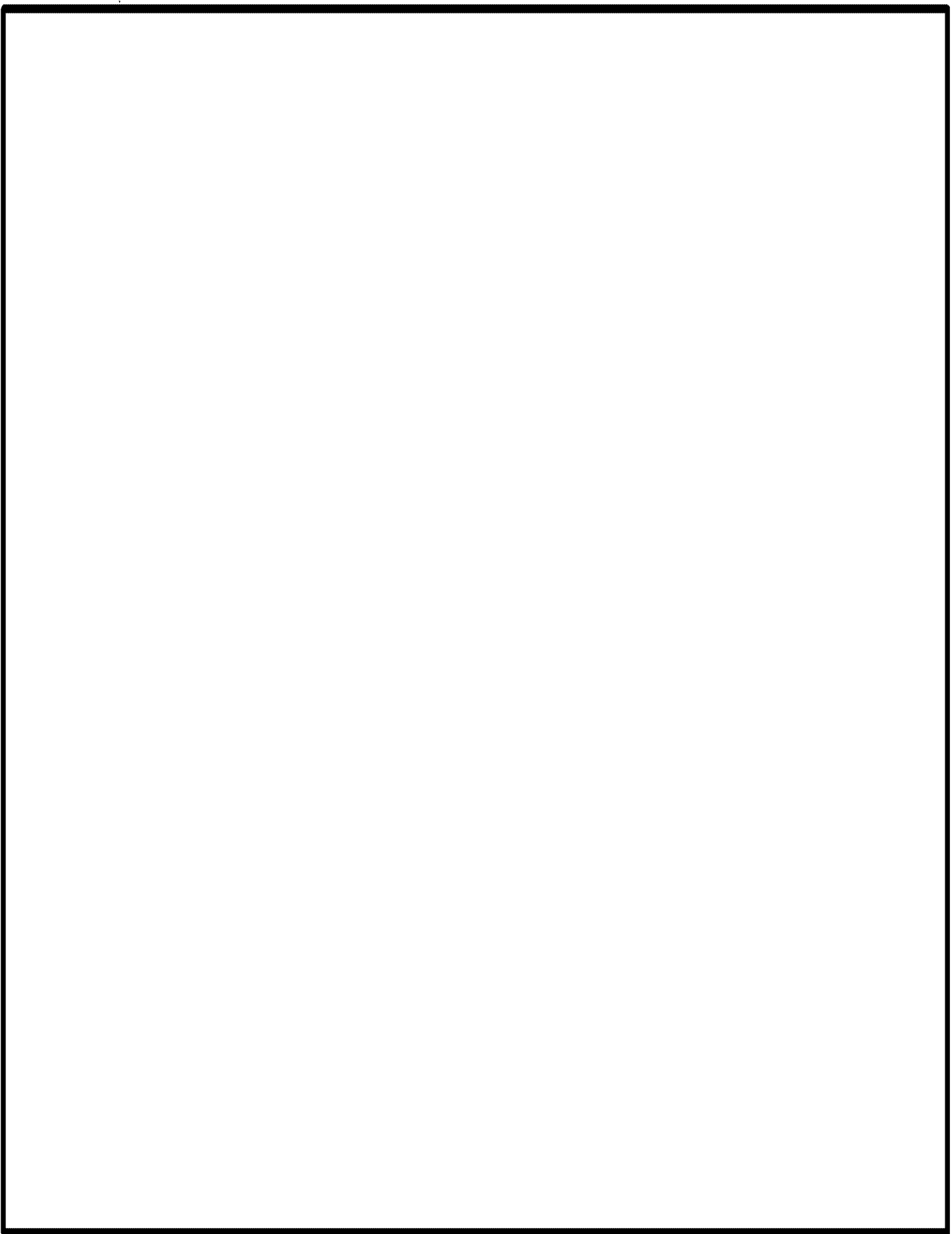




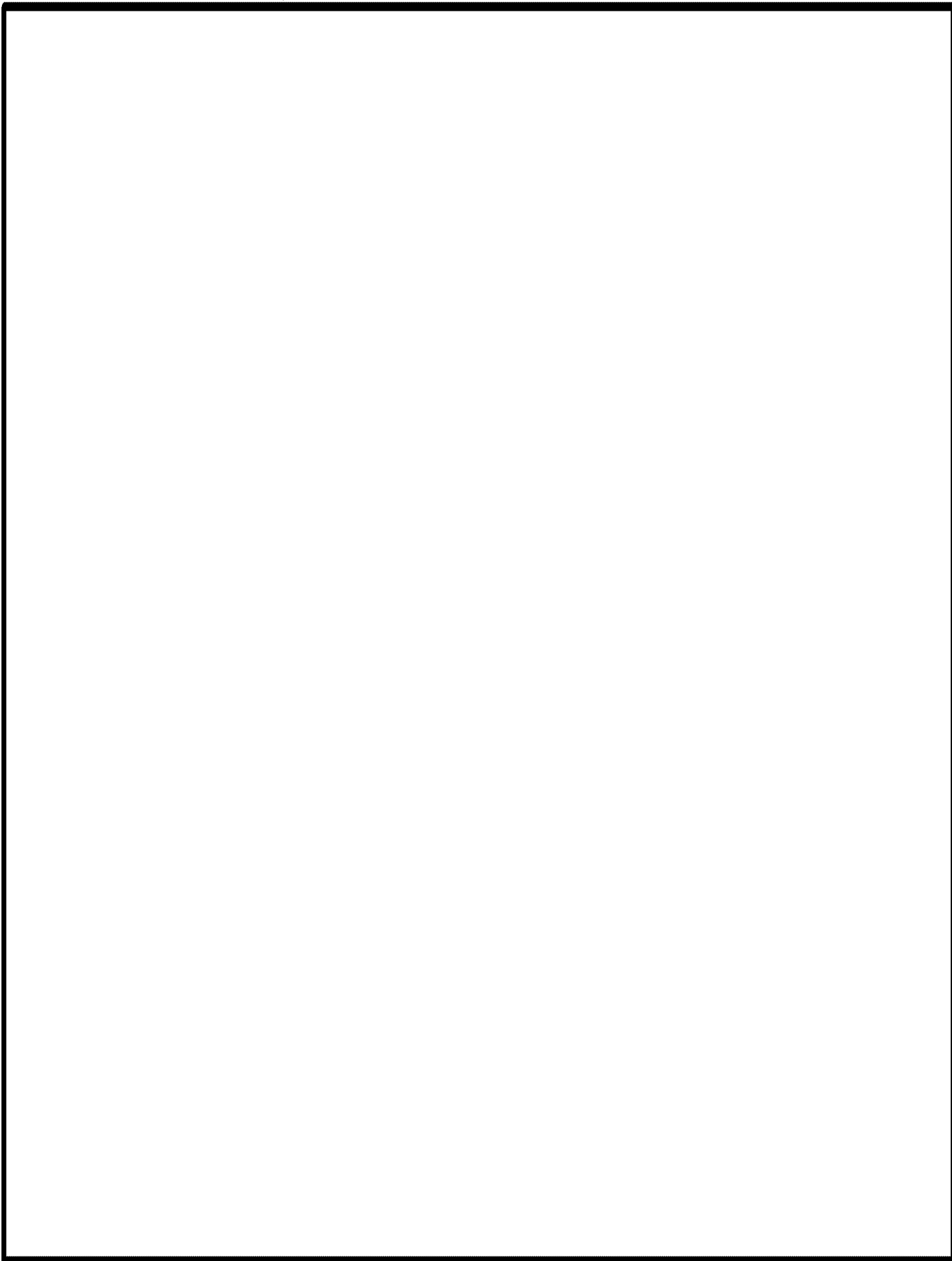
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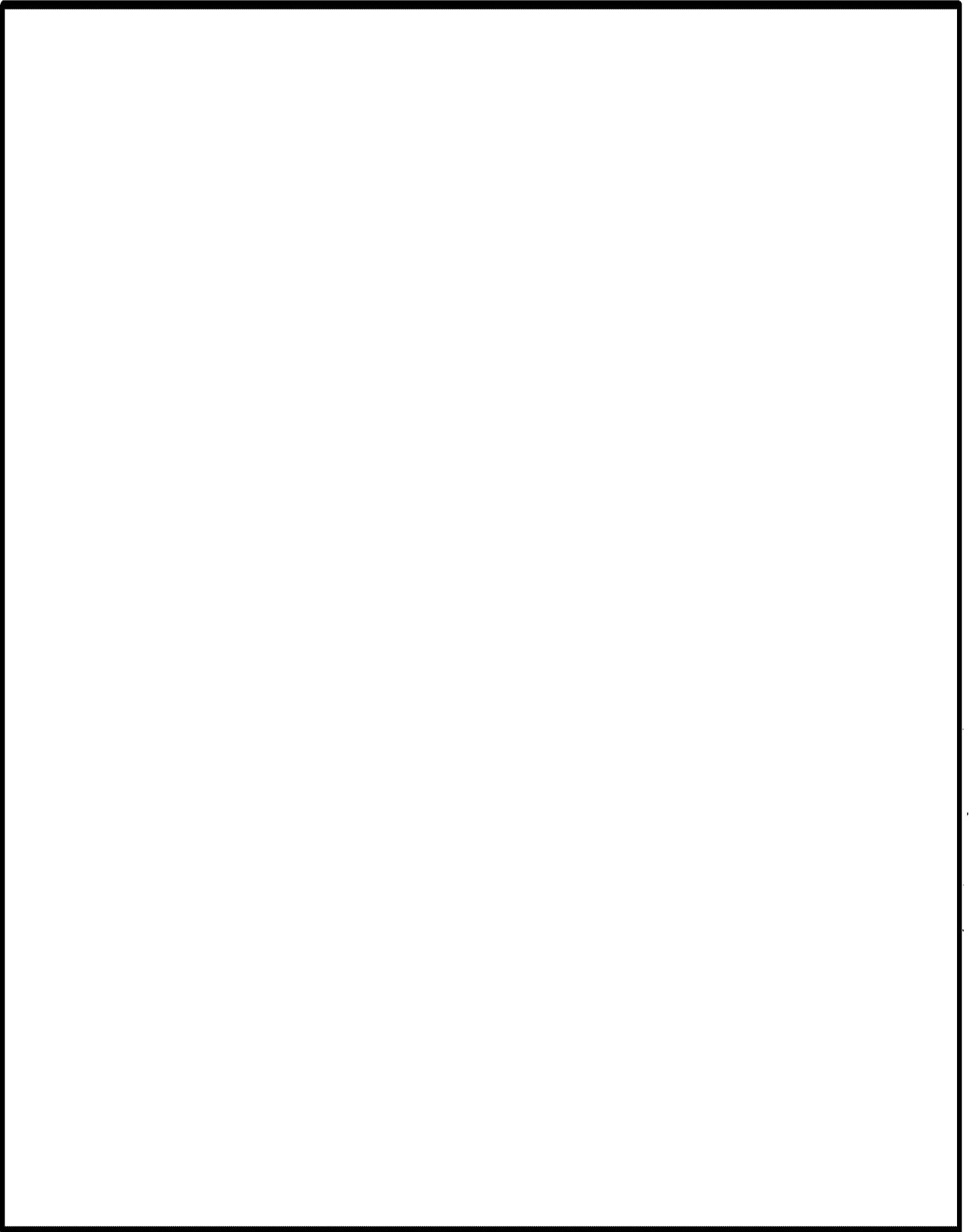
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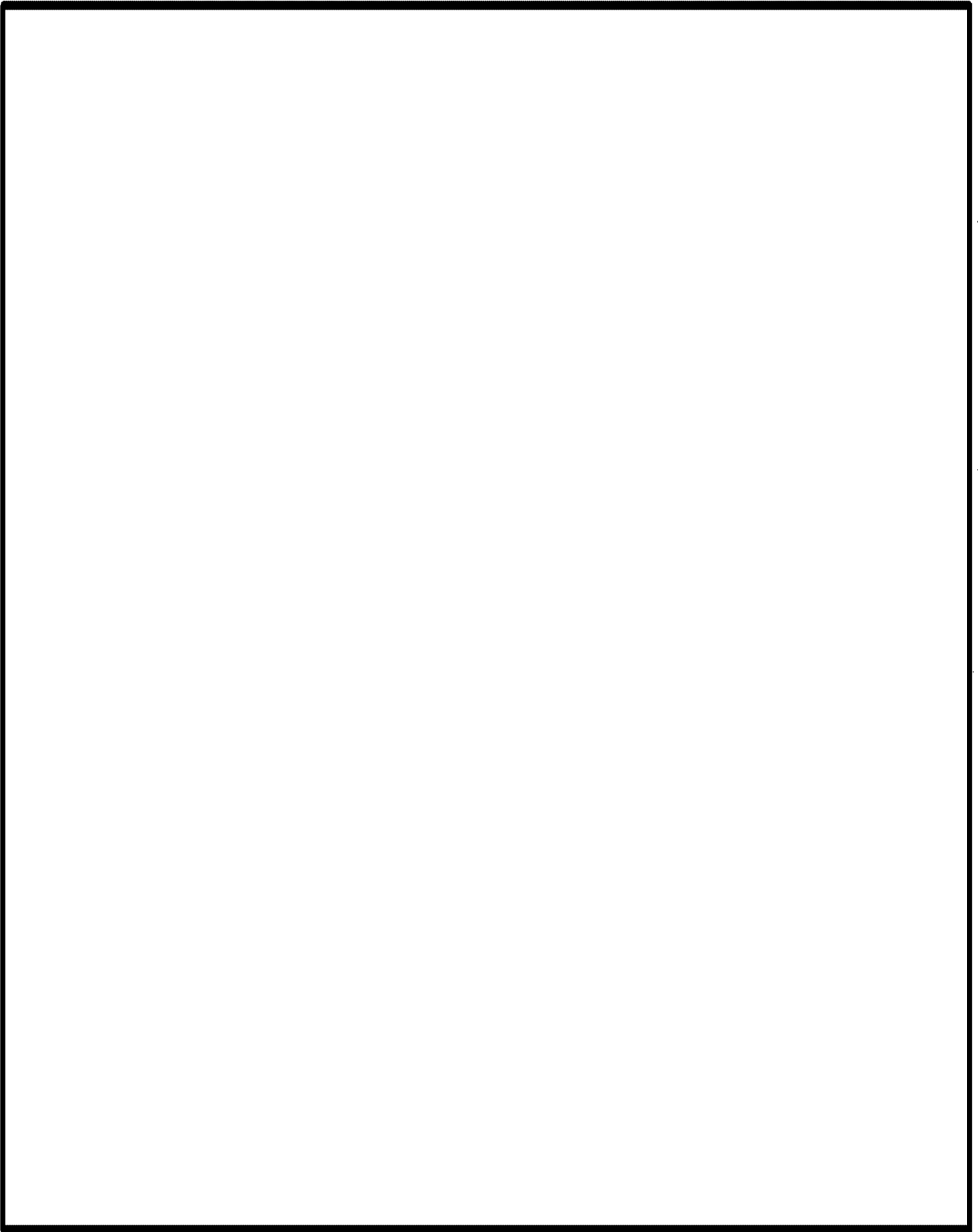
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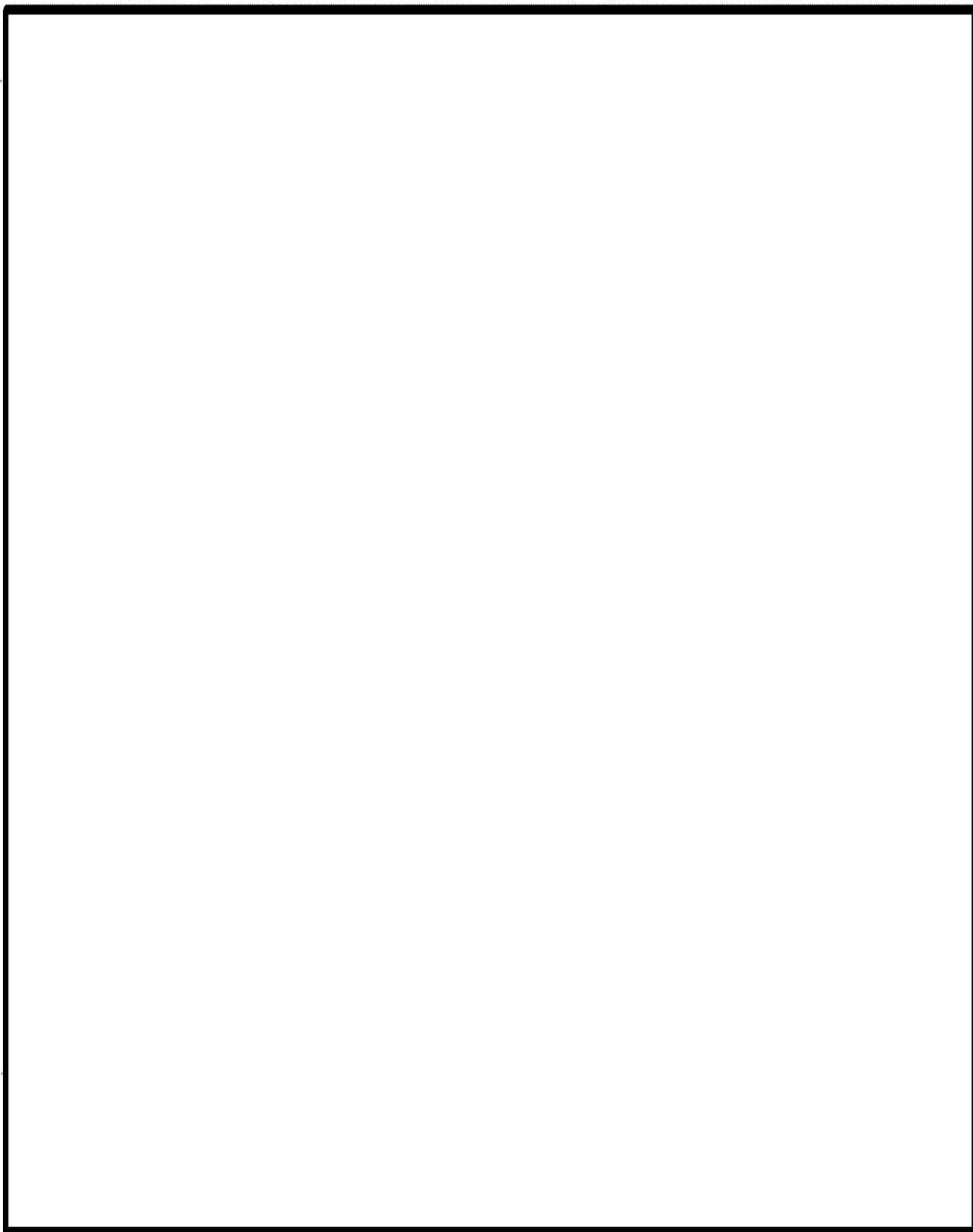
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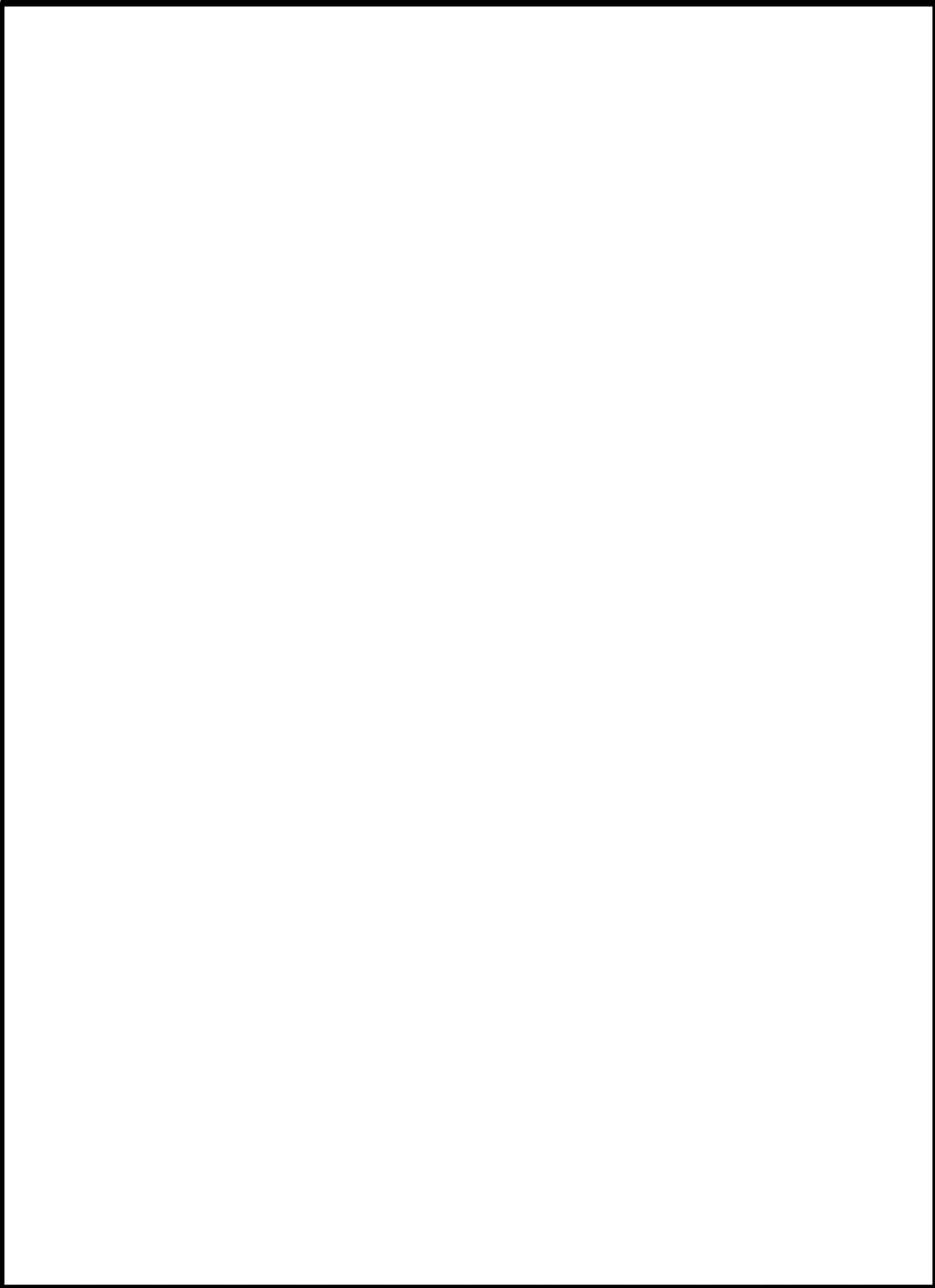


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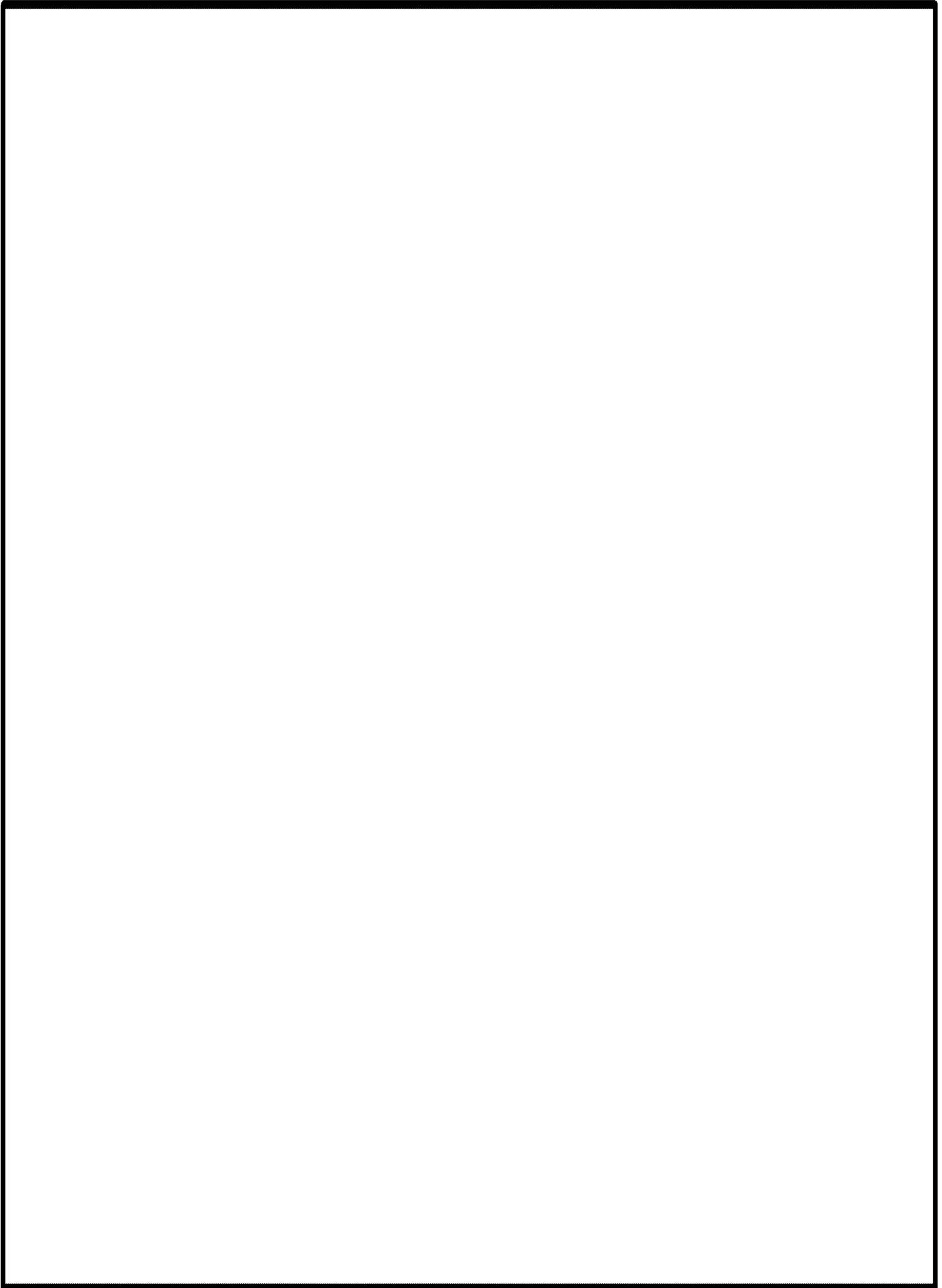


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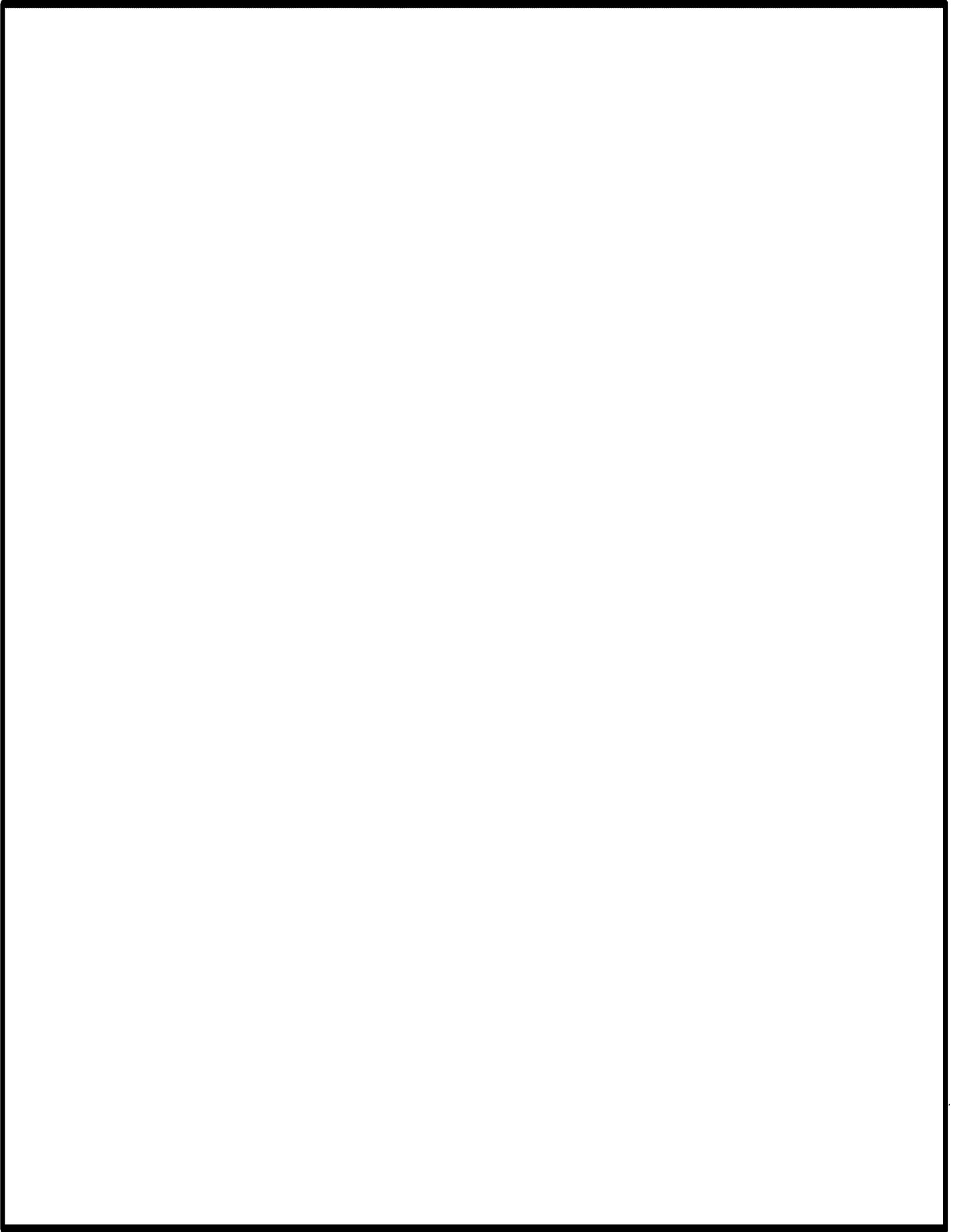




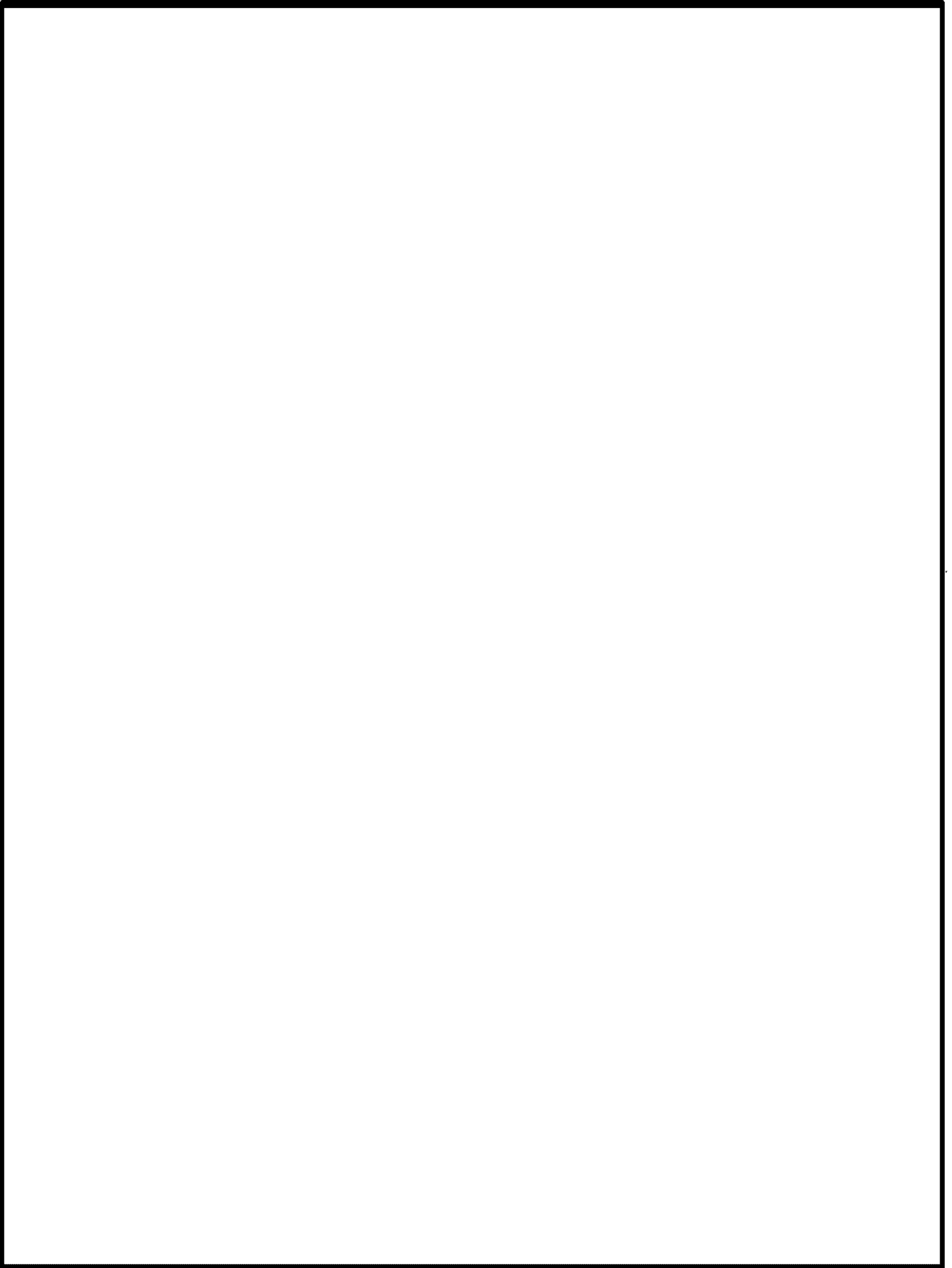
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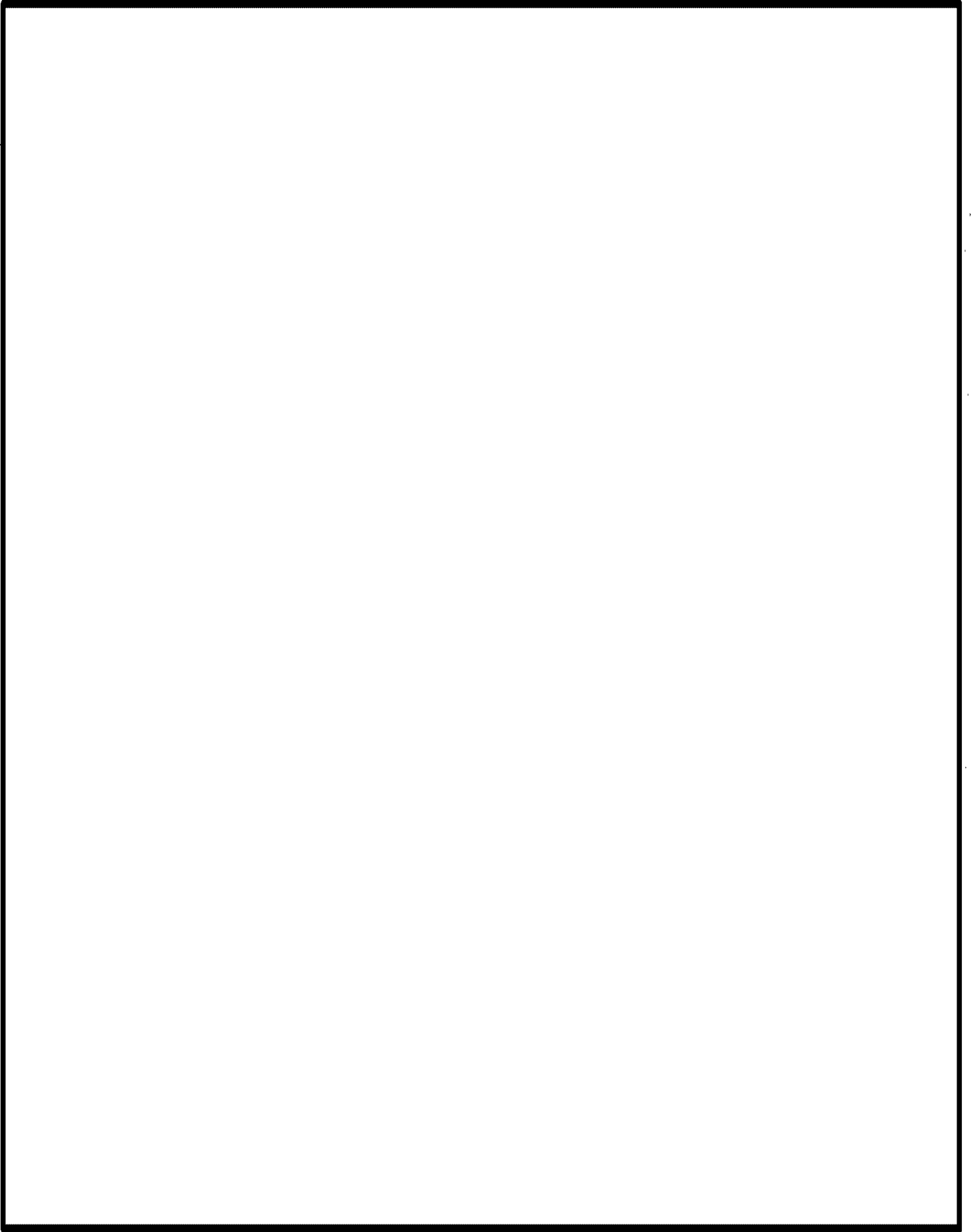
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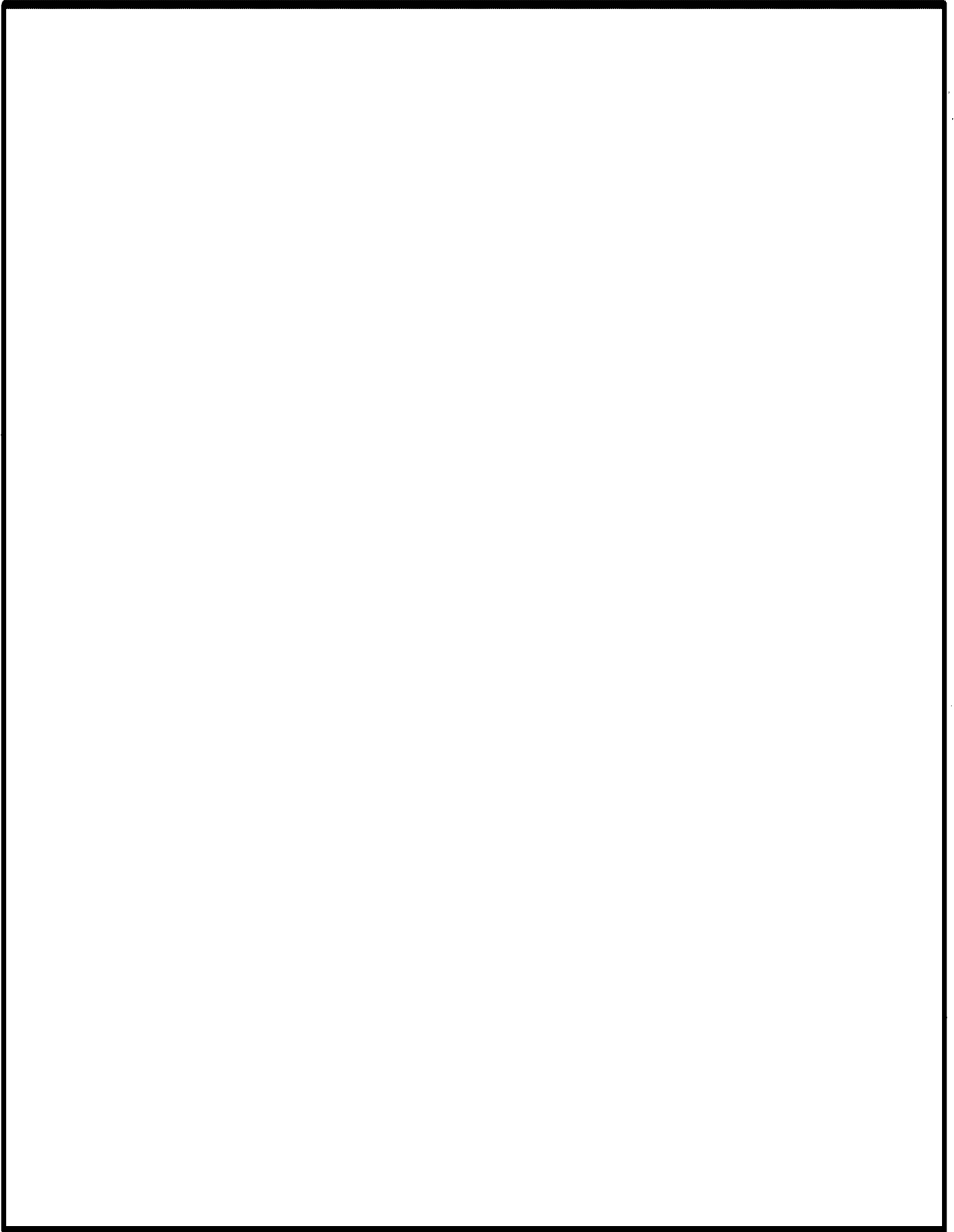
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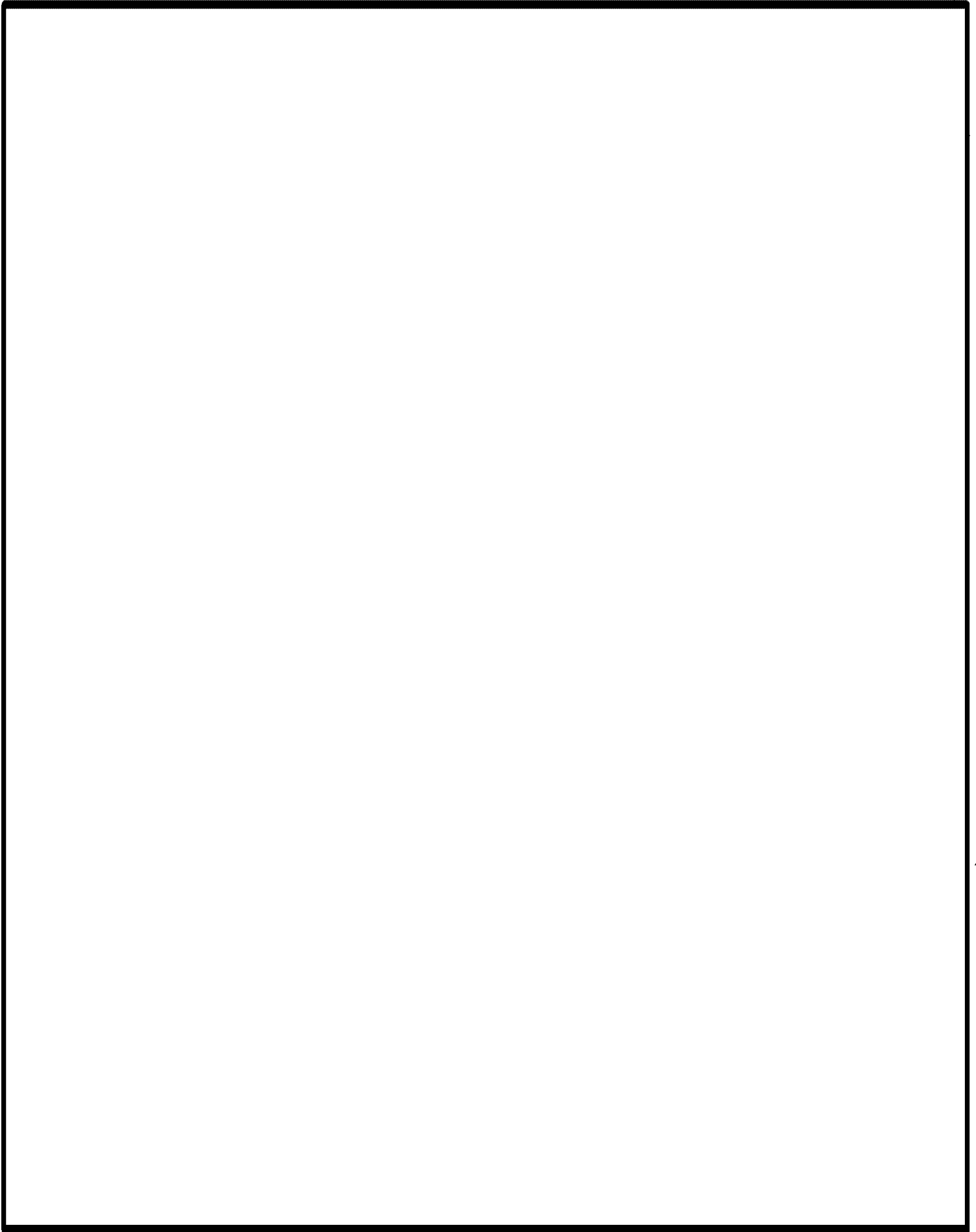
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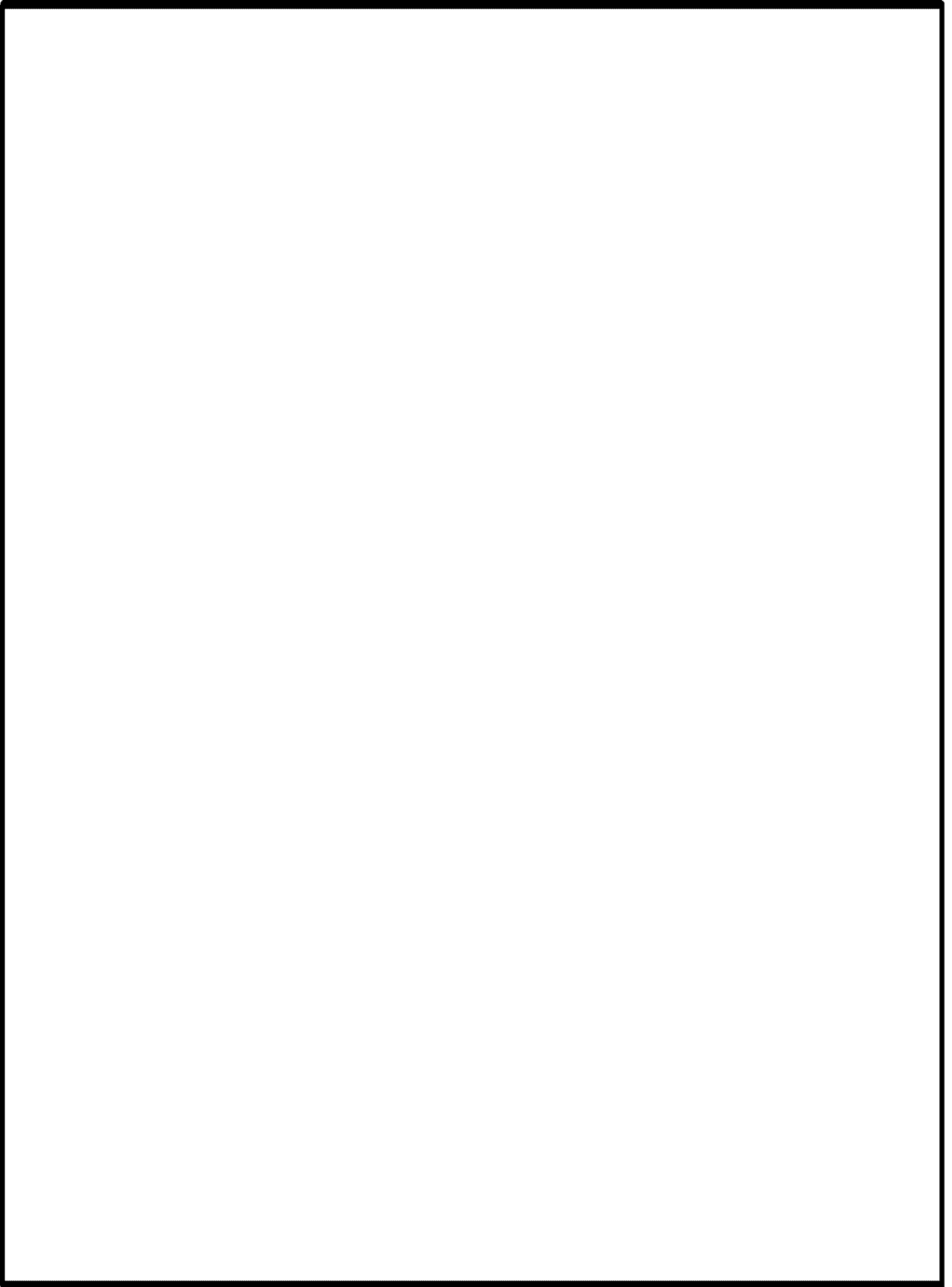
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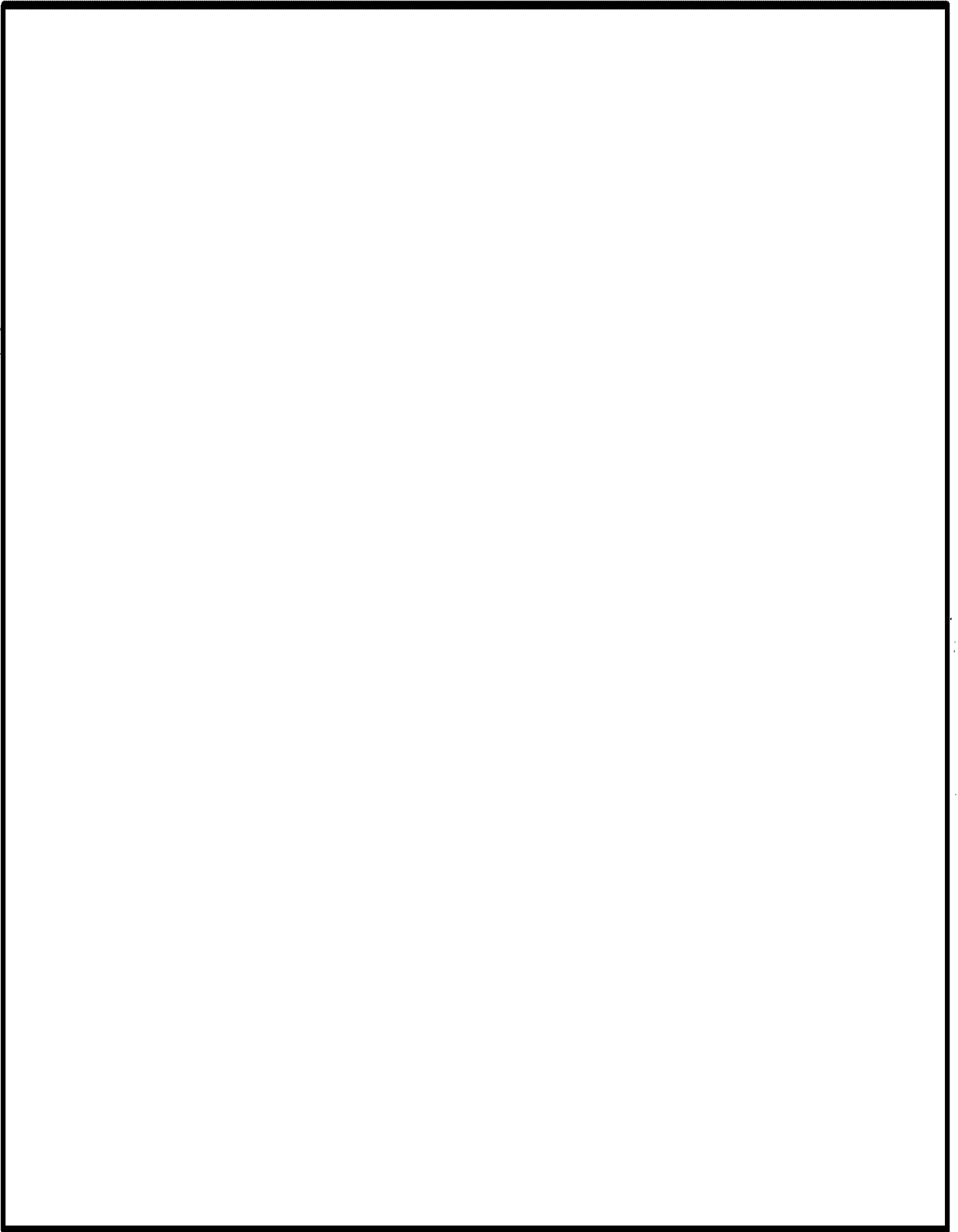
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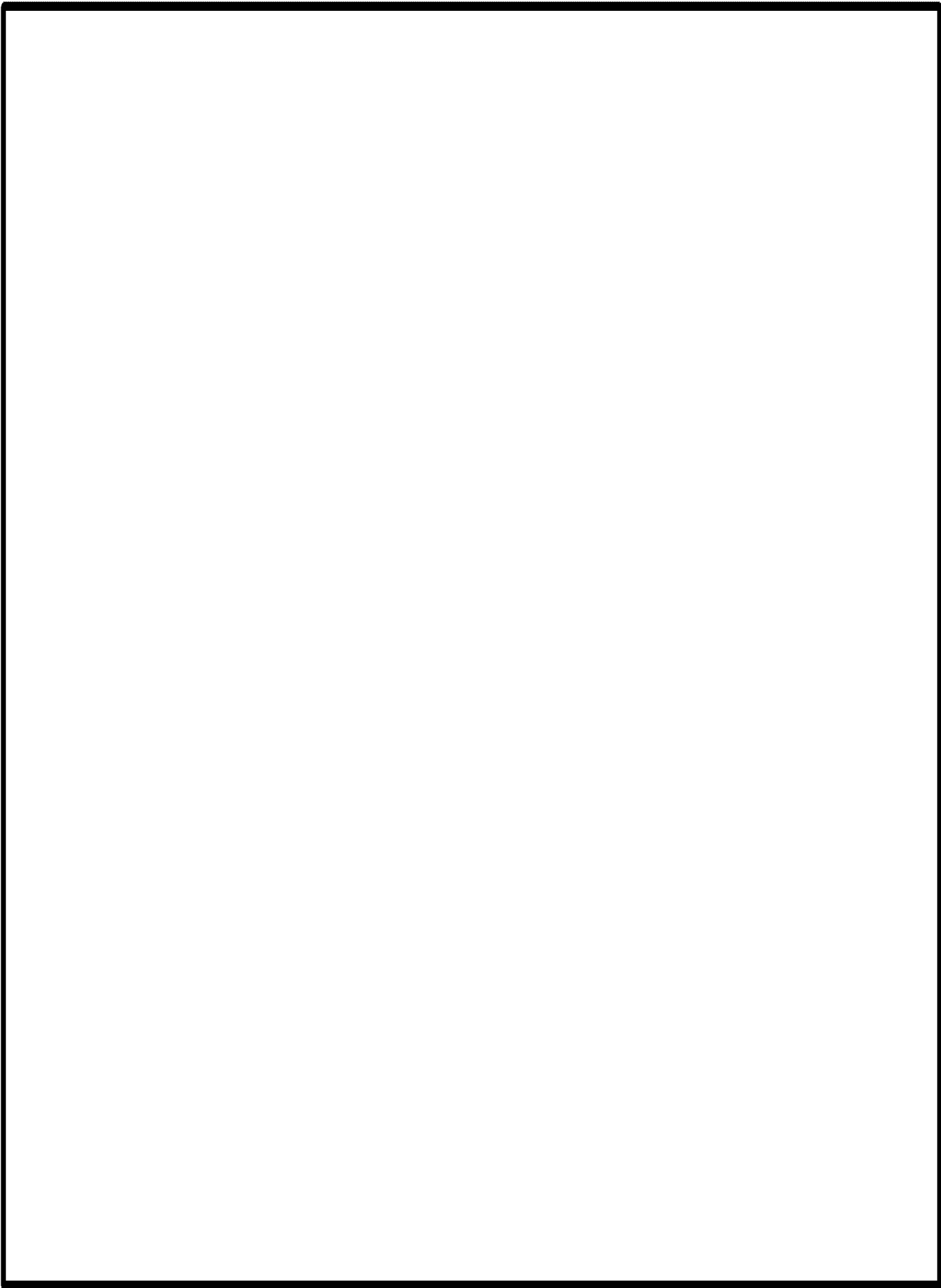


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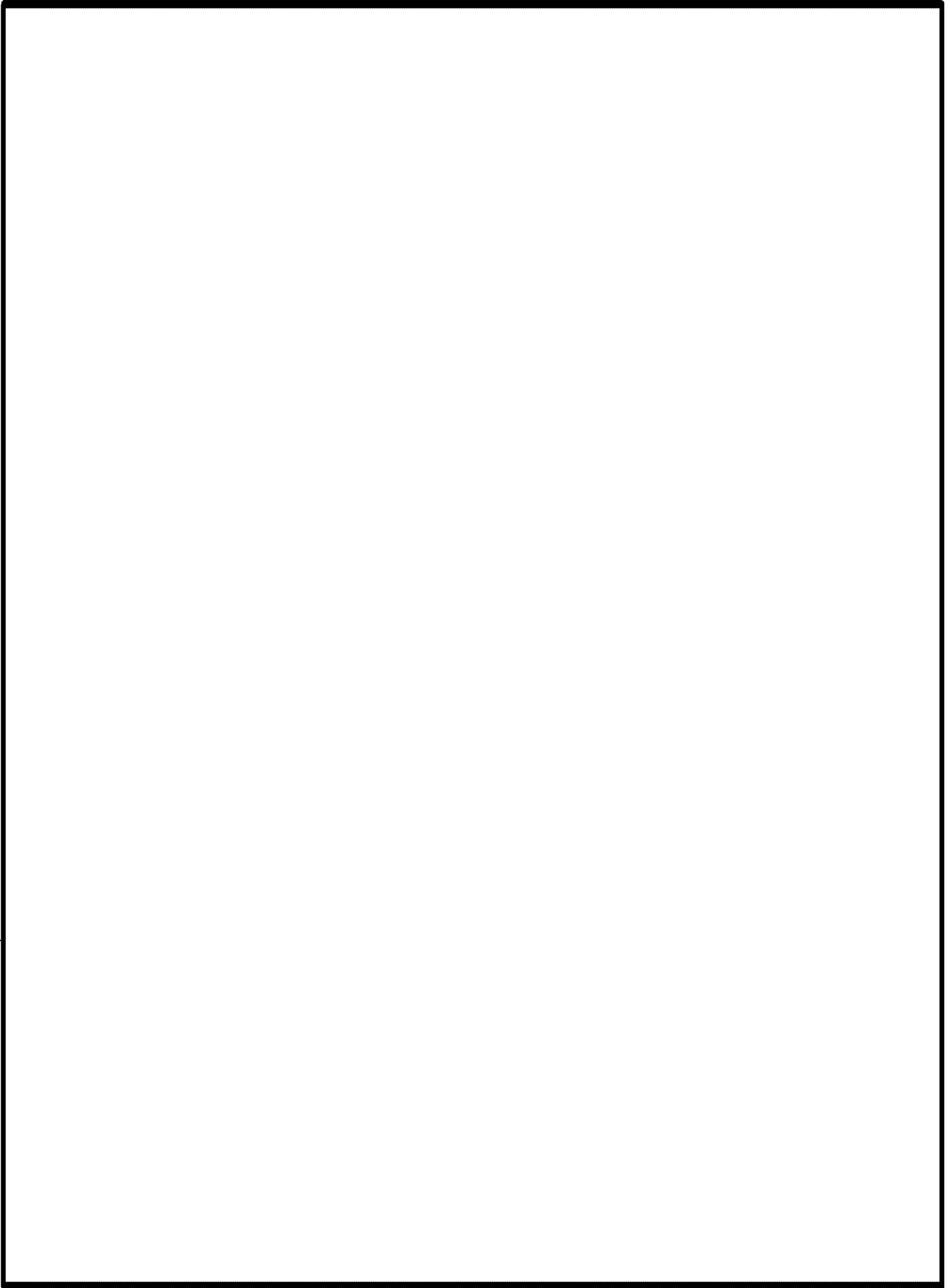


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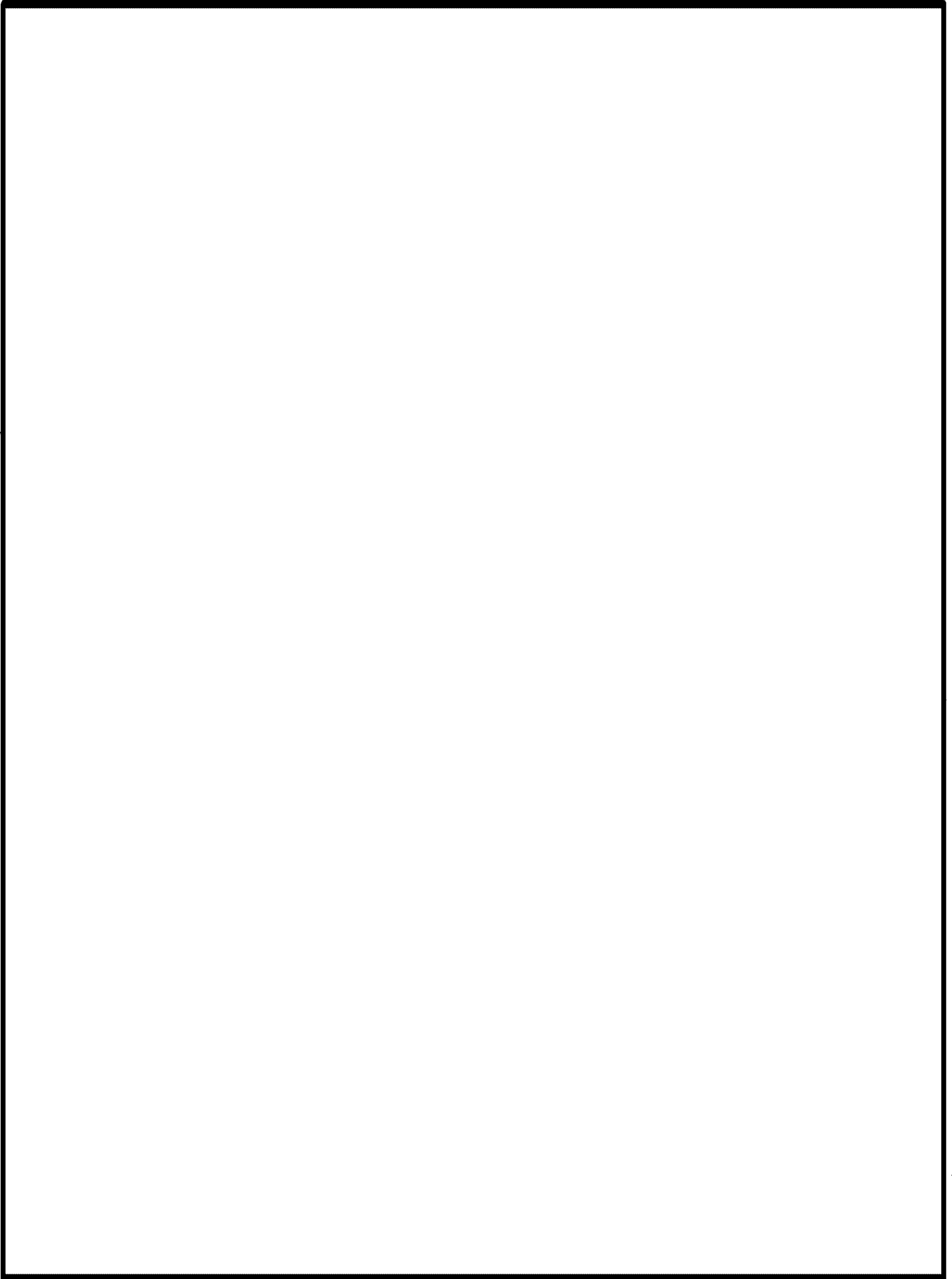


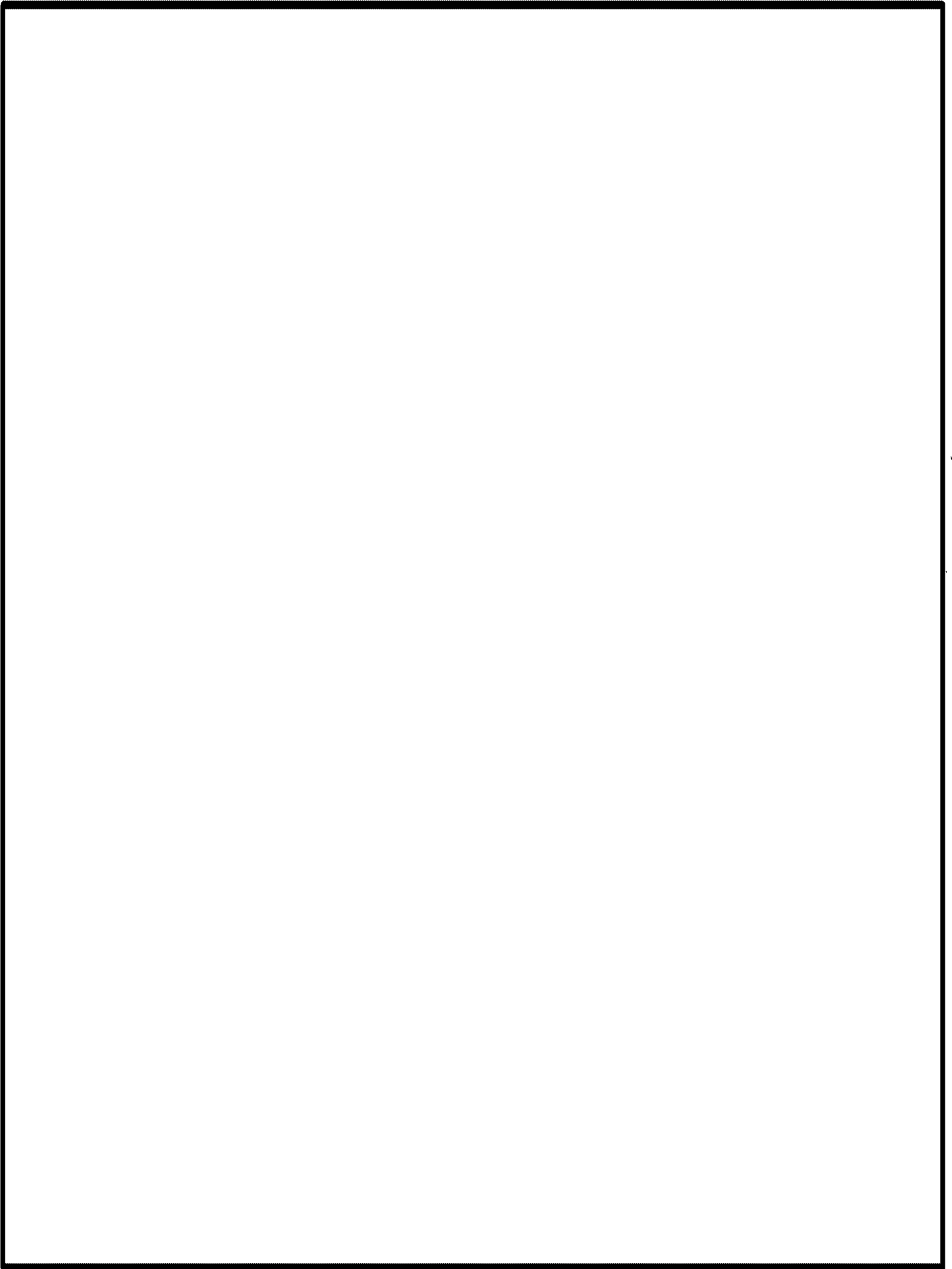


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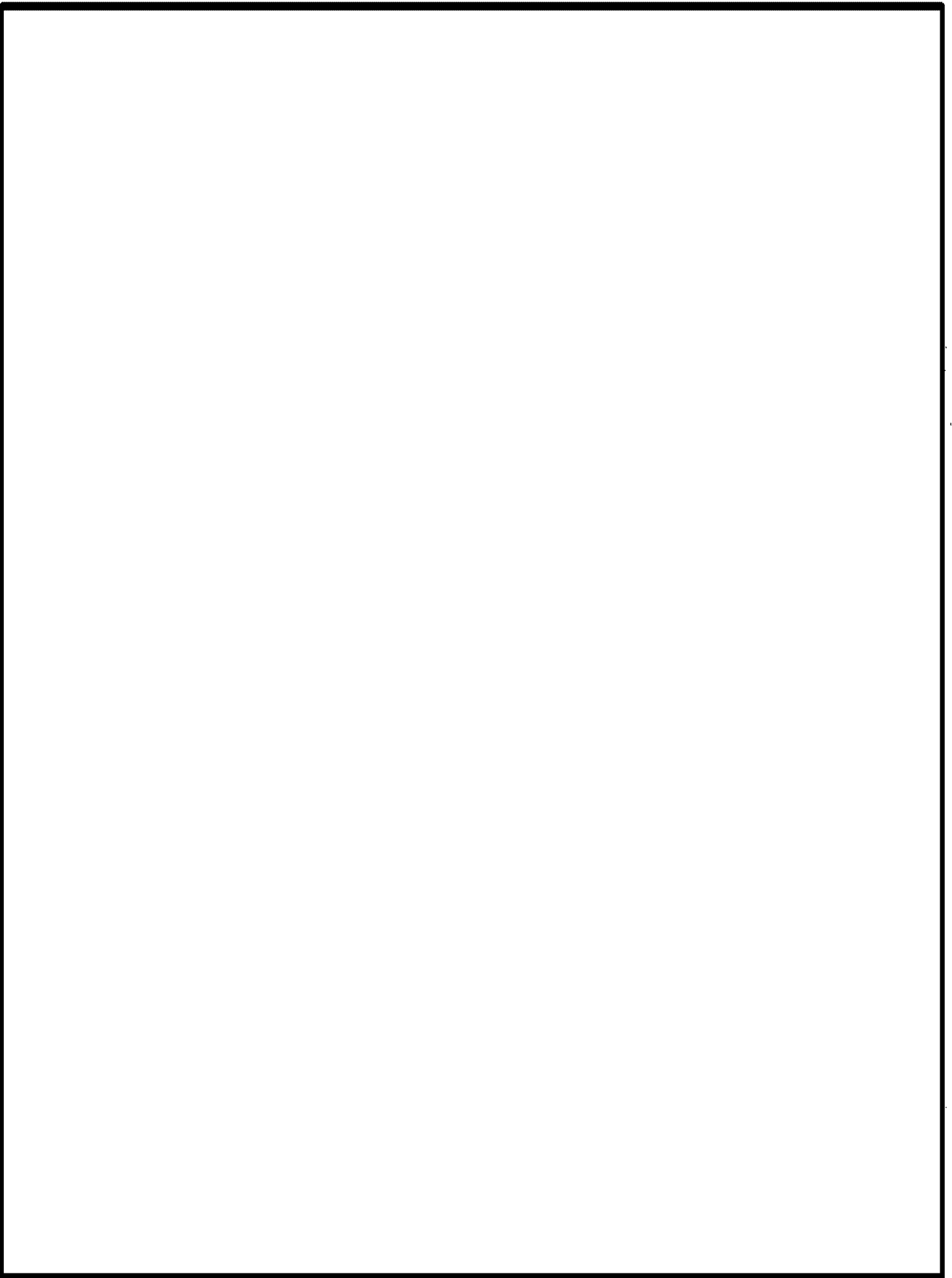


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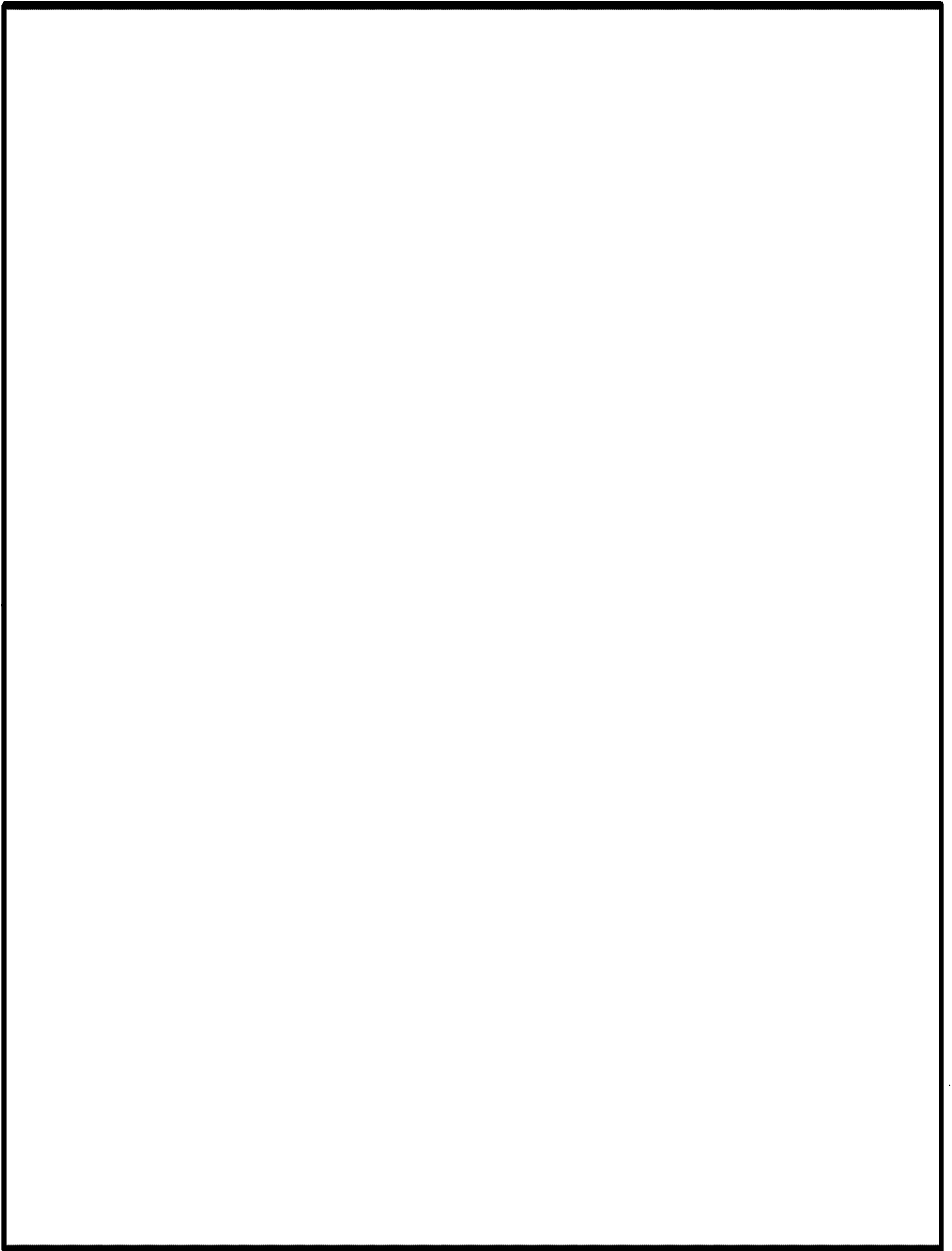




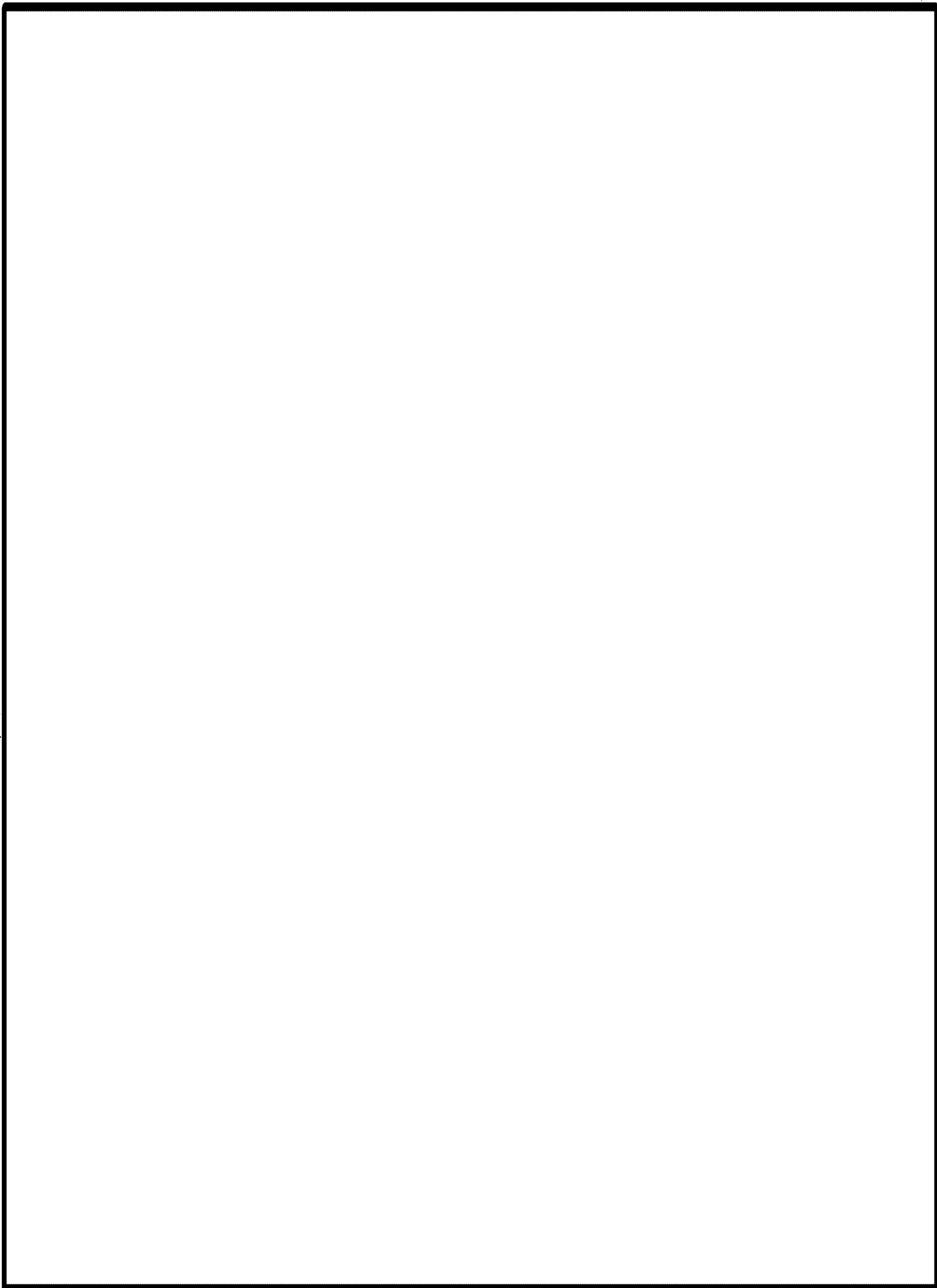
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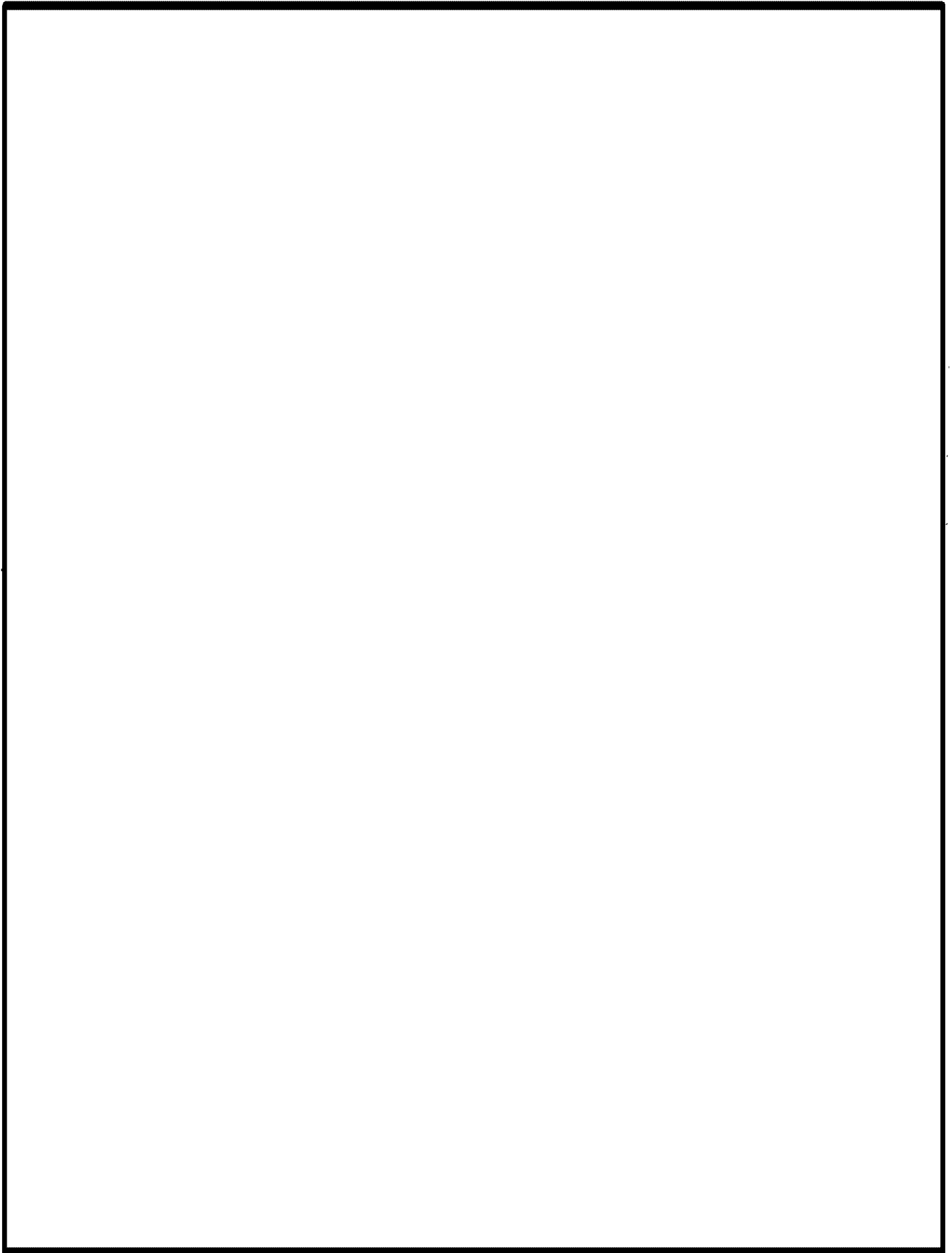
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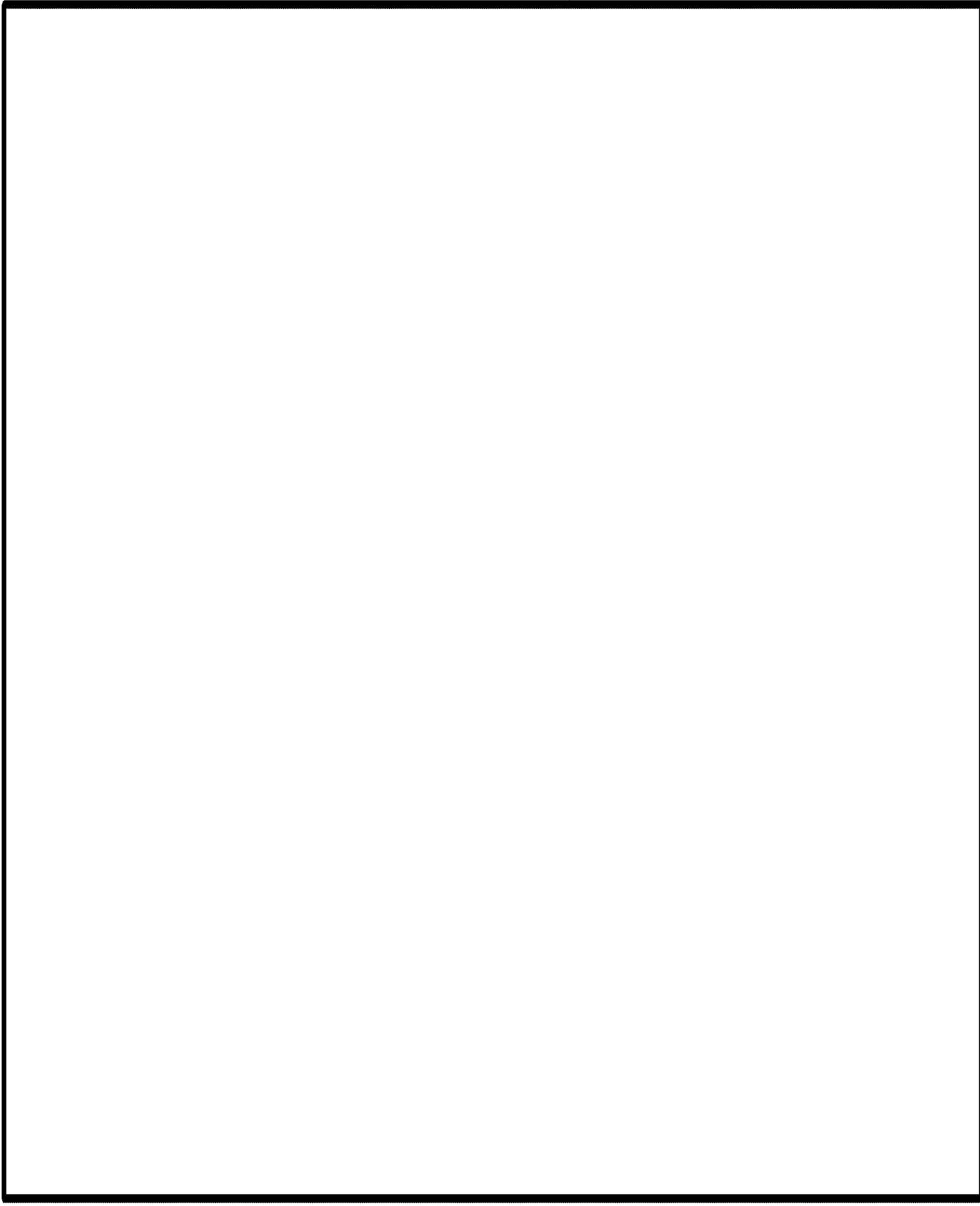
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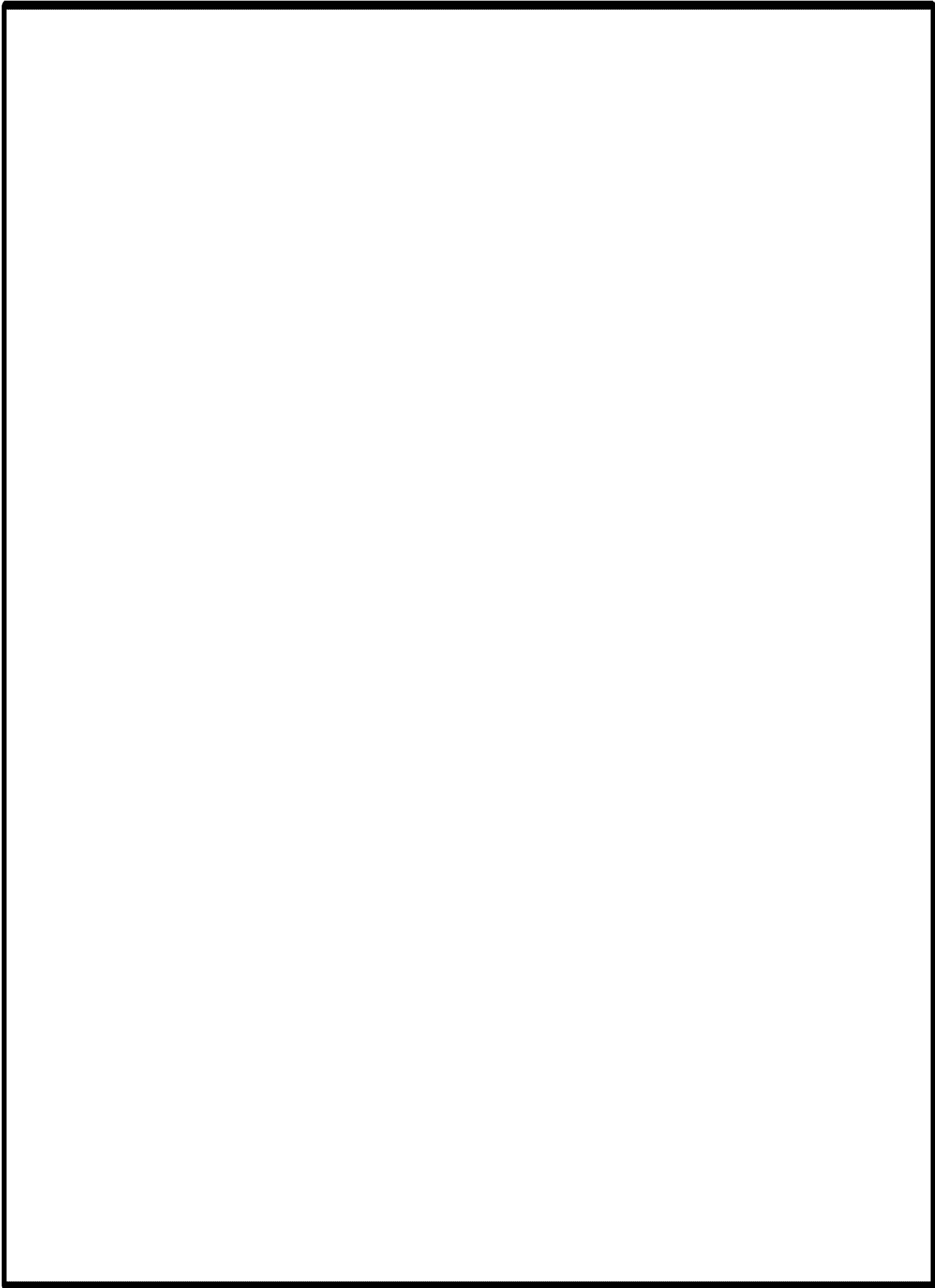
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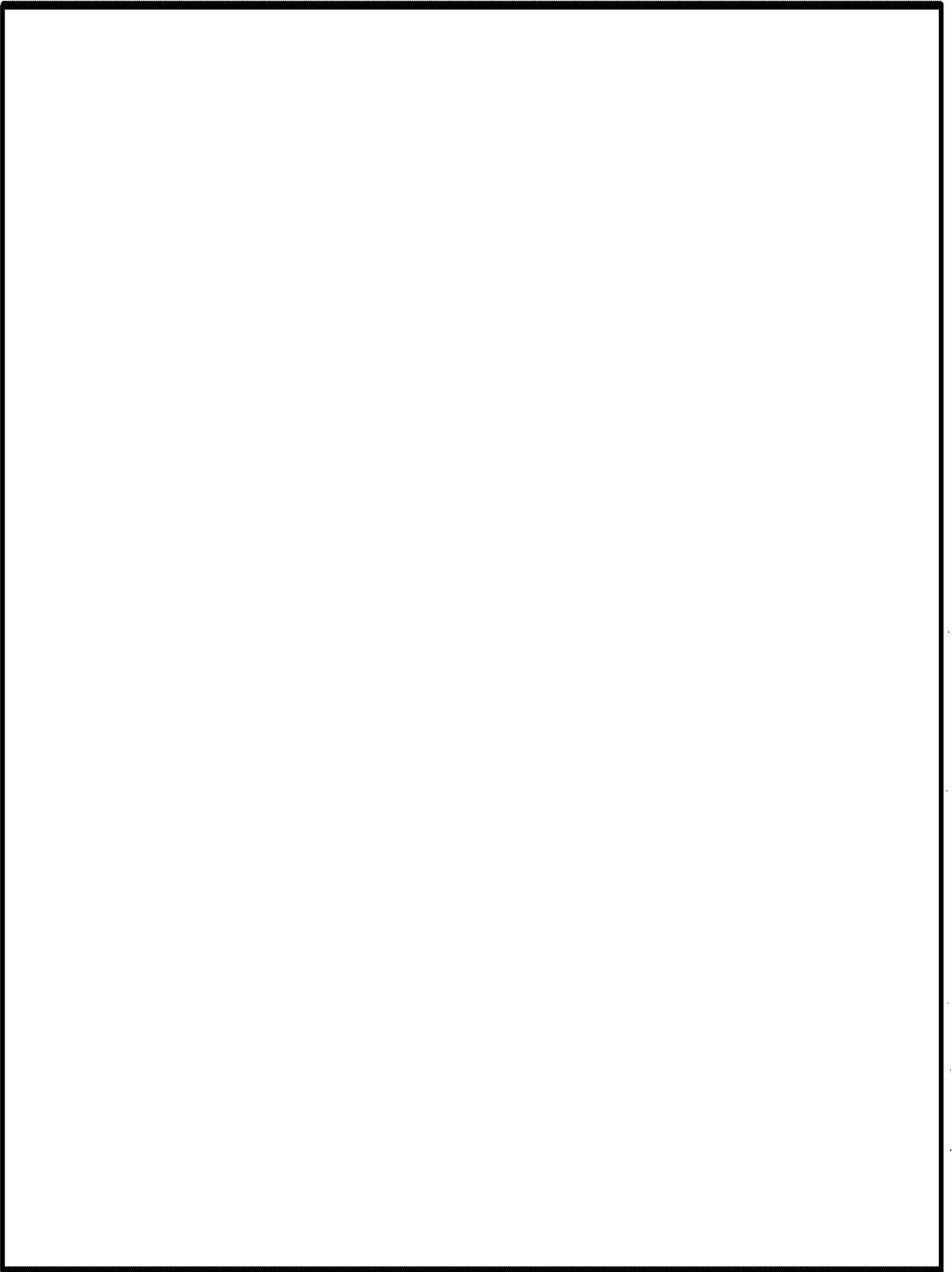


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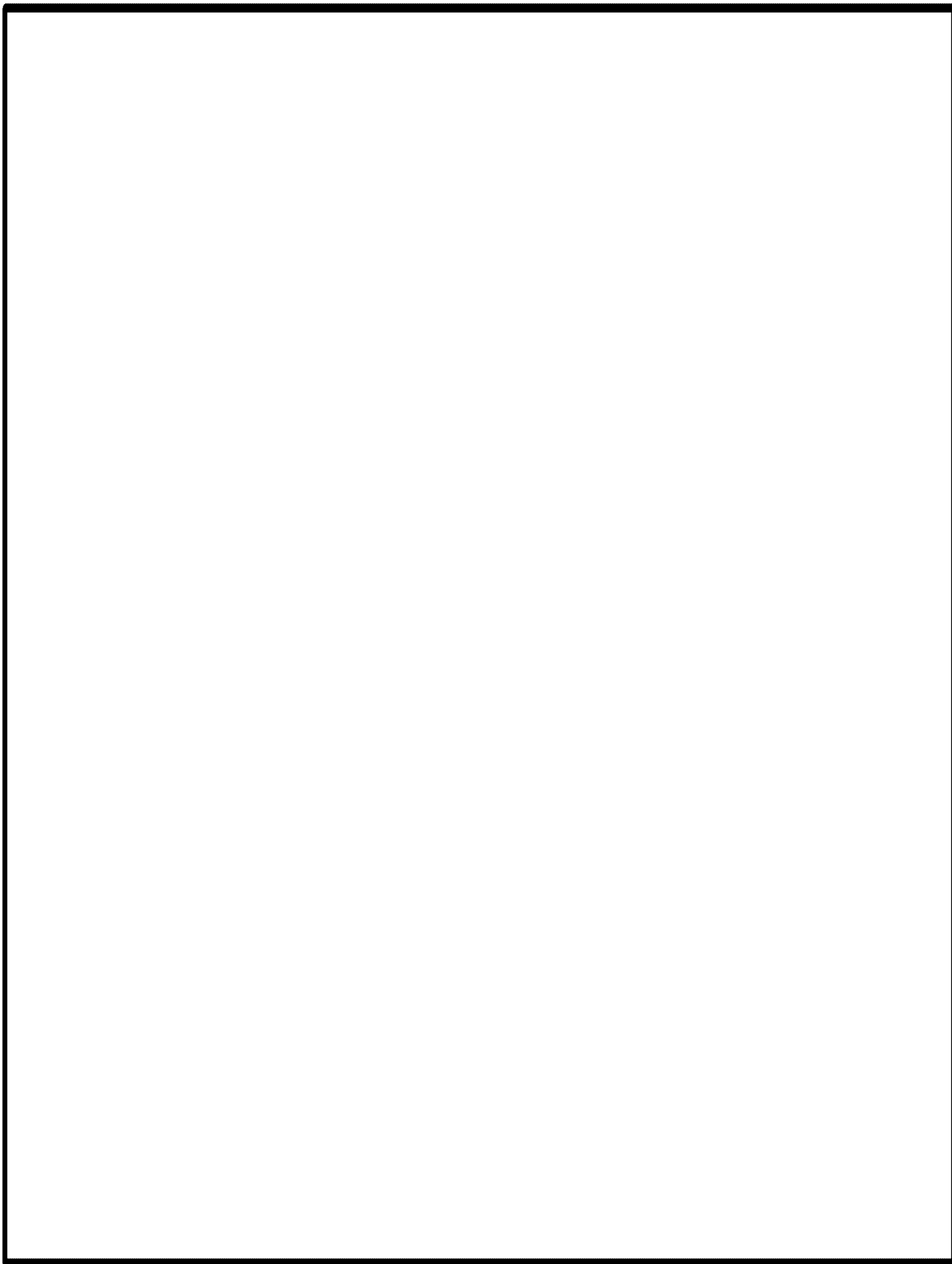


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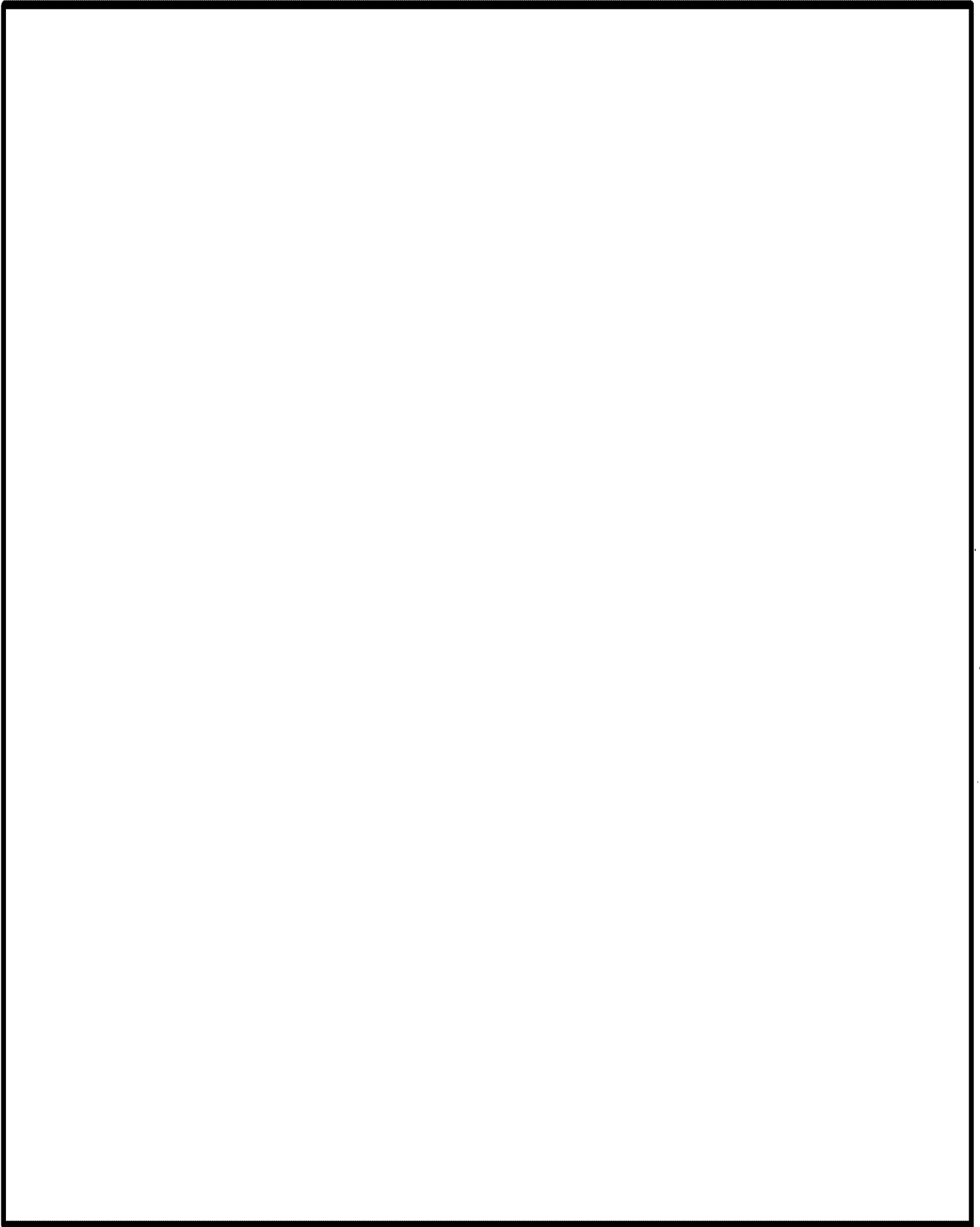


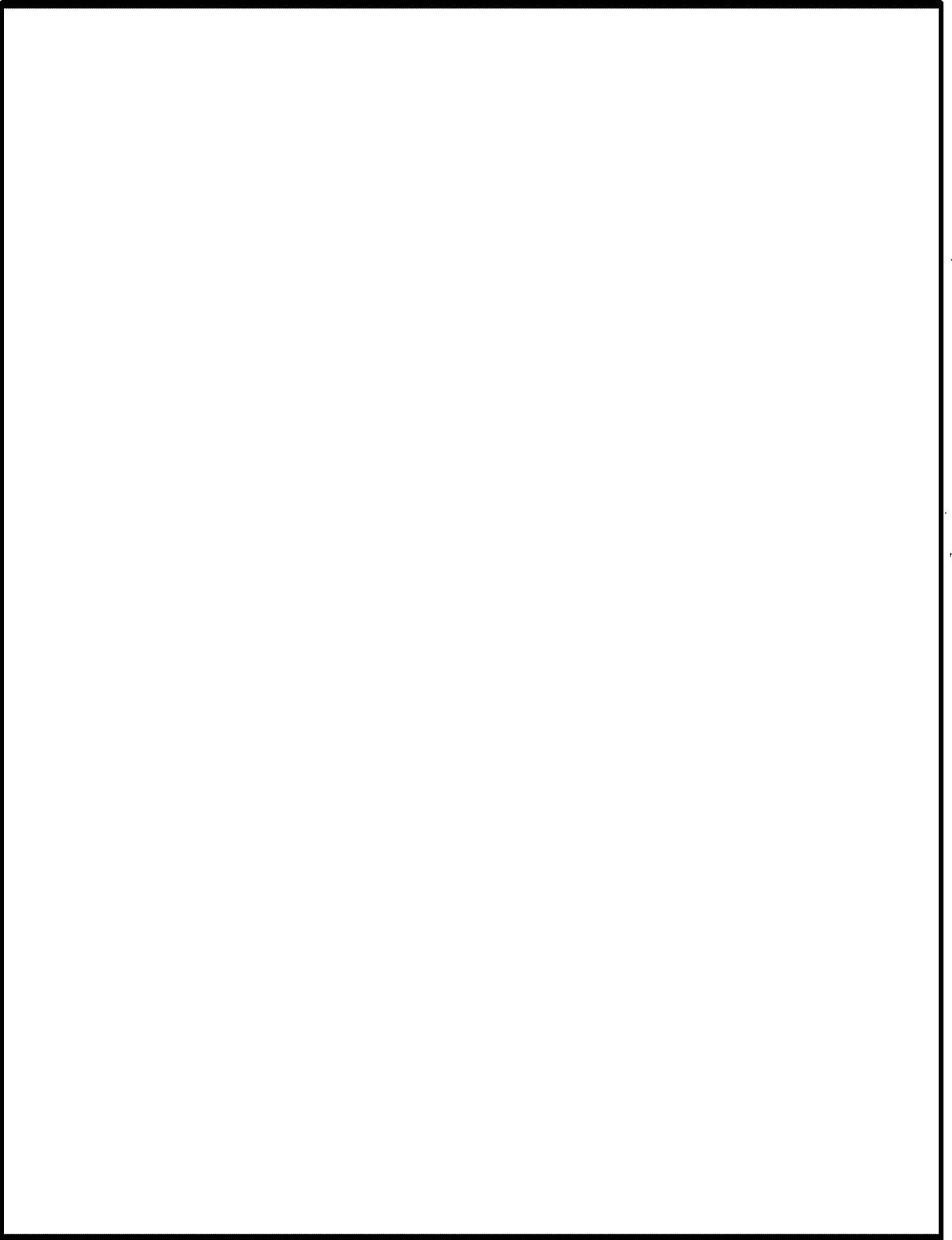


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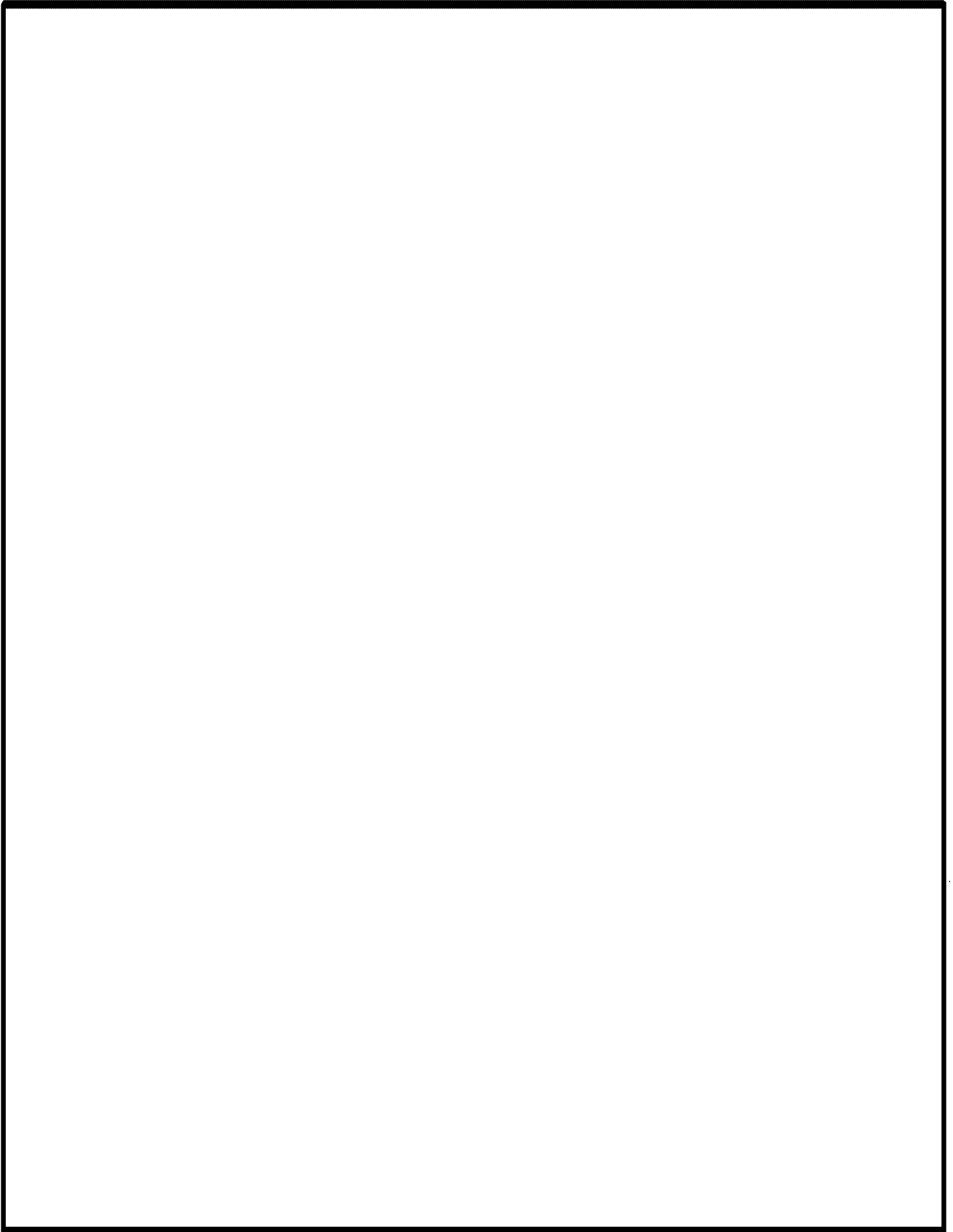




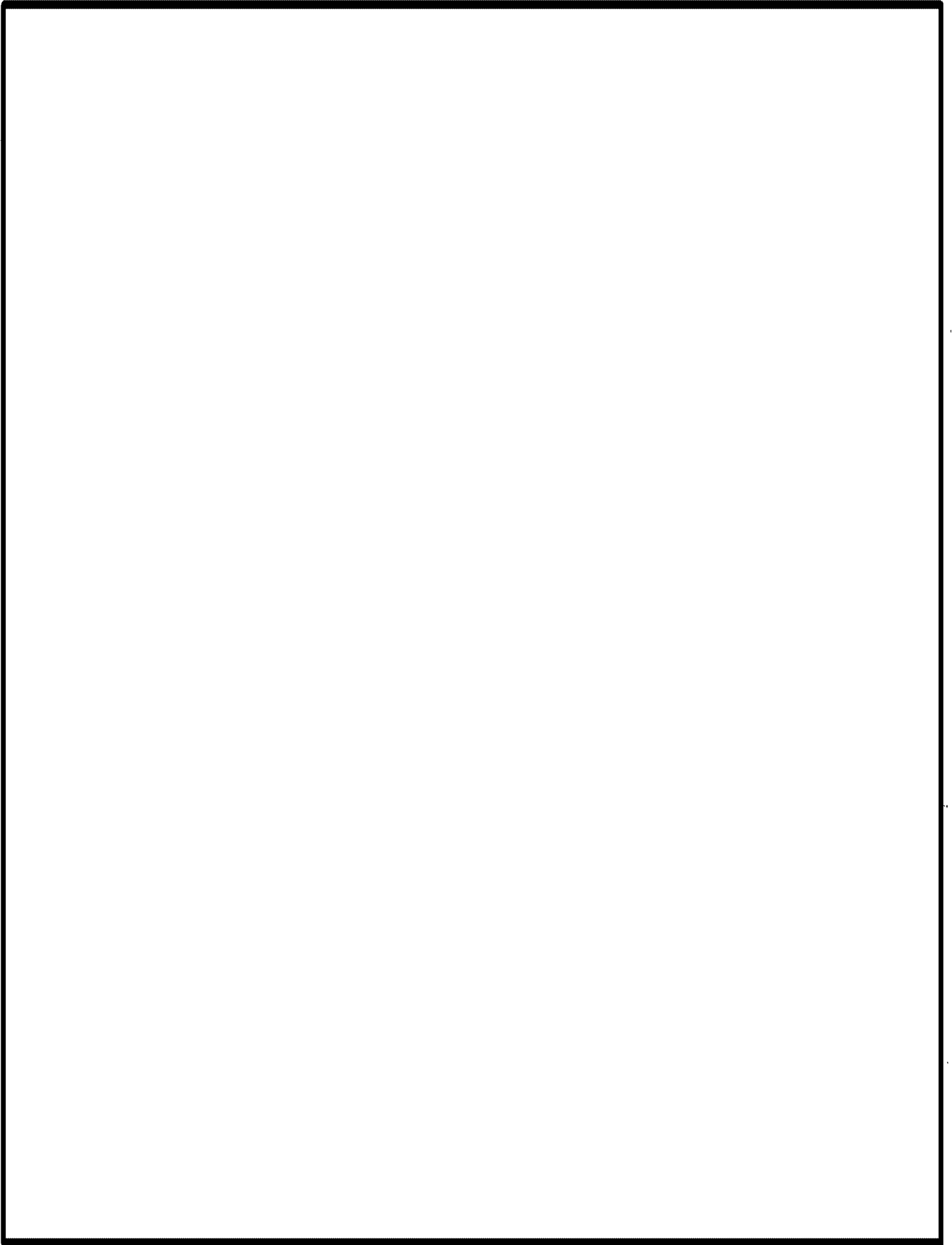
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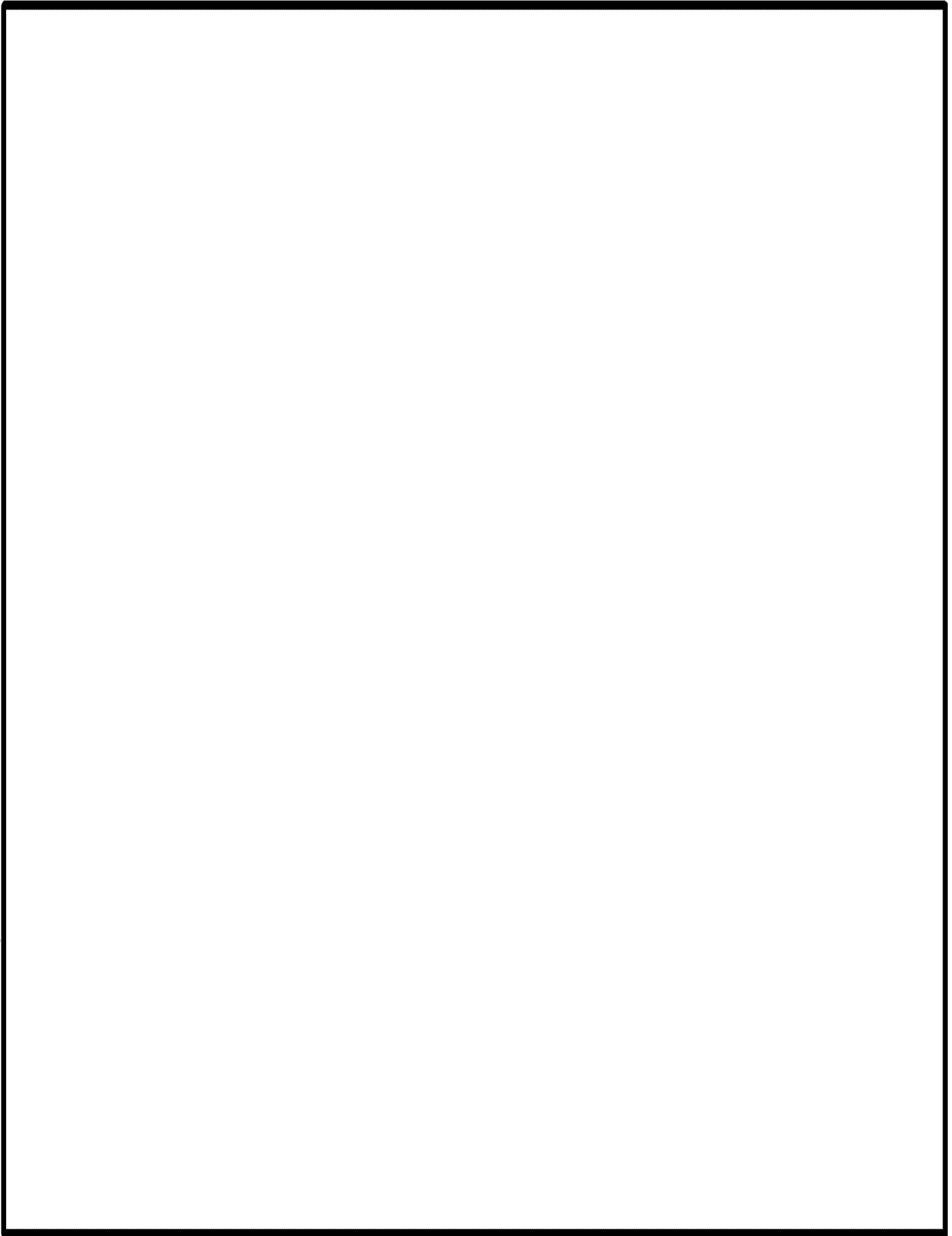
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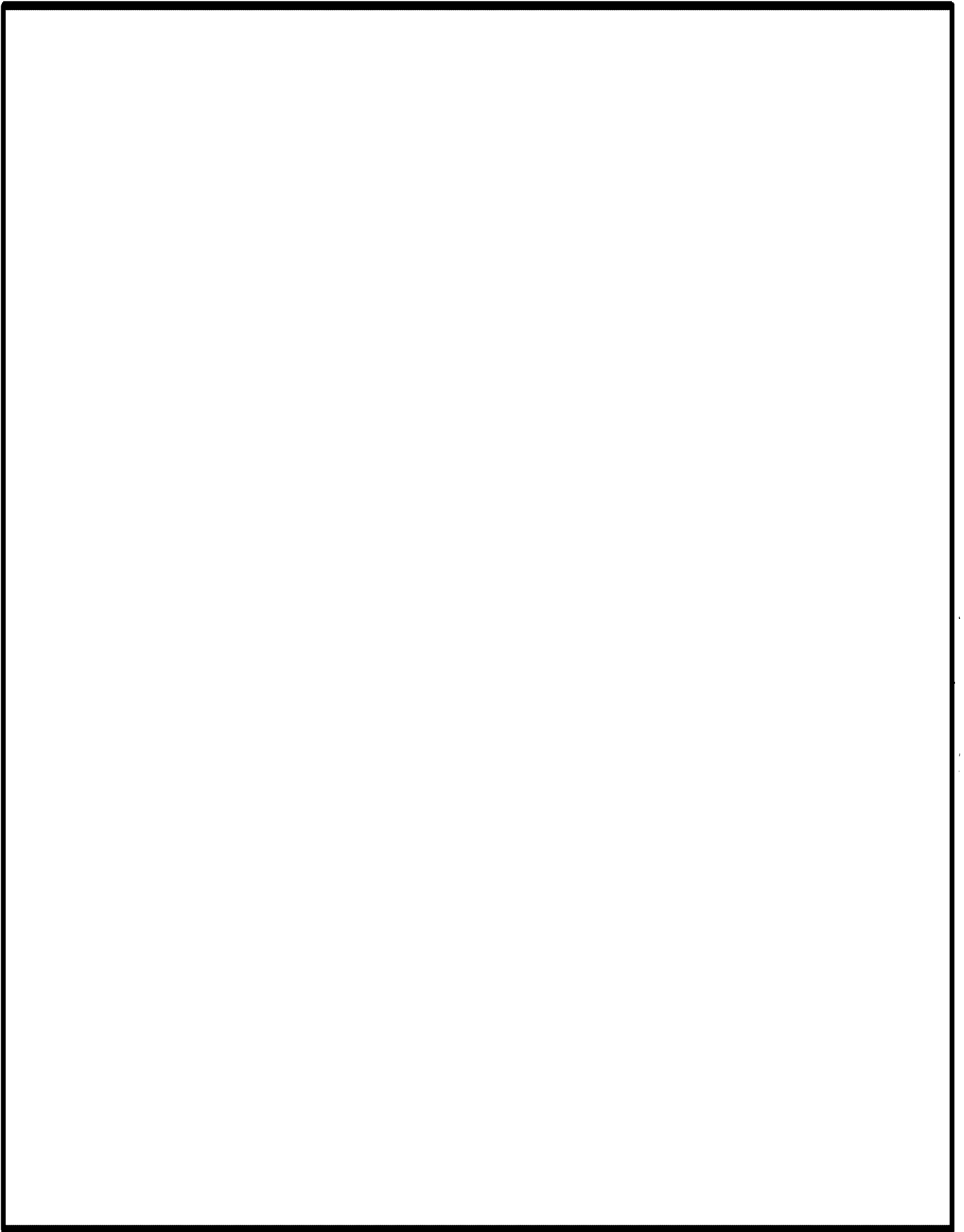
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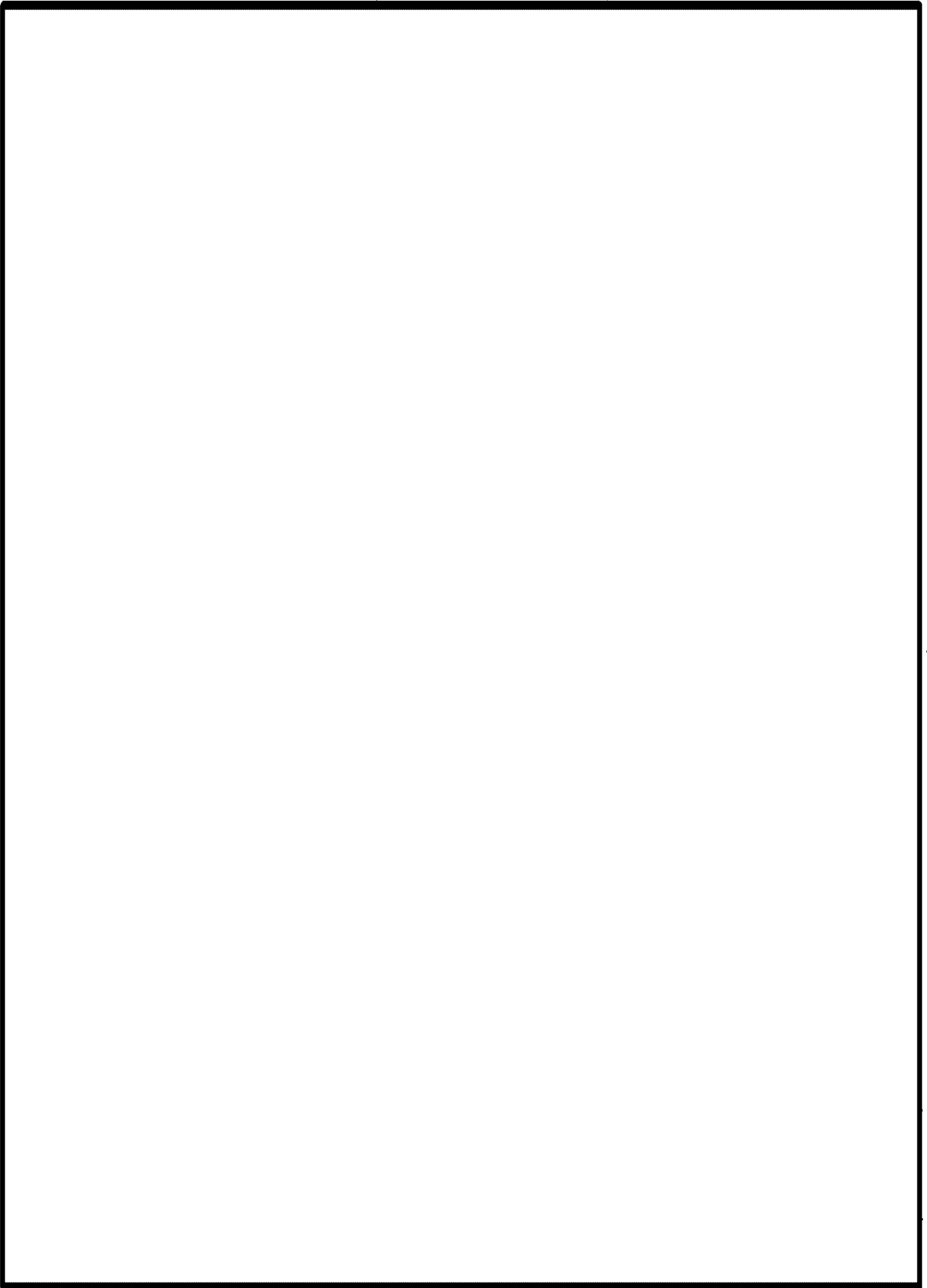
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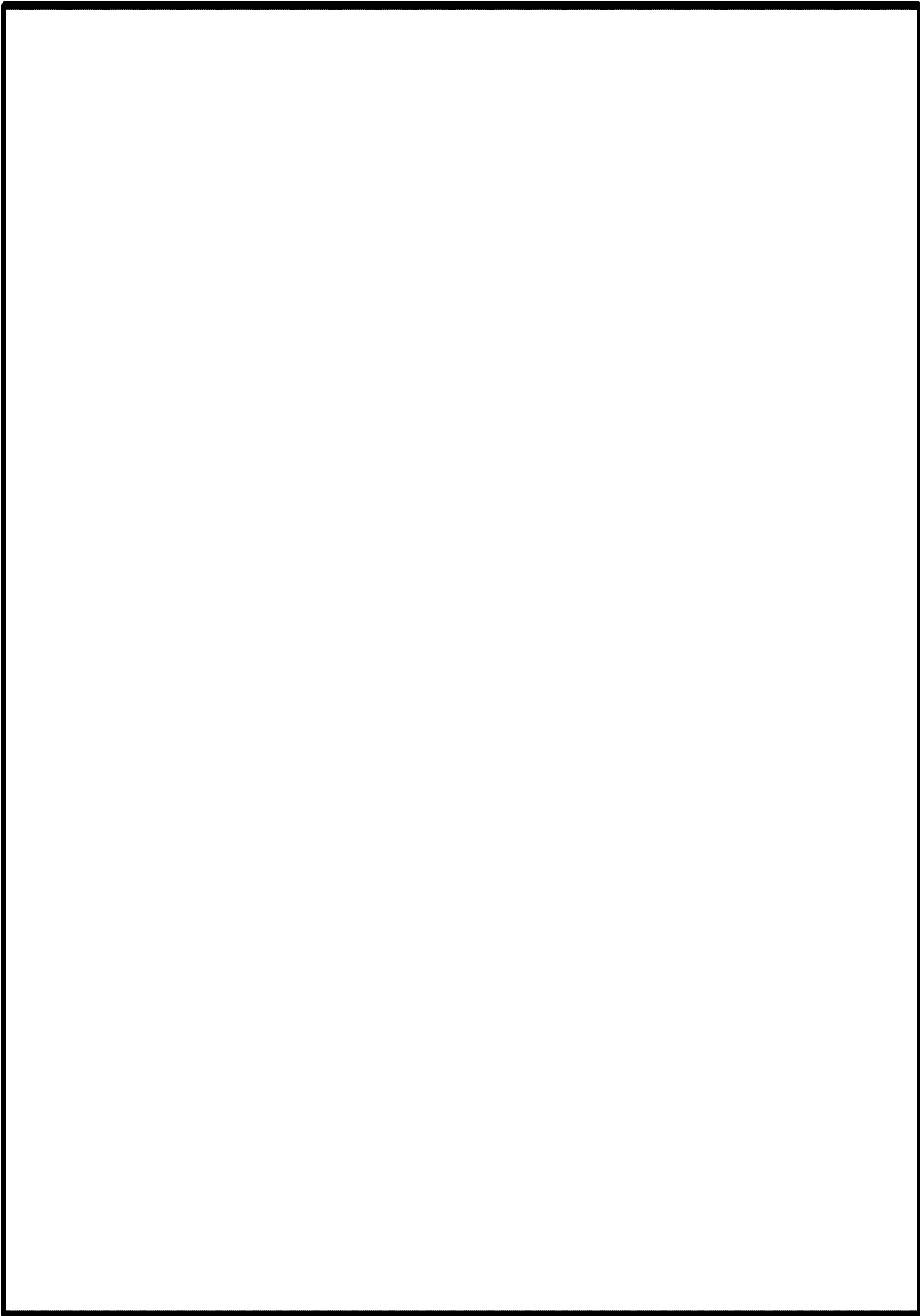


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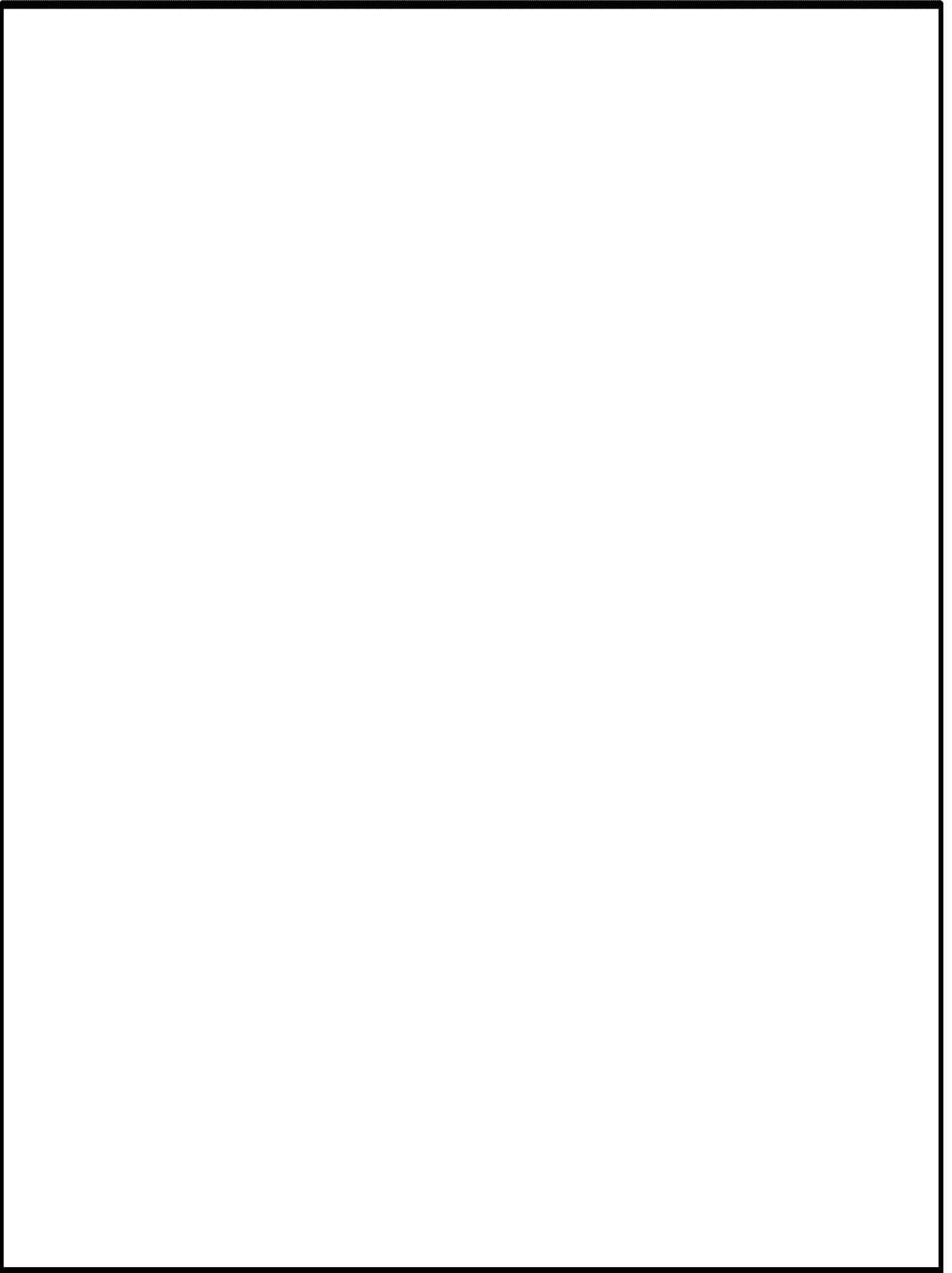


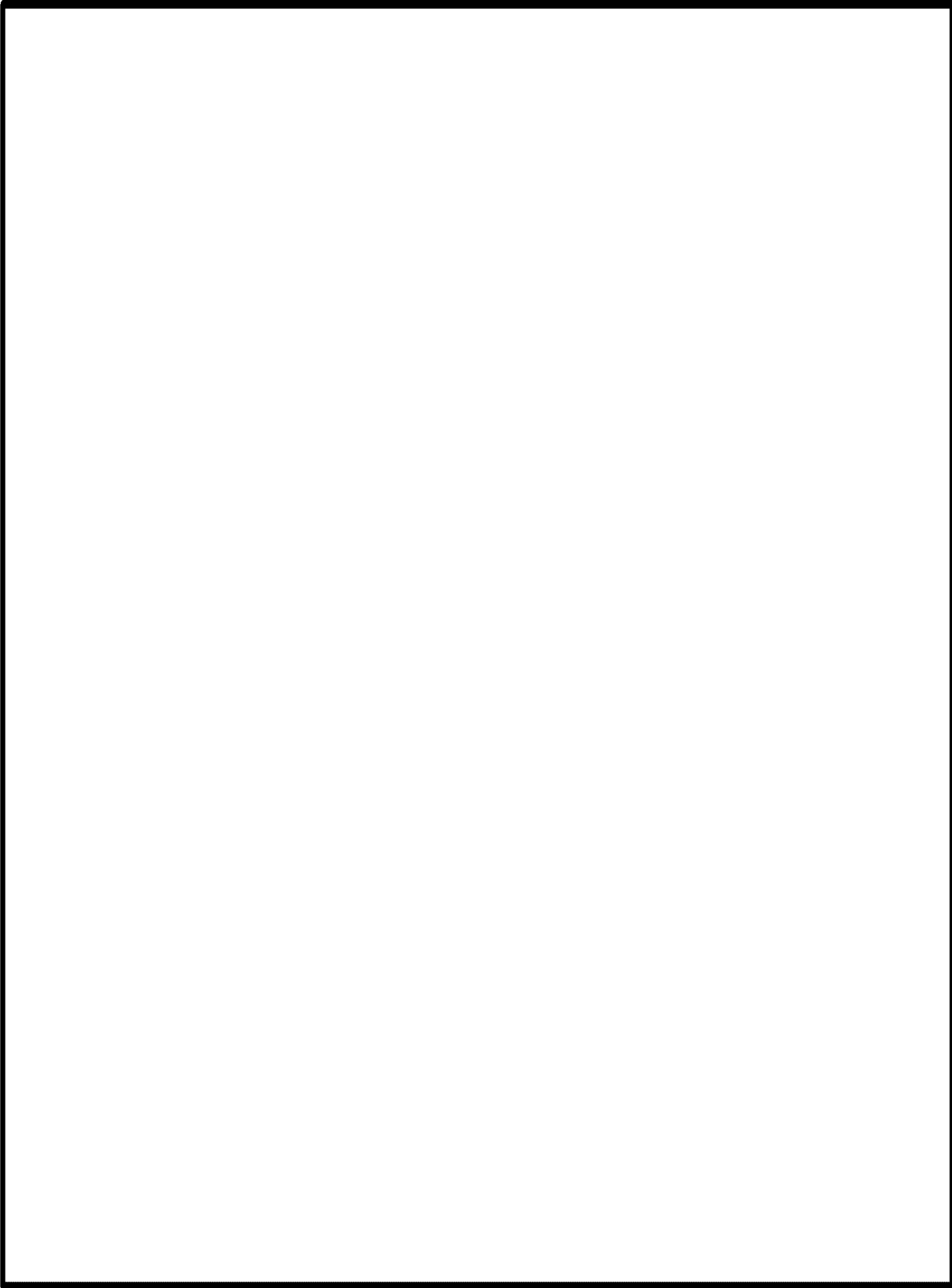
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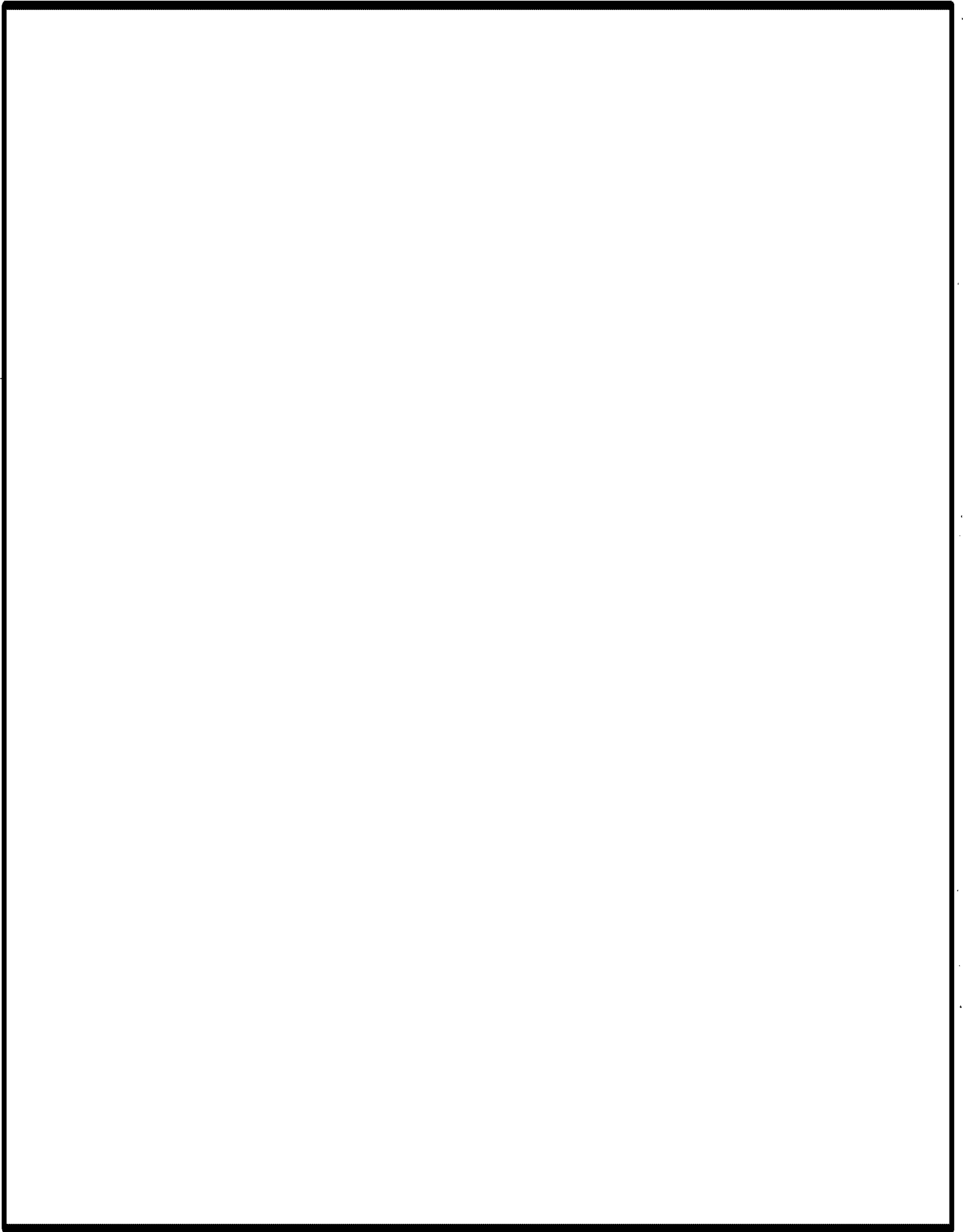


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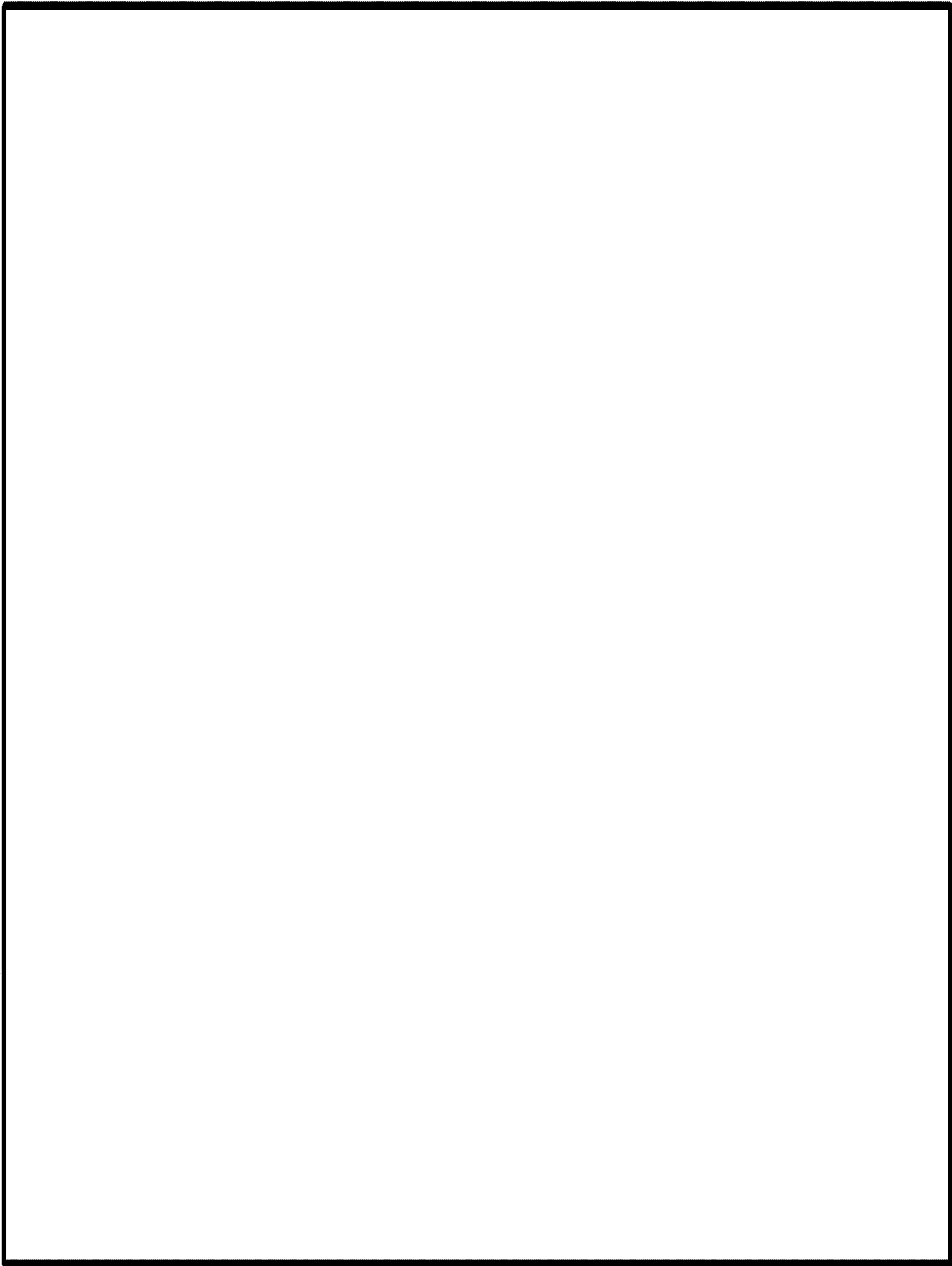




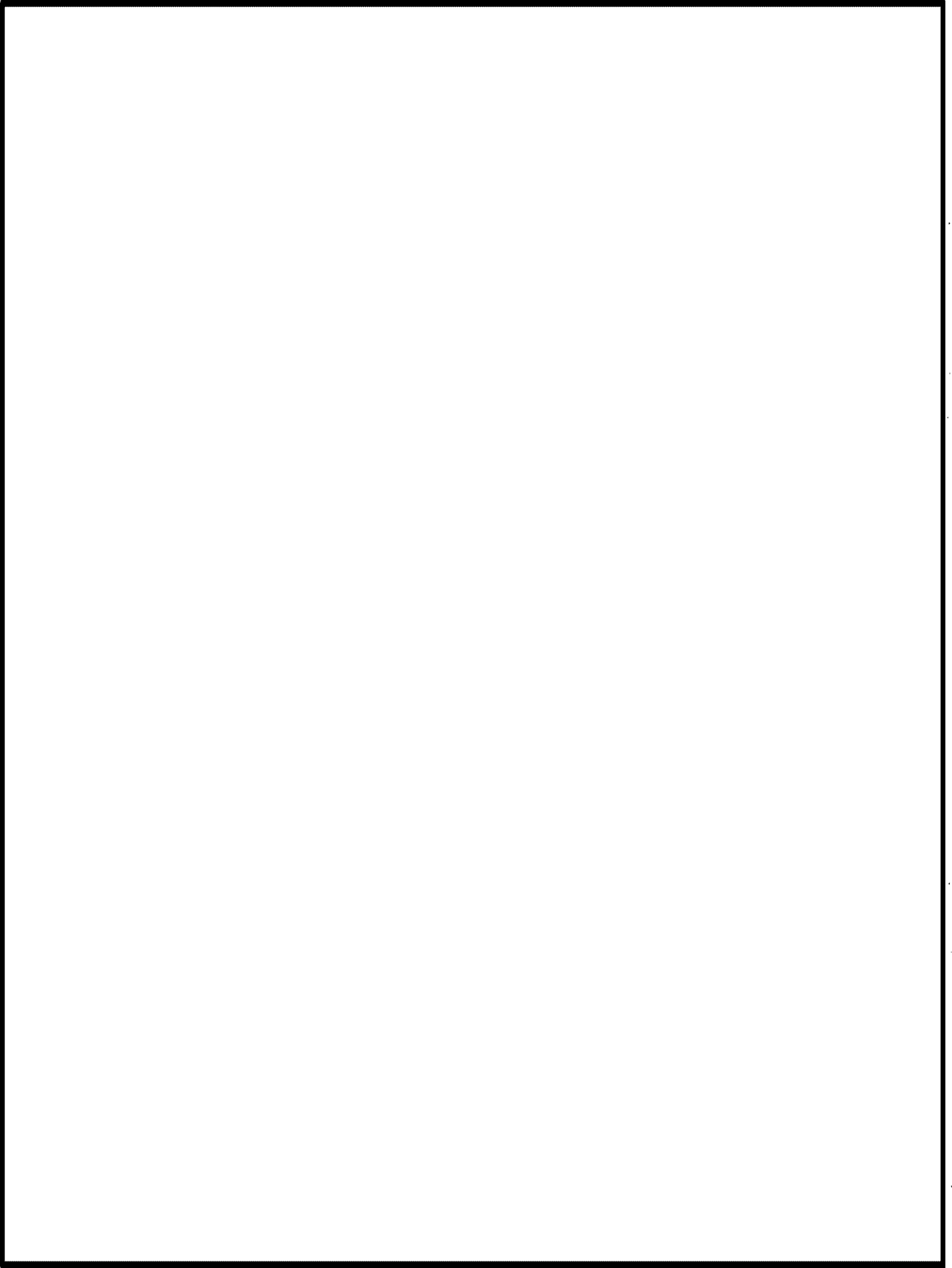
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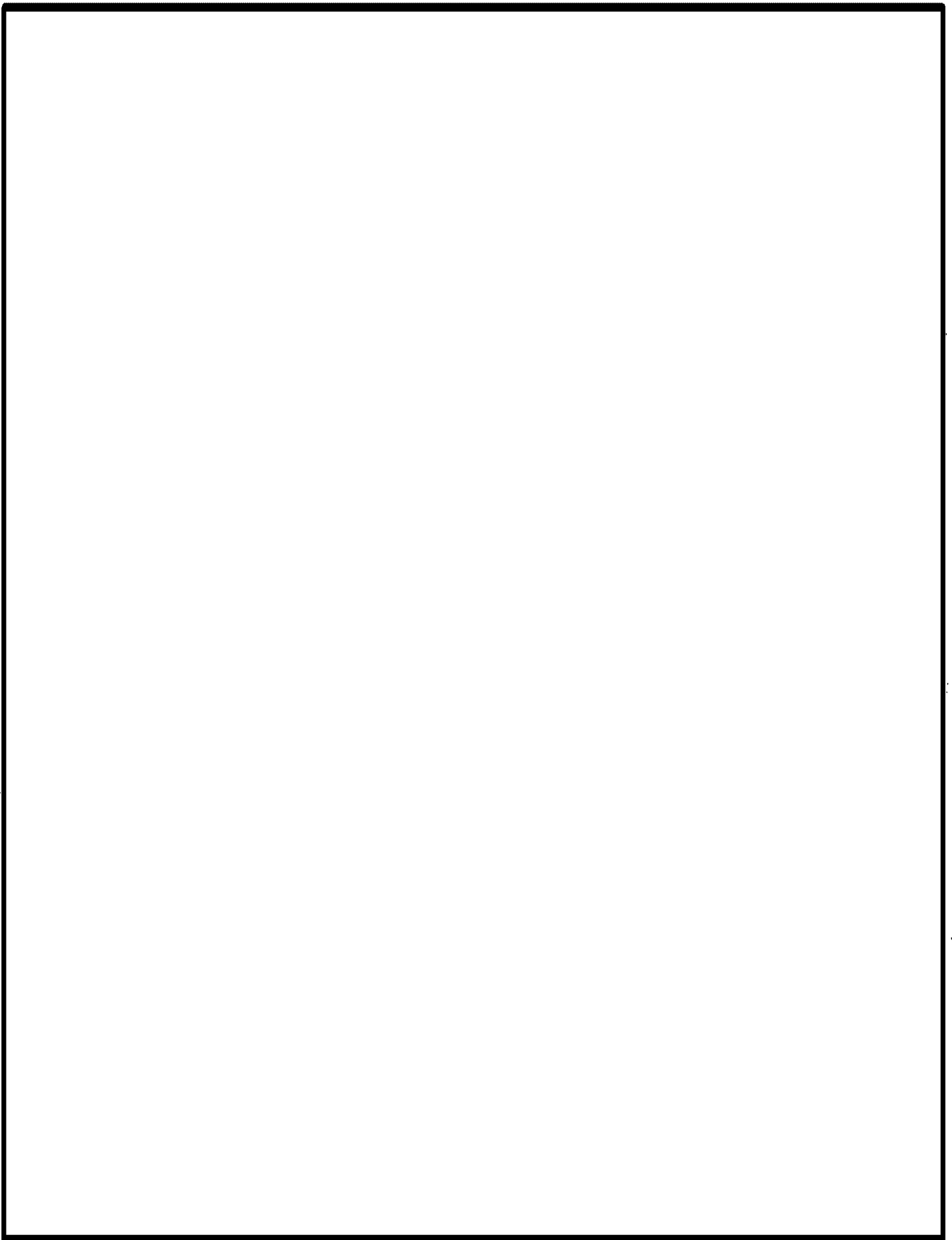
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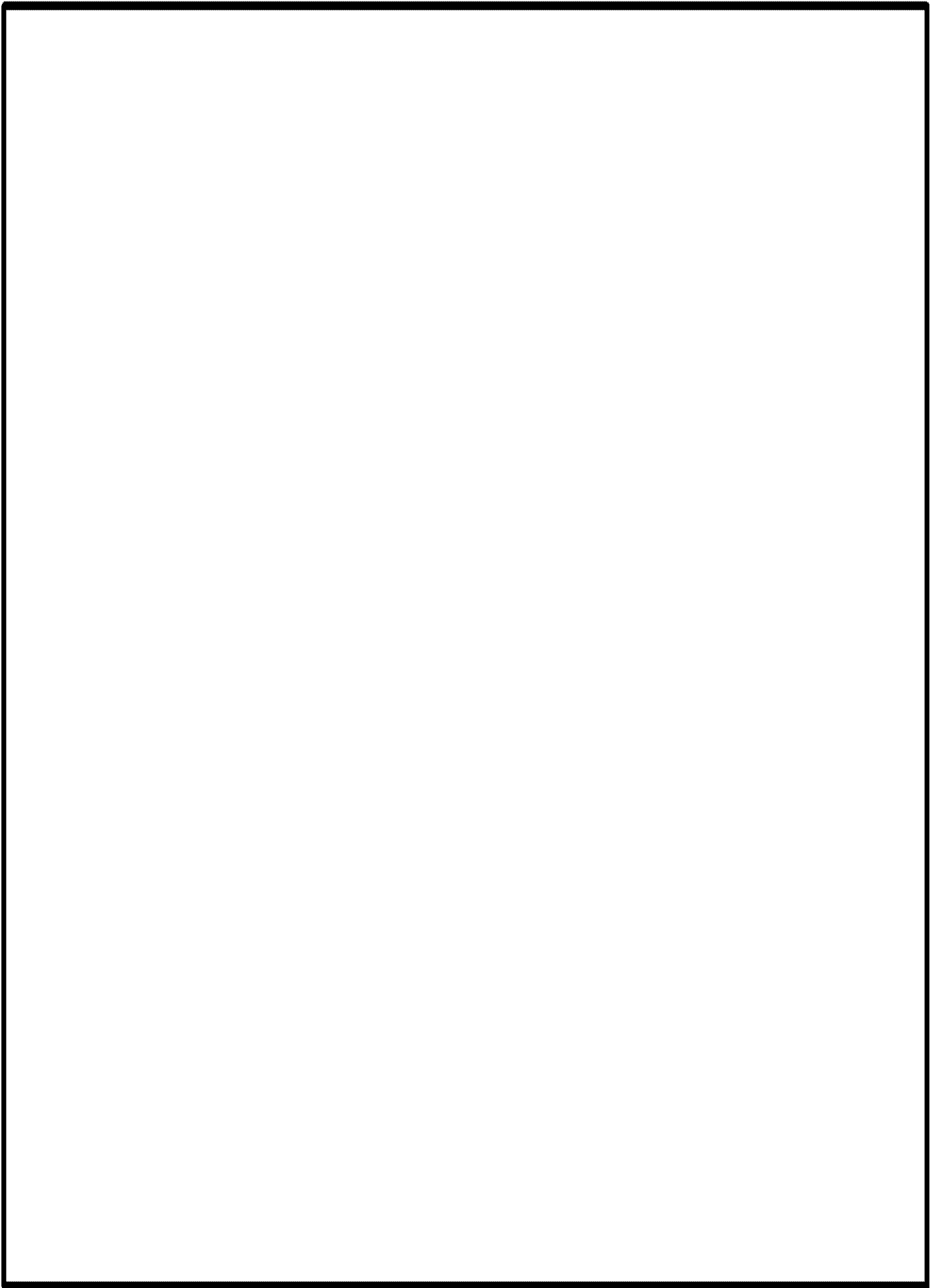
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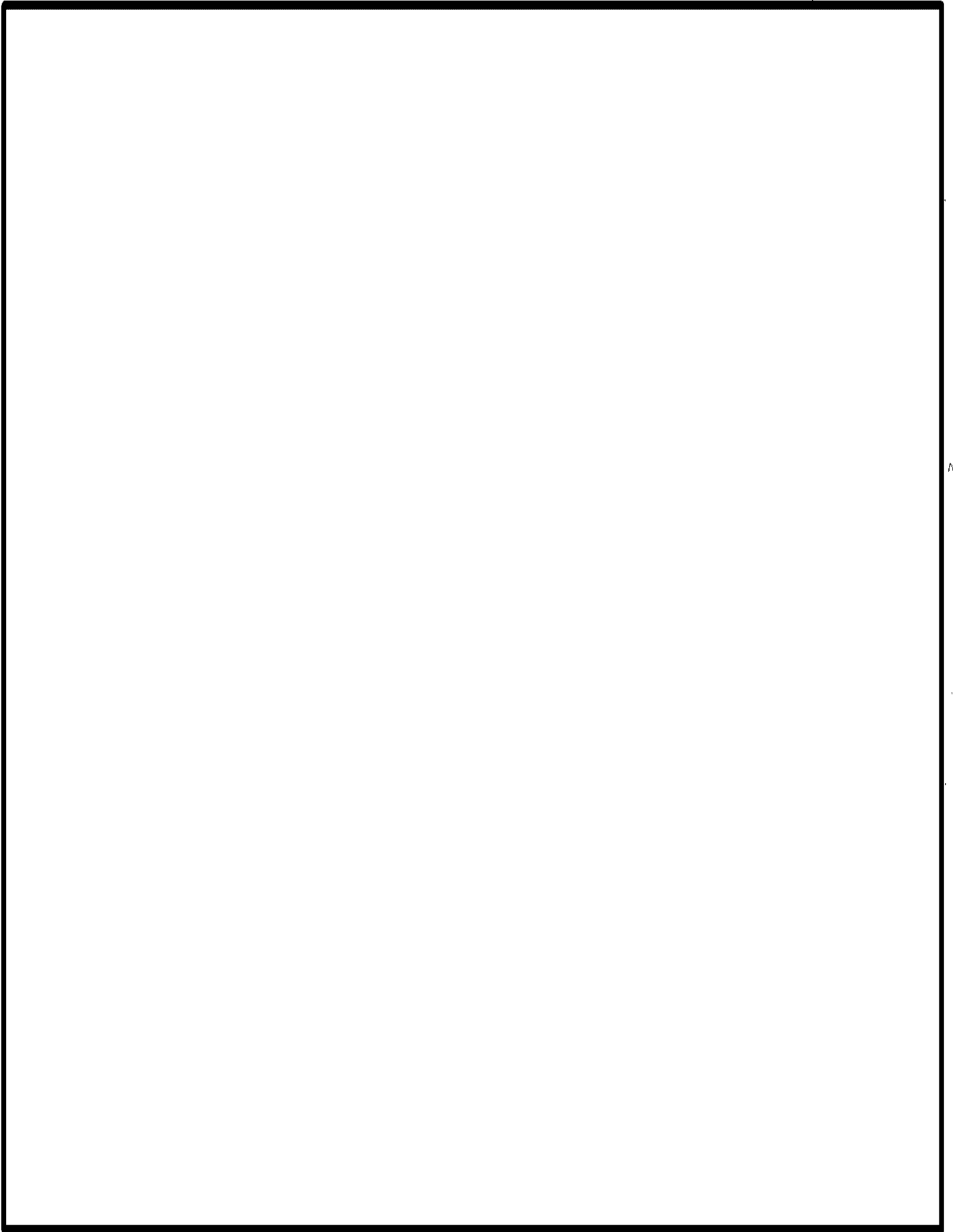
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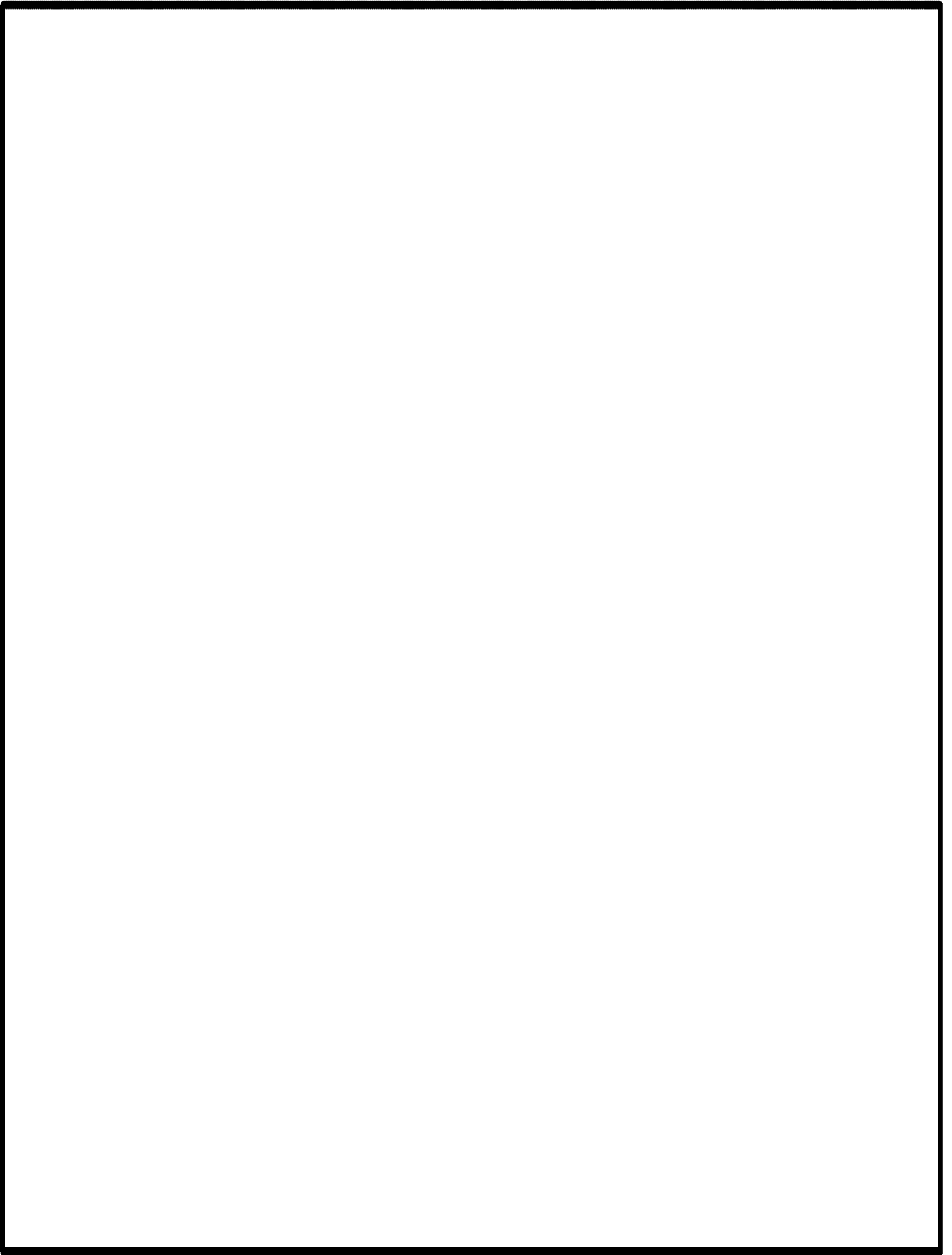


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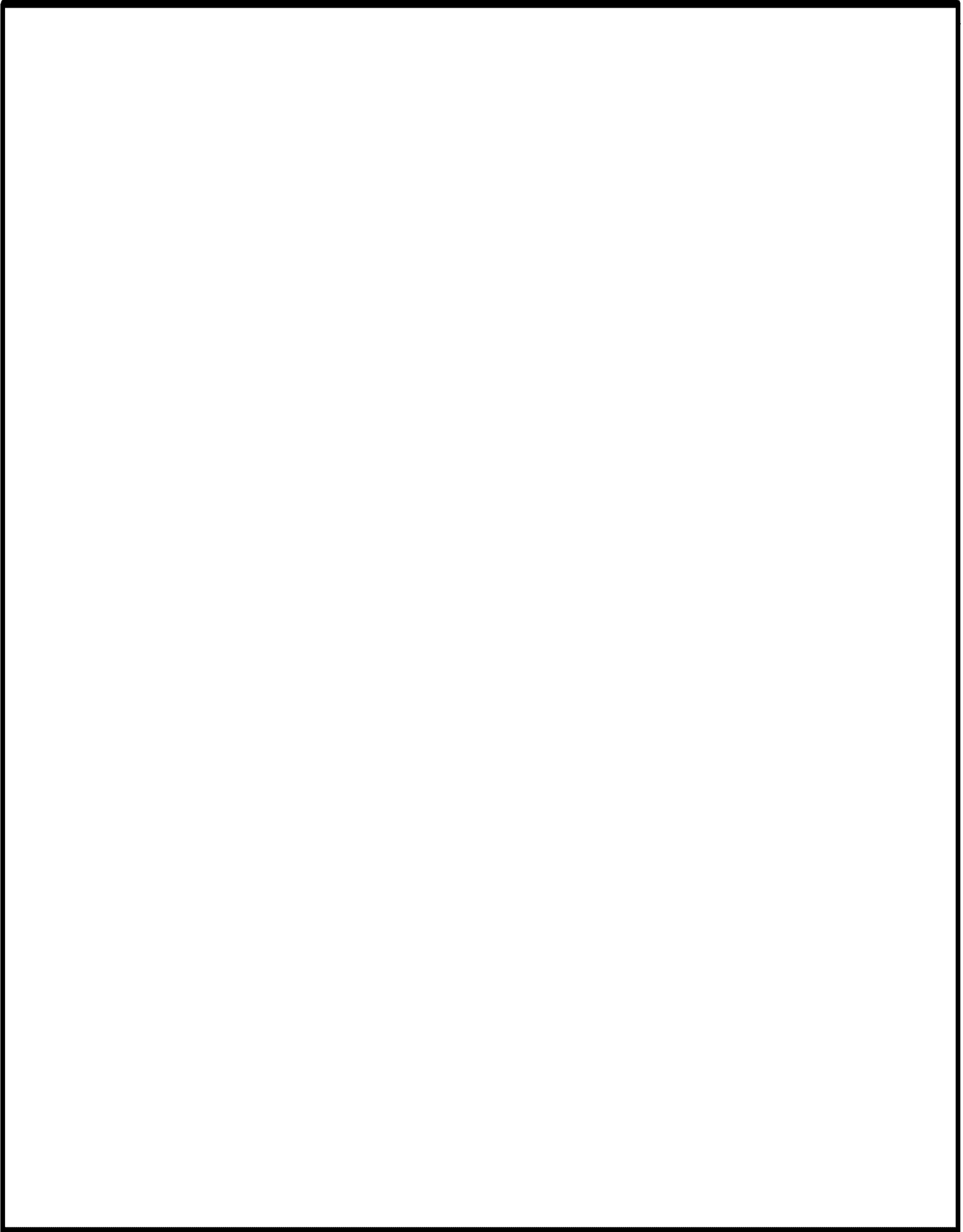


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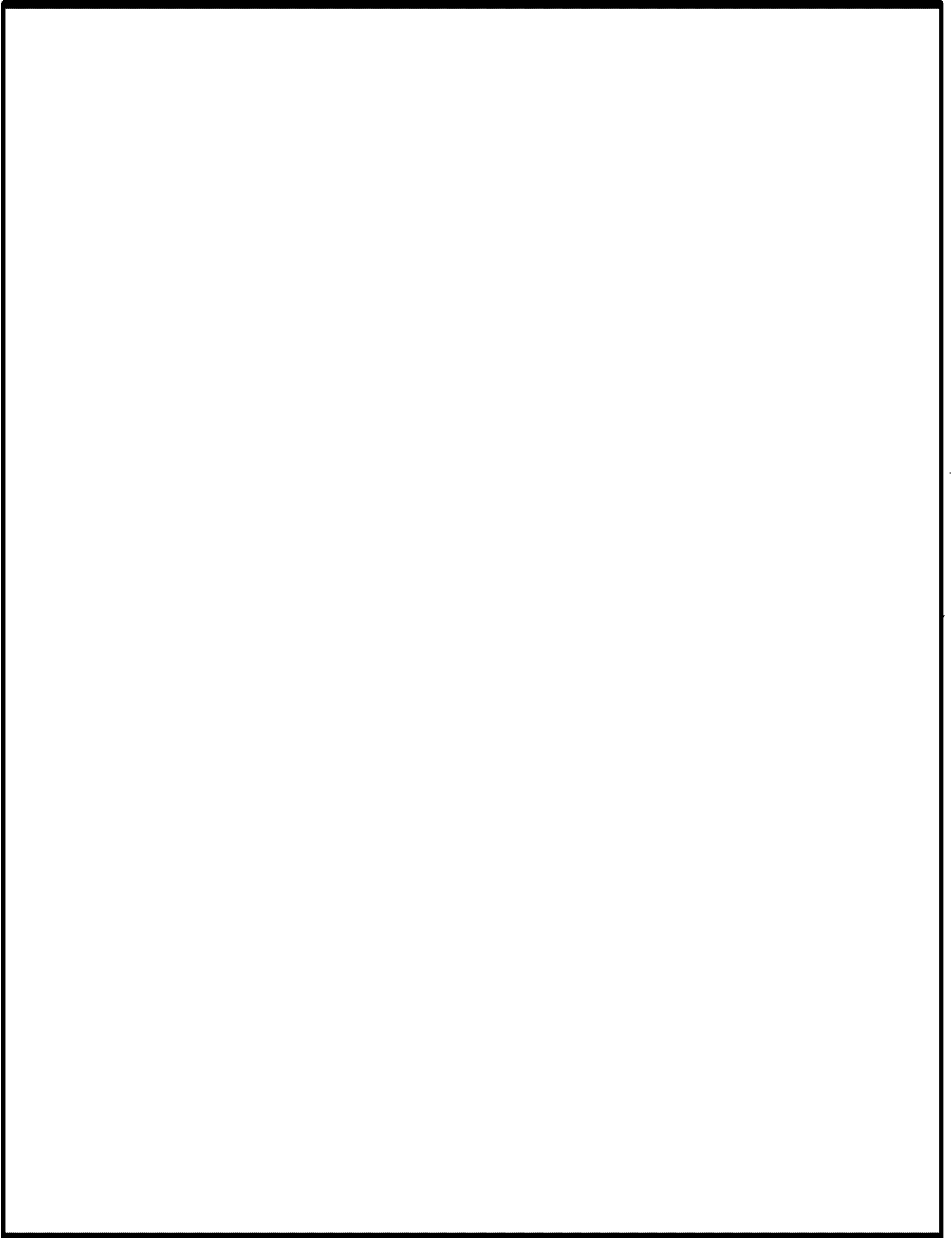




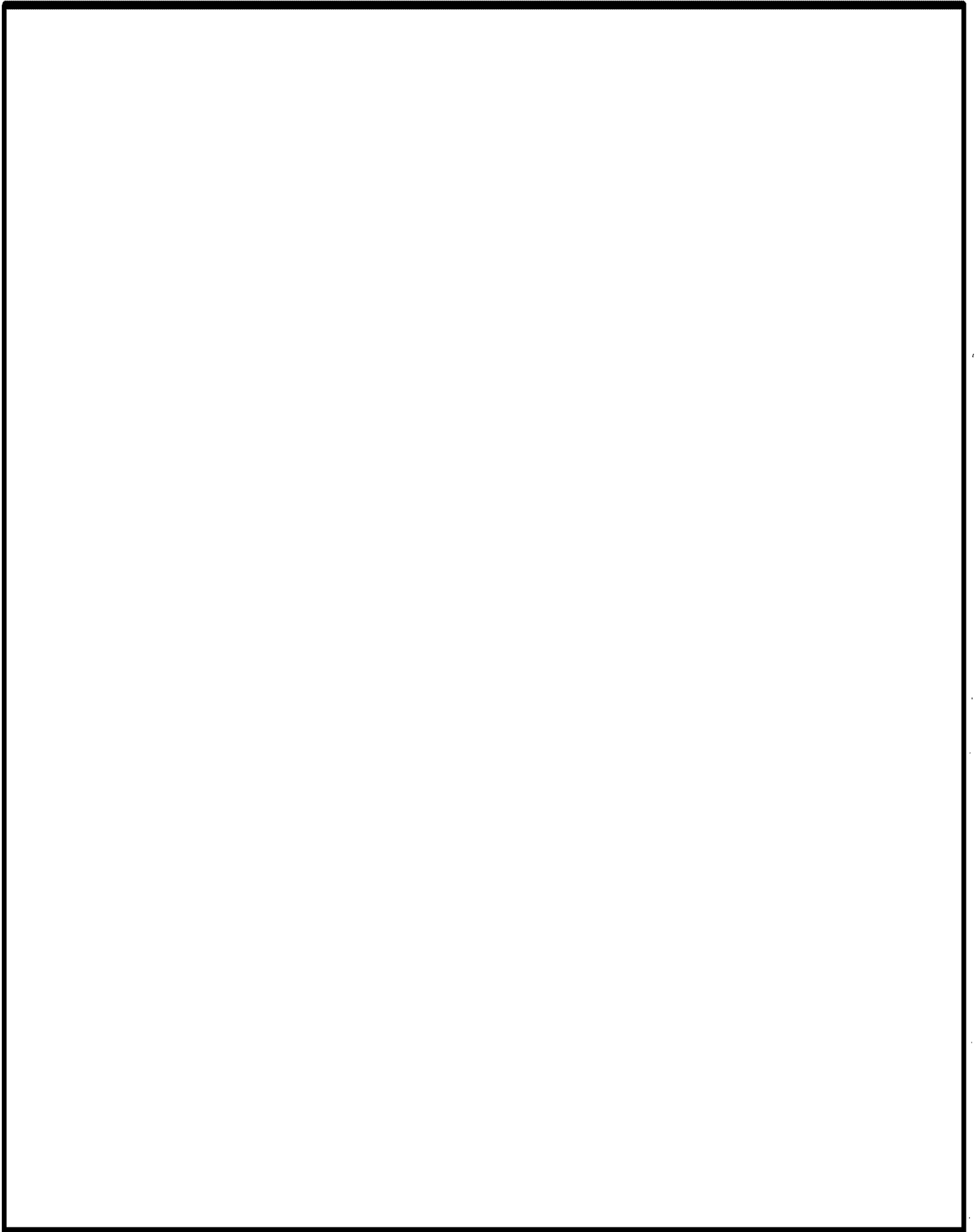
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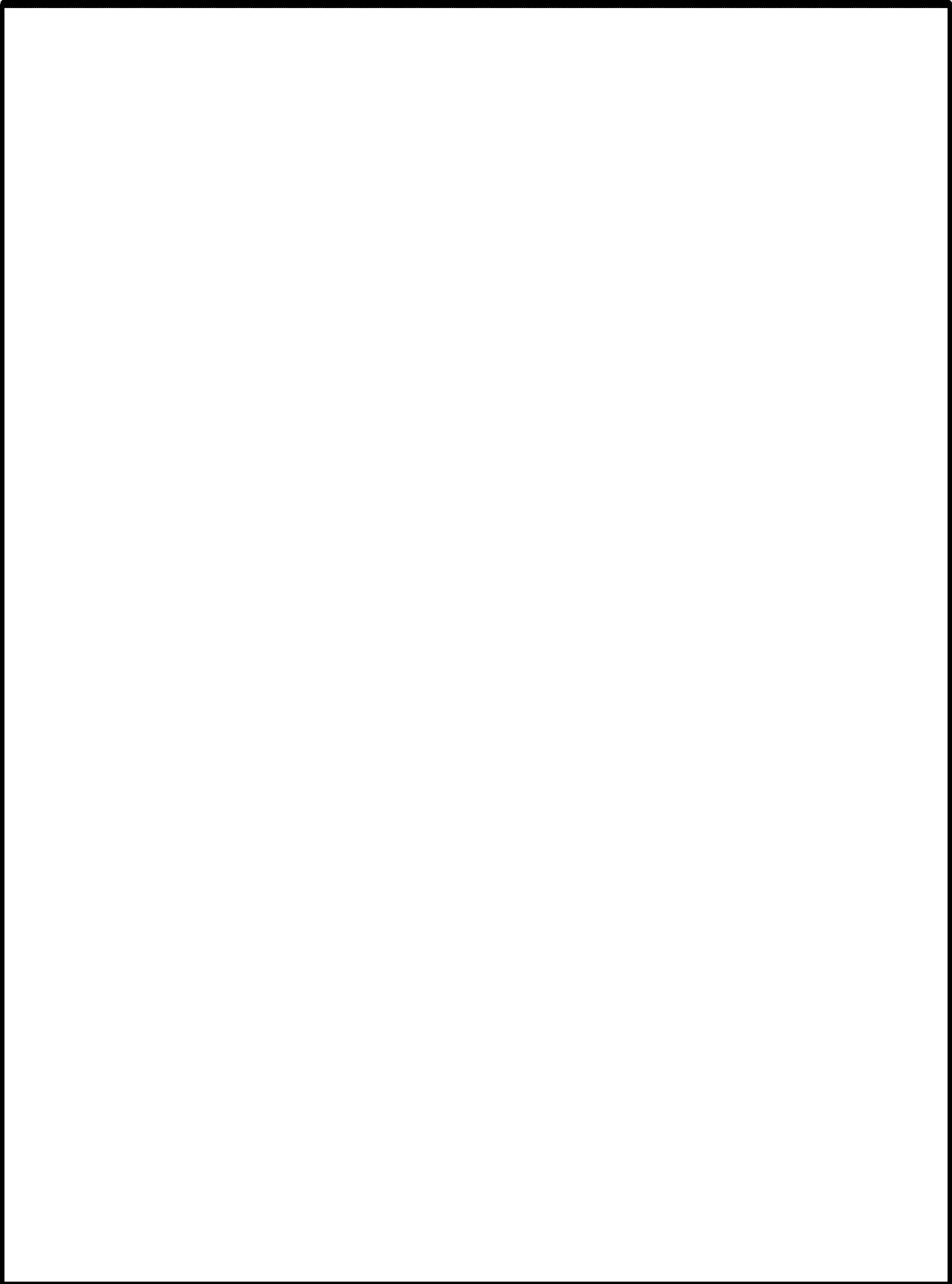
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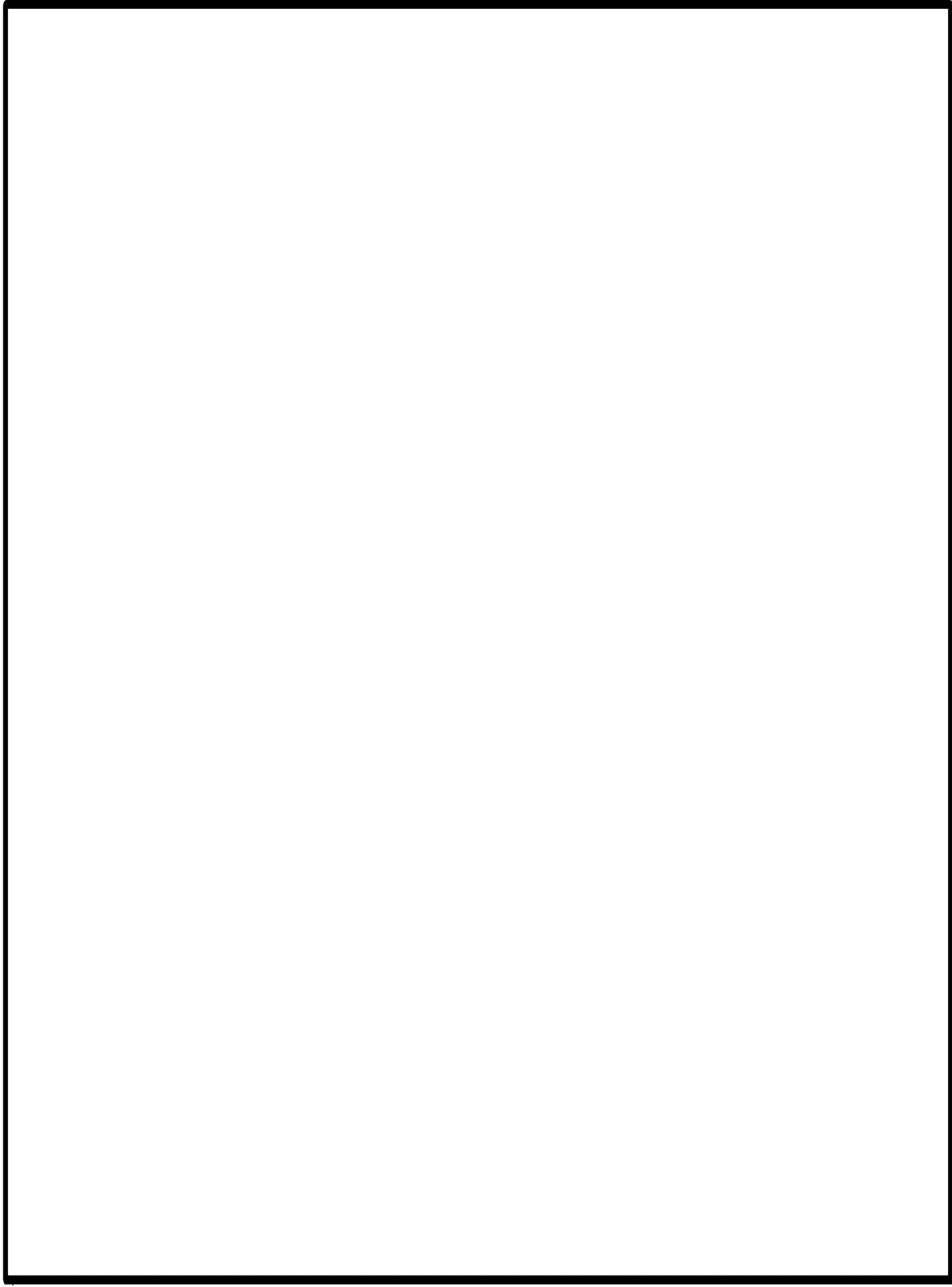


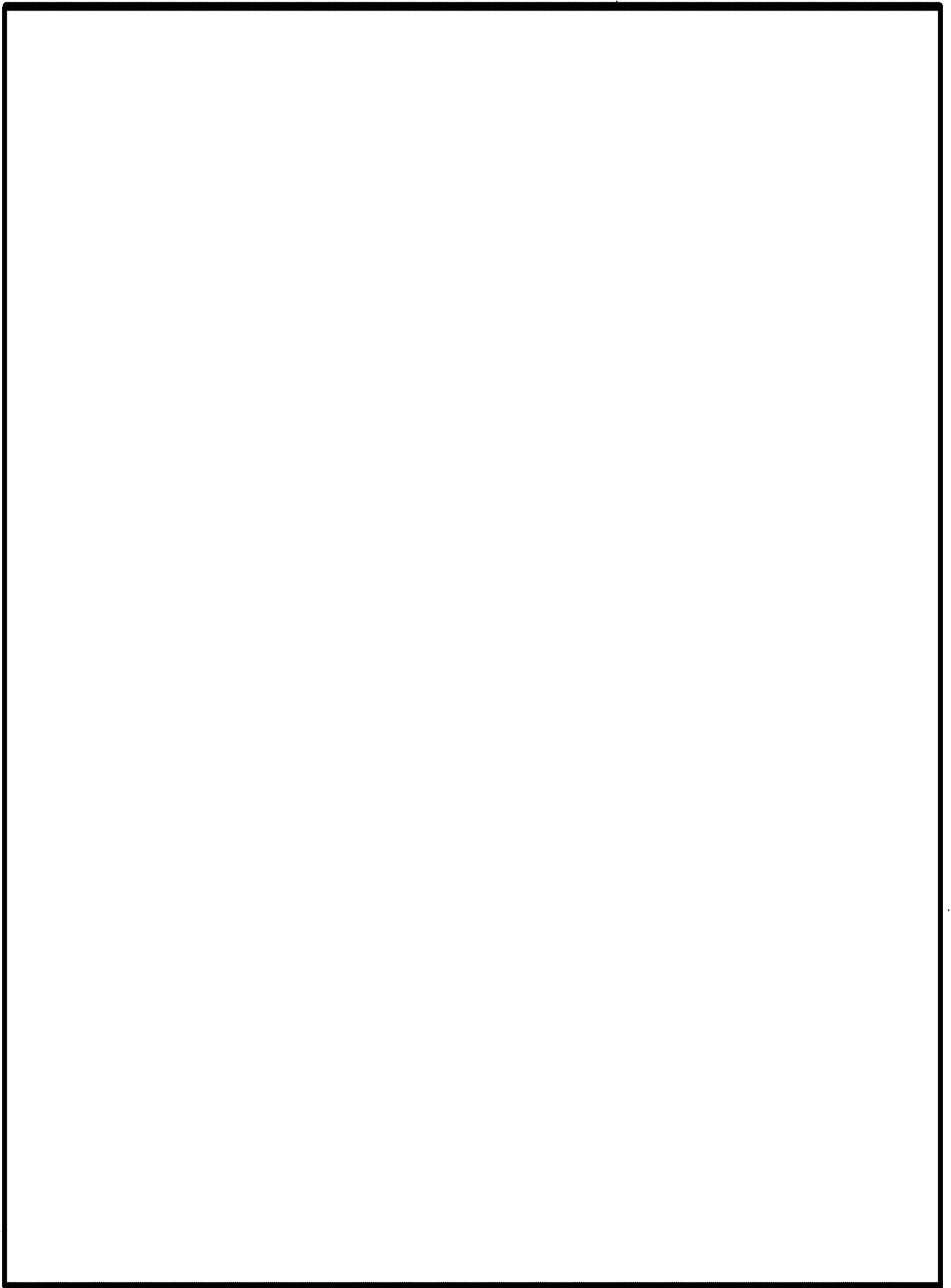
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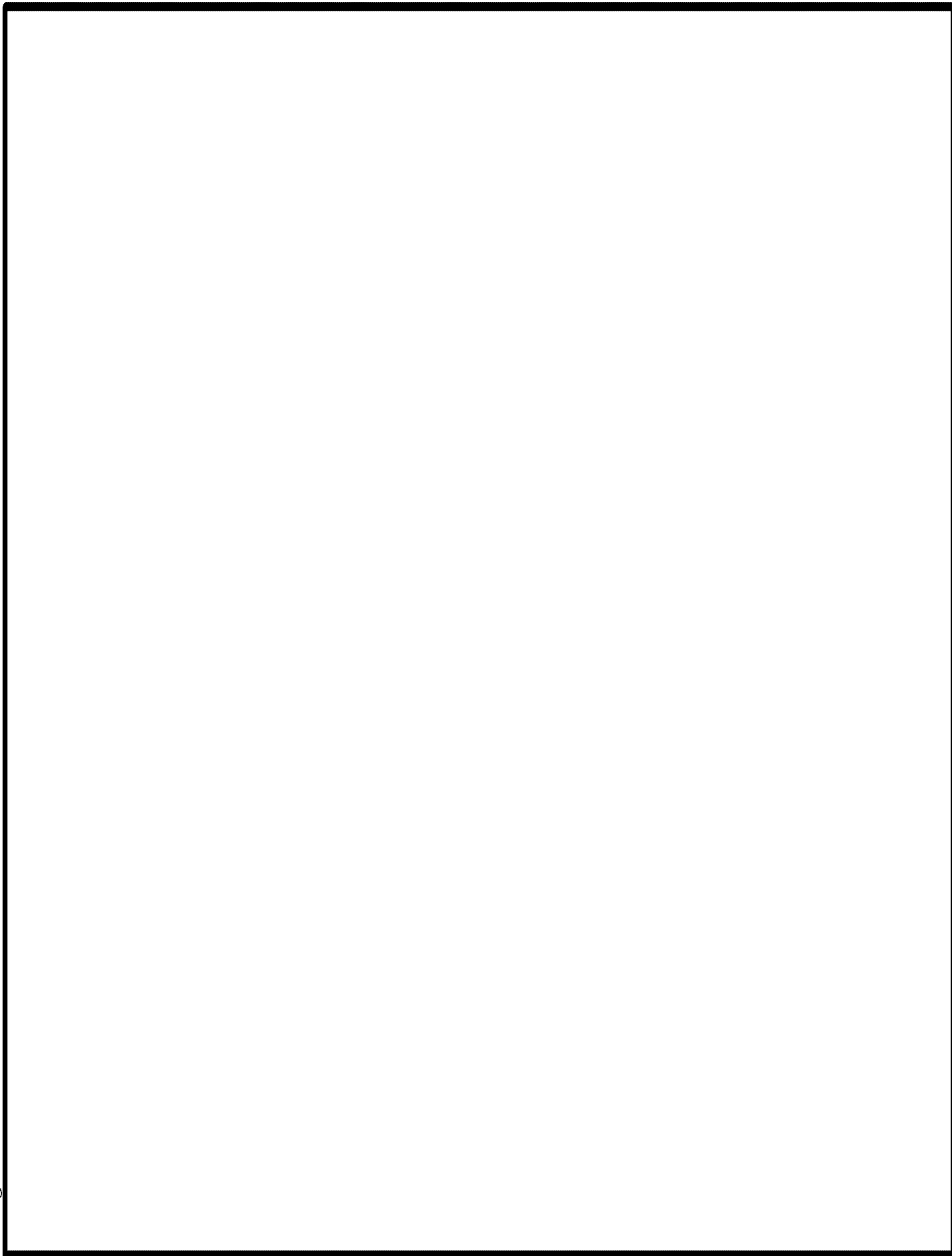


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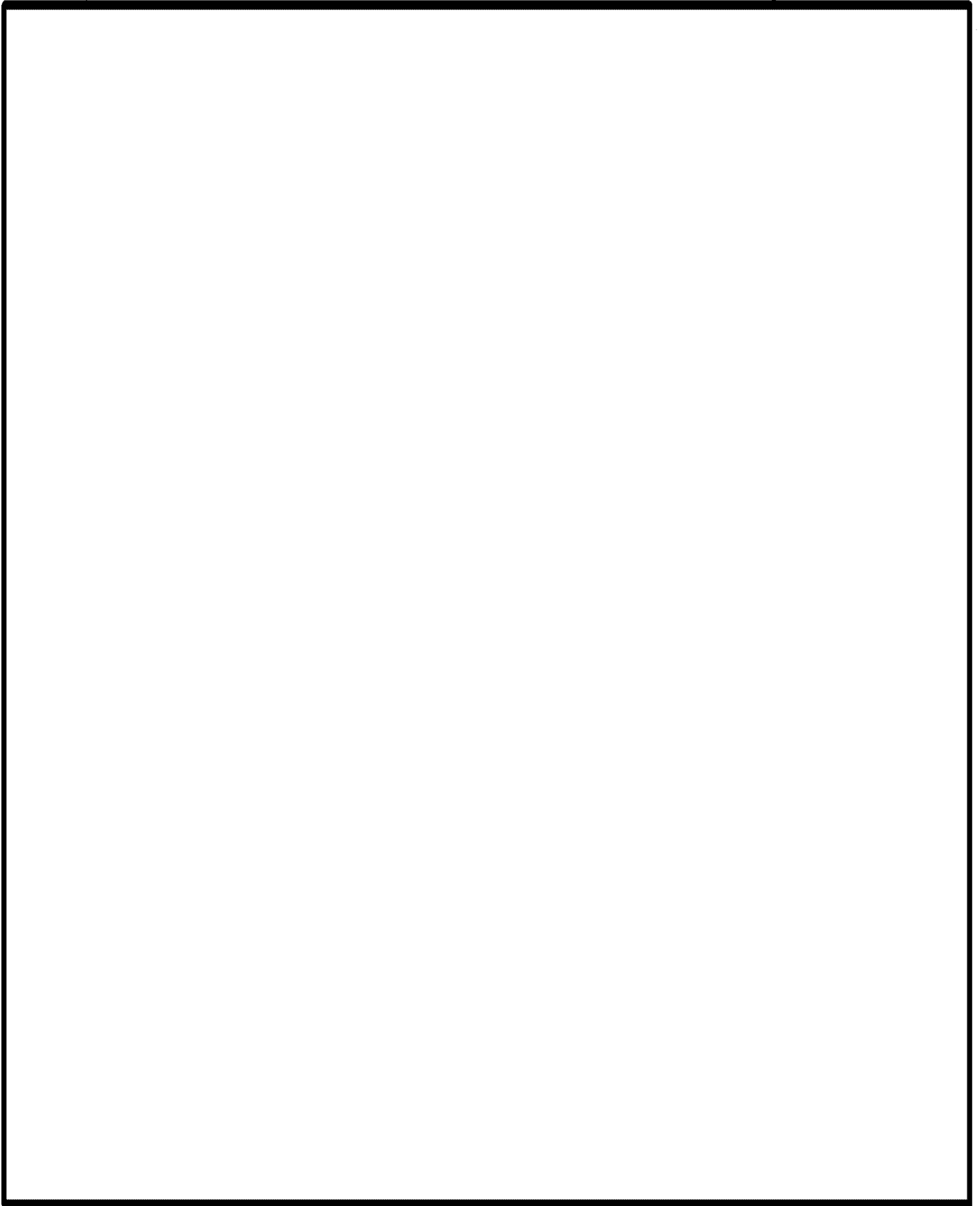




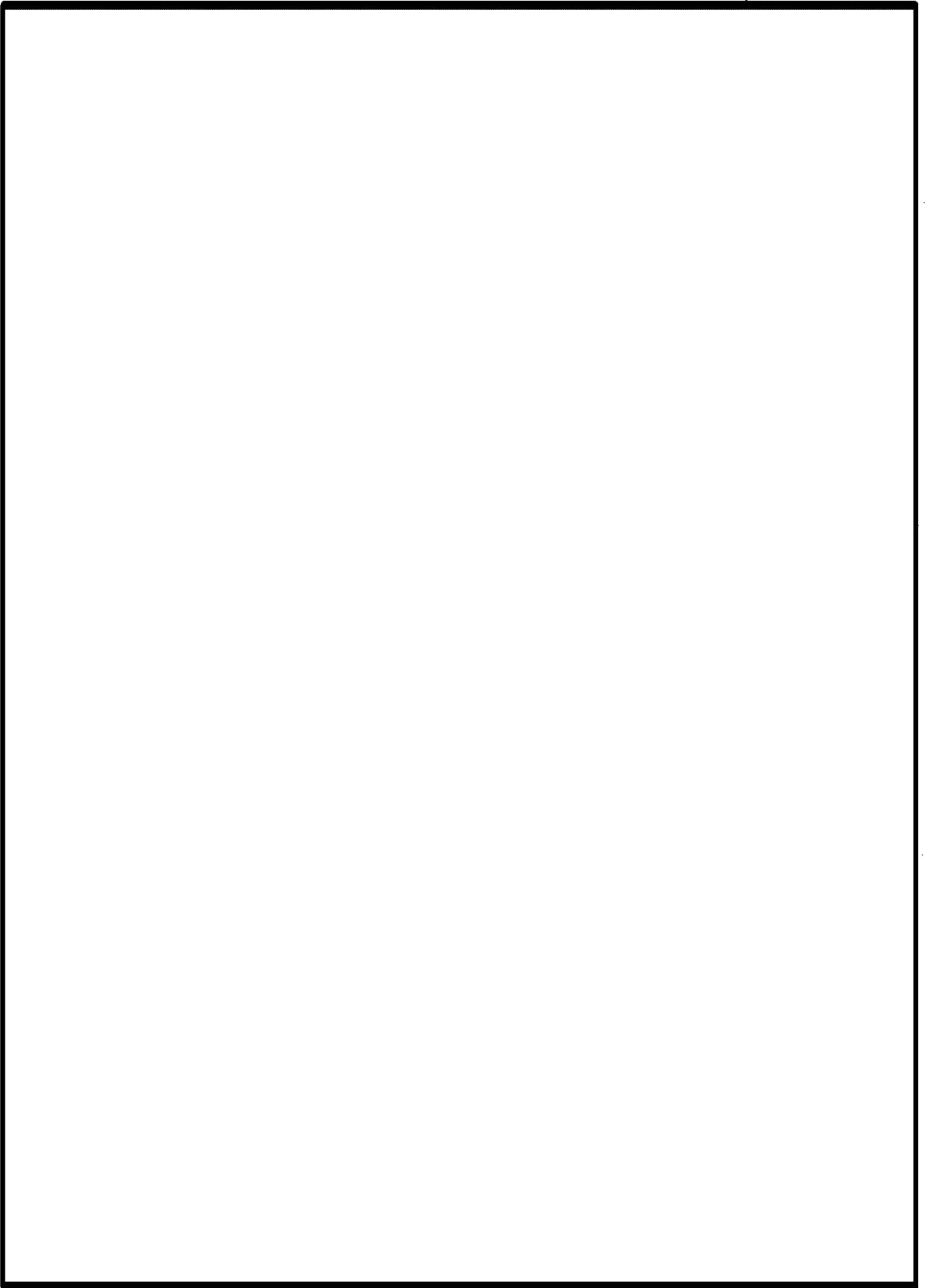




(b)(5)



(b)(5)



From: Micone, Vincent
Subject: FW: 2016-17 Presidential Transition
Date: Monday, October 03, 2016 12:19:02 PM

SCAOs,

This is the leader alert transmitted to SES, TSES, SL, ST, and USCG Flag Rank. The all employee email will hit your email boxes shortly.

Thanks,
Vince

Vince Micone
DHS Presidential Transition Officer
and Senior Counselor
Management Directorate
U.S. Department of Homeland Security
(202) 447-3400

From: Office of the Under Secretary for Management
Sent: Monday, October 03, 2016 9:17 AM
Subject: 2016-17 Presidential Transition



**Homeland
Security**

Dear Colleagues,

With the election now six weeks away, I thought it would be helpful to provide an overview of our efforts to prepare for the Presidential Transition.

Earlier this year, we established a Presidential Transition Office (PTO) and DHS Transition Council. The PTO is led by a career SES, Vince Micone, and the DHS Transition Council is comprised of career representatives from the Department's Operational Components, Directorates, and Headquarters (HQ) Offices. The PTO has been working closely with component counterparts on a number of key efforts to ensure we are prepared to welcome and support the new Administration.

Through these efforts, we have made great progress. We have completed drafting overview briefing materials and strategic issue papers for the President-Elect's Agency Review Team and new appointees. Operational Components, Directorates, and HQ Offices are now preparing internal transition materials. We have also reviewed and updated the line of succession for all key leadership positions within the Department. During October, we will provide executive briefing sessions for career successors so they are prepared to act.

The Presidential Transitions Improvements Act, which passed Congress and was signed by the President this year, provides a structure for candidates to formally begin preparing

for a smooth transition well in advance of Election Day. Candidates have already identified leadership for their efforts and teams are being assembled. These actions will allow the President-elect to make key decisions and to prepare to govern earlier than in prior elections.

Later today I will be sending an email to all employees providing them with an update similar to the one I am providing to you. Also, an update will be provided on our transition efforts in *Connected*, the Department's monthly workforce newsletter.

I encourage you to include transition issues in your discussions with your subordinate leaders and employees. Given the operational nature of the Department, the daily work of our employees will be unaffected. However, a change in executive leadership can cause concern. It will also be helpful for you to remind employees of ethics guidance regarding activities during election periods. This guidance is available through Connect and your Ethics Official.

Finally, in late October, we plan to host a webinar to provide you with an update on transition efforts. Registration information will be sent to you in a few weeks.

Thank you for your continued support of the Department's Presidential transition efforts.

Sincerely,

Russ Deyo
Under Secretary for Management

From: [Micone, Vincent](#)
Subject: FW: 2016-17 Presidential Transition Appointee Town Hall, October 18
Date: Monday, October 03, 2016 3:26:19 PM

SCAOs:

Below is the message sent to non-career appointees a short time ago.

Thanks,
Vince

Vince Micone
DHS Presidential Transition Officer
and Senior Counselor
Management Directorate
U.S. Department of Homeland Security
(202) 447-3400

From: Office of the Under Secretary for Management
Sent: Monday, October 03, 2016 3:08 PM
Subject: 2016-17 Presidential Transition Appointee Town Hall, October 18



**Homeland
Security**

Fellow Presidential Appointees,

With the election now six weeks away, I thought it would be helpful to provide an overview of our efforts to prepare for the Presidential Transition.

Earlier this year, we established the Presidential Transition Office and DHS Transition Council. This effort is led by a career SES, Vince Micone, and the DHS Transition Council is comprised of career representatives from the Department's Operational Components, Directorates, and Headquarters Offices. There has been close collaboration on key efforts to ensure that we are prepared to efficiently and effectively process departing appointees, and welcome and support the new Administration.

The Presidential Transition Office, in coordination with the White House Liaison Office, has scheduled a Town Hall for all appointees on **October 18th at 1:00 p.m. in the NAC Chapel**. The focus of the town hall is to inform all appointees on what they can expect, and will need to accomplish, as part of the transition process. The meeting is mandatory, so please schedule accordingly.

The upcoming Town Hall will provide comprehensive guidance for departing appointees to support them during their transition.

Thank you for your continued support of the Department and our efforts to secure our

From: [Renaud, Tracy L](#)
To: [Kerns, Kevin J](#)
Subject: FW: Bi-weekly w/ Don Neufeld
Date: Thursday, May 05, 2016 12:44:00 PM

*Tracy L. Renaud
Associate Director
Management Directorate
US Citizenship & Immigration Services
Department of Homeland Security
202-272-1739 (desk)*

From: Moore, Joseph D
Sent: Thursday, May 05, 2016 12:36 PM
To: Renaud, Tracy L; Neufeld, Donald W; Scialabba, Lori L; Walters, Jessica S; McCament, James W
Cc: Young, Todd P; Hoefer, Michael D; McConnell, James E
Subject: RE: Bi-weekly w/ Don Neufeld

I'll just add that the budget process for FY 2017 will be very complicated given it's a transition year and this topic will probably need a separate discussion.

(b)(5)

Joseph Moore
Chief Financial Officer
U.S. Citizenship and Immigration Services
Department of Homeland Security
Joseph.moore@uscis.dhs.gov
(p) 202.272.1701

From: Renaud, Tracy L
Sent: Thursday, May 05, 2016 12:18 PM
To: Neufeld, Donald W; Scialabba, Lori L; Walters, Jessica S; McCament, James W
Cc: Young, Todd P; Moore, Joseph D; Hoefer, Michael D; McConnell, James E
Subject: RE: Bi-weekly w/ Don Neufeld

Sorry, I also want to level set everyone on the funding issue. I know that the question was asked whether Premium money could be used for backlog and the reaction was that we have before and under our current interpretation of appropriate use of premium that we could look to using Premium to fund positions for backlogs.

Tracy L. Renaud
Associate Director
Management Directorate
US Citizenship & Immigration Services
Department of Homeland Security
202-272-1739 (desk)

From: Renaud, Tracy L
Sent: Thursday, May 05, 2016 11:57 AM
To: Neufeld, Donald W; Scialabba, Lori L; Walters, Jessica S; McCament, James W
Cc: Young, Todd P; Moore, Joseph D; Hoefler, Michael D; McConnell, James E
Subject: RE: Bi-weekly w/ Don Neufeld

Lori,

(b)(5)



Tracy L. Renaud
Associate Director
Management Directorate
US Citizenship & Immigration Services
Department of Homeland Security
202-272-1739 (desk)

From: Neufeld, Donald W
Sent: Thursday, May 05, 2016 11:42 AM
To: Scialabba, Lori L; Walters, Jessica S; McCament, James W
Cc: Young, Todd P; Renaud, Tracy L; Moore, Joseph D; Hoefler, Michael D; McConnell, James E
Subject: FW: Bi-weekly w/ Don Neufeld

(b)(5)



Don

From: Neufeld, Donald W
Sent: Thursday, May 05, 2016 10:23 AM
To: Scialabba, Lori L; Scheduler, Scialabba; Walters, Jessica S; McCament, James W
Cc: Young, Todd P; Renaud, Tracy L; Moore, Joseph D; Hoefler, Michael D
Subject: RE: Bi-weekly w/ Don Neufeld

Hi Lori - attached is a revised draft SAM17 we received from OPQ yesterday as well as a document outlining our staffing requirement to make us whole in FY16 and address our backlogs (also vetted by OPQ).

(b)(5)

I would like to get going as soon as possible and am happy to meet to discuss as soon as we can.

I have copied Tracy, Joe and Mike as well.

Thanks,

Don

Sent with Good (www.good.com)

From: Neufeld, Donald W
Sent: Wednesday, May 04, 2016 3:55:22 PM
To: Scialabba, Lori L; Scheduler, Scialabba; Walters, Jessica S; McCament, James W
Cc: Young, Todd P
Subject: RE: Bi-weekly w/ Don Neufeld

I had asked last week for a meeting to include Joe and Tracy so that would be great if it can be arranged. I will send you shortly the analysis of our staffing needs that have been validated by OPQ.

(b)(5)

From: Scialabba, Lori L
Sent: Wednesday, May 04, 2016 3:51 PM
To: Neufeld, Donald W; Scheduler, Scialabba; Walters, Jessica S; McCament, James W
Cc: Young, Todd P
Subject: RE: Bi-weekly w/ Don Neufeld

(b)(5) Don,

I just saw the draft SAM numbers for FY17

[Redacted]

Lori

From: Neufeld, Donald W
Sent: Wednesday, May 04, 2016 3:30:57 PM
To: Scheduler, Scialabba; Scialabba, Lori L; Walters, Jessica S; McCament, James W
Cc: Young, Todd P
Subject: RE: Bi-weekly w/ Don Neufeld

Lori and Jocelyn,

(b)(5)

[Redacted]

Can we find time either later today or another time tomorrow? I'm out on Friday and I know next week is no good.

-----Original Appointment-----

From: Prater, Jocelyn S **On Behalf Of** Scheduler, Scialabba
Sent: Wednesday, May 04, 2016 2:04 PM
To: Scialabba, Lori L; Walters, Jessica S; Neufeld, Donald W; McCament, James W
Cc: Young, Todd P
Subject: Canceled: Bi-weekly w/ Don Neufeld
When: Thursday, May 05, 2016 2:00 PM-2:45 PM (UTC-05:00) Eastern Time (US & Canada).
Where: Deputy Director's Office
Importance: High

From: Schamberger, Jill W
To: Farnam, Julie E; Renaud, Tracy L
Cc: Conklin, Jeffery A; Chamberger, Jill W
Subject: FW: CIGIE Releases "Presidential Transition Handbook"
Date: Thursday, October 13, 2016 9:47:28 AM
Attachments: CIGIE Presidential Transition Handbook Web October 2016.pdf

Hi there.

FYI.

jill

Jill W. Chamberger
Audit Liaison Team Lead
Office of Security and Integrity
US Citizenship and Immigration Services
Office: (202) 272-1621
Cell: (202) 330-1526

From: Crumpacker, Jim
Sent: Thursday, October 13, 2016 9:24 AM
To: Bibo, David; Boulden, Laurie; Bruce, Melissa; BUSTER ROBERT P; Canevari, Holly; Carver, Jonathan; Conklin, Jeffery A; Cribbs, Carol; Gottfried, Jordan; Heinz, Todd; Hess, David; Kruger, Mary; Lewis, Donald R; McDaniels, Thomas (OGA); Metzler, Alan; MILDREW, SEAN; Nichols, Kate; Passow, Richard; Ramanathan, Sue; Savage, Brian; Tionson, Andrew J RDML; Tippie, Tammy; Venture, Veronica; Blumenthal, Nathan; Brzozowski, Christa; Fulghum, Chip; Guttentag, Lucas; Hakim, Neema; Higgins, Jennifer; Hoy, Serena; Johnson, Tia; Kuepper, Andrew; Maher, Joseph; Manfra, Jeanette; McNamara, Phil; Pino, Lisa; Ramanathan, Sue; Rosen, Paul; Russell, Michael; Swain, Donald; Ulloa, Isabella; Micone, Vincent
Cc: Almy, Michael; Anderson, Rose; Bailey, Angela; Balliet, Eric; Benecke, Michelle; Bennett, Craig A SES; Bobich, Jeffrey; Cassidy Bianchino, Amy; Corbin, Susan; Correa, Soraya; Cox, Debra; Fahmy, Nasr; Gleason, Eddie; Harper, Jerald; Harris, Mark E (DHS CFO); Howard, Tammy; Johnson, Kim R; Kouters, Angela; LaRossa, Connie; Marcott, Stacy; Martin, Cynthia; Mathias, Susan; McComb, Rich; McCormack, Luke; Nowak, Philip A; O'Connor, Kimberly; Orner, Jeffery; Palmer, David; Readinger, Jeff; Rezmovic, Jeffrey; Schneider, Katelyn E; Smiley, Dennis; Stough, Michael; Tamarkin, Eric; Watkins, Trae; Amendolia, Deana; Backfield, Mitchell; Bauman, Joshua D CDR; Beitel, Kari; Chester, Lisa; Cooch, Shila; Crawley, Ayn; Cuneo, Edward; DeAntonio, Robert F; Debnam, Sandra; Eames, Seth; Edwards, Toni; Elliott, Mike; Evans, Matthew; Feltrin, Thomas; Gehrcke, Taylor; Hahn, Linda; Hamidi, Heela; Hattis, Daniel; HOFFMAN, SHERRI LEE; Johnson, Kim R; Karau, Michael; Kulwicki, Mark; Leonard, Clarissa; Malenab, Jennifer; Mason, Robert W; Mathias, Susan; Mckeeon, Gary; Moy, Michael C; NAU BRENDA M; NEGLIA, CECELIA; Nemeth, Carmen M; Norman, Keanna; Norton, Gina; OCIOaudits; PATTEN EMILY S; Petyo, Briana; PICHON LESLIE C; Plaza, David; Readinger, Jeff; Schaeffer, Shelly; Chamberger, Jill W; Chamberger, Steven; Staine, Stella; Steedley, Sonya; Tagay, Maxine; Taylor, Sandra; Tippie, Tammy; Venture, Veronica; Vernon, Morgan; Warkentin, Gary; WHITE, ROBIN A; Wilson, Laura C.T.; Wood, Susan; Yi, Jennifer H (Jen); DHS Additional CALS; DHS DAL
Subject: CIGIE Releases "Presidential Transition Handbook"

As information, the Council of the Inspectors General on Integrity and Efficiency (CIGIE) has released the subject Handbook describing the role of Inspectors General and the transition to a new Administration (see attached). More specifically, the Handbook addresses:

- ✓ The Role of Inspectors General
 - The Inspector General Act
 - Role and Authorities of Inspectors General
 - Inspector General Independence
 - Inspector General Reports and Processes

- Recoveries and Cost Savings
- CIGIE
- ✓ Transition Issues Relating to Inspectors General
 - The Role of IGs in the Transition to a New Administration
 - New Administration Officials' Interaction with IGs
 - Filling Inspector General Vacancies

Also of note is a chart in the appendix of the Handbook which outlines many of the recurring major reporting requirements applicable to most OIGs:

- ✓ OIG Semiannual Report to Congress
- ✓ Financial Statement Audit
- ✓ Annual Federal Information Security Management Act Reviews
- ✓ Agency Management and Performance Challenges
- ✓ Purchase and Travel Card Oversight Report
- ✓ Improper Payment Reporting
- ✓ Report on Federal Entities Cyber Threat Indicators
- ✓ Council of Inspectors General on Financial Oversight Annual Report
- ✓ Accountability for Federal Funding Report

v/r

Jim

JIM H. CRUMPACKER, CIA, CFE
 Director
 Departmental GAO-OIG Liaison Office
 U.S. Department of Homeland Security

(202) 447-5939 (office)
 (202) 262-6776 (cell)

“Liaison = Relationships + Communication”

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From: [Farnam, Julie E](#)
To: [Renaud, Tracy L](#)
Subject: FW: Discussion items for D1-CISOMB Nov 30 meet (Transition)
Date: Tuesday, November 22, 2016 8:46:31 AM
Attachments: [D1-CISOMB Briefing Topics for Nov 30 \(Transition\).docx](#)
[D1-CISOMB Briefing Topics for Nov 30 \(Transition\).docx](#)

How about this response? Please let me know if you'd like any additions or changes.

Thank you,
Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
(c) 202-489-8802

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From: Pons, Luis A
Sent: Monday, November 21, 2016 4:58 PM
To: Farnam, Julie E; Renaud, Tracy L
Cc: Moreno, Miriam E
Subject: Discussion items for D1-CISOMB Nov 30 meet (Transition)

Good afternoon Julie and Tracy:

The Director and the CISOMB will meet on Wednesday November 30. In their agenda for this meeting, the CISOMB submitted a list of discussion items, one of which pertains to Leadership Transition. I have forwarded this item to you at the suggestion of Emilie Hyams at the Director's Office.

I have included this item in the attached. Please respond with detailed responses that address the items as fully as possible.

This being a short-fused matter put forth during the time of a major holiday, please respond as soon as possible and no later than **close of business Friday, November 25.**

I truly appreciate your assistance with this. Please let me know immediately if I have reached out to the wrong office. Also, please let me know if you have any questions.

Respectfully,
Luis

Luis A. Pons

Management and Program Analyst

Liaison and Coordination Branch

Customer Service and Public Engagement Directorate

U.S. Citizenship and Immigration Services

Washington, DC

Office: 202-272-1267

Cell: 202-697-0708

(b)(5)



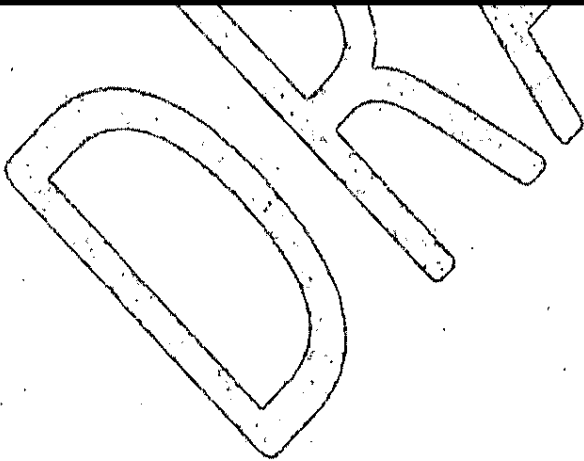
U.S. Citizenship
and Immigration
Services



DRAFT



(b)(5)



From: Choi, Juliet K
To: Renaud, Tracy L; Farnam, Julie E
Cc: Rodriguez, Leon; Scialabba, Lori L
Subject: FW: POTUS Transition
Date: Monday, November 21, 2016 5:05:01 PM

Hi, could you confirm. Is OCOMM's information correct?

From: Hatchett, Doline L
Sent: Monday, November 21, 2016 3:28 PM
To: Carter, Jeffrey T (Jeff); Choi, Juliet K
Subject: RE: POTUS Transition

Thanks Jeff. I flagged this for Lori and Tracy as well.

From: Carter, Jeffrey T (Jeff)
Sent: Monday, November 21, 2016 3:23 PM
To: Hatchett, Doline L; Choi, Juliet K
Subject: RE: POTUS Transition

James Carafano is the director of the Douglas and Sarah Allison Center for Foreign Policy Studies and the deputy director of the Kathryn and Shelby Cullom Davis Institute for International Studies at The Heritage Foundation.

Michael Dougherty is the CEO of the Identification Technology Association and formerly worked at DHS.

Jeff

Jeff Carter
Acting Deputy Chief, Office of Communications
U.S. Citizenship and Immigration Services
(202) 272-1556 (office)
(202) 815-5370 (cell)
Jeffrey.T.Carter@uscis.dhs.gov
Please visit www.uscis.gov for news and information.

From: Carter, Jeffrey T (Jeff)
Sent: Monday, November 21, 2016 3:16 PM
To: Hatchett, Doline L; Choi, Juliet K
Subject: POTUS Transition

The names of the domestic issues landing team leads for Homeland Security: James Carafano and Michael Dougherty.

http://www.govexec.com/management/2016/11/trump-team-wont-say-whether-new-administration-will-cut-or-close-any-federal-agencies/133318/?oref=govexec_today_pm_nl

Jeff

Jeff Carter
Acting Deputy Chief, Office of Communications
U.S. Citizenship and Immigration Services
(202) 272-1556 (office)
(202) 815-5370 (cell)
Jeffrey.T.Carter@uscis.dhs.gov
Please visit www.uscis.gov for news and information.

From: Renaud, Tracy L
To: Atkinson, Ronald A
Subject: FW: President transition report to congress. WF1124072
Date: Tuesday, May 17, 2016 8:22:00 AM
Attachments: [1605-06-2086 HTD Input transition JCD clean 05122016 \(002\)-CT Staff chgs-HTD update.docx](#)
[WF 1124072 - Public Law 114-136 tasked for draft of the Presidential Transition Improvement Act Threats and Vulnerabilities \(Ad Hoc\) 05.06.16.pdf](#)

Alan – FYI. This has been cleared with no edits and returned to DHS but wanted you to have for awareness.

*Tracy L. Renaud
Associate Director
Management Directorate
US Citizenship & Immigration Services
Department of Homeland Security
202-272-1739 (desk)*

From: Drake, Johnetta **On Behalf Of** USCIS Exec Sec
Sent: Monday, May 16, 2016 11:28 AM
To: Renaud, Tracy L; Sahai, Rawn S; Francis, Gregory I; Williams, Lee D; Davis, Marla J
Cc: USCIS Exec Sec
Subject: President transition report to congress. WF1124072

President transition - Congressional report

*Johnetta Drake
USCIS Office of the Executive Secretariat
202-236-4246 (Cell)
202-272-0998 (Desk)
202-272-0990 (Office)
[EXSO Connect Page](#)*

[EXSO ECN Page](#)

*Please upload all actions for which Forms G-1056 are used to **CATS**.
Please send all official actions to USCIS-Exec-Sec@uscis.dhs.gov.*

From: Almont, Yohanna **On Behalf Of** I&A Exec Sec
Sent: Monday, May 16, 2016 11:09 AM
To: USSS Exec Sec; EXEC, USCG SMB; USCIS Exec Sec; CBPTASKING; TSAExecSec; Plcy Exec Sec; OGC Exec Sec; MGMTEExecSec; ICE Exec Sec
Cc: I&A Exec Sec; WAITE ALFRED D; Belzak, Brad
Subject: President transition report to congress. WF1124072

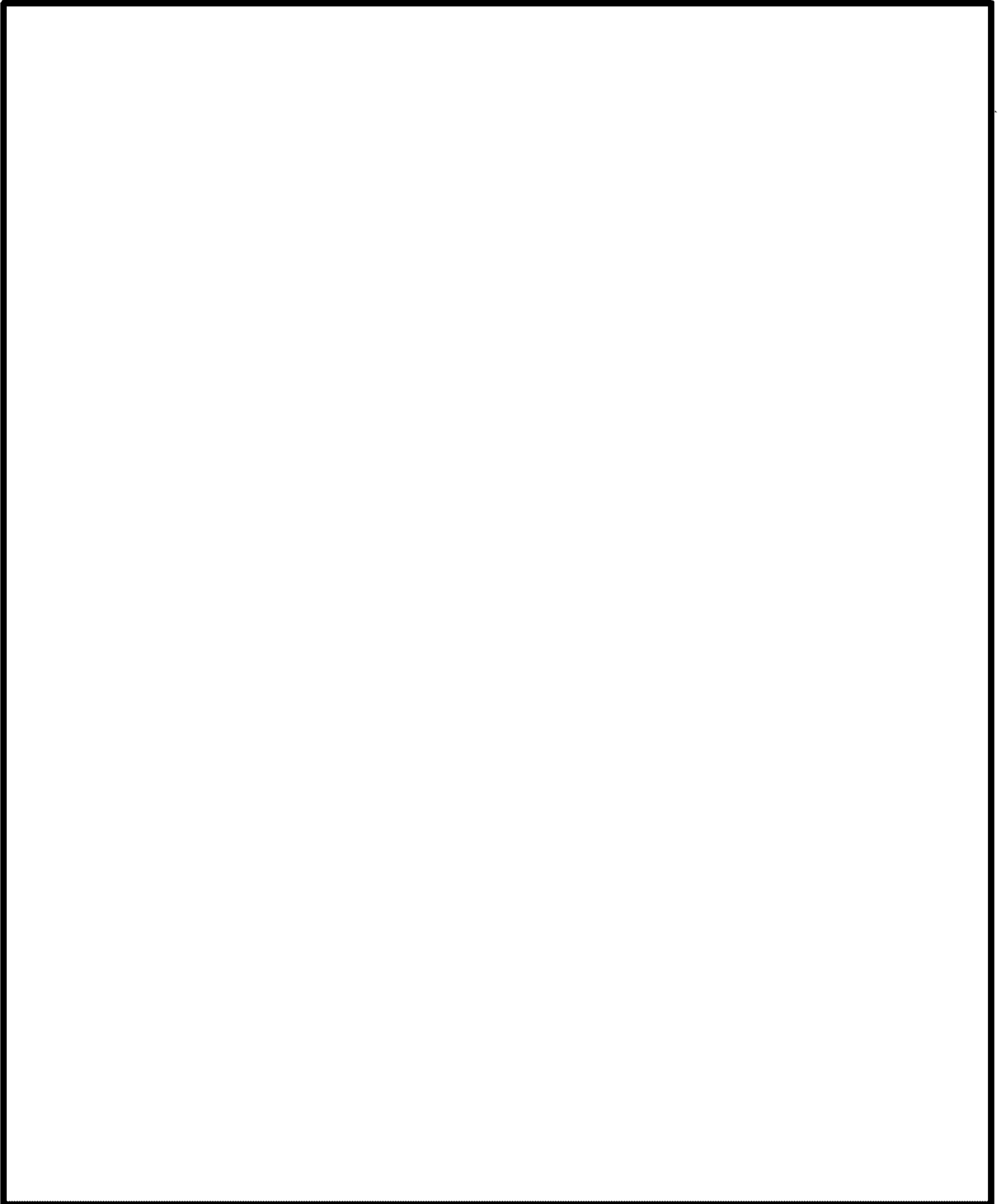
Components,

Please see the attached draft report to congress on threats during the Presidential Transition.
Please review and provide any additional information by 10:00 am tomorrow May 17, 2016.

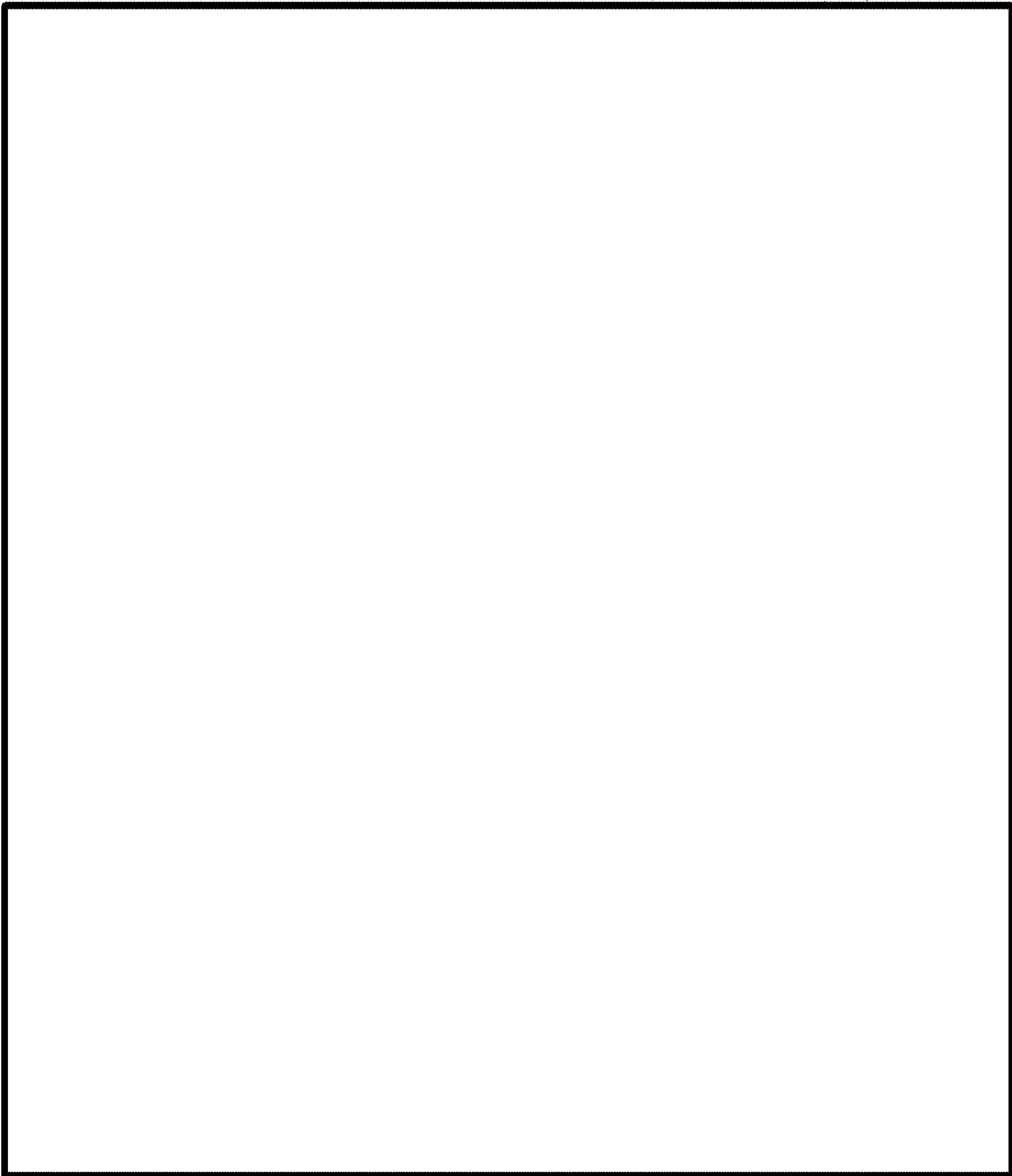
Thank you,

Yohanna Almont
Staff Officer
Executive Secretariat
Office of Intelligence and Analysis
Desk 202-447-3194
Mobile 202-440-3895

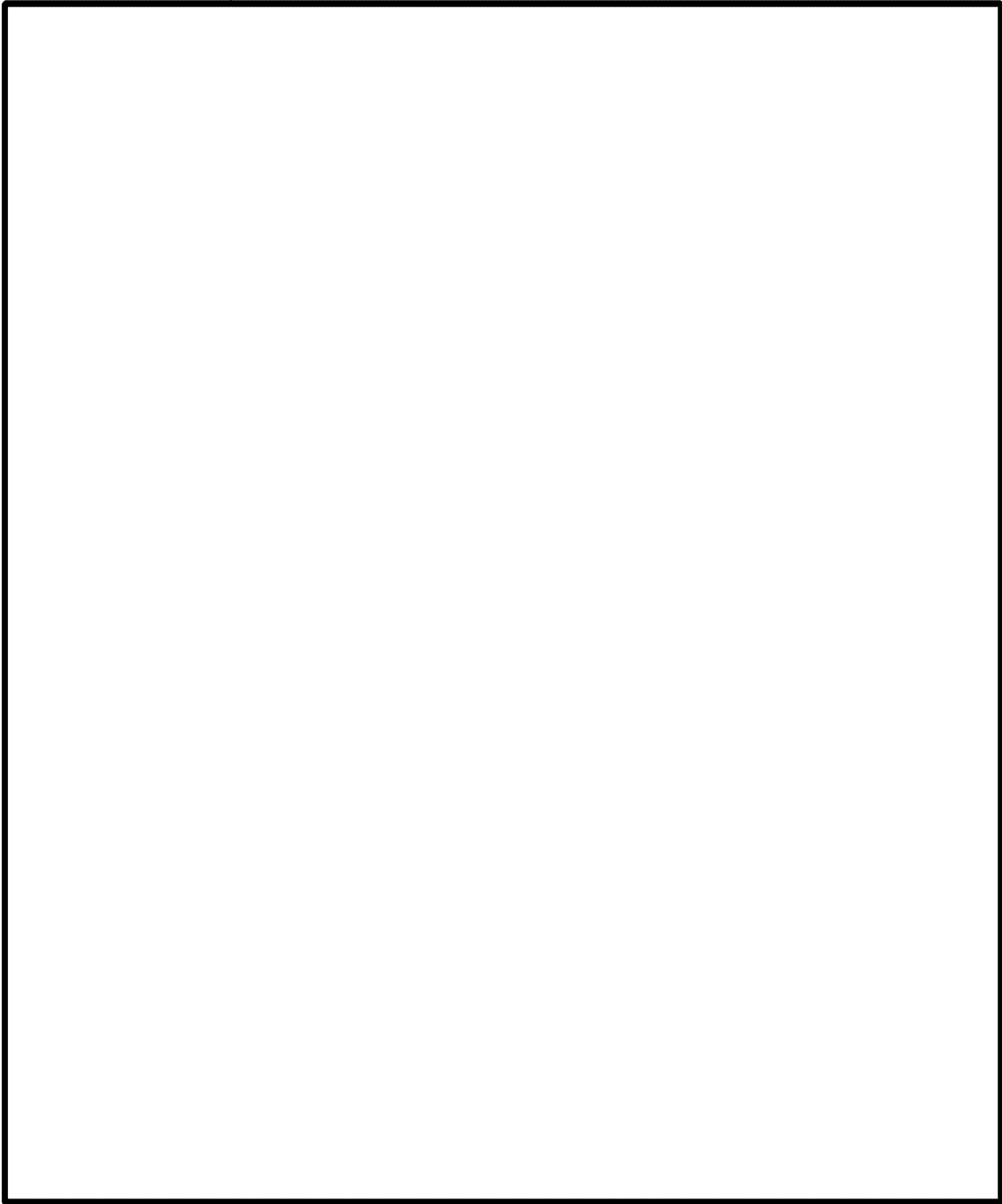
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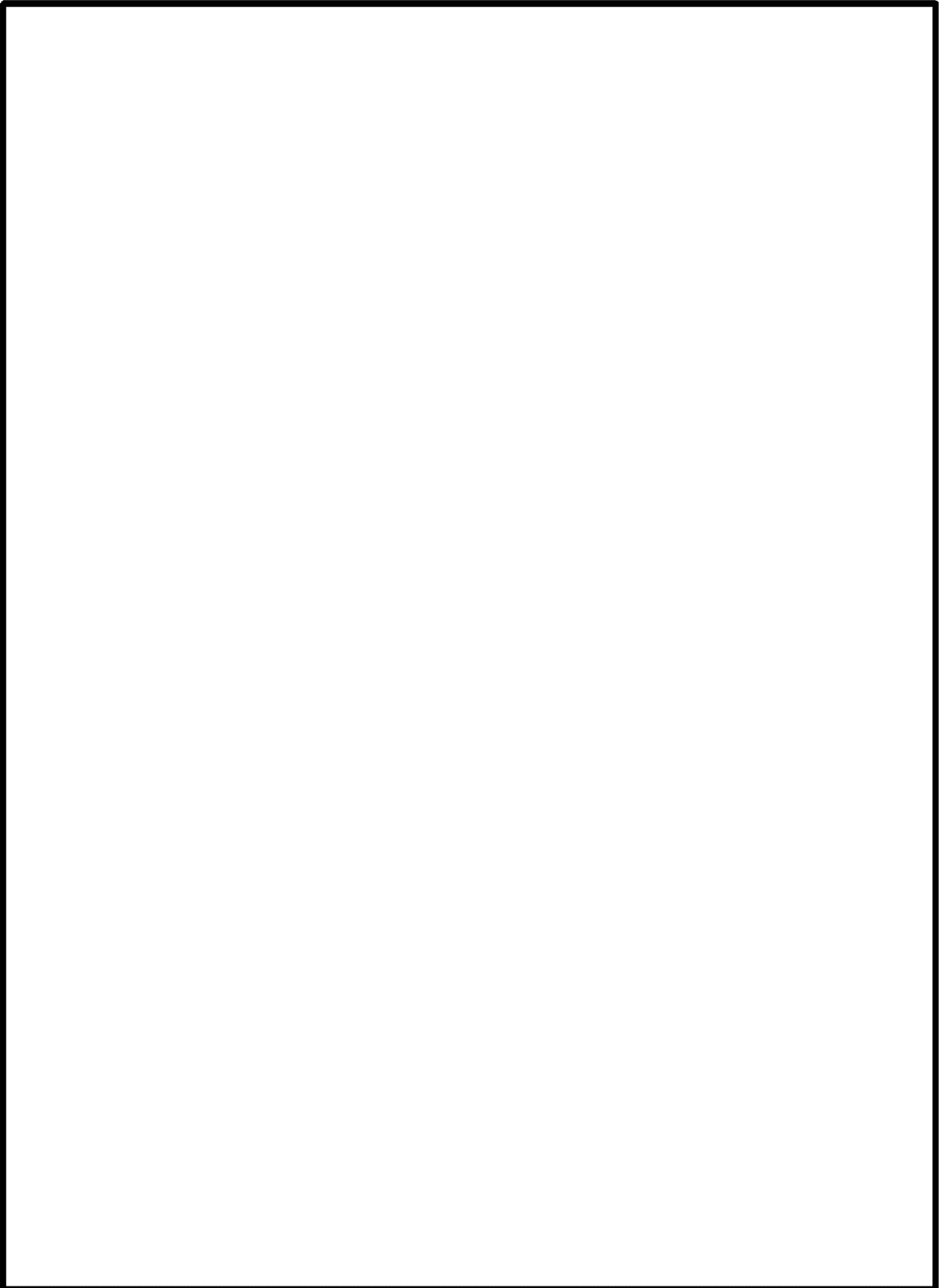
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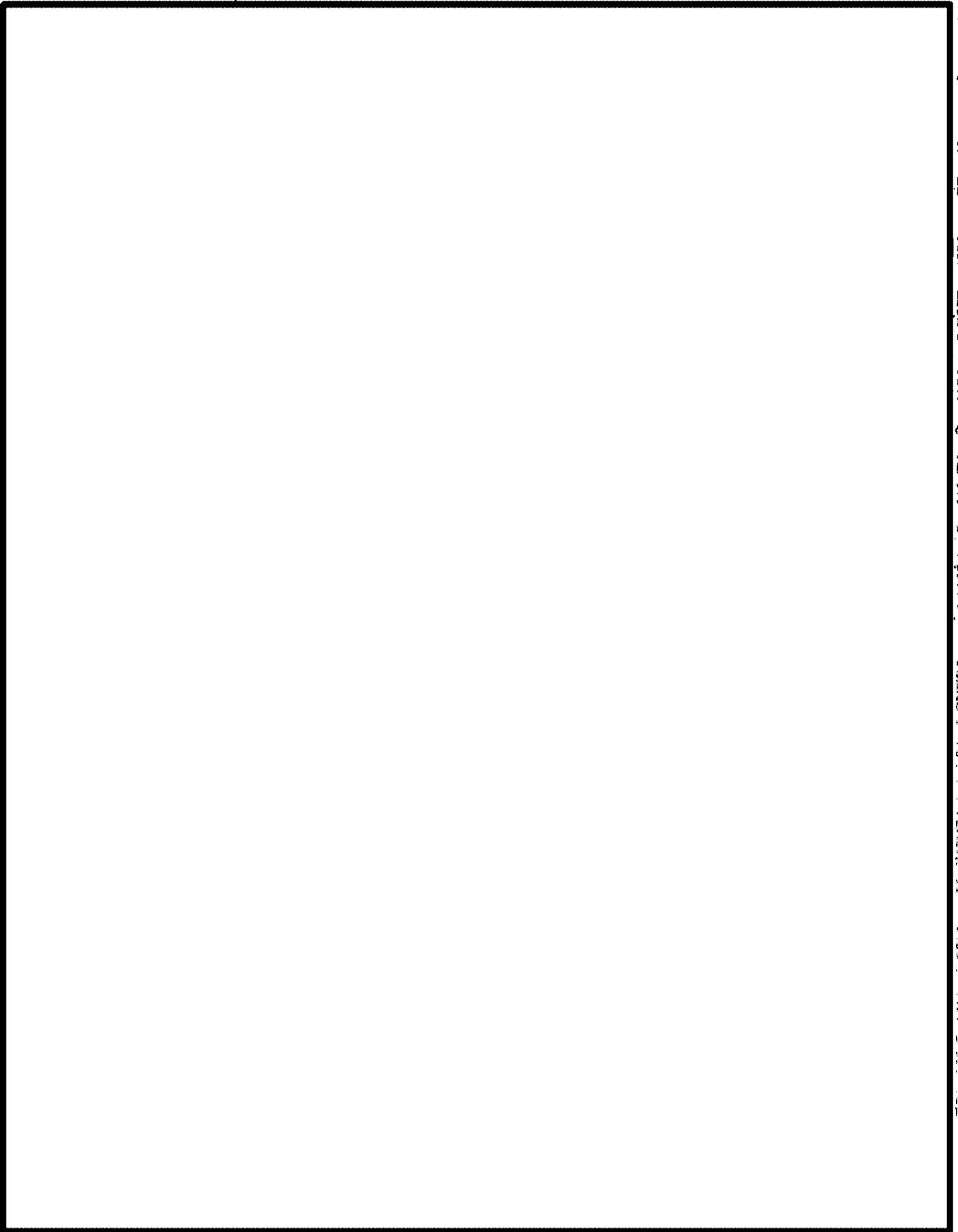
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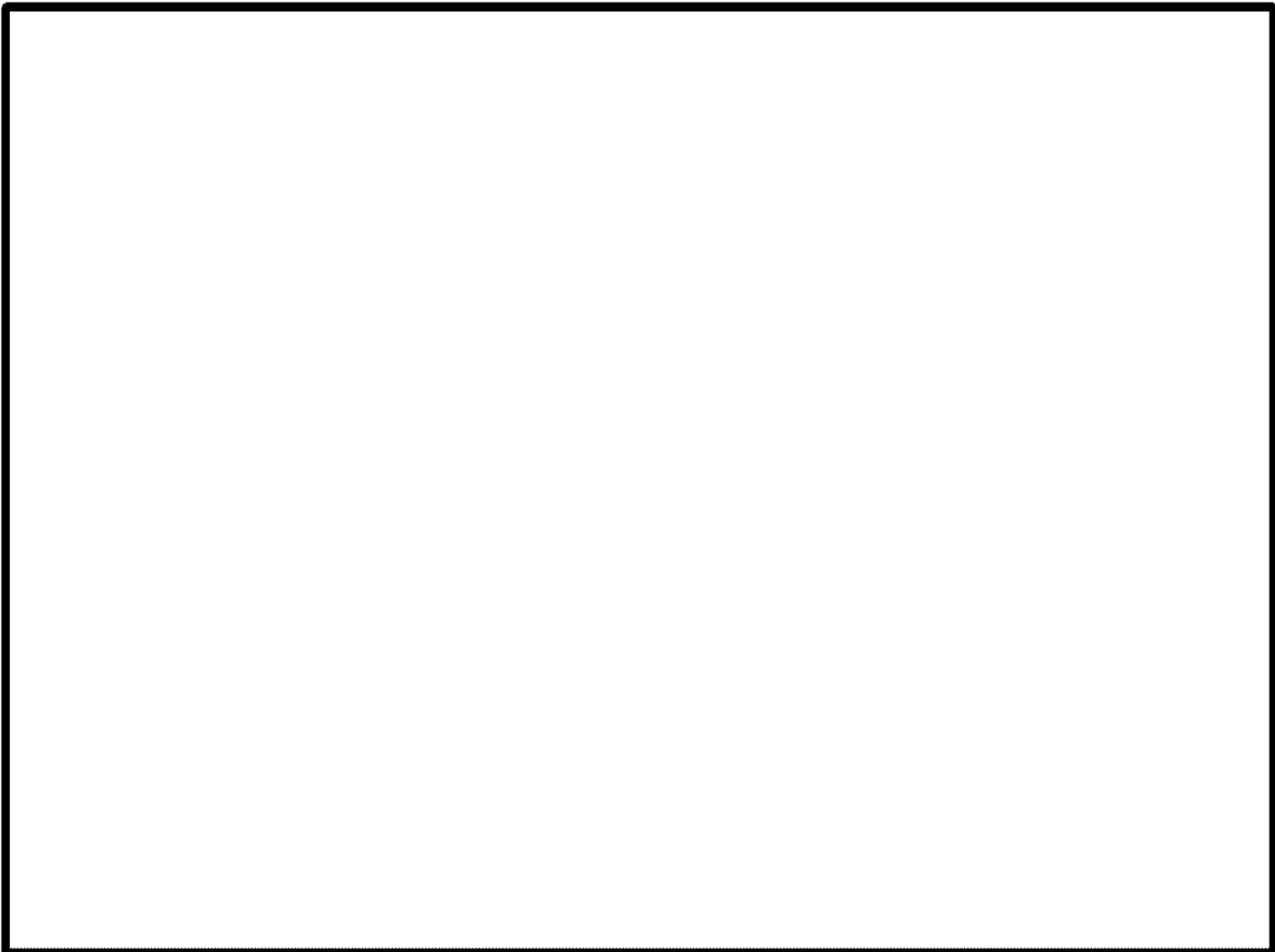
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(b)(5)



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7

From: Renaud, Tracy L
To: Young, Todd P
Subject: FW: President transition report to congress. WF1124072
Date: Monday, May 16, 2016 3:46:27 PM
Attachments: 1605-06-2086 HTD Input transition JCD clean 05122016 (002)-CT Staff chgs-HTD update.docx
WF 1124072 - Public Law 114-136 tasked for draft of the Presidential Transition Improvement Act Threats and Vulnerabilities (Ad Hoc) 05.06.16.pdf

For your awareness and passing to Lori as you deem appropriate. I have FDNS reviewing for any comments.

From: Drake, Johnetta on behalf of USCIS Exec Sec
Sent: Monday, May 16, 2016 11:27:32 AM
To: Renaud, Tracy L; Sahai, Rawn S; Francis, Gregory I; Williams, Lee D; Davis, Marla J
Cc: USCIS Exec Sec
Subject: President transition report to congress. WF1124072

President transition - Congressional report

Johnetta Drake
USCIS Office of the Executive Secretariat
202-236-4246 (Cell)
202-272-0998 (Desk)
202-272-0990 (Office)
EXSO Connect Page
EXSO ECN Page

*Please upload all actions for which Forms G-1056 are used to **CATS**.
Please send all official actions to USCIS-Exec-Sec@uscis.dhs.gov.*

From: Almont, Yohanna **On Behalf Of** I&A Exec Sec
Sent: Monday, May 16, 2016 11:09 AM
To: USSS Exec Sec; EXEC, USCG SMB; USCIS Exec Sec; CBPTASKING; TSAExecSec; Pcly Exec Sec; OGC Exec Sec; MGMTEExecSec; ICE Exec Sec
Cc: I&A Exec Sec; WAITE ALFRED D; Belzak, Brad
Subject: President transition report to congress. WF1124072

Components,

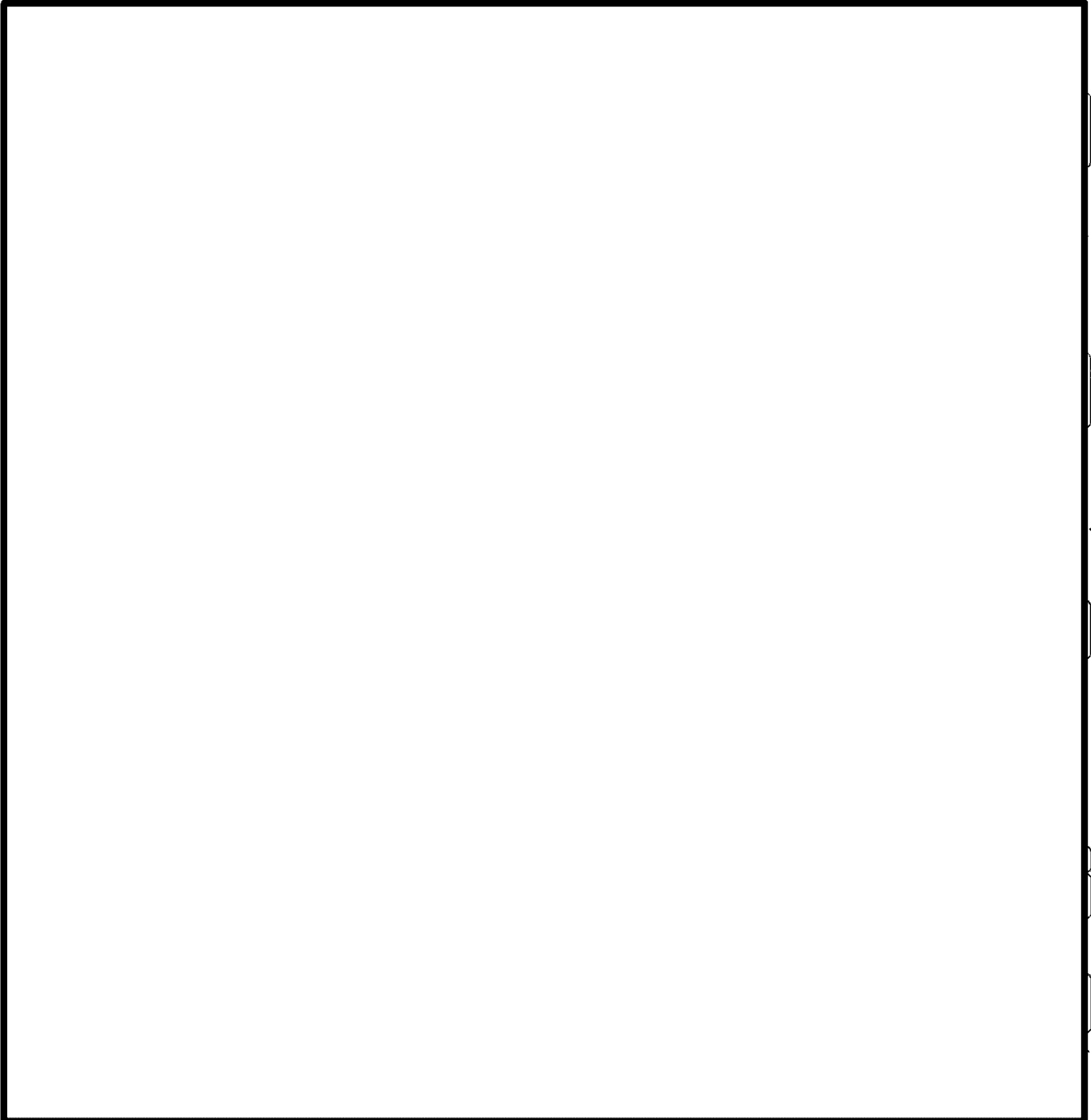
Please see the attached draft report to congress on threats during the Presidential Transition. Please review and provide any additional information by 10:00 am tomorrow May 17, 2016.

Thank you,

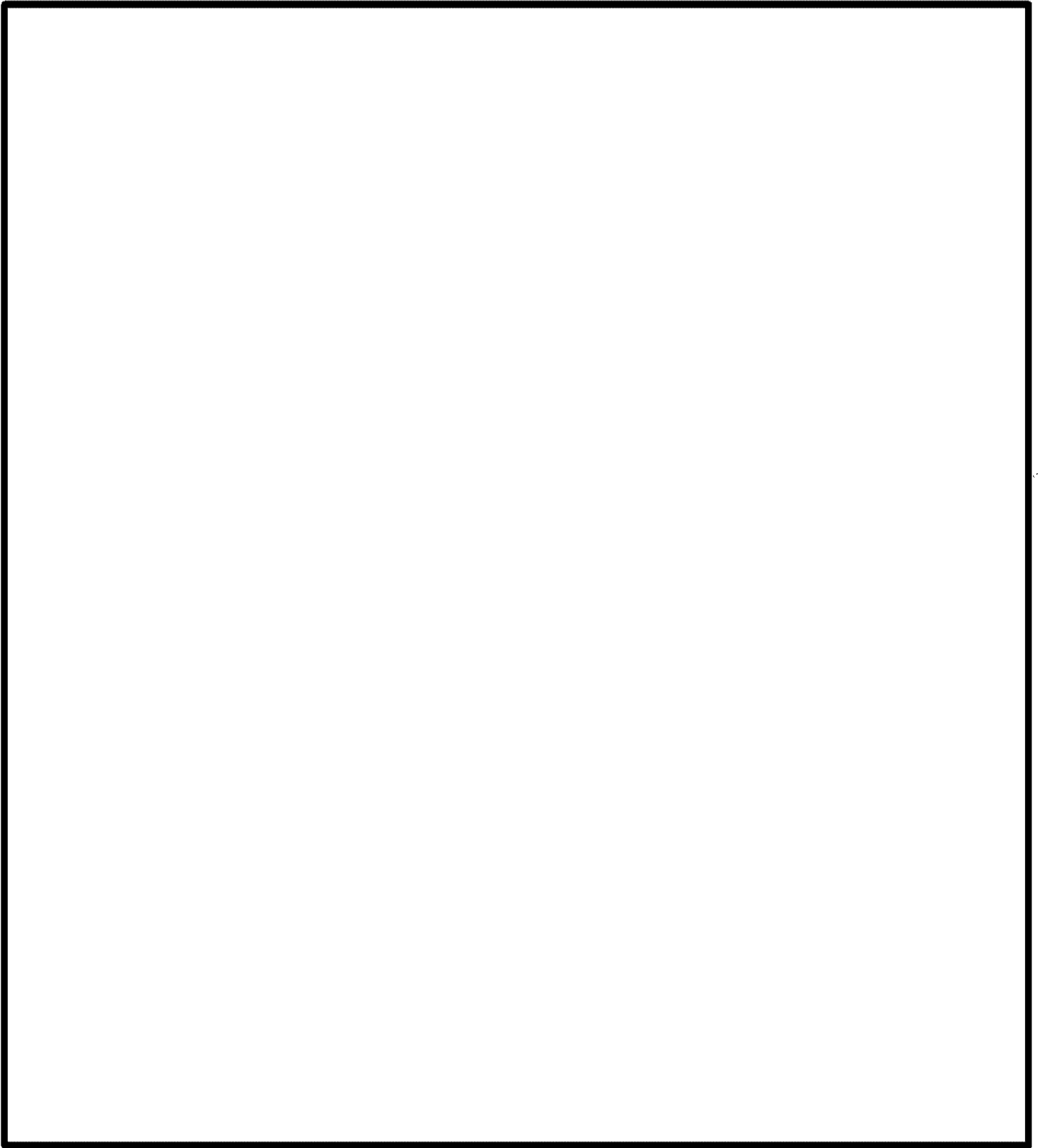
Yohanna Almont
Staff Officer
Executive Secretariat
Office of Intelligence and Analysis
Desk 202-447-3194

Mobile 202-440-3895

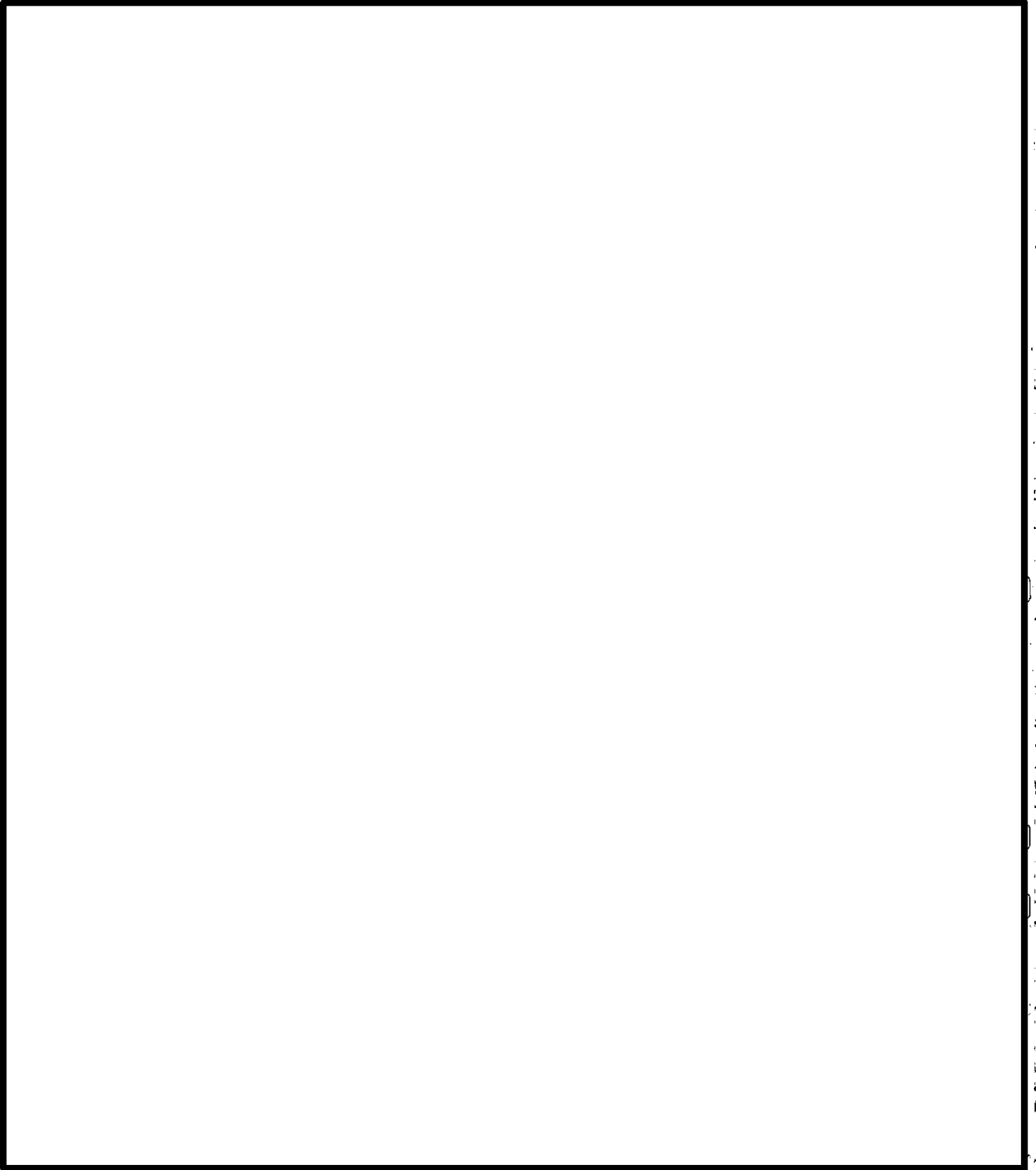
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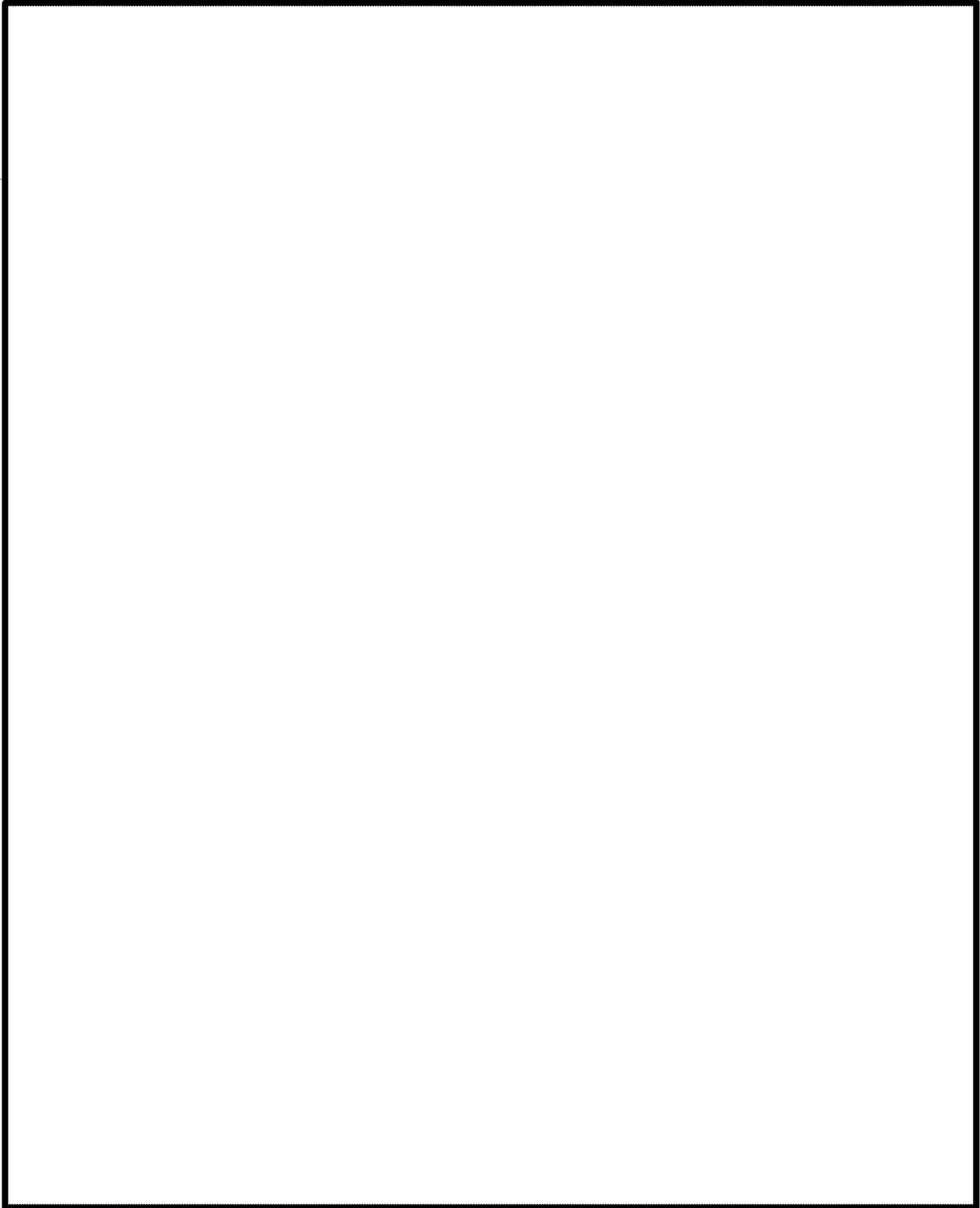
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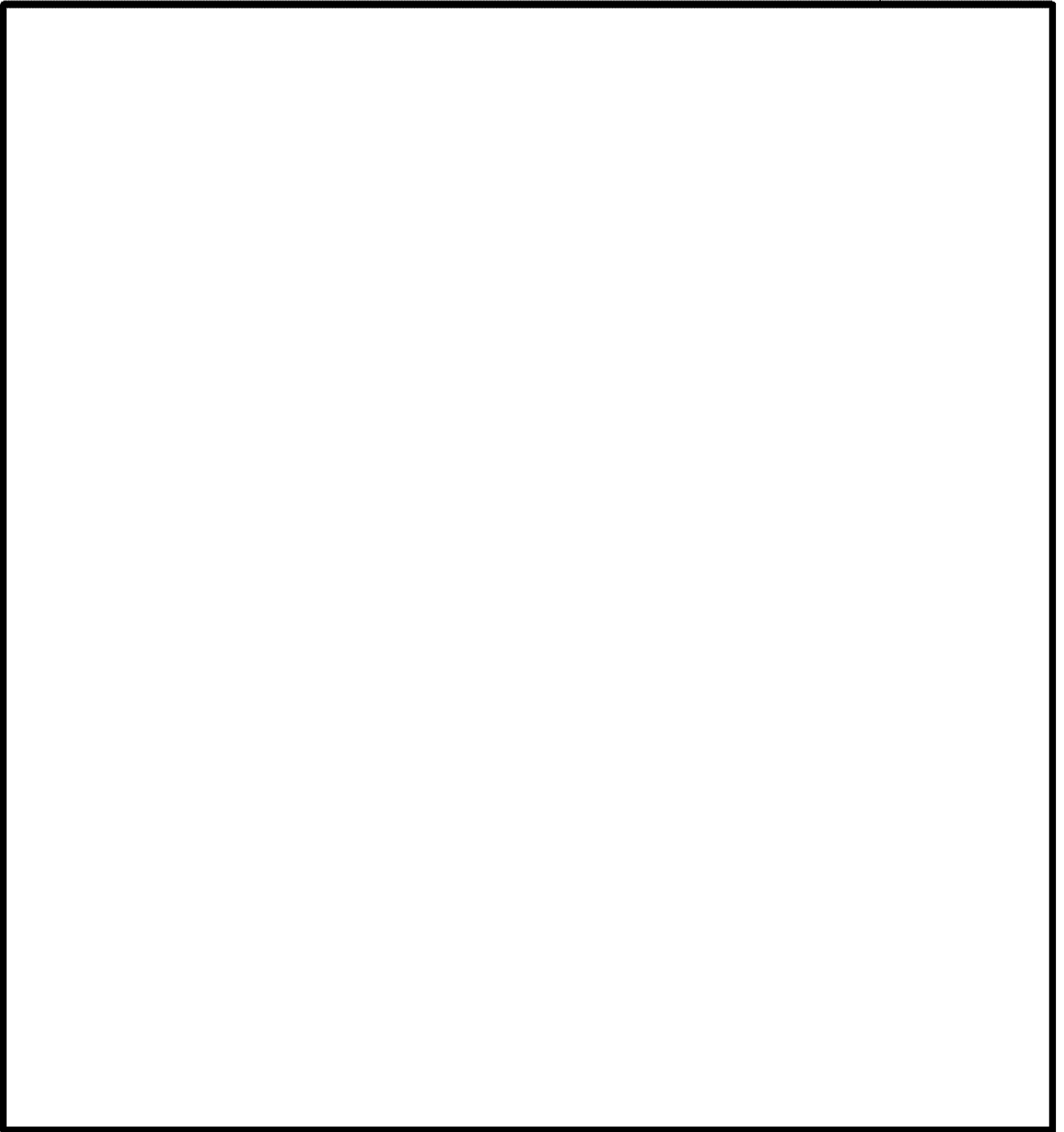
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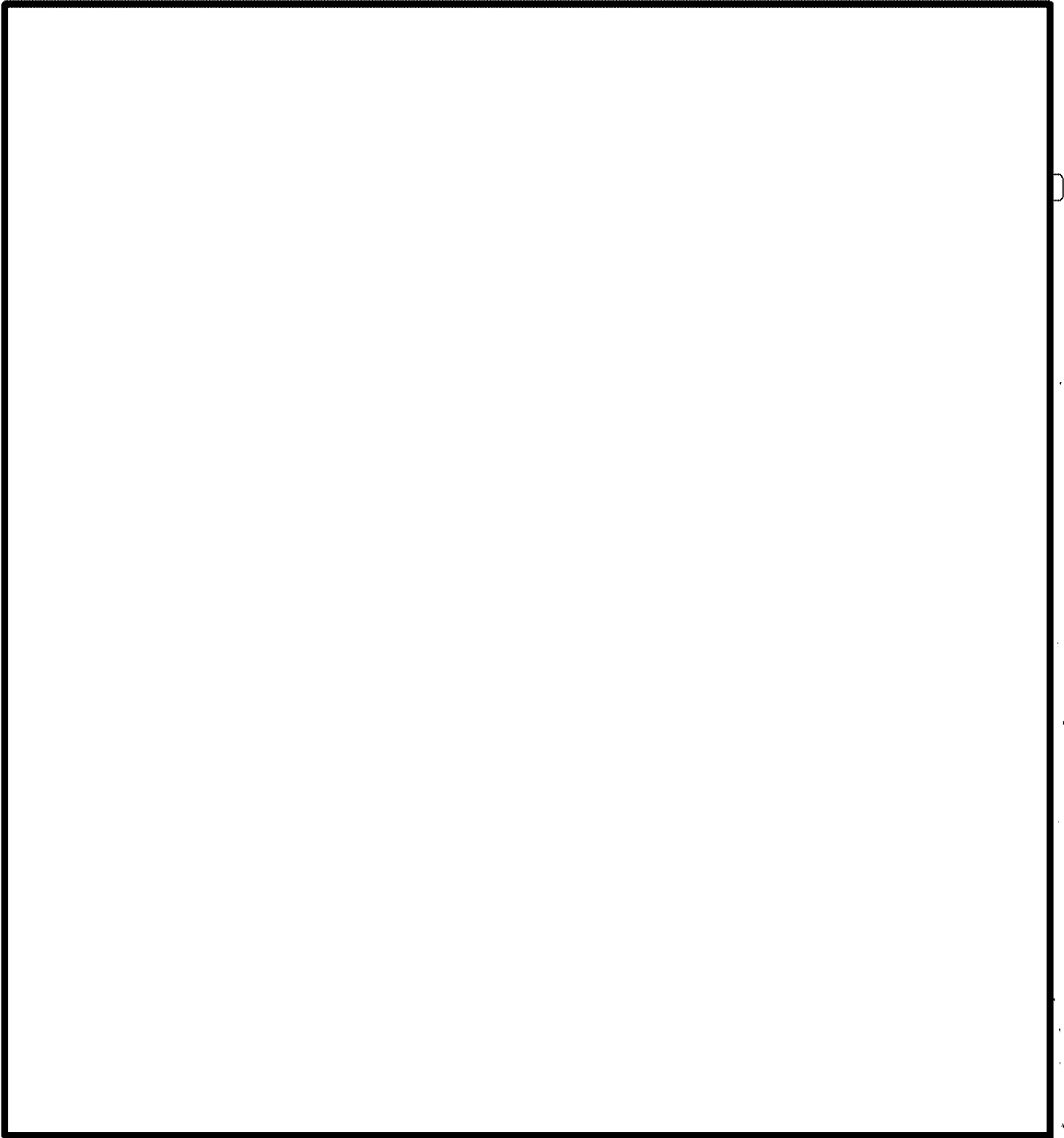
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(b)(5)



(b)(5)



7

From: Renaud, Tracy L
To: Emrich, Matthew D
Cc: Farnani, Julie E
Subject: FW: President transition report to congress. WF1124072
Date: Monday, May 16, 2016 3:44:36 PM
Attachments: [1605-06-2086 HTD Input transition JCD clean 05122016 \(002\)-CT Staff chos-HTD update.docx](#)
[WF 1124072 - Public Law 114-136 tasked for draft of the Presidential Transition Improvement Act Threats and Vulnerabilities \(Ad Hoc\) 05.06.16.pdf](#)

Matt - Please review the draft report and let me and Julie know as soon as possible if you have any edits/comments so we can get them back to the transition team.
Thanks.

From: Drake, Johnetta on behalf of USCIS Exec Sec
Sent: Monday, May 16, 2016 11:27:32 AM
To: Renaud, Tracy L; Sahai, Rawn S; Francis, Gregory I; Williams, Lee D; Davis, Marla J
Cc: USCIS Exec Sec
Subject: President transition report to congress. WF1124072

President transition - Congressional report

Johnetta Drake
USCIS Office of the Executive Secretariat
202-236-4246 (Cell)
202-272-0998 (Desk)
202-272-0990 (Office)
[EXSO Connect Page](#)
[EXSO ECN Page](#)

Please upload all actions for which Forms G-1056 are used to CATS.
Please send all official actions to USCIS-Exec-Sec@uscis.dhs.gov.

From: Almont, Yohanna **On Behalf Of** I&A Exec Sec
Sent: Monday, May 16, 2016 11:09 AM
To: USSS Exec Sec; EXEC, USCG SMB; USCIS Exec Sec; CBPTASKING; TSAExecSec; Plcy Exec Sec; OGC Exec Sec; MGMTEExecSec; ICE Exec Sec
Cc: I&A Exec Sec; WAITE ALFRED D; Belzak, Brad
Subject: President transition report to congress. WF1124072

Components,

Please see the attached draft report to congress on threats during the Presidential Transition.
Please review and provide any additional information by 10:00 am tomorrow May 17, 2016.

Thank you,

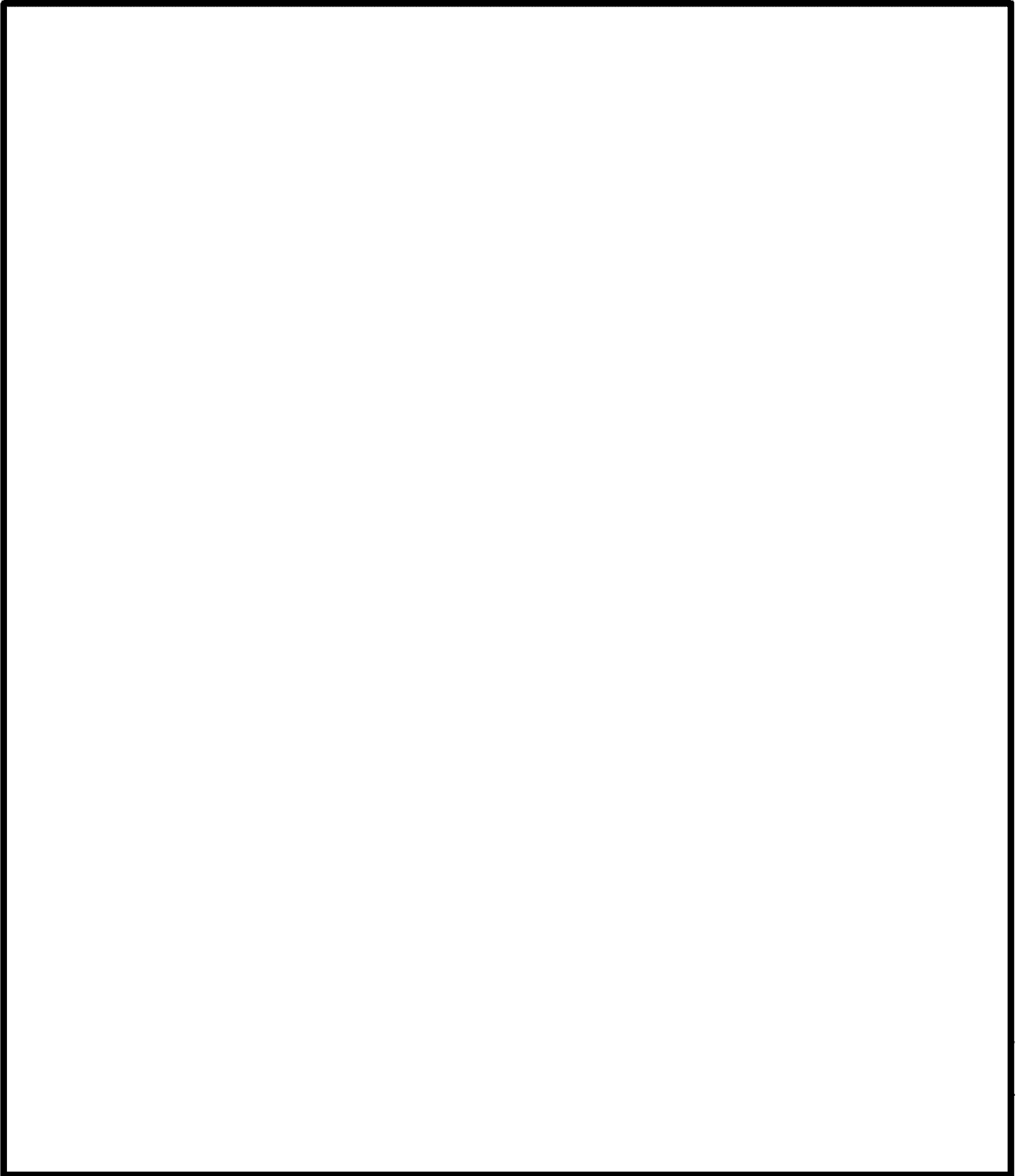
Yohanna Almont
Staff Officer
Executive Secretariat

Office of Intelligence and Analysis
Desk 202-447-3194
Mobile 202-440-3895

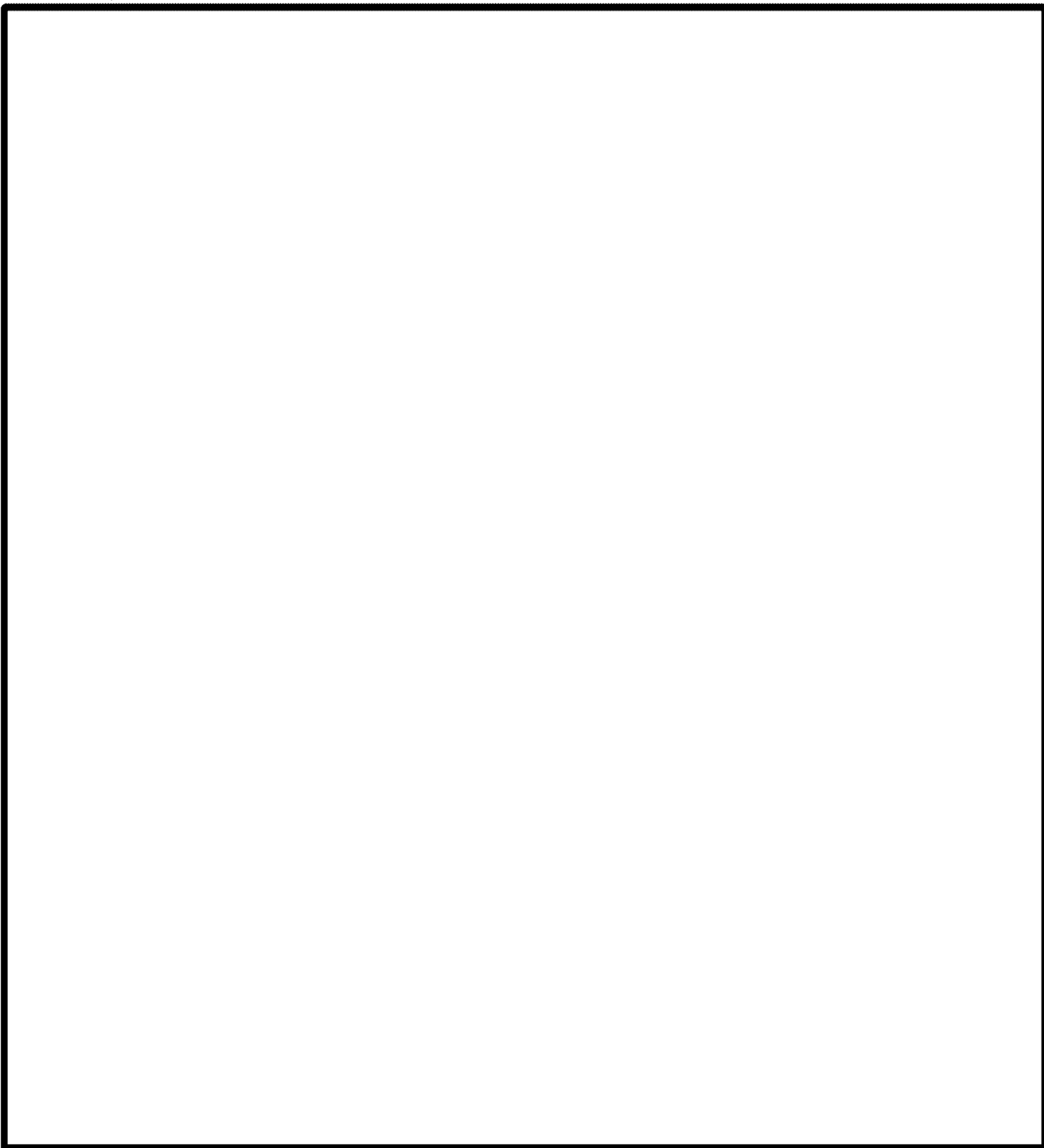
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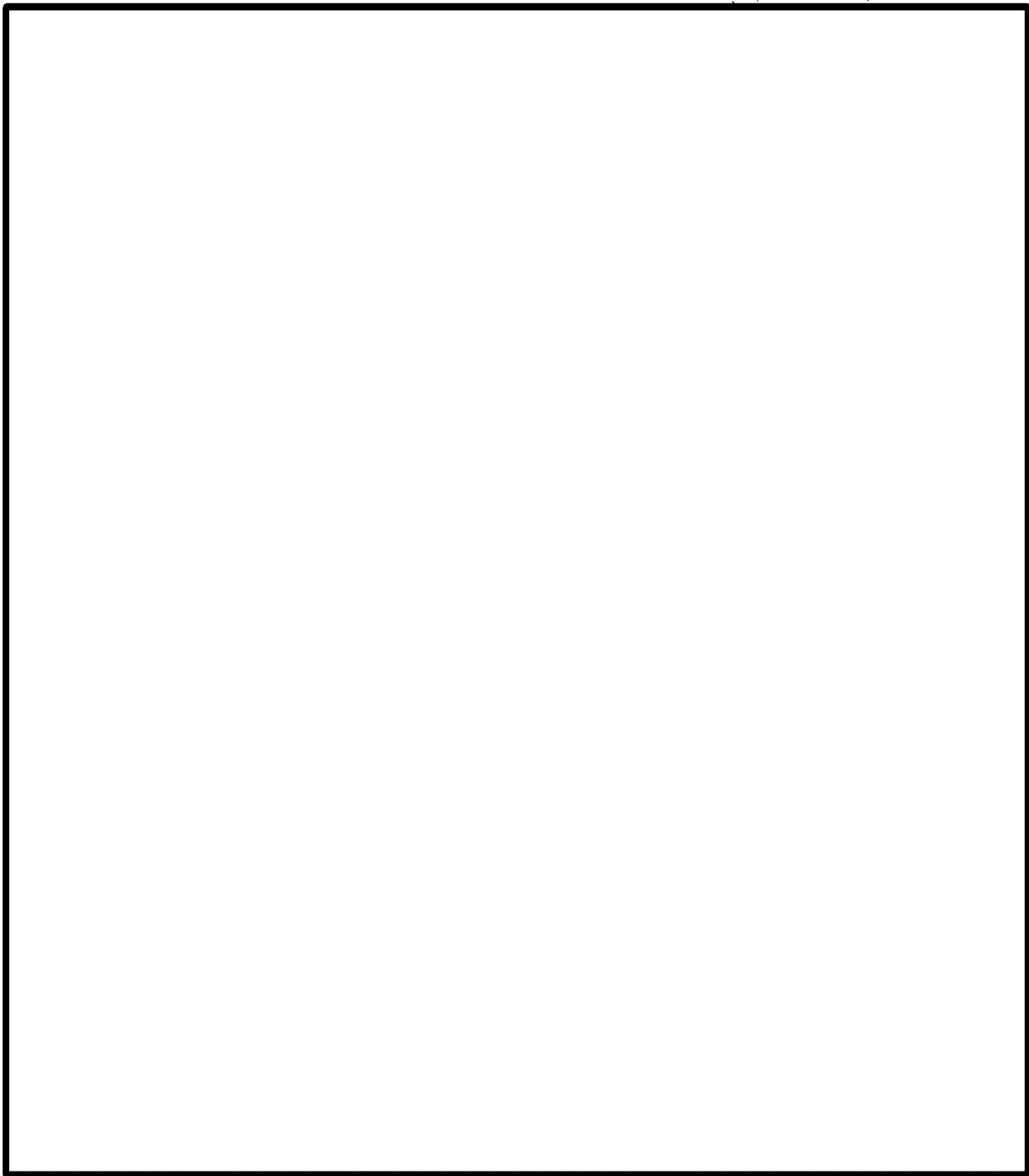
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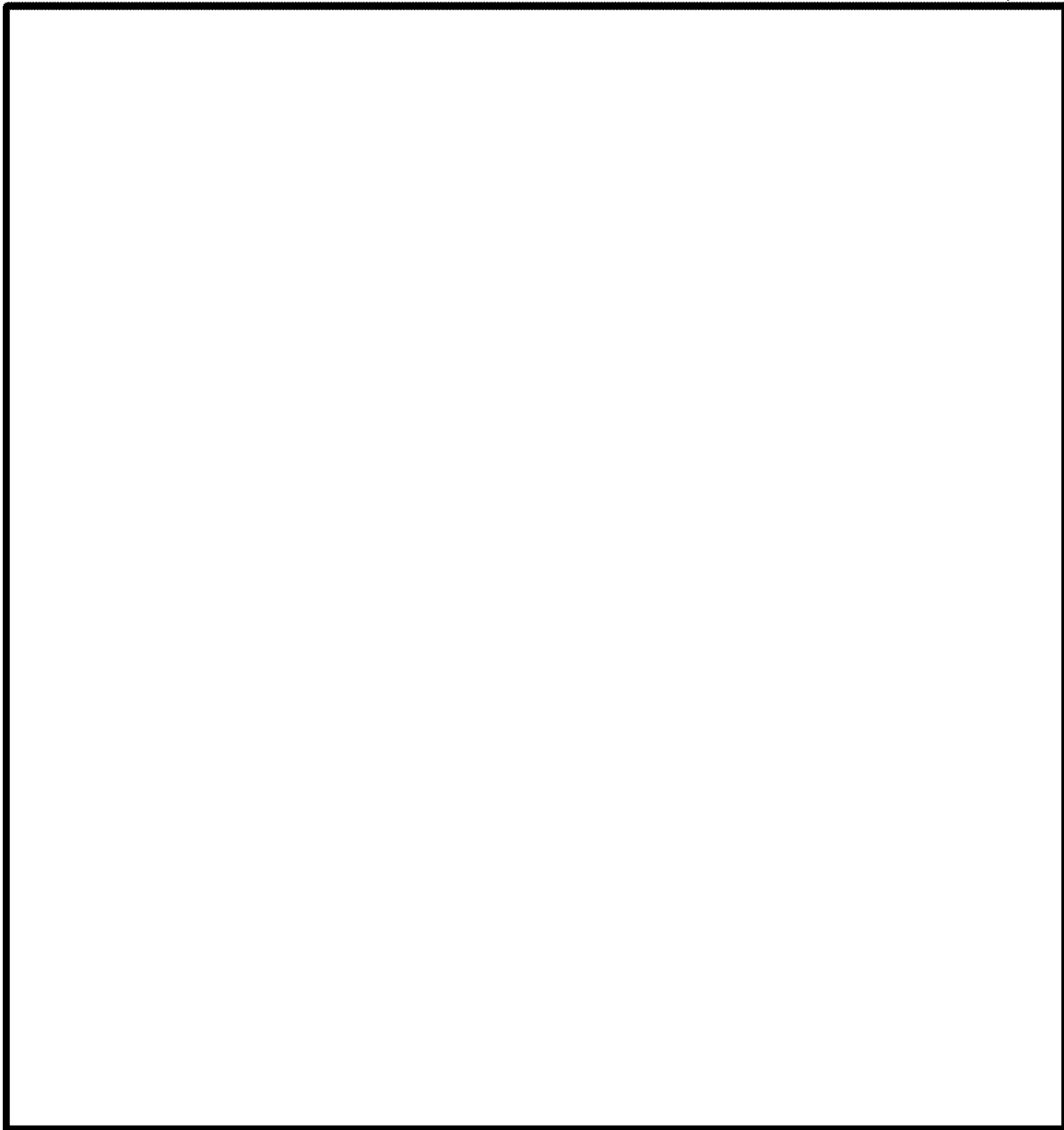
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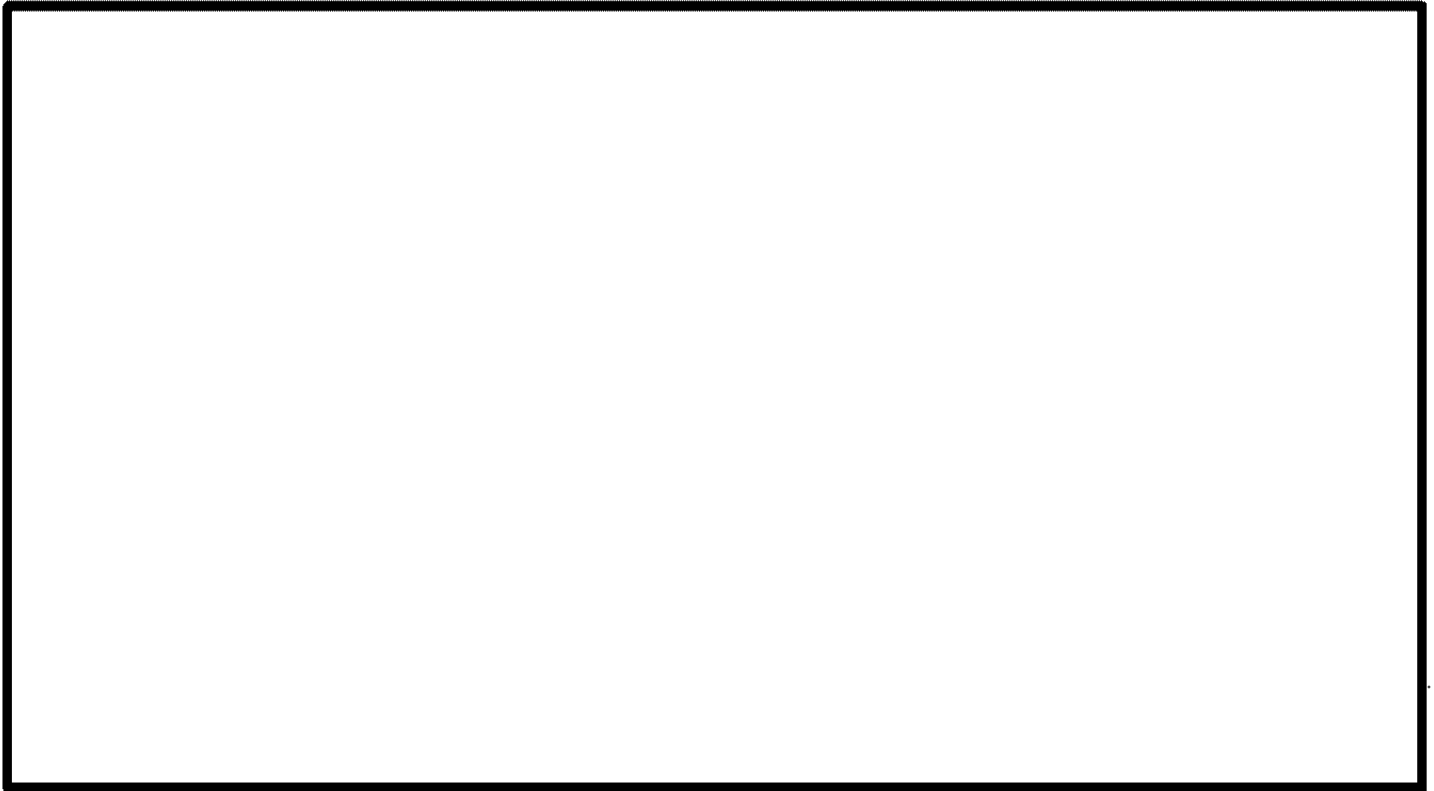
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(b)(5)



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From: [Button, Maria G \(Gemma\)](#)
To: [USCIS Presidential Transition](#)
Cc: [USCIS Exec Sec](#); [Renaud, Tracy L](#); [Farnam, Julie E](#)
Subject: FW: Presidential Transition Office - Strategic Issue Paper Ranking
Date: Friday, July 15, 2016 10:18:32 AM
Attachments: [USCIS Nomination Spreadsheet Consolidation Ranking.xlsx](#)

Good Morning,

I am confirming that USCIS' submission was sent. Please note that I changed the file name to include USCIS, as requested in the original tasking.

Thank you.

Gemma

Maria Gemma Button
Chief
US Citizenship and Immigration Services
Office of the Executive Secretariat
202-272-8568
e-mail: USCIS-Exec-Sec@uscis.dhs.gov
e-mail: Connect: <http://connect.uscis.dhs.gov/org/EXSO/Pages/default.aspx>

From: Button, Maria G (Gemma) **On Behalf Of** USCIS Exec Sec
Sent: Friday, July 15, 2016 10:08 AM
To: Stewart, Bion; Horowitz, Scott; Beagles, James
Cc: Rinehart, Kalee; 'uscis exsec (USCIS-Exec-Sec@uscis.dhs.gov)'
Subject: RE: Presidential Transition Office - Strategic Issue Paper Ranking

Good Morning,

Attached is USCIS' response to this tasking.

Have a good day.

Gemma

Maria Gemma Button
Chief
US Citizenship and Immigration Services
Office of the Executive Secretariat
202-272-8568
e-mail: USCIS-Exec-Sec@uscis.dhs.gov
e-mail: Connect: <http://connect.uscis.dhs.gov/org/EXSO/Pages/default.aspx>

From: Rinehart, Kalee
Sent: Wednesday, July 06, 2016 4:19 PM
To: CISOMBExecSec; CRCL Exec Sec; DNDO Exec Sec; FLETC Exec Sec; ESEC-Internal Liaison; I&A Exec Sec; PRIV Exec Sec; OGC Exec Sec; ohaexecsec; OIG Execsec; OLA Exec Sec; OPE Tasking; OPE_Tasking; OPA Exec Sec; OPS Exec Sec; Pcy Exec Sec; S&T Exec Sec; CBPEXECSEC; FEMAExecSec; ICE Exec Sec; NPPDExecSec; TSAExecSec; EXEC, USCG SMB; USCIS Exec Sec; CFO Exec Sec;

CHCOExecSec; OCIO ExecSec; CPOEXECSEC; CRSO_ExecSec; CSOEXECSEC; PARMExecSec;; Comans,
Mary Francis; USSS Exec Sec

Cc: Stewart, Bion; Horowitz, Scott; MGMTExecSec

Subject: Presidential Transition Office - Strategic Issue Paper Ranking

Sorry – I didn't mean to recall this message. This tasking still stands!

To All DHS Component and LOB ESEC Sec's

Please see tasker from the DHS Transition Office

"The Presidential Transition Office (PTO) requests Component, Office, Directorate & MGMT LOB review and ranking of Presidential Transition Strategic Issue Papers. The attached spreadsheet includes over 100 transition strategic issue paper topics submitted by DHS Components, Offices, Directorates, and MGMT LOBs. Please review and indicate your top 30 strategic issue papers by ranking them from 1 (most important) to 30 in the "Rank" column on the far right of the document. Please do not alter the spreadsheet in any other way. Please include your Component/Office in the file name of spreadsheet upon return.

This is the next step in the process to recommend a list of transition strategic issue papers to the DMAG and ultimately S1 for final approval. Request this tasker be routed to Component/Office/Directorate & MGMT LOB SCAO's as identified in the attached Transition SCAO list. **Please deliver responses by COB 15 July 2016** to bion.stewart@hq.dhs.gov, scott.horowitz@hq.dhs.gov & James.Beagles@hq.dhs.gov.

For questions regarding this request, please contact Bion Stewart, 202-282-9125 or Scott Horowitz, 202-282-8152"

From: Renaud, Tracy L
To: Scialabba, Lori L (Lori.Scialabba@uscis.dhs.gov)
Cc: Young, Todd P; Walters, Jessica S (Jessica.S.Walters@uscis.dhs.gov); Farnam, Julie E
Subject: FW: Presidential Transition Office - Strategic Issue Paper Ranking
Date: Thursday, July 07, 2016 3:19:00 PM
Attachments: Nomination Spreadsheet Consolidation Ranking.xlsx

Lori,

Here is our next tasking from the DHS PTO – we now need to rank all of the proposed issue paper submissions into our priority 1 through 30 due next Friday. Do you want to discuss and we can decide together or is it easier for you if we take a shot at ranking and get it to you for clearance?

*Tracy L. Renaud
Associate Director
Management Directorate
US Citizenship & Immigration Services
Department of Homeland Security
202-272-1739 (desk)*

From: Drake, Johnetta **On Behalf Of** USCIS Exec Sec
Sent: Wednesday, July 06, 2016 3:46 PM
To: USCIS Presidential Transition; Renaud, Tracy L; Farnam, Julie E
Cc: USCIS Exec Sec
Subject: FW: Presidential Transition Office - Strategic Issue Paper Ranking

Please handle as appropriate. The last attachment is the second tasking.

*Johnetta Drake
USCIS Office of the Executive Secretariat
202-236-4246 (Cell)
202-272-0998 (Desk)
202-272-0990 (Office)
[EXSO Connect Page](#)
[EXSO ECN Page](#)*

*Please upload all actions for which Forms G-1056 are used to **CATS**.
Please send all official actions to USCIS-Exec-Sec@uscis.dhs.gov.*

From: Rinehart, Kalee
Sent: Wednesday, July 06, 2016 3:36 PM
To: CISOMBExecSec; CRCL Exec Sec; DNDO Exec Sec; FLETC Exec Sec; ESEC-Internal Liaison; I&A Exec Sec; PRIV Exec Sec; OGC Exec Sec; ohaexecsec; OIG Execsec; OLA Exec Sec; OPE Tasking; OPE_Tasking; OPA Exec Sec; OPS Exec Sec; Plcy Exec Sec; S&T Exec Sec; CBPEXECSEC; FEMAExecSec; ICE Exec Sec; NPPDExecSec; TSAExecSec; EXEC, USCG SMB; USCIS Exec Sec; CFO Exec Sec; CHCOExecSec; OCIO ExecSec; CPOEXECSEC; CRSO_ExecSec; CSOEXECSEC; PARMExecSec;; Comans, Mary Francis; USSS Exec Sec
Cc: Stewart, Bion; Horowitz, Scott; MGMTEExecSec
Subject: Presidential Transition Office - Strategic Issue Paper Ranking

To All DHS Component and LOB ESEC Sec's

Please see tasker from the DHS Transition Office

"The Presidential Transition Office (PTO) requests Component, Office, Directorate & MGMT LOB review and ranking of Presidential Transition Strategic Issue Papers. The attached spreadsheet includes over 100 transition strategic issue paper topics submitted by DHS Components, Offices, Directorates, and MGMT LOBs. Please review and indicate your top 30 strategic issue papers by ranking them from 1 (most important) to 30 in the "Rank" column on the far right of the document. Please do not alter the spreadsheet in any other way, Please include your Component/Office in the file name of spreadsheet upon return.

This is the next step in the process to recommend a list of transition strategic issue papers to the DMAG and ultimately S1 for final approval. Request this tasker be routed to Component/Office/Directorate & MGMT LOB SCAO's as identified in the attached Transition SCAO list. **Please deliver responses by COB 15 July 2016** to bion.stewart@hq.dhs.gov, scott.horowitz@hq.dhs.gov & James.Beagles@hq.dhs.gov.

For questions regarding this request, please contact Bion Stewart, 202-282-9125 or Scott Horowitz, 202-282-8152"

DHS Presidential Transition
Senior Component Accountable Officials (SCAOs) and
Line of Business Senior Accountable Officials (SAOs)

As of June 23, 2016

Headquarters			
<i>Office</i>	<i>SCAO</i>	<i>Title</i>	<i>Phone Number</i>
CIS Ombudsman	Stacy Shore	Acting Deputy Director	202-357-8397 (o) 202-617-9712 (c)
CRCL	Veronica Venture	Deputy Officer	202-357-1270 (o) 202-697-0872 (c)
DNDO	Joel Rynes	Assistant Director	202-254-7608 (o) 202-549-4130 (c)
FLETC	Connie Patrick	Director	912-267-2501 (o)
Front Office	Jennifer Higgins	Deputy Chief of Staff	202-282-8261 (o) 202-836-1566 (c)
I&A	Mary Peterson	Chief of Staff	202-282-8821 (o) 571-216-4725 (c)
PRIV	James Holzer	Deputy Chief FOIA Officer	202-343-1756 (o) 202-997-1624 (c)
OGC	Meghan Ludtke	Chief of Staff	202-282-8889 (o) 202-680-4900 (c)
OHA	Larry (Dave) Fluty	Principal Deputy Assistant Secretary	202-254-8836 (o) 281-638-2281 (c)
OIG	Louise McGlathery	Assistant Inspector General, Office of Management	202-254-5408 (o) 202-345-4342 (c)
OLA	Susan Corbin	Chief of Staff	202-253-0177
OPE	Alaina Clark	Deputy Assistant Secretary	202-447-3101 (o) 202-281-8135 (c)
OPA	Tammy L. Howard	Chief of Staff	202-282-9264 (o) 202-557-6422 (c)
OPS	Todd Heinz	Chief of Staff	202-282-8432 (o) 202-380-7512 (c)
PLCY	Kelli Ann Burriesci	Acting Assistant Secretary for Threat Prevention and Security Policy	202-447-3814 (o) 202-510-1386 (c)
S&T	Keith Holtermann	Senior S&T Advisor to FEMA for RDT&E	202-254-6019 (o) 202-646-4099 (o) 202-306-7619 (c)

Operational Components			
<i>Office</i>	<i>SCAO</i>	<i>Title</i>	<i>Phone Number</i>
CBP	Lewis Roach	Deputy Director, Policy and Planning	202-417-4185
FEMA	David Bibo	Acting Associate Administrator, Office of Policy & Program Analysis	202-212-4771 (o) 202-495-8892 (c)
ICE	Lyn Rahilly	Assistant Director for Privacy and Records	202-732-3301 (o) 703-298-7734 (c)
NPPD	David Hess	Chief of Staff	703-235-2090 (o) 202-557-6021 (c)
TSA	Julie Scanlon	Deputy Assistant Administrator	571-227-3008 (o)
USCG	RDML Anthony Vogt	Assistant Superintendent	860-444-8286 (o) 907-957-0639 (c)
USCIS	Tracy Renaud	Senior Executive and Associate Director for Management	202-272-1739 (o) 202-445-0986 (c)
USSS	Faron Paramore	Assistant Director	

Management Lines of Business			
<i>Office</i>	<i>LOB/SAO</i>	<i>Title</i>	<i>Phone Number</i>
OCFO	Stacy Marcott	Deputy Chief Financial Officer	202-447-5757 (o) 202-557-0507 (c)
OCHCO	Kirstin Austin	Manager, Workforce Development Strategy	202-357-8502 (o)
OCIO	Shila Cooch	Chief of Staff	202-207-8718 (c)
OCPO	Anthony Bell	Procurement Analyst	202-447-0063 (o) 202-573-6705 (c)
OCRSO	Laurie Boulden	Chief of Staff	202-343-4048 (o) 703-999-2237 (c)
OCSO	Robert McRae	Deputy Division Chief	202-282-9864 (o) 202-507-2337 (c)
PARM	David Patrick	Director, Acquisition Operations	202-570-9583 (o) 202-343-4558 (c)

Other Offices/DHS Entities			
<i>Office</i>	<i>Point of Contact</i>	<i>Title</i>	<i>Phone Number</i>
Joint Requirements Council	Mary Comans		

Jaynes, Thomas A (Allen)

From: Rinehart, Kalee
Sent: Wednesday, July 06, 2016 2:38 PM
To: CISOMBExecSec; CRCL Exec Sec; DNDO Exec Sec; FLETC Exec Sec; ESEC-Internal Liaison; I&A Exec Sec; PRIV Exec Sec; OGC Exec Sec; ohaexecsec; OIG Execsec; OLA Exec Sec; OPE Tasking; OPE_Tasking; OPA Exec Sec; OPS Exec Sec; Plcy Exec Sec; S&T Exec Sec; CBPEXECSEC; FEMAExecSec; ICE Exec Sec; NPPDExecSec; TSAExecSec; EXEC, USCG SMB; USCIS Exec Sec; CFO Exec Sec; CHCOExecSec; OCIO ExecSec; CPOEXECSEC; CRSO_ExecSec; CSOEXECSEC; PARMExecSec; Comans, Mary Francis; USSS Exec Sec
Cc: Stewart, Bion; Horowitz, Scott; MGMTEExecSec
Subject: Presidential Transition Office - Request for Information #2

To All DHS Component and LOB ESEC Sec's

Please see tasker from the DHS Transition Office. This should be routed to the Senior Component Accountable Officials as identified in the attached "SCAO" document.

"The Presidential Transition Office (PTO) requests Component, Office, Directorate, and MGMT LOB responses to the attached PTO Request For Information #2. Responses to the attached will be included with responses to RFI #1 to build out the DHS Overview briefing materials. Please note some requested items are identified and highlighted as Operational Components Only and/or for USCG and CBP Only. Responses for this RFI will be imbedded within the attached document unless otherwise specified. Request this tasker be routed to Component/Office/Directorate & MGMT LOB SCAO's as identified in the attached Transition SCAO list. Please deliver responses by COB 20 July 2016 to bion.stewart@hq.dhs.gov; scott.horowitz@hq.dhs.gov; James.Beagles@hq.dhs.gov

For questions regarding this request, please contact Bion Stewart, 202-282-9125 or Scott Horowitz, 202-282-8152"

Thank you.

From: [USCIS Presidential Transition](#)
To: [Baran, Amanda](#)
Cc: [Renaud, Tracy L](#)
Subject: FW: Presidential Transition- Strategic Issue Paper Tasking - PLCY Led
Date: Wednesday, September 07, 2016 2:39:49 PM
Attachments: [Issue Paper FormatV3.docx](#)
[Presidential Transition Office-Strategic Issue Paper Assignments - PLCY Tracker.xlsx](#)

Hi Amanda,

Emilie forwarded your message to me. Please feel free to reach out to me or our SCAO Tracy Renaud, copied on this message, in coordinating the drafting of issue papers. We have an immigration overview paper drafted and it is with our counsel now. Of course, our paper is only a piece of the whole immigration picture, but it should provide you with some useful stats regarding immigration. I hope to have the paper cleared to send to you either a little later today or sometime tomorrow. If you'd like to discuss further, please give me a call.

Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
(c) 202-489-8802

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From: Baran, Amanda
Sent: Wednesday, September 07, 2016 2:54:26 PM
To: Hyams, Emilie R
Subject: FW: Presidential Transition- Strategic Issue Paper Tasking - PLCY Led

Hi Emilie,

As you can see from the attached, PLCY and USCIS have been tasked with drafting a transition paper entitled, "Immigration Overview." I will be leading this effort for PLCY and wanted to connect to discuss who at USCIS I should be in touch with regarding this paper.

Let me know if you have any questions.

Thanks!
Amanda

From: Petyo, Briana
Sent: Tuesday, September 6, 2016 6:58 PM

To: Monarez, Susan <susan.monarez@hq.dhs.gov>; Sobel, Ted <ted.sobel@HQ.DHS.GOV>; Lester-Saura, Victoria <Victoria.LesterSaura@HQ.DHS.GOV>; Giovagnoli, Mary <mary.giovagnoli@hq.dhs.gov>; Baran, Amanda <amanda.baran@hq.dhs.gov>; Rogal, Leah <leah.rogal@hq.dhs.gov>; Pejic, Gregory <gregory.pejic@hq.dhs.gov>; Kuepper, Andrew <andrew.kuepper@hq.dhs.gov>; King, Matthew <matthew.king@hq.dhs.gov>; Scardaville, Michael <Michael.Scardaville@HQ.DHS.GOV>; Shelton, Paul <paul.shelton@hq.dhs.gov>
Cc: Burriesci, Kelli <kelli.burriesci@hq.dhs.gov>; Canevari, Holly <holly.canevari@HQ.DHS.GOV>
Subject: Presidential Transition- Strategic Issue Paper Tasking - PLCY Led

All,

We have received the first round of issue paper tasking from the Presidential Transition Office. If you are receiving this email, you are designated a co-lead on a paper for DHS. Attached please find the issue paper template and a spreadsheet that will outline the papers topics, assignments across the Components, and a detailed breakdown of internal PLCY leads and required coordinators.

Please be proactive in reaching out to your co-leads sooner rather than later to ensure you have a path forward and our input is included given the uncertainty of the co-lead construct. Be sure to coordinate closely with others in PLCY who have equities prior to circulating with other Components. Please let me know if you are having difficulty identifying the right POC for a co-lead and I can facilitate. Additionally, please remember that these are meant to be very high-level and only the most critical information for a Principal should be included. They should be no more than 3 pages in length and should be unclassified if possible but may be FOUO or LES, if necessary.

Papers are due to me and Kelli Ann by 9/14.

Thanks,
Briana

From: USCIS Presidential Transition
To: Young, Todd P; Walters, Jessica S
Cc: Renaud, Tracy L
Subject: FW: Ready to Act: Panel Featuring Leaders from the 2008 Transition, September 16, 1 pm
Date: Tuesday, September 13, 2016 12:25:56 PM

I don't know if Lori has received this invite or if she'd want to attend this discussion, but I am passing this along as she is a career successor.

Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
(c) 202-489-8802

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From: Micone, Vincent
Sent: Monday, September 12, 2016 4:59 PM
Subject: Ready to Act: Panel Featuring Leaders from the 2008 Transition, September 16, 1 pm

Career Successors and SCAOs:

You are invited to attend a high-level discussion with previous DHS senior officials on their experiences in the 2008 Presidential transition. This panel, the first of our *Ready to Act* executive sessions, will be held on **Friday, September 16, 2016, 1-2:30 pm, in the NAC Large Conference Room**. Distinguished panelists (in alphabetical order) will include:

- Rand Beers, Former Acting Secretary and Under Secretary for NPPD. Mr. Beers was a leader of the 2008 DHS agency review team for then President-Elect Obama.
- Noah Kroloff, Former Chief of Staff to Secretary Napolitano. Mr. Kroloff assisted then Governor Napolitano through the confirmation process and was one of the first appointees at DHS after the Inauguration.
- Chad Sweet, Former Chief of Staff to Secretary Chertoff. Mr. Sweet ensured a smooth transition from Secretary Chertoff to Secretary Napolitano.
- Paul Schneider, Former Deputy Secretary and Under Secretary for Management. Mr. Schneider provided executive leadership to the 2008 DHS transition program.

This will be an exceptional opportunity to understand the sprint that takes place after the Presidential election through the Inauguration and into the first months of a new administration.

Attendance will be limited to the Career Successors to Component Heads, Senior Component Accountable Officials for Transition, and one additional participant from each Operational Component, Directorate, HQ Office and LOB such as an Action Officer or other transition lead.

An Outlook scheduler has been sent to you. To participate, please RSVP by 12 noon on Wednesday, September 13, to Greg Halter at greg.halter@hq.dhs.gov.

Thanks,
Vince

Vince Micone
DHS Presidential Transition Officer
and Senior Counselor
Management Directorate
U.S. Department of Homeland Security
(202) 447-3400

From: USCIS Presidential Transition
To: McCament, James W; Levine, Laurence D; Carpenter, Dea D
Cc: Renaud, Tracy L
Subject: FW: Ready to Act: Panel Featuring Leaders from the 2008 Transition, September 16, 1 pm
Date: Tuesday, September 13, 2016 12:24:39 PM

I'm not sure if you received this message, but if not, I wanted to pass this along to you. You should have received an invite, but if you did not, please let me know. I already have a car reserved to go to the NAC, so if you'd like to join, please let me know and I'll make sure the car does not leave without you.

Thank you,
Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
(c) 202-489-8802

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Thanks,
Vince

Vince Micone
DHS Presidential Transition Officer
and Senior Counselor
Management Directorate
U.S. Department of Homeland Security
(202) 447-3400

From: [Stewart, Bion](#)
To: [Renaud, Tracy L](#)
Subject: FW: REMINDER! 2016-17 Presidential Transition Ready to Act Training
Date: Monday, October 17, 2016 8:31:14 AM
Attachments: [image001.png](#)

Tracy,

Per Vince's email, following up to let you know we have not yet received an RSVP to register for a Ready to Act Executive Brief from Daniel Renaud. If you could please follow up with him to register for one of the remaining dates, we'd appreciate it.

Thanks.

Bion

Bion Stewart
Deputy Presidential Transition Officer
Department of Homeland Security
202-282-9125

From: Micone, Vincent
Sent: Friday, October 14, 2016 1:21 PM
Subject: FW: REMINDER! 2016-17 Presidential Transition Ready to Act Training

SCAOs,

Your account exec will provide you information for your component on who has registered To date and who has not. Would appreciate nudges from you, as I need to report out on our numbers to the front office.

Thanks,
Vince

Vince Micone
DHS Presidential Transition Officer
and Senior Counselor
Management Directorate
U.S. Department of Homeland Security
(202) 447-3400

From: Office of the Under Secretary for Management
Sent: Friday, October 14, 2016 1:18 PM
Subject: REMINDER! 2016-17 Presidential Transition Ready to Act Training



Homeland Security

Colleagues,

I would like to thank all of you who have confirmed your attendance for a *Ready to Act: Successor Executive Briefing Session*. Our first session was held today.

The *Ready to Act: Successor Executive Briefing* will be offered three additional times during the month of October. Please select the session that best fits your schedule. The session dates are:

- October 20, 2016 – 10:30 a.m. to 12 p.m. – OCHCO, 1201 New York Avenue, NW
- October 21, 2016 – 10:30 a.m. to 12 p.m. – Nebraska Avenue Complex, Room NAC01-044 and by webinar for field staff outside of the National Capital Region
- October 31, 2016 – 1:30 p.m. to 3 p.m. – Nebraska Avenue Complex, Room NAC01-044

As a reminder, attendance at a session is mandatory. Please RSVP to Transition2017@hq.dhs.gov with the date of the session you wish to attend. Once the RSVP is received, an Outlook calendar invitation will be sent to you for the executive briefing.

If you have any questions about the Presidential Transition, please contact me by email at vincent.micone@hq.dhs.gov or by telephone on (202) 447-3400.

Thanks,

Vince Micone
DHS Presidential Transition Officer and Senior Counselor
Management Directorate

From: Office of the Under Secretary for Management
Sent: Tuesday, October 4, 2016 10:28 AM
Subject: 2016-17 Presidential Transition Ready to Act Training



Homeland Security

DHS Career Successors,

With the Presidential election approaching, the Department completed a comprehensive review of the succession plan for key officials. This process was completed with the Secretary's approval on September 14. A key aspect of this process has been to identify

career successors for all key leadership positions within the Department. You are one of the career leaders who serves in a successor position.

Part of a smooth transition is to ensure that the career employees who may step in to act are prepared for the challenges that they may face. To ensure all career successors are *Ready to Act*, the Presidential Transition Office has worked with several Components and good government partners to provide executive briefing sessions for you.

Participation in the session is a mandatory requirement for you as a career successor. This 90-minute session will include an update on the Department's Presidential Transition preparations and how they impact you. Also, a brief overview of Continuity of Operations, Continuity of Government, and Incident Response responsibilities for successors will be provided. The session will conclude with a discussion on preparing and managing the arrival of the new Administration leadership within your organization.

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Please RSVP to Transition2017@hq.dhs.gov with the date of the session you wish to attend. Once the RSVP is received, an Outlook calendar invitation will be sent to you for the executive briefing.

Every day, DHS employees help to safeguard our Nation. With your support, we will continue to deliver our mission – with honor and integrity, safeguarding the American people, our homeland, and our values. Thank you for your hard work.

Sincerely,

Russ Deyo
Under Secretary for Management

From: Micone, Vincent
Subject: FW: REMINDER! 2016-17 Presidential Transition Ready to Act Training
Date: Friday, October 14, 2016 1:20:55 PM
Attachments: image001.png

SCAOs,

Your account exec will provide you information for your component on who has registered To date and who has not. Would appreciate nudges from you, as I need to report out on our numbers to the front office.

Thanks,
Vince

Vince Micone
DHS Presidential Transition Officer
and Senior Counselor
Management Directorate
U.S. Department of Homeland Security
(202) 447-3400

From: Office of the Under Secretary for Management
Sent: Friday, October 14, 2016 1:18 PM
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**Homeland
Security**

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If you have any questions about the Presidential Transition, please contact me by email at vincent.micone@hq.dhs.gov or by telephone on (202) 447-3400.

Thanks,

Vince Micone
DHS Presidential Transition Officer and Senior Counselor
Management Directorate

From: Office of the Under Secretary for Management
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Subject: 2016-17 Presidential Transition Ready to Act Training



Homeland Security

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Please RSVP to Transition2017@hq.dhs.gov with the date of the session you wish to attend. Once the RSVP is received, an Outlook calendar invitation will be sent to you for the executive briefing.

Every day, DHS employees help to safeguard our Nation. With your support, we will continue to deliver our mission – with honor and integrity, safeguarding the American people, our homeland, and our values. Thank you for your hard work.

Sincerely,

Russ Deyo
Under Secretary for Management

From: Renaud, Tracy L
To: Halter, Greg; Horowitz, Scott
Cc: Micone, Vincent; Farnam, Julie E
Subject: FW: Successors Message and Ready to Act Executive Brief
Date: Tuesday, October 04, 2016 9:27:00 AM
Attachments: Delegation 0106, Revision 06, DHS Orders of Succession and Delegations o...pdf
Copy of RSVP List for Executive Sessions 2016 09 29v2.xlsx

All – the names listed for USCIS are correct and I gave them all a heads up last week that they should be expecting invitations.

Tracy L. Renaud
Associate Director
Management Directorate
US Citizenship & Immigration Services
Department of Homeland Security
202-272-1739 (desk)

From: Micone, Vincent
Sent: Monday, October 03, 2016 10:14 AM
Subject: Successors Message and Ready to Act Executive Brief

FOR OFFICIAL USE ONLY

SCAOs:

Today and tomorrow, you will see several messages related to the Presidential Transition transmitted under the USM's signature.

- An email was to all **senior leaders** this morning and an **all-employee** message outlining the Department's transition efforts will be sent early this afternoon.
- An email will be sent to all **non-career officials** appointees late this afternoon inviting them to attend the Town Hall that will provide them with transition guidance and information specific to departing appointees. The Town Hall will be held on October 18th at the NAC Chapel from 1 to 3 pm.
- Additionally, a series of articles in the **Connected** e-newsletter will begin with this month's edition and continue through February. The October connected will be sent by Wednesday of this week.

Copies of the senior leader and non-career emails will be forwarded to you.

Tomorrow, we will send out an invitation for all **career successors** to participate in a mandatory *Ready to Act: Executive Brief*.

- All personnel identified in the attached list are required to attend one of the four sessions being offered this month (details will be included in the invitation).
- The invite list reflects career positions and names identified in the attached Order of Succession Delegation signed by S1 on September 14th and the organization charts you submitted for RFI 1 respectively.
- SCAOs are also required to attend one of the sessions.
- **Please review your organization's section and verify the names and associated positions are accurate. Please notify Greg Halter and Scott Horowitz if you see any discrepancies ASAP.**

The Succession Delegation has been posted on Connect as of today. The list of names should not be

distributed and is for your use in validating your components successors. Please note that you are included in this list. If you receive any questions about the delegation, please reach out to Bion, Jim, or myself.

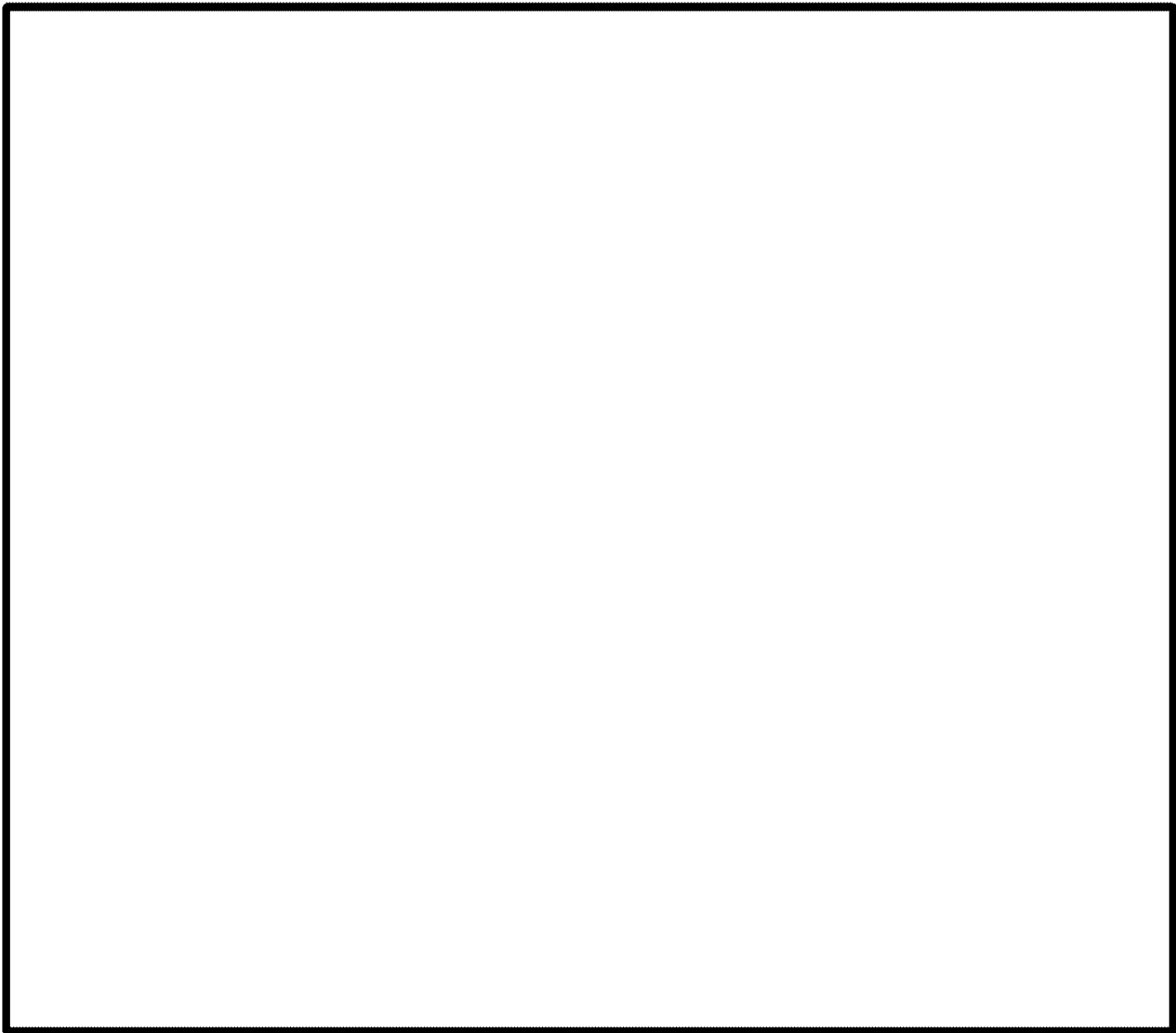
Thanks for your assistance!

Vince

Vince Micone
DHS Presidential Transition Officer
and Senior Counselor
Management Directorate
U.S. Department of Homeland Security
(202) 447-3400

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(b)(5)



(b)(5)



Sincerely,

Russ Deyo
Under Secretary for Management

From: USCIS Presidential Transition
To: USCIS Exec Sec
Cc: Renaud, Tracy L; Button, Maria G (Gemma)
Subject: Issue Paper Review Due COB 9/14
Date: Monday, September 12, 2016 8:37:00 AM
Attachments: Issue Paper - Immigration Areas of Focus USCIS Edits Clean.docx
Issue Paper - Immigration Areas of Focus USCIS Edits Redlined.docx
Importance: High

Good morning,

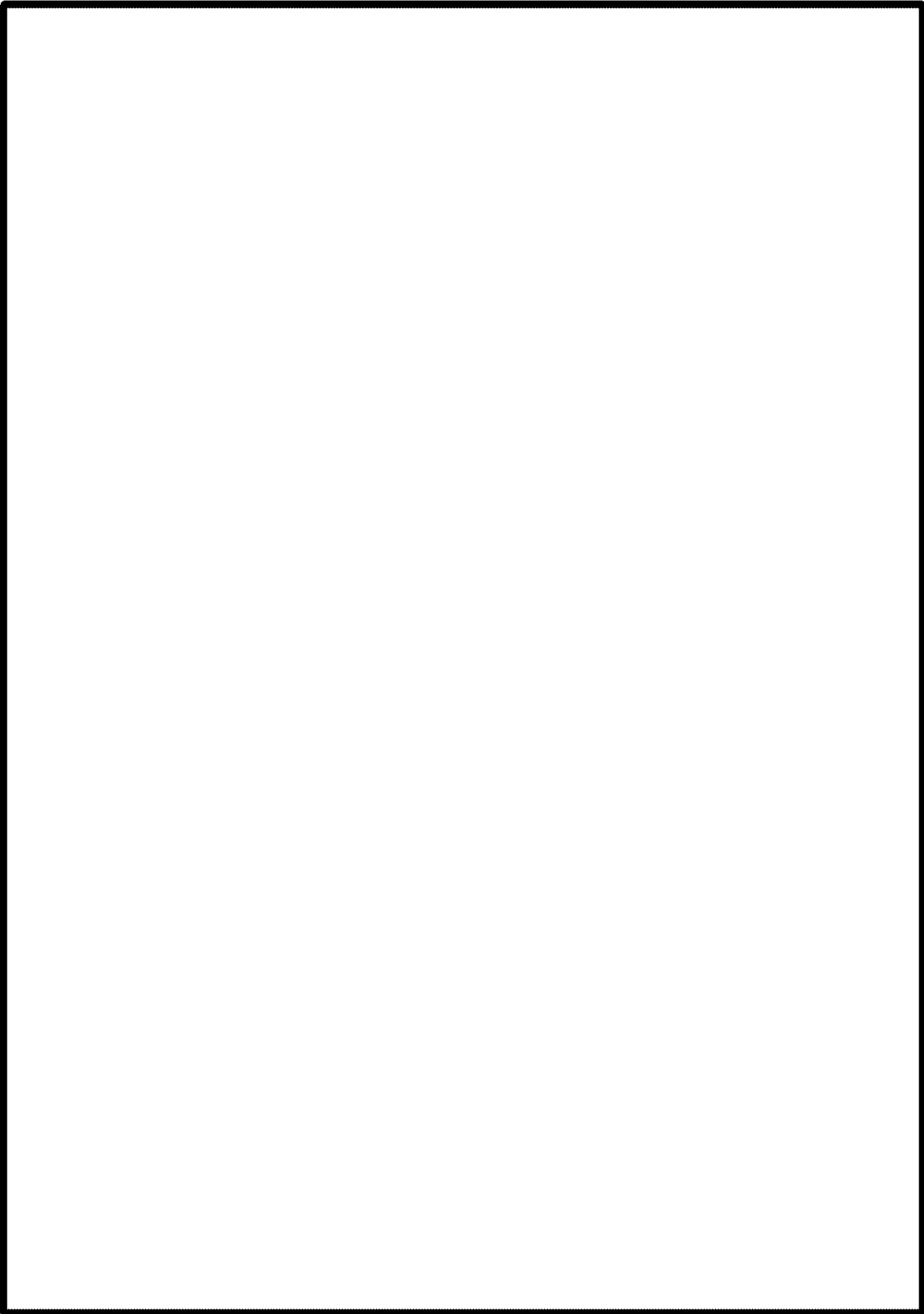
Attached is an issue paper providing an overview of immigration within the Department that DHS Policy drafted. This paper will be included along with other briefing materials as part of the presidential transition.

We request review/clearance from RAIO, FDNS, SCOPS, FOD, OCC, OP&S, OoC, by COB on Wednesday and clearance from the front office by noon on Friday. I've made edits to PLCY's original draft and have attached both a redlined and clean version of the document. Please note that the paper may not exceed three pages and the tone should be politically neutral.

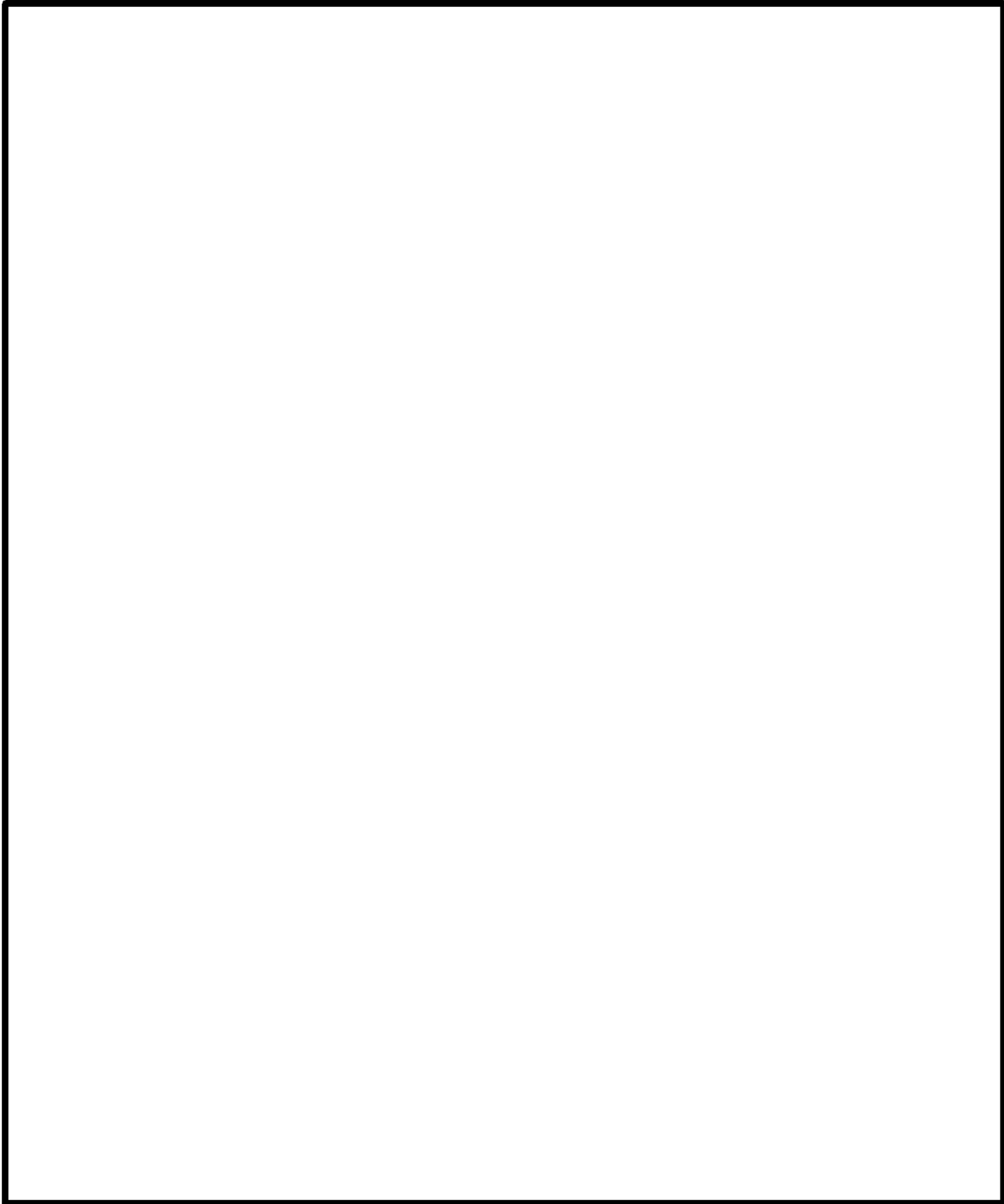
Thank you,
Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
(c) 202-489-8802

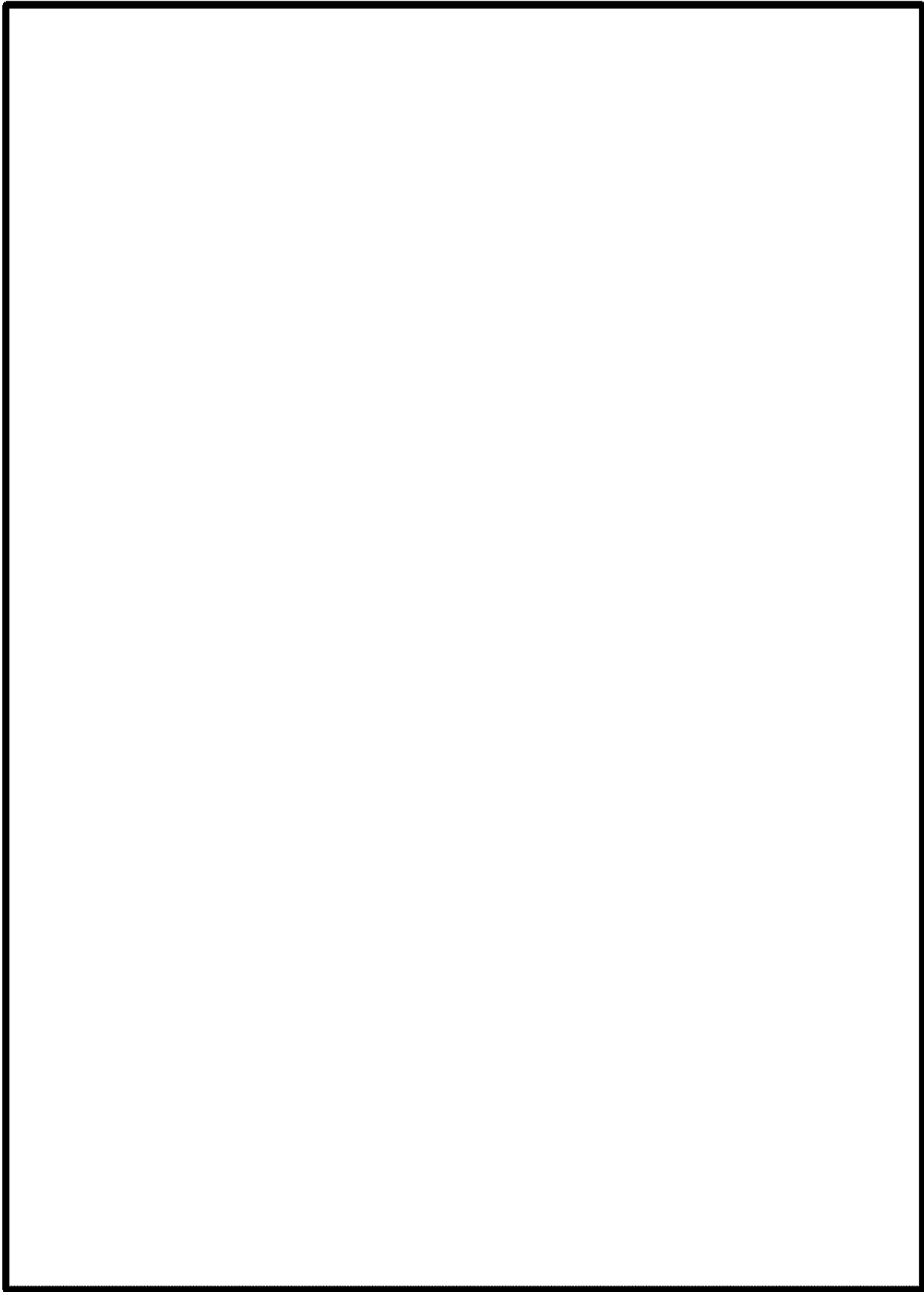
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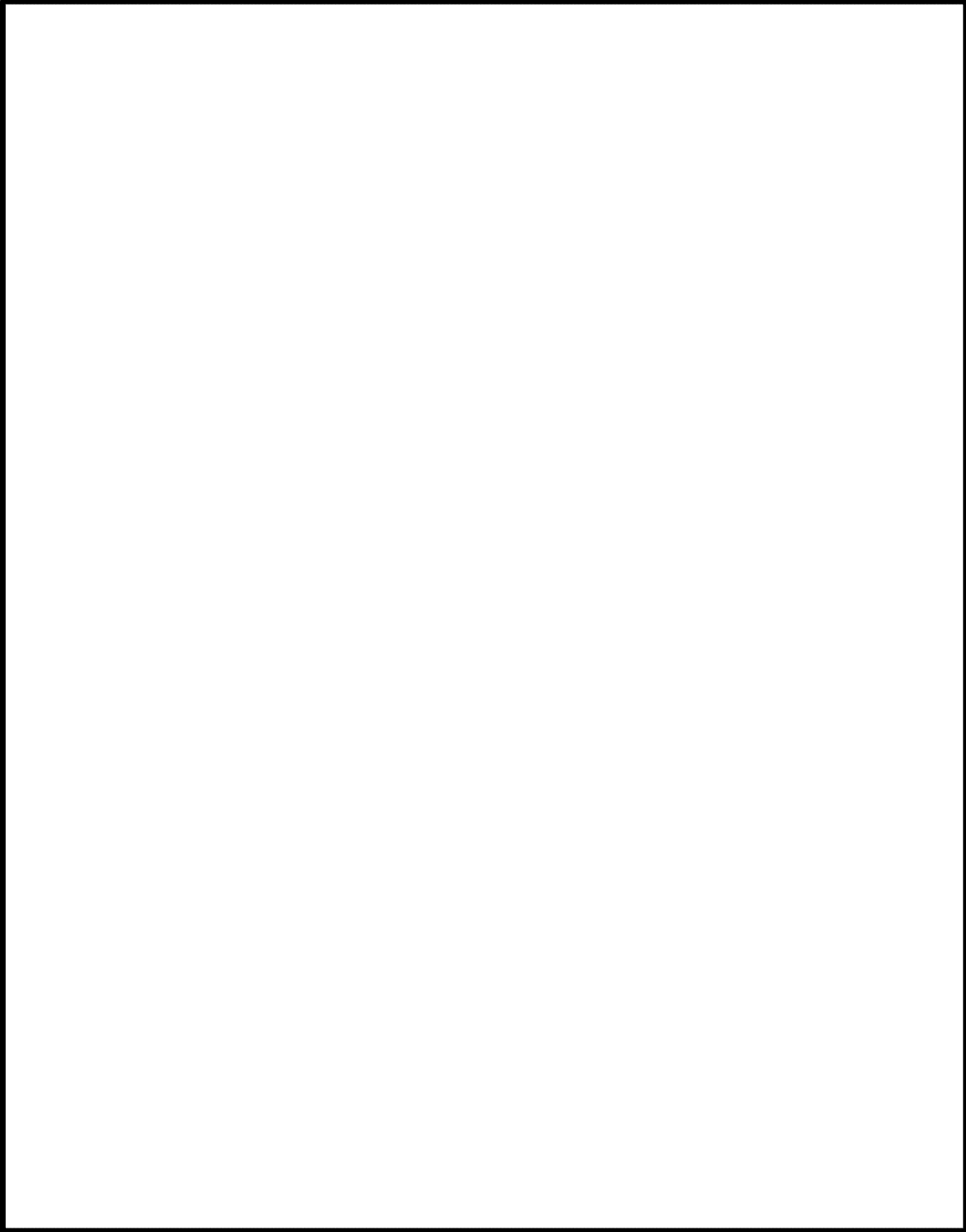
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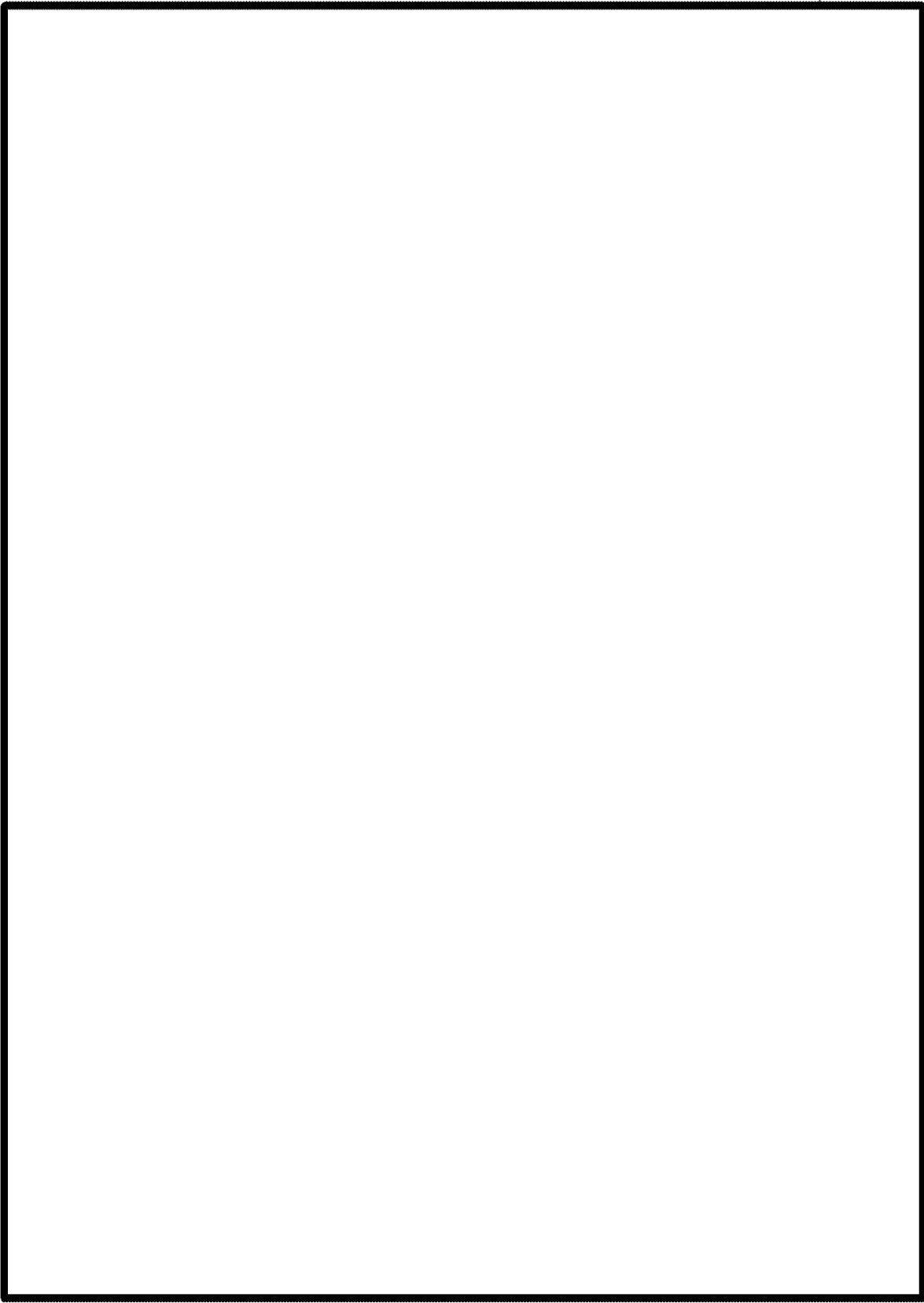


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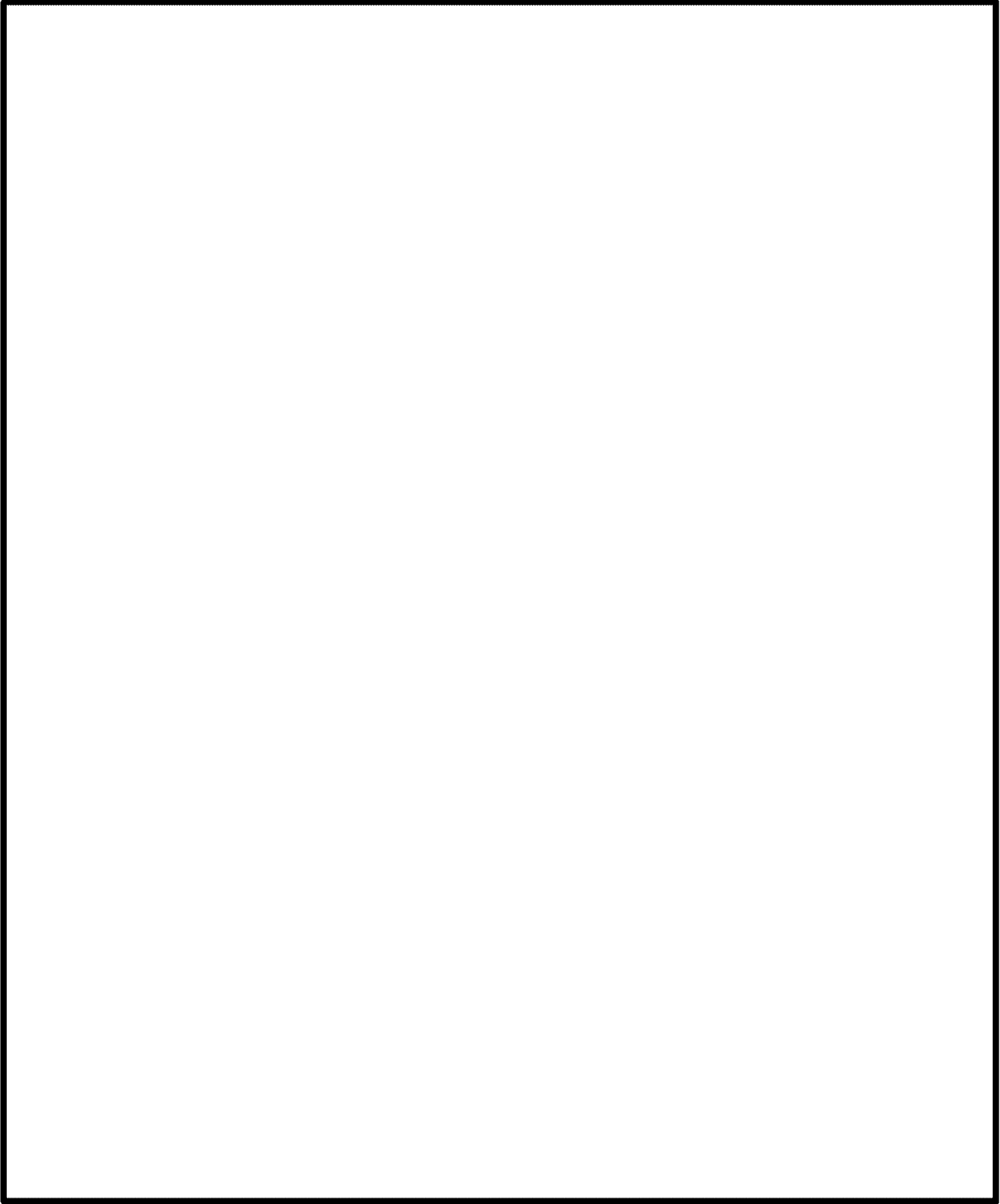


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One Hundred Fourteenth Congress
of the
United States of America

AT THE SECOND SESSION

*Began and held at the City of Washington on Monday,
the fourth day of January, two thousand and sixteen*

An Act

To improve the process of presidential transition.

*Be it enacted by the Senate and House of Representatives of
the United States of America in Congress assembled,*

SECTION 1. SHORT TITLE.

This Act may be cited as the "Edward 'Ted' Kaufman and Michael Leavitt Presidential Transitions Improvements Act of 2015".

SEC. 2. PRESIDENTIAL TRANSITION IMPROVEMENTS.

(a) IN GENERAL.—The Presidential Transition Act of 1963 (3 U.S.C. 102 note) is amended—

(1) by redesignating sections 4, 5, and 6 as sections 5, 6, and 7, respectively; and

(2) by inserting after section 3 the following:

"SEC. 4. TRANSITION SERVICES AND ACTIVITIES BEFORE ELECTION.

"(a) DEFINITIONS.—In this section—

"(1) the term 'Administrator' means the Administrator of General Services;

"(2) the term 'agency' means an Executive agency, as defined in section 105 of title 5, United States Code;

"(3) the term 'eligible candidate' has the meaning given that term in section 3(h)(4); and

"(4) the term 'Presidential election' means a general election held to determine the electors of President and Vice President under section 1 or 2 of title 3, United States Code.

"(b) GENERAL DUTIES.—The President shall take such actions as the President determines necessary and appropriate to plan and coordinate activities by the Executive branch of the Federal Government to facilitate an efficient transfer of power to a successor President, including by—

"(1) establishing and operating a White House transition coordinating council in accordance with subsection (d); and

"(2) establishing and operating an agency transition directors council in accordance with subsection (e).

"(c) FEDERAL TRANSITION COORDINATOR.—The Administrator shall designate an employee of the General Services Administration who is a senior career appointee to—

"(1) carry out the duties and authorities of the General Services Administration relating to Presidential transitions under this Act or any other provision of law;

S. 1172--2

"(2) serve as the Federal Transition Coordinator with responsibility for coordinating transition planning across agencies, including through the agency transition directors council established under subsection (c);

"(3) ensure agencies comply with all statutory requirements relating to transition planning and reporting; and

"(4) act as a liaison to eligible candidates.

"(d) WHITE HOUSE TRANSITION COORDINATING COUNCIL.—

"(1) ESTABLISHMENT.—Not later than 6 months before the date of a Presidential election, the President shall establish a White House transition coordinating council for purposes of facilitating the Presidential transition.

"(2) DUTIES.—The White House transition coordinating council shall—

"(A) provide guidance to agencies and the Federal Transition Coordinator regarding preparations for the Presidential transition, including succession planning and preparation of briefing materials;

"(B) facilitate communication and information sharing between the transition representatives of eligible candidates and senior employees in agencies and the Executive Office of the President; and

"(C) prepare and host interagency emergency preparedness and response exercises.

"(3) MEMBERSHIP.—The members of the White House transition coordinating council shall include—

"(A) senior employees of the Executive branch selected by the President, which may include the Chief of Staff to the President, any Cabinet officer, the Director of the Office of Management and Budget, the Administrator, the Director of the Office of Personnel Management, the Director of the Office of Government Ethics, and the Archivist of the United States;

"(B) the Federal Transition Coordinator;

"(C) the transition representative for each eligible candidate, who shall serve in an advisory capacity; and

"(D) any other individual the President determines appropriate.

"(4) CHAIRPERSON.—The Chairperson of the White House transition coordinating council shall be a senior employee in the Executive Office of the President, designated by the President.

"(e) AGENCY TRANSITION DIRECTORS COUNCIL.—

"(1) IN GENERAL.—The President shall establish and operate an agency transition directors council, which shall—

"(A) ensure the Federal Government has an integrated strategy for addressing interagency challenges and responsibilities around Presidential transitions and turnover of noncareer appointees;

"(B) coordinate transition activities between the Executive Office of the President, agencies, and the transition team of eligible candidates and the President-elect and Vice-President-elect; and

"(C) draw on guidance provided by the White House transition coordinating council and lessons learned from previous Presidential transitions in carrying out its duties.

S. 1172-3

"(2) DUTIES.—As part of carrying out the responsibilities under paragraph (1), the agency transition directors council shall—

"(A) assist the Federal Transition Coordinator in identifying and carrying out the responsibilities of the Federal Transition Coordinator relating to a Presidential transition;

"(B) provide guidance to agencies in gathering briefing materials and information relating to the Presidential transition that may be requested by eligible candidates;

"(C) ensure materials and information described in subparagraph (B) are prepared not later than November 1 of a year during which a Presidential election is held;

"(D) ensure agencies adequately prepare career employees who are designated to fill non-career positions under subsection (f) during a Presidential transition; and

"(E) consult with the President's Management Council, or any successor thereto, in carrying out the duties of the agency transition directors council.

"(3) MEMBERSHIP.—The members of the agency transition directors council shall include—

"(A) the Federal Transition Coordinator and the Deputy Director for Management of the Office of Management and Budget, who shall serve as Co-Chairpersons of the agency transition directors council;

"(B) other senior employees serving in the Executive Office of the President, as determined by the President;

"(C) a senior representative from each agency described in section 901(b)(1) of title 31, United States Code, the Office of Personnel Management, the Office of Government Ethics, and the National Archives and Records Administration whose responsibilities include leading Presidential transition efforts within the agency;

"(D) a senior representative from any other agency determined by the Co-Chairpersons to be an agency that has significant responsibilities relating to the Presidential transition process; and

"(E) during a year during which a Presidential election will be held, a transition representative for each eligible candidate, who shall serve in an advisory capacity.

"(4) MEETINGS.—The agency transition directors council shall meet—

"(A) subject to subparagraph (B), not less than once per year; and

"(B) during the period beginning on the date that is 6 months before a Presidential election and ending on the date on which the President-elect is inaugurated, on a regular basis as necessary to carry out the duties and authorities of the agency transition directors council.

"(f) INTERIM AGENCY LEADERSHIP FOR TRANSITIONS.—

"(1) OVERSIGHT AND IMPLEMENTATION OF TRANSITION.—Not later than 6 months before the date of a Presidential election, the head of each agency shall designate a senior career employee of the agency and a senior career employee of each major component and subcomponent of the agency to oversee and implement the activities of the agency, component, or subcomponent relating to the Presidential transition.

"(2) ACTING OFFICERS.—Not later than September 15 of a year during which a Presidential election occurs, and in accordance with subchapter III of chapter 33 of title 5, United States Code, for each noncareer position in an agency that the head of the agency determines is critical, the head of the agency shall designate a qualified career employee to serve in the position in an acting capacity if the position becomes vacant.

"(g) MEMORANDUMS OF UNDERSTANDING.—

"(1) IN GENERAL.—Not later than November 1 of a year during which a Presidential election occurs, the President (acting through the Federal Transition Coordinator) shall, to the maximum extent practicable, negotiate a memorandum of understanding with the transition representative of each eligible candidate, which shall include, at a minimum, the conditions of access to employees, facilities, and documents of agencies by transition staff.

"(2) EXISTING RESOURCES.—To the maximum extent practicable, the memorandums of understanding negotiated under paragraph (1) shall be based on memorandums of understanding from previous Presidential transitions.

"(h) EQUITY IN ASSISTANCE.—Any information or other assistance provided to eligible candidates under this section shall be offered on an equal basis and without regard to political affiliation.

"(i) REPORTS.—

"(1) IN GENERAL.—The President, acting through the Federal Transition Coordinator, shall submit to the Committee on Oversight and Government Reform of the House of Representatives and the Committee on Homeland Security and Governmental Affairs of the Senate reports describing the activities undertaken by the President and agencies to prepare for the transfer of power to a new President.

"(2) TIMING.—The reports under paragraph (1) shall be provided 6 months and 3 months before the date of a Presidential election."

(b) OTHER IMPROVEMENTS.—Section 3 of the Presidential Transition Act of 1963 (3 U.S.C. 102 note) is amended—

(1) in subsection (a)—

(A) in paragraph (8)—

(i) in subparagraph (A)(i)—

(I) by inserting "and during the term of a President" after "during the transition"; and

(II) by striking "after inauguration"; and

(ii) in subparagraph (B), by inserting "or Executive agencies (as defined in section 105 of title 5, United States Code)" before the period; and

(B) in paragraph (10), by inserting "including, to the greatest extent practicable, human resource management system software compatible with the software used by the incumbent President and likely to be used by the President-elect and Vice President-elect" before the period;

(2) in subsection (b)(2), by striking "30 days" and inserting "180 days";

(3) in subsection (g), by inserting "except for activities under subsection (a)(8)(A)," before "there shall be no"; and

(4) in subsection (h)(2), by adding at the end the following:

"(D) An eligible candidate shall have a right to the services and facilities described in this paragraph until the date on which the Administrator is able to determine the apparent successful candidates for the office of President and Vice President."

(c) TECHNICAL AND CONFORMING AMENDMENTS.—

(1) Section 3 of the Pre-Election Presidential Transition Act of 2010 (3 U.S.C. 102 note) is repealed.

(2) The Presidential Transition Act of 1963 (3 U.S.C. 102 note) is amended—

(A) in section 3—

(i) in subsection (a)(4)(B), by striking "section 6" and inserting "section 7";

(ii) in subsection (b), in the matter preceding paragraph (1), by striking "section 3 of this Act" and inserting "this section"; and

(iii) in subsection (h)(3)(B)(iii), by striking "section 5" each place it appears and inserting "section 6";

(B) in section 6, as redesignated by subsection (a) of this section, by striking "section 6(a)(1)" each place it appears and inserting "section 7(a)(1)"; and

(C) in section 7(a)(2), as redesignated by subsection (a) of this section, by striking "section 4" and inserting "section 5".

(3) Section 8331(1)(K) of title 5, United States Code, is amended by striking "section 4" and inserting "section 5".

(4) Section 8701(a)(10) of title 5, United States Code, is amended by striking "section 4" and inserting "section 5".

(5) Section 8901(1)(I) of title 5, United States Code, is amended by striking "section 4" and inserting "section 5".

SEC. 3. NATIONAL ARCHIVES PRESIDENTIAL TRANSITION.

Section 2203(g) of title 44, United States Code, is amended—

(1) by redesignating paragraph (3) as paragraph (4); and

(2) by inserting after paragraph (2) the following:

"(3) When the President considers it practicable and in the public interest, the President shall include in the President's budget transmitted to Congress, for each fiscal year in which the term of office of the President will expire, such funds as may be necessary for carrying out the authorities of this subsection."

SEC. 4. REPORTS ON POLITICAL APPOINTEES APPOINTED TO NON-POLITICAL PERMANENT POSITIONS.

(a) DEFINITIONS.—In this section—

(1) the term "agency" has the meaning given the term "Executive agency" in section 105 of title 5, United States Code;

(2) the term "covered civil service position" means a position in the civil service (as defined in section 2101 of title 5, United States Code) that is not—

(A) a temporary position; or

(B) a political position;

(3) the term "former political appointee" means an individual who—

(A) is not serving in an appointment to a political position; and

(B) served as a political appointee during the 5-year period ending on the date of the request for an appointment to a covered civil service position in any agency;

(4) the term "political appointee" means an individual serving in an appointment to a political position; and

(5) the term "political position" means--

(A) a position described under sections 5312 through 5316 of title 5, United States Code (relating to the Executive Schedule);

(B) a noncareer appointment in the Senior Executive Service, as defined under paragraph (7) of section 3132(a) of title 5, United States Code; or

(C) a position in the executive branch of the Government of a confidential or policy-determining character under schedule C of subpart C of part 213 of title 5, Code of Federal Regulations.

(b) REPORTING ON CURRENT OR RECENT POLITICAL APPOINTEES APPOINTED TO COVERED CIVIL SERVICE POSITIONS.--

(1) ANNUAL REPORT.--Except as provided in paragraph (2), the Director of the Office of Personnel Management shall submit to the Committee on Homeland Security and Governmental Affairs of the Senate and the Committee on Oversight and Government Reform of the House of Representatives an annual report regarding requests by agencies to appoint political appointees or former political appointees to covered civil service positions. Each report shall cover one calendar year and shall--

(A) for each request by an agency that a political appointee be appointed to a covered civil service position during the period covered by the report, provide--

(i) the date on which the request was received by the Office of Personnel Management;

(ii) subject to subsection (c), the name of the individual and the political position held by the individual, including title, office, and agency;

(iii) the date on which the individual was first appointed to a political position in the agency in which the individual is serving as a political appointee;

(iv) the grade and rate of basic pay for the individual as a political appointee;

(v) the proposed covered civil service position, including title, office, and agency, and the proposed grade and rate of basic pay for the individual;

(vi) whether the Office of Personnel Management approved or denied the request; and

(vii) the date on which the individual was appointed to a covered civil service position, if applicable; and

(B) for each request by an agency that a former political appointee be appointed to a covered civil service position during the period covered by the report, provide--

(i) the date on which the request was received by the Office of Personnel Management;

(ii) subject to subsection (c), the name of the individual and the political position held by the individual, including title, office, and agency;

(iii) the date on which the individual was first appointed to any political position;

(iv) the grade and rate of basic pay for the individual as a political appointee;

S. 1172—7

(v) the date on which the individual ceased to serve in a political position;

(vi) the proposed covered civil service position, including title, office, and agency, and the proposed grade and rate of basic pay for the individual;

(vii) whether the Office of Personnel Management approved or denied the request; and

(viii) the date on which the individual was first appointed to a covered civil service position, if applicable.

(2) QUARTERLY REPORT IN CERTAIN YEARS.—In the last year of the term of a President, or, if applicable, the last year of the second consecutive term of a President, the report required under paragraph (1) shall be submitted quarterly and shall cover each quarter of the year, except that the last quarterly report shall also cover January 1 through 20 of the following year.

(c) NAMES AND TITLES OF CERTAIN APPOINTEES.—If determined appropriate by the Director of the Office of Personnel Management, a report submitted under subsection (b) may exclude the name or title of a political appointee or former political appointee—

(1) who—

(A) was requested to be appointed to a covered civil service position; and

(B) was not appointed to a covered civil service position;

or

(2) relating to whom a request to be appointed to a covered civil service position is pending at the end of the period covered by that report.

SEC. 5. REPORT ON REGULATIONS PROMULGATED NEAR THE END OF PRESIDENTIAL TERMS.

(a) DEFINITIONS.—In this section:

(1) The term “covered presidential transition period” means each of the following:

(A) The 120-day period ending on January 20, 2001.

(B) The 120-day period ending on January 20, 2009.

(C) The 120-day period ending on January 20, 2017.

(2) The term “covered regulation” means a final significant regulatory action promulgated by an Executive department.

(3) The term “significant regulatory action” means any regulatory action that is likely to result in a rule that may—

(A) have an annual effect on the economy of \$100,000,000 or more or adversely affect in a material way the economy, a sector of the economy, productivity, competition, jobs, the environment, public health or safety, or State, local, or tribal governments or communities;

(B) create a serious inconsistency or otherwise interfere with an action taken or planned by another agency;

(C) materially alter the budgetary impact of entitlements, grants, user fees, or loan programs or the rights and obligations of recipients thereof; or

(D) raise novel legal or policy issues.

(4) The term “Executive department” has the meaning given that term under section 101 of title 5, United States Code.

(b) REPORT.—

(1) **IN GENERAL.**—The Comptroller General of the United States shall submit to the Committee on Homeland Security and Governmental Affairs of the Senate and the Committee on Oversight and Government Reform of the House of Representatives a report regarding covered regulations promulgated during each covered presidential transition period.

(2) **CONTENTS OF REPORT.**—The report required under paragraph (1) shall, to the extent feasible, for each covered presidential transition period—

(A) compare the number, scope, and impact of, and type of rulemaking procedure used for, covered regulations promulgated during the covered presidential transition period to the number, scope, and impact of, and type of rulemaking procedure used for, covered regulations promulgated during the 120-day periods ending on January 20 of each year after 1996, other than 2001, 2009, and 2017;

(B) determine the statistical significance of any differences identified under subparagraph (A) and whether and to what extent such differences indicate any patterns;

(C) evaluate the size, scope, and effect of the covered regulations promulgated during the covered presidential transition period; and

(D) assess the extent to which the regularly required processes for the promulgation of covered regulations were followed during the covered presidential transition period, including compliance with the requirements under—

(i) chapter 8 of title 5, United States Code (commonly known as the “Congressional Review Act”);

(ii) the Small Business Regulatory Enforcement Fairness Act of 1996 (5 U.S.C. 601 note);

(iii) sections 202, 203, 204, and 205 of the Unfunded Mandates Reform Act of 1995 (2 U.S.C. 1532–1535);

(iv) chapter 6 of title 5, United States Code (commonly known as the “Regulatory Flexibility Act”); and

(v) chapter 35 of title 44, United States Code (commonly known as the “Paperwork Reduction Act”).

SEC. 6. ANALYSIS OF THREATS AND VULNERABILITIES.

(a) **IN GENERAL.**—Not later than February 15, 2016, the Secretary of Homeland Security shall submit to the Committee on Homeland Security and Governmental Affairs of the Senate and the Committees on Oversight and Government Reform and Homeland Security of the House of Representatives a report analyzing the threats and vulnerabilities facing the United States during a presidential transition, which—

(1) shall identify and discuss vulnerabilities related to border security and threats related to terrorism, including from weapons of mass destruction;

(2) shall identify steps being taken to address the threats and vulnerabilities during a presidential transition; and

(3) may include recommendations for actions by components and agencies within the Department of Homeland Security.

S. 1172-9

(b) FORM.—The report submitted under subsection (a) shall be prepared in unclassified form, but may contain a classified annex.

Speaker of the House of Representatives.

*Vice President of the United States and
President of the Senate.*

From: Renaud, Tracy L
To: USCIS SES ALL
Cc: USCIS Presidential Transition; Farnam, Julie E
Subject: Presidential Transition
Date: Friday, September 23, 2016 1:30:24 PM

USCIS Executives,

As you know, I have been designated as the USCIS Senior Component Accountable Official (SCAO) for the Presidential Transition efforts and Julie Farnam has been designated as the USCIS Component Action Officer (CAO). To date, our activities have been primarily revolving around preparation of documentation that we would use to in-brief the new Administration on the state of the agency, agency mission and key issues that we are dealing with. However, we do anticipate that there will be increased activity as we enter into the month of October. As part of the Department-wide efforts related to transition, the DHS Presidential Transition Office will be hosting a Webinar for DHS Senior Leaders during the month of October. That group will include all SES members from USCIS. The topic will be "Preparing for a New Administration" and will include discussion surrounding how career executives can prepare for a change in administration; how executives can prepare their staff and general strategies for effectively working with the new administration. When the date/time is firmed up you should receive an invitation directly from DHS, but I wanted to give you a heads up so you understand why you are receiving the invitation. Please bear in mind that this will include all ~700 executives across DHS so when you receive the invitation it should not be further disseminated to non-executive staff.

If you have any question regarding this or transition efforts in general please feel free to reach out to me or Julie directly or through our mailbox at USCISPresidentialTransition@uscis.dhs.gov.

*Tracy L. Renaud
Associate Director
Management Directorate
US Citizenship & Immigration Services
Department of Homeland Security
202-272-1739 (desk)*

From: [Stewart_Blon](#)
To: [PTO Master Distro](#)
Subject: Presidential Transition - WARNING ORDER - Landing Team Engagement Update
Date: Thursday, December 01, 2016 6:30:01 PM
Attachments: [Landing Team Component Brief FrameworkV3.pptx](#)
Importance: High

Transition Colleagues,

The following are projected overview meetings planned for next week. We will be reaching out to SCAOs/CAOs for specific coordination individually. As we are planning multiple meetings each day, absorbing time for travel is going to be problematic so we will be requesting externally-located briefers to come to the NAC. Overview briefings are intended to be presented by your Designated Career Successor; however this does not preclude political leadership from attending. SCAOs may also attend. Please coordinate briefers with the PTO prior to the engagement. All additional attendees must be cleared by the PTO; however, please be mindful these briefings are meant to be senior leadership-level only and attendance will be tightly controlled by the PTO.

The purpose of these briefs is to provide the Landing Team with an overview of your Component / Directorate / Office and insights on the opportunities and challenges facing your organization from your leadership's perspective. You may assume the Landing Team has read the Overview materials in preparing your brief. Please focus on your key activities, issues, priorities, and objectives.

Please note your presentation should not include any discussion about resources or policy issues that are considered pre-decisional. A general framework is attached for guidance. You may adapt the framework as appropriate to your organization/mission, and as desired by your leadership. As a reminder - ALL briefing materials, including publically available materials you intend to provide to the Landing Team must be cleared by the PTO prior to the engagement.

In addition to these overview meetings, we anticipate targeted issue briefs and RFI's from the Landing Team. Additional guidance will be provided as necessary.

Rough schedule outline (subject to change):

Dec 2

- 9:00 Arrival and travel to St Es
- 9:30 USCG Meet and Greet and St Es Tour (Mr. Dougherty and Dr. Carafano)
- 11:15 Travel to NAC
- 11:45 Hold for Mr. Dougherty and PTO
- 1:00 CVE and Office of Community Partnership Overview
 - Presenters George Selim and David Gersten // Landing Team Ms. Gorka and Mr. DiNanno

Dec 5

- CBP Overview
- ICE Overview

Dec 6

- Office of the Secretary Overview
- OUSM and MGMT Overview

Dec 7

- NPPD Overview
- OGC Overview

Dec 8

- CHCO Overview
- CFO Overview

Dec 9

- PLCY Overview
- Hold to schedule

Initial meetings to be scheduled the week of 12 Dec:

- USSS
- CPO
- USCIS
- TSA
- FEMA

V/R,

Bion

Bion Stewart
Deputy Presidential Transition Officer
Department of Homeland Security
202-282-9125

From: Stewart, Bion
To: Scanlon, Julie; Voot, Anthony J RDML; Hess, David; Rahilly, Lyn M; Bibo, David; Renaud, Tracy L; ROACH, LEWIS S; Micone, Vincent; Baden, Tim; Wiemers, Todd C CAPT; PARAMORE FARON K; Bartholomew, Heather; FRIEL, MICHAEL J; McKean, Wendy C
Subject: Presidential Transition Office - ART Leadership Briefs
Date: Friday, September 23, 2016 9:04:59 AM

Thank you all for taking the time to discuss the leadership briefs yesterday. I found it very helpful to frame our approach and recommendations for the ART. I will be pulling together the framework in the next week or so to share with the group and we can move forward from there to refine and standardize for your and your principal's use.

For the Coast Guard and Secret Service - one thought that popped into my head yesterday (because obviously I have nothing better to think about) which may or may not be of value is the other Components will have trusted champions of the new Administration and the Department placed into senior leadership positions. In many ways this will be an advantage in terms of influencing and aligning priorities with the new Administration. You will not have the same "advantage" when it comes to leveraging an established relationship and particularly trust with the new Administration from the onset. This may make the first engagements you have with the ART even more critical to ensure you not only inform the new Administration of your organization's priorities and challenges, but begin the process of building trust and influence moving forward. Just a random thought.

V/R,

Bion

Bion Stewart
Deputy Presidential Transition Officer
Department of Homeland Security
202-282-9125

From: [Stewart, Bion](#)
To: [PTO Master Distro](#)
Subject: Presidential Transition Office - Strategic Issue Paper - Review Process Update
Date: Friday, September 09, 2016 12:50:33 PM
Attachments: [Strategic Issue Paper Assignments 9.6.16.xlsx](#)

Transition Colleagues,

This is an update to the review and clearance process we are implementing for the Strategic Issue Papers. As noted previously the purpose of the co-lead/consult process is to provide an opportunity for broad collaboration up front in the drafting process and to allow interested stakeholders an opportunity to review drafts prior to submission to the PTO to help minimize the review and clearance time typically required for these broad, cross-cutting issues. Recognizing the role of certain offices responsible for department-wide policies and standards, and the unique requirements of the Senate confirmation process which these papers will directly support, the PTO will be coordinating a review process for all strategic issue papers with MGMT, OGC, OLA, and PLCY.

MGMT, OGC, OLA, and PLCY are also serving as co-leads and may be consulting in the initial drafting process for several of the strategic issue papers. This update to the review and clearance process does not change those roles. However, if MGMT, OGC, OLA, and PLCY would like to defer consultation on issue papers to the final review process, the PTO has no objection.

We know this is a challenging endeavor and we appreciate everyone's willingness to work together. The PTO participated in a roundtable with DOJ and their Bureaus as well as our law enforcement Components this morning, and one of the takeaways was it is clear DHS and all of you are well ahead of the curve in preparing for the transition. Furthermore, the draft papers we've previewed thus far have been excellent and reflect the unity of effort concepts we've been working toward as a foundational component of our transition activities.

There have been a few updates to the spreadsheet this week (highlighted in red). As always, please don't hesitate to reach out to the PTO with any questions you may have.

Thank you.

V/R,

Bion

Bion Stewart
Deputy Presidential Transition Officer
Department of Homeland Security
202-282-9125

From: Stewart, Bion
To: PTO Master Distro
Subject: Presidential Transition Office - Strategic Issue Paper Spreadsheet (update)
Date: Friday, September 02, 2016 12:35:26 PM
Attachments: Strategic Issue Paper Assignments 9.1.16.xlsx

Transition Colleagues,

Attached is an updated version of the issue paper spreadsheet with the changes I have received (highlighted in red). Please let me know if you have additional changes or corrections.

I've seen a couple of draft papers that were provided to the PTO as an FYI, and they are both excellent. Thank you for the continued exceptional work on these products.

Please have a pleasant and safe Labor Day weekend.

V/R,

Bion

Bion Stewart
Deputy Presidential Transition Officer
Department of Homeland Security
202-282-9125

From: [Stewart, Bion](#)
To: [PTO Master Distro](#)
Subject: Presidential Transition Office - Updated Strategic Issue Paper Spreadsheet
Date: Monday, August 29, 2016 2:50:36 PM
Attachments: [Strategic Issue Paper Assignments 8.29.16.xlsx](#)

Transition Colleagues,

Updated spreadsheet attached for everyone's awareness. Again – if you have already made arrangements to participate (or not participate) on any issue paper, please continue forward whether or not the change is reflected in the spreadsheet. I will continue to try to capture all changes as they come in and will periodically send updates for everyone's awareness.

Once your paper is drafted and reviewed please reflect the co-lead Component/Office and the reviewing/contributing Components/Offices at the bottom of your issue paper using the following format:

“Issue paper drafted by: [Component/Office, Component/Office]

Reviewing and contributing Components/Offices: [Component/Office, Component/Office, etc.]”

At this time we will not be capturing individuals or program leads on these papers at the PTO level; however we recommend co-lead SCAOs/CAOs maintain an inventory of primary drafters for reference if needed.

As always, please reach out to anyone in the PTO if you have any questions.

Thank you.

V/R,

Bion

Bion Stewart
Deputy Presidential Transition Officer
Department of Homeland Security
202-282-9125

From: [Renaud, Tracy L](#)
To: [Farnam, Julie E](#)
Subject: RE: 2016-17 Presidential Transition Ready to Act Training
Date: Tuesday, October 18, 2016 4:14:15 PM

No, it is reserved for individuals in positions listed in the departmental succession plan that the secretary signed and the WH approved.

Tracy L. Renaud
Associate Director, Management
U.S. Citizenship and Immigration Services
Department of Homeland Security
202-272-1739 (office)

From: Farnam, Julie E
Sent: Tuesday, October 18, 2016 4:04:46 PM
To: Renaud, Tracy L
Subject: FW: 2016-17 Presidential Transition Ready to Act Training

I know Mariela isn't on our succession list, but she is asking if she can attend one of the sessions below.

Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
(c) 202-489-8802

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From: Office of the Under Secretary for Management
Sent: Tuesday, October 04, 2016 10:28 AM
Subject: 2016-17 Presidential Transition Ready to Act Training



**Homeland
Security**

DHS Career Successors,

With the Presidential election approaching, the Department completed a comprehensive review of the succession plan for key officials. This process was completed with the

Secretary's approval on September 14. A key aspect of this process has been to identify career successors for all key leadership positions within the Department. You are one of the career leaders who serves in a successor position.

Part of a smooth transition is to ensure that the career employees who may step in to act are prepared for the challenges that they may face. To ensure all career successors are *Ready to Act*, the Presidential Transition Office has worked with several Components and good government partners to provide executive briefing sessions for you.

Participation in the session is a mandatory requirement for you as a career successor. This 90-minute session will include an update on the Department's Presidential Transition preparations and how they impact you. Also, a brief overview of Continuity of Operations, Continuity of Government, and Incident Response responsibilities for successors will be provided. The session will conclude with a discussion on preparing and managing the arrival of the new Administration leadership within your organization.

The *Ready to Act: Successor Executive Briefing* will be offered four times during the month of October. Please select the session that best fits your schedule. The session dates are:

- October 14, 2016 – 10:30 a.m. to 12 p.m. at OCHCO, 1201 New York Ave., NW
- October 20, 2016 – 10:30 a.m. to 12 p.m. at OCHCO, 1201 New York Ave., NW
- October 21, 2016 – 10:30 a.m. to 12 p.m. (Webinar for field staff outside of the National Capital Region)
- October 31, 2016 – 1:30 p.m. to 3 p.m. at Nebraska Avenue Complex, room NAC01-044

Please RSVP to Transition2017@hq.dhs.gov with the date of the session you wish to attend. Once the RSVP is received, an Outlook calendar invitation will be sent to you for the executive briefing.

Every day, DHS employees help to safeguard our Nation. With your support, we will continue to deliver our mission – with honor and integrity, safeguarding the American people, our homeland, and our values. Thank you for your hard work.

Sincerely,

Russ Deyo
Under Secretary for Management

From: Prater, Jocelyn S
To: Renaud, Tracy L
Subject: RE: 2016-17 Presidential Transition Ready to Act Training
Date: Wednesday, October 12, 2016 1:53:54 PM

Tracy,

Lori will be attending the Webinar training.

Thank you,

Jocelyn

Jocelyn S. Prater | Lead Scheduler | Office of the Deputy Director |
U.S. Citizenship and Immigration Services (USCIS) | Department of Homeland Security (DHS) |

(o) 202-272-1637 (c) 202-740-4636 (m) 202-272-8000 | jocelyn.s.prater@uscis.dhs.gov

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From: Renaud, Tracy L
Sent: Wednesday, October 12, 2016 10:59 AM
To: Prater, Jocelyn S
Subject: RE: 2016-17 Presidential Transition Ready to Act Training

Jocelyn,

I know you were looking for a session that would suit Lori's calendar and you said the 10/21 session that is a webinar was the best time. DHS said that if people in the NCR need to attend the 10/21 session due to calendar conflicts it is fine but they need to attend in person (NAC 044) they can't use one of the webinar lines, those are reserved for attendees outside NCR.

*Tracy L. Renaud
Associate Director
Management Directorate
US Citizenship & Immigration Services
Department of Homeland Security
202-272-1739 (desk)*

From: Prater, Jocelyn S
Sent: Tuesday, October 04, 2016 4:20 PM
To: Renaud, Tracy L
Subject: RE: 2016-17 Presidential Transition Ready to Act Training

Sure.

Thank you.

Jocelyn

Jocelyn S. Prater | Lead Scheduler | Office of the Deputy Director |
U.S. Citizenship and Immigration Services (USCIS) | Department of Homeland Security (DHS) |

(o) 202-272-1637 (c) 202-740-4636 (m) 202-272-8000 | jocelyn.s.prater@uscis.dhs.gov

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From: Renaud, Tracy L
Sent: Tuesday, October 04, 2016 4:16 PM
To: Prater, Jocelyn S.
Subject: FW: 2016-17 Presidential Transition Ready to Act Training

Jocelyn,

It is mandatory for Lori to attend one of these sessions. Can you RSVP to this email on her behalf and let them know which session best suits her schedule?

Tracy L. Renaud
Associate Director
Management Directorate
US Citizenship & Immigration Services
Department of Homeland Security
202-272-1739 (desk)

From: Office of the Under Secretary for Management
Sent: Tuesday, October 04, 2016 10:28 AM
Subject: 2016-17 Presidential Transition Ready to Act Training



**Homeland
Security**

DHS Career Successors,

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- October 14, 2016 – 10:30 a.m. to 12 p.m. at OCHCO, 1201 New York Ave., NW
- October 20, 2016 – 10:30 a.m. to 12 p.m. at OCHCO, 1201 New York Ave., NW
- October 21, 2016 – 10:30 a.m. to 12 p.m. (Webinar for field staff outside of the National Capital Region)
- October 31, 2016 – 1:30 p.m. to 3 p.m. at Nebraska Avenue Complex, room NAC01-044

Please RSVP to Transition2017@hq.dhs.gov with the date of the session you wish to attend. Once the RSVP is received, an Outlook calendar invitation will be sent to you for the executive briefing.

Every day, DHS employees help to safeguard our Nation. With your support, we will continue to deliver our mission – with honor and integrity, safeguarding the American people, our homeland, and our values. Thank you for your hard work.

Sincerely,

Russ Deyo
Under Secretary for Management

From: Prater, Jocelyn S
To: Renaud, Tracy L
Subject: RE: 2016-17 Presidential Transition Ready to Act Training
Date: Wednesday, October 12, 2016 11:19:16 AM

Thank you, Tracy,

I will have to check with Lori since she has something on her calendar for the 21st.

Thank you,

Jocelyn

Jocelyn S. Prater | Lead Scheduler | Office of the Deputy Director |
U.S. Citizenship and Immigration Services (USCIS) | Department of Homeland Security (DHS) |

(o) 202-272-1637 (c) 202-740-4636 (m) 202-272-8000 | jocelyn.s.prater@uscis.dhs.gov

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From: Renaud, Tracy L
Sent: Wednesday, October 12, 2016 10:59 AM
To: Prater, Jocelyn S
Subject: RE: 2016-17 Presidential Transition Ready to Act Training

Jocelyn,

I know you were looking for a session that would suit Lori's calendar and you said the 10/21 session that is a webinar was the best time. DHS said that if people in the NCR need to attend the 10/21 session due to calendar conflicts it is fine but they need to attend in person (NAC 044) they can't use one of the webinar lines, those are reserved for attendees outside NCR.

Tracy L. Renaud
Associate Director
Management Directorate
US Citizenship & Immigration Services
Department of Homeland Security
202-272-1739 (desk)

From: Prater, Jocelyn S
Sent: Tuesday, October 04, 2016 4:20 PM
To: Renaud, Tracy L
Subject: RE: 2016-17 Presidential Transition Ready to Act Training

Sure.

Thank you,

Jocelyn

Jocelyn S. Prater | Lead Scheduler | Office of the Deputy Director |
U.S. Citizenship and Immigration Services (USCIS) | Department of Homeland Security (DHS) |

(o) 202-272-1637 (c) 202-740-4636 (m) 202-272-8000 | jocelyn.s.prater@uscis.dhs.gov

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From: Renaud, Tracy L
Sent: Tuesday, October 04, 2016 4:16 PM
To: Prater, Jocelyn S
Subject: FW: 2016-17 Presidential Transition Ready to Act Training

Jocelyn,

It is mandatory for Lori to attend one of these sessions. Can you RSVP to this email on her behalf and let them know which session best suits her schedule?

Tracy L. Renaud
Associate Director
Management Directorate
US Citizenship & Immigration Services
Department of Homeland Security
202-272-1739 (desk)

From: Office of the Under Secretary for Management
Sent: Tuesday, October 04, 2016 10:28 AM
Subject: 2016-17 Presidential Transition Ready to Act Training



**Homeland
Security**

DHS Career Successors,

With the Presidential election approaching, the Department completed a comprehensive review of the succession plan for key officials. This process was completed with the Secretary's approval on September 14. A key aspect of this process has been to identify career successors for all key leadership positions within the Department. You are one of the career leaders who serves in a successor position.

Part of a smooth transition is to ensure that the career employees who may step in to act are prepared for the challenges that they may face. To ensure all career successors are *Ready to Act*, the Presidential Transition Office has worked with several Components and

good government partners to provide executive briefing sessions for you.

Participation in the session is a mandatory requirement for you as a career successor. This 90-minute session will include an update on the Department's Presidential Transition preparations and how they impact you. Also, a brief overview of Continuity of Operations, Continuity of Government, and Incident Response responsibilities for successors will be provided. The session will conclude with a discussion on preparing and managing the arrival of the new Administration leadership within your organization.

The *Ready to Act: Successor Executive Briefing* will be offered four times during the month of October. Please select the session that best fits your schedule. The session dates are:

- October 14, 2016 – 10:30 a.m. to 12 p.m. at OCHCO, 1201 New York Ave., NW
- October 20, 2016 – 10:30 a.m. to 12 p.m. at OCHCO, 1201 New York Ave., NW
- October 21, 2016 – 10:30 a.m. to 12 p.m. (Webinar for field staff outside of the National Capital Region)
- October 31, 2016 – 1:30 p.m. to 3 p.m. at Nebraska Avenue Complex, room NAC01-044

Please RSVP to Transition2017@hq.dhs.gov with the date of the session you wish to attend. Once the RSVP is received, an Outlook calendar invitation will be sent to you for the executive briefing.

Every day, DHS employees help to safeguard our Nation. With your support, we will continue to deliver our mission – with honor and integrity, safeguarding the American people, our homeland, and our values. Thank you for your hard work.

Sincerely,

Russ Deyo
Under Secretary for Management

From: Young, Todd P
To: Farnam, Julie E; Walters, Jessica S
Cc: Renaud, Tracy L; USCIS Presidential Transition; Kerns, Kevin J
Subject: RE: DUE 7/20: Presidential Transition Tasking 2
Date: Tuesday, July 19, 2016 4:30:53 PM

Hi Julie,

Lori was briefed on the transition documents earlier today and she's fine with submitting them to the Department. Thank you for coordinating the list of key non-DHS partnerships with the directorates and program offices!

Todd

From: Farnam, Julie E
Sent: Monday, July 18, 2016 3:17 PM
To: Young, Todd P; Walters, Jessica S
Cc: Renaud, Tracy L; USCIS Presidential Transition
Subject: DUE 7/20: Presidential Transition Tasking 2

Todd/Jessica,

Our next presidential transition tasking is due to the Department on Wednesday. This tasking requests four things from USCIS:

1. Photos from USCIS. OCOMM is compiling these photos now. The photos will be used in a briefing booklet that DHS is compiling for the new administration.
2. Key non-DHS partnerships. These are non-DHS partners or stakeholders that have "frequent and significant impact on mission execution, policy development, resource management, and/or mission-focused research and development." I have attached a spreadsheet compiling the significant and frequent partnership responses from the directorates and program offices. I kindly ask that you assist in having Lori review and to let me know if there any she would like removed from the list or added to the list.
3. Biographies of directorate/program office heads, deputies, and acting career successors (for positions that will be vacated by a political).
4. An overview of an average day within USCIS. This is taken directly from the PAG OCOMM has on the day in the life of USCIS.
5. A heat map of USCIS's personnel and assets.

The full tasking instructions are attached for your reference. These materials are due to DHS on Wednesday and we are hoping you can help to have them reviewed and cleared. If Lori would like an in-person briefing of the materials, please let me know.

Thank you,
Julie Farnam

Special Assistant
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
(c) 202-489-8802

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From: [Young, Todd P](#)
To: [Farnam, Julie E](#); [Walters, Jessica S](#)
Cc: [Renaud, Tracy L](#); [USCIS Presidential Transition](#)
Subject: RE: DUE 7/20: Presidential Transition Tasking 2
Date: Monday, July 18, 2016 3:23:57 PM

Thanks Julie. We'll take a look and get back to you tomorrow.

From: Farnam, Julie E
Sent: Monday, July 18, 2016 3:17 PM
To: Young, Todd P; Walters, Jessica S
Cc: Renaud, Tracy L; USCIS Presidential Transition
Subject: DUE 7/20: Presidential Transition Tasking 2

Todd/Jessica,

Our next presidential transition tasking is due to the Department on Wednesday. This tasking requests four things from USCIS:

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2. Key non-DHS partnerships. These are non-DHS partners or stakeholders that have "frequent and significant impact on mission execution, policy development, resource management, and/or mission-focused research and development." I have attached a spreadsheet compiling the significant and frequent partnership responses from the directorates and program offices. I kindly ask that you assist in having Lori review and to let me know if there any she would like removed from the list or added to the list.
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The full tasking instructions are attached for your reference. These materials are due to DHS on Wednesday and we are hoping you can help to have them reviewed and cleared. If Lori would like an in-person briefing of the materials, please let me know.

Thank you,
Julie Farnam
Special Assistant
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
(c) 202-489-8802

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From: [Renaud, Tracy L](#)
To: [Scialabba, Lori L](#)
Subject: RE: Executive Briefing for Successors
Date: Monday, September 26, 2016 8:14:54 PM

Great...I can't wait.

Tracy L. Renaud
Associate Director, Management
U.S. Citizenship and Immigration Services
Department of Homeland Security
202-272-1739 (office)

From: Scialabba, Lori L
Sent: Monday, September 26, 2016 7:53:50 PM
To: Renaud, Tracy L
Subject: RE: Executive Briefing for Successors

CTABs are scary as hell.

From: Renaud, Tracy L
Sent: Friday, September 23, 2016 1:36 PM
To: Scialabba, Lori L
Cc: Farnam, Julie E; Prater, Jocelyn S
Subject: FW: Executive Briefing for Successors

Lori,

In addition to the prep session below, you will also be receiving an invitation for a mandatory 30-minute session in early November that will be for career successors for heads of components where you will receive guidance and direction from the Secretary. I have added Jocelyn to this message for her awareness. They are also working with I&A on putting together a CTAB prep session which will occur in October. I don't know that you need it for yourself, but in my opinion your attendance could be beneficial to others as you would be able to provide some real-life input since you routinely attend CTAB. I believe I will need to attend the CTAB session as the Acting D2 designee.

*Tracy L. Renaud
Associate Director
Management Directorate
US Citizenship & Immigration Services
Department of Homeland Security
202-272-1739 (desk)*

From: Renaud, Tracy L
Sent: Friday, September 23, 2016 1:15 PM
To: 'Scialabba, Lori L (Lori.Scialabba@uscis.dhs.gov)'; Langlois, Joseph E (Joseph.Langlois@uscis.dhs.gov); Neufeld, Donald W; Renaud, Daniel M

(Daniel.M.Renaud@uscis.dhs.gov); Cowan, Robert M
Cc: USCIS Presidential Transition; Farnam, Julie E
Subject: Executive Briefing for Successors

Lori, Joe, Don, Dan and Rob,

I was informed today that the Secretary signed off on the Department's Leadership Succession earlier this month and it has been sent on to WH/OMB. The Secretary did not take this task lightly and what was scheduled to be a 15-minute briefing with him on the targeted successor plan ended up lasting about 75 minutes. I was verbally informed that the USCIS order of succession was not modified. For your awareness, the succession planning that USCIS has had in place for the last couple of years continues to be the order of succession for times when the Director is unable or unavailable to perform his duties is as follows:

1. Deputy Director (Lori Scialabba)
2. Associate Director Management (Tracy Renaud)
3. Associate Director RAIO (Joseph Langlois)
4. Associate Director SCOPS (Donald Neufeld)
5. Associate Director FOD (Daniel Renaud)
6. Director, NBC (Robert Cowan)

While this order of successors is not directly related to Presidential Transition you can easily understand why it is important to have this in place during the transition and have all those identified as successors ready to act should any event occur during the transition and as we prepare for transition. To that end, the DHS Presidential Transition Team will be hosting a 90-minute session to provide an executive briefing to all career successors across DHS which will include: transition update, COOP, COG, emergency management and preparing for the new Administration. There will be four opportunities throughout the month of October for you to participate in one of these sessions, currently the planned dates are as follows:

- October 14th at 10:00 in the DHS OCHCO conference room
- October 20th at 10:00 in the DHS OCHCO conference room
- October 21st at 10:00 Webinar
- October 31st at 1:30 at the NAC

You will be receiving the invitation directly but I wanted to give you a heads up so you understand why you have been invited to attend when the invitation comes to you. If you have any questions please let me or Julie know.

Tracy L. Renaud
Associate Director
Management Directorate

*US Citizenship & Immigration Services
Department of Homeland Security
202-272-1739 (desk)*

From: Renaud, Tracy L
To: [Downs, Cynthia R](#)
Cc: [Compton, Dana C](#); [Frederick, Precious A](#); [Kerns, Kevin J](#)
Subject: RE: invitation to present on Feb. 16 at PDSS
Date: Monday, December 05, 2016 9:47:00 AM

Sure, Cynthia, no problem.

*Tracy L. Renaud
Associate Director
Management Directorate
US Citizenship & Immigration Services
Department of Homeland Security
202-272-1739 (desk)*

From: Downs, Cynthia R
Sent: Friday, December 02, 2016 12:05 PM
To: Renaud, Tracy L
Cc: Compton, Dana C; Frederick, Precious A; Kerns, Kevin J
Subject: invitation to present on Feb. 16 at PDSS

Hi Tracy,

As you know, Human Capital and Training hosts the Professional Development Speaker Series(PDSS) to promote career development for USCIS employees and supervisors.

An upcoming panel "Successful Change Management" will be held on **February 16, 2017** at the Tomich Center and by Adobe Connect from noon – 1:00 ET. Based on your experience at USCIS with a variety of transitions, and I think you would be a notable and timely panelist on this topic!

Please let me know if you are interested and available to be a panelist.

The topic idea for the panel came as many employees voiced concerns about "looming" changes – new building/location, new administration, new learning management system, transformation of the application system and on and on.....

The panel will be made up of myself as the moderator and 2- 3 panelists . Ernie DeStefano has agreed to be one of the panelists. I would like the panelists to focus on their personal experience regarding their role at USCIS with management of change and getting buy-in from all those involved in the change. I think employees will appreciate real-life examples and advice of what to do and not do when they encounter change. Will they be a resister or a leader of the change? And how an employee's reaction to change impact their career potential?

Each panelist will have 10-12 minutes to present after my introduction and following the presentations, we will open it up to questions. I will create a powerpoint that we will use to start the presentation and I will ask you to add information for additional slides related to your portion of the program.

Participants will attend in-person and via Adobe Connect from USCIS offices across the country.

For more context, feel free to review past panel tab/descriptions at the [Professional Development Speaker Series](#).

Thank you for your consideration.

Regards,

Cynthia Downs

Program Manager, Leadership and Career Development Branch

USCIS Office of Human Capital and Training

633 Third St. MS-2070

Washington DC 20529-2070

Harmony | Empathy | Individualization | Arranger | Developer

Office: 202-233-2554

Mobile: 202-360-6701

[Training Connect Page](#) | [HCT Newsletter](#) | [HCT A-Z](#)

From: Drake, Johnetta on behalf of USCIS Exec Sec
To: USCIS Presidential Transition; USCIS Exec Sec
Cc: Renaud, Tracy L; Button, Maria G (Gemma)
Subject: RE: Issue Paper Review Due COB 9/14 - Key Immigration Areas of Focus
Date: Friday, September 16, 2016 12:04:56 PM
Attachments: OCC - Issue Paper - Immigration Areas of Focus USCIS Edits Redlined.docx
OoC - Issue Paper - Immigration Areas of Focus - USCIS Edits Redlined.docx
OP&S - Issue Paper - Immigration Areas of Focus USCIS Edits .docx
RAIO - Issue Paper - Immigration Areas of Focus USCIS Edits Redlined RAD edits.docx

Hi Julie,

Attached are edits/comments from OCC, OoC, OP&S, and RAIO. When you submit the final to EXSO, please let us know if it will need to be cleared by the Director's Office.

Johnetta Drake

USCIS Office of the Executive Secretariat

202-236-4246 (Cell)

202-272-0998 (Desk)

202-272-0990 (Office)

EXSO Connect Page

EXSO ECN Page

Please upload all actions for which Forms G-1056 are used to CATS.

Please send all official actions to USCIS-Exec-Sec@uscis.dhs.gov.

From: USCIS Presidential Transition
Sent: Monday, September 12, 2016 8:37 AM
To: USCIS Exec Sec
Cc: Renaud, Tracy L; Button, Maria G (Gemma)
Subject: Issue Paper Review Due COB 9/14
Importance: High

Good morning,

Attached is an issue paper providing an overview of immigration within the Department that DHS Policy drafted. This paper will be included along with other briefing materials as part of the presidential transition.

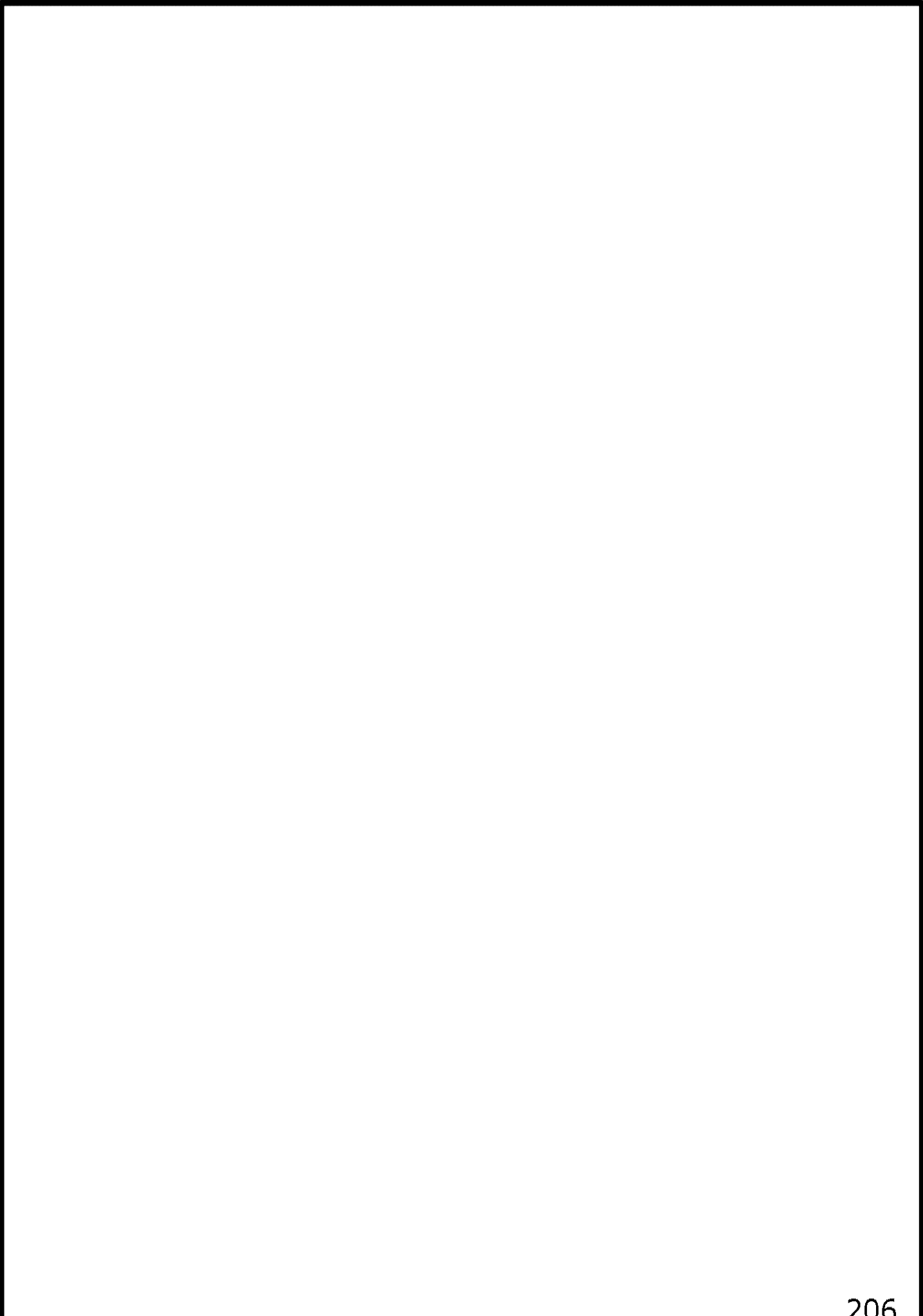
We request review/clearance from RAIO, FDNS, SCOPS, FOD, OCC, OP&S, OoC, by COB on Wednesday and clearance from the front office by noon on Friday. I've made edits to PLCY's original draft and have attached both a redlined and clean version of the document. Please note that the paper may not exceed three pages and the tone should be politically neutral.

Thank you,
Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102

(c) 202-489-8802

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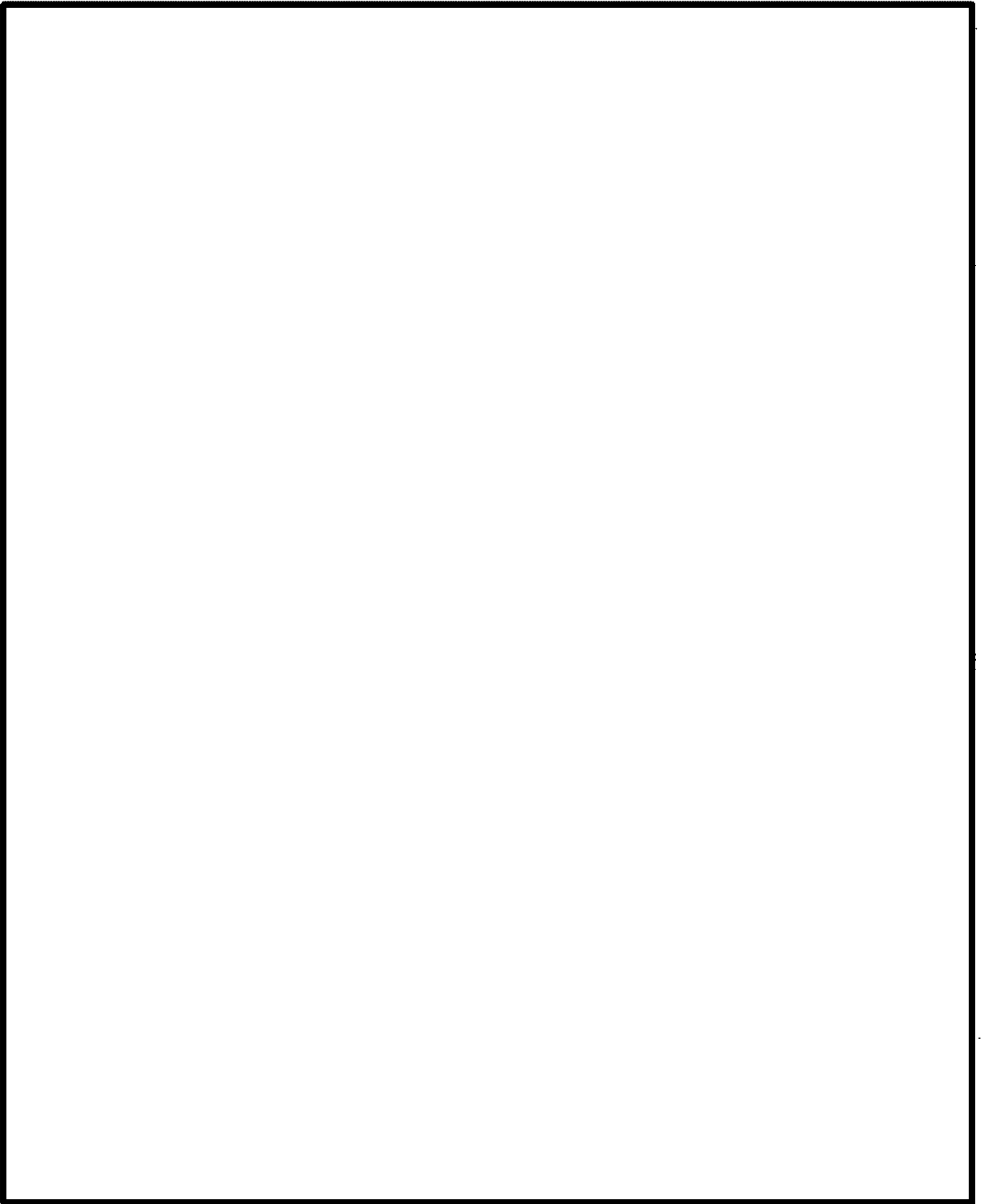
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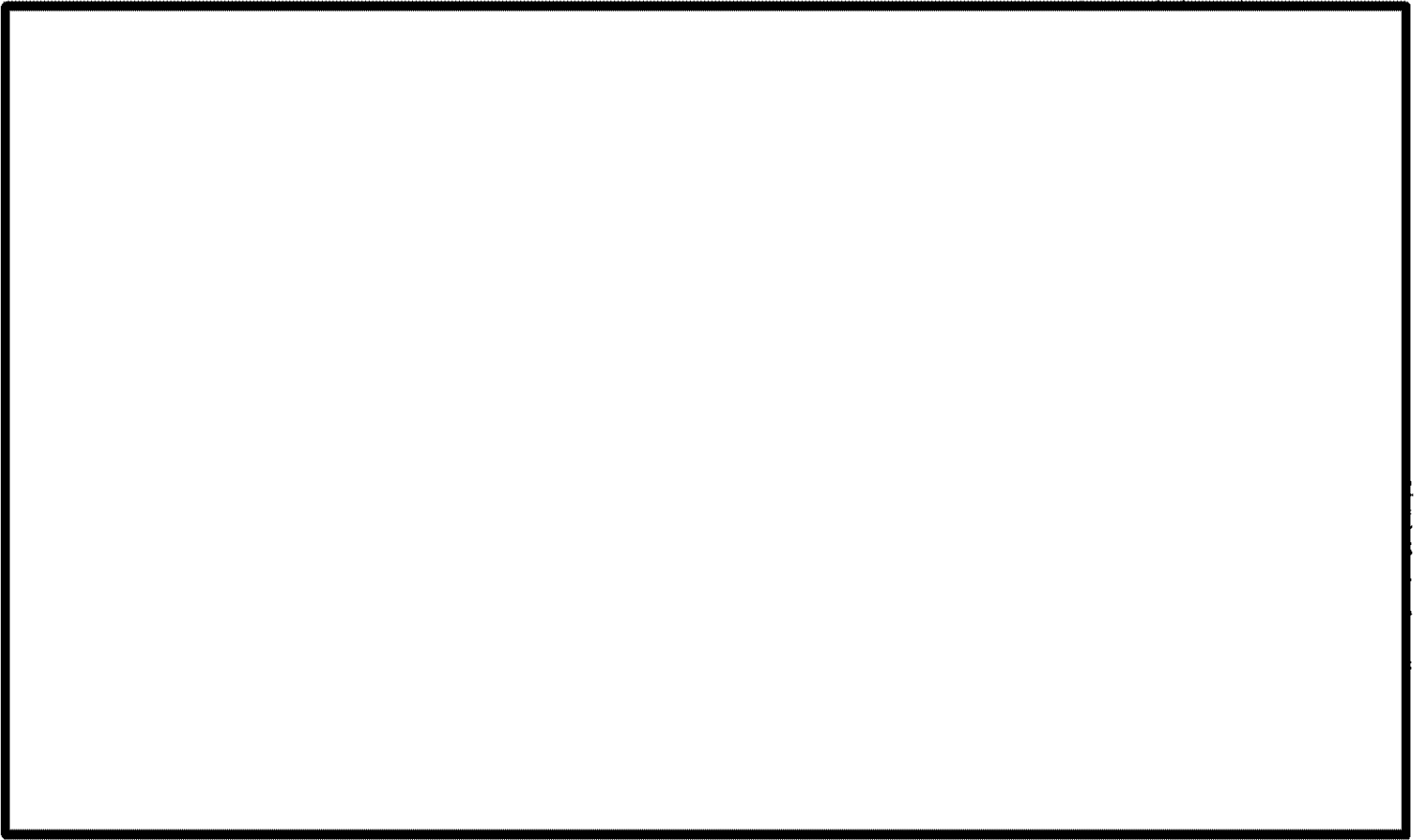
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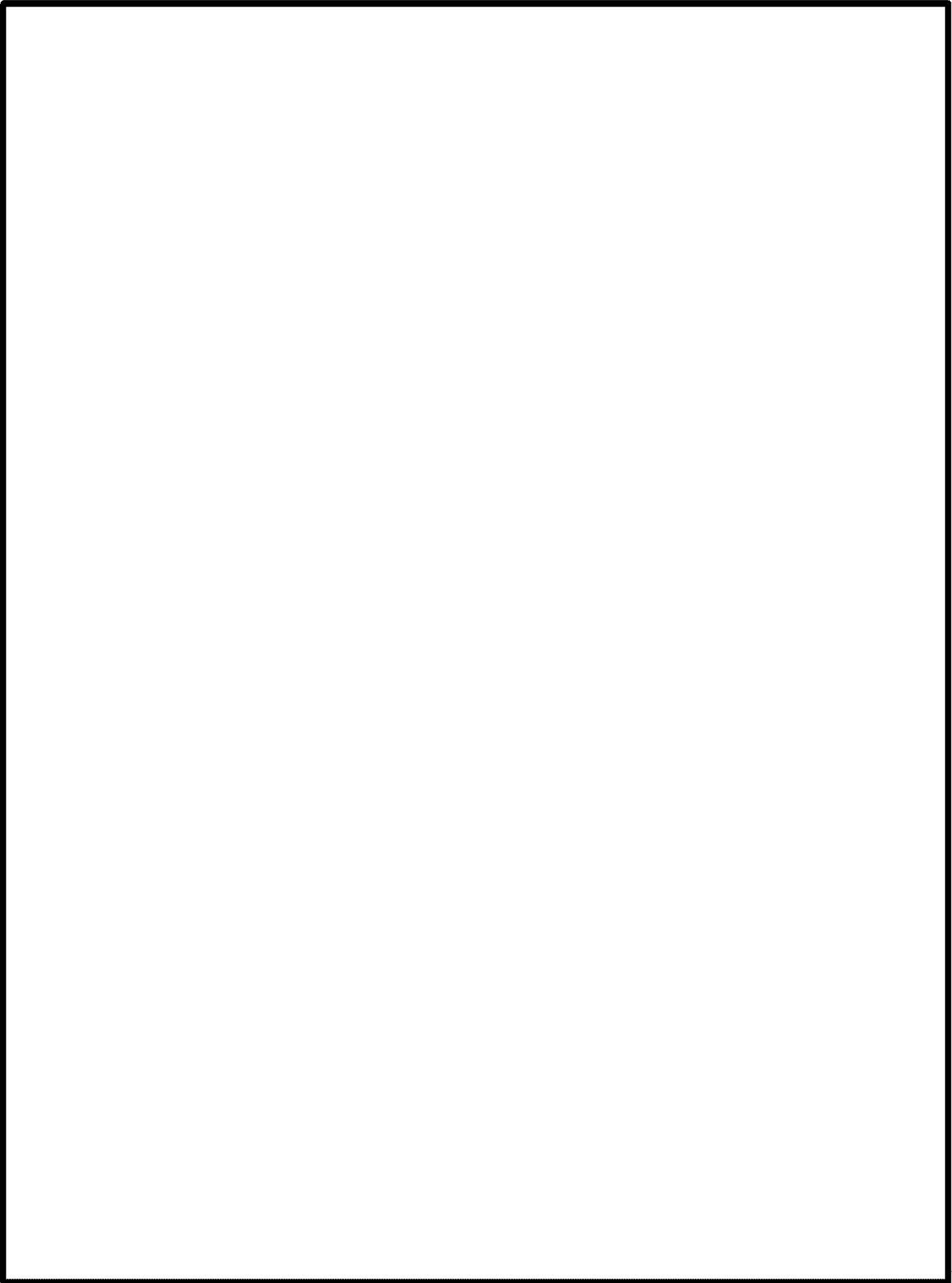
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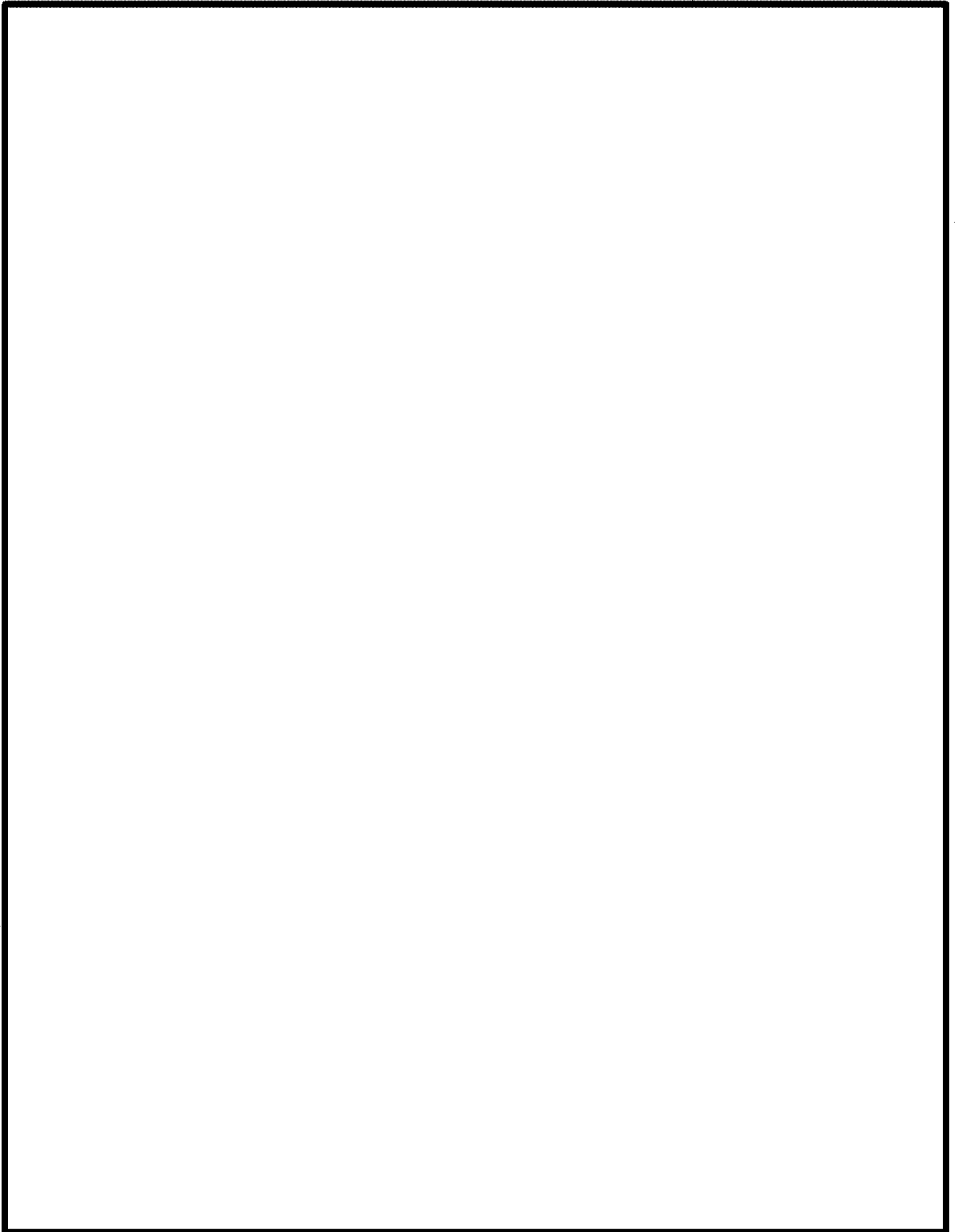
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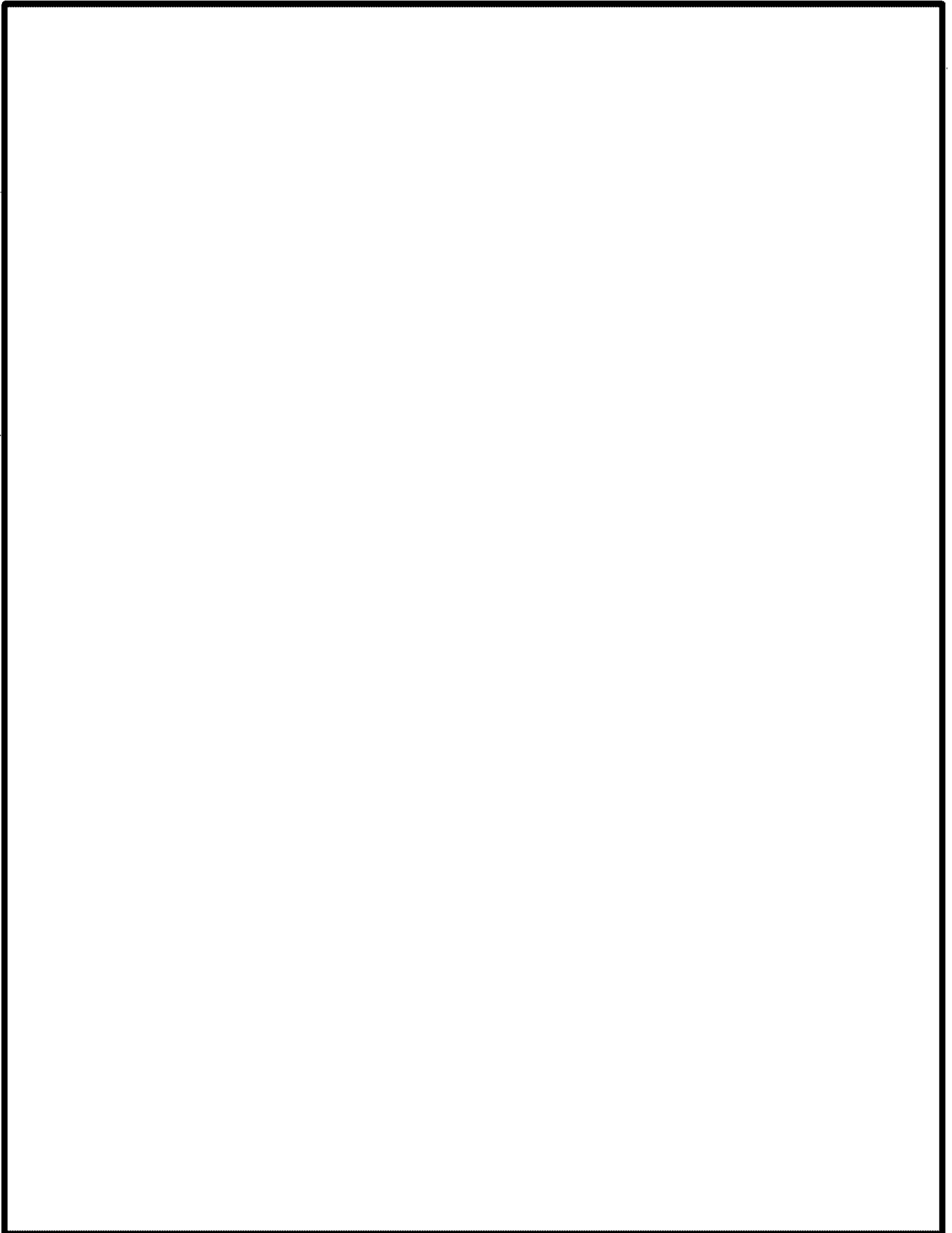
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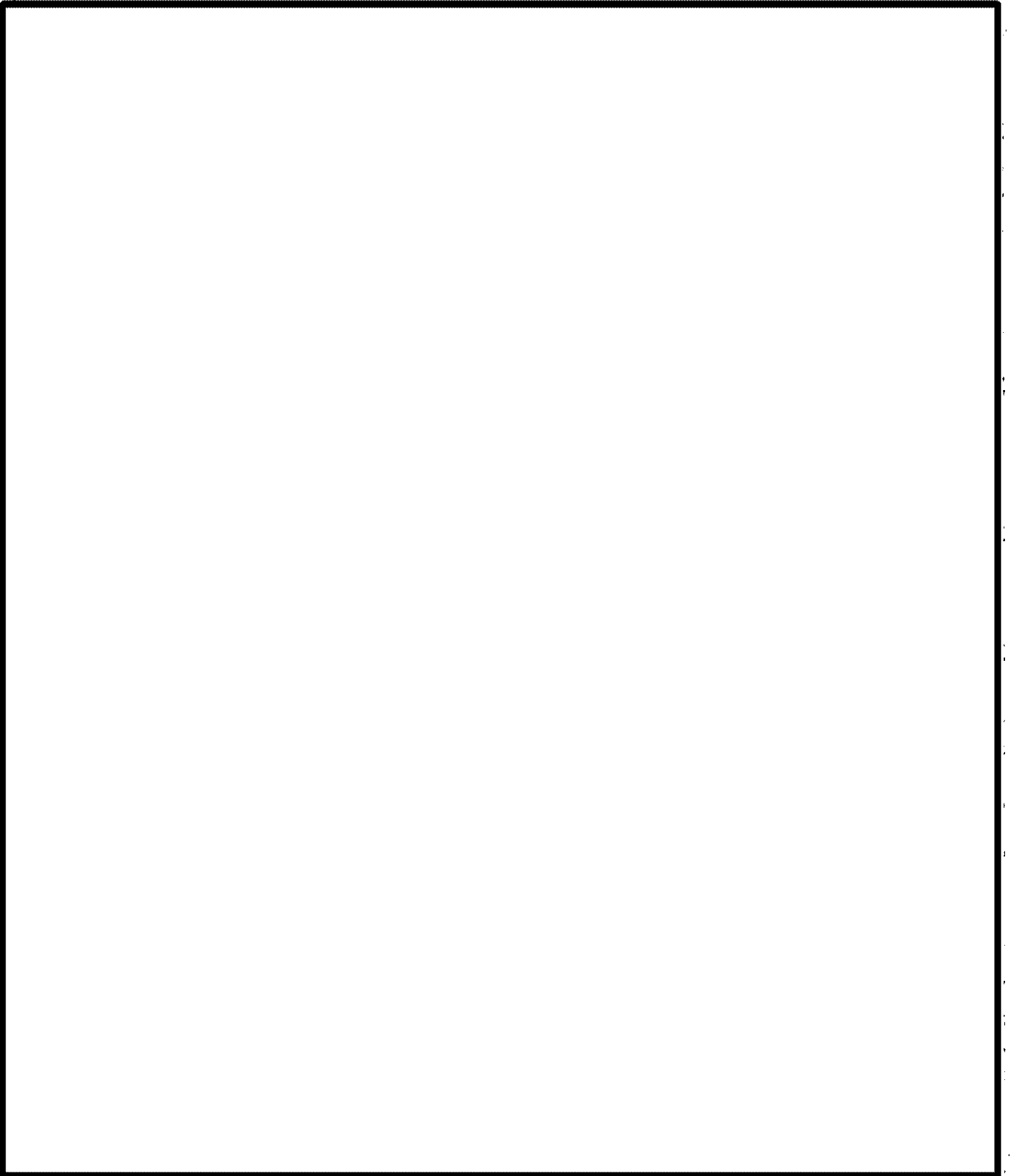
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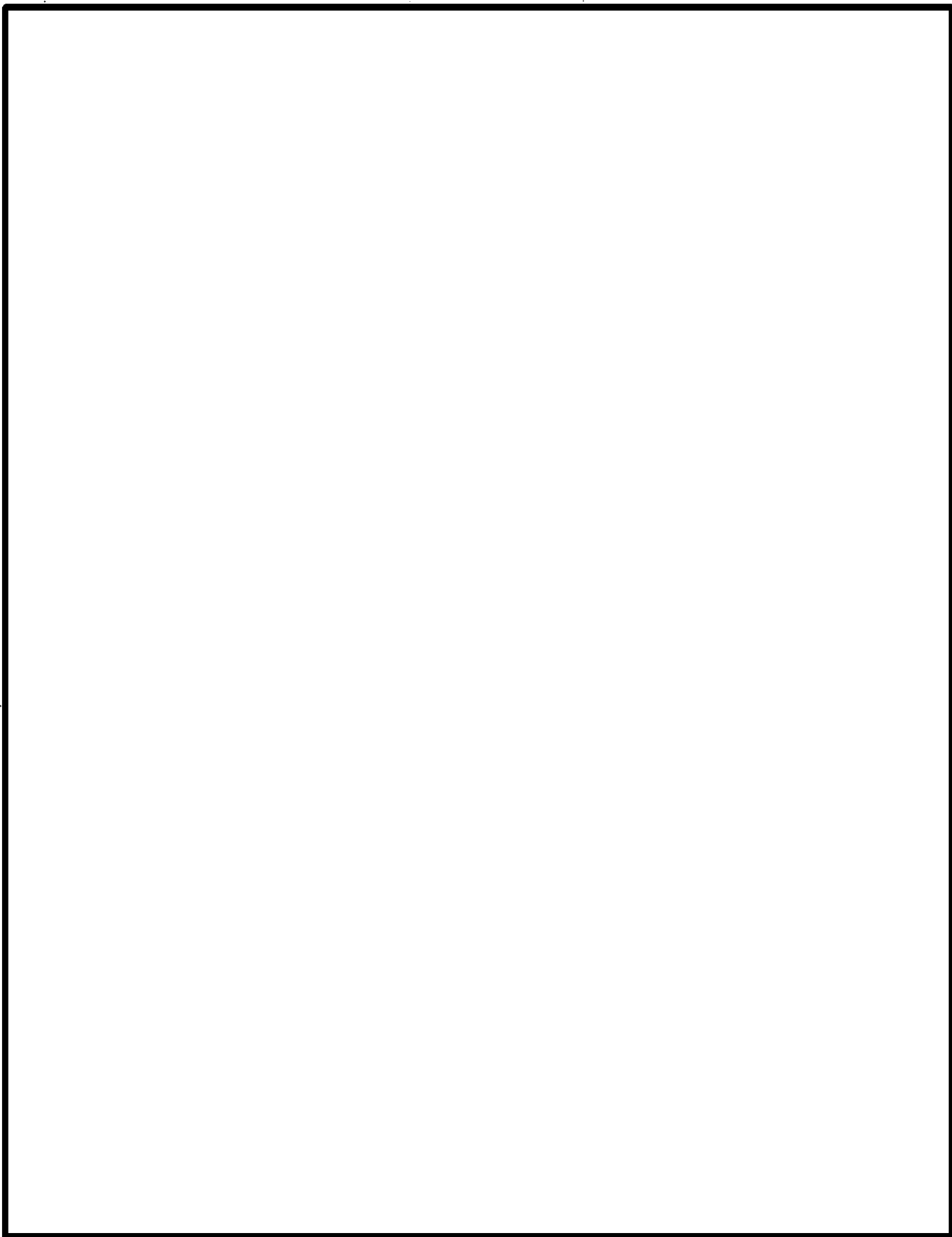
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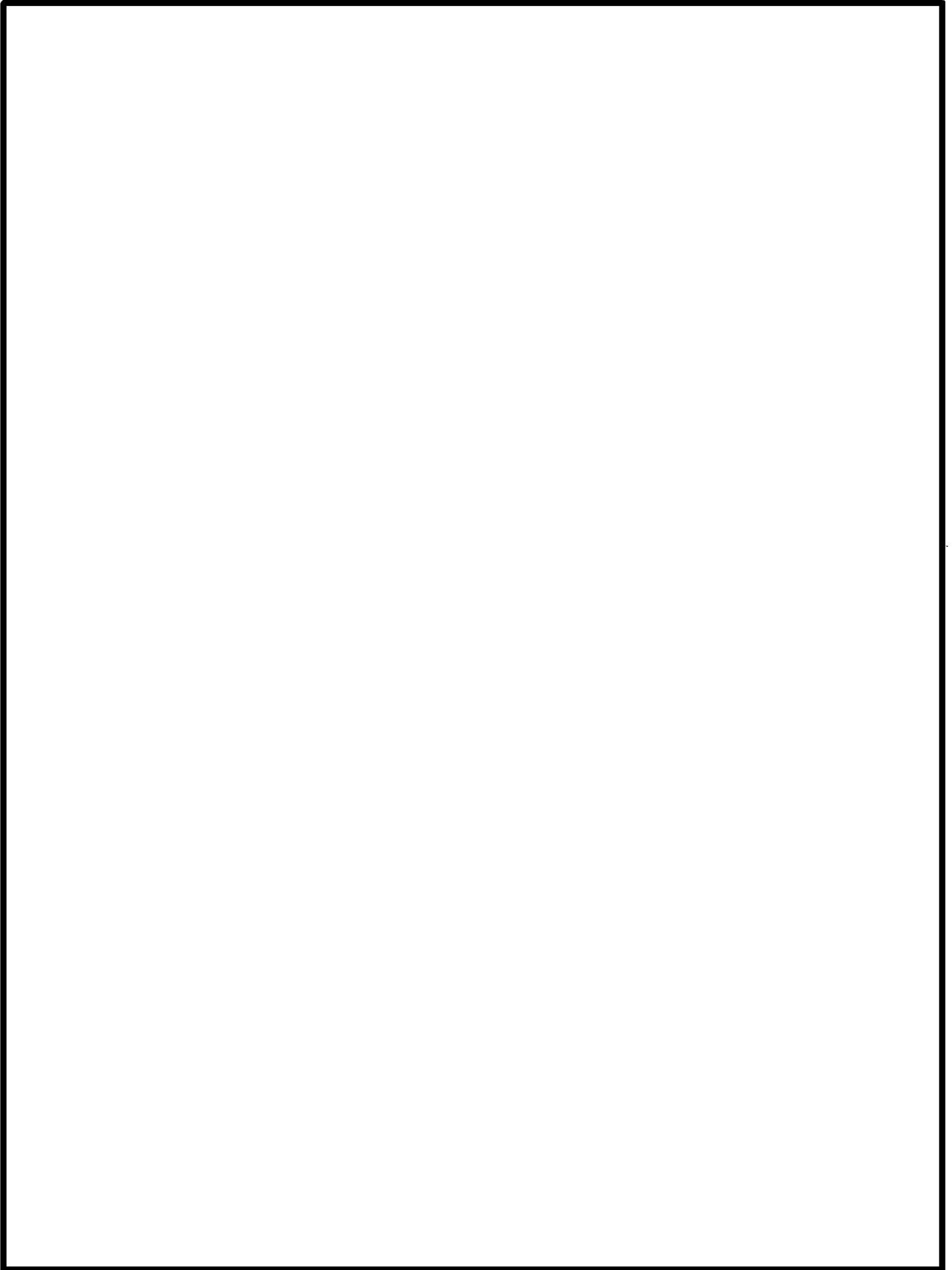
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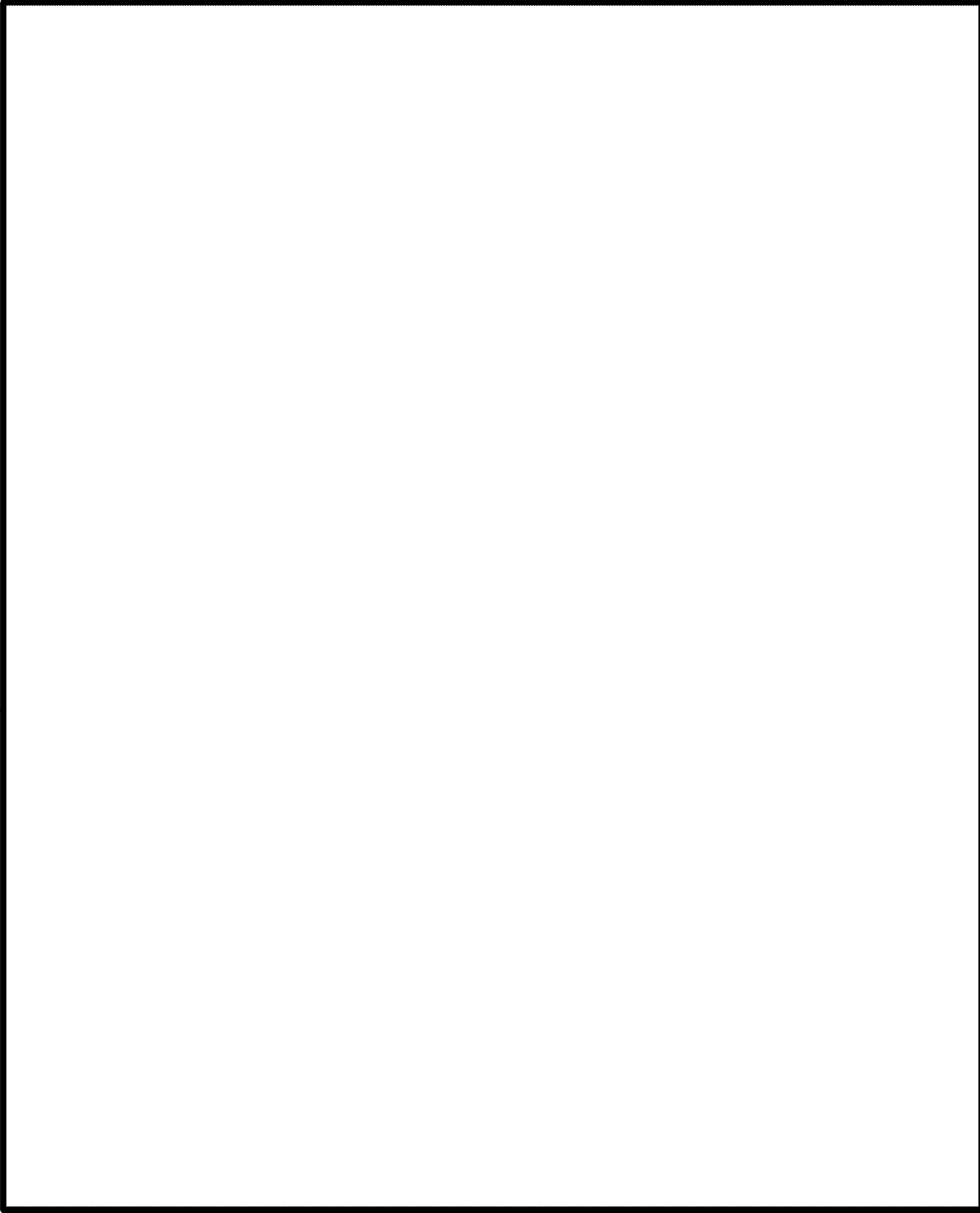
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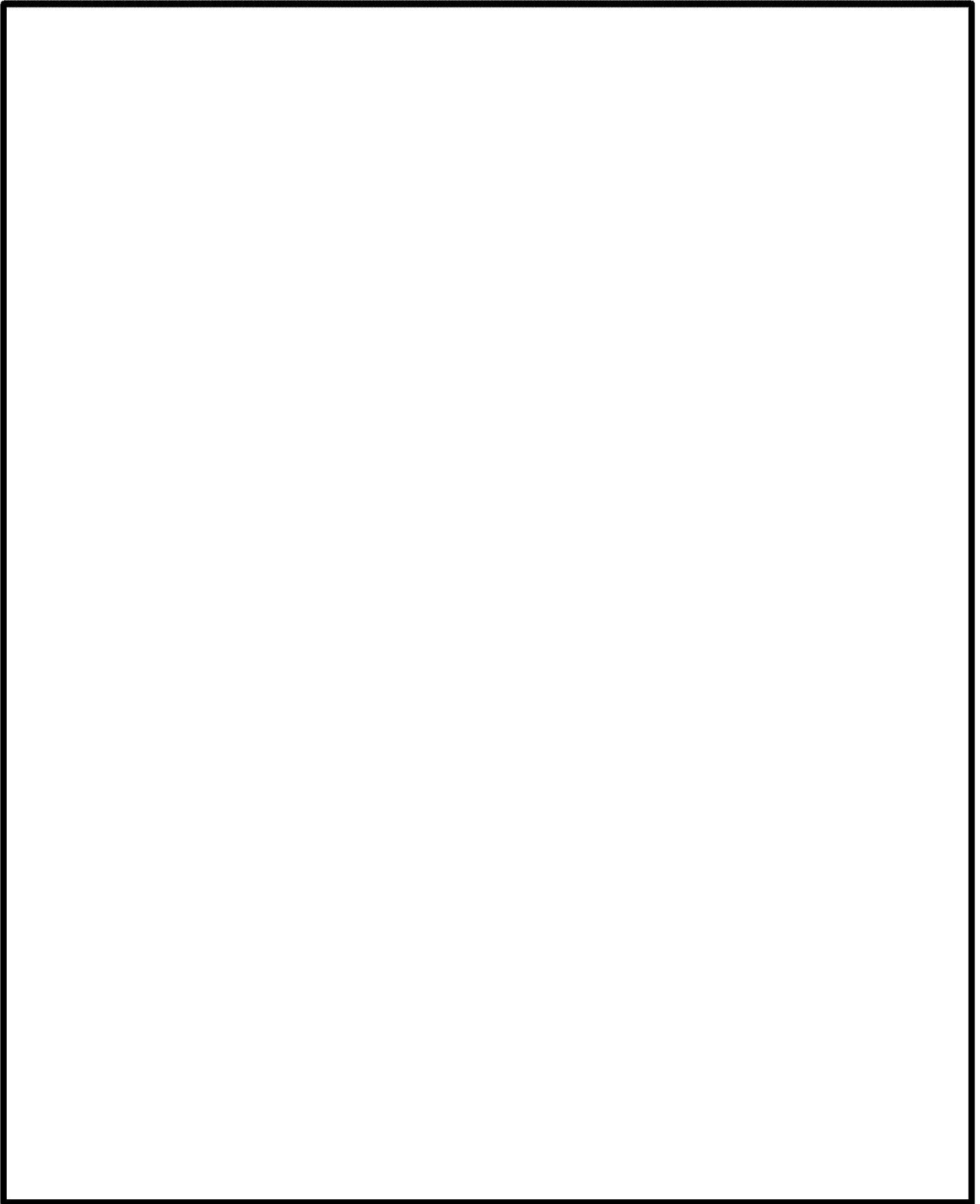
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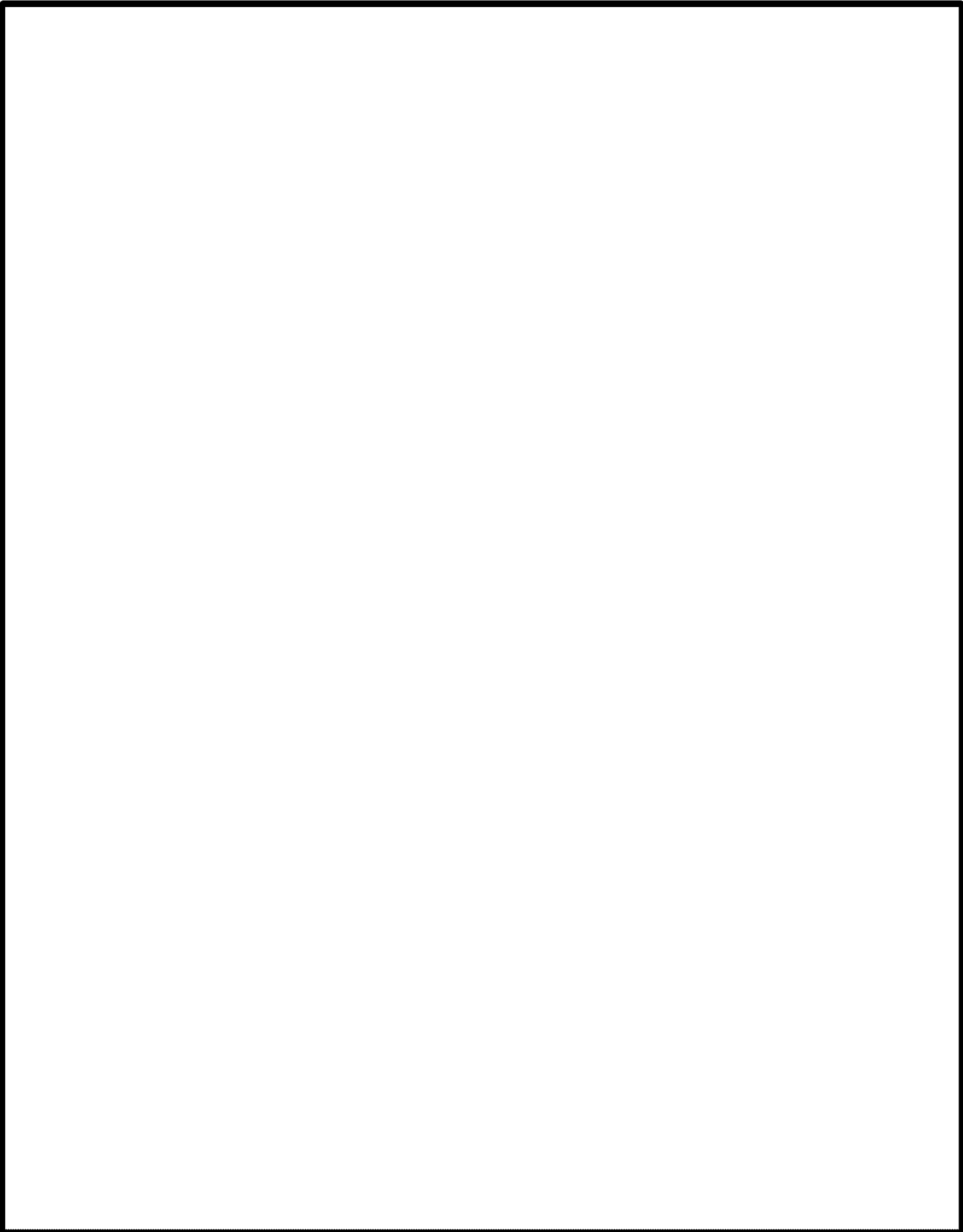
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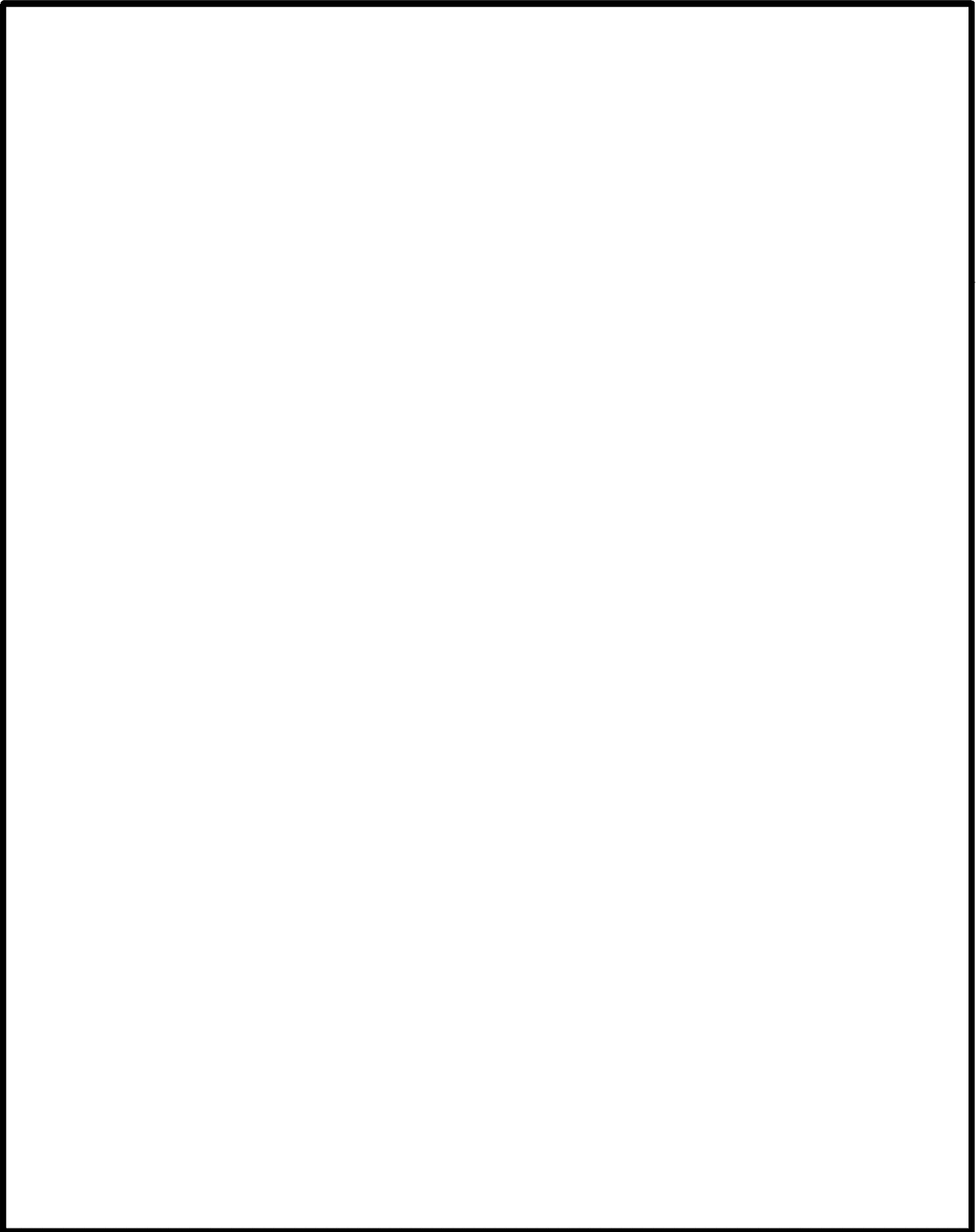
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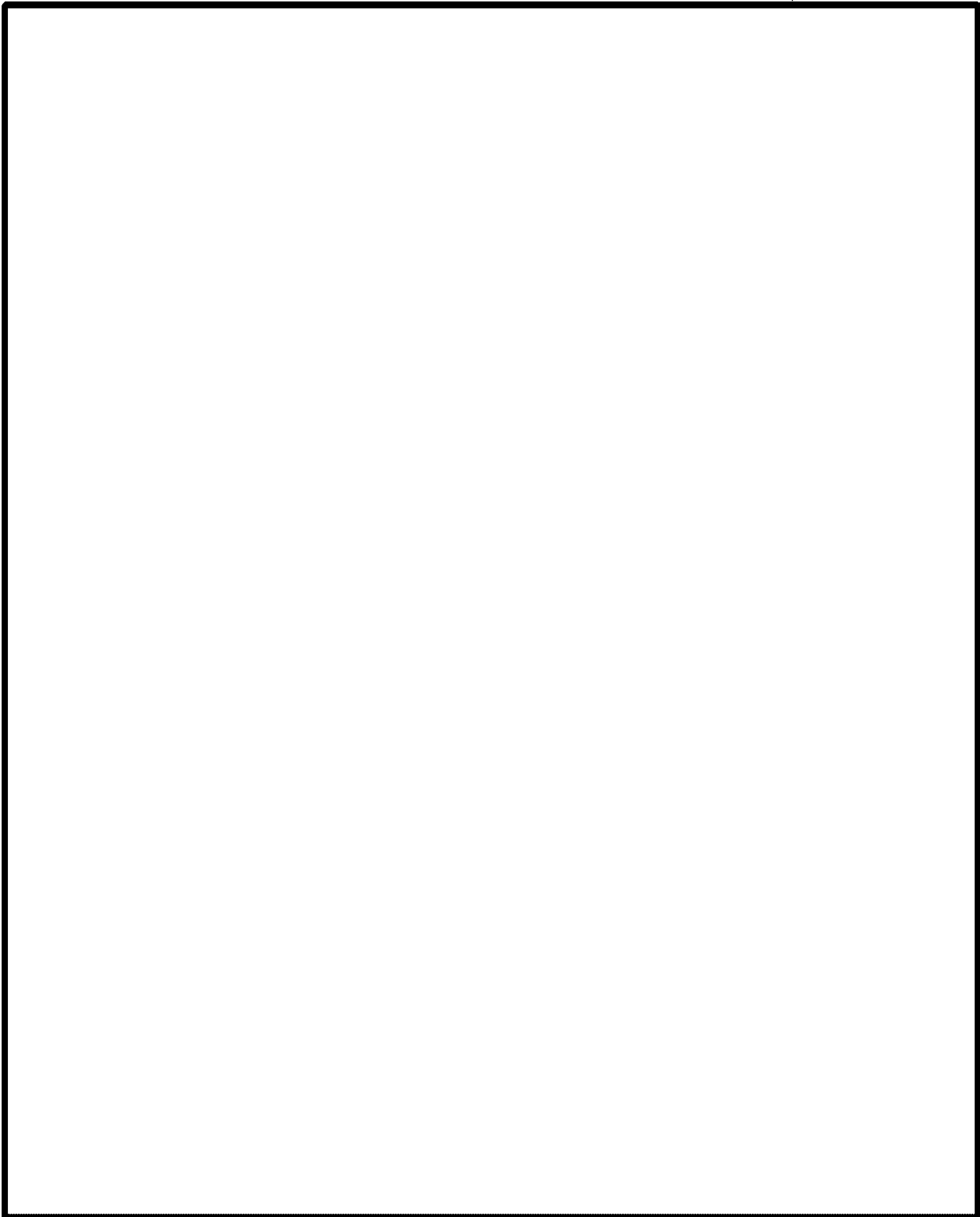


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From: Melero, Mariela
To: Inouye, Shinichi (Shin); Nino, Teresa; Rodriguez, Leon; Higgins, Jennifer B; Renaud, Tracy L; Renaud, Daniel M; Vanison, Denise; Guttentag, Lucas; Neufeld, Donald W; Jaddou, Ur M; Moore, Joseph D; Alfonso, Angelica M
Cc: Scialabba, Lori L; Choi, Juliet K; McCament, James W
Subject: RE: OMB Document for Review
Date: Thursday, November 13, 2014 2:54:39 PM
Attachments: @

Dear Jennifer,

Attached, please find an edit and a comment for your consideration.

Best,

Mariela

Mariela Melero

Associate Director

Customer Service and

Public Engagement Directorate

US Citizenship and Immigration Services

202 272 1318 office

202 528 5809 cell

From: Inouye, Shinichi (Shin)
Sent: Thursday, November 13, 2014 1:14 PM
To: Nino, Teresa; Rodriguez, Leon; Higgins, Jennifer B; Renaud, Tracy L; Renaud, Daniel M; Vanison, Denise; Guttentag, Lucas; Neufeld, Donald W; Jaddou, Ur M; Moore, Joseph D; Melero, Mariela; Alfonso, Angelica M
Cc: Scialabba, Lori L; Choi, Juliet K; McCament, James W
Subject: RE: OMB Document for Review



Shin Inouye

Press Secretary and Advisor for Intergovernmental and External

From: Inouye, Shinichi (Shin)
To: Nino, Teresa; Rodriguez, Leon; Higgins, Jennifer B; Renaud, Tracy L; Renaud, Daniel M; Vanison, Denise; Guttentag, Lucas; Neufeld, Donald W; Jaddou, Ur M; Moore, Joseph D; Melero, Mariela; Alfonso, Angelica M
Cc: Scialabba, Lori L; Choi, Juliet K; McCament, James W
Subject: RE: OMB Document for Review
Date: Thursday, November 13, 2014 1:13:59 PM

(b)(5)

Shin Inouye

Press Secretary and Advisor for Intergovernmental and External Affairs

U.S: Citizenship and Immigration Services

202-272-1000 (Main)

202-272-8012 (Direct)

Shin.Inouye@uscis.dhs.gov

Twitter: @InouyeUSCIS <<https://twitter.com/InouyeUSCIS>>

From: Nino, Teresa
Sent: Thursday, November 13, 2014 12:26 PM
To: Rodriguez, Leon; Higgins, Jennifer B; Renaud, Tracy L; Renaud, Daniel M; Vanison, Denise; Guttentag, Lucas; Inouye, Shinichi (Shin); Neufeld, Donald W; Jaddou, Ur M; Moore, Joseph D; Melero, Mariela; Alfonso, Angelica M
Cc: Scialabba, Lori L; Choi, Juliet K; McCament, James W
Subject: RE: OMB Document for Review

I've also added a comment.

Teresa

From: Rodriguez, Leon
Sent: Thursday, November 13, 2014 10:02

From: Stewart, Bion
To: Petyo, Briana; Farnam, Julie E
Cc: Renaud, Tracy L; Burriesci, Kelli
Subject: RE: Presidential Transition Office - Immigration Areas of Focus
Date: Wednesday, November 02, 2016 10:19:40 AM
Attachments: Immigration Areas of Focus.OGC.DOCX

And this should be the last one....

Thanks.

Bion

From: Stewart, Bion
Sent: Wednesday, November 2, 2016 10:17 AM
To: Petyo, Briana <Briana.Petyo@hq.dhs.gov>; Farnam, Julie E <Julie.E.Farnam@uscis.dhs.gov>
Cc: Renaud, Tracy L <Tracy.L.Renaud@uscis.dhs.gov>; Burriesci, Kelli <kelli.burriesci@hq.dhs.gov>
Subject: RE: Presidential Transition Office - Screening and Vetting Paper

Same request for the attached as well.

Thanks.

Bion

From: Stewart, Bion
Sent: Wednesday, November 2, 2016 9:58 AM
To: Petyo, Briana <Briana.Petyo@hq.dhs.gov>; Farnam, Julie E <Julie.E.Farnam@uscis.dhs.gov>
Cc: Renaud, Tracy L <Tracy.L.Renaud@uscis.dhs.gov>; Burriesci, Kelli <kelli.burriesci@hq.dhs.gov>
Subject: Presidential Transition Office - Watchlisting Paper

OGC had some late comments/edits on the attached. Please adjudicate and send back the clean document as soon as possible.

OGC POC is Kaiya Pontinen if you need to reach back.

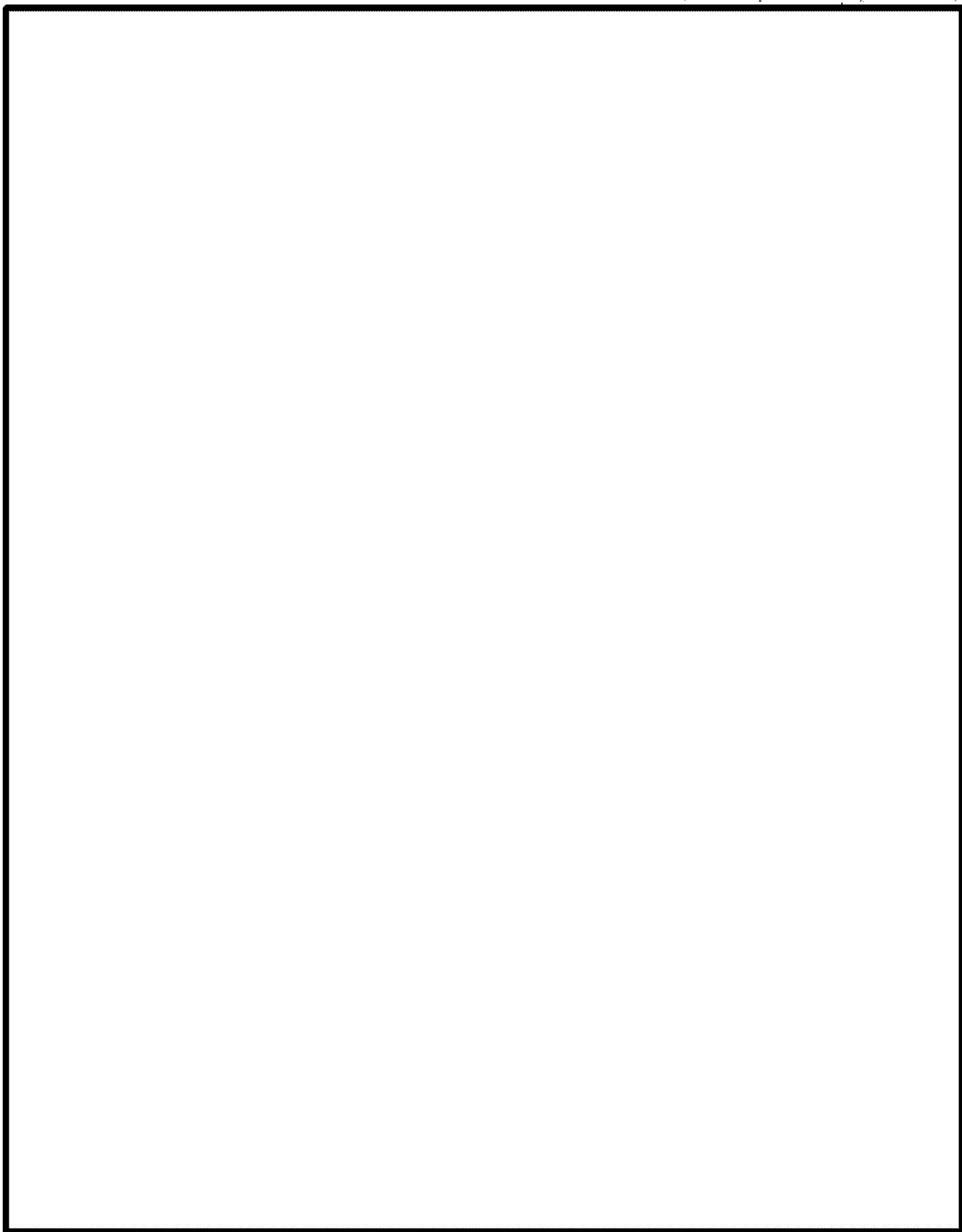
Thanks.

Bion

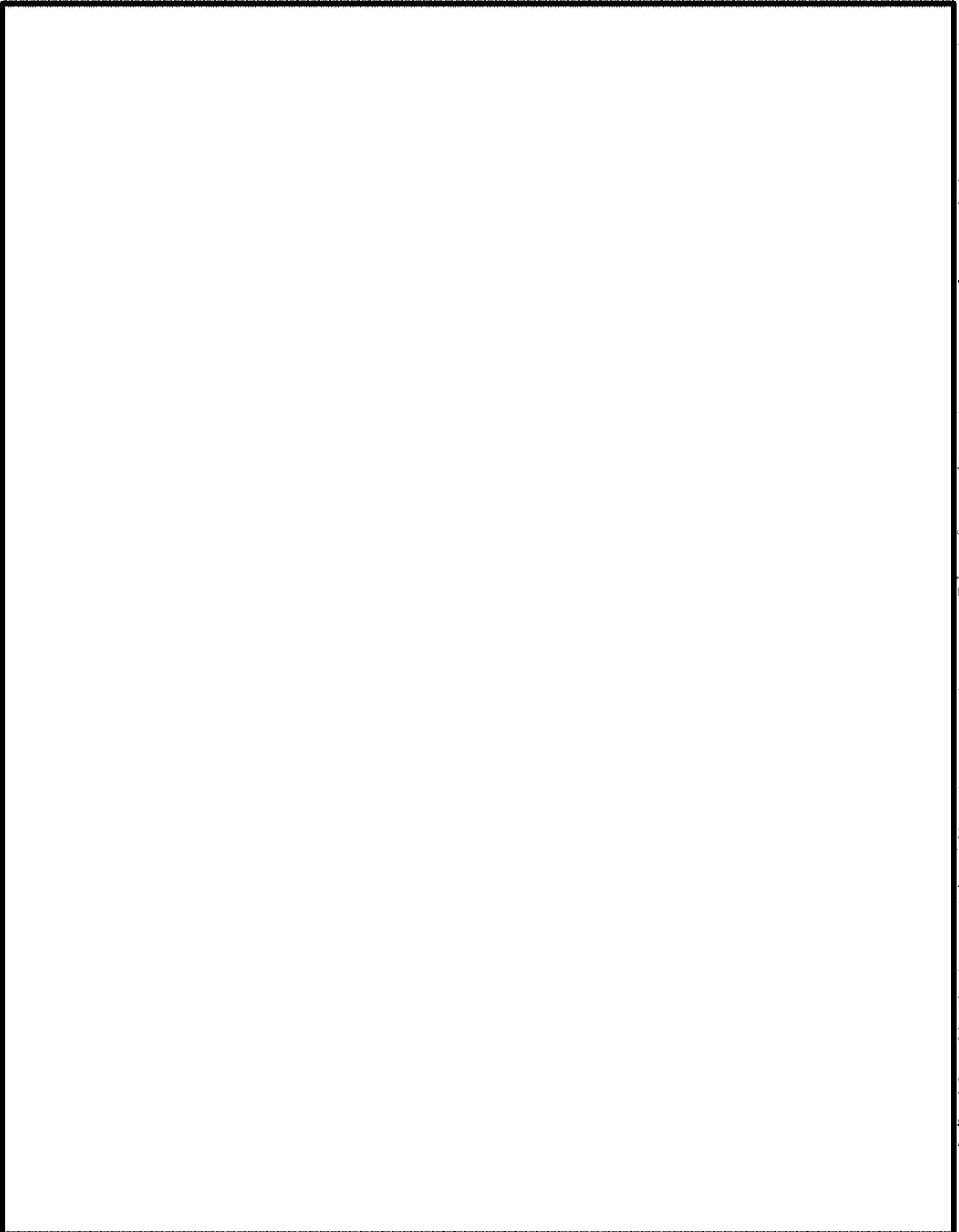
Bion Stewart
Deputy Presidential Transition Officer

Department of Homeland Security
202-282-9125

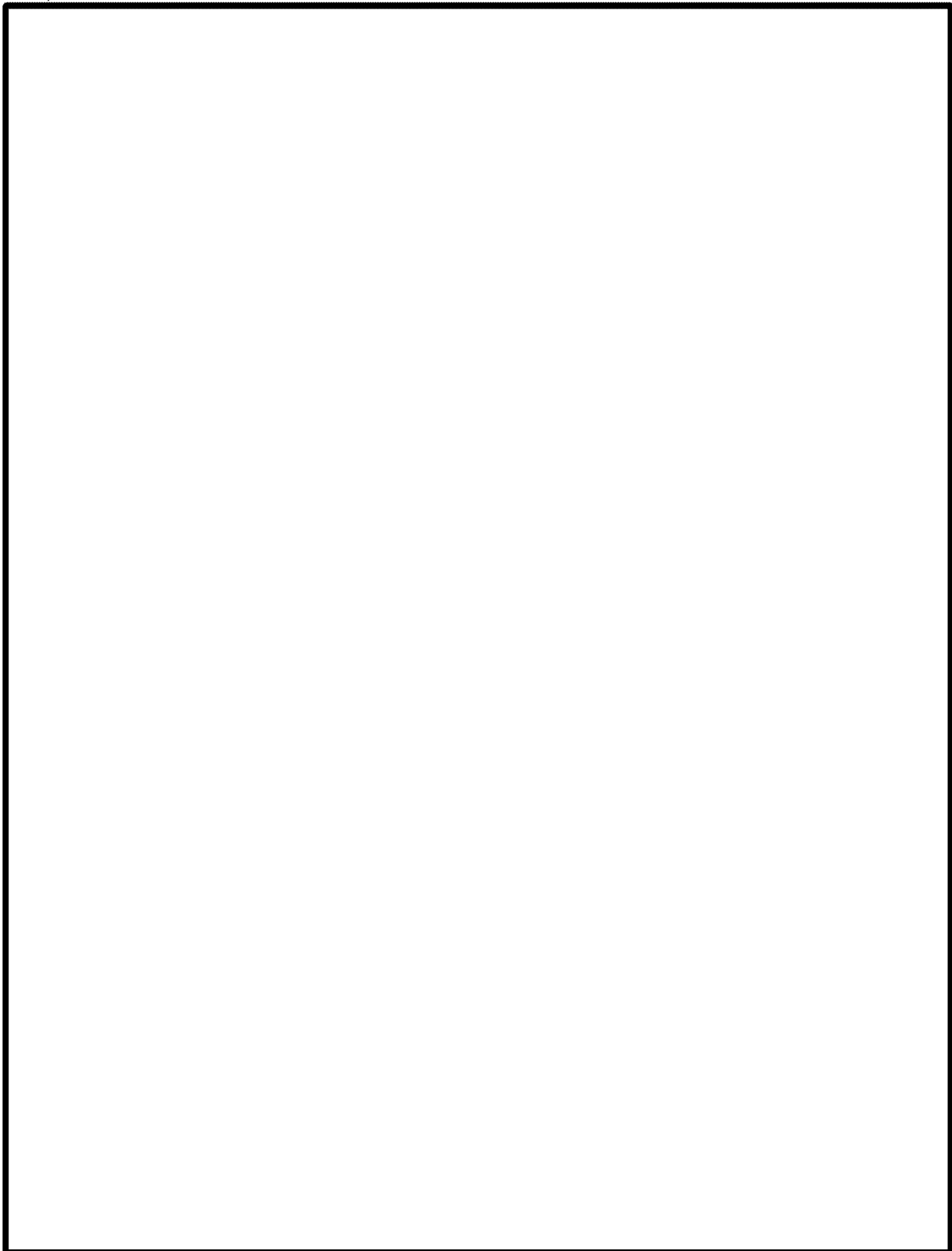
(b)(5)



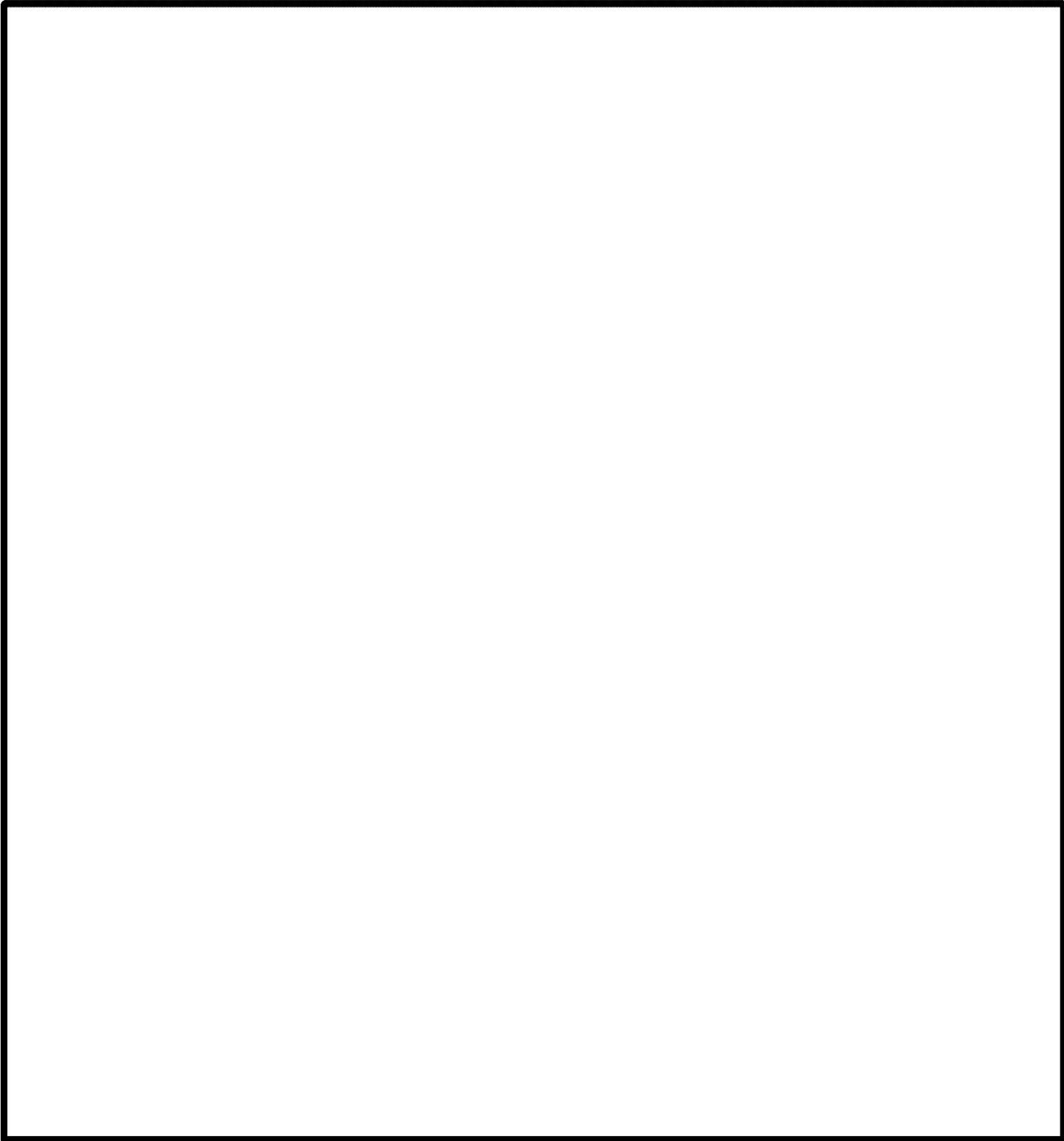
(b)(5)



(b)(5)



(b)(5)



From: [USCIS Presidential Transition](#)
To: [Stewart, Bion](#)
Cc: [Renaud, Tracy L](#)
Subject: RE: Presidential Transition Office - Strategic Issue Paper Ranking
Date: Monday, July 18, 2016 12:33:59 PM
Attachments: [USCIS Nomination Spreadsheet Consolidation Ranking.xlsx](#)

Sorry about that, Bion. Please see the attached document. If you need anything additional, please let me know.

Julie Farnam
Special Assistant
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
(c) 202-489-8802

This communication, along with any attachments, may contain confidential information and is covered by federal laws governing electronic communications. Electronic communications may also be monitored by the Department of Homeland Security, U.S. Citizenship and Immigration Services. If the reader of this message is not the intended recipient, you are hereby notified that any dissemination, distribution, use, or copying of this message is strictly prohibited. If you have received this in error, please delete this message and all attachments and immediately notify the sender.

From: Stewart, Bion
Sent: Monday, July 18, 2016 12:09 PM
To: USCIS Presidential Transition
Cc: Renaud, Tracy L
Subject: FW: Presidential Transition Office - Strategic Issue Paper Ranking

USCIS Transition Colleagues,

We appreciate you sending this over, but part of the instructions were to not alter the spreadsheet in any other way than adding your rankings in the designated column. Because I'm calculating rankings for all nominations across all Components and Offices (literally 3900 calculations), I need all of the columns and rows to be uniform so Excel can run the formula properly.

Can you please populate the original spreadsheet with your rankings without any other changes and resend?

Thanks.

Bion

From: Button, Maria G (Gemma) **On Behalf Of** USCIS Exec Sec
Sent: Friday, July 15, 2016 10:08 AM

To: Stewart, Bion <bion.stewart@hq.dhs.gov>; Horowitz, Scott <Scott.Horowitz@HQ.DHS.GOV>;
Beagles, James <James.Beagles@HQ.DHS.GOV>
Cc: Rinehart, Kalee <Kalee.Rinehart@hq.dhs.gov>; USCIS Exec Sec <USCIS-Exec-Sec@uscis.dhs.gov>
Subject: RE: Presidential Transition Office - Strategic Issue Paper Ranking

Good Morning,

Attached is USCIS' response to this tasking.

Have a good day.

Gemma

Maria Gemma Button
Chief
US Citizenship and Immigration Services
Office of the Executive Secretariat
202-272-8568
e-mail: USCIS-Exec-Sec@uscis.dhs.gov
e-mail: Connect: <http://connect.uscis.dhs.gov/org/EXSO/Pages/default.aspx>

From: Rinehart, Kalee
Sent: Wednesday, July 06, 2016 4:19 PM
To: CISOMBExecSec; CRCL Exec Sec; DNDO Exec Sec; FLETC Exec Sec; ESEC-Internal Liaison; I&A Exec Sec; PRIV Exec Sec; OGC Exec Sec; ohaexecsec; OIG Execsec; OLA Exec Sec; OPE Tasking; OPE_Tasking; OPA Exec Sec; OPS Exec Sec; Pcly Exec Sec; S&T Exec Sec; CBPEXECSEC; FEMAExecSec; ICE Exec Sec; NPPDExecSec; TSAExecSec; EXEC, USCG SMB; USCIS Exec Sec; CFO Exec Sec; CHCOExecSec; OCIO ExecSec; CPOEXECSEC; CRSO_ExecSec; CSOEXECSEC; PARMExecSec;; Comans, Mary Francis; USSS Exec Sec
Cc: Stewart, Bion; Horowitz, Scott; MGMTExecSec
Subject: Presidential Transition Office - Strategic Issue Paper Ranking

Sorry – I didn't mean to recall this message. This tasking still stands!

To All DHS Component and LOB ESEC Sec's

Please see tasker from the DHS Transition Office

"The Presidential Transition Office (PTO) requests Component, Office, Directorate & MGMT LOB review and ranking of Presidential Transition Strategic Issue Papers. The attached spreadsheet includes over 100 transition strategic issue paper topics submitted by DHS Components, Offices, Directorates, and MGMT LOBs. Please review and indicate your top 30 strategic issue papers by ranking them from 1 (most important) to 30 in the "Rank" column on the far right of the document. Please do not alter the spreadsheet in any other way. Please include your Component/Office in the file name of spreadsheet upon return.

This is the next step in the process to recommend a list of transition strategic issue papers to the

DMAG and ultimately S1 for final approval. Request this tasker be routed to Component/Office/Directorate & MGMT LOB SCAO's as identified in the attached Transition SCAO list. **Please deliver responses by COB 15 July 2016** to bion.stewart@hq.dhs.gov, scott.horowitz@hq.dhs.gov & James.Beagles@hq.dhs.gov.

For questions regarding this request, please contact Bion Stewart, 202-282-9125 or Scott Horowitz, 202-282-8152"

From: Renaud, Tracy L
To: USCIS Presidential Transition; McCament, James W; Levine, Laurence D; Carpenter, Dea D
Subject: RE: Ready to Act: Panel Featuring Leaders from the 2008 Transition, September 16, 1 pm
Date: Tuesday, September 13, 2016 1:15:40 PM

Julie-

I don't think this is for everyone who will be a successor in an acting capacity behind a political because there are just too many - I think it is only for those who will be acting in the number 1 or 2 position in each component, but you can clarify with DHS to be certain. They did use our list to send the invites.

Tracy L. Renaud
Associate Director, Management
U.S. Citizenship and Immigration Services
Department of Homeland Security
202-272-1739 (office)

From: USCIS Presidential Transition
Sent: Tuesday, September 13, 2016 12:24:37 PM
To: McCament, James W; Levine, Laurence D; Carpenter, Dea D
Cc: Renaud, Tracy L
Subject: FW: Ready to Act: Panel Featuring Leaders from the 2008 Transition, September 16, 1 pm

I'm not sure if you received this message, but if not, I wanted to pass this along to you. You should have received an invite, but if you did not, please let me know. I already have a car reserved to go to the NAC, so if you'd like to join, please let me know and I'll make sure the car does not leave without you.

Thank you,
Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
(c) 202-489-8802

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From: Micone, Vincent
Sent: Monday, September 12, 2016 4:59 PM
Subject: Ready to Act: Panel Featuring Leaders from the 2008 Transition, September 16, 1 pm

Career Successors and SCAOs:

You are invited to attend a high-level discussion with previous DHS senior officials on their experiences in the 2008 Presidential transition. This panel, the first of our *Ready to Act* executive sessions, will be held on **Friday, September 16, 2016, 1-2:30 pm, in the NAC Large Conference Room**. Distinguished panelists (in alphabetical order) will include:

- Rand Beers, Former Acting Secretary and Under Secretary for NPPD. Mr. Beers was a leader of the 2008 DHS agency review team for then President-Elect Obama.
- Noah Kroloff, Former Chief of Staff to Secretary Napolitano. Mr. Kroloff assisted then Governor Napolitano through the confirmation process and was one of the first appointees at DHS after the Inauguration.
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This will be an exceptional opportunity to understand the sprint that takes place after the Presidential election through the Inauguration and into the first months of a new administration.

Attendance will be limited to the Career Successors to Component Heads, Senior Component Accountable Officials for Transition, and one additional participant from each Operational Component, Directorate, HQ Office and LOB such as an Action Officer or other transition lead.

An Outlook scheduler has been sent to you. To participate, please RSVP by 12 noon on Wednesday, September 13, to Greg Halter at greg.halter@hq.dhs.gov.

Thanks,
Vince

Vince Micone
DHS Presidential Transition Officer
and Senior Counselor
Management Directorate
U.S. Department of Homeland Security
(202) 447-3400

From: [Renaud, Tracy L](#)
To: [McCament, James W](#); [USCIS Presidential Transition](#); [Levine, Laurence D](#); [Carpenter, Dea D](#)
Subject: RE: Ready to Act: Panel Featuring Leaders from the 2008 Transition, September 16, 1 pm
Date: Tuesday, September 13, 2016 1:13:02 PM

It is it for all Actings. I think only those that will acting in the number 1 or 2 slot in each component.

Tracy L. Renaud
Associate Director, Management
U.S. Citizenship and Immigration Services
Department of Homeland Security
202-272-1739 (office)

From: McCament, James W
Sent: Tuesday, September 13, 2016 12:35:09 PM
To: USCIS Presidential Transition; Levine, Laurence D; Carpenter, Dea D
Cc: Renaud, Tracy L
Subject: RE: Ready to Act: Panel Featuring Leaders from the 2008 Transition, September 16, 1 pm

Julie, thank you for sending the invitation. I don't appear to have received it separately (unless I'm not on the distribution list?) I would love to attend-the line up of speakers will share a lot of great insight I know. Unfortunately, I'm out of town on Friday (personal) so will be unable to attend.

Thanks again,

James

James W. McCament
Deputy Associate Director, Service Center Operations
U.S. Citizenship and Immigration Services
Department of Homeland Security
Washington, DC 20529-2150
(202) 272-1571 (Office)|(202) 341-9757 (Cell)
james.w.mccament@uscis.dhs.gov

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From: USCIS Presidential Transition
Sent: Tuesday, September 13, 2016 12:25 PM
To: McCament, James W; Levine, Laurence D; Carpenter, Dea D
Cc: Renaud, Tracy L
Subject: FW: Ready to Act: Panel Featuring Leaders from the 2008 Transition, September 16, 1 pm

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the NAC, so if you'd like to join, please let me know and I'll make sure the car does not leave without you.

Thank you,
Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
(c) 202-489-8802

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Thanks,
Vince

Vince Micone
DHS Presidential Transition Officer
and Senior Counselor
Management Directorate
U.S. Department of Homeland Security
(202) 447-3400

From: McCament, James W
To: USCIS Presidential Transition; Levine, Laurence D; Carpenter, Dea D
Cc: Renaud, Tracy L
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Date: Tuesday, September 13, 2016 12:35:10 PM

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Thanks again,

James

James W. McCament
Deputy Associate Director, Service Center Operations
U.S. Citizenship and Immigration Services
Department of Homeland Security
Washington, DC 20529-2150
(202) 272-1571 (Office)|(202) 341-9757 (Cell)
james.w.mccament@uscis.dhs.gov

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Field Operations Directorate
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Thanks,
Vince

Vince Micone
DHS Presidential Transition Officer
and Senior Counselor
Management Directorate
U.S. Department of Homeland Security
(202) 447-3400

From: [Renaud, Tracy L](#)
To: [Stewart, Bion](#)
Subject: RE: REMINDER! 2016-17 Presidential Transition Ready to Act Training
Date: Monday, October 17, 2016 10:36:47 AM
Attachments: [image001.png](#)

He attended last Friday - I can vouch since I sat next to him!

Tracy L. Renaud
Associate Director, Management
U.S. Citizenship and Immigration Services
Department of Homeland Security
202-272-1739 (office)

From: Stewart, Bion
Sent: Monday, October 17, 2016 8:31:12 AM
To: Renaud, Tracy L
Subject: FW: REMINDER! 2016-17 Presidential Transition Ready to Act Training

Tracy,

Per Vince's email, following up to let you know we have not yet received an RSVP to register for a Ready to Act Executive Brief from Daniel Renaud. If you could please follow up with him to register for one of the remaining dates, we'd appreciate it.

Thanks.

Bion

Bion Stewart
Deputy Presidential Transition Officer
Department of Homeland Security
202-282-9125

From: Micone, Vincent
Sent: Friday, October 14, 2016 1:21 PM
Subject: FW: REMINDER! 2016-17 Presidential Transition Ready to Act Training

SCAOs,

Your account exec will provide you information for your component on who has registered To date and who has not. Would appreciate nudges from you, as I need to report out on our numbers to the front office.

Thanks,
Vince

Vince Micone
DHS Presidential Transition Officer
and Senior Counselor
Management Directorate
U.S. Department of Homeland Security
(202) 447-3400

From: Office of the Under Secretary for Management
Sent: Friday, October 14, 2016 1:18 PM
Subject: REMINDER! 2016-17 Presidential Transition Ready to Act Training



**Homeland
Security**

Colleagues,

I would like to thank all of you who have confirmed your attendance for a *Ready to Act: Successor Executive Briefing Session*. Our first session was held today.

The *Ready to Act: Successor Executive Briefing* will be offered three additional times during the month of October. Please select the session that best fits your schedule. The session dates are:

- October 20, 2016 – 10:30 a.m. to 12 p.m. – OCHCO, 1201 New York Avenue, NW
- October 21, 2016 – 10:30 a.m. to 12 p.m. – Nebraska Avenue Complex, Room NAC01-044 and by webinar for field staff outside of the National Capital Region
- October 31, 2016 – 1:30 p.m. to 3 p.m. – Nebraska Avenue Complex, Room NAC01-044

As a reminder, attendance at a session is mandatory. Please RSVP to Transition2017@hq.dhs.gov with the date of the session you wish to attend. Once the RSVP is received, an Outlook calendar invitation will be sent to you for the executive briefing.

If you have any questions about the Presidential Transition, please contact me by email at vincent.micone@hq.dhs.gov or by telephone on (202) 447-3400.

Thanks,

Vince Micone
DHS Presidential Transition Officer and Senior Counselor

From: Office of the Under Secretary for Management
Sent: Tuesday, October 4, 2016 10:28 AM
Subject: 2016-17 Presidential Transition Ready to Act Training



DHS Career Successors,

With the Presidential election approaching, the Department completed a comprehensive review of the succession plan for key officials. This process was completed with the Secretary's approval on September 14. A key aspect of this process has been to identify career successors for all key leadership positions within the Department. You are one of the career leaders who serves in a successor position.

Part of a smooth transition is to ensure that the career employees who may step in to act are prepared for the challenges that they may face. To ensure all career successors are *Ready to Act*, the Presidential Transition Office has worked with several Components and good government partners to provide executive briefing sessions for you.

Participation in the session is a mandatory requirement for you as a career successor. This 90-minute session will include an update on the Department's Presidential Transition preparations and how they impact you. Also, a brief overview of Continuity of Operations, Continuity of Government, and Incident Response responsibilities for successors will be provided. The session will conclude with a discussion on preparing and managing the arrival of the new Administration leadership within your organization.

The *Ready to Act: Successor Executive Briefing* will be offered four times during the month of October. Please select the session that best fits your schedule. The session dates are:

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Every day, DHS employees help to safeguard our Nation. With your support, we will continue to deliver our mission – with honor and integrity, safeguarding the American people, our homeland, and our values. Thank you for your hard work.

Sincerely,

Russ Deyo
Under Secretary for Management

From: Renaud, Tracy L
To: [Micone, Vincent](#)
Subject: RE: REMINDER! 2016-17 Presidential Transition Ready to Act Training
Date: Friday, October 14, 2016 1:21:00 PM
Attachments: [image001.png](#)

No problem. Nagging has become so much a part of my job that I'm sure it will be in my PPA this year!

*Tracy L. Renaud
Associate Director
Management Directorate
US Citizenship & Immigration Services
Department of Homeland Security
202-272-1739 (desk)*

From: Micone, Vincent
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Vince

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If you have any questions about the Presidential Transition, please contact me by email at vincent.micone@hq.dhs.gov or by telephone on (202) 447-3400.

Thanks,

Vince Micone
DHS Presidential Transition Officer and Senior Counselor
Management Directorate

From: Office of the Under Secretary for Management
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Subject: 2016-17 Presidential Transition Ready to Act Training



**Homeland
Security**

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Every day, DHS employees help to safeguard our Nation. With your support, we will continue to deliver our mission – with honor and integrity, safeguarding the American people, our homeland, and our values. Thank you for your hard work.

Sincerely,

Russ Deyo
Under Secretary for Management

From: USCIS Presidential Transition
To: Baran, Amanda; Immigration Policy
Cc: Renaud, Tracy L
Subject: RE: Transition Paper - Key Immigration Areas of Focus
Date: Friday, September 16, 2016 4:01:03 PM
Attachments: Immigration Areas of Focus USCIS Edits Redlined.docx

Amanda,

We received a couple more edits in from our Office of Chief Counsel. Most of the edits pertain to the "litigation" section. I've add them to our previously submitted edits.

Thank you,
Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
(c) 202-489-8802

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From: USCIS Presidential Transition
Sent: Wednesday, September 14, 2016 10:40 AM
To: Baran, Amanda
Cc: Renaud, Tracy L
Subject: RE: Transition Paper - Key Immigration Areas of Focus

This is what we have for now, but we may have more edits and comments depending on what I receive later today. We'll send our final version as soon as we can.

Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
(c) 202-489-8802

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From: Baran, Amanda
Sent: Wednesday, September 14, 2016 10:31 AM
To: USCIS Presidential Transition
Subject: RE: Transition Paper - Key Immigration Areas of Focus

Hi Julie, unfortunately this is due to my leadership by COB today, so please send me edits/comments ASAP. Thanks.

From: USCIS Presidential Transition
Sent: Wednesday, September 14, 2016 10:02 AM
To: Baran, Amanda <amanda.baran@hq.dhs.gov>; ICE Exec Sec <ICEExecSec2@ice.dhs.gov>; OGC Exec Sec <OGCExecSec@HQ.DHS.GOV>; Snell, Allison <Allison.Snell@HQ.DHS.GOV>; ROACH, LEWIS S <LEWIS.S.ROACH@cbp.dhs.gov>
Cc: Giovagnoli, Mary <mary.giovagnoli@hq.dhs.gov>; Renaud, Tracy L <Tracy.L.Renaud@uscis.dhs.gov>
Subject: RE: Transition Paper - Key Immigration Areas of Focus

Good morning, Amanda.

Thank you for taking the lead on this issue paper. Comments and edits from our operational components are due back to me today and then I will need to send the paper to our agency leadership for review. I will have final edits to you by Friday.

Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
(c) 202-489-8802

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From: Baran, Amanda
Sent: Wednesday, September 14, 2016 9:44 AM
To: USCIS Presidential Transition; ICE Exec Sec; OGC Exec Sec; Snell, Allison; ROACH, LEWIS S
Cc: Giovagnoli, Mary
Subject: RE: Transition Paper - Key Immigration Areas of Focus

All,

I have not received your comments/edits to this paper and will need them ASAP. Please let me know if you have any questions.

Thanks,
Amanda

From: Baran, Amanda

Sent: Sunday, September 11, 2016 8:53 PM

To: USCIS Presidential Transition <uscispresidentialtransition@uscis.dhs.gov>; ICE Exec Sec <ICEExecSec2@ice.dhs.gov>; OGC Exec Sec <OGCExecSec@HQ.DHS.GOV>; MGMTExecSec <MGMTExecSec@HQ.DHS.GOV>; PRIV Exec Sec <PRIVExecSec@HQ.DHS.GOV>; CRCL Exec Sec <crclxecsec@HQ.DHS.GOV>; Shore, Stacy <Stacy.Shore@HQ.DHS.GOV>; Snell, Allison <Allison.Snell@HQ.DHS.GOV>; ROACH, LEWIS S <LEWIS.S.ROACH@cbp.dhs.gov>; Harris, Mark E (DHS CFO) <mark.harris@HQ.DHS.GOV>

Cc: Giovagnoli, Mary <Mary.Giovagnoli@hq.dhs.gov>

Subject: Transition Paper - Key Immigration Areas of Focus

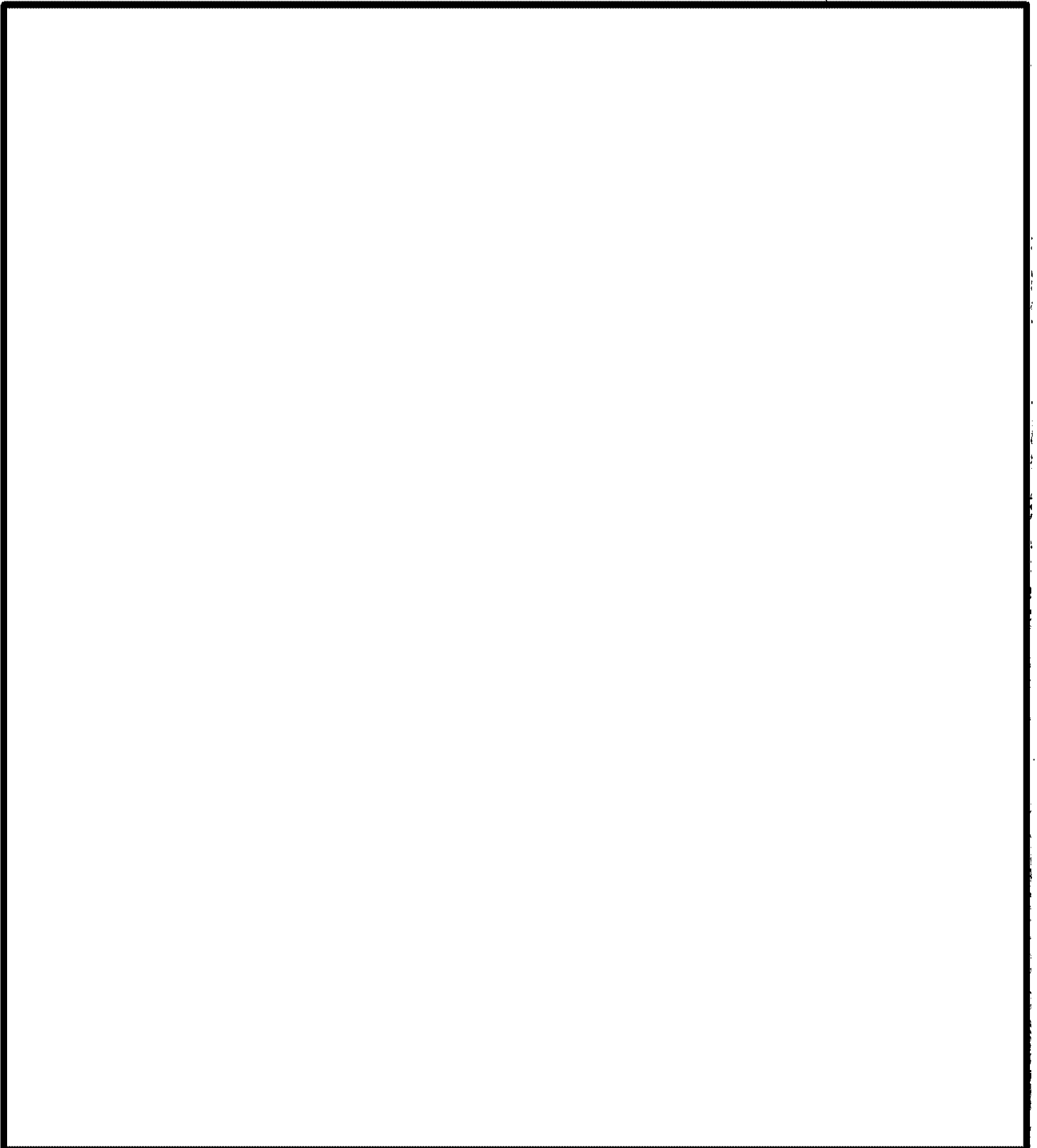
All,

Attached, please find a Presidential transition paper entitled, "Key Immigration Areas of Focus." Please forward any edits/comments to amanda.baran@hq.dhs.gov by COB Tuesday, September 13th.

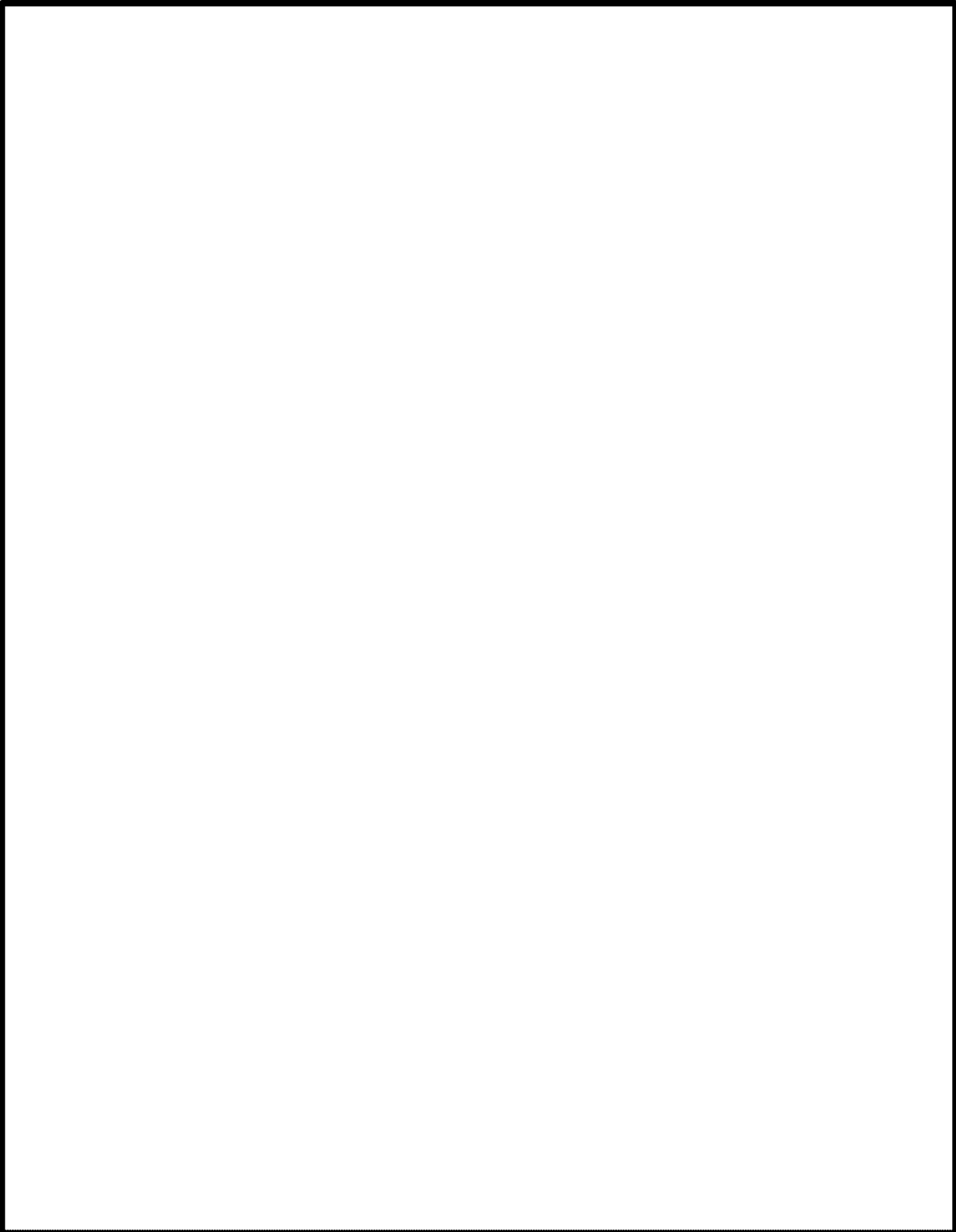
Thanks,
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Amanda Baran
Principal Director, Immigration Policy
DHS Office of Policy

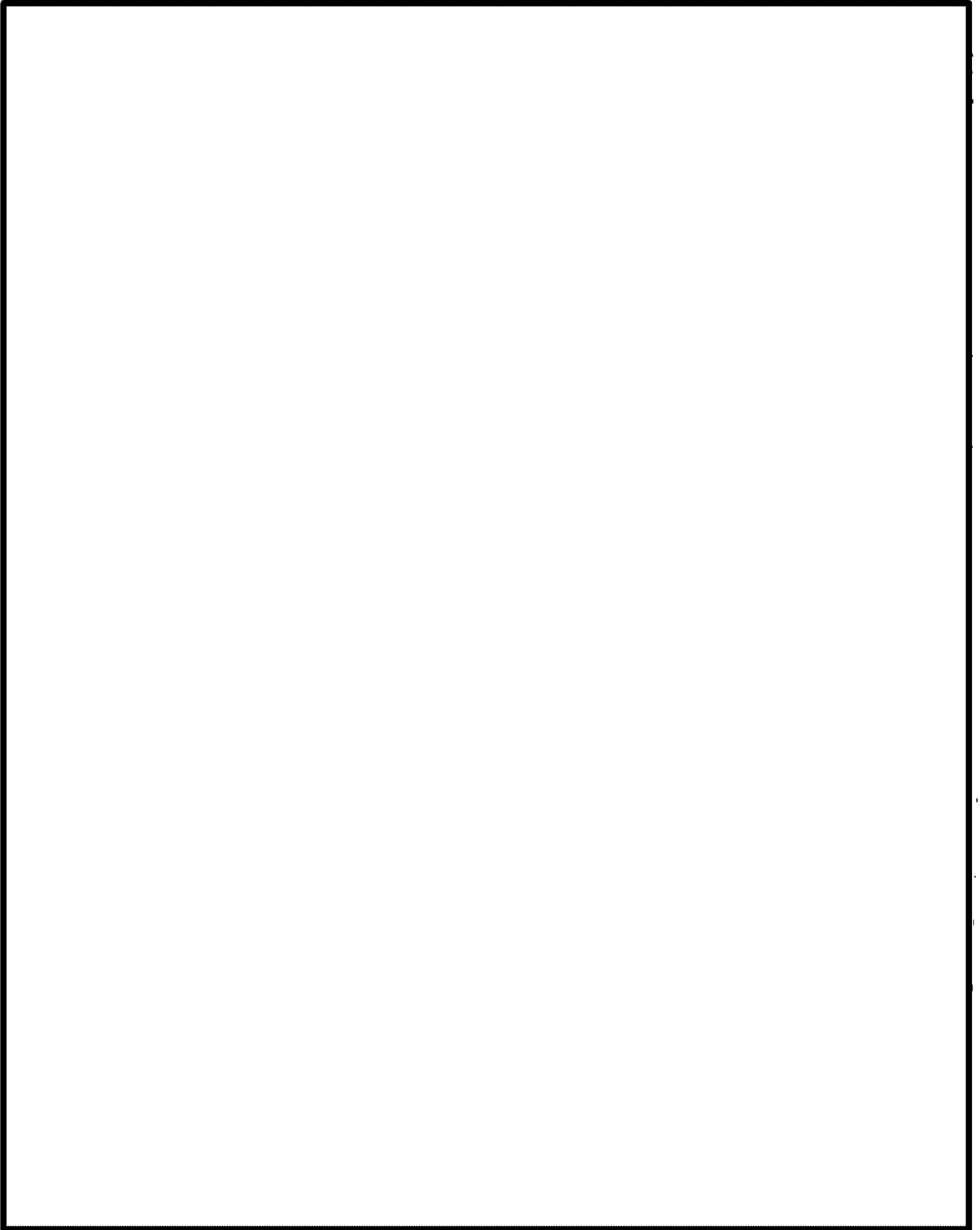
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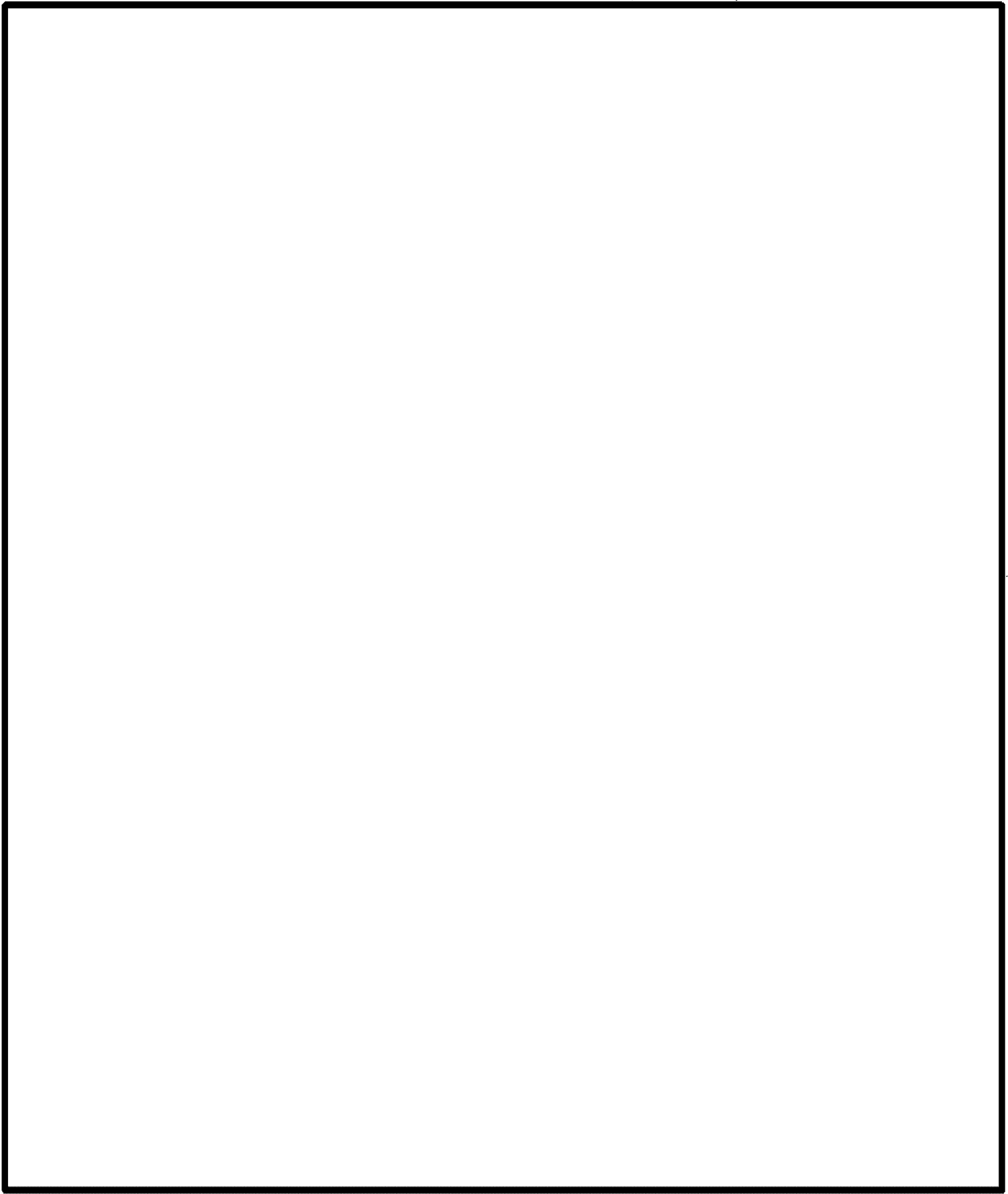
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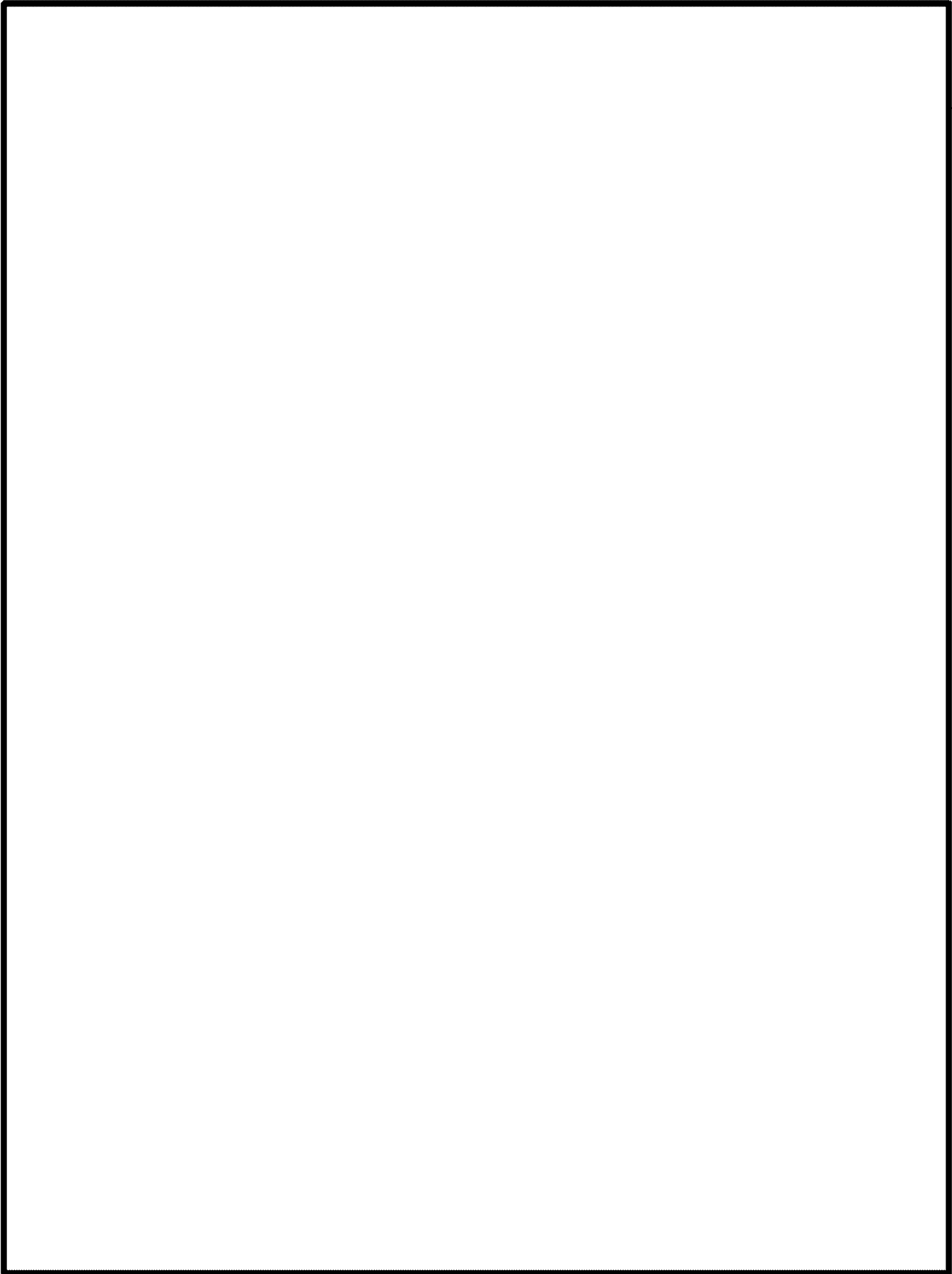
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From: [USCIS Presidential Transition](#)
To: [Baran, Amanda](#)
Cc: [Renaud, Tracy L](#)
Subject: RE: Transition Paper - Key Immigration Areas of Focus
Date: Wednesday, September 14, 2016 10:39:49 AM
Attachments: [Issue Paper - Immigration Areas of Focus USCIS Edits Redlined.docx](#)

This is what we have for now, but we may have more edits and comments depending on what I receive later today. We'll send our final version as soon as we can.

Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
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From: Baran, Amanda
Sent: Wednesday, September 14, 2016 10:31 AM
To: USCIS Presidential Transition
Subject: RE: Transition Paper - Key Immigration Areas of Focus

Hi Julie, unfortunately this is due to my leadership by COB today, so please send me edits/comments ASAP. Thanks.

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Sent: Wednesday, September 14, 2016 10:02 AM
To: Baran, Amanda <amanda.baran@hq.dhs.gov>; ICE Exec Sec <ICEExecSec2@ice.dhs.gov>; OGC Exec Sec <OGCExecSec@HQ.DHS.GOV>; Snell, Allison <Allison.Snell@HQ.DHS.GOV>; ROACH, LEWIS S <LEWIS.S.ROACH@cbp.dhs.gov>
Cc: Giovagnoli, Mary <mary.giovagnoli@hq.dhs.gov>; Renaud, Tracy L <Tracy.L.Renaud@uscis.dhs.gov>
Subject: RE: Transition Paper - Key Immigration Areas of Focus

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Cc: Giovagnoli, Mary <Mary.Giovagnoli@hq.dhs.gov>
Subject: Transition Paper - Key Immigration Areas of Focus

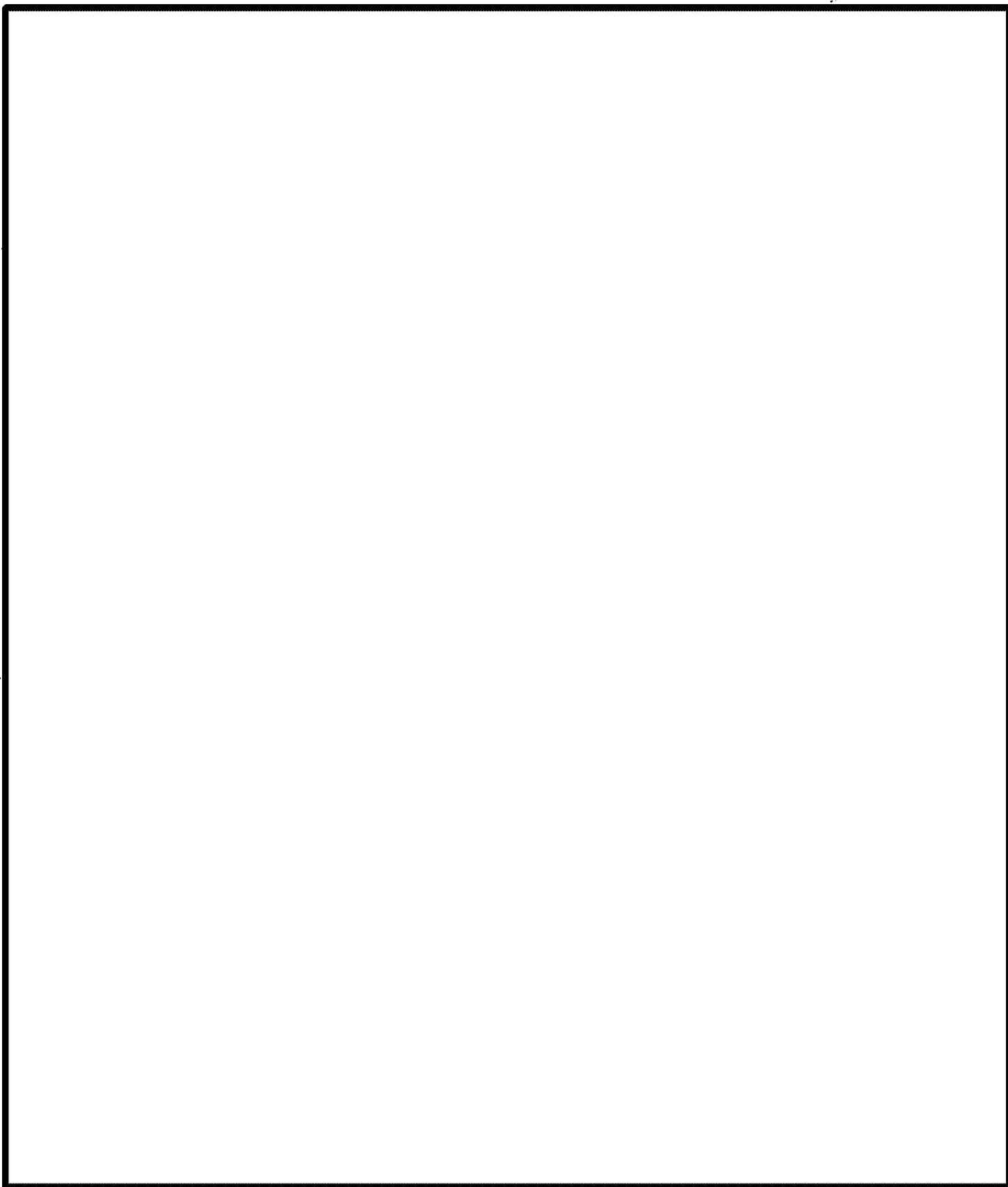
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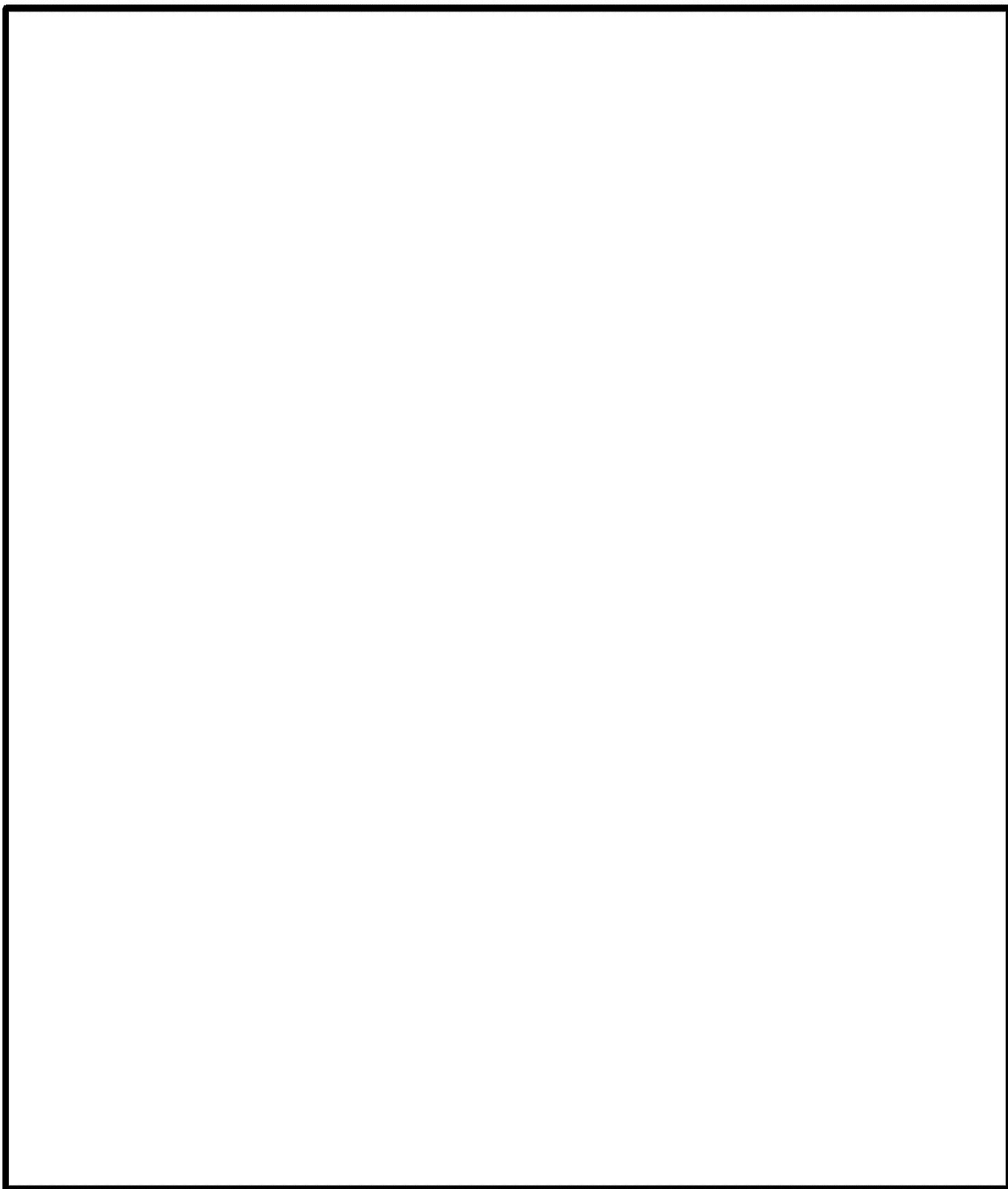
Thanks,
Amanda

Amanda Baran
Principal Director, Immigration Policy
DHS Office of Policy

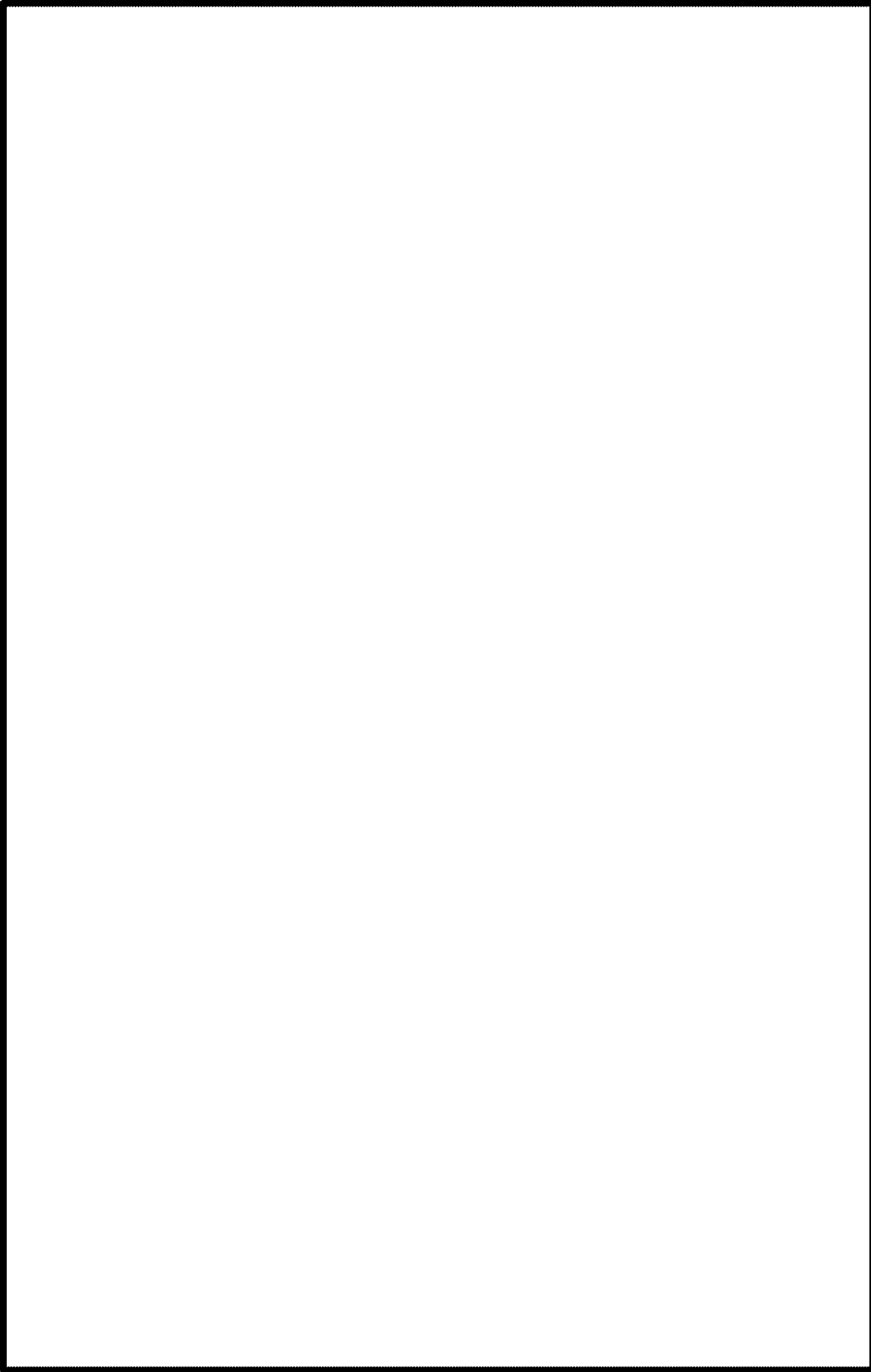
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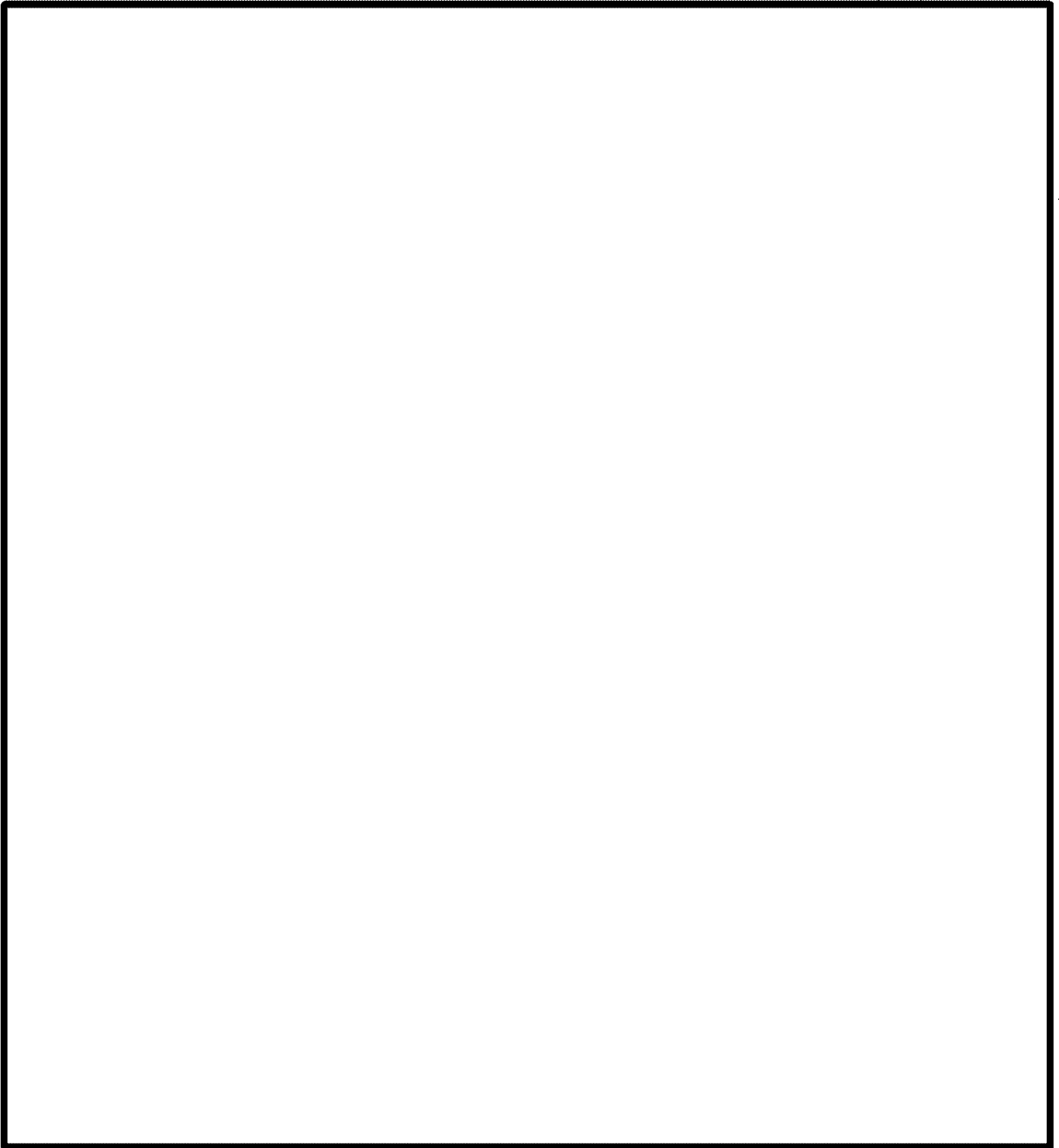
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From: Beagles, James
To: PTO Master Distro
Subject: Ready to Act Framework
Date: Friday, September 23, 2016 3:37:53 PM
Attachments: Ready to Act Framework 9-23-16.docx

Attached is the ready to Act Framework we discussed at today's SCAO meeting.

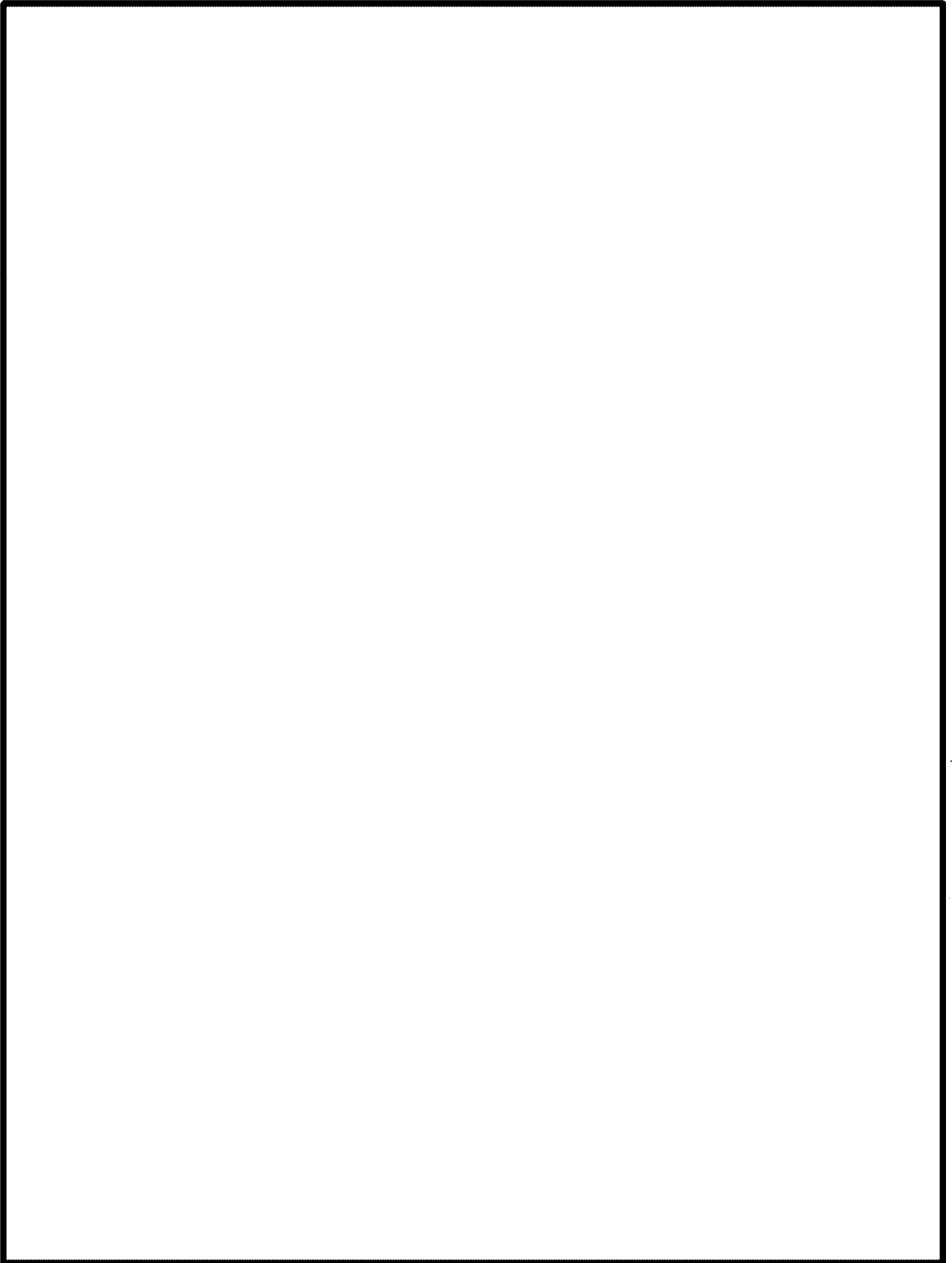
Have a great weekend,

Jim

James M. Beagles
Chief of Staff
DHS Presidential Transition Office
Office: 202-282-9392
Cell: 202-577-5238

(b)(5)

2016 Presidential Transition



From: Micone, Vincent
Subject: Successors Message and Ready to Act Executive Brief
Date: Monday, October 03, 2016 10:14:04 AM
Attachments: [Delegation 0106, Revision 06, DHS Orders of Succession and Delegations o....pdf](#)
[Copy of RSVP List for Executive Sessions 2016 09 29v2.xlsx](#)

FOR OFFICIAL USE ONLY

SCAOs:

Today and tomorrow, you will see several messages related to the Presidential Transition transmitted under the USM's signature.

- An email was to all **senior leaders** this morning and an **all-employee** message outlining the Department's transition efforts will be sent early this afternoon.
- An email will be sent to all **non-career officials** appointees late this afternoon inviting them to attend the Town Hall that will provide them with transition guidance and information specific to departing appointees. The Town Hall will be held on October 18th at the NAC Chapel from 1 to 3 pm.
- Additionally, a series of articles in the **Connected** e-newsletter will begin with this month's edition and continue through February. The October connected will be sent by Wednesday of this week.

Copies of the senior leader and non-career emails will be forwarded to you.

Tomorrow, we will send out an invitation for all **career successors** to participate in a mandatory *Ready to Act: Executive Brief*.

- All personnel identified in the attached list are required to attend one of the four sessions being offered this month (details will be included in the invitation).
- The invite list reflects career positions and names identified in the attached Order of Succession Delegation signed by S1 on September 14th and the organization charts you submitted for RFI 1 respectively.
- SCAOs are also required to attend one of the sessions.
- **Please review your organization's section and verify the names and associated positions are accurate. Please notify Greg Halter and Scott Horowitz if you see any discrepancies ASAP.**

The Succession Delegation has been posted on Connect as of today. The list of names should not be distributed and is for your use in validating your components successors. Please note that you are included in this list. If you receive any questions about the delegation, please reach out to Bion, Jim, or myself.

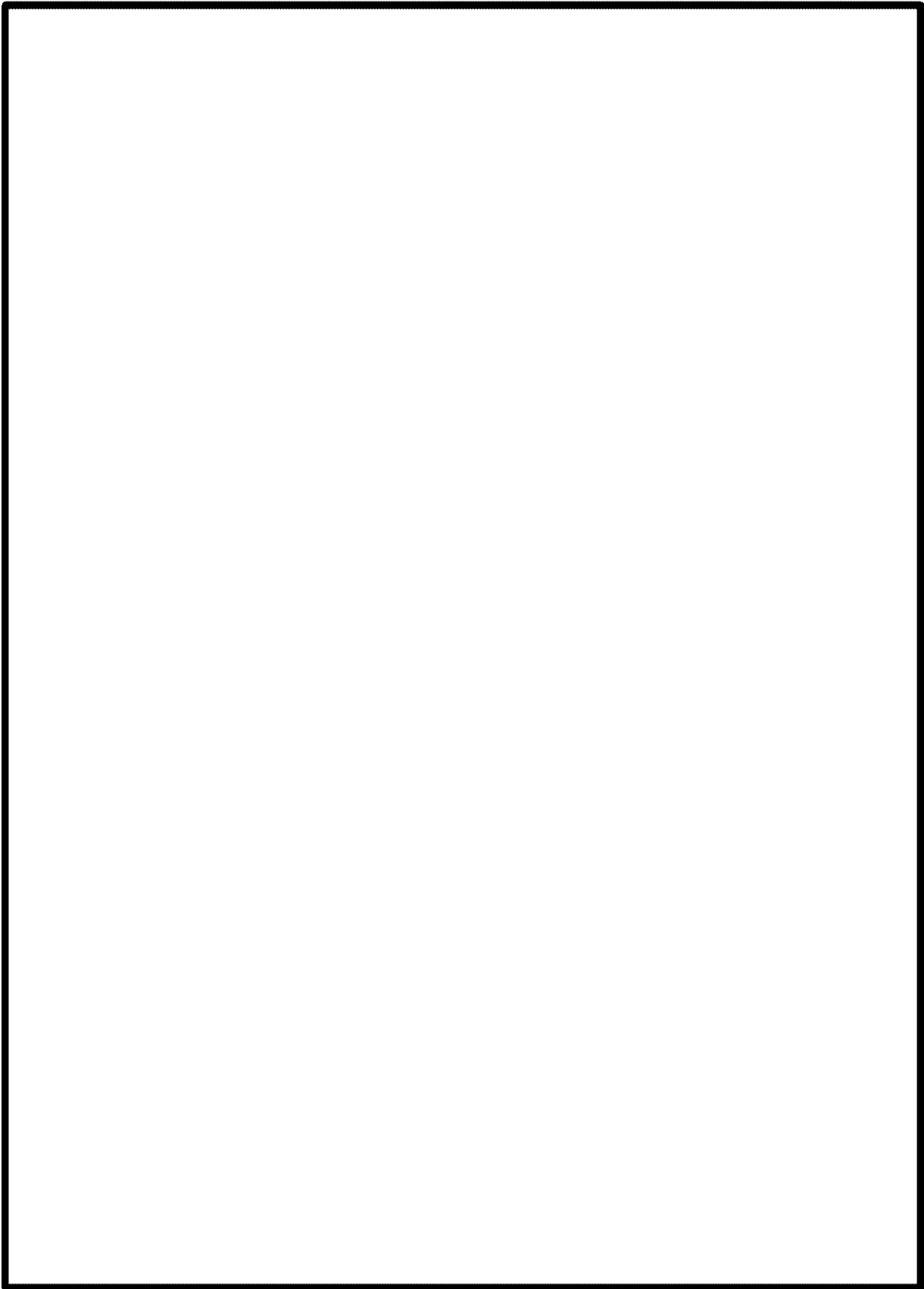
Thanks for your assistance!

Vince

Vince Micone
DHS Presidential Transition Officer
and Senior Counselor
Management Directorate
U.S. Department of Homeland Security
(202) 447-3400

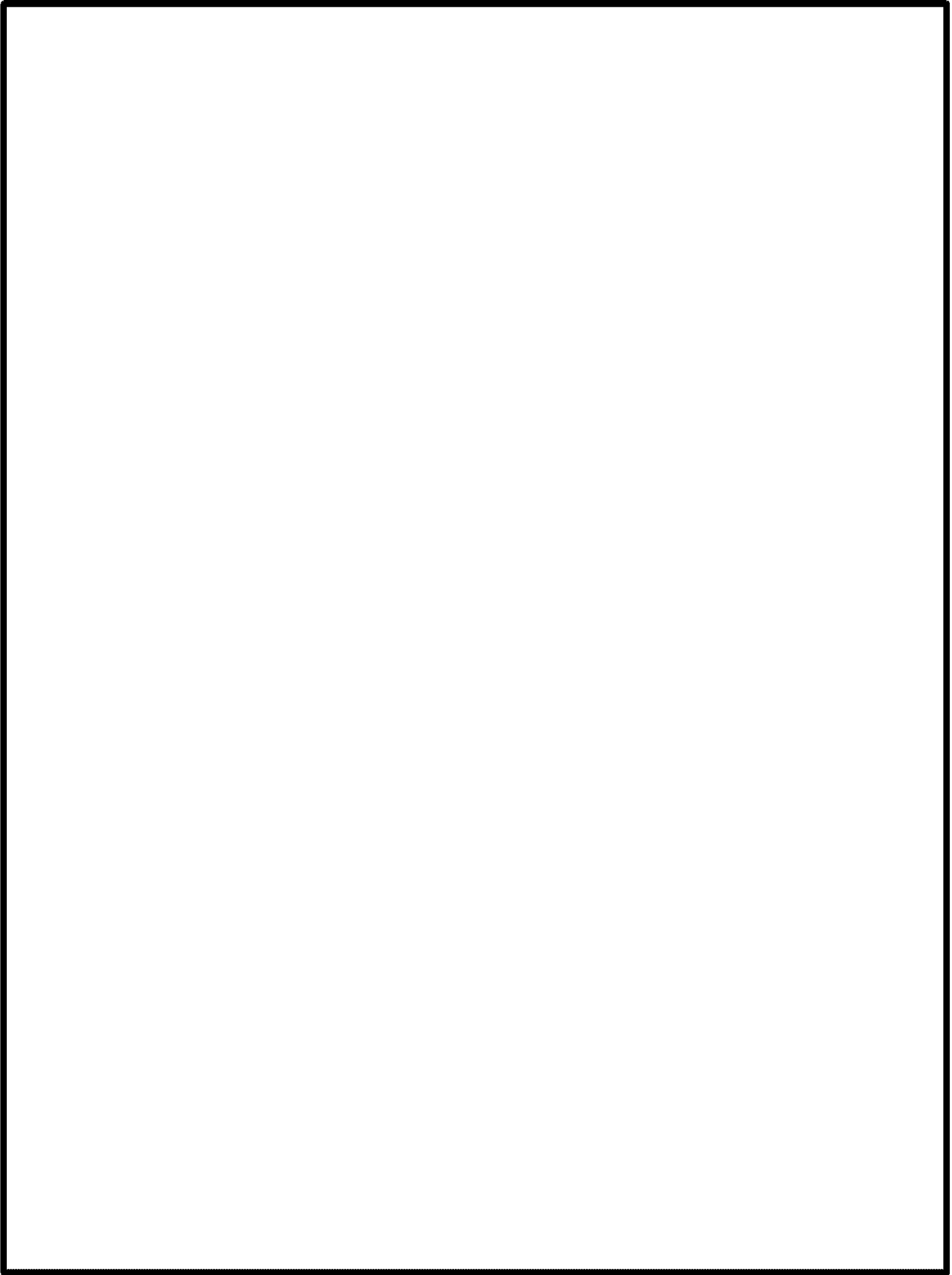
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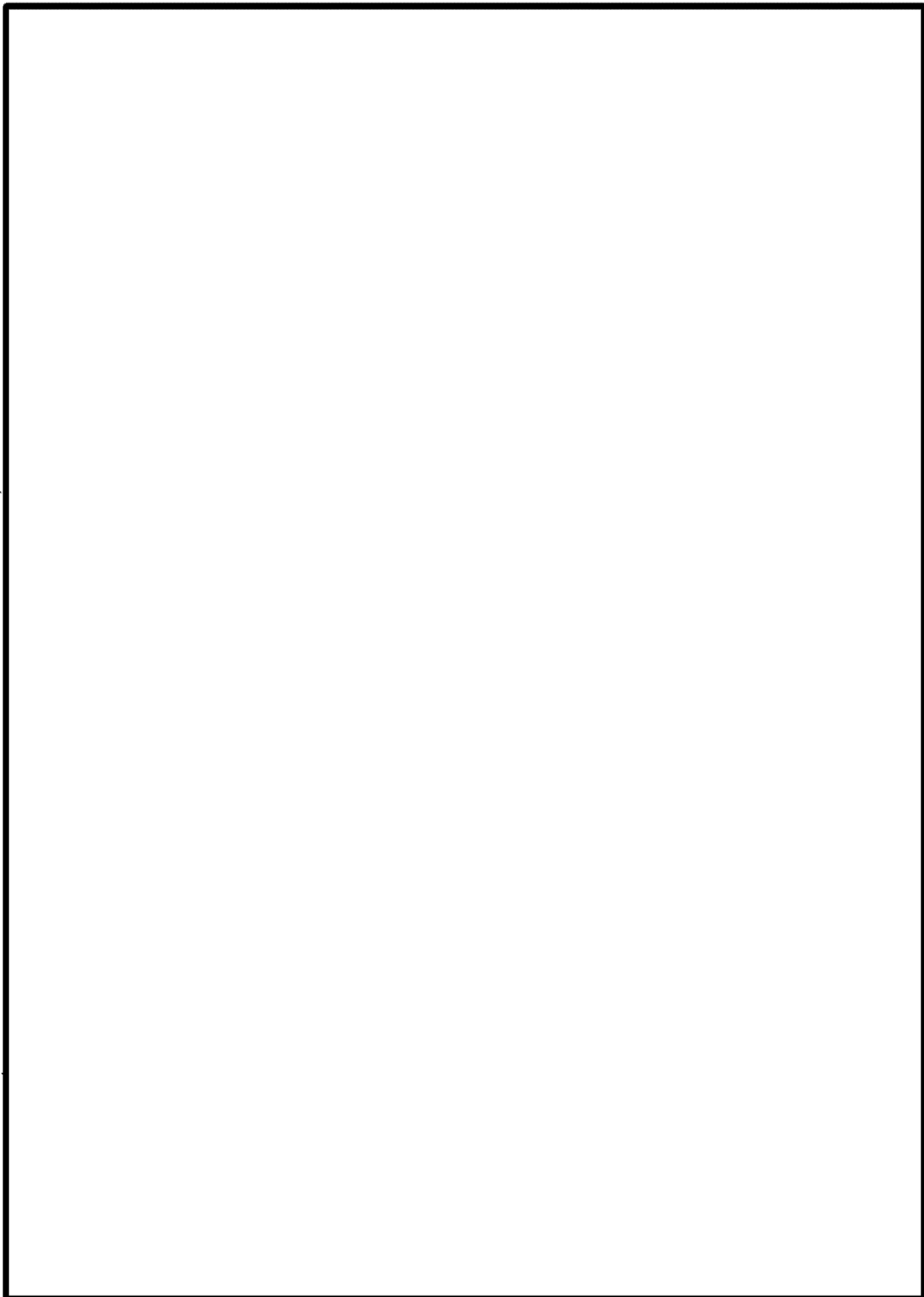


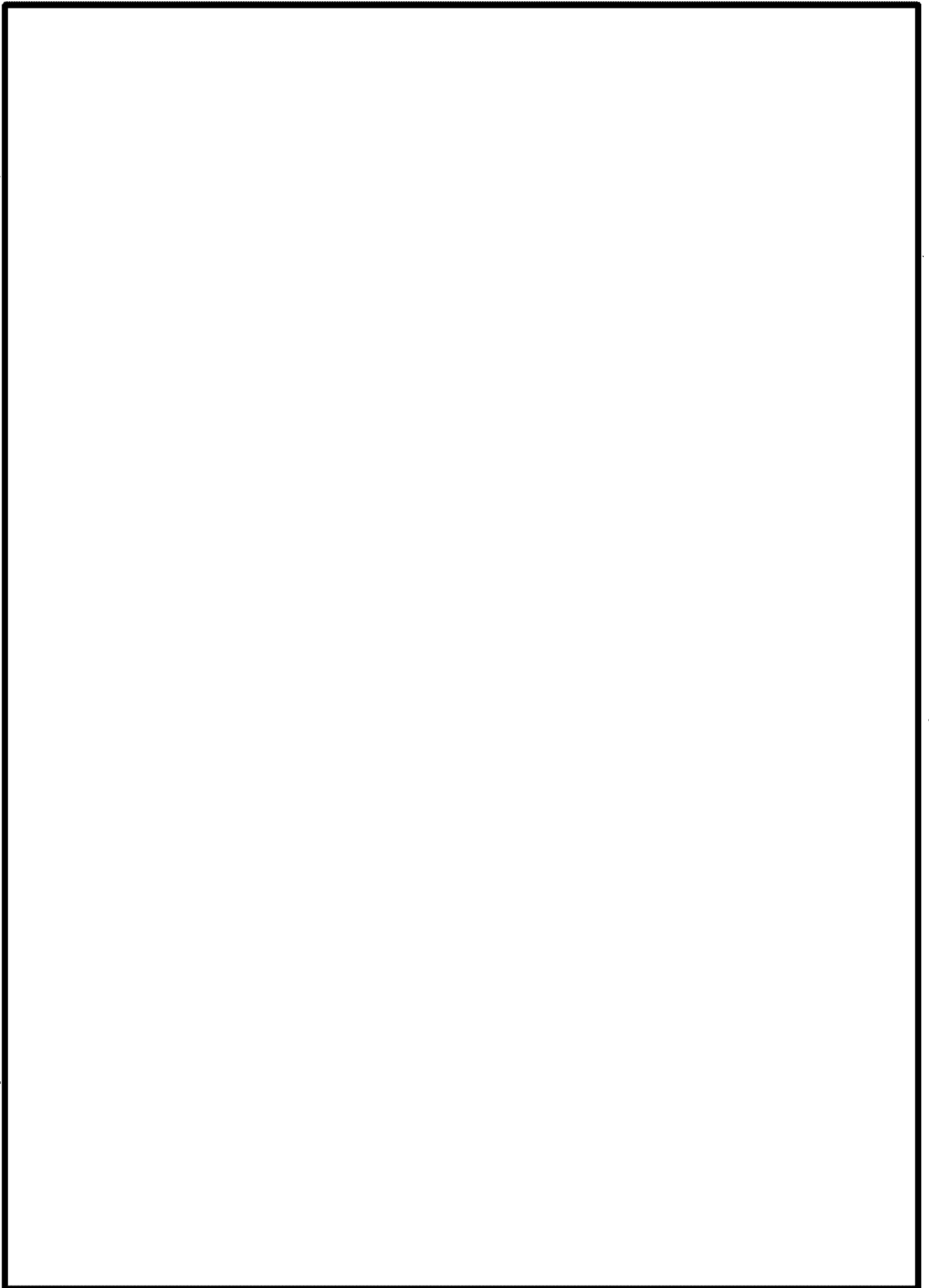
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DELIBERATIVE – NOT APPROVED BY USCIS OR DHS LEADERSHIP – DO NOT DISTRIBUTE

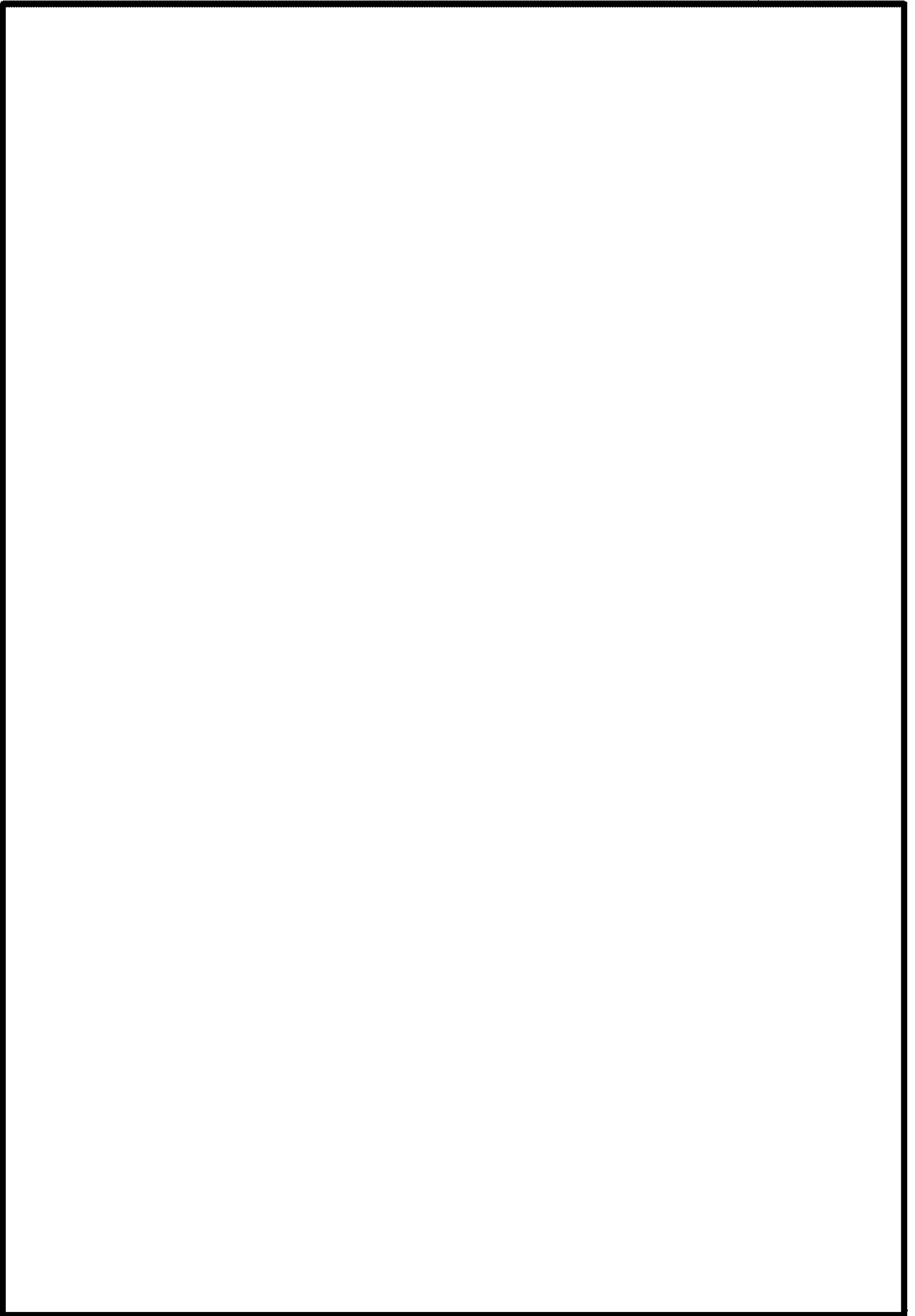


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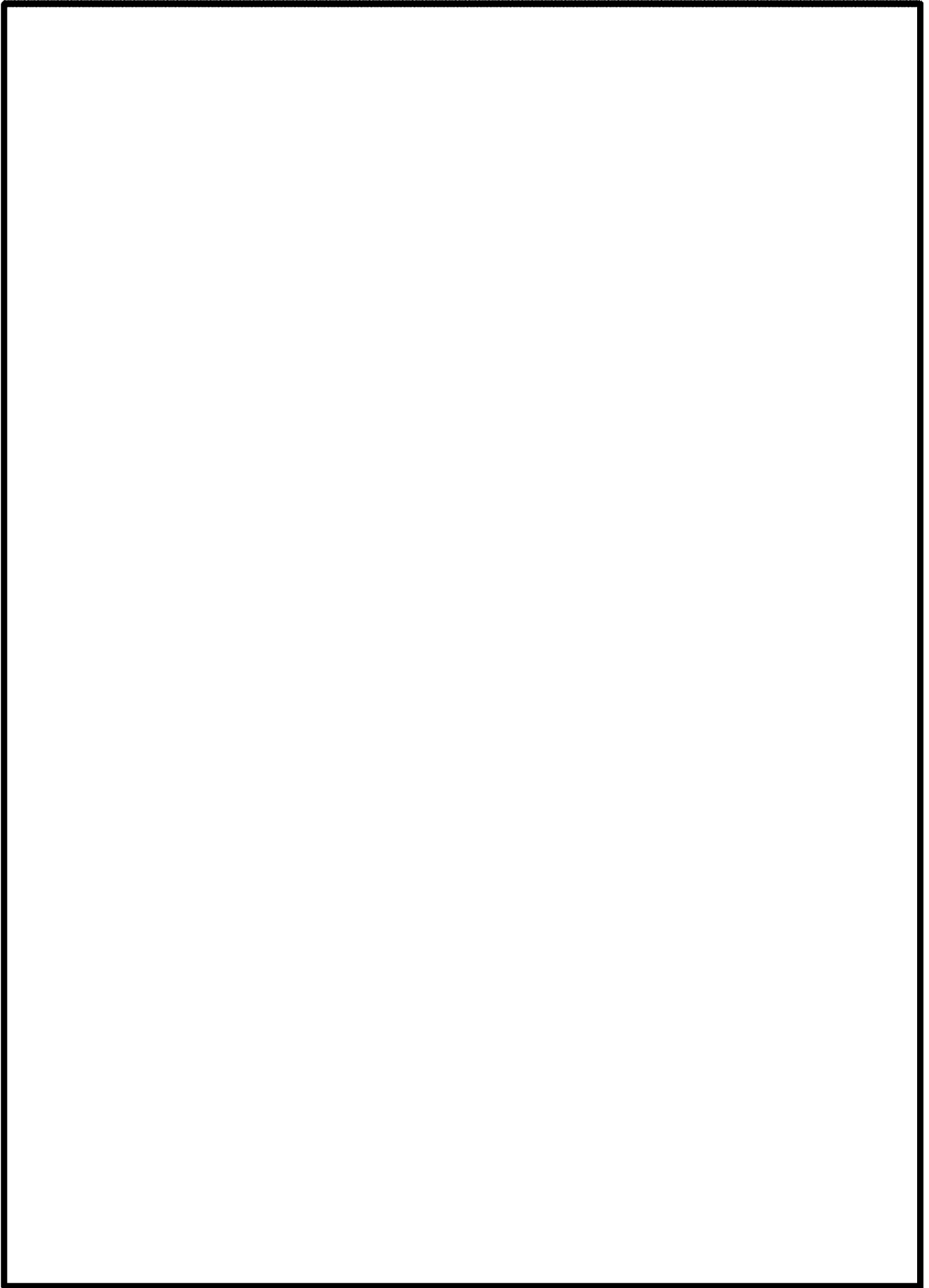


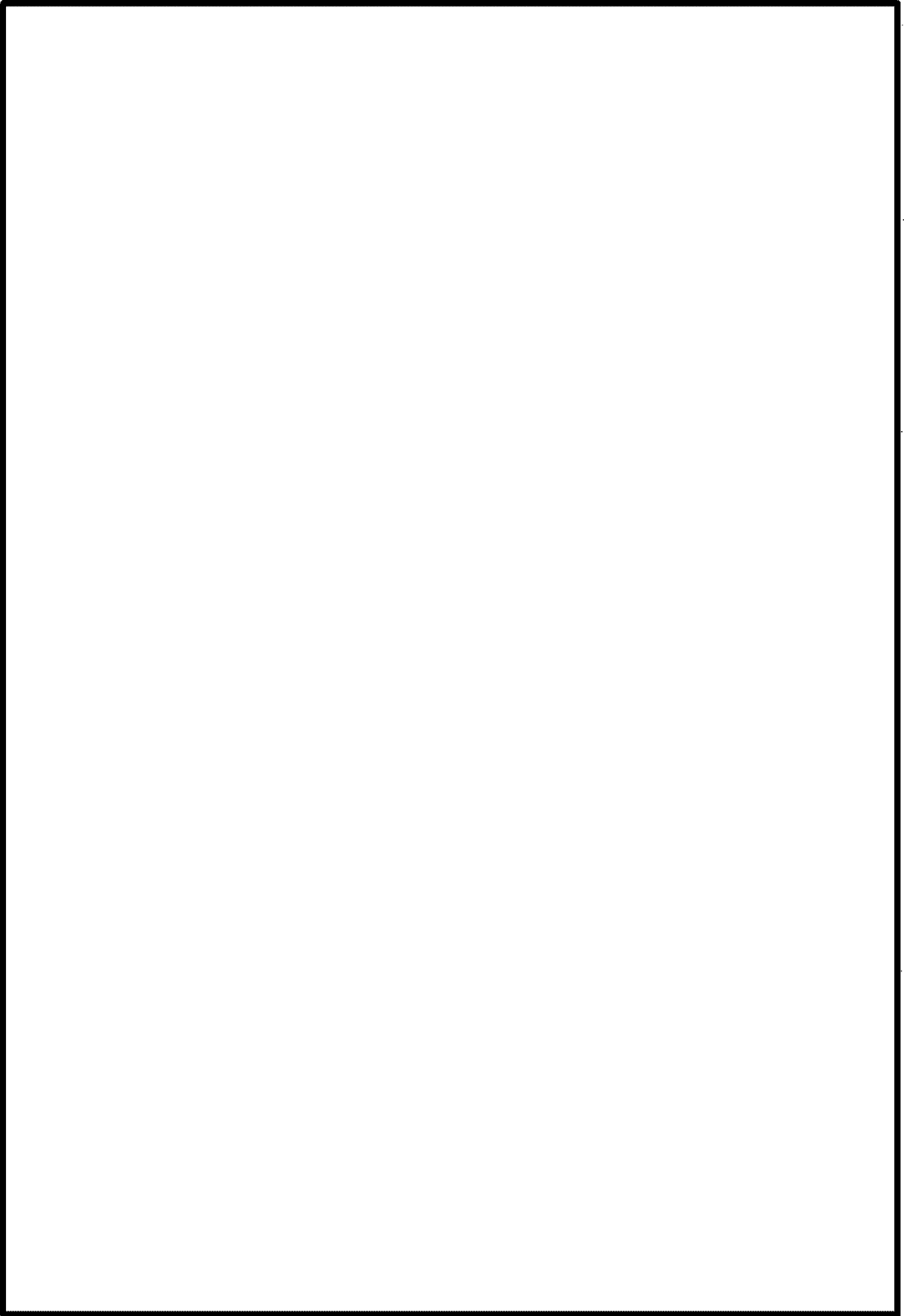


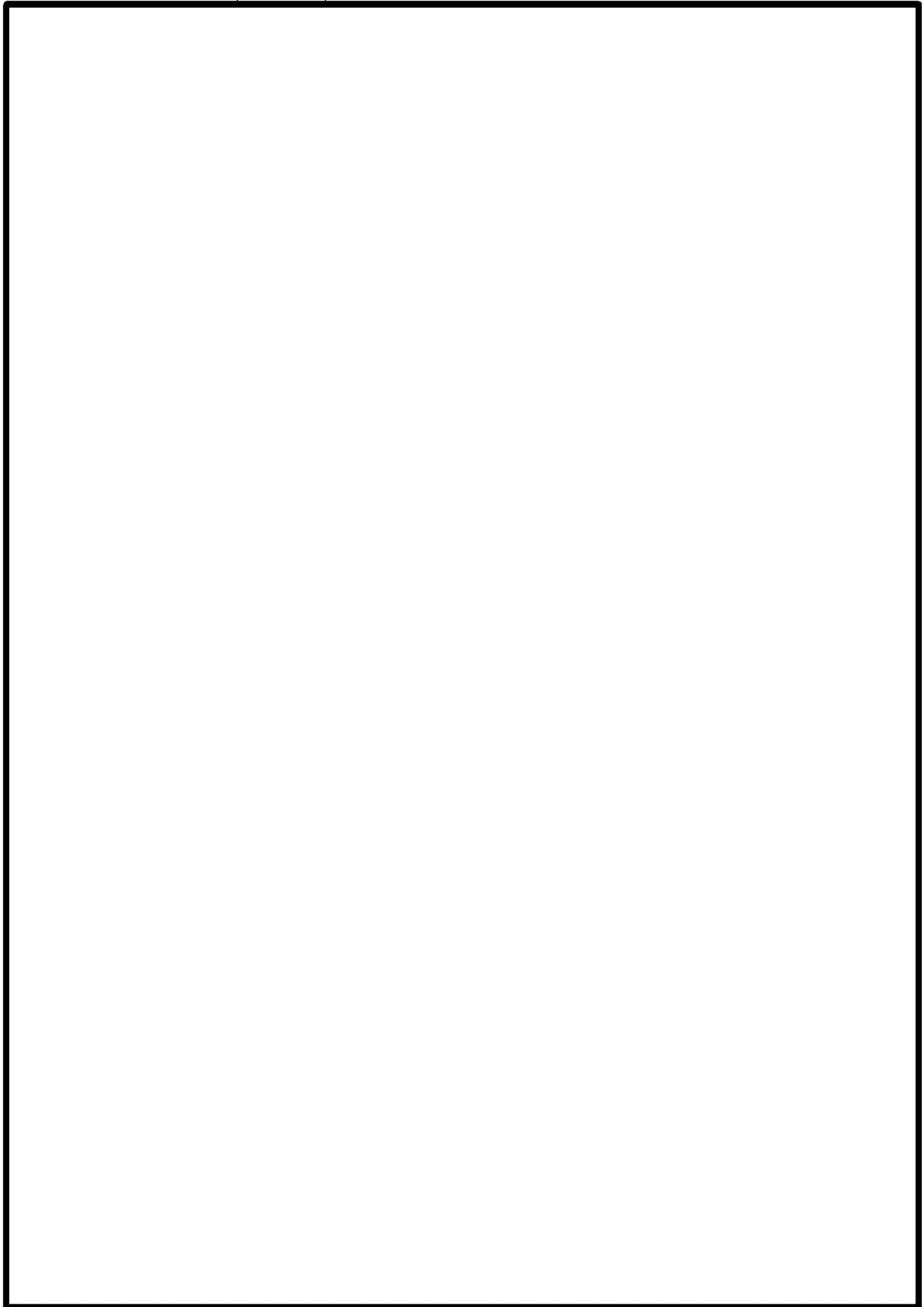
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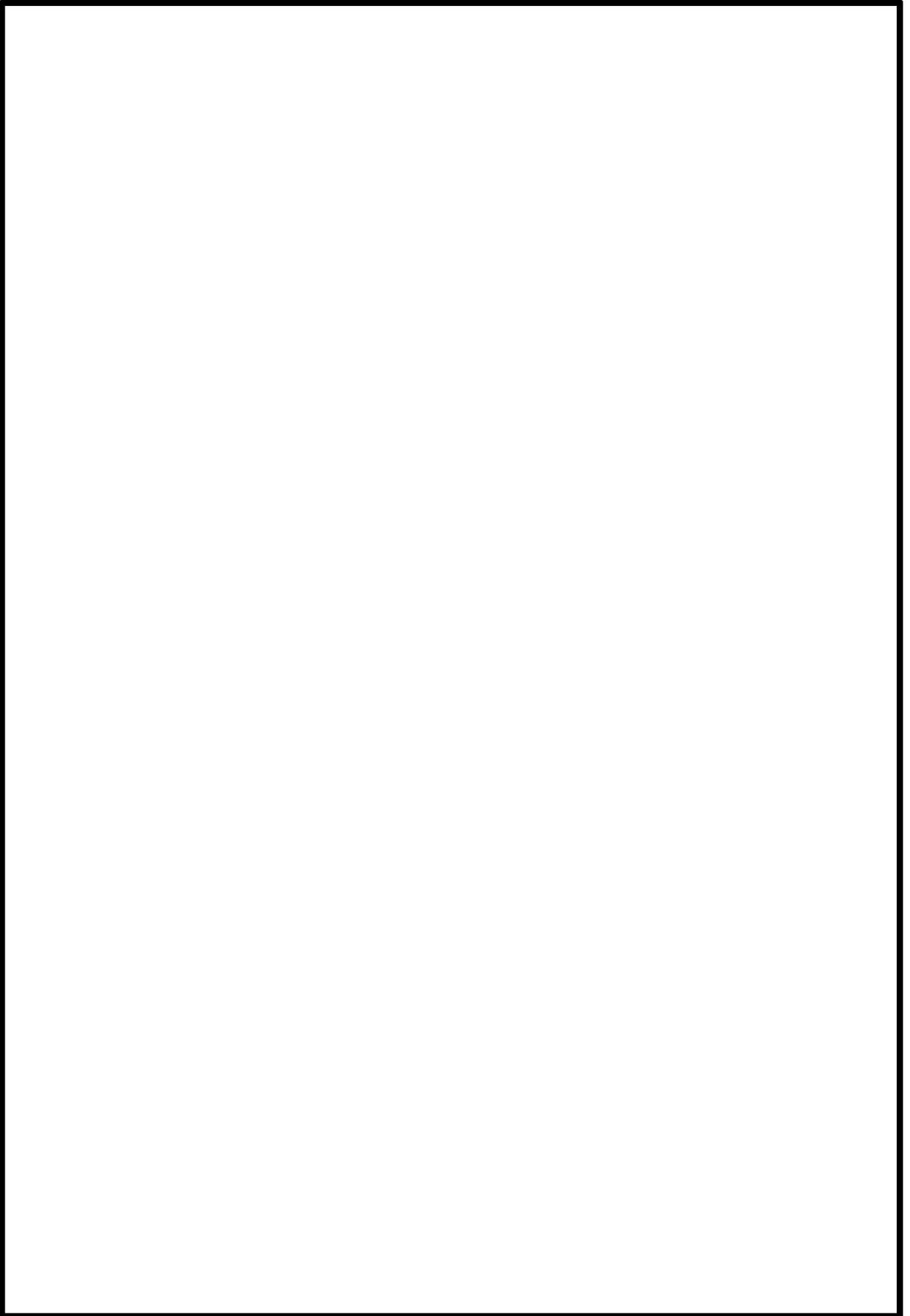
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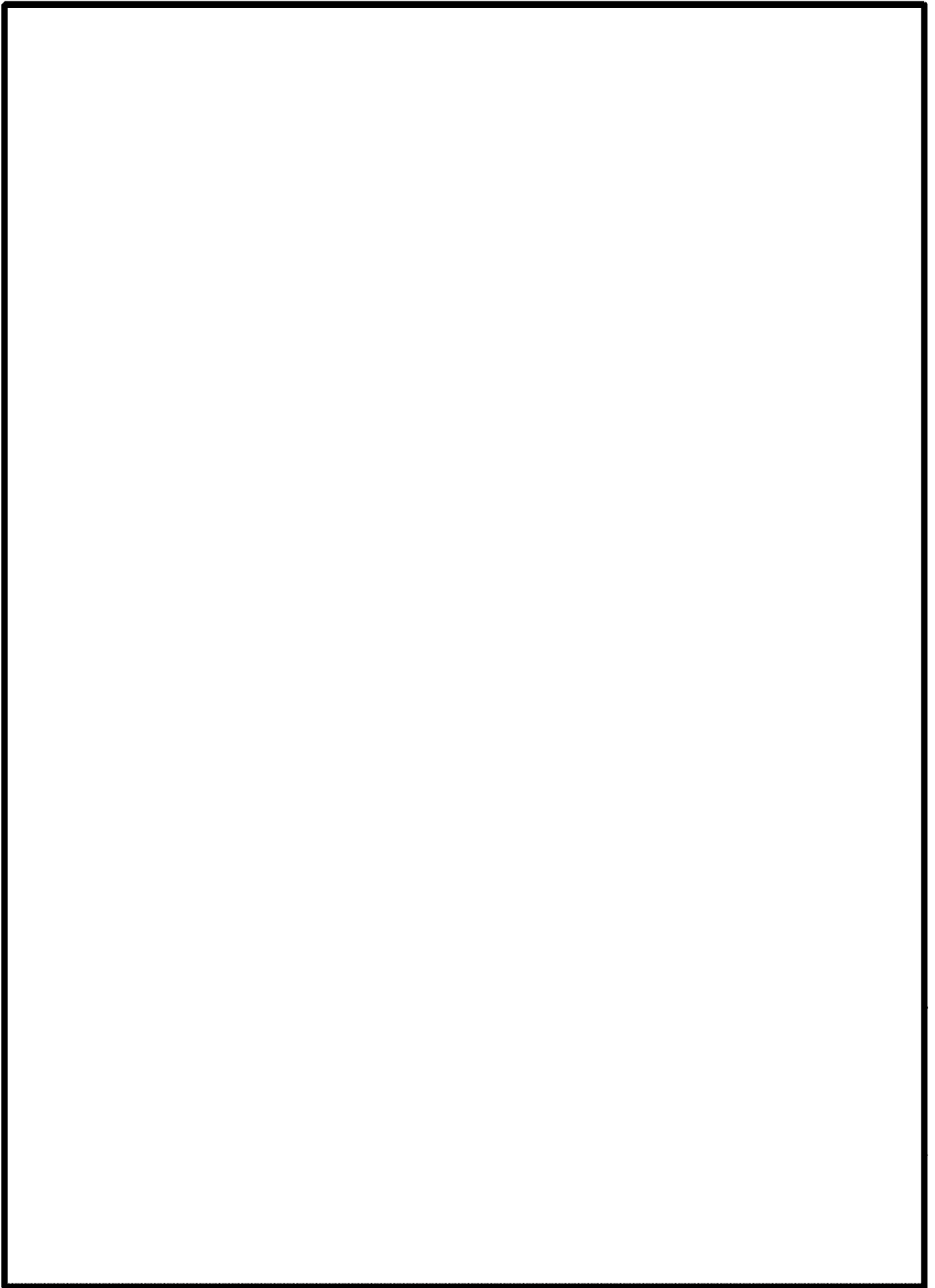


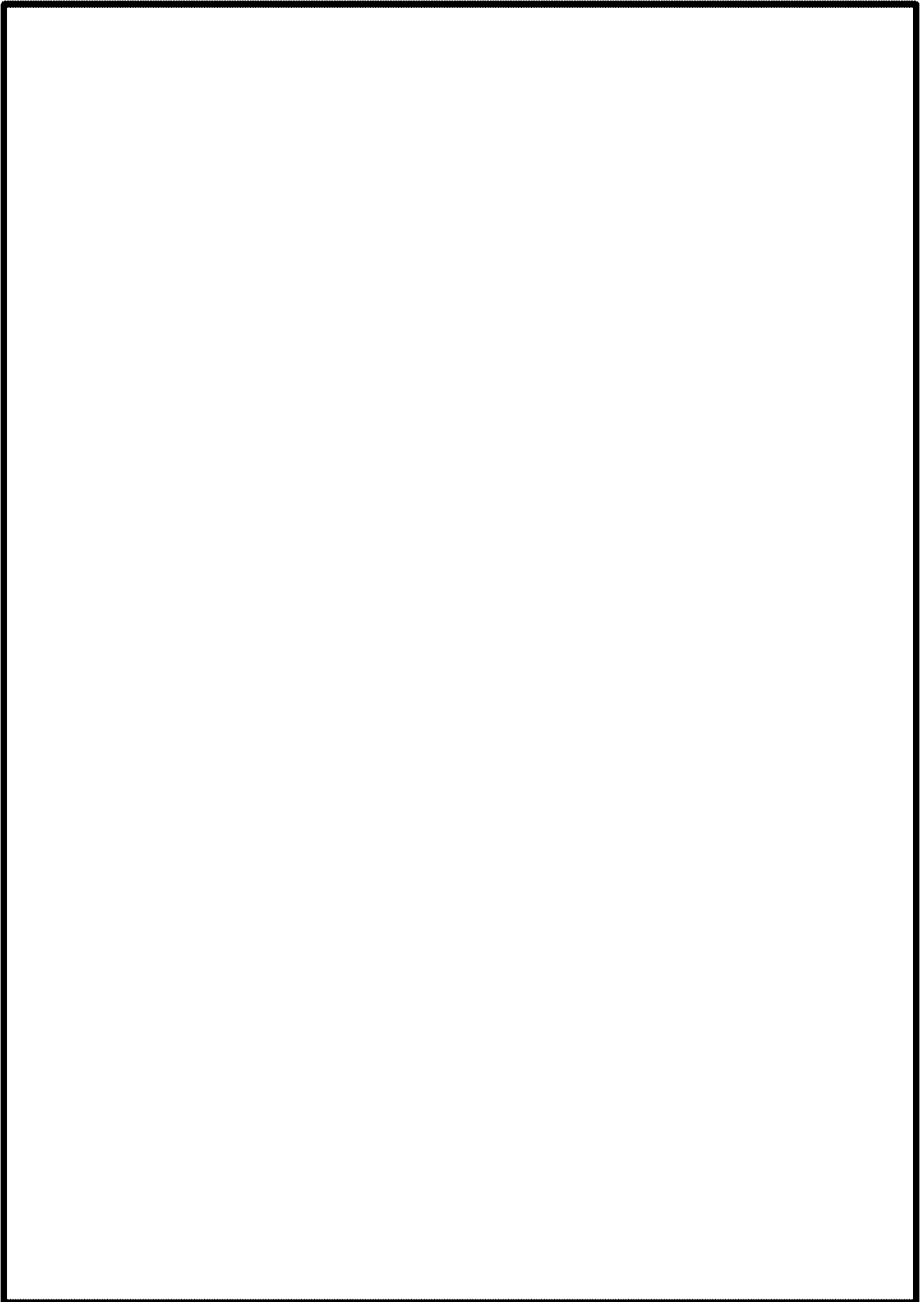


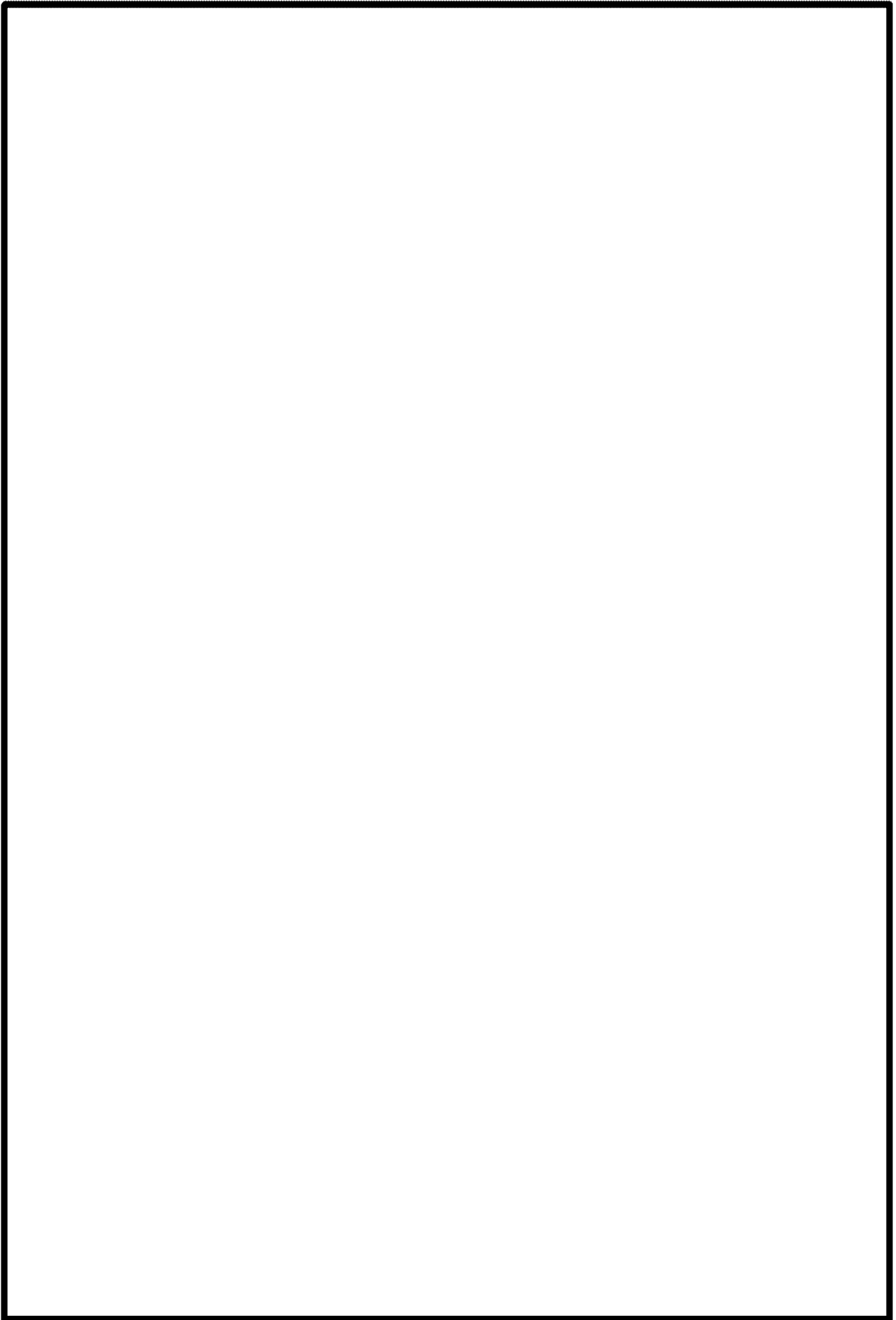
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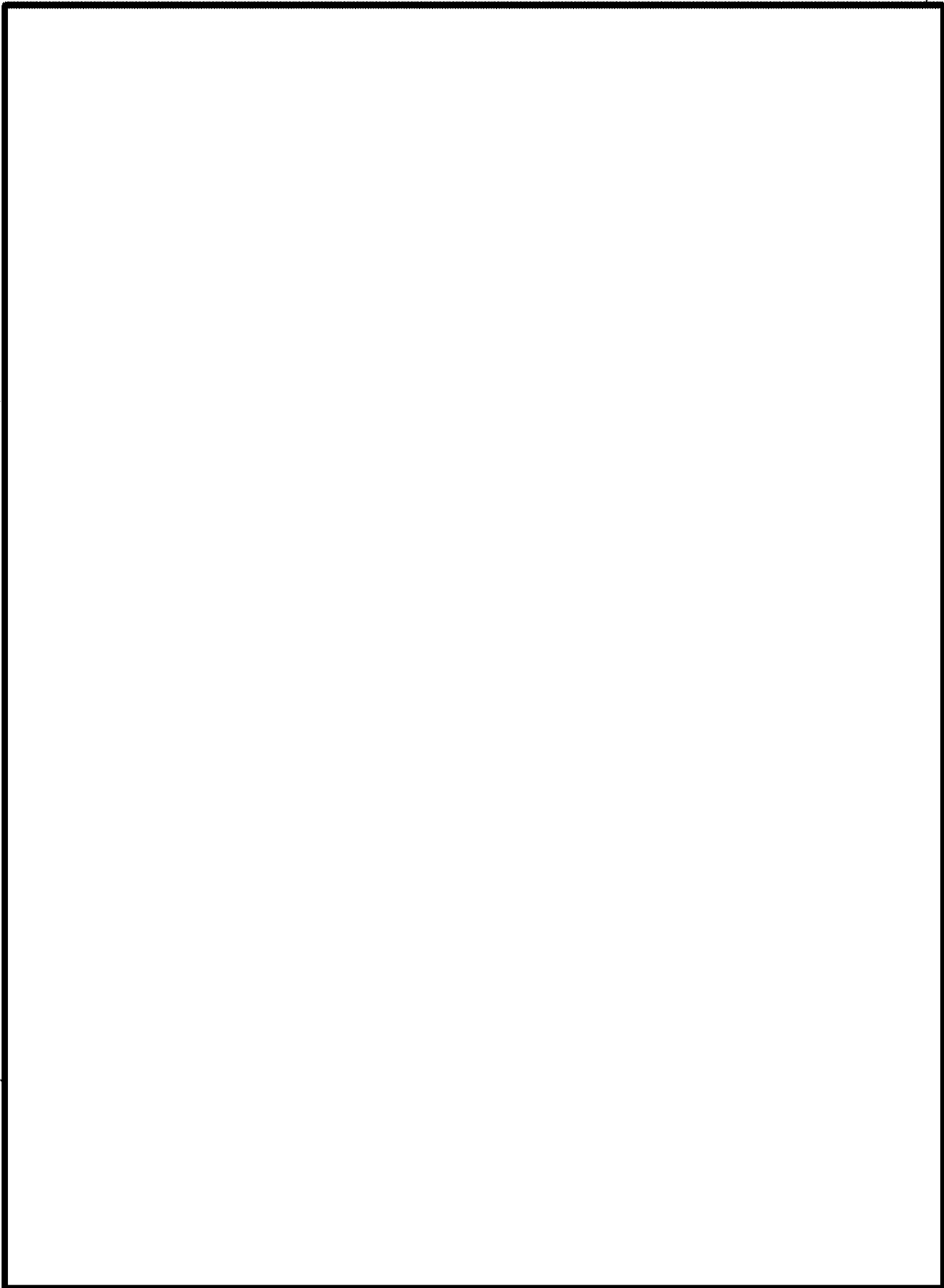
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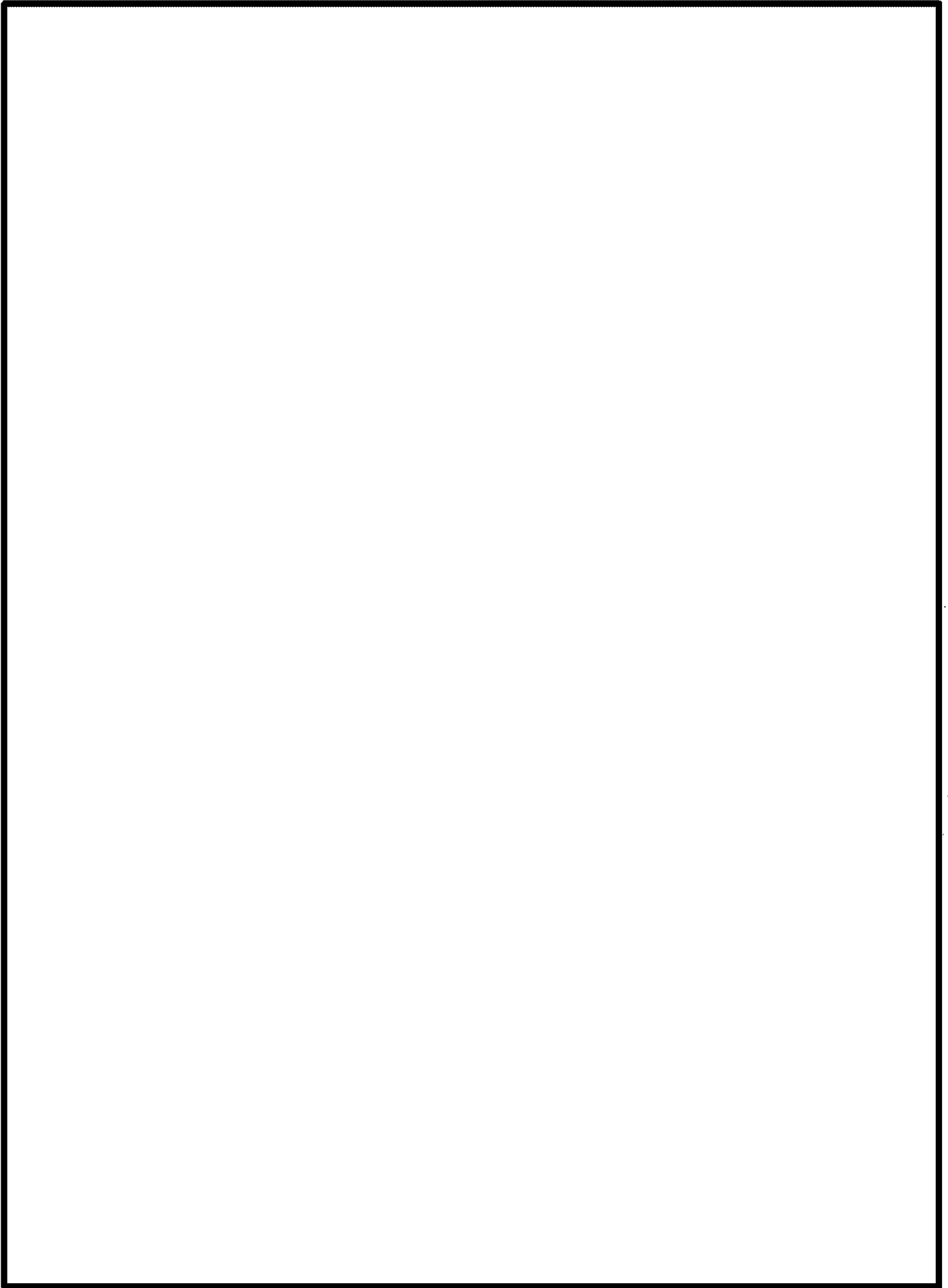


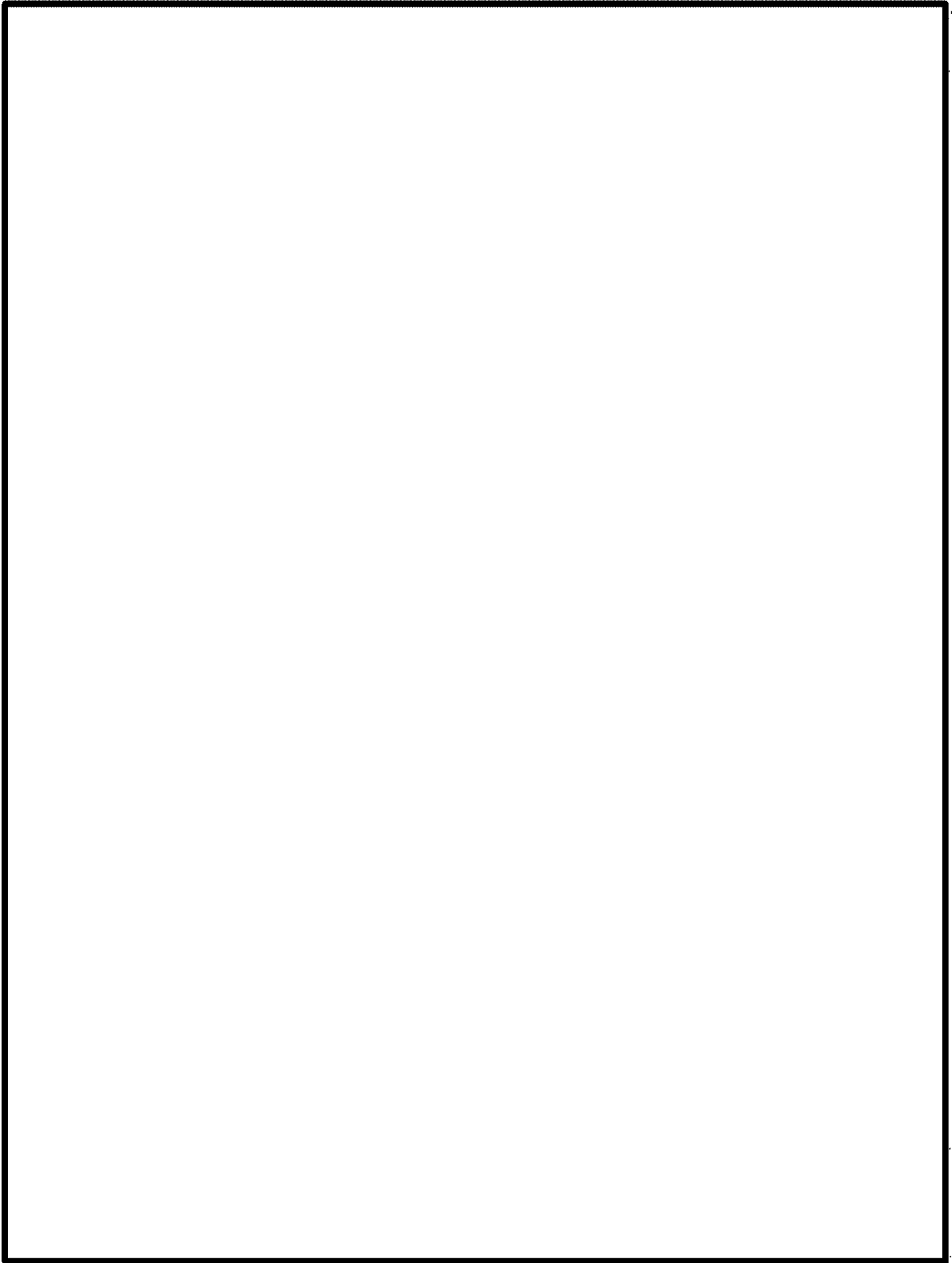


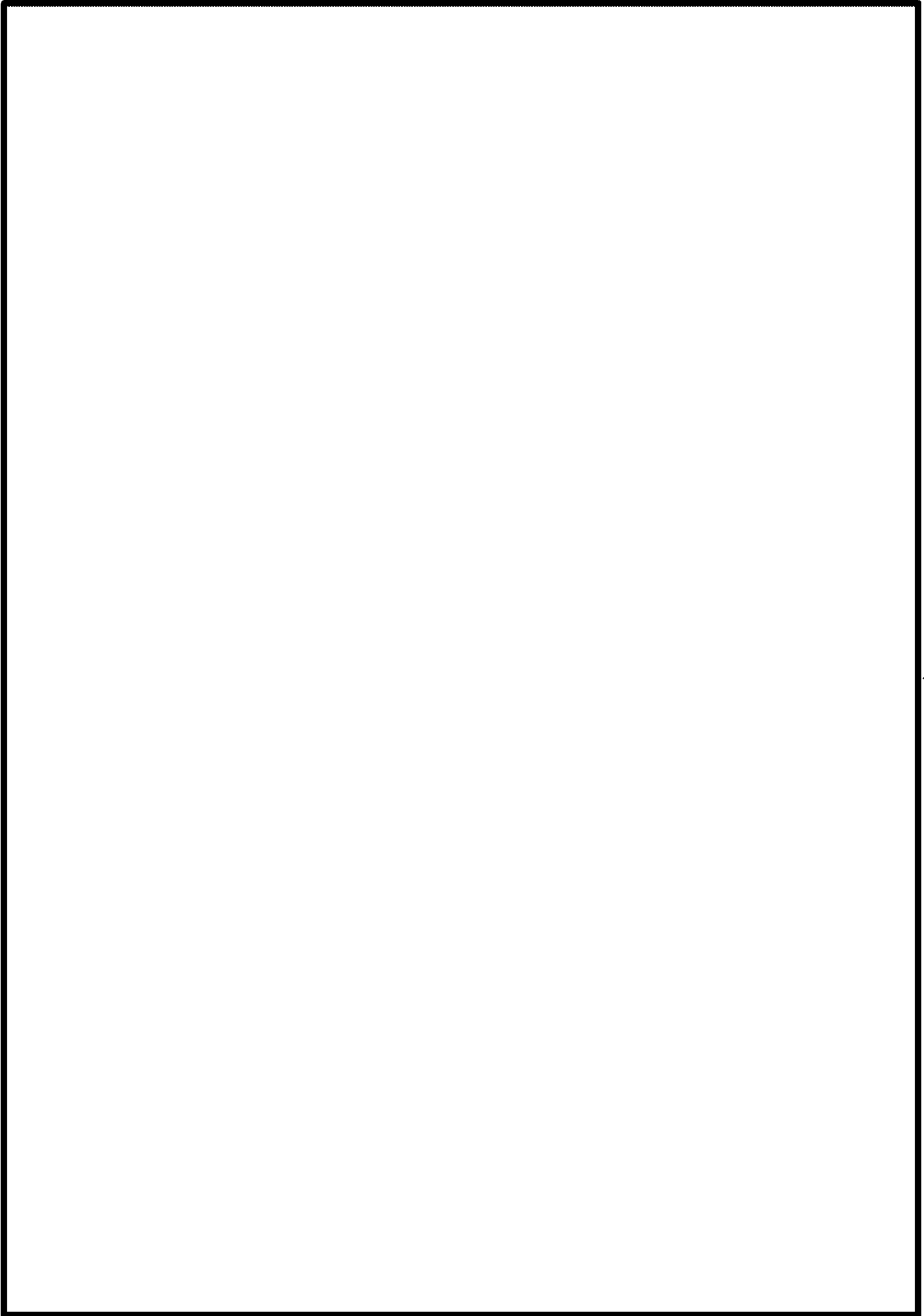


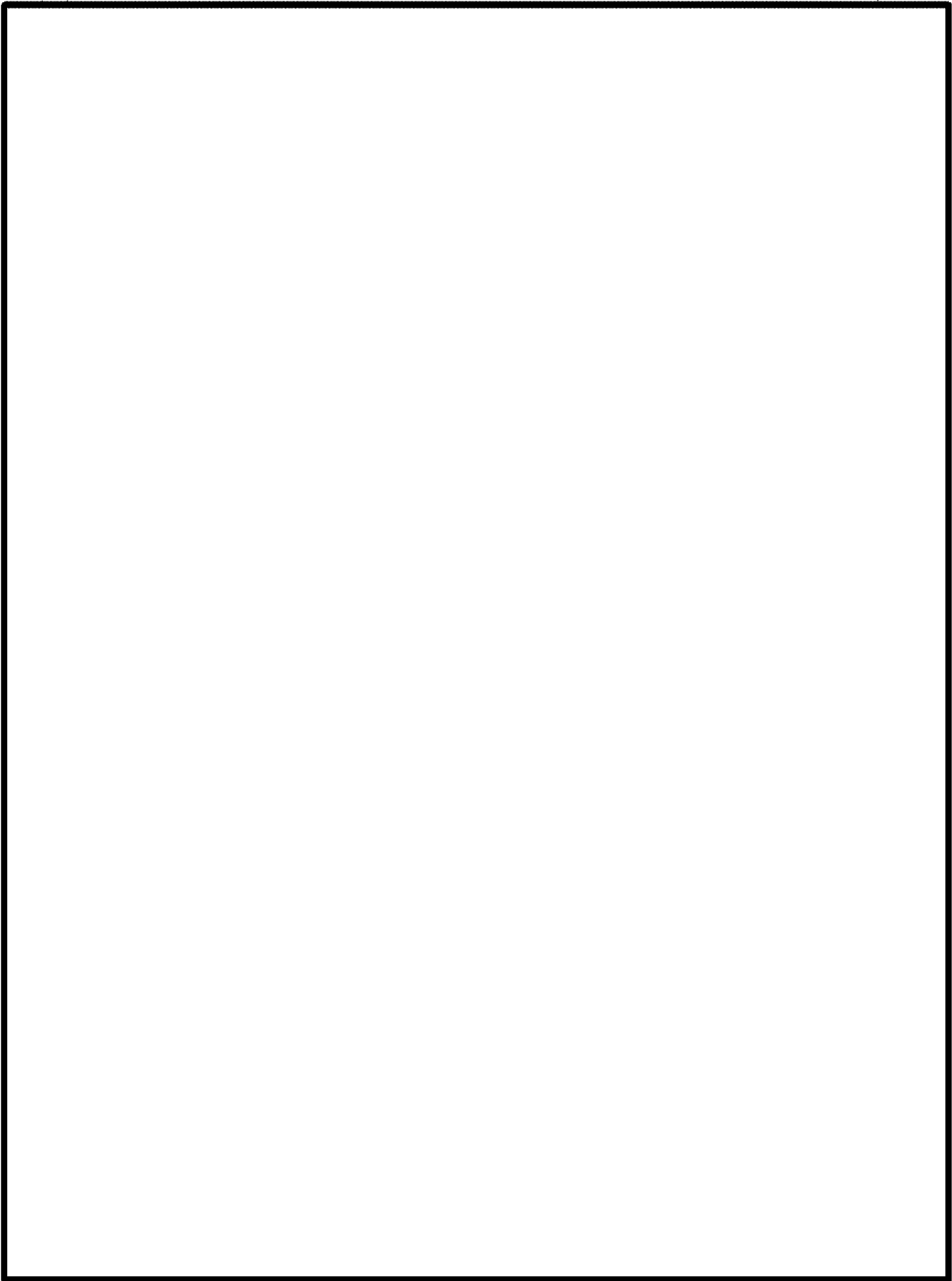
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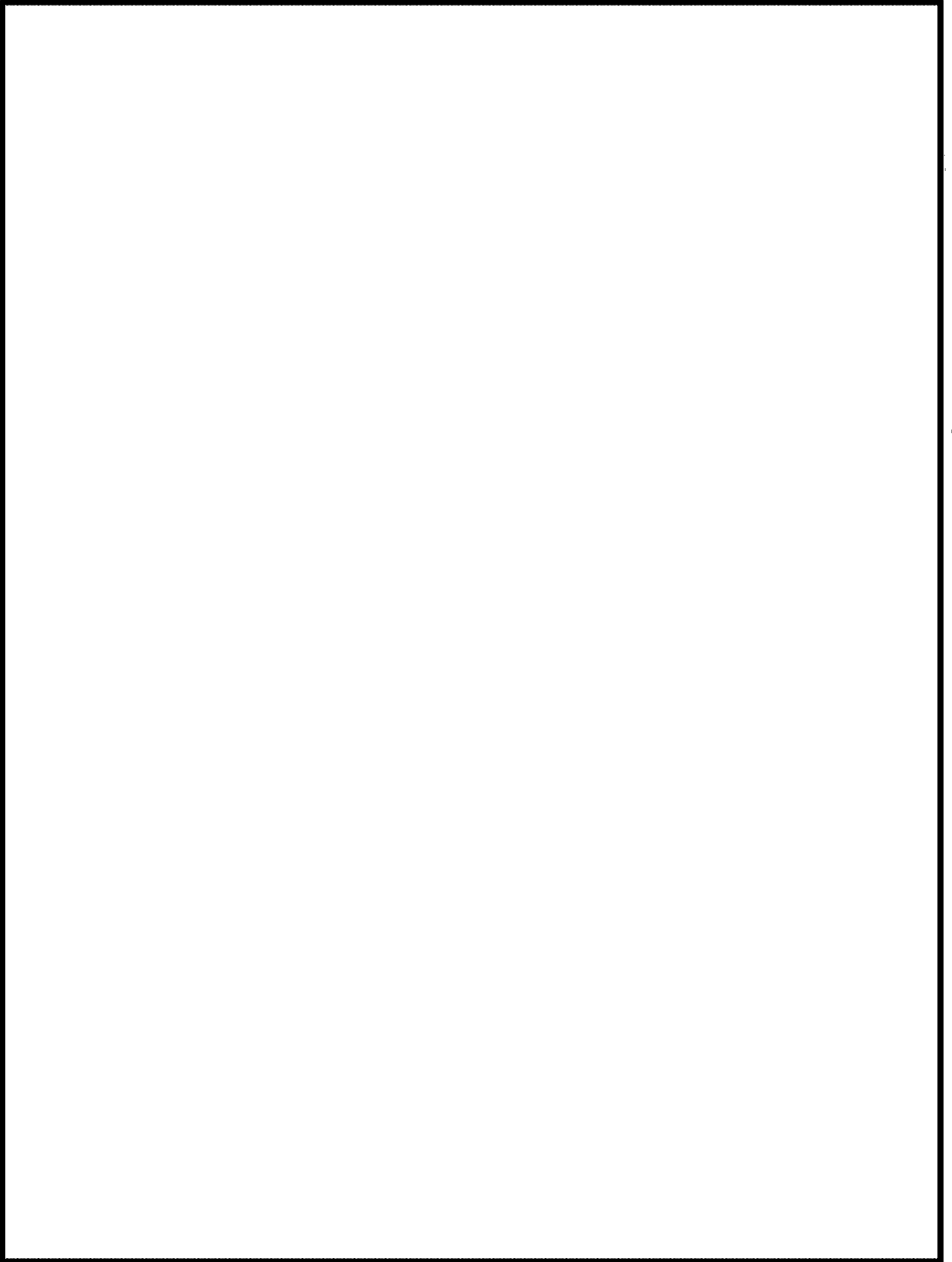


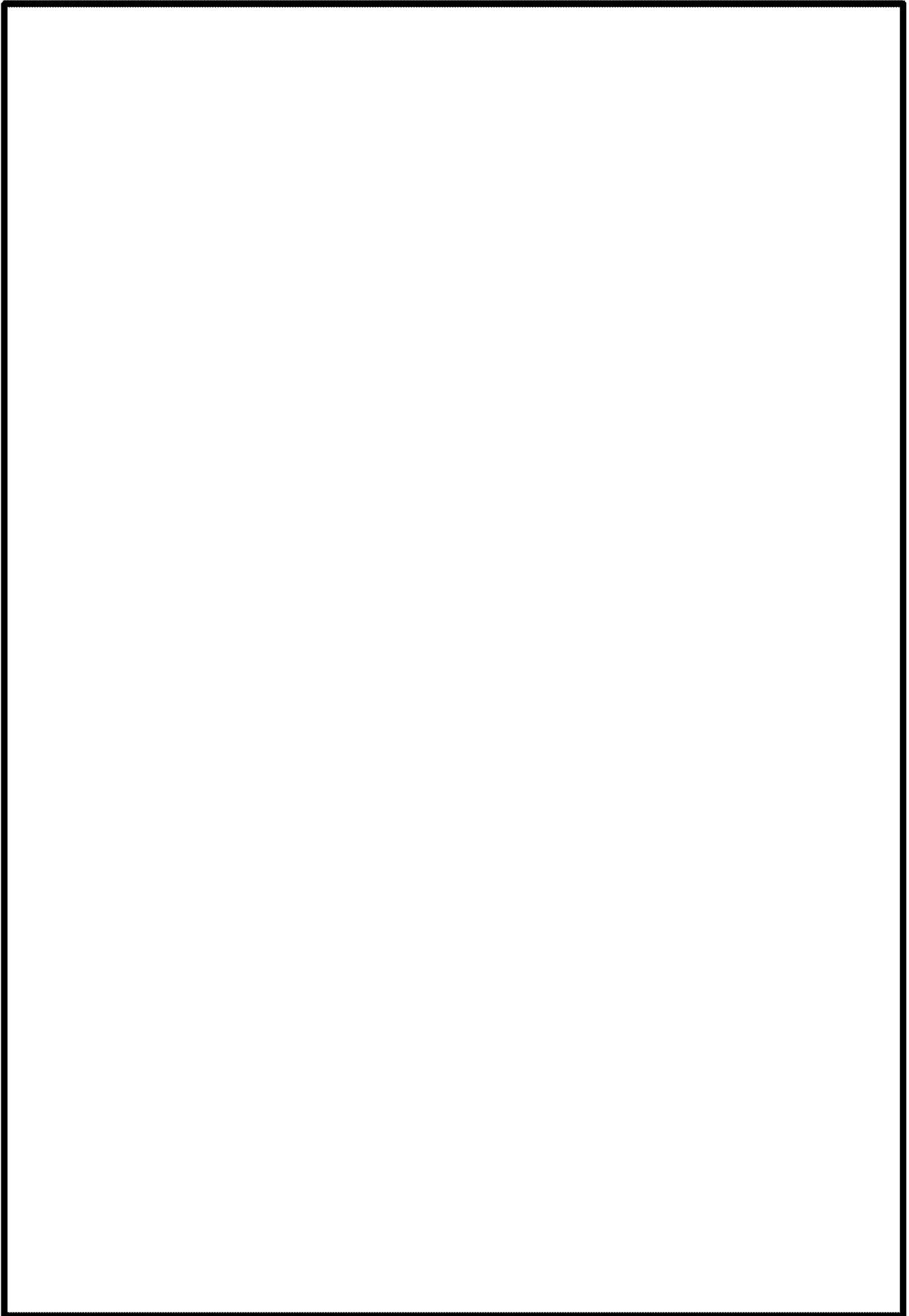




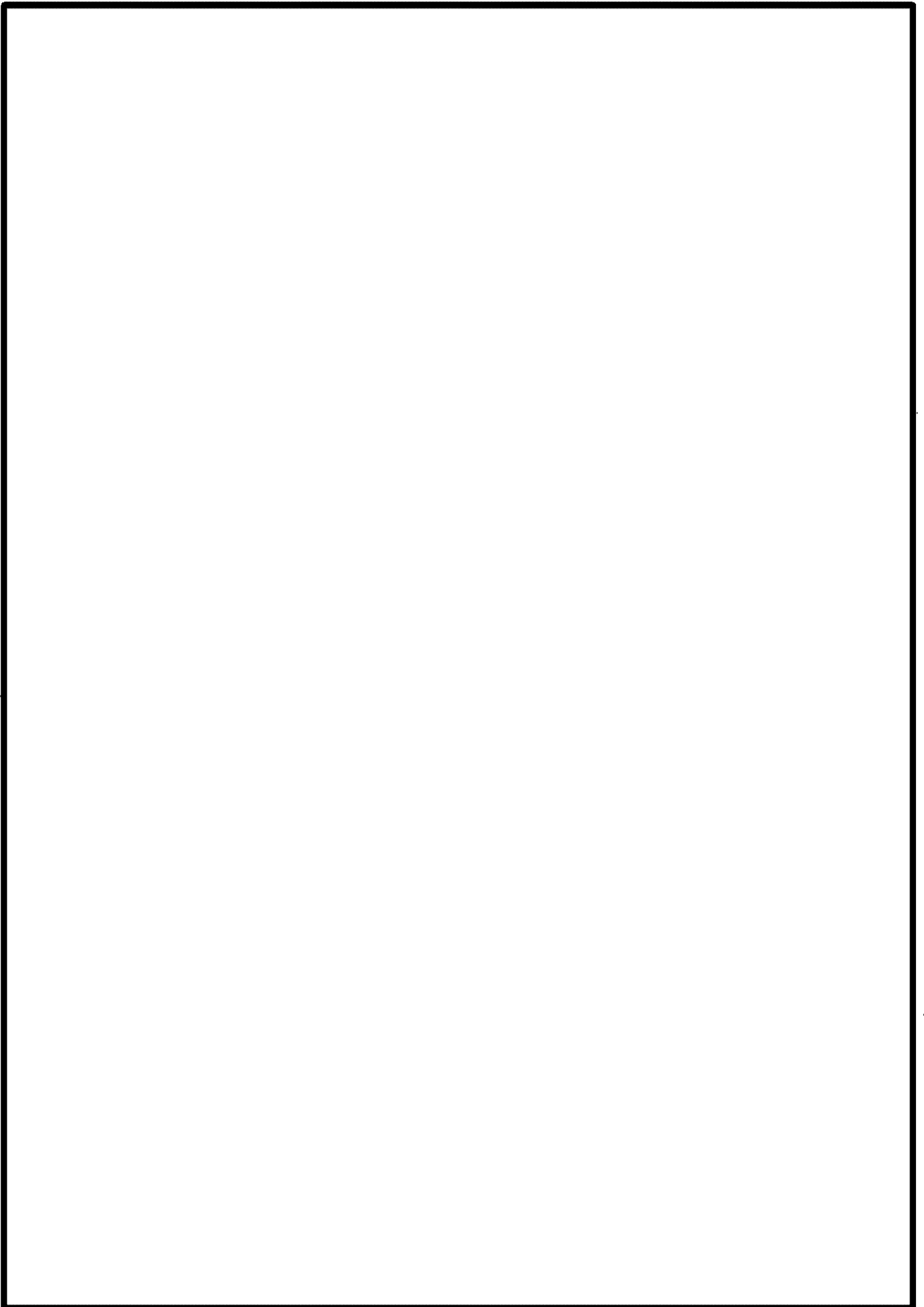




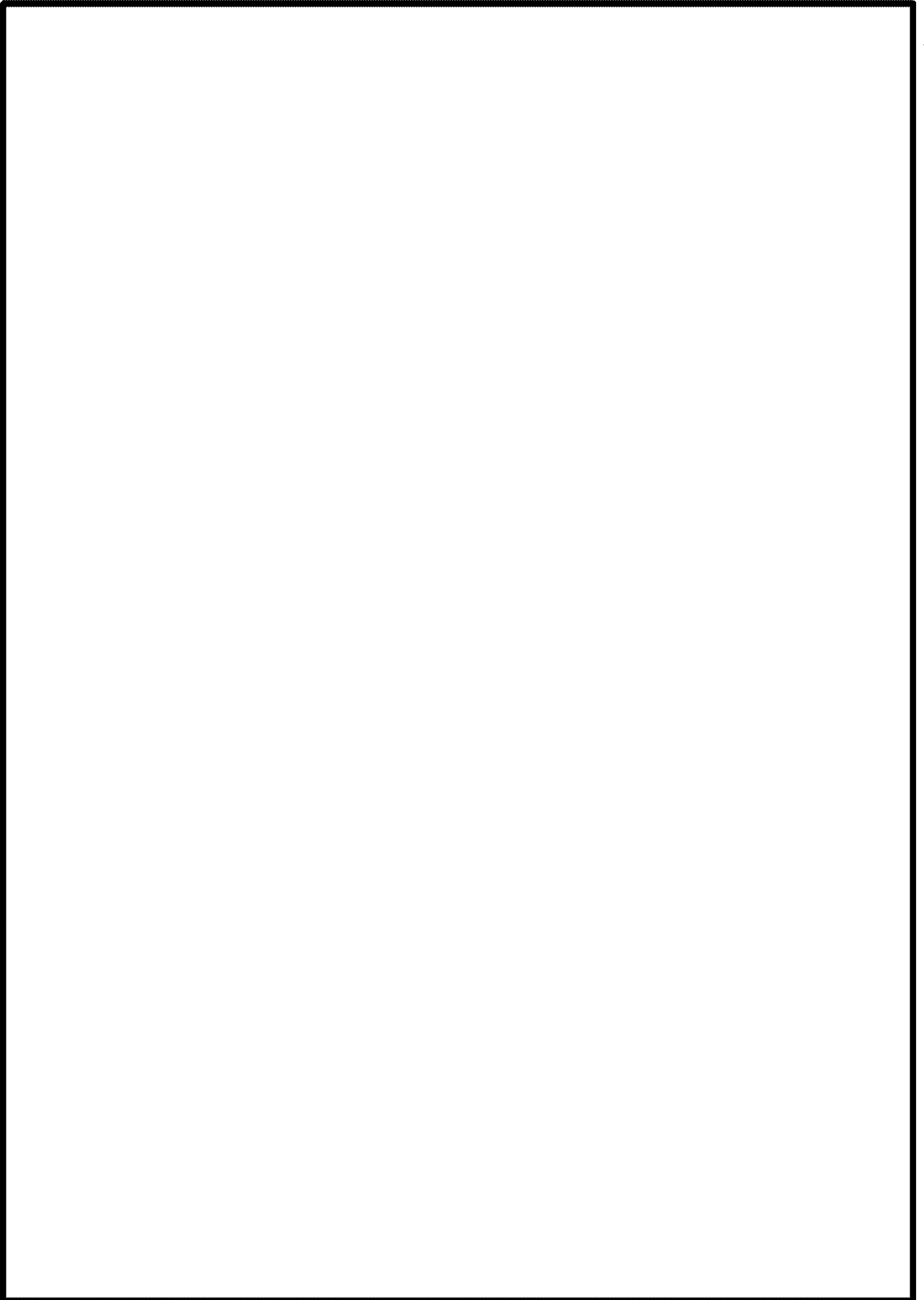




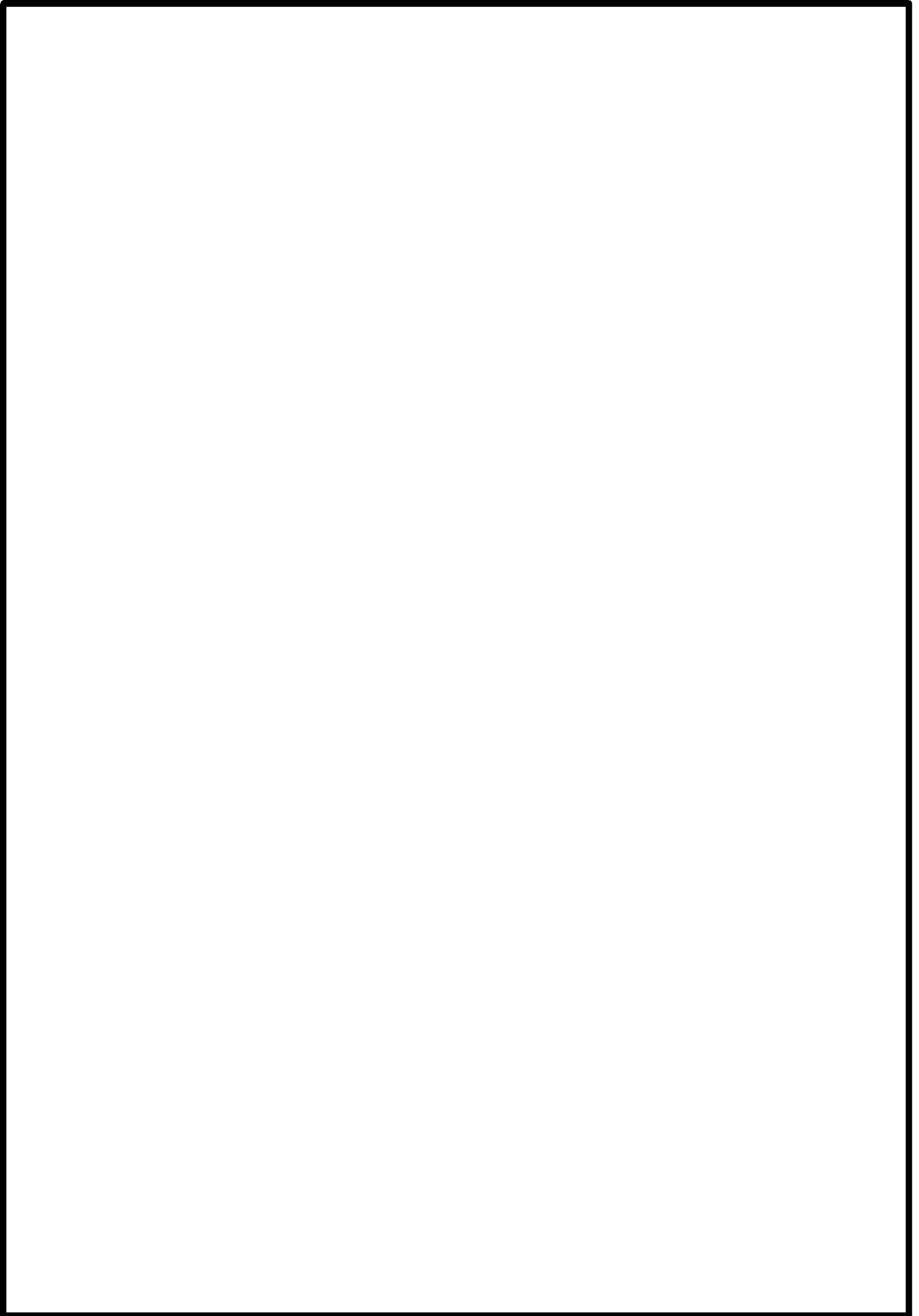
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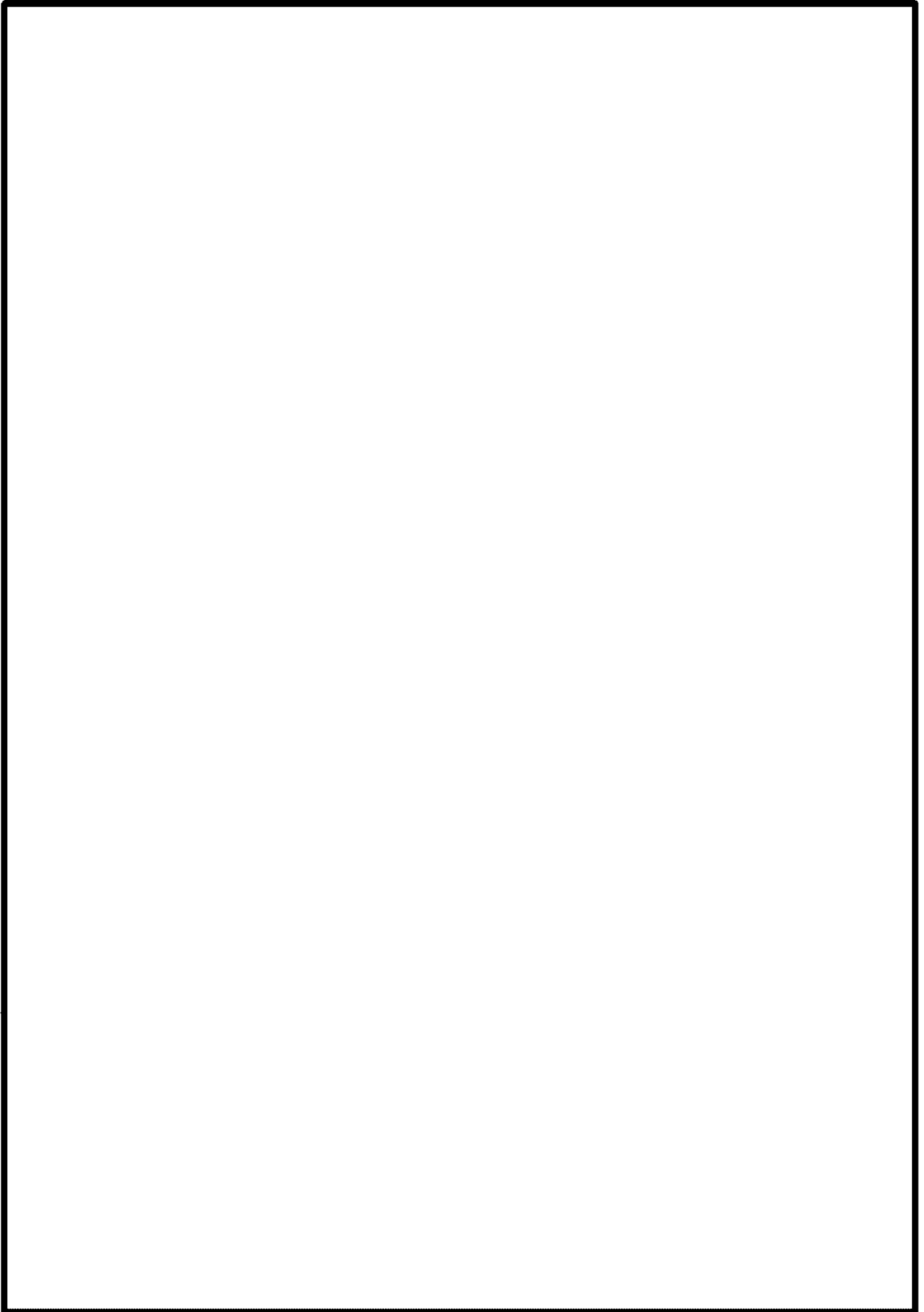
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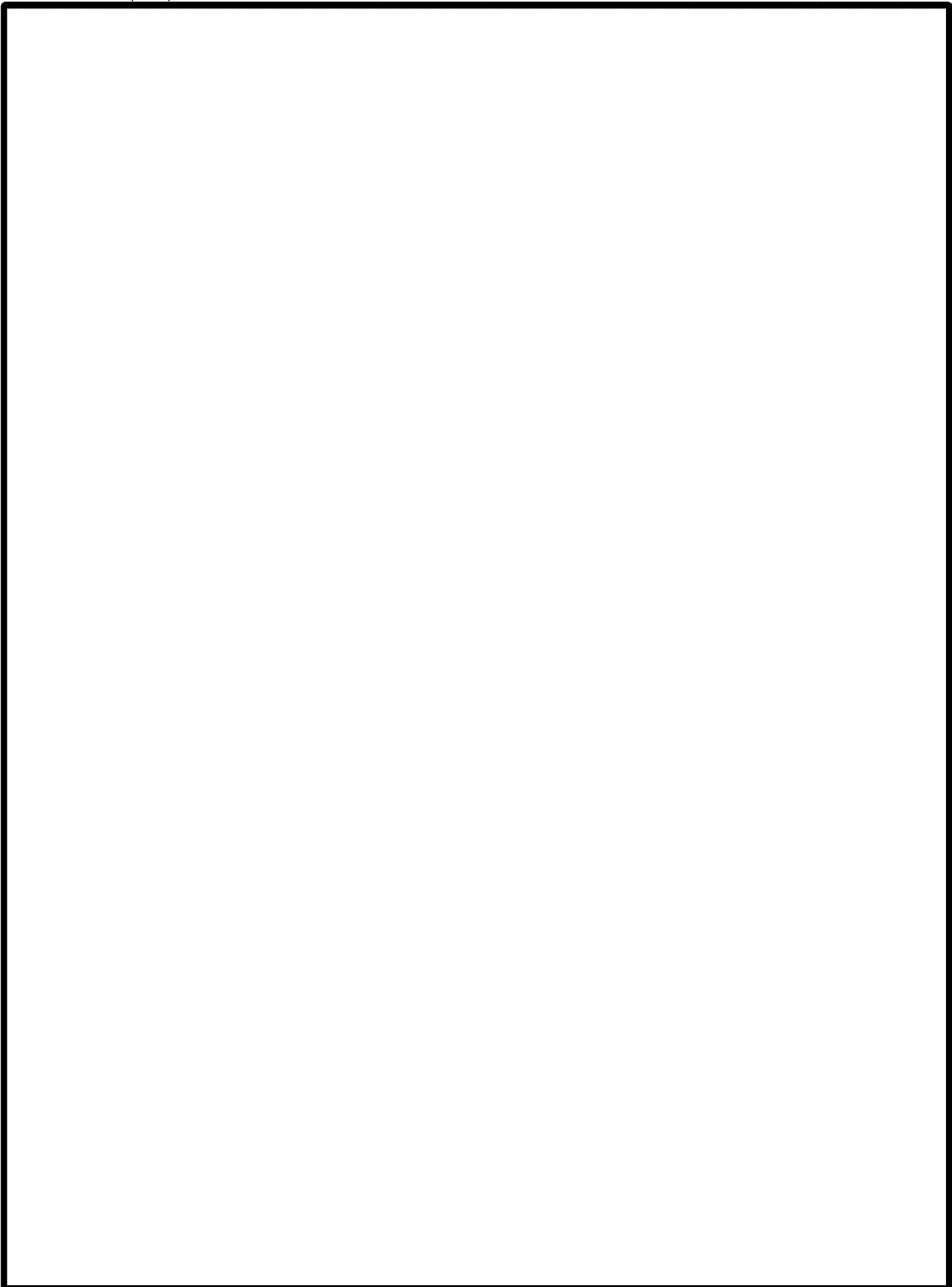
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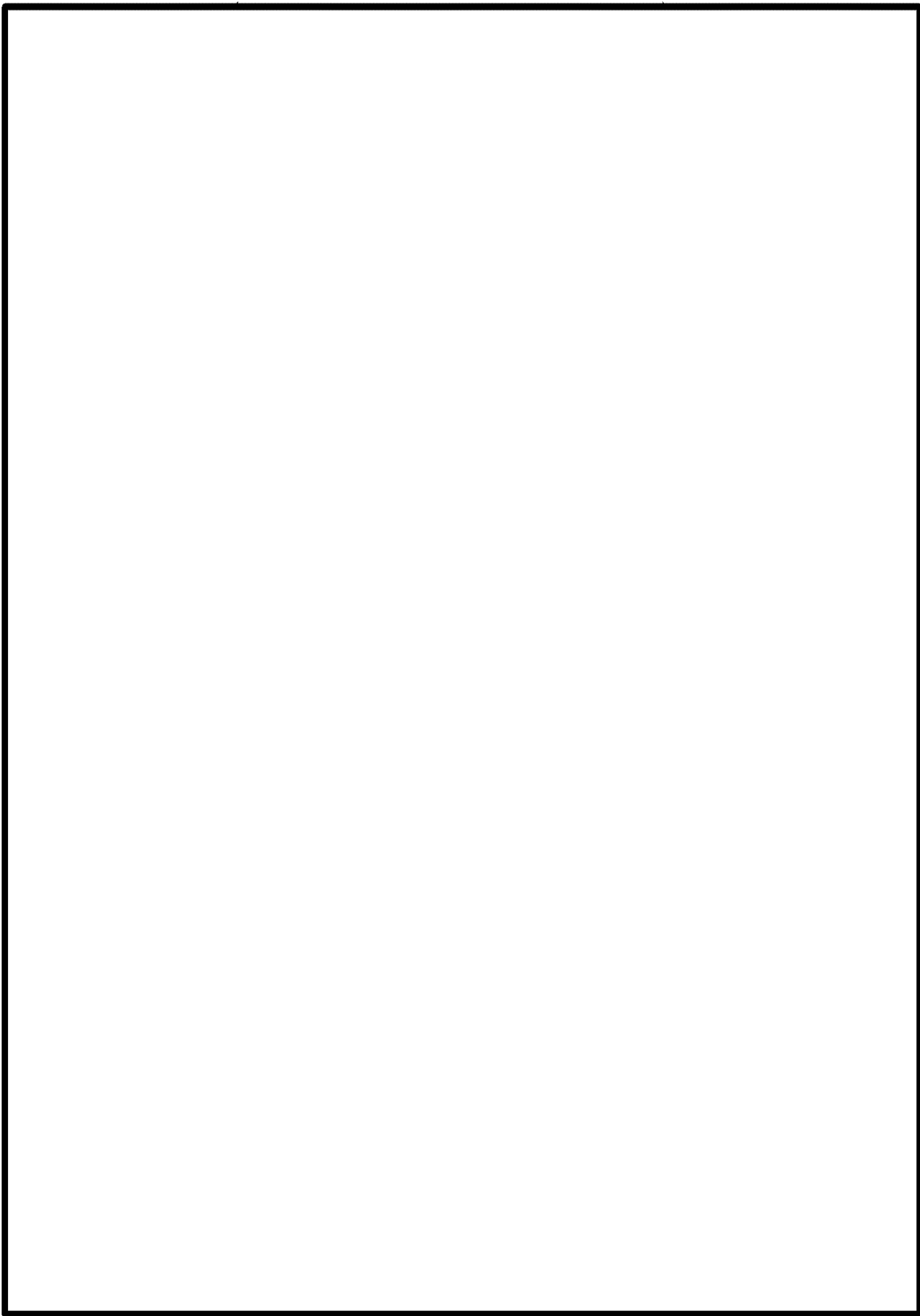


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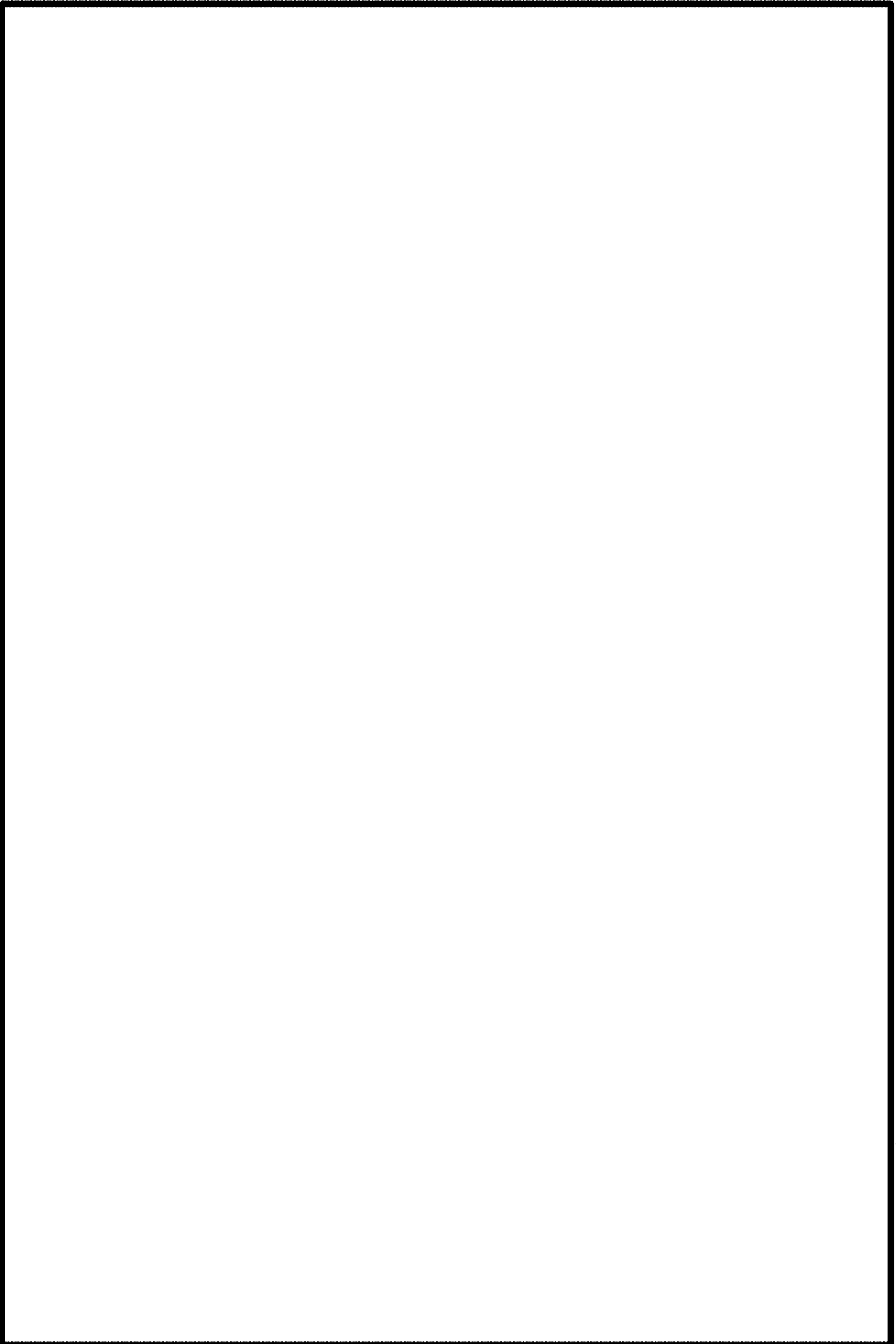


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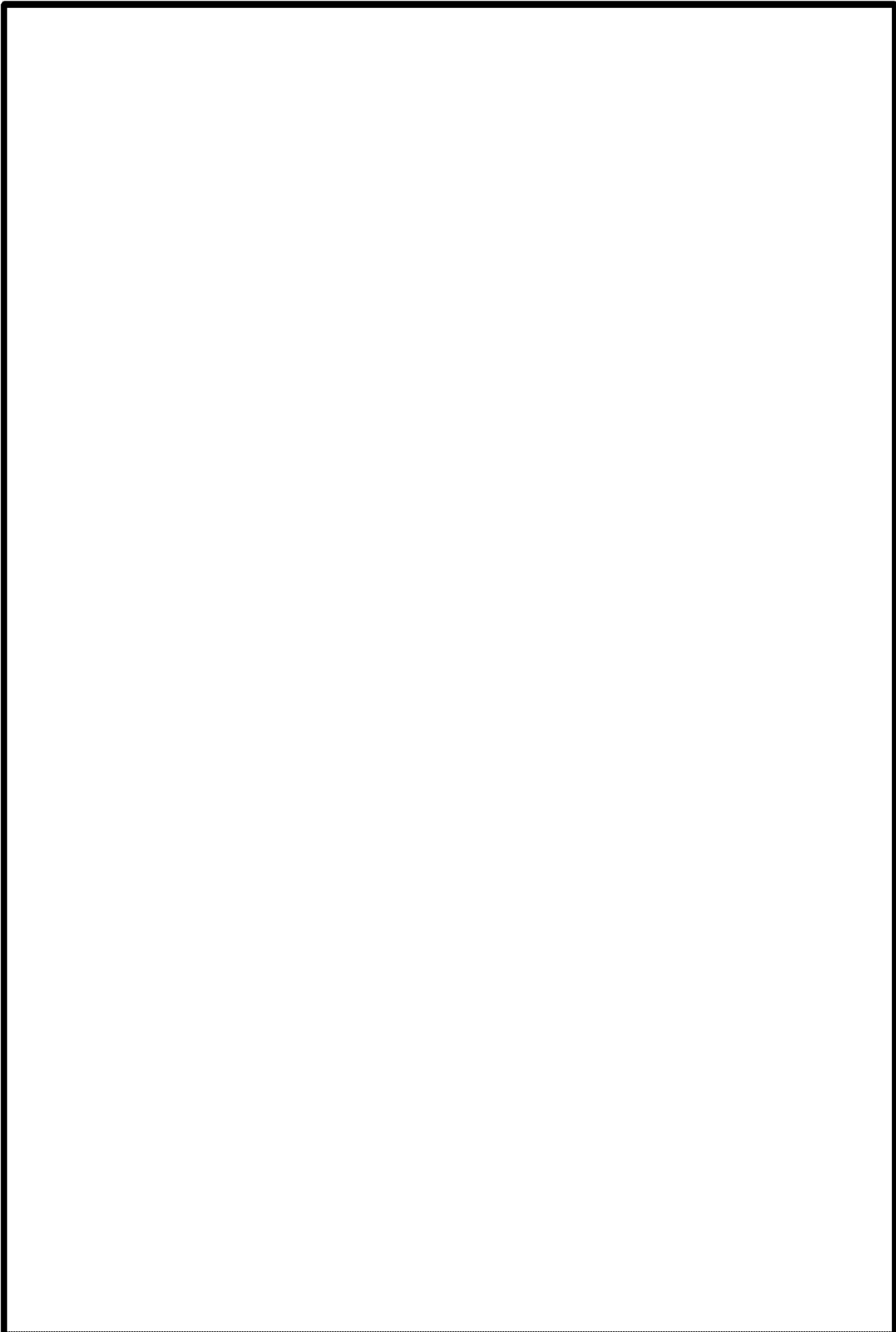


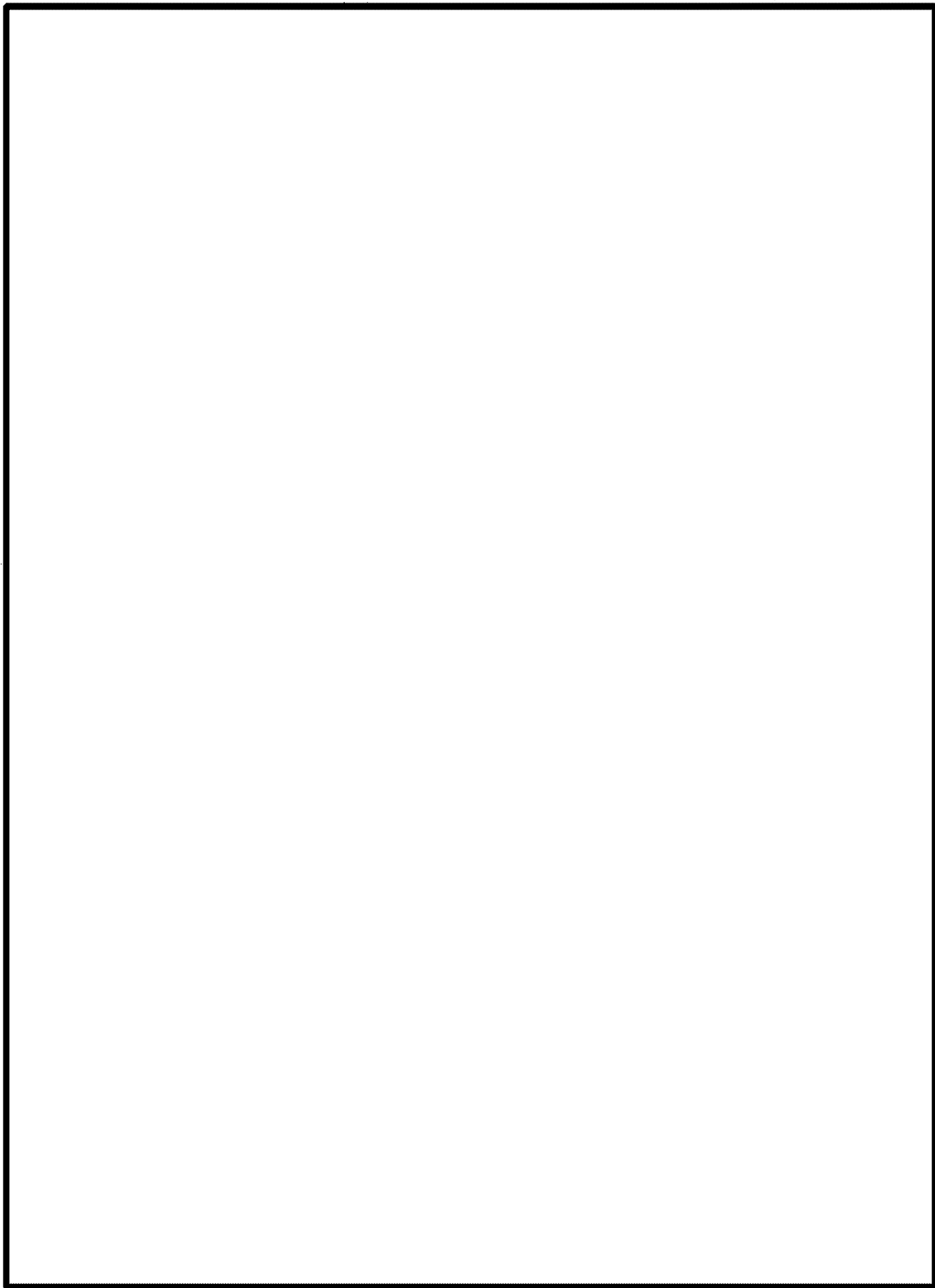


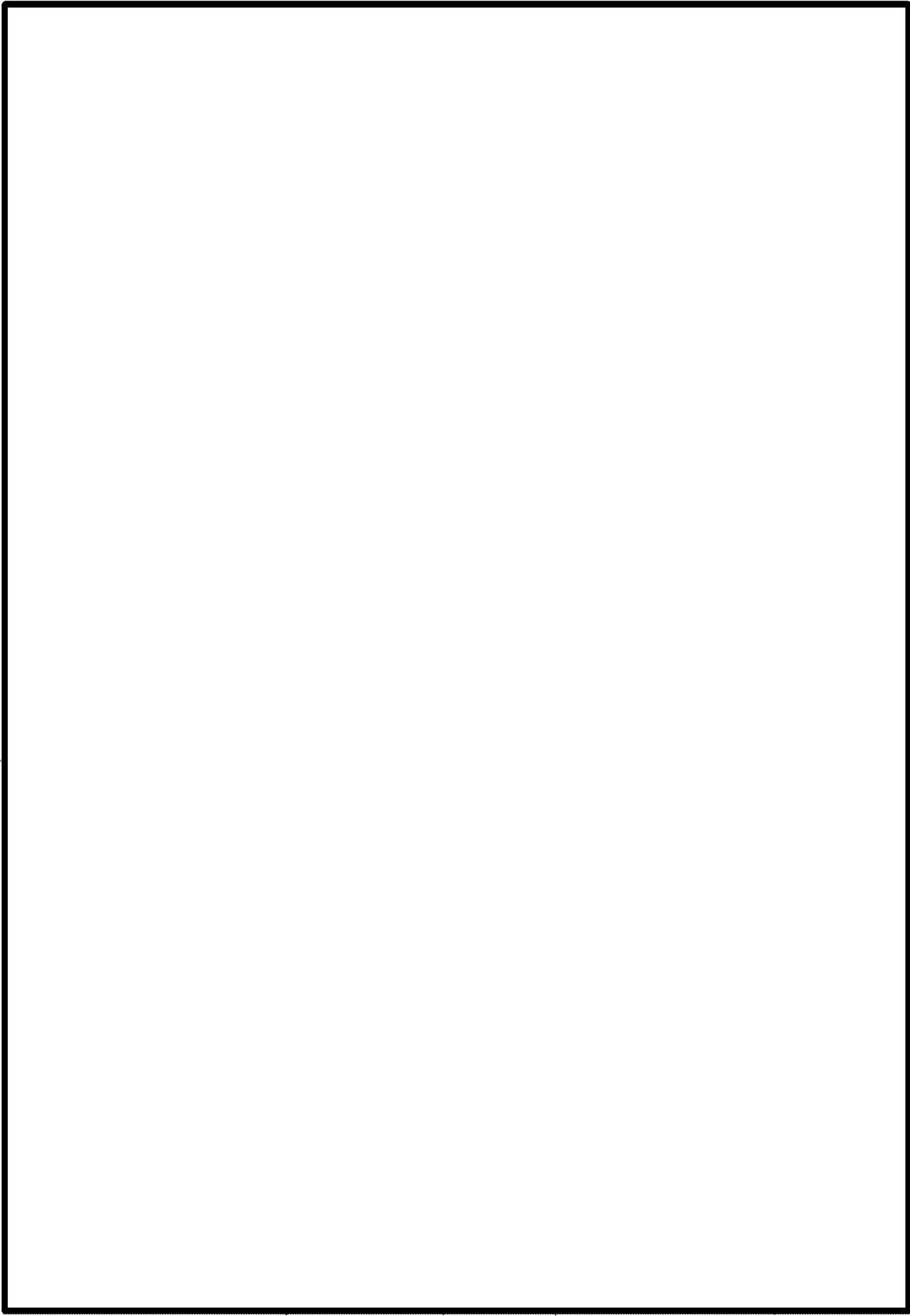
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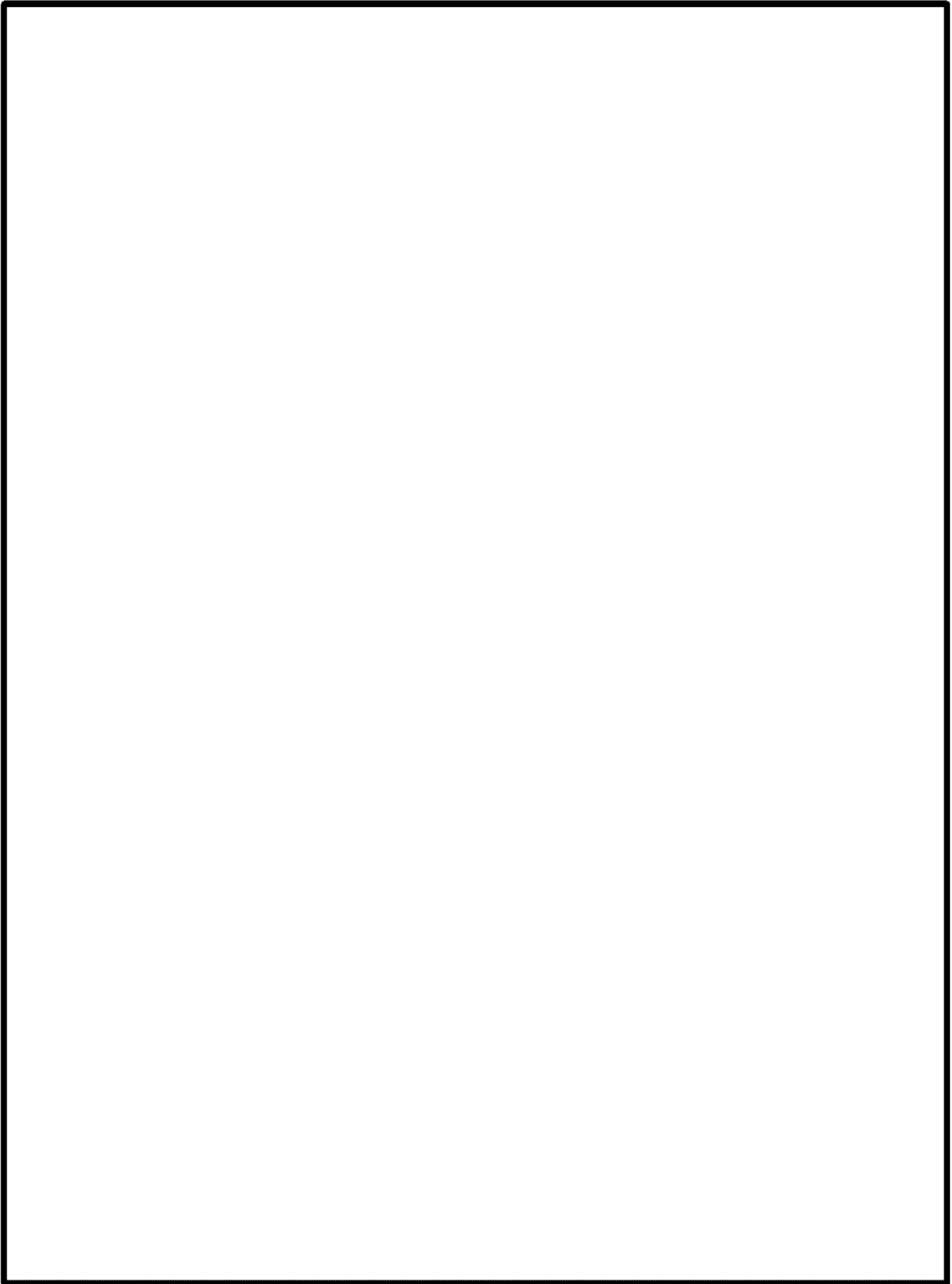


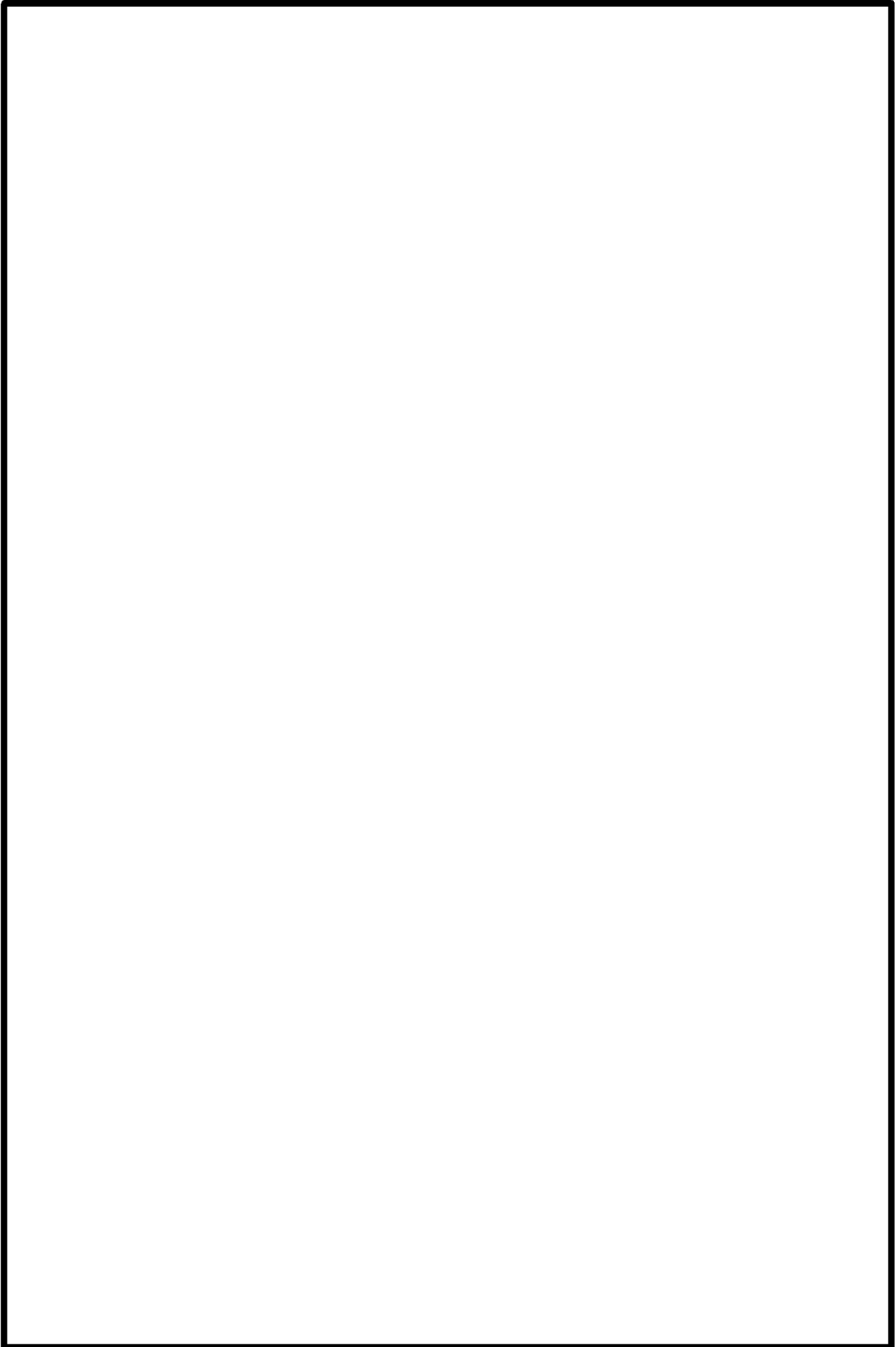
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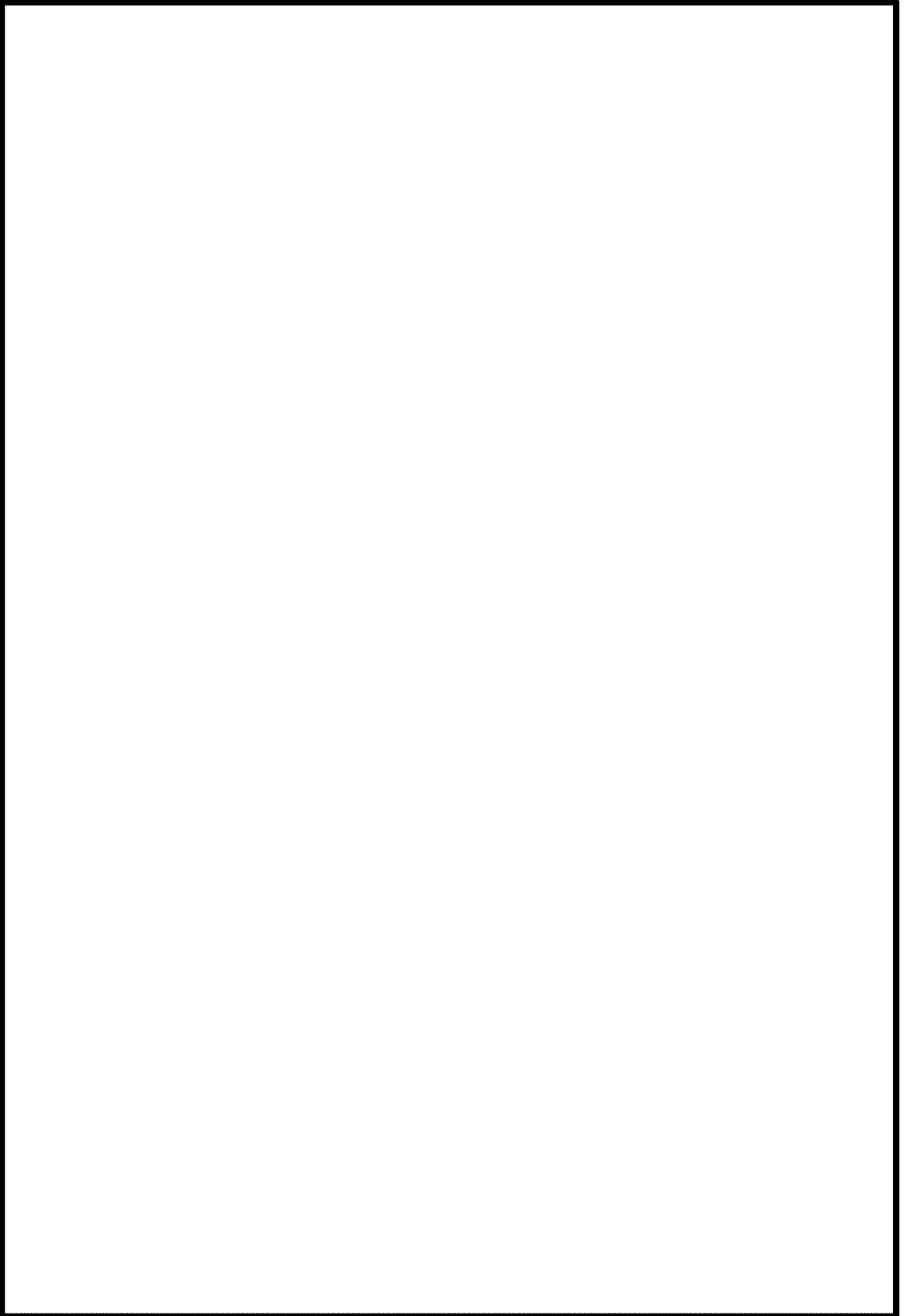




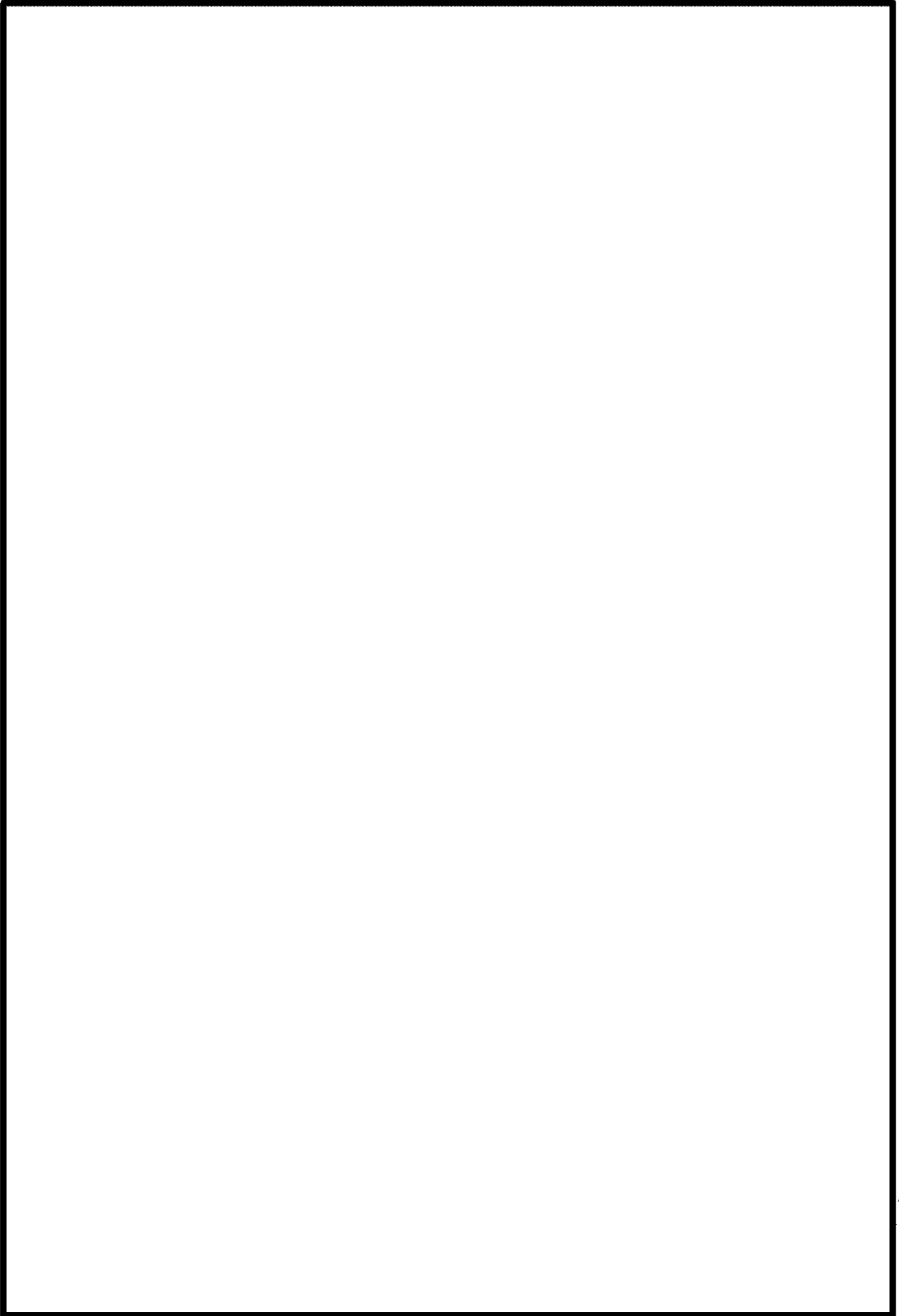


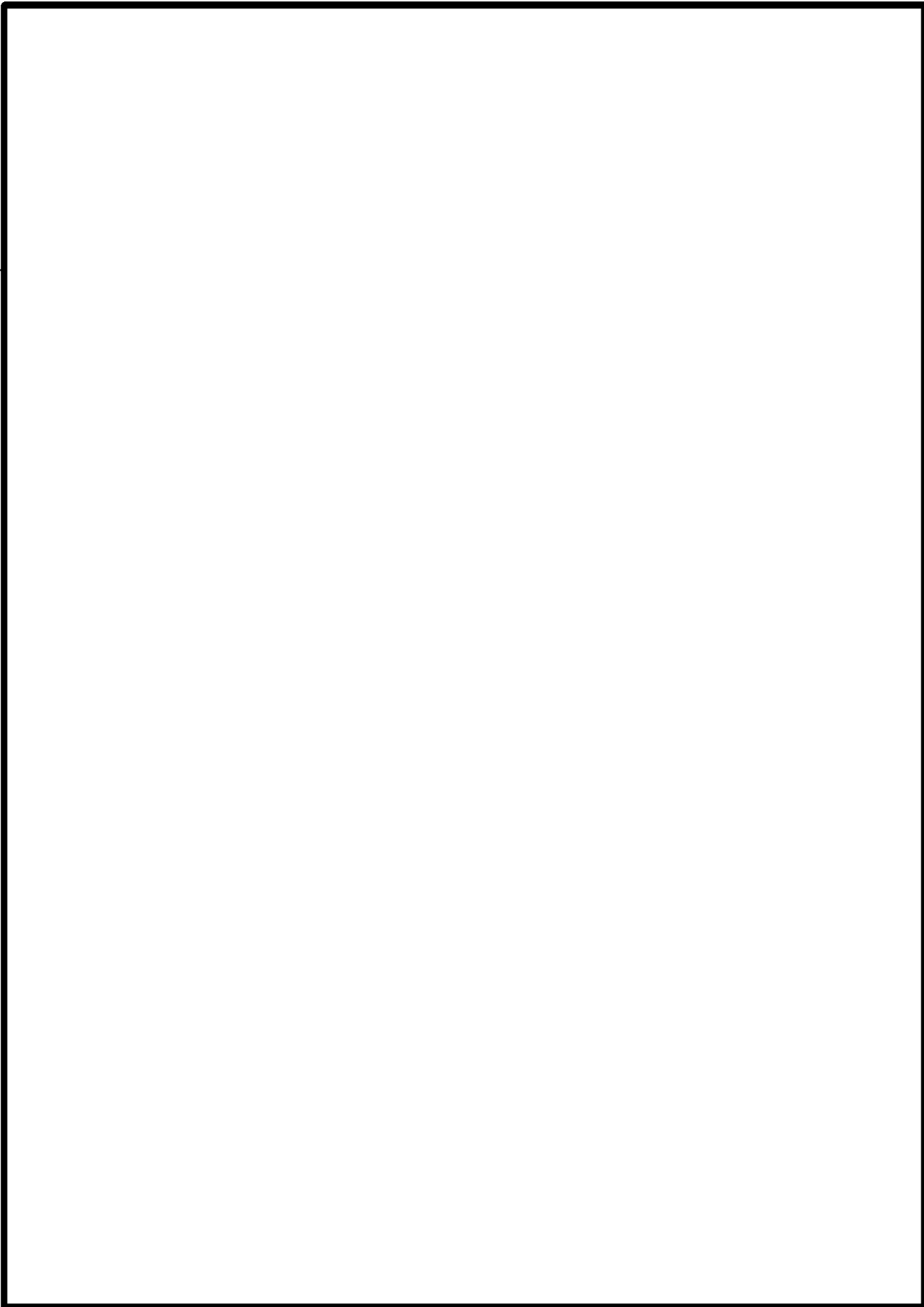
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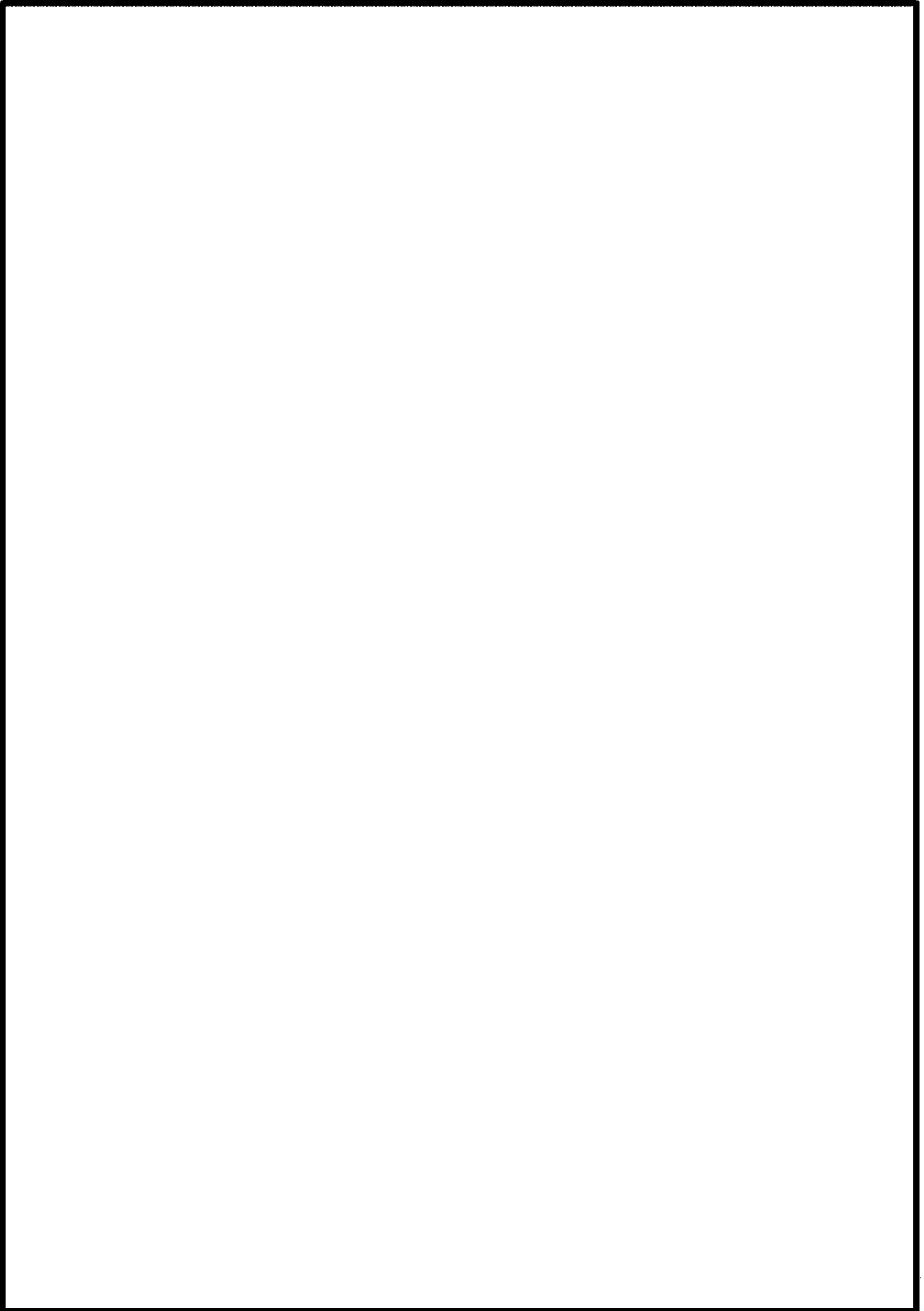


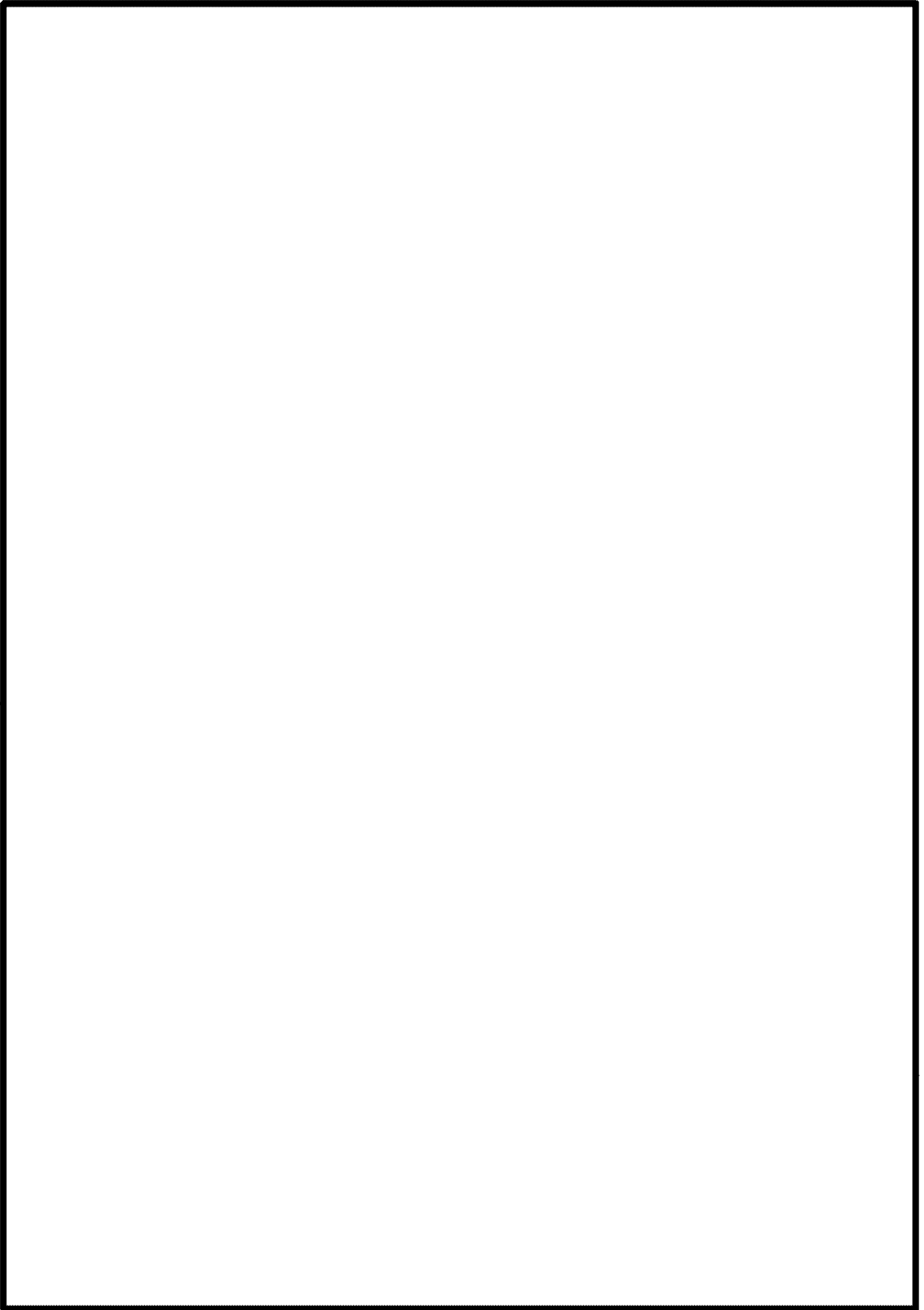


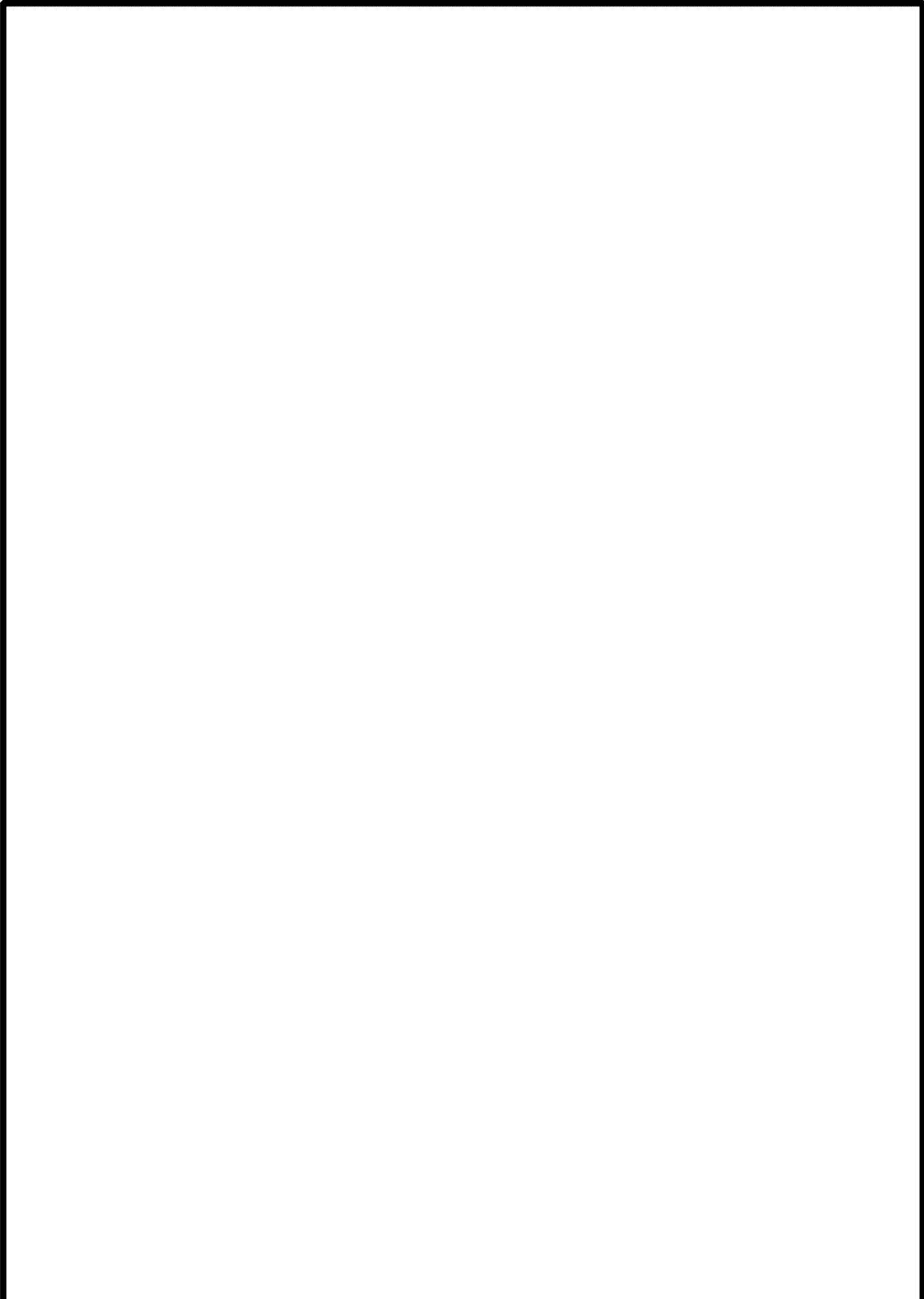
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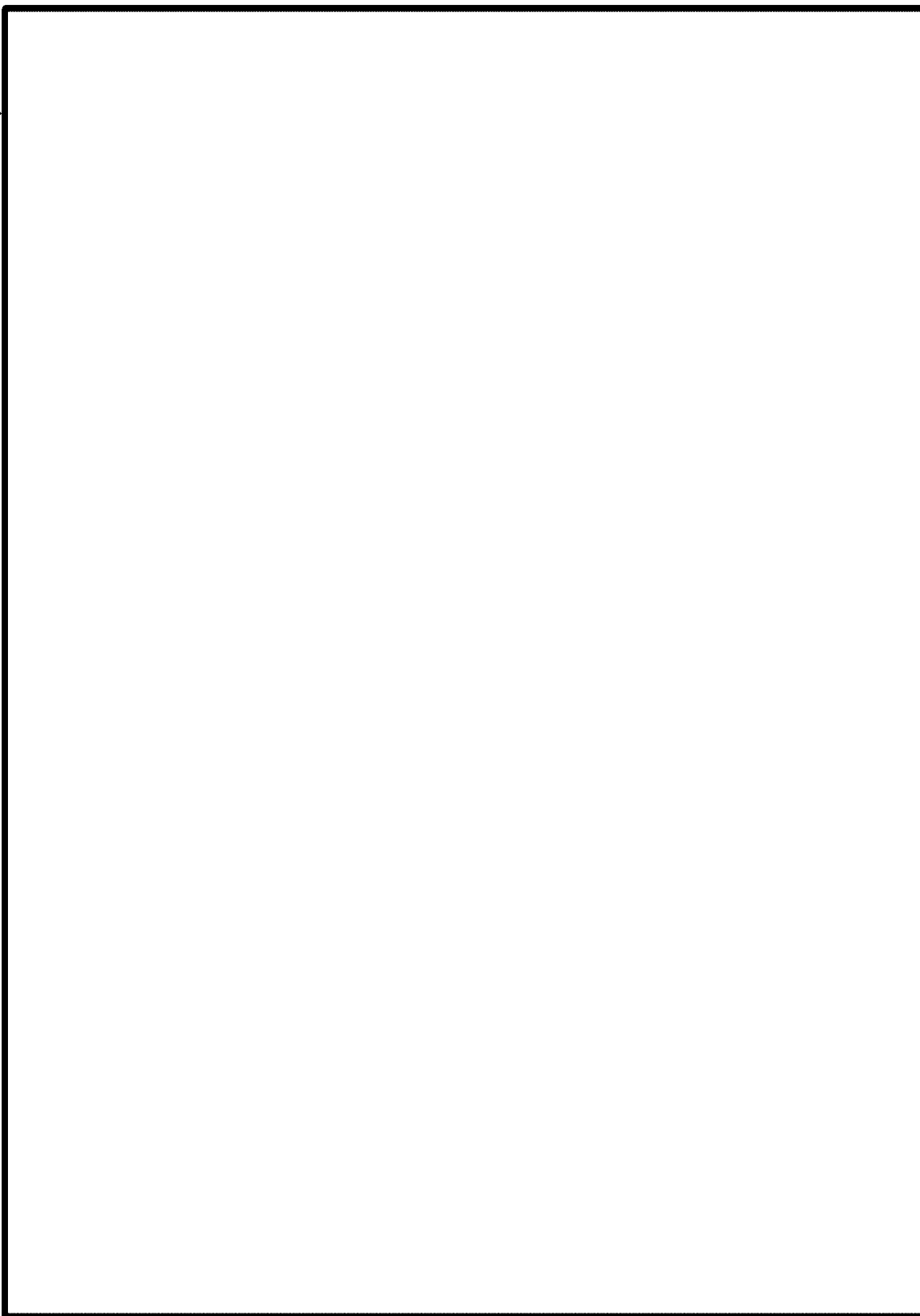




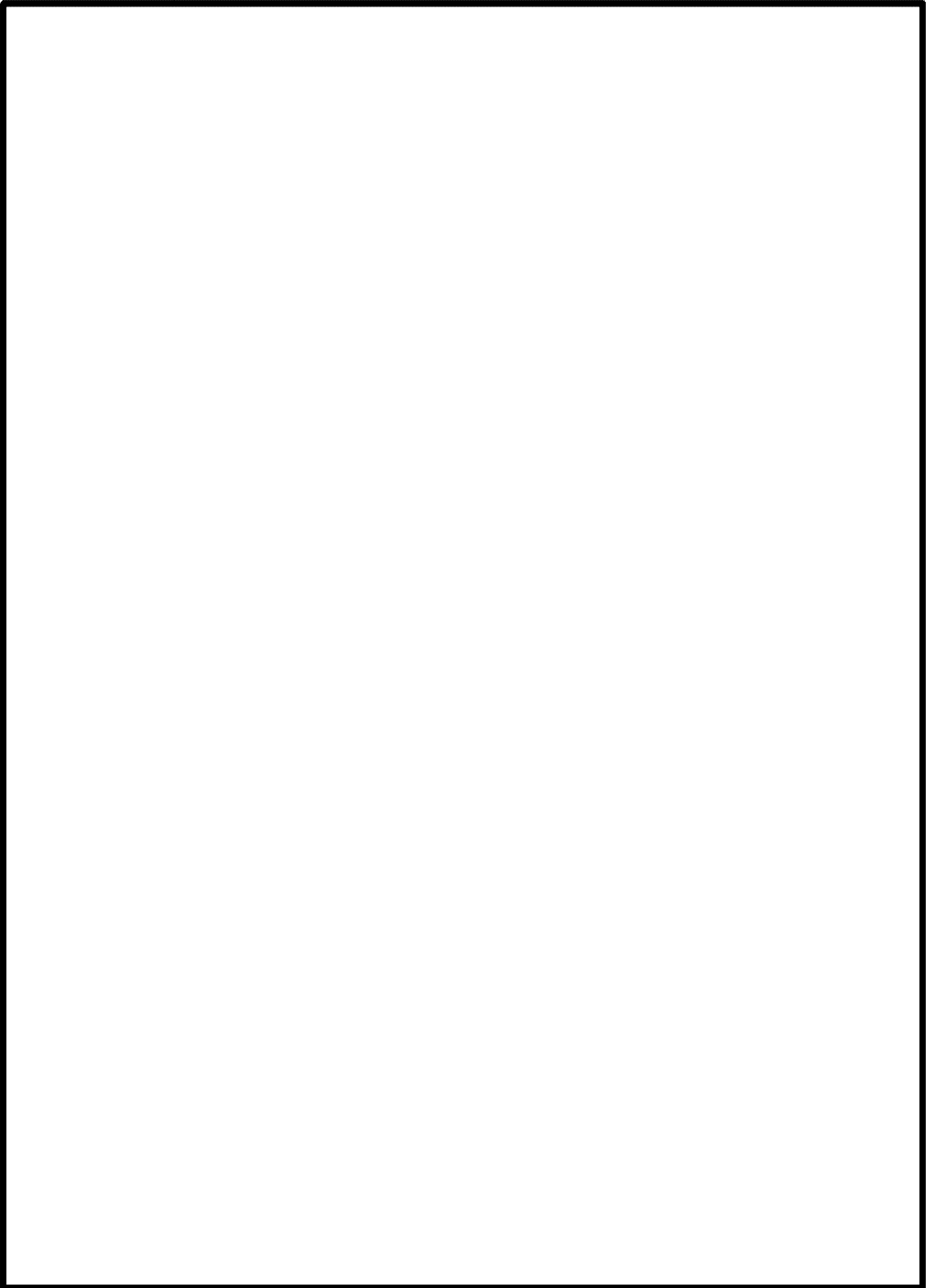




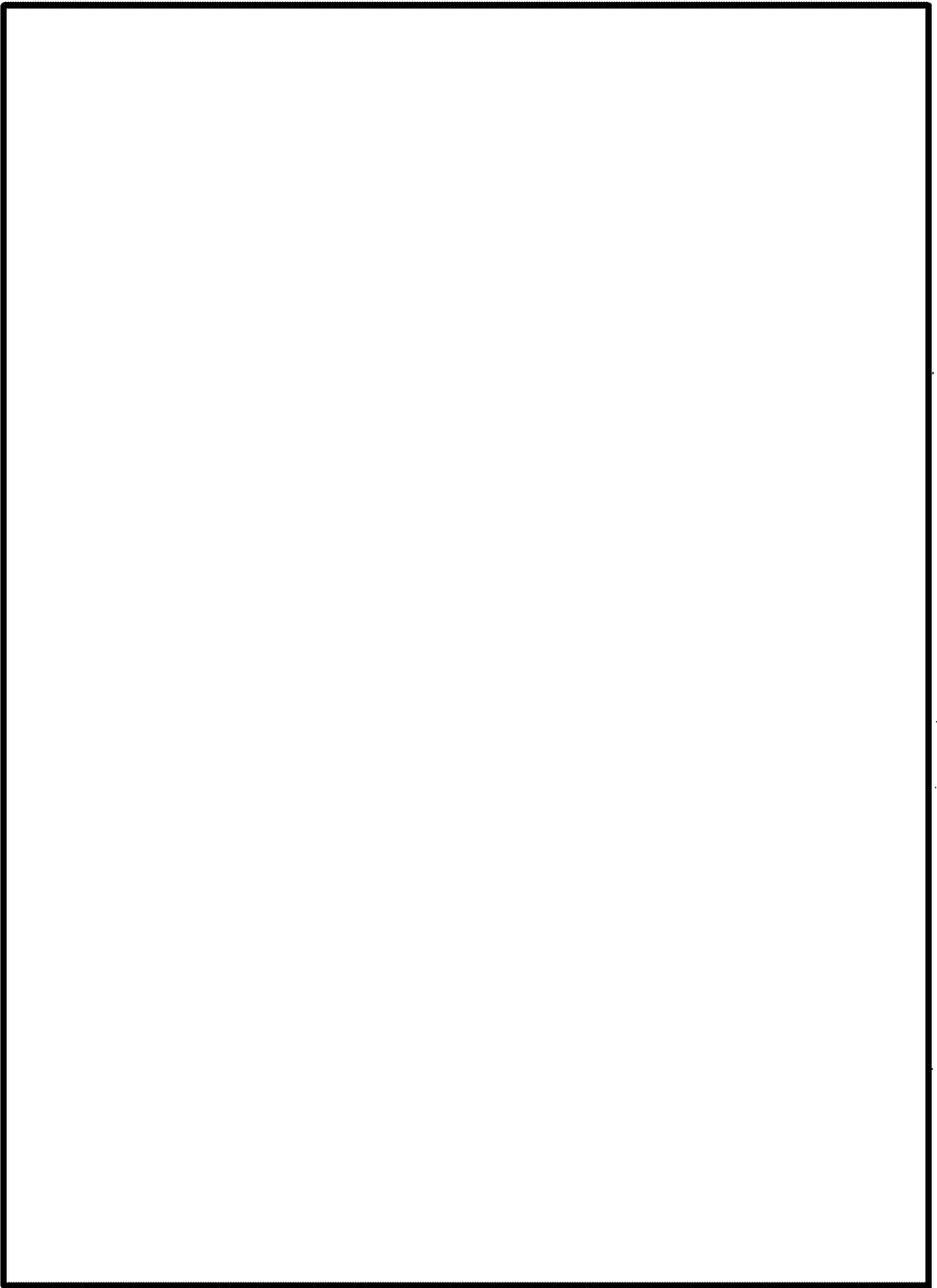
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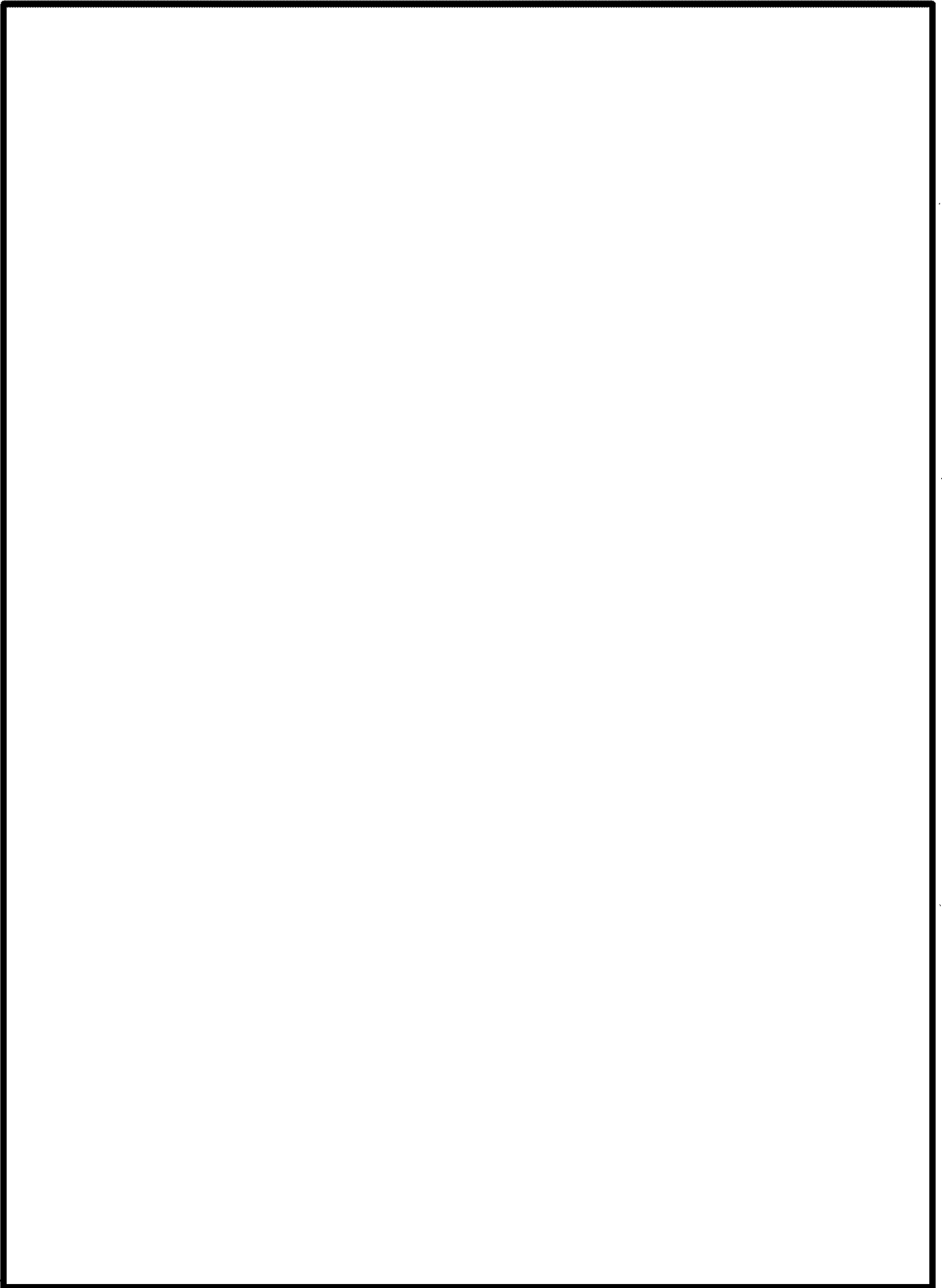
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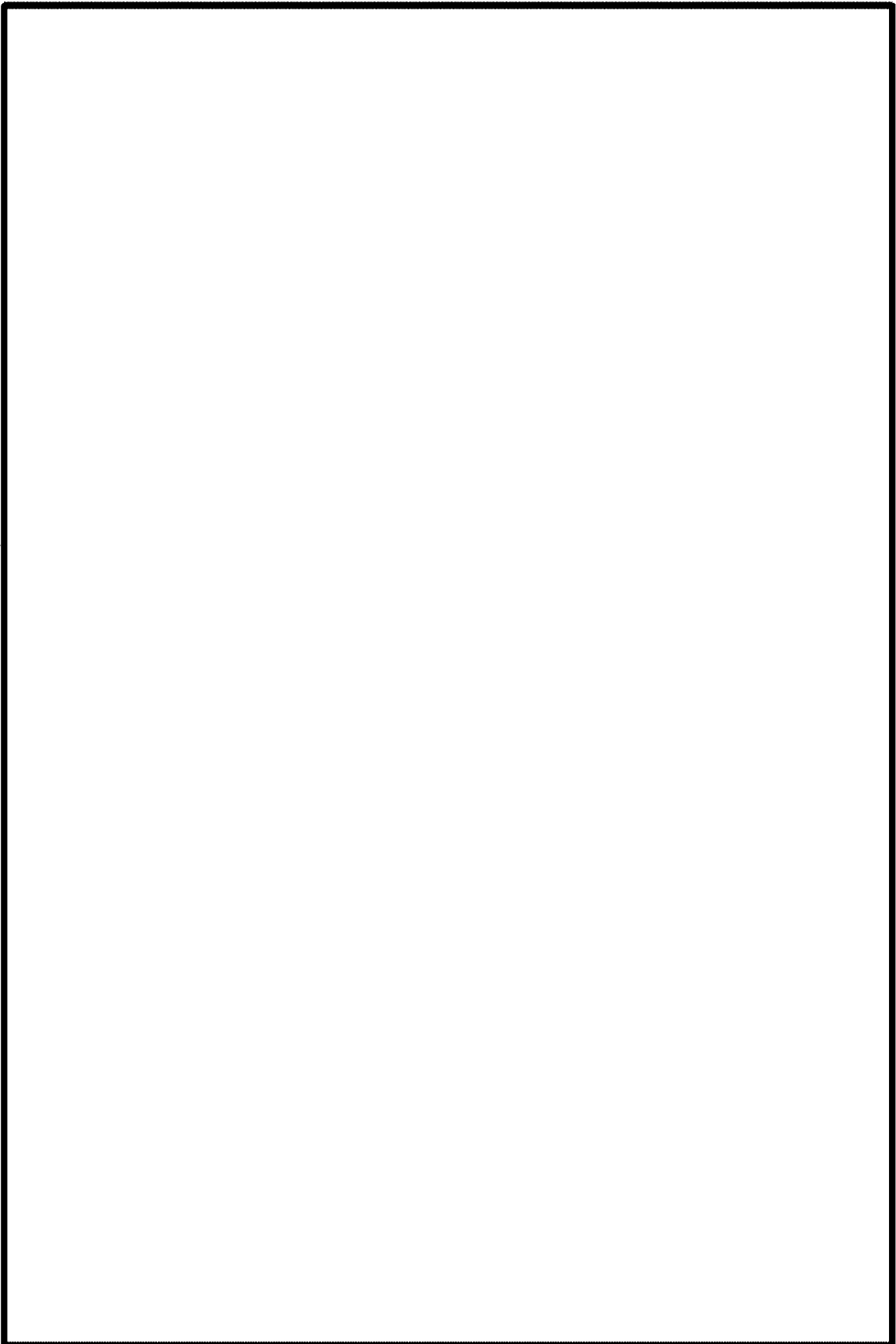
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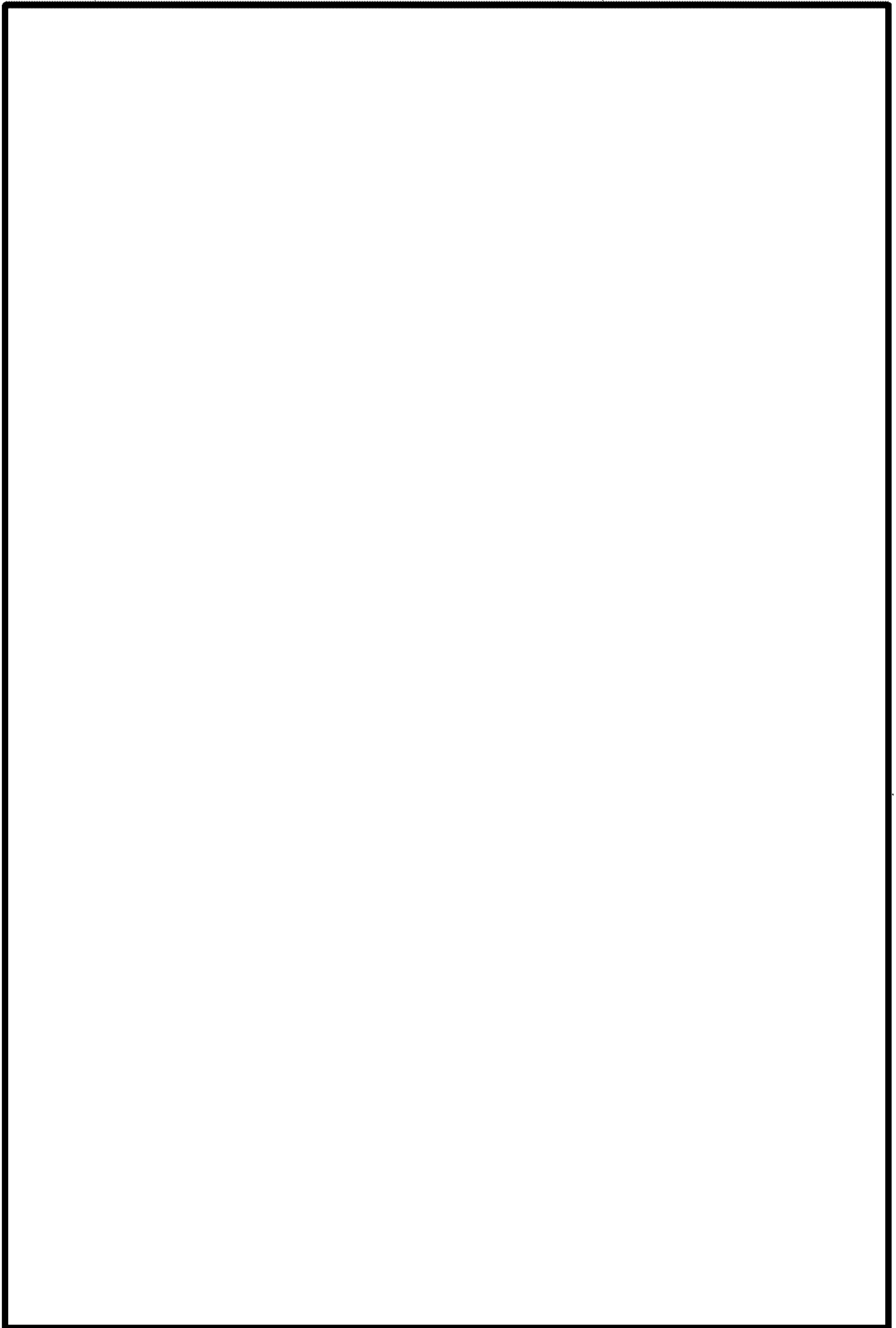




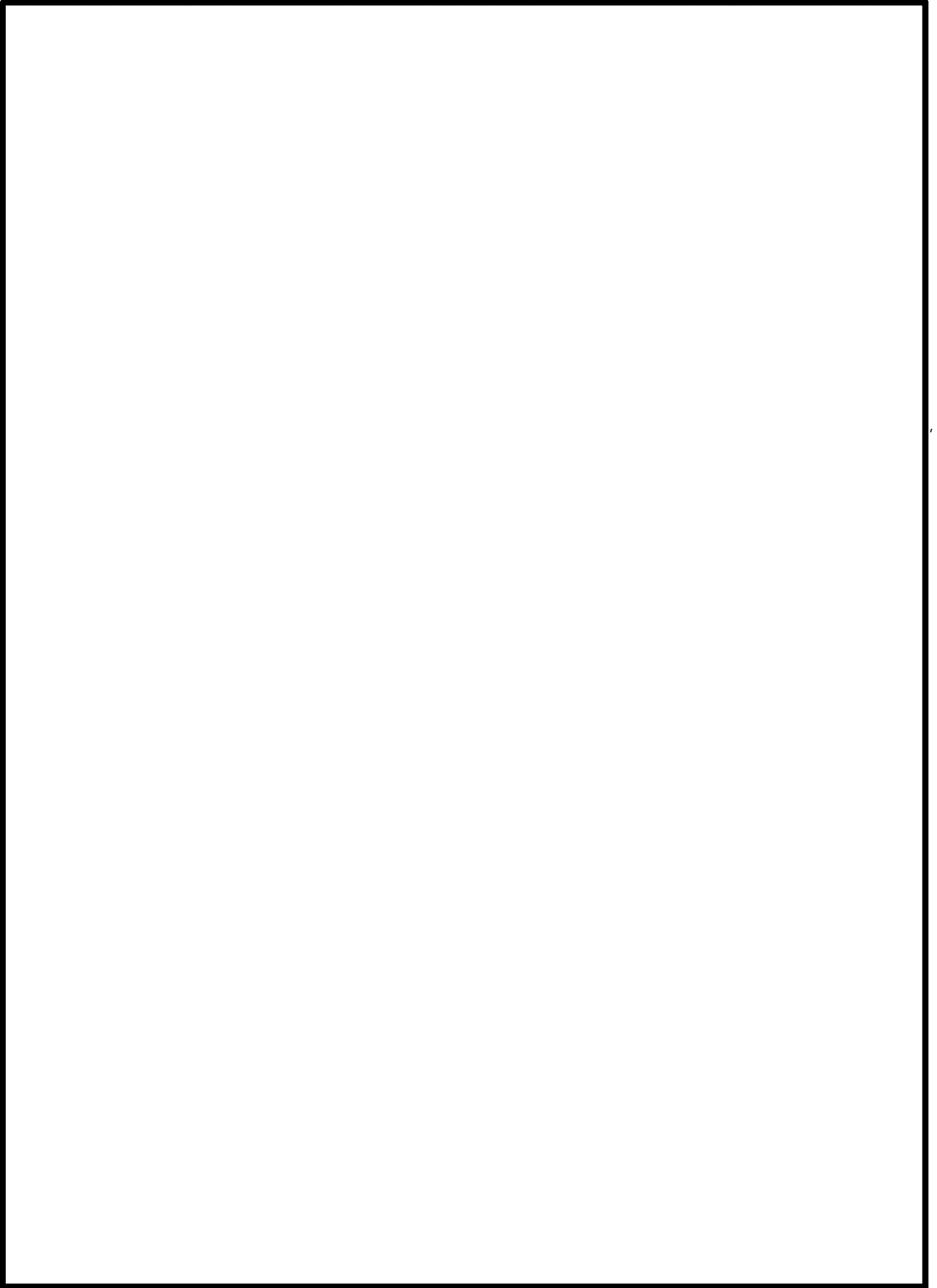


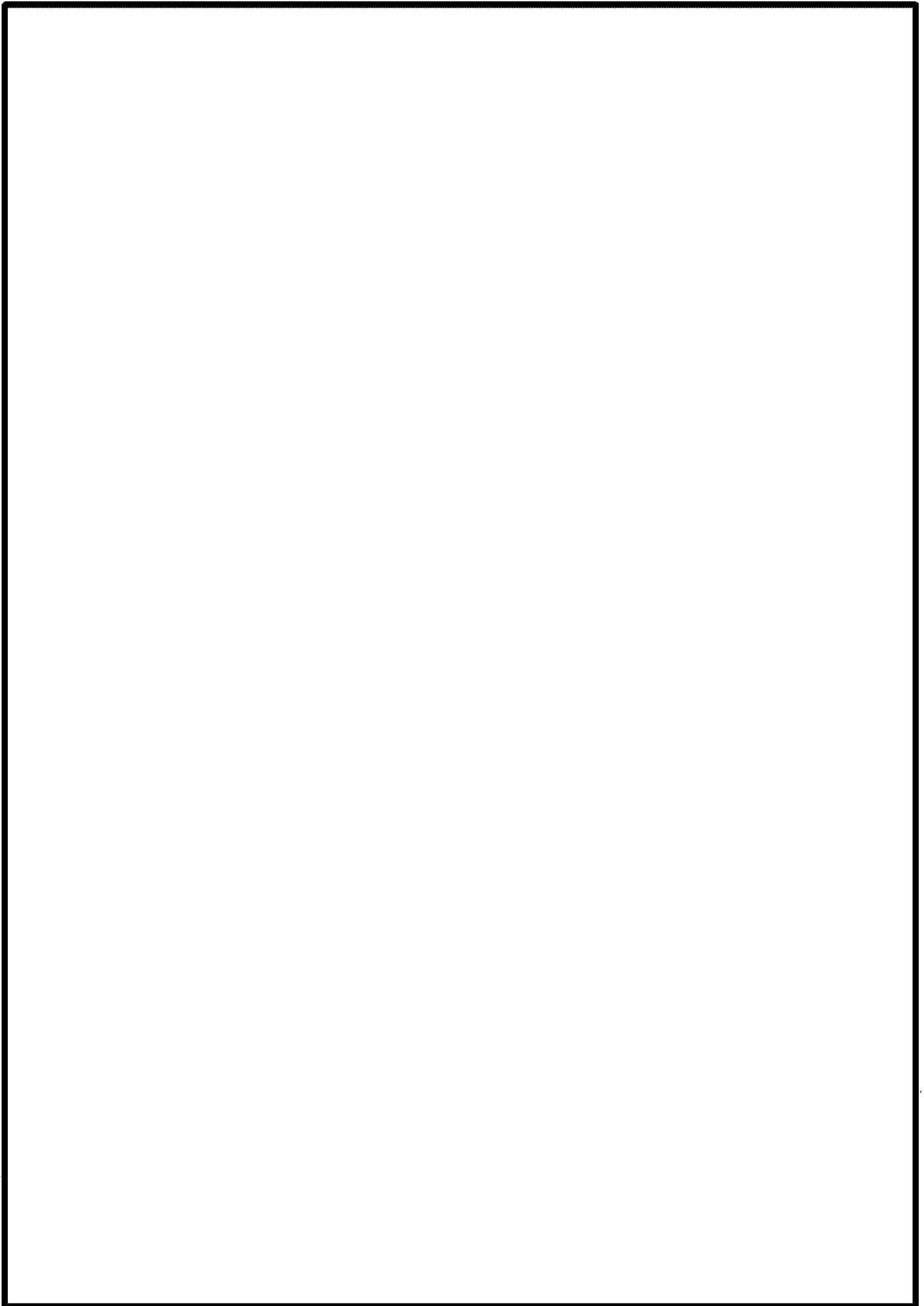
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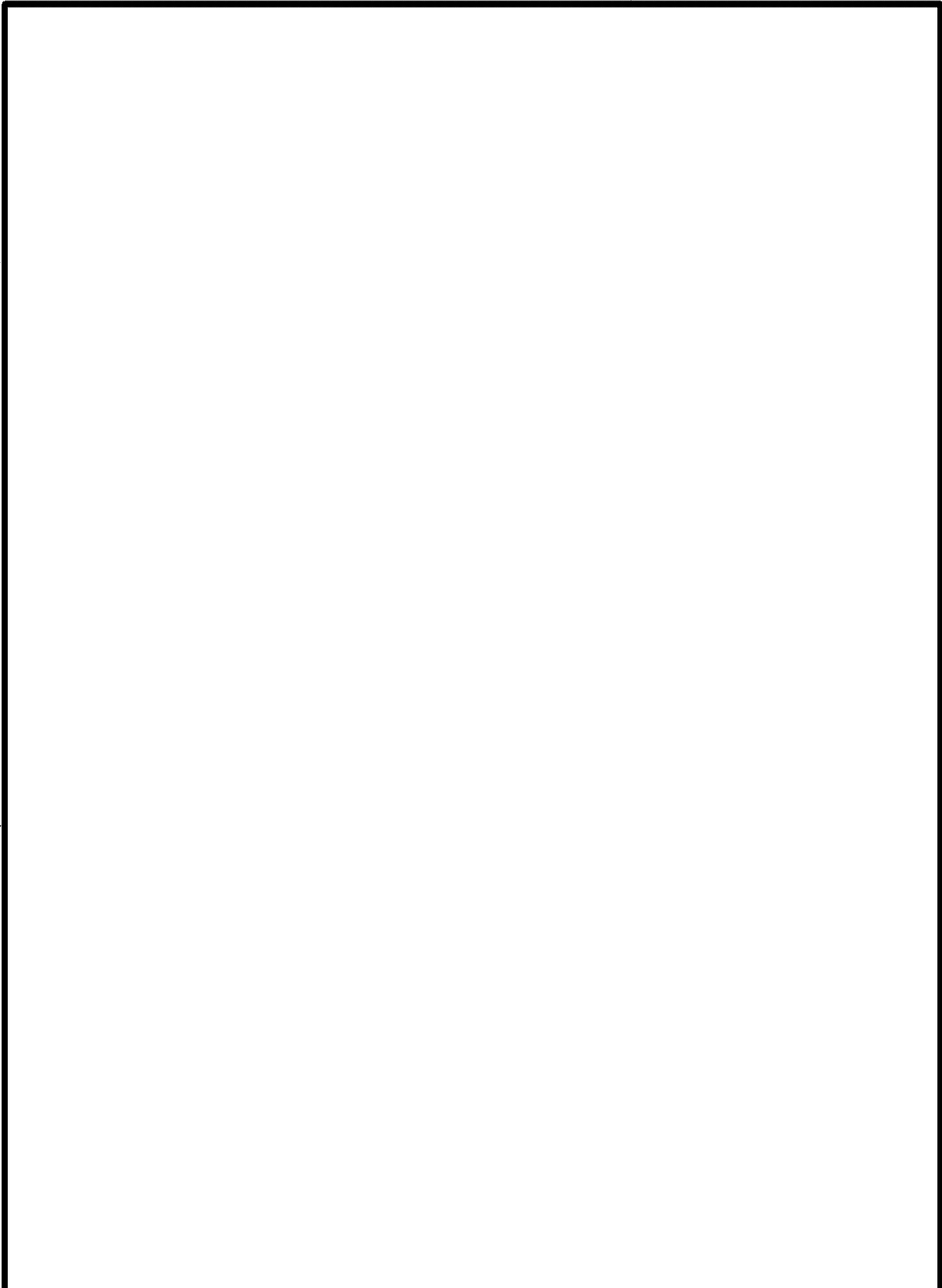
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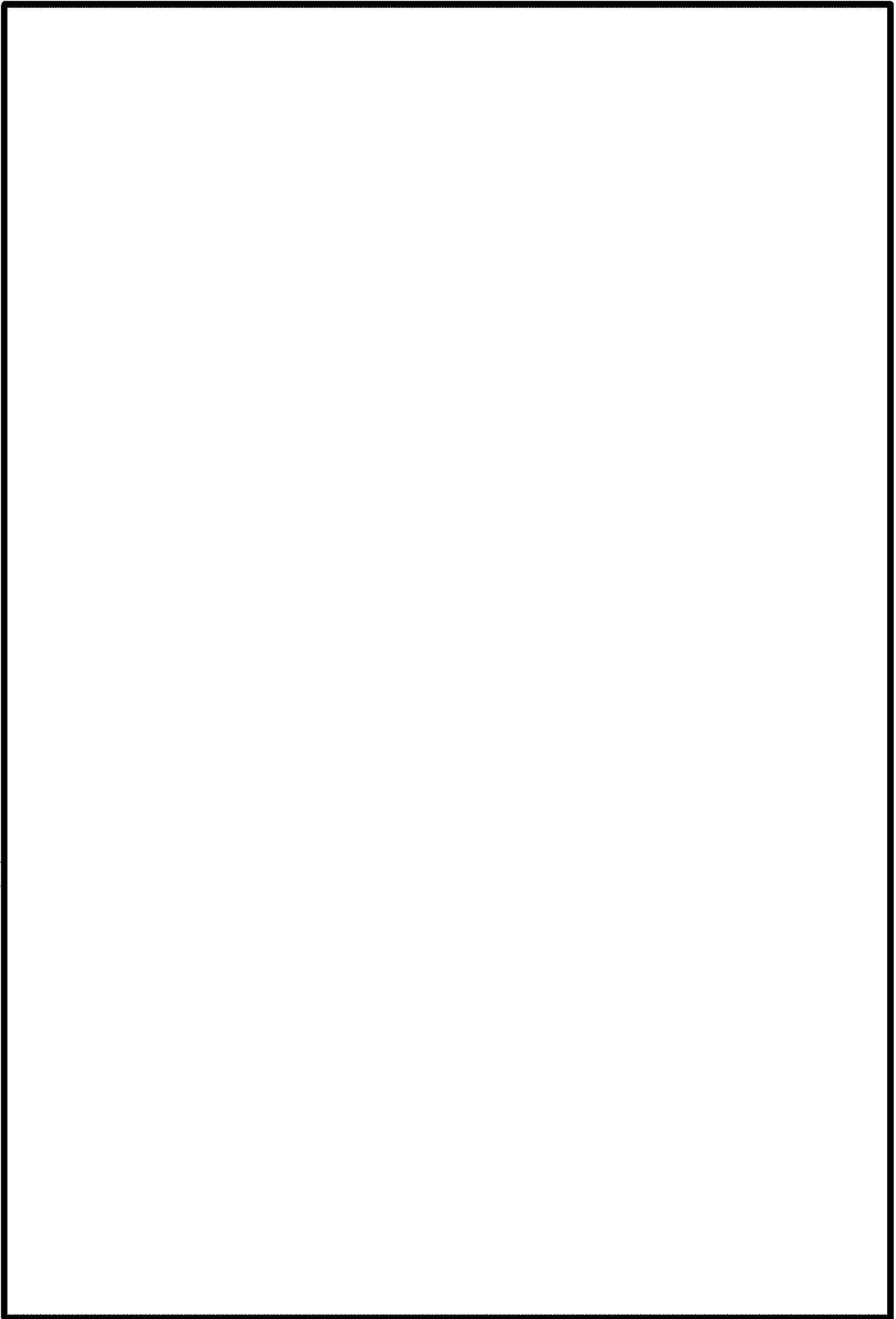
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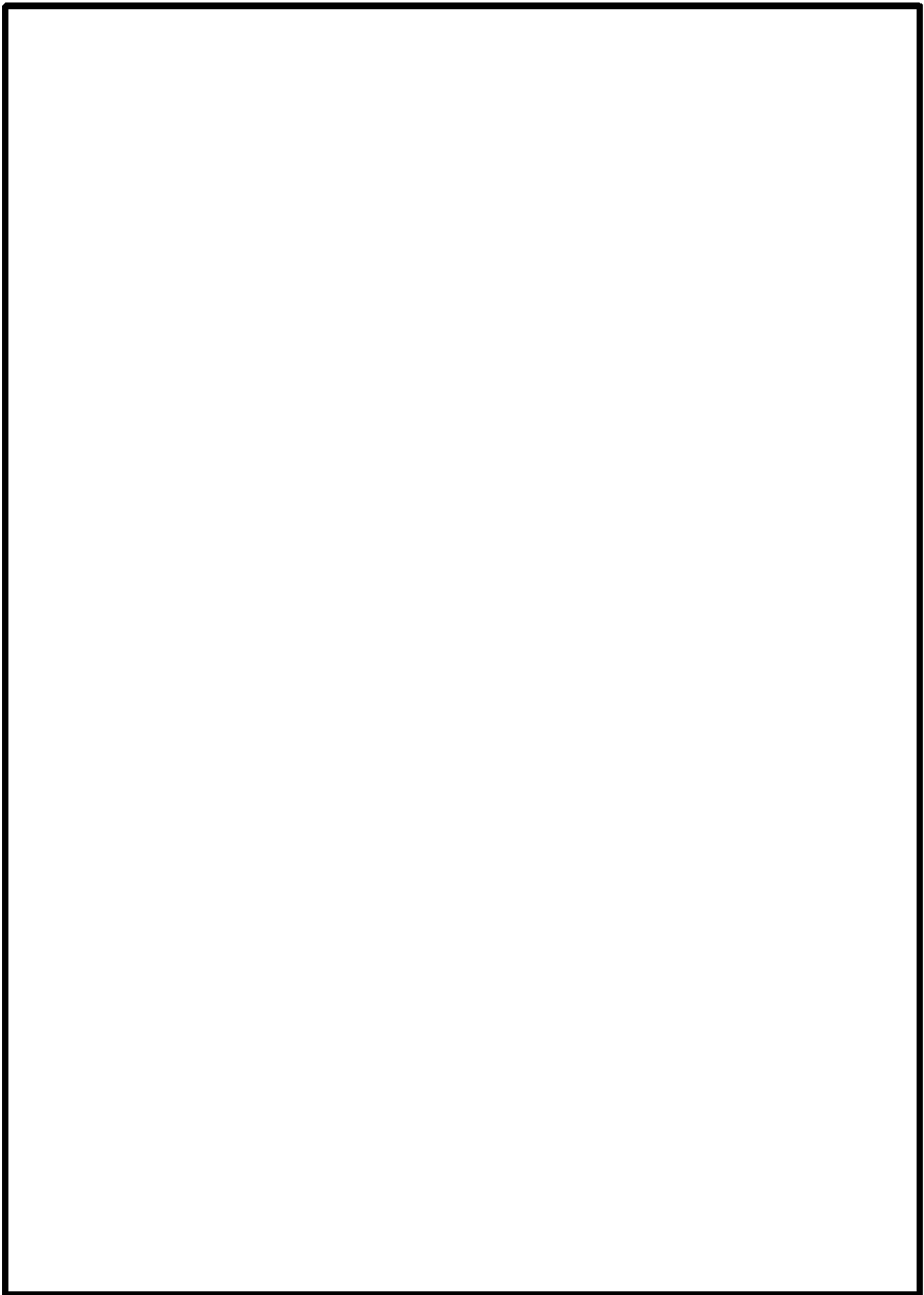




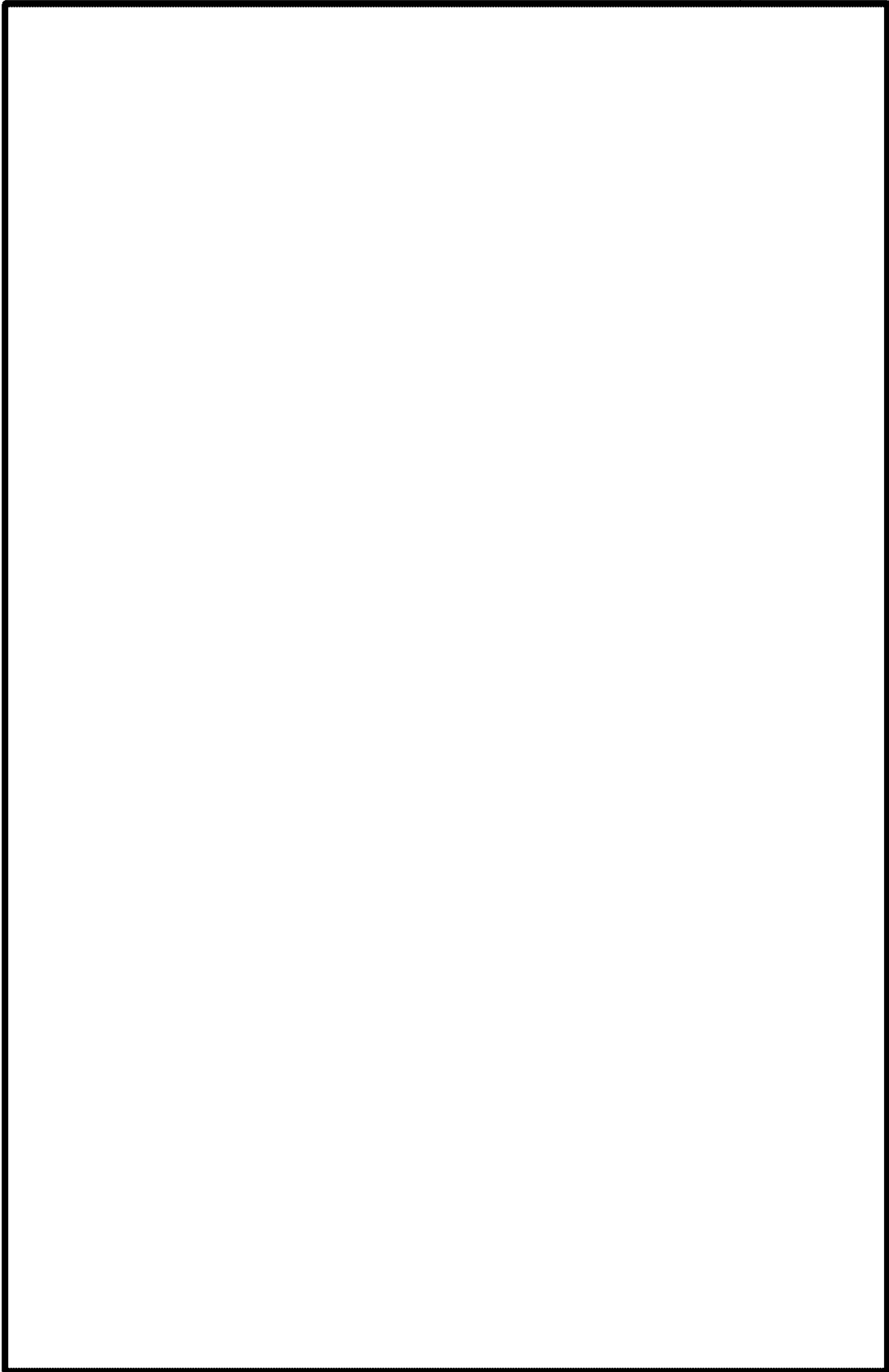
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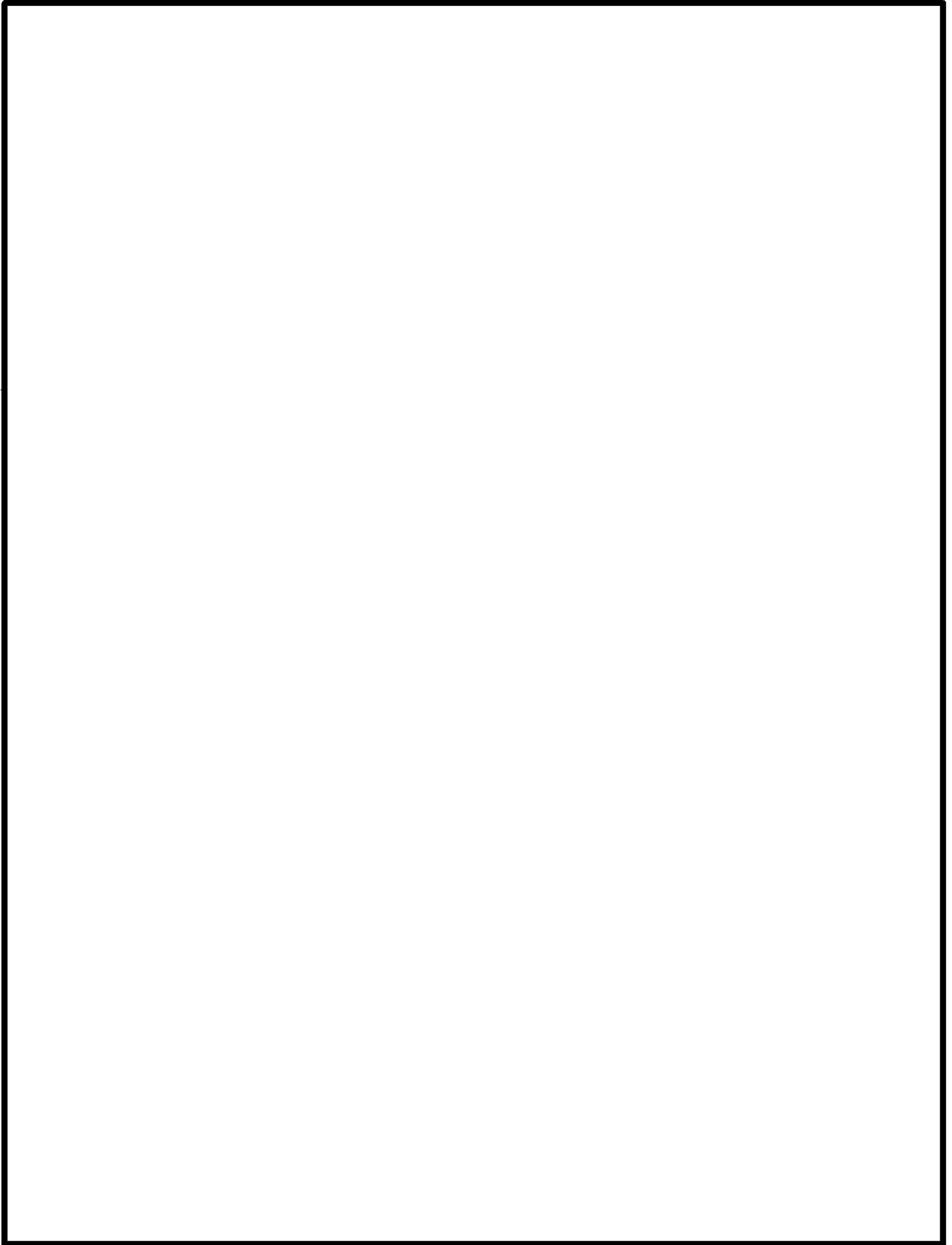


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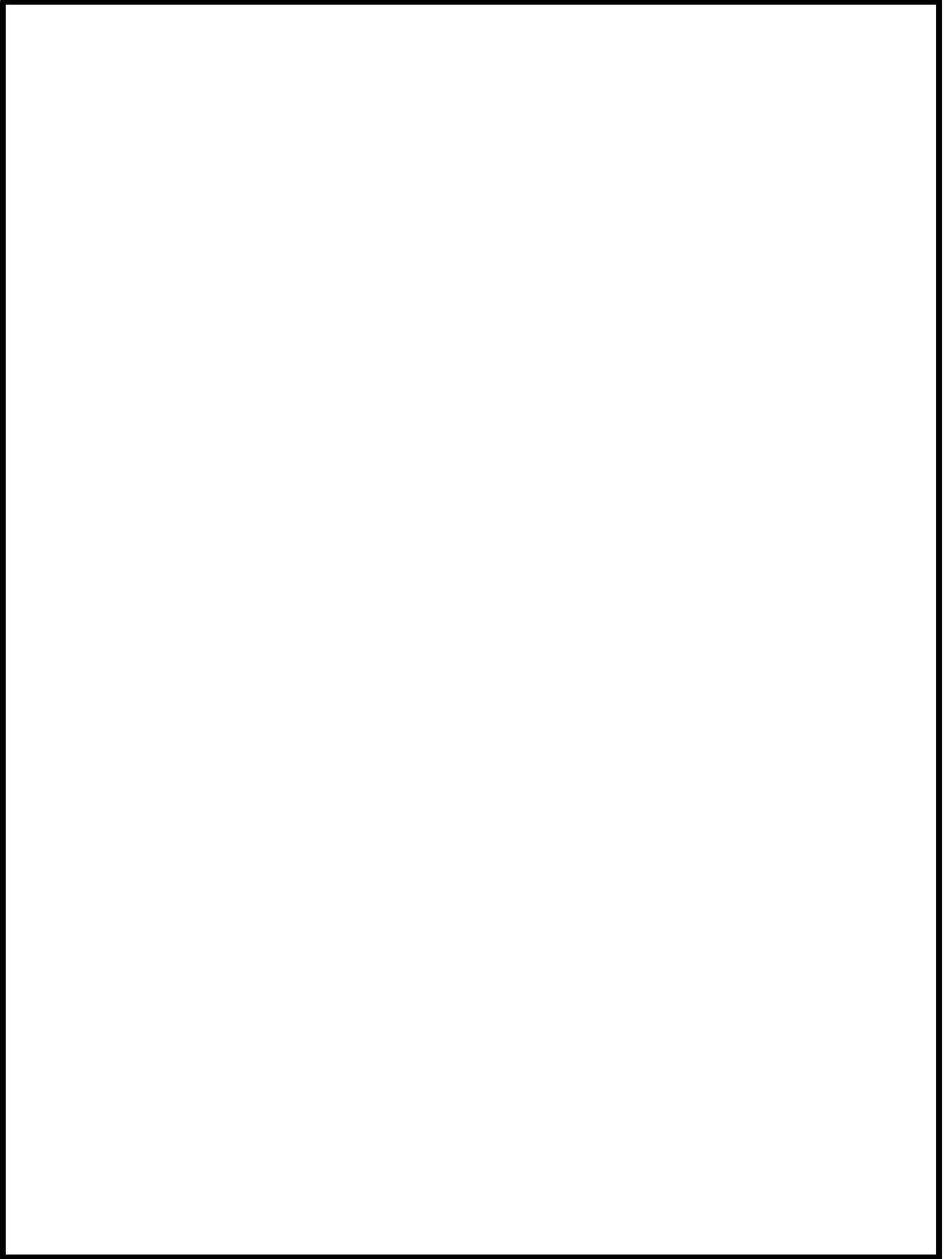


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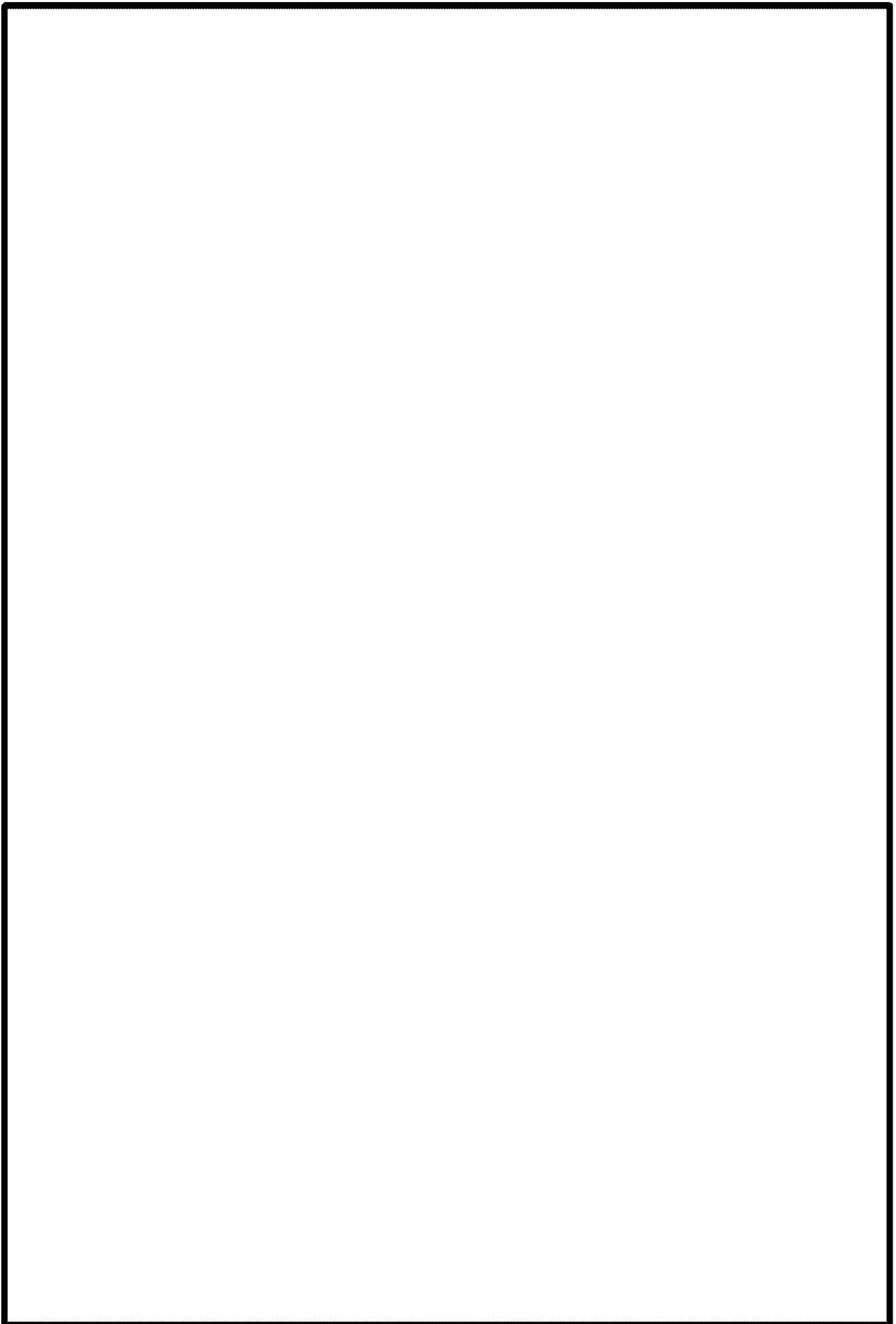
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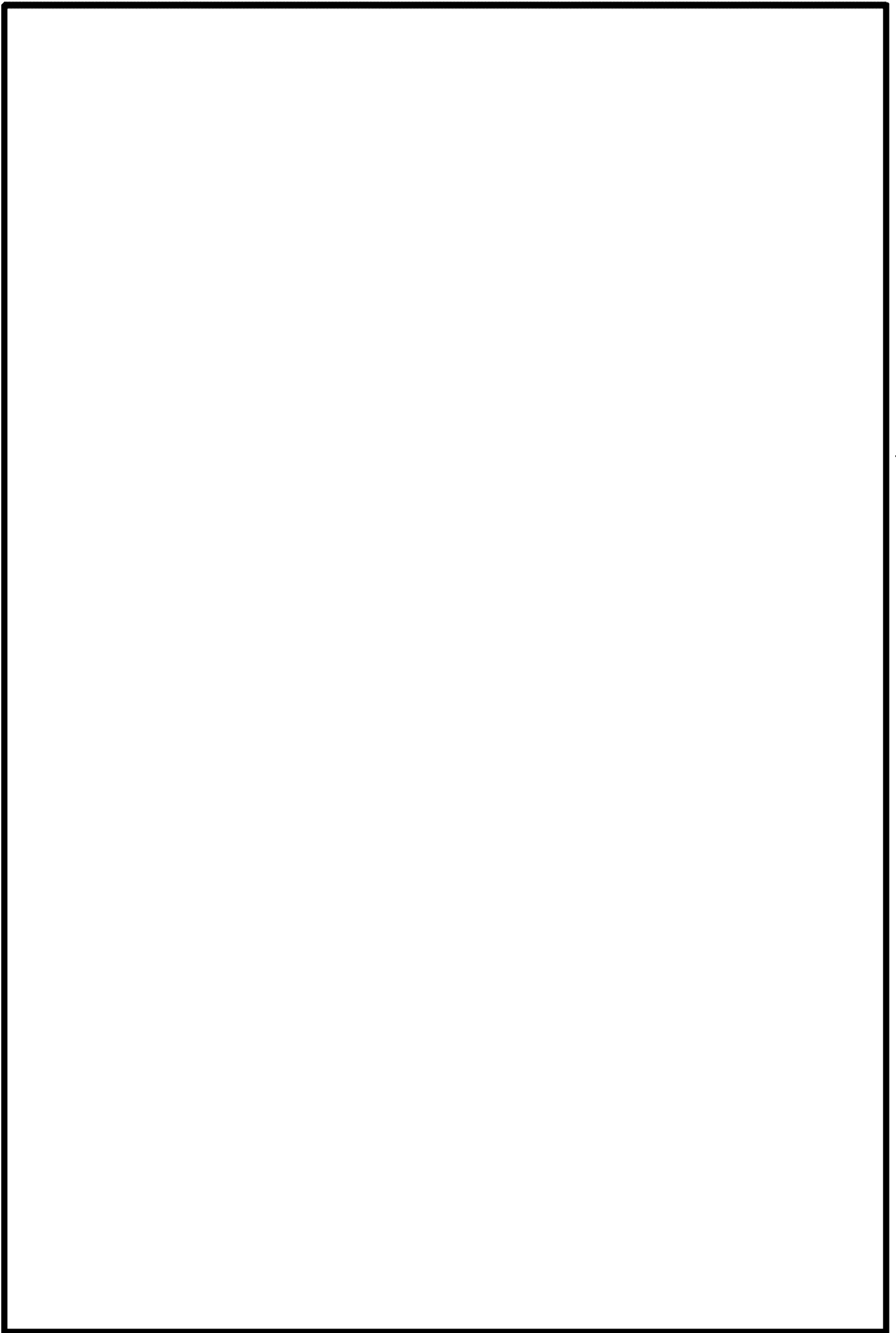


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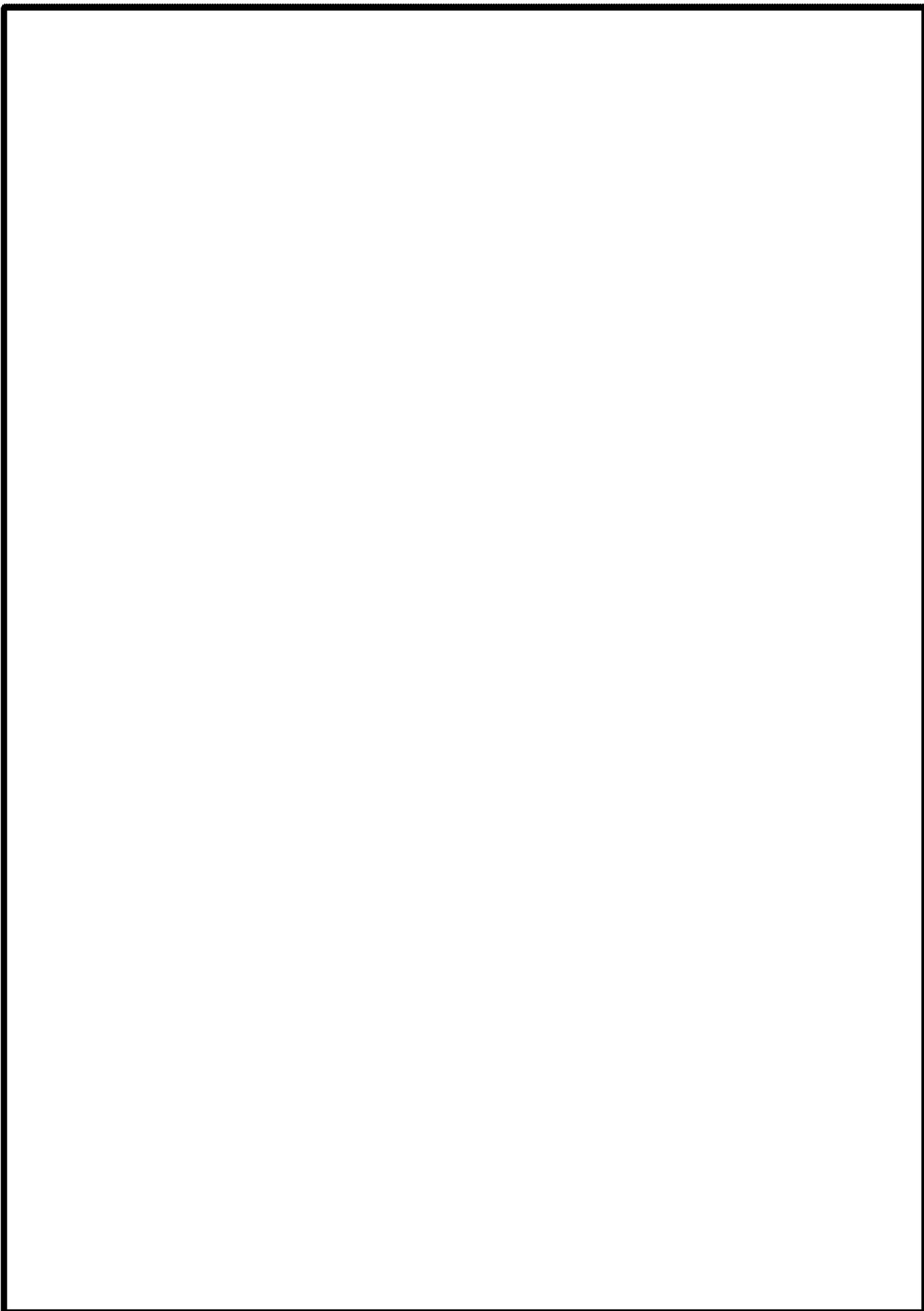


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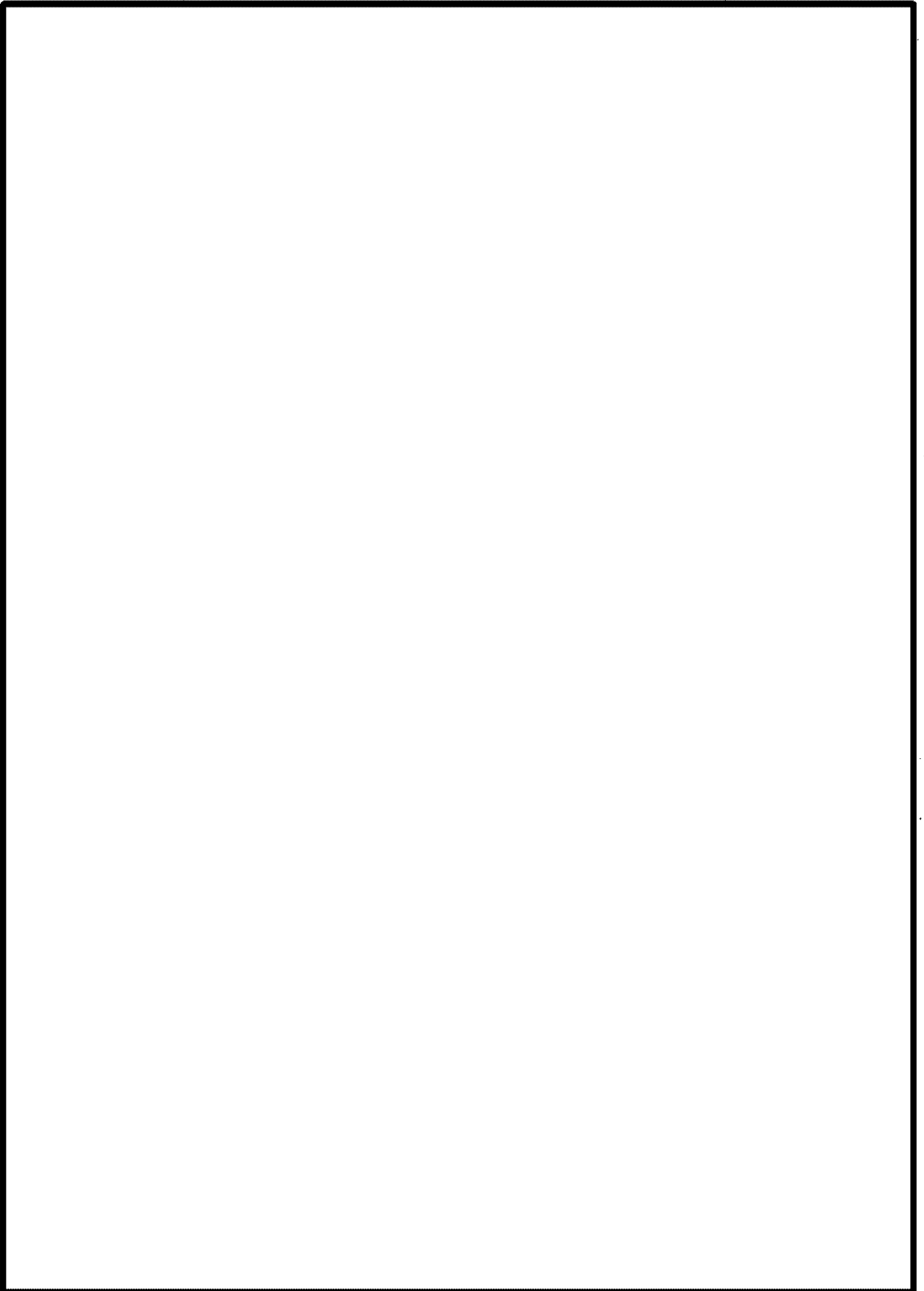


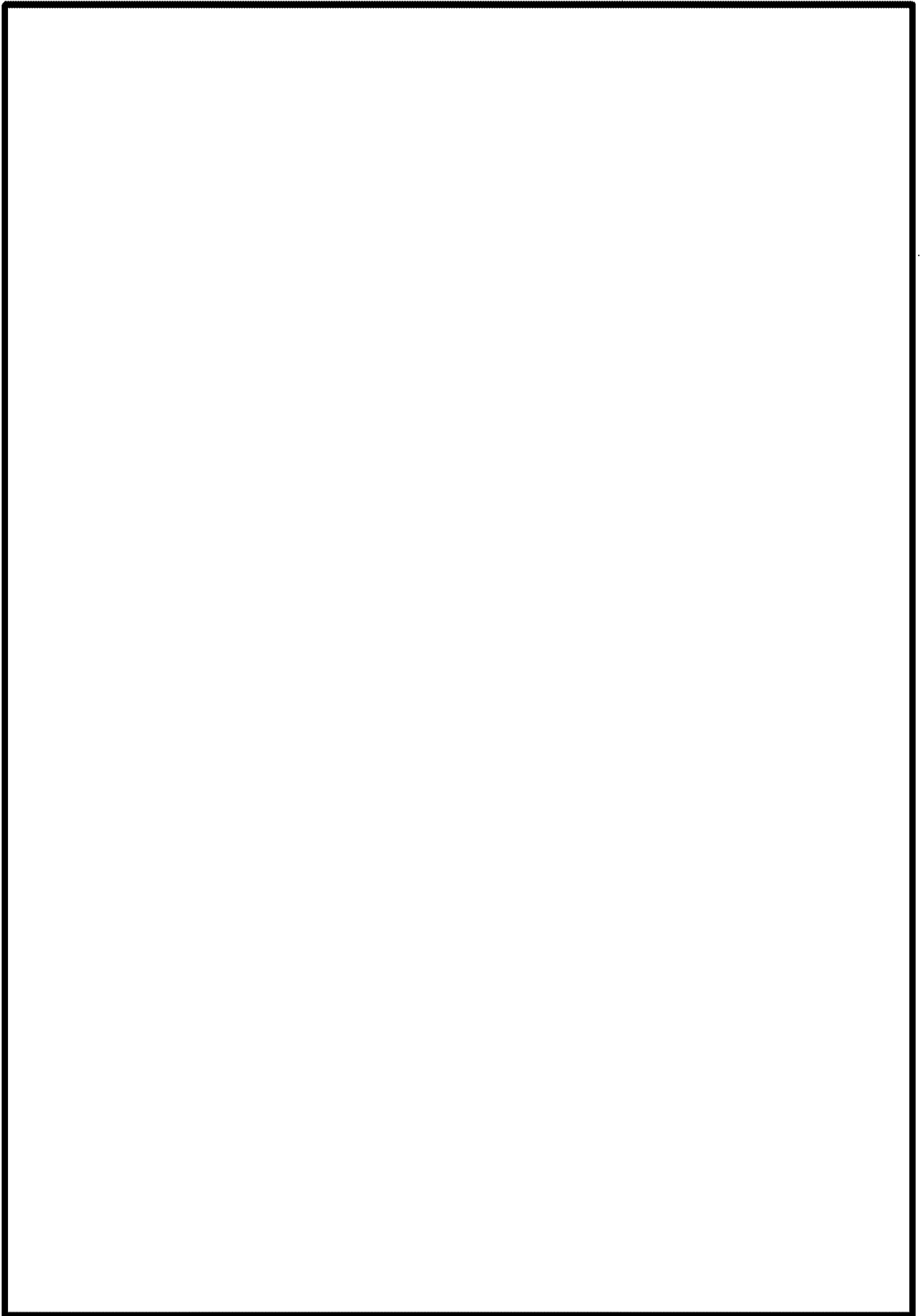


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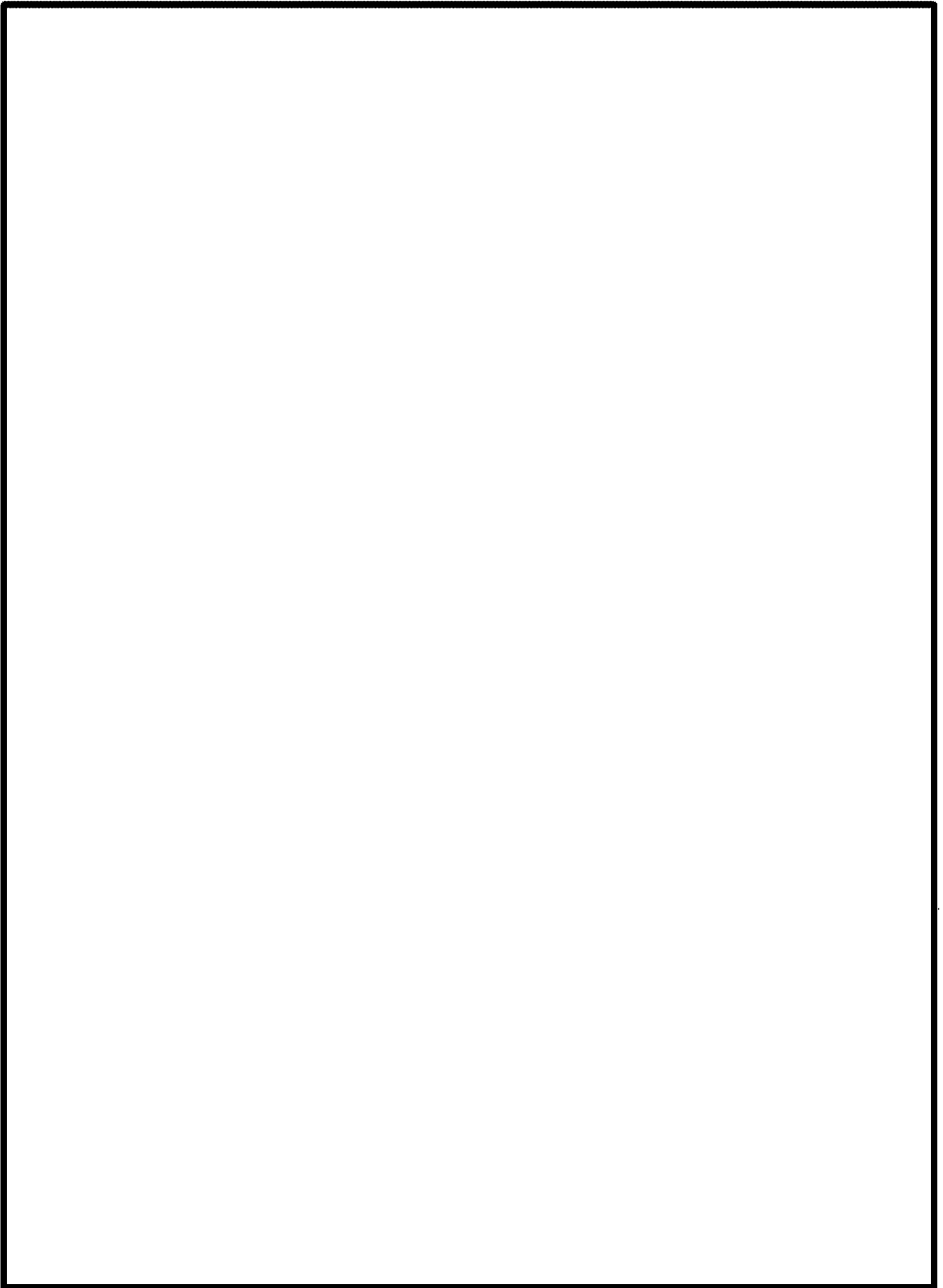


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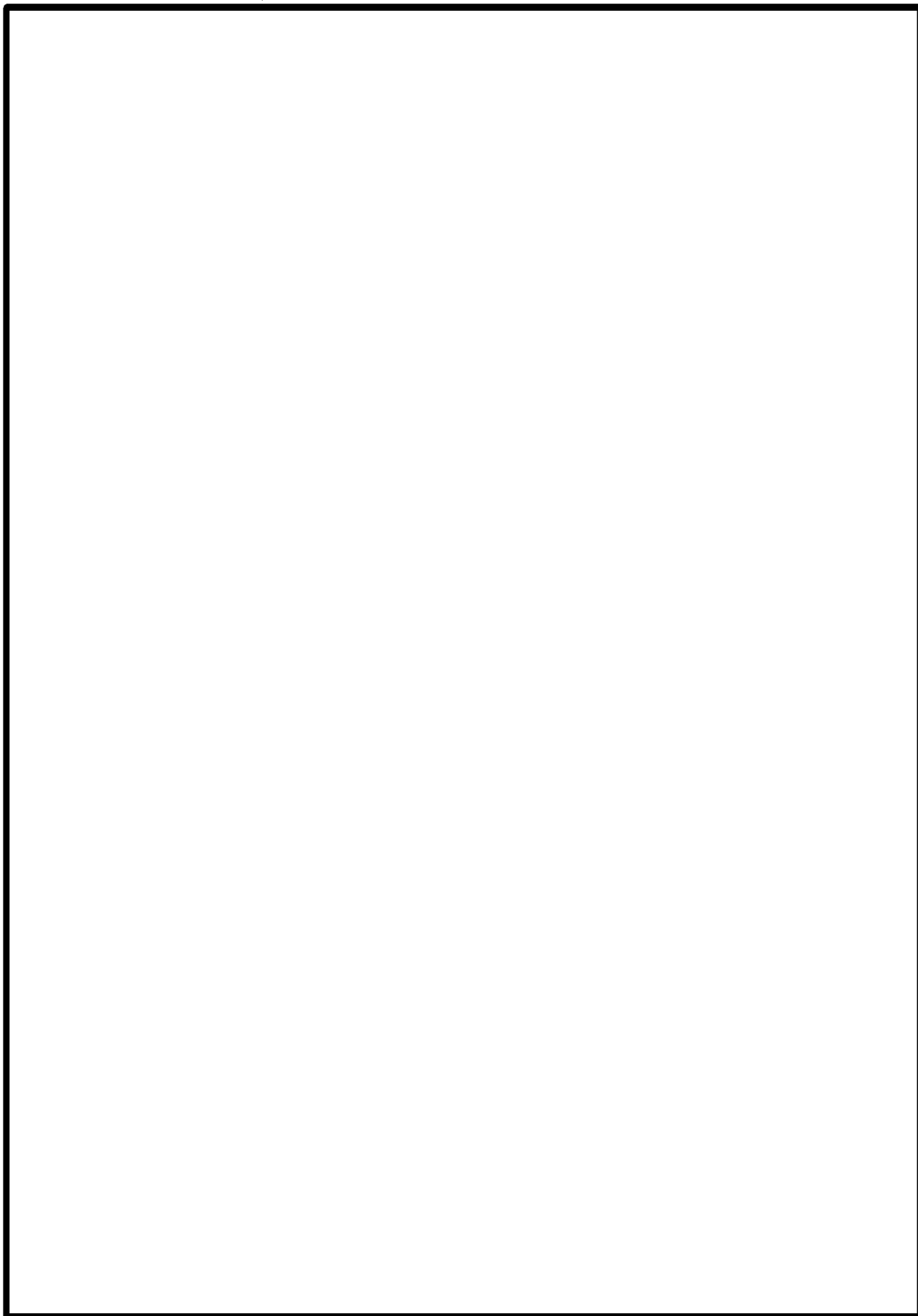




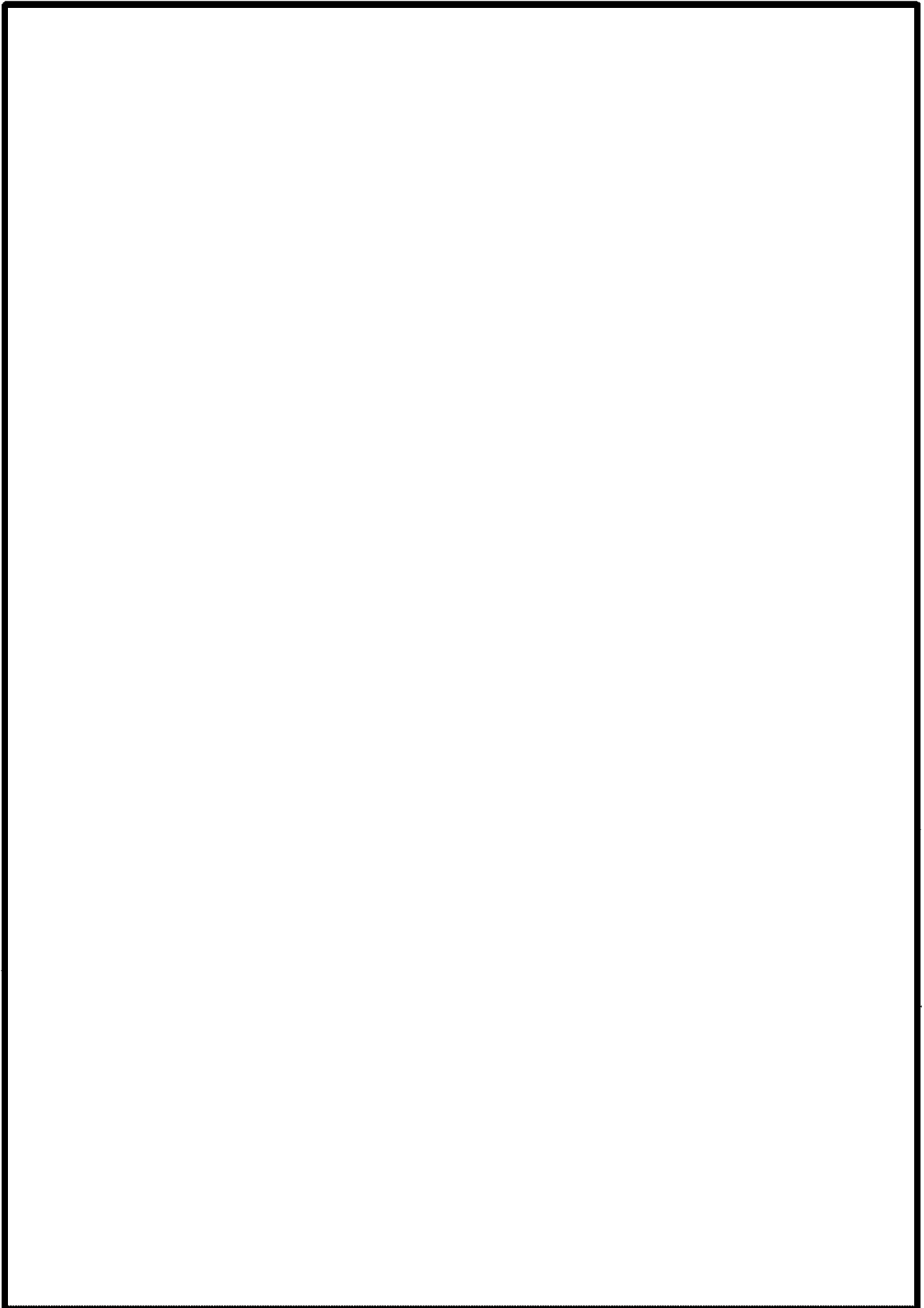
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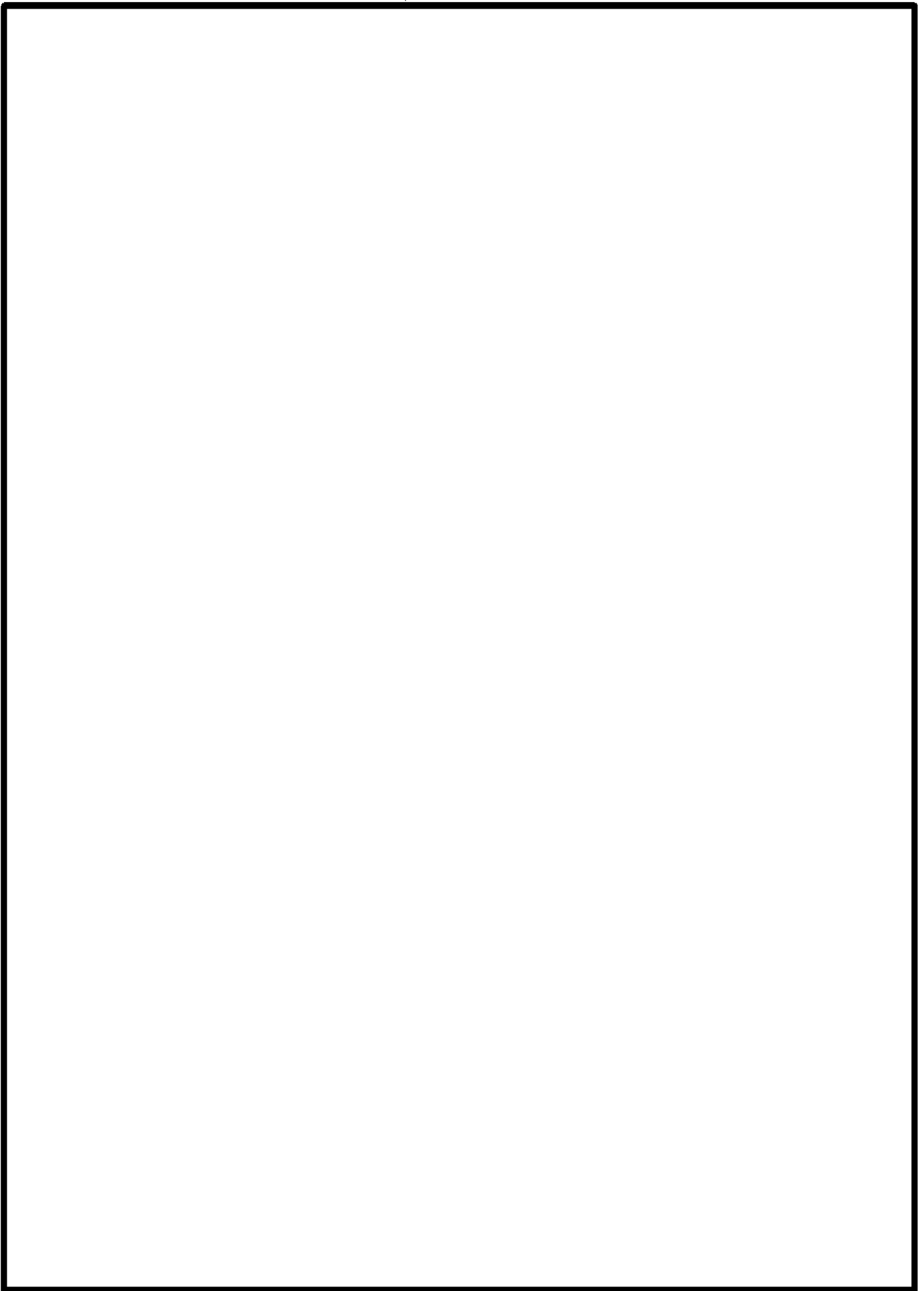


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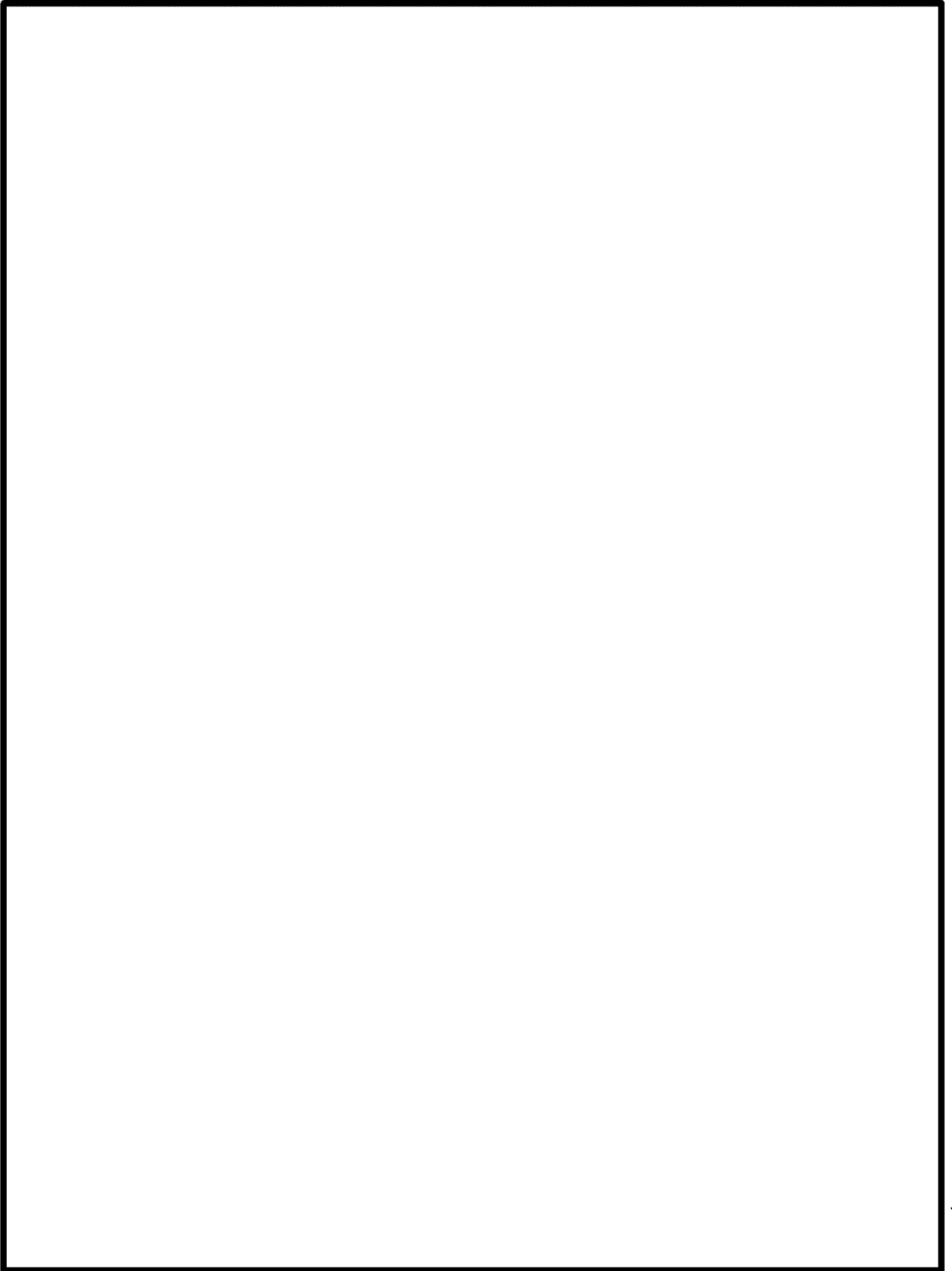


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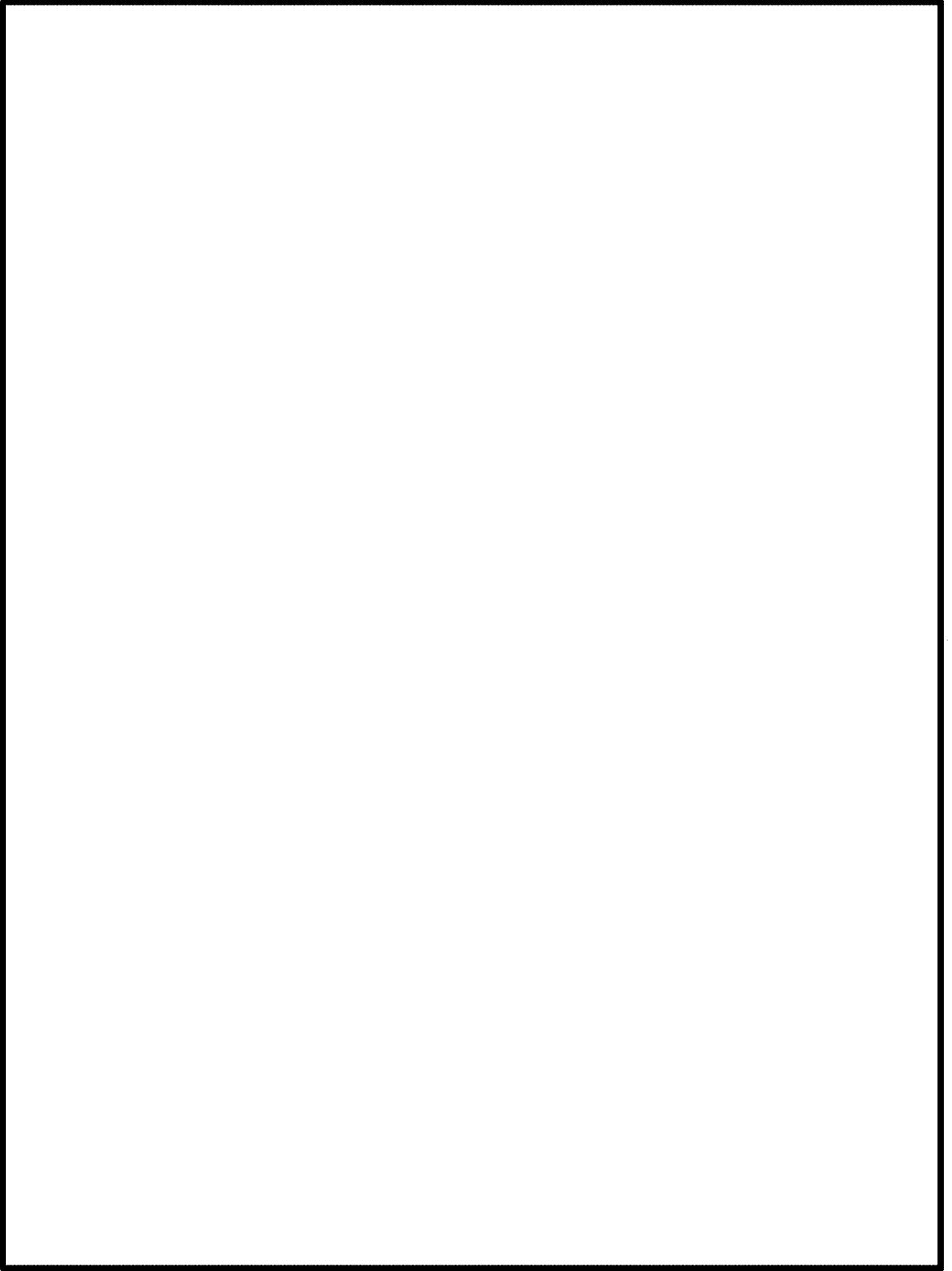


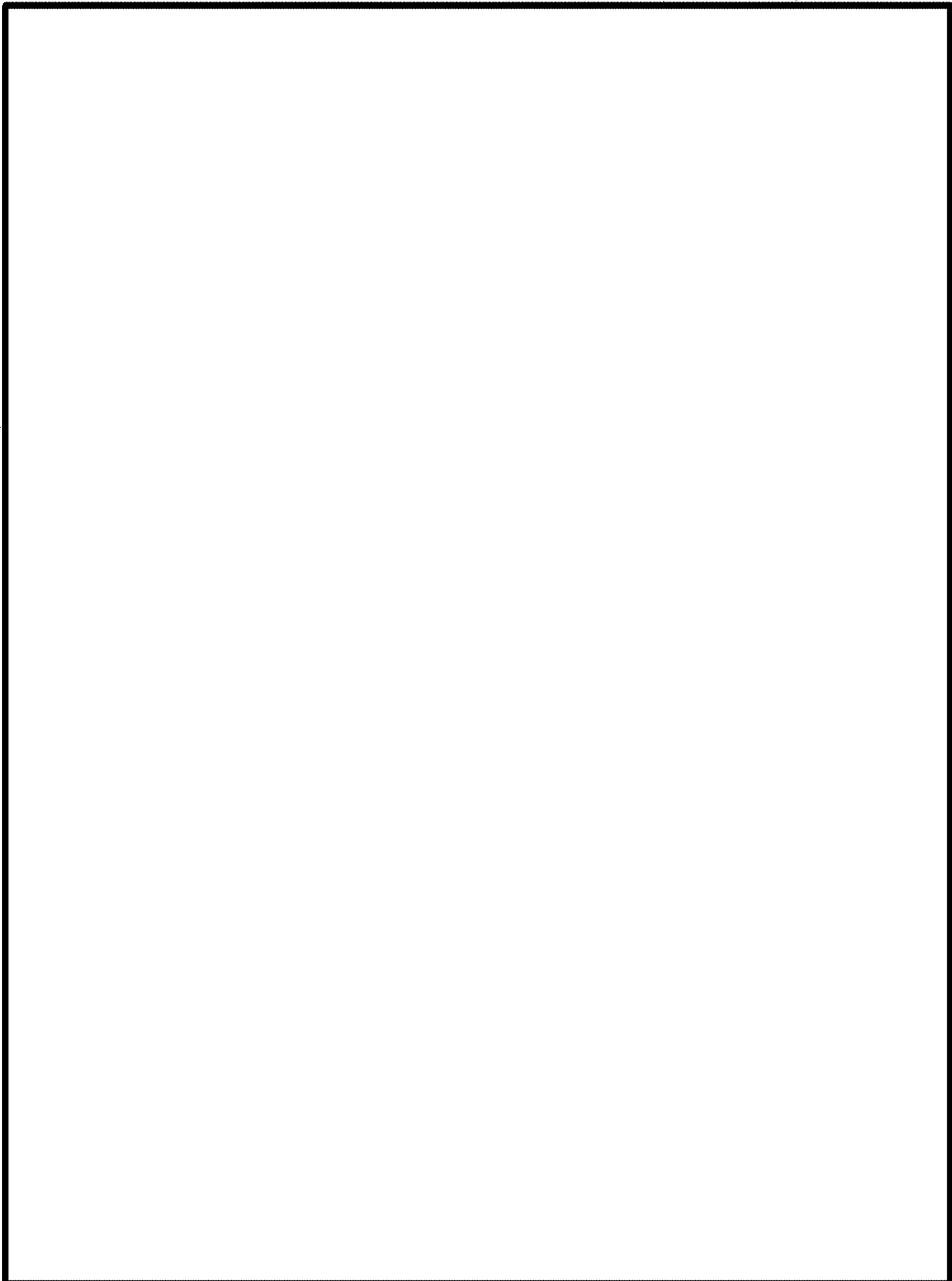


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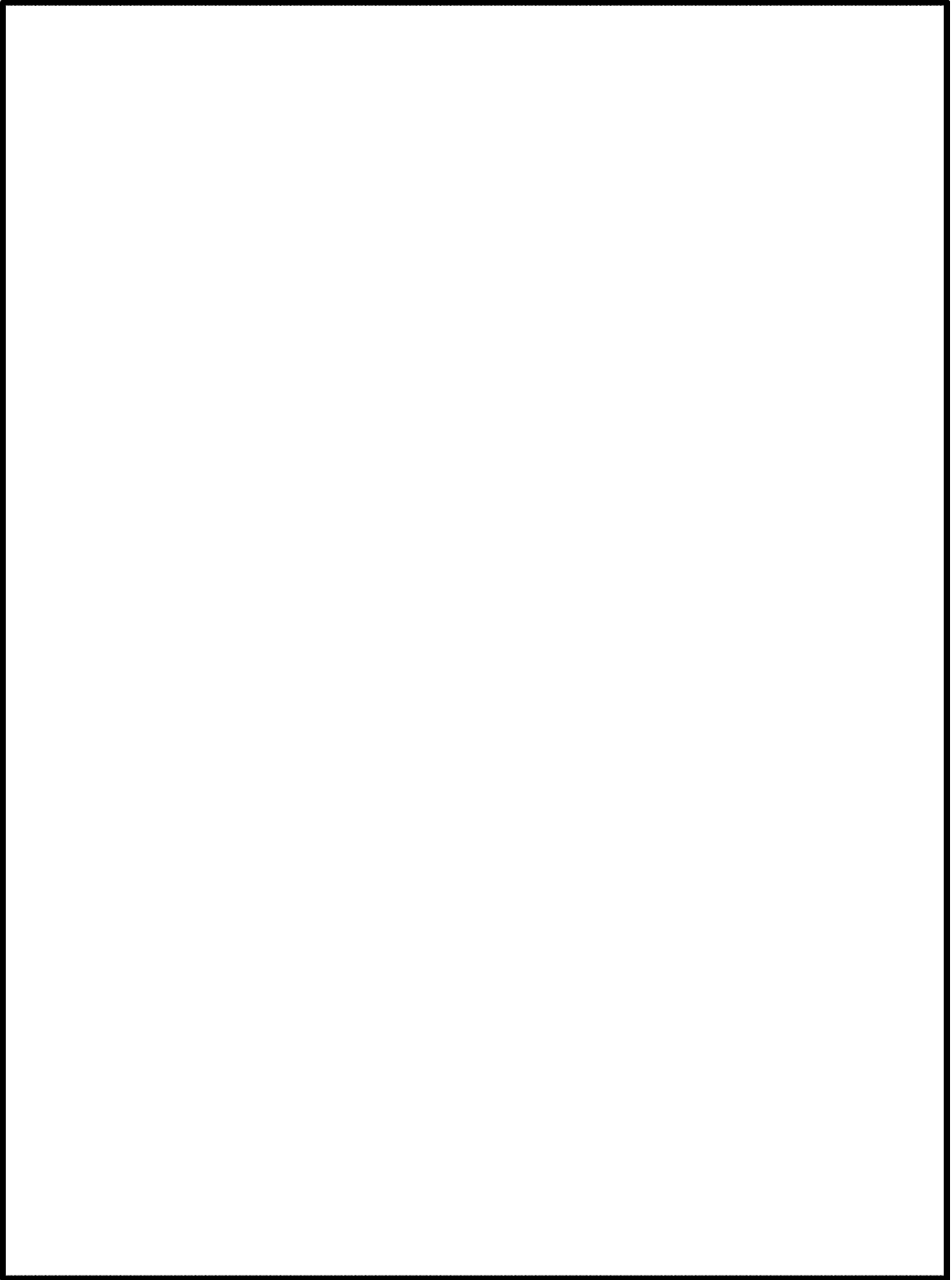


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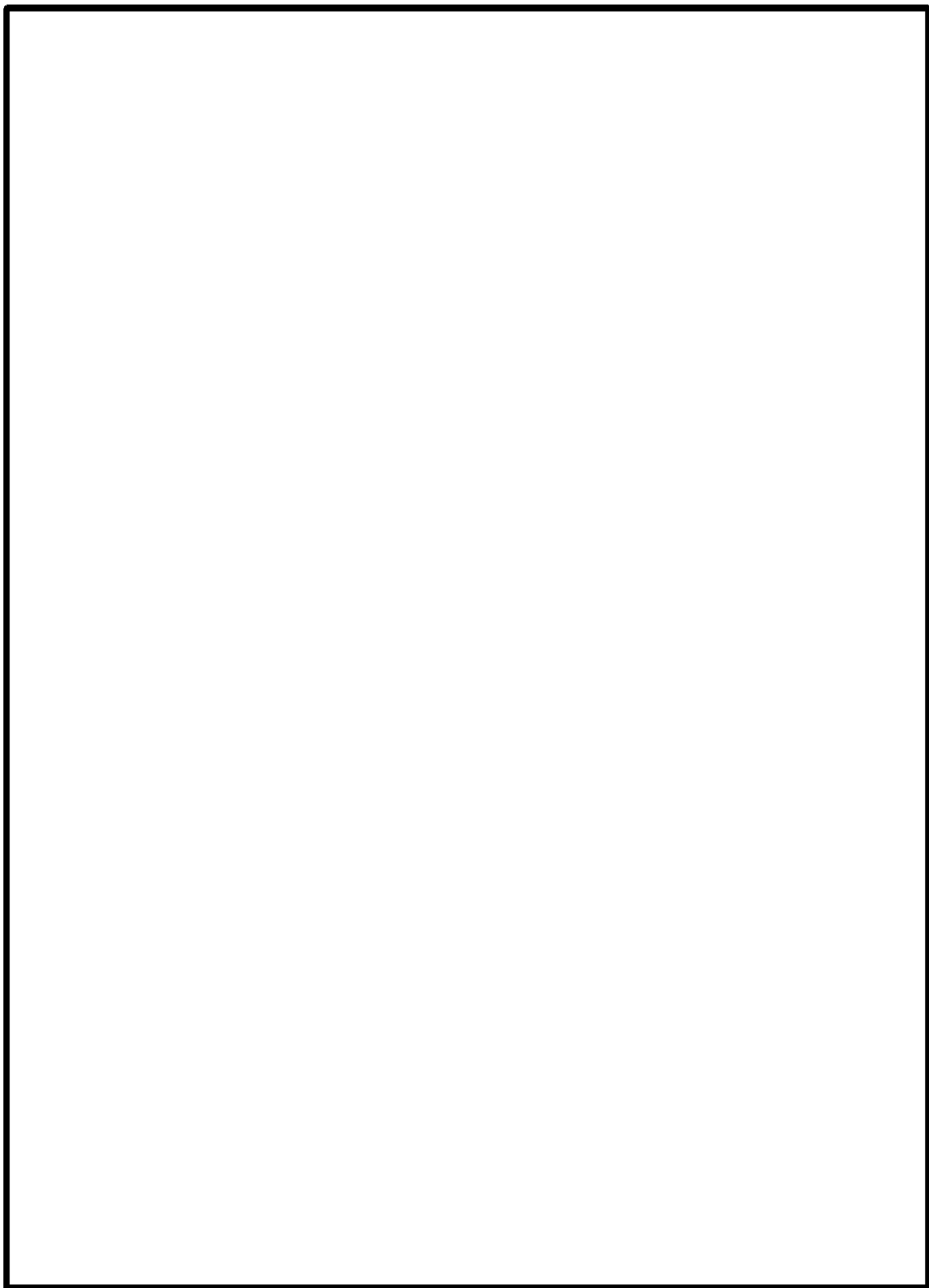


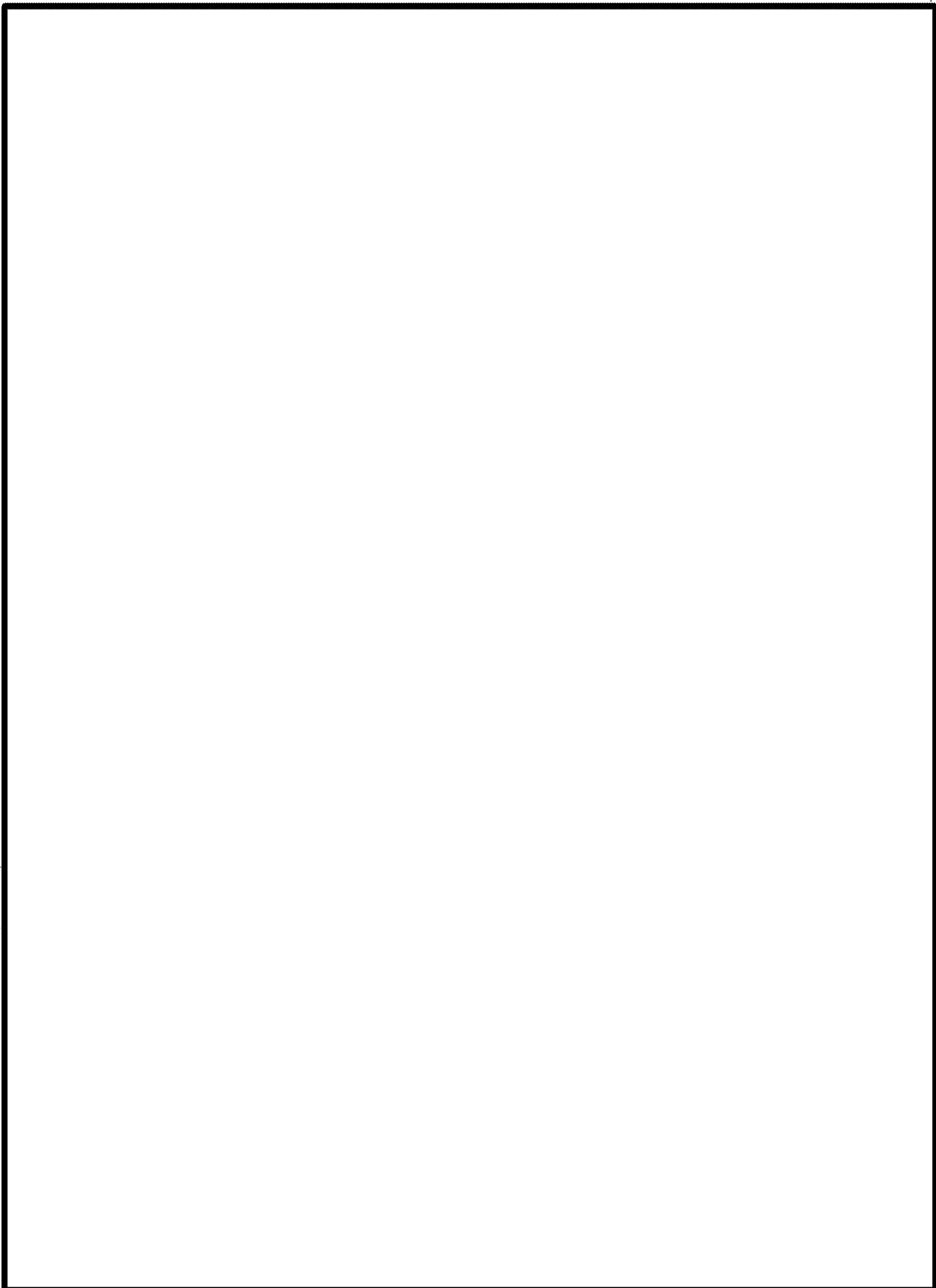


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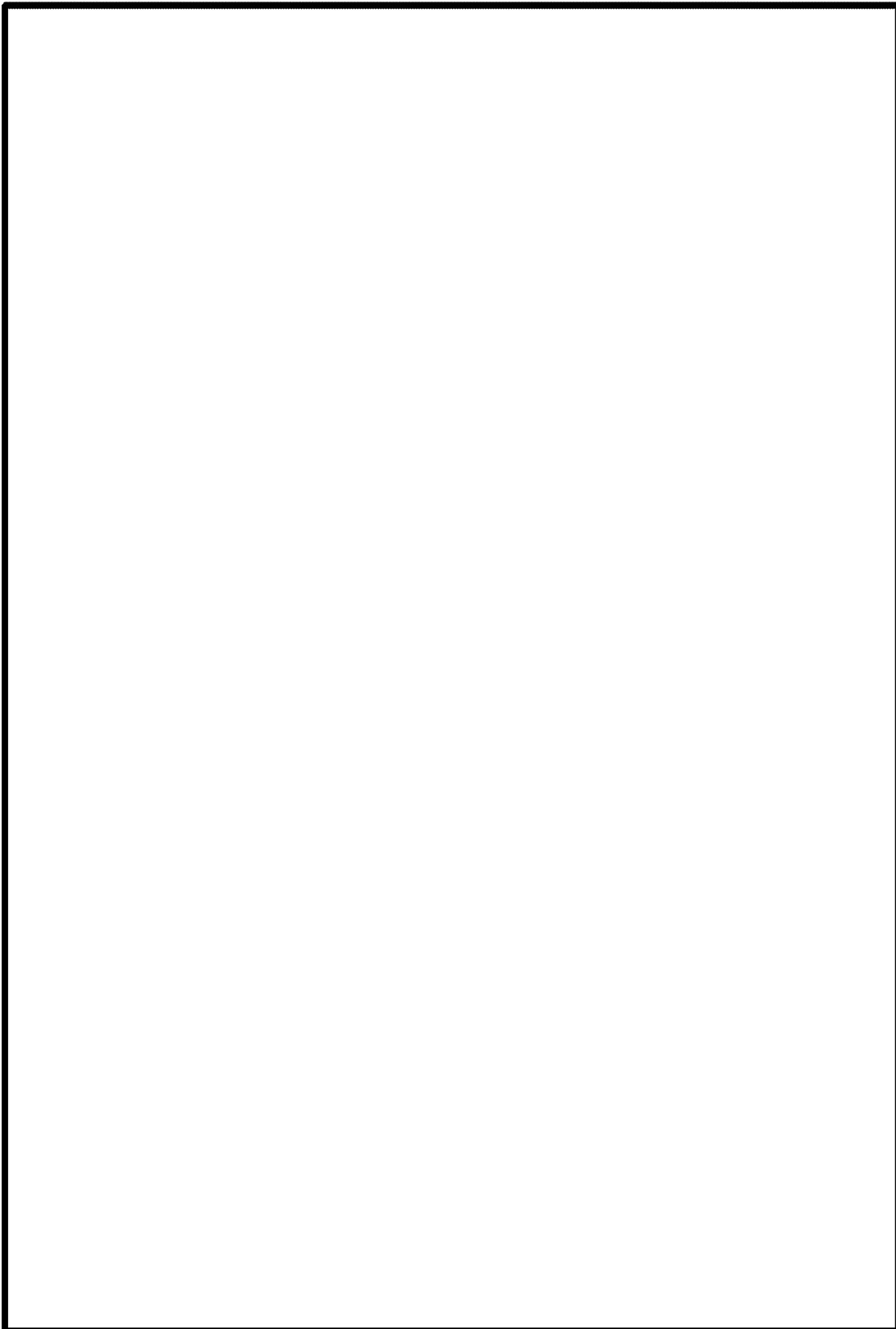


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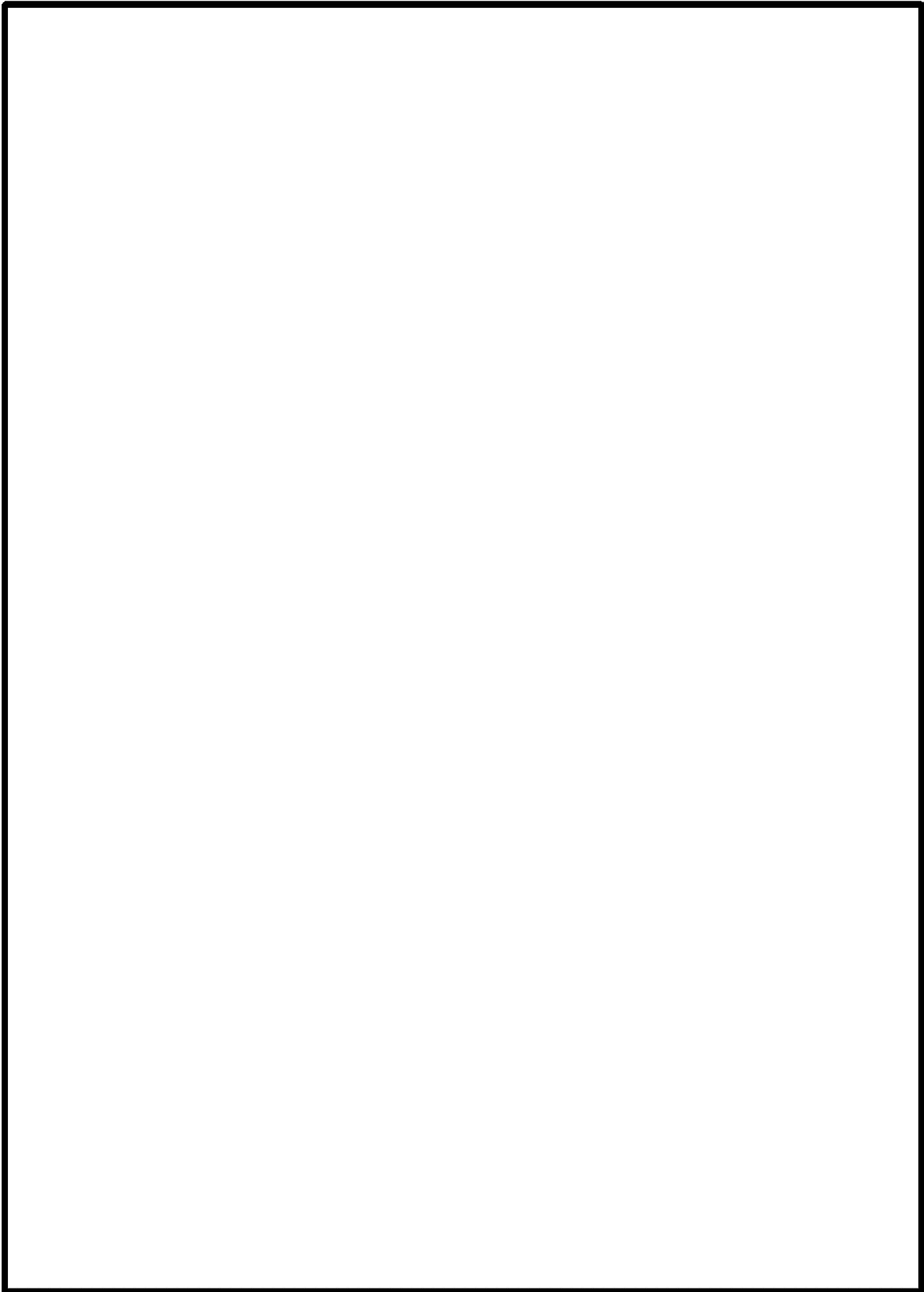


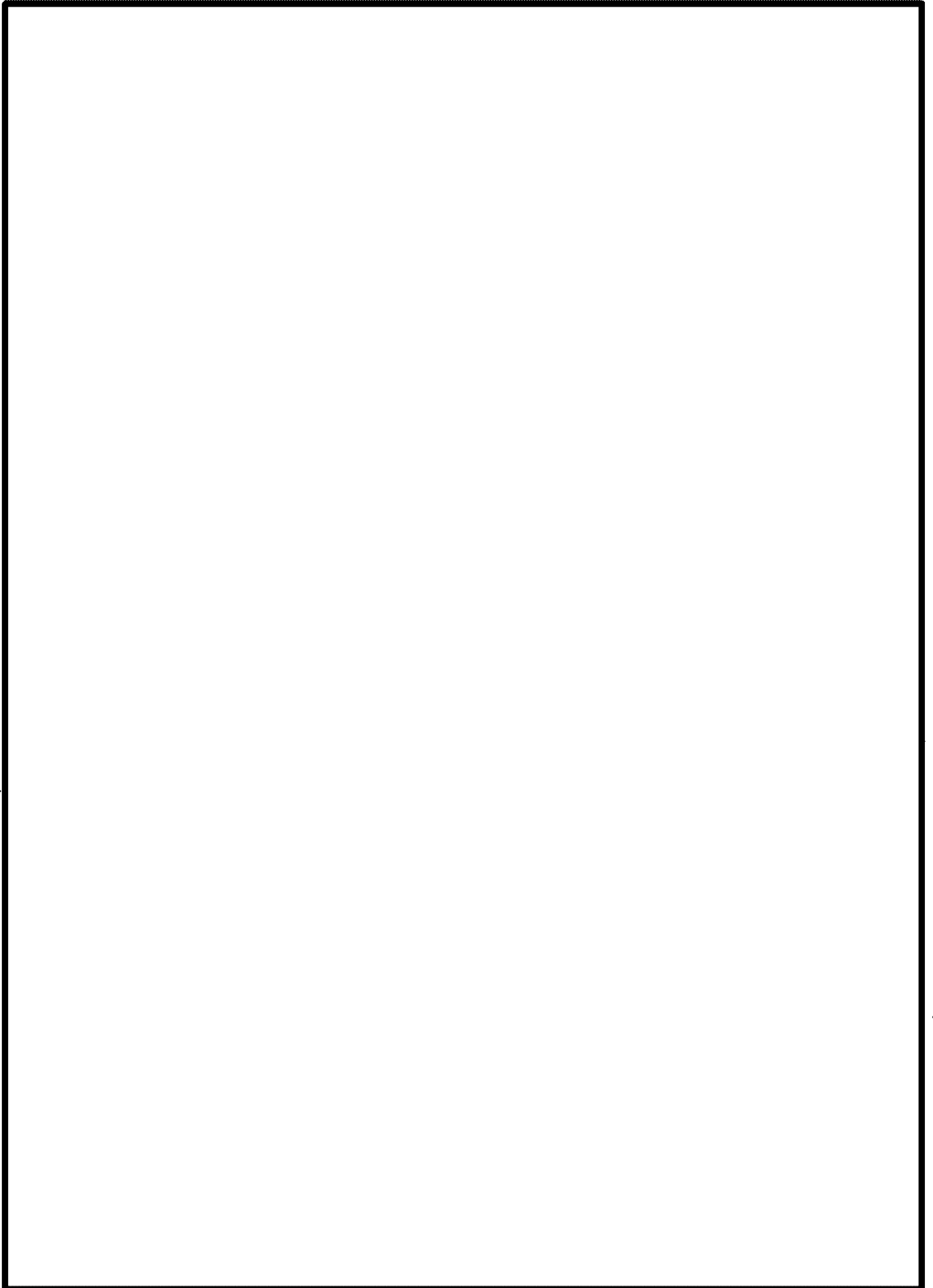


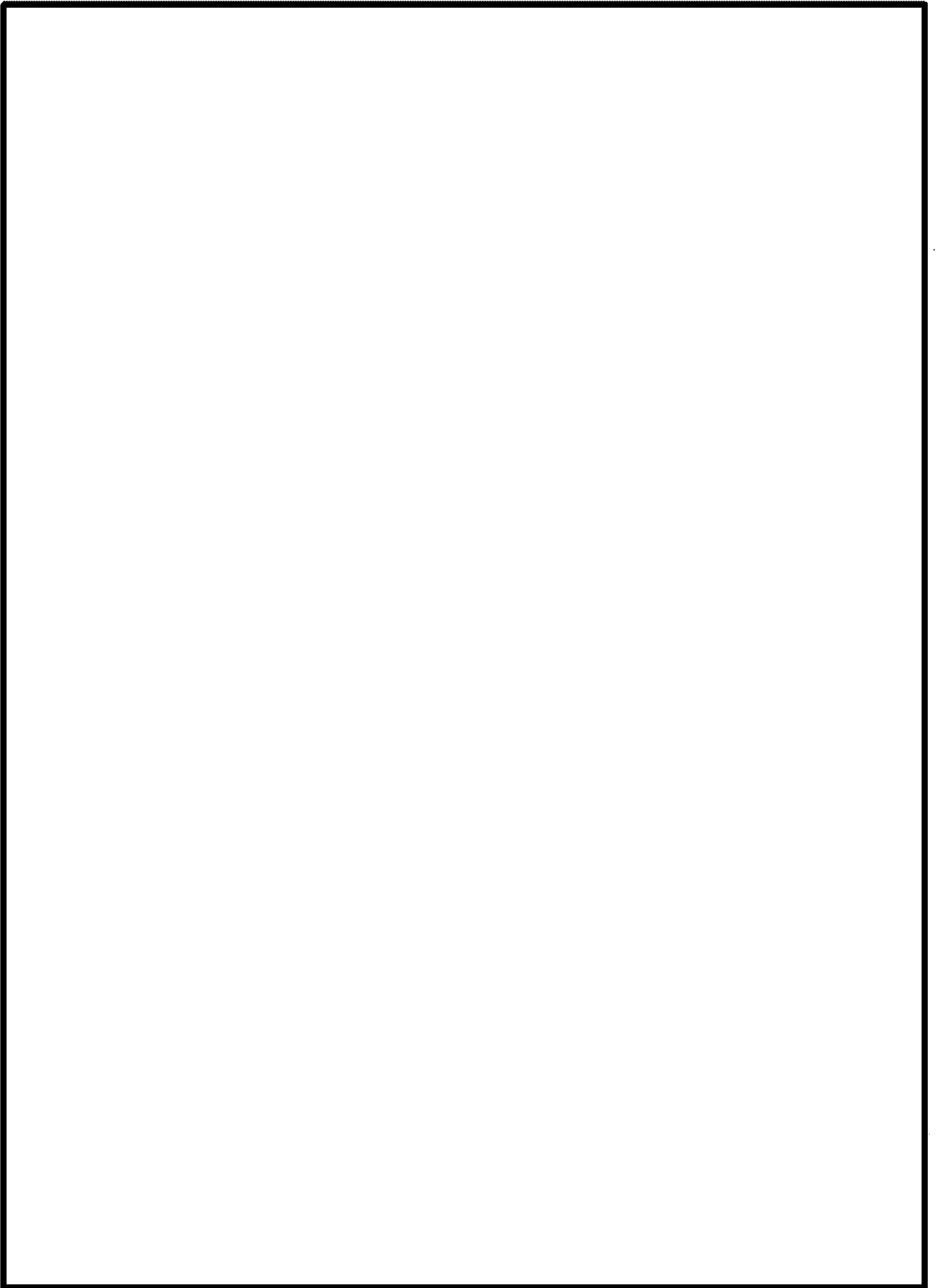
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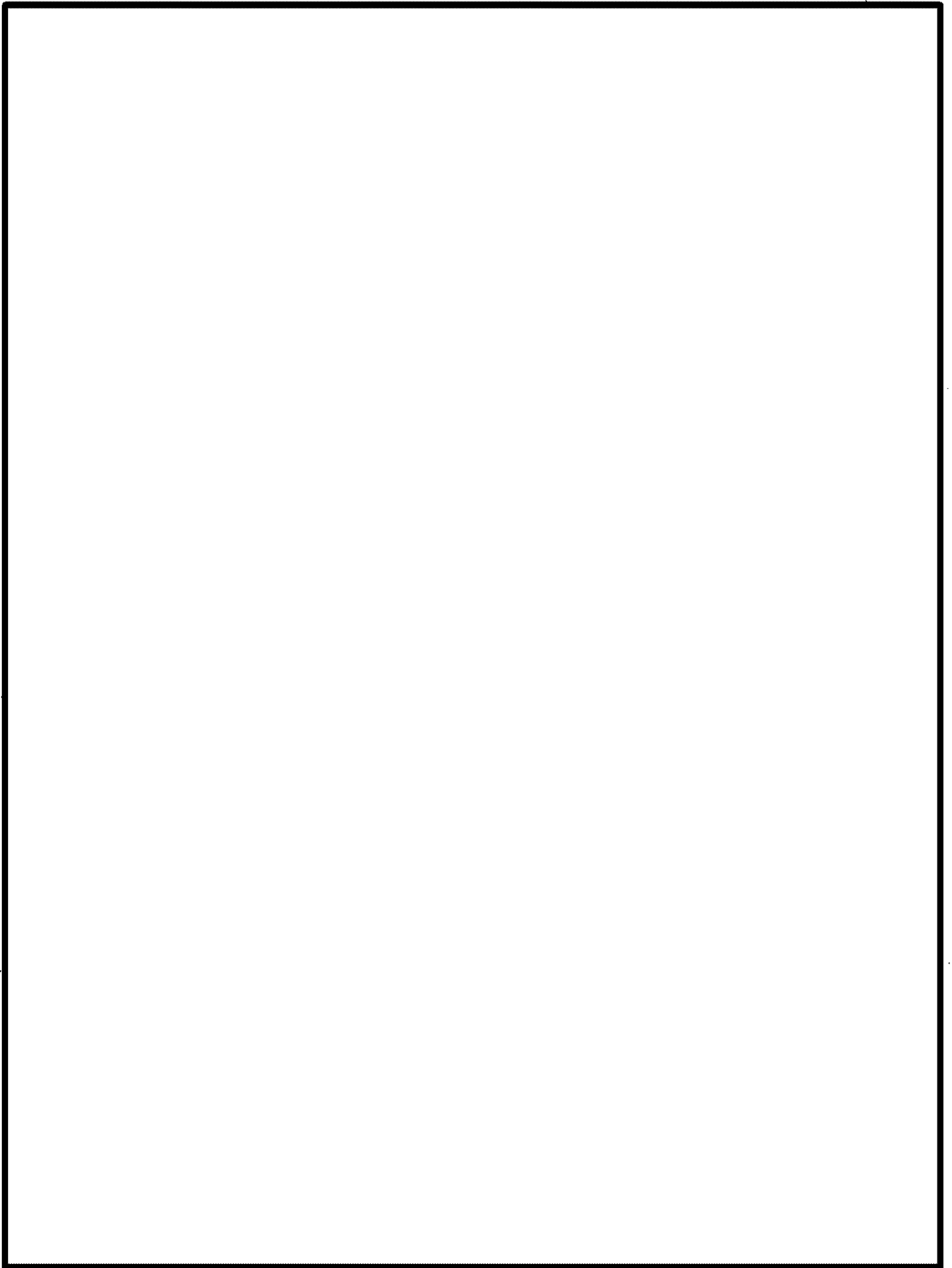


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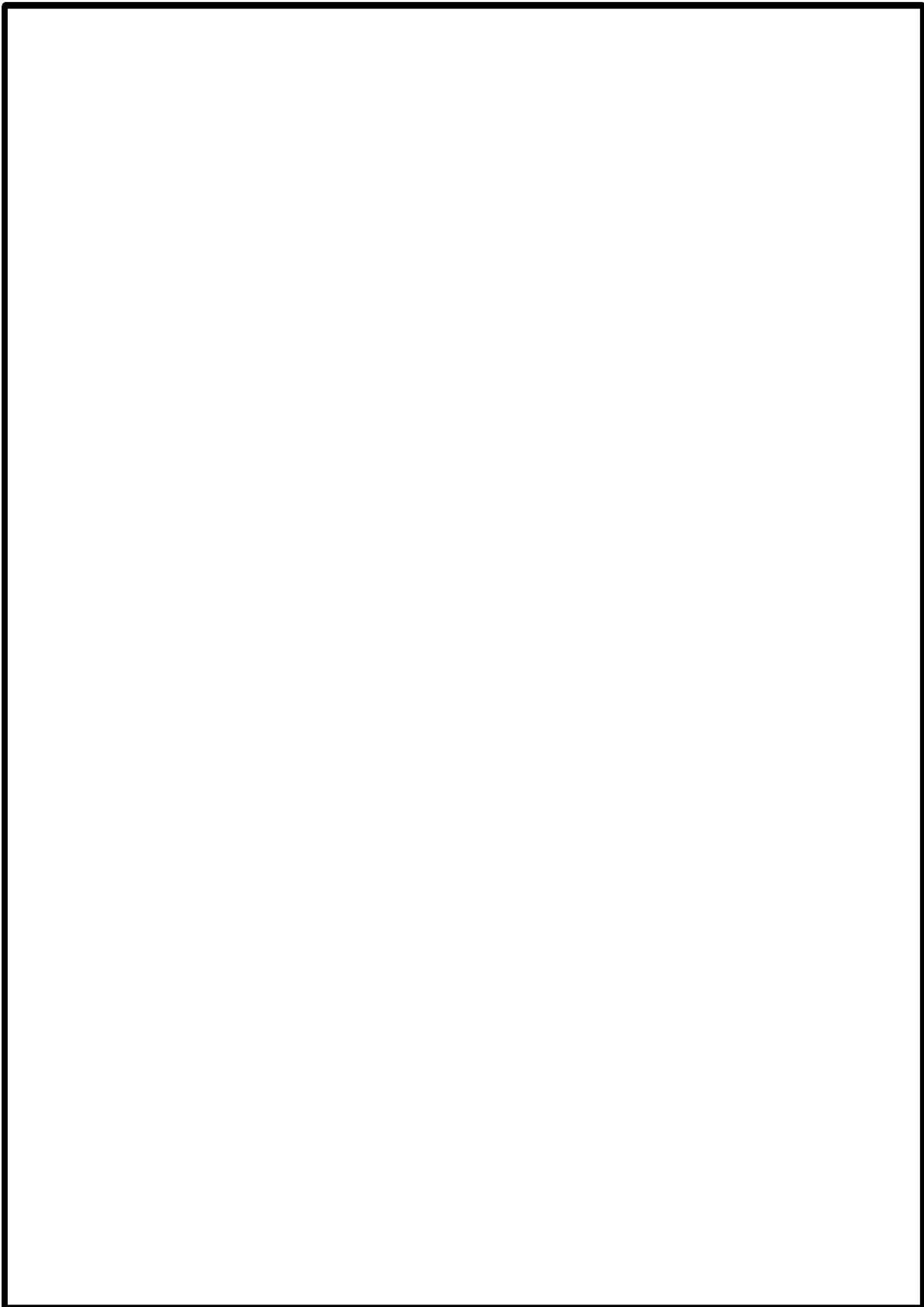


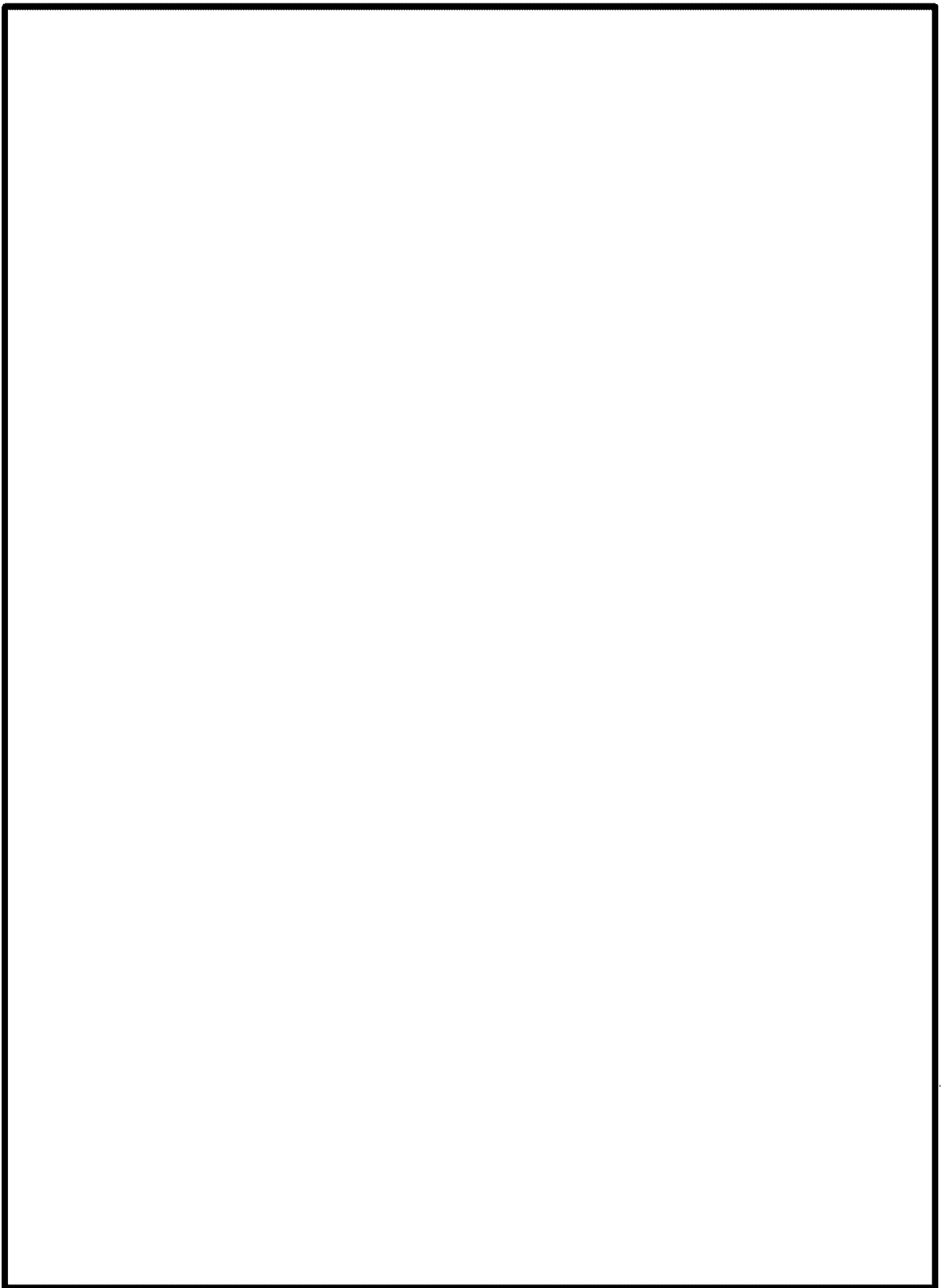


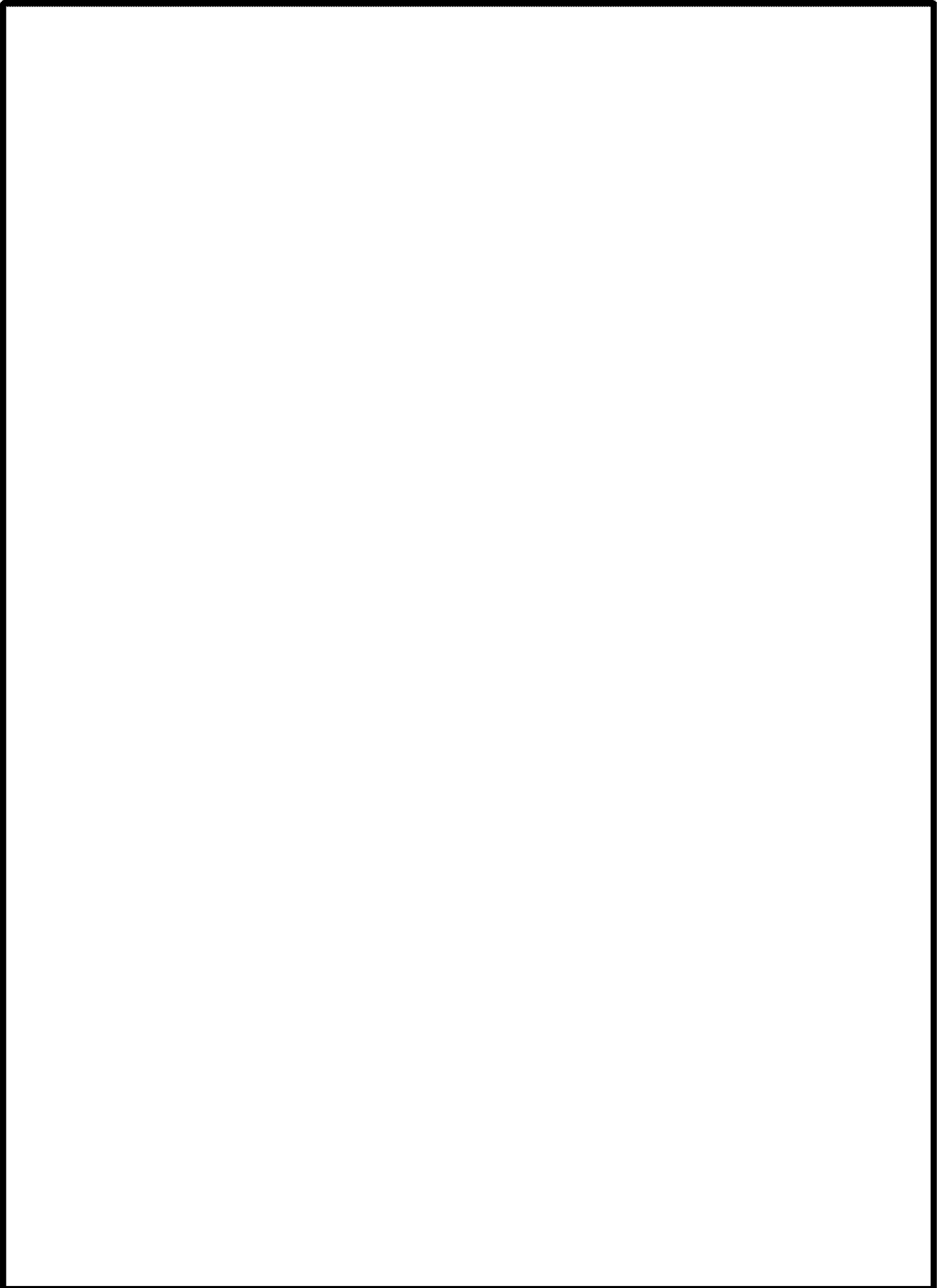


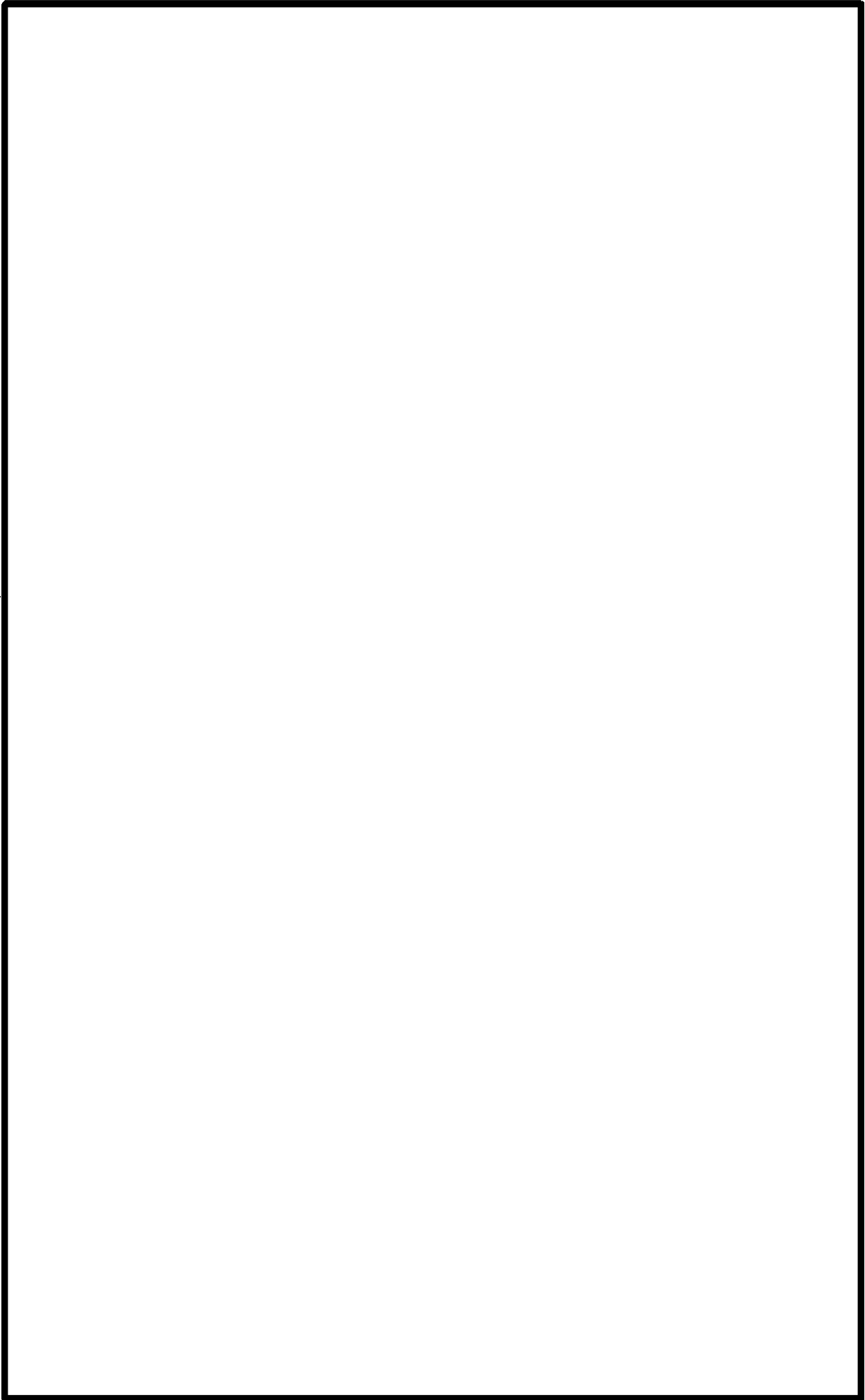
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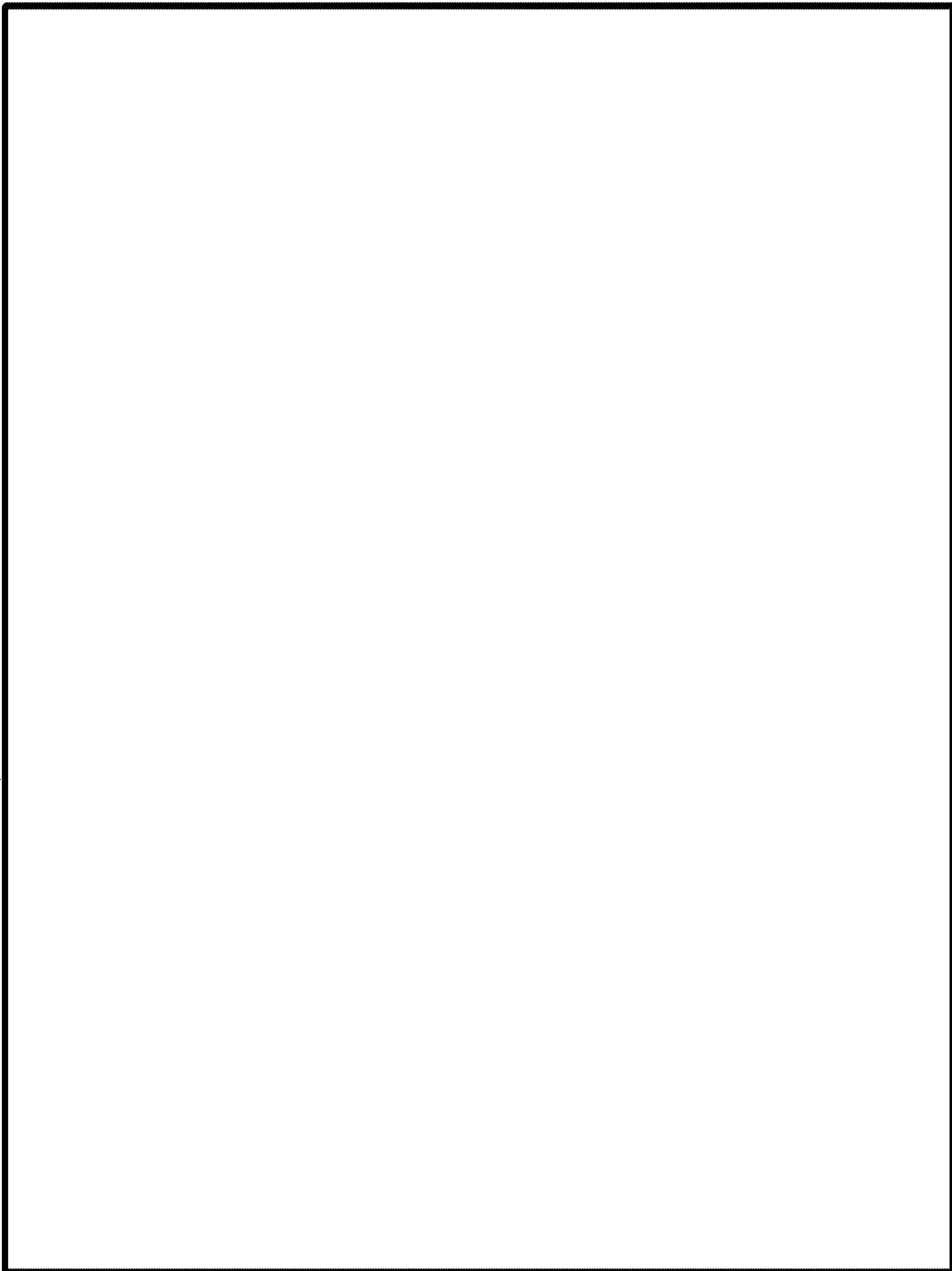






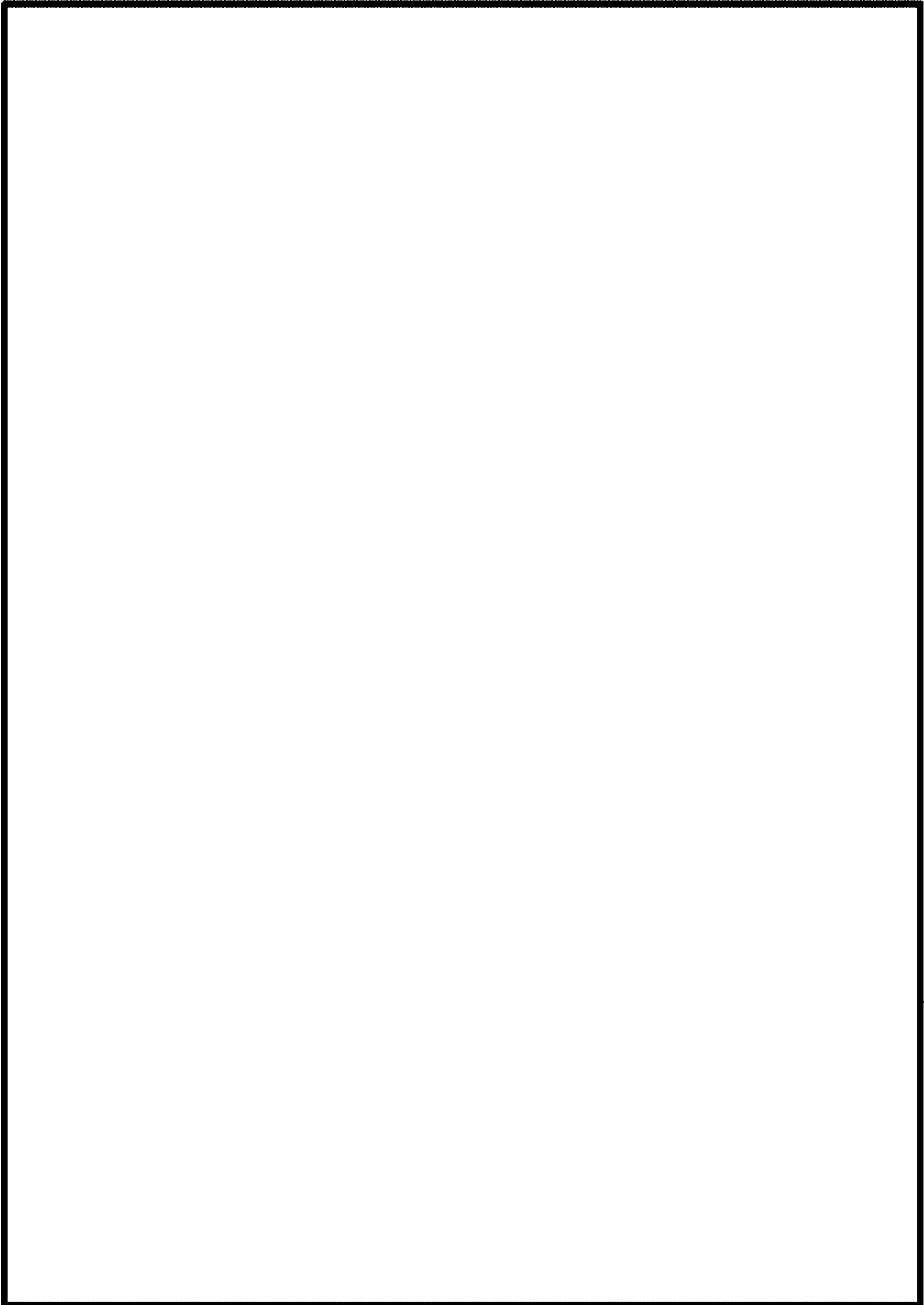


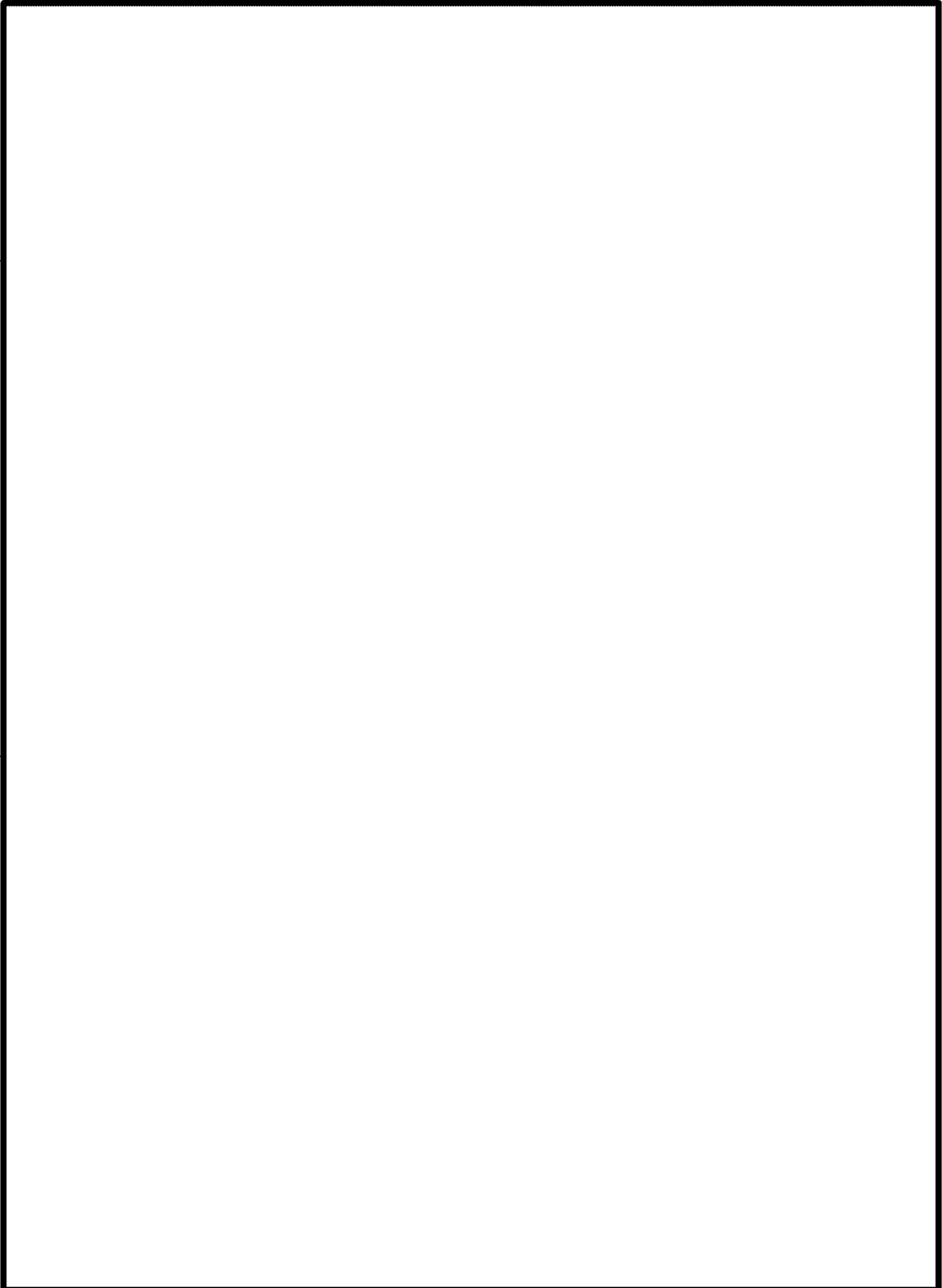




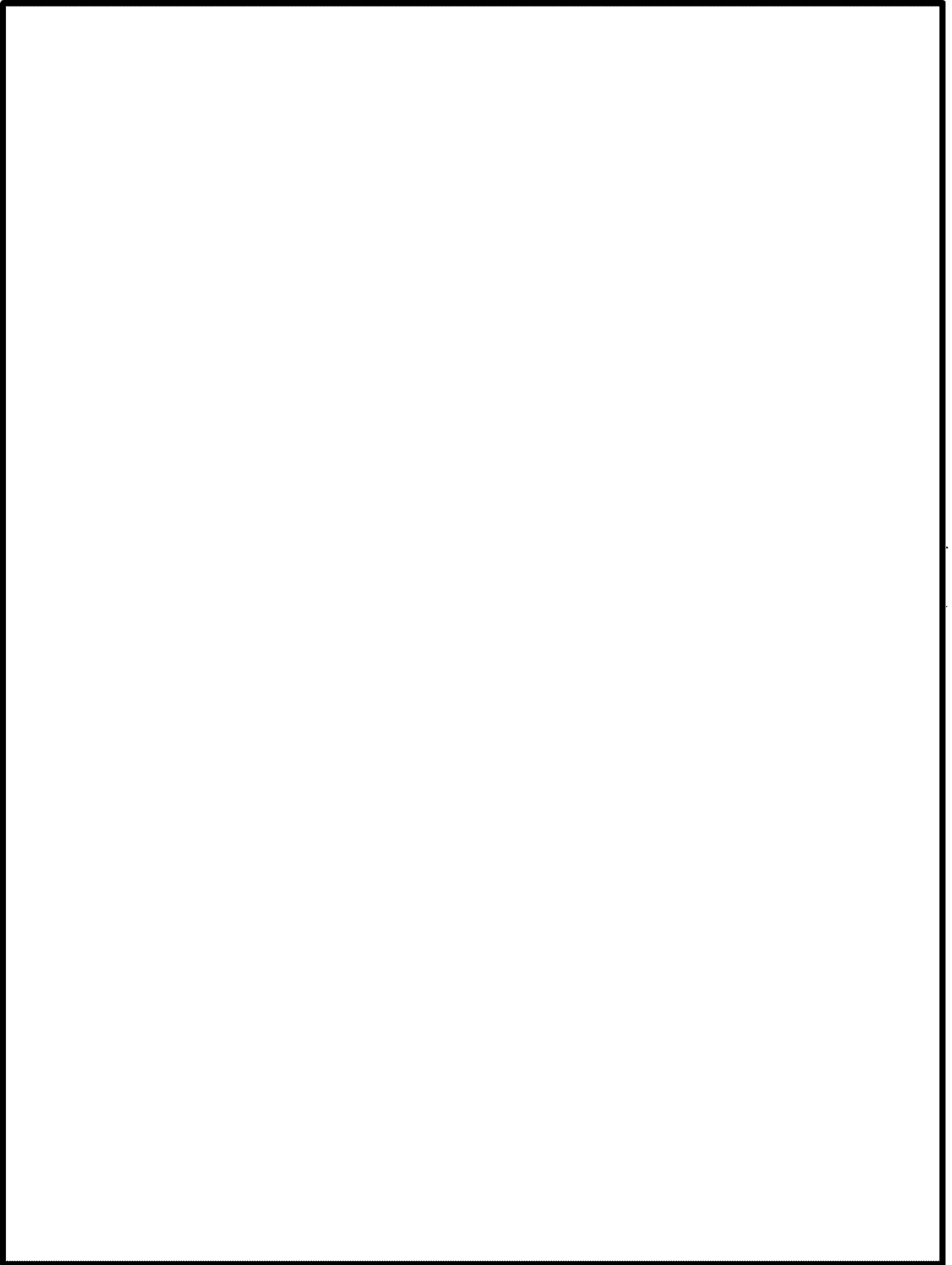


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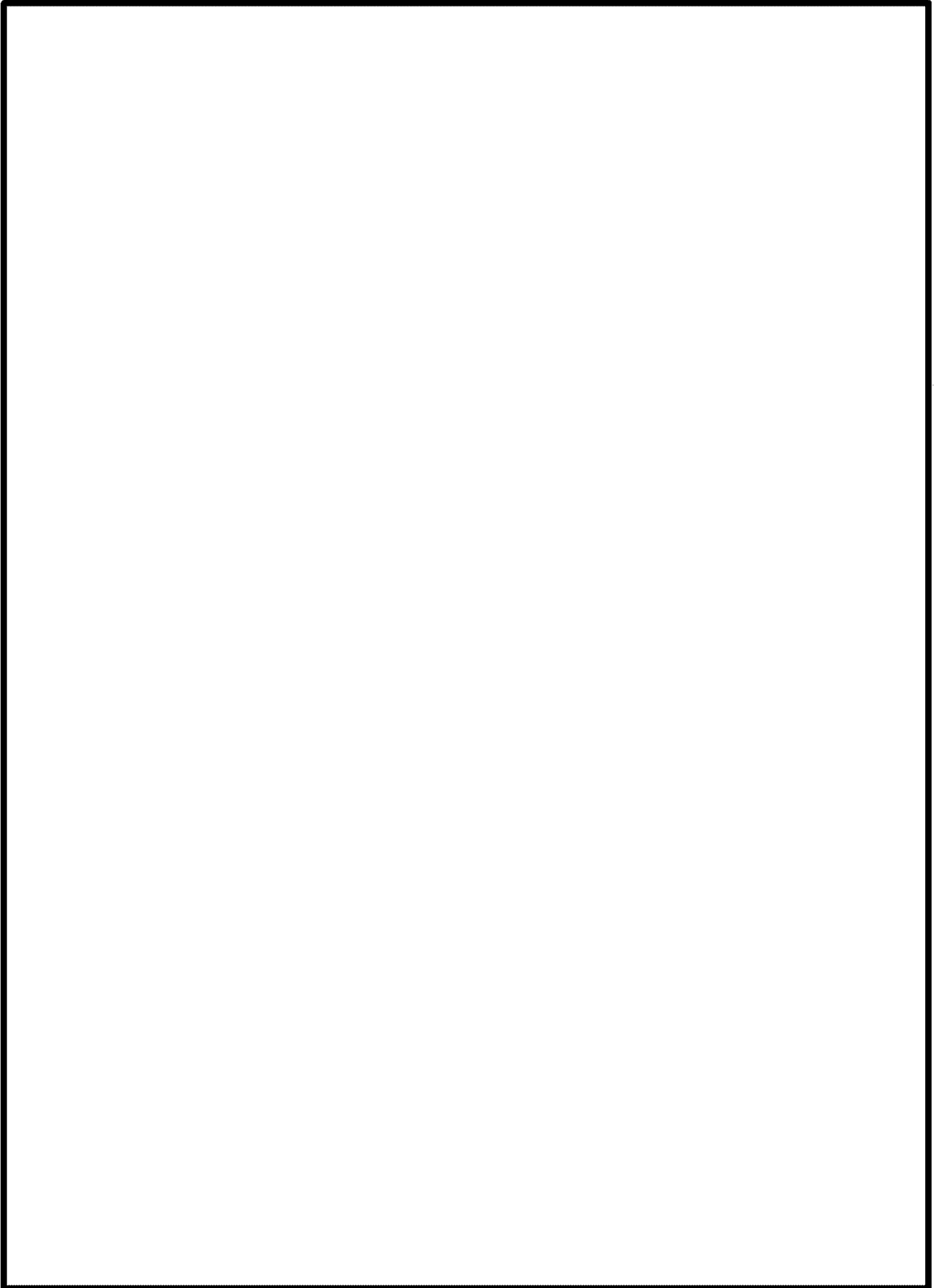




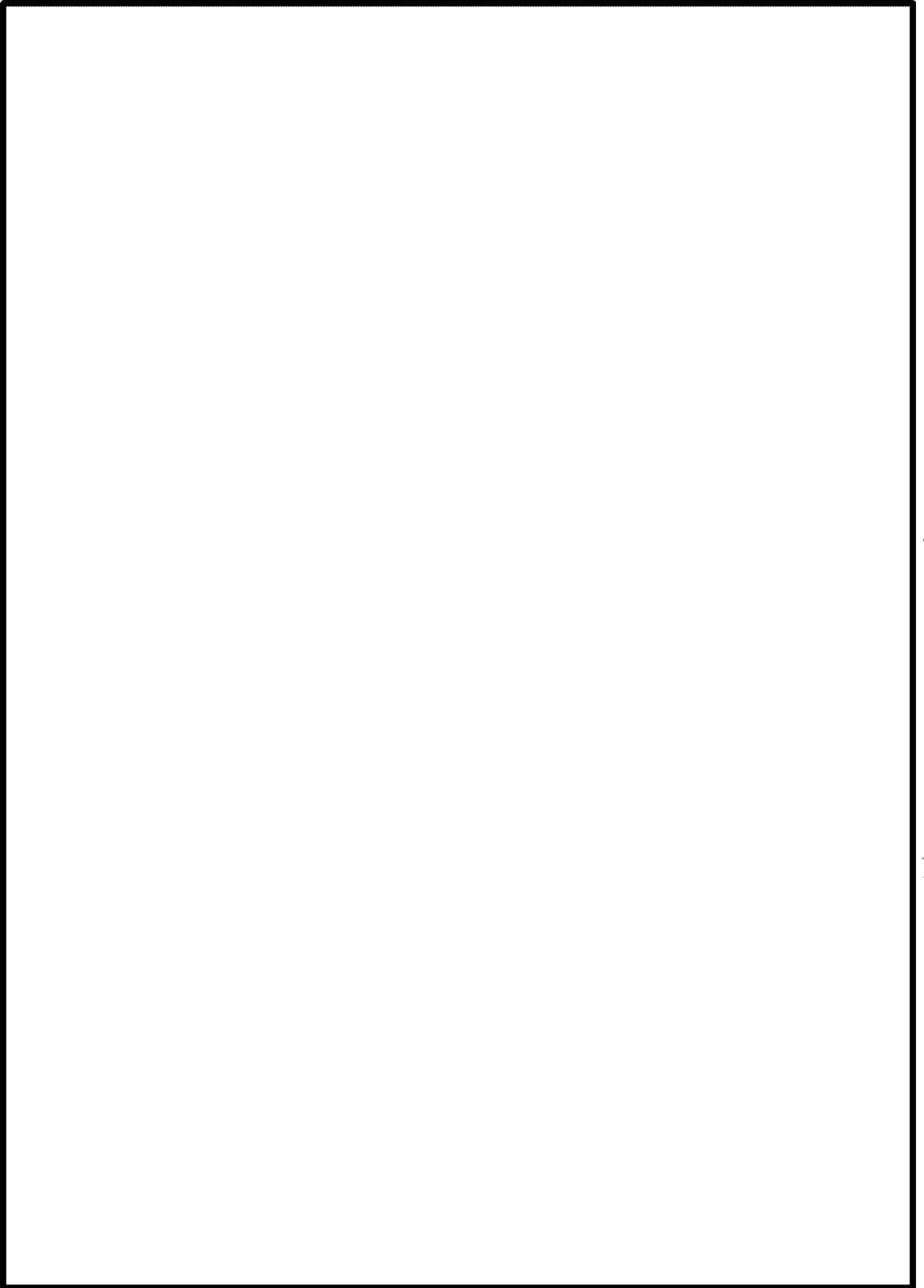




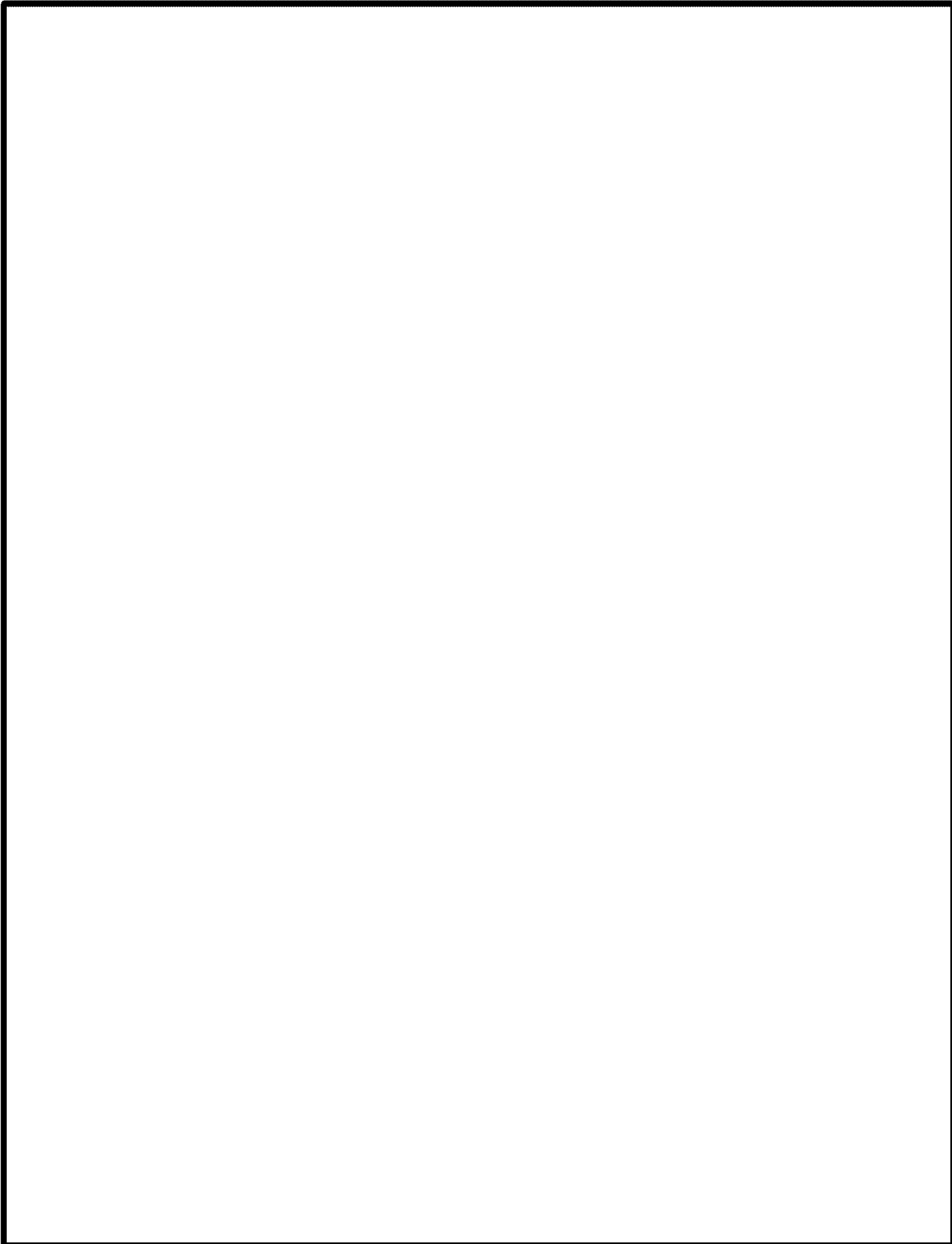
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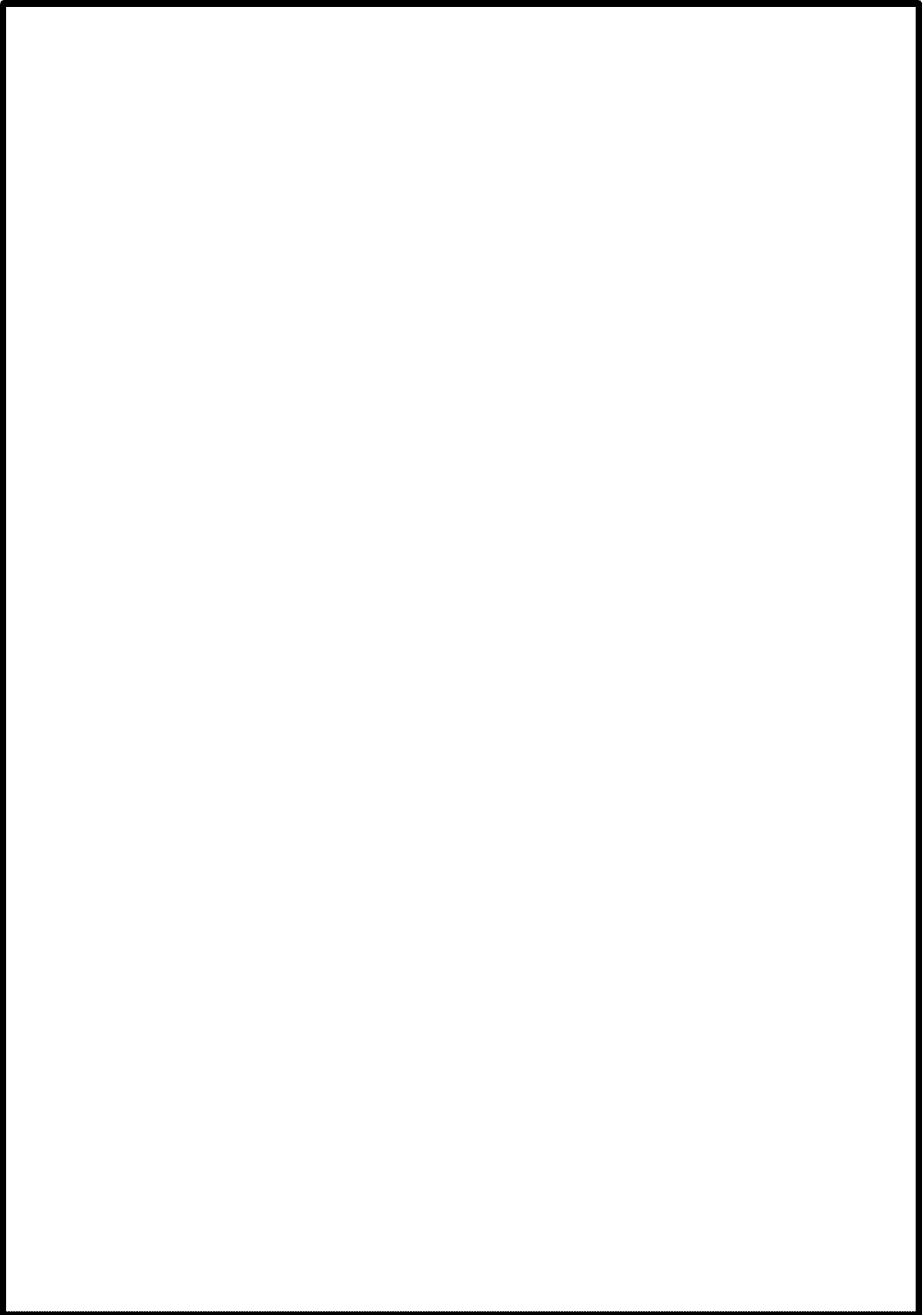
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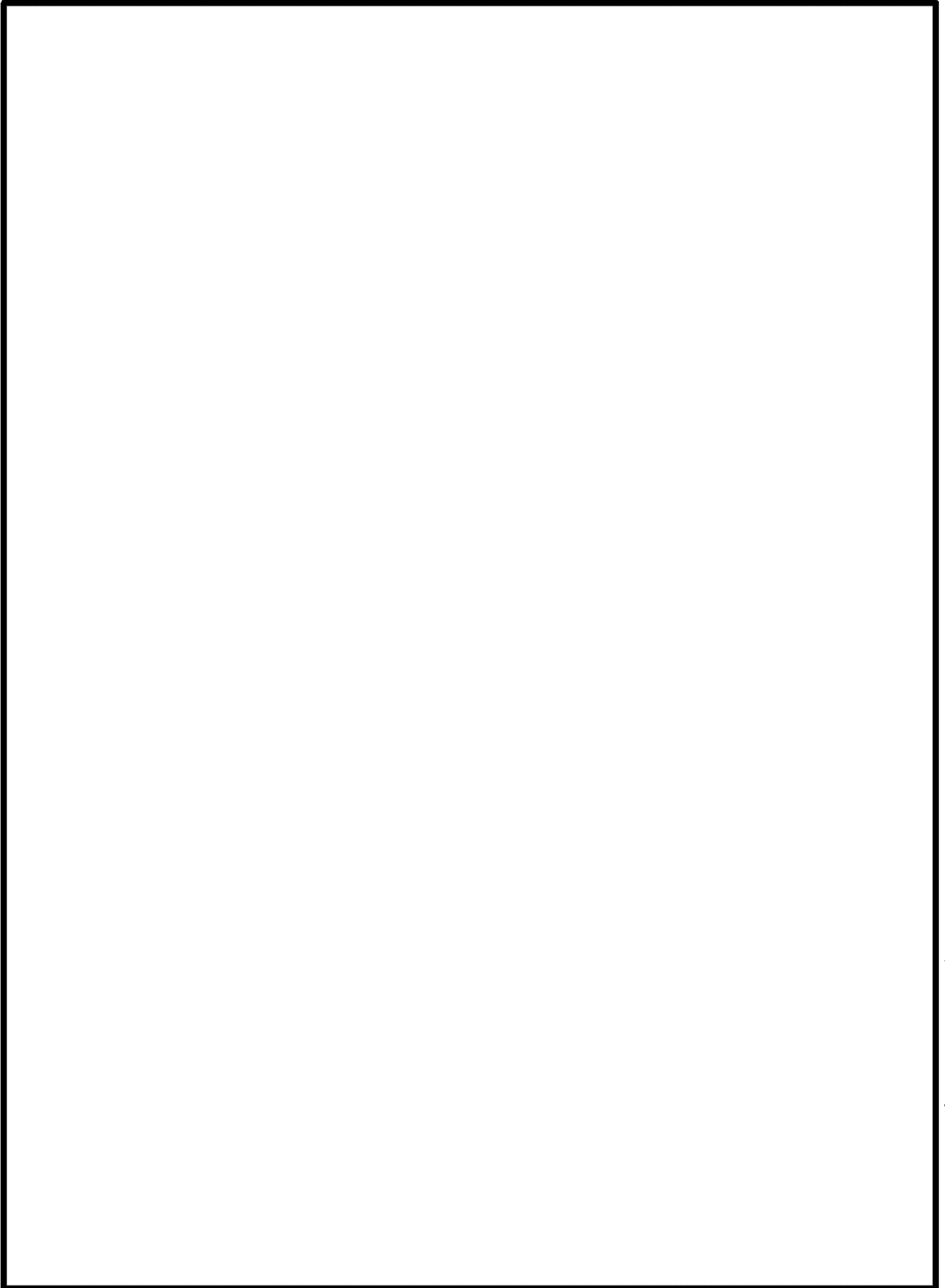


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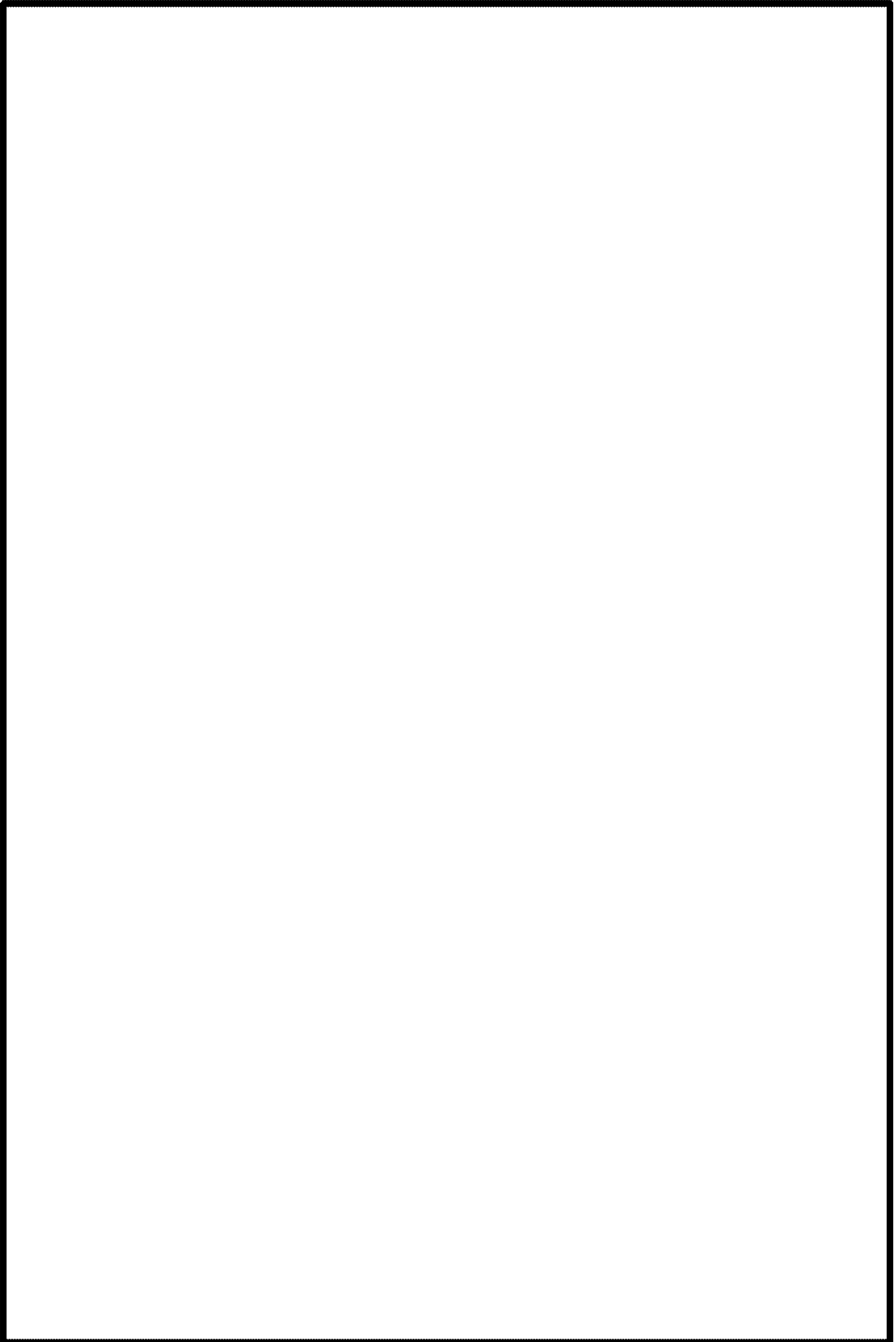


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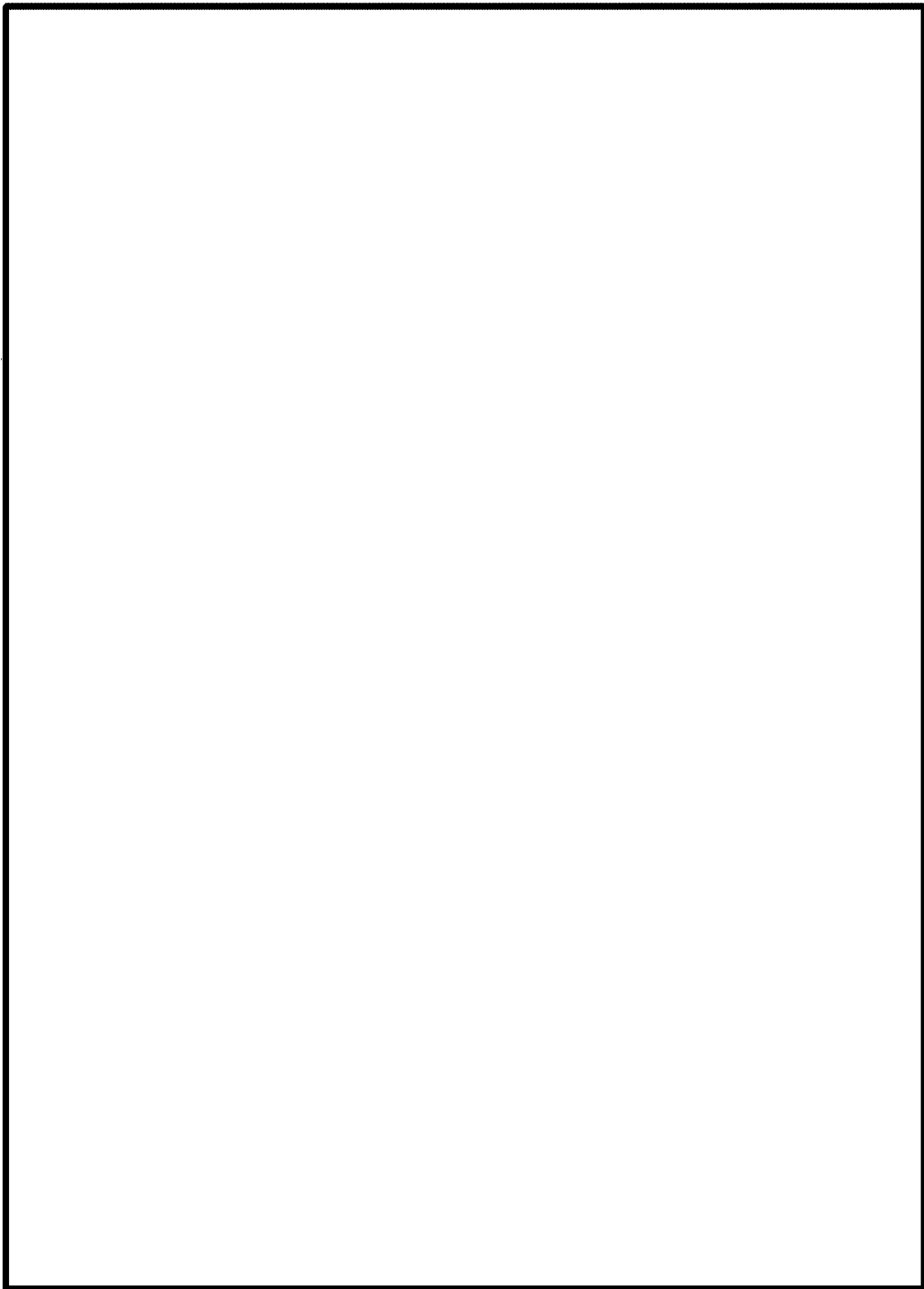




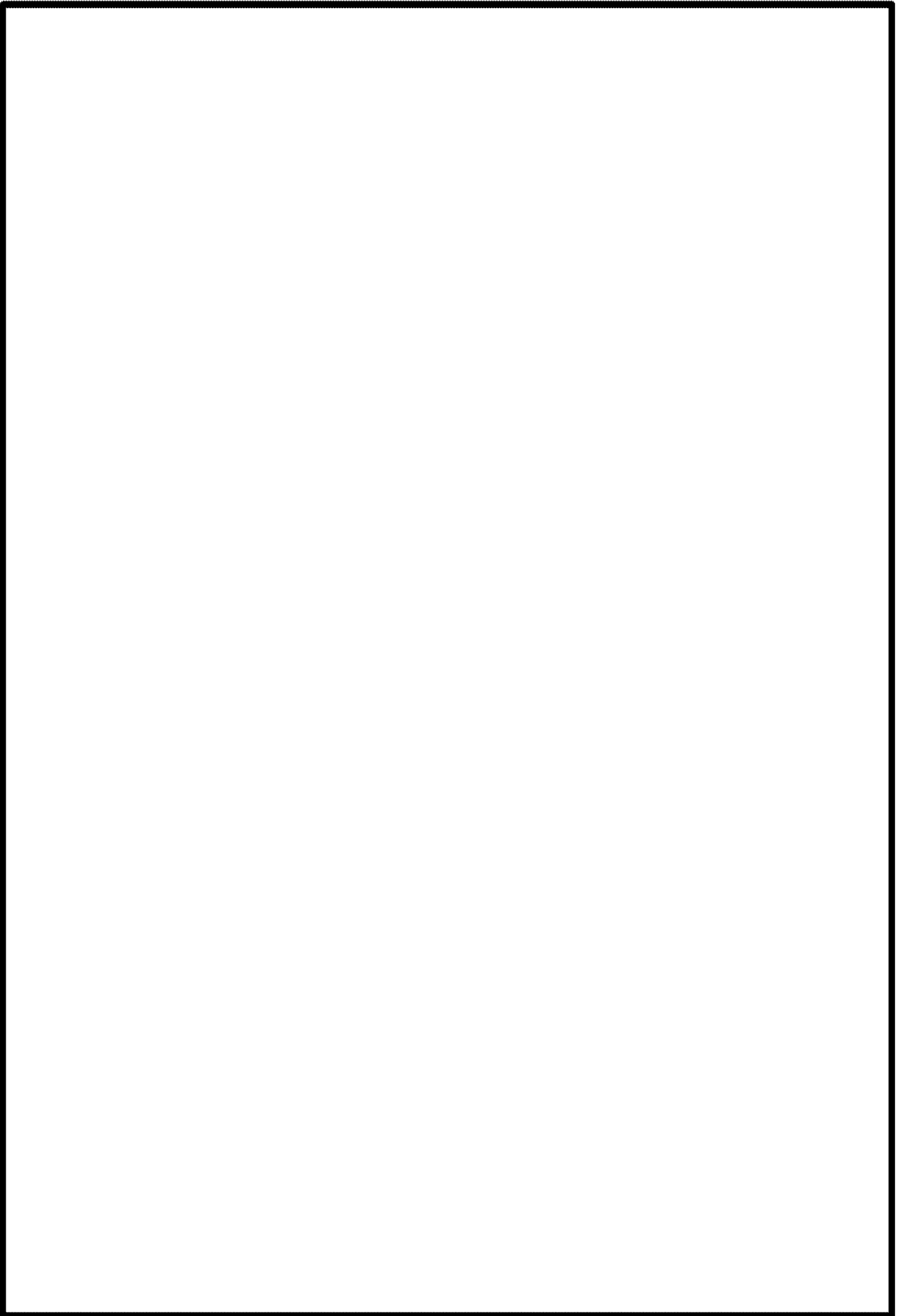
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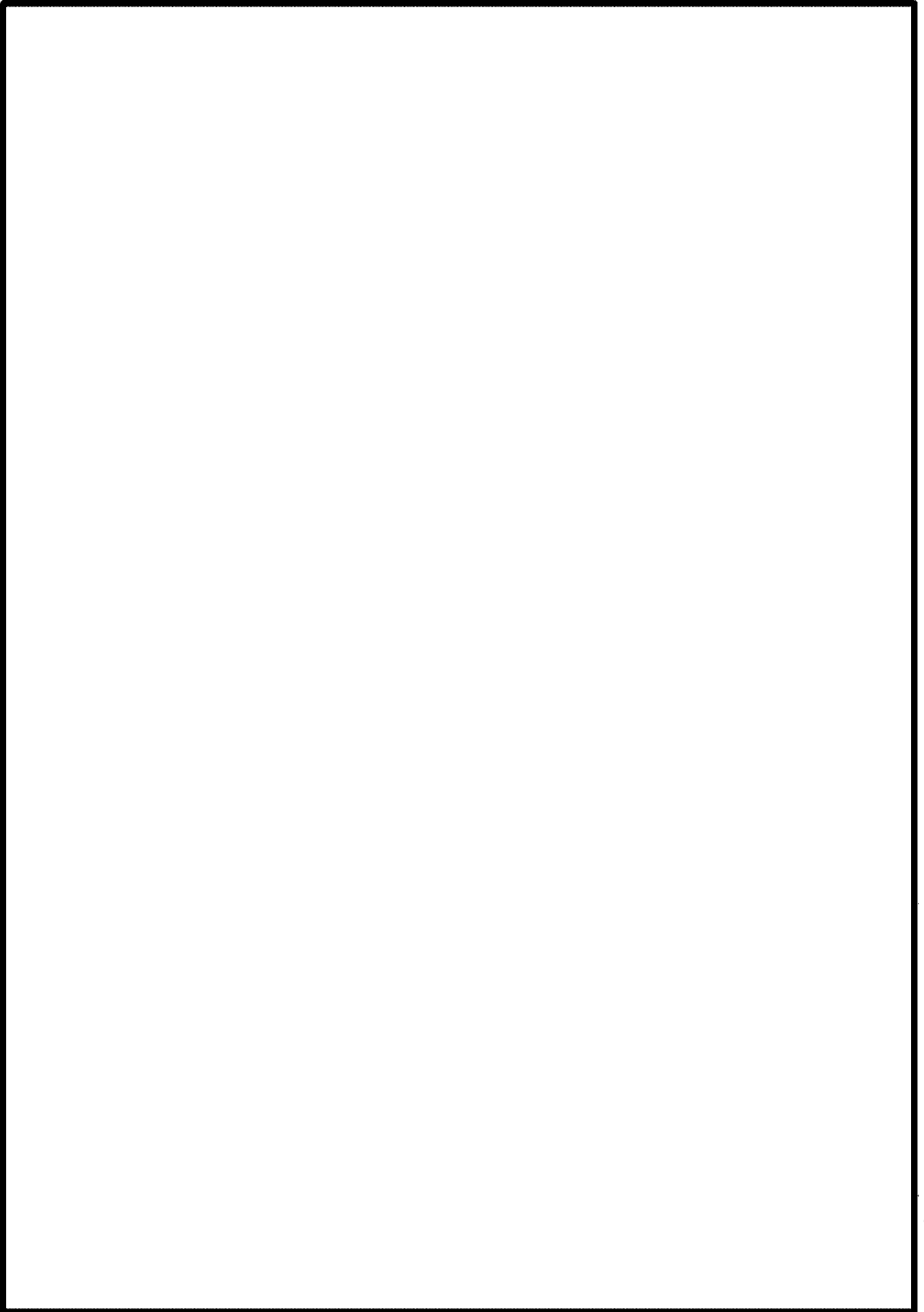
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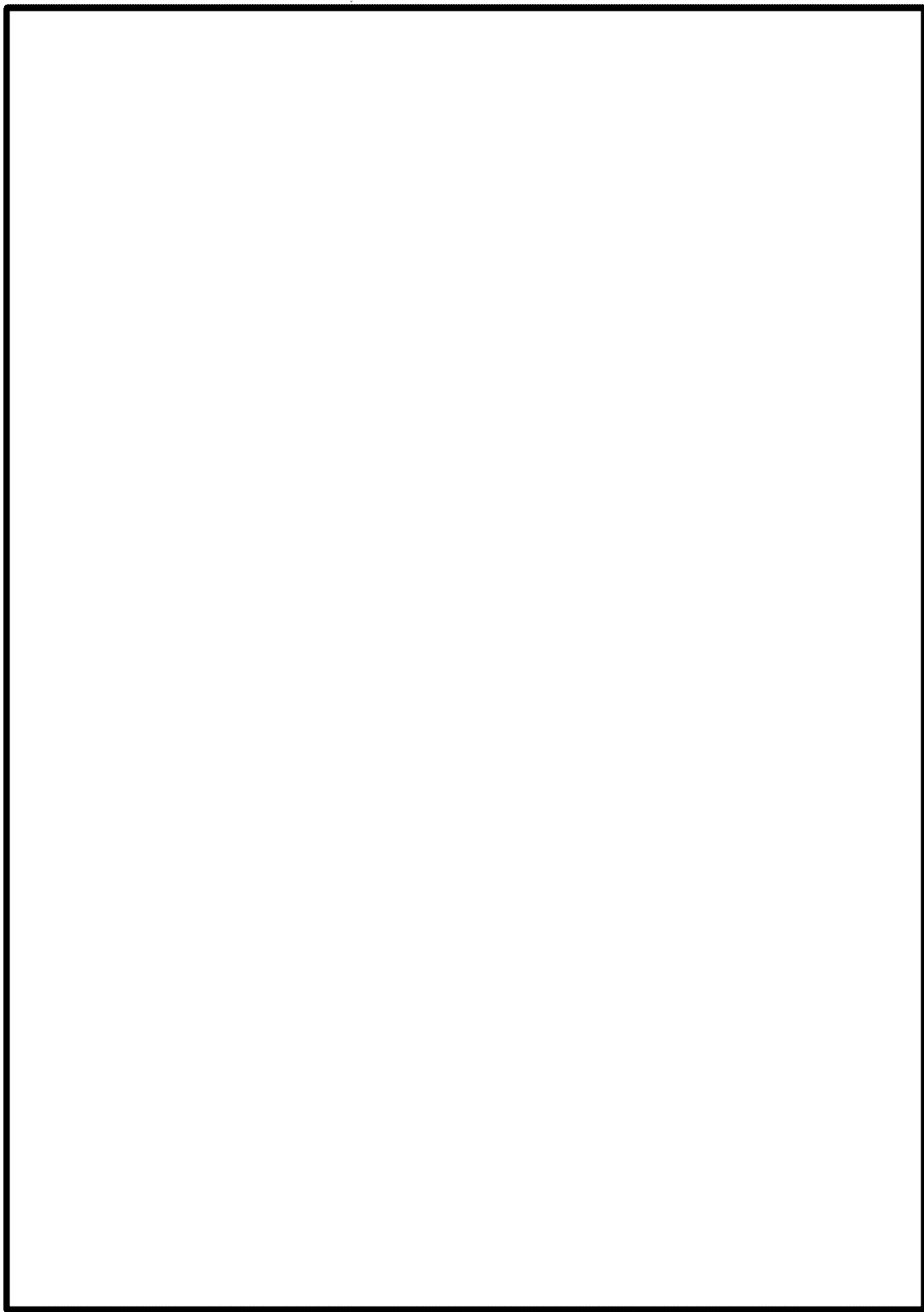
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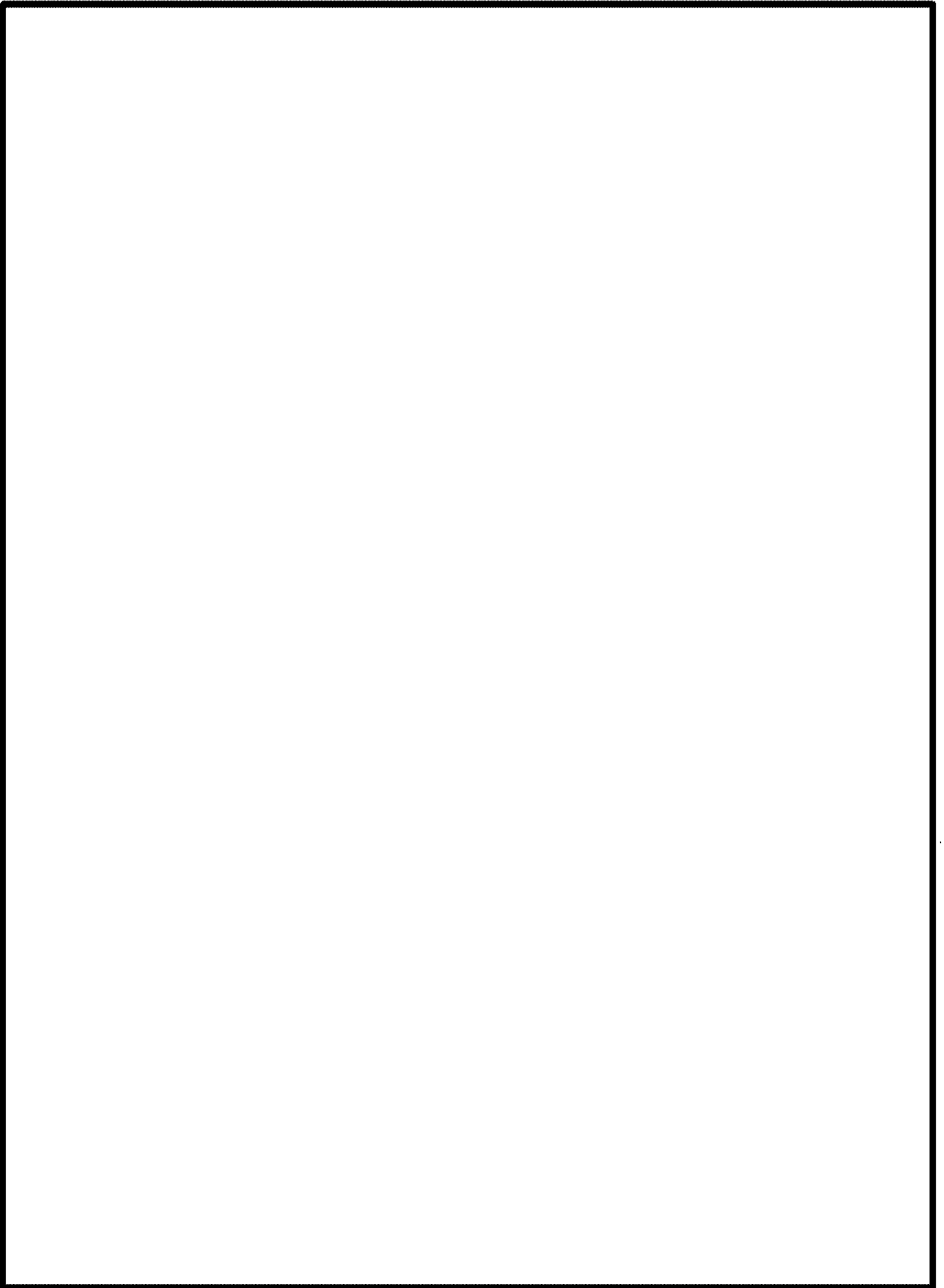
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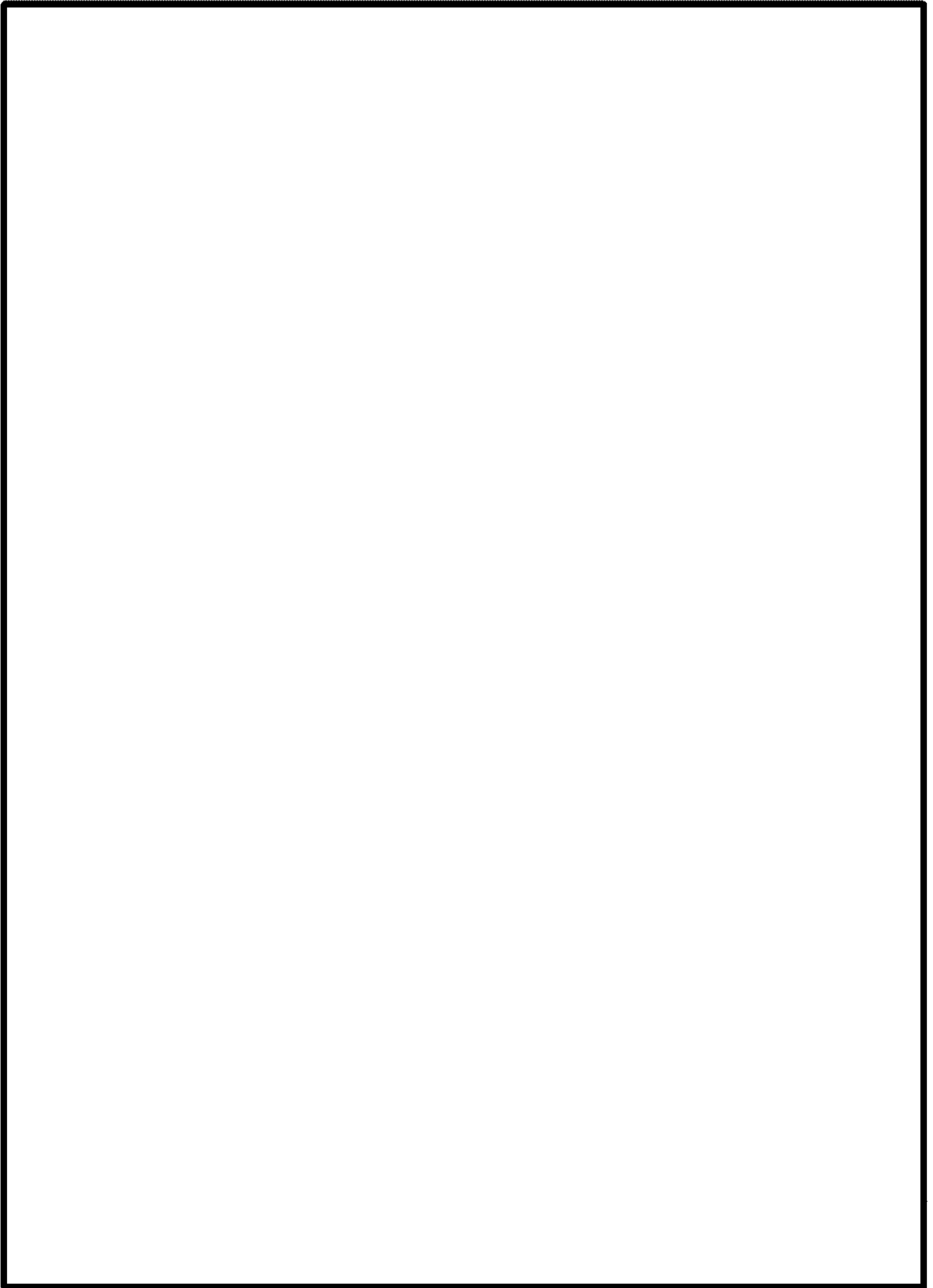
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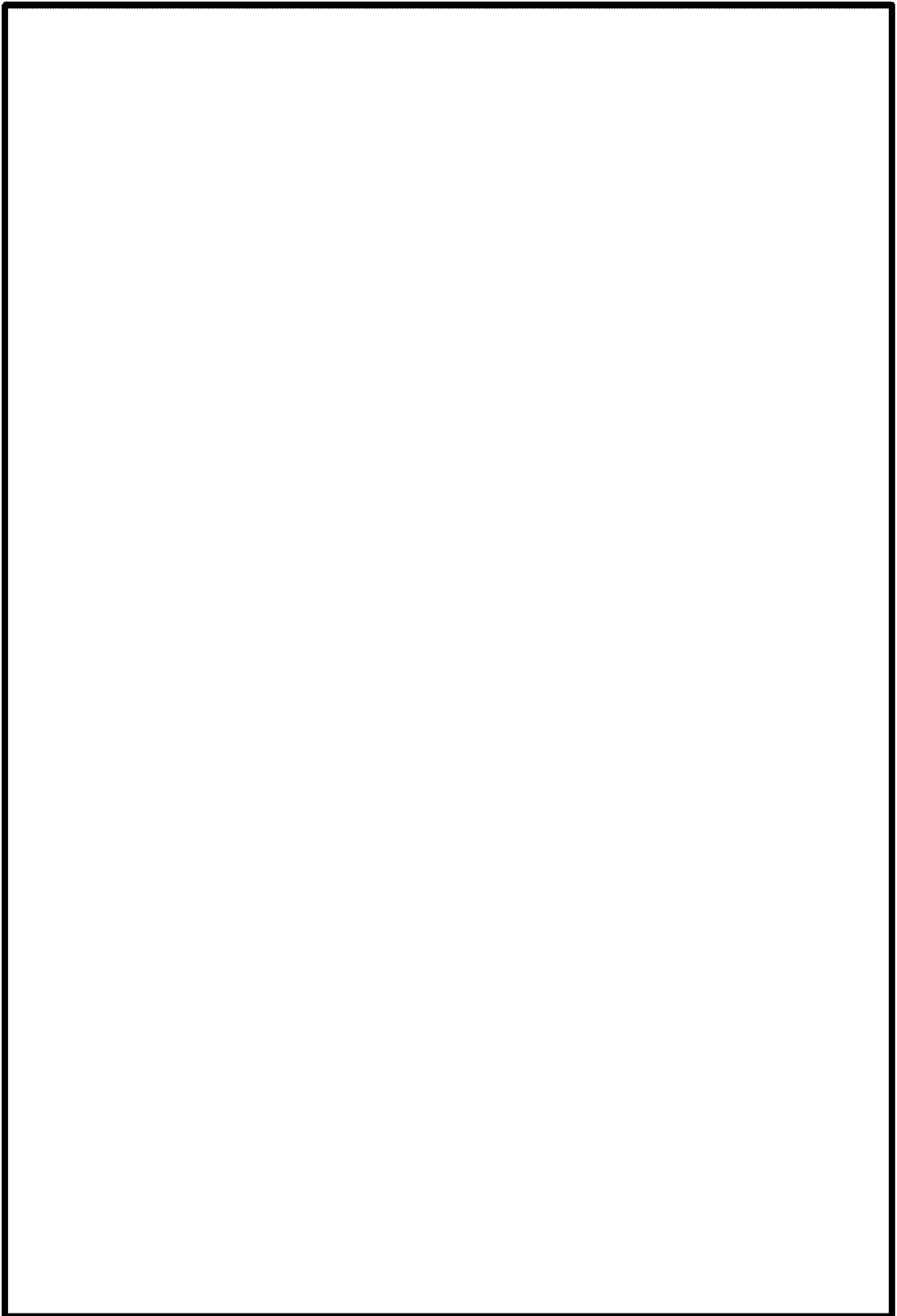
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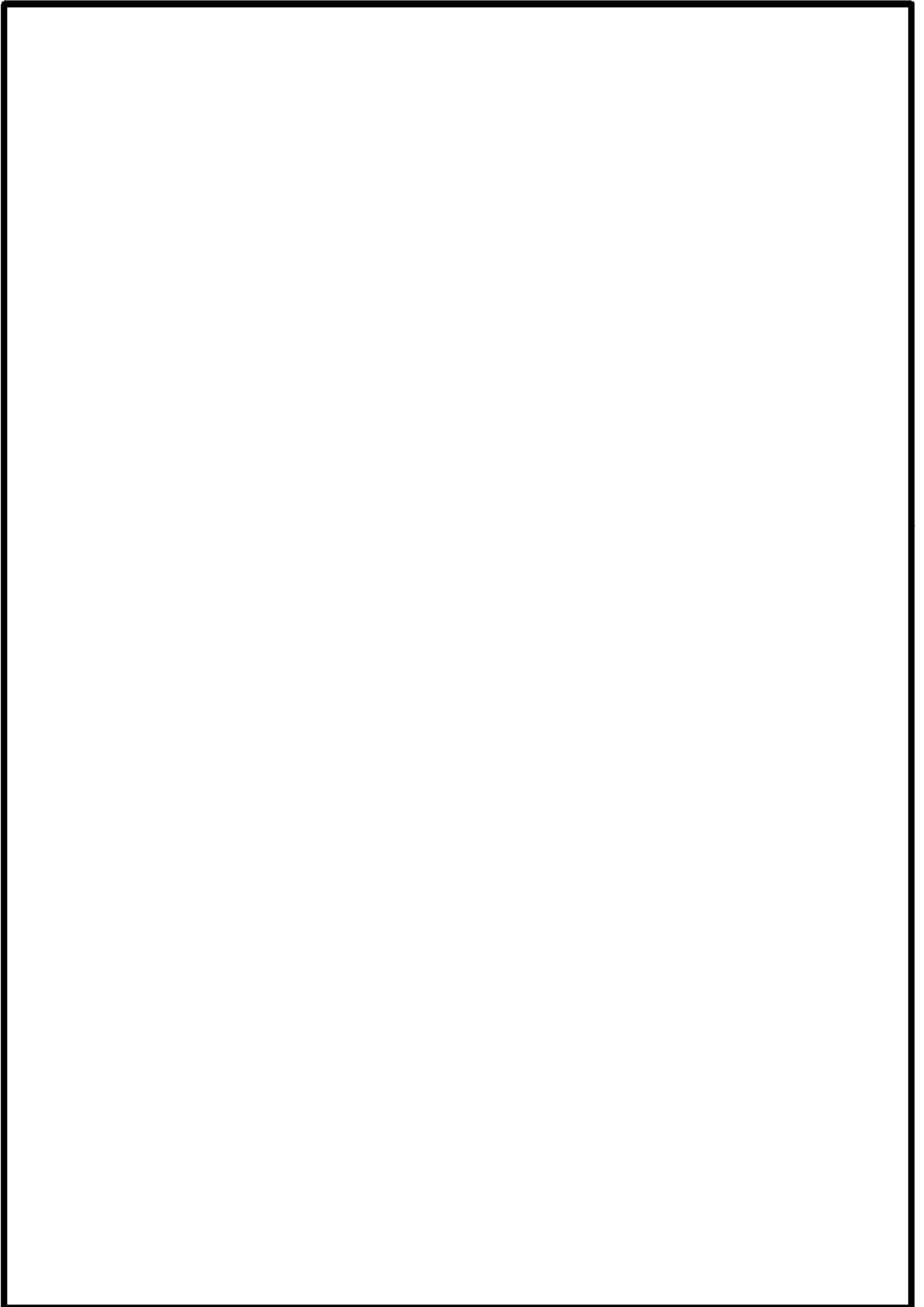
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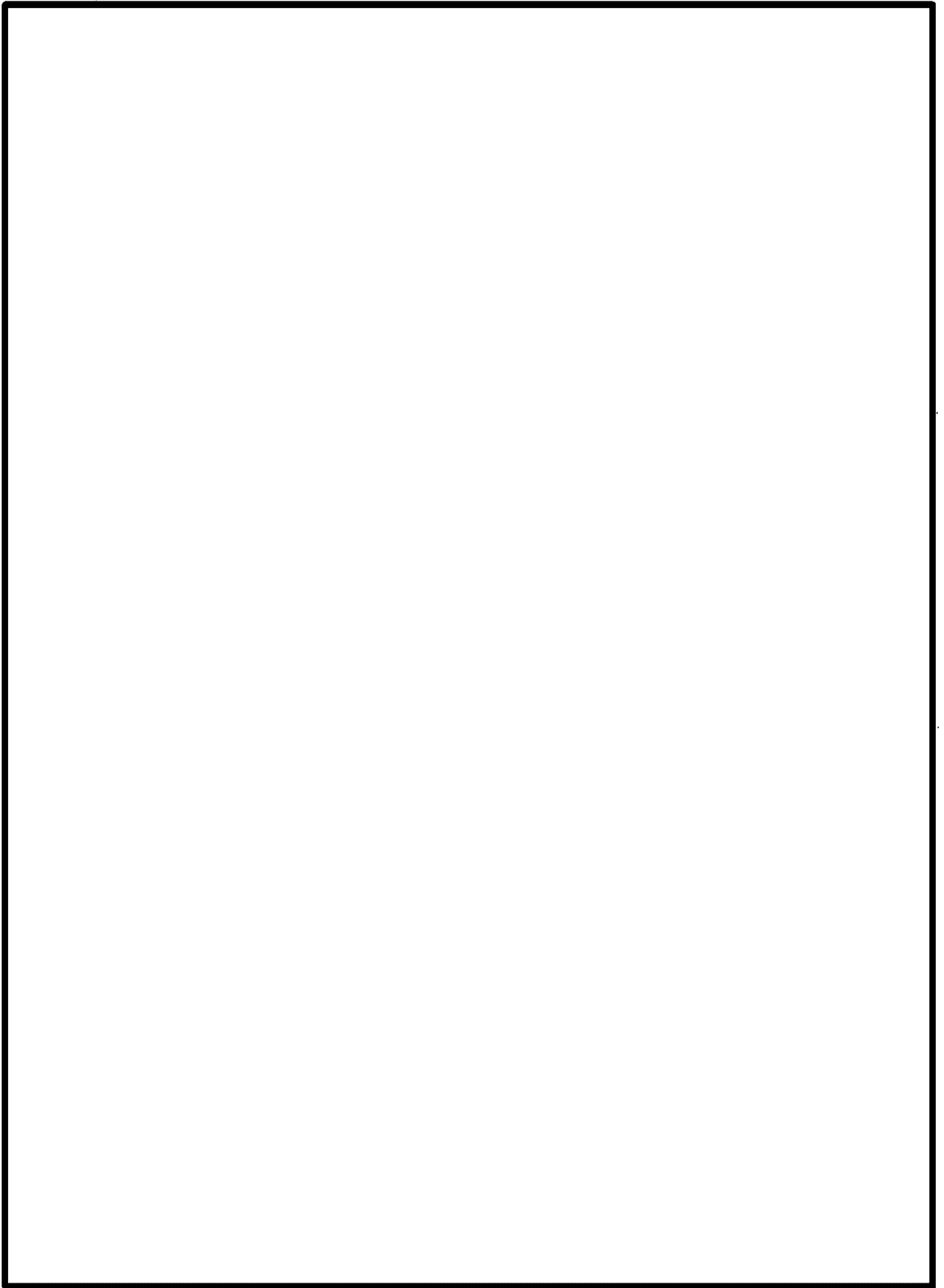
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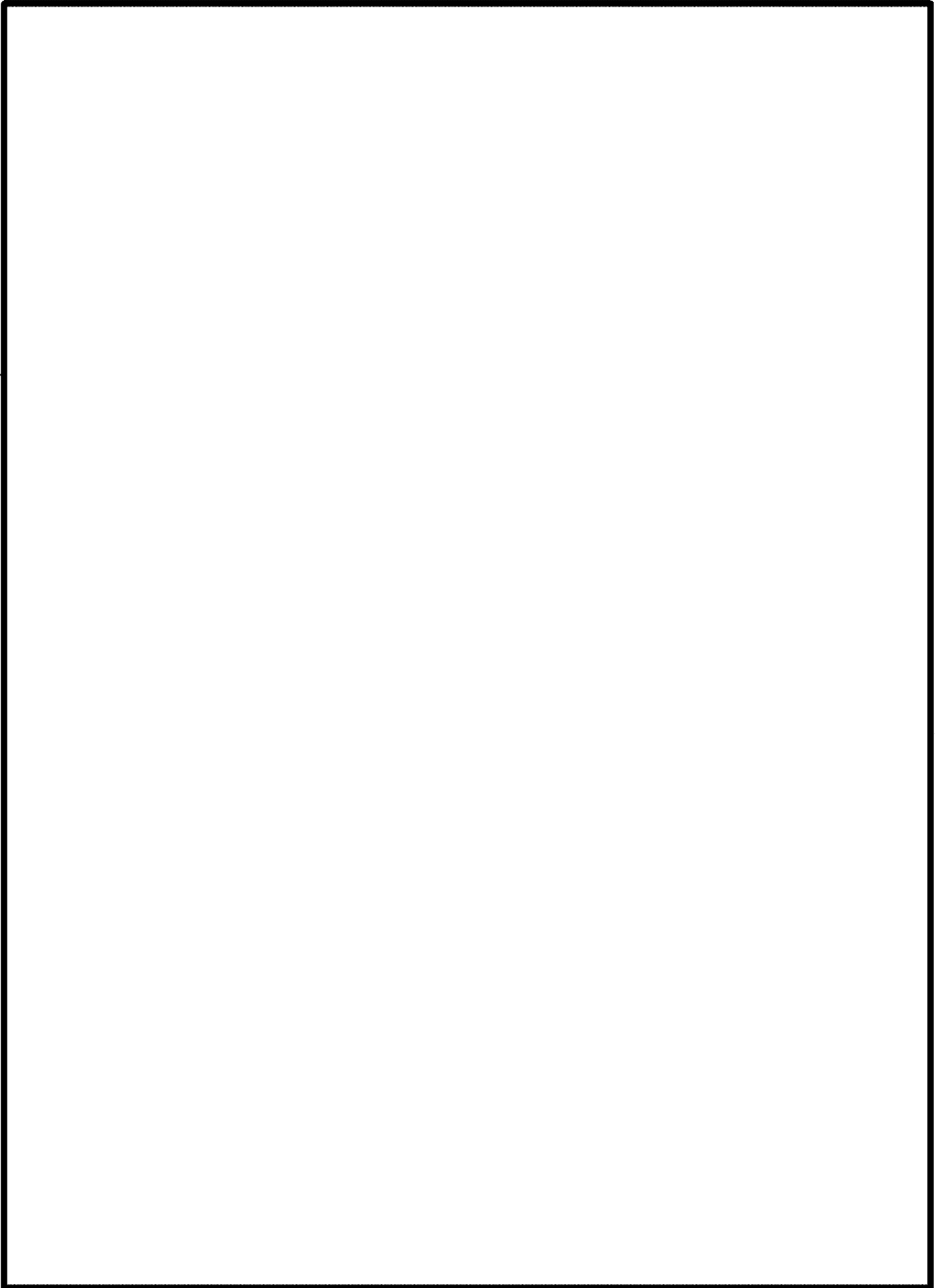
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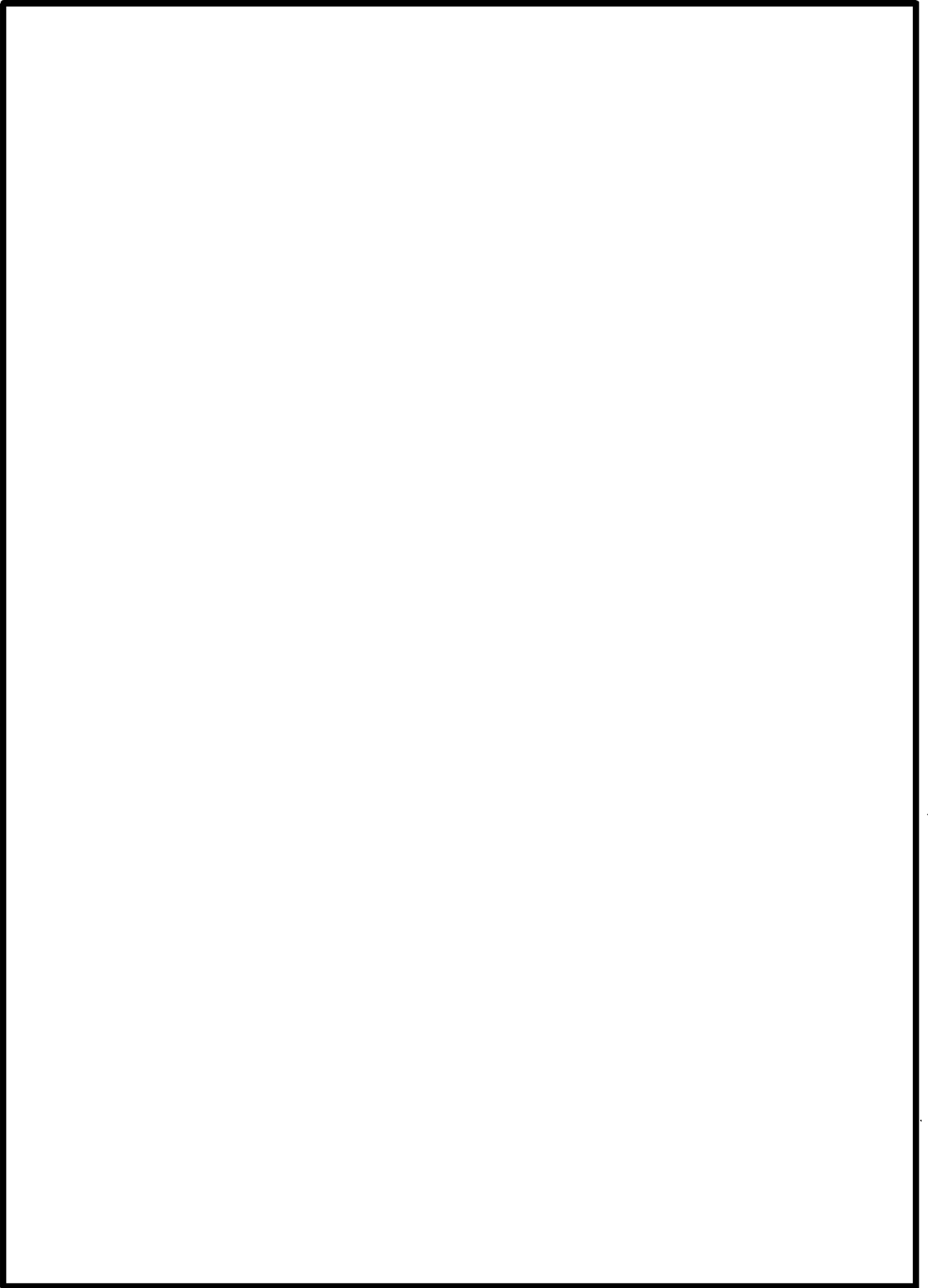


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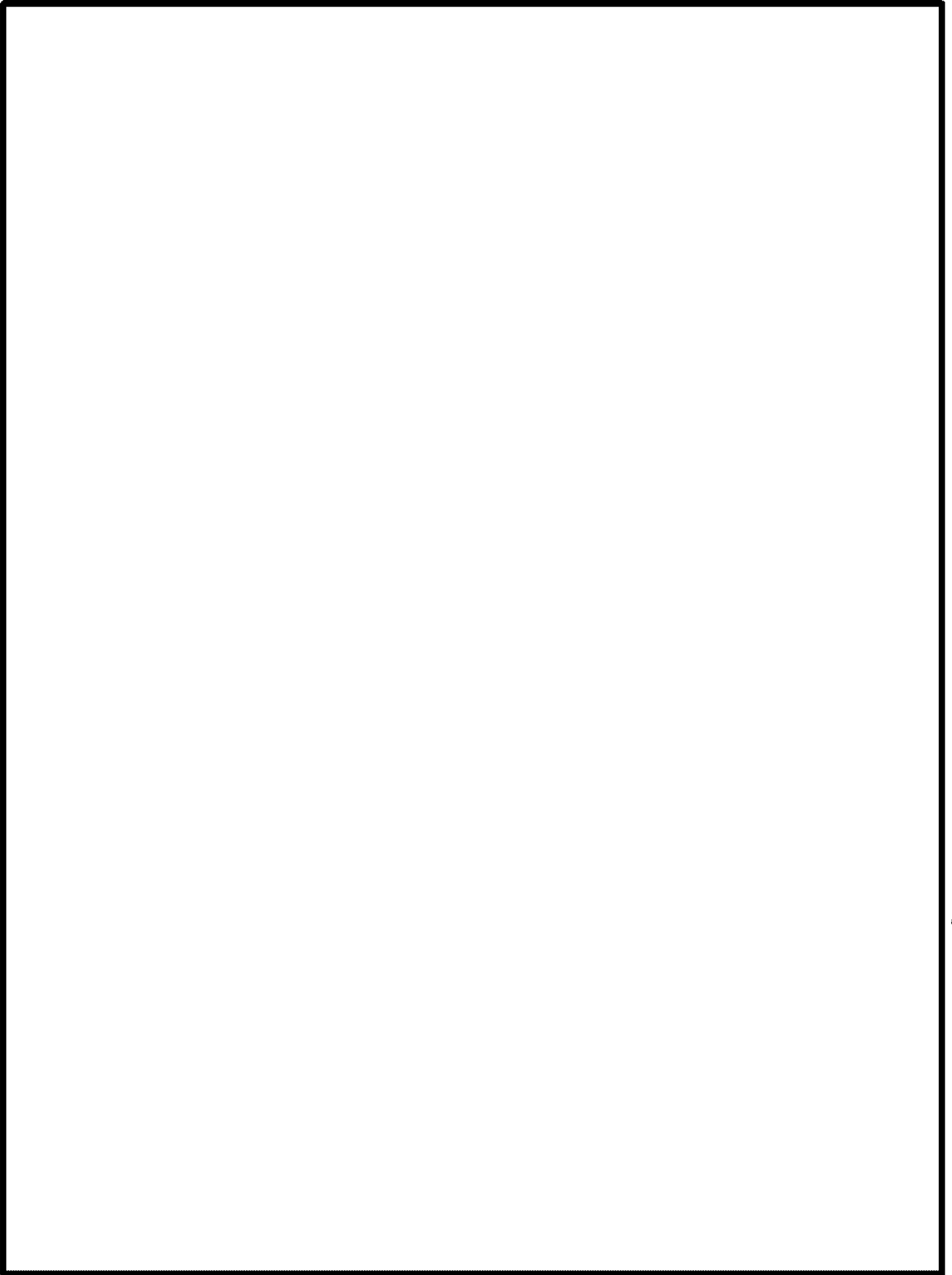


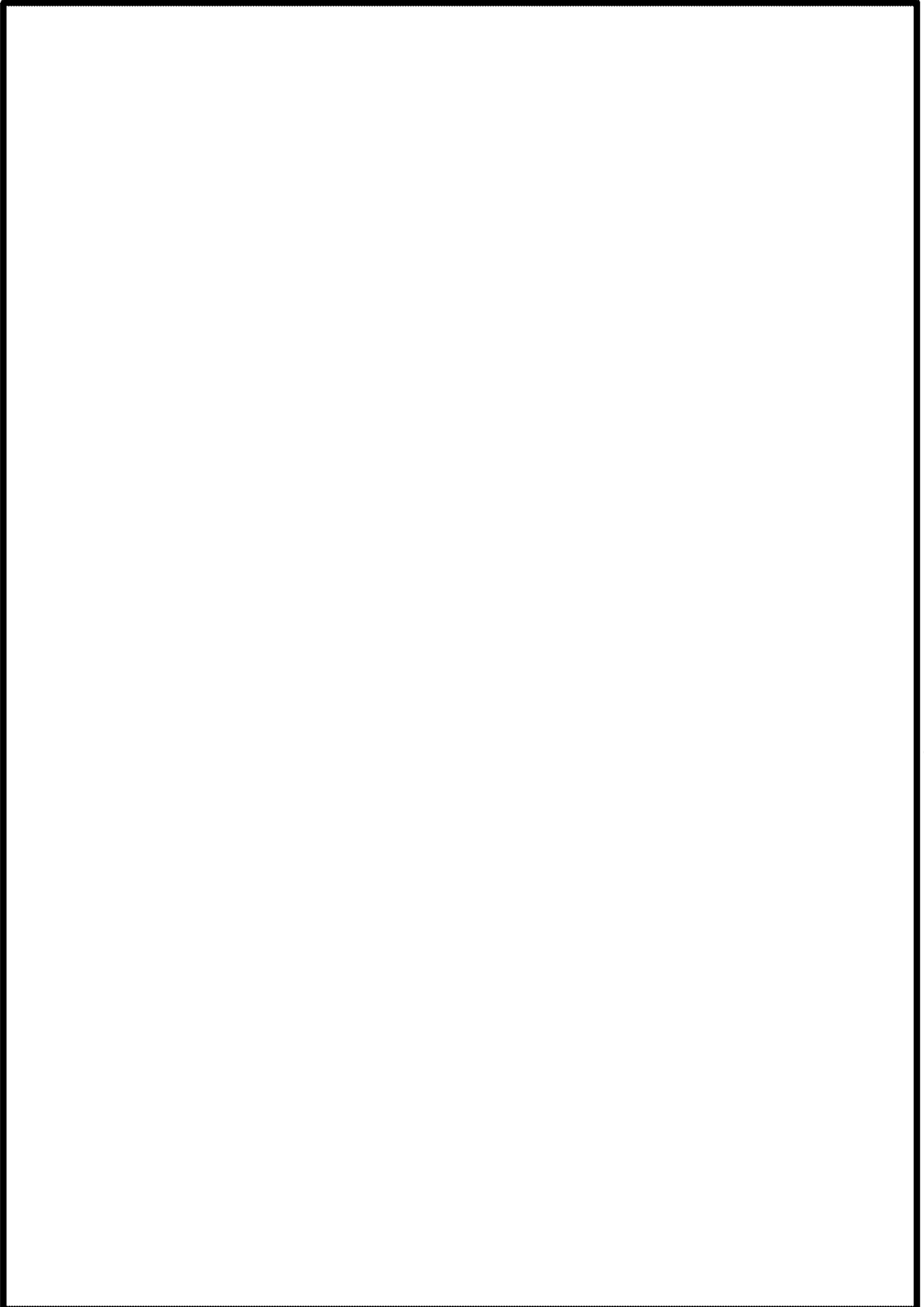
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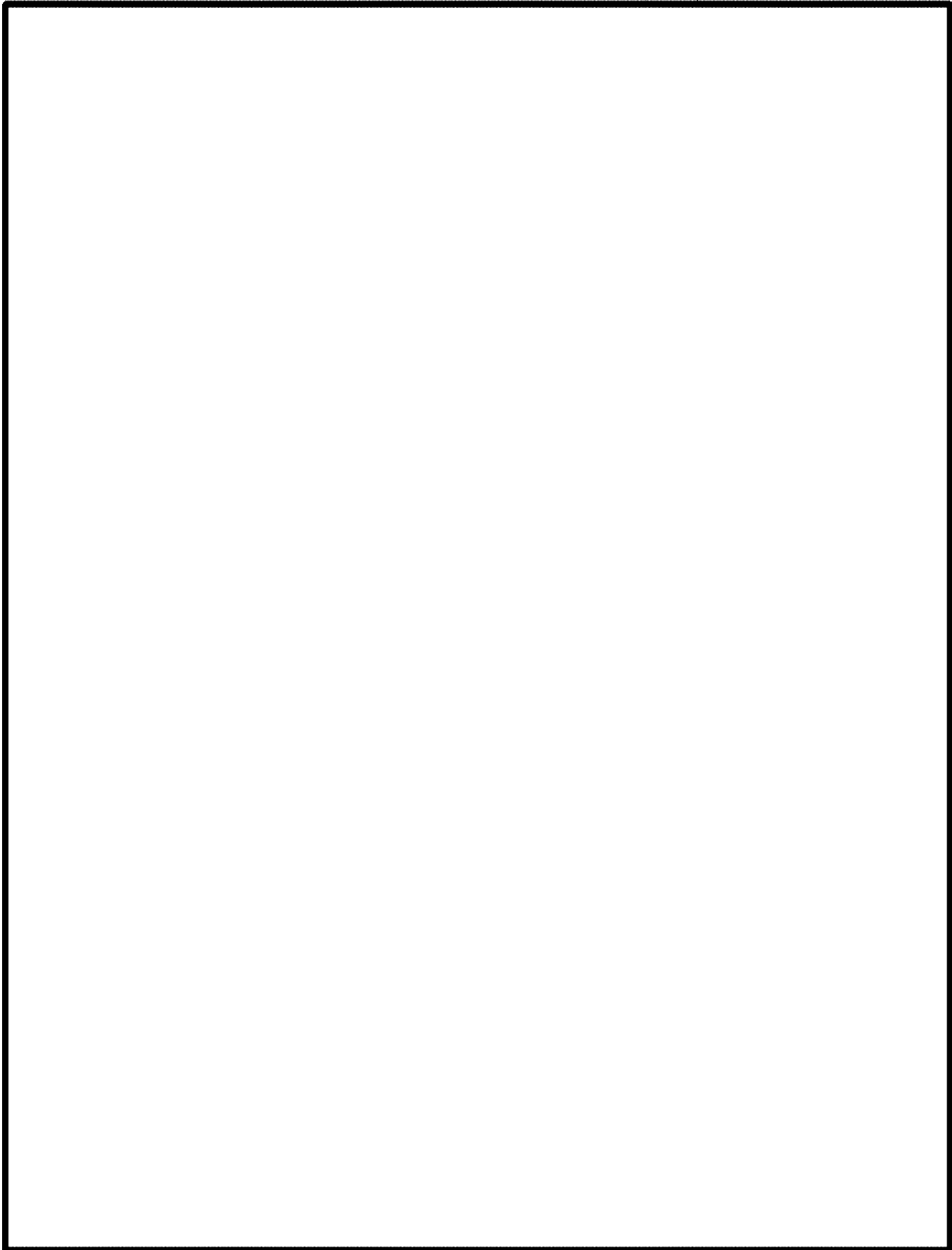


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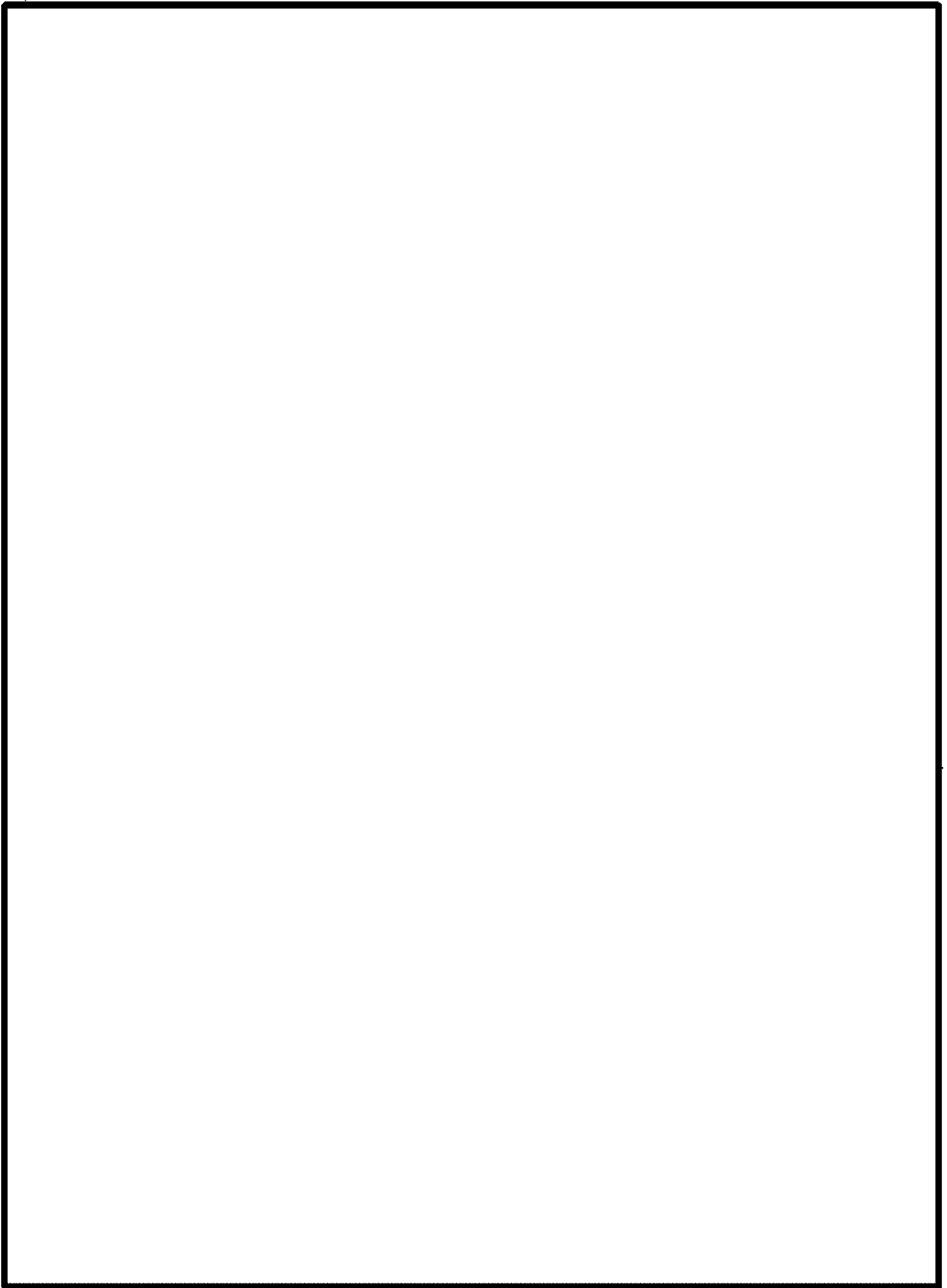




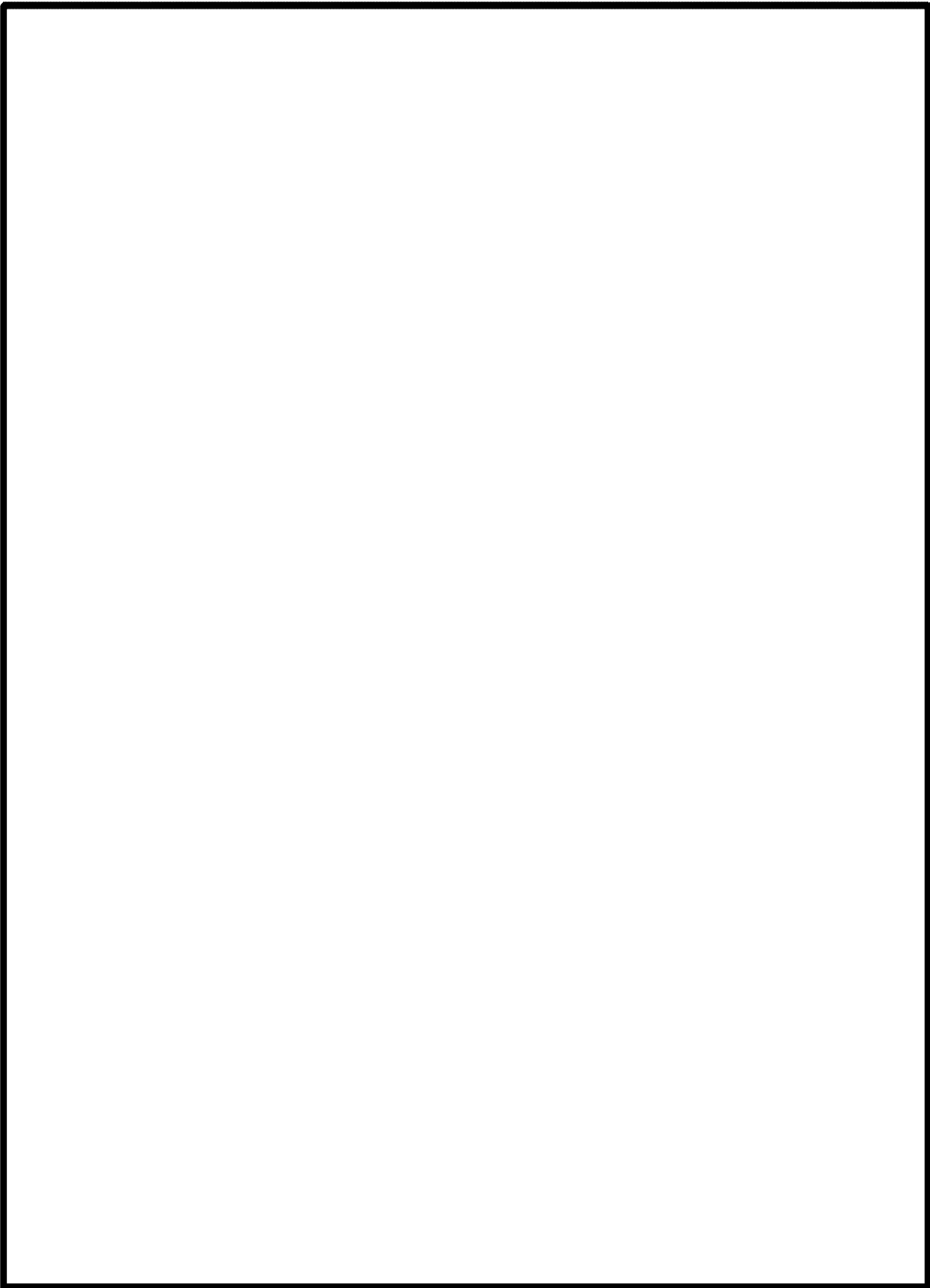
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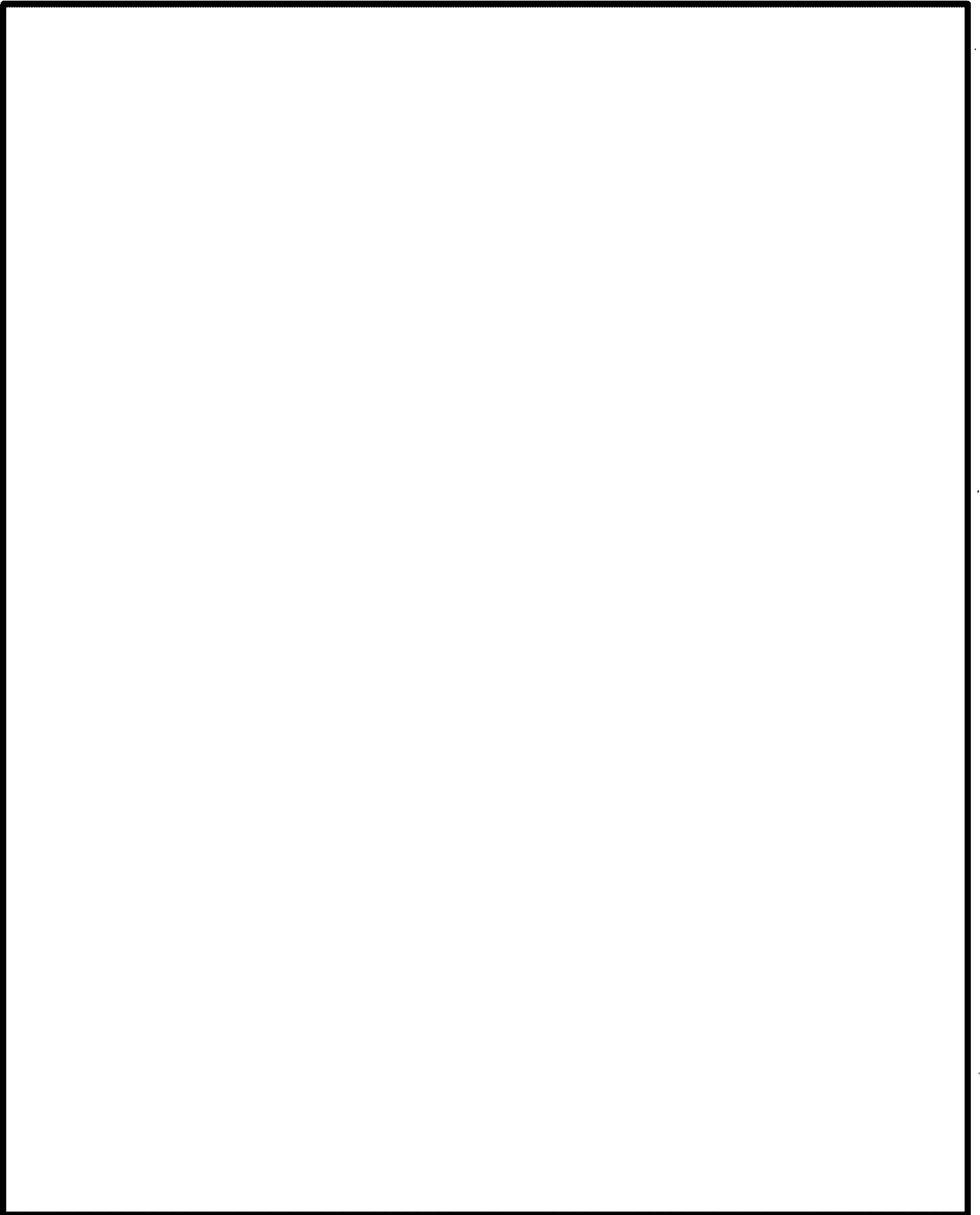
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From: USCIS Presidential Transition
To: Young, Todd P; Walters, Jessica S; Krebs, Kristie L; Prelogar, Brandon B
Cc: Renaud, Tracy L
Subject: Clearance Needed Tonight--Lockbox Costs
Date: Tuesday, December 13, 2016 7:37:49 PM
Attachments: Lockbox Costs.xlsx
Importance: High

Below/attached is a statement regarding lockbox costs. We kindly request clearance tonight as it is due to DHS tonight. Thank you!

JPMorgan is the Designated Financial Agent that provides Lockbox services for the Department of Treasury. USCIS leverages those services through an Inter-Agency Agreement (IAA) with the Department of Treasury, which is a typical service that Treasury provides for other government agencies and governmental organizations. As part of the IAA between Treasury and USCIS, Treasury covers approximately [REDACTED] of the costs associated with typical lockbox services (depositing of fees, scanning hard-copy paper forms for ingestion of data into legacy systems and ELIS, file set-up, etc.). USCIS required additional IT development costs to support our transition from data capture for legacy systems, which was a partial data capture and low resolution (200 Dpi) image capture of supporting documentation that did not conform to NARA's new standard for image resolution of scanned records, to data capture for ELIS, which is a full data capture and high resolution (300 Dpi) image capture of supporting documentation. Treasury covers [REDACTED] of the Lockbox costs associated with IT development to support ELIS. USCIS costs for Lockbox services in FY16 were [REDACTED] of which [REDACTED] were used for ELIS-related development costs, and [REDACTED] were used for all other costs not related to ELIS.

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Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
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(c) 202-489-8802

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USCIS Total Cost for Lockbox Services in FY 2016			
	USCIS Total Cost	ELIS Related Development Cost	USCIS Cost, Less ELIS
October			
November			
December			
January			
February			
March			
April			
May			
June			
July			
August			
September			
Total			
Note: The totals for			

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From: Inouye, Shinichi (Shin)
To: Adeleve, David; Alfonso, Angelica M; Allred, Esther R; Atkinson, Ronald A; Bird, John W (Wally); Bjorn Dahl, Jami A; Blando, Steve E; Boyd, Jamilah M (CTR); Brown, Katherine H; Buchan, Lesley L; Carroenter, Dea D; Carty-Pratt, Kristina E; Choi, Juliet K; Delgado, Daniel; Hatchett, Doline L; Emrich, Matthew D; Ferreira, Joanne M; Fischer, Mariestella; Groom, Molly M; Herrmann, Mary K; Hyams, Emilie B; Inouye, Shinichi (Shin); Irazabal, Luz E; Jaddou, Ur M; Carter, Jeffrey T (Jeff); Kerns, Kevin J; Krebs, Kristie L; Lanolois, Joseph E; Lankster, Lakeeshia L; Levine, Laurence D; Martin, Heather A; McCament, James W; McKinney, James R (Jim); Meckley, Tammy M; Melero, Mariela; Munoz-Acevedo, Carlos; Neufeld, Donald W; Nimick, Charles L (Locky); Ostapowich, Stephanie A; Patching, Laura D; Powell, Paul; Prelogar, Brandon B; Renaud, Daniel M; Renaud, Tracy L; Rigdon, Jerry L; Rodriguez, Leon; Rogers, Debra A; Rosenberg, Ronald M (Ron); Salas, Bryan E; Savina, Jennifer P (Jenni); Scialabba, Lori L; Scott, Danielle N; Solano, Esther A; Stiefel, Nathaniel I; Swanson, Toni; Tintary, Ruth E; Valverde, Michael; Vanison, Denise; Walters, Jessica S; Young, Todd P
Subject: Clip - WP: Retired Marine Gen. John F. Kelly picked to head Department of Homeland Security
Date: Wednesday, December 07, 2016 11:50:57 AM

https://www.washingtonpost.com/world/national-security/retired-marine-gen-john-f-kelly-picked-to-head-department-of-homeland-security/2016/12/07/165472f2-bbe6-11e6-94ac-3d324840106c_story.html?utm_term=.fc93fcae5659&wpisrc=al_alert-COMBO-politics%252Bnation

Retired Marine Gen. John F. Kelly picked to head Department of Homeland Security

By [Jerry Markon](#) and [Dan Lamothe](#) December 7 at 11:36 AM

President-elect Donald Trump has chosen retired Marine Gen. John F. Kelly to run the Department of Homeland Security, turning to a blunt-spoken border security hawk who clashed with the Obama administration over women in combat and plans to close the prison at Guantanamo Bay, according to people familiar with the decision.

Kelly, who retired in February as chief of U.S. Southern Command, would inherit a massive and often troubled department responsible for overseeing perhaps the most controversial part of Trump's agenda: his proposed crackdown on illegal immigration. DHS is the

third-largest Cabinet department, with more than 240,000 employees who do everything from fight terrorism to protect the president and enforce immigration laws.

Kelly, 66, is a widely-respected military officer who served for more than 40 years, and he is not expected to face difficulty winning Senate confirmation. Trump's team was drawn to him because of his southwest border expertise, people familiar with the transition said. Like the president-elect Kelly has sounded the alarm about drugs, terrorism and other cross-border threats he seems as emanating from Central and South America.

Yet Kelly's nomination could raise questions about what critics see as Trump's tendency to surround himself with too many military figures. Trump has also selected retired Marine Gen. James N. Mattis for defense secretary and retired Lt. Gen. Michael T. Flynn as national security adviser, while retired Army Gen. David Petraeus is under consideration for secretary of state.

Kelly, a Boston native, was chosen over an array of other candidates who also met with Trump after his surprise election victory last month. Those in contention included Frances Townsend, a top homeland security and counterterrorism official in the George W. Bush administration; Milwaukee County sheriff David Clarke and Kansas Secretary of State Kris Kobach. Clarke and Kobach are vocal Trump backers, with Kobach being nationally known for his strong views on restricting illegal immigration.

In the end, people familiar with the transition said, the choice came down to Kelly and Rep. Michael McCaul (R-Tex.), chairman of the House Homeland Security Committee. McCaul was considered an early favorite, but his chances were hurt by opposition from some conservatives who found him insufficiently tough on border security, the people said.

Known inside the Pentagon as a thoughtful man who continued serving his country even after his son was killed in combat; Kelly has talked in stark terms — much like Trump -- about the threats America faces in the Middle East and beyond. In speeches, he has expressed frustration with what he calls the “bureaucrats” in Washington, and he described the military’s counterterrorism operations abroad as a war against a “savage” enemy who would gladly launch more deadly attacks.

“Given the opportunity to do another 9/11, our vicious enemy would do it today, tomorrow and everyday thereafter,” Kelly said in a 2013 Memorial Day address in Texas. “I don’t know why they hate us, and I frankly don’t care, but they do hate us and are driven irrationally to our destruction.”

His blunt manner led to conflicts within the Obama administration, where he served more than three years as Southern Command chief — overseeing military operations across Central and South America — and as senior military adviser to defense secretaries Robert M. Gates and Leon E. Panetta.

Kelly opposed Obama’s failed plans to close Guantanamo, people familiar with his views say, and he has strongly defended how the military handles detainees. In a 2014 interview, he told The Washington Post that criticism of their treatment by human rights groups and others was “foolishness.”

He also publicly expressed concerns over the Pentagon’s order in December that for the first time opened all jobs in combat units to women, including the most elite forces such as the Navy SEALs. “They’re saying we are not going to change any standards,” Kelly told reporters at the Pentagon. “There will be great pressure, whether it’s 12 months from now, four years from now, because the

question will be asked whether we've let women into these other roles, why aren't they staying in those other roles?"

On the personal side, Kelly learned firsthand the pain and loss suffered by many military families. His son, 2nd Lt. Robert M. Kelly, died in Afghanistan fighting the Taliban in 2010. Four days later, the general delivered a passionate and at times angry speech about the military's sacrifices and its troops' growing sense of isolation from society.

"Their struggle is your struggle," he told a crowd of former Marines and business people in St. Louis. "If anyone thinks you can somehow thank them for their service, and not support the cause for which they fight - our country - these people are lying to themselves. . . . More important, they are slighting our warriors and mocking their commitment to this nation."

He never mentioned his son by name. The speech has been passed around the Internet ever since.

As DHS secretary, Kelly would take on what is considered to be one of Washington's most challenging jobs, in part because of the agency's persistent management problems and employee morale that is among the federal government's lowest.

Although DHS was created after the Sept. 11, 2001 attacks primarily to coordinate the battle against terrorism, it is now perhaps equally known for its immigration role. Trump has pledged a crackdown on illegal immigration that would require an expensive and logistically difficult operation to remove millions from the country.

That work would be overseen by DHS components such as U.S. Immigration and Customs Enforcement (ICE), which Trump has proposed to beef up by tripling the number of agents. U.S. Customs

and Border Protection, also part of DHS, is also likely to come under increased pressure in the Trump administration to better secure the Southwest border.

Perhaps Kelly's most visible role would be to help oversee Trump's signature campaign promise: a wall along the U.S.-Mexico border to keep out illegal immigrants. Trump has said the construction will be easy, but experts say the structure would face numerous obstacles, such as environmental and engineering problems and fights with ranchers and others who would resist giving up their land.

The president-elect and his homeland security secretary appear to be in synch on cross-border threats.

In congressional testimony last year, Kelly said the Southern Command was "just barely" able to keep on the "pilot light of U.S. military engagement" in the border region, and he warned that existing smuggling routes into the United States could be used by terrorist groups.

"Despite the heroic efforts of our law enforcement colleagues, criminal organizations are constantly adapting their methods for trafficking across our borders," Kelly told the Senate Armed Services Committee. "While there is not yet any indication that the criminal networks involved in human and drug trafficking are interested in supporting the efforts of terrorist groups, these networks could unwittingly, or even wittingly, facilitate the movement of terrorist operatives or weapons of mass destruction toward our borders."

Kelly's thoughts on other controversial issues, however, have been markedly more measured than Trump's. While the president-elect once called for a ban on all Muslims entering the United States,

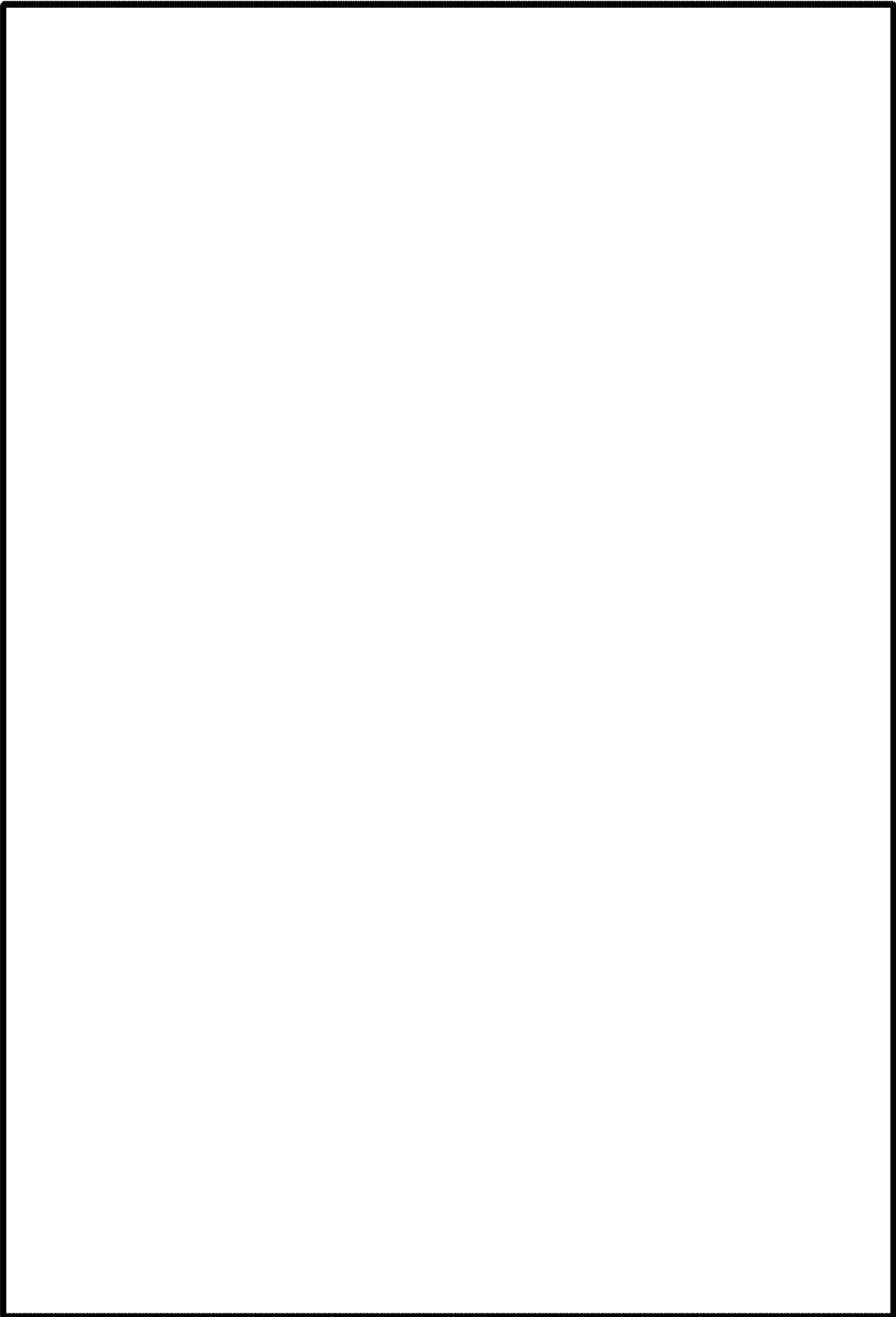
Kelly has said U.S. troops “respect and even fight for the right of your neighbor to venerate any God he or she damn well pleases.”

He has also stressed the importance of enforcing human rights, and told military commanders in Latin America that they revert to the past and overthrow civilian leaders with whom they disagree.

“Since 1945, no one in the U.S. military has liked the end result of the military conflicts we’ve been in: Vietnam, Korea, certainly Iraq, and probably Afghanistan,” Kelly said in a 2015 discussion at the Pacific Council on International Policy. “But in a democracy, you salute. You suck it up. . .You cannot act.”

Earlier in his career, Kelly served as the assistant commander of the 1st Marine Division under Mattis during the initial invasion of Iraq in 2003. He returned there again in 2004, and a third time in 2008, when he was named the top U.S. commander in western Iraq. Before becoming a general, Kelly served as a special assistant to the North Atlantic Treaty Organization’s supreme allied commander for Europe, working from Belgium.

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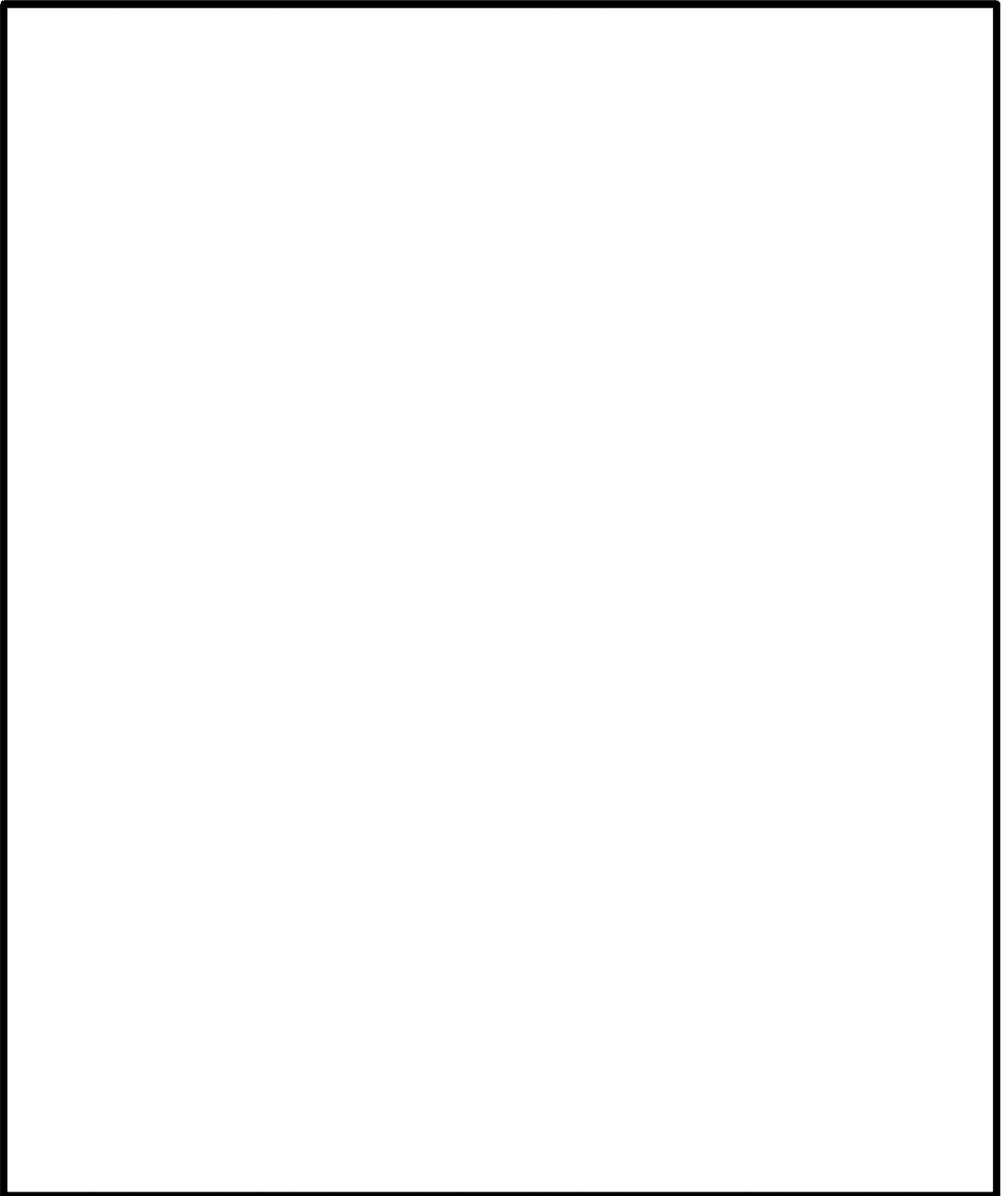
From: USCIS Presidential Transition
To: Stone, Mary M; Strack, Barbara L; Davidson, Andrew J; Emrich, Matthew D; Zellen, Lorie A
Cc: Langlois, Joseph E; FDNSExecSec; Renaud, Tracy L
Subject: Director's Office Edits
Date: Tuesday, December 06, 2016 10:14:36 AM
Attachments: Refugee Processing Presentation 12-05-16 TY BP JSW Comments.pptx
Importance: High

The Director's Office had a couple minor edits to the presentation. Please review and if you are okay with the edits, I will incorporate them and send it back to the Director's Office for final clearance and then to DHS for their clearance. If you could let me know today, that would be much appreciated.

Thank you,
Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
(c) 202-489-8802

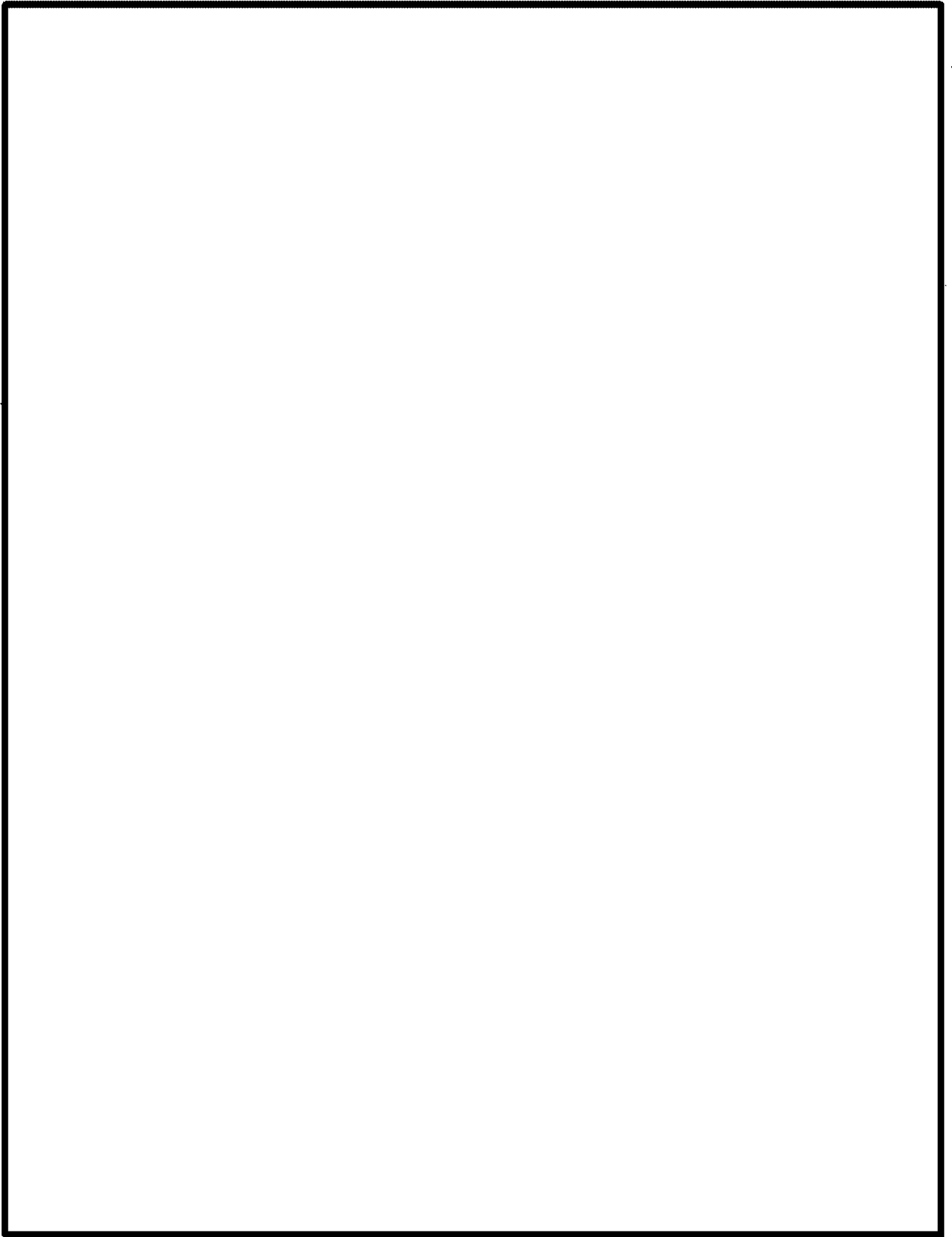
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(b)(5)



TALKING POINTS (DAN):

(b)(5)



From: USCIS Presidential Transition
To: Schwartz, Mark A; Renaud, Daniel M
Cc: Renaud, Tracy L; Kerns, Kevin J; USCIS MGT Tasks
Subject: ELIS Briefing Presentation
Date: Tuesday, November 29, 2016 3:04:09 PM
Attachments: USCIS ELIS Briefing Presentation.pptx

Dan/Mark,

Attached please find the draft presentation for the ELIS transition briefing. If you have any edits, please let me know as soon as possible so that I may send this to OCC to be cleared.

Thank you,
Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
(c) 202-489-8802

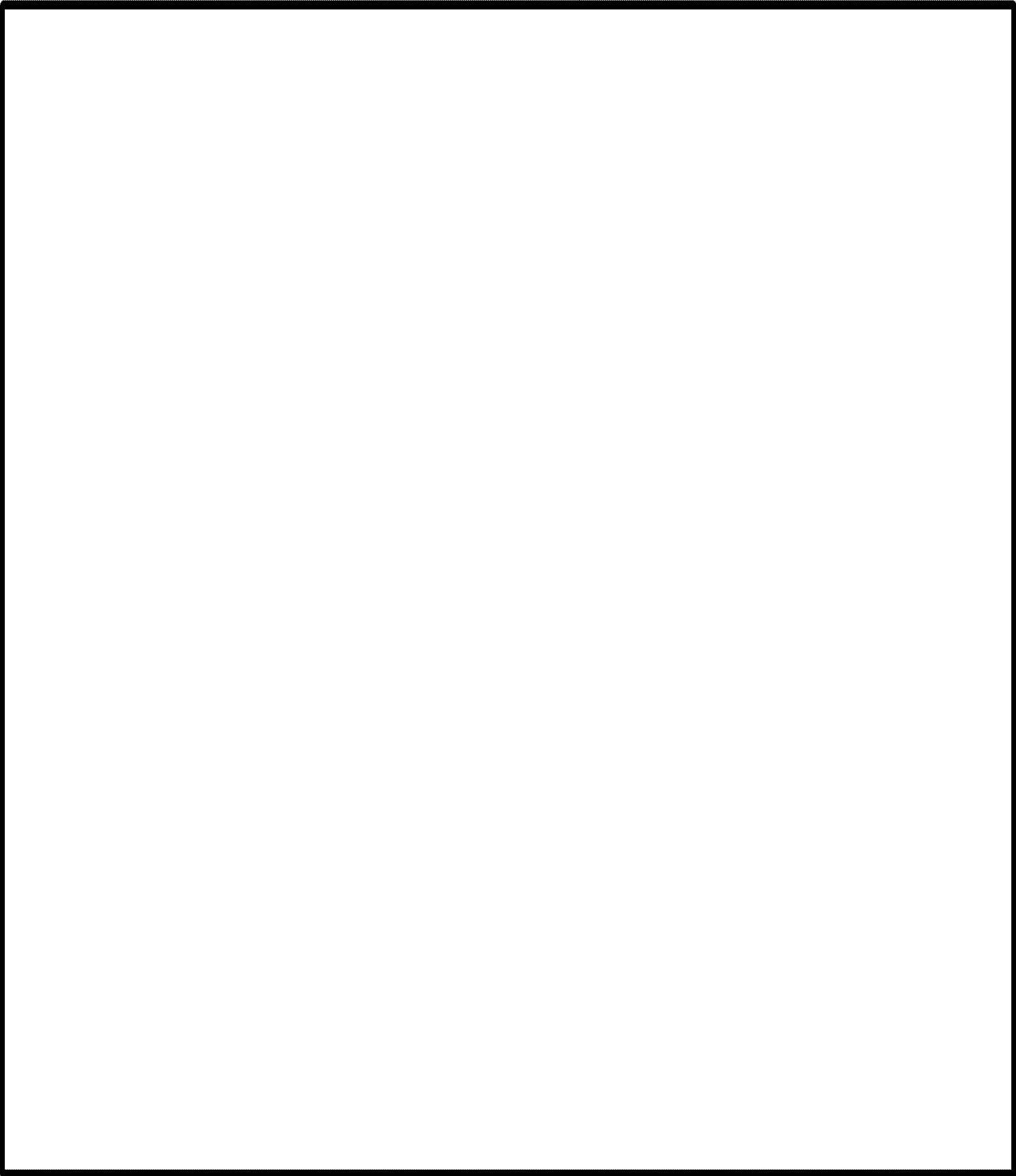
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Services

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-DRAFT-



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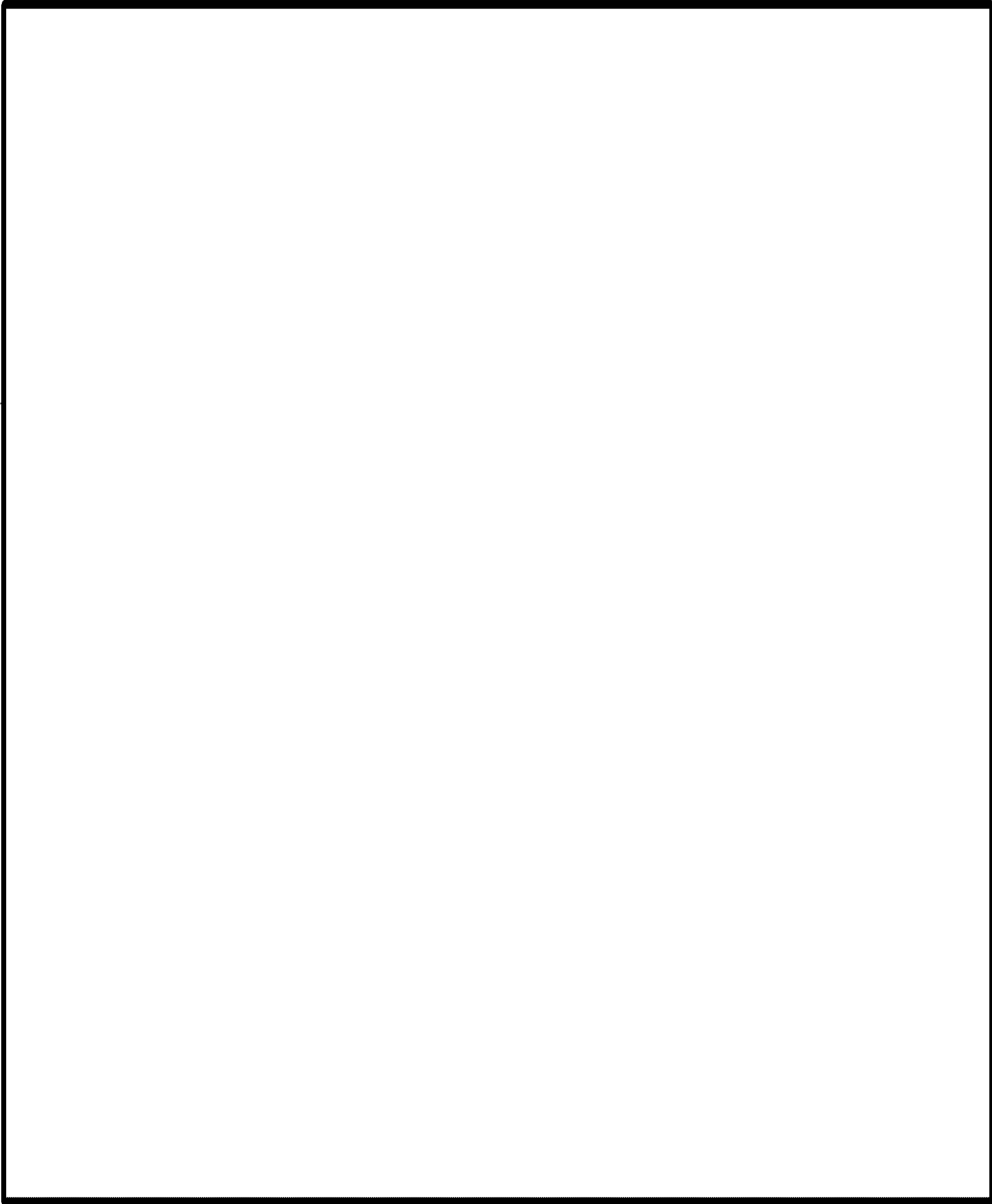
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(b)(5)

-DRAFT-

(b)(5)

-DRAFT-

From: USCIS Presidential Transition
To: Young, Todd P; Prelogar, Brandon B; Walters, Jessica S; Krebs, Kristie L
Cc: Renaud, Tracy L
Subject: ELIS Call Center Information and E-Filed Application Information--DUE TODAY
Date: Tuesday, December 13, 2016 3:47:14 PM
Attachments: ELIS Call Center and E-Applications.docx
Importance: High

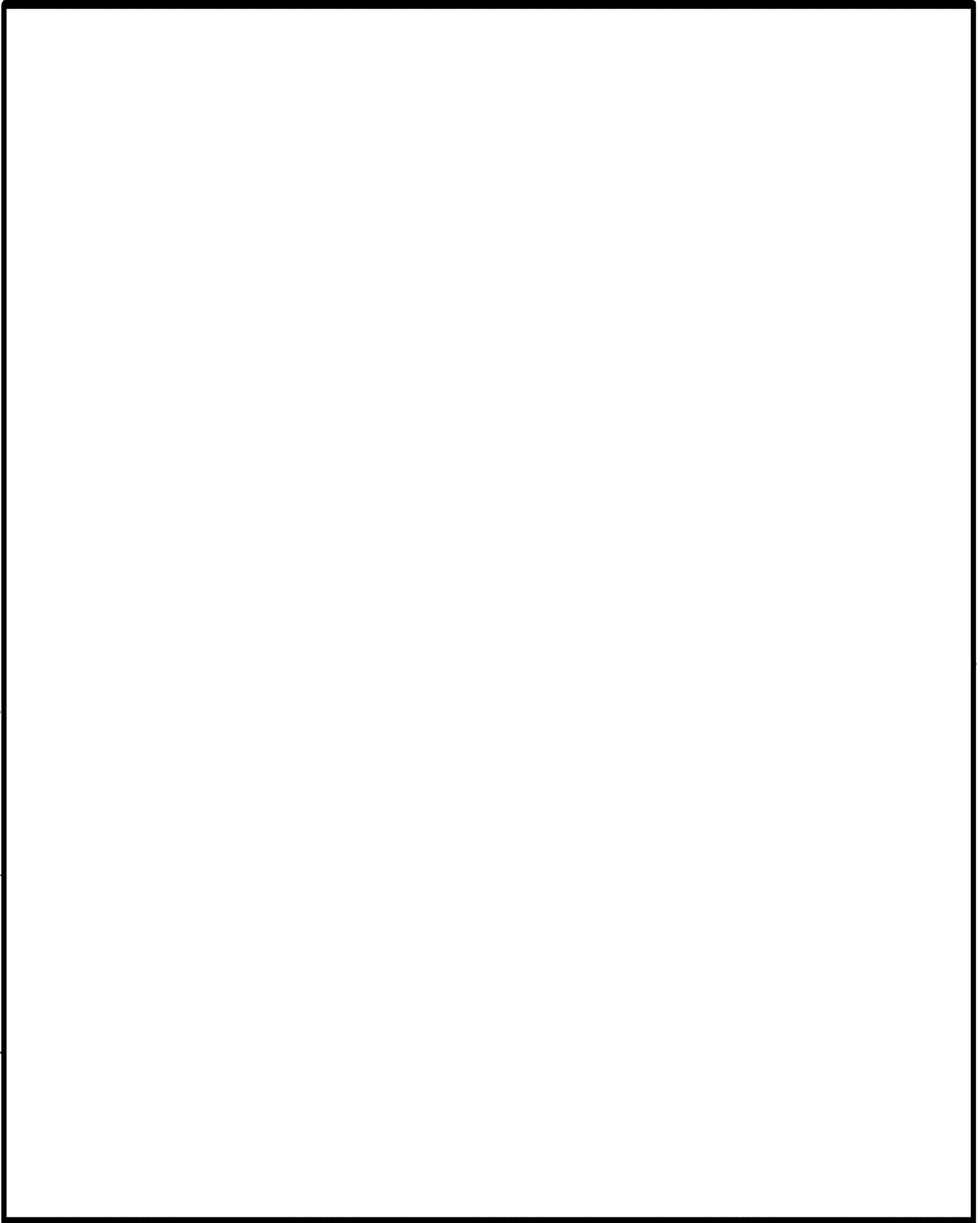
The attached has been requested by the transition team and is due to DHS today. OCC has cleared and we are requesting clearance from your principal.

Thank you,
Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
(c) 202-489-8802

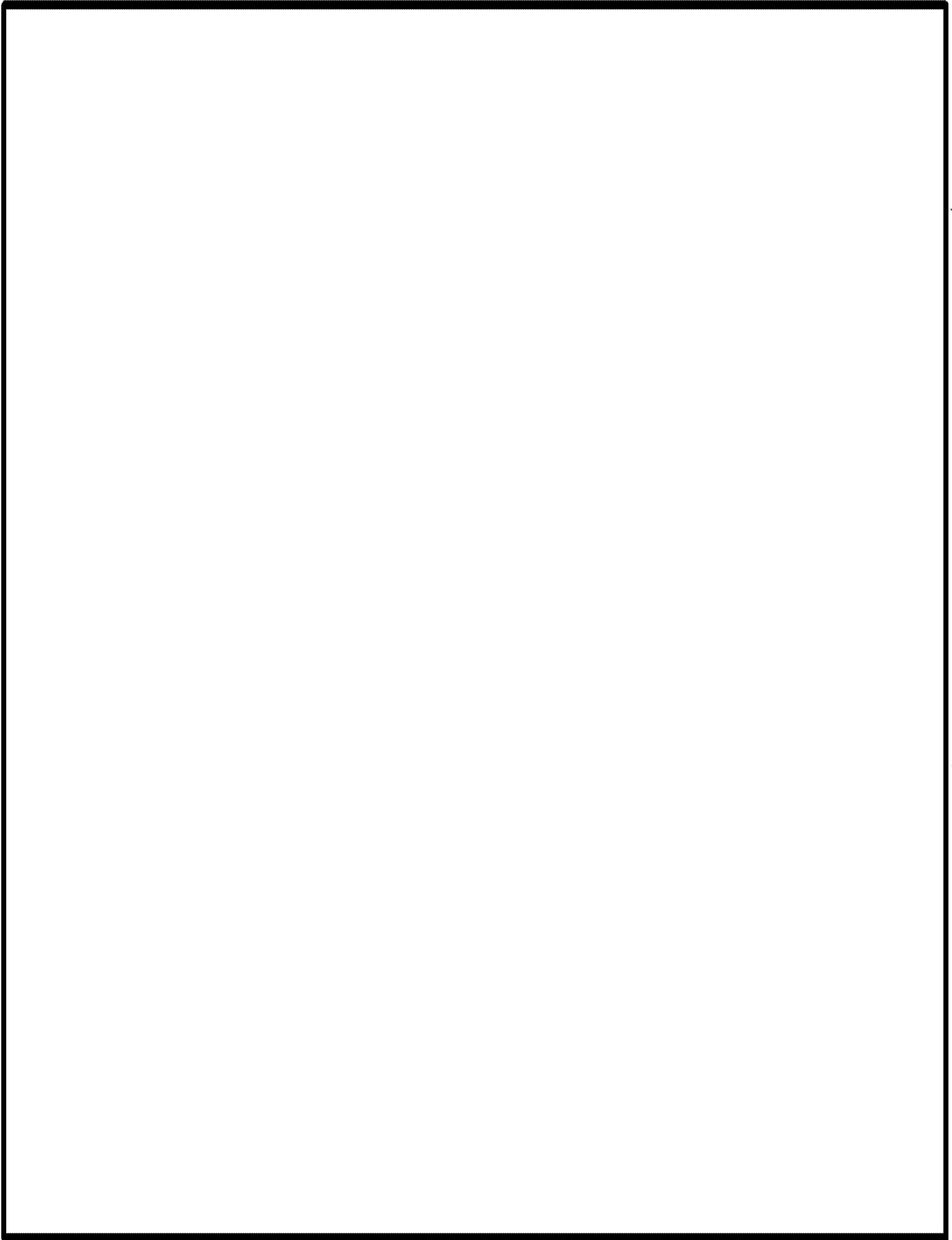
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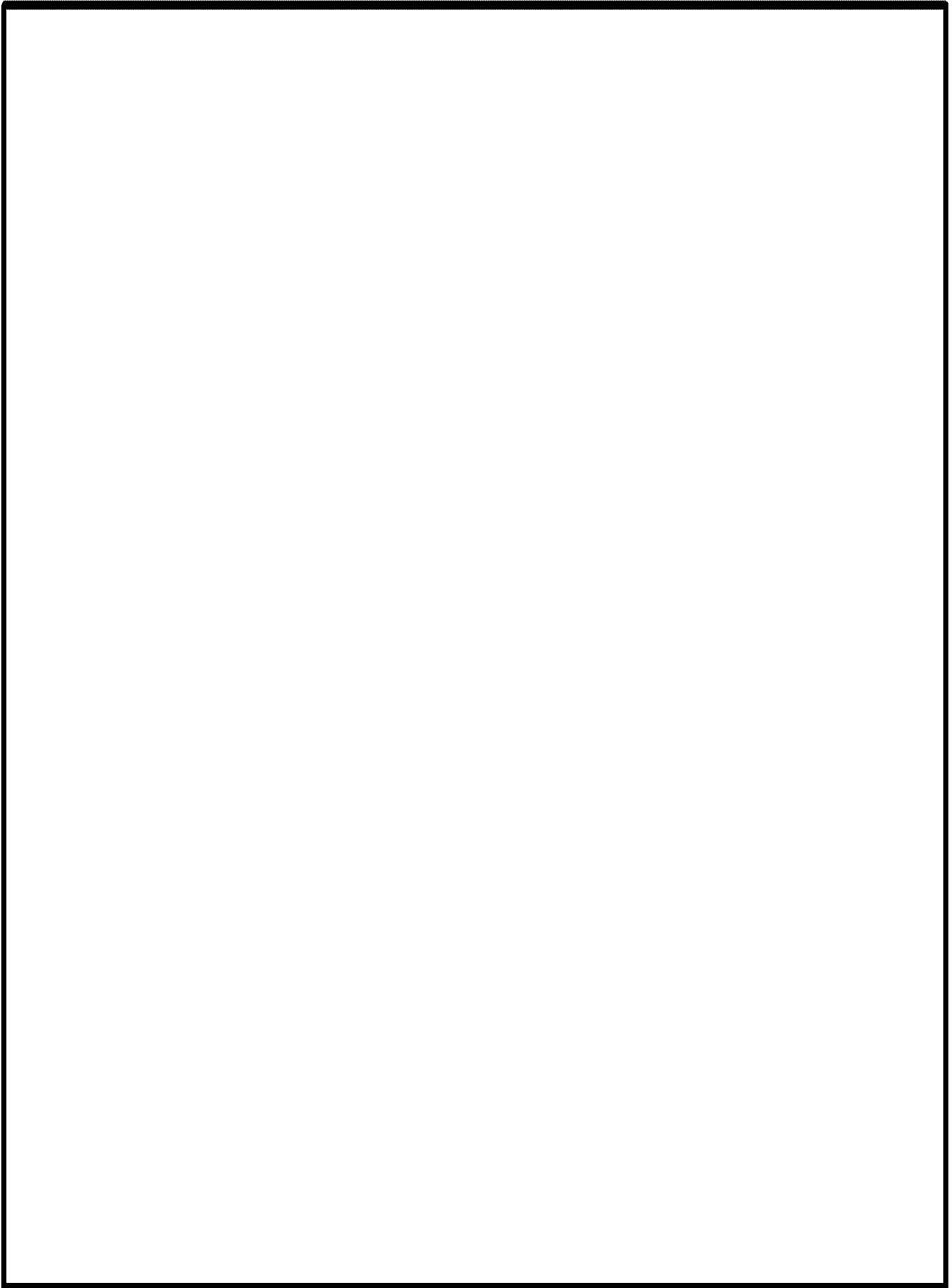
Customer Engagement Center



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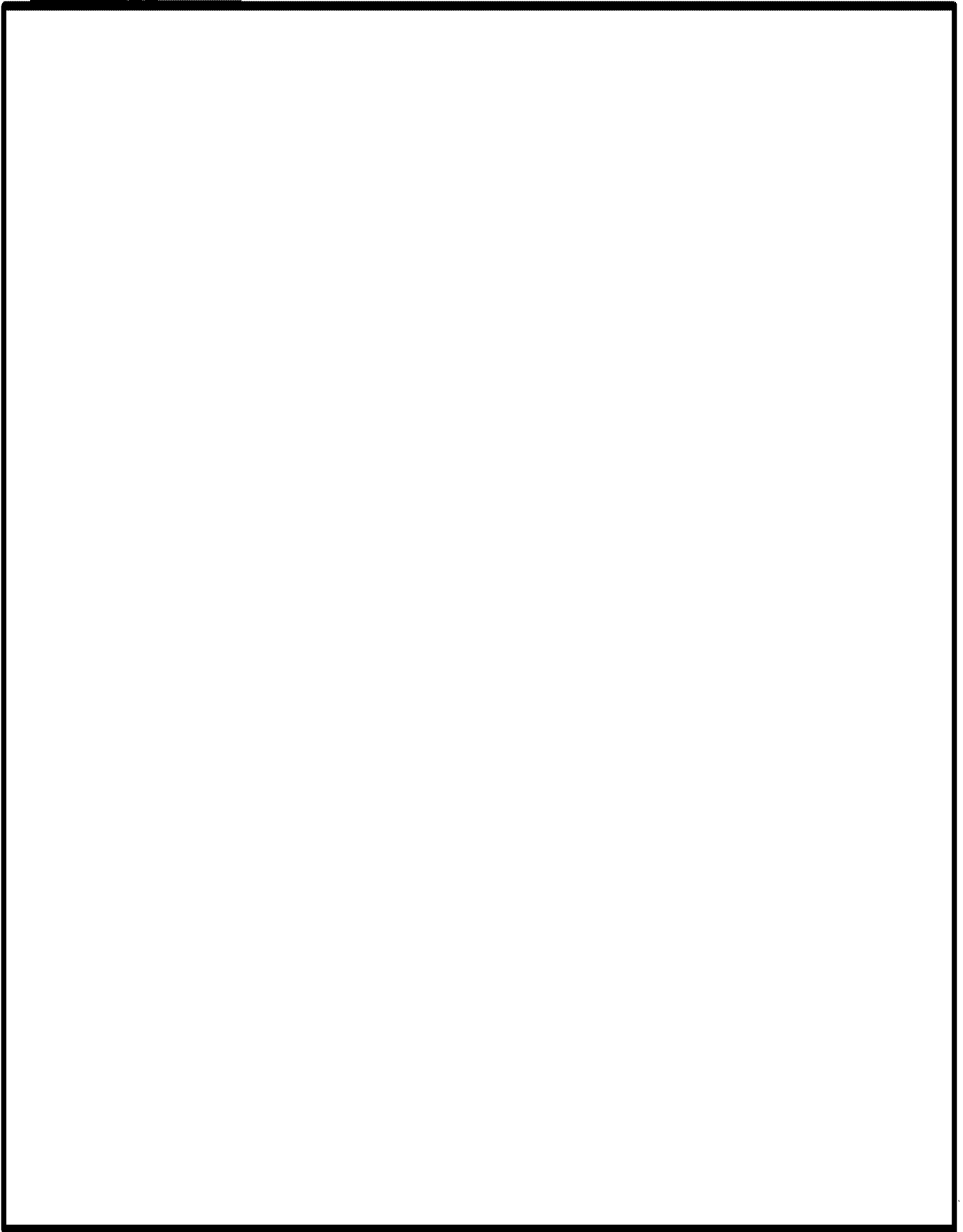
From: USCIS Presidential Transition
To: OCC-Clearance; Jaddou, Ur M; Groom, Molly M; Miles, John D; Carpenter, Dea D
Cc: Renaud, Tracy L
Subject: ELIS Help Desk--URGENT
Date: Tuesday, December 13, 2016 2:49:52 PM
Attachments: ELIS Call Center and E-Applications.docx
Importance: High

Attached is the stats for the ELIS help desk and e-filing information for your review. There's not much legal-y here, but it needs to be cleared by you as well. If you could review as soon as possible, I need to have the front office review today as well.

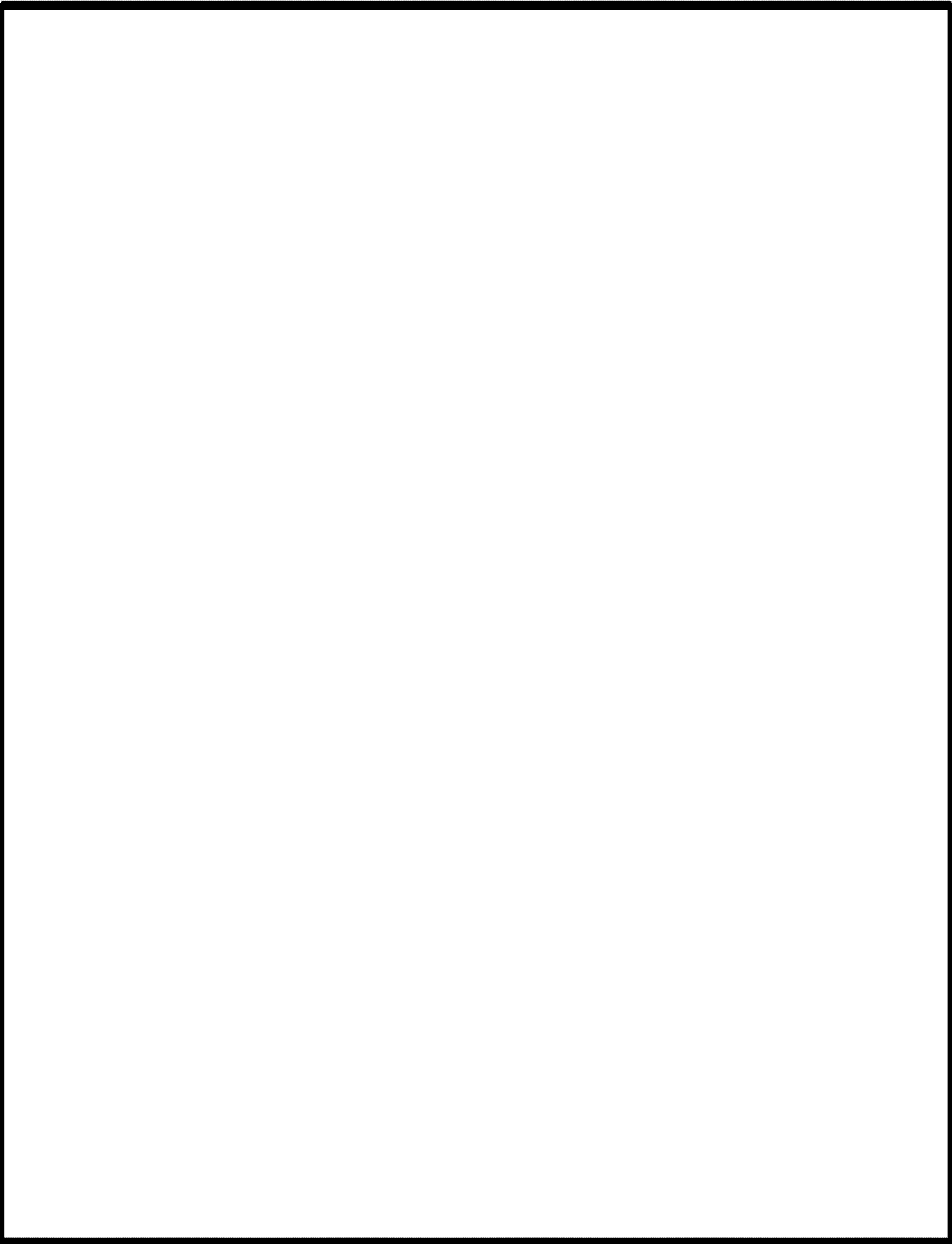
Thank you,
Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
(c) 202-489-8802

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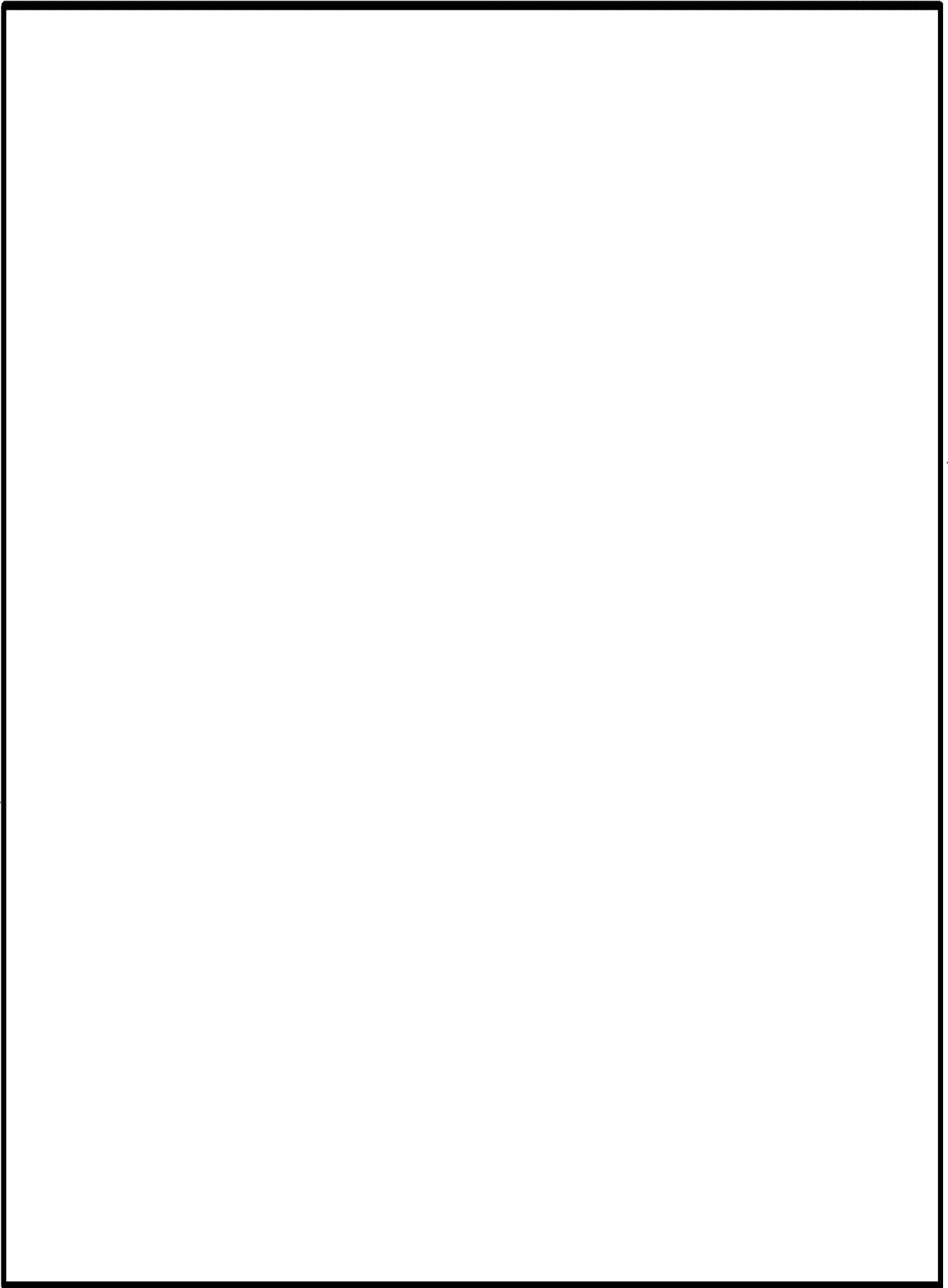
Customer Engagement Center



(b)(5)



(b)(5)



From: [USCIS Presidential Transition](#)
To: [Young, Todd P;](#) [Walters, Jessica S](#)
Cc: [Renaud, Tracy L](#)
Subject: FOR CLEARANCE-Backlog Information
Date: Tuesday, December 13, 2016 2:53:56 PM
Attachments: [USCIS Updates for OMB revisions 11-9-16 final.pptx](#)
[USCIS Backlog IP 2016 FINAL.docx](#)

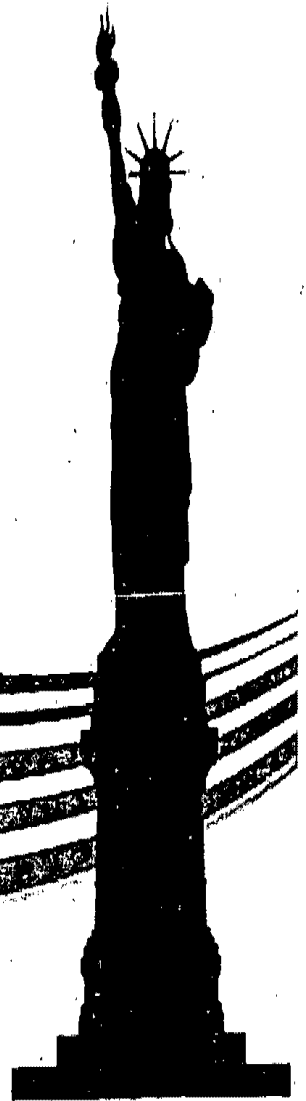
Here's the issue paper and the presentation we provided on backlogs to OMB. Is it okay to submit to the transition team?

Thank you,
Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
(c) 202-489-8802

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U.S. Citizenship
and Immigration
Services



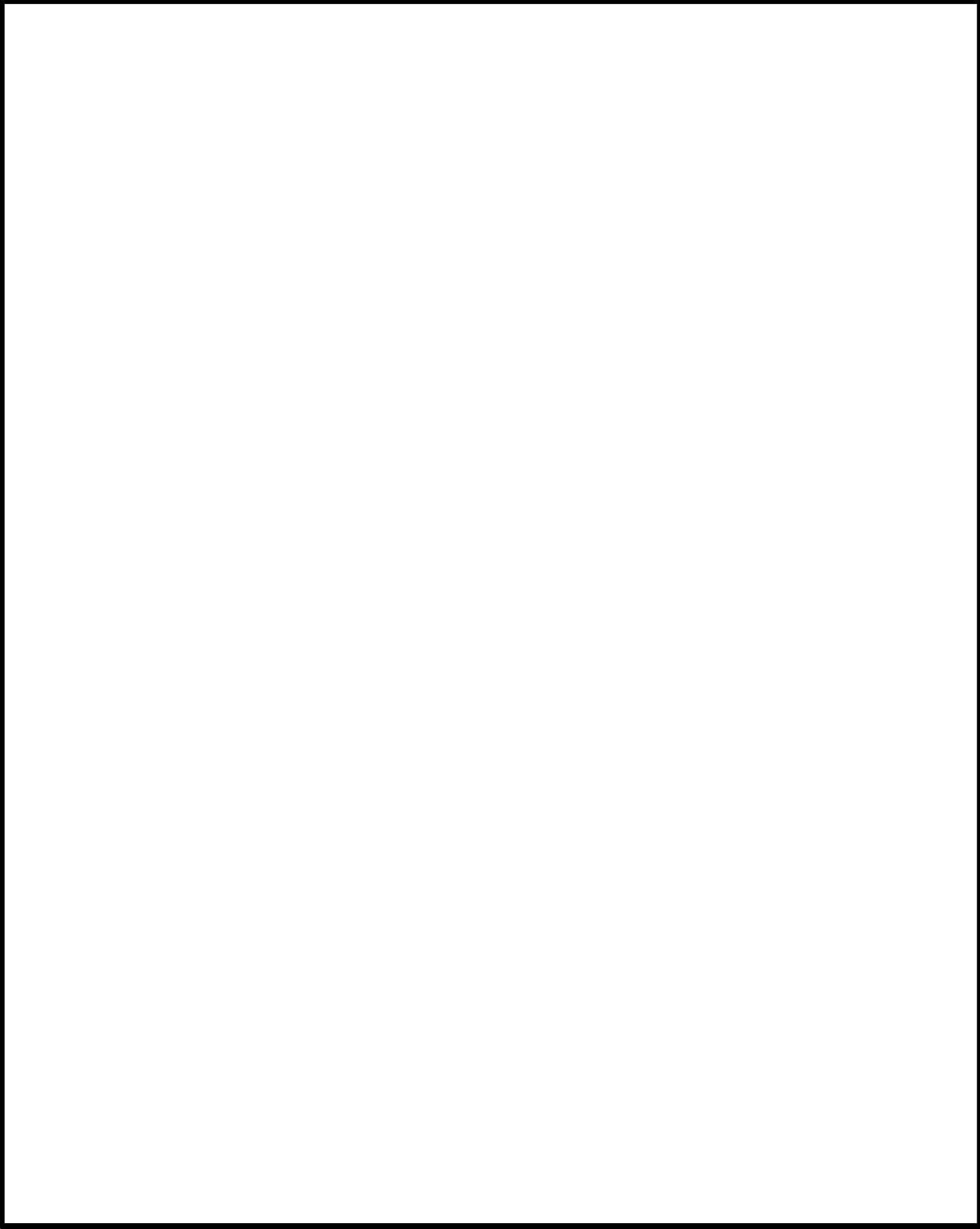
Department of Homeland Security USCIS Updates for OMB/DPC

November 10, 2016

USCIS BACKLOG

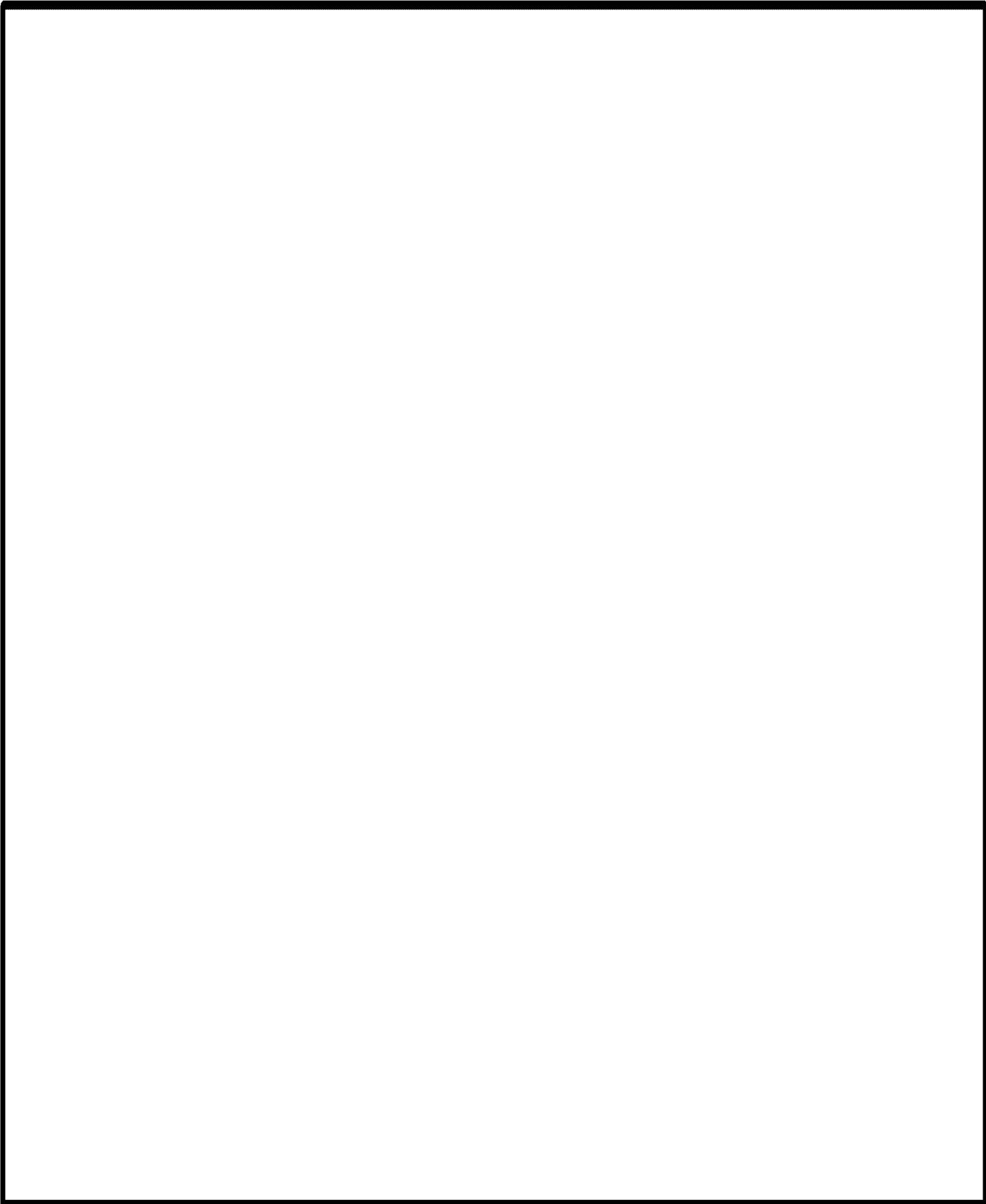
USCIS BACKLOG

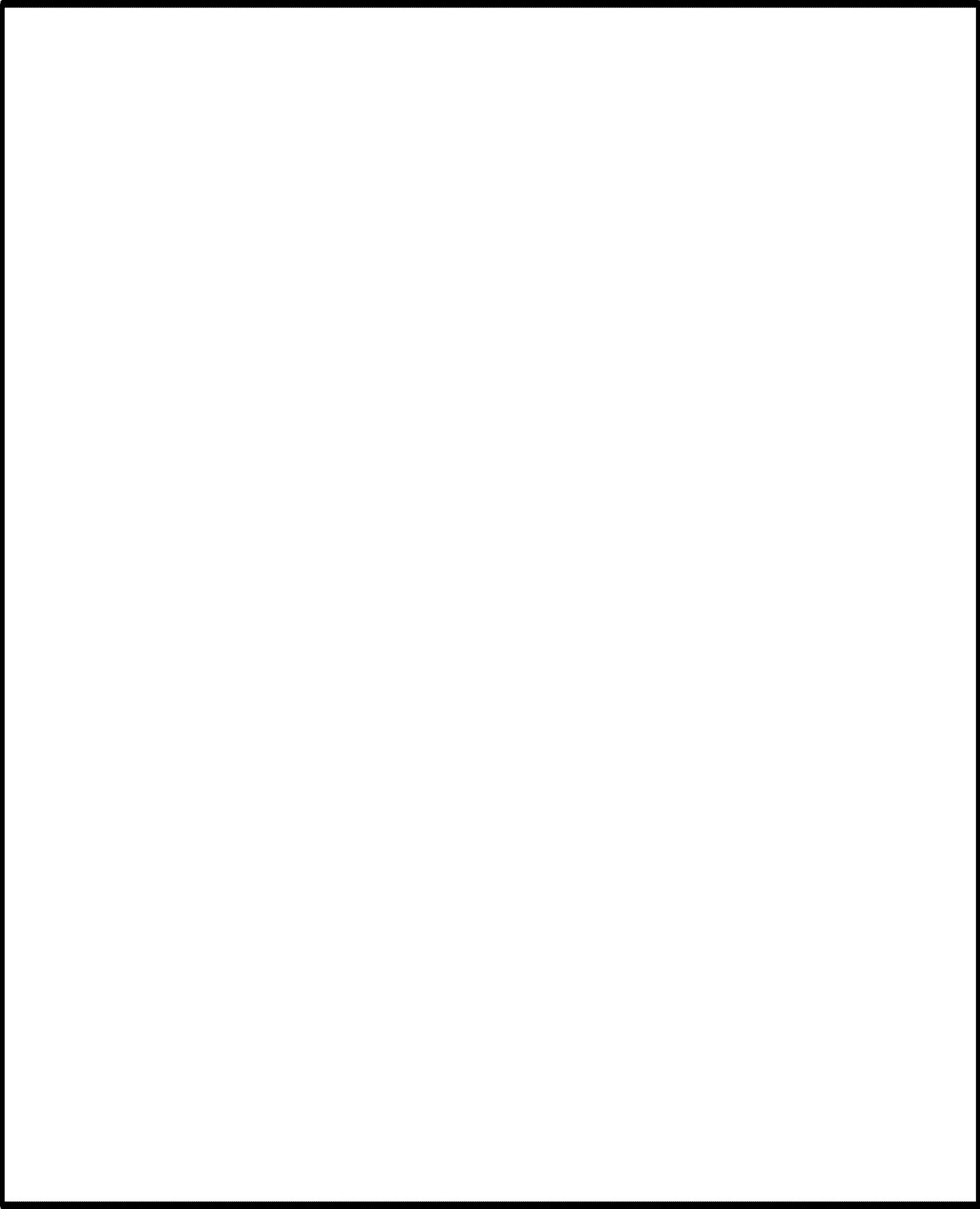
PRE-DECISIONAL - NOT FOR DISTRIBUTION



USCIS BACKLOG

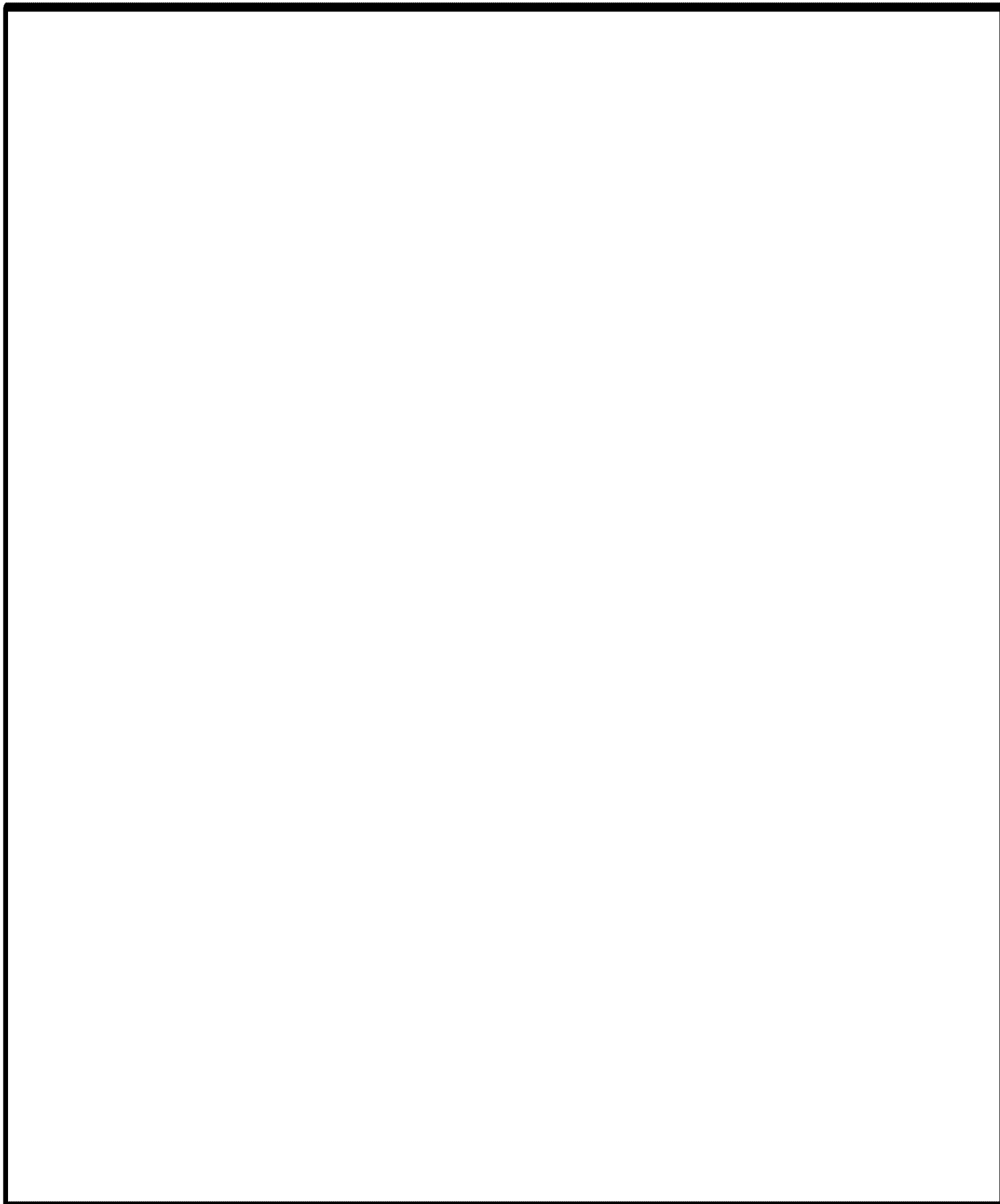
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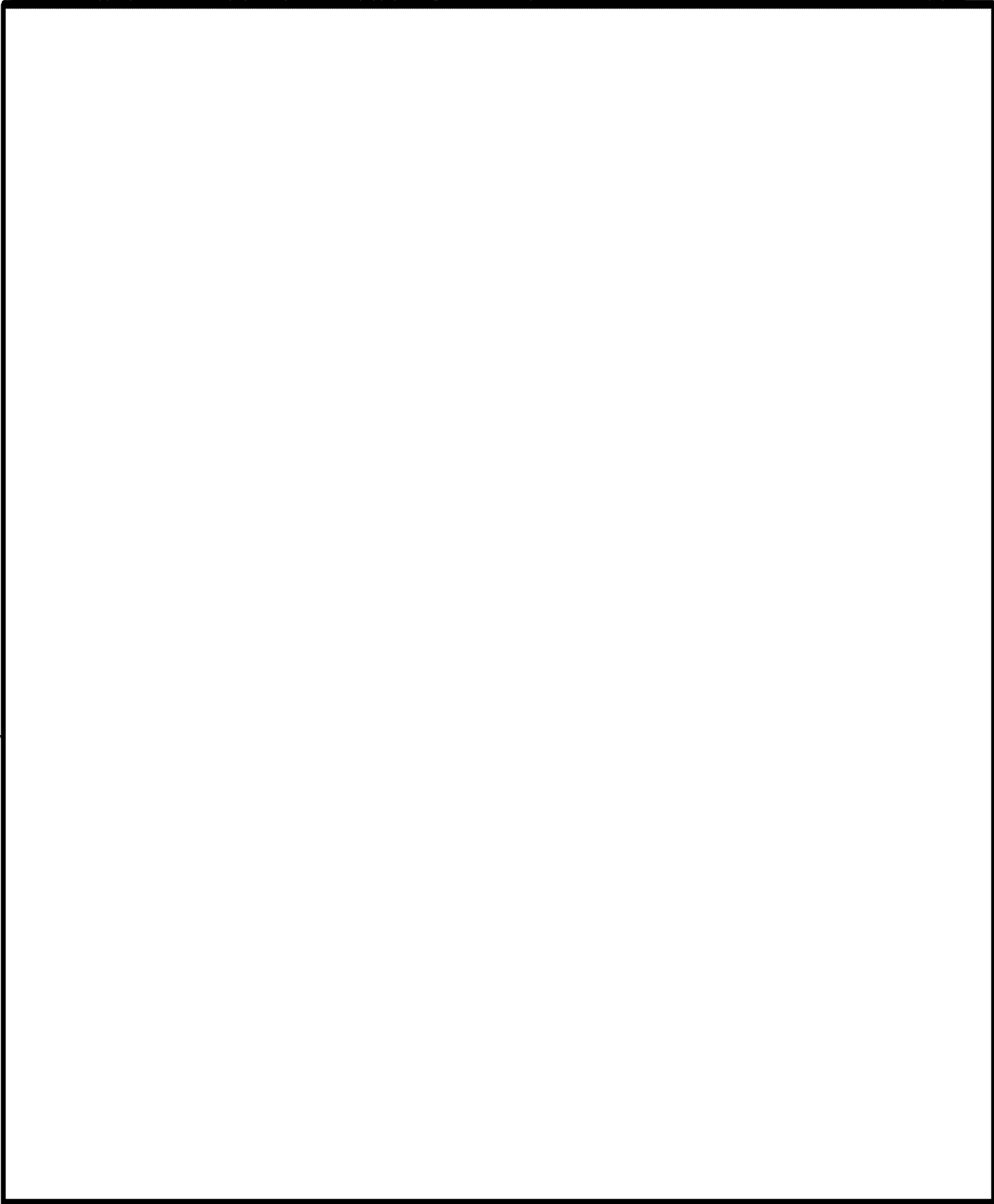
ROOT CAUSES

PRE-DECISIONAL - NOT FOR DISTRIBUTION



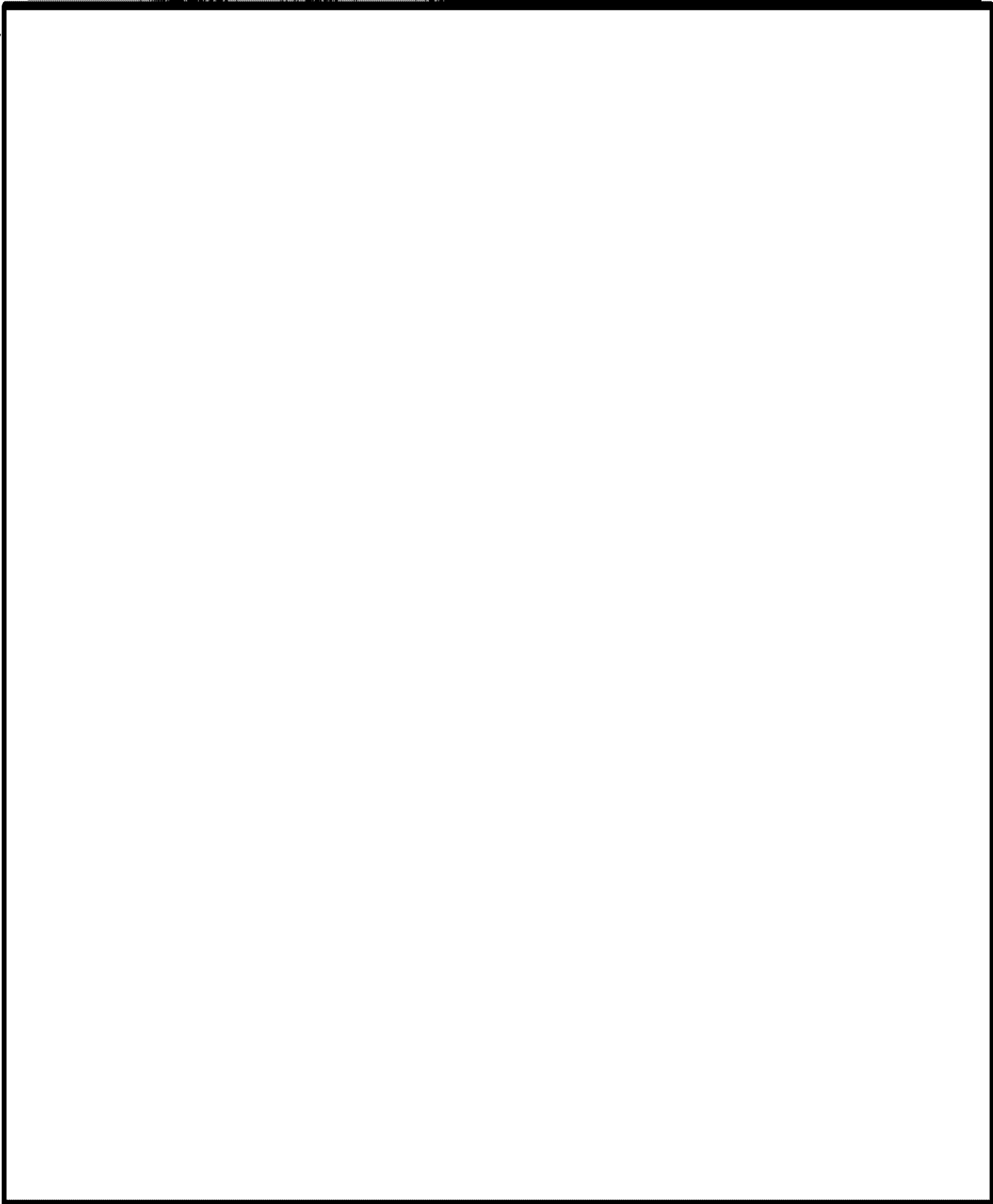
COMPLETIONS PER HOUR

PRE-DECISIONAL - NOT FOR DISTRIBUTION



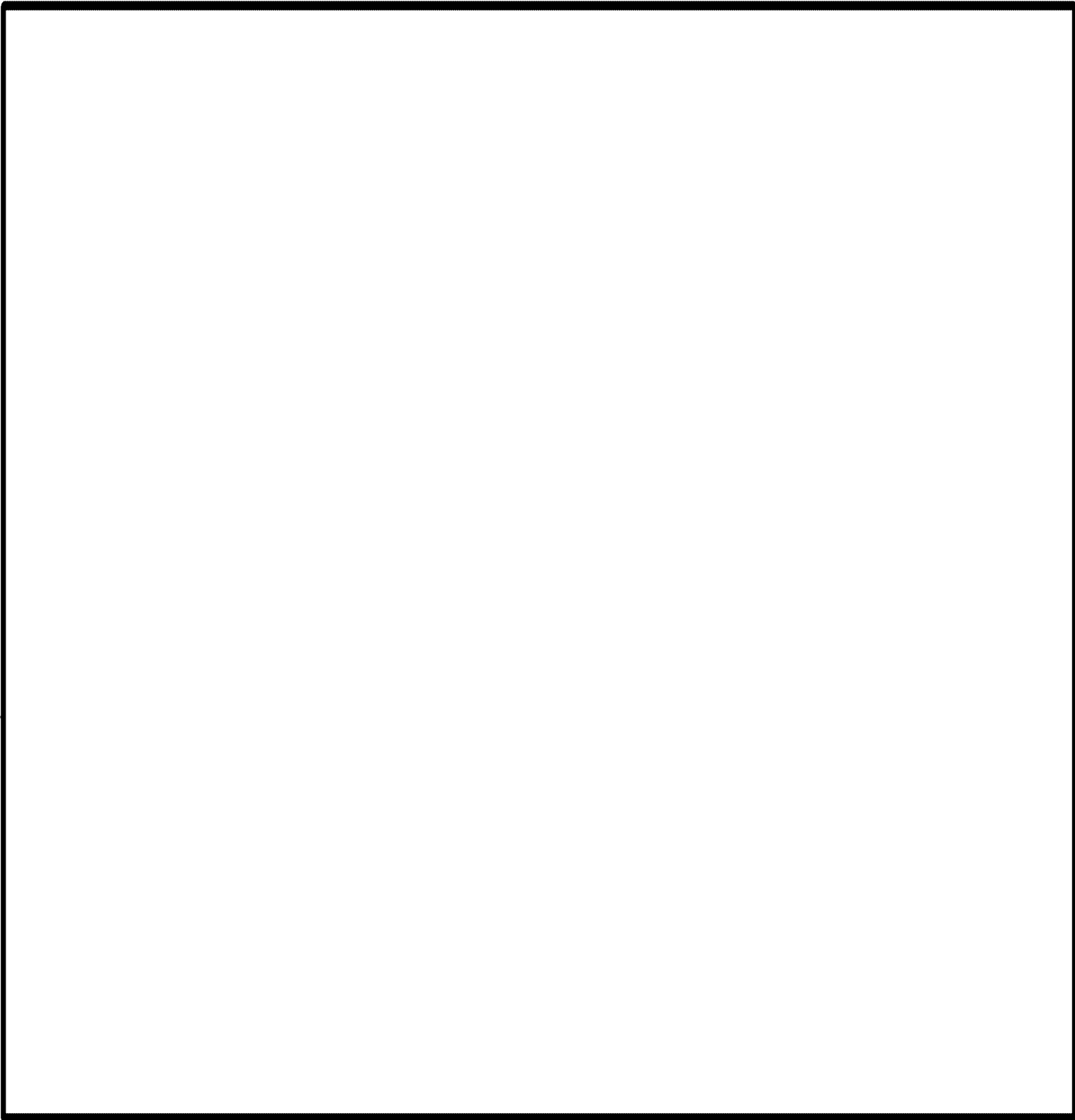
CHALLENGES

PRE-DECISIONAL – NOT FOR DISTRIBUTION



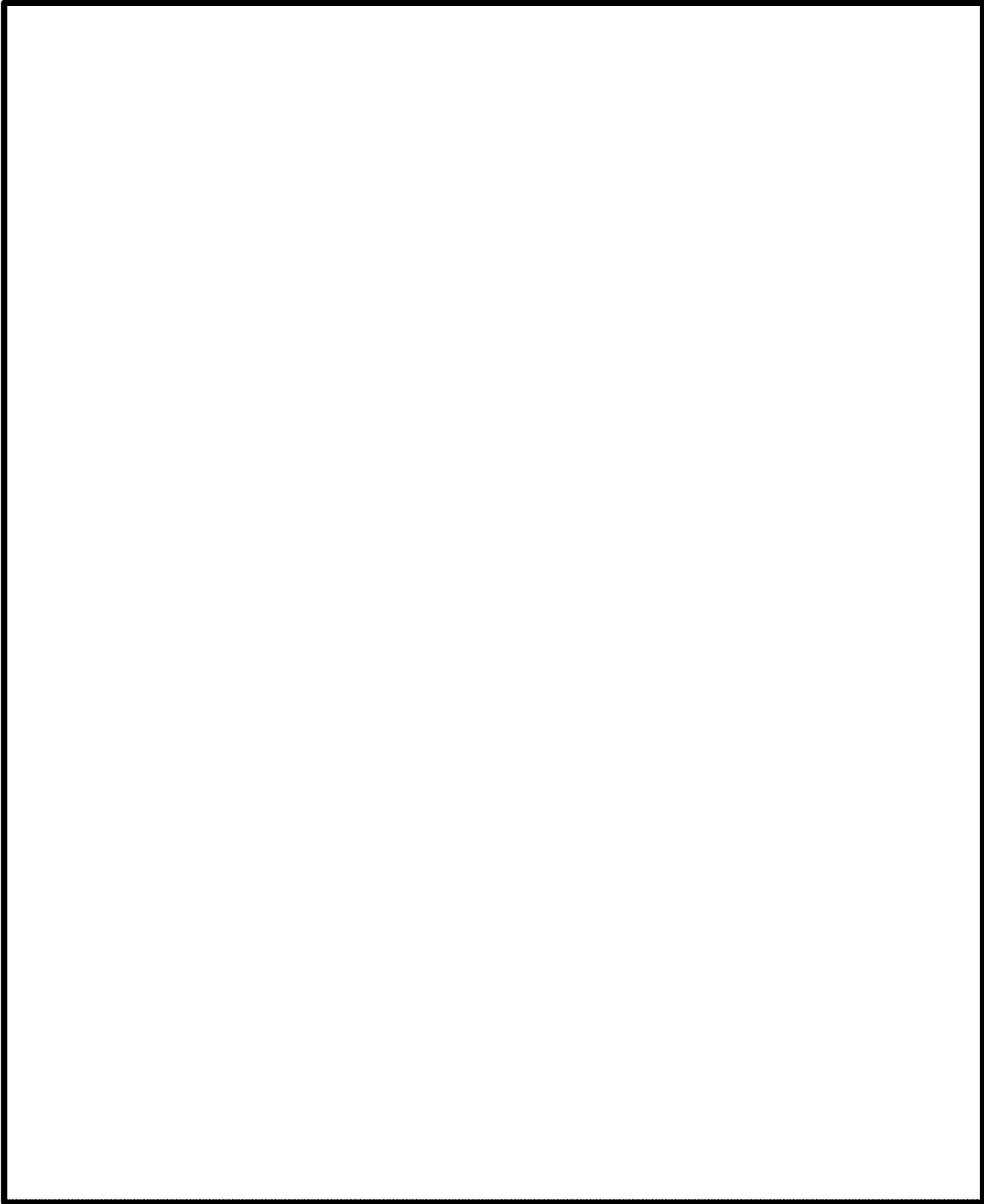
NEXT STEPS

PRE-DECISIONAL – NOT FOR DISTRIBUTION



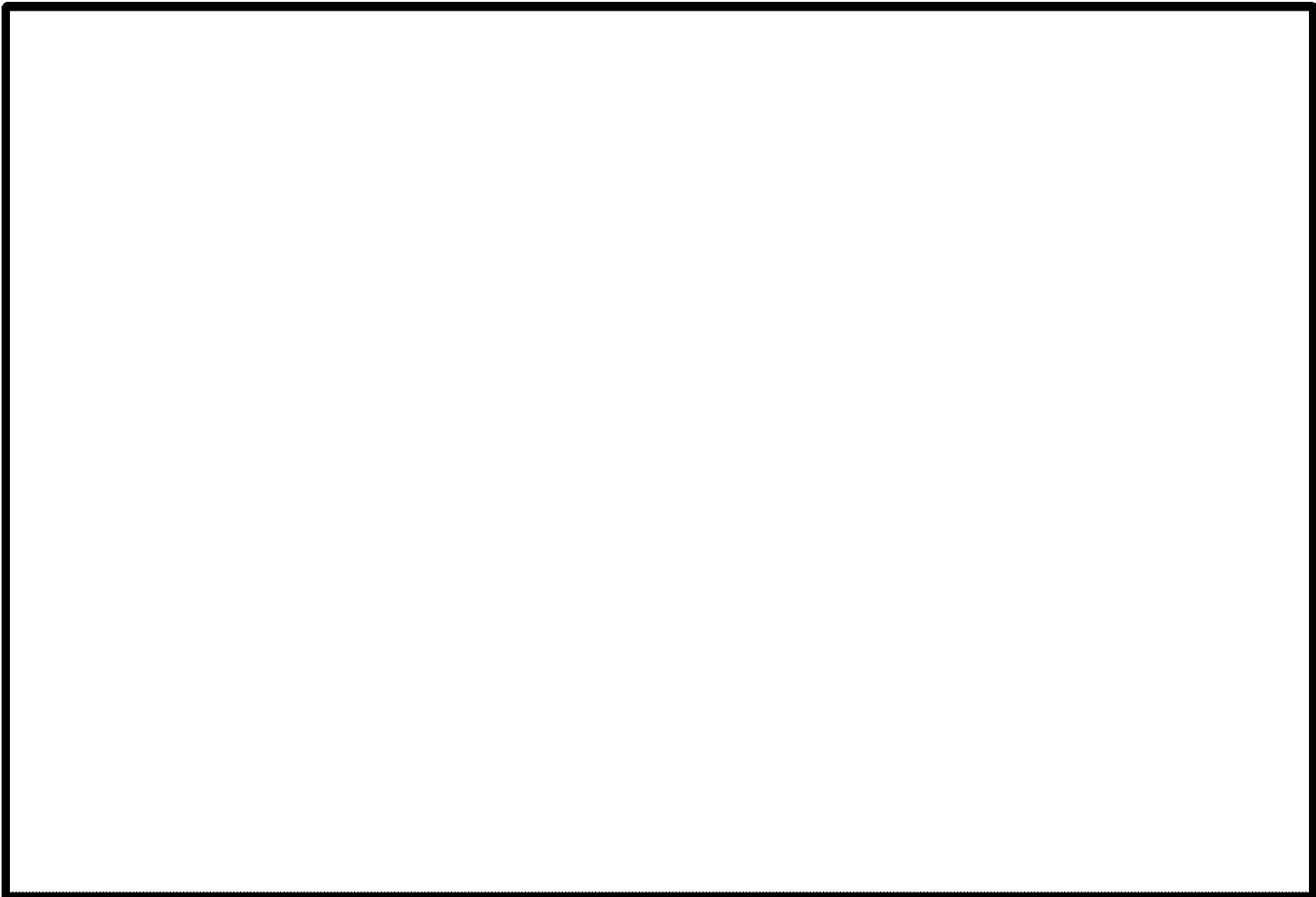


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From: Renaud, Tracy L
To: Earnam, Julie E
Subject: FW: ***URGENT*** Transition RFI Due Noon Today
Date: Tuesday, December 13, 2016 5:49:18 PM
Attachments: image001.png
image002.png
image005.png

FYI

From: Fleet, Andrea B
Sent: Tuesday, December 13, 2016 5:40:09 PM
To: Stanley, Kathleen M; Reilly, Richard M
Cc: Kerns, Kevin J; Renaud, Tracy L; USCIS MGT Tasks
Subject: RE: ***URGENT*** Transition RFI Due Noon Today

Kath – Once completed, please forward this to Rich (OCFO) for review. Rich please forward the submission to Kevin who will get it Julie at USCIS Presidential Transition uscispresidentialtransition@uscis.dhs.gov.

I appreciate everyone's diligence to get this done today.

Andrea

From: Stanley, Kathleen M
Sent: Tuesday, December 13, 2016 5:28 PM
To: Fleet, Andrea B
Cc: Kerns, Kevin J
Subject: RE: ***URGENT*** Transition RFI Due Noon Today

Yes,

The last table he needs, I only have in picture format and the footnote is blurry.

The member of my team will not be at home until 5:45 pm.

She has the request!

Kath

Kathleen "Kath" Stanley
Chief, Office Transformation Coordination
U.S. Citizenship and Immigration Services
202-272-9401

From: Fleet, Andrea B
Sent: Tuesday, December 13, 2016 5:04 PM
To: Stanley, Kathleen M
Cc: Kerns, Kevin J
Subject: FW: ***URGENT*** Transition RFI Due Noon Today

Kath – Rich mentioned you were going to forward the updated tables, correct?

From: Reilly, Richard M
Sent: Tuesday, December 13, 2016 4:23 PM
To: Fleet, Andrea B
Cc: Davis, Alecia A; Moore, Joseph D; Fredericks, Christopher
Subject: RE: ***URGENT*** Transition RFI Due Noon Today

Andrea – the OTC charts are pictures so I couldn't change them. I talked to Kath and she is going to make the changes and send an updated version to me. I will send it to you as soon as I receive it.

Rich

From: Fleet, Andrea B
Sent: Tuesday, December 13, 2016 3:57 PM
To: Reilly, Richard M
Cc: Davis, Alecia A; Moore, Joseph D; Fredericks, Christopher
Subject: FW: ***URGENT*** Transition RFI Due Noon Today

Rich – Would you mind making the necessary changes and reforwarding us a clean copy please? Thanks.

From: Renaud, Tracy L
Sent: Tuesday, December 13, 2016 3:53 PM
To: Fleet, Andrea B; Kerns, Kevin J
Subject: RE: ***URGENT*** Transition RFI Due Noon Today

I agree with OCFO's recommendations.

*Tracy L. Renaud
Associate Director
Management Directorate
US Citizenship & Immigration Services
Department of Homeland Security
202-272-1739 (desk)*

From: Fleet, Andrea B
Sent: Tuesday, December 13, 2016 3:47 PM
To: Renaud, Tracy L; Kerns, Kevin J
Subject: FW: ***URGENT*** Transition RFI Due Noon Today

Tracy – CFO has questions, please advise.

From: Fleet, Andrea B
Sent: Tuesday, December 13, 2016 2:00 PM
To: Renaud, Tracy L; Kerns, Kevin J
Cc: USCIS MGT Tasks
Subject: FW: ***URGENT*** Transition RFI Due Noon Today

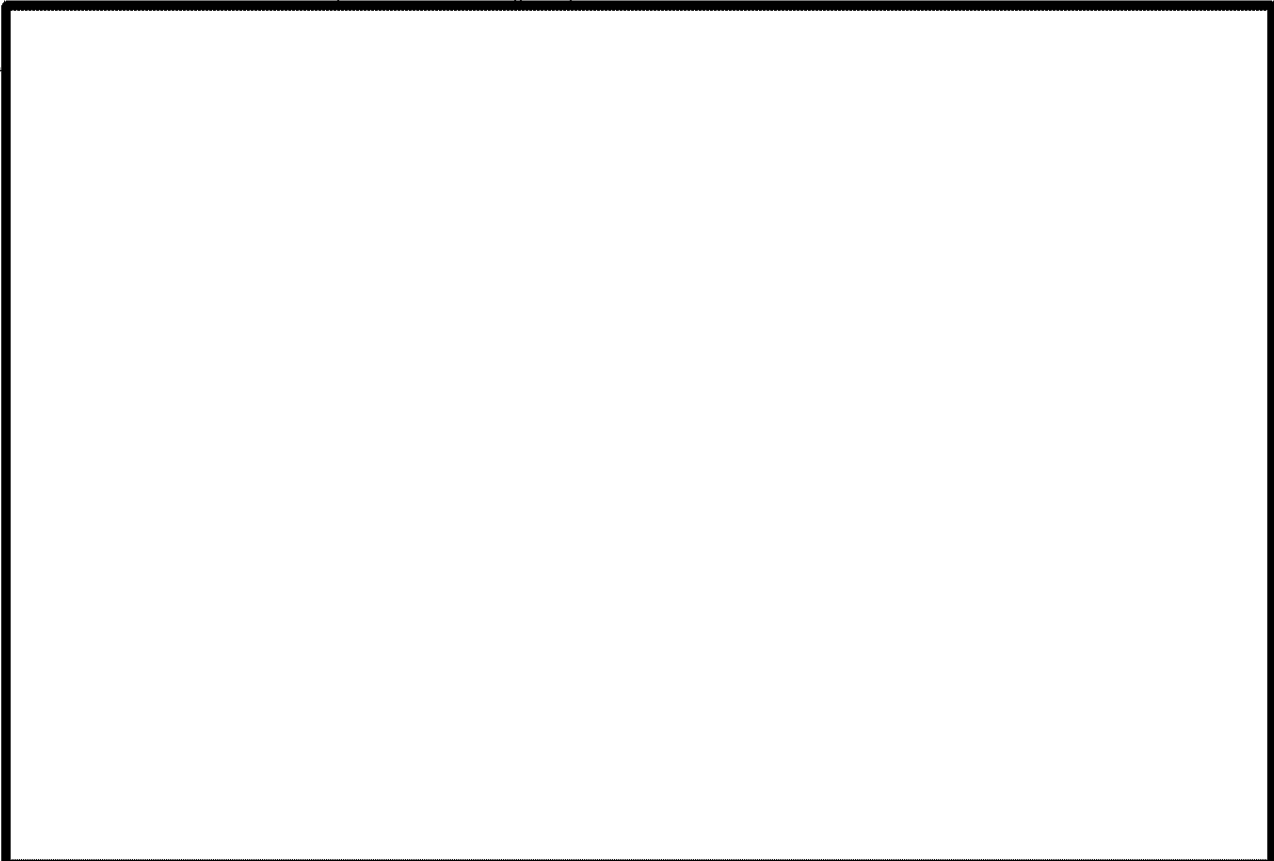
Tracy - OCFO has the following questions below concerning OTC's response. Please advise as to how you would like OCFO to proceed. BTW, I am attending training from 2-4. Thanks,

Andrea

From: Reilly, Richard M
Sent: Tuesday, December 13, 2016 1:56 PM
To: Fleet, Andrea B; USCIS MGT Tasks
Cc: Fredericks, Christopher; White, Jacquelyn D; Solowelgh, Todd L; Nasir, Syed A; Cristiani, Juan L; Moore, Joseph D
Subject: FW: ***URGENT*** Transition RFI Due Noon Today

Andrea – OCFO has reviewed the responses to the following two questions:

(b)(5)



(b)(5)



Thanks!

Rich

From: Fleet, Andrea B
Sent: Tuesday, December 13, 2016 1:40 PM
To: Davis, Alecia A; Moore, Joseph D; Reilly, Richard M
Cc: USCIS MGT Tasks
Subject: FW: ***URGENT*** Transition RFI Due Noon Today

OCFO – I am heading to a training session shortly. Please forward your response to the MGT task box who will obtain Tracy and Kevin's clearance before forwarding to the Presidential Transition clearance box.

Thanks again for your quick turnaround on this.

Anrea

From: Stanley, Kathleen M
Sent: Tuesday, December 13, 2016 11:52 AM
To: Fleet, Andrea B; Schwartz, Mark A; Jones, Keith A; Wittman, Gregory J; Black, Diane E; Moore, Joseph D; Reilly, Richard M; Davis, Alecia A; DeStefano, Ernest; Anderson, Erik C; Becker, Cheryl L
Cc: USCIS MGT Tasks; Renaud, Tracy L; Kerns, Kevin J; Tran, Ramona L; Clark, Levita S; Perryman, Janet J; Van Demark, Henry
Subject: RE: ***URGENT*** Transition RFI Due Noon Today

Andrea,

Attached is OTC's input. I have also attached a spreadsheet that provides more detail for the cost data.

Ramona Tran is our lead in pulling this data and I have added her to facilitate answering any questions.

Kath

Kathleen "Kath" Stanley
Chief, Office Transformation Coordination
U.S. Citizenship and Immigration Services
202-272-9401

From: Fleet, Andrea B
Sent: Tuesday, December 13, 2016 9:30 AM
To: Stanley, Kathleen M; Schwartz, Mark A; Jones, Keith A; Wittman, Gregory J; Black, Diane E; Moore, Joseph D; Reilly, Richard M; Davis, Alecia A; DeStefano, Ernest; Anderson, Erik C; Becker, Cheryl L
Cc: USCIS MGT Tasks; Renaud, Tracy L; Kerns, Kevin J
Subject: FW: ***URGENT*** Transition RFI Due Noon Today
Importance: High

URGENT PRESIDENTIAL TRANSITION REQUEST – DUE NOON TODAY; NO EXTENSIONS

From: USCIS Presidential Transition
Sent: Tuesday, December 13, 2016 9:18 AM
To: USCIS MGT Tasks; Stanley, Kathleen M; Kerns, Kevin J; Collins, Anissa A; Clark, Levita S; Hawkins, Donald K; OP&S Presidential Transition; Vanison, Denise; FDNSExecSec; Emrich, Matthew D; Davidson, Andrew J; Melero, Mariela; Rogers, Debra A; Simeon, David G; Schwartz, Mark A
Cc: Renaud, Tracy L
Subject: ***URGENT*** Transition RFI Due Noon Today
Importance: High

Good morning,

We have our first information request from the president-elect's transition landing team. There is an extremely fast turnaround on these requests (apologies!)—it is due at noon today to allow time for the front office to clear today and to get it back to DHS today. Therefore, no extensions may be granted and it is imperative that you respond timely.

This is what is being requested:

(b)(5)



Thank you very much for all your help with this and if there are any questions, I can be reached at the numbers below.

Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-282-8277
(c) 202-489-8802

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From: [Renaud, Tracy L](#)
To: [USCIS Presidential Transition](#)
Subject: FW: ***URGENT*** Transition RFI Due Noon Today
Date: Tuesday, December 13, 2016 12:31:00 PM
Attachments: [USCIS Backlog IP 2016 FINAL \(BP\).docx](#)
[USCIS Updates for OMB revisions 11-9-16 final.pptx](#)

Julie,

The issue paper doesn't give a good sense of where we have backlogs and any other specific info. Attached is the powerpoint we used at the meeting with OMB a couple of months ago. Do you think any of this info would be helpful to provide?

*Tracy L. Renaud
Associate Director
Management Directorate
US Citizenship & Immigration Services
Department of Homeland Security
202-272-1739 (desk)*

From: Prelogar, Brandon B
Sent: Tuesday, December 13, 2016 12:25 PM
To: USCIS Presidential Transition; Young, Todd P; Walters, Jessica S; Krebs, Kristie L
Cc: Renaud, Tracy L
Subject: RE: ***URGENT*** Transition RFI Due Noon Today

Hey, Julie. The asylum backlog info is a bit outdated. Think it best to shoot this back to Asylum to get updated numbers/material. See comments in the attached. Thanks,

b-

From: USCIS Presidential Transition
Sent: Tuesday, December 13, 2016 10:11 AM
To: Young, Todd P; Walters, Jessica S; Prelogar, Brandon B; Krebs, Kristie L
Cc: Renaud, Tracy L
Subject: FW: ***URGENT*** Transition RFI Due Noon Today
Importance: High

Just giving you the heads up that I sent out this information request this morning and that these items will need to be cleared today by the COS-level or higher. All of these things are not newly created items, so hopefully this will not be a very heavy lift as your principals should have already seen them. These items must be provided to DHS today.

In addition to the items below, the team also requested our backlog issue paper (attached—this was previously cleared and was updated last month to include the FY16 numbers) and information about premium processing fees and the new fee rule (will just provide the link to the [final rule notice](#)).

I will send items as I receive them to allow you the maximum amount of time to review. Attached is the ELIS and ATLAS PIAs and SORN.

Thank you very much for your help with this.

Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
(c) 202-489-8802

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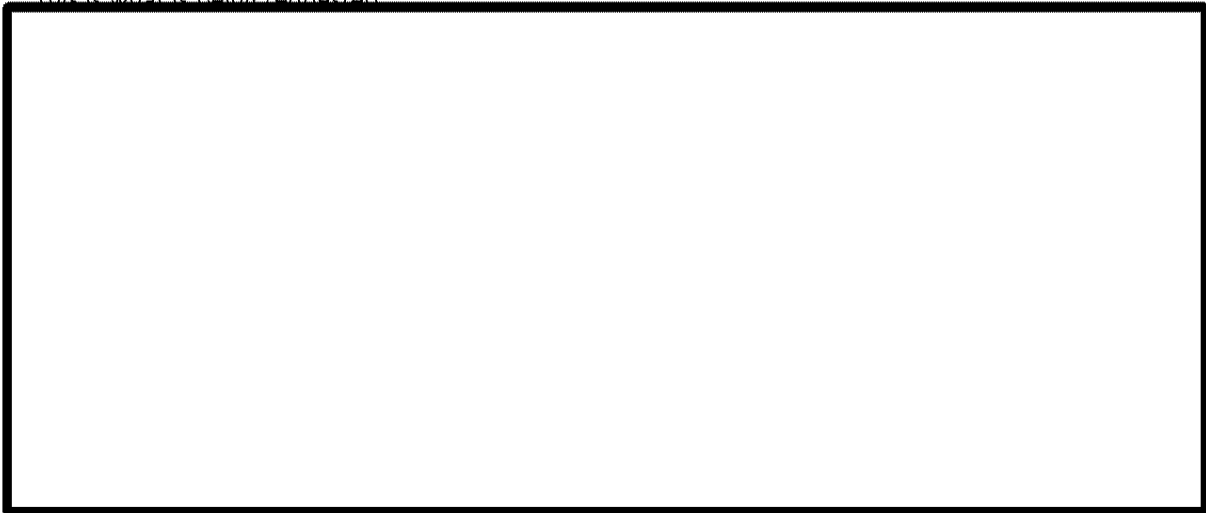
From: USCIS Presidential Transition
Sent: Tuesday, December 13, 2016 9:18 AM
To: USCIS MGT Tasks; Stanley, Kathleen M; Kerns, Kevin J; Collins, Anissa A; Clark, Levita S; Hawkins, Donald K; OP&S Presidential Transition; Vanison, Denise; FDNSExecSec; Emrich, Matthew D; Davidson, Andrew J (Andrew.J.Davidson@uscis.dhs.gov); Melero, Mariela; Rogers, Debra A; Simeon, David G; Schwartz, Mark A
Cc: Renaud, Tracy L
Subject: ***URGENT*** Transition RFI Due Noon Today
Importance: High

Good morning,

We have our first information request from the president-elect's transition landing team. There is an extremely fast turnaround on these requests (apologies!)—it is **due at noon today** to allow time for the front office to clear today and to get it back to DHS today. Therefore, no extensions may be granted and it is imperative that you respond timely.

This is what is being requested:

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Thank you very much for all your help with this and if there are any questions, I can be reached at the numbers below.

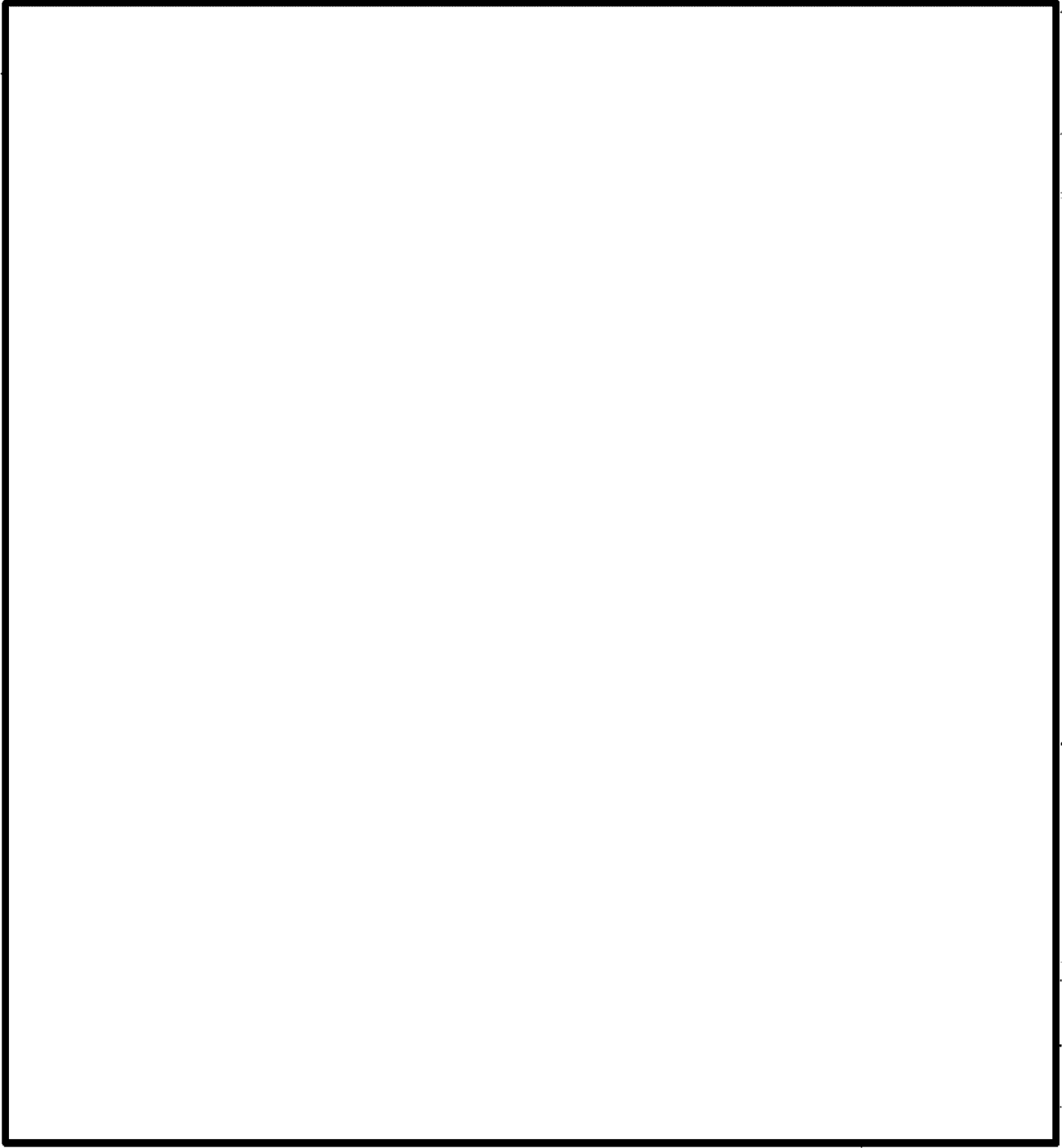
Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-282-8277
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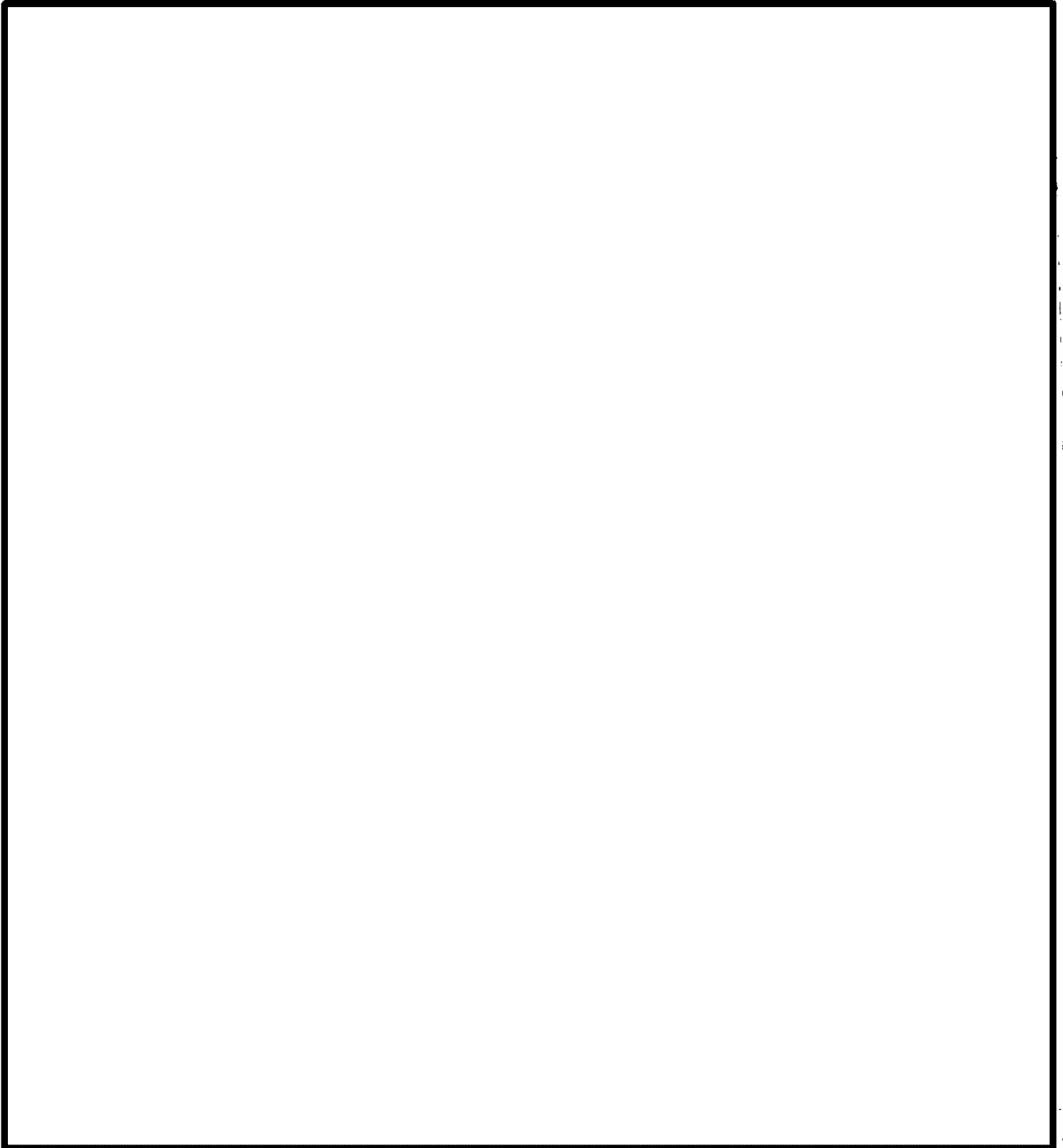
DHS Secretary Briefing Binder



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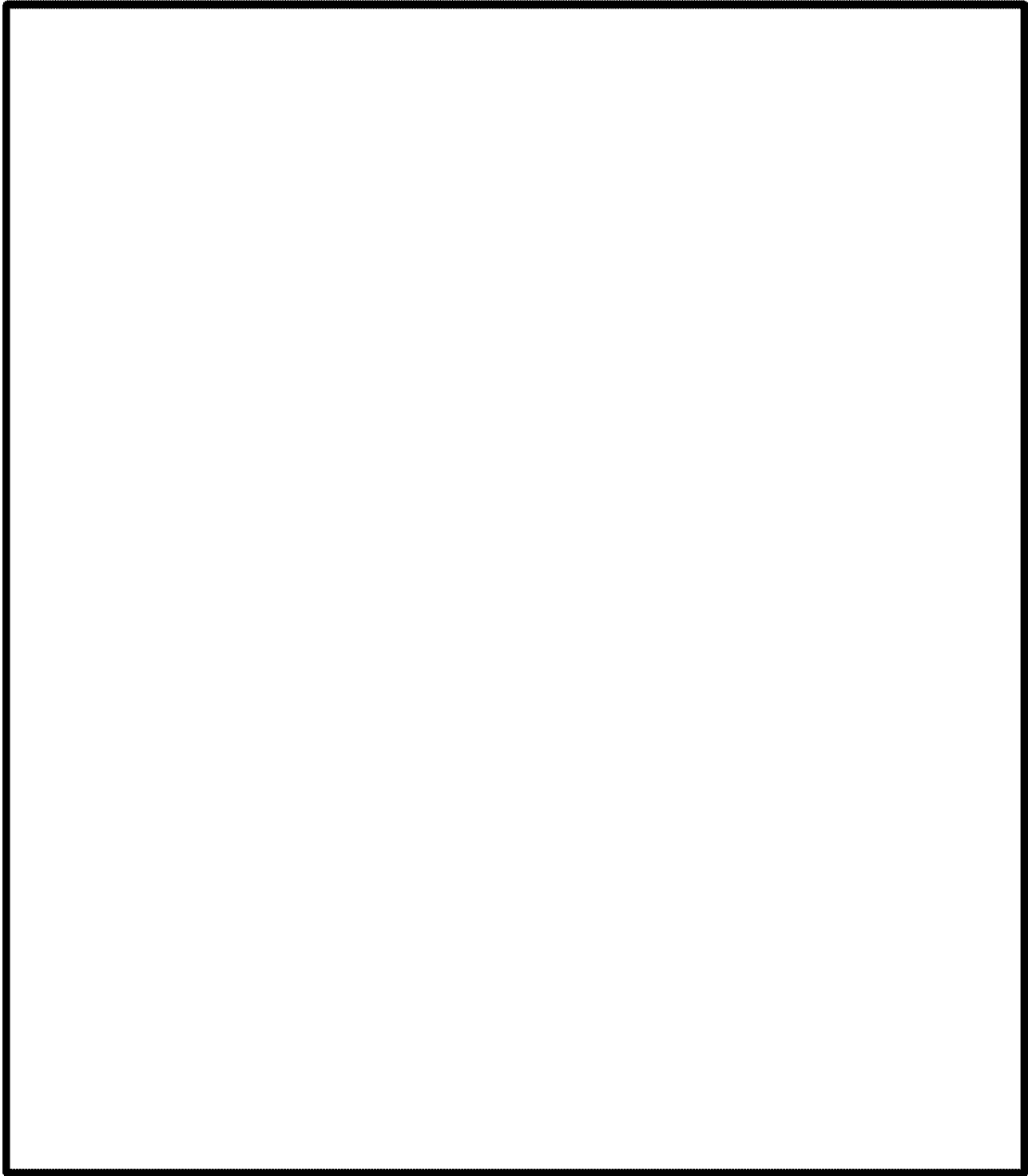
DHS Secretary Briefing Binder



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DHS Secretary Briefing Binder



3/13



Privacy Impact Assessment
for the

**USCIS Electronic Immigration System
(USCIS ELIS)**

DHS/USCIS/PIA-056

May 17, 2016

Contact Point

Donald Hawkins

Privacy Officer

United States Citizenship and Immigration Services

(202) 272-8000

Reviewing Official

Karen L. Neuman

Chief Privacy Officer

Department of Homeland Security

(202) 343-1717



Abstract

The Department of Homeland Security (DHS) United States Citizenship and Immigration Services (USCIS) operates the USCIS Electronic Immigration System (USCIS ELIS). USCIS ELIS is an electronic case management system that allows USCIS to process certain immigration benefit requests. USCIS conducted this PIA to evaluate the privacy impacts of converting legacy, paper-based processes to an electronic system. This PIA replaces all previously-issued USCIS ELIS PIAs, which are: DHS/USCIS/PIA-039 *Transformation*, DHS/USCIS/PIA-041 *ELIS-1 Temporary Accounts and Draft Benefit Requests*, DHS/USCIS/PIA-042 *ELIS-2 Account and Case Management*, DHS/USCIS/PIA-043 *ELIS-3 Automated Background Functions*, and DHS-USCIS-PIA-056 *USCIS ELIS: Form I-90*. As USCIS ELIS expands to additional immigration benefit types, USCIS will update the Appendix to this PIA.

Overview

USCIS is the Component within DHS that oversees lawful visits and immigration to the United States. This includes receiving and adjudicating a wide variety of immigration and non-immigration benefits and requests (hereafter referred to as immigration benefits). Historically, USCIS has relied on manual, paper processes to perform this function. USCIS ELIS is a centralized, web-based system designed to transform USCIS business operations from a “transaction-centric” model to a “person-centric” model using unique customer accounts. USCIS is expanding its use of USCIS ELIS over the next several years by expanding the immigration benefit types that USCIS ELIS will process in an incremental fashion. As new immigration benefit types are made available in USCIS ELIS, all benefit requests within that immigration benefit type will be processed in USCIS ELIS, including paper and electronic filings.¹

Background and “Legacy USCIS ELIS”

USCIS ELIS originally launched in the spring of 2012. USCIS is conducting this PIA to describe a new iteration of the existing USCIS ELIS system: The current USCIS ELIS system, now known as the “Legacy USCIS ELIS” system, is no longer accepting documents and will be decommissioned. The two systems are completely separate, including separate login accounts for customers and employees and a different user interface. However, the new system does follow the same general purpose and data collection process as the previously-used system. Each system accepts different immigration benefit types,² which limits the number of customers who have reason to access both systems.

¹ Except for certain low-volume special circumstances that will not be processed in ELIS.

² Legacy USCIS ELIS processed the electronic Form I-539, Application to Extend Stay/Change Status as a Nonimmigrant; electronic Form I-526, Immigrant Petition by Alien Entrepreneur; a Document Library (for EB-5 petitions associated with Regional Centers); and the ability to pay the \$165 USCIS Immigrant Fee.



The primary users of USCIS ELIS are USCIS adjudicators processing benefit requests. USCIS ELIS also interfaces with other IT systems that conduct other functions, such as customer service and fraud detection, without subsuming or replacing those functions. Unlike Legacy USCIS ELIS, USCIS ELIS does not attempt to conduct advanced link-analysis for fraud or national security purposes.³ Instead, it interfaces directly with other USCIS systems that are operated specifically for those purposes. Therefore, with the publication of this PIA, USCIS is retiring the previous USCIS ELIS PIAs.

System Description

Paper Intake

Historically, USCIS has required applicants, petitioners, or benefit requestors submit hard-copy, paper submissions of immigration applications, petitions, or benefit requests to one of its “Lockbox” facilities. Lockbox facilities are operated by U.S. Department of Treasury financial agents on behalf of USCIS to receive paper requests, process payments, and forward the requests to USCIS Service Centers in paper and electronic format for further processing. As USCIS ELIS expands to new immigration benefit types, the applicable Lockbox facility will adjust its legacy delivery process to transmit filings to USCIS ELIS rather than to the legacy system (usually CLAIMS 3 or CLAIMS 4). It will transmit the data to USCIS ELIS as well as scanned images of the paper filings to ELIS electronic storage.

The Lockbox will continue to follow existing USCIS guidance to prepare submitted paper filings. If the paper filing pertains to an individual with a paper Alien File (A-File),⁴ then the paper will be delivered to that file. If it pertains to a customer without a paper A-File (primarily nonimmigrants), then the paper will be transferred to a Receipt File and delivered to the relevant USCIS office for temporary retention. This temporary retention is governed by the applicable National Archives and Records Administration (NARA)-approved retention schedule. As USCIS expands its use of electronic records, USCIS intends to reduce its storage of paper records when NARA-approved electronic equivalents exist. All changes to retention of records are coordinated with NARA, published in the *Federal Register*, and communicated to the USCIS customer in the instructions of each immigration form.

Once information from the paper filing is accepted in USCIS ELIS, the system sends the customer a “USCIS Account Acceptance Notice” via U.S. Postal Service mail. This notice contains instructions for creating a USCIS Online Account and a passcode for linking the account with the USCIS ELIS case. If the customer opts not to activate his or her USCIS Online Account, the passcode expires in 30 days as a security measure. The customer, however, may later contact USCIS customer service to request that a new letter with a new activation passcode be sent. Customers who file paper applications, petitions, or requests that are receipted into USCIS ELIS

³ DHS/USCIS/PIA-043, *ELIS-3 Automated Background Functions* (May 16, 2012), available at http://www.dhs.gov/xlibrary/assets/privacy/privacy_pia_uscis_elis_3_automatedbackgroundfunctions.pdf.

⁴ 78 FR 69864 (Nov. 21, 2013).



will have the opportunity to log in to their USCIS ELIS account to check the status of their application, petition, or request; obtain copies of documents associated with the filing; and respond electronically to requests for additional information, such as Requests for Evidence (RFEs), if they create online accounts. Customers who opt not to activate their online accounts can continue to use the existing paper process and USCIS will continue to send notices via hard copy mail.

Electronic Intake

Customers may also file benefit requests with USCIS electronically. Customers who choose to file electronically must first create a USCIS Online Account by providing a person-specific, unique email address. USCIS sends a confirmation email to the provided address to confirm accuracy. The email address is then stored as the customer's username. Next, the customer creates a strong password. To establish two-factor authentication, a personal identification number (PIN) is required in addition to the password. The customer must choose whether to receive the one-time PIN either by mobile phone via short message service (SMS), or as a message delivered by email. If the customer chooses SMS, the system prompts him or her to provide the mobile number and carrier. Passwords are never sent or reset via email.

The customer also provides answers to security questions that he or she will answer to reset the account password in the future. The security questions are "fill-in-the-blank" questions that the customer provides the answer to at account set-up. USCIS provides the customer with a drop-down menu of standard questions, and the customer chooses which ones to use as his or her security questions.⁵ USCIS will not use the answers to these questions for purposes other than assisting with password resets (e.g., the answers would not be available to adjudicators for an immigration benefit purpose or fraud investigators in the event of a fraud investigation). These answers are stored by USCIS within the system, but like passwords, are not visible however via the user interface used by USCIS adjudicators, clerks, and similar users. The answers could be visible to customer helpdesk personnel who assist users in resetting their passwords and encountering problems using the system.

Once the online account is set-up, the customer can begin drafting his or her electronic request in the online filing system. The user interface collects the same information as is collected via the corresponding existing paper form, although questions dynamically expand or become disabled as the customer progresses through the request. In other words, a customer's answer to one question may prevent a series of additional questions from being necessary. Those would not be fillable because they would not be applicable to that customer. This enables the customer to respond only to applicable questions. Although USCIS ELIS initially saves draft data, the customer may edit, delete, or update information when it is in draft state and the system does not keep copies of these previous iterations.

⁵ For example, the applicant may choose, *What is your favorite type of candy?* as a security question.



The electronic format also provides some advantages to the user, such as a validation of mailing address against U.S. Postal Service (USPS) known addresses. The user has the option to use a corrected address, validated by the USPS Address Standardization Web Tool,⁶ to prevent address formatting confusion or typographical errors. When the customer enters his or her mailing address, the system bounces the address entered against addresses recognized by USPS. If the USPS tool does not recognize the address, the system will display a pop-up window informing the customer that the address was not found. The pop-up window will also offer an alternative recognized address that the USPS tool provides as a close match. If there is no close match, the USPS tool provides an alternative address as a suggestion. The customer is given the option to accept the suggested address or ignore the suggestion and use the address he or she originally typed. The customer may return to the address fields at any time, which will trigger a re-validation by the USPS service.

Based on the answers the customer provides, ELIS prompts the customer to upload evidence. For example, if the customer requests a replacement Permanent Resident Card because of a legal name change through marriage, the system will prompt the customer to upload evidence of the legal name change, such as a marriage certificate. Customers upload evidence by scanning documents and attaching the scanned images to the USCIS ELIS electronic request.

Once the customer completes the request and uploads necessary evidence, USCIS ELIS requires the customer to electronically sign (e-sign) the request and pay the applicable fee. The customer can review the information he or she is about to submit, and then e-sign by entering his or her name. Payment is made using the U.S. Department of Treasury's Pay.Gov service.⁷ USCIS does not collect the fee directly. Rather, the Pay.Gov interface is imbedded within the USCIS Online Account user interface, and Pay.Gov collects payment information—either credit card, debit card, or Automated Clearing House (ACH) debit from a personal bank account. Once Pay.Gov validates the payment information, applicants are routed back to USCIS ELIS and the USCIS Online Account confirms to the customer that he or she successfully submitted the request. USCIS will mail a receipt notice (if applicable) to the customer's physical address and make it available electronically via a new interface called the USCIS Online Account.

Intake with Attorney or Accredited Representative

Attorneys and non-attorney representatives accredited by the Board of Immigration Appeals (BIA) (hereafter referred to as Representatives) may also create a USCIS Online Account to use USCIS ELIS. These accounts require limited biographic data about the Representative (based on the USCIS Form G-28, *Notice of Appearance as Attorney or Accredited Representative*) and allow the Representative to draft electronic requests on behalf of his or her clients;

⁶ Via this service, USPS does not ingest or store the address provided by USCIS ELIS.

⁷ U.S. Department of Treasury *Financial Management Services Pay.Gov Privacy Impact Assessment 2.0* (July 1, 2011), available at, http://fms.treas.gov/pia/paygov_pia%20.pdf.



electronically transfer draft requests for client review and e-signature; and receive updates about those requests as they are processed by USCIS.

Customers give a Representative permission to represent them on a particular request via Form G-28, *Notice of Entry of Appearance as Attorney or Accredited Representative*, filed concurrently with that request. If a paper filing for a USCIS ELIS immigration benefit type is submitted with a Form G-28, the Lockbox will transmit the information to USCIS ELIS, which will search to identify whether that Representative already has a USCIS Representative account in the system. If a Representative account already exists, the new filing is linked to the existing account. However, if a Representative account does not yet exist, USCIS ELIS will create a USCIS Online Account for the Representative. Like customers, Representatives are sent a hardcopy "USCIS Account Acceptance Notice" via USPS. This letter contains instructions on activating the account as well as a passcode for linking the new account with the client immigration request in USCIS ELIS.

Representatives may also electronically file requests in USCIS ELIS. To successfully submit a represented filing in USCIS ELIS, both the Representative and the Representative's client (who is the USCIS customer) must have their own, independent USCIS Online Account. The Representative uses his or her account to draft a request for his or her client, and upon completion, submits it for the client's review. When the Representative submits the draft benefit request for client review, the Representative provides USCIS ELIS with the client's email address. USCIS ELIS then presents the Representative with a passcode that is provided in-person to his or her client. The client must provide the passcode in order to access to the draft request when he or she next logs in to the system. USCIS ELIS sends the client an email indicating the pending draft in his or her existing account, and upon login, the customer is directed to input the passcode in order to view the draft. USCIS ELIS gives the client access to the draft case filed by the Representative if both the email address connected to the client's account and the passcode entered by the client match the client email address and the passcode associated with the filing submitted via the Representative's account. The client has read-only access to the Representative's draft. The client is able to reject the draft, which sends it back to the Representative, or accept the draft and e-sign it together with the electronic Form G-28. If the client rejects the draft, the Representative may overwrite the previous draft. The customer, however, will need a new passcode in order to access the revised document. USCIS ELIS does not store previous drafts. Once the client reviews the request, he or she accepts and e-signs. It is then electronically returned to the Representative, who will also e-sign, pay filing fees, and submit the request to USCIS. Thereafter, the Representative will have access to the same request information and status updates related to the request that the client does.

Remote Identity Proofing



USCIS requires in-person identity verification for many of its immigration benefits, either by requiring customers to appear in-person to submit biometrics, to be interviewed in-person by an adjudicator, or both. However, there will be some USCIS Online Account holders who never appear in-person, and require remote identity proofing to assure USCIS that the account holder is who he or she purports to be. Those requiring remote identity proofing include customers making requests that do not include in-person appearances for adjudication, and also other users such as Representatives, who do not appear in person.

USCIS will provide remote identity proofing for those users who require it using two methods. The first method will use a third-party remote identity proofing service that uses an individual's commercial and financial data to verify identity using an "out of wallet" quiz. These services are standard across public and private sector online interfaces and are designed to conform to applicable Government-wide standards on identity proofing of federal systems. USCIS ELIS will use those services as described in the DHS E-Authentication System of Records Notice.⁸

Those existing services, however, are largely unable to identity-proof individuals who have not lived or conducted business in the United States, which is a large portion of USCIS customers. For those customers, USCIS has designed Identity Proofing as a Service (IDPaaS.) IDPaaS will use data on file within USCIS legacy systems or data collected by the Department of State abroad to verify that the USCIS Online Account holder is the customer he or she claims to be. IDPaaS will present a quiz to the account-holder based on the data in a fashion similar to commercial "out-of-wallet" quizzes.

The questions presented to each account-holder are dynamically generated based on the best information USCIS has about the individual, as well as the most diverse set of questions available. This data originally comes from information the Department of State collected in-person when issuing a visa, information U.S. Custom and Border Protection (CBP) collects in-person upon entry at the border, and information USCIS has from the customer based on previous immigration benefit requests, as consolidated by USCIS in its major immigration systems.⁹ In designing the questionnaire, USCIS looked at the breadth of data and categorized it into several domains based on the type of information, such as travel, contact information, etc. The questionnaire is designed to dynamically ask the customer questions from different domains to ensure the customer is showing knowledge of a wide breadth of data about him- or herself, and also data that would not be known by a different person. IDPaaS may allow customers more than one attempt to pass the questionnaire, but only if the system has enough reliable data in enough domains about that individual. Questions are in multiple-choice format, and include a "none of the above" option where appropriate.

Customers who are required to use IDPaaS are provided notice explaining what identity proofing is and what to expect before launching into the process. If customers are unable to pass

⁸ DHS/ALL-037 E-Authentication System of Records, 79 FR 46857 (Aug. 11, 2014).

⁹ 78 FR 20673 (Apr. 5, 2013), 78 FR 69864 (Nov. 21, 2013).



the IDPaaS questionnaire, they are presented with instructions on how to proceed, which may be by contacting Customer Service or appearing in-person. Once the customer passes the identity proofing quiz, USCIS ELIS retains the fact that the customer has been identity-proofed and does not require the customer to repeat the process for subsequent immigration benefit requests.

As IDPaaS is incrementally deployed, USCIS will maintain an internal governance board¹⁰ to review the efficacy of the system, approve new questions and methods of verifying identity, and evolve the questionnaires as appropriate for each new use case. IDPaaS will only be used internally within USCIS. Data from sources will be shared as it resides in other systems.

System Process

Automated System Checks

Upon receipt of a request, the first data element USCIS ELIS validates is the customer's Alien Registration Number (A-Number), if applicable. When customers list an A-Number on a benefit request, USCIS ELIS runs an automated comparison of the claimed A-Number against the USCIS legacy Central Index System (CIS)¹¹ to verify that: the A-Number exists and is valid and matches the name and identifying information provided by the customer. If the system cannot automatically verify this information, USCIS ELIS moves the customer's request into an electronic work queue where it will be researched and resolved by a USCIS employee or contractor before proceeding to adjudication.

During the A-Number validation, USCIS also runs a criminal and national security background check against the CBP TECS system.¹² If this check identifies potential criminal or national security issues, it is referred to another electronic workflow queue for resolution. USCIS must take measures to address or resolve the presented issues before adjudicating the benefit request, which may include a referral to the USCIS Fraud Detection and National Security (FDNS) Directorate.

After the A-Number is validated, USCIS ELIS interfaces with the National Appointment Scheduling Service (NASS)¹³ to schedule an Application Support Center (ASC) appointment for the customer if required for the particular request. During an ASC appointment, USCIS is able to verify identity in-person by collecting biometrics. NASS generates an appointment notice that USCIS mails to the customer. USCIS ELIS holds the customer's request pending completion of the ASC appointment, if required.

¹⁰ Members include designees from USCIS Office of Privacy, Office of Chief Counsel, and Office of the Chief Information Security Officer, among others.

¹¹ DHS/USCIS/PIA-009, Central Index System PIA (June 22, 2007), available at, http://www.dhs.gov/xlibrary/assets/privacy/privacy_pia_uscis_cis.pdf.

¹² DHS/CBP/PIA-009, TECS System: CBP Primary and Secondary Processing PIA (December 22, 2010), available at, http://www.dhs.gov/xlibrary/assets/privacy/privacy_pia_cbp_tecs.pdf.

¹³ Privacy Impact Assessment pending publication to <http://www.dhs.gov/uscis-pias-and-sorns>.



Adjudicating the Application

The customer's case advances once the USCIS Customer Profile Management System (CPMS)¹⁴ sends notification that the customer has submitted his or her biometrics at the ASC, if required. If biometrics are not required, the case advances to the adjudication step immediately following A-Number validation and resolution of any background check results.

USCIS ELIS automatically places the application in an adjudicator work queue after A-Number validation, completion of the TECS background check, and return of the background and security check results through the legacy USCIS Benefits Biometric Support System (BBSS)¹⁵ have occurred. The USCIS adjudicator evaluates all data—the information submitted by the customer along with the results of the background and security checks—according to existing standard operating procedures (SOP) that apply to the legacy paper process.

To assist the adjudicator in verifying information submitted by the customer, ELIS aggregates and displays information pulled from other USCIS systems via the Person-Centric Query System (PCQS).¹⁶ This information includes other names, dates of birth, contact information, and other A-Numbers that may also be associated with the customer. Following existing SOPs, the adjudicator is able to identify which data is correct or relevant, and make updates to the system to record the correct data about a customer. The system documents all updates made to data about the customer. The adjudicator then renders a decision, and may electronically submit the decision to his or her supervisor for review.

Once the decision is final, USCIS ELIS uses automated interfaces with existing USCIS IT systems to send approval or denial notices along with the proof of benefit (such as a Lawful Permanent Resident card), as applicable. When a proof of benefit must be produced, and it requires a photograph, the adjudicator is able to obtain the customer's facial photograph, fingerprint, and signature via an interface with CPMS solely for proof of benefit production purposes. The facial photograph and other biometric elements are temporarily displayed in USCIS ELIS and can be adjusted to improve image quality for printing. USCIS ELIS allows the user to zoom, pan, lighten, or darken the photo for card production, and then certify for printing. Upon successful card printing, the facial photograph is automatically deleted from USCIS ELIS and the final adjusted image is stored as part of the printed card record in CPMS.

System Privacy Impacts

Overall, USCIS ELIS offers USCIS customers several advantages with respect to data privacy protections. Once logged into their account, USCIS customers are able to enter their information directly into the system or correct data as applicable. In contrast, the paper-based

¹⁴ *Id.*

¹⁵ DHS/USCIS/PIA-033 Immigration Benefit Background Check System PIA (November 5, 2010) *available at*, http://www.dhs.gov/xlibrary/assets/privacy/privacy_pia_uscis_ibbes.pdf.

¹⁶ DHS/USCIS/PIA-010 Person-Centric Query System (PCQS) PIA (June 22, 2007), *available at*, http://www.dhs.gov/xlibrary/assets/privacy/privacy_pia_uscis_pcq.pdf.



legacy process requires contractors to manually key-in data from paper filings. Allowing customers to enter or correct their information directly reduces the risk for typographical errors and generally improves the accuracy, timeliness, and completeness of submitted information. USCIS ELIS customers who have activated their USCIS Online Accounts also enjoy improved transparency regarding the status of their requests and better access to their data, because that data is available instantly once they are logged into their account. Although USCIS ELIS initially saves draft data; the customer may edit, delete, or update information when it is in draft state and the system does not keep copies of these previous iterations. This preserves the same confidentiality for an electronic customer as a paper-filer. IDPaaS allows USCIS ELIS to ensure many customers online are who they claim to be. There is a risk that some legitimate customers may be unable to pass the IDPaaS quiz, and there is a risk that an individual with access to a customer's files could illegitimately pass. USCIS will actively mitigate this risk by monitoring the performance of the system and assisting with customer help requests, and adjust for needed changes accordingly. Customers with online accounts also may receive requests for additional information and other communications more quickly, as information and notices are made available electronically in the account. This method of communication is faster than sending customers paper notices via USPS mail. While faster, use of email and the internet creates other risks. Customers may face some increased data security risk by virtue of submitting data via the Internet. To mitigate this risk, USCIS ELIS employs several layered IT security and data quality measures, such as establishing a secure encrypted connection when a customer is entering sensitive personally identifiable information (PII) and requiring strong two-factor authentication.

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 primary legal authority supporting the collection of the information provided to USCIS is 8 U.S.C. § 1101 *et seq.* Specifically, 8 U.S.C. § 1360 requires a central file of information for the security and enforcement agencies of the Government of the United States that contains the names of all aliens admitted or denied admission to the United States and such other relevant information as required to aid in the proper enforcement of this chapter. The Homeland Security Act of 2002¹⁷ and the Immigration Nationality Act (INA)¹⁸ charge the Secretary of Homeland Security with administration and enforcement of the immigration and naturalization laws. The Secretary of Homeland Security has delegated duties to USCIS pursuant to DHS Management Directive MD 0150.1. DHS also has promulgated regulations that permit the collection and

¹⁷ Pub. L. No. 107-296, 116 Stat. 2135 (2002), 6 U.S.C. § 112.

¹⁸ 8 U.S.C. § 1101 (2004) *et seq.*



processing of applications, petitions, and requests online entitled, "Immigration Benefits Business Transformation, Increment I;¹⁹" and "Immigration Benefits Business Transformation, Increment I; Correction."²⁰

The Government Paperwork Elimination Act (GPEA)²¹ provides that, when possible, federal agencies should use electronic forms, electronic filing, and electronic submissions to conduct agency business with the public. GPEA establishes the criteria and guidelines for the use of electronic signatures. Executive Order 13571²² requires federal agencies to develop plans to streamline delivery of services and improve customer service by exploring lower-cost, self-service options accessed by the Internet or mobile phone, and improved processes that deliver services faster and more responsively, reducing the overall need for customer inquiries and complaints.

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

The following SORNs cover USCIS ELIS:

- DHS/USCIS-007 Benefits Information System;²³
- DHS/USCIS/ICE/CBP-001 Alien File, Index, and National File Tracking System of Records,²⁴ and
- DHS/ALL-037 E-Authentication Records System of Records.²⁵

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

Yes. USCIS ELIS has been granted an Authority to Operate (ATO), which is continually being monitored under the USCIS Ongoing Authorization process. USCIS ELIS data also includes data from the USCIS Identity and Credentialing Account Management system (ICAM) and the USCIS Online Account system, also under USCIS Ongoing Authorization.

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

Yes: N1-566-11-02, (October 17, 2011) and N1-566-12-05, (April 17, 2013) cover USCIS ELIS accounts. Each immigration benefit type processed by USCIS ELIS has an additional existing retention schedule, which USCIS ELIS applies to each particular case.

¹⁹ 76 FR 53764 (Aug. 29, 2011).

²⁰ 76 FR 73475, (Nov. 29, 2011).

²¹ 44 U.S.C. § 3504 (2004).

²² 75 FR 24339 (Apr. 27, 2011).

²³ 78 FR 20673 (Apr. 5, 2013).

²⁴ 78 FR 69864 (Nov. 21, 2013).

²⁵ 73 FR 56596 (Sept. 29, 2008).



- 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 OMB Control number for online account setup is 1615-0122 (there is no corresponding agency number.) Each form processed by USCIS ELIS has an existing OMB control number that covers the USCIS ELIS collection. An updated list is available in Appendix A of this document.

Section 2.0 Characterization of the Information

The following questions are intended to define the scope of the information requested and/or collected, as well as reasons for its collection.

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

USCIS ELIS collects:

- Account setup and login information including: email address, password, security questions, mobile phone number, and mobile phone carrier;
- Information that is required to adjudicate the request: This will vary for each immigration benefit type. A full account of what data is requested for each immigration benefit type can be viewed by referencing the paper forms associated with each immigration benefit type in Appendix A;
- E-signature: check-box attestation, the customer's name, Internet Protocol (IP) address from which the filing is submitted, and time/date stamp;
- Background and security check information about the customer as described below, whether the result relates to the individual, and if applicable, memoranda from adjudicators resolving the results; and
- Temporarily stores biometric images to allow proper formatting for printing.

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

The majority of information in USCIS ELIS is obtained directly from the customer or his or her Representative. Additionally, USCIS collects data from CBP TECS and USCIS BBSS in order to conduct background and security checks. USCIS ELIS also receives information from the



Department of State (DoS) Consolidated Consular Database (CCD)²⁶ for Immigrant Visa data when applicable. CCD data is transmitted via PCQS and its data is necessary for USCIS because CCD contains immigrant and non-immigrant visa data. USCIS employees and contractors using the system may generate data, such as notices, internal case processing notes, and decisions.

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.

2.4 Discuss how accuracy of the data is ensured.

USCIS ELIS ensures data accuracy because the system uses data entered directly by the individual customers whenever possible. Requests filed using the USCIS Online Accounts are completed directly by the individual customers. Customers are able to overwrite and correct any information in their applications up to the point that they sign and submit the application. After it has been submitted, the customer may login to his or her account and automatically make changes that have no substantive bearing on the adjudication, such as updating an email address or other contact information. When inputting data from a paper filing, the Lockbox facilities employ quality control measures, including levels of review to prevent keying errors. In the event of an error, the customer is able to correct certain data using existing legacy correction processes, such as contacting USCIS Customer Service.

Select data submitted by the individual customers are run through the A-Number validation process to promote data integrity between USCIS ELIS and legacy USCIS systems such as the Central Index System (CIS). USCIS ELIS also enables the adjudicator to check biographical data entered by the customer (e.g., name, date of birth, place of birth, gender) against data from CIS to assist the adjudicator in identifying inaccurate data supplied by the customer (or correct inaccurate data on file in legacy systems.) Finally, USCIS automatically submits data to other federal systems such as CBP TECS and USCIS BBSS to verify identity and conduct background and security checks.

2.5 Privacy Impact Analysis: Related to Characterization of the Information

Privacy Risk: Because USCIS ELIS houses multiple benefit requests that each require different information, there is a risk that customers could submit more information than necessary.

Mitigation: USCIS ELIS mitigates this risk in two main ways. First, the system only collects information pertaining to one request at a time, so that the customer cannot be prompted

²⁶ Department of State Consolidated Consular Database Privacy Impact Assessment (Dec. 11, 2008), available at <http://www.state.gov/documents/organization/93772.pdf>.



to enter information unless it pertains to the specific benefit request on which the customer is working. Second, the user interface dynamically greys out fields that the customer should not fill out based on answers to other questions. For example, when a paper form would instruct the customer to skip a section of the form based on her answer, USCIS ELIS would “grey out” or disable the inapplicable section and present the customer only relevant sections and questions. It is possible for customers to upload more evidence than necessary because they are allowed to submit “unsolicited evidence” at any point until adjudication. This is a valuable feature to allow customers the opportunity to provide information initially forgotten or submitted incorrectly, which partially mitigates the risk that customers may opt to provide too much information. This risk cannot be fully mitigated because of the “unsolicited evidence” option.

Privacy Risk: Because USCIS ELIS automatically saves draft applications, there is a risk that adjudicators could later see draft information that the customer deleted or corrected before submitting his or her electronic request. This could negatively affect USCIS ELIS customers because they would not receive the same confidentiality online they receive via the paper process.

Mitigation: Although USCIS ELIS initially saves draft data, the customer may edit, delete, or update information when it is in draft state and the system does not keep copies of these previous iterations. When the customer submits his or her electronic request, USCIS ELIS only stores the final, signed version. Any previous version, including uploaded evidence that the customer removed before finalizing, is permanently deleted. USCIS adjudicators only receive the information that was e-signed and submitted. Similarly, if the customer begins drafting a request but never submits it (by e-signing and paying), then USCIS ELIS automatically deletes the data after 30 days, per the approved retention schedule. If the customer later files another benefit request, the adjudicator has no indication of a previous draft.

Section 3.0 Uses of the Information

The following questions require a clear description of the project’s use of information.

3.1 Describe how and why the project uses the information.

USCIS collects only the minimum information necessary to fulfill the following purposes:

(1) Establish a secure online account through which to submit an application

Information collected includes email address (used to contact customer and also as username), password (used to authenticate the user), mobile phone number for sending one-time PIN to be used as a second-factor in authenticating, and answers to security questions for future password resets;



(2) Verify the identity of the requester

Information collected may include A-Number, name, date of birth, place of birth, Social Security number, and other information such as date and class of admission into the United States, and mother's and father's names. These data are used to locate the customer in legacy systems;

(3) Facilitate criminal and national security background checks

Information collected includes name, date of birth, and country of birth for use by CBP TECS and USCIS BBSS in running background checks; physical description (eye color, hair color, height, and weight) required by BBSS; mailing address to provide to USCIS NASS for biometric appointment scheduling; and results of criminal and national security background checks from CBP TECS and USCIS BBSS for referral to FDNS as needed;

(4) Justify eligibility for benefit requested

Information collected includes the information collected on the applicable request along with documentation to support the request. The adjudicator uses all of this to follow existing SOPs on adjudicating the particular request; and

(5) Authorize card production

Information collected includes internal system indicators that record that every step of the adjudication process was followed, the adjudicator's decision and supervisory review, and the temporary storage of the applicable biometric images to allow for proper formatting. This also includes information from Pay.gov confirming that the customer paid the applicable fee and e-signature information to record that the customer attests that the information he or she put forth in the application is true.

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.

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

USCIS ELIS allows read-only roles for Immigration and Customs Enforcement (ICE) and U.S. Customs and Border Protection (CBP), both within DHS because of their shared immigration missions. Also, USCIS ELIS does share read-only information with the USCIS Enterprise Service Bus (ESB),²⁷ which may share information from USCIS ELIS with other Components via PCQS.

²⁷ DHS/USCIS/PIA-010 Person-Centric Query System (PCQS) PIA (June 22, 2007), available at, http://www.dhs.gov/xlibrary/assets/privacy/privacy_pia_uscis_pcq.pdf.



The majority of PCQS users are internal to USCIS. However, PCQS does grant user access to Department of State (DoS) users who have an official need for read-only access to USCIS customer data. Like CBP and ICE, DoS has a shared mission with USCIS because of its visa-issuing authority, which is part of the immigration process for many USCIS customers.

3.4 Privacy Impact Analysis: Related to the Uses of Information

Privacy Risk: There is a risk that increased availability of information that previously was only visible to one employee at a time (because it was in a paper file) could result in new, unauthorized uses of the information.

Mitigation: This risk is partially mitigated. USCIS will mitigate this risk three ways. First, all users of USCIS ELIS must receive role-based system training, which explains the purpose of the data and includes reminders about proper PII handling. Second, the system tracks all access and edits to customer PII, and stores that activity in back-end audit logs available to the USCIS Office of Security Investigations (OSI) for monitoring and action. Finally, USCIS ELIS employs a provisioning process that verifies every user requesting access to the system has a valid need to view data in the system.

Privacy Risk: By retaining data in an active, online platform, USCIS ELIS poses a risk of unauthorized exposure because the system could be attacked by an external entity.

Mitigation: USCIS recognizes that retaining data online makes that data potentially more available to compromise. As a result, USCIS is building into its retention schedules a timeframe after which data may be retained offline by the agency but not available online with public access. This will allow the agency to preserve records that should be maintained for their historical value but adds some security from unauthorized access of outdated accounts. This risk is also mitigated by IT security measures such as encryption of the data in transit and at risk and requiring secure, two-factor authentication for login.

Section 4.0 Notice

The following questions seek information about the project's notice to the individual about the information collected, the right to consent to uses of said information, and the right to decline to provide information.

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

USCIS provides online customers with a Privacy Act statement addressing the collection of their information for the creation of an online account before any information is input by the customer. USCIS also provides a Privacy Act statement covering the particular application, petition, or request at the time of that collection. USCIS ELIS additionally sends paper and



electronic notices pertaining to the customer's request throughout the adjudication process and via this PIA. Further, USCIS provides the appropriate OMB control number and Paperwork Reduction Act Statement for each individual form type available to a customer via the USCIS Online Account prior to any data being input by the customer.

Finally, customers who are required to use IDPaaS are provided notice explaining what identity proofing is and what to expect before launching into the process. If customers are unable to pass the IDPaaS questionnaire, they are presented with instructions on how to proceed, which may be by contacting Customer Service or appearing in-person.

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

Once USCIS ELIS incorporates a particular immigration benefit type, all requests received for that benefit type will be processed in USCIS ELIS. While customers cannot opt to have their request processed according to a legacy process or system, they may opt to file via paper rather than electronically. If the customer opts not to provide answers to some of the information requested, the system will generally allow the customer to proceed with the request. The request, however, may take longer to adjudicate because the adjudicator may need to request the information the customer declined to submit with his or her application. If the customer declines to provide the requested information, the adjudicator may consider the request to be abandoned and deny the request or consider it abandoned.

4.3 Privacy Impact Analysis: Related to Notice

Privacy Risk: There is a risk that someone other than the USCIS customer will use the system to fraudulently obtain an immigration benefit, which could expose the legitimate customer to identity theft. This could occur without the customer knowing.

Mitigation: In order to mitigate the risk of identity theft or fraud, USCIS has existing processes that require most customers requesting an immigration benefit to provide their biometrics at an ASC, which allows for in-person identity verification. USCIS ELIS leverages this in-person identity-proofing to ensure the individual who created the online account is who he or she claims to be. For those processes that do not include an in-person identity verification, USCIS directs users to a remote identity proofing solution to confirm the user's identity according to applicable government-wide standards.



Section 5.0 Data Retention by the project

The following questions are intended to outline how long the project retains the information after the initial collection.

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

USCIS has drafted a series of retention schedules to cover different types of data in USCIS ELIS. Currently, two of those schedules have been finalized and signed by the Archivist. The remaining schedules are being actively worked with NARA.

The majority of customer data in USCIS ELIS is not yet covered by a finalized retention schedule, but is pending review at the National Archives. USCIS expects NARA to approve permanent retention for USCIS ELIS customer data because it replaces data that would have been in the Alien File (A-file) if filed via paper. Data includes individual customer account data of immigrants, as well as the case data pertaining to their requests. The A-file is permanently retained for historical purposes.

The approved retention schedules are as follows:

1. **ELECTRONIC IMMIGRATION SYSTEM (USCIS ELIS) ABANDONED DRAFT ACCOUNT AND/OR DRAFT BENEFIT REQUEST DATA, N1-566-11-02, (October 17, 2011):** This schedule covers customer accounts and draft applications that customers do not submit to USCIS within a 30-day period. The schedule dictates that the data must be permanently deleted 30 days after creation of the account or initiation of a draft application.
2. **USCIS ELECTRONIC IMMIGRATION SYSTEM (USCIS ELIS) TEMPORARY ACCOUNTS, N1-566-12-05, (April 17, 2013):** Covers internal user accounts for USCIS employees; such accounts will be deleted/destroyed 6 years after the account is terminated or when no longer needed for investigative or security purposes, whichever is later.

5.2 Privacy Impact Analysis: Related to Retention

There is no privacy risk to retention because USCIS records are retained permanently for their historical value, such as genealogical research, similar to the A-File.

Section 6.0 Information Sharing

The following questions are intended to describe the scope of the project information sharing external to the Department. External sharing encompasses sharing with other federal, state and local governments, and private sector entities.

- 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 ELIS information is shared outside of USCIS in a read-only state over the ESB and may be viewable by DoS via PCQS. Also, USCIS ELIS feeds data to USCIS BBSS for background checks, and BBSS uses that data as part of the record that is forwarded to the Federal Bureau of Investigations (FBI) to conduct its criminal and national security checks.²⁸

6.2 Describe how the external sharing noted in 6.1 is compatible with the SORN noted in 1.2.

Sharing USCIS ELIS data via PCQS to DoS is compatible with the purpose of the system because the DoS mission, like USCIS, includes ensuring lawful visits and immigration to the United States as dictated by the INA. This sharing is covered by the Routine Use "I" of the DHS/USCIS-007 SORN,²⁹ which states that data may be shared with, "...the Department of State for the purpose of assisting in the processing of petitions or applications for benefits under the Immigration and Nationality Act, and all other immigration and nationality laws including treaties and reciprocal agreements." Sharing with the FBI is covered by Routine Use "J" of the DHS/USCIS-007 SORN,³⁰ which states that data may be shared with "...appropriate Federal... law enforcement... agencies... during a proceeding within the purview of the immigration and nationality laws, when DHS deems that such disclosure is necessary to carry out its functions and statutory mandates to elicit information required by DHS to carry out its functions and statutory mandates."

6.3 Does the project place limitations on re-dissemination?

USCIS ELIS does not share any data that would not be allowed to be re-disseminated, and does allow for re-dissemination of information only once it becomes part of the sharing partners' systems of records.

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

BBSS and PCQS each automatically log external disclosures of information, as described in those systems' respective PIAs.³¹ If external sharing is authorized, the USCIS employee who disclosed the information must record the disclosure. The employee records this by typing a note with the data shared, purpose, and date into the free-text comment field of the system.

²⁸ All DHS PIAs and SORNs are available on www.dhs.gov/privacy. Please consult the PCQS and Background Check Service SORNs for specific information about when information is shared, for what purposes, and with whom.

²⁹ 73 FR 56596

³⁰ *Id.*

³¹ All DHS PIAs and SORNs are available on www.dhs.gov/privacy. Please consult the PCQS and BCS PIAs for specific information about how external disclosures are recorded.



6.5 Privacy Impact Analysis: Related to Information Sharing

Privacy Risk: There is a risk that data-sharing governance and record keeping designed for legacy paper processes, such as paper mechanisms for logging records of disclosure and physical restrictions on paper file sharing, might not translate to the electronic environment.

Mitigation: USCIS is mitigating this risk by working cooperatively with NARA and its records office to address recordkeeping changes as new benefit types are incorporated into the system. Updates are regularly briefed out to the highest level of the USCIS ELIS governance boards, which include USCIS Privacy. To date, recordkeeping issues have not arisen but a continuous review process continues. As the system is expanded to cover a larger percentage of overall customers, USCIS will increase data sharing incrementally so that processes for governance and recordkeeping can be adjusted on a specific basis and documented more formally. Significant updates will be referenced as appropriate in either an updated PIA or an appendix to this PIA.

Section 7.0 Redress

The following questions seek information about processes in place for individuals to seek redress which may include access to records about themselves, ensuring the accuracy of the information collected about them, and/or filing complaints.

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

USCIS ELIS provides USCIS customers the opportunity to access their information online by logging in to their account. The information they access includes a copy of the application they submitted, any notices or notifications generated by USCIS, and information about the status of their application. Certain information generated by USCIS as part of a criminal or security check is not automatically accessible by the customer. This information is exempt from access under 5 U.S.C. § 552a(k)(2) of the Privacy Act.³²

An individual may also gain access to his or her USCIS records by filing a Privacy Act or Freedom of Information Act (FOIA) request. If an individual would like to file a Privacy Act or FOIA request to view his or her USCIS record the request can be mailed to the following address:

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

³² 76 FR 70638 (Nov. 15, 2011).



The information requested may, however, be exempt from access under the Privacy Act because records related to fraud, with respect to an individual, may sometimes contain law enforcement sensitive information. The release of law enforcement sensitive information could possibly compromise ongoing criminal investigations. Further information for Privacy Act and FOIA requests for USCIS records can also be found at <http://www.uscis.gov>.

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

USCIS ELIS allows a customer to overwrite and correct any information in his or her application up to the point that he or she e-signs and submits the application. After it has been submitted, the customer may log in to his or her account and automatically make changes that have no substantive bearing on the adjudication, such as change in email address or contact information. If the customer wants to correct inaccurate information while the benefit is being adjudicated, he or she may submit the request in writing and upload the request into USCIS ELIS as unsolicited evidence or by mail. It is the adjudicator's decision to incorporate that corrected information, depending on the timing and validity of the information. For corrections after the application has been adjudicated, the customer would use the existing correction processes employed by USCIS, depending on the type and context of the correction requested.

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

USCIS ELIS makes multiple notifications to the customer throughout his or her use of the system, indicating to the customer when the case is in draft, how to update contact information, and several other methods of correction. Additionally, USCIS ELIS will publish online Frequently Asked Questions that address when and how to make corrections. Finally, USCIS has a Customer Contact Center contact listed to which customers are directed if they have questions. Customers who fail to identity proof using IDPaaS will be given specific instructions on how to proceed, which may be by contacting Customer Service or appearing in-person.

7.4 Privacy Impact Analysis: Related to Redress

Privacy Risk: There is a risk that the customer may be unable to correct certain data, such as name and date of birth, after the application is submitted.

Mitigation: Making changes to certain essential information such as name or date of birth would require a new criminal and security check, as well as a new attestation of the accuracy of the data submitted. Therefore, the system cannot allow the customer to automatically update this important information once the adjudication process has started. USCIS does mitigate this risk by allowing the adjudicator to consider written requests to change this information, or an in-person appointment, at his or her discretion within established SOPs. The risk that a customer is unable



to correct an error he or she generated is mitigated by the USCIS data quality and integrity procedures within the adjudication process.

Privacy Risk: There is a risk that customers may be unable to access, correct, or amend their records because the systems used for criminal and national security background checks are exempt from the Privacy Act.

Mitigation: Due to the sensitive nature of criminal and national security background checks, customers are not provided with direct access to such records. For many lines of business, the customer has a formal appeals process through legacy processes for challenging decisions that they believe to be unfair or based on incorrect information.

Section 8.0 Auditing and Accountability

The following questions are intended to describe technical and policy based safeguards and security measures.

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

USCIS ELIS has a sophisticated role-based user access for operational users as well as read-only users. These include roles that separate duties for operators to ensure appropriate oversight of the adjudication, as well as two levels of read-only roles to protect more sensitive data about a customer from being accessible to internal users who only have a need for some of their data. Additionally, USCIS ELIS captures all user activity, including information changed as well as viewed, in audit logs, which are reviewed by USCIS OSI.

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

USCIS trains each USCIS ELIS user on proper handling of PII as well as appropriate use of data according to each role. Additionally, all USCIS employees receive privacy and security training annually.

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 ELIS has several levels of operator roles as well as two levels of read-only roles. The operator roles are only available to individuals trained and currently occupying specific jobs within USCIS, and their supervisors are required to certify that their official duties align with the role before it is granted to those individuals. Likewise, USCIS will default to assigning the lower-



level of read-only to users requesting that access, unless they certify with supervisor confirmation that they need to know certain sensitive data about customers as part of their routine official duties.

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 ELIS data would be subject to the USCIS formal review process for any data sharing agreements. That process includes, at a minimum, review by the Privacy Office, Counsel, and program officials entrusted with security of the data.

Responsible Officials

Donald Hawkins

Privacy Officer, U.S. Citizenship and Immigration Services

Department of Homeland Security

Approval Signature

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

Karen L. Neuman

Chief Privacy Officer

Department of Homeland Security



Appendix A

Immigration Benefit Types Processed in USCIS ELIS

August 17, 2016

Name of Immigration Benefit Type	Associated Forms and/or Collections	Paper Filings	Online Filings
Replacement of Permanent Resident Card	I-90, G-28	X	X
Deferred Action for Childhood Arrivals	I-821D, I-765, I-765WS, G-28	X	
USCIS Immigrant Fee	OMB Control Number 1615-0122 (not a form), DoS Immigrant Visa Packet (includes data from DS-260 and I-864)	N/A	X
Application for Naturalization	N-400, G-28	X	
Temporary Protected Status	I-821, I-765, I-131, G-28	X	



APPENDIX B

Mobile Application and Device Use During USCIS-Conducted In-Person Interviews

May 11, 2016

Summary:

As part of an immigration request, USCIS adjudicators may interview a customer if required to complete the adjudication. During in-person interviews for cases in USCIS ELIS only, USCIS adjudicators may use a mobile device equipped with a mobile application developed by and available only to USCIS. At the time of such interaction, USCIS adjudicators may corroborate information declared by the customer on a USCIS-issued form (e.g., spelling of a name), collect new information (e.g., signature), and collect and verify responses provided by the individual at the time of the in-person interaction. The customer will have access to the original submission when they establish a USCIS online account. The mobile device may also be used to capture and record the officer's and applicant's required signatures.

The mobile device will be physically connected to and communicate directly to USCIS ELIS through a USCIS computer. All data, including any personally identifiable information (PII), will be transmitted through a secured encryption method to ensure that the data is protected.

Data Elements:

The mobile device and application will not store any collected or presented information, but will serve as a screen of USCIS ELIS information through which the individual:

- Review biographical information;
- Review and verify any changes to information on the submitted USCIS form;
- Provide responses to any questions related to the in-person interview;
- Provide signature when required; and
- Certify that any revisions or changes to the information on the USCIS form are true and correct.

The USCIS adjudicator will follow current processes to verify identity of individuals at an in-person interview or examination.

Population:

Any individual participating in an in-person interaction, such as an interview, with USCIS for which the form being reviewed is in USCIS ELIS.

Privacy Risk: There is risk that individuals do not receive notice prior to USCIS collection of



information via the mobile application.

Mitigation: USCIS is not collecting information through a mobile device or application. USCIS is using this technology to facilitate the interview process by verifying a customer's submission to USCIS and changes made during the interview. This technology only presents to the customer the information already collected by USCIS directly from the customer. The customer will have notice of their information submitted into USCIS ELIS when they create a USCIS online account and opt to access the original submission to USCIS.

Privacy Risk: There is risk that information collected by the mobile application will not be submitted securely back to USCIS ELIS.

Mitigation: USCIS developed the mobile application to serve as screens for individuals at an in-person interview or examination and is used for USCIS internal use only. It will not be available in any commercial mobile device application store. The application will not cache or store any PII on the device. The mobile application will serve as a conduit for USCIS ELIS, and allow customers to review information and responses to questions contained in previously submitted USCIS applications, petitions, or request forms. This mobile application will transmit the information through a low-level Transmission Control Protocol/Internet Protocol (TCP/IP) over a Universal Serial Bus (USB) protocol to a "local host" (i.e., USCIS ELIS communication software installed on the adjudicator's computer). Removing the mobile device from a computer or connecting to any computer other than the designated USCIS computer will make the mobile application inoperable.

All communication functions, to include global positioning system (GPS) and cellular that are not needed for the USCIS mobile application to function, are disabled from the mobile device. Hardware functions that are not required for using the USCIS mobile application, such as the application marketplace, are also disabled. The mobile device will run in single application or a remote kiosk mode that will prevent USCIS adjudicators or customers from going to the device home page or successfully accessing other functions. USCIS-internal Wi-Fi connection may be temporarily enabled for finite periods of time only to update the mobile application. Designated administrators will be able to access device settings and perform updates using a key or passcode.



Privacy Impact Assessment
for the

Fraud Detection and National Security Data System (FDNS-DS)

DHS/USCIS/PIA-013(a)

May 18, 2016

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Abstract

The Department of Homeland Security (DHS), U.S. Citizenship and Immigration Services (USCIS), developed the Fraud Detection and National Security Data System (FDNS-DS) as the primary case management system used to record requests and case determinations involving immigration benefit fraud, public safety, and national security concerns. Since its initial deployment, USCIS has incorporated a new screening functionality into FDNS-DS, known as ATLAS, to more effectively identify and review cases involving fraud, public safety, and national security concerns.¹ USCIS is updating and reissuing the entire FDNS-DS Privacy Impact Assessment (PIA), originally published on June 29, 2008, to capture these updates.

Overview

Every year, U.S. Citizenship and Immigration Services (USCIS) receives nearly 6.4 million applications for immigration benefits or service requests. USCIS is committed to ensuring the integrity of the United States (U.S.) immigration system. An integral part of USCIS's delegated authority to adjudicate benefits, petitions, or requests, and to determine if individuals are eligible for benefit or services, is to conduct screenings (i.e., background, identity, and security checks) on forms filed with the agency. USCIS Fraud Detection and National Security Directorate (FDNS) developed the Fraud Detection and National Security – Data System (FDNS-DS) to record, track, and manage the screening processes related to immigration applications, petitions, or requests with suspected or confirmed fraud, public safety, or national security concerns. FDNS also uses FDNS-DS to identify vulnerabilities that may compromise the integrity of the legal immigration system.

The 2014-2018 Department of Homeland Security (DHS) Strategic Plan states that DHS will enforce and administer the nation's immigration laws by "ensuring that only eligible applicants receive immigration benefits through expanded use of biometrics, a strengthening of screening processes, improvements to fraud detection, increases in legal staffing to ensure due process, and enhancements of interagency information sharing."² Recent events highlight the importance of screening immigration benefit applicants for fraud, public safety, and national security concerns. Within FDNS-DS, FDNS developed a screening module known as ATLAS. ATLAS's event-based screening capability increases the timeliness and quality of fraud referrals. For the purpose of this PIA, the term FDNS-DS encompasses both the case management system and the screening module, ATLAS.

¹ ATLAS is not an acronym.

² Department of Homeland Security. "Fiscal Years 2014 – 2018 Strategic Plan."



FDNS-DS receives, tracks, and records information through the following processes: screening, referrals made to FDNS, administrative investigations, and through conducting studies related to benefit fraud and trends³, as detailed below.

Screening and Referrals to FDNS

The types of screening performed on immigration forms vary by the benefit/request type. In general, USCIS conducts background checks⁴ to obtain relevant information in order to render the appropriate adjudicative decision with respect to the benefit or service sought, identity checks to confirm the individual's identity and combat potential fraud, and security checks to identify potential threats to public safety or national security. Standard checks may include:

- Biometric fingerprint-based checks:
 1. Federal Bureau of Investigation (FBI) Fingerprint Check
 2. DHS Automated Biometric Identification System (IDENT) Fingerprint Check⁵
 3. Department of Defense Automated Biometric Identification System (ABIS) Fingerprint Check⁶
- Biographic name-based checks:
 1. FBI Name Check
 2. TECS⁷ Name Check

USCIS uses several systems to support the checks identified above, which are described in detail in the Immigration Benefits Background Check Systems⁸ and Customer Profile Management Service⁹ PIAs, as well as the PIAs associated with USCIS's case management

³ See DHS/USCIS/PIA-013-01 FDNS Program, available at www.dhs.gov/privacy, for more information on the administrative inquiry process, adjudication, and BFA Process. FDNS completes administrative investigations to obtain relevant information needed to render the appropriate adjudicative decision.

⁴ During the adjudication process, USCIS conducts four different background checks; two biometric fingerprint-based and two biographic name-based, which are discussed in detail in the Immigration Benefits Background Check Systems (IBBCS) PIA. See DHS/USCIS/PIA-033 IBBCS, available at www.dhs.gov/privacy.

⁵ See DHS/NPPD/PIA-002 Automated Biometric Identification System (IDENT), available at www.dhs.gov/privacy.

⁶ For certain benefit types in which the beneficiary has a higher likelihood of having previously been fingerprinted by the U.S. military, USCIS conducts checks against the Department of Defense's Automated Biometric Identification System, as described in the Customer Profile Management System (CPMS) PIA. See DHS/USCIS/PIA-060 CPMS, available at www.dhs.gov/privacy.

⁷ See DHS/CBP/PIA-009 TECS System: CBP Primary and Secondary Processing (TECS), available at www.dhs.gov/privacy.

⁸ See DHS/USCIS/PIA-033 IBBCS, available at www.dhs.gov/privacy.

⁹ See DHS/USCIS/PIA-060 CPMS, available at www.dhs.gov/privacy.



systems. As mentioned in those PIAs, USCIS adjudications staff must query multiple systems, in some cases manually. Through the development of a screening module within FDNS-DS, known as ATLAS, the need to independently query each system is greatly reduced, thereby streamlining the screening process and limiting the privacy risks associated with using multiple systems. ATLAS interfaces with other systems in order to automate system checks and promotes consistent storage, retrieval, and analysis of screening results to enable FDNS to detect and investigate fraud, public safety, and national security concerns more timely and effectively. The specific system interfaces that enable screening through ATLAS are detailed at Appendix A.

Within FDNS-DS, ATLAS's automated, event-based screening is triggered when:

1. An individual presents him or herself to the agency (e.g., when USCIS receives an individual's benefit request form¹⁰ or while capturing an individual's 10-fingerprints at an authorized biometric capture site, for those forms that require fingerprint checks);
2. Derogatory information is associated with the individual in one or more DHS systems;
or
3. FDNS performs an administrative investigation.

ATLAS receives information from the individual's form submission and from the biographic and biometric-based checks listed above. That information is screened through a predefined set of rules to determine whether the information provided by the individual or obtained through the required checks presents a potential fraud, public safety, or national security concern. The rules help standardize how information is analyzed and help to detect patterns, trends, and risks that are not easily apparent from the form submissions themselves.

Previously, FDNS-DS received information primarily through manual referrals of cases from USCIS adjudications staff. Since the development of ATLAS, cases can now be referred to FDNS for administrative investigation in the following manners:

Referrals through System Generated Notifications (SGNs)

The screening process described above automates the process of referring cases to FDNS for review. Certain events, such as when USCIS receives a benefit request form or the 10-print capture of an individual's fingerprints at a biometric capture center, trigger rules-based screening. If the benefit request form or biometric capture matches a rule, ATLAS produces an SGN, which is elevated in FDNS-DS for manual review. Once an SGN is produced, a specially trained FDNS Officer, known as a Gatekeeper, conducts a manual review of the SGN for validity, determines whether it is "actionable" or "inactionable," and, if "actionable," triages the SGN for further action.

¹⁰ See DHS/USCIS/PIA-061 Benefit Request Intake Process, available at www.dhs.gov/privacy.



If an SGN is “actionable,” it enters the formal FDNS-DS case management process. An SGN found to be “inactionable” may be closed without further action. The SGN itself is not considered derogatory. SGNs help FDNS Officers to detect potential threats earlier in the immigration benefit application process, to demonstrate the fidelity of the individual’s biographic and biometric information, and to identify discrepancies more efficiently.

Fraud Tip Referrals

Members of the public and other government agencies can voluntarily submit a fraud tip to USCIS directly by emailing ReportFraudTips@uscis.dhs.gov. In the future, a static page will be available at www.uscis.gov, where a link to the mailbox will be provided. The webpage lists suggested fields that FDNS has deemed useful when processing the tip. The list serves merely as a suggestion; a fraud or tip reporter can include as much or as little information as he or she wishes. More information about the fraud tip reporting process is described in Appendix H to the FDNS Directorate PIA.¹¹

Upon receiving a tip, FDNS evaluates the tip to determine if it is “actionable” or “inactionable” for investigation. If FDNS deems the tip “actionable,” FDNS manually inputs the information into FDNS-DS and prepares the tip for an administrative investigation.

Manual Referrals

USCIS adjudications staff can make manual referrals to FDNS through FDNS’s Intranet Fraud Referral System (iFRS). Through this process, adjudications staff complete a fillable electronic form using the USCIS SharePoint Enterprise Collaboration Network (ECN).¹² FDNS Officers review the referrals and determine if the referral is “actionable” or “inactionable” and manually enter the information into FDNS-DS. If “actionable,” FDNS prepares the referral for administrative investigation.

Administrative Investigations

If FDNS determines an administrative investigation is necessary, FDNS conducts further checks to verify information prior to an adjudicative decision on the immigration benefit or service requested, to include resolving any potential fraud, public safety, or national security concerns. In conducting an administrative investigation,¹³ FDNS may perform one, or a combination, of the following:

- Research in Government and commercial databases and public records;

¹¹ See DHS/USCIS/PIA-013-01 FDNS Directorate, *available at* www.dhs.gov/privacy.

¹² See DHS/ALL/PIA-037 DHS SharePoint and Collaboration Sites, *available at* www.dhs.gov/privacy.

¹³ See DHS/USCIS/PIA-013-01 FDNS Directorate, *available at* www.dhs.gov/privacy, for more information on FDNS administrative investigations.



- Internet searches of open source information;
- Searches of publicly available information, including, but not limited to, social media sites;
- File reviews;
- Telephone calls;
- Site visits;
- Interviews of applicants, beneficiaries, petitioners, and others;
- Requests for evidence;
- Administrative subpoenas;
- Requests for assistance from law enforcement agencies;
- Overseas verifications; and
- Referral to law enforcement agencies.

FDNS may perform administrative investigations or work with partner agencies, as appropriate, and ultimately produces findings to sufficiently inform adjudications.

Federated Immigration Screening and Application Report (FISAR)

The Federated Immigration Screening and Application Report (FISAR) within FDNS-DS is an advanced search functionality that allows FDNS-DS users to view the entire screening history on an individual, including records of standard checks, any SGNs produced by ATLAS that relate to the individual, and administrative investigations performed. If there are SGNs in the individual's screening history, the FDNS-DS user can easily determine the status of those SGNs (e.g., pending or triaged). The gatekeeping process described above provides manual oversight to ensure that SGNs produced by the system are valid and that they relate to the individual.

Enhanced Analytical Capabilities

FDNS enhanced ATLAS with analytical capabilities to enable users to more easily query and visualize data within the system and to identify individuals who are filing for immigration and naturalization benefits who may potentially be engaging in fraudulent behavior or pose a risk to public safety or national security. During the screening process, ATLAS analyzes the results of biographic and biometric checks, applies rules, and performs link and forensic analysis and entity resolution among data received from multiple systems. ATLAS assists in confirming individuals' identities when individuals are potentially known by more than one identity by comparing the identity information provided by the individual with identity information in other systems checked



against the background, identity, and security check process. As an example, ATLAS can determine if an individual has applied for benefits using multiple biographic identities or aliases. ATLAS also visually displays linkages or relationships among individuals to assist in identifying non-obvious relationships among individuals and organizations with a potential nexus to criminal or terrorist activities. The results of this analysis may be produced and elevated in FDNS-DS in the form of an SGN or obtained through FISAR.

ATLAS's analytical capabilities do not alter the source data. All legal and policy controls around the source data remain in place.

USCIS is continuing to enhance its screening processes by incorporating seven core capabilities into ATLAS: (1) Predictive Analytics; (2) Link and Forensic Analysis; (3) Unstructured and Structured Analytics; (4) Intelligent Investigative Case Management; (5) Operational Decision Management; (6) Information Sharing and Collaboration; and (7) Entity Analytics. Before new analytical capabilities are deployed within FDNS-DS/ATLAS, the USCIS Office of Privacy will review them to determine additional privacy requirements, which may include updating or re-issuing FDNS PIAs or SORNs.

Types of Information Collected and Stored within FDNS-DS

The following information is collected and stored in FDNS-DS:

- Information collected during screening (i.e., background, identity, and security check processes) to include information provided by the individual on a benefit request form, in response to a request for evidence, or during an interview; derogatory information received in response to checks; and audit trails or logs reflecting the history of checks conducted on the individual;
- Information collected during the adjudicative and administrative investigation process;
- USCIS investigative referrals to law enforcement agencies (LEA) of suspected or confirmed fraud, public safety issues, or national security concerns;
- Referrals and leads from other government agencies and LEAs related to individuals with an immigration history with USCIS;
- Information collected during response to a Request For Information (RFI) from law enforcement and intelligence agencies;
- Referrals from the public or other governmental entities or fraud case referrals from the Benefit Fraud Assessment (BFA) process ("other referrals");
- Information from cases that are selected for study of benefit fraud rates or trends;



- Adverse information identified by USCIS from applications, administrative files, interviews, written requests for evidence (RFE) or site visits; resolution of any of the above-described categories of adverse information; and
- Adjudicative summaries and decisions.

This PIA generally covers the privacy risks and mitigation strategies associated with the FDNS-DS system and its screening (rules-based referrals) and case management capabilities. USCIS will maintain operationally sensitive appendices to this PIA that will analyze privacy risks and mitigation strategies associated with enhanced analytical capabilities that have been approved for use within FDNS-DS.

The privacy risks and mitigation strategies associated with the overall administrative investigation process are described in the FDNS Directorate PIA. Additionally, other published USCIS PIAs available <http://www.dhs.gov/privacy> cover the benefit request intake process, benefit request form analysis and case management, as well as the collection of biographic and biometric information that is used as part of the screening process. These published PIAs provide an in-depth discussion of these separate processes and evaluate the privacy risks and mitigation strategies built into each process.

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 legal authority to collect this information comes from the Immigration and Nationality Act 8 U.S.C. Section 1101 *et seq.* In addition, the Secretary of Homeland Security in Homeland Security Delegation No. 0150.1 delegated the following authorities to USCIS:

“(H) Authority under section 103(a)(1) of the Immigration and Nationality Act of 1952, as amended (INA), 8 U.S.C. §1103(a)(1), to administer the immigration laws (as defined in section 101(a)(17) of the INA).

Authority to investigate alleged civil and criminal violations of the immigration laws, including but not limited to alleged fraud with respect to applications or determinations within the Customs and Border Protection (CBP) or the CIS and make recommendations for prosecutions, or other appropriate action when deemed advisable.”



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

Information collected, maintained, used, and disseminated by FDNS-DS is covered under the following SORNs:

- DHS/USCIS-006 Fraud Detection and National Security Records (FDNS), August 8, 2012 (77 FR 47411)
 - Final Rule for Privacy Act Exemptions, August 31, 2009 (74 FR 45084)
- DHS/USCIS/ICE/CBP-001 Alien File, Index, and National File Tracking System of Records, November 21, 2013 (78 FR 69864)

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

Yes. FDNS-DS was approved for entrance into the DHS Ongoing Authorization Program on August 26, 2014. A system privacy plan is pending the completion of this PIA.

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

Yes. NARA approved the FDNS-DS retention schedule, N1-566-08-18. FDNS will retain the records 15 years from the date of the last interaction between FDNS personnel and the individual for records maintained in FDNS-DS. Records related to an individual's A-File will be transferred to the A-File and maintained under the A-File retention period. USCIS maintains records on individuals and all of their immigration transactions and law enforcement and national security actions (if applicable), in the A-File. A-File records are permanent records in both electronic and paper form. USCIS transfers A-Files to the custody of NARA 100 years after the individual's date of birth, in accordance with N1-566-08-011.

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.

Almost all of the information within FDNS-DS is originally submitted on a benefit request form that is subject to the PRA. However, there are no forms associated specifically with the collection of information in FDNS-DS. Please see the benefit request PIAs and Appendices for a



comprehensive list of the various forms that cover the initial collection of information from the individual.¹⁴

Section 2.0 Characterization of the Information

The following questions are intended to define the scope of the information requested or collected, as well as reasons for its collection.

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

Due to the nature of the information within FDNS-DS, FDNS-DS contains sensitive personally identifiable information (SPII). Depending upon the category of information being collected in or attached to an FDNS-DS record, the system may collect the following SPII:

Information about individuals may include, if applicable:

- Full Name;
- Alias(es);
- Physical and Mailing Addresses;
- Alien Number (A-Number);
- USCIS Online Account Number;
- Social Security number (SSN);
- Date of Birth;
- Nationality;
- Country of Citizenship;
- Place of Birth;
- Gender;
- Marital Status;
- Military Status;
- Phone Numbers;

¹⁴ See DHS/USCIS/PIA-061 Benefit Request Intake Process, *available at* www.dhs.gov/privacy.



Homeland Security

- Email Address;
- Immigration Status;
- Government-issued Identification (e.g., passport, driver's license):
 - Document Type;
 - Issuing Organization;
 - Document Number; and
 - Expiration Date.
- Signature;
- Other Unique Identifying Numbers (e.g., Department of State (DOS)-issued Personal Identification Number, ICE Student and Exchange Visitor Number, USCIS E-Verify Company Identification Number);
- Arrival/Departure Information;
- Immigration History (e.g., citizenship/naturalization certificate number, removals, explanations);
- Family Relationships (e.g., parent, spouse, sibling, child, other dependents) and Relationship Practices (e.g., polygamy, custody, guardianship);
- USCIS Receipt/Case Number;
- Personal Background Information (e.g., involvement with national security threats, criminal offenses, Communist party, torture, genocide, killing, injuring, forced sexual contact, limiting or denying others religious beliefs, service in military or other armed groups, work in penal or detention systems, weapons distribution, combat training);
- Medical Information;
- Travel History;
- Education History;
- Work Information (contact information, position and relationship to an Organization, degree(s), membership(s), accreditation(s), license(s) identification numbers);
- Work History;
- Bank account or financial transaction history;
- Supporting documentation as necessary (e.g., birth, marriage, or divorce certificates,



licenses, academic diplomas, academic transcripts, appeals or motions to reopen or reconsider decisions, explanatory statements, criminal history documents, and unsolicited information submitted voluntarily by the applicants or family members in support of a benefit request);

- Physical Description (e.g., height, weight, eye color, hair color, race, ethnicity, identifying marks like tattoos or birthmarks);
- Photographs from Government-issued Identification (i.e., passport, Driver's license, and other identification card);
- Relationships to petitioners, representative, preparers, family members, and applicants;
- Case processing information such as date applications were filed or received by USCIS, application/petition status, location of record, other control number when applicable, and fee receipt data;
- Organizations associated with applications, petitions or other requests (Place of business or place of worship, if place of worship is sponsoring the individual);
- Civil or criminal history information;
- Uniform resource locators (URLs)¹⁵ or Internet protocol addresses;
- Biometric identifiers or associated biographic information (e.g., photographic facial image, fingerprints, Fingerprint Identification Number (FIN), Encounter Identification Number (EID), and signature);
- TECS, National Crime Information Center (NCIC), Federal Bureau of Investigation (FBI) Terrorist Screening Database, and any other data and analysis resulting from the investigation or routine background identity and security checks performed in support of the adjudication process; or
- Any other unique, identifying information.

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

Information in FDNS-DS is collected during the following processes: the screening (i.e., background, identity, and security check) process, referrals made to FDNS, administrative investigations, and to conduct studies related to benefit fraud and trends.¹⁶ Much of the information

¹⁵ The URL is the unique address for a file that is accessible on the Internet.

¹⁶ See DHS/USCIS/PIA-013-01 FDNS Program, available at www.dhs.gov/privacy, for more information on the administrative inquiry process, adjudication, and BFA Process. FDNS completes administrative investigations to



collected in the FDNS-DS is taken from the benefit request form submitted to USCIS by the individual or an authorized representative or preparer, or from systems against which that data is screened during the screening process. USCIS may also collect information through interviews and site visits and record this into FDNS-DS. Interviewees may include current/past employers, family members, applicants, or other authorized representatives or preparers.

The information can be collected automatically or manually, as described below.

Automatic Collection

FDNS-DS's event-based screening capability through ATLAS is an automatic collection process that records certain information for review. Screening within ATLAS is triggered when:

1. An individual presents himself/herself to the agency;
2. Derogatory information is associated with the individual in one or more DHS systems;
or
3. Administrative investigations are performed.

ATLAS queries internal and external systems automatically to obtain data relating to an individual's background, identity, and security check. ATLAS receives biographic data (e.g., name, date of birth, alias) associated with the individual's benefit request form from USCIS case management systems or biographic data associated with the individual's biometric capture at an approved biometric collection site (e.g., FIN, A-Number), which may be screened against data in IDENT,¹⁷ TECS,¹⁸ or the Terrorist Screening Database¹⁹ and then against FDNS-DS's rules engine and analytical tools to produce SGNs.

In addition to the automatic collection that occurs during the screening process, FDNS-DS has a direct connection to the Enterprise Citizenship and Immigration Services Centralized Operational Repository (eCISCOR)²⁰ to obtain CLAIMS²¹ information about benefit request forms, applications; or petitions that can be used to automate the population of case information within FDNS-DS, such as A-Number. This helps to reduce the risk of error from manual data entry and to preserve the integrity of the information found in source systems.

obtain relevant information needed to render the appropriate adjudicative decision.

¹⁷ See DHS/NPPD/PIA-002 Automated Biometric Identification System (IDENT), available at www.dhs.gov/privacy, for more information.

¹⁸ See DHS/CBP/PIA-009 TECS System: CBP Primary and Secondary Processing (TECS), available at www.dhs.gov/privacy.

¹⁹ See Privacy Impact Assessment for the DHS Watchlist Service available at www.dhs.gov/privacy, for more information.

²⁰ See DHS/USCIS/PIA-023(a) Enterprise Citizenship and Immigrations Services Centralized Operational Repository (eCISCOR), available at www.dhs.gov/privacy.

²¹ See DHS/USCIS/PIA-016(a) CLAIMS 3, available at www.dhs.gov/privacy, for more information.



A comprehensive listing of source systems for this automatic collection is routinely updated at Appendix A.

Manual Collection

FDNS-DS users may query several DHS databases or systems to obtain information. Information gathered from these systems (e.g., dates of birth, SSN, country of birth, address) may be added to FDNS-DS. A complete list of DHS systems researched during this process is also included in Appendix A to this PIA.

Federal, State, and Local Government Sources

FDNS Officers may obtain information from various external sources, such as:

- Department of Labor
- Department of State (DOS)
- Social Security Administration (SSA) Electronic Verification of Vital Events (EVVE)²²
- Federal Aviation Administration websites
- Intelligence and law enforcement communities
- State and local government agencies
- Local, county, and state police information networks
- State motor vehicle administration databases and websites
- Driver license retrieval websites
- State bar associations
- State comptrollers
- State probation/parole boards or offices
- County appraisal districts
- State sexual predator websites

As described in the FDNS Directorate PIA, FDNS receives information from external partners or sources during the administrative inquiry process and as part of referrals, requests for

²² EVVE system allows verification of vital record information from the states, including birth certificates. See Electronic Verification of Vital Events Program Operations Manual System, *available at* <https://secure.ssa.gov/poms.nsf>, for more information.



assistance, or requests for information. The type of information collected depends on the specific context of a given case within FDNS-DS.

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

FDNS collects information throughout the course of recording, tracking, and managing the screening and administrative investigation processes related to immigration benefit requests forms, applications, or petitions. FDNS may obtain information from commercial sources or from publicly available information on the Internet. Examples of commercial or publicly available sources FDNS may access include, but are not limited to:

- Commercial data brokers (e.g., Choicepoint AutoTrackXP, Lexis/Nexis Accurint, Thomson Reuters CLEAR)
- General legal research sites (e.g., Legal Information Institute)
- Internet sites such as university websites and newspapers, news media websites, United Press International, Reuters, and foreign news media websites
- Various search engines (e.g., Ask, Google, Yahoo, REFDESK)
- Social media websites (e.g., Facebook, Twitter, LinkedIn, Pinterest, Google+)²³

FDNS-DS enables Officers to note the exact URL and include attachments of any information collected from commercial sources or publicly available information.

FDNS uses these various commercial and publicly available sources to verify information provided by the individual, support or refute indications of fraudulent behavior, and identify any threat to public safety or nexus to known or suspected terrorists in the processing of their benefit request, consistent with authority granted by the Immigration and Nationality Act.²⁴ In addition, the Secretary has delegated USCIS the authority to investigate alleged civil and criminal violations of the immigration laws, not limited to alleged fraud with respect to applications or determinations.²⁵

²³ FDNS Officers who seek to access, process, store, receive, or transmit PII obtained through the Operational Use of Social Media while conducting investigations are required to complete a "Rules of Behavior (ROB) for the Operational Use of Social Media." These ROB's ensure that users are accountable for their actions on social media, are properly trained, and aware of the authorized use of social media sites.

²⁴ 8 U.S.C. 1101 et seq.

²⁵ See Secretary of Homeland Security Delegation No. 0150.1, Section II (H) and (I), for more information.



Compiling this information and taking action to prevent potentially malevolent and sometimes dangerous people from staying in this country supports DHS's mission of preventing terrorist attacks within the United States and reducing America's vulnerability to terrorism, while facilitating the adjudication of lawful benefit applications.

2.4 Discuss how accuracy of the data is ensured.

FDNS-DS relies on the accuracy of the information as it is collected from the source. As such, the accuracy of the information in FDNS-DS is equivalent to the accuracy of the source information at the point in time when it is collected into FDNS-DS. During this process, FDNS conducts data validation to ensure accuracy of the data.

FDNS Officers compare information obtained during the screening and administrative investigation processes with information provided directly by the individual (applicant or petitioner) in the underlying benefit request form or in response to Requests for Evidence or Notices to Appear, to ensure information is matched to the correct individual, as well as to ensure integrity of the data. As described above, the information contained in benefit request forms, applications, or petitions may be matched against public records, commercial data aggregators, and public source information, such as web sites or social media, to validate the veracity of information provided by the individual.

FDNS uses public source information only as means to verify information already on file with USCIS or identify possible inconsistencies. Due to the inherent data accuracy risks of relying on information from the Internet, USCIS requires that no benefit determination action can be taken based solely on information received from a public source. The information obtained from a public source must be corroborated with authoritative information on file with USCIS.

In the event FDNS Officers learn that information contained within other systems of records is not accurate, the Officer will notify appropriate individuals within the USCIS Records Office or the federal agency owning the data, who will facilitate any necessary notifications and changes.

2.5 Privacy Impact Analysis: Related to Characterization of the Information

Privacy Risk: There is a risk to individual participation because FDNS Officers rely on a considerable amount of information collected from external sources beyond what individual submitted on his or her benefit request form.

Mitigation: This risk is partially mitigated. FDNS collects information from a variety of sources to verify the information provided by individuals in the course of a review of possible fraud, public safety, and national security concerns. FDNS has determined that in order to have



Homeland Security

the best evidence available to support the adjudication process, it is necessary to collect large amounts of sensitive PII. This information is required to ensure that FDNS makes the correct determination about the correct individual regarding cases of fraud, criminal activity, public safety, and national security concerns and sufficiently informs the adjudication of the benefit application. This risk is also partially mitigated in that individuals have the opportunity to provide information directly to USCIS throughout the adjudication process and through interviews, Requests for Evidence, or Notices to Appear.

Privacy Risk: Due to FDNS's reliance on external sources, including commercial sources, public sources, or social media, there is a risk that USCIS will obtain and rely upon inaccurate data.

Mitigation: The risk is partially mitigated in that FDNS considers information derived from sources other than the individual, but also exercises caution about the information's accuracy. Due to its inherent lack of data integrity, public source information is not used as the sole basis upon which to adjudicate an immigration benefit or request, investigate benefit fraud, or identify public safety and national security concerns. FDNS compares historical, biographical, financial, and personal information presented by the individual against third-party sources, whenever possible.

In order to improve the accuracy of the information, USCIS has developed policies and procedures for safeguarding data aggregated within FDNS from several different sources. This includes using public record data, data from commercial data providers, as well as other publicly available data including social media and news and reviewing existing data in USCIS's files with information outside of USCIS. If inaccurate information is found during the process of reviewing a file, FDNS will contact personnel within the USCIS Records Division who are authorized to make the changes to the data in the source system. FDNS will also correct inaccuracies in FDNS-DS and other locations where FDNS records are maintained.

Privacy Risk: Because FDNS-DS aggregates information from multiple source systems, there is a risk of data inaccuracy if the data in the underlying system(s) change.

Mitigation: As noted above, FDNS has policies and procedures in place to confirm the veracity of the data being relied upon in resolving potential fraud, public safety, and national security concerns. FDNS-DS also queries other systems in real time to receive the most timely and accurate data available from the source system. Finally, individuals have opportunities to provide information directly through the adjudicative process.

Privacy Risk: In some cases, FDNS-DS users enter information into the system manually. There is a risk of human error, which could result in FDNS relying on inaccurate data.



Mitigation: FDNS has a vested interest and responsibility to maintain the most accurate data possible since the information could be used in support of an adjudicative decision or in support of criminal investigations undertaken by law enforcement partners. FDNS Officers rely on multiple sources to confirm the veracity of the data and, if discrepancies are uncovered, will take necessary steps to correct inaccuracies.

Privacy Risk: There is a risk that search functions that previously could only have been performed through separate searches of individual systems or databases will allow FDNS-DS users (or users of other case management systems that receive data from FDNS-DS) to access to more data than is necessary to perform their specific roles.

Mitigation: This risk is mitigated in that FDNS-DS maintains strict access controls so that only FDNS-DS users with a role in investigating cases for potential fraud, public safety, and national security concerns have access to raw data retrieved as part of the screening process. FDNS-DS interfaces with other systems to help streamline the processes that FDNS-DS users currently perform manually, and its capabilities are designed to assist officers in obtaining information needed to confirm an individual's eligibility for the benefit or request sought while preserving the integrity of the legal immigration system. The output to other case management systems is reasonably tailored to provide adjudications staff with information relevant to making a determination on the benefit or request sought.

Privacy Risk: There is a risk of obtaining data from new sources that have not been reviewed for privacy and legal concerns in determining possible benefit fraud, criminal activity, public safety, and national security concerns.

Mitigation: The risk is partially mitigated. In order to reduce the risk of new data being incorporated into FDNS that has not been reviewed for privacy and legal concerns, multiple layers of privacy and legal review have been built into FDNS's processes. The process is memorialized via the Overarching Integrated Project Team (IPT) Charter, which is in the approval process. Additionally, new sources are reviewed through the FDNS weekly Screening and Case Management IPTs with participation from the FDNS Privacy Advisor and USCIS Office of Privacy. FDNS must submit a privacy threshold analysis and receive approval from the DHS Privacy Office before adding any new data sources.

Section 3.0 Uses of the Information

The following questions require a clear description of the project's use of information.

3.1 Describe how and why the project uses the information.



FDNS-DS records, tracks, and manages the screening process, thereby increasing the effectiveness of the U.S. immigration system in combating benefit fraud, protecting public safety, identifying potential threats to national security, and identifying vulnerabilities that may compromise the integrity of the legal immigration system.

Screening

FDNS uses FDNS-DS to manage the screening (i.e., background, identity, and security check) process in support of the adjudication of USCIS benefit requests, in a pre-decisional and deliberative process. The information can be collected as a part of an automatic collection or manual collection, as described in Section 2.2.

FDNS uses commercial and publicly available sources, as well as information from other federal, state, and local government sources, to verify information provided by the individual/applicant or his/her petitioner or representative, support or refute indications of fraudulent behavior, and identify any public safety concerns or nexus to known or suspected terrorists in the processing of the individual/applicant's benefit request, pursuant to the Immigration and Nationality Act.²⁶

Case Management

FDNS-DS performs case management by recording, tracking, and managing the processes associated with detecting fraud, egregious or non-egregious public safety, and national security concerns. FDNS-DS is the central repository for all data gathered during the processes of performing screening on benefit request forms or applications received, performing administrative investigations, and conducting studies of benefit fraud rates and trends.

Studies Related to Benefit Fraud and Trends

FDNS uses FDNS-DS data to produce studies related to benefit fraud and trends.²⁷ Identification of fraud patterns and trends support operational decision management and inform future rules-based referrals.²⁸

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.

²⁶ 8 U.S.C. Section 1101 *et seq.*

²⁷ See DHS/USCIS/PIA-013-01 FDNS Program, available at www.dhs.gov/privacy, for more information on the administrative inquiry process, adjudication, and BFA Process. FDNS completes administrative investigations to obtain relevant information needed to render the appropriate adjudicative decision.

²⁸ See DHS/USCIS/PIA-055 SAS Predictive Modeling Environment, available at www.dhs.gov/privacy.



Yes. FDNS is incorporating predictive analytics into FDNS-DS to assist in prioritizing the workload. Predictive technology is applied to known derogatory holdings (e.g., background check results) in order to categorize information so that the cases most likely to result in a referral for criminal action are prioritized for the most immediate review. All cases, regardless of their priority, are reviewed manually by FDNS Officers.

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

Yes. FDNS-DS information is accessed by or shared with employees or contractors of DHS components on a need-to-know basis. Limited U.S. Immigration and Customs Enforcement (ICE) and CBP personnel have been granted read-only access to FDNS-DS. Information sharing includes tracking interactions with ICE to determine if further law enforcement activities should be pursued. ICE and CBP must request USCIS permission to share USCIS data with external third parties.

At the time of publication of this PIA, FDNS is also working with ICE to establish a connection to improve the quality and exchange of information with ICE, consistent with the joint USCIS/ICE anti-fraud strategy discussed in the FDNS Directorate PIA. Through this connection, FDNS-DS will share information with ICE on cases that may involve egregious public safety concerns or require further criminal investigation.

Furthermore, at the request of DHS, RFIs for national security purposes from external entities are coordinated through DHS Office of Intelligence and Analysis (I&A) Single Point of Service (SPS).²⁹

3.4 Privacy Impact Analysis: Related to the Uses of Information

Privacy Risk: There is a risk that information contained within the FDNS-DS system is not used consistently with its original purpose and authority or that individuals may use the data inappropriately.

Mitigation: Consistent with FDNS's mission of detecting, deterring, and combating immigration benefit fraud, all information contained within FDNS-DS is used to identify and track possible benefit fraud, public safety, and national security concerns. These uses are consistent with the notice provided to individuals in the Privacy Act Statements on all USCIS forms, as well as this PIA and the corresponding SORN.

Consistent with USCIS and FDNS governance, user permissions are managed in a stringent manner to ensure users are only granted the privileges and access necessary to perform their job.

²⁹ See DHS/ALL/PIA-044 DHS Single Point of Service Request for Information Management Tool, available at www.dhs.gov/privacy, for more information.



User roles within the application will also be managed in a manner that is reflective of the need for more restrictive access. Training of users will also incorporate the appropriate use and access of data.

External users (i.e., CBP and ICE users) are granted read-only access to FDNS-DS only. USCIS shares FDNS-DS data with ICE, and in some cases with CBP, to determine if further law enforcement activities should be pursued. ICE and CBP must request USCIS permission to share USCIS data with external third parties. This ensures sharing is consistent with the routine uses allowable in the FDNS SORN.

Privacy Risk: There is a risk that SGNs may present FDNS Officers with results that may contain too many false positives, which may render the resulting data unusable or unreliable or unfairly subject individuals to further scrutiny.

Mitigation: An onboarding phase allows for a period of refining rules before they are deployed across FDNS. This onboarding phase consists of FDNS-DS users in a limited rollout receiving rule alerts through e-mail notifications.

USCIS continually tunes the rules to narrow the scope of information provided to FDNS Officers. Rigorous quality control and assurance procedures are used to adjust rules as necessary to reduce the potential for false positives. FDNS continually monitors and refines rules based on appropriate metrics. The SGN process also provides for a layer of human review to confirm SGNs are actionable prior to routing them for further case management activity.

Privacy Risk: There is a risk of an inappropriate assumption that all individuals listed within FDNS-DS have engaged in fraudulent immigration-related practices or pose a public safety or national security risk.

Mitigation: Individuals that are listed within FDNS-DS have potentially engaged in activities that require further review for potential fraud, criminal activity, public safety, and national security concerns. However, the existence of a record in FDNS-DS is not in itself considered derogatory or a reflection on the individual's eligibility for a benefit, request, or service. In determinations when potential was not realized, cases are marked with "no fraud found." Statements of Findings (SOF) or assessments will contain a summary for adjudication's use.

Privacy Risk: For certain benefits or service requests, FDNS must share the results of background, identity, and security checks or other forms of screening with other USCIS case management systems in order to provide information in support of adjudications. There is a risk that data will be inaccurately copied or that it may be taken out of context.

Mitigation: The risk is partially mitigated in that FDNS-DS, as a standard practice with A-File handling, allows the ability to copy a non-changing SOF for adjudications. A SOF is an



unchangeable, PDF document in FDNS-DS. In response to manual referrals made to FDNS-DS, FDNS users will complete a SOF or assessment, when required. The SOFs or assessments are shared with adjudications staff. Adjudications staff are trained on how to interpret information in the SOFs or assessments and their relevance in adjudicating immigration benefits and also coordinate closely with FDNS.

In future releases, FDNS-DS will interface with USCIS immigration case management systems to fully automate the screening process, as well as provide the background, identity, and security check results either in the form of a hit/no hit response, a summary of past screening history, or some usable form, in order to provide timely, meaningful information to adjudicative staff. The responses sent to the case management systems will be tailored to present adjudication officers with information relevant to determining the individual's eligibility for the immigration benefit or service sought.

Privacy Risk: With automating the screening process, there is a risk of recurrent screening or vetting of individuals beyond the original purpose.

Mitigation: USCIS has established a robust governance structure to ensure that screening rules are compliant with all legal and privacy requirements. New rules undergo several layers of operational, legal, privacy, and policy review before they are presented to the Deputy Director, USCIS, for final approval. Through this process, FDNS ensures that all screening activity is properly vetted and falls within USCIS's authority. All screening methods deployed are tailored to provide information that is relevant to the adjudication of a particular benefit or immigration service request. USCIS may conduct screening in situations in which USCIS has the authority to rescind, revoke, or otherwise terminate, to issue a Notice to Appear (NTA), or to refer to another government agency for criminal/civil actions. When USCIS may no longer take action on a benefit, service, or request, the screening will cease.

Privacy Risk: There is a risk that FDNS-DS users will create ATLAS rules without going through the appropriate rules review process.

Mitigation: The governance process ensures that new rules are not created or implemented within the system without review from the appropriate stakeholders, including privacy and legal review. Implementation of rules and generation of SGNs are required to be in compliance with the Privacy Act of 1974, E-Government Act of 2002, Homeland Security Act of 2002 and all DHS privacy policies. Additionally, the capture, use, and disclosure of PII through the rules process must be pursuant to applicable system of record notices and available routine uses.



Section 4.0 Notice

The following questions seek information about the project's notice to the individual about the information collected, the right to consent to uses of said information, and the right to decline to provide information.

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

In addition to the publication of this PIA, USCIS has previously published a programmatic PIA and SORN for the FDNS Directorate. FDNS-DS collects information from other USCIS systems, which also have their own PIAs and SORNs published on the DHS website.

All applications for benefits from USCIS have a Privacy Act Statement providing notice to the individual regarding the use and collection of the information and these forms state that information may be used for fraud detection. USCIS forms also notify the individual that information provided may be checked for completeness, that certain background checks may be conducted, or that USCIS may request an interview or further evidence.³⁰

When FDNS conducts interviews and site visits, FDNS Officers identify themselves and notify the individual or beneficiary of the reason for the interview or site visit. Notice is given to an individual's attorney when an administrative site visit or interview will occur, unless notice would jeopardize the site visit or interview.

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

USCIS benefit request forms require that an individual provide specific information that may contain sensitive PII. The failure to submit such information could impact the processing or adjudication of an application or petition and thus preclude the individual from receiving the benefit, request, or service. Therefore, through the application process, individuals have consented to the use of the information supplied in the benefit request form or application to determine their eligibility for the benefit, request, or service sought. Further, fraud assessments and background, identity, and security checks are required by regulation on all requests/applications filed with USCIS. Benefits, requests, or services cannot be granted until those checks are complete, and the information submitted is essential to the conduct of those checks.³¹

³⁰ Adjudicators are responsible for making decisions regarding granting benefits.

³¹ As required by Title 8 U.S.C. § 1101 et seq.



USCIS provides notice to all individuals at the time of collection through a Privacy Act Statement on all USCIS forms. Individuals are notified at the point of data collection (generally in the form itself) of the right to decline to provide the required information; however, such action may result in the denial of the individual's request.

4.3 Privacy Impact Analysis: Related to Notice

Privacy Risk: There is a risk to notice that benefit requestors will not know that FDNS will collect publicly available information about them, including information posted on public social media websites and platforms.

Mitigation: The risk has been mitigated to the extent possible because USCIS provides notice to individuals through an (e)(3) statement, the source system PIAs, the FDNS Directorate PIA, this PIA, and the associated SORNs. USCIS also provides notice of its fraud detection and national security work through its public website.³²

Section 5.0 Data Retention by the project

The following questions are intended to outline how long the project retains the information after the initial collection.

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

USCIS retains application information to assist in identifying individuals who threaten national security and public safety; detecting, pursuing, and deterring immigration benefit fraud; and identifying and removing systemic vulnerabilities in the process of the legal immigration system.

USCIS retains FDNS-DS records for 15 years from the date of the last interaction between FDNS personnel and the individual, no matter the determination. Records related to a person's A-File will be transferred to the A-File and maintained under the A-File retention period (N1-566-08-11). Upon closure of a case pertaining to an individual, any information that is pertinent to the adjudicative decision (such as a SOF), whether there was or was not an indication of fraud, criminal activity, public safety and national security concerns, is transferred to the associated A-File.

5.2 Privacy Impact Analysis: Related to Retention

Privacy Risk: There is a risk that data will be retained longer than necessary. This would increase the risk of unauthorized access, use, and loss of the data.

³² See <https://www.uscis.gov/about-us/directorates-and-program-offices/fraud-detection-and-national-security/fraud-detection-and-national-security-directorate>



Mitigation: FDNS mitigates this risk by destroying FDNS-DS data in accordance with approved NARA records retention schedules. The 15-year retention schedule for FDNS data (NI-566-08-18) provides access to information that can be critical to research related to suspected or confirmed fraud, public safety, and national security concerns for individuals who may still be receiving immigration benefits or services. In addition, should the individual apply for another benefit, retention of the information can eliminate the need for research on concerns that were previously addressed.

Privacy Risk: There is a risk that data will be retained in FDNS-DS longer than allowed by the original source system.

Mitigation: This risk is mitigated in that FDNS-DS retains data relevant to the background check/screening process and to cases of suspected or confirmed fraud, criminal activity, public safety and national security concerns. The system's master 15-year retention period is shorter than that of many USCIS case management systems from which application data is derived.

Section 6.0 Information Sharing

The following questions are intended to describe the scope of the project information sharing external to the Department. External sharing encompasses sharing with other federal, state, and local government; and private sector entities.

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.

FDNS shares information outside of DHS when USCIS receives an RFI, when it proactively discloses based on information in the record, and when asking an outside organization for additional information related to an individual. RFIs may be received from federal law enforcement agencies (e.g., Department of Justice (DOJ) FBI, DOS), the Intelligence Community, and authorized state or local law enforcement agencies who are parties to information sharing agreements managed by DHS. USCIS provides access to the requested data through direct user accounts or through copying of data to an electronic device or medium.

Requests for information are governed by the DHS/USCIS-006 Fraud Detection and National Security Records (FDNS) System of Records³³, the DHS/USCIS/ICE/CBP-001 Alien File, Index, and National File Tracking System of Records³⁴, or in some instances, the originating

³³ 77 FR 47411 (Aug. 8, 2012).

³⁴ 78 FR 69864 (Nov. 21, 2013).



system of records notice for the underlying USCIS records, e.g., DHS/USCIS-007 Benefits Information System (BIS).³⁵ When covered by an applicable routine use and when appropriate, USCIS may share the sensitive PII listed in Section 2.1 of this PIA with federal, state, tribal, local, international, or foreign law enforcement and intelligence agencies, in response to an RFI in support of criminal and administrative investigations, and background identity and security checks involving immigrant benefit fraud, criminal activity, public safety, and national security concerns.

Through direct user account access, DOS Bureau of Consular Affairs may view a comprehensive picture of a visa applicant's status and to reduce the likelihood that an individual or group might fraudulently obtain an immigration benefit under the INA, as amended. DOS has read-only access to FDNS-DS.

Proactive disclosure based on information in the system occurs when FDNS has an indication of possible fraud, criminal activity, public safety, and national security concerns. In these cases, FDNS may proactively share information with other government entities as described under the FDNS and A-File SORNs.³⁶

RFIs for national security purposes from external entities are coordinated through DHS I&A SPS. USCIS responses are provided via government secure networks. All other requests are processed by USCIS. Responses provided by field offices are also provided via secure methods.

6.2 Describe how the external sharing noted in 6.1 is compatible with the SORN noted in 1.2.

Direct account access by DOS Bureau of Consular Affairs is covered by FDNS SORN routine use I and A-File SORN routine use O, which permits USCIS to share PII with DOS Bureau of Consular Affairs in the processing of applications for benefits. This is compatible with the original collection under the INA, which requires USCIS to administer immigration laws. Information may also be shared with DOS Bureau of Consular Affairs to provide a comprehensive picture of a visa applicant's status, and to reduce the likelihood that an individual or group might fraudulently obtain an immigration benefit under the INA, as amended.

Proactive disclosures are covered by the FDNS SORN, routine use H, which permits FDNS to share PII with federal and foreign government intelligence or counterterrorism agencies when USCIS reasonably believes there is a threat or potential threat to national or international security.

Proactive disclosures are also covered by routine use H and II of A-File SORN. Routine

³⁵ 73 FR 56596 (Sept. 29, 2008).

³⁶ See DHS/USCIS/ICE/CBP-001 Alien File, Index, and National File Tracking System of Records, 78 FR 69864 (November 21, 2013); DHS/USCIS-006 Fraud Detection and National Security Records (FDNS), 77 FR 47411 (August 8, 2012).



use H permits USCIS to share A-File information with appropriate federal, state, tribal, local, or foreign governmental agencies or multilateral governmental organizations responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license, when DHS believes the information would assist in enforcing applicable civil or criminal laws. A-File SORN routine use II permits sharing with a federal, state, local, territorial, tribal, international, or foreign criminal, civil, or regulatory law enforcement authority when the information is necessary for collaboration, coordination, and de-confliction of investigative matters, prosecutions, or other law enforcement actions to avoid duplicative or disruptive efforts and to ensure the safety of law enforcement officers who may be working on related law enforcement matters.

These disclosures are compatible with the original collection because the INA requires USCIS to investigate alleged civil and criminal violations of immigration laws, including alleged fraud with respect to applications or determinations within USCIS. In addition, the INA provides for terrorist-related bars that may serve as the basis for denial of a requested benefit. The INA also requires USCIS to make recommendations for prosecutions or other appropriate actions when deemed advisable.

6.3 Does the project place limitations on re-dissemination?

Yes. A Memorandum of Agreement (MOA) between USCIS and DOS Bureau of Consular Affairs fully outlines responsibilities of the parties, security standards, and limits of use of the information, including re-dissemination. Methods and controls over dissemination of information are coordinated between USCIS and DOS Bureau of Consular Affairs prior to information sharing. Depending on the context of other sharing, DHS may place additional controls on the re-dissemination of the information. FDNS also shares data internally via secure government networks.

A Memorandum of Understanding (MOU) between DHS and the FBI Terrorist Screening Center (TSC) for real-time screening against TSDB records also fully outlines responsibilities of the parties, security standards, and limits of use of the information, including re-dissemination.

A MOA between DHS and the National Counter Terrorism Center also fully outlines responsibilities of the parties, security standards, and limits of use of the information, including re-dissemination in accordance with the United States Attorney General Guidelines for Access, Retention, Use, and Dissemination by the National Counterterrorism Center and Other Agencies of Information in Datasets Containing Non-Terrorism Information (March 22, 2012).



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

FDNS maintains a record of disclosure of FDNS-DS information provided outside of the Department in FDNS-DS. A record is kept on file of each disclosure, and system audit trail logs are maintained to identify transactions performed by both internal and external users.

As mentioned in the FDNS Directorate PIA, FDNS may receive requests for assistance from external law enforcement partners. These requests are evaluated on a case-by-case basis, and disclosures must abide by all privacy laws and legal requirements. Some FDNS Officers are detailed to partner agencies to provide assistance as immigration subject matter experts. All FDNS Officers must abide by all privacy laws and legal requirements before sharing any immigration information. Disclosures made pursuant to these requests for assistance are tracked in FDNS-DS.

Further, at the request of DHS, Requests for Information for national security purposes from external entities are coordinated and tracked through the DHS I&A SPS process.³⁷

6.5 Privacy Impact Analysis: Related to Information Sharing

Privacy Risk: There is a risk of misuse, unauthorized access to, or disclosure of, information.

Mitigation: As discussed above, FDNS maintains a record of each disclosure of FDNS information made to every agency in accordance with a routine use and with whom it has an information sharing agreement. Otherwise, FDNS does not share its information. A record is kept on file of each disclosure, including the date the disclosure was made, the agency to which the information was provided, the purpose of the disclosure, and a description of the data provided.

The electronic sharing of data with external agencies is conducted over government secure networks. All personnel within the receiving agency and its components are trained on the appropriate use and safeguarding of data. In addition, each external agency with whom the information is shared has policies and procedures in place to ensure there is no unauthorized dissemination of the information provided by FDNS. Any disclosure must be compatible with the purpose for which the information was originally collected and only authorized users with a need to know may have access to the information contained in FDNS-DS.

³⁷ See DHS/ALL/PIA-044 DHS Single Point of Service Request for Information Management Tool, available at www.dhs.gov/privacy, for more information.



DHS information is covered by the third-party discovery rule, which precludes agencies outside of DHS that have received the information from DHS from sharing with additional partners without the consent of DHS.

Risks are further mitigated by provisions set forth in MOAs or MOUs with federal and foreign government agencies. Finally, United States government employees and contractors must undergo annual privacy and security awareness training.

Section 7.0 Redress

The following questions seek information about processes in place for individuals to seek redress which may include access to records about themselves, ensuring the accuracy of the information collected about them, or filing complaints.

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

Because FDNS-DS contains sensitive PII related to possible immigration benefit fraud and national security concerns, DHS has exempted FDNS from the notification, access, and amendment provisions of the Privacy Act of 1974, pursuant to 5 U.S.C. § 552a(k)(2). Notwithstanding the applicable exemptions, USCIS reviews all such requests on a case-by-case basis. When such a request is made, and access would not appear to interfere with or adversely affect the national or homeland security of the U.S. or activities related to any investigatory material contained within this system, the applicable exemption may be waived at the discretion of USCIS, and in accordance with procedures and points of contact published in the applicable SORNs.

Individuals seeking to access information maintained by FDNS should direct their requests to:

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

Requests for access to records must be in writing. Such requests may be submitted by mail or in person. If a request for access is made by mail, the envelope and letter must be clearly marked "Privacy Act Request" to ensure proper and expeditious processing. The requester should provide his or her full name, date and place of birth, and verification of identity in accordance with



DHS regulations governing Privacy Act requests (found at 6 CFR Part 5.21), and any other identifying information that may be of assistance in locating the record.

The information requested may, however, be exempt from disclosure under the Privacy Act because FDNS records, with respect to an individual, may sometimes contain law enforcement sensitive information. The release of law enforcement sensitive information could possibly compromise ongoing criminal investigations.

Additional information about Privacy Act and Freedom of Information Act (FOIA) requests for USCIS records can be found at <http://www.uscis.gov>.

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

As stated above, individuals may use the Freedom of Information Act/Privacy Act process to request access to and correction of records maintained about them. The data accessed by FDNS-DS from underlying USCIS source systems may be corrected by means of the processes described in the PIAs and SORNs for those systems. In the event inaccuracies are noted, files and FDNS-DS records may be updated.

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

Individuals are notified of the procedures for correcting their information on USCIS forms, the USCIS website, and by USCIS personnel who interact with individuals in the course of processing requests for benefits or services. Furthermore, this PIA and the respective SORNs serve as notice to individuals.

7.4 Privacy Impact Analysis: Related to Redress

Privacy Risk: There is a risk that individuals may be able to access, correct, or make amendments to records in the source systems, but may not be able to do so for their records maintained in FDNS-DS due to the Privacy Act exemptions claimed.

Mitigation: While FDNS maintains pre-decisional, deliberative information in FDNS-DS, individuals may still request access to records that USCIS maintains about them. Notice on how to file a Privacy Act request about records contained in maintained by FDNS is provided by this PIA and the FDNS SORN. Individuals can request access to information about them through the Privacy Act and FOIA process, and may also request that their information be amended by contacting the National Records Center. The nature of FDNS-DS and the data it collects, processes, and stores is such that it limits the ability of individuals to access or correct their information. Each request for access or correction is individually evaluated.



Section 8.0 Auditing and Accountability

The following questions are intended to describe technical and policy based safeguards and security measures.

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

Access and security controls have been established to mitigate privacy risks associated with authorized and unauthorized uses, specifically misuse and inappropriate dissemination of data. Access to FDNS-DS is generally read-only. Some FDNS-DS users have “read,” “write,” and “modify” privileges. All account access and privileges are approved by the USCIS business owner. When employment at USCIS is terminated or an employee’s responsibilities no longer require access to FDNS-DS, access privileges are removed.

Audit trails are kept in order to track and identify unauthorized uses of FDNS-DS information. The audit trails include the ability to identify specific records each user accesses. A warning banner is provided at all access points to inform users of the consequences associated with unauthorized use of information. The banner warns authorized and unauthorized users about the appropriate uses of the system, that the system may be monitored for improper use and illicit activity, and the penalties for inappropriate usage and non-compliance. A user must click on the agreement to proceed with login.

In addition, user access to FDNS-DS is limited to personnel who need the information to perform their job functions. Only users with proper permissions, roles, and security attributes are authorized to access the system. Each user is obligated to sign and adhere to a user access agreement, which outlines the appropriate rules of behavior tailored for FDNS-DS. The system administrator is responsible for granting the appropriate level of access. Finally, all employees are trained on the use of information in accordance with DHS policies, procedures, regulations, and guidance.

FDNS conducts continuous security assessments of FDNS-DS in accordance with FISMA requirements. Furthermore, FDNS-DS complies with the DHS 4300A security guidelines, which provide hardening criteria for securing networks, computers, and computer services against attack and unauthorized information dissemination. Additionally, FDNS is subject to random Office of Inspector General (OIG) or any DHS assigned third-party security audits.



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

FDNS-DS users receive the required annual Computer Security Awareness training and Privacy Act Awareness training. In addition, users receive training in the use of FDNS-DS prior to being approved for access to the system. The training addresses the use of the system and appropriate privacy concerns, including Privacy Act obligations (e.g., SORNs, Privacy Act Statements). FDNS Officers also have several mandatory, job-specific training requirements that include discussions on Privacy Act obligations and other restrictions on disclosure of 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?

Users receive access to FDNS-DS only on a need-to-know basis. This need-to-know is determined by the individual's current job functions. Users may have read-only access to the information if they have a legitimate need to know as verified by their supervisor and the FDNS-DS business owner, and have successfully completed all required training.

A user requesting access must complete and submit Forms G-872A and B, *USCIS and End User Application for Access*. This application provides the justification for the level of access requested. Additionally the requestor signs the USCIS Rules of Behavior before access is granted. The requestor's supervisor and the FDNS-DS business owner will review this request; if approved, the requestor's access level is independently confirmed and the user account established.

Criteria, procedures, controls, and responsibilities regarding FDNS-DS systems access are contained in the Sensitive System Security plan for FDNS-DS. Additionally, there are several department and government-wide regulations and directives that provide additional guidance and direction

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?

MOAs and MOUs between USCIS and other components of DHS, as well as MOAs and MOUs between USCIS or DHS and other agencies, define information sharing procedures for data maintained by FDNS. MOAs and MOUs document the requesting agency or component's legal authority to acquire such information, as well as USCIS's permission to share in its use under the legal authority granted. All MOAs and MOUs must be reviewed by the program and all applicable parties.



Homeland Security

Privacy Impact Assessment
USCIS, Fraud Detection and National Security Data System
Page 33

Responsible Officials

Donald K. Hawkins
U.S. Citizenship and Immigration Service
Privacy Officer
Department of Homeland Security

Approval Signature

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

Karen L. Neuman
Chief Privacy Officer
Department of Homeland Security



APPENDIX A

List of Systems of Records Researched during the Screening Processes and Tracked in FDNS-DS

Below is a list of systems, both internal and external, that exchange data with FDNS-DS, including those used to support screening through ATLAS.

U.S. Citizenship and Immigration Services (USCIS) Systems

- National Benefit Center Process Workflow Repository (NPWR)³⁸ to facilitate screening on certain form types being processed through the National Benefit Center, Background Check Unit;
 - PIA: TBD
 - SORN: TBD

- Service Center Computer Linked Application Information Management System (SCCLAIMS)³⁹ to facilitate screening on forms processed in Computer Linked Application Information Management System (CLAIMS 3);
 - PIAs:
 - FDNS Directorate⁴⁰
 - CLAIMS 3⁴¹

- CLAIMS 4;
 - PIA: CLAIMS 4⁴²
 - SORN: Benefits Information System (BIS)⁴³

- Electronic Immigration System (ELIS);
 - PIA: ELIS⁴⁴

³⁸ NPWR is covered under DHS/USCIS/PIA-016(a) Benefits Processing of Applicants other than Petitions for Naturalization (CLAIMS 3).

³⁹ SCCLAIMS is a mirror copy of CLAIMS 3 data.

⁴⁰ See DHS/USCIS/PIA-013(a) FDNS Directorate, available at www.dhs.gov/privacy.

⁴¹ See DHS/USCIS/PIA-016(a) CLAIMS 3 and Associated Systems, available at www.dhs.gov/privacy.

⁴² See DHS/USCIS/PIA-015 CLAIMS 4 and subsequent updates, available at www.dhs.gov/privacy.

⁴³ 73 FR 56596 (Sept. 29, 2008).

⁴⁴ See DHS/USCIS/PIA-056 USCIS ELIS available at www.dhs.gov/privacy.



- **SORN:** Benefits Information System (BIS)⁴⁵
- Case and Activity Management for International Operations (CAMINO);
 - **PIA:** CAMINO⁴⁶
 - **SORN:**
 - A-File, Index, and National File Tracking System⁴⁷
 - Background Check Service⁴⁸
 - Inter-country Adoptions Security⁴⁹
 - BIS
 - Asylum Information and Pre-Screening (AIPS)⁵⁰
- Refugees, Asylum, and Parole System and the Asylum Pre-Screening System (RAPS/APSS);⁵¹
 - **PIA:** RAPS/APSS⁵²
 - **SORN:** AIPS⁵³
- Marriage Fraud Assurance System (MFAS);
 - **PIA:** CLAIMS 3⁵⁴
 - **SORN:**
 - A-File, Index, and National File Tracking System
 - Background Check Service
 - BIS
- Adoption Case Management System (ACMS);
 - **PIA:** Forthcoming ACMS PIA

⁴⁵ 73 FR 56596 (Sept. 29, 2008).

⁴⁶ See DHS/USCIS/PIA-051 CAMINO, available at www.dhs.gov/privacy.

⁴⁷ 78 FR 69864 (Nov. 21, 2013).

⁴⁸ 72 FR 31082 (June 5, 2007).

⁴⁹ 72 FR 31086 (June 5, 2007).

⁵⁰ 80 FR 74781 (November 30, 2015).

⁵¹ See DHS/USCIS/PIA-027 RAPS/APSS, and subsequent updates, available at www.dhs.gov/privacy.

⁵² See DHS/USCIS/PIA-027 RAPS/APSS, and subsequent updates, available at www.dhs.gov/privacy.

⁵³ 80 FR 74781 (November 30, 2015).

⁵⁴ See DHS/USCIS/PIA-016(a) CLAIMS 3 and Associated Systems, available at www.dhs.gov/privacy.



- **SORN:** Intercountry Adoptions Security⁵⁵
- USCIS Lockbox⁵⁶ to retrieve data from digitized forms;
 - **PIA:** Benefit Request Intake Process⁵⁷
 - **SORN:**
 - A-File, Index, and National File Tracking System
 - Background Check Service
 - BIS
 - Intercountry Adoptions Security
 - AIPS⁵⁸
 - Collections Records--Treasury/Financial Management Service⁵⁹
- Person Centric Query Service (PCQS) to retrieve status information from the Central Index System (CIS);
 - **PIA:** PCQS⁶⁰
 - **SORN:** See PCQS PIA Appendices for associated SORNs
- National File Tracking System (NFTS) to retrieve the physical locations of A-files;
 - **PIA:** NFTS⁶¹
 - **SORN:** A-File SORN
- Customer Profile Management System (CPMS) to retrieve data associated with biographic and biometric screening.
 - **PIA:** CPMS⁶²
 - **SORN:**
 - Background Check Service

⁵⁵ 72 FR 31086 (June 5, 2007).

⁵⁶ See DHS/USCIS/PIA-003(a) Integrated Digitization Document Management Program (IDDMP), available at www.dhs.gov/privacy.

⁵⁷ See DHS/USCIS/PIA-061 Benefit Request Intake Process, available at www.dhs.gov/privacy.

⁵⁸ 80 FR 74781 (November 30, 2015).

⁵⁹ Treasury/FMS.017 - Revenue Collections Records, 74 FR 23006 (May 15, 2009).

⁶⁰ See DHS/USCIS/PIA-010 Person Centric Query Service (PCQS), available at www.dhs.gov/privacy.

⁶¹ See DHS/USCIS/PIA-032 National File Tracking System (NFTS) available at www.dhs.gov/privacy.

⁶² See DHS/USCIS/PIA-060 Customer Profile Management Service, available at www.dhs.gov/privacy.



- Biometric Storage System⁶³

Other Department of Homeland Security (DHS) Component System Interfaces

- DHS Automated Biometric Identification System (IDENT⁶⁴) to retrieve data associated with biometric screening;
 - PIA: IDENT⁶⁵
 - SORN: IDENT⁶⁶
- U.S. Customs and Border Protection (CBP) TECS system, to perform screening, including checks against the Federal Bureau of Investigation, National Crime Information Center (NCIC);
 - PIA: TECS⁶⁷
 - SORN: CBP TECS⁶⁸
- CBP Automated Targeting System-Passenger (ATS-P) and UPAX;
 - PIA: ATS-P⁶⁹
 - SORN: ATS⁷⁰
- DHS Watchlist Service for real-time screening against Terrorist Screening Data Base (TSDB) records; and
 - PIA: FDNS WLS PIA Update⁷¹
 - SORN: DHS WLS SORN⁷²

⁶³ 72 FR 17172 (April 6, 2007).

⁶⁴ See DHS/NPPD/PIA-002 Automated Biometric Identification System (IDENT), available at www.dhs.gov/privacy.

⁶⁵ See DHS/NPPD/PIA-002 Automated Biometric Identification System (IDENT), available at www.dhs.gov/privacy.

⁶⁶ 72 FR 31080 (June 5, 2007).

⁶⁷ See DHS/CBP/PIA-009 TECS System: CBP Primary and Secondary Processing, available at www.dhs.gov/privacy.

⁶⁸ 73 FR 77778 (December 19, 2008).

⁶⁹ See DHS/CBP/PIA-006(b) Automated Targeting System (ATS), available at www.dhs.gov/privacy.

⁷⁰ 77 FR 30297 (May 22, 2012).

⁷¹ DHS/USCIS/PIA-027(e) DHS Watchlist Service, available at www.dhs.gov/privacy.

⁷² 81 FR 19988 (April 6, 2016).



- DHS Email as a Service (EaaS) Simple Mail Transfer Protocol (SMTP) server for email.
 - PIA: E-mail Secure Gateway⁷³
 - SORN:
 - General Information Technology Access Account Records System (GITAARS)⁷⁴
 - General Personnel Records⁷⁵

Other DHS Component Systems Accessed (Manually)

- CBP Analytical Framework for Intelligence (AFI)
 - PIA: AFI⁷⁶
 - SORN: AFI for Intelligence System⁷⁷
- CBP Arrival and Departure Information System (ADIS)
 - PIA: ADIS⁷⁸
 - SORN: ADIS⁷⁹
- ICE Student and Exchange Visitor Information System II (SEVIS)
 - PIA: SEVIS II⁸⁰
 - SORN: SEVIS⁸¹
- ICE ENFORCE Alien Removal Module
 - PIA: Enforcement Integrated Database (EID)⁸²

⁷³ See DHS/ALL/PIA-012 E-mail Secure Gateway and subsequent updates, available at www.dhs.gov/privacy.

⁷⁴ 77 FR 70792 (November 27, 2012).

⁷⁵ 77 FR 73694 (December 11, 2012).

⁷⁶ See DHS/CBP/PIA-010 AFI, available at www.dhs.gov/privacy.

⁷⁷ 77 FR 13813 (June 7, 2012).

⁷⁸ See DHS/CBP/PIA-24 Arrival and Departure System (ADIS), available at www.dhs.gov/privacy.

⁷⁹ 80 FR 72081 (November 18, 2015).

⁸⁰ See DHS/ICE/PIA-001(a) Student and Exchange Visitor Information System II (SEVIS), available at www.dhs.gov/privacy.

⁸¹ 75 FR 412 (January 5, 2010).

⁸² See DHS/ICE/PIA-015 Enforcement Integrated Database (EID) and subsequent updates, available at www.dhs.gov/privacy.



Homeland Security

- SORN: Immigration and Enforcement Operational Records System (ENFORCE)⁸³

⁸³ 80 FR 24269 (April 30, 2015).



Privacy Impact Assessment
for the

Fraud Detection and National Security Data System (FDNS-DS)

DHS/USCIS/PIA-013(a)

May 18, 2016

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THE ATTACHED MATERIALS CONTAIN DEPARTMENT OF HOMELAND SECURITY INFORMATION THAT IS "FOR OFFICIAL USE ONLY," OR OTHER TYPES OF SENSITIVE BUT UNCLASSIFIED INFORMATION REQUIRING PROTECTION AGAINST UNAUTHORIZED DISCLOSURE. THE ATTACHED MATERIALS WILL BE HANDLED AND SAFEGUARDED IN ACCORDANCE WITH DHS MANAGEMENT DIRECTIVES GOVERNING PROTECTION AND DISSEMINATION OF SUCH INFORMATION. AT A MINIMUM, THE ATTACHED MATERIALS WILL BE DISSEMINATED ONLY ON A "NEED-TO-KNOW" BASIS AND WHEN UNATTENDED, WILL BE STORED IN A LOCKED CONTAINER OR AREA OFFERING SUFFICIENT PROTECTION AGAINST THEFT, COMPROMISE, INADVERTENT ACCESS AND UNAUTHORIZED DISCLOSURE.



Homeland Security

Privacy Impact Assessment
USCIS, Fraud Detection and National Security Data System
Page 2

Abstract

The Department of Homeland Security (DHS), U.S. Citizenship and Immigration Services (USCIS), developed the Fraud Detection and National Security Data System (FDNS-DS) as the primary case management system used to record requests and case determinations involving immigration benefit fraud, public safety, and national security concerns. Since its initial deployment, USCIS has incorporated a new screening functionality into FDNS-DS, known as ATLAS, to more effectively identify and review cases involving fraud, public safety, and national security concerns.¹ USCIS is updating and reissuing the entire FDNS-DS Privacy Impact Assessment (PIA), originally published on June 29, 2008, to capture these updates.

Overview

Every year, U.S. Citizenship and Immigration Services (USCIS) receives nearly 6.4 million applications for immigration benefits or service requests. USCIS is committed to ensuring the integrity of the United States (U.S.) immigration system. An integral part of USCIS's delegated authority to adjudicate benefits, petitions, or requests, and to determine if individuals are eligible for benefit or services, is to conduct screenings (i.e., background, identity, and security checks) on forms filed with the agency. USCIS Fraud Detection and National Security Directorate (FDNS) developed the Fraud Detection and National Security – Data System (FDNS-DS) to record, track, and manage the screening processes related to immigration applications, petitions, or requests with suspected or confirmed fraud, public safety, or national security concerns. FDNS also uses FDNS-DS to identify vulnerabilities that may compromise the integrity of the legal immigration system.

The 2014-2018 Department of Homeland Security (DHS) Strategic Plan states that DHS will enforce and administer the nation's immigration laws by "ensuring that only eligible applicants receive immigration benefits through expanded use of biometrics, a strengthening of screening processes, improvements to fraud detection, increases in legal staffing to ensure due process, and enhancements of interagency information sharing."² Recent events highlight the importance of screening immigration benefit applicants for fraud, public safety, and national security concerns. Within FDNS-DS, FDNS developed a screening module known as ATLAS. ATLAS's event-based screening capability increases the timeliness and quality of fraud referrals. For the purpose of this PIA, the term FDNS-DS encompasses both the case management system and the screening module, ATLAS.

¹ ATLAS is not an acronym.

² Department of Homeland Security. "Fiscal Years 2014 – 2018 Strategic Plan."



Homeland Security

Privacy Impact Assessment
 USCIS, Fraud Detection and National Security Data System
 Page 3

FDNS-DS receives, tracks, and records information through the following processes: screening, referrals made to FDNS, administrative investigations, and through conducting studies related to benefit fraud and trends³, as detailed below.

Screening and Referrals to FDNS

The types of screening performed on immigration forms vary by the benefit/request type. In general, USCIS conducts background checks⁴ to obtain relevant information in order to render the appropriate adjudicative decision with respect to the benefit or service sought, identity checks to confirm the individual's identity and combat potential fraud, and security checks to identify potential threats to public safety or national security. Standard checks may include:

- Biometric fingerprint-based checks:
 1. Federal Bureau of Investigation (FBI) Fingerprint Check
 2. DHS Automated Biometric Identification System (IDENT) Fingerprint Check⁵
 3. Department of Defense Automated Biometric Identification System (ABIS) Fingerprint Check⁶
- Biographic name-based checks:
 1. FBI Name Check
 2. TECS⁷ Name Check

USCIS uses several systems to support the checks identified above, which are described in detail in the Immigration Benefits Background Check Systems⁸ and Customer Profile Management Service⁹ PIAs, as well as the PIAs associated with USCIS's case management

³ See DHS/USCIS/PIA-013-01 FDNS Program, available at www.dhs.gov/privacy, for more information on the administrative inquiry process, adjudication, and BFA Process. FDNS completes administrative investigations to obtain relevant information needed to render the appropriate adjudicative decision.

⁴ During the adjudication process, USCIS conducts four different background checks, two biometric fingerprint-based and two biographic name-based, which are discussed in detail in the Immigration Benefits Background Check Systems (IBBCS) PIA. See DHS/USCIS/PIA-033 IBBCS, available at www.dhs.gov/privacy.

⁵ See DHS/NPPD/PIA-002 Automated Biometric Identification System (IDENT), available at www.dhs.gov/privacy.

⁶ For certain benefit types in which the beneficiary has a higher likelihood of having previously been fingerprinted by the U.S. military, USCIS conducts checks against the Department of Defense's Automated Biometric Identification System, as described in the Customer Profile Management System (CPMS) PIA. See DHS/USCIS/PIA-060 CPMS, available at www.dhs.gov/privacy.

⁷ See DHS/CBP/PIA-009 TECS System: CBP Primary and Secondary Processing (TECS), available at www.dhs.gov/privacy.

⁸ See DHS/USCIS/PIA-033 IBBCS, available at www.dhs.gov/privacy.

⁹ See DHS/USCIS/PIA-060 CPMS, available at www.dhs.gov/privacy.



Homeland Security

Privacy Impact Assessment
 USCIS, Fraud Detection and National Security Data System
 Page 4

systems. As mentioned in those PIAs, USCIS adjudications staff must query multiple systems, in some cases manually. Through the development of a screening module within FDNS-DS, known as ATLAS, the need to independently query each system is greatly reduced, thereby streamlining the screening process and limiting the privacy risks associated with using multiple systems. ATLAS interfaces with other systems in order to automate system checks and promotes consistent storage, retrieval, and analysis of screening results to enable FDNS to detect and investigate fraud, public safety, and national security concerns more timely and effectively. The specific system interfaces that enable screening through ATLAS are detailed at Appendix A.

Within FDNS-DS, ATLAS's automated, event-based screening is triggered when:

1. An individual presents him or herself to the agency (e.g., when USCIS receives an individual's benefit request form¹⁰ or while capturing an individual's 10-fingerprints at an authorized biometric capture site, for those forms that require fingerprint checks);
2. Derogatory information is associated with the individual in one or more DHS systems;
or
3. FDNS performs an administrative investigation.

ATLAS receives information from the individual's form submission and from the biographic and biometric-based checks listed above. That information is screened through a predefined set of rules to determine whether the information provided by the individual or obtained through the required checks presents a potential fraud, public safety, or national security concern. The rules help standardize how information is analyzed and help to detect patterns, trends, and risks that are not easily apparent from the form submissions themselves.

(U/FOUO) There are currently five event-based screening rules and 11 patterns operational within FDNS-DS. A description of each rule is available at FOUO Appendix B.

Previously, FDNS-DS received information primarily through manual referrals of cases from USCIS adjudications staff. Since the development of ATLAS, cases can now be referred to FDNS for administrative investigation in the following manners:

Referrals through System Generated Notifications (SGNs)

The screening process described above automates the process of referring cases to FDNS for review. Certain events, such as when USCIS receives a benefit request form or the 10-print capture of an individual's fingerprints at a biometric capture center, trigger rules-based screening. If the benefit request form or biometric capture matches a rule, ATLAS produces an SGN, which is elevated in FDNS-DS for manual review. Once an SGN is produced, a specially trained FDNS

¹⁰ See DHS/USCIS/PIA-061 Benefit Request Intake Process, available at www.dhs.gov/privacy.



Homeland Security

Privacy Impact Assessment
USCIS, Fraud Detection and National Security Data System
Page 5

Officer, known as a Gatekeeper, conducts a manual review of the SGN for validity, determines whether it is “actionable” or “inactionable,” and, if “actionable,” triages the SGN for further action. If an SGN is “actionable,” it enters the formal FDNS-DS case management process. An SGN found to be “inactionable” may be closed without further action. The SGN itself is not considered derogatory. SGNs help FDNS Officers to detect potential threats earlier in the immigration benefit application process, to demonstrate the fidelity of the individual’s biographic and biometric information, and to identify discrepancies more efficiently.

Fraud Tip Referrals

Members of the public and other government agencies can voluntarily submit a fraud tip to USCIS directly by emailing ReportFraudTips@uscis.dhs.gov. In the future, a static page will be available at www.uscis.gov, where a link to the mailbox will be provided. The webpage lists suggested fields that FDNS has deemed useful when processing the tip. The list serves merely as a suggestion; a fraud or tip reporter can include as much or as little information as he or she wishes. More information about the fraud tip reporting process is described in Appendix H to the FDNS Directorate PIA.¹¹

Upon receiving a tip, FDNS evaluates the tip to determine if it is “actionable” or “inactionable” for investigation. If FDNS deems the tip “actionable,” FDNS manually inputs the information into FDNS-DS and prepares the tip for an administrative investigation.

Manual Referrals

USCIS adjudications staff can make manual referrals to FDNS through FDNS’s Intranet Fraud Referral System (iFRS). Through this process, adjudications staff complete a fillable electronic form using the USCIS SharePoint Enterprise Collaboration Network (ECN).¹² FDNS Officers review the referrals and determine if the referral is “actionable” or “inactionable” and manually enter the information into FDNS-DS. If “actionable,” FDNS prepares the referral for administrative investigation.

Administrative Investigations

If FDNS determines an administrative investigation is necessary, FDNS conducts further checks to verify information prior to an adjudicative decision on the immigration benefit or service requested, to include resolving any potential fraud, public safety, or national security concerns. In conducting an administrative investigation,¹³ FDNS may perform one, or a combination, of the following:

¹¹ See DHS/USCIS/PIA-013-01 FDNS Directorate, available at www.dhs.gov/privacy.

¹² See DHS/ALL/PIA-037 DHS SharePoint and Collaboration Sites, available at www.dhs.gov/privacy.

¹³ See DHS/USCIS/PIA-013-01 FDNS Directorate, available at www.dhs.gov/privacy, for more information on



Homeland Security

Privacy Impact Assessment
USCIS, Fraud Detection and National Security Data System
Page 6

- Research in Government and commercial databases and public records;
- Internet searches of open source information;
- Searches of publicly available information, including, but not limited to, social media sites;
- File reviews;
- Telephone calls;
- Site visits;
- Interviews of applicants, beneficiaries, petitioners, and others;
- Requests for evidence;
- Administrative subpoenas;
- Requests for assistance from law enforcement agencies;
- Overseas verifications; and
- Referral to law enforcement agencies.

FDNS may perform administrative investigations or work with partner agencies, as appropriate, and ultimately produces findings to sufficiently inform adjudications.

Federated Immigration Screening and Application Report (FISAR)

The Federated Immigration Screening and Application Report (FISAR) within FDNS-DS is an advanced search functionality that allows FDNS-DS users to view the entire screening history on an individual, including records of standard checks, any SGNs produced by ATLAS that relate to the individual, and administrative investigations performed. If there are SGNs in the individual's screening history, the FDNS-DS user can easily determine the status of those SGNs (e.g., pending or triaged). The gatekeeping process described above provides manual oversight to ensure that SGNs produced by the system are valid and that they relate to the individual.

(U/FOUO) FDNS has developed the FISAR Web Service, which will interface with USCIS case management systems (e.g., SCCLAIMS,¹⁴ USCIS Electronic Immigration System (ELIS),¹⁵ Computer Linked Application Information Management System (CLAIMS) 4)¹⁶ in order to

FDNS administrative investigations.

¹⁴ SCCLAIMS is used rather than C3 for efficiency purposes; SCCLAIMS is an FDNS system and contains the CLAIMS 3 data elements needed to perform screening. SCCLAIMS receives a daily refresh of CLAIMS 3 data. See DHS/USCIS/PIA-016(a) CLAIMS 3, available at www.dhs.gov/privacy, for more information.

¹⁵ See DHS/USCIS/PIA-056 USCIS ELIS available at www.dhs.gov/privacy.

¹⁶ See DHS/USCIS/PIA-015 CLAIMS 4 and subsequent updates, available at www.dhs.gov/privacy.



Homeland Security

provide timely, meaningful FDNS-DS/ATLAS information to adjudications staff. FISAR Web Service will allow adjudicators to access screening information related to the individual and to determine if there are potential concerns that may impact the adjudicative decision. FISAR Web Service will offer multiple options for invoking the ATLAS screening capability, as well as accessing the resulting information and displaying it within the case management system. Those options may include the following capabilities, or combinations thereof:

- **Option #1: Screen** - Performs ATLAS event-based screening and generates SGNs
- **Option #2: Quick Check** - Provides derogatory data as a result of a background check
- **Option #3: Inquiry** - Provides a view of all case and screening information from an FDNS perspective
- **Option #4: Batch** - Processes bulk background, identity, and security check activities

(U/FOUO) The specific system interfaces and information exchanged with FDNS-DS/ATLAS are detailed in the FOUO portion of Appendix A.

Enhanced Analytical Capabilities

FDNS enhanced ATLAS with analytical capabilities to enable users to more easily query and visualize data within the system and to identify individuals who are filing for immigration and naturalization benefits who may potentially be engaging in fraudulent behavior or pose a risk to public safety or national security. During the screening process, ATLAS analyzes the results of biographic and biometric checks, applies rules, and performs link and forensic analysis and entity resolution among data received from multiple systems. ATLAS assists in confirming individuals' identities when individuals are potentially known by more than one identity by comparing the identity information provided by the individual with identity information in other systems checked against the background, identity, and security check process. As an example, ATLAS can determine if an individual has applied for benefits using multiple biographic identities or aliases. ATLAS also visually displays linkages or relationships among individuals to assist in identifying non-obvious relationships among individuals and organizations with a potential nexus to criminal or terrorist activities. The results of this analysis may be produced and elevated in FDNS-DS in the form of an SGN or obtained through FISAR.

ATLAS's analytical capabilities do not alter the source data. All legal and policy controls around the source data remain in place.

USCIS is continuing to enhance its screening processes by incorporating seven core capabilities into ATLAS: (1) Predictive Analytics; (2) Link and Forensic Analysis; (3) Unstructured and Structured Analytics; (4) Intelligent Investigative Case Management; (5)



Homeland Security

Operational Decision Management; (6) Information Sharing and Collaboration; and (7) Entity Analytics. Before new analytical capabilities are deployed within FDNS-DS/ATLAS, the USCIS Office of Privacy will review them to determine additional privacy requirements, which may include updating or re-issuing FDNS PIAs or SORNs.

(U/FOUO) FDNS-DS/ATLAS is in an agile development environment with new capabilities being introduced in an incremental approach based on operational necessity or at the request of the user community. USCIS FDNS will maintain a list of new capabilities in FOUO Appendix C. This appendix will be routinely updated with ongoing projects, including those that are in the onboarding phase, prior to being fully implemented within the FDNS-DS/ATLAS environment. USCIS FDNS will submit a Privacy Threshold Analysis (PTA) for possible inclusion in this appendix. In certain instances, a new PIA or SORN may be required.

Types of Information Collected and Stored within FDNS-DS

The following information is collected and stored in FDNS-DS:

- Information collected during screening (i.e., background, identity, and security check processes) to include information provided by the individual on a benefit request form, in response to a request for evidence, or during an interview; derogatory information received in response to checks; and audit trails or logs reflecting the history of checks conducted on the individual;
- Information collected during the adjudicative and administrative investigation process;
- USCIS investigative referrals to law enforcement agencies (LEA) of suspected or confirmed fraud, public safety issues, or national security concerns;
- Referrals and leads from other government agencies and LEAs related to individuals with an immigration history with USCIS;
- Information collected during response to a Request For Information (RFI) from law enforcement and intelligence agencies;
- Referrals from the public or other governmental entities or fraud case referrals from the Benefit Fraud Assessment (BFA) process (“other referrals”);
- Information from cases that are selected for study of benefit fraud rates or trends;
- Adverse information identified by USCIS from applications, administrative files, interviews, written requests for evidence (RFE) or site visits; resolution of any of the above-described categories of adverse information; and
- Adjudicative summaries and decisions.



Homeland Security

This PIA generally covers the privacy risks and mitigation strategies associated with the FDNS-DS system and its screening (rules-based referrals) and case management capabilities. USCIS will maintain operationally sensitive appendices to this PIA that will analyze privacy risks and mitigation strategies associated with enhanced analytical capabilities that have been approved for use within FDNS-DS.

The privacy risks and mitigation strategies associated with the overall administrative investigation process are described in the FDNS Directorate PIA. Additionally, other published USCIS PIAs available <http://www.dhs.gov/privacy> cover the benefit request intake process, benefit request form analysis and case management, as well as the collection of biographic and biometric information that is used as part of the screening process. These published PIAs provide an in-depth discussion of these separate processes and evaluate the privacy risks and mitigation strategies built into each process.

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 legal authority to collect this information comes from the Immigration and Nationality Act 8 U.S.C. Section 1101 *et seq.* In addition, the Secretary of Homeland Security in Homeland Security Delegation No. 0150.1 delegated the following authorities to USCIS:

“(H) Authority under section 103(a)(1) of the Immigration and Nationality Act of 1952, as amended (INA), 8 U.S.C. §1103(a)(1), to administer the immigration laws (as defined in section 101(a)(17) of the INA).

Authority to investigate alleged civil and criminal violations of the immigration laws, including but not limited to alleged fraud with respect to applications or determinations within the Customs and Border Protection (CBP) or the CIS and make recommendations for prosecutions, or other appropriate action when deemed advisable.”

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

Information collected, maintained, used, and disseminated by FDNS-DS is covered under the following SORNs:



Homeland Security

Privacy Impact Assessment
USCIS, Fraud Detection and National Security Data System
Page 10

- DHS/USCIS-006 Fraud Detection and National Security Records (FDNS), August 8, 2012 (77 FR 47411)
 - Final Rule for Privacy Act Exemptions, August 31, 2009 (74 FR 45084)
- DHS/USCIS/ICE/CBP-001 Alien File, Index, and National File Tracking System of Records, November 21, 2013 (78 FR 69864)

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

Yes. FDNS-DS was approved for entrance into the DHS Ongoing Authorization Program on August 26, 2014. A system privacy plan is pending the completion of this PIA.

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

Yes. NARA approved the FDNS-DS retention schedule, N1-566-08-18. FDNS will retain the records 15 years from the date of the last interaction between FDNS personnel and the individual for records maintained in FDNS-DS. Records related to an individual's A-File will be transferred to the A-File and maintained under the A-File retention period. USCIS maintains records on individuals and all of their immigration transactions and law enforcement and national security actions (if applicable), in the A-File. A-File records are permanent records in both electronic and paper form. USCIS transfers A-Files to the custody of NARA 100 years after the individual's date of birth, in accordance with N1-566-08-011.

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.

Almost all of the information within FDNS-DS is originally submitted on a benefit request form that is subject to the PRA. However, there are no forms associated specifically with the collection of information in FDNS-DS. Please see the benefit request PIAs and Appendices for a comprehensive list of the various forms that cover the initial collection of information from the individual.¹⁷

¹⁷ See DHS/USCIS/PIA-061 Benefit Request Intake Process, available at www.dhs.gov/privacy.



Homeland Security

Section 2.0 Characterization of the Information

The following questions are intended to define the scope of the information requested or collected, as well as reasons for its collection.

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

Due to the nature of the information within FDNS-DS, FDNS-DS contains sensitive personally identifiable information (SPII). Depending upon the category of information being collected in or attached to an FDNS-DS record, the system may collect the following SPII:

Information about individuals may include, if applicable:

- Full Name;
- Alias(es);
- Physical and Mailing Addresses;
- Alien Number (A-Number);
- USCIS Online Account Number;
- Social Security number (SSN);
- Date of Birth;
- Nationality;
- Country of Citizenship;
- Place of Birth;
- Gender;
- Marital Status;
- Military Status;
- Phone Numbers;
- Email Address;
- Immigration Status;
- Government-issued Identification (e.g., passport, driver's license):
 - Document Type;



Homeland Security

Privacy Impact Assessment
USCIS, Fraud Detection and National Security Data System
Page 12

- Issuing Organization;
- Document Number; and
- Expiration Date.
- Signature;
- Other Unique Identifying Numbers (e.g., Department of State (DOS)-issued Personal Identification Number, ICE Student and Exchange Visitor Number, USCIS E-Verify Company Identification Number);
- Arrival/Departure Information;
- Immigration History (e.g., citizenship/naturalization certificate number, removals, explanations);
- Family Relationships (e.g., parent, spouse, sibling, child, other dependents) and Relationship Practices (e.g., polygamy, custody, guardianship);
- USCIS Receipt/Case Number;
- Personal Background Information (e.g., involvement with national security threats, criminal offenses, Communist party, torture, genocide, killing, injuring, forced sexual contact, limiting or denying others religious beliefs, service in military or other armed groups, work in penal or detention systems, weapons distribution, combat training);
- Medical Information;
- Travel History;
- Education History;
- Work Information (contact information, position and relationship to an Organization, degree(s), membership(s), accreditation(s), license(s) identification numbers);
- Work History;
- Bank account or financial transaction history;
- Supporting documentation as necessary (e.g., birth, marriage, or divorce certificates, licenses, academic diplomas, academic transcripts, appeals or motions to reopen or reconsider decisions, explanatory statements, criminal history documents, and unsolicited information submitted voluntarily by the applicants or family members in support of a benefit request);
- Physical Description (e.g., height, weight, eye color, hair color, race, ethnicity, identifying



Homeland Security

marks like tattoos or birthmarks);

- Photographs from Government-issued Identification (i.e., passport, Driver's license, and other identification card);
- Relationships to petitioners, representative, preparers, family members, and applicants;
- Case processing information such as date applications were filed or received by USCIS, application/petition status, location of record, other control number when applicable, and fee receipt data;
- Organizations associated with applications, petitions or other requests (Place of business or place of worship, if place of worship is sponsoring the individual);
- Civil or criminal history information;
- Uniform resource locators (URLs)¹⁸ or Internet protocol addresses;
- Biometric identifiers or associated biographic information (e.g., photographic facial image, fingerprints, Fingerprint Identification Number (FIN), Encounter Identification Number (EID), and signature);
- TECS, National Crime Information Center (NCIC), Federal Bureau of Investigation (FBI) Terrorist Screening Database, and any other data and analysis resulting from the investigation or routine background identity and security checks performed in support of the adjudication process; or
- Any other unique, identifying information.

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

Information in FDNS-DS is collected during the following processes: the screening (i.e., background, identity, and security check) process, referrals made to FDNS, administrative investigations, and to conduct studies related to benefit fraud and trends.¹⁹ Much of the information collected in the FDNS-DS is taken from the benefit request form submitted to USCIS by the individual or an authorized representative or preparer, or from systems against which that data is screened during the screening process. USCIS may also collect information through interviews

¹⁸ The URL is the unique address for a file that is accessible on the Internet.

¹⁹ See DHS/USCIS/PIA-013-01 FDNS Program, available at www.dhs.gov/privacy, for more information on the administrative inquiry process, adjudication, and BFA Process. FDNS completes administrative investigations to obtain relevant information needed to render the appropriate adjudicative decision.



Homeland Security

Privacy Impact Assessment
 USCIS, Fraud Detection and National Security Data System
 Page 14

and site visits and record this into FDNS-DS. Interviewees may include current/past employers, family members, applicants, or other authorized representatives or preparers.

The information can be collected automatically or manually, as described below.

Automatic Collection

FDNS-DS's event-based screening capability through ATLAS is an automatic collection process that records certain information for review. Screening within ATLAS is triggered when:

1. An individual presents himself/herself to the agency;
2. Derogatory information is associated with the individual in one or more DHS systems;
or
3. Administrative investigations are performed.

ATLAS queries internal and external systems automatically to obtain data relating to an individual's background, identity, and security check. ATLAS receives biographic data (e.g., name, date of birth, alias) associated with the individual's benefit request form from USCIS case management systems or biographic data associated with the individual's biometric capture at an approved biometric collection site (e.g., FIN, A-Number), which may be screened against data in IDENT,²⁰ TECS,²¹ or the Terrorist Screening Database²² and then against FDNS-DS's rules engine and analytical tools to produce SGNs.

In addition to the automatic collection that occurs during the screening process, FDNS-DS has a direct connection to the Enterprise Citizenship and Immigration Services Centralized Operational Repository (eCISCOR)²³ to obtain CLAIMS²⁴ information about benefit request forms, applications, or petitions that can be used to automate the population of case information within FDNS-DS, such as A-Number. This helps to reduce the risk of error from manual data entry and to preserve the integrity of the information found in source systems.

A comprehensive listing of source systems for this automatic collection is routinely updated at Appendix A.

²⁰ See DHS/NPPD/PIA-002 Automated Biometric Identification System (IDENT), available at www.dhs.gov/privacy, for more information.

²¹ See DHS/CBP/PIA-009 TECS System: CBP Primary and Secondary Processing (TECS), available at www.dhs.gov/privacy.

²² See Privacy Impact Assessment for the DHS Watchlist Service available at www.dhs.gov/privacy, for more information.

²³ See DHS/USCIS/PIA-023(a) Enterprise Citizenship and Immigrations Services Centralized Operational Repository (eCISCOR), available at www.dhs.gov/privacy.

²⁴ See DHS/USCIS/PIA-016(a) CLAIMS 3, available at www.dhs.gov/privacy, for more information.



Homeland Security

Manual Collection

FDNS-DS users may query several DHS databases or systems to obtain information. Information gathered from these systems (e.g., dates of birth, SSN, country of birth, address) may be added to FDNS-DS. A complete list of DHS systems researched during this process is also included in Appendix A to this PIA.

Federal, State, and Local Government Sources

FDNS Officers may obtain information from various external sources, such as:

- Department of Labor
- Department of State (DOS)
- Social Security Administration (SSA) Electronic Verification of Vital Events (EVVE)²⁵
- Federal Aviation Administration websites
- Intelligence and law enforcement communities
- State and local government agencies
- Local, county, and state police information networks
- State motor vehicle administration databases and websites
- Driver license retrieval websites
- State bar associations
- State comptrollers
- State probation/parole boards or offices
- County appraisal districts
- State sexual predator websites

As described in the FDNS Directorate PIA, FDNS receives information from external partners or sources during the administrative inquiry process and as part of referrals, requests for assistance, or requests for information. The type of information collected depends on the specific context of a given case within FDNS-DS.

²⁵ EVVE system allows verification of vital record information from the states, including birth certificates. See Electronic Verification of Vital Events Program Operations Manual System, *available at* <https://secure.ssa.gov/poms.nsf>, for more information.



Homeland Security

Privacy Impact Assessment
 USCIS, Fraud Detection and National Security Data System
 Page 16

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

FDNS collects information throughout the course of recording, tracking, and managing the screening and administrative investigation processes related to immigration benefit requests forms, applications, or petitions. FDNS may obtain information from commercial sources or from publicly available information on the Internet. Examples of commercial or publicly available sources FDNS may access include, but are not limited to:

- Commercial data brokers (e.g., Choicepoint AutoTrackXP, Lexis/Nexis Accurint, Thomson Reuters CLEAR)
- General legal research sites (e.g., Legal Information Institute)
- Internet sites such as university websites and newspapers, news media websites, United Press International, Reuters, and foreign news media websites
- Various search engines (e.g., Ask, Google, Yahoo, REFDESK)
- Social media websites (e.g., Facebook, Twitter, LinkedIn, Pinterest, Google+)²⁶

FDNS-DS enables Officers to note the exact URL and include attachments of any information collected from commercial sources or publicly available information.

FDNS uses these various commercial and publicly available sources to verify information provided by the individual, support or refute indications of fraudulent behavior, and identify any threat to public safety or nexus to known or suspected terrorists in the processing of their benefit request, consistent with authority granted by the Immigration and Nationality Act.²⁷ In addition, the Secretary has delegated USCIS the authority to investigate alleged civil and criminal violations of the immigration laws, not limited to alleged fraud with respect to applications or determinations.²⁸

Compiling this information and taking action to prevent potentially malfeasant and sometimes dangerous people from staying in this country supports DHS's mission of preventing

²⁶ FDNS Officers who seek to access, process, store, receive, or transmit PII obtained through the Operational Use of Social Media while conducting investigations are required to complete a "Rules of Behavior (ROB) for the Operational Use of Social Media." These ROB's ensure that users are accountable for their actions on social media, are properly trained, and aware of the authorized use of social media sites.

²⁷ 8 U.S.C. 1101 et seq.

²⁸ See Secretary of Homeland Security Delegation No. 0150.1, Section II (H) and (I), for more information.



Homeland Security

terrorist attacks within the United States and reducing America's vulnerability to terrorism, while facilitating the adjudication of lawful benefit applications.

2.4 Discuss how accuracy of the data is ensured.

FDNS-DS relies on the accuracy of the information as it is collected from the source. As such, the accuracy of the information in FDNS-DS is equivalent to the accuracy of the source information at the point in time when it is collected into FDNS-DS. During this process, FDNS conducts data validation to ensure accuracy of the data.

FDNS Officers compare information obtained during the screening and administrative investigation processes with information provided directly by the individual (applicant or petitioner) in the underlying benefit request form or in response to Requests for Evidence or Notices to Appear, to ensure information is matched to the correct individual, as well as to ensure integrity of the data. As described above, the information contained in benefit request forms, applications, or petitions may be matched against public records, commercial data aggregators, and public source information, such as web sites or social media, to validate the veracity of information provided by the individual.

FDNS uses public source information only as means to verify information already on file with USCIS or identify possible inconsistencies. Due to the inherent data accuracy risks of relying on information from the Internet, USCIS requires that no benefit determination action can be taken based solely on information received from a public source. The information obtained from a public source must be corroborated with authoritative information on file with USCIS.

In the event FDNS Officers learn that information contained within other systems of records is not accurate, the Officer will notify appropriate individuals within the USCIS Records Office or the federal agency owning the data, who will facilitate any necessary notifications and changes.

2.5 Privacy Impact Analysis: Related to Characterization of the Information

Privacy Risk: There is a risk to individual participation because FDNS Officers rely on a considerable amount of information collected from external sources beyond what individual submitted on his or her benefit request form.

Mitigation: This risk is partially mitigated. FDNS collects information from a variety of sources to verify the information provided by individuals in the course of a review of possible fraud, public safety, and national security concerns. FDNS has determined that in order to have the best evidence available to support the adjudication process, it is necessary to collect large amounts of sensitive PII. This information is required to ensure that FDNS makes the correct



Homeland Security

Privacy Impact Assessment
USCIS, Fraud Detection and National Security Data System
Page 18

determination about the correct individual regarding cases of fraud, criminal activity, public safety, and national security concerns and sufficiently informs the adjudication of the benefit application. This risk is also partially mitigated in that individuals have the opportunity to provide information directly to USCIS throughout the adjudication process and through interviews, Requests for Evidence, or Notices to Appear.

Privacy Risk: Due to FDNS's reliance on external sources, including commercial sources, public sources, or social media, there is a risk that USCIS will obtain and rely upon inaccurate data.

Mitigation: The risk is partially mitigated in that FDNS considers information derived from sources other than the individual, but also exercises caution about the information's accuracy. Due to its inherent lack of data integrity, public source information is not used as the sole basis upon which to adjudicate an immigration benefit or request, investigate benefit fraud, or identify public safety and national security concerns. FDNS compares historical, biographical, financial, and personal information presented by the individual against third-party sources, whenever possible.

In order to improve the accuracy of the information, USCIS has developed policies and procedures for safeguarding data aggregated within FDNS from several different sources. This includes using public record data, data from commercial data providers, as well as other publicly available data including social media and news and reviewing existing data in USCIS's files with information outside of USCIS. If inaccurate information is found during the process of reviewing a file, FDNS will contact personnel within the USCIS Records Division who are authorized to make the changes to the data in the source system. FDNS will also correct inaccuracies in FDNS-DS and other locations where FDNS records are maintained.

Privacy Risk: Because FDNS-DS aggregates information from multiple source systems, there is a risk of data inaccuracy if the data in the underlying system(s) change.

Mitigation: As noted above, FDNS has policies and procedures in place to confirm the veracity of the data being relied upon in resolving potential fraud, public safety, and national security concerns. FDNS-DS also queries other systems in real time to receive the most timely and accurate data available from the source system. Finally, individuals have opportunities to provide information directly through the adjudicative process.

Privacy Risk: In some cases, FDNS-DS users enter information into the system manually. There is a risk of human error, which could result in FDNS relying on inaccurate data.

Mitigation: FDNS has a vested interest and responsibility to maintain the most accurate data possible since the information could be used in support of an adjudicative decision or in



Homeland Security

support of criminal investigations undertaken by law enforcement partners. FDNS Officers rely on multiple sources to confirm the veracity of the data and, if discrepancies are uncovered, will take necessary steps to correct inaccuracies.

Privacy Risk: There is a risk that search functions that previously could only have been performed through separate searches of individual systems or databases will allow FDNS-DS users (or users of other case management systems that receive data from FDNS-DS) to access to more data than is necessary to perform their specific roles.

Mitigation: This risk is mitigated in that FDNS-DS maintains strict access controls so that only FDNS-DS users with a role in investigating cases for potential fraud, public safety, and national security concerns have access to raw data retrieved as part of the screening process. FDNS-DS interfaces with other systems to help streamline the processes that FDNS-DS users currently perform manually, and its capabilities are designed to assist officers in obtaining information needed to confirm an individual's eligibility for the benefit or request sought while preserving the integrity of the legal immigration system. The output to other case management systems is reasonably tailored to provide adjudications staff with information relevant to making a determination on the benefit or request sought.

Privacy Risk: There is a risk of obtaining data from new sources that have not been reviewed for privacy and legal concerns in determining possible benefit fraud, criminal activity, public safety, and national security concerns.

Mitigation: The risk is partially mitigated. In order to reduce the risk of new data being incorporated into FDNS that has not been reviewed for privacy and legal concerns, multiple layers of privacy and legal review have been built into FDNS's processes. The process is memorialized via the Overarching Integrated Project Team (IPT) Charter, which is in the approval process. Additionally, new sources are reviewed through the FDNS weekly Screening and Case Management IPTs with participation from the FDNS Privacy Advisor and USCIS Office of Privacy. FDNS must submit a privacy threshold analysis and receive approval from the DHS Privacy Office before adding any new data sources.

Section 3.0 Uses of the Information

The following questions require a clear description of the project's use of information.

3.1 Describe how and why the project uses the information.

FDNS-DS records, tracks, and manages the screening process, thereby increasing the effectiveness of the U.S. immigration system in combating benefit fraud, protecting public safety,



Homeland Security

identifying potential threats to national security, and identifying vulnerabilities that may compromise the integrity of the legal immigration system.

Screening

FDNS uses FDNS-DS to manage the screening (i.e., background, identity, and security check) process in support of the adjudication of USCIS benefit requests, in a pre-decisional and deliberative process. The information can be collected as a part of an automatic collection or manual collection, as described in Section 2.2.

FDNS uses commercial and publicly available sources, as well as information from other federal, state, and local government sources, to verify information provided by the individual/applicant or his/her petitioner or representative, support or refute indications of fraudulent behavior, and identify any public safety concerns or nexus to known or suspected terrorists in the processing of the individual/applicant's benefit request, pursuant to the Immigration and Nationality Act.²⁹

Case Management

FDNS-DS performs case management by recording, tracking, and managing the processes associated with detecting fraud, egregious or non-egregious public safety, and national security concerns. FDNS-DS is the central repository for all data gathered during the processes of performing screening on benefit request forms or applications received, performing administrative investigations, and conducting studies of benefit fraud rates and trends.

Studies Related to Benefit Fraud and Trends

FDNS uses FDNS-DS data to produce studies related to benefit fraud and trends.³⁰ Identification of fraud patterns and trends support operational decision management and inform future rules-based referrals.³¹

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.

Yes. FDNS is incorporating predictive analytics into FDNS-DS to assist in prioritizing the workload. Predictive technology is applied to known derogatory holdings (e.g., background check

²⁹ 8 U.S.C. Section 1101 *et seq.*

³⁰ See DHS/USCIS/PIA-013-01 FDNS Program, available at www.dhs.gov/privacy, for more information on the administrative inquiry process, adjudication, and BFA Process. FDNS completes administrative investigations to obtain relevant information needed to render the appropriate adjudicative decision.

³¹ See DHS/USCIS/PIA-055 SAS Predictive Modeling Environment, available at www.dhs.gov/privacy.



Homeland Security

results) in order to categorize information so that the cases most likely to result in a referral for criminal action are prioritized for the most immediate review. All cases, regardless of their priority, are reviewed manually by FDNS Officers.

(U/FOUO) Currently, this technology is being used as part of a manual process in preparation for onboarding within FDNS-DS. A detailed description of how FDNS is using predictive technology, to include privacy mitigations built into this process, is found in FOUO Appendix C.

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

Yes. FDNS-DS information is accessed by or shared with employees or contractors of DHS components on a need-to-know basis. Limited U.S. Immigration and Customs Enforcement (ICE) and CBP personnel have been granted read-only access to FDNS-DS. Information sharing includes tracking interactions with ICE to determine if further law enforcement activities should be pursued. ICE and CBP must request USCIS permission to share USCIS data with external third parties.

At the time of publication of this PIA, FDNS is also working with ICE to establish a connection to improve the quality and exchange of information with ICE, consistent with the joint USCIS/ICE anti-fraud strategy discussed in the FDNS Directorate PIA. Through this connection, FDNS-DS will share information with ICE on cases that may involve egregious public safety concerns or require further criminal investigation.

Furthermore, at the request of DHS, RFIs for national security purposes from external entities are coordinated through DHS Office of Intelligence and Analysis (I&A) Single Point of Service (SPS).³²

3.4 Privacy Impact Analysis: Related to the Uses of Information

Privacy Risk: There is a risk that information contained within the FDNS-DS system is not used consistently with its original purpose and authority or that individuals may use the data inappropriately.

Mitigation: Consistent with FDNS's mission of detecting, deterring, and combating immigration benefit fraud, all information contained within FDNS-DS is used to identify and track possible benefit fraud, public safety, and national security concerns. These uses are consistent with the notice provided to individuals in the Privacy Act Statements on all USCIS forms, as well as this PIA and the corresponding SORN.

³² See DHS/ALL/PIA-044 DHS Single Point of Service Request for Information Management Tool, available at www.dhs.gov/privacy, for more information.



Homeland Security

Privacy Impact Assessment
USCIS, Fraud Detection and National Security Data System
Page 22

Consistent with USCIS and FDNS governance, user permissions are managed in a stringent manner to ensure users are only granted the privileges and access necessary to perform their job. User roles within the application will also be managed in a manner that is reflective of the need for more restrictive access. Training of users will also incorporate the appropriate use and access of data.

External users (i.e., CBP and ICE users) are granted read-only access to FDNS-DS only. USCIS shares FDNS-DS data with ICE, and in some cases with CBP, to determine if further law enforcement activities should be pursued. ICE and CBP must request USCIS permission to share USCIS data with external third parties. This ensures sharing is consistent with the routine uses allowable in the FDNS SORN.

Privacy Risk: There is a risk that SGNs may present FDNS Officers with results that may contain too many false positives, which may render the resulting data unusable or unreliable or unfairly subject individuals to further scrutiny.

Mitigation: An onboarding phase allows for a period of refining rules before they are deployed across FDNS. This onboarding phase consists of FDNS-DS users in a limited rollout receiving rule alerts through e-mail notifications.

USCIS continually tunes the rules to narrow the scope of information provided to FDNS Officers. Rigorous quality control and assurance procedures are used to adjust rules as necessary to reduce the potential for false positives. FDNS continually monitors and refines rules based on appropriate metrics. The SGN process also provides for a layer of human review to confirm SGNs are actionable prior to routing them for further case management activity.

(U/FOUO) Once sufficiently refined, the rule alerts are automatically elevated in FDNS-DS so that all users with a need-to-know can access the information.

Privacy Risk: There is a risk of an inappropriate assumption that all individuals listed within FDNS-DS have engaged in fraudulent immigration-related practices or pose a public safety or national security risk.

Mitigation: Individuals that are listed within FDNS-DS have potentially engaged in activities that require further review for potential fraud, criminal activity, public safety, and national security concerns. However, the existence of a record in FDNS-DS is not in itself considered derogatory or a reflection on the individual's eligibility for a benefit, request, or service. In determinations when potential was not realized, cases are marked with "no fraud found." Statements of Findings (SOF) or assessments will contain a summary for adjudication's use.

Privacy Risk: For certain benefits or service requests, FDNS must share the results of background, identity, and security checks or other forms of screening with other USCIS case



Homeland Security

Privacy Impact Assessment
USCIS, Fraud Detection and National Security Data System
Page 23

management systems in order to provide information in support of adjudications. There is a risk that data will be inaccurately copied or that it may be taken out of context.

Mitigation: The risk is partially mitigated in that FDNS-DS, as a standard practice with A-File handling, allows the ability to copy a non-changing SOF for adjudications. A SOF is an unchangeable, PDF document in FDNS-DS. In response to manual referrals made to FDNS-DS, FDNS users will complete a SOF or assessment, when required. The SOFs or assessments are shared with adjudications staff. Adjudications staff are trained on how to interpret information in the SOFs or assessments and their relevance in adjudicating immigration benefits and also coordinate closely with FDNS.

In future releases, FDNS-DS will interface with USCIS immigration case management systems to fully automate the screening process, as well as provide the background, identity, and security check results either in the form of a hit/no hit response, a summary of past screening history, or some usable form, in order to provide timely, meaningful information to adjudicative staff. The responses sent to the case management systems will be tailored to present adjudication officers with information relevant to determining the individual's eligibility for the immigration benefit or service sought.

Privacy Risk: With automating the screening process, there is a risk of recurrent screening or vetting of individuals beyond the original purpose.

Mitigation: USCIS has established a robust governance structure to ensure that screening rules are compliant with all legal and privacy requirements. New rules undergo several layers of operational, legal, privacy, and policy review before they are presented to the Deputy Director, USCIS, for final approval. Through this process, FDNS ensures that all screening activity is properly vetted and falls within USCIS's authority. All screening methods deployed are tailored to provide information that is relevant to the adjudication of a particular benefit or immigration service request. USCIS may conduct screening in situations in which USCIS has the authority to rescind, revoke, or otherwise terminate, to issue a Notice to Appear (NTA), or to refer to another government agency for criminal/civil actions. When USCIS may no longer take action on a benefit, service, or request, the screening will cease.

Privacy Risk: There is a risk that FDNS-DS users will create ATLAS rules without going through the appropriate rules review process.

Mitigation: The governance process ensures that new rules are not created or implemented within the system without review from the appropriate stakeholders, including privacy and legal review. Implementation of rules and generation of SGNs are required to be in compliance with the Privacy Act of 1974, E-Government Act of 2002, Homeland Security Act of 2002 and all DHS



Homeland Security

privacy policies. Additionally, the capture, use, and disclosure of PII through the rules process must be pursuant to applicable system of record notices and available routine uses.

Section 4.0 Notice

The following questions seek information about the project's notice to the individual about the information collected, the right to consent to uses of said information, and the right to decline to provide information.

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

In addition to the publication of this PIA, USCIS has previously published a programmatic PIA and SORN for the FDNS Directorate. FDNS-DS collects information from other USCIS systems, which also have their own PIAs and SORNs published on the DHS website.

All applications for benefits from USCIS have a Privacy Act Statement providing notice to the individual regarding the use and collection of the information and these forms state that information may be used for fraud detection. USCIS forms also notify the individual that information provided may be checked for completeness, that certain background checks may be conducted, or that USCIS may request an interview or further evidence.³³

When FDNS conducts interviews and site visits, FDNS Officers identify themselves and notify the individual or beneficiary of the reason for the interview or site visit. Notice is given to an individual's attorney when an administrative site visit or interview will occur, unless notice would jeopardize the site visit or interview.

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

USCIS benefit request forms require that an individual provide specific information that may contain sensitive PII. The failure to submit such information could impact the processing or adjudication of an application or petition and thus preclude the individual from receiving the benefit, request, or service. Therefore, through the application process, individuals have consented to the use of the information supplied in the benefit request form or application to determine their eligibility for the benefit, request, or service sought. Further, fraud assessments and background, identity, and security checks are required by regulation on all requests/applications filed with

³³ Adjudicators are responsible for making decisions regarding granting benefits.



Homeland Security

Privacy Impact Assessment
 USCIS, Fraud Detection and National Security Data System
 Page 25

USCIS. Benefits, requests, or services cannot be granted until those checks are complete, and the information submitted is essential to the conduct of those checks.³⁴

USCIS provides notice to all individuals at the time of collection through a Privacy Act Statement on all USCIS forms. Individuals are notified at the point of data collection (generally in the form itself) of the right to decline to provide the required information; however, such action may result in the denial of the individual's request.

4.3 Privacy Impact Analysis: Related to Notice

Privacy Risk: There is a risk to notice that benefit requestors will not know that FDNS will collect publicly available information about them, including information posted on public social media websites and platforms.

Mitigation: The risk has been mitigated to the extent possible because USCIS provides notice to individuals through an (e)(3) statement, the source system PIAs, the FDNS Directorate PIA, this PIA, and the associated SORNs. USCIS also provides notice of its fraud detection and national security work through its public website.³⁵

Section 5.0 Data Retention by the project

The following questions are intended to outline how long the project retains the information after the initial collection.

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

USCIS retains application information to assist in identifying individuals who threaten national security and public safety; detecting, pursuing, and deterring immigration benefit fraud; and identifying and removing systemic vulnerabilities in the process of the legal immigration system.

USCIS retains FDNS-DS records for 15 years from the date of the last interaction between FDNS personnel and the individual, no matter the determination. Records related to a person's A-File will be transferred to the A-File and maintained under the A-File retention period (NI-566-08-11). Upon closure of a case pertaining to an individual, any information that is pertinent to the adjudicative decision (such as a SOF), whether there was or was not an indication of fraud, criminal activity, public safety and national security concerns, is transferred to the associated A-File.

³⁴ As required by Title 8 U.S.C. § 1101 et seq.

³⁵ See <https://www.uscis.gov/about-us/directorates-and-program-offices/fraud-detection-and-national-security/fraud-detection-and-national-security-directorate>



Homeland Security

5.2 Privacy Impact Analysis: Related to Retention

Privacy Risk: There is a risk that data will be retained longer than necessary. This would increase the risk of unauthorized access, use, and loss of the data.

Mitigation: FDNS mitigates this risk by destroying FDNS-DS data in accordance with approved NARA records retention schedules. The 15-year retention schedule for FDNS data (NI-566-08-18) provides access to information that can be critical to research related to suspected or confirmed fraud, public safety, and national security concerns for individuals who may still be receiving immigration benefits or services. In addition, should the individual apply for another benefit, retention of the information can eliminate the need for research on concerns that were previously addressed.

Privacy Risk: There is a risk that data will be retained in FDNS-DS longer than allowed by the original source system.

Mitigation: This risk is mitigated in that FDNS-DS retains data relevant to the background check/screening process and to cases of suspected or confirmed fraud, criminal activity, public safety and national security concerns. The system's master 15-year retention period is shorter than that of many USCIS case management systems from which application data is derived.

Section 6.0 Information Sharing

The following questions are intended to describe the scope of the project information sharing external to the Department. External sharing encompasses sharing with other federal, state, and local government; and private sector entities.

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.

FDNS shares information outside of DHS when USCIS receives an RFI, when it proactively discloses based on information in the record, and when asking an outside organization for additional information related to an individual. RFIs may be received from federal law enforcement agencies (e.g., Department of Justice (DOJ) FBI, DOS), the Intelligence Community, and authorized state or local law enforcement agencies who are parties to information sharing agreements managed by DHS. USCIS provides access to the requested data through direct user accounts or through copying of data to an electronic device or medium.

Requests for information are governed by the DHS/USCIS-006 Fraud Detection and



Homeland Security

Privacy Impact Assessment
 USCIS, Fraud Detection and National Security Data System
 Page 27

National Security Records (FDNS) System of Records³⁶, the DHS/USCIS/ICE/CBP-001 Alien File, Index, and National File Tracking System of Records³⁷, or in some instances, the originating system of records notice for the underlying USCIS records, e.g., DHS/USCIS-007 Benefits Information System (BIS).³⁸ When covered by an applicable routine use and when appropriate, USCIS may share the sensitive PII listed in Section 2.1 of this PIA with federal, state, tribal, local, international, or foreign law enforcement and intelligence agencies, in response to an RFI in support of criminal and administrative investigations, and background identity and security checks involving immigrant benefit fraud, criminal activity, public safety, and national security concerns.

Through direct user account access, DOS Bureau of Consular Affairs may view a comprehensive picture of a visa applicant's status and to reduce the likelihood that an individual or group might fraudulently obtain an immigration benefit under the INA, as amended. DOS has read-only access to FDNS-DS.

Proactive disclosure based on information in the system occurs when FDNS has an indication of possible fraud, criminal activity, public safety, and national security concerns. In these cases, FDNS may proactively share information with other government entities as described under the FDNS and A-File SORNs.³⁹

RFIs for national security purposes from external entities are coordinated through DHS I&A SPS. USCIS responses are provided via government secure networks. All other requests are processed by USCIS. Responses provided by field offices are also provided via secure methods.

6.2 Describe how the external sharing noted in 6.1 is compatible with the SORN noted in 1.2.

Direct account access by DOS Bureau of Consular Affairs is covered by FDNS SORN routine use I and A-File SORN routine use O, which permits USCIS to share PII with DOS Bureau of Consular Affairs in the processing of applications for benefits. This is compatible with the original collection under the INA, which requires USCIS to administer immigration laws. Information may also be shared with DOS Bureau of Consular Affairs to provide a comprehensive picture of a visa applicant's status, and to reduce the likelihood that an individual or group might fraudulently obtain an immigration benefit under the INA, as amended.

Proactive disclosures are covered by the FDNS SORN, routine use H, which permits FDNS

³⁶ 77 FR 47411 (Aug. 8, 2012).

³⁷ 78 FR 69864 (Nov. 21, 2013).

³⁸ 73 FR 56596 (Sept. 29, 2008).

³⁹ See DHS/USCIS/ICE/CBP-001 Alien File, Index, and National File Tracking System of Records, 78 FR 69864 (November 21, 2013); DHS/USCIS-006 Fraud Detection and National Security Records (FDNS), 77 FR 47411 (August 8, 2012).



Homeland Security

Privacy Impact Assessment
USCIS, Fraud Detection and National Security Data System
Page 28

to share PII with federal and foreign government intelligence or counterterrorism agencies when USCIS reasonably believes there is a threat or potential threat to national or international security.

Proactive disclosures are also covered by routine use H and II of A-File SORN. Routine use H permits USCIS to share A-File information with appropriate federal, state, tribal, local, or foreign governmental agencies or multilateral governmental organizations responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license, when DHS believes the information would assist in enforcing applicable civil or criminal laws. A-File SORN routine use II permits sharing with a federal, state, local, territorial, tribal, international, or foreign criminal, civil, or regulatory law enforcement authority when the information is necessary for collaboration, coordination, and de-confliction of investigative matters, prosecutions, or other law enforcement actions to avoid duplicative or disruptive efforts and to ensure the safety of law enforcement officers who may be working on related law enforcement matters.

These disclosures are compatible with the original collection because the INA requires USCIS to investigate alleged civil and criminal violations of immigration laws, including alleged fraud with respect to applications or determinations within USCIS. In addition, the INA provides for terrorist-related bars that may serve as the basis for denial of a requested benefit. The INA also requires USCIS to make recommendations for prosecutions or other appropriate actions when deemed advisable.

6.3 Does the project place limitations on re-dissemination?

Yes. A Memorandum of Agreement (MOA) between USCIS and DOS Bureau of Consular Affairs fully outlines responsibilities of the parties, security standards, and limits of use of the information, including re-dissemination. Methods and controls over dissemination of information are coordinated between USCIS and DOS Bureau of Consular Affairs prior to information sharing. Depending on the context of other sharing, DHS may place additional controls on the re-dissemination of the information. FDNS also shares data internally via secure government networks.

A Memorandum of Understanding (MOU) between DHS and the FBI Terrorist Screening Center (TSC) for real-time screening against TSDB records also fully outlines responsibilities of the parties, security standards, and limits of use of the information, including re-dissemination.

A MOA between DHS and the National Counter Terrorism Center also fully outlines responsibilities of the parties, security standards, and limits of use of the information, including re-dissemination in accordance with the United States Attorney General Guidelines for Access, Retention, Use, and Dissemination by the National Counterterrorism Center and Other Agencies of Information in Datasets Containing Non-Terrorism Information (March 22, 2012).



Homeland Security

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

FDNS maintains a record of disclosure of FDNS-DS information provided outside of the Department in FDNS-DS. A record is kept on file of each disclosure, and system audit trail logs are maintained to identify transactions performed by both internal and external users.

As mentioned in the FDNS Directorate PIA, FDNS may receive requests for assistance from external law enforcement partners. These requests are evaluated on a case-by-case basis, and disclosures must abide by all privacy laws and legal requirements. Some FDNS Officers are detailed to partner agencies to provide assistance as immigration subject matter experts. All FDNS Officers must abide by all privacy laws and legal requirements before sharing any immigration information. Disclosures made pursuant to these requests for assistance are tracked in FDNS-DS.

Further, at the request of DHS, Requests for Information for national security purposes from external entities are coordinated and tracked through the DHS I&A SPS process.⁴⁰

6.5 Privacy Impact Analysis: Related to Information Sharing

Privacy Risk: There is a risk of misuse, unauthorized access to, or disclosure of, information.

Mitigation: As discussed above, FDNS maintains a record of each disclosure of FDNS information made to every agency in accordance with a routine use and with whom it has an information sharing agreement. Otherwise, FDNS does not share its information. A record is kept on file of each disclosure, including the date the disclosure was made, the agency to which the information was provided, the purpose of the disclosure, and a description of the data provided.

The electronic sharing of data with external agencies is conducted over government secure networks. All personnel within the receiving agency and its components are trained on the appropriate use and safeguarding of data. In addition, each external agency with whom the information is shared has policies and procedures in place to ensure there is no unauthorized dissemination of the information provided by FDNS. Any disclosure must be compatible with the purpose for which the information was originally collected and only authorized users with a need to know may have access to the information contained in FDNS-DS.

⁴⁰ See DHS/ALL/PIA-044 DHS Single Point of Service Request for Information Management Tool, available at www.dhs.gov/privacy, for more information.



Homeland Security

DHS information is covered by the third-party discovery rule, which precludes agencies outside of DHS that have received the information from DHS from sharing with additional partners without the consent of DHS.

Risks are further mitigated by provisions set forth in MOAs or MOUs with federal and foreign government agencies. Finally, United States government employees and contractors must undergo annual privacy and security awareness training.

Section 7.0 Redress

The following questions seek information about processes in place for individuals to seek redress which may include access to records about themselves, ensuring the accuracy of the information collected about them, or filing complaints.

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

Because FDNS-DS contains sensitive PII related to possible immigration benefit fraud and national security concerns, DHS has exempted FDNS from the notification, access, and amendment provisions of the Privacy Act of 1974, pursuant to 5 U.S.C. § 552a(k)(2). Notwithstanding the applicable exemptions, USCIS reviews all such requests on a case-by-case basis. When such a request is made, and access would not appear to interfere with or adversely affect the national or homeland security of the U.S. or activities related to any investigatory material contained within this system, the applicable exemption may be waived at the discretion of USCIS, and in accordance with procedures and points of contact published in the applicable SORNs.

Individuals seeking to access information maintained by FDNS should direct their requests to:

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

Requests for access to records must be in writing. Such requests may be submitted by mail or in person. If a request for access is made by mail, the envelope and letter must be clearly marked "Privacy Act Request" to ensure proper and expeditious processing. The requester should provide his or her full name, date and place of birth, and verification of identity in accordance with



Homeland Security

DHS regulations governing Privacy Act requests (found at 6 CFR Part 5.21), and any other identifying information that may be of assistance in locating the record.

The information requested may, however, be exempt from disclosure under the Privacy Act because FDNS records, with respect to an individual, may sometimes contain law enforcement sensitive information. The release of law enforcement sensitive information could possibly compromise ongoing criminal investigations.

Additional information about Privacy Act and Freedom of Information Act (FOIA) requests for USCIS records can be found at <http://www.uscis.gov>.

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

As stated above, individuals may use the Freedom of Information Act/Privacy Act process to request access to and correction of records maintained about them. The data accessed by FDNS-DS from underlying USCIS source systems may be corrected by means of the processes described in the PIAs and SORNs for those systems. In the event inaccuracies are noted, files and FDNS-DS records may be updated.

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

Individuals are notified of the procedures for correcting their information on USCIS forms, the USCIS website, and by USCIS personnel who interact with individuals in the course of processing requests for benefits or services. Furthermore, this PIA and the respective SORNs serve as notice to individuals.

7.4 Privacy Impact Analysis: Related to Redress

Privacy Risk: There is a risk that individuals may be able to access, correct, or make amendments to records in the source systems, but may not be able to do so for their records maintained in FDNS-DS due to the Privacy Act exemptions claimed.

Mitigation: While FDNS maintains pre-decisional, deliberative information in FDNS-DS, individuals may still request access to records that USCIS maintains about them. Notice on how to file a Privacy Act request about records contained in maintained by FDNS is provided by this PIA and the FDNS SORN. Individuals can request access to information about them through the Privacy Act and FOIA process, and may also request that their information be amended by contacting the National Records Center. The nature of FDNS-DS and the data it collects, processes, and stores is such that it limits the ability of individuals to access or correct their information. Each request for access or correction is individually evaluated.



Homeland Security

Section 8.0 Auditing and Accountability

The following questions are intended to describe technical and policy based safeguards and security measures.

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

Access and security controls have been established to mitigate privacy risks associated with authorized and unauthorized uses, specifically misuse and inappropriate dissemination of data. Access to FDNS-DS is generally read-only. Some FDNS-DS users have “read,” “write,” and “modify” privileges. All account access and privileges are approved by the USCIS business owner. When employment at USCIS is terminated or an employee’s responsibilities no longer require access to FDNS-DS, access privileges are removed.

Audit trails are kept in order to track and identify unauthorized uses of FDNS-DS information. The audit trails include the ability to identify specific records each user accesses. A warning banner is provided at all access points to inform users of the consequences associated with unauthorized use of information. The banner warns authorized and unauthorized users about the appropriate uses of the system, that the system may be monitored for improper use and illicit activity, and the penalties for inappropriate usage and non-compliance. A user must click on the agreement to proceed with login.

In addition, user access to FDNS-DS is limited to personnel who need the information to perform their job functions. Only users with proper permissions, roles, and security attributes are authorized to access the system. Each user is obligated to sign and adhere to a user access agreement, which outlines the appropriate rules of behavior tailored for FDNS-DS. The system administrator is responsible for granting the appropriate level of access. Finally, all employees are trained on the use of information in accordance with DHS policies, procedures, regulations, and guidance.

FDNS conducts continuous security assessments of FDNS-DS in accordance with FISMA requirements. Furthermore, FDNS-DS complies with the DHS 4300A security guidelines, which provide hardening criteria for securing networks, computers, and computer services against attack and unauthorized information dissemination. Additionally, FDNS is subject to random Office of Inspector General (OIG) or any DHS assigned third-party security audits.



Homeland Security

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

FDNS-DS users receive the required annual Computer Security Awareness training and Privacy Act Awareness training. In addition, users receive training in the use of FDNS-DS prior to being approved for access to the system. The training addresses the use of the system and appropriate privacy concerns, including Privacy Act obligations (e.g., SORNs, Privacy Act Statements). FDNS Officers also have several mandatory, job-specific training requirements that include discussions on Privacy Act obligations and other restrictions on disclosure of 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?

Users receive access to FDNS-DS only on a need-to-know basis. This need-to-know is determined by the individual's current job functions. Users may have read-only access to the information if they have a legitimate need to know as verified by their supervisor and the FDNS-DS business owner, and have successfully completed all required training.

A user requesting access must complete and submit Forms G-872A and B, *USCIS and End User Application for Access*. This application provides the justification for the level of access requested. Additionally the requestor signs the USCIS Rules of Behavior before access is granted. The requestor's supervisor and the FDNS-DS business owner will review this request; if approved, the requestor's access level is independently confirmed and the user account established.

Criteria, procedures, controls, and responsibilities regarding FDNS-DS systems access are contained in the Sensitive System Security plan for FDNS-DS. Additionally, there are several department and government-wide regulations and directives that provide additional guidance and direction.

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?

MOAs and MOUs between USCIS and other components of DHS, as well as MOAs and MOUs between USCIS or DHS and other agencies, define information sharing procedures for data maintained by FDNS. MOAs and MOUs document the requesting agency or component's legal authority to acquire such information, as well as USCIS's permission to share in its use under the legal authority granted. All MOAs and MOUs must be reviewed by the program and all applicable parties.



Homeland Security

Privacy Impact Assessment
USCIS, Fraud Detection and National Security Data System
Page 34

Responsible Officials

Donald K. Hawkins
U.S. Citizenship and Immigration Service
Privacy Officer
Department of Homeland Security

Approval Signature

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

Karen L. Neuman
Chief Privacy Officer
Department of Homeland Security



(U//FOUO)

APPENDIX A

List of Systems of Records Researched during the Screening Processes and Tracked in FDNS-DS

Below is a list of systems, both internal and external, that exchange data with FDNS-DS, including those used to support screening through ATLAS.

U.S. Citizenship and Immigration Services (USCIS) Systems

- National Benefit Center Process Workflow Repository (NPWR)⁴¹ to facilitate screening on certain form types being processed through the National Benefit Center, Background Check Unit;

(U//FOUO) ATLAS is the conduit to perform TECS checks and return those results to NPWR.

- PIA: TBD
- SORN: TBD

- Service Center Computer Linked Application Information Management System (SCCLAIMS)⁴² to facilitate screening on forms processed in Computer Linked Application Information Management System (CLAIMS 3);

(U//FOUO) Through an automated connection to SCCLAIMS, ATLAS receives information from both biographic and biometric-based checks and performs screening to produce system generated notifications (SGNs).

- PIAs:
 - FDNS Directorate⁴³
 - CLAIMS 3⁴⁴

- CLAIMS 4;

⁴¹ NPWR is covered under DHS/USCIS/PIA-016(a) Benefits Processing of Applicants other than Petitions for Naturalization (CLAIMS 3).

⁴² SCCLAIMS is a mirror copy of CLAIMS 3 data.

⁴³ See DHS/USCIS/PIA-013(a) FDNS Directorate, *available at* www.dhs.gov/privacy.

⁴⁴ See DHS/USCIS/PIA-016(a) CLAIMS 3 and Associated Systems, *available at* www.dhs.gov/privacy.



Homeland Security

Privacy Impact Assessment
USCIS, Fraud Detection and National Security Data System
Page 36

(U//FOUO) At present, ATLAS receives information from biometric-based checks and performs screening to produce SGNs. ATLAS does not connect directly to or return information to CLAIMS 4.

(U//FOUO) FDNS is developing a connection to CLAIMS 4 to allow further options for invoking ATLAS's screening capability as described in this PIA.

- **PIA:** CLAIMS 4⁴⁵
- **SORN:** Benefits Information System (BIS)⁴⁶

- Electronic Immigration System (ELIS);

(U//FOUO) At present, ATLAS receives information from biometric-based checks and performs screening to produce SGNs. ATLAS does not connect directly to or return information to ELIS 2.

(U//FOUO) FDNS is developing a connection to ELIS 2 to allow further options for invoking ATLAS's screening capability as described in this PIA.

- **PIA:** ELIS⁴⁷
- **SORN:** Benefits Information System (BIS)⁴⁸

- Case and Activity Management for International Operations (CAMINO);

(U//FOUO) At present, ATLAS receives information from biometric-based checks and performs screening to produce SGNs. ATLAS does not connect directly to or return information to CAMINO.

- **PIA:** CAMINO⁴⁹
- **SORN:**
 - A-File, Index, and National File Tracking System⁵⁰
 - Background Check Service⁵¹
 - Intercountry Adoptions Security⁵²
 - BIS

⁴⁵ See DHS/USCIS/PIA-015 CLAIMS 4 and subsequent updates, available at www.dhs.gov/privacy.

⁴⁶ 73 FR 56596 (Sept. 29, 2008).

⁴⁷ See DHS/USCIS/PIA-056 USCIS ELIS available at www.dhs.gov/privacy.

⁴⁸ 73 FR 56596 (Sept. 29, 2008).

⁴⁹ See DHS/USCIS/PIA-051 CAMINO, available at www.dhs.gov/privacy.

⁵⁰ 78 FR 69864 (Nov. 21, 2013).

⁵¹ 72 FR 31082 (June 5, 2007)

⁵² 72 FR 31086 (June 5, 2007).



Homeland Security

Privacy Impact Assessment
 USCIS, Fraud Detection and National Security Data System
 Page 37

- Asylum Information and Pre-Screening (AIPS)⁵³
 - Refugees, Asylum, and Parole System and the Asylum Pre-Screening System (RAPS/APSS);⁵⁴

(U//FOUO) At present, ATLAS receives information from biometric-based checks and performs screening to produce SGNs. ATLAS does not connect directly to or return information to RAPS/APSS.

 - **PIA:** RAPS/APSS⁵⁵
 - **SORN:** AIPS⁵⁶
 - Marriage Fraud Assurance System (MFAS);

(U//FOUO) At present, ATLAS receives information from biometric-based checks and performs screening to produce SGNs. ATLAS does not connect directly to or return information to MFAS.

 - **PIA:** CLAIMS 3⁵⁷
 - **SORN:**
 - A-File, Index, and National File Tracking System
 - Background Check Service
 - BIS
 - Adoption Case Management System (ACMS);

(U//FOUO) At present, ATLAS receives information from biometric-based checks and performs screening to produce SGNs. ATLAS does not connect directly to or return information to ACMS.

 - **PIA:** Forthcoming ACMS PIA
 - **SORN:** Inter-country Adoptions Security⁵⁸

⁵³ 80 FR 74781 (November 30, 2015).

⁵⁴ See DHS/USCIS/PIA-027 RAPS/APSS, and subsequent updates, available at www.dhs.gov/privacy.

⁵⁵ See DHS/USCIS/PIA-027 RAPS/APSS, and subsequent updates, available at www.dhs.gov/privacy.

⁵⁶ 80 FR 74781 (November 30, 2015).

⁵⁷ See DHS/USCIS/PIA-016(a) CLAIMS 3 and Associated Systems, available at www.dhs.gov/privacy.

⁵⁸ 72 FR 31086 (June 5, 2007).



Homeland Security

Privacy Impact Assessment
USCIS, Fraud Detection and National Security Data System
Page 38

- USCIS Lockbox⁵⁹ to retrieve data from digitized forms;
 - **PIA:** Benefit Request Intake Process⁶⁰
 - **SORN:**
 - A-File, Index, and National File Tracking System
 - Background Check Service
 - BIS
 - Intercountry Adoptions Security
 - AIPS⁶¹
 - Collections Records--Treasury/Financial Management Service⁶²

- Person Centric Query Service (PCQS) to retrieve status information from the Central Index System (CIS);
 - **PIA:** PCQS⁶³
 - **SORN:** See PCQS PIA Appendices for associated SORNs

- National File Tracking System (NFTS) to retrieve the physical locations of A-files;
 - **PIA:** NFTS⁶⁴
 - **SORN:** A-File SORN

- Customer Profile Management System (CPMS) to retrieve data associated with biographic and biometric screening.
 - **PIA:** CPMS⁶⁵
 - **SORN:**
 - Background Check Service
 - Biometric Storage System⁶⁶

⁵⁹ See DHS/USCIS/PIA-003(a) Integrated Digitization Document Management Program (IDDMP), available at www.dhs.gov/privacy.

⁶⁰ See DHS/USCIS/PIA-061 Benefit Request Intake Process, available at www.dhs.gov/privacy.

⁶¹ 80 FR 74781 (November 30, 2015).

⁶² Treasury/FMS.017 - Revenue Collections Records, 74 FR 23006 (May 15, 2009).

⁶³ See DHS/USCIS/PIA-010 Person Centric Query Service (PCQS), available at www.dhs.gov/privacy.

⁶⁴ See DHS/USCIS/PIA-032 National File Tracking System (NFTS) available at www.dhs.gov/privacy.

⁶⁵ See DHS/USCIS/PIA-060 Customer Profile Management Service, available at www.dhs.gov/privacy.

⁶⁶ 72 FR 17172 (April 6, 2007).



Homeland Security

Other Department of Homeland Security (DHS) Component System Interfaces

- DHS Automated Biometric Identification System (IDENT⁶⁷) to retrieve data associated with biometric screening;
 - PIA: IDENT⁶⁸
 - SORN: IDENT⁶⁹

- U.S. Customs and Border Protection (CBP) TECS system, to perform screening, including checks against the Federal Bureau of Investigation, National Crime Information Center (NCIC);
 - PIA: TECS⁷⁰
 - SORN: CBP TECS⁷¹

- CBP Automated Targeting System-Passenger (ATS-P) and UPAX;
 - PIA: ATS-P⁷²
 - SORN: ATS⁷³

- DHS Watchlist Service for real-time screening against Terrorist Screening Data Base (TSDB) records; and
 - PIA: FDNS WLS PIA Update⁷⁴
 - SORN: DHS WLS SORN⁷⁵

- DHS Email as a Service (EaaS) Simple Mail Transfer Protocol (SMTP) server for email.
 - PIA: E-mail Secure Gateway⁷⁶

⁶⁷ See DHS/NPPD/PIA-002 Automated Biometric Identification System (IDENT), available at www.dhs.gov/privacy.

⁶⁸ See DHS/NPPD/PIA-002 Automated Biometric Identification System (IDENT), available at www.dhs.gov/privacy.

⁶⁹ 72 FR 31080 (June 5, 2007).

⁷⁰ See DHS/CBP/PIA-009 TECS System: CBP Primary and Secondary Processing, available at www.dhs.gov/privacy.

⁷¹ 73 FR 77778 (December 19, 2008).

⁷² See DHS/CBP/PIA-006(b) Automated Targeting System (ATS), available at www.dhs.gov/privacy.

⁷³ 77 FR 30297 (May 22, 2012).

⁷⁴ DHS/USCIS/PIA-027(e) DHS Watchlist Service, available at www.dhs.gov/privacy.

⁷⁵ 81 FR 19988 (April 6, 2016).

⁷⁶ See DHS/ALL/PIA-012 E-mail Secure Gateway and subsequent updates, available at www.dhs.gov/privacy.



Homeland Security

Privacy Impact Assessment
USCIS, Fraud Detection and National Security Data System
Page 40

- **SORN:**
 - General Information Technology Access Account Records System (GITAARS)⁷⁷
 - General Personnel Records⁷⁸

Other DHS Component Systems Accessed (Manually)

- CBP Analytical Framework for Intelligence (AFI)
 - **PIA:** AFI⁷⁹
 - **SORN:** AFI for Intelligence System⁸⁰
- CBP Arrival and Departure Information System (ADIS)
 - **PIA:** ADIS⁸¹
 - **SORN:** ADIS⁸²
- ICE Student and Exchange Visitor Information System II (SEVIS)
 - **PIA:** SEVIS II⁸³
 - **SORN:** SEVIS⁸⁴
- ICE ENFORCE Alien Removal Module
 - **PIA:** Enforcement Integrated Database (EID)⁸⁵
 - **SORN:** Immigration and Enforcement Operational Records System (ENFORCE)⁸⁶

⁷⁷ 77 FR 70792 (November 27, 2012).

⁷⁸ 77 FR 73694 (December 11, 2012).

⁷⁹ See DHS/CBP/PIA-010 AFI, available at www.dhs.gov/privacy.

⁸⁰ 77 FR 13813 (June 7, 2012).

⁸¹ See DHS/CBP/PIA-24 Arrival and Departure System (ADIS), available at www.dhs.gov/privacy.

⁸² 80 FR 72081 (November 18, 2015).

⁸³ See DHS/ICE/PIA-001(a) Student and Exchange Visitor Information System II (SEVIS), available at www.dhs.gov/privacy.

⁸⁴ 75 FR 412 (January 5, 2010).

⁸⁵ See DHS/ICE/PIA-015 Enforcement Integrated Database (EID) and subsequent updates, available at www.dhs.gov/privacy.

⁸⁶ 80 FR 24269 (April 30, 2015).



Homeland Security

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APPENDIX B
Rules/Patterns

Background:

FDNS has developed a screening module within the Fraud Detection and National Security Data System (FDNS-DS) called ATLAS. ATLAS uses event-based screening rules to detect indicators of fraud, public safety, and national security concerns in forms submitted to USCIS and to identify potentially derogatory information related to those forms.

When information either provided by the individual or otherwise obtained through the screening process matches a rule, ATLAS produces an alert in the form of a system generated notification (SGN), which is elevated for manual review for validity and triage prior to entering the formal FDNS-DS case management process.

There are five event-based screening rules in operation today, which were approved by the USCIS Deputy Director for deployment in ATLAS. Some rules have multiple Patterns applied to them, which are associated with known patterns of fraud, criminal, or terrorist activity.

ATLAS Screening Rules/Patterns

Rule	Pattern	Description
182	NIC-T Pattern	Biographic information corresponds to TECS record associated with suspected terrorists.
183	B10 Pattern-KST	Biographic information corresponds to TECS record associated with a Known Suspected Terrorist (KST).
	B10 Pattern-Non-KST	Biographic information corresponds to TECS record associated with a National Security Concern, but is not a KST.
	Non-B10 Pattern	Biographic information corresponds to TECS record associated with a National Security Concern, but is not a B10.
	Retroactive Screening List (RSS) Hotlist Pattern	A# associated to a benefit filing or biometric enrollment encounter matches an A# on the Retroactive Screening Hotlist.
210	Public Safety DOD Pattern	Biometric information submitted to USCIS corresponds to a Department of Defense IDENT record with differing biographic information.
	DACA EPS	Biometric information submitted to USCIS corresponds to DACA recipients with a criminal history or recent arrest by local, state, and federal LEAs.
	ICE-P1-DSXO	Biometric information or A# submitted to USCIS corresponds to an ICE deported aggravated felon Hotlist.
220	Multiple Identities Pattern	Mismatch of biographic information against the same FIN in IDENT after a biometric encounter.
	Anders Fraud Scheme (AFS/FFS) Hotlist Pattern	A# associated to a benefit filing or biometric enrollment encounter matches an A# associated with the Anders/Figueroa Fraud Scheme.
287	Operation Fiction Writer (OFW) Hotlist Pattern	A# associated to a benefit filing or biometric enrollment encounter matches an A# associated with the Operation Fiction Writer Fraud Scheme.

Core Capabilities Supported:



Homeland Security

Operational Decision Making/Complex Event Processing

Privacy Mitigation:

FDNS has developed a robust governance process to ensure new rules comply with all legal, policy, and privacy requirements. Stakeholders identify new rules or enhancements to existing rules through the Screening and Case Management Integrated Product Team for validation. New rules are promoted to the Overarching Integrated Product Team / Executive Steering Committee for review and approval, which includes executive membership from the Office of Chief Counsel and Office of Privacy. Finally, new rules must be approved by the Deputy Director of USCIS prior to development and implementation within FDNS-DS's ATLAS screening module.

USCIS continually tunes existing rules to narrow the scope of information provided to FDNS-DS users. Rigorous quality control and assurance procedures are used to adjust rules, as necessary, to reduce the potential for false positives.

An onboarding phase allows for a period of refining rules before they are deployed across FDNS. This onboarding phase consists of FDNS-DS users in a limited rollout receiving rule alerts through email notifications. Once sufficiently refined, the rule alerts are automatically elevated in FDNS-DS so that all users with a need-to-know can access the information. FDNS continually monitors and refines rules based on appropriate metrics.

Finally, to mitigate the risk of recurrent vetting of individuals, USCIS policies define when USCIS may conduct screening on individuals who have pending benefit requests, applications, or petitions, as well as those instances in which USCIS may conduct screening consistent with the INA. These policies ensure that screening occurs only when USCIS has the authority to adjudicate a benefit, service, or request or otherwise has the authority to rescind, revoke, or otherwise terminate, to issue a Notice to Appear (NTA), or to refer to another government agency for criminal/civil actions.



Homeland Security

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APPENDIX C

FDNS-DS/ATLAS is in agile development environment with new capabilities being introduced in an incremental approach based on operational necessity or at the request of the user community. USCIS FDNS will submit a Privacy Threshold Analysis (PTA) for possible inclusion in this appendix. In certain instances, a new PIA or SORN may be required.

All projects listed in this appendix fall within the seven core capabilities for which FDNS was approved by USCIS leadership to develop within FDNS-DS's screening module, ATLAS: (1) Predictive Analytics; (2) Link and Forensic Analysis; (3) Unstructured and Structured Analytics; (4) Intelligent Investigative Case Management; (5) Operational Decision Management; (6) Information Sharing and Collaboration; and (7) Entity Analytics.

IDENT Watchlisting

Summary/Background:

Among FDNS's priorities are improving the data collection, analysis, reporting, and dissemination to identify and mitigate fraud, public safety, and national security risks and ensuring timely, accurate, and reliable information and intelligence exchange with our internal and external stakeholders. The FDNS Program Management Office supports these efforts through implementing new technologies to optimize the processing of information.

FDNS has established an interface to allow certain FDNS users to promote individuals (by USCIS Encounter⁸⁷) to the IDENT Watchlist from within the FDNS-DS system. This feature is only available for ATLAS Rule 220 SGNs (e.g., alerts produced when an individual's biometrics are associated with more than one biographic identity in IDENT) when an administrative investigation has been completed with a Statement of Findings confirming "Fraud Found."

Core Capabilities Supported:

Operational Decision Management; Information Sharing and Collaboration

Data Elements:

This process does not collect new data elements, but does involve review of all case data available in FDNS-DS. Specific data elements used to perform data validation include: Encounter Identification Number (EID), Fingerprint Identification Number (FIN)

⁸⁷ A USCIS Encounter refers to each time USCIS enrolls an individual's biometrics in IDENT.



Homeland Security

Privacy Impact Assessment
USCIS, Fraud Detection and National Security Data System
Page 44

Population:

Any USCIS benefit or request that requires biometric screening.

Vetting/Process:

IDENT Watchlist promotion is the final step in the life of an ATLAS Rule 220 SGN that resulted in a Statement of Findings indicating "Fraud Found." Before a user can promote a USCIS Encounter to the IDENT Watchlist through FDNS-DS, the following must have occurred:

- ATLAS Rule 220 triggered when screening against IDENT revealed more than one biographic identity associated with a single biometric identifier.
- ATLAS produced Rule 220 SGN that was validated and found to be actionable by a FDNS Gatekeeper and entered into the formal FDNS-DS case management process.
- A FDNS Officer performed an administrative investigation, confirmed fraud, and issued Statement of Findings indicating "Fraud Found."
- The FDNS Officer confirmed all criteria for watchlisting in IDENT has been met.

Once the criteria above have been met, the user may promote the USCIS Encounter record associated with the SGN to the IDENT Watchlist. The user selects a record in FDNS-DS and then must visually confirm that the EID and FIN information in that record match the EID and FIN of the IDENT response. These fields are not editable by the user during this process; they only serve to provide validation that the user has selected the correct record for IDENT Watchlist promotion. Once confirmed, the user submits the record and receives a built-in system prompt asking for a second confirmation prior to performing the watchlist promotion action.

A very limited number of users have been approved to use this functionality within FDNS-DS. These users are primarily FDNS Officers and National Benefit Center, Background Check Unit Officers whose supervisors nominated them for access based on operational need and their specific job functions and their role in resolving Rule 220 cases.

Privacy Mitigation:

FDNS recognizes that, once a USCIS Encounter is promoted to the IDENT Watchlist, the reverse process is not automated, posing a risk to data integrity should it turn out the individual was erroneously placed on the watchlist. For this reason, only a very limited number of users are approved to use this functionality within FDNS-DS. Users are validated by their supervisors to have a business need based on current job functions and approved by the FDNS-DS business and system owner prior to being granted access. Additionally, FDNS follows DHS criteria for watchlisting in IDENT and has issued specific guidance on procedures for IDENT watchlisting, as well as how to correct a record in IDENT, which may involve removing an Encounter from the



Homeland Security

Privacy Impact Assessment
USCIS, Fraud Detection and National Security Data System
Page 45

IDENT Watchlist.

While FDNS cannot make public specific operational procedures, individuals are provided notice through various USCIS PIAs and the DHS IDENT PIA⁸⁸ to provide transparency about the fingerprint check processes and use of that information. Individuals may seek redress through the DHS established redress program, which allows individuals to request a review of their records in IDENT when it is believed to be inaccurate.

⁸⁸ See DHS/NPPD/PIA-002 Automated Biometric Identification System (IDENT) PIA, *available at* www.dhs.gov/privacy, for more information.



Case Prioritization and Intelligence Assessment (CPIA) Workflow

Summary/Background:

Historically, the FDNS Intelligence Division, Case Prioritization and Intelligence Assessment (CPIA) Branch has maintained a tracker in the USCIS Enterprise Collaboration Network (ECN)⁸⁹ used to prioritize Controlled Application Review and Resolution Program (CARRP)⁹⁰ cases that are pending immigration adjudication decisions. CARRP cases are those in which the background, identity, and security check process identified a National Security (NS) concern, requiring additional review.

A decision was made to build a CPIA workflow process into the FDNS-DS case management system to replace the existing ECN tracker. This will increase collaboration among the officers in the CPIA Branch and other FDNS stakeholders involved in the administrative review process and eliminate the need to maintain the CPIA process tracking information and related case information in two separate systems.

Core Capabilities Supported:

- Intelligent Investigative Case Management

Data Elements:

The following are data elements captured during the CPIA process:

- Location (current USCIS office location where the FDNS-DS National Security (NS) Concerns record is assigned), including specific region and district;
- NS Concern Number (unique auto-generated FDNS-DS NS Concerns record number);
- Subject Alien Registration Number (ARN), Last Name, First Name, and Middle Name;
- Date and Country of Birth;
- Form Type (e.g., N-400, I-485, I-130);
- Category Code (e.g., Known and Suspected Terrorist (KST), Non-KST, TIP; T99);
- RFA Information;
- Case Analysis and Threat Summary (CATS) Number and Published Date;
- Intelligence Threat Profile (ITP) Number;

⁸⁹ See PTA for FDNS CPIA ECN Tracker, adjudicated June 16, 2015.

⁹⁰ A description of the CARRP process, which applies to cases for which there is an articulable link to a National Security concern, is available in the Law Enforcement Sensitive version of the DHS/USCIS/PIA-013-01 FDNS Program.



Homeland Security

- CPIA Status (e.g., Incoming, Scoring, Referrals);
- Scorecard Information (e.g., Scores, Dates);
- Disposition and Review Information; and
- Attachments, which may include the CATS or copies of unclassified message traffic related to the subject of the FDNS-DS record.

Population:

Any USCIS benefit or request in which, during the routine process of adjudicating any USCIS benefit, NS concerns are raised, either based on background, identity, and security checks or personal interviews or testimony.

Vetting/Process:

FDNS has incorporated the CPIA process into the overall FDNS-DS case management process by developing a specific workflow process to manage the CPIA business process. The CPIA workflow manages the process of prioritizing CARRP cases for review, which includes tracking of status information related to the production of two unique products of the CPIA business process: (1) scorecard; and, if applicable, (2) the Intelligence Threat Profile (ITP).

Scorecard: The CPIA Branch prepares a scorecard for each CPIA record in the classified Homeland Top Secret Network (HTSN). The scorecard is person-centric, and the total score is used to prioritize NS cases for adjudicative action. The CPIA Branch uses FDNS-DS to track each phase for processing a case, but the scorecards are processed and stored on HTSN.

ITP: ITPs are classified and used to support USCIS Senior Leadership and the Deputy Director when cases are presented to determine whether USCIS should grant or deny an immigration benefit to an individual with confirmed NS concerns.

ITPs address available derogatory information associated with cases confirmed to have a national security concern. ITPs do not typically address the in-depth immigration history of a case, but are intended to review and summarize the derogatory information related to a national security concern. The intended audience of an ITP may include, but is not limited to: the Secretary of DHS (S1); DHS Under Secretary for Intelligence; Director, USCIS (D1); Deputy Director, USCIS (D2); ICE Officials; or FBI Officials. ITPs are prepared in document form and are briefed or distributed via email to a limited number of recipients.

ITPs are primarily used to assist USCIS Senior Leadership in assessing national security risks associated with individual cases that have filed for immigration benefits. FDNS Senior Leadership may also task the CPIA Branch to prepare an ITP on an ad-hoc basis. The ITP is prepared and stored on HTSN. The CPIA Branch uses FDNS-DS to track each phase of an ITP.



Homeland Security

Privacy Impact Assessment
USCIS, Fraud Detection and National Security Data System
Page 48

Within FDNS-DS's case management, the CPIA workflow is manually triggered when a FDNS user working an active, confirmed⁹¹ NS case requests CPIA review. This creates a CPIA record and produces an alert accessible only to CPIA Officers (or CPIA users). All analytical work occurs outside of FDNS-DS in HTSN, as described above. All results are maintained in HSTN, while status information may be updated in FDNS-DS. Finally, upon conclusion of the CPIA process, the CPIA user routes the case back to primary user assigned to the case.

Privacy Mitigation:

The addition of a CPIA workflow process in FDNS-DS increases collaboration among stakeholders in the review process for NS cases and also maintains the security controls that were in place in the stand-alone process managed through the USCIS ECN. The scorecard and ITP processes are maintained in HTSN and are not interfiled with FDNS-DS case management data.

The CPIA workflow was added to the NS Concern tab in FDNS-DS, which is only accessible to CPIA users with a role in reviewing and vetting such cases. Only CPIA users have access to review and augment the system with the results of their findings.

⁹¹ NS cases that are not confirmed will not be scored.



Homeland Security

Privacy Impact Assessment
USCIS, Fraud Detection and National Security Data System
Page 49

Predictive Analytics: National Benefit Center, Background Check Unit Prioritization of FBI Fingerprint Check Results for the Form I-90

Summary:

FDNS is incorporating predictive analytics into ATLAS to assist in prioritizing the FDNS workload. This predictive technology is applied to known derogatory holdings (e.g., background check results) in order to categorize information so that the cases most likely to result in a referral for criminal action are prioritized for the most immediate review. As part of the onboarding phase and prior to implementation within ATLAS's automated process, FDNS is using a manual solution that applies a predictive algorithm to operationally relevant data, in a standalone environment. All cases, regardless of their priority, are reviewed manually by FDNS Officers.

Background:

It is estimated that close to 80% of organized data is in an unstructured environment making it difficult to extract relevant information from massive amounts of data. As part of USCIS's plans to enhance its screening capabilities, FDNS plans to use unstructured analytics to extract information, such as entities and patterns, from multiple data sets that can be used for resolution and visualization, and predictive analytics to determine the likelihood that the data will result in referral for further action.

FDNS is using both unstructured and predictive analytics in an isolated environment, applied to operationally relevant data as part of the onboarding of a solution that can be deployed within ATLAS. This solution is currently being used to support the National Benefit Center (NBC), which faces a backlog of Form I-90, *Application to Replace Permanent Resident Card* applications and their associated Federal Bureau of Investigation (FBI) Fingerprint Check results, known as the Identity History Summary (IdHS) and formerly known as the Record of Arrest and Prosecution (RAP) sheet. The NBC is required to review these results for potential for crimes involving moral turpitude (CIMT)⁹², which could constitute grounds for inadmissibility under INA section 212(a)(2)(A)(i)(I).

Form I-90 applications, which may be filed online or in paper form, are processed in the USCIS Electronic Immigration System (ELIS)⁹³ system and are routed to the appropriate Service Center to perform initial validation and background, identity, and security checks. Specifically, Form I-90 applicants are screened through TECS and, if the applicant is aged 14 or older, a FBI Fingerprint Check. If there is a hit or derogatory information resulting from these checks, the

⁹² A definition for CIMT may be found in the USCIS Policy Manual, available at <http://www.uscis.gov/policymanual/HTML/PolicyManual-Volume12-PartF-Chapter5.html>

⁹³ See DHS/USCIS/PIA-056 USCIS ELIS, available at www.dhs.gov/privacy.



Homeland Security

Privacy Impact Assessment
USCIS, Fraud Detection and National Security Data System
Page 50

applications are routed to the NBC for resolution. The NBC also works with FDNS to resolve fraud, public safety, and national security concerns.

Any derogatory information resulting from a FBI Fingerprint Check is received in the form of the IdHS (or RAP) sheet. NBC Background Check Unit (BCU) Officers query Customer Profile Management Service (CPMS)⁹⁴ to obtain the IdHS sheets and conduct manual reviews to determine if there are crimes that present Egregious Public Safety (EPS) concerns (e.g., murder, rape, illicit trafficking in firearms, alien smuggling, human rights violators) that would require a referral to U.S. Immigration and Customs Enforcement⁹⁵.

Although the above checks are conducted on Form I-90 applicants, they are not used as criteria for making an adjudicative decision on the replacement of the Permanent Resident Card; the IdHS sheet is only used for adjudicative purposes if there is a final order of removal for the individual. Consequently, there is a large volume of applications, many of which have already been adjudicated, and a growing backlog of associated IdHS sheets pending BCU Officers' review. This has created the need to prioritize the IdHS sheets in the backlog with the most serious offenses elevated for review first.

To assist the NBC with prioritizing the backlog, FDNS has developed an algorithm that uses predictive analytics to those IdHS sheets most likely to result in a Referral to ICE based on public safety concerns.

Core Capabilities Supported:

Predictive Analytics; Unstructured Data Analytics

Data Elements:

The project uses unstructured data (text) analytics to review text within IdHS (or RAP) sheets and to categorize and prioritize the sheets for review using key words or terms as indicators of criminal/public safety concerns. The types of PII that may be found within a IdHS (or RAP sheet) include FBI Number and the unstructured data contained in the associated FBI IdHS sheet, which includes name, DOB, gender, race, height, eye color, hair color, weight, birth place, citizenship, fingerprint pattern. The IdHS may also contain crimes committed, arrests, charges, and their associated details.

Population:

Form I-90, *Applications to Replace Permanent Resident Card* applicants

⁹⁴ See DHS/USCIS/PIA-060 Customer Profile Management Service, available at www.dhs.gov/privacy.

⁹⁵ See USCIS Policy Memorandum 602-0050, "Revised Guidance for the Referral of Cases and Issuance of Notice to Appear (NTAs) in Cases Involving Inadmissible and Removable Aliens" available at <http://connect.uscis.dhs.gov/org/OFO/Documents/PM-602-0050.pdf>



Homeland Security

Privacy Impact Assessment
USCIS, Fraud Detection and National Security Data System
Page 51

Vetting/Process:

This project does not change the actual screening/vetting process for the Form I-90. The proposed process uses predictive analytics in an isolated environment to analyze data found within the FBI Fingerprint Check results (IdHS) and to prioritize those results for BCU Officers' review.

NBC BCU Officers reviewing the applications and associated IdHS sheets are looking to classify them into four "buckets" by looking for certain key words that represent different types of crime. The buckets are prioritized by the level of egregiousness. An initial batch of key words/search terms and buckets were supplied by NBC BCU Officers to develop the model. These terms were further refined based on testing results by both the NBC and FDNS. New terms were also identified through the use of SQL Server to select the terms most closely associated with each of the buckets. The initial buckets and their respective key words/search terms are as follows:

1. Fiery Hot Egregious Public Safety (FHEPS) - represents the most serious of the crimes. Examples of key words/search terms include, but are not limited to: "Death", "Murder" and "Abuse".
2. Egregious Public Safety (EPS) - generally represents physical crimes not covered by FHEPS. Examples of key words/search terms include, but are not limited to: "Battery", "Abduct" and "Firearm".
3. Non-EPS or Disqualified (DQ) - includes all IdHS sheets that did not hit on any FHEPS or EPS key words/search terms.
4. Incomplete - identifies IdHS sheets that were incomplete, due to a variety of reasons, and need to be submitted back to the FBI to obtain a complete response.

The initial implementation makes use of the statistical software R⁹⁶ to ensure that those IdHS sheets with a high probability of containing the most serious crimes are prioritized for the NBC by analyzing a test set of IdHS sheets and their associated outcomes. The software, with additional inputs provided by FDNS, developed a decision tree model of the terms that are most effective at bucketing and prioritizing IdHS sheets. For instance, the model checks if the term 'Assault' is present in the IdHS sheet. If so, it will then check for another term such as 'Battery', and if both terms are present, it classifies the sheet as EPS. However, if only the term 'Assault' is present, it classifies the IdHS sheet as Non-EPS.

The algorithm can then be refined based on user input to find the appropriate parameters to balance breadth and volume of prioritized IdHS. Before final implementation in ATLAS, this

⁹⁶ R is an open-source software environment for statistical computing and graphics.



Homeland Security

solution is being used to manually prioritize the applications with IdHS sheets into the aforementioned buckets for use by NBC BCU Officers. This process creates an output product within Microsoft Excel that may be easily reviewed. Dependent on the existing and changing business needs, the prioritization of applications may be changed in accordance.

The first version of the decision tree algorithm works exclusively with terms identified by the NBC as relevant to EPS. Later implementations will also independently suggest additional terms and weighted combinations of terms that most effectively identify IdHS sheets of interest. The model being developed will need to be tuned to both limit the number of terms that it checks for as well as to ensure that all terms are appropriate and operationally relevant.

Results:

The solution, once fully developed, will be deployed in ATLAS in order to prioritize the delivery of SGNs. Its use within ATLAS would likely be an enhancement to the existing Public Safety Rule 210 so that the Rule 210 hits most likely to result in a Referral to ICE are given higher priority for review. Following the proposed methods will reduce the time spent on manual review while also increasing efficiency and accuracy of processes.

Privacy Mitigation:

FDNS has identified the specific use case described above to begin the process of onboarding the first use of predictive analytics. To allow for sufficient testing and tuning of the solution and process, this work is being performed manually and in an isolated environment. This limited use will reduce the risk of false positives and allow for sufficient refinement before this solution is deployed within ATLAS.

This project does not affect existing screening processes in any way; nor do the results of predictive analytics render a decision about an individual. The current use is limited to prioritizing cases, which are then provided to BCU Officers to perform manual reviews following existing processes. The prioritization of cases is only to assist with addressing a backlog of IdHS results requiring review so that the cases most likely to result in a Referral to ICE are reviewed first.



Homeland Security

Visualization Tools:

National Benefit Center, Background Check Unit

Summary:

FDNS is incorporating visualization tools into ATLAS to help with link and forensic analysis and ultimately support better decision making. FDNS currently uses i2 Analyst's Notebook, an off-the-shelf IBM tool that allows provides FDNS with the ability to take various data points and display them as a visual report. This tool is currently being used within the work stream at the National Benefit Center, in a stand-alone capacity, in order to determine its viability for widespread use within ATLAS.

Background:

As stated in the project description above, it is estimated that close to 80% of organized data is in an unstructured environment making it difficult to extract relevant information from massive amounts of data. Visualization tools are needed to assist in analyzing massive amounts of data and determining linkages or relationships among entities or individuals.

FDNS Officers at the NBC currently must access data from multiple USCIS IT systems as part of their normal background check functions. FDNS Officers will use i2 Analyst Notebook as a means to visualize data from multiple data sets in a way that is useful for further analysis. i2 can use data from various data sets systems such as person names, company names, attorney/representative names, dates of birth, SSNs, addresses, visa status, criminal history, and fingerprint information to visually display criminal and fraud schemes in support of the homeland security mission.

Core Capabilities Supported:

Link and Forensic Analysis

Data Elements:

The project may use any/all data elements discussed in this PIA, but in particular, the visualization tool will make use of data elements provided by the applicant (e.g., on a USCIS form submission), as well as criminal history or derogatory information received as a result of background, identity, and security checks.

Examples of data elements used in i2 visualization/charts include: full name, DOB, place of birth, address, gender, race, height, eye color, hair color, weight, birth place, citizenship, employer information, unique identifiers such as fingerprint identification number or Alien Number, and information about the spouse, family, and petitioner.

Population:



Homeland Security

Privacy Impact Assessment
USCIS, Fraud Detection and National Security Data System
Page 54

Form I-90, *Applications to Replace Permanent Resident Card* applicants

Vetting/Process:

FDNS Officers receive information from or perform searches of various USCIS and external systems manually as part of their normal procedures during background, identity, and security check processes. Data is either hand-typed or imported into i2 via spreadsheets. There are no active data linkages to source systems. The output is a visual report or chart illustrating linkages and relationships among people, organizations, entities, etc.

The visual representations that are created from the various data sources help law enforcement officers, homeland security personnel, and the Offices of the United States Attorneys who are leading the prosecution efforts to better understand the scope of the investigation. From an administrative investigation perspective, USCIS personnel will also internally use this information to seek ways to deny or revoke or support determination of eligibility for immigration benefits such as when a USCIS applicant is not entitled to a benefit or acquired a previous benefit through fraudulent means. Records of administrative investigations are recorded in FDNS-DS.

Privacy Mitigation:

Similar to the unstructured data analysis used at the NBC, this project does not change any existing screening/vetting processes. Nor does it involve acquiring new data or altering data already acquired through existing procedures. This tool simply allows for visualization of the data in a manner that reveals relationships among the entities, organization, and individuals within the data sets.

As this process currently involves manual data entry, there is a risk of human error, which could result in FDNS relying on inaccurate data. FDNS has a vested interest and responsibility to maintain the most accurate data possible since the i2 charts could be used in support of a benefit decision or in support of criminal investigations undertaken by law enforcement partners. While performing administrative investigations, FDNS Officers rely on multiple sources to confirm the veracity of the data and, if discrepancies are uncovered, will manually make changes to ensure the i2 charts rely on data that is accurate and complete. This risk will also be mitigated when i2 is fully implemented into ATLAS when data will be refreshed automatically from the original source.



Homeland Security

Privacy Impact Assessment
 USCIS, Fraud Detection and National Security Data System
 Page 55

Enhanced Analytics for Identity Management Refugee Screening/Syria Enhanced Review

Summary:

FDNS is incorporating visualization and identity resolution into ATLAS in order to augment the existing rules-based screening/referral process. Specifically, FDNS is implementing a solution that uses i2 Fraud Intelligence Analysis (i2) and Info Sphere Identity Insight (ISII) tools. Prior to implementing this solution within ATLAS, FDNS is piloting this solution within the existing Syria Enhanced Review process for Form I-590, *Registration for Classification as Refugee* applicants.

Background:

The U.S. Refugee Admissions Program (USRAP) is a cooperative effort among several governmental and non-governmental partners both overseas and in the United States. Within the U.S. government, the Department of State (DOS) has overall management responsibility for USRAP, and the USCIS Refugee Affairs and International Operations (RAIO) Directorate is responsible for interviewing refugee applicants and adjudicating applications for refugee status.

In summary, the United Nations High Commissioner for Refugees, U.S. Embassy, or specially trained non-governmental organization (NGO) will refer requests for resettlement as refugees to DOS. A Resettlement Support Center (RSC), under cooperative agreement with DOS, performs initial processing, to include initiating biographic collection and security checks, and refers the applicant to USCIS to begin the interview process, as well as capture and perform biometric checks and other required screening. FDNS Officers supporting RAIO and its Refugee Affairs Division (RAD) are involved in the initial interview and screening process and perform adjudications on the Form I-590, *Registration for Classification as Refugee*. When National Security (NS) Concerns are identified through screening, cases are routed through the Controlled Application Review and Resolution Program (CARRP)⁹⁷, administered by Headquarters FDNS. Additionally, Syrian Form I-590 applications undergo an enhanced review process administered by the FDNS Intelligence Division.

USCIS is transparent about the screening process and the systems used to support refugee screening, which are described in the following publicly available materials:

- USCIS Refugee Processing and Security Screening Web Page, available from <http://www.uscis.gov/refugeescreening>; and
- USCIS Refugee Security Screening Fact Sheet, available from <http://www.uscis.gov/sites/default/files/USCIS/Refugee%2C%20Asylum%2C%2>

⁹⁷ See LES version of DHS/USCIS/PIA-013-01 FDNS Program.



Homeland Security

Privacy Impact Assessment
USCIS, Fraud Detection and National Security Data System
Page 56

[0and%20Int%27I%20Ops/Refugee Security Screening Fact Sheet.pdf](#)

This ATLAS PIA Appendix covers planned enhancements to support a specific phase in the refugee screening process that applies only to applicants in Syria. This enhanced review is performed by a team of analysts in the HQ FDNS Intelligence Division.

Core Capabilities Supported:

Link and Forensic Analysis, Entity Analytics, Operational Decision Management

Data Elements:

ATLAS receives results of biometric screening from IDENT to include the individual's Identity and Encounter history, which includes identifiers associated with the biometric encounter (e.g., Fingerprint Identification Number (FIN), Encounter Identification Number (EID), CPMSId), biographic elements (e.g., Name), as well as any derogatory information that exists on the individual.

ATLAS also receives information derived from benefit forms, applications, petitions, or requests, such as names, dates of birth, addresses, or other biographic data elements relevant to screening.

Population:

Form I-590, *Registration for Classification as Refugee* applicants undergoing Syria Enhanced Review process

Vetting/Process:

The Syria Enhanced Review process provides intelligence-driven support to refugee adjudicators, including threat identification, and suggesting topics for questioning. This process begins prior to the applicant's scheduled interview. FDNS Intelligence Division analysts obtain information through public sources as well as intelligence sources in order to corroborate information provided by the applicant and to assist RAIO/RAD Officers by providing a roadmap (or set of interview questions) to be used to conduct applicant interviews.

The ATLAS solution will augment the existing Syria Enhanced Review process by performing identity resolution among data already collected during biographic and biometric screening process against data in the Terrorist Screening Data Base (TSDB) and providing meaningful results that can be used to confirm identities and relationships among individuals who are Known or Suspected Terrorists (KSTs) or Non-KSTs.



Homeland Security

Privacy Impact Assessment
 USCIS, Fraud Detection and National Security Data System
 Page 57

Screening Process

The USCIS Customer Profile Management Service (CPMS)⁹⁸ PIA describes the biometric screening process, to include how information is collected from the individual (e.g., 10-print fingerprint capture), and what screening occurs within the DHS Automated Biometric Identification System (IDENT). In summary, CPMS sends the individual's 10-print fingerprints, photograph, and limited biographic information to IDENT. IDENT returns an Identity Response to CPMS, as well as to ATLAS through existing interfaces.⁹⁹

Screening within ATLAS begins when ATLAS receives the initial Identity Response from IDENT. ATLAS extracts the Encounter ID (EID) and queries IDENT the full response, which includes both the Identity and Encounter history for the individual. The Encounter history includes biographic information for each Encounter (e.g., Name) and any derogatory information, which is used to determine the individual's eligibility for admissibility or for the requested benefit.

ATLAS then screens data retrieved from IDENT through the rules process described in the body of this PIA, as well as through the i2/ISII solution, which runs the following additional checks:

1. ISII compares the Identity information retrieved from IDENT with Identity information in the TSDB through the DHS Watchlist Service, providing real-time entity resolution among records within the TSDB.
2. ISII sends the results to i2 to allow for visualization. i2 visually displays any of the linkages or relationships among individuals within the data sets, in order to identify a nexus to a KST or Non-KST.
3. i2 produces an alert that is elevated within FDNS-DS/ATLAS for manual review by a Gatekeeper.

Alerts produced by this identity management solution will follow a review process similar to the process in place to provide a layer of manual review, validation, and triage for rules-based screening. Initially, this identity management solution is being tested with the FDNS Intelligence Division Syria Enhanced Review team, and only a small group of FDNS Intelligence analysts will serve as Gatekeepers for SGNs produced by this solution in order to resolve possible matches to terrorist identities.

⁹⁸ See DHS/USCIS/PIA-060 Customer Profile Management Service, *available at* www.dhs.gov/privacy, for more information.

⁹⁹ All requests, responses, and queries flow through the Enterprise Service Bus (ESB), as described in DHS/USCIS/PIA-008 Enterprise Service Bus (ESB), *available at* www.dhs.gov/privacy, and Risk and Fraud Support Service (RFSS), as described in the PTA Update for FDNS Directorate and FDNS-DS, adjudicated September 9, 2015. RFSS has been renamed ATLAS.



Homeland Security

Privacy Impact Assessment
USCIS, Fraud Detection and National Security Data System
Page 58

Results:

FDNS is piloting the i2/ISII solution in the process of screening Form I-590 applicants. During this limited production phase, FDNS will test its functionality and usefulness in the screening process, as well as perform tuning necessary to produce accurate results. Results will inform future expansion of this technology within ATLAS to be applied to additional populations.

Privacy Mitigation:

FDNS is piloting this solution for a specific population prior to implementing the solution for all applications that are screened through ATLAS. This limited use is necessary for the chosen population, given what little information the U.S. Government has in its systems, in order to more effectively resolve identities and relationships among individuals who may pose a risk to national security. Use of the data will be consistent with existing, manual processes, and only a small team within the FDNS Intelligence Division will have access to this information.

There is a risk that incorporating the i2/ISII solution into the rules-based screening process may produce an SGN with a mismatch or erroneous association to an entity from the TSDB. FDNS Intelligence Division users responsible for gatekeeping these SGNs will perform manual reviews to confirm the validity of a match. Also, the production of an SGN does not result in an automatic promotion to a Watchlist or designation as a KST or Non-KST. FDNS Intelligence analysts review the SGNs along with information obtained through other sources for the purpose of confirming the facts provided by the applicant on the Form I-590 and determining the appropriate questions to ask during the applicant's interview. The interview process provides an opportunity for the applicant to address any concerns.

There is also a risk that SGNs will be produced erroneously as a result of errors in the IDENT database. This risk is partially mitigated by the gatekeeping process where a human review is required to confirm validity of an SGN and is further mitigated in that FDNS has worked with the Department's Office of Biometric Identity Management (OBIM) to develop procedures for identifying and correcting IDENT errors. Upon the discovery of an IDENT error, FDNS notifies OBIM of the nature of the error and justification for making corrections to records in IDENT. OBIM then carries out any necessary corrections through existing procedures. If the SGN is determined to be in-actionable, the SGN is closed without further action.

From: [Fleet, Andrea B](#)
To: [Benaud, Tracy L](#); [Kerns, Kevin J](#)
Cc: [USCIS MGT Tasks](#)
Subject: FW: ***URGENT*** Transition RFI Due Noon Today
Date: Tuesday, December 13, 2016 2:00:13 PM
Attachments: [image003.png](#)
[image004.emz](#)
[image005.png](#)

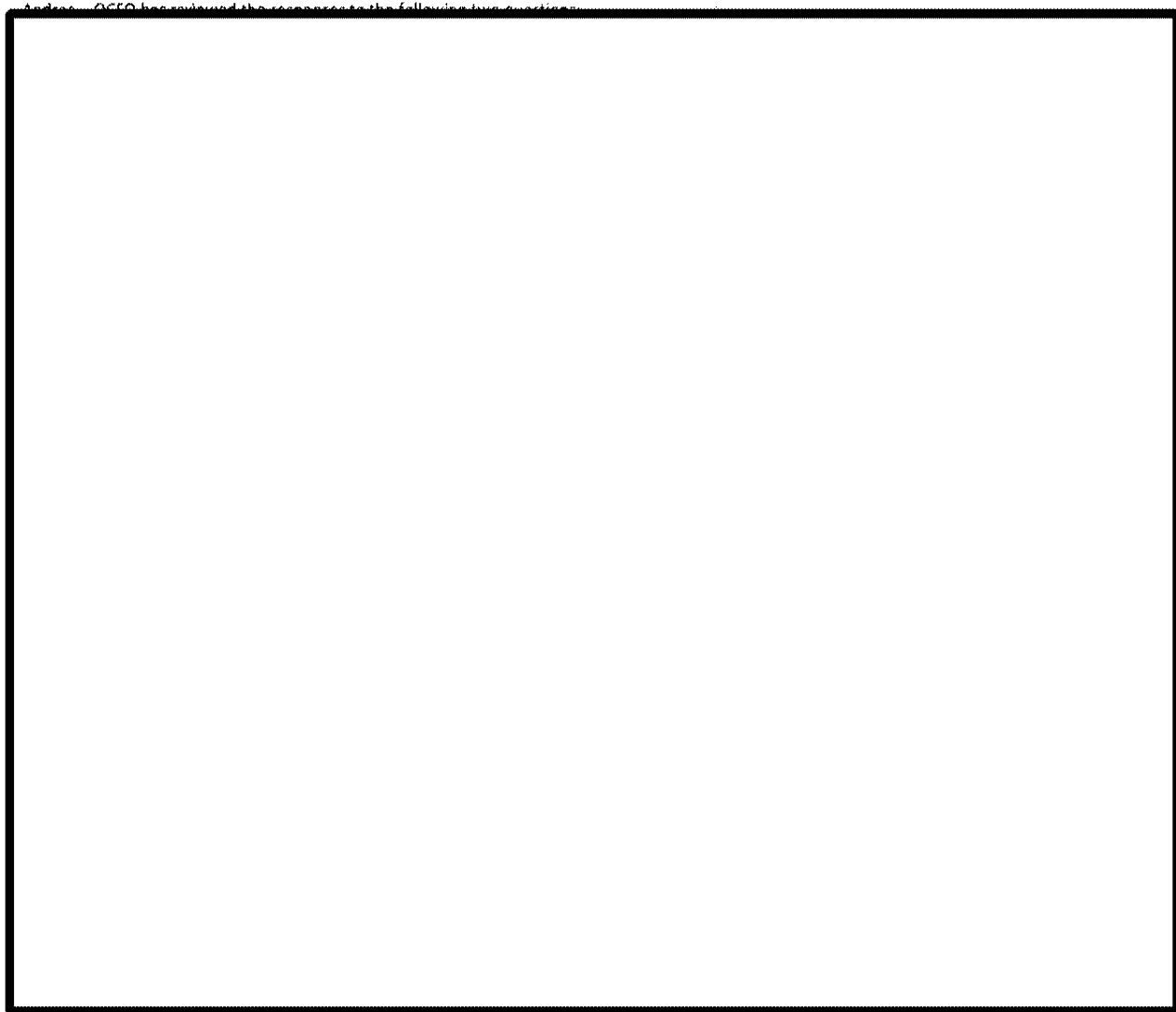
Tracy - OCFO has the following questions below concerning OTC's response. Please advise as to how you would like OCFO to proceed. BTW, I am attending training from 2-4. Thanks,

Andrea

From: Reilly, Richard M
Sent: Tuesday, December 13, 2016 1:56 PM
To: Fleet, Andrea B; USCIS MGT Tasks
Cc: Fredericks, Christopher; White, Jacquelyn D; Soloweigh, Todd L; Nasir, Syed A; Cristiani, Juan L; Moore, Joseph D
Subject: FW: ***URGENT*** Transition RFI Due Noon Today

Andrea - OCFO has reviewed the response to the following two questions:

(b)(5)



Thanks!
Rich

From: Fleet, Andrea B
Sent: Tuesday, December 13, 2016 1:40 PM
To: Davis, Alecia A; Moore, Joseph D; Reilly, Richard M
Cc: USCIS MGT Tasks
Subject: FW: ***URGENT*** Transition RFI Due Noon Today

OCFO – I am heading to a training session shortly. Please forward your response to the MGT task box who will obtain Tracy and Kevin's clearance before forwarding to the Presidential Transition clearance box.

Thanks again for your quick turnaround on this.

Anrea

From: Stanley, Kathleen M
Sent: Tuesday, December 13, 2016 11:52 AM
To: Fleet, Andrea B; Schwartz, Mark A; Jones, Keith A; Wittman, Gregory J; Black, Diane E; Moore, Joseph D; Reilly, Richard M; Davis, Alecia A; DeStefano, Ernest; Anderson, Erik C; Becker, Cheryl L
Cc: USCIS MGT Tasks; Renaud, Tracy L; Kerns, Kevin J; Tran, Ramona L; Clark, Levita S; Perryman, Janet J; Van Demark, Henry
Subject: RE: ***URGENT*** Transition RFI Due Noon Today

Andrea,

Attached is OTC's input. I have also attached a spreadsheet that provides more detail for the cost data.

Ramona Tran is our lead in pulling this data and I have added her to facilitate answering any questions.

Kath

Kathleen "Kath" Stanley
Chief, Office Transformation Coordination
U.S. Citizenship and Immigration Services
202-272-9401

From: Fleet, Andrea B
Sent: Tuesday, December 13, 2016 9:30 AM
To: Stanley, Kathleen M; Schwartz, Mark A; Jones, Keith A; Wittman, Gregory J; Black, Diane E; Moore, Joseph D; Reilly, Richard M; Davis, Alecia A; DeStefano, Ernest; Anderson, Erik C; Becker, Cheryl L
Cc: USCIS MGT Tasks; Renaud, Tracy L; Kerns, Kevin J
Subject: FW: ***URGENT*** Transition RFI Due Noon Today
Importance: High

URGENT PRESIDENTIAL TRANSITION REQUEST – DUE NOON TODAY; NO EXTENSIONS

From: USCIS Presidential Transition
Sent: Tuesday, December 13, 2016 9:18 AM
To: USCIS MGT Tasks; Stanley, Kathleen M; Kerns, Kevin J; Collins, Anissa A; Clark, Levita S; Hawkins, Donald K; OP&S Presidential Transition; Vanison, Denise; FDNSExecSec; Emrich, Matthew D; Davidson, Andrew J; Melero, Mariela; Rogers, Debra A; Simeon, David G; Schwartz, Mark A
Cc: Renaud, Tracy L
Subject: ***URGENT*** Transition RFI Due Noon Today
Importance: High

Good morning,

We have our first information request from the president-elect's transition landing team. There is an extremely fast turnaround on these requests (apologies!)—it is **due at noon today** to allow time for the front office to clear today and to get it back to DHS today. Therefore, no extensions may be granted and it is imperative that you respond timely.

This is what is being requested:

(b)(5)



Thank you very much for all your help with this and if there are any questions, I can be reached at the numbers below.

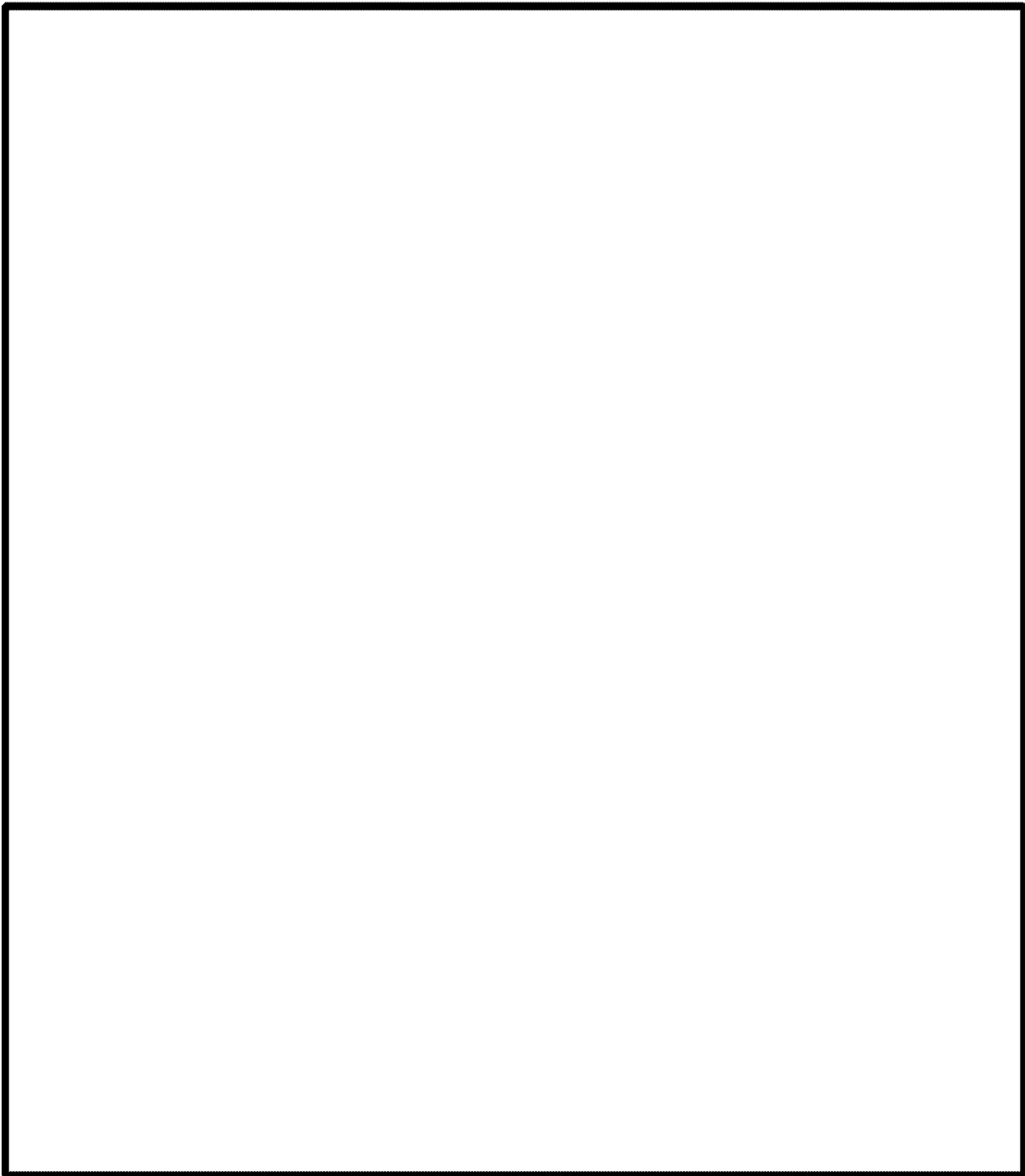
Julie Farnam

Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-282-8277
(c) 202-489-8802

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From: Rogers, Debra A
To: USCIS, Presidential Transition; Earnam, Julie E
Cc: Melero, Mariela; Renaud, Tracy L
Subject: FW: ***URGENT*** Transition RFI Due Noon Today
Date: Tuesday, December 13, 2016 11:42:08 AM
Attachments: MORNING T2 ELIS Helpdesk (13 Dec 16).xlsx
image003.png

Julie, CSPED responses below, please let us know if you need any additional information.



(b)(5)

(b)(5)



From: USCIS Presidential Transition
Sent: Tuesday, December 13, 2016 9:18:08 AM
To: USCIS MGT Tasks; Stanley, Kathleen M; Kerns, Kevin J; Collins, Anissa A; Clark, Levita S; Hawkins, Donald K; OP&S Presidential Transition; Vanison, Denise; FDNExecSec; Emrich, Matthew D; Davidson, Andrew J; Mejero, Mariela; Rogers, Debra A; Simeon, David G; Schwartz, Mark A
Cc: Renaud, Tracy L
Subject: ***URGENT*** Transition RFI Due Noon Today

Good morning,

We have our first information request from the president-elect's transition landing team. There is an extremely fast turnaround on these requests (apologies!)—it is **due at noon today** to allow time for the front office to clear today and to get it back to DHS today. Therefore, no extensions may be granted and it is imperative that you respond timely.

This is what is being requested:



Thank you very much for all your help with this and if there are any questions, I can be reached at the numbers below.

Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-282-8277
(c) 202-489-8802

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From: USCIS Presidential Transition
To: Renaud, Tracy L
Subject: FW: ***URGENT*** Transition RFI Due Noon Today
Date: Tuesday, December 13, 2016 11:31:17 AM

Sorry, you weren't copied.

Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
(c) 202-489-8802

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From: Hamilton, Cristina A
Sent: Tuesday, December 13, 2016 11:26 AM
To: USCIS Presidential Transition; OP&S Presidential Transition
Cc: Levine, Laurence D; Kvortek, Steven P (Steve); Greeley, Kevin A
Subject: RE: ***URGENT*** Transition RFI Due Noon Today

Will do, thanks.

Cristina Hamilton
Chief, National Security and
Benefits Integrity Division
Office of Policy and Strategy, USCIS
202-272-1466

This email, along with any attachments, is intended solely for the use of the addressee(s) and may contain information that is sensitive or protected by applicable law. Unauthorized use or dissemination of this email and any attachments is strictly prohibited. If you are not the intended recipient, please notify the sender and delete or destroy all copies. Thank you.

From: USCIS Presidential Transition
Sent: Tuesday, December 13, 2016 11:22 AM
To: Hamilton, Cristina A; OP&S Presidential Transition
Cc: Levine, Laurence D; Kvortek, Steven P (Steve); Greeley, Kevin A
Subject: RE: ***URGENT*** Transition RFI Due Noon Today

Yes, please include them. I'd rather err on the side of providing everything that *could* be in the scope of the request rather than them thinking that we are trying to withholding items. Thank you!

From: Hamilton, Cristina A
Sent: Tuesday, December 13, 2016 11:15 AM
To: USCIS Presidential Transition; OP&S Presidential Transition
Cc: Levine, Laurence D; Kvortek, Steven P (Steve); Greeley, Kevin A
Subject: FW: ***URGENT*** Transition RFI Due Noon Today
Importance: High

As per the tasking regarding Social Media and my discussion with Julie earlier this morning, OP&S will soon send the guidance materials discussed (DHS Policy Guidance Docs and the Steve Bucher e-mail to FDNS), but I wanted to raise another set of documents which *might* be responsive.

I am not sure that it is technically guidance, but we also have the approved Social Media Use Templates which were approved by DHS Privacy and which determined that USCIS' proposed use of Social Media on the various operational uses described satisfied Privacy Act requirements. While those may not technically be considered guidance, and they have not been issued to the field as such, they did set forth the parameters for our approved use of Social Media for the various uses identified.

Please advise as to whether we should consider these within the scope of the current request. If we do not hear back, we will consider them not to be within the scope of this request but will ensure that we consider whether they will be responsive to future transition team requests.

Cristina Hamilton
Chief, National Security and
Benefits Integrity Division
Office of Policy and Strategy, USCIS
202-272-1466

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From: Renaud, Tracy L
Sent: Tuesday, December 13, 2016 9:29 AM
To: USCIS Presidential Transition; USCIS MGT Tasks; Stanley, Kathleen M; Kerns, Kevin J; Collins, Anissa A; Clark, Levita S; Hawkins, Donald K; OP&S Presidential Transition; Vanison, Denise; FDNSExecSec; Emrich, Matthew D; Davidson, Andrew J; Melero, Mariela; Rogers, Debra A; Simeon, David G; Schwartz, Mark A
Subject: RE: ***URGENT*** Transition RFI Due Noon Today

All – Highlighting which office has primary responsibility for each task and adding a little context in a couple of areas. Give me or Julie a call if you have any questions.

Tracy L. Renaud
Associate Director
Management Directorate
US Citizenship & Immigration Services
Department of Homeland Security
202-272-1739 (desk)

From: USCIS Presidential Transition

Sent: Tuesday, December 13, 2016 9:18 AM

To: USCIS MGT Tasks; Stanley, Kathleen M; Kerns, Kevin J; Collins, Anissa A; Clark, Levita S; Hawkins, Donald K; OP&S Presidential Transition; Vanison, Denise; FDNSExecSec; Emrich, Matthew D; Davidson, Andrew J; Melero, Mariela; Rogers, Debra A; Simeon, David G; Schwartz, Mark A

Cc: Renaud, Tracy L

Subject: ***URGENT*** Transition RFI Due Noon Today

Importance: High

Good morning,

We have our first information request from the president-elect's transition landing team. There is an extremely fast turnaround on these requests (apologies!)—it is **due at noon today** to allow time for the front office to clear today and to get it back to DHS today. Therefore, no extensions may be granted and it is imperative that you respond timely.

This is what is being requested:



Thank you very much for all your help with this and if there are any questions, I can be reached at the numbers below.

Julie Farnam

Senior Advisor

Field Operations Directorate

U.S. Citizenship and Immigration Services

(d) 202-282-8277

(c) 202-489-8802

This communication, along with any attachments, may contain confidential information and is covered by federal laws governing electronic communications. Electronic communications may also be monitored by the Department of Homeland Security, U.S. Citizenship and Immigration Services. If the reader of this message is not the intended recipient, you are hereby notified that any dissemination, distribution, use, or copying of this message is strictly prohibited. If you have received this in error, please delete this message and all attachments and immediately notify the sender.

From: [USCIS Presidential Transition](#)
To: [Young, Todd P](#); [Walters, Jessica S](#); [Krebs, Kristie L](#); [Prelogar, Brandon B](#)
Cc: [Renaud, Tracy L](#)
Subject: FW: ***URGENT*** Transition RFI Due Noon Today
Date: Tuesday, December 13, 2016 10:44:13 AM
Attachments: [SMOUT USCIS-Benefits Determinations 20141124 PRIV FINAL.PDF](#)
[Rules of Behavior USCIS-FDNS 20141124 FINAL.DOC](#)
[DHS Directive 110-01, Privacy Policy for Operational Use of Social Media....pdf](#)
[SMOUT USCIS-FDNS 20141124 PRIV FINAL.PDF](#)
[FDNS Use of Social Media for Refugee Processing - Memo \(Signed and Dated....pdf](#)
[DHS Instruction 110-01-001, Privacy Policy for Operational Use of Social....pdf](#)

Items to be provided to the transition team related to social media usage. Please let me know when your principal is okay with me submitting to DHS.

Thank you,
Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
(c) 202-489-8802

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From: Barnes, Aisha **On Behalf Of** FDNSExecSec
Sent: Tuesday, December 13, 2016 10:41 AM
To: USCIS Presidential Transition
Cc: FDNSExecSec
Subject: RE: ***URGENT*** Transition RFI Due Noon Today

Good morning,

FDNS clears with the attached. *** Please note: The FNDNS SMOUT and Rules of Behavior have information regarding investigative techniques that may be exempt from FOIA disclosure under 7(E), and should be protected from public disclosure. ***

Respectfully,

Aisha Barnes
Management and Program Analyst
Office of the Executive Secretariat
On Detail w/FDNS Knowledge Management Group
☎ Office: 202-272-8353 | ☎ Fax: 202-272-8340

From: USCIS Presidential Transition

Sent: Tuesday, December 13, 2016 9:18 AM

To: USCIS MGT Tasks; Stanley, Kathleen M; Kerns, Kevin J; Collins, Anissa A; Clark, Levita S; Hawkins, Donald K; OP&S Presidential Transition; Vanison, Denise; FDNSExecSec; Emrich, Matthew D; Davidson, Andrew J; Melero, Mariela; Rogers, Debra A; Simeon, David G; Schwartz, Mark A

Cc: Renaud, Tracy L

Subject: ***URGENT*** Transition RFI Due Noon Today

Importance: High

Good morning,

We have our first information request from the president-elect's transition landing team. There is an extremely fast turnaround on these requests (apologies!)—it is **due at noon today** to allow time for the front office to clear today and to get it back to DHS today. Therefore, no extensions may be granted and it is imperative that you respond timely.

This is what is being requested:

(b)(5)



Thank you very much for all your help with this and if there are any questions, I can be reached at the numbers below.

Julie Farnam

Senior Advisor

Field Operations Directorate

U.S. Citizenship and Immigration Services

(d) 202-282-8277

(c) 202-489-8802

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DHS OPERATIONAL USE OF SOCIAL MEDIA

This template is used to assess the Department's Operational Use of Social Media, consistent with Management Directive 110-01.

The DHS Privacy Office has created this template to determine privacy compliance with Management Directive 110-01, *Privacy Policy for Operational Use of Social Media*. For the purposes of the Management Directive and this template, "Operational Use" means authorized use of social media to collect personally identifiable information for the purpose of enhancing situational awareness, investigating an individual in a criminal, civil, or administrative context, making a benefit determination about a person, making a personnel determination about a Department employee, making a suitability determination about a prospective Department employee, or for any other official Department purpose that has the potential to affect the rights, privileges, or benefits of an individual. Operational use does not include the use of search engines for general Internet research, nor does it include the use of social media for professional development such as training and continuing education or for facilitating internal meetings. The following uses of social media are exempt from the Management Directive and are not subject to this requirement¹:

- a) Communications and outreach with the public authorized by the Office of Public Affairs (covered by the existing PIAs: DHS/ALL/PIA-031 - Use of Social Networking Interactions and Applications Communications/Outreach/Public Dialogue and DHS/ALL/PIA-036 : Use of Unidirectional Social Media Applications);
- b) The conduct of authorized intelligence activities carried out by the Office of Intelligence and Analysis, the intelligence and counterintelligence elements of the United States Coast Guard, or any other Component performing authorized foreign intelligence or counterintelligence functions, in accordance with the provisions of Executive Order 12333, as amended.

This template shall be used to document the process to be followed by all programs engaging in operational uses of social media; to identify information technology systems, technologies, rulemakings, programs, or pilot projects that involve PII and other activities that otherwise impact the privacy of individuals as determined by the Chief Privacy Officer; and to assess whether there is a need for additional Privacy Compliance Documentation. Components may appeal to the Deputy Secretary for Homeland Security if there is disagreement over the DHS Privacy Office determination of privacy compliance for the operational use of social media.

¹ Gathering information by the Office of Operations Coordination and Planning (OPS) to enhance situational awareness is exempt from this requirement and is covered by the existing PIA: DHS/OPS/PIA-004(d) - Publicly Available Social Media Monitoring and Situational Awareness Initiative Update.



DHS OPERATIONAL USE OF SOCIAL MEDIA

Please complete this form and send it to your Component Privacy Officer.
Upon receipt, your Component Privacy Officer and the DHS Privacy Office will review this form and may request additional information.

SUMMARY INFORMATION

Date submitted for review: 06.11.13

Name of Component: U.S. Citizenship and Immigration Services

Contact Information: Donald Hawkins, Chief Privacy Officer, USCIS
Donald.K.Hawkins@uscis.dhs.gov

Counsel² Contact Information: Stephen.H.Legomsky@uscis.dhs.gov
(202) 272-1400.

IT System(s) where social media data is stored: Some information may be stored in FDNS-DS, but most retained information is stored in non-electronic form, such as the A-File, or in an A-File that will later be digitized.

Applicable Privacy Impact Assessment(s) (PIA):

- DHS/USCIS/PIA-016, USCIS Benefits Processing of Applicants other than Petitions for Naturalization, Refugee Status, and Asylum
- DHS/USCIS/PIA-003(a) - Integrated Digitization Document Management Program (IDDMP)
- DHS/USCIS/PIA-025, Reengineered Naturalization Casework System(RNACS)
- DHS/USCIS/PIA-015, Computer Linked Application Information Management System 4 (CLAIMS 4)
- DHS/USCIS/PIA-027(a), Refugees, Asylum, and Parole System and the Asylum Pre-Screening System
- DHS/USCIS/PIA-044, Fraud Detection and National Security Directorate
- DHS/USCIS/PIA-045, Deferred Action for Childhood Arrivals
- DHS/USCIS/PIA-031- Citizenship and Immigration Data Repository (CIDR)

Applicable System of Records Notice(s) (SORN):

- DHS/USCIS/ICE/CBP-001 - Alien File, Index, and National File Tracking System of Records
- DHS/USCIS-002 - Background Check Service
- DHS/USCIS-006 - Fraud Detection and National Security Records (FDNS)
- DHS/USCIS-007 - Benefits Information System

² Counsel listed here must certify that appropriate authority exists to engage in particular operational activities involving social media.



- DHS/USCIS-008 - Refugee Access Verification Unit
- DHS/USCIS-010 - Asylum Information and Pre-Screening
- DHS/USCIS-012 - Citizenship and Immigration Data Repository (CIDR)

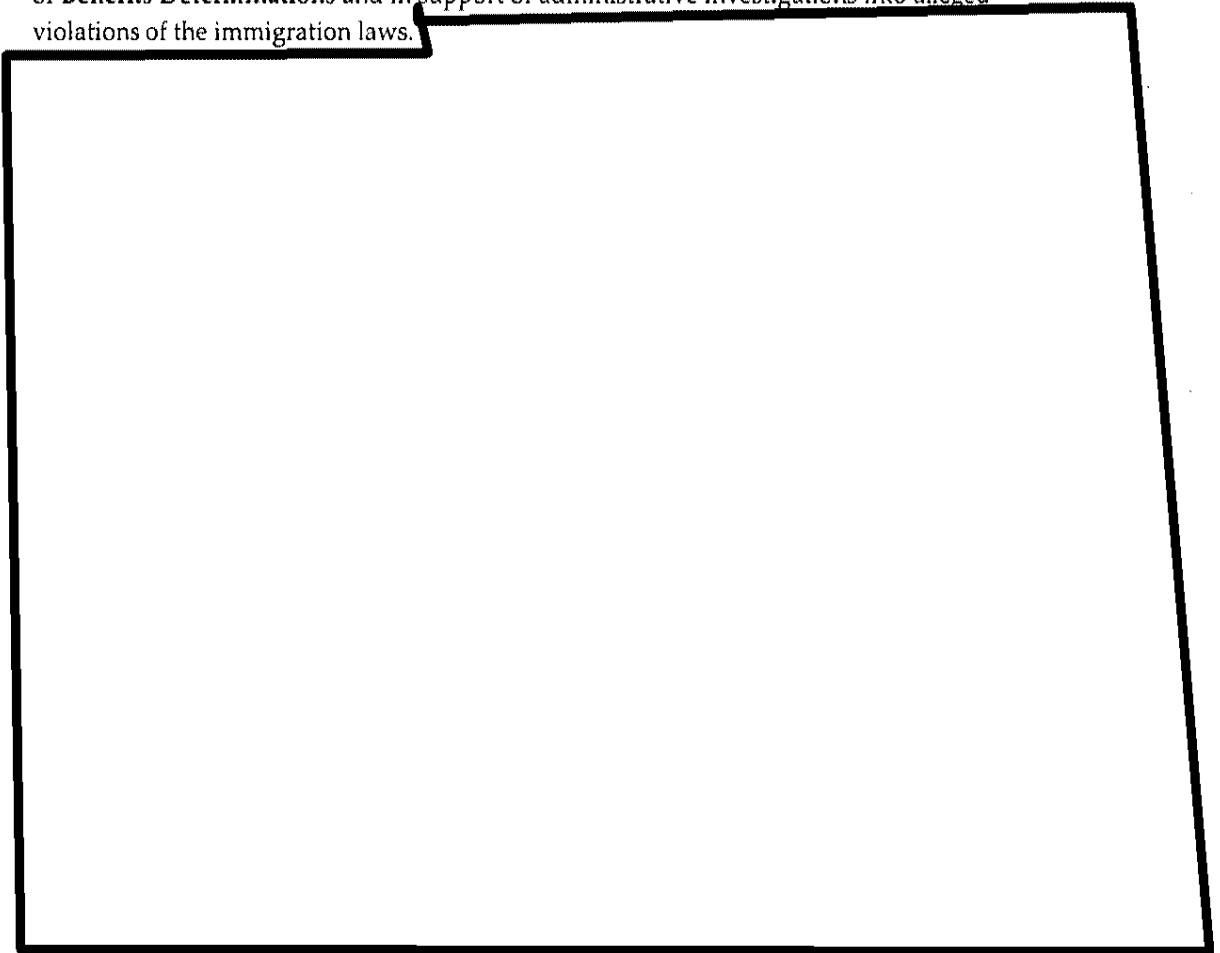
DHS OPERATIONAL USE OF SOCIAL MEDIA

SPECIFIC QUESTIONS

1. Describe the category of use for collecting personally identifiable information from social media sources. Examples include: law enforcement intelligence, criminal investigations, background investigations, administrative investigations, professional responsibility investigations, benefit or employment determinations, or situational awareness. If use does not fit into one of these categories, please describe in full below. If your component has multiple categories of use, please submit separate template for each category.

USCIS uses social media, as defined in the Privacy Policy, to gather information for the purpose of **Benefits Determinations** and in support of administrative investigations into alleged violations of the immigration laws.

(b)(7)(e)





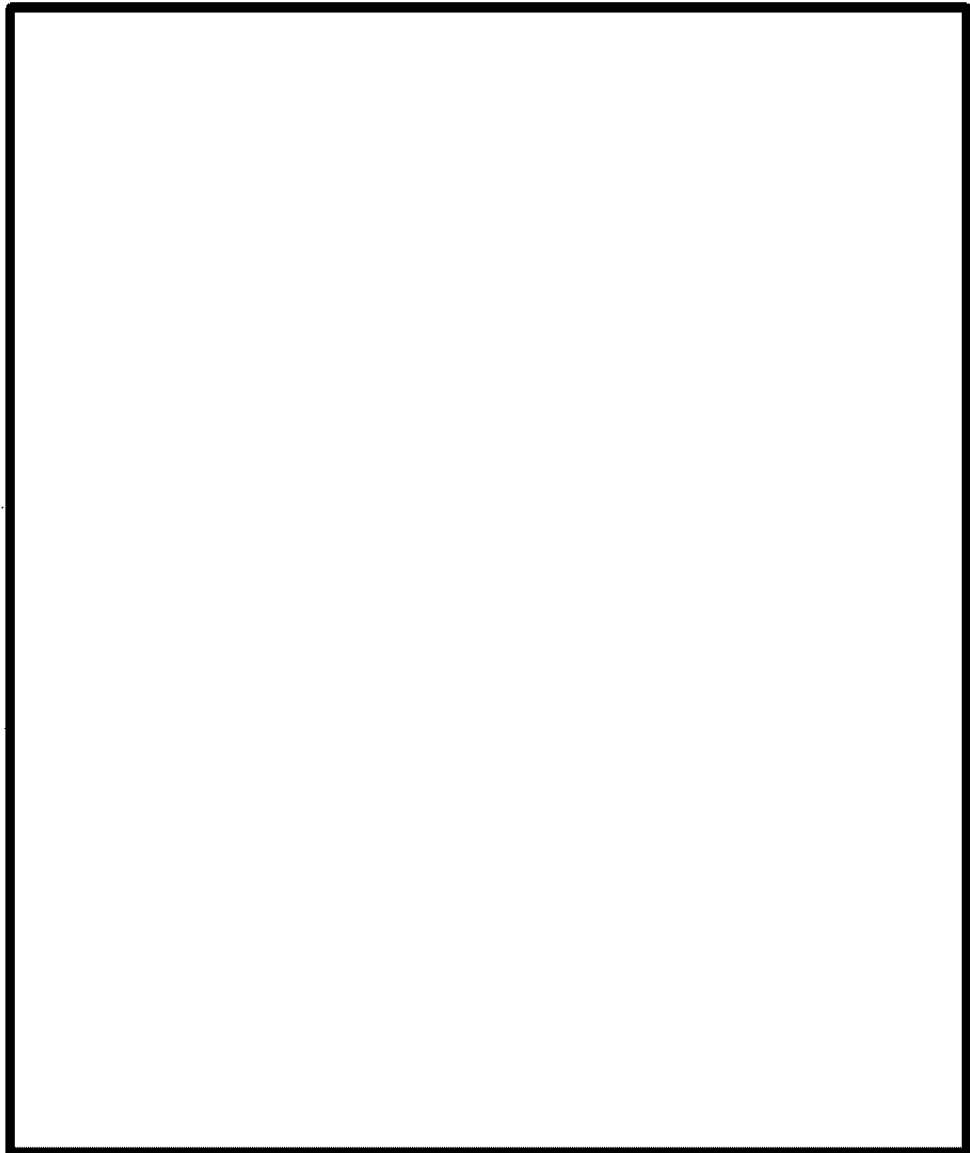
Homeland Security

The Privacy Office
U.S. Department of Homeland Security
Washington, DC 20528
703-235-0780, pia@dhs.gov
www.dhs.gov/privacy

Version date: June 12, 2012
Page 4 of 8

Applicants will have the opportunity to explain or refute any adverse information discovered through social media.

Examples of information that can be gathered through social media include:



(b)(7)(e)

2. Based on the operational use of social media listed above, please provide the appropriate authorities.

- Homeland Security Act of 2002, as amended, Pub. L. No. 107-296, 116 Stat. 2135 (2002)
- Immigration and Nationality Act of 1952, as amended, § 101, 103, 208
- 8 U.S.C. § 1101, 1103, and 1357, Powers of immigration officers and employees



Homeland Security

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Version date: June 12, 2012
Page 5 of 8

- 8 C.F.R. § 2.1, Authority of the Secretary of Homeland Security; 8 CFR §§ 208, 208.30 and 208.31.
- Section 203 of the Nicaraguan Adjustment and Central American Relief Act (NACARA § 203), in accordance with 8 CFR § 240.60.
- DHS Delegation No. 0150.1, Delegation to the Bureau of Citizenship and Immigration Services [USCIS]

a) Has Counsel listed above reviewed these authorities for privacy issues and determined that they permit the Program to use social media for the listed operational use?

Yes. No.

3. Is this use of social media in development or operational?

In development. Operational. Date first launched: Unknown.

USCIS has accessed general websites, applications and web-based tools since its inception

(b)(7)(e)



4. Please attach a copy of the Rules of Behavior that outline the requirements below.

(See Accompanying USCIS Social Media Rules of Behavior)

5. Please describe the Rules of Behavior in effect for the listed operational use of social media. If users do NOT follow a particular Rule, please detail reasoning for not following that Rule:

a) *Equipment.* Use only government-issued equipment when engaging in the operational use of social media;

Yes. No. If not, please explain:

b) *Email and accounts.* Use online screen names or identities that indicate an official DHS affiliation and use DHS email addresses to open accounts used when engaging in social media in the performance of their duties;

Yes. No. If not, please explain:

c) *Public interaction.* Access publicly available information through social media only by reviewing posted information without interacting with any individual who posted the information;

Yes. No. If not, please explain:



Homeland Security

The Privacy Office
U.S. Department of Homeland Security
Washington, DC 20528
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www.dhs.gov/privacy

Version date: June 12, 2012

Page 6 of 8

d) *Privacy settings.* Respect individuals' privacy settings and access only information that is publicly available;

Yes. No. If not, please explain:

e) *PII collection:* Collect the minimum PII necessary for the proper performance of their authorized duties except for systems subject to Final Rules for Exemption from certain aspects of the Privacy Act;

Yes.

f) *PII safeguards.* Protect PII as required by the Privacy Act (if applicable) and DHS privacy policy;

Yes. No. If not, please explain:

g) *Documentation.* Document operational use of social media, including date, site(s) accessed, information collected and how it was used.

Yes.

h) *Training.* Users complete annual privacy training which has been approved by Component Privacy Officer (or Privacy Point of Contact) based upon training materials provided by the DHS Privacy Office. Training must include, at minimum: legal authorities, acceptable operational uses of social media, access requirements, and requirements for documenting operational uses of social media.

Yes. No. If not, please explain:

Mechanisms are (or will be) in place to verify that users have completed training.

Yes, employees self-certify that they have read and understood their Component Rules of Behavior.

Yes, Component Privacy Officers or PPOCs maintain a record of employee attendance at privacy training that includes training on the Rules of Behavior.

No. If not, please explain:



DHS SOCIAL MEDIA DOCUMENTATION

(To be Completed by the DHS Privacy Office)

DATE reviewed by the DHS Privacy Office: 8/1/2014

NAME of the DHS Privacy Office Reviewer: Lindsay Lennon

DHS Privacy Office Determination

- Program has met requirements to use social media for the stated authorized operational purposes, and must continue compliance with the requirements above.
- Program has not yet met requirements to utilize social media for operational purposes.
 - Program authorities do not authorize operational use of social media.
 - Rules of Behavior do not comply. <Please explain analysis.>
 - Training required.

Additional Privacy compliance documentation is required:

- A PIA is required.
 - DHS/USCIS/PIA-003(a) Integrated Digitization Document Management Program (IDDMP)
 - New.
 - Updated. DHS/USCIS/PIA-016 Benefits Processing of Applicants other than Petitions for Naturalization, Refugee Status, and Asylum (CLAIMS 3); DHS/USCIS/PIA-015(b) Computer Linked Application Information Management System (CLAIMS 4); DHS/USCIS/PIA-027 Refugees, Asylum, and Parole System and the Asylum Pre-Screening System; DHS/USCIS/PIA-45 Deferred Action for Childhood Arrivals (DACA)
- A SORN is required:
 - Covered by existing SORN. DHS/USCIS-006 - Fraud Detection and National Security Records (FDNS) August 8, 2012, 77 FR 47411
 - New.
 - Updated. DHS/USCIS/ICE/CBP-001 - Alien File, Index, and National File Tracking System of Records, November 21, 2013, 78 FR 69864



DHS PRIVACY OFFICE COMMENTS

This SMOUT covers the use of social media for benefits determination purposes. DHS Privacy (PRIV) finds that USCIS has provided sufficient documentation to meet the requirements of DHS Directive 110-01.

USCIS will follow the standard Rules of Behavior provided in DHS Instruction 110-01-001 for use of social media for operational purposes when making benefits determinations. The standard Rules of Behavior apply to Immigration Services Officers (staff engaged in adjudications or background check activities), Asylum and Refugee Officers, and other USCIS employees engaged in the process of benefits determinations even when engaged in activities that, when done by a FDNS IO, would fall within the exemption for FDNS IOs. For auditing and accountability purposes, USCIS must maintain a list of all such employees and their associated screen names.

DHS Privacy requires USCIS to update the CLAIMS 3, CLAIMS 4, RAPS/APSS, and DACA PIAs to include social media as a source of information and to discuss any privacy risks and mitigations associated with the use of social media for benefits determination. The IDDMP PIA also provides coverage for USCIS's use of social media for benefits determination purposes. Any information, whether or not that information is derogatory, that is collected from a social media site and used as part of the benefits determination process will be saved in the individual's A-File and, when applicable, FDNS-DS. The A-File SORN should be updated to include publicly available information on the internet as a record source category, but this update is not required before USCIS may access social media for benefits determination purposes. The FDNS SORN covers information stored in FDNS-DS.

**U.S. Citizenship and Immigration Services
Fraud Detection and National Security Investigations
Rules of Behavior for the Operational Use of Social Media**

These Rules of Behavior (ROBs) apply to all Department of Homeland Security (DHS) U.S. Citizenship and Immigration Services (USCIS) Fraud Detection and National Security (FDNS) Immigration Officers who seek to access, process, store, receive, or transmit Personally Identifiable Information (PII) obtained through the Operational Use of Social Media while conducting investigations.

These ROBs are consistent with information security program policy and procedures within DHS Directive 140-01, "Information Technology Systems Security," DHS Directive 4300A, "Sensitive Systems Policy," DHS 4300A "Sensitive Systems Handbook," and DHS Directive 110-01, "Privacy Policy for Operational Use of Social Media."

Accountability

I will engage in the operational use of Social Media only when such activities are authorized by statute, executive order, regulation, or policy. I will be accountable for my actions while accessing and using Social Media for operational purposes. When I engage in the operational use of social media I will:

- 1) Use only government-furnished equipment (GFE);¹
- 2) Use only DHS e-mail addresses in correspondence;
- 3) Use only DHS e-mail addresses to open accounts;
- 4) Use online screen names or identities that indicate an official DHS affiliation unless this requirement is waived by my supervisor because the use of a DHS affiliation would make the subject or other material witness aware of the existence of an ongoing investigation or would jeopardize investigative efforts. When DHS affiliation is not to be indicated in a screen name, I will use only my own, true name in screen names and never an alias.

I am fully responsible for the protection of PII derived from the operational use of social media and I will:

- 1) Protect PII as required by the Privacy Act and DHS Privacy Policy;
- 2) Collect the minimum PII necessary for the proper performance of my authorized duties, excepting systems subject to Final Rules for Exemption from the Privacy Act;
- 3) Access publicly available information through social media only by reviewing posted information without interacting with any individual who posted the information;
- 4) Respect individuals' privacy settings and access only information that is publicly available unless the individual whose information I seek to assess has given consent to access it; and
- 5) Document all operational use of social media, including date, site(s) accessed, information collected, and how it was used, in the same manner that USCIS FDNS would document

¹ GFE generally includes networks, information systems, applications, desktop computers, laptop computers, external drives, thumb drives, and portable electronic devices such as personal digital assistants (PDAs), Palm Pilots, cell phones, text messaging systems (e.g., Blackberry), plug-in, and wireless peripherals that employ removable media (e.g., CDs, DVDs), thumb drives, external drives, and diskettes.

information collected from any source in the normal course of business. For instance, where information obtained through authorized operational use of social media is used in whole or in part to make decisions regarding an individual's rights, benefits or privileges, employees document that fact in relevant records.²

Disciplinary/Administrative Actions

I understand violation of these ROBs could result in disciplinary/administrative actions up to and including civil or criminal prosecution, depending upon the severity of the incident. I agree to and completely understand that I am accountable for my actions or inactions that result in the unauthorized collection or disclosure of privacy-sensitive information.

Social Media Internet Site Access

I will be granted access to the DHS and USCIS network to access information only for which I have a need to know in the official performance of my duties. I will perform my duties in accordance with DHS and USCIS information systems security policies and will not attempt to access social media internet sites for operational purposes without permission and certification, as described below in the Training and Certification section. If granted access, I understand that it is my responsibility to maintain the confidentiality of the information, to ensure that access is based on a strict "need to know," and I will not attempt to access social media for operational purposes beyond my specific official need to know. I will not attempt to bypass access control measures and I understand that I am accountable for all actions taken under my User ID.

Training and Certification

I will complete computer security awareness training (CSAT) during new employee orientation and annually thereafter in order to be granted access to USCIS networks and information systems and to ensure I maintain access to these resources without interruption. In addition, in order to access social media sites for operational purposes, I will:

- 1) Complete an initial and thereafter annual Training for the Operational Use of Social Media, approved by the USCIS Privacy officer, which shall cover, among other topics, appropriate authorities, privacy concerns, acceptable operational uses of social media, access requirements, and documentation requirements; and
- 2) Annually read and certify that I have read and understood the *FDNS Rules of Behavior for the Operational Use of Social Media*.

Incident Reporting

I will immediately report all observed, suspected, or actual IT security incidents and PII spills to the USCIS Service Desk (USCIS.ServiceDesk@uscis.dhs.gov or 1-888-220-5228), my local Information Systems Security Officer (ISSO), and supervisor. I must cooperate with the investigation of any security incidents and, at the discretion of the USCIS Chief Information Security Officer (CISO), the USCIS Security/Network Operations Center (SNOC) personnel. If I am involved in a security or

² For example, in the context of fraud investigations, the operational use of social media is documented in the FDNS-DS; whereas operational use of social media pertaining to an alien's case may be documented in the Record of Proceeding (ROP).

- FOR OFFICIAL USE ONLY -

privacy incident and fail to cooperate I understand that my access to all USCIS information systems will be suspended.

Data Protection

I will protect USCIS sensitive information from disclosure to unauthorized persons or groups. I will not disclose sensitive but unclassified (SBU) information to any person not having a valid need-to-know. I will safeguard sensitive information from accidental, unintentional, or unauthorized disclosure at any location I am assigned. I will not transmit sensitive information through the use of unsecured fax machines, e-mail, or other communications devices.

Classified Data

I will not process classified information on any GFE not specifically approved and marked for the appropriate level of classified processing. I will report to the USCIS Service Desk, OSI Command Center (USCIS.C2@dhs.gov or 1-877-225-9046) and the USCIS SNOC (cisn noc@dhs.gov or 1-303-542-8501) any inadvertent or unapproved classified processing on non-classified systems. I will not process classified information or store classified information on privately-owned (personal) computers or media.

Software

I will comply with all software copyrights and licenses. I will not install unauthorized software (including software available for download from the Internet, software available on USCIS networks, and personally-owned software) on GFE. I will be personally liable for software copyright violations committed on GFE that are under my control. I will not install authorized software on GFE without gaining management approval and notifying the USCIS Service Desk. I understand that the use of Peer-to-Peer (P2P) file sharing software is strictly prohibited on GFE and for transmitting USCIS information.

Teleworking (Working at Home or at a Satellite Center)

I understand that I must be approved for teleworking before being allowed to use GFE and access social media for operational purposes remotely. Teleworking policies are described in DHS Directive 123-05, "Telework Directive."

E-mail Use

E-mail is provided for official use, with limited personal use allowed. Allowed personal use is described in DHS Directive 4500, "DHS E-Mail Usage." I understand that the use of GFE to check personal webmail or other personal e-mail accounts is strictly prohibited (e.g., AOL, Hotmail, EarthLink, or G-mail). I understand that I may not send sensitive information over e-mail unencrypted. I will not send sensitive information to my personal e-mail accounts. I will not auto-forward my government e-mails to non-government (commercial) e-mail accounts. I will not provide personal or official USCIS information solicited by e-mail to unauthorized personnel. If I receive an e-mail message from any source requesting personal information or asking to verify accounts or security settings, I will report the incident to the USCIS Service Desk, my ISSO and my supervisor.

Internet Use

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The Internet is provided for official use, with limited personal use allowed. Allowed personal use is described in DHS Directive 4400.1, "DHS Web and Information Systems," DHS Directive 4600.1, "Personal Use of Government Office Equipment," and "Standards of Ethical Conduct for Employees of the Executive Branch." I will not view websites containing malicious, hostile, threatening, abusive, vulgar, defamatory, profane, or racially, sexually, or ethnically objectionable text or graphics. When the network fails to block undesirable websites, I will promptly report sites unintentionally accessed to the USCIS Service Desk. I will not engage in Internet activities which inhibit the security of USCIS information and information systems, or cause degradation of network services. Examples of such activity include non-business related functions that provide entertainment through the use of streaming audio or video, social networking, P2P networking, software or music piracy, online gaming, publicly accessible Instant Messaging (IM), chain letter forwarding, greeting card or e-vite sending, and hacking.

Consent to Monitor

I understand that the use of GFE, the Internet, intranet, and e-mail constitutes my consent to monitoring and audit of this use at all times. **I understand there is no expectation of privacy when using or storing data on GFE.** This includes but is not limited to, telephone communications, e-mail communications, personal letters, or other documents/data created on GFE, internet history, etc.

Social Engineering

I understand that social engineering occurs when an attacker uses human interaction (social skills) to obtain or compromise information about an organization or its computer systems. I will not provide personal information or information about USCIS, including its structure or networks, unless I am certain of a person's authority to have the information.

Spam/Virus/Worms

I understand that by adhering to DHS and USCIS information security policies and procedures I will protect USCIS GFE and information by being wary of unsolicited attachments, even from people I know, and by scanning any attachments before opening and saving them.

Personally Identifiable Information (PII)

I understand that I must be able to identify and properly handle PII in accordance with the Office of Privacy's PII policies and procedures at <http://osi.uscis.dhs.gov/Privacy>.

DHS and USCIS Policies

- DHS Directive 4300A, "Sensitive Systems Policy";
- DHS 4300A, "Sensitive Systems Handbook";
- DHS Directive 4400.1, "DHS Web (Internet, Intranet, and Extranet Information) and Information Systems";
- DHS Directive 4400.1, "DHS Web (Internet, Intranet, and Extranet Information) and Information Systems";
- DHS Directive 4500.1, "DHS E-mail Usage";
- DHS Directive 4600.1, "Personal Use of Government Office Equipment";

- FOR OFFICIAL USE ONLY -

- DHS Directive 4900, "Individual Use and Operation of DHS Information Systems/Computers";
- DHS Directive 110-01, "Privacy Policy for Operational Use of Social Media"; and
- "U.S. Citizenship and Immigration Services Employees' Responsibilities for the Collection, Use, or Storage of Personally Identifiable Information"

Annual Acknowledgment Statement

I acknowledge that I have read the FDNS Rules of Behavior regarding the operational use of social media for USCIS FDNS investigations. I understand the FDNS Rules of Behavior and I will comply with them. I understand that my refusal to sign this agreement renders me ineligible for access to social media in the performance of my official duties. I understand that failure to comply with these Rules may result in administrative sanctions (to include verbal or written reprimand, suspension, or removal) and/or removal of access to internet social media.

Instructions: Initial the bottom of each page and fill out the fields below. Keep a copy of these ROBs for reference and provide the original to your supervisor.

Name: _____
First, Middle Initial, Last

Phone Number: _____

E-mail Address: _____

USCIS Office: _____

Signature **Date**

I approve this employee's use of online screen names or identities that do not indicate a DHS affiliation when using social media for investigative purposes: Yes. No.

Supervisor's Name: _____

Supervisor's Signature **Date**

Department of Homeland Security
DHS Directives System
Directive Number: 110-01
Revision Number: 00
Issue Date: 6/8/2012

PRIVACY POLICY FOR OPERATIONAL USE OF SOCIAL MEDIA

I. Purpose

This Directive establishes privacy policy for operational use of social media by the Department of Homeland Security (DHS or Department).

II. Scope

This Directive applies throughout DHS regarding the access to and collection, use, maintenance, retention, disclosure, deletion, and destruction of Personally Identifiable Information (PII) in relation to operational use of social media, with the exception of operational use of social media for: (a) communications and outreach with the public authorized by the Office of Public Affairs; (b) situational awareness by the National Operations Center; (c) situational awareness by Components other than the National Operations Center, upon approval by the Chief Privacy Officer following completion of a Social Media Operational Use Template; and (d) the conduct of authorized intelligence activities carried out by the Office of Intelligence and Analysis, the intelligence and counterintelligence elements of the United States Coast Guard, or any other Component performing authorized foreign intelligence or counterintelligence functions, in accordance with the provisions of Executive Order 12333, as amended. This Directive does not apply to the Office of the Inspector General; however, the OIG will comply with the spirit of the Directive.

III. Authorities

- A. Public Law 107-347, "E-Government Act of 2002," as amended, Section 208 [44 U.S.C. § 3501 note]
- B. Title 5, United States Code (U.S.C.), Section 552a, "Records Maintained on Individuals" [The Privacy Act of 1974, as amended]
- C. Title 6 U.S.C. Section 142, "Privacy officer"

D. Title 44, U.S.C., Chapter 35, Subchapter III, "Information Security" [The Federal Information Security Management Act of 2002, as amended (FISMA)]

E. Delegation 13001, "Delegation to the Chief Privacy Officer"

IV. Responsibilities

A. The **Chief Privacy Officer** is responsible for establishing, overseeing the implementation of, and issuing guidance and providing training on DHS privacy policy for operational use of social media; and ensuring, in coordination with Component heads, Component Privacy Officers, and Privacy Points of Contact (PPOCs), that the Department follows DHS privacy policy, privacy laws applicable to DHS, and federal government-wide privacy policies on operational use of social media.

B. **Component Heads** are responsible for: determining that their respective Components' intended operational use of social media is legally authorized prior to use; establishing guidelines for determining which employees are permitted to utilize social media for operational purposes during the performance of their duties; implementing DHS privacy policy and procedures for operational use of social media as established by the Chief Privacy Officer; ensuring adherence to DHS privacy policy by employees who use social media for operational purposes; ensuring adherence to applicable records retention schedules; and coordinating with the Office of the Chief Procurement Officer to ensure that Component contracts for activities that involve the operational use of social media include appropriate language requiring that Department contractors follow DHS privacy policy and this Directive.

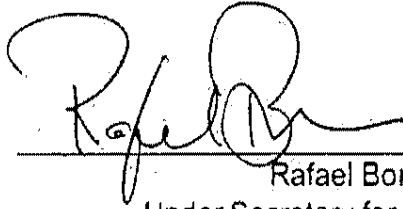
V. Policy and Requirements

A. The Department engages in operational use of social media only as authorized by DHS privacy policy, privacy laws applicable to DHS, applicable federal government-wide policies, and other applicable statutory authorities.

B. The Chief Privacy Officer determines privacy policy and standards for the Department's operational use of social media consistent with Directive 047-01, Privacy Policy and Compliance; oversees compliance with DHS privacy policy, privacy laws applicable to DHS, and federal government-wide policies as they relate to the operational use of social media; and provides privacy guidance and training to DHS personnel regarding operational use of social media. Component heads work with the Chief Privacy Officer to ensure that Department operational activities using social media follow DHS privacy policy and procedures, thereby enhancing the overall consistency of privacy protections across DHS.

VI. Questions

Address any questions or concerns regarding this Directive to the DHS Privacy Office.



Rafael Borrás
Under Secretary for Management

6/8/12

Date



U.S. Citizenship
and Immigration
Services

APR - 7 2015

Memorandum

TO: Sarah M. Kendall, Associate Director, Fraud Detection and National Security
Joseph E. Langlois, Associate Director, Refugee, Asylum and International
Operations

FROM: León Rodríguez *Loni Scialabba for*
Director, U.S. Citizenship and Immigration Services

SUBJECT: Fraud Detection and National Security Use of Social Media for Refugee Processing

Purpose

Pursuant to the terms of this memorandum and consistent with all Departmental policies, this memorandum serves as my authorization for certain non-bargaining Fraud Detection and National Security (FDNS) staff, as described below, to augment the vetting of refugee applicants by conducting analysis of relevant social media.

Background

Certain U.S. Citizenship and Immigration Services (USCIS) non-bargaining unit employees are permitted to access social media to conduct analysis on this population, pursuant to the guidance provided below.

These USCIS employees, specifically FDNS employees conducting background checks on refugee applicants will conduct social media research on refugee applicants pursuant to the Social Media Operational Use Template and associated Rules of Behavior, approved by Department of Homeland Security (DHS) Privacy.

Discussion

Employees who seek authorization to engage in the operational use of social media under this memo must:

- a. Complete the USCIS Privacy Requirements for Operational Use of Social Media training program and acknowledge they have read and understand the Component Rules of Behavior, on an annual basis; and
- b. Complete all training for the operational use of social media offered by FDNS and acknowledge that they have read and understand the Rules of Behavior for that operational use of social media.

UNCLASSIFIED//FOR OFFICIAL USE ONLY

Fraud Detection and National Security Use of Social Media for Refugee Processing
Page 2

No employee may engage in the operational use of social media unless such use is consistent with this memo and all DHS and USCIS policies governing the operational use of social media.

Additionally, employees will limit collection of information related to First Amendment protected activities that have taken place in the United States or related to activities undertaken by U.S. Citizens abroad to information that is reasonably related to adjudicative, investigative, or incident responses matters.

These FDNS employees must also continue to coordinate with various U.S. Government entities currently conducting social media research to evaluate current procedures and best practices for social media research.

PRIVACY POLICY FOR OPERATIONAL USE OF SOCIAL MEDIA

I. Purpose

This Instruction implements Department of Homeland Security (DHS) Directive 110-01, Privacy Policy for Operational Use of Social Media.

II. Scope

This Instruction applies throughout DHS regarding the access to and collection, use, maintenance, retention, disclosure, deletion, and destruction of Personally Identifiable Information (PII) in relation to operational use of social media, with the exception of operational use of social media for: (a) communications and outreach with the public authorized by the Office of Public Affairs; (b) situational awareness by the National Operations Center; (c) situational awareness by Components other than the National Operations Center, upon approval by the Chief Privacy Officer following completion of a Social Media Operational Use Template; and (d) the conduct of authorized intelligence activities carried out by the Office of Intelligence and Analysis, the intelligence and counterintelligence elements of the United States Coast Guard, or any other Component performing authorized foreign intelligence or counterintelligence functions, in accordance with the provisions of Executive Order 12333, as amended. This Instruction does not apply to the Office of the Inspector General; however, the OIG will comply with the spirit of the Instruction.

III. References

- A. Public Law 107-347, "E-Government Act of 2002," as amended, Section 208 [44 U.S.C. § 3501 note]
- B. Title 5, United States Code (U.S.C.), Section 552a, "Records maintained on individuals" [The Privacy Act of 1974, as amended]
- C. Title 6, U.S.C., Section 142, "Privacy officer"
- D. Title 44, U.S.C., Chapter 35, Subchapter III, "Information Security" [The Federal Information Security Management Act of 2002, as amended (FISMA)]

- E. Title 6, C.F.R., Chapter 1, Part 5, "Disclosure of records and information"
- F. Directive 047-01, "Privacy Policy and Compliance"
- G. DHS Sensitive Systems Policy Directive 4300A
- H. Privacy-related memoranda issued by the Office of Management and Budget, including:
 - 1. OMB Memorandum 10-22, "Guidance for Online Use of Web Measurement and Customization Technologies" (June 25, 2010)
 - 2. OMB Memorandum 10-23, "Guidance for Agency Use of Third-Party Websites and Applications" (June 25, 2010)
 - 3. OMB Memorandum 07-16, "Safeguarding Against and Responding to the Breach of Personally Identifiable Information" (May 22, 2007)
 - 4. OMB Memorandum 06-20, "FY 2006 Reporting Instructions for the Federal Information Security Management Act and Agency Privacy Management" (July 17, 2006)
 - 5. OMB Memorandum 06-19, "Reporting Incidents Involving Personally Identifiable Information and Incorporating the Cost for Security in Agency Information Technology Investments" (July 12, 2006)
 - 6. OMB Memorandum 06-15, "Safeguarding Personally Identifiable Information" (May 22, 2006)
 - 7. OMB Circular No. A-130, "Transmittal Memorandum #4, Management of Federal Information Resources" (November 28, 2000)
- I. Privacy policy guidance and requirements issued (as updated) by the Chief Privacy Officer and published on the Privacy Office website, including:
 - 1. Privacy Policy Guidance Memorandum 2008-02, *DHS Policy Regarding Privacy Impact Assessments* (December 30, 2008)
 - 2. Privacy Policy Guidance Memorandum 2008-01, *The Fair Information Practice Principles: Framework for Privacy Policy at the Department of Homeland Security* (December 29, 2008)
 - 3. Handbook for Safeguarding Sensitive Personally Identifiable Information at DHS (March 2012)

IV. Definitions

A. Counsel means the Office of the General Counsel attorney, from either the Immediate Office of the General Counsel or component counsel, assigned to provide legal advice to the component covered by this Instruction.

B. **Fair Information Practice Principles** means the policy framework adopted by the Department in Directive 047-01, Privacy Policy and Compliance, regarding the collection, use, maintenance, disclosure, deletion, or destruction of Personally Identifiable Information.

C. **Individual** means a natural person, including a United States citizen, Legal Permanent Resident, visitor to the United States, alien, DHS employee, or DHS contractor.

D. **Operational Use** means authorized use of social media to collect personally identifiable information for the purpose of enhancing situational awareness, investigating an individual in a criminal, civil, or administrative context, making a benefit determination about a person, making a personnel determination about a Department employee, making a suitability determination about a prospective Department employee, or for any other official Department purpose that has the potential to affect the rights, privileges, or benefits of an individual. Operational use does not include the use of search engines for general Internet research, nor does it include the use of social media for professional development such as training and continuing education or for facilitating internal meetings.

E. **Personally Identifiable Information (PII)** means any information that permits the identity of an individual to be directly or indirectly inferred, including other information that is linked or linkable to an individual.

For example, when linked or linkable to an individual, such information includes a name, Social Security number, date and place of birth, mother's maiden name, Alien Registration Number, account number, license number, vehicle identifier number, license plate number, device identifier or serial number, internet protocol address, biometric identifier (e.g., facial recognition photograph, fingerprint, iris scan, voice print), educational information, financial information, medical information, criminal or employment information, information created specifically to identify or authenticate an individual (e.g., a random generated number).

F. **Privacy Compliance Documentation** means any document required by statute or by the Chief Privacy Officer that supports compliance with DHS privacy policy, procedures, or requirements, including but not limited to the Social Media Operational Use Template (Template), Privacy Impact Assessments (PIAs), System of Records Notices (SORNs), Notices of Proposed Rulemaking for

Exemption from certain aspects of the Privacy Act (NPRM), and Final Rules for Exemption from certain aspects of the Privacy Act.

G. **Privacy Compliance Review (PCR)** means both the DHS Privacy Office process to be followed and the document designed to provide a constructive mechanism to improve a DHS program's ability to comply with assurances made in existing Privacy Compliance Documentation including Privacy Impact Assessments (PIAs), System of Records Notices (SORNs) and/or formal agreements such as Memoranda of Understanding or Memoranda of Agreement.

H. **Privacy Impact Assessment (PIA)** means both the DHS Privacy Office process to be followed and the document required whenever an information technology (IT) system, technology, rulemaking, program, pilot project, or other activity involves the planned use of PII or otherwise impacts the privacy of individuals as determined by the Chief Privacy Officer. A PIA describes what information DHS is collecting, why the information is being collected, how the information will be used, stored, and shared, how the information may be accessed, how the information will be protected from unauthorized use or disclosure, and how long it will be retained. A PIA also provides an analysis of the privacy considerations posed and the steps DHS has taken to mitigate any impact on privacy. As a general rule, PIAs are public documents. The Chief Privacy Officer may, in coordination with the affected component and the Office of the General Counsel, modify or waive publication for security reasons, or to protect classified, sensitive, or private information included in a PIA.

I. **Program Manager** means the DHS employee who is responsible for the planning and operation of a DHS program.

J. **Situational Awareness** means information gathered from a variety of sources that, when communicated to emergency managers and decision makers, can form the basis for incident management decision making.

K. **Social Media** means the sphere of websites, applications, and web-based tools that connect users to engage in dialogue, share information and media, collaborate, and interact. Social media take many different forms, including but not limited to web-based communities and hosted services, social networking sites, video and photo sharing sites, blogs, virtual worlds, social bookmarking, and other emerging technologies. This definition does not apply to internal Department intranets or applications.

L. **Social Media Operational Use Template (Template)** means the document that describes the current or proposed category of operational uses(s) of social media, identifies the appropriate authorities for the current or proposed category of use(s), describes what PII, if any, is collected (and from whom), and how that information is used. The Template is used to identify information technology systems, technologies, rulemakings, programs, or pilot projects that

involve collecting PII from social media for the proposed category of use(s) and to assess whether there is a need for additional Privacy Compliance Documentation. Templates are initially reviewed and adjudicated by the Chief Privacy Officer, and every three years thereafter for accuracy.

M. **System Manager** means the DHS employee identified in a System of Records Notice who is responsible for the operation and management of the system of records to which the System of Records Notice pertains.

N. **System of Records Notice (SORN)** means the official public notice of a DHS system of records as required by the Privacy Act of 1974 (as amended). The SORN identifies (1) the purpose for the system of records, (2) the individuals covered by information in the system of records, (3) the categories of records maintained about individuals, (4) the source of the records and (5) the ways in which the information is generally shared by the Department. The SORN also provides notice of the mechanisms available for individuals to exercise their Privacy Act rights to access and correct the PII that DHS maintains about them.

V. Responsibilities

A. **All DHS employees** are responsible for complying with Directive 110-01, with privacy policies and procedures issued by the Chief Privacy Officer, and with applicable Component policies on operational use of social media and for protecting PII from unauthorized use or disclosure.

B. **Chief Information Officer** is responsible for providing web technology services, security, and technical assistance for the operational use of social media within the Department.

C. **Counsel** is responsible for:

1. Providing advice to Program Managers or System Managers, as appropriate, to ensure that appropriate authority exists to engage in categories of operational use of social media before Component employees engage in those uses, and to ensure that the Template generally documents that authority; and

2. Providing legal guidance to the Component Privacy Officers or PPOCs and Program Managers or System Managers, as appropriate, in the drafting of Rules of Behavior for operational use of social media.

D. **Component Privacy Officers** are responsible for:

1. Maintaining an accurate accounting of all Component categories of operational use of social media using the Template to identify collection and use of PII, and any other attendant privacy impacts, and ensuring

Components implement DHS privacy policy with respect to the operational use of social media;

2. Coordinating with Program Managers or System Managers, as appropriate, together with the Chief Privacy Officer and counsel to complete a Template and any other required Privacy Compliance Documentation (1) for all proposed categories of operational use of social media, and (2) for any changes to the categories of operational use of social media;
3. Developing and reviewing Component policies and directives related to operational use of social media, and Component Rules of Behavior consistent with the adjudicated Template, to ensure compliance with DHS privacy policy, privacy laws applicable to DHS, and federal government-wide privacy policies;
4. Overseeing Component privacy training for operational use of social media and providing educational materials, consistent with privacy training for operational use of social media developed by the Chief Privacy Officer.
5. Reviewing documentation required in Section VI.D.8 to ascertain compliance with this Instruction as needed; and
6. Collaborating with the Chief Privacy Officer in conducting Privacy Compliance Reviews.

E. **Privacy Points of Contact (PPOCs)** are responsible for assuming the duties of Component Privacy Officers in Components that do not have Privacy Officers.

F. **Program Managers, or System Managers, as appropriate,** are responsible for:

1. Coordinating with the Component Privacy Officer or PPOC to ensure that privacy is appropriately addressed when proposing, developing, implementing, or changing any operational use of social media;
2. Coordinating with the Component Privacy Officer or PPOC and counsel to prepare drafts of the Template and, as appropriate, all Privacy Compliance Documentation required when proposing, developing, or implementing or changing any category of operational use of social media;
3. Monitoring the design, deployment, operation, and retirement of programs involving the operational use of social media to ensure that the

use of PII, if any, is limited to those uses described in the Privacy Compliance Documentation;

4. Ensuring oversight mechanisms are built into the design of programs and systems involving the operational use of social media;
5. Coordinating with the Component Privacy Officer or PPOC to establish administrative, technical, and physical controls for storing and safeguarding PII consistent with DHS privacy, security, and records management requirements to ensure the protection of PII from unauthorized access, disclosure, or destruction in the course of operational use of social media; and
6. Supporting the Component Privacy Officer or PPOC in developing and implementing privacy procedures and job-related privacy training to safeguard PII in operational uses of social media.

VI. Content and Procedures

A. Authority to Engage in Operational Use of Social Media: Program Managers and System Managers consult with counsel to ensure that appropriate authority exists to engage in categories of operational use of social media before Component employees engage in those activities.

B. Privacy Compliance Documentation: Before engaging in, or contracting for, new or modified categories of operational use of social media (which as defined includes investigatory purposes), Program Managers and System Managers, in consultation with Component Privacy Officers or PPOCs and counsel complete a Template to document the authority and purpose(s) of those uses as well as a description of those uses, and to determine whether all of the Rules of Behavior discussed in Section VI.D of this Instruction will apply to the particular uses(s) covered by the Template. Templates are submitted to the Chief Privacy Officer for a prompt review and determination as to whether a new or updated PIA or SORN is required. Templates are also completed to document categories of operational use of social media in existence prior to this Instruction to ensure compliance with this Instruction. Once a Template is approved for a category of operational use, a Template is not required for additional use of social media within that category unless there is a material modification of the Rules of Behavior applicable to that category. Components may appeal to the Deputy Secretary of Homeland Security if there is a disagreement over the DHS Privacy Office determination of privacy compliance for the operational use of social media.

C. Access: DHS employees who are granted access to use social media by their Component heads renew their access authority annually, consistent with

annual training requirements. Access is contingent upon an employee's successfully completing privacy training for operational use of social media.

D. Rules of Behavior: Component Privacy Officers or PPOCs, in coordination with counsel and Program Managers, or System Managers as appropriate, draft Rules of Behavior for operational use of social media (either separately or as part of a broader policy document) and submit them with the Template to the Chief Privacy Officer for review and approval. Personnel granted access to use social media certify annually that they have read and understand the Component Rules of Behavior. Where certification is not practicable, Component Privacy Officers and PPOCs maintain records of employee attendance at privacy training that includes training on Rules of Behavior.

Rules of Behavior include requirements for operational use of social media and the consequences of failure to adhere to those requirements. Where a federal policy establishes guidelines that apply to a Component's operational use of social media, the Component's Rules of Behavior incorporate that policy and that fact is noted in the Template. Unless otherwise noted in the Template adjudication process, the Rules of Behavior provide, at a minimum, that DHS employees:

1. Use social media for operational purposes only when activities are authorized by statute, executive order, regulation, or policy;
2. Use only government-issued equipment, government accounts, and only government email addresses when engaging in the operational use of social media;
3. Use online screen names or identities that indicate an official DHS affiliation and use DHS email addresses to open accounts used when engaging in social media in the performance of their duties;
4. Access publicly available information through social media only by reviewing posted information without interacting with any individual who posted the information;
5. Respect individuals' privacy settings and access only information that is publicly available unless the individual whose information the employee seeks to access has given consent to access it;
6. Collect the minimum PII necessary for the proper performance of their authorized duties;
7. Protect PII as required by the Privacy Act and DHS privacy policy; and

8. Document operational use of social media, including date, site(s) accessed, information collected, and how it was used in the same manner that the Department would document information collected from any source in the normal course of business. For instance, where information obtained through authorized operational use of social media is used in whole or in part to make decisions regarding an individual's rights, benefits or privileges, employees document that fact in relevant records.

E. Privacy Training: Component Privacy Officers or PPOCs tailor privacy training for the operational use of social media to Component-specific needs, based upon training materials provided by the Chief Privacy Officer. Completion of this privacy training is a prerequisite for obtaining access to social media for operational use. Upon completion of this training, employees will certify that they have read and understand their Component's Rules of Behavior. Where certification is not practicable, Component Privacy Officers and PPOCs maintain records of employee attendance at privacy training that includes training on Rules of Behavior. Employees also complete refresher training and recertify they have read and understand their Component's Rules of Behavior annually thereafter. Privacy training content includes, at a minimum, legal authorities, acceptable operational uses of social media, access requirements, applicable Rules of Behavior, and requirements for documenting operational uses of social media.

F. Retention of PII: Component Program Managers or System Managers where appropriate, maintain PII collected through authorized operational uses of social media in the applicable Privacy Act system of records in accordance with approved records retention schedules.

G. Privacy Compliance Reviews (PCR): The Chief Privacy Officer, in collaboration with Component Privacy Officers or PPOCs, conducts PCRs of approved operational uses of social media periodically, at the sole discretion of the Chief Privacy Officer, to ascertain compliance with DHS privacy policy and legal authorities. PCRs may include a determination as to whether the Privacy Compliance Documentation for a particular operational use of social media is accurate and up to date.

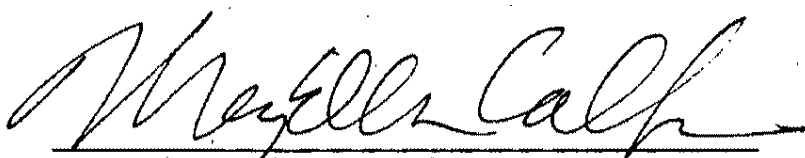
H. Implementation: Measured from the date Directive 110-01 and this Instruction are signed and posted on DHS Connect:

1. the Chief Privacy Officer provides baseline training to the Components within 45 days, and

2. Components complete implementation of this Instruction, including obtaining approval from the Chief Privacy Officer of Templates for categories of operational use of social media in existence prior to this Instruction, within 120 days, except that Components complete training of all pertinent employees within 165 days.

VII. Questions

Address any questions or concerns regarding these Instructions to the DHS Privacy Office or to the relevant Component Privacy Officer or PPOC.



Mary Ellen Callahan
Chief Privacy Officer

June 8, 2012
Date

From: Elect, Andrea B
To: Stanley, Kathleen M; Schwartz, Mark A; Jones, Keith A; Wittman, Gregory J; Black, Diane E; Moore, Joseph D; Reilly, Richard M; Davis, Alecia A; DeStefano, Ernest; Anderson, Erik C; Becker, Cheryl L
Cc: USCIS MGT Tasks; Renaud, Tracy L; Kerns, Kevin J
Subject: FW: ***URGENT*** Transition RFI Due Noon Today
Date: Tuesday, December 13, 2016 9:29:59 AM
Importance: High

URGENT PRESIDENTIAL TRANSITION REQUEST – DUE NOON TODAY; NO EXTENSIONS

From: USCIS Presidential Transition
Sent: Tuesday, December 13, 2016 9:18 AM
To: USCIS MGT Tasks; Stanley, Kathleen M; Kerns, Kevin J; Collins, Anissa A; Clark, Levita S; Hawkins, Donald K; OP&S Presidential Transition; Vanison, Denise; FDNSExecSec; Emrich, Matthew D; Davidson, Andrew J; Melero, Mariela; Rogers, Debra A; Simeon, David G; Schwartz, Mark A
Cc: Renaud, Tracy L
Subject: ***URGENT*** Transition RFI Due Noon Today
Importance: High

Good morning,

We have our first information request from the president-elect's transition landing team. There is an extremely fast turnaround on these requests (apologies!)—it is **due at noon today** to allow time for the front office to clear today and to get it back to DHS today. Therefore, no extensions may be granted and it is imperative that you respond timely.

This is what is being requested:

(b)(5)

Thank you very much for all your help with this and if there are any questions, I can be reached at the numbers below.

Julie Farnam
Senior Advisor
Field Operations Directorate

U.S. Citizenship and Immigration Services

(d) 202-282-8277

(c) 202-489-8802

This communication, along with any attachments, may contain confidential information and is covered by federal laws governing electronic communications. Electronic communications may also be monitored by the Department of Homeland Security, U.S. Citizenship and Immigration Services. If the reader of this message is not the intended recipient, you are hereby notified that any dissemination, distribution, use, or copying of this message is strictly prohibited. If you have received this in error, please delete this message and all attachments and immediately notify the sender.

From: Renaud, Tracy L
To: USCIS Presidential Transition
Subject: FW: ***URGENT*** Transition RFI Due Noon Today
Date: Tuesday, December 13, 2016 7:06:00 PM
Attachments: [image005.png](#)
[Information Request from Presidential Transition Team \(OTC 12-13-2016\).rev.docx](#)
[image001.emz](#)
[image002.png](#)

Updated document

Tracy L. Renaud
Associate Director
Management Directorate
US Citizenship & Immigration Services
Department of Homeland Security
202-272-1739 (desk)

From: Reilly, Richard M
Sent: Tuesday, December 13, 2016 7:02 PM
To: Fleet, Andrea B; Kerns, Kevin J; Renaud, Tracy L
Cc: USCIS MGT Tasks; Stanley, Kathleen M; Moore, Joseph D; Fredericks, Christopher; White, Jacquelyn D; Soloweigh, Todd L; Nasir, Syed A
Subject: RE: ***URGENT*** Transition RFI Due Noon Today

Tracy/Kevin/Andrea – Attached is the updated OTC submission.

Please let us know if you need anything else.

Thanks!
Rich

From: Fleet, Andrea B
Sent: Tuesday, December 13, 2016 5:40 PM
To: Stanley, Kathleen M; Reilly, Richard M
Cc: Kerns, Kevin J; Renaud, Tracy L; USCIS MGT Tasks
Subject: RE: ***URGENT*** Transition RFI Due Noon Today

Kath – Once completed, please forward this to Rich (OCFO) for review. Rich please forward the submission to Kevin who will get it Julie at USCIS Presidential Transition uscispresidentialtransition@uscis.dhs.gov.

I appreciate everyone's diligence to get this done today.

Andrea

From: Stanley, Kathleen M
Sent: Tuesday, December 13, 2016 5:28 PM
To: Fleet, Andrea B
Cc: Kerns, Kevin J
Subject: RE: ***URGENT*** Transition RFI Due Noon Today

Yes,

The last table he needs, I only have in picture format and the footnote is blurry.

The member of my team will not be at home until 5:45 pm.

She has the request!

Kath

Kathleen "Kath" Stanley
Chief, Office Transformation Coordination
U.S. Citizenship and Immigration Services
202-272-9401

From: Fleet, Andrea B
Sent: Tuesday, December 13, 2016 5:04 PM
To: Stanley, Kathleen M
Cc: Kerns, Kevin J
Subject: FW: ***URGENT*** Transition RFI Due Noon Today

Kath – Rich mentioned you were going to forward the updated tables, correct?

From: Reilly, Richard M
Sent: Tuesday, December 13, 2016 4:23 PM
To: Fleet, Andrea B
Cc: Davis, Alecia A; Moore, Joseph D; Fredericks, Christopher
Subject: RE: ***URGENT*** Transition RFI Due Noon Today

Andrea – the OTC charts are pictures so I couldn't change them. I talked to Kath and she is going to make the changes and send an updated version to me. I will send it to you as soon as I receive it.

Rich

From: Fleet, Andrea B
Sent: Tuesday, December 13, 2016 3:57 PM
To: Reilly, Richard M
Cc: Davis, Alecia A; Moore, Joseph D; Fredericks, Christopher
Subject: FW: ***URGENT*** Transition RFI Due Noon Today

Rich – Would you mind making the necessary changes and reforwarding us a clean copy please? Thanks.

From: Renaud, Tracy L
Sent: Tuesday, December 13, 2016 3:53 PM
To: Fleet, Andrea B; Kerns, Kevin J
Subject: RE: ***URGENT*** Transition RFI Due Noon Today

I agree with OCFO's recommendations.

*Tracy L. Renaud
Associate Director
Management Directorate
US Citizenship & Immigration Services
Department of Homeland Security
202-272-1739 (desk)*

From: Fleet, Andrea B
Sent: Tuesday, December 13, 2016 3:47 PM
To: Renaud, Tracy L; Kerns, Kevin J
Subject: FW: ***URGENT*** Transition RFI Due Noon Today

Tracy – CFO has questions, please advise.

From: Fleet, Andrea B
Sent: Tuesday, December 13, 2016 2:00 PM
To: Renaud, Tracy L; Kerns, Kevin J
Cc: USCIS MGT Tasks
Subject: FW: ***URGENT*** Transition RFI Due Noon Today

Tracy - OCFO has the following questions below concerning OTC's response. Please advise as to how you would like OCFO to proceed. BTW, I am attending training from 2-4. Thanks,

Andrea

From: Reilly, Richard M
Sent: Tuesday, December 13, 2016 1:56 PM
To: Fleet, Andrea B; USCIS MGT Tasks
Cc: Fredericks, Christopher; White, Jacquelyn D; Soloweigh, Todd L; Nasir, Syed A; Cristiani, Juan L; Moore, Joseph D
Subject: FW: ***URGENT*** Transition RFI Due Noon Today

(b)(5)

Andrea – OCFO has reviewed the responses to the following two questions:

[Redacted]

[Redacted]

(b)(5)



Let us know if you have questions. Also, please let us know if you want us to coordinate the changes with OTC.

Thanks!
Rich

From: Fleet, Andrea B
Sent: Tuesday, December 13, 2016 1:40 PM
To: Davis, Alecia A; Moore, Joseph D; Reilly, Richard M
Cc: USCIS MGT Tasks
Subject: FW: ***URGENT*** Transition RFI Due Noon Today

OCFO – I am heading to a training session shortly. Please forward your response to the MGT task box who will obtain Tracy and Kevin's clearance before forwarding to the Presidential Transition clearance box.

Thanks again for your quick turnaround on this.

Anrea

From: Stanley, Kathleen M
Sent: Tuesday, December 13, 2016 11:52 AM
To: Fleet, Andrea B; Schwartz, Mark A; Jones, Keith A; Wittman, Gregory J; Black, Diane E; Moore, Joseph D; Reilly, Richard M; Davis, Alecia A; DeStefano, Ernest; Anderson, Erik C; Becker, Cheryl L
Cc: USCIS MGT Tasks; Renaud, Tracy L; Kerns, Kevin J; Tran, Ramona L; Clark, Levita S; Perryman, Janet J; Van Demark, Henry
Subject: RE: ***URGENT*** Transition RFI Due Noon Today

Andrea.

Attached is OTC's input. I have also attached a spreadsheet that provides more detail for the cost data.

Ramona Tran is our lead in pulling this data and I have added her to facilitate answering any questions.

Kath

Kathleen "Kath" Stanley
Chief, Office Transformation Coordination
U.S. Citizenship and Immigration Services
202-272-9401

From: Fleet, Andrea B
Sent: Tuesday, December 13, 2016 9:30 AM

To: Stanley, Kathleen M; Schwartz, Mark A; Jones, Keith A; Wittman, Gregory J; Black, Diane E; Moore, Joseph D; Reilly, Richard M; Davis, Alecia A; DeStefano, Ernest; Anderson, Erik C; Becker, Cheryl L
Cc: USCIS MGT Tasks; Renaud, Tracy L; Kerns, Kevin J
Subject: FW: ***URGENT*** Transition RFI Due Noon Today
Importance: High

URGENT PRESIDENTIAL TRANSITION REQUEST – DUE NOON TODAY; NO EXTENSIONS

From: USCIS Presidential Transition
Sent: Tuesday, December 13, 2016 9:18 AM
To: USCIS MGT Tasks; Stanley, Kathleen M; Kerns, Kevin J; Collins, Anissa A; Clark, Levita S; Hawkins, Donald K; OP&S Presidential Transition; Vanison, Denise; FDNSExecSec; Emrich, Matthew D; Davidson, Andrew J; Meleró, Mariela; Rogers, Debra A; Simeon, David G; Schwartz, Mark A
Cc: Renaud, Tracy L
Subject: ***URGENT*** Transition RFI Due Noon Today
Importance: High

(b)(5)

Good morning,

We have our first information request from the president-elect's transition landing team. There is an extremely fast turnaround on these requests (apologies!)—it is **due at noon today** to allow time for the front office to clear today and to get it back to DHS today. Therefore, no extensions may be granted and it is imperative that you respond timely.

This is what is being requested:



Thank you very much for all your help with this and if there are any questions, I can be reached at the numbers below.

Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-282-8277
(c) 202-489-8802

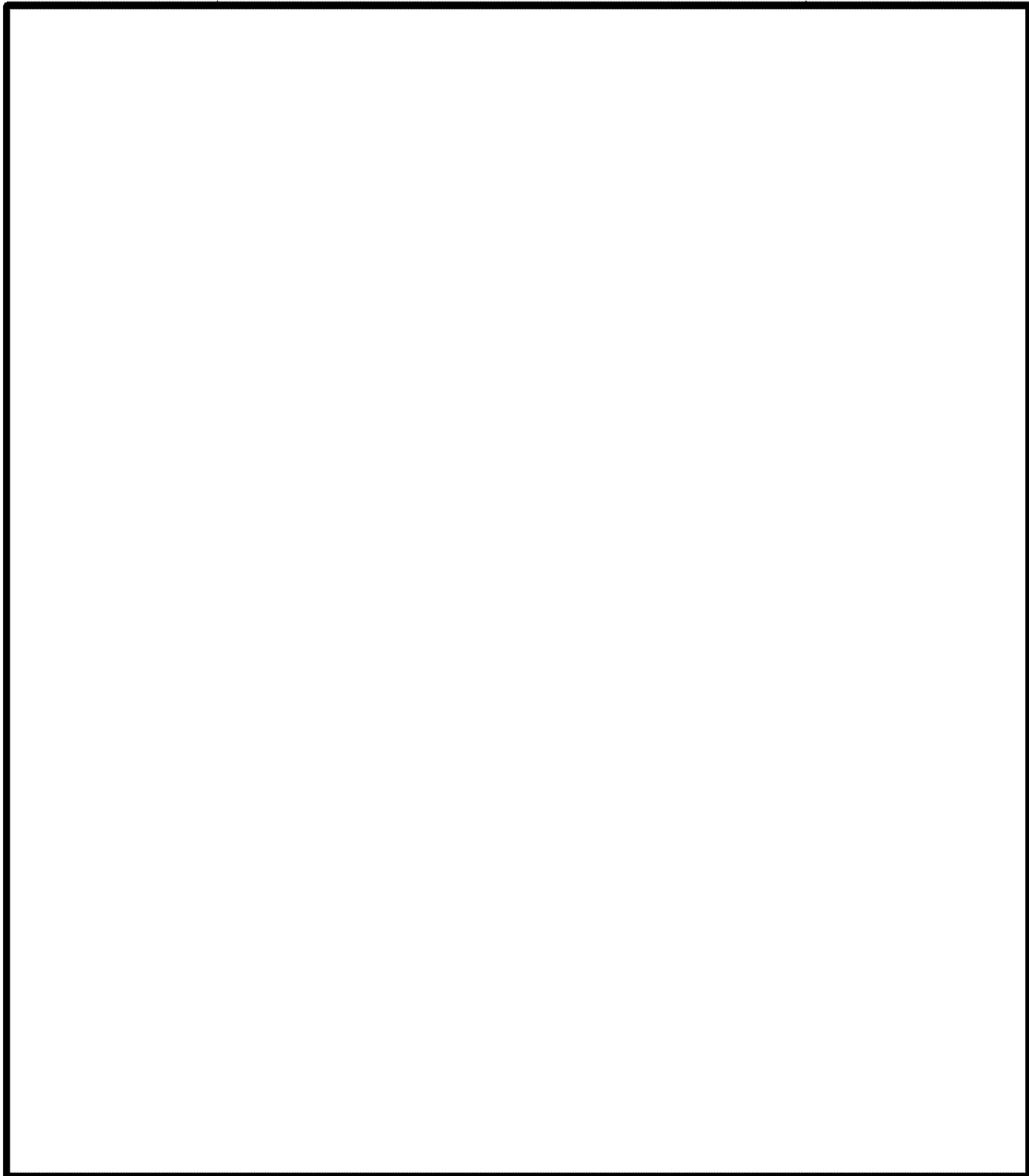
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Information Request from Presidential Transition Team

OTC

December 13, 2016

(b)(5)



(b)(5)



From: USCIS Presidential Transition
To: OCC-Clearance; Jaddou, Ur M; Groom, Molly M; Miles, John D; Carpenter, Dea D
Cc: Renaud, Tracy L
Subject: FW: ***URGENT*** Transition RFI Due Today
Date: Tuesday, December 13, 2016 3:25:24 PM
Attachments: ELIS Costs FY16.xlsx
Importance: High

OCC, can you please clear the language below regarding JP Morgan/Lockbox? The attached is a table of associated costs. This is needed today.

Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
(c) 202-489-8802

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From: Fleet, Andrea B
Sent: Tuesday, December 13, 2016 1:14 PM
To: USCIS Presidential Transition
Cc: Renaud, Tracy L; Kerns, Kevin J; USCIS MGT Tasks
Subject: RE: ***URGENT*** Transition RFI Due Noon Today

(b)(5)

Julie – In response to bullet 4, see attached and following explanation.



Thank you,

Andrea Fleet, Special Assistant
DHS|USCIS|Management Directorate (MGT)
20 Massachusetts Ave., NW, Suite 3112

Washington, DC 20529
(202) 272-1857
Andrea.B.Fleet@uscis.dhs.gov

From: USCIS Presidential Transition
Sent: Tuesday, December 13, 2016 9:18 AM
To: USCIS MGT Tasks; Stanley, Kathleen M; Kerns, Kevin J; Collins, Anissa A; Clark, Levita S; Hawkins, Donald K; OP&S Presidential Transition; Vanison, Denise; FDNSExecSec; Emrich, Matthew D; Davidson, Andrew J; Melero, Mariela; Rogers, Debra A; Simeon, David G; Schwartz, Mark A
Cc: Renaud, Tracy L
Subject: ***URGENT*** Transition RFI Due Noon Today
Importance: High

Good morning,

(b)(5) We have our first information request from the president-elect's transition landing team. There is an extremely fast turnaround on these requests (apologies!)—it is **due at noon today** to allow time for the front office to clear today and to get it back to DHS today. Therefore, no extensions may be granted and it is imperative that you respond timely.



Thank you very much for all your help with this and if there are any questions, I can be reached at the numbers below.

Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-282-8277
(c) 202-489-8802

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(b)(5)



From: USCIS Presidential Transition
To: Emrich, Matthew D; Davidson, Andrew J
Cc: Zellen, Lorie A; FDNSExecSec; Renaud, Tracy L
Subject: FW: Director's Office Edits
Date: Tuesday, December 06, 2016 5:13:01 PM
Attachments: Refugee Processing Presentation 12-06-16 rev. RAD.pptx

Matt/Andrew,

Please see Barbara's comment on slide 8.

Thank you,
Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
(c) 202-489-8802

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From: Strack, Barbara L
Sent: Tuesday, December 06, 2016 5:11 PM
To: USCIS Presidential Transition
Cc: Stone, Mary M; Renaud, Tracy L; Chiorazzi, Anne; Lenkowsky, Matthew
Subject: RE: Director's Office Edits

Here's the revised version.

From: USCIS Presidential Transition
Sent: Tuesday, December 06, 2016 4:26 PM
To: Strack, Barbara L; Chiorazzi, Anne; Lenkowsky, Matthew
Cc: Stone, Mary M; Renaud, Tracy L
Subject: RE: Director's Office Edits

Sorry to ping again, but I really need this. Thanks!

From: Strack, Barbara L
Sent: Tuesday, December 06, 2016 2:55 PM
To: USCIS Presidential Transition; Chiorazzi, Anne; Lenkowsky, Matthew
Cc: Stone, Mary M; Renaud, Tracy L
Subject: RE: Director's Office Edits
Importance: High

We're OK w/the front office edits, but had some additional points of our own to add/refine. I'm

adding Anne and Matt to check on the status of those.

From: USCIS Presidential Transition
Sent: Tuesday, December 06, 2016 2:53 PM
To: Strack, Barbara L
Cc: Stone, Mary M; Renaud, Tracy L
Subject: RE: Director's Office Edits

Hi, Barbara. Just following up on this. I was just pinged by the front office. D2 will be out of the office tomorrow and would like to see this presentation today.

Thank you,
Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
(c) 202-489-8802

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From: Strack, Barbara L
Sent: Tuesday, December 06, 2016 11:21 AM
To: USCIS Presidential Transition; Stone, Mary M; Davidson, Andrew J; Emrich, Matthew D; Zellen, Lorie A
Cc: Langlois, Joseph E; FDNExecSec; Renaud, Tracy L; Chiorazzi, Anne; Lenkowsky, Matthew
Subject: RE: Director's Office Edits

I have some additional comments on this slide deck and will incorporate them on top of the front office edits.

From: USCIS Presidential Transition
Sent: Tuesday, December 06, 2016 10:15 AM
To: Stone, Mary M; Strack, Barbara L; Davidson, Andrew J; Emrich, Matthew D; Zellen, Lorie A
Cc: Langlois, Joseph E; FDNExecSec; Renaud, Tracy L
Subject: Director's Office Edits
Importance: High

The Director's Office had a couple minor edits to the presentation. Please review and if you are okay with the edits, I will incorporate them and send it back to the Director's Office for final clearance and then to DHS for their clearance. If you could let me know today, that would be much appreciated.

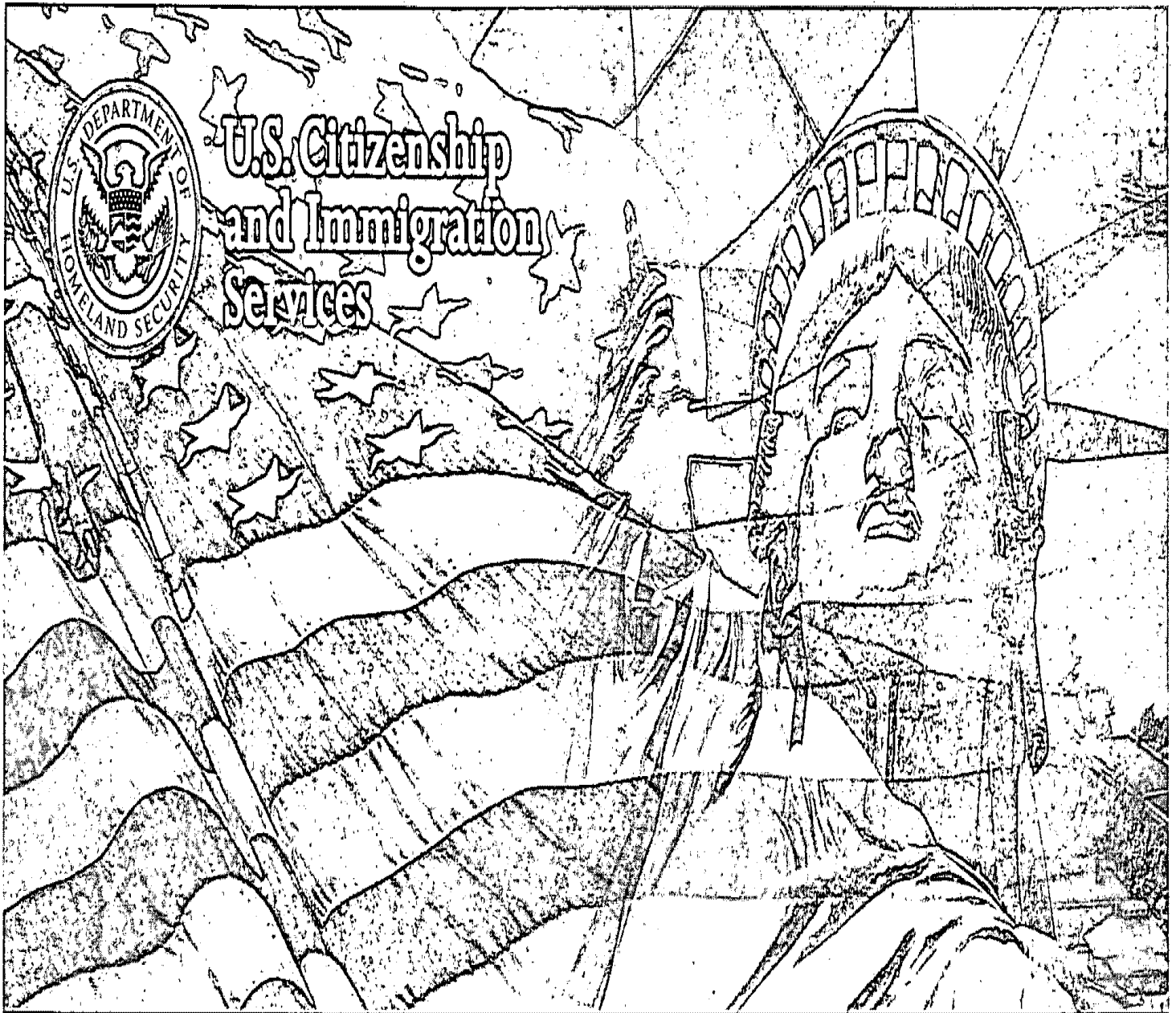
Thank you,
Julie Farnam

Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
(c) 202-489-8802

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US Refugee Admissions Program

Updated December 2016

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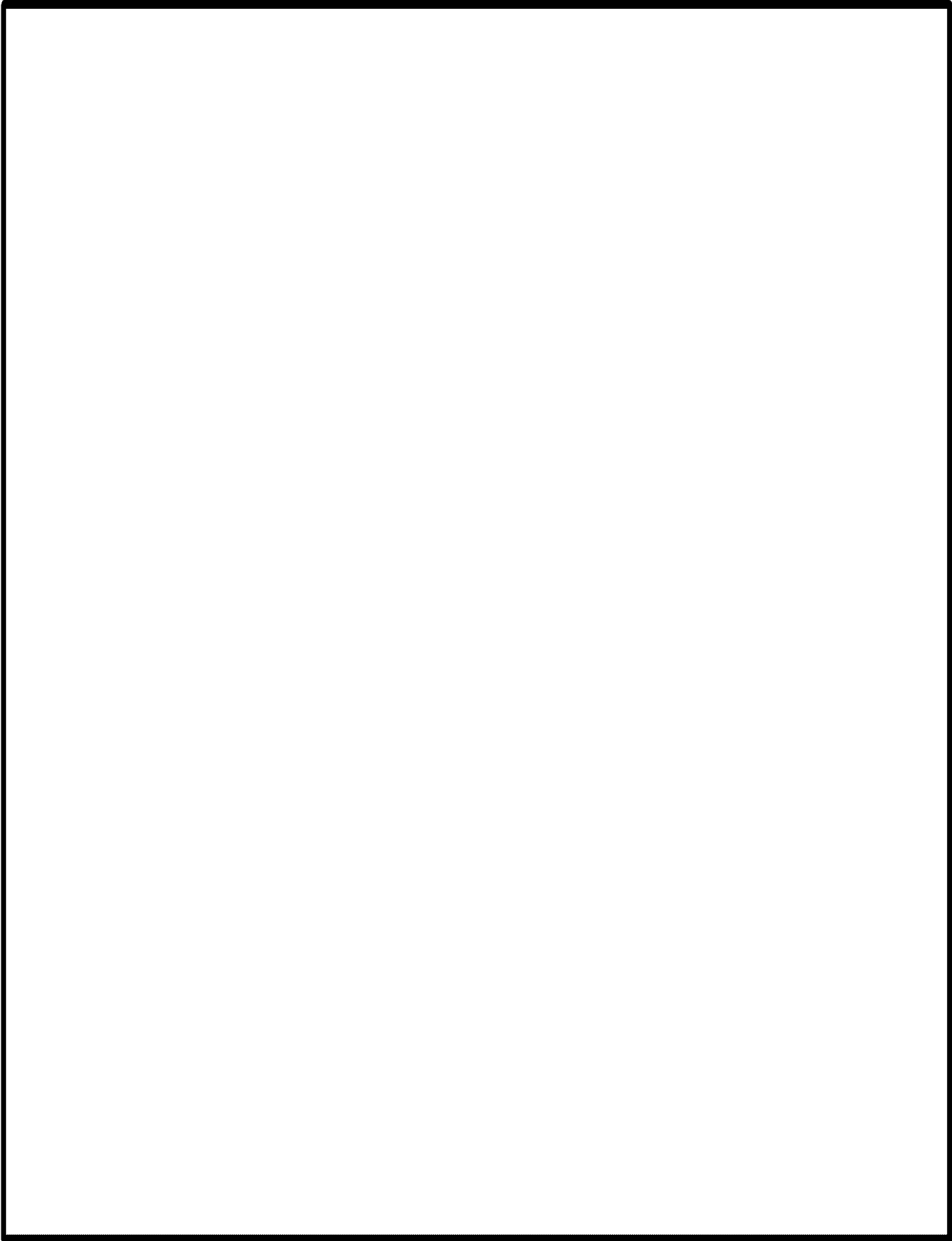


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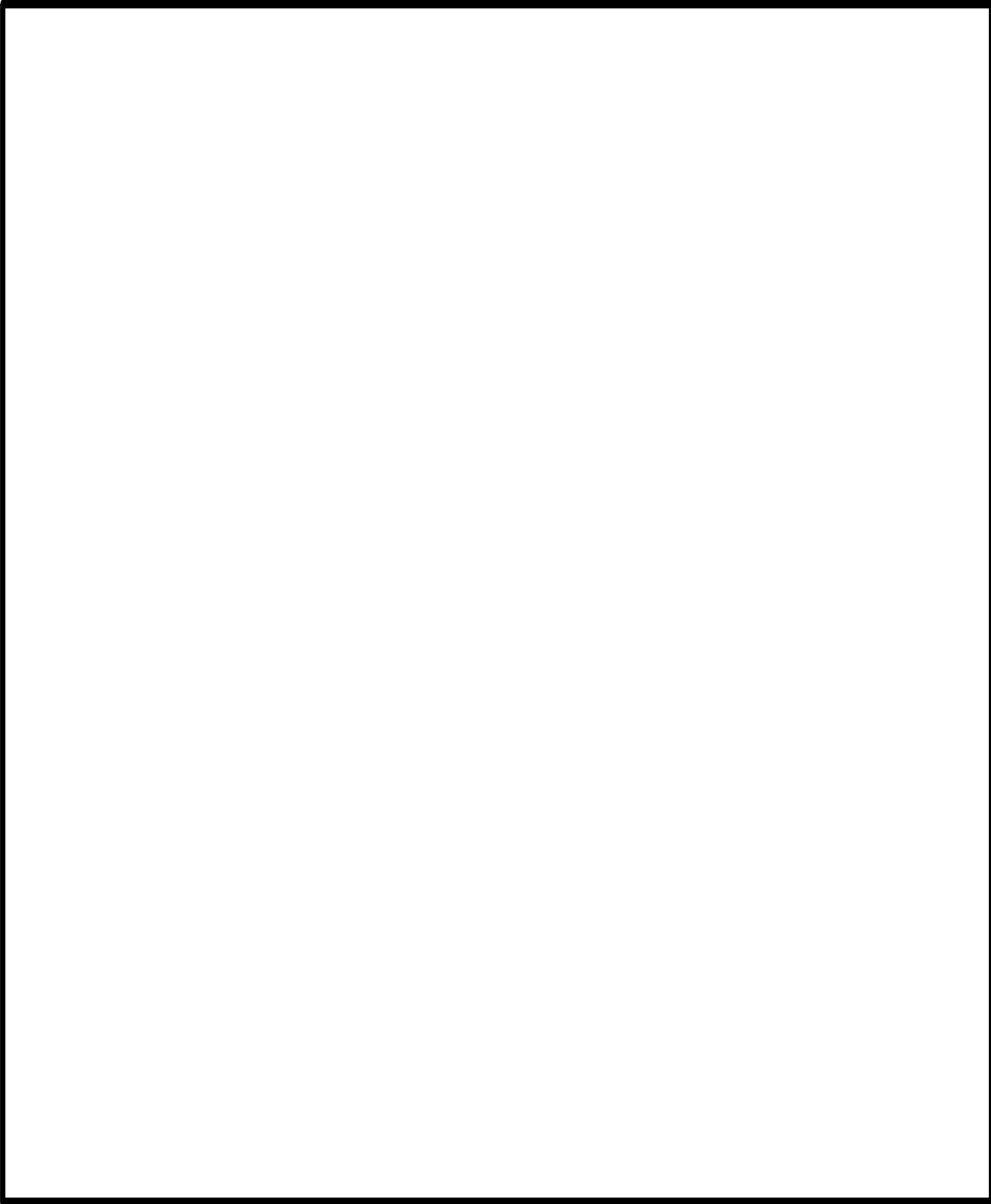
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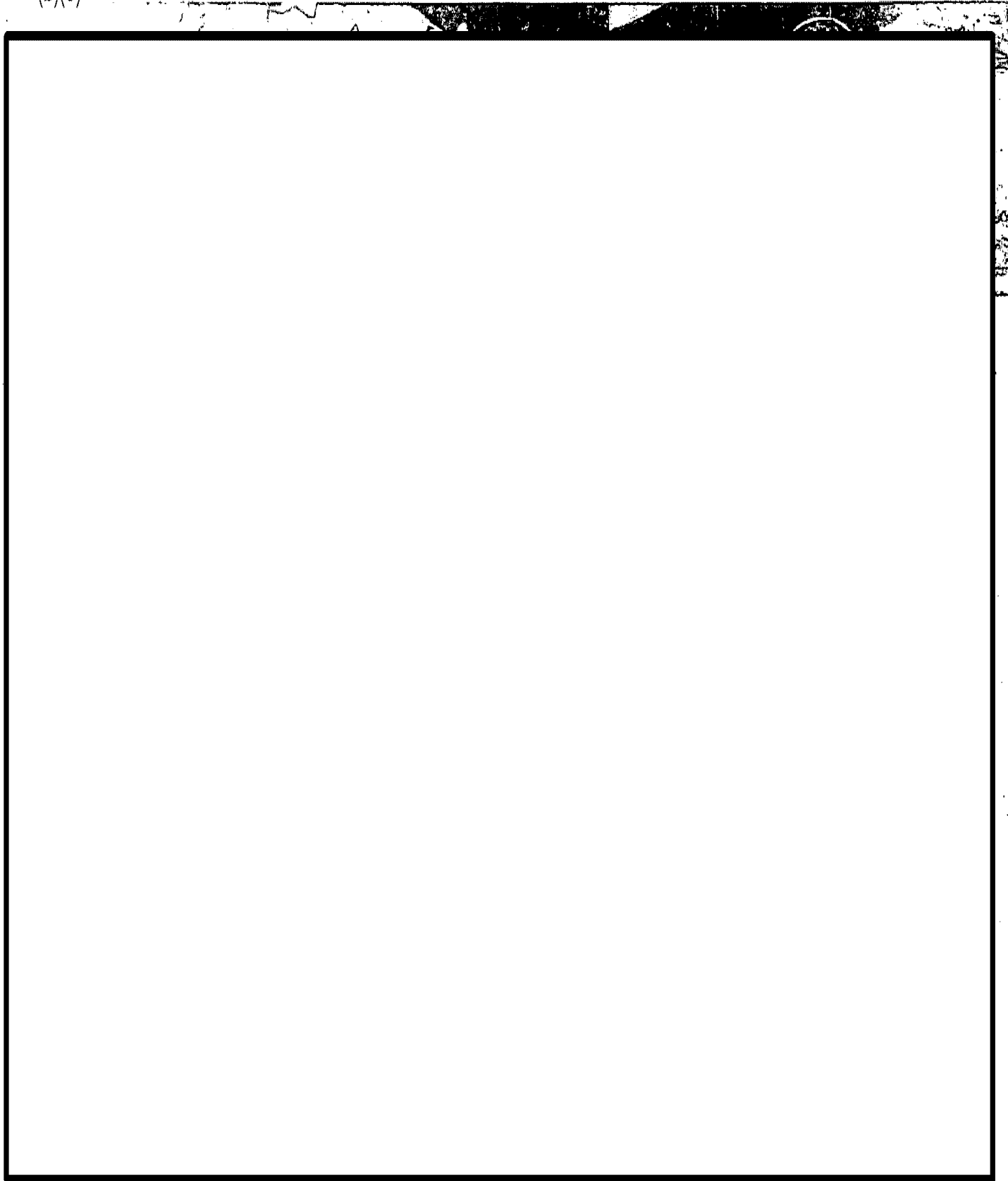
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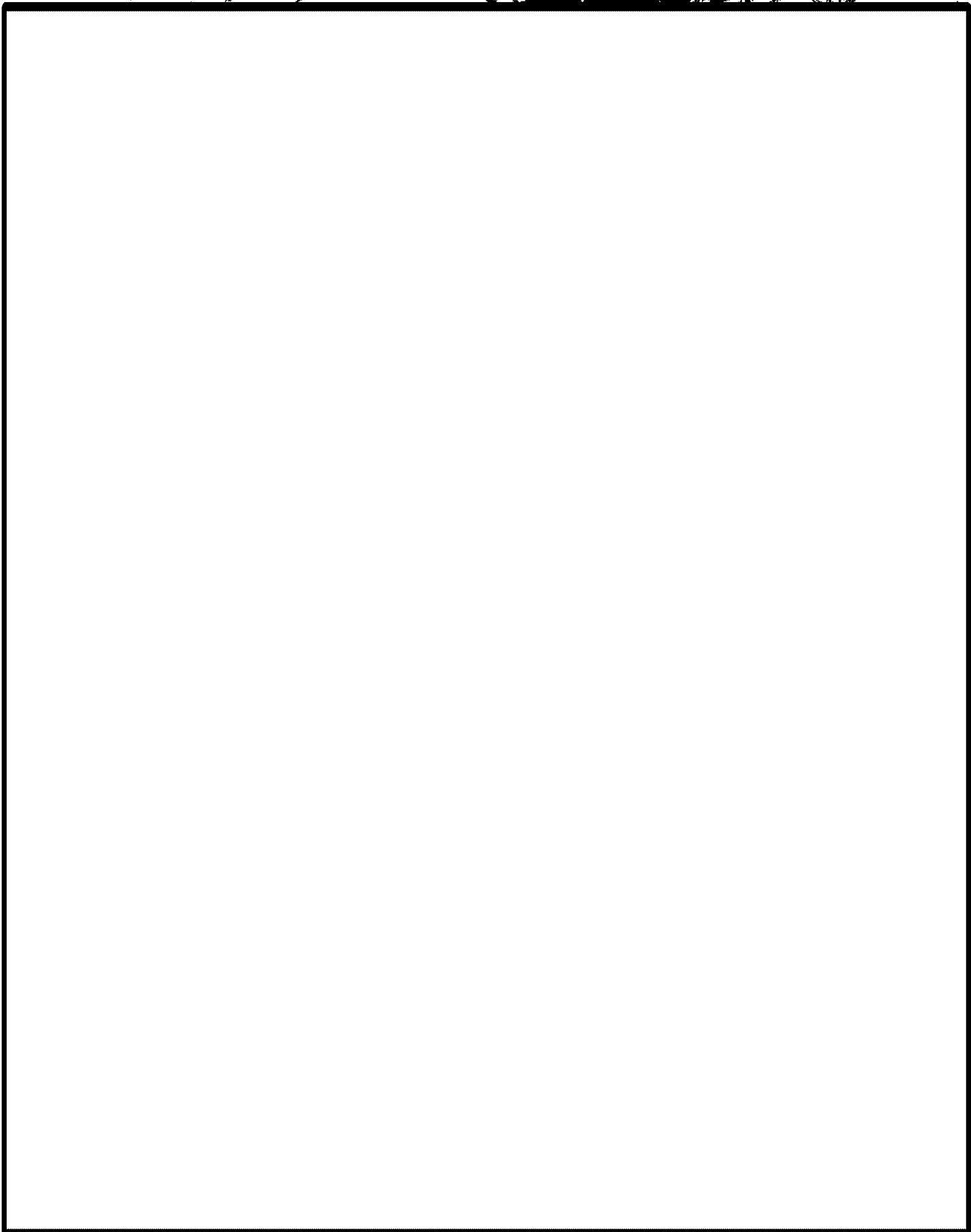
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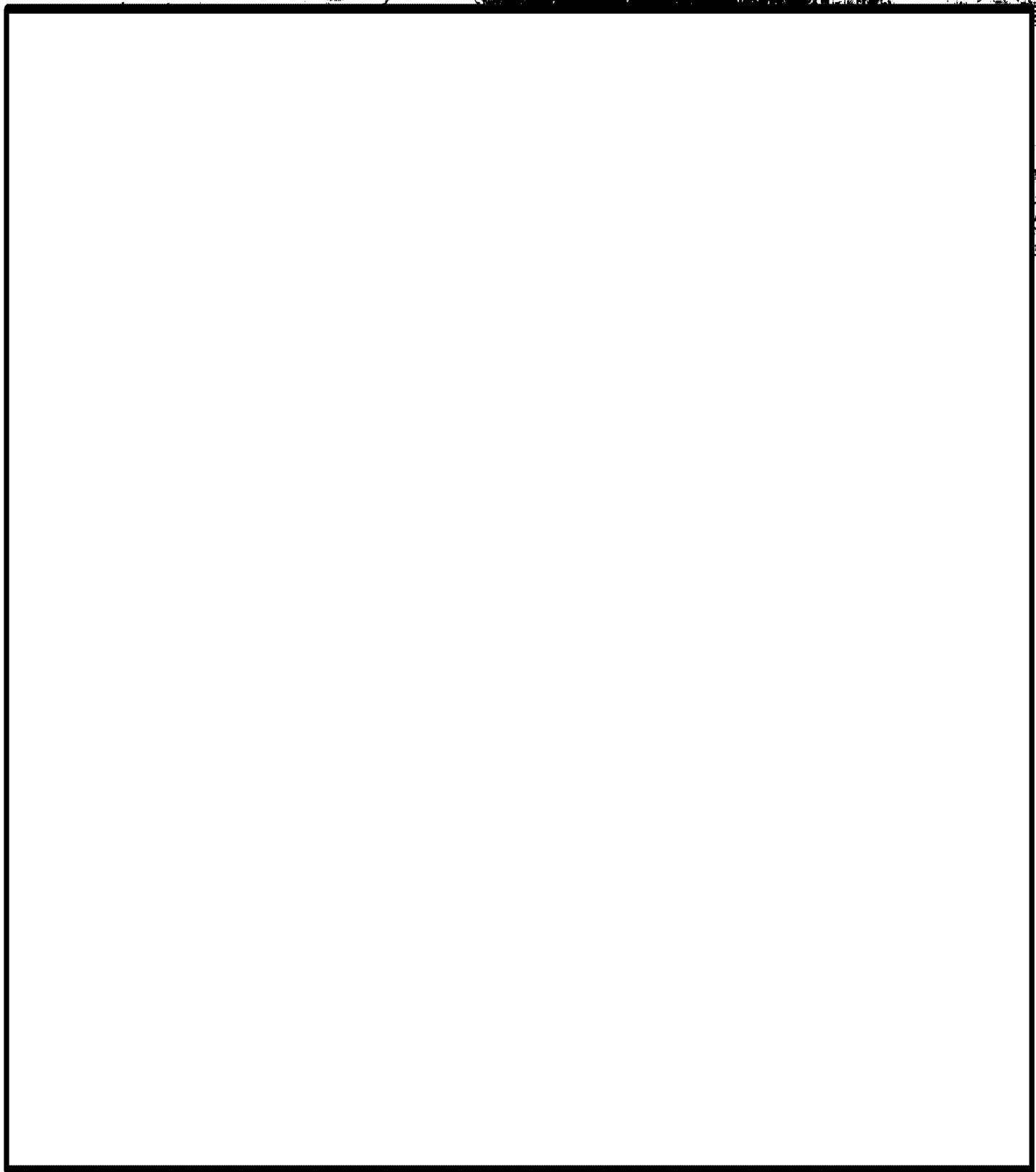
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(b)(5)

(b)(7)(e)



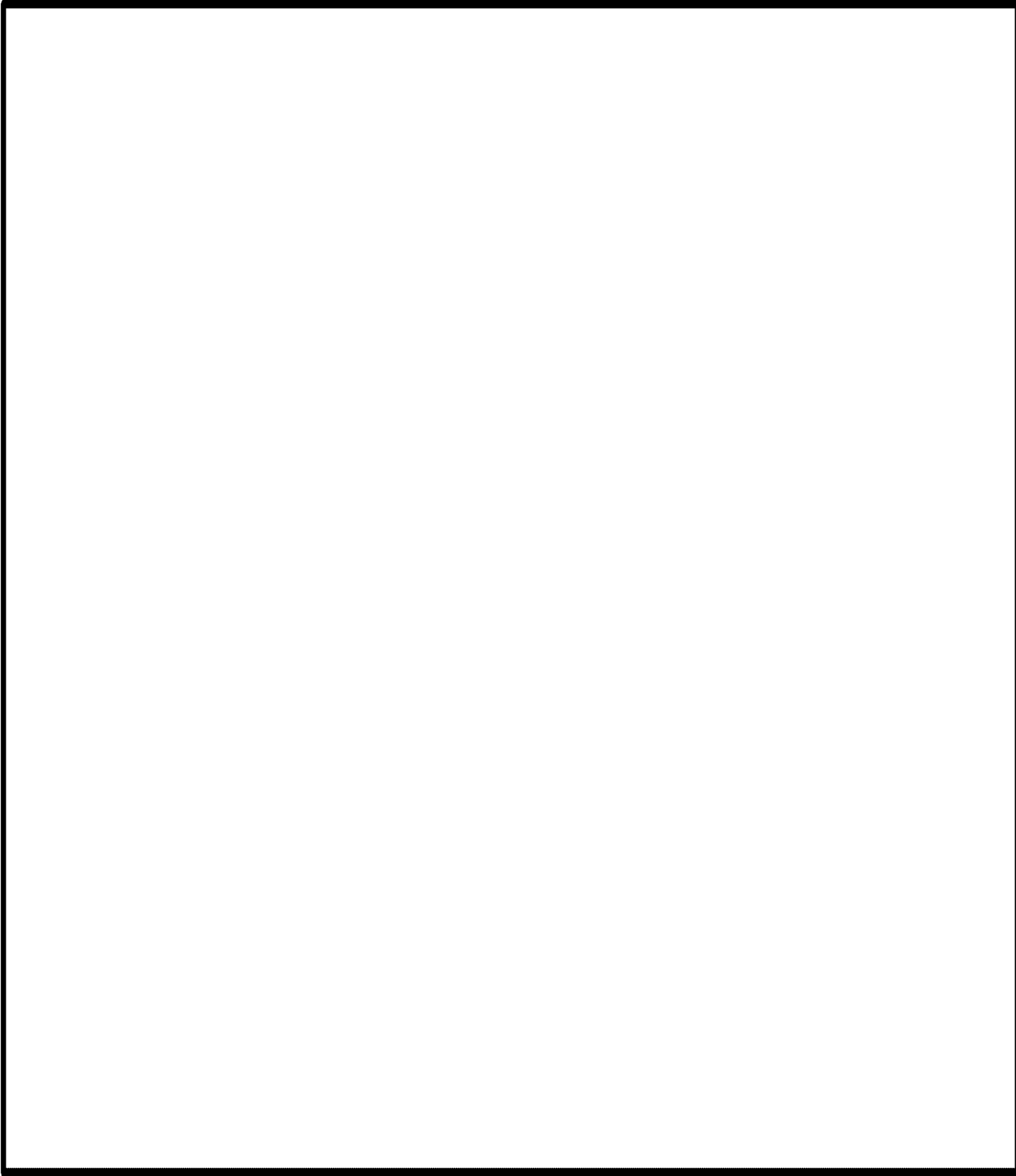
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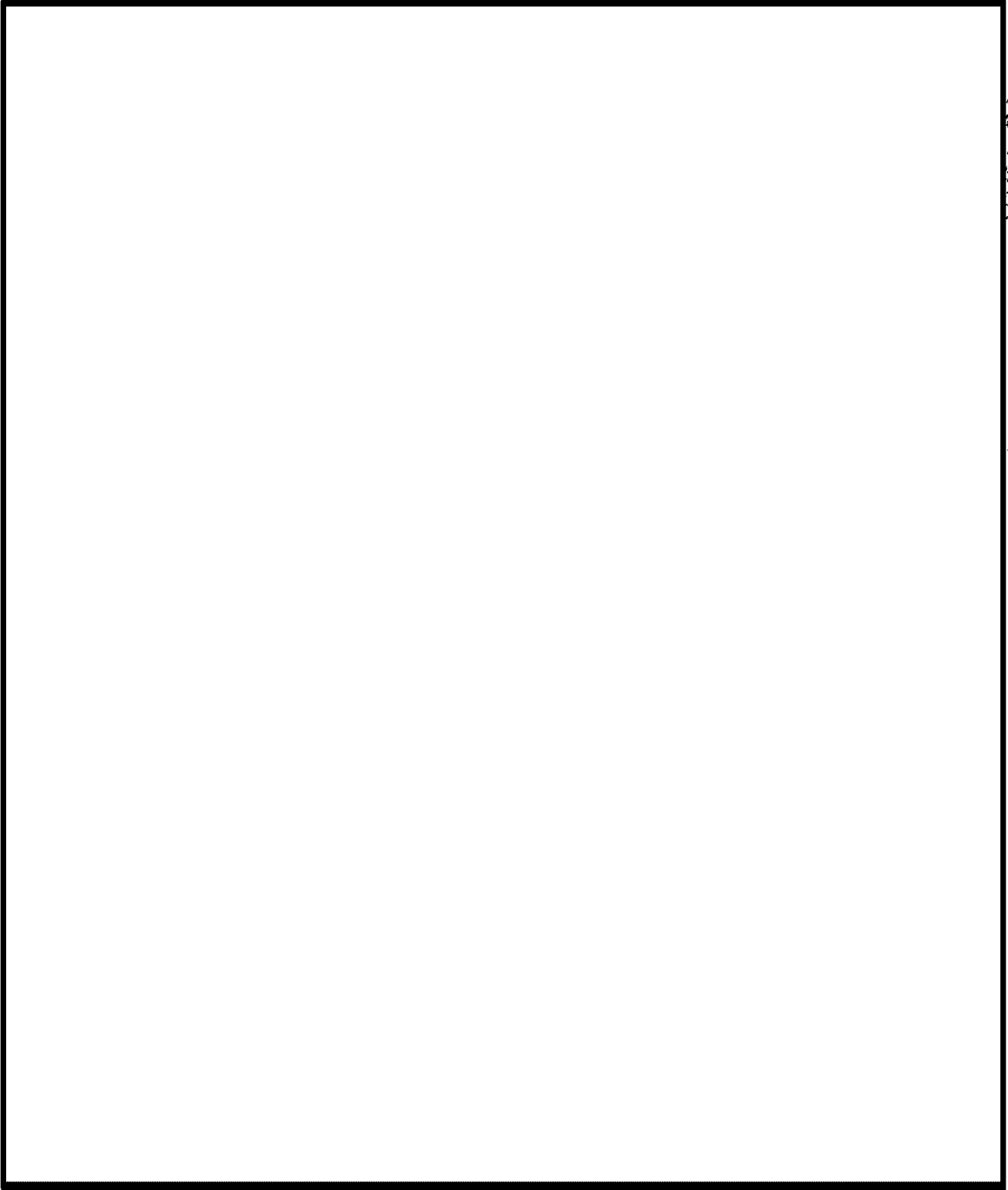
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(b)(5)



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From: Renaud, Tracy L
To: Jones, Keith A
Subject: FW: ELIS Briefing for President Elect Landing Team
Date: Thursday, December 08, 2016 9:25:00 AM

Not sure who is handling Mark's calendar with Jill out but they will be seeing an invite for a meeting at the NAC 2:30-4:00 on Monday for an ELIS briefing. Mark's internal meetings will need to be rescheduled or he will need to have someone else cover. Precious will be reserving a car.

Tracy L. Renaud
Associate Director
Management Directorate
US Citizenship & Immigration Services
Department of Homeland Security
202-272-1739 (desk)

From: Schwartz, Mark A
Sent: Wednesday, December 07, 2016 2:55 PM
To: Renaud, Tracy L
Subject: RE: ELIS Briefing for President Elect Landing Team

No problem.

From: Renaud, Tracy L
Sent: Wednesday, December 07, 2016 2:17:13 PM
To: Schwartz, Mark A
Subject: RE: ELIS Briefing for President Elect Landing Team

The DHS transition team is requesting the Landing Team move it to Monday afternoon. Precious checked your calendar and you are booked but everything is internal so you may end up needing to shuffle some of those currently scheduled meeting around.

Tracy L. Renaud
Associate Director
Management Directorate
US Citizenship & Immigration Services
Department of Homeland Security
202-272-1739 (desk)

From: Schwartz, Mark A
Sent: Wednesday, December 07, 2016 1:56 PM
To: Renaud, Tracy L
Subject: RE: ELIS Briefing for President Elect Landing Team

Sorry, I'll be in London and my time is committed.

From: Renaud, Tracy L
Sent: Wednesday, December 07, 2016 1:51:32 PM

To: Scialabba, Lori L; Renaud, Daniel M; Schwartz, Mark A
Cc: USCIS Presidential Transition; Farnam, Julie E; Prater, Jocelyn S; Young, Todd P
Subject: ELIS Briefing for President Elect Landing Team

All,

The landing team has requested an ELIS briefing for 1:00 tomorrow. I let them know that Mark is scheduled for leave tomorrow but am also reaching out to Mark to see if he is going to be local and, if so, whether he can work for a couple of hours tomorrow to accommodate the briefing request. I just wanted to give everyone a heads up about the potential for a 1:00 at the NAC tomorrow and I will let you know when things are firmed up. As we discussed, there will be no slide deck, the expectation is that they read the issue paper and the IG/GAO reports and that the briefing will be more conversational. Attached are the combined talking points for Mark and Dan which highlight key areas that they would hit upon. Lori has indicated that she would like to attend all briefings to the extent possible.

Tracy L. Renaud
Associate Director
Management Directorate
US Citizenship & Immigration Services
Department of Homeland Security
202-272-1739 (desk)

From: Farnam, Julie E
To: Renaud, Tracy L; Renaud, Daniel M
Subject: FW: ELIS Briefing Presentation
Date: Wednesday, November 30, 2016 9:08:41 AM
Attachments: USCIS ELIS Briefing Presentation.pptx

Here's the draft presentation for the ELIS briefing.

Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
(c) 202-489-8802

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From: USCIS Presidential Transition
Sent: Tuesday, November 29, 2016 3:04 PM
To: Schwartz, Mark A; Renaud, Daniel M
Cc: Renaud, Tracy L; Kerns, Kevin J; USCIS MGT Tasks
Subject: ELIS Briefing Presentation

Dan/Mark,

Attached please find the draft presentation for the ELIS transition briefing. If you have any edits, please let me know as soon as possible so that I may send this to OCC to be cleared.

Thank you,
Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
(c) 202-489-8802

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(b)(5)

(b)(5)

From: USCIS Presidential Transition
To: Renaud, Tracy L
Subject: FW: Info for Landing Team/OGC
Date: Thursday, December 08, 2016 3:02:42 PM
Attachments: RFI 002 Operation Second Look (toDHS PTO 12.08.2016).docx

Here's ICE's write up and Kaiya with OGC cleared this.

From: McKean, Wendy C
Sent: Thursday, December 08, 2016 2:57 PM
To: USCIS Presidential Transition
Subject: RE: Info for Landing Team/OGC

Julie attached is our cleared response relating to OSL which was finalized last night and sent to PTO this morning.

--Wendy

Wendy McKean
Chief of Staff, ICE Presidential Transition Office

wendy.c.mckean@ice.dhs.gov
Desk: 202-732-4722
Cell: 202-507-0179

For more information, please visit the ICE Presidential Transition Office website at <https://insight.ice.dhs.gov/pto/Pages/default.aspx>

Immigration and Customs Enforcement Presidential Transition Office

Response to the President-Elect's Transition Team (PETT) Request for Information

RFI 002: Please provide the number and status of denaturalization cases being process as a result of incomplete finger print information.

ICE Subject Matter Experts Cleared by: AD Matt Allen, HSI Investigative Programs

OPLA POC and Cleared By: OPLA POC Michael Falcone, (A) Director, Enforcement and Litigation,
Cleared by COS Lade Akinbolaji

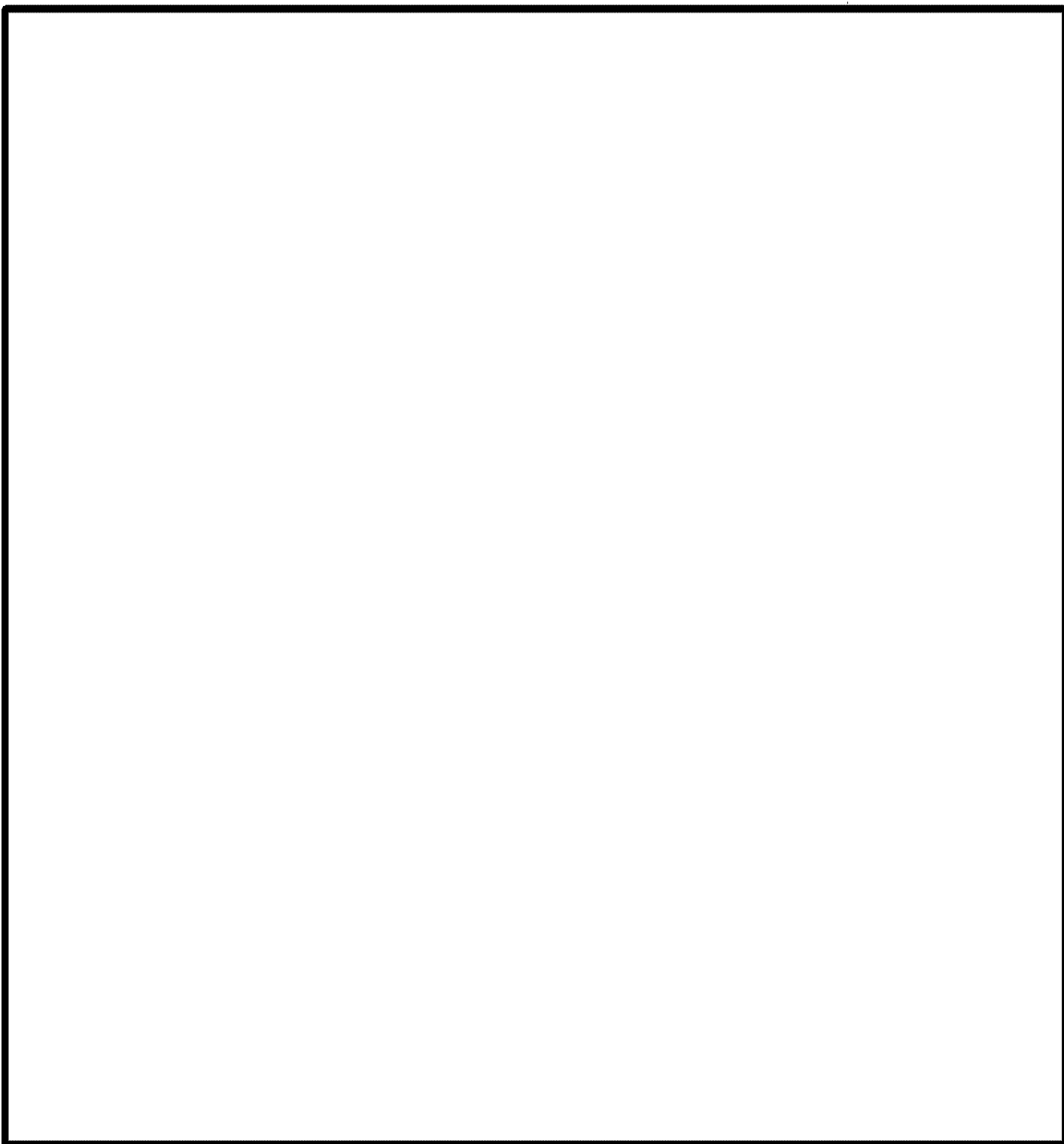
ICE Approving Official: Deputy Director, Daniel Ragsdale

OGC Cleared By: Attorney Advisor, Kaiya Pontinen and Assistant General Counsel, Strategic Oversight,
Susan Mathias

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(b)(7)(e)

Operation Second Look
Homeland Security Investigations



From: [Stewart, Bion](#)
To: [Renaud, Tracy L](#); [Farnam, Julie E](#)
Cc: [Brown II, Melvin](#)
Subject: FW: PTO: USCIS Issue Paper-ELIS/Transformation
Date: Monday, December 12, 2016 9:48:25 AM
Attachments: [USCIS Transformation IP 2016 Edits.docx](#)
[USCIS Transformation IP 2016 Clean.docx](#)
Importance: High

Tracy and Julie,

The first bullet under "Challenges" re GAO/OIG reads overtly defensive. The PTO recommends the following replacement language for that bullet.

(b)(5)



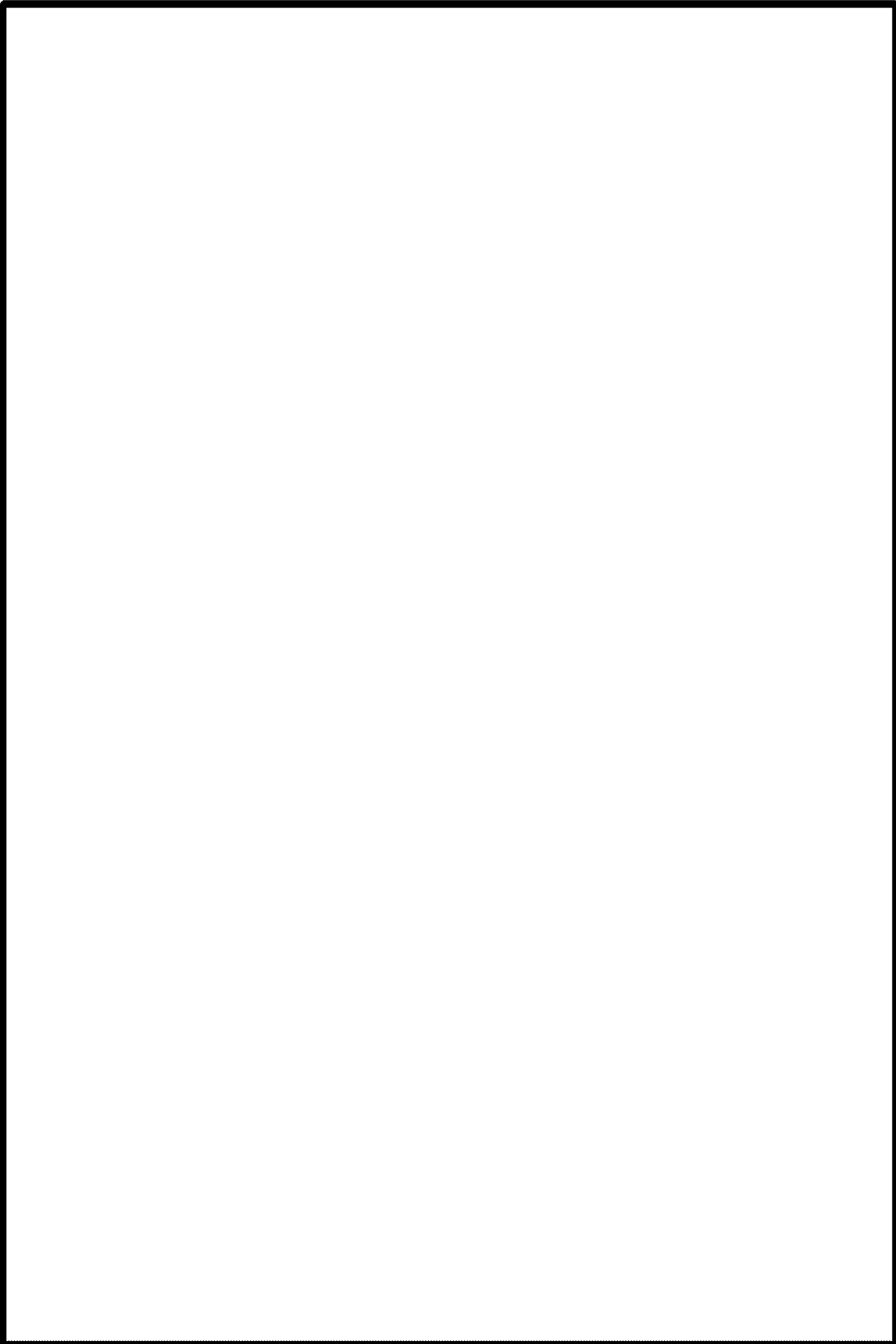
If USCIS is OK with the recommended language, please update your clean paper and return to us.

Thanks.

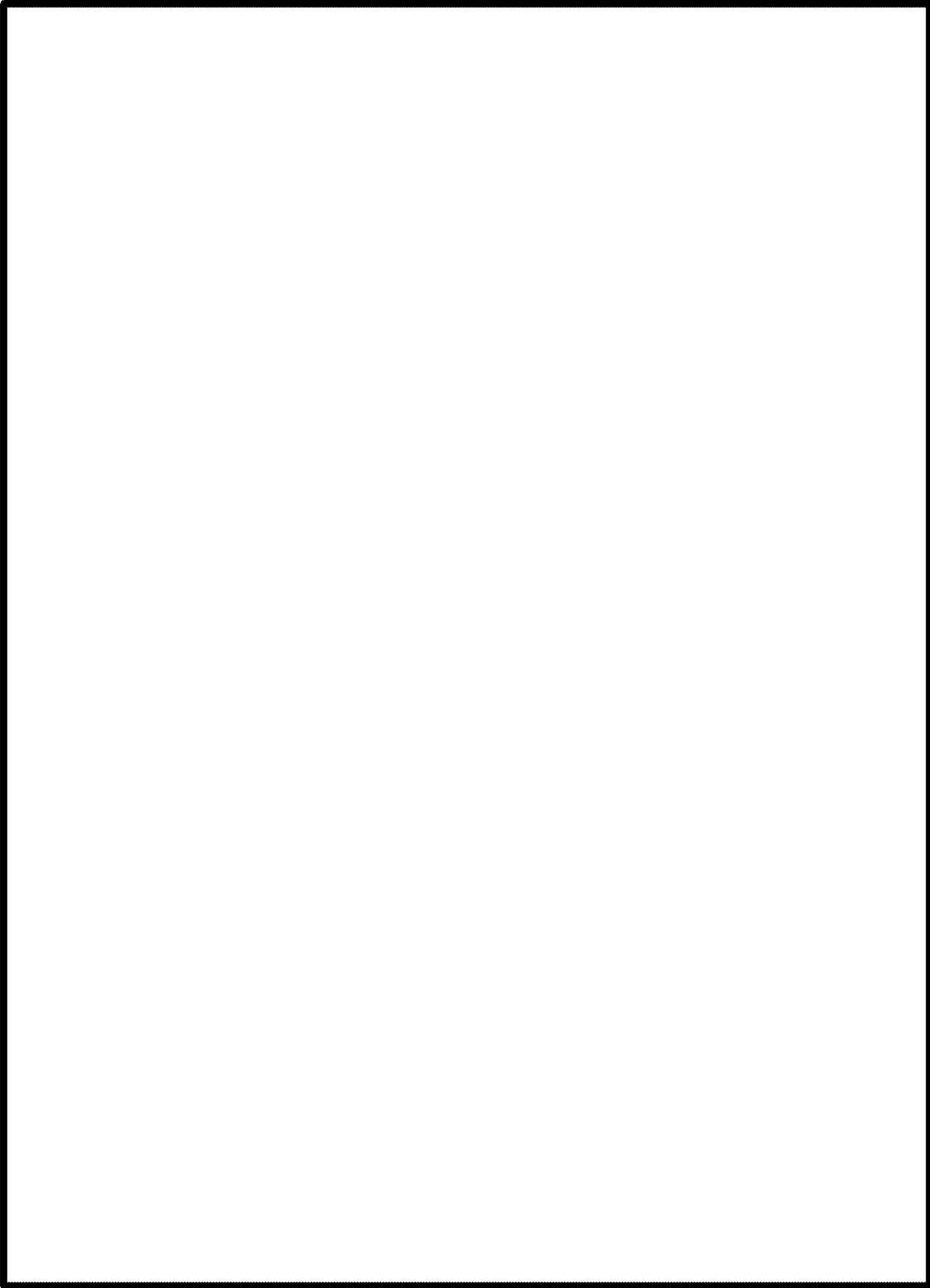
Bion

Bion Stewart
Deputy Presidential Transition Officer
Department of Homeland Security
202-282-9125

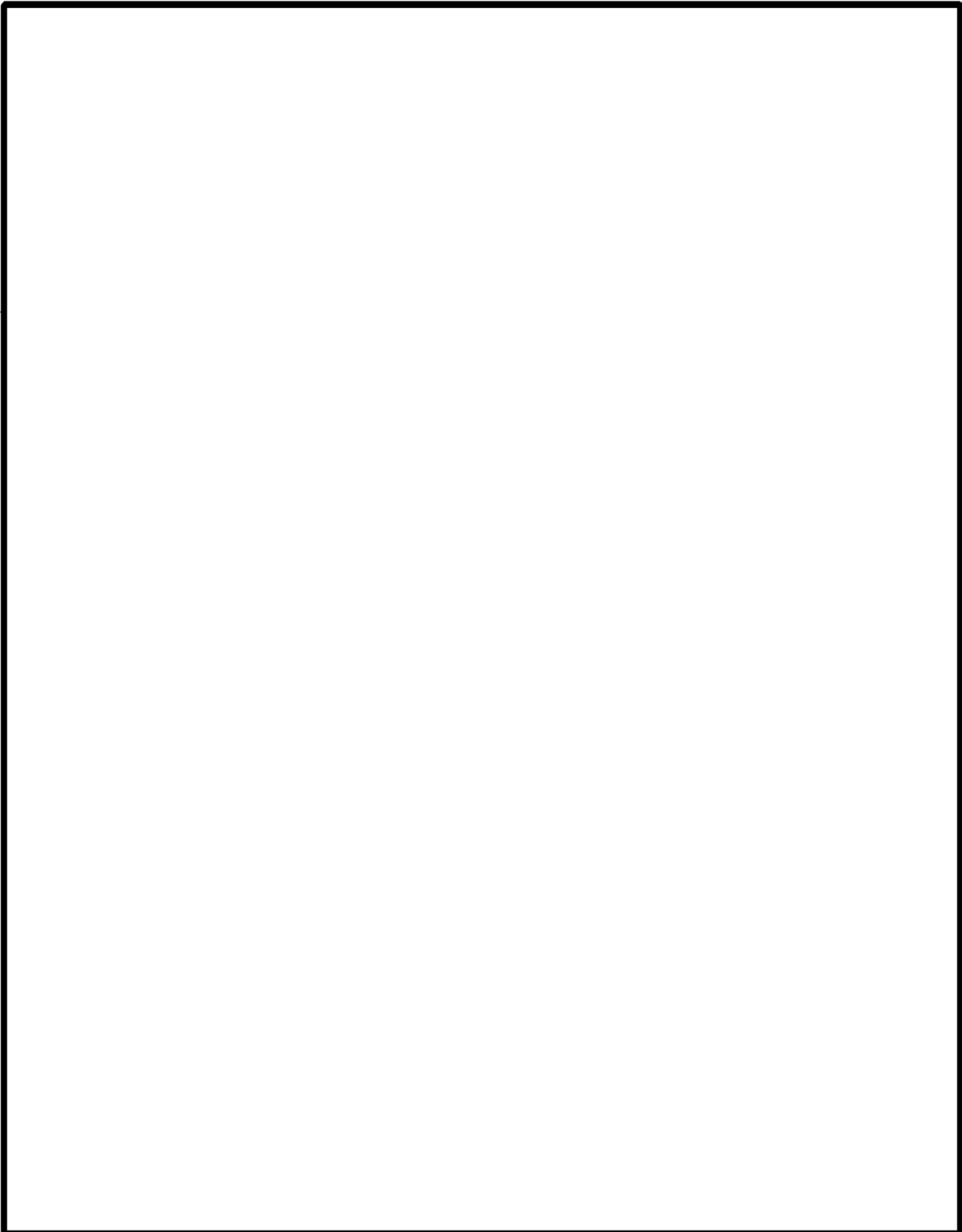
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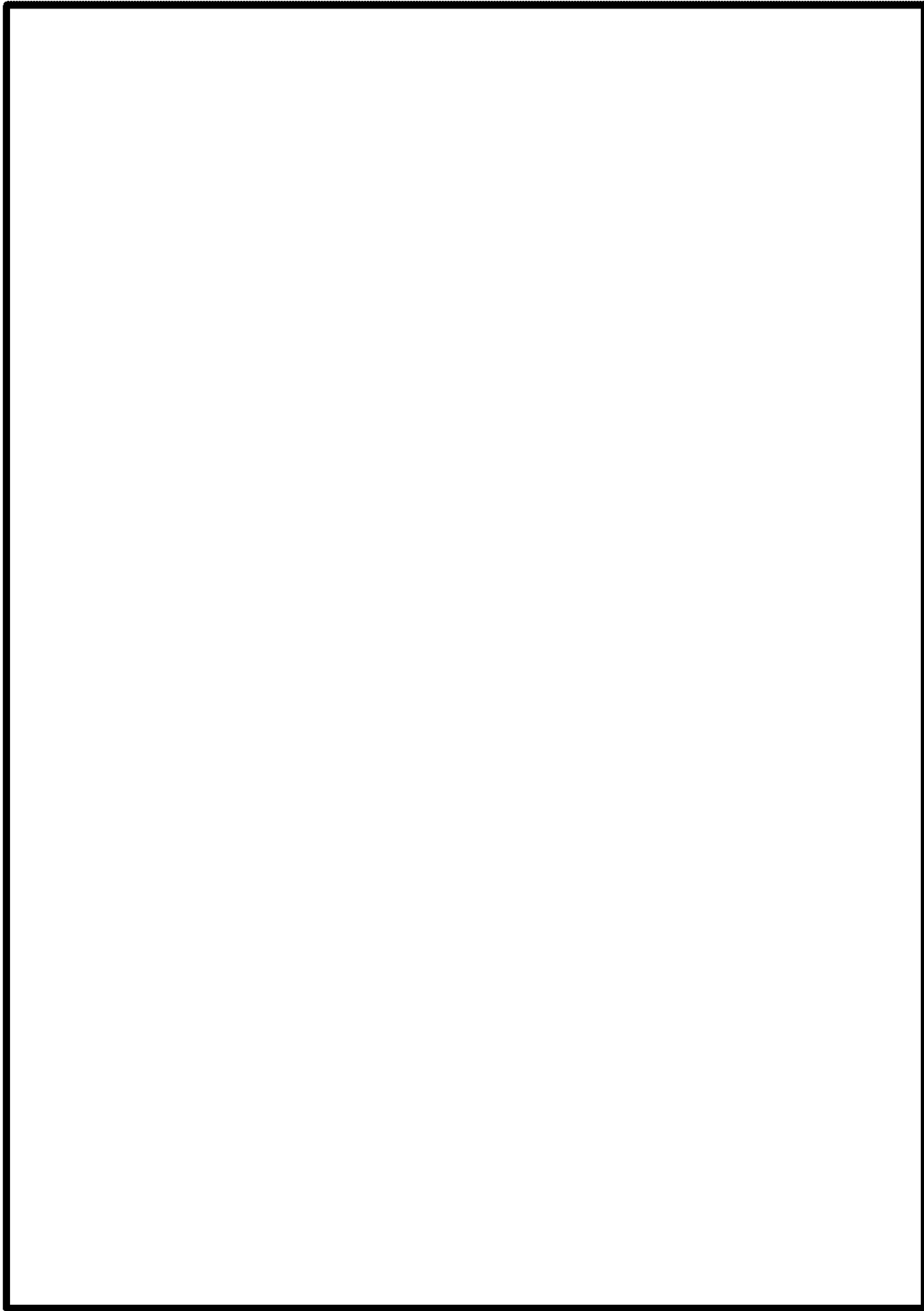
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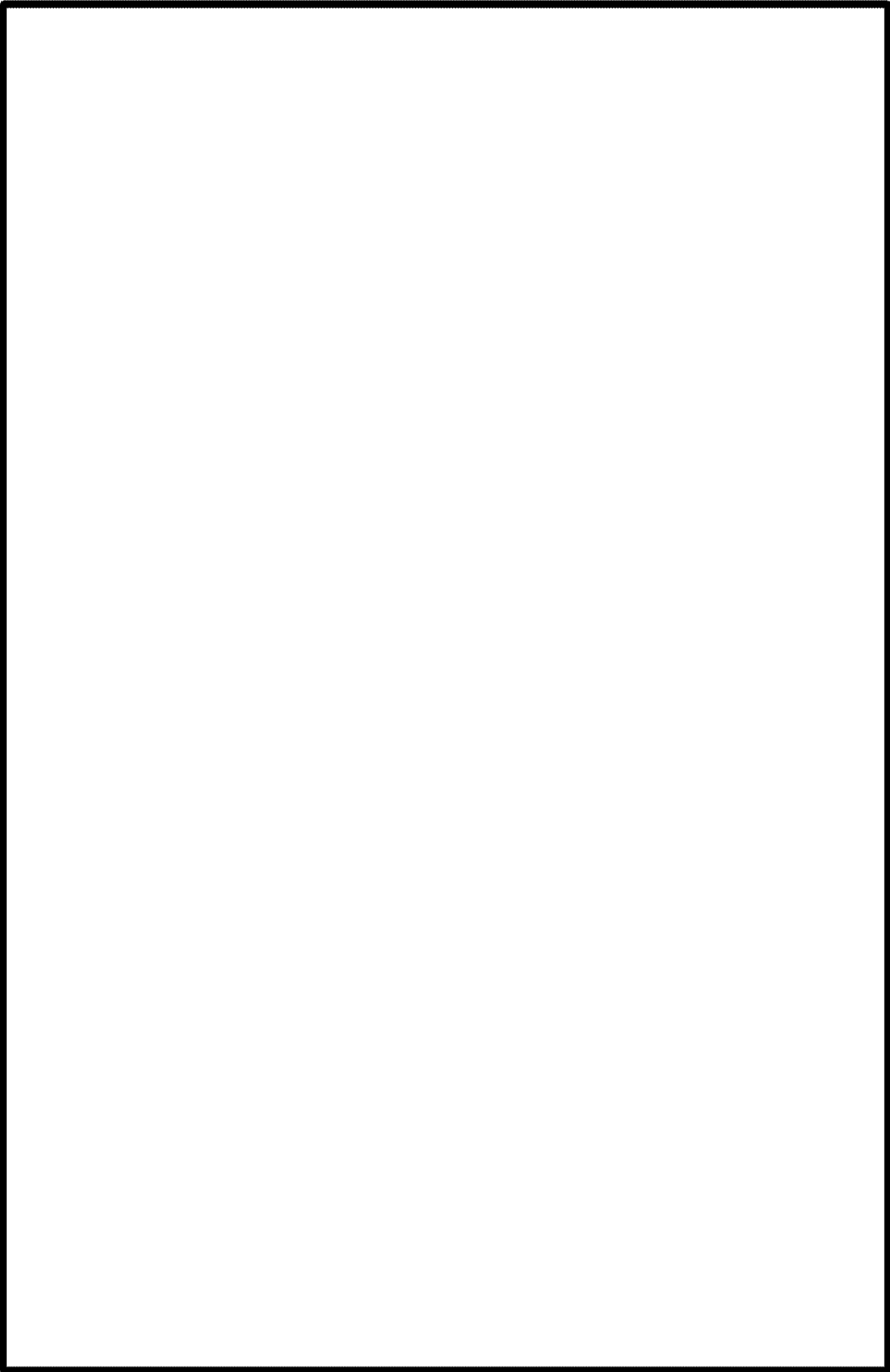


(b)(5).



(b)(5)





(b)(5)

From: Beagles, James
To: Harris, Mark E (DHS CFO); Marcott, Stacy; Petyo, Briana; Burriesci, Kelli; Yearry, Jessica; Patrick, David
Cc: Pontinen, Kaiya; Maher, Joseph; Stewart, Bion; Brown II, Melvin; Farnam, Julie E; Renaud, Tracy L
Subject: FW: PTO: USCIS Issue Paper-ELIS/Transformation
Date: Friday, December 09, 2016 4:42:52 PM
Attachments: USCIS_Transformation_IP_2016ma.docx

Apologies if you have already responded; please let me know if you have cleared or provided comments.

James M. Beagles
202-282-9392

From: Pontinen, Kaiya
Sent: Friday, December 9, 2016 4:12 PM
To: Stewart, Bion <bion.stewart@hq.dhs.gov>
Cc: Beagles, James <James.Beagles@HQ.DHS.GOV>; Brown II, Melvin <Melvin.Brown@HQ.DHS.GOV>; Horowitz, Scott <Scott.Horowitz@HQ.DHS.GOV>; Palmer, David <David.Palmer@hq.dhs.gov>; Mathias, Susan <Susan.Mathias@hq.dhs.gov>; Pontinen, Kaiya <Kaiya.Pontinen@HQ.DHS.GOV>
Subject: RE: PTO: USCIS Issue Paper-ELIS/Transformation

Bion: OGC clears with the attached edits made by USCIS OCC. Thanks.

Kaiya Anne Pontinen
Office of the General Counsel
Desk: 202.282.9043
Cell: 202.306.8548

From: Stewart, Bion
Sent: Friday, December 9, 2016 6:14 AM
To: Pontinen, Kaiya <Kaiya.Pontinen@HQ.DHS.GOV>; Marcott, Stacy <Stacy.Marcott@HQ.DHS.GOV>; Burriesci, Kelli <kelli.burriesci@hq.dhs.gov>; Maher, Joseph <Joseph.Maher@HQ.DHS.GOV>; Petyo, Briana <briana.petyo@hq.dhs.gov>; Harris, Mark E (DHS CFO) <mark.harris@HQ.DHS.GOV>; Cooch, Shila <Shila.Cooch@hq.dhs.gov>; Corbin, Susan <Susan.Corbin@hq.dhs.gov>
Cc: Beagles, James <James.Beagles@HQ.DHS.GOV>; Brown II, Melvin <Melvin.Brown@HQ.DHS.GOV>; Horowitz, Scott <Scott.Horowitz@HQ.DHS.GOV>
Subject: FW: PTO: USCIS Issue Paper-ELIS/Transformation

OGC, PLCY, CFO, OLA - Request review and clearance of the attached by COB today. This will be a table drop for a follow-on brief on ELIS. Looping in CIO as well.

Jim/Melvin - I don't have the PARM CAO's name handy. Can you please loop them in as well. Please also log this in the RFI tracker.

Thanks.

Bion

From: USCIS Presidential Transition
Sent: Thursday, December 08, 2016 4:03:39 PM
To: Stewart, Bion
Cc: Horowitz, Scott; Beagles, James; Renaud, Tracy L
Subject: USCIS Issue Paper-ELIS/Transformation

Bion,

Attached is an updated issue paper on USCIS ELIS and the transformation initiative. We will not have any other materials to provide to the landing team for the briefing on Monday (unless, of course, they request something else). If you have any questions, please do not hesitate to let us know.

Thank you,
Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
(c) 202-489-8802

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From: Farnam, Julie E
To: Pontinen, Kaiya; Allen, Mark A; Gregory, Peter D
Cc: Renaud, Tracy L; Stewart, Bion; Beagles, James
Subject: FW: PTO: USCIS Issue Paper-ELIS/Transformation
Date: Friday, December 09, 2016 10:10:46 AM
Attachments: USCIS_Transformation_IP_2016.docx

Thanks, Kaiya, for flagging this. We don't believe there are any procurement sensitive material in the paper, but we are adding Peter and Mark to weigh in on the procurement issue. This paper has previously been cleared by counsel and agency leadership.

Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
(c) 202-489-8802

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From: Pontinen, Kaiya
Sent: Friday, December 9, 2016 9:10 AM
To: Stewart, Bion <bion.stewart@hq.dhs.gov>
Cc: Beagles, James <James.Beagles@HQ.DHS.GOV>
Subject: RE: PTO: USCIS Issue Paper-ELIS/Transformation

Bion: We need to know if USCIS counsel has looked at this and whether the document contains anything that is procurement sensitive. Can you put me in touch with the appropriate person over there so I can discuss?

Kaiya Anne Pontinen
Office of the General Counsel
Desk: 202.282.9043
Cell: 202.306.8548

From: Stewart, Bion
Sent: Friday, December 9, 2016 6:14 AM
To: Pontinen, Kaiya <Kaiya.Pontinen@HQ.DHS.GOV>; Marcott, Stacy <Stacy.Marcott@HQ.DHS.GOV>; Burriesci, Kelli <kelli.burriesci@hq.dhs.gov>; Maher, Joseph <Joseph.Maher@HQ.DHS.GOV>; Petyo, Briana <briana.petyo@hq.dhs.gov>; Harris, Mark E (DHS CFO) <mark.harris@HQ.DHS.GOV>; Cooch, Shila <Shila.Cooch@hq.dhs.gov>; Corbin, Susan

<Susan.Corbin@hq.dhs.gov>

Cc: Beagles, James <James.Beagles@HQ.DHS.GOV>; Brown II, Melvin
<Melvin.Brown@HQ.DHS.GOV>; Horowitz, Scott <Scott.Horowitz@HQ.DHS.GOV>
Subject: FW: PTO: USCIS Issue Paper-ELIS/Transformation

OGC, PLCY, CFO, OLA - Request review and clearance of the attached by COB today.
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Jim/Melvin - I don't have the PARM CAO's name handy. Can you please loop them in as well. Please also log this in the RFI tracker.

Thanks.

Bion

From: USCIS Presidential Transition
Sent: Thursday, December 08, 2016 4:03:39 PM
To: Stewart, Bion
Cc: Horowitz, Scott; Beagles, James; Renaud, Tracy L
Subject: USCIS Issue Paper-ELIS/Transformation

Bion,

Attached is an updated issue paper on USCIS ELIS and the transformation initiative. We will not have any other materials to provide to the landing team for the briefing on Monday (unless, of course, they request something else). If you have any questions, please do not hesitate to let us know.

Thank you,
Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
(c) 202-489-8802

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From: Fleet, Andrea B
To: Schwartz, Mark A; Jones, Keith A
Cc: Wittman, Gregory J; Black, Diane E; USCIS MGT Tasks; Kerns, Kevin J; Renaud, Tracy L
Subject: FW: PTO: USCIS Issue Paper-ELIS/Transformation--Due COB Today
Date: Friday, December 09, 2016 1:27:01 PM
Attachments: [USCIS Transformation IP 2016 parm comments.docx](#)
Importance: High

Good afternoon OIT –

See below. PARM requests your review and edit (as appropriate) on the attached three comments on the Transformation issue paper. Responses are due by COB today.

Thank you,

Andrea Fleet, Special Assistant
DHS|USCIS|Management Directorate (MGT)
20 Massachusetts Ave., NW, Suite 3112
Washington, DC 20529
(202) 272-1857
Andrea.B.Fleet@uscis.dhs.gov

From: USCIS Presidential Transition
Sent: Friday, December 09, 2016 1:24 PM
To: USCIS MGT Tasks; Stanley, Kathleen M
Cc: Kerns, Kevin J; Renaud, Tracy L; Collins, Anissa A; Clark, Levita S
Subject: FW: PTO: USCIS Issue Paper-ELIS/Transformation--Due COB Today
Importance: High

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Thank you,
Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
(c) 202-489-8802

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From: Brown II, Melvin
Sent: Friday, December 09, 2016 12:40 PM
To: USCIS Presidential Transition
Cc: Beagles, James; Horowitz, Scott; Halter, Greg; Stewart, Bion
Subject: FW: PTO: USCIS Issue Paper-ELIS/Transformation

Julie,

Attached are comments from PARM for your consideration.

Melvin Brown II
Senior Advisor
Presidential Transition Office
U.S. Department of Homeland Security
Office: (202) 282-8238
Cell: 202-510-6333 (Blackberry)
NAC 01-03-004-B

From: Patrick, David
Sent: Friday, December 9, 2016 12:34 PM
To: Brown II, Melvin <Melvin.Brown@HQ.DHS.GOV>
Cc: Beagles, James <James.Beagles@HQ.DHS.GOV>; Halter, Greg <greg.halter@hq.dhs.gov>;
Horowitz, Scott <Scott.Horowitz@HQ.DHS.GOV>; Micone, Vincent
<Vincent.Micone@HQ.DHS.GOV>; Stewart, Bion <bion.stewart@hq.dhs.gov>; Dusina, Jeremy
<Jeremy.Dusina@HQ.DHS.GOV>; PARMExecSec, <PARMExecSec@HQ.DHS.GOV>
Subject: RE: PTO: USCIS Issue Paper-ELIS/Transformation

Melvin,

PARM had a few minor comments on the attached USCIS document. Jeremy Dusina was the PARM reviewer for the document.

Thanks,

David Patrick
Director, Acquisition Operations
MGMT – PARM

Phone: 202-570-9583
Email: David.Patrick@hq.dhs.gov

From: Brown II, Melvin
Sent: Friday, December 9, 2016 10:12 AM

To: Patrick, David <David.Patrick@HQ.DHS.GOV>
Cc: Beagles, James <James.Beagles@HQ.DHS.GOV>; Halter, Greg <greg.halter@hq.dhs.gov>; Horowitz, Scott <Scott.Horowitz@HQ.DHS.GOV>; Micone, Vincent <Vincent.Micone@HQ.DHS.GOV>; Stewart, Bion <bion.stewart@hq.dhs.gov>; Brown II, Melvin <Melvin.Brown@HQ.DHS.GOV>
Subject: FW: PTO: USCIS Issue Paper-ELIS/Transformation

David,

Attached is the USCIS response for your review and clearance. We need the response by COB today.

Melvin Brown II
Senior Advisor
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U.S. Department of Homeland Security
Office: (202) 282-8238
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NAC 01-03-004-B

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Cc: Beagles, James <James.Beagles@HQ.DHS.GOV>; Brown II, Melvin <Melvin.Brown@HQ.DHS.GOV>; Horowitz, Scott <Scott.Horowitz@HQ.DHS.GOV>
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Jim/Melvin - I don't have the PARM CAO's name handy. Can you please loop them in as well. Please also log this in the RFI tracker.

Thanks.

Bion

From: USCIS Presidential Transition
Sent: Thursday, December 08, 2016 4:03:39 PM
To: Stewart, Bion
Cc: Horowitz, Scott; Beagles, James; Renaud, Tracy L
Subject: USCIS Issue Paper-ELIS/Transformation

Bion,

Attached is an updated issue paper on USCIS ELIS and the transformation initiative. We will not have any other materials to provide to the landing team for the briefing on Monday (unless, of course, they request something else). If you have any questions, please do not hesitate to let us know.

Thank you,
Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
(c) 202-489-8802

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From: USCIS Presidential Transition
To: USCIS MGT Tasks; Stanley, Kathleen M
Cc: Kerns, Kevin J; Renaud, Tracy L; Collins, Anissa A; Clark, Levita S
Subject: FW: PTO: USCIS Issue Paper-ELIS/Transformation--Due COB Today
Date: Friday, December 09, 2016 1:23:59 PM
Attachments: USCIS Transformation IP 2016 parm comments.docx
Importance: High

Good afternoon,

We received three comments from PARM on the Transformation issue paper. Please review and edit as appropriate and have your edits back to me by COB today.

Thank you,
Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
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From: Brown II, Melvin
Sent: Friday, December 09, 2016 12:40 PM
To: USCIS Presidential Transition
Cc: Beagles, James; Horowitz, Scott; Halter, Greg; Stewart, Bion
Subject: FW: PTO: USCIS Issue Paper-ELIS/Transformation

Julie,

Attached are comments from PARM for your consideration.

Melvin Brown II
Senior Advisor
Presidential Transition Office
U.S. Department of Homeland Security
Office: (202) 282-8238
Cell: 202-510-6333 (Blackberry)
NAC 01-03-004-B

From: Patrick, David
Sent: Friday, December 9, 2016 12:34 PM

To: Brown II, Melvin <Melvin.Brown@HQ.DHS.GOV>

Cc: Beagles, James <James.Beagles@HQ.DHS.GOV>; Halter, Greg <greg.halter@hq.dhs.gov>; Horowitz, Scott <Scott.Horowitz@HQ.DHS.GOV>; Micone, Vincent <Vincent.Micone@HQ.DHS.GOV>; Stewart, Bion <bion.stewart@hq.dhs.gov>; Dusina, Jeremy <Jeremy.Dusina@HQ.DHS.GOV>; PARMExecSec, <PARMExecSec@HQ.DHS.GOV>

Subject: RE: PTO: USCIS Issue Paper-ELIS/Transformation

Melvin,

PARM had a few minor comments on the attached USCIS document. Jeremy Dusina was the PARM reviewer for the document.

Thanks,

David Patrick
Director, Acquisition Operations
MGMT – PARM

Phone: 202-570-9583

Email: David.Patrick@hq.dhs.gov

From: Brown II, Melvin

Sent: Friday, December 9, 2016 10:12 AM

To: Patrick, David <David.Patrick@HQ.DHS.GOV>

Cc: Beagles, James <James.Beagles@HQ.DHS.GOV>; Halter, Greg <greg.halter@hq.dhs.gov>; Horowitz, Scott <Scott.Horowitz@HQ.DHS.GOV>; Micone, Vincent <Vincent.Micone@HQ.DHS.GOV>; Stewart, Bion <bion.stewart@hq.dhs.gov>; Brown II, Melvin <Melvin.Brown@HQ.DHS.GOV>

Subject: FW: PTO: USCIS Issue Paper-ELIS/Transformation

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U.S. Department of Homeland Security
Office: (202) 282-8238
Cell: 202-510-6333 (Blackberry)
NAC 01-03-004-B

From: Stewart, Bion

Sent: Friday, December 9, 2016 6:14 AM

To: Pontinen, Kaiya <Kaiya.Pontinen@HQ.DHS.GOV>; Marcott, Stacy

<Stacy.Marcott@HQ.DHS.GOV>; Burriesci, Kelli <kelli.burriesci@hq.dhs.gov>; Maher, Joseph <Joseph.Maher@HQ.DHS.GOV>; Petyo, Briana <briana.petyo@hq.dhs.gov>; Harris, Mark E (DHS CFO) <mark.harris@HQ.DHS.GOV>; Cooch, Shila <Shila.Cooch@hq.dhs.gov>; Corbin, Susan <Susan.Corbin@hq.dhs.gov>

Cc: Beagles, James <James.Beagles@HQ.DHS.GOV>; Brown II, Melvin <Melvin.Brown@HQ.DHS.GOV>; Horowitz, Scott <Scott.Horowitz@HQ.DHS.GOV>

Subject: FW: PTO: USCIS Issue Paper-ELIS/Transformation

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Thanks.

Bion

From: USCIS Presidential Transition
Sent: Thursday, December 08, 2016 4:03:39 PM
To: Stewart, Bion
Cc: Horowitz, Scott; Beagles, James; Renaud, Tracy L
Subject: USCIS Issue Paper-ELIS/Transformation

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Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
(c) 202-489-8802

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From: USCIS Presidential Transition
To: Renaud, Tracy L
Subject: FW: PTO: USCIS Issue Paper-ELIS/Transformation--Due COB Today
Date: Friday, December 09, 2016 4:17:07 PM
Attachments: USCIS Transformation IP 2016 parm comments.OTC.docx

Are you good with this going back to the PTO. Kath made one minor change and addressed the comments.

From: Stanley, Kathleen M
Sent: Friday, December 09, 2016 4:01 PM
To: USCIS Presidential Transition; USCIS MGT Tasks
Cc: Kerns, Kevin J; Renaud, Tracy L; Collins, Anissa A; Clark, Levita S
Subject: RE: PTO: USCIS Issue Paper-ELIS/Transformation--Due COB Today

Please see attached

Kathleen "Kath" Stanley
Chief, Office Transformation Coordination
U.S. Citizenship and Immigration Services
202-272-9401

From: USCIS Presidential Transition
Sent: Friday, December 09, 2016 1:24 PM
To: USCIS MGT Tasks; Stanley, Kathleen M
Cc: Kerns, Kevin J; Renaud, Tracy L; Collins, Anissa A; Clark, Levita S
Subject: FW: PTO: USCIS Issue Paper-ELIS/Transformation--Due COB Today
Importance: High

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Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
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From: Brown II, Melvin
Sent: Friday, December 09, 2016 12:40 PM
To: USCIS Presidential Transition
Cc: Beagles, James; Horowitz, Scott; Halter, Greg; Stewart, Bion
Subject: FW: PTO: USCIS Issue Paper-ELIS/Transformation

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Melvin Brown II
Senior Advisor
Presidential Transition Office
U.S. Department of Homeland Security
Office: (202) 282-8238
Cell: 202-510-6333 (Blackberry)
NAC 01-03-004-B

From: Patrick, David
Sent: Friday, December 9, 2016 12:34 PM
To: Brown II, Melvin <Melvin.Brown@HQ.DHS.GOV>
Cc: Beagles, James <James.Beagles@HQ.DHS.GOV>; Halter, Greg <greg.halter@hq.dhs.gov>;
Horowitz, Scott <Scott.Horowitz@HQ.DHS.GOV>; Micone, Vincent
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<Jeremy.Dusina@HQ.DHS.GOV>; PARMExecSec, <PARMExecSec@HQ.DHS.GOV>
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MGMT – PARM

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Horowitz, Scott <Scott.Horowitz@HQ.DHS.GOV>; Micone, Vincent
<Vincent.Micone@HQ.DHS.GOV>; Stewart, Bion <bion.stewart@hq.dhs.gov>; Brown II, Melvin
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U.S. Department of Homeland Security
Office: (202) 282-8238
Cell: 202-510-6333 (Blackberry)
NAC 01-03-004-B

From: Stewart, Bion

Sent: Friday, December 9, 2016 6:14 AM

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<Stacy.Marcott@HQ.DHS.GOV>; Burriesci, Kelli <kelli.burriesci@hq.dhs.gov>; Maher, Joseph
<Joseph.Maher@HQ.DHS.GOV>; Petyo, Briana <briana.petyo@hq.dhs.gov>; Harris, Mark E (DHS
CFO) <mark.harris@HQ.DHS.GOV>; Cooch, Shila <Shila.Cooch@hq.dhs.gov>; Corbin, Susan
<Susan.Corbin@hq.dhs.gov>

Cc: Beagles, James <James.Beagles@HQ.DHS.GOV>; Brown II, Melvin
<Melvin.Brown@HQ.DHS.GOV>; Horowitz, Scott <Scott.Horowitz@HQ.DHS.GOV>

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Sent: Thursday, December 08, 2016 4:03:39 PM

To: Stewart, Bion

Cc: Horowitz, Scott; Beagles, James; Renaud, Tracy L

Subject: USCIS Issue Paper-ELIS/Transformation

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Thank you,
Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
(c) 202-489-8802

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From: [Micone, Vincent](#)
Subject: FW: Track appointments in real time with the Washington Post
Date: Monday, December 05, 2016 3:39:23 PM

FYI

Thanks,
Vince

Vince Micone
DHS Presidential Transition Officer
and Senior Counselor
Management Directorate
U.S. Department of Homeland Security
(202) 447-3400

From: Partnership for Public Service
Sent: Monday, December 05, 2016 2:03:27 PM
To: Micone, Vincent
Subject: Track appointments in real time with the Washington Post

[View this email in your browser](#)



Announcing the first-ever political appointee tracker

During the past week, President-elect Donald Trump announced several key appointments to his administration. These are just a handful of the 4,000 political positions, including about 1,100 requiring Senate confirmation that he will need to make. It will be impossible for the president-elect to effectively govern our country and prepare for the unexpected if these top leadership jobs remain unfilled by highly-qualified individuals.

That's why I am excited to announce today our

ADVISORY BOARD

Joshua Bolten
Former White House Chief of Staff to President George W. Bush

Clay Johnson
Former Executive Director, Bush-Cheney Presidential Transition

partnership with *The Washington Post* on a new appointments tracker. This first-of-its-kind tracker will follow the progress of more than 650 of President-elect Trump's Senate-confirmed political appointments. These positions include Cabinet secretaries, deputy and assistant secretaries, chief financial officers, general counsels, heads of agencies, ambassadors and other critical leadership jobs. The tracker will provide data on both number of appointments filled and the progress of candidates as they go through the nomination and confirmation process.

In administrations past, the road to identifying and nominating leaders for critical positions and then getting them confirmed has had its share of potholes. This appointments tracker will play a key role in holding both the president-elect and the Senate accountable for ensuring the top leaders are in place to effectively manage the federal workforce and move forward on the administration's policies.

The Partnership's Center for Presidential Transition believes that the president-elect should have the top 100 department and agency leaders confirmed immediately after Inauguration Day, with 300 more key political positions filled by the August 2017 congressional recess. While the rate of cabinet picks and White House staff during past transitions is a useful metric, it shouldn't be the measure of success. The benchmark should be whether or not President-elect Trump will be ready to govern on day one, not that he meets outdated standards. We look forward to following the progress toward these goals through the tracker.

Please visit <http://wapo.si/appointee-tracker> to start tracking President-elect Trump's appointments. I also hope you will take a moment to visit the Center's website for more information about the appointments process, including position descriptions for many of these leadership positions and critical information about federal agencies, including the health of the workforce, technology issues and more.

Best wishes,



Ted Kaufman
Former Senator
Advisor, Obama-Biden
Transition Project

Michael Leavitt
Former Governor of Utah
Former Chairman, Romney
Readiness Project

Thomas "Mack" McLarty
Former Chief of Staff to
President
Bill Clinton

Donna Shalala
Former Secretary, U.S.
Department of Health and
Human Services


Max Stier


*For more information about the Center for Presidential Transition,
please register today for our weekly newsletter.*




*The Partnership's presidential transition work is made possible with support from
The Boston Consulting Group and the following companies and foundations: Accenture, the Laura and John Arnold
Foundation, Deloitte, the Ford Foundation, the IBM Center for the Business of Government, McKinsey & Company,
PricewaterhouseCoopers, and the Rockefeller Brothers Fund.*



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Partnership for Public Service
1100 New York Ave NW
STE 200 E
Washington, DC 20005

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You can [update your preferences](#) or [unsubscribe from this list](#)

From: Matthews, Tara A
To: Farnam, Julie E; USCIS Presidential Transition
Cc: Emrich, Matthew D; Davidson, Andrew J; Zellen, Lorie A; Langlois, Joseph E; Strack, Barbara L; Stone, Mary M; Renaud, Tracy L
Subject: FW: Transition Team Briefing Request--Refugee Processing and Vetting
Date: Tuesday, November 29, 2016 4:42:18 PM
Attachments: Refugee Processing and Vetting Presentation.pptx

Please see the attached briefing. Thank you.

V/r,

Tara A. Matthews
Special Assistant, FDNS Front Office
P: 202-272-9329
E: tara.matthews@uscis.dhs.gov

From: USCIS Presidential Transition
Sent: Tuesday, November 29, 2016 8:53:08 PM
To: Strack, Barbara L; Stone, Mary M; Emrich, Matthew D
Cc: Langlois, Joseph E; Davidson, Andrew J; Renaud, Tracy L
Subject: RE: Transition Team Briefing Request--Refugee Processing and Vetting

Just a friendly reminder that if you intend to have a PowerPoint or other presentation materials at this briefing, I will need them today.

Thank you,
Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
(c) 202-489-8802

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From: Renaud, Tracy L
Sent: Monday, November 28, 2016 3:18 PM
To: Strack, Barbara L; Stone, Mary M; Emrich, Matthew D; USCIS Presidential Transition
Cc: Langlois, Joseph E; Davidson, Andrew J
Subject: RE: Transition Team Briefing Request--Refugee Processing and Vetting

So far only the two leads for DHS have cleared security so right now it will only be them unless others clear within the next day or two. The two leads are Michael Dougherty and Dr James Carafano.

Please make sure any slide deck you intend to use is given to Julie by COB tomorrow so we can get OCC clearance before the briefing.

From: Strack, Barbara L
Sent: Monday, November 28, 2016 3:13:40 PM
To: Stone, Mary M; Emrich, Matthew D; USCIS Presidential Transition
Cc: Renaud, Tracy L; Langlois, Joseph E; Davidson, Andrew J
Subject: RE: Transition Team Briefing Request--Refugee Processing and Vetting

So it begins...

Would you let me know the names once you learn who will be there for the transition?
Thanks.

From: Stone, Mary M
Sent: Monday, November 28, 2016 2:29:30 PM
To: Emrich, Matthew D; USCIS Presidential Transition; Strack, Barbara L
Cc: Renaud, Tracy L; Langlois, Joseph E; Davidson, Andrew J
Subject: RE: Transition Team Briefing Request--Refugee Processing and Vetting

Thanks Julie.

From: Emrich, Matthew D
Sent: Monday, November 28, 2016 2:14 PM
To: USCIS Presidential Transition; Strack, Barbara L; Stone, Mary M
Cc: Renaud, Tracy L; Langlois, Joseph E; Davidson, Andrew J
Subject: RE: Transition Team Briefing Request--Refugee Processing and Vetting

10-4..

From: USCIS Presidential Transition
Sent: Monday, November 28, 2016 2:10 PM
To: Strack, Barbara L; Emrich, Matthew D; Stone, Mary M
Cc: Renaud, Tracy L; Langlois, Joseph E; Davidson, Andrew J
Subject: Transition Team Briefing Request--Refugee Processing and Vetting
Importance: High

Mary Margaret/Matt,

The president-elect's transition Landing Team has requested a briefing on refugee processing and vetting. This briefing is tentatively scheduled for Thursday afternoon, but this date/time is subject to change. Please be prepared to present for approximately 30 minutes and then have 30 minutes of discussion and questions. This time may need to be consolidated depending on the Landing Team's schedule. The briefing will likely take place at the NAC. As I receive more information, I will

let you know. I will also schedule an internal USCIS-only pre-brief for Wednesday. Thank you for your work on this and for your flexibility and understanding.

Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
(c) 202-489-8802

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Security Vetting in the Refugee Process

Transition Briefing

December 1, 2016

Introduction

USRAP

- An interagency effort involving governmental and non-governmental partners.

DHS/USCIS role

- Adjudication (Eligibility determination)
- Security checks

Vetting

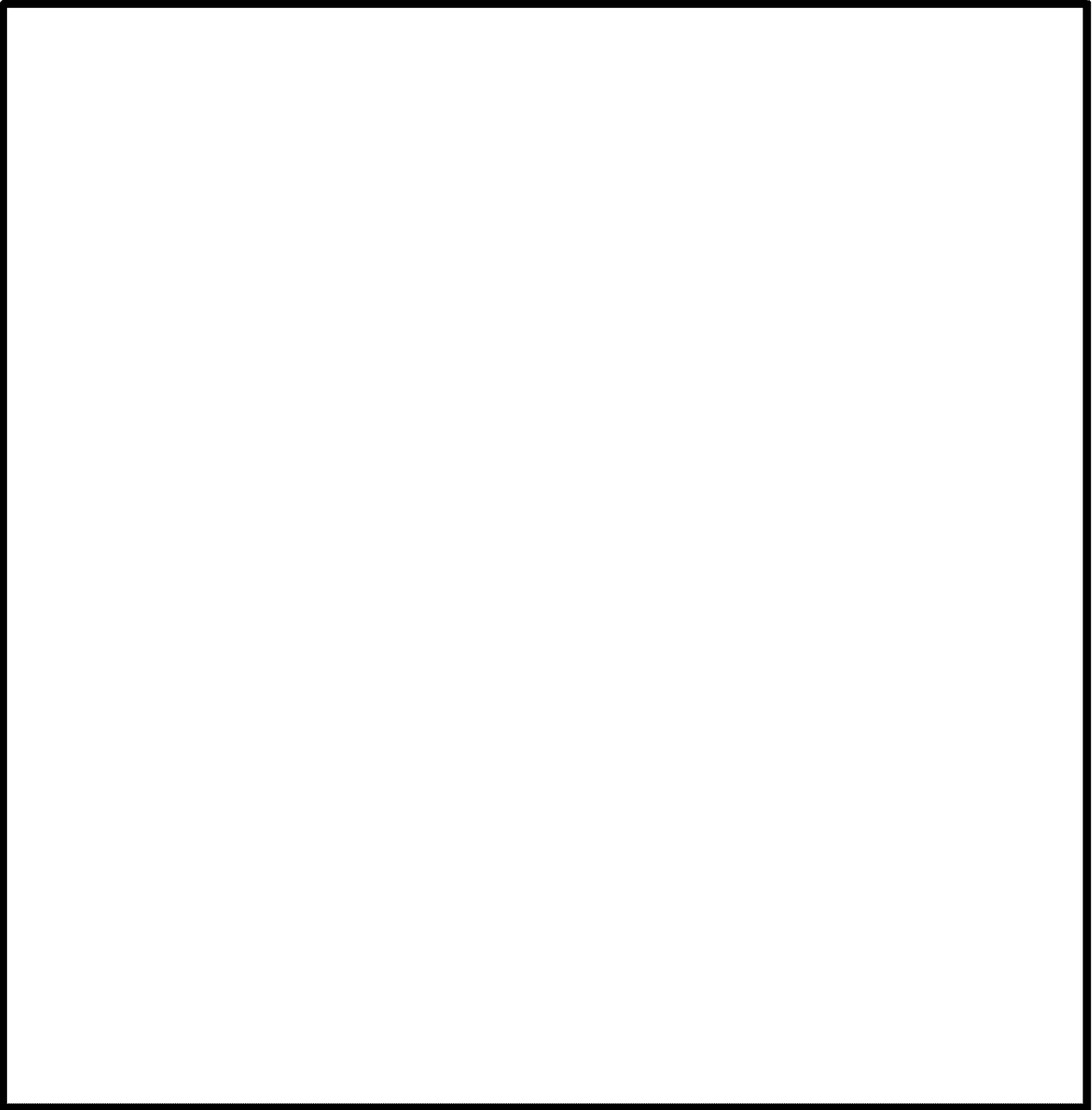
- Refugee applicants undergo the highest level of background and security checks of any category of traveler to the United States.

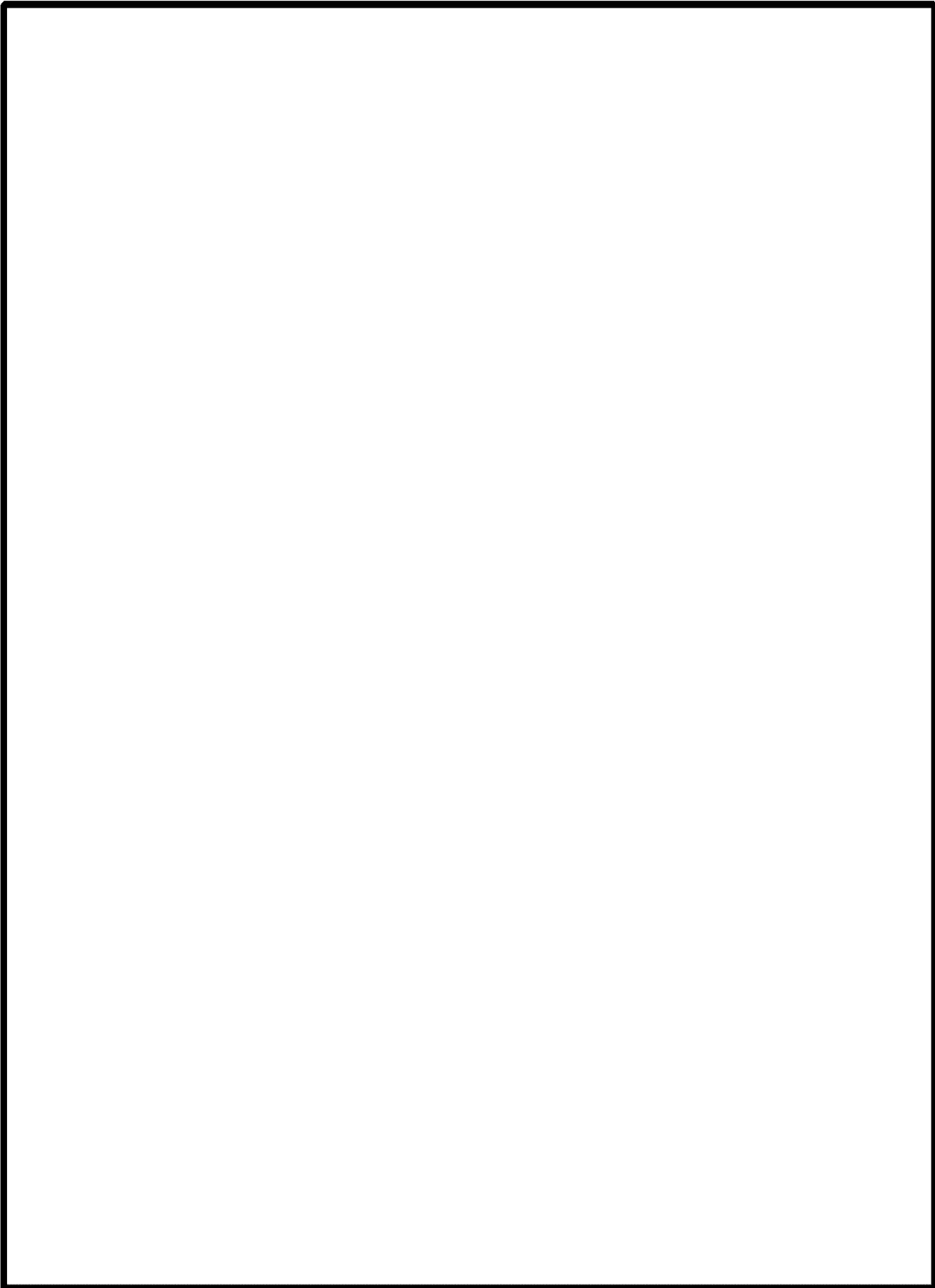
With respect to the challenges presented the Syrian refugee population because of limited intelligence holdings, we have for years safely admitted smaller numbers of Syrian refugees and we have a great deal of experience screening and admitting larger numbers of refugees from other similar environments.

(b)(7)(e)

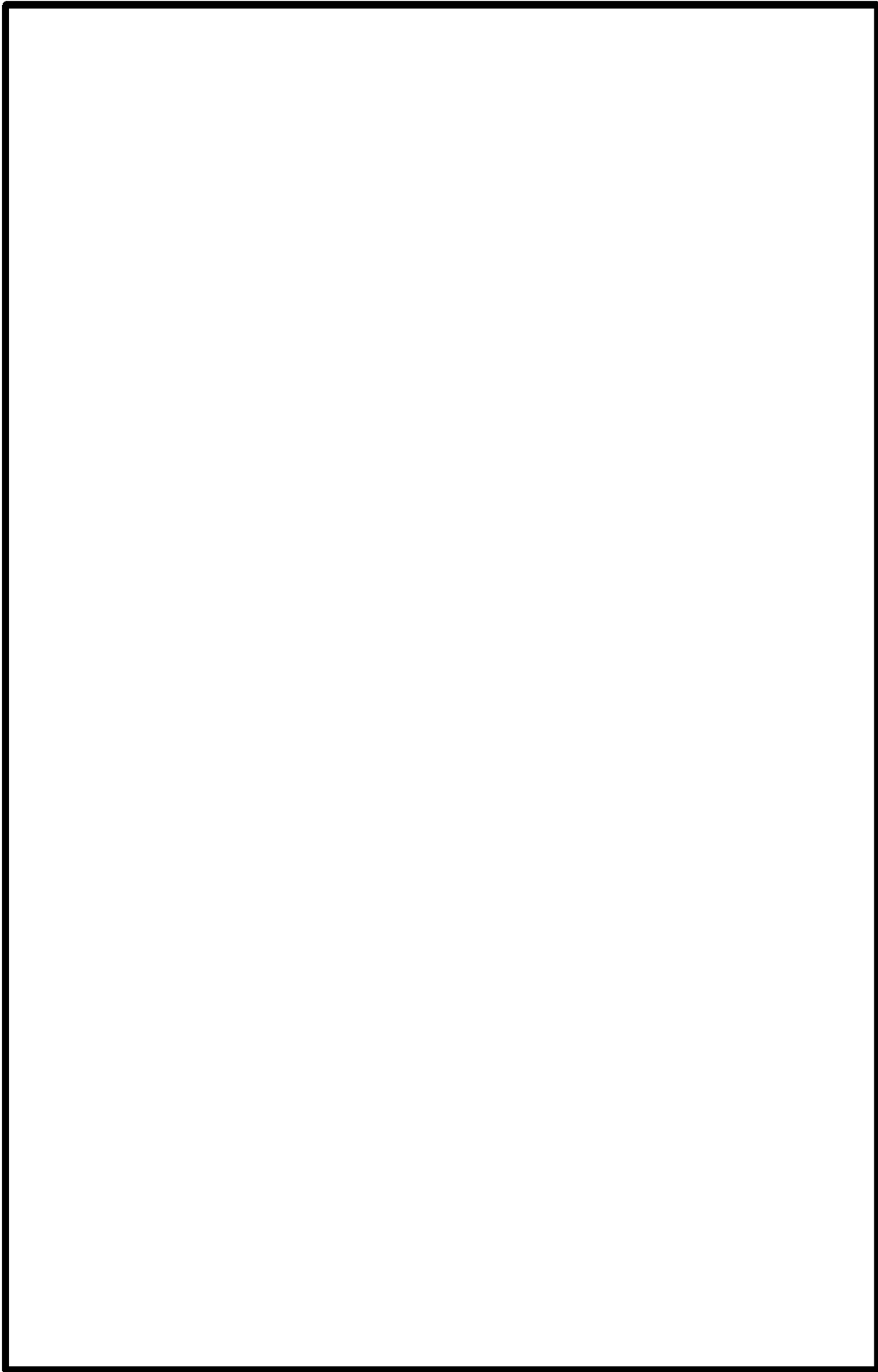
my colleague will discuss these Syria-specific measures in a few minutes.

(b)(7)(e)

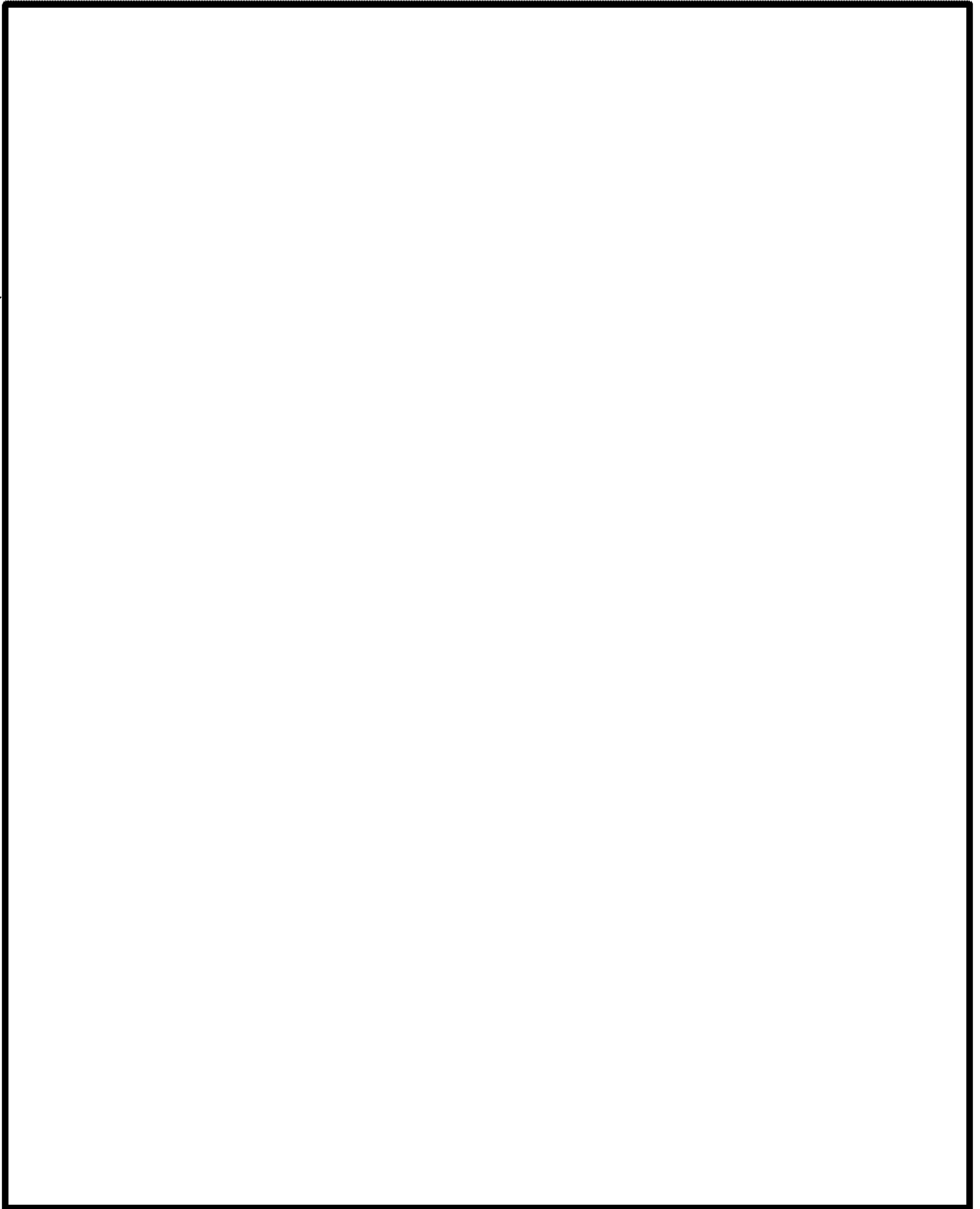




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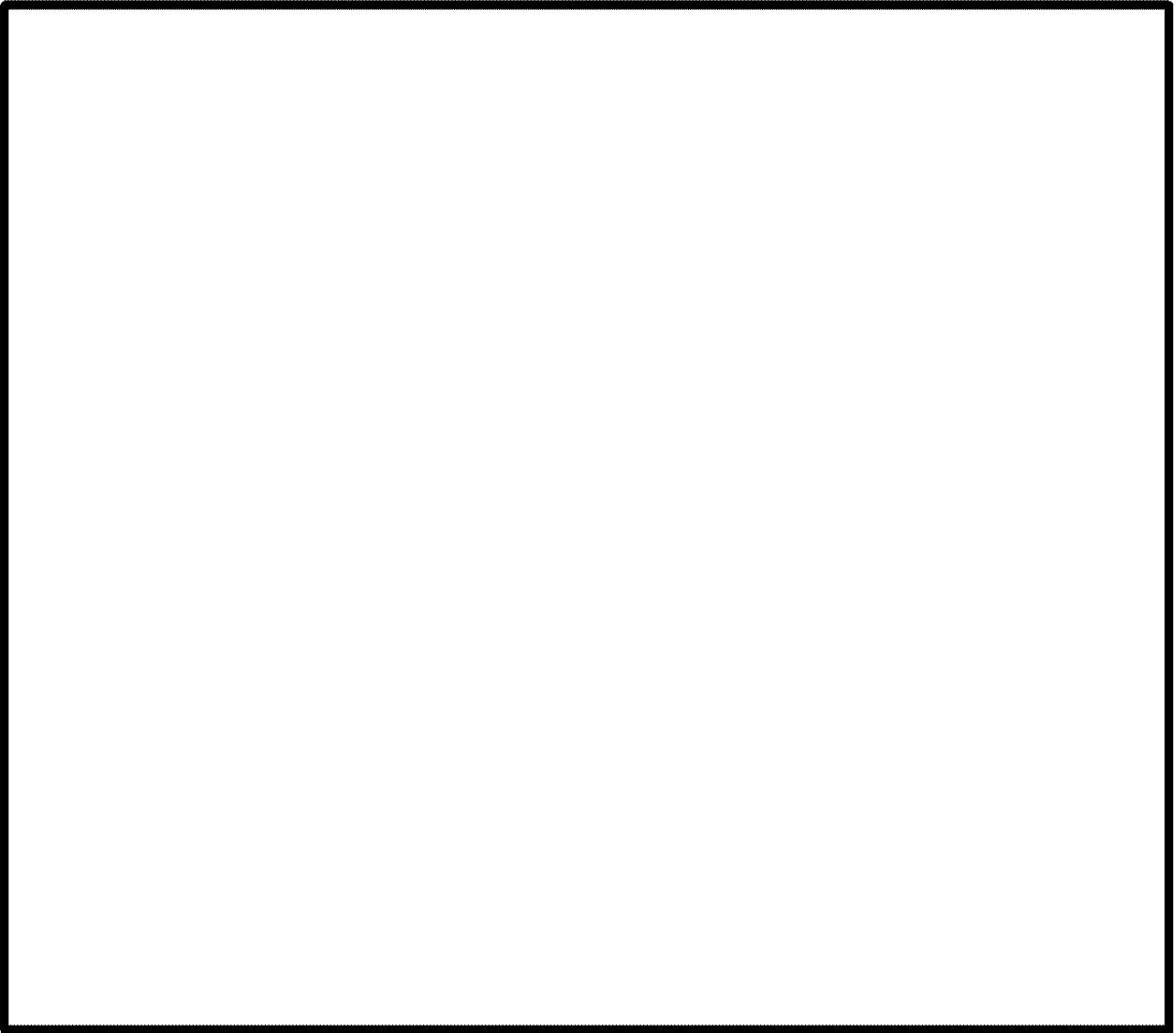
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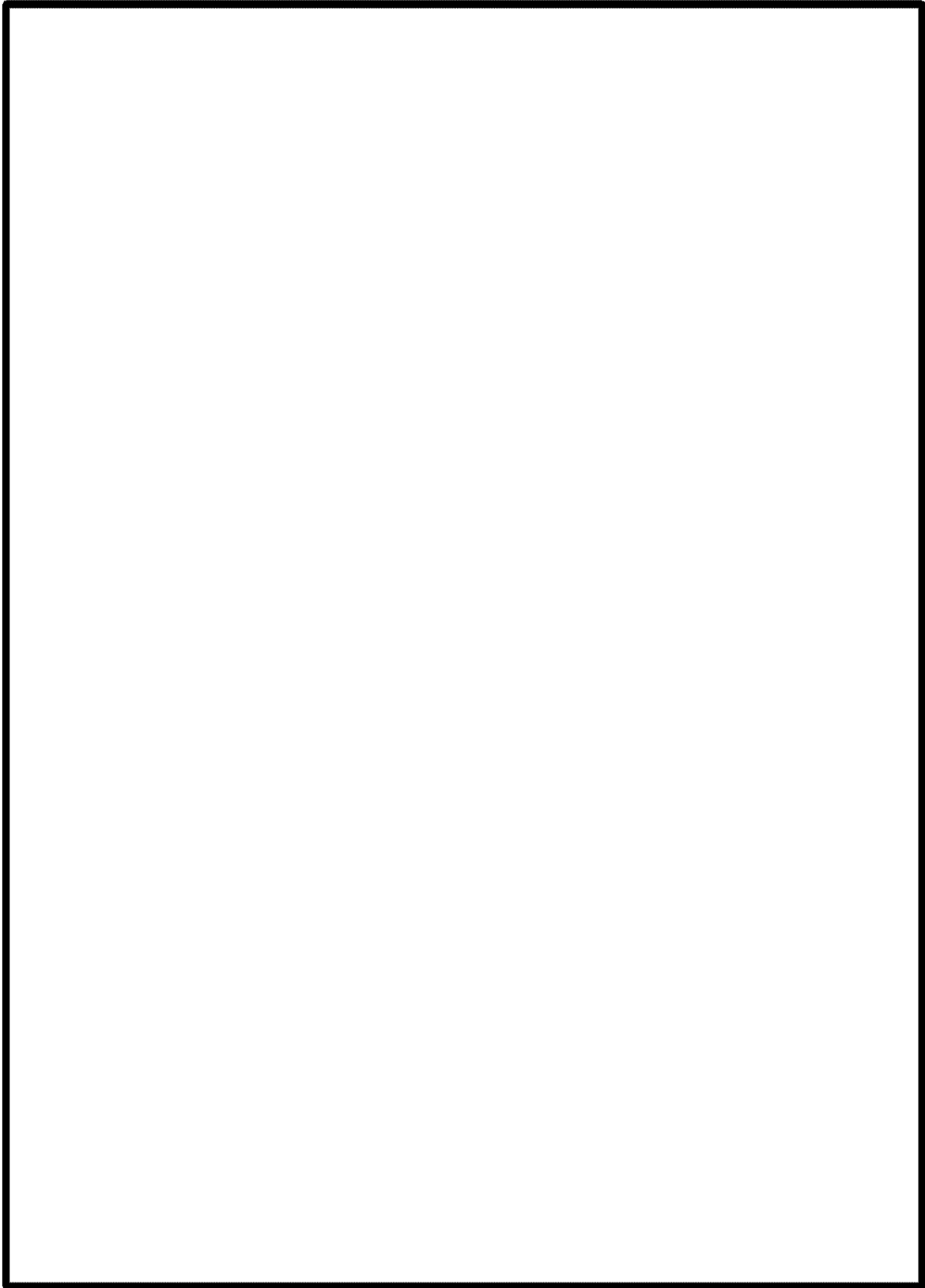
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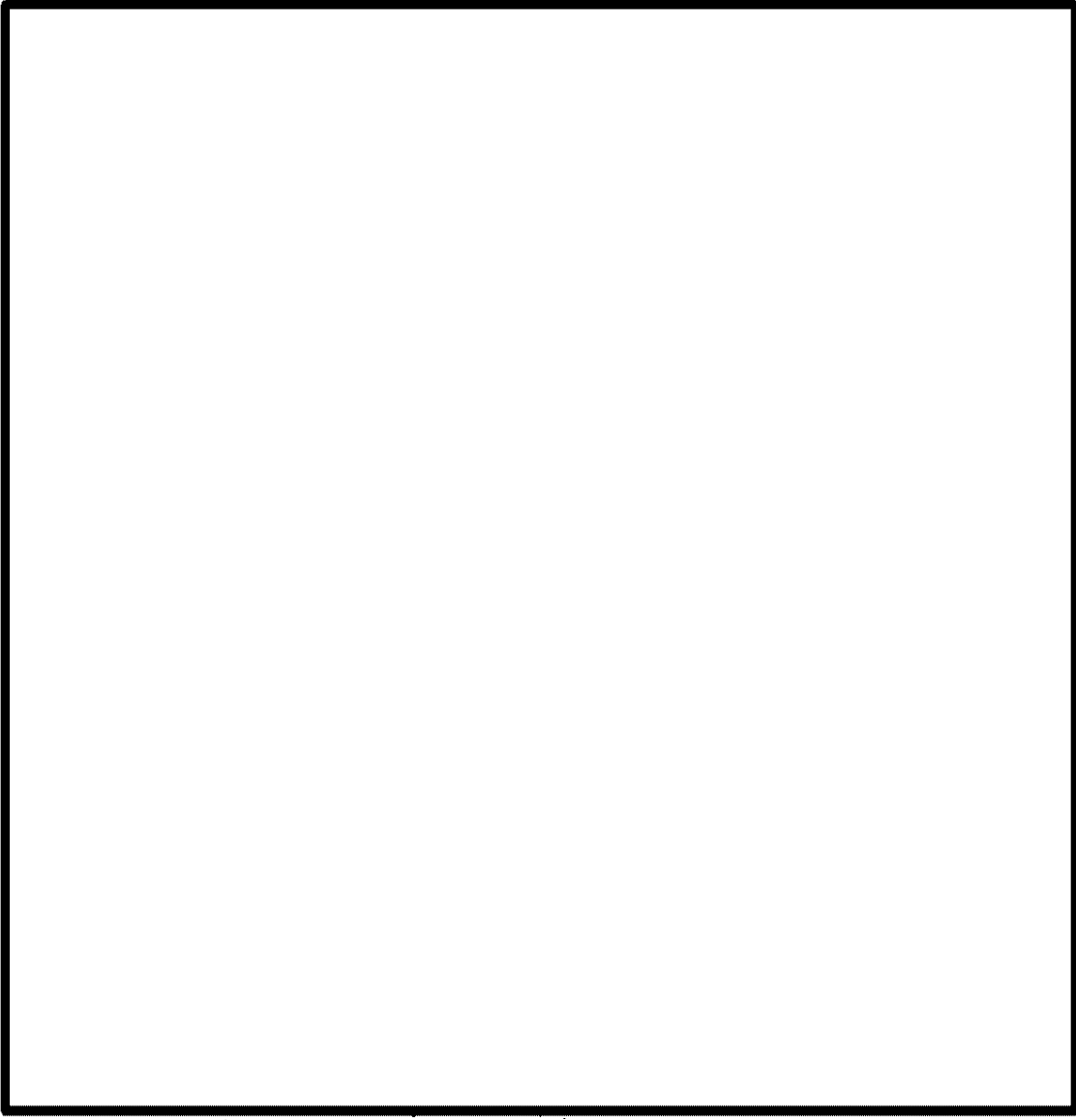
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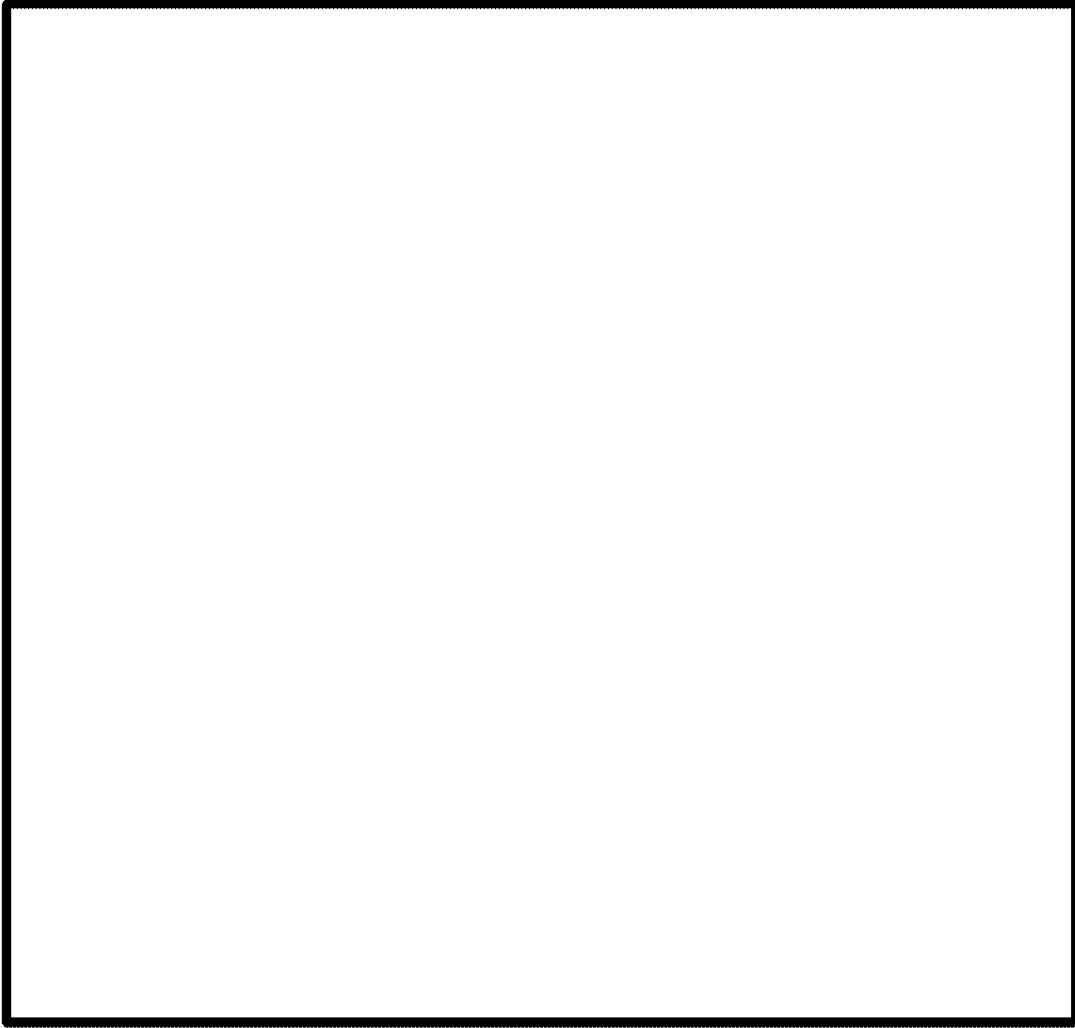
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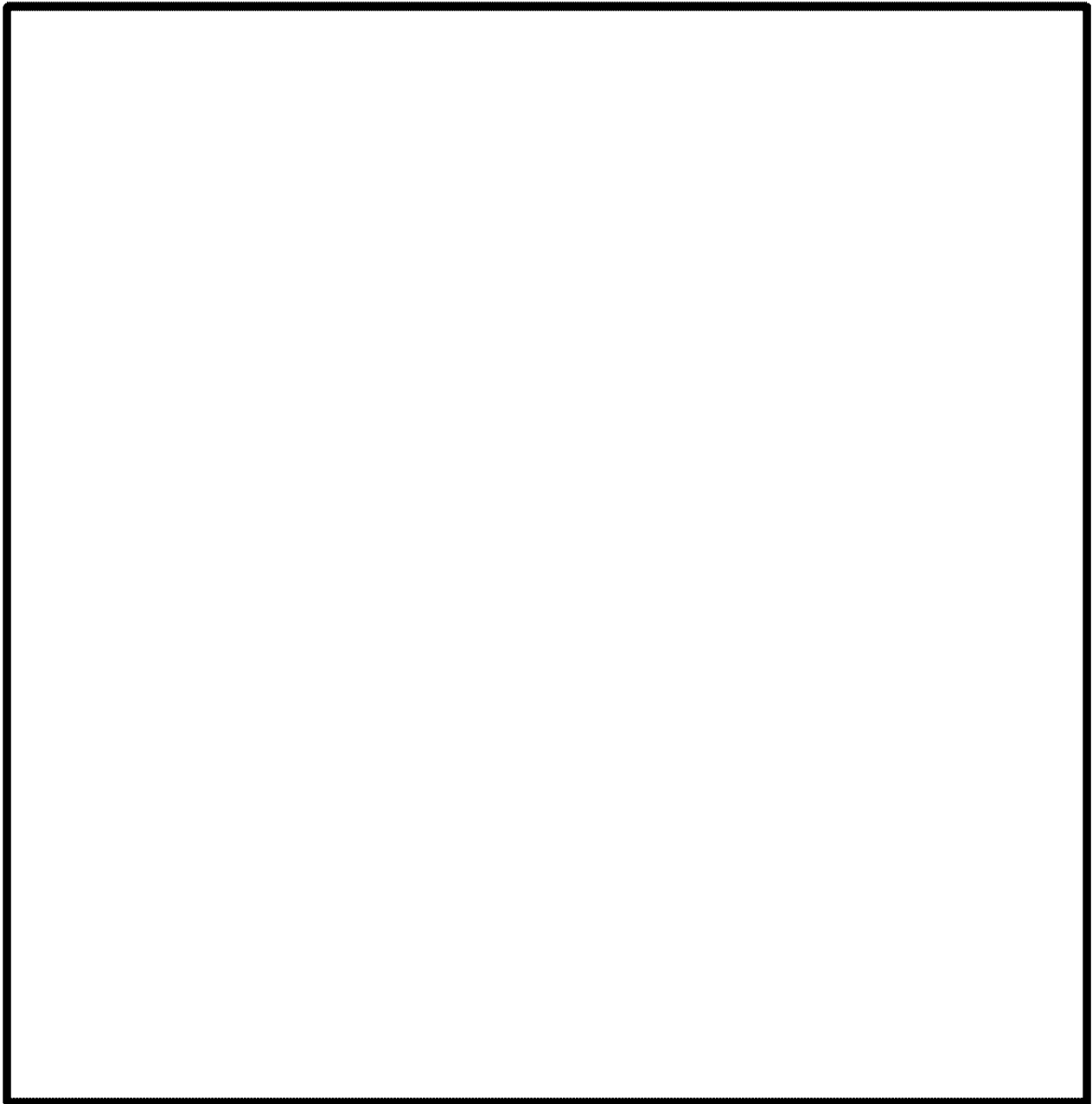


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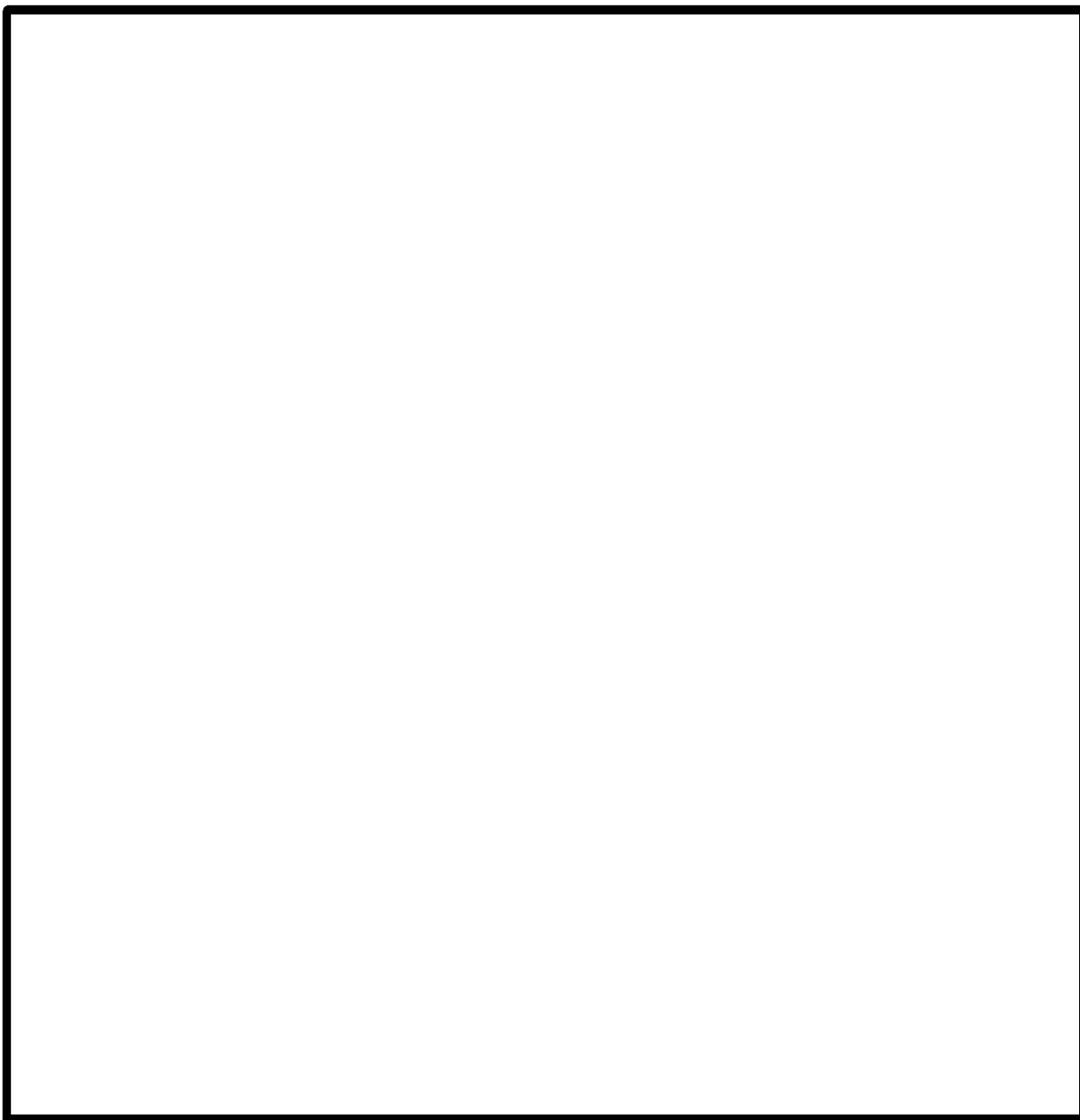




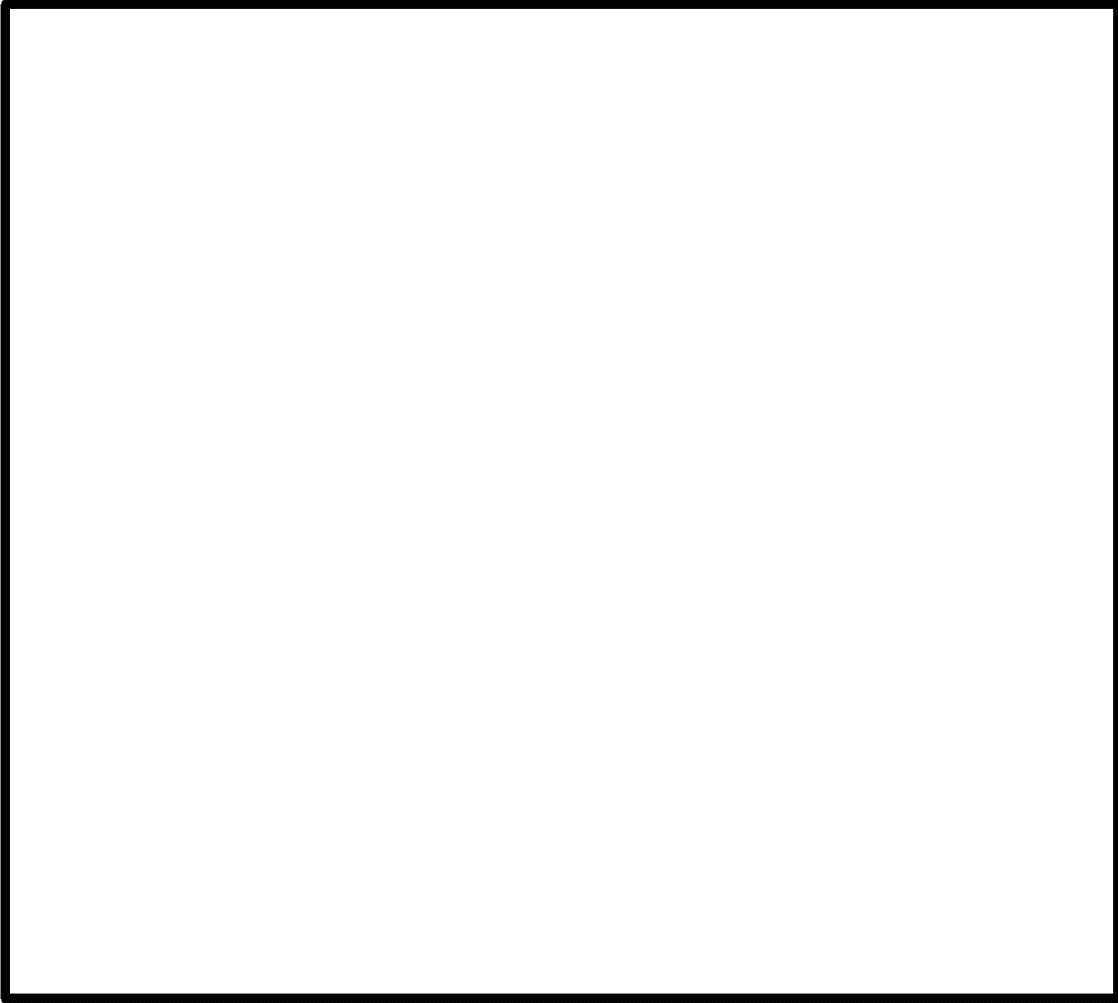
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(b)(7)(e)



From: Micone, Vincent
Subject: FW: Transition Update: Additional 30 ART members for 14 existing ARTs (Energy, HHS, DHS, Labor, State, Interior, Treasury, Transportation, VA, EPA, GSA, OMB, OPM, and ODNI)
Date: Tuesday, December 06, 2016 3:46:56 PM

SCAOs,

Please see the additional names for DHS. More will be coming.

Thanks,
Vince

Vince Micone
DHS Presidential Transition Officer
and Senior Counselor
Management Directorate
U.S. Department of Homeland Security
(202) 447-3400

From: Micone, Vincent
Sent: Tuesday, December 06, 2016 2:07 PM
To: PTO Core Team <PTOCoreTeam@hq.dhs.gov>
Subject: FW: Transition Update: Additional 30 ART members for 14 existing ARTs (Energy, HHS, DHS, Labor, State, Interior, Treasury, Transportation, VA, EPA, GSA, OMB, OPM, and ODNI)

From: Mayock, Andrew EOP/OMB
Sent: Tuesday, December 06, 2016 1:21:02 PM
Subject: Transition Update: Additional 30 ART members for 14 existing ARTs (Energy, HHS, DHS, Labor, State, Interior, Treasury, Transportation, VA, EPA, GSA, OMB, OPM, and ODNI)

(b)(5)



From: USCIS Presidential Transition
To: Pontinen, Kaiya; Mathias, Susan
Cc: Renaud, Tracy L
Subject: Issue Paper--OIG Report on Incomplete Fingerprint Records
Date: Tuesday, December 13, 2016 10:49:50 AM
Attachments: USCIS_OIG_Report_IP_2016.docx

Kaiya,

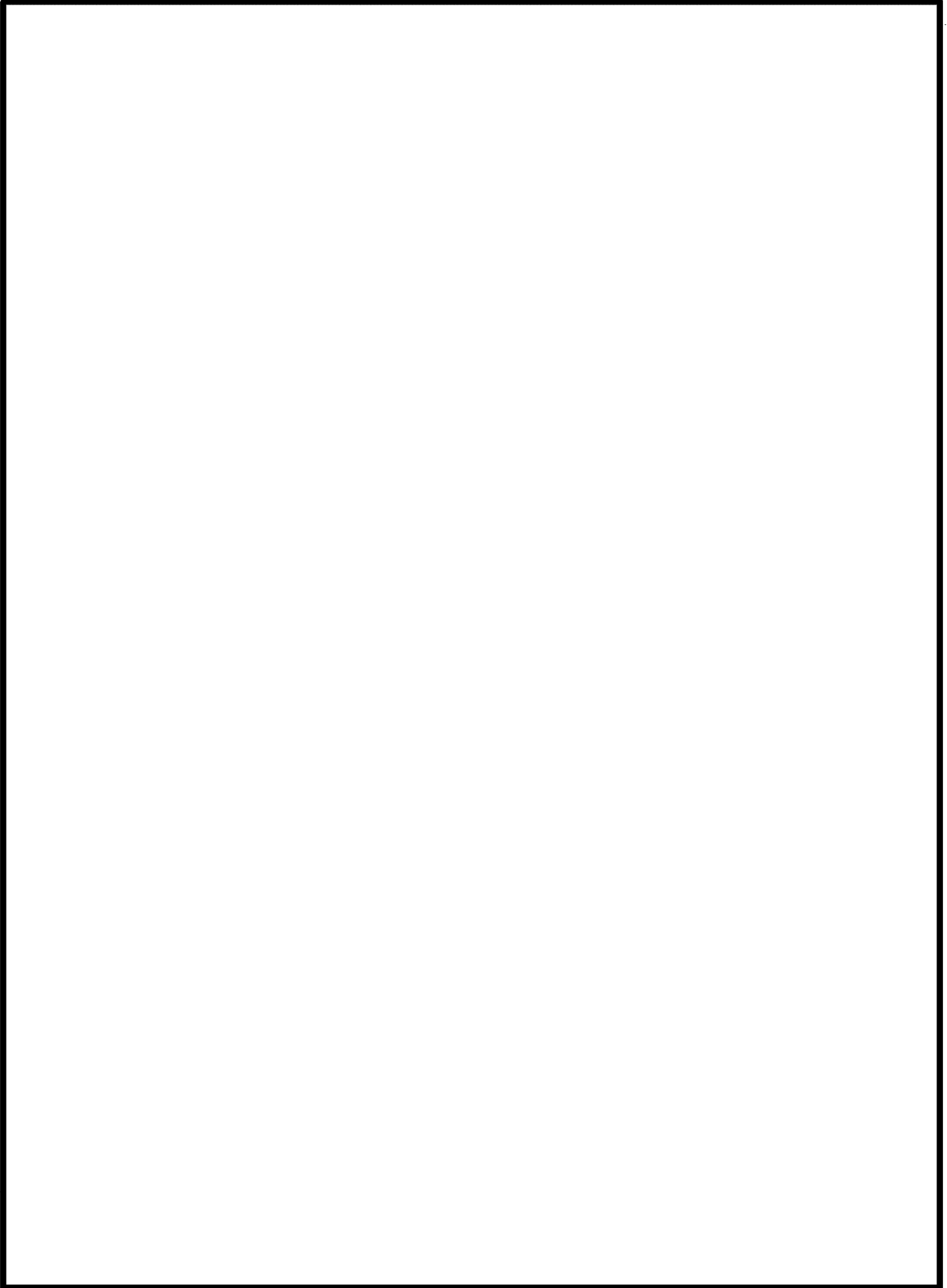
As discussed last week, attached is the issue paper USCIS drafted regarding the OIG report

(b)(5)

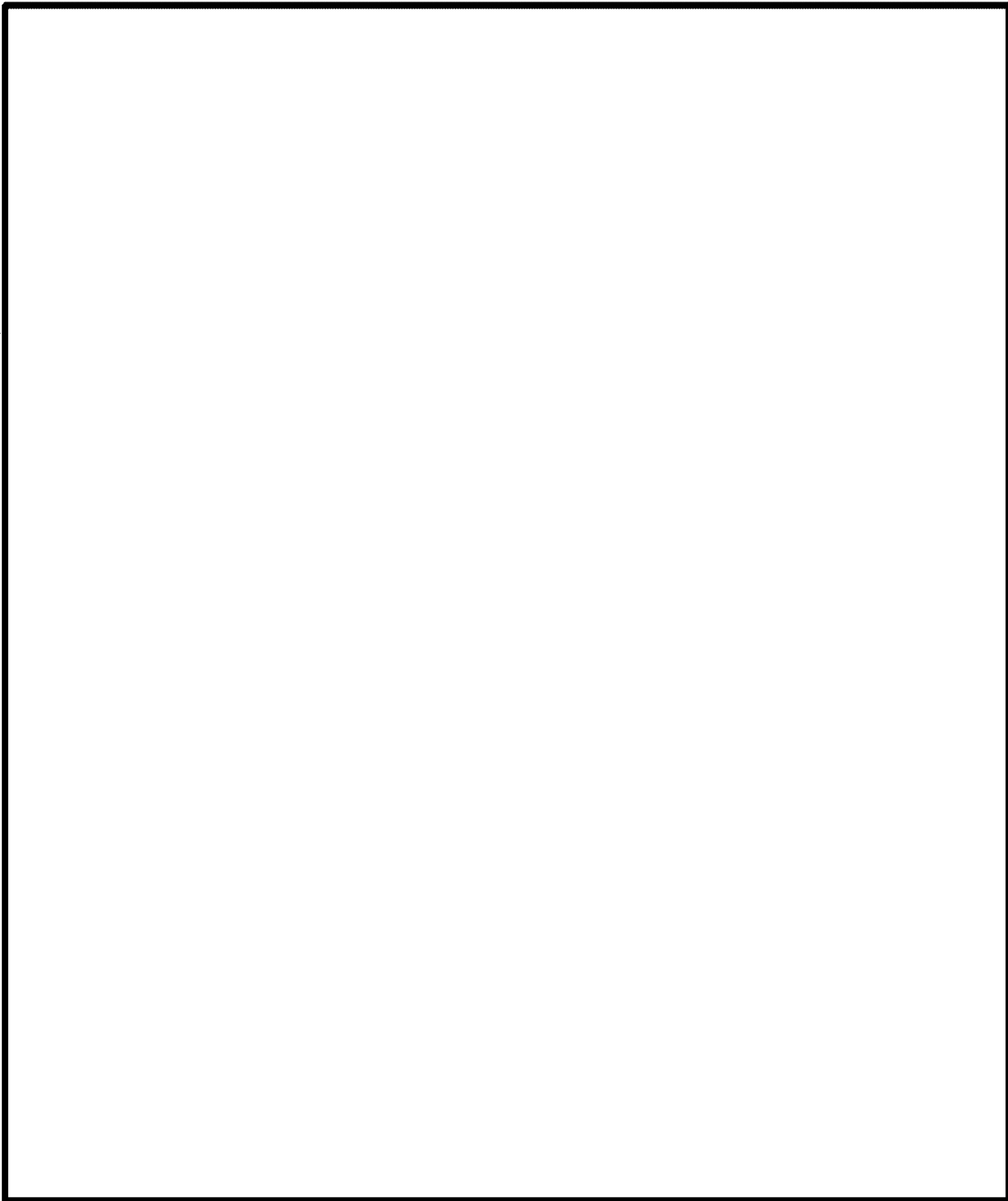
Thank you,
Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
(c) 202-489-8802

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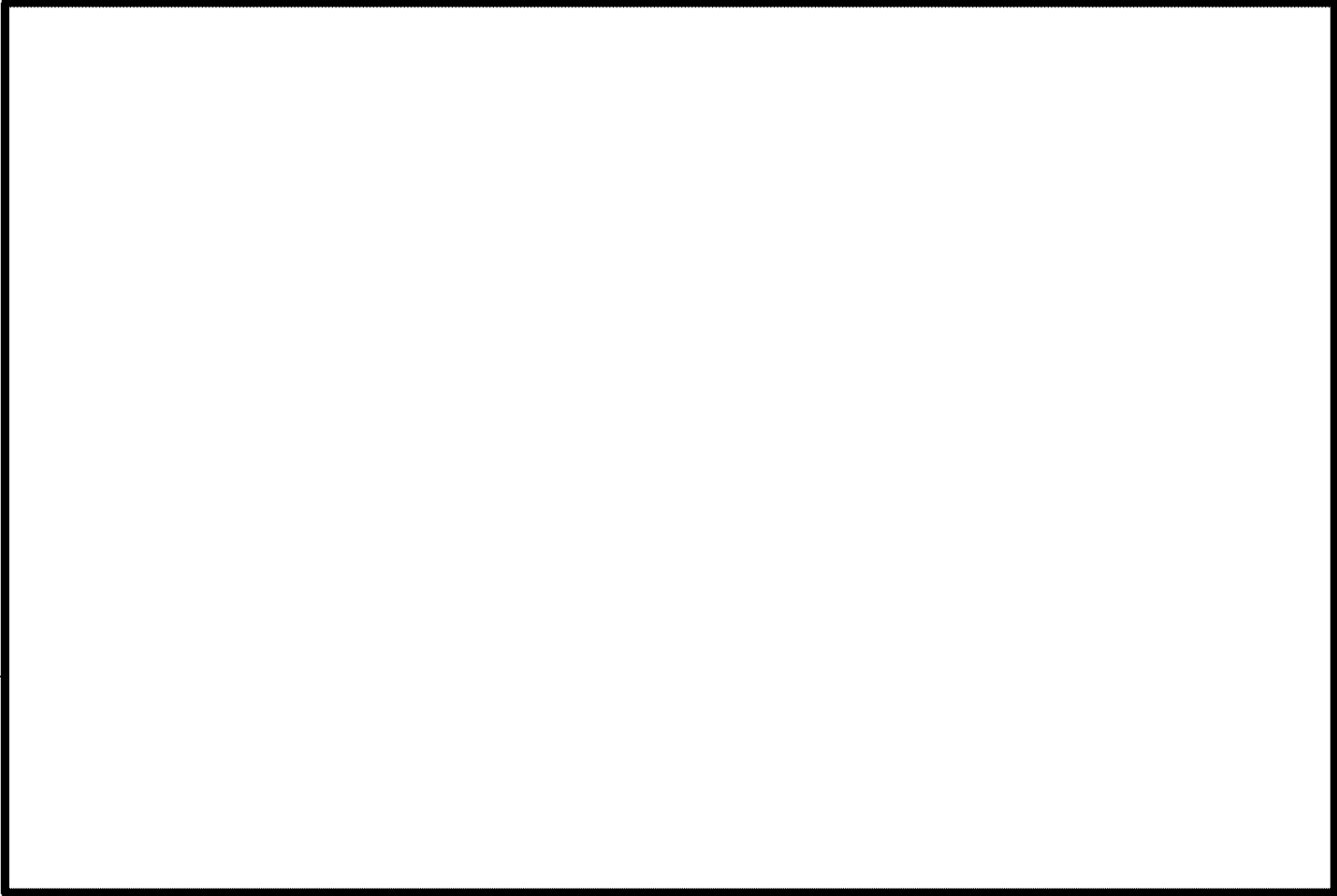




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2/2

From: [Hoefler, Michael D](#)
To: [Renaud, Tracy L](#); [Kerns, Kevin J](#)
Cc: [Frederick, Precious A](#)
Subject: OPQ Immigration Statistics Transitional Paper
Date: Tuesday, December 13, 2016 1:46:44 PM
Attachments: [USCIS Immigration Statistics and Trends Final.docx](#)
[Presidential Transition Trends and Statistics Appendix Charts.pptx](#)

Tracy,

Here is an electronic copy of the transition paper we did in the summer. I do have an updated version with data as of September 2016 which I will send you as soon as possible. I just reviewed the latest version and some corrections are needed.

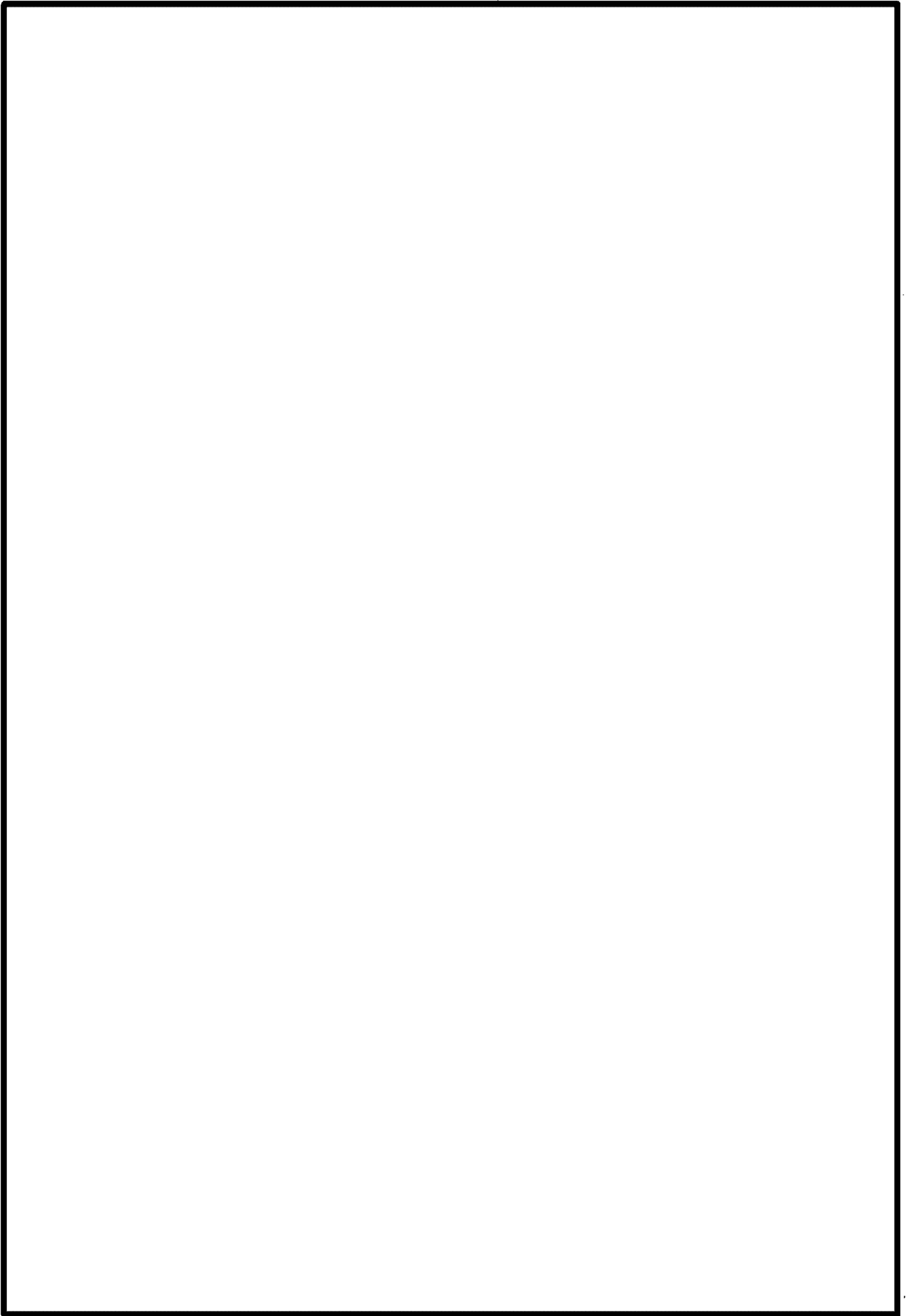
Mike

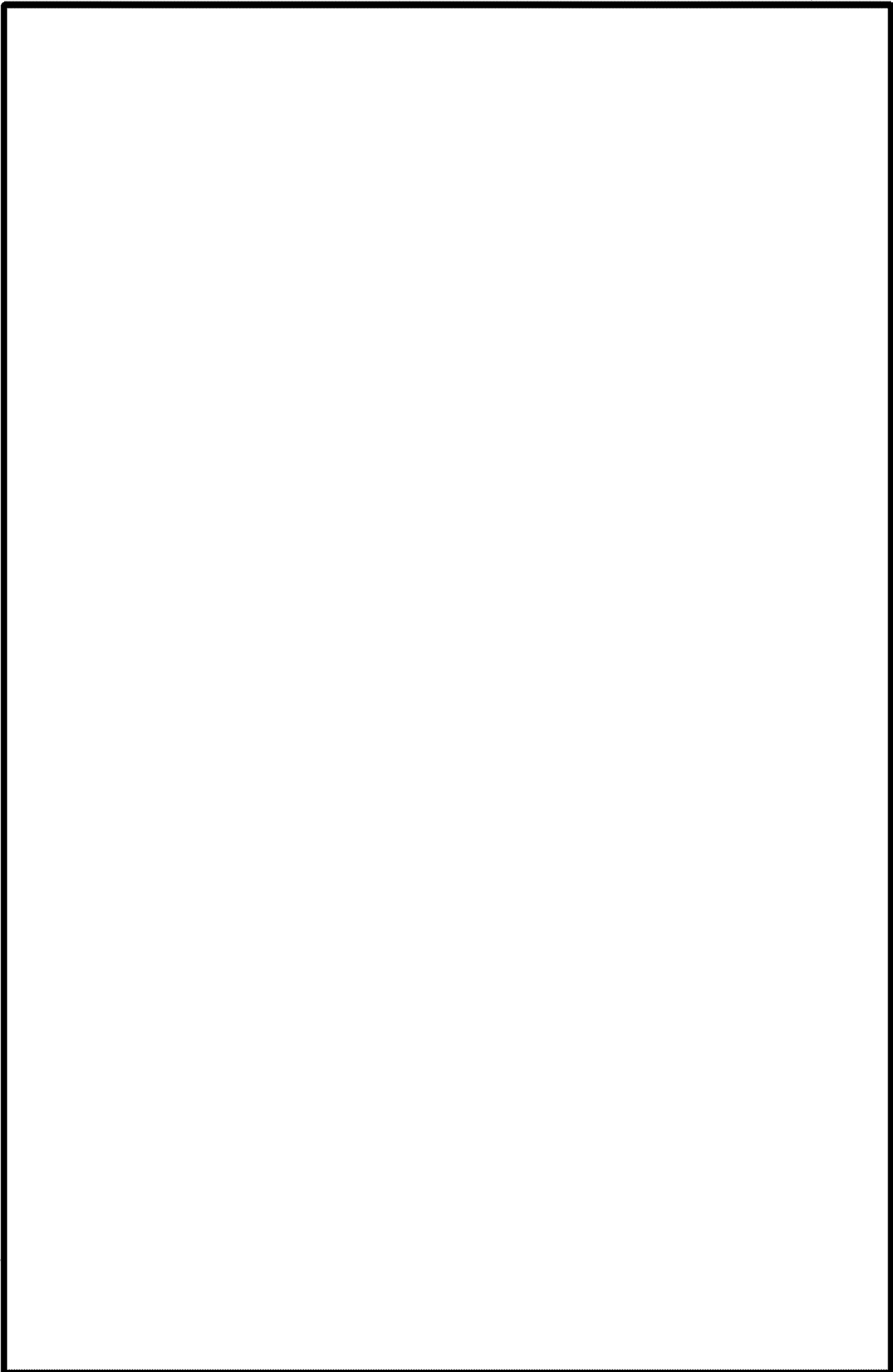
Michael Hoefler
Chief, Office of Performance and Quality
U.S. Citizenship and Immigration Services

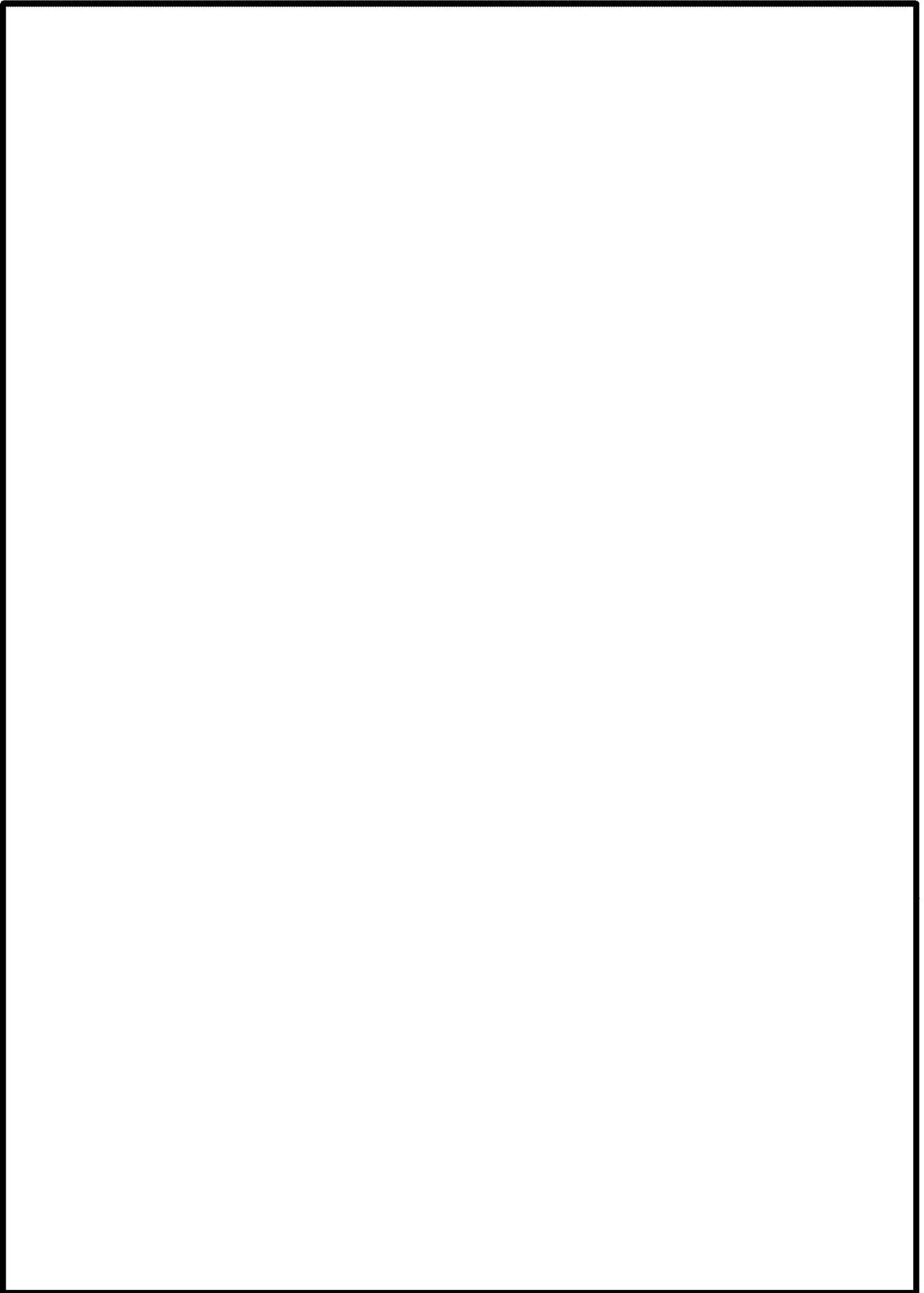
202 272-1258

Michael.D.Hoefler@uscis.dhs.gov

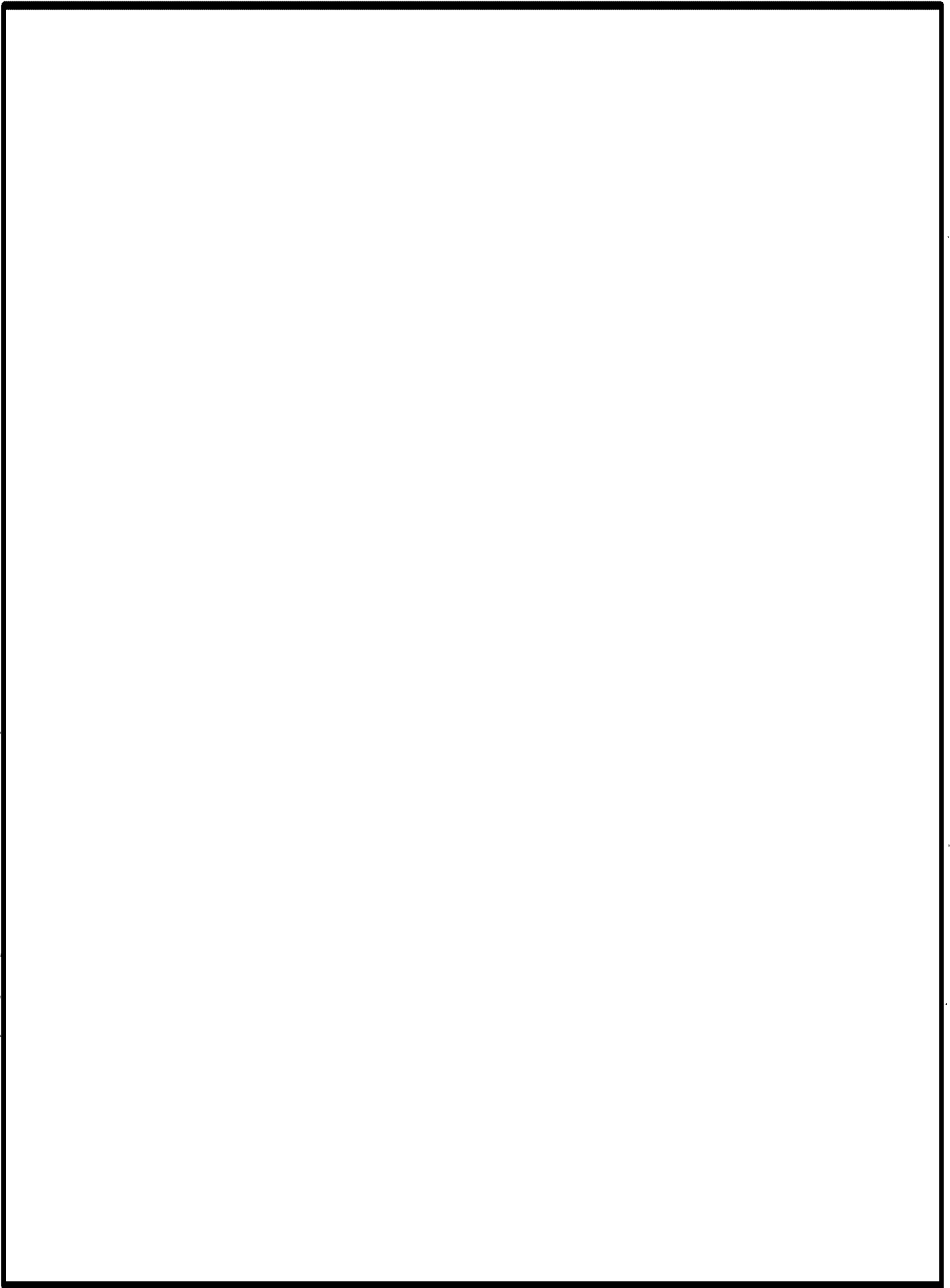
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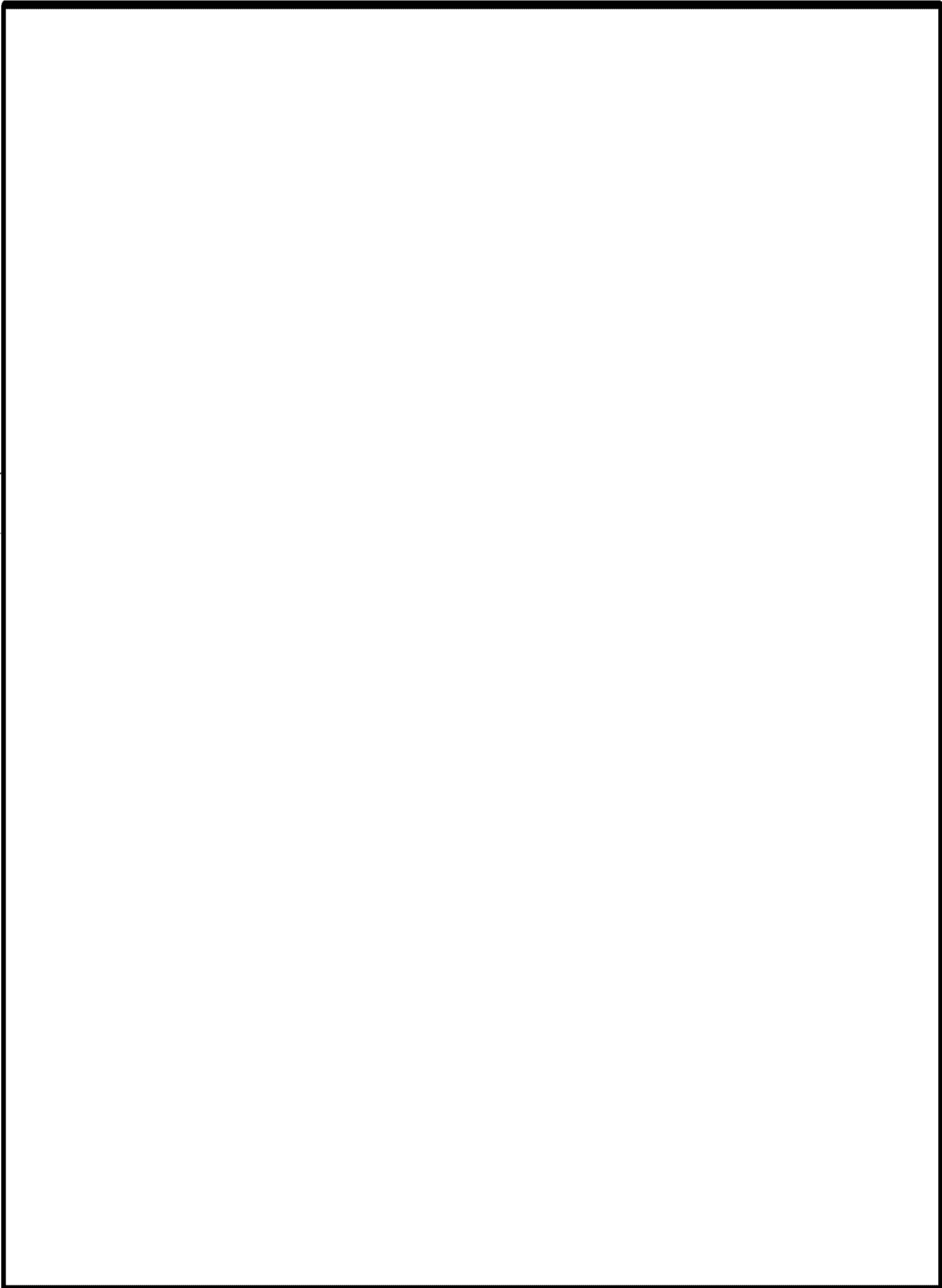




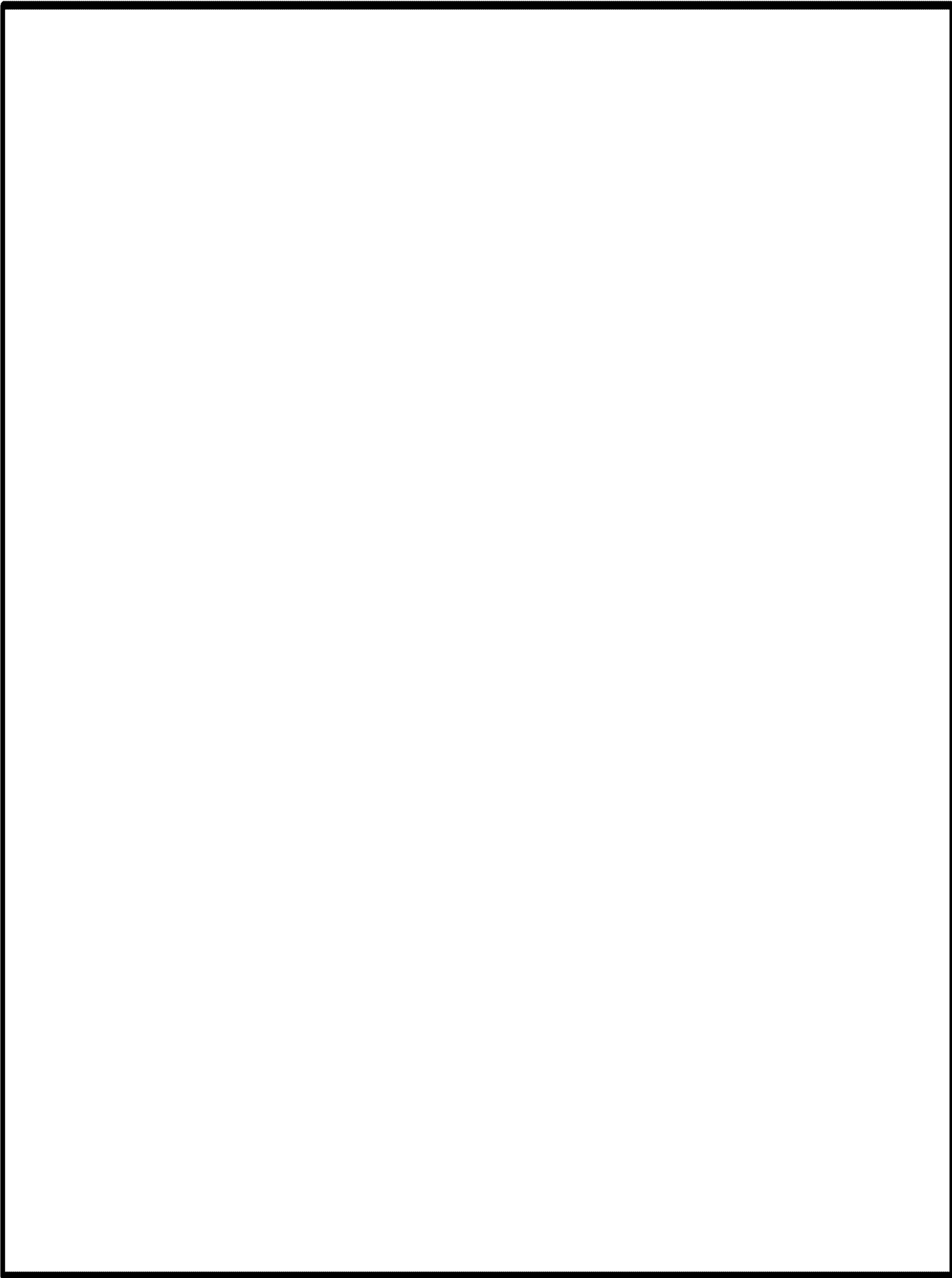
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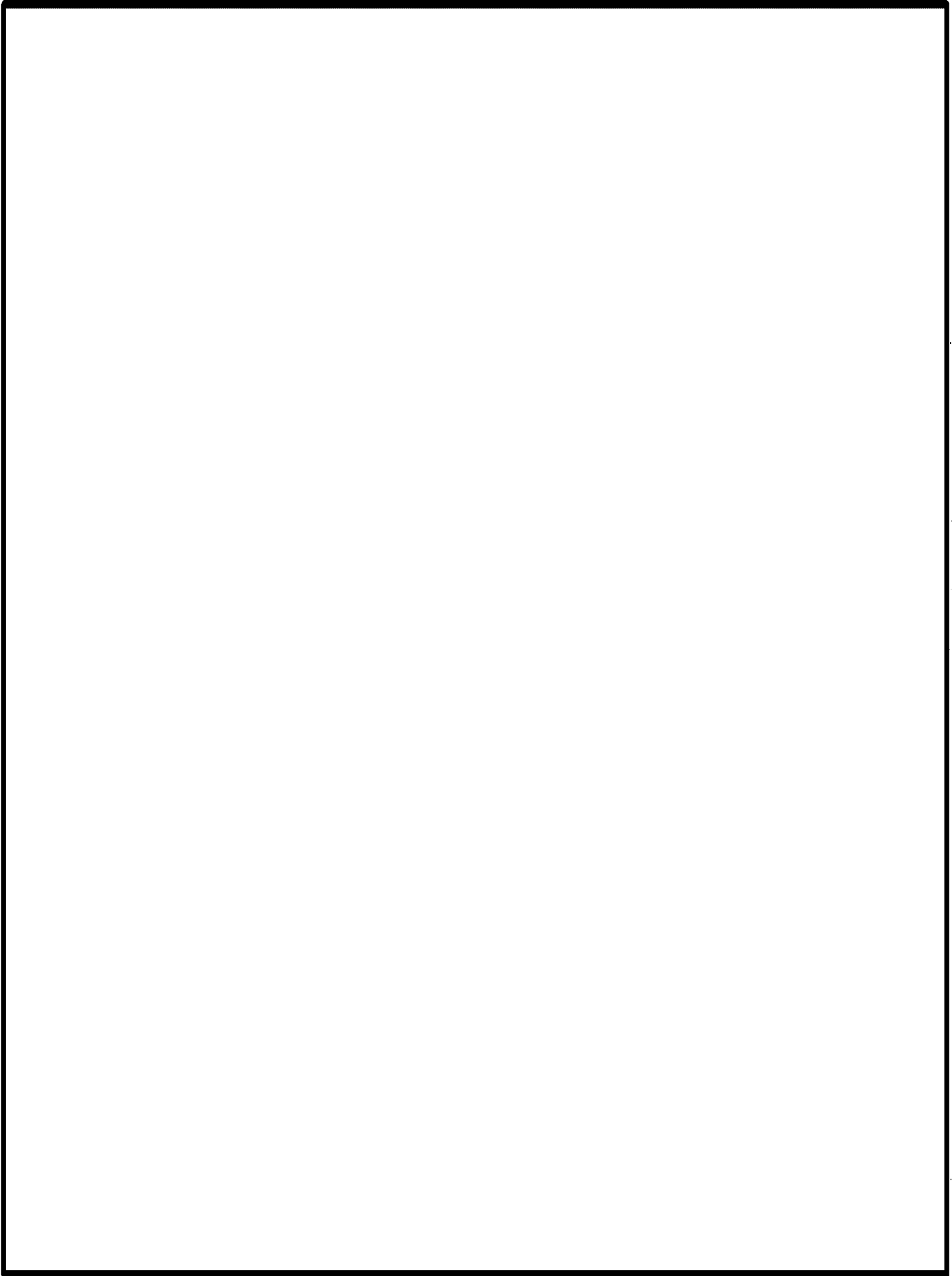


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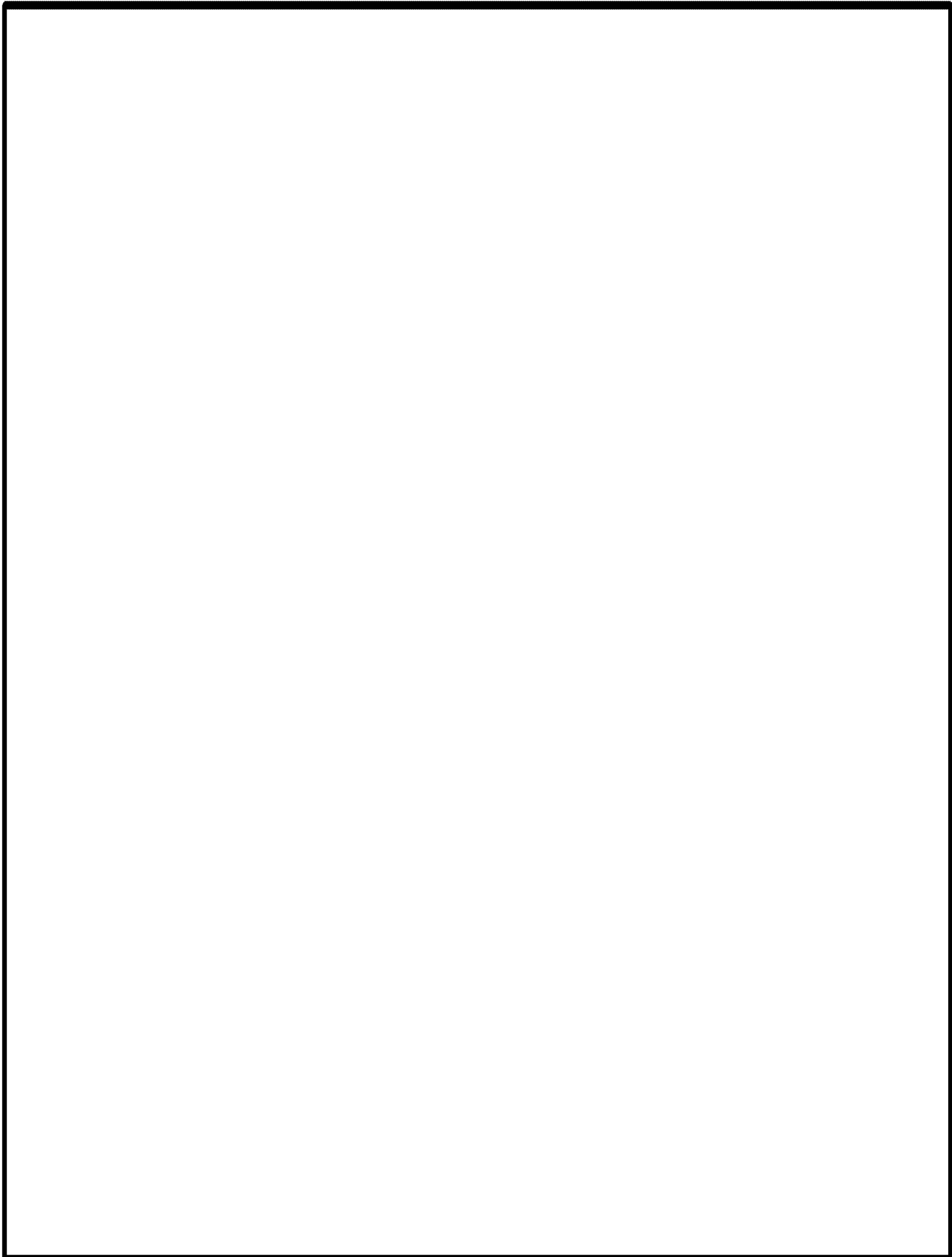


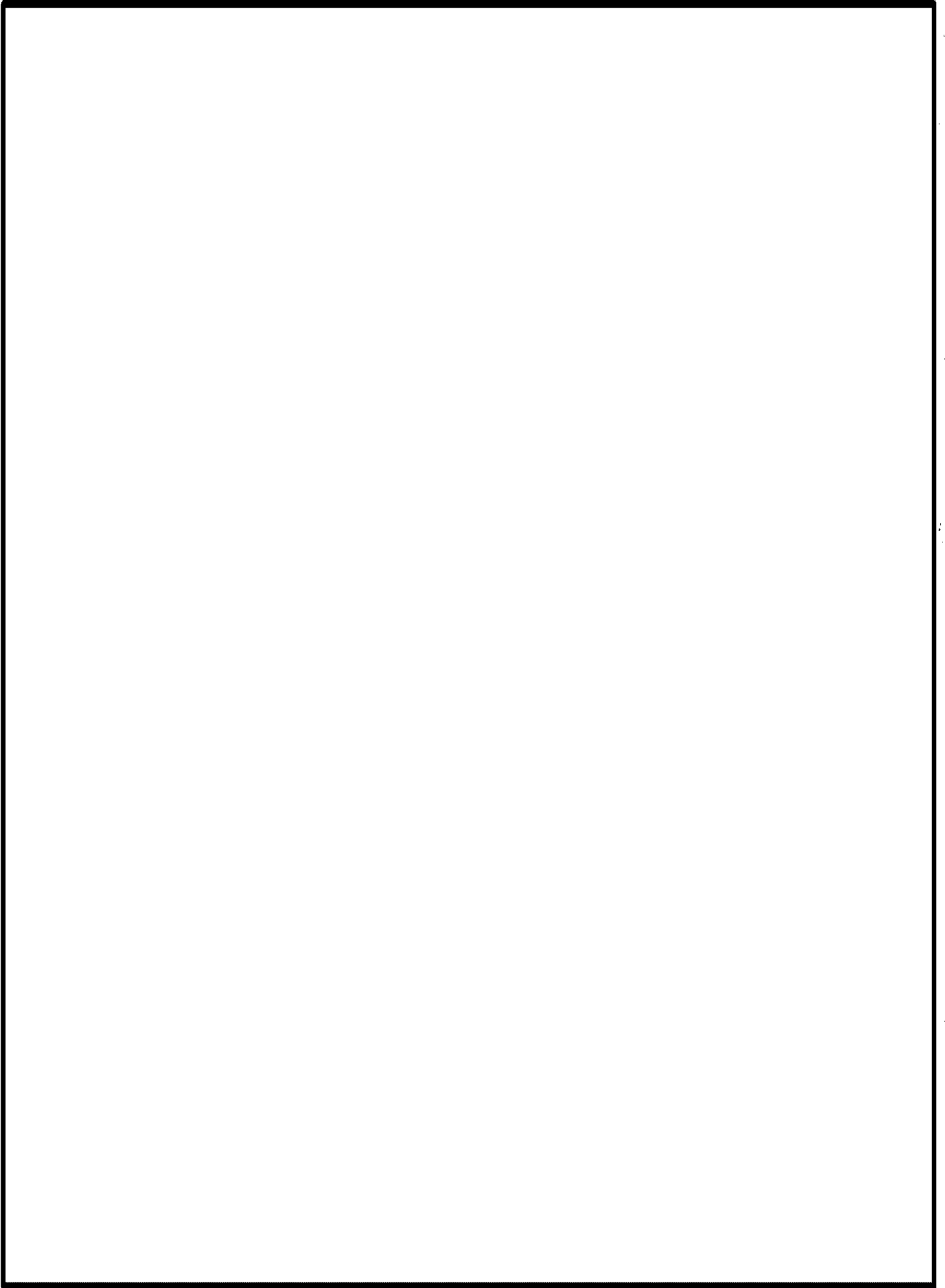




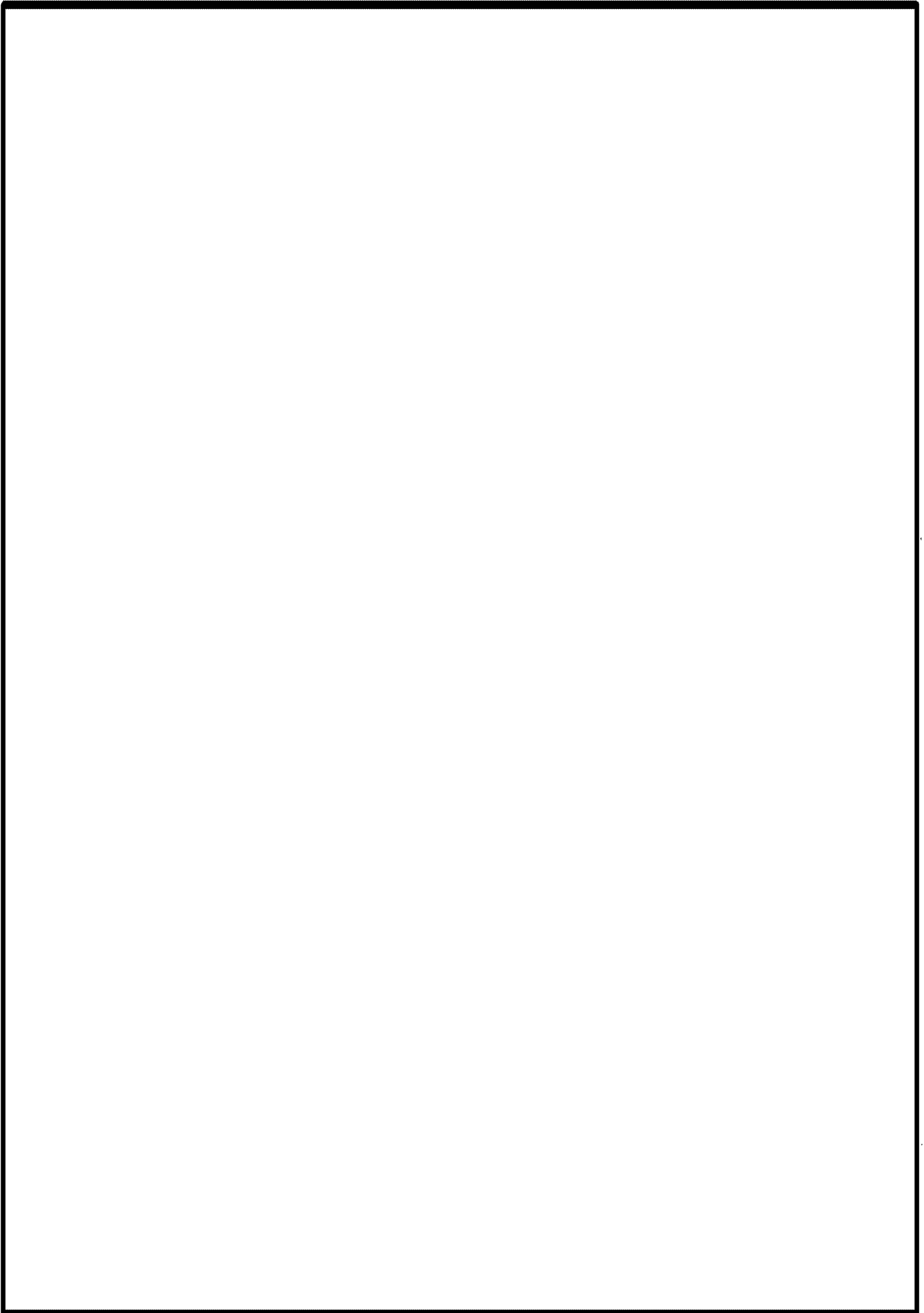




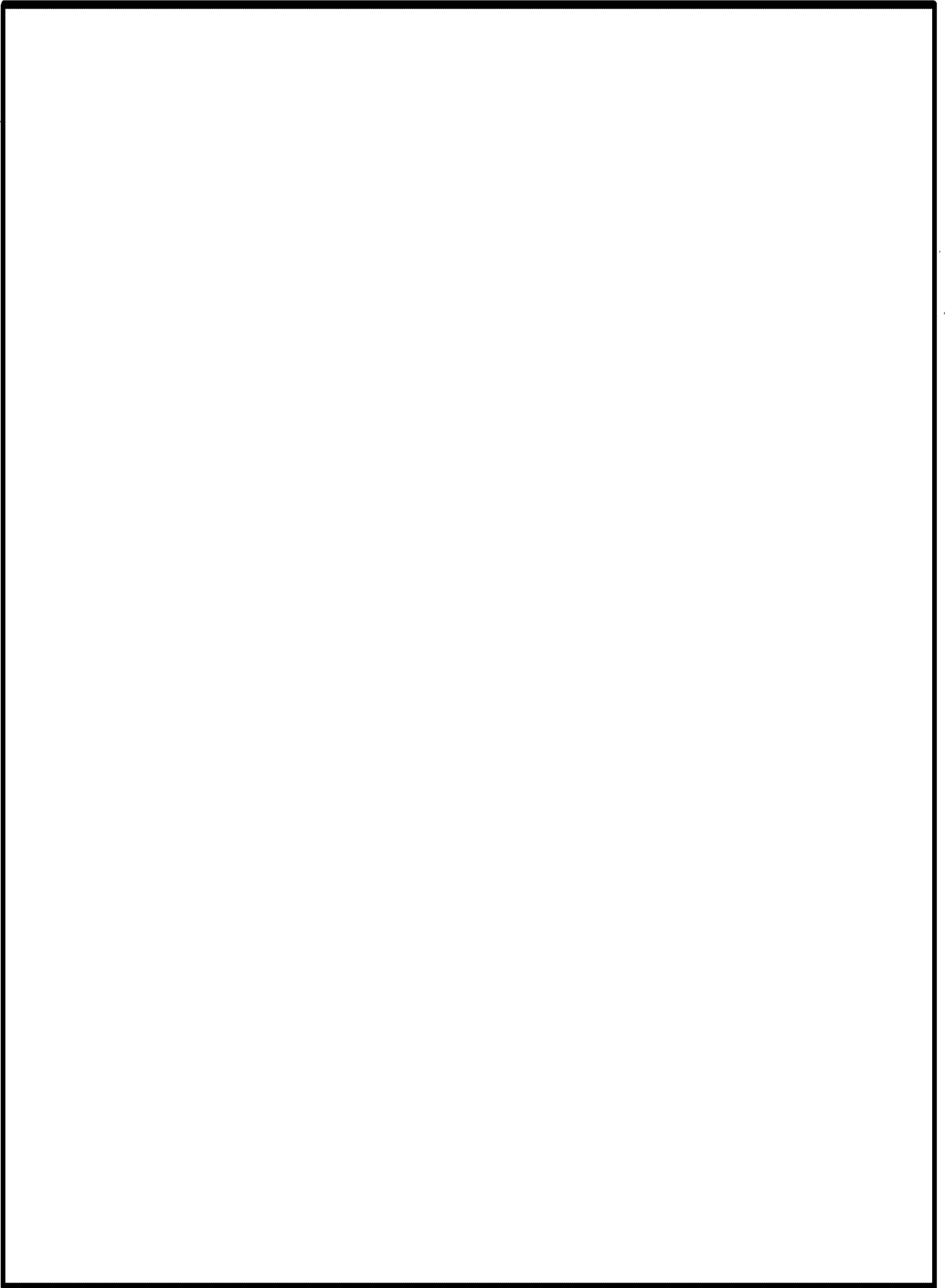


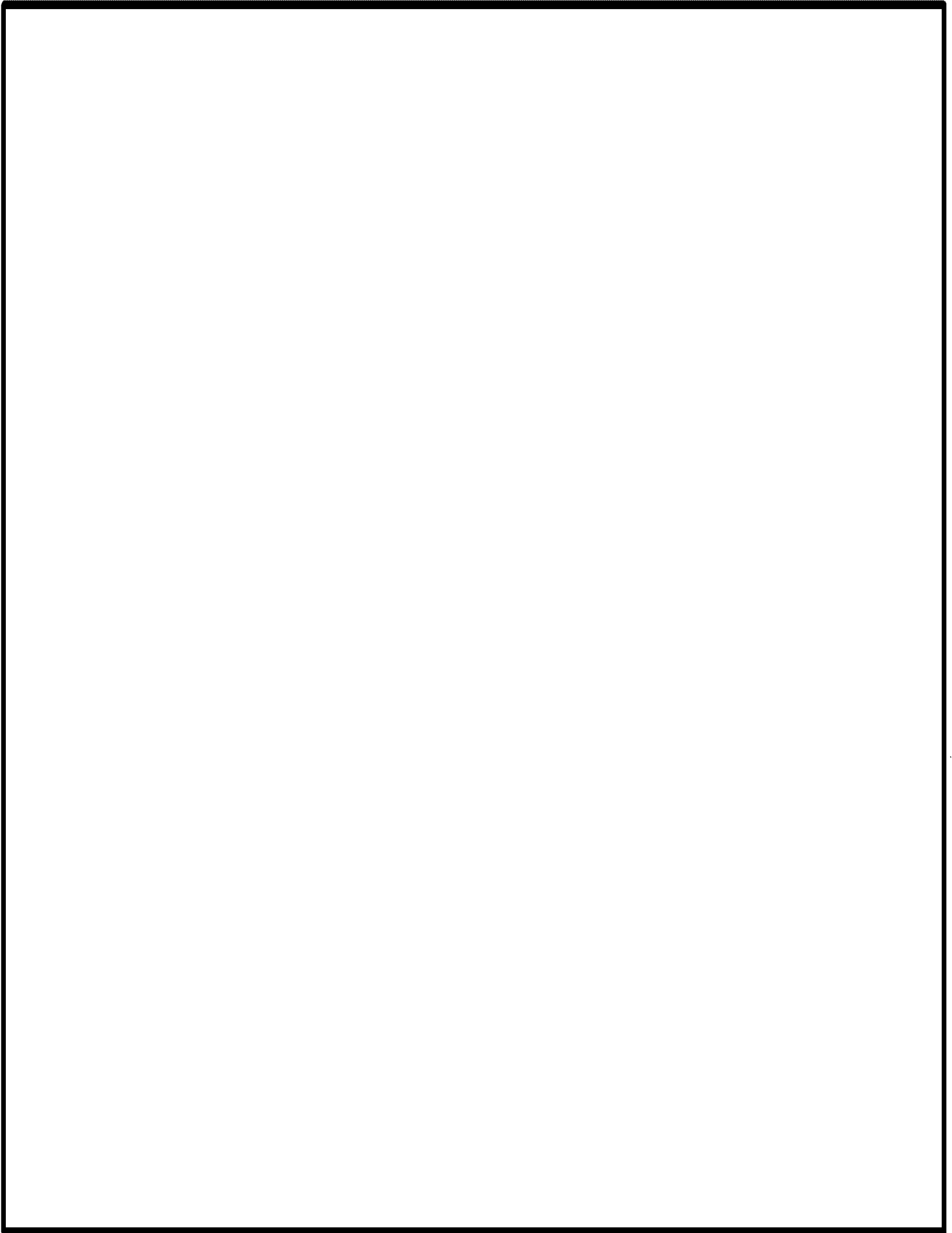


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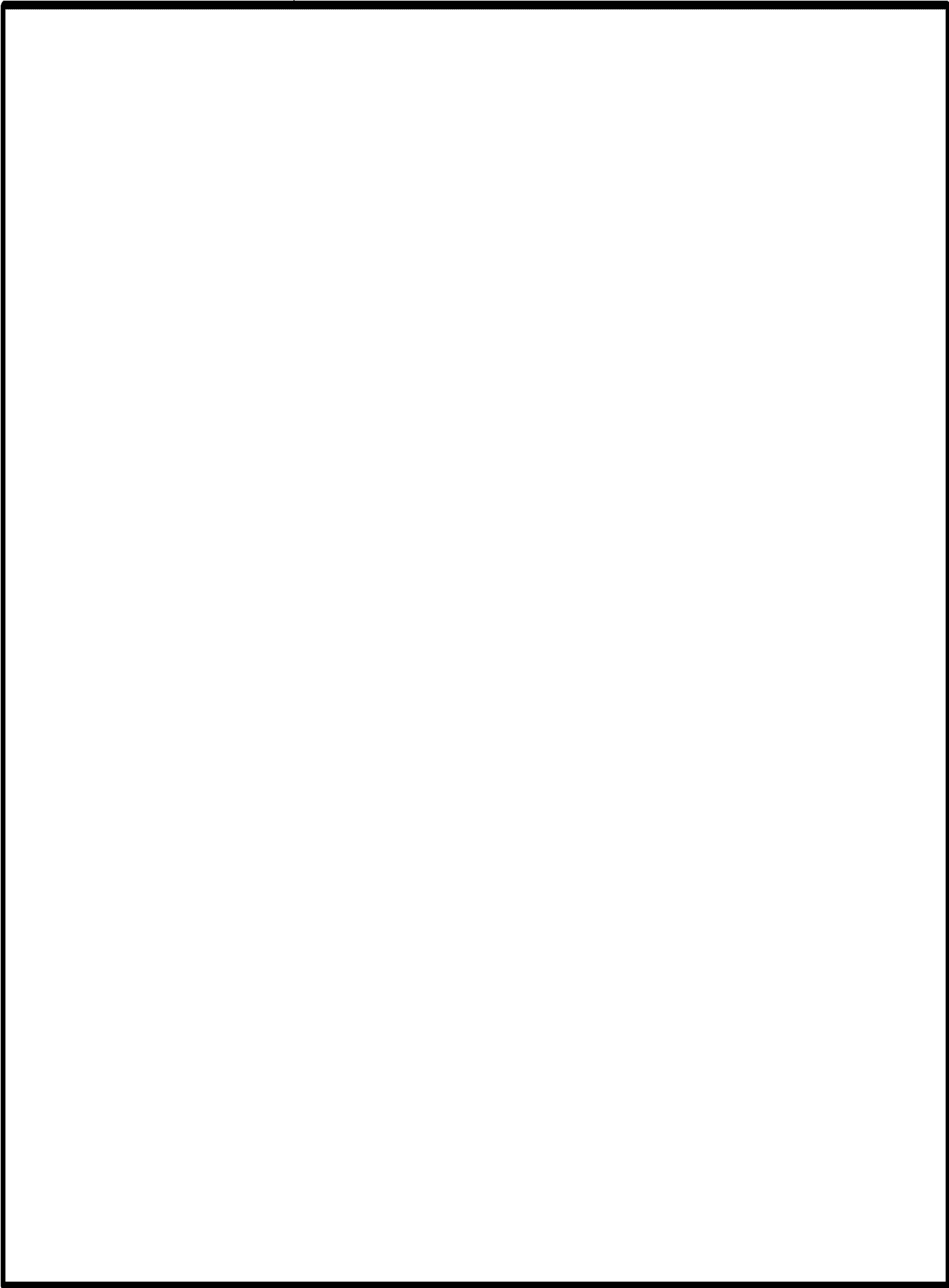


(b)(5)





(b)(5)



From: Stewart, Bion
To: PTO Master Distro
Subject: Presidential Transition Office - Briefing Material Guidance
Date: Tuesday, November 29, 2016 5:13:43 PM

Transition Colleagues,

As a follow up to today's discussion regarding briefing materials for the Landing Team, please ensure the PTO receives all briefing materials at least 24 hours in advance (48 hour prior if possible) of any planned engagement. Short notice engagements will be addressed on a case-by-case basis. Briefing materials will be reviewed by OGC, PLCY, CFO, OLA (as appropriate), DUSM, and may also be reviewed by the Front Office.

In addition, please provide the PTO with the name and position of your briefer and additional attendees for each engagement.

Finally, please ensure all briefing materials are identified/titled for "Presidential Transition" and include the standard transition non-disclosure statement (copied below) on page 2 of the slide deck or in the footer of any documents being provided.

These procedures/requirements are to ensure we maintain strict records management and accountability protocols throughout this process.

Thank you and please let us know if you have any questions.

V/R,

Bion

Bion Stewart
Deputy Presidential Transition Officer
Department of Homeland Security
202-282-9125

Briefing Materials Non-disclosure Statement:

This document, along with any attachments, contains NON-PUBLIC INFORMATION exempt from release to the public by federal law. It may contain confidential, legally privileged, proprietary or deliberative process inter-agency/intra-agency material. You are hereby notified that any dissemination, copying, or further distribution of this information to unauthorized individuals (including unauthorized members of the President-elect Transition Team) is strictly prohibited. Unauthorized disclosure or release of this information may result in loss of access to information, and civil and/or criminal fines and penalties.

From: Stewart, Bion
To: PTO Master Distro
Subject: Presidential Transition Office - Updated Landing Team Briefing Guidance
Date: Tuesday, December 06, 2016 6:02:59 PM

Transition Colleagues,

The PTO continues to gather lessons-learned regarding briefings. Based on feedback and observations thus far we are providing some updated guidance for your briefing materials and presentations:

- The areas identified in the previous framework are largely following the interest areas of the Landing Teams with respect to current events (high visibility / high consequence operations and activities), organizational priorities (these priorities need to be kept tight – no more than top 5), and key challenges, and opportunities. Please ensure your brief focuses on these areas up front. To the extent you can align these areas to known focus areas for the incoming Administration, please try to do so. Landing Team priorities and questions are driven by the President-elect's stated priorities and campaign platform, so expect to address those issues as they relate to your mission and authorities. The "what keeps me awake at night" discussions have been particularly effective in emphasizing your organization's priorities.
- You may include additional organizational and statistical information that is driving your current priorities, but please try to minimize data-intensive slides and general overview-type slides in your primary presentation. These may be included as backup/background slides as reference and referral as appropriate. The hour goes by fast and thus far we have not completed an entire slide deck with the exception of one – which was very tight and issue focused. The Landing Team will tend to go where you drive them, so it is strongly recommended you drive them toward your priority issues rather than general overview information largely captured in the previously prepared briefing materials.
- The WH has provided clarifying guidance regarding release of pre-decisional information. We are prohibited from providing specific, pre-decisional information to the Landing Team including FY18 budget information. You may still convey FY17PB and provide general statements related to your organizations budget priorities, but please do not reference any figures.
- We appreciate everyone's effort to keep the briefing teams focused and minimal. The agency Designated Career Successor and SCAO remain the default briefing team. Additional SME's or leadership MAY be included at the PTO's discretion. In some cases the Landing Team may request specific offices or SMEs to join the brief. A request for a specific issue SME will not automatically include the SME's Office/Program leadership.

Finally – the schedule continues to evolve as the Landing Team evolves. We have already reached out to several Components and Offices to schedule last minute briefings. We appreciate everyone's responsiveness and particularly OGC, OLA, CFO, and PLCY for quickly turning around HQ reviews.

Below is a rough outline of the schedule for the rest of this week. As always, it is subject to change. Please reach out to the PTO if you have any questions.

V/R,

Bion

Bion Stewart
Deputy Presidential Transition Officer
Department of Homeland Security
202-282-9125

**DHS Presidential Transition Office
Landing Team
Wednesday, December 7, 2016**

- 10:00 a.m. - 11:00 a.m.: OGC Brief
- 11:00 a.m. - 12:00 p.m. – USCIS Brief
- 11:00 a.m. - 12:00 p.m.: OCP Brief
- 12:00 p.m. - 2:00 p.m.: Hold – Landing Team
- 2:00 p.m. - 3:00 p.m.: Landing Team / PTO Planning

**DHS Presidential Transition Office
Landing Team**

Thursday, December 8, 2016

- 9:30 a.m. - 10:30 a.m.: OCHCO Brief
- 10:00 a.m. - 11:00 a.m.: FEMA Brief

- 10:30 a.m. - 11:30 a.m.: OCFO Brief
 - 11:30 p.m. - 1:30 p.m.: Hold -- Landing Team
 - 1:30 p.m. - 2:30 p.m.: MGMT Brief
-

**DHS Presidential Transition Office
Landing Team
Friday, December 9, 2016**

- 10:00 a.m. - 11:00 a.m.: Coast Guard Brief
 - 11:00 a.m. - 12:00 p.m.: Civil Rights and Civil Liberties Brief
-

From: USCIS Presidential Transition
To: OCC-Clearance
Cc: Miles, John D; Jaddou, Ur M; Carpenter, Dea D; Renaud, Tracy L
Subject: Presidential Transition-Refugee Processing Briefing Presentation
Date: Wednesday, November 30, 2016 3:59:50 PM
Attachments: Refugee Processing Presentation.pptx
Importance: High

Good afternoon, OCC—

The president-elect's landing team has requested a briefing on refugee processing. Attached is a presentation RAIQ and FDNS developed for the briefing and we request your clearance. Because this must also clear DHS, we would appreciate it if you could have this cleared by COB tomorrow, December 1st.

Thank you,
Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
(c) 202-489-8802

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From: Brown II, Melvin
To: Farnam, Julie E; Renaud, Tracy L
Cc: Beagles, James; Brown II, Melvin; Halter, Greg; Horowitz, Scott; Lee, Charmaine; Stewart, Bion
Subject: PTO RFI - #079 - #074 USCIS Briefing
Date: Monday, December 12, 2016 9:16:50 PM
Attachments: General Record of Disclosure Form DRAFT 2016.11.07.pdf

USCIS Team –

The DHS Presidential Transition Office (PTO) has received the following request for information (RFI) from the President-elect's Landing Team. Please provide a coordinated answer, internally cleared at the Chief of Staff level or above within 24 hours of receipt unless additional time is negotiated with the PTO. Operational Components, please also ensure answers are cleared by your General Counsel. HQ Directorate and Office answers will be cleared by OGC. When you submit your answer to the PTO, please include the attached General Record of Disclosure form for PTO approval. Please use this email chain only for questions and responses related to this RFI. If you need to forward internal emails related to this request, please do so as attachments to this email chain, so as to keep the subject consistent for tracking purposes. Please let us know if any other office should be the lead on this request or if you have any questions.

(b)(5)



Due date: COB Tuesday, December 13th.

Melvin Brown II
Senior Advisor
Presidential Transition Office
U.S. Department of Homeland Security
Office: (202) 282-8238
Cell: 202-510-6333 (Blackberry)
NAC 01-03-004-B

Department of Homeland Security

Presidential Transition Office

Record of Disclosure of Non-Public Information to Authorized Member(s) of the President-Elect's Transition Team (PETT)

Date of Disclosure: From:

To:

Form of Disclosure: Select One

General Description of Categories of Non-Public Information Disclosed:

Name(s) of PETT Member(s) to Whom Non-Public Information was Disclosed:

Name(s) and Title(s) of Official(s) Who Authorized Disclosure:

Name(s) and Title(s) of Official(s) Who Disclosed the Information:

Summary of Steps Taken to Protect Non-Public Information from Unauthorized Disclosure:

Record of Disclosure Prepared by:

Filled Out by Approving Official

Signature:

Title:

Date:

From: Renaud, Tracy L
To: Fleet, Andrea B; Kerns, Kevin J
Subject: RE: ***URGENT*** Transition RFI Due Noon Today
Date: Tuesday, December 13, 2016 3:52:00 PM
Attachments: [image004.png](#)
[image005.png](#)
[image006.png](#)

I agree with OCFO's recommendations.

Tracy L. Renaud
Associate Director
Management Directorate
US Citizenship & Immigration Services
Department of Homeland Security
202-272-1739 (desk)

From: Fleet, Andrea B
Sent: Tuesday, December 13, 2016 3:47 PM
To: Renaud, Tracy L; Kerns, Kevin J
Subject: FW: ***URGENT*** Transition RFI Due Noon Today

Tracy – CFO has questions, please advise.

From: Fleet, Andrea B
Sent: Tuesday, December 13, 2016 2:00 PM
To: Renaud, Tracy L; Kerns, Kevin J
Cc: USCIS MGT Tasks
Subject: FW: ***URGENT*** Transition RFI Due Noon Today

Tracy - OCFO has the following questions below concerning OTC's response. Please advise as to how you would like OCFO to proceed. BTW, I am attending training from 2-4. Thanks,

Andrea

From: Reilly, Richard M
Sent: Tuesday, December 13, 2016 1:56 PM
To: Fleet, Andrea B; USCIS MGT Tasks
Cc: Fredericks, Christopher; White, Jacquelyn D; Soloweigh, Todd L; Nasir, Syed A; Cristiani, Juan L; Moore, Joseph D
Subject: FW: ***URGENT*** Transition RFI Due Noon Today

(b)(5)

Andrea – OCFO has reviewed the responses to the following two questions:



Let us know if you have questions. Also, please let us know if you want us to coordinate the changes with OTC.

Thanks!
Rich

From: Fleet, Andrea B
Sent: Tuesday, December 13, 2016 1:40 PM
To: Davis, Alecia A; Moore, Joseph D; Reilly, Richard M
Cc: USCIS MGT Tasks
Subject: FW: ***URGENT*** Transition RFI Due Noon Today

OCFO – I am heading to a training session shortly. Please forward your response to the MGT-task box who will obtain Tracy and Kevin's clearance before forwarding to the Presidential Transition clearance box.

Thanks again for your quick turnaround on this.

Anrea

From: Stanley, Kathleen M
Sent: Tuesday, December 13, 2016 11:52 AM
To: Fleet, Andrea B; Schwartz, Mark A; Jones, Keith A; Wittman, Gregory J; Black, Diane E; Moore, Joseph D; Reilly, Richard M; Davis, Alecia A; DeStefano, Ernest; Anderson, Erik C; Becker, Cheryl L
Cc: USCIS MGT Tasks; Renaud, Tracy L; Kerns, Kevin J; Tran, Ramona L; Clark, Levita S; Perryman, Janet J; Van Demark, Henry
Subject: RE: ***URGENT*** Transition RFI Due Noon Today

Andrea,

Attached is OTC's input. I have also attached a spreadsheet that provides more detail for the cost data.

Ramona Tran is our lead in pulling this data and I have added her to facilitate answering any questions.

Kath

Kathleen "Kath" Stanley
Chief, Office Transformation Coordination
U.S. Citizenship and Immigration Services
202-272-9401

From: Fleet, Andrea B
Sent: Tuesday, December 13, 2016 9:30 AM
To: Stanley, Kathleen M; Schwartz, Mark A; Jones, Keith A; Wittman, Gregory J; Black, Diane E; Moore, Joseph D; Reilly, Richard M; Davis, Alecia A; DeStefano, Ernest; Anderson, Erik C; Becker, Cheryl L
Cc: USCIS MGT Tasks; Renaud, Tracy L; Kerns, Kevin J
Subject: FW: ***URGENT*** Transition RFI Due Noon Today
Importance: High

URGENT PRESIDENTIAL TRANSITION REQUEST – DUE NOON TODAY: NO EXTENSIONS

From: USCIS Presidential Transition
Sent: Tuesday, December 13, 2016 9:18 AM
To: USCIS MGT Tasks; Stanley, Kathleen M; Kerns, Kevin J; Collins, Anissa A; Clark, Levita S; Hawkins, Donald K; OP&S Presidential Transition; Vanison, Denise; FDNSExecSec; Emrich, Matthew D; Davidson, Andrew J; Melero, Mariela; Rogers, Debra A; Simeon, David G; Schwartz, Mark A
Cc: Renaud, Tracy L
Subject: ***URGENT*** Transition RFI Due Noon Today
Importance: High

Good morning,

We have our first information request from the president-elect's transition landing team. There is an extremely fast turnaround on these requests (apologies!)—it is **due at noon today** to allow time for the front office to clear today and to get it back to DHS today. Therefore, no extensions may be granted and it is imperative that you respond timely.

This is what is being requested:

(b)(5)



Thank you very much for all your help with this and if there are any questions, I can be reached at the numbers below.

Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-282-8277
(c) 202-489-8802

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From: Young, Todd P
To: USCIS Presidential Transition; Walters, Jessica S; Krebs, Kristie L; Prelogar, Brandon B
Cc: Renaud, Tracy L
Subject: RE: ***URGENT*** Transition RFI Due Noon Today
Date: Tuesday, December 13, 2016 2:40:44 PM

Yes, please include these as well.

From: USCIS Presidential Transition
Sent: Tuesday, December 13, 2016 2:18 PM
To: Young, Todd P; Walters, Jessica S; Krebs, Kristie L; Prelogar, Brandon B
Cc: Renaud, Tracy L
Subject: RE: ***URGENT*** Transition RFI Due Noon Today

A few more, similar documents related to the social media usage that OP&S provided. Okay to include these as well with our submission?

Thank you,
Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
(c) 202-489-8802

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From: Young, Todd P
Sent: Tuesday, December 13, 2016 1:19 PM
To: USCIS Presidential Transition; Walters, Jessica S; Krebs, Kristie L; Prelogar, Brandon B
Cc: Renaud, Tracy L
Subject: RE: ***URGENT*** Transition RFI Due Noon Today

D2 is fine with submitting these materials to DHS.

From: USCIS Presidential Transition
Sent: Tuesday, December 13, 2016 10:44 AM
To: Young, Todd P; Walters, Jessica S; Krebs, Kristie L; Prelogar, Brandon B
Cc: Renaud, Tracy L
Subject: FW: ***URGENT*** Transition RFI Due Noon Today

Items to be provided to the transition team related to social media usage. Please let me know when

your principal is okay with me submitting to DHS.

Thank you,
Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
(c) 202-489-8802

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From: Barnes, Aisha **On Behalf Of** FDNSExecSec
Sent: Tuesday, December 13, 2016 10:41 AM
To: USCIS Presidential Transition
Cc: FDNSExecSec
Subject: RE: ***URGENT*** Transition RFI Due Noon Today

Good morning,

FDNS clears with the attached. ***Please note: The FNDS SMOUT and Rules of Behavior have information regarding investigative techniques that may be exempt from FOIA disclosure under 7(E), and should be protected from public disclosure.***

Respectfully,

Aisha Barnes
Management and Program Analyst
Office of the Executive Secretariat
On Detail w/FDNS Knowledge Management Group
☎ Office: 202-272-8353 | ☎ Fax: 202-272-8340

From: USCIS Presidential Transition
Sent: Tuesday, December 13, 2016 9:18 AM
To: USCIS MGT Tasks; Stanley, Kathleen M; Kerns, Kevin J; Collins, Anissa A; Clark, Levita S; Hawkins, Donald K; OP&S Presidential Transition; Vanison, Denise; FDNSExecSec; Emrich, Matthew D; Davidson, Andrew J; Melero, Mariela; Rogers, Debra A; Simeon, David G; Schwartz, Mark A
Cc: Renaud, Tracy L
Subject: ***URGENT*** Transition RFI Due Noon Today
Importance: High

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This is what is being requested:

(b)(5)



Thank you very much for all your help with this and if there are any questions, I can be reached at the numbers below.

Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-282-8277
(c) 202-489-8802

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From: [USCIS Presidential Transition](#)
To: [Young, Todd P](#); [Walters, Jessica S](#); [Krebs, Kristie L](#); [Prelogar, Brandon B](#)
Cc: [Renaud, Tracy L](#)
Subject: RE: ***URGENT*** Transition RFI Due Noon Today
Date: Tuesday, December 13, 2016 2:18:02 PM
Attachments: [Steve Bucher December 6 and 7 SNS Emails.doc](#)
[Instruction 110-01-001 Privacy Policy for Operational Use of Social Medi....pdf](#)
[SMOUT USCIS-Benefits Determinations 20141124 PRIV FINAL.PDF](#)
[SMOUT, USCIS-OSI INV, 20141124, PRIV FINAL.PDF](#)
[SMOUT, USCIS-OSI PSD, 20141124, PRIV FINAL.PDF](#)

A few more, similar documents related to the social media usage that OP&S provided. Okay to include these as well with our submission?

Thank you,
Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
(c) 202-489-8802

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Aisha Barnes
Management and Program Analyst
Office of the Executive Secretariat
On Detail w/FDNS Knowledge Management Group
☎ Office: 202-272-8353 | ☎ Fax: 202-272-8340

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Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-282-8277
(c) 202-489-8802

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From: Bucher, Steve P
Sent: Wednesday, December 07, 2011 10:36 AM
To: Neufeld, Donald; Monica, Donald J; Langlois, Joseph
Cc: Velarde, Barbara Q; Borgen, Michael R; Scialabba, Lori
Subject: FW: Social Networking Sites
Importance: High

Don/Don/Joe—As a result of the briefing Ali and I received from DHS Privacy on access of social media sites by FDNS officers, I have issued the following guidance to FDNS personnel until we have the necessary policy guidance and PIA/SORN issues resolved. Although DHS only cited FDNS personnel in their report, you may want to consider issuing similar guidance out to the field as a reminder. Thanks--Steve

From: Scott, Judith J
Sent: Tuesday, December 06, 2011 4:27 PM
To: FDNS-FIELD; Alexis, Michelle; Blitzer, Robert (CTR); Delaney, Daniel (CTR); Dewey, David (CTR); Edwards, Brant (CTR); Hill, Raymond; Jenkins, Callian (CTR); Korchowsky, Sharon (CTR); Nelson, Meredith (CTR); Rosado, Manuel; Shi, Ting (CTR); Atkinson, Ronald A; Blackwood, Robert L; Bucher, Steve P; Crewson, Jean C; Karam, Lauren J; Kellner, Aris R; Miller, Robert; Rosenstock, Peter; Scott, Judith J; Simeone, Ann; Burdick, William L; Case, Mary Ann; Coffren, Brenda A; Colic, Mirian E; Cortes, Luis; Delcore, Robert; Embry, Sheila G; Emrich, Matthew D; Fagan, David W; Freeman, Mark C; Golston, Shari A; Herrera, Al T; Houck, Monique; Khoudaghoulouian, Minas; Lambert, Monda I; Swanson, Toni; Thornhill, Steven C; Dean, Kimberly D; Alexander, Jeffrey D; Alexis, Melissa; Areas, Julio; Baldwin, Sara K; Banks, Nicole P; Bolanos, Susana P; Chenevert, Michelle Z; Hess, Karen K; Hill, Larry D; Holder, Laura M; Kostiuik, Damian D; Mendoza, Elizabeth; Miller, Donn; Nilsen, Arthur; Patel, Ruchi R; Reeder, Amy C; Rosen, Talisha L; Williams, Pierre L; Armstrong, Sally L; Bittner, Adrian; Braffman, Matthew E; Bullock, Rebecca A; Celone, Michael A; Chanowitz, Jeffrey S; Davis, Glenn C; Davis, Rebecca J; Dolan, Michael J; Fortin, Elaine; Hodges, Krystal M; Johnson, Michael D; Legall, Eduardo A; McCabe, Kevin; Merkovich, Melissa A; Miller, Britney; O'Bryant, Ryan; Oviosu, Esther; Radil, Donald G; Ryan, Danielle C; Salyer, Robert M; Trujillo, Leonard E; Barefoot, Thomas; Beebe, Heather F; Blacknell, Chennetta D; Deal, Dean A; Gonzales, Kimberly A; Hernandez, Leticia; Jacobs, Alexander L; Knafla, Susan J; Lopes, Harrison; McBride, Mark D; Planchard, Emily L; Salcedo, Marvin W; Smith Shaw, Deborah J; Sobolewski, Cynthia F; Sweeney, Aaron W; Villarreal, Joe; Vincent, Douglas L; Amador, Marlene; Ayoung, Carlton P; Bianco, Anthony D; Brown-Harris, Janie; Castillo, Milagros; Chao, Sherman; Cheng, Susan P; Clark, Makesha; Clark, Makesha; Cornell, Robert K; Ebersole, Jilla; Epperson, Douglas W; Epstein, Sara I; Fineaso, Samson P; Hall, Joshua; Heffron, Christopher M; Horton, LaVerne L; Hunt, Frederick; Huntenburg, Bettina M; Ibrahim, Salaheldin; Isoldi, John W; Jacks, Marion M; Jaspal, Ravinder S; Jimenez, Rolando R; Johnson, Erik P; Johnson, Oliver; Kelly, Claire C; Khan, Asma M; Kotkin, Charles R; Lee, Terence W; Liu, Jerry; Lomeli, Paul; Lutomski, Marie A; Lyday, Kevin J; Matthews, Lauren E; Mohamed, Fazal X; Navarro, Ross M; Omarson, Olaf; Quinn, Kevin T; Rogers, William R; Ryan, Kelly; Savarese, Lauren; Savarese, Lauren E; Seon, Juneann M; Stein, Jesse; Vogel, Cory I; White, Robert A; Woydziak, Lester L; Becker, Scott E; Hysmith, Tenner L; Kanwal, Nida; Lambert, Percy L; Newman, Brandi R; Ravelin, Ellen M; Riebesell, Paul D
Subject: Social Networking Sites
Importance: High

An Important Message from Steve Bucher, FDNS Acting Associate Director, to all FDNS Employees

(b)(5)

Dear Colleagues –



Thanks for your patience,

Steve Bucher

Judith J. Scott
Executive Staff Assistant
Fraud Detection and National Security (FDNS)
202-272-9029 (Office)
202-713-0048 (Blackberry)
202-272-8594 (Fax)
Judith.Scott@dhs.gov

FOR OFFICIAL USE ONLY

From: USCIS Presidential Transition
To: Prelogar, Brandon B; Renaud, Tracy L; Young, Todd P; Walters, Jessica S; Krebs, Kristie L
Subject: RE: ***URGENT*** Transition RFI Due Noon Today
Date: Tuesday, December 13, 2016 2:15:13 PM

Hi Brandon,

The 4th quarter data isn't published yet. Also this paper was updated on 12/1 by OPQ, so I think we can be pretty confident that it's as up to date as it can be for now. Thank you for reviewing.

Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
(c) 202-489-8802

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From: Prelogar, Brandon B
Sent: Tuesday, December 13, 2016 1:30 PM
To: Renaud, Tracy L; USCIS Presidential Transition; Young, Todd P; Walters, Jessica S; Krebs, Kristie L
Subject: RE: ***URGENT*** Transition RFI Due Noon Today

Ok, but still think we should adjust the second point I flagged, which projects a future outcome for a FY quarter (Q3 FY16) that's already passed.

From: Renaud, Tracy L
Sent: Tuesday, December 13, 2016 12:27:36 PM
To: Prelogar, Brandon B; USCIS Presidential Transition; Young, Todd P; Walters, Jessica S; Krebs, Kristie L
Subject: RE: ***URGENT*** Transition RFI Due Noon Today

Brandon,

As a general rule all agencies are using end of FY16 data. Given the short timeframe, and since it is noted that it is end of FY16, I suggest we leave it as is. If they ask for a briefing we can verbalize updated numbers at that time as we have done in other areas.

Tracy L. Renaud

Associate Director
Management Directorate
US Citizenship & Immigration Services
Department of Homeland Security
202-272-1739 (desk)

From: Prelogar, Brandon B
Sent: Tuesday, December 13, 2016 12:25 PM
To: USCIS Presidential Transition; Young, Todd P; Walters, Jessica S; Krebs, Kristie L
Cc: Renaud, Tracy L
Subject: RE: ***URGENT*** Transition RFI Due Noon Today

Hey, Julie. The asylum backlog info is a bit outdated. Think it best to shoot this back to Asylum to get updated numbers/material. See comments in the attached. Thanks,

b-

From: USCIS Presidential Transition
Sent: Tuesday, December 13, 2016 10:11 AM
To: Young, Todd P; Walters, Jessica S; Prelogar, Brandon B; Krebs, Kristie L
Cc: Renaud, Tracy L
Subject: FW: ***URGENT*** Transition RFI Due Noon Today
Importance: High

Just giving you the heads up that I sent out this information request this morning and that these items will need to be cleared today by the COS-level or higher. All of these things are not newly created items, so hopefully this will not be a very heavy lift as your principals should have already seen them. These items must be provided to DHS today.

In addition to the items below, the team also requested our backlog issue paper (attached—this was previously cleared and was updated last month to include the FY16 numbers) and information about premium processing fees and the new fee rule (will just provide the link to the [final rule notice](#)).

I will send items as I receive them to allow you the maximum amount of time to review. Attached is the ELIS and ATLAS PIAs and SORN.

Thank you very much for your help with this.

Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
(c) 202-489-8802

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From: Farnam, Julie E
To: Renaud, Tracy L
Subject: RE: ***URGENT*** Transition RFI Due Noon Today
Date: Tuesday, December 13, 2016 2:07:21 PM

Okay, good. I'm going to respond back to Brandon to let him know that OPQ updated the backlog paper 13 days ago and then submit that with the presentation with the front office. I'm also going to call you know to give you updates. Too much to type.

From: Renaud, Tracy L
Sent: Tuesday, December 13, 2016 1:55 PM
To: USCIS Presidential Transition
Subject: RE: ***URGENT*** Transition RFI Due Noon Today

Agreed. Mike has a draft of an updated version that needs a few edits. We will have a new version in a couple of days but shouldn't delay submission waiting. If they want a briefing or more info later we can provide it then.

From: USCIS Presidential Transition
Sent: Tuesday, December 13, 2016 1:46:29 PM
To: Renaud, Tracy L
Subject: RE: ***URGENT*** Transition RFI Due Noon Today

Yes, but this one would need pretty extensive updating. I think we should use the backlog issue paper with the presentation. That should provide the information they are seeking.

From: Renaud, Tracy L
Sent: Tuesday, December 13, 2016 12:57 PM
To: USCIS Presidential Transition
Subject: RE: ***URGENT*** Transition RFI Due Noon Today

Do you have the USCIS Immigration and Statistics and Trends document from Mike Hoefler?

From: Renaud, Tracy L
Sent: Tuesday, December 13, 2016 12:31:37 PM
To: USCIS Presidential Transition
Subject: FW: ***URGENT*** Transition RFI Due Noon Today

Julie,

The issue paper doesn't give a good sense of where we have backlogs and any other specific info. Attached is the powerpoint we used at the meeting with OMB a couple of months ago. Do you think any of this info would be helpful to provide?

Tracy L. Renaud
Associate Director
Management Directorate

(b)(5)



Thank you very much for all your help with this and if there are any questions, I can be reached at the numbers below.

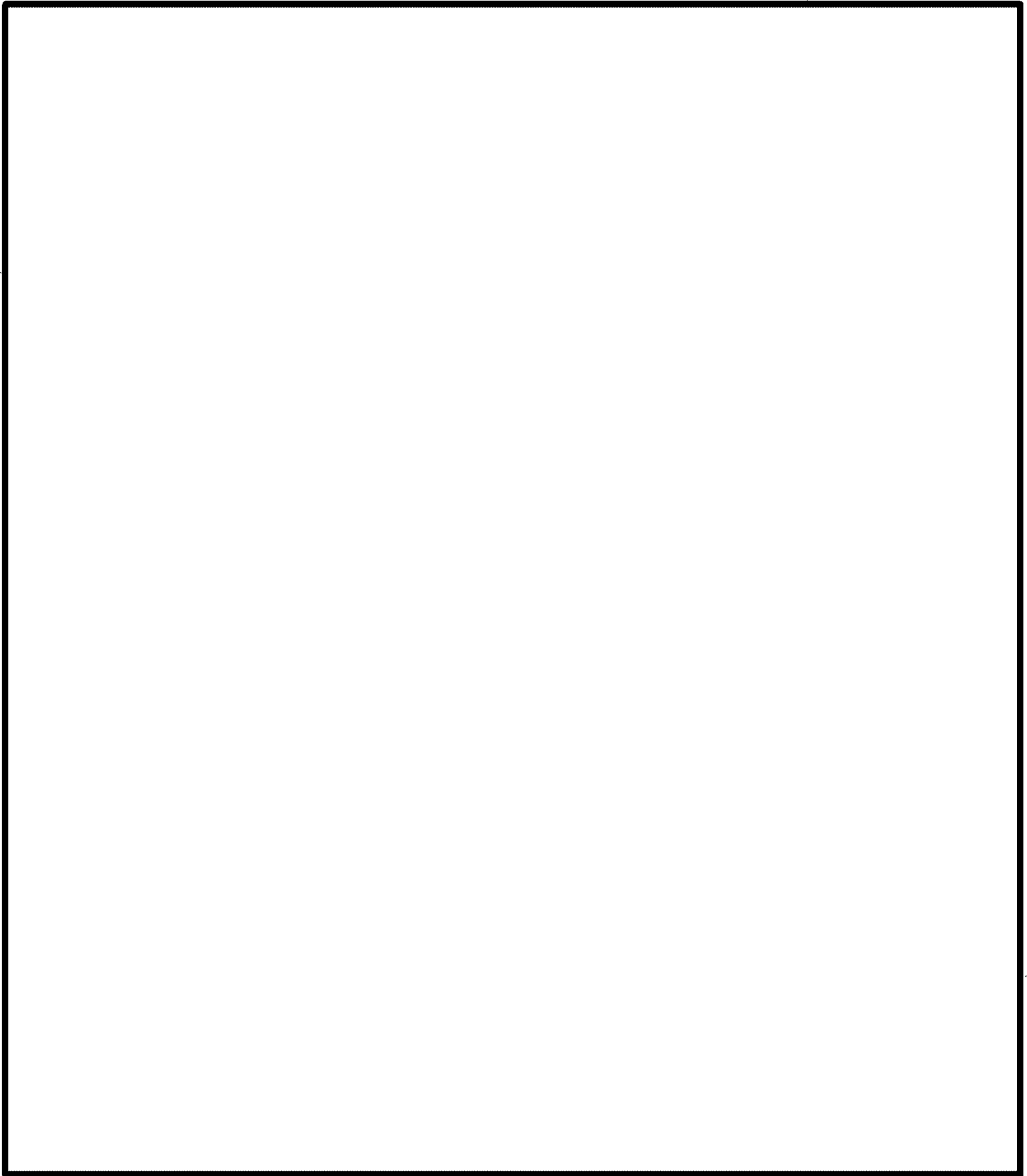
Julie Farnam
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U.S. Citizenship and Immigration Services
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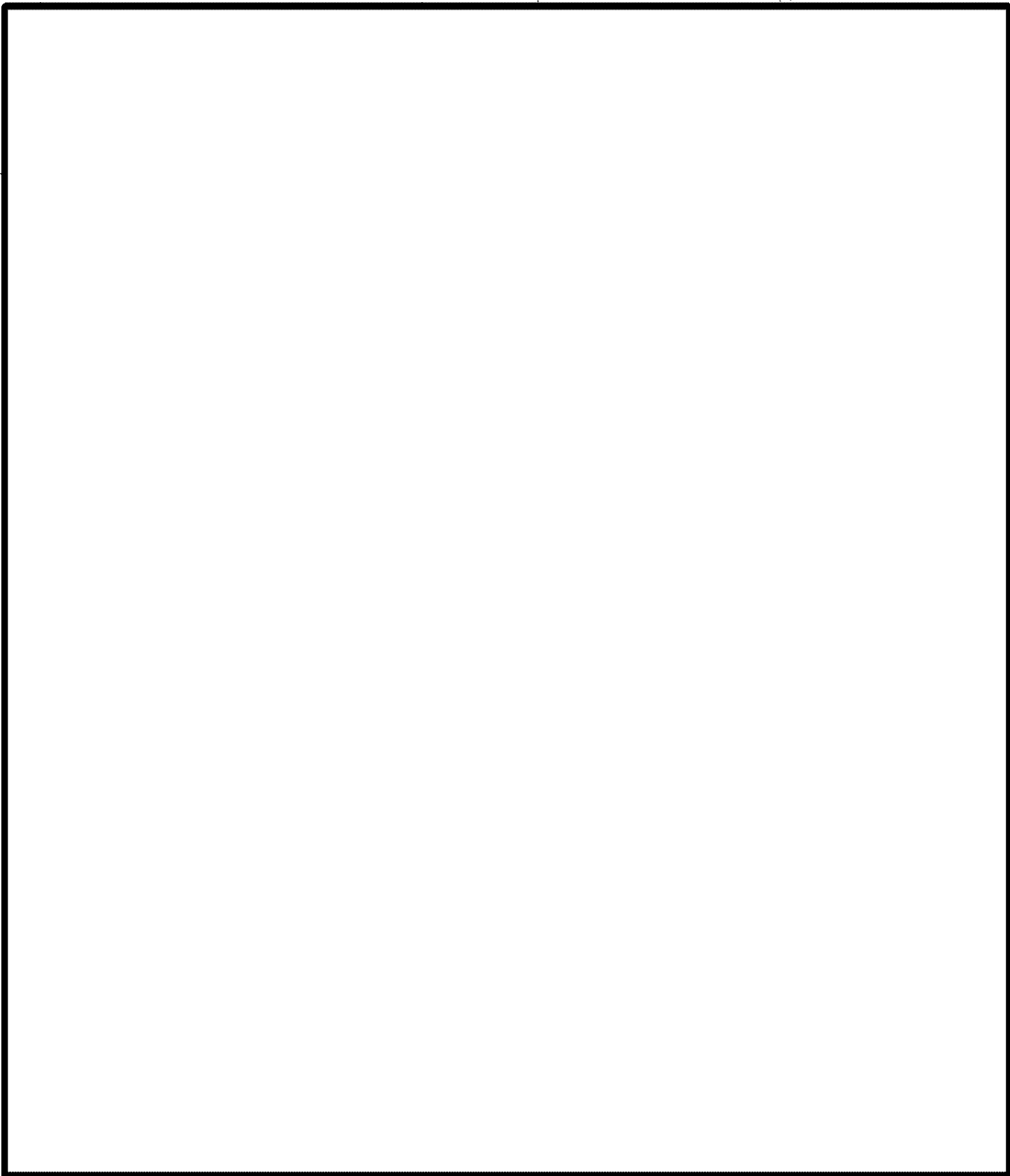
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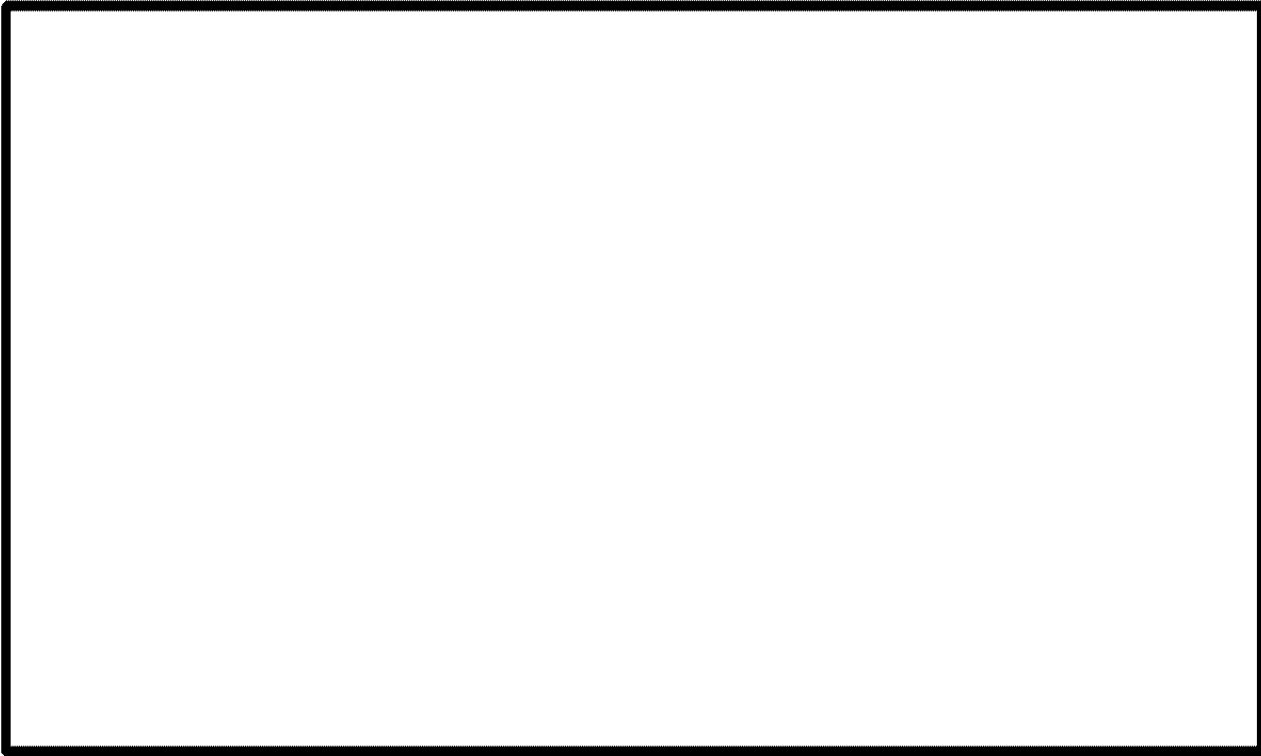


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From: USCIS Presidential Transition
To: OP&S Presidential Transition
Cc: Renaud, Tracy L; Vanison, Denise; Hamilton, Cristina A; Greeley, Kevin A
Subject: RE: ***URGENT*** Transition RFI Due Noon Today
Date: Tuesday, December 13, 2016 12:00:56 PM

Thank you!

From: Levine, Laurence D **On Behalf Of** OP&S Presidential Transition
Sent: Tuesday, December 13, 2016 11:54 AM
To: USCIS Presidential Transition
Cc: Renaud, Tracy L; Vanison, Denise; Hamilton, Cristina A; Greeley, Kevin A
Subject: RE: ***URGENT*** Transition RFI Due Noon Today

Hi Julie – please see attached from OP&S for “Guidance on how/when social media can be used by USCIS (OP&S/FDNS).” I’ve added our social media SMEs Cristina and Kevin to this email.

Thanks,
Larry

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Sent: Tuesday, December 13, 2016 9:18 AM
To: USCIS MGT Tasks; Stanley, Kathleen M; Kerns, Kevin J; Collins, Anissa A; Clark, Levita S; Hawkins, Donald K; OP&S Presidential Transition; Vanison, Denise; FDNSExecSec; Emrich, Matthew D; Davidson, Andrew J; Melero, Mariela; Rogers, Debra A; Simeon, David G; Schwartz, Mark A
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Cc: [Renaud, Tracy L](#); [Vanison, Denise](#); [Hamilton, Cristina A](#); [Greeley, Kevin A](#)
Subject: RE: ***URGENT*** Transition RFI Due Noon Today
Date: Tuesday, December 13, 2016 11:54:30 AM
Attachments: [Directive 110-01 Privacy Policy for Operational Use of Social Media 0.pdf](#)
[Instruction 110-01-001 Privacy Policy for Operational Use of Social Medi....pdf](#)
[Steve Bucher December 6 and 7 SNS Emails.doc](#)
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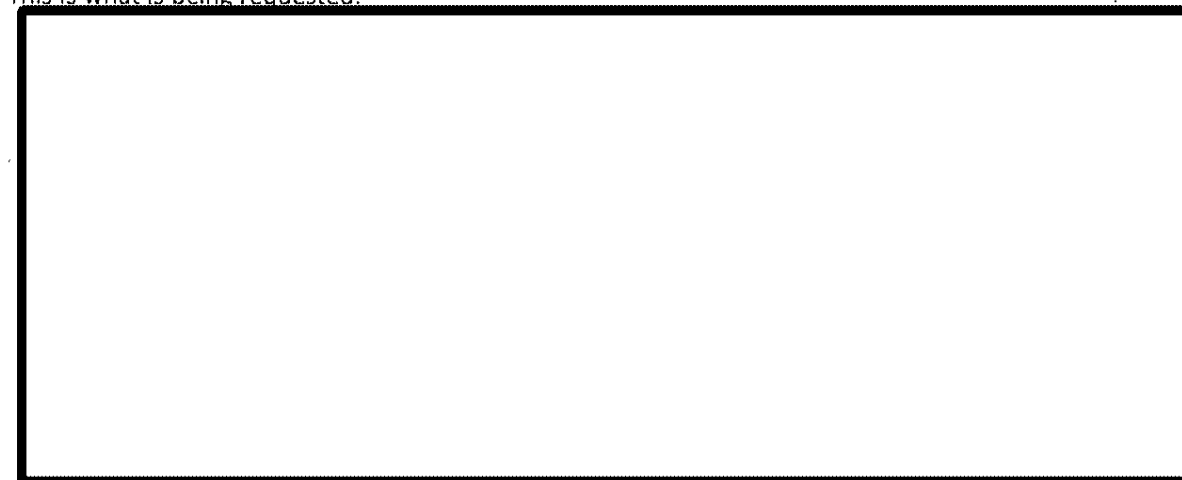
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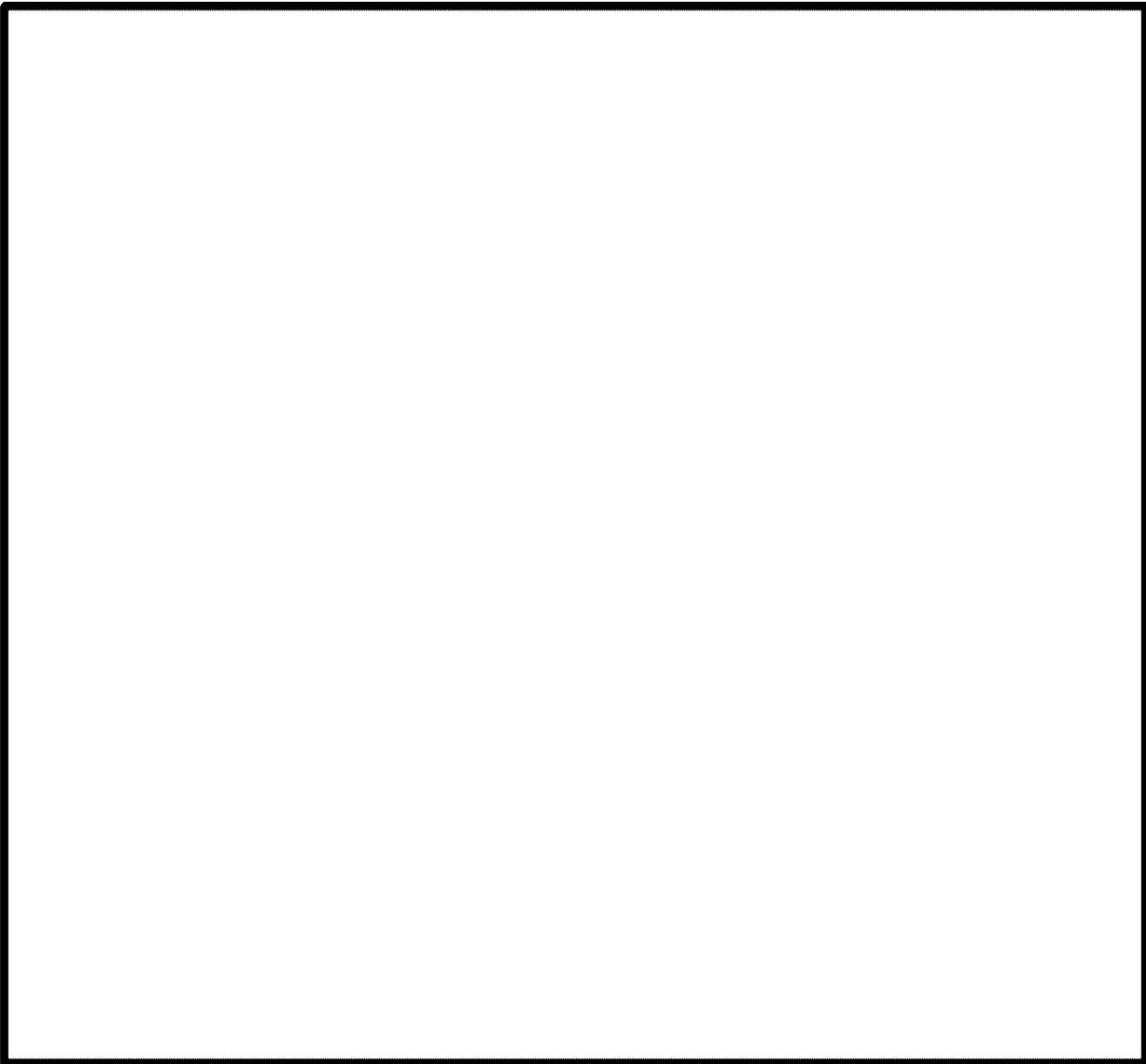
the numbers below.

Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-282-8277
(c) 202-489-8802

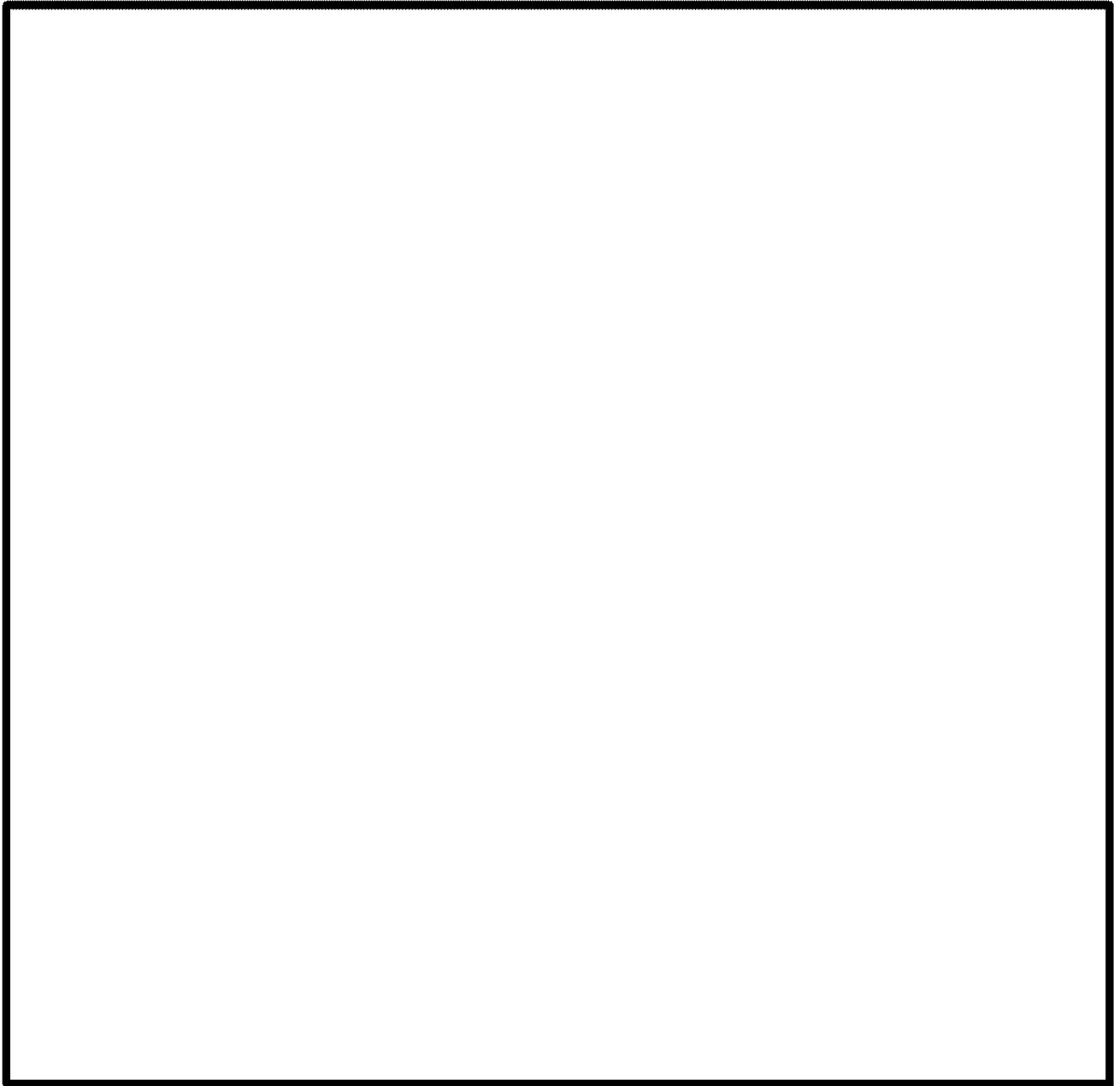
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Information Request from Presidential Transition Team
OTC
December 13, 2016

(b)(5)



(b)(5)



From: Rogers, Debra A
To: Renaud, Tracy L
Cc: Melero, Mariela
Subject: RE: ***URGENT*** Transition RFI Due Noon Today
Date: Tuesday, December 13, 2016 9:57:34 AM

Thanks, We are working on our part.

From: Renaud, Tracy L
Sent: Tuesday, December 13, 2016 9:29 AM
To: USCIS Presidential Transition; USCIS MGT Tasks; Stanley, Kathleen M; Kerns, Kevin J; Collins, Anissa A; Clark, Levita S; Hawkins, Donald K; OP&S Presidential Transition; Vanison, Denise; FDNSExecSec; Emrich, Matthew D; Davidson, Andrew J; Melero, Mariela; Rogers, Debra A; Simeon, David G; Schwartz, Mark A
Subject: RE: ***URGENT*** Transition RFI Due Noon Today

All – Highlighting which office has primary responsibility for each task and adding a little context in a couple of areas. Give me or Julie a call if you have any questions.

Tracy L. Renaud
Associate Director
Management Directorate
US Citizenship & Immigration Services
Department of Homeland Security
202-272-1739 (desk)

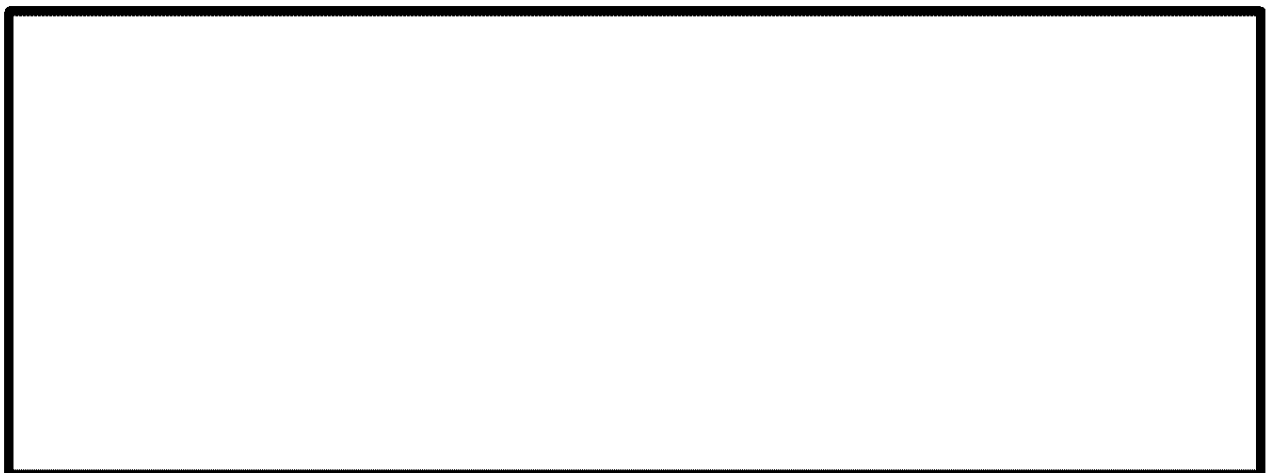
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Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-282-8277
(c) 202-489-8802

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From: [Hawkins, Donald K](#)
To: [USCIS Presidential Transition](#)
Cc: [Renaud, Tracy L](#)
Subject: RE: ***URGENT*** Transition RFI Due Noon Today
Date: Tuesday, December 13, 2016 9:50:17 AM

Ok will do.

From: USCIS Presidential Transition
Sent: Tuesday, December 13, 2016 9:50 AM
To: Hawkins, Donald K
Cc: Renaud, Tracy L
Subject: RE: ***URGENT*** Transition RFI Due Noon Today

We did not receive the documents. Could you resend? Thank you!

Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
(c) 202-489-8802

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From: Hawkins, Donald K
Sent: Tuesday, December 13, 2016 9:32 AM
To: Renaud, Tracy L; USCIS Presidential Transition; USCIS MGT Tasks; Stanley, Kathleen M; Kerns, Kevin J; Collins, Anissa A; Clark, Levita S; OP&S Presidential Transition; Vanison, Denise; FDNSExecSec; Emrich, Matthew D; Davidson, Andrew J; Melero, Mariela; Rogers, Debra A; Simeon, David G; Schwartz, Mark A
Subject: RE: ***URGENT*** Transition RFI Due Noon Today

Thanks Tracy – I submitted all of the requested information for ELIS and ATLAs to the Transition Team last week. Please let me know if this was not received.

Donald

From: Renaud, Tracy L
Sent: Tuesday, December 13, 2016 9:29 AM
To: USCIS Presidential Transition; USCIS MGT Tasks; Stanley, Kathleen M; Kerns, Kevin J; Collins, Anissa A; Clark, Levita S; Hawkins, Donald K; OP&S Presidential Transition; Vanison, Denise; FDNSExecSec; Emrich, Matthew D; Davidson, Andrew J; Melero, Mariela; Rogers, Debra A; Simeon, David G; Schwartz, Mark A
Subject: RE: ***URGENT*** Transition RFI Due Noon Today

All – Highlighting which office has primary responsibility for each task and adding a little context in a

couple of areas. Give me or Julie a call if you have any questions.

*Tracy L. Renaud
Associate Director
Management Directorate
US Citizenship & Immigration Services
Department of Homeland Security
202-272-1739 (desk)*

From: USCIS Presidential Transition
Sent: Tuesday, December 13, 2016 9:18 AM
To: USCIS MGT Tasks; Stanley, Kathleen M; Kerns, Kevin J; Collins, Anissa A; Clark, Levita S; Hawkins, Donald K; OP&S Presidential Transition; Vanison, Denise; FDNSExecSec; Emrich, Matthew D; Davidson, Andrew J; Melero, Mariela; Rogers, Debra A; Simeon, David G; Schwartz, Mark A
Cc: Renaud, Tracy L
Subject: ***URGENT*** Transition RFI Due Noon Today
Importance: High

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(b)(5)



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U.S. Citizenship and Immigration Services

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Subject: RE: ***URGENT*** Transition RFI Due Noon Today
Date: Tuesday, December 13, 2016 9:32:10 AM

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Donald

From: Renaud, Tracy L
Sent: Tuesday, December 13, 2016 9:29 AM
To: USCIS Presidential Transition; USCIS MGT Tasks; Stanley, Kathleen M; Kerns, Kevin J; Collins, Anissa A; Clark, Levita S; Hawkins, Donald K; OP&S Presidential Transition; Vanison, Denise; FDNSExecSec; Emrich, Matthew D; Davidson, Andrew J; Melero, Mariela; Rogers, Debra A; Simeon, David G; Schwartz, Mark A
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From: Renaud, Tracy L
To: [USCIS Presidential Transition](#)
Subject: RE: ***URGENT*** Transition RFI Due Noon Today
Date: Tuesday, December 13, 2016 12:56:53 PM

Do you have the USCIS Immigration and Statistics and Trends document from Mike Hoefler?

From: Renaud, Tracy L
Sent: Tuesday, December 13, 2016 12:31:37 PM
To: USCIS Presidential Transition
Subject: FW: ***URGENT*** Transition RFI Due Noon Today

Julie,

The issue paper doesn't give a good sense of where we have backlogs and any other specific info. Attached is the powerpoint we used at the meeting with OMB a couple of months ago. Do you think any of this info would be helpful to provide?

*Tracy L. Renaud
Associate Director
Management Directorate
US Citizenship & Immigration Services
Department of Homeland Security
202-272-1739 (desk)*

From: Prelogar, Brandon B
Sent: Tuesday, December 13, 2016 12:25 PM
To: USCIS Presidential Transition; Young, Todd P; Walters, Jessica S; Krebs, Kristie L
Cc: Renaud, Tracy L
Subject: RE: ***URGENT*** Transition RFI Due Noon Today

Hey, Julie. The asylum backlog info is a bit outdated. Think it best to shoot this back to Asylum to get updated numbers/material. See comments in the attached. Thanks,

b-

From: USCIS Presidential Transition
Sent: Tuesday, December 13, 2016 10:11 AM
To: Young, Todd P; Walters, Jessica S; Prelogar, Brandon B; Krebs, Kristie L
Cc: Renaud, Tracy L
Subject: FW: ***URGENT*** Transition RFI Due Noon Today
Importance: High

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In addition to the items below, the team also requested our backlog issue paper (attached—this was previously cleared and was updated last month to include the FY16 numbers) and information about premium processing fees and the new fee rule (will just provide the link to the final rule notice).

I will send items as I receive them to allow you the maximum amount of time to review. Attached is the ELIS and ATLAS PIAs and SORN.

Thank you very much for your help with this.

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From: Fleet, Andrea B
To: Clark, Levita S; USCIS Presidential Transition; USCIS MGT Tasks; Stanley, Kathleen M; Kerns, Kevin J; Collins, Anissa A; Schwartz, Mark A
Cc: Renaud, Tracy L
Subject: RE: ***URGENT*** Transition RFI Due Noon Today
Date: Tuesday, December 13, 2016 3:51:25 PM

Julie - We are awaiting approval by Tracy and Kevin.

Thanks,
Andrea

From: Clark, Levita S
Sent: Tuesday, December 13, 2016 3:50 PM
To: USCIS Presidential Transition; USCIS MGT Tasks; Stanley, Kathleen M; Kerns, Kevin J; Collins, Anissa A; Schwartz, Mark A
Cc: Renaud, Tracy L
Subject: RE: ***URGENT*** Transition RFI Due Noon Today

Hi Julie,
The ELIS costs were provided in the document Kath sent forward and OCFO also sent forward their comments regarding cost.

LeVita S Clark
Office of Transformation Coordination
Desk: (202) 272-9403

From: USCIS Presidential Transition
Sent: Tuesday, December 13, 2016 3:45 PM
To: USCIS MGT Tasks; Stanley, Kathleen M; Kerns, Kevin J; Collins, Anissa A; Clark, Levita S; Schwartz, Mark A
Cc: Renaud, Tracy L
Subject: RE: ***URGENT*** Transition RFI Due Noon Today
Importance: High

I believe the only response I'm missing is the ELIS costs (also highlighted below). Please provide them as soon as possible.

Thank you,
Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
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Cc: Renaud, Tracy L
Subject: ***URGENT*** Transition RFI Due Noon Today.
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Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-282-8277
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To: USCIS Presidential Transition; USCIS MGT Tasks; Stanley, Kathleen M; Kerns, Kevin J; Collins, Anissa A; Schwartz, Mark A
Cc: Renaud, Tracy L
Subject: RE: ***URGENT*** Transition RFI Due Noon Today
Date: Tuesday, December 13, 2016 3:50:29 PM

Hi Julie,

The ELIS costs were provided in the document Kath sent forward and OCFO also sent forward their comments regarding cost.

LeVita S Clark
Office of Transformation Coordination
Desk: (202) 272-9403

From: USCIS Presidential Transition
Sent: Tuesday, December 13, 2016 3:45 PM
To: USCIS MGT Tasks; Stanley, Kathleen M; Kerns, Kevin J; Collins, Anissa A; Clark, Levita S; Schwartz, Mark A
Cc: Renaud, Tracy L
Subject: RE: ***URGENT*** Transition RFI Due Noon Today
Importance: High

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To: USCIS MGT Tasks; Stanley, Kathleen M; Kerns, Kevin J; Collins, Anissa A; Clark, Levita S; Schwartz, Mark A
Cc: Renaud, Tracy L
Subject: RE: ***URGENT*** Transition RFI Due Noon Today
Date: Tuesday, December 13, 2016 3:44:40 PM
Importance: High

I believe the only response I'm missing is the ELIS costs (also highlighted below). Please provide them as soon as possible.

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Julie Farnam
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Field Operations Directorate
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From: Prelogar, Brandon B
To: USCIS Presidential Transition; Renaud, Tracy L; Young, Todd P; Walters, Jessica S; Krebs, Kristie L
Subject: RE: ***URGENT*** Transition RFI Due Noon Today
Date: Tuesday, December 13, 2016 3:38:04 PM

Julie, that's fine. My point was that at various points in the paper the present or future tense is applied to or implied for FY16, and the future for FY17, including in that sentence. See [here](#):



From: USCIS Presidential Transition
Sent: Tuesday, December 13, 2016 2:15 PM
To: Prelogar, Brandon B; Renaud, Tracy L; Young, Todd P; Walters, Jessica S; Krebs, Kristie L
Subject: RE: ***URGENT*** Transition RFI Due Noon Today

Hi Brandon,

The 4th quarter data isn't published yet. Also this paper was updated on 12/1 by OPQ, so I think we can be pretty confident that it's as up to date as it can be for now. Thank you for reviewing.

Julie Farnam
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From: Prelogar, Brandon B
Sent: Tuesday, December 13, 2016 1:30 PM
To: Renaud, Tracy L; USCIS Presidential Transition; Young, Todd P; Walters, Jessica S; Krebs, Kristie L
Subject: RE: ***URGENT*** Transition RFI Due Noon Today

Ok, but still think we should adjust the second point I flagged, which projects a future

outcome for a FY quarter (Q3 FY16) that's already passed.

From: Renaud, Tracy L
Sent: Tuesday, December 13, 2016 12:27:36 PM
To: Prelogar, Brandon B; USCIS Presidential Transition; Young, Todd P; Walters, Jessica S; Krebs, Kristie L
Subject: RE: ***URGENT*** Transition RFI Due Noon Today

Brandon,

As a general rule all agencies are using end of FY16 data. Given the short timeframe, and since it is noted that it is end of FY16, I suggest we leave it as is. If they ask for a briefing we can verbalize updated numbers at that time as we have done in other areas.

*Tracy L. Renaud
Associate Director
Management Directorate
US Citizenship & Immigration Services
Department of Homeland Security
202-272-1739 (desk)*

From: Prelogar, Brandon B
Sent: Tuesday, December 13, 2016 12:25 PM
To: USCIS Presidential Transition; Young, Todd P; Walters, Jessica S; Krebs, Kristie L
Cc: Renaud, Tracy L
Subject: RE: ***URGENT*** Transition RFI Due Noon Today

Hey, Julie. The asylum backlog info is a bit outdated. Think it best to shoot this back to Asylum to get updated numbers/material. See comments in the attached. Thanks,

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From: USCIS Presidential Transition
Sent: Tuesday, December 13, 2016 10:11 AM
To: Young, Todd P; Walters, Jessica S; Prelogar, Brandon B; Krebs, Kristie L
Cc: Renaud, Tracy L
Subject: FW: ***URGENT*** Transition RFI Due Noon Today
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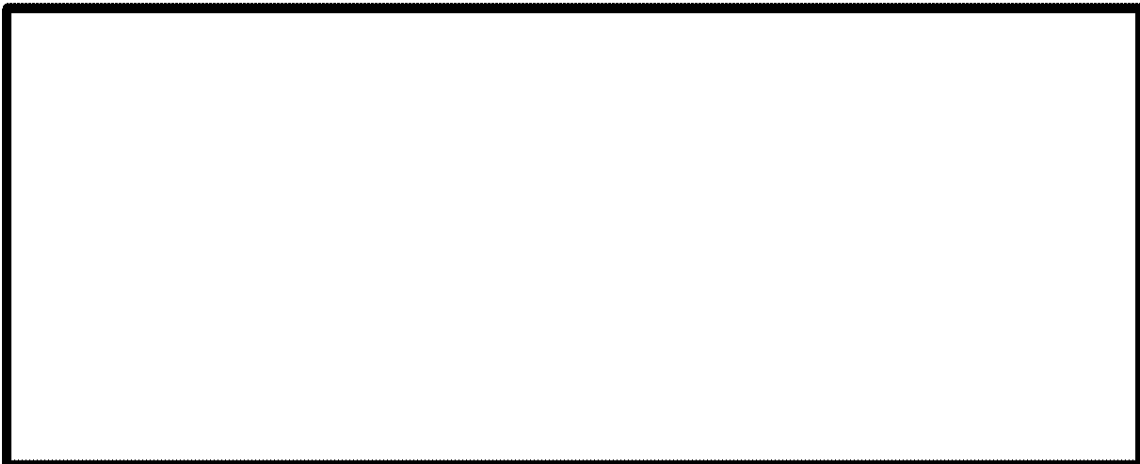
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From: Renaud, Tracy L
To: Reilly, Richard M; Fleet, Andrea B; Kerns, Kevin J
Cc: USCIS_MGT_Tasks; Stanley, Kathleen M; Moore, Joseph D; Fredericks, Christopher; White, Jacquelyn D; Soloweigh, Todd L; Nasir, Syed A
Subject: RE: ***URGENT*** Transition RFI Due Noon Today
Date: Tuesday, December 13, 2016 7:06:00 PM
Attachments: [image001.png](#)
[image002.png](#)
[image005.png](#)

Thanks Rich. I will forward to the transition mailbox.

Tracy L. Renaud
Associate Director
Management Directorate
US Citizenship & Immigration Services
Department of Homeland Security
202-272-1739 (desk)

From: Reilly, Richard M
Sent: Tuesday, December 13, 2016 7:02 PM
To: Fleet, Andrea B; Kerns, Kevin J; Renaud, Tracy L
Cc: USCIS MGT Tasks; Stanley, Kathleen M; Moore, Joseph D; Fredericks, Christopher; White, Jacquelyn D; Soloweigh, Todd L; Nasir, Syed A
Subject: RE: ***URGENT*** Transition RFI Due Noon Today

Tracy/Kevin/Andrea – Attached is the updated OTC submission.

Please let us know if you need anything else.

Thanks!
Rich

From: Fleet, Andrea B
Sent: Tuesday, December 13, 2016 5:40 PM
To: Stanley, Kathleen M; Reilly, Richard M
Cc: Kerns, Kevin J; Renaud, Tracy L; USCIS MGT Tasks
Subject: RE: ***URGENT*** Transition RFI Due Noon Today

Kath – Once completed, please forward this to Rich (OCFO) for review. Rich please forward the submission to Kevin who will get it Julie at USCIS Presidential Transition uscisresidentialtransition@uscis.dhs.gov.

I appreciate everyone's diligence to get this done today.

Andrea

From: Stanley, Kathleen M
Sent: Tuesday, December 13, 2016 5:28 PM
To: Fleet, Andrea B
Cc: Kerns, Kevin J
Subject: RE: ***URGENT*** Transition RFI Due Noon Today

Yes,

The last table he needs, I only have in picture format and the footnote is blurry.

The member of my team will not be at home until 5:45 pm.

She has the request!

Kath

Kathleen "Kath" Stanley
Chief, Office Transformation Coordination
U.S. Citizenship and Immigration Services
202-272-9401

From: Fleet, Andrea B
Sent: Tuesday, December 13, 2016 5:04 PM
To: Stanley, Kathleen M
Cc: Kerns, Kevin J
Subject: FW: ***URGENT*** Transition RFI Due Noon Today

Kath – Rich mentioned you were going to forward the updated tables, correct?

From: Reilly, Richard M
Sent: Tuesday, December 13, 2016 4:23 PM
To: Fleet, Andrea B
Cc: Davis, Alecia A; Moore, Joseph D; Fredericks, Christopher
Subject: RE: ***URGENT*** Transition RFI Due Noon Today

Andrea – the OTC charts are pictures so I couldn't change them. I talked to Kath and she is going to make the changes and send an updated version to me. I will send it to you as soon as I receive it.

Rich

From: Fleet, Andrea B
Sent: Tuesday, December 13, 2016 3:57 PM
To: Reilly, Richard M
Cc: Davis, Alecia A; Moore, Joseph D; Fredericks, Christopher
Subject: FW: ***URGENT*** Transition RFI Due Noon Today

Rich – Would you mind making the necessary changes and reforwarding us a clean copy please? Thanks.

From: Renaud, Tracy L
Sent: Tuesday, December 13, 2016 3:53 PM
To: Fleet, Andrea B; Kerns, Kevin J
Subject: RE: ***URGENT*** Transition RFI Due Noon Today

I agree with OCFO's recommendations.

*Tracy L. Renaud
Associate Director
Management Directorate
US Citizenship & Immigration Services
Department of Homeland Security
702-272-1739 (desk)*

From: Fleet, Andrea B
Sent: Tuesday, December 13, 2016 3:47 PM
To: Renaud, Tracy L; Kerns, Kevin J
Subject: FW: ***URGENT*** Transition RFI Due Noon Today

Tracy – CFO has questions, please advise.

From: Fleet, Andrea B
Sent: Tuesday, December 13, 2016 2:00 PM
To: Renaud, Tracy L; Kerns, Kevin J
Cc: USCIS MGT Tasks
Subject: FW: ***URGENT*** Transition RFI Due Noon Today

Tracy - OCFO has the following questions below concerning OTC's response. Please advise as to how you would like OCFO to proceed. BTW, I am attending training from 2-4. Thanks,

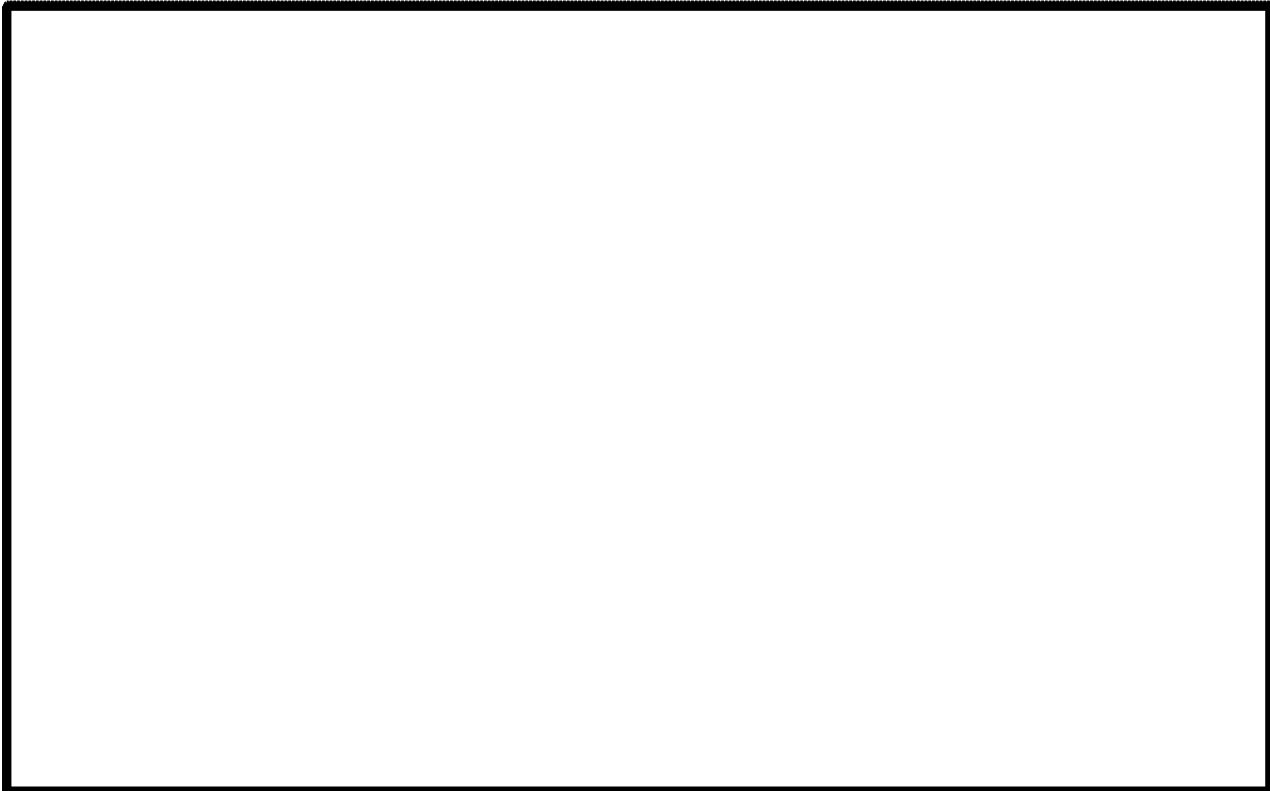
Andrea

From: Reilly, Richard M
Sent: Tuesday, December 13, 2016 1:56 PM
To: Fleet, Andrea B; USCIS MGT Tasks
Cc: Fredericks, Christopher; White, Jacquelyn D; Soloweigh, Todd L; Nasir, Syed A; Cristiani, Juan L; Moore, Joseph D
Subject: FW: ***URGENT*** Transition RFI Due Noon Today

(b)(5)

Andrea – OCFO has reviewed the responses to the following two questions:





Let us know if you have questions. Also, please let us know if you want us to coordinate the changes with OTC.

Thanks!
Rich

From: Fleet, Andrea B
Sent: Tuesday, December 13, 2016 1:40 PM
To: Davis, Alecia A; Moore, Joseph D; Reilly, Richard M
Cc: USCIS MGT Tasks
Subject: FW: ***URGENT*** Transition RFI Due Noon Today

OCFO – I am heading to a training session shortly. Please forward your response to the MGT task box who will obtain Tracy and Kevin's clearance before forwarding to the Presidential Transition clearance box.

Thanks again for your quick turnaround on this.

Anrea

From: Stanley, Kathleen M
Sent: Tuesday, December 13, 2016 11:52 AM
To: Fleet, Andrea B; Schwartz, Mark A; Jones, Keith A; Wittman, Gregory J; Black, Diane E; Moore, Joseph D; Reilly, Richard M; Davis, Alecia A; DeStefano, Ernest; Anderson, Erik C; Becker, Cheryl L
Cc: USCIS MGT Tasks; Renaud, Tracy L; Kerns, Kevin J; Tran, Ramona L; Clark, Levita S; Perryman, Janet J; Van Demark, Henry
Subject: RE: ***URGENT*** Transition RFI Due Noon Today

Andrea,

Attached is OTC's input. I have also attached a spreadsheet that provides more detail for the cost data.

Ramona Tran is our lead in pulling this data and I have added her to facilitate answering any questions.

Kath

Kathleen "Kath" Stanley
Chief, Office Transformation Coordination
U.S. Citizenship and Immigration Services
202-272-9401

From: Fleet, Andrea B
Sent: Tuesday, December 13, 2016 9:30 AM
To: Stanley, Kathleen M; Schwartz, Mark A; Jones, Keith A; Wittman, Gregory J; Black, Diane E; Moore, Joseph D; Reilly, Richard M; Davis, Alecia A; DeStefano, Ernest; Anderson, Erik C; Becker, Cheryl L
Cc: USCIS MGT Tasks; Renaud, Tracy L; Kerns, Kevin J
Subject: FW: ***URGENT*** Transition RFI Due Noon Today
Importance: High

URGENT PRESIDENTIAL TRANSITION REQUEST – DUE NOON TODAY; NO EXTENSIONS

From: USCIS Presidential Transition
Sent: Tuesday, December 13, 2016 9:18 AM
To: USCIS MGT Tasks; Stanley, Kathleen M; Kerns, Kevin J; Collins, Anissa A; Clark, Levita S; Hawkins, Donald K; OP&S Presidential Transition; Vanison, Denise; FDNSExecSec; Emrich, Matthew D; Davidson, Andrew J; Melero, Mariela; Rogers, Debra A; Simeon, David G; Schwartz, Mark A
Cc: Renaud, Tracy L
Subject: ***URGENT*** Transition RFI Due Noon Today
Importance: High

Good morning,

We have our first information request from the president-elect's transition landing team. There is an extremely fast turnaround on these requests (apologies!)—it is **due at noon today** to allow time for the front office to clear today and to get it back to DHS today. Therefore, no extensions may be granted and it is imperative that you respond timely.

This is what is being requested:

(b)(5)



Thank you very much for all your help with this and if there are any questions, I can be reached at the numbers below.

Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-282-8277
(c) 202-489-8802

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From: USCIS Presidential Transition
To: Groom, Molly M; OCC-Clearance; Jaddou, Ur M; Carpenter, Dea D; Miles, John D; McGea, Ramona L
Cc: Renaud, Tracy L
Subject: RE: ***URGENT*** Transition RFI Due Now
Date: Tuesday, December 13, 2016 9:34:52 PM
Attachments: Information Request from Presidential Transition Team (OTC 12-13-2016 re...docx
image001.png
image002.png
Importance: High

I still need this document tonight. Ramona appears to be offline. Is there someone else that can review this now?

(b)(5)

I also need the following sentence cleared:



Thank you,
Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
(c) 202-489-8802

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From: Groom, Molly M
Sent: Tuesday, December 13, 2016 8:41 PM
To: USCIS Presidential Transition; OCC-Clearance; Jaddou, Ur M; Carpenter, Dea D; Miles, John D; McGea, Ramona L
Cc: Renaud, Tracy L
Subject: RE: ***URGENT*** Transition RFI Due Noon Today

Actually adding her here.

From: Groom, Molly M
Sent: Tuesday, December 13, 2016 8:40:43 PM
To: USCIS Presidential Transition; OCC-Clearance; Jaddou, Ur M; Carpenter, Dea D; Miles, John D
Cc: Renaud, Tracy L
Subject: RE: ***URGENT*** Transition RFI Due Noon Today

Including Ramona. I will forward the attachment separately.

From: USCIS Presidential Transition
Sent: Tuesday, December 13, 2016 7:39:06 PM
To: OCC-Clearance; Jaddou, Ur M; Groom, Molly M; Carpenter, Dea D; Miles, John D
Cc: Renaud, Tracy L
Subject: FW: ***URGENT*** Transition RFI Due Noon Today

One more document that needs to be reviewed tonight. I still have to get D1/D2 clearance tonight on this as well, so your quick turnaround is greatly appreciated.

Thank you,
Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
(c) 202-489-8802

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From: Reilly, Richard M
Sent: Tuesday, December 13, 2016 4:23 PM
To: Fleet, Andrea B
Cc: Davis, Alecia A; Moore, Joseph D; Fredericks, Christopher
Subject: RE: ***URGENT*** Transition RFI Due Noon Today

Andrea – the OTC charts are pictures so I couldn't change them. I talked to Kath and she is going to make the changes and send an updated version to me. I will send it to you as soon as I receive it.

Rich

From: Fleet, Andrea B
Sent: Tuesday, December 13, 2016 3:57 PM
To: Reilly, Richard M
Cc: Davis, Alecia A; Moore, Joseph D; Fredericks, Christopher
Subject: FW: ***URGENT*** Transition RFI Due Noon Today

Rich – Would you mind making the necessary changes and reforwarding us a clean copy please? Thanks.

From: Renaud, Tracy L
Sent: Tuesday, December 13, 2016 3:53 PM
To: Fleet, Andrea B; Kerns, Kevin J
Subject: RE: ***URGENT*** Transition RFI Due Noon Today

I agree with OCFO's recommendations.

*Tracy L. Renaud
Associate Director
Management Directorate
US Citizenship & Immigration Services
Department of Homeland Security
202-272-1739 (desk)*

From: Fleet, Andrea B
Sent: Tuesday, December 13, 2016 3:47 PM
To: Renaud, Tracy L; Kerns, Kevin J
Subject: FW: ***URGENT*** Transition RFI Due Noon Today

Tracy – CFO has questions, please advise.

From: Fleet, Andrea B
Sent: Tuesday, December 13, 2016 2:00 PM
To: Renaud, Tracy L; Kerns, Kevin J
Cc: USCIS MGT Tasks
Subject: FW: ***URGENT*** Transition RFI Due Noon Today

Tracy - OCFO has the following questions below concerning OTC's response. Please advise as to how you would like OCFO to proceed. BTW, I am attending training from 2-4. Thanks,

Andrea

From: Reilly, Richard M
Sent: Tuesday, December 13, 2016 1:56 PM
To: Fleet, Andrea B; USCIS MGT Tasks
Cc: Fredericks, Christopher; White, Jacquelyn D; Soloweigh, Todd L; Nasir, Syed A; Cristiani, Juan L; Moore, Joseph D
Subject: FW: ***URGENT*** Transition RFI Due Noon Today

Andrea – OCFO has reviewed the responses to the following two questions:



(b)(5)

(b)(5)



Let us know if you have questions. Also, please let us know if you want us to coordinate the changes with OTC.

Thanks!
Rich

From: Fleet, Andrea B
Sent: Tuesday, December 13, 2016 1:40 PM
To: Davis, Alecia A; Moore, Joseph D; Reilly, Richard M
Cc: USCIS MGT Tasks
Subject: FW: ***URGENT*** Transition RFI Due Noon Today

OCFO – I am heading to a training session shortly. Please forward your response to the MGT task box who will obtain Tracy and Kevin's clearance before forwarding to the Presidential Transition clearance box.

Thanks again for your quick turnaround on this.

Anrea

From: Stanley, Kathleen M
Sent: Tuesday, December 13, 2016 11:52 AM
To: Fleet, Andrea B; Schwartz, Mark A; Jones, Keith A; Wittman, Gregory J; Black, Diane E; Moore, Joseph D; Reilly, Richard M; Davis, Alecia A; DeStefano, Ernest; Anderson, Erik C; Becker, Cheryl L
Cc: USCIS MGT Tasks; Renaud, Tracy L; Kerns, Kevin J; Tran, Ramona L; Clark, Levita S; Perryman, Janet J; Van Demark, Henry
Subject: RE: ***URGENT*** Transition RFI Due Noon Today

Andrea,

Attached is OTC's input. I have also attached a spreadsheet that provides more detail for the cost data.

Ramona Tran is our lead in pulling this data and I have added her to facilitate answering any questions.

Kath

Kathleen "Kath" Stanley
Chief, Office Transformation Coordination
U.S. Citizenship and Immigration Services
202-272-9401

From: Fleet, Andrea B
Sent: Tuesday, December 13, 2016 9:30 AM
To: Stanley, Kathleen M; Schwartz, Mark A; Jones, Keith A; Wittman, Gregory J; Black, Diane E; Moore, Joseph D; Reilly, Richard M; Davis, Alecia A; DeStefano, Ernest; Anderson, Erik C; Becker, Cheryl L

Cc: USCIS MGT Tasks; Renaud, Tracy L; Kerns, Kevin J
Subject: FW: ***URGENT*** Transition RFI Due Noon Today
Importance: High

URGENT PRESIDENTIAL TRANSITION REQUEST – DUE NOON TODAY; NO EXTENSIONS

From: USCIS Presidential Transition
Sent: Tuesday, December 13, 2016 9:18 AM
To: USCIS MGT Tasks; Stanley, Kathleen M; Kerns, Kevin J; Collins, Anissa A; Clark, Levita S; Hawkins, Donald K; OP&S Presidential Transition; Vanison, Denise; FDNSExecSec; Emrich, Matthew D; Davidson, Andrew J; Melero, Mariela; Rogers, Debra A; Simeon, David G; Schwartz, Mark A
Cc: Renaud, Tracy L
Subject: ***URGENT*** Transition RFI Due Noon Today
Importance: High

Good morning,

We have our first information request from the president-elect's transition landing team. There is an extremely fast turnaround on these requests (apologies!)—it is due at noon today to allow time for the front office to clear today and to get it back to DHS today. Therefore, no extensions may be granted and it is imperative that you respond timely.

This is what is being requested:



(b)(5)

Thank you very much for all your help with this and if there are any questions, I can be reached at the numbers below.

Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-282-8277
(c) 202-489-8802

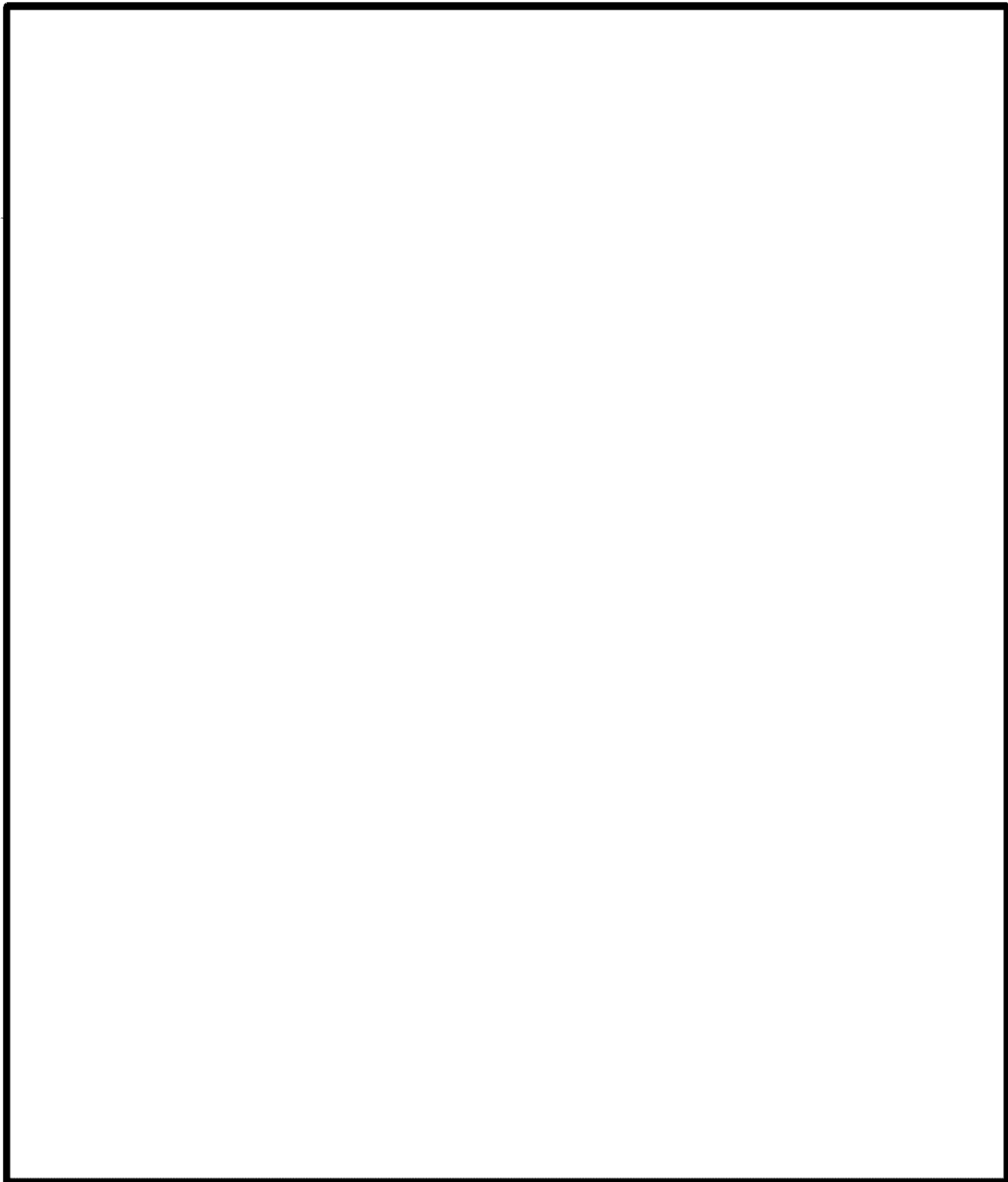
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Information Request from Presidential Transition Team

OTC

December 13, 2016

(b)(5)



(b)(5)



From: Groom, Molly M
To: Renaud, Tracy L; Jaddou, Ur M; USCIS Presidential Transition; Smith, Alice J; Arroyo, Susan K; McCament, James W; Neufeld, Donald W; SCOPS-Clearance; Hoefer, Michael D; Porto, Victoria
Cc: Moran, Karla; Weller, Angela V; OCC-Clearance; Carpenter, Dea D; Miles, John D; RALD; Zengotitabengoa, Colleen R; Owens, Jessica D; Katz, Jonathan E; Hinds, Ian G; Ooi, Maura M; Whitney, Ronald W
Subject: RE: ***URGENT***Transition Information Request-DACA
Date: Tuesday, December 13, 2016 8:44:31 PM

We should probably develop a separate piece on the DACA litigation.

From: Renaud, Tracy L
Sent: Tuesday, December 13, 2016 6:54:34 PM
To: Groom, Molly M; Jaddou, Ur M; USCIS Presidential Transition; Smith, Alice J; Arroyo, Susan K; McCament, James W; Neufeld, Donald W; SCOPS-Clearance; Hoefer, Michael D; Porto, Victoria
Cc: Moran, Karla; Weller, Angela V; OCC-Clearance; Carpenter, Dea D; Miles, John D; RALD; Zengotitabengoa, Colleen R; Owens, Jessica D; Katz, Jonathan E; Hinds, Ian G; Ooi, Maura M; Whitney, Ronald W
Subject: RE: ***URGENT***Transition Information Request-DACA

Ok. We can send it without the litigation info for now. But let's finalize that language in the next day or two so we are ready with it when the request comes.

*Tracy L. Renaud
Associate Director
Management Directorate
US Citizenship & Immigration Services
Department of Homeland Security
202-272-1739 (desk)*

From: Groom, Molly M
Sent: Tuesday, December 13, 2016 6:47 PM
To: Renaud, Tracy L; Jaddou, Ur M; USCIS Presidential Transition; Smith, Alice J; Arroyo, Susan K; McCament, James W; Neufeld, Donald W; SCOPS-Clearance; Hoefer, Michael D; Porto, Victoria
Cc: Moran, Karla; Weller, Angela V; OCC-Clearance; Carpenter, Dea D; Miles, John D; RALD; Zengotitabengoa, Colleen R; Owens, Jessica D; Katz, Jonathan E; Hinds, Ian G; Ooi, Maura M; Whitney, Ronald W
Subject: RE: ***URGENT***Transition Information Request-DACA

Not sure how soon Ur may be able to respond but just adding the that our initial edits on the overarching paper weren't incorporated. So after discussing with Julie we thought focusing on the questions asked with some general background was best approach.

From: Renaud, Tracy L
Sent: Tuesday, December 13, 2016 6:43:03 PM
To: Jaddou, Ur M; Groom, Molly M; USCIS Presidential Transition; Smith, Alice J; Arroyo, Susan K; McCament, James W; Neufeld, Donald W; SCOPS-Clearance; Hoefer, Michael D; Porto, Victoria
Cc: Moran, Karla; Weller, Angela V; OCC-Clearance; Carpenter, Dea D; Miles, John D; RALD; Zengotitabengoa, Colleen R; Owens, Jessica D; Katz, Jonathan E; Hinds, Ian G; Ooi, Maura M; Whitney, Ronald W
Subject: RE: ***URGENT***Transition Information Request-DACA

Thanks Ur. I don't have any concerns about your edits except that it appears you deleted all of the

litigation portion. Shouldn't we have the language that was originally edited by your team regarding the status of the expanded DACA litigation included? That would seem to me to be a significant part of the program status.

*Tracy L. Renaud
Associate Director
Management Directorate
US Citizenship & Immigration Services
Department of Homeland Security
202-272-1739 (desk)*

From: Jaddou, Ur M
Sent: Tuesday, December 13, 2016 5:38 PM
To: Groom, Molly M; USCIS Presidential Transition; Smith, Alice J; Arroyo, Susan K; McCament, James W; Neufeld, Donald W; SCOPS-Clearance; Hoefler, Michael D; Porto, Victoria
Cc: Moran, Karla; Renaud, Tracy L; Weller, Angela V; OCC-Clearance; Carpenter, Dea D; Miles, John D; RALD; Zengotitabengoa, Colleen R; Owens, Jessica D; Katz, Jonathan E; Hinds, Ian G; Ooi, Maura M; Whitney, Ronald W
Subject: RE: ***URGENT***Transition Information Request-DACA

Per discussion with Julie, please see attachment.

From: Groom, Molly M
Sent: Tuesday, December 13, 2016 4:22 PM
To: USCIS Presidential Transition; Smith, Alice J; Arroyo, Susan K; McCament, James W; Neufeld, Donald W; SCOPS-Clearance; Hoefler, Michael D; Porto, Victoria
Cc: Moran, Karla; Renaud, Tracy L; Weller, Angela V; OCC-Clearance; Jaddou, Ur M; Carpenter, Dea D; Miles, John D; RALD; Zengotitabengoa, Colleen R; Owens, Jessica D; Katz, Jonathan E; Hinds, Ian G; Ooi, Maura M; Whitney, Ronald W
Subject: RE: ***URGENT***Transition Information Request-DACA

We'll have them to you in 20 minutes.

From: USCIS Presidential Transition
Sent: Tuesday, December 13, 2016 4:20 PM
To: Smith, Alice J; Arroyo, Susan K; McCament, James W; Neufeld, Donald W; SCOPS-Clearance; Hoefler, Michael D; Porto, Victoria
Cc: Moran, Karla; Renaud, Tracy L; Weller, Angela V; OCC-Clearance; Jaddou, Ur M; Groom, Molly M; Carpenter, Dea D; Miles, John D; RALD; Zengotitabengoa, Colleen R; Owens, Jessica D; Katz, Jonathan E; Hinds, Ian G; Ooi, Maura M; Whitney, Ronald W
Subject: RE: ***URGENT***Transition Information Request-DACA

Following up on this. Do you have your edits? I need them today. Thank you!

From: Smith, Alice J
Sent: Tuesday, December 13, 2016 2:33 PM
To: USCIS Presidential Transition; Arroyo, Susan K; McCament, James W; Neufeld, Donald W; SCOPS-Clearance; Hoefler, Michael D; Porto, Victoria
Cc: Moran, Karla; Renaud, Tracy L; Weller, Angela V; OCC-Clearance; Jaddou, Ur M; Groom, Molly M; Carpenter, Dea D; Miles, John D; RALD; Zengotitabengoa, Colleen R; Owens, Jessica D; Katz, Jonathan E; Hinds, Ian G; Ooi, Maura M; Whitney, Ronald W
Subject: RE: ***URGENT***Transition Information Request-DACA

(b)(5)

OCC is working quickly on our review and will return our edits to you shortly, Julie, et al.



Alice

From: USCIS Presidential Transition
Sent: Tuesday, December 13, 2016 11:54 AM
To: Smith, Alice J; Arroyo, Susan K; McCament, James W; Neufeld, Donald W; SCOPS-Clearance; Hoefer, Michael D; Porto, Victoria
Cc: Moran, Karla; Renaud, Tracy L; Weller, Angela V; OCC-Clearance; Jaddou, Ur M; Groom, Molly M; Carpenter, Dea D; Miles, John D; RALD; Zengotitabengoa, Colleen R; Owens, Jessica D; Katz, Jonathan E; Hinds, Ian G; Ooi, Maura M; Whitney, Ronald W
Subject: RE: ***URGENT***Transition Information Request-DACA

Two sentences added to the issue paper. OCC--it's all yours.

Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
(c) 202-489-8802

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From: Smith, Alice J
Sent: Tuesday, December 13, 2016 11:43 AM
To: USCIS Presidential Transition; Arroyo, Susan K; McCament, James W; Neufeld, Donald W; SCOPS-Clearance; Hoefer, Michael D; Porto, Victoria
Cc: Moran, Karla; Renaud, Tracy L; Weller, Angela V; OCC-Clearance; Jaddou, Ur M; Groom, Molly M; Carpenter, Dea D; Miles, John D; RALD; Zengotitabengoa, Colleen R; Owens, Jessica D; Katz, Jonathan E; Hinds, Ian G; Ooi, Maura M; Whitney, Ronald W
Subject: RE: ***URGENT***Transition Information Request-DACA

Adding others on DACA in OCC.

From: USCIS Presidential Transition
Sent: Tuesday, December 13, 2016 11:40:12 AM
To: Arroyo, Susan K; McCament, James W; Neufeld, Donald W; SCOPS-Clearance; Hoefer, Michael D; Porto, Victoria
Cc: Moran, Karla; Renaud, Tracy L; Weller, Angela V; OCC-Clearance; Jaddou, Ur M; Groom, Molly M; Carpenter, Dea D; Miles, John D; RALD; Zengotitabengoa, Colleen R; Owens, Jessica D; Smith, Alice J; Katz, Jonathan E
Subject: RE: ***URGENT***Transition Information Request-DACA

Just checked, the transition team said we can just update the previously cleared issue paper. I checked yesterday and the FY16, Q4 data is not yet published. Please add the requested stats/information to the attached. Thank you!

Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
(c) 202-489-8802

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From: USCIS Presidential Transition
Sent: Tuesday, December 13, 2016 11:29 AM
To: Arroyo, Susan K (Susan.K.Arroyo@uscis.dhs.gov); McCament, James W; Neufeld, Donald W; SCOPS-Clearance
Cc: Moran, Karla; Renaud, Tracy L; Weller, Angela V; OCC-Clearance; Jaddou, Ur M; Groom, Molly M; Carpenter, Dea D; Miles, John D
Subject: ***URGENT***Transition Information Request-DACA
Importance: High

Good morning,

The president-elect's transition landing team just handed me a new information request that pertains to your office. There is an extremely fast turnaround on these requests (apologies!)—it is due by 4:00 today to allow time for the front office to clear today and to get it back to DHS by tomorrow morning. Therefore, no extensions may be granted and it is imperative that you respond timely.

The transition team would like to know:

(b)(5)



Please have your response cleared by OCC before returning to me. Thank you very much for your assistance with this.

From: Neufeld, Donald W
To: USCIS Presidential Transition; Smith, Alice J; Arroyo, Susan K; McCament, James W; SCOPS-Clearance; Hoefer, Michael D; Porto, Victoria
Cc: Moran, Karla; Renaud, Tracy L; Weller, Angela V; OCC-Clearance; Jaddou, Ur M; Groom, Molly M; Carpenter, Dea D; Miles, John D; RALD; Zengotibengoa, Colleen R; Owens, Jessica D; Katz, Jonathan E; Hinds, Ian G; Ooi, Maura M; Whitney, Ronald W
Subject: RE: ***URGENT***Transition Information Request-DACA
Date: Tuesday, December 13, 2016 12:13:26 PM

Ok, then we just need to add the clarification contained in my comment.

From: USCIS Presidential Transition
Sent: Tuesday, December 13, 2016 12:12 PM
To: Neufeld, Donald W; Smith, Alice J; Arroyo, Susan K; McCament, James W; SCOPS-Clearance; Hoefer, Michael D; Porto, Victoria
Cc: Moran, Karla; Renaud, Tracy L; Weller, Angela V; OCC-Clearance; Jaddou, Ur M; Groom, Molly M; Carpenter, Dea D; Miles, John D; RALD; Zengotibengoa, Colleen R; Owens, Jessica D; Katz, Jonathan E; Hinds, Ian G; Ooi, Maura M; Whitney, Ronald W
Subject: RE: ***URGENT***Transition Information Request-DACA

I think it may be better to explain now in case we don't have the opportunity to explain later. They've (surprisingly) not requested a briefing on DACA yet.

OPQ—please also confirm the stats included in the update.

Thank you,
Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
(c) 202-489-8802

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From: Neufeld, Donald W
Sent: Tuesday, December 13, 2016 12:04 PM
To: USCIS Presidential Transition; Smith, Alice J; Arroyo, Susan K; McCament, James W; SCOPS-Clearance; Hoefer, Michael D; Porto, Victoria
Cc: Moran, Karla; Renaud, Tracy L; Weller, Angela V; OCC-Clearance; Jaddou, Ur M; Groom, Molly M; Carpenter, Dea D; Miles, John D; RALD; Zengotibengoa, Colleen R; Owens, Jessica D; Katz, Jonathan E; Hinds, Ian G; Ooi, Maura M; Whitney, Ronald W
Subject: RE: ***URGENT***Transition Information Request-DACA

Please see my comment on the second added sentence. I think it's easiest to delete rather than explain.

From: USCIS Presidential Transition
Sent: Tuesday, December 13, 2016 11:54 AM
To: Smith, Alice J; Arroyo, Susan K; McCament, James W; Neufeld, Donald W; SCOPS-Clearance; Hoefer, Michael D; Porto, Victoria
Cc: Moran, Karla; Renaud, Tracy L; Weller, Angela V; OCC-Clearance; Jaddou, Ur M; Groom, Molly M; Carpenter, Dea D; Miles, John D; RALD; Zengotitabengoa, Colleen R; Owens, Jessica D; Katz, Jonathan E; Hinds, Ian G; Ooi, Maura M; Whitney, Ronald W
Subject: RE: ***URGENT***Transition Information Request-DACA

Two sentences added to the issue paper. OCC—it's all yours.

Julie Farnam
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From: Smith, Alice J
Sent: Tuesday, December 13, 2016 11:43 AM
To: USCIS Presidential Transition; Arroyo, Susan K; McCament, James W; Neufeld, Donald W; SCOPS-Clearance; Hoefer, Michael D; Porto, Victoria
Cc: Moran, Karla; Renaud, Tracy L; Weller, Angela V; OCC-Clearance; Jaddou, Ur M; Groom, Molly M; Carpenter, Dea D; Miles, John D; RALD; Zengotitabengoa, Colleen R; Owens, Jessica D; Katz, Jonathan E; Hinds, Ian G; Ooi, Maura M; Whitney, Ronald W
Subject: RE: ***URGENT***Transition Information Request-DACA

Adding others on DACA in OCC.

From: USCIS Presidential Transition
Sent: Tuesday, December 13, 2016 11:40:12 AM
To: Arroyo, Susan K; McCament, James W; Neufeld, Donald W; SCOPS-Clearance; Hoefer, Michael D; Porto, Victoria
Cc: Moran, Karla; Renaud, Tracy L; Weller, Angela V; OCC-Clearance; Jaddou, Ur M; Groom, Molly M; Carpenter, Dea D; Miles, John D; RALD; Zengotitabengoa, Colleen R; Owens, Jessica D; Smith, Alice J; Katz, Jonathan E
Subject: RE: ***URGENT***Transition Information Request-DACA

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From: USCIS Presidential Transition
Sent: Tuesday, December 13, 2016 11:29 AM
To: Arroyo, Susan K (Susan.K.Arroyo@uscis.dhs.gov); McCament, James W; Neufeld, Donald W; SCOPS-Clearance
Cc: Moran, Karla; Renaud, Tracy L; Weller, Angela V; OCC-Clearance; Jaddou, Ur M; Groom, Molly M; Carpenter, Dea D; Miles, John D
Subject: ***URGENT***Transition Information Request-DACA
Importance: High

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The transition team would like to know:

(b)(5)



Please have your response cleared by OCC before returning to me. Thank you very much for your assistance with this.

From: Hoefler, Michael D
To: USCIS Presidential Transition; Neufeld, Donald W; Smith, Alice J; Arroyo, Susan K; McCament, James W; SCOPS-Clearance; Porto, Victoria
Cc: Moran, Karla; Renaud, Tracy L; Weller, Angela V; OCC-Clearance; Jaddou, Ur M; Groom, Molly M; Carpenter, Dea D; Miles, John D; RALD; Zengotabengoa, Colleen R; Owens, Jessica D; Katz, Jonathan E; Hinds, Ian G; Ooi, Maura M; Whitney, Ronald W
Subject: RE: ***URGENT***Transition Information Request-DACA
Date: Tuesday, December 13, 2016 12:13:09 PM

Julie, We are running a standard DACA report now that will provide the numbers as of November 30. We expect the report to complete in less than an hour.

Mike

Michael Hoefler
Chief, Office of Performance and Quality
U.S. Citizenship and Immigration Services

202 272-1258

Michael.D.Hoefler@uscis.dhs.gov

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Cc: Moran, Karla; Renaud, Tracy L; Weller, Angela V; OCC-Clearance; Jaddou, Ur M; Groom, Molly M; Carpenter, Dea D; Miles, John D; RALD; Zengotabengoa, Colleen R; Owens, Jessica D; Katz, Jonathan E; Hinds, Ian G; Ooi, Maura M; Whitney, Ronald W
Subject: RE: ***URGENT***Transition Information Request-DACA

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OPQ—please also confirm the stats included in the update.

Thank you,
Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
(c) 202-489-8802

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Cc: Moran, Karla; Renaud, Tracy L; Weller, Angela V; OCC-Clearance; Jaddou, Ur M; Groom, Molly M; Carpenter, Dea D; Miles, John D; RALD; Zengotibengoa, Colleen R; Owens, Jessica D; Katz, Jonathan E; Hinds, Ian G; Ooi, Maura M; Whitney, Ronald W
Subject: RE: ***URGENT***Transition Information Request-DACA

Please see my comment on the second added sentence. I think it's easiest to delete rather than explain.

From: USCIS Presidential Transition
Sent: Tuesday, December 13, 2016 11:54 AM
To: Smith, Alice J; Arroyo, Susan K; McCament, James W; Neufeld, Donald W; SCOPS-Clearance; Hoefer, Michael D; Porto, Victoria
Cc: Moran, Karla; Renaud, Tracy L; Weller, Angela V; OCC-Clearance; Jaddou, Ur M; Groom, Molly M; Carpenter, Dea D; Miles, John D; RALD; Zengotibengoa, Colleen R; Owens, Jessica D; Katz, Jonathan E; Hinds, Ian G; Ooi, Maura M; Whitney, Ronald W
Subject: RE: ***URGENT***Transition Information Request-DACA

Two sentences added to the issue paper. OCC—it's all yours.

Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
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Subject: RE: ***URGENT***Transition Information Request-DACA

Adding others on DACA in OCC.

From: USCIS Presidential Transition
Sent: Tuesday, December 13, 2016 11:40:12 AM
To: Arroyo, Susan K; McCament, James W; Neufeld, Donald W; SCOPS-Clearance; Hoefer, Michael D; Porto, Victoria
Cc: Moran, Karla; Renaud, Tracy L; Weller, Angela V; OCC-Clearance; Jaddou, Ur M; Groom, Molly M; Carpenter, Dea D; Miles, John D; RALD; Zengotitabengoa, Colleen R; Owens, Jessica D; Smith, Alice J; Katz, Jonathan E
Subject: RE: ***URGENT***Transition Information Request-DACA

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Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
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Cc: Moran, Karla; Renaud, Tracy L; Weller, Angela V; OCC-Clearance; Jaddou, Ur M; Groom, Molly M; Carpenter, Dea D; Miles, John D
Subject: ***URGENT***Transition Information Request-DACA
Importance: High

Good morning,

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The transition team would like to know:

(b)(5)



Please have your response cleared by OCC before returning to me. Thank you very much for your assistance with this.

From: USCIS Presidential Transition
To: Renaud, Tracy L
Subject: RE: ***URGENT***Transition Information Request-DACA
Date: Tuesday, December 13, 2016 12:13:04 PM

Understood. I've asked OPQ to confirm the data in the latest version of the document. Thank you.

From: Renaud, Tracy L
Sent: Tuesday, December 13, 2016 12:10 PM
To: USCIS Presidential Transition
Subject: RE: ***URGENT***Transition Information Request-DACA

Julie- We should use data from OPQ as official data for any data request for Landing Team purposes. I'm never sure where SCOPS gets their data and they don't store any results, etc so if we ever need to go back to the data source they can't always tell us how they ran it. I'm sure Mike/Victoria will get you data soon and if it matches great but it likely won't since it is always a point in time run.

*Tracy L. Renaud
Associate Director
Management Directorate
US Citizenship & Immigration Services
Department of Homeland Security
202-272-1739 (desk)*

From: USCIS Presidential Transition
Sent: Tuesday, December 13, 2016 11:54 AM
To: Smith, Alice J; Arroyo, Susan K; McCament, James W; Neufeld, Donald W; SCOPS-Clearance; Hoefer, Michael D; Porto, Victoria
Cc: Moran, Karla; Renaud, Tracy L; Weller, Angela V; OCC-Clearance; Jaddou, Ur M; Groom, Molly M; Carpenter, Dea D; Miles, John D; RALD; Zengotibengoa, Colleen R; Owens, Jessica D; Katz, Jonathan E; Hinds, Ian G; Ooi, Maura M; Whitney, Ronald W
Subject: RE: ***URGENT***Transition Information Request-DACA

Two sentences added to the issue paper. OCC—it's all yours.

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Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
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(b)(5)

(b)(5)

From: Neufeld, Donald W
To: USCIS Presidential Transition; Smith, Alice J; Arroyo, Susan K; McCament, James W; SCOPS-Clearance; Hoefer, Michael D; Porto, Victoria
Cc: Moran, Karla; Renaud, Tracy L; Weller, Angela V; OCC-Clearance; Jaddou, Ur M; Groom, Molly M; Carpenter, Dea D; Miles, John D; RALD; Zengotitabengoa, Colleen R; Owens, Jessica D; Katz, Jonathan E; Hinds, Ian G; Ooi, Maura M; Whitney, Ronald W
Subject: RE: ***URGENT***Transition Information Request-DACA
Date: Tuesday, December 13, 2016 12:04:20 PM
Attachments: USCIS DACA IP 2016 12-13-16.docx

Please see my comment on the second added sentence. I think it's easiest to delete rather than explain.

From: USCIS Presidential Transition
Sent: Tuesday, December 13, 2016 11:54 AM
To: Smith, Alice J; Arroyo, Susan K; McCament, James W; Neufeld, Donald W; SCOPS-Clearance; Hoefer, Michael D; Porto, Victoria
Cc: Moran, Karla; Renaud, Tracy L; Weller, Angela V; OCC-Clearance; Jaddou, Ur M; Groom, Molly M; Carpenter, Dea D; Miles, John D; RALD; Zengotitabengoa, Colleen R; Owens, Jessica D; Katz, Jonathan E; Hinds, Ian G; Ooi, Maura M; Whitney, Ronald W
Subject: RE: ***URGENT***Transition Information Request-DACA

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Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
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Cc: Moran, Karla; Renaud, Tracy L; Weller, Angela V; OCC-Clearance; Jaddou, Ur M; Groom, Molly M; Carpenter, Dea D; Miles, John D; RALD; Zengotitabengoa, Colleen R; Owens, Jessica D; Katz, Jonathan E; Hinds, Ian G; Ooi, Maura M; Whitney, Ronald W
Subject: RE: ***URGENT***Transition Information Request-DACA

Adding others on DACA in OCC.

From: USCIS Presidential Transition

Sent: Tuesday, December 13, 2016 11:40:12 AM

To: Arroyo, Susan K; McCament, James W; Neufeld, Donald W; SCOPS-Clearance; Hoefer, Michael D; Porto, Victoria

Cc: Moran, Karla; Renaud, Tracy L; Weller, Angela V; OCC-Clearance; Jaddou, Ur M; Groom, Molly M; Carpenter, Dea D; Miles, John D; RALD; Zengotitabengoa, Colleen R; Owens, Jessica D; Smith, Alice J; Katz, Jonathan E

Subject: RE: ***URGENT***Transition Information Request-DACA

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Julie Farnam

Senior Advisor

Field Operations Directorate

U.S. Citizenship and Immigration Services

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From: USCIS Presidential Transition

Sent: Tuesday, December 13, 2016 11:29 AM

To: Arroyo, Susan K (Susan.K.Arroyo@uscis.dhs.gov); McCament, James W; Neufeld, Donald W; SCOPS-Clearance

Cc: Moran, Karla; Renaud, Tracy L; Weller, Angela V; OCC-Clearance; Jaddou, Ur M; Groom, Molly M; Carpenter, Dea D; Miles, John D

Subject: ***URGENT***Transition Information Request-DACA

Importance: High

Good morning,

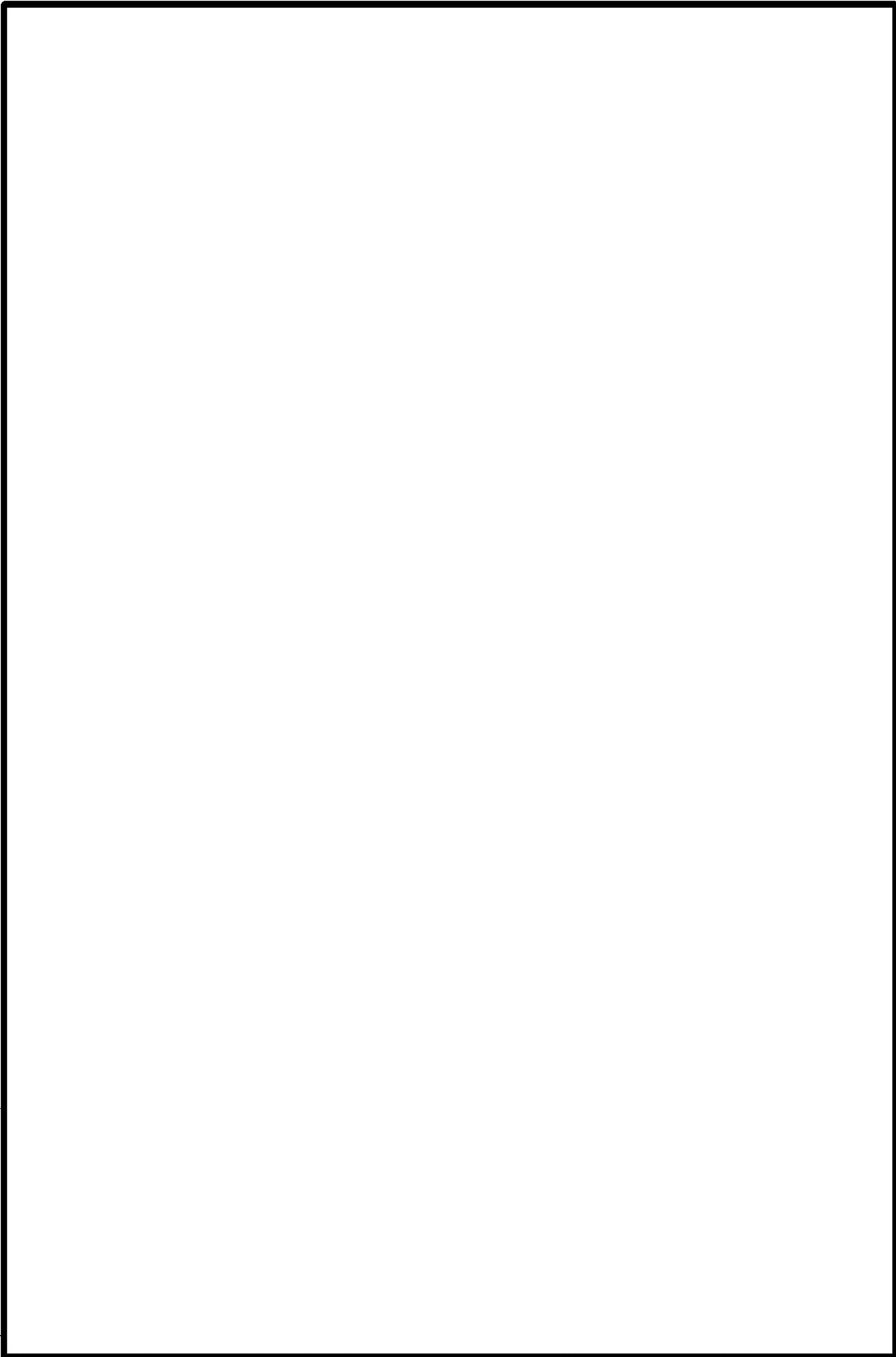
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The transition team would like to know:

(b)(5)



Please have your response cleared by OCC before returning to me. Thank you very much for your assistance with this.



(b)(5)

(b)(5)



(b)(5)



From: Hoefel, Michael D
To: USCIS Presidential Transition; Arroyo, Susan K; McCament, James W; Neufeld, Donald W; SCOPS-Clearance; Porto, Victoria; Banks, Nicole P
Cc: Moran, Karla; Renaud, Tracy L; Weller, Angela V; OCC-Clearance; Jaddou, Ur M; Groom, Molly M; Carpenter, Dea D; Miles, John D; RALD; Zengotitabengoa, Colleen R; Owens, Jessica D; Smith, Alice J; Katz, Jonathan E
Subject: RE: ***URGENT***Transition Information Request-DACA
Date: Tuesday, December 13, 2016 11:45:55 AM

We will provide the number of initials / renewals that have been approved or are pending as of November 30, 2016 shortly.

Michael Hoefel
Chief, Office of Performance and Quality
U.S. Citizenship and Immigration Services

202 272-1258

Michael.D.Hoefel@uscis.dhs.gov

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Sent: Tuesday, December 13, 2016 11:40 AM
To: Arroyo, Susan K; McCament, James W; Neufeld, Donald W; SCOPS-Clearance; Hoefel, Michael D; Porto, Victoria
Cc: Moran, Karla; Renaud, Tracy L; Weller, Angela V; OCC-Clearance; Jaddou, Ur M; Groom, Molly M; Carpenter, Dea D; Miles, John D; RALD; Zengotitabengoa, Colleen R; Owens, Jessica D; Smith, Alice J; Katz, Jonathan E
Subject: RE: ***URGENT***Transition Information Request-DACA
Importance: High

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Field Operations Directorate
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Sent: Tuesday, December 13, 2016 11:29 AM

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SCOPS-Clearance

Cc: Moran, Karla; Renaud, Tracy L; Weller, Angela V; OCC-Clearance; Jaddou, Ur M; Groom, Molly M;
Carpenter, Dea D; Miles, John D

Subject: ***URGENT***Transition Information Request-DACA

Importance: High

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(b)(5)

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To: Neufeld, Donald W; Arroyo, Susan K; McCament, James W; SCOPS-Clearance
Cc: Moran, Karla; Renaud, Tracy L; Weller, Angela V; OCC-Clearance; Jaddou, Ur M; Groom, Molly M; Carpenter, Dea D; Miles, John D; Hutchings, Pamela G; King, Alexander R
Subject: RE: ***URGENT***Transition Information Request-DACA
Date: Tuesday, December 13, 2016 11:44:06 AM

I'll incorporate these right now into the issue paper and send for clearance.

From: Neufeld, Donald W
Sent: Tuesday, December 13, 2016 11:42 AM
To: USCIS Presidential Transition; Arroyo, Susan K; McCament, James W; SCOPS-Clearance
Cc: Moran, Karla; Renaud, Tracy L; Weller, Angela V; OCC-Clearance; Jaddou, Ur M; Groom, Molly M; Carpenter, Dea D; Miles, John D; Hutchings, Pamela G; King, Alexander R
Subject: RE: ***URGENT***Transition Information Request-DACA

Please see SCOPS' answers below. I have not cleared with OCC as there is no content requiring legal review other than the last bullet, for which they need to provide an answer.

From: USCIS Presidential Transition
Sent: Tuesday, December 13, 2016 11:30 AM
To: Arroyo, Susan K; McCament, James W; Neufeld, Donald W; SCOPS-Clearance
Cc: Moran, Karla; Renaud, Tracy L; Weller, Angela V; OCC-Clearance; Jaddou, Ur M; Groom, Molly M; Carpenter, Dea D; Miles, John D
Subject: ***URGENT***Transition Information Request-DACA
Importance: High

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(b)(5)

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assistance with this.

From: Groom, Molly M
To: Renaud, Tracy L; Jaddou, Ur M; USCIS Presidential Transition; Smith, Alice J; Arroyo, Susan K; McCament, James W; Neufeld, Donald W; SCOPS-Clearance; Hoefler, Michael D; Porto, Victoria
Cc: Moran, Karla; Weller, Angela V; OCC-Clearance; Carpenter, Dea D; Miles, John D; RALD; Zengotitabengoa, Colleen R; Owens, Jessica D; Katz, Jonathan E; Hinds, Ian G; Ooi, Maura M; Whitney, Ronald W
Subject: RE: ***URGENT***Transition Information Request-DACA
Date: Tuesday, December 13, 2016 6:46:47 PM

Not sure how soon Ur may be able to respond but just adding the that our initial edits on the overarching paper weren't incorporated. So after discussing with Julie we thought focusing on the questions asked with some general background was best approach.

From: Renaud, Tracy L
Sent: Tuesday, December 13, 2016 6:43:03 PM
To: Jaddou, Ur M; Groom, Molly M; USCIS Presidential Transition; Smith, Alice J; Arroyo, Susan K; McCament, James W; Neufeld, Donald W; SCOPS-Clearance; Hoefler, Michael D; Porto, Victoria
Cc: Moran, Karla; Weller, Angela V; OCC-Clearance; Carpenter, Dea D; Miles, John D; RALD; Zengotitabengoa, Colleen R; Owens, Jessica D; Katz, Jonathan E; Hinds, Ian G; Ooi, Maura M; Whitney, Ronald W
Subject: RE: ***URGENT***Transition Information Request-DACA

Thanks Ur. I don't have any concerns about your edits except that it appears you deleted all of the litigation portion. Shouldn't we have the language that was originally edited by your team regarding the status of the expanded DACA litigation included? That would seem to me to be a signification part of the program status.

*Tracy L. Renaud
Associate Director
Management Directorate
US Citizenship & Immigration Services
Department of Homeland Security
202-272-1739 (desk)*

From: Jaddou, Ur M
Sent: Tuesday, December 13, 2016 5:38 PM
To: Groom, Molly M; USCIS Presidential Transition; Smith, Alice J; Arroyo, Susan K; McCament, James W; Neufeld, Donald W; SCOPS-Clearance; Hoefler, Michael D; Porto, Victoria
Cc: Moran, Karla; Renaud, Tracy L; Weller, Angela V; OCC-Clearance; Carpenter, Dea D; Miles, John D; RALD; Zengotitabengoa, Colleen R; Owens, Jessica D; Katz, Jonathan E; Hinds, Ian G; Ooi, Maura M; Whitney, Ronald W
Subject: RE: ***URGENT***Transition Information Request-DACA

Per discussion with Julie, please see attachment.

From: Groom, Molly M
Sent: Tuesday, December 13, 2016 4:22 PM
To: USCIS Presidential Transition; Smith, Alice J; Arroyo, Susan K; McCament, James W; Neufeld, Donald W; SCOPS-Clearance; Hoefler, Michael D; Porto, Victoria
Cc: Moran, Karla; Renaud, Tracy L; Weller, Angela V; OCC-Clearance; Jaddou, Ur M; Carpenter, Dea D; Miles, John D; RALD; Zengotitabengoa, Colleen R; Owens, Jessica D; Katz, Jonathan E; Hinds, Ian G; Ooi, Maura M; Whitney, Ronald W

Subject: RE: ***URGENT***Transition Information Request-DACA

We'll have them to you in 20 minutes.

From: USCIS Presidential Transition
Sent: Tuesday, December 13, 2016 4:20 PM
To: Smith, Alice J; Arroyo, Susan K; McCament, James W; Neufeld, Donald W; SCOPS-Clearance; Hoefer, Michael D; Porto, Victoria
Cc: Moran, Karla; Renaud, Tracy L; Weller, Angela V; OCC-Clearance; Jaddou, Ur M; Groom, Molly M; Carpenter, Dea D; Miles, John D; RALD; Zengotitabengoa, Colleen R; Owens, Jessica D; Katz, Jonathan E; Hinds, Ian G; Ooi, Maura M; Whitney, Ronald W
Subject: RE: ***URGENT***Transition Information Request-DACA

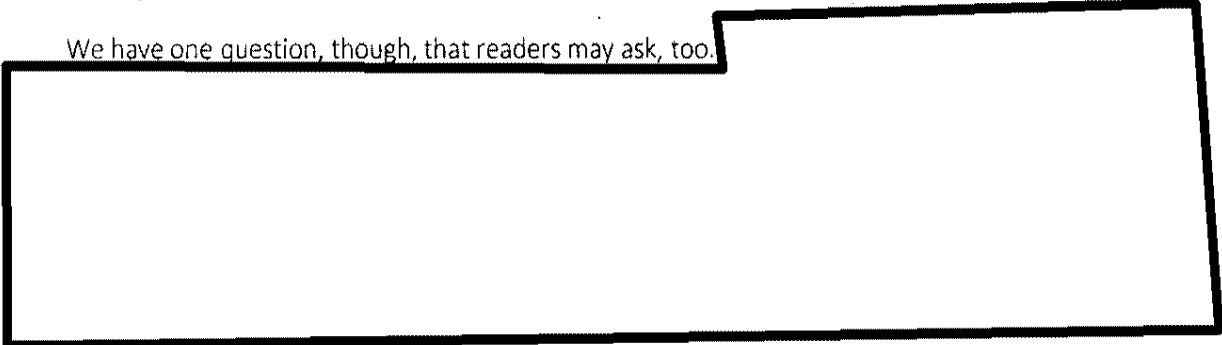
Following up on this. Do you have your edits? I need them today. Thank you!

From: Smith, Alice J
Sent: Tuesday, December 13, 2016 2:33 PM
To: USCIS Presidential Transition; Arroyo, Susan K; McCament, James W; Neufeld, Donald W; SCOPS-Clearance; Hoefer, Michael D; Porto, Victoria
Cc: Moran, Karla; Renaud, Tracy L; Weller, Angela V; OCC-Clearance; Jaddou, Ur M; Groom, Molly M; Carpenter, Dea D; Miles, John D; RALD; Zengotitabengoa, Colleen R; Owens, Jessica D; Katz, Jonathan E; Hinds, Ian G; Ooi, Maura M; Whitney, Ronald W
Subject: RE: ***URGENT***Transition Information Request-DACA

OCC is working quickly on our review and will return our edits to you shortly, Julie, et al.

We have one question, though, that readers may ask, too.

(b)(5)



Alice

From: USCIS Presidential Transition
Sent: Tuesday, December 13, 2016 11:54 AM
To: Smith, Alice J; Arroyo, Susan K; McCament, James W; Neufeld, Donald W; SCOPS-Clearance; Hoefer, Michael D; Porto, Victoria
Cc: Moran, Karla; Renaud, Tracy L; Weller, Angela V; OCC-Clearance; Jaddou, Ur M; Groom, Molly M; Carpenter, Dea D; Miles, John D; RALD; Zengotitabengoa, Colleen R; Owens, Jessica D; Katz, Jonathan E; Hinds, Ian G; Ooi, Maura M; Whitney, Ronald W
Subject: RE: ***URGENT***Transition Information Request-DACA

Two sentences added to the issue paper. OCC—it's all yours.

Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services

(d) 202-272-1102

(c) 202-489-8802

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From: Smith, Alice J

Sent: Tuesday, December 13, 2016 11:43 AM

To: USCIS Presidential Transition; Arroyo, Susan K; McCament, James W; Neufeld, Donald W; SCOPS-Clearance; Hoefler, Michael D; Porto, Victoria

Cc: Moran, Karla; Renaud, Tracy L; Weller, Angela V; OCC-Clearance; Jaddou, Ur M; Groom, Molly M; Carpenter, Dea D; Miles, John D; RALD; Zengotitabengoa, Colleen R; Owens, Jessica D; Katz, Jonathan E; Hinds, Ian G; Ooi, Maura M; Whitney, Ronald W

Subject: RE: ***URGENT***Transition Information Request-DACA

Adding others on DACA in OCC.

From: USCIS Presidential Transition

Sent: Tuesday, December 13, 2016 11:40:12 AM

To: Arroyo, Susan K; McCament, James W; Neufeld, Donald W; SCOPS-Clearance; Hoefler, Michael D; Porto, Victoria

Cc: Moran, Karla; Renaud, Tracy L; Weller, Angela V; OCC-Clearance; Jaddou, Ur M; Groom, Molly M; Carpenter, Dea D; Miles, John D; RALD; Zengotitabengoa, Colleen R; Owens, Jessica D; Smith, Alice J; Katz, Jonathan E

Subject: RE: ***URGENT***Transition Information Request-DACA

Just checked, the transition team said we can just update the previously cleared issue paper. I checked yesterday and the FY16, Q4 data is not yet published. Please add the requested stats/information to the attached. Thank you!

Julie Farnam

Senior Advisor

Field Operations Directorate

U.S. Citizenship and Immigration Services

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From: USCIS Presidential Transition

Sent: Tuesday, December 13, 2016 11:29 AM

To: Arroyo, Susan K (Susan.K.Arroyo@uscis.dhs.gov); McCament, James W; Neufeld, Donald W; SCOPS-Clearance

Cc: Moran, Karla; Renaud, Tracy L; Weller, Angela V; OCC-Clearance; Jaddou, Ur M; Groom, Molly M; Carpenter, Dea D; Miles, John D

Subject: ***URGENT***Transition Information Request-DACA

Importance: High

Good morning,

The president-elect's transition landing team just handed me a new information request that pertains to your office. There is an extremely fast turnaround on these requests (apologies!)—it is due by 4:00 today to allow time for the front office to clear today and to get it back to DHS by tomorrow morning. Therefore, no extensions may be granted and it is imperative that you respond timely.

The transition team would like to know:

(b)(5)



Please have your response cleared by OCC before returning to me. Thank you very much for your assistance with this.

From: Smith, Alice J
To: USCIS Presidential Transition; Arroyo, Susan K; McCament, James W; Neufeld, Donald W; SCOPS-Clearance; Hoefer, Michael D; Porto, Victoria
Cc: Moran, Karla; Renaud, Tracy L; Weller, Angela V; OCC-Clearance; Jaddou, Ur M; Groom, Molly M; Carpenter, Dea D; Miles, John D; RALD; Zengotitabengoa, Colleen R; Owens, Jessica D; Katz, Jonathan E; Hinds, Ian G; Qoi, Maura M; Whitney, Ronald W
Subject: RE: ***URGENT***Transition Information Request-DACA
Date: Tuesday, December 13, 2016 11:43:16 AM

Adding others on DACA in OCC.

From: USCIS Presidential Transition
Sent: Tuesday, December 13, 2016 11:40:12 AM
To: Arroyo, Susan K; McCament, James W; Neufeld, Donald W; SCOPS-Clearance; Hoefer, Michael D; Porto, Victoria
Cc: Moran, Karla; Renaud, Tracy L; Weller, Angela V; OCC-Clearance; Jaddou, Ur M; Groom, Molly M; Carpenter, Dea D; Miles, John D; RALD; Zengotitabengoa, Colleen R; Owens, Jessica D; Smith, Alice J; Katz, Jonathan E
Subject: RE: ***URGENT***Transition Information Request-DACA

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Senior Advisor
Field Operations Directorate
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Cc: Moran, Karla; Renaud, Tracy L; Weller, Angela V; OCC-Clearance; Jaddou, Ur M; Groom, Molly M; Carpenter, Dea D; Miles, John D
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Importance: High

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(b)(5)

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Two sentences added to the issue paper. OCC—it's all yours.

Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
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Cc: Moran, Karla; Renaud, Tracy L; Weller, Angela V; OCC-Clearance; Jaddou, Ur M; Groom, Molly M; Carpenter, Dea D; Miles, John D; RALD; Zengotitabengoa, Colleen R; Owens, Jessica D; Katz, Jonathan E; Hinds, Ian G; Ooi, Maura M; Whitney, Ronald W
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To: Arroyo, Susan K; McCament, James W; Neufeld, Donald W; SCOPS-Clearance; Hoefler, Michael D; Porto, Victoria
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Subject: RE: ***URGENT***Transition Information Request-DACA

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Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
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Sent: Tuesday, December 13, 2016 11:29 AM
To: Arroyo, Susan K (Susan.K.Arroyo@uscis.dhs.gov); McCament, James W; Neufeld, Donald W; SCOPS-Clearance
Cc: Moran, Karla; Renaud, Tracy L; Weller, Angela V; OCC-Clearance; Jaddou, Ur M; Groom, Molly M; Carpenter, Dea D; Miles, John D
Subject: ***URGENT***Transition Information Request-DACA
Importance: High

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The transition team would like to know:

(b)(5)

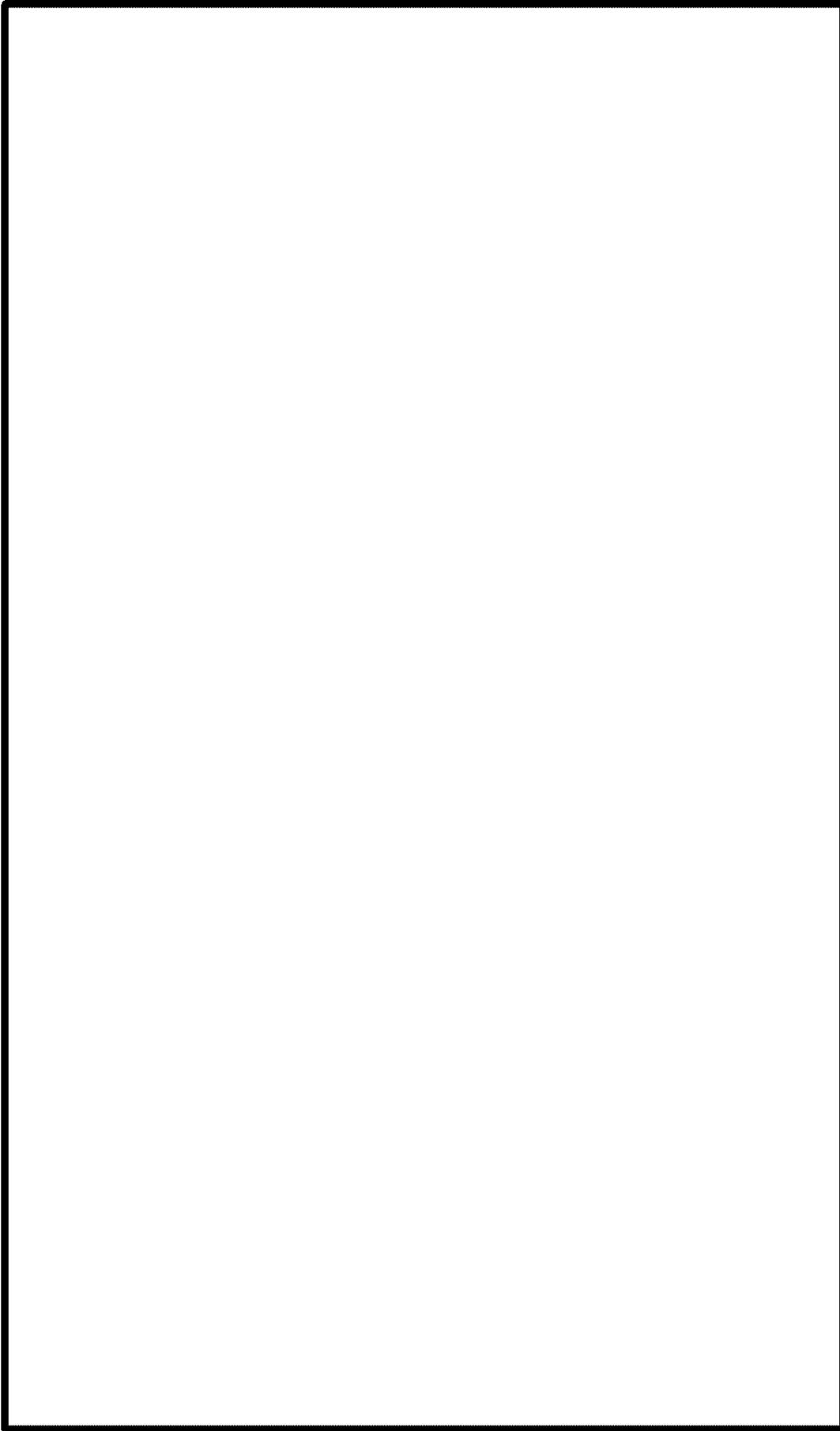


Please have your response cleared by OCC before returning to me. Thank you very much for your assistance with this.

(b)(5)



(b)(5)



(b)(5)



From: Chang, Lin
To: USCIS Presidential Transition; Farnam, Julie E; Hoefer, Michael D; Porto, Victoria; Howard, Rothley L
Cc: USCIS MGT Tasks; Kerns, Kevin J; Renaud, Tracy L
Subject: RE: Backlog Issue Paper Updates
Date: Thursday, December 01, 2016 3:00:07 PM
Attachments: USCIS Backlog IP FY16 FINAL.docx

Good afternoon Ms. Farnam,

Please see the USCIS Backlog Issue Paper attached. This updated version includes inputs from FOD, RAI0, and SCOPS, as well as the updated statements sent on 11/15.

Please let us know if you have any questions.

Thank you.

Lin Chang
Office of Performance and Quality
Data Analysis & Process Improvement Branch
202-272-9524
lin.chang@uscis.dhs.gov

From: Chang, Lin
Sent: Tuesday, November 15, 2016 1:08 PM
To: USCIS Presidential Transition; Farnam, Julie E; Hoefer, Michael D; Porto, Victoria; Howard, Rothley L
Cc: USCIS MGT Tasks; Kerns, Kevin J; Renaud, Tracy L
Subject: RE: Backlog Issue Paper Updates

Good afternoon Ms. Farnam,

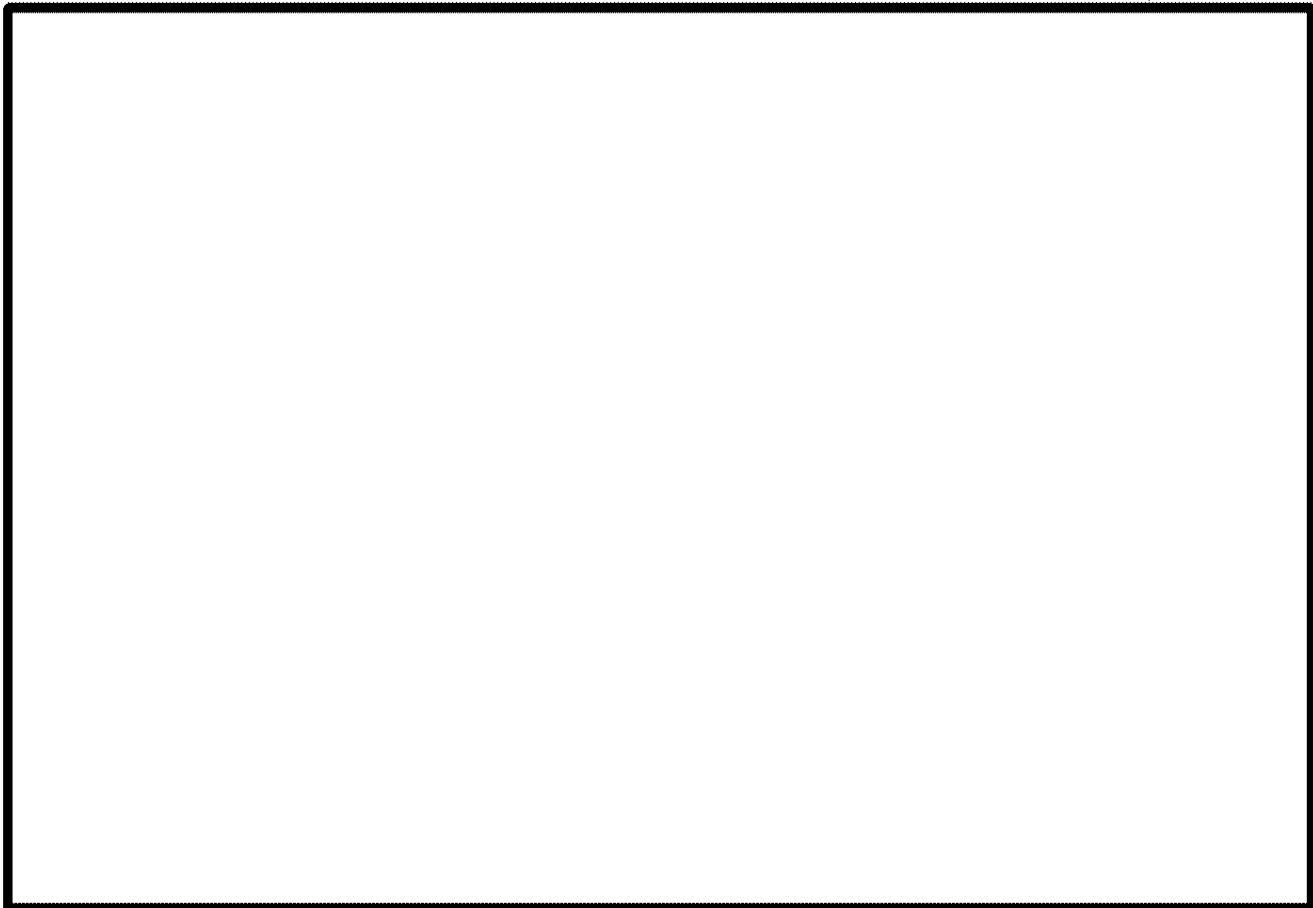
Please see the updated statements below per your request. OPQ has been working on updating the USCIS Adjudication Backlogs paper with FOD, SCOPS, and RAI0. We will forward the updated paper once all of the Directorates have provided their input.

Please note that the backlogs of Field Operations and Service Center Operations were combined into one figure, due to the fact that some forms are adjudicated at both Directorates.

(b)(5)



(b)(5)



Please let us know if you have any questions.

Thank you.

Lin Chang
Office of Performance and Quality
Data Analysis & Process Improvement Branch
202-272-9524
lin.chang@uscis.dhs.gov

From: USCIS Presidential Transition
Sent: Wednesday, November 09, 2016 4:18:37 PM
To: Hoefer, Michael D; Porto, Victoria
Cc: USCIS MGT Tasks; Kerns, Kevin J; Renaud, Tracy L
Subject: FW: Backlog Issue Paper Updates

Mike/Victoria,

Would you be able to update the numbers below regarding backlogs? I am updating the issue paper that was drafted a couple months ago to include in our briefing book for the president-elect's agency review team. I would need the update as soon as possible.

Thank you,

Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
(c) 202-489-8802

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From: Arroyo, Susan K
Sent: Wednesday, November 09, 2016 11:46 AM
To: USCIS Presidential Transition; Farnam, Julie E
Cc: Weller, Angela V; Hartmann, Rosemary M
Subject: FW: Backlog Issue Paper Updates
Importance: High

Julie,

Since they are looking for updated numbers, shouldn't this go to OPQ? Jim McConnell was the original author when he was the Deputy at OPQ.

Susan Arroyo
Chief of Staff
Service Center Operations
DHS/USCIS
202-272-1094
202-425-8846(cell)

From: USCIS Presidential Transition
Sent: Tuesday, November 08, 2016 11:28 AM
To: RAIO Clearance; Dhabalia, Dimple D; SCOPS-Clearance; Kvortek, Lisette E
Cc: McCament, James W; Arroyo, Susan K; Neufeld, Donald W; Valverde, Michael; Renaud, Tracy L
Subject: Backlog Issue Paper Updates
Importance: High

Good morning,

In reviewing the issue paper on backlogs, it looks like a couple items may need to be updated. Please provide an update the following statements by COB this Friday:

(b)(5)



(b)(5).



Thank you,
Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
(c) 202-489-8802

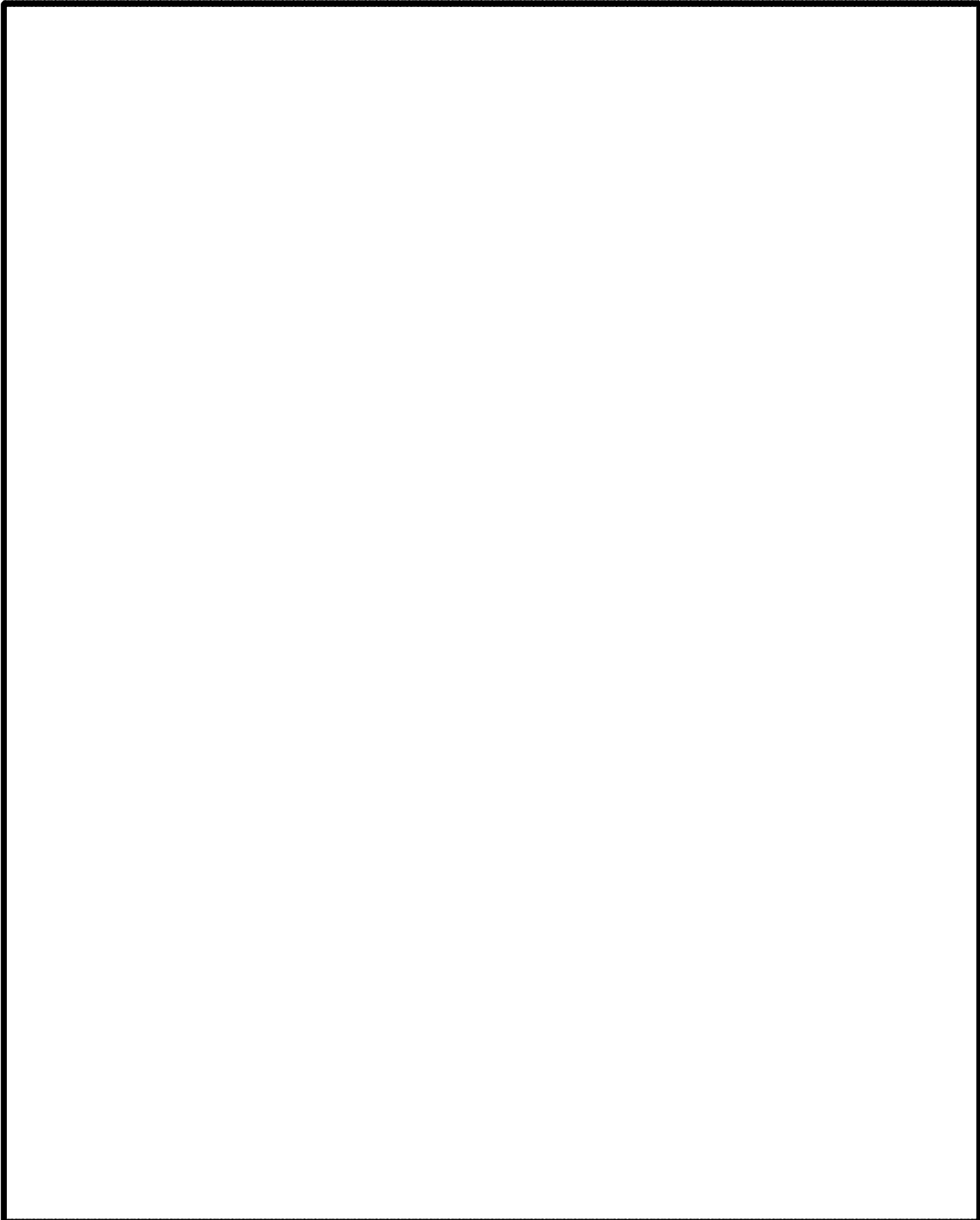
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(b)(5)



Homeland
Security

DHS Secretary Briefing Binder

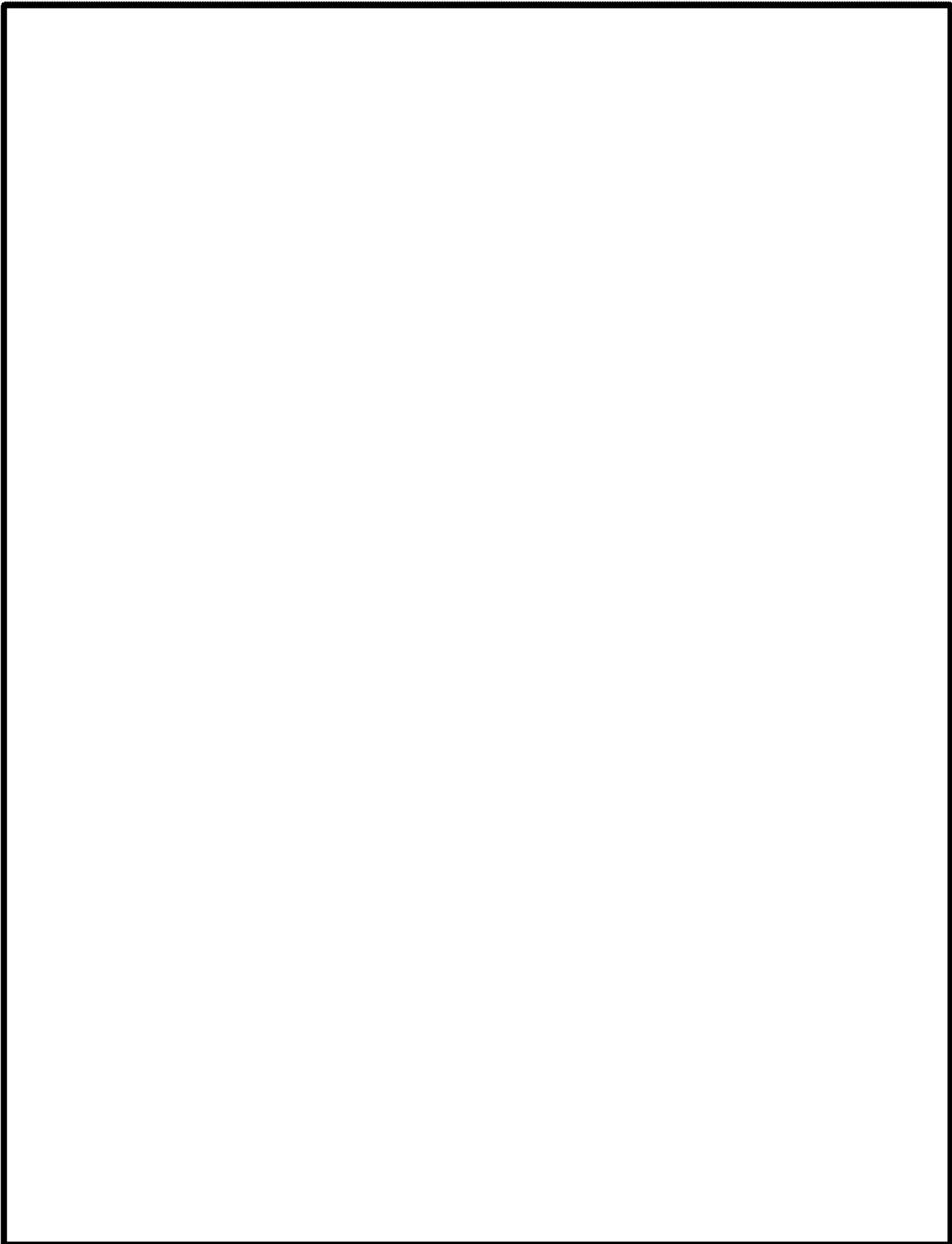


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Homeland
Security

DHS Secretary Briefing Binder

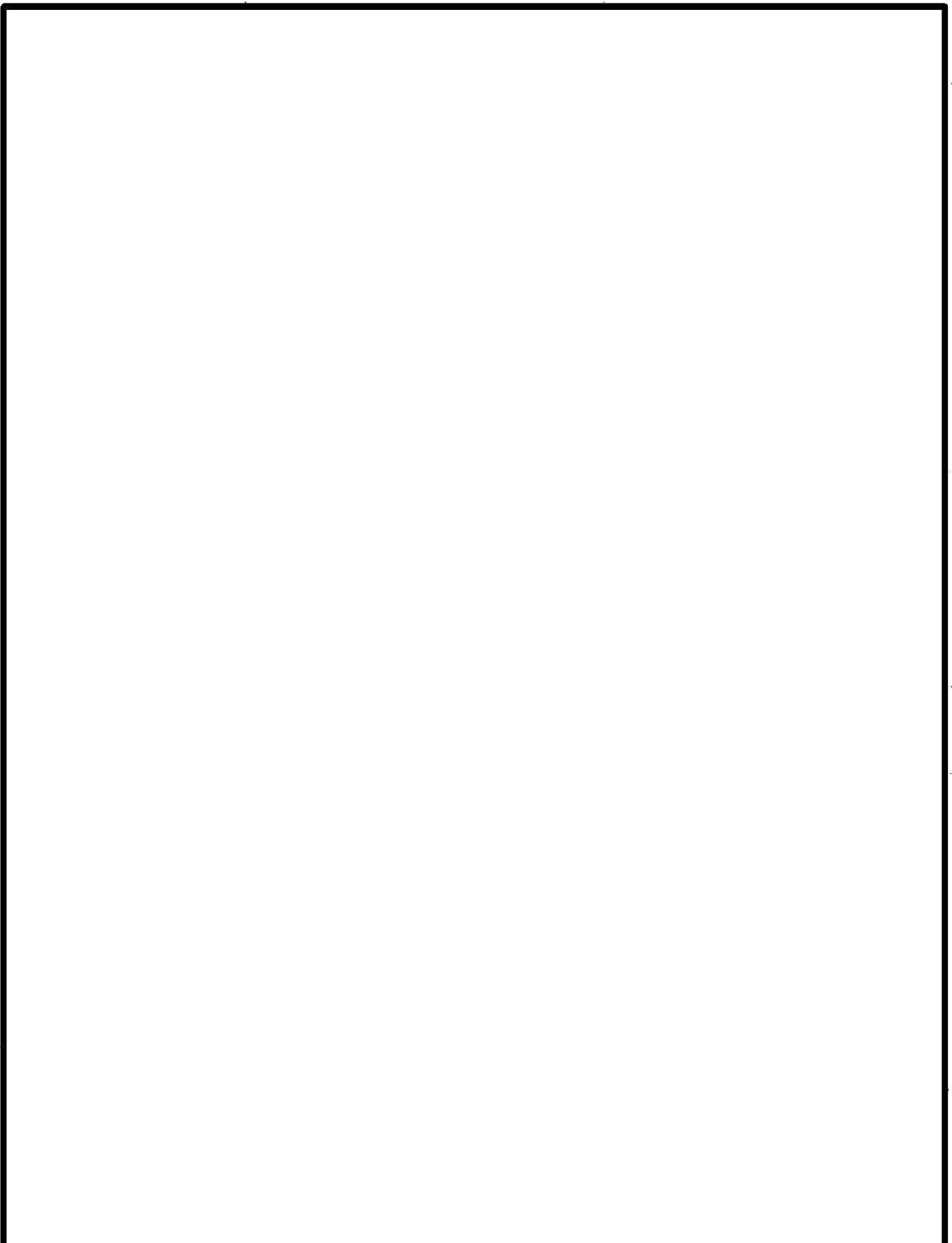


(b)(5)



Homeland
Security

DIIS Secretary Briefing Binder



From: Stone, Mary M
To: USCIS Presidential Transition; Strack, Barbara L; Emrich, Matthew D
Cc: Langlois, Joseph E; Renaud, Tracy L; Davidson, Andrew J; FDNSExecSec
Subject: RE: D2 Requested Revisions on Refugee Transition Presentation
Date: Friday, December 09, 2016 11:09:33 AM
Attachments: Refugee Processing Presentation 12-08-16 post D2.pptx

Hi Julie – here is the updated version. RAD did not clear this separately with FDNS – we were originally planning to, but I’m sending now as we’re late.

From: USCIS Presidential Transition
Sent: Friday, December 09, 2016 8:41 AM
To: Strack, Barbara L; Emrich, Matthew D
Cc: Stone, Mary M; Langlois, Joseph E; Renaud, Tracy L; Davidson, Andrew J; FDNSExecSec
Subject: RE: D2 Requested Revisions on Refugee Transition Presentation

Good morning. Following up on this. Thank you!

Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
(c) 202-489-8802

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From: USCIS Presidential Transition
Sent: Thursday, December 08, 2016 8:50 AM
To: Strack, Barbara L; Emrich, Matthew D
Cc: Stone, Mary M; Langlois, Joseph E; Renaud, Tracy L; Davidson, Andrew J
(Andrew.J.Davidson@uscis.dhs.gov); FDNSExecSec
Subject: D2 Requested Revisions on Refugee Transition Presentation
Importance: High

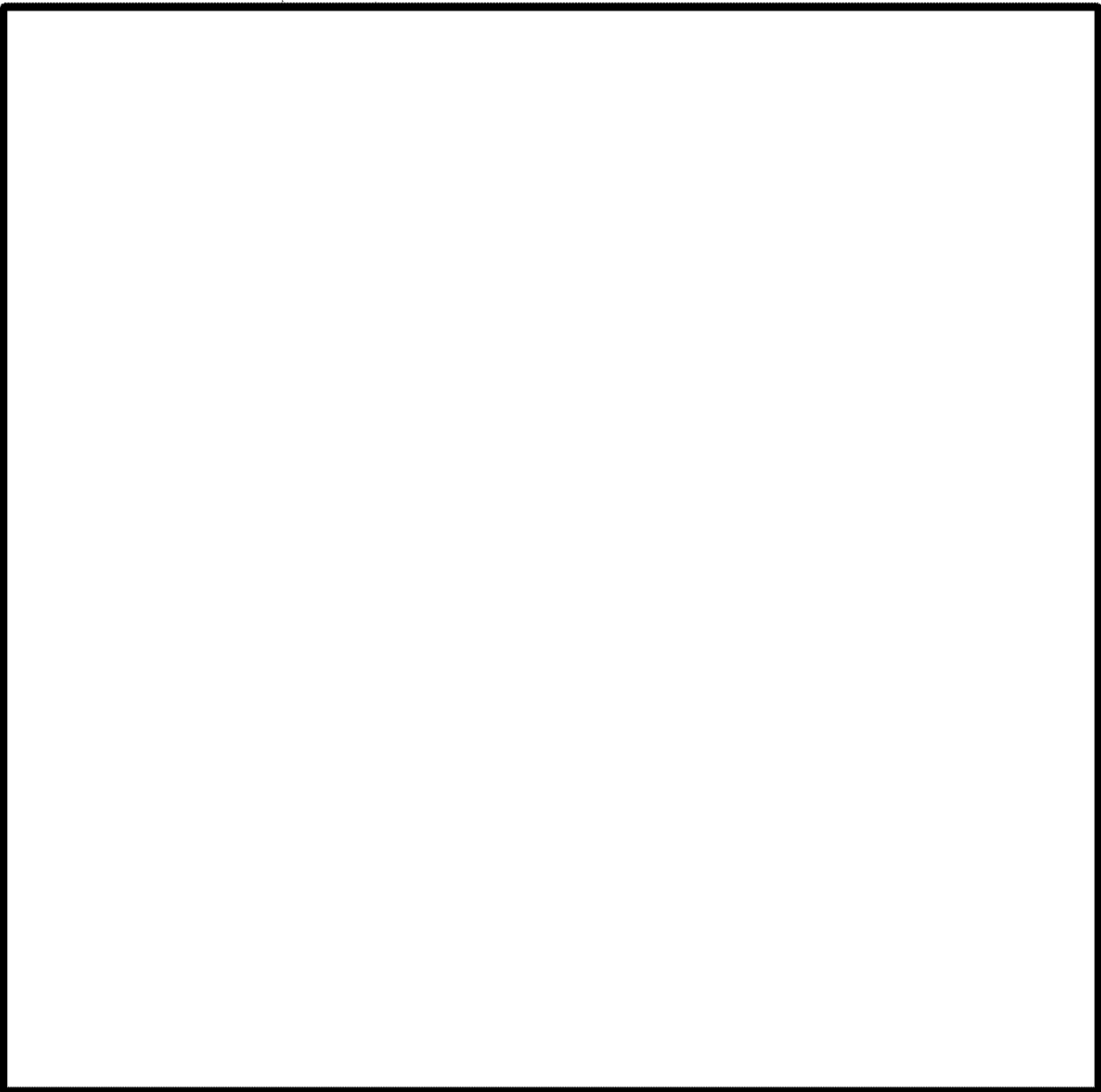
Good morning,

D2 has had the opportunity to review the presentation you drafted. She had the following comments and requested the following updates:

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(b)(5)

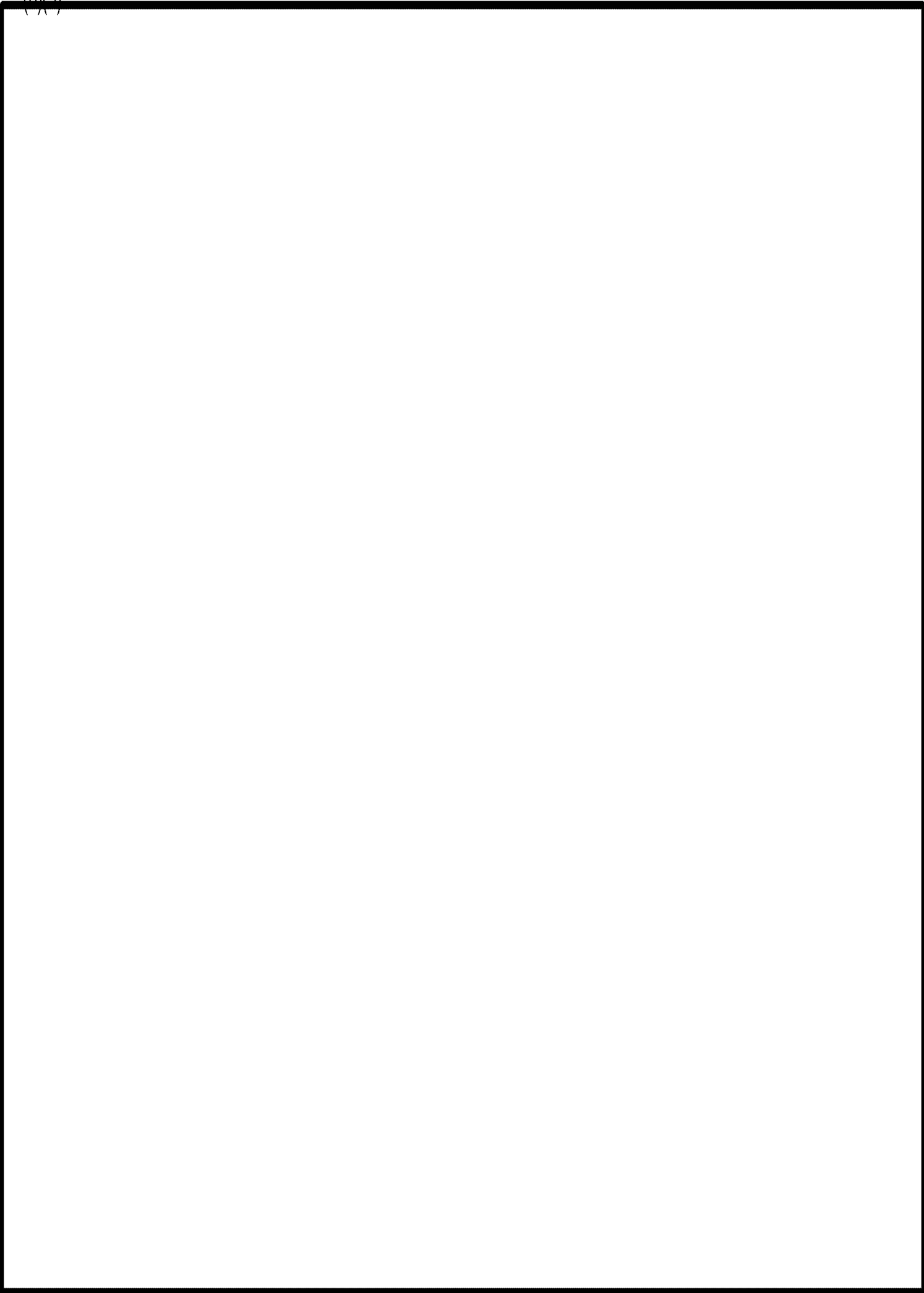


I would appreciate it if you could get me these updates by COB today. The ELIS briefing was recently rescheduled and I anticipate that the refugee briefing will also be rescheduled very soon.

Thank you,
Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
(c) 202-489-8802

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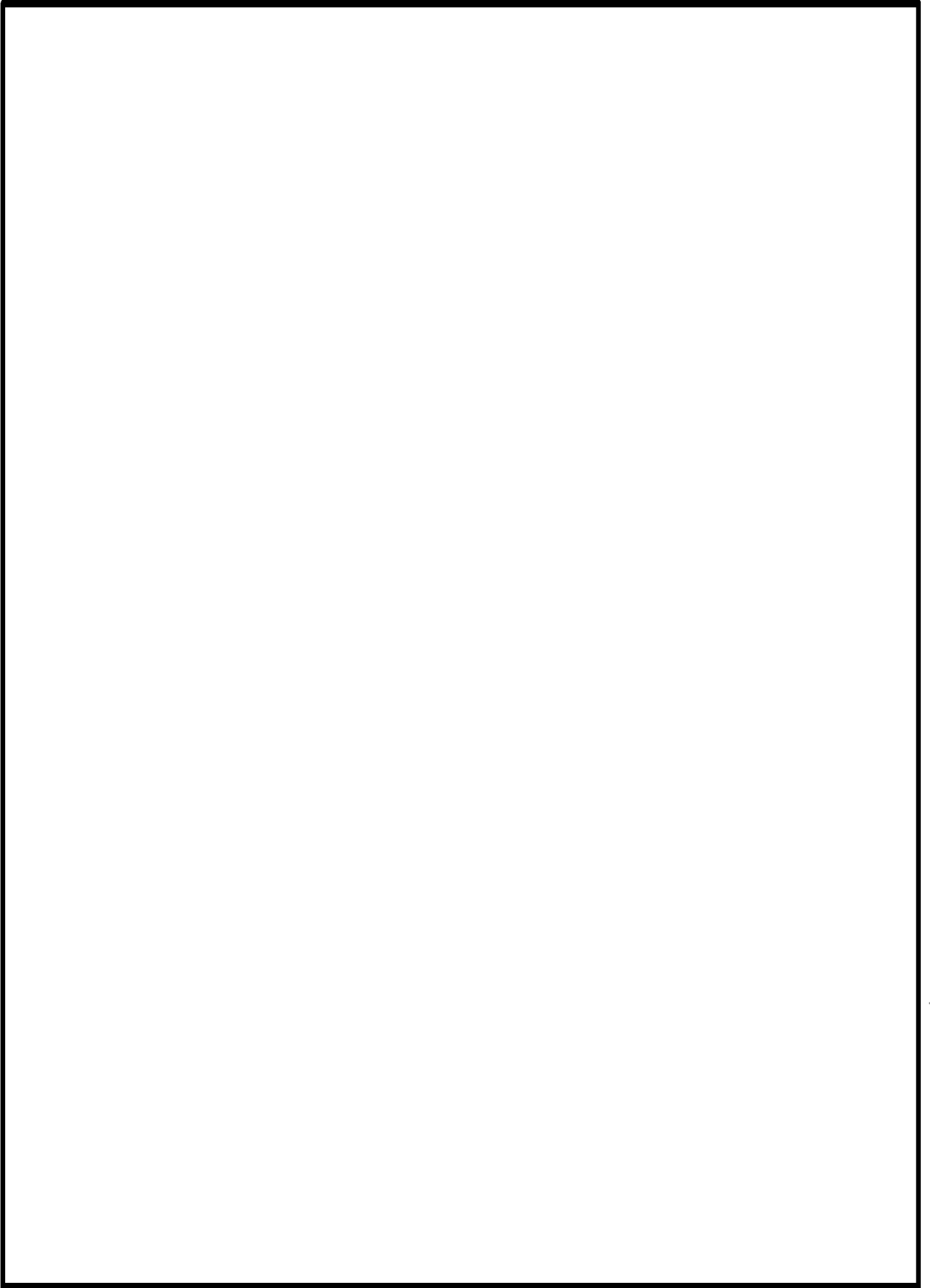
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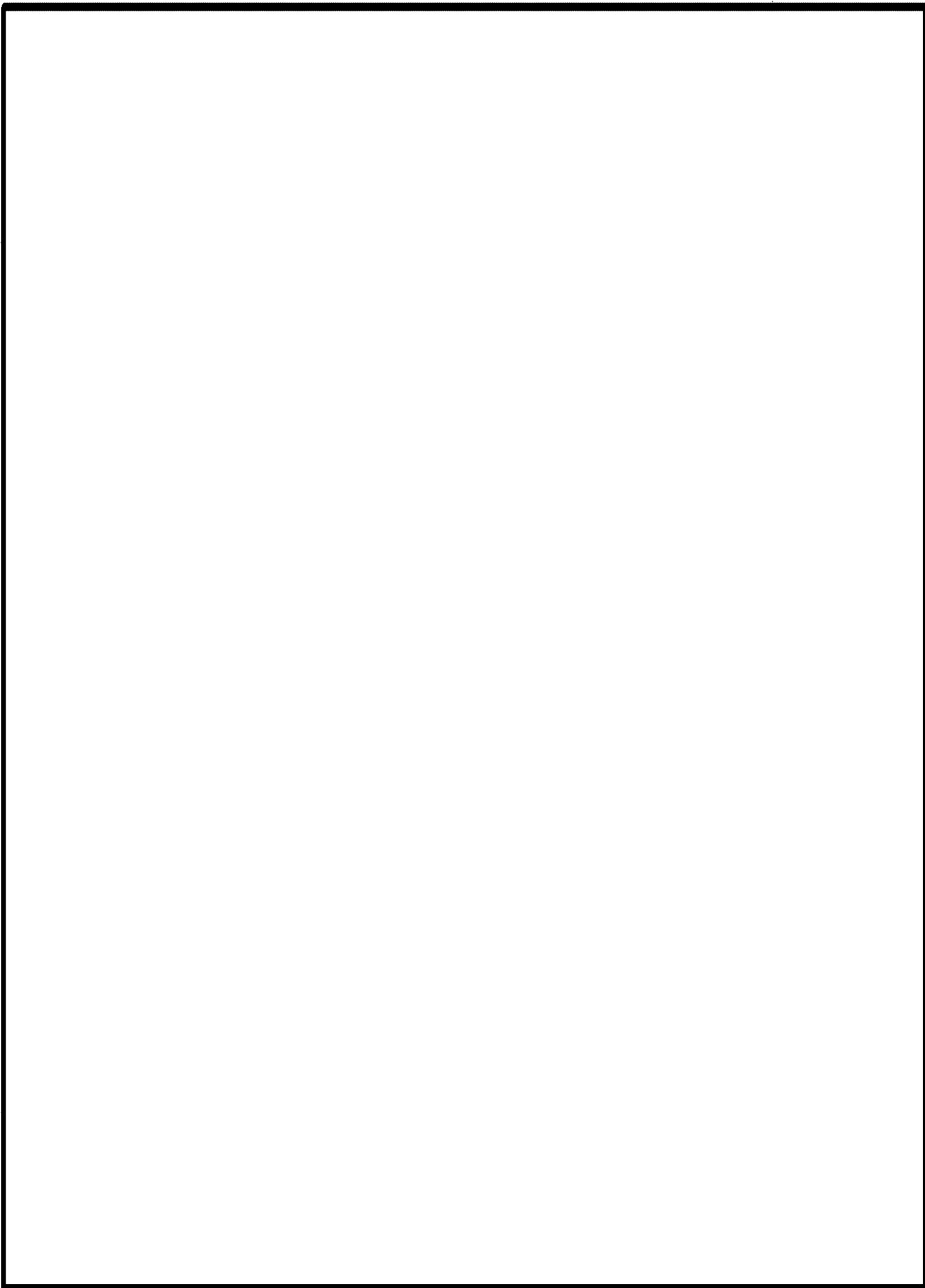


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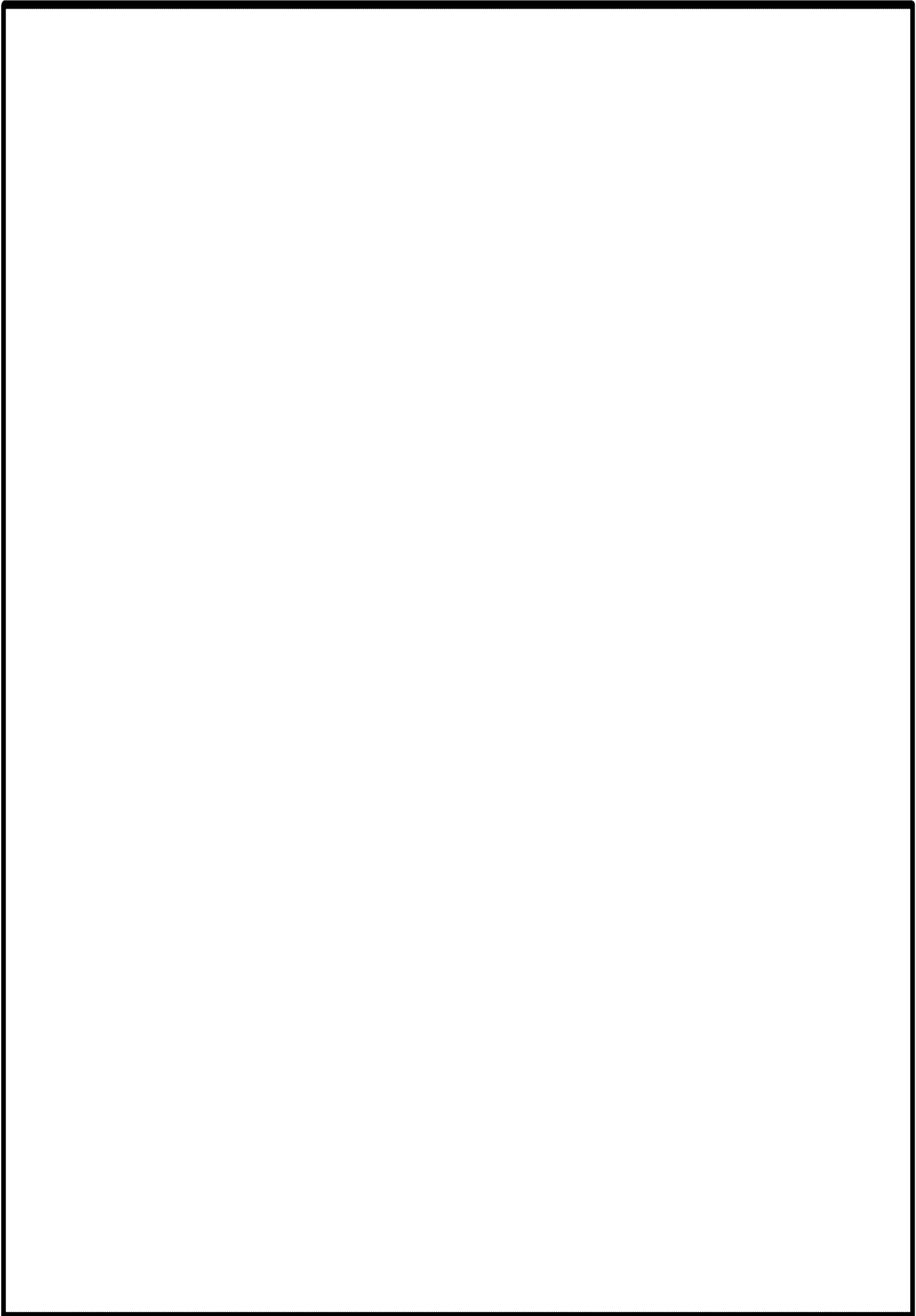
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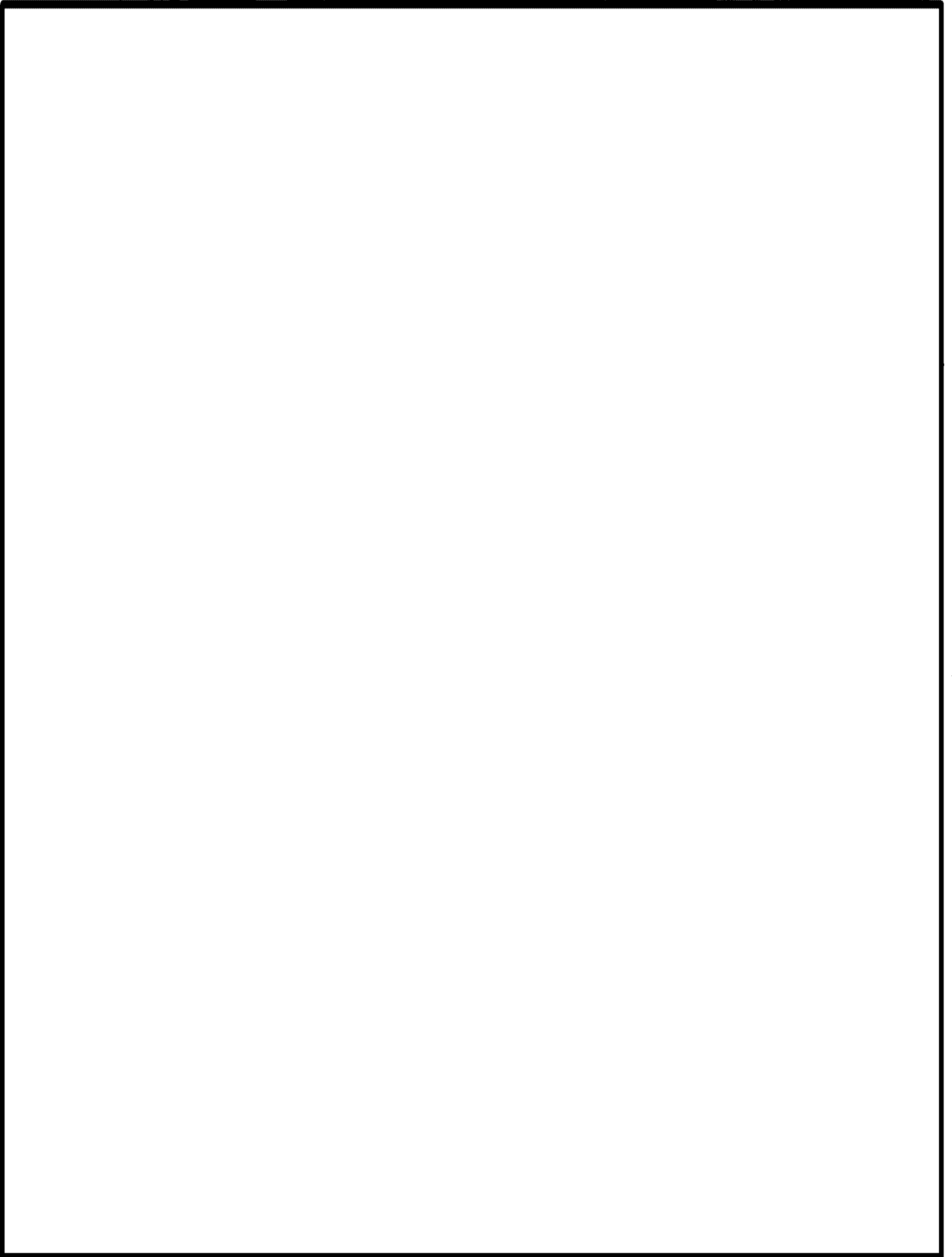


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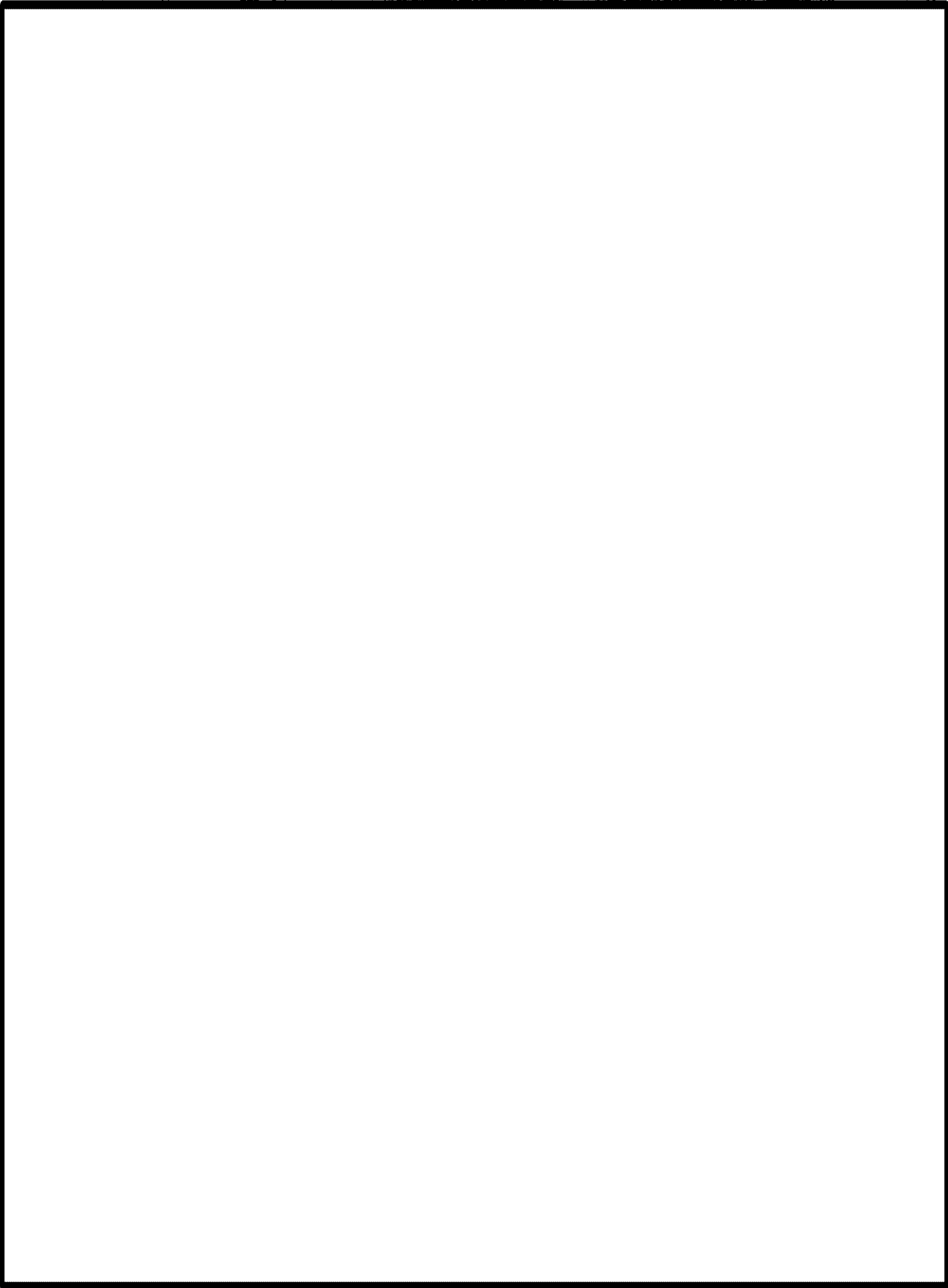
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Unclassified // FOUO / Law Enforcement Sensitive

(b)(5)

(b)(5)



(b)(5)

(b)(5)

(b)(5)



From: USCIS Presidential Transition
To: Stone, Mary M; Strack, Barbara L; Emrich, Matthew D
Cc: Langlois, Joseph E; Renaud, Tracy L; Davidson, Andrew J; FDNSExecSec
Subject: RE: D2 Requested Revisions on Refugee Transition Presentation
Date: Friday, December 09, 2016 1:16:13 PM
Attachments: Refugee Processing Presentation 12-08-16 post D2.pptx

Thank you. FDNS—are you good with these edits?

From: Stone, Mary M
Sent: Friday, December 09, 2016 11:10 AM
To: USCIS Presidential Transition; Strack, Barbara L; Emrich, Matthew D
Cc: Langlois, Joseph E; Renaud, Tracy L; Davidson, Andrew J; FDNSExecSec
Subject: RE: D2 Requested Revisions on Refugee Transition Presentation

Hi Julie – here is the updated version. RAD did not clear this separately with FDNS – we were originally planning to, but I'm sending now as we're late.

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Sent: Friday, December 09, 2016 8:41 AM
To: Strack, Barbara L; Emrich, Matthew D
Cc: Stone, Mary M; Langlois, Joseph E; Renaud, Tracy L; Davidson, Andrew J; FDNSExecSec
Subject: RE: D2 Requested Revisions on Refugee Transition Presentation

Good morning. Following up on this. Thank you!

Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
(c) 202-489-8802

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Importance: High

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From: Strack, Barbara L
To: USCIS Presidential Transition
Cc: Stone, Mary M; Renaud, Tracy L; Chiorazzi, Anne; Lenkowsky, Matthew
Subject: RE: Director's Office Edits
Date: Tuesday, December 06, 2016 5:10:39 PM
Attachments: Refugee Processing Presentation 12-06-16 rev. RAD.pptx

Here's the revised version.

From: USCIS Presidential Transition
Sent: Tuesday, December 06, 2016 4:26 PM
To: Strack, Barbara L; Chiorazzi, Anne; Lenkowsky, Matthew
Cc: Stone, Mary M; Renaud, Tracy L
Subject: RE: Director's Office Edits

Sorry to ping again, but I really need this. Thanks!

From: Strack, Barbara L
Sent: Tuesday, December 06, 2016 2:55 PM
To: USCIS Presidential Transition; Chiorazzi, Anne; Lenkowsky, Matthew
Cc: Stone, Mary M; Renaud, Tracy L
Subject: RE: Director's Office Edits
Importance: High

We're OK w/the front office edits, but had some additional points of our own to add/refine. I'm adding Anne and Matt to check on the status of those.

From: USCIS Presidential Transition
Sent: Tuesday, December 06, 2016 2:53 PM
To: Strack, Barbara L
Cc: Stone, Mary M; Renaud, Tracy L
Subject: RE: Director's Office Edits

Hi, Barbara. Just following up on this. I was just pinged by the front office. D2 will be out of the office tomorrow and would like to see this presentation today.

Thank you,
Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
(c) 202-489-8802

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From: Strack, Barbara L
Sent: Tuesday, December 06, 2016 11:21 AM
To: USCIS Presidential Transition; Stone, Mary M; Davidson, Andrew J; Emrich, Matthew D; Zellen, Lorie A
Cc: Langlois, Joseph E; FDNSExecSec; Renaud, Tracy L; Chiorazzi, Anne; Lenkowsky, Matthew
Subject: RE: Director's Office Edits

I have some additional comments on this slide deck and will incorporate them on top of the front office edits.

From: USCIS Presidential Transition
Sent: Tuesday, December 06, 2016 10:15 AM
To: Stone, Mary M; Strack, Barbara L; Davidson, Andrew J; Emrich, Matthew D; Zellen, Lorie A
Cc: Langlois, Joseph E; FDNSExecSec; Renaud, Tracy L
Subject: Director's Office Edits
Importance: High

The Director's Office had a couple minor edits to the presentation. Please review and if you are okay with the edits, I will incorporate them and send it back to the Director's Office for final clearance and then to DHS for their clearance. If you could let me know today, that would be much appreciated.

Thank you,
Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
(c) 202-489-8802

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From: Schwartz, Mark A
To: Renaud, Tracy L
Subject: RE: ELIS Briefing for President Elect Landing Team
Date: Wednesday, December 07, 2016 4:32:40 PM

Got it

From: Renaud, Tracy L
Sent: Wednesday, December 07, 2016 4:29:08 PM
To: Schwartz, Mark A
Subject: RE: ELIS Briefing for President Elect Landing Team

1:00-2:00 Monday at the NAC.

From: Schwartz, Mark A
Sent: Wednesday, December 07, 2016 2:54:51 PM
To: Renaud, Tracy L
Subject: RE: ELIS Briefing for President Elect Landing Team

No problem.

From: Renaud, Tracy L
Sent: Wednesday, December 07, 2016 2:17:13 PM
To: Schwartz, Mark A
Subject: RE: ELIS Briefing for President Elect Landing Team

The DHS transition team is requesting the Landing Team move it to Monday afternoon. Precious checked your calendar and you are booked but everything is internal so you may end up needing to shuffle some of those currently scheduled meeting around.

*Tracy L. Renaud
Associate Director
Management Directorate
US Citizenship & Immigration Services
Department of Homeland Security
202-272-1739 (desk)*

From: Schwartz, Mark A
Sent: Wednesday, December 07, 2016 1:56 PM
To: Renaud, Tracy L
Subject: RE: ELIS Briefing for President Elect Landing Team

Sorry, I'll be in London and my time is committed.

From: Renaud, Tracy L

Sent: Wednesday, December 07, 2016 1:51:32 PM

To: Scialabba, Lori L; Renaud, Daniel M; Schwartz, Mark A

Cc: USCIS Presidential Transition; Farnam, Julie E; Prater, Jocelyn S; Young, Todd P

Subject: ELIS Briefing for President Elect Landing Team

All,

The landing team has requested an ELIS briefing for 1:00 tomorrow. I let them know that Mark is scheduled for leave tomorrow but am also reaching out to Mark to see if he is going to be local and, if so, whether he can work for a couple of hours tomorrow to accommodate the briefing request. I just wanted to give everyone a heads up about the potential for a 1:00 at the NAC tomorrow and I will let you know when things are firmed up. As we discussed, there will be no slide deck, the expectation is that they read the issue paper and the IG/GAO reports and that the briefing will be more conversational. Attached are the combined talking points for Mark and Dan which highlight key areas that they would hit upon. Lori has indicated that she would like to attend all briefings to the extent possible.

*Tracy L. Renaud
Associate Director
Management Directorate
US Citizenship & Immigration Services
Department of Homeland Security
202-272-1739 (desk)*

From: [USCIS Presidential Transition](#)
To: [Renaud, Tracy L](#)
Subject: RE: ELIS Briefing for President Elect Landing Team
Date: Wednesday, December 07, 2016 3:26:00 PM
Attachments: [USCIS Transformation IP 2016.docx](#)

Did you want to take a quick look at the ELIS briefing paper again for the briefing on Monday? I highlighted one sentence in the attached thinking we may want to change it.

Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
(c) 202-489-8802

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From: Renaud, Tracy L
Sent: Wednesday, December 07, 2016 1:52 PM
To: Scialabba, Lori L; Renaud, Daniel M; Schwartz, Mark A
Cc: USCIS Presidential Transition; Farnam, Julie E; Prater, Jocelyn S; Young, Todd P
Subject: ELIS Briefing for President Elect Landing Team

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Tracy L. Renaud
Associate Director
Management Directorate
US Citizenship & Immigration Services
Department of Homeland Security
202-272-1739 (desk)

From: Schwartz, Mark A
To: Renaud, Tracy L
Subject: RE: ELIS Briefing for President Elect Landing Team
Date: Wednesday, December 07, 2016 2:54:51 PM

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From: Renaud, Tracy L
Sent: Wednesday, December 07, 2016 2:17:13 PM
To: Schwartz, Mark A
Subject: RE: ELIS Briefing for President Elect Landing Team

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US Citizenship & Immigration Services
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Sent: Wednesday, December 07, 2016 1:51:32 PM
To: Scialabba, Lori L; Renaud, Daniel M; Schwartz, Mark A
Cc: USCIS Presidential Transition; Farnam, Julie E; Prater, Jocelyn S; Young, Todd P
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the extent possible.

Tracy L. Renaud
Associate Director
Management Directorate
US Citizenship & Immigration Services
Department of Homeland Security
202-272-1739 (desk)

From: Schwartz, Mark A
To: Renaud, Tracy L
Subject: RE: ELIS Briefing for President Elect Landing Team
Date: Wednesday, December 07, 2016 1:55:35 PM

Sorry, I'll be in London and my time is committed.

From: Renaud, Tracy L
Sent: Wednesday, December 07, 2016 1:51:32 PM
To: Scialabba, Lori L; Renaud, Daniel M; Schwartz, Mark A
Cc: USCIS Presidential Transition; Farnam, Julie E; Prater, Jocelyn S; Young, Todd P
Subject: ELIS Briefing for President Elect Landing Team

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*Tracy L. Renaud
Associate Director
Management Directorate
US Citizenship & Immigration Services
Department of Homeland Security
202-272-1739 (desk)*

From: Renaud, Tracy L
To: [Schwartz, Mark A](#)
Subject: RE: ELIS Briefing for President Elect Landing Team
Date: Wednesday, December 07, 2016 2:17:00 PM

The DHS transition team is requesting the Landing Team move it to Monday afternoon. Precious checked your calendar and you are booked but everything is internal so you may end up needing to shuffle some of those currently scheduled meeting around.

*Tracy L. Renaud
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Management Directorate
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To: Scialabba, Lori L; Renaud, Daniel M; Schwartz, Mark A
Cc: USCIS Presidential Transition; Farnam, Julie E; Prater, Jocelyn S; Young, Todd P
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*Tracy L. Renaud
Associate Director
Management Directorate
US Citizenship & Immigration Services
Department of Homeland Security
202-272-1739 (desk)*

From: Renaud, Tracy L.
To: Schwartz, Mark A
Subject: RE: ELIS Briefing for President Elect Landing Team
Date: Wednesday, December 07, 2016 2:00:00 PM

Ok, thanks.

*Tracy L. Renaud
Associate Director
Management Directorate
US Citizenship & Immigration Services
Department of Homeland Security
202-272-1739 (desk)*

From: Schwartz, Mark A
Sent: Wednesday, December 07, 2016 1:56 PM
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From: Renaud, Tracy L
Sent: Wednesday, December 07, 2016 1:51:32 PM
To: Scialabba, Lori L; Renaud, Daniel M; Schwartz, Mark A
Cc: USCIS Presidential Transition; Farnam, Julie E; Prater, Jocelyn S; Young, Todd P
Subject: ELIS Briefing for President Elect Landing Team

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*Tracy L. Renaud
Associate Director
Management Directorate
US Citizenship & Immigration Services
Department of Homeland Security
202-272-1739 (desk)*

From: USCIS Presidential Transition
To: Kerns, Kevin J; Schwartz, Mark A; Renaud, Daniel M
Cc: Renaud, Tracy L; USCIS MGT Tasks
Subject: RE: ELIS Briefing Presentation
Date: Wednesday, November 30, 2016 9:42:05 AM
Attachments: USCIS ELIS Briefing Presentation.pptx

Updates attached. I'll also have hard copies for the pre-brief this morning.

From: Kerns, Kevin J
Sent: Tuesday, November 29, 2016 6:41 PM
To: USCIS Presidential Transition; Schwartz, Mark A; Renaud, Daniel M
Cc: Renaud, Tracy L; USCIS MGT Tasks
Subject: RE: ELIS Briefing Presentation

(b)(5)

Kevin J. Kerns
Deputy Associate Director
Management Directorate
US Citizenship and Immigration Services
(202) 272-2990 Kevin.J.Kerns@uscis.dhs.gov

From: USCIS Presidential Transition
Sent: Tuesday, November 29, 2016 3:04 PM
To: Schwartz, Mark A; Renaud, Daniel M
Cc: Renaud, Tracy L; Kerns, Kevin J; USCIS MGT Tasks
Subject: ELIS Briefing Presentation

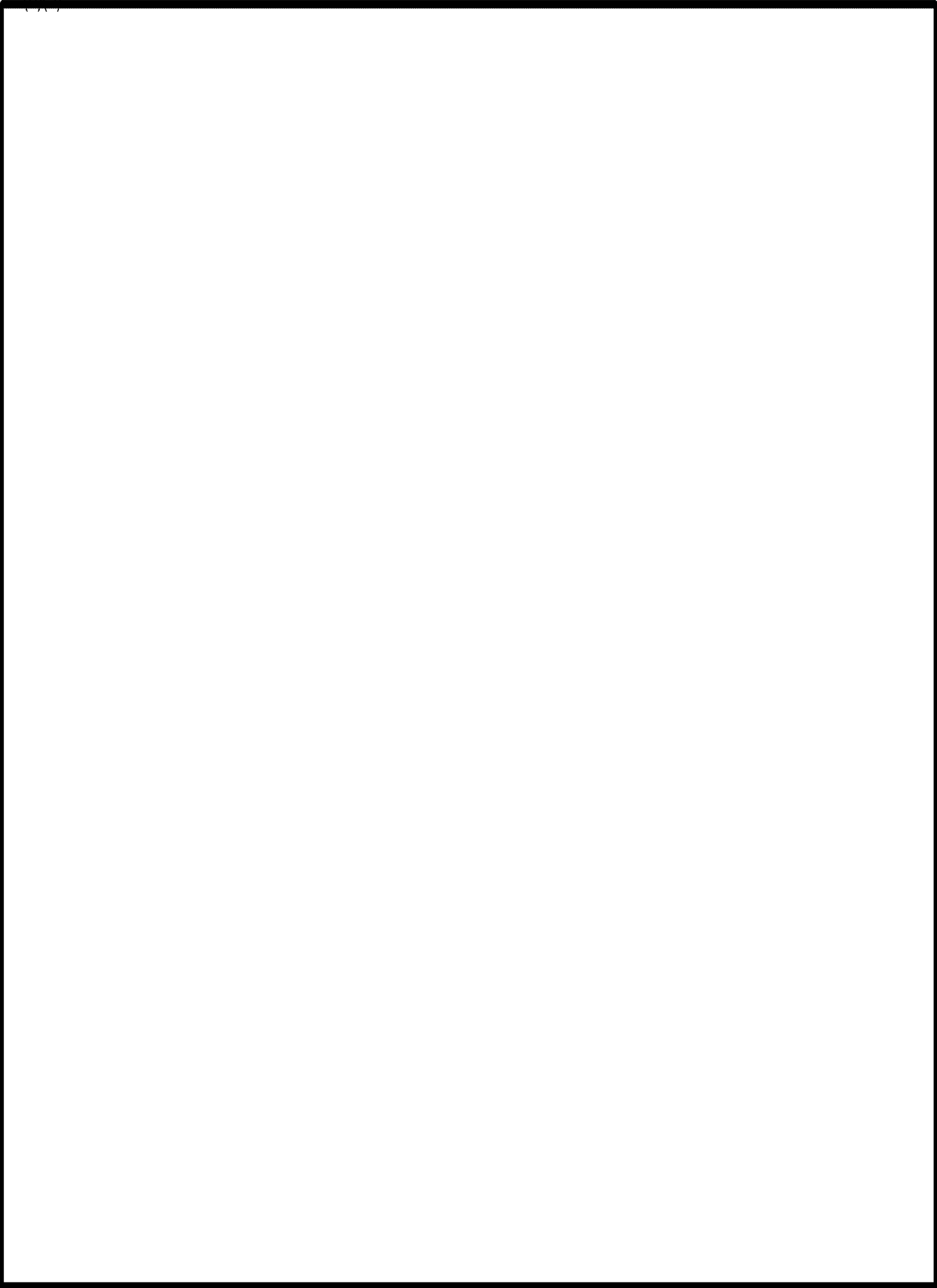
Dan/Mark,

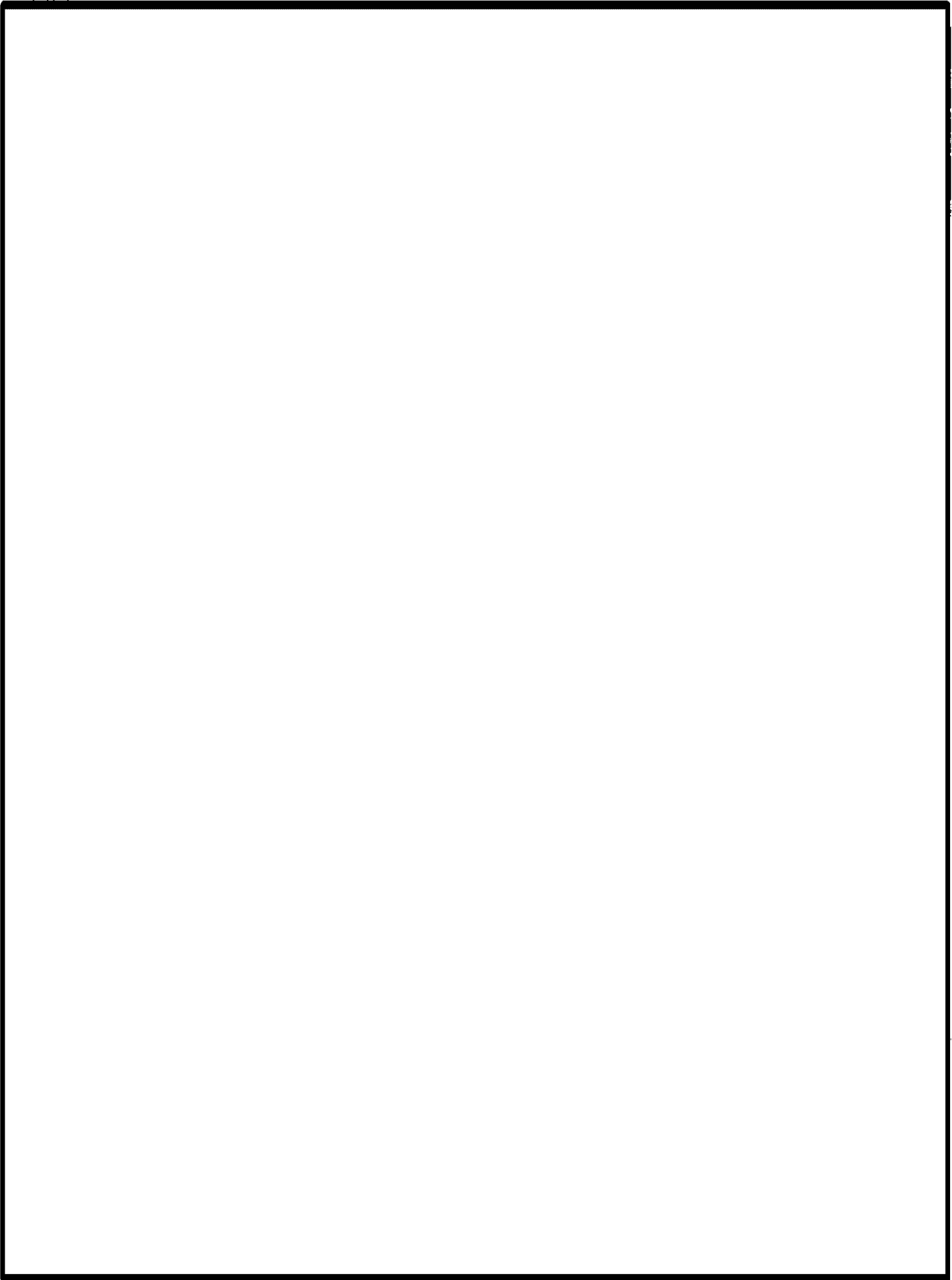
Attached please find the draft presentation for the ELIS transition briefing. If you have any edits, please let me know as soon as possible so that I may send this to OCC to be cleared.

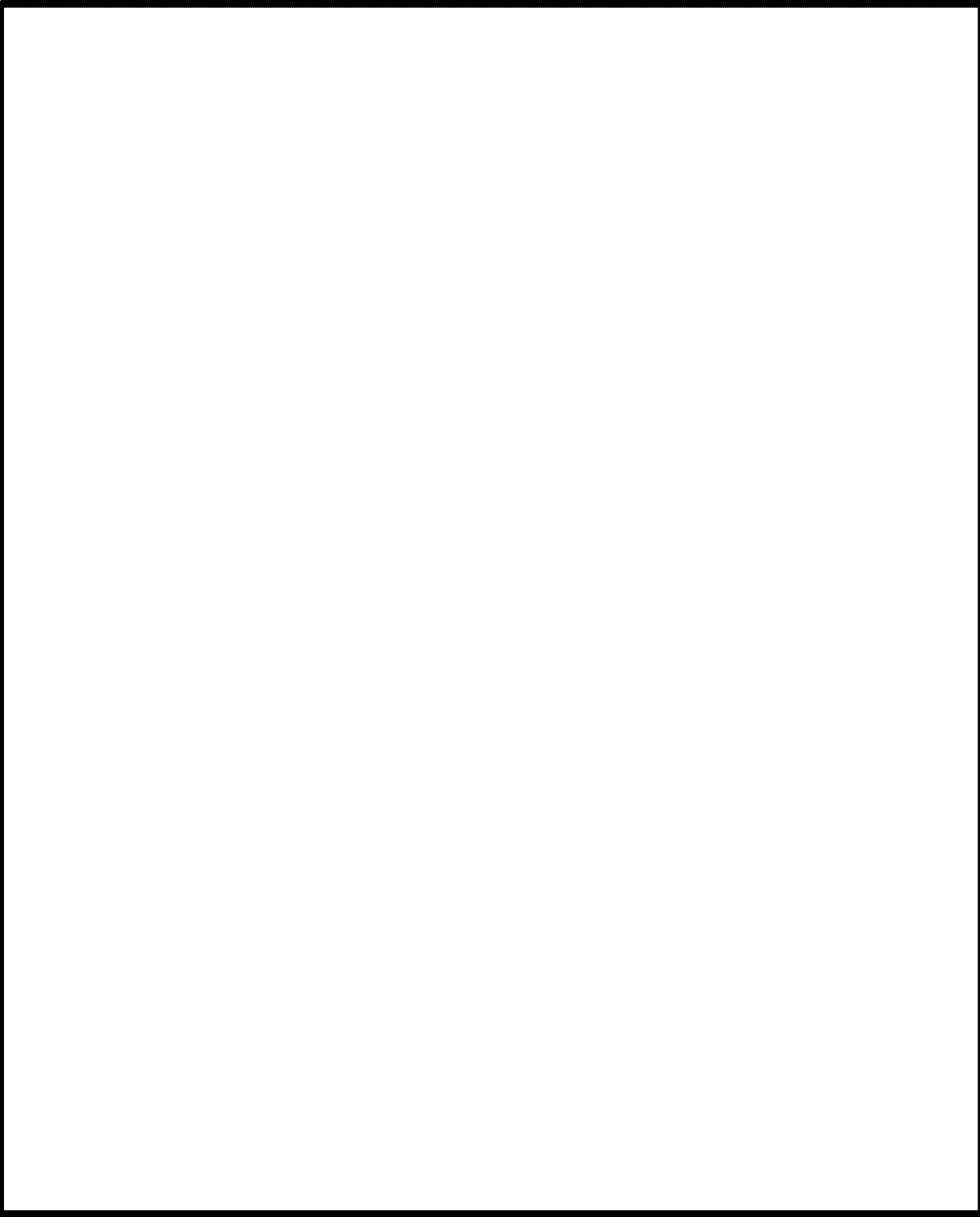
Thank you,
Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
(c) 202-489-8802

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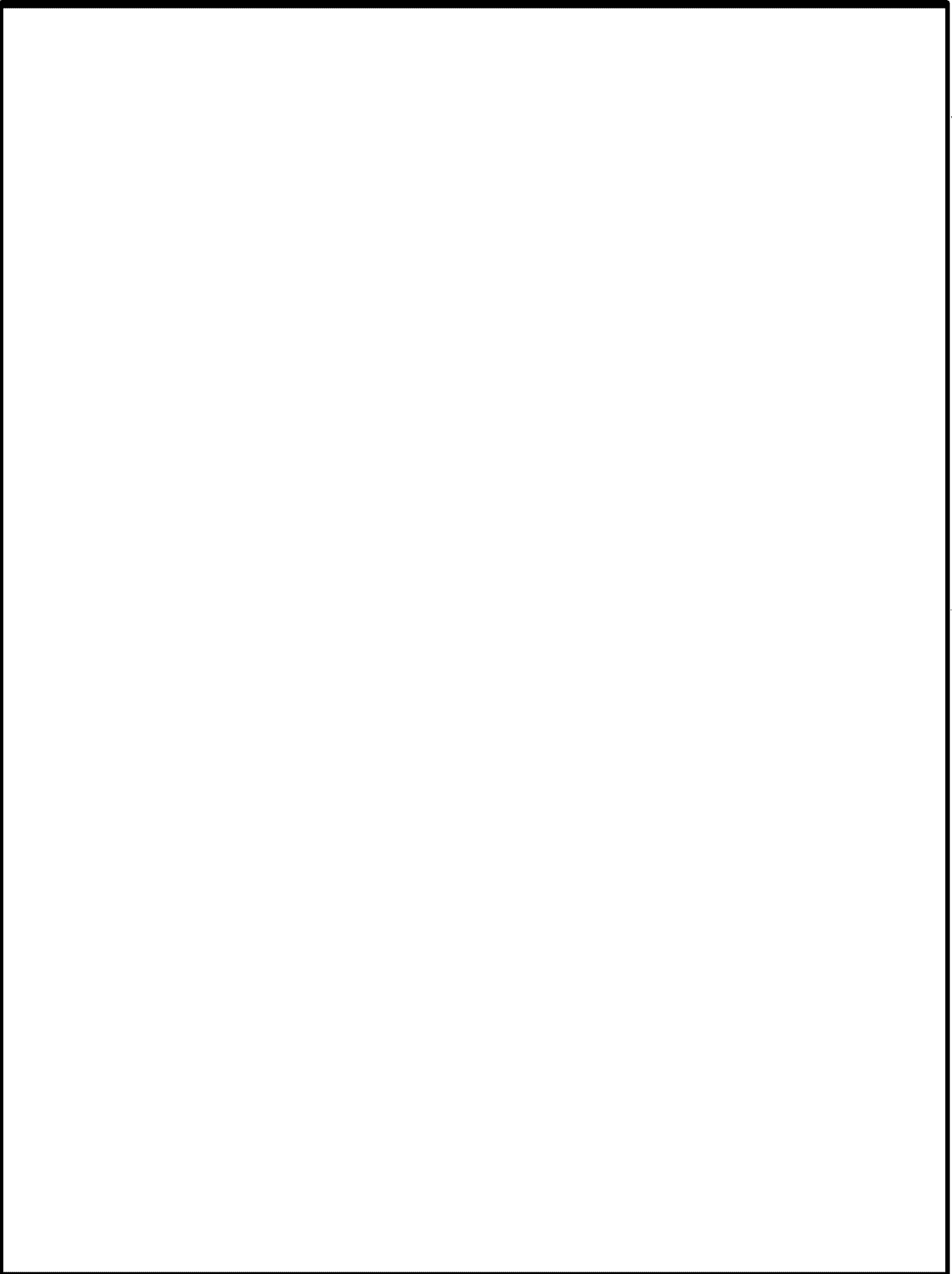


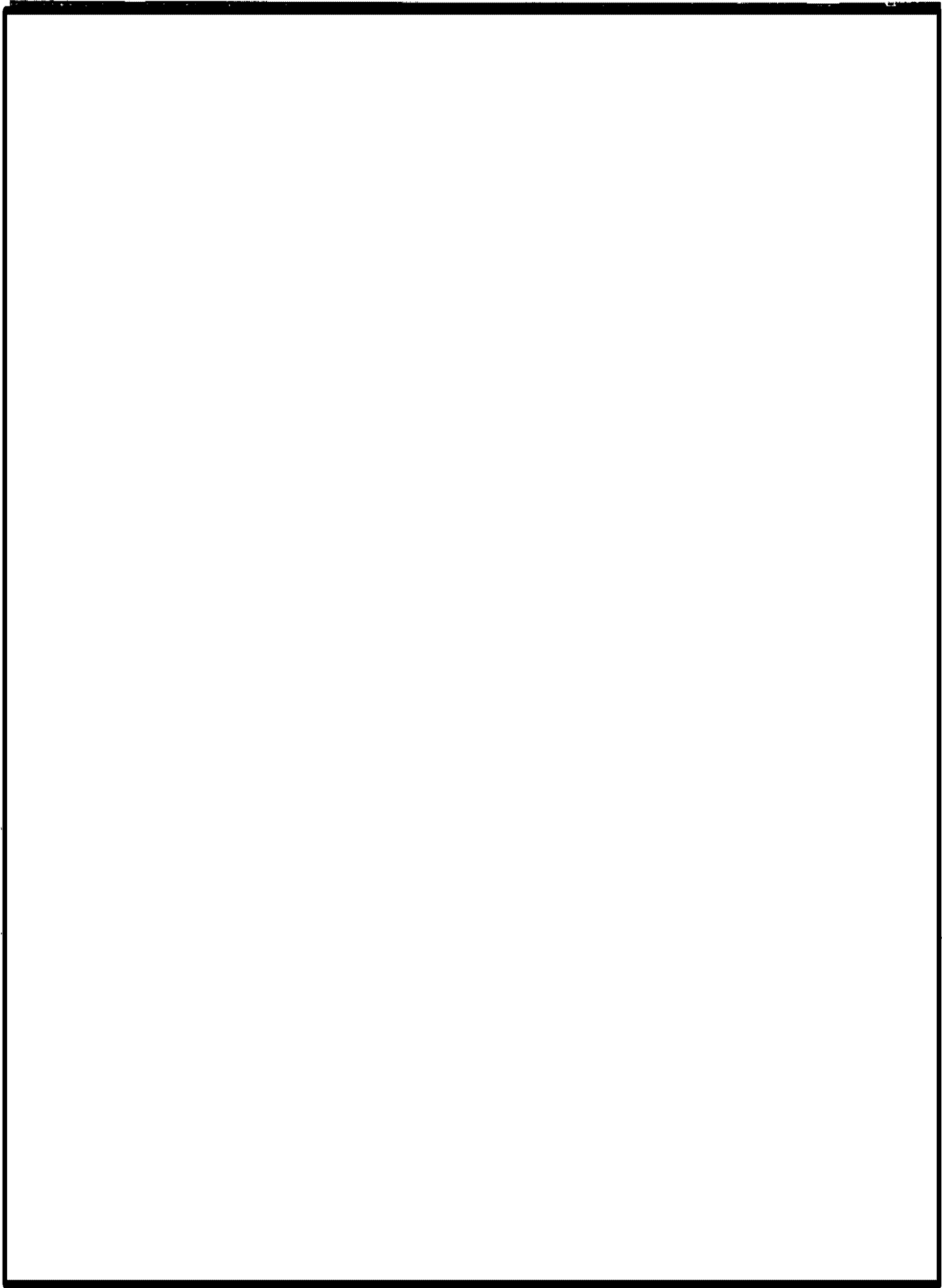




-DRAFT-

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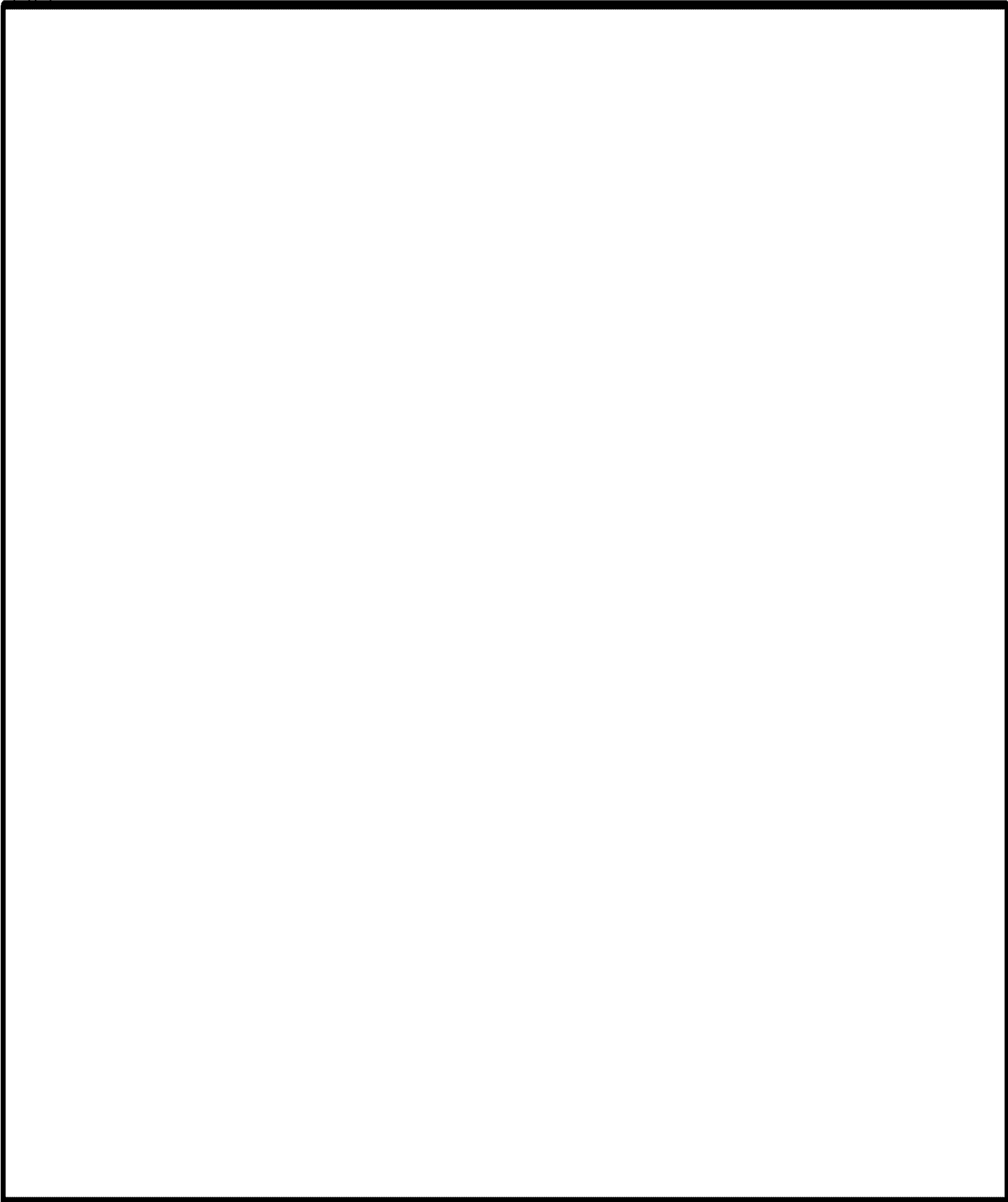




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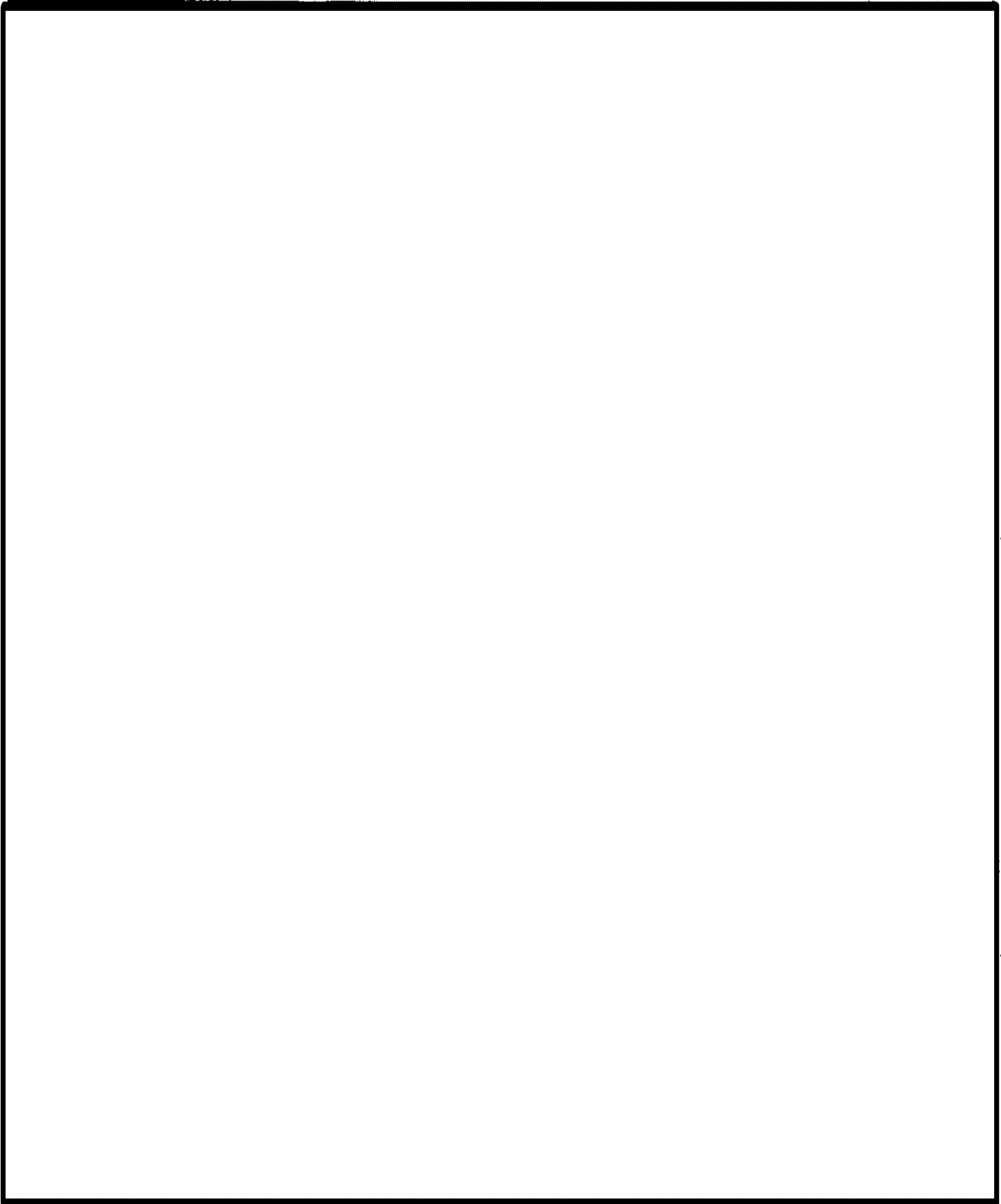
-DRAFT-

(b)(5)



-DRAFT-

(b)(5)



-DRAFT-

From: Halter, Greg
To: Micone, Vincent; McCormack, Luke; Cooch, Shila
Cc: Horowitz, Scott; Farnam, Julie E; Renaud, Tracy L
Subject: RE: ELIS Briefing
Date: Friday, December 09, 2016 11:52:33 AM
Attachments: USCIS Transformation IP 2016.docx

Sir, there is not a briefing deck for this meeting. Julie said they will be working from the Transformation issue paper. (attached)

-Greg

Greg Halter
Deputy Director of Operations
Presidential Transition Office
U.S. Department of Homeland Security
Office: (202) 282-8161
Cell: (202) 807-8376
NAC 01-03-00

From: Micone, Vincent
Sent: Friday, December 9, 2016 11:20 AM
To: McCormack, Luke <luke.mccormack@hq.dhs.gov>; Cooch, Shila <Shila.Cooch@hq.dhs.gov>
Cc: Halter, Greg <greg.halter@hq.dhs.gov>; Horowitz, Scott <Scott.Horowitz@HQ.DHS.GOV>
Subject: RE: ELIS Briefing

Greg will get you a copy

Thanks,
Vince

Vince Micone
DHS Presidential Transition Officer
and Senior Counselor
Management Directorate
U.S. Department of Homeland Security
(202) 447-3400

From: McCormack, Luke
Sent: Friday, December 09, 2016 11:18:52 AM
To: Micone, Vincent; Cooch, Shila

Cc: Halter, Greg; Horowitz, Scott
Subject: RE: ELIS Briefing

Can I get a copy of the brief-

From: Micone, Vincent
Sent: Friday, December 09, 2016 8:23:51 AM
To: Cooch, Shila; McCormack, Luke
Cc: Halter, Greg; Horowitz, Scott
Subject: RE: ELIS Briefing

Greg –

Pls add him to the invite.

Thanks,
Vince

Vince Micone
DHS Presidential Transition Officer
and Senior Counselor
Management Directorate
U.S. Department of Homeland Security
(202) 447-3400

From: Cooch, Shila
Sent: Friday, December 09, 2016 8:18 AM
To: Micone, Vincent <Vincent.Micone@HQ.DHS.GOV>; McCormack, Luke
<luke.mccormack@hq.dhs.gov>
Cc: Halter, Greg <greg.halter@hq.dhs.gov>; Horowitz, Scott <Scott.Horowitz@HQ.DHS.GOV>;
Cooch, Shila <Shila.Cooch@hq.dhs.gov>
Subject: RE: ELIS Briefing

Vince – just confirmed – this works.

Shila R. Cooch
Chief of Staff
Office of the Chief Information Officer
Cell: (202) 207-8718

From: Micone, Vincent
Sent: Thursday, December 8, 2016 5:32 PM
To: McCormack, Luke <luke.mccormack@hq.dhs.gov>
Cc: Halter, Greg <greg.halter@hq.dhs.gov>; Horowitz, Scott <Scott.Horowitz@HQ.DHS.GOV>;
Cooch, Shila <Shila.Cooch@hq.dhs.gov>
Subject: ELIS Briefing

Luke,

Want you to participate in a briefing with the transition team on ELIS. Are you available on 12/12 from 2:30-4? Will be here at the NAC. Pls advise ASAP.

Thanks,
Vince

Vince Micone
DHS Presidential Transition Officer
and Senior Counselor
Management Directorate
U.S. Department of Homeland Security
(202) 447-3400

From: Prelogar, Brandon B
To: USCIS Presidential Transition; Young, Todd P; Walters, Jessica S; Krebs, Kristie L; Hyams, Emille R; Allred, Esther R
Cc: Renaud, Tracy L
Subject: RE: ELIS Call Center Information and E-Filed Application Information--DUE TODAY
Date: Tuesday, December 13, 2016 4:00:17 PM
Attachments: ELIS Call Center and E-Applications.docx

Including Emilie and Esther for this one. (And recommend adding them to the list for clearing these as a general matter.)

From: USCIS Presidential Transition
Sent: Tuesday, December 13, 2016 3:47 PM
To: Young, Todd P; Prelogar, Brandon B; Walters, Jessica S; Krebs, Kristie L
Cc: Renaud, Tracy L
Subject: ELIS Call Center Information and E-Filed Application Information--DUE TODAY
Importance: High

The attached has been requested by the transition team and is due to DHS today. OCC has cleared and we are requesting clearance from your principal.

Thank you,
Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
(c) 202-489-8802

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From: USCIS Presidential Transition
To: Prelogar, Brandon B; Young, Todd P; Walters, Jessica S; Krebs, Kristie L; Hyams, Emilie R; Allred, Esther R
Cc: Renaud, Tracy L
Subject: RE: ELIS Call Center Information and E-Filed Application Information--DUE TODAY
Date: Tuesday, December 13, 2016 4:14:44 PM
Attachments: ELIS Call Center and E-Applications.docx

We added one additional bullet to avoid confusion. We are awaiting OCC's clearance on that added bullet, but please do start to review as I need to get this to DHS tonight.

Thank you,
Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
(c) 202-489-8802

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From: Prelogar, Brandon B
Sent: Tuesday, December 13, 2016 4:00 PM
To: USCIS Presidential Transition; Young, Todd P; Walters, Jessica S; Krebs, Kristie L; Hyams, Emilie R; Allred, Esther R
Cc: Renaud, Tracy L
Subject: RE: ELIS Call Center Information and E-Filed Application Information--DUE TODAY

Including Emilie and Esther for this one. (And recommend adding them to the list for clearing these as a general matter.)

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Importance: High

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Field Operations Directorate

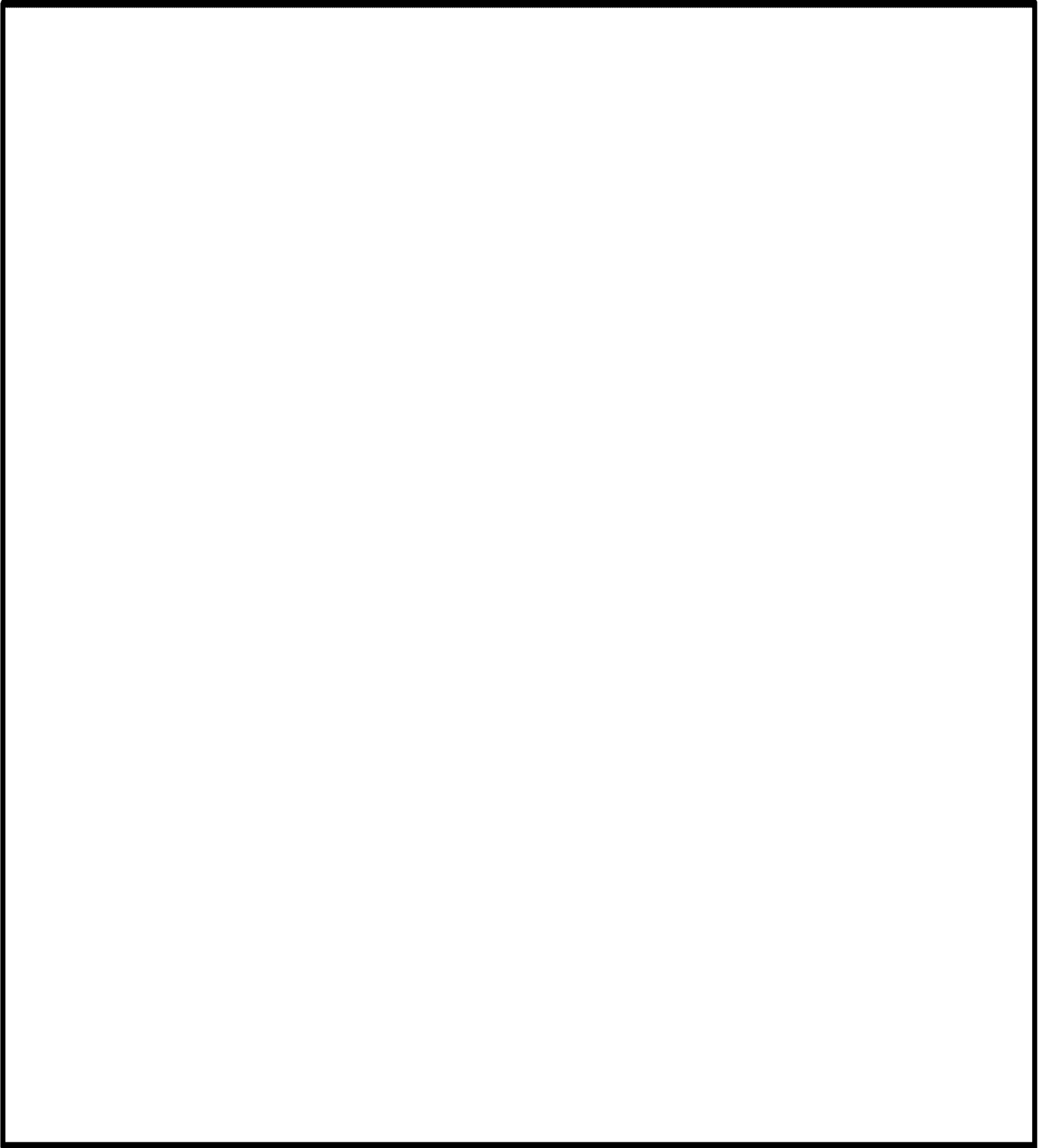
U.S. Citizenship and Immigration Services

(d) 202-272-1102

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(b)(5)



(b)(5)



From: USCIS Presidential Transition
To: Renaud, Tracy L; OCC-Clearance; Jaddou, Ur M; Groom, Molly M; Miles, John D; Carpenter, Dea D
Cc: Mcgee, Ramona L; Renaud, Daniel M
Subject: RE: ELIS Help Desk--URGENT
Date: Tuesday, December 13, 2016 4:11:12 PM
Attachments: ELIS Call Center and E-Applications.docx

Added an additional bullet that hopefully reduces the confusion. I believe the bullet in question is accurate, but I can understand why it may be confusing.

From: Renaud, Tracy L
Sent: Tuesday, December 13, 2016 3:59 PM
To: OCC-Clearance; USCIS Presidential Transition; Jaddou, Ur M; Groom, Molly M; Miles, John D; Carpenter, Dea D
Cc: Mcgee, Ramona L; Renaud, Daniel M
Subject: RE: ELIS Help Desk--URGENT

Ian,

(b)(5)



*Tracy L. Renaud
Associate Director
Management Directorate
US Citizenship & Immigration Services
Department of Homeland Security
202-272-1739 (desk)*

From: Hinds, Ian G **On Behalf Of** OCC-Clearance
Sent: Tuesday, December 13, 2016 3:43 PM
To: USCIS Presidential Transition; Jaddou, Ur M; Groom, Molly M; Miles, John D; Carpenter, Dea D
Cc: Renaud, Tracy L; Mcgee, Ramona L
Subject: RE: ELIS Help Desk--URGENT

Please see OCC's edits attached.

Ian

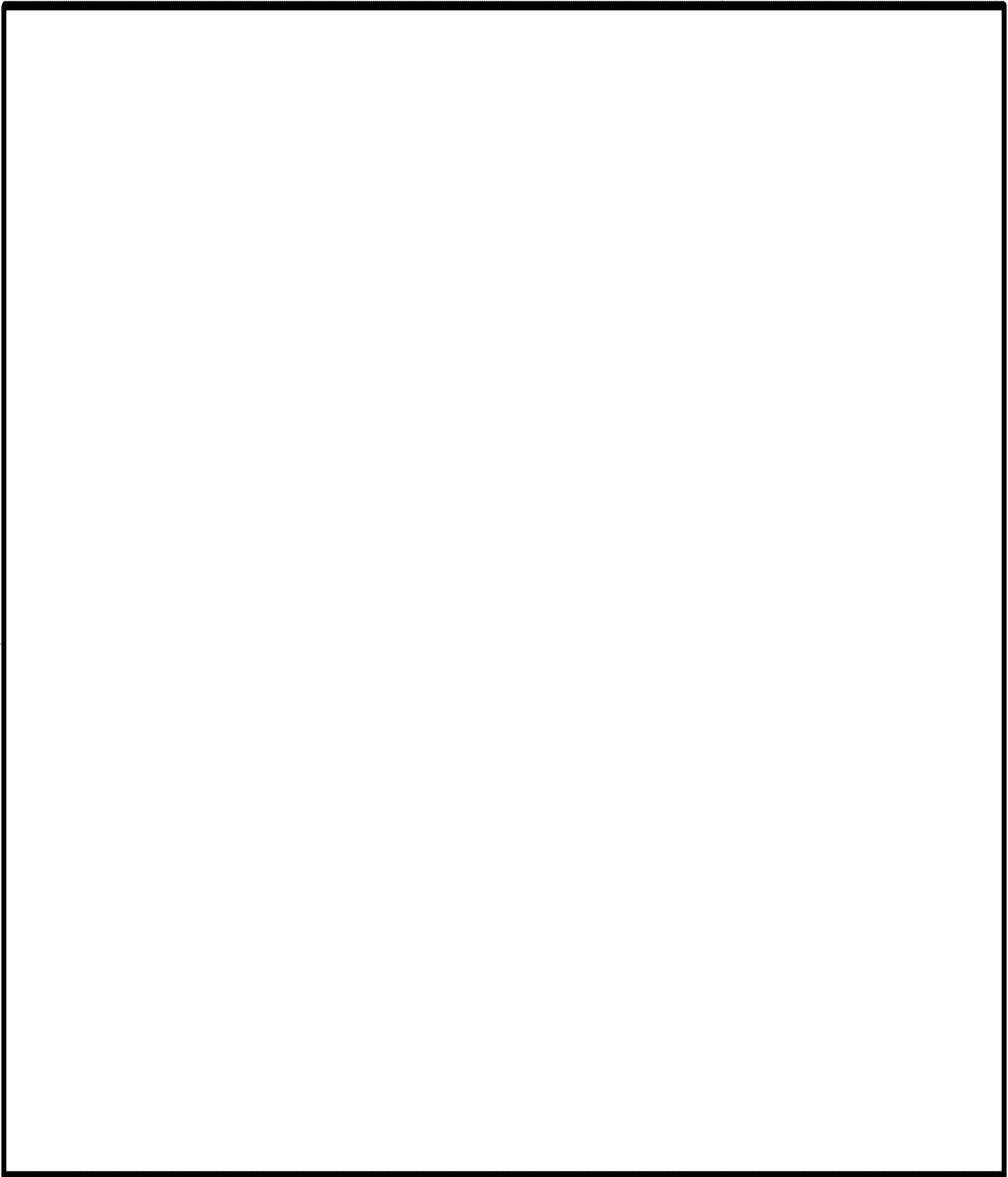
From: USCIS Presidential Transition
Sent: Tuesday, December 13, 2016 2:50 PM
To: OCC-Clearance; Jaddou, Ur M; Groom, Molly M; Miles, John D; Carpenter, Dea D
Cc: Renaud, Tracy L
Subject: ELIS Help Desk--URGENT
Importance: High

Attached is the stats for the ELIS help desk and e-filing information for your review. There's not much legal-y here, but it needs to be cleared by you as well. If you could review as soon as possible, I need to have the front office review today as well.

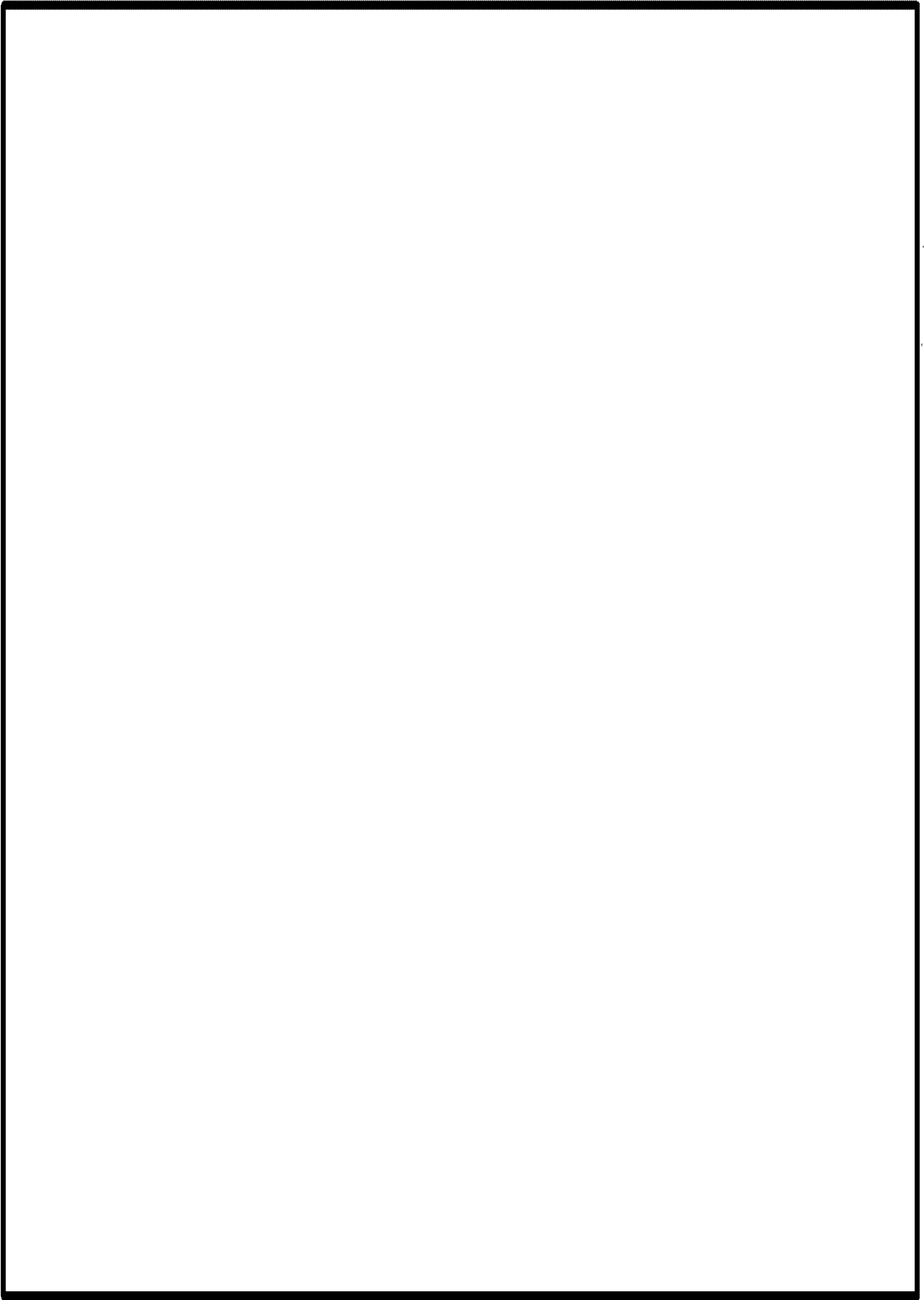
Thank you,
Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
(c) 202-489-8802

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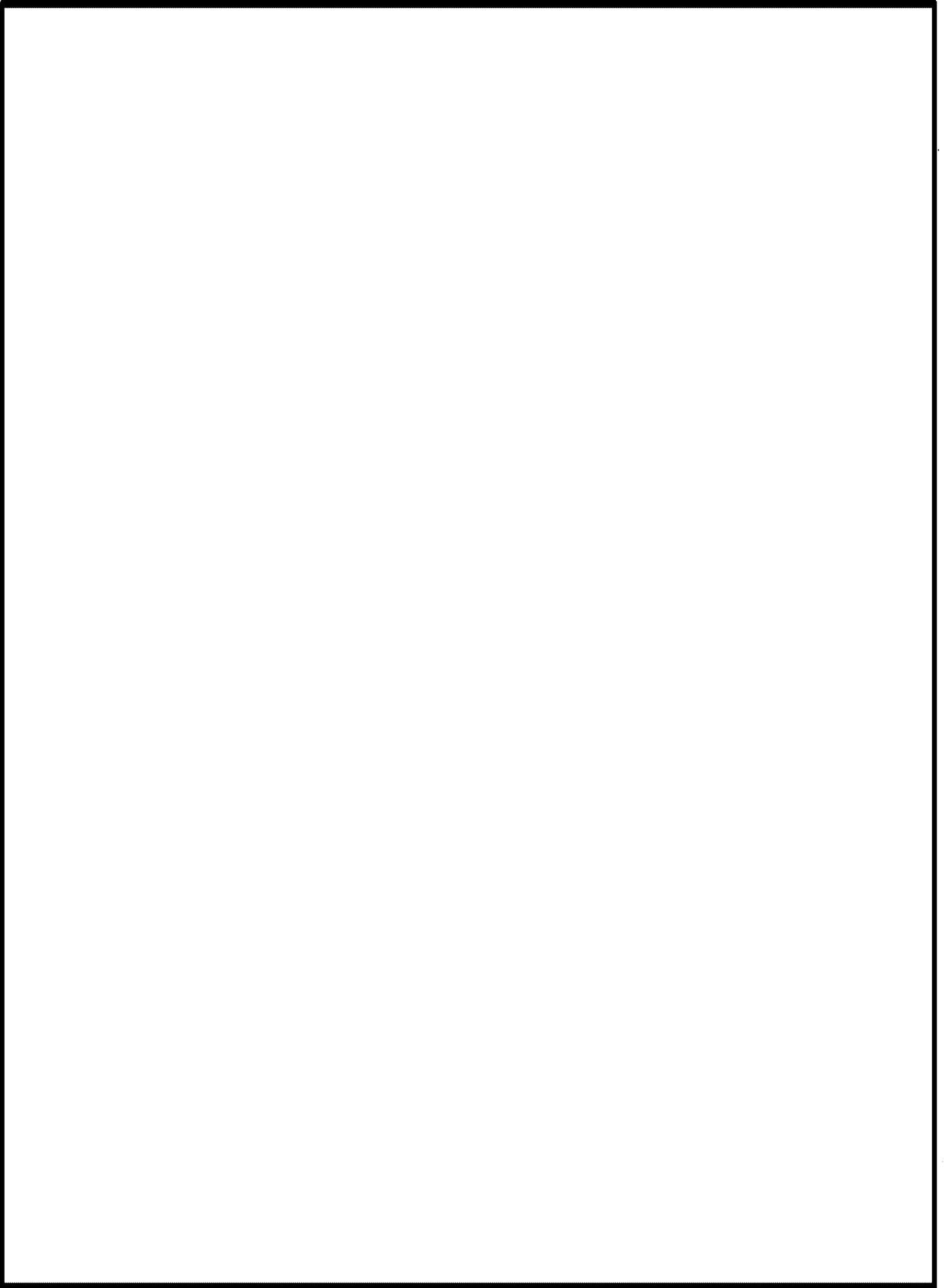
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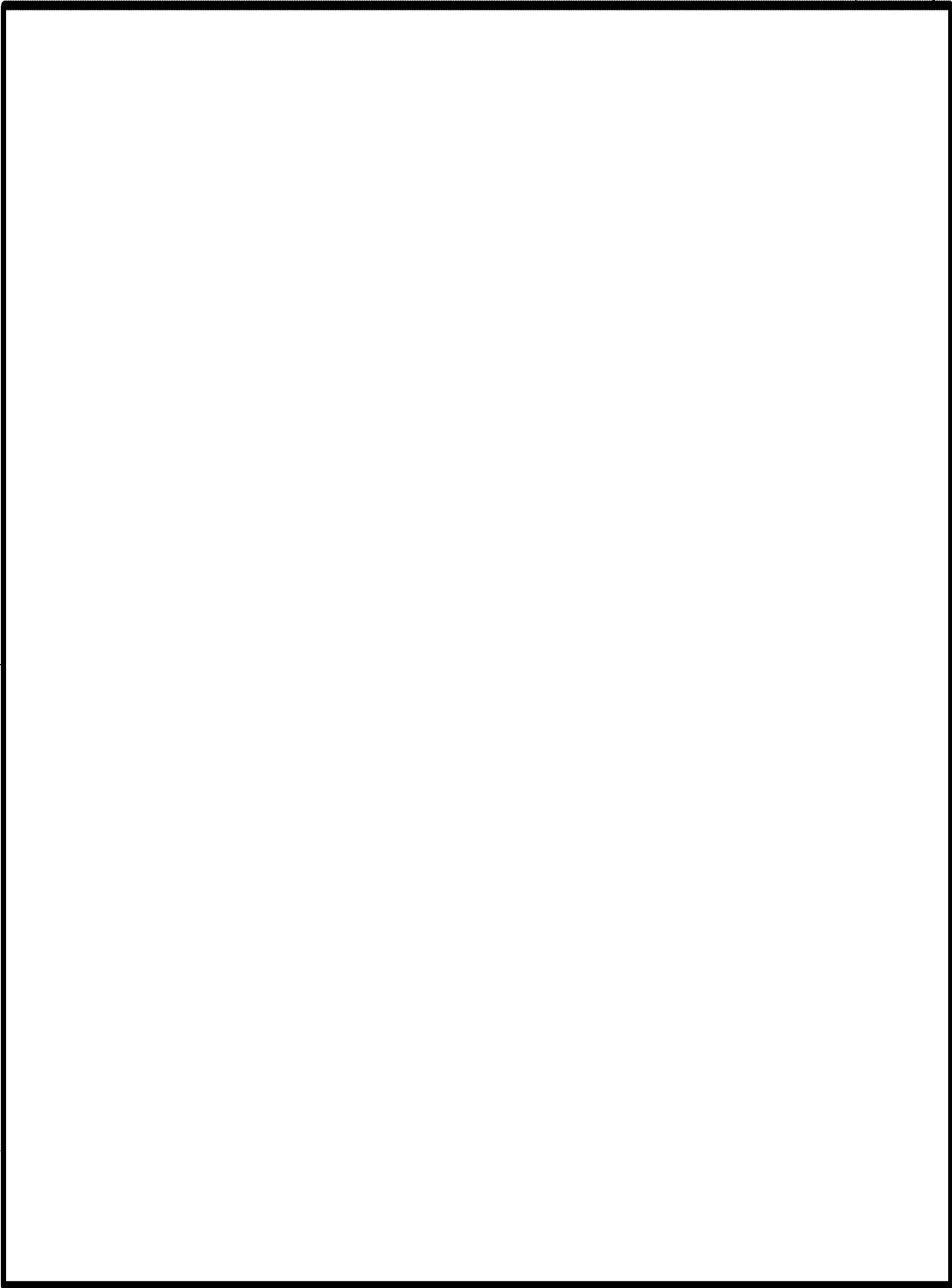
(b)(5)



(b)(5)



(b)(5)



From: USCIS Presidential Transition
To: Pontinen, Kaiya; Mathias, Susan
Cc: Renaud, Tracy L; Cheng, Grace
Subject: RE: Issue Paper--OIG Report on Incomplete Fingerprint Records
Date: Tuesday, December 13, 2016 11:15:38 AM
Attachments: USCIS.OIG Report IP 2016 FINAL.docx

That's correct. Our understanding was that your office would be adding to the paper rather than just clearing it.

Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
(c) 202-489-8802

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From: Pontinen, Kaiya
Sent: Tuesday, December 13, 2016 11:03 AM
To: USCIS Presidential Transition; Mathias, Susan
Cc: Renaud, Tracy L; Cheng, Grace
Subject: RE: Issue Paper--OIG Report on Incomplete Fingerprint Records

Susan: this is part of the paper we needed to respond to the OGC tasked on Denatz, I think.

USCIS - is that correct? If so I need to combine with ice part and give to Joe.

Kaiya Anne Pontinen
Office of the General Counsel
202.306.8548

From: USCIS Presidential Transition
Sent: Tuesday, December 13, 2016 10:59:00 AM
To: Mathias, Susan; Pontinen, Kaiya
Cc: Renaud, Tracy L; Cheng, Grace
Subject: RE: Issue Paper--OIG Report on Incomplete Fingerprint Records

Will do. Thank you.

From: Young, Todd P
To: USCIS Presidential Transition; Prelogar, Brandon B; Walters, Jessica S; Prater, Jocelyn S; Krebs, Kristie L
Cc: Renaud, Tracy L
Subject: RE: Issue Paper--OIG Report
Date: Tuesday, December 13, 2016 10:21:19 AM
Attachments: DHS Response to OIG Report 16 FO 12 13 2016.docx

Hi Julie,

Please see a few additional revisions from me and Jess.

From: USCIS Presidential Transition
Sent: Tuesday, December 13, 2016 10:18 AM
To: Prelogar, Brandon B; Young, Todd P; Walters, Jessica S; Prater, Jocelyn S; Krebs, Kristie L
Cc: Renaud, Tracy L
Subject: RE: Issue Paper--OIG Report
Importance: High

Following up on this—Brandon's minor edits have been incorporated. Please let me know when I can proceed and send this to OGC.

Thank you,
Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
(c) 202-489-8802

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From: Prelogar, Brandon B
Sent: Monday, December 12, 2016 2:01 PM
To: USCIS Presidential Transition; Young, Todd P; Walters, Jessica S; Prater, Jocelyn S; Krebs, Kristie L
Cc: Renaud, Tracy L
Subject: RE: Issue Paper--OIG Report

Quick, light edits in the attached. Defer to D2 team for D2 clearance.

From: USCIS Presidential Transition
Sent: Monday, December 12, 2016 11:38 AM
To: Young, Todd P; Walters, Jessica S; Prater, Jocelyn S; Krebs, Kristie L; Prelogar, Brandon B
Cc: Renaud, Tracy L
Subject: Issue Paper--OIG Report
Importance: High

Good morning,

OGC has requested that we draft an issue paper relating to the OIG's report, "Potentially Ineligible individuals Have Been Granted U.S. Citizenship Because of Incomplete Fingerprint Records." With the exception of the last paragraph, the language in the attached document is comprised of previously drafted language from a couple sources—talking points USCIS wrote and responses to QFRs. Because you should have already seen this information, we are requesting that your principal review and clear by noon tomorrow. We also anticipate that OGC will be adding additional language and this may need to be recirculated. This paper has been cleared by Field Ops, FDNS, and OCC.

Thank you,
Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
(c) 202-489-8802

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(b)(5)

From: Valverde, Michael
To: USCIS Presidential Transition; OCC-Clearance; Renaud, Daniel M; Emrich, Matthew D; Davidson, Andrew J
Cc: Miles, John D; Jaddou, Ur M; Groom, Molly M; Renaud, Tracy L; FDNSExecSec; Kvortek, Lisette E
Subject: RE: New Issue Paper--OIG Report 16-130 (Janus Cases)
Date: Friday, December 09, 2016 4:28:49 PM
Attachments: USCIS_OIG_Report_IP_2016.docx



From: USCIS Presidential Transition
Sent: Friday, December 09, 2016 4:15 PM
To: OCC-Clearance; Renaud, Daniel M; Valverde, Michael; Emrich, Matthew D; Davidson, Andrew J
Cc: Miles, John D; Jaddou, Ur M; Groom, Molly M; Renaud, Tracy L; FDNSExecSec; Kvortek, Lisette E
Subject: New Issue Paper--OIG Report 16-130 (Janus Cases)
Importance: High

(b)(5)

Good afternoon,

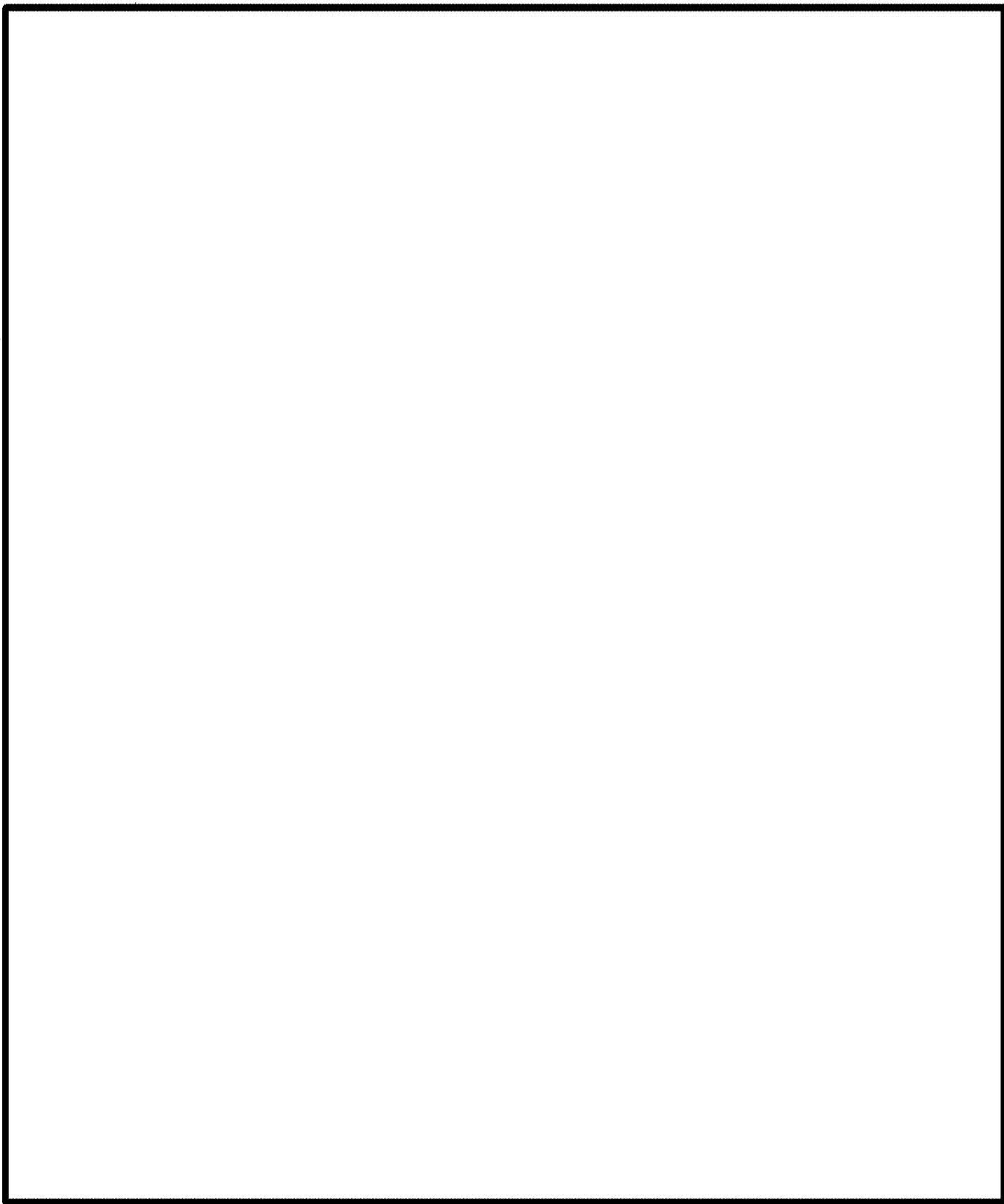


Thank you for your assistance with this and have a nice weekend.

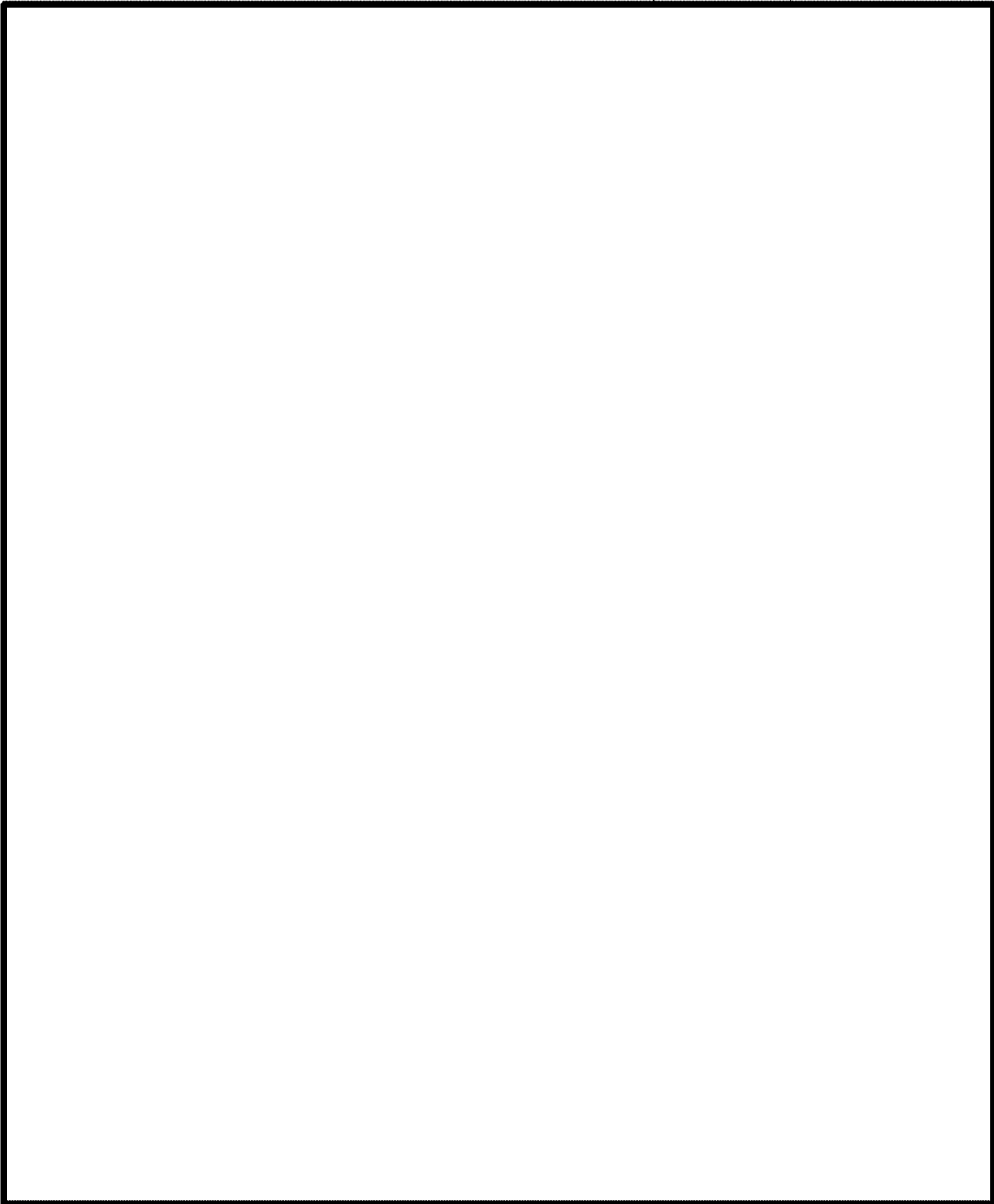
Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
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(b)(5)



From: [Krebs, Kristie L](#)
To: [Prelogar, Brandon B](#); [USCIS Presidential Transition](#); [Young, Todd P](#); [Walters, Jessica S](#)
Cc: [Renaud, Tracy L](#)
Subject: RE: Presidential Transition Briefing Materials-Refugee Processing and Vetting (Due 12/8)
Date: Tuesday, December 06, 2016 2:51:25 PM

Hi Julie – I want to flag that D2 is going to be out tomorrow afternoon so we would like to get this to her by COB today or first thing tomorrow morning. Anything you can do to nudge RAIO and FDNS along would be most appreciated.

From: Prelogar, Brandon B
Sent: Tuesday, December 06, 2016 10:02 AM
To: USCIS Presidential Transition; Young, Todd P; Walters, Jessica S; Krebs, Kristie L
Cc: Renaud, Tracy L
Subject: RE: Presidential Transition Briefing Materials-Refugee Processing and Vetting (Due 12/8)

Julie,

See attached edits from D1/D2 counselors. We would appreciate it if RAIO and FDNS could review and adjudicate these, and then pass back a clean version to us for D2 review by end of day. We want to pass a clean version that incorporates our edits up to her. Thanks,

Brandon

From: USCIS Presidential Transition
Sent: Monday, December 05, 2016 10:15:04 AM
To: Young, Todd P; Walters, Jessica S; Krebs, Kristie L; Prelogar, Brandon B
Cc: Renaud, Tracy L
Subject: Presidential Transition Briefing Materials-Refugee Processing and Vetting (Due 12/8)

Good morning,

Attached is the presentation on refugee processing and vetting. This presentation will be given when we brief the president-elect's landing team. The presentation was developed by RAIO and FDNS and has been cleared by OCC. It must also be cleared by the COS or higher before providing to DHS for their clearance. We request your principal's review and clearance by COB Thursday.

Thank you,
Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
(c) 202-489-8802

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attachments and immediately notify the sender.

From: Prelogar, Brandon B
To: USCIS Presidential Transition; Young, Todd P; Walters, Jessica S; Krebs, Kristie L
Cc: Renaud, Tracy L
Subject: RE: Presidential Transition Briefing Materials-Refugee Processing and Vetting (Due 12/8)
Date: Tuesday, December 06, 2016 10:01:39 AM
Attachments: Refugee Processing Presentation 12-05-16 TY BP JSW Comments.pptx

Julie,

See attached edits from D1/D2 counselors. We would appreciate it if RAIO and FDNS could review and adjudicate these, and then pass back a clean version to us for D2 review by end of day. We want to pass a clean version that incorporates our edits up to her. Thanks,

Brandon

From: USCIS Presidential Transition
Sent: Monday, December 05, 2016 10:15:04 AM
To: Young, Todd P; Walters, Jessica S; Krebs, Kristie L; Prelogar, Brandon B
Cc: Renaud, Tracy L
Subject: Presidential Transition Briefing Materials-Refugee Processing and Vetting (Due 12/8)

Good morning,

Attached is the presentation on refugee processing and vetting. This presentation will be given when we brief the president-elect's landing team. The presentation was developed by RAIO and FDNS and has been cleared by OCC. It must also be cleared by the COS or higher before providing to DHS for their clearance. We request your principal's review and clearance by COB Thursday.

Thank you,
Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
(c) 202-489-8802

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From: Fleet, Andrea B
To: Stanley, Kathleen M; Schwartz, Mark A; Jones, Keith A; Wittman, Gregory J; Black, Diane E; Moore, Joseph D; Reilly, Richard M; Davis, Alecia A; DeStefano, Ernest; Anderson, Erik C; Becker, Cheryl L
Cc: USCIS MGT Tasks; Renaud, Tracy L; Kerns, Kevin J
Subject: FW: ***URGENT*** Transition RFI Due Noon Today
Date: Tuesday, December 13, 2016 9:29:59 AM
Importance: High

URGENT PRESIDENTIAL TRANSITION REQUEST – DUE NOON TODAY; NO EXTENSIONS

From: USCIS Presidential Transition
Sent: Tuesday, December 13, 2016 9:18 AM
To: USCIS MGT Tasks; Stanley, Kathleen M; Kerns, Kevin J; Collins, Anissa A; Clark, Levita S; Hawkins, Donald K; OP&S Presidential Transition; Vanison, Denise; FDNSExecSec; Emrich, Matthew D; Davidson, Andrew J; Melero, Mariela; Rogers, Debra A; Simeon, David G; Schwartz, Mark A
Cc: Renaud, Tracy L
Subject: ***URGENT*** Transition RFI Due Noon Today
Importance: High

Good morning,

We have our first information request from the president-elect's transition landing team. There is an extremely fast turnaround on these requests (apologies!)—it is **due at noon today** to allow time for the front office to clear today and to get it back to DHS today. Therefore, no extensions may be granted and it is imperative that you respond timely.

This is what is being requested:



(b)(5)

Thank you very much for all your help with this and if there are any questions, I can be reached at the numbers below.

Julie Farnam
Senior Advisor
Field Operations Directorate

U.S. Citizenship and Immigration Services

(d) 202-282-8277

(c) 202-489-8802

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From: Renaud, Tracy L
To: USCIS Presidential Transition
Subject: FW: ***URGENT*** Transition RFI Due Noon Today
Date: Tuesday, December 13, 2016 7:06:00 PM
Attachments: [image005.png](#)
[Information Request from Presidential Transition Team \(OTC 12-13-2016 rev.docx\)](#)
[image001.png](#)
[image002.png](#)

Updated document

Tracy L. Renaud
Associate Director
Management Directorate
US Citizenship & Immigration Services
Department of Homeland Security
202-272-1739 (desk)

From: Reilly, Richard M
Sent: Tuesday, December 13, 2016 7:02 PM
To: Fleet, Andrea B; Kerns, Kevin J; Renaud, Tracy L
Cc: USCIS MGT Tasks; Stanley, Kathleen M; Moore, Joseph D; Fredericks, Christopher; White, Jacquelyn D; Soloweigh, Todd L; Nasir, Syed A
Subject: RE: ***URGENT*** Transition RFI Due Noon Today

Tracy/Kevin/Andrea – Attached is the updated OTC submission.

Please let us know if you need anything else.

Thanks!
Rich

From: Fleet, Andrea B
Sent: Tuesday, December 13, 2016 5:40 PM
To: Stanley, Kathleen M; Reilly, Richard M
Cc: Kerns, Kevin J; Renaud, Tracy L; USCIS MGT Tasks
Subject: RE: ***URGENT*** Transition RFI Due Noon Today

Kath – Once completed, please forward this to Rich (OCFO) for review. Rich please forward the submission to Kevin who will get it Julie at USCIS Presidential Transition uscispresidentialtransition@uscis.dhs.gov.

I appreciate everyone's diligence to get this done today.

Andrea

From: Stanley, Kathleen M
Sent: Tuesday, December 13, 2016 5:28 PM
To: Fleet, Andrea B
Cc: Kerns, Kevin J
Subject: RE: ***URGENT*** Transition RFI Due Noon Today

Yes,

The last table he needs, I only have in picture format and the footnote is blurry.

The member of my team will not be at home until 5:45 pm.

She has the request!

Kath

Kathleen "Kath" Stanley
Chief, Office Transformation Coordination
U.S. Citizenship and Immigration Services
202-272-9401

From: Fleet, Andrea B
Sent: Tuesday, December 13, 2016 5:04 PM
To: Stanley, Kathleen M
Cc: Kerns, Kevin J
Subject: FW: ***URGENT*** Transition RFI Due Noon Today

Kath – Rich mentioned you were going to forward the updated tables, correct?

From: Reilly, Richard M
Sent: Tuesday, December 13, 2016 4:23 PM
To: Fleet, Andrea B
Cc: Davis, Alecia A; Moore, Joseph D; Fredericks, Christopher
Subject: RE: ***URGENT*** Transition RFI Due Noon Today

Andrea – the OTC charts are pictures so I couldn't change them. I talked to Kath and she is going to make the changes and send an updated version to me. I will send it to you as soon as I receive it.

Rich

From: Fleet, Andrea B
Sent: Tuesday, December 13, 2016 3:57 PM
To: Reilly, Richard M
Cc: Davis, Alecia A; Moore, Joseph D; Fredericks, Christopher
Subject: FW: ***URGENT*** Transition RFI Due Noon Today

Rich – Would you mind making the necessary changes and reforwarding us a clean copy please? Thanks.

From: Renaud, Tracy L
Sent: Tuesday, December 13, 2016 3:53 PM
To: Fleet, Andrea B; Kerns, Kevin J
Subject: RE: ***URGENT*** Transition RFI Due Noon Today

I agree with OCFO's recommendations.

*Tracy L. Renaud
Associate Director
Management Directorate
US Citizenship & Immigration Services
Department of Homeland Security
202-272-1739 (desk)*

From: Fleet, Andrea B
Sent: Tuesday, December 13, 2016 3:47 PM
To: Renaud, Tracy L; Kerns, Kevin J
Subject: FW: ***URGENT*** Transition RFI Due Noon Today

Tracy – CFO has questions, please advise.

From: Fleet, Andrea B
Sent: Tuesday, December 13, 2016 2:00 PM
To: Renaud, Tracy L; Kerns, Kevin J
Cc: USCIS MGT Tasks
Subject: FW: ***URGENT*** Transition RFI Due Noon Today

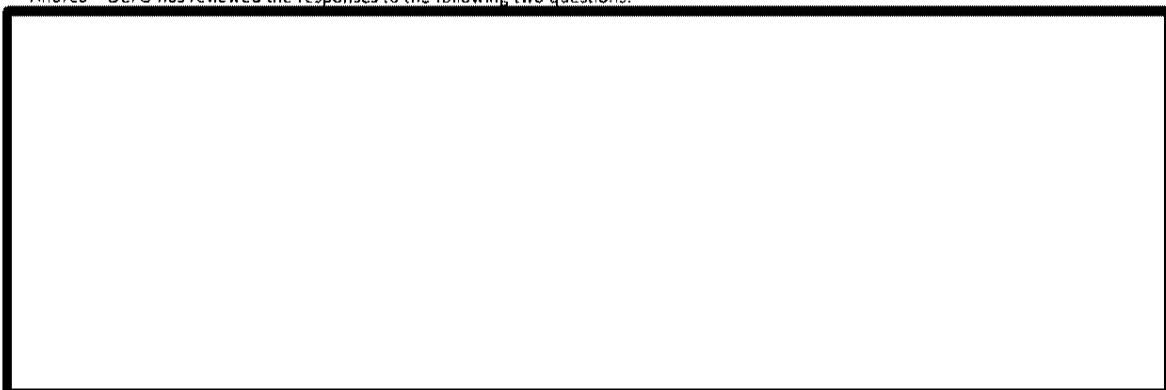
Tracy - OCFO has the following questions below concerning OTC's response. Please advise as to how you would like OCFO to proceed. BTW, I am attending training from 2-4. Thanks,

Andrea

From: Reilly, Richard M
Sent: Tuesday, December 13, 2016 1:56 PM
To: Fleet, Andrea B; USCIS MGT Tasks
Cc: Fredericks, Christopher; White, Jacquelyn D; Soloweigh, Todd L; Nasir, Syed A; Cristiani, Juan L; Moore, Joseph D
Subject: FW: ***URGENT*** Transition RFI Due Noon Today

Andrea – OCFO has reviewed the responses to the following two questions:

(b)(5)



(b)(5)



Let us know if you have questions. Also, please let us know if you want us to coordinate the changes with OTC.

Thanks!
Rich

From: Fleet, Andrea B
Sent: Tuesday, December 13, 2016 1:40 PM
To: Davis, Alecia A; Moore, Joseph D; Reilly, Richard M
Cc: USCIS MGT Tasks
Subject: FW: ***URGENT*** Transition RFI Due Noon Today

OCFO – I am heading to a training session shortly. Please forward your response to the MGT task box who will obtain Tracy and Kevin's clearance before forwarding to the Presidential Transition clearance box.

Thanks again for your quick turnaround on this.

Anrea

From: Stanley, Kathleen M
Sent: Tuesday, December 13, 2016 11:52 AM
To: Fleet, Andrea B; Schwartz, Mark A; Jones, Keith A; Wittman, Gregory J; Black, Diane E; Moore, Joseph D; Reilly, Richard M; Davis, Alecia A; DeStefano, Ernest; Anderson, Erik C; Becker, Cheryl L
Cc: USCIS MGT Tasks; Renaud, Tracy L; Kerns, Kevin J; Tran, Ramona L; Clark, Levita S; Perryman, Janet J; Van Demark, Henry
Subject: RE: ***URGENT*** Transition RFI Due Noon Today

Andréa,

Attached is OTC's input. I have also attached a spreadsheet that provides more detail for the cost data.

Ramona Tran is our lead in pulling this data and I have added her to facilitate answering any questions.

Kath

Kathleen "Kath" Stanley
Chief, Office Transformation Coordination
U.S. Citizenship and Immigration Services
202-272-9401

From: Fleet, Andrea B
Sent: Tuesday, December 13, 2016 9:30 AM

To: Stanley, Kathleen M; Schwartz, Mark A; Jones, Keith A; Wittman, Gregory J; Black, Diane E; Moore, Joseph D; Reilly, Richard M; Davis, Alecia A; DeStefano, Ernest; Anderson, Erik C; Becker, Cheryl L
Cc: USCIS MGT Tasks; Renaud, Tracy L; Kerns, Kevin J
Subject: FW: ***URGENT*** Transition RFI Due Noon Today
Importance: High

URGENT PRESIDENTIAL TRANSITION REQUEST -- DUE NOON TODAY; NO EXTENSIONS

From: USCIS Presidential Transition
Sent: Tuesday, December 13, 2016 9:18 AM
To: USCIS MGT Tasks; Stanley, Kathleen M; Kerns, Kevin J; Collins, Anissa A; Clark, Levita S; Hawkins, Donald K; OP&S Presidential Transition; Vanison, Denise; FDNSExecSec; Emrich, Matthew D; Davidson, Andrew J; Melero, Mariela; Rogers, Debra A; Simeon, David G; Schwartz, Mark A
Cc: Renaud, Tracy L
Subject: ***URGENT*** Transition RFI Due Noon Today
Importance: High

Good morning,

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This is what is being requested:



Thank you very much for all your help with this and if there are any questions, I can be reached at the numbers below.

Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-282-8277
(c) 202-489-8802

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(b)(5)

Washington, DC 20529
(202) 272-1857
Andrea.B.Fleet@uscis.dhs.gov

From: USCIS Presidential Transition
Sent: Tuesday, December 13, 2016 9:18 AM
To: USCIS MGT Tasks; Stanley, Kathleen M; Kerns, Kevin J; Collins, Anissa A; Clark, Levita S; Hawkins, Donald K; OP&S Presidential Transition; Vanison, Denise; FDNSExecSec; Emrich, Matthew D; Davidson, Andrew J; Melero, Mariela; Rogers, Debra A; Simeon, David G; Schwartz, Mark A
Cc: Renaud, Tracy L
Subject: ***URGENT*** Transition RFI Due Noon Today
Importance: High

Good morning,

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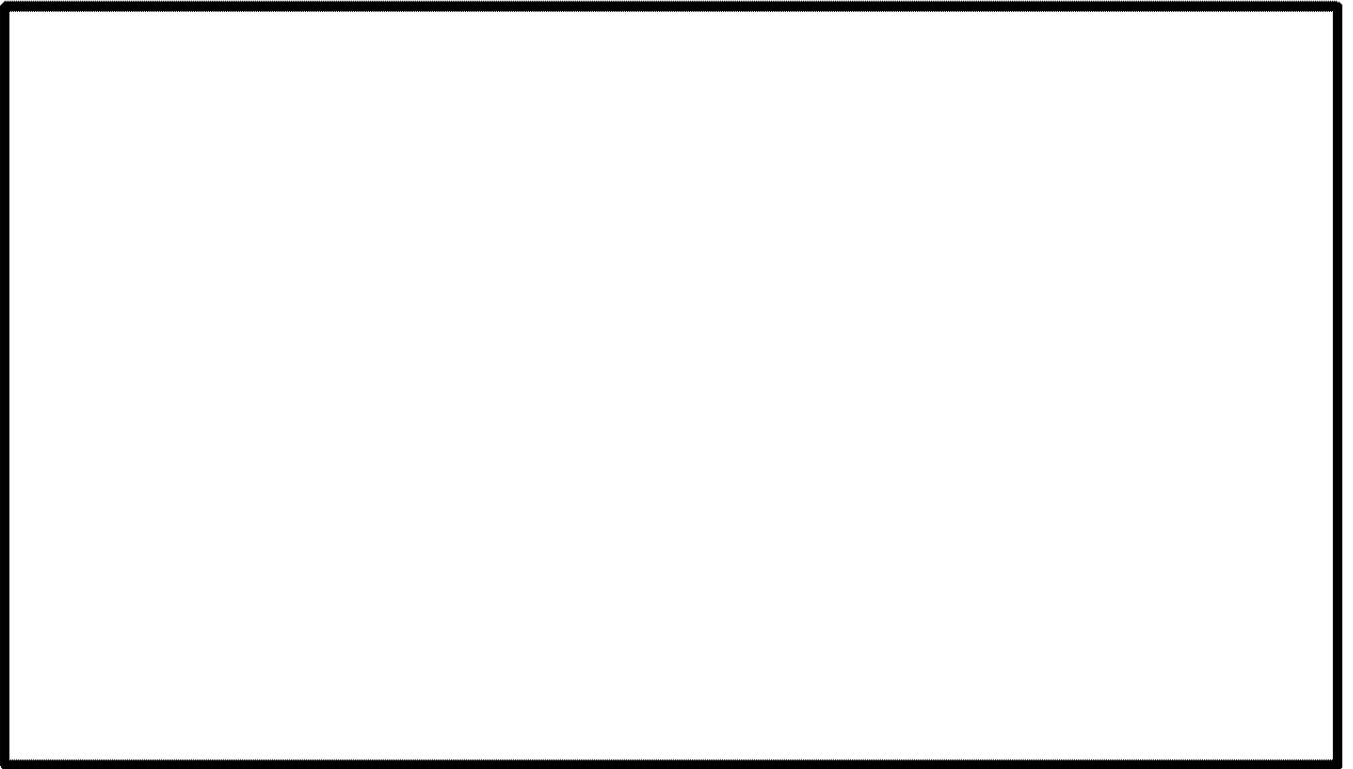
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Thank you very much for all your help with this and if there are any questions, I can be reached at the numbers below.

Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-282-8277
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From: Fleet, Andrea B
To: Renaud, Tracy L; Kerns, Kevin J
Subject: FW: ELIS Cost Analysis
Date: Tuesday, December 13, 2016 12:44:43 PM

How's this?

From: Becker, Cheryl L
Sent: Tuesday, December 13, 2016 12:43 PM
To: Fleet, Andrea B
Cc: Anderson, Erik C
Subject: RE: ELIS Cost Analysis

(b)(5)



From: Fleet, Andrea B
Sent: Tuesday, December 13, 2016 12:21 PM
To: Becker, Cheryl L
Cc: Anderson, Erik C
Subject: FW: ELIS Cost Analysis

Tracy was looking for an explanation similar to below.

(b)(5)



From: Becker, Cheryl L

From: Moore, Joseph D
To: Kerns, Kevin J; Renaud, Tracy L
Subject: FW: FY 2017 Reprogramming Notification
Date: Tuesday, December 13, 2016 5:01:12 PM
Attachments: DHS_Sec_503 - USCIS FY17 Notification v4.docx

FYI

Joseph Moore
Chief Financial Officer
U.S. Citizenship and Immigration Services
Department of Homeland Security
Joseph.moore@uscis.dhs.gov
(p) 202.272.1701

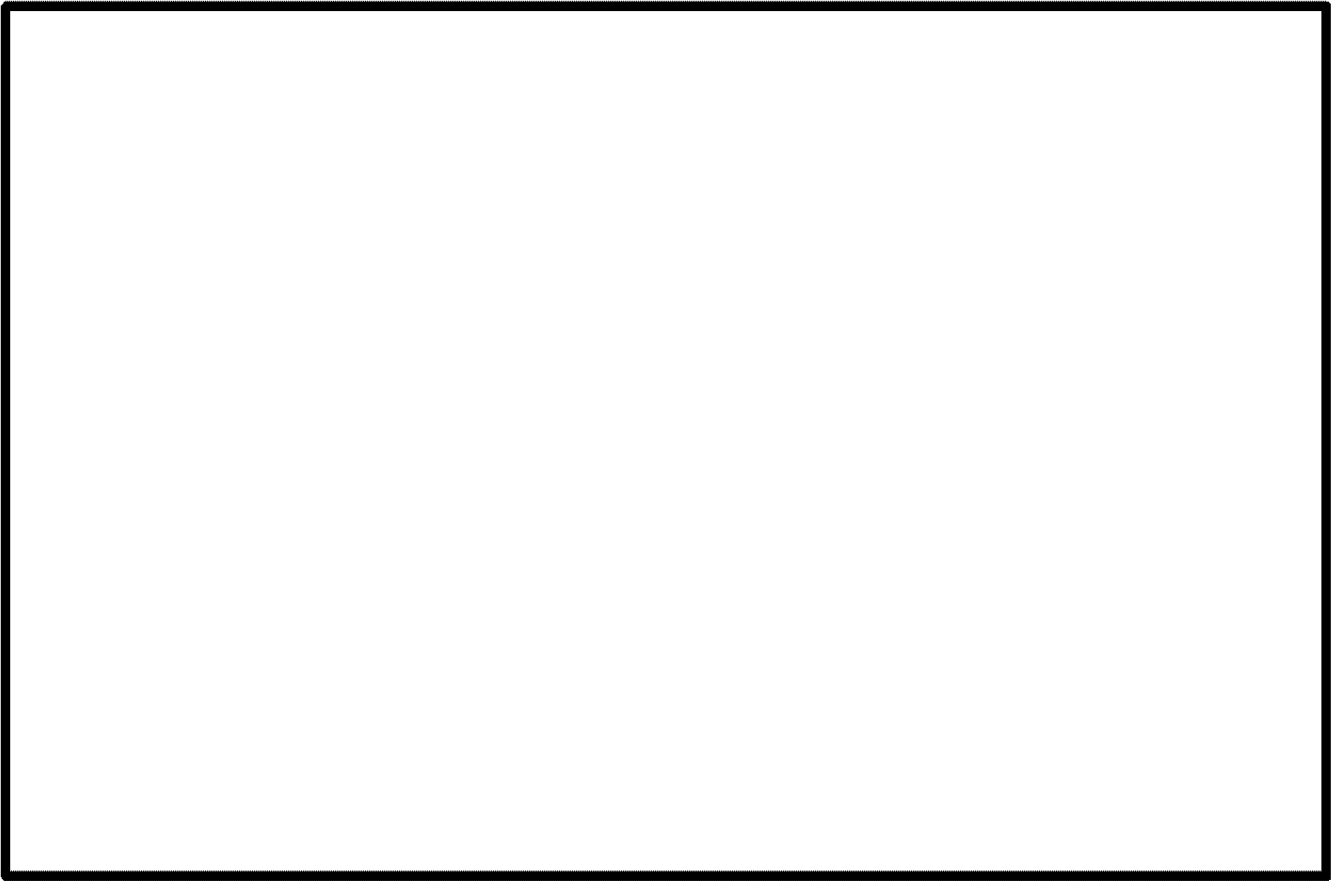
From: White, Jacquelyn D
Sent: Tuesday, December 13, 2016 4:52 PM
To: Blume, Allen
Cc: Burns, Gary; Dorritie, Erin; Nugent, Akeem; Moore, Joseph D; Reilly, Richard M; Soloweigh, Todd L; Nasir, Syed A; DHS Budget Coordination
Subject: FY 2017 Reprogramming Notification

(b)(5)

Allen,

Best Regards,
Jacquelyn D. White, Deputy Chief
Budget & Planning Division
Office of the Chief Financial Officer
US Citizenship and Immigration Services
Dept. of Homeland Security
(w) 202-272-0939
(bb) 202-308-1067

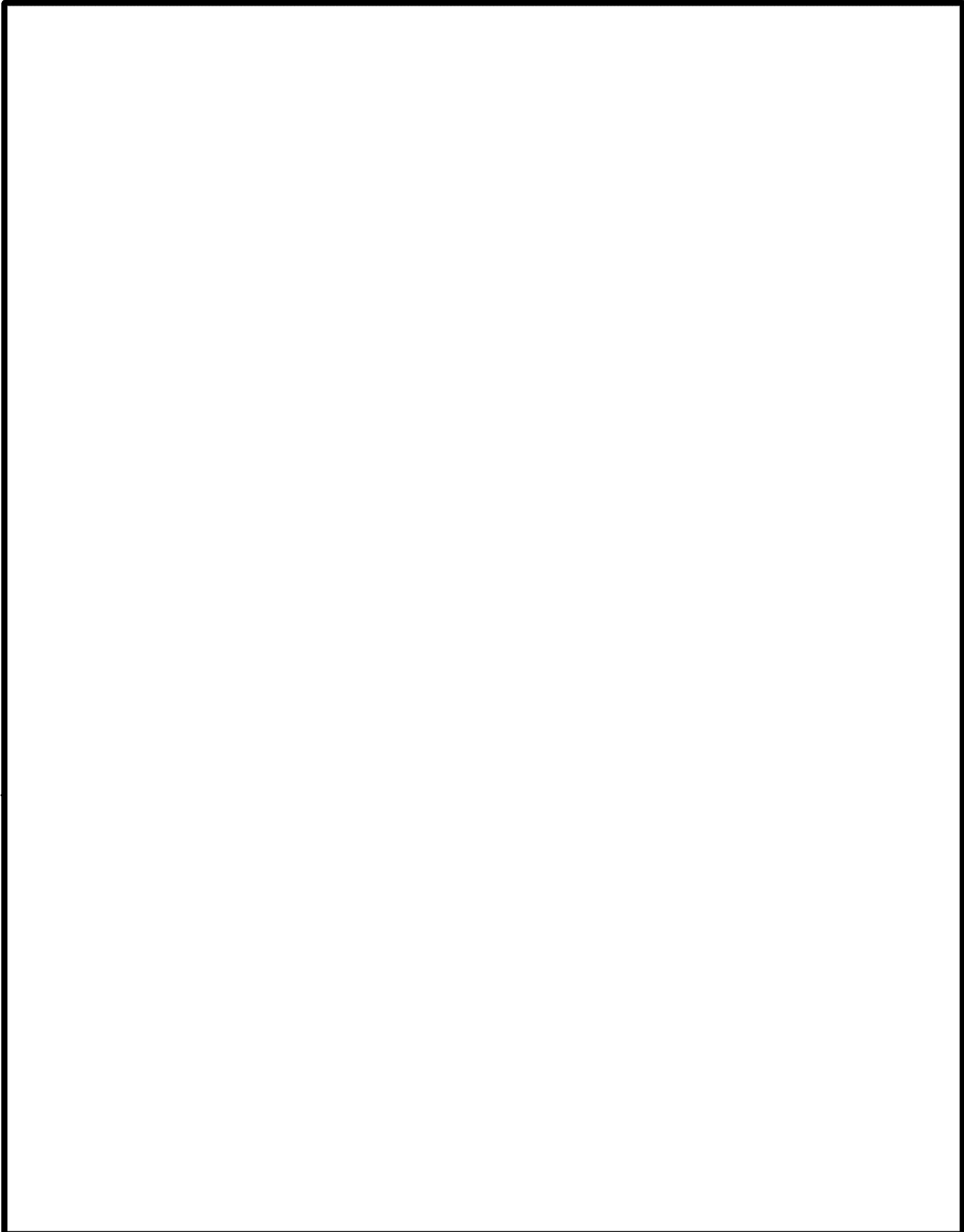
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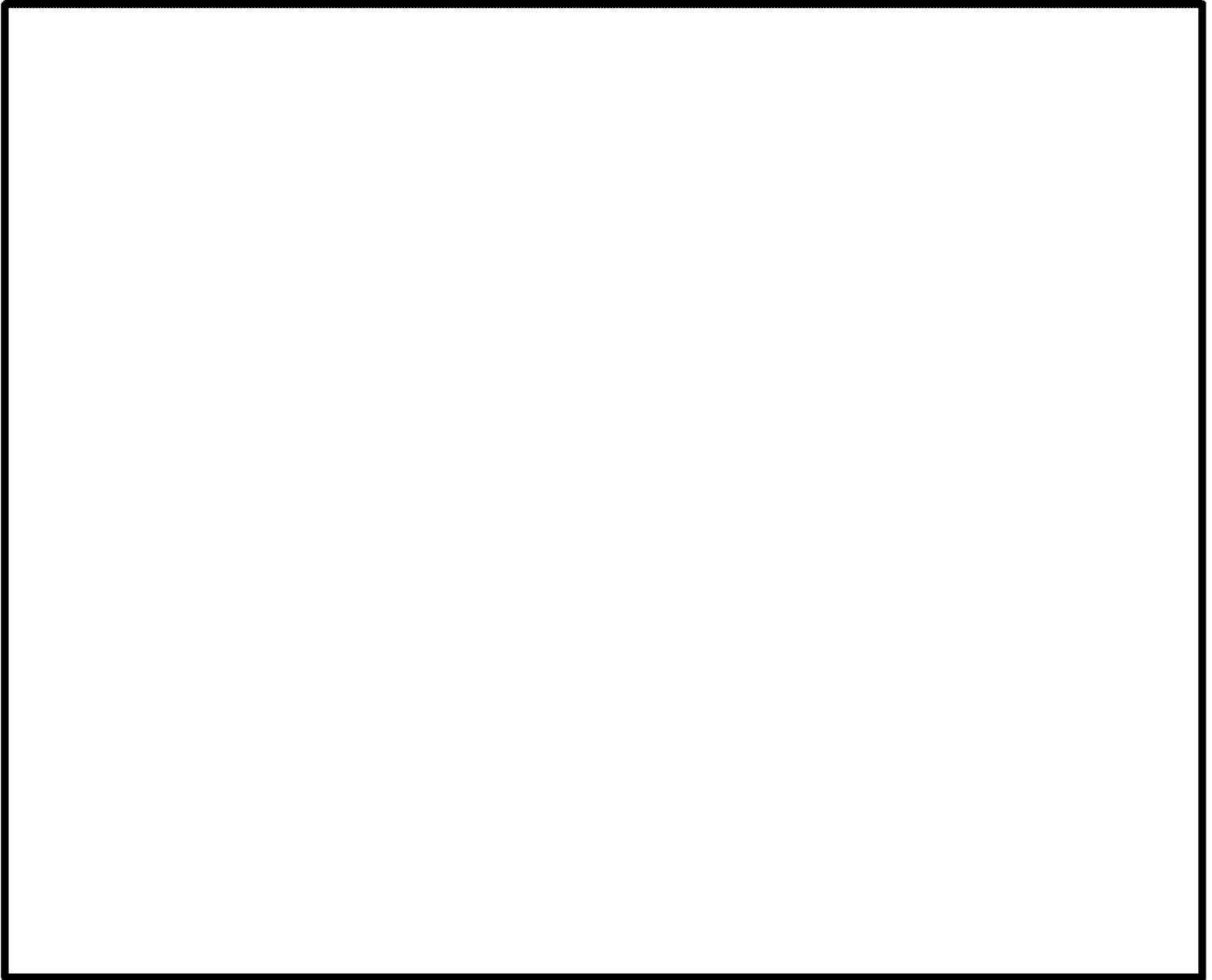
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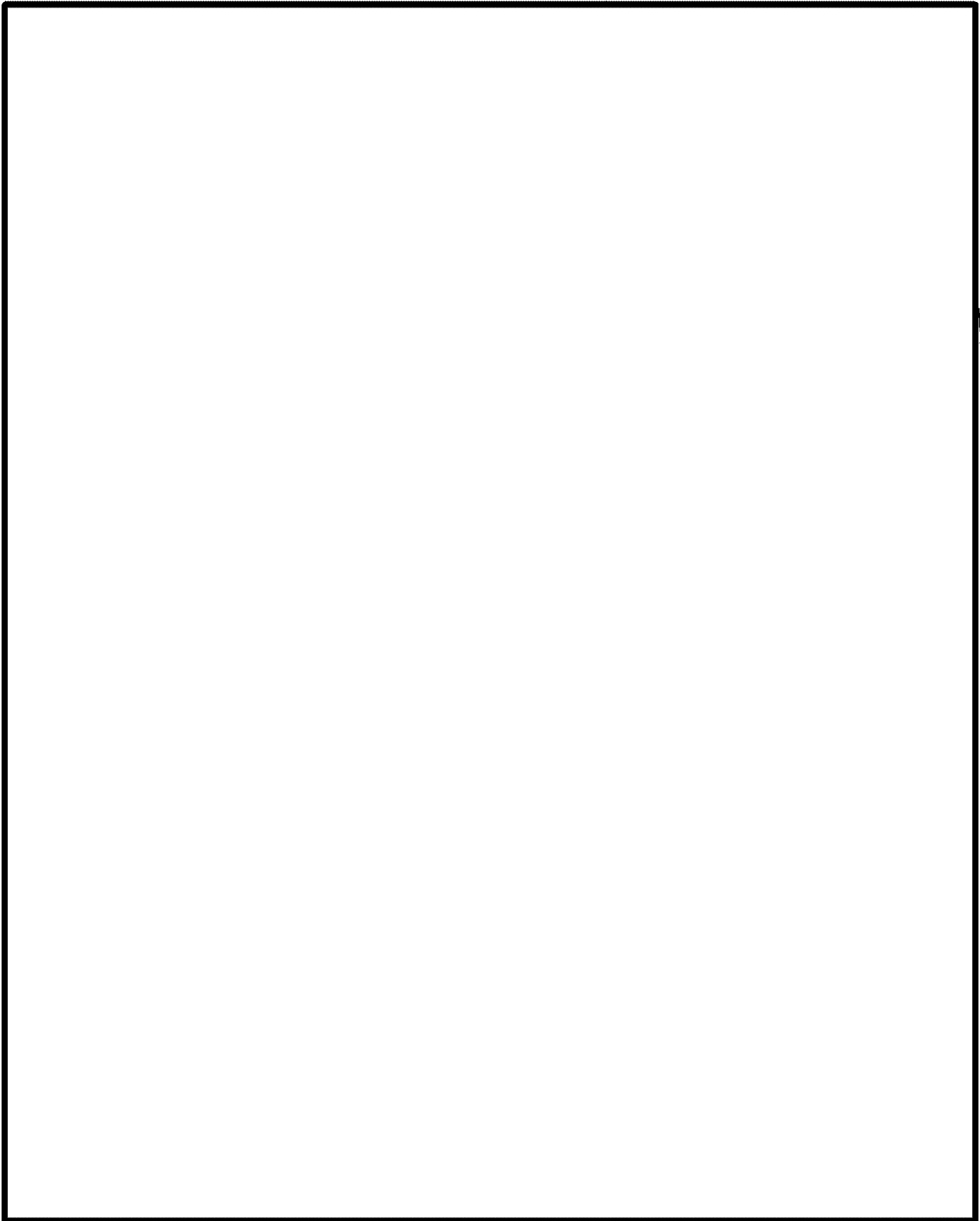
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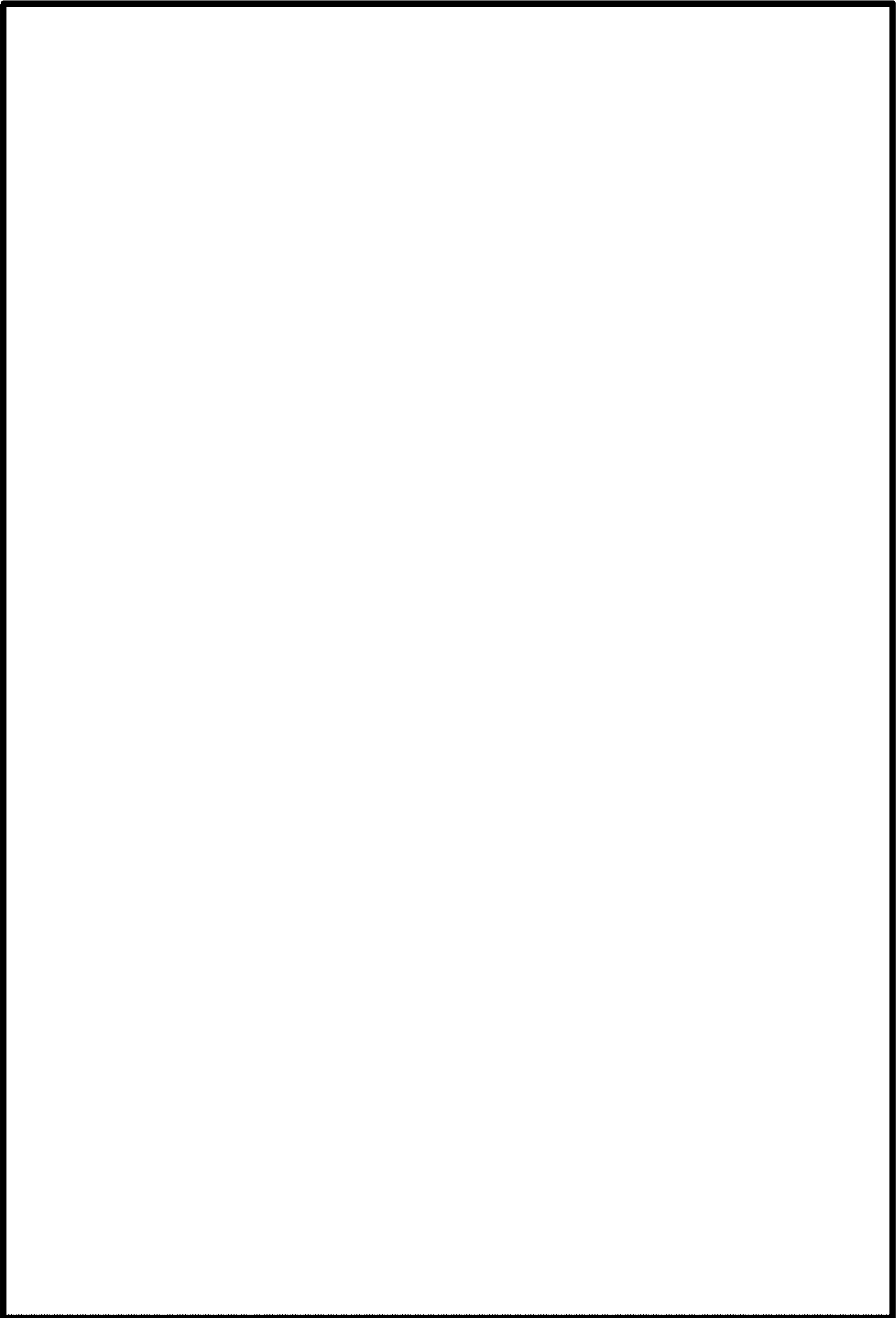


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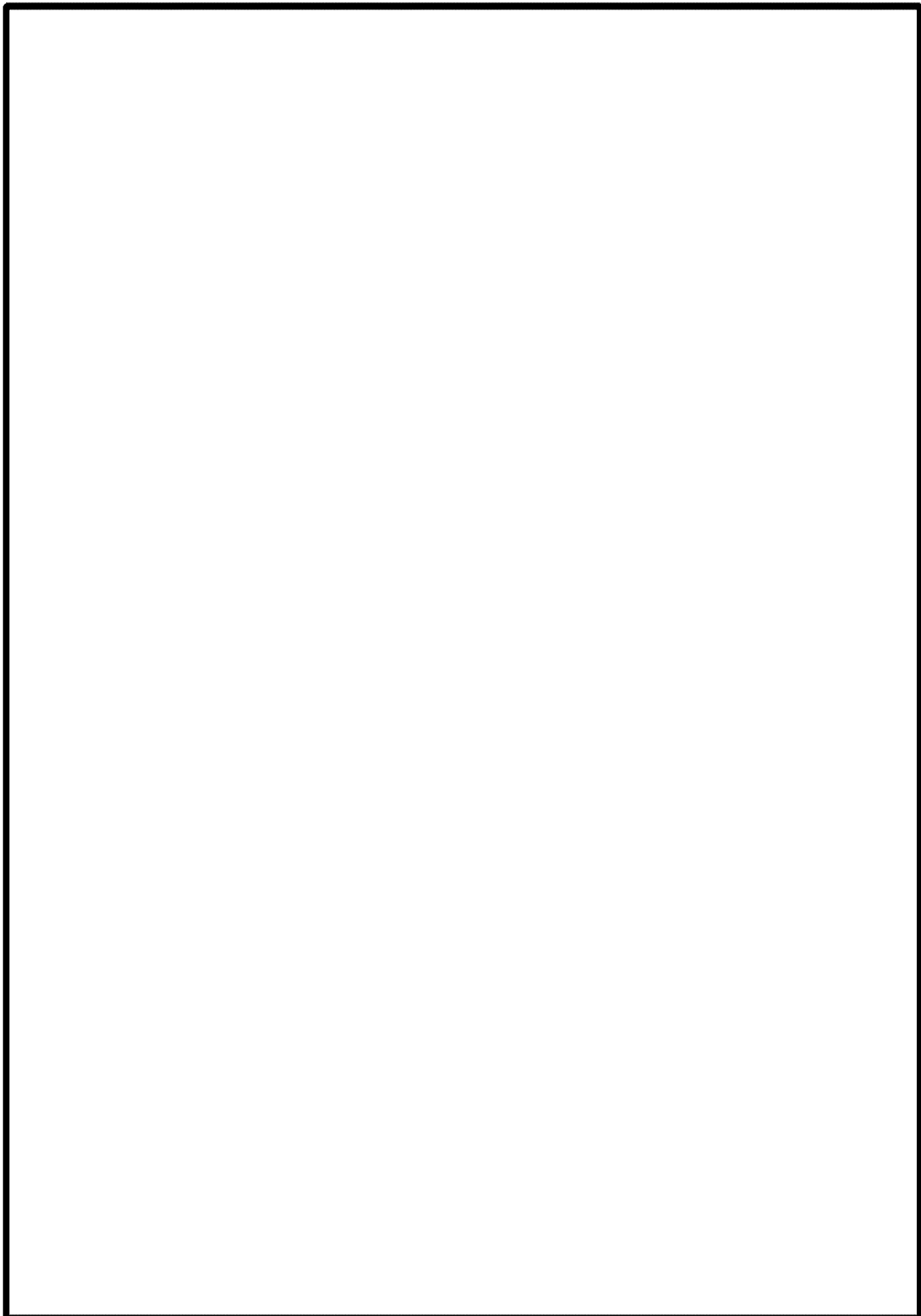


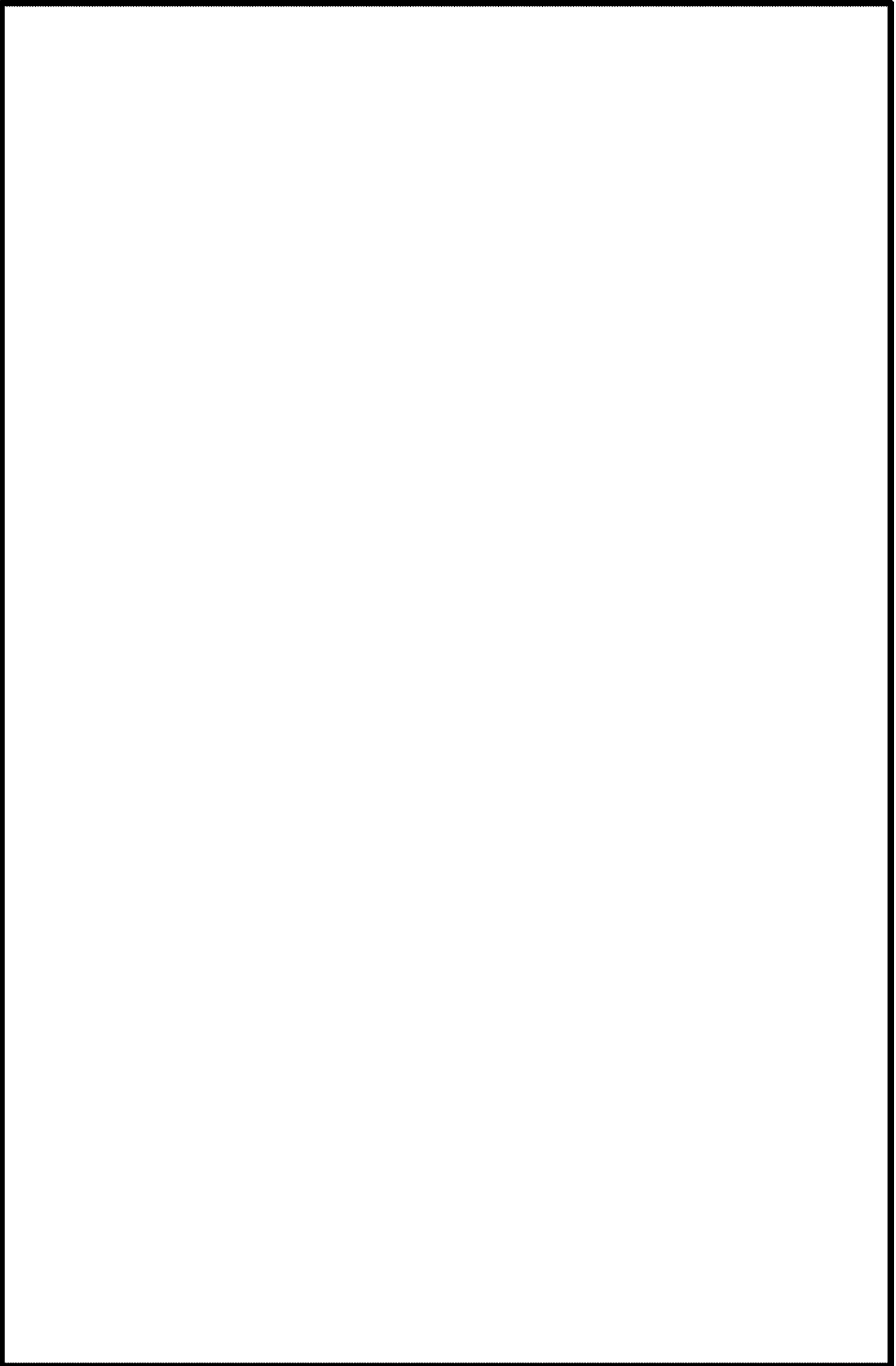
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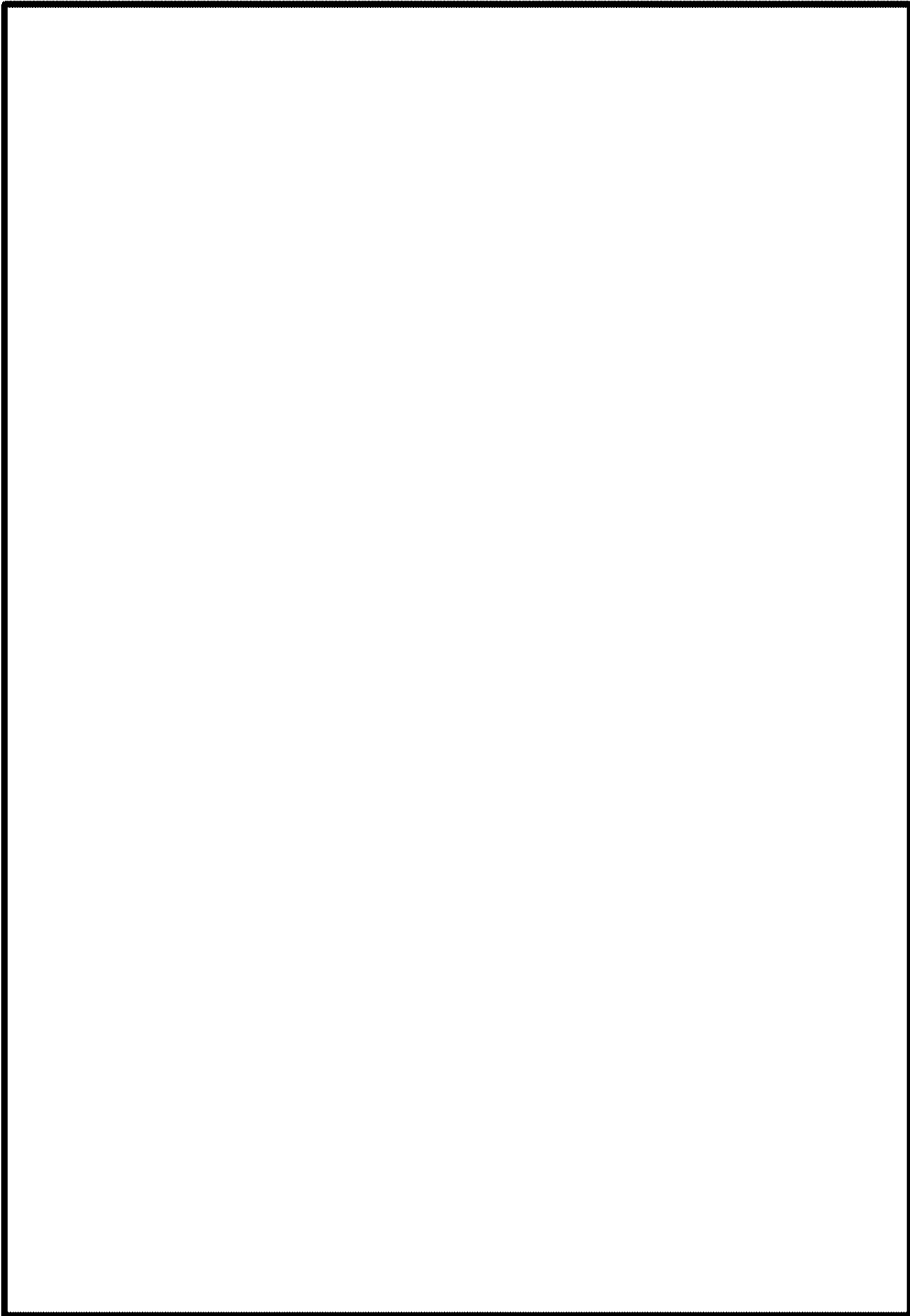


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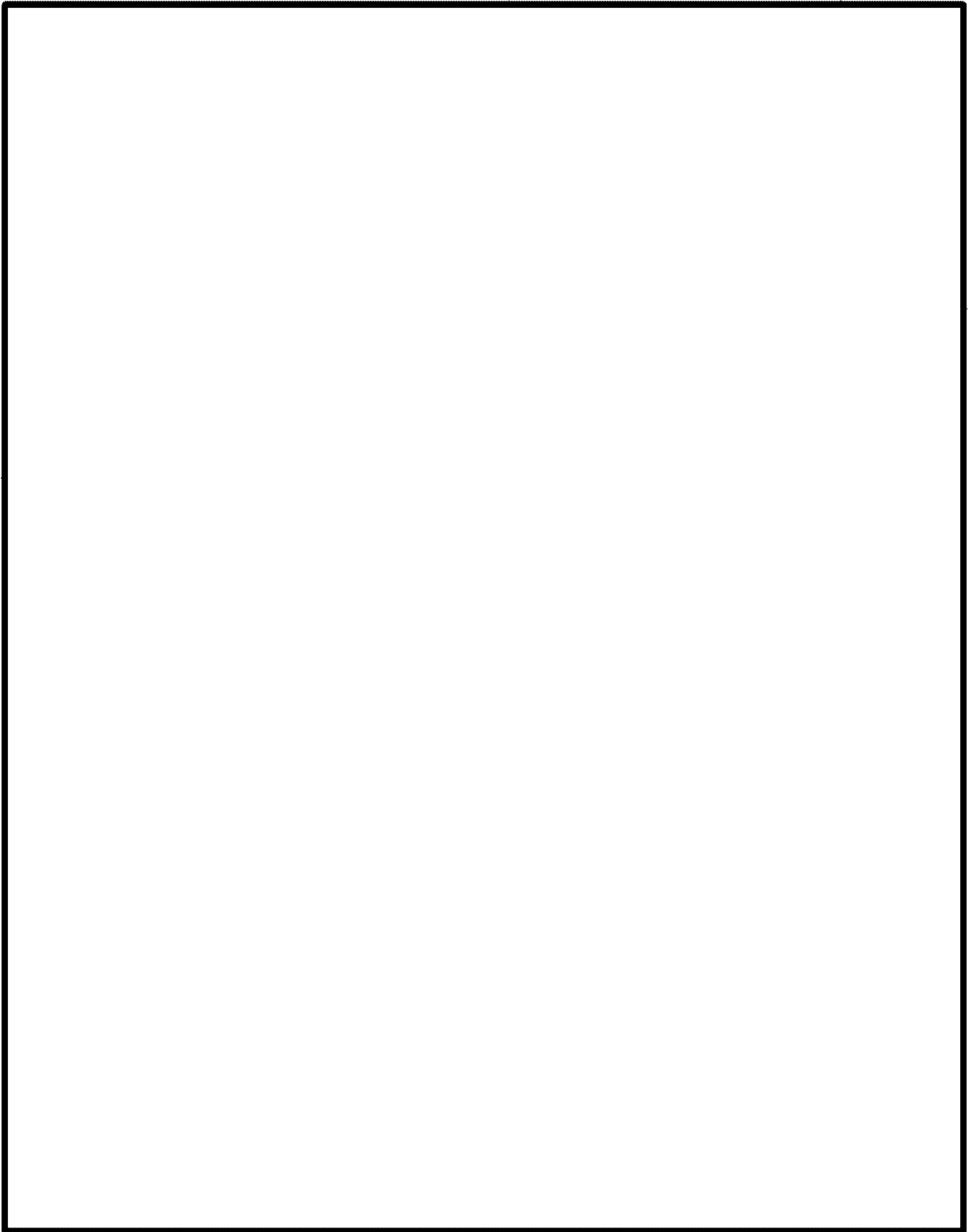




(b)(5)



(b)(5)



From: [Hoefler, Michael D](#)
To: [Renaud, Tracy L](#); [Kerns, Kevin J](#)
Cc: [Frederick, Precious A](#)
Subject: OPQ Immigration Statistics Transitional Paper .
Date: Tuesday, December 13, 2016 1:46:44 PM
Attachments: [USCIS Immigration Statistics and Trends Final.docx](#)
[Presidential Transition Trends and Statistics Appendix Charts.pptx](#)

Tracy,

Here is an electronic copy of the transition paper we did in the summer. I do have an updated version with data as of September 2016 which I will send you as soon as possible. I just reviewed the latest version and some corrections are needed.

Mike

Michael Hoefler
Chief, Office of Performance and Quality
U.S. Citizenship and Immigration Services

202 272-1258

Michael.D.Hoefler@uscis.dhs.gov

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From: [Heintz, Craig J](#)
To: [Choi, Juliet K](#)
Cc: [Renaud, Tracy L](#); [Hochman, Kathleen T](#); [Griffith, Shane T](#); [Harrison, Denise N](#); [Pidgeon, Lisa M](#); [McEvoy, Lisa A](#); [Martinez, Joseph M](#); [Byers, Troy D](#)
Subject: Political Appointee Out-Briefing
Date: Tuesday, December 13, 2016 2:16:50 PM
Attachments: [FedHR Navigator Log-in March 2016.doc](#)
[flexible-spending-account-overview.pdf](#)
[Benefits for Pol App Separations - Notes.pptx](#)
[FEHB Codes for separating Political Appointees.docx](#)
[Items from Political Appointee Briefing.docx](#)
[TCC Letter Former Employee \(Political Appointees\).doc](#)
[Draft separation letter Track Changes.doc](#)
[USCIS Presidential Appointee Off Board Brief - 122016.docx](#)

Hi Juliet –

Thank you so much for your note last week regarding the presentation. We are delighted that it assisted our leadership team.

Attached is an outline of items from the Political Appointee Transition Briefing with the following attachments:

- List of separating employee FEHB codes
- Copy of the TCC template in the event you would like to issue those to the remaining people who are separating.
 - Lisa Pidgeon provided a TCC template to Director Rodriguez last week.
- FSAFEDS Information

I've also attached the following:

- Agenda from the Meeting
- My edits to Denise's separation letter
- My prepared notes (slides) for the briefing

Please feel contact any of us if you have additional questions.

Craig J. Crespo Heintz

Chief of Staff

USCIS Office of Human Capital and Training

Office Phone: 202-233-2510 | Mobile: 202-631-6325

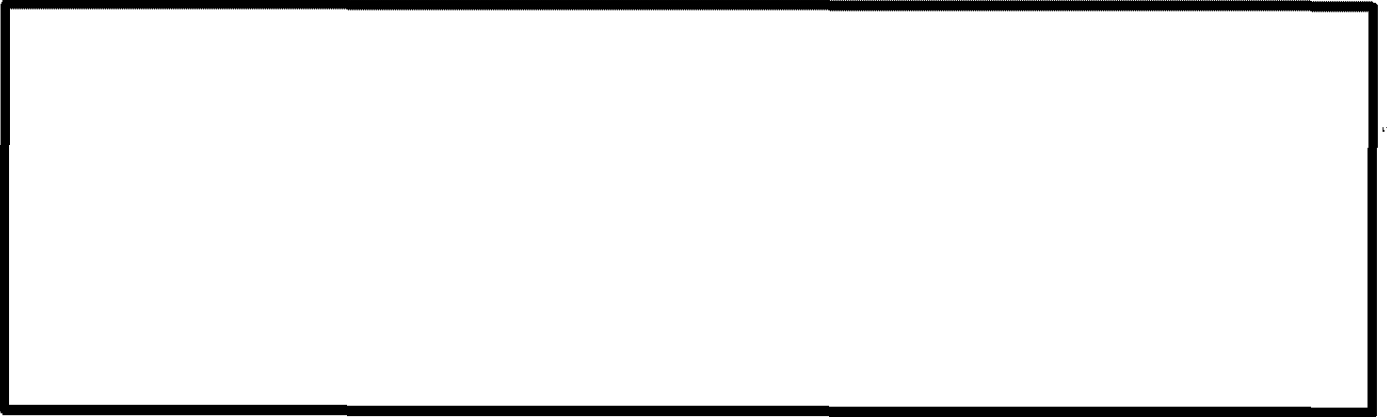
[HCT Connect Page](#) | [HCT Newsletter](#) | [HCT A-Z](#)



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(b)(5)



FLEXIBLE SPENDING ACCOUNTS

More than 360,000 Feds use pre-tax dollars to save an average of **30%** on their family's health care and dependent care expenses.

When your insurance only covers part of an expense, or doesn't cover it at all, you're stuck with the bill. Joining FSAFEDS is like getting a **30% discount** on what you, your spouse, and your eligible children under 26 spend on:

Prescriptions

Deductibles & copayments

Office visits

Lab tests

Ambulance

Transportation (if it's a purely medical trip)

Eyeglasses

Prescription sunglasses

Contact Lenses

Laser eye surgery

Orthodontics

Birth control pills

In vitro fertilization

Massage Therapy

Sunblock

First aid kits

Diabetes testing supplies

Hand sanitizer

Wheelchairs and walkers

And more!

You can also use FSAFEDS pre-tax dollars to save about **30%** on your **family's dependent care expenses**. It's like a 30% discount on:

For your children under age 13:

- Day care
- Summer day camp
- Babysitting
- Before and after school care
- Housekeeper whose duties include child care

Non-medical care for any adult who is mentally or physically incapable of self-care, who you claim as a dependent on your tax return, and who lives with you, such as your:

- Parent, grandparent, or in-law
- Spouse, sibling, or adult child

You file claims by mail, fax, or online. Some insurance plans will file claims automatically for you. FSAFEDS quickly reimburses you for these expenses with pre-tax dollars you've set aside from your pay.

- The annual contribution minimum is \$100 for each kind of FSAFEDS account
- Health care participants have until December 31st to incur eligible expenses and can carry over up to \$500 of unused funds into another health care account in the subsequent year if requirements are met
- Dependent care participants have a grace period of an additional 2 ½ months (January 1 through March 15) to continue to incur eligible expenses against their prior year balance if requirements are met. Dependent care participants cannot carry over funds from one benefit period into another
- You can enroll during the Federal Benefits Open Season and must actively re-enroll each year to remain enrolled

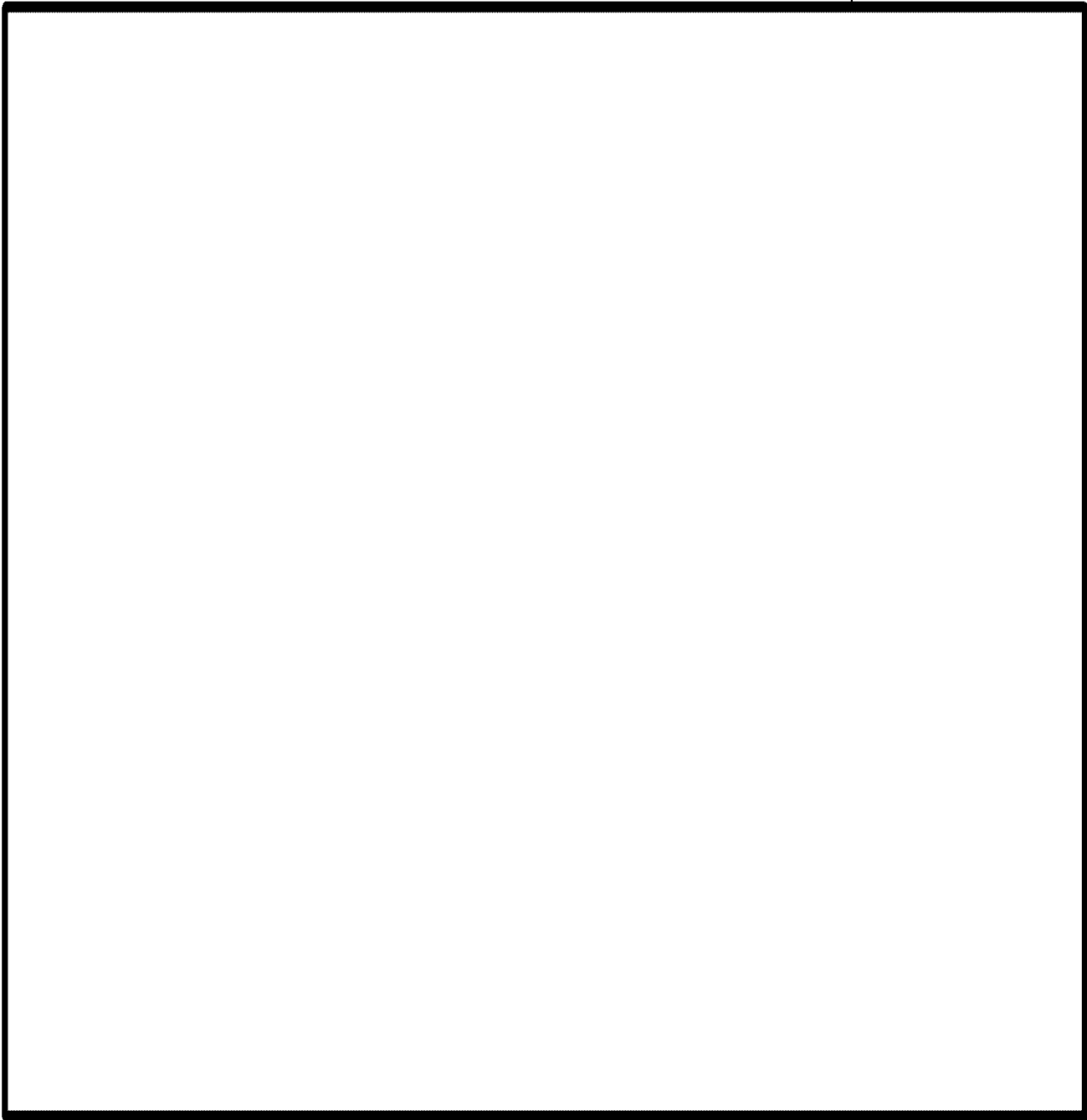
MORE INFO: www.FSAFEDS.com or 1-877-372-3337

For complete information, including terms and conditions, please visit www.FSAFEDS.com.

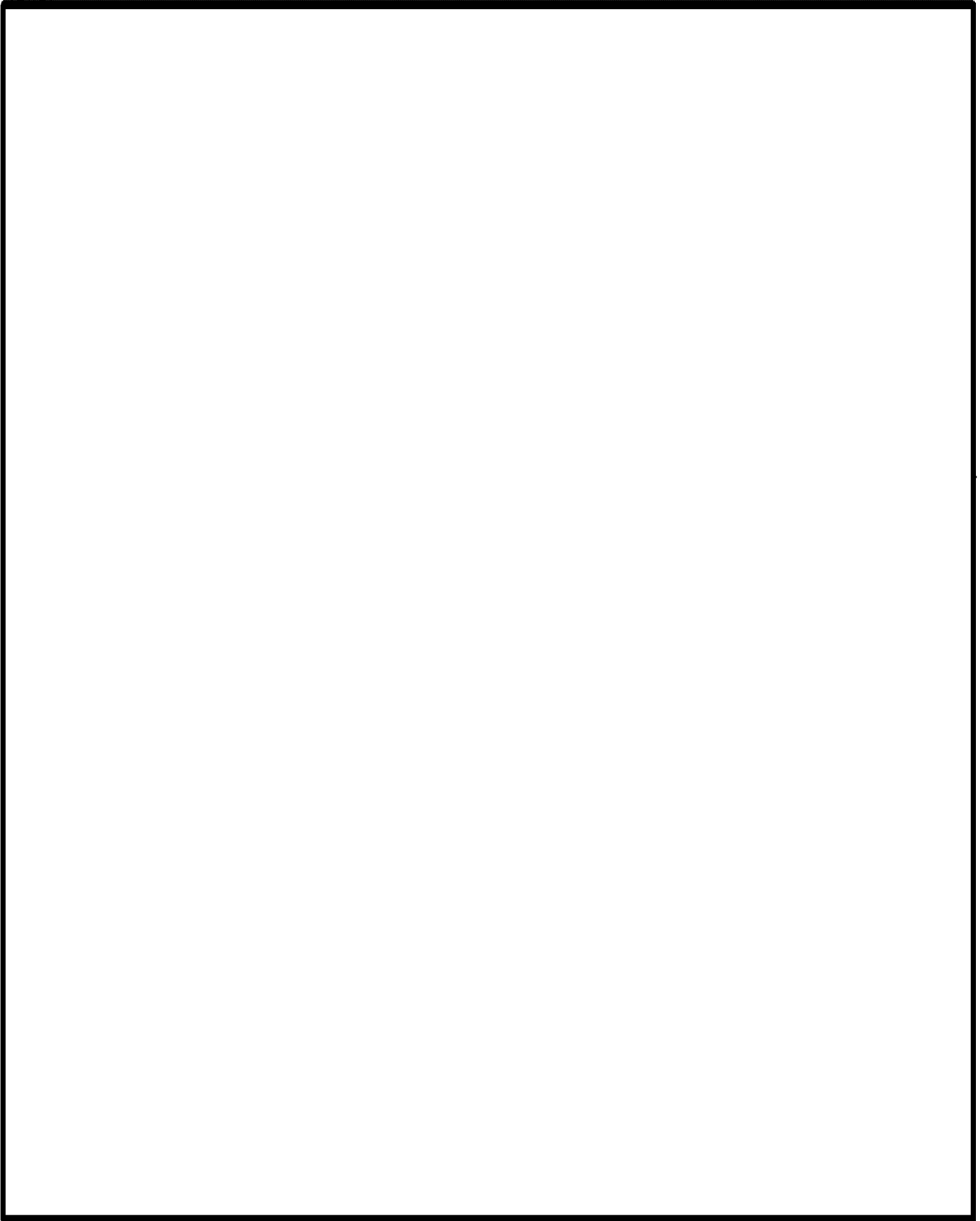


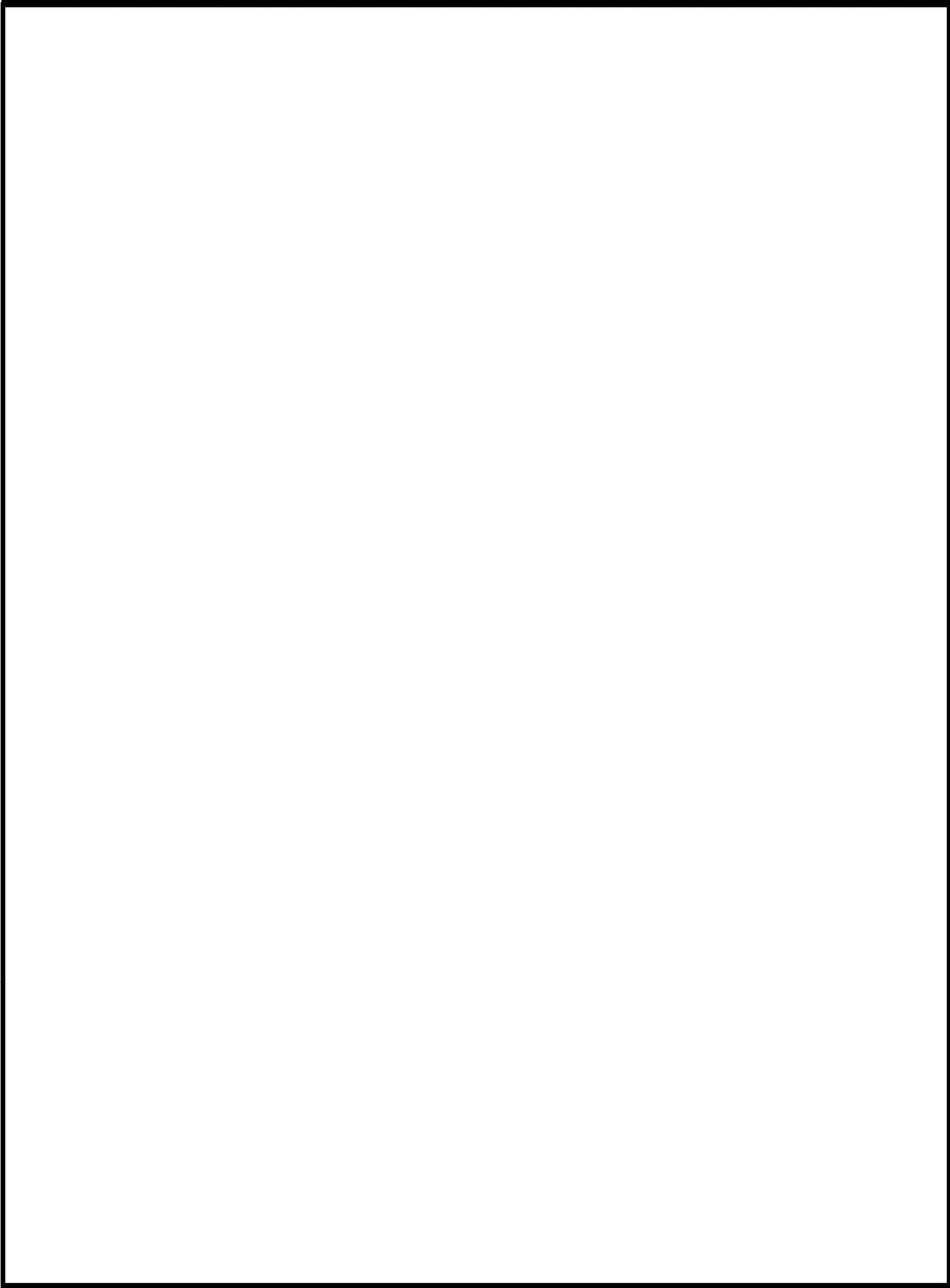
U.S. OFFICE OF PERSONNEL MANAGEMENT

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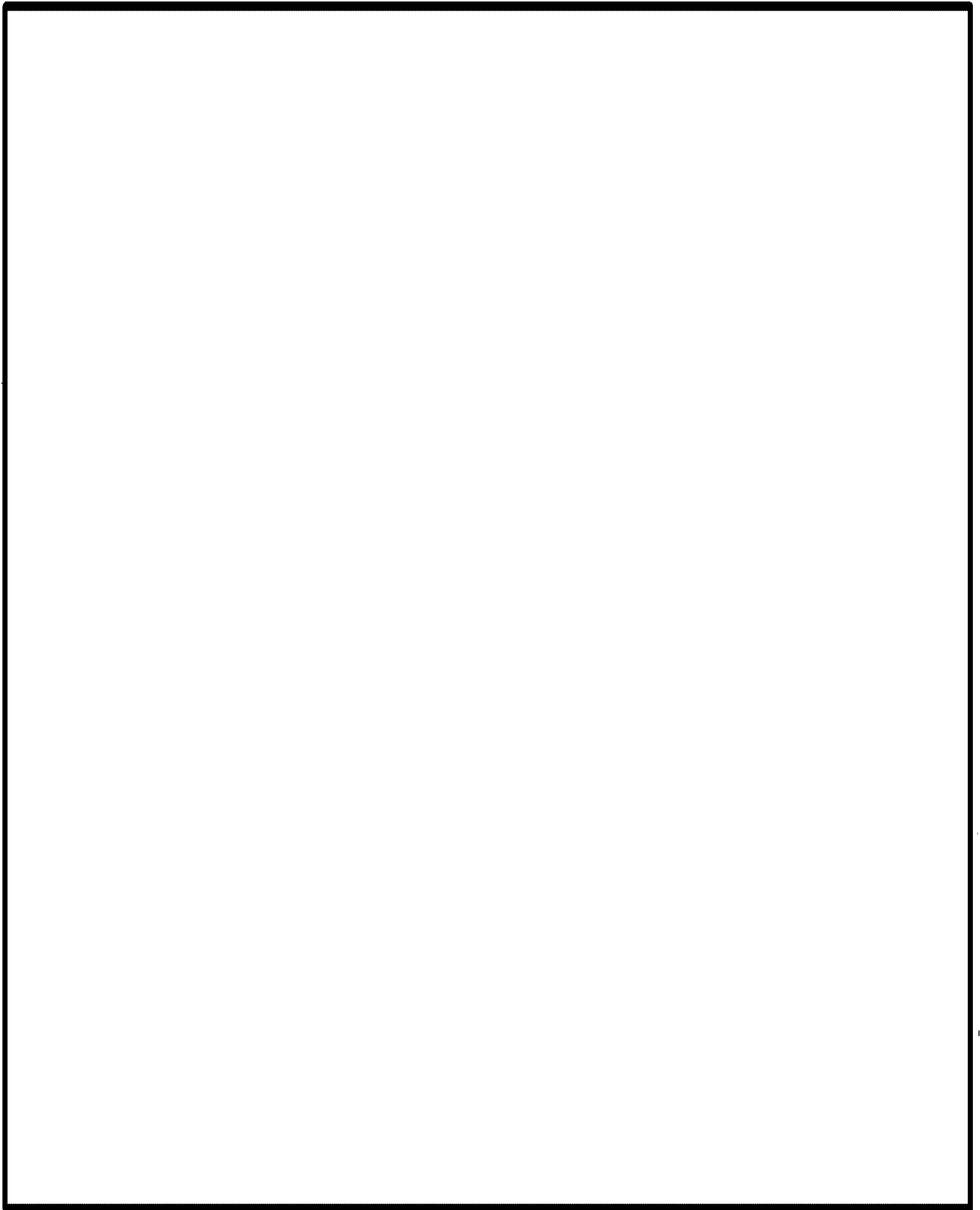




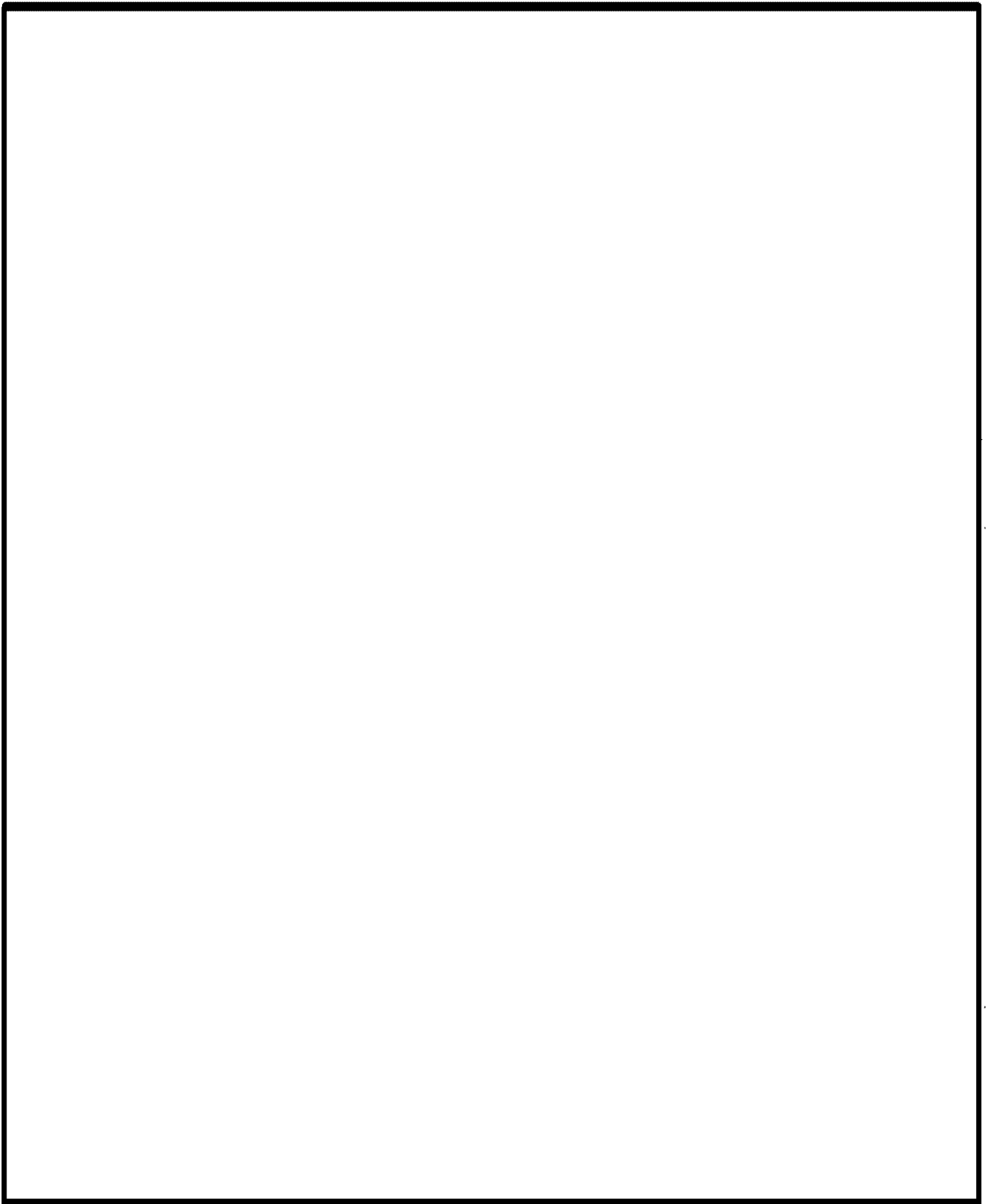
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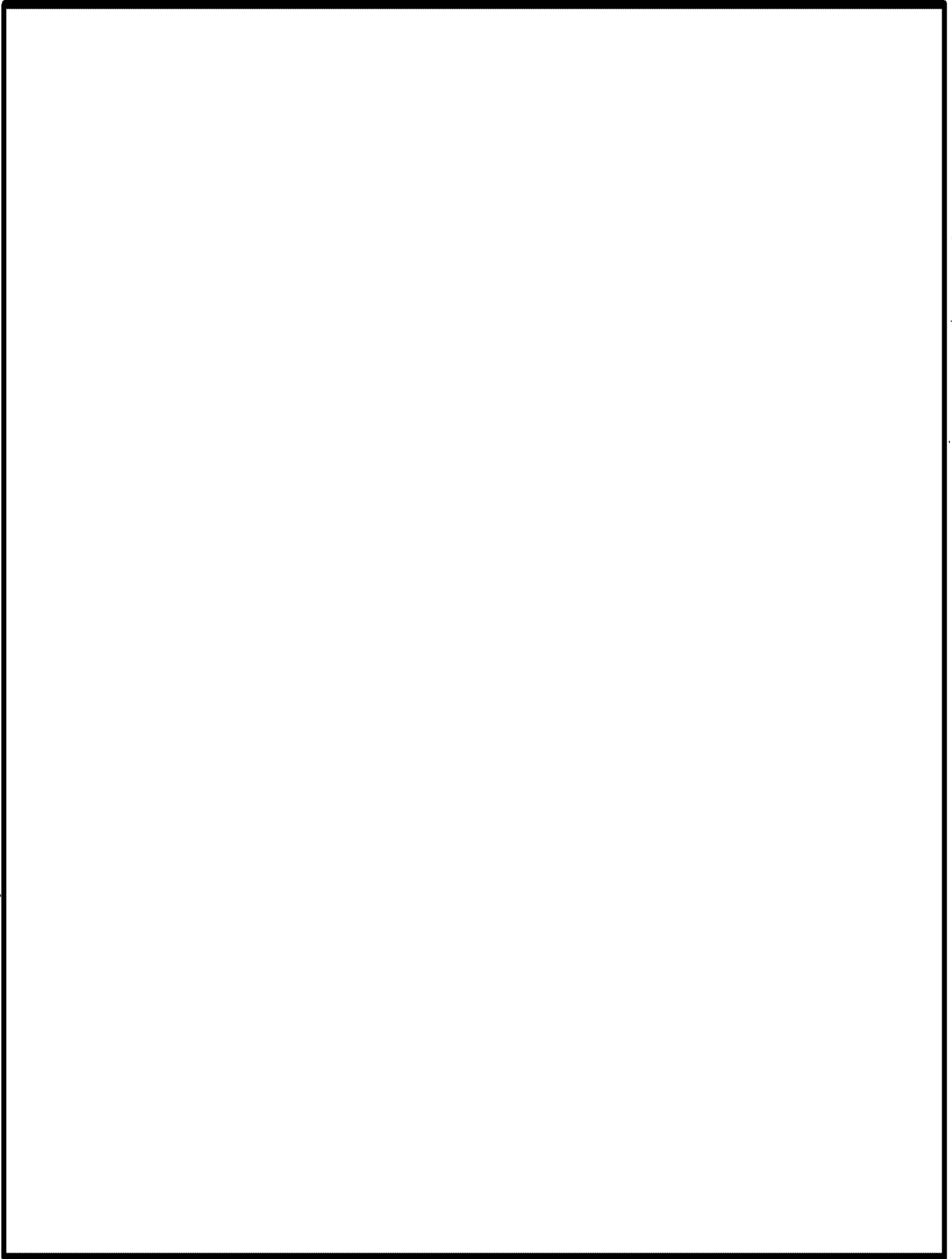
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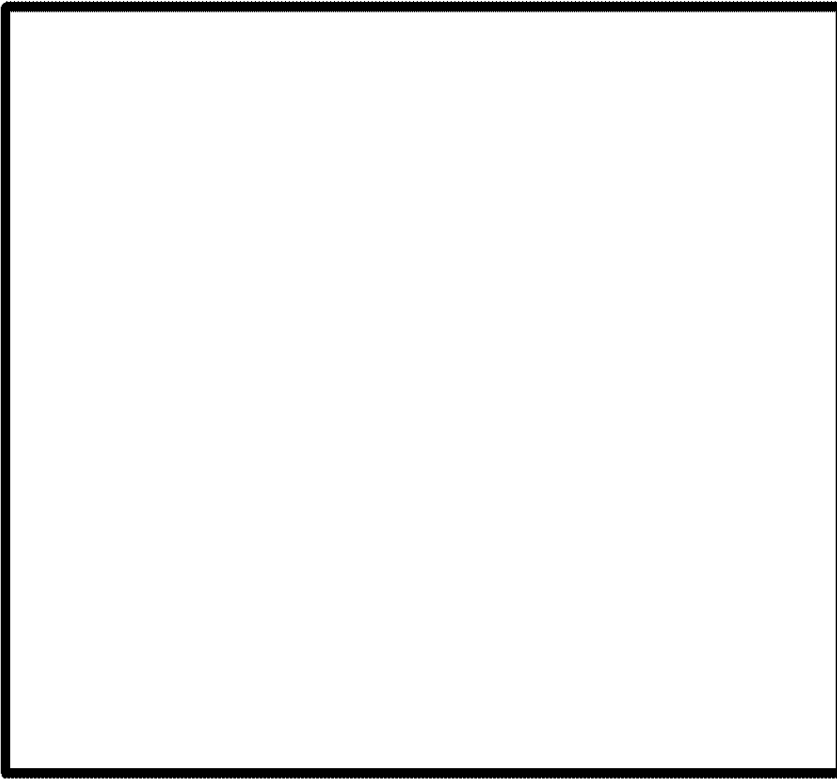
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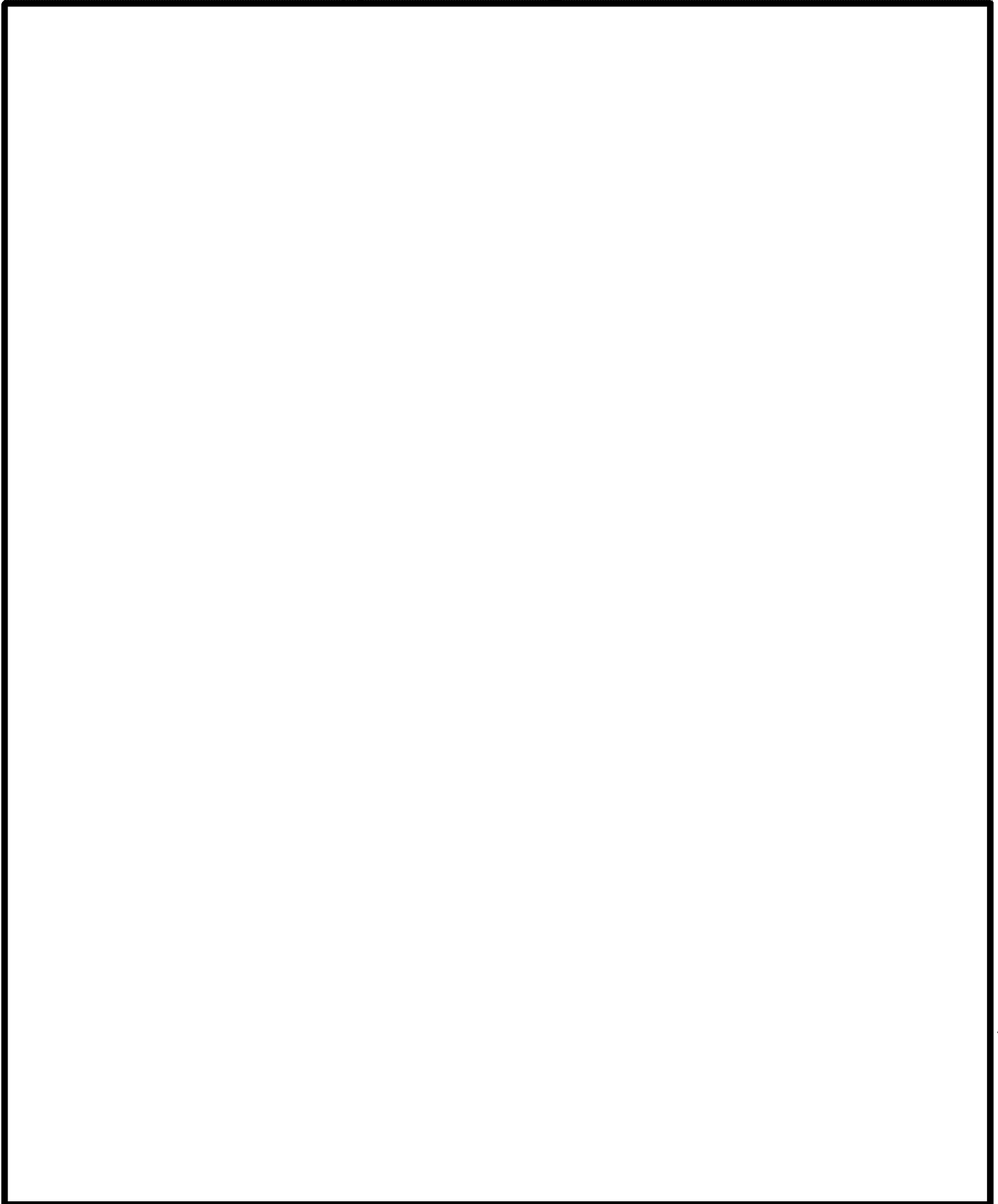
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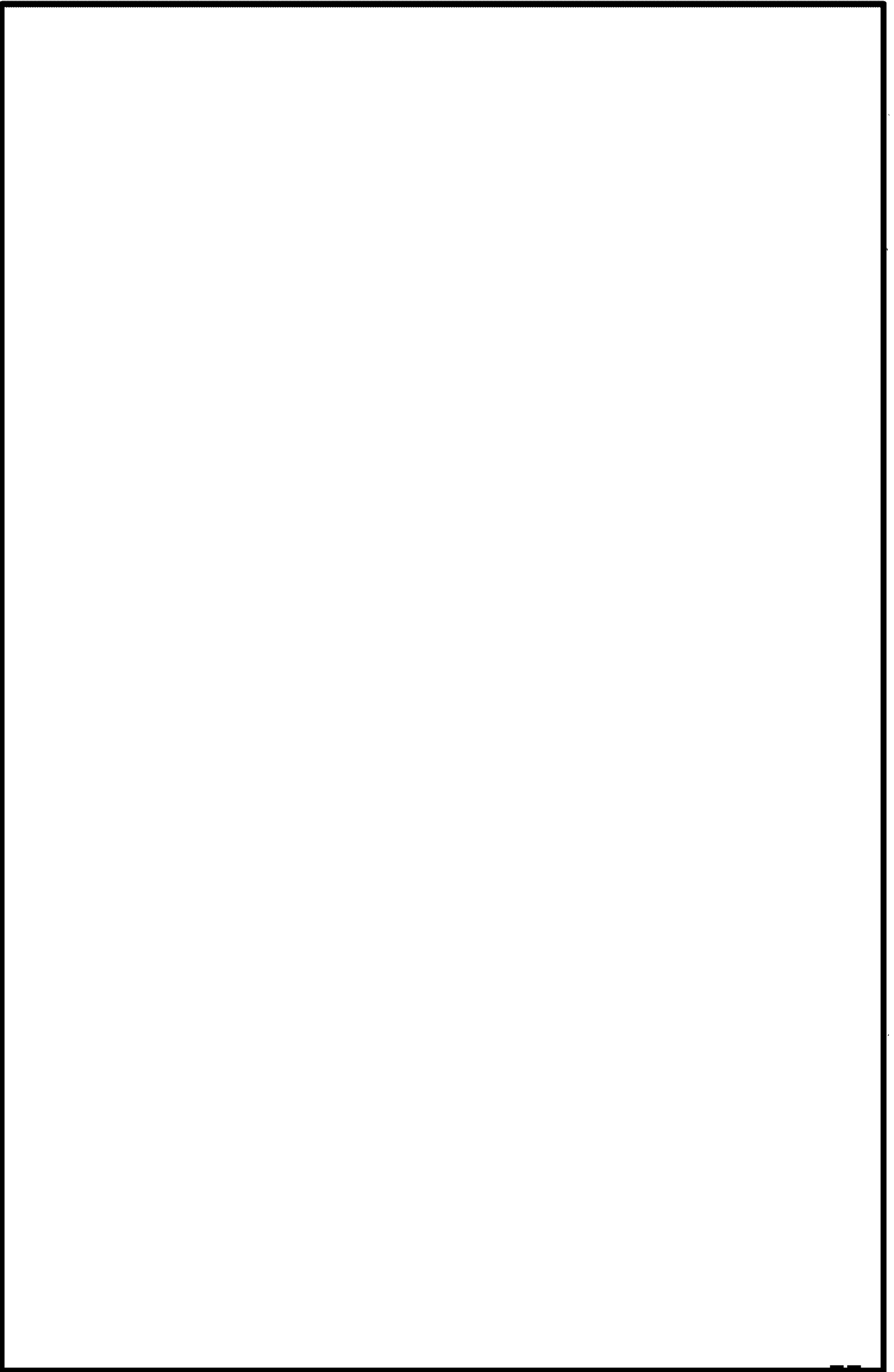
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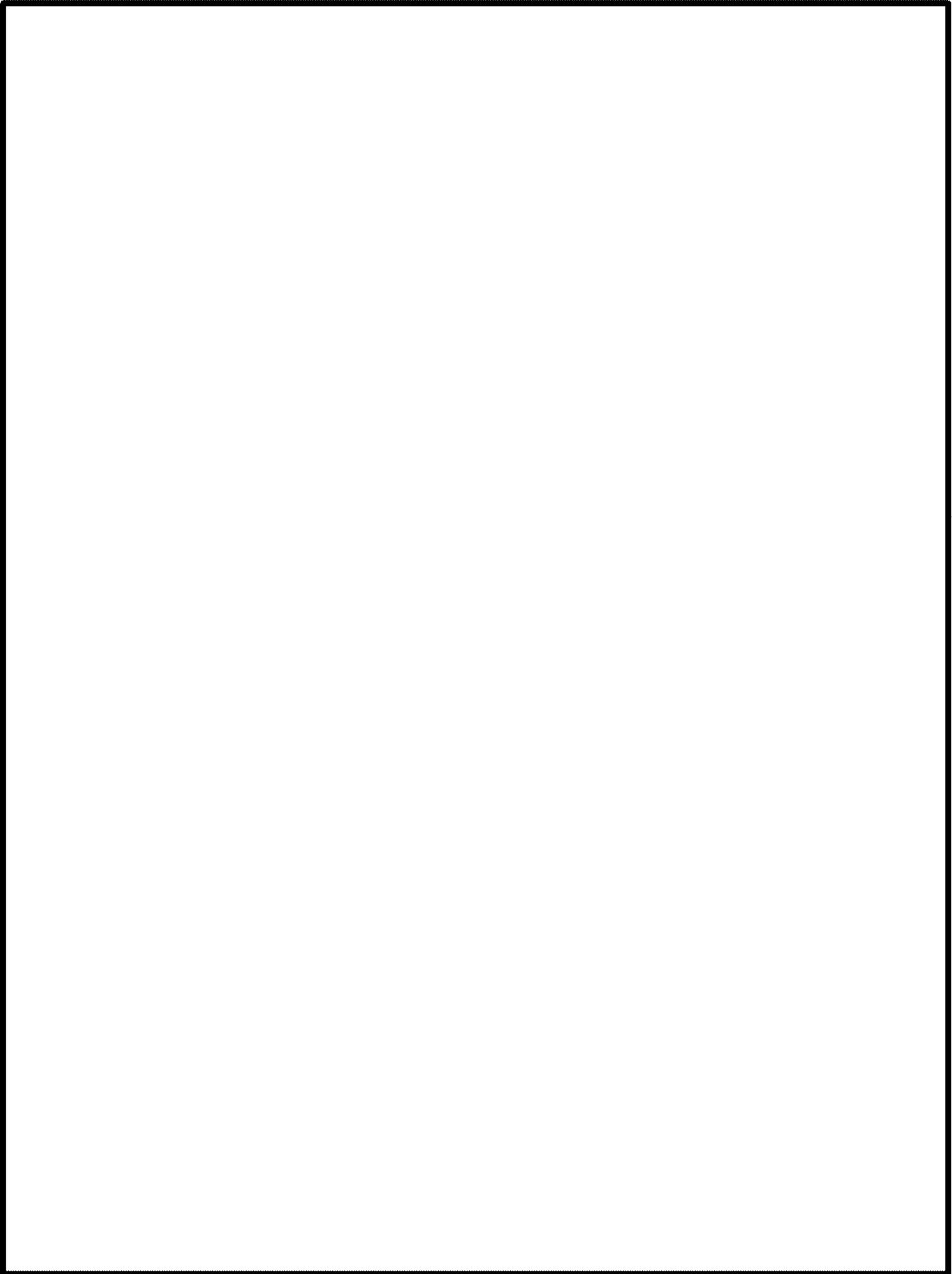


Items from Political Appointee Briefing



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U.S. Citizenship
and Immigration
Services

January 27, 2014

Ms. Victoria Lai
2516 17th Street, NW, Unit 4
Washington, DC 20009

Dear Ms. Lai:

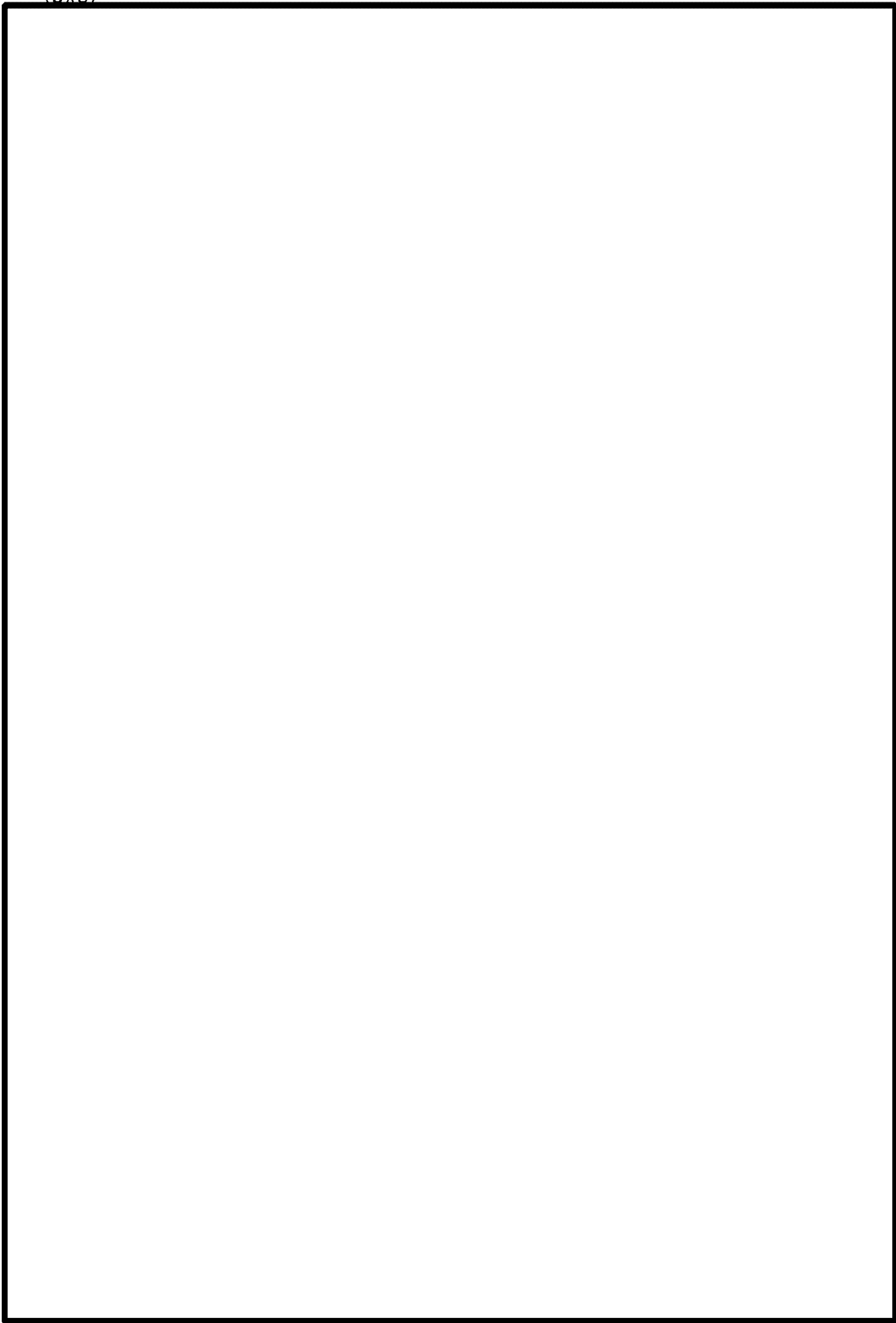
This letter is in regard to your resignation from your position of **Counselor to the Director** with U.S. Citizenship and Immigration Services. Provided below is general information regarding your benefits based on your separation date of **March 13, 2014**. You will receive information on unemployment compensation and a full benefits package within the next 2-4 weeks after your separation date with all of the necessary forms needed to convert to individual plans at your discretion.

Annual & Credit Leave – If you have leave on the books on your last day, you will receive a lump sum payment for your unused annual and credit leave balances. As of today, the WebTA system shows that you have a balance of approximately 123 hours annual leave and 24 hours in a time-off award. The lump sum payment is calculated by multiplying the number of hours of accumulated and accrued annual leave by your applicable hourly rate of pay. If applicable, you should receive these payments within 4 weeks after your separation is processed by our payroll office, the National Finance Center located in New Orleans, LA.

Any sick leave that you have will remain on the books in the event that you return to the federal government. If and when you return to the federal government, your agency will restore your previous sick leave balance to your leave account.

Federal Health Benefits Program (FEHB) – Your health insurance coverage in the Federal Employees Health Benefits (FEHB) program ends on March 22, 2014, the last day of the pay period in which you separate from Federal service, subject to a 31-day temporary extension of coverage (at no cost to you). This 31-day extension will end on April 22, 2014. During this period you may convert to an individual contract with your FEHB insurance company.

You also have the right to Temporary Continuation of Coverage (TCC) under the FEHB program for up to 18 months after your separation instead of converting to an individual contract at this time. You may select any plan in the FEHB Program in which to continue your coverage if you are eligible to enroll in the plan. To continue your coverage, you must pay the full amount of the premium (both the employee and Government shares) plus a 2 percent administrative charge. If you elect TCC coverage, the effective date of the coverage and due date for the first premium will be April 23, 2014, the day after the 31-day extension of free coverage ends. You will receive a TCC package 2-4 weeks after separation. If you would like to receive an expedited





USCIS Presidential Appointee Off-Board Brief

20 Massachusetts Avenue, Room 5510

December 9, 2016

Welcome & Opening Remarks

Craig Heintz
Denise Harrison

Benefits

- Leave
 - Annual
 - Sick
- Health Insurance
- Life Insurance
- TSP/Pension

Lisa McEvoy

Lisa McEvoy

Lisa McEvoy

Lisa McEvoy

Out-Processing

- Resignation Letter
- Documents Authored
- Equipment
 - Computer
 - Mobile
 - I-Pad

Craig Heintz

Records / Ethics

Records / Ethics

Closing

Craig Heintz
Denise Harrison

Questions will be answered throughout the brief and subject matter experts will remain after for questions unique to individual participants.

USCIS Presidential Appointee Off-Board Brief

20 Massachusetts Avenue, Room 5510

December 9, 2016

From: Stewart, Bion
To: Renaud, Tracy L; Farnam, Julie E
Subject: PTO - ELIS Access Options
Date: Wednesday, December 14, 2016 8:47:35 AM

Tracy and Julie,

Have you been able to identify a solution to allow the Landing Team to "surf" ELIS?

Thanks.

Bion

Bion Stewart
Deputy Presidential Transition Officer
Department of Homeland Security
202-282-9125

From: [Stewart, Bion](#)
To: [PTO Master Distro](#)
Subject: PTO - Landing Team Bios
Date: Wednesday, December 14, 2016 7:36:57 AM
Attachments: [Team Bios.pdf](#)

Transition Colleagues,

Please find attached the bios for the landing team members for use in preparing your briefers. We will attempt to provide you with the anticipated landing team attendance list for each meeting; however, please note attendance may vary based on unanticipated changes in schedule for the individual landing team members.

V/R,

Bion

Bion Stewart
Deputy Presidential Transition Officer
Department of Homeland Security
202-282-9125

(b)(5)

From: [Stewart, Bion](#)
To: [PTO Master Distro](#)
Subject: PTO - Landing Team Briefing Calendar Update - Additional Guidance
Date: Monday, December 12, 2016 5:58:03 PM
Attachments: [Team Bios.pdf](#)
[16-11-15-Final Signed MOU.pdf](#)

Transition Colleagues,

Below is an update to the calendar sent out last week. There are a few changes highlighted in red. In addition, we have attached the latest bios of the Landing Team members, FYI.

With the announcement of a S1-designate (nominee), the transition will straddle the current phase and the next phase (S1 nominee support) for the next couple of weeks, and will likely then move to fully supporting the nominee as we approach the holiday. Personnel identified to support the nominee may be reaching out for information independent of the Landing Team. If this happens, please contact the PTO immediately for guidance. WH guidance received today reiterated the information sharing protocols established within the MOU (attached for reference) remain applicable for S1 nominee support personnel as well. In other words, if the person is not on the approved list, the Department is prohibited from sharing information with them.

CAO Support – We are anticipating having the Landing Team working within our spaces here at the NAC the rest of the week and request CAO support as to continue as outlined last week. For those who have contacted me directly with scheduling concerns, there is no need to reiterate those concerns – I have them. If for some reason the Landing Team does not arrive in our spaces as planned, we'll remain flexible if you would prefer to return to your office.

We will have a very busy week and appreciate everyone's hard work and support in keeping the information flow and briefings moving smoothly. If we do not have your briefing decks, please forward them asap for the rest of the week.

Thank you.

V/R,

Bion

Updated Calendar:

Tuesday, December 13, 2016

- 10:00 - 11:00: TSA Brief
- 11:00 - 12:00: CIO
- 1:00 - 2:30: I&A (Overview, CTAB, Fusion)

- 2:30 - 3:30: PRIV Brief
-

Wednesday, December 14, 2016

- 10:00 - 11:00: S&T Brief
 - 10:00 - 11:00: HSAC Brief
 - 11:00 - 12:00: OHA Brief
 - 1:00 - 2:00: DNDO Brief
 - 1:00 - 2:00: FLETC Brief (Deputy in person)
 - 2:00 - 3:00: OPS Brief
 - 3:00 - 4:00: Landing Team w/S1
-

Thursday, December 15, 2016

- 10:00 - 11:00: OLA Brief
 - 10:00 - 11:30: NPPD Brief
 - 11:00 - 12:00: OPA Brief
 - 12:00 - 12:45: OCSO Brief
 - 12:45 - 1:30: OCRSO Brief
-

Friday, December 16, 2016

- 10:00 - 12:00: NTC Visit

- 1:00 – 2:30: CBP Brief (cargo and trade)

Bion Stewart
Deputy Presidential Transition Officer
Department of Homeland Security
202-282-9125

(b)(5)

From: Stewart, Bion
To: PTO Master Distro
Subject: PTO - Material Distribution Guidance
Date: Monday, December 12, 2016 7:07:45 PM

Transition Colleagues,

As the flow of information increases and the PTO is scattered supporting briefing engagements, we request all materials sent to the PTO (RFI responses, briefing decks, etc.) include the following distribution:

Bion Stewart
James Beagles
Melvin Brown II
Scott Horowitz
Greg Halter

This way at least one of the PTO staff can start reviewing and processing your products as soon as possible.

Thank you.

V/R,

Bion

Bion Stewart
Deputy Presidential Transition Officer
Department of Homeland Security
202-282-9125

From: USCIS Presidential Transition
To: Hawkins, Donald K
Cc: Renaud, Tracy L
Subject: RE:
Date: Tuesday, December 13, 2016 9:55:16 AM

Got it. Thank you!

From: Hawkins, Donald K
Sent: Tuesday, December 13, 2016 9:54 AM
To: USCIS Presidential Transition
Subject: FW:

Hello USCIS Presidential Transition Team,

Here is the second PIA you requested. This is the ELIS PIA. Please let me know if any questions.

Donald

From: [Hawkins, Donald K](#)
To: [USCIS Presidential Transition](#)
Cc: [Renaud, Tracy L](#)
Subject: RE:
Date: Tuesday, December 13, 2016 9:55:46 AM

Your welcome, part two is on its way.

From: USCIS Presidential Transition
Sent: Tuesday, December 13, 2016 9:55 AM
To: Hawkins, Donald K
Cc: Renaud, Tracy L
Subject: RE:

Got it. Thank you!

From: Hawkins, Donald K
Sent: Tuesday, December 13, 2016 9:54 AM
To: USCIS Presidential Transition
Subject: FW:

Hello USCIS Presidential Transition Team,

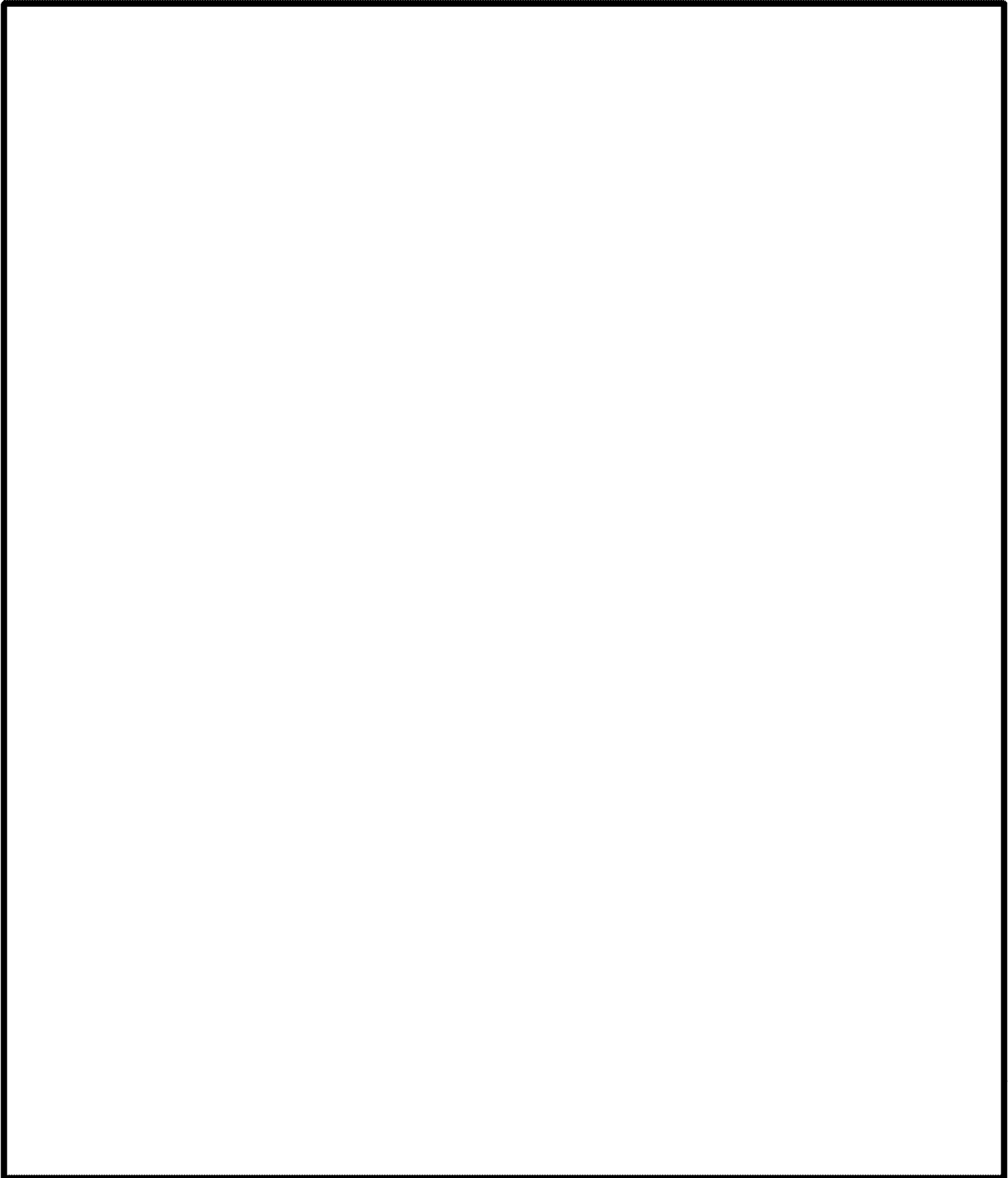
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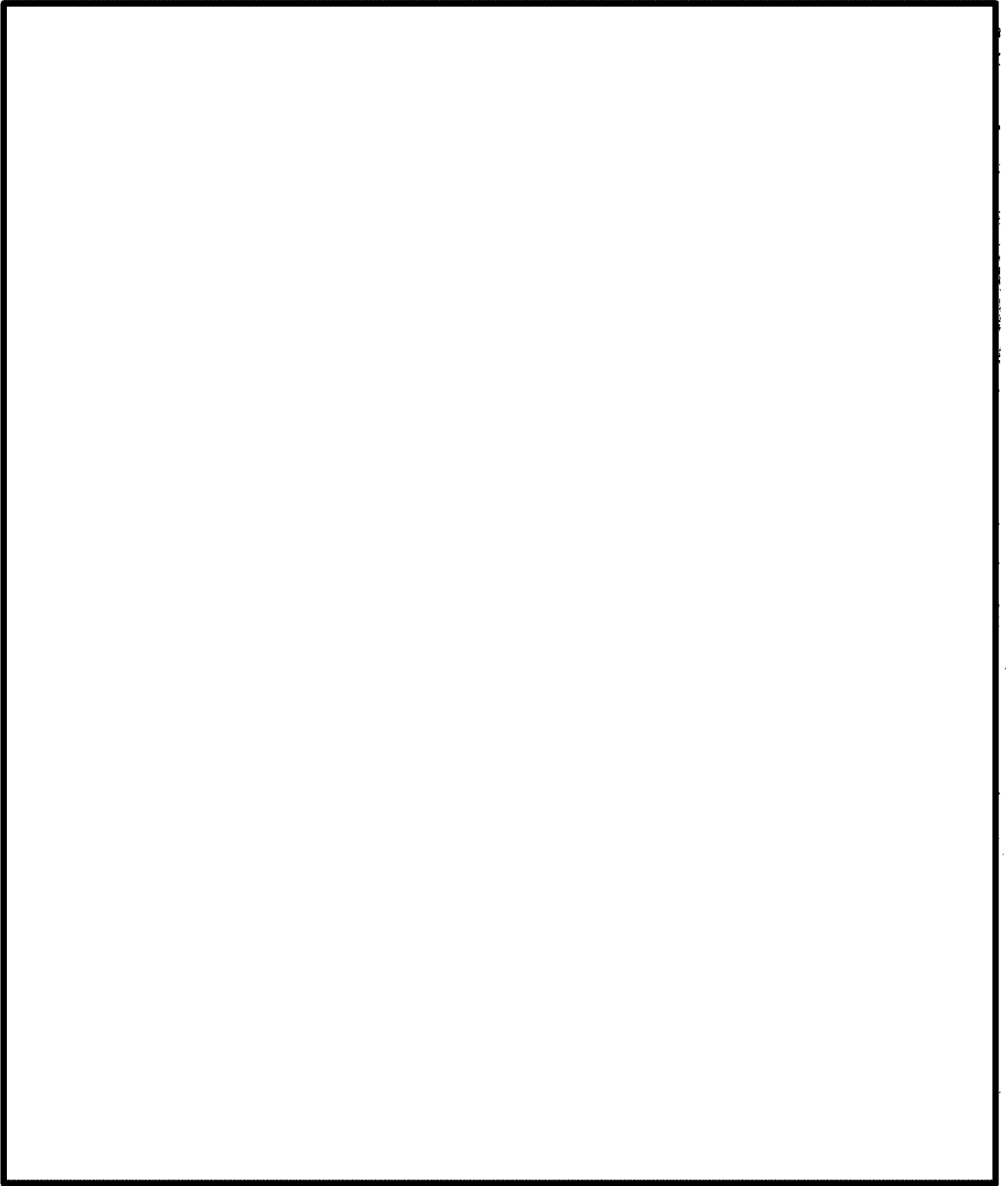
Donald

(b)(5)

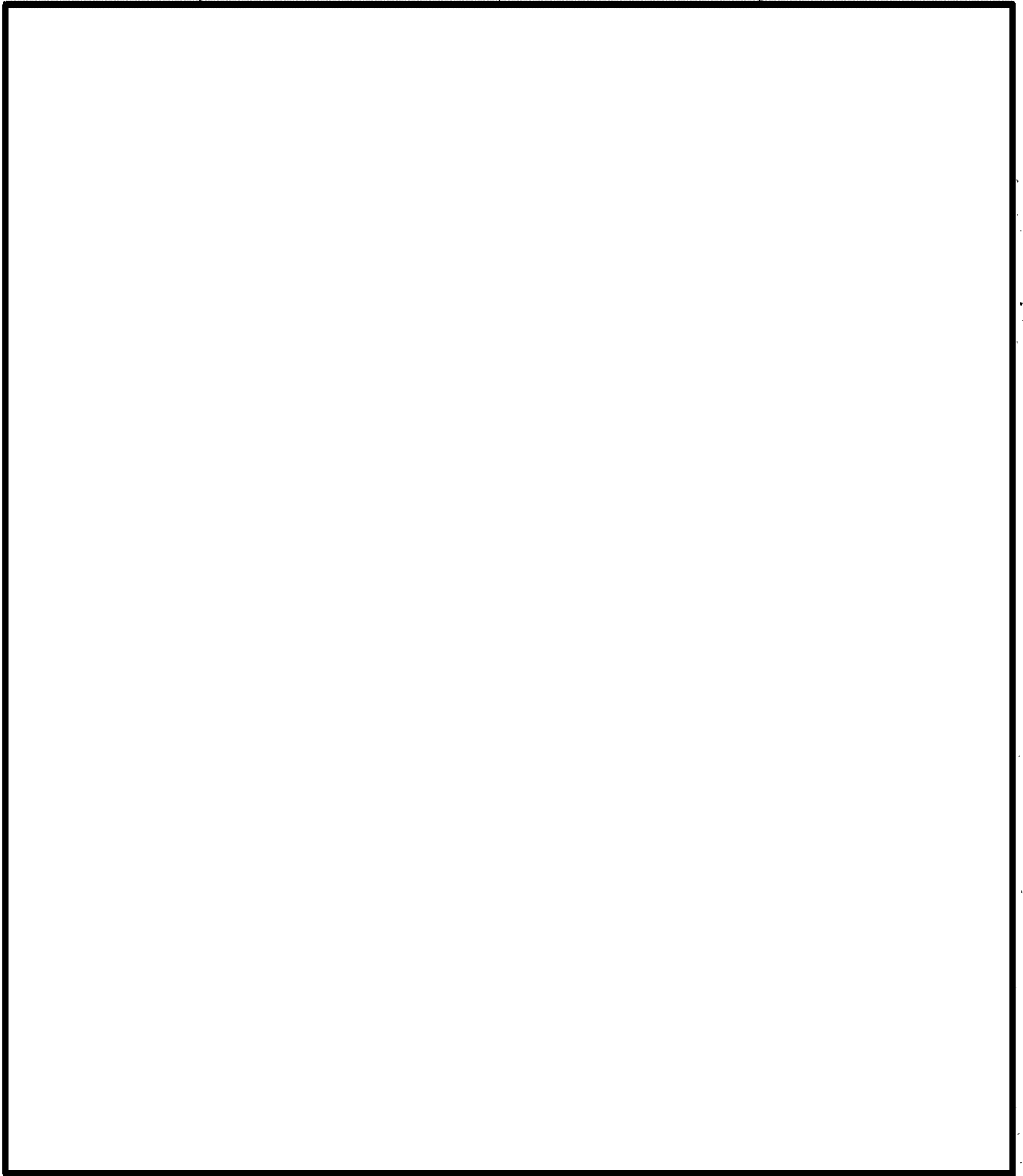
	Prior Years (FY06 - FY14)	FY15	FY16	FY17	FY18	FY19	FY20	FY21	Future	Total
Transformation Total										
Investment										
Operations & Maintenance										

(b)(5)





(b)(5)



From: USCIS Presidential Transition
To: Neufeld, Donald W; Arroyo, Susan K; McCament, James W; SCOPS-Clearance
Cc: Moran, Karla; Renaud, Tracy L; Weller, Angela V; OCC-Clearance; Jaddou, Ur M; Groom, Molly M; Carpenter, Dea D; Miles, John D; Hutchings, Pamela G; King, Alexander R
Subject: RE: ***URGENT***Transition Information Request-DACA
Date: Tuesday, December 13, 2016 11:44:06 AM

I'll incorporate these right now into the issue paper and send for clearance.

From: Neufeld, Donald W
Sent: Tuesday, December 13, 2016 11:42 AM
To: USCIS Presidential Transition; Arroyo, Susan K; McCament, James W; SCOPS-Clearance
Cc: Moran, Karla; Renaud, Tracy L; Weller, Angela V; OCC-Clearance; Jaddou, Ur M; Groom, Molly M; Carpenter, Dea D; Miles, John D; Hutchings, Pamela G; King, Alexander R
Subject: RE: ***URGENT***Transition Information Request-DACA

Please see SCOPS' answers below. I have not cleared with OCC as there is no content requiring legal review other than the last bullet, for which they need to provide an answer.

From: USCIS Presidential Transition
Sent: Tuesday, December 13, 2016 11:30 AM
To: Arroyo, Susan K; McCament, James W; Neufeld, Donald W; SCOPS-Clearance
Cc: Moran, Karla; Renaud, Tracy L; Weller, Angela V; OCC-Clearance; Jaddou, Ur M; Groom, Molly M; Carpenter, Dea D; Miles, John D
Subject: ***URGENT***Transition Information Request-DACA
Importance: High

Good morning,

The president-elect's transition landing team just handed me a new information request that pertains to your office. There is an extremely fast turnaround on these requests (apologies!)—it is due by 4:00 today to allow time for the front office to clear today and to get it back to DHS by tomorrow morning. Therefore, no extensions may be granted and it is imperative that you respond timely.

(b)(5)

The transition team would like to know:



Please have your response cleared by OCC before returning to me. Thank you very much for your

assistance with this.

assistance with this.

From: Young, Todd P.
To: USCIS Presidential Transition; Walters, Jessica S
Cc: Renaud, Tracy L
Subject: RE: FOR CLEARANCE-Backlog Information
Date: Tuesday, December 13, 2016 3:10:28 PM

You may provide the presentation to the transition team. We should be prepared to refresh the statistics now that PAS data is available for October and November (*should be available in the next few days*). I'm sure we'll be receiving additional asks concerning the backlog situation shortly.

From: USCIS Presidential Transition
Sent: Tuesday, December 13, 2016 2:54 PM
To: Young, Todd P; Walters, Jessica S
Cc: Renaud, Tracy L
Subject: FOR CLEARANCE-Backlog Information

Here's the issue paper and the presentation we provided on backlogs to OMB. Is it okay to submit to the transition team?

Thank you,
Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
(c) 202-489-8802

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From: USCIS Presidential Transition
To: Pontinen, Kaiya; Mathias, Susan
Cc: Renaud, Tracy L; Cheng, Grace
Subject: RE: Issue Paper--OIG Report on Incomplete Fingerprint Records
Date: Tuesday, December 13, 2016 11:15:38 AM
Attachments: USCIS_OIG_Report_IP_2016_FINAL.docx

That's correct. Our understanding was that your office would be adding to the paper rather than just clearing it.

Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
(c) 202-489-8802

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From: Pontinen, Kaiya
Sent: Tuesday, December 13, 2016 11:03 AM
To: USCIS Presidential Transition; Mathias, Susan
Cc: Renaud, Tracy L; Cheng, Grace
Subject: RE: Issue Paper--OIG Report on Incomplete Fingerprint Records

Susan: this is part of the paper we needed to respond to the OGC tasked on Denatz, I think.

USCIS - is that correct? If so I need to combine with ice part and give to Joe.

Kaiya Anne Pontinen
Office of the General Counsel
202.306.8548

From: USCIS Presidential Transition
Sent: Tuesday, December 13, 2016 10:59:00 AM
To: Mathias, Susan; Pontinen, Kaiya
Cc: Renaud, Tracy L; Cheng, Grace
Subject: RE: Issue Paper--OIG Report on Incomplete Fingerprint Records

Will do. Thank you.

From: Mathias, Susan
To: Pontinen, Kaiya; USCIS Presidential Transition
Cc: Renaud, Tracy L; Cheng, Grace
Subject: RE: Issue Paper--OIG Report on Incomplete Fingerprint Records
Date: Tuesday, December 13, 2016 11:03:58 AM

Ok. Thanks!!

From: Pontinen, Kaiya
Sent: Tuesday, December 13, 2016 11:03:28 AM
To: USCIS Presidential Transition; Mathias, Susan
Cc: Renaud, Tracy L; Cheng, Grace
Subject: RE: Issue Paper--OIG Report on Incomplete Fingerprint Records

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Kaiya Anne Pontinen
Office of the General Counsel
202.306.8548

From: USCIS Presidential Transition
Sent: Tuesday, December 13, 2016 10:59:00 AM
To: Mathias, Susan; Pontinen, Kaiya
Cc: Renaud, Tracy L; Cheng, Grace
Subject: RE: Issue Paper--OIG Report on Incomplete Fingerprint Records

Will do. Thank you.

From: Mathias, Susan
Sent: Tuesday, December 13, 2016 10:58 AM
To: USCIS Presidential Transition; Pontinen, Kaiya
Cc: Renaud, Tracy L; Cheng, Grace
Subject: RE: Issue Paper--OIG Report on Incomplete Fingerprint Records

Thanks, could you please send to PTO to task to OGC so we can put through the clearance process?
Thanks. Susan

Susan Mathias
Assistant General Counsel for Strategic Oversight
Legal Counsel Division
Office of the General Counsel
U.S. Department of Homeland Security
202-282-9731 (t)

202-568-9805 (m)

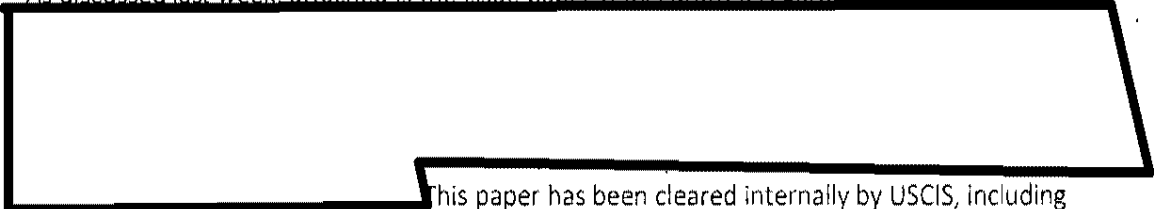
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From: USCIS Presidential Transition
Sent: Tuesday, December 13, 2016 10:50 AM
To: Pontinen, Kaiya <Kaiya.Pontinen@HQ.DHS.GOV>; Mathias, Susan <Susan.Mathias@hq.dhs.gov>
Cc: Renaud, Tracy L <Tracy.L.Renaud@uscis.dhs.gov>
Subject: Issue Paper--OIG Report on Incomplete Fingerprint Records

Kaiya,

As discussed last week, attached is the issue paper USCIS drafted regarding the OIG report

(b)(5)

 This paper has been cleared internally by USCIS, including agency leadership and counsel.

Thank you,
Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
(c) 202-489-8802

This communication, along with any attachments, may contain confidential information and is covered by federal laws governing electronic communications. Electronic communications may also be monitored by the Department of Homeland Security, U.S. Citizenship and Immigration Services. If the reader of this message is not the intended recipient, you are hereby notified that any dissemination, distribution, use, or copying of this message is strictly prohibited. If you have received this in error, please delete this message and all attachments and immediately notify the sender.

From: Pontinen, Kaiya
To: USCIS Presidential Transition; Mathias, Susan
Cc: Renaud, Tracy L; Cheng, Grace
Subject: RE: Issue Paper--OIG Report on Incomplete Fingerprint Records
Date: Tuesday, December 13, 2016 11:03:28 AM

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Office of the General Counsel
202.306.8548

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To: Mathias, Susan; Pontinen, Kaiya
Cc: Renaud, Tracy L; Cheng, Grace
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Will do. Thank you.

From: Mathias, Susan
Sent: Tuesday, December 13, 2016 10:58 AM
To: USCIS Presidential Transition; Pontinen, Kaiya
Cc: Renaud, Tracy L; Cheng, Grace
Subject: RE: Issue Paper--OIG Report on Incomplete Fingerprint Records

Thanks, could you please send to PTO to task to OGC so we can put through the clearance process?
Thanks. Susan

Susan Mathias
Assistant General Counsel for Strategic Oversight
Legal Counsel Division
Office of the General Counsel
U.S. Department of Homeland Security
202-282-9731 (t)
202-568-9805 (m)

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From: USCIS Presidential Transition

From: [USCIS Presidential Transition](#)
To: [Mathias, Susan](#); [Pontinen, Kaiya](#)
Cc: [Renaud, Tracy L](#); [Cheng, Grace](#)
Subject: RE: Issue Paper--OIG Report on Incomplete Fingerprint Records
Date: Tuesday, December 13, 2016 10:59:02 AM

Will do. Thank you.

From: Mathias, Susan
Sent: Tuesday, December 13, 2016 10:58 AM
To: USCIS Presidential Transition; Pontinen, Kaiya
Cc: Renaud, Tracy L; Cheng, Grace
Subject: RE: Issue Paper--OIG Report on Incomplete Fingerprint Records

Thanks, could you please send to PTO to task to OGC so we can put through the clearance process?
Thanks. Susan

Susan Mathias
Assistant General Counsel for Strategic Oversight
Legal Counsel Division
Office of the General Counsel
U.S. Department of Homeland Security
202-282-9731 (t)
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From: USCIS Presidential Transition
Sent: Tuesday, December 13, 2016 10:50 AM
To: Pontinen, Kaiya <Kaiya.Pontinen@HQ.DHS.GOV>; Mathias, Susan <Susan.Mathias@hq.dhs.gov>
Cc: Renaud, Tracy L <Tracy.L.Renaud@uscis.dhs.gov>
Subject: Issue Paper--OIG Report on Incomplete Fingerprint Records

Kaiya,

As discussed last week, attached is the issue paper USCIS drafted regarding the OIG report

(b)(5)

[Redacted]

This paper has been cleared internally by USCIS, including agency leadership and counsel.

Thank you,

Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
(c) 202-489-8802

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From: Mathias, Susan
To: USCIS Presidential Transition; Pontinen, Kaiya
Cc: Renaud, Tracy L; Cheng, Grace
Subject: RE: Issue Paper--OIG Report on Incomplete Fingerprint Records
Date: Tuesday, December 13, 2016 11:19:17 AM

Kaiya, who should I contact about the paper?

Susan Mathias
Assistant General Counsel for Strategic Oversight
Legal Counsel Division
Office of the General Counsel
U.S. Department of Homeland Security
202-282-9731 (t)
202-568-9805 (m)

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From: USCIS Presidential Transition
Sent: Tuesday, December 13, 2016 11:16 AM
To: Pontinen, Kaiya <Kaiya.Pontinen@HQ.DHS.GOV>; Mathias, Susan <Susan.Mathias@hq.dhs.gov>
Cc: Renaud, Tracy L <Tracy.L.Renaud@uscis.dhs.gov>; Cheng, Grace <Grace.Cheng@hq.dhs.gov>
Subject: RE: Issue Paper--OIG Report on Incomplete Fingerprint Records

That's correct. Our understanding was that your office would be adding to the paper rather than just clearing it.

Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
(c) 202-489-8802

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From: Pontinen, Kaiya
Sent: Tuesday, December 13, 2016 11:03 AM

To: USCIS Presidential Transition; Mathias, Susan
Cc: Renaud, Tracy L; Cheng, Grace
Subject: RE: Issue Paper--OIG Report on Incomplete Fingerprint Records

Susan: this is part of the paper we needed to respond to the OGC tasked on Denatz, I think.

USCIS - is that correct? If so I need to combine with ice part and give to Joe.

Kaiya Anne Pontinen
Office of the General Counsel
202.306.8548

From: USCIS Presidential Transition
Sent: Tuesday, December 13, 2016 10:59:00 AM
To: Mathias, Susan; Pontinen, Kaiya
Cc: Renaud, Tracy L; Cheng, Grace
Subject: RE: Issue Paper--OIG Report on Incomplete Fingerprint Records

Will do. Thank you.

From: Mathias, Susan
Sent: Tuesday, December 13, 2016 10:58 AM
To: USCIS Presidential Transition; Pontinen, Kaiya
Cc: Renaud, Tracy L; Cheng, Grace
Subject: RE: Issue Paper--OIG Report on Incomplete Fingerprint Records

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Assistant General Counsel for Strategic Oversight
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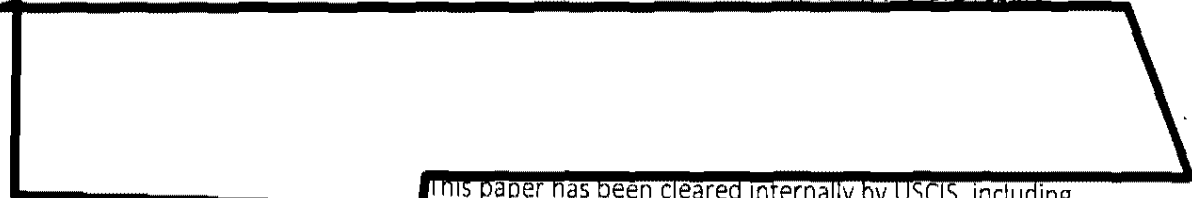
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Sent: Tuesday, December 13, 2016 10:50 AM
To: Pontinen, Kaiya <Kaiya.Pontinen@HQ.DHS.GOV>; Mathias, Susan <Susan.Mathias@hq.dhs.gov>
Cc: Renaud, Tracy L <Tracy.L.Renaud@uscis.dhs.gov>

Subject: Issue Paper--OIG Report on Incomplete Fingerprint Records

Kaiya,

(b)(5)

As discussed last week, attached is the issue paper USCIS drafted regarding the OIG report



this paper has been cleared internally by USCIS, including agency leadership and counsel.

Thank you,
Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
(c) 202-489-8802

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From: USCIS Presidential Transition
To: Young, Todd P; Prelogar, Brandon B; Walters, Jessica S; Prater, Jocelyn S; Krebs, Kristie L
Cc: Renaud, Tracy L
Subject: RE: Issue Paper--OIG Report
Date: Tuesday, December 13, 2016 10:33:53 AM
Attachments: USCIS_OIG_Report_JP_2016.docx

Edits incorporated.

From: Young, Todd P
Sent: Tuesday, December 13, 2016 10:21 AM
To: USCIS Presidential Transition; Prelogar, Brandon B; Walters, Jessica S; Prater, Jocelyn S; Krebs, Kristie L
Cc: Renaud, Tracy L
Subject: RE: Issue Paper--OIG Report

Hi Julie,
Please see a few additional revisions from me and Jess.

From: USCIS Presidential Transition
Sent: Tuesday, December 13, 2016 10:18 AM
To: Prelogar, Brandon B; Young, Todd P; Walters, Jessica S; Prater, Jocelyn S; Krebs, Kristie L
Cc: Renaud, Tracy L
Subject: RE: Issue Paper--OIG Report
Importance: High

Following up on this—Brandon's minor edits have been incorporated. Please let me know when I can proceed and send this to OGC.

Thank you,
Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
(c) 202-489-8802

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From: Prelogar, Brandon B
Sent: Monday, December 12, 2016 2:01 PM
To: USCIS Presidential Transition; Young, Todd P; Walters, Jessica S; Prater, Jocelyn S; Krebs, Kristie L
Cc: Renaud, Tracy L
Subject: RE: Issue Paper--OIG Report

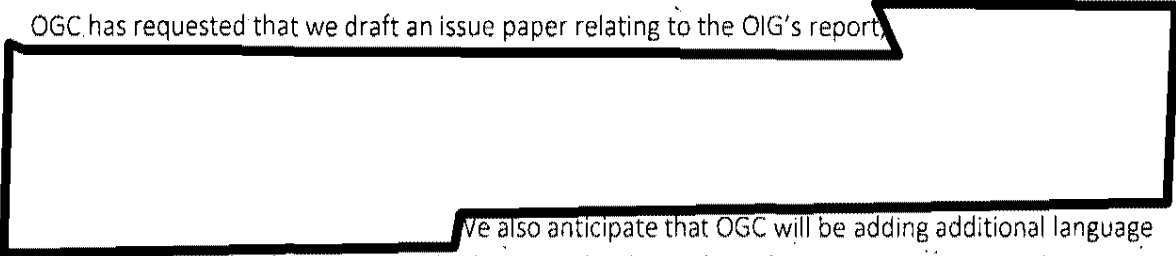
Quick, light edits in the attached. Defer to D2 team for D2 clearance.

From: USCIS Presidential Transition
Sent: Monday, December 12, 2016 11:38 AM
To: Young, Todd P; Walters, Jessica S; Prater, Jocelyn S; Krebs, Kristie L; Prelogar, Brandon B
Cc: Renaud, Tracy L
Subject: Issue Paper--OIG Report
Importance: High

Good morning,

OGC has requested that we draft an issue paper relating to the OIG's report

(b)(5)

 We also anticipate that OGC will be adding additional language and this may need to be recirculated. This paper has been cleared by Field Ops, FDNS, and OCC.

Thank you,
Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
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From: Young, Todd P
To: USCIS Presidential Transition; Prelogar, Brandon B; Walters, Jessica S; Prater, Jocelyn S; Krebs, Kristie L
Cc: Renaud, Tracy L
Subject: RE: Issue Paper--OIG Report
Date: Tuesday, December 13, 2016 10:21:19 AM
Attachments: DHS Response to OIG Report 16 FO 12 13 2016.docx

Hi Julie,

Please see a few additional revisions from me and Jess.

From: USCIS Presidential Transition
Sent: Tuesday, December 13, 2016 10:18 AM
To: Prelogar, Brandon B; Young, Todd P; Walters, Jessica S; Prater, Jocelyn S; Krebs, Kristie L
Cc: Renaud, Tracy L
Subject: RE: Issue Paper--OIG Report
Importance: High

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Thank you,
Julie Farnham
Senior Advisor
Field Operations Directorate
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From: Prelogar, Brandon B
Sent: Monday, December 12, 2016 2:01 PM
To: USCIS Presidential Transition; Young, Todd P; Walters, Jessica S; Prater, Jocelyn S; Krebs, Kristie L
Cc: Renaud, Tracy L
Subject: RE: Issue Paper--OIG Report


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Sent: Monday, December 12, 2016 11:38 AM
To: Young, Todd P; Walters, Jessica S; Prater, Jocelyn S; Krebs, Kristie L; Prelogar, Brandon B
Cc: Renaud, Tracy L
Subject: Issue Paper--OIG Report
Importance: High

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(b)(5)

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Thank you,

Julie Farnam

Senior Advisor

Field Operations Directorate

U.S. Citizenship and Immigration Services

(d) 202-272-1102

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From: Prelogar, Brandon B
To: USCIS Presidential Transition; Young, Todd P; Walters, Jessica S; Prater, Jocelyn S; Krebs, Kristie L
Cc: Renaud, Tracy L
Subject: RE: Issue Paper--OIG Report
Date: Monday, December 12, 2016 2:01:21 PM
Attachments: USCIS_OIG_Report_IP_12-12-16_(BP).docx

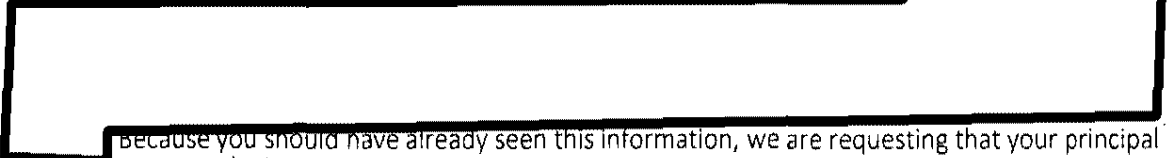
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Because you should have already seen this information, we are requesting that your principal review and clear by noon tomorrow. We also anticipate that OGC will be adding additional language and this may need to be recirculated. This paper has been cleared by Field Ops, FDNS, and OCC.

Thank you,
Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
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To: USCIS Presidential Transition; Prelogar, Brandon B; Walters, Jessica S; Prater, Jocelyn S; Krebs, Kristie L
Cc: Renaud, Tracy L
Subject: RE: Issue Paper--OIG Report
Date: Tuesday, December 13, 2016 10:40:45 AM

Thanks. Looks good, please pass it along to OGC.

From: USCIS Presidential Transition
Sent: Tuesday, December 13, 2016 10:34 AM
To: Young, Todd P; Prelogar, Brandon B; Walters, Jessica S; Prater, Jocelyn S; Krebs, Kristie L
Cc: Renaud, Tracy L
Subject: RE: Issue Paper--OIG Report

Edits incorporated.

From: Young, Todd P
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To: USCIS Presidential Transition; Prelogar, Brandon B; Walters, Jessica S; Prater, Jocelyn S; Krebs, Kristie L
Cc: Renaud, Tracy L
Subject: RE: Issue Paper--OIG Report

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Sent: Tuesday, December 13, 2016 10:18 AM
To: Prelogar, Brandon B; Young, Todd P; Walters, Jessica S; Prater, Jocelyn S; Krebs, Kristie L
Cc: Renaud, Tracy L
Subject: RE: Issue Paper--OIG Report
Importance: High

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Thank you,
Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
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Sent: Monday, December 12, 2016 2:01 PM
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Cc: Renaud, Tracy L
Subject: Issue Paper--OIG Report
Importance: High

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(b)(5)

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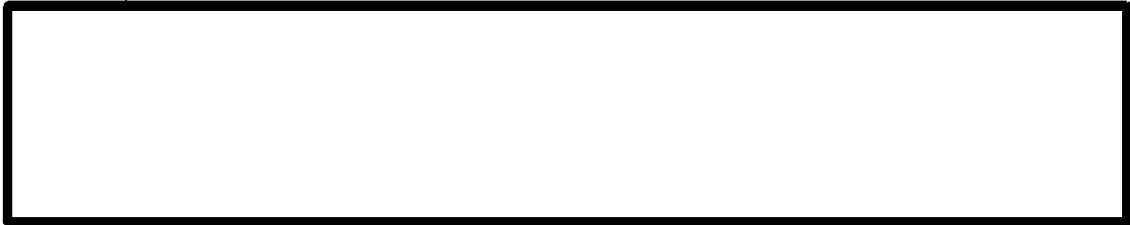
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Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
(c) 202-489-8802

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From: USCIS Presidential Transition
To: Martinez, Janette M
Cc: Renaud, Tracy L; Miles, John D
Subject: RE: New Issue Paper--OIG Report 16-130 (Janus Cases)
Date: Monday, December 12, 2016 10:36:22 AM

As discussed, the last two sentences have been updated to read:

(b)(5)



Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
(c) 202-489-8802

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From: Miles, John D
Sent: Monday, December 12, 2016 10:27 AM
To: USCIS Presidential Transition; Martinez, Janette M
Cc: Renaud, Tracy L
Subject: RE: New Issue Paper--OIG Report 16-130 (Janus Cases)

I'm adding Janette. I'm in interviews most of today, so in the interest of time, I'm adding her.

From: USCIS Presidential Transition
Sent: Monday, December 12, 2016 9:16 AM
To: Miles, John D
Cc: Renaud, Tracy L
Subject: RE: New Issue Paper--OIG Report 16-130 (Janus Cases)

Thanks, John.

Are you okay with us keeping the first three sentences of that paragraph under the "Current Status" section? I think this is helpful to explain the universe of cases we are reviewing. For the remainder of the paragraph, I've incorporated your proposed alternate language.

Julie Farnam

Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
(c) 202-489-8802

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From: Miles, John D
Sent: Monday, December 12, 2016 9:43 AM
To: USCIS Presidential Transition
Subject: RE: New Issue Paper--OIG Report 16-130 (Janus Cases)

Actually, I was reminded of some previous comments, added in the attached. I add them again just to reiterate our previously voiced concerns. Thanks.

John

From: USCIS Presidential Transition
Sent: Monday, December 12, 2016 8:23 AM
To: Miles, John D
Subject: RE: New Issue Paper--OIG Report 16-130 (Janus Cases)

Thank you.

From: Miles, John D
Sent: Friday, December 09, 2016 6:09 PM
To: Renaud, Daniel M; Valverde, Michael; USCIS Presidential Transition; OCC-Clearance; Emrich, Matthew D; Davidson, Andrew J
Cc: Jaddou, Ur M; Groom, Molly M; Renaud, Tracy L; FDNSExecSec; Kvortek, Lissette E
Subject: RE: New Issue Paper--OIG Report 16-130 (Janus Cases)

OCC is fine with this too. Thanks.

From: Renaud, Daniel M
Sent: Friday, December 09, 2016 4:33 PM
To: Valverde, Michael; USCIS Presidential Transition; OCC-Clearance; Emrich, Matthew D; Davidson, Andrew J
Cc: Miles, John D; Jaddou, Ur M; Groom, Molly M; Renaud, Tracy L; FDNSExecSec; Kvortek, Lissette E
Subject: RE: New Issue Paper--OIG Report 16-130 (Janus Cases)

No edits from me. Thanks.

From: Miles, John D
Sent: Monday, December 12, 2016 10:27 AM
To: USCIS Presidential Transition; Martinez, Janette M
Cc: Renaud, Tracy L
Subject: RE: New Issue Paper--OIG Report 16-130 (Janus Cases)

I'm adding Janette. I'm in interviews most of today, so in the interest of time, I'm adding her.

From: USCIS Presidential Transition
Sent: Monday, December 12, 2016 9:16 AM
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Cc: Renaud, Tracy L
Subject: RE: New Issue Paper--OIG Report 16-130 (Janus Cases)

Thanks, John.

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Julie Farnam
Senior Advisor
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From: Miles, John D
Sent: Monday, December 12, 2016 9:43 AM
To: USCIS Presidential Transition
Subject: RE: New Issue Paper--OIG Report 16-130 (Janus Cases)

Actually, I was reminded of some previous comments, added in the attached. I add them again just to reiterate our previously voiced concerns. Thanks.

John

From: USCIS Presidential Transition
Sent: Monday, December 12, 2016 8:23 AM
To: Miles, John D
Subject: RE: New Issue Paper--OIG Report 16-130 (Janus Cases)

From: Zengotitabengoa, Colleen R
To: USCIS Presidential Transition; RALD
Cc: Owens, Jessica D; Katz, Jonathan E; Gentry, Anthony E; Carpenter, Dea D; Lay, Dorothea B (Thea); Groom, Molly M; Hinds, Ian G; OCC-Clearance; Renaud, Tracy L
Subject: RE: Presidential Transition-Refugee Processing Briefing Presentation
Date: Friday, December 02, 2016 3:25:17 PM

Julie,

I do have some edits to the new slide 9. I'll get them to you shortly. Thanks,

Colleen

From: USCIS Presidential Transition
Sent: Friday, December 02, 2016 8:40 AM
To: RALD
Cc: Owens, Jessica D; Katz, Jonathan E; Gentry, Anthony E; Carpenter, Dea D; Zengotitabengoa, Colleen R; Lay, Dorothea B (Thea); Groom, Molly M; Hinds, Ian G; OCC-Clearance; Renaud, Tracy L
Subject: RE: Presidential Transition-Refugee Processing Briefing Presentation
Importance: High

Thank you. Edits have been incorporated. We also made a couple additional changes to slide 9. Could you take a quick look at that slide again?

Thank you,
Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
(c) 202-489-8802

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From: RALD
Sent: Thursday, December 01, 2016 6:26 PM
To: Farnam, Julie E; USCIS Presidential Transition
Cc: RALD; Owens, Jessica D; Katz, Jonathan E; Gentry, Anthony E; Carpenter, Dea D; Zengotitabengoa, Colleen R; Lay, Dorothea B (Thea); Groom, Molly M; Hinds, Ian G; OCC-Clearance
Subject: RE: Presidential Transition-Refugee Processing Briefing Presentation

Julie,

Please find attached OCC comments and edits to the attached presentation.

Thanks,

Renata for the RALD Box

From: Carpenter, Dea D
Sent: Wednesday, November 30, 2016 4:29 PM
To: Groom, Molly M; Hinds, Ian G
Subject: FW: Presidential Transition-Refugee Processing Briefing Presentation

From: USCIS Presidential Transition
Sent: Wednesday, November 30, 2016 3:55:30 PM
To: OCC-Clearance
Cc: Miles, John D; Jaddou, Ur M; Carpenter, Dea D; Renaud, Tracy L
Subject: Presidential Transition-Refugee Processing Briefing Presentation

Good afternoon, OCC—

The president-elect's landing team has requested a briefing on refugee processing. Attached is a presentation RAO and FDNS developed for the briefing and we request your clearance. Because this must also clear DHS, we would appreciate it if you could have this cleared by COB tomorrow, December 1st.

Thank you,
Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
(c) 202-489-8802

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From: USCIS Presidential Transition
To: RALD
Cc: Owens, Jessica D; Katz, Jonathan E; Gentry, Anthony E; Carpenter, Dea D; Zengotitabengoa, Colleen R; Lay, Dorothea B (Thea); Groom, Molly M; Hinds, Ian G; OCC-Clearance; Renaud, Tracy L
Subject: RE: Presidential Transition-Refugee Processing Briefing Presentation
Date: Friday, December 02, 2016 8:39:50 AM
Attachments: Refugee Processing Presentation.pptx
Importance: High

Thank you. Edits have been incorporated. We also made a couple additional changes to slide 9. Could you take a quick look at that slide again?

Thank you,
Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
(c) 202-489-8802

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From: RALD
Sent: Thursday, December 01, 2016 6:26 PM
To: Farnam, Julie E; USCIS Presidential Transition
Cc: RALD; Owens, Jessica D; Katz, Jonathan E; Gentry, Anthony E; Carpenter, Dea D; Zengotitabengoa, Colleen R; Lay, Dorothea B (Thea); Groom, Molly M; Hinds, Ian G; OCC-Clearance
Subject: RE: Presidential Transition-Refugee Processing Briefing Presentation

Julie,

Please find attached OCC comments and edits to the attached presentation.

Thanks,

Renata for the RALD Box

From: Carpenter, Dea D
Sent: Wednesday, November 30, 2016 4:29 PM
To: Groom, Molly M; Hinds, Ian G
Subject: FW: Presidential Transition-Refugee Processing Briefing Presentation

From: USCIS Presidential Transition
Sent: Wednesday, November 30, 2016 3:55:30 PM
To: OCC-Clearance
Cc: Miles, John D; Jaddou, Ur M; Carpenter, Dea D; Renaud, Tracy L
Subject: Presidential Transition-Refugee Processing Briefing Presentation

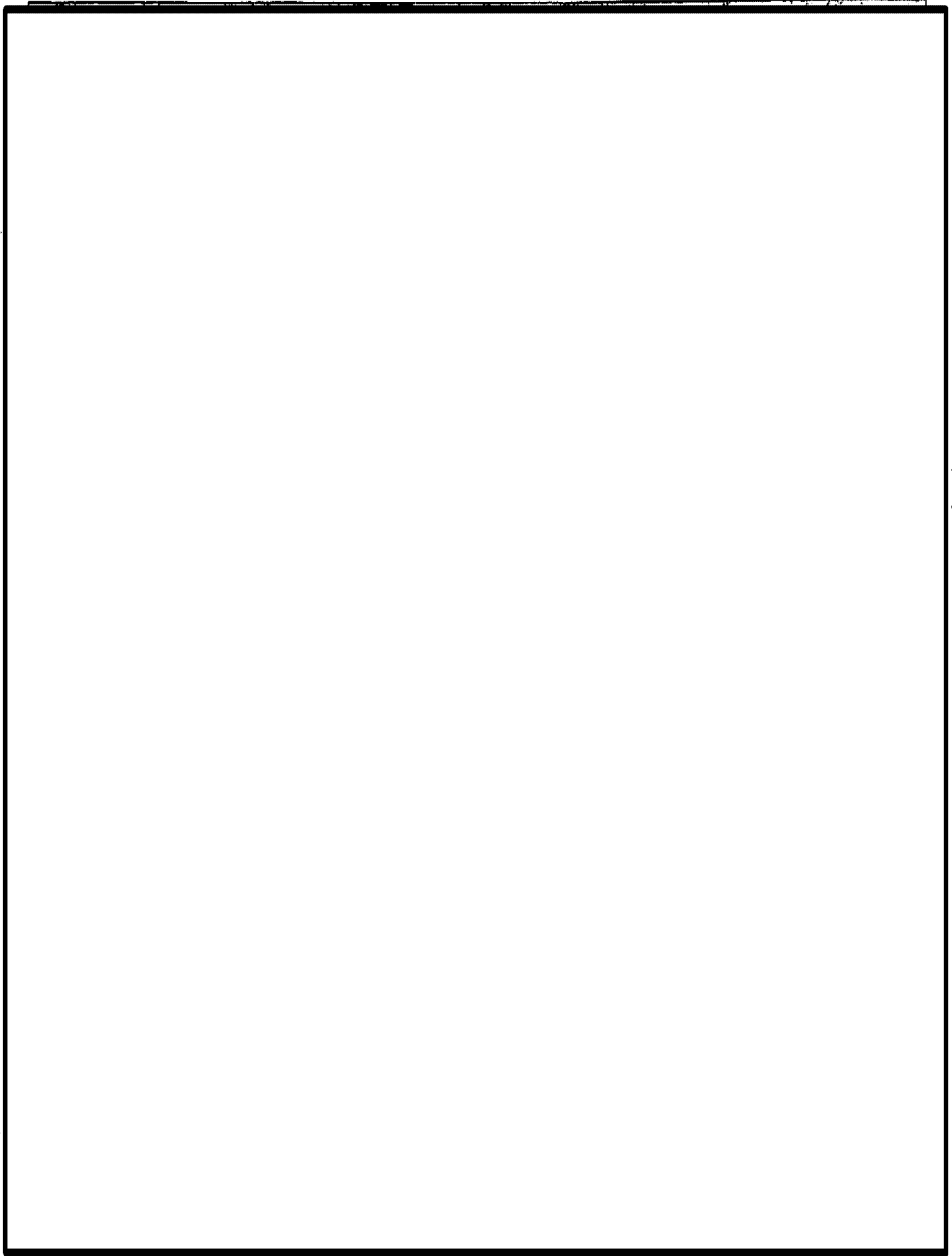
Good afternoon, OCC—

The president-elect's landing team has requested a briefing on refugee processing. Attached is a presentation RAIO and FDNS developed for the briefing and we request your clearance. Because this must also clear DHS, we would appreciate it if you could have this cleared by COB tomorrow, December 1st.

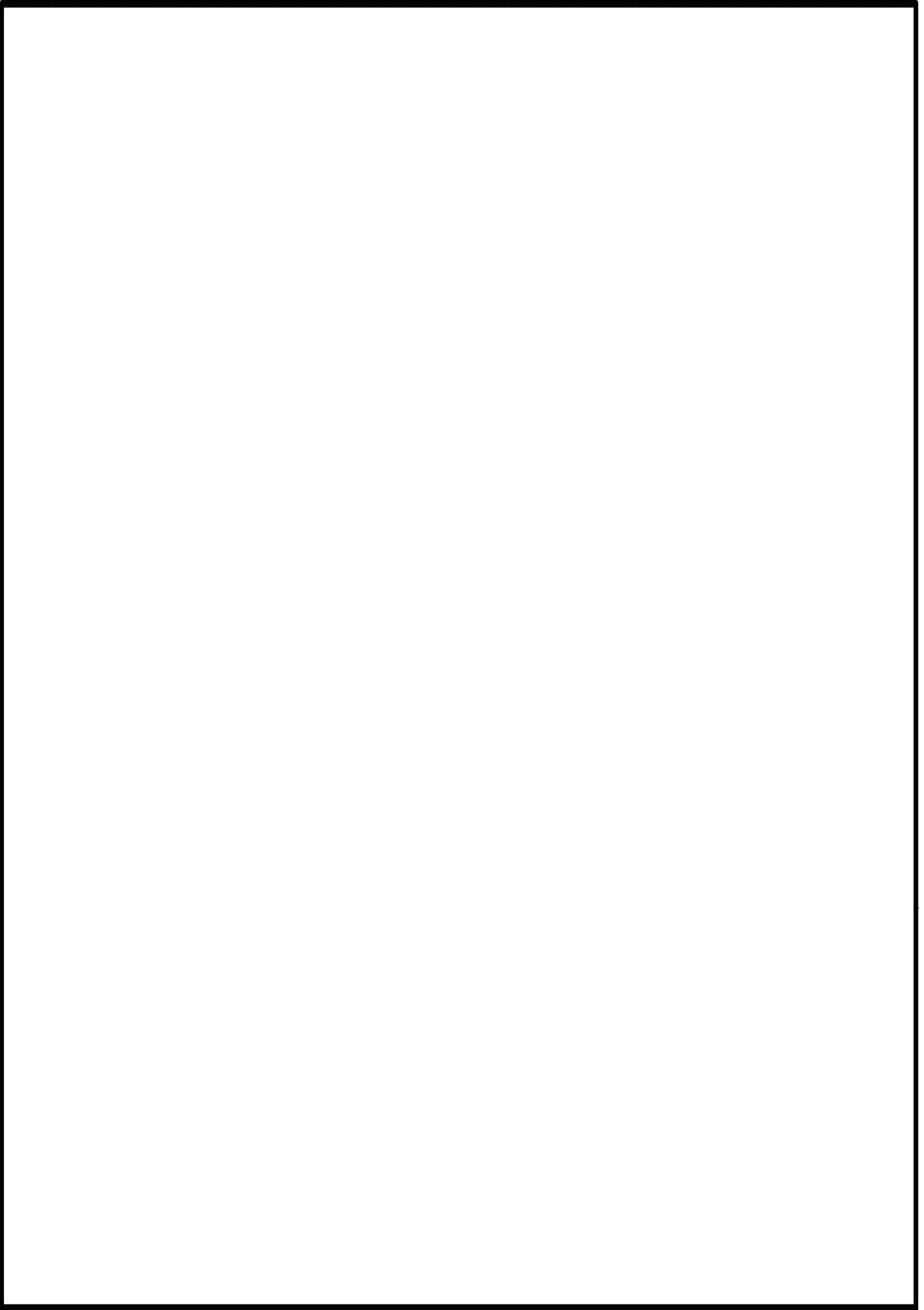
Thank you,
Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
(c) 202-489-8802

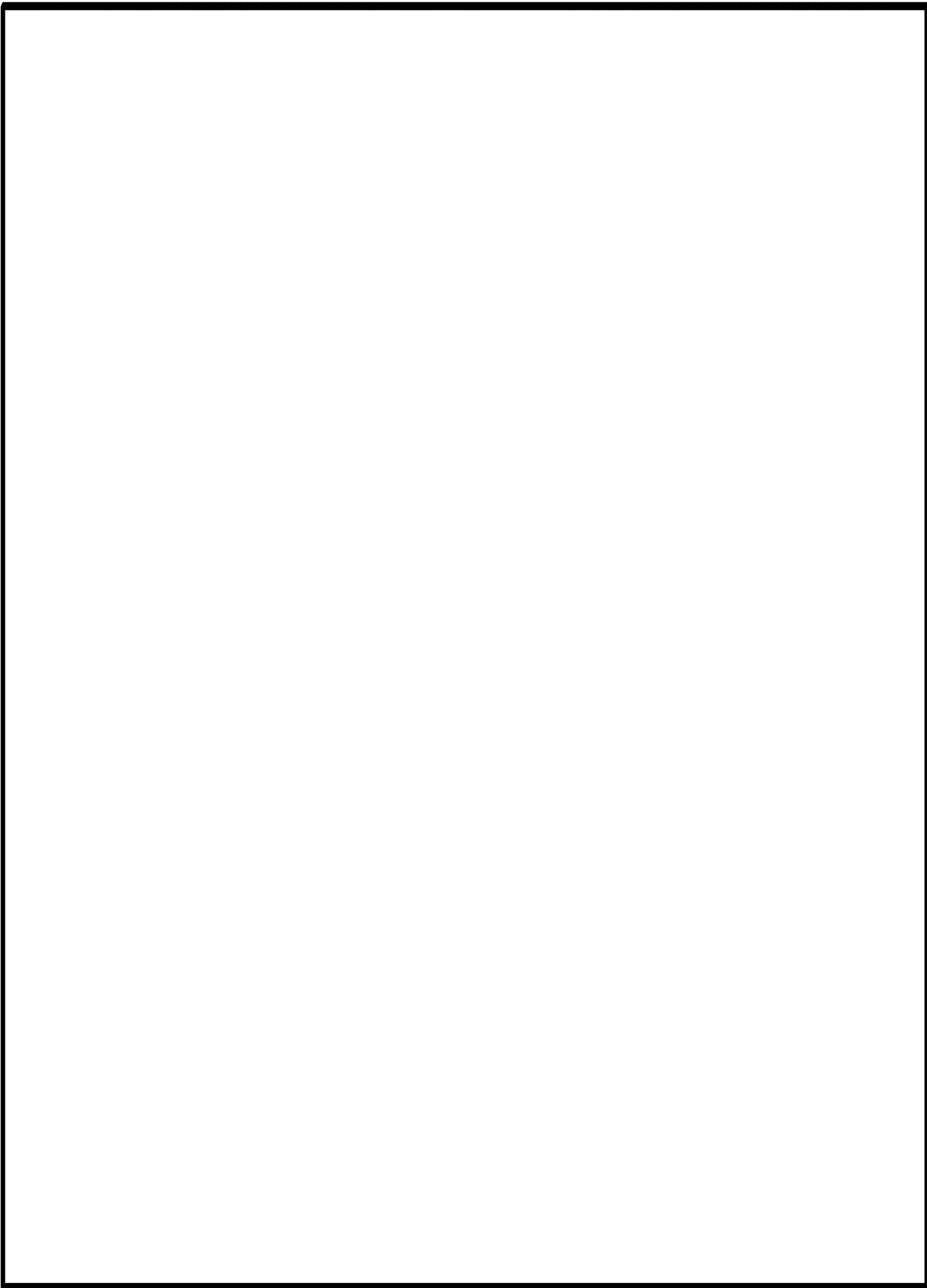
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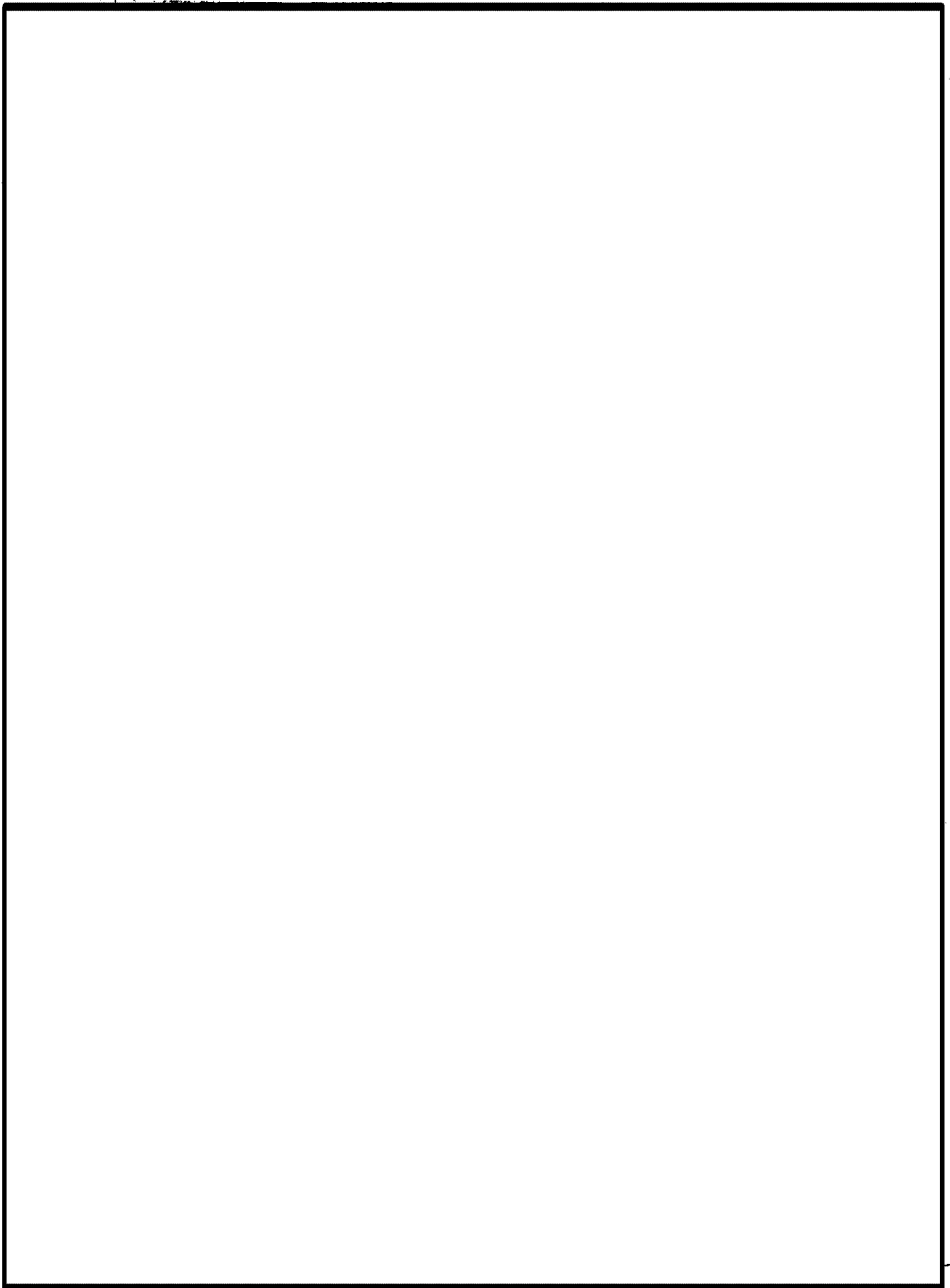


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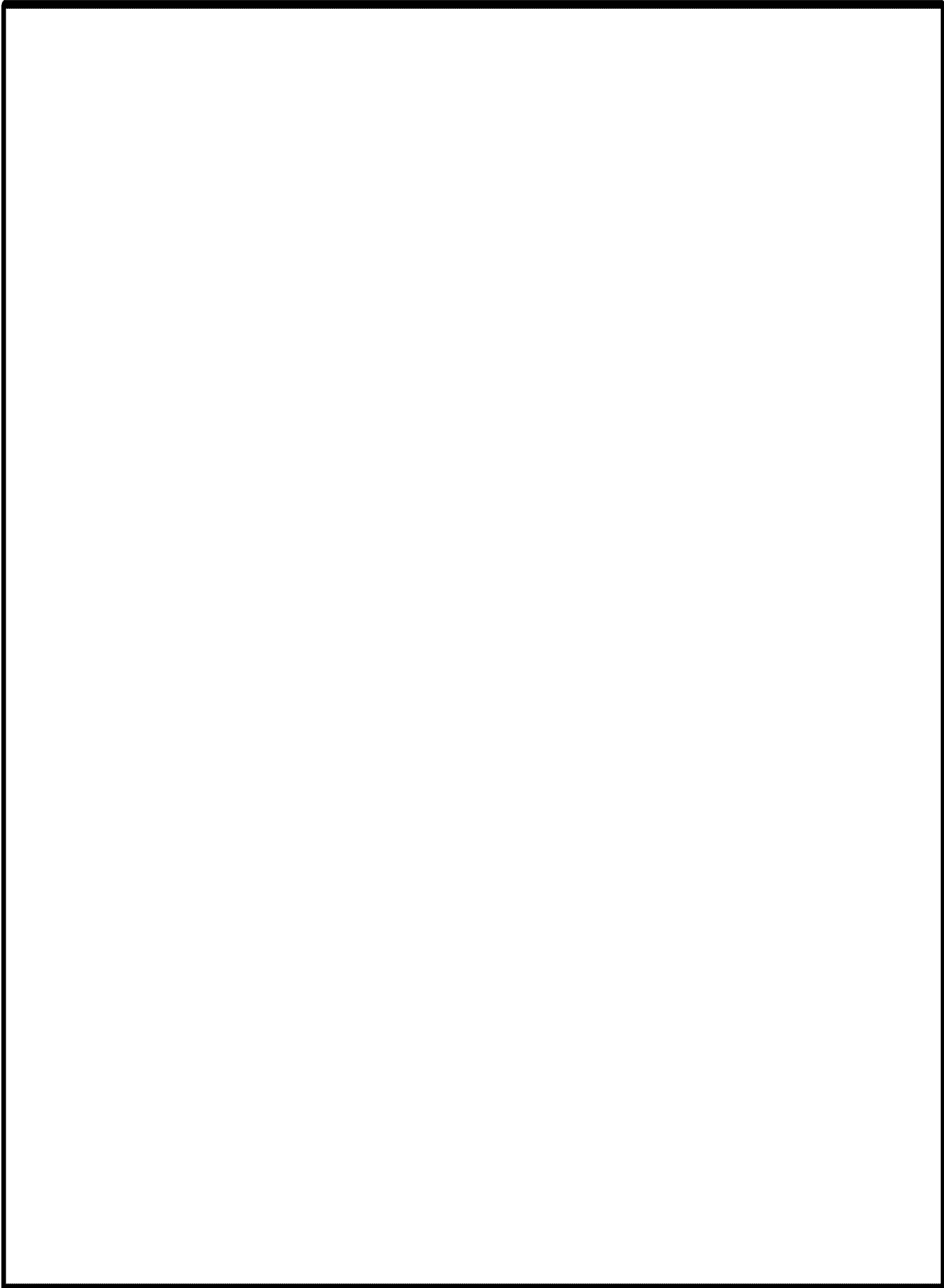




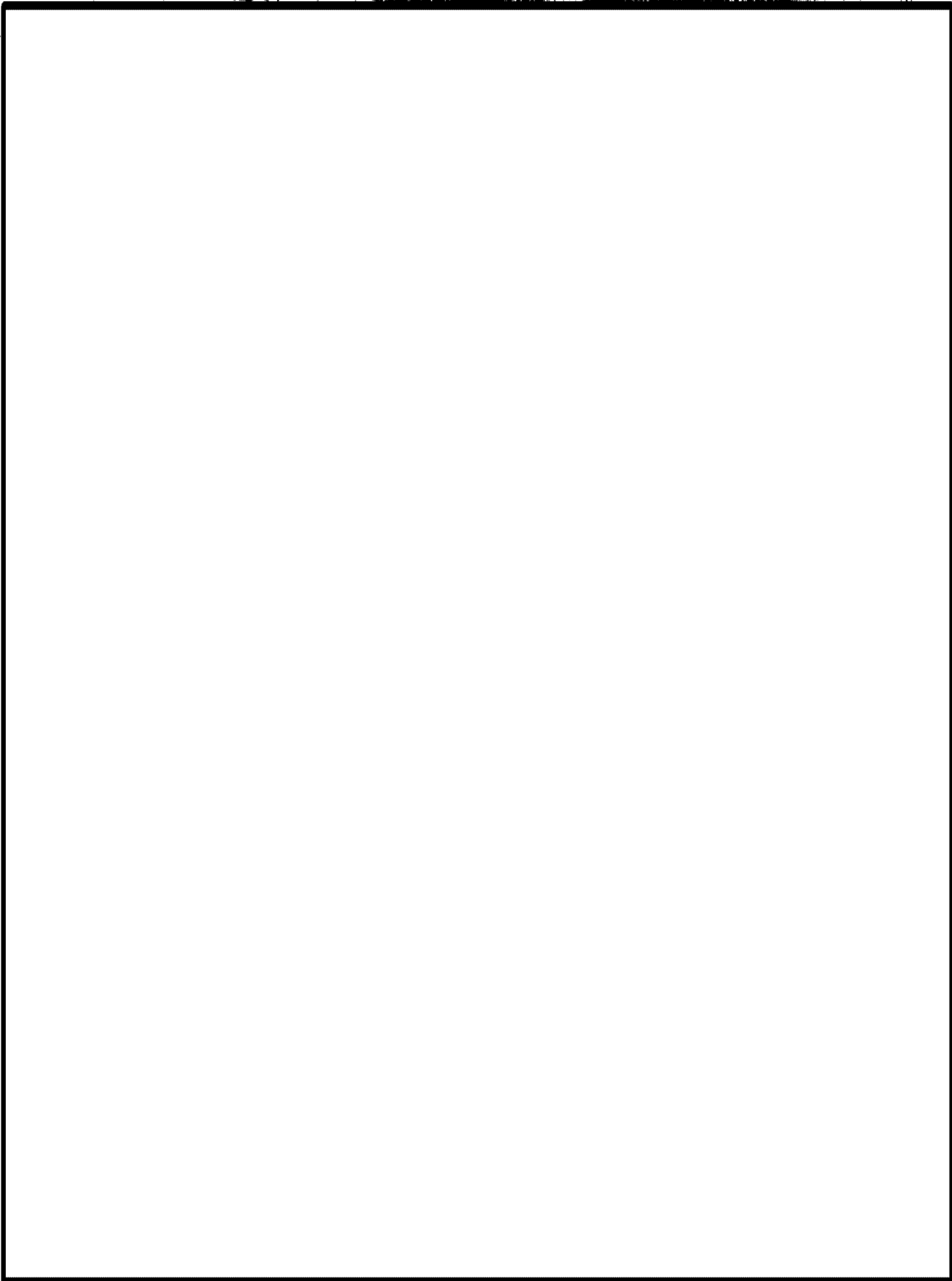
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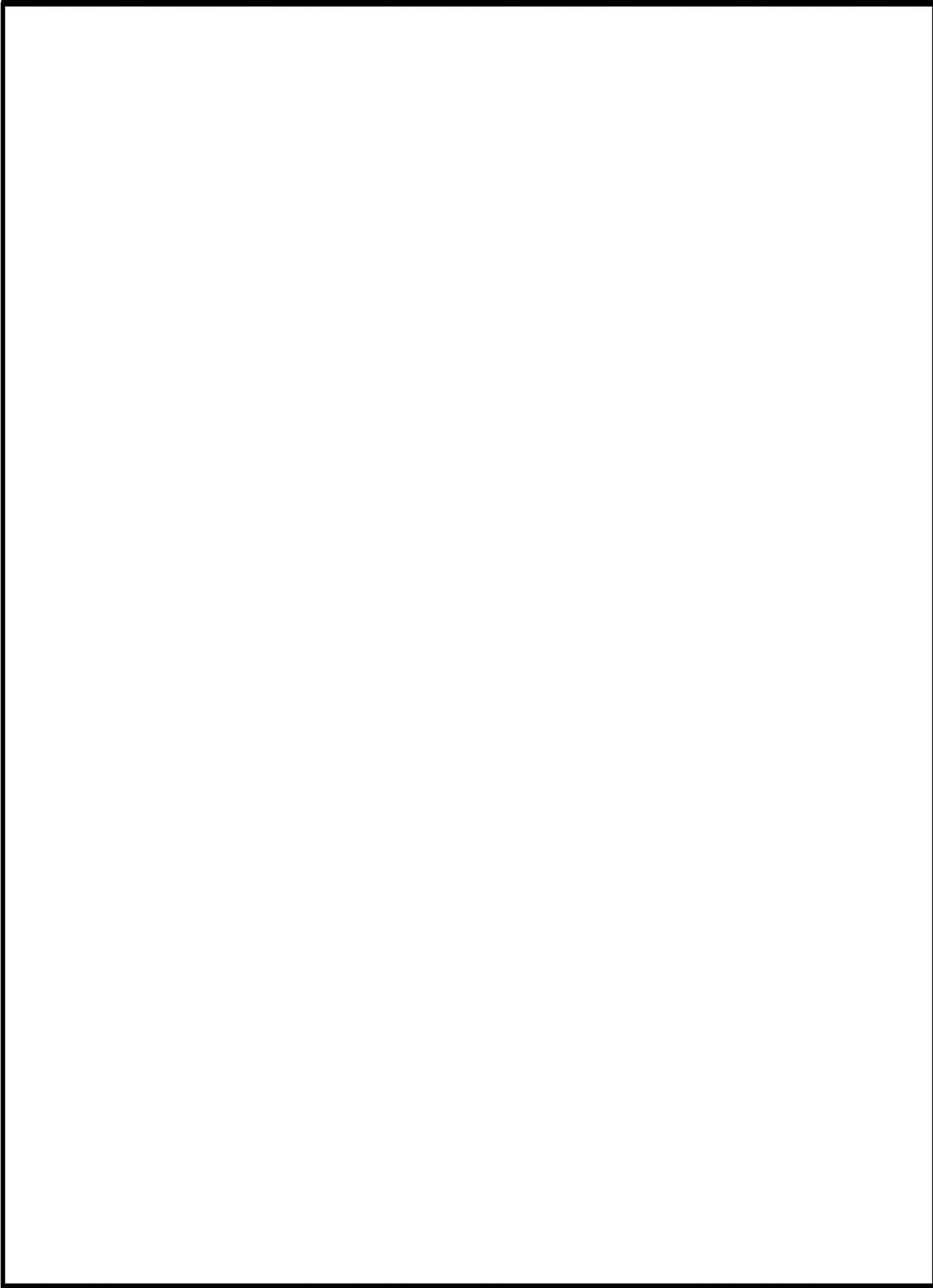
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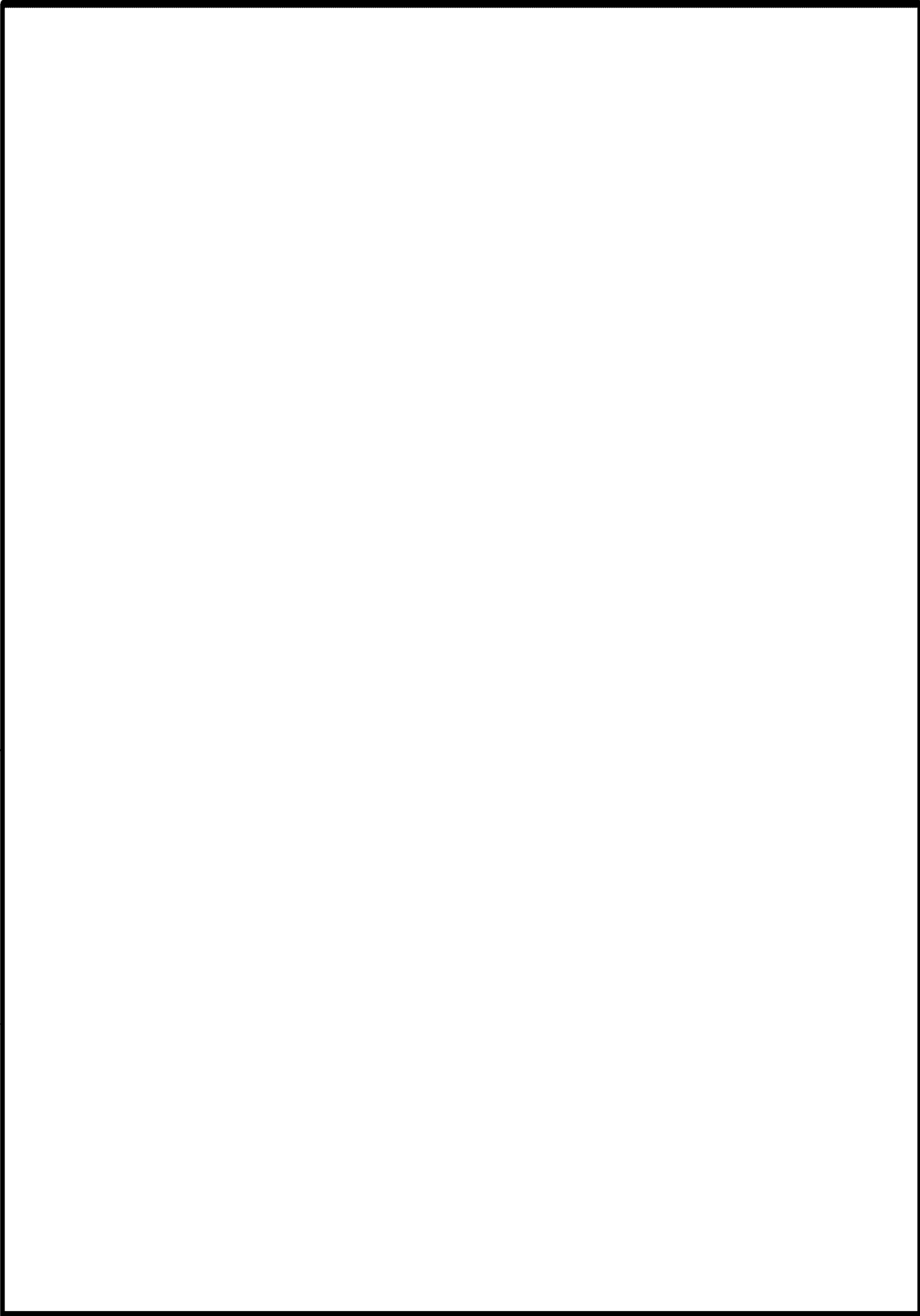
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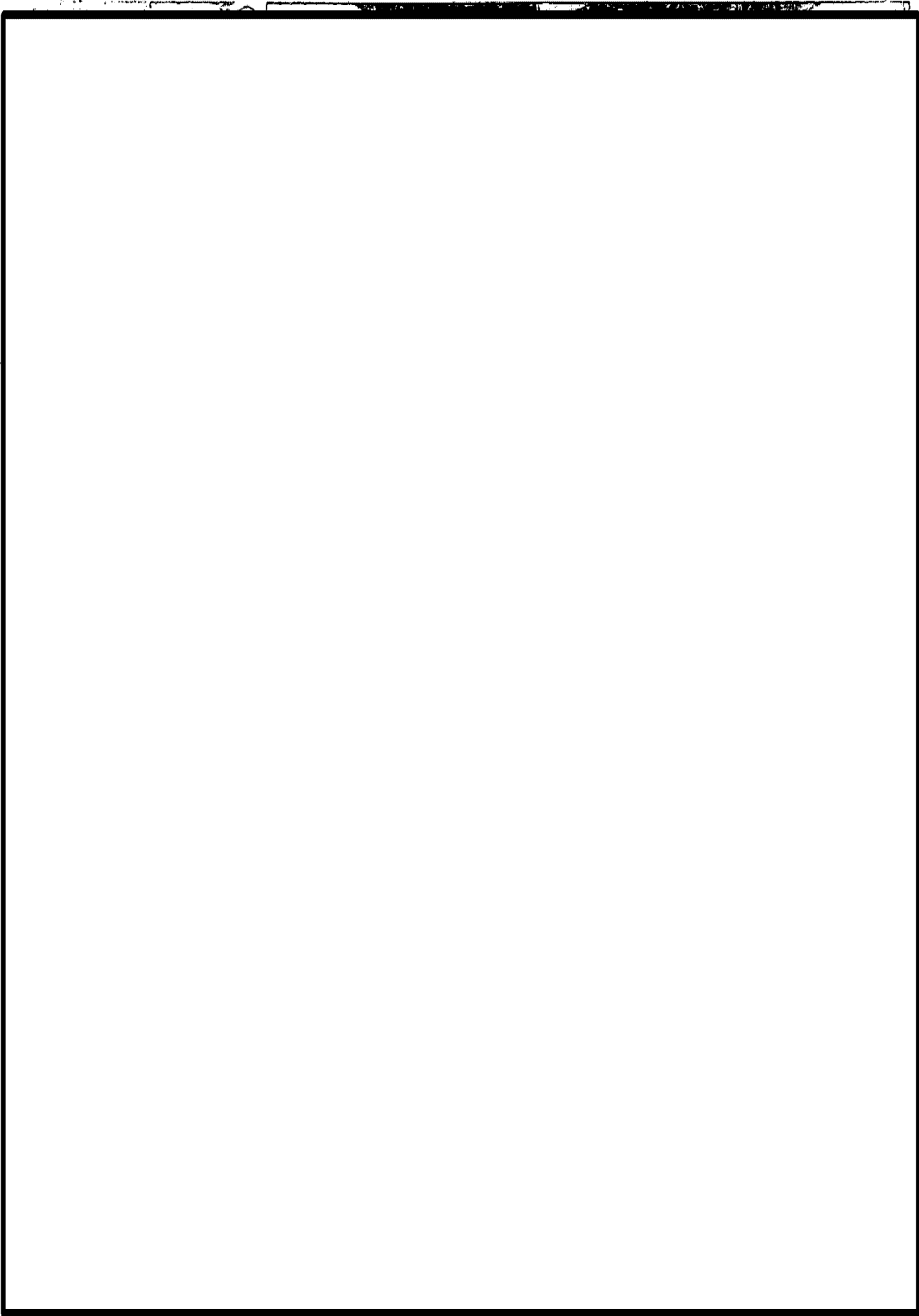


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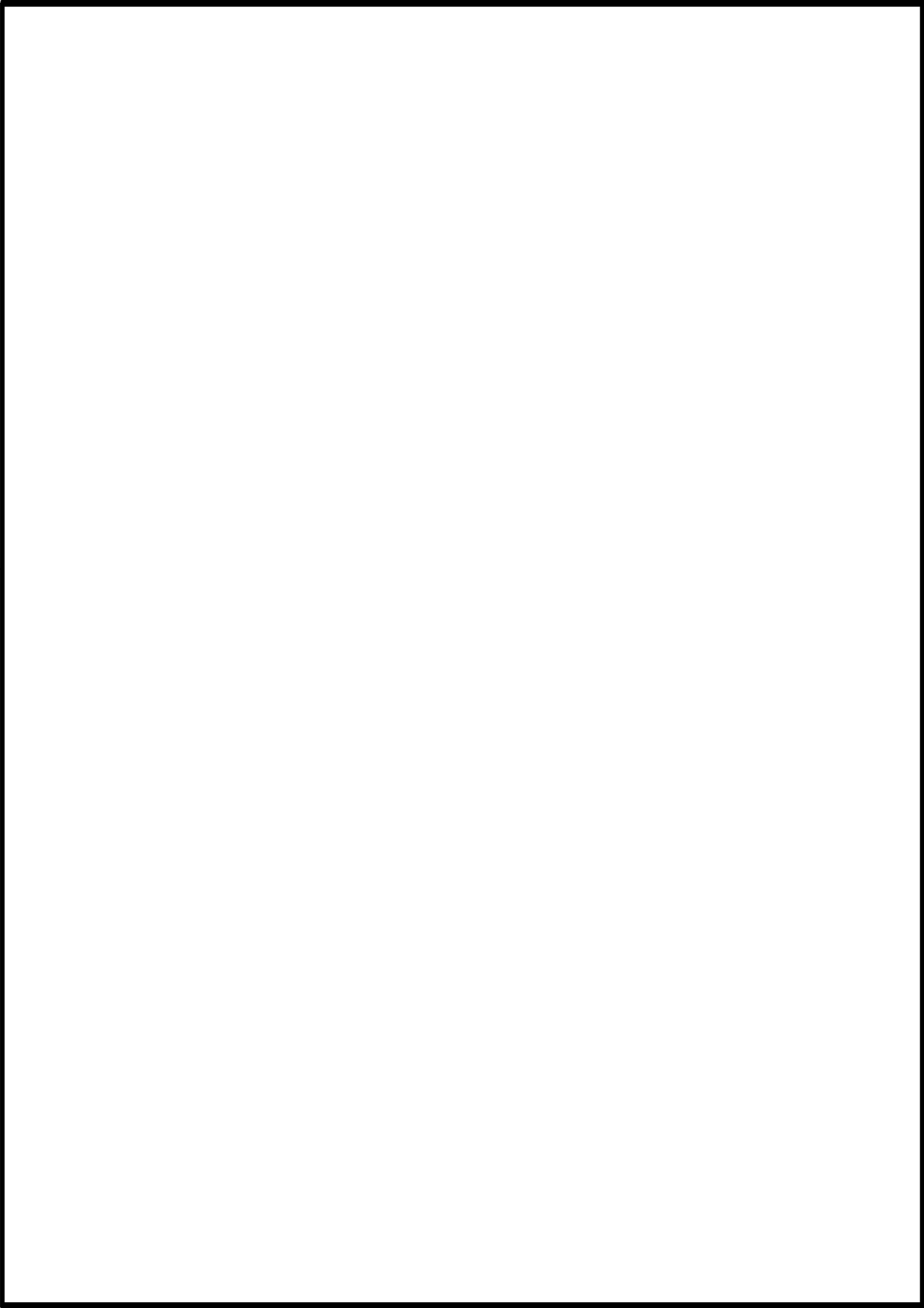
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(b) 5)

(b)(5)

(b)(5)



From: Carpenter, Dea D
To: USCIS Presidential Transition; OCC-Clearance
Cc: Miles, John D; Jaddou, Ur M; Renaud, Tracy L; Groom, Molly M
Subject: RE: Presidential Transition-Refugee Processing Briefing Presentation
Date: Wednesday, November 30, 2016 4:29:05 PM.

Thank you! Adding Molly Groom.

From: USCIS Presidential Transition
Sent: Wednesday, November 30, 2016 3:55:30 PM
To: OCC-Clearance
Cc: Miles, John D; Jaddou, Ur M; Carpenter, Dea D; Renaud, Tracy L
Subject: Presidential Transition-Refugee Processing Briefing Presentation

Good afternoon, OCC—

The president-elect's landing team has requested a briefing on refugee processing. Attached is a presentation RAIO and FDNS developed for the briefing and we request your clearance. Because this must also clear DHS, we would appreciate it if you could have this cleared by COB tomorrow, December 1st.

Thank you,
Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
(c) 202-489-8802

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From: Renaud, Tracy L
To: Carpenter, Dea D; USCIS Presidential Transition; OCC-Clearance
Cc: Miles, John D; Jaddou, Ur M; Groom, Molly M
Subject: RE: Presidential Transition-Refugee Processing Briefing Presentation
Date: Wednesday, November 30, 2016 4:41:00 PM

Thanks Dea. Just a forewarning to our friends in OCC, this is going to be the norm for turn-around on these documents. The original 48-hour timeline they gave us to produce and clear documents now is only 24-hours as the Department transition team needs the other 24-hour period to clear at the DSH level (OGC, Policy, etc).

*Tracy L. Renaud
Associate Director
Management Directorate
US Citizenship & Immigration Services
Department of Homeland Security
202-272-1739 (desk)*

From: Carpenter, Dea D
Sent: Wednesday, November 30, 2016 4:29 PM
To: USCIS Presidential Transition; OCC-Clearance
Cc: Miles, John D; Jaddou, Ur M; Renaud, Tracy L; Groom, Molly M
Subject: RE: Presidential Transition-Refugee Processing Briefing Presentation

Thank you! Adding Molly Groom.

From: USCIS Presidential Transition
Sent: Wednesday, November 30, 2016 3:55:30 PM
To: OCC-Clearance
Cc: Miles, John D; Jaddou, Ur M; Carpenter, Dea D; Renaud, Tracy L
Subject: Presidential Transition-Refugee Processing Briefing Presentation

Good afternoon, OCC—

The president-elect's landing team has requested a briefing on refugee processing. Attached is a presentation RAIO and FDNS developed for the briefing and we request your clearance. Because this must also clear DHS, we would appreciate it if you could have this cleared by COB tomorrow, December 1st.

Thank you,
Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
(c) 202-489-8802

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From: Renaud, Tracy L
To: [Fleet, Andrea B](#); [Schwartz, Mark A](#); [Jones, Keith A](#); [Clark, Levita S](#); [Stanley, Kathleen M \(Kathleen.M.Stanley@uscis.dhs.gov\)](#)
Cc: [Wittman, Gregory J](#); [Black, Diane E](#); USCIS MGT Tasks; [Kerns, Kevin J](#)
Subject: RE: PTO: USCIS Issue Paper-ELIS/Transformation--Due COB Today
Date: Friday, December 09, 2016 2:46:00 PM
Attachments: [USCIS Transformation IP 2016 parm comments.docx](#)

Andrea – I think OTC had the lead on this paper. Adding them here since they are the historical experts. I see Julie sent it to OTC as well and I don't want us duplicating effort if OTC had the pen on this document (which I believe is the case).

*Tracy L. Renaud
Associate Director
Management Directorate
US Citizenship & Immigration Services
Department of Homeland Security
202-272-1739 (desk)*

From: Fleet, Andrea B
Sent: Friday, December 09, 2016 1:27 PM
To: Schwartz, Mark A; Jones, Keith A
Cc: Wittman, Gregory J; Black, Diane E; USCIS MGT Tasks; Kerns, Kevin J; Renaud, Tracy L
Subject: FW: PTO: USCIS Issue Paper-ELIS/Transformation--Due COB Today
Importance: High

Good afternoon OIT –

See below. PARM requests your review and edit (as appropriate) on the attached three comments on the Transformation issue paper. Responses are due by COB today.

Thank you,

Andrea Fleet, Special Assistant
DHS|USCIS|Management Directorate (MGT)
20 Massachusetts Ave., NW, Suite 3112
Washington, DC 20529
(202) 272-1857
Andrea.B.Fleet@uscis.dhs.gov

From: USCIS Presidential Transition
Sent: Friday, December 09, 2016 1:24 PM
To: USCIS MGT Tasks; Stanley, Kathleen M
Cc: Kerns, Kevin J; Renaud, Tracy L; Collins, Anissa A; Clark, Levita S
Subject: FW: PTO: USCIS Issue Paper-ELIS/Transformation--Due COB Today
Importance: High

Good afternoon,

We received three comments from PARM on the Transformation issue paper. Please review and edit as appropriate and have your edits back to me by COB today.

Thank you,
Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
(c) 202-489-8802

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From: Brown II, Melvin
Sent: Friday, December 09, 2016 12:40 PM
To: USCIS Presidential Transition
Cc: Beagles, James; Horowitz, Scott; Halter, Greg; Stewart, Bion
Subject: FW: PTO: USCIS Issue Paper-ELIS/Transformation

Julie,

Attached are comments from PARM for your consideration.

Melvin Brown II
Senior Advisor
Presidential Transition Office
U.S. Department of Homeland Security
Office: (202) 282-8238
Cell: 202-510-6333 (Blackberry)
NAC 01-03-004-B

From: Patrick, David
Sent: Friday, December 9, 2016 12:34 PM
To: Brown II, Melvin <Melvin.Brown@HQ.DHS.GOV>
Cc: Beagles, James <James.Beagles@HQ.DHS.GOV>; Halter, Greg <greg.halter@hq.dhs.gov>; Horowitz, Scott <Scott.Horowitz@HQ.DHS.GOV>; Micone, Vincent <Vincent.Micone@HQ.DHS.GOV>; Stewart, Bion <bion.stewart@hq.dhs.gov>; Dusina, Jeremy <Jeremy.Dusina@HQ.DHS.GOV>; PARMExecSec, <PARMExecSec@HQ.DHS.GOV>
Subject: RE: PTO: USCIS Issue Paper-ELIS/Transformation

Melvin,

PARM had a few minor comments on the attached USCIS document. Jeremy Dusina was the PARM reviewer for the document.

Thanks,

David Patrick
Director, Acquisition Operations
MGMT – PARM

Phone: 202-570-9583

Email: David.Patrick@hq.dhs.gov

From: Brown II, Melvin

Sent: Friday, December 9, 2016 10:12 AM

To: Patrick, David <David.Patrick@HQ.DHS.GOV>

Cc: Beagles, James <James.Beagles@HQ.DHS.GOV>; Halter, Greg <greg.halter@hq.dhs.gov>; Horowitz, Scott <Scott.Horowitz@HQ.DHS.GOV>; Micone, Vincent <Vincent.Micone@HQ.DHS.GOV>; Stewart, Bion <bion.stewart@hq.dhs.gov>; Brown II, Melvin <Melvin.Brown@HQ.DHS.GOV>

Subject: FW: PTO: USCIS Issue Paper-ELIS/Transformation

David,

Attached is the USCIS response for your review and clearance. We need the response by COB today.

Melvin Brown II
Senior Advisor
Presidential Transition Office
U.S. Department of Homeland Security
Office: (202) 282-8238
Cell: 202-510-6333 (Blackberry)
NAC 01-03-004-B

From: Stewart, Bion

Sent: Friday, December 9, 2016 6:14 AM

To: Pontinen, Kaiya <Kaiya.Pontinen@HQ.DHS.GOV>; Marcott, Stacy <Stacy.Marcott@HQ.DHS.GOV>; Burriesci, Kelli <kelli.burriesci@hq.dhs.gov>; Maher, Joseph <Joseph.Maher@HQ.DHS.GOV>; Petyo, Briana <briana.petyo@hq.dhs.gov>; Harris, Mark E (DHS CFO) <mark.harris@HQ.DHS.GOV>; Cooch, Shila <Shila.Cooch@hq.dhs.gov>; Corbin, Susan <Susan.Corbin@hq.dhs.gov>

Cc: Beagles, James <James.Beagles@HQ.DHS.GOV>; Brown II, Melvin <Melvin.Brown@HQ.DHS.GOV>; Horowitz, Scott <Scott.Horowitz@HQ.DHS.GOV>

Subject: FW: PTO: USCIS Issue Paper-ELIS/Transformation

OGC, PLCY, CFO, OLA - Request review and clearance of the attached by COB today.
This will be a table drop for a follow-on brief on ELIS. Looping in CIO as well.

Jim/Melvin - I don't have the PARM CAO's name handy. Can you please loop them in as well. Please also log this in the RFI tracker.

Thanks.

Bion

From: USCIS Presidential Transition
Sent: Thursday, December 08, 2016 4:03:39 PM
To: Stewart, Bion
Cc: Horowitz, Scott; Beagles, James; Renaud, Tracy L
Subject: USCIS Issue Paper-ELIS/Transformation

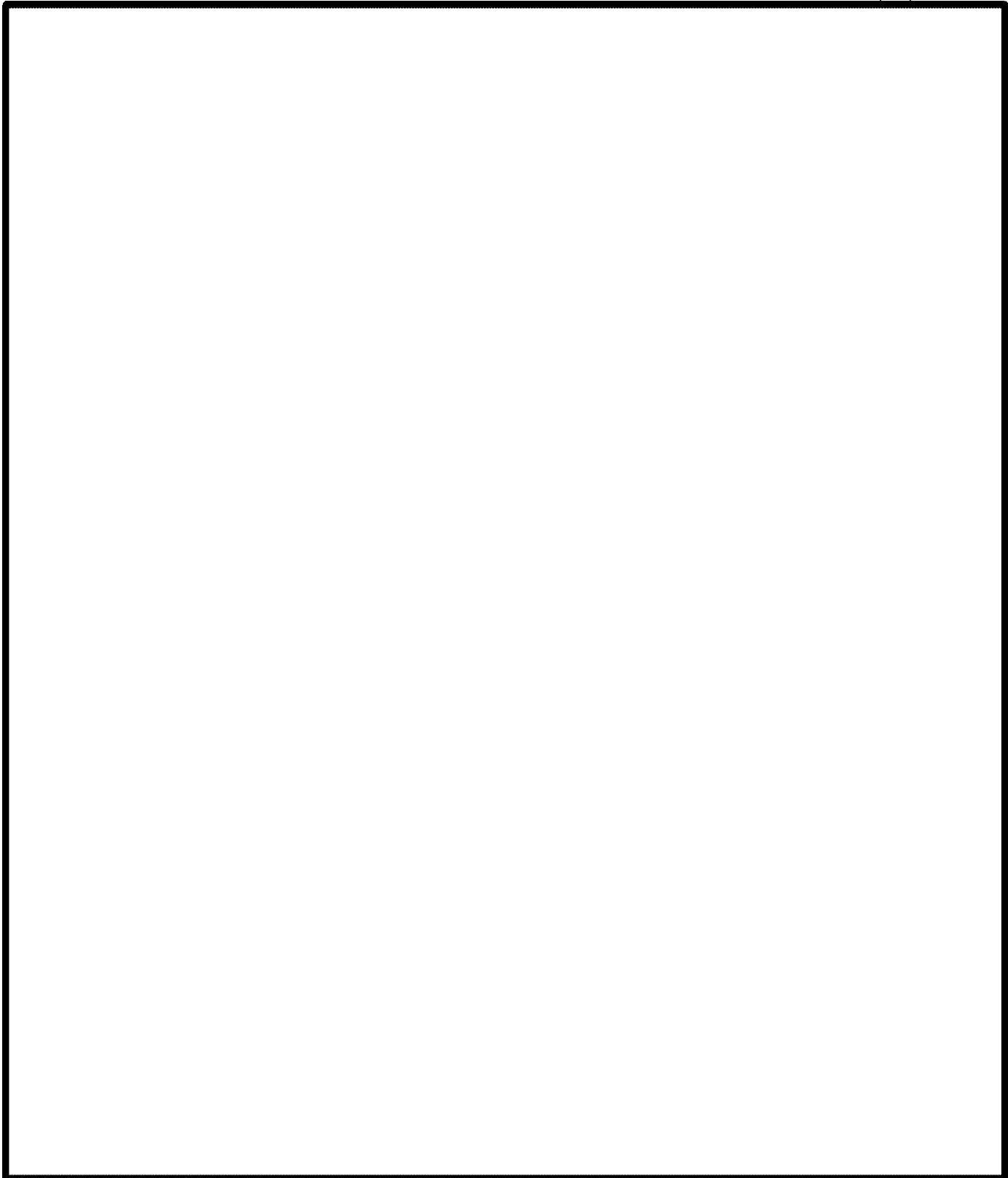
Bion,

Attached is an updated issue paper on USCIS ELIS and the transformation initiative. We will not have any other materials to provide to the landing team for the briefing on Monday (unless, of course, they request something else). If you have any questions, please do not hesitate to let us know.

Thank you,
Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
(c) 202-489-8802

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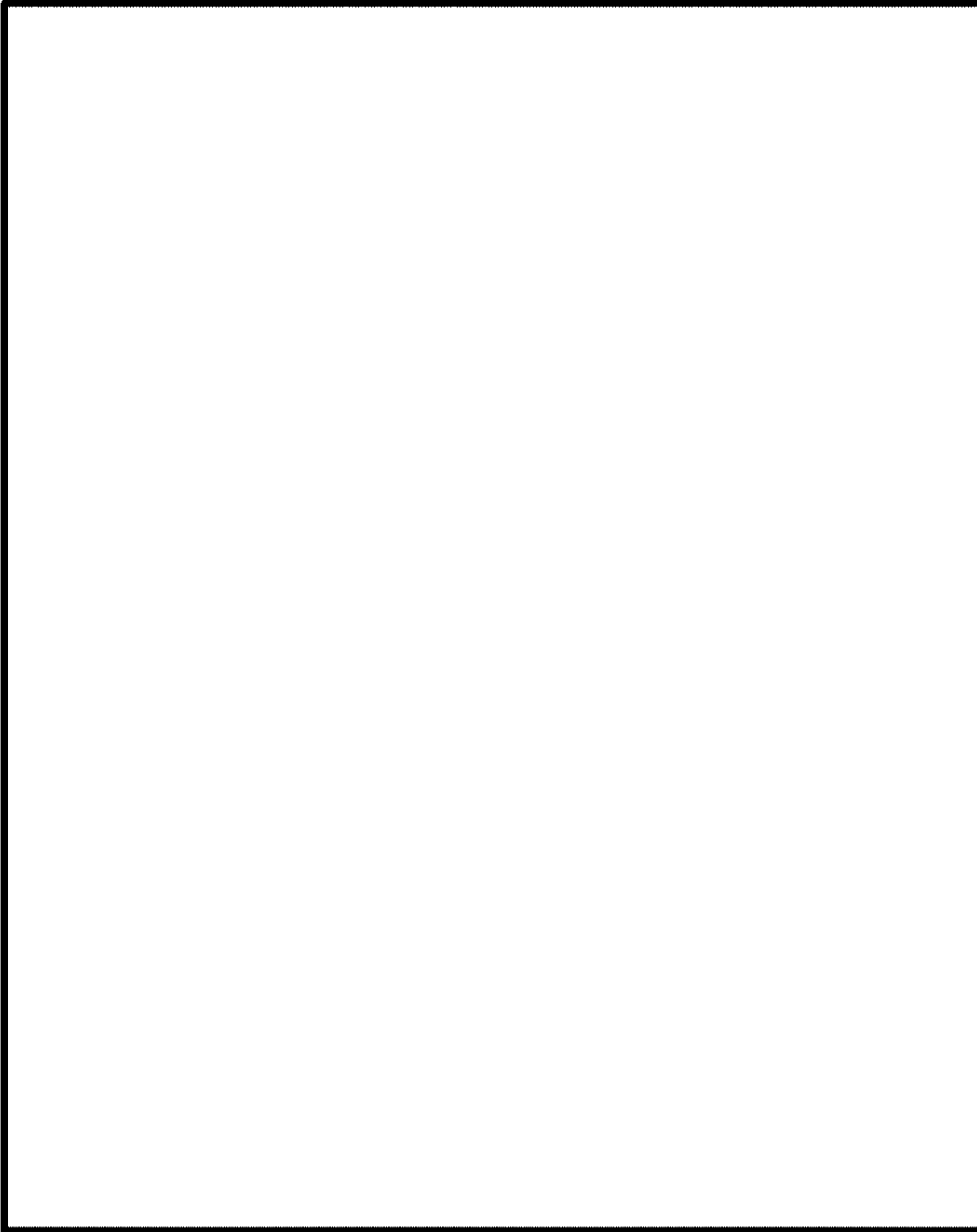


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Homeland
Security

DHS Secretary Briefing Binder

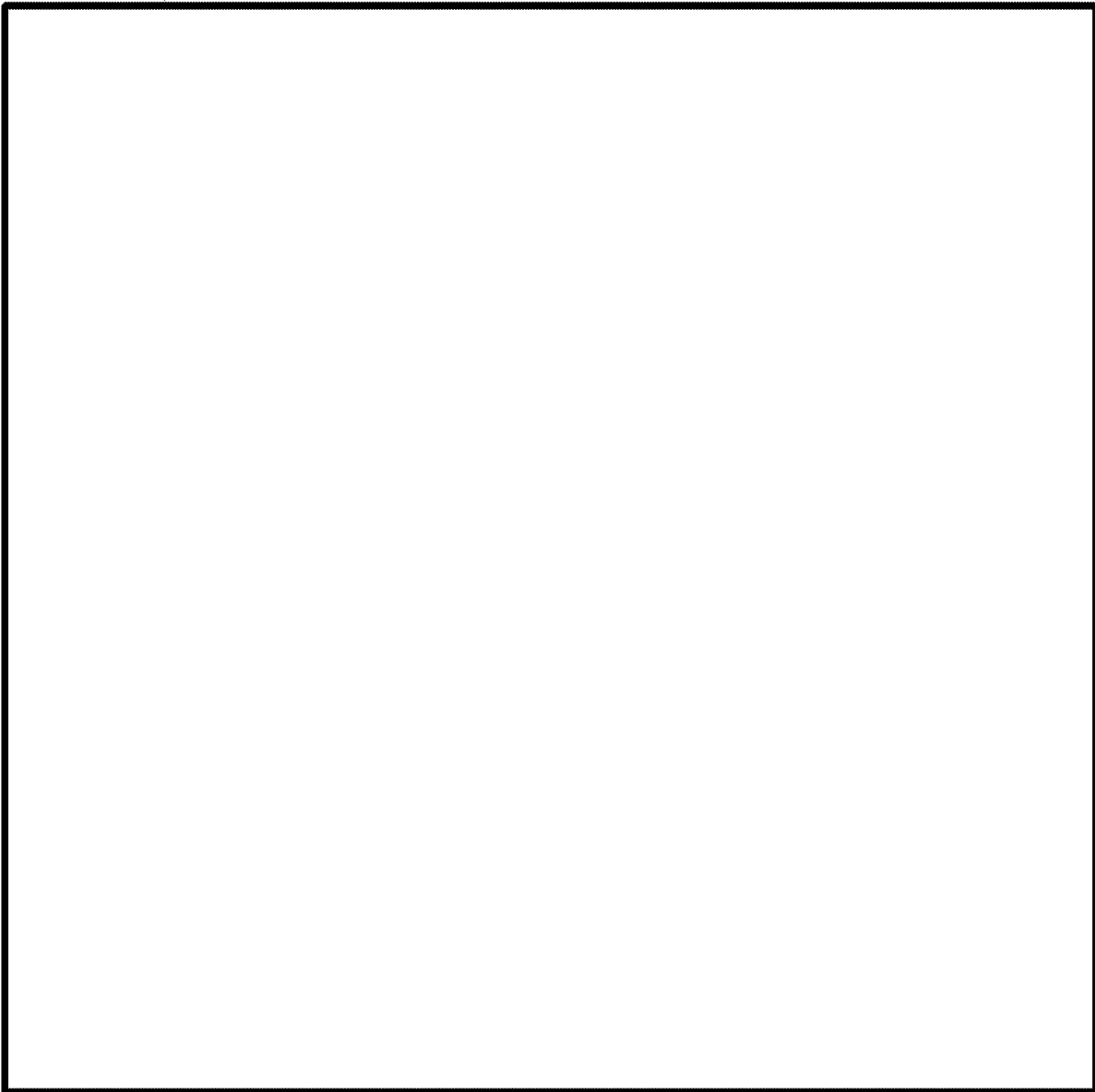


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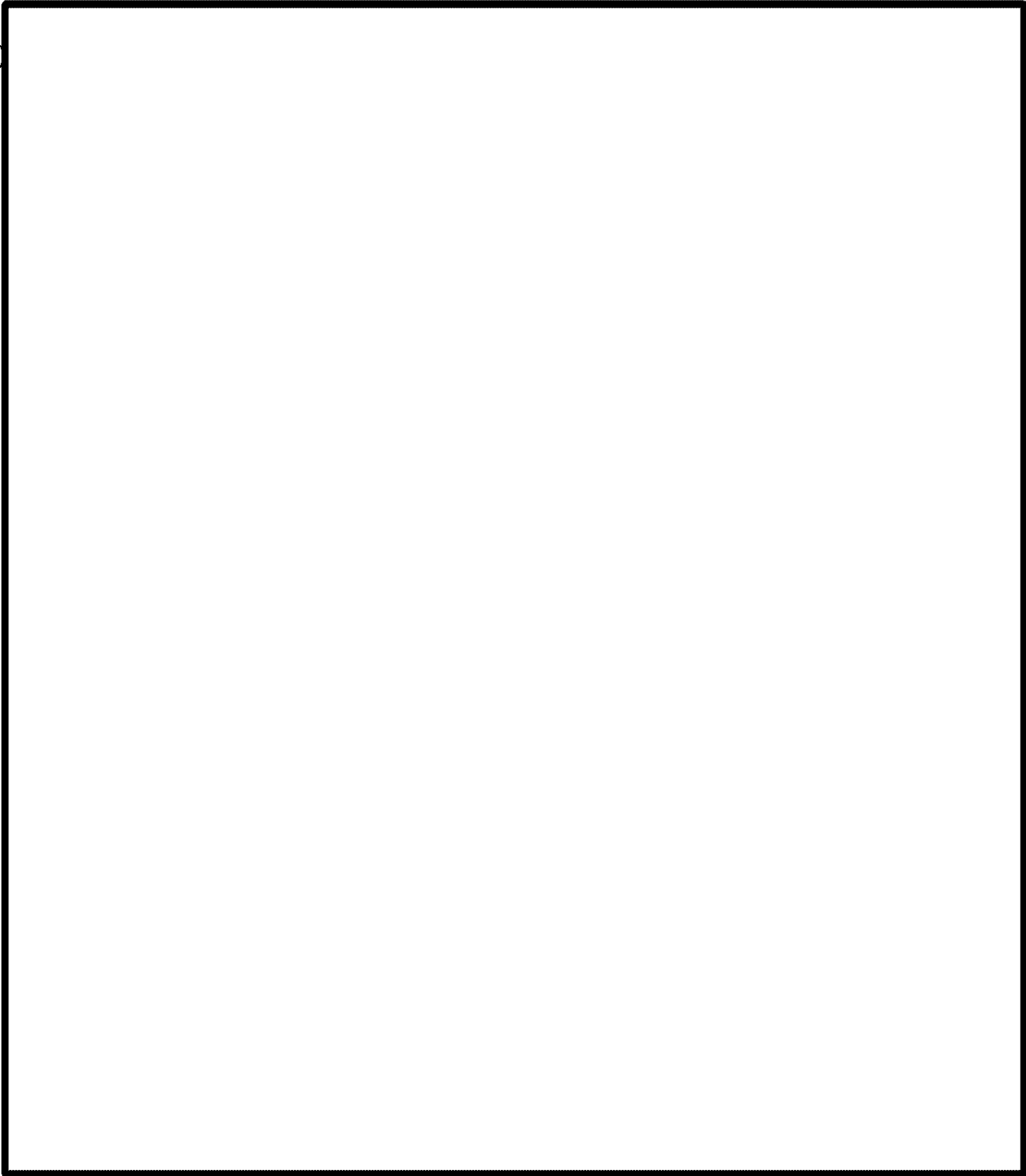


DHS Secretary Briefing Binder



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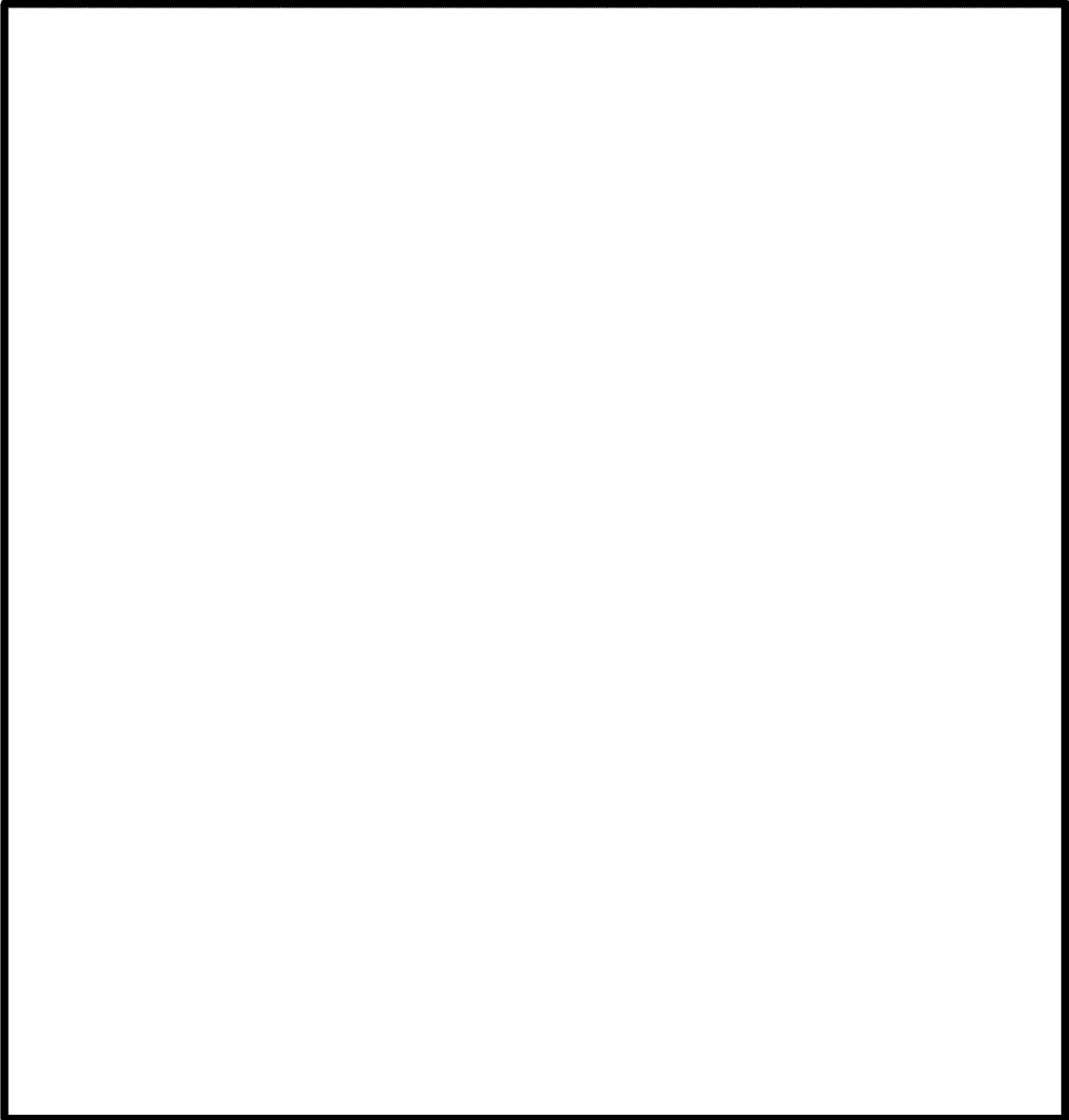
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From: Scialabba, Lori L
Sent: Thursday, December 08, 2016 1:04:04 AM
To: Young, Todd P
Cc: Prater, Jocelyn S; Renaud, Tracy L
Subject: Refugee slides

(b)(5)

Hey Todd,



I think that's it.

Thanks Todd.
Lori

From: USCIS_Presidential_Transition
To: Renaud, Tracy L
Subject: RE: Transition RFI-ELIS Costs
Date: Tuesday, December 13, 2016 10:42:34 PM
Attachments: USCIS_ELIS_Costs.docx

Is this correct? I also took out item 4 and the N-400 in process information because this was answered in a previous RFI response and already submitted to the PTO.

And thank you for all your help with this. Imagine if we have 50 of these...poor CBP and ICE (although they both have whole offices dedicated to the transition, I'd say we're doing alright for just the two of us ☺).

Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
(c) 202-489-8802

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From: Renaud, Tracy L
Sent: Tuesday, December 13, 2016 10:33 PM
To: Young, Todd P; USCIS Presidential Transition; Krebs, Kristie L; Walters, Jessica S; Prelogar, Brandon B
Subject: RE: Transition RFI-ELIS Costs

Will do. thx

*Tracy L. Renaud
Associate Director
Management Directorate
US Citizenship & Immigration Services
Department of Homeland Security
202-272-1739 (desk)*

From: Young, Todd P
Sent: Tuesday, December 13, 2016 10:32 PM
To: Renaud, Tracy L; USCIS Presidential Transition; Krebs, Kristie L; Walters, Jessica S; Prelogar, Brandon B
Subject: RE: Transition RFI-ELIS Costs

Thanks Tracy. I now understand, but let's go ahead and just delete this portion since it's unrelated to the issue.

From: Renaud, Tracy L
Sent: Tuesday, December 13, 2016 10:30:12 PM
To: Young, Todd P; USCIS Presidential Transition; Krebs, Kristie L; Walters, Jessica S; Prelogar, Brandon B
Subject: RE: Transition RFI-ELIS Costs

We can just delete the portion about migration of data if that makes it easier since the request wasn't related to that particular issue.

(b)(5)

*Tracy L. Renaud
Associate Director
Management Directorate
US Citizenship & Immigration Services
Department of Homeland Security
202-272-1739 (desk)*

From: Young, Todd P
Sent: Tuesday, December 13, 2016 10:25 PM
To: USCIS Presidential Transition; Krebs, Kristie L; Walters, Jessica S; Prelogar, Brandon B
Cc: Renaud, Tracy L
Subject: RE: Transition RFI-ELIS Costs

(b)(5)

From: USCIS Presidential Transition
Sent: Tuesday, December 13, 2016 10:15:07 PM
To: Young, Todd P; Krebs, Kristie L; Walters, Jessica S; Prelogar, Brandon B
Cc: Renaud, Tracy L
Subject: Transition RFI-ELIS Costs

Here's the last thing that needs to be reviewed/cleared. It is a summary of costs associated with ELIS.

Thank you. Apologies for the gazillion emails today and the late emails.

Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
(c) 202-489-8802

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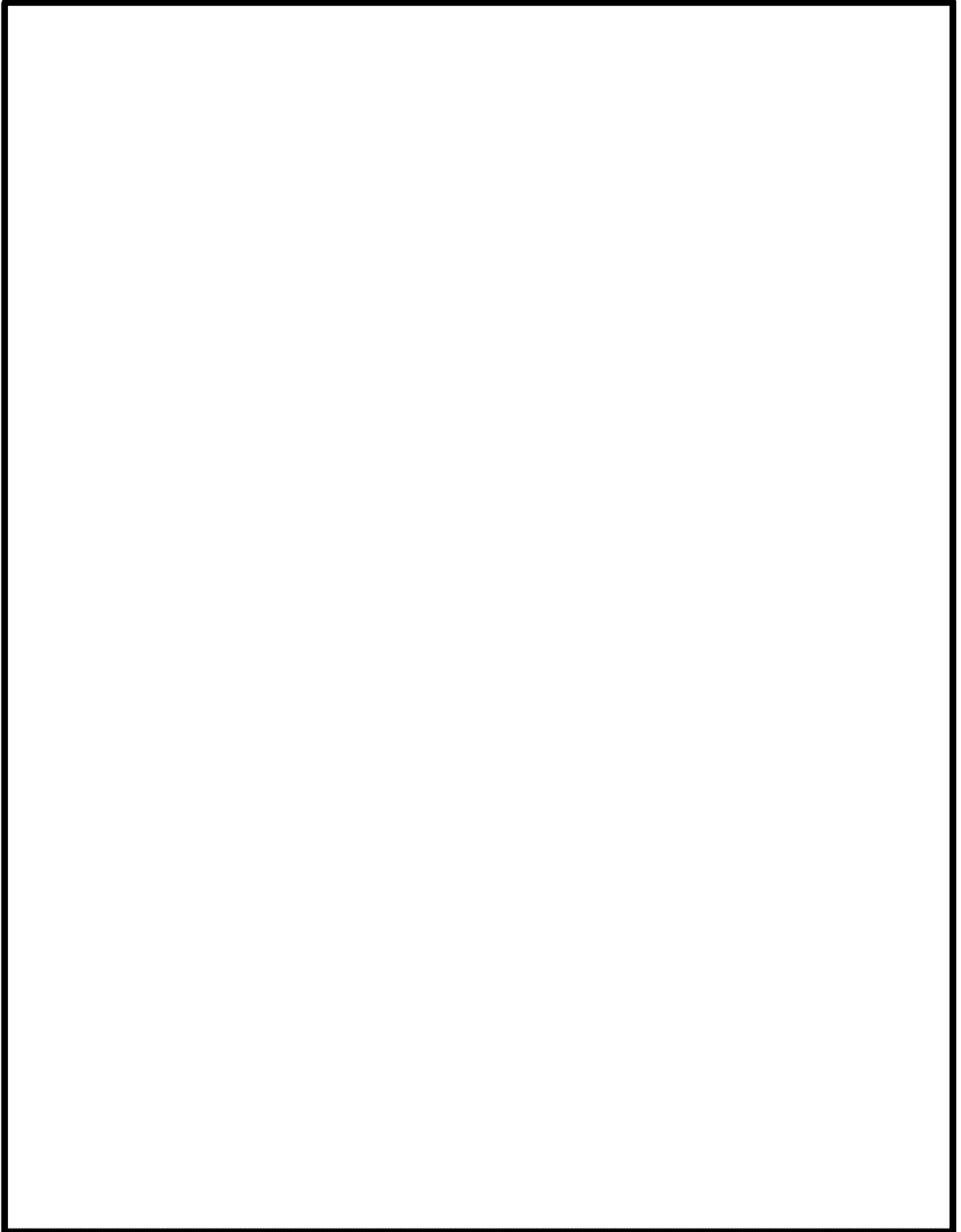
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Information Request from Presidential Transition Team

OTC

December 13, 2016



(b)(5)



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From: Lenkowsky, Matthew
To: Stone, Mary M; USCIS Presidential Transition; Matthews, Tara A; Farnam, Julie E
Cc: Emrich, Matthew D; Davidson, Andrew J; Zellen, Lorie A; Langlois, Joseph E; Strack, Barbara L; Renaud, Tracy L
Subject: RE: Transition Team Briefing Request--Refugee Processing and Vetting
Date: Wednesday, November 30, 2016 9:49:14 AM
Attachments: Security Vetting RAD context -Transition (updated 30 Nov).pptx

Updated slide deck attached (with more program overview info) for discussion at the 1000 prep session.

Best,

Matt Lenkowsky

Security Vetting & Program Integrity
Refugee Affairs Division, US Citizenship and Immigration Services
202.272.9046 (o)
202.701.9477 (c)

From: Stone, Mary M
Sent: Wednesday, November 30, 2016 9:06 AM
To: USCIS Presidential Transition; Matthews, Tara A; Farnam, Julie E
Cc: Emrich, Matthew D; Davidson, Andrew J; Zellen, Lorie A; Langlois, Joseph E; Strack, Barbara L; Renaud, Tracy L; Lenkowsky, Matthew
Subject: RE: Transition Team Briefing Request--Refugee Processing and Vetting

Yes; Julie – working on this now.

From: USCIS Presidential Transition
Sent: Wednesday, November 30, 2016 8:34 AM
To: Stone, Mary M; Matthews, Tara A; Farnam, Julie E
Cc: Emrich, Matthew D; Davidson, Andrew J; Zellen, Lorie A; Langlois, Joseph E; Strack, Barbara L; Renaud, Tracy L; Lenkowsky, Matthew
Subject: RE: Transition Team Briefing Request--Refugee Processing and Vetting

Thanks, Mary Margaret. Do we have or can we add a few slides that generally talks about the process for someone to come to the U.S. as a refugee? Something similar to what's included in the issue paper your office wrote and then we can get into the vetting piece. I think they need that context of the overall process because without that, I think they may make assumptions. If you could provide me with an updated presentation later today, that would be greatly appreciated.

Thank you,
Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
(c) 202-489-8802

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From: Stone, Mary M
Sent: Tuesday, November 29, 2016 5:13 PM
To: Matthews, Tara A; Farnam, Julie E; USCIS Presidential Transition
Cc: Emrich, Matthew D; Davidson, Andrew J; Zellen, Lorie A; Langlois, Joseph E; Strack, Barbara L; Renaud, Tracy L; Lenkowsky, Matthew
Subject: RE: Transition Team Briefing Request--Refugee Processing and Vetting

Julie – here is the combined presentation for OCC clearance. Also – has there been a specific time set for Thursday afternoon? Thank you, Mary Margaret

From: Stone, Mary M
Sent: Tuesday, November 29, 2016 5:00 PM
To: Matthews, Tara A; Farnam, Julie E; USCIS Presidential Transition
Cc: Emrich, Matthew D; Davidson, Andrew J; Zellen, Lorie A; Langlois, Joseph E; Strack, Barbara L; Renaud, Tracy L
Subject: RE: Transition Team Briefing Request--Refugee Processing and Vetting

Julie – we're combining the presentations now and will send our final in shortly...in the next 20 minutes. Sorry for the confusion! Thanks, Mary Margaret

From: Matthews, Tara A
Sent: Tuesday, November 29, 2016 4:42 PM
To: Farnam, Julie E; USCIS Presidential Transition
Cc: Emrich, Matthew D; Davidson, Andrew J; Zellen, Lorie A; Langlois, Joseph E; Strack, Barbara L; Stone, Mary M; Renaud, Tracy L
Subject: FW: Transition Team Briefing Request--Refugee Processing and Vetting

Please see the attached briefing. Thank you.

V/r,

Tara A. Matthews
Special Assistant, FDNS Front Office
P: 202-272-9329
E: tara.matthews@uscis.dhs.gov

From: USCIS Presidential Transition
Sent: Tuesday, November 29, 2016 8:53:08 PM
To: Strack, Barbara L; Stone, Mary M; Emrich, Matthew D

Cc: Langlois, Joseph E; Davidson, Andrew J; Renaud, Tracy L
Subject: RE: Transition Team Briefing Request--Refugee Processing and Vetting

Just a friendly reminder that if you intend to have a PowerPoint or other presentation materials at this briefing, I will need them today.

Thank you,
Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
(c) 202-489-8802

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From: Renaud, Tracy L
Sent: Monday, November 28, 2016 3:18 PM
To: Strack, Barbara L; Stone, Mary M; Emrich, Matthew D; USCIS Presidential Transition
Cc: Langlois, Joseph E; Davidson, Andrew J
Subject: RE: Transition Team Briefing Request--Refugee Processing and Vetting

So far only the two leads for DHS have cleared security so right now it will only be them unless others clear within the next day or two. The two leads are Michael Dougherty and Dr James Carafano.

Please make sure any slide deck you intend to use is given to Julie by COB tomorrow so we can get OCC clearance before the briefing.

From: Strack, Barbara L
Sent: Monday, November 28, 2016 3:13:40 PM
To: Stone, Mary M; Emrich, Matthew D; USCIS Presidential Transition
Cc: Renaud, Tracy L; Langlois, Joseph E; Davidson, Andrew J
Subject: RE: Transition Team Briefing Request--Refugee Processing and Vetting

So it begins...

Would you let me know the names once you learn who will be there for the transition?
Thanks.

From: Stone, Mary M
Sent: Monday, November 28, 2016 2:29:30 PM
To: Emrich, Matthew D; USCIS Presidential Transition; Strack, Barbara L

Cc: Renaud, Tracy L; Langlois, Joseph E; Davidson, Andrew J
Subject: RE: Transition Team Briefing Request--Refugee Processing and Vetting

Thanks Julie.

From: Emrich, Matthew D
Sent: Monday, November 28, 2016 2:14 PM
To: USCIS Presidential Transition; Strack, Barbara L; Stone, Mary M
Cc: Renaud, Tracy L; Langlois, Joseph E; Davidson, Andrew J
Subject: RE: Transition Team Briefing Request--Refugee Processing and Vetting

10-4.

From: USCIS Presidential Transition
Sent: Monday, November 28, 2016 2:10 PM
To: Strack, Barbara L; Emrich, Matthew D; Stone, Mary M
Cc: Renaud, Tracy L; Langlois, Joseph E; Davidson, Andrew J
Subject: Transition Team Briefing Request--Refugee Processing and Vetting
Importance: High

Mary Margaret/Matt,

The president-elect's transition Landing Team has requested a briefing on refugee processing and vetting. This briefing is tentatively scheduled for Thursday afternoon, but this date/time is subject to change. Please be prepared to present for approximately 30 minutes and then have 30 minutes of discussion and questions. This time may need to be consolidated depending on the Landing Team's schedule. The briefing will likely take place at the NAC. As I receive more information, I will let you know. I will also schedule an internal USCIS-only pre-brief for Wednesday. Thank you for your work on this and for your flexibility and understanding.

Julie Farnam
Senior Advisor
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From: Zellen, Lorie A
To: USCIS Presidential Transition; Stone, Mary M; Matthews, Tara A; Farnam, Julie E
Cc: Emrich, Matthew D; Davidson, Andrew J; Langlois, Joseph E; Strack, Barbara L; Renaud, Tracy L; Lenkowsky, Matthew; Swift, Derrick
Subject: RE: Transition Team Briefing Request--Refugee Processing and Vetting
Date: Wednesday, November 30, 2016 8:47:41 AM

Adding Derrick Swift who will be available to do discuss enhanced review and social media checks.

Lorie Zellen
Chief of Staff/FDNS
202.272.9291
202.731.8133 (cell)

Sent from mobile device

From: USCIS Presidential Transition
Sent: Wednesday, November 30, 2016 8:34:18 AM
To: Stone, Mary M; Matthews, Tara A; Farnam, Julie E
Cc: Emrich, Matthew D; Davidson, Andrew J; Zellen, Lorie A; Langlois, Joseph E; Strack, Barbara L; Renaud, Tracy L; Lenkowsky, Matthew
Subject: RE: Transition Team Briefing Request--Refugee Processing and Vetting

Thanks, Mary Margaret. Do we have or can we add a few slides that generally talks about the process for someone to come to the U.S. as a refugee? Something similar to what's included in the issue paper your office wrote and then we can get into the vetting piece. I think they need that context of the overall process because without that, I think they may make assumptions. If you could provide me with an updated presentation later today, that would be greatly appreciated.

Thank you,
Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
(c) 202-489-8802

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From: Stone, Mary M
Sent: Tuesday, November 29, 2016 5:13 PM
To: Matthews, Tara A; Farnam, Julie E; USCIS Presidential Transition
Cc: Emrich, Matthew D; Davidson, Andrew J; Zellen, Lorie A; Langlois, Joseph E; Strack, Barbara L; Renaud, Tracy L; Lenkowsky, Matthew
Subject: RE: Transition Team Briefing Request--Refugee Processing and Vetting

Julie – here is the combined presentation for OCC clearance. Also – has there been a specific time set for Thursday afternoon? Thank you, Mary Margaret

From: Stone, Mary M
Sent: Tuesday, November 29, 2016 5:00 PM
To: Matthews, Tara A; Farnam, Julie E; USCIS Presidential Transition
Cc: Emrich, Matthew D; Davidson, Andrew J; Zellen, Lorie A; Langlois, Joseph E; Strack, Barbara L; Renaud, Tracy L
Subject: RE: Transition Team Briefing Request--Refugee Processing and Vetting

Julie – we're combining the presentations now and will send our final in shortly...in the next 20 minutes. Sorry for the confusion! Thanks, Mary Margaret

From: Matthews, Tara A
Sent: Tuesday, November 29, 2016 4:42 PM
To: Farnam, Julie E; USCIS Presidential Transition
Cc: Emrich, Matthew D; Davidson, Andrew J; Zellen, Lorie A; Langlois, Joseph E; Strack, Barbara L; Stone, Mary M; Renaud, Tracy L
Subject: FW: Transition Team Briefing Request--Refugee Processing and Vetting

Please see the attached briefing. Thank you.

V/r,

Tara A. Matthews
Special Assistant, FDNS Front Office
P: 202-272-9329
E: tara.matthews@uscis.dhs.gov <<mailto:tara.matthews@uscis.dhs.gov>>

From: USCIS Presidential Transition
Sent: Tuesday, November 29, 2016 8:53:08 PM
To: Strack, Barbara L; Stone, Mary M; Emrich, Matthew D
Cc: Langlois, Joseph E; Davidson, Andrew J; Renaud, Tracy L
Subject: RE: Transition Team Briefing Request--Refugee Processing and Vetting
Just a friendly reminder that if you intend to have a PowerPoint or other presentation materials at this briefing, I will need them today.

Thank you,
Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
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Would you let me know the names once you learn who will be there for the transition?
Thanks.

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Sent: Monday, November 28, 2016 2:29:30 PM
To: Emrich, Matthew D; USCIS Presidential Transition; Strack, Barbara L
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Thanks Julie.

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10-4.

From: USCIS Presidential Transition
Sent: Monday, November 28, 2016 2:10 PM
To: Strack, Barbara L; Emrich, Matthew D; Stone, Mary M
Cc: Renaud, Tracy L; Langlois, Joseph E; Davidson, Andrew J
Subject: Transition Team Briefing Request--Refugee Processing and Vetting
Importance: High

Mary Margaret/Matt,

The president-elect's transition Landing Team has requested a briefing on refugee processing and vetting. This briefing is tentatively scheduled for Thursday afternoon, but this date/time is subject to change. Please be prepared to present for approximately 30 minutes and then have 30 minutes of discussion and questions. This time may need to be consolidated depending on the Landing Team's schedule. The briefing will likely take place at the NAC. As I receive more information, I will let you know. I will also schedule an internal USCIS-only pre-brief for Wednesday. Thank you for your work on this and for your flexibility and understanding.

Julie Farnam
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Field Operations Directorate
U.S. Citizenship and Immigration Services
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From: Renaud, Tracy L
To: Stone, Mary M; Matthews, Tara A; Farnam, Julie E; USCIS Presidential Transition
Cc: Emrich, Matthew D; Davidson, Andrew J; Zellen, Lorie A; Langlois, Joseph E; Strack, Barbara L; Lenkowsky, Matthew
Subject: RE: Transition Team Briefing Request--Refugee Processing and Vetting
Date: Tuesday, November 29, 2016 5:51:00 PM

Things are still in flux, Mary Margaret. We should get something firm by the pre-brief tomorrow.

Tracy L. Renaud
Associate Director
Management Directorate
US Citizenship & Immigration Services
Department of Homeland Security
202-272-1739 (desk)

From: Stone, Mary M
Sent: Tuesday, November 29, 2016 5:13 PM
To: Matthews, Tara A; Farnam, Julie E; USCIS Presidential Transition
Cc: Emrich, Matthew D; Davidson, Andrew J; Zellen, Lorie A; Langlois, Joseph E; Strack, Barbara L; Renaud, Tracy L; Lenkowsky, Matthew
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Subject: FW: Transition Team Briefing Request--Refugee Processing and Vetting

Please see the attached briefing. Thank you.

V/r;

Tara A. Matthews
Special Assistant, FDNS Front Office
P: 202-272-9329
E: tara.matthews@uscis.dhs.gov

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From: Hawkins, Donald K
To: USCIS Presidential Transition
Cc: Emrich, Matthew D; Renaud, Tracy L; USCIS MGT Tasks; Schwartz, Mark A; Davidson, Andrew J; Kerns, Kevin J
Subject: RE: Transition Team Document Request-ELIS and ATLAS
Date: Friday, December 09, 2016 8:39:09 AM

Thanks Julie – we will get this to you today.

From: USCIS Presidential Transition
Sent: Thursday, December 08, 2016 4:23 PM
To: Hawkins, Donald K
Cc: Emrich, Matthew D; Renaud, Tracy L; USCIS MGT Tasks; Schwartz, Mark A; Davidson, Andrew J; Kerns, Kevin J
Subject: Transition Team Document Request-ELIS and ATLAS

Yesterday at our briefing with the President-Elect's Landing Team, one of the things they mentioned they'd be interested in seeing is the PIA and SORN relating to ELIS and ATLAS. The team has not submitted a formal request yet (which triggers the 48 hour turnaround), but I wanted to alert you to please start gathering this material in anticipation of the formal request. Could we aim for getting this to Tracy and me by COB next Tuesday understanding that this timeframe may be pushed up if we do receive a formal request in the interim?

Thank you,
Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
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From: Vanison, Denise
To: USCIS Presidential Transition; OP&S Presidential Transition; FDNSExecSec
Cc: Emrich, Matthew D; Davidson, Andrew J; Renaud, Tracy L
Subject: RE: Transition Team Document Request-Social Media Guidance
Date: Thursday, December 08, 2016 6:53:26 PM

Ok.

From: USCIS Presidential Transition
Sent: Thursday, December 08, 2016 9:20:27 PM
To: OP&S Presidential Transition; FDNSExecSec
Cc: Emrich, Matthew D; Davidson, Andrew J; Renaud, Tracy L; Vanison, Denise
Subject: Transition Team Document Request-Social Media Guidance

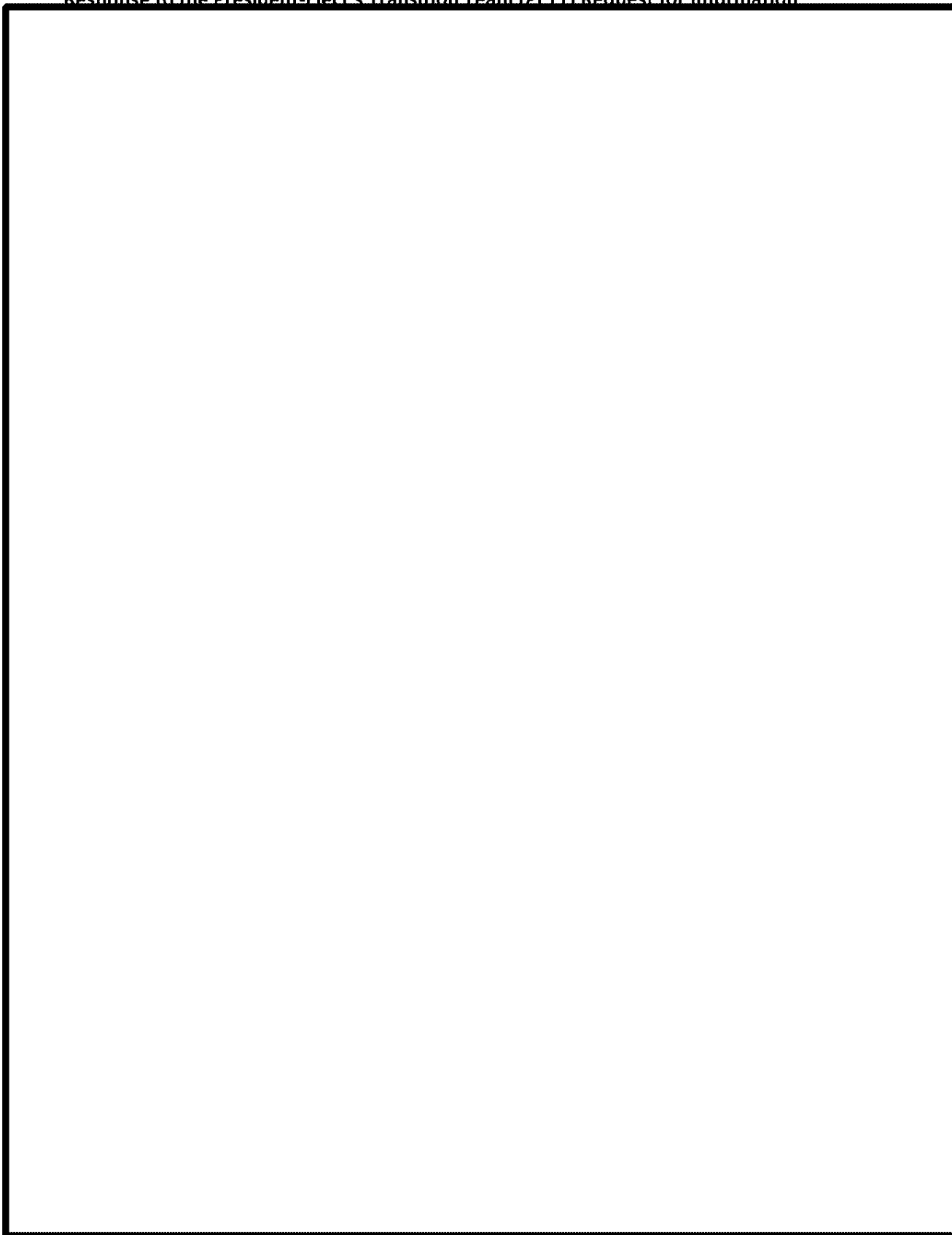
Yesterday at our briefing with the President-Elect's Landing Team, one of the things they mentioned they'd be interested in seeing was guidance that we use regarding social media use and when/how we can use social media. The team has not submitted a formal request yet (which triggers the 48-hour turnaround), but I wanted to alert you to please start gathering this material in anticipation of the formal request. Could we aim for getting this to Tracy and me by COB next Tuesday understanding that this timeframe may be pushed up if we do receive a formal request in the interim?

Thank you,
Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
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(b)(5) United States Immigration and Citizenship Services

Response to the President-Elect's Transition Team (PETT) Request for Information



From: USCIS Presidential Transition
To: Stewart, Bion; Brown II, Melvin
Cc: Renaud, Tracy L; Halter, Greg; Horowitz, Scott
Subject: RE: USCIS RFI Responses to #76, #79, and #113
Date: Wednesday, December 14, 2016 9:44:48 AM
Attachments: ELIS Call Center and E-Applications.docx

Sorry about that. Please see the updated document attached.

Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
(c) 202-489-8802

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From: Stewart, Bion
Sent: Wednesday, December 14, 2016 7:08 AM
To: USCIS Presidential Transition; Brown II, Melvin
Cc: Renaud, Tracy L; Halter, Greg; Horowitz, Scott
Subject: RE: USCIS RFI Responses to #76, #79, and #113

Julie,

Did you mean to include the call table twice in this document? Second iteration seems out of place unless I'm reading it incorrectly.

Thanks.

Bion

From: USCIS Presidential Transition
Sent: Tuesday, December 13, 2016 10:09 PM
To: Brown II, Melvin <Melvin.Brown@HQ.DHS.GOV>; Stewart, Bion <bion.stewart@hq.dhs.gov>
Cc: Renaud, Tracy L <Tracy.L.Renaud@uscis.dhs.gov>; Halter, Greg <greg.halter@hq.dhs.gov>; Horowitz, Scott <Scott.Horowitz@HQ.DHS.GOV>
Subject: USCIS RFI Responses to #76, #79, and #113

(b)(5)

Attached are USCIS' responses to the landing team's questions on the USCIS ELIS help desk (request #76) and [REDACTED] request #

(b)(5)



request #113).

Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
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From: USCIS Presidential Transition
To: Krebs, Kristie L; Prelogar, Brandon B; Young, Todd P; Walters, Jessica S
Cc: Renaud, Tracy L
Subject: Refugee Briefing
Date: Tuesday, December 06, 2016 8:30:03 PM
Attachments: Refugee Processing Presentation 12-06-16.pptx

(b)(5)



Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
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From: USCIS Presidential Transition
To: Young, Todd P; Krebs, Kristie L; Walters, Jessica S; Prelogar, Brandon B
Cc: Renaud, Tracy L
Subject: Transition RFI-ELIS Costs
Date: Tuesday, December 13, 2016 10:15:08 PM
Attachments: USCIS ELIS Costs.docx

Here's the last thing that needs to be reviewed/cleared. It is a summary of costs associated with ELIS.

Thank you. Apologies for the gazillion emails today and the late emails.

Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
(c) 202-489-8802

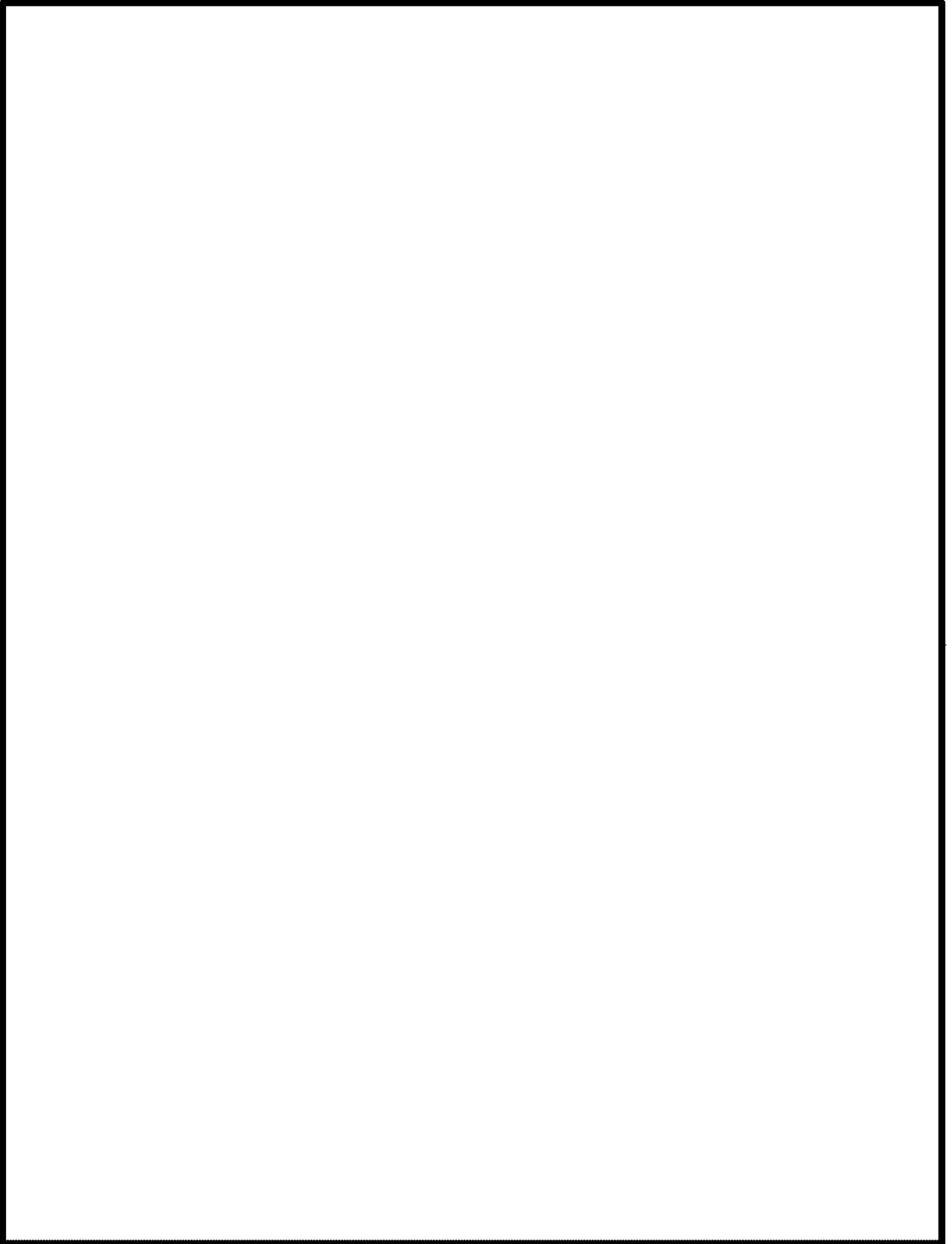
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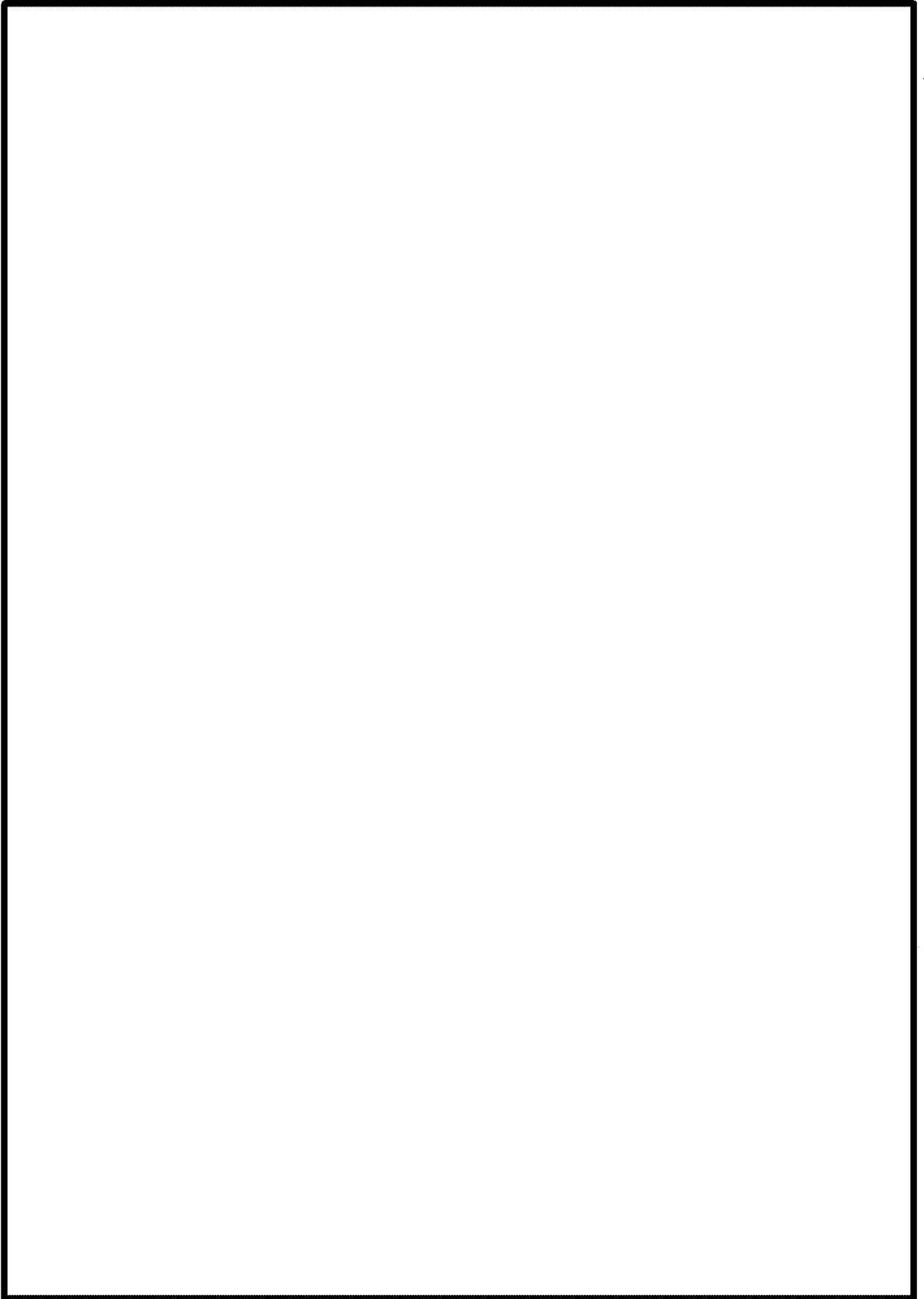
Information Request from Presidential Transition Team

OTC

December 13, 2016



(b)(5)



From: USCIS Presidential Transition
To: Hawkins, Donald K
Cc: Emrich, Matthew D; Renaud, Tracy L; USCIS MGT Tasks; Schwartz, Mark A; Davidson, Andrew J; Kerns, Kevin J
Subject: Transition Team Document Request-ELIS and ATLAS
Date: Thursday, December 08, 2016 4:22:33 PM

Yesterday at our briefing with the President-Elect's Landing Team, one of the things they mentioned they'd be interested in seeing is the PIA and SORN relating to ELIS and ATLAS. The team has not submitted a formal request yet (which triggers the 48 hour turnaround), but I wanted to alert you to please start gathering this material in anticipation of the formal request. Could we aim for getting this to Tracy and me by COB next Tuesday understanding that this timeframe may be pushed up if we do receive a formal request in the interim?

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From: USCIS Presidential Transition
To: Stewart, Bion
Cc: Horowitz, Scott; Beagles, James; Renaud, Tracy L
Subject: USCIS Issue Paper-ELIS/Transformation
Date: Thursday, December 08, 2016 4:03:40 PM
Attachments: USCIS Transformation IP 2016.docx

Bion,

Attached is an updated issue paper on USCIS ELIS and the transformation initiative. We will not have any other materials to provide to the landing team for the briefing on Monday (unless, of course, they request something else). If you have any questions, please do not hesitate to let us know.

Thank you,
Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
(c) 202-489-8802

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From: [USCIS Presidential Transition](#)
To: [Brown II, Melvin](#); [Stewart, Blon](#)
Cc: [Renaud, Tracy L](#); [Halter, Greg](#); [Horowitz, Scott](#)
Subject: USCIS RFI Response #75
Date: Tuesday, December 13, 2016 10:50:11 PM
Attachments: [General Record of Disclosure Form USCIS #75.pdf](#)
[USCIS ELIS Costs.docx](#)

Attached is USCIS' response to RFI #75 regarding costs associated with ELIS. I believe this should be the last response you were waiting on from USCIS. If anything additional is needed, please let us know.

Thank you,
Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
(c) 202-489-8802

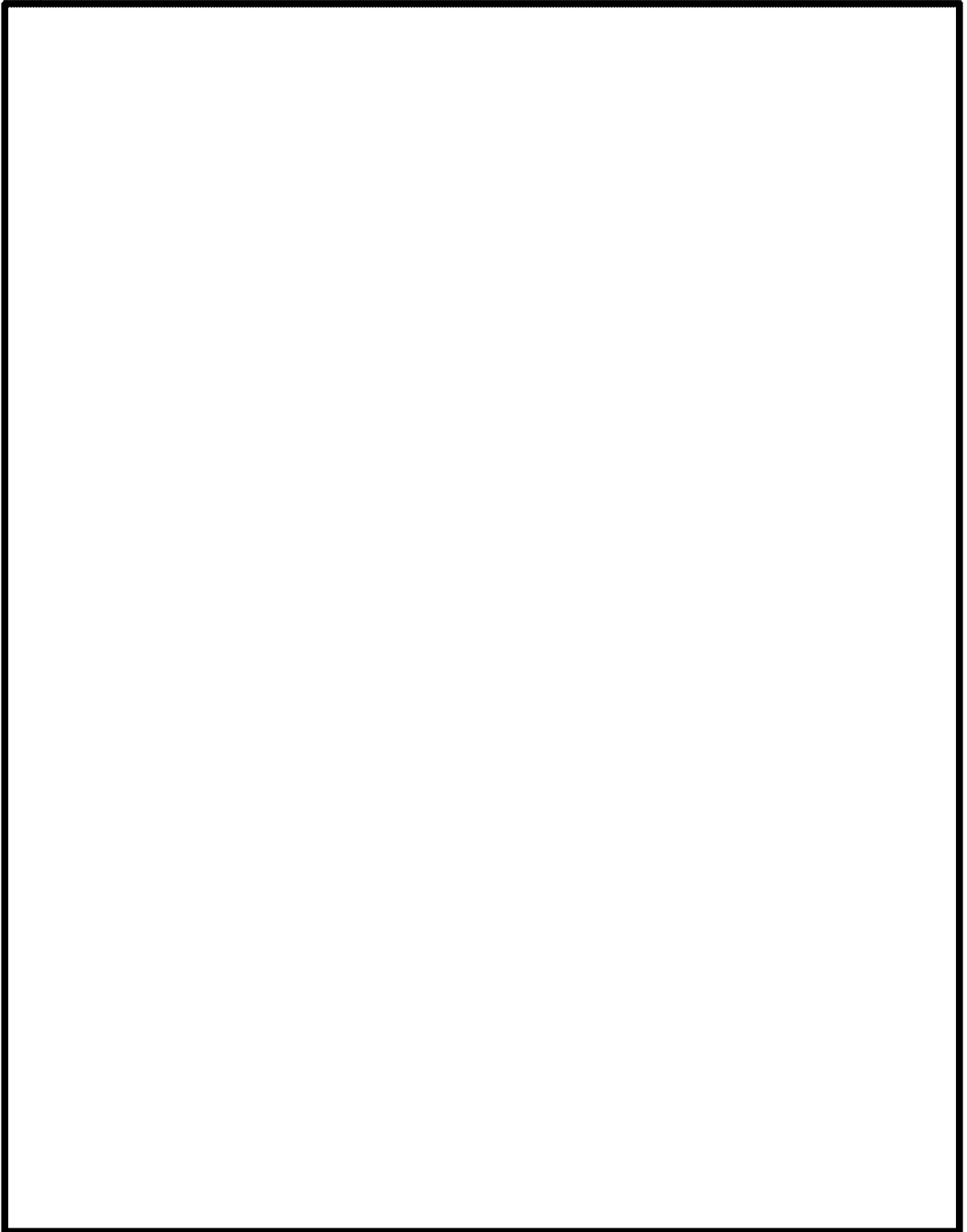
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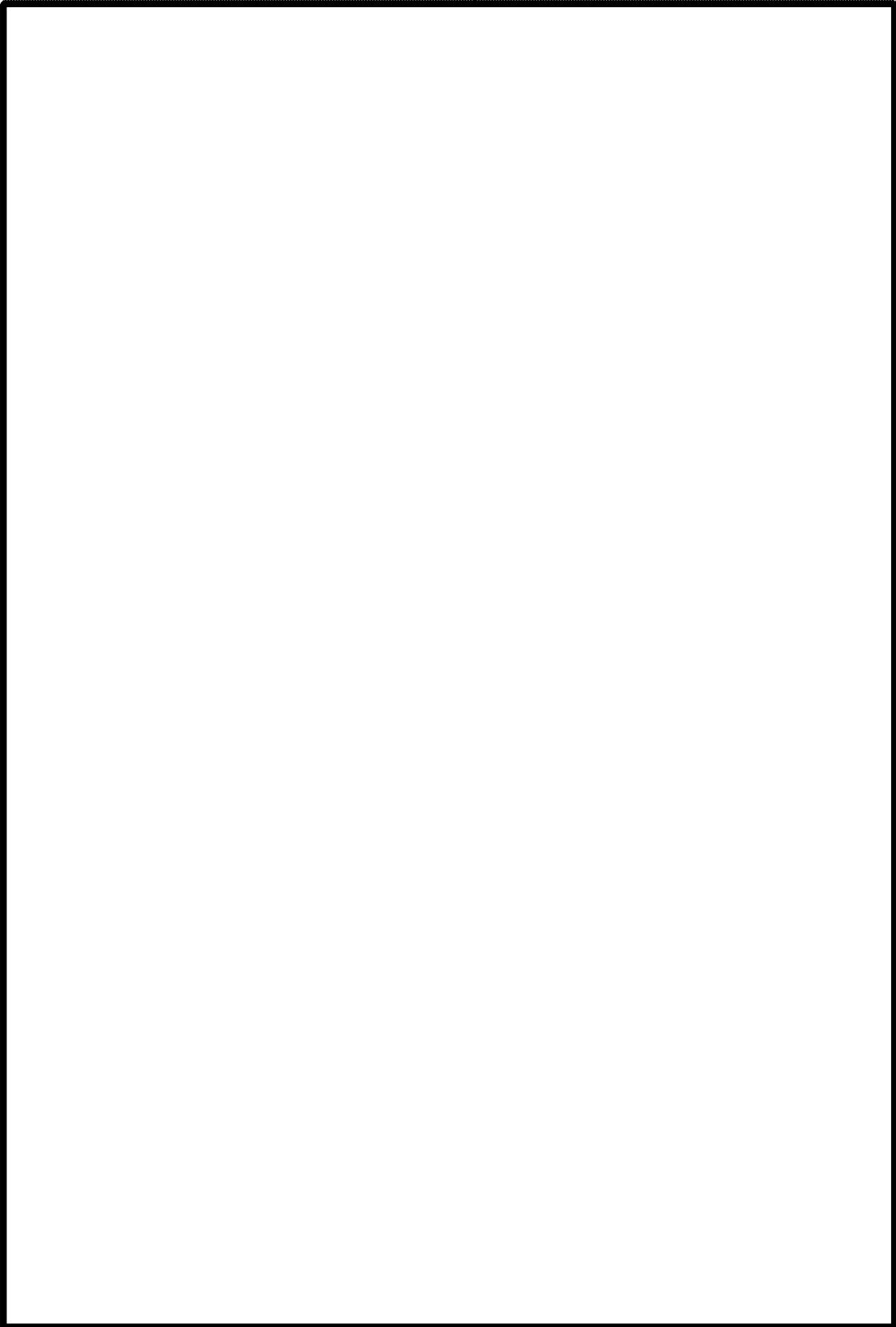
Information Request from Presidential Transition Team

OTC

December 13, 2016



(b)(5)



From: [USCIS Presidential Transition](#)
To: [Brown II, Melvin](#); [Stewart, Bion](#)
Cc: [Halter, Greg](#); [Beagles, James](#); [Horowitz, Scott](#); [Renaud, Tracy L](#)
Subject: USCIS RFI Response #77
Date: Tuesday, December 13, 2016 3:20:14 PM
Attachments: [USCIS Backlog IP 2016 FINAL.docx](#)
[General Record of Disclosure Form USCIS #77.pdf](#)
[USCIS Updates for OMB revisions 11-9-16 final.pptx](#)

Attached please find the response to RFI #77, USCIS backlogs.

Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
(c) 202-489-8802

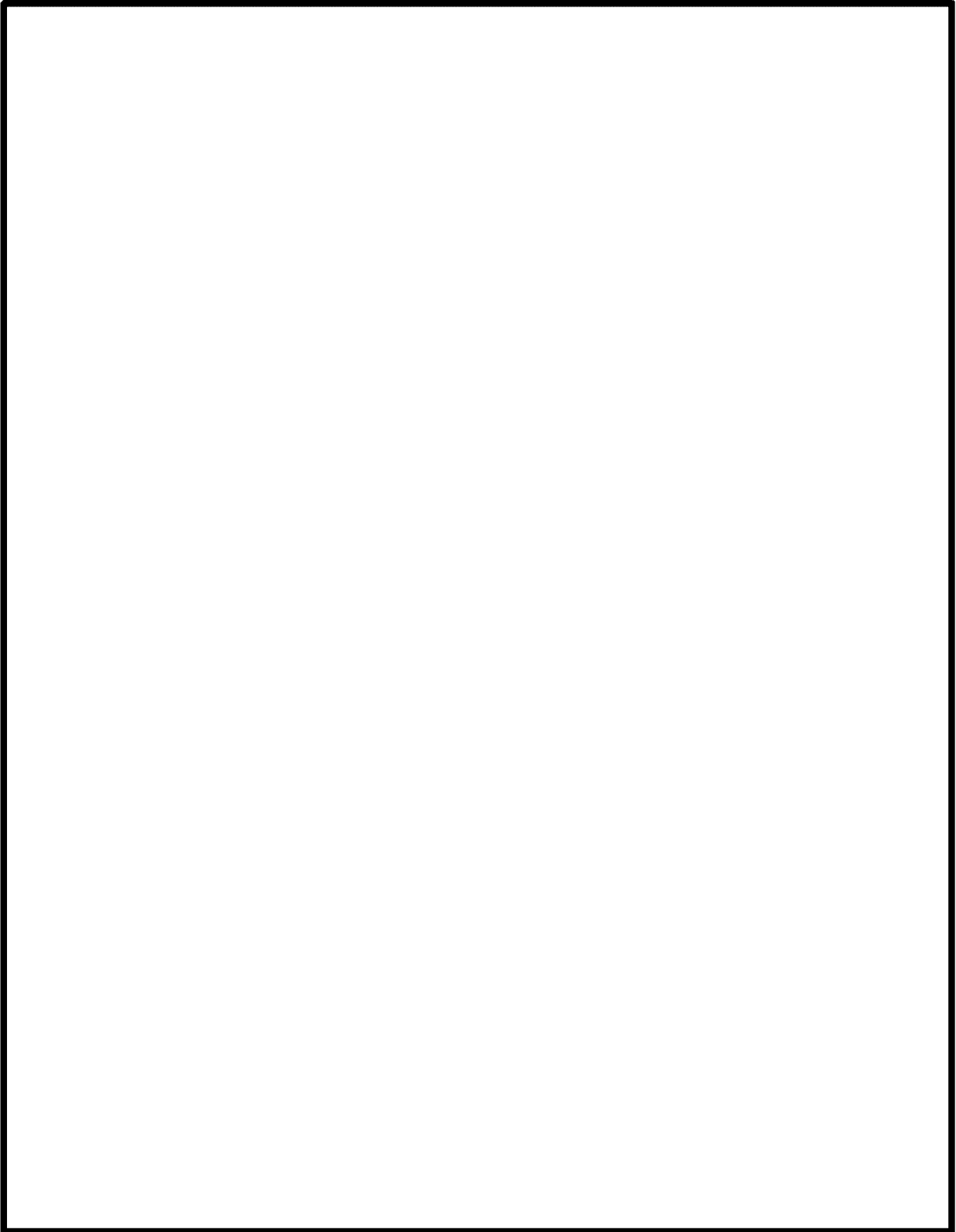
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Homeland
Security

DHS Secretary Briefing Binder

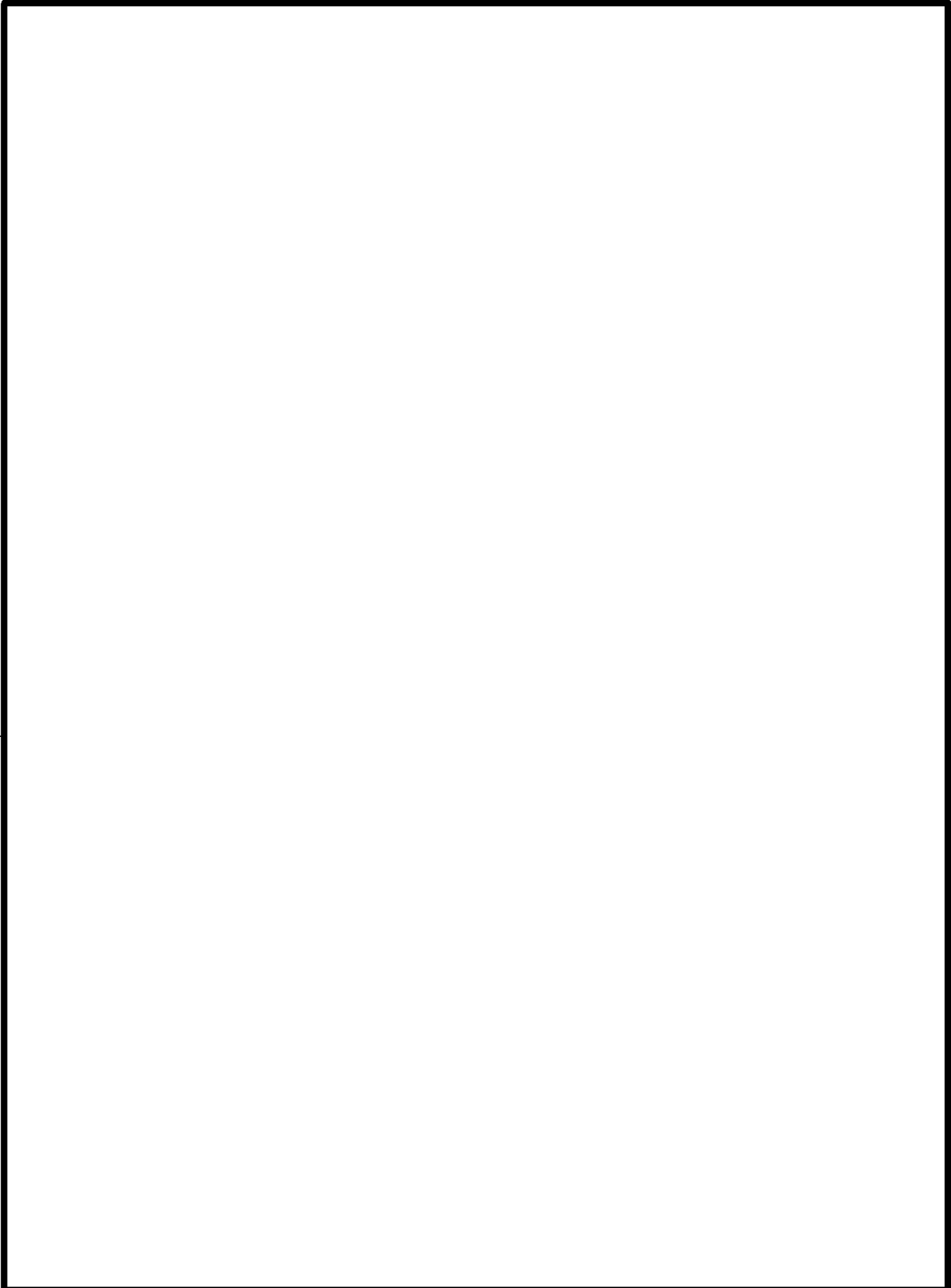


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Homeland
Security

DHS Secretary Briefing Binder





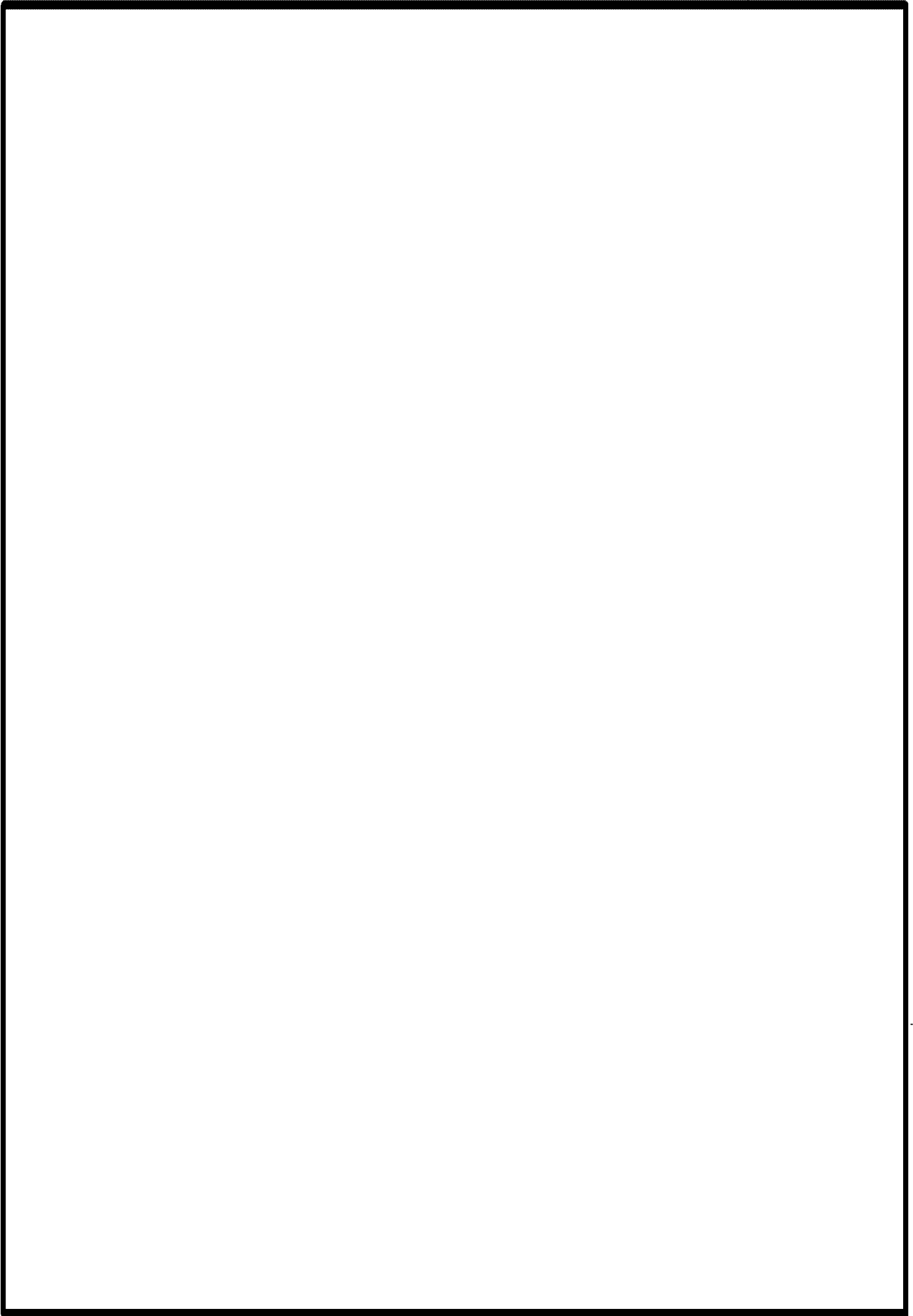
From: USCIS Presidential Transition
To: Young, Todd P; Prelogar, Brandon B; Walters, Jessica S; Krebs, Kristie L
Cc: Renaud, Tracy L
Subject: ELIS Call Center Information and E-Filed Application Information--DUE TODAY
Date: Tuesday, December 13, 2016 3:47:14 PM
Attachments: ELIS Call Center and E-Applications.docx
Importance: High

The attached has been requested by the transition team and is due to DHS today. OCC has cleared and we are requesting clearance from your principal.

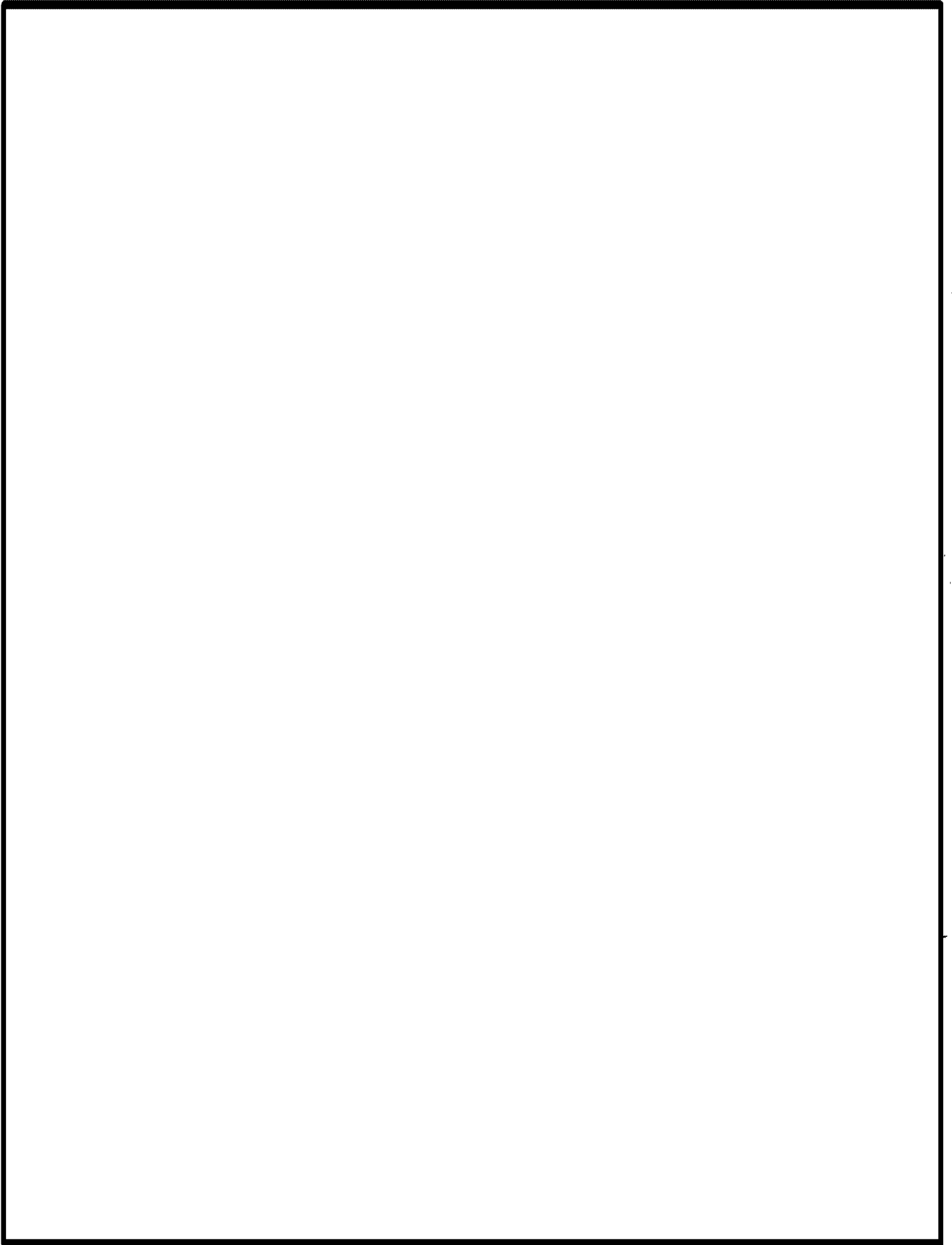
Thank you,
Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
(c) 202-489-8802

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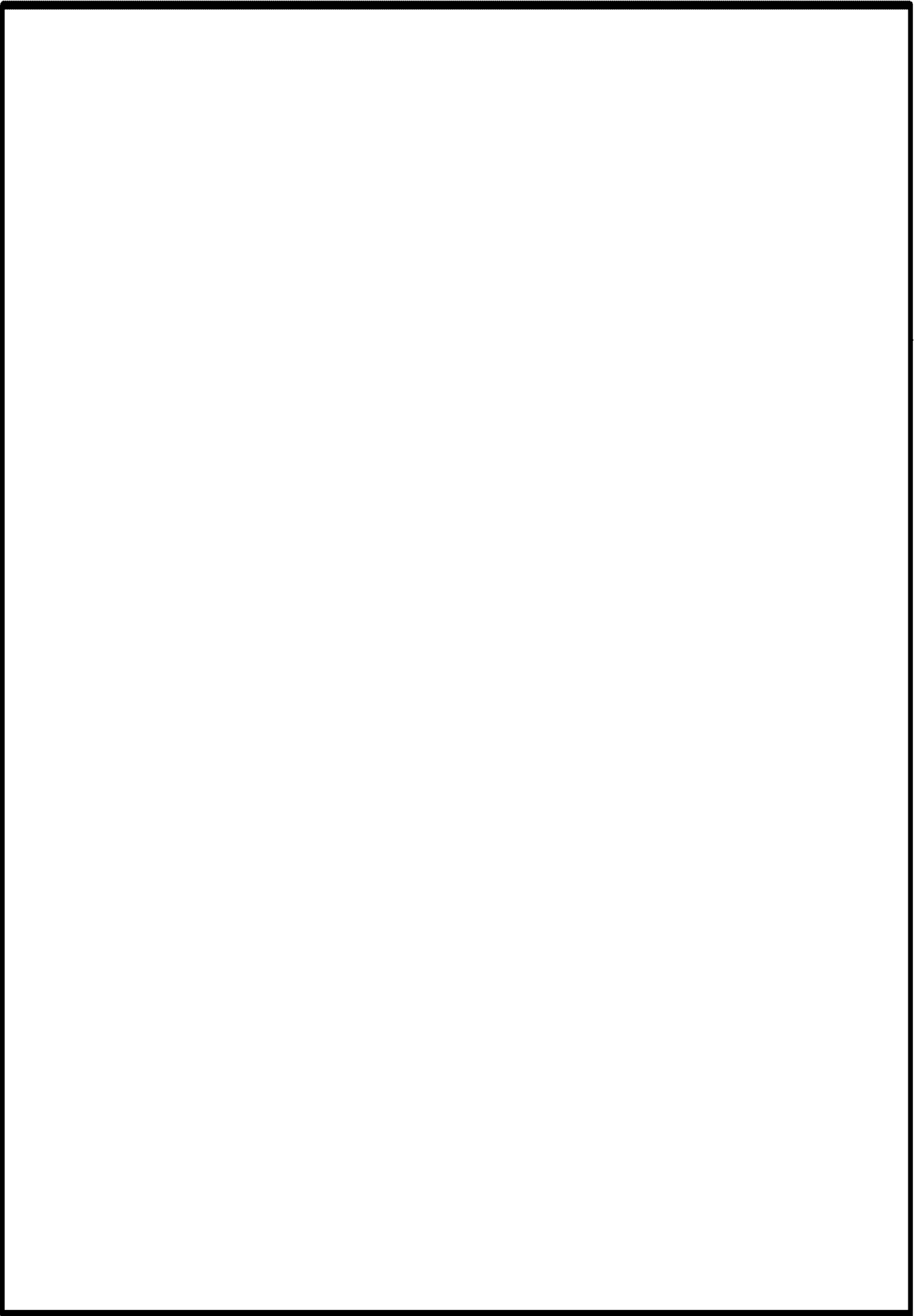
(b)(5)



(b)(5)



(b)(5)



From: Renaud, Tracy L
To: "Emrich, Matthew D (Matthew.D.Emrich@uscis.dhs.gov)"; Davidson, Andrew J (Andrew.J.Davidson@uscis.dhs.gov)
Cc: Farnam, Julie E; USCIS Presidential Transition
Subject: FBI Name Check
Date: Tuesday, December 13, 2016 11:27:00 AM

Matt/Andrew,

(b)(5)

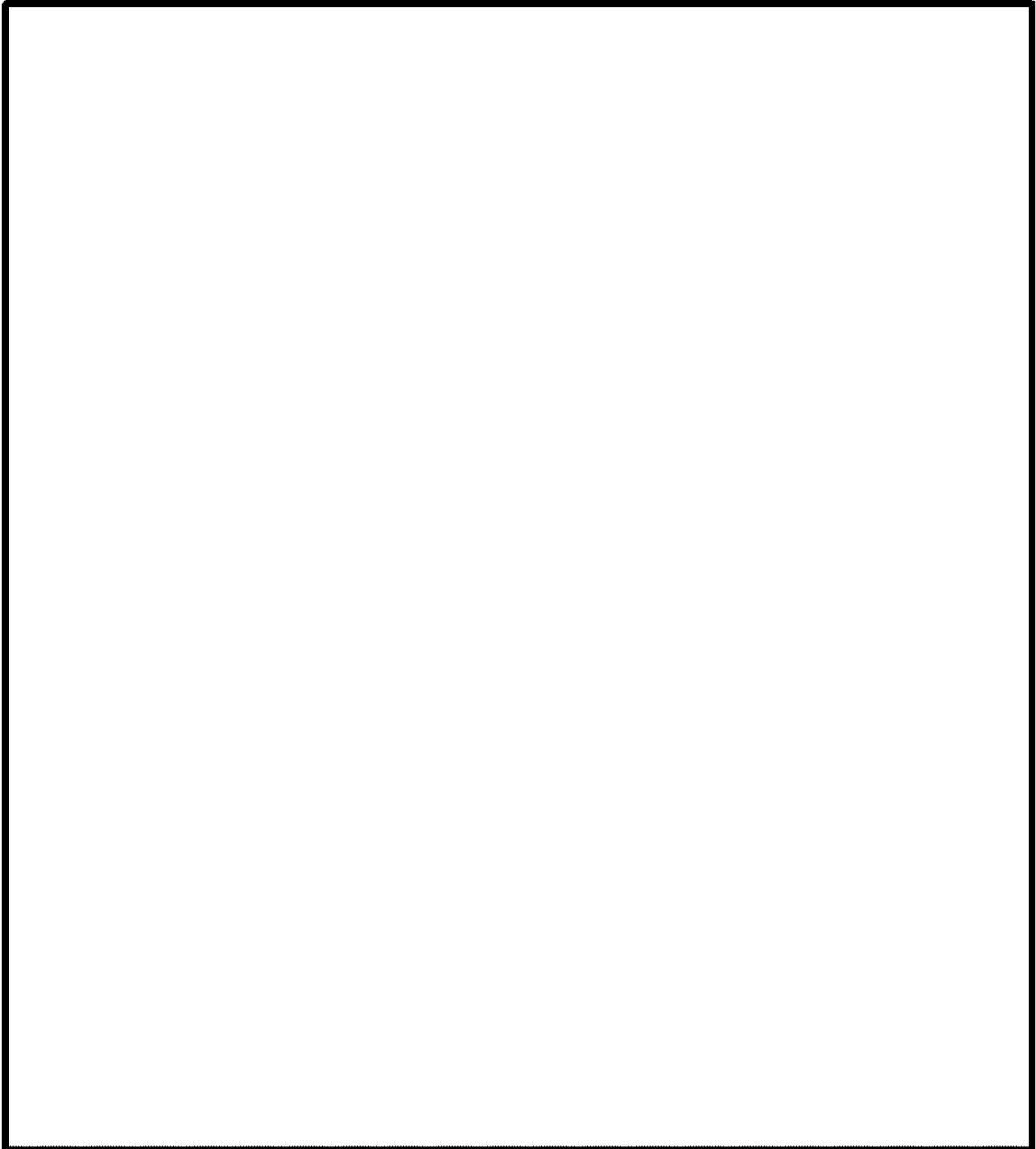


*Tracy L. Renaud
Associate Director
Management Directorate
US Citizenship & Immigration Services
Department of Homeland Security
202-272-1739 (desk)*

(b)(5)



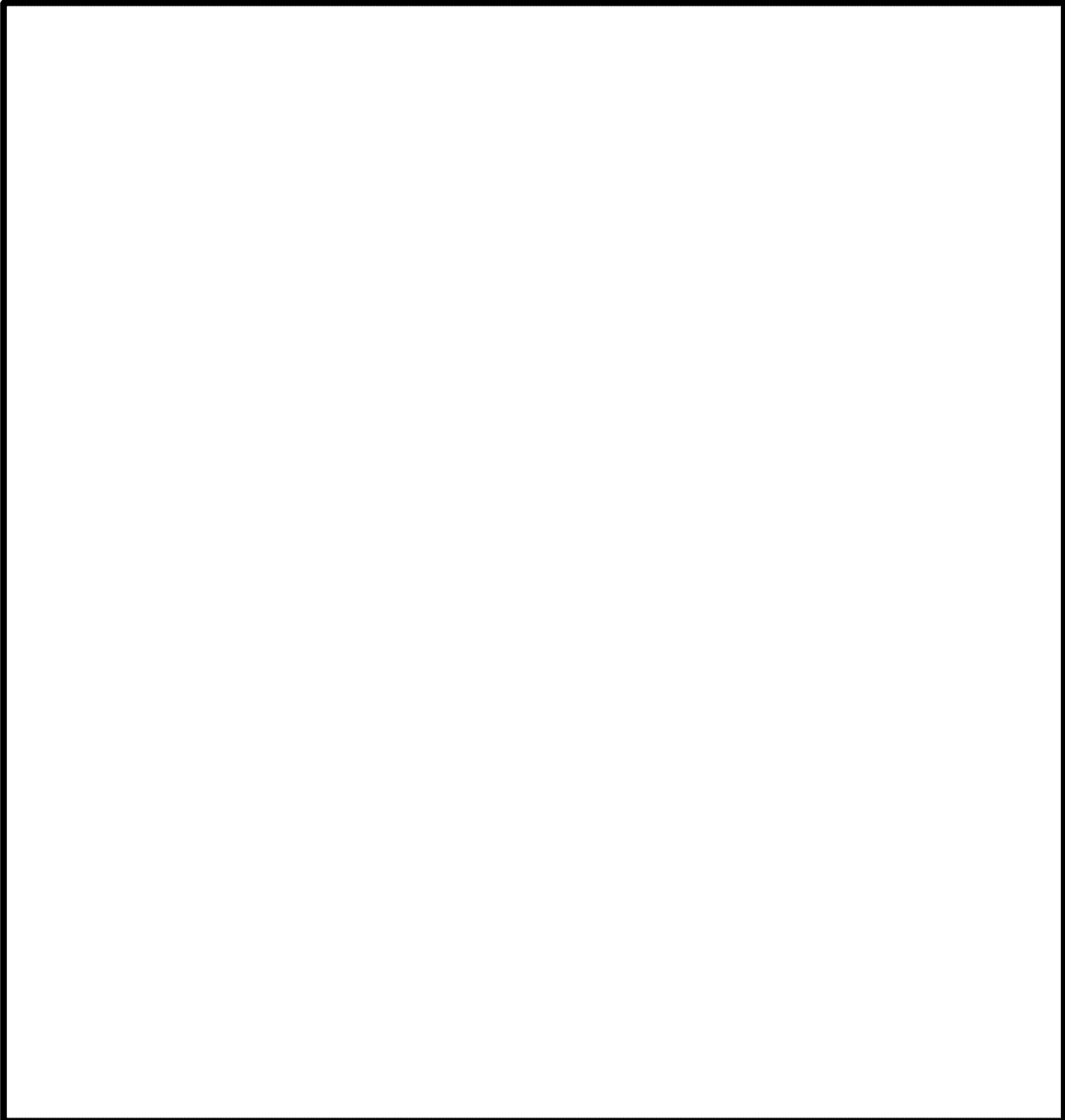
DHS Secretary Briefing Binder



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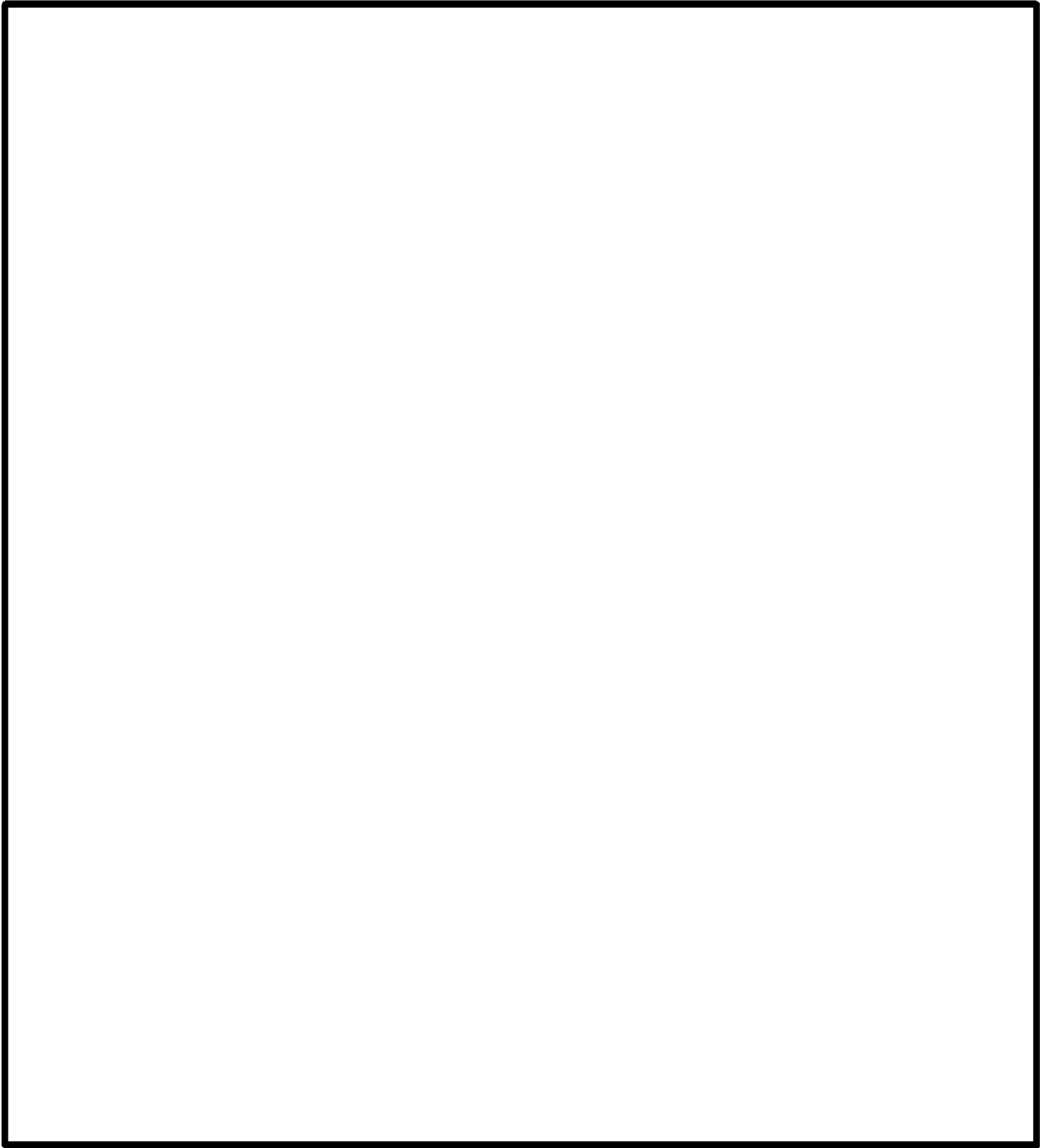
DHS Secretary Briefing Binder



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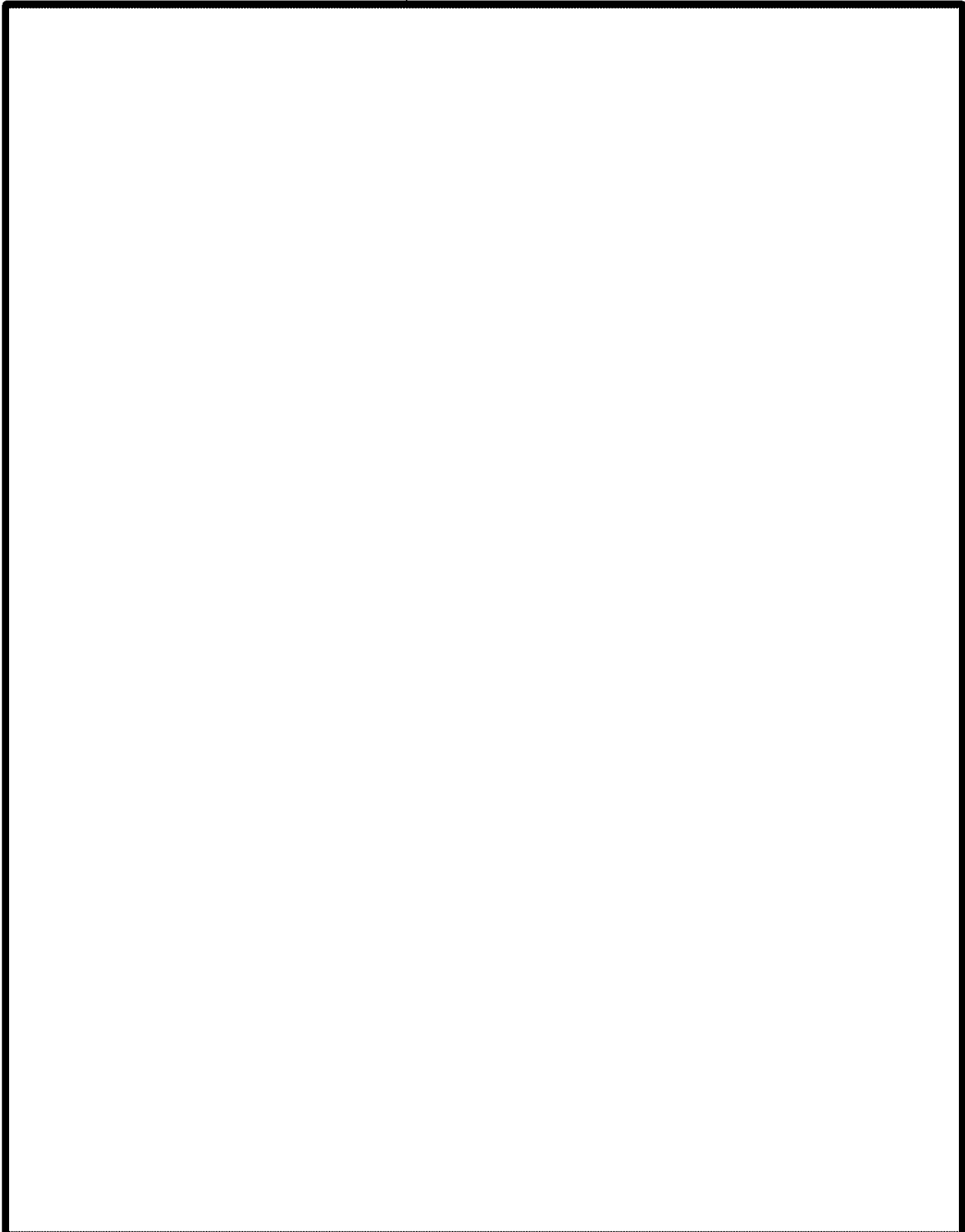
DHS Secretary Briefing Binder



From: Rogers, Debra A
To: USCIS Presidential Transition: Farnem, Julie E
Cc: Melero, Mariela; Renaud, Tracy L
Subject: FW: ***URGENT*** Transition RFI Due Noon Today
Date: Tuesday, December 13, 2016 11:42:08 AM
Attachments: MORNING T2 ELIS Helpdesk (13 Dec 16).xlsx
image003.png

Julie, CSPED responses below, please let us know if you need any additional information.

(b)(5)



the system, restarts when a user enters new information in their application or uploads additional evidence.

From: USCIS Presidential Transition
Sent: Tuesday, December 13, 2016 9:18:08 AM
To: USCIS MGT Tasks; Stanley, Kathleen M; Kerns, Kevin J; Collins, Anissa A; Clark, Levita S; Hawkins, Donald K; OP&S Presidential Transition; Vanison, Denise; FDNSExecSec; Emrich, Matthew D; Davidson, Andrew J; Melero, Mariela; Rogers, Debra A; Simeon, David G; Schwartz, Mark A
Cc: Renaud, Tracy L
Subject: ***URGENT*** Transition RFI Due Noon Today

Good morning,

We have our first information request from the president-elect's transition landing team. There is an extremely fast turnaround on these requests (apologies!)—it is **due at noon today** to allow time for the front office to clear today and to get it back to DHS today. Therefore, no extensions may be granted and it is imperative that you respond timely.

This is what is being requested:

(b)(5)



Thank you very much for all your help with this and if there are any questions, I can be reached at the numbers below.

Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-282-8277
(c) 202-489-8802

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From: USCIS Presidential Transition
To: Renaud, Tracy L
Subject: FW: ***URGENT*** Transition RFI Due Noon Today
Date: Tuesday, December 13, 2016 11:31:17 AM

Sorry, you weren't copied.

Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
(c) 202-489-8802

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From: Hamilton, Cristina A
Sent: Tuesday, December 13, 2016 11:26 AM
To: USCIS Presidential Transition; OP&S Presidential Transition
Cc: Levine, Laurence D; Kvortek, Steven P (Steve); Greeley, Kevin A
Subject: RE: ***URGENT*** Transition RFI Due Noon Today

Will do, thanks.

Cristina Hamilton
Chief, National Security and
Benefits Integrity Division
Office of Policy and Strategy, USCIS
202-272-1466

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From: USCIS Presidential Transition
Sent: Tuesday, December 13, 2016 11:22 AM
To: Hamilton, Cristina A; OP&S Presidential Transition
Cc: Levine, Laurence D; Kvortek, Steven P (Steve); Greeley, Kevin A
Subject: RE: ***URGENT*** Transition RFI Due Noon Today

Yes, please include them. I'd rather err on the side of providing everything that *could* be in the scope of the request rather than them thinking that we are trying to withholding items. Thank you!

From: Renaud, Tracy L
To: USCIS Presidential Transition; Young, Todd P; Krebs, Kristie L; Walters, Jessica S; Prelogar, Brandon B
Subject: RE: Transition RFI-ELIS Costs
Date: Tuesday, December 13, 2016 10:16:00 PM

This is cost information previously prepared by OTC and was cleared/edited by OCFO earlier this evening.

*Tracy L. Renaud
Associate Director
Management Directorate
US Citizenship & Immigration Services
Department of Homeland Security
202-272-1739 (desk)*

From: USCIS Presidential Transition
Sent: Tuesday, December 13, 2016 10:15 PM
To: Young, Todd P; Krebs, Kristie L; Walters, Jessica S; Prelogar, Brandon B
Cc: Renaud, Tracy L
Subject: Transition RFI-ELIS Costs

Here's the last thing that needs to be reviewed/cleared. It is a summary of costs associated with ELIS.

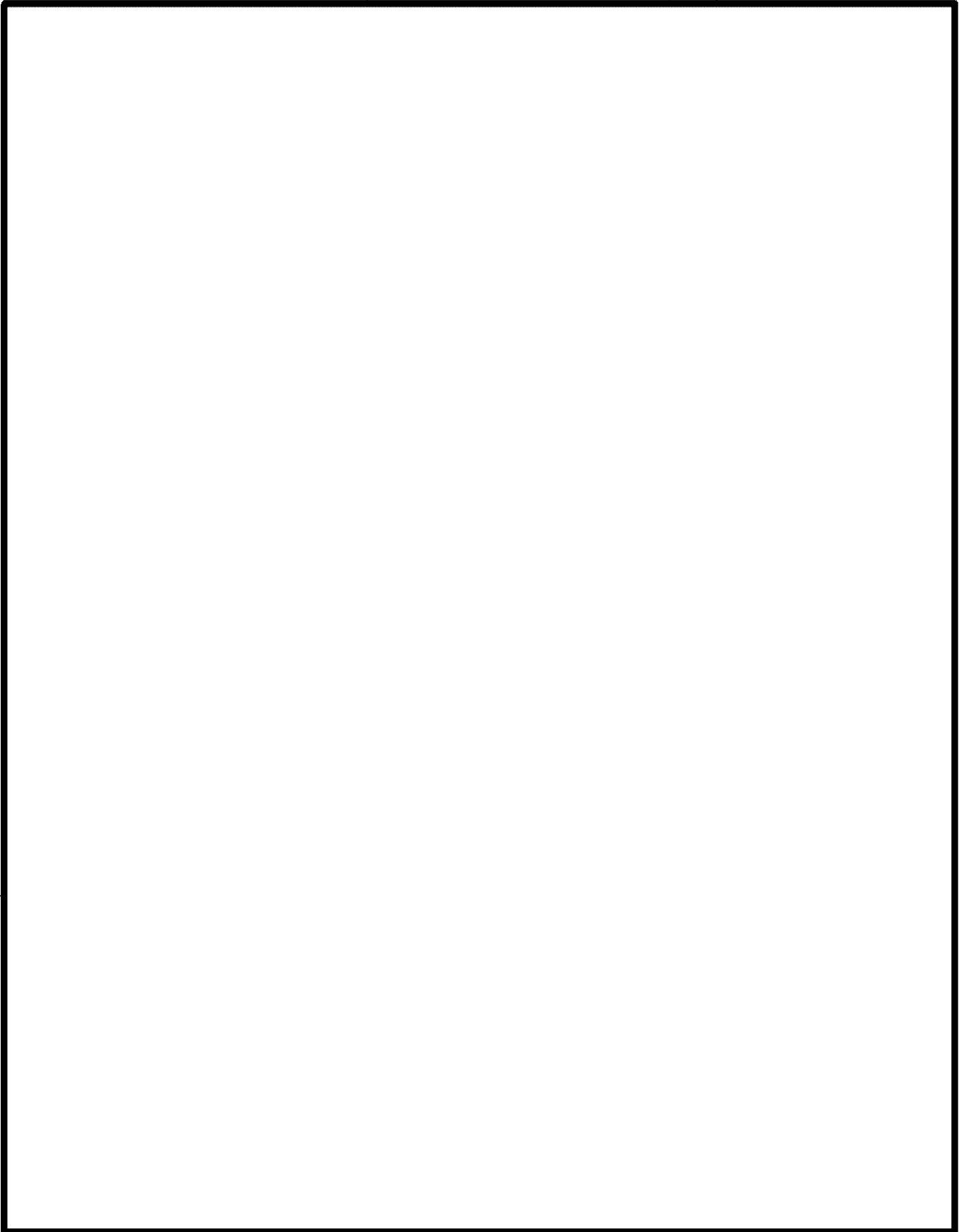
Thank you. Apologies for the gazillion emails today and the late emails.

Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
(c) 202-489-8802

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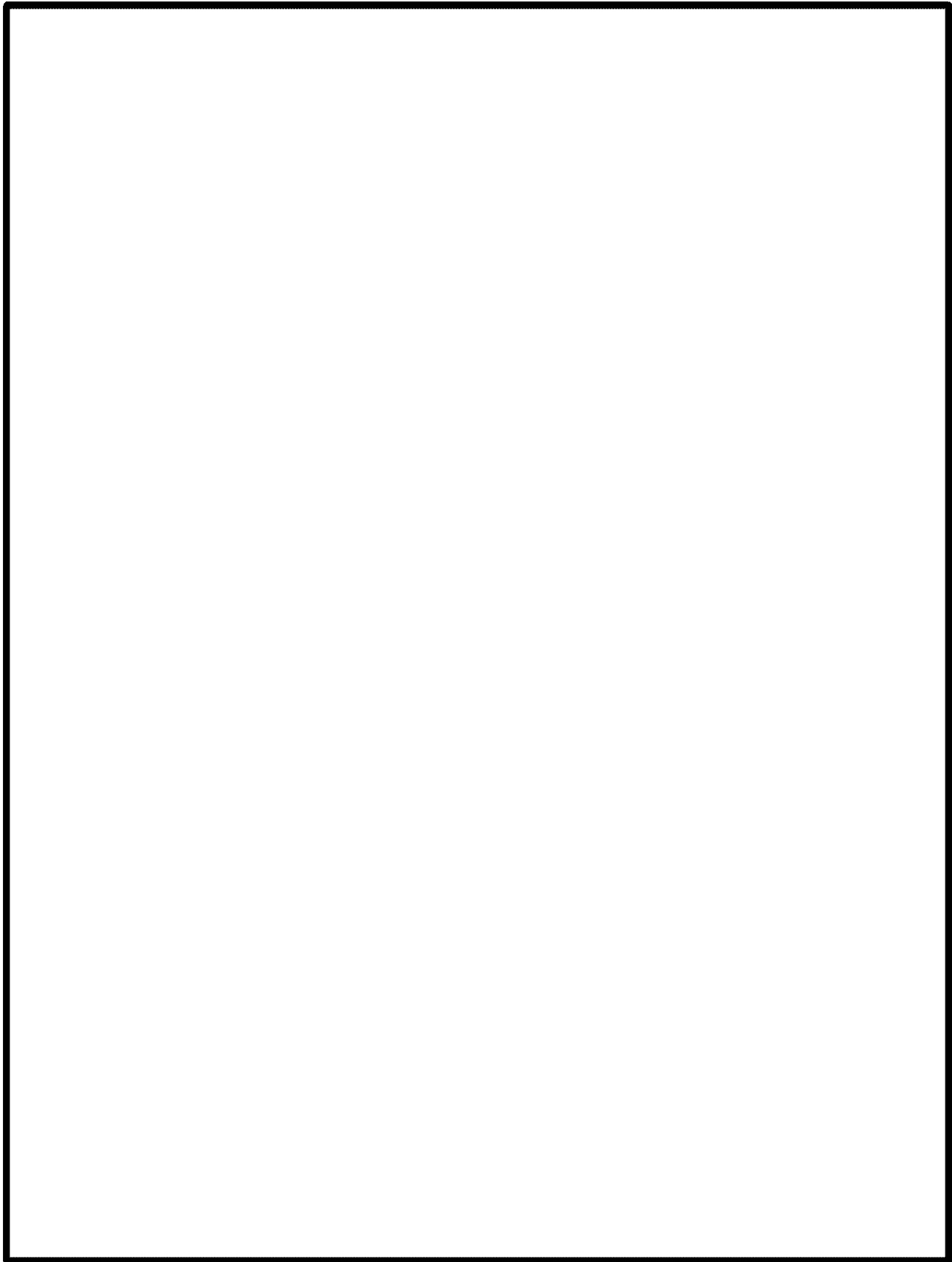
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United States Immigration and Citizenship Services

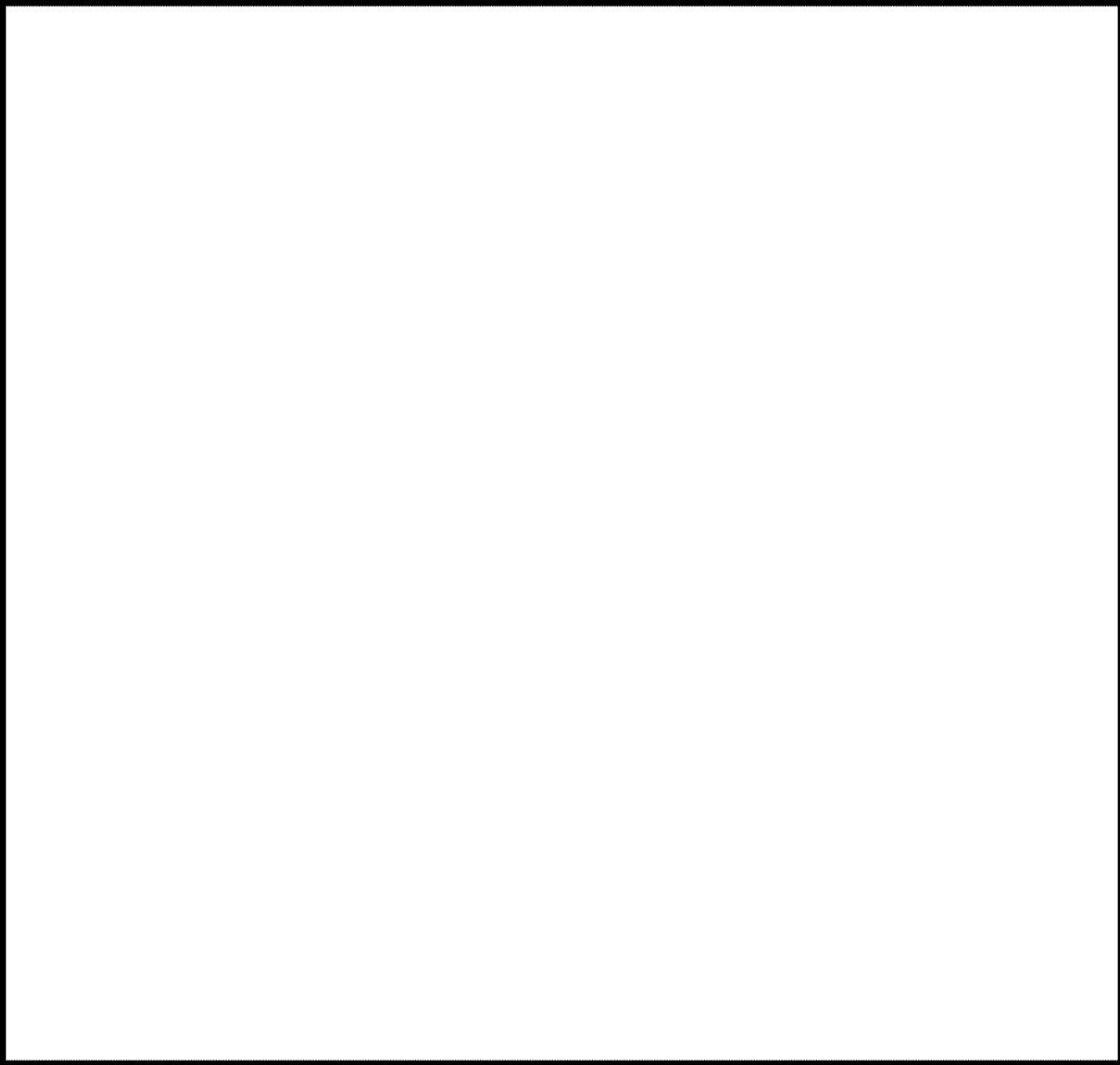


From: Renaud, Tracy L
To: Scheduler, Rodriguez
Subject: Tentative: ****New Time**** "Transformation" Leadership Huddle
Start: Friday, December 16, 2016 11:00:00 AM
End: Friday, December 16, 2016 11:45:00 AM
Location: USCIS, WILCOXCONFRM 5110

Mark and I will be at the NAC briefing the Transition Landing Team on ELIS at this time so neither of us will be able to attend.



(b)(5)



From: [USCIS Presidential Transition](#)
To: [Brown II, Melvin](#); [Stewart, Bion](#)
Cc: [Horowitz, Scott](#); [Beagles, James](#); [Halter, Greg](#); [Renaud, Tracy I](#)
Subject: USCIS RFI #86 Response
Date: Tuesday, December 13, 2016 10:27:06 PM
Attachments: [USCIS ELIS-ATLAS SORN and PIA #86.pdf](#)
[General Record of Disclosure Form USCIS #86.pdf](#)

Here's USCIS response to RFI #86. Most of these SORNs/PIAs are publicly available. Here are the links:

USCIS ELIS - PIA:

<https://www.dhs.gov/sites/default/files/publications/privacy-pia-uscis-eliseappendixaupdate-august2016.pdf>

USCIS ELIS - SORNs:

A-File: <https://www.gpo.gov/fdsys/pkg/FR-2013-11-21/html/2013-27895.htm>

E-Authentication: <https://www.gpo.gov/fdsys/pkg/FR-2014-08-11/html/2014-18703.htm>

BIS: https://www.regulations.gov/document?D=DHS_FRDOC_0001-1511

The others are attached.

Thank you,
Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
(c) 202-489-8802

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Privacy Impact Assessment
for the

**USCIS Electronic Immigration System
(USCIS ELIS)**

DHS/USCIS/PIA-056

May 17, 2016

Contact Point

Donald Hawkins

Privacy Officer

United States Citizenship and Immigration Services

(202) 272-8000

Reviewing Official

Karen L. Neuman

Chief Privacy Officer

Department of Homeland Security

(202) 343-1717



Abstract

The Department of Homeland Security (DHS) United States Citizenship and Immigration Services (USCIS) operates the USCIS Electronic Immigration System (USCIS ELIS). USCIS ELIS is an electronic case management system that allows USCIS to process certain immigration benefit requests. USCIS conducted this PIA to evaluate the privacy impacts of converting legacy, paper-based processes to an electronic system. This PIA replaces all previously-issued USCIS ELIS PIAs, which are: DHS/USCIS/PIA-039 *Transformation*, DHS/USCIS/PIA-041 *ELIS-1 Temporary Accounts and Draft Benefit Requests*, DHS/USCIS/PIA-042 *ELIS-2 Account and Case Management*, DHS/USCIS/PIA-043 *ELIS-3 Automated Background Functions*, and DHS-USCIS-PIA-056 *USCIS ELIS: Form I-90*. As USCIS ELIS expands to additional immigration benefit types, USCIS will update the Appendix to this PIA.

Overview

USCIS is the Component within DHS that oversees lawful visits and immigration to the United States. This includes receiving and adjudicating a wide variety of immigration and non-immigration benefits and requests (hereafter referred to as immigration benefits). Historically, USCIS has relied on manual, paper processes to perform this function. USCIS ELIS is a centralized, web-based system designed to transform USCIS business operations from a "transaction-centric" model to a "person-centric" model using unique customer accounts. USCIS is expanding its use of USCIS ELIS over the next several years by expanding the immigration benefit types that USCIS ELIS will process in an incremental fashion. As new immigration benefit types are made available in USCIS ELIS, all benefit requests within that immigration benefit type will be processed in USCIS ELIS, including paper and electronic filings.¹

Background and "Legacy USCIS ELIS"

USCIS ELIS originally launched in the spring of 2012. USCIS is conducting this PIA to describe a new iteration of the existing USCIS ELIS system. The current USCIS ELIS system, now known as the "Legacy USCIS ELIS" system, is no longer accepting documents and will be decommissioned. The two systems are completely separate, including separate login accounts for customers and employees and a different user interface. However, the new system does follow the same general purpose and data collection process as the previously-used system. Each system accepts different immigration benefit types,² which limits the number of customers who have reason to access both systems.

¹ Except for certain low-volume special circumstances that will not be processed in ELIS.

² Legacy USCIS ELIS processed the electronic Form I-539, Application to Extend Stay/Change Status as a Nonimmigrant; electronic Form I-526, Immigrant Petition by Alien Entrepreneur; a Document Library (for EB-5 petitions associated with Regional Centers); and the ability to pay the \$165 USCIS Immigrant Fee.



The primary users of USCIS ELIS are USCIS adjudicators processing benefit requests. USCIS ELIS also interfaces with other IT systems that conduct other functions, such as customer service and fraud detection, without subsuming or replacing those functions. Unlike Legacy USCIS ELIS, USCIS ELIS does not attempt to conduct advanced link-analysis for fraud or national security purposes.³ Instead, it interfaces directly with other USCIS systems that are operated specifically for those purposes. Therefore, with the publication of this PIA, USCIS is retiring the previous USCIS ELIS PIAs.

System Description

Paper Intake

Historically, USCIS has required applicants, petitioners, or benefit requestors submit hard-copy, paper submissions of immigration applications, petitions, or benefit requests to one of its "Lockbox" facilities. Lockbox facilities are operated by U.S. Department of Treasury financial agents on behalf of USCIS to receive paper requests, process payments, and forward the requests to USCIS Service Centers in paper and electronic format for further processing. As USCIS ELIS expands to new immigration benefit types, the applicable Lockbox facility will adjust its legacy delivery process to transmit filings to USCIS ELIS rather than to the legacy system (usually CLAIMS 3 or CLAIMS 4). It will transmit the data to USCIS ELIS as well as scanned images of the paper filings to ELIS electronic storage.

The Lockbox will continue to follow existing USCIS guidance to prepare submitted paper filings. If the paper filing pertains to an individual with a paper Alien File (A-File),⁴ then the paper will be delivered to that file. If it pertains to a customer without a paper A-File (primarily nonimmigrants), then the paper will be transferred to a Receipt File and delivered to the relevant USCIS office for temporary retention. This temporary retention is governed by the applicable National Archives and Records Administration (NARA)-approved retention schedule. As USCIS expands its use of electronic records, USCIS intends to reduce its storage of paper records when NARA-approved electronic equivalents exist. All changes to retention of records are coordinated with NARA, published in the *Federal Register*, and communicated to the USCIS customer in the instructions of each immigration form.

Once information from the paper filing is accepted in USCIS ELIS, the system sends the customer a "USCIS Account Acceptance Notice" via U.S. Postal Service mail. This notice contains instructions for creating a USCIS Online Account and a passcode for linking the account with the USCIS ELIS case. If the customer opts not to activate his or her USCIS Online Account, the passcode expires in 30 days as a security measure. The customer, however, may later contact USCIS customer service to request that a new letter with a new activation passcode be sent. Customers who file paper applications, petitions, or requests that are receipted into USCIS ELIS

³ DHS/USCIS/PIA-043, *ELIS-3 Automated Background Functions* (May 16, 2012), available at http://www.dhs.gov/xlibrary/assets/privacy/privacy_pia_uscis_elis_3_automatedbackgroundfunctions.pdf.

⁴ 78 FR 69864 (Nov. 21, 2013).



will have the opportunity to log in to their USCIS ELIS account to check the status of their application, petition, or request; obtain copies of documents associated with the filing; and respond electronically to requests for additional information, such as Requests for Evidence (RFEs), if they create online accounts. Customers who opt not to activate their online accounts can continue to use the existing paper process and USCIS will continue to send notices via hard copy mail.

Electronic Intake

Customers may also file benefit requests with USCIS electronically. Customers who choose to file electronically must first create a USCIS Online Account by providing a person-specific, unique email address. USCIS sends a confirmation email to the provided address to confirm accuracy. The email address is then stored as the customer's username. Next, the customer creates a strong password. To establish two-factor authentication, a personal identification number (PIN) is required in addition to the password. The customer must choose whether to receive the one-time PIN either by mobile phone via short message service (SMS), or as a message delivered by email. If the customer chooses SMS, the system prompts him or her to provide the mobile number and carrier. Passwords are never sent or reset via email.

The customer also provides answers to security questions that he or she will answer to reset the account password in the future. The security questions are "fill-in-the-blank" questions that the customer provides the answer to at account set-up. USCIS provides the customer with a drop-down menu of standard questions, and the customer chooses which ones to use as his or her security questions.⁵ USCIS will not use the answers to these questions for purposes other than assisting with password resets (e.g., the answers would not be available to adjudicators for an immigration benefit purpose or fraud investigators in the event of a fraud investigation). These answers are stored by USCIS within the system, but like passwords, are not visible however via the user interface used by USCIS adjudicators, clerks, and similar users. The answers could be visible to customer helpdesk personnel who assist users in resetting their passwords and encountering problems using the system.

Once the online account is set-up, the customer can begin drafting his or her electronic request in the online filing system. The user interface collects the same information as is collected via the corresponding existing paper form, although questions dynamically expand or become disabled as the customer progresses through the request. In other words, a customer's answer to one question may prevent a series of additional questions from being necessary. Those would not be fillable because they would not be applicable to that customer. This enables the customer to respond only to applicable questions. Although USCIS ELIS initially saves draft data, the customer may edit, delete, or update information when it is in draft state and the system does not keep copies of these previous iterations.

⁵ For example, the applicant may choose, *What is your favorite type of candy?* as a security question.



The electronic format also provides some advantages to the user, such as a validation of mailing address against U.S. Postal Service (USPS) known addresses. The user has the option to use a corrected address, validated by the USPS Address Standardization Web Tool,⁶ to prevent address formatting confusion or typographical errors. When the customer enters his or her mailing address, the system bounces the address entered against addresses recognized by USPS. If the USPS tool does not recognize the address, the system will display a pop-up window informing the customer that the address was not found. The pop-up window will also offer an alternative recognized address that the USPS tool provides as a close match. If there is no close match, the USPS tool provides an alternative address as a suggestion. The customer is given the option to accept the suggested address or ignore the suggestion and use the address he or she originally typed. The customer may return to the address fields at any time, which will trigger a re-validation by the USPS service.

Based on the answers the customer provides, ELIS prompts the customer to upload evidence. For example, if the customer requests a replacement Permanent Resident Card because of a legal name change through marriage, the system will prompt the customer to upload evidence of the legal name change, such as a marriage certificate. Customers upload evidence by scanning documents and attaching the scanned images to the USCIS ELIS electronic request.

Once the customer completes the request and uploads necessary evidence, USCIS ELIS requires the customer to electronically sign (e-sign) the request and pay the applicable fee. The customer can review the information he or she is about to submit, and then e-sign by entering his or her name. Payment is made using the U.S. Department of Treasury's Pay.Gov service.⁷ USCIS does not collect the fee directly. Rather, the Pay.Gov interface is imbedded within the USCIS Online Account user interface, and Pay.Gov collects payment information—either credit card, debit card, or Automated Clearing House (ACH) debit from a personal bank account. Once Pay.Gov validates the payment information, applicants are routed back to USCIS ELIS and the USCIS Online Account confirms to the customer that he or she successfully submitted the request. USCIS will mail a receipt notice (if applicable) to the customer's physical address and make it available electronically via a new interface called the USCIS Online Account.

Intake with Attorney or Accredited Representative

Attorneys and non-attorney representatives accredited by the Board of Immigration Appeals (BIA) (hereafter referred to as Representatives) may also create a USCIS Online Account to use USCIS ELIS. These accounts require limited biographic data about the Representative (based on the USCIS Form G-28, *Notice of Appearance as Attorney or Accredited Representative*) and allow the Representative to draft electronic requests on behalf of his or her clients;

⁶ Via this service, USPS does not ingest or store the address provided by USCIS ELIS.

⁷ U.S. Department of Treasury *Financial Management Services Pay.Gov Privacy Impact Assessment 2.0* (July 1, 2011), available at, http://fms.treas.gov/pia/paygov_pia%20.pdf.



electronically transfer draft requests for client review and e-signature; and receive updates about those requests as they are processed by USCIS.

Customers give a Representative permission to represent them on a particular request via Form G-28, *Notice of Entry of Appearance as Attorney or Accredited Representative*, filed concurrently with that request. If a paper filing for a USCIS ELIS immigration benefit type is submitted with a Form G-28, the Lockbox will transmit the information to USCIS ELIS, which will search to identify whether that Representative already has a USCIS Representative account in the system. If a Representative account already exists, the new filing is linked to the existing account. However, if a Representative account does not yet exist, USCIS ELIS will create a USCIS Online Account for the Representative. Like customers, Representatives are sent a hardcopy "USCIS Account Acceptance Notice" via USPS. This letter contains instructions on activating the account as well as a passcode for linking the new account with the client immigration request in USCIS ELIS.

Representatives may also electronically file requests in USCIS ELIS. To successfully submit a represented filing in USCIS ELIS, both the Representative and the Representative's client (who is the USCIS customer) must have their own, independent USCIS Online Account. The Representative uses his or her account to draft a request for his or her client, and upon completion, submits it for the client's review. When the Representative submits the draft benefit request for client review, the Representative provides USCIS ELIS with the client's email address. USCIS ELIS then presents the Representative with a passcode that is provided in-person to his or her client. The client must provide the passcode in order to access to the draft request when he or she next logs in to the system. USCIS ELIS sends the client an email indicating the pending draft in his or her existing account, and upon login, the customer is directed to input the passcode in order to view the draft. USCIS ELIS gives the client access to the draft case filed by the Representative if both the email address connected to the client's account and the passcode entered by the client match the client email address and the passcode associated with the filing submitted via the Representative's account. The client has read-only access to the Representative's draft. The client is able to reject the draft, which sends it back to the Representative, or accept the draft and e-sign it together with the electronic Form G-28. If the client rejects the draft, the Representative may overwrite the previous draft. The customer, however, will need a new passcode in order to access the revised document. USCIS ELIS does not store previous drafts. Once the client reviews the request, he or she accepts and e-signs. It is then electronically returned to the Representative, who will also e-sign, pay filing fees, and submit the request to USCIS. Thereafter, the Representative will have access to the same request information and status updates related to the request that the client does.

Remote Identity Proofing



USCIS requires in-person-identity verification for many of its immigration benefits, either by requiring customers to appear in-person to submit biometrics, to be interviewed in-person by an adjudicator, or both. However, there will be some USCIS Online Account holders who never appear in-person, and require remote identity proofing to assure USCIS that the account holder is who he or she purports to be. Those requiring remote identity proofing include customers making requests that do not include in-person appearances for adjudication, and also other users such as Representatives, who do not appear in person.

USCIS will provide remote identity proofing for those users who require it using two methods. The first method will use a third-party remote identity proofing service that uses an individual's commercial and financial data to verify identity using an "out of wallet" quiz. These services are standard across public and private sector online interfaces and are designed to conform to applicable Government-wide standards on identity proofing of federal systems. USCIS ELIS will use those services as described in the DHS E-Authentication System of Records Notice.⁸

Those existing services, however, are largely unable to identity-proof individuals who have not lived or conducted business in the United States, which is a large portion of USCIS customers. For those customers, USCIS has designed Identity Proofing as a Service (IDPaaS.) IDPaaS will use data on file within USCIS legacy systems or data collected by the Department of State abroad to verify that the USCIS Online Account holder is the customer he or she claims to be. IDPaaS will present a quiz to the account-holder based on the data in a fashion similar to commercial "out-of-wallet" quizzes.

The questions presented to each account-holder are dynamically generated based on the best information USCIS has about the individual, as well as the most diverse set of questions available. This data originally comes from information the Department of State collected in-person when issuing a visa, information U.S. Custom and Border Protection (CBP) collects in-person upon entry at the border, and information USCIS has from the customer based on previous immigration benefit requests, as consolidated by USCIS in its major immigration systems.⁹ In designing the questionnaire, USCIS looked at the breadth of data and categorized it into several domains based on the type of information, such as travel, contact information, etc. The questionnaire is designed to dynamically ask the customer questions from different domains to ensure the customer is showing knowledge of a wide breadth of data about him- or herself, and also data that would not be known by a different person. IDPaaS may allow customers more than one attempt to pass the questionnaire, but only if the system has enough reliable data in enough domains about that individual. Questions are in multiple-choice format, and include a "none of the above" option where appropriate.

Customers who are required to use IDPaaS are provided notice explaining what identity proofing is and what to expect before launching into the process. If customers are unable to pass

⁸ DHS/ALL-037 E-Authentication System of Records, 79 FR 46857 (Aug. 11, 2014).

⁹ 78 FR 20673 (Apr. 5, 2013), 78 FR 69864 (Nov. 21, 2013).



the IDPaaS questionnaire, they are presented with instructions on how to proceed, which may be by contacting Customer Service or appearing in-person. Once the customer passes the identity proofing quiz, USCIS ELIS retains the fact that the customer has been identity-proofed and does not require the customer to repeat the process for subsequent immigration benefit requests.

As IDPaaS is incrementally deployed, USCIS will maintain an internal governance board¹⁰ to review the efficacy of the system, approve new questions and methods of verifying identity, and evolve the questionnaires as appropriate for each new use case. IDPaaS will only be used internally within USCIS. Data from sources will be shared as it resides in other systems.

System Process

Automated System Checks

Upon receipt of a request, the first data element USCIS ELIS validates is the customer's Alien Registration Number (A-Number), if applicable. When customers list an A-Number on a benefit request, USCIS ELIS runs an automated comparison of the claimed A-Number against the USCIS legacy Central Index System (CIS)¹¹ to verify that the A-Number exists and is valid and matches the name and identifying information provided by the customer. If the system cannot automatically verify this information, USCIS ELIS moves the customer's request into an electronic work queue where it will be researched and resolved by a USCIS employee or contractor before proceeding to adjudication.

During the A-Number validation, USCIS also runs a criminal and national security background check against the CBP TECS system.¹² If this check identifies potential criminal or national security issues, it is referred to another electronic workflow queue for resolution. USCIS must take measures to address or resolve the presented issues before adjudicating the benefit request, which may include a referral to the USCIS Fraud Detection and National Security (FDNS) Directorate.

After the A-Number is validated, USCIS ELIS interfaces with the National Appointment Scheduling Service (NASS)¹³ to schedule an Application Support Center (ASC) appointment for the customer if required for the particular request. During an ASC appointment, USCIS is able to verify identity in-person by collecting biometrics. NASS generates an appointment notice that USCIS mails to the customer. USCIS ELIS holds the customer's request pending completion of the ASC appointment, if required.

¹⁰ Members include designees from USCIS Office of Privacy, Office of Chief Counsel, and Office of the Chief Information Security Officer, among others.

¹¹ DHS/USCIS/PIA-009, Central Index System PIA (June 22, 2007), available at http://www.dhs.gov/xlibrary/assets/privacy/privacy_pia_uscis_cis.pdf.

¹² DHS/CBP/PIA-009, TECS System: CBP Primary and Secondary Processing PIA (December 22, 2010), available at http://www.dhs.gov/xlibrary/assets/privacy/privacy_pia_cbp_tecs.pdf.

¹³ Privacy Impact Assessment pending publication to <http://www.dhs.gov/uscis-pias-and-soms>.



Adjudicating the Application

The customer's case advances once the USCIS Customer Profile Management System (CPMS)¹⁴ sends notification that the customer has submitted his or her biometrics at the ASC, if required. If biometrics are not required, the case advances to the adjudication step immediately following A-Number validation and resolution of any background check results.

USCIS ELIS automatically places the application in an adjudicator work queue after A-Number validation, completion of the TECS background check, and return of the background and security check results through the legacy USCIS Benefits Biometric Support System (BBSS)¹⁵ have occurred. The USCIS adjudicator evaluates all data—the information submitted by the customer along with the results of the background and security checks—according to existing standard operating procedures (SOP) that apply to the legacy paper process.

To assist the adjudicator in verifying information submitted by the customer, ELIS aggregates and displays information pulled from other USCIS systems via the Person-Centric Query System (PCQS).¹⁶ This information includes other names, dates of birth, contact information, and other A-Numbers that may also be associated with the customer. Following existing SOPs, the adjudicator is able to identify which data is correct or relevant, and make updates to the system to record the correct data about a customer. The system documents all updates made to data about the customer. The adjudicator then renders a decision, and may electronically submit the decision to his or her supervisor for review.

Once the decision is final, USCIS ELIS uses automated interfaces with existing USCIS IT systems to send approval or denial notices along with the proof of benefit (such as a Lawful Permanent Resident card), as applicable. When a proof of benefit must be produced, and it requires a photograph, the adjudicator is able to obtain the customer's facial photograph, fingerprint, and signature via an interface with CPMS solely for proof of benefit production purposes. The facial photograph and other biometric elements are temporarily displayed in USCIS ELIS and can be adjusted to improve image quality for printing. USCIS ELIS allows the user to zoom, pan, lighten, or darken the photo for card production, and then certify for printing. Upon successful card printing, the facial photograph is automatically deleted from USCIS ELIS and the final adjusted image is stored as part of the printed card record in CPMS.

System Privacy Impacts

Overall, USCIS ELIS offers USCIS customers several advantages with respect to data privacy protections. Once logged into their account, USCIS customers are able to enter their information directly into the system or correct data as applicable. In contrast, the paper-based

¹⁴ *Id.*

¹⁵ DHS/USCIS/PIA-033 Immigration Benefit Background Check System PIA (November 5, 2010) available at http://www.dhs.gov/xlibrary/assets/privacy/privacy_pia_uscis_ibbes.pdf.

¹⁶ DHS/USCIS/PIA-010 Person-Centric Query System (PCQS) PIA (June 22, 2007), available at http://www.dhs.gov/xlibrary/assets/privacy/privacy_pia_uscis_pcq.pdf.



legacy process requires contractors to manually key-in data from paper filings. Allowing customers to enter or correct their information directly reduces the risk for typographical errors and generally improves the accuracy, timeliness, and completeness of submitted information. USCIS ELIS customers who have activated their USCIS Online Accounts also enjoy improved transparency regarding the status of their requests and better access to their data, because that data is available instantly once they are logged into their account. Although USCIS ELIS initially saves draft data, the customer may edit, delete, or update information when it is in draft state and the system does not keep copies of these previous iterations. This preserves the same confidentiality for an electronic customer as a paper-filer. IDPaaS allows USCIS ELIS to ensure many customers online are who they claim to be. There is a risk that some legitimate customers may be unable to pass the IDPaaS quiz, and there is a risk that an individual with access to a customer's files could illegitimately pass. USCIS will actively mitigate this risk by monitoring the performance of the system and assisting with customer help requests, and adjust for needed changes accordingly. Customers with online accounts also may receive requests for additional information and other communications more quickly, as information and notices are made available electronically in the account. This method of communication is faster than sending customers paper notices via USPS mail. While faster, use of email and the internet creates other risks. Customers may face some increased data security risk by virtue of submitting data via the Internet. To mitigate this risk, USCIS ELIS employs several layered IT security and data quality measures, such as establishing a secure encrypted connection when a customer is entering sensitive personally identifiable information (PII) and requiring strong two-factor authentication.

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 primary legal authority supporting the collection of the information provided to USCIS is 8 U.S.C. § 1101 *et seq.* Specifically, 8 U.S.C. § 1360 requires a central file of information for the security and enforcement agencies of the Government of the United States that contains the names of all aliens admitted or denied admission to the United States and such other relevant information as required to aid in the proper enforcement of this chapter. The Homeland Security Act of 2002¹⁷ and the Immigration Nationality Act (INA)¹⁸ charge the Secretary of Homeland Security with administration and enforcement of the immigration and naturalization laws. The Secretary of Homeland Security has delegated duties to USCIS pursuant to DHS Management Directive MD 0150.1. DHS also has promulgated regulations that permit the collection and

¹⁷ Pub. L. No. 107-296, 116 Stat. 2135 (2002), 6 U.S.C. § 112.

¹⁸ 8 U.S.C. § 1101 (2004) *et seq.*



processing of applications, petitions, and requests online entitled, "Immigration Benefits Business Transformation, Increment I;"¹⁹ and "Immigration Benefits Business Transformation, Increment I; Correction."²⁰

The Government Paperwork Elimination Act (GPEA)²¹ provides that, when possible, federal agencies should use electronic forms, electronic filing, and electronic submissions to conduct agency business with the public. GPEA establishes the criteria and guidelines for the use of electronic signatures. Executive Order 13571²² requires federal agencies to develop plans to streamline delivery of services and improve customer service by exploring lower-cost, self-service options accessed by the Internet or mobile phone, and improved processes that deliver services faster and more responsively, reducing the overall need for customer inquiries and complaints.

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

The following SORNs cover USCIS ELIS:

- DHS/USCIS-007 Benefits Information System;²³
- DHS/USCIS/ICE/CBP-001 Alien File, Index, and National File Tracking System of Records;²⁴ and
- DHS/ALL-037 E-Authentication Records System of Records.²⁵

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

Yes. USCIS ELIS has been granted an Authority to Operate (ATO), which is continually being monitored under the USCIS Ongoing Authorization process. USCIS ELIS data also includes data from the USCIS Identity and Credentialing Account Management system (ICAM) and the USCIS Online Account system, also under USCIS Ongoing Authorization.

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

Yes: NI-566-11-02, (October 17, 2011) and NI-566-12-05, (April 17, 2013) cover USCIS ELIS accounts. Each immigration benefit type processed by USCIS ELIS has an additional existing retention schedule, which USCIS ELIS applies to each particular case.

¹⁹ 76 FR 53764 (Aug. 29, 2011).

²⁰ 76 FR 73475, (Nov. 29, 2011).

²¹ 44 U.S.C. § 3504 (2004).

²² 75 FR 24339 (Apr. 27, 2011).

²³ 78 FR 20673 (Apr. 5, 2013).

²⁴ 78 FR 69864 (Nov. 21, 2013).

²⁵ 73 FR 56596 (Sept. 29, 2008).



- 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 OMB Control number for online account setup is 1615-0122 (there is no corresponding agency number.) Each form processed by USCIS ELIS has an existing OMB control number that covers the USCIS ELIS collection. An updated list is available in Appendix A of this document.

Section 2.0 Characterization of the Information

The following questions are intended to define the scope of the information requested and/or collected, as well as reasons for its collection.

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

USCIS ELIS collects:

- Account setup and login information including: email address, password, security questions, mobile phone number, and mobile phone carrier;
- Information that is required to adjudicate the request. This will vary for each immigration benefit type. A full account of what data is requested for each immigration benefit type can be viewed by referencing the paper forms associated with each immigration benefit type in Appendix A;
- E-signature: check-box attestation, the customer's name, Internet Protocol (IP) address from which the filing is submitted, and time/date stamp;
- Background and security check information about the customer as described below, whether the result relates to the individual, and if applicable, memoranda from adjudicators resolving the results; and
- Temporarily stores biometric images to allow proper formatting for printing.

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

The majority of information in USCIS ELIS is obtained directly from the customer or his or her Representative. Additionally, USCIS collects data from CBP TECS and USCIS BBSS in order to conduct background and security checks. USCIS ELIS also receives information from the



Department of State (DoS) Consolidated Consular Database (CCD)²⁶ for Immigrant Visa data when applicable. CCD data is transmitted via PCQS and its data is necessary for USCIS because CCD contains immigrant and non-immigrant visa data. USCIS employees and contractors using the system may generate data, such as notices, internal case processing notes, and decisions.

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.

2.4 Discuss how accuracy of the data is ensured.

USCIS ELIS ensures data accuracy because the system uses data entered directly by the individual customers whenever possible. Requests filed using the USCIS Online Accounts are completed directly by the individual customers. Customers are able to overwrite and correct any information in their applications up to the point that they sign and submit the application. After it has been submitted, the customer may login to his or her account and automatically make changes that have no substantive bearing on the adjudication, such as updating an email address or other contact information. When inputting data from a paper filing, the Lockbox facilities employ quality control measures, including levels of review to prevent keying errors. In the event of an error, the customer is able to correct certain data using existing legacy correction processes, such as contacting USCIS Customer Service.

Select data submitted by the individual customers are run through the A-Number validation process to promote data integrity between USCIS ELIS and legacy USCIS systems such as the Central Index System (CIS). USCIS ELIS also enables the adjudicator to check biographical data entered by the customer (e.g., name, date of birth, place of birth, gender) against data from CIS to assist the adjudicator in identifying inaccurate data supplied by the customer (or correct inaccurate data on file in legacy systems.) Finally, USCIS automatically submits data to other federal systems such as CBP TECS and USCIS BBSS to verify identity and conduct background and security checks.

2.5 Privacy Impact Analysis: Related to Characterization of the Information

Privacy Risk: Because USCIS ELIS houses multiple benefit requests that each require different information, there is a risk that customers could submit more information than necessary.

Mitigation: USCIS ELIS mitigates this risk in two main ways. First, the system only collects information pertaining to one request at a time, so that the customer cannot be prompted

²⁶ Department of State Consolidated Consular Database Privacy Impact Assessment (Dec. 11, 2008), available at <http://www.state.gov/documents/organization/93772.pdf>.



to enter information unless it pertains to the specific benefit request on which the customer is working. Second, the user interface dynamically greys out fields that the customer should not fill out based on answers to other questions. For example, when a paper form would instruct the customer to skip a section of the form based on her answer, USCIS ELIS would “grey out” or disable the inapplicable section and present the customer only relevant sections and questions. It is possible for customers to upload more evidence than necessary because they are allowed to submit “unsolicited evidence” at any point until adjudication. This is a valuable feature to allow customers the opportunity to provide information initially forgotten or submitted incorrectly, which partially mitigates the risk that customers may opt to provide too much information. This risk cannot be fully mitigated because of the “unsolicited evidence” option.

Privacy Risk: Because USCIS ELIS automatically saves draft applications, there is a risk that adjudicators could later see draft information that the customer deleted or corrected before submitting his or her electronic request. This could negatively affect USCIS ELIS customers because they would not receive the same confidentiality online they receive via the paper process.

Mitigation: Although USCIS ELIS initially saves draft data, the customer may edit, delete, or update information when it is in draft state and the system does not keep copies of these previous iterations. When the customer submits his or her electronic request, USCIS ELIS only stores the final, signed version. Any previous version, including uploaded evidence that the customer removed before finalizing, is permanently deleted. USCIS adjudicators only receive the information that was e-signed and submitted. Similarly, if the customer begins drafting a request but never submits it (by e-signing and paying), then USCIS ELIS automatically deletes the data after 30 days, per the approved retention schedule. If the customer later files another benefit request, the adjudicator has no indication of a previous draft.

Section 3.0 Uses of the Information

The following questions require a clear description of the project’s use of information.

3.1 Describe how and why the project uses the information.

USCIS collects only the minimum information necessary to fulfill the following purposes:

(1) Establish a secure online account through which to submit an application

Information collected includes email address (used to contact customer and also as username), password (used to authenticate the user), mobile phone number for sending one-time PIN to be used as a second-factor in authenticating, and answers to security questions for future password resets;



(2) Verify the identity of the requester

Information collected may include A-Number, name, date of birth, place of birth, Social Security number, and other information such as date and class of admission into the United States, and mother's and father's names. These data are used to locate the customer in legacy systems;

(3) Facilitate criminal and national security background checks

Information collected includes name, date of birth, and country of birth for use by CBP TECS and USCIS BBSS in running background checks; physical description (eye color, hair color, height, and weight) required by BBSS; mailing address to provide to USCIS NASS for biometric appointment scheduling; and results of criminal and national security background checks from CBP TECS and USCIS BBSS for referral to FDNS as needed;

(4) Justify eligibility for benefit requested

Information collected includes the information collected on the applicable request along with documentation to support the request. The adjudicator uses all of this to follow existing SOPs on adjudicating the particular request; and

(5) Authorize card production

Information collected includes internal system indicators that record that every step of the adjudication process was followed, the adjudicator's decision and supervisory review, and the temporary storage of the applicable biometric images to allow for proper formatting. This also includes information from Pay.gov confirming that the customer paid the applicable fee and e-signature information to record that the customer attests that the information he or she put forth in the application is true.

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.

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

USCIS ELIS allows read-only roles for Immigration and Customs Enforcement (ICE) and U.S. Customs and Border Protection (CBP), both within DHS because of their shared immigration missions. Also, USCIS ELIS does share read-only information with the USCIS Enterprise Service Bus (ESB),²⁷ which may share information from USCIS ELIS with other Components via PCQS.

²⁷ DHS/USCIS/PIA-010 Person-Centric Query System (PCQS) PIA (June 22, 2007), available at: http://www.dhs.gov/xlibrary/assets/privacy/privacy_pia_uscis_pcq.pdf.



The majority of PCQS users are internal to USCIS. However, PCQS does grant user access to Department of State (DoS) users who have an official need for read-only access to USCIS customer data. Like CBP and ICE, DoS has a shared mission with USCIS because of its visa-issuing authority, which is part of the immigration process for many USCIS customers.

3.4 Privacy Impact Analysis: Related to the Uses of Information

Privacy Risk: There is a risk that increased availability of information that previously was only visible to one employee at a time (because it was in a paper file) could result in new, unauthorized uses of the information.

Mitigation: This risk is partially mitigated. USCIS will mitigate this risk three ways. First, all users of USCIS ELIS must receive role-based system training, which explains the purpose of the data and includes reminders about proper PII handling. Second, the system tracks all access and edits to customer PII, and stores that activity in back-end audit logs available to the USCIS Office of Security Investigations (OSI) for monitoring and action. Finally, USCIS ELIS employs a provisioning process that verifies every user requesting access to the system has a valid need to view data in the system.

Privacy Risk: By retaining data in an active, online platform, USCIS ELIS poses a risk of unauthorized exposure because the system could be attacked by an external entity.

Mitigation: USCIS recognizes that retaining data online makes that data potentially more available to compromise. As a result, USCIS is building into its retention schedules a timeframe after which data may be retained offline by the agency but not available online with public access. This will allow the agency to preserve records that should be maintained for their historical value but adds some security from unauthorized access of outdated accounts. This risk is also mitigated by IT security measures such as encryption of the data in transit and at risk and requiring secure, two-factor authentication for login.

Section 4.0 Notice

The following questions seek information about the project's notice to the individual about the information collected, the right to consent to uses of said information, and the right to decline to provide information.

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

USCIS provides online customers with a Privacy Act statement addressing the collection of their information for the creation of an online account before any information is input by the customer. USCIS also provides a Privacy Act statement covering the particular application, petition, or request at the time of that collection. USCIS ELIS additionally sends paper and



electronic notices pertaining to the customer's request throughout the adjudication process and via this PIA. Further, USCIS provides the appropriate OMB control number and Paperwork Reduction Act Statement for each individual form type available to a customer via the USCIS Online Account prior to any data being input by the customer.

Finally, customers who are required to use IDPaaS are provided notice explaining what identity proofing is and what to expect before launching into the process. If customers are unable to pass the IDPaaS questionnaire, they are presented with instructions on how to proceed, which may be by contacting Customer Service or appearing in-person.

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

Once USCIS ELIS incorporates a particular immigration benefit type, all requests received for that benefit type will be processed in USCIS ELIS. While customers cannot opt to have their request processed according to a legacy process or system, they may opt to file via paper rather than electronically. If the customer opts not to provide answers to some of the information requested, the system will generally allow the customer to proceed with the request. The request, however, may take longer to adjudicate because the adjudicator may need to request the information the customer declined to submit with his or her application. If the customer declines to provide the requested information, the adjudicator may consider the request to be abandoned and deny the request or consider it abandoned.

4.3 Privacy Impact Analysis: Related to Notice

Privacy Risk: There is a risk that someone other than the USCIS customer will use the system to fraudulently obtain an immigration benefit, which could expose the legitimate customer to identity theft. This could occur without the customer knowing.

Mitigation: In order to mitigate the risk of identity theft or fraud, USCIS has existing processes that require most customers requesting an immigration benefit to provide their biometrics at an ASC, which allows for in-person identity verification. USCIS ELIS leverages this in-person identity-proofing to ensure the individual who created the online account is who he or she claims to be. For those processes that do not include an in-person identity verification, USCIS directs users to a remote identity proofing solution to confirm the user's identity according to applicable government-wide standards.



Section 5.0 Data Retention by the project

The following questions are intended to outline how long the project retains the information after the initial collection.

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

USCIS has drafted a series of retention schedules to cover different types of data in USCIS ELIS. Currently, two of those schedules have been finalized and signed by the Archivist. The remaining schedules are being actively worked with NARA.

The majority of customer data in USCIS ELIS is not yet covered by a finalized retention schedule, but is pending review at the National Archives. USCIS expects NARA to approve permanent retention for USCIS ELIS customer data because it replaces data that would have been in the Alien File (A-file) if filed via paper. Data includes individual customer account data of immigrants, as well as the case data pertaining to their requests. The A-file is permanently retained for historical purposes.

The approved retention schedules are as follows:

1. **ELECTRONIC IMMIGRATION SYSTEM (USCIS ELIS) ABANDONED DRAFT ACCOUNT AND/OR DRAFT BENEFIT REQUEST DATA, NI-566-11-02, (October 17, 2011):** This schedule covers customer accounts and draft applications that customers do not submit to USCIS within a 30-day period. The schedule dictates that the data must be permanently deleted 30 days after creation of the account or initiation of a draft application.
2. **USCIS ELECTRONIC IMMIGRATION SYSTEM (USCIS ELIS) TEMPORARY ACCOUNTS, NI-566-12-05, (April 17, 2013):** Covers internal user accounts for USCIS employees; such accounts will be deleted/destroyed 6 years after the account is terminated or when no longer needed for investigative or security purposes, whichever is later.

5.2 Privacy Impact Analysis: Related to Retention

There is no privacy risk to retention because USCIS records are retained permanently for their historical value, such as genealogical research, similar to the A-File.

Section 6.0 Information Sharing

The following questions are intended to describe the scope of the project information sharing external to the Department. External sharing encompasses sharing with other federal, state and local governments, and private sector entities.

- 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 ELIS information is shared outside of USCIS in a read-only state over the ESB and may be viewable by DoS via PCQS. Also, USCIS ELIS feeds data to USCIS BBSS for background checks, and BBSS uses that data as part of the record that is forwarded to the Federal Bureau of Investigations (FBI) to conduct its criminal and national security checks.²⁸

6.2 Describe how the external sharing noted in 6.1 is compatible with the SORN noted in 1.2.

Sharing USCIS ELIS data via PCQS to DoS is compatible with the purpose of the system because the DoS mission, like USCIS, includes ensuring lawful visits and immigration to the United States as dictated by the INA. This sharing is covered by the Routine Use "I" of the DHS/USCIS-007 SORN,²⁹ which states that data may be shared with, "...the Department of State for the purpose of assisting in the processing of petitions or applications for benefits under the Immigration and Nationality Act, and all other immigration and nationality laws including treaties and reciprocal agreements." Sharing with the FBI is covered by Routine Use "J" of the DHS/USCIS-007 SORN,³⁰ which states that data may be shared with "...appropriate Federal... law enforcement... agencies... during a proceeding within the purview of the immigration and nationality laws, when DHS deems that such disclosure is necessary to carry out its functions and statutory mandates to elicit information required by DHS to carry out its functions and statutory mandates."

6.3 Does the project place limitations on re-dissemination?

USCIS ELIS does not share any data that would not be allowed to be re-disseminated, and does allow for re-dissemination of information only once it becomes part of the sharing partners' systems of records.

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

BBSS and PCQS each automatically log external disclosures of information, as described in those systems' respective PIAs.³¹ If external sharing is authorized, the USCIS employee who disclosed the information must record the disclosure. The employee records this by typing a note with the data shared, purpose, and date into the free-text comment field of the system.

²⁸ All DHS PIAs and SORNs are available on www.dhs.gov/privacy. Please consult the PCQS and Background Check Service SORNs for specific information about when information is shared, for what purposes, and with whom.

²⁹ 73 FR 56596

³⁰ *Id.*

³¹ All DHS PIAs and SORNs are available on www.dhs.gov/privacy. Please consult the PCQS and BCS PIAs for specific information about how external disclosures are recorded.



6.5 Privacy Impact Analysis: Related to Information Sharing

Privacy Risk: There is a risk that data-sharing governance and record keeping designed for legacy paper processes, such as paper mechanisms for logging records of disclosure and physical restrictions on paper file sharing, might not translate to the electronic environment.

Mitigation: USCIS is mitigating this risk by working cooperatively with NARA and its records office to address recordkeeping changes as new benefit types are incorporated into the system. Updates are regularly briefed out to the highest level of the USCIS ELIS governance boards, which include USCIS Privacy. To date, recordkeeping issues have not arisen but a continuous review process continues. As the system is expanded to cover a larger percentage of overall customers, USCIS will increase data sharing incrementally so that processes for governance and recordkeeping can be adjusted on a specific basis and documented more formally. Significant updates will be referenced as appropriate in either an updated PIA or an appendix to this PIA.

Section 7.0 Redress

The following questions seek information about processes in place for individuals to seek redress which may include access to records about themselves, ensuring the accuracy of the information collected about them, and/or filing complaints.

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

USCIS ELIS provides USCIS customers the opportunity to access their information online by logging in to their account. The information they access includes a copy of the application they submitted, any notices or notifications generated by USCIS, and information about the status of their application. Certain information generated by USCIS as part of a criminal or security check is not automatically accessible by the customer. This information is exempt from access under 5 U.S.C. § 552a(k)(2) of the Privacy Act.³²

An individual may also gain access to his or her USCIS records by filing a Privacy Act or Freedom of Information Act (FOIA) request. If an individual would like to file a Privacy Act or FOIA request to view his or her USCIS record the request can be mailed to the following address:

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

³² 76 FR 70638 (Nov. 15, 2011).



The information requested may, however, be exempt from access under the Privacy Act because records related to fraud, with respect to an individual, may sometimes contain law enforcement sensitive information. The release of law enforcement-sensitive information could possibly compromise ongoing criminal investigations. Further information for Privacy Act and FOIA requests for USCIS records can also be found at <http://www.uscis.gov>.

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

USCIS ELIS allows a customer to overwrite and correct any information in his or her application up to the point that he or she e-signs and submits the application. After it has been submitted, the customer may log in to his or her account and automatically make changes that have no substantive bearing on the adjudication, such as change in email address or contact information. If the customer wants to correct inaccurate information while the benefit is being adjudicated, he or she may submit the request in writing and upload the request into USCIS ELIS as unsolicited evidence or by mail. It is the adjudicator's decision to incorporate that corrected information, depending on the timing and validity of the information. For corrections after the application has been adjudicated, the customer would use the existing correction processes employed by USCIS, depending on the type and context of the correction requested.

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

USCIS ELIS makes multiple notifications to the customer throughout his or her use of the system, indicating to the customer when the case is in draft, how to update contact information, and several other methods of correction. Additionally, USCIS ELIS will publish online Frequently Asked Questions that address when and how to make corrections. Finally, USCIS has a Customer Contact Center contact listed to which customers are directed if they have questions. Customers who fail to identity proof using IDPaaS will be given specific instructions on how to proceed, which may be by contacting Customer Service or appearing in-person.

7.4 Privacy Impact Analysis: Related to Redress

Privacy Risk: There is a risk that the customer may be unable to correct certain data, such as name and date of birth, after the application is submitted.

Mitigation: Making changes to certain essential information such as name or date of birth would require a new criminal and security check, as well as a new attestation of the accuracy of the data submitted. Therefore, the system cannot allow the customer to automatically update this important information once the adjudication process has started. USCIS does mitigate this risk by allowing the adjudicator to consider written requests to change this information, or an in-person appointment, at his or her discretion within established SOPs. The risk that a customer is unable



to correct an error he or she generated is mitigated by the USCIS data quality and integrity procedures within the adjudication process.

Privacy Risk: There is a risk that customers may be unable to access, correct, or amend their records because the systems used for criminal and national security background checks are exempt from the Privacy Act.

Mitigation: Due to the sensitive nature of criminal and national security background checks, customers are not provided with direct access to such records. For many lines of business, the customer has a formal appeals process through legacy processes for challenging decisions that they believe to be unfair or based on incorrect information.

Section 8.0 Auditing and Accountability

The following questions are intended to describe technical and policy based safeguards and security measures.

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

USCIS ELIS has a sophisticated role-based user access for operational users as well as read-only users. These include roles that separate duties for operators to ensure appropriate oversight of the adjudication, as well as two levels of read-only roles to protect more sensitive data about a customer from being accessible to internal users who only have a need for some of their data. Additionally, USCIS ELIS captures all user activity, including information changed as well as viewed, in audit logs, which are reviewed by USCIS OSI.

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

USCIS trains each USCIS ELIS user on proper handling of PII as well as appropriate use of data according to each role. Additionally, all USCIS employees receive privacy and security training annually.

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 ELIS has several levels of operator roles as well as two levels of read-only roles. The operator roles are only available to individuals trained and currently occupying specific jobs within USCIS, and their supervisors are required to certify that their official duties align with the role before it is granted to those individuals. Likewise, USCIS will default to assigning the lower-



level of read-only to users requesting that access, unless they certify with supervisor confirmation that they need to know certain sensitive data about customers as part of their routine official duties.

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 ELIS data would be subject to the USCIS formal review process for any data sharing agreements. That process includes, at a minimum, review by the Privacy Office, Counsel, and program officials entrusted with security of the data.

Responsible Officials

Donald Hawkins
Privacy Officer, U.S. Citizenship and Immigration Services
Department of Homeland Security

Approval Signature

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

Karen L. Neuman
Chief Privacy Officer
Department of Homeland Security



Appendix A

Immigration Benefit Types Processed in USCIS ELIS

August 17, 2016

Name of Immigration Benefit Type	Associated Forms and/or Collections	Paper Filings	Online Filings
Replacement of Permanent Resident Card	I-90, G-28	X	X
Deferred Action for Childhood Arrivals	I-821D, I-765, I-765WS, G-28	X	
USCIS Immigrant Fee	OMB Control Number 1615-0122 (not a form); DoS Immigrant Visa Packet (includes data from DS-260 and I-864)	N/A	X
Application for Naturalization	N-400, G-28	X	
Temporary Protected Status	I-821, I-765, I-131, G-28	X	



APPENDIX B

Mobile Application and Device Use During USCIS-Conducted In-Person Interviews

May 11, 2016

Summary:

As part of an immigration request, USCIS adjudicators may interview a customer if required to complete the adjudication. During in-person interviews for cases in USCIS ELIS only, USCIS adjudicators may use a mobile device equipped with a mobile application developed by and available only to USCIS. At the time of such interaction, USCIS adjudicators may corroborate information declared by the customer on a USCIS-issued form (e.g., spelling of a name), collect new information (e.g., signature), and collect and verify responses provided by the individual at the time of the in-person interaction. The customer will have access to the original submission when they establish a USCIS online account. The mobile device may also be used to capture and record the officer's and applicant's required signatures.

The mobile device will be physically connected to and communicate directly to USCIS ELIS through a USCIS computer. All data, including any personally identifiable information (PII), will be transmitted through a secured encryption method to ensure that the data is protected.

Data Elements:

The mobile device and application will not store any collected or presented information, but will serve as a screen of USCIS ELIS information through which the individual:

- Review biographical information;
- Review and verify any changes to information on the submitted USCIS form;
- Provide responses to any questions related to the in-person interview;
- Provide signature when required; and
- Certify that any revisions or changes to the information on the USCIS form are true and correct.

The USCIS adjudicator will follow current processes to verify identity of individuals at an in-person interview or examination.

Population:

Any individual participating in an in-person interaction, such as an interview, with USCIS for which the form being reviewed is in USCIS ELIS.

Privacy Risk: There is risk that individuals do not receive notice prior to USCIS collection of



information via the mobile application.

Mitigation: USCIS is not collecting information through a mobile device or application. USCIS is using this technology to facilitate the interview process by verifying a customer's submission to USCIS and changes made during the interview. This technology only presents to the customer the information already collected by USCIS directly from the customer. The customer will have notice of their information submitted into USCIS ELIS when they create a USCIS online account and opt to access the original submission to USCIS.

Privacy Risk: There is risk that information collected by the mobile application will not be submitted securely back to USCIS ELIS.

Mitigation: USCIS developed the mobile application to serve as screens for individuals at an in-person interview or examination and is used for USCIS internal use only. It will not be available in any commercial mobile device application store. The application will not cache or store any PII on the device. The mobile application will serve as a conduit for USCIS ELIS, and allow customers to review information and responses to questions contained in previously submitted USCIS applications, petitions, or request forms. This mobile application will transmit the information through a low-level Transmission Control Protocol/Internet Protocol (TCP/IP) over a Universal Serial Bus (USB) protocol to a "local host" (i.e., USCIS ELIS communication software installed on the adjudicator's computer). Removing the mobile device from a computer or connecting to any computer other than the designated USCIS computer will make the mobile application inoperable.

All communication functions, to include global positioning system (GPS) and cellular that are not needed for the USCIS mobile application to function, are disabled from the mobile device. Hardware functions that are not required for using the USCIS mobile application, such as the application marketplace, are also disabled. The mobile device will run in single application or a remote kiosk mode that will prevent USCIS adjudicators or customers from going to the device home page or successfully accessing other functions. USCIS-internal Wi-Fi connection may be temporarily enabled for finite periods of time only to update the mobile application. Designated administrators will be able to access device settings and perform updates using a key or passcode.



Privacy Impact Assessment
for the

Fraud Detection and National Security Data System (FDNS-DS)

DHS/USCIS/PIA-013(a)

May 18, 2016

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Abstract

The Department of Homeland Security (DHS), U.S. Citizenship and Immigration Services (USCIS), developed the Fraud Detection and National Security Data System (FDNS-DS) as the primary case management system used to record requests and case determinations involving immigration benefit fraud, public safety, and national security concerns. Since its initial deployment, USCIS has incorporated a new screening functionality into FDNS-DS, known as ATLAS, to more effectively identify and review cases involving fraud, public safety, and national security concerns.¹ USCIS is updating and reissuing the entire FDNS-DS Privacy Impact Assessment (PIA), originally published on June 29, 2008, to capture these updates.

Overview

Every year, U.S. Citizenship and Immigration Services (USCIS) receives nearly 6.4 million applications for immigration benefits or service requests. USCIS is committed to ensuring the integrity of the United States (U.S.) immigration system. An integral part of USCIS's delegated authority to adjudicate benefits, petitions, or requests, and to determine if individuals are eligible for benefit or services, is to conduct screenings (i.e., background, identity, and security checks) on forms filed with the agency. USCIS Fraud Detection and National Security Directorate (FDNS) developed the Fraud Detection and National Security – Data System (FDNS-DS) to record, track, and manage the screening processes related to immigration applications, petitions, or requests with suspected or confirmed fraud, public safety, or national security concerns. FDNS also uses FDNS-DS to identify vulnerabilities that may compromise the integrity of the legal immigration system.

The 2014-2018 Department of Homeland Security (DHS) Strategic Plan states that DHS will enforce and administer the nation's immigration laws by "ensuring that only eligible applicants receive immigration benefits through expanded use of biometrics, a strengthening of screening processes, improvements to fraud detection, increases in legal staffing to ensure due process, and enhancements of interagency information sharing."² Recent events highlight the importance of screening immigration benefit applicants for fraud, public safety, and national security concerns. Within FDNS-DS, FDNS developed a screening module known as ATLAS. ATLAS's event-based screening capability increases the timeliness and quality of fraud referrals. For the purpose of this PIA, the term FDNS-DS encompasses both the case management system and the screening module, ATLAS.

¹ ATLAS is not an acronym.

² Department of Homeland Security, "Fiscal Years 2014 – 2018 Strategic Plan."



FDNS-DS receives, tracks, and records information through the following processes: screening, referrals made to FDNS, administrative investigations, and through conducting studies related to benefit fraud and trends³, as detailed below.

Screening and Referrals to FDNS

The types of screening performed on immigration forms vary by the benefit/request type. In general, USCIS conducts background checks⁴ to obtain relevant information in order to render the appropriate adjudicative decision with respect to the benefit or service sought, identity checks to confirm the individual's identity and combat potential fraud, and security checks to identify potential threats to public safety or national security. Standard checks may include:

- Biometric fingerprint-based checks:
 1. Federal Bureau of Investigation (FBI) Fingerprint Check
 2. DHS Automated Biometric Identification System (IDENT) Fingerprint Check⁵
 3. Department of Defense Automated Biometric Identification System (ABIS) Fingerprint Check⁶
- Biographic name-based checks:
 1. FBI Name Check
 2. TECS⁷ Name Check

USCIS uses several systems to support the checks identified above, which are described in detail in the Immigration Benefits Background Check Systems⁸ and Customer Profile Management Service⁹ PIAs, as well as the PIAs associated with USCIS's case management

³ See DHS/USCIS/PIA-013-01 FDNS Program, available at www.dhs.gov/privacy, for more information on the administrative inquiry process, adjudication, and BFA Process. FDNS completes administrative investigations to obtain relevant information needed to render the appropriate adjudicative decision.

⁴ During the adjudication process, USCIS conducts four different background checks, two biometric fingerprint-based and two biographic name-based, which are discussed in detail in the Immigration Benefits Background Check Systems (IBBCS) PIA. See DHS/USCIS/PIA-033 IBBCS, available at www.dhs.gov/privacy.

⁵ See DHS/NPPD/PIA-002 Automated Biometric Identification System (IDENT), available at www.dhs.gov/privacy.

⁶ For certain benefit types in which the beneficiary has a higher likelihood of having previously been fingerprinted by the U.S. military, USCIS conducts checks against the Department of Defense's Automated Biometric Identification System, as described in the Customer Profile Management System (CPMS) PIA. See DHS/USCIS/PIA-060 CPMS, available at www.dhs.gov/privacy.

⁷ See DHS/CBP/PIA-009 TECS System: CBP Primary and Secondary Processing (TECS), available at www.dhs.gov/privacy.

⁸ See DHS/USCIS/PIA-033 IBBCS, available at www.dhs.gov/privacy.

⁹ See DHS/USCIS/PIA-060 CPMS, available at www.dhs.gov/privacy.



systems. As mentioned in those PIAs, USCIS adjudications staff must query multiple systems, in some cases manually. Through the development of a screening module within FDNS-DS, known as ATLAS, the need to independently query each system is greatly reduced, thereby streamlining the screening process and limiting the privacy risks associated with using multiple systems. ATLAS interfaces with other systems in order to automate system checks and promotes consistent storage, retrieval, and analysis of screening results to enable FDNS to detect and investigate fraud, public safety, and national security concerns more timely and effectively. The specific system interfaces that enable screening through ATLAS are detailed at Appendix A.

Within FDNS-DS, ATLAS's automated, event-based screening is triggered when:

1. An individual presents him or herself to the agency (e.g., when USCIS receives an individual's benefit request form¹⁰ or while capturing an individual's 10-fingerprints at an authorized biometric capture site, for those forms that require fingerprint checks);
2. Derogatory information is associated with the individual in one or more DHS systems;
or
3. FDNS performs an administrative investigation.

ATLAS receives information from the individual's form submission and from the biographic and biometric-based checks listed above. That information is screened through a predefined set of rules to determine whether the information provided by the individual or obtained through the required checks presents a potential fraud, public safety, or national security concern. The rules help standardize how information is analyzed and help to detect patterns, trends, and risks that are not easily apparent from the form submissions themselves.

Previously, FDNS-DS received information primarily through manual referrals of cases from USCIS adjudications staff. Since the development of ATLAS, cases can now be referred to FDNS for administrative investigation in the following manners:

Referrals through System Generated Notifications (SGNs)

The screening process described above automates the process of referring cases to FDNS for review. Certain events, such as when USCIS receives a benefit request form or the 10-print capture of an individual's fingerprints at a biometric capture center, trigger rules-based screening. If the benefit request form or biometric capture matches a rule, ATLAS produces an SGN, which is elevated in FDNS-DS for manual review. Once an SGN is produced, a specially trained FDNS Officer, known as a Gatekeeper, conducts a manual review of the SGN for validity, determines whether it is "actionable" or "inactionable," and, if "actionable," triages the SGN for further action.

¹⁰ See DHS/USCIS/PIA-061 Benefit Request Intake Process, available at www.dhs.gov/privacy.



If an SGN is “actionable,” it enters the formal FDNS-DS case management process. An SGN found to be “inactionable” may be closed without further action. The SGN itself is not considered derogatory. SGNs help FDNS Officers to detect potential threats earlier in the immigration benefit application process, to demonstrate the fidelity of the individual’s biographic and biometric information, and to identify discrepancies more efficiently.

Fraud Tip Referrals

Members of the public and other government agencies can voluntarily submit a fraud tip to USCIS directly by emailing ReportFraudTips@uscis.dhs.gov. In the future, a static page will be available at www.uscis.gov, where a link to the mailbox will be provided. The webpage lists suggested fields that FDNS has deemed useful when processing the tip. The list serves merely as a suggestion; a fraud or tip reporter can include as much or as little information as he or she wishes. More information about the fraud tip reporting process is described in Appendix H to the FDNS Directorate PIA.¹¹

Upon receiving a tip, FDNS evaluates the tip to determine if it is “actionable” or “inactionable” for investigation. If FDNS deems the tip “actionable,” FDNS manually inputs the information into FDNS-DS and prepares the tip for an administrative investigation.

Manual Referrals

USCIS adjudications staff can make manual referrals to FDNS through FDNS’s Intranet Fraud Referral System (iFRS). Through this process, adjudications staff complete a fillable electronic form using the USCIS SharePoint Enterprise Collaboration Network (ECN).¹² FDNS Officers review the referrals and determine if the referral is “actionable” or “inactionable” and manually enter the information into FDNS-DS. If “actionable,” FDNS prepares the referral for administrative investigation.

Administrative Investigations

If FDNS determines an administrative investigation is necessary, FDNS conducts further checks to verify information prior to an adjudicative decision on the immigration benefit or service requested, to include resolving any potential fraud, public safety, or national security concerns. In conducting an administrative investigation,¹³ FDNS may perform one, or a combination, of the following:

- Research in Government and commercial databases and public records;

¹¹ See DHS/USCIS/PIA-013-01 FDNS Directorate, available at www.dhs.gov/privacy.

¹² See DHS/ALL/PIA-037 DHS SharePoint and Collaboration Sites, available at www.dhs.gov/privacy.

¹³ See DHS/USCIS/PIA-013-01 FDNS Directorate, available at www.dhs.gov/privacy, for more information on FDNS administrative investigations.



- Internet searches of open source information;
- Searches of publicly available information, including, but not limited to, social media sites;
- File reviews;
- Telephone calls;
- Site visits;
- Interviews of applicants, beneficiaries, petitioners, and others;
- Requests for evidence;
- Administrative subpoenas;
- Requests for assistance from law enforcement agencies;
- Overseas verifications; and
- Referral to law enforcement agencies.

FDNS may perform administrative investigations or work with partner agencies, as appropriate, and ultimately produces findings to sufficiently inform adjudications.

Federated Immigration Screening and Application Report (FISAR)

The Federated Immigration Screening and Application Report (FISAR) within FDNS-DS is an advanced search functionality that allows FDNS-DS users to view the entire screening history on an individual, including records of standard checks, any SGNs produced by ATLAS that relate to the individual, and administrative investigations performed. If there are SGNs in the individual's screening history, the FDNS-DS user can easily determine the status of those SGNs (e.g., pending or triaged). The gatekeeping process described above provides manual oversight to ensure that SGNs produced by the system are valid and that they relate to the individual.

Enhanced Analytical Capabilities

FDNS enhanced ATLAS with analytical capabilities to enable users to more easily query and visualize data within the system and to identify individuals who are filing for immigration and naturalization benefits who may potentially be engaging in fraudulent behavior or pose a risk to public safety or national security. During the screening process, ATLAS analyzes the results of biographic and biometric checks, applies rules, and performs link and forensic analysis and entity resolution among data received from multiple systems. ATLAS assists in confirming individuals' identities when individuals are potentially known by more than one identity by comparing the identity information provided by the individual with identity information in other systems checked



against the background, identity, and security check process. As an example, ATLAS can determine if an individual has applied for benefits using multiple biographic identities or aliases. ATLAS also visually displays linkages or relationships among individuals to assist in identifying non-obvious relationships among individuals and organizations with a potential nexus to criminal or terrorist activities. The results of this analysis may be produced and elevated in FDNS-DS in the form of an SGN or obtained through FISAR.

ATLAS's analytical capabilities do not alter the source data. All legal and policy controls around the source data remain in place.

USCIS is continuing to enhance its screening processes by incorporating seven core capabilities into ATLAS: (1) Predictive Analytics; (2) Link and Forensic Analysis; (3) Unstructured and Structured Analytics; (4) Intelligent Investigative Case Management; (5) Operational Decision Management; (6) Information Sharing and Collaboration; and (7) Entity Analytics. Before new analytical capabilities are deployed within FDNS-DS/ATLAS, the USCIS Office of Privacy will review them to determine additional privacy requirements, which may include updating or re-issuing FDNS PIAs or SORNs.

Types of Information Collected and Stored within FDNS-DS

The following information is collected and stored in FDNS-DS:

- Information collected during screening (i.e., background, identity, and security check processes) to include information provided by the individual on a benefit request form, in response to a request for evidence, or during an interview; derogatory information received in response to checks; and audit trails or logs reflecting the history of checks conducted on the individual;
- Information collected during the adjudicative and administrative investigation process;
- USCIS investigative referrals to law enforcement agencies (LEA) of suspected or confirmed fraud, public safety issues, or national security concerns;
- Referrals and leads from other government agencies and LEAs related to individuals with an immigration history with USCIS;
- Information collected during response to a Request For Information (RFI) from law enforcement and intelligence agencies;
- Referrals from the public or other governmental entities or fraud case referrals from the Benefit Fraud Assessment (BFA) process ("other referrals");
- Information from cases that are selected for study of benefit fraud rates or trends;



- Adverse information identified by USCIS from applications, administrative files, interviews, written requests for evidence (RFE) or site visits; resolution of any of the above-described categories of adverse information; and
- Adjudicative summaries and decisions.

This PIA generally covers the privacy risks and mitigation strategies associated with the FDNS-DS system and its screening (rules-based referrals) and case management capabilities. USCIS will maintain operationally sensitive appendices to this PIA that will analyze privacy risks and mitigation strategies associated with enhanced analytical capabilities that have been approved for use within FDNS-DS.

The privacy risks and mitigation strategies associated with the overall administrative investigation process are described in the FDNS Directorate PIA. Additionally, other published USCIS PIAs available <http://www.dhs.gov/privacy> cover the benefit request intake process, benefit request form analysis and case management, as well as the collection of biographic and biometric information that is used as part of the screening process. These published PIAs provide an in-depth discussion of these separate processes and evaluate the privacy risks and mitigation strategies built into each process.

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 legal authority to collect this information comes from the Immigration and Nationality Act 8 U.S.C. Section 1101 *et seq.* In addition, the Secretary of Homeland Security in Homeland Security Delegation No. 0150.1 delegated the following authorities to USCIS:

“(H) Authority under section 103(a)(1) of the Immigration and Nationality Act of 1952, as amended (INA), 8 U.S.C. §1103(a)(1), to administer the immigration laws (as defined in section 101(a)(17) of the INA).

Authority to investigate alleged civil and criminal violations of the immigration laws, including but not limited to alleged fraud with respect to applications or determinations within the Customs and Border Protection (CBP) or the CIS and make recommendations for prosecutions, or other appropriate action when deemed advisable.”



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

Information collected, maintained, used, and disseminated by FDNS-DS is covered under the following SORNs:

- DHS/USCIS-006 Fraud Detection and National Security Records (FDNS), August 8, 2012 (77 FR 47411)
 - Final Rule for Privacy Act Exemptions, August 31, 2009 (74 FR 45084)
- DHS/USCIS/ICE/CBP-001 Alien File, Index, and National File Tracking System of Records, November 21, 2013 (78 FR 69864)

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

Yes. FDNS-DS was approved for entrance into the DHS Ongoing Authorization Program on August 26, 2014. A system privacy plan is pending the completion of this PIA.

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

Yes. NARA approved the FDNS-DS retention schedule, NI-566-08-18. FDNS will retain the records 15 years from the date of the last interaction between FDNS personnel and the individual for records maintained in FDNS-DS. Records related to an individual's A-File will be transferred to the A-File and maintained under the A-File retention period. USCIS maintains records on individuals and all of their immigration transactions and law enforcement and national security actions (if applicable), in the A-File. A-File records are permanent records in both electronic and paper form. USCIS transfers A-Files to the custody of NARA 100 years after the individual's date of birth, in accordance with NI-566-08-011.

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.

Almost all of the information within FDNS-DS is originally submitted on a benefit request form that is subject to the PRA. However, there are no forms associated specifically with the collection of information in FDNS-DS. Please see the benefit request PIAs and Appendices for a



comprehensive list of the various forms that cover the initial collection of information from the individual.¹⁴

Section 2.0 Characterization of the Information

The following questions are intended to define the scope of the information requested or collected, as well as reasons for its collection.

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

Due to the nature of the information within FDNS-DS, FDNS-DS contains sensitive personally identifiable information (SPII). Depending upon the category of information being collected in or attached to an FDNS-DS record, the system may collect the following SPII:

Information about individuals may include, if applicable:

- Full Name;
- Alias(es);
- Physical and Mailing Addresses;
- Alien Number (A-Number);
- USCIS Online Account Number;
- Social Security number (SSN);
- Date of Birth;
- Nationality;
- Country of Citizenship;
- Place of Birth;
- Gender;
- Marital Status;
- Military Status;
- Phone Numbers;

¹⁴ See DHS/USCIS/PIA-061 Benefit Request Intake Process, available at www.dhs.gov/privacy.



Homeland Security

- Email Address;
- Immigration Status;
- Government-issued Identification (e.g., passport, driver's license):
 - Document Type;
 - Issuing Organization;
 - Document Number; and
 - Expiration Date.
- Signature;
- Other Unique Identifying Numbers (e.g., Department of State (DOS)-issued Personal Identification Number, ICE Student and Exchange Visitor Number, USCIS E-Verify Company Identification Number);
- Arrival/Departure Information;
- Immigration History (e.g., citizenship/naturalization certificate number, removals, explanations);
- Family Relationships (e.g., parent, spouse, sibling, child, other dependents) and Relationship Practices (e.g., polygamy, custody, guardianship);
- USCIS Receipt/Case Number;
- Personal Background Information (e.g., involvement with national security threats, criminal offenses, Communist party, torture, genocide, killing, injuring, forced sexual contact, limiting or denying others religious beliefs, service in military or other armed groups, work in penal or detention systems, weapons distribution, combat training);
- Medical Information;
- Travel History;
- Education History;
- Work Information (contact information, position and relationship to an Organization, degree(s), membership(s), accreditation(s), license(s) identification numbers);
- Work History;
- Bank account or financial transaction history;
- Supporting documentation as necessary (e.g., birth, marriage, or divorce certificates).



licenses, academic diplomas, academic transcripts, appeals or motions to reopen or reconsider decisions, explanatory statements, criminal history documents, and unsolicited information submitted voluntarily by the applicants or family members in support of a benefit request);

- Physical Description (e.g., height, weight, eye color, hair color, race, ethnicity, identifying marks like tattoos or birthmarks);
- Photographs from Government-issued Identification (i.e., passport, Driver's license, and other identification card);
- Relationships to petitioners, representative, preparers, family members, and applicants;
- Case processing information such as date applications were filed or received by USCIS, application/petition status, location of record, other control number when applicable, and fee receipt data;
- Organizations associated with applications, petitions or other requests (Place of business or place of worship, if place of worship is sponsoring the individual);
- Civil or criminal history information;
- Uniform resource locators (URLs)¹⁵ or Internet protocol addresses;
- Biometric identifiers or associated biographic information (e.g., photographic facial image, fingerprints, Fingerprint Identification Number (FIN), Encounter Identification Number (EID), and signature);
- TECS, National Crime Information Center (NCIC), Federal Bureau of Investigation (FBI) Terrorist Screening Database, and any other data and analysis resulting from the investigation or routine background identity and security checks performed in support of the adjudication process; or
- Any other unique, identifying information.

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

Information in FDNS-DS is collected during the following processes: the screening (i.e., background, identity, and security check) process, referrals made to FDNS, administrative investigations, and to conduct studies related to benefit fraud and trends.¹⁶ Much of the information

¹⁵ The URL is the unique address for a file that is accessible on the Internet.

¹⁶ See DHS/USCIS/PIA-013-01 FDNS Program, available at www.dhs.gov/privacy, for more information on the administrative inquiry process, adjudication, and BFA Process. FDNS completes administrative investigations to



collected in the FDNS-DS is taken from the benefit request form submitted to USCIS by the individual or an authorized representative or preparer, or from systems against which that data is screened during the screening process. USCIS may also collect information through interviews and site visits and record this into FDNS-DS. Interviewees may include current/past employers, family members, applicants, or other authorized representatives or preparers.

The information can be collected automatically or manually, as described below.

Automatic Collection

FDNS-DS's event-based screening capability through ATLAS is an automatic collection process that records certain information for review. Screening within ATLAS is triggered when:

1. An individual presents himself/herself to the agency;
2. Derogatory information is associated with the individual in one or more DHS systems;
or
3. Administrative investigations are performed.

ATLAS queries internal and external systems automatically to obtain data relating to an individual's background, identity, and security check. ATLAS receives biographic data (e.g., name, date of birth, alias) associated with the individual's benefit request form from USCIS case management systems or biographic data associated with the individual's biometric capture at an approved biometric collection site (e.g., FIN, A-Number), which may be screened against data in IDENT,¹⁷ TECS,¹⁸ or the Terrorist Screening Database¹⁹ and then against FDNS-DS's rules engine and analytical tools to produce SGNs.

In addition to the automatic collection that occurs during the screening process, FDNS-DS has a direct connection to the Enterprise Citizenship and Immigration Services Centralized Operational Repository (eCISCOR)²⁰ to obtain CLAIMS²¹ information about benefit request forms, applications, or petitions that can be used to automate the population of case information within FDNS-DS, such as A-Number. This helps to reduce the risk of error from manual data entry and to preserve the integrity of the information found in source systems.

obtain relevant information needed to render the appropriate adjudicative decision.

¹⁷ See DHS/NPPD/PIA-002 Automated Biometric Identification System (IDENT), available at www.dhs.gov/privacy, for more information.

¹⁸ See DHS/CBP/PIA-009 TECS System: CBP Primary and Secondary Processing (TECS), available at www.dhs.gov/privacy.

¹⁹ See Privacy Impact Assessment for the DHS Watchlist Service available at www.dhs.gov/privacy, for more information.

²⁰ See DHS/USCIS/PIA-023(a) Enterprise Citizenship and Immigration Services Centralized Operational Repository (eCISCOR), available at www.dhs.gov/privacy.

²¹ See DHS/USCIS/PIA-016(a) CLAIMS 3, available at www.dhs.gov/privacy, for more information.



A comprehensive listing of source systems for this automatic collection is routinely updated at Appendix A.

Manual Collection

FDNS-DS users may query several DHS databases or systems to obtain information. Information gathered from these systems (e.g., dates of birth, SSN, country of birth, address) may be added to FDNS-DS. A complete list of DHS systems researched during this process is also included in Appendix A to this PIA.

Federal, State, and Local Government Sources

FDNS Officers may obtain information from various external sources, such as:

- Department of Labor
- Department of State (DOS)
- Social Security Administration (SSA) Electronic Verification of Vital Events (EVVE)²²
- Federal Aviation Administration websites
- Intelligence and law enforcement communities
- State and local government agencies
- Local, county, and state police information networks
- State motor vehicle administration databases and websites
- Driver license retrieval websites
- State bar associations
- State comptrollers
- State probation/parole boards or offices
- County appraisal districts
- State sexual predator websites

As described in the FDNS Directorate PIA, FDNS receives information from external partners or sources during the administrative inquiry process and as part of referrals, requests for

²² EVVE system allows verification of vital record information from the states, including birth certificates. See Electronic Verification of Vital Events Program Operations Manual System, available at <https://secure.ssa.gov/poms.nsf>, for more information.



assistance, or requests for information. The type of information collected depends on the specific context of a given case within FDNS-DS.

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

FDNS collects information throughout the course of recording, tracking, and managing the screening and administrative investigation processes related to immigration benefit requests forms, applications, or petitions. FDNS may obtain information from commercial sources or from publicly available information on the Internet. Examples of commercial or publicly available sources FDNS may access include, but are not limited to:

- Commercial data brokers (e.g., Choicepoint AutoTrackXP, Lexis/Nexis Accurint, Thomson Reuters CLEAR)
- General legal research sites (e.g., Legal Information Institute)
- Internet sites such as university websites and newspapers, news-media websites, United Press International, Reuters, and foreign news media websites
- Various search engines (e.g., Ask, Google, Yahoo, REFDESK)
- Social media websites (e.g., Facebook, Twitter, LinkedIn, Pinterest, Google+)²³

FDNS-DS enables Officers to note the exact URL and include attachments of any information collected from commercial sources or publicly available information.

FDNS uses these various commercial and publicly available sources to verify information provided by the individual, support or refute indications of fraudulent behavior, and identify any threat to public safety or nexus to known or suspected terrorists in the processing of their benefit request, consistent with authority granted by the Immigration and Nationality Act.²⁴ In addition, the Secretary has delegated USCIS the authority to investigate alleged civil and criminal violations of the immigration laws, not limited to alleged fraud with respect to applications or determinations.²⁵

²³ FDNS Officers who seek to access, process, store, receive, or transmit PII obtained through the Operational Use of Social Media while conducting investigations are required to complete a "Rules of Behavior (ROB) for the Operational Use of Social Media." These ROB's ensure that users are accountable for their actions on social media; are properly trained, and aware of the authorized use of social media sites.

²⁴ 8 U.S.C. 1101 et seq.

²⁵ See Secretary of Homeland Security Delegation No. 0150.1, Section II (H) and (I), for more information.



Compiling this information and taking action to prevent potentially malevolent and sometimes dangerous people from staying in this country supports DHS's mission of preventing terrorist attacks within the United States and reducing America's vulnerability to terrorism, while facilitating the adjudication of lawful benefit applications.

2.4 Discuss how accuracy of the data is ensured.

FDNS-DS relies on the accuracy of the information as it is collected from the source. As such, the accuracy of the information in FDNS-DS is equivalent to the accuracy of the source information at the point in time when it is collected into FDNS-DS. During this process, FDNS conducts data validation to ensure accuracy of the data.

FDNS Officers compare information obtained during the screening and administrative investigation processes with information provided directly by the individual (applicant or petitioner) in the underlying benefit request form or in response to Requests for Evidence or Notices to Appear, to ensure information is matched to the correct individual, as well as to ensure integrity of the data. As described above, the information contained in benefit request forms, applications, or petitions may be matched against public records, commercial data aggregators, and public source information, such as web sites or social media, to validate the veracity of information provided by the individual.

FDNS uses public source information only as means to verify information already on file with USCIS or identify possible inconsistencies. Due to the inherent data accuracy risks of relying on information from the Internet, USCIS requires that no benefit determination action can be taken based solely on information received from a public source. The information obtained from a public source must be corroborated with authoritative information on file with USCIS.

In the event FDNS Officers learn that information contained within other systems of records is not accurate, the Officer will notify appropriate individuals within the USCIS Records Office or the federal agency owning the data, who will facilitate any necessary notifications and changes.

2.5 Privacy Impact Analysis: Related to Characterization of the Information

Privacy Risk: There is a risk to individual participation because FDNS Officers rely on a considerable amount of information collected from external sources beyond what individual submitted on his or her benefit request form.

Mitigation: This risk is partially mitigated. FDNS collects information from a variety of sources to verify the information provided by individuals in the course of a review of possible fraud, public safety, and national security concerns. FDNS has determined that in order to have



the best evidence available to support the adjudication process, it is necessary to collect large amounts of sensitive PII. This information is required to ensure that FDNS makes the correct determination about the correct individual regarding cases of fraud, criminal activity, public safety, and national security concerns and sufficiently informs the adjudication of the benefit application. This risk is also partially mitigated in that individuals have the opportunity to provide information directly to USCIS throughout the adjudication process and through interviews, Requests for Evidence, or Notices to Appear.

Privacy Risk: Due to FDNS's reliance on external sources, including commercial sources, public sources, or social media, there is a risk that USCIS will obtain and rely upon inaccurate data.

Mitigation: The risk is partially mitigated in that FDNS considers information derived from sources other than the individual, but also exercises caution about the information's accuracy. Due to its inherent lack of data integrity, public source information is not used as the sole basis upon which to adjudicate an immigration benefit or request, investigate benefit fraud, or identify public safety and national security concerns. FDNS compares historical, biographical, financial, and personal information presented by the individual against third-party sources, whenever possible.

In order to improve the accuracy of the information, USCIS has developed policies and procedures for safeguarding data aggregated within FDNS from several different sources. This includes using public record data, data from commercial data providers, as well as other publicly available data including social media and news and reviewing existing data in USCIS's files with information outside of USCIS. If inaccurate information is found during the process of reviewing a file, FDNS will contact personnel within the USCIS Records Division who are authorized to make the changes to the data in the source system. FDNS will also correct inaccuracies in FDNS-DS and other locations where FDNS records are maintained.

Privacy Risk: Because FDNS-DS aggregates information from multiple source systems, there is a risk of data inaccuracy if the data in the underlying system(s) change.

Mitigation: As noted above, FDNS has policies and procedures in place to confirm the veracity of the data being relied upon in resolving potential fraud, public safety, and national security concerns. FDNS-DS also queries other systems in real time to receive the most timely and accurate data available from the source system. Finally, individuals have opportunities to provide information directly through the adjudicative process.

Privacy Risk: In some cases, FDNS-DS users enter information into the system manually. There is a risk of human error, which could result in FDNS relying on inaccurate data.



Mitigation: FDNS has a vested interest and responsibility to maintain the most accurate data possible since the information could be used in support of an adjudicative decision or in support of criminal investigations undertaken by law enforcement partners. FDNS Officers rely on multiple sources to confirm the veracity of the data and, if discrepancies are uncovered, will take necessary steps to correct inaccuracies.

Privacy Risk: There is a risk that search functions that previously could only have been performed through separate searches of individual systems or databases will allow FDNS-DS users (or users of other case management systems that receive data from FDNS-DS) to access to more data than is necessary to perform their specific roles.

Mitigation: This risk is mitigated in that FDNS-DS maintains strict access controls so that only FDNS-DS users with a role in investigating cases for potential fraud, public safety, and national security concerns have access to raw data retrieved as part of the screening process. FDNS-DS interfaces with other systems to help streamline the processes that FDNS-DS users currently perform manually, and its capabilities are designed to assist officers in obtaining information needed to confirm an individual's eligibility for the benefit or request sought while preserving the integrity of the legal immigration system. The output to other case management systems is reasonably tailored to provide adjudications staff with information relevant to making a determination on the benefit or request sought.

Privacy Risk: There is a risk of obtaining data from new sources that have not been reviewed for privacy and legal concerns in determining possible benefit fraud, criminal activity, public safety, and national security concerns.

Mitigation: The risk is partially mitigated. In order to reduce the risk of new data being incorporated into FDNS that has not been reviewed for privacy and legal concerns, multiple layers of privacy and legal review have been built into FDNS's processes. The process is memorialized via the Overarching Integrated Project Team (IPT) Charter, which is in the approval process. Additionally, new sources are reviewed through the FDNS weekly Screening and Case Management IPTs with participation from the FDNS Privacy Advisor and USCIS Office of Privacy. FDNS must submit a privacy threshold analysis and receive approval from the DHS Privacy Office before adding any new data sources.

Section 3.0 Uses of the Information

The following questions require a clear description of the project's use of information.

3.1 Describe how and why the project uses the information.



FDNS-DS records, tracks, and manages the screening process, thereby increasing the effectiveness of the U.S. immigration system in combating benefit fraud, protecting public safety, identifying potential threats to national security, and identifying vulnerabilities that may compromise the integrity of the legal immigration system.

Screening

FDNS uses FDNS-DS to manage the screening (i.e., background, identity, and security check) process in support of the adjudication of USCIS benefit requests, in a pre-decisional and deliberative process. The information can be collected as a part of an automatic collection or manual collection, as described in Section 2.2.

FDNS uses commercial and publicly available sources, as well as information from other federal, state, and local government sources, to verify information provided by the individual/applicant or his/her petitioner or representative, support or refute indications of fraudulent behavior, and identify any public safety concerns or nexus to known or suspected terrorists in the processing of the individual/applicant's benefit request, pursuant to the Immigration and Nationality Act.²⁶

Case Management

FDNS-DS performs case management by recording, tracking, and managing the processes associated with detecting fraud, egregious or non-egregious public safety, and national security concerns. FDNS-DS is the central repository for all data gathered during the processes of performing screening on benefit request forms or applications received, performing administrative investigations, and conducting studies of benefit fraud rates and trends.

Studies Related to Benefit Fraud and Trends

FDNS uses FDNS-DS data to produce studies related to benefit fraud and trends.²⁷ Identification of fraud patterns and trends support operational decision management and inform future rules-based referrals.²⁸

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.

²⁶ 8 U.S.C. Section 1101 *et seq.*

²⁷ See DHS/USCIS/PIA-013-01 FDNS Program, available at www.dhs.gov/privacy, for more information on the administrative inquiry process, adjudication, and BFA Process. FDNS completes administrative investigations to obtain relevant information needed to render the appropriate adjudicative decision.

²⁸ See DHS/USCIS/PIA-055 SAS Predictive Modeling Environment, available at www.dhs.gov/privacy.



Yes, FDNS is incorporating predictive analytics into FDNS-DS to assist in prioritizing the workload. Predictive technology is applied to known derogatory holdings (e.g., background check results) in order to categorize information so that the cases most likely to result in a referral for criminal action are prioritized for the most immediate review. All cases, regardless of their priority, are reviewed manually by FDNS Officers.

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

Yes, FDNS-DS information is accessed by or shared with employees or contractors of DHS components on a need-to-know basis. Limited U.S. Immigration and Customs Enforcement (ICE) and CBP personnel have been granted read-only access to FDNS-DS. Information sharing includes tracking interactions with ICE to determine if further law enforcement activities should be pursued. ICE and CBP must request USCIS permission to share USCIS data with external third parties.

At the time of publication of this PIA, FDNS is also working with ICE to establish a connection to improve the quality and exchange of information with ICE, consistent with the joint USCIS/ICE anti-fraud strategy discussed in the FDNS Directorate PIA. Through this connection, FDNS-DS will share information with ICE on cases that may involve egregious public safety concerns or require further criminal investigation.

Furthermore, at the request of DHS, RFIs for national security purposes from external entities are coordinated through DHS Office of Intelligence and Analysis (I&A) Single Point of Service (SPS).²⁹

3.4 Privacy Impact Analysis: Related to the Uses of Information

Privacy Risk: There is a risk that information contained within the FDNS-DS system is not used consistently with its original purpose and authority or that individuals may use the data inappropriately.

Mitigation: Consistent with FDNS's mission of detecting, deterring, and combating immigration benefit fraud, all information contained within FDNS-DS is used to identify and track possible benefit fraud, public safety, and national security concerns. These uses are consistent with the notice provided to individuals in the Privacy Act Statements on all USCIS forms, as well as this PIA and the corresponding SORN.

Consistent with USCIS and FDNS governance, user permissions are managed in a stringent manner to ensure users are only granted the privileges and access necessary to perform their job.

²⁹ See DHS/ALL/PIA-044 DHS Single Point of Service Request for Information Management Tool, available at www.dhs.gov/privacy, for more information.



User roles within the application will also be managed in a manner that is reflective of the need for more restrictive access. Training of users will also incorporate the appropriate use and access of data.

External users (i.e., CBP and ICE users) are granted read-only access to FDNS-DS only. USCIS shares FDNS-DS data with ICE, and in some cases with CBP, to determine if further law enforcement activities should be pursued. ICE and CBP must request USCIS permission to share USCIS data with external third parties. This ensures sharing is consistent with the routine uses allowable in the FDNS SORN.

Privacy Risk: There is a risk that SGNs may present FDNS Officers with results that may contain too many false positives, which may render the resulting data unusable or unreliable or unfairly subject individuals to further scrutiny.

Mitigation: An onboarding phase allows for a period of refining rules before they are deployed across FDNS. This onboarding phase consists of FDNS-DS users in a limited rollout receiving rule alerts through e-mail notifications.

USCIS continually tunes the rules to narrow the scope of information provided to FDNS Officers. Rigorous quality control and assurance procedures are used to adjust rules as necessary to reduce the potential for false positives. FDNS continually monitors and refines rules based on appropriate metrics. The SGN process also provides for a layer of human review to confirm SGNs are actionable prior to routing them for further case management activity.

Privacy Risk: There is a risk of an inappropriate assumption that all individuals listed within FDNS-DS have engaged in fraudulent immigration-related practices or pose a public safety or national security risk.

Mitigation: Individuals that are listed within FDNS-DS have potentially engaged in activities that require further review for potential fraud, criminal activity, public safety, and national security concerns. However, the existence of a record in FDNS-DS is not in itself considered derogatory or a reflection on the individual's eligibility for a benefit, request, or service. In determinations when potential was not realized, cases are marked with "no fraud found." Statements of Findings (SOF) or assessments will contain a summary for adjudication's use.

Privacy Risk: For certain benefits or service requests, FDNS must share the results of background, identity, and security checks or other forms of screening with other USCIS case management systems in order to provide information in support of adjudications. There is a risk that data will be inaccurately copied or that it may be taken out of context.

Mitigation: The risk is partially mitigated in that FDNS-DS, as a standard practice with A-File handling, allows the ability to copy a non-changing SOF for adjudications. A SOF is an



unchangeable, PDF document in FDNS-DS. In response to manual referrals made to FDNS-DS, FDNS users will complete a SOF or assessment, when required. The SOFs or assessments are shared with adjudications staff. Adjudications staff are trained on how to interpret information in the SOFs or assessments and their relevance in adjudicating immigration benefits and also coordinate closely with FDNS.

In future releases, FDNS-DS will interface with USCIS immigration case management systems to fully automate the screening process, as well as provide the background, identity, and security check results either in the form of a hit/no hit response, a summary of past screening history, or some usable form, in order to provide timely, meaningful information to adjudicative staff. The responses sent to the case management systems will be tailored to present adjudication officers with information relevant to determining the individual's eligibility for the immigration benefit or service sought.

Privacy Risk: With automating the screening process, there is a risk of recurrent screening or vetting of individuals beyond the original purpose.

Mitigation: USCIS has established a robust governance structure to ensure that screening rules are compliant with all legal and privacy requirements. New rules undergo several layers of operational, legal, privacy, and policy review before they are presented to the Deputy Director, USCIS, for final approval. Through this process, FDNS ensures that all screening activity is properly vetted and falls within USCIS's authority. All screening methods deployed are tailored to provide information that is relevant to the adjudication of a particular benefit or immigration service request. USCIS may conduct screening in situations in which USCIS has the authority to rescind, revoke, or otherwise terminate, to issue a Notice to Appear (NTA), or to refer to another government agency for criminal/civil actions. When USCIS may no longer take action on a benefit, service, or request, the screening will cease.

Privacy Risk: There is a risk that FDNS-DS users will create ATLAS rules without going through the appropriate rules review process.

Mitigation: The governance process ensures that new rules are not created or implemented within the system without review from the appropriate stakeholders, including privacy and legal review. Implementation of rules and generation of SGNs are required to be in compliance with the Privacy Act of 1974, E-Government Act of 2002, Homeland Security Act of 2002 and all DHS privacy policies. Additionally, the capture, use, and disclosure of PII through the rules process must be pursuant to applicable system of record notices and available routine uses.



Section 4.0 Notice

The following questions seek information about the project's notice to the individual about the information collected, the right to consent to uses of said information, and the right to decline to provide information.

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

In addition to the publication of this PIA, USCIS has previously published a programmatic PIA and SORN for the FDNS Directorate. FDNS-DS collects information from other USCIS systems, which also have their own PIAs and SORNs published on the DHS website.

All applications for benefits from USCIS have a Privacy Act Statement providing notice to the individual regarding the use and collection of the information and these forms state that information may be used for fraud detection. USCIS forms also notify the individual that information provided may be checked for completeness, that certain background checks may be conducted, or that USCIS may request an interview or further evidence.³⁰

When FDNS conducts interviews and site visits, FDNS Officers identify themselves and notify the individual or beneficiary of the reason for the interview or site visit. Notice is given to an individual's attorney when an administrative site visit or interview will occur, unless notice would jeopardize the site visit or interview.

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

USCIS benefit request forms require that an individual provide specific information that may contain sensitive PII. The failure to submit such information could impact the processing or adjudication of an application or petition and thus preclude the individual from receiving the benefit, request, or service. Therefore, through the application process, individuals have consented to the use of the information supplied in the benefit request form or application to determine their eligibility for the benefit, request, or service sought. Further, fraud assessments and background, identity, and security checks are required by regulation on all requests/applications filed with USCIS. Benefits, requests, or services cannot be granted until those checks are complete, and the information submitted is essential to the conduct of those checks.³¹

³⁰ Adjudicators are responsible for making decisions regarding granting benefits.

³¹ As required by Title 8 U.S.C. § 1101 et seq.



USCIS provides notice to all individuals at the time of collection through a Privacy Act Statement on all USCIS forms. Individuals are notified at the point of data collection (generally in the form itself) of the right to decline to provide the required information; however, such action may result in the denial of the individual's request.

4.3 Privacy Impact Analysis: Related to Notice

Privacy Risk: There is a risk to notice that benefit requestors will not know that FDNS will collect publicly available information about them, including information posted on public social-media websites and platforms.

Mitigation: The risk has been mitigated to the extent possible because USCIS provides notice to individuals through an (e)(3) statement, the source system PIAs, the FDNS Directorate PIA, this PIA, and the associated SORNs. USCIS also provides notice of its fraud detection and national security work through its public website.³²

Section 5.0 Data Retention by the project

The following questions are intended to outline how long the project retains the information after the initial collection.

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

USCIS retains application information to assist in identifying individuals who threaten national security and public safety; detecting, pursuing, and deterring immigration benefit fraud; and identifying and removing systemic vulnerabilities in the process of the legal immigration system.

USCIS retains FDNS-DS records for 15 years from the date of the last interaction between FDNS personnel and the individual, no matter the determination. Records related to a person's A-File will be transferred to the A-File and maintained under the A-File retention period (N1-566-08-11). Upon closure of a case pertaining to an individual, any information that is pertinent to the adjudicative decision (such as a SOF), whether there was or was not an indication of fraud, criminal activity, public safety and national security concerns, is transferred to the associated A-File.

5.2 Privacy Impact Analysis: Related to Retention

Privacy Risk: There is a risk that data will be retained longer than necessary. This would increase the risk of unauthorized access, use, and loss of the data.

³² See <https://www.uscis.gov/about-us/directorates-and-program-offices/fraud-detection-and-national-security/fraud-detection-and-national-security-directorate>



Mitigation: FDNS mitigates this risk by destroying FDNS-DS data in accordance with approved NARA records retention schedules. The 15-year retention schedule for FDNS data (N1-566-08-18) provides access to information that can be critical to research related to suspected or confirmed fraud, public safety, and national security concerns for individuals who may still be receiving immigration benefits or services. In addition, should the individual apply for another benefit, retention of the information can eliminate the need for research on concerns that were previously addressed.

Privacy Risk: There is a risk that data will be retained in FDNS-DS longer than allowed by the original source system.

Mitigation: This risk is mitigated in that FDNS-DS retains data relevant to the background check/screening process and to cases of suspected or confirmed fraud, criminal activity, public safety and national security concerns. The system's master 15-year retention period is shorter than that of many USCIS case management systems from which application data is derived.

Section 6.0 Information Sharing

The following questions are intended to describe the scope of the project information sharing external to the Department. External sharing encompasses sharing with other federal, state, and local government; and private sector entities.

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.

FDNS shares information outside of DHS when USCIS receives an RFI, when it proactively discloses based on information in the record, and when asking an outside organization for additional information related to an individual. RFIs may be received from federal law enforcement agencies (e.g., Department of Justice (DOJ) FBI, DOS), the Intelligence Community, and authorized state or local law enforcement agencies who are parties to information sharing agreements managed by DHS. USCIS provides access to the requested data through direct user accounts or through copying of data to an electronic device or medium.

Requests for information are governed by the DHS/USCIS-006 Fraud Detection and National Security Records (FDNS) System of Records³³, the DHS/USCIS/ICE/CBP-001 Alien File, Index, and National File Tracking System of Records³⁴; or in some instances, the originating

³³ 77 FR 47411 (Aug. 8, 2012).

³⁴ 78 FR 69864 (Nov. 21, 2013).



system of records notice for the underlying USCIS records, e.g., DHS/USCIS-007 Benefits Information System (BIS).³⁵ When covered by an applicable routine use and when appropriate, USCIS may share the sensitive PII listed in Section 2.1 of this PIA with federal, state, tribal, local, international, or foreign law enforcement and intelligence agencies, in response to an RFI in support of criminal and administrative investigations, and background identity and security checks involving immigrant benefit fraud, criminal activity, public safety, and national security concerns.

Through direct user account access, DOS Bureau of Consular Affairs may view a comprehensive picture of a visa applicant's status and to reduce the likelihood that an individual or group might fraudulently obtain an immigration benefit under the INA, as amended. DOS has read-only access to FDNS-DS.

Proactive disclosure based on information in the system occurs when FDNS has an indication of possible fraud, criminal activity, public safety, and national security concerns. In these cases, FDNS may proactively share information with other government entities as described under the FDNS and A-File SORNs.³⁶

RFIs for national security purposes from external entities are coordinated through DHS I&A SPS. USCIS responses are provided via government secure networks. All other requests are processed by USCIS. Responses provided by field offices are also provided via secure methods.

6.2 Describe how the external sharing noted in 6.1 is compatible with the SORN noted in 1.2.

Direct account access by DOS Bureau of Consular Affairs is covered by FDNS SORN routine use I and A-File SORN routine use O, which permits USCIS to share PII with DOS Bureau of Consular Affairs in the processing of applications for benefits. This is compatible with the original collection under the INA, which requires USCIS to administer immigration laws. Information may also be shared with DOS Bureau of Consular Affairs to provide a comprehensive picture of a visa applicant's status, and to reduce the likelihood that an individual or group might fraudulently obtain an immigration benefit under the INA, as amended.

Proactive disclosures are covered by the FDNS SORN, routine use H, which permits FDNS to share PII with federal and foreign government intelligence or counterterrorism agencies when USCIS reasonably believes there is a threat or potential threat to national or international security.

Proactive disclosures are also covered by routine use H and II of A-File SORN: Routine

³⁵ 73 FR 56596 (Sept. 29, 2008).

³⁶ See DHS/USCIS/ICE/CBP-001 Alien File, Index, and National File Tracking System of Records, 78 FR 69864 (November 21, 2013); DHS/USCIS-006 Fraud Detection and National Security Records (FDNS), 77 FR 47411 (August 8, 2012).



use H permits USCIS to share A-File information with appropriate federal, state, tribal, local, or foreign governmental agencies or multilateral governmental organizations responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license, when DHS believes the information would assist in enforcing applicable civil or criminal laws. A-File SORN routine use II permits sharing with a federal, state, local, territorial, tribal, international, or foreign criminal, civil, or regulatory law enforcement authority when the information is necessary for collaboration, coordination, and de-confliction of investigative matters, prosecutions, or other law enforcement actions to avoid duplicative or disruptive efforts and to ensure the safety of law enforcement officers who may be working on related law enforcement matters.

These disclosures are compatible with the original collection because the INA requires USCIS to investigate alleged civil and criminal violations of immigration laws, including alleged fraud with respect to applications or determinations within USCIS. In addition, the INA provides for terrorist-related bars that may serve as the basis for denial of a requested benefit. The INA also requires USCIS to make recommendations for prosecutions or other appropriate actions when deemed advisable.

6.3 Does the project place limitations on re-dissemination?

Yes. A Memorandum of Agreement (MOA) between USCIS and DOS Bureau of Consular Affairs fully outlines responsibilities of the parties, security standards, and limits of use of the information, including re-dissemination. Methods and controls over dissemination of information are coordinated between USCIS and DOS Bureau of Consular Affairs prior to information sharing. Depending on the context of other sharing, DHS may place additional controls on the re-dissemination of the information. FDNS also shares data internally via secure government networks.

A Memorandum of Understanding (MOU) between DHS and the FBI Terrorist Screening Center (TSC) for real-time screening against TSDB records also fully outlines responsibilities of the parties, security standards, and limits of use of the information, including re-dissemination.

A MOA between DHS and the National Counter Terrorism Center also fully outlines responsibilities of the parties, security standards, and limits of use of the information, including re-dissemination in accordance with the United States Attorney General Guidelines for Access, Retention, Use, and Dissemination by the National Counterterrorism Center and Other Agencies of Information in Datasets Containing Non-Terrorism Information (March 22, 2012).



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

FDNS maintains a record of disclosure of FDNS-DS information provided outside of the Department in FDNS-DS. A record is kept on file of each disclosure, and system audit trail logs are maintained to identify transactions performed by both internal and external users.

As mentioned in the FDNS Directorate PIA, FDNS may receive requests for assistance from external law enforcement partners. These requests are evaluated on a case-by-case basis, and disclosures must abide by all privacy laws and legal requirements. Some FDNS Officers are detailed to partner agencies to provide assistance as immigration subject matter experts. All FDNS Officers must abide by all privacy laws and legal requirements before sharing any immigration information. Disclosures made pursuant to these requests for assistance are tracked in FDNS-DS.

Further, at the request of DHS, Requests for Information for national security purposes from external entities are coordinated and tracked through the DHS I&A SPS process.³⁷

6.5 Privacy Impact Analysis: Related to Information Sharing

Privacy Risk: There is a risk of misuse, unauthorized access to, or disclosure of, information.

Mitigation: As discussed above, FDNS maintains a record of each disclosure of FDNS information made to every agency in accordance with a routine use and with whom it has an information sharing agreement. Otherwise, FDNS does not share its information. A record is kept on file of each disclosure, including the date the disclosure was made, the agency to which the information was provided, the purpose of the disclosure, and a description of the data provided.

The electronic sharing of data with external agencies is conducted over government secure networks. All personnel within the receiving agency and its components are trained on the appropriate use and safeguarding of data. In addition, each external agency with whom the information is shared has policies and procedures in place to ensure there is no unauthorized dissemination of the information provided by FDNS. Any disclosure must be compatible with the purpose for which the information was originally collected and only authorized users with a need to know may have access to the information contained in FDNS-DS.

³⁷ See DHS/ALL/PIA-044 DHS Single Point of Service Request for Information Management Tool, available at www.dhs.gov/privacy, for more information.



DHS information is covered by the third-party discovery rule, which precludes agencies outside of DHS that have received the information from DHS from sharing with additional partners without the consent of DHS.

Risks are further mitigated by provisions set forth in MOAs or MOUs with federal and foreign government agencies. Finally, United States government employees and contractors must undergo annual privacy and security awareness training.

Section 7.0 Redress

The following questions seek information about processes in place for individuals to seek redress which may include access to records about themselves; ensuring the accuracy of the information collected about them; or filing complaints.

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

Because FDNS-DS contains sensitive PII related to possible immigration benefit fraud and national security concerns, DHS has exempted FDNS from the notification, access, and amendment provisions of the Privacy Act of 1974, pursuant to 5 U.S.C. § 552a(k)(2). Notwithstanding the applicable exemptions, USCIS reviews all such requests on a case-by-case basis. When such a request is made, and access would not appear to interfere with or adversely affect the national or homeland security of the U.S. or activities related to any investigatory material contained within this system, the applicable exemption may be waived at the discretion of USCIS, and in accordance with procedures and points of contact published in the applicable SORNs.

Individuals seeking to access information maintained by FDNS should direct their requests to:

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

Requests for access to records must be in writing. Such requests may be submitted by mail or in person. If a request for access is made by mail, the envelope and letter must be clearly marked "Privacy Act Request" to ensure proper and expeditious processing. The requester should provide his or her full name, date and place of birth, and verification of identity in accordance with



DHS regulations governing Privacy Act requests (found at 6 CFR Part 5.21), and any other identifying information that may be of assistance in locating the record.

The information requested may, however, be exempt from disclosure under the Privacy Act because FDNS records, with respect to an individual, may sometimes contain law enforcement sensitive information. The release of law enforcement sensitive information could possibly compromise ongoing criminal investigations.

Additional information about Privacy Act and Freedom of Information Act (FOIA) requests for USCIS records can be found at <http://www.uscis.gov>.

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

As stated above, individuals may use the Freedom of Information Act/Privacy Act process to request access to and correction of records maintained about them. The data accessed by FDNS-DS from underlying USCIS source systems may be corrected by means of the processes described in the PIAs and SORNs for those systems. In the event inaccuracies are noted, files and FDNS-DS records may be updated.

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

Individuals are notified of the procedures for correcting their information on USCIS forms, the USCIS website, and by USCIS personnel who interact with individuals in the course of processing requests for benefits or services. Furthermore, this PIA and the respective SORNs serve as notice to individuals.

7.4 Privacy Impact Analysis: Related to Redress

Privacy Risk: There is a risk that individuals may be able to access, correct, or make amendments to records in the source systems, but may not be able to do so for their records maintained in FDNS-DS due to the Privacy Act exemptions claimed.

Mitigation: While FDNS maintains pre-decisional, deliberative information in FDNS-DS, individuals may still request access to records that USCIS maintains about them. Notice on how to file a Privacy Act request about records contained in maintained by FDNS is provided by this PIA and the FDNS SORN. Individuals can request access to information about them through the Privacy Act and FOIA process, and may also request that their information be amended by contacting the National Records Center. The nature of FDNS-DS and the data it collects, processes, and stores is such that it limits the ability of individuals to access or correct their information. Each request for access or correction is individually evaluated.



Section 8.0 Auditing and Accountability

The following questions are intended to describe technical and policy based safeguards and security measures.

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

Access and security controls have been established to mitigate privacy risks associated with authorized and unauthorized uses, specifically misuse and inappropriate dissemination of data. Access to FDNS-DS is generally read-only. Some FDNS-DS users have "read," "write," and "modify" privileges. All account access and privileges are approved by the USCIS business owner. When employment at USCIS is terminated or an employee's responsibilities no longer require access to FDNS-DS, access privileges are removed.

Audit trails are kept in order to track and identify unauthorized uses of FDNS-DS information. The audit trails include the ability to identify specific records each user accesses. A warning banner is provided at all access points to inform users of the consequences associated with unauthorized use of information. The banner warns authorized and unauthorized users about the appropriate uses of the system, that the system may be monitored for improper use and illicit activity, and the penalties for inappropriate usage and non-compliance. A user must click on the agreement to proceed with login.

In addition, user access to FDNS-DS is limited to personnel who need the information to perform their job functions. Only users with proper permissions, roles, and security attributes are authorized to access the system. Each user is obligated to sign and adhere to a user access agreement, which outlines the appropriate rules of behavior tailored for FDNS-DS. The system administrator is responsible for granting the appropriate level of access. Finally, all employees are trained on the use of information in accordance with DHS policies, procedures, regulations, and guidance.

FDNS conducts continuous security assessments of FDNS-DS in accordance with FISMA requirements. Furthermore, FDNS-DS complies with the DHS 4300A security guidelines, which provide hardening criteria for securing networks, computers, and computer services against attack and unauthorized information dissemination. Additionally, FDNS is subject to random Office of Inspector General (OIG) or any DHS assigned third-party security audits.



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

FDNS-DS users receive the required annual Computer Security Awareness training and Privacy Act Awareness training. In addition, users receive training in the use of FDNS-DS prior to being approved for access to the system. The training addresses the use of the system and appropriate privacy concerns, including Privacy Act obligations (e.g., SORNs, Privacy Act Statements). FDNS Officers also have several mandatory, job-specific training requirements that include discussions on Privacy Act obligations and other restrictions on disclosure of 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?

Users receive access to FDNS-DS only on a need-to-know basis. This need-to-know is determined by the individual's current job functions. Users may have read-only access to the information if they have a legitimate need to know as verified by their supervisor and the FDNS-DS business owner, and have successfully completed all required training.

A user requesting access must complete and submit Forms G-872A and B, *USCIS and End User Application for Access*. This application provides the justification for the level of access requested. Additionally the requestor signs the USCIS Rules of Behavior before access is granted. The requestor's supervisor and the FDNS-DS business owner will review this request; if approved, the requestor's access level is independently confirmed and the user account established.

Criteria, procedures, controls, and responsibilities regarding FDNS-DS systems access are contained in the Sensitive System Security plan for FDNS-DS. Additionally, there are several department and government-wide regulations and directives that provide additional guidance and direction.

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?

MOAs and MOUs between USCIS and other components of DHS, as well as MOAs and MOUs between USCIS or DHS and other agencies, define information sharing procedures for data maintained by FDNS. MOAs and MOUs document the requesting agency or component's legal authority to acquire such information, as well as USCIS's permission to share in its use under the legal authority granted. All MOAs and MOUs must be reviewed by the program and all applicable parties.



Homeland Security

Privacy Impact Assessment
USCIS, Fraud Detection and National Security Data System
Page 33

Responsible Officials

Donald K. Hawkins
U.S. Citizenship and Immigration Service
Privacy Officer
Department of Homeland Security

Approval Signature

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

Karen L. Neuman
Chief Privacy Officer
Department of Homeland Security



APPENDIX A

List of Systems of Records Researched during the Screening Processes and
Tracked in FDNS-DS

Below is a list of systems, both internal and external, that exchange data with FDNS-DS, including those used to support screening through ATLAS.

U.S. Citizenship and Immigration Services (USCIS) Systems

- National Benefit Center Process Workflow Repository (NPWR)³⁸ to facilitate screening on certain form types being processed through the National Benefit Center, Background Check Unit;
 - PIA: TBD
 - SORN: TBD

- Service Center Computer Linked Application Information Management System (SCCLAIMS)³⁹ to facilitate screening on forms processed in Computer Linked Application Information Management System (CLAIMS 3);
 - PIAs:
 - FDNS Directorate⁴⁰
 - CLAIMS 3⁴¹

- CLAIMS 4;
 - PIA: CLAIMS 4⁴²
 - SORN: Benefits Information System (BIS)⁴³

- Electronic Immigration System (ELIS);
 - PIA: ELIS⁴⁴

³⁸ NPWR is covered under DHS/USCIS/PIA-016(a) Benefits Processing of Applicants other than Petitions for Naturalization (CLAIMS 3).

³⁹ SCCLAIMS is a mirror copy of CLAIMS 3 data.

⁴⁰ See DHS/USCIS/PIA-013(a) FDNS Directorate, available at www.dhs.gov/privacy.

⁴¹ See DHS/USCIS/PIA-016(a) CLAIMS 3 and Associated Systems, available at www.dhs.gov/privacy.

⁴² See DHS/USCIS/PIA-015 CLAIMS 4 and subsequent updates, available at www.dhs.gov/privacy.

⁴³ 73 FR 56596 (Sept. 29, 2008).

⁴⁴ See DHS/USCIS/PIA-056 USCIS ELIS available at www.dhs.gov/privacy.



- SORN: Benefits Information System (BIS)⁴⁵
- Case and Activity Management for International Operations (CAMINO);
 - PIA: CAMINO⁴⁶
 - SORN:
 - A-File, Index, and National File Tracking System⁴⁷
 - Background Check Service⁴⁸
 - Inter-country Adoptions Security⁴⁹
 - BIS
 - Asylum Information and Pre-Screening (AIPS)⁵⁰
- Refugees, Asylum, and Parole System and the Asylum Pre-Screening System (RAPS/APSS);⁵¹
 - PIA: RAPS/APSS⁵²
 - SORN: AIPS⁵³
- Marriage Fraud Assurance System (MFAS);
 - PIA: CLAIMS 3⁵⁴
 - SORN:
 - A-File, Index, and National File Tracking System
 - Background Check Service
 - BIS
- Adoption Case Management System (ACMS);
 - PIA: Forthcoming ACMS PIA

⁴⁵ 73 FR 56596 (Sept. 29, 2008).

⁴⁶ See DHS/USCIS/PIA-051 CAMINO, available at www.dhs.gov/privacy.

⁴⁷ 78 FR 69864 (Nov. 21, 2013).

⁴⁸ 72 FR 31082 (June 5, 2007).

⁴⁹ 72 FR 31086 (June 5, 2007).

⁵⁰ 80 FR 74781 (November 30, 2015).

⁵¹ See DHS/USCIS/PIA-027 RAPS/APSS, and subsequent updates, available at www.dhs.gov/privacy.

⁵² See DHS/USCIS/PIA-027 RAPS/APSS, and subsequent updates, available at www.dhs.gov/privacy.

⁵³ 80 FR 74781 (November 30, 2015).

⁵⁴ See DHS/USCIS/PIA-016(a) CLAIMS 3 and Associated Systems, available at www.dhs.gov/privacy.



- SORN: Intercountry Adoptions Security⁵⁵
- USCIS Lockbox⁵⁶ to retrieve data from digitized forms;
 - PIA: Benefit Request Intake Process⁵⁷
 - SORN:
 - A-File, Index, and National File Tracking System
 - Background Check Service
 - BIS
 - Intercountry Adoptions Security
 - AIPS⁵⁸
 - Collections Records--Treasury/Financial Management Service⁵⁹
- Person Centric Query Service (PCQS) to retrieve status information from the Central Index System (CIS);
 - PIA: PCQS⁶⁰
 - SORN: See PCQS PIA Appendices for associated SORNs
- National File Tracking System (NFTS) to retrieve the physical locations of A-files;
 - PIA: NFTS⁶¹
 - SORN: A-File SORN
- Customer Profile Management System (CPMS) to retrieve data associated with biographic and biometric screening.
 - PIA: CPMS⁶²
 - SORN:
 - Background Check Service

⁵⁵ 72 FR 31086 (June 5, 2007).

⁵⁶ See DHS/USCIS/PIA-003(a) Integrated Digitization Document Management Program (IDDMP), available at www.dhs.gov/privacy.

⁵⁷ See DHS/USCIS/PIA-061 Benefit Request Intake Process, available at www.dhs.gov/privacy.

⁵⁸ 80 FR 74781 (November 30, 2015).

⁵⁹ Treasury/FMS-017 - Revenue Collections Records, 74 FR 23006 (May 15, 2009).

⁶⁰ See DHS/USCIS/PIA-010 Person Centric Query Service (PCQS), available at www.dhs.gov/privacy.

⁶¹ See DHS/USCIS/PIA-032 National File Tracking System (NFTS) available at www.dhs.gov/privacy.

⁶² See DHS/USCIS/PIA-060 Customer Profile Management Service, available at www.dhs.gov/privacy.



- Biometric Storage System⁶³

Other Department of Homeland Security (DHS) Component System Interfaces

- DHS Automated Biometric Identification System (IDENT⁶⁴) to retrieve data associated with biometric screening;
 - PIA: IDENT⁶⁵
 - SORN: IDENT⁶⁶
- U.S. Customs and Border Protection (CBP) TECS system, to perform screening, including checks against the Federal Bureau of Investigation, National Crime Information Center (NCIC);
 - PIA: TECS⁶⁷
 - SORN: CBP TECS⁶⁸
- CBP Automated Targeting System-Passenger (ATS-P) and UPAX;
 - PIA: ATS-P⁶⁹
 - SORN: ATS⁷⁰
- DHS Watchlist Service for real-time screening against Terrorist Screening Data Base (TSDB) records; and
 - PIA: FDNS WLS PIA Update⁷¹
 - SORN: DHS WLS SORN⁷²

⁶³ 72 FR 17172 (April 6, 2007).

⁶⁴ See DHS/NPPD/PIA-002 Automated Biometric Identification System (IDENT), available at www.dhs.gov/privacy.

⁶⁵ See DHS/NPPD/PIA-002 Automated Biometric Identification System (IDENT), available at www.dhs.gov/privacy.

⁶⁶ 72 FR 31080 (June 5, 2007).

⁶⁷ See DHS/CBP/PIA-009 TECS System: CBP Primary and Secondary Processing, available at www.dhs.gov/privacy.

⁶⁸ 73 FR 77778 (December 19, 2008).

⁶⁹ See DHS/CBP/PIA-006(b) Automated Targeting System (ATS), available at www.dhs.gov/privacy.

⁷⁰ 77 FR 30297 (May 22, 2012).

⁷¹ DHS/USCIS/PIA-027(e) DHS Watchlist Service, available at www.dhs.gov/privacy.

⁷² 81 FR 19988 (April 6, 2016).



- DHS Email as a Service (EaaS) Simple Mail Transfer Protocol (SMTP) server for email.
 - PIA: E-mail Secure Gateway⁷³
 - SORN:
 - General Information Technology Access Account Records System (GITAARS)⁷⁴
 - General Personnel Records⁷⁵

Other DHS Component Systems Accessed (Manually)

- CBP Analytical Framework for Intelligence (AFI)
 - PIA: AFI⁷⁶
 - SORN: AFI for Intelligence System⁷⁷
- CBP Arrival and Departure Information System (ADIS)
 - PIA: ADIS⁷⁸
 - SORN: ADIS⁷⁹
- ICE Student and Exchange Visitor Information System II (SEVIS)
 - PIA: SEVIS II⁸⁰
 - SORN: SEVIS⁸¹
- ICE ENFORCE Alien Removal Module
 - PIA: Enforcement Integrated Database (EID)⁸²

⁷³ See DHS/ALL/PIA-012 E-mail Secure Gateway and subsequent updates, *available at* www.dhs.gov/privacy.

⁷⁴ 77 FR 70792 (November 27, 2012).

⁷⁵ 77 FR 73694 (December 11, 2012).

⁷⁶ See DHS/CBP/PIA-010 AFI, *available at* www.dhs.gov/privacy.

⁷⁷ 77 FR 13813 (June 7, 2012).

⁷⁸ See DHS/CBP/PIA-24 Arrival and Departure System (ADIS), *available at* www.dhs.gov/privacy.

⁷⁹ 80 FR 72081 (November 18, 2015).

⁸⁰ See DHS/ICE/PIA-001(a) Student and Exchange Visitor Information System II (SEVIS), *available at* www.dhs.gov/privacy.

⁸¹ 75 FR 412 (January 5, 2010).

⁸² See DHS/ICE/PIA-015 Enforcement Integrated Database (EID) and subsequent updates, *available at* www.dhs.gov/privacy.



Homeland Security

- o SORN: Immigration and Enforcement Operational Records System (ENFORCE)⁸³

⁸³ 80 FR 24269 (April 30, 2015).



Privacy Impact Assessment
for the

Fraud Detection and National Security Data System (FDNS-DS)

DHS/USCIS/PIA-013(a)

May 18, 2016

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Homeland Security

Privacy Impact Assessment
USCIS, Fraud Detection and National Security Data System
Page 2

Abstract

The Department of Homeland Security (DHS), U.S. Citizenship and Immigration Services (USCIS), developed the Fraud Detection and National Security Data System (FDNS-DS) as the primary case management system used to record requests and case determinations involving immigration benefit fraud, public safety, and national security concerns. Since its initial deployment, USCIS has incorporated a new screening functionality into FDNS-DS, known as ATLAS, to more effectively identify and review cases involving fraud, public safety, and national security concerns.¹ USCIS is updating and reissuing the entire FDNS-DS Privacy Impact Assessment (PIA), originally published on June 29, 2008, to capture these updates.

Overview

Every year, U.S. Citizenship and Immigration Services (USCIS) receives nearly 6.4 million applications for immigration benefits or service requests. USCIS is committed to ensuring the integrity of the United States (U.S.) immigration system. An integral part of USCIS's delegated authority to adjudicate benefits, petitions, or requests, and to determine if individuals are eligible for benefit or services, is to conduct screenings (i.e., background, identity, and security checks) on forms filed with the agency. USCIS Fraud Detection and National Security Directorate (FDNS) developed the Fraud Detection and National Security – Data System (FDNS-DS) to record, track, and manage the screening processes related to immigration applications, petitions, or requests with suspected or confirmed fraud, public safety, or national security concerns. FDNS also uses FDNS-DS to identify vulnerabilities that may compromise the integrity of the legal immigration system.

The 2014-2018 Department of Homeland Security (DHS) Strategic Plan states that DHS will enforce and administer the nation's immigration laws by "ensuring that only eligible applicants receive immigration benefits through expanded use of biometrics, a strengthening of screening processes, improvements to fraud detection, increases in legal staffing to ensure due process, and enhancements of interagency information sharing."² Recent events highlight the importance of screening immigration benefit applicants for fraud, public safety, and national security concerns. Within FDNS-DS, FDNS developed a screening module known as ATLAS. ATLAS's event-based screening capability increases the timeliness and quality of fraud referrals. For the purpose of this PIA, the term FDNS-DS encompasses both the case management system and the screening module, ATLAS.

¹ ATLAS is not an acronym.

² Department of Homeland Security, "Fiscal Years 2014 – 2018 Strategic Plan."



Homeland Security

Privacy Impact Assessment
 USCIS, Fraud Detection and National Security Data System
 Page 3

FDNS-DS receives, tracks, and records information through the following processes: screening, referrals made to FDNS, administrative investigations, and through conducting studies related to benefit fraud and trends³, as detailed below.

Screening and Referrals to FDNS

The types of screening performed on immigration forms vary by the benefit/request type. In general, USCIS conducts background checks⁴ to obtain relevant information in order to render the appropriate adjudicative decision with respect to the benefit or service sought, identity checks to confirm the individual's identity and combat potential fraud, and security checks to identify potential threats to public safety or national security. Standard checks may include:

- Biometric fingerprint-based checks:
 1. Federal Bureau of Investigation (FBI) Fingerprint Check
 2. DHS Automated Biometric Identification System (IDENT) Fingerprint Check⁵
 3. Department of Defense Automated Biometric Identification System (ABIS) Fingerprint Check⁶
- Biographic name-based checks:
 1. FBI Name Check
 2. TECS⁷ Name Check

USCIS uses several systems to support the checks identified above, which are described in detail in the Immigration Benefits Background Check Systems⁸ and Customer Profile Management Service⁹ PIAs, as well as the PIAs associated with USCIS's case management

³ See DHS/USCIS/PIA-013-01 FDNS Program, available at www.dhs.gov/privacy, for more information on the administrative inquiry process, adjudication, and BFA Process. FDNS completes administrative investigations to obtain relevant information needed to render the appropriate adjudicative decision.

⁴ During the adjudication process, USCIS conducts four different background checks, two biometric fingerprint-based and two biographic name-based, which are discussed in detail in the Immigration Benefits Background Check Systems (IBBCS) PIA. See DHS/USCIS/PIA-033, IBBCS, available at www.dhs.gov/privacy.

⁵ See DHS/NPPD/PIA-002 Automated Biometric Identification System (IDENT), available at www.dhs.gov/privacy.

⁶ For certain benefit types in which the beneficiary has a higher likelihood of having previously been fingerprinted by the U.S. military, USCIS conducts checks against the Department of Defense's Automated Biometric Identification System, as described in the Customer Profile Management System (CPMS) PIA. See DHS/USCIS/PIA-060 CPMS, available at www.dhs.gov/privacy.

⁷ See DHS/CBP/PIA-009 TECS System: CBP Primary and Secondary Processing (TECS), available at www.dhs.gov/privacy.

⁸ See DHS/USCIS/PIA-033 IBBCS, available at www.dhs.gov/privacy.

⁹ See DHS/USCIS/PIA-060 CPMS, available at www.dhs.gov/privacy.



Homeland Security

Privacy Impact Assessment
 USCIS, Fraud Detection and National Security Data System
 Page 4

systems. As mentioned in those PIAs, USCIS adjudications staff must query multiple systems, in some cases manually. Through the development of a screening module within FDNS-DS, known as ATLAS, the need to independently query each system is greatly reduced, thereby streamlining the screening process and limiting the privacy risks associated with using multiple systems. ATLAS interfaces with other systems in order to automate system checks and promotes consistent storage, retrieval, and analysis of screening results to enable FDNS to detect and investigate fraud, public safety, and national security concerns more timely and effectively. The specific system interfaces that enable screening through ATLAS are detailed at Appendix A.

Within FDNS-DS, ATLAS's automated, event-based screening is triggered when:

1. An individual presents him or herself to the agency (e.g., when USCIS receives an individual's benefit request form¹⁰ or while capturing an individual's 10-fingerprints at an authorized biometric capture site, for those forms that require fingerprint checks);
2. Derogatory information is associated with the individual in one or more DHS systems;
or
3. FDNS performs an administrative investigation.

ATLAS receives information from the individual's form submission and from the biographic and biometric-based checks listed above. That information is screened through a predefined set of rules to determine whether the information provided by the individual or obtained through the required checks presents a potential fraud, public safety, or national security concern. The rules help standardize how information is analyzed and help to detect patterns, trends, and risks that are not easily apparent from the form submissions themselves.

(U//FOUO) There are currently five event-based screening rules and 11 patterns operational within FDNS-DS. A description of each rule is available at FOUO Appendix B.

Previously, FDNS-DS received information primarily through manual referrals of cases from USCIS adjudications staff. Since the development of ATLAS, cases can now be referred to FDNS for administrative investigation in the following manners:

Referrals through System Generated Notifications (SGNs)

The screening process described above automates the process of referring cases to FDNS for review. Certain events, such as when USCIS receives a benefit request form or the 10-print capture of an individual's fingerprints at a biometric capture center, trigger rules-based screening. If the benefit request form or biometric capture matches a rule, ATLAS produces an SGN, which is elevated in FDNS-DS for manual review. Once an SGN is produced, a specially trained FDNS

¹⁰ See DHS/USCIS/PIA-061 Benefit Request Intake Process, available at www.dhs.gov/privacy.



Homeland Security

Privacy Impact Assessment
USCIS, Fraud Detection and National Security Data System
Page 5

Officer, known as a Gatekeeper, conducts a manual review of the SGN for validity, determines whether it is “actionable” or “inactionable,” and, if “actionable,” triages the SGN for further action. If an SGN is “actionable,” it enters the formal FDNS-DS case management process. An SGN found to be “inactionable” may be closed without further action. The SGN itself is not considered derogatory. SGNs help FDNS Officers to detect potential threats earlier in the immigration benefit application process, to demonstrate the fidelity of the individual’s biographic and biometric information, and to identify discrepancies more efficiently.

Fraud Tip Referrals

Members of the public and other government agencies can voluntarily submit a fraud tip to USCIS directly by emailing ReportFraudTips@uscis.dhs.gov. In the future, a static page will be available at www.uscis.gov, where a link to the mailbox will be provided. The webpage lists suggested fields that FDNS has deemed useful when processing the tip. The list serves merely as a suggestion; a fraud or tip reporter can include as much or as little information as he or she wishes. More information about the fraud tip reporting process is described in Appendix H to the FDNS Directorate PIA.¹¹

Upon receiving a tip, FDNS evaluates the tip to determine if it is “actionable” or “inactionable” for investigation. If FDNS deems the tip “actionable,” FDNS manually inputs the information into FDNS-DS and prepares the tip for an administrative investigation.

Manual Referrals

USCIS adjudications staff can make manual referrals to FDNS through FDNS’s Intranet Fraud Referral System (iFRS). Through this process, adjudications staff complete a fillable electronic form using the USCIS SharePoint Enterprise Collaboration Network (ECN).¹² FDNS Officers review the referrals and determine if the referral is “actionable” or “inactionable” and manually enter the information into FDNS-DS. If “actionable,” FDNS prepares the referral for administrative investigation.

Administrative Investigations

If FDNS determines an administrative investigation is necessary, FDNS conducts further checks to verify information prior to an adjudicative decision on the immigration benefit or service requested, to include resolving any potential fraud, public safety, or national security concerns. In conducting an administrative investigation,¹³ FDNS may perform one, or a combination, of the following:

¹¹ See DHS/USCIS/PIA-013-01 FDNS Directorate, available at www.dhs.gov/privacy.

¹² See DHS/ALL/PIA-037 DHS SharePoint and Collaboration Sites, available at www.dhs.gov/privacy.

¹³ See DHS/USCIS/PIA-013-01 FDNS Directorate, available at www.dhs.gov/privacy, for more information on



Homeland Security

- Research in Government and commercial databases and public records;
- Internet searches of open source information;
- Searches of publicly available information, including, but not limited to, social media sites;
- File reviews;
- Telephone calls;
- Site visits;
- Interviews of applicants, beneficiaries, petitioners, and others;
- Requests for evidence;
- Administrative subpoenas;
- Requests for assistance from law enforcement agencies;
- Overseas verifications; and
- Referral to law enforcement agencies.

FDNS may perform administrative investigations or work with partner agencies, as appropriate, and ultimately produces findings to sufficiently inform adjudications.

Federated Immigration Screening and Application Report (FISAR)

The Federated Immigration Screening and Application Report (FISAR) within FDNS-DS is an advanced search functionality that allows FDNS-DS users to view the entire screening history on an individual, including records of standard checks, any SGNs produced by ATLAS that relate to the individual, and administrative investigations performed. If there are SGNs in the individual's screening history, the FDNS-DS user can easily determine the status of those SGNs (e.g., pending or triaged). The gatekeeping process described above provides manual oversight to ensure that SGNs produced by the system are valid and that they relate to the individual.

(U//FOUO) FDNS has developed the FISAR Web Service, which will interface with USCIS case management systems (e.g., SCCLAIMS,¹⁴ USCIS Electronic Immigration System (ELIS),¹⁵ Computer Linked Application Information Management System (CLAIMS) 4)¹⁶ in order to

FDNS administrative investigations.

¹⁴ SCCLAIMS is used rather than C3 for efficiency purposes. SCCLAIMS is an FDNS system and contains the CLAIMS 3 data elements needed to perform screening. SCCLAIMS receives a daily refresh of CLAIMS 3 data. See DHS/USCIS/PIA-016(a) CLAIMS 3, available at www.dhs.gov/privacy for more information.

¹⁵ See DHS/USCIS/PIA-056 USCIS ELIS available at www.dhs.gov/privacy.

¹⁶ See DHS/USCIS/PIA-015 CLAIMS 4 and subsequent updates, available at www.dhs.gov/privacy.



Homeland Security

Privacy Impact Assessment
 USCIS, Fraud Detection and National Security Data System
 Page 7

provide timely, meaningful FDNS-DS/ATLAS information to adjudications staff. FISAR Web Service will allow adjudicators to access screening information related to the individual and to determine if there are potential concerns that may impact the adjudicative decision. FISAR Web Service will offer multiple options for invoking the ATLAS screening capability, as well as accessing the resulting information and displaying it within the case management system. Those options may include the following capabilities, or combinations thereof:

- **Option #1: Screen** - Performs ATLAS event-based screening and generates SGNs
- **Option #2: Quick Check** - Provides derogatory data as a result of a background check
- **Option #3: Inquiry** - Provides a view of all case and screening information from an FDNS perspective
- **Option #4: Batch** - Processes bulk background, identity, and security check activities

(U//FOUO) The specific system interfaces and information exchanged with FDNS-DS/ATLAS are detailed in the FOUO portion of Appendix A.

Enhanced Analytical Capabilities

FDNS enhanced ATLAS with analytical capabilities to enable users to more easily query and visualize data within the system and to identify individuals who are filing for immigration and naturalization benefits who may potentially be engaging in fraudulent behavior or pose a risk to public safety or national security. During the screening process, ATLAS analyzes the results of biographic and biometric checks, applies rules, and performs link and forensic analysis and entity resolution among data received from multiple systems. ATLAS assists in confirming individuals' identities when individuals are potentially known by more than one identity by comparing the identity information provided by the individual with identity information in other systems checked against the background, identity, and security check process. As an example, ATLAS can determine if an individual has applied for benefits using multiple biographic identities or aliases. ATLAS also visually displays linkages or relationships among individuals to assist in identifying non-obvious relationships among individuals and organizations with a potential nexus to criminal or terrorist activities. The results of this analysis may be produced and elevated in FDNS-DS in the form of an SGN or obtained through FISAR.

ATLAS's analytical capabilities do not alter the source data. All legal and policy controls around the source data remain in place.

USCIS is continuing to enhance its screening processes by incorporating seven core capabilities into ATLAS: (1) Predictive Analytics; (2) Link and Forensic Analysis; (3) Unstructured and Structured Analytics; (4) Intelligent Investigative Case Management; (5)



Homeland Security

Operational Decision Management; (6) Information Sharing and Collaboration; and (7) Entity Analytics. Before new analytical capabilities are deployed within FDNS-DS/ATLAS, the USCIS Office of Privacy will review them to determine additional privacy requirements, which may include updating or re-issuing FDNS PIAs or SORNs.

(U/FOUO) FDNS-DS/ATLAS is in an agile development environment with new capabilities being introduced in an incremental approach based on operational necessity or at the request of the user community. USCIS FDNS will maintain a list of new capabilities in FOUO Appendix C. This appendix will be routinely updated with ongoing projects, including those that are in the onboarding phase, prior to being fully implemented within the FDNS-DS/ATLAS environment. USCIS FDNS will submit a Privacy Threshold Analysis (PTA) for possible inclusion in this appendix. In certain instances, a new PIA or SORN may be required.

Types of Information Collected and Stored within FDNS-DS

The following information is collected and stored in FDNS-DS:

- Information collected during screening (i.e., background, identity, and security check processes) to include information provided by the individual on a benefit request form, in response to a request for evidence, or during an interview; derogatory information received in response to checks; and audit trails or logs reflecting the history of checks conducted on the individual;
- Information collected during the adjudicative and administrative investigation process;
- USCIS investigative referrals to law enforcement agencies (LEA) of suspected or confirmed fraud, public safety issues, or national security concerns;
- Referrals and leads from other government agencies and LEAs related to individuals with an immigration history with USCIS;
- Information collected during response to a Request For Information (RFI) from law enforcement and intelligence agencies;
- Referrals from the public or other governmental entities or fraud case referrals from the Benefit Fraud Assessment (BFA) process ("other referrals");
- Information from cases that are selected for study of benefit fraud rates or trends;
- Adverse information identified by USCIS from applications, administrative files, interviews, written requests for evidence (RFE) or site visits; resolution of any of the above-described categories of adverse information; and
- Adjudicative summaries and decisions.



Homeland Security

This PIA generally covers the privacy risks and mitigation strategies associated with the FDNS-DS system and its screening (rules-based referrals) and case management capabilities. USCIS will maintain operationally sensitive appendices to this PIA that will analyze privacy risks and mitigation strategies associated with enhanced analytical capabilities that have been approved for use within FDNS-DS.

The privacy risks and mitigation strategies associated with the overall administrative investigation process are described in the FDNS Directorate PIA. Additionally, other published USCIS PIAs available <http://www.dhs.gov/privacy> cover the benefit request intake process, benefit request form analysis and case management, as well as the collection of biographic and biometric information that is used as part of the screening process. These published PIAs provide an in-depth discussion of these separate processes and evaluate the privacy risks and mitigation strategies built into each process.

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 legal authority to collect this information comes from the Immigration and Nationality Act 8 U.S.C. Section 1101 *et seq.* In addition, the Secretary of Homeland Security in Homeland Security Delegation No. 0150.1 delegated the following authorities to USCIS:

“(H) Authority under section 103(a)(1) of the Immigration and Nationality Act of 1952, as amended (INA), 8 U.S.C. §1103(a)(1), to administer the immigration laws (as defined in section 101(a)(17) of the INA);

Authority to investigate alleged civil and criminal violations of the immigration laws, including but not limited to alleged fraud with respect to applications or determinations within the Customs and Border Protection (CBP) or the CIS and make recommendations for prosecutions, or other appropriate action when deemed advisable.”

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

Information collected, maintained, used, and disseminated by FDNS-DS is covered under the following SORNs:



Homeland Security

Privacy Impact Assessment
USCIS, Fraud Detection and National Security Data System
Page 10

- DHS/USCIS-006 Fraud Detection and National Security Records (FDNS), August 8, 2012.(77 FR 47411)
 - Final Rule for Privacy Act Exemptions, August 31, 2009 (74 FR 45084)
- DHS/USCIS/ICE/CBP-001 Alien File, Index, and National File Tracking System of Records, November 21, 2013 (78 FR 69864)

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

Yes, FDNS-DS was approved for entrance into the DHS Ongoing Authorization Program on August 26, 2014. A system privacy plan is pending the completion of this PIA.

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

Yes, NARA approved the FDNS-DS retention schedule, N1-566-08-18. FDNS will retain the records 15 years from the date of the last interaction between FDNS personnel and the individual for records maintained in FDNS-DS. Records related to an individual's A-File will be transferred to the A-File and maintained under the A-File retention period. USCIS maintains records on individuals and all of their immigration transactions and law enforcement and national security actions (if applicable), in the A-File. A-File records are permanent records in both electronic and paper form. USCIS transfers A-Files to the custody of NARA 100 years after the individual's date of birth, in accordance with N1-566-08-011.

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.

Almost all of the information within FDNS-DS is originally submitted on a benefit request form that is subject to the PRA. However, there are no forms associated specifically with the collection of information in FDNS-DS. Please see the benefit request PIAs and Appendices for a comprehensive list of the various forms that cover the initial collection of information from the individual.¹⁷

¹⁷ See DHS/USCIS/PIA-061 Benefit Request Intake Process, available at www.dhs.gov/privacy.



Homeland Security

Section 2.0 Characterization of the Information

The following questions are intended to define the scope of the information requested or collected, as well as reasons for its collection.

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

Due to the nature of the information within FDNS-DS, FDNS-DS contains sensitive personally identifiable information (SPII). Depending upon the category of information being collected in or attached to an FDNS-DS record, the system may collect the following SPII:

Information about individuals may include, if applicable:

- Full Name;
- Alias(es);
- Physical and Mailing Addresses;
- Alien Number (A-Number);
- USCIS Online Account Number;
- Social Security number (SSN);
- Date of Birth;
- Nationality;
- Country of Citizenship;
- Place of Birth;
- Gender;
- Marital Status;
- Military Status;
- Phone Numbers;
- Email Address;
- Immigration Status;
- Government-issued Identification (e.g., passport, driver's license):
 - Document Type;



Homeland Security

Privacy Impact Assessment
USCIS, Fraud Detection and National Security Data System
Page 12

- Issuing Organization;
- Document Number; and
- Expiration Date.
- Signature;
- Other Unique Identifying Numbers (e.g., Department of State (DOS)-issued Personal Identification Number, ICE Student and Exchange Visitor Number, USCIS E-Verify Company Identification Number);
- Arrival/Departure Information;
- Immigration History (e.g., citizenship/naturalization certificate number, removals, explanations);
- Family Relationships (e.g., parent, spouse, sibling, child, other dependents) and Relationship Practices (e.g., polygamy, custody, guardianship);
- USCIS Receipt/Case Number;
- Personal Background Information (e.g., involvement with national security threats, criminal offenses, Communist party, torture, genocide, killing, injuring, forced sexual contact, limiting or denying others religious beliefs, service in military or other armed groups, work in penal or detention systems, weapons distribution, combat training);
- Medical Information;
- Travel History;
- Education History;
- Work Information (contact information, position and relationship to an Organization, degree(s), membership(s), accreditation(s), license(s) identification numbers);
- Work History;
- Bank account or financial transaction history;
- Supporting documentation as necessary (e.g., birth, marriage, or divorce certificates, licenses, academic diplomas, academic transcripts, appeals or motions to reopen or reconsider decisions, explanatory statements, criminal history documents, and unsolicited information submitted voluntarily by the applicants or family members in support of a benefit request);
- Physical Description (e.g., height, weight, eye color, hair color, race, ethnicity, identifying



Homeland Security

- marks like tattoos or birthmarks);
- Photographs from Government-issued Identification (i.e., passport, Driver's license, and other identification card);
- Relationships to petitioners, representative, preparers, family members, and applicants;
- Case processing information such as date applications were filed or received by USCIS, application/petition status, location of record, other control number when applicable, and fee receipt data;
- Organizations associated with applications, petitions or other requests (Place of business or place of worship, if place of worship is sponsoring the individual);
- Civil or criminal history information;
- Uniform resource locators (URLs)¹⁸ or Internet protocol addresses;
- Biometric identifiers or associated biographic information (e.g., photographic facial image, fingerprints, Fingerprint Identification Number (FIN), Encounter Identification Number (EID), and signature);
- TECS, National Crime Information Center (NCIC), Federal Bureau of Investigation (FBI) Terrorist Screening Database, and any other data and analysis resulting from the investigation or routine background identity and security checks performed in support of the adjudication process; or
- Any other unique, identifying information.

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

Information in FDNS-DS is collected during the following processes: the screening (i.e., background, identity, and security check) process, referrals made to FDNS, administrative investigations, and to conduct studies related to benefit fraud and trends.¹⁹ Much of the information collected in the FDNS-DS is taken from the benefit request form submitted to USCIS by the individual or an authorized representative or preparer, or from systems against which that data is screened during the screening process. USCIS may also collect information through interviews

¹⁸ The URL is the unique address for a file that is accessible on the Internet.

¹⁹ See DHS/USCIS/PIA-013-01 FDNS Program, available at www.dhs.gov/privacy, for more information on the administrative inquiry process, adjudication, and BFA Process. FDNS completes administrative investigations to obtain relevant information needed to render the appropriate adjudicative decision.



Homeland Security

Privacy Impact Assessment
USCIS, Fraud Detection and National Security Data System
Page 14

and site visits and record this into FDNS-DS. Interviewees may include current/past employers, family members, applicants, or other authorized representatives or preparers.

The information can be collected automatically or manually, as described below.

Automatic Collection

FDNS-DS's event-based screening capability through ATLAS is an automatic collection process that records certain information for review. Screening within ATLAS is triggered when:

1. An individual presents himself/herself to the agency;
2. Derogatory information is associated with the individual in one or more DHS systems;
or
3. Administrative investigations are performed.

ATLAS queries internal and external systems automatically to obtain data relating to an individual's background, identity, and security check. ATLAS receives biographic data (e.g., name, date of birth, alias) associated with the individual's benefit request form from USCIS case management systems or biographic data associated with the individual's biometric capture at an approved biometric collection site (e.g., FIN, A-Number), which may be screened against data in IDENT,²⁰ TECS,²¹ or the Terrorist Screening Database²² and then against FDNS-DS's rules engine and analytical tools to produce SGNS.

In addition to the automatic collection that occurs during the screening process, FDNS-DS has a direct connection to the Enterprise Citizenship and Immigration Services Centralized Operational Repository (eCISCOR)²³ to obtain CLAIMS²⁴ information about benefit request forms, applications, or petitions that can be used to automate the population of case information within FDNS-DS, such as A-Number. This helps to reduce the risk of error from manual data entry and to preserve the integrity of the information found in source systems.

A comprehensive listing of source systems for this automatic collection is routinely updated at Appendix A.

²⁰ See DHS/NPPD/PIA-002 Automated Biometric Identification System (IDENT), available at www.dhs.gov/privacy, for more information.

²¹ See DHS/CBP/PIA-009 TECS System: CBP Primary and Secondary Processing (TECS), available at www.dhs.gov/privacy.

²² See Privacy Impact Assessment for the DHS Watchlist Service available at www.dhs.gov/privacy, for more information.

²³ See DHS/USCIS/PIA-023(a) Enterprise Citizenship and Immigration Services Centralized Operational Repository (eCISCOR), available at www.dhs.gov/privacy.

²⁴ See DHS/USCIS/PIA-016(a) CLAIMS 3, available at www.dhs.gov/privacy, for more information.



Homeland Security

Privacy Impact Assessment
USCIS, Fraud Detection and National Security Data System
Page 15

Manual Collection

FDNS-DS users may query several DHS databases or systems to obtain information. Information gathered from these systems (e.g., dates of birth, SSN, country of birth, address) may be added to FDNS-DS. A complete list of DHS systems researched during this process is also included in Appendix A to this PIA.

Federal, State, and Local Government Sources

FDNS Officers may obtain information from various external sources, such as:

- Department of Labor
- Department of State (DOS)
- Social Security Administration (SSA) Electronic Verification of Vital Events (EVVE)²⁵
- Federal Aviation Administration websites
- Intelligence and law enforcement communities
- State and local government agencies
- Local, county, and state police information networks
- State motor vehicle administration databases and websites
- Driver license retrieval websites
- State bar associations
- State comptrollers
- State probation/parole boards or offices
- County appraisal districts
- State sexual predator websites

As described in the FDNS Directorate PIA, FDNS receives information from external partners or sources during the administrative inquiry process and as part of referrals, requests for assistance, or requests for information. The type of information collected depends on the specific context of a given case within FDNS-DS.

²⁵ EVVE system allows verification of vital record information from the states, including birth certificates. See Electronic Verification of Vital Events Program Operations Manual System, available at <https://secure.ssa.gov/poms.nsf>, for more information.



Homeland Security

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

FDNS collects information throughout the course of recording, tracking, and managing the screening and administrative investigation processes related to immigration benefit requests forms, applications, or petitions. FDNS may obtain information from commercial sources or from publicly available information on the Internet. Examples of commercial or publicly available sources FDNS may access include, but are not limited to:

- Commercial data brokers (e.g., Choicepoint AutoTrackXP, Lexis/Nexis Accurant, Thomson Reuters CLEAR)
- General legal research sites (e.g., Legal Information Institute)
- Internet sites such as university websites and newspapers, news media websites, United Press International, Reuters, and foreign news media websites
- Various search engines (e.g., Ask, Google, Yahoo, REFDESK)
- Social media websites (e.g., Facebook, Twitter, LinkedIn, Pinterest, Google+)²⁶

FDNS-DS enables Officers to note the exact URL and include attachments of any information collected from commercial sources or publicly available information.

FDNS uses these various commercial and publicly available sources to verify information provided by the individual, support or refute indications of fraudulent behavior, and identify any threat to public safety or nexus to known or suspected terrorists in the processing of their benefit request, consistent with authority granted by the Immigration and Nationality Act.²⁷ In addition, the Secretary has delegated USCIS the authority to investigate alleged civil and criminal violations of the immigration laws, not limited to alleged fraud with respect to applications or determinations.²⁸

Compiling this information and taking action to prevent potentially malevolent and sometimes dangerous people from staying in this country supports DHS's mission of preventing

²⁶ FDNS Officers who seek to access, process, store, receive, or transmit PII obtained through the Operational Use of Social Media while conducting investigations are required to complete a "Rules of Behavior (ROB) for the Operational Use of Social Media." These ROB ensure that users are accountable for their actions on social media, are properly trained, and aware of the authorized use of social media sites.

²⁷ 8 U.S.C. 1101 et seq.

²⁸ See Secretary of Homeland Security Delegation No. 0150.1, Section II (H) and (I), for more information.



Homeland Security

Privacy Impact Assessment
USCIS, Fraud Detection and National Security Data System
Page 17

terrorist attacks within the United States and reducing America's vulnerability to terrorism, while facilitating the adjudication of lawful benefit applications.

2.4 Discuss how accuracy of the data is ensured.

FDNS-DS relies on the accuracy of the information as it is collected from the source. As such, the accuracy of the information in FDNS-DS is equivalent to the accuracy of the source information at the point in time when it is collected into FDNS-DS. During this process, FDNS conducts data validation to ensure accuracy of the data.

FDNS Officers compare information obtained during the screening and administrative investigation processes with information provided directly by the individual (applicant or petitioner) in the underlying benefit request form or in response to Requests for Evidence or Notices to Appear, to ensure information is matched to the correct individual, as well as to ensure integrity of the data. As described above, the information contained in benefit request forms, applications, or petitions may be matched against public records, commercial data aggregators, and public source information, such as web sites or social media, to validate the veracity of information provided by the individual.

FDNS uses public source information only as means to verify information already on file with USCIS or identify possible inconsistencies. Due to the inherent data accuracy risks of relying on information from the Internet, USCIS requires that no benefit determination action can be taken based solely on information received from a public source. The information obtained from a public source must be corroborated with authoritative information on file with USCIS.

In the event FDNS Officers learn that information contained within other systems of records is not accurate, the Officer will notify appropriate individuals within the USCIS Records Office or the federal agency owning the data, who will facilitate any necessary notifications and changes.

2.5 Privacy Impact Analysis: Related to Characterization of the Information

Privacy Risk: There is a risk to individual participation because FDNS Officers rely on a considerable amount of information collected from external sources beyond what individual submitted on his or her benefit request form.

Mitigation: This risk is partially mitigated. FDNS collects information from a variety of sources to verify the information provided by individuals in the course of a review of possible fraud, public safety, and national security concerns. FDNS has determined that in order to have the best evidence available to support the adjudication process, it is necessary to collect large amounts of sensitive PII. This information is required to ensure that FDNS makes the correct



Homeland Security

determination about the correct individual regarding cases of fraud, criminal activity, public safety, and national security concerns and sufficiently informs the adjudication of the benefit application. This risk is also partially mitigated in that individuals have the opportunity to provide information directly to USCIS throughout the adjudication process and through interviews, Requests for Evidence, or Notices to Appear.

Privacy Risk: Due to FDNS's reliance on external sources, including commercial sources, public sources, or social media, there is a risk that USCIS will obtain and rely upon inaccurate data.

Mitigation: The risk is partially mitigated in that FDNS considers information derived from sources other than the individual, but also exercises caution about the information's accuracy. Due to its inherent lack of data integrity, public source information is not used as the sole basis upon which to adjudicate an immigration benefit or request, investigate benefit fraud, or identify public safety and national security concerns. FDNS compares historical, biographical, financial, and personal information presented by the individual against third-party sources, whenever possible.

In order to improve the accuracy of the information, USCIS has developed policies and procedures for safeguarding data aggregated within FDNS from several different sources. This includes using public record data, data from commercial data providers, as well as other publicly available data including social media and news and reviewing existing data in USCIS's files with information outside of USCIS. If inaccurate information is found during the process of reviewing a file, FDNS will contact personnel within the USCIS Records Division who are authorized to make the changes to the data in the source system. FDNS will also correct inaccuracies in FDNS-DS and other locations where FDNS records are maintained.

Privacy Risk: Because FDNS-DS aggregates information from multiple source systems, there is a risk of data inaccuracy if the data in the underlying system(s) change.

Mitigation: As noted above, FDNS has policies and procedures in place to confirm the veracity of the data being relied upon in resolving potential fraud, public safety, and national security concerns. FDNS-DS also queries other systems in real time to receive the most timely and accurate data available from the source system. Finally, individuals have opportunities to provide information directly through the adjudicative process.

Privacy Risk: In some cases, FDNS-DS users enter information into the system manually. There is a risk of human error, which could result in FDNS relying on inaccurate data.

Mitigation: FDNS has a vested interest and responsibility to maintain the most accurate data possible since the information could be used in support of an adjudicative decision or in



Homeland Security

support of criminal investigations undertaken by law enforcement partners. FDNS Officers rely on multiple sources to confirm the veracity of the data and, if discrepancies are uncovered, will take necessary steps to correct inaccuracies.

Privacy Risk: There is a risk that search functions that previously could only have been performed through separate searches of individual systems or databases will allow FDNS-DS users (or users of other case management systems that receive data from FDNS-DS) to access to more data than is necessary to perform their specific roles.

Mitigation: This risk is mitigated in that FDNS-DS maintains strict access controls so that only FDNS-DS users with a role in investigating cases for potential fraud, public safety, and national security concerns have access to raw data retrieved as part of the screening process. FDNS-DS interfaces with other systems to help streamline the processes that FDNS-DS users currently perform manually, and its capabilities are designed to assist officers in obtaining information needed to confirm an individual's eligibility for the benefit or request sought while preserving the integrity of the legal immigration system. The output to other case management systems is reasonably tailored to provide adjudications staff with information relevant to making a determination on the benefit or request sought.

Privacy Risk: There is a risk of obtaining data from new sources that have not been reviewed for privacy and legal concerns in determining possible benefit fraud, criminal activity, public safety, and national security concerns.

Mitigation: The risk is partially mitigated. In order to reduce the risk of new data being incorporated into FDNS that has not been reviewed for privacy and legal concerns, multiple layers of privacy and legal review have been built into FDNS's processes. The process is memorialized via the Overarching Integrated Project Team (IPT) Charter, which is in the approval process. Additionally, new sources are reviewed through the FDNS weekly Screening and Case Management IPTs with participation from the FDNS Privacy Advisor and USCIS Office of Privacy. FDNS must submit a privacy threshold analysis and receive approval from the DHS Privacy Office before adding any new data sources.

Section 3.0 Uses of the Information

The following questions require a clear description of the project's use of information.

3.1 Describe how and why the project uses the information.

FDNS-DS records, tracks, and manages the screening process, thereby increasing the effectiveness of the U.S. immigration system in combating benefit fraud, protecting public safety.



Homeland Security

Privacy Impact Assessment
USCIS, Fraud Detection and National Security Data System
Page 20

identifying potential threats to national security, and identifying vulnerabilities that may compromise the integrity of the legal immigration system.

Screening

FDNS uses FDNS-DS to manage the screening (i.e., background, identity, and security check) process in support of the adjudication of USCIS benefit requests, in a pre-decisional and deliberative process. The information can be collected as a part of an automatic collection or manual collection, as described in Section 2.2.

FDNS uses commercial and publicly available sources, as well as information from other federal, state, and local government sources, to verify information provided by the individual/applicant or his/her petitioner or representative, support or refute indications of fraudulent behavior, and identify any public safety concerns or nexus to known or suspected terrorists in the processing of the individual/applicant's benefit request, pursuant to the Immigration and Nationality Act.²⁹

Case Management

FDNS-DS performs case management by recording, tracking, and managing the processes associated with detecting fraud, egregious or non-egregious public safety, and national security concerns. FDNS-DS is the central repository for all data gathered during the processes of performing screening on benefit request forms or applications received, performing administrative investigations, and conducting studies of benefit fraud rates and trends.

Studies Related to Benefit Fraud and Trends

FDNS uses FDNS-DS data to produce studies related to benefit fraud and trends.³⁰ Identification of fraud patterns and trends support operational decision management and inform future rules-based referrals.³¹

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.

Yes. FDNS is incorporating predictive analytics into FDNS-DS to assist in prioritizing the workload. Predictive technology is applied to known derogatory holdings (e.g., background check

²⁹ 8 U.S.C. Section 1101 *et seq.*

³⁰ See DHS/USCIS/PIA-013-01 FDNS Program, available at www.dhs.gov/privacy, for more information on the administrative inquiry process, adjudication, and BFA Process. FDNS completes administrative investigations to obtain relevant information needed to render the appropriate adjudicative decision.

³¹ See DHS/USCIS/PIA-055 SAS Predictive Modeling Environment, available at www.dhs.gov/privacy.



Homeland Security

Privacy Impact Assessment
 USCIS, Fraud Detection and National Security Data System
 Page 21

results) in order to categorize information so that the cases most likely to result in a referral for criminal action are prioritized for the most immediate review. All cases, regardless of their priority, are reviewed manually by FDNS Officers.

(U/FOUO) Currently, this technology is being used as part of a manual process in preparation for onboarding within FDNS-DS. A detailed description of how FDNS is using predictive technology, to include privacy mitigations built into this process, is found in FOUO Appendix C.

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

Yes. FDNS-DS information is accessed by or shared with employees or contractors of DHS components on a need-to-know basis. Limited U.S. Immigration and Customs Enforcement (ICE) and CBP personnel have been granted read-only access to FDNS-DS. Information sharing includes tracking interactions with ICE to determine if further law enforcement activities should be pursued. ICE and CBP must request USCIS permission to share USCIS data with external third parties.

At the time of publication of this PIA, FDNS is also working with ICE to establish a connection to improve the quality and exchange of information with ICE, consistent with the joint USCIS/ICE anti-fraud strategy discussed in the FDNS Directorate PIA. Through this connection, FDNS-DS will share information with ICE on cases that may involve egregious public safety concerns or require further criminal investigation.

Furthermore, at the request of DHS, RFIs for national security purposes from external entities are coordinated through DHS Office of Intelligence and Analysis (I&A) Single Point of Service (SPS).³²

3.4 Privacy Impact Analysis: Related to the Uses of Information

Privacy Risk: There is a risk that information contained within the FDNS-DS system is not used consistently with its original purpose and authority or that individuals may use the data inappropriately.

Mitigation: Consistent with FDNS's mission of detecting, deterring, and combating immigration benefit fraud, all information contained within FDNS-DS is used to identify and track possible benefit fraud, public safety, and national security concerns. These uses are consistent with the notice provided to individuals in the Privacy Act Statements on all USCIS forms, as well as this PIA and the corresponding SORN.

³² See DHS/ALL/PIA-044 DHS Single Point of Service Request for Information Management Tool, available at www.dhs.gov/privacy, for more information.



Homeland Security

Privacy Impact Assessment
USCIS, Fraud Detection and National Security Data System
Page 22

Consistent with USCIS and FDNS governance, user permissions are managed in a stringent manner to ensure users are only granted the privileges and access necessary to perform their job. User roles within the application will also be managed in a manner that is reflective of the need for more restrictive access. Training of users will also incorporate the appropriate use and access of data.

External users (i.e., CBP and ICE users) are granted read-only access to FDNS-DS only. USCIS shares FDNS-DS data with ICE, and in some cases with CBP, to determine if further law enforcement activities should be pursued. ICE and CBP must request USCIS permission to share USCIS data with external third parties. This ensures sharing is consistent with the routine uses allowable in the FDNS SORN.

Privacy Risk: There is a risk that SGNs may present FDNS Officers with results that may contain too many false positives, which may render the resulting data unusable or unreliable or unfairly subject individuals to further scrutiny.

Mitigation: An onboarding phase allows for a period of refining rules before they are deployed across FDNS. This onboarding phase consists of FDNS-DS users in a limited rollout receiving rule alerts through e-mail notifications.

USCIS continually tunes the rules to narrow the scope of information provided to FDNS Officers. Rigorous quality control and assurance procedures are used to adjust rules as necessary to reduce the potential for false positives. FDNS continually monitors and refines rules based on appropriate metrics. The SGN process also provides for a layer of human review to confirm SGNs are actionable prior to routing them for further case management activity.

(U/FOUO) Once sufficiently refined, the rule alerts are automatically elevated in FDNS-DS so that all users with a need-to-know can access the information.

Privacy Risk: There is a risk of an inappropriate assumption that all individuals listed within FDNS-DS have engaged in fraudulent immigration-related practices or pose a public safety or national security risk.

Mitigation: Individuals that are listed within FDNS-DS have potentially engaged in activities that require further review for potential fraud, criminal activity, public safety, and national security concerns. However, the existence of a record in FDNS-DS is not in itself considered derogatory or a reflection on the individual's eligibility for a benefit, request, or service. In determinations when potential was not realized, cases are marked with "no fraud found." Statements of Findings (SOF) or assessments will contain a summary for adjudication's use.

Privacy Risk: For certain benefits or service requests, FDNS must share the results of background, identity, and security checks or other forms of screening with other USCIS case



Homeland Security

Privacy Impact Assessment
 USCIS, Fraud Detection and National Security Data System
 Page 23

management systems in order to provide information in support of adjudications. There is a risk that data will be inaccurately copied or that it may be taken out of context.

Mitigation: The risk is partially mitigated in that FDNS-DS, as a standard practice with A-File handling, allows the ability to copy a non-changing SOF for adjudications. A SOF is an unchangeable, PDF document in FDNS-DS. In response to manual referrals made to FDNS-DS, FDNS users will complete a SOF or assessment, when required. The SOFs or assessments are shared with adjudications staff. Adjudications staff are trained on how to interpret information in the SOFs or assessments and their relevance in adjudicating immigration benefits and also coordinate closely with FDNS.

In future releases, FDNS-DS will interface with USCIS immigration case management systems to fully automate the screening process, as well as provide the background, identity, and security check results either in the form of a hit/no hit response, a summary of past screening history, or some usable form, in order to provide timely, meaningful information to adjudicative staff. The responses sent to the case management systems will be tailored to present adjudication officers with information relevant to determining the individual's eligibility for the immigration benefit or service sought.

Privacy Risk: With automating the screening process, there is a risk of recurrent screening or vetting of individuals beyond the original purpose.

Mitigation: USCIS has established a robust governance structure to ensure that screening rules are compliant with all legal and privacy requirements. New rules undergo several layers of operational, legal, privacy, and policy review before they are presented to the Deputy Director, USCIS, for final approval. Through this process, FDNS ensures that all screening activity is properly vetted and falls within USCIS's authority. All screening methods deployed are tailored to provide information that is relevant to the adjudication of a particular benefit or immigration service request. USCIS may conduct screening in situations in which USCIS has the authority to rescind, revoke, or otherwise terminate, to issue a Notice to Appear (NTA), or to refer to another government agency for criminal/civil actions. When USCIS may no longer take action on a benefit, service, or request, the screening will cease.

Privacy Risk: There is a risk that FDNS-DS users will create ATLAS rules without going through the appropriate rules review process.

Mitigation: The governance process ensures that new rules are not created or implemented within the system without review from the appropriate stakeholders, including privacy and legal review. Implementation of rules and generation of SGNs are required to be in compliance with the Privacy Act of 1974, E-Government Act of 2002, Homeland Security Act of 2002 and all DHS



Homeland Security

privacy policies. Additionally, the capture, use, and disclosure of PII through the rules process must be pursuant to applicable system of record notices and available routine uses.

Section 4.0 Notice

The following questions seek information about the project's notice to the individual about the information collected, the right to consent to uses of said information, and the right to decline to provide information.

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

In addition to the publication of this PIA, USCIS has previously published a programmatic PIA and SORN for the FDNS Directorate. FDNS-DS collects information from other USCIS systems, which also have their own PIAs and SORNs published on the DHS website.

All applications for benefits from USCIS have a Privacy Act Statement providing notice to the individual regarding the use and collection of the information and these forms state that information may be used for fraud detection. USCIS forms also notify the individual that information provided may be checked for completeness, that certain background checks may be conducted, or that USCIS may request an interview or further evidence.³³

When FDNS conducts interviews and site visits, FDNS Officers identify themselves and notify the individual or beneficiary of the reason for the interview or site visit. Notice is given to an individual's attorney when an administrative site visit or interview will occur, unless notice would jeopardize the site visit or interview.

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

USCIS benefit request forms require that an individual provide specific information that may contain sensitive PII. The failure to submit such information could impact the processing or adjudication of an application or petition and thus preclude the individual from receiving the benefit, request, or service. Therefore, through the application process, individuals have consented to the use of the information supplied in the benefit request form or application to determine their eligibility for the benefit, request, or service sought. Further, fraud assessments and background, identity, and security checks are required by regulation on all requests/applications filed with

³³ Adjudicators are responsible for making decisions regarding granting benefits.



Homeland Security

Privacy Impact Assessment
 USCIS, Fraud Detection and National Security Data System
 Page 25

USCIS. Benefits, requests, or services cannot be granted until those checks are complete, and the information submitted is essential to the conduct of those checks.³⁴

USCIS provides notice to all individuals at the time of collection through a Privacy Act Statement on all USCIS forms. Individuals are notified at the point of data collection (generally in the form itself) of the right to decline to provide the required information; however, such action may result in the denial of the individual's request.

4.3 Privacy Impact Analysis: Related to Notice

Privacy Risk: There is a risk to notice that benefit requestors will not know that FDNS will collect publicly available information about them, including information posted on public social media websites and platforms.

Mitigation: The risk has been mitigated to the extent possible because USCIS provides notice to individuals through an (e)(3) statement, the source system PIAs, the FDNS Directorate PIA, this PIA, and the associated SORNs. USCIS also provides notice of its fraud detection and national security work through its public website.³⁵

Section 5.0 Data Retention by the project

The following questions are intended to outline how long the project retains the information after the initial collection.

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

USCIS retains application information to assist in identifying individuals who threaten national security and public safety; detecting, pursuing, and deterring immigration benefit fraud; and identifying and removing systemic vulnerabilities in the process of the legal immigration system.

USCIS retains FDNS-DS records for 15 years from the date of the last interaction between FDNS personnel and the individual, no matter the determination. Records related to a person's A-File will be transferred to the A-File and maintained under the A-File retention period (N1-566-08-11). Upon closure of a case pertaining to an individual, any information that is pertinent to the adjudicative decision (such as a SOF), whether there was or was not an indication of fraud, criminal activity, public safety and national security concerns, is transferred to the associated A-File.

³⁴ As required by Title 8 U.S.C. § 1101 et seq.

³⁵ See <https://www.uscis.gov/about-us/directorates-and-program-offices/fraud-detection-and-national-security/fraud-detection-and-national-security-directorate>



Homeland Security

5.2 Privacy Impact Analysis: Related to Retention

Privacy Risk: There is a risk that data will be retained longer than necessary. This would increase the risk of unauthorized access, use, and loss of the data.

Mitigation: FDNS mitigates this risk by destroying FDNS-DS data in accordance with approved NARA records retention schedules. The 15-year retention schedule for FDNS data (N1-566-08-18) provides access to information that can be critical to research related to suspected or confirmed fraud, public safety, and national security concerns for individuals who may still be receiving immigration benefits or services. In addition, should the individual apply for another benefit, retention of the information can eliminate the need for research on concerns that were previously addressed.

Privacy Risk: There is a risk that data will be retained in FDNS-DS longer than allowed by the original source system.

Mitigation: This risk is mitigated in that FDNS-DS retains data relevant to the background check/screening process and to cases of suspected or confirmed fraud, criminal activity, public safety and national security concerns. The system's master 15-year retention period is shorter than that of many USCIS case management systems from which application data is derived.

Section 6.0 Information Sharing

The following questions are intended to describe the scope of the project information sharing external to the Department. External sharing encompasses sharing with other federal, state, and local government; and private sector entities.

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.

FDNS shares information outside of DHS when USCIS receives an RFI, when it proactively discloses based on information in the record, and when asking an outside organization for additional information related to an individual. RFIs may be received from federal law enforcement agencies (e.g., Department of Justice (DOJ) FBI, DOS), the Intelligence Community, and authorized state or local law enforcement agencies who are parties to information sharing agreements managed by DHS. USCIS provides access to the requested data through direct user accounts or through copying of data to an electronic device or medium.

Requests for information are governed by the DHS/USCIS-006 Fraud Detection and



Homeland Security

Privacy Impact Assessment
 USCIS, Fraud Detection and National Security Data System
 Page 27

National Security Records (FDNS) System of Records³⁶, the DHS/USCIS/ICE/CBP-001 Alien File, Index, and National File Tracking System of Records³⁷, or in some instances, the originating system of records notice for the underlying USCIS records, e.g., DHS/USCIS-007 Benefits Information System (BIS).³⁸ When covered by an applicable routine use and when appropriate, USCIS may share the sensitive PII listed in Section 2.1 of this PIA with federal, state, tribal, local, international, or foreign law enforcement and intelligence agencies, in response to an RFI in support of criminal and administrative investigations, and background identity and security checks involving immigrant benefit fraud, criminal activity, public safety, and national security concerns.

Through direct user account access, DOS Bureau of Consular Affairs may view a comprehensive picture of a visa applicant's status and to reduce the likelihood that an individual or group might fraudulently obtain an immigration benefit under the INA, as amended. DOS has read-only access to FDNS-DS.

Proactive disclosure based on information in the system occurs when FDNS has an indication of possible fraud, criminal activity, public safety, and national security concerns. In these cases, FDNS may proactively share information with other government entities as described under the FDNS and A-File SORNs.³⁹

RFIs for national security purposes from external entities are coordinated through DHS I&A SPS. USCIS responses are provided via government secure networks. All other requests are processed by USCIS. Responses provided by field offices are also provided via secure methods.

6.2 Describe how the external sharing noted in 6.1 is compatible with the SORN noted in 1.2.

Direct account access by DOS Bureau of Consular Affairs is covered by FDNS SORN routine use I and A-File SORN routine use O, which permits USCIS to share PII with DOS Bureau of Consular Affairs in the processing of applications for benefits. This is compatible with the original collection under the INA, which requires USCIS to administer immigration laws. Information may also be shared with DOS Bureau of Consular Affairs to provide a comprehensive picture of a visa applicant's status, and to reduce the likelihood that an individual or group might fraudulently obtain an immigration benefit under the INA, as amended.

Proactive disclosures are covered by the FDNS SORN, routine use H, which permits FDNS

³⁶ 77 FR 47411 (Aug. 8, 2012).

³⁷ 78 FR 69864 (Nov. 21, 2013).

³⁸ 73 FR 56596 (Sept. 29, 2008).

³⁹ See DHS/USCIS/ICE/CBP-001 Alien File, Index, and National File Tracking System of Records, 78 FR 69864 (November 21, 2013); DHS/USCIS-006 Fraud Detection and National Security Records (FDNS), 77 FR 47411 (August 8, 2012).



Homeland Security

Privacy Impact Assessment
 USCIS, Fraud Detection and National Security Data System
 Page 28

to share PII with federal and foreign government intelligence or counterterrorism agencies when USCIS reasonably believes there is a threat or potential threat to national or international security.

Proactive disclosures are also covered by routine use H and II of A-File SORN. Routine use H permits USCIS to share A-File information with appropriate federal, state, tribal, local, or foreign governmental agencies or multilateral governmental organizations responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license, when DHS believes the information would assist in enforcing applicable civil or criminal laws. A-File SORN routine use II permits sharing with a federal, state, local, territorial, tribal, international, or foreign criminal, civil, or regulatory law enforcement authority when the information is necessary for collaboration, coordination, and de-confliction of investigative matters, prosecutions, or other law enforcement actions to avoid duplicative or disruptive efforts and to ensure the safety of law enforcement officers who may be working on related law enforcement matters.

These disclosures are compatible with the original collection because the INA requires USCIS to investigate alleged civil and criminal violations of immigration laws, including alleged fraud with respect to applications or determinations within USCIS. In addition, the INA provides for terrorist-related bars that may serve as the basis for denial of a requested benefit. The INA also requires USCIS to make recommendations for prosecutions or other appropriate actions when deemed advisable.

6.3 Does the project place limitations on re-dissemination?

Yes. A Memorandum of Agreement (MOA) between USCIS and DOS Bureau of Consular Affairs fully outlines responsibilities of the parties, security standards, and limits of use of the information, including re-dissemination. Methods and controls over dissemination of information are coordinated between USCIS and DOS Bureau of Consular Affairs prior to information sharing. Depending on the context of other sharing, DHS may place additional controls on the re-dissemination of the information. FDNS also shares data internally via secure government networks.

A Memorandum of Understanding (MOU) between DHS and the FBI Terrorist Screening Center (TSC) for real-time screening against TSDB records also fully outlines responsibilities of the parties, security standards, and limits of use of the information, including re-dissemination.

A MOA between DHS and the National Counter Terrorism Center also fully outlines responsibilities of the parties, security standards, and limits of use of the information, including re-dissemination in accordance with the United States Attorney General Guidelines for Access, Retention, Use, and Dissemination by the National Counterterrorism Center and Other Agencies of Information in Datasets Containing Non-Terrorism Information (March 22, 2012).



Homeland Security

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

FDNS maintains a record of disclosure of FDNS-DS information provided outside of the Department in FDNS-DS. A record is kept on file of each disclosure, and system audit trail logs are maintained to identify transactions performed by both internal and external users.

As mentioned in the FDNS Directorate PIA, FDNS may receive requests for assistance from external law enforcement partners. These requests are evaluated on a case-by-case basis, and disclosures must abide by all privacy laws and legal requirements. Some FDNS Officers are detailed to partner agencies to provide assistance as immigration subject matter experts. All FDNS Officers must abide by all privacy laws and legal requirements before sharing any immigration information. Disclosures made pursuant to these requests for assistance are tracked in FDNS-DS.

Further, at the request of DHS, Requests for Information for national security purposes from external entities are coordinated and tracked through the DHS I&A SPS process.⁴⁰

6.5 Privacy Impact Analysis: Related to Information Sharing

Privacy Risk: There is a risk of misuse, unauthorized access to, or disclosure of, information.

Mitigation: As discussed above, FDNS maintains a record of each disclosure of FDNS information made to every agency in accordance with a routine use and with whom it has an information sharing agreement. Otherwise, FDNS does not share its information. A record is kept on file of each disclosure, including the date the disclosure was made, the agency to which the information was provided, the purpose of the disclosure, and a description of the data provided.

The electronic sharing of data with external agencies is conducted over government secure networks. All personnel within the receiving agency and its components are trained on the appropriate use and safeguarding of data. In addition, each external agency with whom the information is shared has policies and procedures in place to ensure there is no unauthorized dissemination of the information provided by FDNS. Any disclosure must be compatible with the purpose for which the information was originally collected and only authorized users with a need to know may have access to the information contained in FDNS-DS.

⁴⁰ See DHS/ALL/PIA-044 DHS Single Point of Service Request for Information Management Tool, available at www.dhs.gov/privacy, for more information.



Homeland Security

DHS information is covered by the third-party discovery rule, which precludes agencies outside of DHS that have received the information from DHS from sharing with additional partners without the consent of DHS:

Risks are further mitigated by provisions set forth in MOAs or MOUs with federal and foreign government agencies. Finally, United States government employees and contractors must undergo annual privacy and security awareness training.

Section 7.0 Redress

The following questions seek information about processes in place for individuals to seek redress which may include access to records about themselves, ensuring the accuracy of the information collected about them, or filing complaints.

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

Because FDNS-DS contains sensitive PII related to possible immigration benefit fraud and national security concerns, DHS has exempted FDNS from the notification, access, and amendment provisions of the Privacy Act of 1974, pursuant to 5 U.S.C. § 552a(k)(2). Notwithstanding the applicable exemptions, USCIS reviews all such requests on a case-by-case basis. When such a request is made, and access would not appear to interfere with or adversely affect the national or homeland security of the U.S. or activities related to any investigatory material contained within this system, the applicable exemption may be waived at the discretion of USCIS, and in accordance with procedures and points of contact published in the applicable SORNs.

Individuals seeking to access information maintained by FDNS should direct their requests to:

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

Requests for access to records must be in writing. Such requests may be submitted by mail or in person. If a request for access is made by mail, the envelope and letter must be clearly marked "Privacy Act Request" to ensure proper and expeditious processing. The requester should provide his or her full name, date and place of birth, and verification of identity in accordance with



Homeland Security

DHS regulations governing Privacy Act requests (found at 6 CFR Part 5.21), and any other identifying information that may be of assistance in locating the record.

The information requested may, however, be exempt from disclosure under the Privacy Act because FDNS records, with respect to an individual, may sometimes contain law enforcement sensitive information. The release of law enforcement sensitive information could possibly compromise ongoing criminal investigations.

Additional information about Privacy Act and Freedom of Information Act (FOIA) requests for USCIS records can be found at <http://www.uscis.gov>.

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

As stated above, individuals may use the Freedom of Information Act/Privacy Act process to request access to and correction of records maintained about them. The data accessed by FDNS-DS from underlying USCIS source systems may be corrected by means of the processes described in the PIAs and SORNs for those systems. In the event inaccuracies are noted, files and FDNS-DS records may be updated.

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

Individuals are notified of the procedures for correcting their information on USCIS forms, the USCIS website, and by USCIS personnel who interact with individuals in the course of processing requests for benefits or services. Furthermore, this PIA and the respective SORNs serve as notice to individuals.

7.4 Privacy Impact Analysis: Related to Redress

Privacy Risk: There is a risk that individuals may be able to access, correct, or make amendments to records in the source systems, but may not be able to do so for their records maintained in FDNS-DS due to the Privacy Act exemptions claimed.

Mitigation: While FDNS maintains pre-decisional, deliberative information in FDNS-DS, individuals may still request access to records that USCIS maintains about them. Notice on how to file a Privacy Act request about records contained in maintained by FDNS is provided by this PIA and the FDNS SORN. Individuals can request access to information about them through the Privacy Act and FOIA process, and may also request that their information be amended by contacting the National Records Center. The nature of FDNS-DS and the data it collects, processes, and stores is such that it limits the ability of individuals to access or correct their information. Each request for access or correction is individually evaluated.



Homeland Security

Section 8.0 Auditing and Accountability

The following questions are intended to describe technical and policy based safeguards and security measures.

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

Access and security controls have been established to mitigate privacy risks associated with authorized and unauthorized uses, specifically misuse and inappropriate dissemination of data. Access to FDNS-DS is generally read-only. Some FDNS-DS users have "read," "write," and "modify" privileges. All account access and privileges are approved by the USCIS business owner. When employment at USCIS is terminated or an employee's responsibilities no longer require access to FDNS-DS, access privileges are removed.

Audit trails are kept in order to track and identify unauthorized uses of FDNS-DS information. The audit trails include the ability to identify specific records each user accesses. A warning banner is provided at all access points to inform users of the consequences associated with unauthorized use of information. The banner warns authorized and unauthorized users about the appropriate uses of the system, that the system may be monitored for improper use and illicit activity, and the penalties for inappropriate usage and non-compliance. A user must click on the agreement to proceed with login.

In addition, user access to FDNS-DS is limited to personnel who need the information to perform their job functions. Only users with proper permissions, roles, and security attributes are authorized to access the system. Each user is obligated to sign and adhere to a user access agreement, which outlines the appropriate rules of behavior tailored for FDNS-DS. The system administrator is responsible for granting the appropriate level of access. Finally, all employees are trained on the use of information in accordance with DHS policies, procedures, regulations, and guidance.

FDNS conducts continuous security assessments of FDNS-DS in accordance with FISMA requirements. Furthermore, FDNS-DS complies with the DHS 4300A security guidelines, which provide hardening criteria for securing networks, computers, and computer services against attack and unauthorized information dissemination. Additionally, FDNS is subject to random Office of Inspector General (OIG) or any DHS assigned third-party security audits.



Homeland Security

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

FDNS-DS users receive the required annual Computer Security Awareness training and Privacy Act Awareness training. In addition, users receive training in the use of FDNS-DS prior to being approved for access to the system. The training addresses the use of the system and appropriate privacy concerns, including Privacy Act obligations (e.g., SORNs, Privacy Act Statements). FDNS Officers also have several mandatory, job-specific training requirements that include discussions on Privacy Act obligations and other restrictions on disclosure of 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?

Users receive access to FDNS-DS only on a need-to-know basis. This need-to-know is determined by the individual's current job functions. Users may have read-only access to the information if they have a legitimate need to know as verified by their supervisor and the FDNS-DS business owner, and have successfully completed all required training.

A user requesting access must complete and submit Forms G-872A and B, *USCIS and End User Application for Access*. This application provides the justification for the level of access requested. Additionally the requestor signs the USCIS Rules of Behavior before access is granted. The requestor's supervisor and the FDNS-DS business owner will review this request; if approved, the requestor's access level is independently confirmed and the user account established.

Criteria, procedures, controls, and responsibilities regarding FDNS-DS systems access are contained in the Sensitive System Security plan for FDNS-DS. Additionally, there are several department and government-wide regulations and directives that provide additional guidance and direction.

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?

MOAs and MOUs between USCIS and other components of DHS, as well as MOAs and MOUs between USCIS or DHS and other agencies, define information sharing procedures for data maintained by FDNS. MOAs and MOUs document the requesting agency or component's legal authority to acquire such information, as well as USCIS's permission to share in its use under the legal authority granted. All MOAs and MOUs must be reviewed by the program and all applicable parties.



**Homeland
Security**

Privacy Impact Assessment
USCIS, Fraud Detection and National Security Data System
Page 34

Responsible Officials

Donald K. Hawkins
U.S. Citizenship and Immigration Service
Privacy Officer
Department of Homeland Security

Approval Signature

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

Karen L. Neuman
Chief Privacy Officer
Department of Homeland Security



(U//FOUO)

APPENDIX A

List of Systems of Records Researched during the Screening Processes and Tracked in FDNS-DS

Below is a list of systems, both internal and external, that exchange data with FDNS-DS, including those used to support screening through ATLAS.

U.S. Citizenship and Immigration Services (USCIS) Systems

- National Benefit Center Process Workflow Repository (NPWR)⁴¹ to facilitate screening on certain form types being processed through the National Benefit Center, Background Check Unit;

(U//FOUO) ATLAS is the conduit to perform TECS checks and return those results to NPWR.

- PIA: TBD
- SORN: TBD

- Service Center Computer Linked Application Information Management System (SCCLAIMS)⁴² to facilitate screening on forms processed in Computer Linked Application Information Management System (CLAIMS 3);

(U//FOUO) Through an automated connection to SCCLAIMS, ATLAS receives information from both biographic and biometric-based checks and performs screening to produce system generated notifications (SGNs).

- PIAs:
 - FDNS Directorate⁴³
 - CLAIMS 3⁴⁴

- CLAIMS 4;

⁴¹ NPWR is covered under DHS/USCIS/PIA-016(a) Benefits Processing of Applicants other than Petitions for Naturalization (CLAIMS 3).

⁴² SCCLAIMS is a mirror copy of CLAIMS 3 data.

⁴³ See DHS/USCIS/PIA-013(a) FDNS Directorate, available at www.dhs.gov/privacy.

⁴⁴ See DHS/USCIS/PIA-016(a) CLAIMS 3 and Associated Systems, available at www.dhs.gov/privacy.



Homeland Security

Privacy Impact Assessment
USCIS, Fraud Detection and National Security Data System
Page 36

(U//FOUO) At present, ATLAS receives information from biometric-based checks and performs screening to produce SGNs. ATLAS does not connect directly to or return information to CLAIMS 4.

(U//FOUO) FDNS is developing a connection to CLAIMS 4 to allow further options for invoking ATLAS's screening capability as described in this PIA.

- PIA: CLAIMS 4⁴⁵
- SORN: Benefits Information System (BIS)⁴⁶

- Electronic Immigration System (ELIS):

(U//FOUO) At present, ATLAS receives information from biometric-based checks and performs screening to produce SGNs. ATLAS does not connect directly to or return information to ELIS 2.

(U//FOUO) FDNS is developing a connection to ELIS 2 to allow further options for invoking ATLAS's screening capability as described in this PIA.

- PIA: ELIS⁴⁷
- SORN: Benefits Information System (BIS)⁴⁸

- Case and Activity Management for International Operations (CAMINO):

(U//FOUO) At present, ATLAS receives information from biometric-based checks and performs screening to produce SGNs. ATLAS does not connect directly to or return information to CAMINO.

- PIA: CAMINO⁴⁹
- SORN:
 - A-File, Index, and National File Tracking System⁵⁰
 - Background Check Service⁵¹
 - Intercountry Adoptions Security⁵²
 - BIS

⁴⁵ See DHS/USCIS/PIA-015 CLAIMS 4 and subsequent updates, available at www.dhs.gov/privacy.

⁴⁶ 73 FR 56596 (Sept. 29, 2008).

⁴⁷ See DHS/USCIS/PIA-056 USCIS ELIS available at www.dhs.gov/privacy.

⁴⁸ 73 FR 56596 (Sept. 29, 2008).

⁴⁹ See DHS/USCIS/PIA-051 CAMINO, available at www.dhs.gov/privacy.

⁵⁰ 78 FR 69864 (Nov. 21, 2013).

⁵¹ 72 FR 31082 (June 5, 2007).

⁵² 72 FR 31086 (June 5, 2007).



Homeland Security

Privacy Impact Assessment
USCIS, Fraud Detection and National Security Data System
Page 37

o. Asylum Information and Pre-Screening (AIPS)⁵³

- Refugees, Asylum, and Parole System and the Asylum Pre-Screening System (RAPS/APSS);⁵⁴

(U//FOUO) At present, ATLAS receives information from biometric-based checks and performs screening to produce SGNs. ATLAS does not connect directly to or return information to RAPS/APSS.

- o PIA: RAPS/APSS⁵⁵
- o SORN: AIPS⁵⁶

- Marriage Fraud Assurance System (MFAS);

(U//FOUO) At present, ATLAS receives information from biometric-based checks and performs screening to produce SGNs. ATLAS does not connect directly to or return information to MFAS.

- o PIA: CLAIMS 3⁵⁷
- o SORN:
 - o A-File, Index, and National File Tracking System
 - o Background Check Service
 - o BIS

- Adoption Case Management System (ACMS);

(U//FOUO) At present, ATLAS receives information from biometric-based checks and performs screening to produce SGNs. ATLAS does not connect directly to or return information to ACMS.

- o PIA: Forthcoming ACMS PIA
- o SORN: Intercountry Adoptions Security⁵⁸

⁵³ 80 FR 74781 (November 30, 2015).

⁵⁴ See DHS/USCIS/PIA-027 RAPS/APSS, and subsequent updates, available at www.dhs.gov/privacy.

⁵⁵ See DHS/USCIS/PIA-027 RAPS/APSS, and subsequent updates, available at www.dhs.gov/privacy.

⁵⁶ 80 FR 74781 (November 30, 2015).

⁵⁷ See DHS/USCIS/PIA-016(a) CLAIMS 3 and Associated Systems, available at www.dhs.gov/privacy.

⁵⁸ 72 FR 31086 (June 5, 2007).



Homeland Security

- USCIS Lockbox⁵⁹ to retrieve data from digitized forms;
 - PIA: Benefit Request Intake Process⁶⁰
 - SORN:
 - A-File, Index, and National File Tracking System
 - Background Check Service
 - BIS
 - Intercountry Adoptions Security
 - AIPS⁶¹
 - Collections Records--Treasury/Financial Management Service⁶²
- Person Centric Query Service (PCQS) to retrieve status information from the Central Index System (CIS):
 - PIA: PCQS⁶³
 - SORN: See PCQS PIA Appendices for associated SORNs
- National File Tracking System (NFTS) to retrieve the physical locations of A-files:
 - PIA: NFTS⁶⁴
 - SORN: A-File-SORN
- Customer Profile Management System (CPMS) to retrieve data associated with biographic and biometric screening.
 - PIA: CPMS⁶⁵
 - SORN:
 - Background Check Service
 - Biometric Storage System⁶⁶

⁵⁹ See DHS/USCIS/PIA-003(a) Integrated Digitization Document Management Program (IDDMP), available at www.dhs.gov/privacy.

⁶⁰ See DHS/USCIS/PIA-061 Benefit Request Intake Process, available at www.dhs.gov/privacy.

⁶¹ 80 FR 74781 (November 30, 2015).

⁶² Treasury/FMS.017 - Revenue Collections Records, 74 FR 23006 (May 15, 2009).

⁶³ See DHS/USCIS/PIA-010 Person Centric Query Service (PCQS), available at www.dhs.gov/privacy.

⁶⁴ See DHS/USCIS/PIA-032 National File Tracking System (NFTS) available at www.dhs.gov/privacy.

⁶⁵ See DHS/USCIS/PIA-060 Customer Profile Management Service, available at www.dhs.gov/privacy.

⁶⁶ 72 FR 17172 (April 6, 2007).



Homeland Security

Privacy Impact Assessment
 USCIS, Fraud Detection and National Security Data System
 Page 39

Other Department of Homeland Security (DHS) Component System Interfaces

- DHS Automated Biometric Identification System (IDENT⁶⁷) to retrieve data associated with biometric screening:
 - PIA: IDENT⁶⁸
 - SORN: IDENT⁶⁹

- U.S. Customs and Border Protection (CBP) TECS system, to perform screening, including checks against the Federal Bureau of Investigation, National Crime Information Center (NCIC):
 - PIA: TECS⁷⁰
 - SORN: CBP TECS⁷¹

- CBP Automated Targeting System-Passenger (ATS-P) and UPAX:
 - PIA: ATS-P⁷²
 - SORN: ATS⁷³

- DHS Watchlist Service for real-time screening against Terrorist Screening Data Base (TSDB) records; and
 - PIA: FDNS WLS PIA Update⁷⁴
 - SORN: DHS WLS SORN⁷⁵

- DHS Email as a Service (EaaS) Simple Mail Transfer Protocol (SMTP) server for email.
 - PIA: E-mail Secure Gateway⁷⁶

⁶⁷ See DHS/NPPD/PIA-002 Automated Biometric Identification System (IDENT), available at www.dhs.gov/privacy.

⁶⁸ See DHS/NPPD/PIA-002 Automated Biometric Identification System (IDENT), available at www.dhs.gov/privacy.

⁶⁹ 72 FR 31080 (June 5, 2007).

⁷⁰ See DHS/CBP/PIA-009 TECS System: CBP Primary and Secondary Processing, available at www.dhs.gov/privacy.

⁷¹ 73 FR 77778 (December 19, 2008).

⁷² See DHS/CBP/PIA-006(b) Automated Targeting System (ATS), available at www.dhs.gov/privacy.

⁷³ 77 FR 30297 (May 22, 2012).

⁷⁴ DHS/USCIS/PIA-027(e) DHS Watchlist Service, available at www.dhs.gov/privacy.

⁷⁵ 81 FR 19988 (April 6, 2016).

⁷⁶ See DHS/ALL/PIA-012 E-mail Secure Gateway and subsequent updates, available at www.dhs.gov/privacy.



Homeland Security

Privacy Impact Assessment
USCIS, Fraud Detection and National Security Data System
Page 40

- SORN:
 - General Information Technology Access Account Records System (GITAARS)⁷⁷
 - General Personnel Records⁷⁸

Other DHS Component Systems Accessed (Manually)

- CBP Analytical Framework for Intelligence (AFI)
 - PIA: AFI⁷⁹
 - SORN: AFI for Intelligence System⁸⁰

- CBP Arrival and Departure Information System (ADIS)
 - PIA: ADIS⁸¹
 - SORN: ADIS⁸²

- ICE Student and Exchange Visitor Information System II (SEVIS)
 - PIA: SEVIS II⁸³
 - SORN: SEVIS⁸⁴

- ICE ENFORCE Alien Removal Module
 - PIA: Enforcement Integrated Database (EID)⁸⁵
 - SORN: Immigration and Enforcement Operational Records System (ENFORCE)⁸⁶

⁷⁷ 77 FR 70792 (November 27, 2012).

⁷⁸ 77 FR 73694 (December 11, 2012).

⁷⁹ See DHS/CBP/PIA-010 AFI, available at www.dhs.gov/privacy.

⁸⁰ 77 FR 13813 (June 7, 2012).

⁸¹ See DHS/CBP/PIA-24 Arrival and Departure System (ADIS), available at www.dhs.gov/privacy.

⁸² 80 FR 72081 (November 18, 2015).

⁸³ See DHS/ICE/PIA-001(a) Student and Exchange Visitor Information System II (SEVIS), available at www.dhs.gov/privacy.

⁸⁴ 75 FR 412 (January 5, 2010).

⁸⁵ See DHS/ICE/PIA-015 Enforcement Integrated Database (EID) and subsequent updates, available at www.dhs.gov/privacy.

⁸⁶ 80 FR 24269 (April 30, 2015).



Homeland Security

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APPENDIX B Rules/Patterns

Background:

FDNS has developed a screening module within the Fraud Detection and National Security Data System (FDNS-DS) called ATLAS. ATLAS uses event-based screening rules to detect indicators of fraud, public safety, and national security concerns in forms submitted to USCIS and to identify potentially derogatory information related to those forms.

When information either provided by the individual or otherwise obtained through the screening process matches a rule, ATLAS produces an alert in the form of a system generated notification (SGN), which is elevated for manual review for validity and triage prior to entering the formal FDNS-DS case management process.

There are five event-based screening rules in operation today, which were approved by the USCIS Deputy Director for deployment in ATLAS. Some rules have multiple Patterns applied to them, which are associated with known patterns of fraud, criminal, or terrorist activity.

ATLAS Screening Rules/Patterns

Rule	Pattern	Description
182	NIC-T Pattern	Biographic information corresponds to TECS record associated with suspected terrorists.
183	B10 Pattern-KST	Biographic information corresponds to TECS record associated with a Known Suspected Terrorist (KST).
	B10 Pattern-Non-KST	Biographic information corresponds to TECS record associated with a National Security Concern, but is not a KST.
	Non-B10 Pattern	Biographic information corresponds to TECS record associated with a National Security Concern, but is not a B10.
	Retroactive Screening List (RSS) Holist Pattern	A# associated to a benefit filing or biometric enrollment encounter matches an A# on the Retroactive Screening Holist.
210	Public Safety DOD Pattern	Biometric information submitted to USCIS corresponds to a Department of Defense IDENT record with differing biographic information.
	DACA EPS	Biometric information submitted to USCIS corresponds to DACA recipients with a criminal history or recent arrest by local, state, and federal LEAs.
	ICE-P1-DSXO	Biometric information or A# submitted to USCIS corresponds to an ICE deported aggravated felon Holist.
220	Multiple Identities Pattern	Mismatch of biographic information against the same PIN in IDENT after a biometric encounter.
	Anders Fraud Scheme (AFS/FFS) Holist Pattern	A# associated to a benefit filing or biometric enrollment encounter matches an A# associated with the Anders/Figueroa Fraud Scheme.
287	Operation Fiction Writer (OFW) Holist Pattern	A# associated to a benefit filing or biometric enrollment encounter matches an A# associated with the Operation Fiction Writer Fraud Scheme.

Core Capabilities Supported:



Homeland Security

Operational Decision Making/Complex Event Processing

Privacy Mitigation:

FDNS has developed a robust governance process to ensure new rules comply with all legal, policy, and privacy requirements. Stakeholders identify new rules or enhancements to existing rules through the Screening and Case Management Integrated Product Team for validation. New rules are promoted to the Overarching Integrated Product Team / Executive Steering Committee for review and approval, which includes executive membership from the Office of Chief Counsel and Office of Privacy. Finally, new rules must be approved by the Deputy Director of USCIS prior to development and implementation within FDNS-DS's ATLAS screening module.

USCIS continually tunes existing rules to narrow the scope of information provided to FDNS-DS users. Rigorous quality control and assurance procedures are used to adjust rules, as necessary, to reduce the potential for false positives.

An onboarding phase allows for a period of refining rules before they are deployed across FDNS. This onboarding phase consists of FDNS-DS users in a limited rollout receiving rule alerts through email notifications. Once sufficiently refined, the rule alerts are automatically elevated in FDNS-DS so that all users with a need-to-know can access the information. FDNS continually monitors and refines rules based on appropriate metrics.

Finally, to mitigate the risk of recurrent vetting of individuals, USCIS policies define when USCIS may conduct screening on individuals who have pending benefit requests, applications, or petitions, as well as those instances in which USCIS may conduct screening consistent with the INA. These policies ensure that screening occurs only when USCIS has the authority to adjudicate a benefit, service, or request or otherwise has the authority to rescind, revoke, or otherwise terminate, to issue a Notice to Appear (NTA), or to refer to another government agency for criminal/civil actions.



Homeland Security

Privacy Impact Assessment
USCIS, Fraud Detection and National Security Data System
Page 43

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APPENDIX C

FDNS-DS/ATLAS is in agile development environment with new capabilities being introduced in an incremental approach based on operational necessity or at the request of the user community. USCIS FDNS will submit a Privacy Threshold Analysis (PTA) for possible inclusion in this appendix. In certain instances, a new PIA or SORN may be required.

All projects listed in this appendix fall within the seven core capabilities for which FDNS was approved by USCIS leadership to develop within FDNS-DS's screening module, ATLAS: (1) Predictive Analytics; (2) Link and Forensic Analysis; (3) Unstructured and Structured Analytics; (4) Intelligent Investigative Case Management; (5) Operational Decision Management; (6) Information Sharing and Collaboration; and (7) Entity Analytics.

IDENT Watchlisting

Summary/Background:

Among FDNS's priorities are improving the data collection, analysis, reporting, and dissemination to identify and mitigate fraud, public safety, and national security risks and ensuring timely, accurate, and reliable information and intelligence exchange with our internal and external stakeholders. The FDNS Program Management Office supports these efforts through implementing new technologies to optimize the processing of information.

FDNS has established an interface to allow certain FDNS users to promote individuals (by USCIS Encounter⁸⁷) to the IDENT Watchlist from within the FDNS-DS system. This feature is only available for ATLAS Rule 220 SGNs (e.g., alerts produced when an individual's biometrics are associated with more than one biographic identity in IDENT) when an administrative investigation has been completed with a Statement of Findings confirming "Fraud Found."

Core Capabilities Supported:

Operational Decision Management; Information Sharing and Collaboration

Data Elements:

This process does not collect new data elements, but does involve review of all case data available in FDNS-DS. Specific data elements used to perform data validation include: Encounter Identification Number (EID), Fingerprint Identification Number (FIN)

⁸⁷ A USCIS Encounter refers to each time USCIS enrolls an individual's biometrics in IDENT.



Homeland Security

Population:

Any USCIS benefit or request that requires biometric screening.

Vetting/Process:

IDENT Watchlist promotion is the final step in the life of an ATLAS Rule 220 SGN that resulted in a Statement of Findings indicating "Fraud Found." Before a user can promote a USCIS Encounter to the IDENT Watchlist through FDNS-DS, the following must have occurred:

- ATLAS Rule 220 triggered when screening against IDENT revealed more than one biographic identity associated with a single biometric identifier.
- ATLAS produced Rule 220 SGN that was validated and found to be actionable by a FDNS Gatekeeper and entered into the formal FDNS-DS case management process.
- A FDNS Officer performed an administrative investigation, confirmed fraud, and issued Statement of Findings indicating "Fraud Found."
- The FDNS Officer confirmed all criteria for watchlisting in IDENT has been met.

Once the criteria above have been met, the user may promote the USCIS Encounter record associated with the SGN to the IDENT Watchlist. The user selects a record in FDNS-DS and then must visually confirm that the EID and FIN information in that record match the EID and FIN of the IDENT response. These fields are not editable by the user during this process; they only serve to provide validation that the user has selected the correct record for IDENT Watchlist promotion. Once confirmed, the user submits the record and receives a built-in system prompt asking for a second confirmation prior to performing the watchlist promotion action.

A very limited number of users have been approved to use this functionality within FDNS-DS. These users are primarily FDNS Officers and National Benefit Center, Background Check Unit Officers whose supervisors nominated them for access based on operational need and their specific job functions and their role in resolving Rule 220 cases.

Privacy Mitigation:

FDNS recognizes that, once a USCIS Encounter is promoted to the IDENT Watchlist, the reverse process is not automated, posing a risk to data integrity should it turn out the individual was erroneously placed on the watchlist. For this reason, only a very limited number of users are approved to use this functionality within FDNS-DS. Users are validated by their supervisors to have a business need based on current job functions and approved by the FDNS-DS business and system owner prior to being granted access. Additionally, FDNS follows DHS criteria for watchlisting in IDENT and has issued specific guidance on procedures for IDENT watchlisting, as well as how to correct a record in IDENT, which may involve removing an Encounter from the



Homeland Security

Privacy Impact Assessment
USCIS, Fraud Detection and National Security Data System
Page 45

IDENT Watchlist.

While FDNS cannot make public specific operational procedures, individuals are provided notice through various USCIS PIAs and the DHS IDENT PIA⁸⁸ to provide transparency about the fingerprint check processes and use of that information. Individuals may seek redress through the DHS established redress program, which allows individuals to request a review of their records in IDENT when it is believed to be inaccurate.

⁸⁸ See DHS/NPPD/PIA-002 Automated Biometric Identification System (IDENT) PIA, available at www.dhs.gov/privacy, for more information.



Homeland Security

Case Prioritization and Intelligence Assessment (CPIA) Workflow

Summary/Background:

Historically, the FDNS Intelligence Division, Case Prioritization and Intelligence Assessment (CPIA) Branch has maintained a tracker in the USCIS Enterprise Collaboration Network (ECN)⁸⁹ used to prioritize Controlled Application Review and Resolution Program (CARRP)⁹⁰ cases that are pending immigration adjudication decisions. CARRP cases are those in which the background, identity, and security check process identified a National Security (NS) concern, requiring additional review.

A decision was made to build a CPIA workflow process into the FDNS-DS case management system to replace the existing ECN tracker. This will increase collaboration among the officers in the CPIA Branch and other FDNS stakeholders involved in the administrative review process and eliminate the need to maintain the CPIA process tracking information and related case information in two separate systems.

Core Capabilities Supported:

Intelligent Investigative Case Management

Data Elements:

The following are data elements captured during the CPIA process:

- Location (current USCIS office location where the FDNS-DS National Security (NS) Concerns record is assigned), including specific region and district;
- NS Concern Number (unique auto-generated FDNS-DS NS Concerns record number);
- Subject Alien Registration Number (ARN), Last Name, First Name; and Middle Name;
- Date and Country of Birth;
- Form Type (e.g., N-400, I-485, I-130);
- Category Code (e.g., Known and Suspected Terrorist (KST), Non-KST, TIP, T99);
- RFA Information;
- Case Analysis and Threat Summary (CATS) Number and Published Date;
- Intelligence Threat Profile (ITP) Number;

⁸⁹ See PIA for FDNS CPIA ECN Tracker, adjudicated June 16, 2015.

⁹⁰ A description of the CARRP process, which applies to cases for which there is an articulable link to a National Security concern, is available in the Law Enforcement Sensitive version of the DHS/USCIS/PIA-013-01 FDNS Program.



Homeland Security

Privacy Impact Assessment
USCIS, Fraud Detection and National Security Data System
Page 47

- CPIA Status (e.g., Incoming, Scoring, Referrals);
- Scorecard Information (e.g., Scores, Dates);
- Disposition and Review Information; and
- Attachments, which may include the CATS or copies of unclassified message traffic related to the subject of the FDNS-DS record.

Population:

Any USCIS benefit or request in which, during the routine process of adjudicating any USCIS benefit, NS concerns are raised, either based on background, identity, and security checks or personal interviews or testimony.

Vetting/Process:

FDNS has incorporated the CPIA process into the overall FDNS-DS case management process by developing a specific workflow process to manage the CPIA business process. The CPIA workflow manages the process of prioritizing CARRP cases for review, which includes tracking of status information related to the production of two unique products of the CPIA business process: (1) scorecard; and, if applicable, (2) the Intelligence Threat Profile (ITP).

Scorecard: The CPIA Branch prepares a scorecard for each CPIA record in the classified Homeland Top Secret Network (HTSN). The scorecard is person-centric, and the total score is used to prioritize NS cases for adjudicative action. The CPIA Branch uses FDNS-DS to track each phase for processing a case, but the scorecards are processed and stored on HTSN.

ITP: ITPs are classified and used to support USCIS Senior Leadership and the Deputy Director when cases are presented to determine whether USCIS should grant or deny an immigration benefit to an individual with confirmed NS concerns.

ITPs address available derogatory information associated with cases confirmed to have a national security concern. ITPs do not typically address the in-depth immigration history of a case, but are intended to review and summarize the derogatory information related to a national security concern. The intended audience of an ITP may include, but is not limited to: the Secretary of DHS (S1); DHS Under Secretary for Intelligence; Director, USCIS (D1); Deputy Director, USCIS (D2); ICE Officials; or FBI Officials. ITPs are prepared in document form and are briefed or distributed via email to a limited number of recipients.

ITPs are primarily used to assist USCIS Senior Leadership in assessing national security risks associated with individual cases that have filed for immigration benefits. FDNS Senior Leadership may also task the CPIA Branch to prepare an ITP on an ad-hoc basis. The ITP is prepared and stored on HTSN. The CPIA Branch uses FDNS-DS to track each phase of an ITP.



Homeland Security

Within FDNS-DS's case management, the CPIA workflow is manually triggered when a FDNS user working an active, confirmed⁹¹ NS case requests CPIA review. This creates a CPIA record and produces an alert accessible only to CPIA Officers (or CPIA users). All analytical work occurs outside of FDNS-DS in HTSN, as described above. All results are maintained in HSTN, while status information may be updated in FDNS-DS. Finally, upon conclusion of the CPIA process, the CPIA user routes the case back to primary user assigned to the case.

Privacy Mitigation:

The addition of a CPIA workflow process in FDNS-DS increases collaboration among stakeholders in the review process for NS cases and also maintains the security controls that were in place in the stand-alone process managed through the USCIS ECN. The scorecard and ITP processes are maintained in HTSN and are not interfiled with FDNS-DS case management data.

The CPIA workflow was added to the NS Concern tab in FDNS-DS, which is only accessible to CPIA users with a role in reviewing and vetting such cases. Only CPIA users have access to review and augment the system with the results of their findings.

⁹¹ NS cases that are not confirmed will not be scored.



**Homeland
Security**

Privacy Impact Assessment
USCIS, Fraud Detection and National Security Data System
Page 49

**Predictive Analytics:
National Benefit Center, Background Check Unit
Prioritization of FBI Fingerprint Check Results for the Form I-90**

Summary:

FDNS is incorporating predictive analytics into ATLAS to assist in prioritizing the FDNS workload. This predictive technology is applied to known derogatory holdings (e.g., background check results) in order to categorize information so that the cases most likely to result in a referral for criminal action are prioritized for the most immediate review. As part of the onboarding phase and prior to implementation within ATLAS's automated process, FDNS is using a manual solution that applies a predictive algorithm to operationally relevant data, in a standalone environment. All cases, regardless of their priority, are reviewed manually by FDNS Officers.

Background:

It is estimated that close to 80% of organized data is in an unstructured environment making it difficult to extract relevant information from massive amounts of data. As part of USCIS's plans to enhance its screening capabilities, FDNS plans to use unstructured analytics to extract information, such as entities and patterns, from multiple data sets that can be used for resolution and visualization, and predictive analytics to determine the likelihood that the data will result in referral for further action.

FDNS is using both unstructured and predictive analytics in an isolated environment, applied to operationally relevant data as part of the onboarding of a solution that can be deployed within ATLAS. This solution is currently being used to support the National Benefit Center (NBC), which faces a backlog of Form I-90, *Application to Replace Permanent Resident Card* applications and their associated Federal Bureau of Investigation (FBI) Fingerprint Check results, known as the Identity History Summary (IdHS) and formerly known as the Record of Arrest and Prosecution (RAP) sheet. The NBC is required to review these results for potential for crimes involving moral turpitude (CIMT)⁹², which could constitute grounds for inadmissibility under INA section 212(a)(2)(A)(i)(I).

Form I-90 applications, which may be filed online or in paper form, are processed in the USCIS Electronic Immigration System (ELIS)⁹³ system and are routed to the appropriate Service Center to perform initial validation and background, identity, and security checks. Specifically, Form I-90 applicants are screened through TECS and, if the applicant is aged 14 or older, a FBI Fingerprint Check. If there is a hit or derogatory information resulting from these checks, the

⁹² A definition for CIMT may be found in the USCIS Policy Manual, available at <http://www.uscis.gov/policymanual/HTML/PolicyManual-Volume12-PartF-Chapter5.html>

⁹³ See DHS/USCIS/PIA-056 USCIS ELIS, available at www.dhs.gov/privacy.



Homeland Security

Privacy Impact Assessment
 USCIS, Fraud Detection and National Security Data System
 Page 50

applications are routed to the NBC for resolution. The NBC also works with FDNS to resolve fraud, public safety, and national security concerns.

Any derogatory information resulting from a FBI Fingerprint Check is received in the form of the IdHS (or RAP) sheet. NBC Background Check Unit (BCU) Officers query Customer Profile Management Service (CPMS)⁹⁴ to obtain the IdHS sheets and conduct manual reviews to determine if there are crimes that present Egregious Public Safety (EPS) concerns (e.g., murder, rape, illicit trafficking in firearms, alien smuggling, human rights violators) that would require a referral to U.S. Immigration and Customs Enforcement⁹⁵.

Although the above checks are conducted on Form I-90 applicants, they are not used as criteria for making an adjudicative decision on the replacement of the Permanent Resident Card; the IdHS sheet is only used for adjudicative purposes if there is a final order of removal for the individual. Consequently, there is a large volume of applications, many of which have already been adjudicated, and a growing backlog of associated IdHS sheets pending BCU Officers' review. This has created the need to prioritize the IdHS sheets in the backlog with the most serious offenses elevated for review first.

To assist the NBC with prioritizing the backlog, FDNS has developed an algorithm that uses predictive analytics to those IdHS sheets most likely to result in a Referral to ICE based on public safety concerns.

Core Capabilities Supported:

Predictive Analytics; Unstructured Data Analytics

Data Elements:

The project uses unstructured data (text) analytics to review text within IdHS (or RAP) sheets and to categorize and prioritize the sheets for review using key words or terms as indicators of criminal/public safety concerns. The types of PII that may be found within a IdHS (or RAP sheet) include FBI Number and the unstructured data contained in the associated FBI IdHS sheet, which includes name, DOB, gender, race, height, eye color, hair color, weight, birth place, citizenship, fingerprint pattern. The IdHS may also contain crimes committed, arrests, charges, and their associated details.

Population:

Form I-90, *Applications to Replace Permanent Resident Card* applicants.

⁹⁴ See DHS/USCIS/PIA-060 Customer Profile Management Service, available at www.dhs.gov/privacy.

⁹⁵ See USCIS Policy Memorandum 602-0050, "Revised Guidance for the Referral of Cases and Issuance of Notice to Appear (NTAs) in Cases Involving Inadmissible and Removable Aliens" available at <http://connect.uscis.dhs.gov/org/OFO/Documents/PM-602-0050.pdf>



Homeland Security

Privacy Impact Assessment
 USCIS, Fraud Detection and National Security Data System
 Page 51

Vetting/Process:

This project does not change the actual screening/vetting process for the Form I-90. The proposed process uses predictive analytics in an isolated environment to analyze data found within the FBI Fingerprint Check results (IdHS) and to prioritize those results for BCU Officers' review.

NBC BCU Officers reviewing the applications and associated IdHS sheets are looking to classify them into four "buckets" by looking for certain key words that represent different types of crime. The buckets are prioritized by the level of egregiousness. An initial batch of key words/search terms and buckets were supplied by NBC BCU Officers to develop the model. These terms were further refined based on testing results by both the NBC and FDNS. New terms were also identified through the use of SQL Server to select the terms most closely associated with each of the buckets. The initial buckets and their respective key words/search terms are as follows:

1. Fiery Hot Egregious Public Safety (FHEPS) - represents the most serious of the crimes. Examples of key words/search terms include, but are not limited to: "Death", "Murder" and "Abuse".
2. Egregious Public Safety (EPS) - generally represents physical crimes not covered by FHEPS. Examples of key words/search terms include, but are not limited to: "Battery", "Abduct" and "Firearm".
3. Non-EPS or Disqualified (DQ) - includes all IdHS sheets that did not hit on any FHEPS or EPS key words/search terms.
4. Incomplete - identifies IdHS sheets that were incomplete, due to a variety of reasons, and need to be submitted back to the FBI to obtain a complete response.

The initial implementation makes use of the statistical software R⁹⁶ to ensure that those IdHS sheets with a high probability of containing the most serious crimes are prioritized for the NBC by analyzing a test set of IdHS sheets and their associated outcomes. The software, with additional inputs provided by FDNS, developed a decision tree model of the terms that are most effective at bucketing and prioritizing IdHS sheets. For instance, the model checks if the term 'Assault' is present in the IdHS sheet. If so, it will then check for another term such as 'Battery', and if both terms are present, it classifies the sheet as EPS. However, if only the term 'Assault' is present, it classifies the IdHS sheet as Non-EPS.

The algorithm can then be refined based on user input to find the appropriate parameters to balance breadth and volume of prioritized IdHS. Before final implementation in ATLAS, this:

⁹⁶ R is an open-source software environment for statistical computing and graphics.



Homeland Security

solution is being used to manually prioritize the applications with IdHS sheets into the aforementioned buckets for use by NBC BCU Officers. This process creates an output product within Microsoft Excel that may be easily reviewed. Dependent on the existing and changing business needs, the prioritization of applications may be changed in accordance.

The first version of the decision tree algorithm works exclusively with terms identified by the NBC as relevant to EPS. Later implementations will also independently suggest additional terms and weighted combinations of terms that most effectively identify IdHS sheets of interest. The model being developed will need to be tuned to both limit the number of terms that it checks for as well as to ensure that all terms are appropriate and operationally relevant.

Results:

The solution, once fully developed, will be deployed in ATLAS in order to prioritize the delivery of SGNs. Its use within ATLAS would likely be an enhancement to the existing Public Safety Rule 210 so that the Rule 210 hits most likely to result in a Referral to ICE are given higher priority for review. Following the proposed methods will reduce the time spent on manual review while also increasing efficiency and accuracy of processes.

Privacy Mitigation:

FDNS has identified the specific use case described above to begin the process of onboarding the first use of predictive analytics. To allow for sufficient testing and tuning of the solution and process, this work is being performed manually and in an isolated environment. This limited use will reduce the risk of false positives and allow for sufficient refinement before this solution is deployed within ATLAS.

This project does not affect existing screening processes in any way; nor do the results of predictive analytics render a decision about an individual. The current use is limited to prioritizing cases, which are then provided to BCU Officers to perform manual reviews following existing processes. The prioritization of cases is only to assist with addressing a backlog of IdHS results requiring review so that the cases most likely to result in a Referral to ICE are reviewed first.



Homeland Security

Privacy Impact Assessment
USCIS, Fraud Detection and National Security Data System
Page 53

Visualization Tools: National Benefit Center, Background Check Unit

Summary:

FDNS is incorporating visualization tools into ATLAS to help with link and forensic analysis and ultimately support better decision making. FDNS currently uses i2 Analyst's Notebook, an off-the-shelf IBM tool that allows provides FDNS with the ability to take various data points and display them as a visual report. This tool is currently being used within the work stream at the National Benefit Center, in a stand-alone capacity, in order to determine its viability for widespread use within ATLAS.

Background:

As stated in the project description above, it is estimated that close to 80% of organized data is in an unstructured environment making it difficult to extract relevant information from massive amounts of data. Visualization tools are needed to assist in analyzing massive amounts of data and determining linkages or relationships among entities or individuals.

FDNS Officers at the NBC currently must access data from multiple USCIS IT systems as part of their normal background check functions. FDNS Officers will use i2 Analyst Notebook as a means to visualize data from multiple data-sets in a way that is useful for further analysis. i2 can use data from various data sets systems such as person names, company names, attorney/representative names, dates of birth, SSNs, addresses, visa status, criminal history, and fingerprint information to visually display criminal and fraud schemes in support of the homeland security mission.

Core Capabilities Supported:

Link and Forensic Analysis

Data Elements:

The project may use any/all data elements discussed in this PIA, but in particular, the visualization tool will make use of data elements provided by the applicant (e.g., on a USCIS form submission), as well as criminal history or derogatory information received as a result of background, identity, and security checks.

Examples of data elements used in i2 visualization/charts include: full name, DOB, place of birth, address, gender, race, height, eye color, hair color, weight, birth place, citizenship, employer information, unique identifiers such as fingerprint identification number or Alien Number, and information about the spouse, family, and petitioner.

Population:



Homeland Security

Privacy Impact Assessment
USCIS, Fraud Detection and National Security Data System
Page 54

Form I-90, *Applications to Replace Permanent Resident Card*, applicants

Vetting/Process:

FDNS Officers receive information from or perform searches of various USCIS and external systems manually as part of their normal procedures during background, identity, and security check processes. Data is either hand-typed or imported into i2 via spreadsheets. There are no active data linkages to source systems. The output is a visual report or chart illustrating linkages and relationships among people, organizations, entities, etc.

The visual representations that are created from the various data sources help law enforcement officers, homeland security personnel, and the Offices of the United States Attorneys who are leading the prosecution efforts to better understand the scope of the investigation. From an administrative investigation perspective, USCIS personnel will also internally use this information to seek ways to deny or revoke or support determination of eligibility for immigration benefits such as when a USCIS applicant is not entitled to a benefit or acquired a previous benefit through fraudulent means. Records of administrative investigations are recorded in FDNS-DS.

Privacy Mitigation:

Similar to the unstructured data analysis used at the NBC, this project does not change any existing screening/vetting processes. Nor does it involve acquiring new data or altering data already acquired through existing procedures. This tool simply allows for visualization of the data in a manner that reveals relationships among the entities: organization, and individuals within the data sets.

As this process currently involves manual data entry, there is a risk of human error, which could result in FDNS relying on inaccurate data. FDNS has a vested interest and responsibility to maintain the most accurate data possible since the i2 charts could be used in support of a benefit decision or in support of criminal investigations undertaken by law enforcement partners. While performing administrative investigations, FDNS Officers rely on multiple sources to confirm the veracity of the data and, if discrepancies are uncovered, will manually make changes to ensure the i2 charts rely on data that is accurate and complete. This risk will also be mitigated when i2 is fully implemented into ATLAS when data will be refreshed automatically from the original source.



Homeland Security

Privacy Impact Assessment
 USCIS, Fraud Detection and National Security Data System
 Page 55

Enhanced Analytics for Identity Management Refugee Screening/Syria Enhanced Review

Summary:

FDNS is incorporating visualization and identity resolution into ATLAS in order to augment the existing rules-based screening/referral process. Specifically, FDNS is implementing a solution that uses i2 Fraud Intelligence Analysis (i2) and Info Sphere Identity Insight (ISII) tools. Prior to implementing this solution within ATLAS, FDNS is piloting this solution within the existing Syria Enhanced Review process for Form I-590, *Registration for Classification as Refugee* applicants.

Background:

The U.S. Refugee Admissions Program (USRAP) is a cooperative effort among several governmental and non-governmental partners both overseas and in the United States. Within the U.S. government, the Department of State (DOS) has overall management responsibility for USRAP, and the USCIS Refugee Affairs and International Operations (RAIO) Directorate is responsible for interviewing refugee applicants and adjudicating applications for refugee status.

In summary, the United Nations High Commissioner for Refugees, U.S. Embassy, or specially trained non-governmental organization (NGO) will refer requests for resettlement as refugees to DOS. A Resettlement Support Center (RSC), under cooperative agreement with DOS, performs initial processing, to include initiating biographic collection and security checks, and refers the applicant to USCIS to begin the interview process, as well as capture and perform biometric checks and other required screening. FDNS Officers supporting RAIO and its Refugee Affairs Division (RAD) are involved in the initial interview and screening process and perform adjudications on the Form I-590, *Registration for Classification as Refugee*. When National Security (NS) Concerns are identified through screening, cases are routed through the Controlled Application Review and Resolution Program (CARRP)⁹⁷, administered by Headquarters FDNS. Additionally, Syrian Form I-590 applications undergo an enhanced review process administered by the FDNS Intelligence Division.

USCIS is transparent about the screening process and the systems used to support refugee screening, which are described in the following publicly available materials:

- USCIS Refugee Processing and Security Screening Web Page, available from <http://www.uscis.gov/refugeescreening>; and
- USCIS Refugee Security Screening Fact Sheet, available from <http://www.uscis.gov/sites/default/files/USCIS/Refugee%2C%20Asylum%2C%20>

⁹⁷ See LES version of DHS/USCIS/PIA-013-01 FDNS Program.



Homeland Security

Privacy Impact Assessment
USCIS: Fraud Detection and National Security Data System
Page 56

[0and%20Int%271%20Ops/Refugee Security Screening Fact Sheet.pdf](#)

This ATLAS PIA Appendix covers planned enhancements to support a specific phase in the refugee screening process that applies only to applicants in Syria. This enhanced review is performed by a team of analysts in the HQ FDNS Intelligence Division.

Core Capabilities Supported:

Link and Forensic Analysis, Entity Analytics, Operational Decision Management

Data Elements:

ATLAS receives results of biometric screening from IDENT to include the individual's Identity and Encounter history, which includes identifiers associated with the biometric encounter (e.g., Fingerprint Identification Number (FIN), Encounter Identification Number (EID), CPMSId), biographic elements (e.g., Name), as well as any derogatory information that exists on the individual.

ATLAS also receives information derived from benefit forms, applications, petitions, or requests, such as names, dates of birth, addresses, or other biographic data elements relevant to screening.

Population:

Form I-590, *Registration for Classification as Refugee* applicants undergoing Syria Enhanced Review process

Vetting/Process:

The Syria Enhanced Review process provides intelligence-driven support to refugee adjudicators, including threat identification, and suggesting topics for questioning. This process begins prior to the applicant's scheduled interview. FDNS Intelligence Division analysts obtain information through public sources as well as intelligence sources in order to corroborate information provided by the applicant and to assist RAI0/RAD Officers by providing a roadmap (or set of interview questions) to be used to conduct applicant interviews.

The ATLAS solution will augment the existing Syria Enhanced Review process by performing identity resolution among data already collected during biographic and biometric screening process against data in the Terrorist Screening Data Base (TSDB) and providing meaningful results that can be used to confirm identities and relationships among individuals who are Known or Suspected Terrorists (KSTs) or Non-KSTs.



Homeland Security

Privacy Impact Assessment
 USCIS, Fraud Detection and National Security Data System
 Page 57

Screening Process

The USCIS Customer Profile Management Service (CPMS)⁹⁸ PIA describes the biometric screening process, to include how information is collected from the individual (e.g., 10-print fingerprint capture), and what screening occurs within the DHS Automated Biometric Identification System (IDENT). In summary, CPMS sends the individual's 10-print fingerprints, photograph, and limited biographic information to IDENT. IDENT returns an Identity Response to CPMS, as well as to ATLAS through existing interfaces.⁹⁹

Screening within ATLAS begins when ATLAS receives the initial Identity Response from IDENT. ATLAS extracts the Encounter ID (EID) and queries IDENT the full response, which includes both the Identity and Encounter history for the individual. The Encounter history includes biographic information for each Encounter (e.g., Name) and any derogatory information, which is used to determine the individual's eligibility for admissibility or for the requested benefit.

ATLAS then screens data retrieved from IDENT through the rules process described in the body of this PIA, as well as through the i2/ISH solution, which runs the following additional checks:

1. ISH compares the Identity information retrieved from IDENT with Identity information in the TSDB through the DHS Watchlist Service, providing real-time entity resolution among records within the TSDB.
2. ISH sends the results to i2 to allow for visualization. i2 visually displays any of the linkages or relationships among individuals within the data sets, in order to identify a nexus to a KST or Non-KST.
3. i2 produces an alert that is elevated within FDNS-DS/ATLAS for manual review by a Gatekeeper.

Alerts produced by this identity management solution will follow a review process similar to the process in place to provide a layer of manual review, validation, and triage for rules-based screening. Initially, this identity management solution is being tested with the FDNS Intelligence Division Syria Enhanced Review team, and only a small group of FDNS Intelligence analysts will serve as Gatekeepers for SGNs produced by this solution in order to resolve possible matches to terrorist identities.

⁹⁸ See DHS/USCIS/PIA-060 Customer Profile Management Service, available at www.dhs.gov/privacy, for more information.

⁹⁹ All requests, responses, and queries flow through the Enterprise Service Bus (ESB), as described in DHS/USCIS/PIA-008 Enterprise Service Bus (ESB), available at www.dhs.gov/privacy, and Risk and Fraud Support Service (RFSS), as described in the PIA Update for FDNS Directorate and FDNS-DS, adjudicated September 9, 2015. RFSS has been renamed ATLAS.



Homeland Security

Privacy Impact Assessment
USCIS, Fraud Detection and National Security Data System
Page 58

Results:

FDNS is piloting the i2/ISII solution in the process of screening Form I-590 applicants. During this limited production phase, FDNS will test its functionality and usefulness in the screening process; as well as perform tuning necessary to produce accurate results. Results will inform future expansion of this technology within ATLAS to be applied to additional populations.

Privacy Mitigation:

FDNS is piloting this solution for a specific population prior to implementing the solution for all applications that are screened through ATLAS. This limited use is necessary for the chosen population, given what little information the U.S. Government has in its systems, in order to more effectively resolve identities and relationships among individuals who may pose a risk to national security. Use of the data will be consistent with existing manual processes, and only a small team within the FDNS Intelligence Division will have access to this information.

There is a risk that incorporating the i2/ISII solution into the rules-based screening process may produce an SGN with a mismatch or erroneous association to an entity from the TSDB. FDNS Intelligence Division users responsible for gatekeeping these SGNs will perform manual reviews to confirm the validity of a match. Also, the production of an SGN does not result in an automatic promotion to a Watchlist or designation as a KST or Non-KST. FDNS Intelligence analysts review the SGNs along with information obtained through other sources for the purpose of confirming the facts provided by the applicant on the Form I-590 and determining the appropriate questions to ask during the applicant's interview. The interview process provides an opportunity for the applicant to address any concerns.

There is also a risk that SGNs will be produced erroneously as a result of errors in the IDENT database. This risk is partially mitigated by the gatekeeping process where a human review is required to confirm validity of an SGN and is further mitigated in that FDNS has worked with the Department's Office of Biometric Identity Management (OBIM) to develop procedures for identifying and correcting IDENT errors. Upon the discovery of an IDENT error, FDNS notifies OBIM of the nature of the error and justification for making corrections to records in IDENT. OBIM then carries out any necessary corrections through existing procedures. If the SGN is determined to be in-actionable, the SGN is closed without further action.

DEPARTMENT OF HOMELAND SECURITY

Office of the Secretary

[Docket No. DHS-2012-0018]

Privacy Act of 1974; Department of Homeland Security/U.S. Citizenship and Immigration Services – 006 Fraud Detection and National Security Records, System of Records

AGENCY: Privacy Office, Department of Homeland Security.**ACTION:** Notice of Privacy Act system of records.

SUMMARY: In accordance with the Privacy Act of 1974, 5 U.S.C. § 552a, the Department of Homeland Security proposes to update and reissue the Department of Homeland Security system of records notice currently titled, "Department of Homeland Security/U.S. Citizenship and Immigration Services – 006 Fraud Detection and National Security Data –System and renaming it Fraud Detection and National Security Records." This system of records assists the Department of Homeland Security/ U.S. Citizenship and Immigration Services in performing its statutory missions including strengthening the integrity of the nation's legal immigration system by ensuring that immigration benefits are not granted to individuals that may pose a threat to national security and/or public safety. In addition, this system of records assists the Department of Homeland Security/ U.S. Citizenship and Immigration Services' recording, tracking, and managing immigration inquires, investigative referrals, law enforcement requests, and case determinations involving benefit fraud, criminal activity, public safety and

national security concerns. This system of records is being updated to more clearly describe the functions of the Fraud Detection and National Security Directorate and clarify that the system of records contains both electronic and paper files.

DATES: Submit comments on or before [INSERT DATE 30 DAYS AFTER DATE OF PUBLICATION IN THE FEDERAL REGISTER]. This revised system will be effective [INSERT DATE 30 DAYS AFTER PUBLICATION IN THE FEDERAL REGISTER].

ADDRESSES: You may submit comments, identified by docket number DHS-2012-0018 by one of the following methods:

- Federal e-Rulemaking Portal: <http://www.regulations.gov>. Follow the instructions for submitting comments.
- Fax: 202-343-4010.
- Mail: Mary Ellen Callahan, Chief Privacy Officer, Privacy Office, Department of Homeland Security, Washington, D.C. 20528.

INSTRUCTIONS: All submissions received must include the agency name and docket number for this rulemaking. All comments received will be posted without change to <http://www.regulations.gov>, including any personal information provided.

DOCKET: For access to the docket to read background documents or comments received go to <http://www.regulations.gov>.

FOR FURTHER INFORMATION CONTACT: For general questions please contact: United States Citizenship and Immigration Services, Privacy Officer, Donald Hawkins (202-272-8000), 111 Massachusetts Avenue, NW, Washington, DC 20529. For privacy

issues please contact: Mary Ellen Callahan (202-343-4010), Chief Privacy Officer, Privacy Office, U.S. Department of Homeland Security, Washington, D.C. 20528.

SUPPLEMENTARY INFORMATION:

I. Background

In accordance with the Privacy Act of 1974, 5 U.S.C. § 552a, the Department of Homeland Security (DHS)/ U.S. Citizenship and Immigration Services (USCIS) proposes to update and reissue the DHS system of records currently titled, "Department of Homeland Security/U.S. Citizenship and Immigration Services – 006 Fraud Detection and National Security Data System System of Records" (last published August 18, 2008, 73 FR 48231) and renaming it Fraud Detection and National Security Records. This system of records notice (SORN) is being updated to better describe the functions of the Fraud Detection and National Security Directorate (FDNS).

DHS through USCIS implements immigration law and policy through the processing and adjudication of applications and petitions submitted for citizenship, asylum, and other immigration benefits. Benefits may include adjustment of immigration status (granting lawful permanent residence), naturalization (granting United States citizenship), asylum and refugee status, and other immigrant and nonimmigrant benefits. USCIS supports the DHS statutory mandate of protecting the nation by identifying applicants who threaten national security or public safety and denying them immigration benefits that would allow them to legally enter or remain in the United States. In addition, USCIS enhances the integrity of the nation's legal immigration system by detecting and deterring immigration benefit fraud. In order to support this DHS statutory mandate, USCIS collects applicant, petitioner, and beneficiary information to adjudicate

applications and petitions so that immigration benefits are only granted to eligible individuals in an accurate, efficient, and timely manner. This information is also used to determine if and when those benefits should be rescinded or revoked.

In 2004, USCIS established FDNS in response to a Congressional recommendation to establish an organization "responsible for developing, implementing, directing, and overseeing the joint USCIS- U.S. Immigration and Customs Enforcement (ICE) anti-fraud initiative and conducting law enforcement/background checks on every applicant, beneficiary, and petitioner prior to granting immigration benefits." FDNS fulfills the USCIS mission of enhancing both national security and the integrity of the legal immigration system by: (1) identifying threats to national security and public safety posed by those seeking immigration benefits; (2) detecting, pursuing, and deterring immigration benefit fraud; (3) identifying and removing systemic vulnerabilities in the process of the legal immigration system; and (4) acting as USCIS's primary conduit for information sharing and collaboration with other governmental agencies. FDNS also oversees a strategy to promote a balanced operation that distinguishes USCIS's administrative authority, responsibility, and jurisdiction from ICE's criminal investigative authority.

FDNS serves as the primary liaison between USCIS and the law enforcement and intelligence communities. This effort includes establishing and developing relationships and collaborating with law enforcement, intelligence, and federal, state, and local agencies to ensure criminals, terrorists, and other individuals who pose a threat to national security and/or public safety are not able to exploit the immigration system to gain access to, or remain in, the United States. In addition, FDNS works with

Immigration Services Officers (ISOs) on cases of suspected fraud and where the security vetting process has indicated possible national security or public safety-related concerns.

FDNS uses Fraud Detection and National Security Data System (FDNS-DS) to record, track, and manage the background check process related to immigration applications and petitions, as well as information related to beneficiary applications with suspected or confirmed fraud, criminal activity, public safety and/or national security concerns, and cases randomly selected for benefit fraud assessments. FDNS-DS maintains information on all individuals who have been reviewed for these concerns. In instances where no fraud, criminal activity, public safety and/or national security concerns were found, the information maintained will only be used to demonstrate that an assessment was conducted so additional resources do not have to be used for a second review.

FDNS may share FDNS records with law enforcement and intelligence agencies in response to Requests for Information (RFIs) to support criminal and administrative investigations and background checks involving immigrant benefit fraud, criminal activity, and public safety and/or national security concerns. For example, information may be shared with the Department of State (DoS), Bureau of Consular Affairs to provide a comprehensive picture of a visa applicant's status, and to reduce the likelihood that an individual or group might fraudulently obtain an immigration benefit under the Immigration and Nationality Act (INA), as amended. Also, selected ICE representatives have access to certain FDNS records for purposes of criminal investigations. This system of records notice covers not only those records maintained in FDNS-DS, but also those maintained in other IT systems developed specifically for FDNS, such as a collaborative

workspace, and paper files. The controls and rules associated with the data remain consistent across these different physical types of records.

Separately, DHS is publishing a Privacy Impact Assessment (PIA) on the functions of FDNS, which can be found at www.dhs.gov/privacy.

USCIS is republishing this SORN to provide public notice of the following: (1) the name of the system has been updated to FDNS Records to reflect that it covers not only records in FDNS-DS but also other information technology systems created specifically for FDNS and paper records; (2) location of the system has been updated to include not only FDNS-DS but the records maintained in collaborative workspaces and paper files; (3) categories of individuals has been updated to clarify that this system only covers those who are or have been the subject of an inquiry; (4) categories of records has been updated to clarify what information may be collected on Representatives and Preparers in the system when there are indicia of fraud or national security concerns connected with their appearance before USCIS; (5) authorities under which this system runs have been updated; (6) routine uses have been updated with minor changes to be consistent with other DHS systems of records; and 7) sources of records have been updated to include publicly available information on the Internet.

Previously, DHS issued a final rule published on August 31, 2009 at 6 CFR Part 5, Appendix C, paragraph 32 exempting this system from certain provisions of the Privacy Act pursuant to 5 U.S.C. § 552a(k)(2). The updates to this SORN do not necessitate a republication of the exemptions. As noted in the final rule to the extent FDNS maintains a record received from a law enforcement system has been exempted in that source system under 5 U.S.C. § 552a(j)(2), DHS will claim the same exemptions.

This updated system will be included in DHS's inventory of record systems.

II. Privacy Act

The Privacy Act embodies fair information practice principles in a statutory framework governing the means by which the federal government collects, maintains, uses, and disseminates individuals' records. The Privacy Act applies to information that is maintained in a "system of records." A "system of records" is a group of any records under the control of an agency for which information is retrieved by the name of an individual or by some identifying number, symbol, or other identifying particular assigned to the individual. In the Privacy Act, an individual is defined to encompass U.S. citizens and lawful permanent residents (LPRs). As a matter of policy, DHS extends administrative Privacy Act protections to all individuals where systems of records maintain information on U.S. citizens, LPRs, and visitors. Individuals may request access to their own records that are maintained in a system of records in the possession or under the control of DHS by complying with DHS Privacy Act regulations, 6 CFR Part 5.

The Privacy Act requires each agency to publish in the Federal Register a description denoting the type and character of each system of records that the agency maintains, and the routine uses that are contained in each system in order to make agency record keeping practices transparent, to notify individuals regarding the uses of their record, and to assist individuals to more easily find such files within the agency. Below is the description of the DHS/USCIS-006 FDNS SORN.

In accordance with 5 U.S.C. § 552a(r), DHS has provided a report of this system of records to the Office of Management and Budget and to Congress.

System of Records

DHS/USCIS-006

System name:

DHS/USCIS-006 Fraud Detection and National Security Records

Security classification:

Unclassified

System location:

Records are maintained in the IT system FDNS-DS, other information technology systems developed to support FDNS, and paper files at the USCIS Headquarters in Washington, D.C. and field offices.

Categories of individuals covered by the system:

Categories of individuals covered by this system include: (1) individuals who are the subjects of administrative and/or criminal investigations; (2) individuals who have submitted potentially fraudulent petitions and applications for immigration benefits; (3) individuals whose petitions or applications have been randomly selected for assessment of the effectiveness of fraud detection programs; (4) individuals of concern based on possible national security reasons, public safety concerns, or criminal activity; (5) preparers, representatives, and petitioning organizations that may have submitted applications or petitions on behalf of individuals noted in the above four categories; (6) individuals who are associated with an application but are not actually applying for a benefit; and (7) individuals associated with cases that were investigated but determined not to pose any concern.

Categories of records in the system:

Categories of records in this system include:

- Individual's name;
- Alias(es);
- Social Security Number (SSN);
- Alien Number (A-Number);
- Associated A-Numbers of close relatives and associates;
- Application Receipt Number;
- Address (home and business);
- Date of birth;
- Place of birth;
- Driver's License number;
- Country of citizenship;
- Citizenship status;
- Gender;
- Telephone number(s);
- E-mail address;
- Place of employment and employment history;
- Associated organizations (e.g., corporate information relating to employing entity if employment-based immigration benefits are being sought, and place of business or place of worship if such organization is sponsoring the applicant);
- Family lineage;
- Bank account information and/or financial transaction history;

- Marriage record;
- Civil or criminal history information;
- Information on social media websites and other information publicly available on the Internet;
- Education record;
- Information from commercial data providers in order to verify information provided on the application;
- Biometric identifiers (e.g., photographic facial image, fingerprints, signature, etc);
- Investigation or background check information generated by DHS/CBP TECS National Crime Information Center, other government agencies, and other data and analysis generated as part of the adjudication process;
- Other unique identifying numbers or characteristics such as passport number(s), visa number(s), account numbers, and other identifiers associated with travel; and
- Representative and Preparer information maintained in the G-28, Notice of Entry of Appearance as an Attorney or Accredited Representative
 - Name
 - Address
 - Phone number
 - Fax number
 - Email address
 - Bar number

- State of bar membership
- Date of filing
- Associated client case information

NOTE: FDNS may gather additional data on Representatives or Preparers that are the subject or associated with a fraud, public safety, or national security concern based on applications submitted on behalf of individuals seeking an immigration benefit.

Authority for maintenance of the system:

The Immigration and Nationality Act of 1952, as amended (INA), 8 U.S.C. § 1101, *et seq.* provides the legal authority to collect information used for the adjudication of immigration benefits. In addition to other delegations, the Secretary of Homeland Security in Homeland Security Delegation No. 0150.1 paragraphs (H), (I), (J), (M), and (S) has delegated the following authorities to USCIS:

- Authority under section 103(a)(1) of the INA, 8 U.S.C. § 1103(a)(1), to administer the immigration laws (as defined in section 101(a)(17) of the INA).
- Authority to investigate alleged civil and criminal violations of the immigration laws, including but not limited to alleged fraud with respect to applications or determinations within the Bureau of Citizenship and Immigration Services (BCIS) [predecessor to USCIS] and make recommendations for prosecutions or other appropriate action when deemed advisable.
- Authority to fingerprint and register aliens.
- Authority to maintain files and records systems as necessary.

- Authority to take and consider evidence.

In addition, the joint USCIS-ICE anti-fraud strategy was recommended by the *Conference Report, FY 2005 Appropriations Act*. The Appropriations Act authorized USCIS to conduct law enforcement and background checks on every applicant, beneficiary, and petitioner prior to granting immigration benefits.

Purpose(s):

The purpose of this system is to support USCIS' efforts to strengthen the integrity of the nation's legal immigration system and to ensure that immigration benefits are not granted to individuals who may pose a threat to national security and/or public safety. In addition, FDNS is responsible for detecting, deterring, and combatting immigration benefit fraud.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

In addition to those disclosures generally permitted under 5 U.S.C. § 552a(b) of the Privacy Act, all or a portion of the records or information contained in this system may be disclosed outside DHS as a routine use pursuant to 5 U.S.C. § 552a(b)(3) as follows:

A. To the Department of Justice (including United States Attorney Offices) or other federal agency conducting litigation or in proceedings before any court, adjudicative or administrative body, when it is relevant or necessary to the litigation and one of the following is a party to the litigation or has an interest in such litigation:

1. DHS or any component thereof;

2. Any employee of DHS in his/her official capacity;
 3. Any employee of DHS in his/her individual capacity where DOJ or DHS has agreed to represent the employee; or
 4. The United States or any agency thereof.
- B. To a congressional office from the record of an individual in response to a written inquiry from that congressional office made pursuant to a Privacy Act waiver from the individual to whom the record pertains.
- C. To the National Archives and Records Administration or General Services Administration pursuant to records management inspections being conducted under the authority of 44 U.S.C. §§ 2904 and 2906.
- D. To an agency or organization for the purpose of performing audit or oversight operations as authorized by law, but only such information as is necessary and relevant to such audit or oversight function.
- E. To appropriate agencies, entities, and persons when:
1. DHS suspects or has confirmed that the security or confidentiality of information in the system of records has been compromised;
 2. DHS has determined that as a result of the suspected or confirmed compromise there is a risk of harm to economic or property interests, identity theft or fraud, or harm to the security or integrity of this system or other systems or programs (whether maintained by DHS or another agency or entity) or harm to the individuals who rely upon the compromised information; and

3. The disclosure made to such agencies, entities, and persons is reasonably necessary to assist in connection with DHS's efforts to respond to the suspected or confirmed compromise and prevent, minimize, or remedy such harm.

F. To contractors and their agents, grantees, experts, consultants, and others performing or working on a contract, service, grant, cooperative agreement, or other assignment for DHS, when necessary to accomplish an agency function related to this system of records. Individuals provided information under this routine use are subject to the same Privacy Act requirements and limitations on disclosure as are applicable to DHS officers and employees.

G. To an appropriate federal, state, tribal, local, international, or foreign law enforcement agency or other appropriate authority charged with investigating or prosecuting a violation or enforcing or implementing a law, rule, regulation, or order, where a record, either on its face or in conjunction with other information, indicates a violation or potential violation of law, which includes criminal, civil, or regulatory violations and such disclosure is proper and consistent with the official duties of the person making the disclosure.

H. To federal and foreign government intelligence or counterterrorism agencies when USCIS reasonably believes there to be a threat or potential threat to national or international security for which the information may be useful in countering the threat or potential threat, when DHS reasonably believes such use is to assist in anti-terrorism efforts.

I. To the Department of State in the processing of petitions or applications for benefits under the Immigration and Nationality Act, and all other immigration and nationality laws including treaties and reciprocal agreements.

J. To the news media and the public, with the approval of the Chief Privacy Officer in consultation with counsel, when there exists a legitimate public interest in the disclosure of the information or when disclosure is necessary to preserve confidence in the integrity of DHS or is necessary to demonstrate the accountability of DHS's officers, employees, or individuals covered by the system, except to the extent it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Disclosure to consumer reporting agencies:

None.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records in this system are stored electronically or on paper in secure facilities in a locked drawer behind a locked door. The records are stored on magnetic disc, tape, digital media, and CD-ROM.

Retrievability:

Records may be retrieved by utilizing multiple data points that include an individual's last name, A-Number, Application Receipt Number, Date of Birth, or other unique identifier.

Safeguards:

Records in this system are safeguarded in accordance with applicable rules and policies, including all applicable DHS automated systems security and access policies. Strict controls have been imposed to minimize the risk of compromising the information that is being stored. Access to the computer system containing the records in this system is limited to those individuals who have a need to know the information for the performance of their official duties and who have appropriate clearances or permissions. FDNS-DS maintains a real-time auditing function of individuals who access the system.

Retention and disposal:

FDNS records have a retention period of 15 years from the date of the last interaction between FDNS personnel and the individual after which time the record will be deleted from FDNS. The 15-year retention schedule provides FDNS with access to information that is critical to the investigation of suspected or confirmed fraud, criminal activity, egregious public safety, and/or national security concerns. Upon closure of a case, any information that is needed to make an adjudicative decision (such as a statement of findings report), whether there was or was not an indication of fraud, criminal activity, egregious public safety, and/or national security concerns, will be transferred to the A-File and maintained under the A-File retention period of 100 years after the individual's date of birth.

System Manager and address:

Associate Director of FDNS, United States Citizenship and Immigration Services,
111 Massachusetts Avenue, NW, Washington, DC 20529.

Notification procedure:

The Secretary of Homeland Security has exempted this system from the notification, access, amendment, and certain accounting procedures of the Privacy Act. These exemptions also apply to the extent that information in this system of records is recompiled or is created from information contained in other systems of records. As noted below, where a record received from a law enforcement system has been exempted in that source system under 5 U.S.C. § 552a(j)(2), DHS will claim the same exemptions for those records that are claimed for the original primary systems of records from which they originated and claims any additional exemptions in accordance with this rule. Individuals seeking notification of and access to any record contained in this system of records, or seeking to contest its content, may submit a request in writing to National Records Center, FOIA/PA Office P.O. Box 648010 Lee's Summit, MO 64064-8010. If an individual believes more than one component maintains Privacy Act records concerning him or her the individual may submit the request to the Chief Privacy Officer, Department of Homeland Security, 245 Murray Drive, S.W., Building 410, STOP-0655, Washington, D.C. 20528.

When seeking records about yourself from this system of records or any other Departmental system of records your request must conform with the Privacy Act regulations set forth in 6 CFR Part 5. You must first verify your identity, meaning that you must provide your full name, current address and date and place of birth. You must sign your request, and your signature must either be notarized or submitted under 28 U.S.C. § 1746, a law that permits statements to be made under penalty of perjury as a substitute for notarization. While no specific form is required, you may obtain forms for

this purpose from the Director, Disclosure and FOIA, <http://www.dhs.gov> or 1-866-431-0486. In addition you should provide:

- Provide an explanation of why you believe the Department would have information on you;
- Identify which component(s) of the Department you believe may have the information about you;
- Specify when you believe the records would have been created; and
- Provide any other information that will help the FOIA staff determine which DHS component agency may have responsive records.

If your request seeks records pertaining to another living individual, you must include a statement from that individual certifying his/her agreement for you to access his/her records.

Without the above bulleted information DHS may not be able to conduct an effective search, and your request may be denied due to lack of specificity or lack of compliance with applicable regulations.

Record access procedures:

See "Notification procedure" above.

Contesting record procedures:

See "Notification procedure" above.

Record source categories:

Parties who file USCIS applications supply the basic information contained in this system. Other information comes from petitions, law enforcement and intelligence agencies, public institutions, interviews of witnesses, public records, sworn statements,

official reports, commercial data aggregators, publicly available information on the Internet, and from members of the general public.

Exemptions claimed for the system:

The Secretary of Homeland Security has exempted this system from the following provisions of the Privacy Act pursuant to 5 U.S.C. § 552a(k)(2); 5 U.S.C. §§ 552a(c)(3); (d); (e)(1), (e)(4)(G), (e)(4)(H), (e)(4)(I); and (f). Additionally, many of the functions in this system require retrieving records from law enforcement systems. Where a record received from another system has been exempted in that source system under 5 U.S.C. § 552a(j)(2), DHS will claim the same exemptions for those records that are claimed for the original primary systems of records from which they originated and claims any additional exemptions in accordance with this rule.

Dated:

Mary Ellen Callahan

Chief Privacy Officer,

Department of Homeland Security.

From: USCIS Presidential Transition
To: Brown II, Melyin; Stewart, Bion
Cc: Halter, Greg; Beagles, James; Horowitz, Scott; Renaud, Tracy L
Subject: USCIS RFI Response #77
Date: Tuesday, December 13, 2016 3:20:14 PM
Attachments: USCIS Backlog IP 2016 FINAL.docx
General Record of Disclosure Form USCIS #77.pdf
USCIS Updates for OMB revisions 11-9-16 final.pptx

Attached please find the response to RFI #77, USCIS backlogs.

Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
(c) 202-489-8802

This communication, along with any attachments, may contain confidential information and is covered by federal laws governing electronic communications. Electronic communications may also be monitored by the Department of Homeland Security, U.S. Citizenship and Immigration Services. If the reader of this message is not the intended recipient, you are hereby notified that any dissemination, distribution, use, or copying of this message is strictly prohibited. If you have received this in error, please delete this message and all attachments and immediately notify the sender.



Management of Personal Protective Equipment (PPE) Data in SAMS
Role & Responsibilities of
The Sunflower Asset Management System (SAMS) Program Office
And
The DHS Components PPE Data Owners

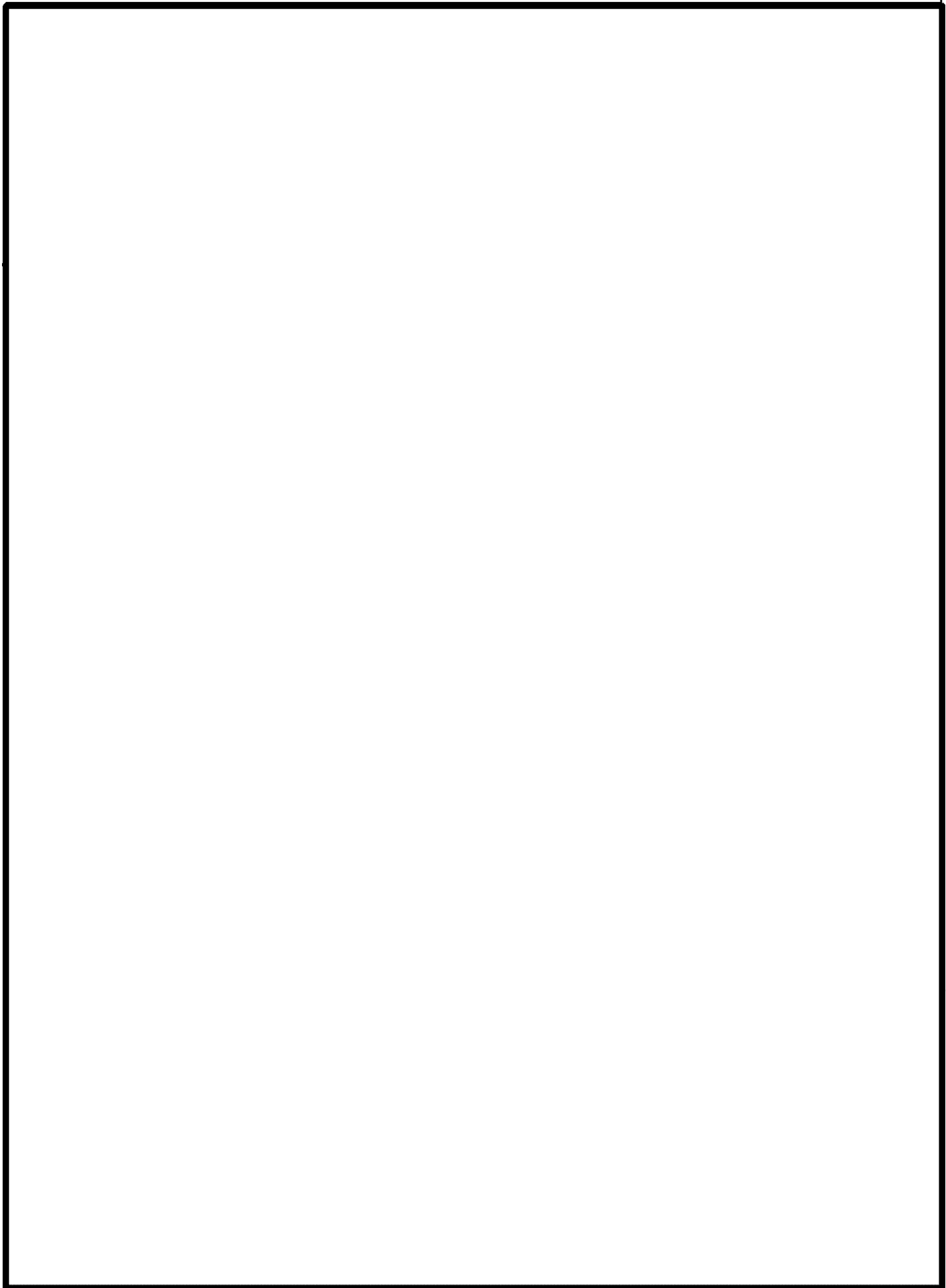
A Guideline Prepared by the DHS SAMS Program Office
Assets & Logistics Management (A&L)
Office of the Chief Readiness Support Officer (CRSO)

December 15, 2016

December 13, 2016

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Dear Colleagues –

This is a reminder and clarification that all FDNS employees are prohibited from accessing Social Networking Sites from any source for official government purposes. USCIS is working on policy and procedures that may permit future access in the near future. We will notify if and when the current policy changes.

Thanks for your patience,

Steve Bucher

Judith I. Scott
Executive Staff Assistant
Fraud Detection and National Security (FDNS)
202-272-9029 (Office)
202-713-0048 (Blackberry)
202-272-8594 (Fax)
Judith.Scott@dhs.gov

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From: Barnes, Aisha on behalf of USCIS Exec Sec
To: USCIS Exec Sec; #USCIS - IRIS Tasking List; #USCIS OLA Clearance; AAO-Clearance; Arroyo, Susan K; Baker, Tamara L; Cox, Sophia; USCIS MGT Tasks; CSPE Tasking; Herrmann, Mary K; Dennis, Morgan C; Dumas, Jessica L; Eccleston, Hermene N; Emrich, Matthew D; FDNSExecSec; Zellen, Lorie A; Fokwa Kengne, Maissonobe Gedeon; Graziadio, Josie; Hall, Janis Y; Hawkins, Donald K; HQ Field Operations; Kett, David R; Moran, Karla; Nimick, Charles L (Locky); OCC-Clearance; QCOMM Clearance Taskers; Padilla, April Y; Patching, Laura D; Perryman, Janet J; Policy-Clearance; RAIO Clearance; Rix, Donna L; Rosenberg, Ronald M (Ron); SCOPS-Clearance; Stanley, Kathleen M; Stiefel, Nathaniel J; Thomas, Paula; USCIS Privacy Inquiries; Wheeler, Shannon L; Bacon, William H; Button, Maria G (Gemma); Carter, Constance L; Clark, Levita S; Wilson, Ola D; Grammer, Alexandra C; Badovinac, Daisy A (CTR)
Cc: Carter, Jeffrey T (Jeff); Neufeld, Donald W; Renaud, Tracy L; Kerns, Kevin J; Valverde, Michael; Silwany, Oscar Y; Phillips, Mark; Kim, Paul S; Gonzalez, Wendy M; Lin, Melissa; Van Trump, Jennifer R; Lomax-Larson, Nikki L; Cummings, Kevin J; Parascandola, Ciro A; Bazaire, Kevin J
Subject: [2ND REVIEW PERIOD] - Nonimmigrant Religious Workers PolMan (PM Vol 2 Part O)
Date: Friday, June 03, 2016 8:31:48 AM

Good morning,

Please review the updated Volume 2, Part O of the U.S. Citizenship & Immigration Services (USCIS) Policy Manual (PolMan). The PolMan provides updated and comprehensive guidance on eligibility requirements, filing and adjudication of petitions for nonimmigrant religious workers.

To review the updated PolMan, click [here](#).

Please provide your responses by **5:00 PM Friday, June 10, 2016**.

We request responses from the following program offices and directorates: **AAO; OCC; FOD; FDNS; OP&S; OTC; SCOPS**

Please note that those not listed above are receiving this for informational purposes, but are welcome to respond.

To register your response and view all responses, click [here](#). ***Create a new record.***
Please note that explanations must accompany concurrences with edits and non-concurrences.

Thank you.

USCIS Office of the Executive Secretariat

(202) 272-0990

USCIS-Exec-Sec@uscis.dhs.gov

Use the [CATS Dashboard](#) to track the status of active tasks and the [CATS Archive](#) to view completed tasks.

Request [CATS training](#) and give us your [feedback](#).

We appreciate your collaboration and input.

From: Drake, Johnetta **On Behalf Of** USCIS Exec Sec

Sent: Thursday, April 28, 2016 2:08 PM

To: #USCIS - IRIS Tasking List; #USCIS OLA Clearance; AAO-Clearance; Arroyo, Susan K; Baker, Tamara L; Cox, Sophia; USCIS MGT Tasks; CSPE Tasking; Herrmann, Mary K; Dennis, Morgan C; Diatta, Jamie J; Dumas, Jessica L; Eccleston, Hermene N; Emrich, Matthew D; FDNSExecSec; Zellen, Lorie A;

Fokwa Kengne, Maisonobe Gedeon; Graziadio, Josie; Hall, Janis Y; Hawkins, Donald K; HQ Field Operations; Kett, David R; Maltby, Judy S; Moran, Karla; Nimick, Charles L (Locky); OCC-Clearance; OCOMM Clearance Taskers; Padilla, April Y; Patching, Laura D; Perryman, Janet J; Policy-Clearance; RAO Clearance; Rix, Donna L; Rosenberg, Ronald M (Ron); SCOPS-Clearance; Stanley, Kathleen M; Stiefel, Nathaniel I; Thomas, Paula; USCIS Privacy Inquiries; Wheeler, Shannon L; Bacon, William H; Button, Maria G (Gemma); Carter, Constance L; Clark, Levita S; Wilson, Ola D; Grammer, Alexandra C; Badovinac, Daisy A (CTR)

Cc: Carter, Jeffrey T (Jeff); Neufeld, Donald W; Renaud, Tracy L; Kerns, Kevin J; Valverde, Michael; USCIS Exec Sec; Silwany, Oscar Y; Phillips, Mark; Kim, Paul S; Gonzalez, Wendy M; Lin, Melissa; Van Trump, Jennifer R; Lomax-Larson, Nikki L; Cummings, Kevin J; Parascandola, Ciro A; Bazaire, Kevin J
Subject: [CLEARANCE REQUEST] - Nonimmigrant Religious Workers PolMan (PM Vol 2 Part O)

Good afternoon,

Please review Volume 2, Part O of the U.S. Citizenship & Immigration Services (USCIS) Policy Manual provides updated and comprehensive guidance on eligibility requirements, filing and adjudication of petitions for nonimmigrant religious workers.

To review the PolMan, click [here](#).

Please provide your responses by **5:00 PM Friday, May 13, 2016**.

We request responses from the following program offices and directorates: **AAO; OCC; FOD; FDNS; OP&S; OTC; SCOPS**

Please note that those not listed above are receiving this for informational purposes, but are welcome to respond.

To register your response and view all responses, click [here](#). **Please note that explanations must accompany concurrences with edits and non-concurrences.**

Johnetta Drake

USCIS Office of the Executive Secretariat

202-236-4246 (Cell)

202-272-0998 (Desk)

202-272-0990 (Office)

[EXSO Connect Page](#)

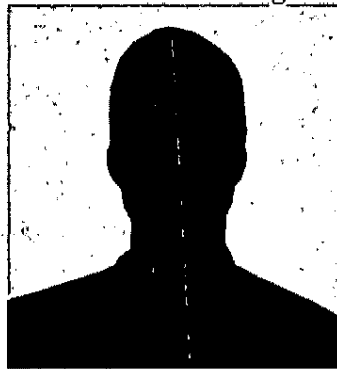
[EXSO ECN Page](#)

Please upload all actions for which Forms G-1056 are used to [CATS](#).

Please send all official actions to USCIS-Exec-Sec@uscis.dhs.gov.

NAME OF MEETING

Date of Meeting



Overview:

Briefing Memo should be in paragraph format. Always use plain language and titles. The overview section should be the highlights of the briefing memo. For example, the who, what, when, and where of the meeting. This section should also include meeting logistics (ex. Need for a translator).

You should provide a general description of the overall goals of the meeting both for DHS and the expected goals of other participants. This section should also include any asks of the meeting participant(s).

Background on [Foreign Dignitary]:

Background on the meeting participant(s) should cover significant recent interaction with DHS. You should mention any important biographic highlights on the individual and their relevant political history.

Background on Relationship with [Country]:

This section should outline the U.S. relationship with the country the participant(s) are representing. This should include both the strengths and any issues of disagreement or strain. You should discuss any important areas of cooperation or agreements between the two countries. You may include the DHS footprint in the country, if relevant. Also, briefly address any significant interactions between DHS and other representatives of the country.

Issues that [Foreign Dignitary] is Likely to Raise During the Meeting:

This section should be a summary of key issues likely to be raised to S1/S2. Issues should be clearly defined without pleasantries, nuances, or unnecessary verbosity. Keep in mind that these materials are for the Department's most senior leadership—tell them what they need to know in as concise a paper as possible.

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Staff recommendation: Following each issue to be raised you should outline the recommended DHS response to the issue. Express the main arguments and points that support the recommended position. Do not skirt tough issues.

DHS Priorities for the Meeting:

This section expands on DHS's overall goals for the meeting as indicated in the overview. It should include a summary of key issues S1/S2 should raise on behalf of DHS in support of these goals. Include background on the issue, why this issue is important to DHS, and the main arguments and points in support of our position on the issue.

Talking Points:

- The talking points should be the only bulleted section of the briefing memo and should be in the third person.
 - **Do not** provide a script as if Secretary will be reading word for word.
- Express thanks and other needed pleasantries with participants.
- Indicate conversational points S1/S2 needs to make in advancement of goals indicated previously in the briefing memo
- Include appropriate responses to topics likely to arise from other participants

Participants:

DHS

Secretary Johnson

Alan Bersin Assistant Secretary, PLCY

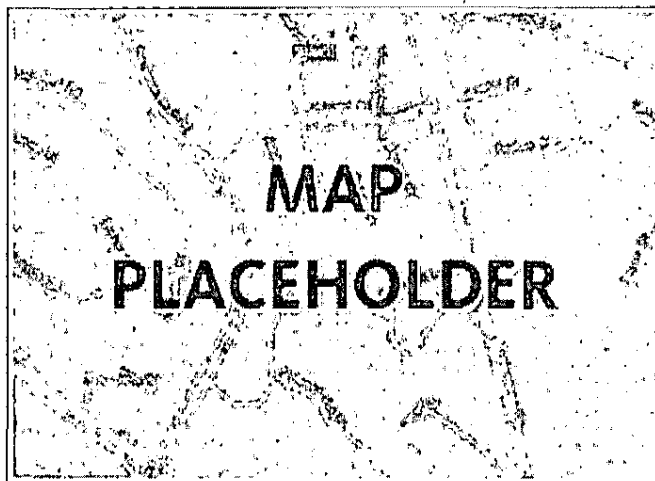
Matt King Deputy Assistant Secretary, PLCY/OIE

Foreign Delegation

Marta Stuart, Provincial Governor

Dawn L. Trump, Chief of Staff to the Provincial Governor

Map:



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Attachments: (Critical items only – no more than 5. Any attachments longer than 10 pages will not be included, instead please provide a one page executive summary)

A. Additional Materials

B. Biography

Staff Responsible for Briefing Memo: Staff-level Drafter, Title, Phone Number

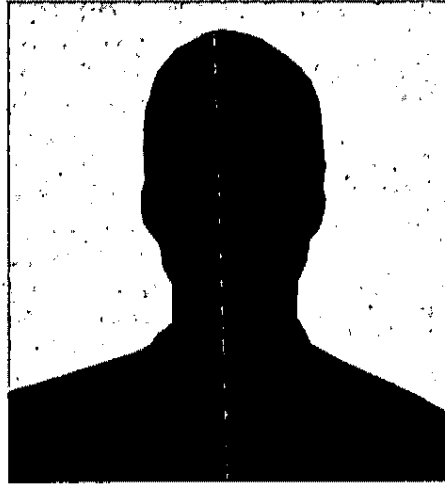
Reviewed and approved by: Chief of Staff or higher, Title, Phone Number

OGC Reviewer: Attorney in Component Counsel or HQ, Title, Phone Number.

OGC coordination is essential. Please ensure that briefing materials have been fully coordinated with OGC. Lead components are now required to coordinate with their Component Counsel and identify in their OGC submission of briefing materials, who in their component counsel office reviewed and cleared.

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Name
(phonetic pronunciation, if necessary)
Title, Organization



Please use paragraph format, not bullet points, and please indent each paragraph. Biographies should never be more than one page; half a page is ideal. A biography from the participant's professional website is acceptable, but please be sure it is formatted appropriately.

Please do not provide biographies for individuals whom S1 already knows, such as other Cabinet Secretaries. Biographies are only necessary for key participants.

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From: [Farnam, Julie E](#)
To: [Renaud, Tracy L](#)
Cc: [McCament, James W](#)
Subject: ART Briefing Presentation
Date: Thursday, November 03, 2016 9:04:53 AM
Attachments: [ART Component Brief Framework USCIS.pptx](#)

Tracy,

Attached is the updated ART briefing presentation based on the conversation we had with D1 and Juliet and James earlier this week with talking points for each slide.

Including James to make sure I captured what was discussed at the meeting.

I wanted to give you the opportunity to review before I send it for clearance.

Thank you,
Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
(c) 202-489-8802

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From: Farnam, Julie
To: Renaud, Tracy L
Subject: Briefing Documents
Date: Monday, November 14, 2016 2:15:09 PM
Attachments: [Agency Review Team Briefing Schedule.docx](#)
[ART Component Brief Framework USCIS FINAL.pptx](#)
[Ticktock USCIS All Offices California.docx](#)
[ICE Overview Excerpt.pdf](#)
[USCIS DACA IP 2016 FINAL.DOCX](#)
[USCIS Overview 8-26-2016 Clean.docx](#)

Tracy,

Here are the documents you/D2 requested minus CBP's overview document. CBP is looking for their final version of the document and should be sending it along to me soon.

The USCIS overview attached is the one that is included in the DHS briefing book. The version that we have in our briefing book does not include executive actions as a strategic priority.

For the California site visits, the ART can easily tack on another day to visit LAX, the border, Coast Guard operations, etc.

Here's a summary of what's attached:

- USCIS Overview
- USCIS Agency Briefing Presentation
- USCIS Agency Briefing Flow-of-Show
- California Site Visit Tick-Tock
- DACA Issue Paper
- ICE Overview

Julie Farnam
Component Action Officer
Presidential Transition Office
Department of Homeland Security
(d) 202-282-8277
(c) 202-489-8802

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U.S. Citizenship and Immigration Services



Naturalization Ceremony, July 21, 2014 at Mt Rainier National Park Photo: USCIS

U.S. Citizenship and Immigration Services (USCIS) is the Federal agency that oversees lawful immigration to the United States. USCIS began operations on March 1, 2003, as part of the newly established U.S. Department of Homeland Security (DHS). Congress disbanded the Immigration and Naturalization Service in the Department of Justice and transferred its functions to three new agencies in DHS: USCIS, U.S. Immigration and Customs Enforcement (ICE), and U.S. Customs and Border Protection (CBP).

USCIS officers adjudicate requests for immigration benefits, including lawful permanent residence (Green Cards), and naturalization. Combatting fraud and safeguarding national security are agency priorities.

USCIS also plays key roles in the U.S. Refugee Admissions Program and in other national security areas including:

- Conducting robust security screening of potential refugees;
- Determining asylum eligibility for those claiming to face persecution in their home countries;
- Providing relief for victims of human trafficking and violent crimes;
- Enabling inter-country adoptions for U.S. citizen parents; and
- Verifying the employment eligibility of new hires in the United States.

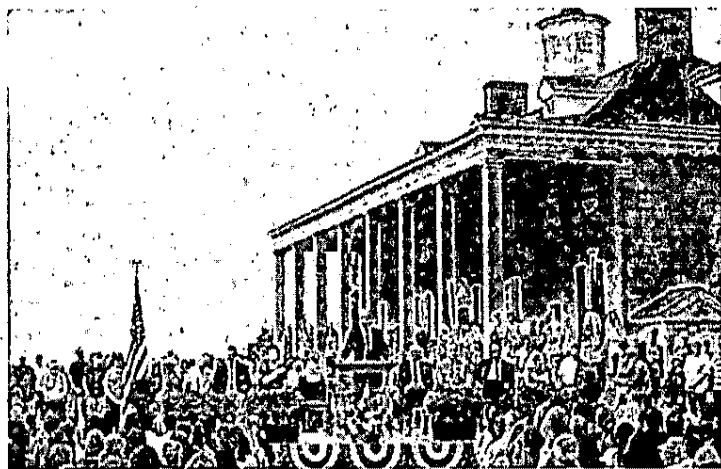


USCIS employees check applicants in before their naturalization ceremony. Photo: USCIS

In a nation of immigrants, the employees of USCIS are proud to play a vital role in this country's long tradition of enrichment and renewal through immigration. USCIS' workforce consists of approximately 19,000 government workers and contractors, who are located at 223 offices around the world and are entrusted to uphold the agency's core values of integrity, respect, ingenuity, and vigilance.

An Average USCIS Day

- Adjudicates more than 26,000 requests for various immigration benefits.
- Processes 3,700 applications to sponsor relatives and future spouses.
- Processes 200 refugee applications around the world and grants asylum to 45 individuals already in the United States.
- Screens 146 people for protection on the basis of credible fear.
- Answers 50,000 phone calls to our toll-free customer service line and serves 2,200 customers at appointments for information in its 86 domestic field offices.
- Ensures the employment eligibility of more than 80,000 new hires in the United States.
- Fingerprints and photographs 13,000 people at 137 Application Support Centers.
- Approves applications and petitions to assist American parents in adopting 25 foreign-born orphans.
- Grants lawful permanent residence to approximately 2,100 people and issues approximately 7,000 Permanent Resident Cards (Green Cards).
- Receives 335,000 visitor sessions to uscis.gov.
- Welcomes nearly 2,000 new citizens at naturalization ceremonies. Typically 36 of these new citizens are members of the U.S. armed forces



USCIS Director Rodriguez speaking at a naturalization ceremony at Mount Vernon. Photo: USCIS



USCIS Immigration Services Officer interviewing a candidate for citizenship. Photo: USCIS

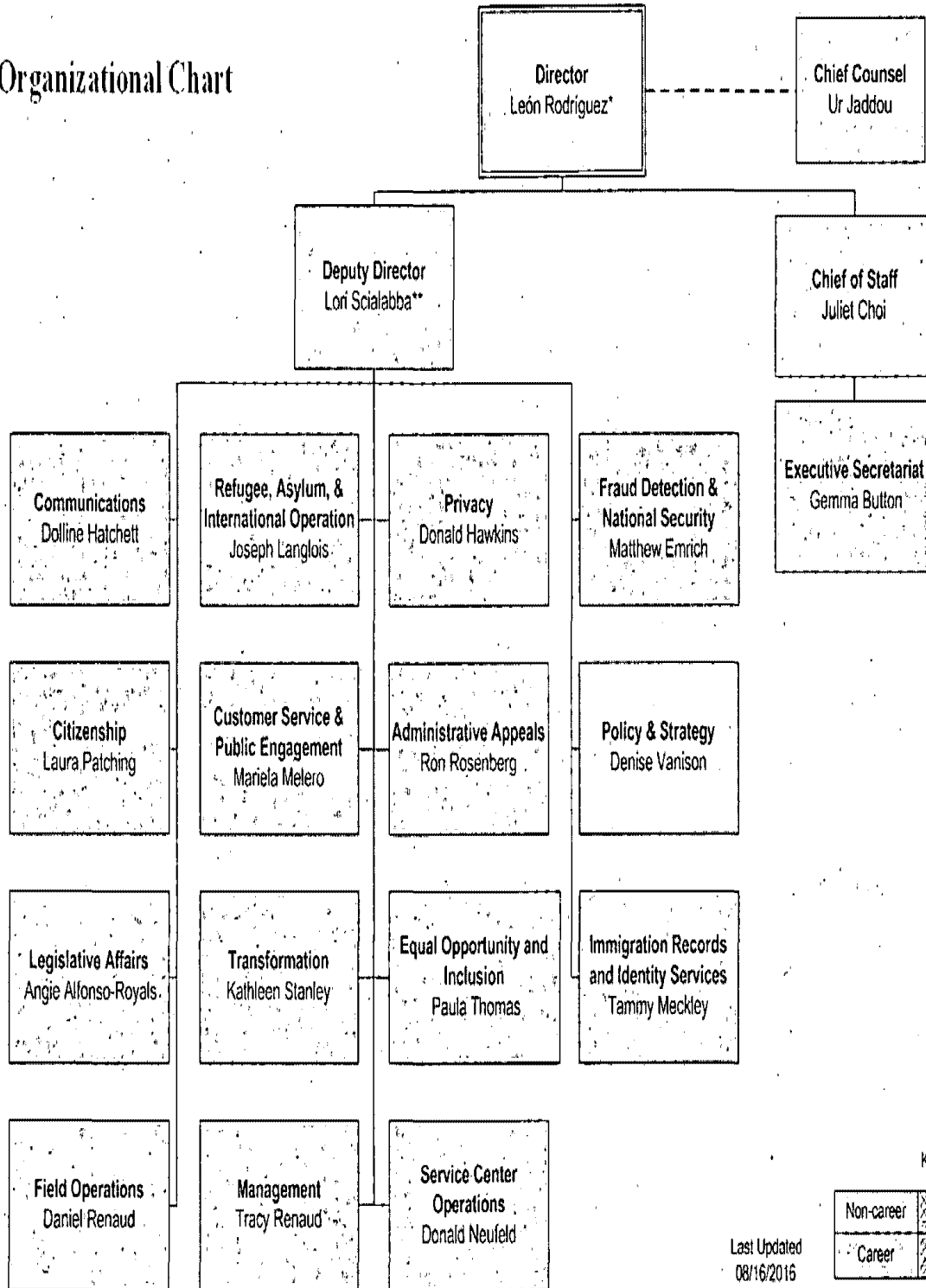
Mission

USCIS will secure America's promise as a nation of immigrants by providing accurate and useful information to its customers, granting immigration and citizenship benefits, promoting awareness and understanding of U.S. citizenship, and ensuring the integrity of the immigration system.

U.S. Citizenship and Immigration Services

Organizational Chart

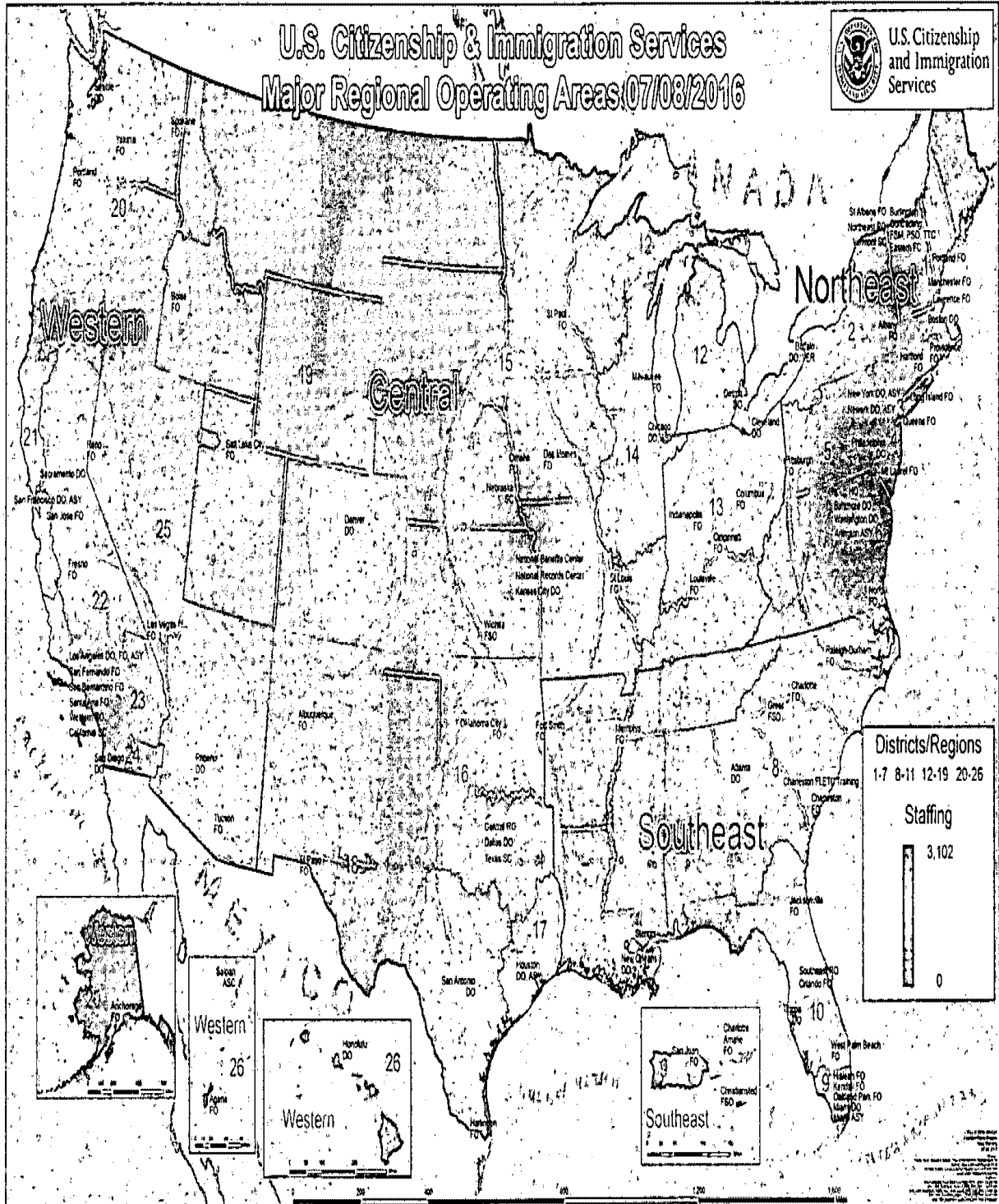
Organization Chart

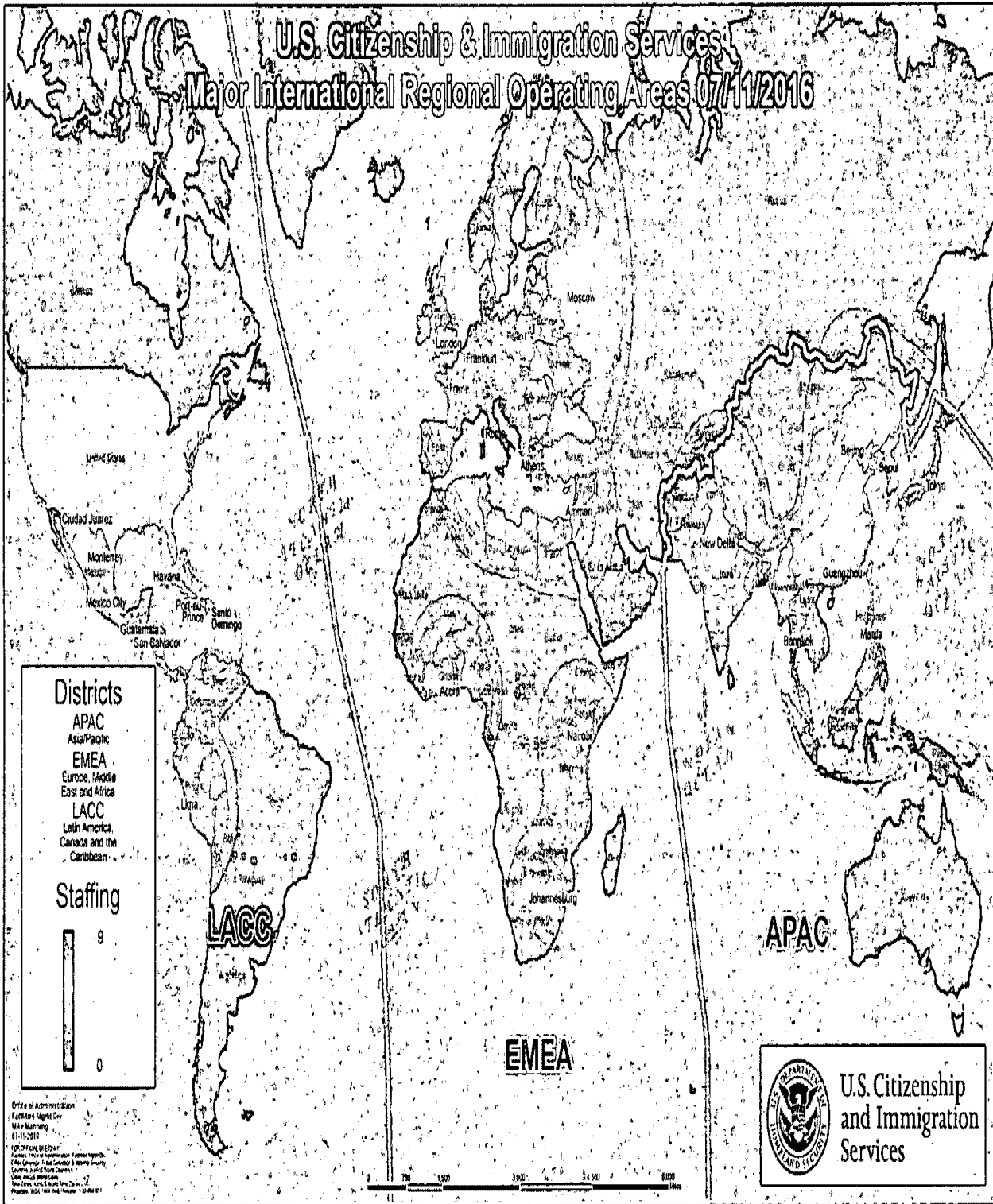


Last Updated
08/16/2016

Key	
Non-career	Vacant
Career	Acting

*Senate Confirmed
** Senior Career Official





Budget

Approximately 95% of USCIS' budget is funded by Immigration Examination Fees.

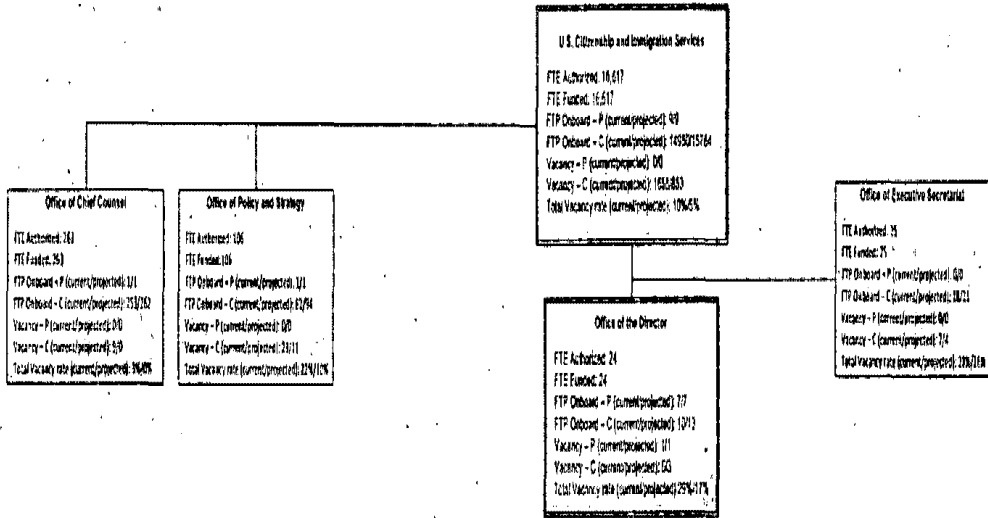
USCIS - Total Budget Authority		
FY 2016 Enacted	FY 2017 President's Budget	+/-
\$3,610,217,000	[REDACTED]	[REDACTED]

*FY 2017 President's budget includes [REDACTED] for the enjoined aspects of Executive Action on Immigration. Congress is expected to subtract this out of USCIS' initial budget authority in the FY 2017 appropriations bill.

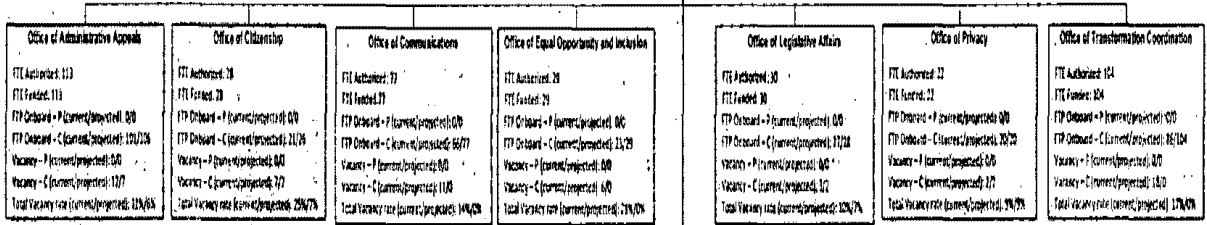
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FY17 President's Budget

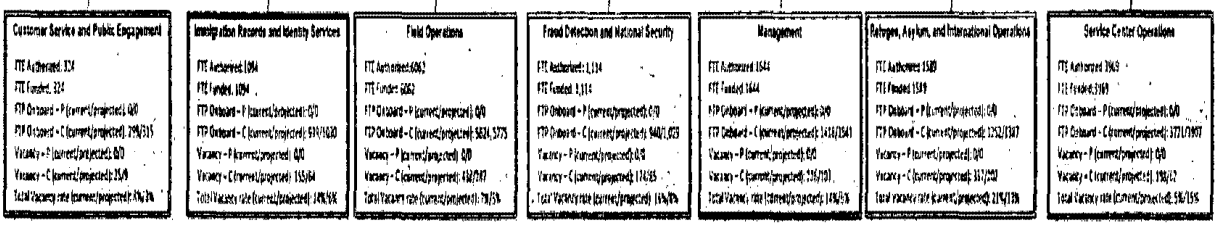
[REDACTED]



Program Offices



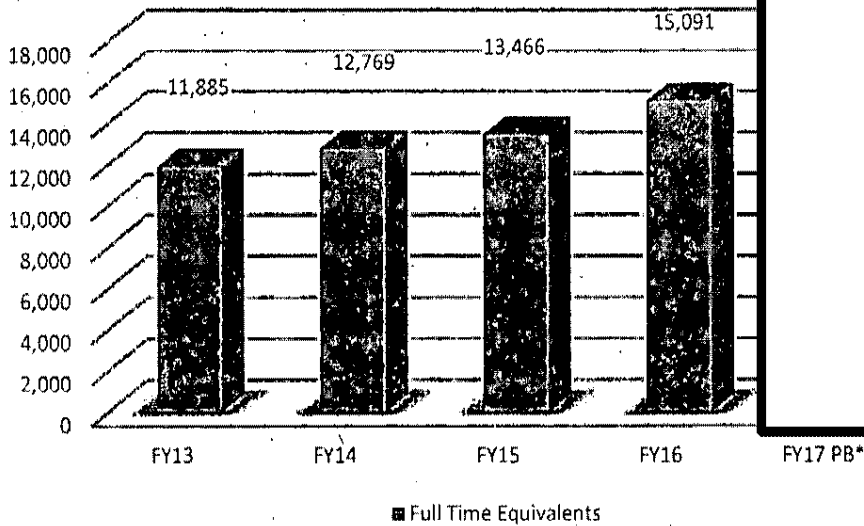
Directorates



* FY 2016. Does not include reimbursable, working capital, or revolving account employees. Authorized and onboard figures are as of May 14, 2016/Pay Period 9 and only include full-time permanent employees.

USCIS - 5-year Workforce Trend

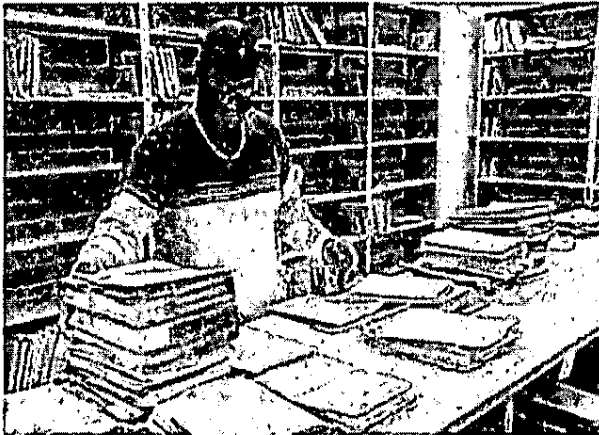
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*FY17 PB includes [Redacted] FTEs for enjoined aspects of Executive Action. Congress is likely to subtract this out of USCIS' initial budget authority in the FY 2017 appropriations bill.

Strategic Priorities

- **Transformation** - Each year, USCIS receives approximately seven million requests for immigration benefits and other action for review and adjudication. Until recently, a paper form was the primary workflow driver for processing each request, supported



USCIS employee sorting paper immigration files Photo: USCIS

by a number of stove-piped systems. Individual field offices would often acquire their own technology and develop innovative procedures to create more efficiencies in the paper process, but those local procedures were not necessarily adopted across the agency. Additionally, USCIS recognized that its dependence on paper files made it difficult to verify applicants' identities and provide DHS and other government agencies with the information they need to make informed business decisions.

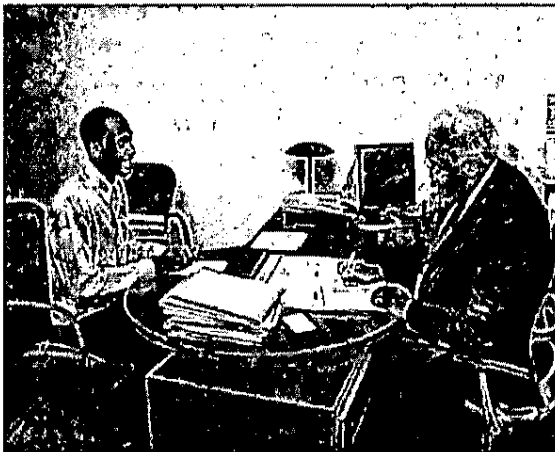
As part of a comprehensive set of initiatives to modernize, USCIS embarked on an enterprise-wide effort to transition from a paper-based to a paperless, electronic operational environment. The new operating environment, referred to internally as USCIS Electronic Immigration System (ELIS), is being delivered by the USCIS Office of Transformation Coordination in partnership with the USCIS Office of Information Technology. The system is supported by a number of enterprise data services that ensure the right information is available for the adjudication process.

The system eventually will also serve as USCIS' single case management system for all immigration benefits and requests. The life cycle cost estimate that was approved in April 2015 for the re-baselined program is [REDACTED] which includes all costs from 2006 – 2033.

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- Backlogs - Backlogs at USCIS have grown over the past year, mainly due to increased filings and a lack of resources necessary to complete the work in a timely manner. As USCIS is a fee-funded agency, there is a natural mechanism to increase funding commensurate with the increased workload. However, the workload can expand at a faster rate than USCIS is capable of matching with personnel, creating a backlog of cases that are pending adjudication and are outside of the specific cycle time goal (that is, outside the number of months USCIS expects it will take to adjudicate the specific form type).
- Verification Modernization - In 2012, USCIS initiated the Verification Modernization (VER MOD) program to modernize the E-Verify and Systematic Alien Verification for Entitlements (SAVE) programs, as well as a suite of supporting applications. The legacy programs are operational but are constrained by a tightly-coupled information technology architecture. Workload volumes for both programs are expected to continue to increase and are already beyond the current operational program limits. Modernization is intended to increase the capacity and flexibility of these programs in order to enable DHS to meet its mission to enforce and administer the nation's immigration laws. The projected life cycle cost of VER MOD is \$2.7 billion, which includes operations of both E-Verify and SAVE. The acquisition program was cleared by DHS to enter the execution phase in October 2015.

- Executive Actions - On November 20, 2014, President Barack Obama announced a series of executive actions related to immigration reform. As they relate to USCIS'



USCIS immigration officer interviews an applicant.
Photo: USCIS

mission, these initiatives included expanding access to the provisional waiver process to any individual who is statutorily eligible for an immigrant visa and can meet the requirements for such a waiver; modernizing, improving, and clarifying immigrant and nonimmigrant visa programs to support U.S. high-skilled businesses and workers; promoting citizenship education and public awareness for lawful permanent residents; and providing an option for naturalization applicants to use credit cards to pay the application fee. The

Presidential directives seek to ensure that all immigrant visa numbers allocated by Congress are used and to modernize the information technology infrastructure for the visa processing system. The President also directed the Secretary of State and the Secretary of Homeland Security to develop recommendations, in consultation with stakeholders and experts, to reduce government costs, improve services for applicants,

reduce burdens on employers, and combat waste, fraud, and abuse in the U.S. immigration system. In addition, President Obama directed leaders from 16 federal organizations to create a White House Task Force on New Americans to develop a coordinated federal strategy to better integrate new Americans into communities and support state and local efforts to do the same.

- Supporting Immigrant Integration Efforts - Since November 2014, following the release of the "Creating Welcoming Communities and Fully Integrating Immigrants and Refugees" Presidential Memorandum, USCIS and the White House Domestic Policy Council have served as co-chairs of the White House Task Force on New Americans ("Task Force"). The Task Force includes 16 federal departments, agencies, and White House offices and was charged with developing a coordinated federal strategy to better integrate immigrants into American communities. In April 2015, the Task Force issued a Strategic Action Plan with goals and recommended actions to build welcoming communities; strengthen existing pathways to naturalization and promote civic engagement; support the skill development, entrepreneurship, and protect new American workers; expand opportunities for linguistic integration and education; and strengthen federal immigrant and refugee integration infrastructure. Under the auspices of the Task Force, the federal government has made great strides in coordinating and enhancing immigrant integration activities, including implementing the more than 40 recommendations included in the Strategic Action Plan. USCIS seeks to continue these interagency coordination and implementation efforts to help immigrants integrate into communities and contribute to society to their fullest potential.



Refugee applicants in Jordan take an oath before their interview for refugee resettlement through the U.S. Refugee Admissions Program.

Key Partnerships / Stakeholders

Interagency	
Partner	Description
U.S. Department of Defense (DOD)	<p>USCIS has an interagency agreement to share biometric data for specific classes of immigrants through the Automated Biometric Identification System (ABIS).</p> <p>USCIS also has interagency agreements allowing U.S. military facilities to host immigration operations in support of U.S. military personnel seeking immigration benefits.</p> <p>For the naturalization process, USCIS receives confirmation from DoD of an applicant's military service and whether the applicant was honorably discharged from the U.S. Armed Forces.</p>
U.S. Department of Labor (DOL)	<p>USCIS and DOL work collaboratively on employment-based immigrant and nonimmigrant visa issues.</p>
U.S. Department of State (DOS)	<p>USCIS retrieves information relating to individuals receiving immigrant visas for the purpose of issuing Permanent Resident Cards. DOS issues U.S. passports and shares the authority to make decisions on U.S. citizenship claims.</p> <p>DOS is a data partner with the USCIS Immigration Records and Identity Services Directorate and shares information needed to validate passport and passport card data and photos for the E-Verify program.</p> <p>DOS also assists with payroll processing for overseas allowances</p> <p>DOS and DHS are partners in the U.S. Refugee Admissions Program, an interagency effort involving a number of governmental and non-governmental partners both overseas and in the United States who work together towards refugee admissions each year.</p>

Interagency	
Partner	Description
U.S. Department of Treasury, Fiscal Service	Treasury's Fiscal Service designates a Financial Agent (JP Morgan Chase line 12) to provide Lockbox Services for the collection of fees and associated immigration forms for USCIS. Fiscal Service and USCIS jointly manage the Lockbox Service Provider, through a Memorandum of Understanding. Treasury is USCIS' partner in managing the lockbox operation, which is responsible for the intake and deposit of approximately 90% of USCIS forms and fees.
Executive Office for Immigration Review (EOIR)	The immigration courts fall under the jurisdiction of EOIR and are responsible for conducting proceedings related to an individual's removal or deportation from, and/or admissibility to the United States. USCIS retrieves data collected by the immigration courts regarding hearing dates, results of the hearing, and status of the individual who is in proceedings before the court. USCIS also issues Notices to Appear, placing individuals into immigration proceedings before EOIR.
Federal Bureau of Investigation (FBI)	USCIS conducts background and security checks for most requests for immigration benefits. USCIS works with the FBI to obtain and complete background and security checks for individuals seeking immigration benefits.
General Services Administration (GSA)	The GSA acquires and manages all real property acquisitions and facilities related projects on behalf of USCIS. This directly supports USCIS' mission, allowing USCIS employees and customers to conduct business in safe and professional environments.

Stakeholder Groups and Federal Advisory Committees (FACA)	
Partner	Description

Stakeholder Groups and Federal Advisory Committees (FACA)	
Partner	Description
Non-governmental entities, community-based organizations, and various public and private associations.	There are many public and private entities and organizations that work with individuals seeking immigration benefits (e.g., Catholic Charities, Catholic Legal Immigration Network (CLINIC), National Council of La Raza, American Immigration Lawyers Association, United We Dream). USCIS frequently holds public outreach sessions with such organizations on various immigration issues and offers them an opportunity to provide feedback on issues such as customer service, agency policies, and case processing.

International Engagements	
Partner	Description
United Nations High Commissioner for Refugees (UNHCR)	UNHCR refers a vast majority of the refugee resettlement applicants to the U.S. Refugee Admissions Program.

Organized Labor / Advocacy Groups	
Partner	Description
American Federation of Government Employees (AFGE)-National Citizenship and Immigration Services Council (NCISC)	AFGE represents USCIS bargaining unit employees. USCIS and AFGE-NCISC work together to collaboratively negotiate and establish procedures for work conditions and resolve employee grievances.

Legislative Agenda

- Regional Center Termination Authority- In 1992, Congress created the Immigrant Investor Program, also known as the Regional Center Program. This sets aside EB-5 visas for participants who invest in commercial enterprises associated with regional centers approved by USCIS based on proposals for promoting economic growth. USCIS currently cannot deny EB-5 regional center program benefits solely due to concerns that the regional center, its associated commercial enterprises, or those in control of the regional center or associated commercial enterprises may be engaged in fraud or criminal activity, or may pose a threat to public safety or national security. USCIS wants to have discretion in its EB-5 adjudications to prohibit the participation or continued participation in the EB-5 program where it is determined there is fraud, criminal activity, or a threat to national security. USCIS also seeks to preclude judicial review of determinations made on cases involving public safety and/or national security as well as the discretionary decisions to permanently bar bad actors from the program.
- Naturalization Requirements for Elderly Applicants - The redesigned naturalization test, implemented on October 1, 2008, standardized the content and administration of the naturalization test; however, elderly test takers are still at a much higher risk of not naturalizing because of their inability to meet the educational requirements for naturalization. Based on internal analysis of USCIS data from October 1, 2009 through April 30, 2016, older applicants have a significantly lower pass rate on the naturalization test compared to younger applicants. Data shows that the pass rate for first time test takers ages 18-25 was 98%, and for those ages 25-35 was 96.6%. The pass rate declines by age group. For applicants ages 65-74, the pass rate was 39.6%, for those ages 75-84, the pass rate was 26%, and for those ages 85 and over, the pass rate was 14%. USCIS proposes an amendment to Section 312 of the Immigration and Nationality Act (INA) to provide an additional age and time-as-resident exemption from the English-language requirements for applicants who are 60 years old and who have been living in the United States for periods totaling at least 10 years at the time of filing the Form N-400, Application for Naturalization. Additionally, this amendment would lift both the English-language and civics requirements per INA 312 (a)(1) and (a)(2) for individuals who are 65 years old and who have been living in the United States for periods totaling at least five years at the time of filing Form N-400.
- Refugee Fingerprint Collection – Refugee applicants are fingerprinted generally at the time of the applicant’s USCIS interview abroad and are then checked against electronic databases as part of the background and security progress. The results of these checks are, therefore, not available to a USCIS officer until after the interview has been completed. Currently, refugee applicants 14 to 79 years old are required to submit their fingerprints, along with photographs and biographic information, to USCIS. Those fingerprints are then checked against electronic databases as part of the background and security progress. USCIS would like to amend the law to allow

nongovernmental organizations, working under cooperative agreements with the Department of State (DOS), to collect fingerprints from refugee applicants during the pre-screening stage. This amendment will allow greater flexibility for the U.S. Refugee Admissions Program to collect fingerprints prior to the USCIS interview while still providing appropriate safeguards to ensure the integrity and security of the collection, providing USCIS with the opportunity to review fingerprint results prior to the interview and to address questions pertaining to those results during the interview, as appropriate. Refugees are not admitted to the United States until all required security checks have been completed.

- Citizenship and Integration Grant Program - Since FY 2009, the Citizenship and Integration Grant Program has been authorized by Congress on an annual basis. The lack of a permanent authorization and need to wait until the appropriations bills are enacted into law has a significant operational impact on the program each year. In an effort to address this ongoing uncertainty, this proposal would permanently (or for a period of six years) authorize USCIS to award immigrant integration grants using funds from the Immigration Examinations Fee Account (i.e., not appropriations). Notwithstanding section 1356(n) of Title 8, United States Code, USCIS would like an allocation of the funds deposited into the Immigration Examinations Fee Account, up to \$10,000,000 for FY 2017, and up to \$15,000,000 in each fiscal year thereafter, for the purpose of providing an immigrant integration grants program.
- National Crime Information Center (NCIC) Access - USCIS is charged with the critical mission of protecting the national security and public safety through ensuring that applicants for a wide variety of immigration and citizenship benefits under the Immigration and Nationality Act are eligible for the benefit sought, including determining whether criminal grounds of ineligibility apply. Current statute defines "immigration and naturalization matters" as "noncriminal justice purposes," which limits access to only select portions of the NCIC criminal records database. USCIS seeks full access to NCIC including: (1) sealed record information, including juvenile records, and (2) conduct name-based (rather than fingerprint-based) checks to ensure all criminal records are reviewed prior to validating eligibility for a specific immigration benefit or request for action. This will significantly improve USCIS' ability to perform its mission by identifying potentially relevant criminal history, including in those cases (such as reviewing a previously granted benefit for a possible basis of revocation) where current fingerprints are not available for submission.

**Government Accountability Office / Office of the Inspector General
Audits**

GAO Audits			
Title	Report Number	Description	Final Report Due
"Immigration Benefits Systems: U.S. Citizenship and Immigration Services Can Improve Program Management"	GAO-16-467	House Committee on Homeland Security requested audit to assess the extent to which the USCIS Transformation program uses information technology program management best practices. GAO found that software development and systems integration and testing for USCIS's Electronic Immigration System (USCIS ELIS) have not consistently been managed in line with the program's policies and guidance or with leading practices. The report contained 12 recommendations, with which DHS concurred.	Final report issued July 7, 2016
Refugee Screening Process	N/A (GAO job code 100527)	House Committee on Homeland Security requested audit to determine: (1) What do data indicate about the characteristics of refugee resettlement applications to the United States?; (2) How does the Department of Homeland Security (DHS) determine admissibility for refugees seeking resettlement in the United States?; (3) To what extent have DHS and State implemented policies and procedures for conducting security checks of applicants for refugee resettlement?; and (4) How, if at all, do DHS and State coordinate with other U.S. agencies in conducting such security checks?	Projected report release date to be determined. GAO announced the audit in January 2016 and is currently conducting fieldwork.

OIG Audits			
Title	Report Number	Description	Final Report Due
DHS Use of Biometric Information to Detect and Respond to Naturalization Fraud	N/A (OIG job code 14-127)	OIG self-initiated audit of the results of Operation Janus, a DHS study that identified approximately 1,650 aliens who may have engaged in naturalization fraud. Specifically, the Operation Janus study purports to have identified aliens who received naturalization, despite DHS biometric records that associated these aliens with multiple identities and Final Removal Orders.	Projected report release date to be determined. OIG issued the draft report in July 2016 and DHS's written response is due in late FY2016

OIG Audits			
Title	Report Number	Description	Final Report Due
Asylum: Additional Actions Needed to Assess and Address Fraud Risks	GAO-16-50	House Committee on the Judiciary requested audit to assess: (1) What do the Department of Homeland Security's (DHS) and the Department of Justice (DOJ) Executive Office for Immigration Review's (EOIR) data indicate about the number and characteristics of asylum claims over the past 5 years? (2) To what extent have U.S. Citizenship and Immigration Services (USCIS) and EOIR developed and implemented policies and procedures to detect and prevent fraud in the asylum process? (3) What federal public benefits were provided to asylees who had their status terminated for fraud?	Report issued on December 2, 2015.
H-2A and H-2B Visa Programs: Increased Protections Needed for Foreign Workers	GAO-15-154	Multi-agency audit including the Departments of Homeland Security, Justice, Labor, State, and Health and Human Services in response to a congressional mandate under engagement code 131251, between June 2013 and October 2014. This report examines (1) the number of H-2A and H-2B workers who enter the country and the occupations they fill, (2) how U.S. employers recruit H-2A and H-2B workers and what abuse may occur in recruitment and employment, and (3) how well federal departments and agencies protect H-2A and H-2B workers.	Report issued on March 6, 2015.

From: Inouye, Shinichi (Shin)
To: Adeleve, David; Alfonso, Angelica M; Allred, Esther R; Atkinson, Ronald A; Bird, John W (Wally); Bjorn Dahl, Jami A; Blando, Steve E; Boyd, Jamilah M (CTR); Brown, Katherine H; Buchan, Lesley L; Carpenter, Dea D; Carty-Pratt, Kristina E; Choi, Juliet K; Delgado, Daniel; Hatchett, Doline L; Emrich, Matthew D; Ferreira, Joanne M; Fischer, Mariestella; Groom, Molly M; Herrmann, Mary K; Hyams, Emilie R; Inouye, Shinichi (Shin); Irazabal, Luz E; Jaddou, Ur M; Carter, Jeffrey T (Jeff); Kerns, Kevin J; Krebs, Kristie L; Langlois, Joseph E; Lankster, Lakeeshia L; Levine, Laurence D; Martin, Heather A; McCament, James W; McKinney, James R (Jim); Meckley, Tammy M; Mejero, Mariela; Munoz-Acevedo, Carlos; Neufeld, Donald W; Nimick, Charles L (Locky); Ostapowich, Stephanie A; Patching, Laura D; Powell, Paul; Prelogar, Brandon B; Renaud, Daniel M; Renaud, Tracy L; Rigdon, Jerry L; Rodriguez, Leon; Rogers, Debra A; Rosenber, Ronald M (Ron); Salas, Bryan E; Savina, Jennifer P (CTR); Scialabba, Lori L; Scott, Danielle N; Solano, Esther A; Stiefel, Nathaniel I; Swanson, Toni; Tintary, Ruth E; Valverde, Michael; Vanison, Denise; Walters, Jessica S; Young, Todd P
Subject: Cip - News 96.5: Judge tells new citizens Trump is their president, don't like it they can go to another country
Date: Friday, November 18, 2016 6:55:10 PM

<http://www.news965.com/news/news/national/judge-tells-new-citizens-trump-their-president-don/ns9r9/>

Posted: 6:37 a.m. Friday, Nov. 18, 2016

Judge tells new citizens Trump is their president, don't like it they can go to another country

By Natalie Dreier

Cox Media Group National Content Desk

SAN ANTONIO, Texas —

A Texas judge had some tough words for new citizens of the United States.

Judge John Primomo said to those people who recently took their oath of citizenship, "I can assure you that whether you voted for him or you did not vote for him, if you are a citizen of the United States, he is your president. He will be your president and if you do not like that, you need to go to another country."

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The statement was made during the ceremony Thursday night. Primomo is a federal judge, [KENS reported](#).

The judge didn't stop there. He also criticized protesters who have been carrying signs that say Trump is not their president and NFL players who have been protesting by taking a knee during the national anthem.

"I detest that, because you can protest things that happen in this country; you have every right to. You don't do that by offending national symbols like the national anthem and the flag of the United States," Primomo said.

He said that his comments were intended to bring the group together and to teach respect when it comes to the office of the president, [KENS reported](#). He said he didn't vote for Trump.

[Read more here](#), including reaction from the new citizens.

From: Inouye, Shinichi (Shin)
To: Adeleve, David; Alfonso, Angelica M; Allred, Esther R; Atkinson, Ronald A; Bird, John W (Wall); Biorndahl, Jami A; Blando, Steve E; Boyd, Jamilah M (CTR); Brown, Katherine H; Buchan, Lesley L; Carpenter, Dea D; Carty-Pratt, Kristina E; Choi, Juliet K; Delgado, Daniel; Hatchett, Doline L; Emrich, Matthew D; Ferreira, Joanne M; Fischer, Mariestella; Groom, Molly M; Herrmann, Mary K; Hyams, Emilie R; Inouye, Shinichi (Shin); Irazabal, Luz E; Jaddou, Or M; Carter, Jeffrey T (Jeff); Kerns, Kevin J; Krebs, Kristie L; Langlois, Joseph E; Lankster, Lakeeshia L; Levine, Laurence D; Martin, Heather A; McCament, James W; McKinney, James R (Jim); Meckley, Tammy M; Mejero, Mariela; Munoz-Acevedo, Carlos; Neufeld, Donald W; Nimick, Charles L (Locky); Ostapowich, Stephanie A; Patching, Laura D; Powell, Paul; Prelogar, Brandon B; Renaud, Daniel M; Renaud, Tracy L; Rigdon, Jerry L; Rodriguez, Leon; Rogers, Debra A; Rosenberg, Ronald M (Ron); Salas, Bryan E; Savina, Jennifer P (Jenni); Socialabba, Lori L; Scott, Danielle N; Solano, Esther A; Stiefel, Nathaniel J; Swanson, Toni; Tintary, Ruth E; Valverde, Michael; Vanison, Denise; Walters, Jessica S; Young, Todd P
Subject: Clip - WP: Retired Marine Gen. John F. Kelly picked to head Department of Homeland Security
Date: Wednesday, December 07, 2016 11:50:57 AM

https://www.washingtonpost.com/world/national-security/retired-marine-gen-john-f-kelly-picked-to-head-department-of-homeland-security/2016/12/07/165472f2-bbe6-11e6-94ac-3d324840106c_story.html?utm_term=.fc93fcae5659&wpisrc=al_alert-COMBO-politics%252Bnation

Retired Marine Gen. John F. Kelly picked to head Department of Homeland Security

By [Jerry Markon](#) and [Dan Lamothe](#) December 7 at 11:36 AM

President-elect Donald Trump has chosen retired Marine Gen. John F. Kelly to run the Department of Homeland Security, turning to a blunt-spoken border security hawk who clashed with the Obama administration over women in combat and plans to close the prison at Guantanamo Bay, according to people familiar with the decision.

Kelly, who retired in February as chief of U.S. Southern Command, would inherit a massive and often troubled department responsible for overseeing perhaps the most controversial part of Trump's agenda: his proposed crackdown on illegal immigration. DHS is the

third-largest Cabinet department, with more than 240,000 employees who do everything from fight terrorism to protect the president and enforce immigration laws.

Kelly, 66, is a widely-respected military officer who served for more than 40 years, and he is not expected to face difficulty winning Senate confirmation. Trump's team was drawn to him because of his southwest border expertise, people familiar with the transition said. Like the president-elect Kelly has sounded the alarm about drugs, terrorism and other cross-border threats he seems as emanating from Central and South America.

Yet Kelly's nomination could raise questions about what critics see as Trump's tendency to surround himself with too many military figures. Trump has also selected retired Marine Gen. James N. Mattis for defense secretary and retired Lt. Gen. Michael T. Flynn as national security adviser, while retired Army Gen. David Petraeus is under consideration for secretary of state.

Kelly, a Boston native, was chosen over an array of other candidates who also met with Trump after his surprise election victory last month. Those in contention included Frances Townsend, a top homeland security and counterterrorism official in the George W. Bush administration; Milwaukee County sheriff David Clarke and Kansas Secretary of State Kris Kobach. Clarke and Kobach are vocal Trump backers, with Kobach being nationally known for his strong views on restricting illegal immigration.

In the end, people familiar with the transition said, the choice came down to Kelly and Rep. Michael McCaul (R-Tex.), chairman of the House Homeland Security Committee. McCaul was considered an early favorite, but his chances were hurt by opposition from some conservatives who found him insufficiently tough on border security, the people said.

Known inside the Pentagon as a thoughtful man who continued serving his country even after his son was killed in combat, Kelly has talked in stark terms — much like Trump -- about the threats America faces in the Middle East and beyond. In speeches, he has expressed frustration with what he calls the “bureaucrats” in Washington, and he described the military’s counterterrorism operations abroad as a war against a “savage” enemy who would gladly launch more deadly attacks.

“Given the opportunity to do another 9/11, our vicious enemy would do it today, tomorrow and everyday thereafter,” Kelly said in a 2013 Memorial Day address in Texas. “I don’t know why they hate us, and I frankly don’t care, but they do hate us and are driven irrationally to our destruction.”

His blunt manner led to conflicts within the Obama administration, where he served more than three years as Southern Command chief — overseeing military operations across Central and South America — and as senior military adviser to defense secretaries Robert M. Gates and Leon E. Panetta.

Kelly opposed Obama’s failed plans to close Guantanamo, people familiar with his views say, and he has strongly defended how the military handles detainees. In a 2014 interview, he told The Washington Post that criticism of their treatment by human rights groups and others was “foolishness.”

He also publicly expressed concerns over the Pentagon’s order in December that for the first time opened all jobs in combat units to women, including the most elite forces such as the Navy SEALs. “They’re saying we are not going to change any standards,” Kelly told reporters at the Pentagon. “There will be great pressure, whether it’s 12 months from now, four years from now, because the

question will be asked whether we've let women into these other roles, why aren't they staying in those other roles?"

On the personal side, Kelly learned firsthand the pain and loss suffered by many military families. His son, 2nd Lt. Robert M. Kelly, died in Afghanistan fighting the Taliban in 2010. Four days later, the general delivered a passionate and at times angry speech about the military's sacrifices and its troops' growing sense of isolation from society.

"Their struggle is your struggle," he told a crowd of former Marines and business people in St. Louis. "If anyone thinks you can somehow thank them for their service, and not support the cause for which they fight - our country - these people are lying to themselves. . . . More important, they are slighting our warriors and mocking their commitment to this nation."

He never mentioned his son by name. The speech has been passed around the Internet ever since.

As DHS secretary, Kelly would take on what is considered to be one of Washington's most challenging jobs, in part because of the agency's persistent management problems and employee morale that is among the federal government's lowest.

Although DHS was created after the Sept. 11, 2001 attacks primarily to coordinate the battle against terrorism, it is now perhaps equally known for its immigration role. Trump has pledged a crackdown on illegal immigration that would require an expensive and logistically difficult operation to remove millions from the country.

That work would be overseen by DHS components such as U.S. Immigration and Customs Enforcement (ICE), which Trump has proposed to beef up by tripling the number of agents. U.S. Customs

and Border Protection, also part of DHS, is also likely to come under increased pressure in the Trump administration to better secure the Southwest border.

Perhaps Kelly's most visible role would be to help oversee Trump's signature campaign promise: a wall along the U.S.-Mexico border to keep out illegal immigrants. Trump has said the construction will be easy, but experts say the structure would face numerous obstacles, such as environmental and engineering problems and fights with ranchers and others who would resist giving up their land.

The president-elect and his homeland security secretary appear to be in synch on cross-border threats.

In congressional testimony last year, Kelly said the Southern Command was "just barely" able to keep on the "pilot light of U.S. military engagement" in the border region, and he warned that existing smuggling routes into the United States could be used by terrorist groups.

"Despite the heroic efforts of our law enforcement colleagues, criminal organizations are constantly adapting their methods for trafficking across our borders," Kelly told the Senate Armed Services Committee. "While there is not yet any indication that the criminal networks involved in human and drug trafficking are interested in supporting the efforts of terrorist groups, these networks could unwittingly, or even wittingly, facilitate the movement of terrorist operatives or weapons of mass destruction toward our borders."

Kelly's thoughts on other controversial issues, however, have been markedly more measured than Trump's. While the president-elect once called for a ban on all Muslims entering the United States,

Kelly has said U.S. troops “respect and even fight for the right of your neighbor to venerate any God he or she damn well pleases.”

He has also stressed the importance of enforcing human rights, and told military commanders in Latin America that they revert to the past and overthrow civilian leaders with whom they disagree.

“Since 1945, no one in the U.S. military has liked the end result of the military conflicts we’ve been in: Vietnam, Korea, certainly Iraq, and probably Afghanistan,” Kelly said in a 2015 discussion at the Pacific Council on International Policy. “But in a democracy, you salute. You suck it up. . . You cannot act.”

Earlier in his career, Kelly served as the assistant commander of the 1st Marine Division under Mattis during the initial invasion of Iraq in 2003. He returned there again in 2004, and a third time in 2008, when he was named the top U.S. commander in western Iraq. Before becoming a general, Kelly served as a special assistant to the North Atlantic Treaty Organization’s supreme allied commander for Europe, working from Belgium.

From: Renaud, Tracy L
To: Earnam, Julie E
Subject: Clip
Date: Monday, November 14, 2016 1:17:00 PM

<http://www.azcentral.com/story/news/politics/politicalinsider/2016/11/11/sb1070-author-kris-kobach-joins-donald-trump-immigration-transition-team/93628108/>

*Tracy L. Renaud
Associate Director
Management Directorate
US Citizenship & Immigration Services
Department of Homeland Security
202-272-1739 (desk)*

From: [Renaud, Tracy L](#)
To: [Hofer, Michael D](#); [Howard, Rothley L](#)
Subject: FOIA for DNC re: Trump filings
Date: Tuesday, August 02, 2016 9:58:00 AM

Mike/Rothley,

Kevin mentioned that you received a FOIA from DNC requesting information on filings by the Trump business enterprises. Can you send me the actual FOIA request please? I just want to alert the transition team at the Department. Also, I understand from Kevin that in processing these in the normal first-in/first-out fashion this FOIA would not be completed soon, how far out would you anticipate getting to it? After election?

*Tracy L. Renaud
Associate Director
Management Directorate
US Citizenship & Immigration Services
Department of Homeland Security
202-272-1739 (desk)*

From: [Renaud, Tracy L](#)
To: [Micone, Vincent](#); [Stewart, Bion](#)
Cc: [Farnam, Julie E](#); [USCIS Presidential Transition](#)
Subject: FOIA Request from DNC
Date: Tuesday, August 02, 2016 11:27:00 AM
Attachments: [Request%20Letter.pdf](#)

Vince and Bion,

I just want to alert you that last week USCIS received a FOIA request from the DNC asking for information related to a number of Trump enterprises (FOIA is attached). Our FOIA requests are processed first-in/first-out so under normal processes it could take as much as 3 months for us to get to this request using our normal processes. I thought it odd that they are reaching through FOIA rather than through the transition team so I wanted to bring it to your attention right away. If you have any questions let me know.

*Tracy L. Renaud
Associate Director
Management Directorate
US Citizenship & Immigration Services
Department of Homeland Security
202-272-1739 (desk)*

From: Farnam, Julie E
To: Simmons, Tina Y; Joseph, Renee J
Cc: Beaudoin, Duane A; IPO FOIA SIG Requests; Colucci, Nicholas V; Renaud, Tracy L; Dominguez, Kathleen P
Subject: FOIA Requests
Date: Tuesday, August 02, 2016 2:54:48 PM

Good afternoon,

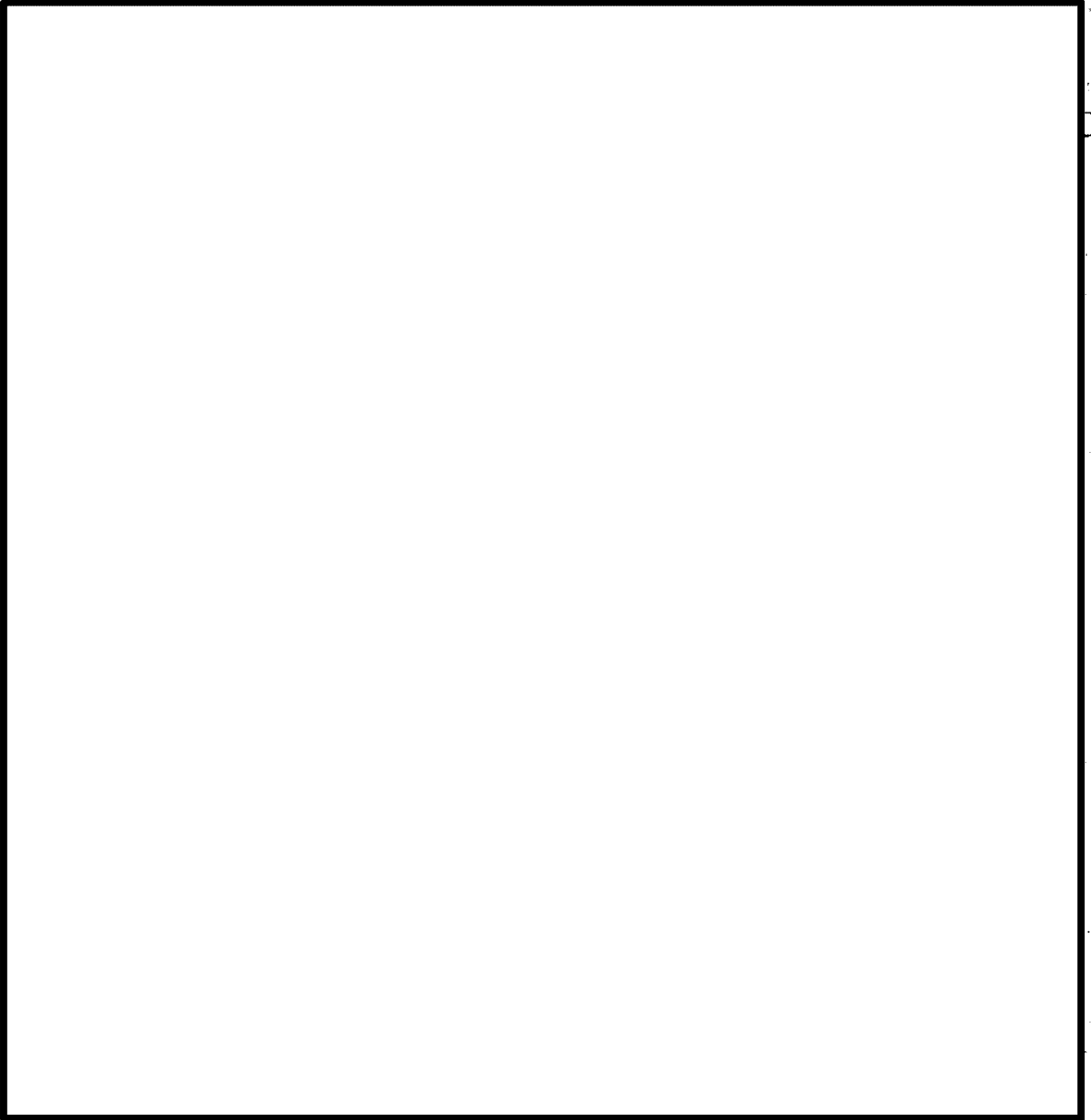
If you receive any FOIA requests related to Clinton or Trump, please let me know right away because we will need to alert the presidential transition team at DHS. We've already made this same request of FOIA/IRIS, but just to cover all our bases, it would be helpful if you could also let me know.

You can continue to work the cases as you normally would, but please copy me on any response you send to FOIA. And particularly for EB-5, I know we've already received several FOIA requests related to the presidential candidates before they were candidates and to the extent possible we can always try to recycle previously submitted responses. Thank you for your help on this.

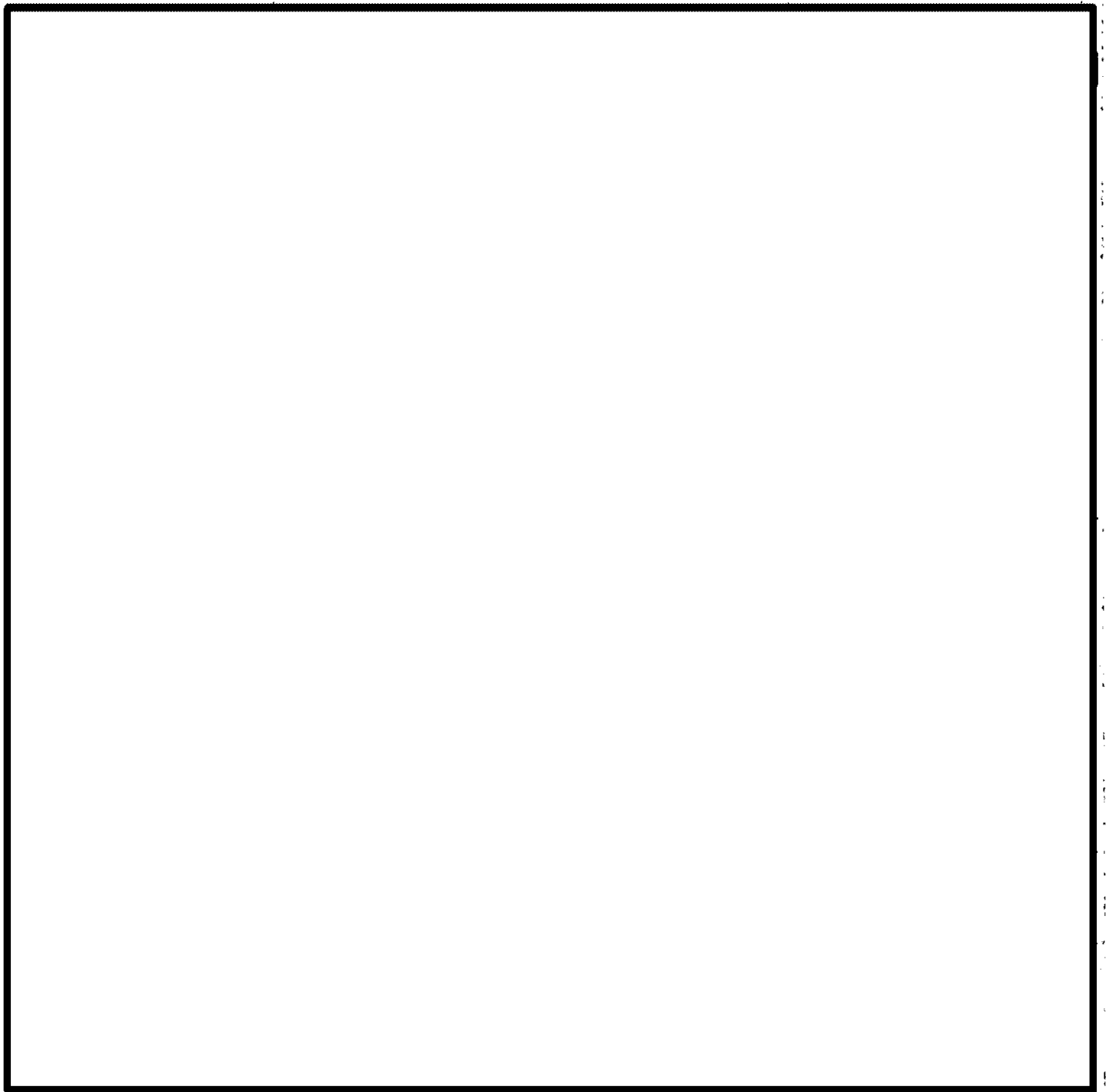
Julie Farnam
Special Assistant
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
(c) 202-489-8802

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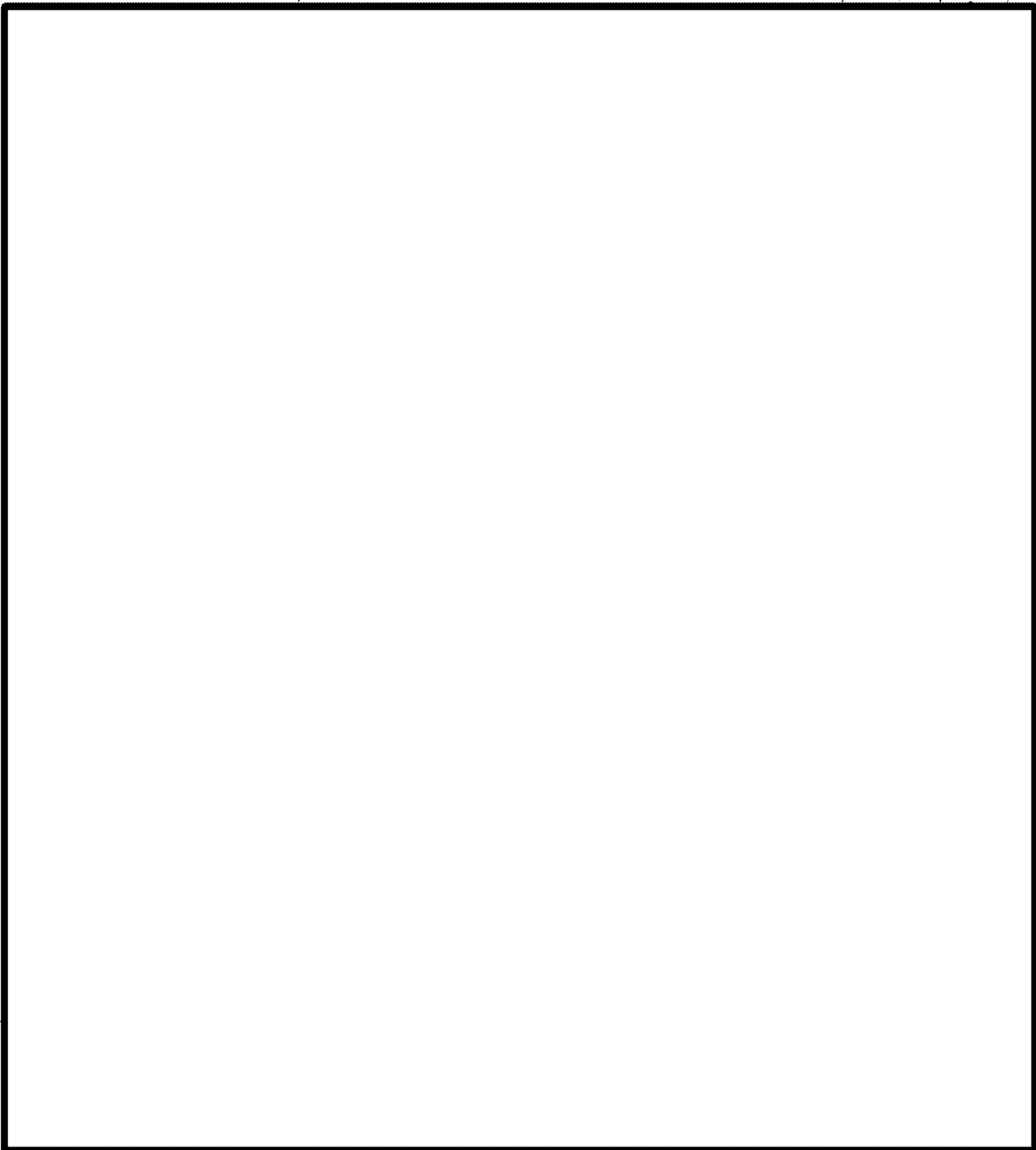
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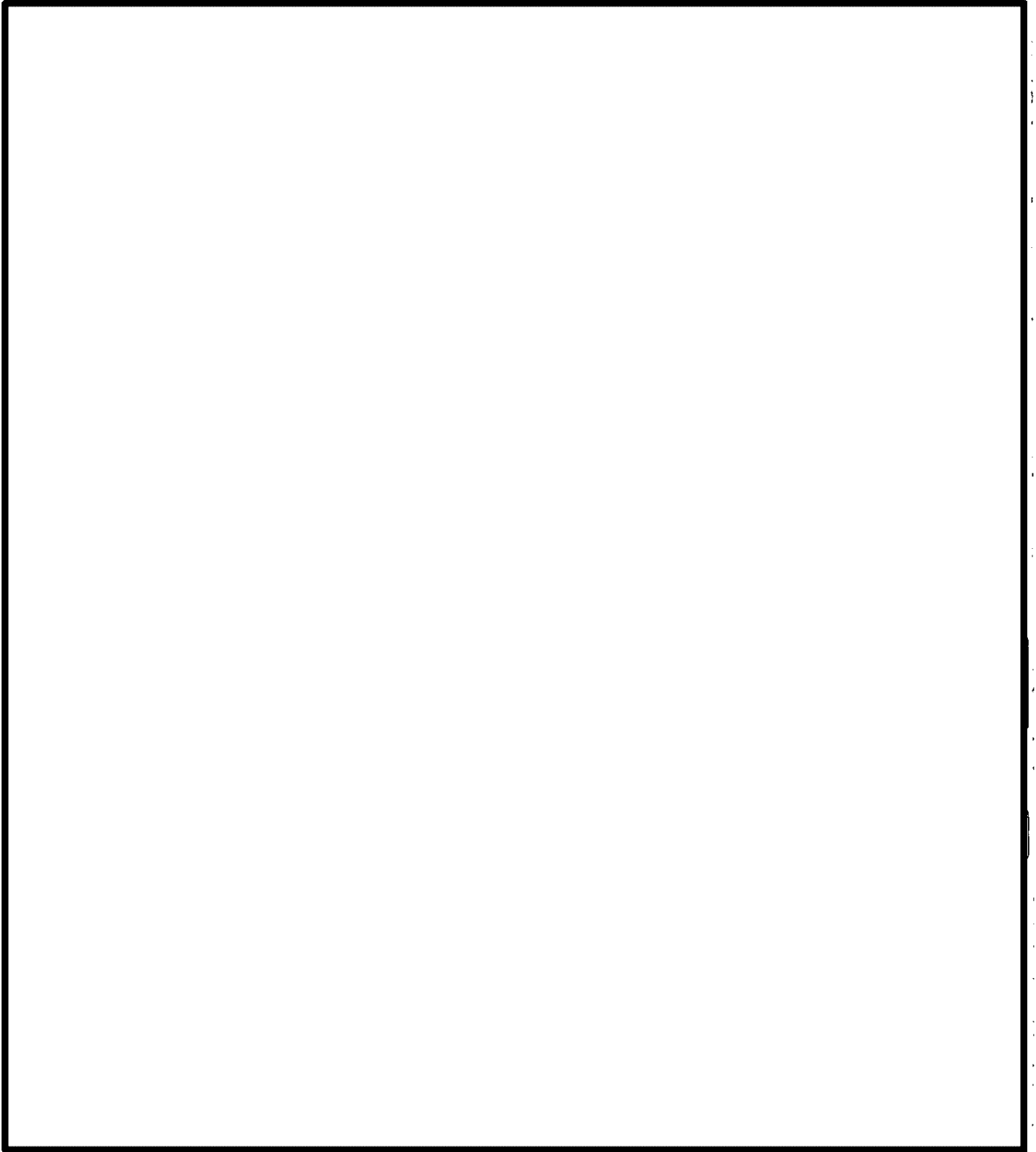
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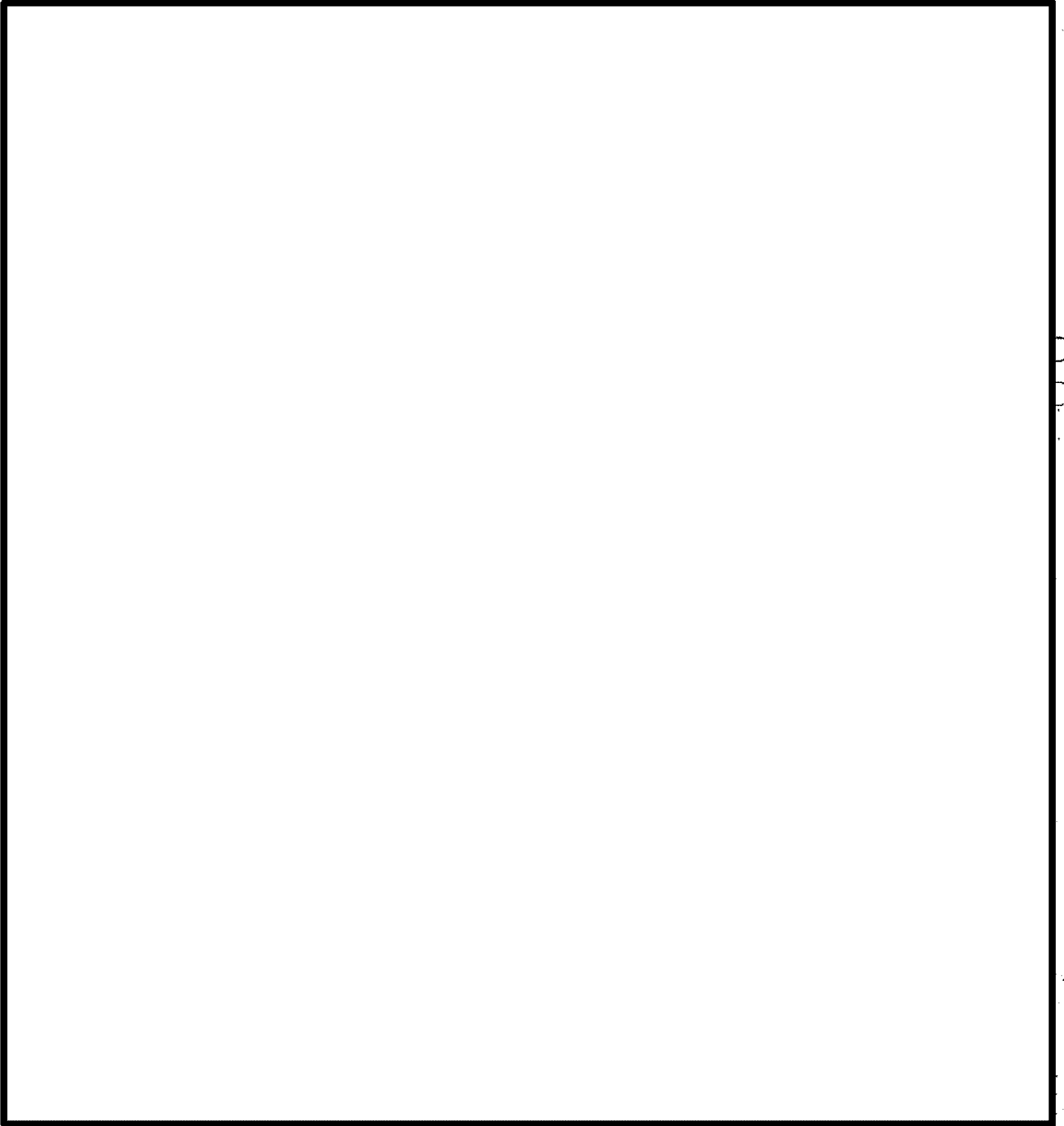
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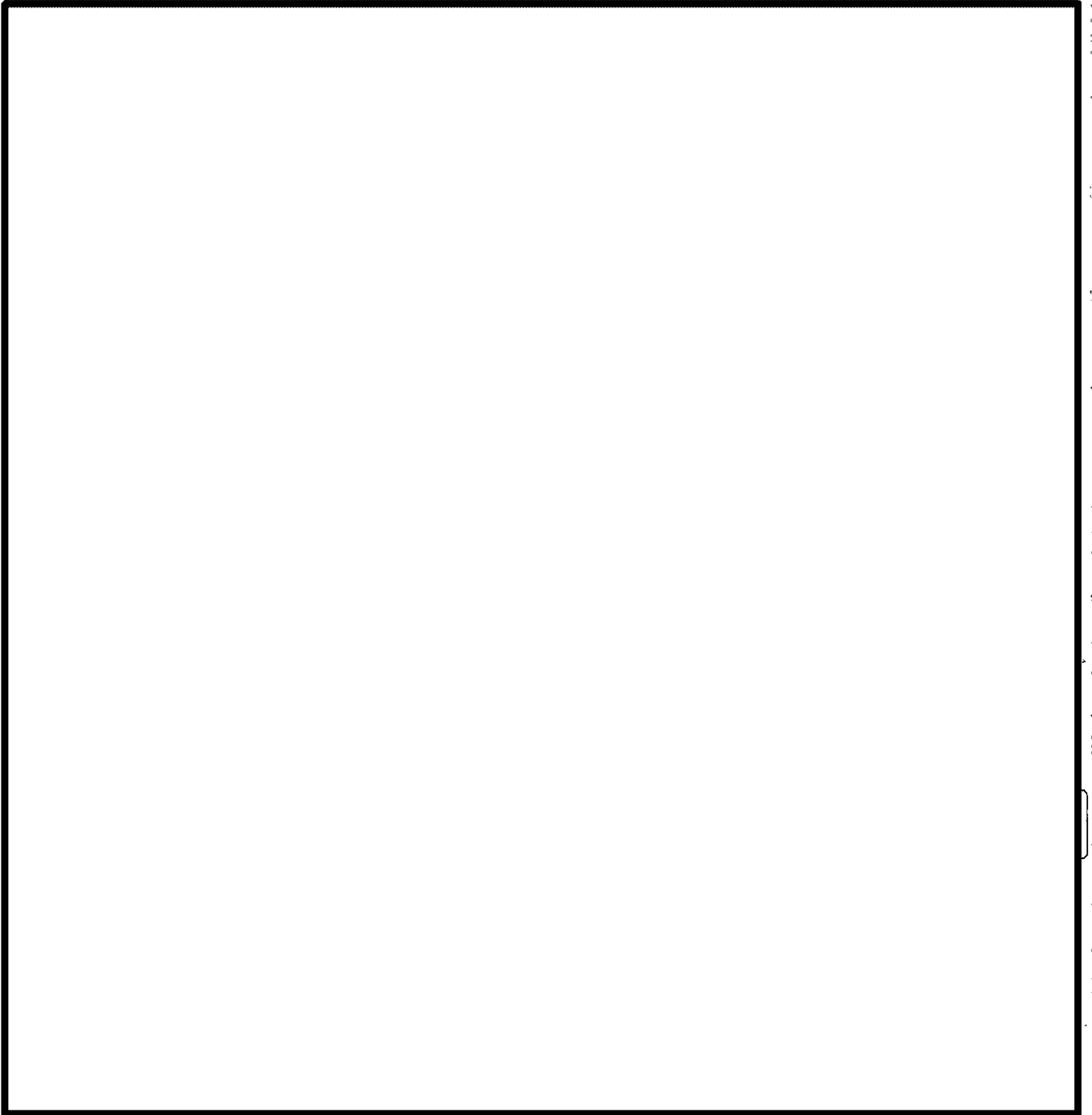
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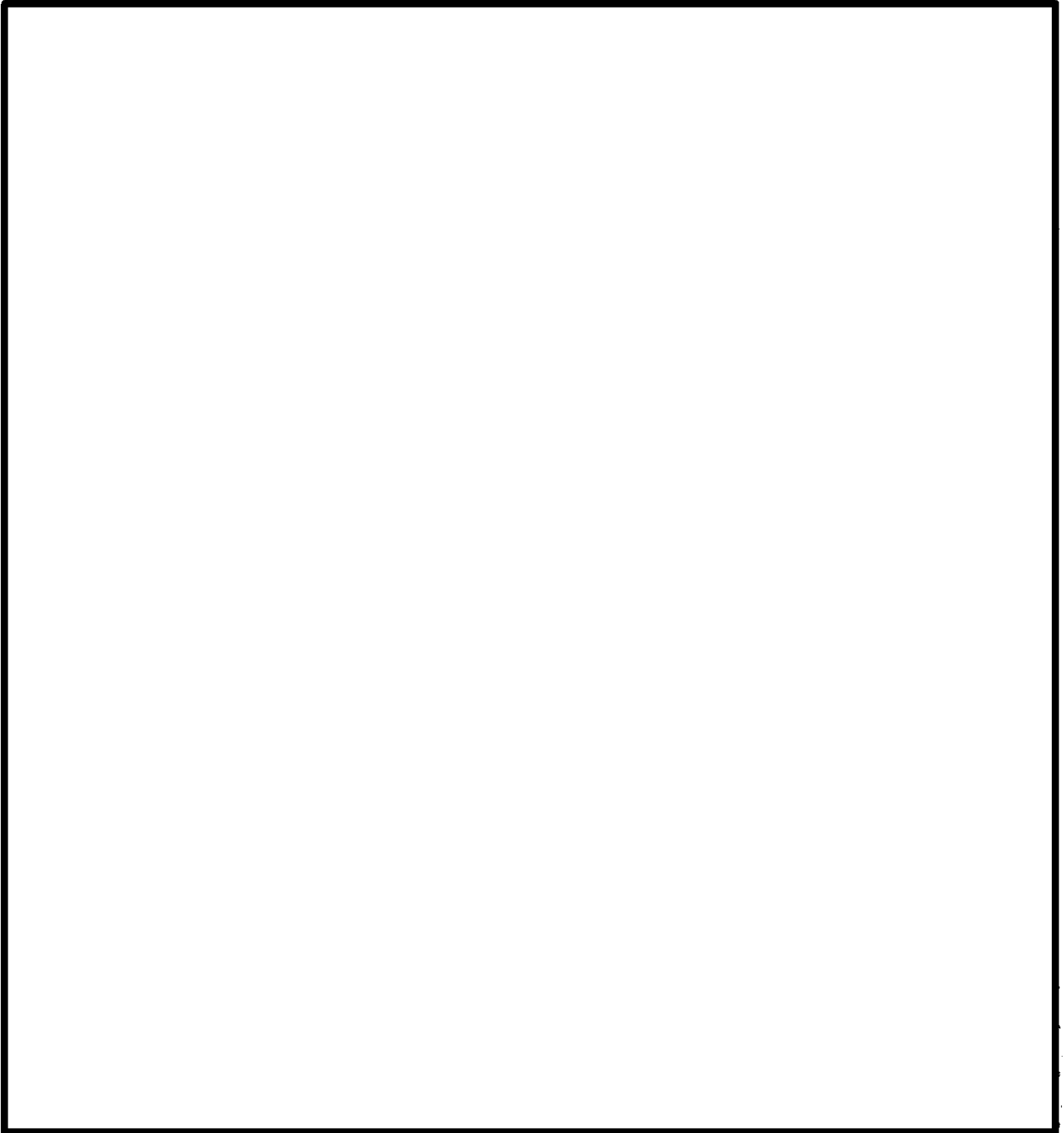


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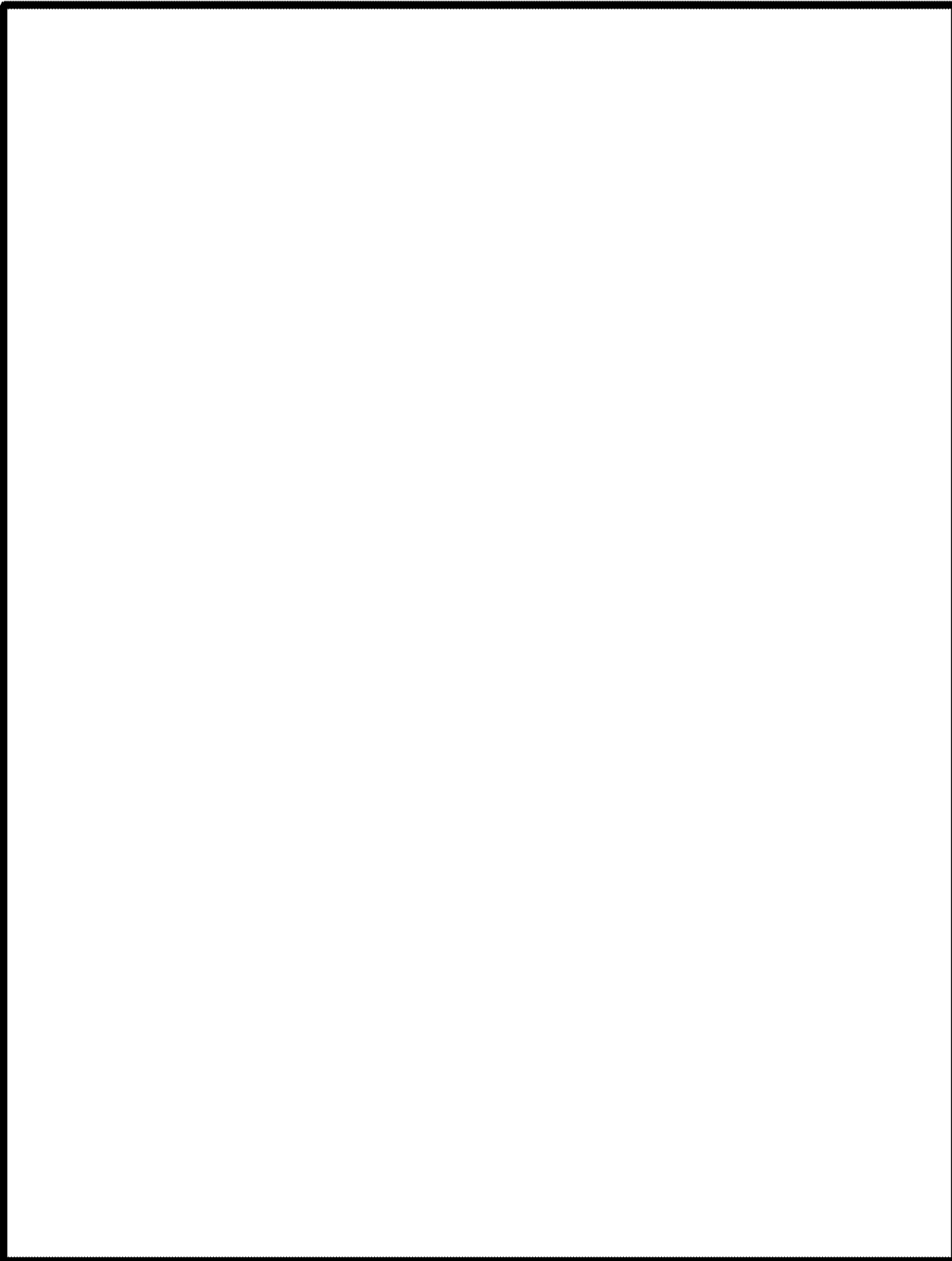
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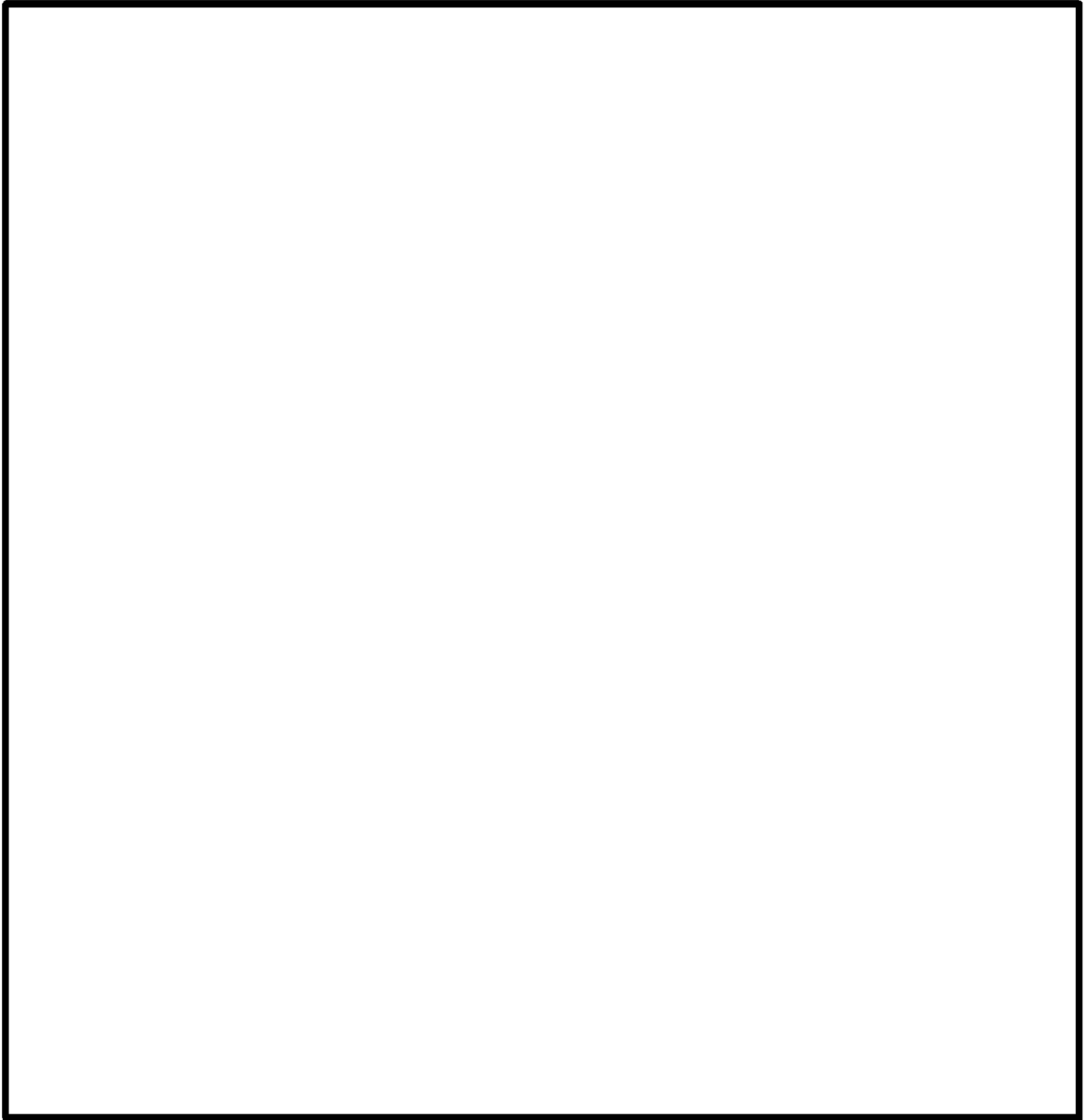
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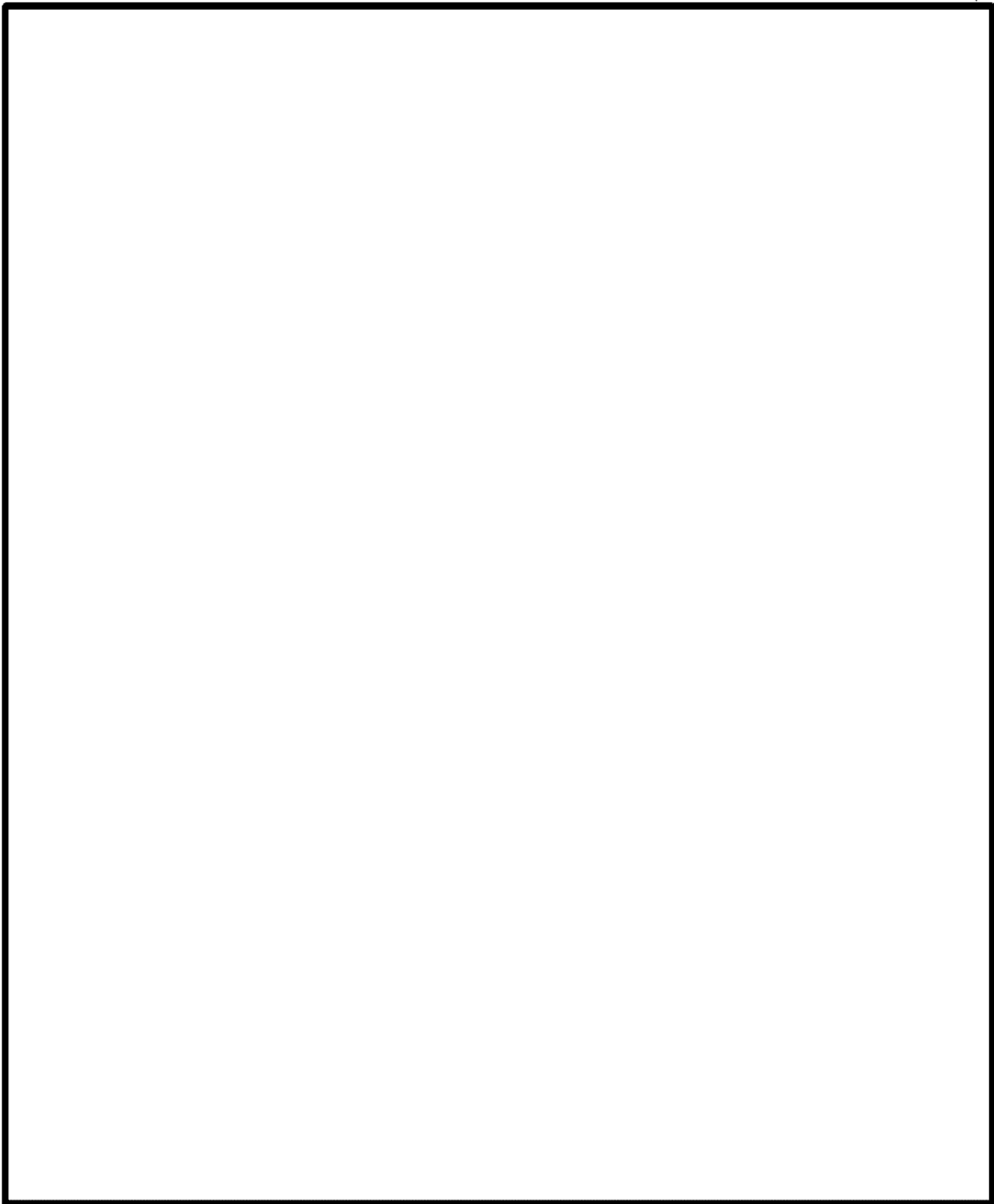
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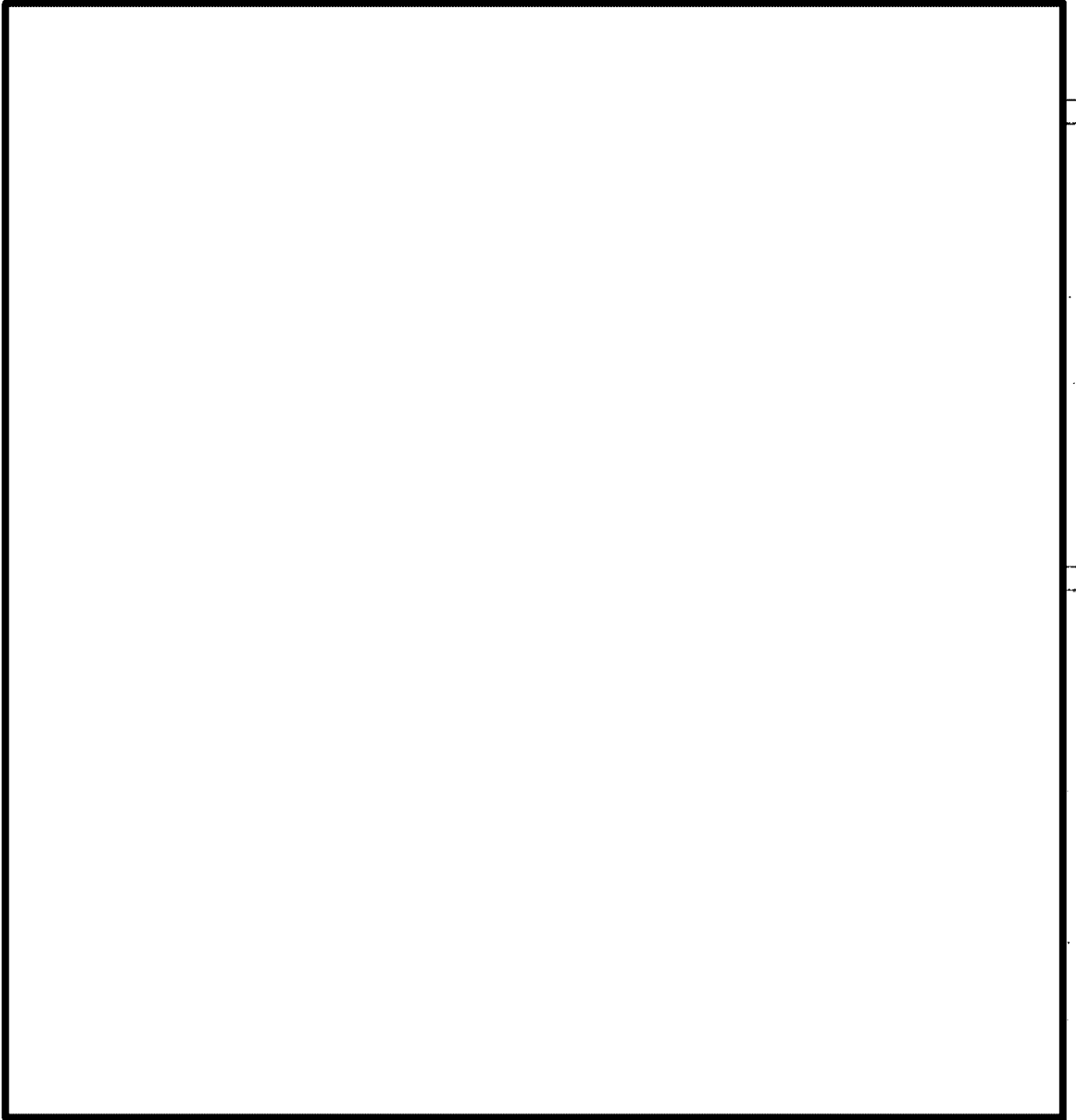
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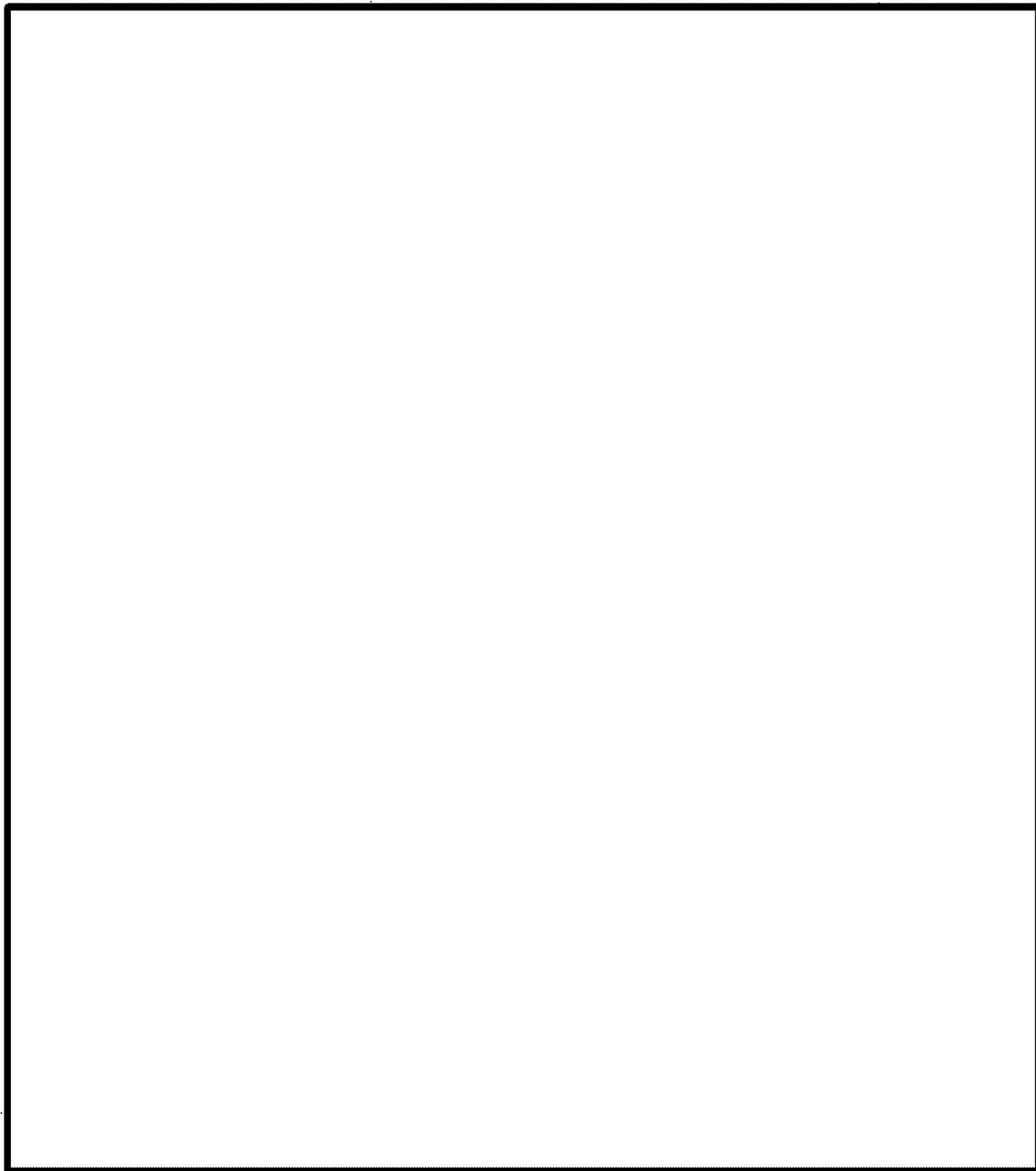
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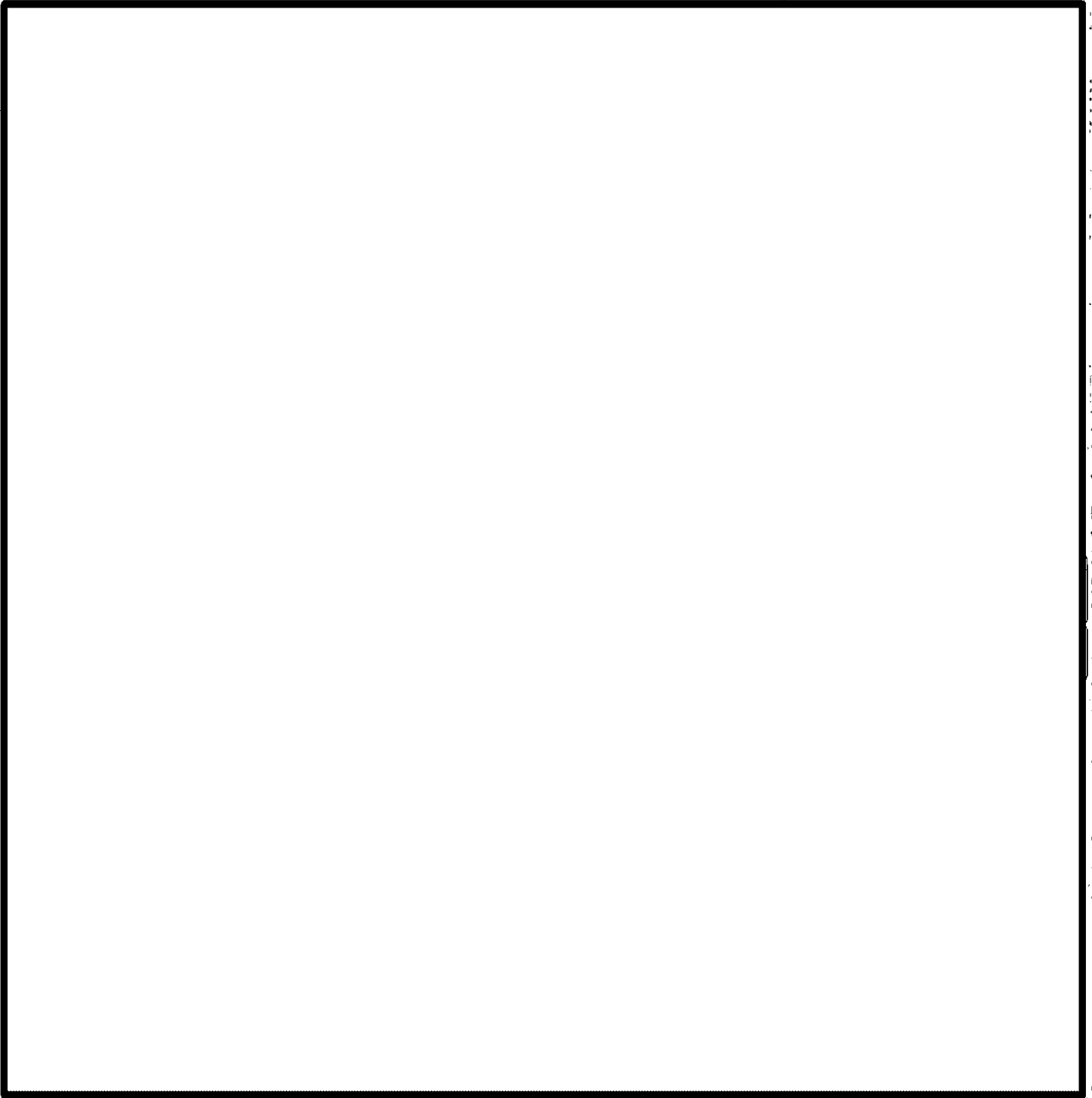
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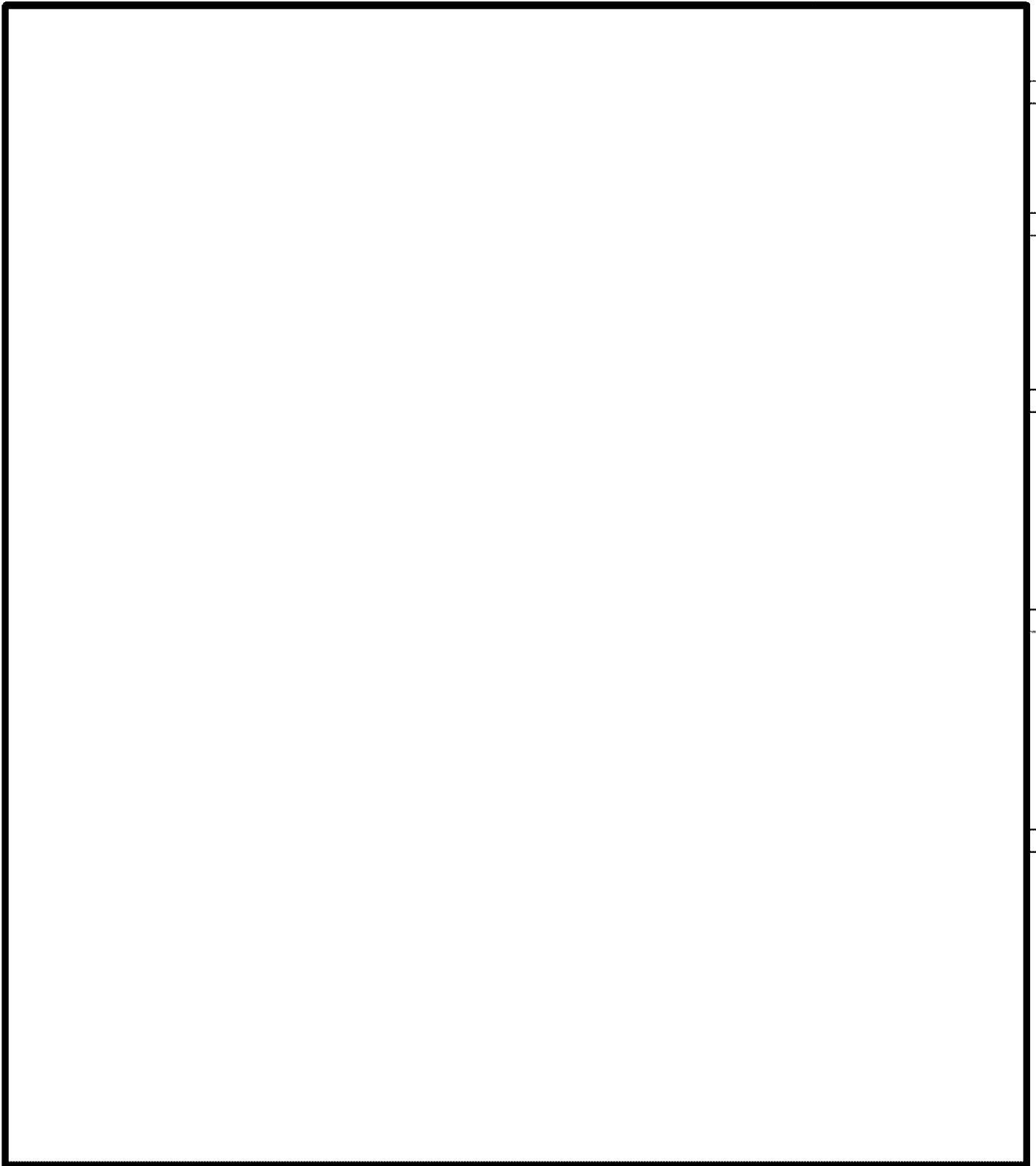
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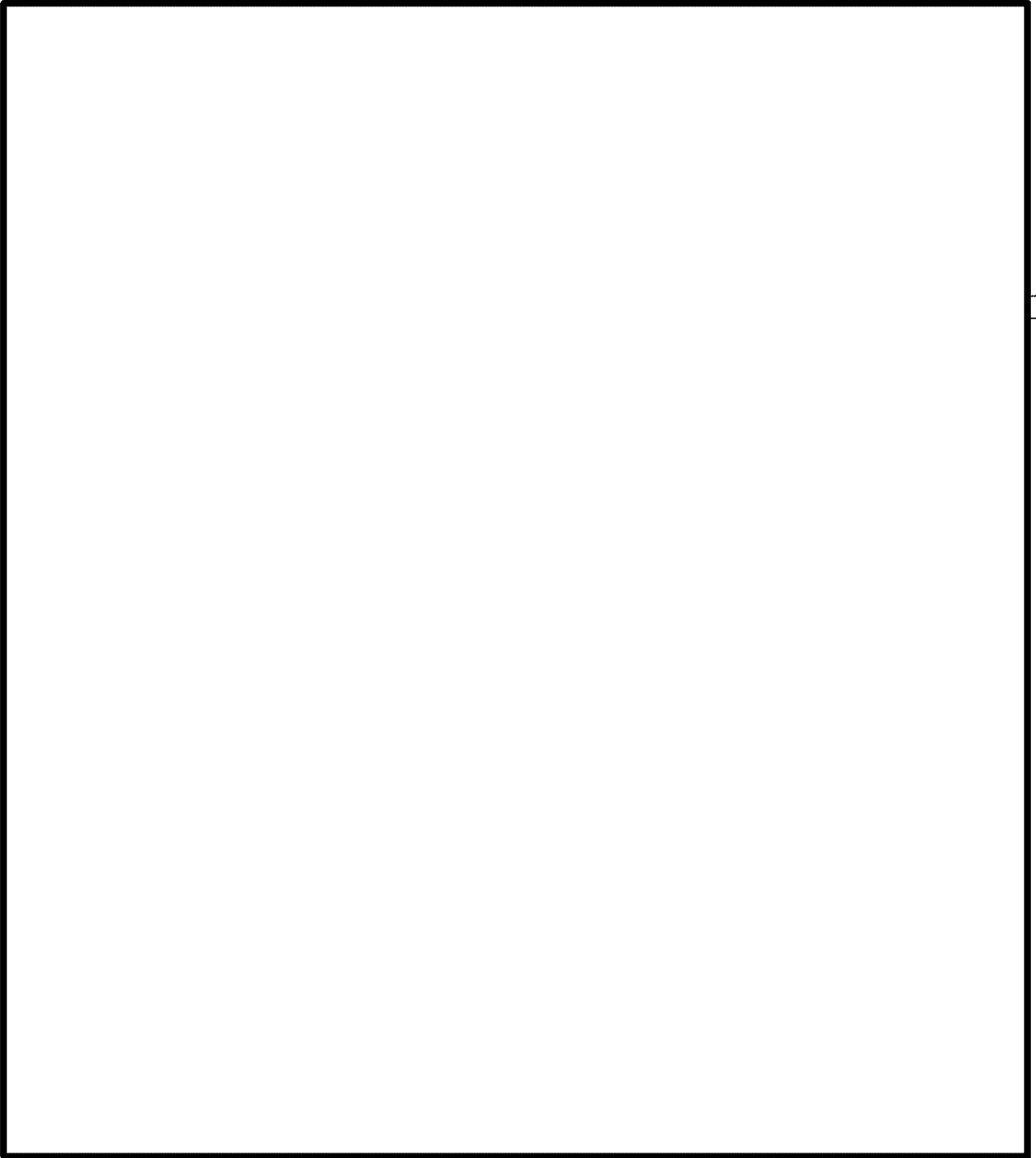
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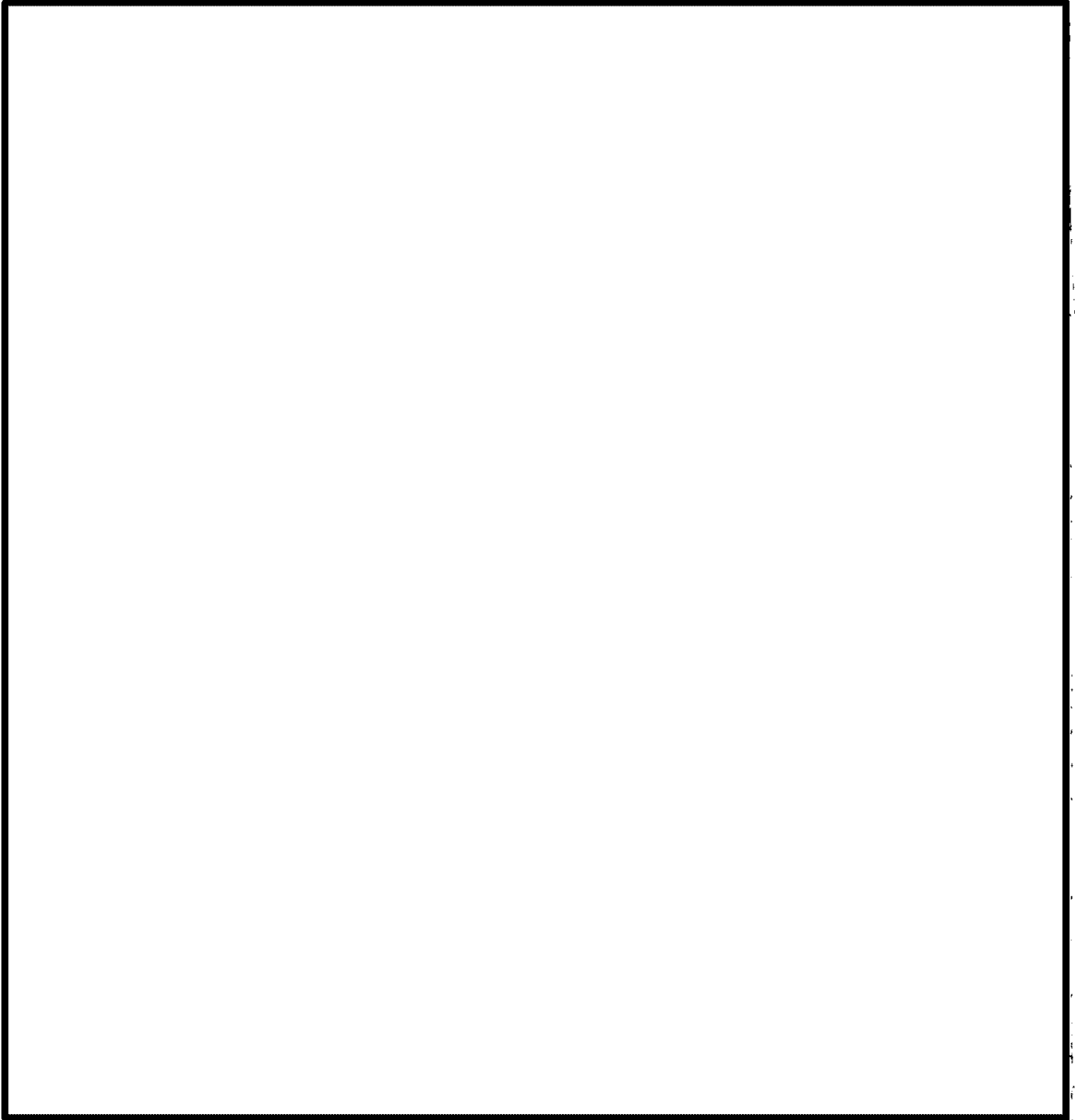
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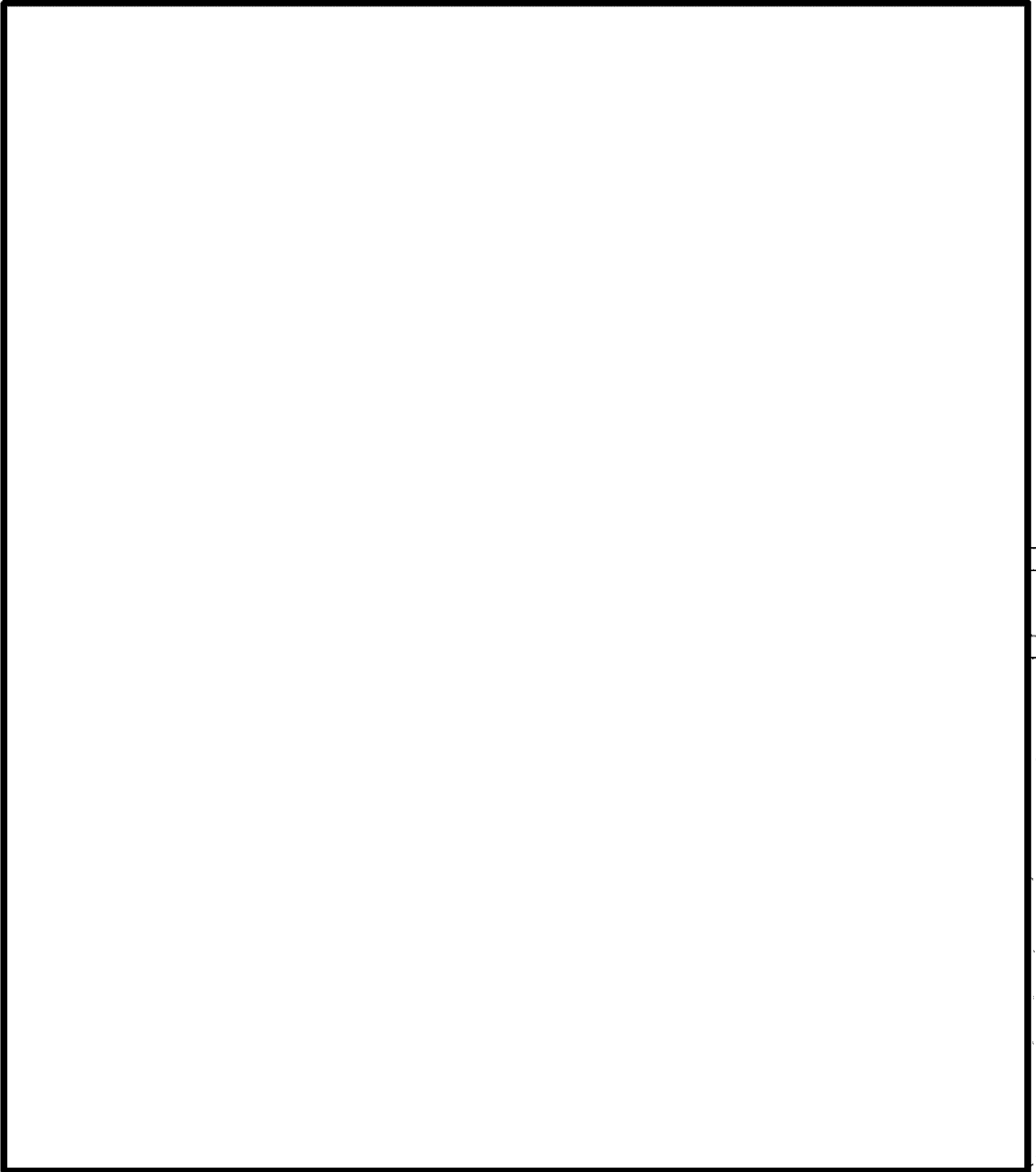
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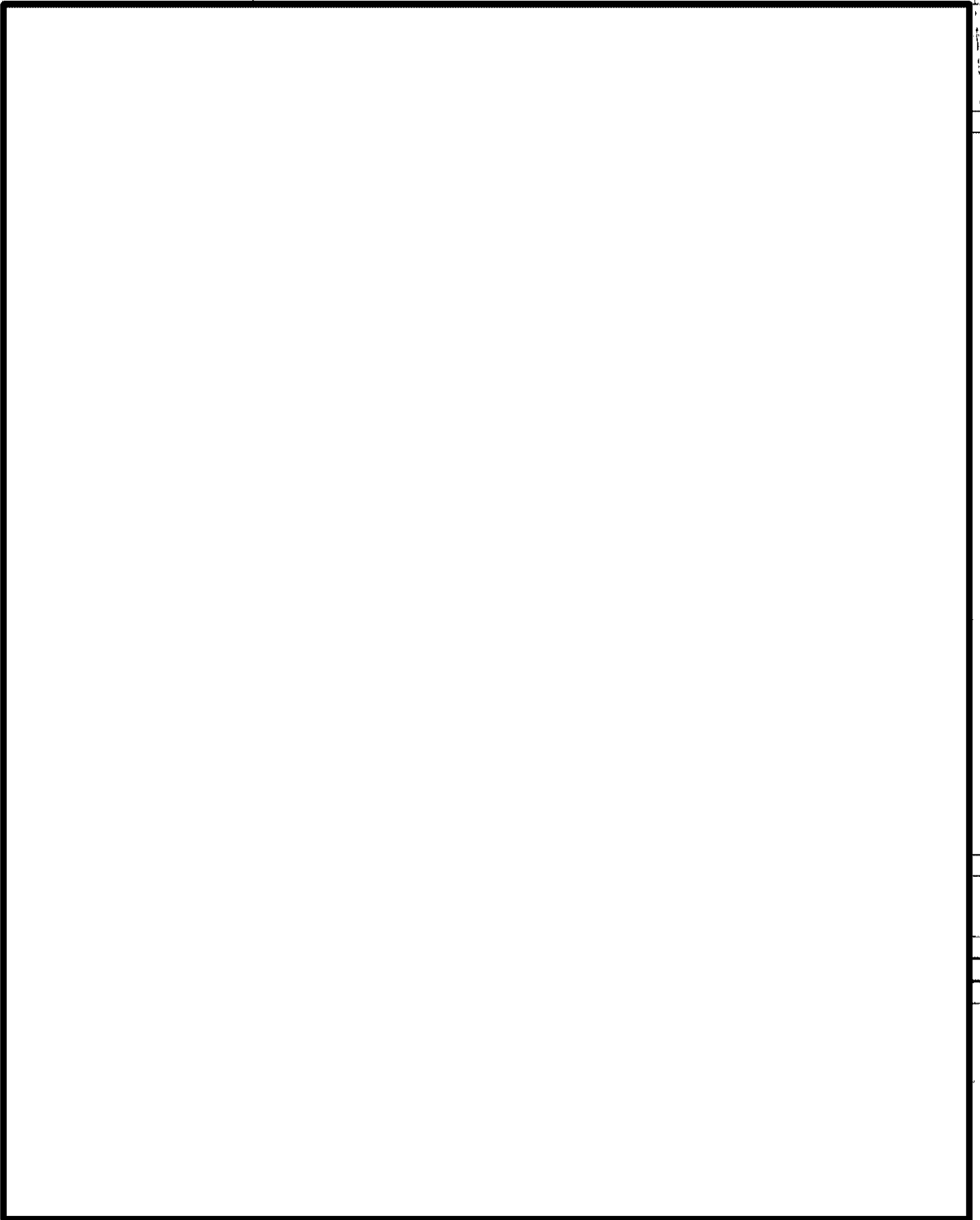
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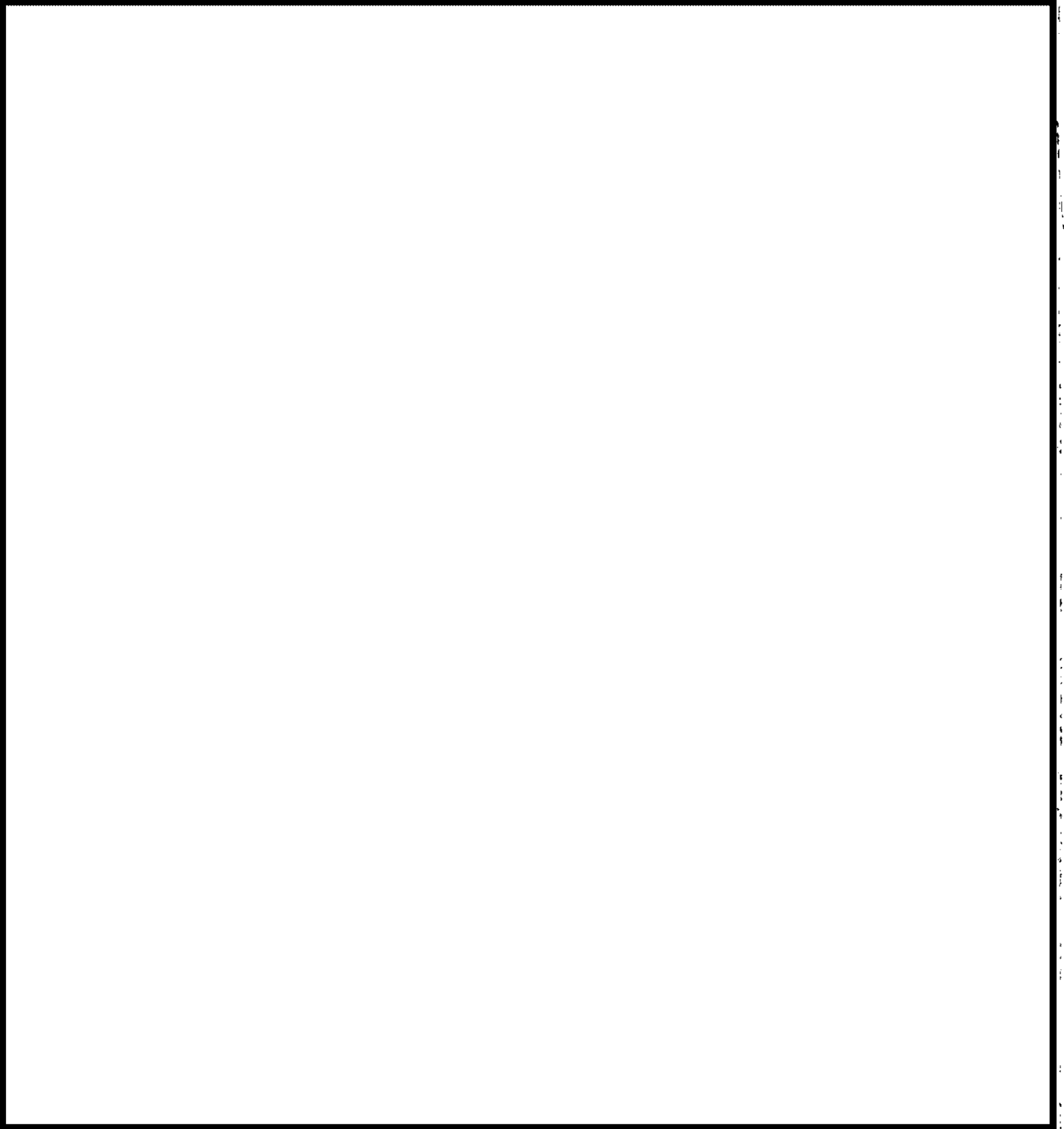
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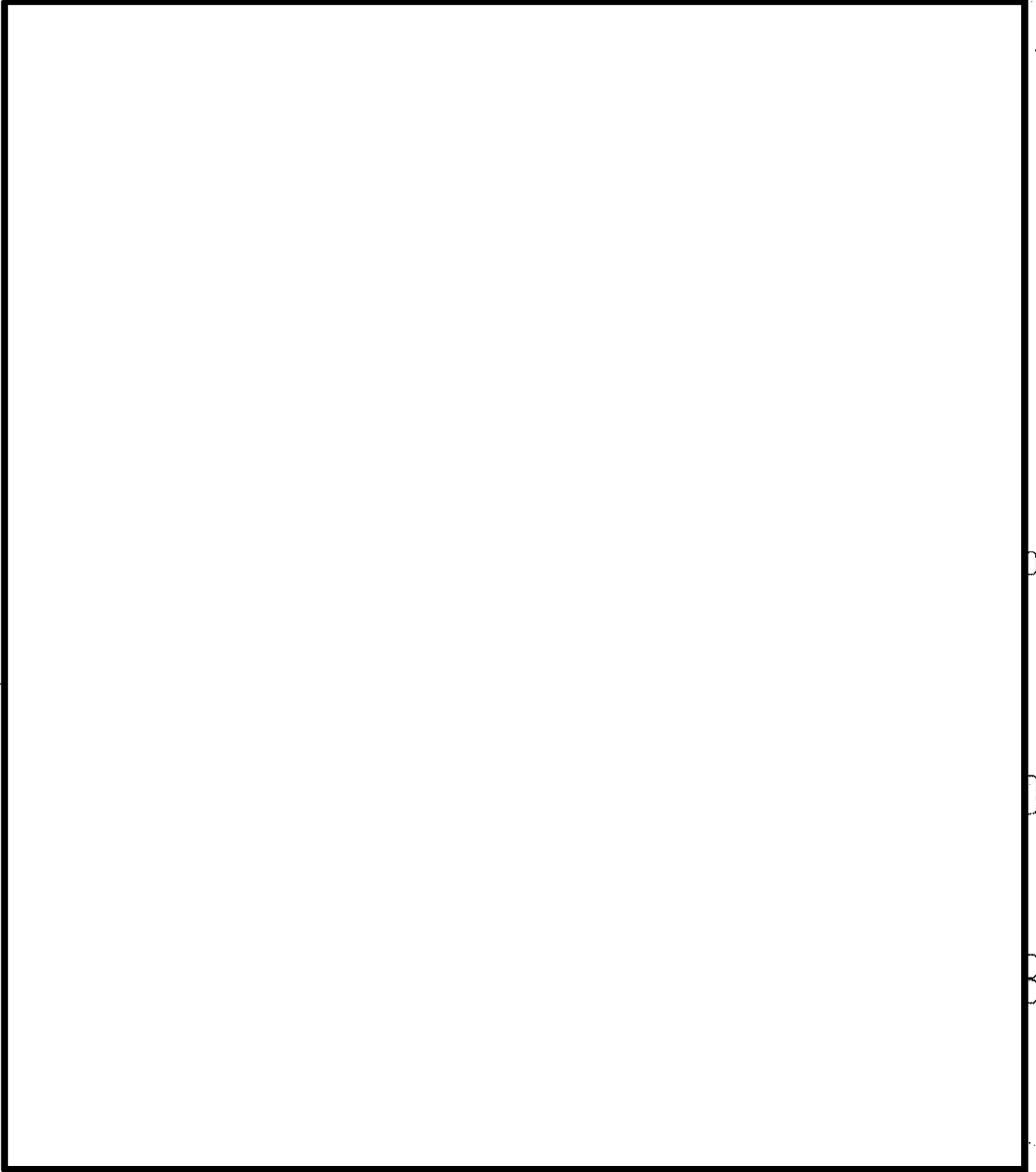
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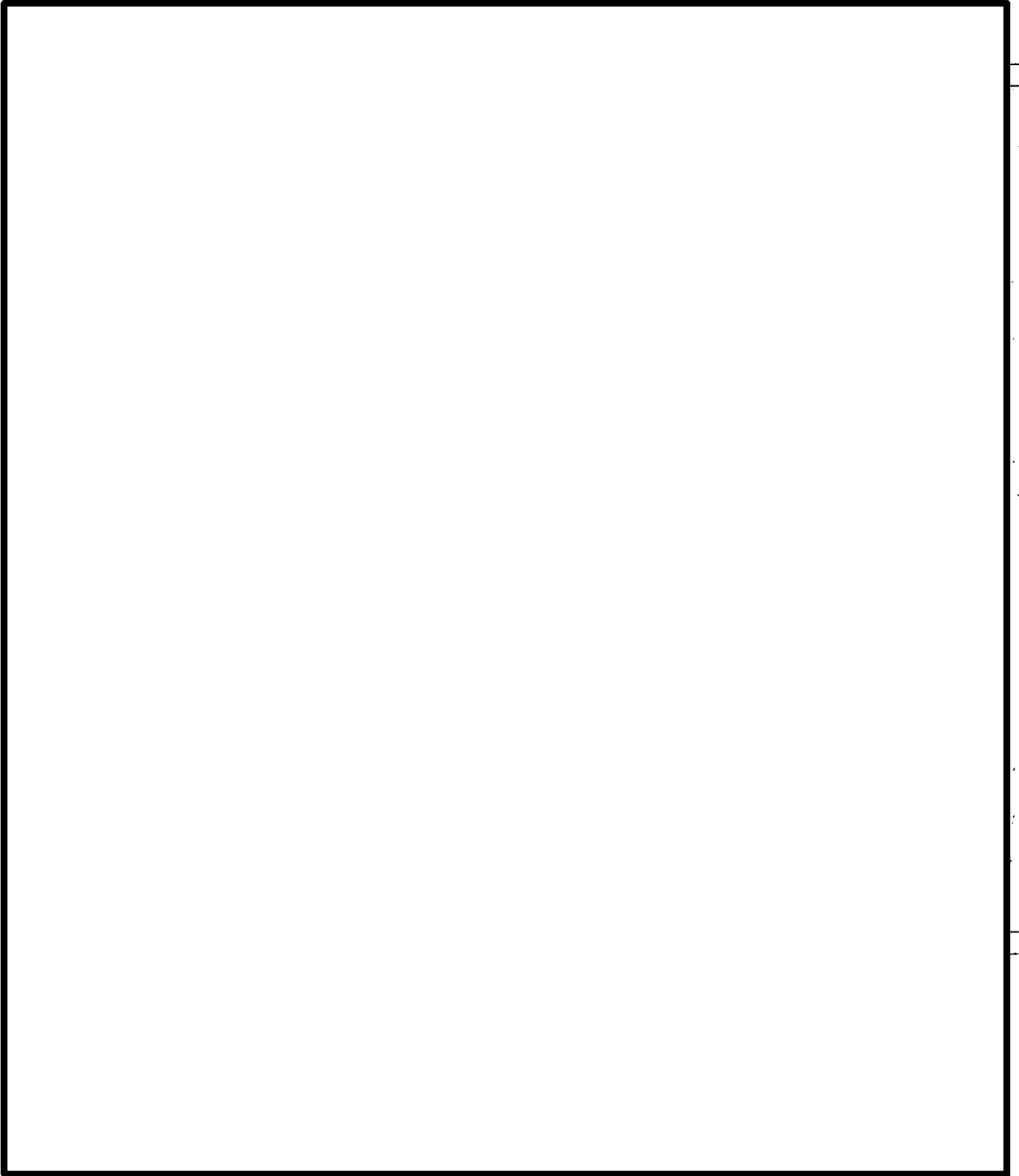
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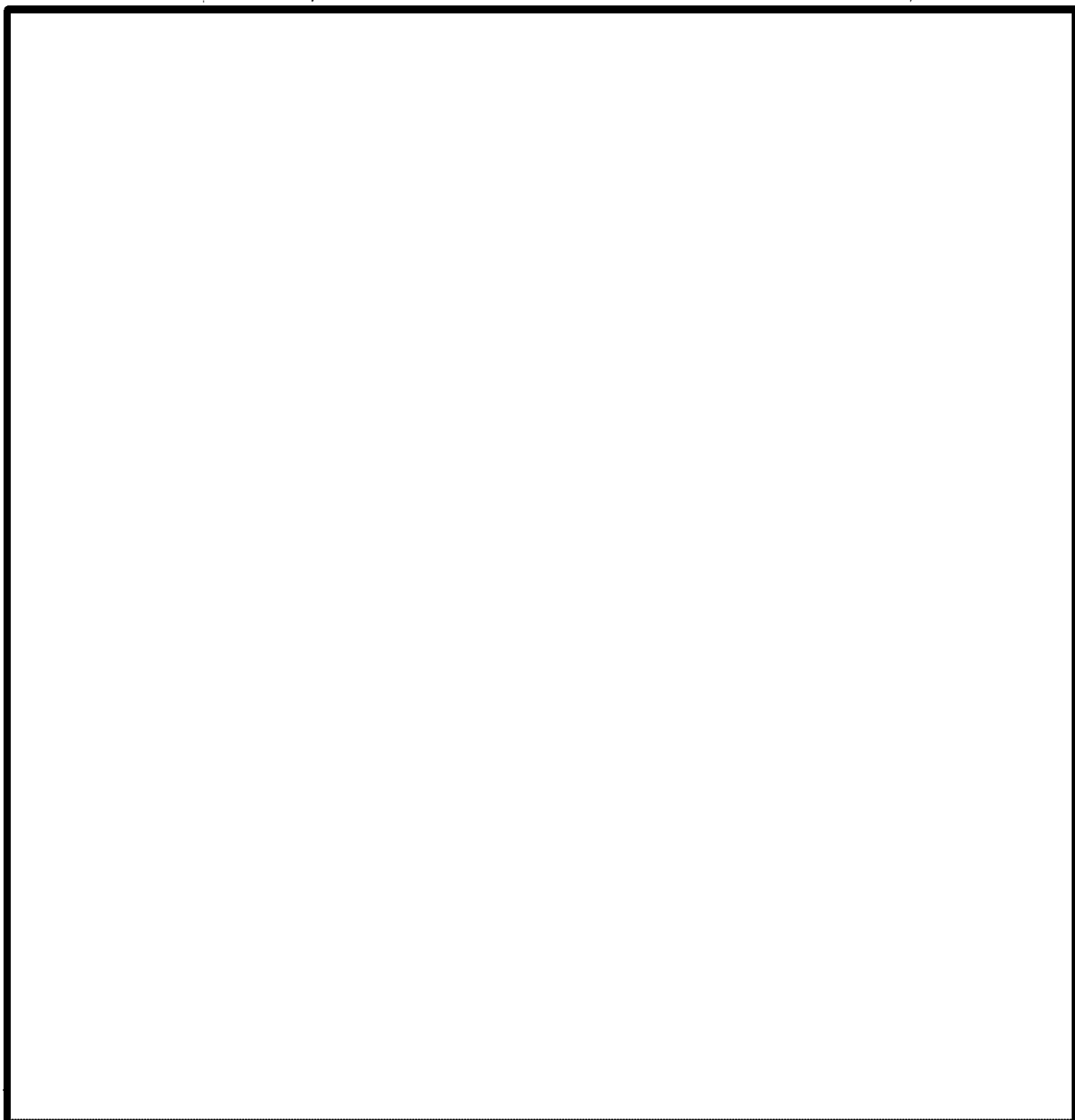
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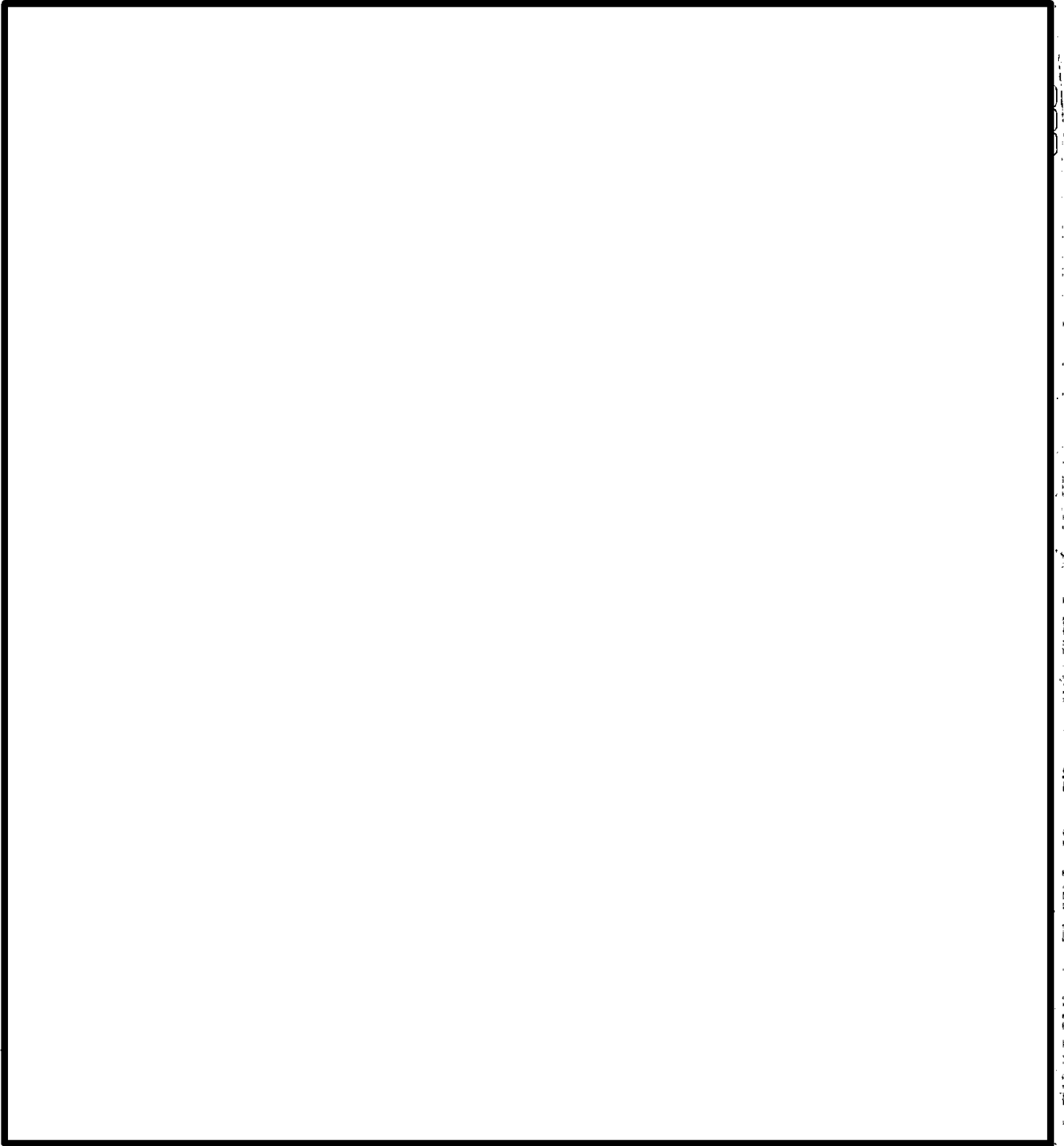
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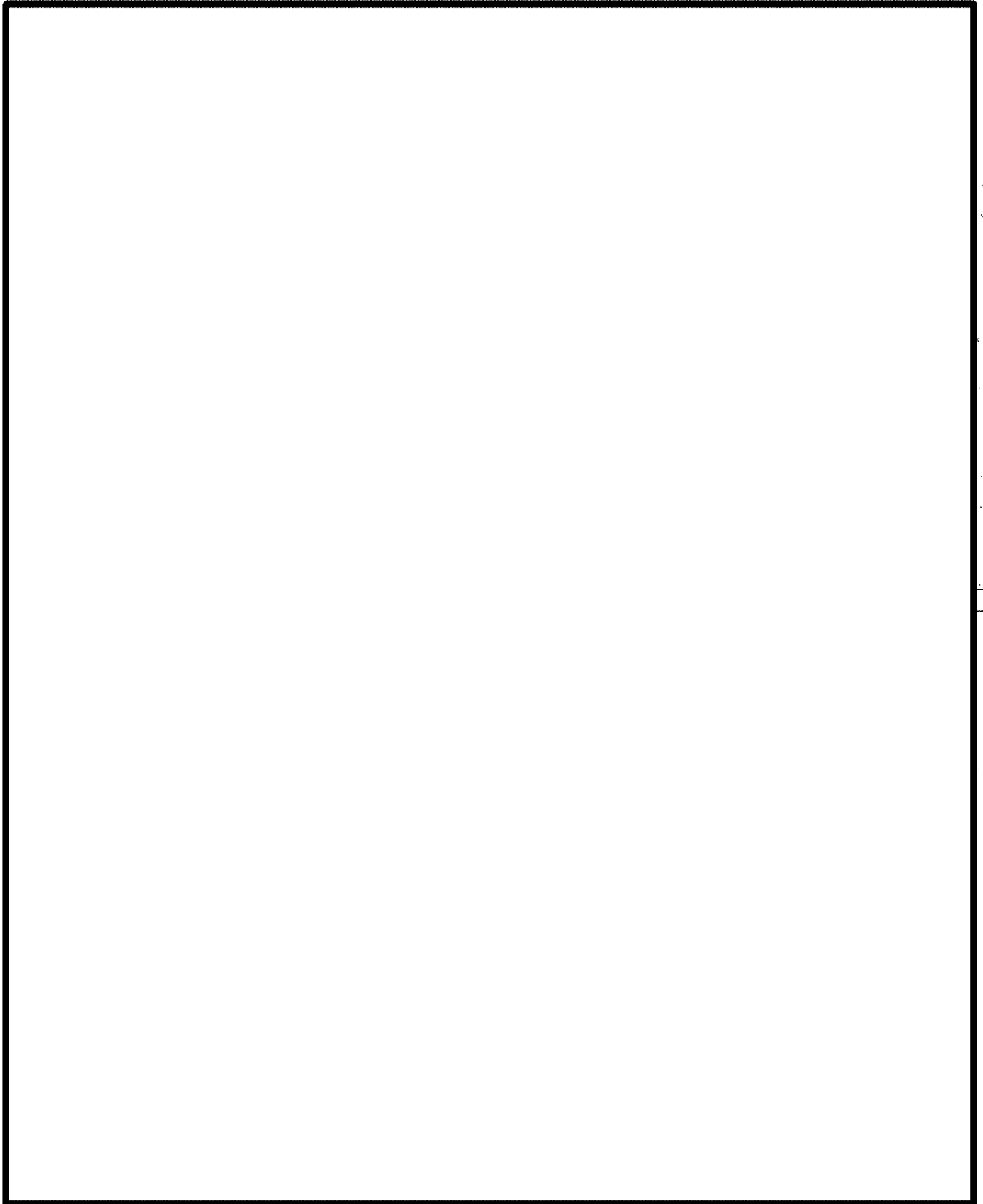
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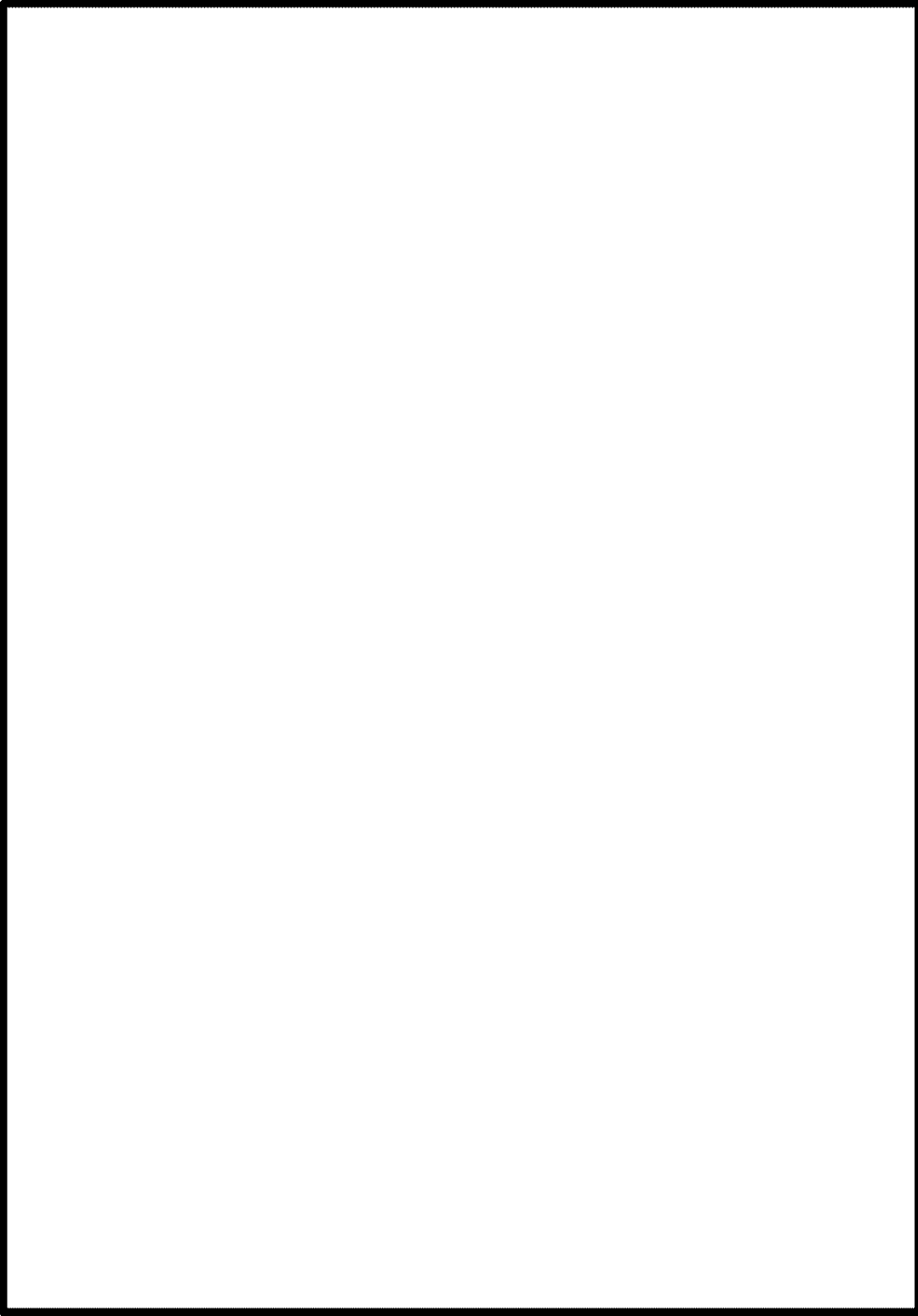


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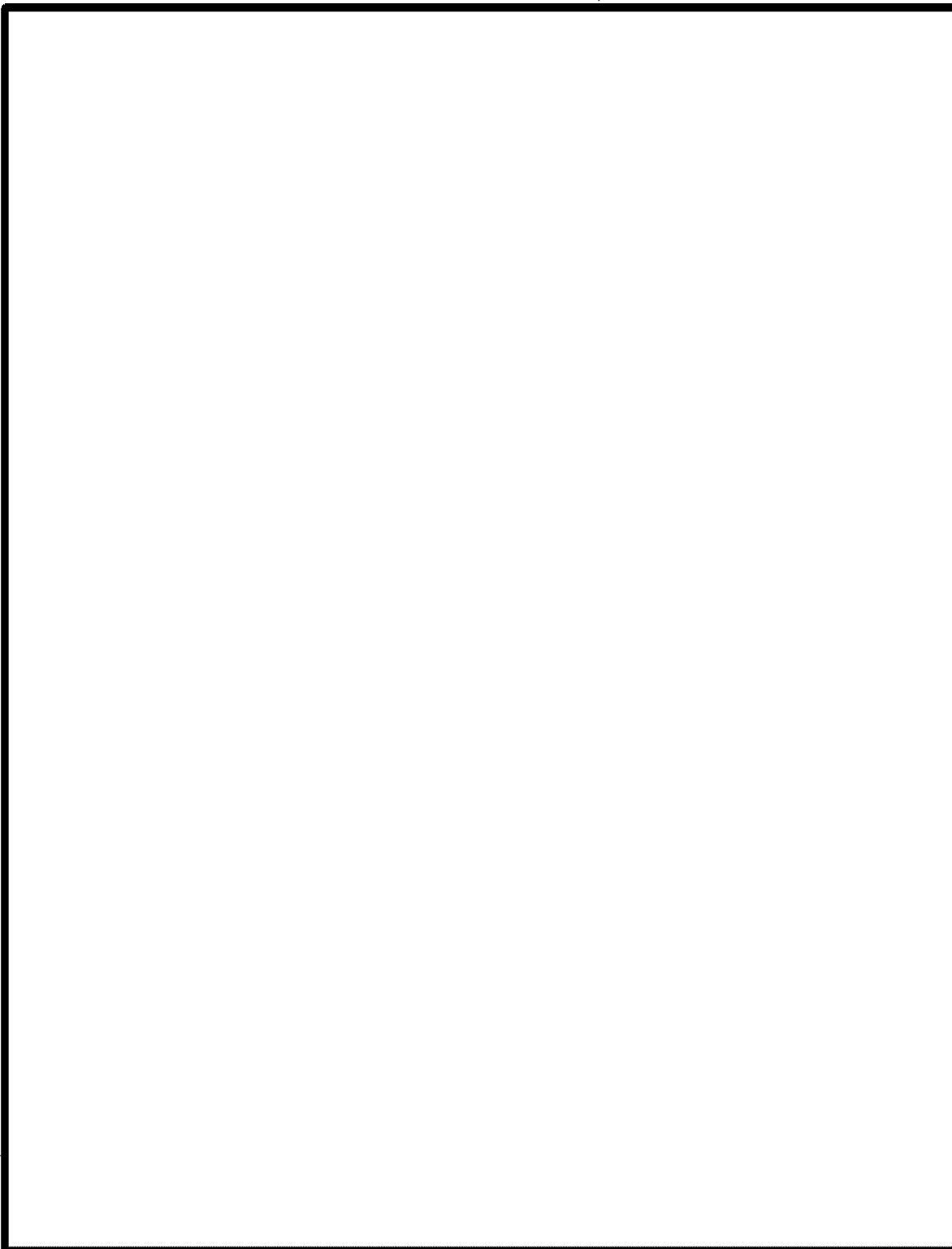


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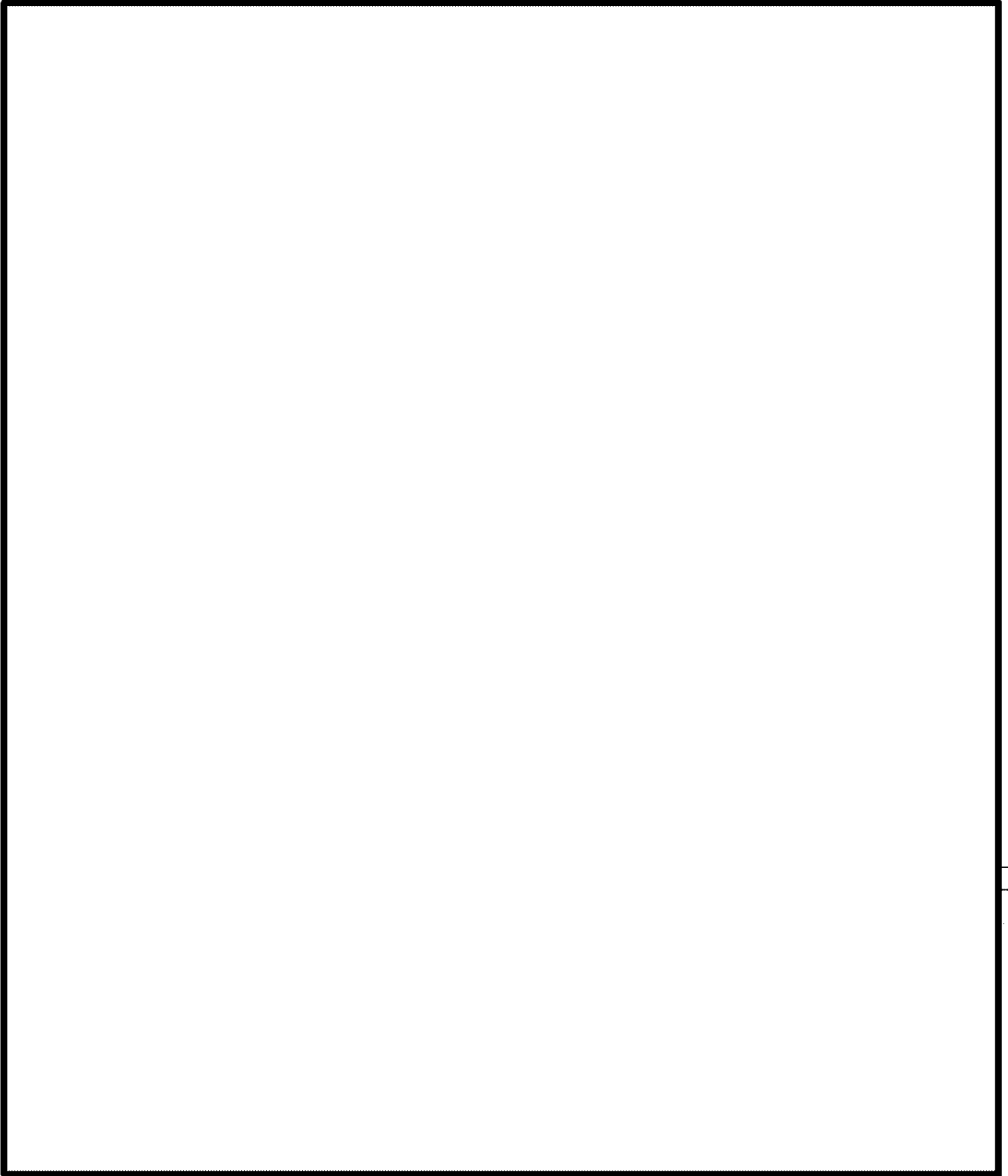




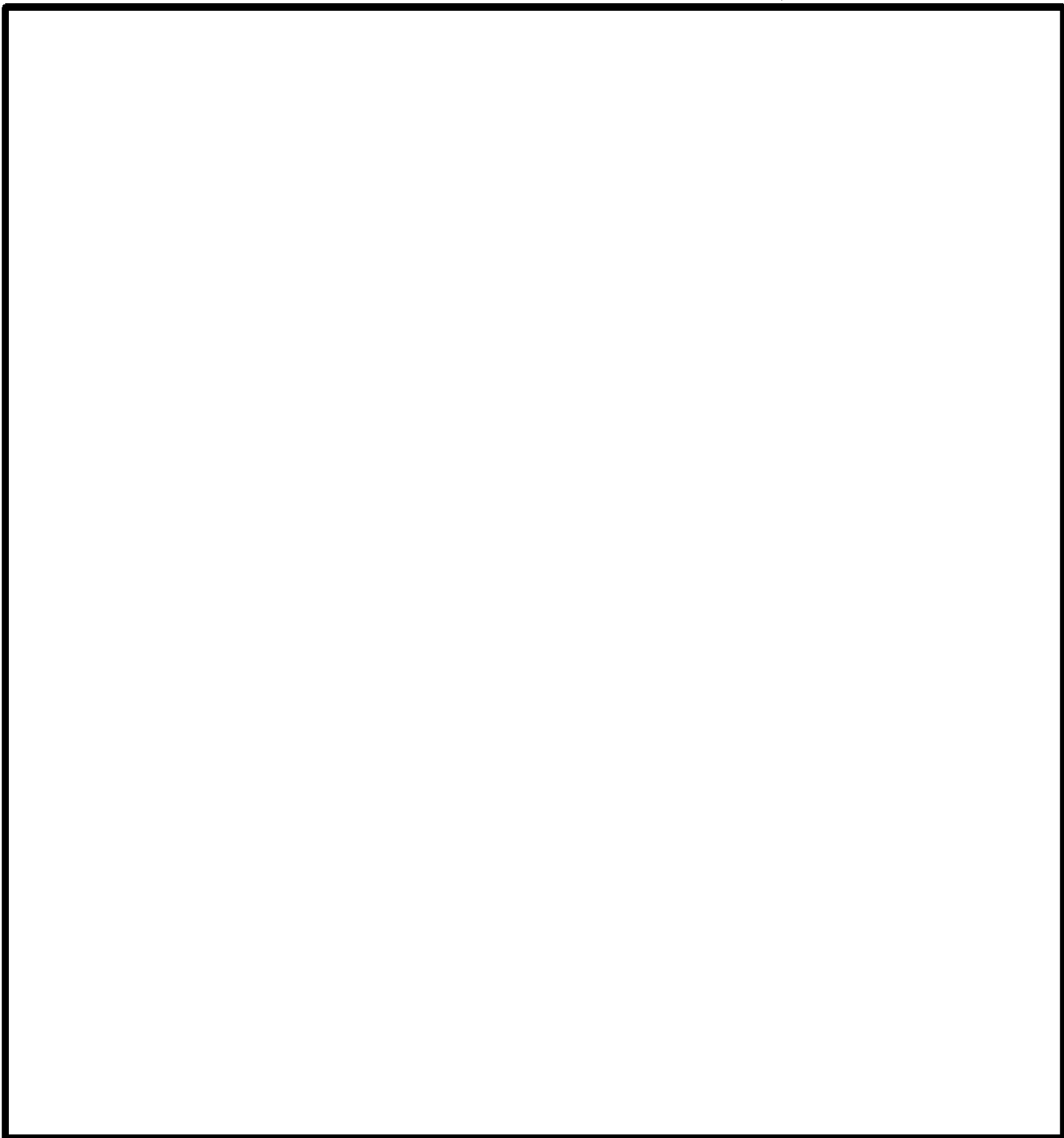
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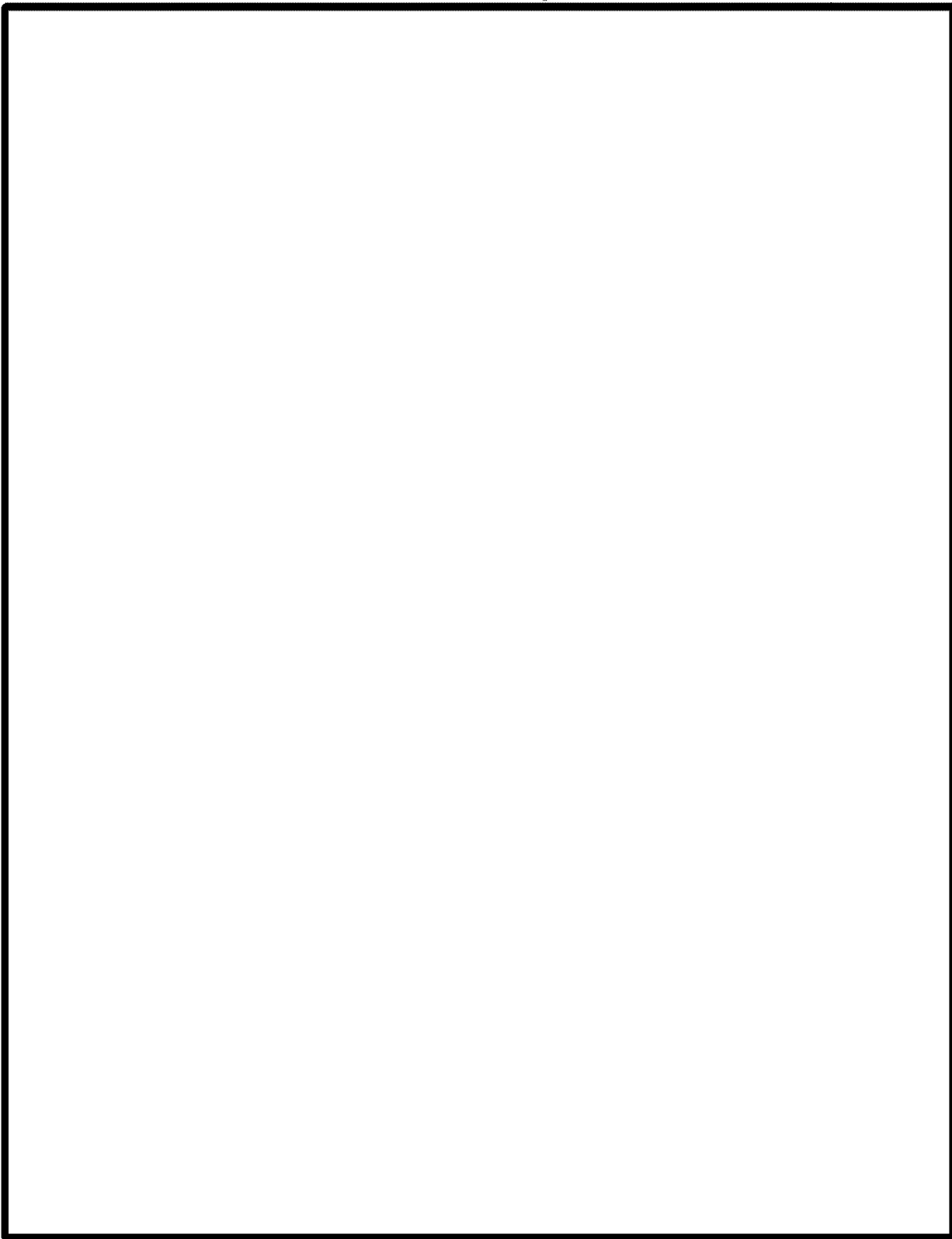
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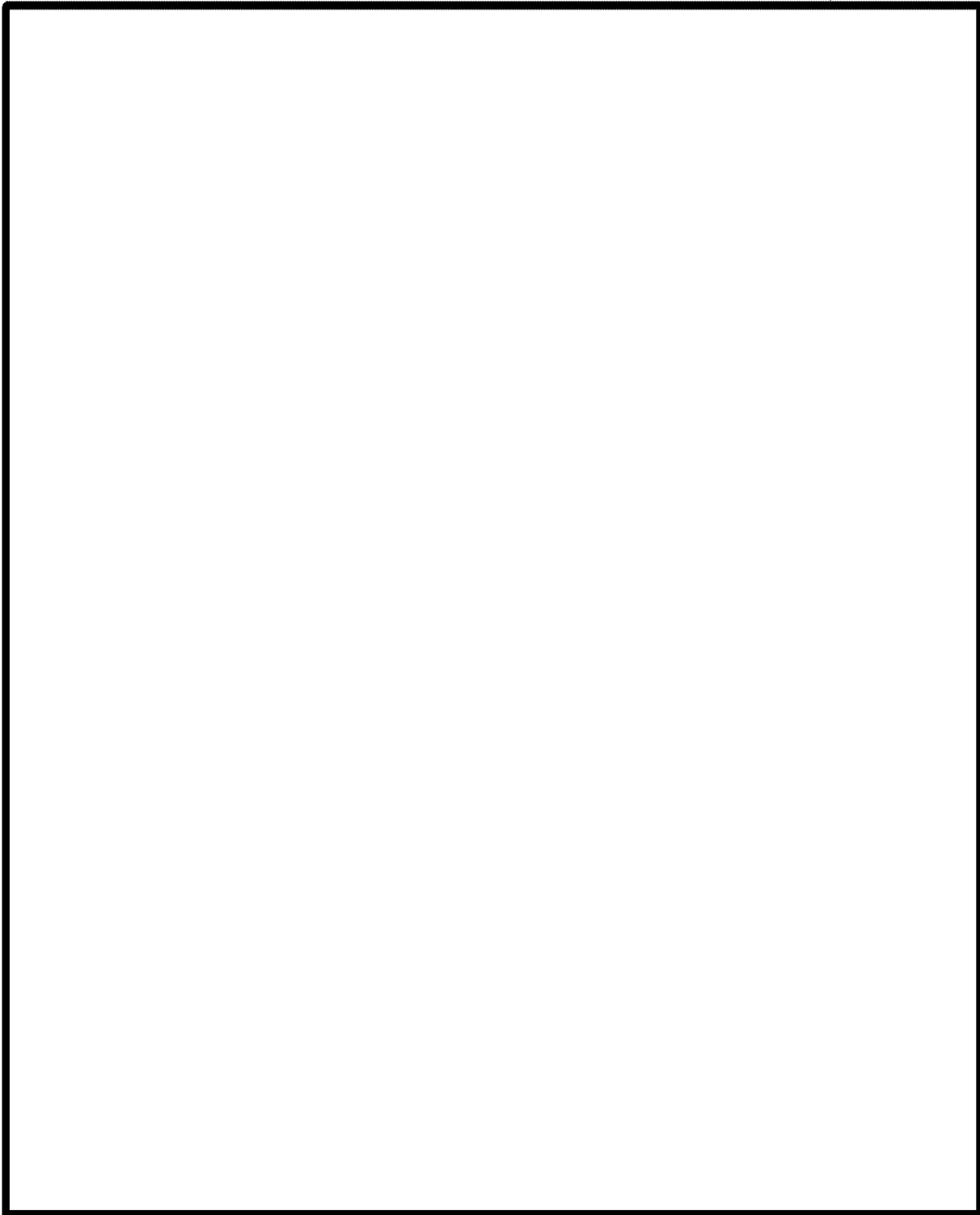
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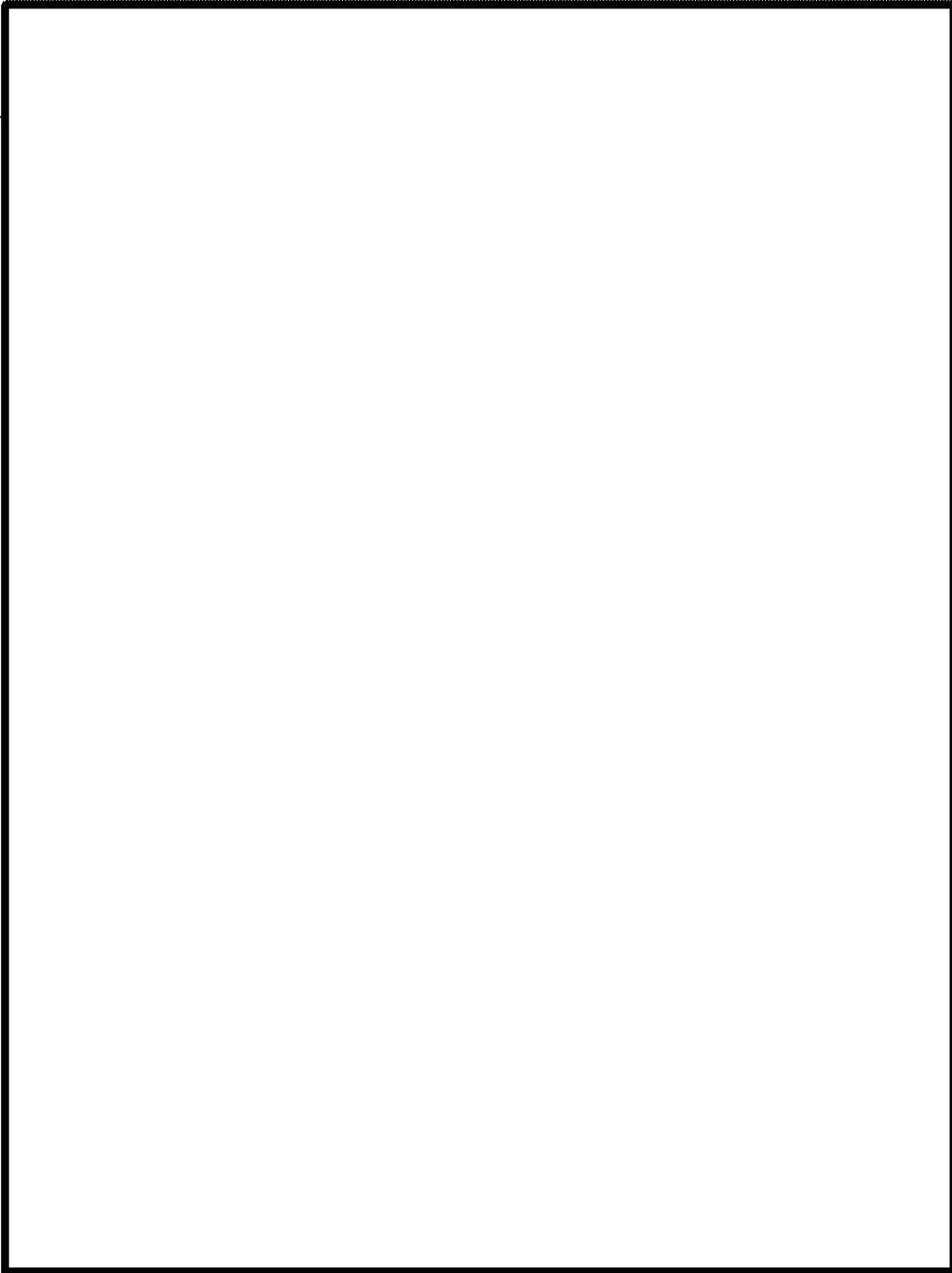
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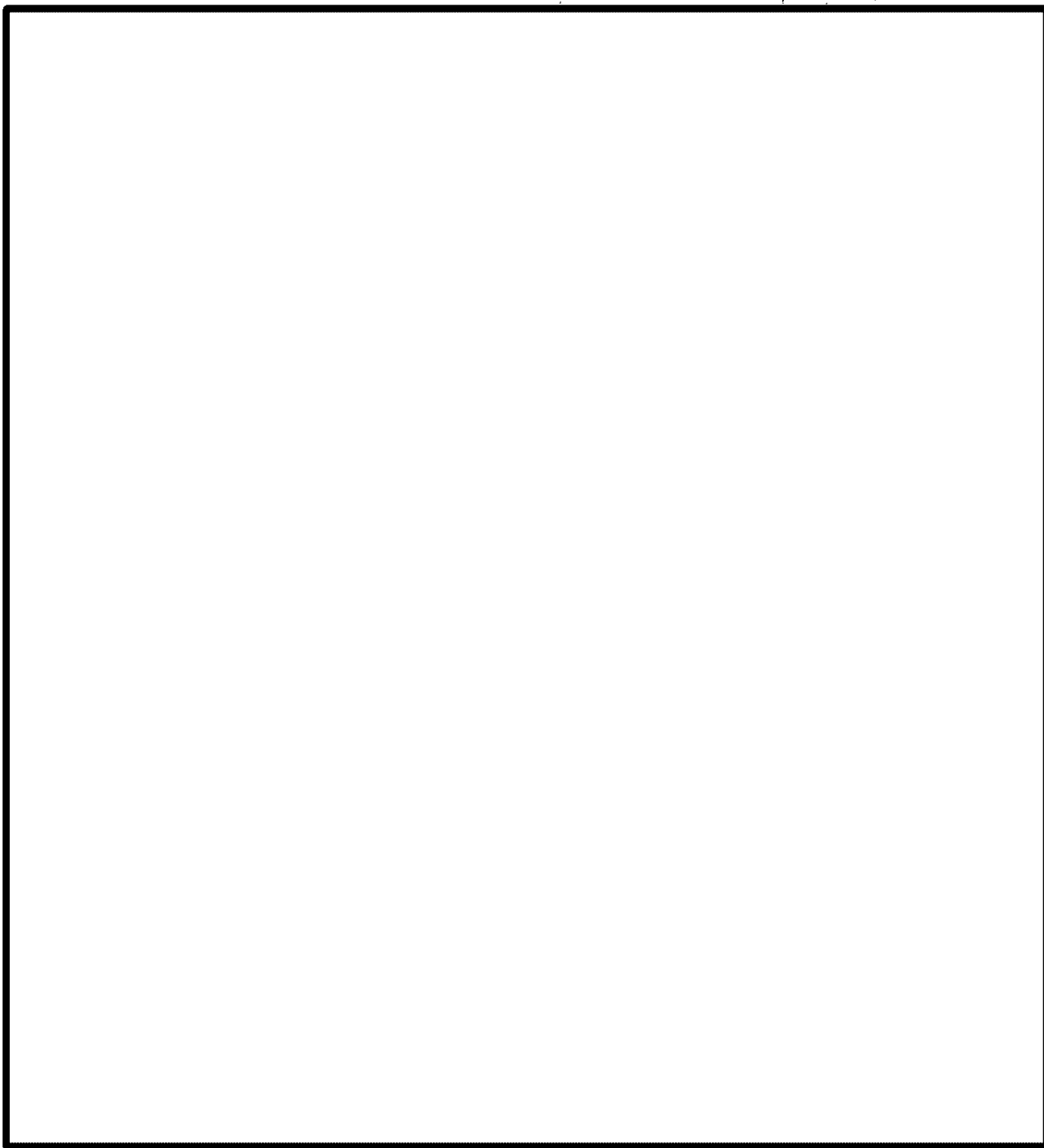
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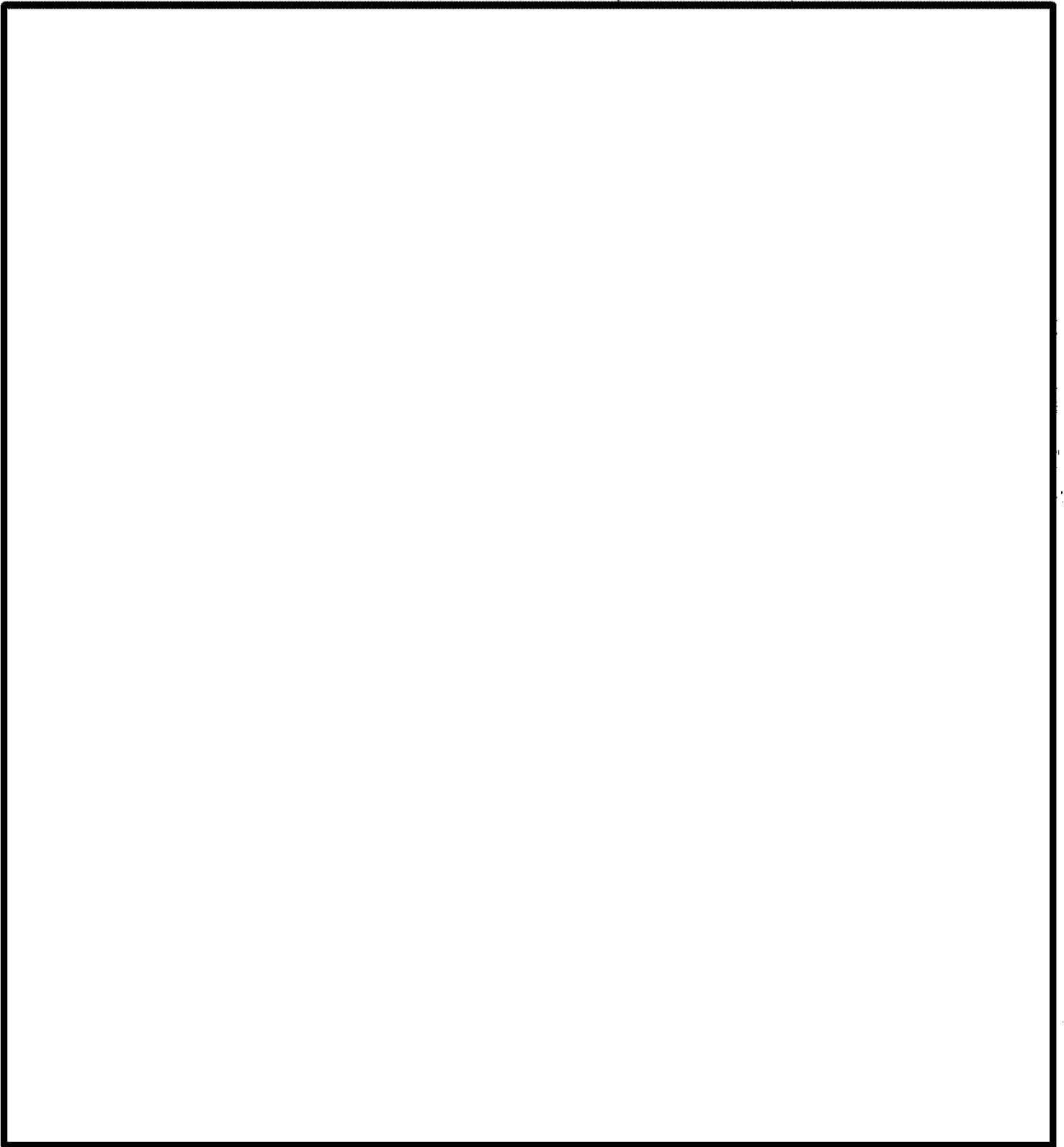
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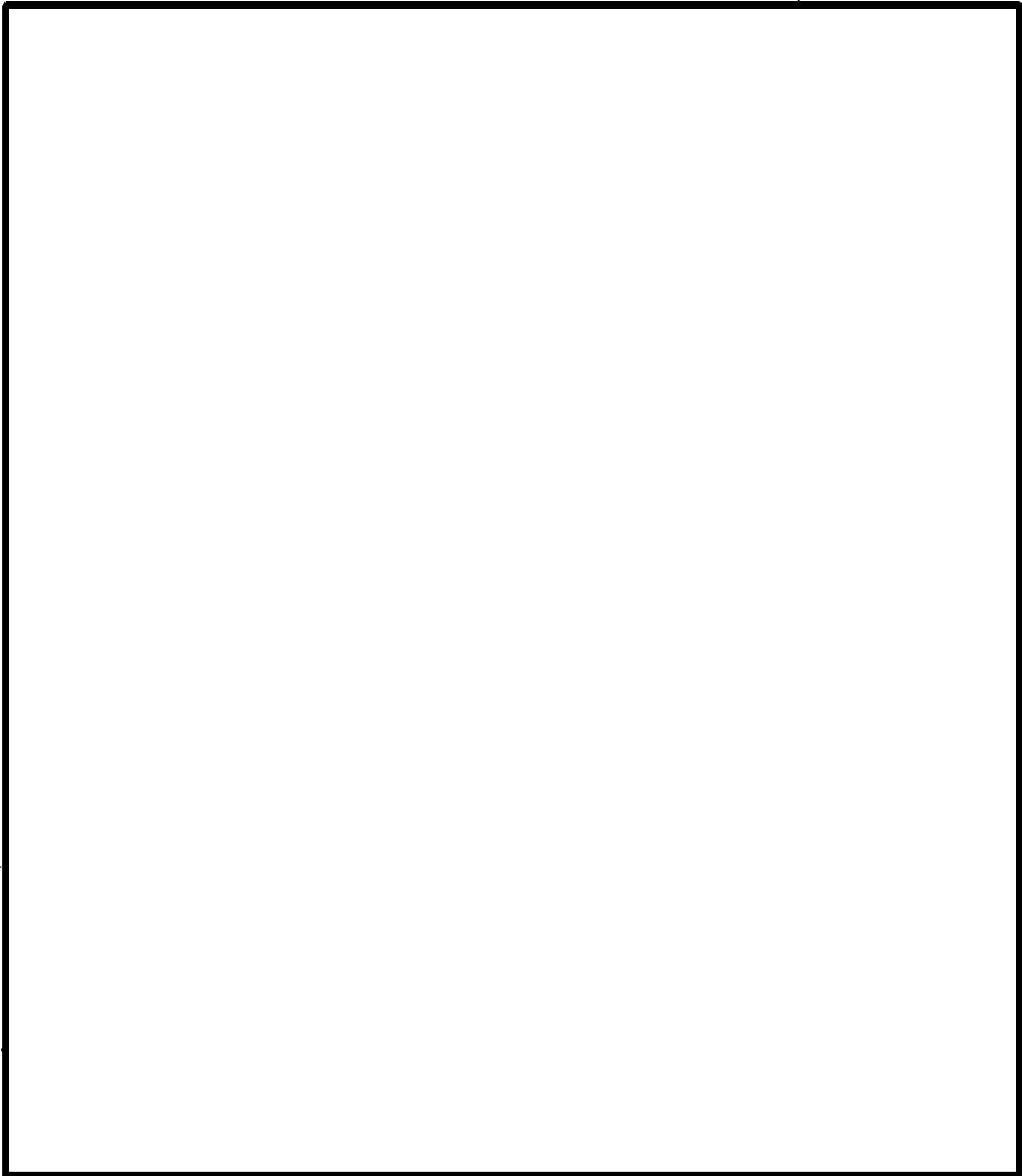
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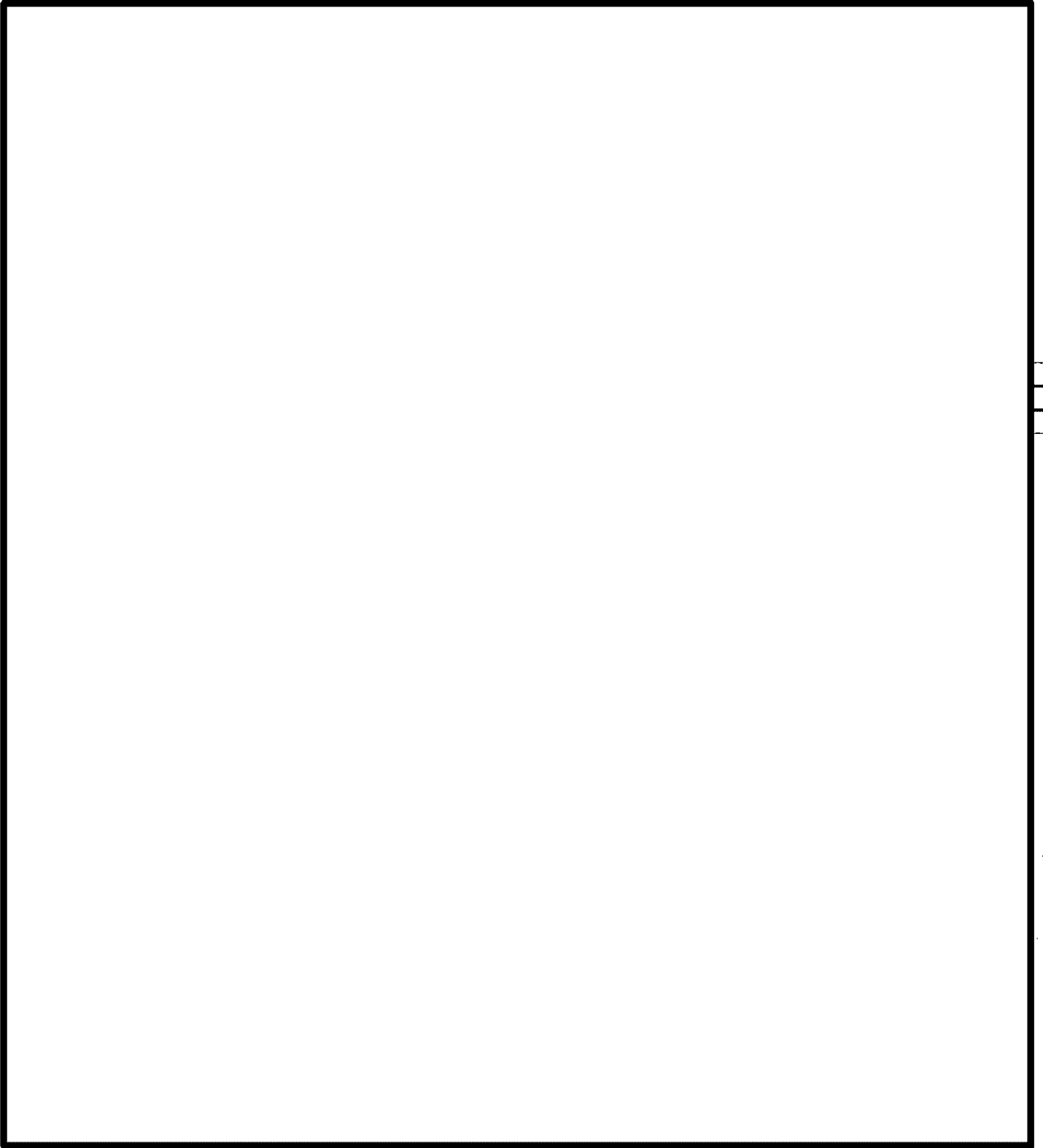
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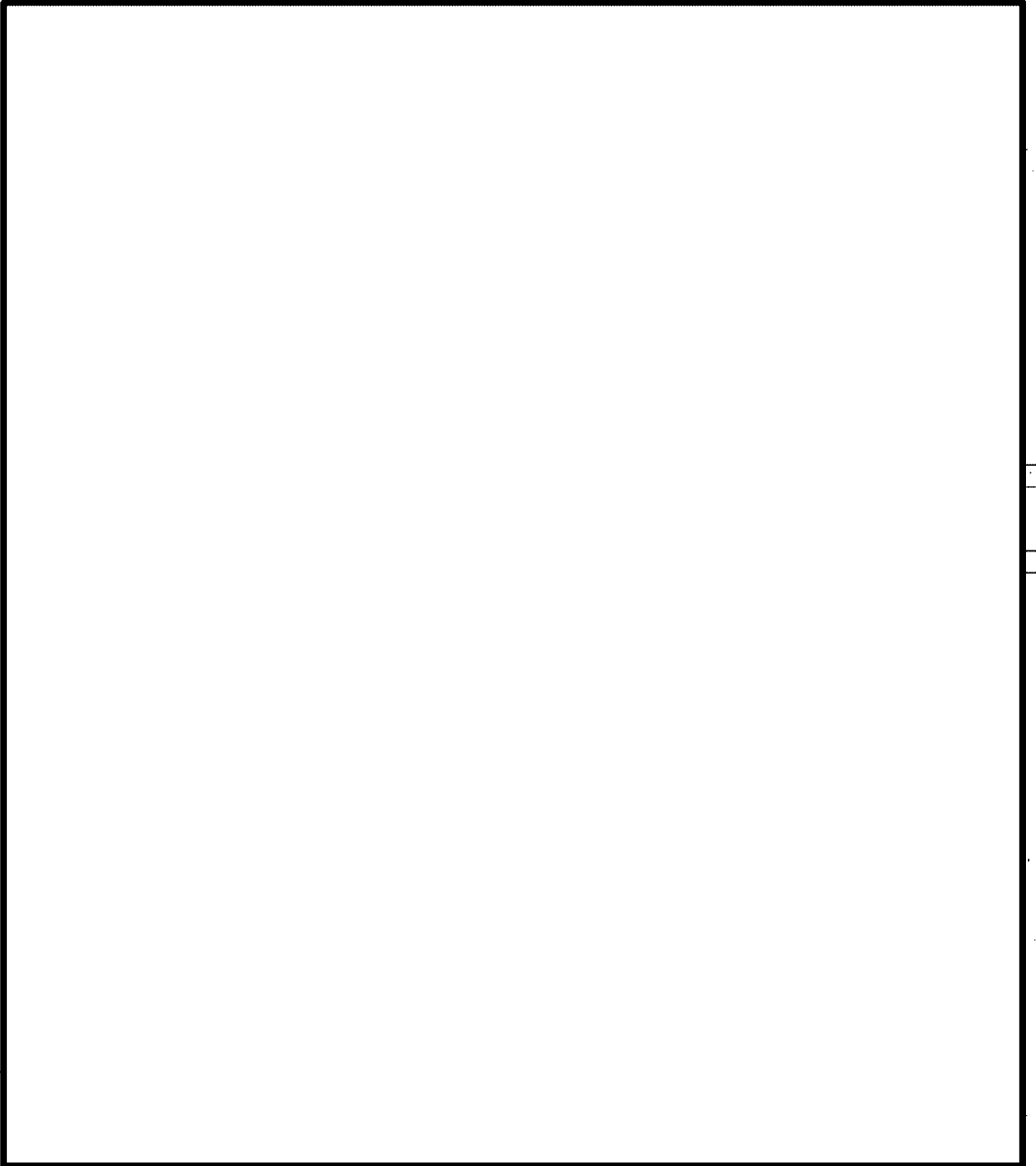
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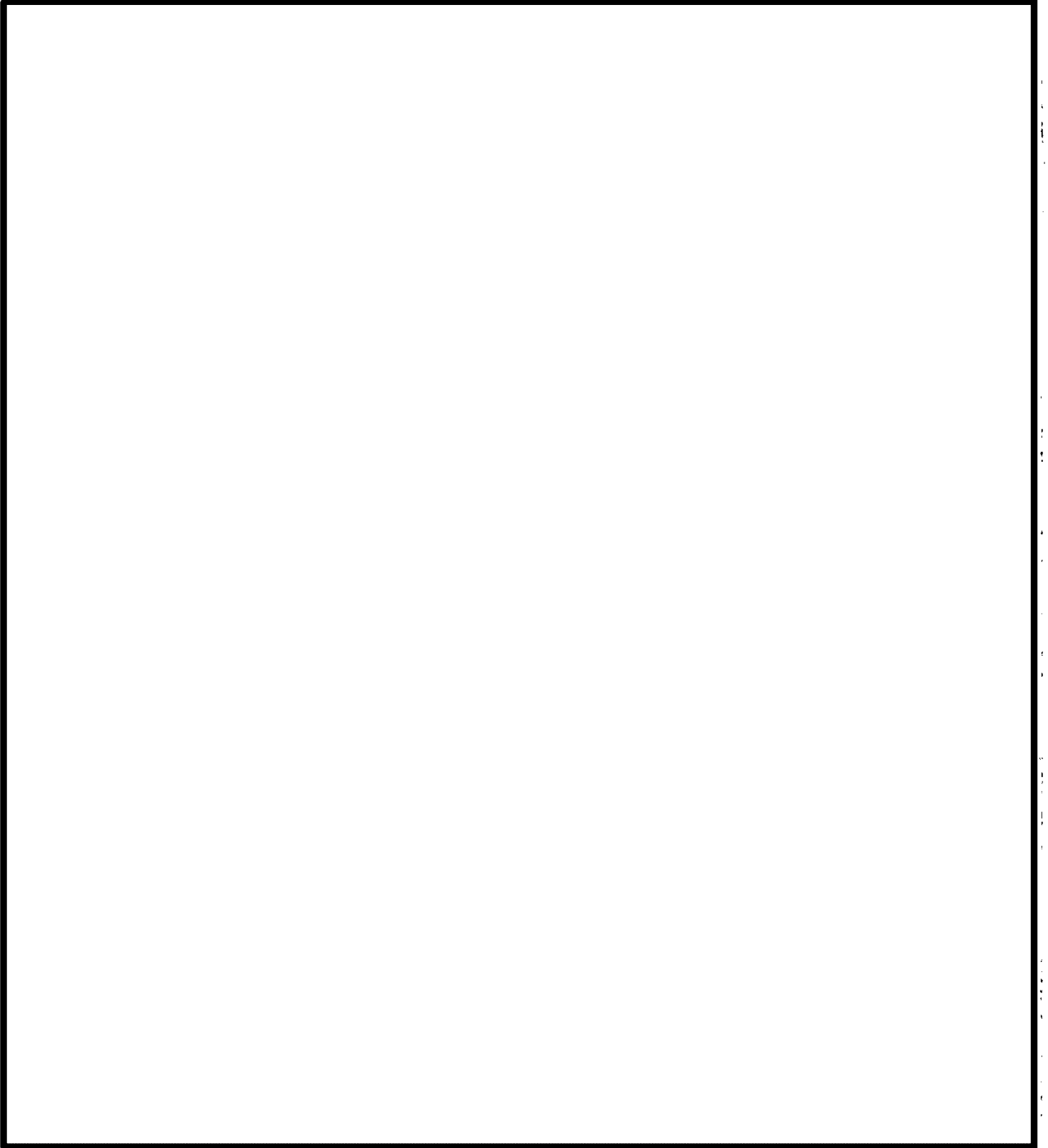
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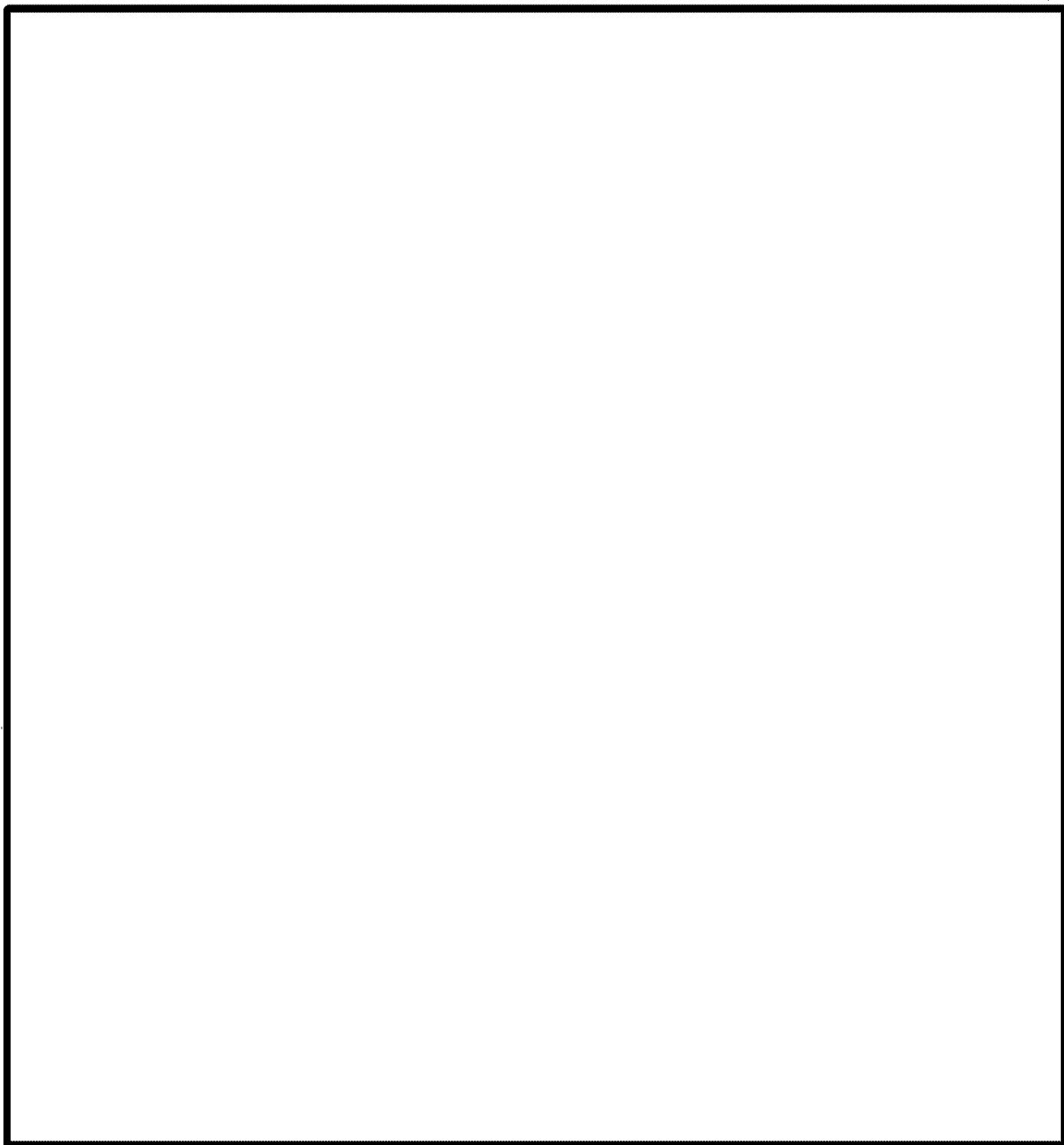


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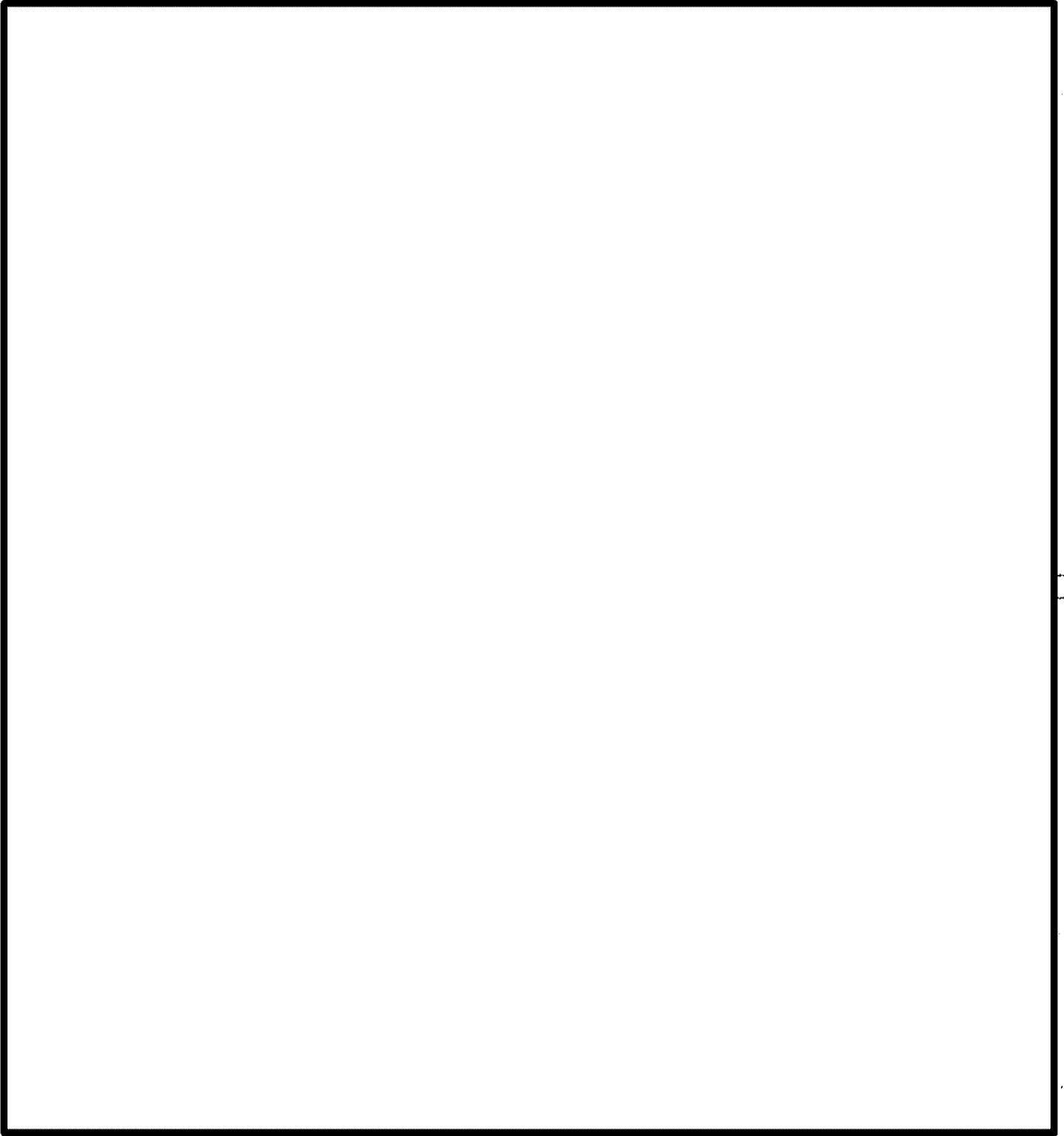
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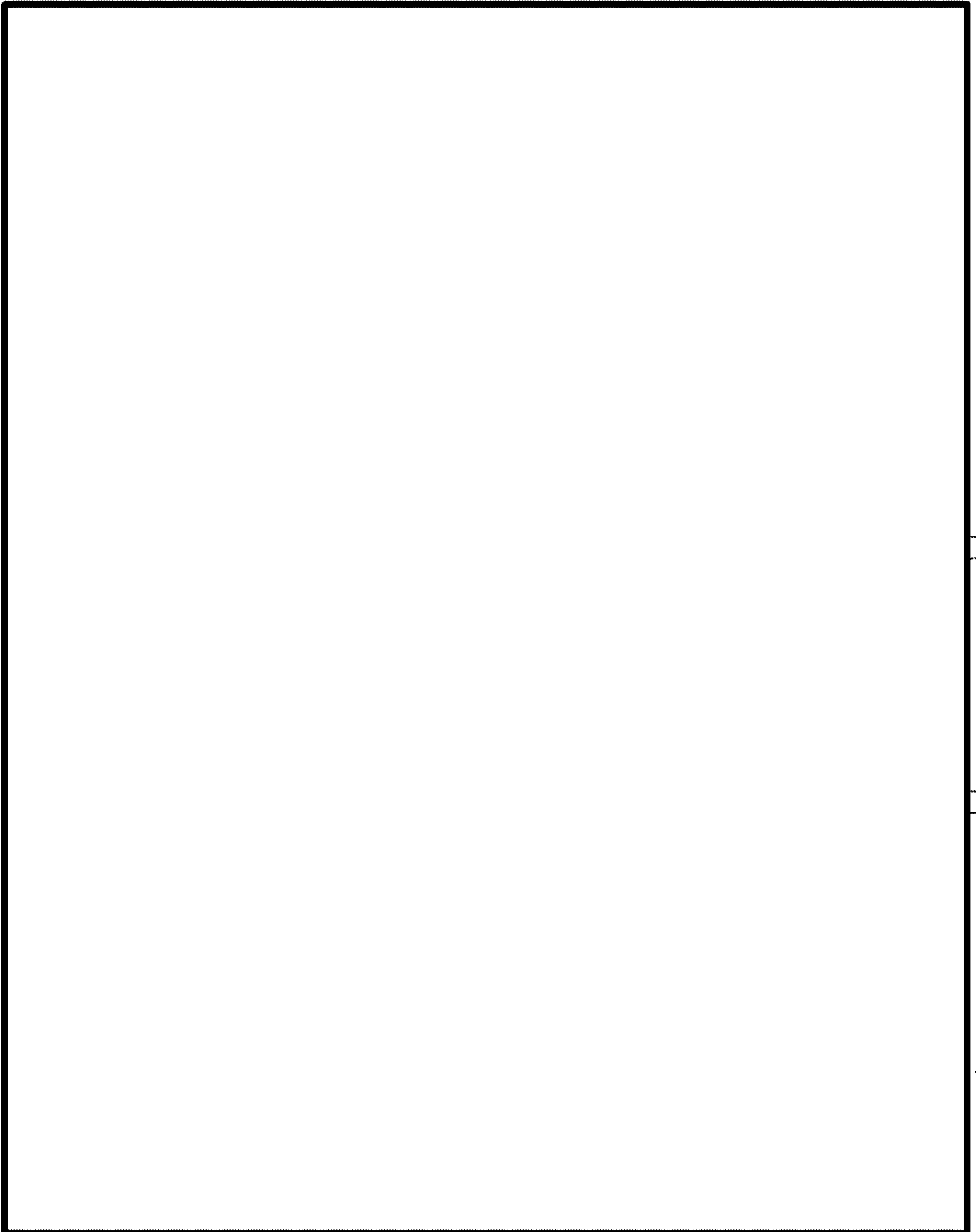
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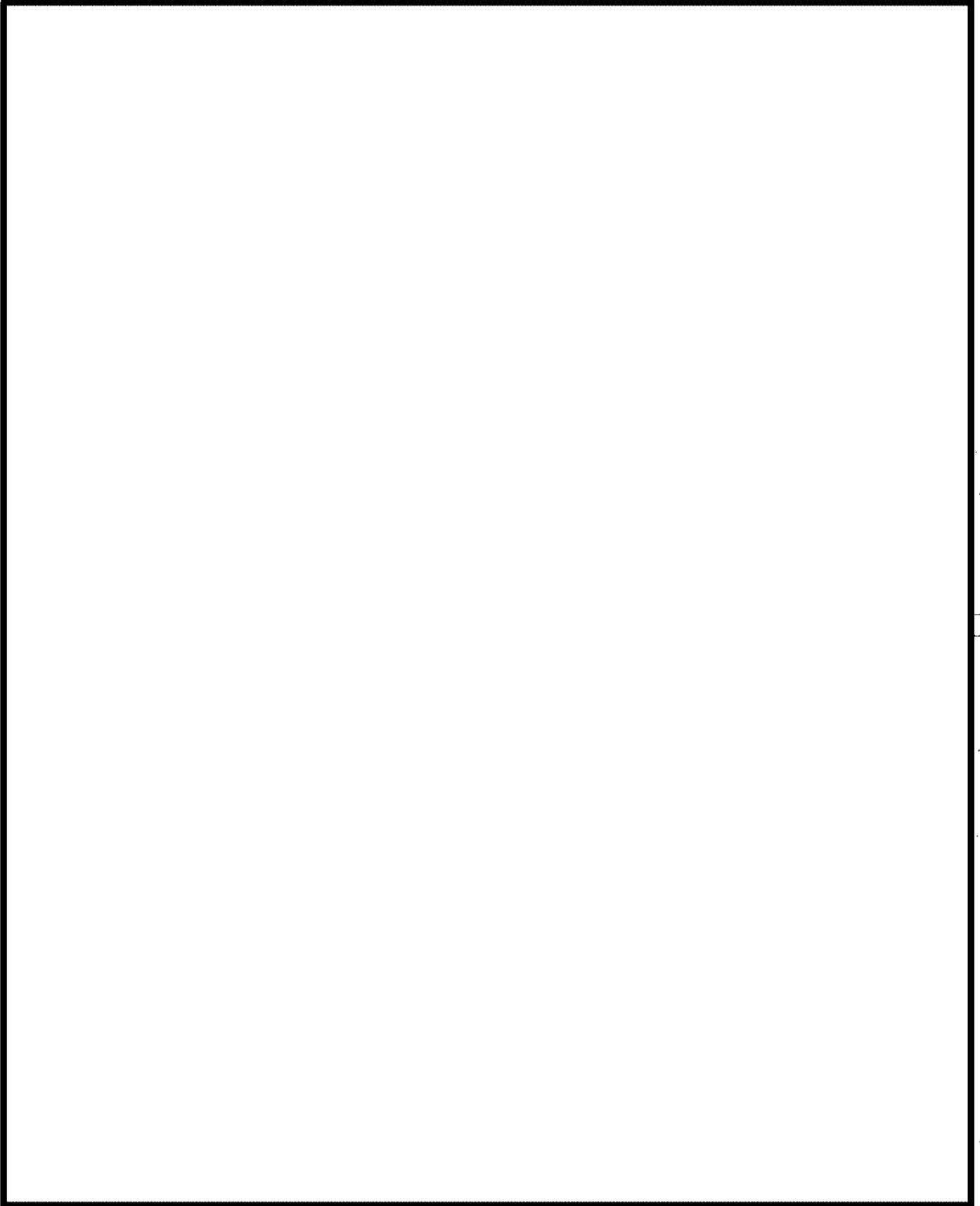
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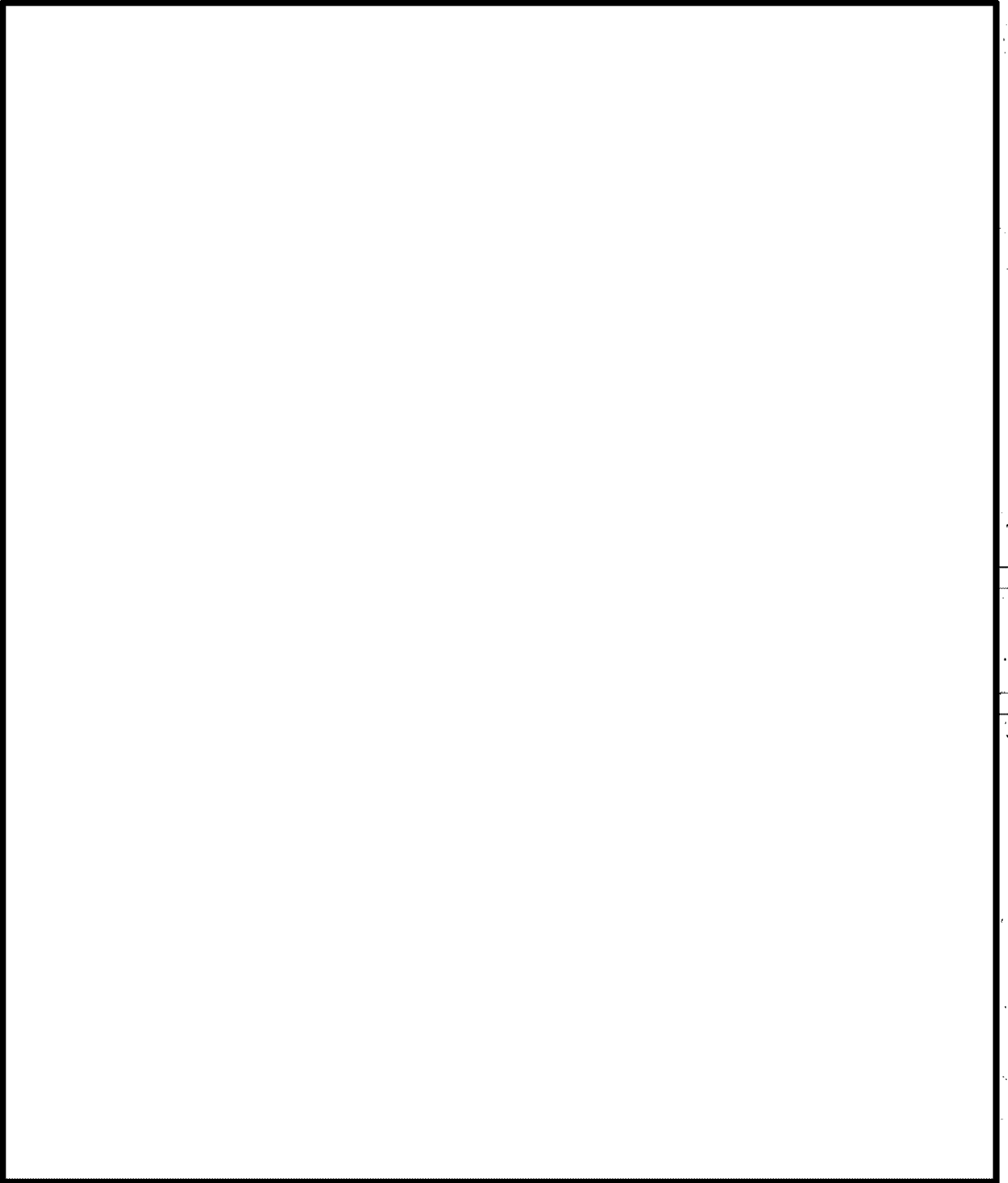
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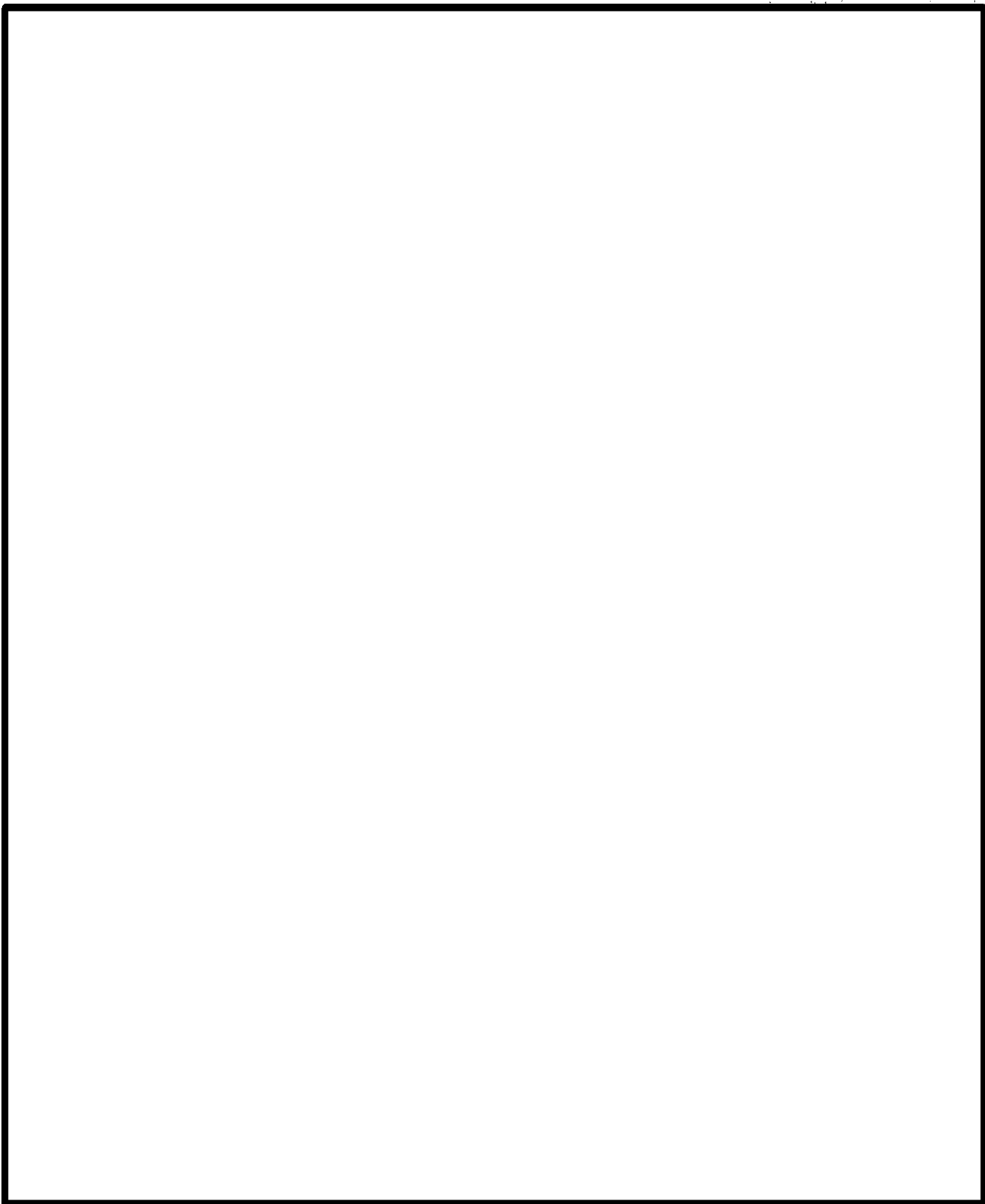
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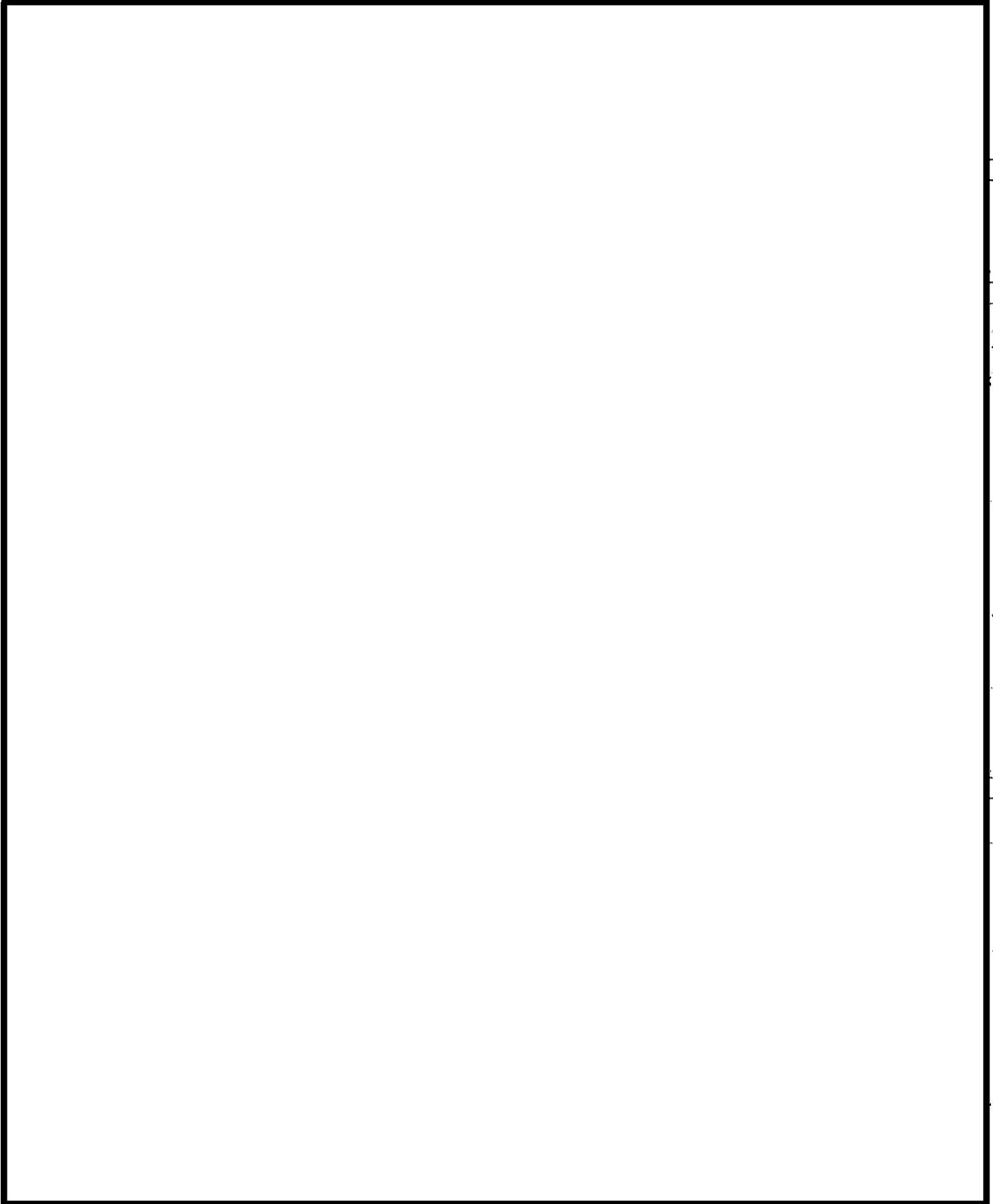
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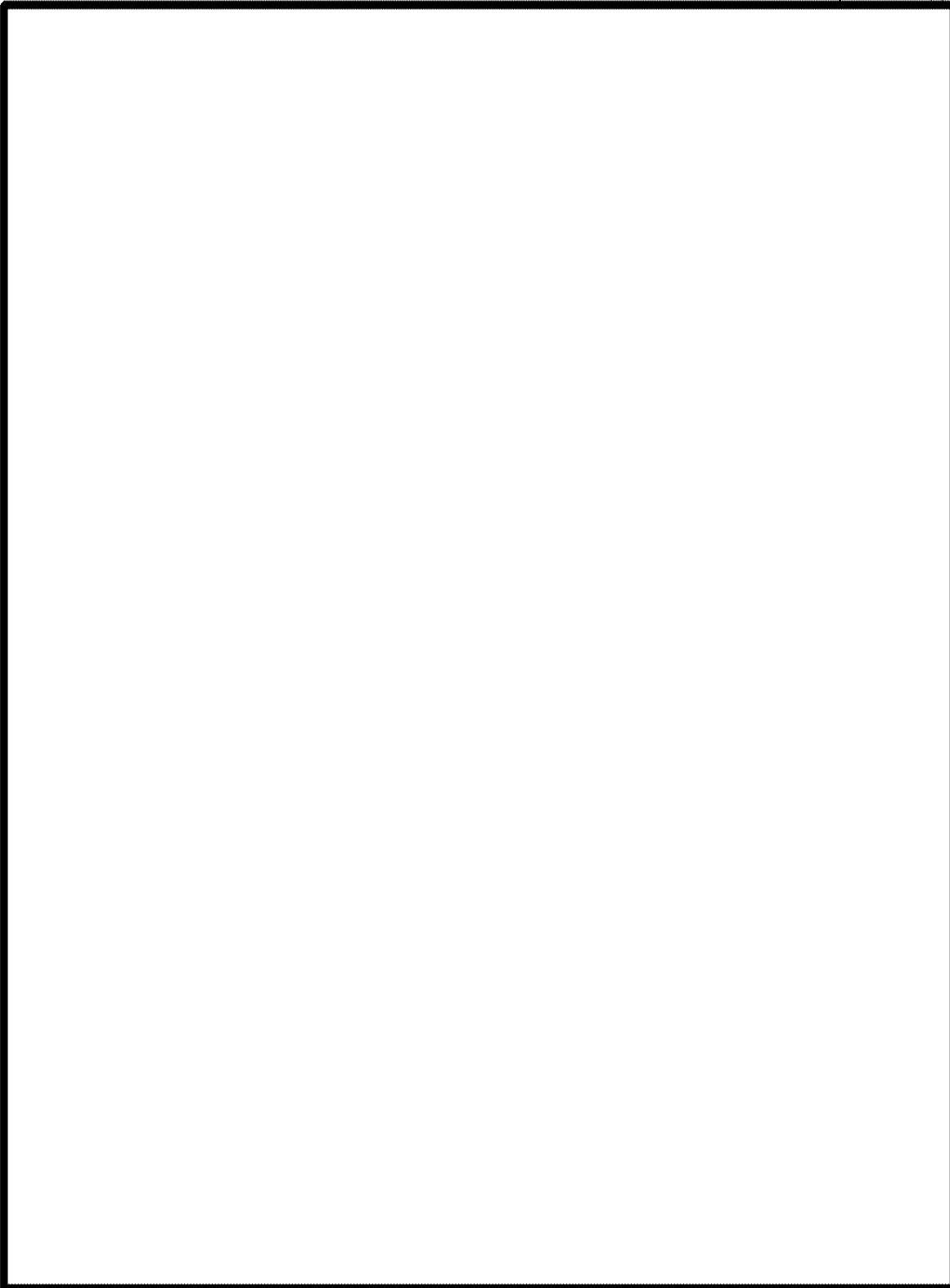
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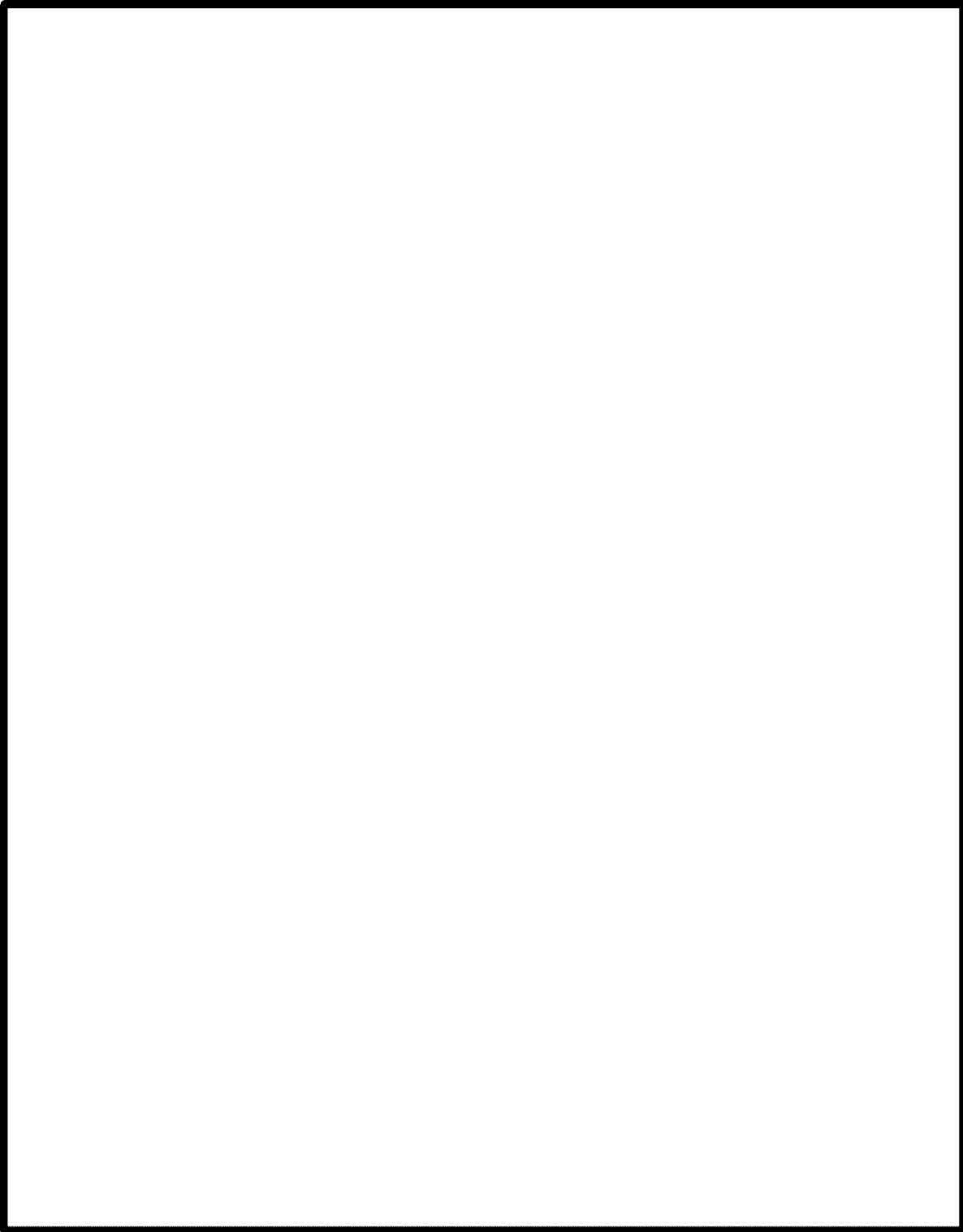
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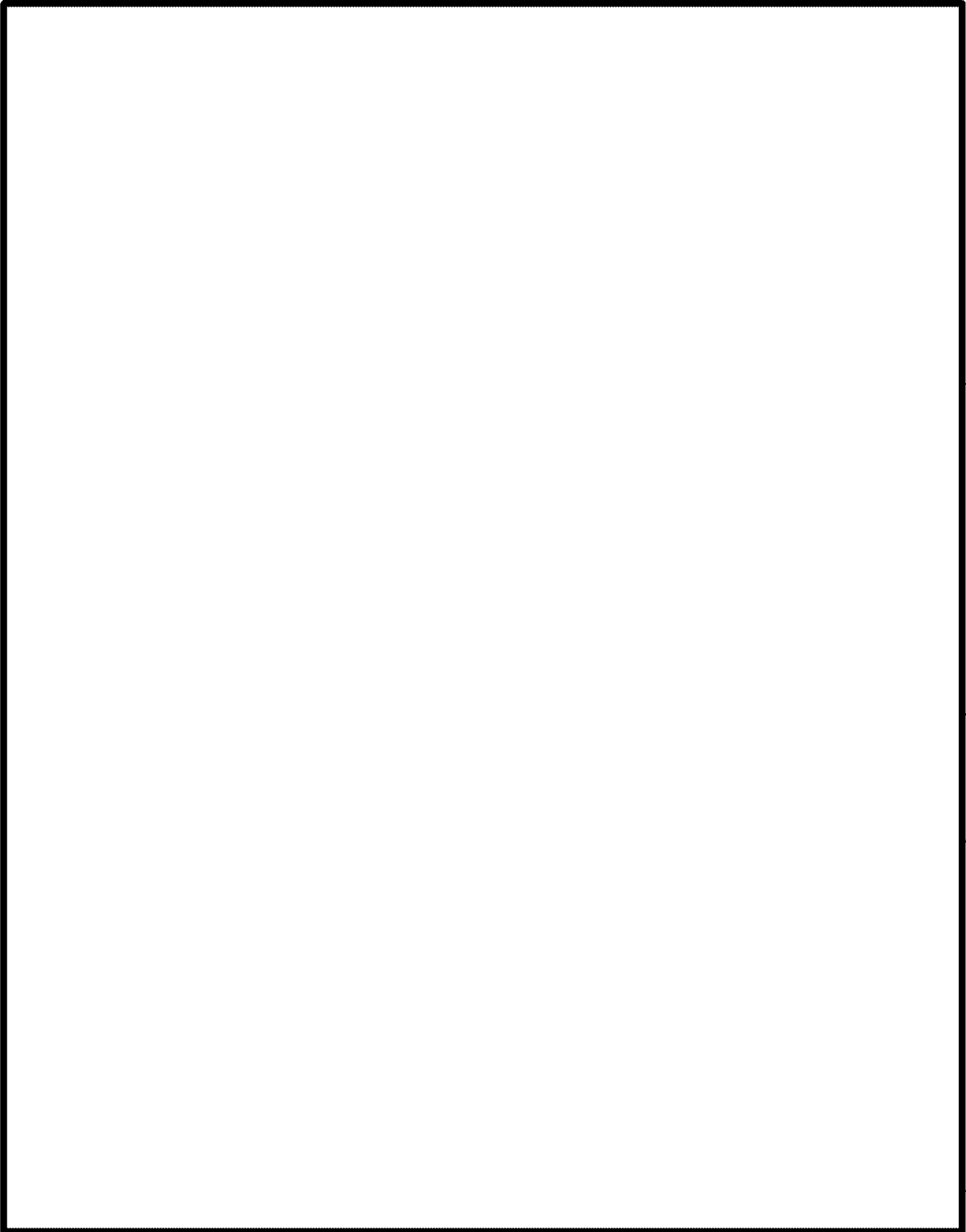
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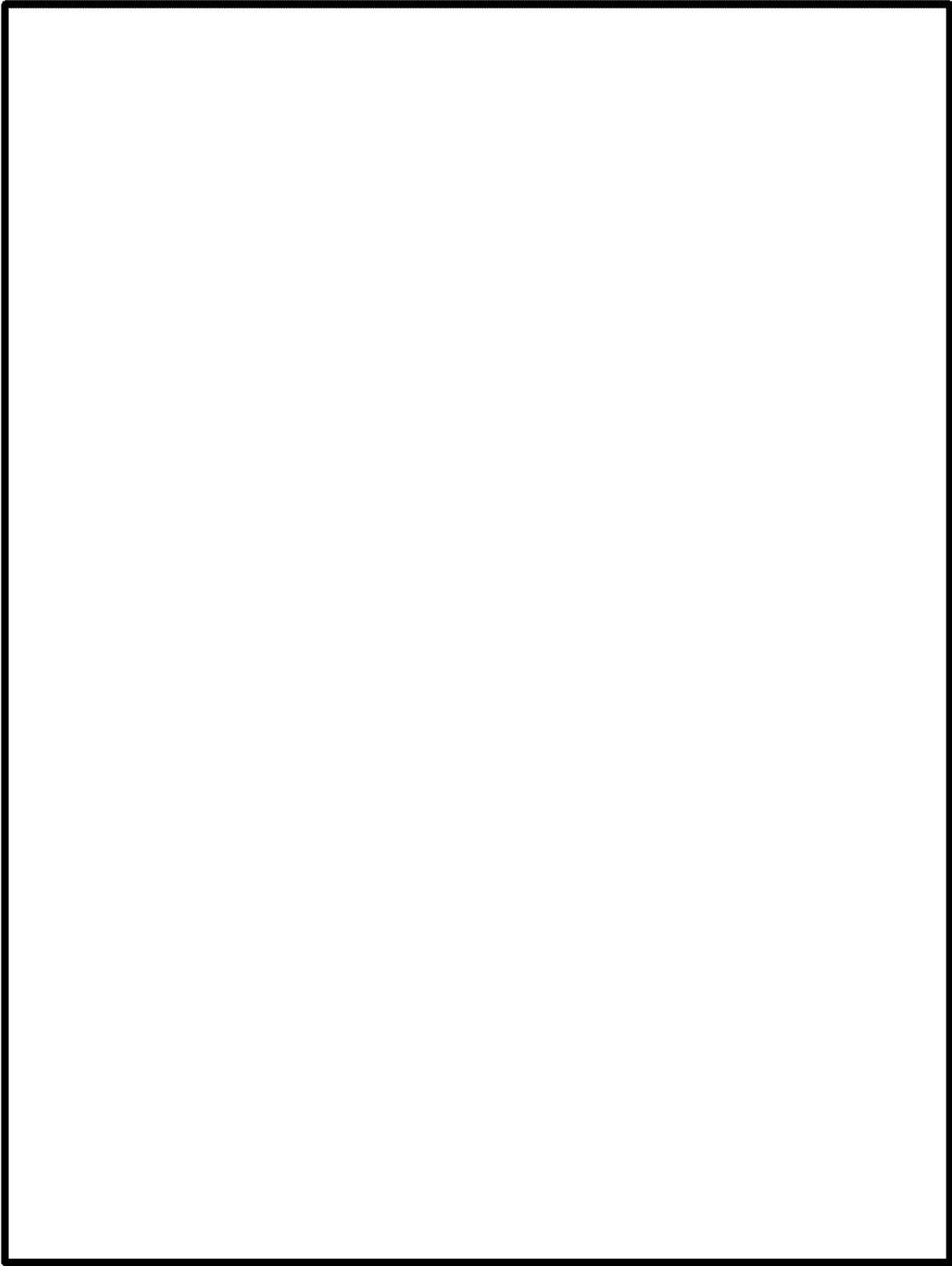
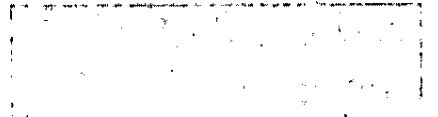
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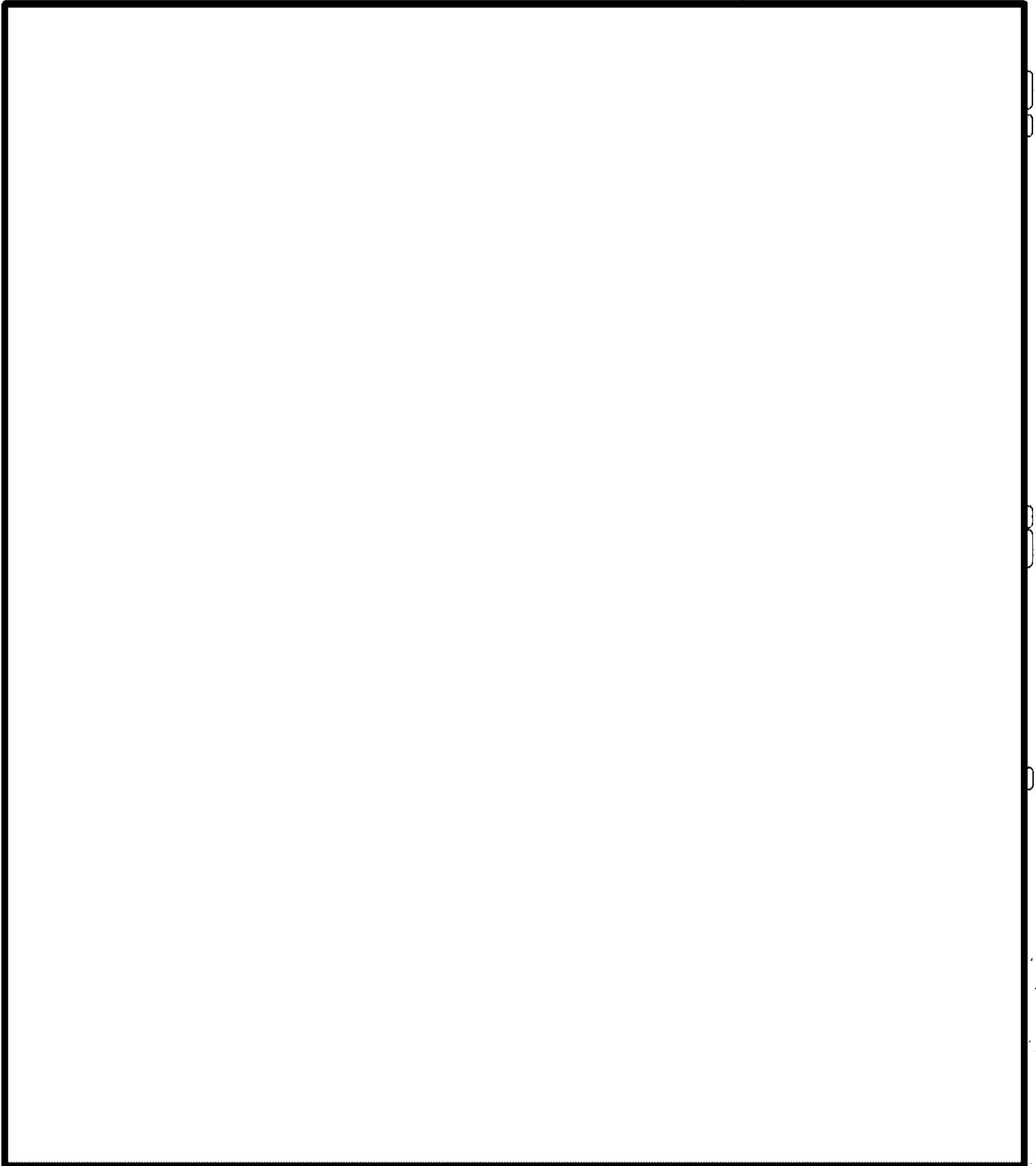
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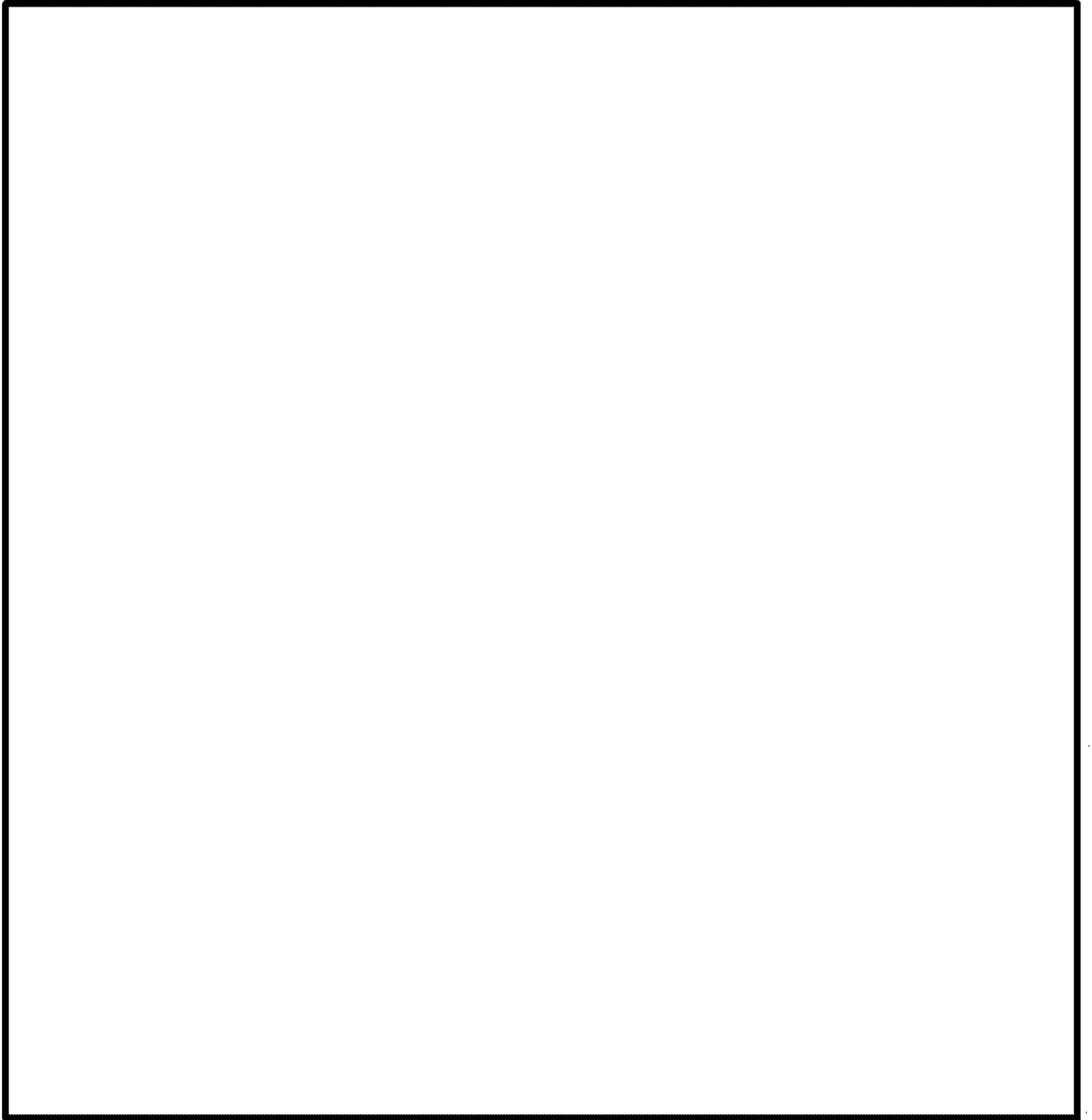
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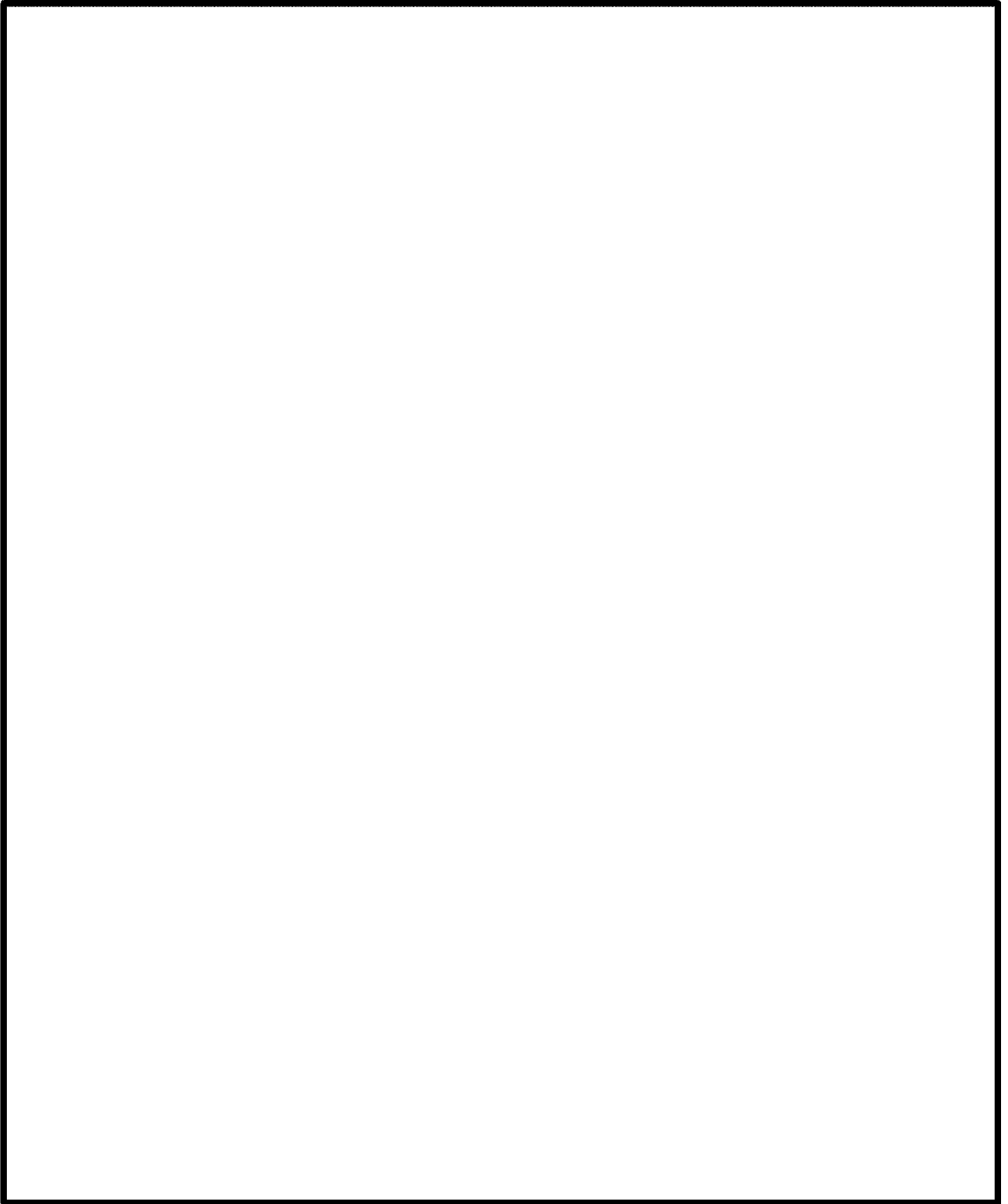
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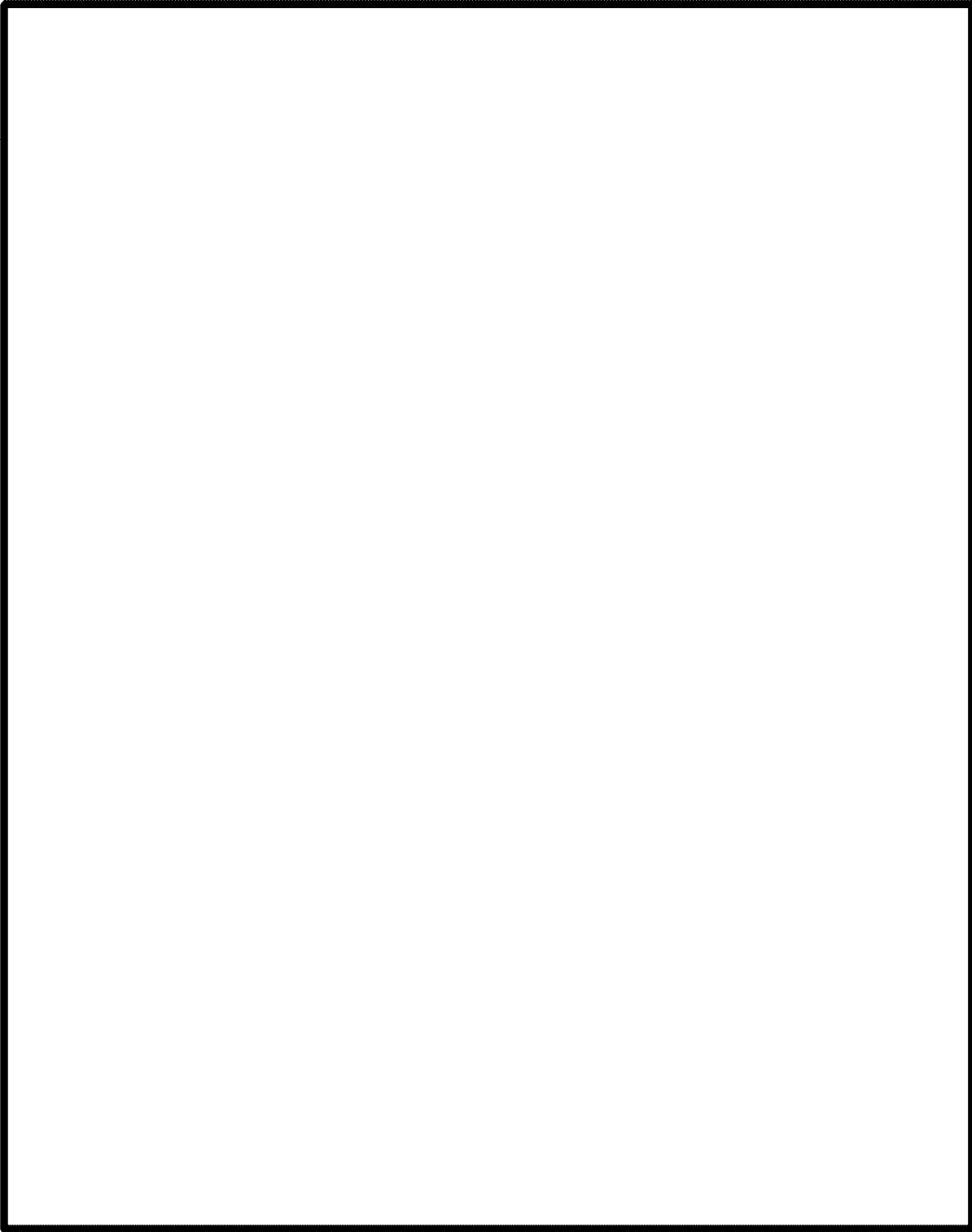
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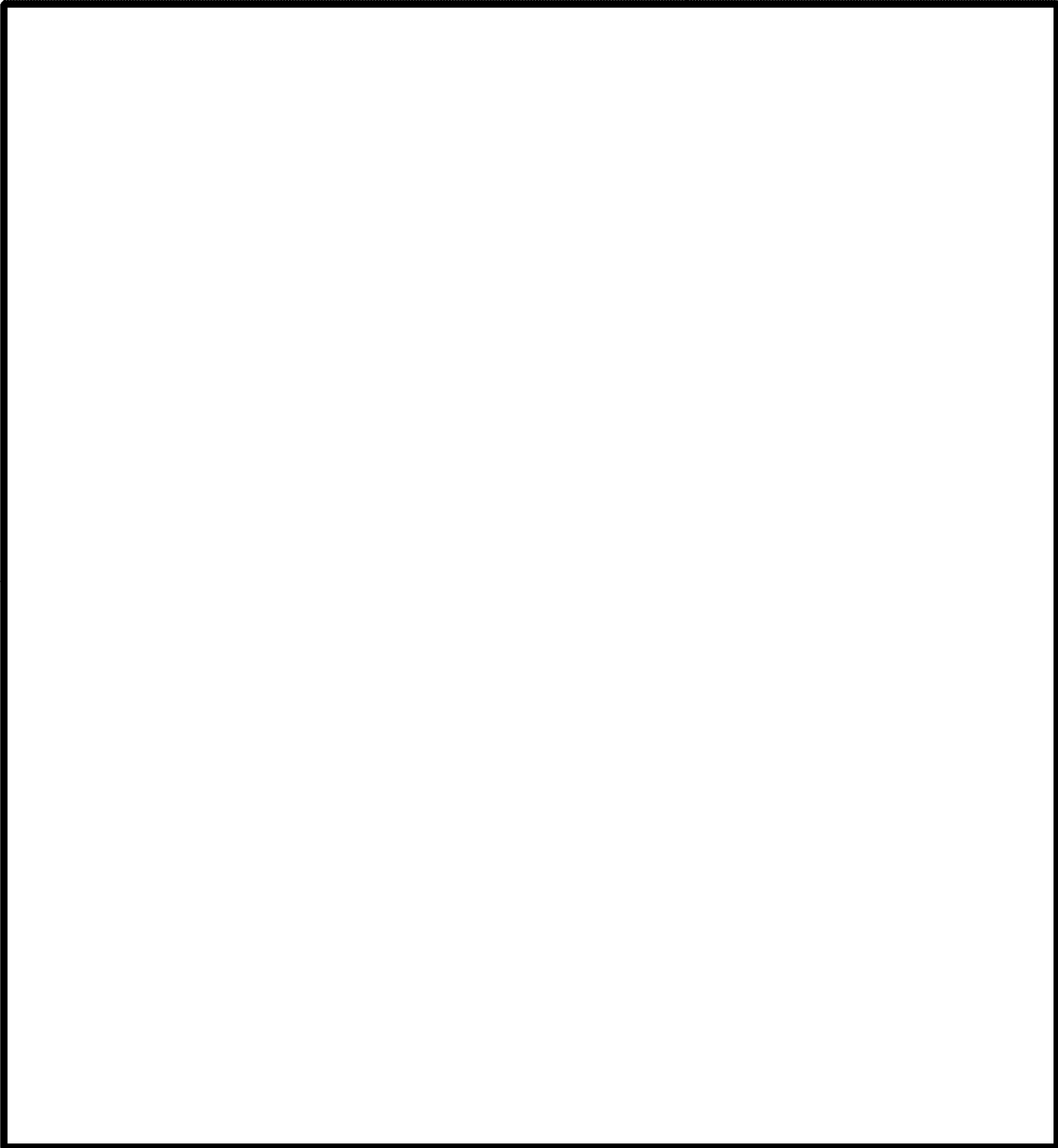
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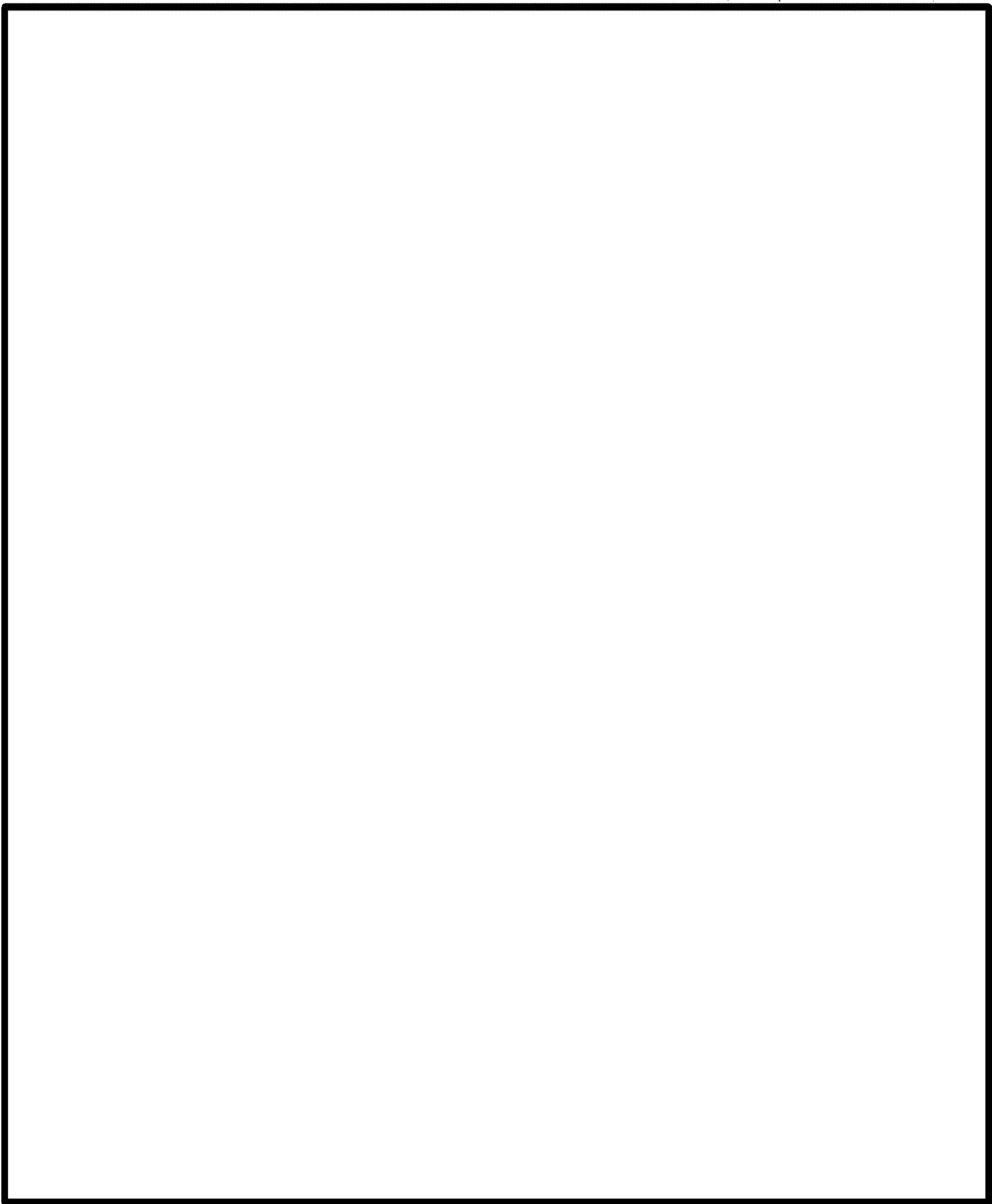
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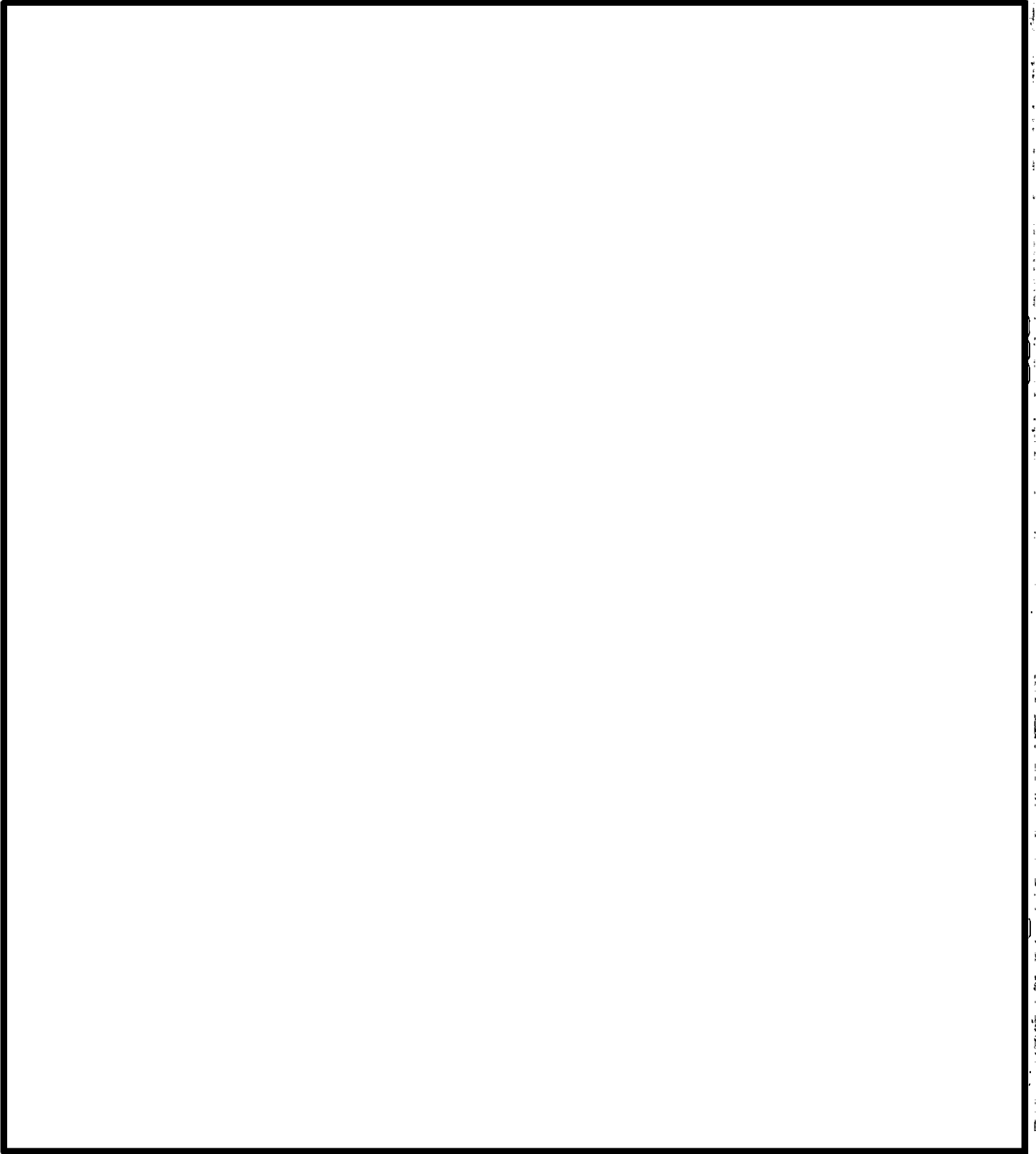
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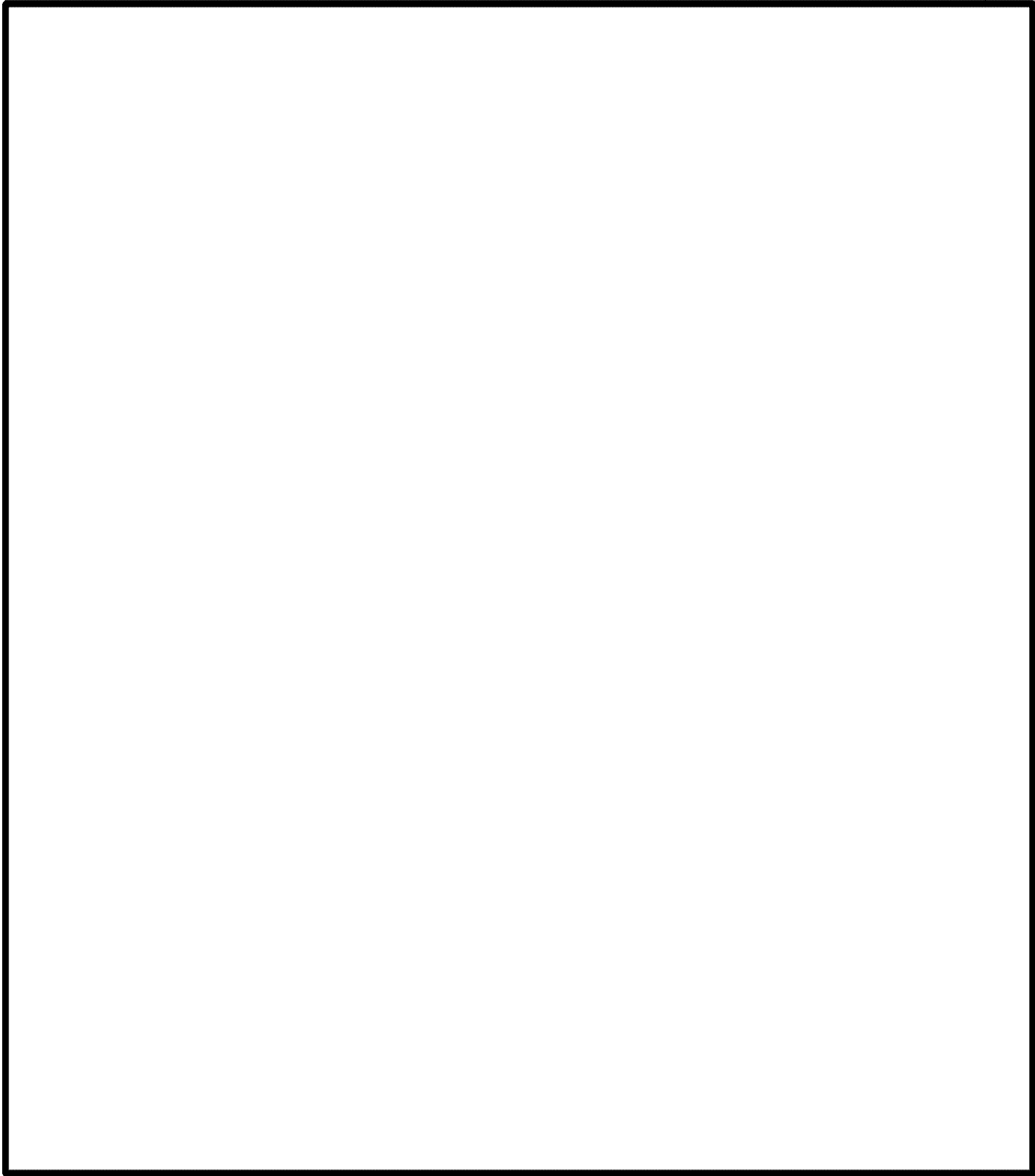
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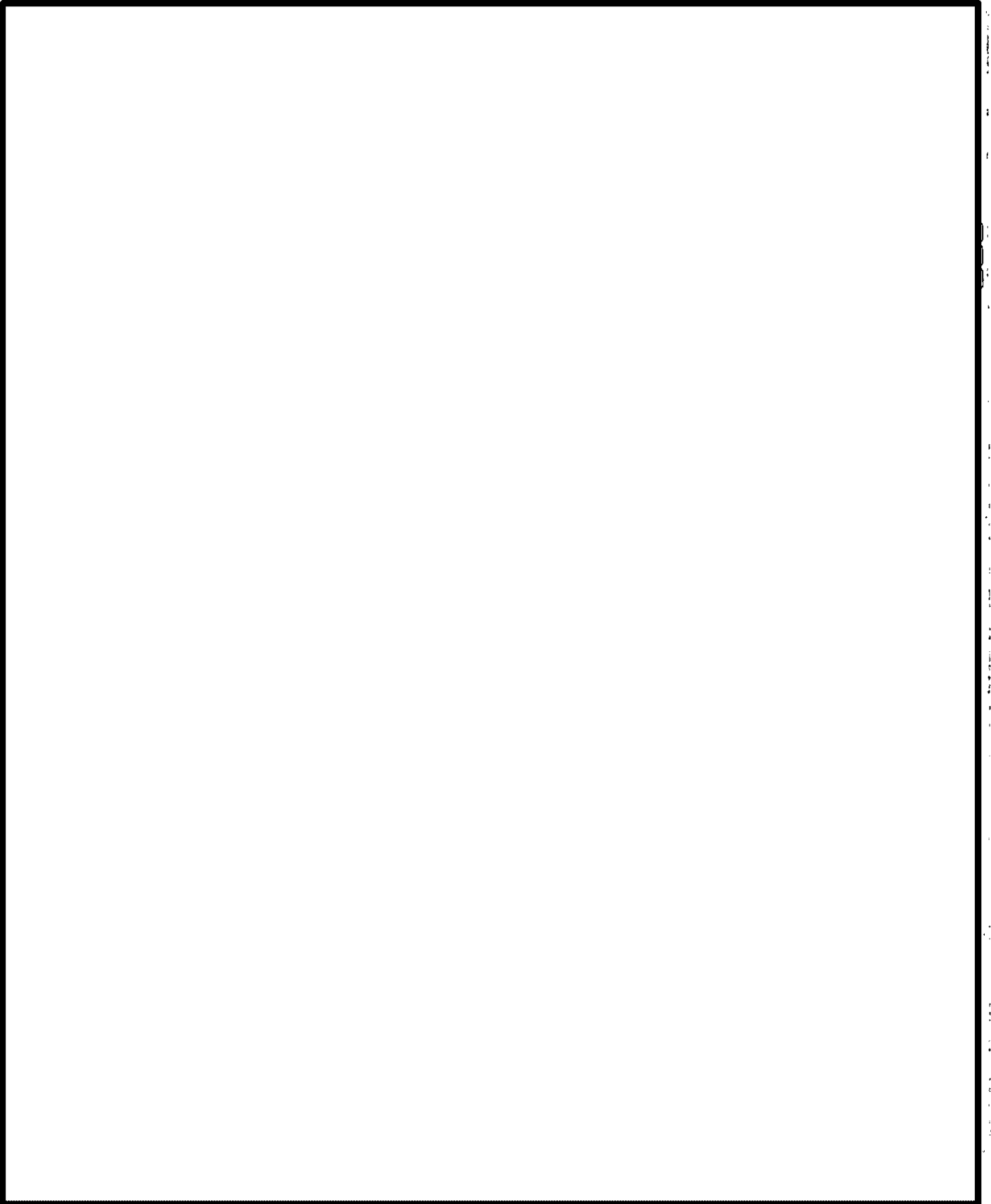
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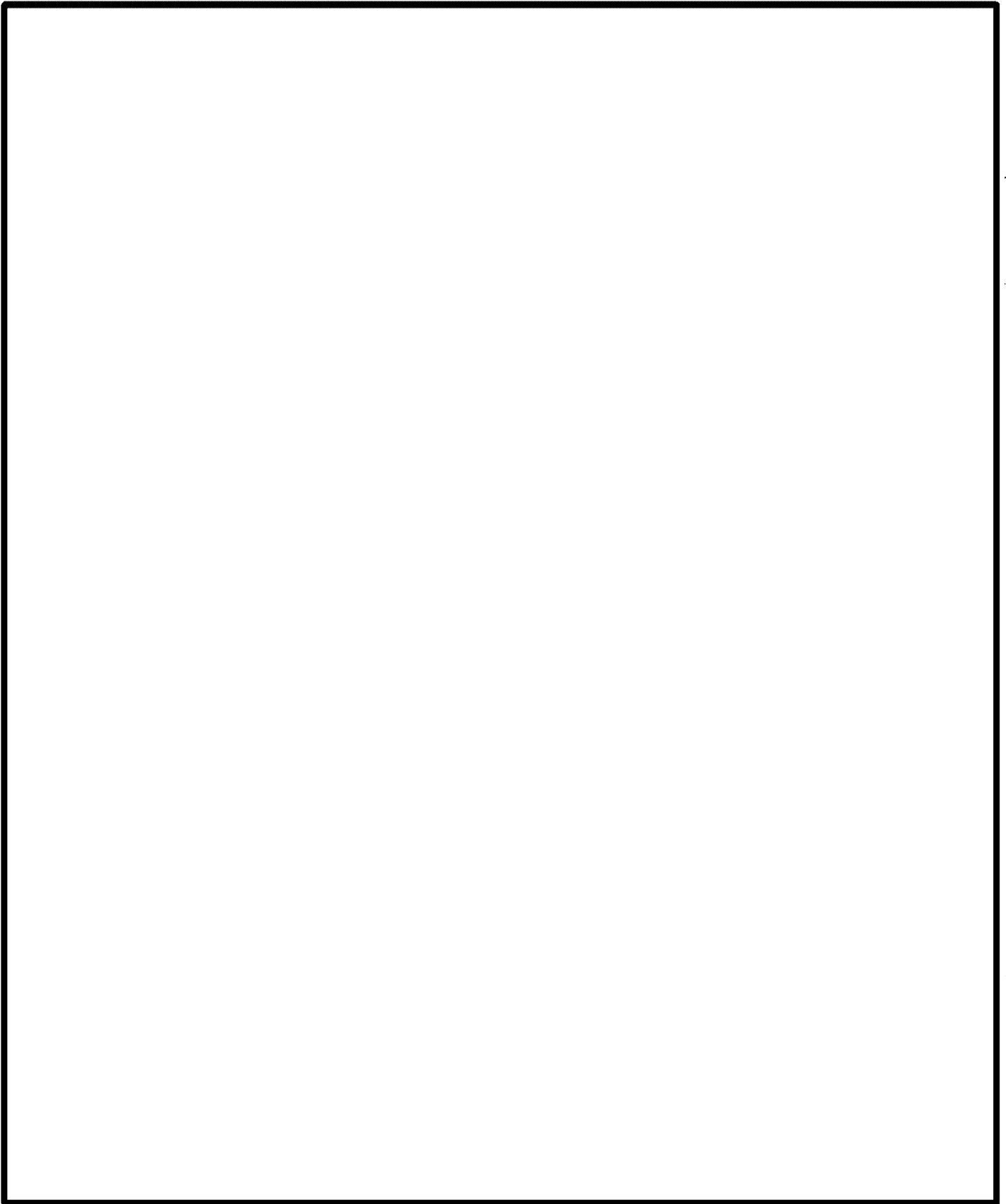
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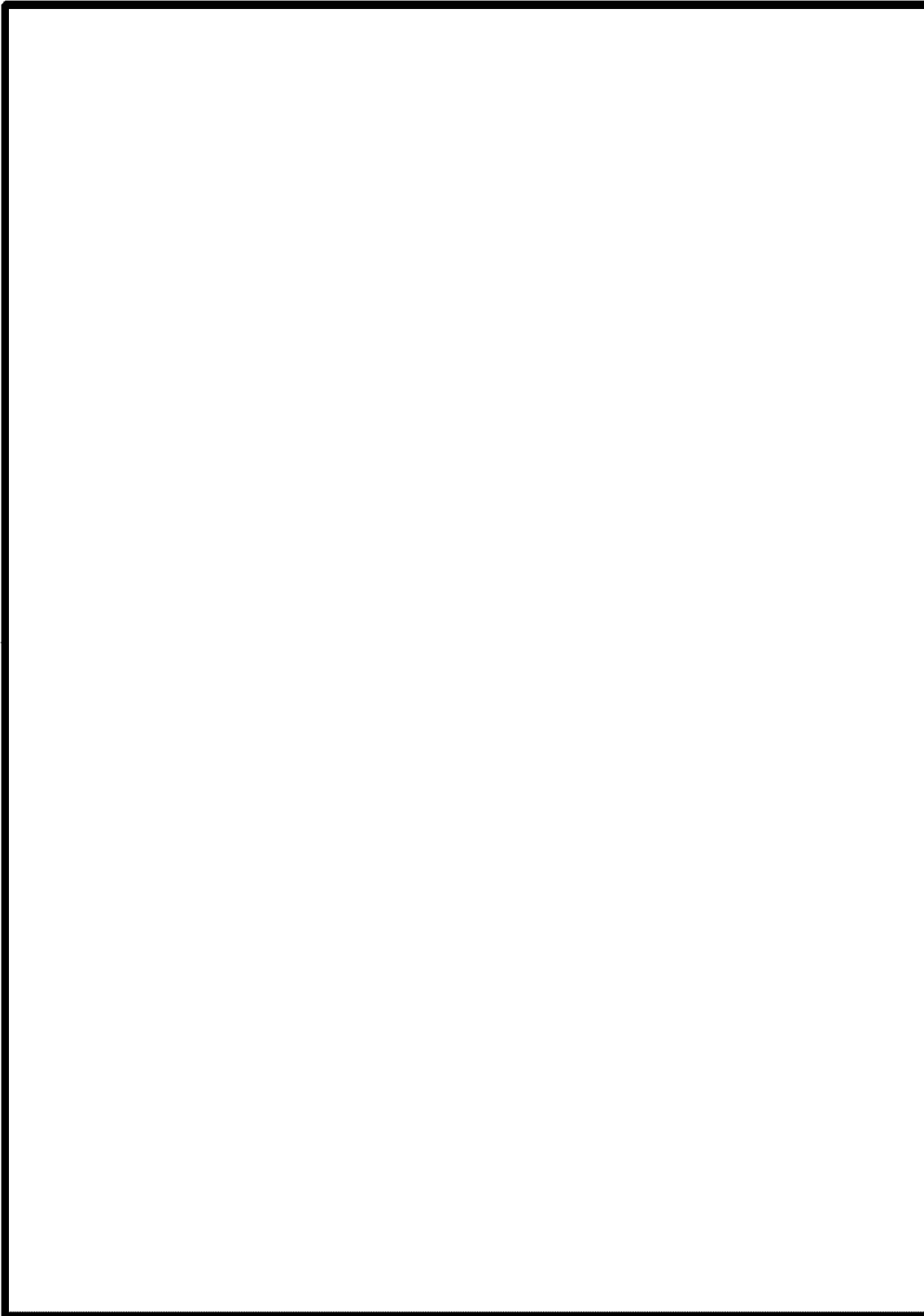
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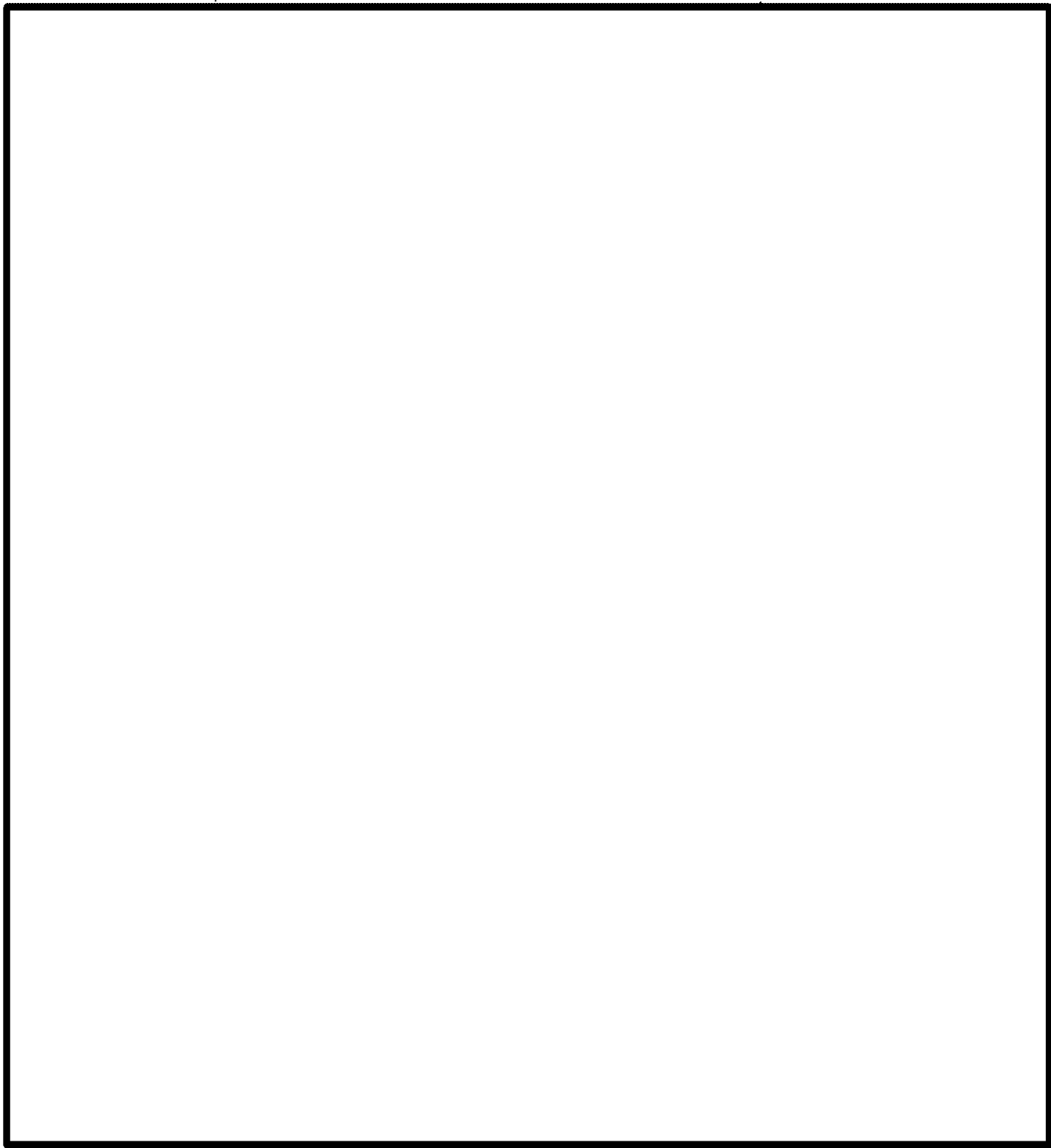


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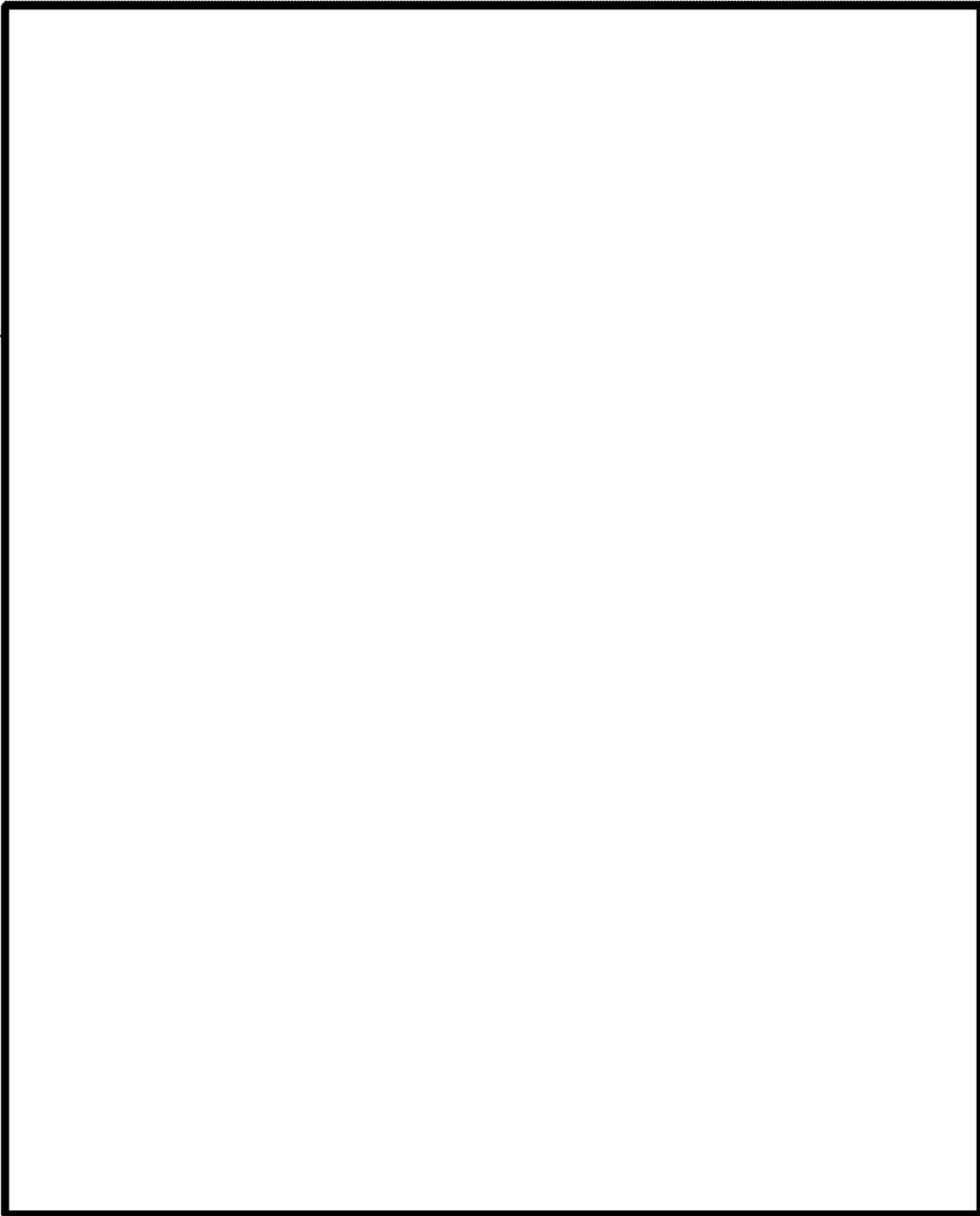


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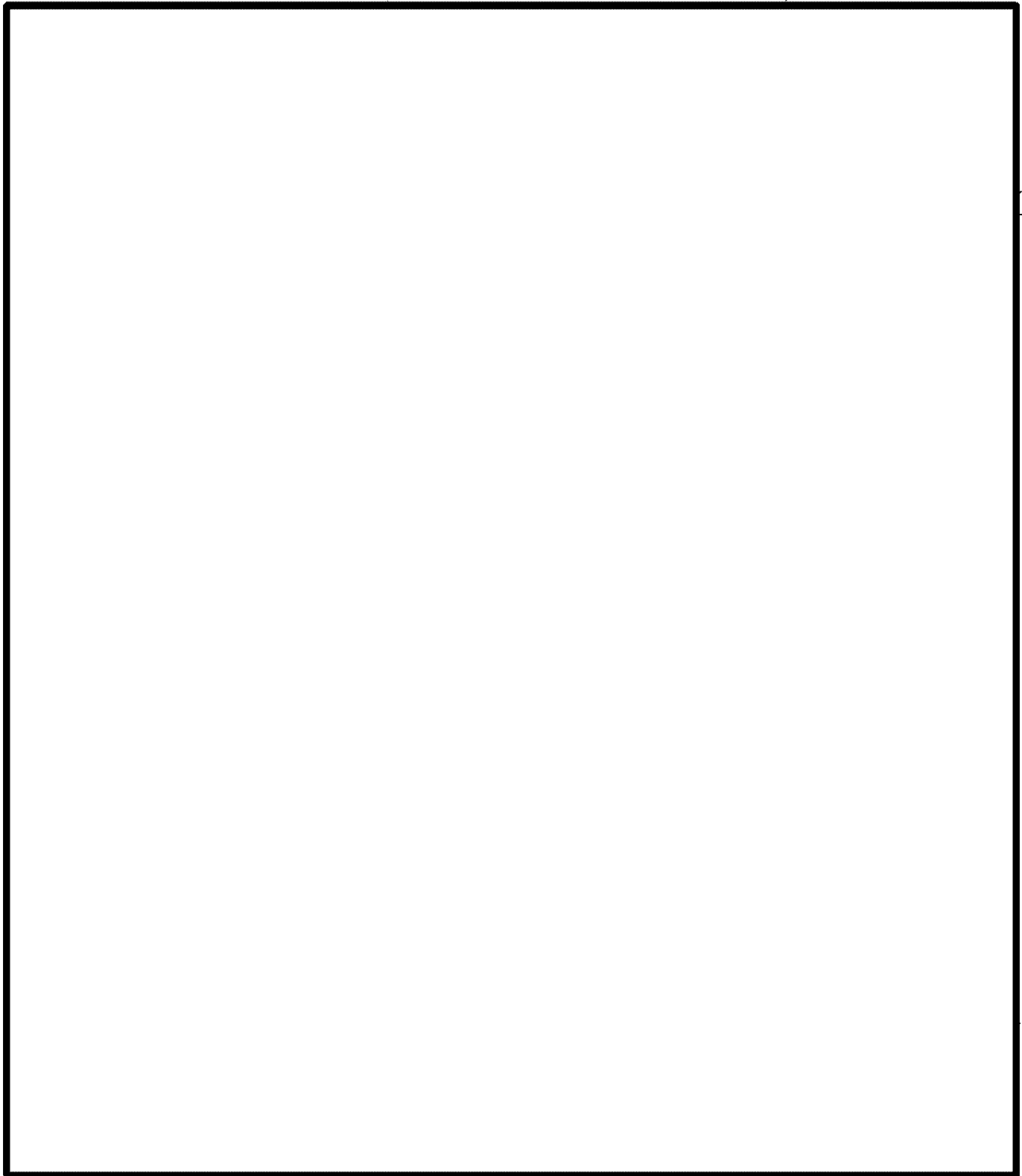
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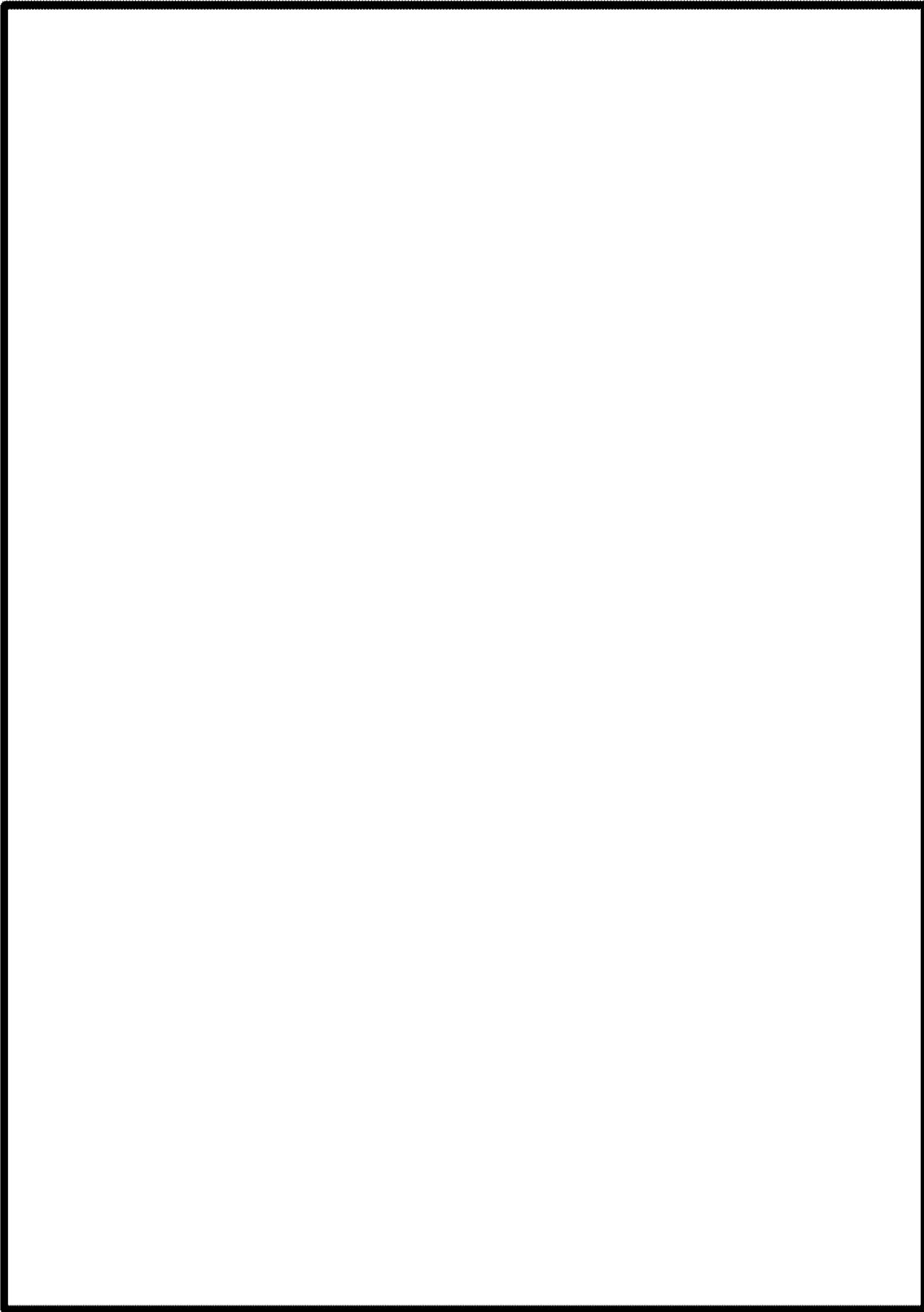
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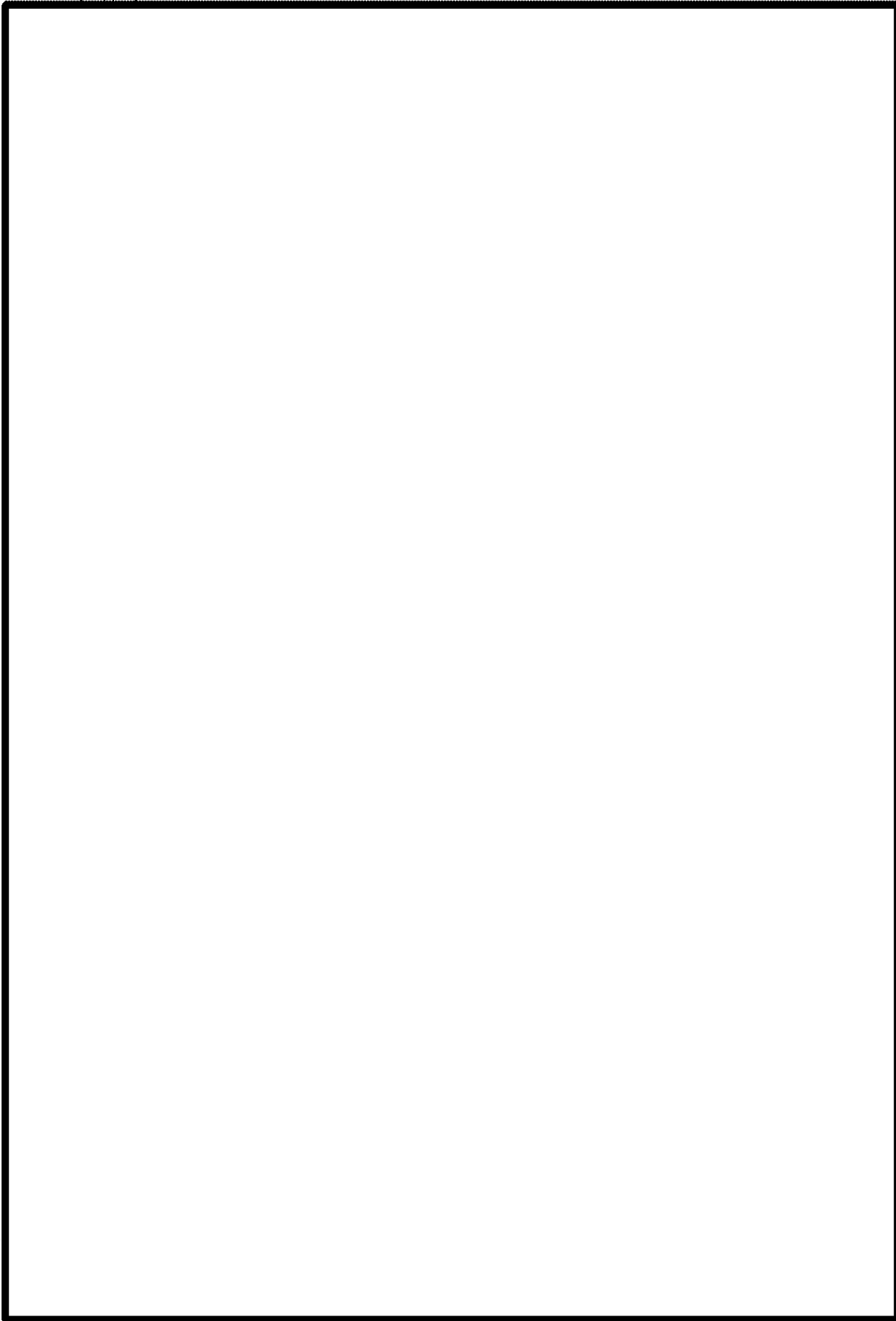
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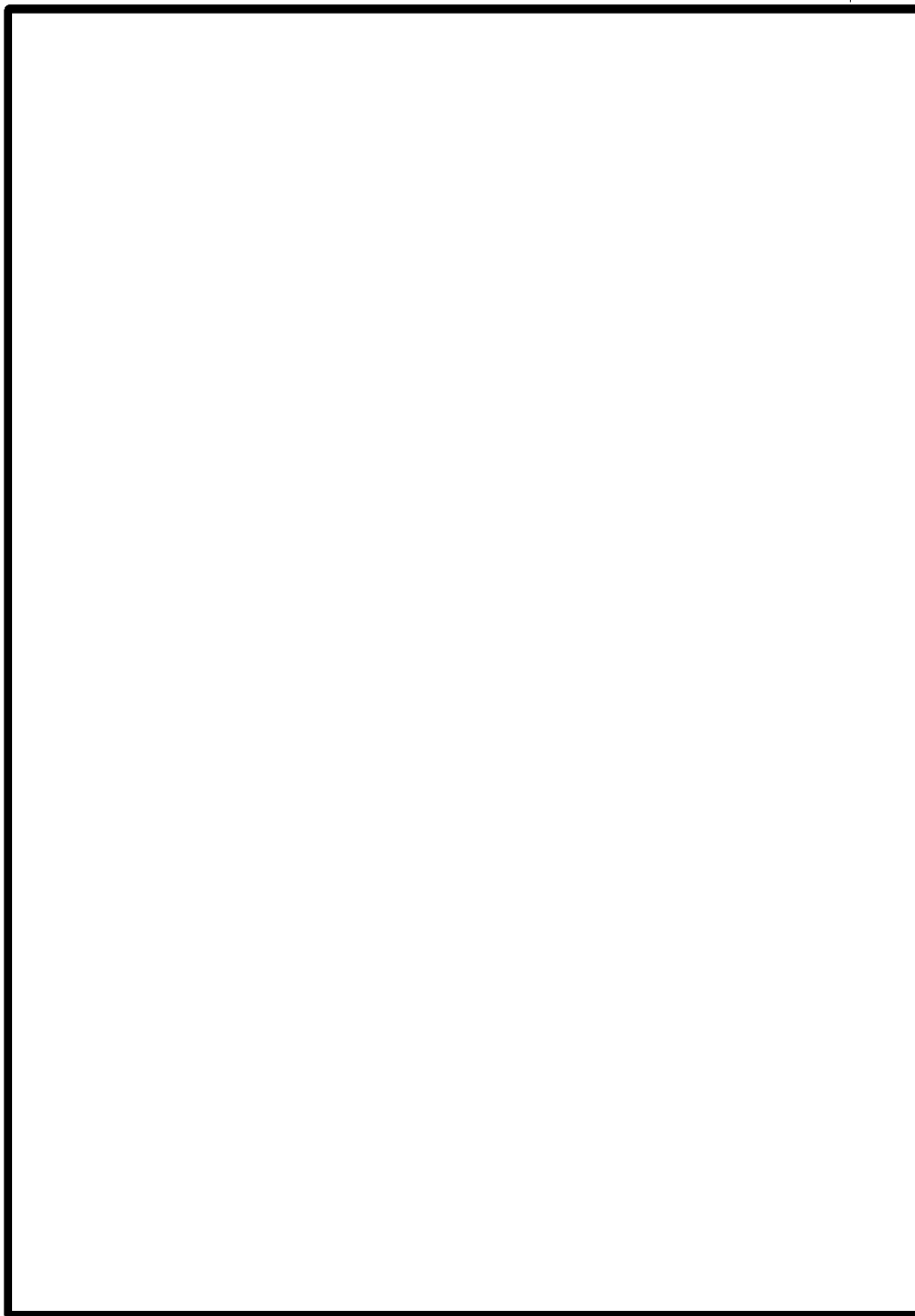
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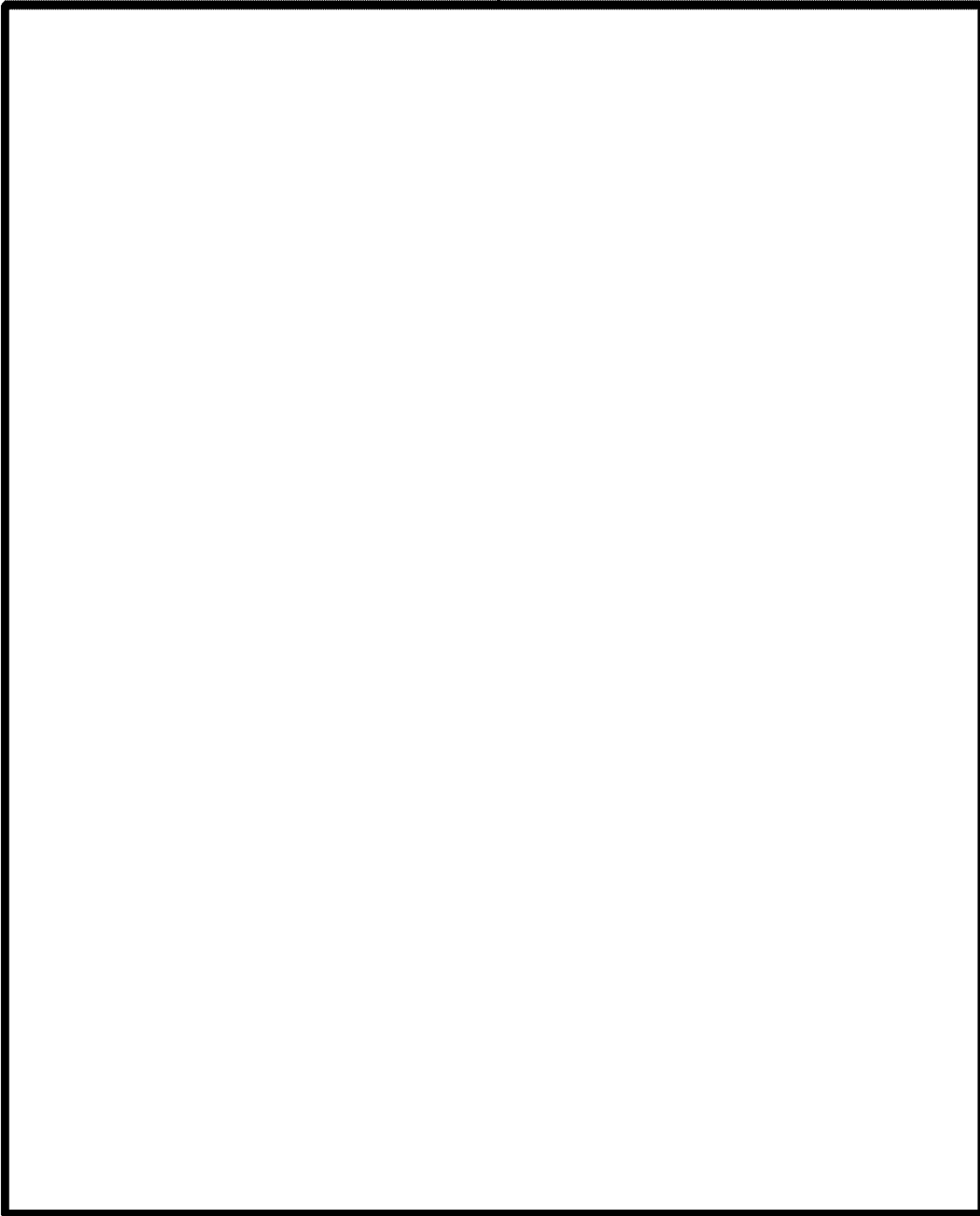
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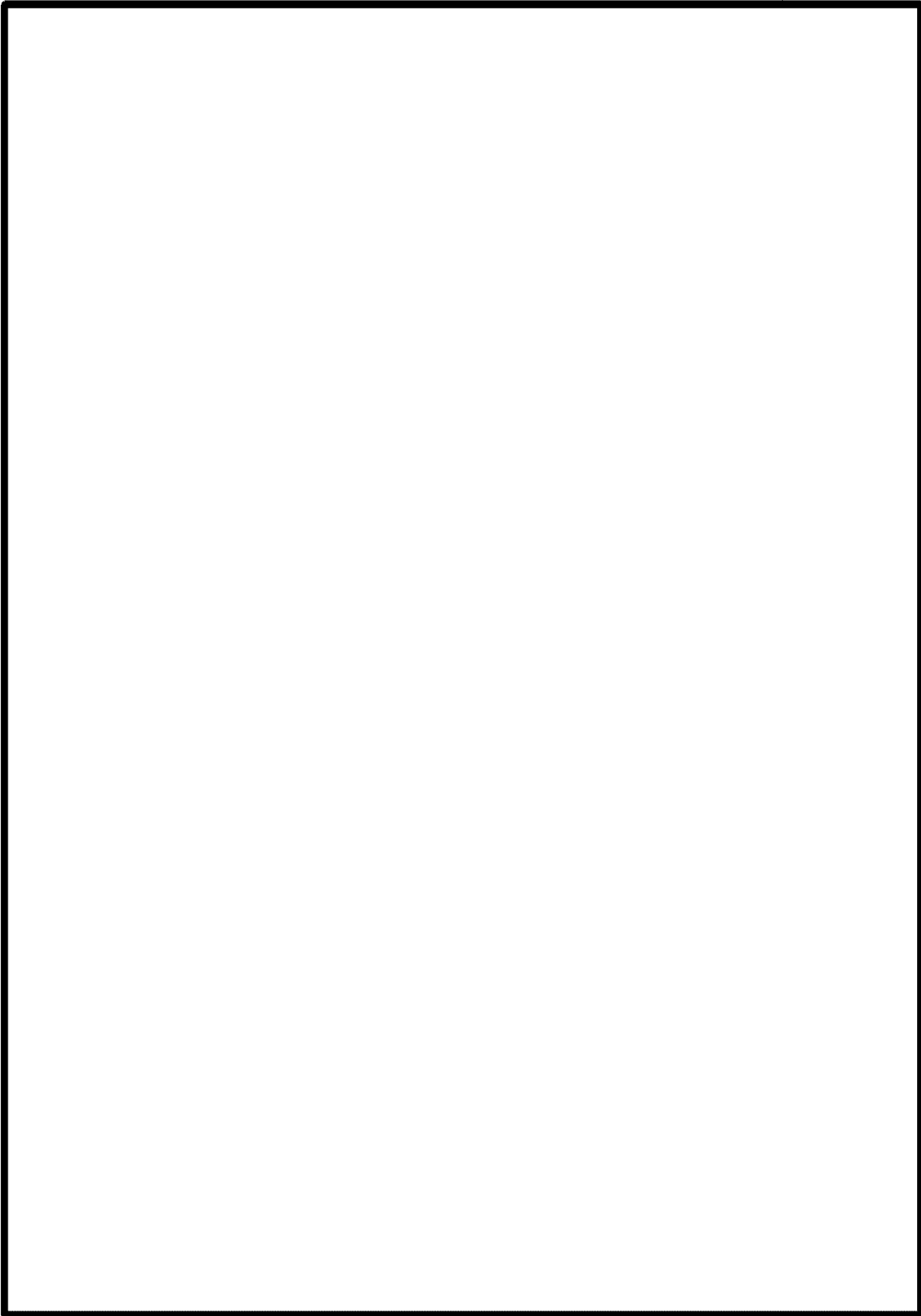
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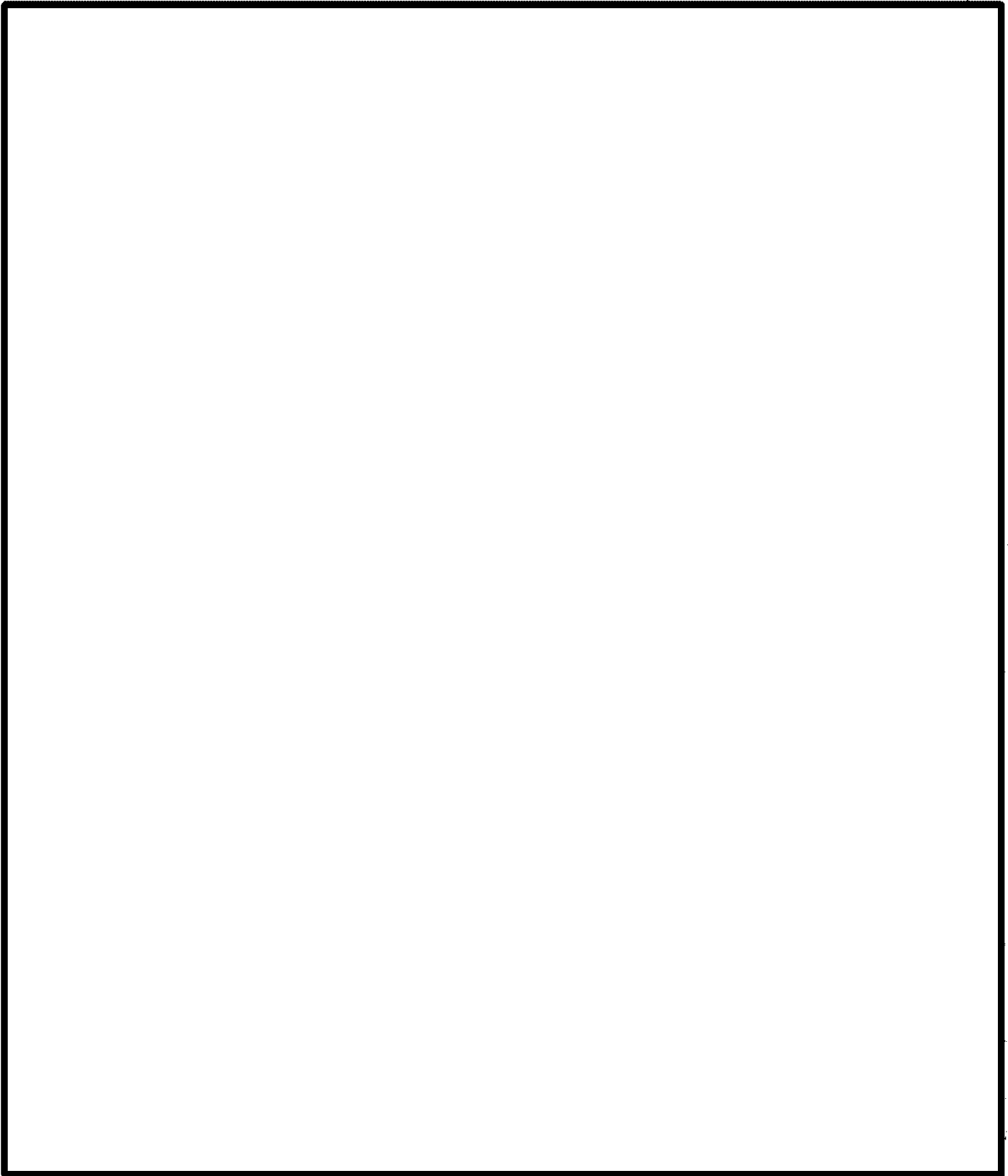
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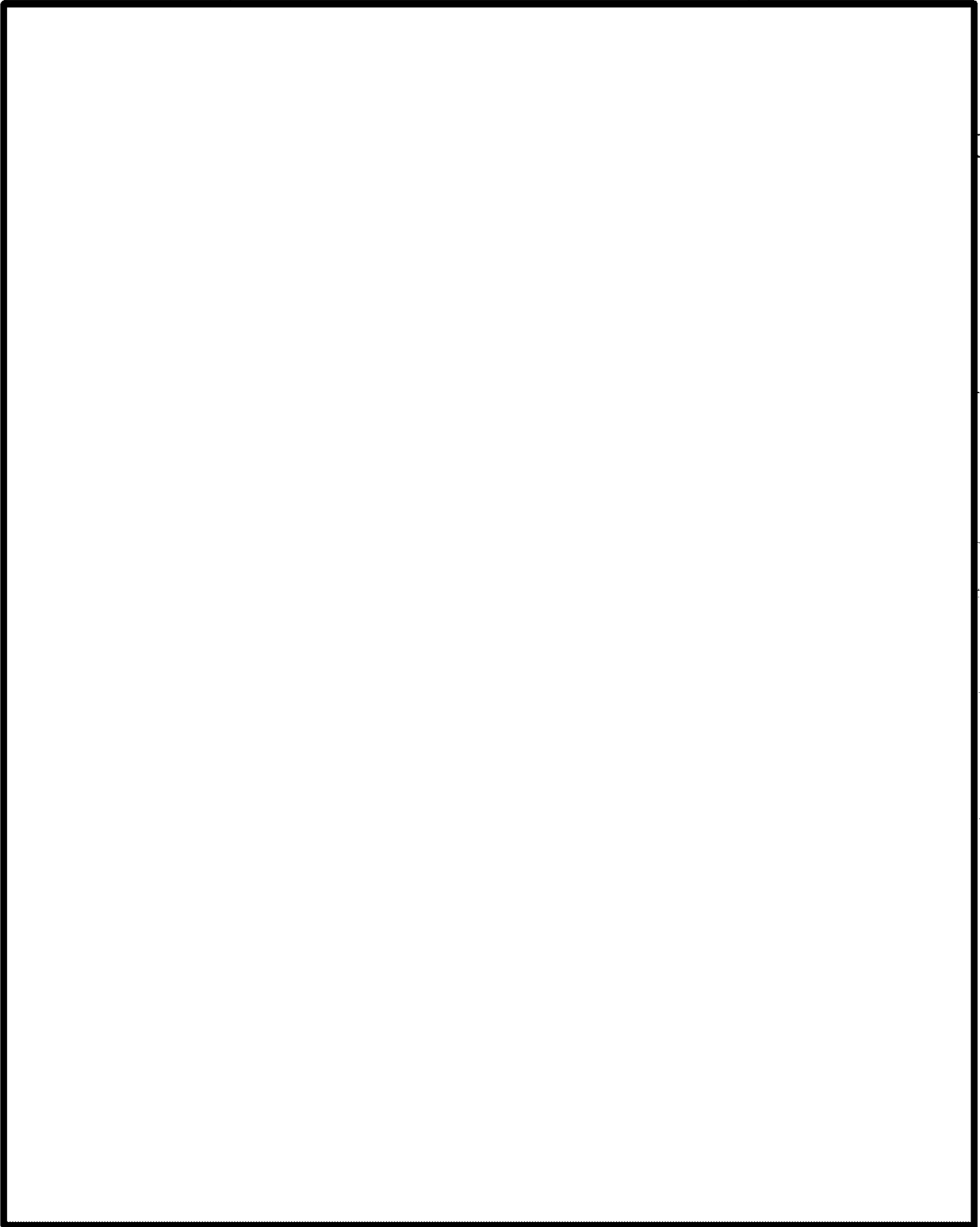
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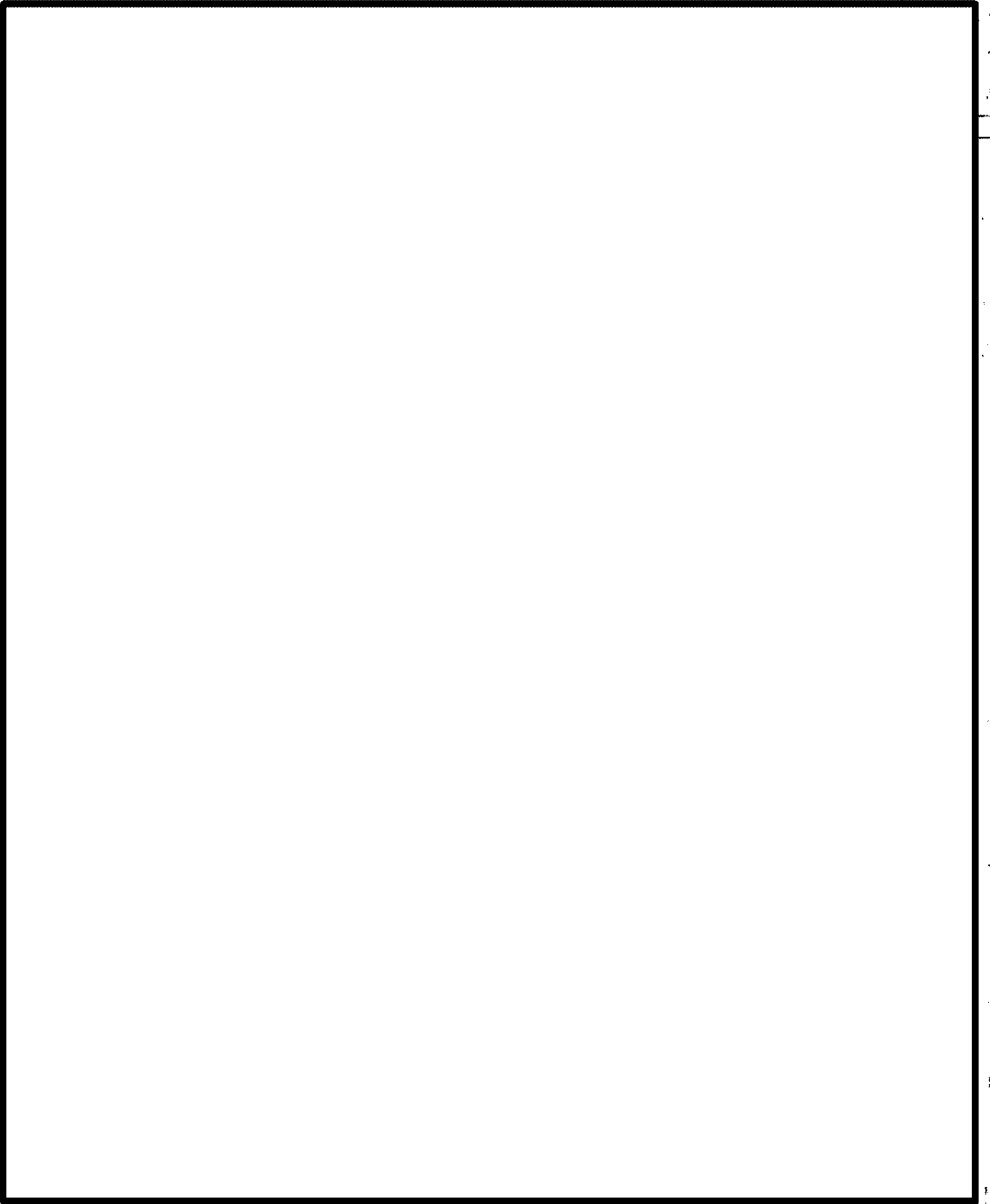
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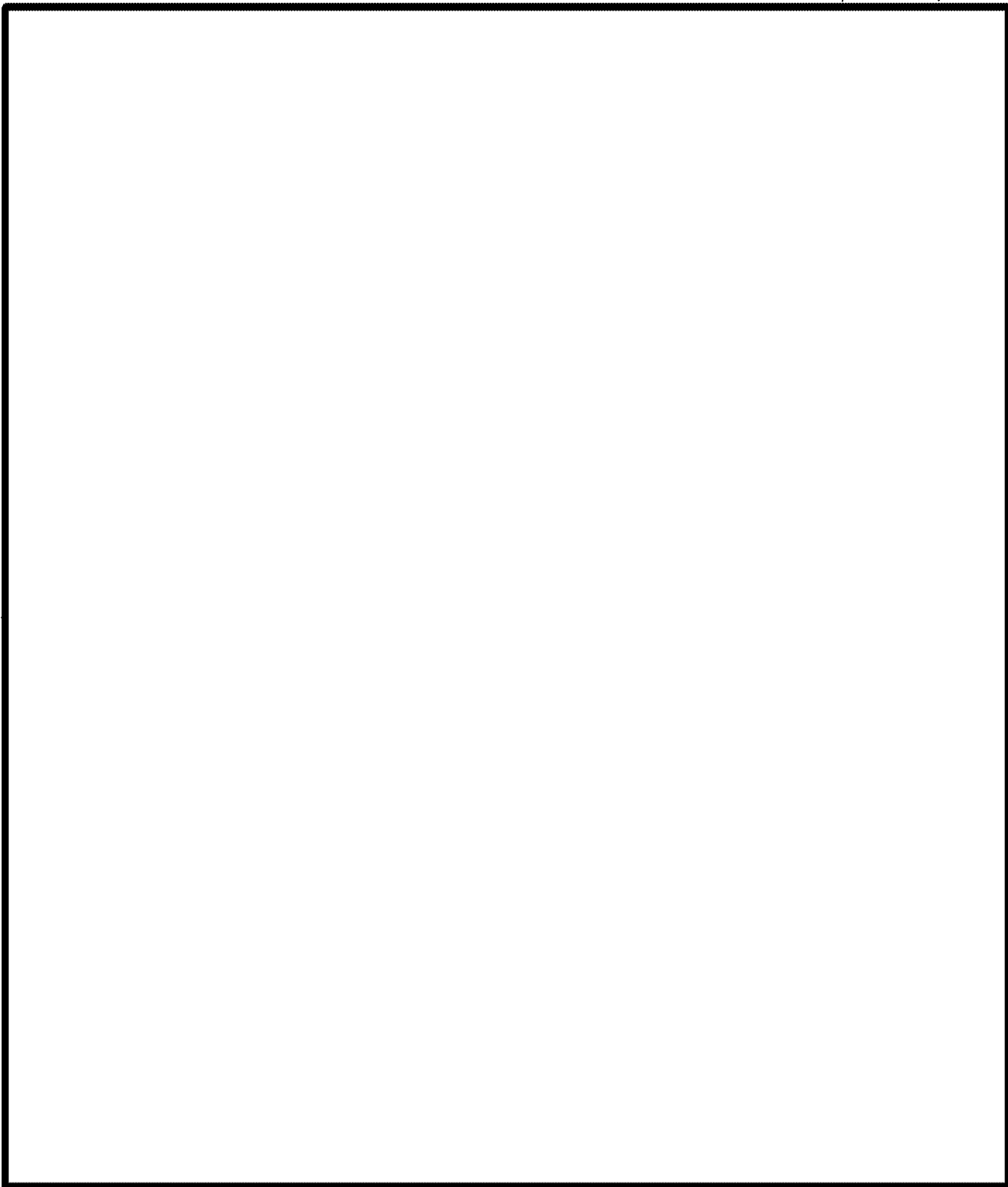
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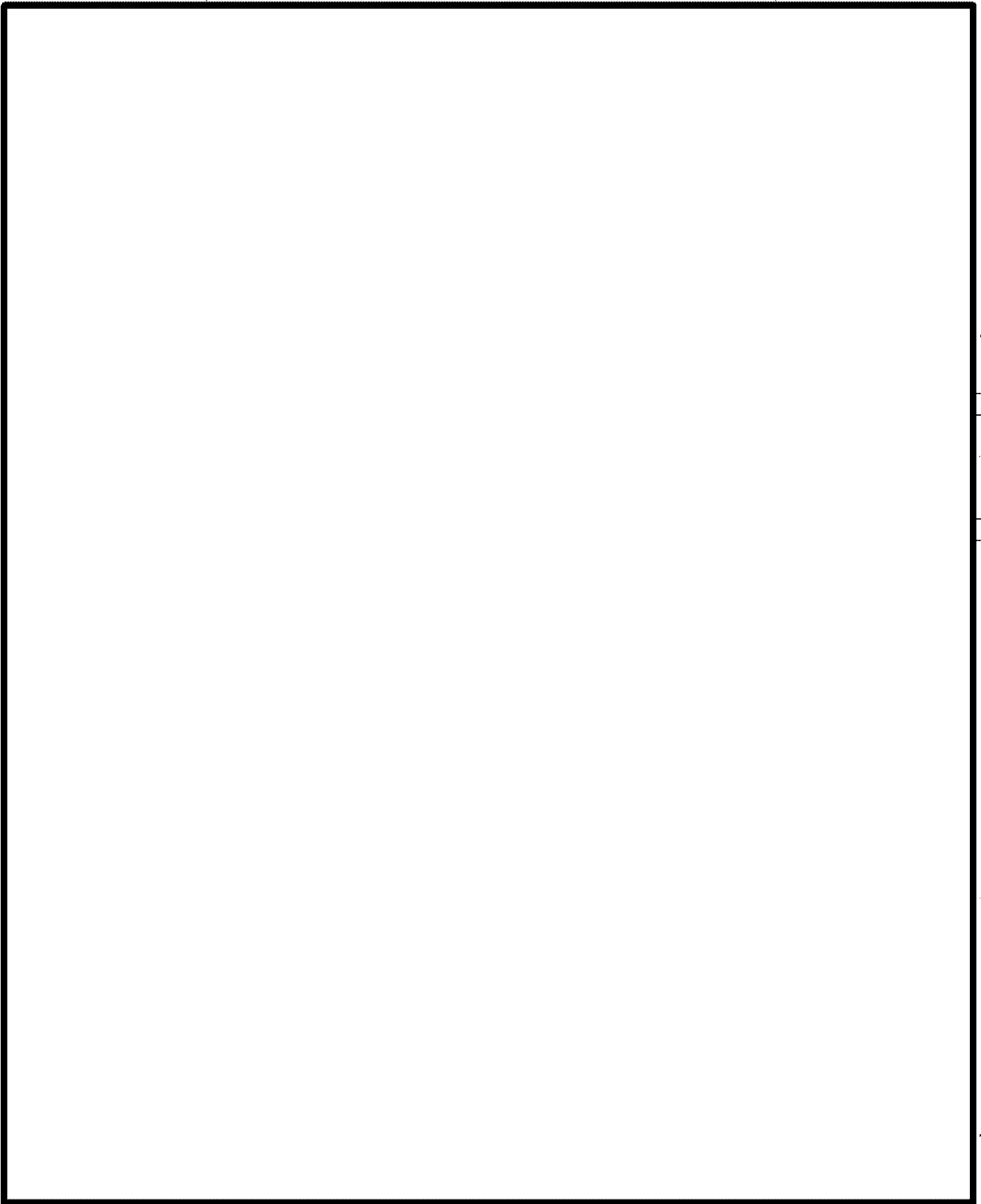
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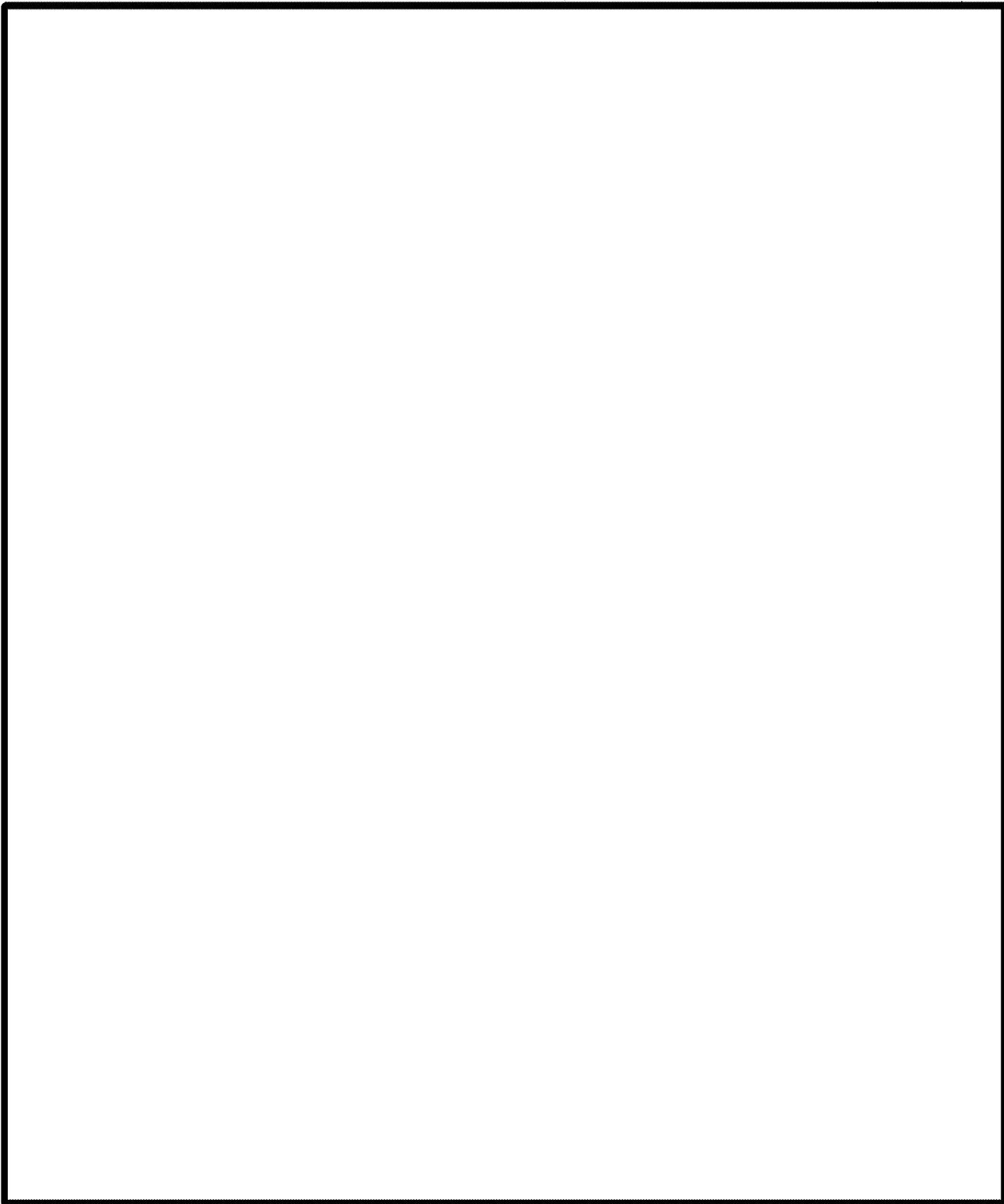


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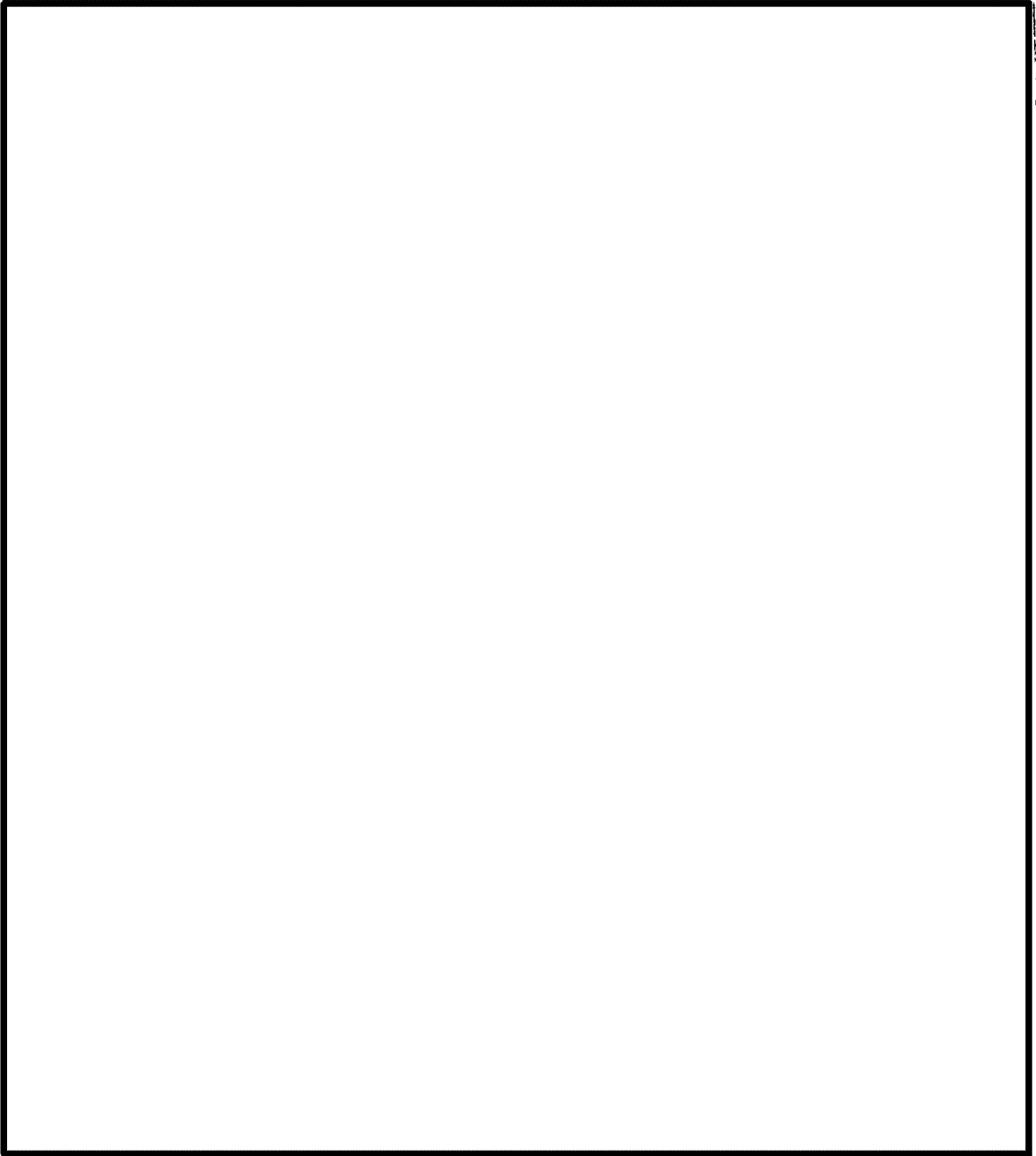


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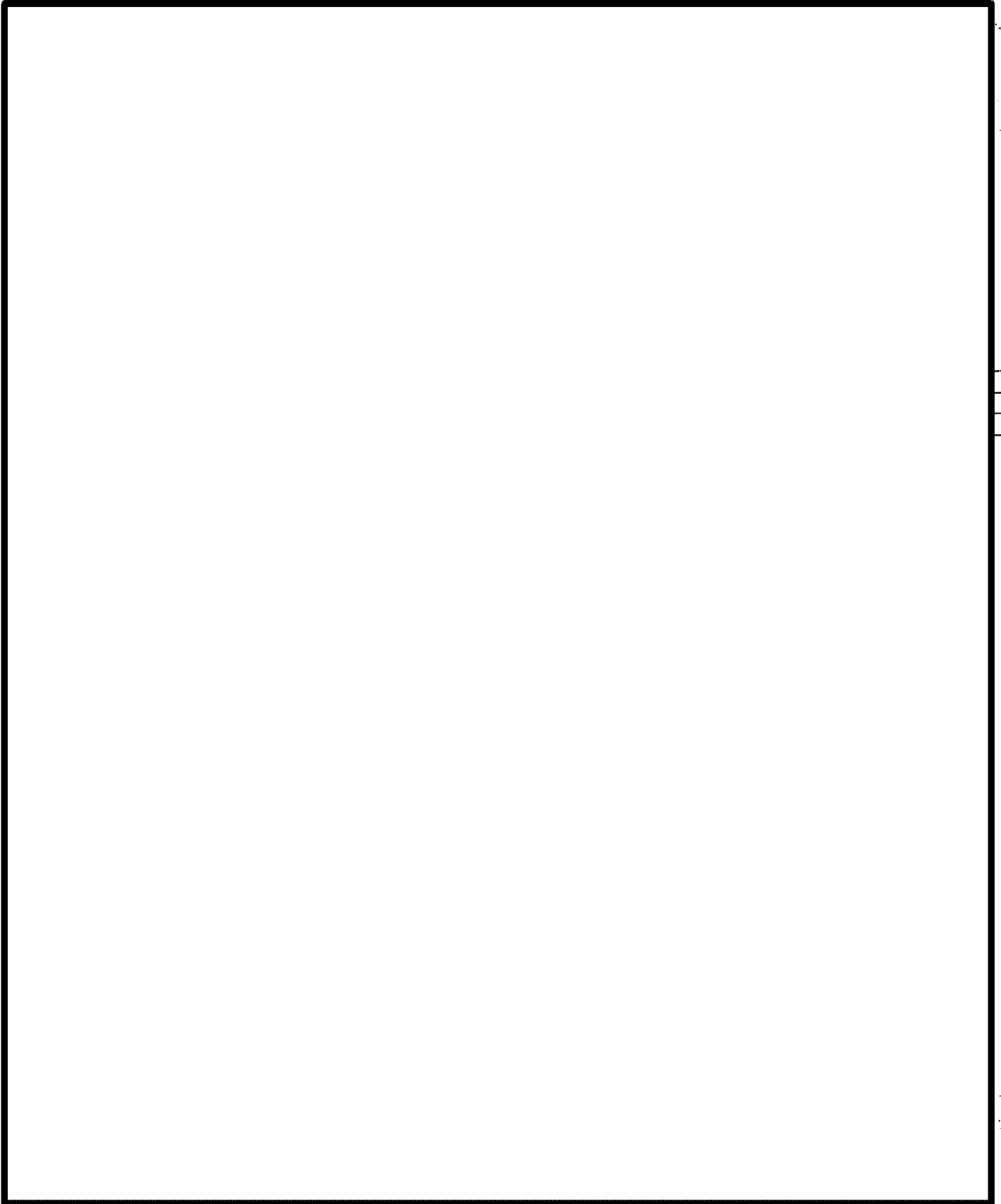




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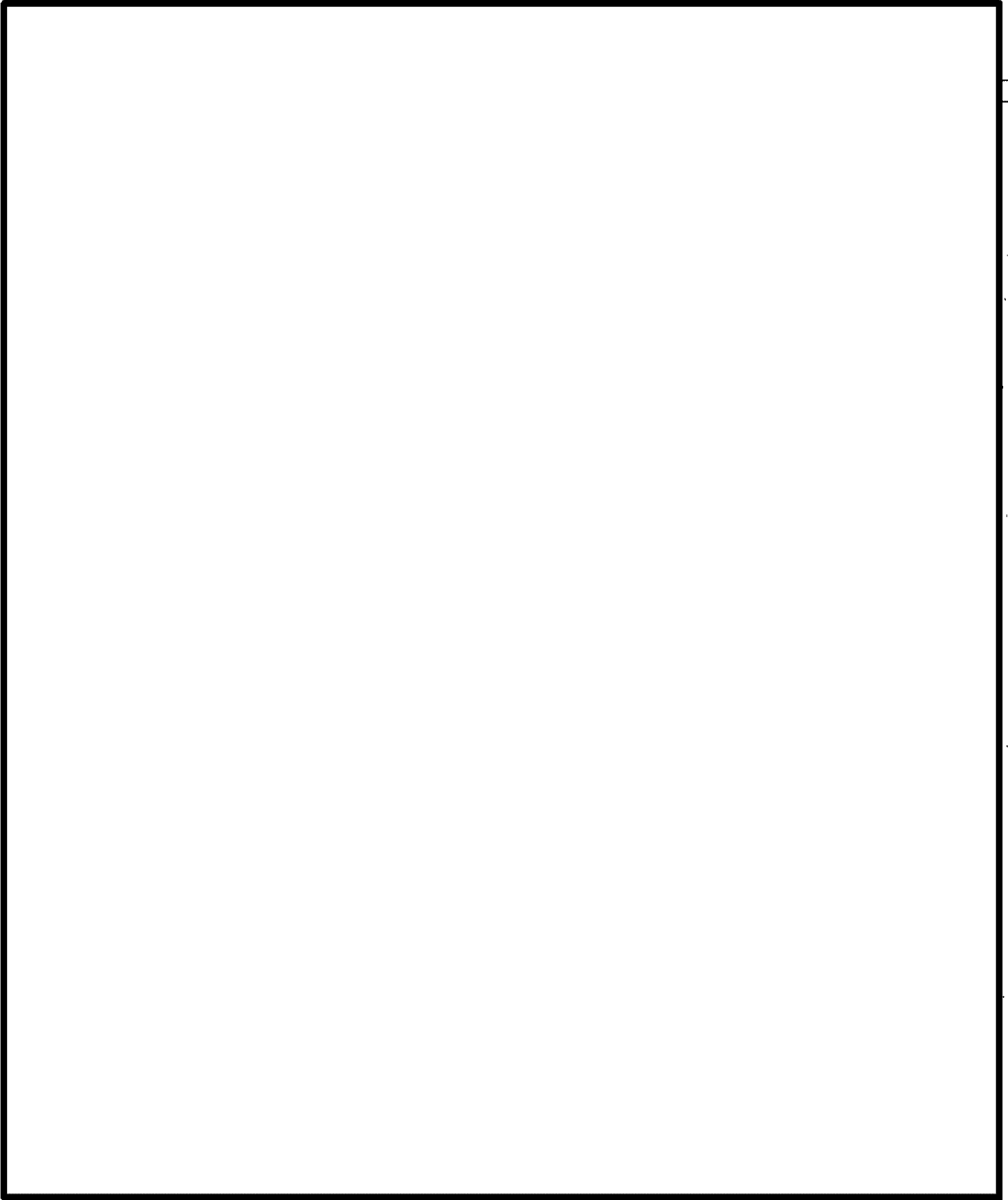
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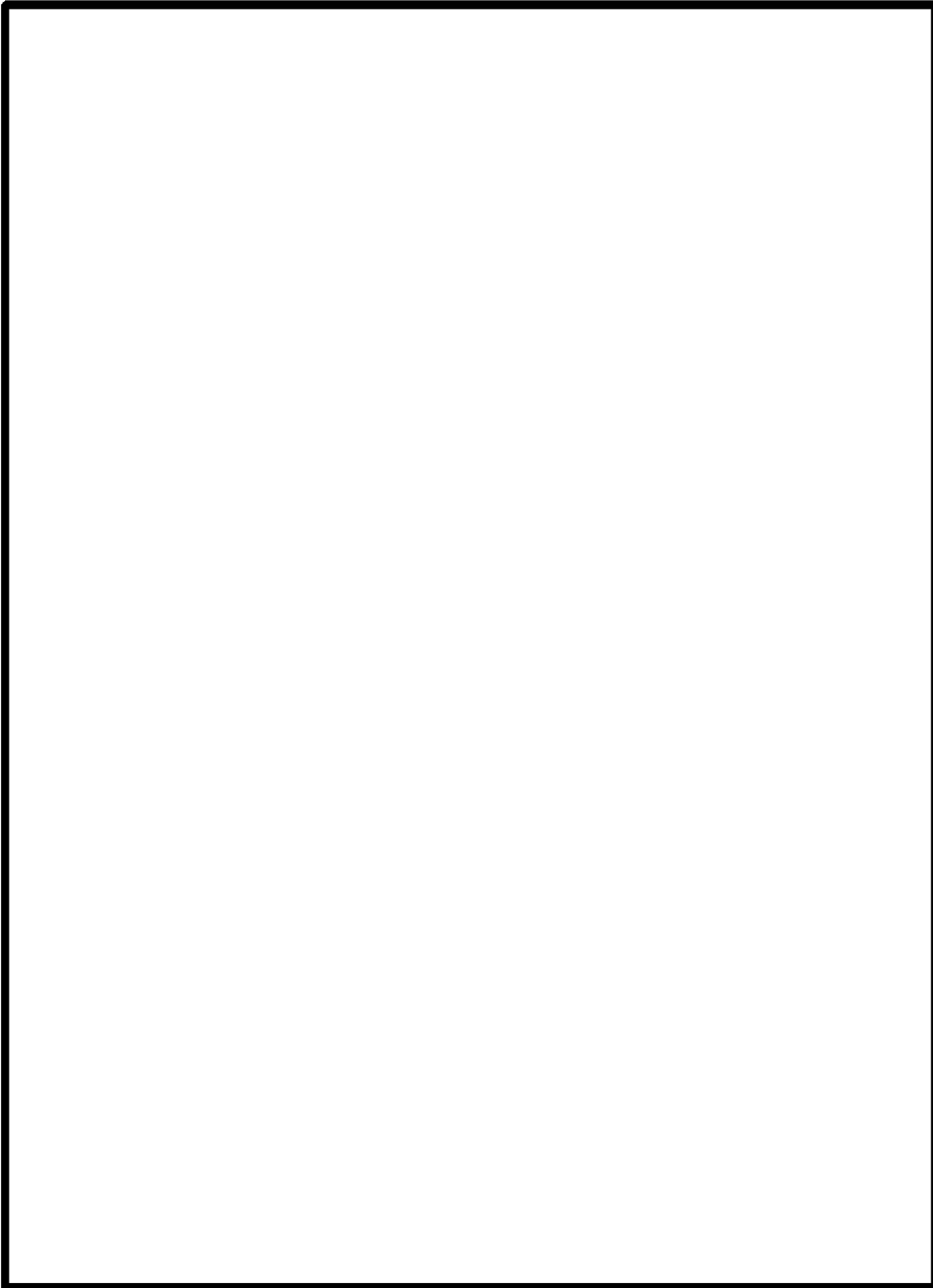
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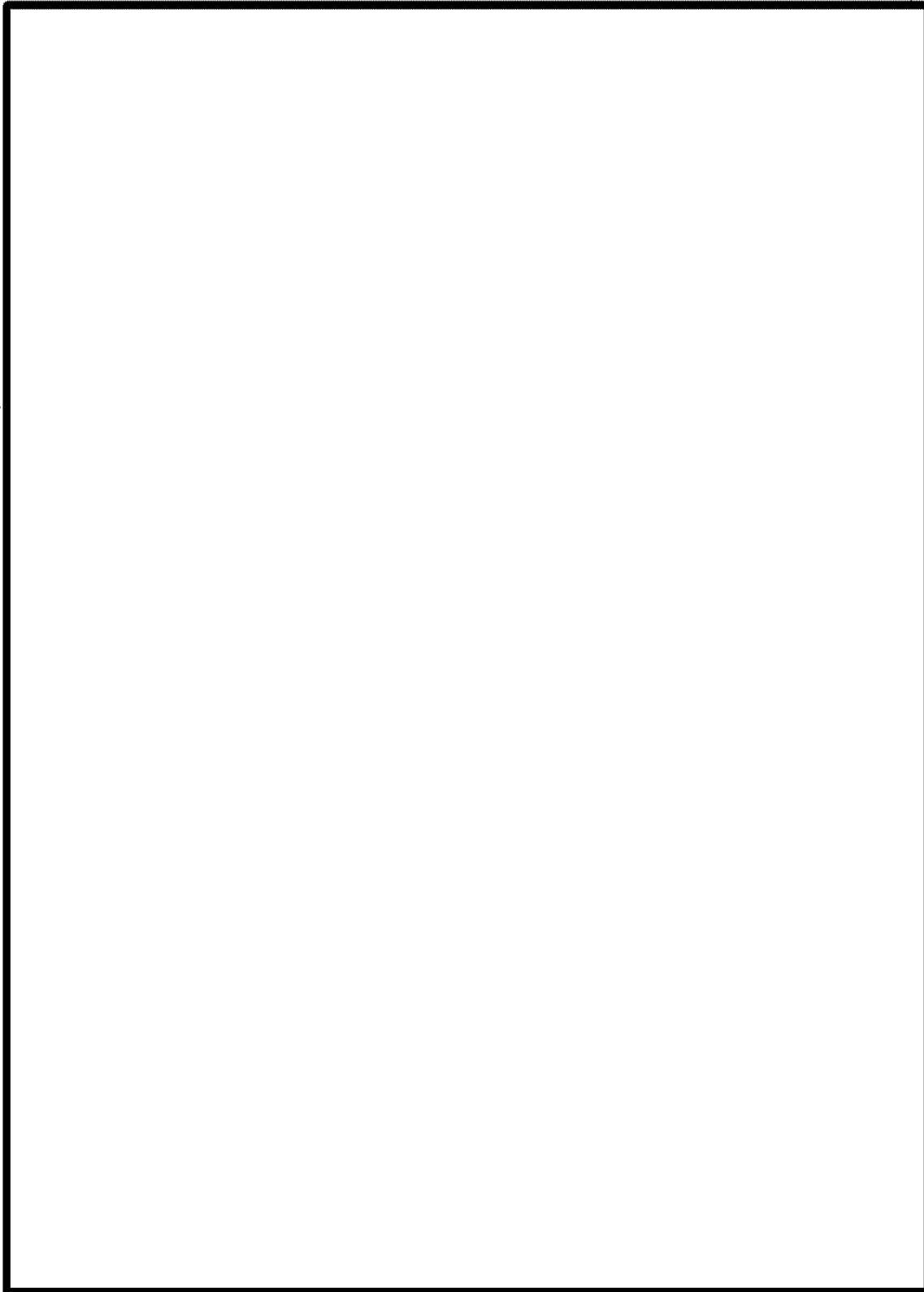
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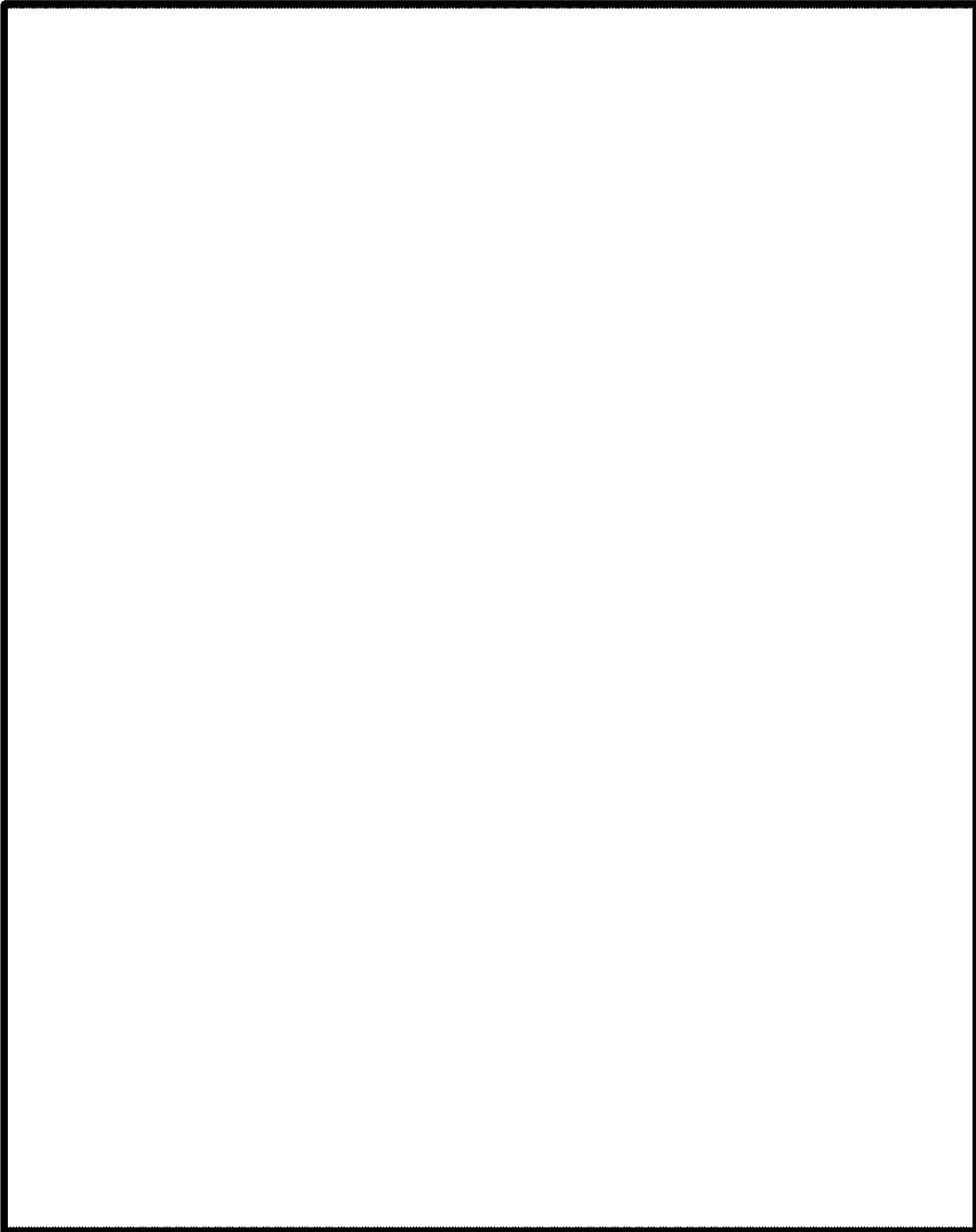
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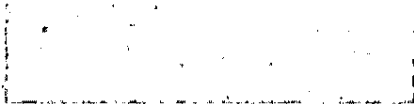
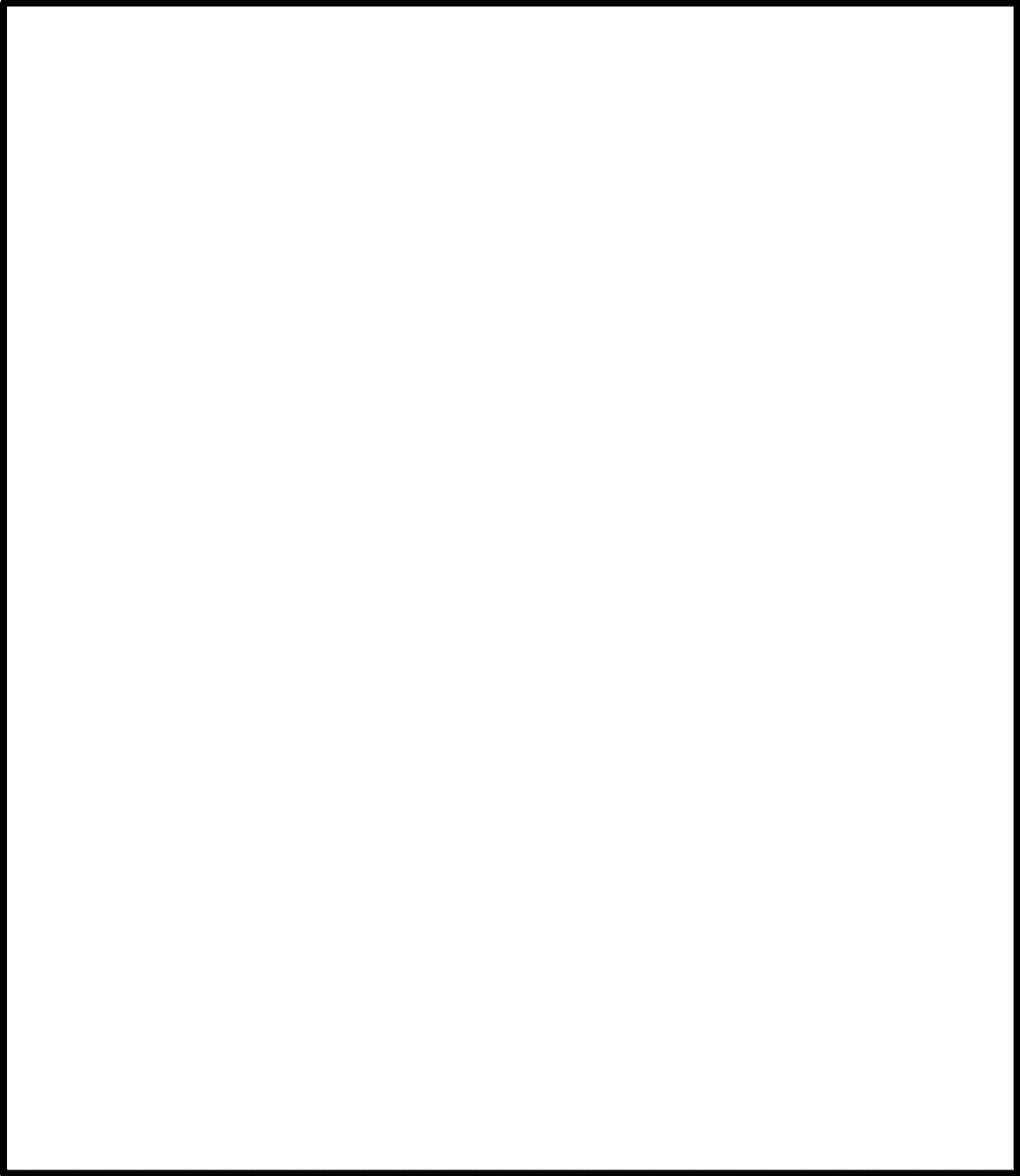
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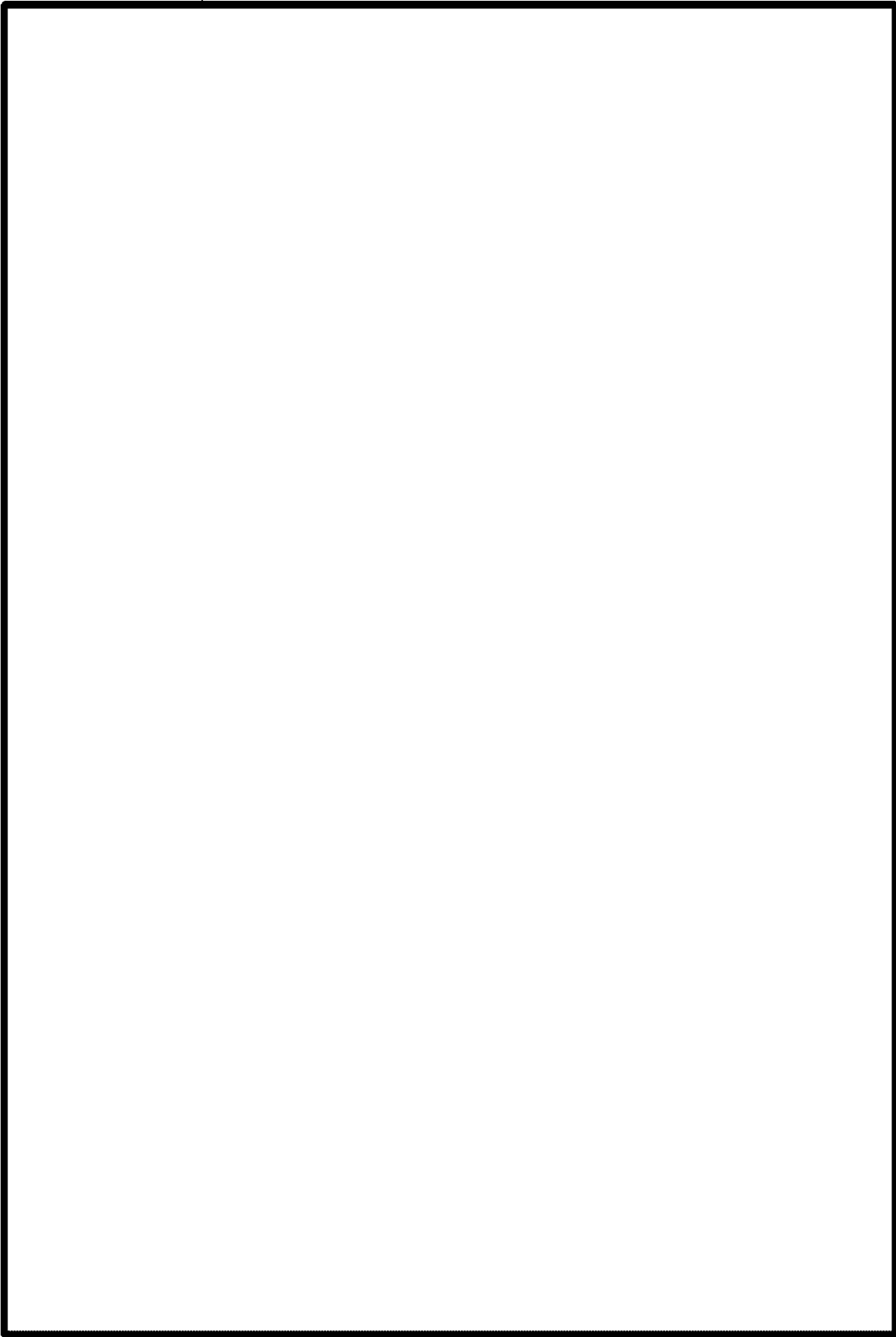
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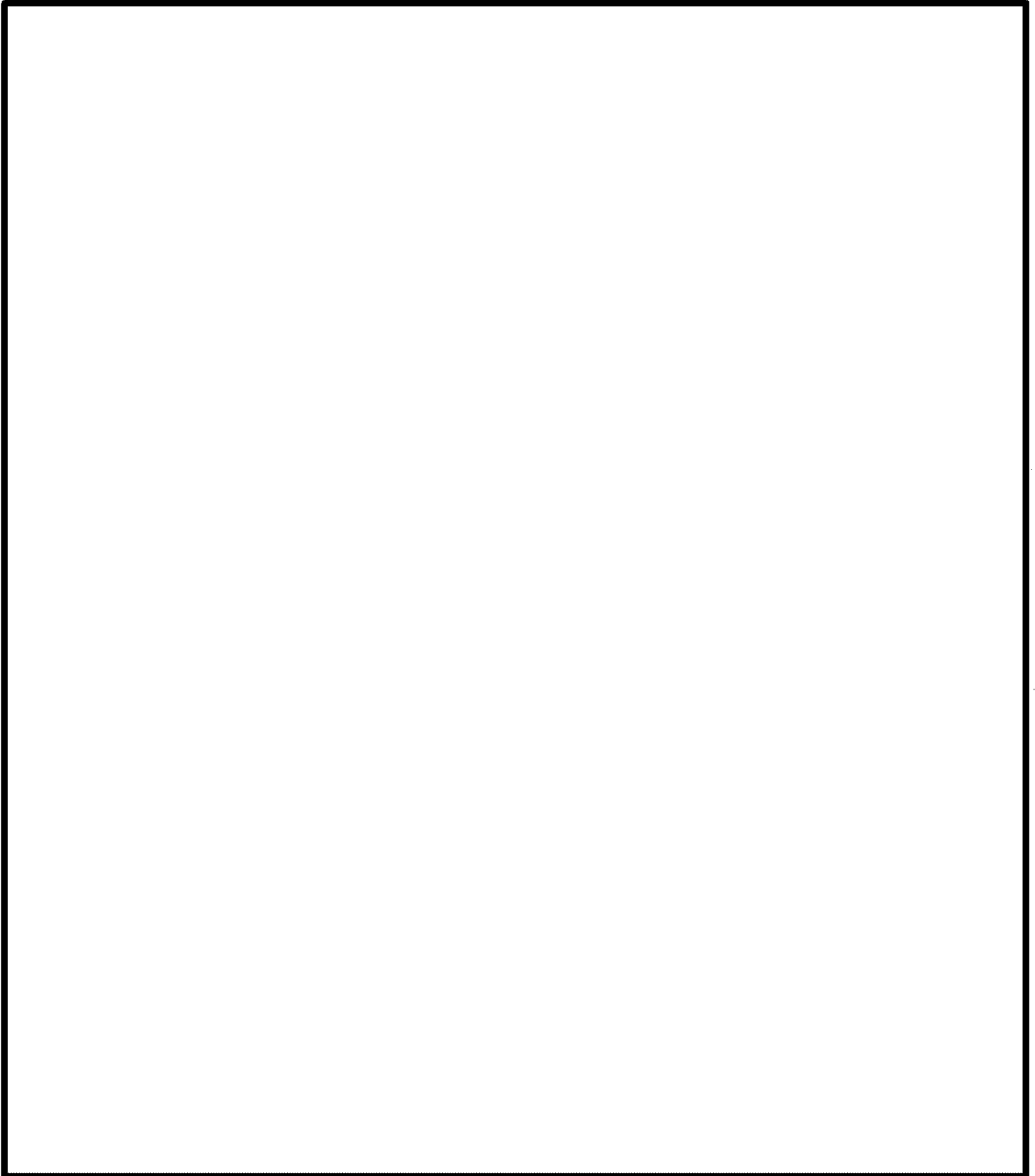
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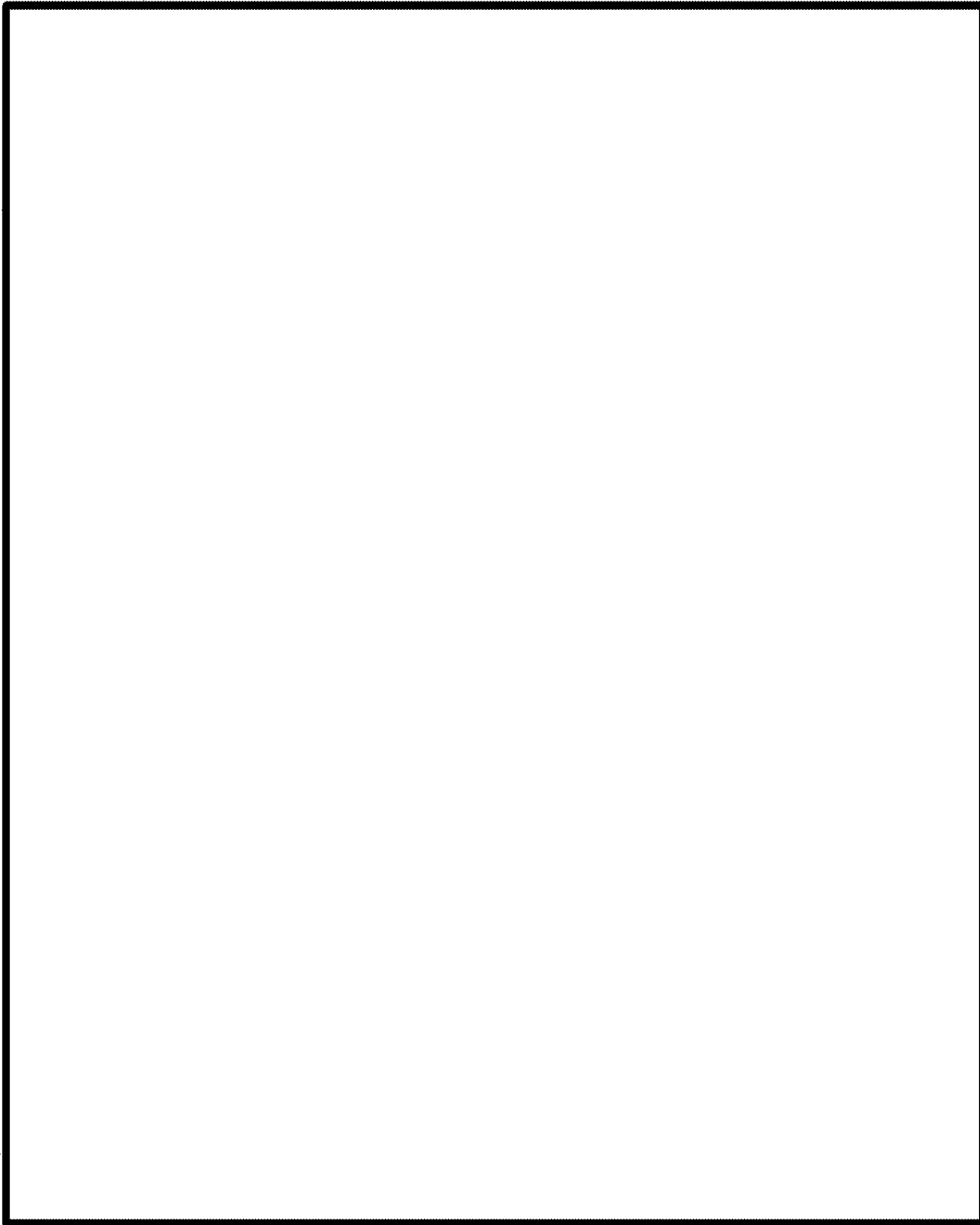
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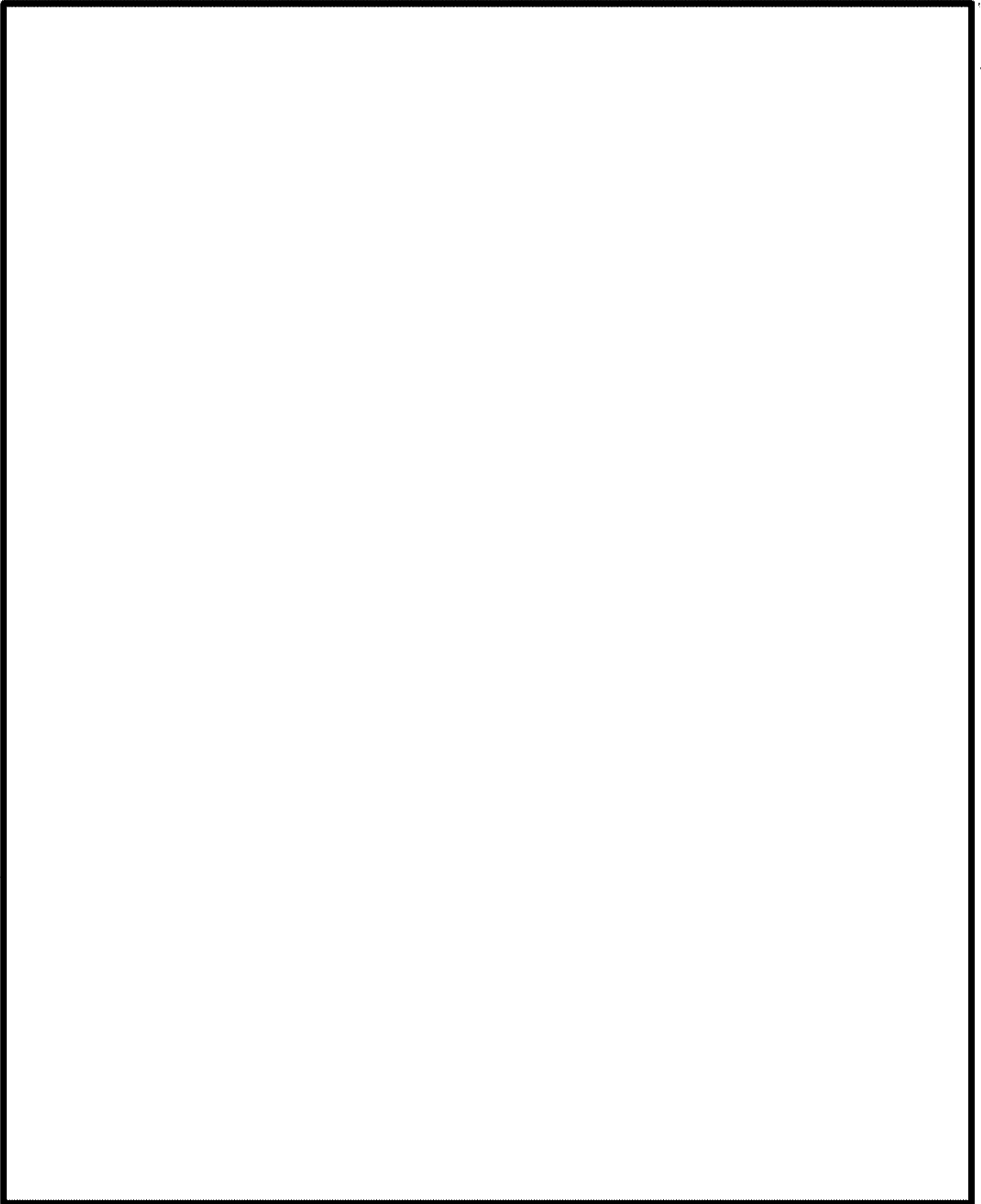
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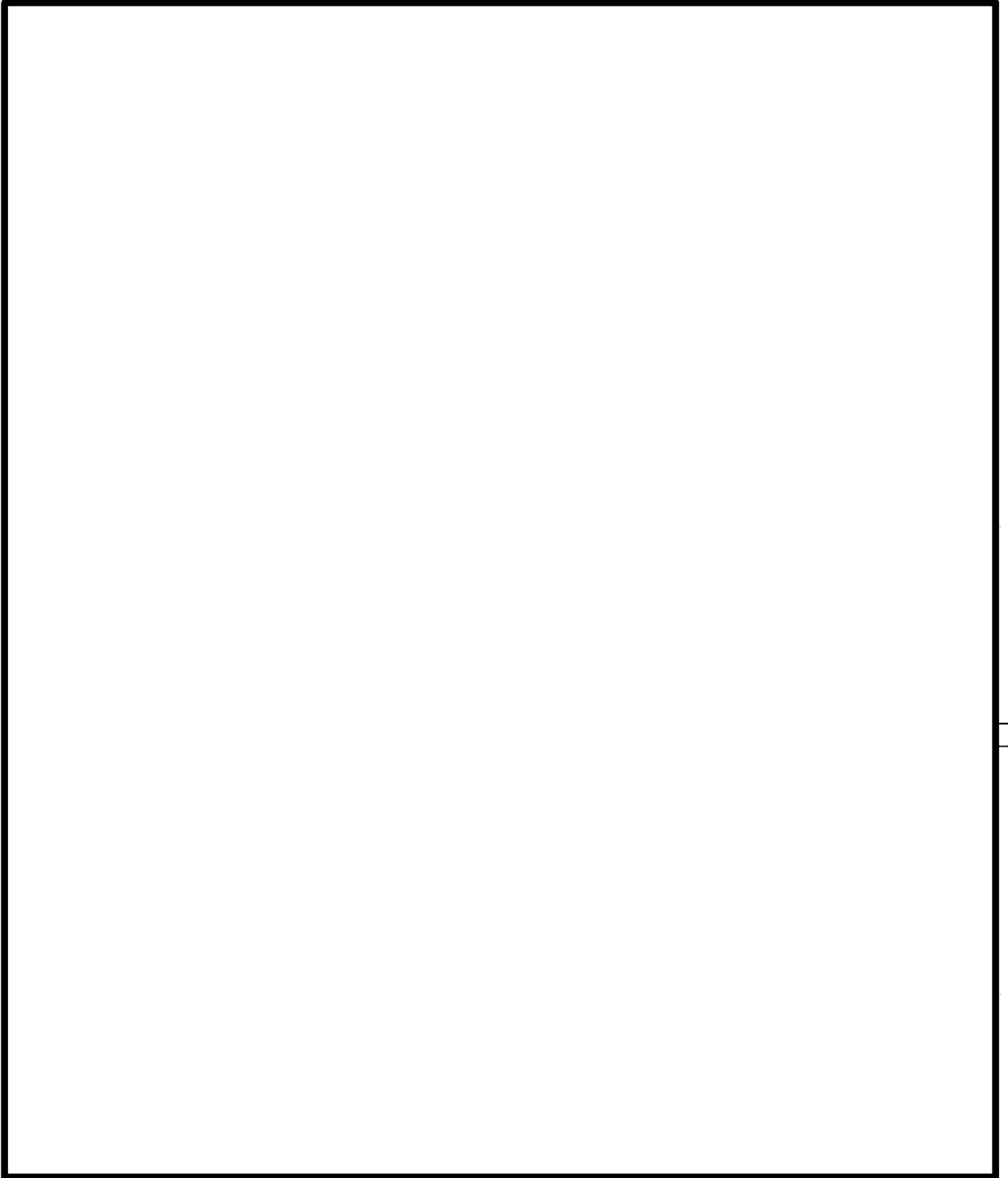
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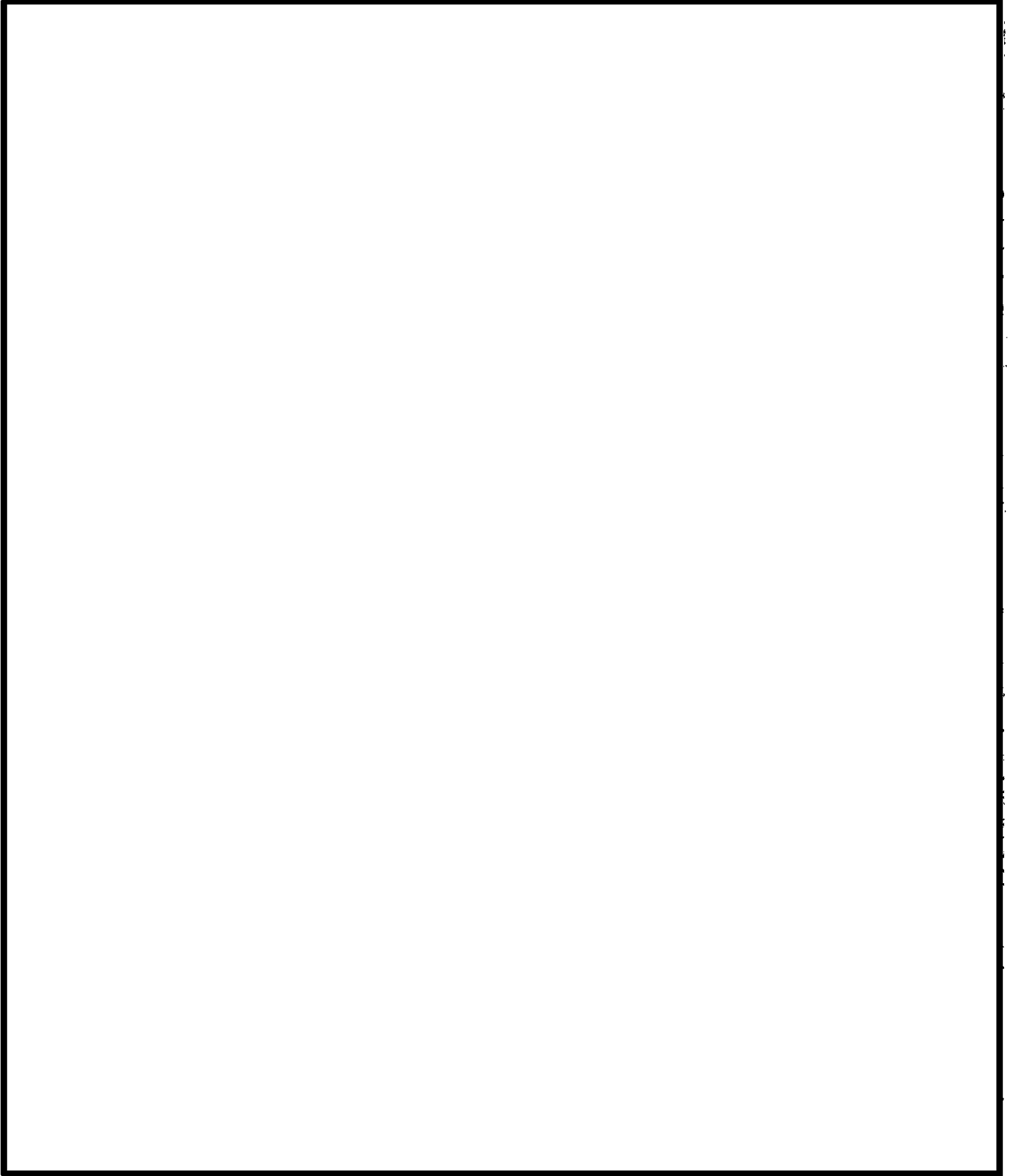


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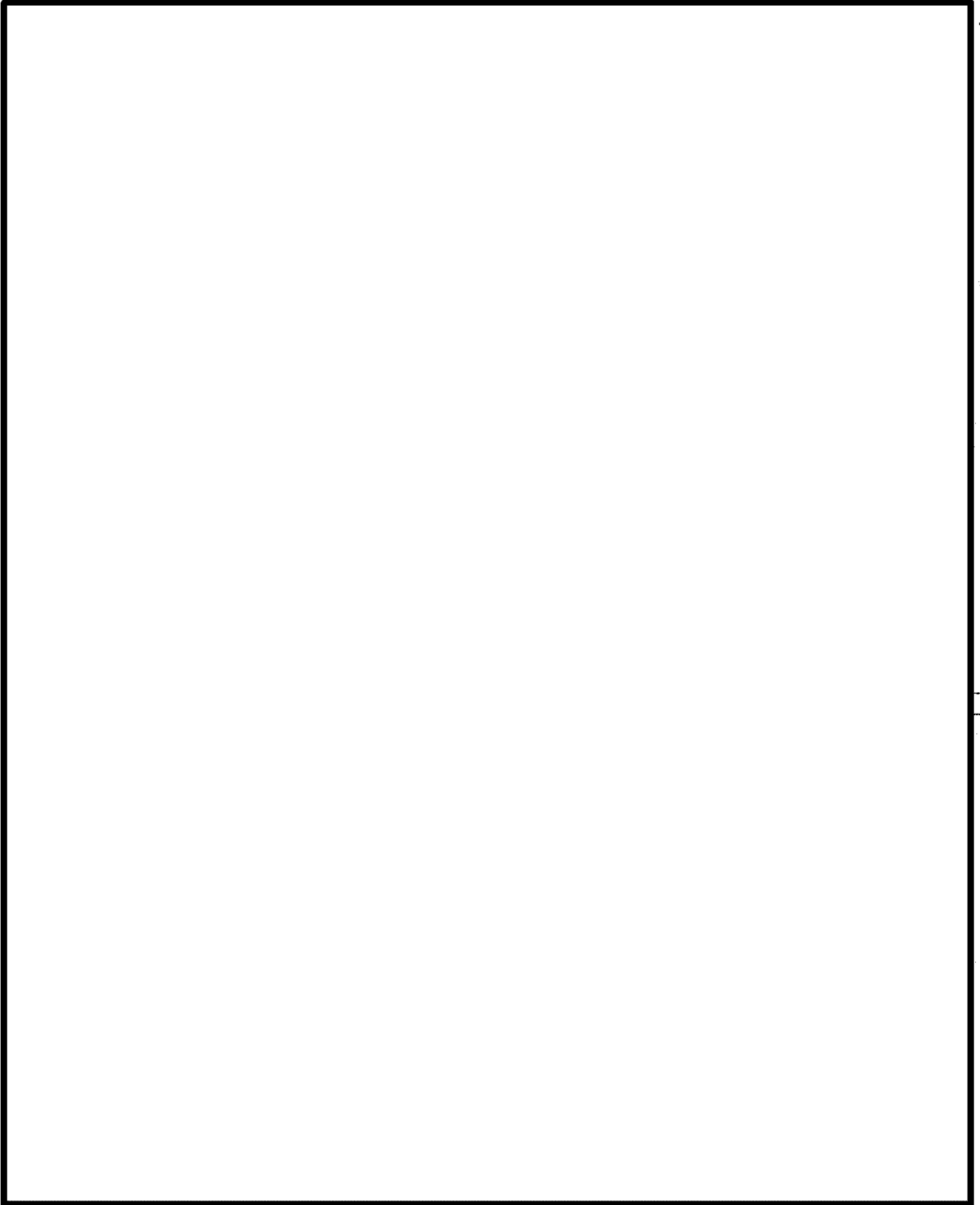


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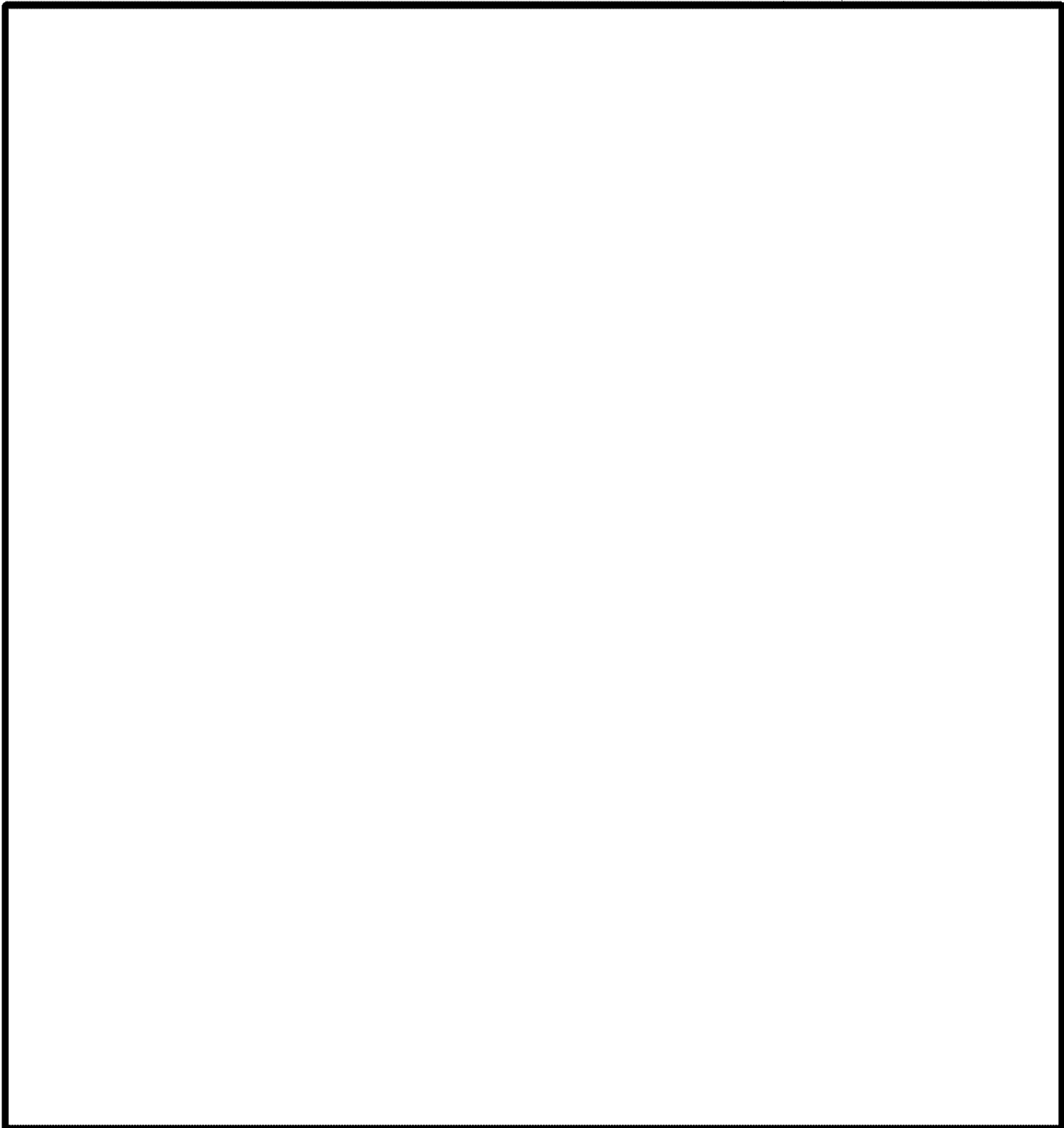
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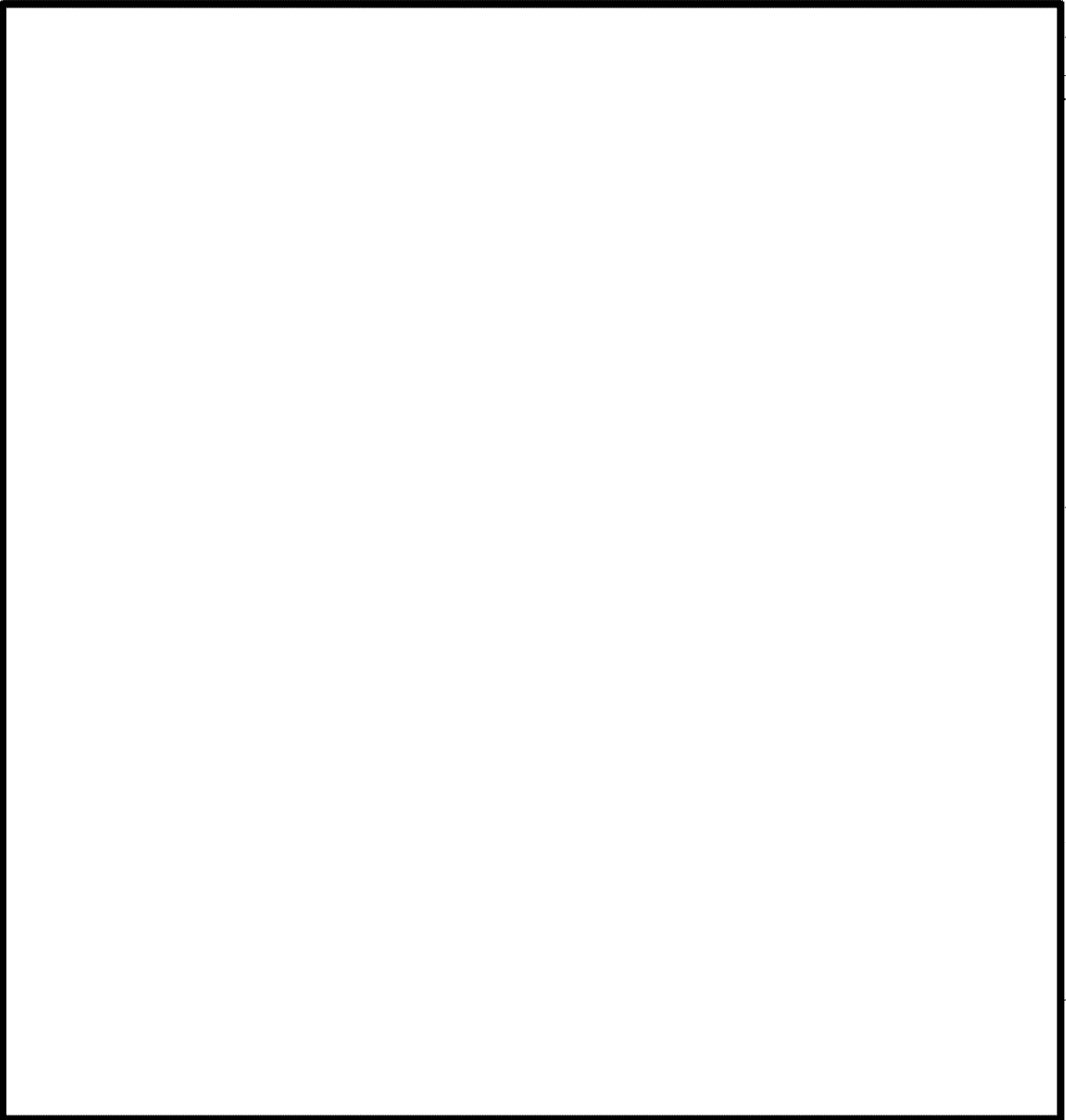
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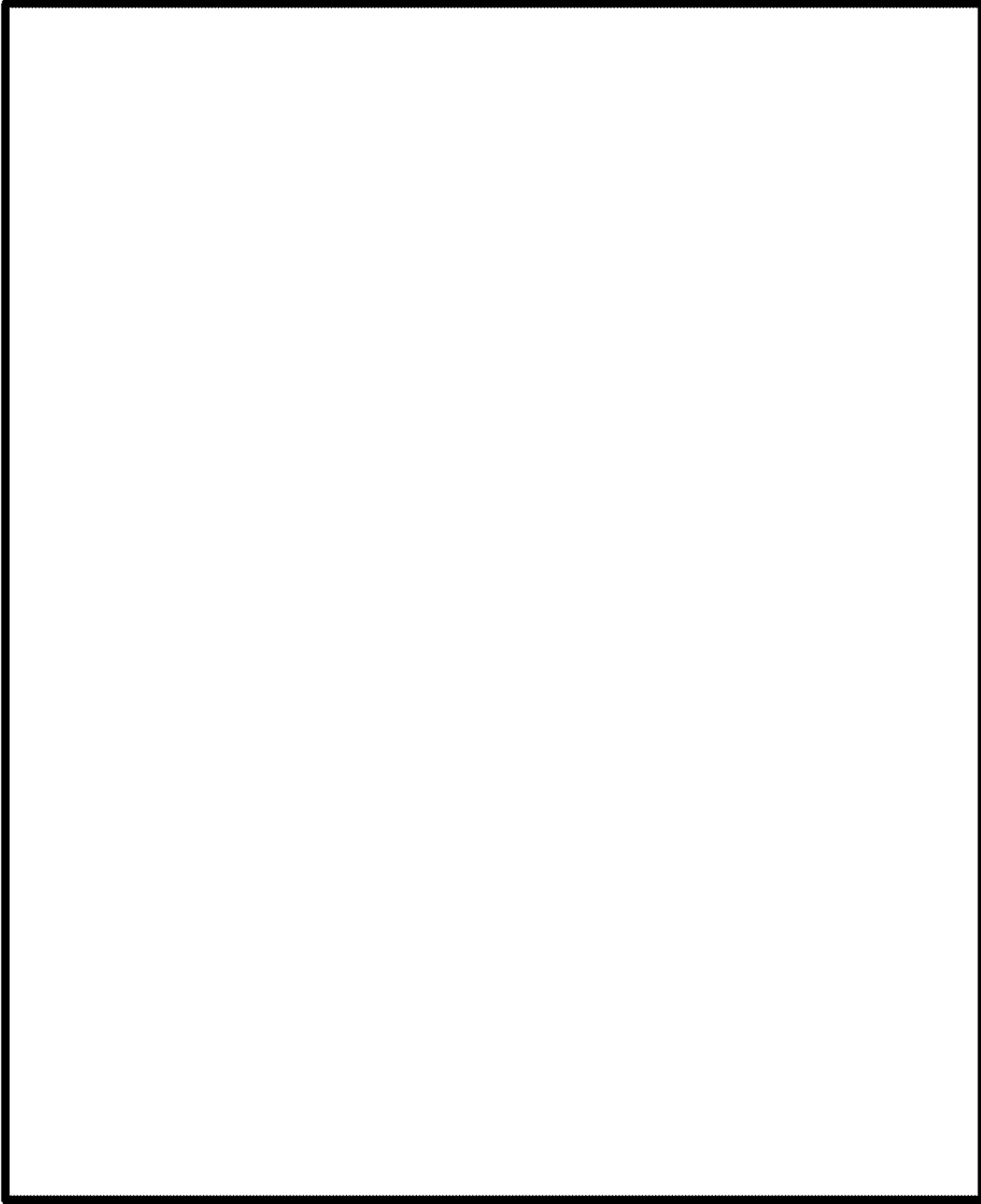


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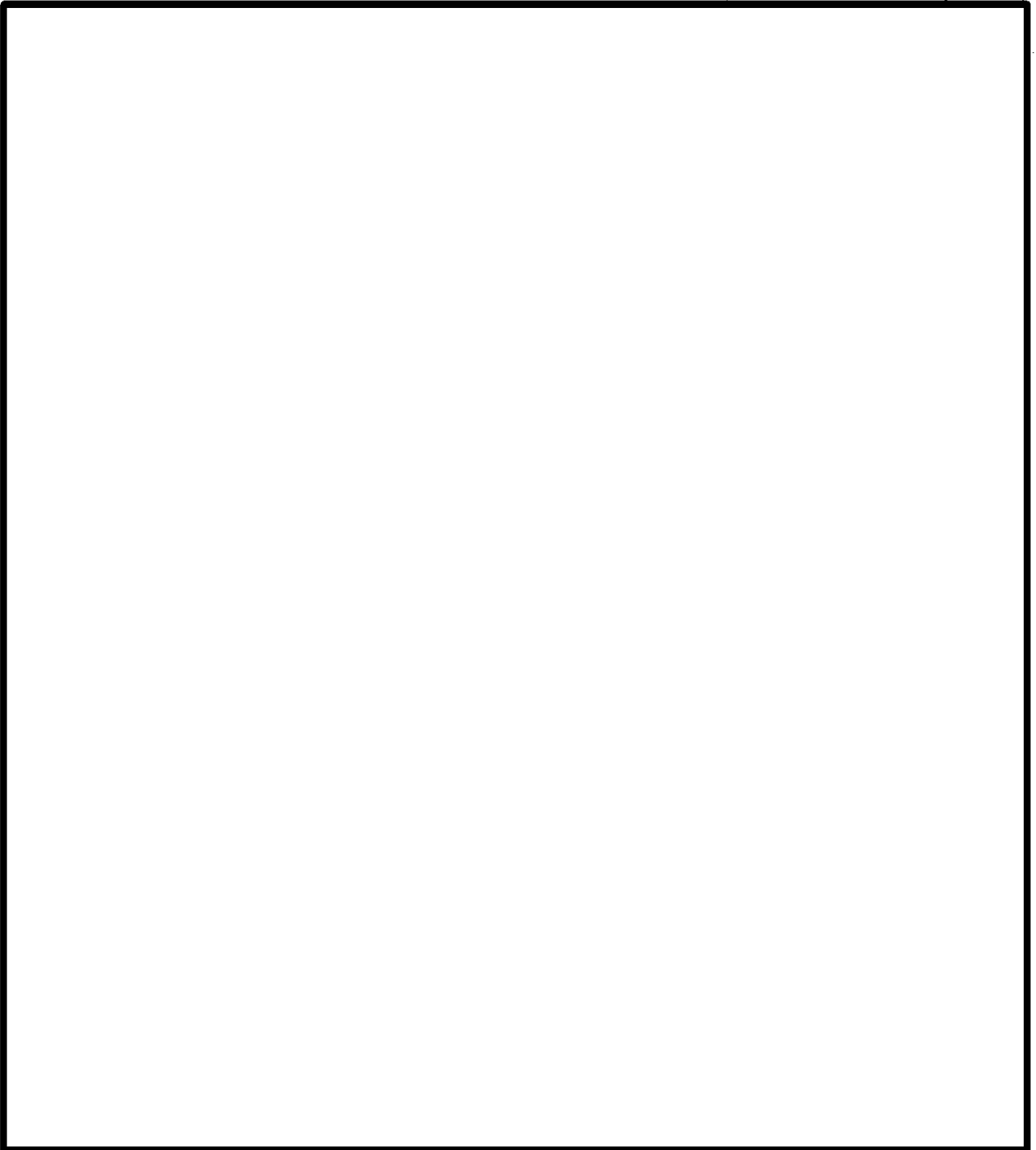


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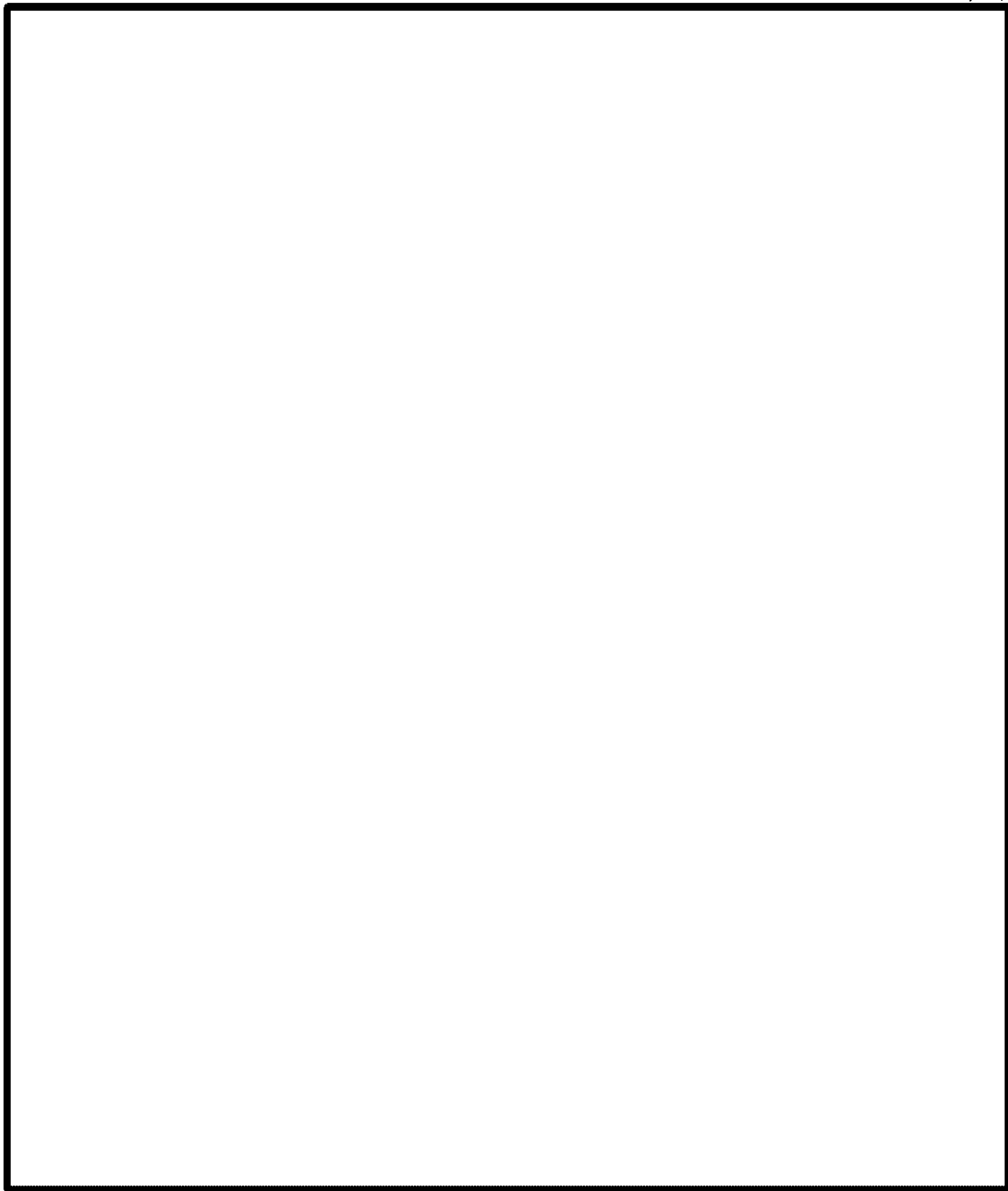




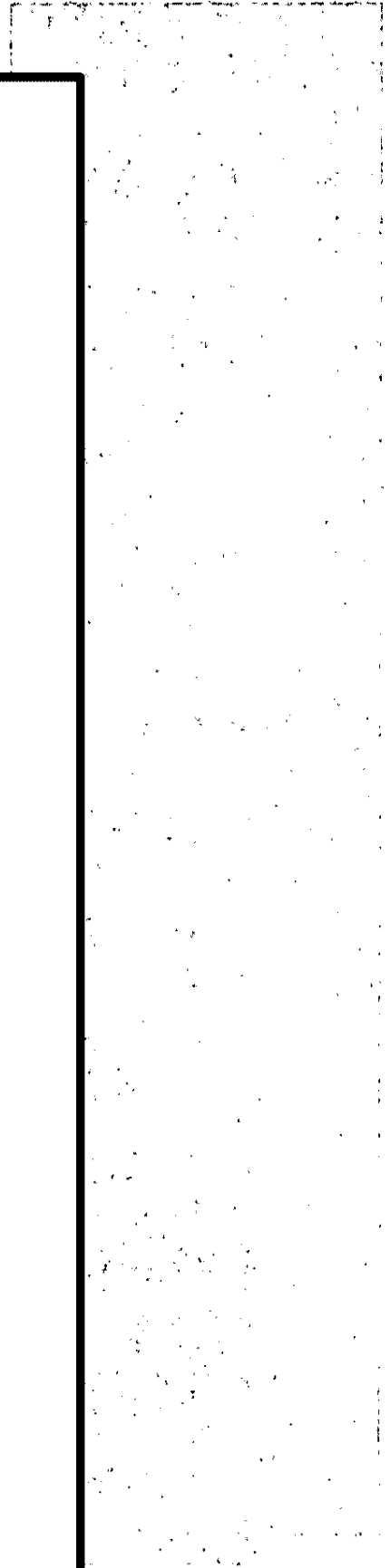
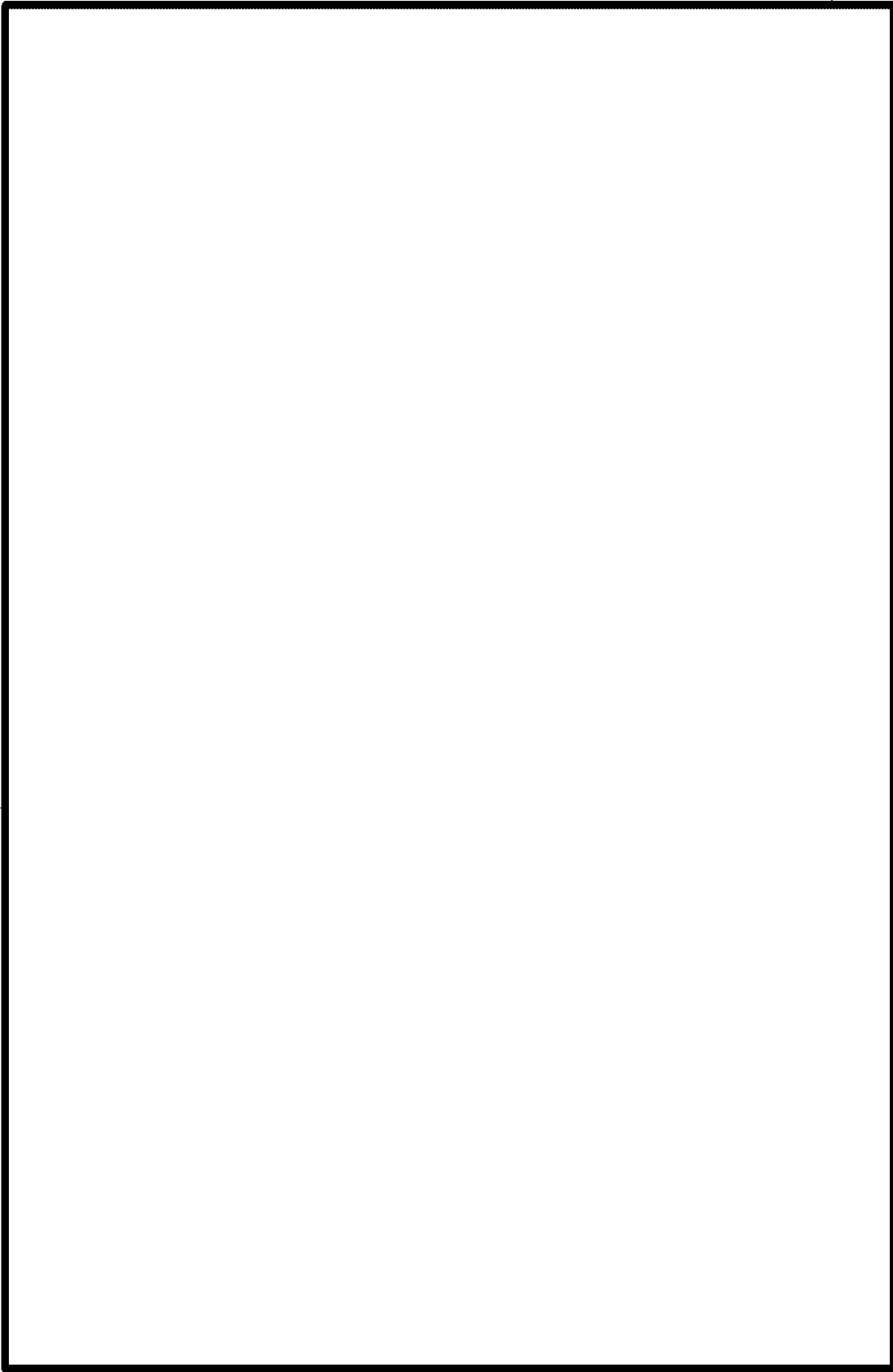
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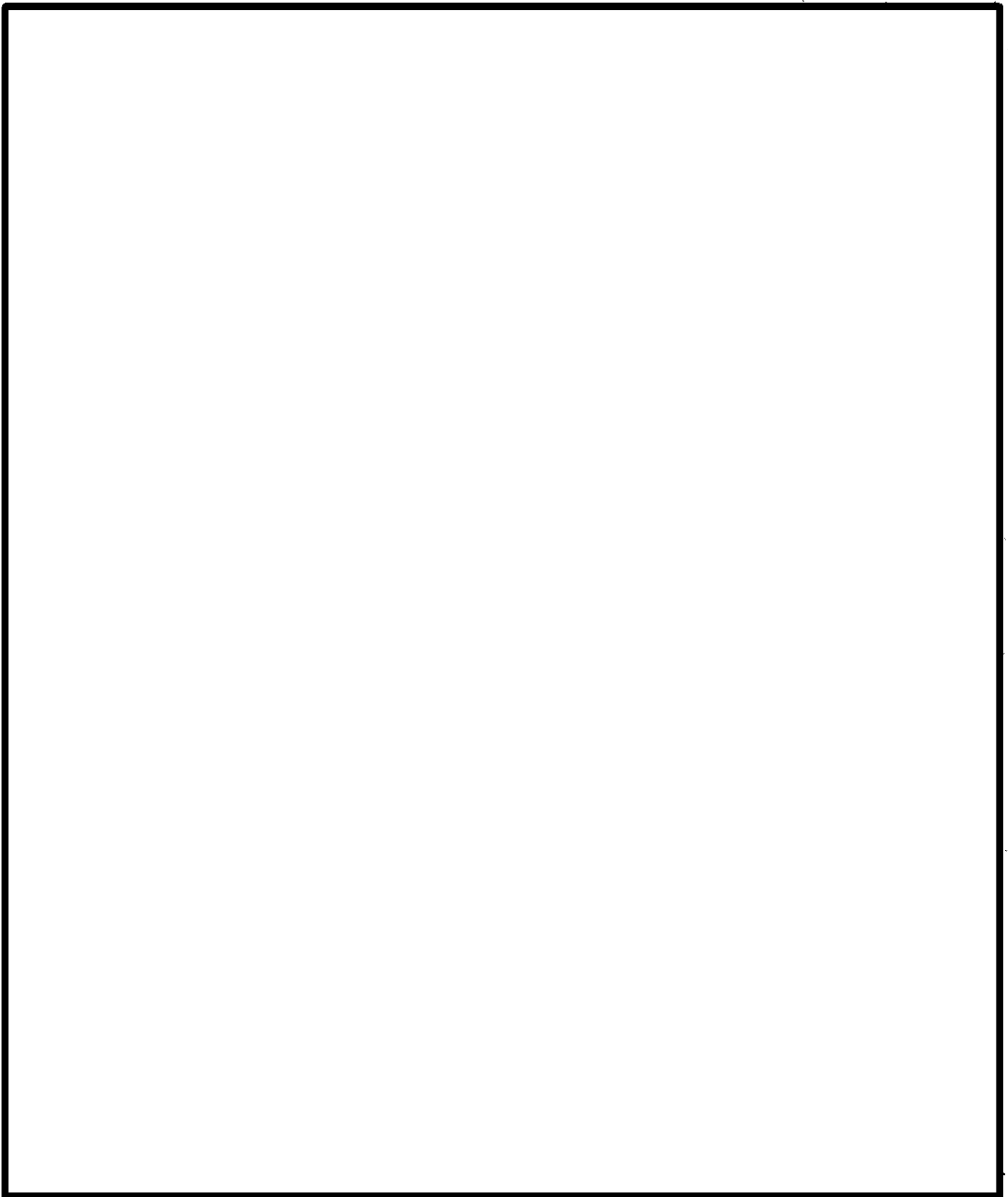
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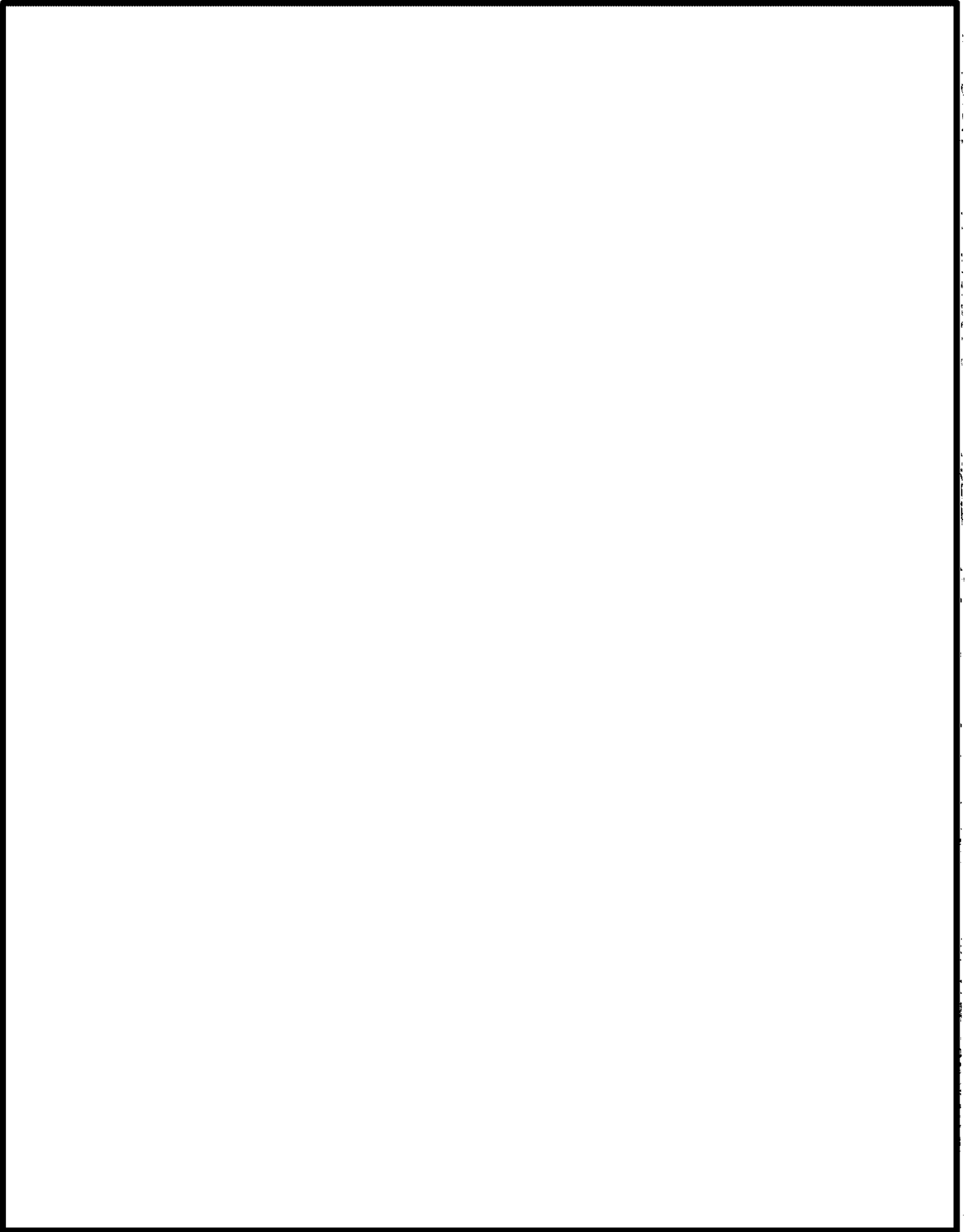
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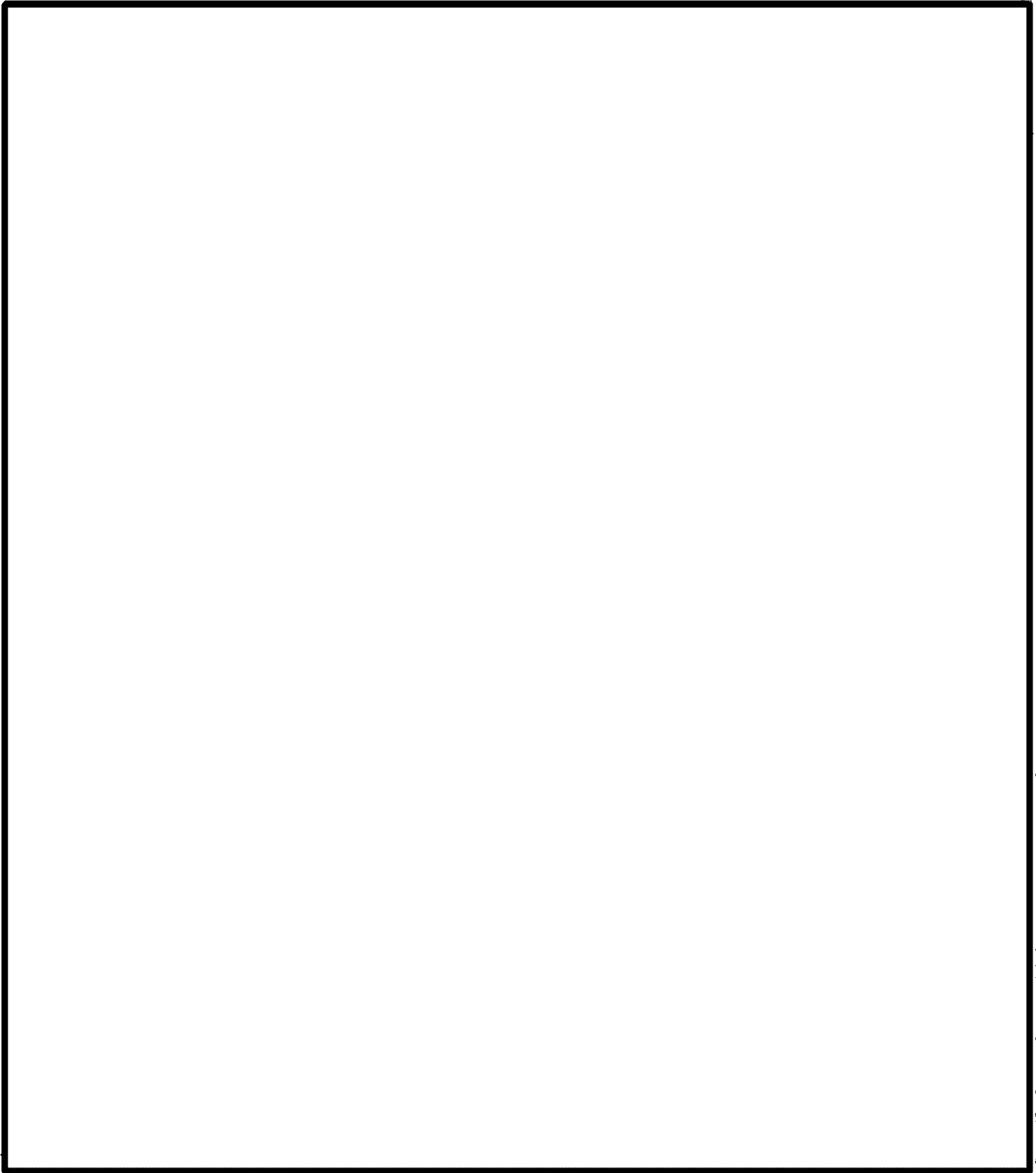
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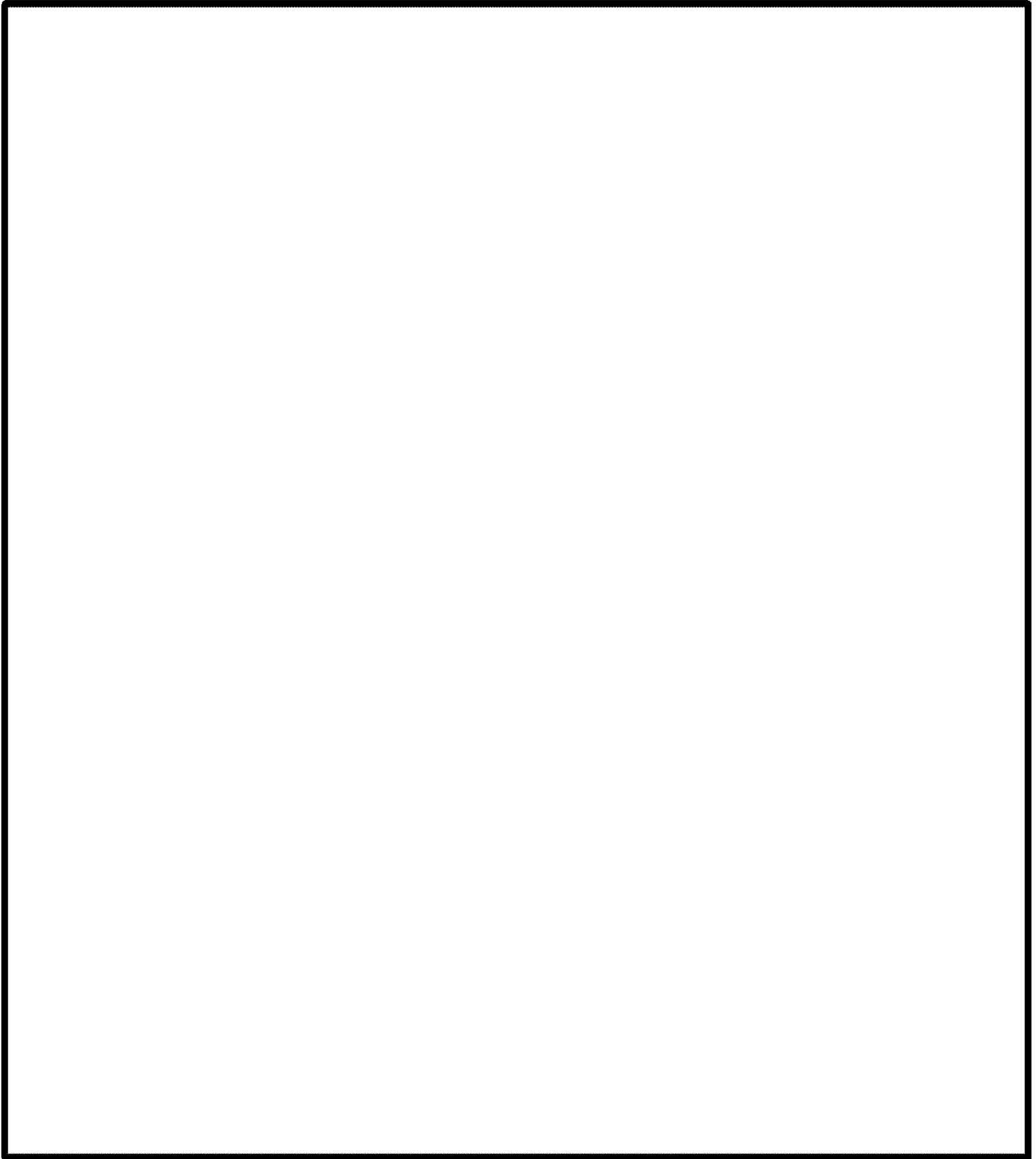
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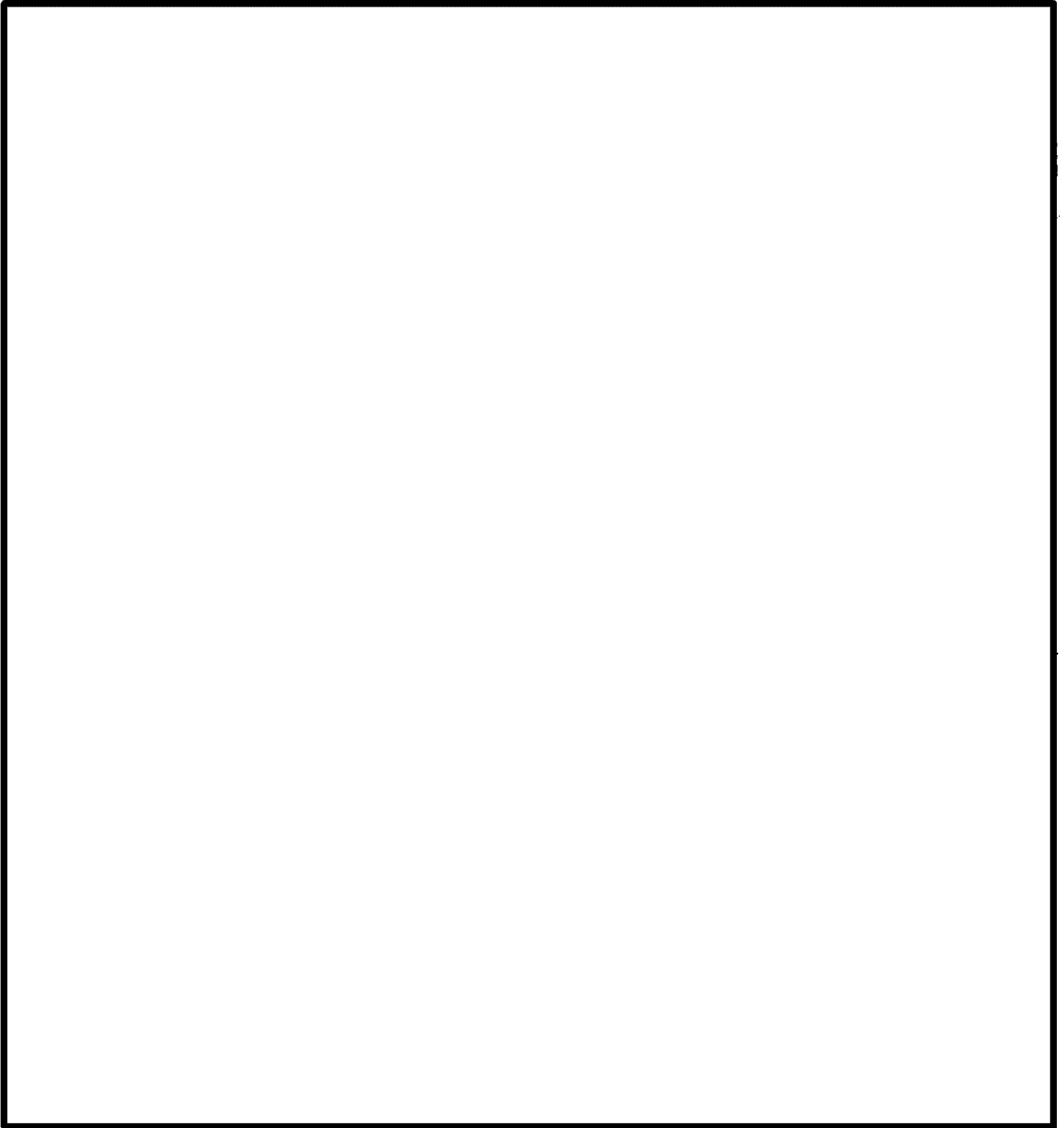


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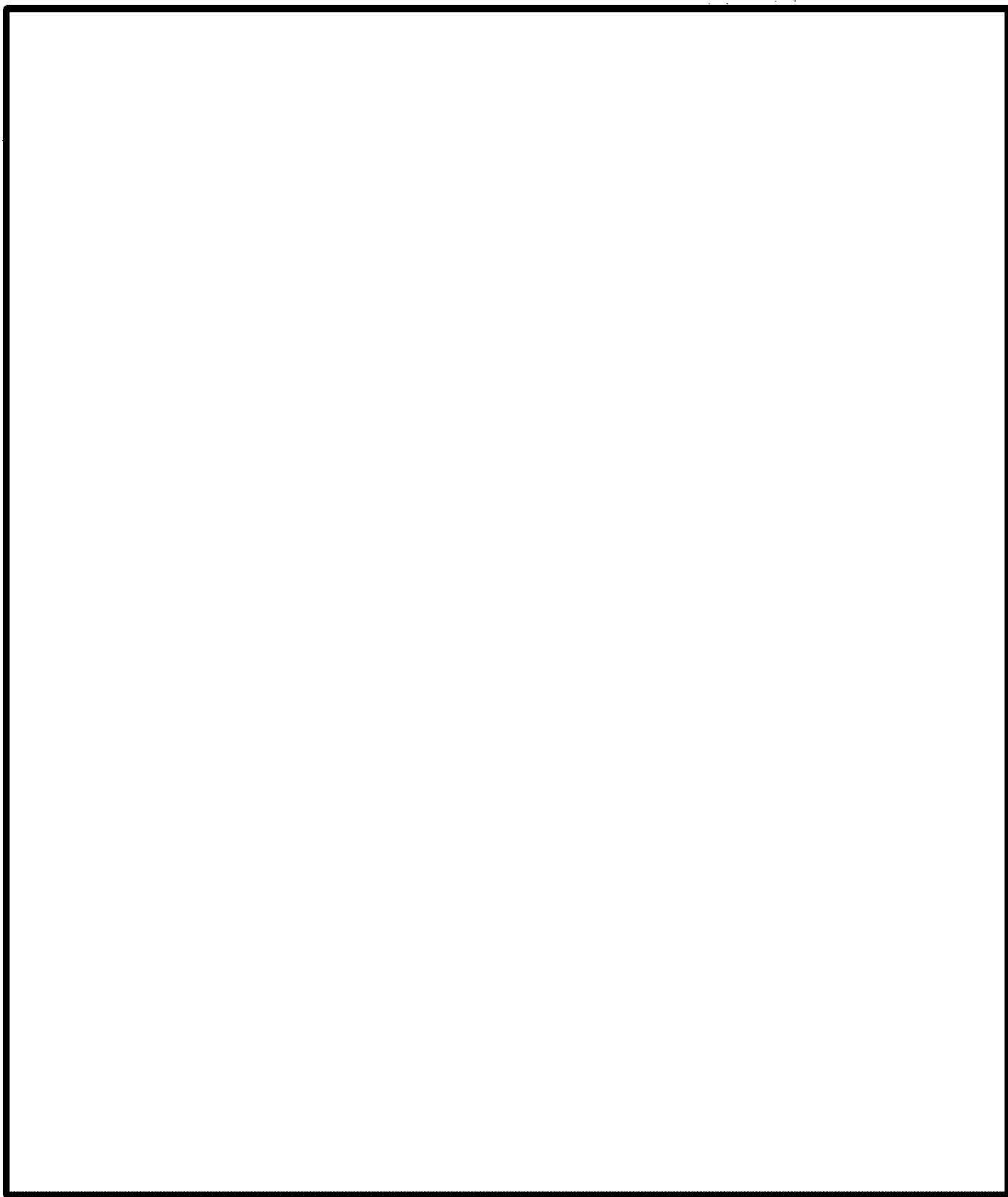


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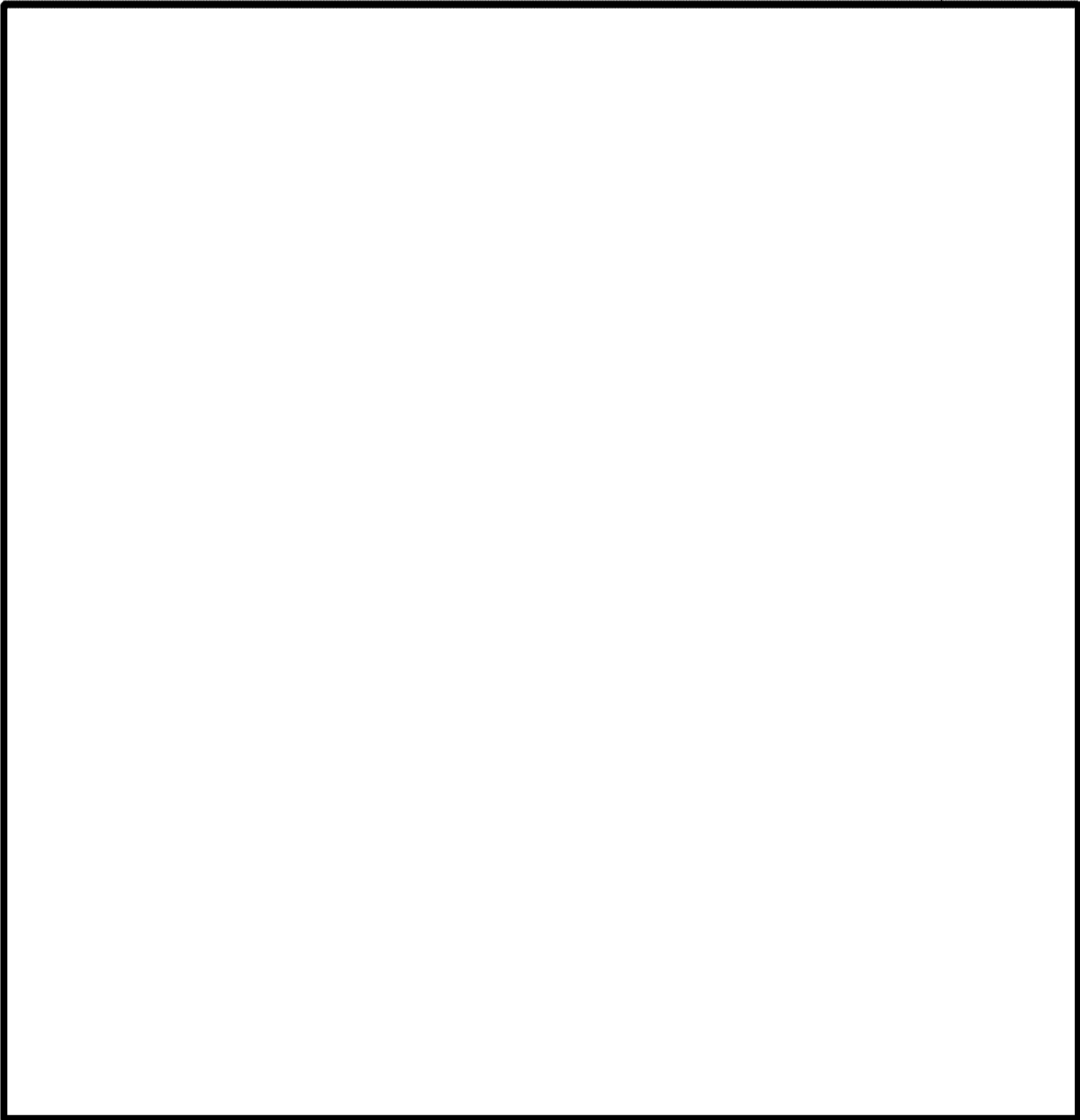
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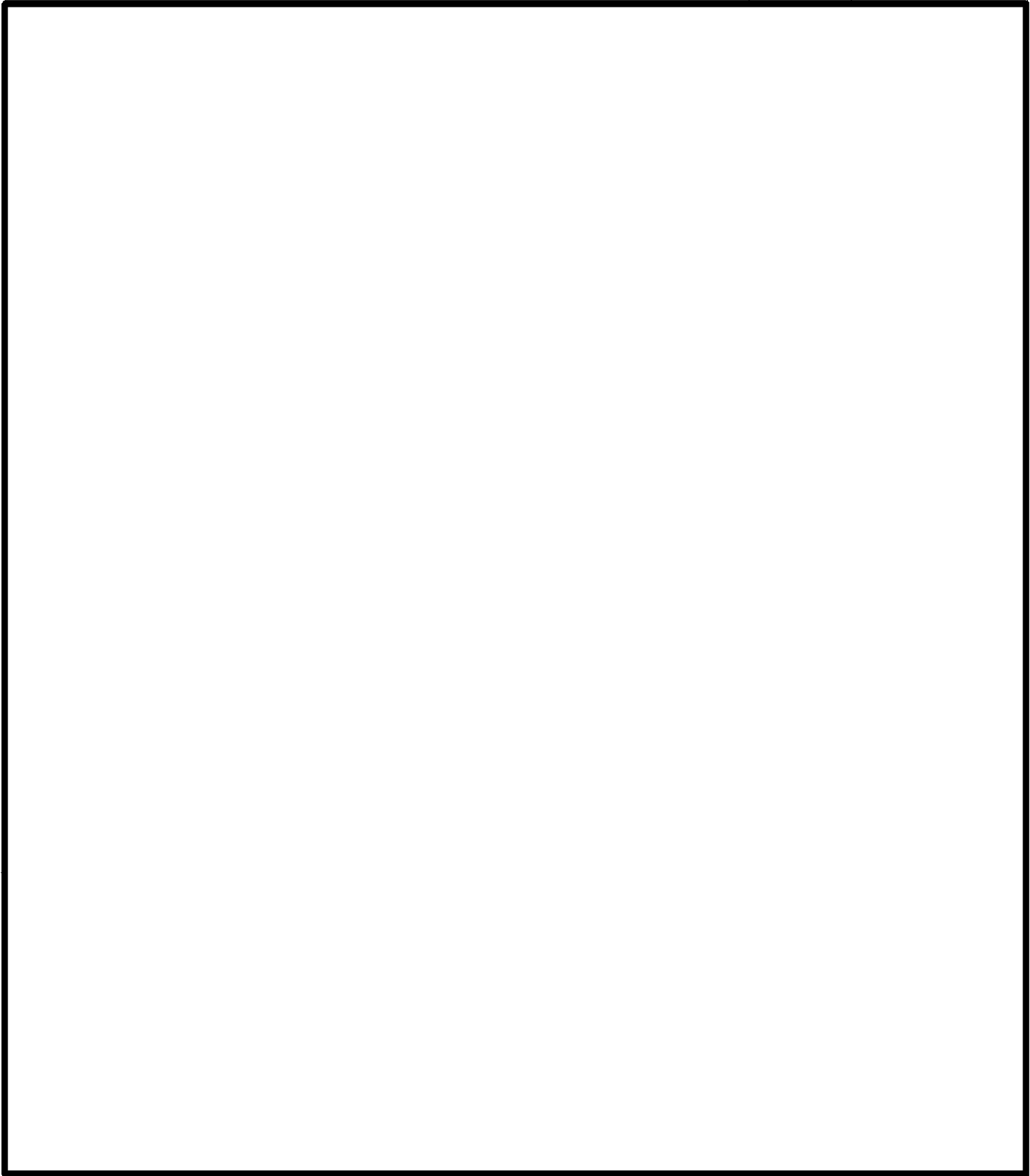


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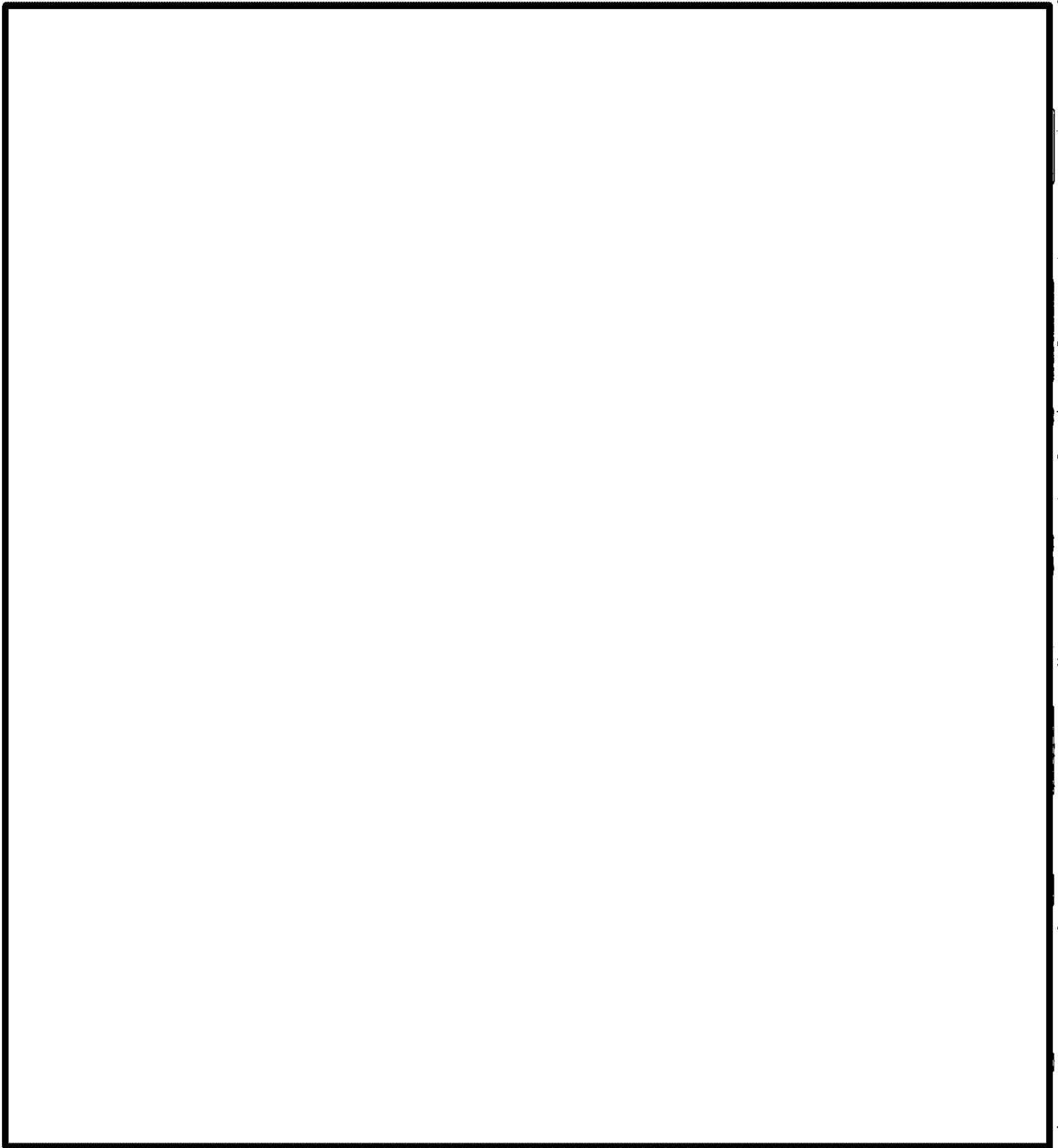


12

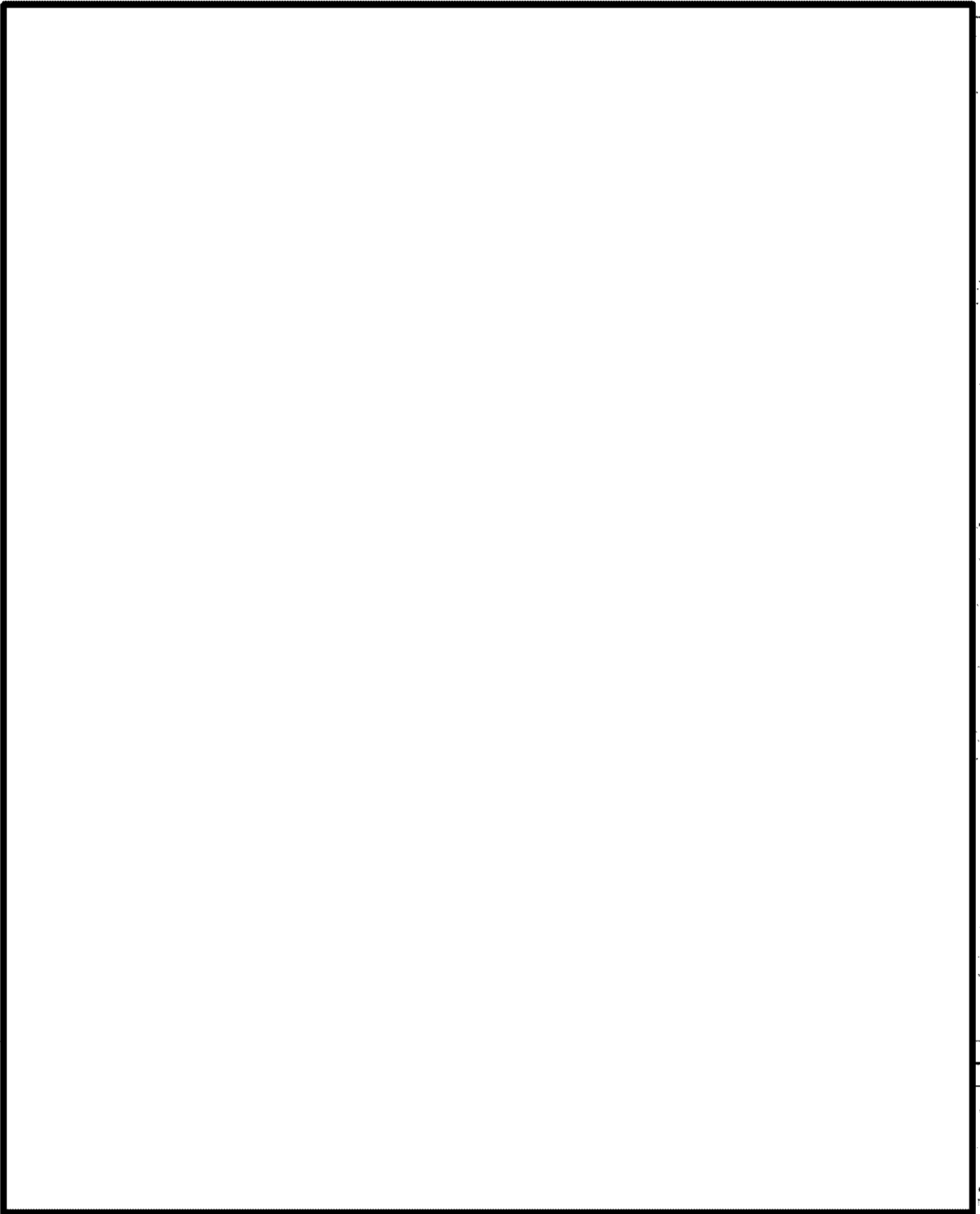
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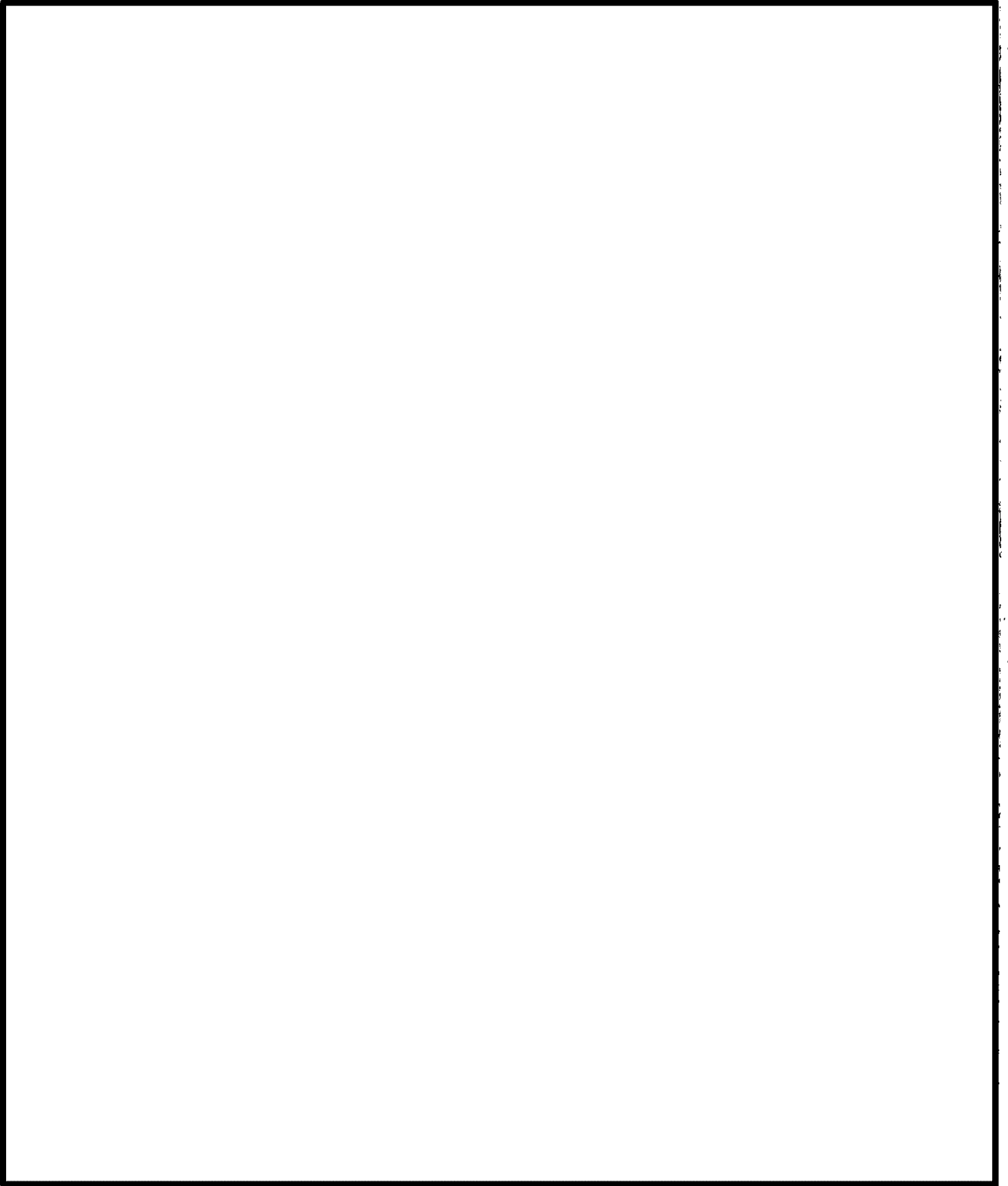
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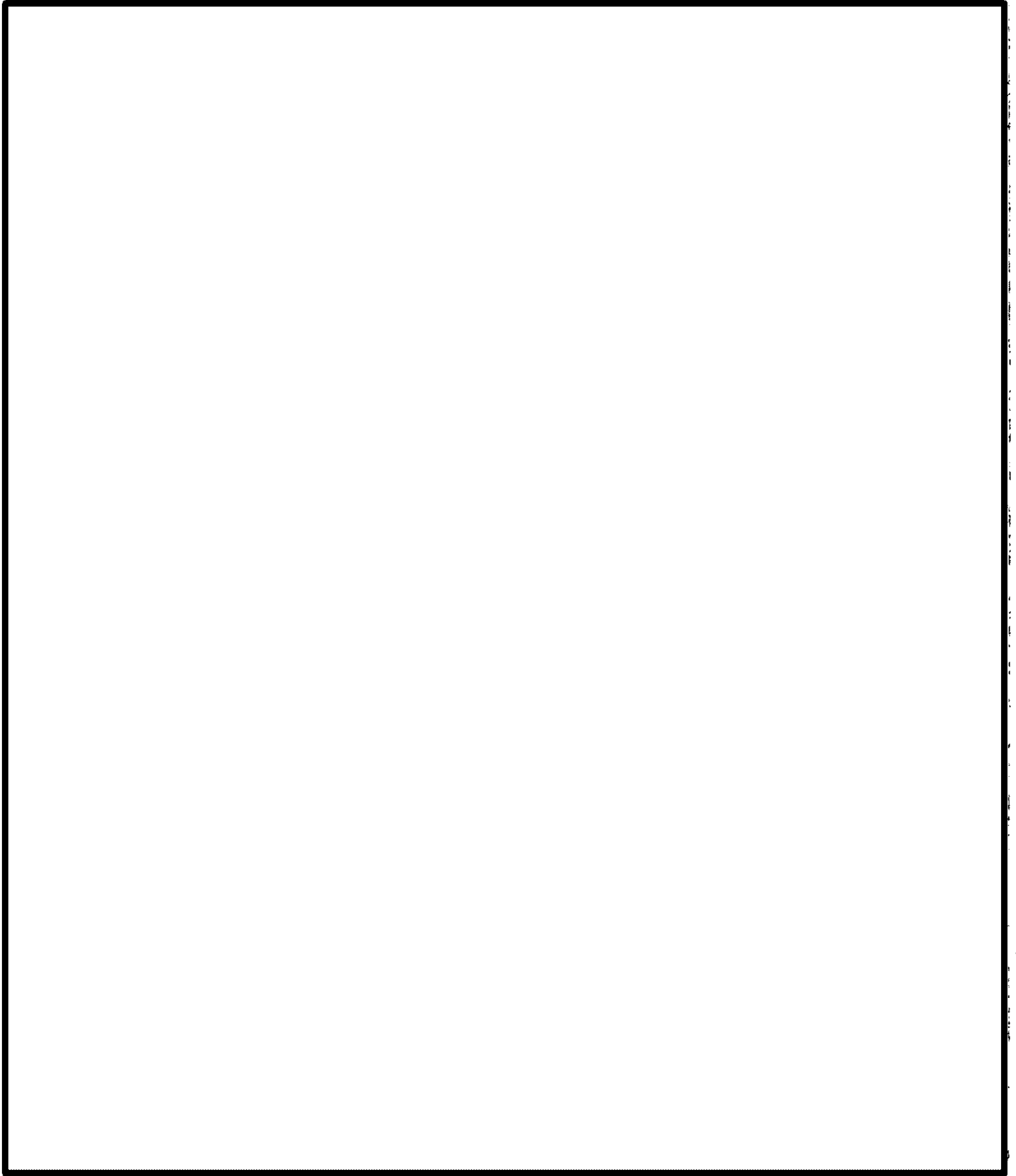
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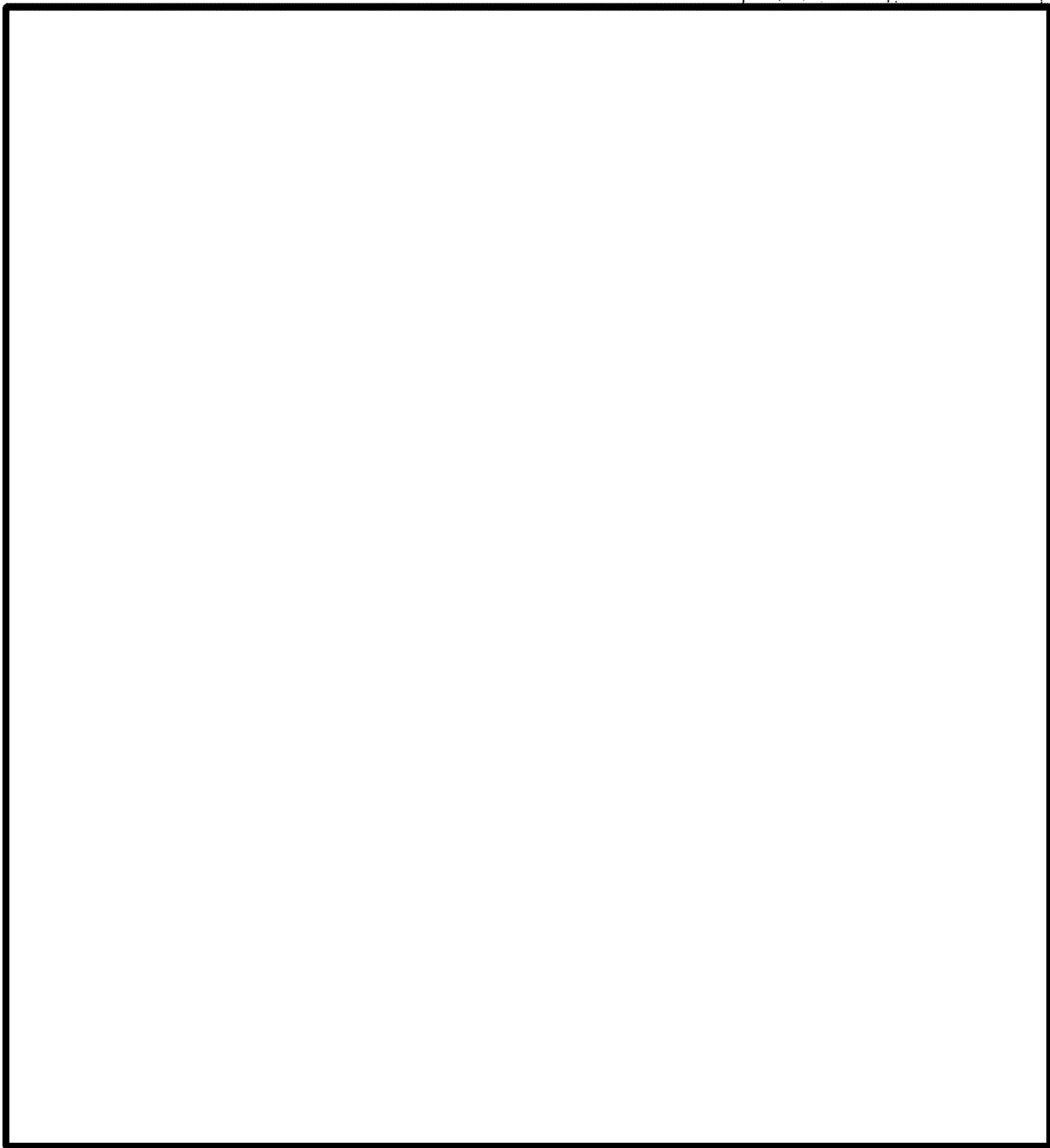
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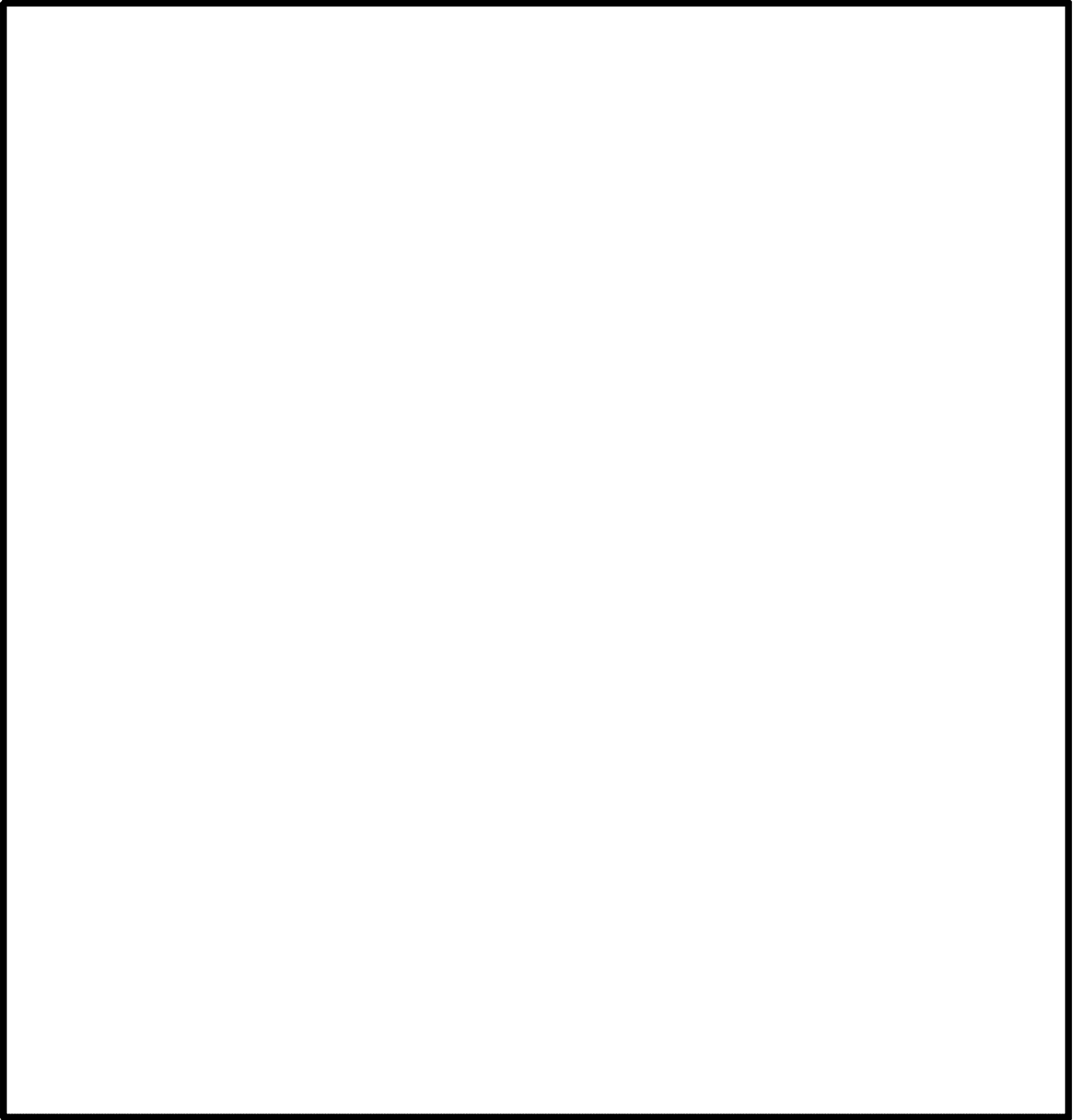
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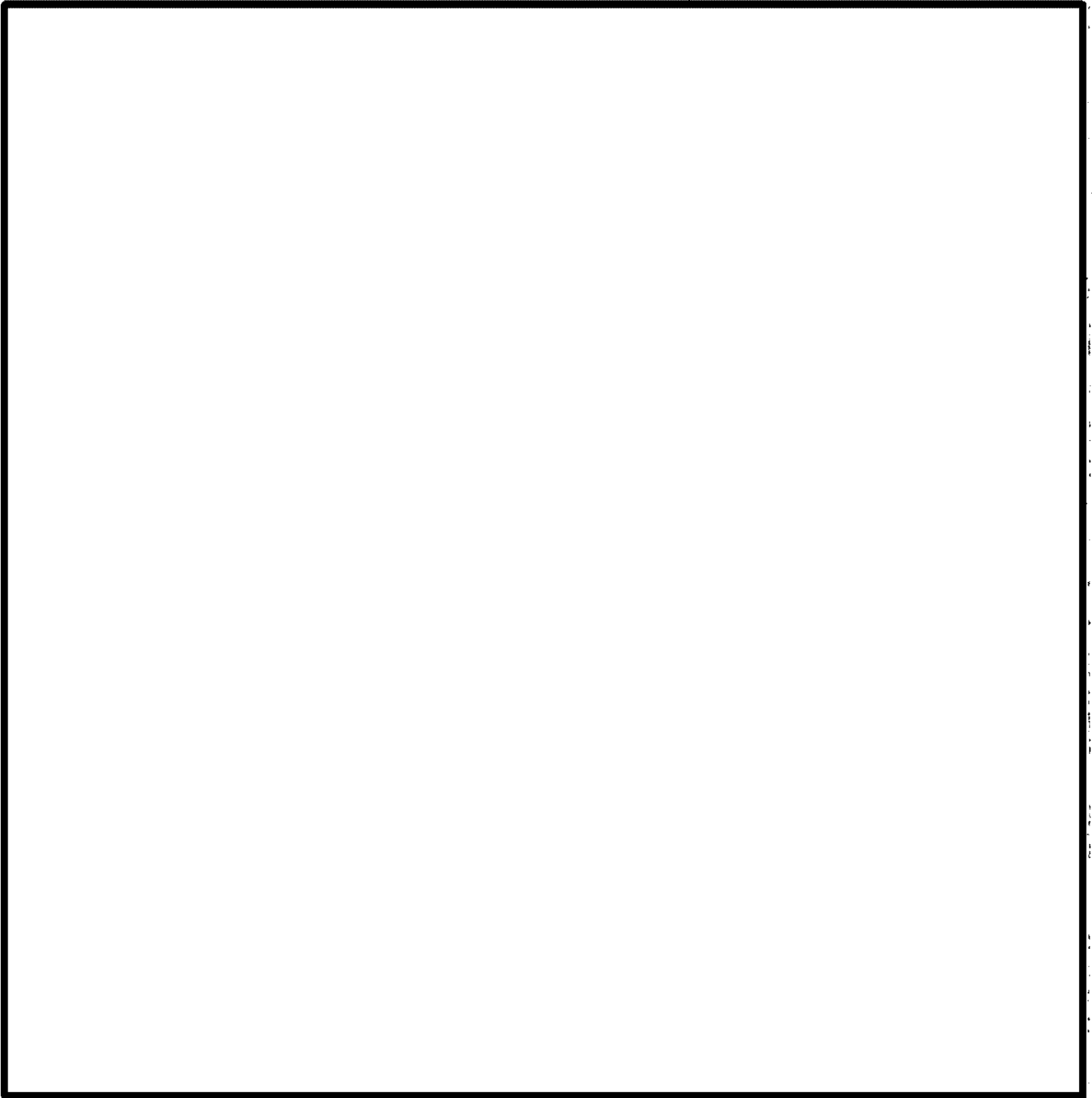
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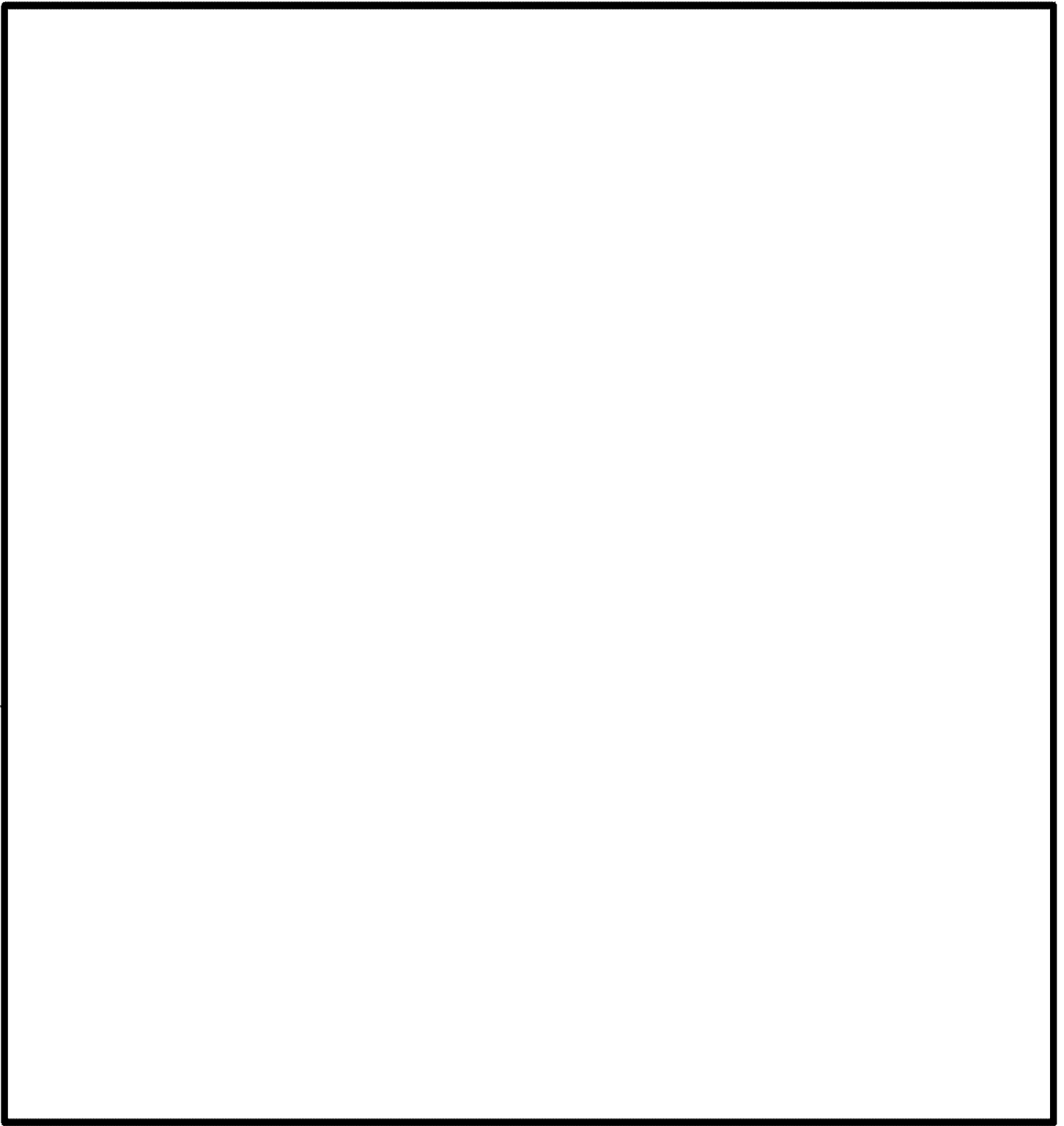
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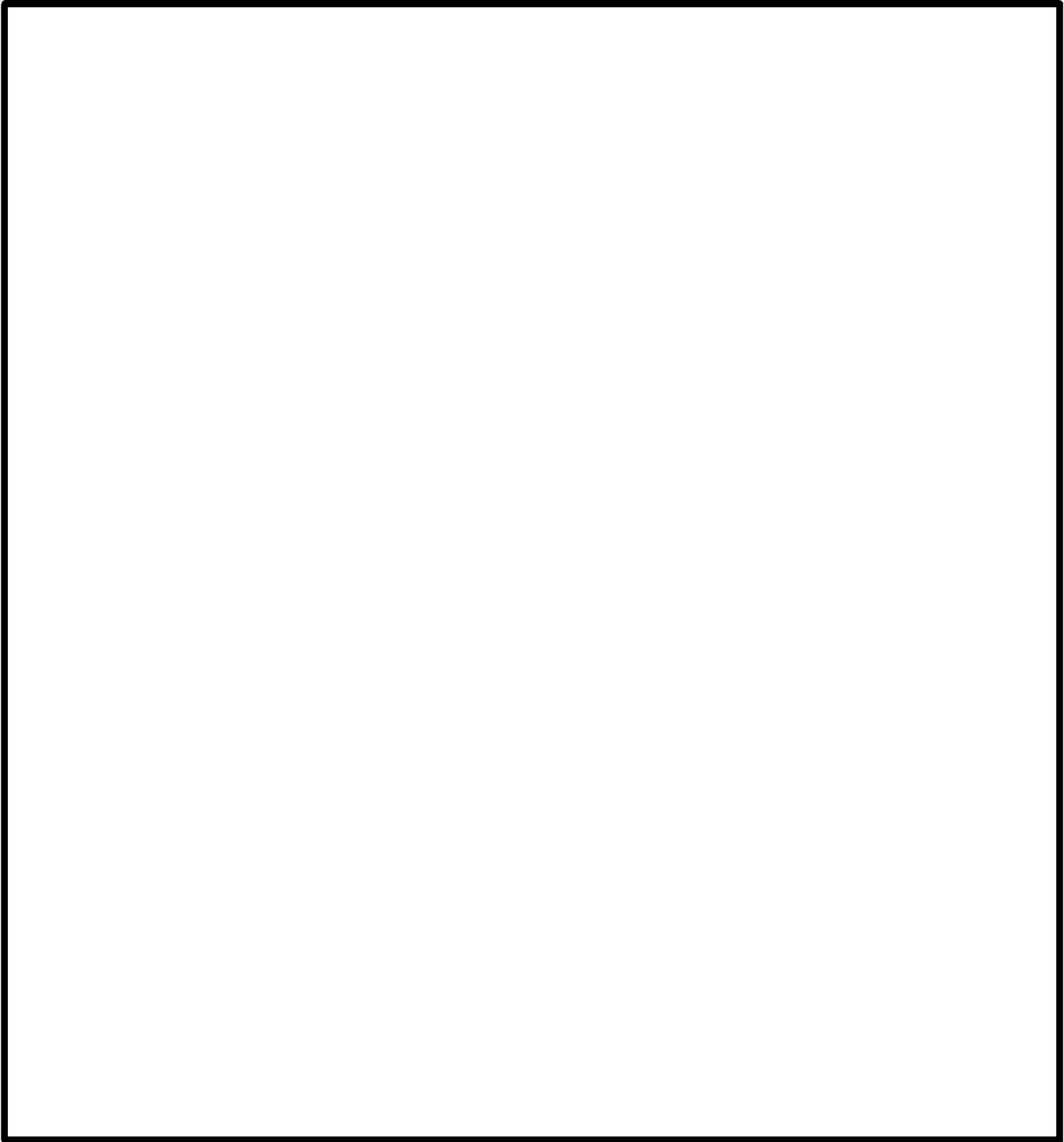
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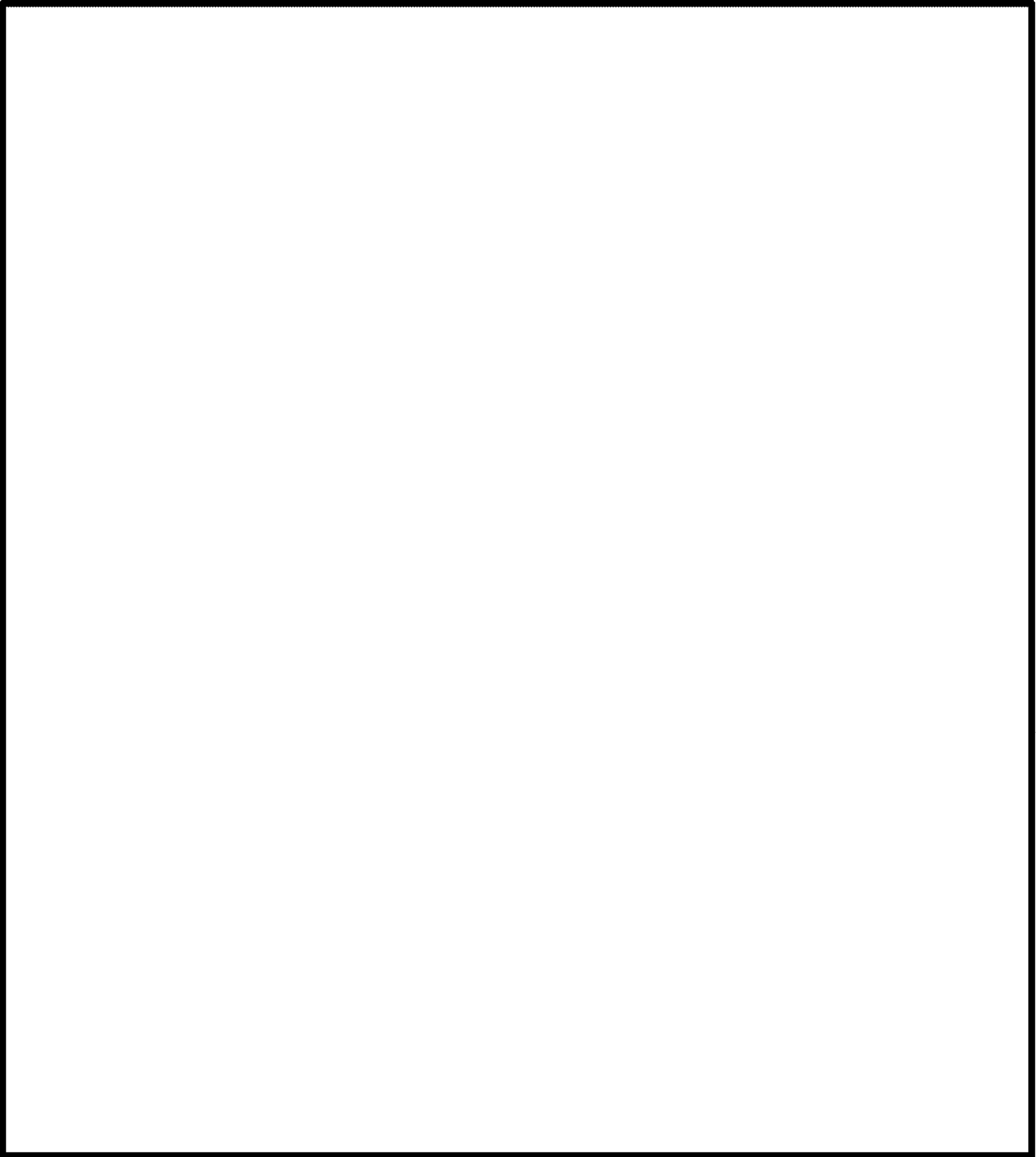


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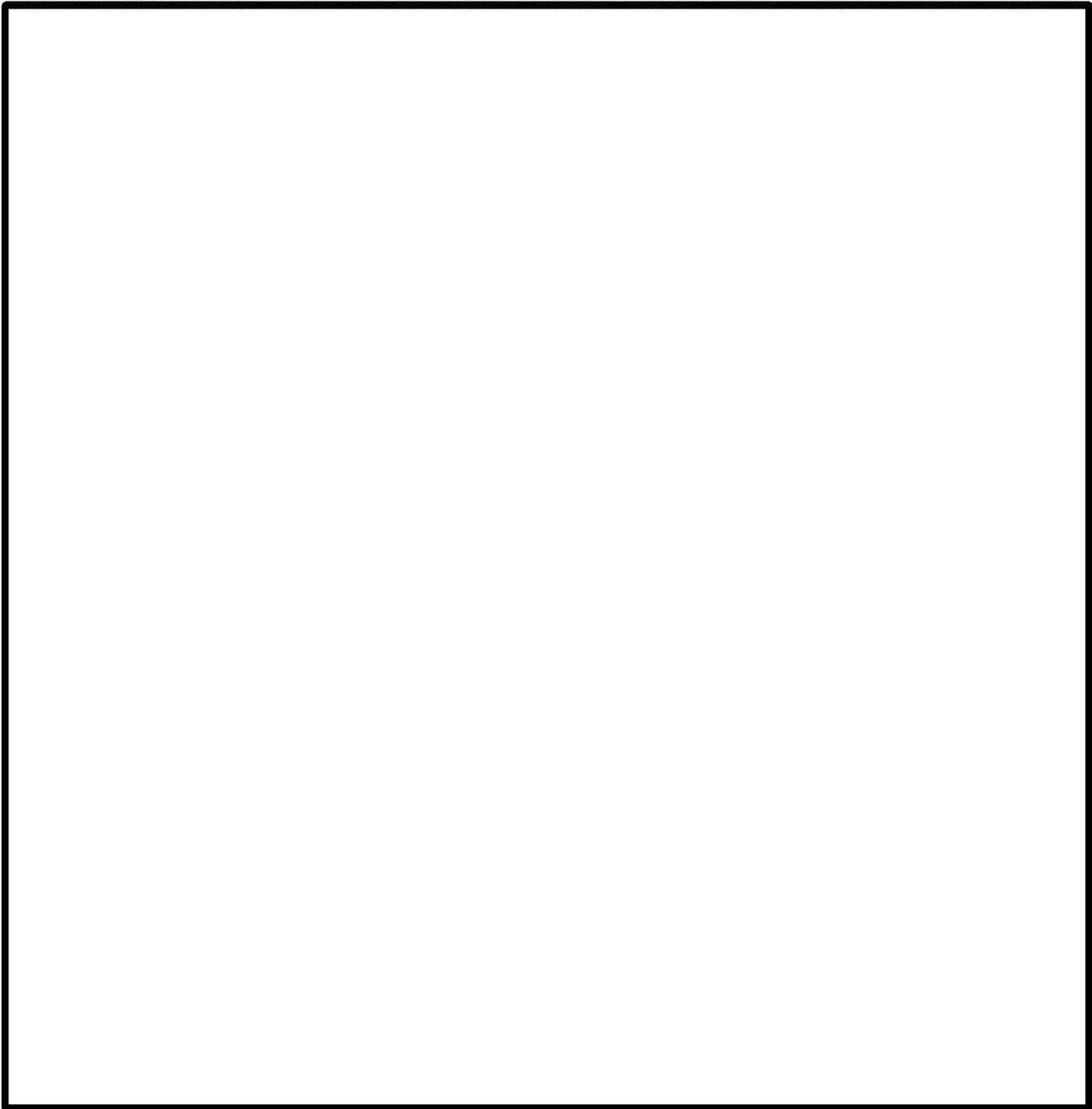


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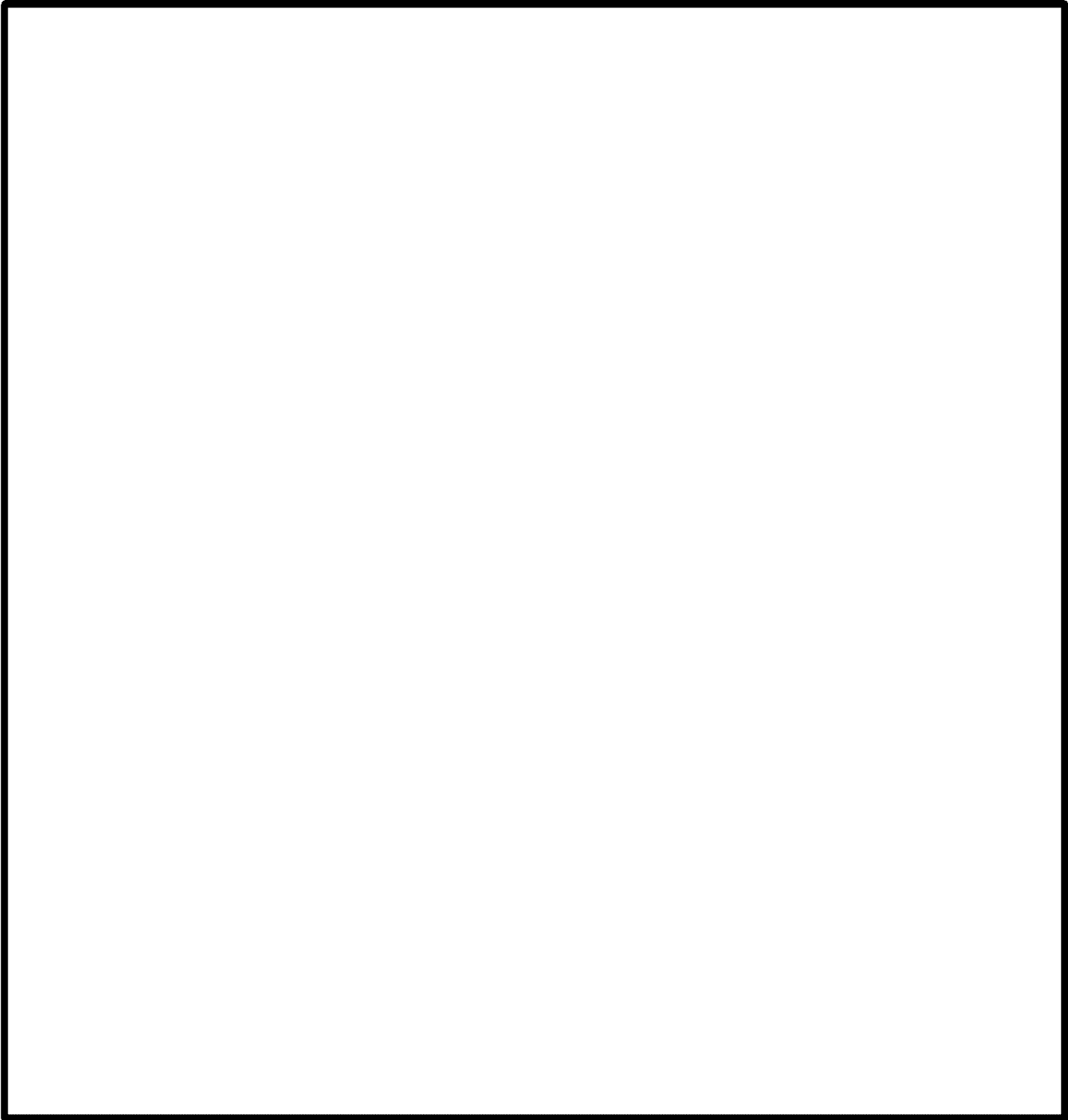
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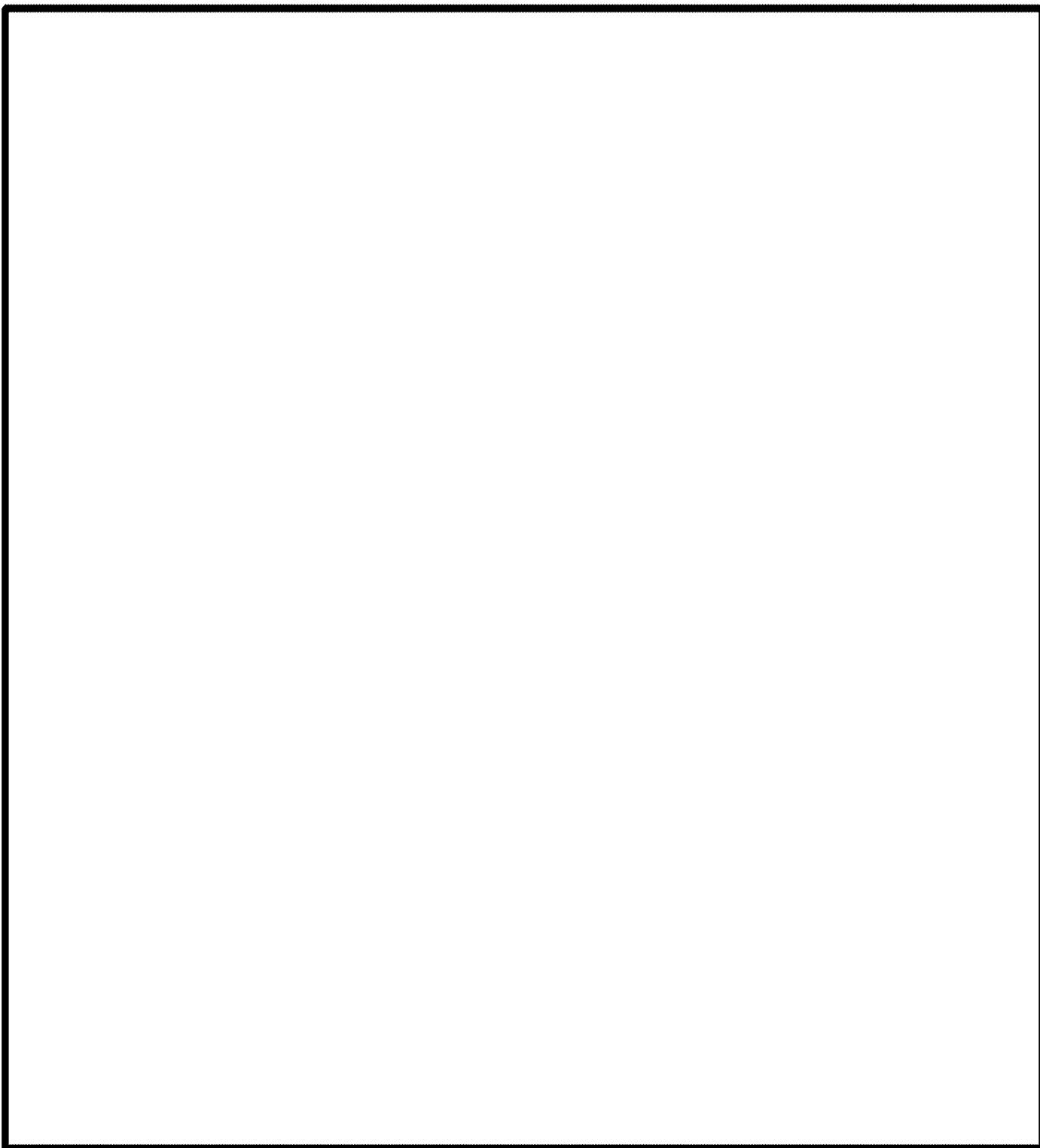


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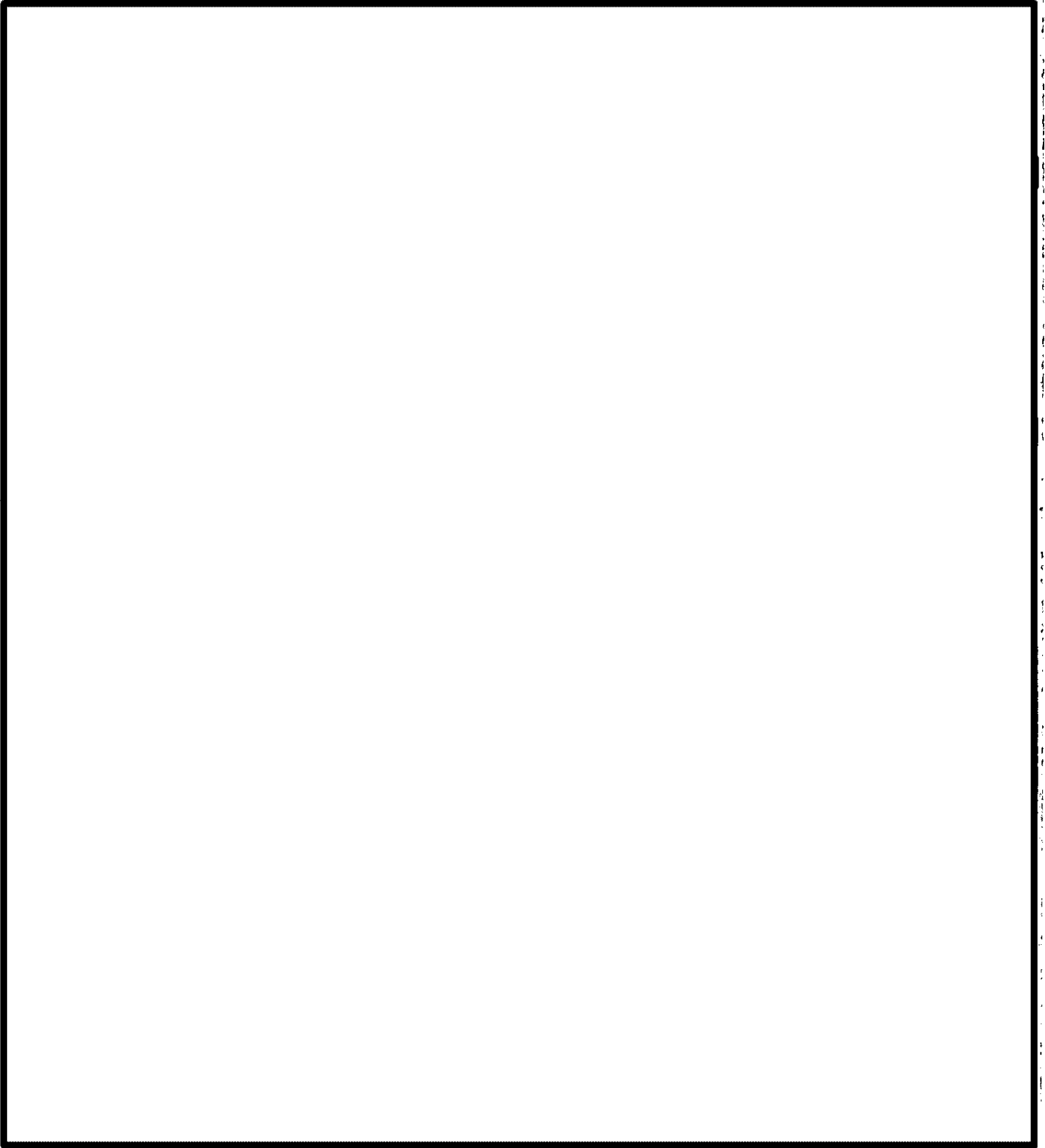
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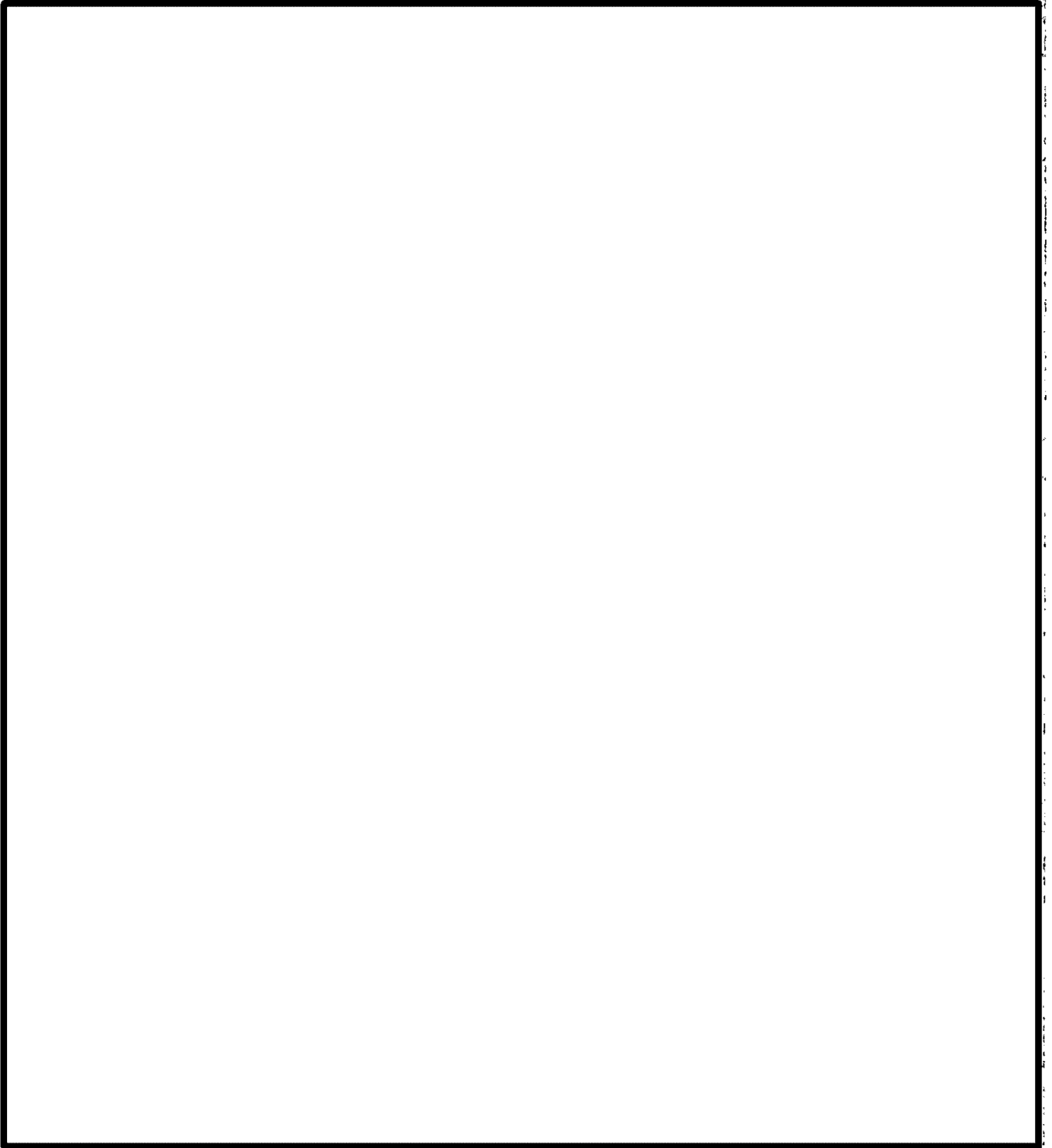
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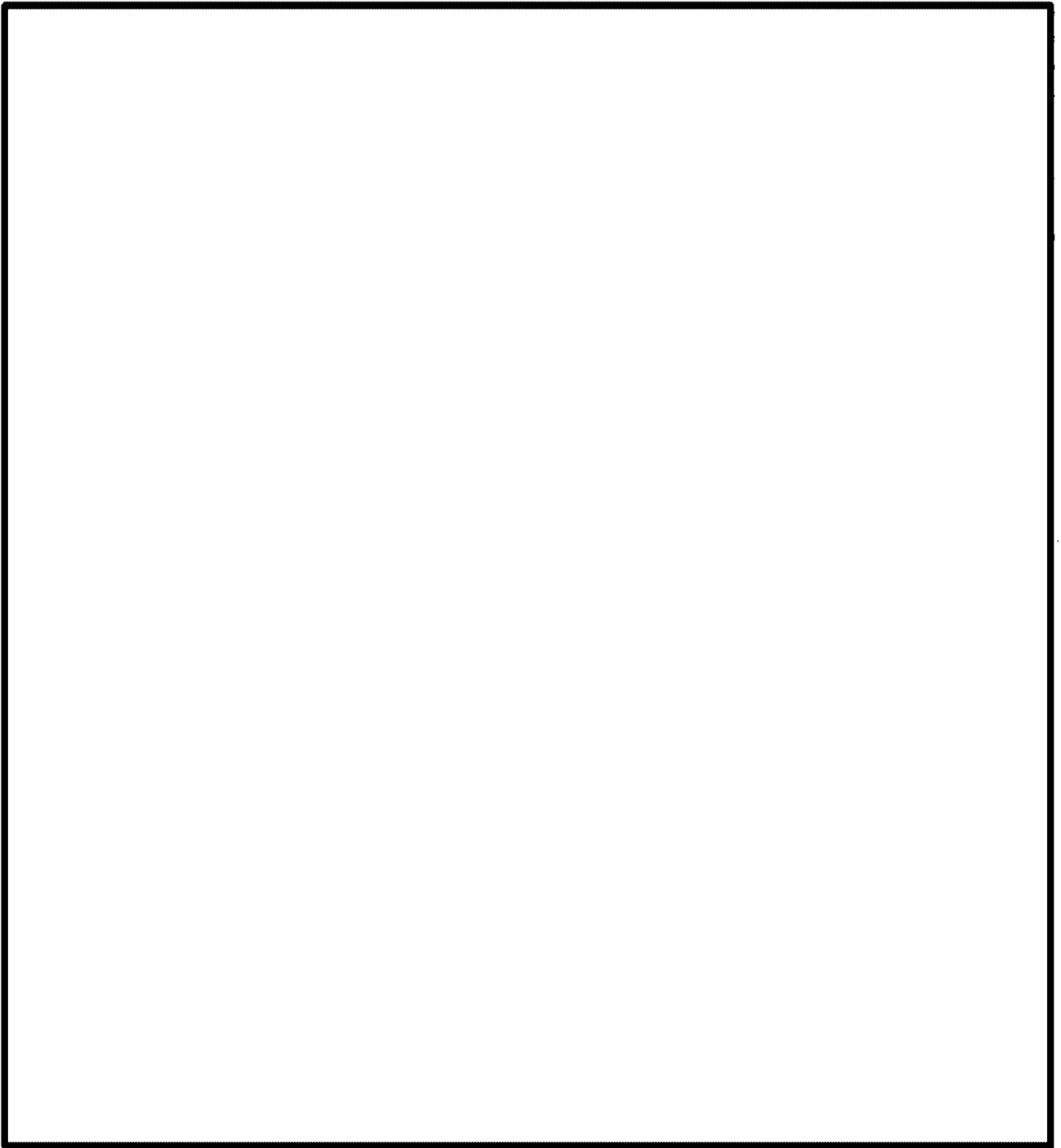
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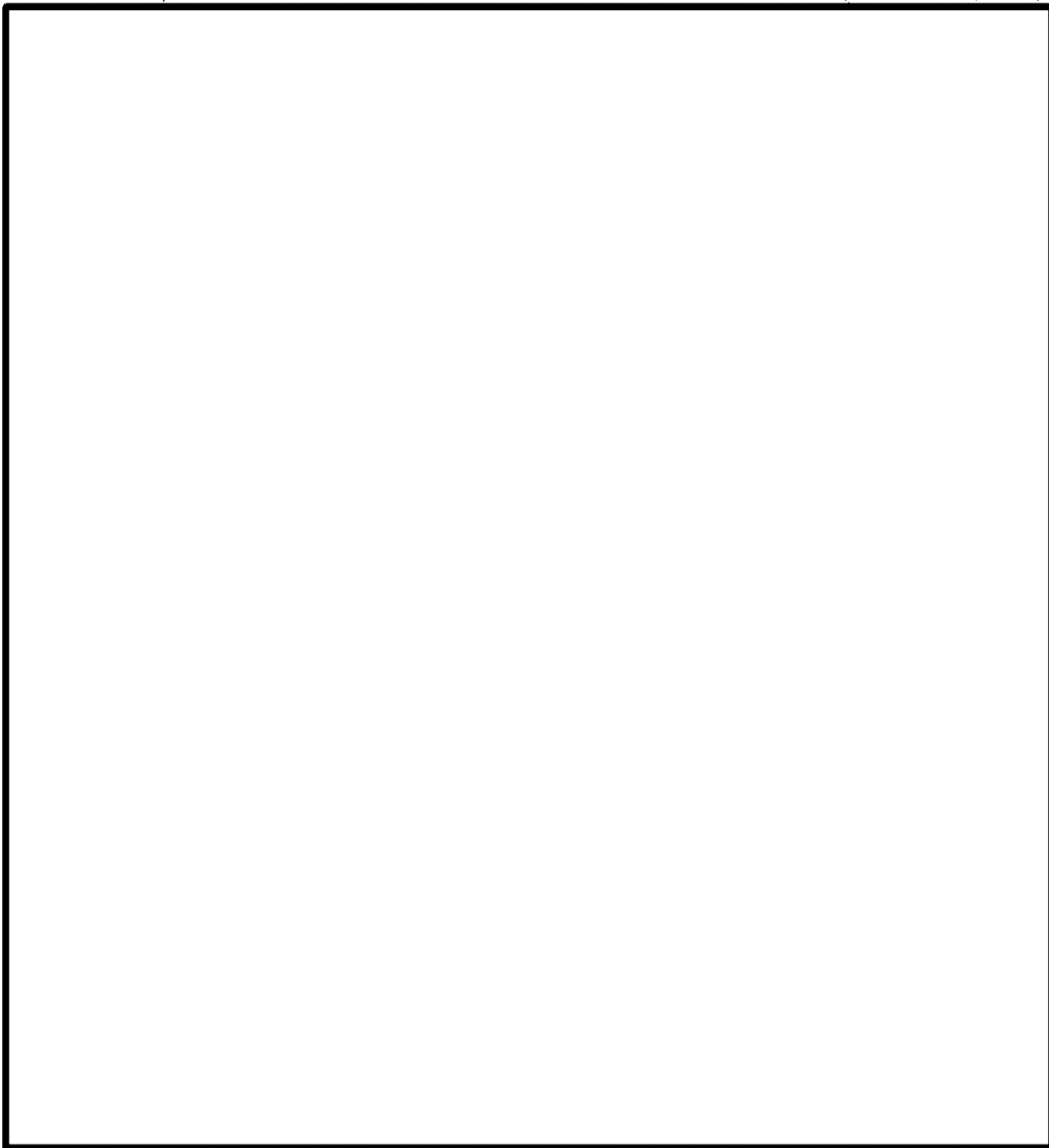
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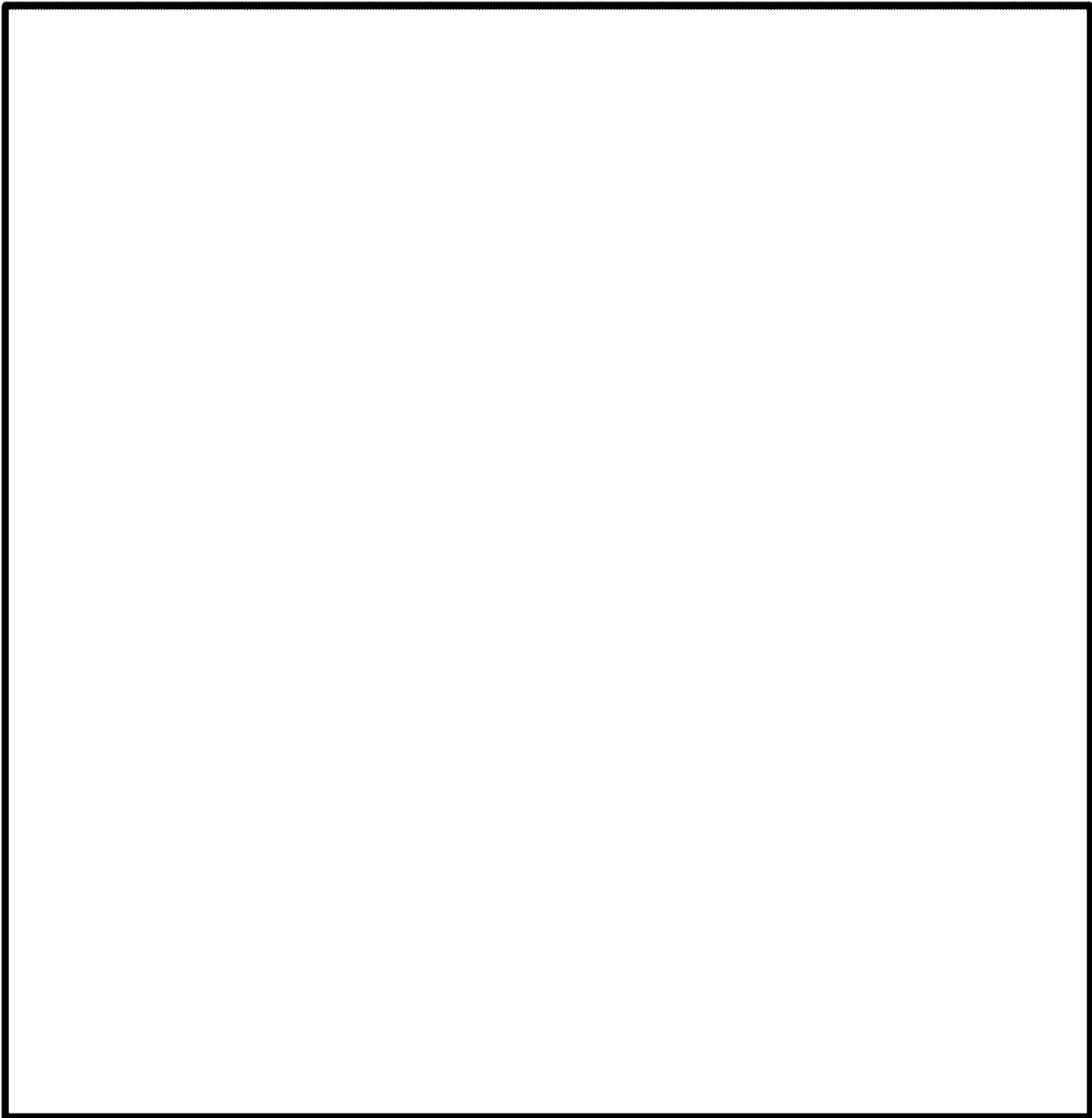
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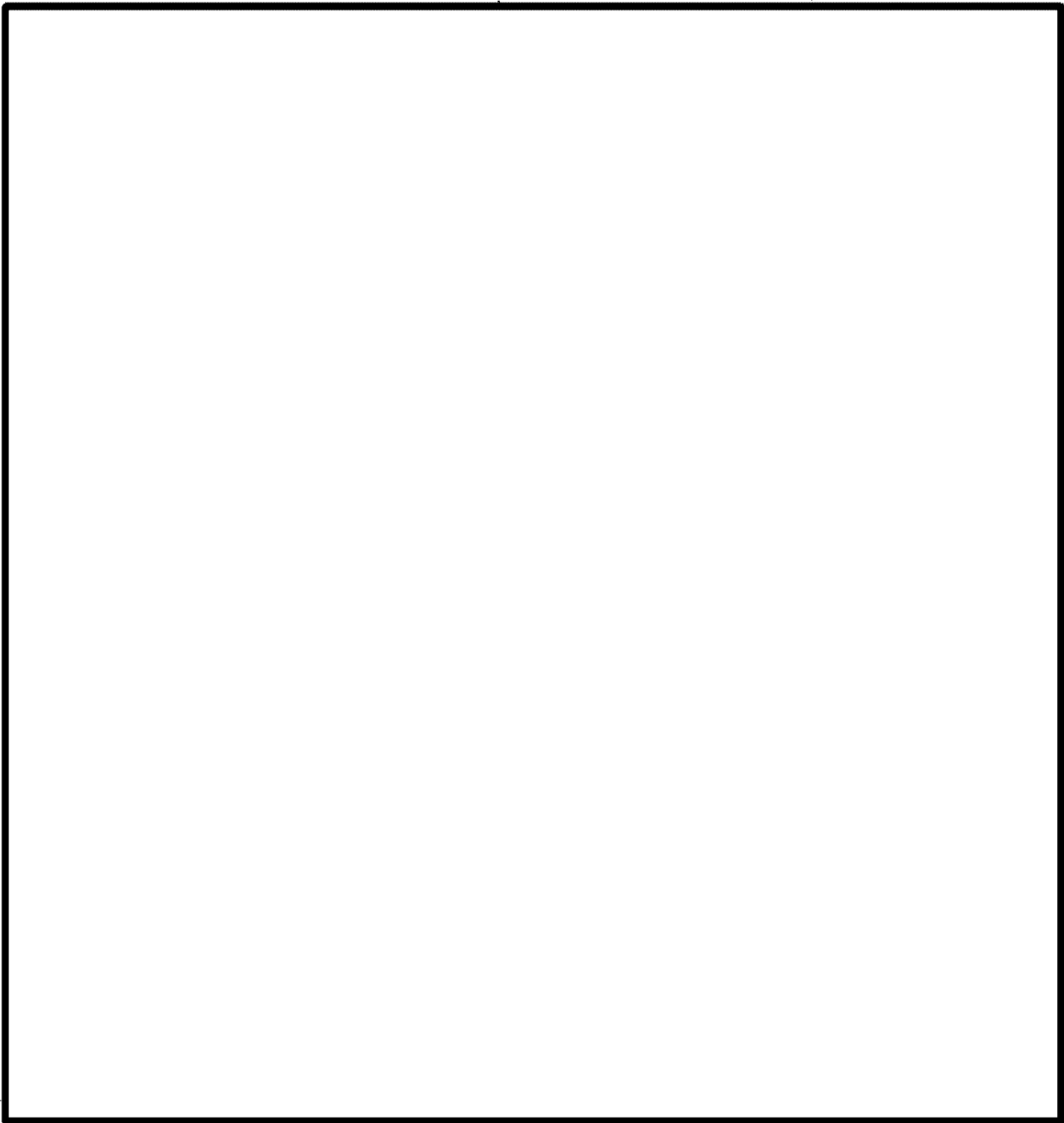
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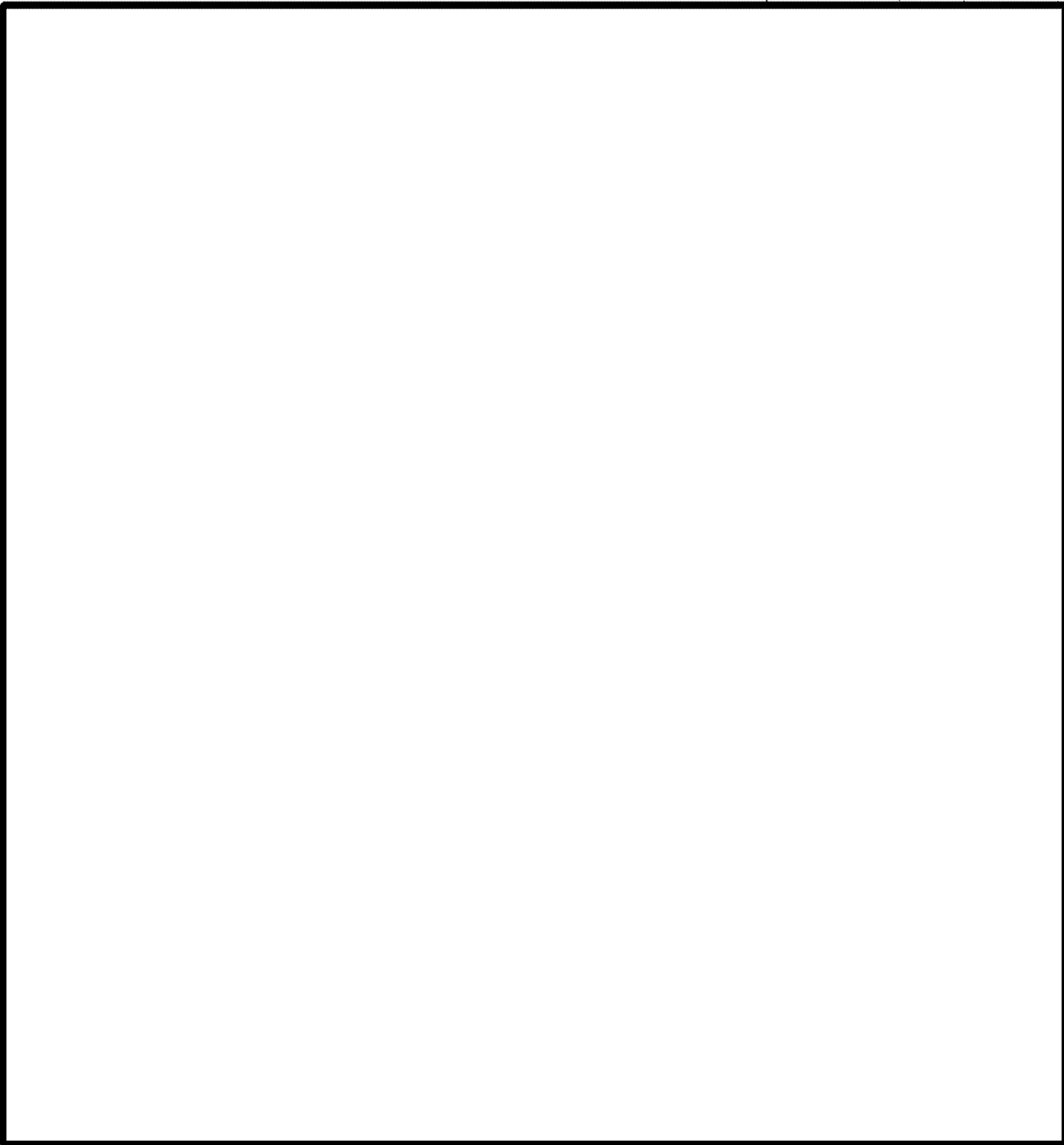


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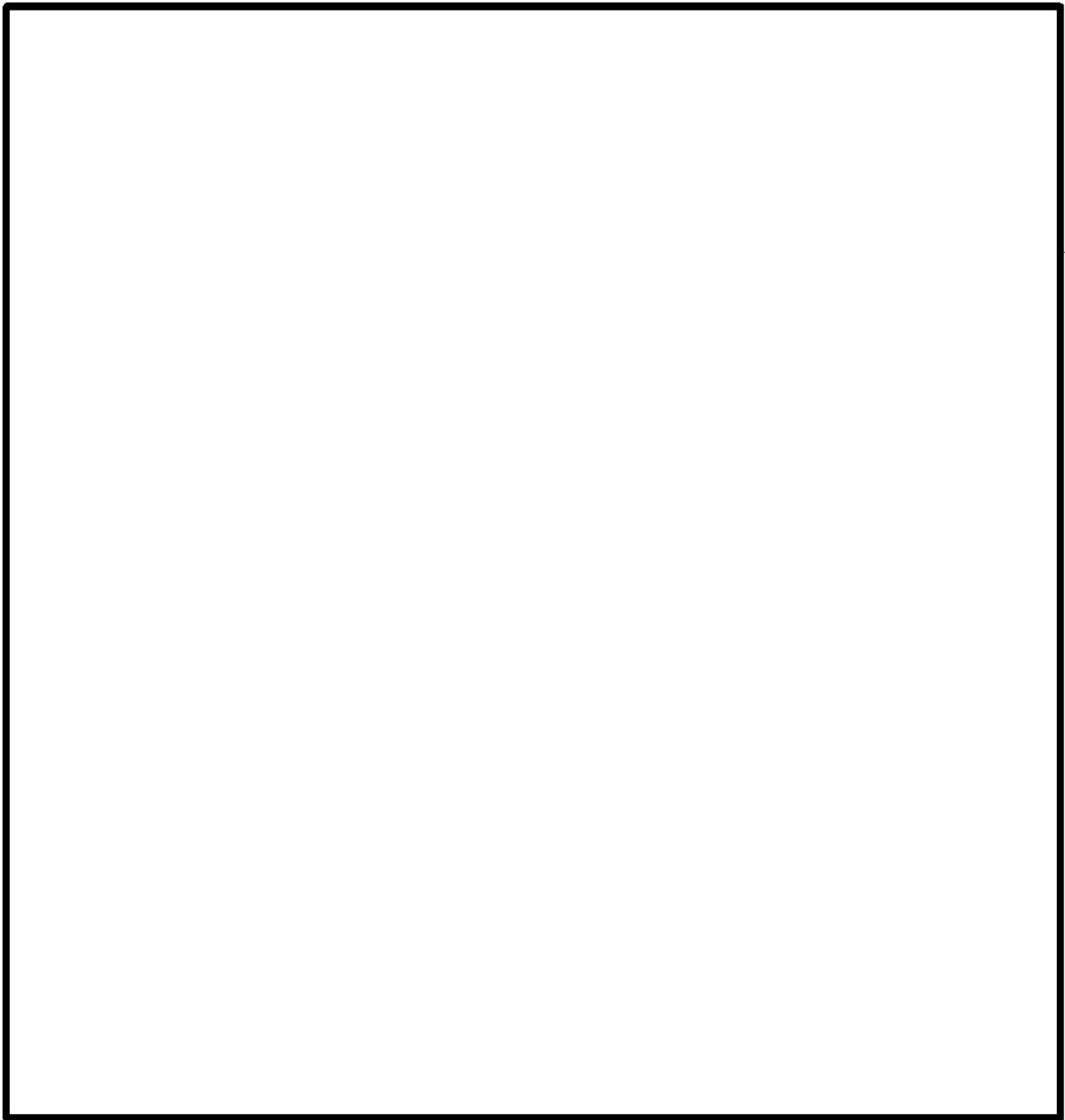


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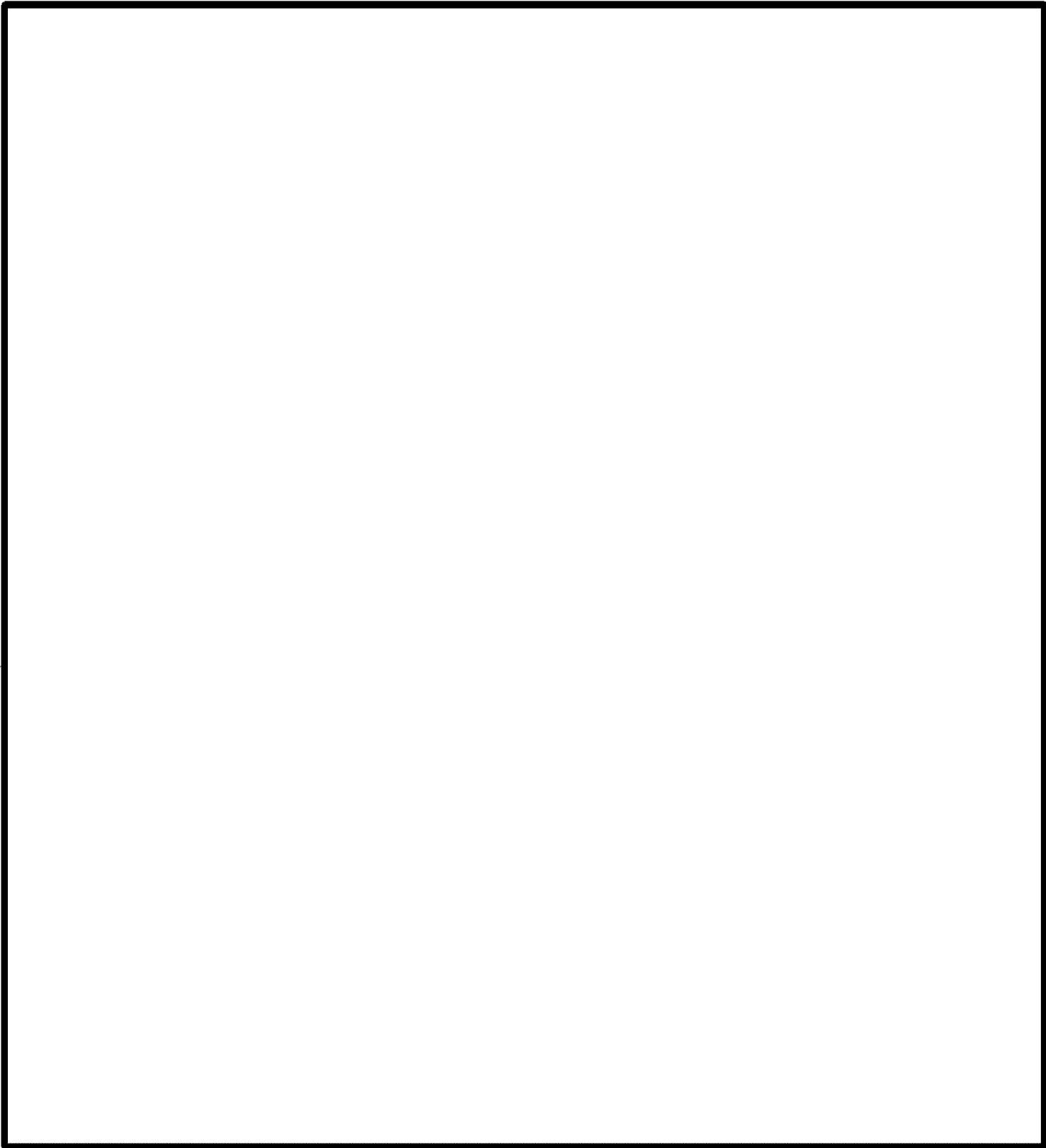


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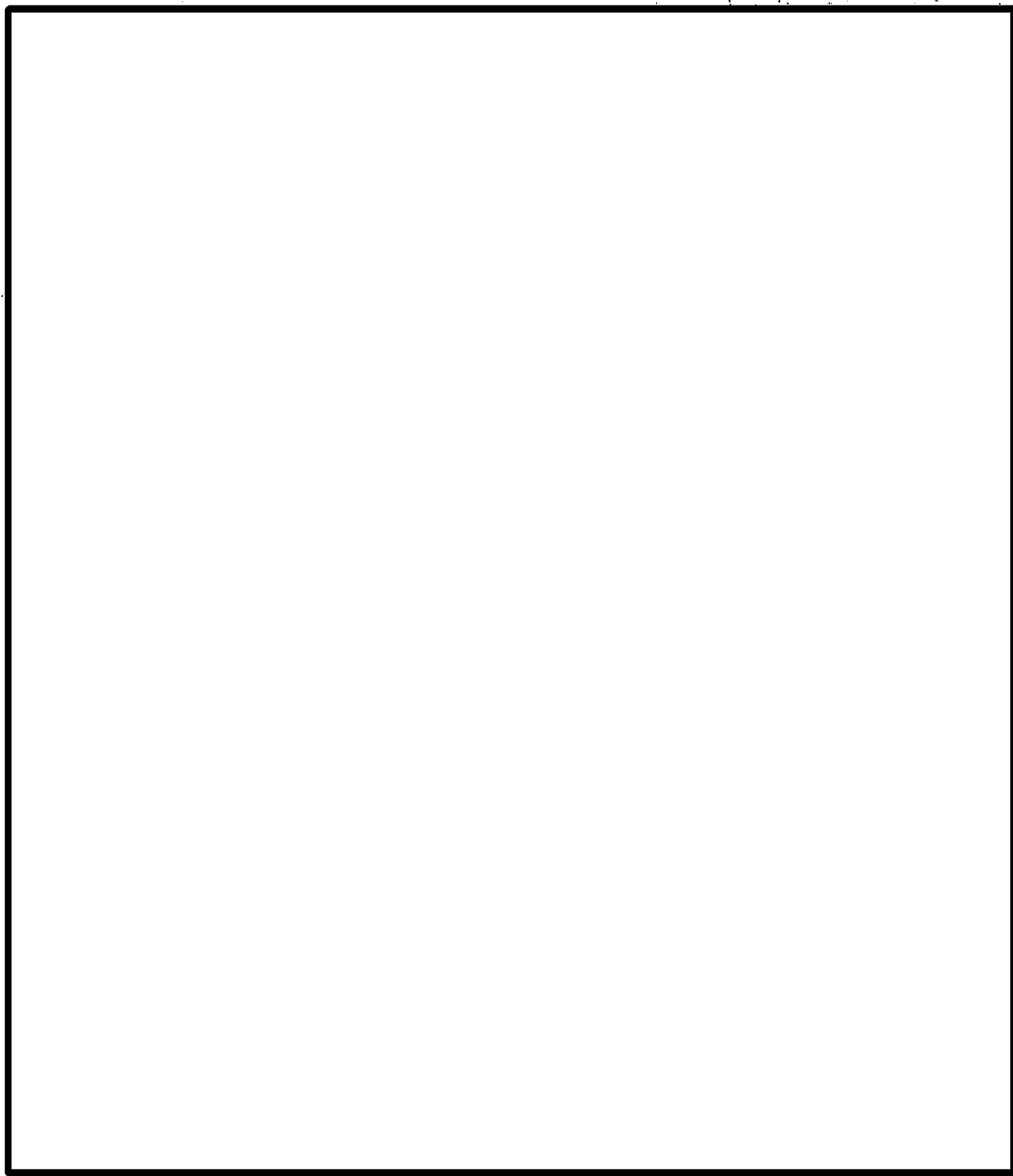


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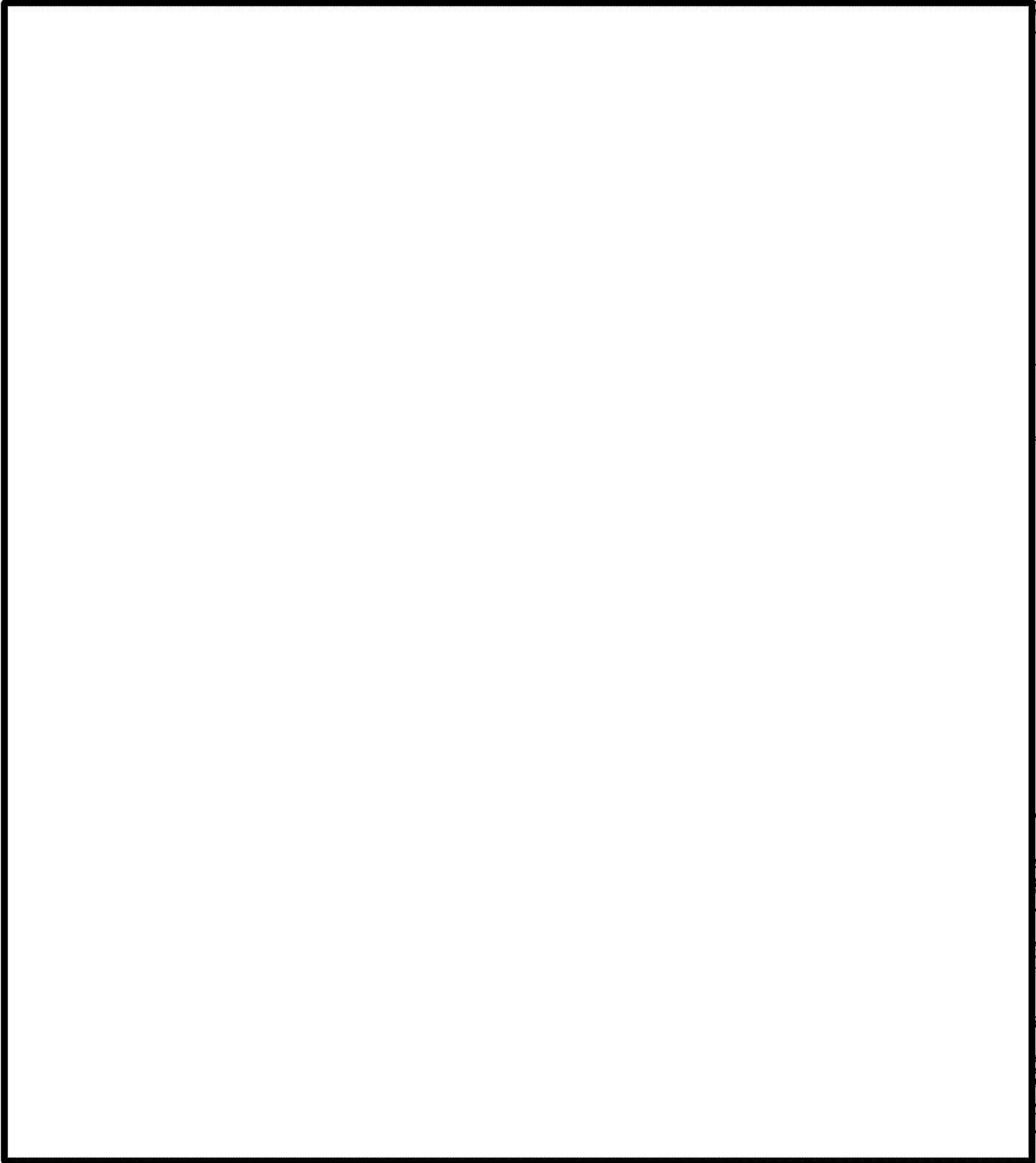
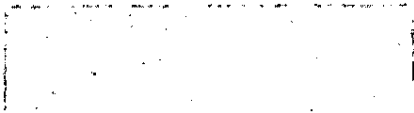
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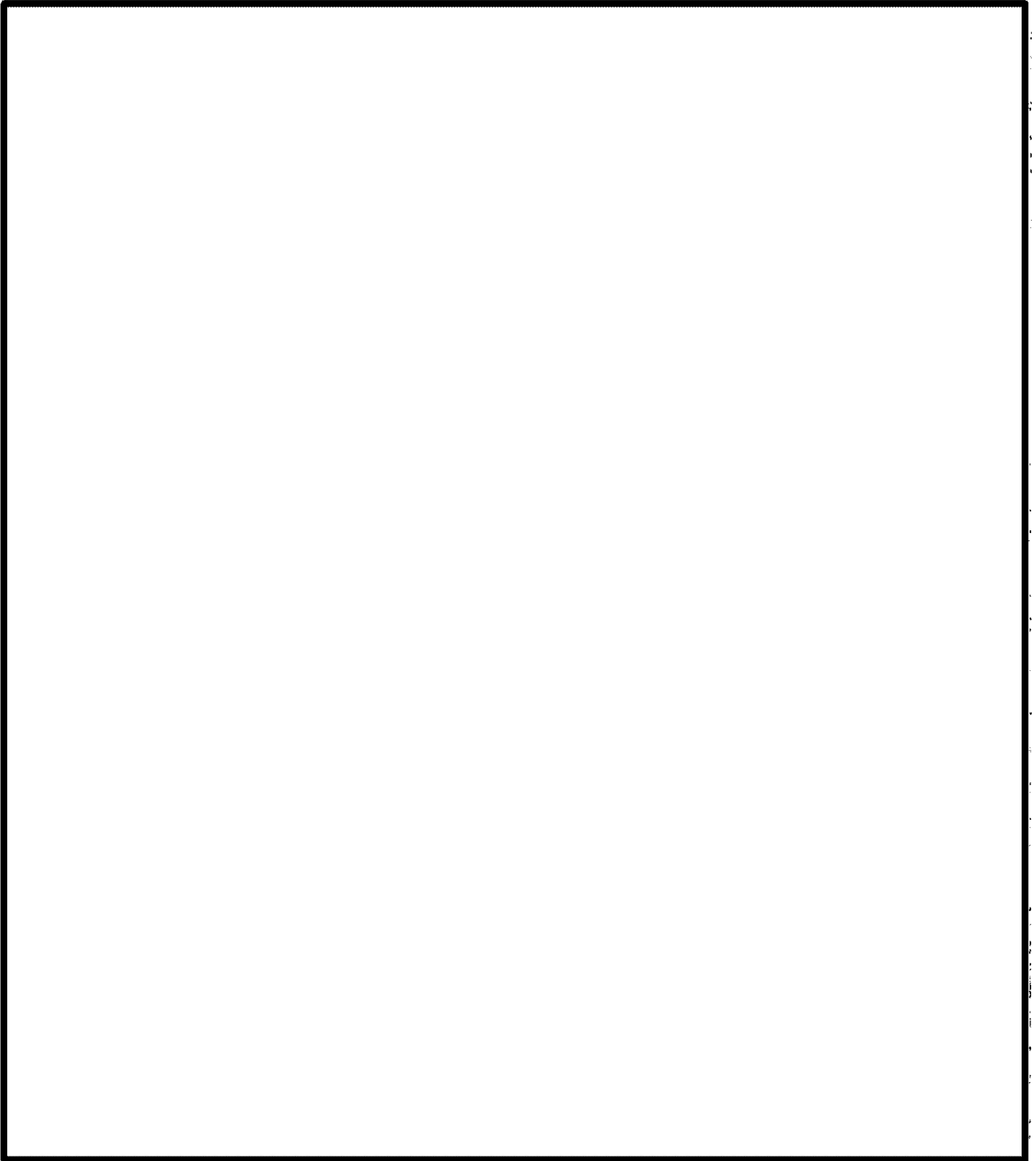
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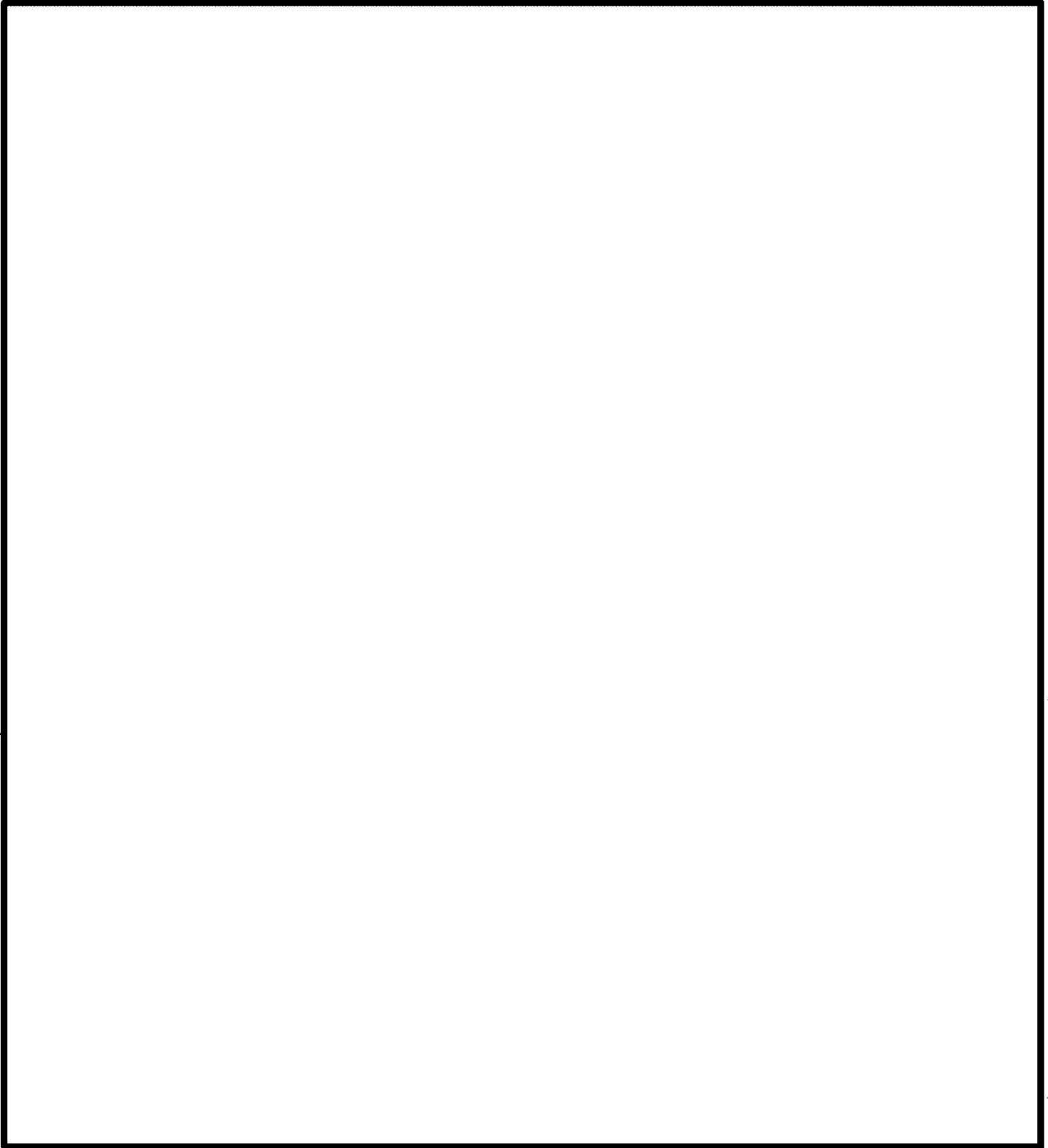


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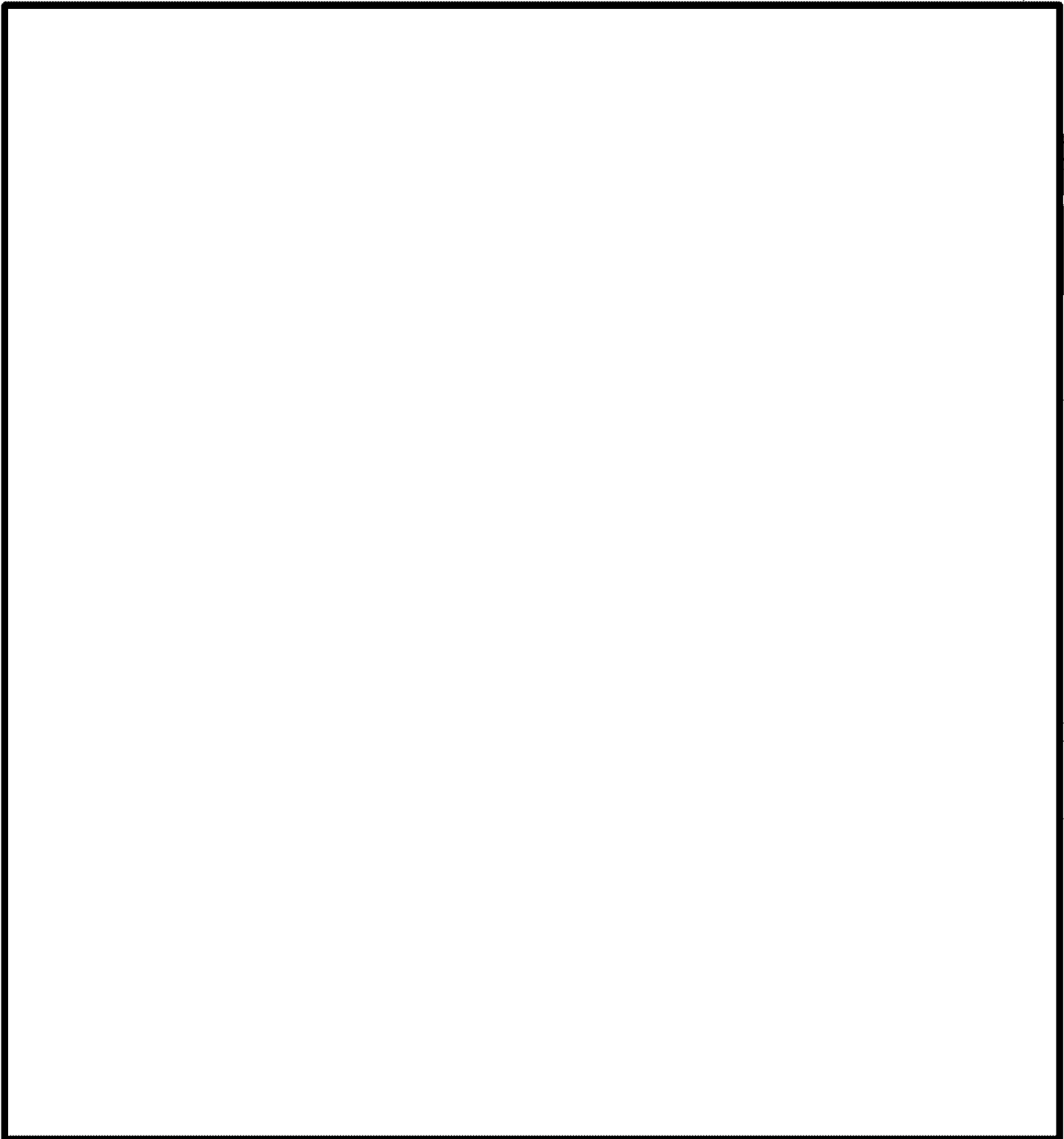


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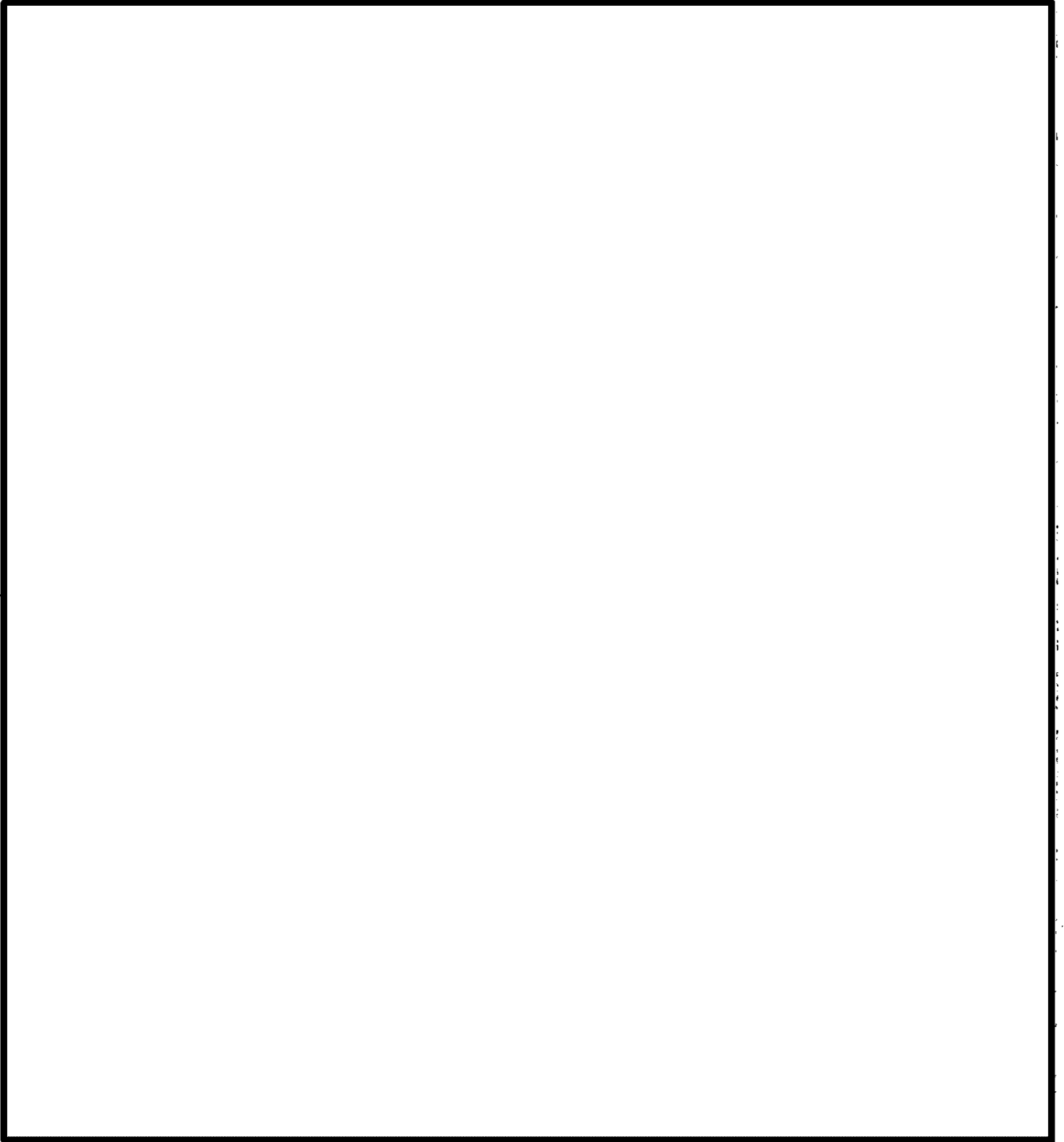
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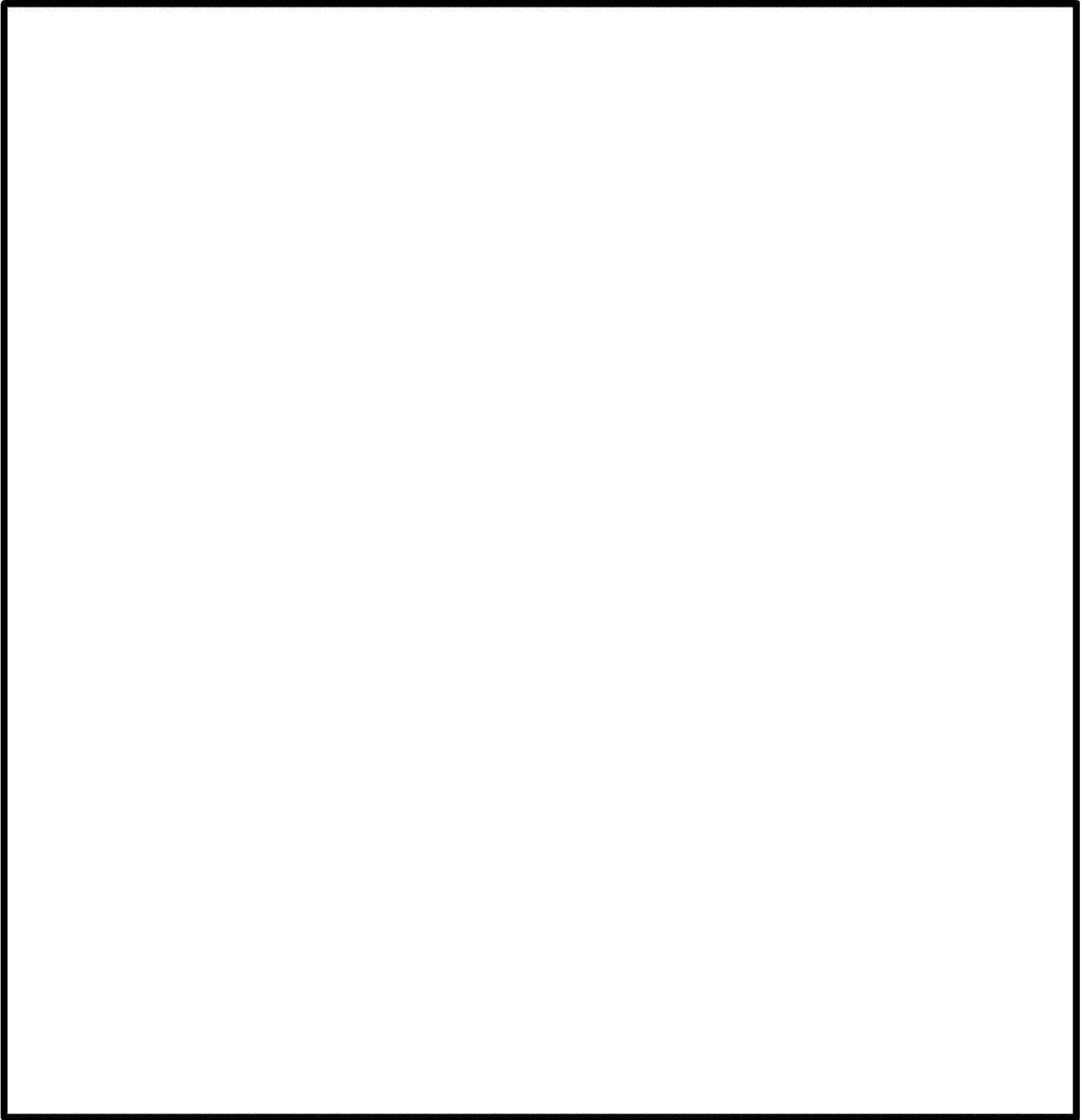
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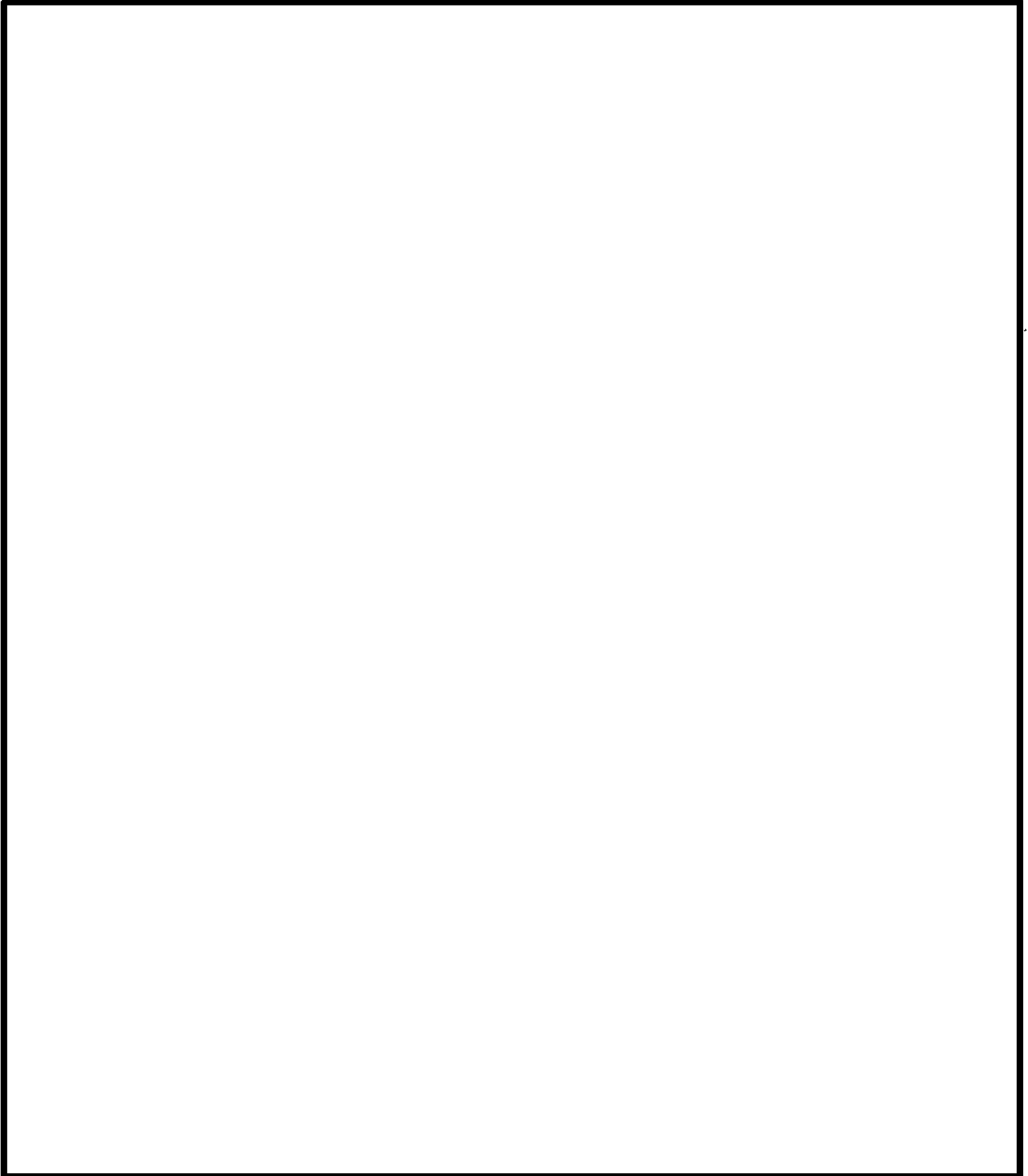
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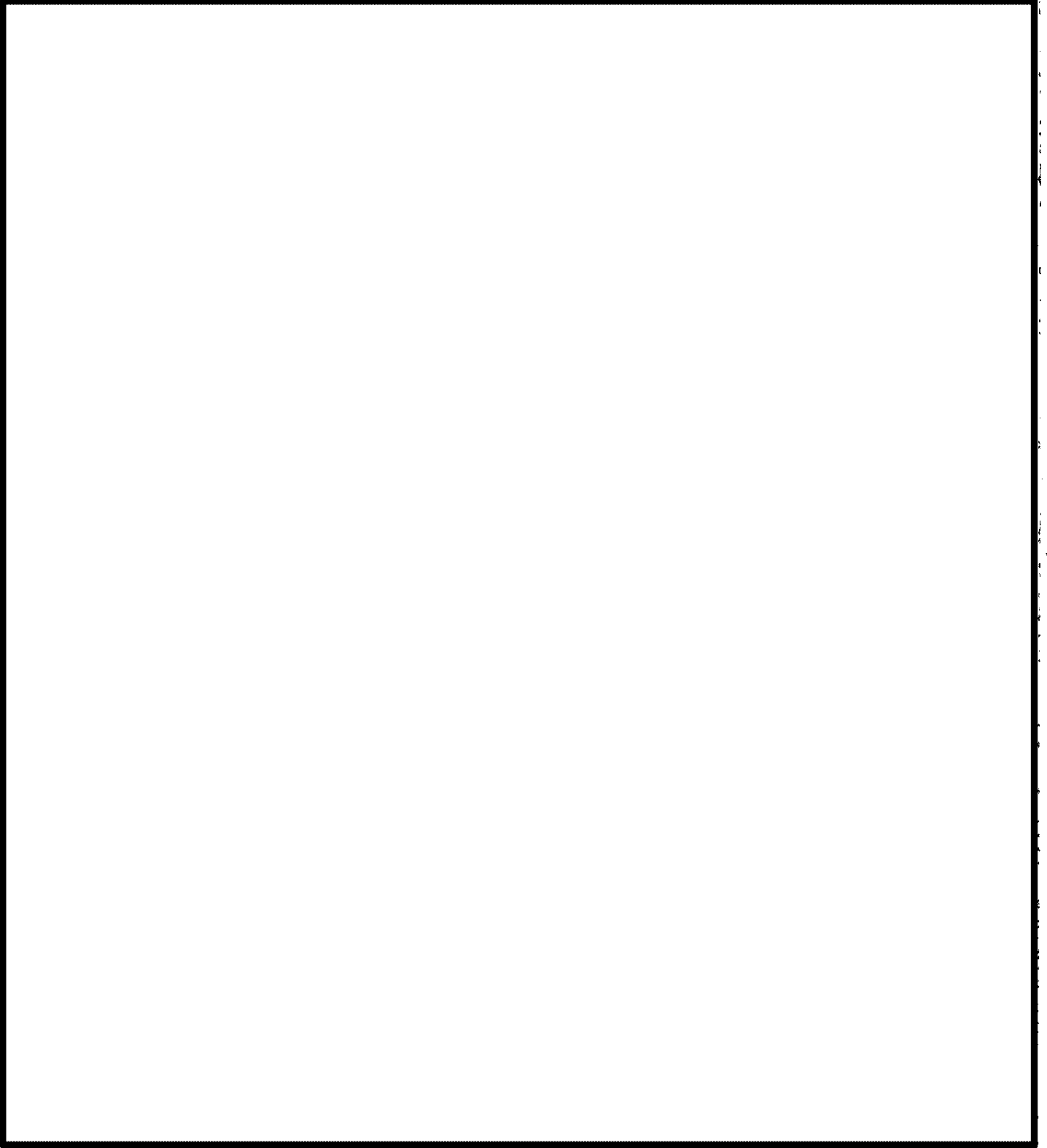
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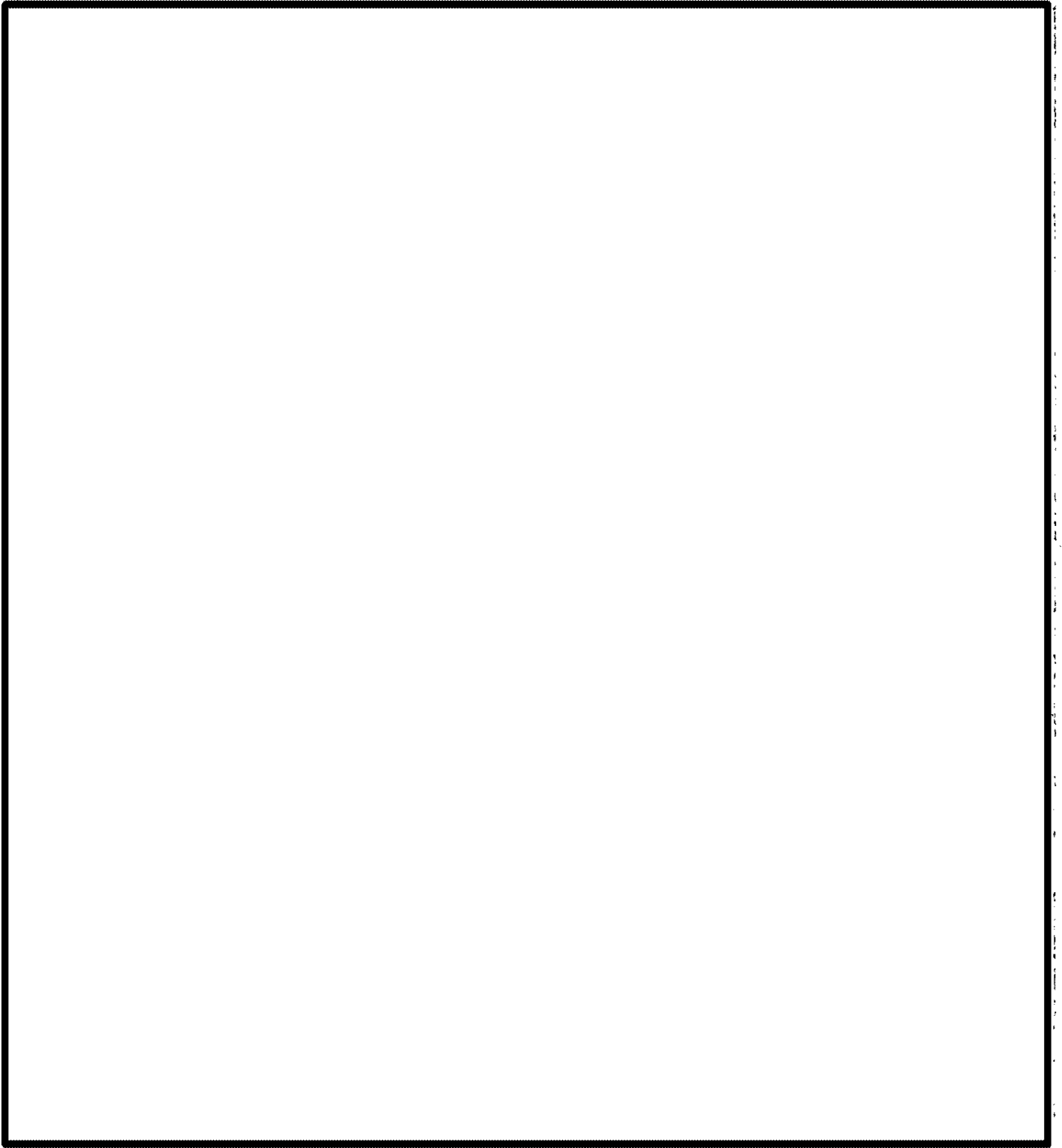
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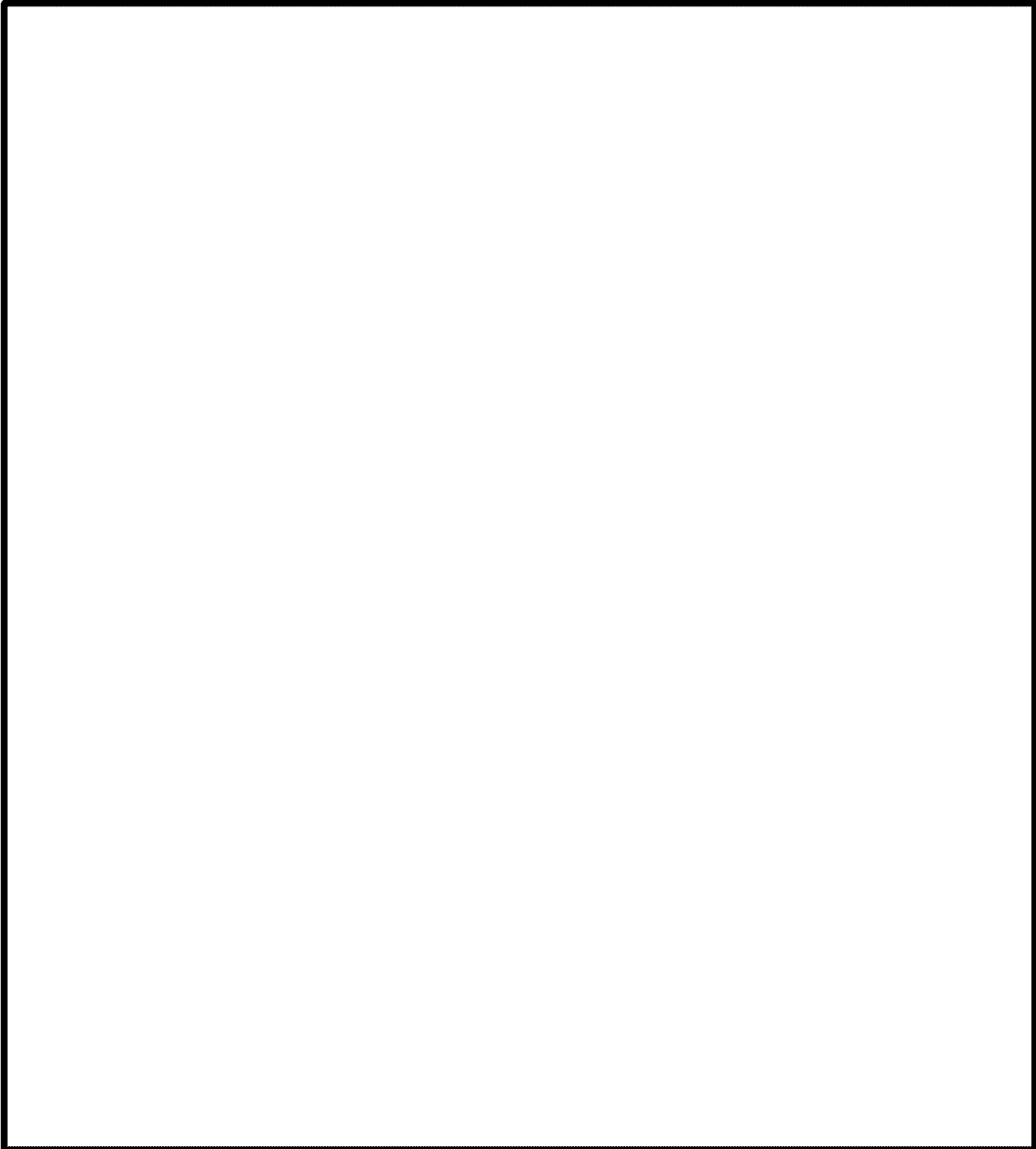


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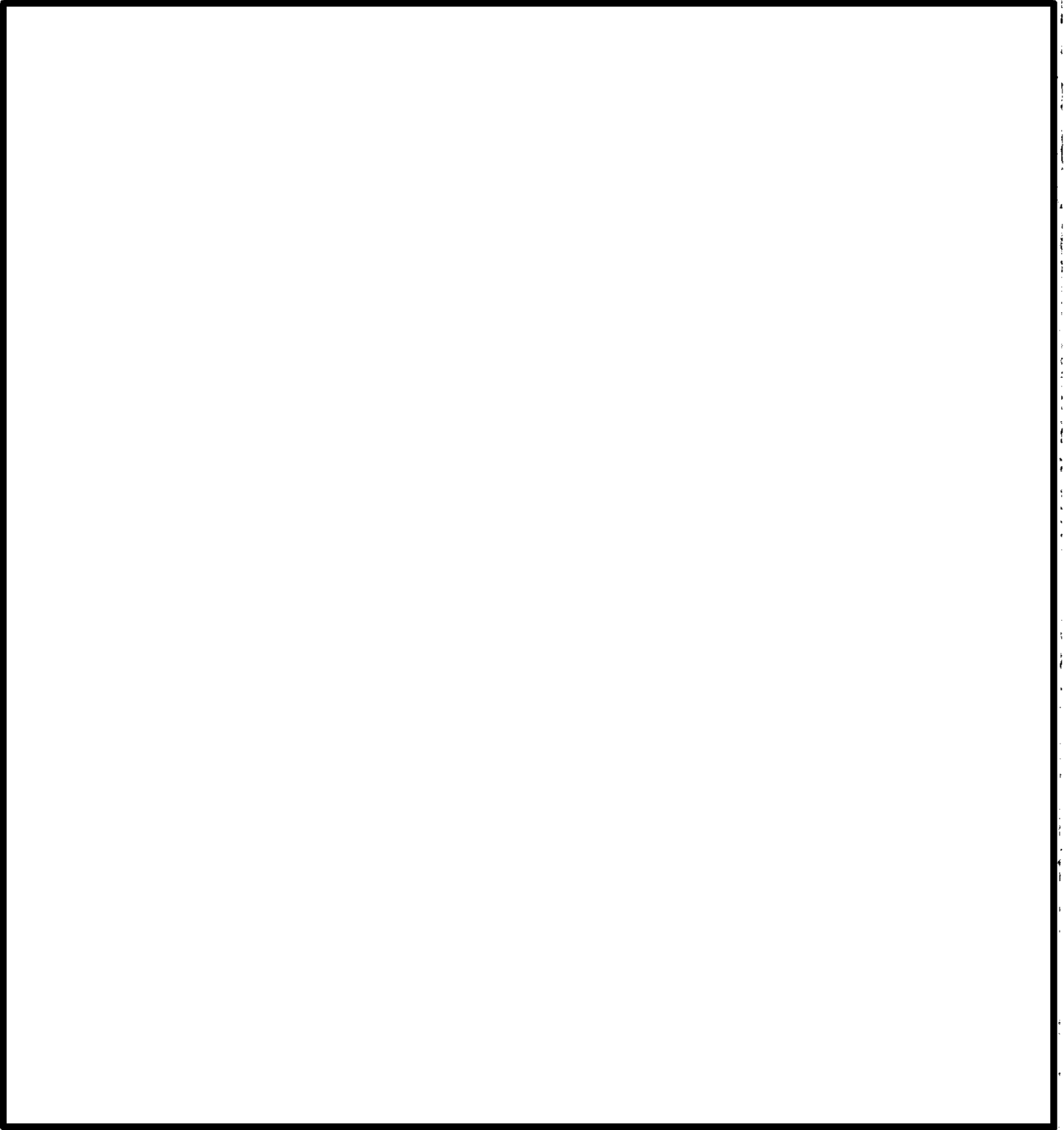


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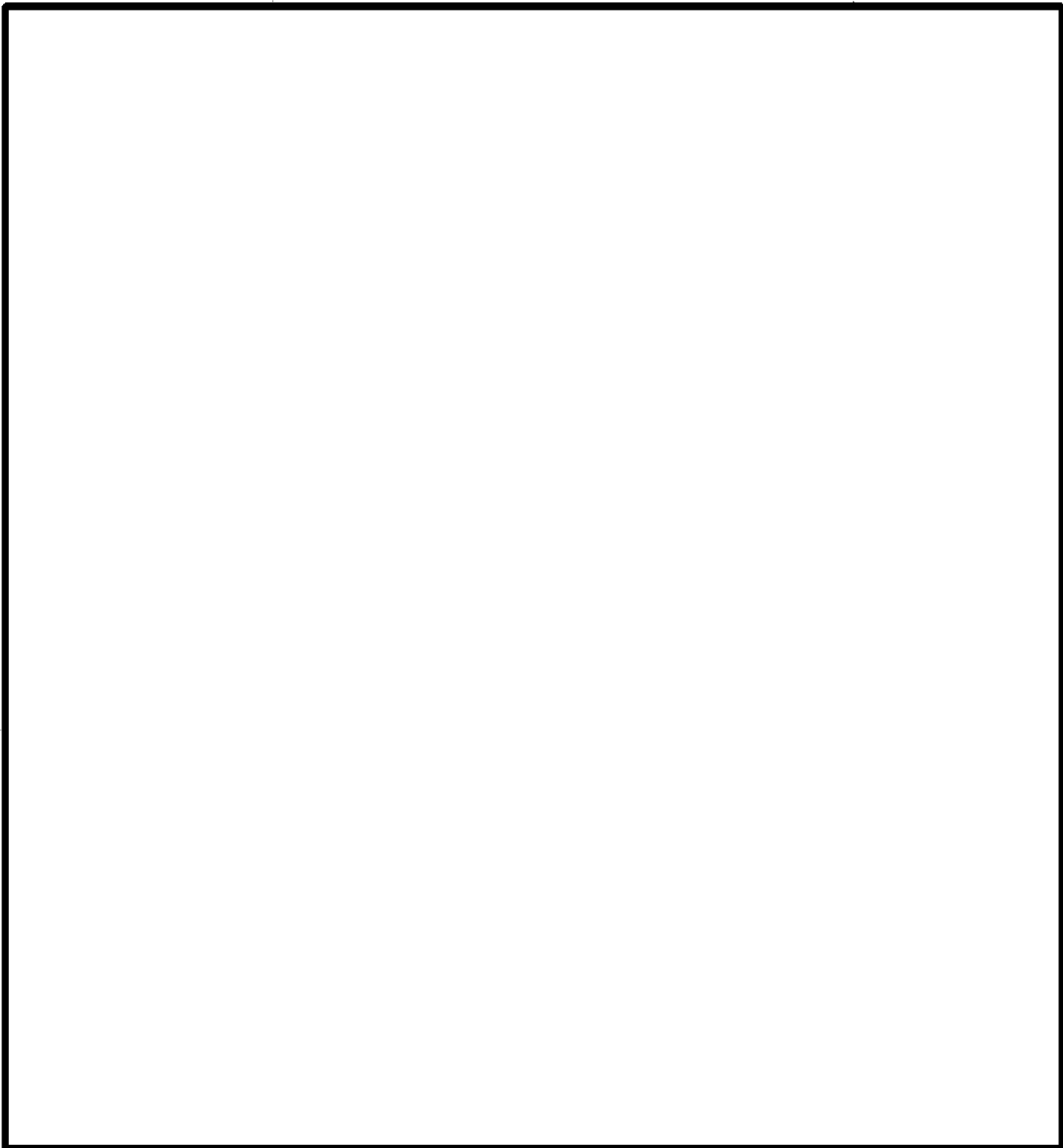
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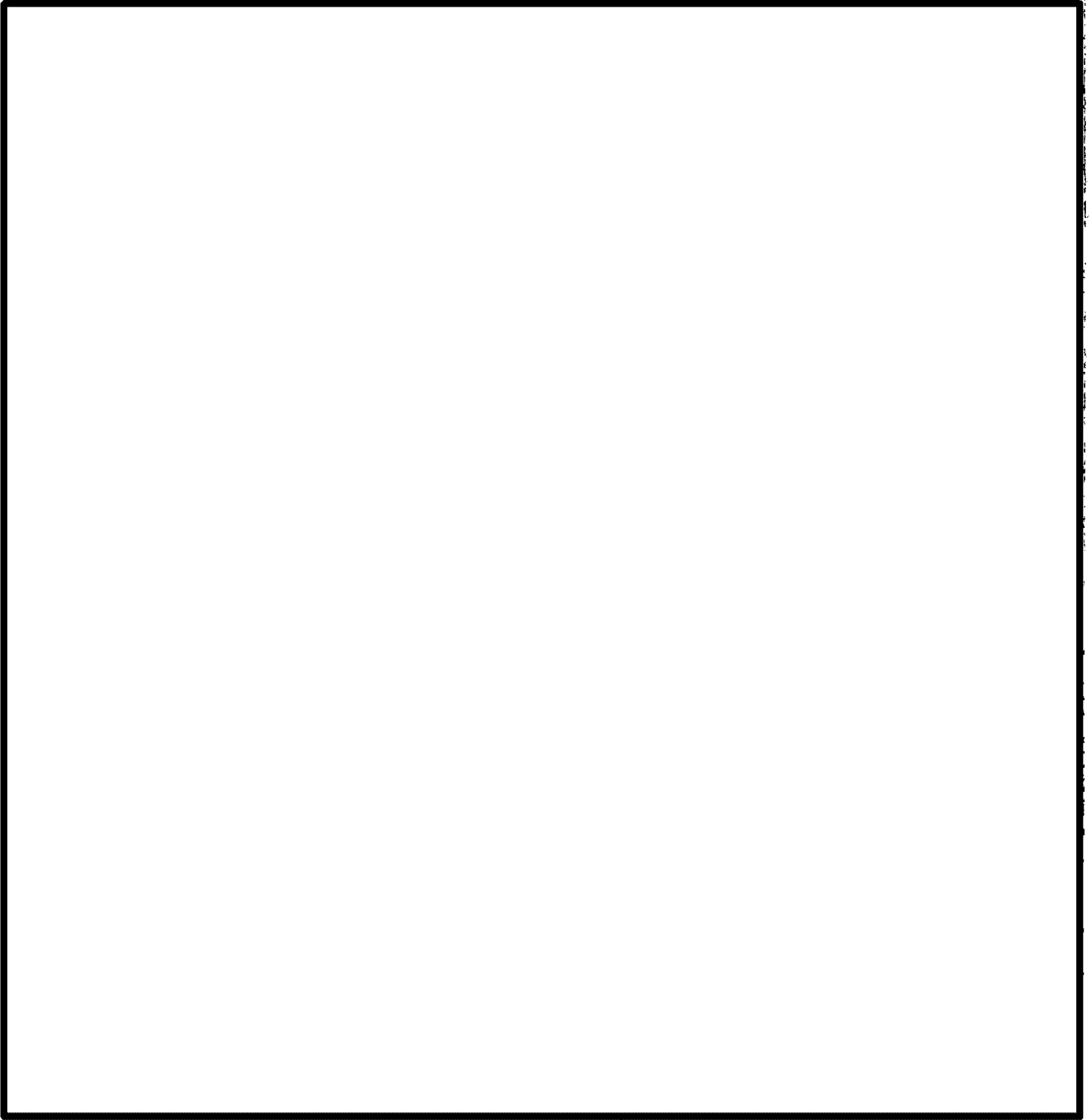
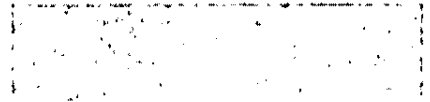
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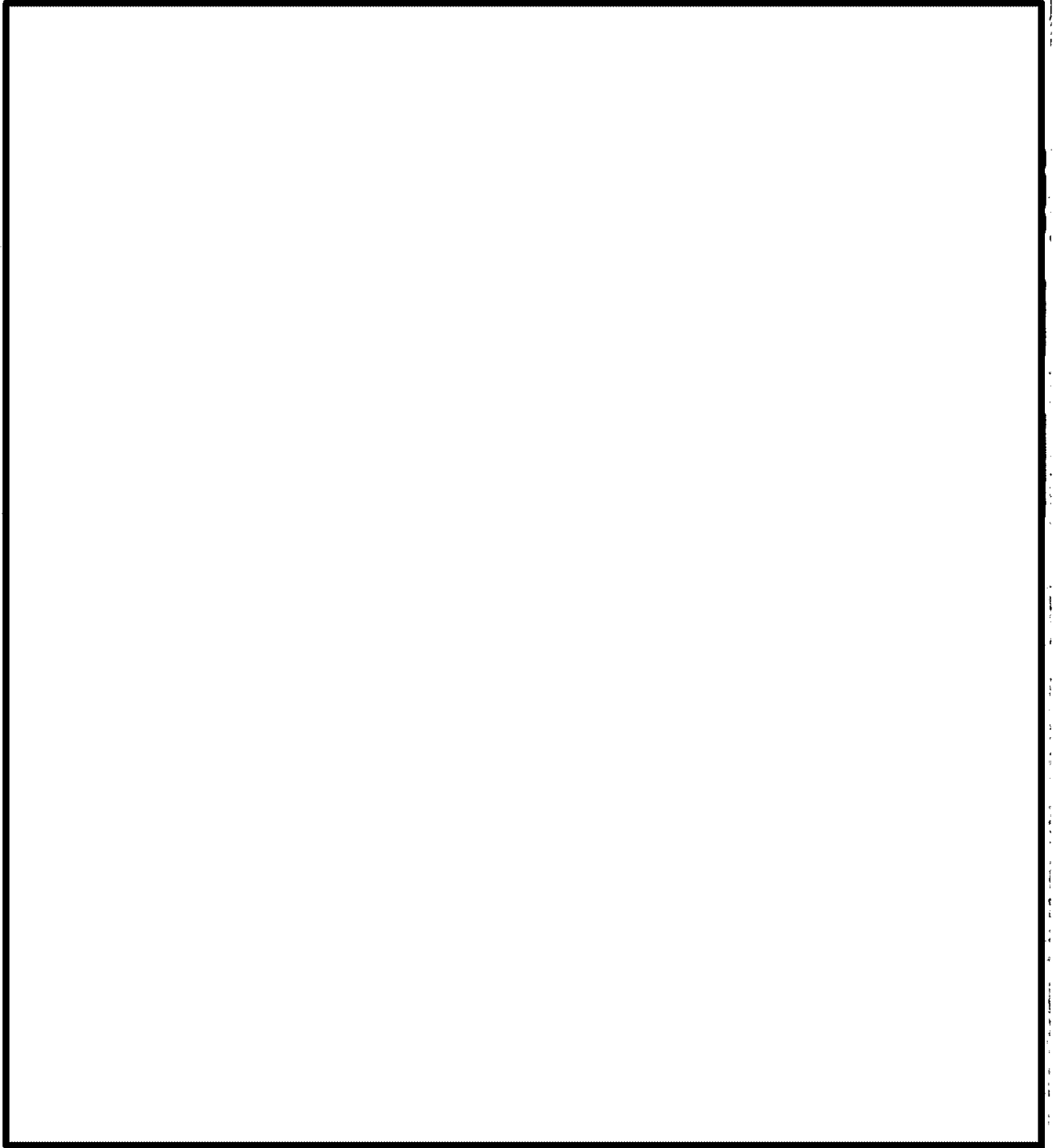
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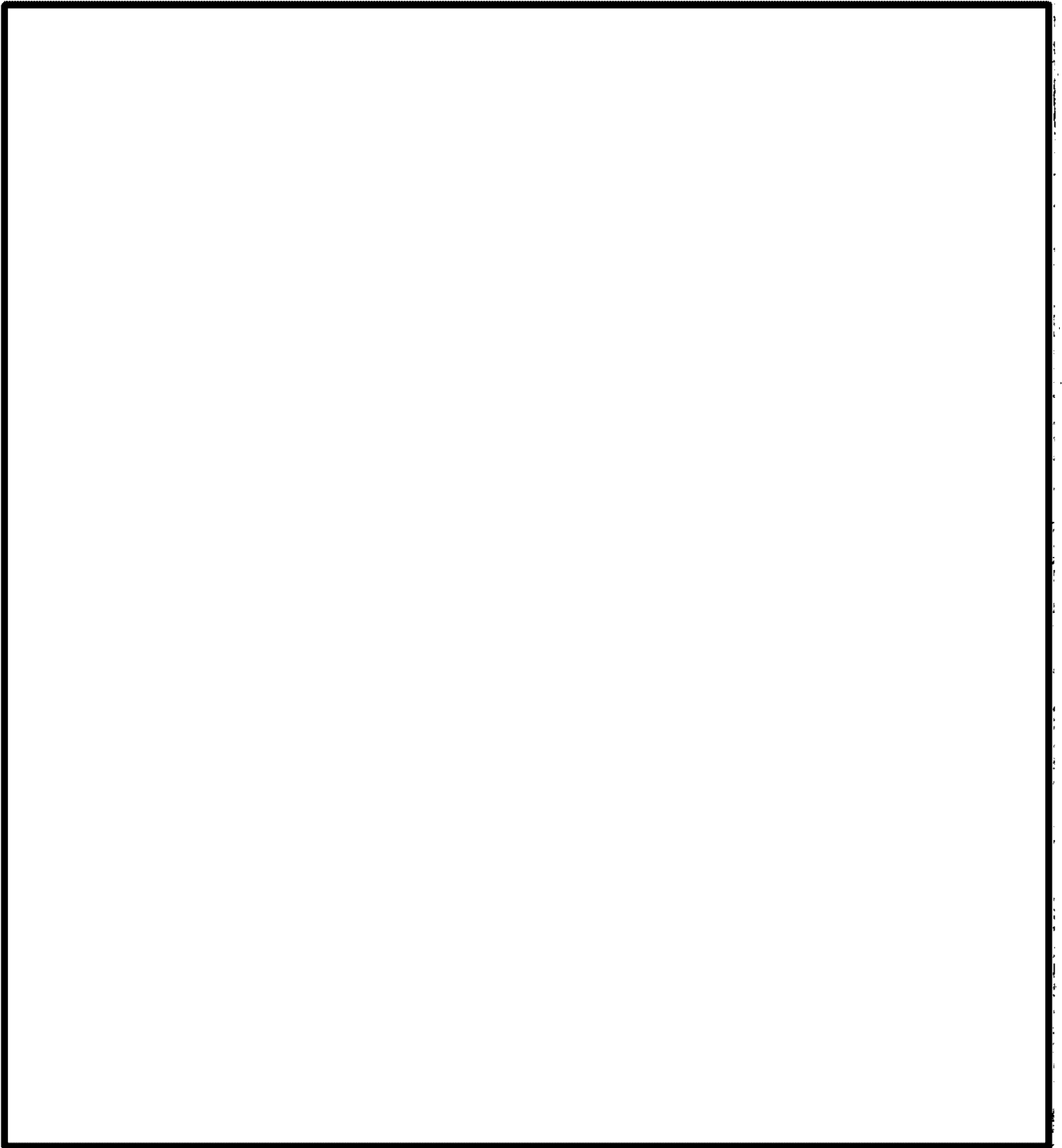
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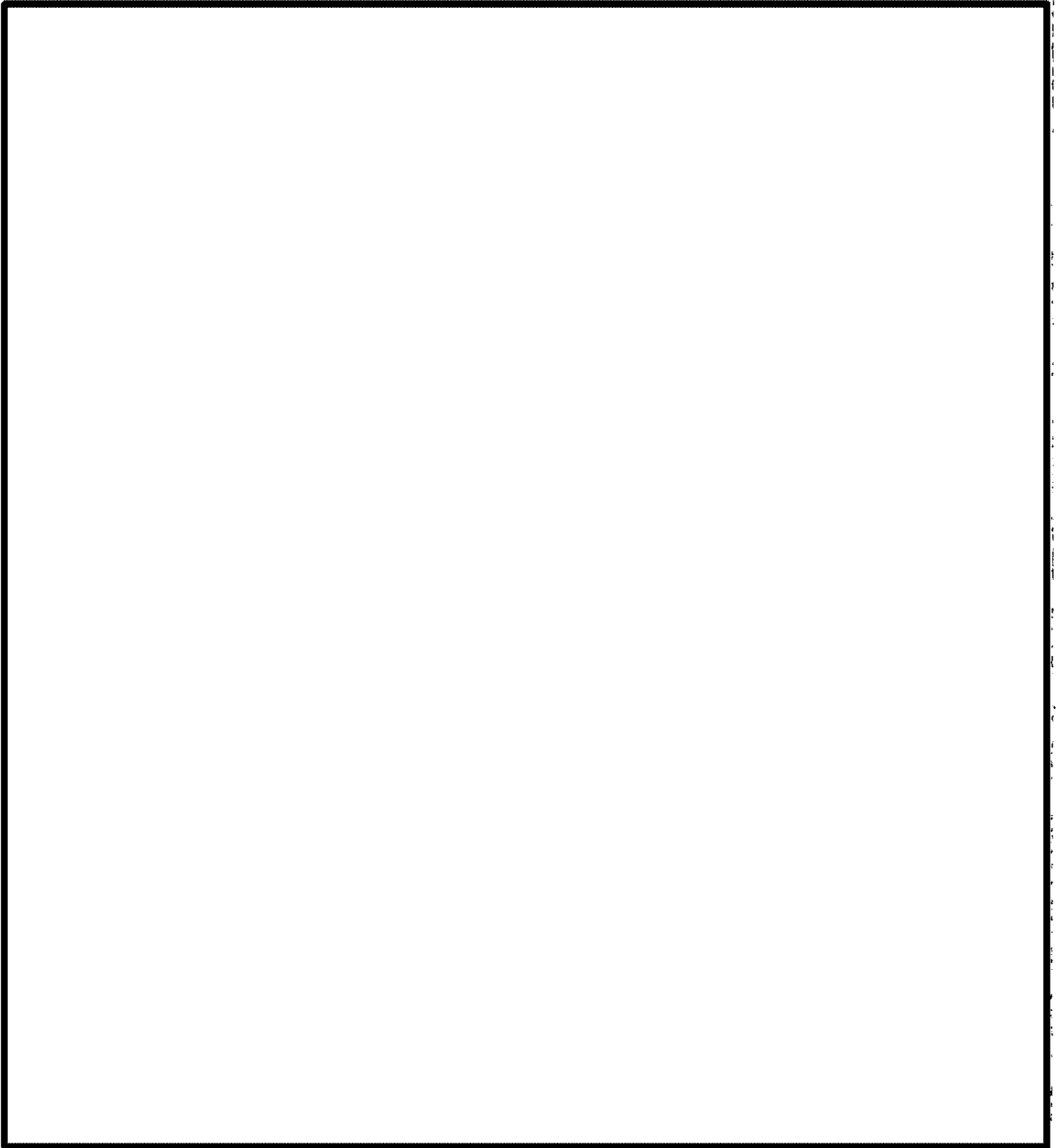
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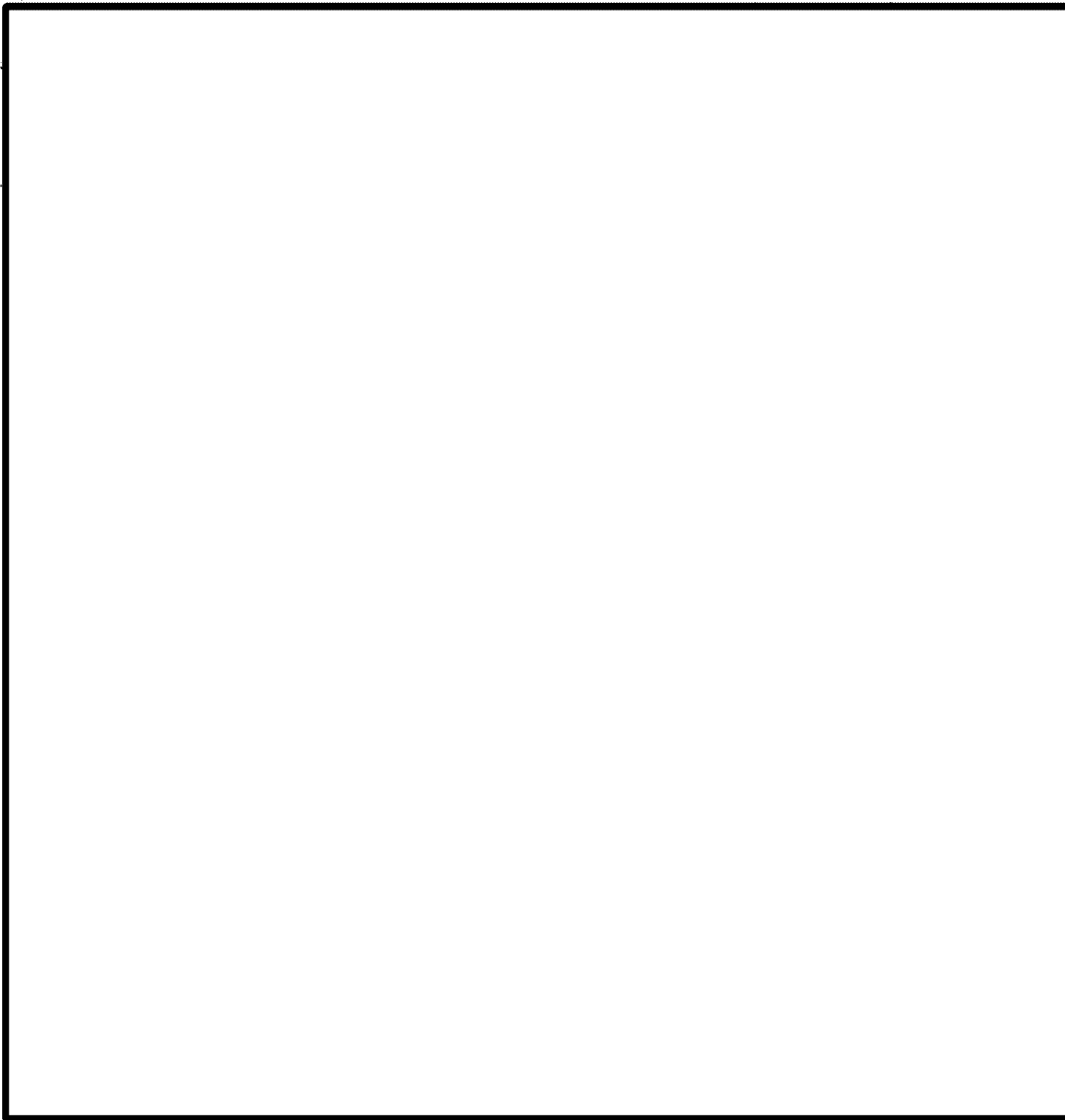


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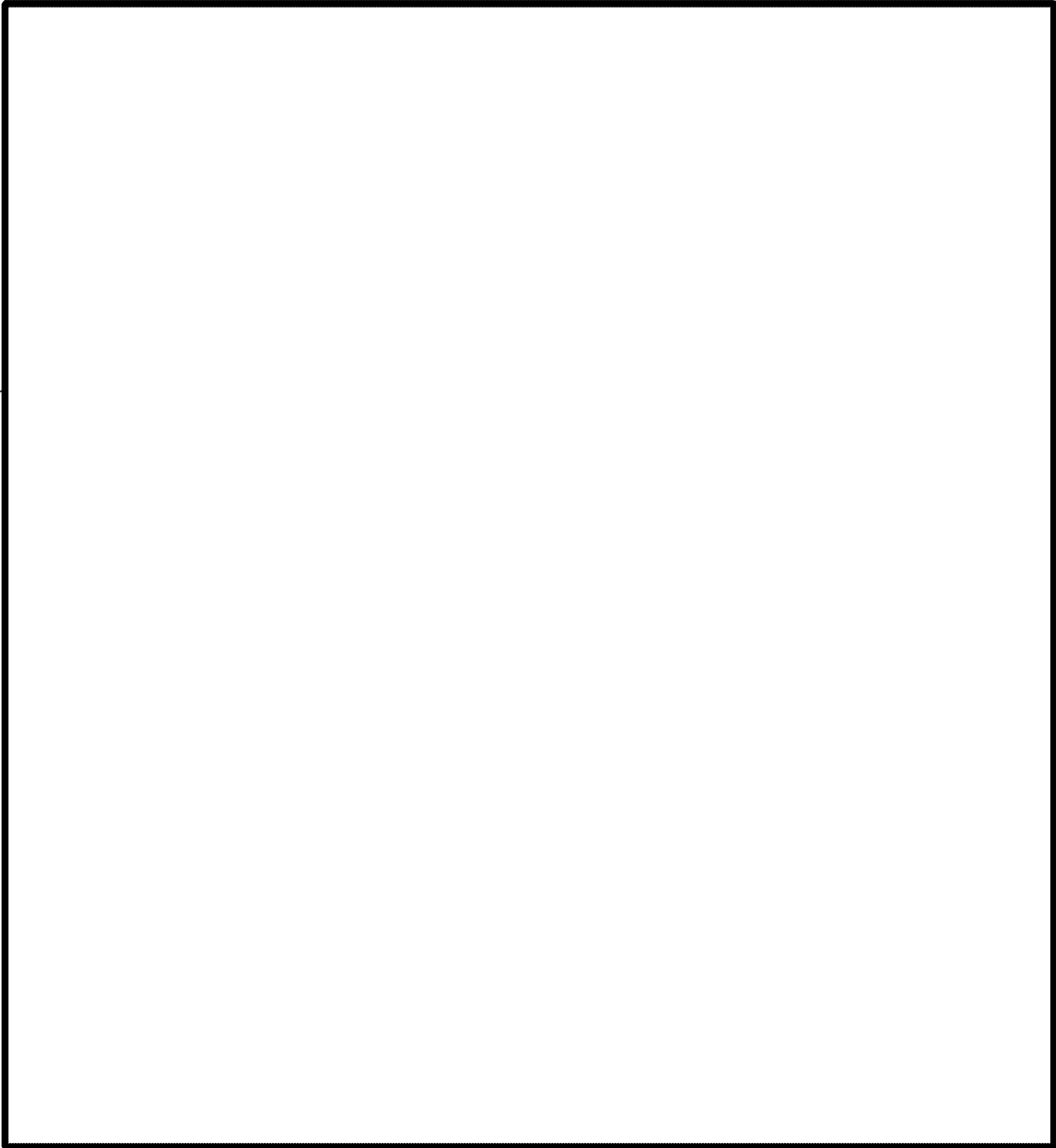


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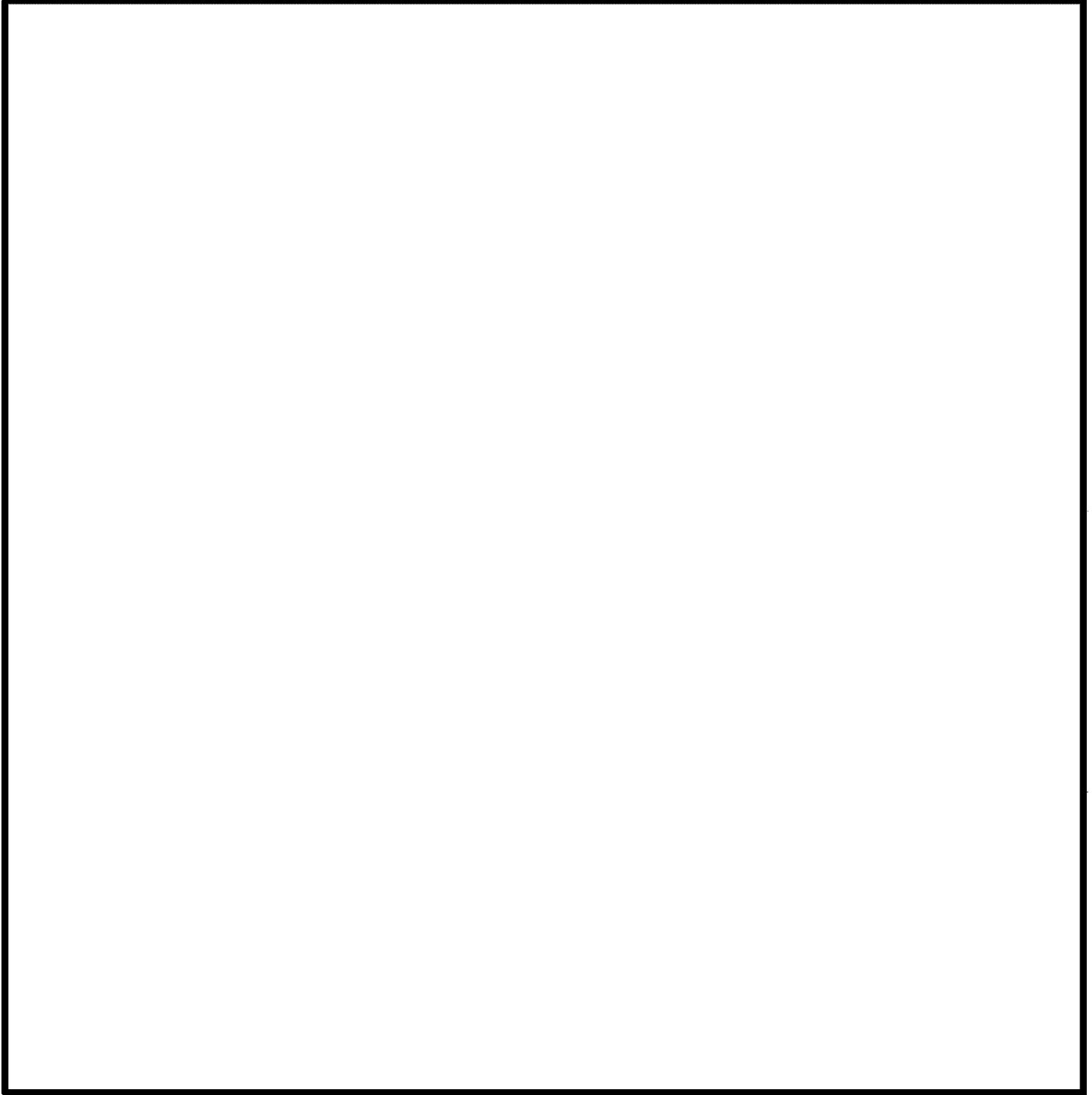
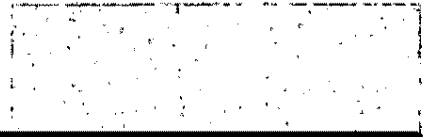
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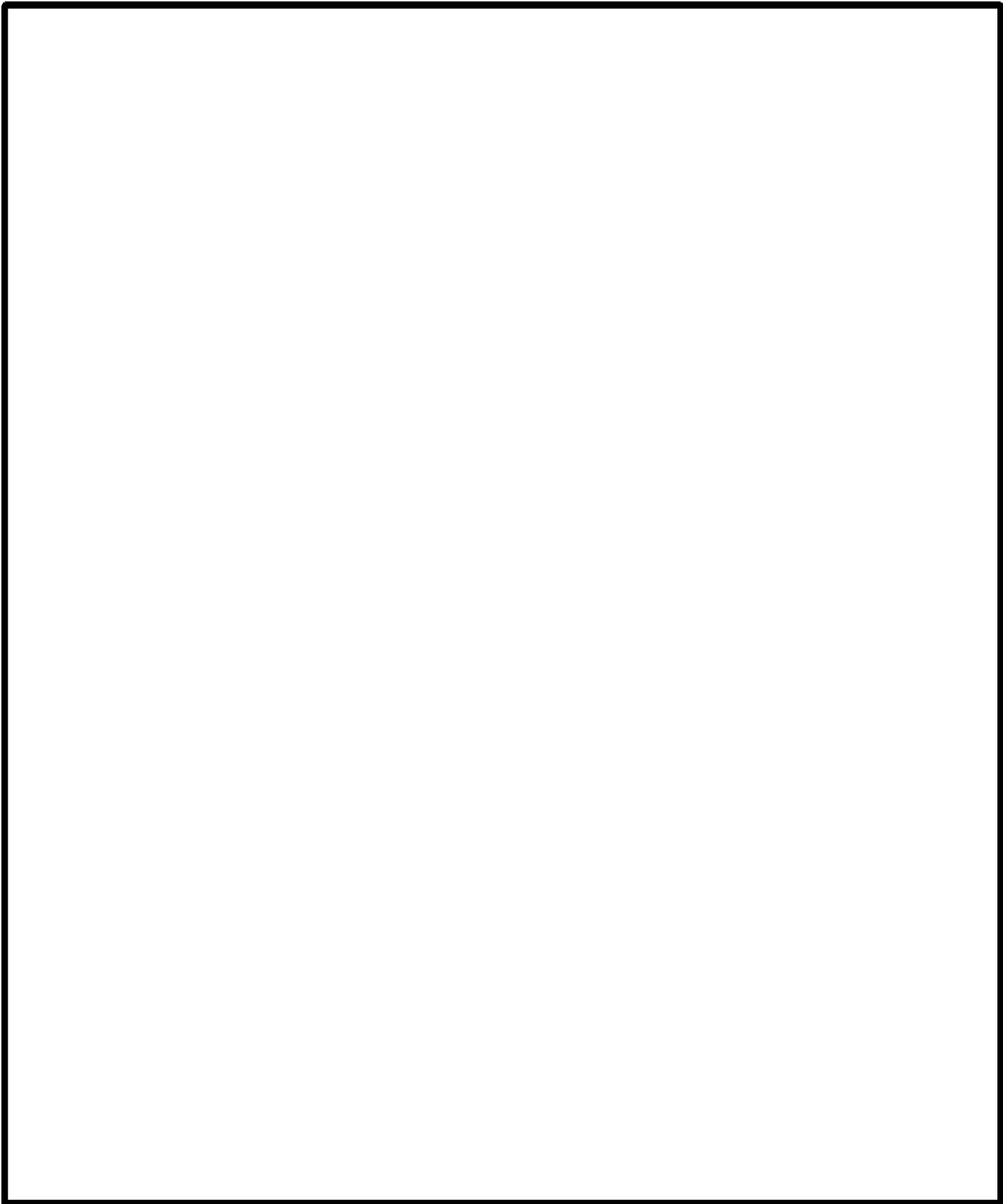
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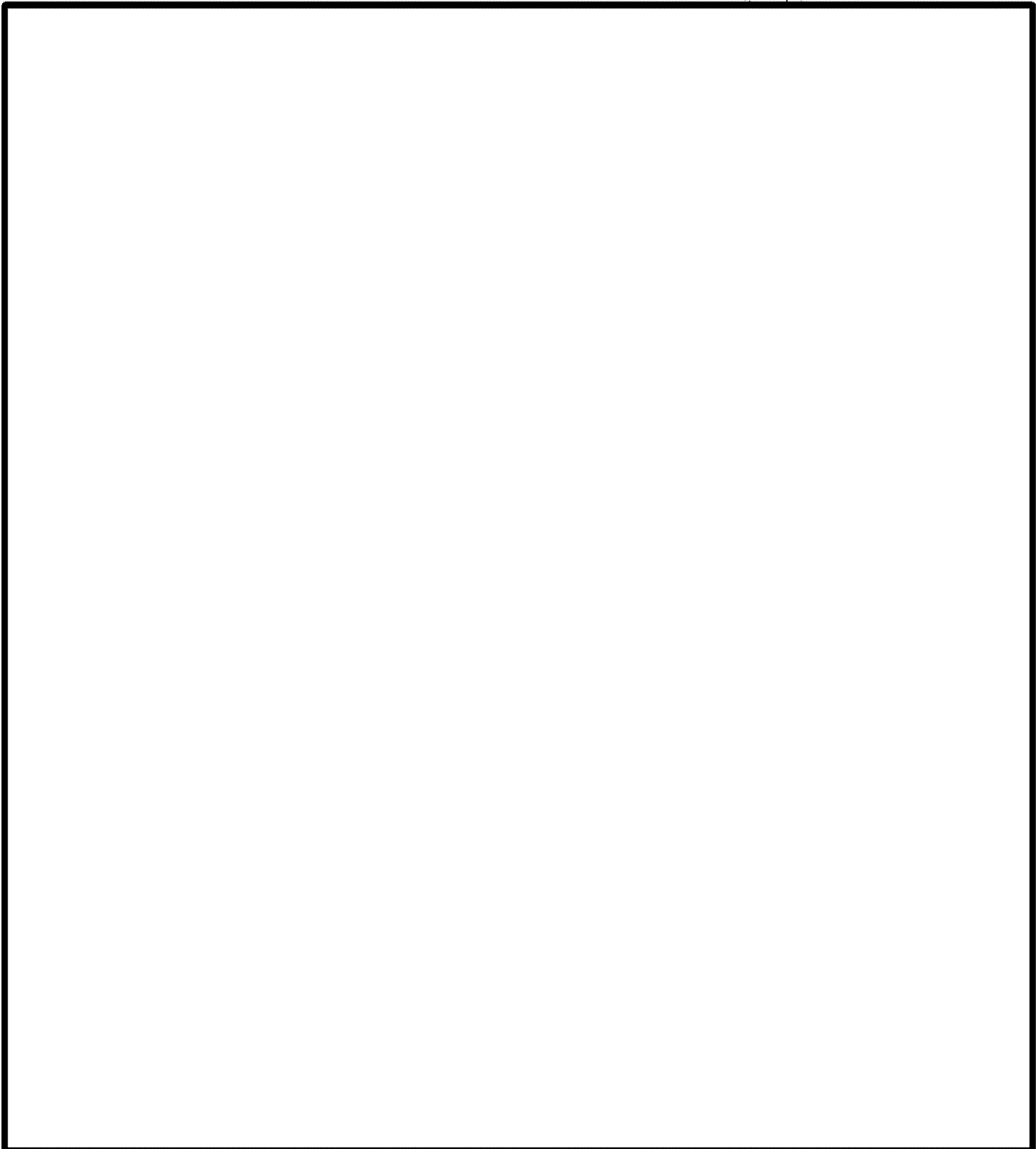
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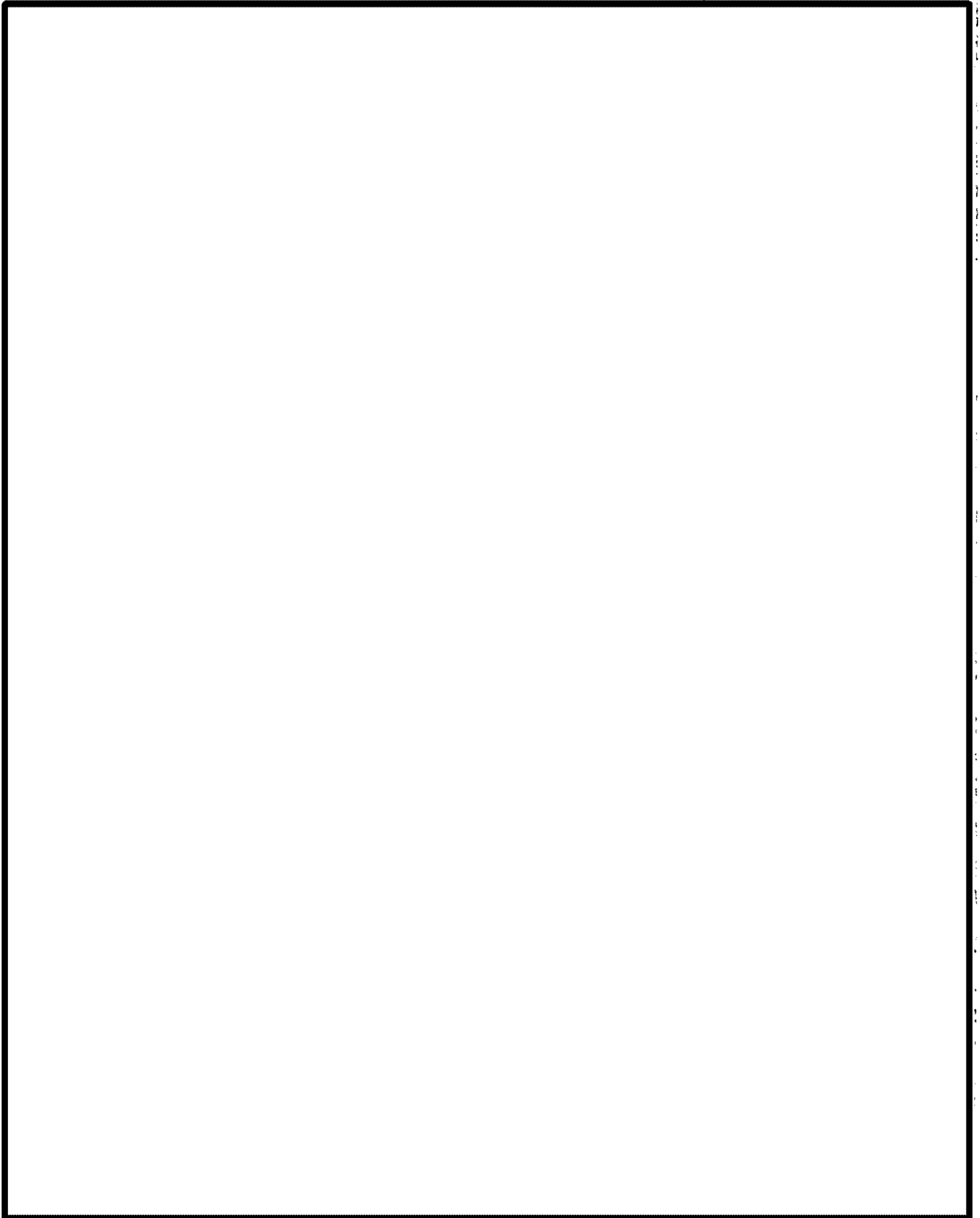
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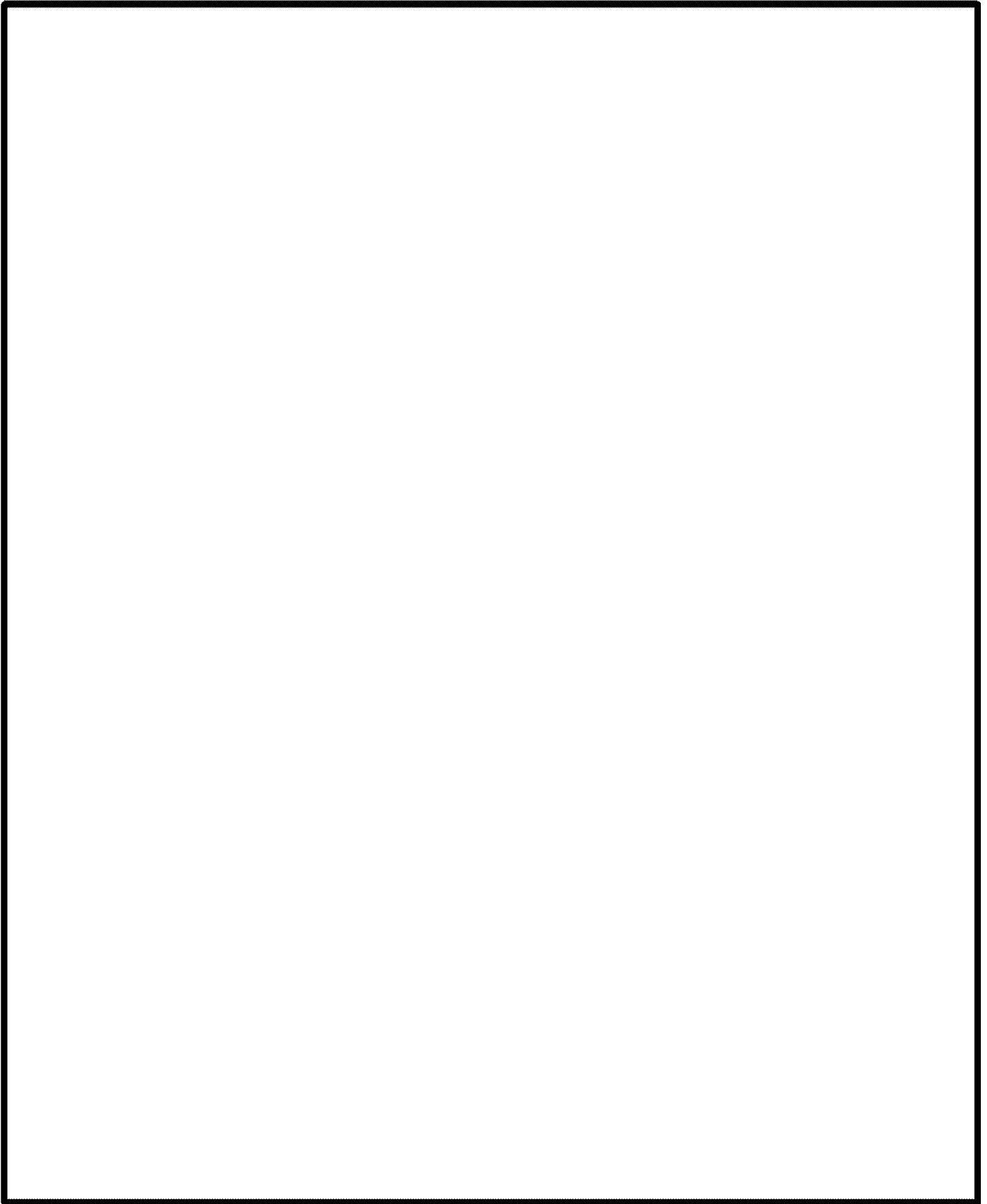
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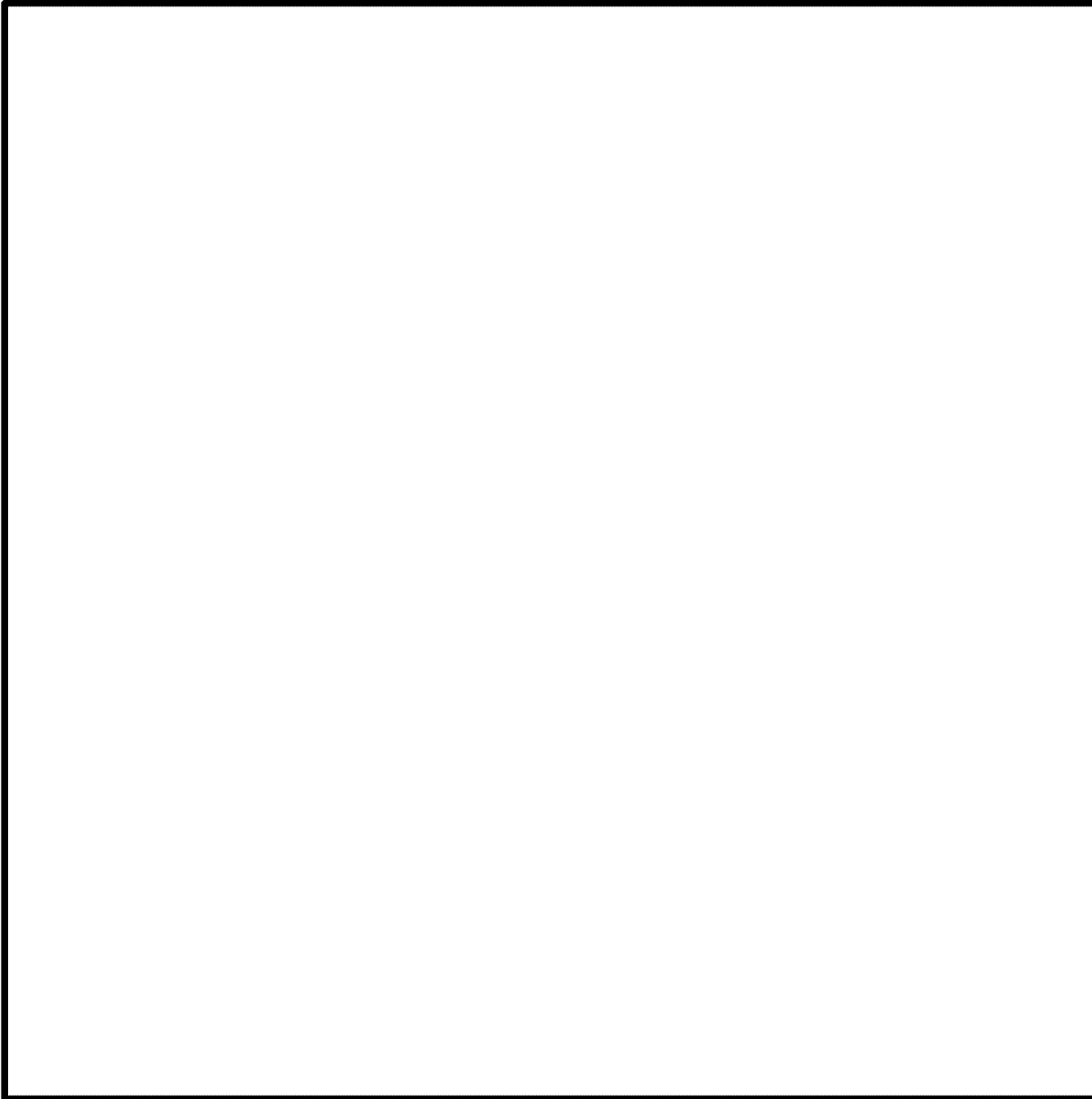
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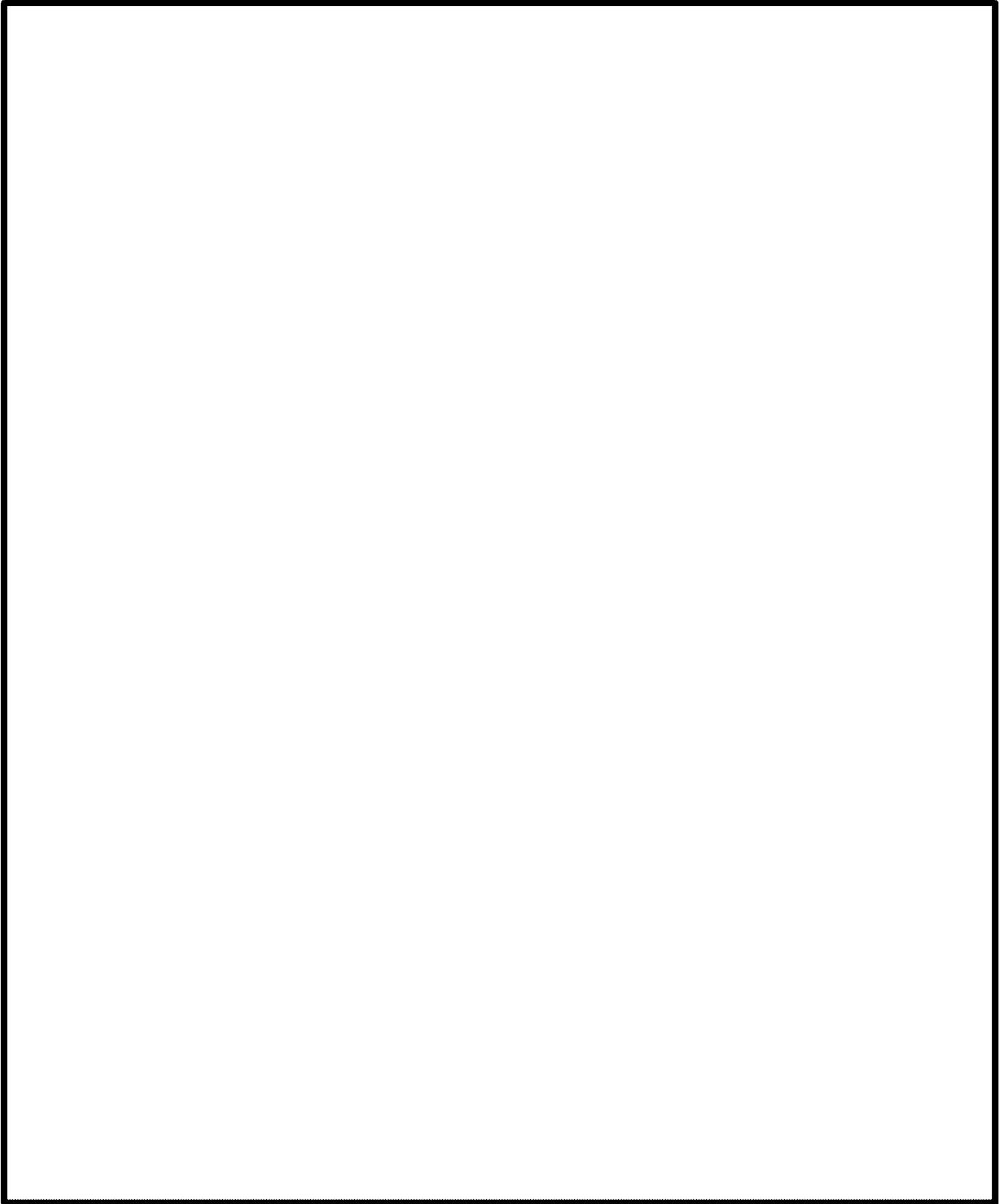
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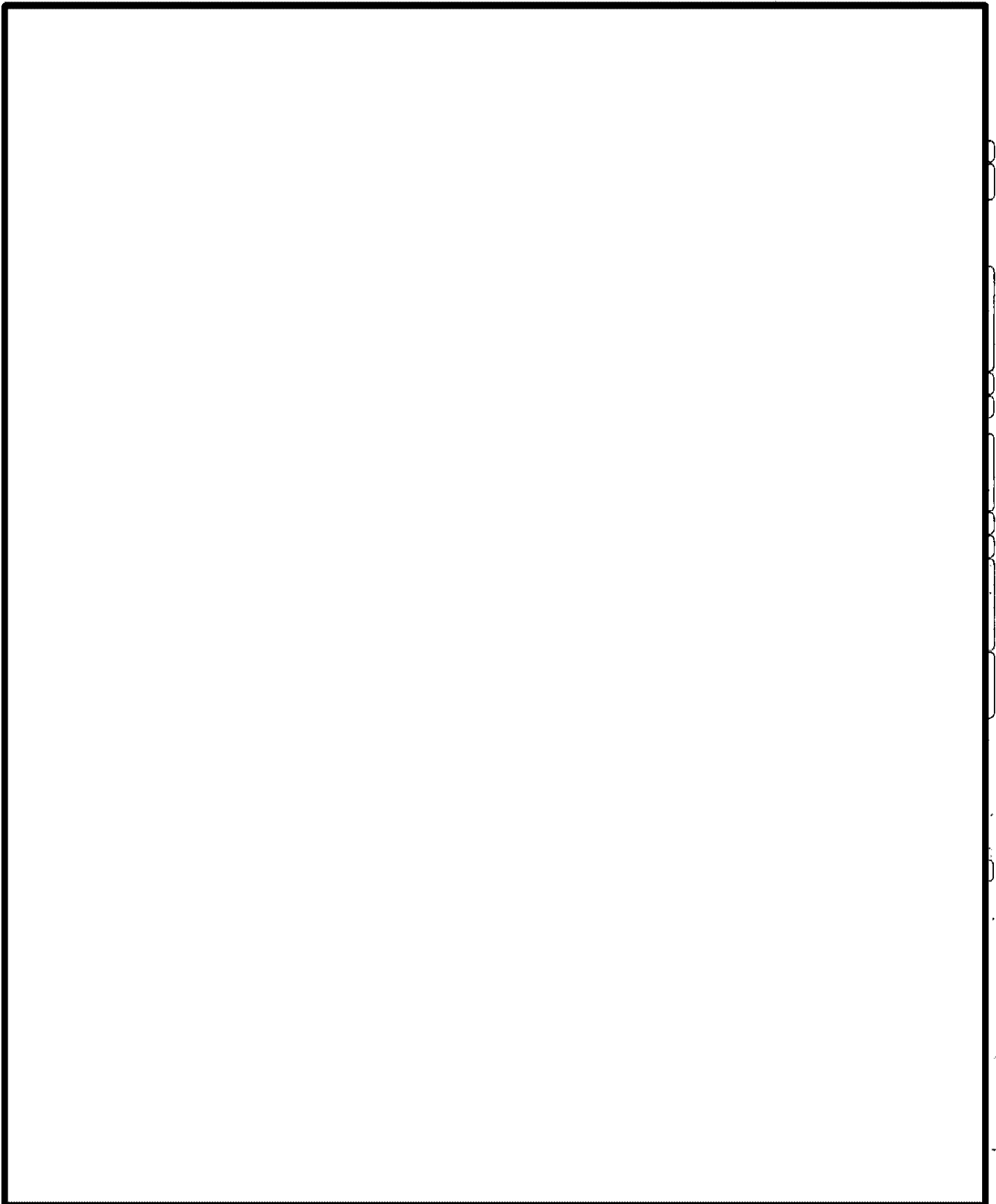
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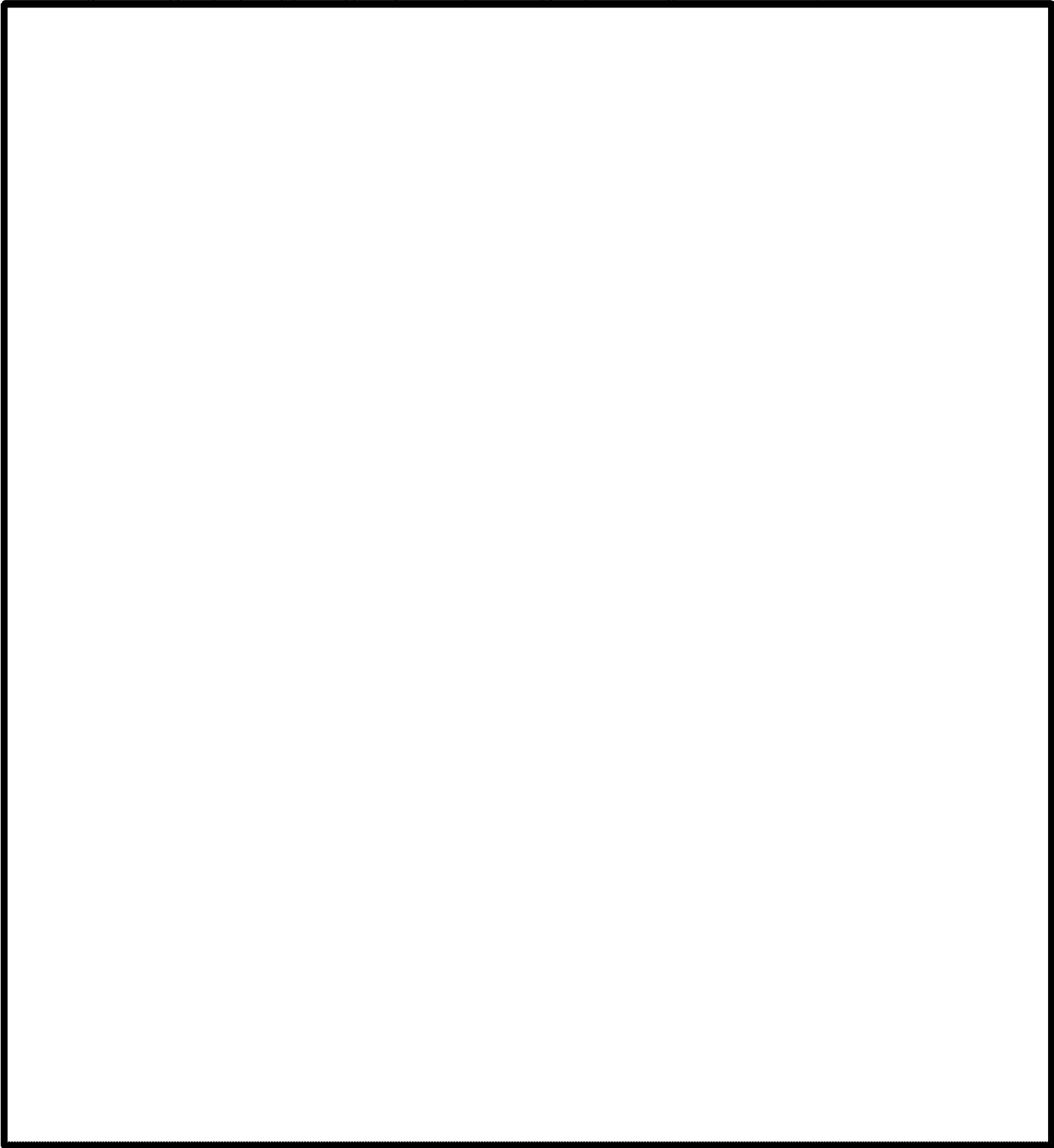


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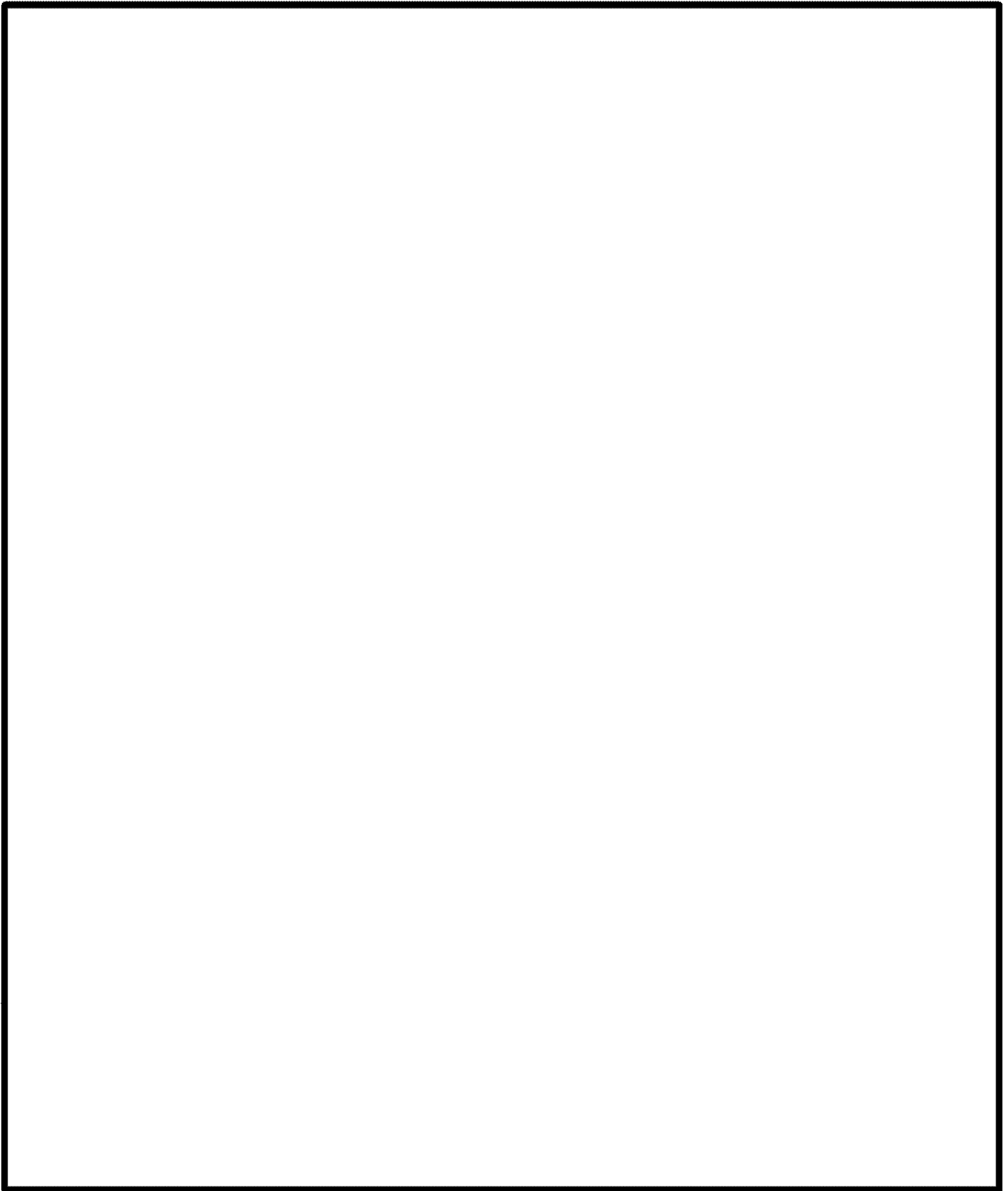
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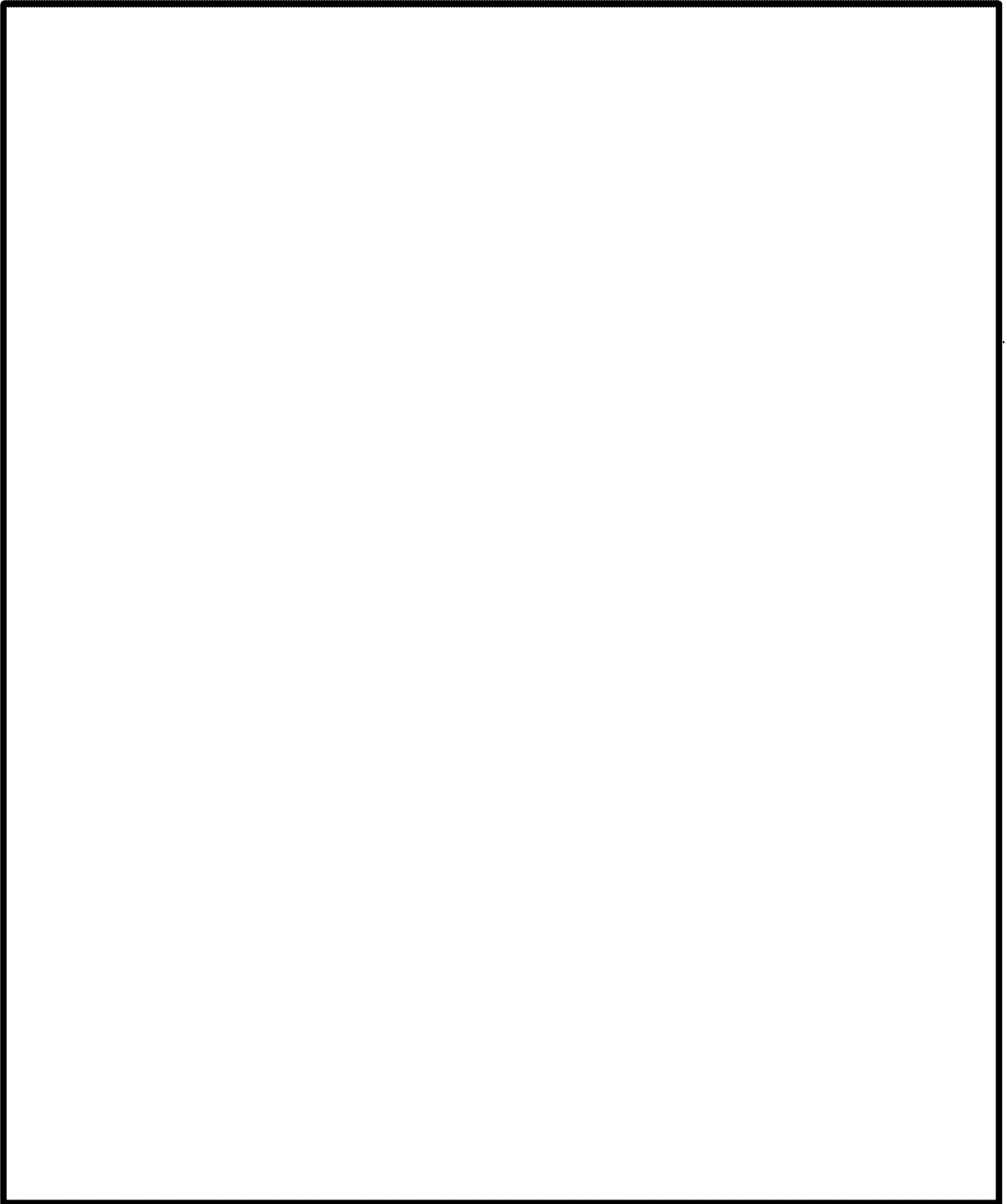


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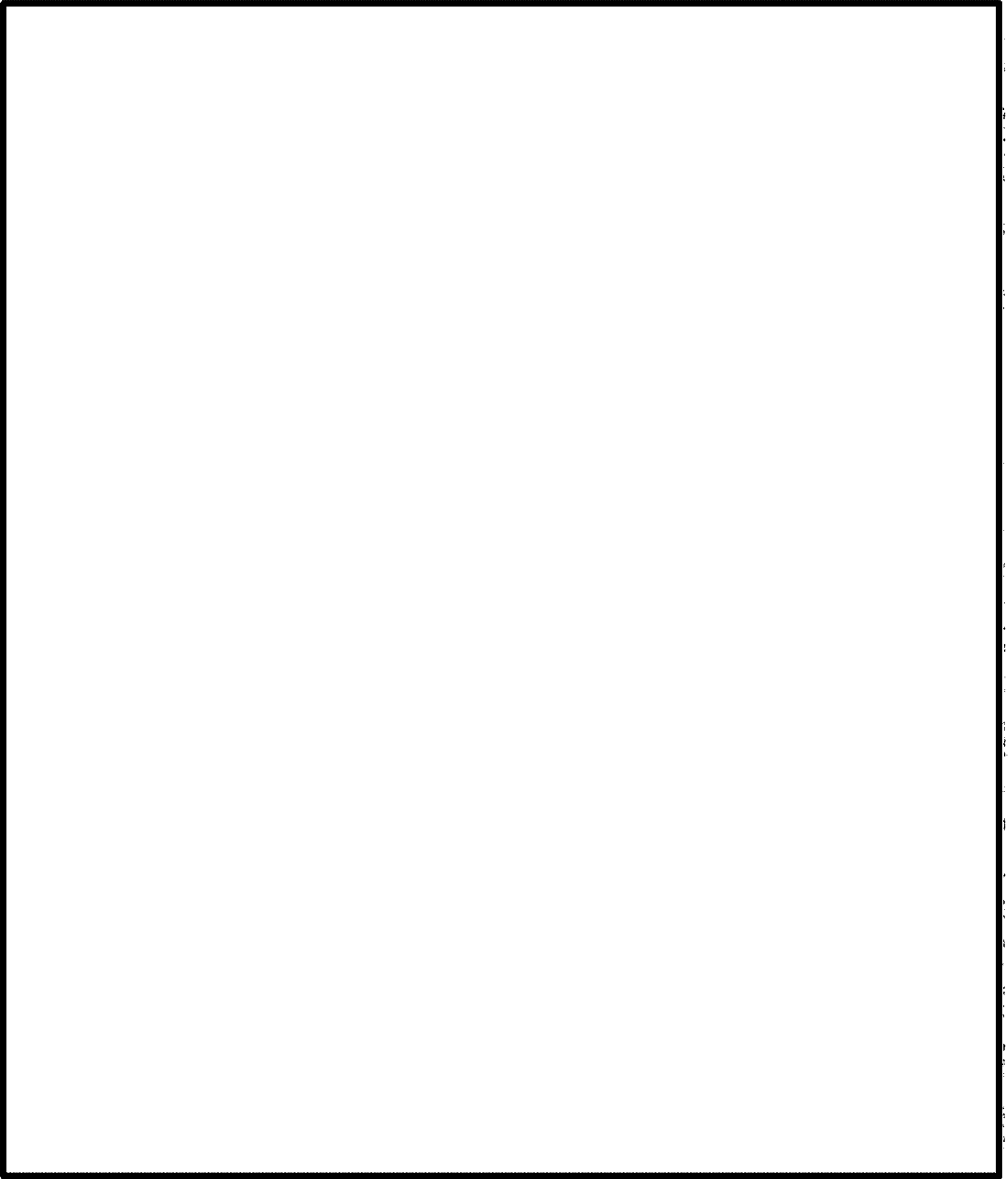
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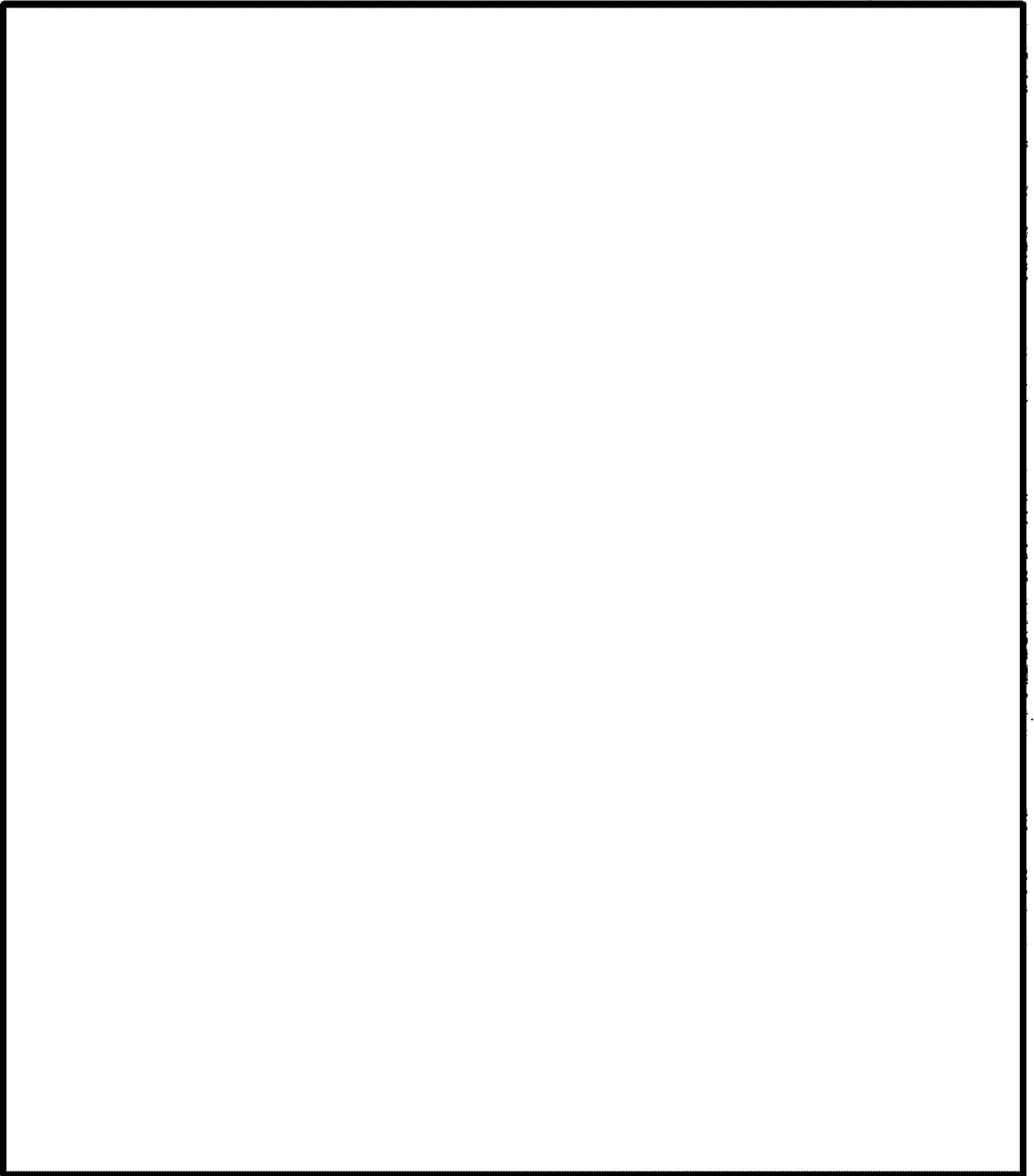
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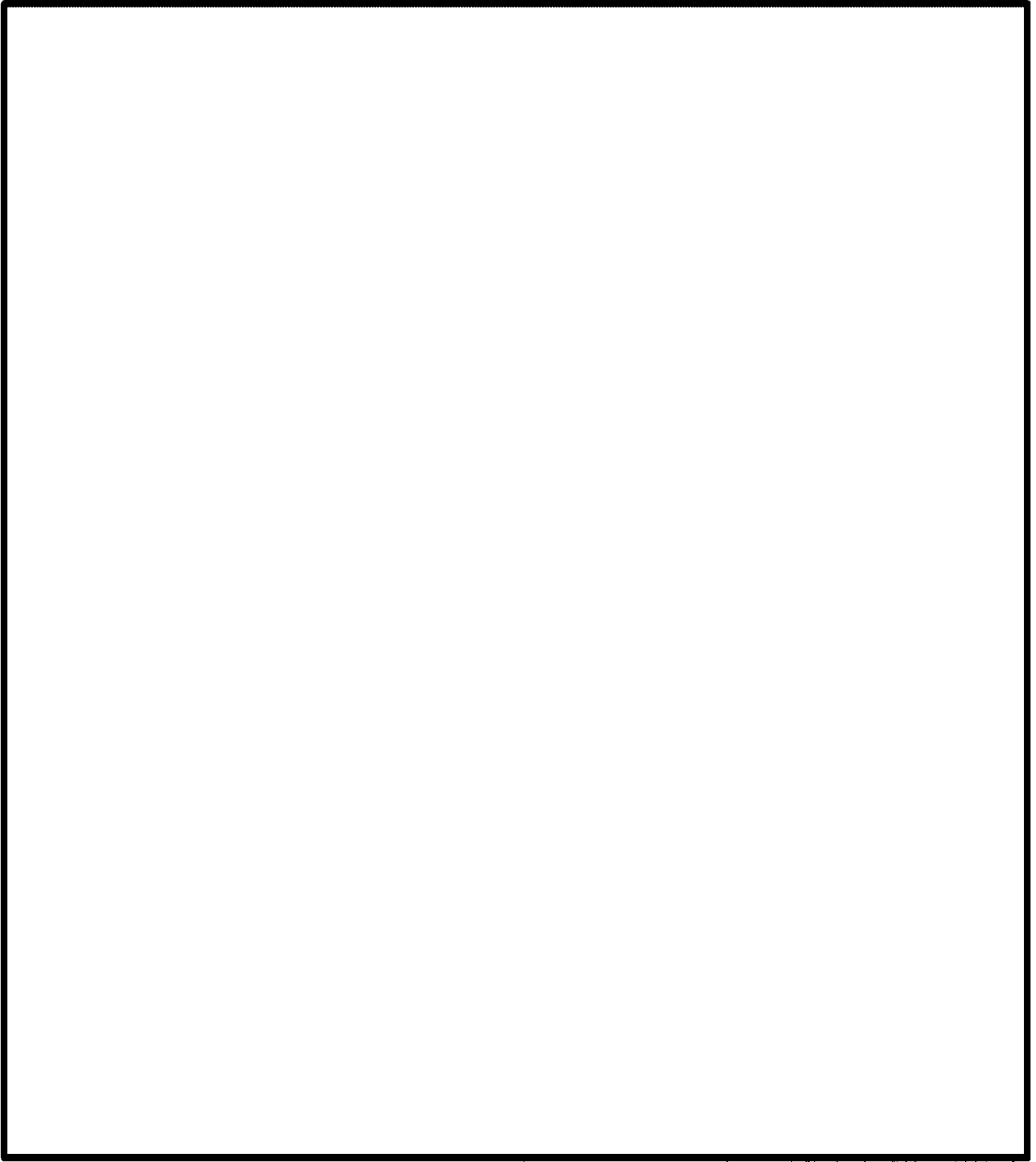
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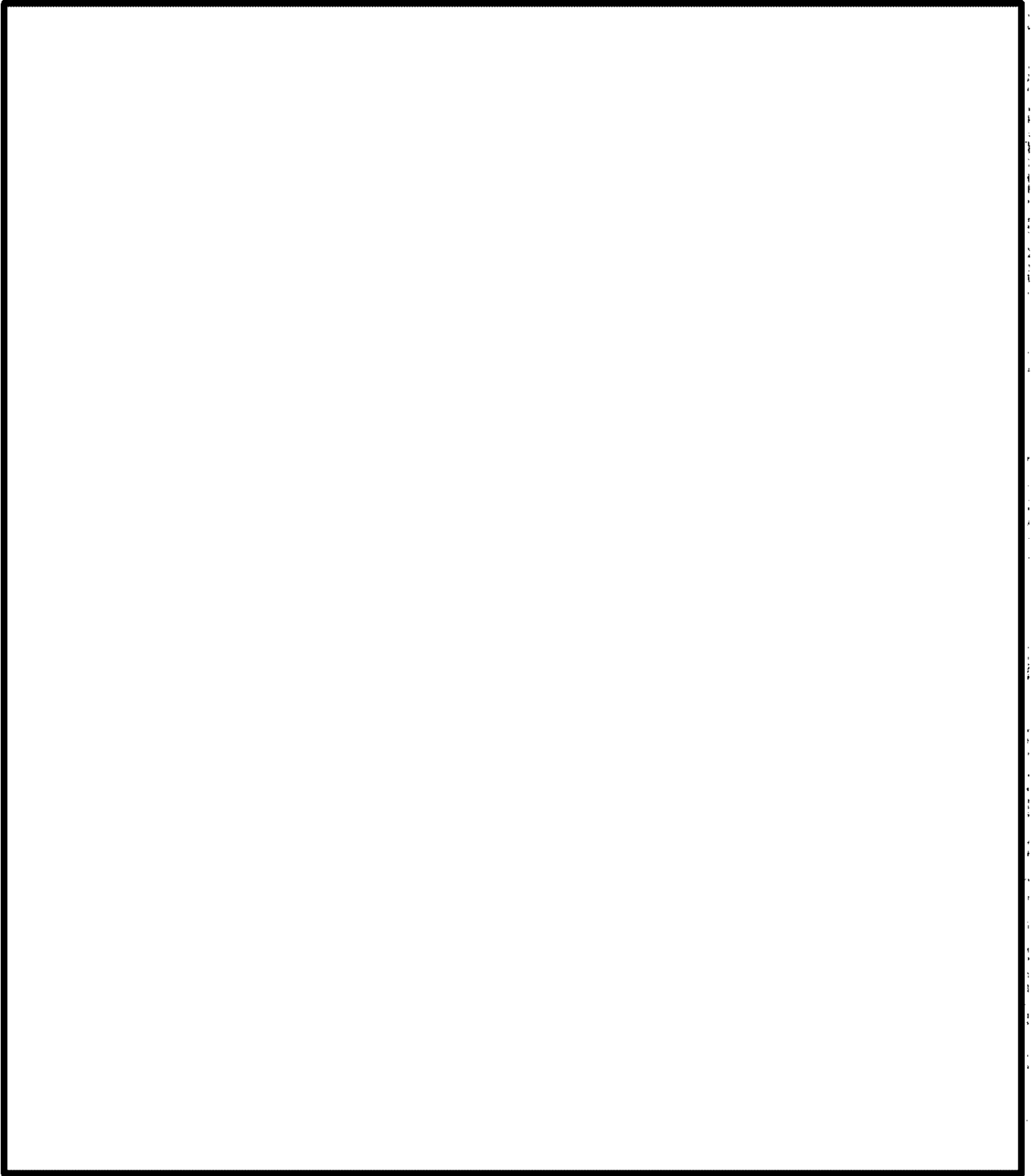
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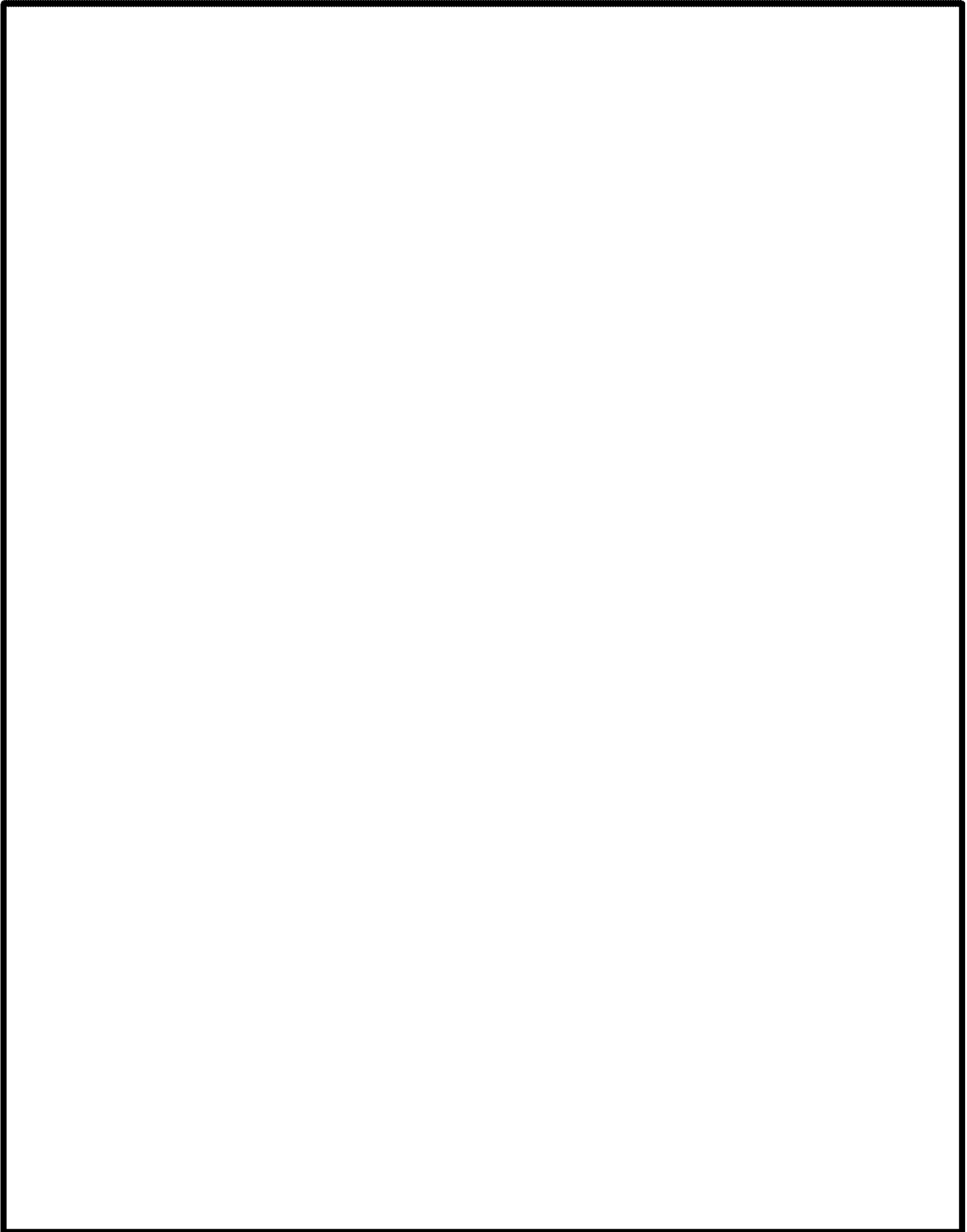
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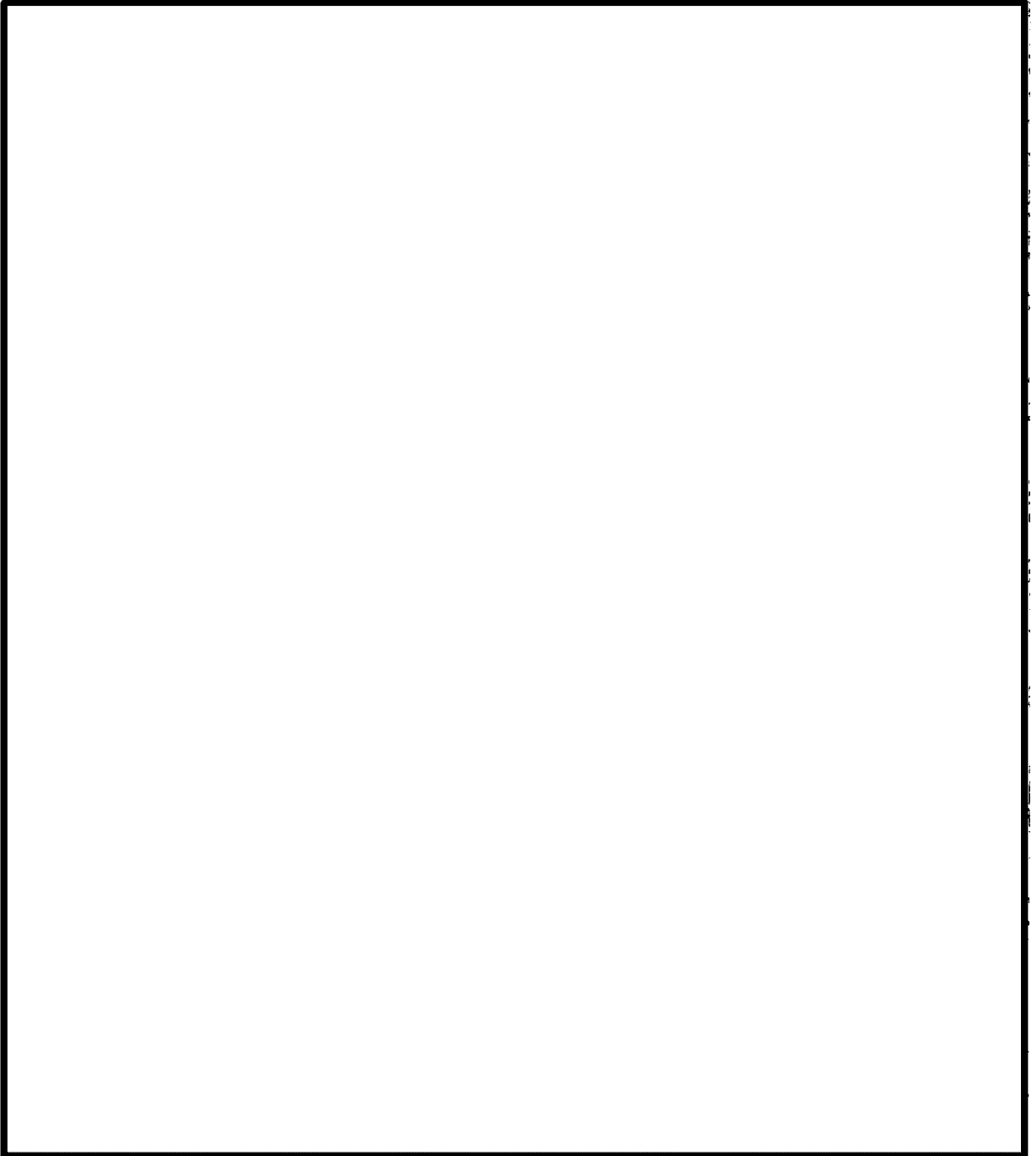
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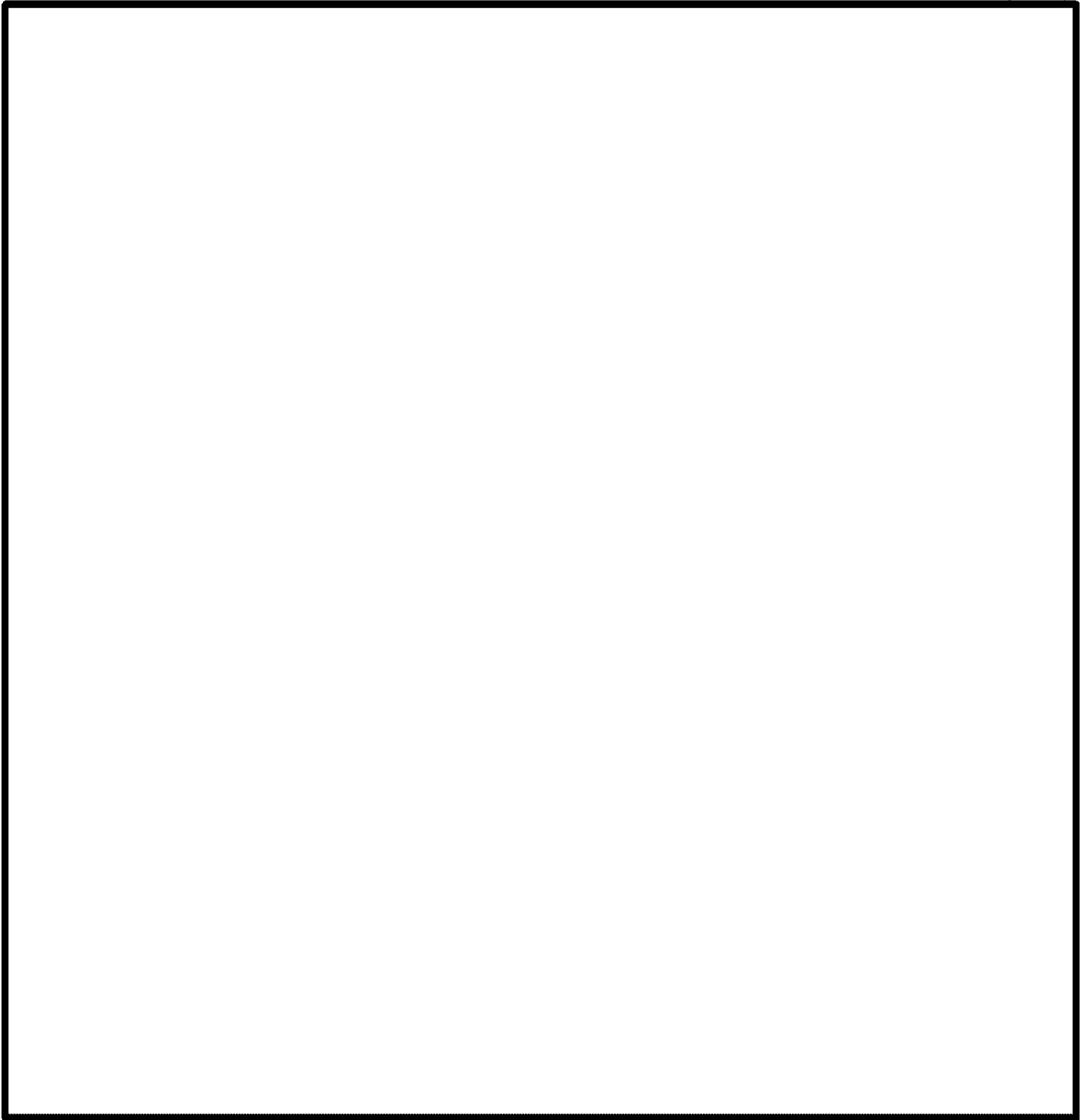
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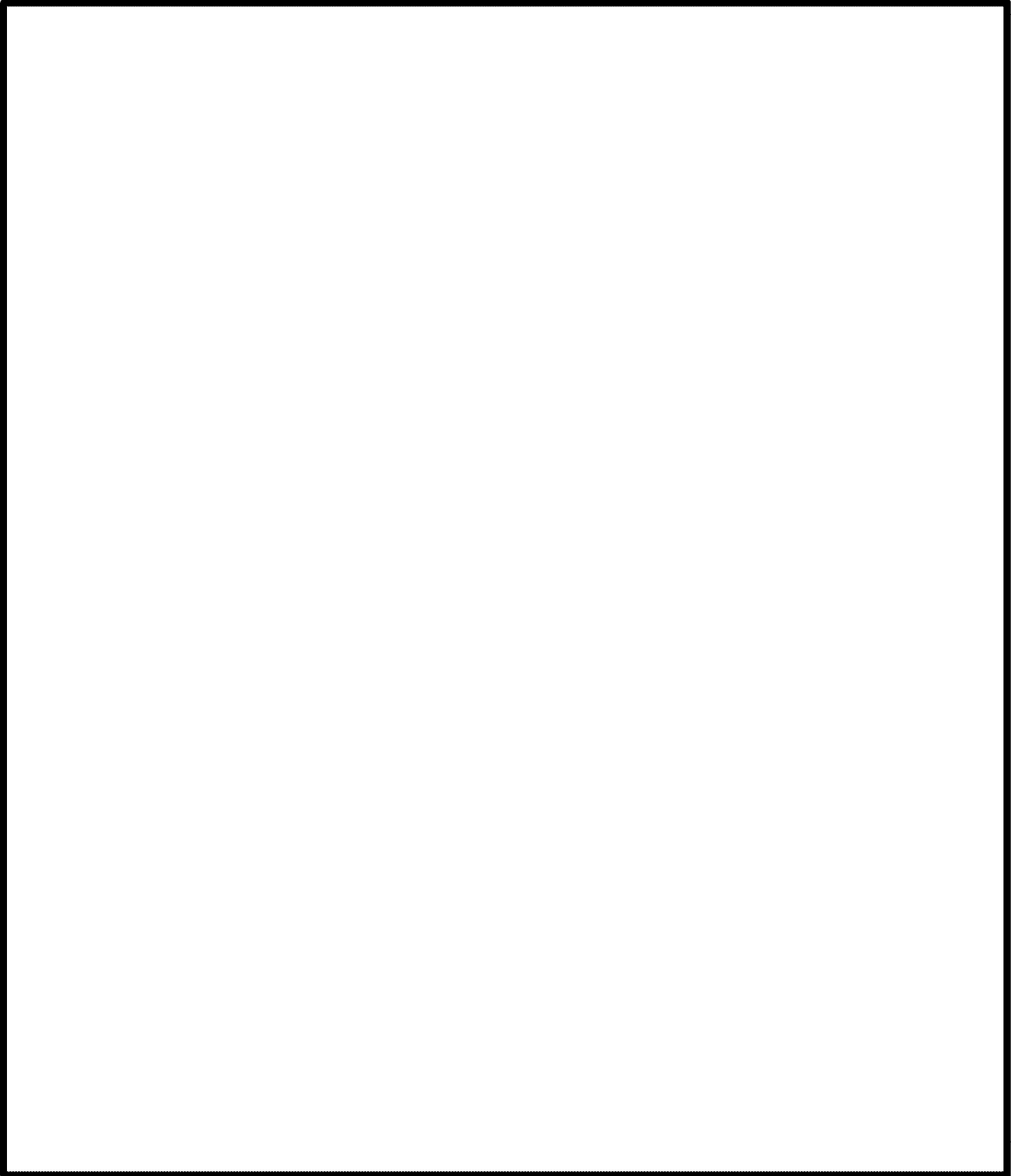
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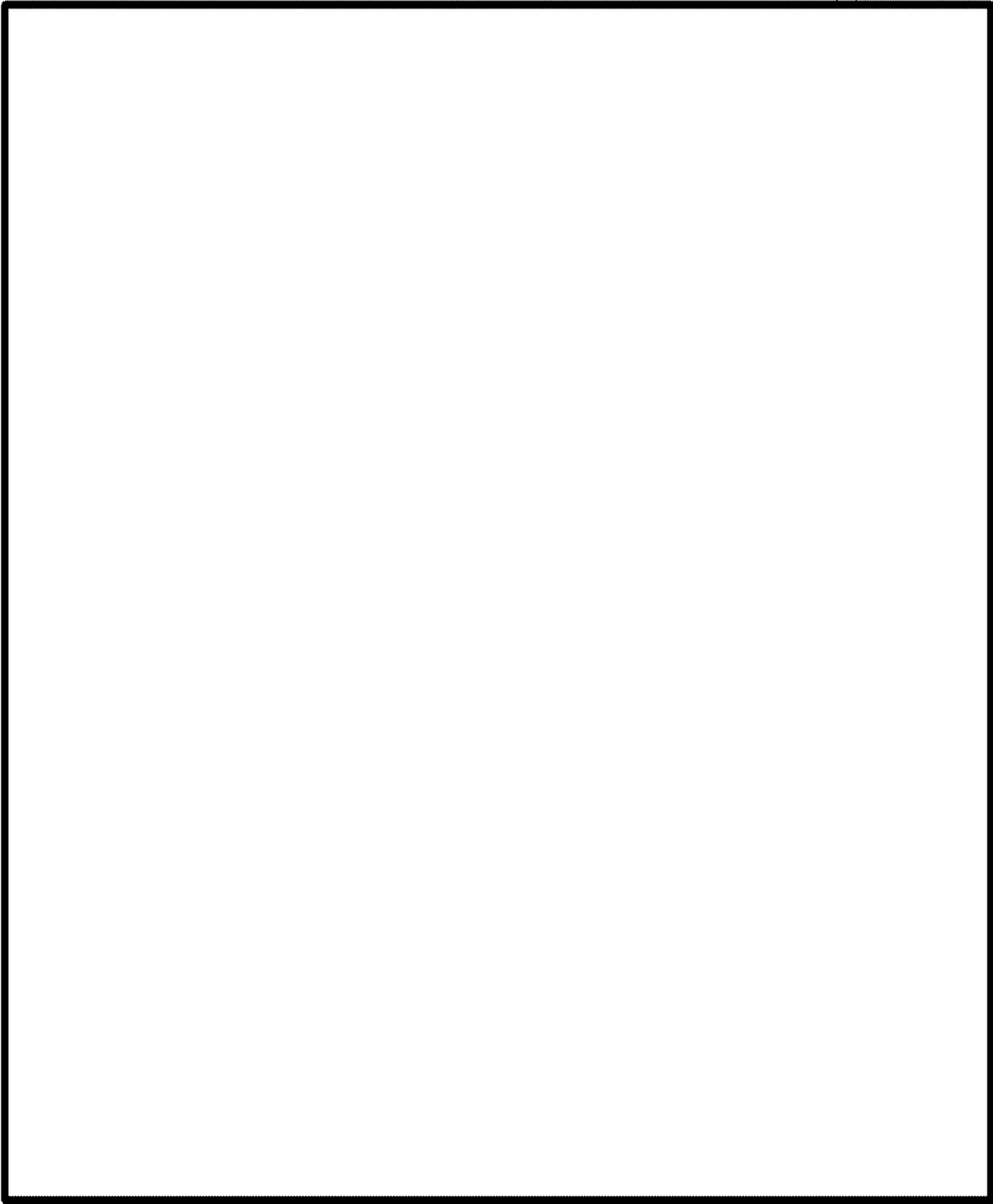
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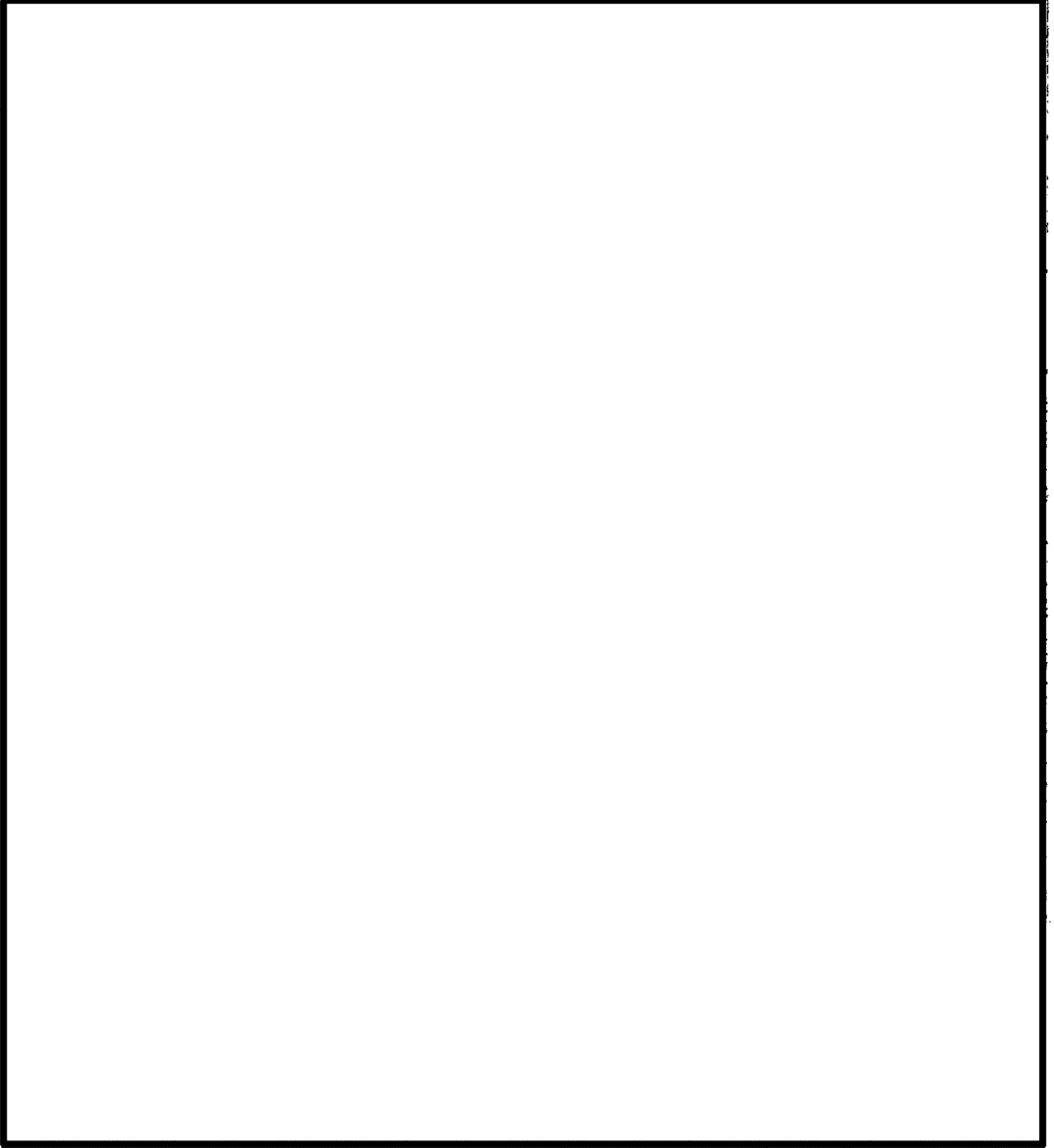
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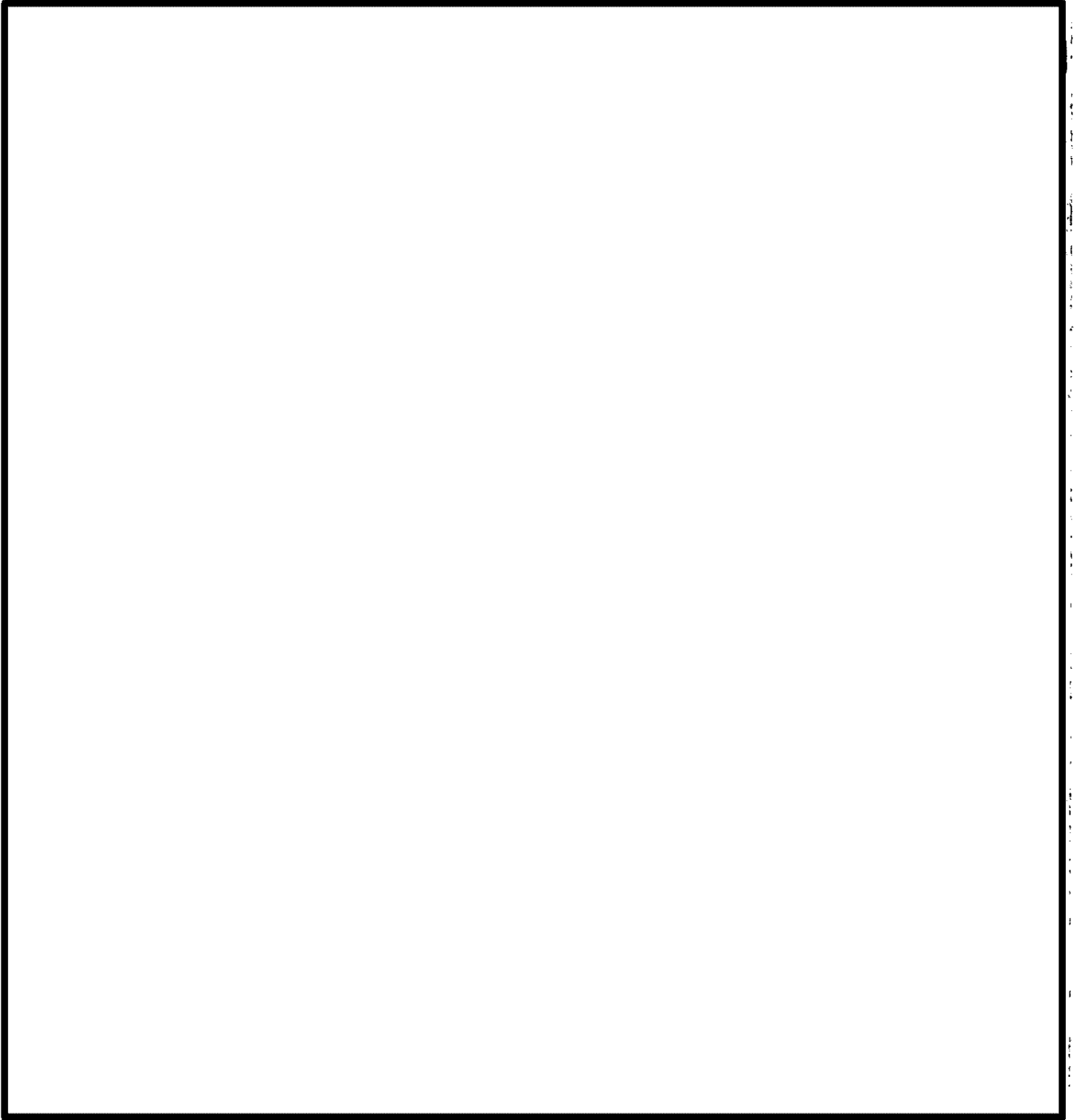


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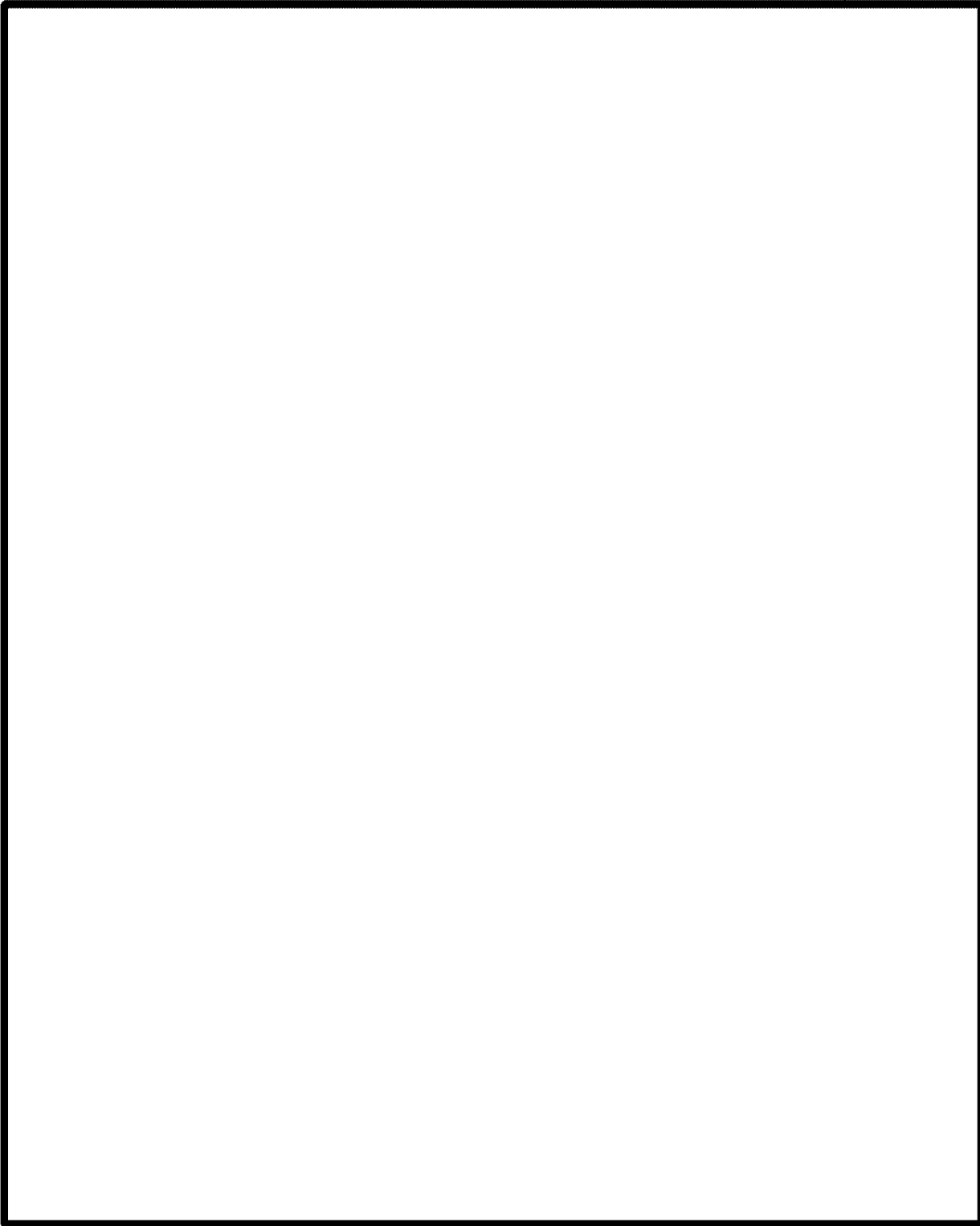


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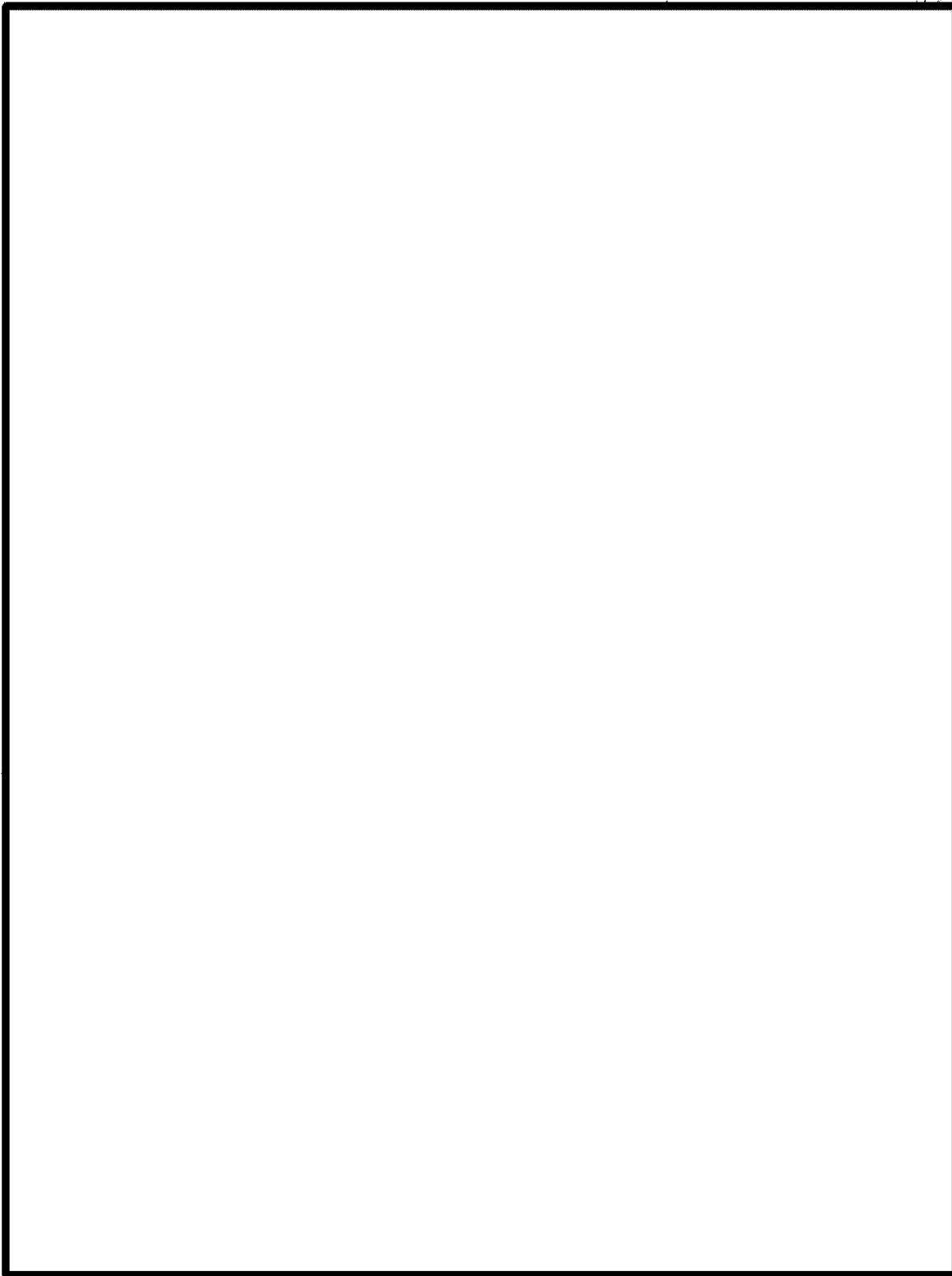
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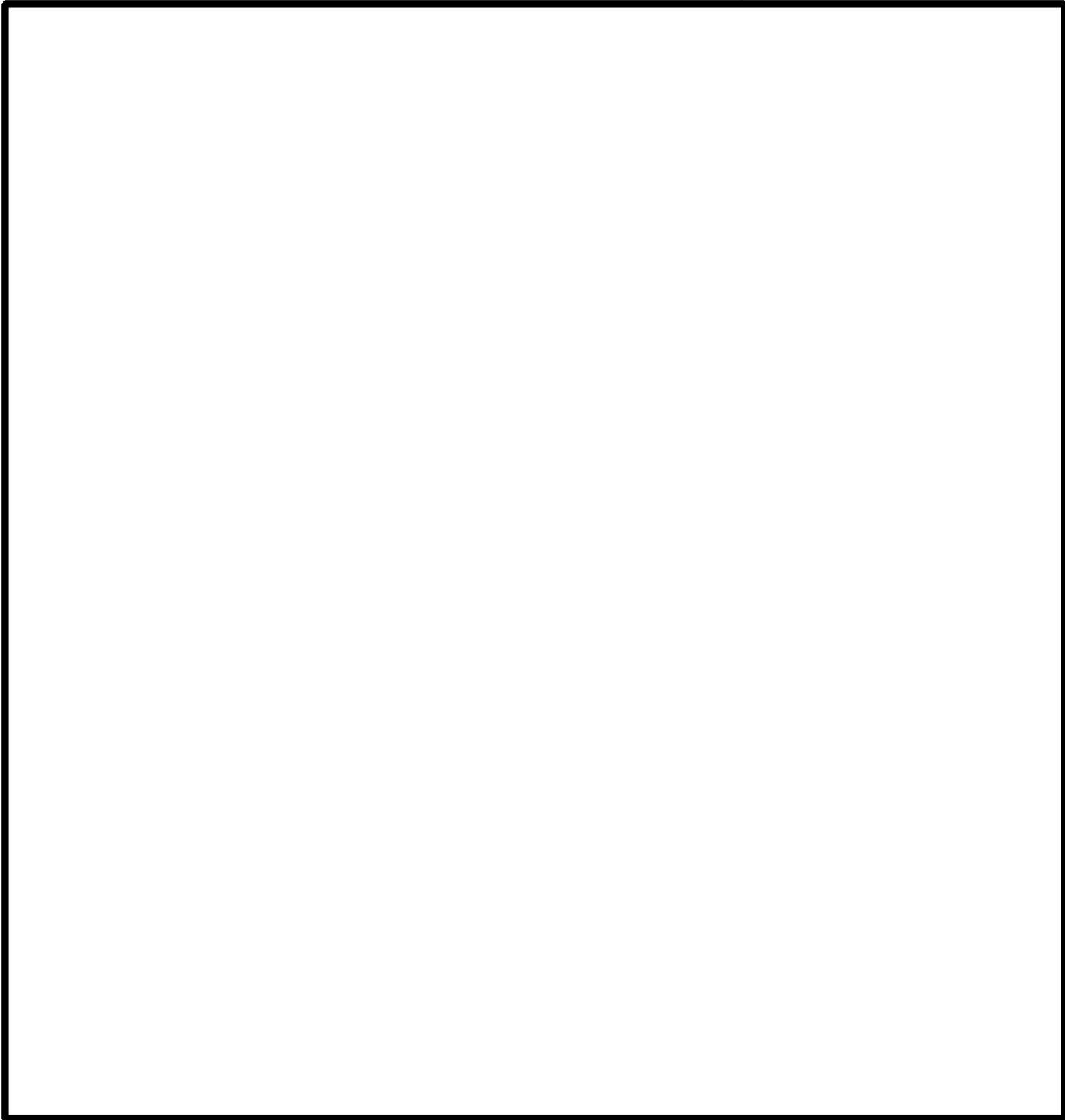


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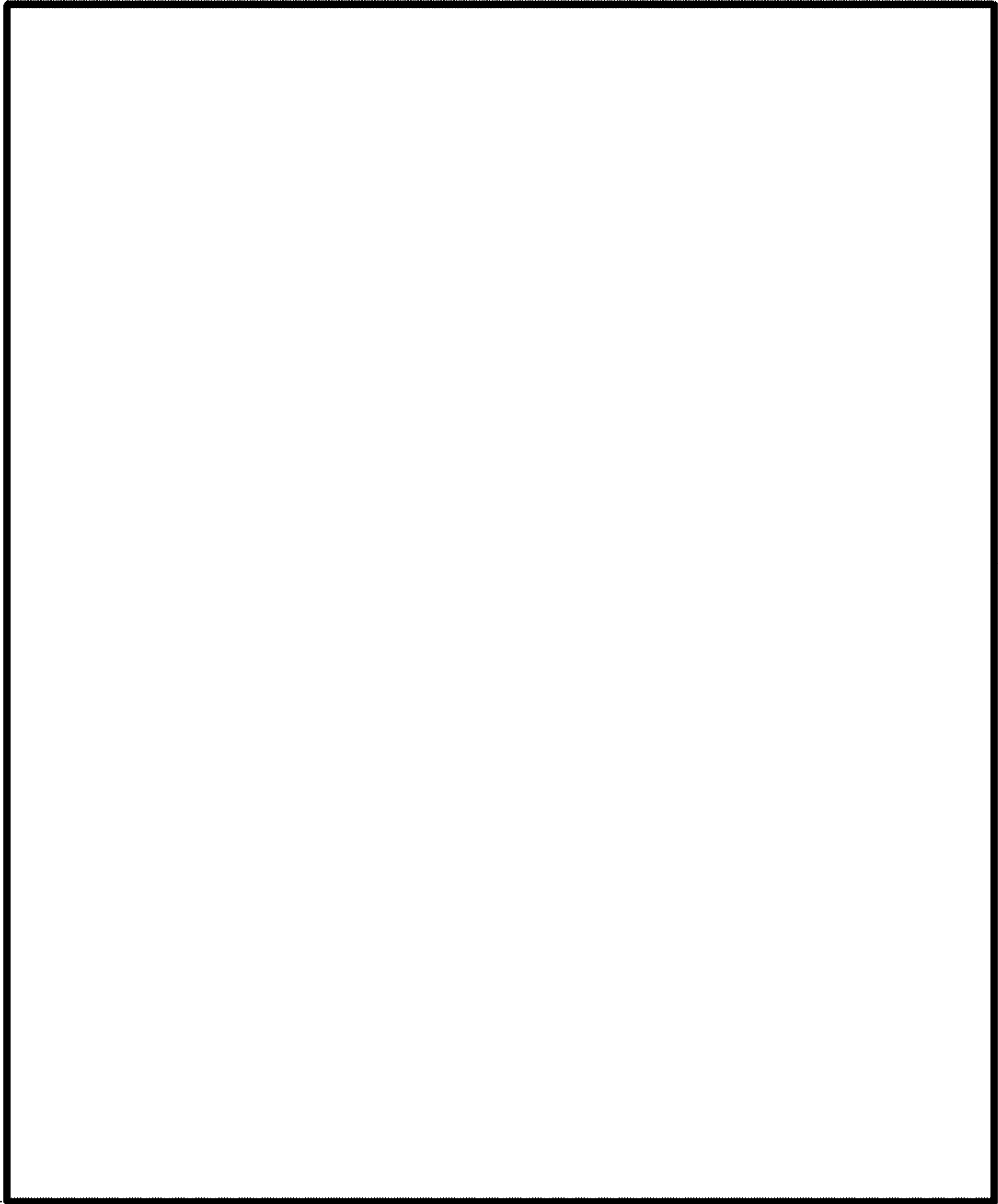
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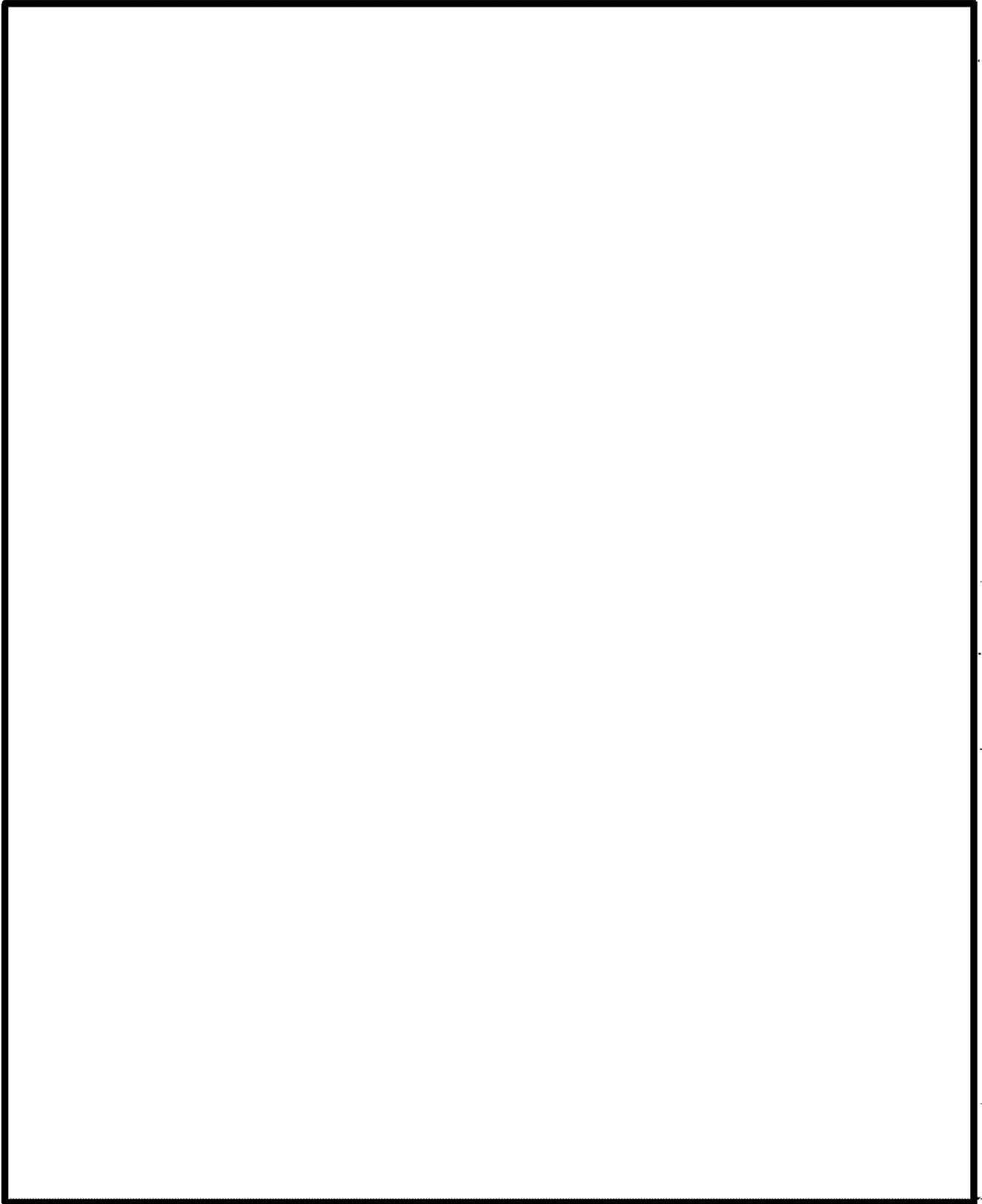


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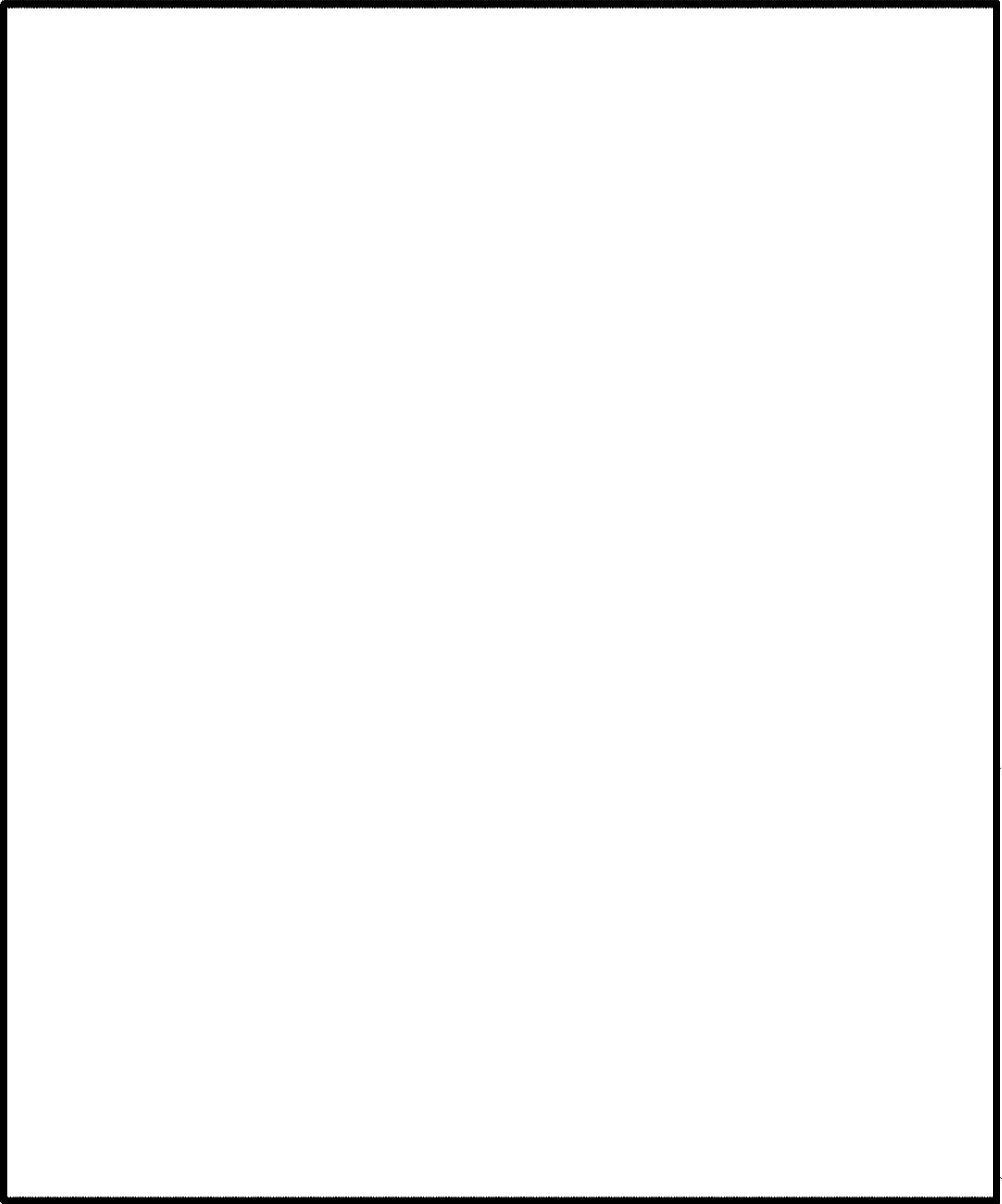
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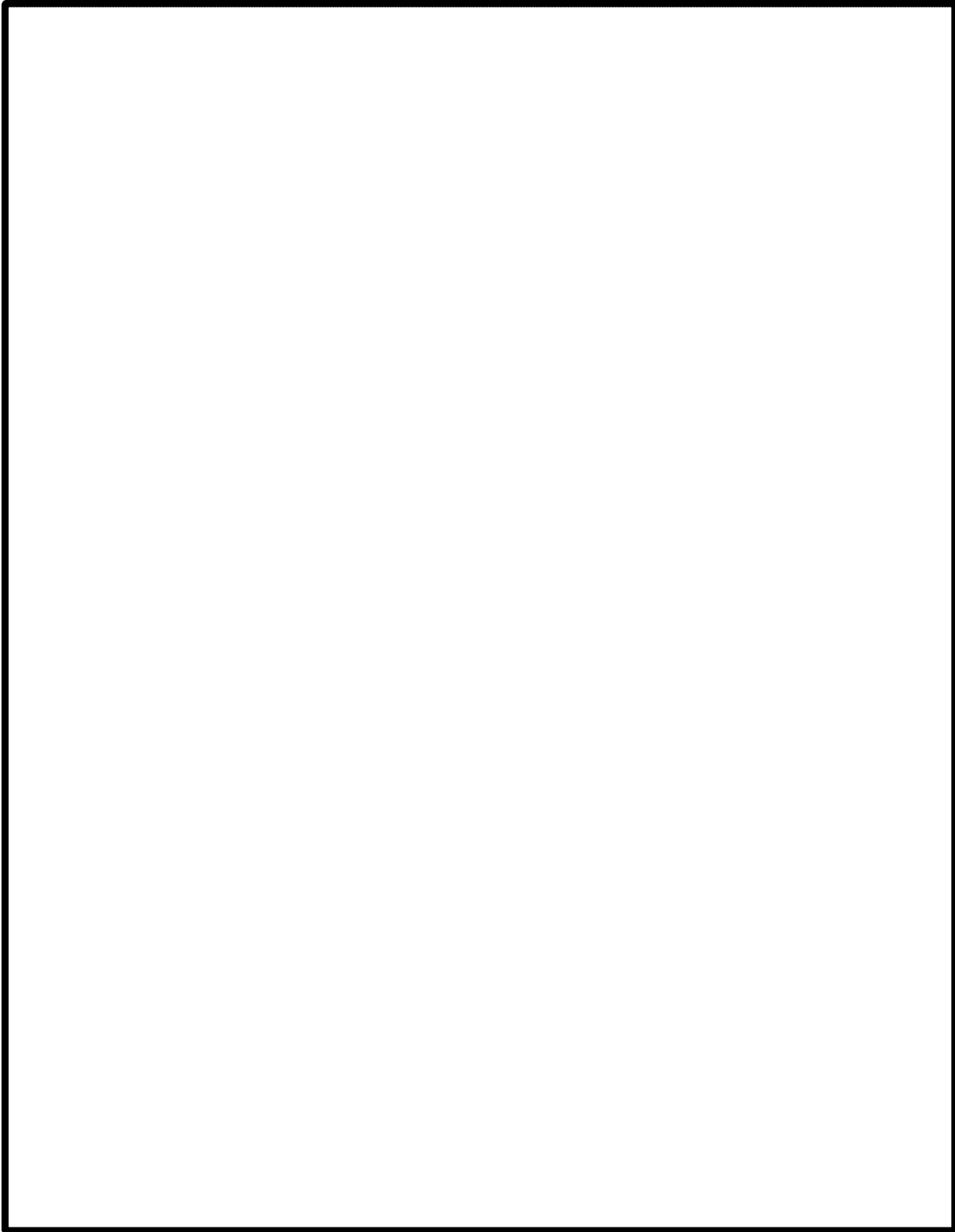
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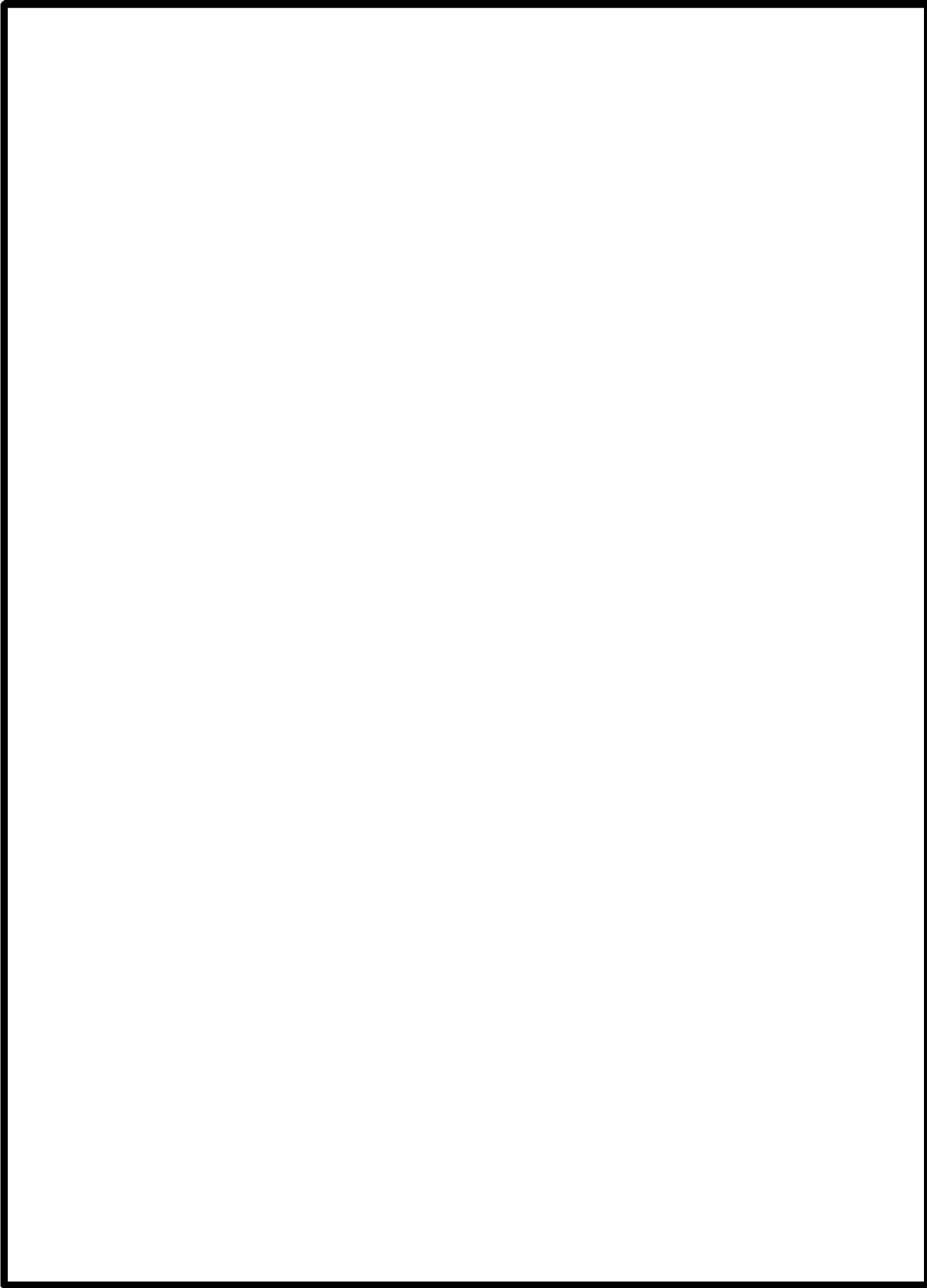


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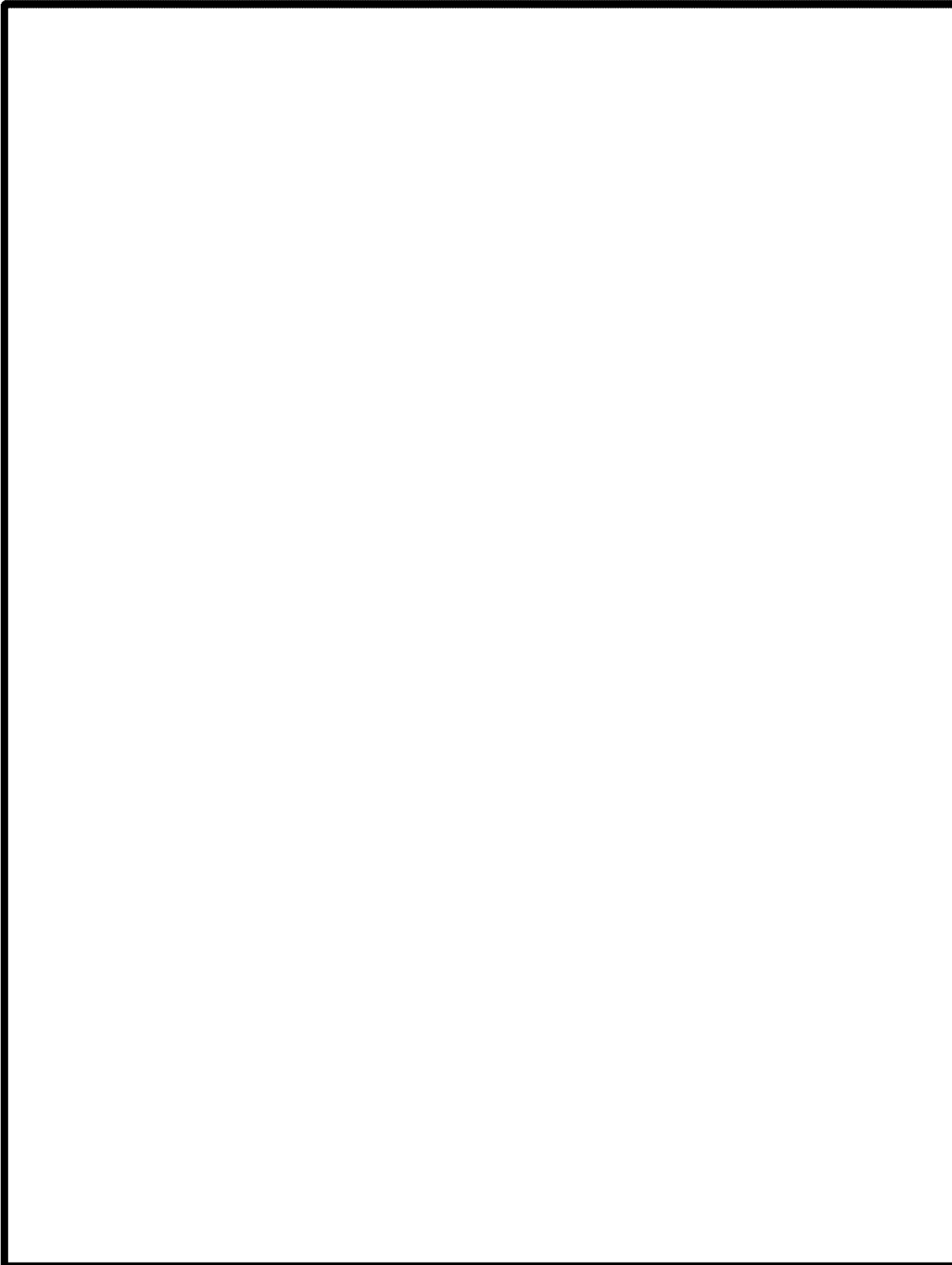


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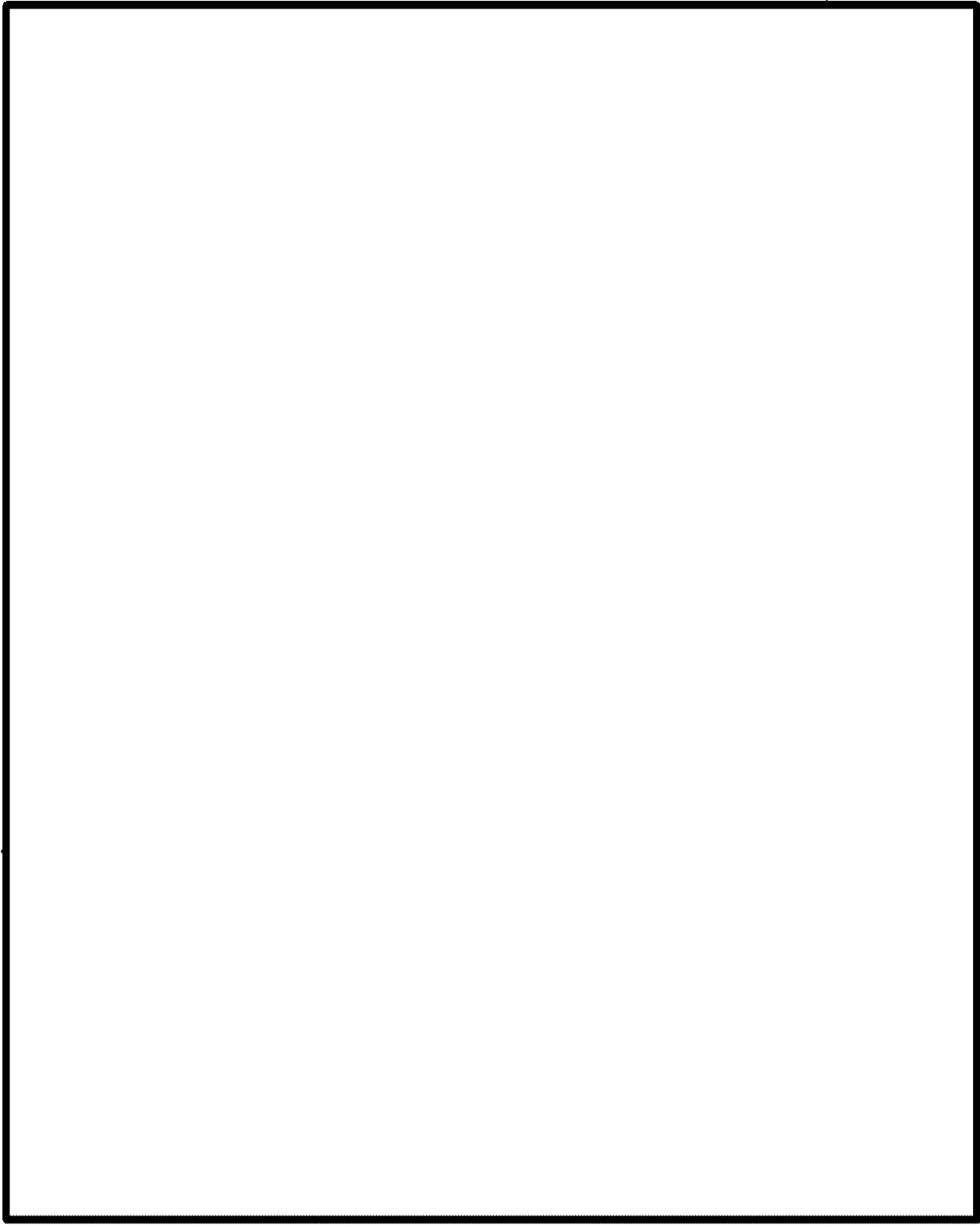




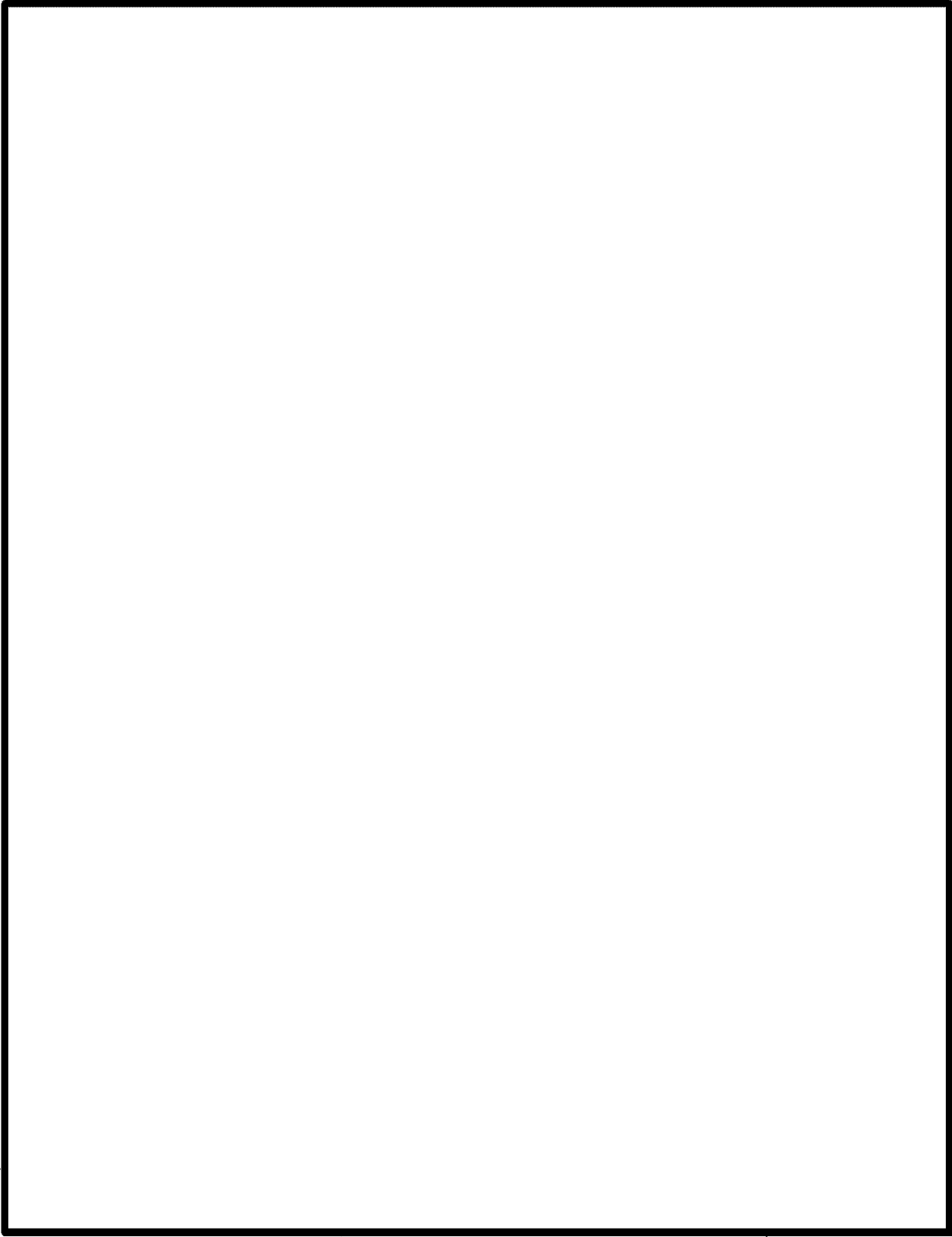
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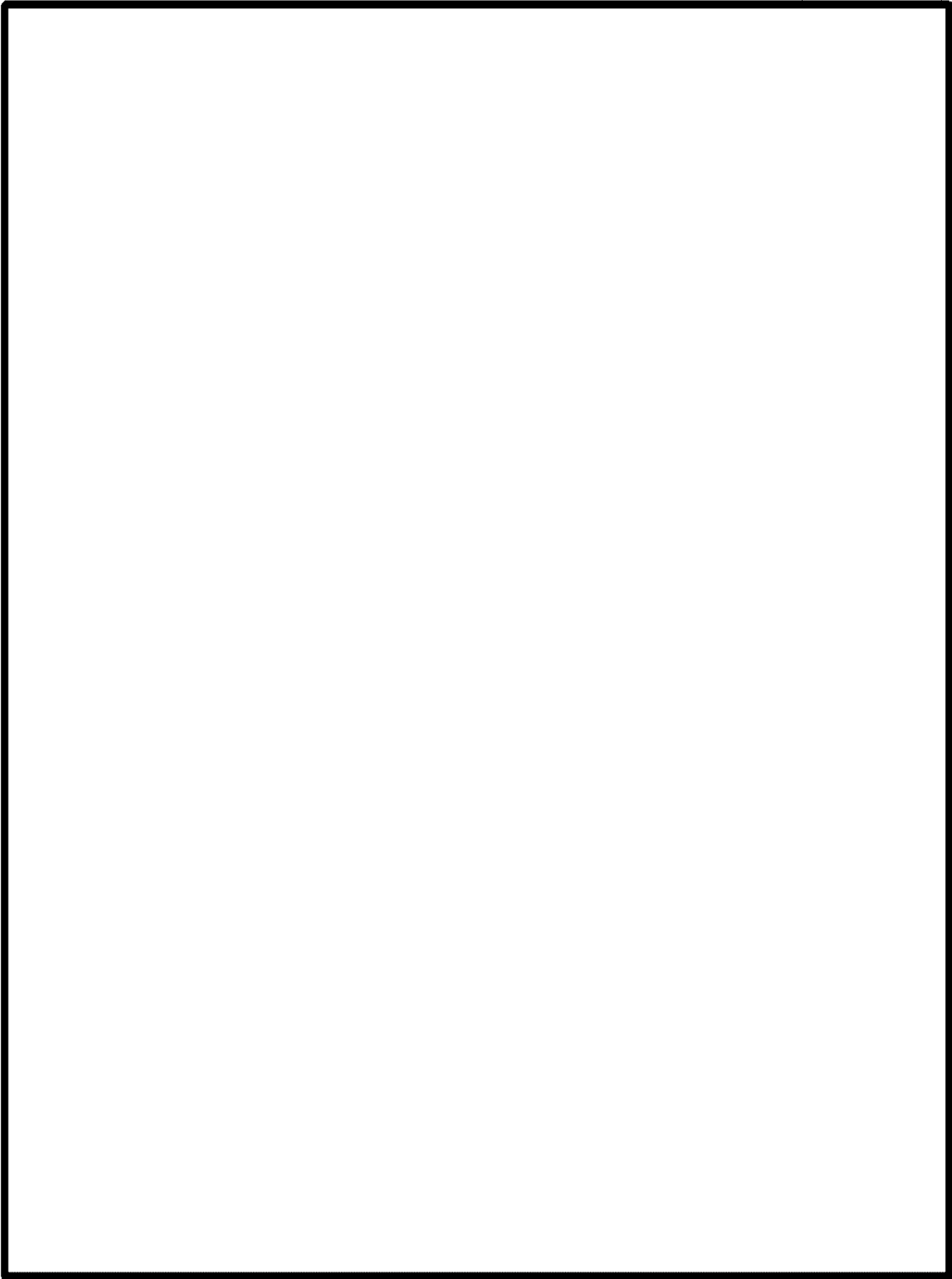
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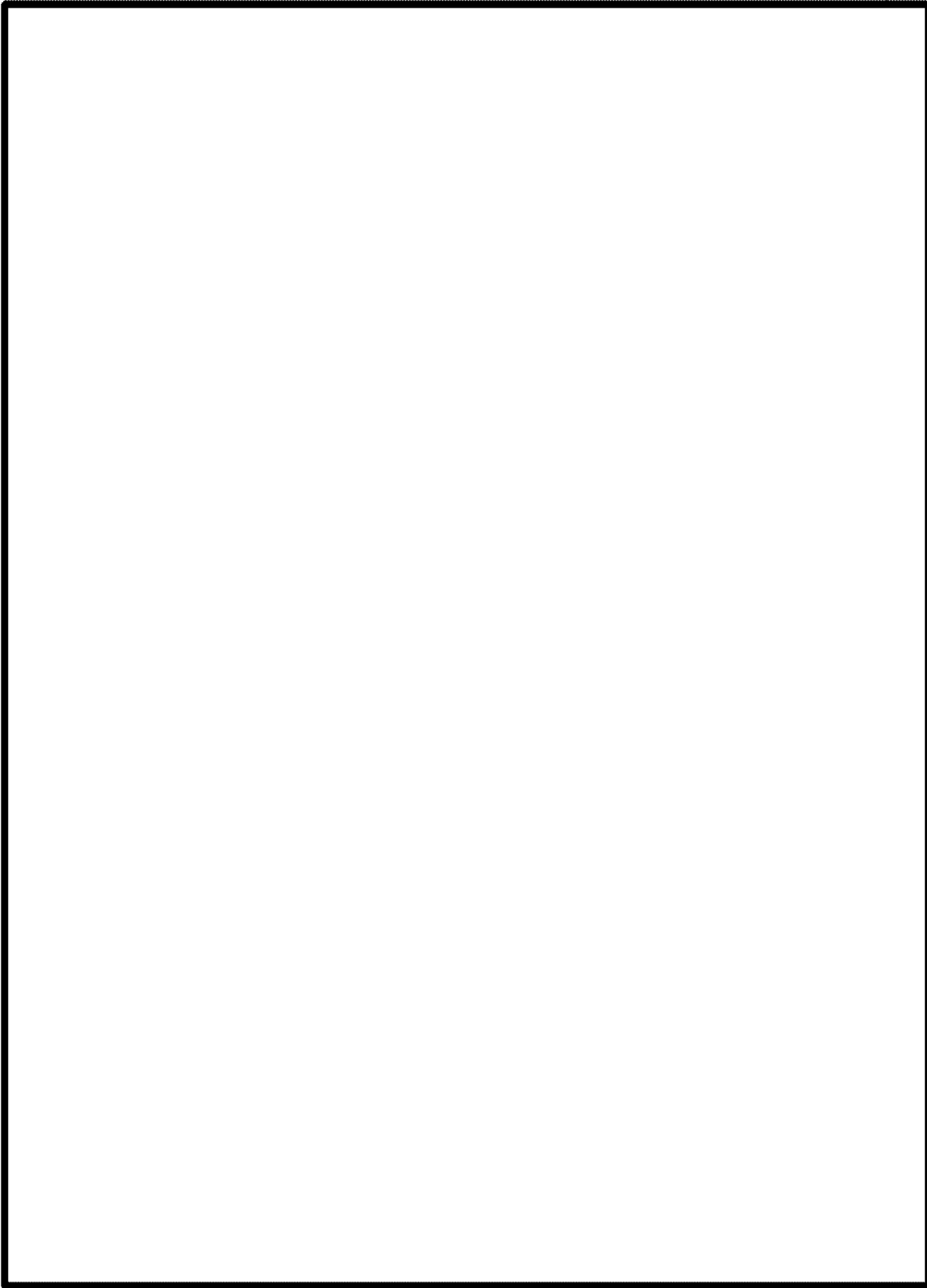
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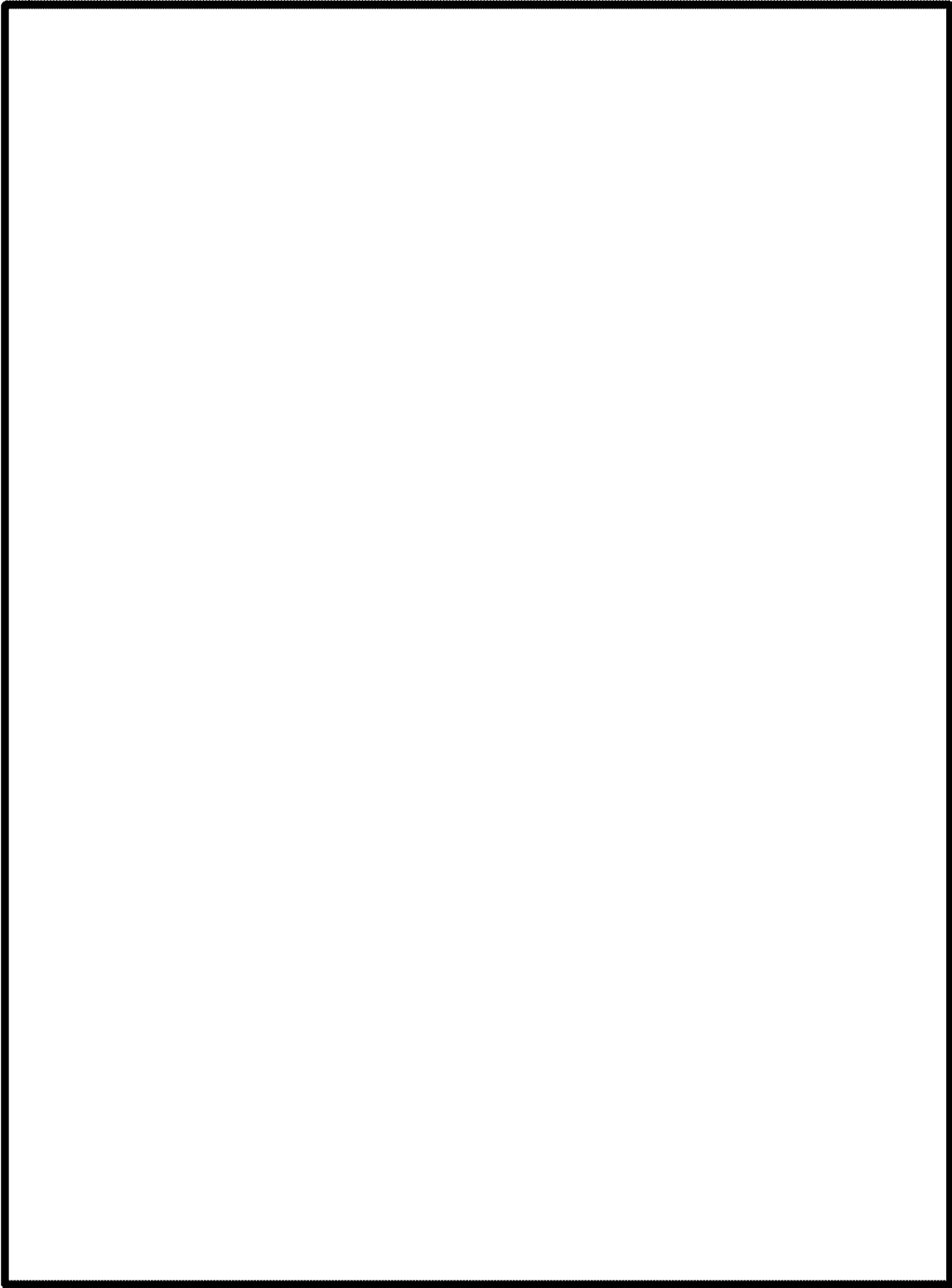
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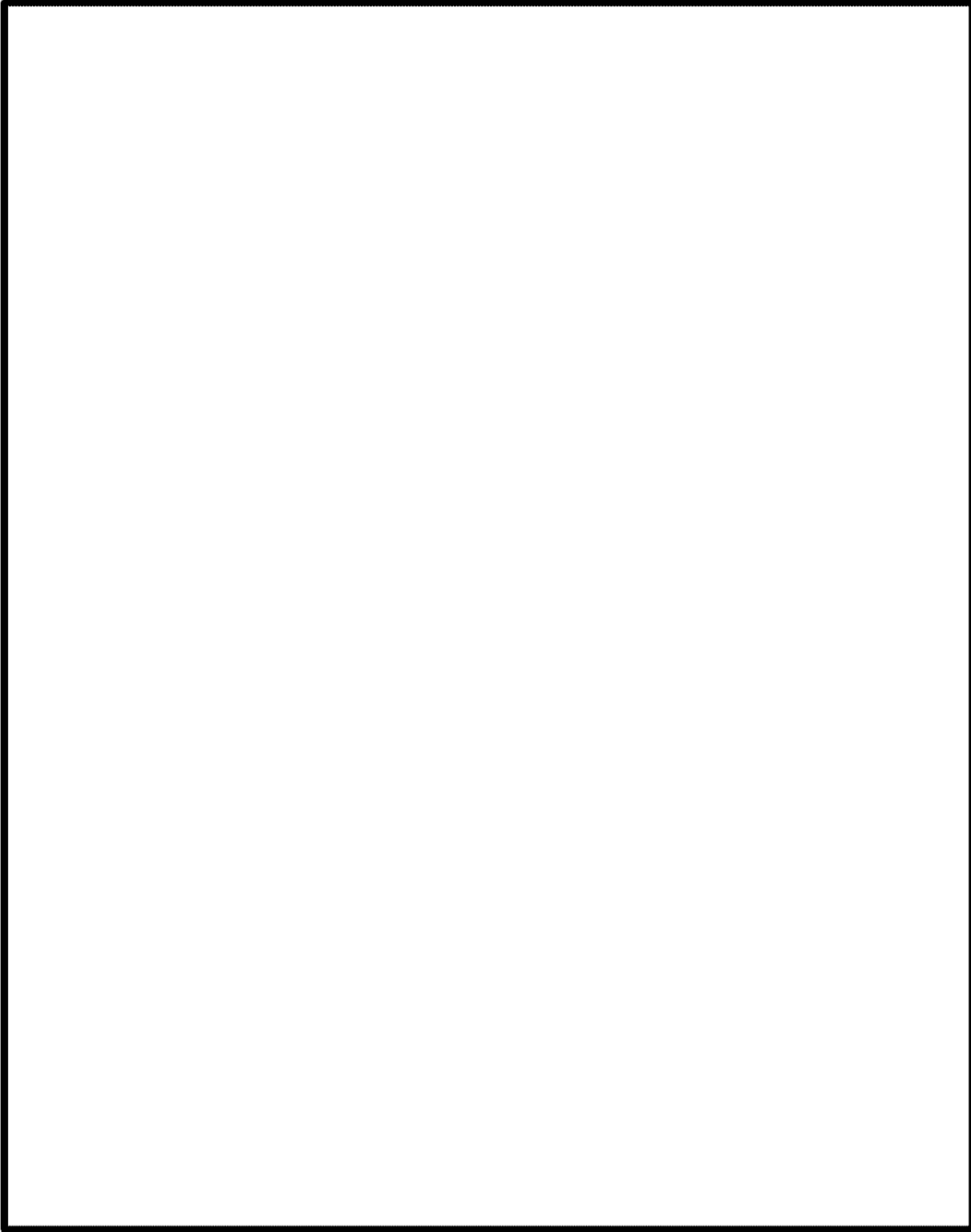
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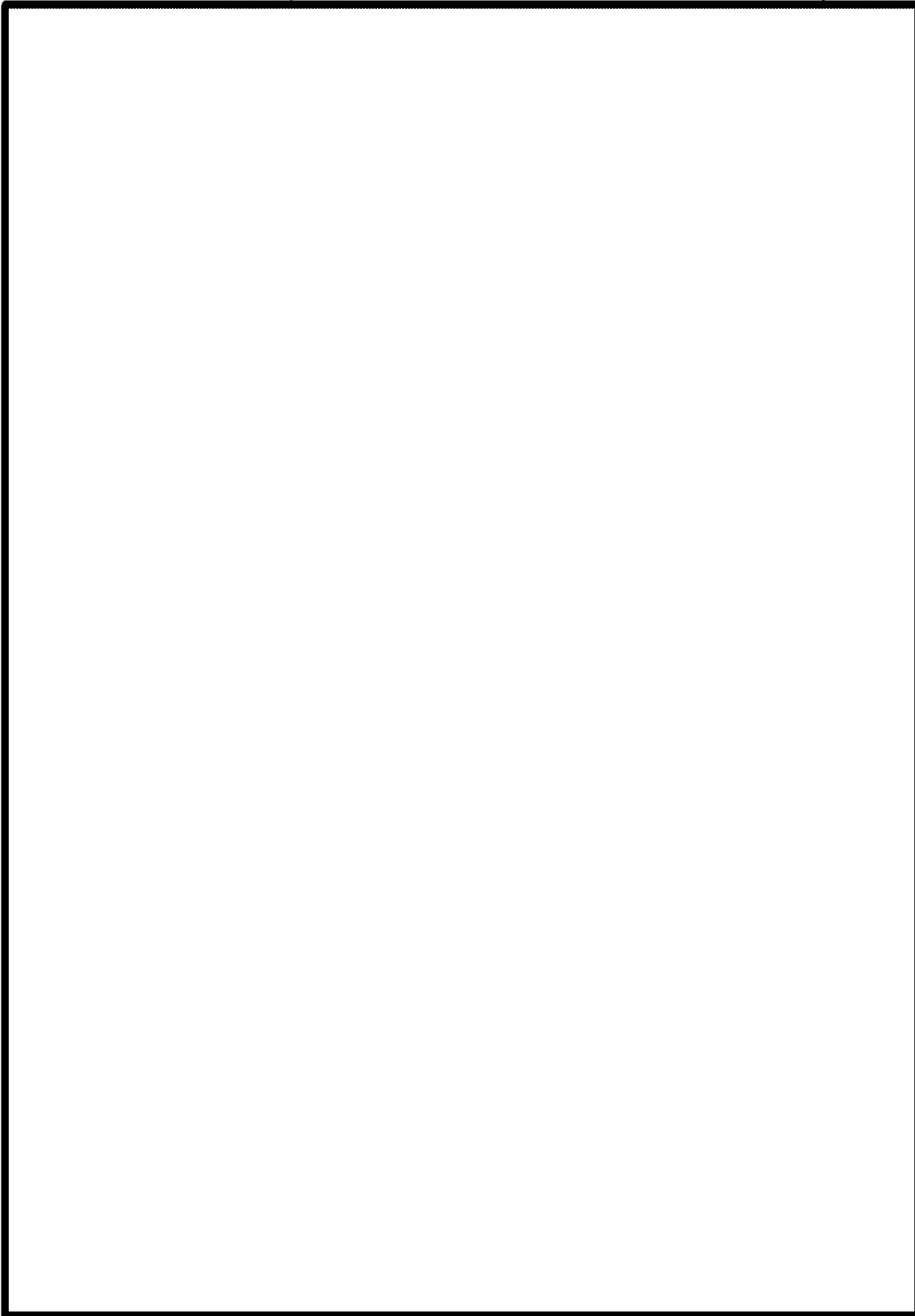
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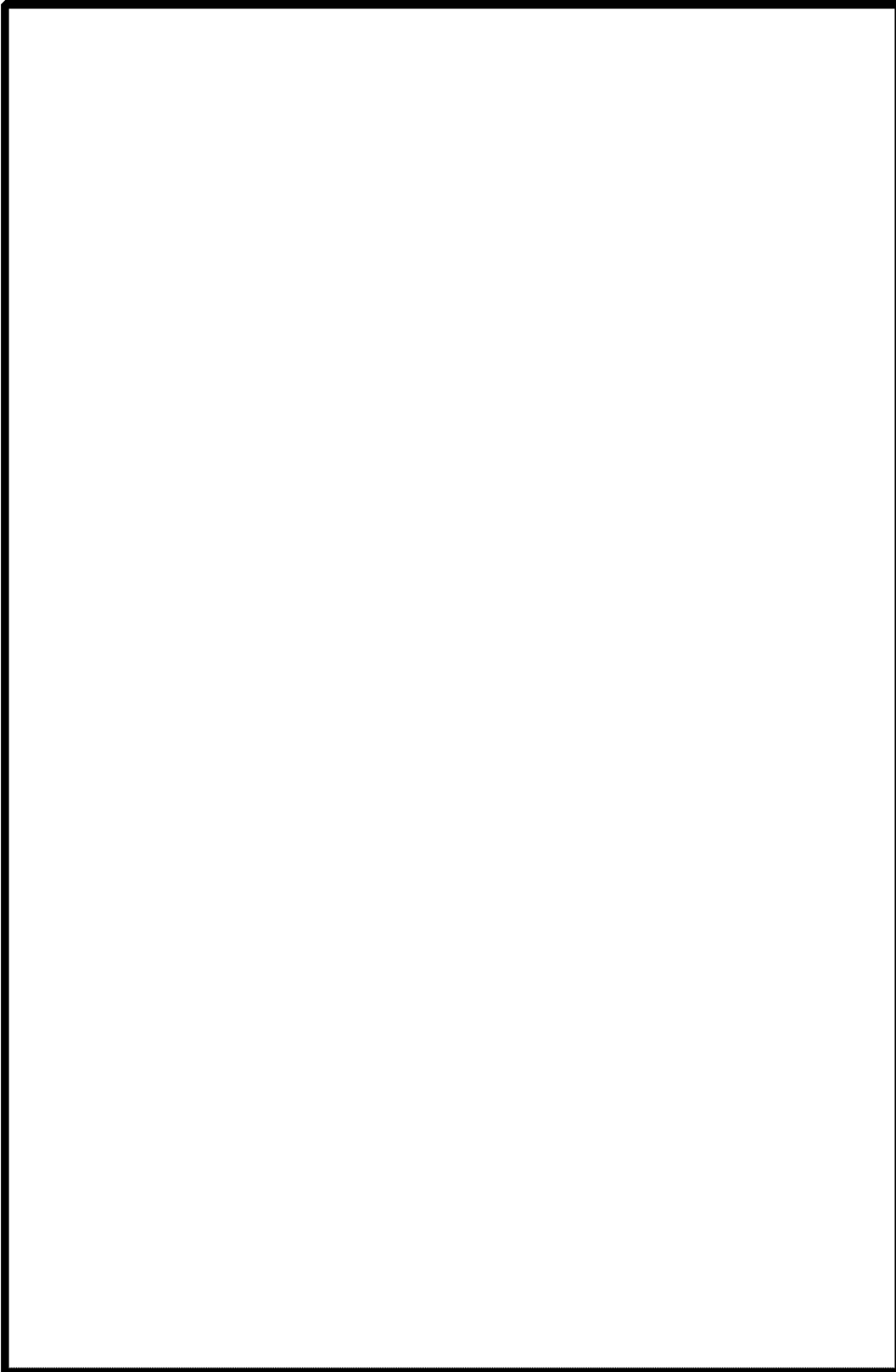
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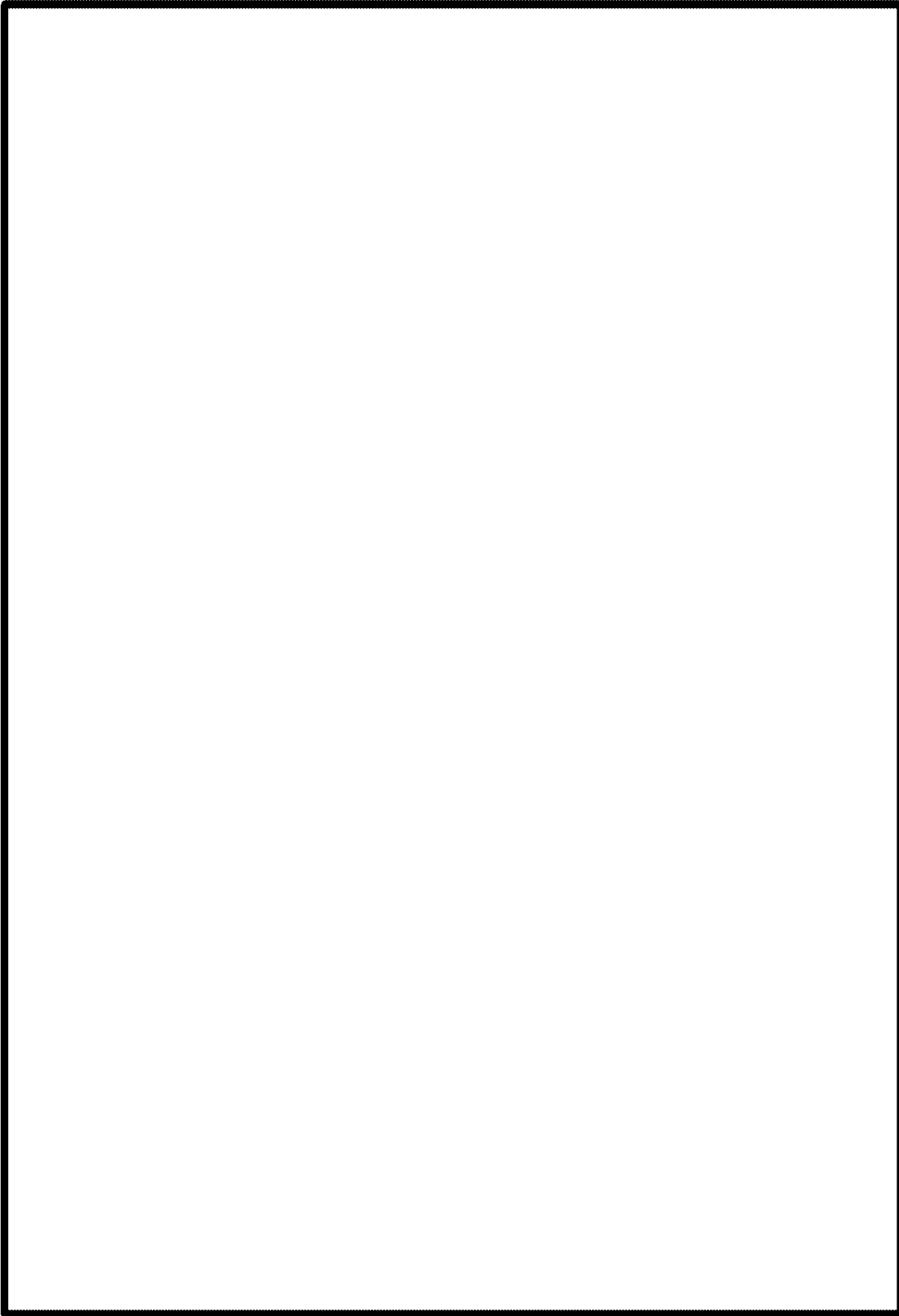
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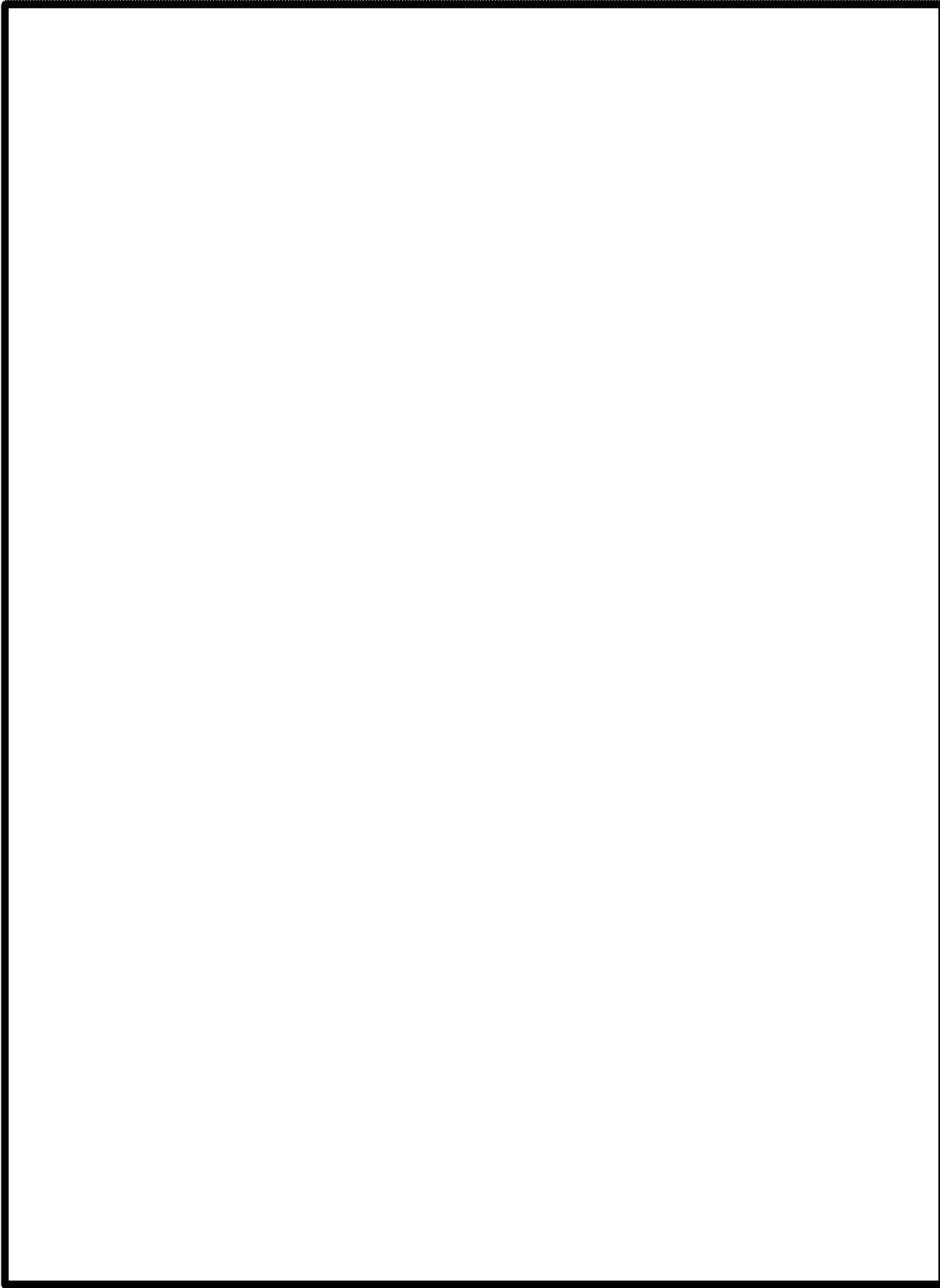
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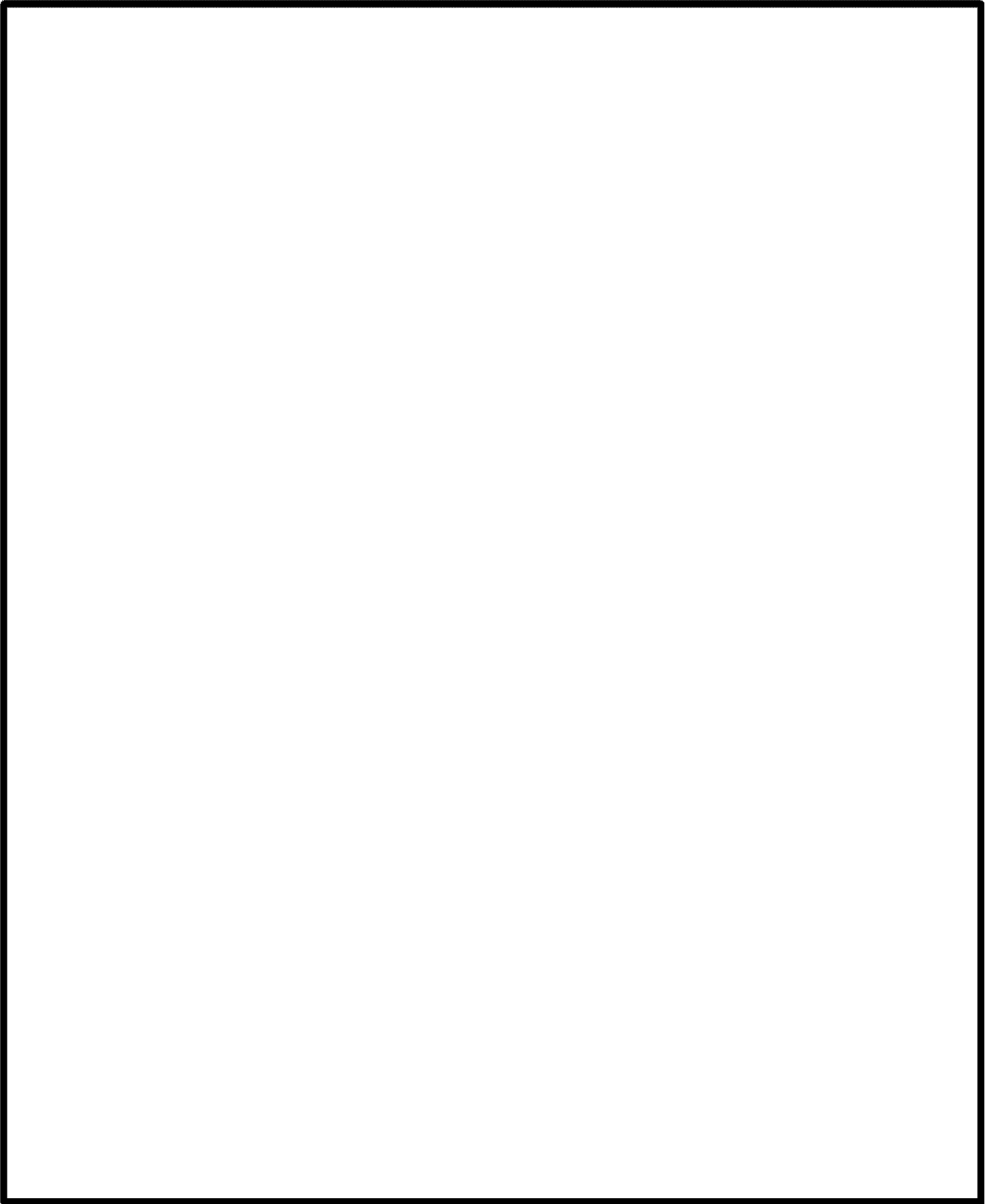
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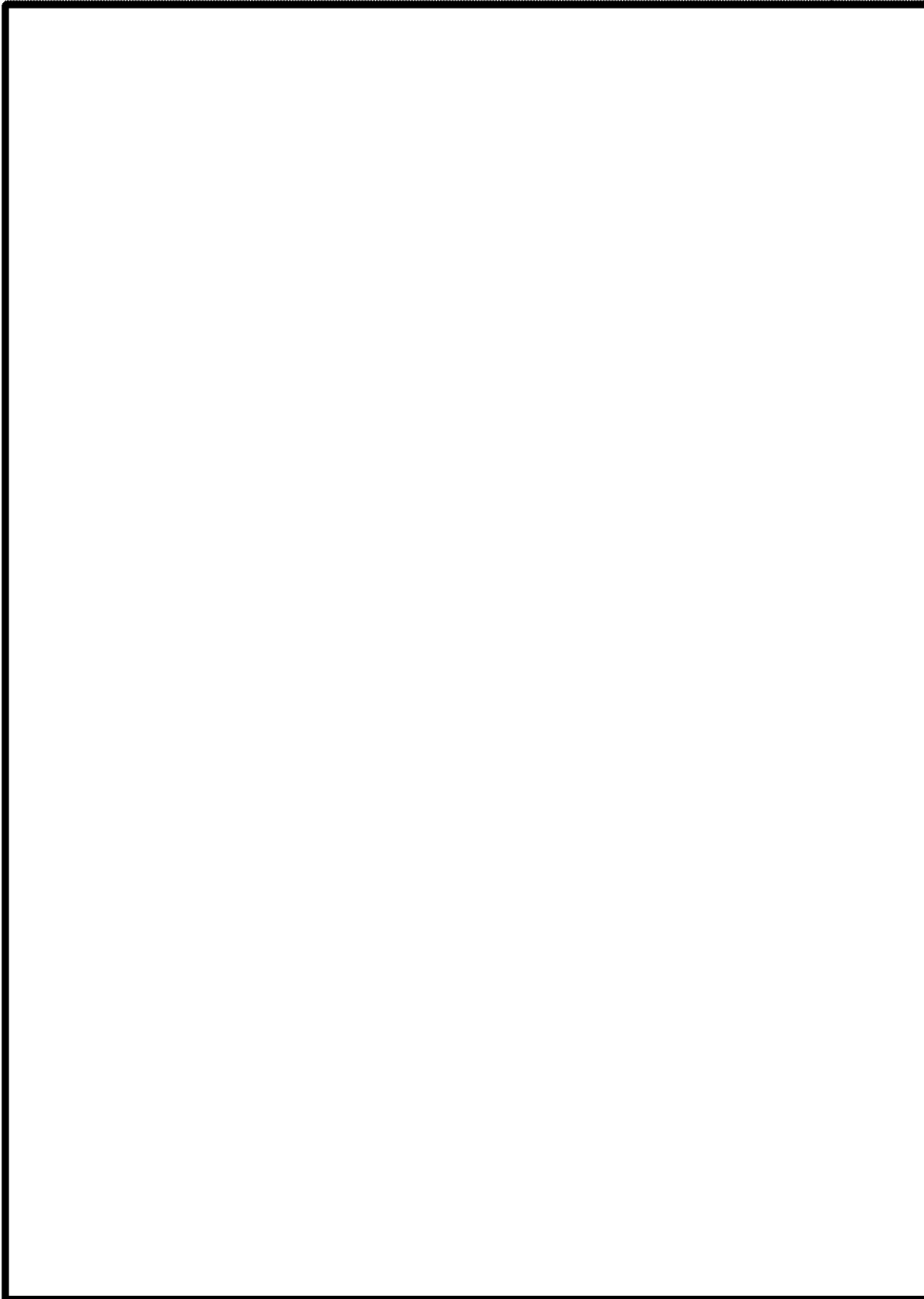
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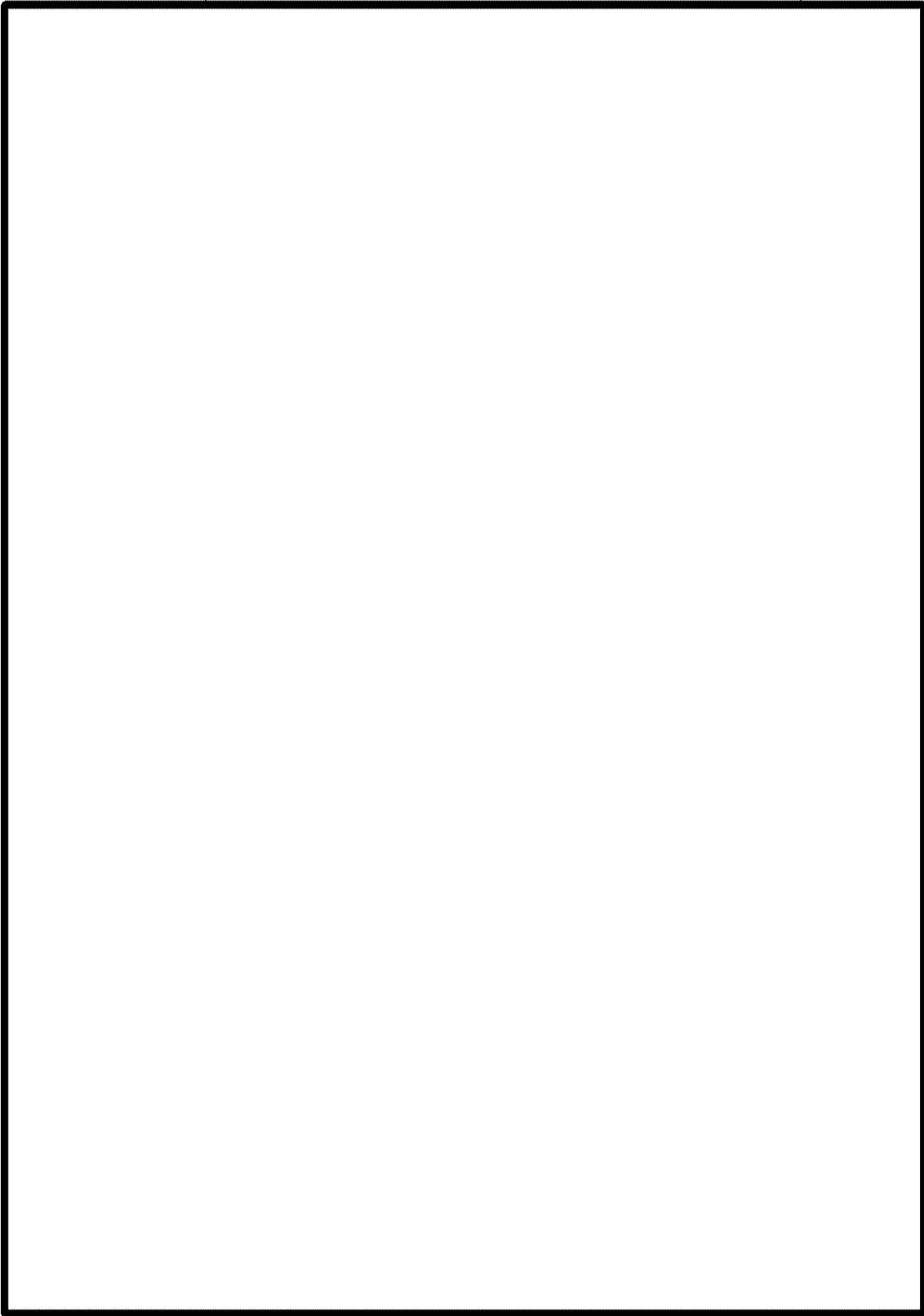
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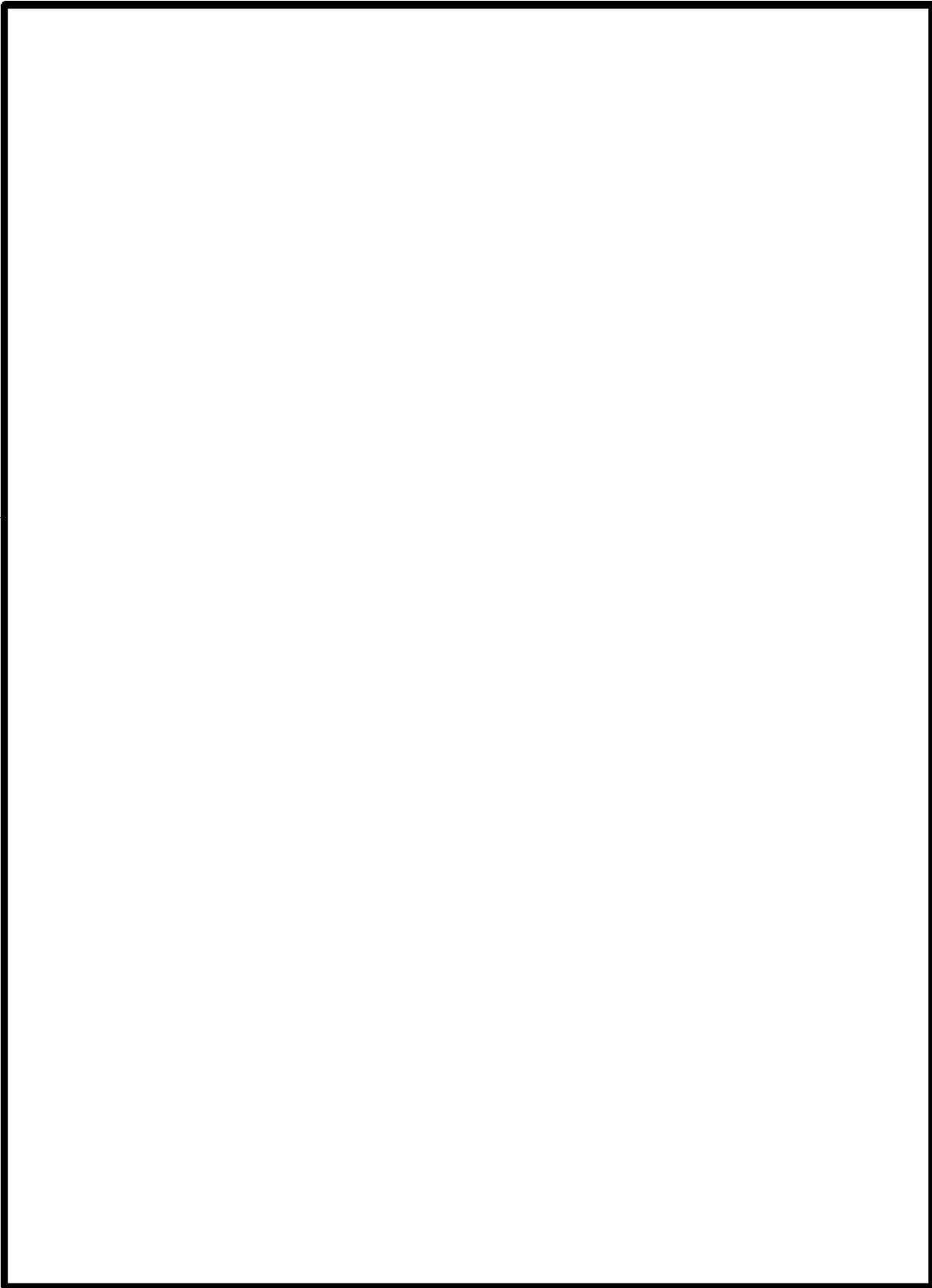
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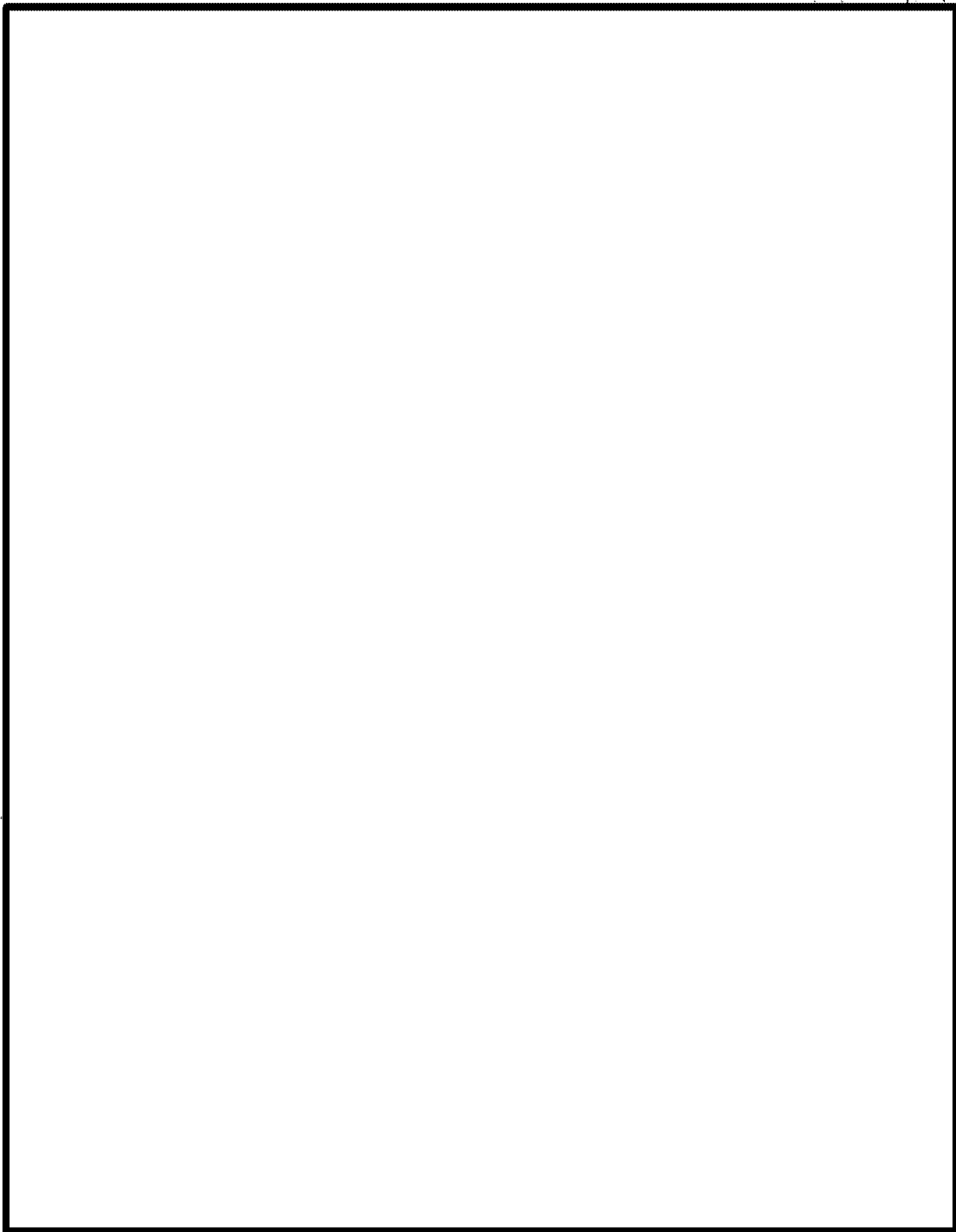
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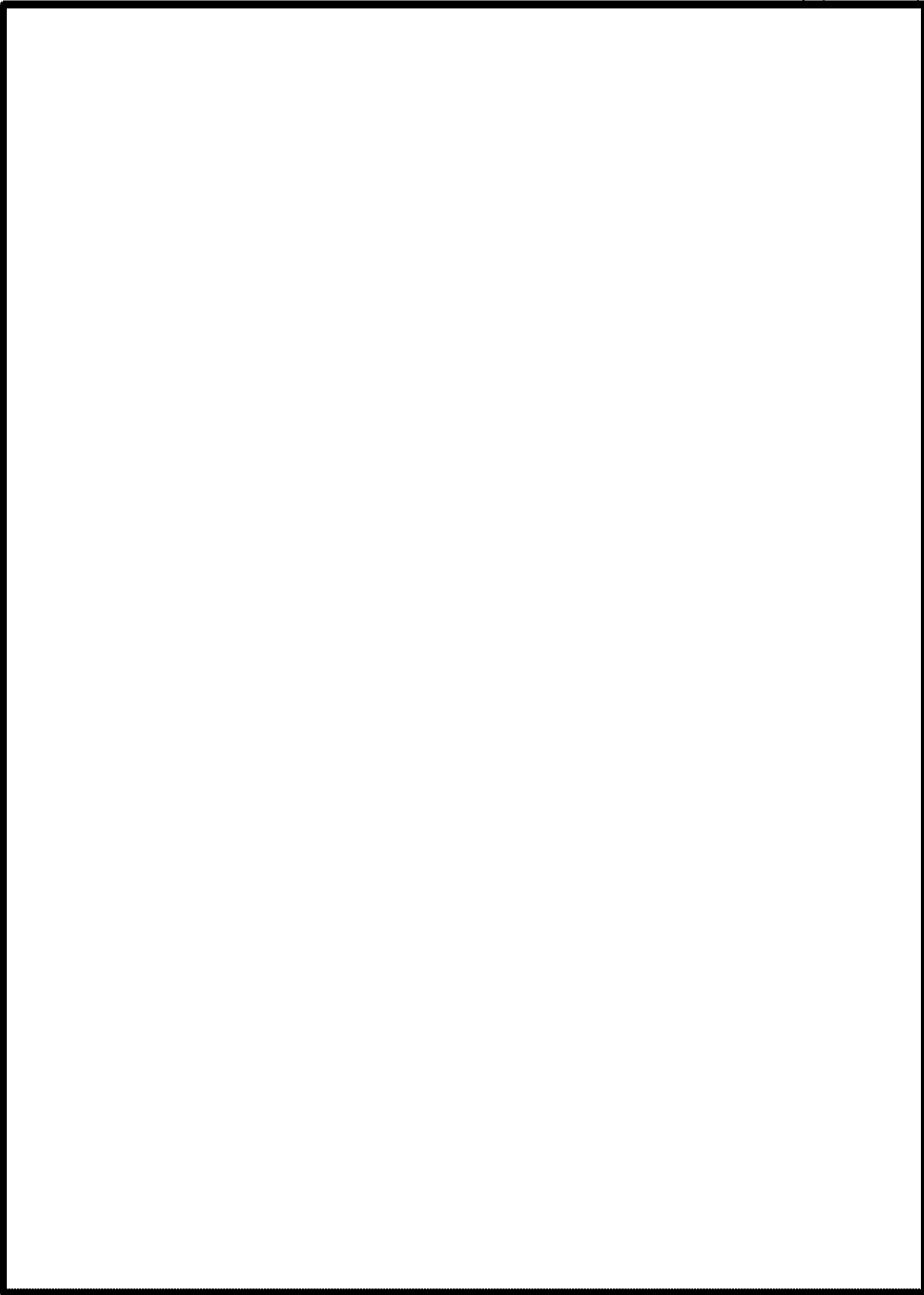
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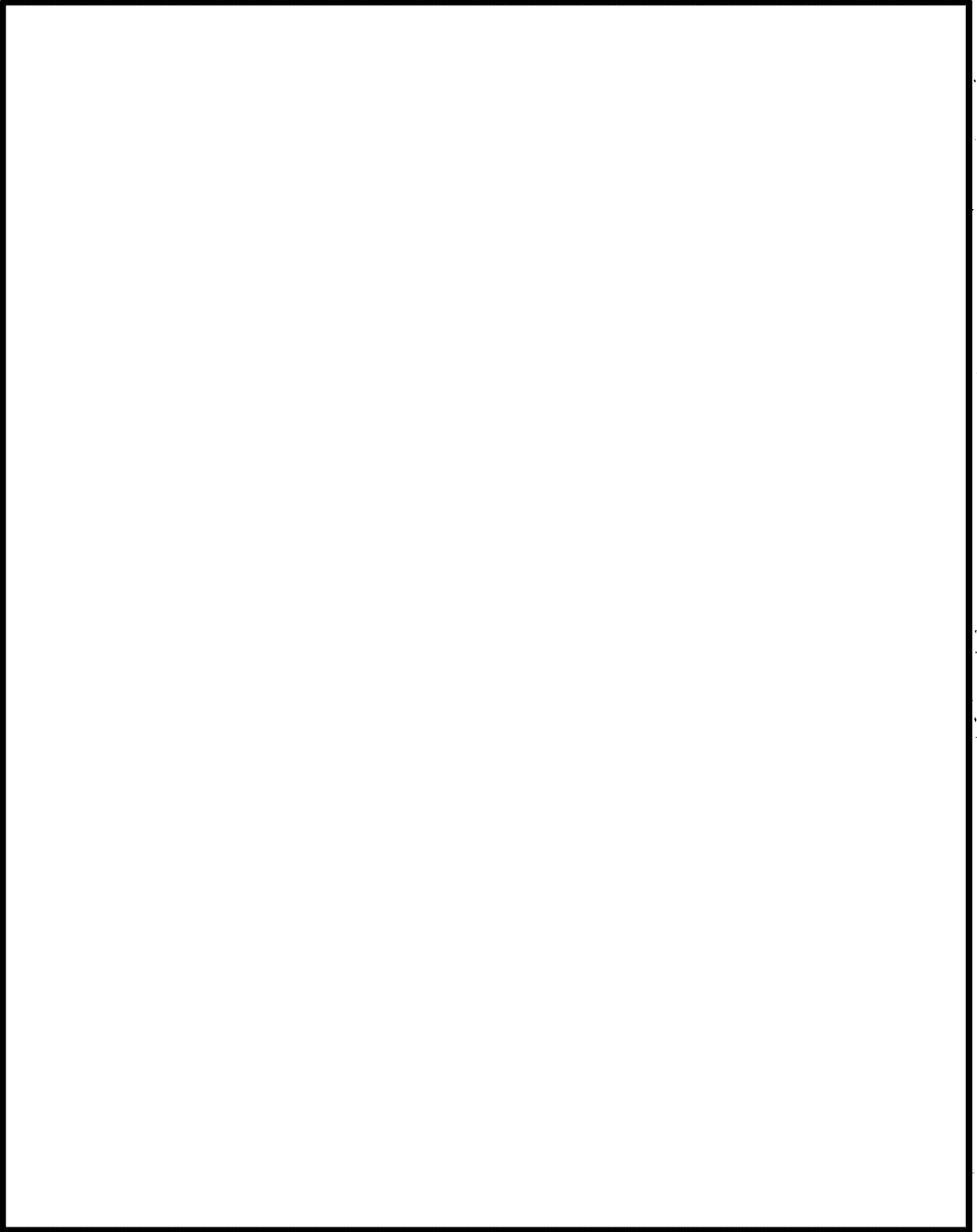
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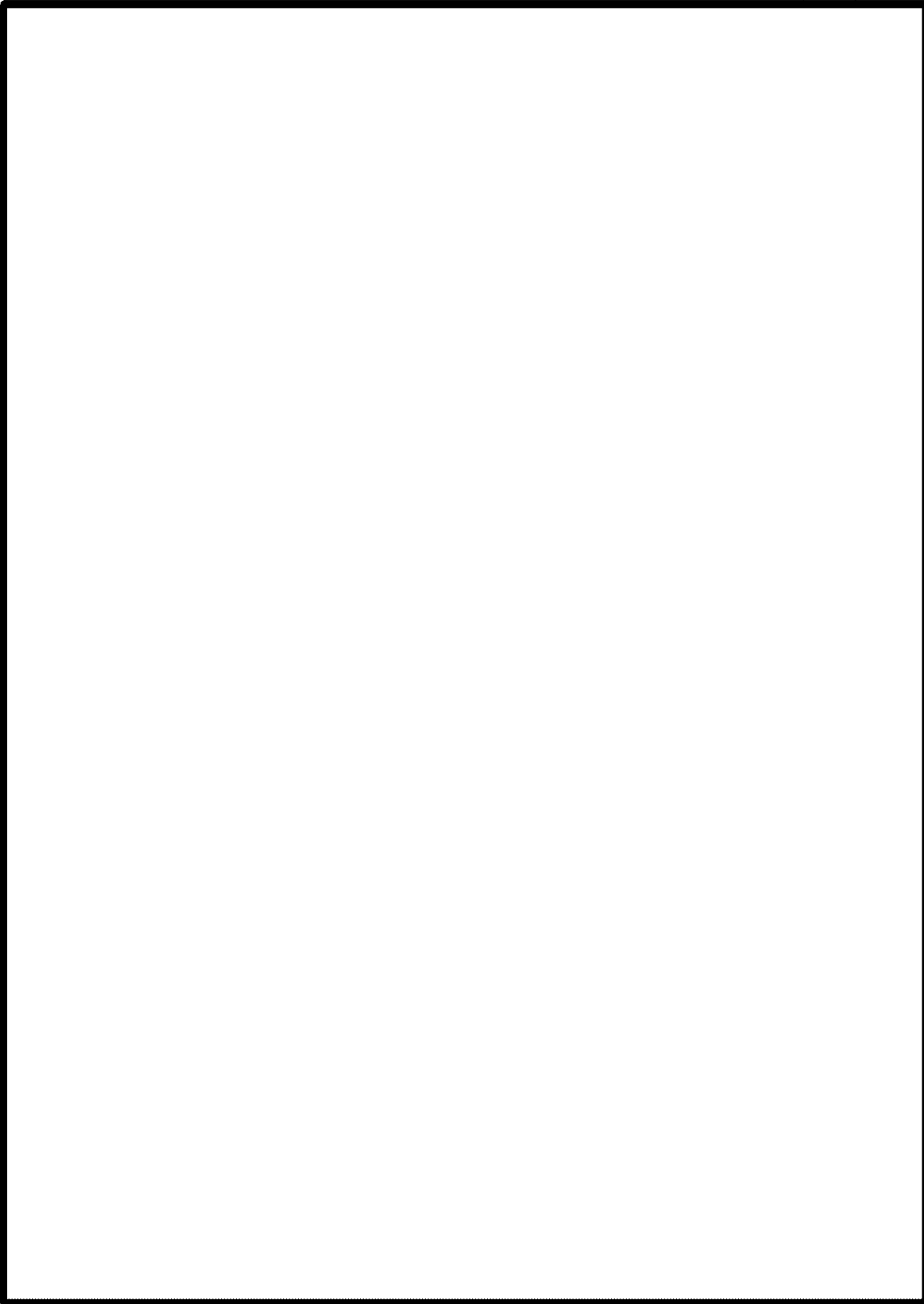
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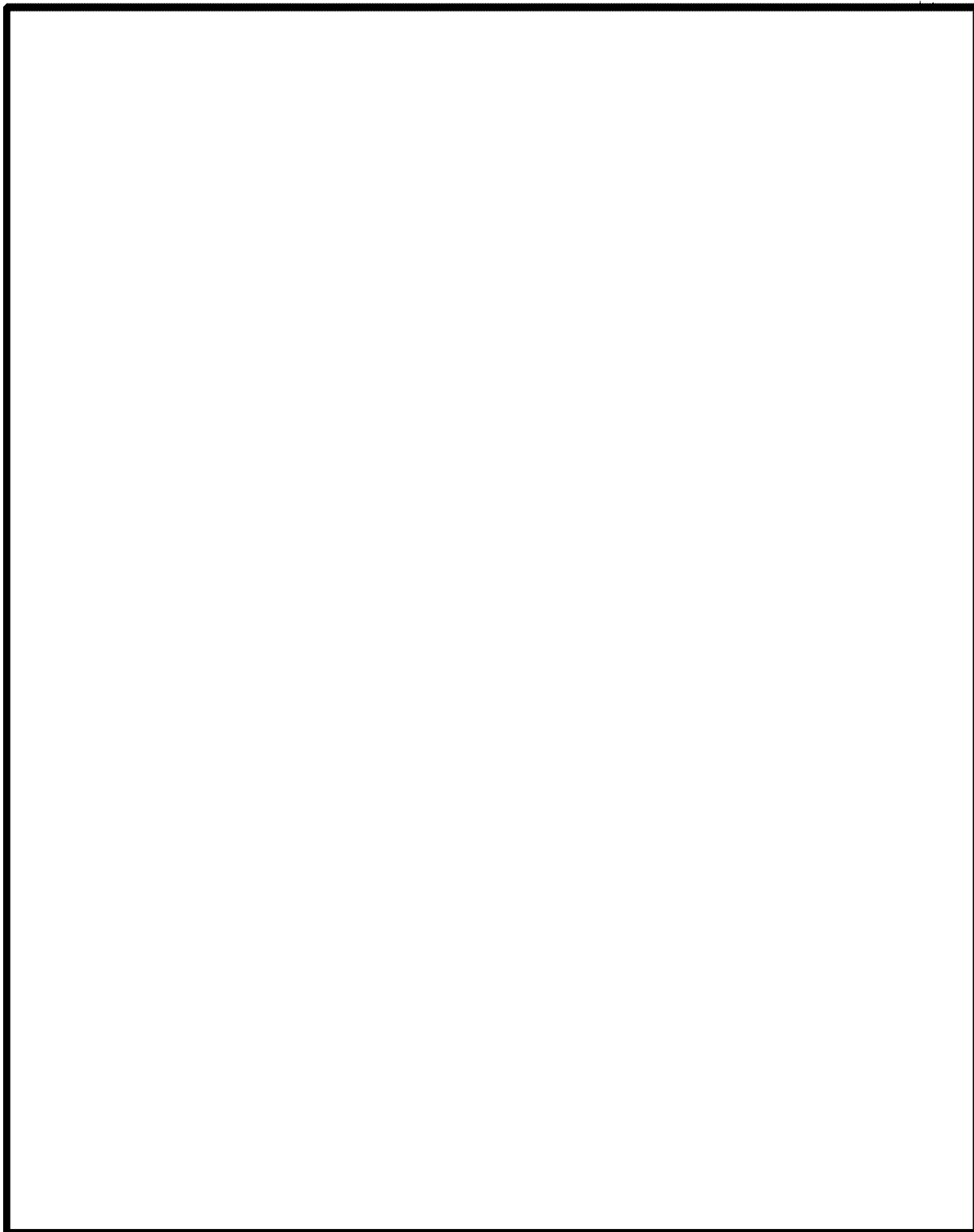
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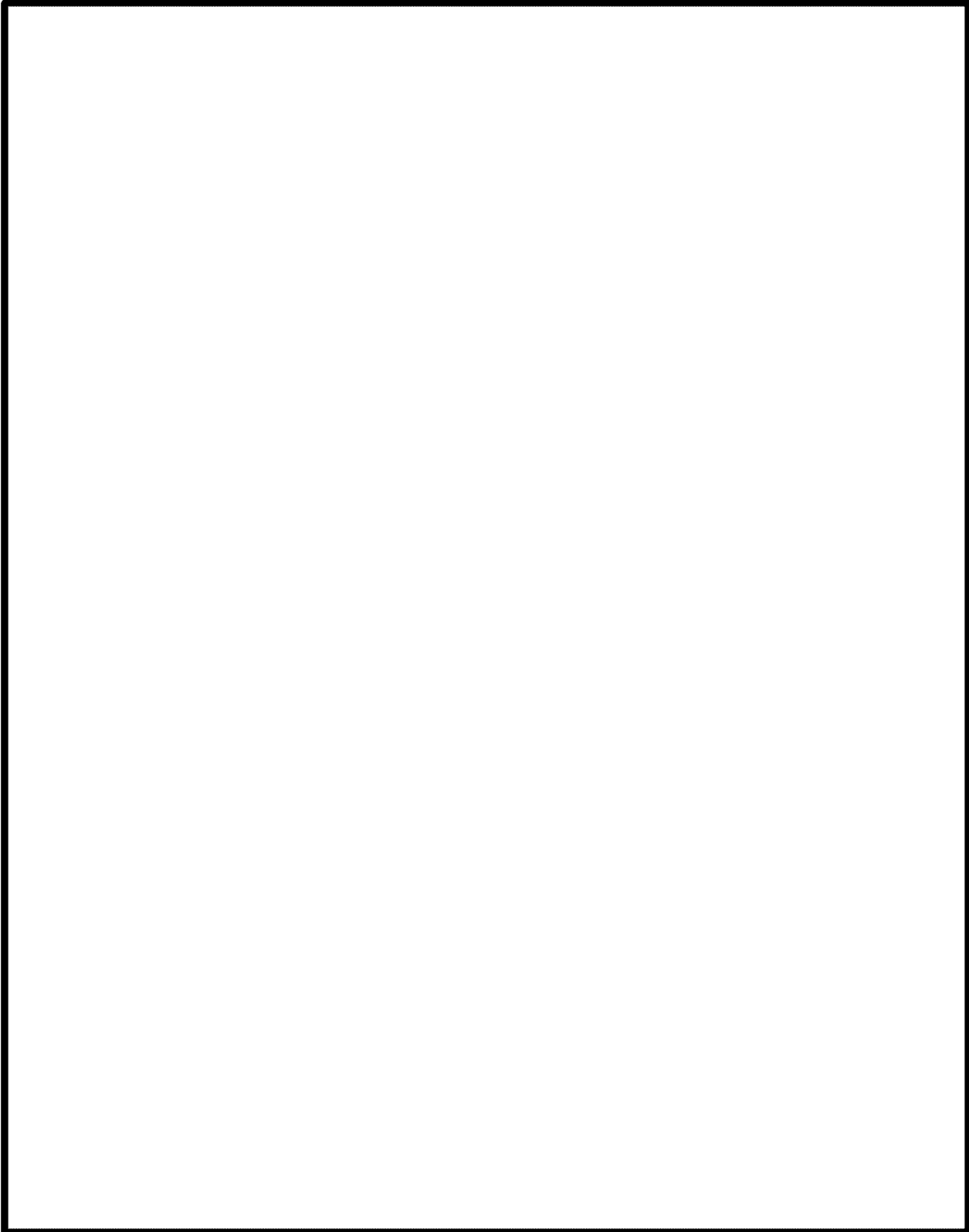
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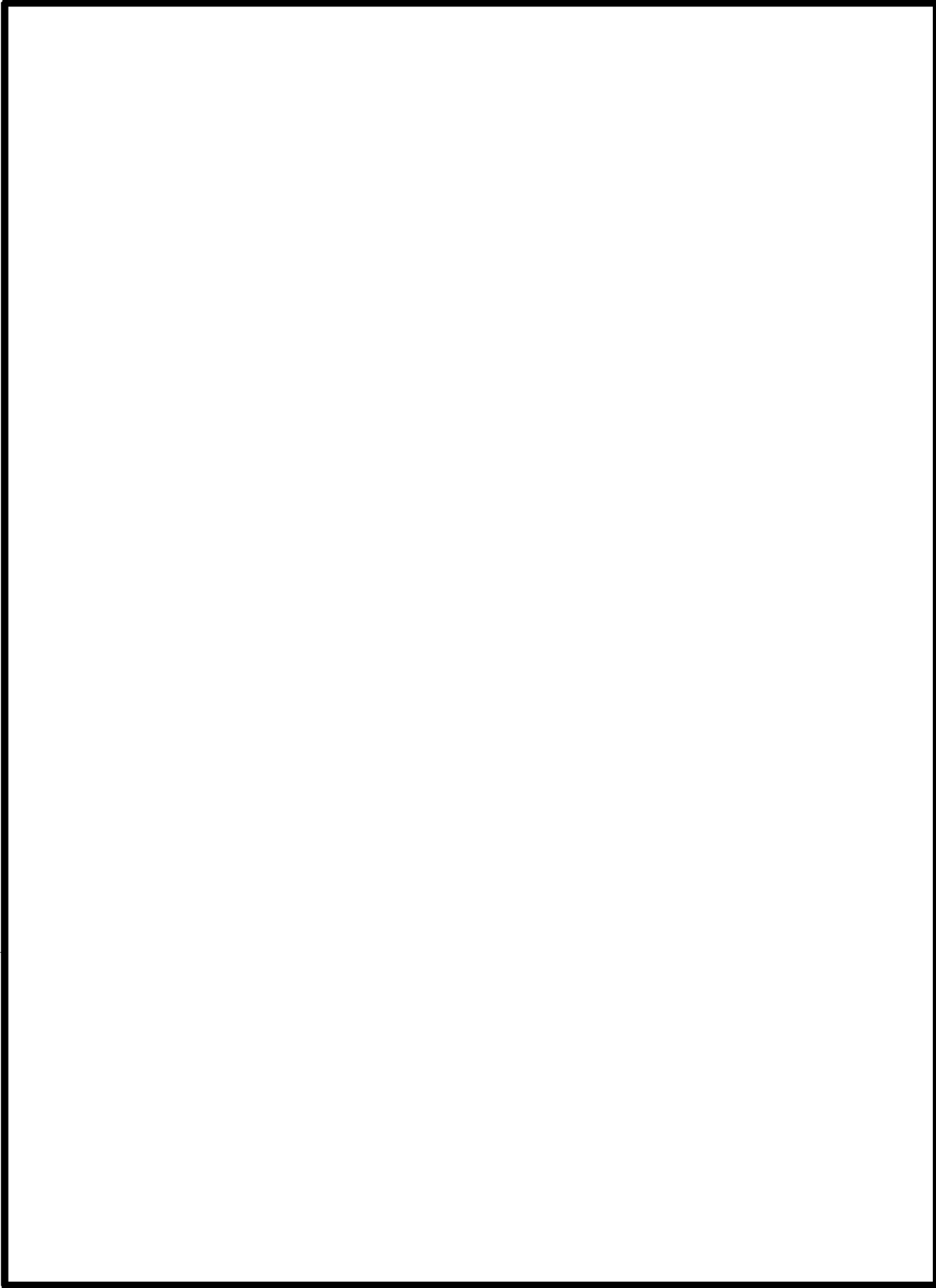
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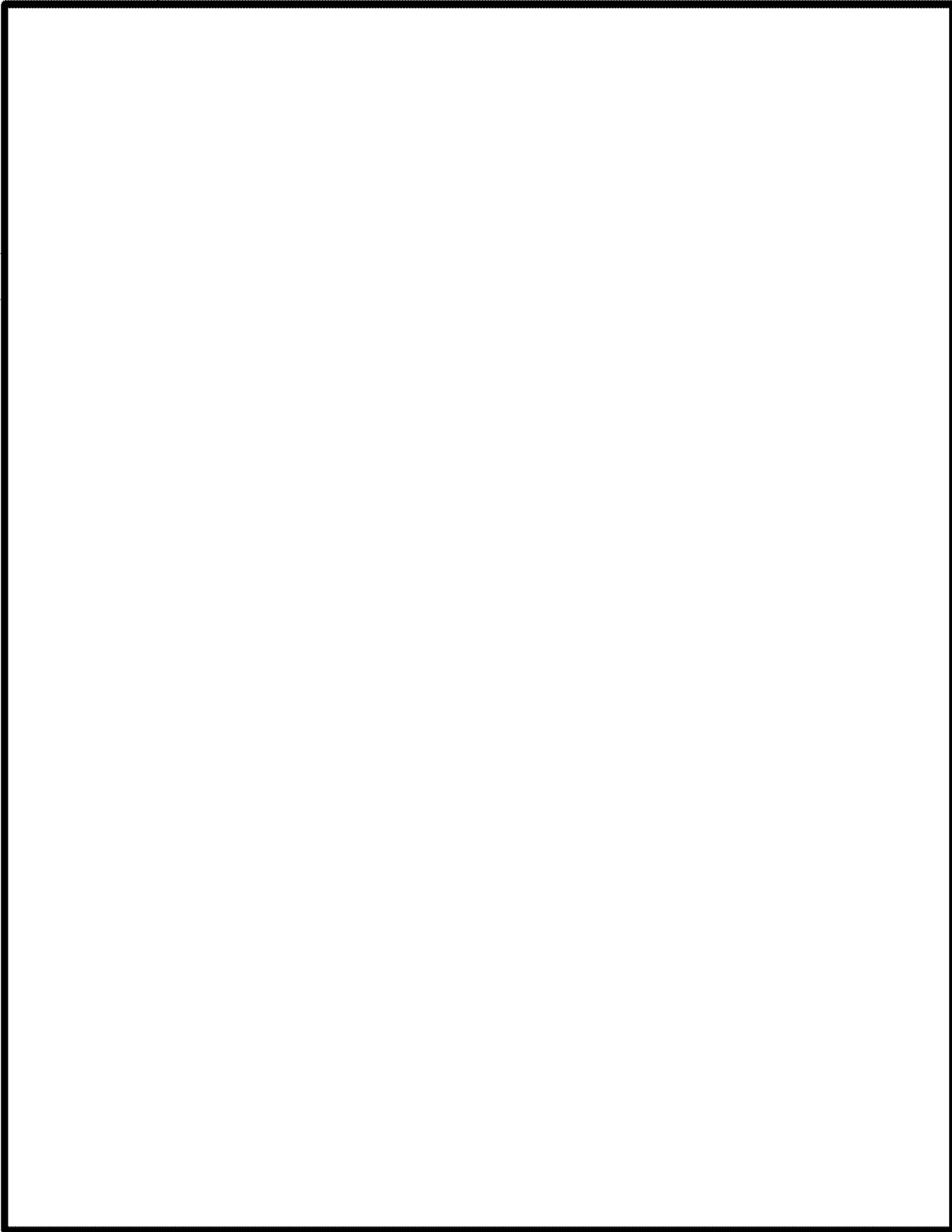
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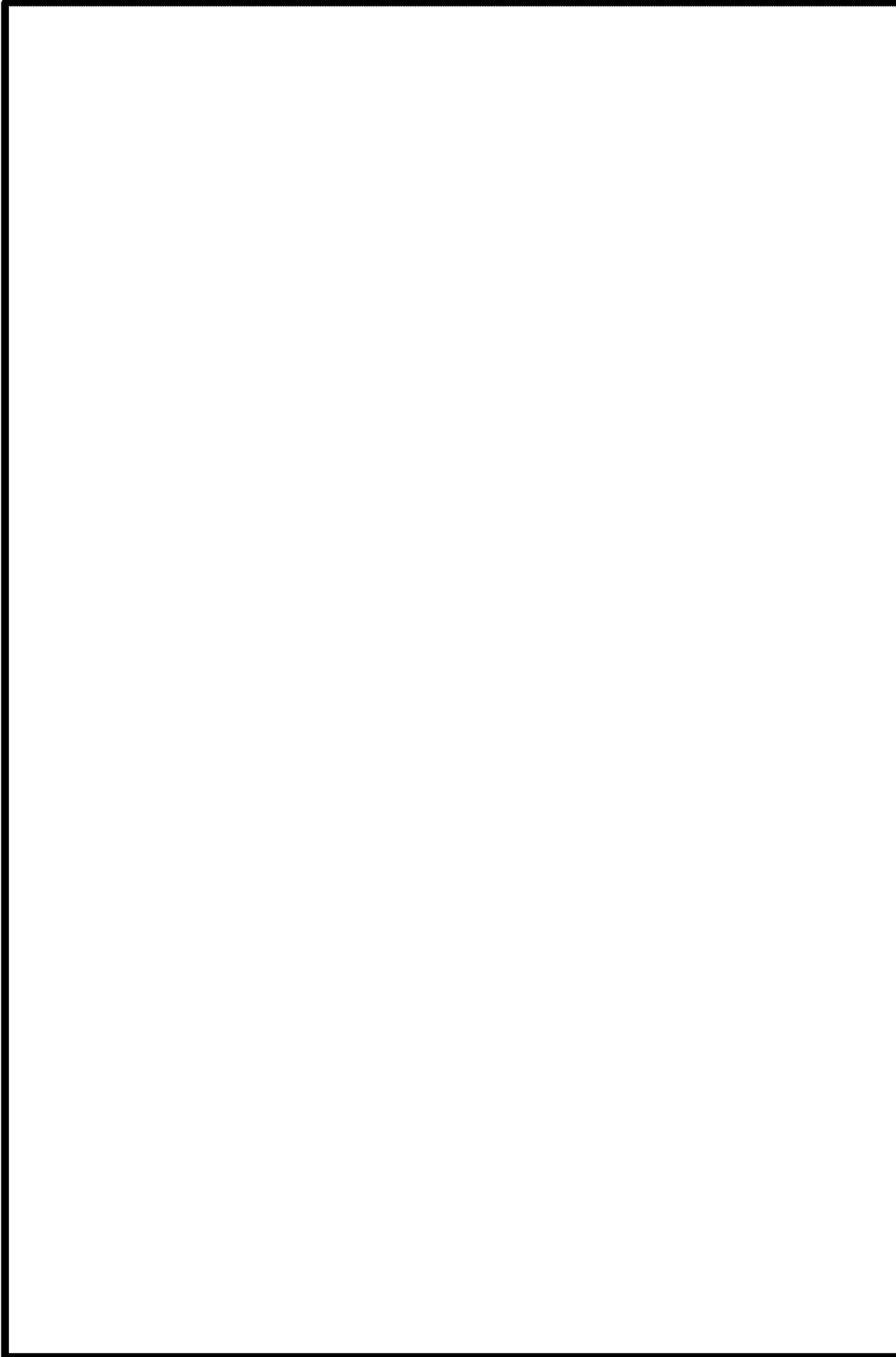
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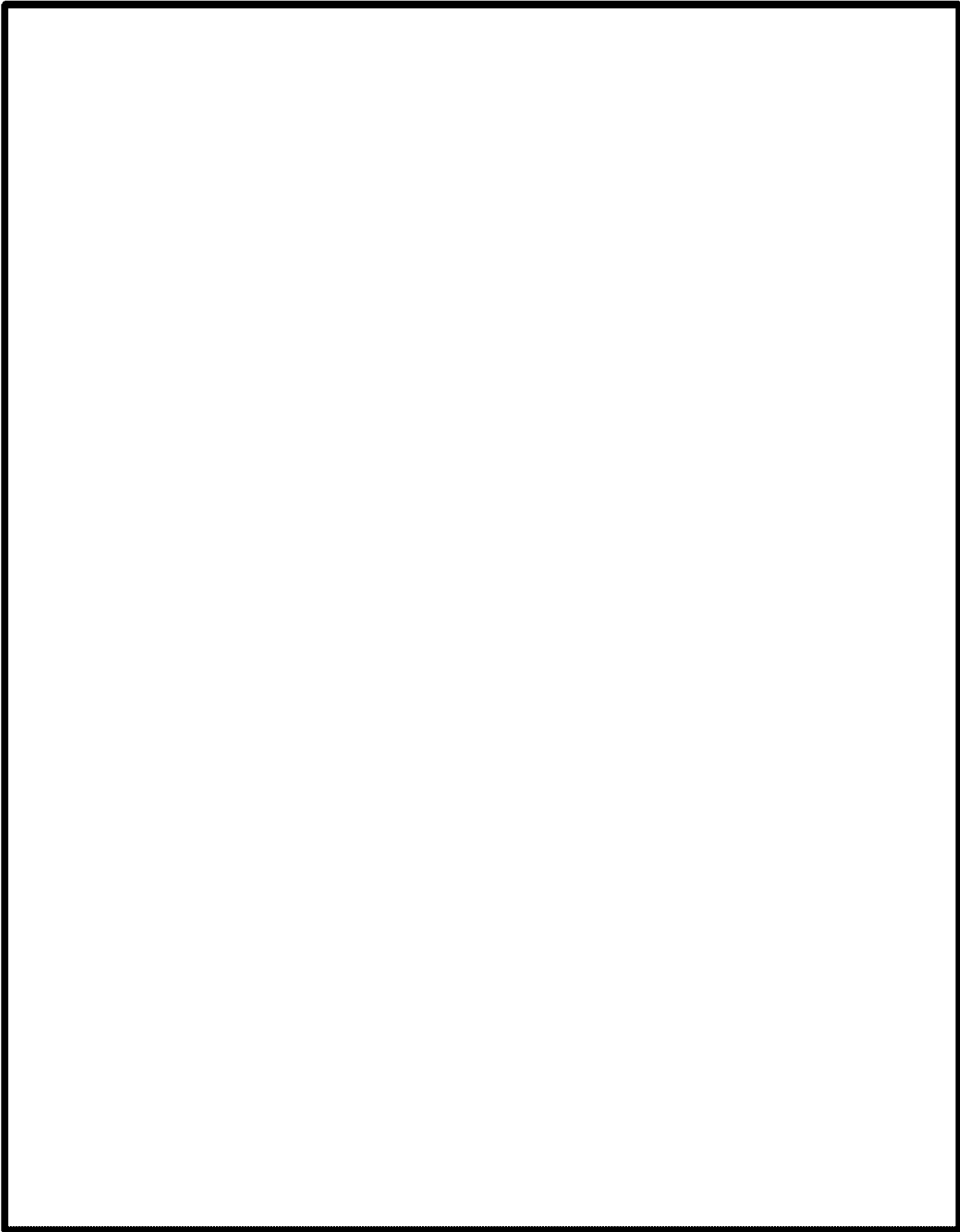
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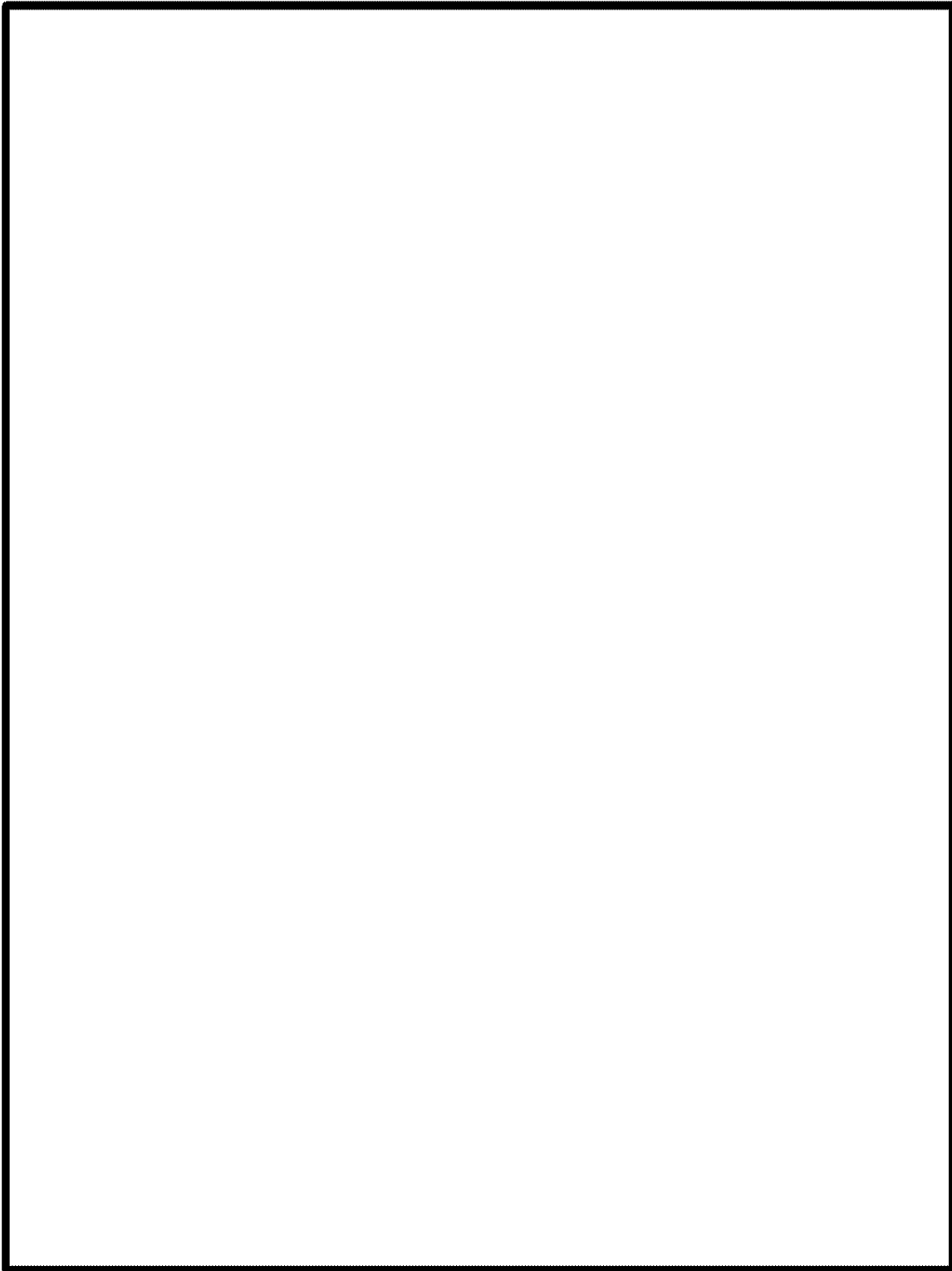
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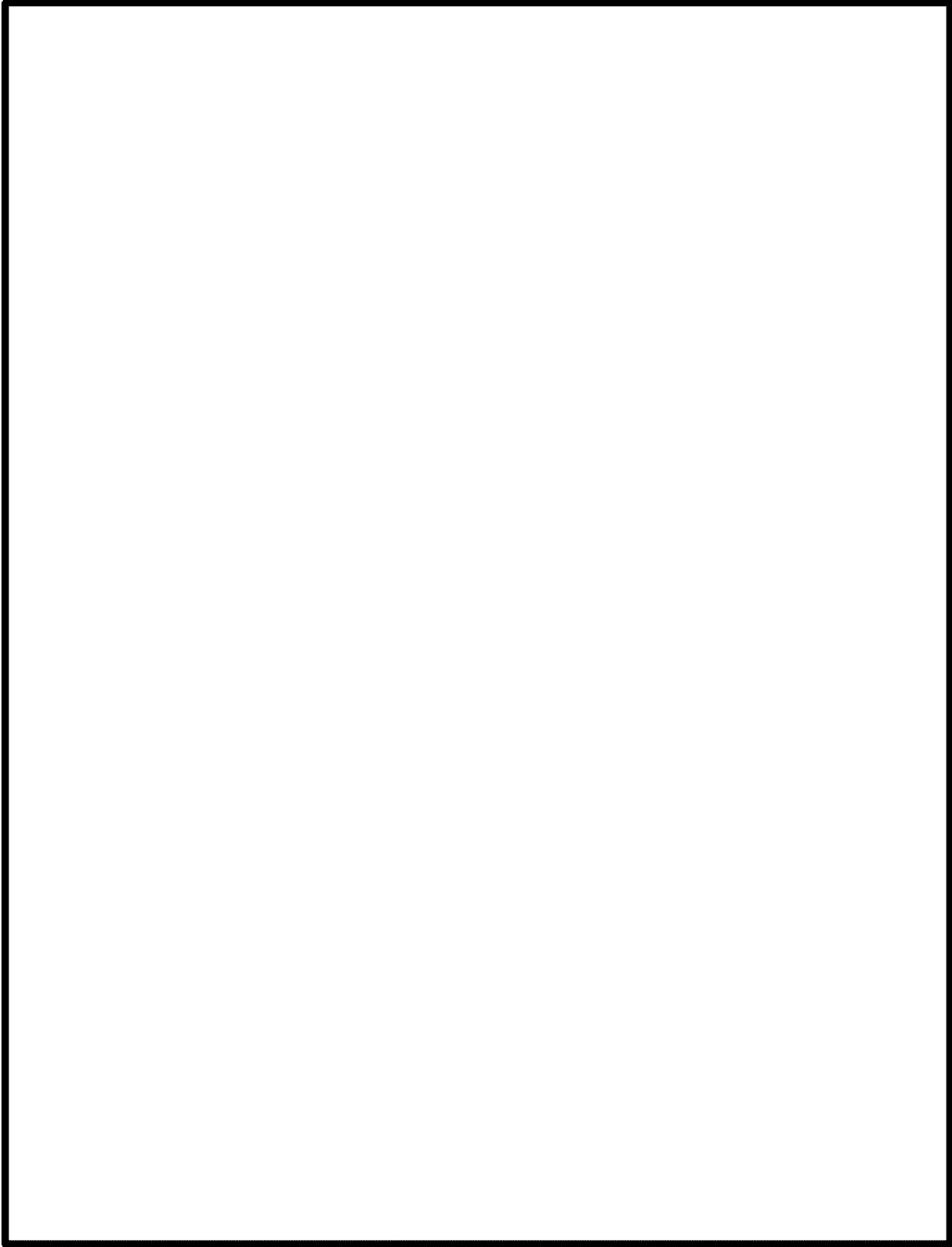
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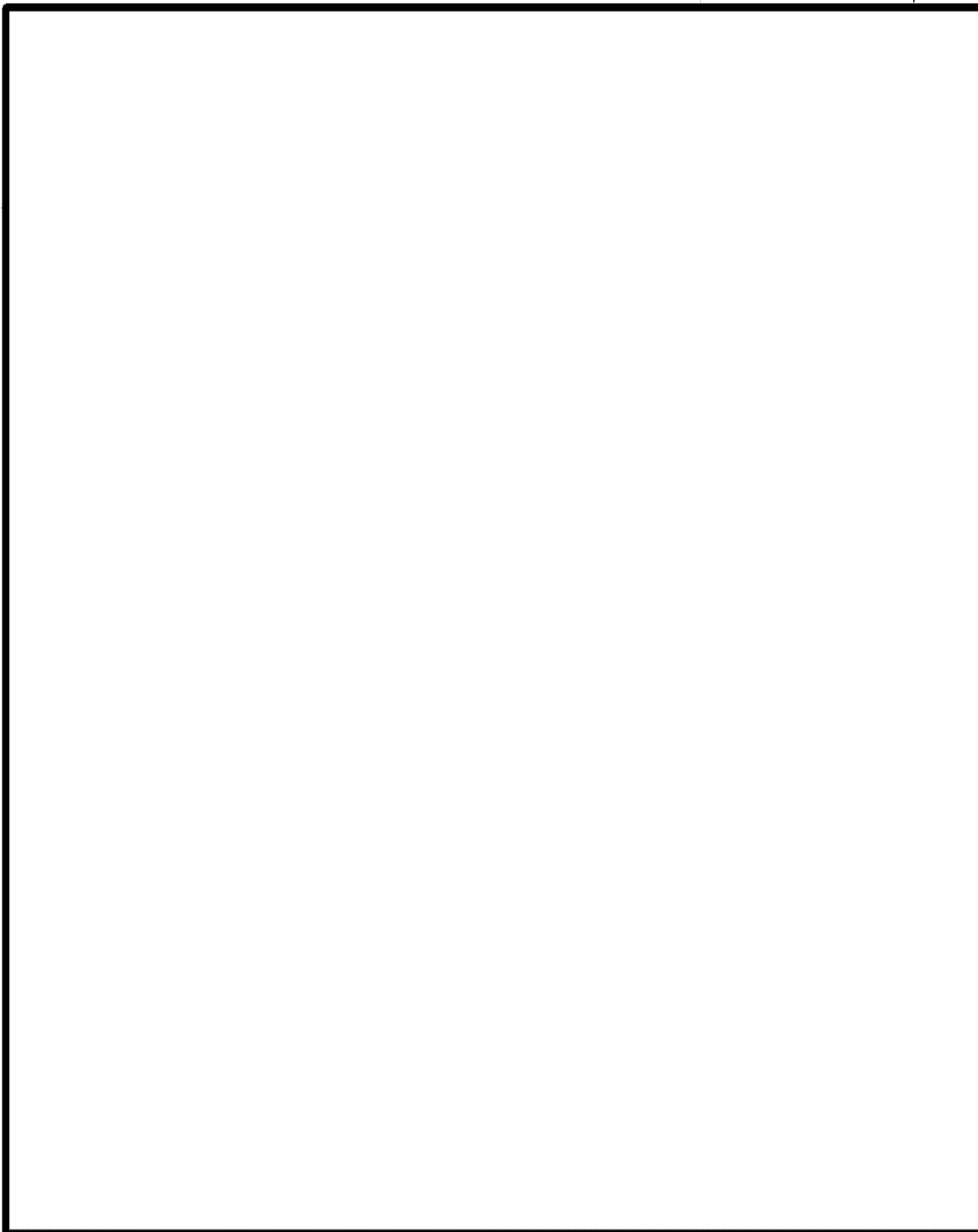
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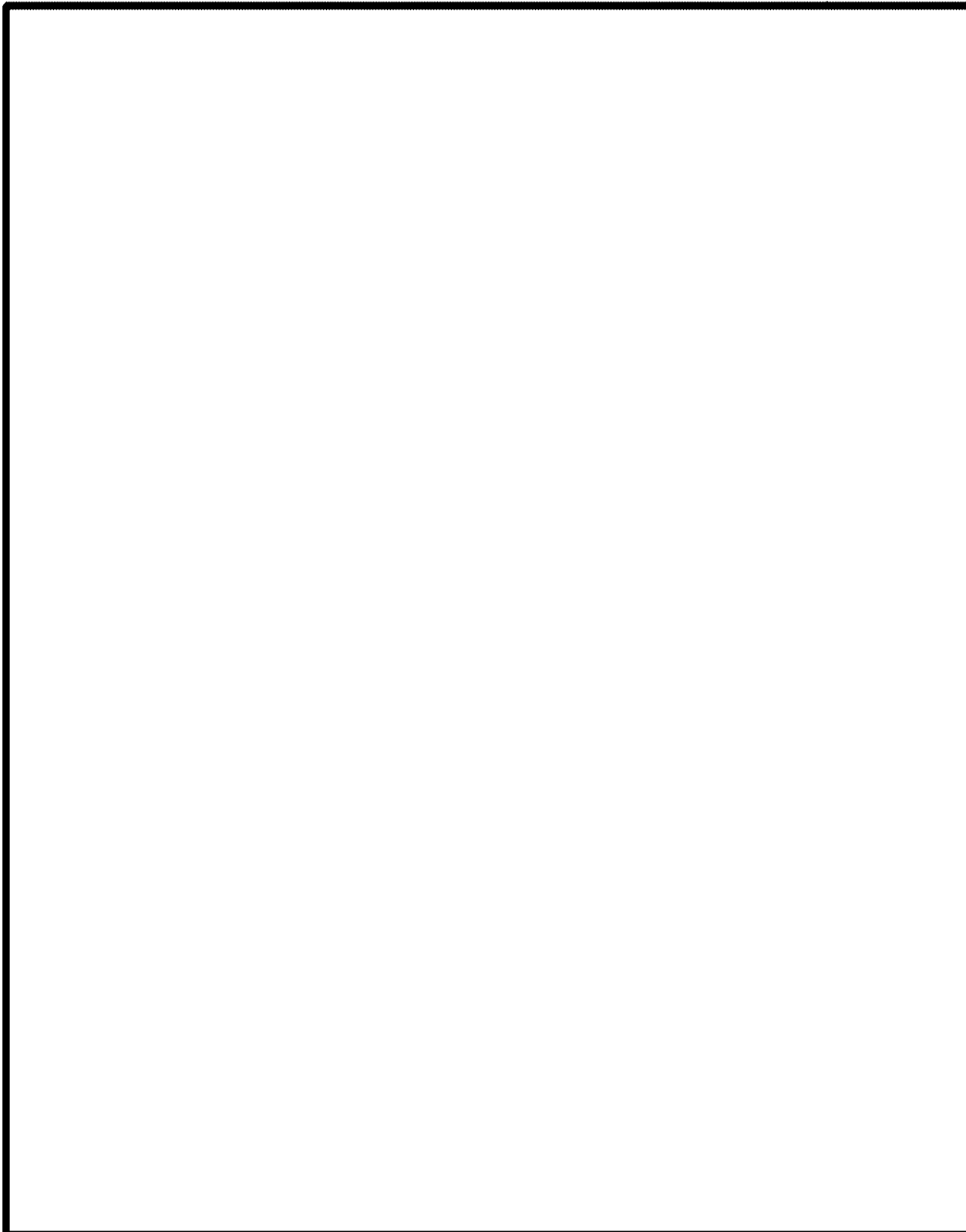
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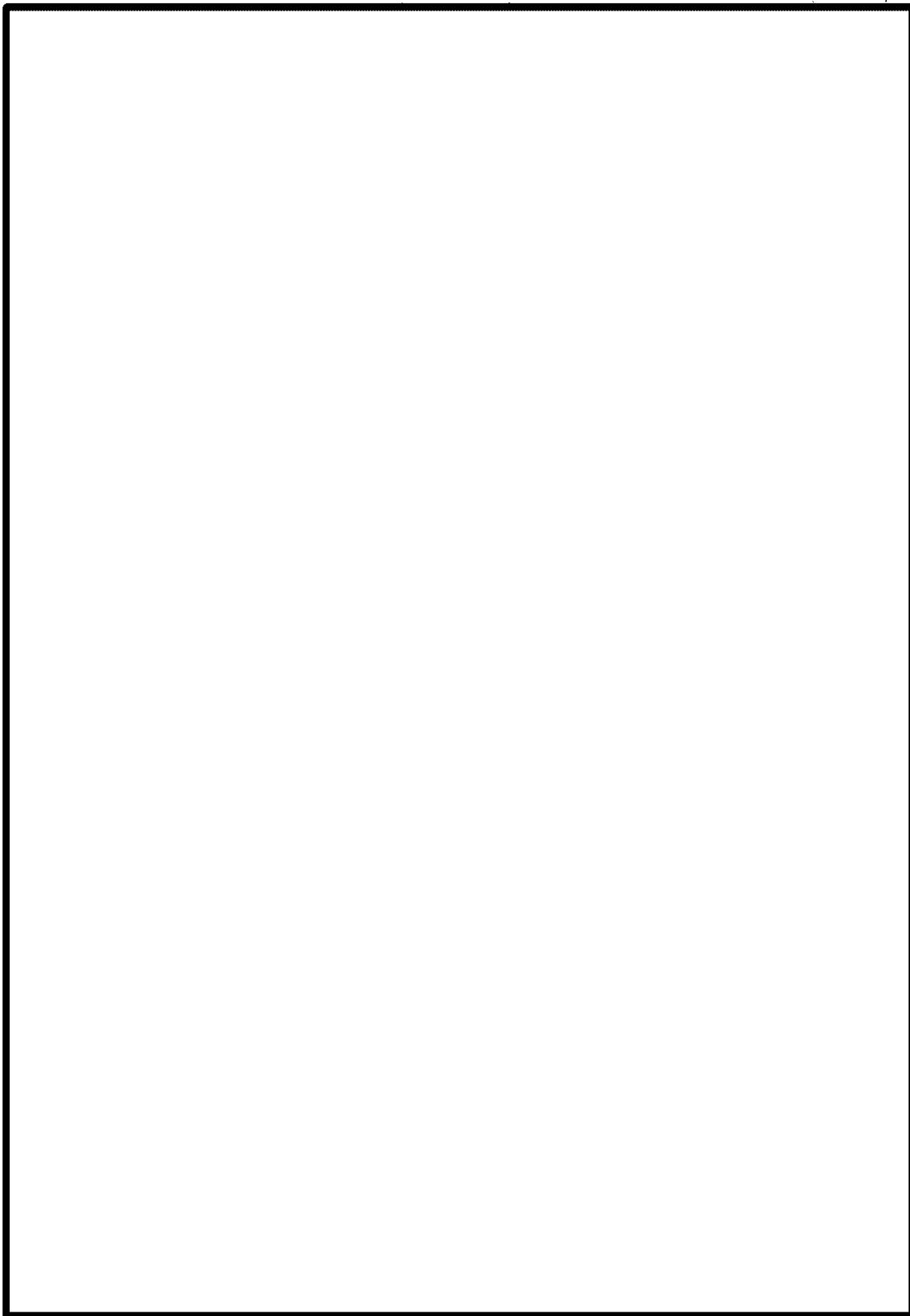
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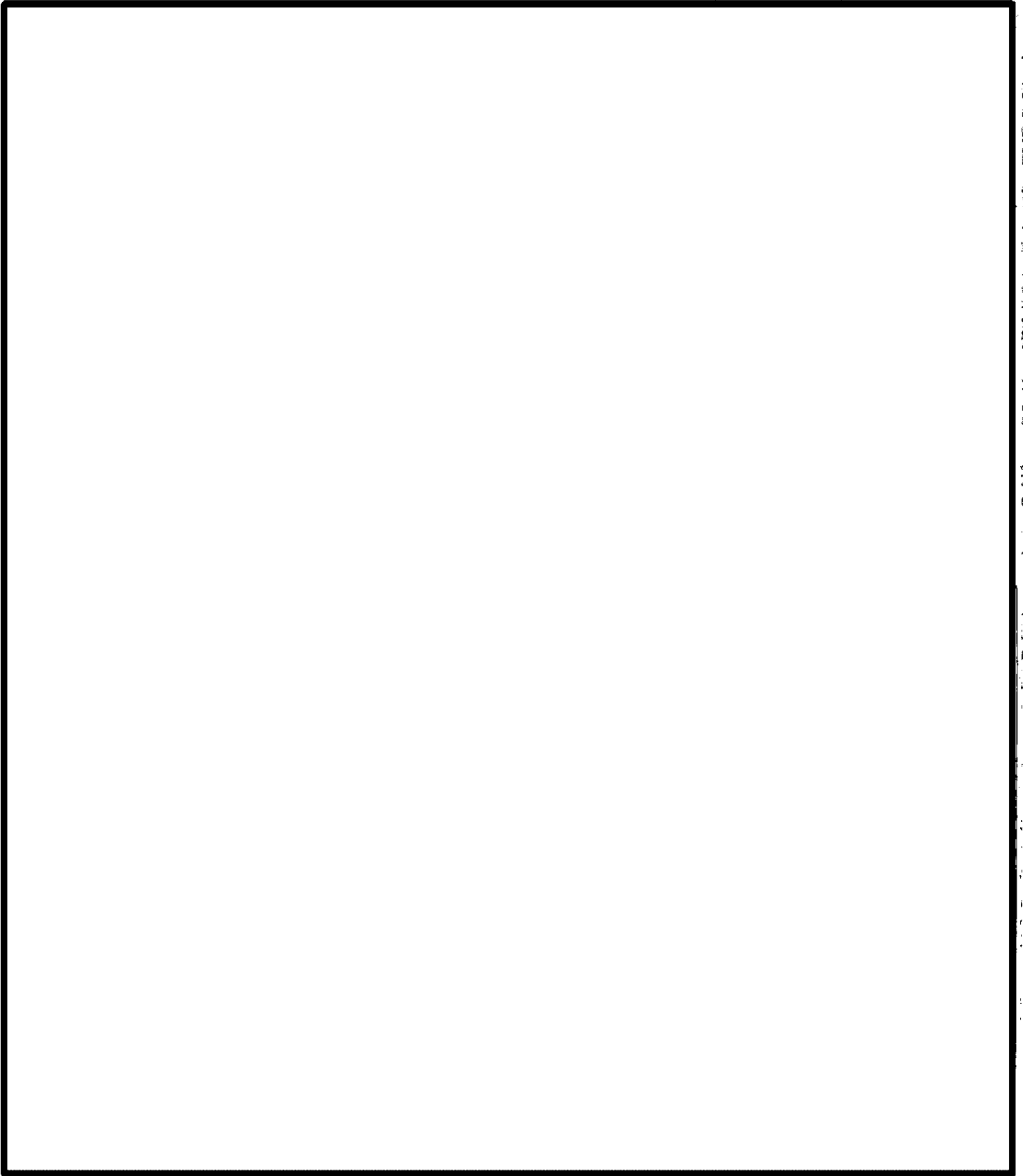
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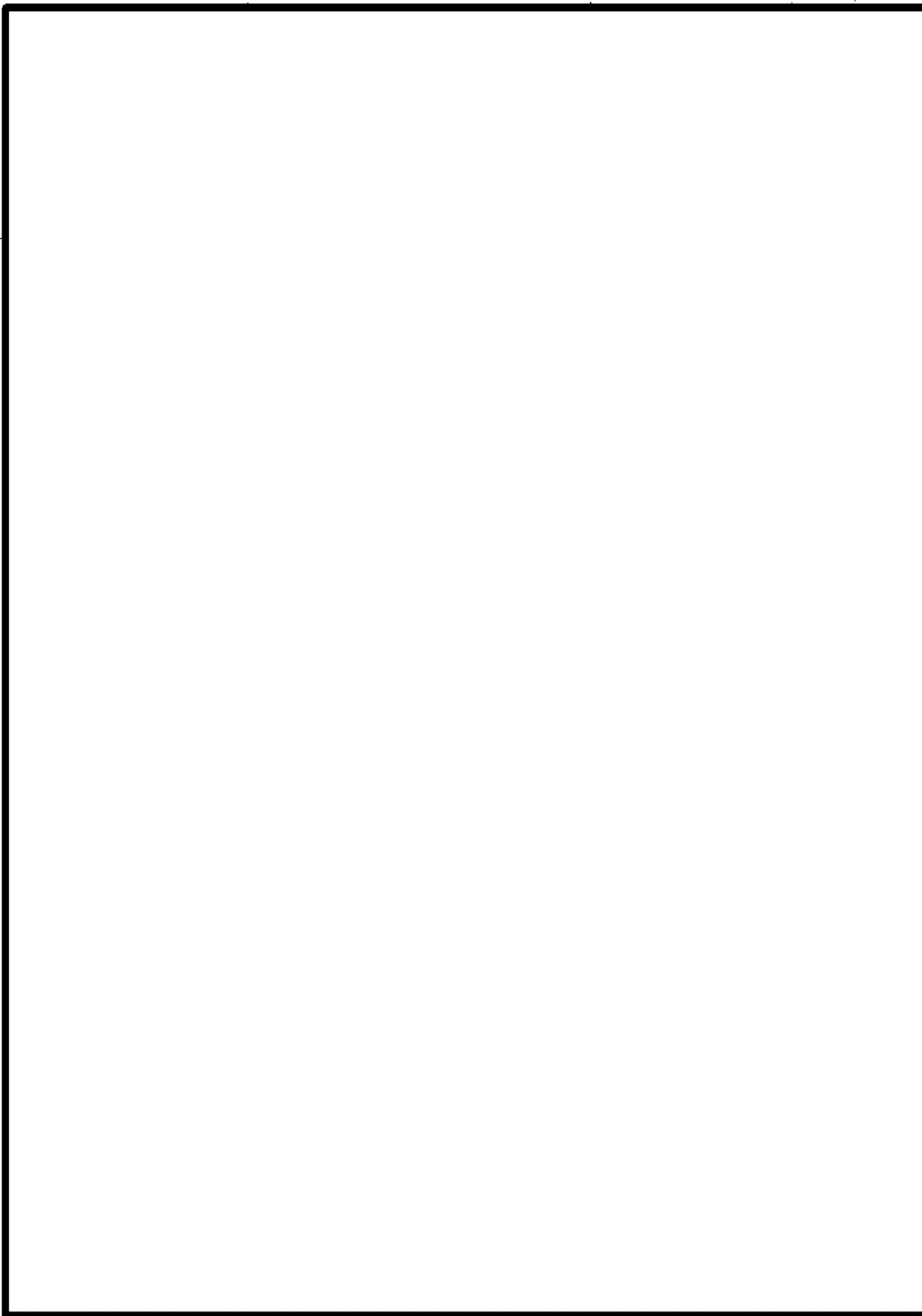
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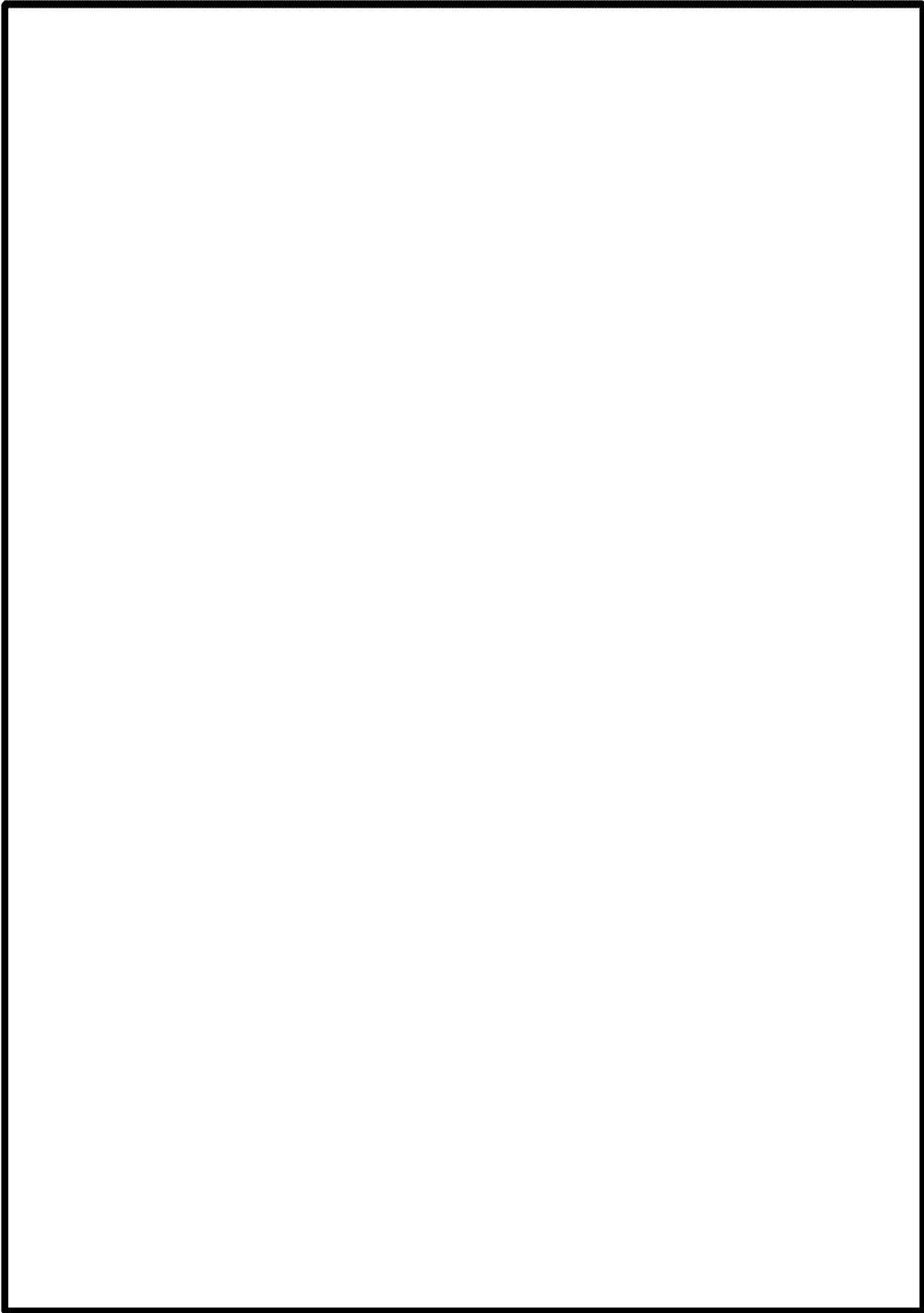
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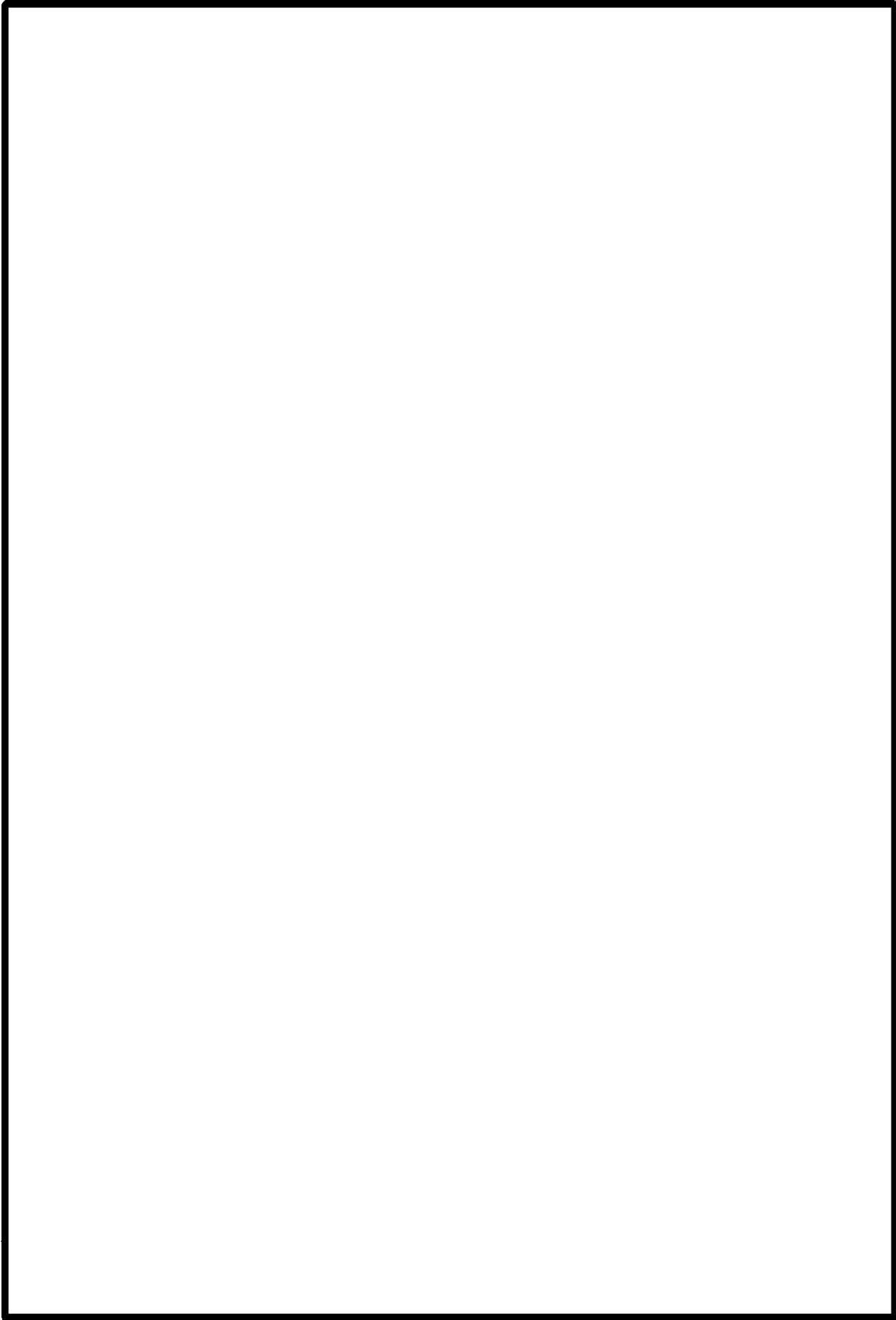
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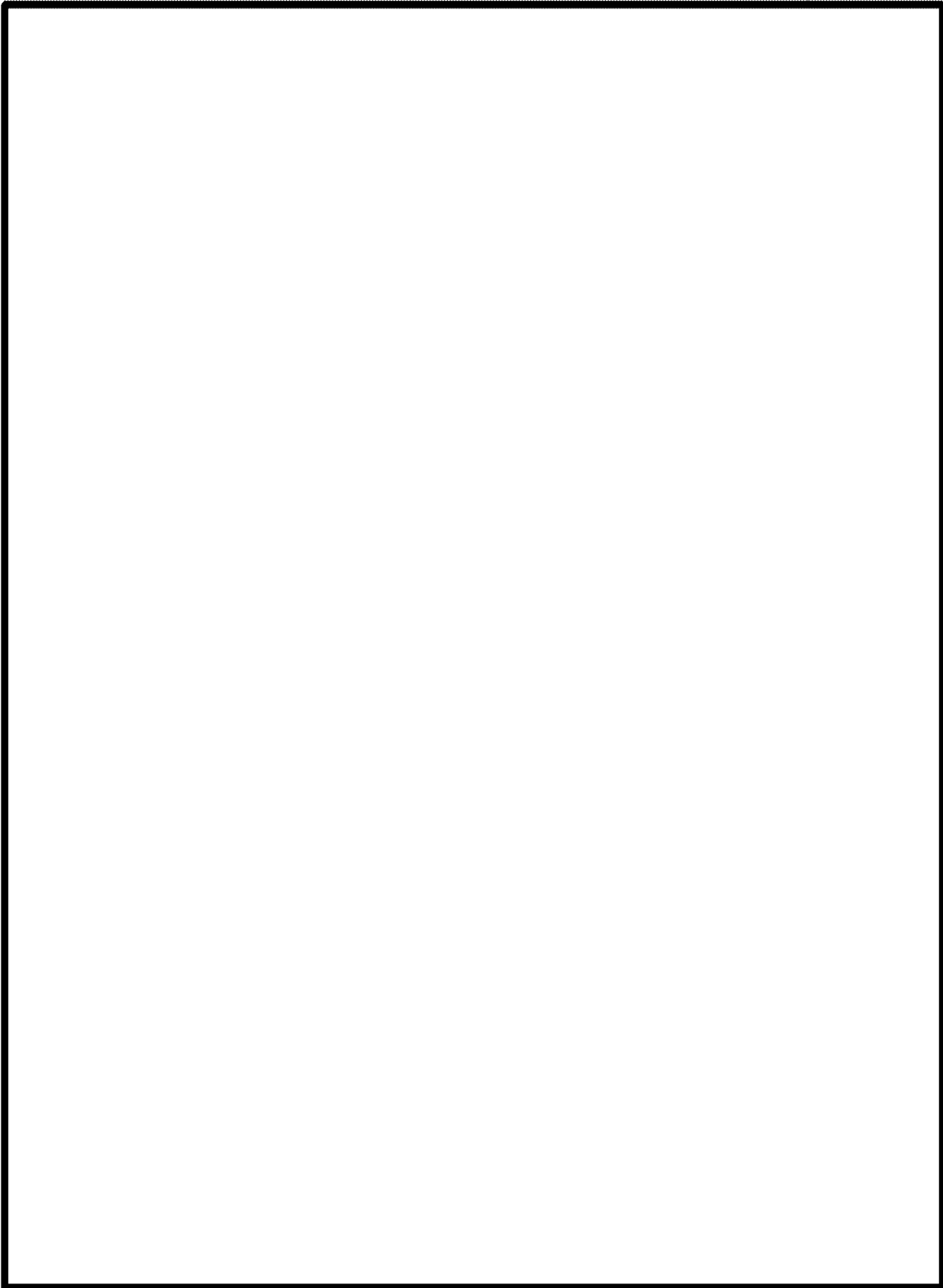
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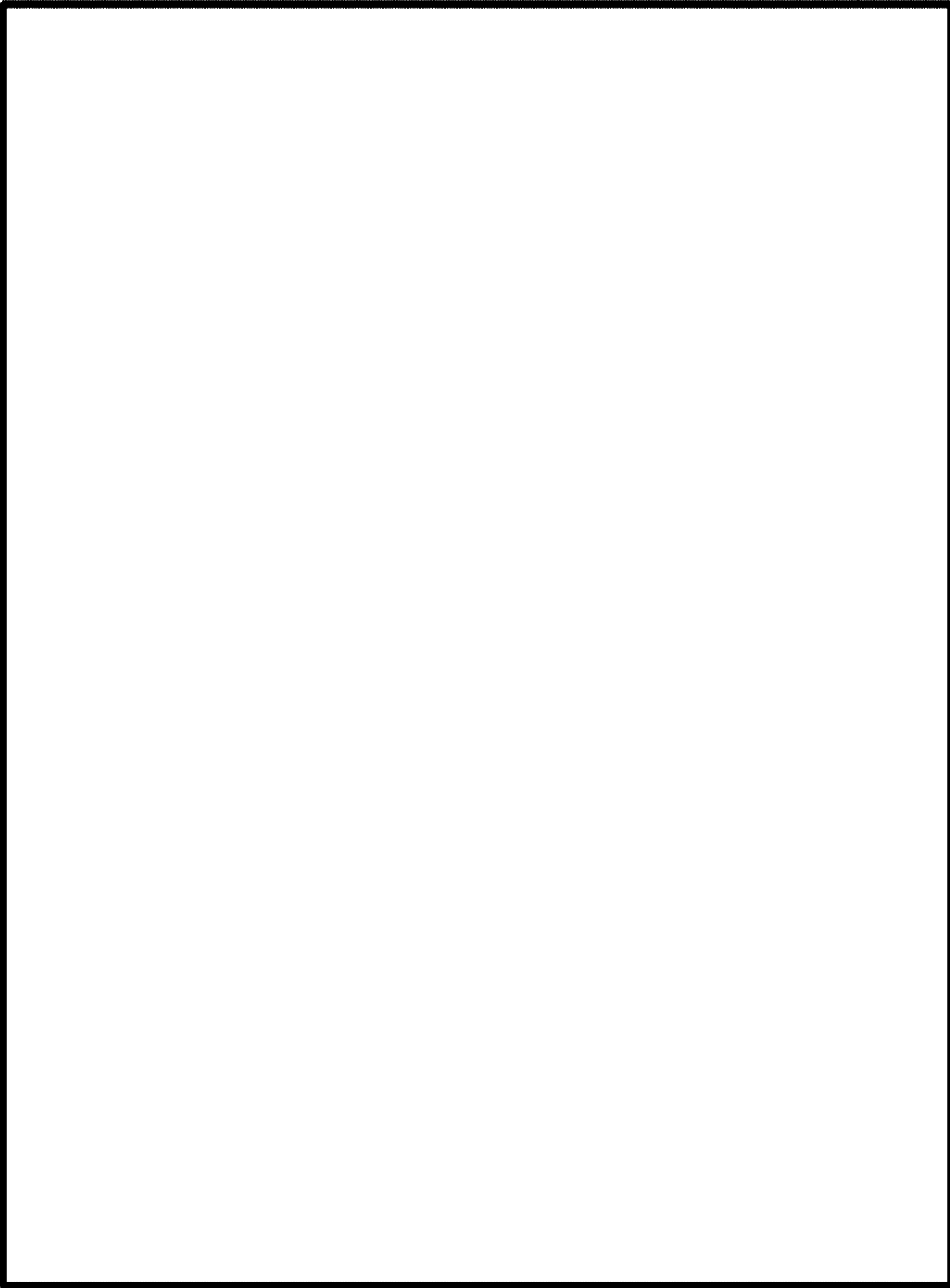
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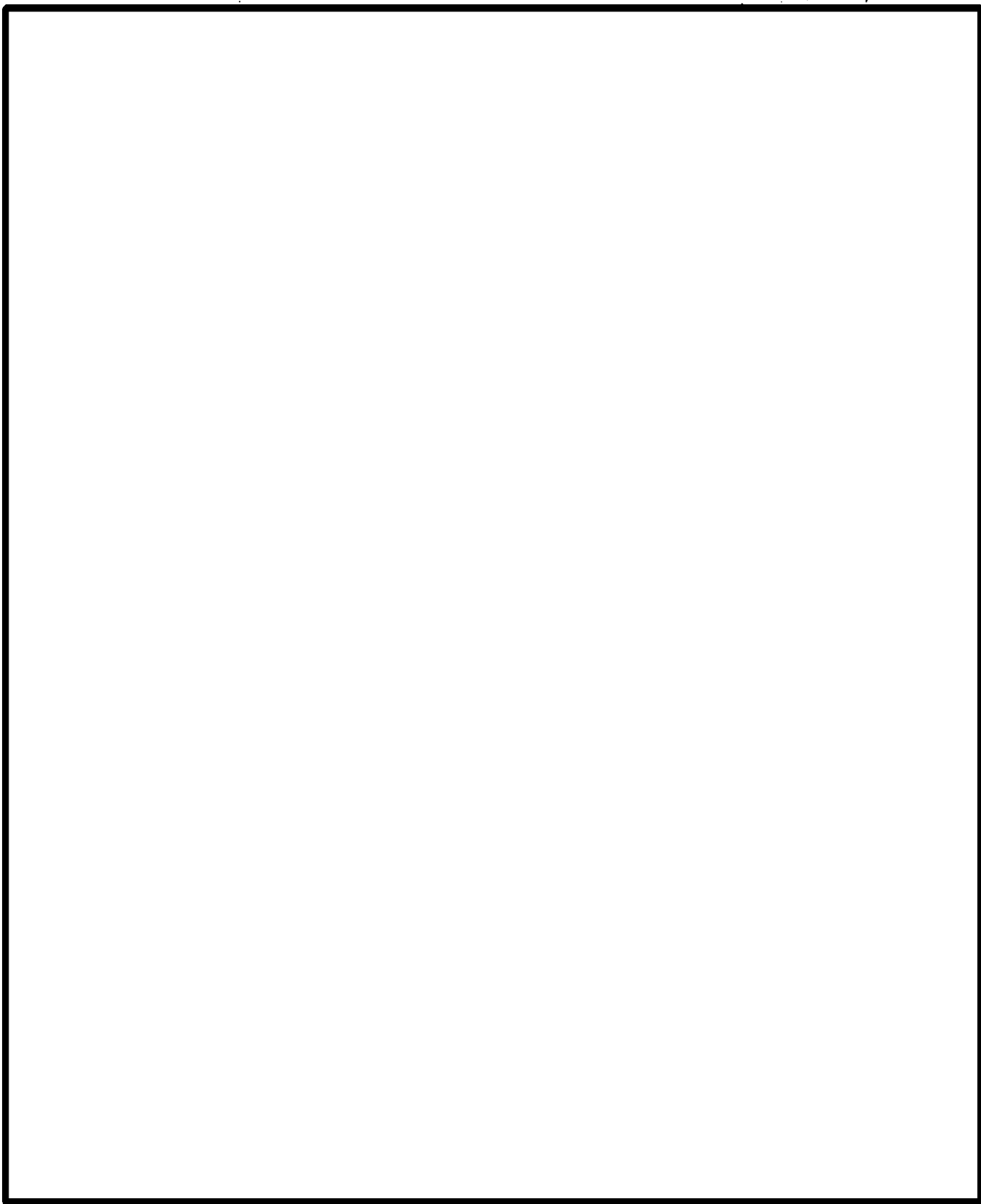
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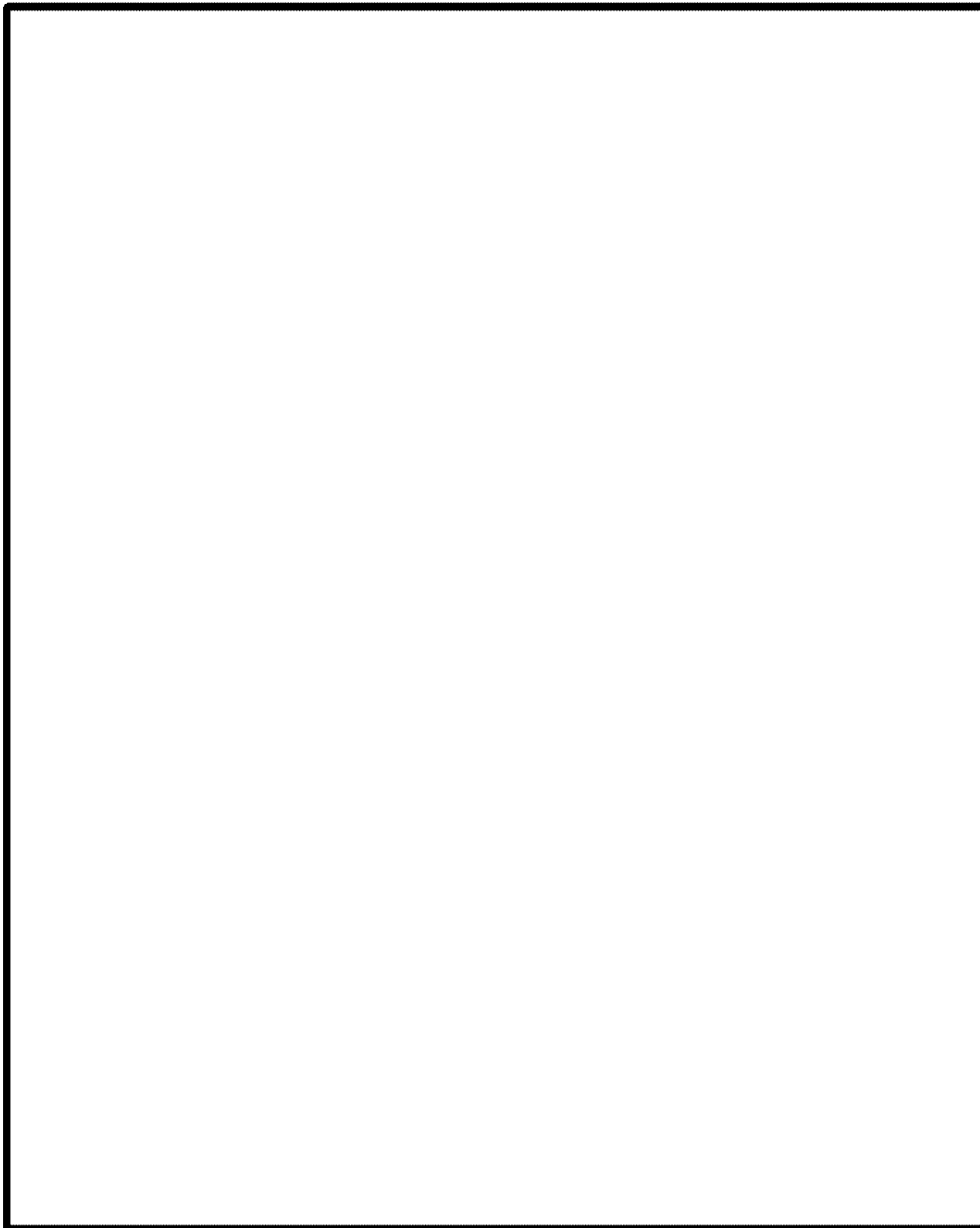
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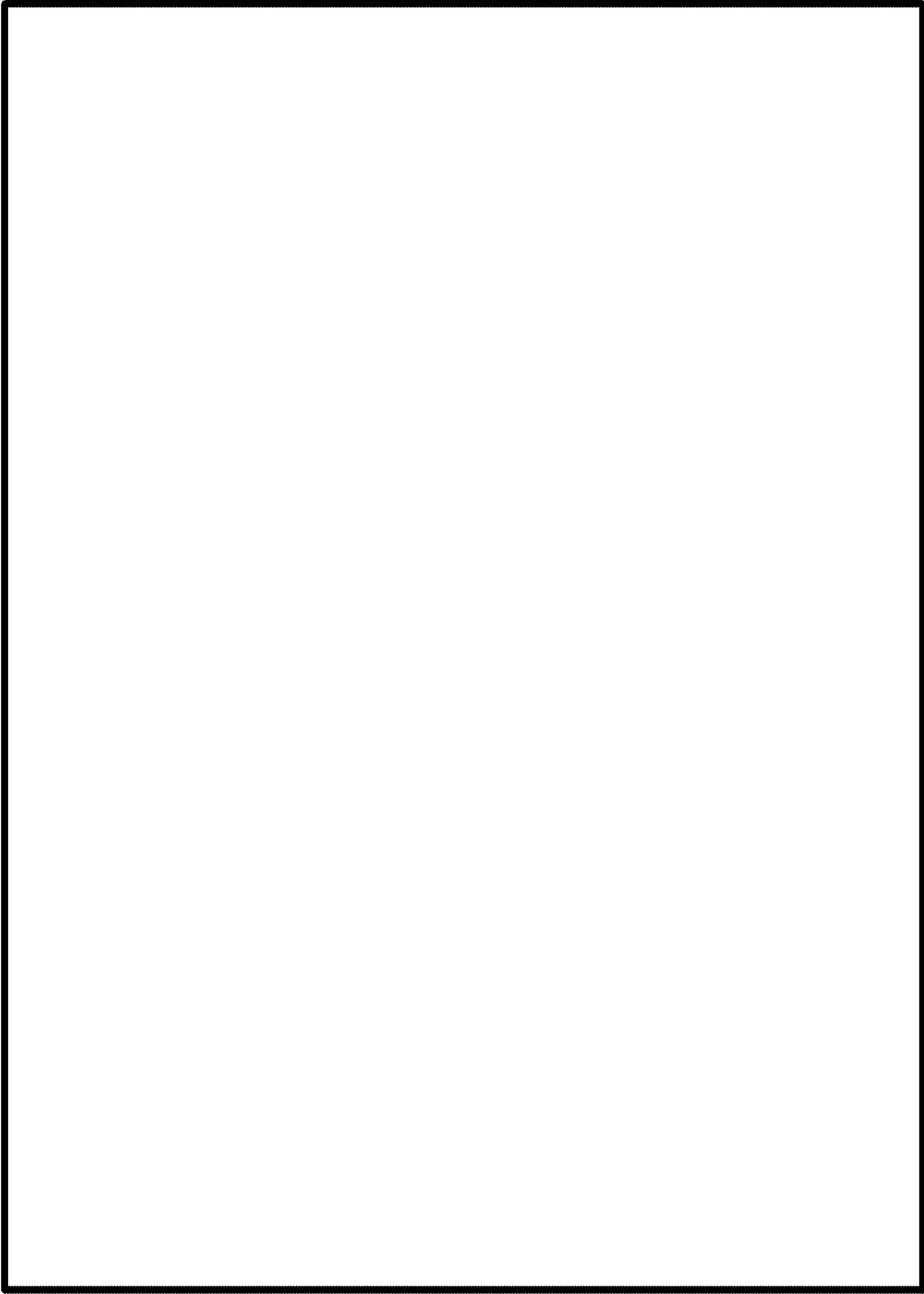
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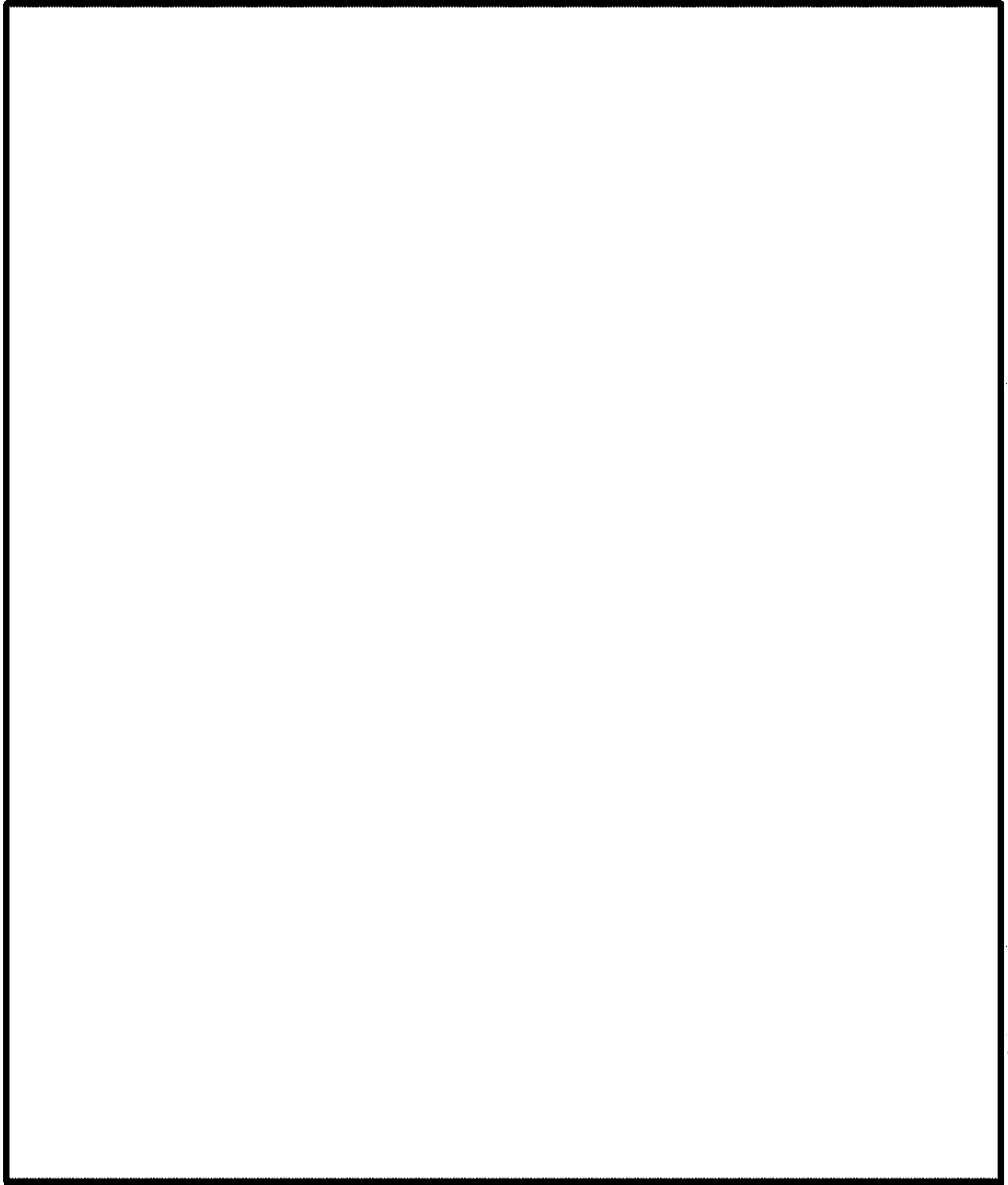
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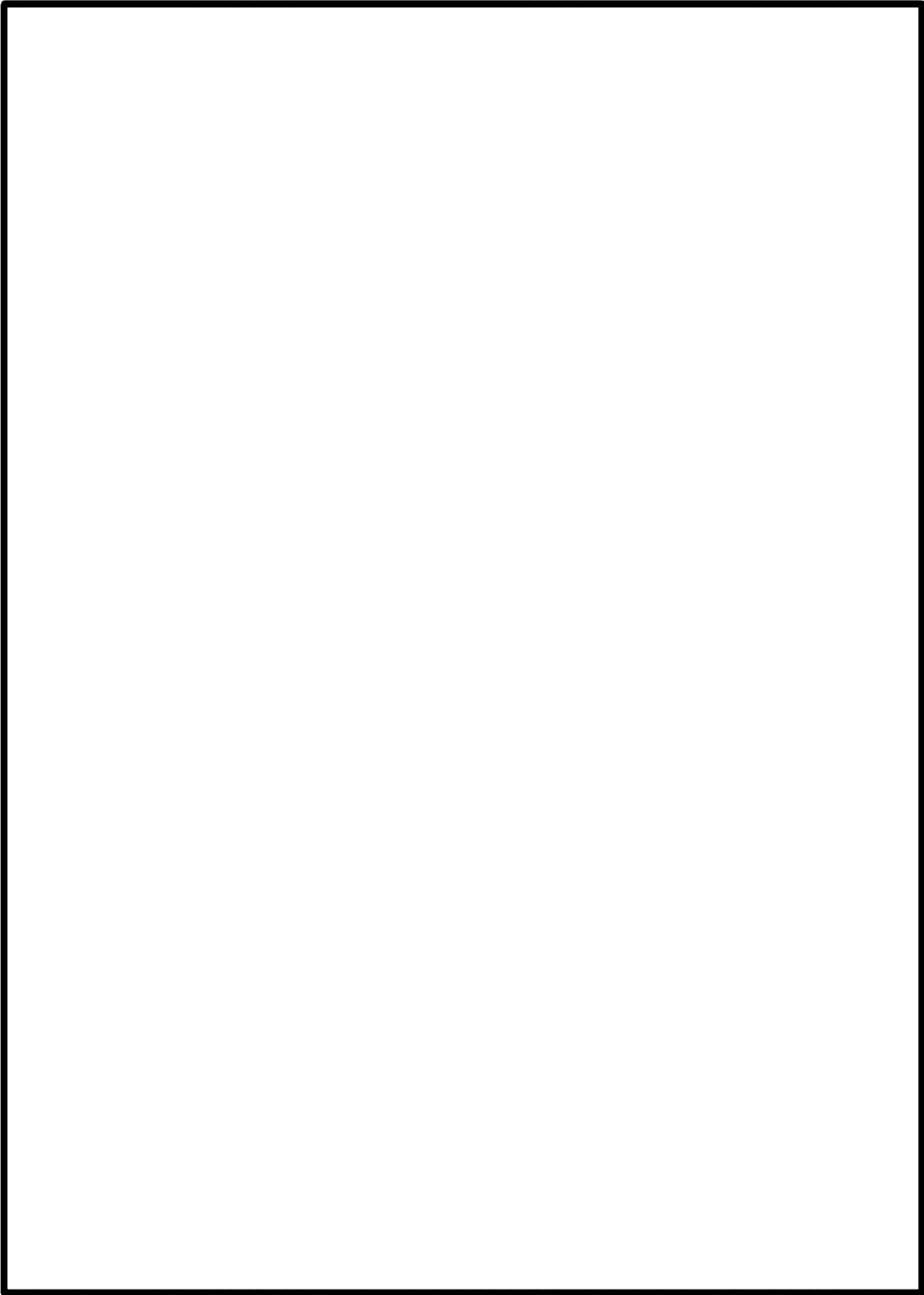
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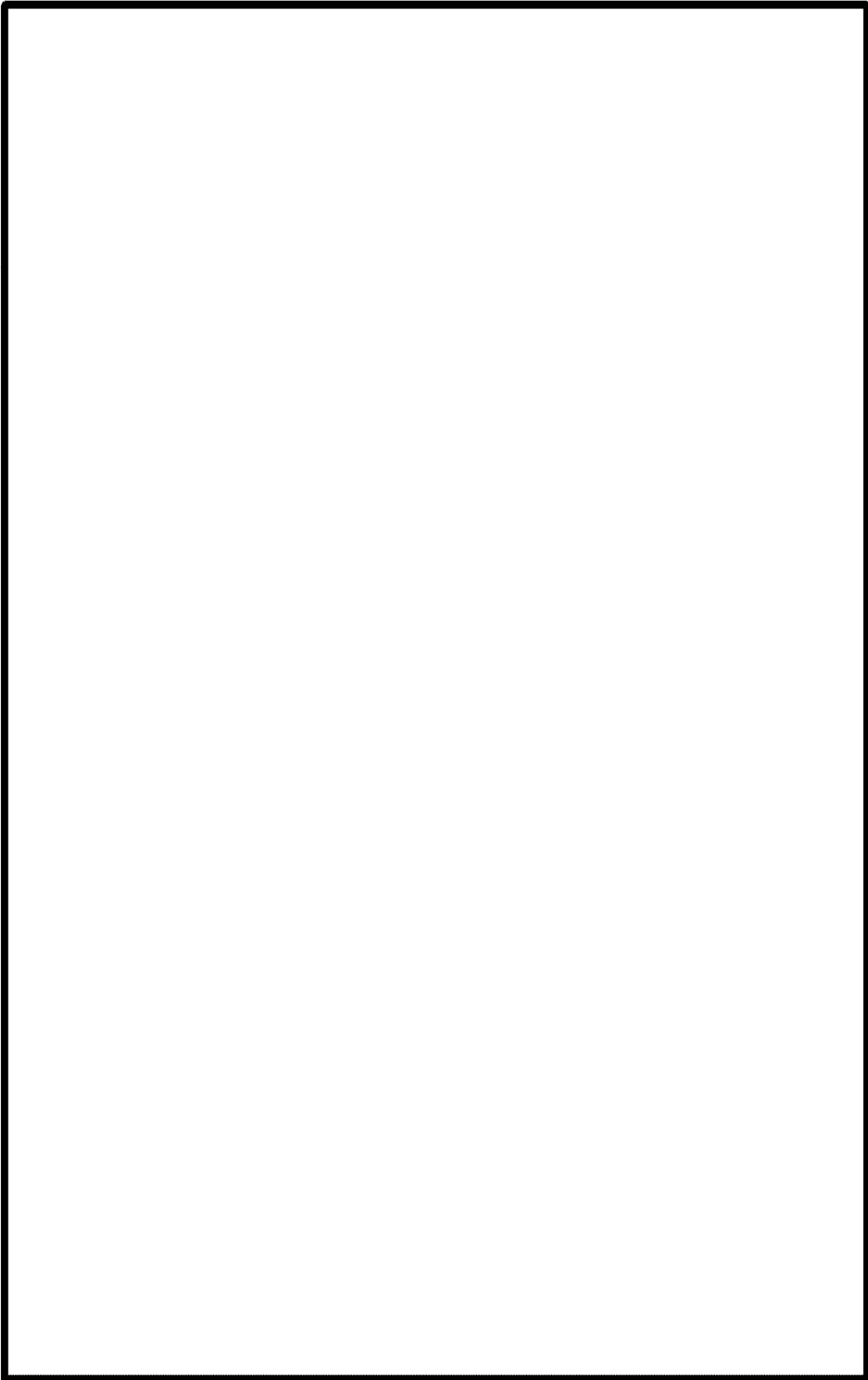
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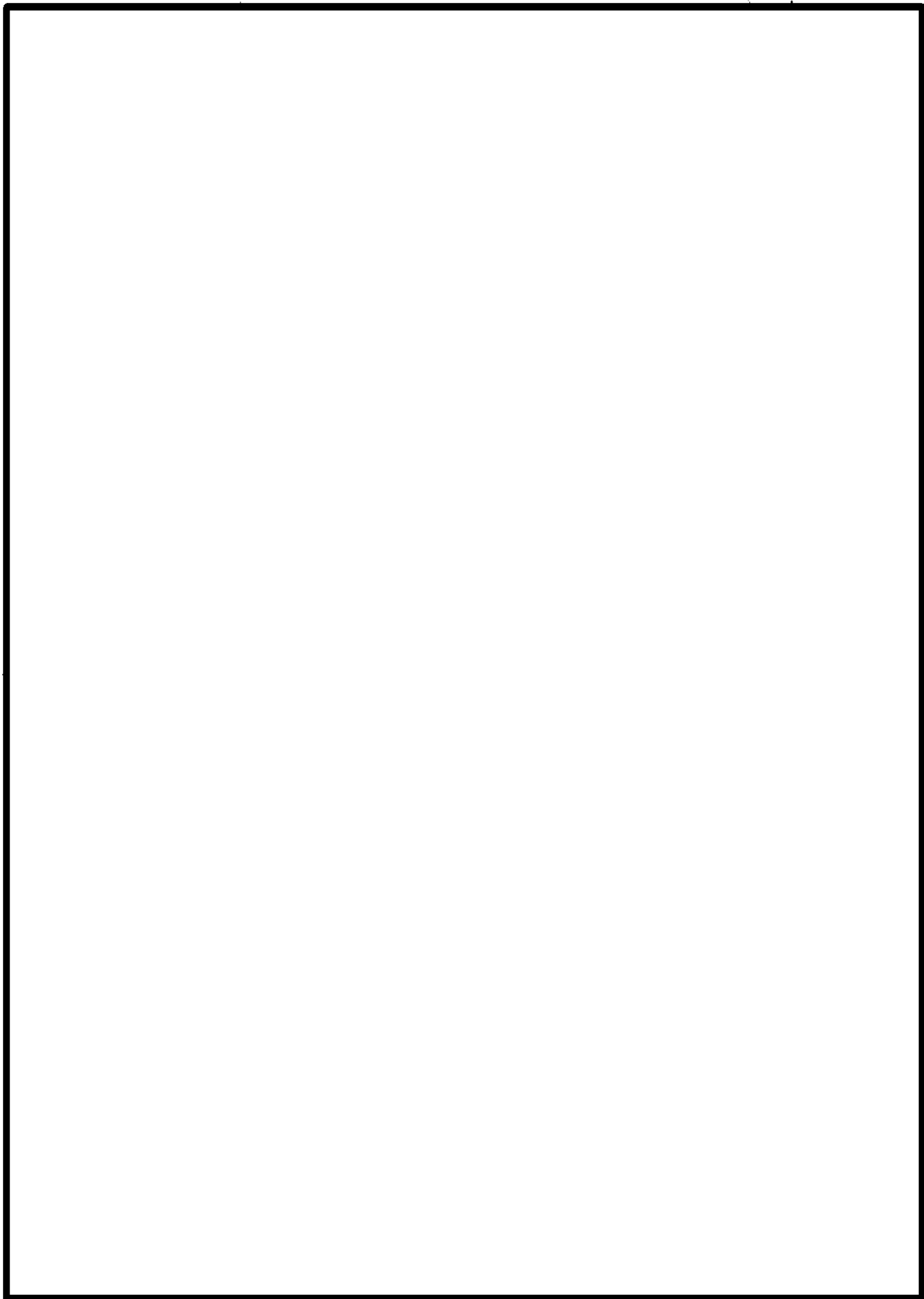
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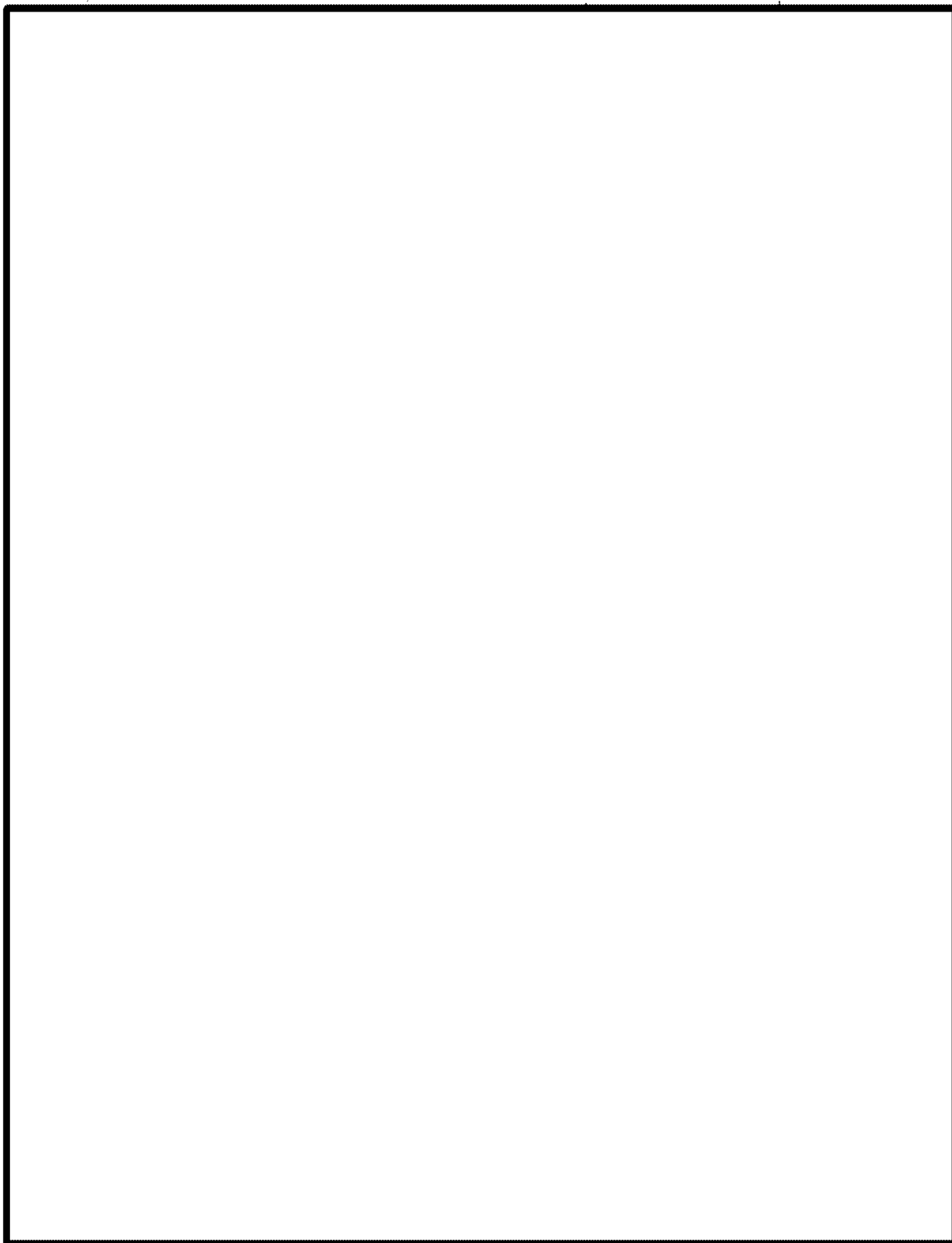
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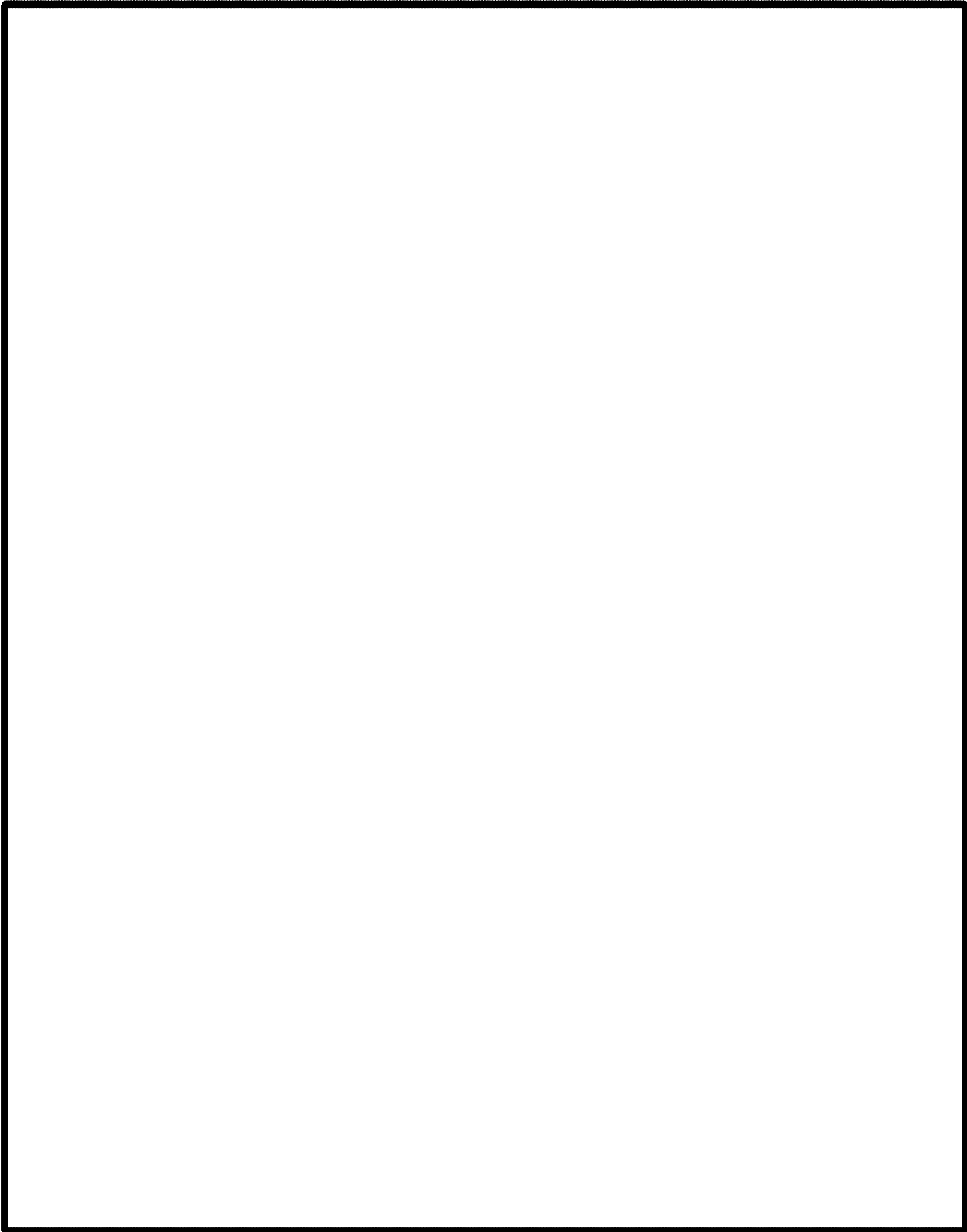
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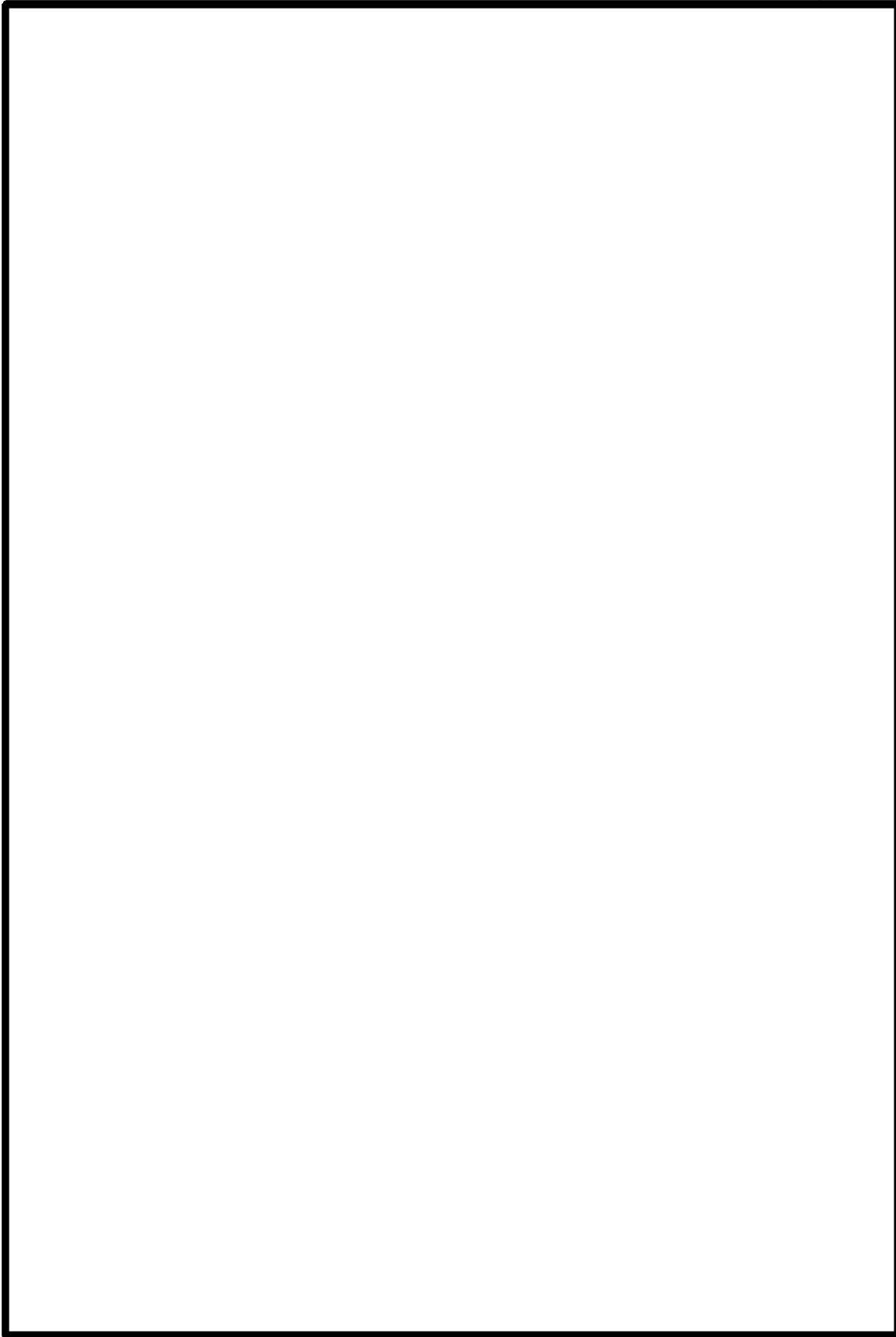
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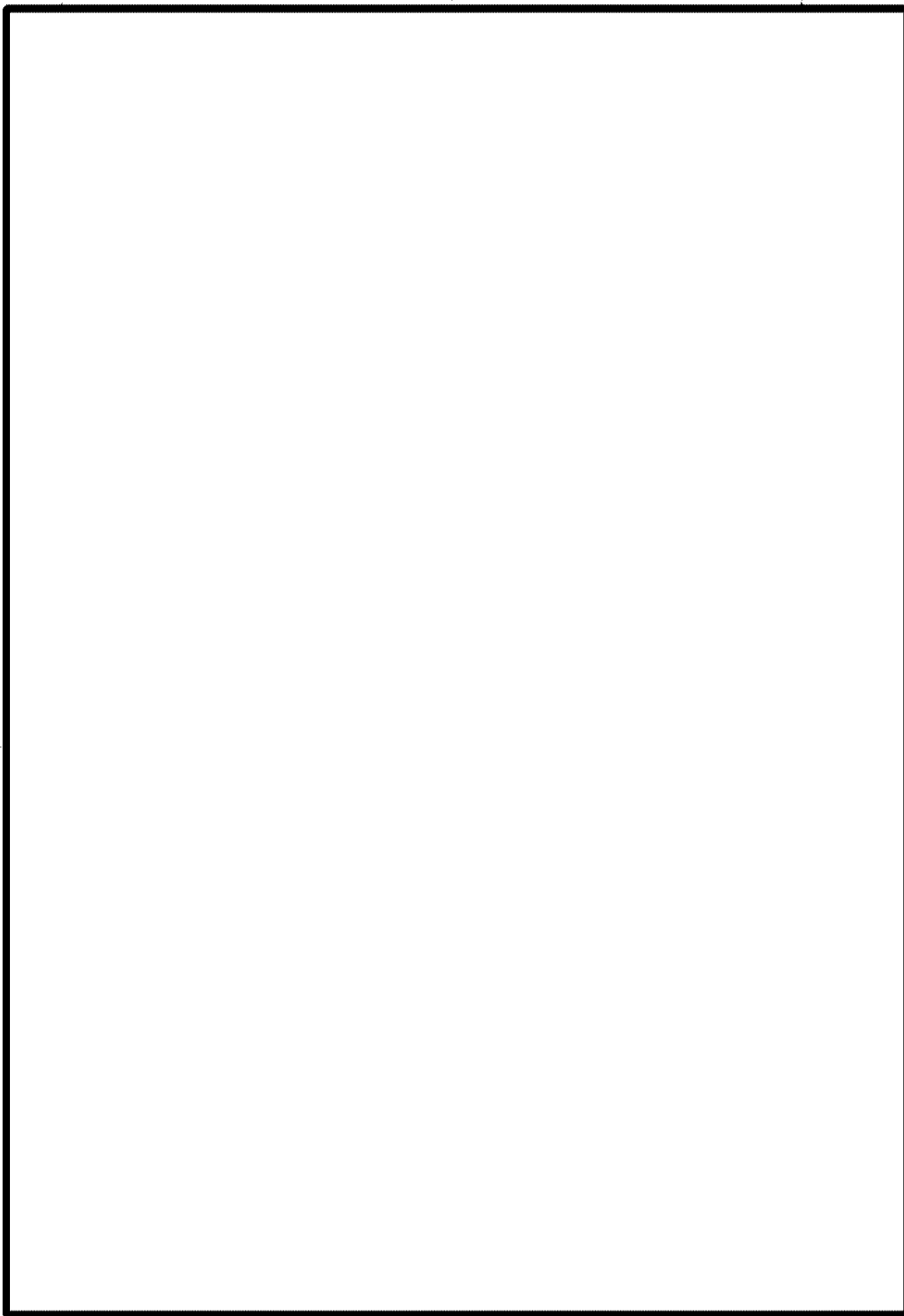
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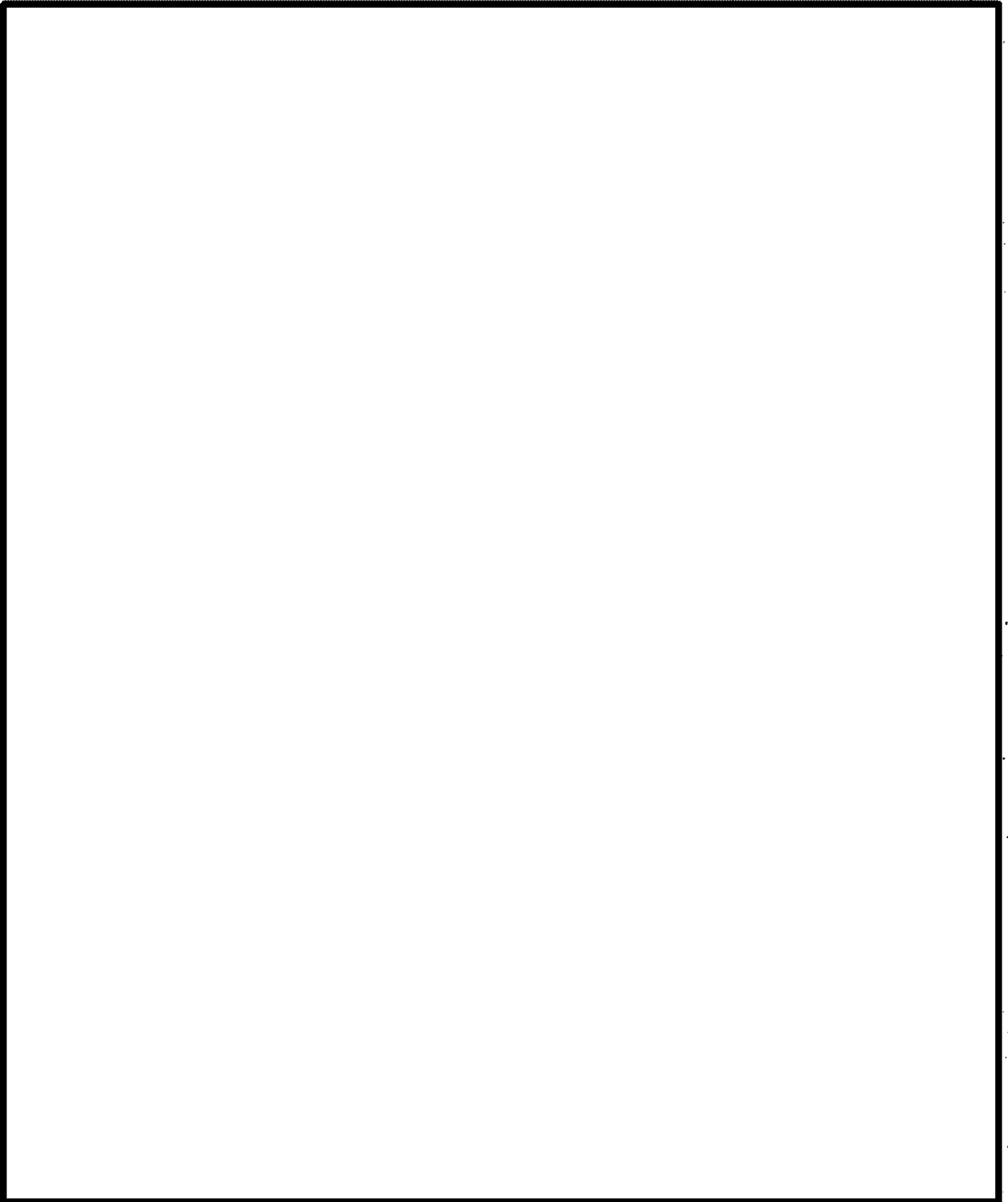
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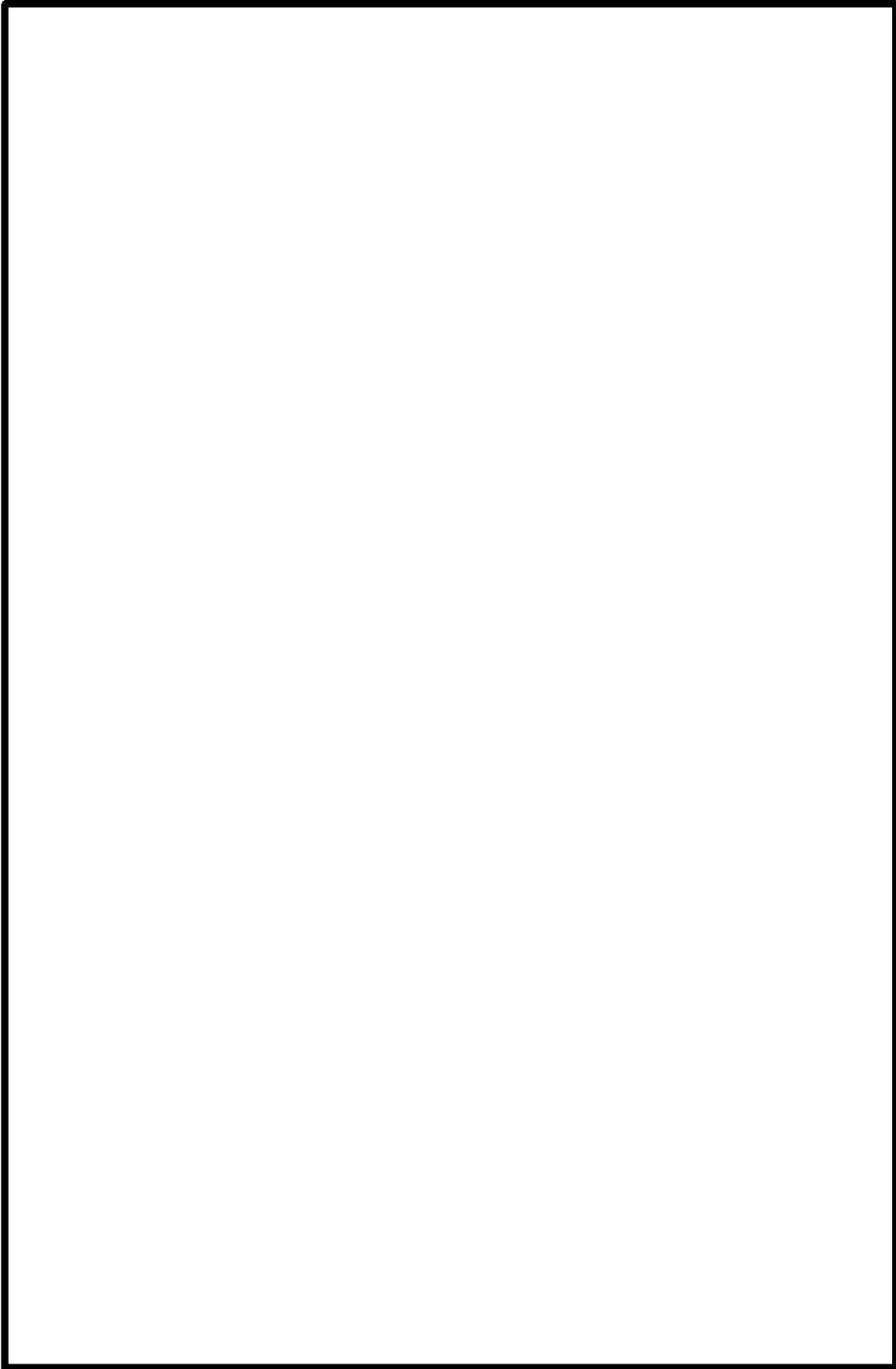
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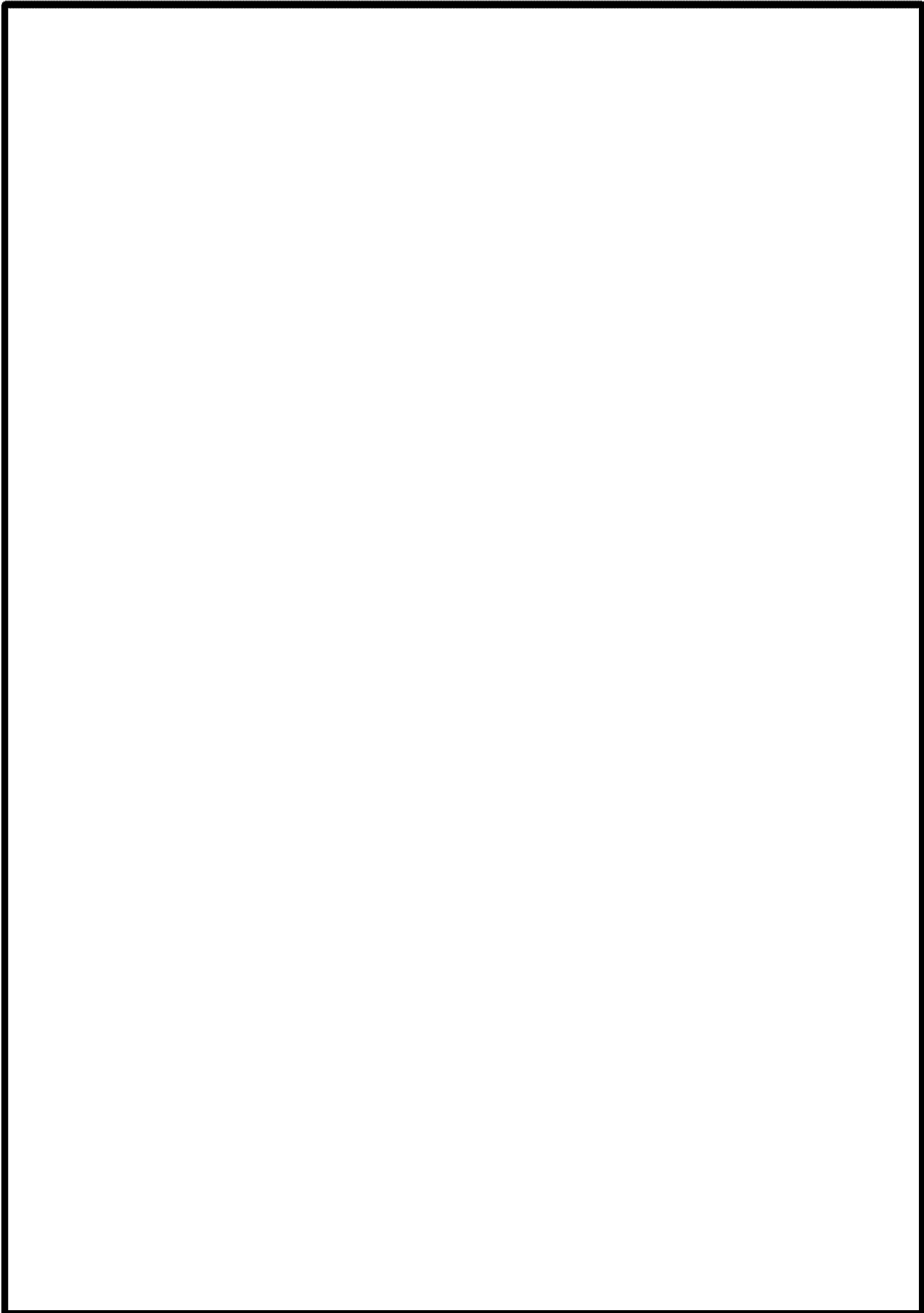
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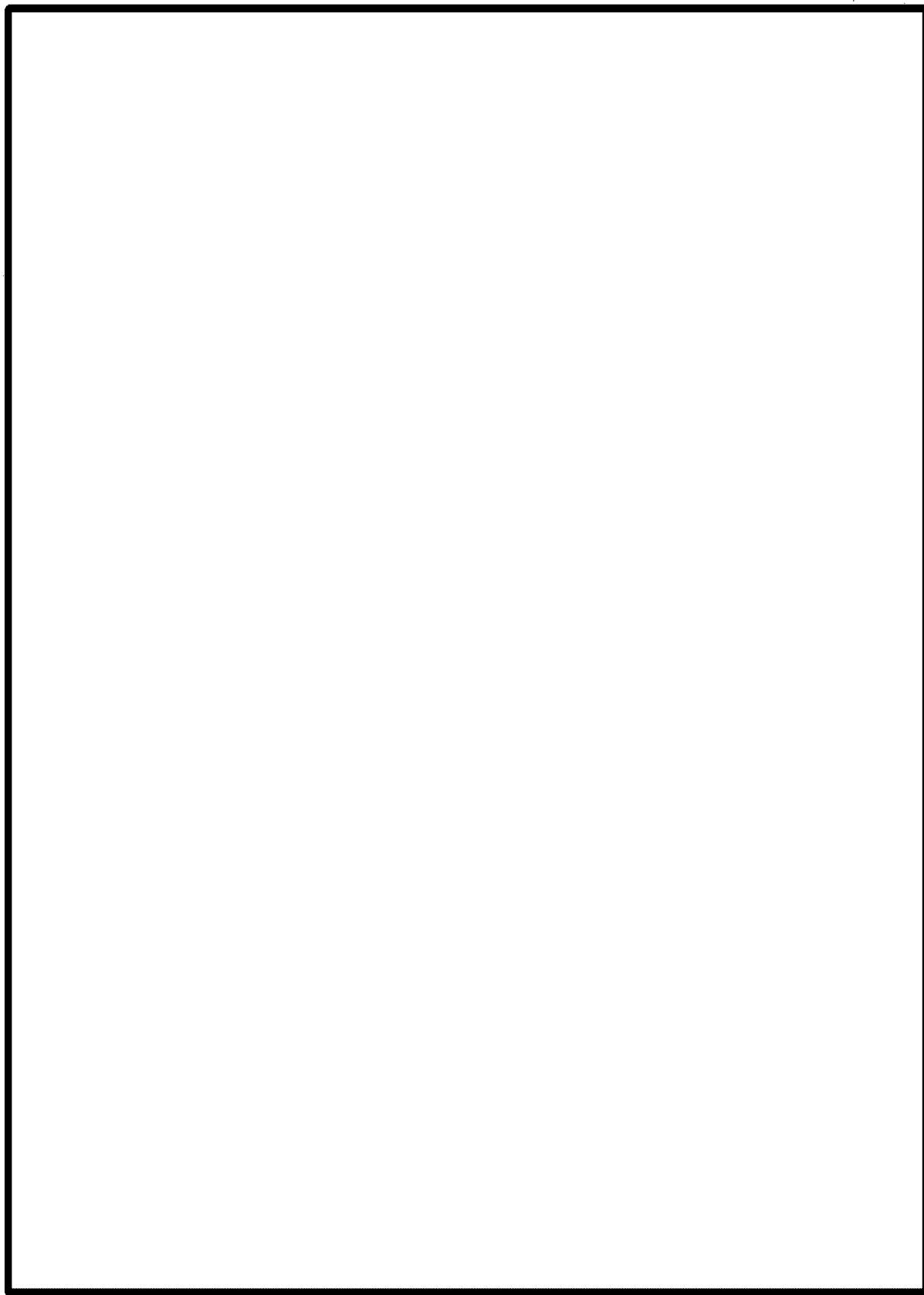
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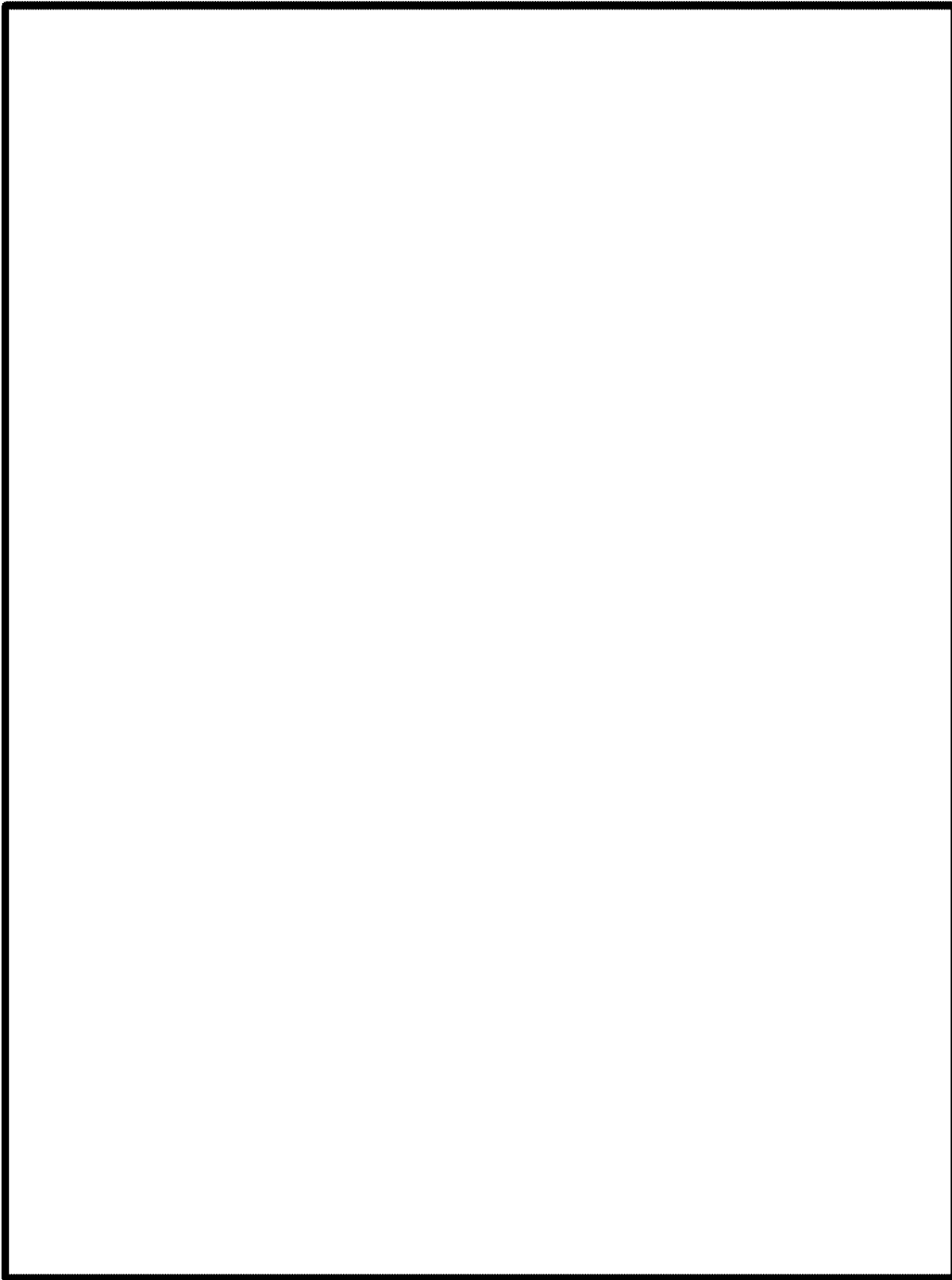
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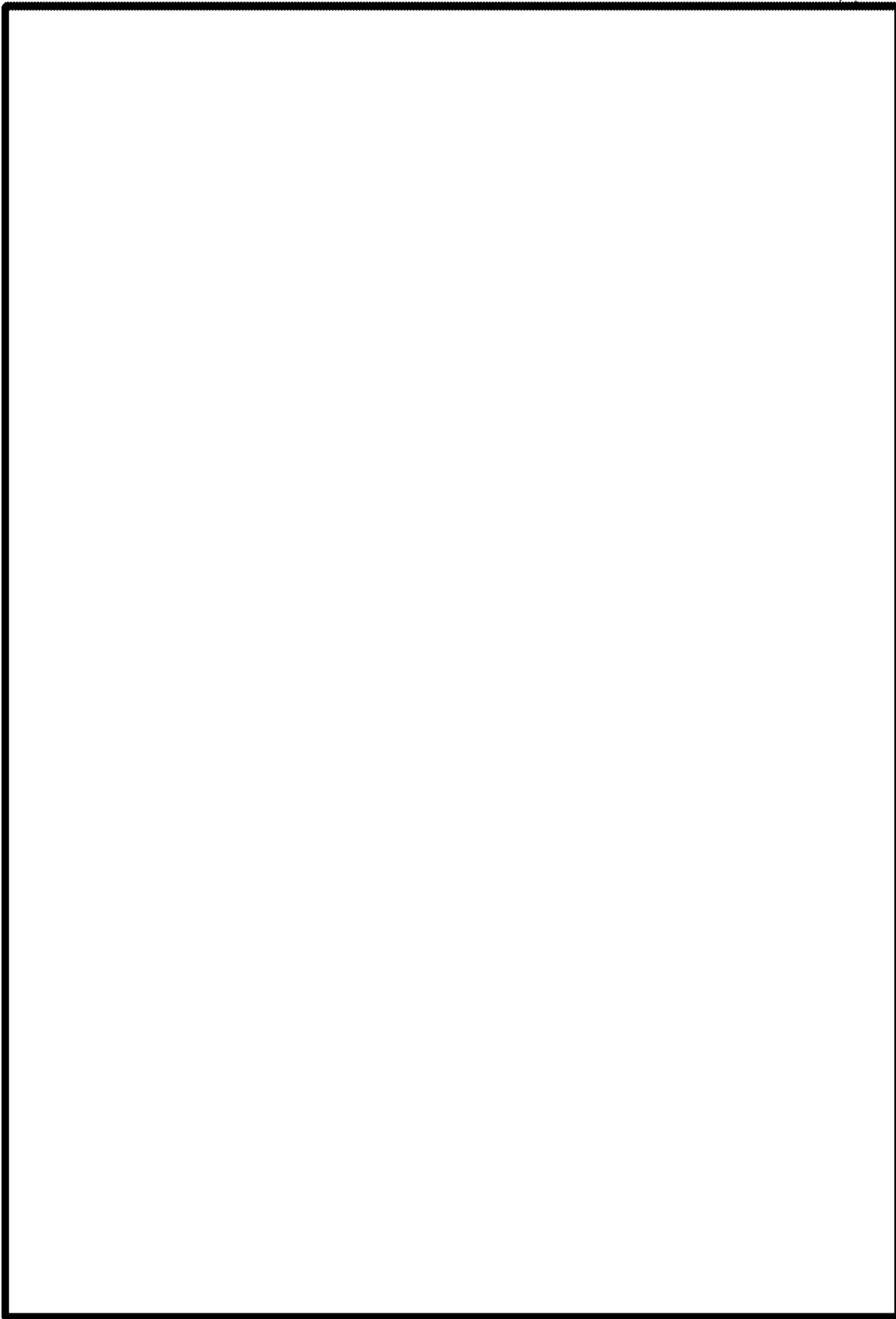
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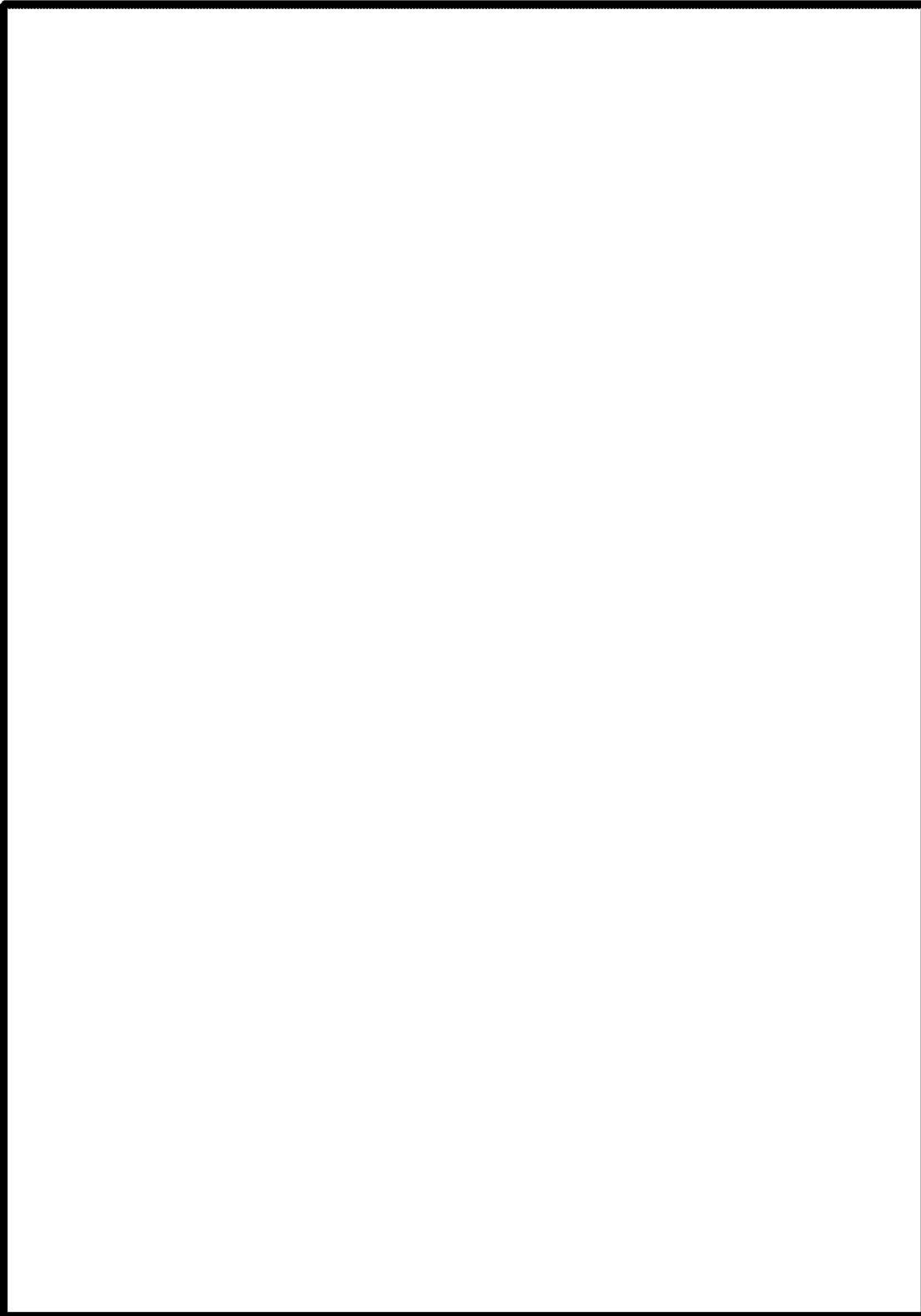
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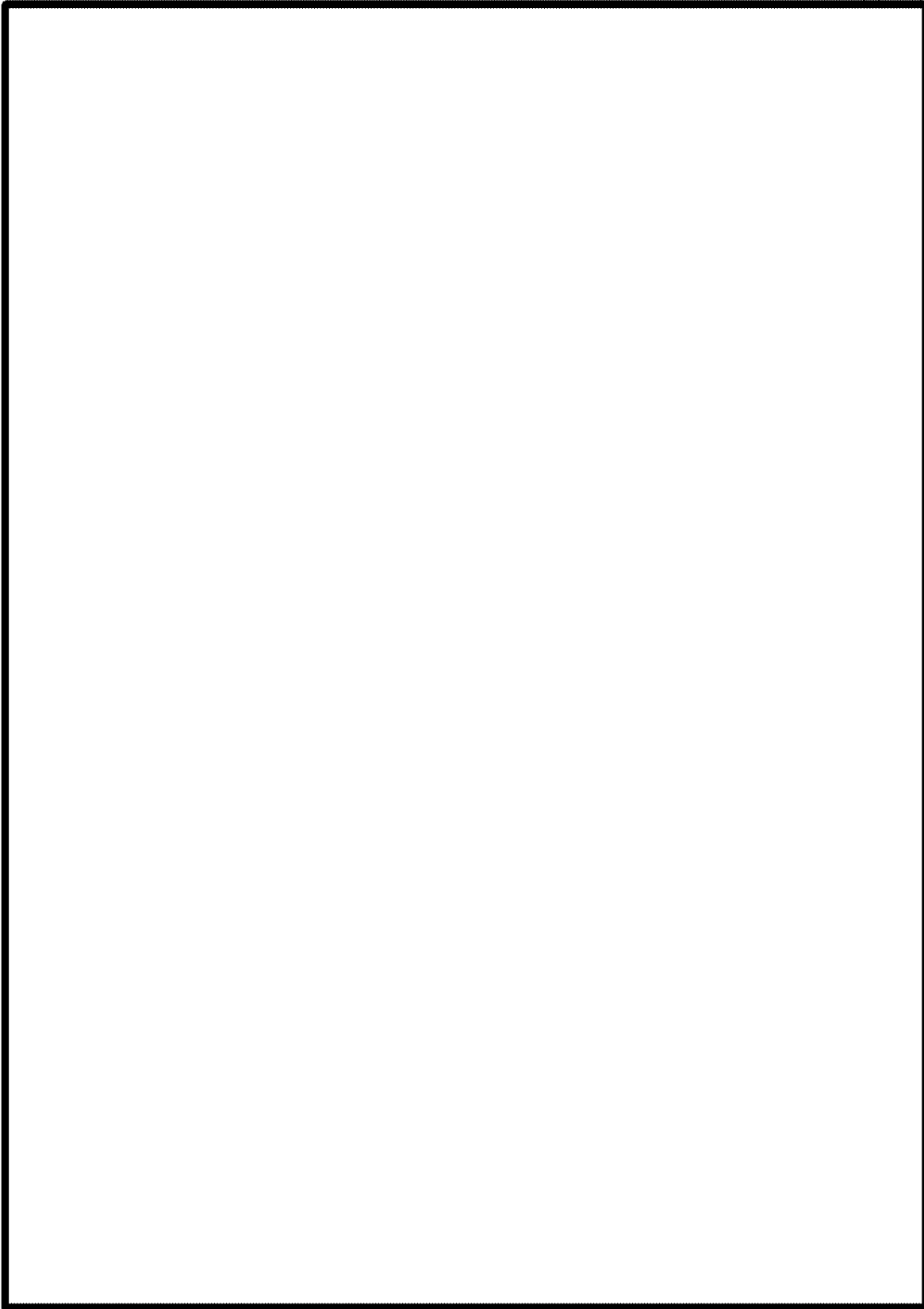
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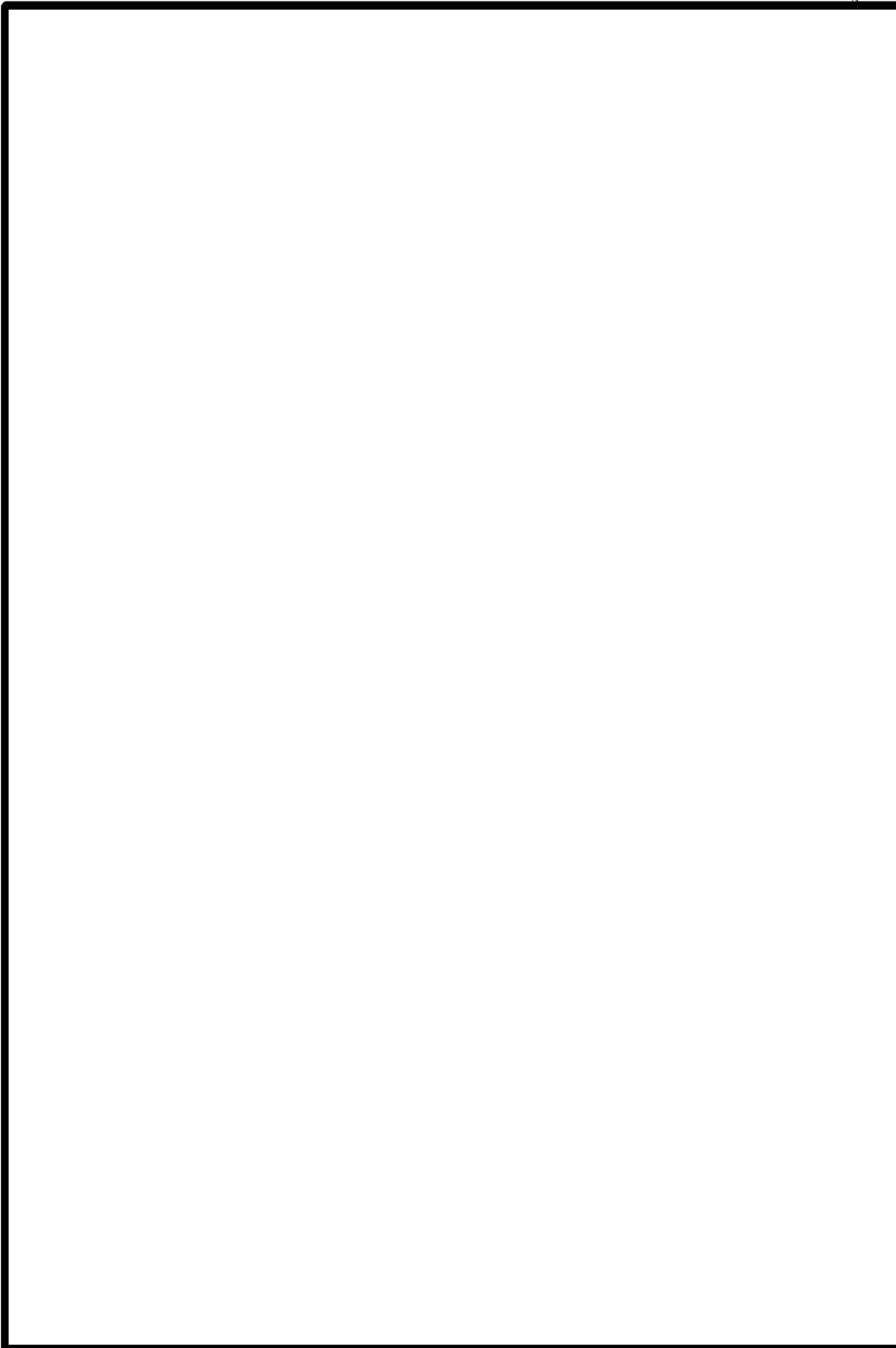
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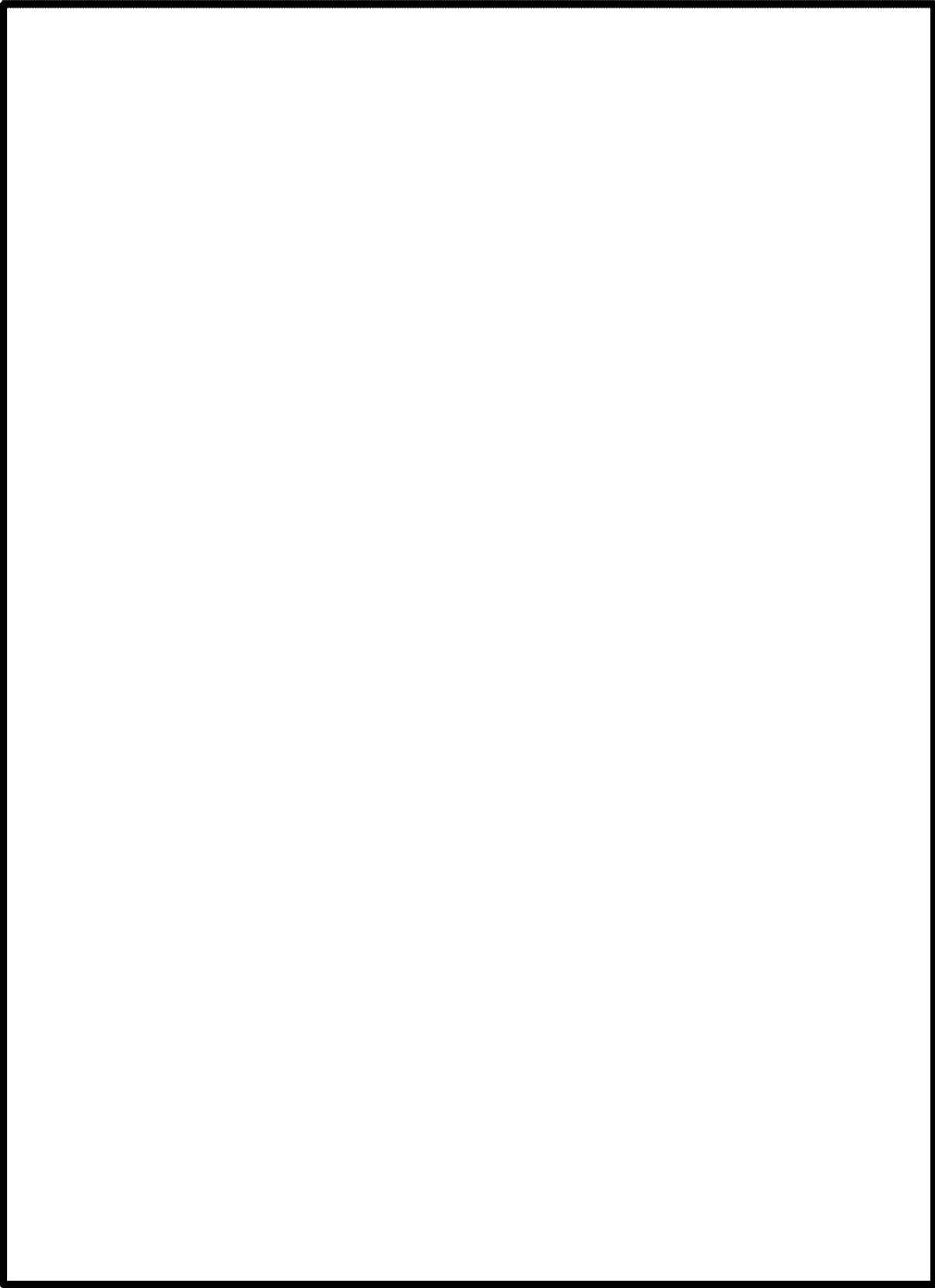
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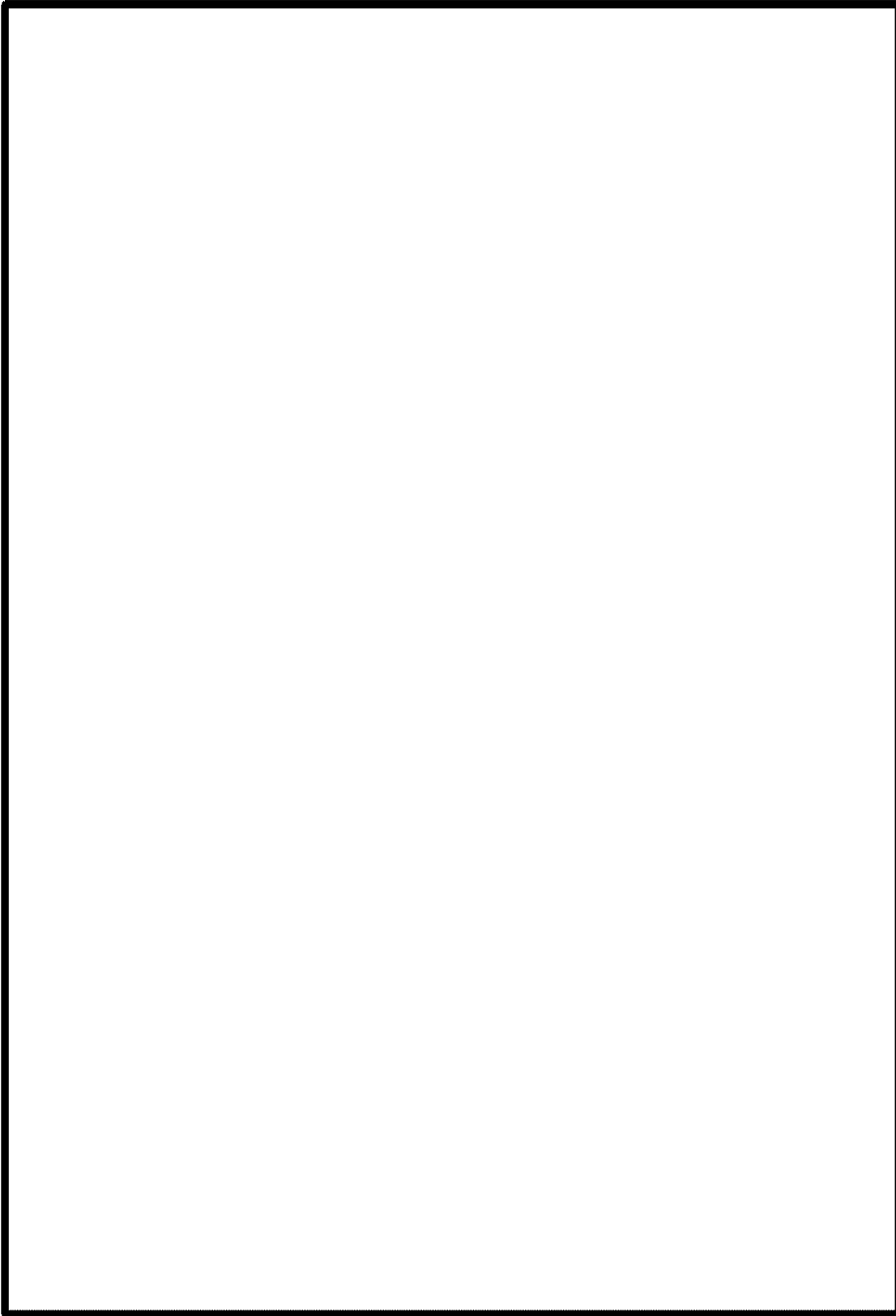
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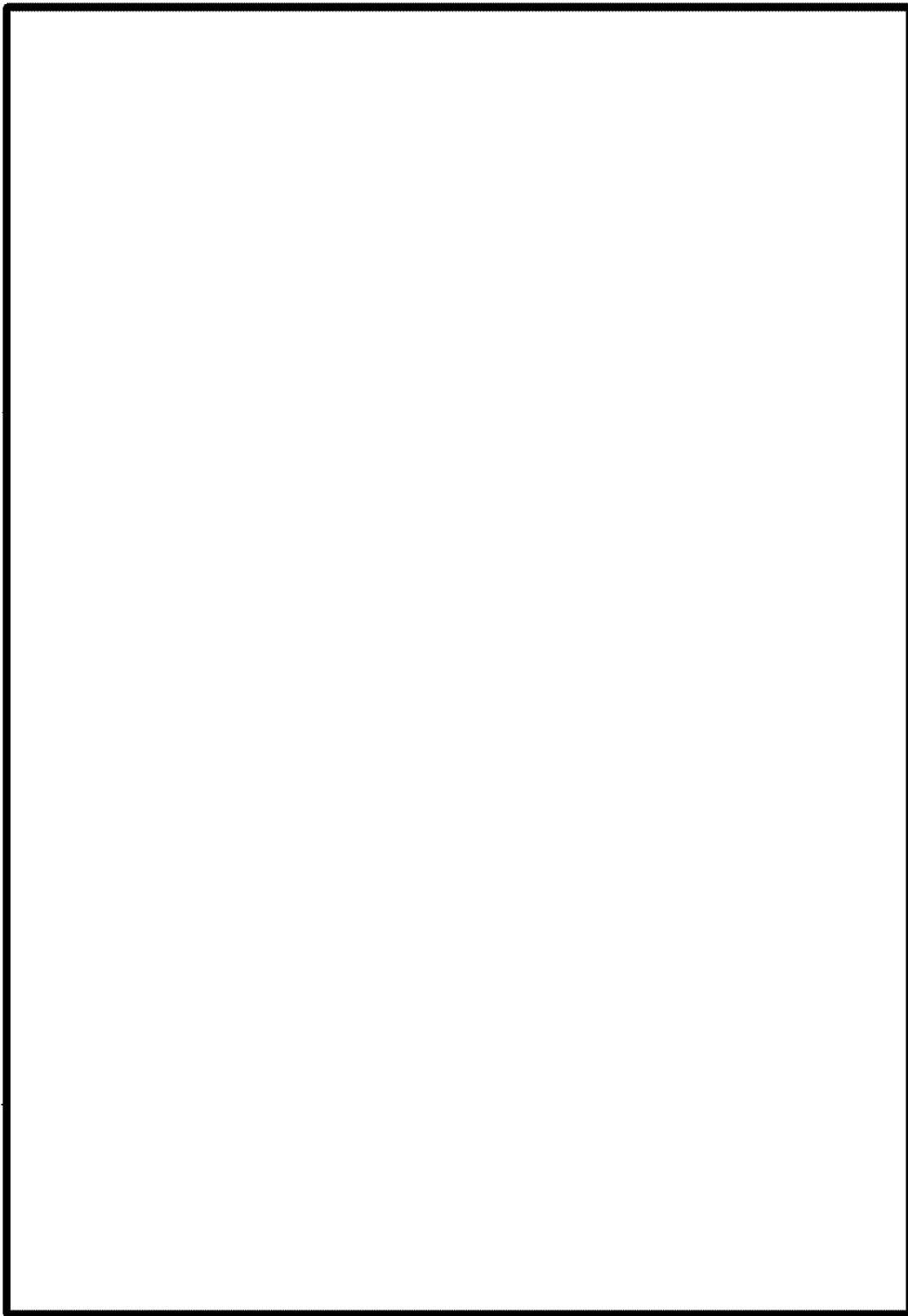
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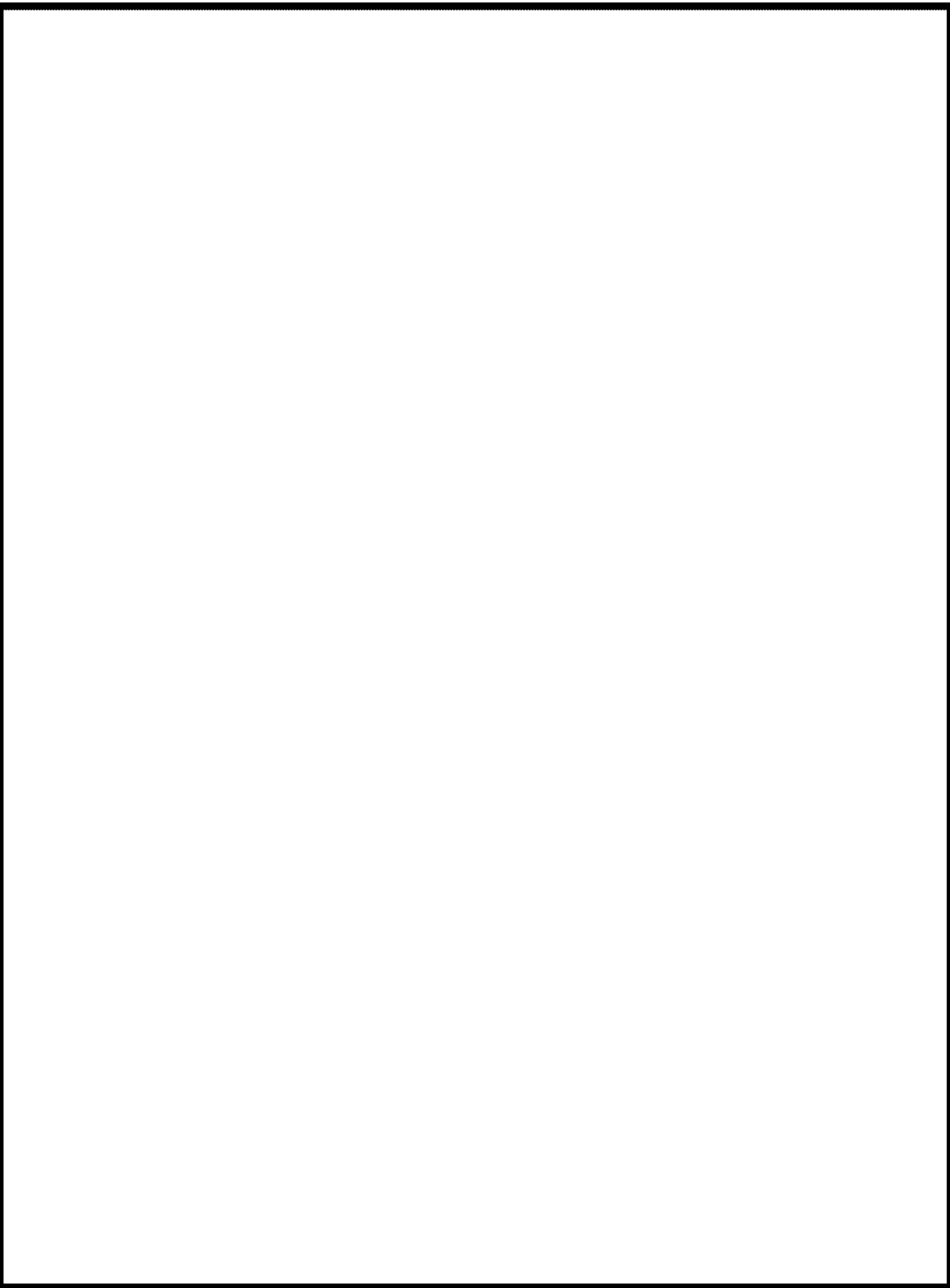


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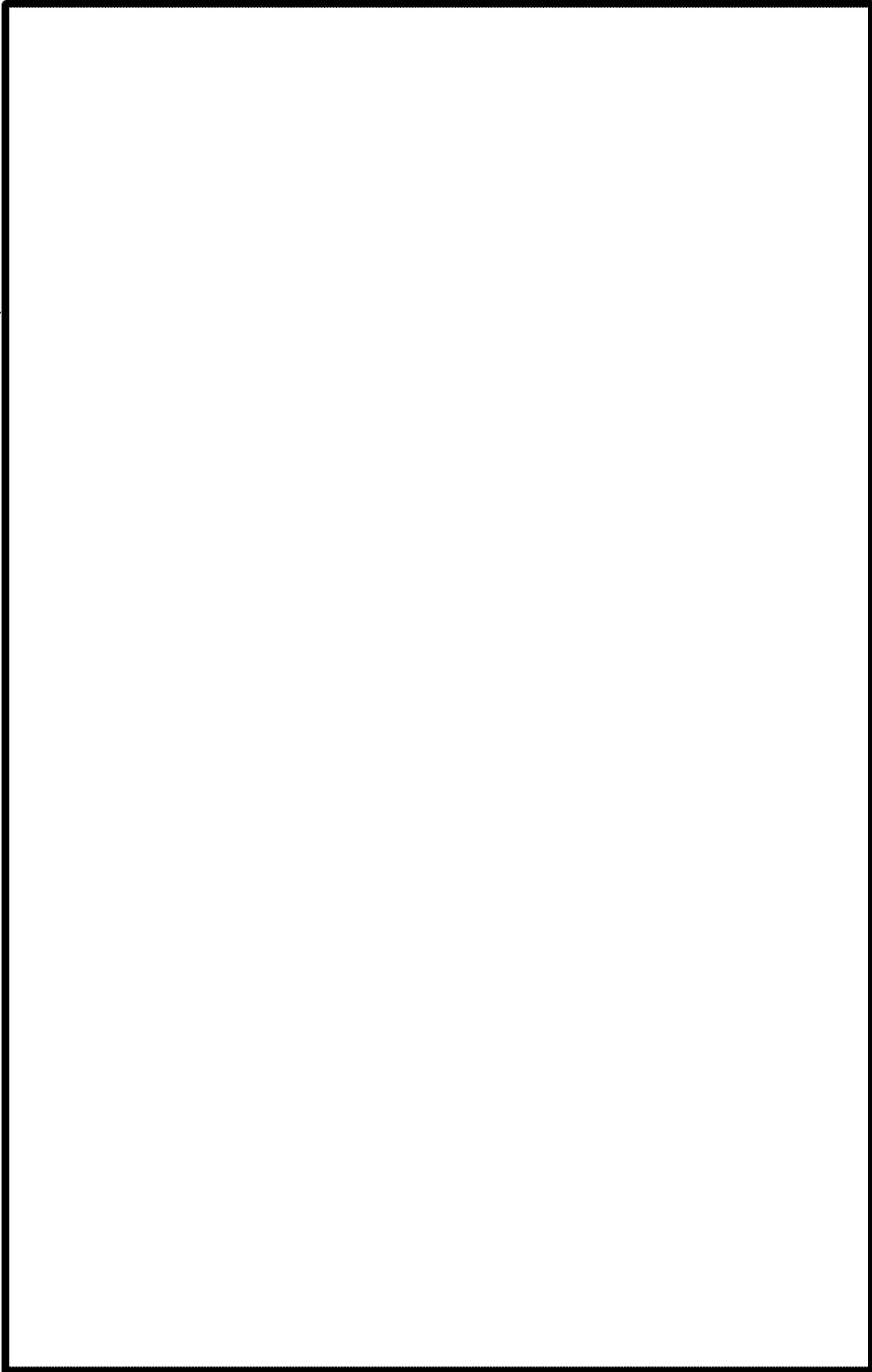


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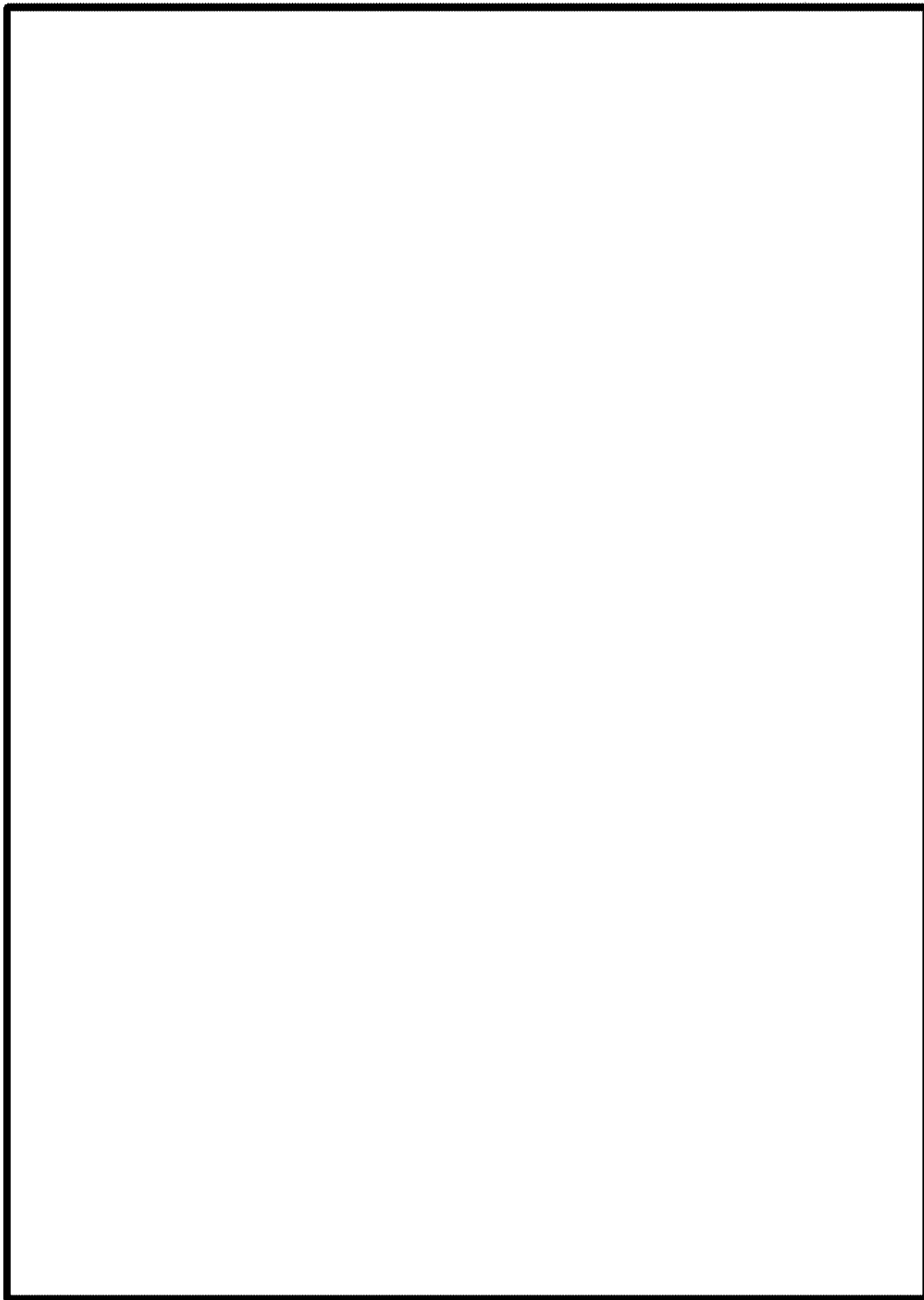




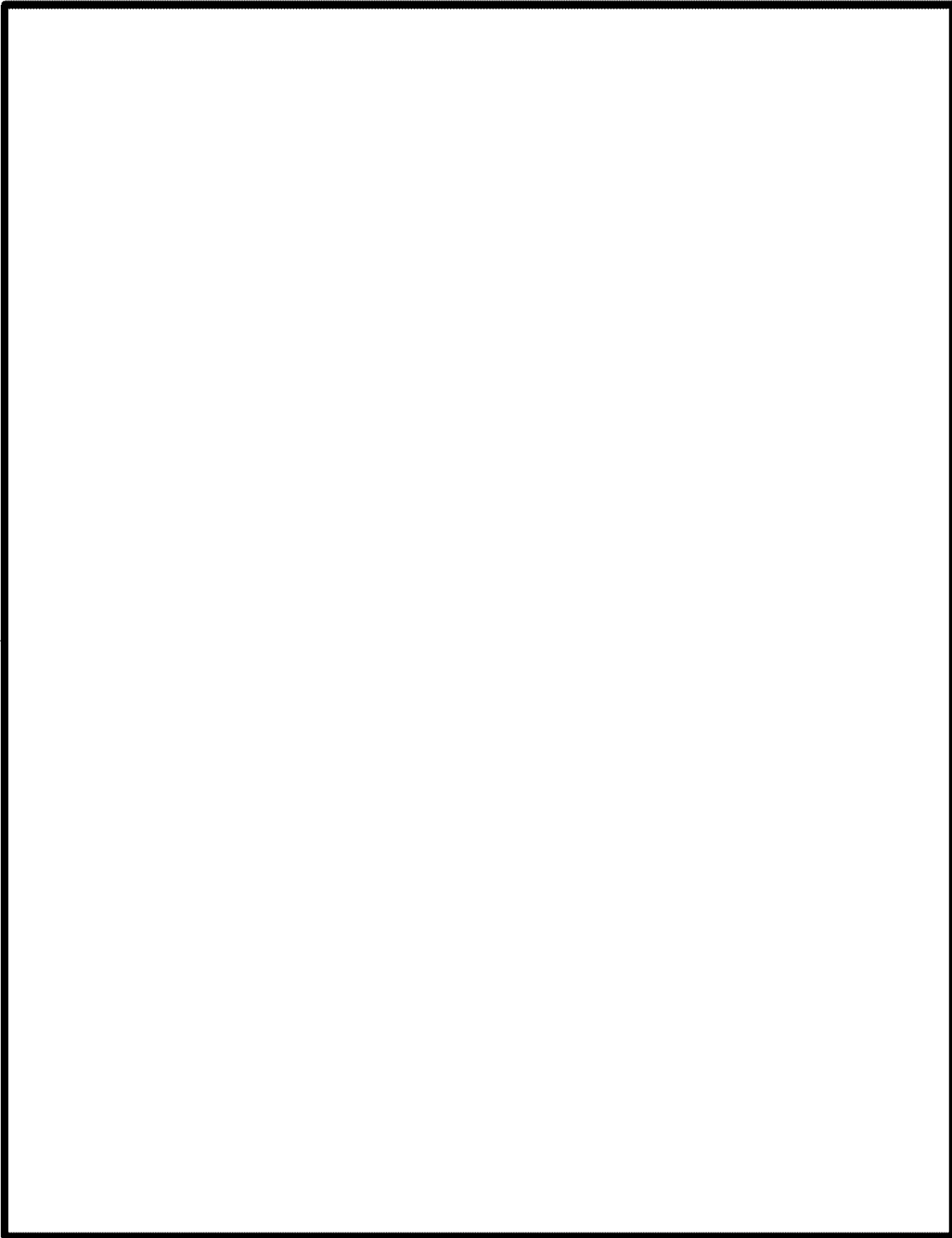
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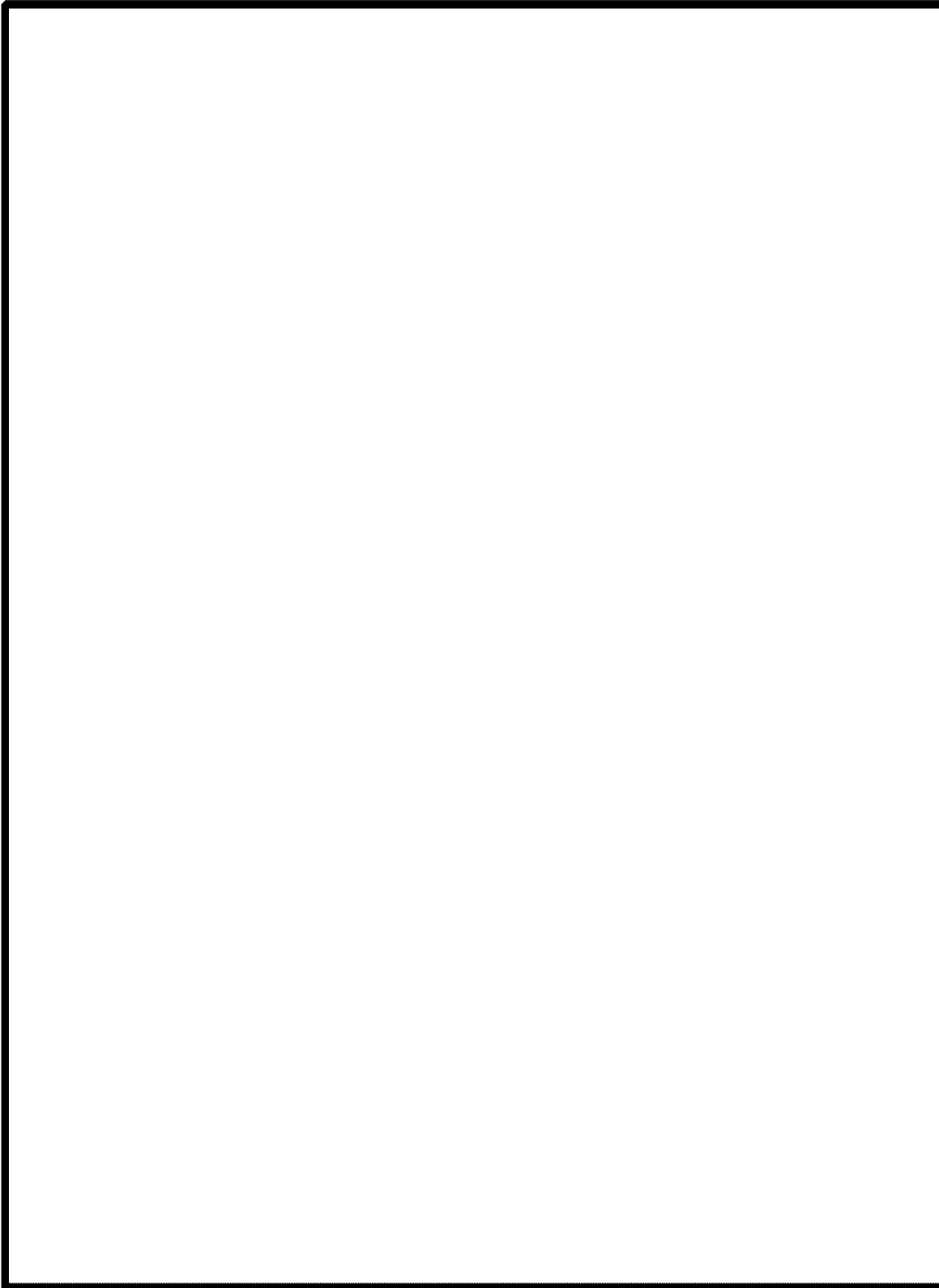
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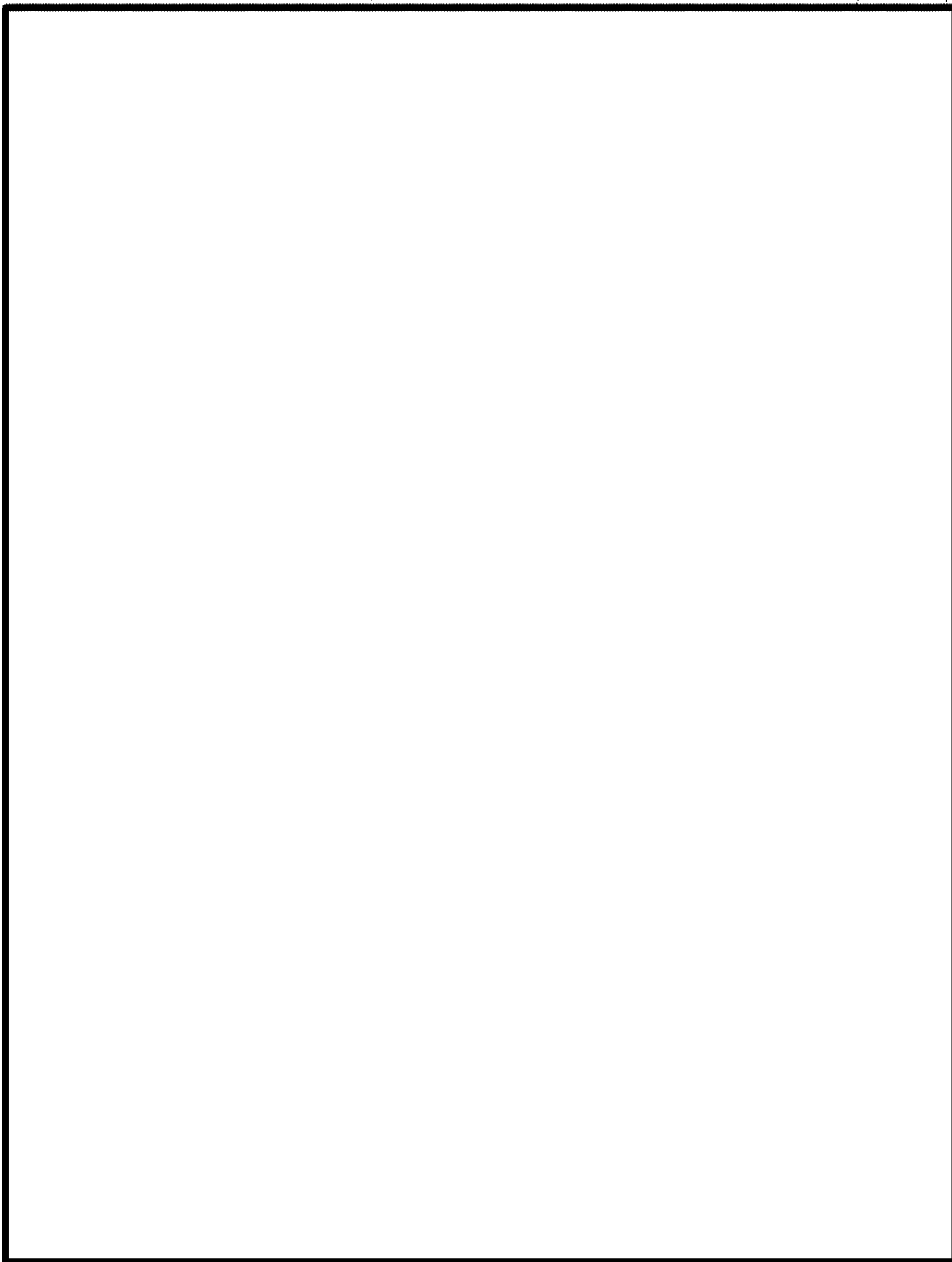
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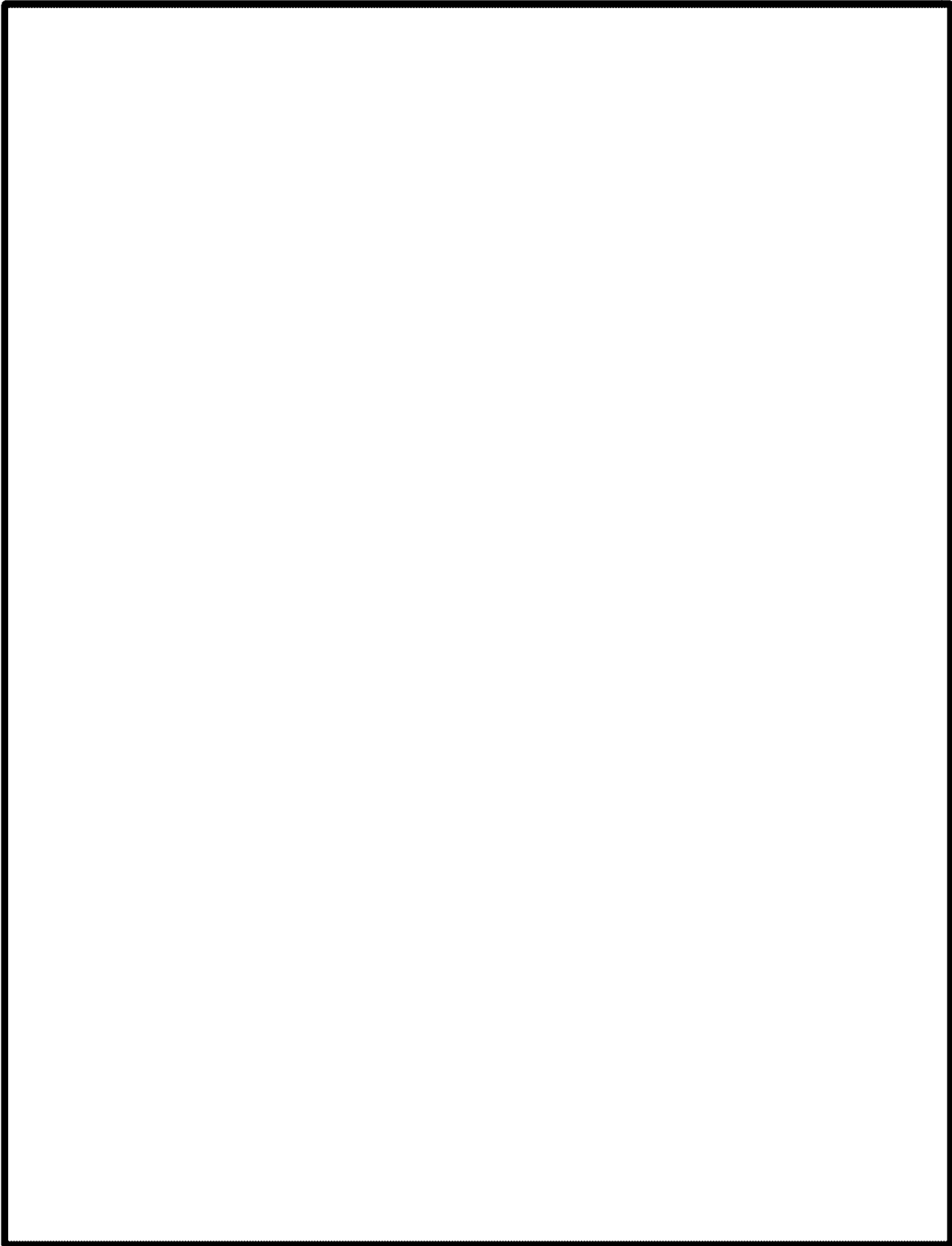
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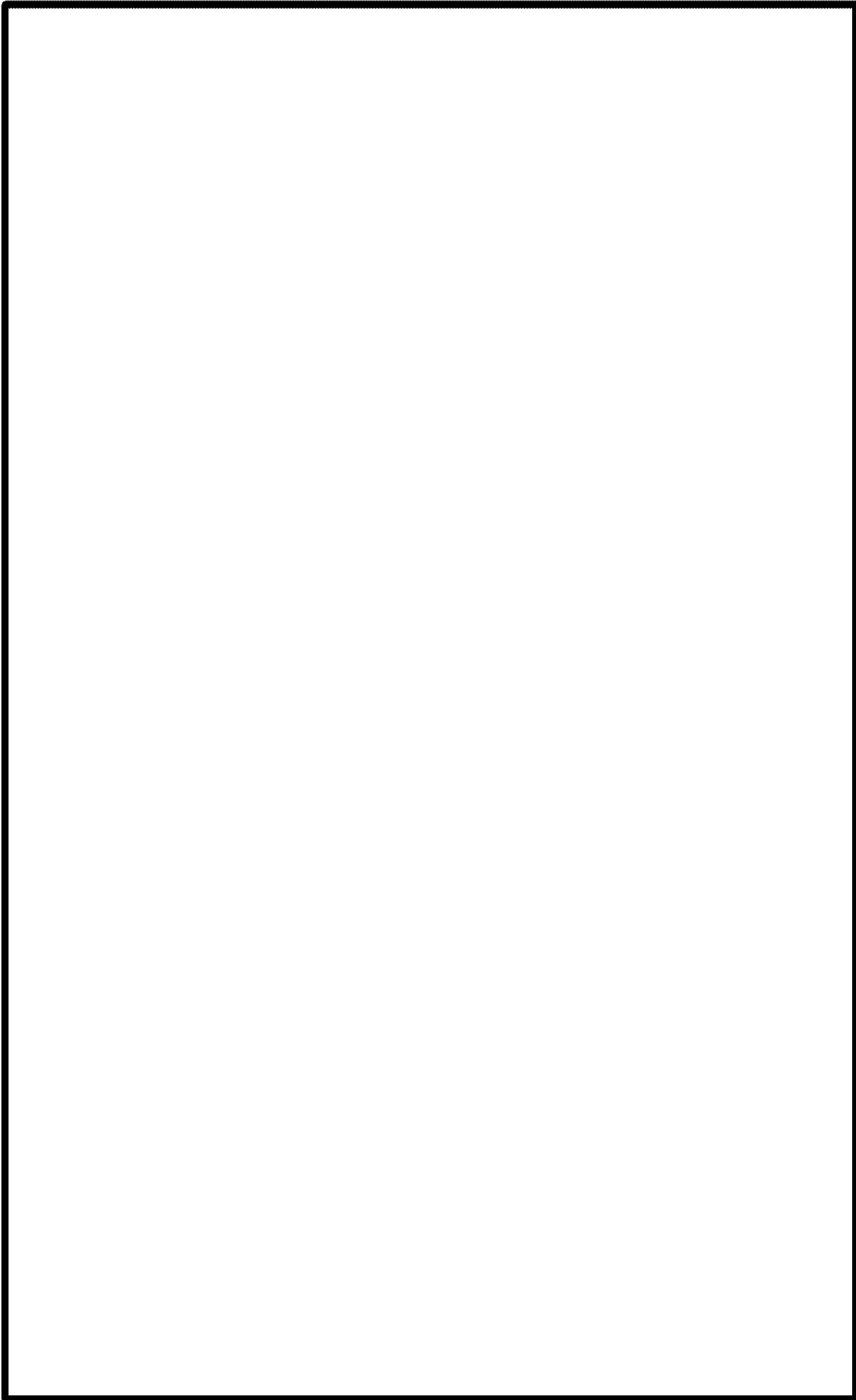
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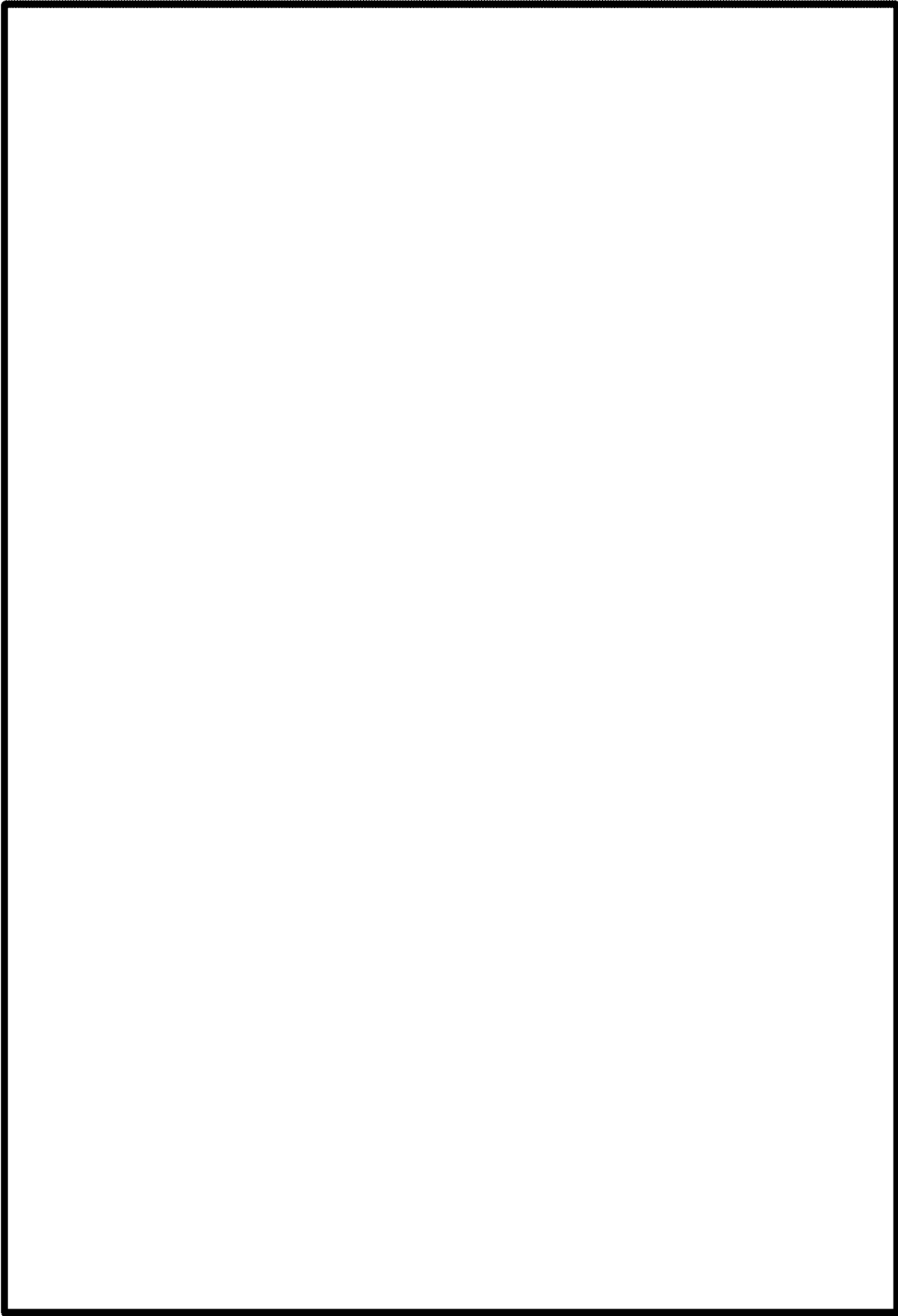


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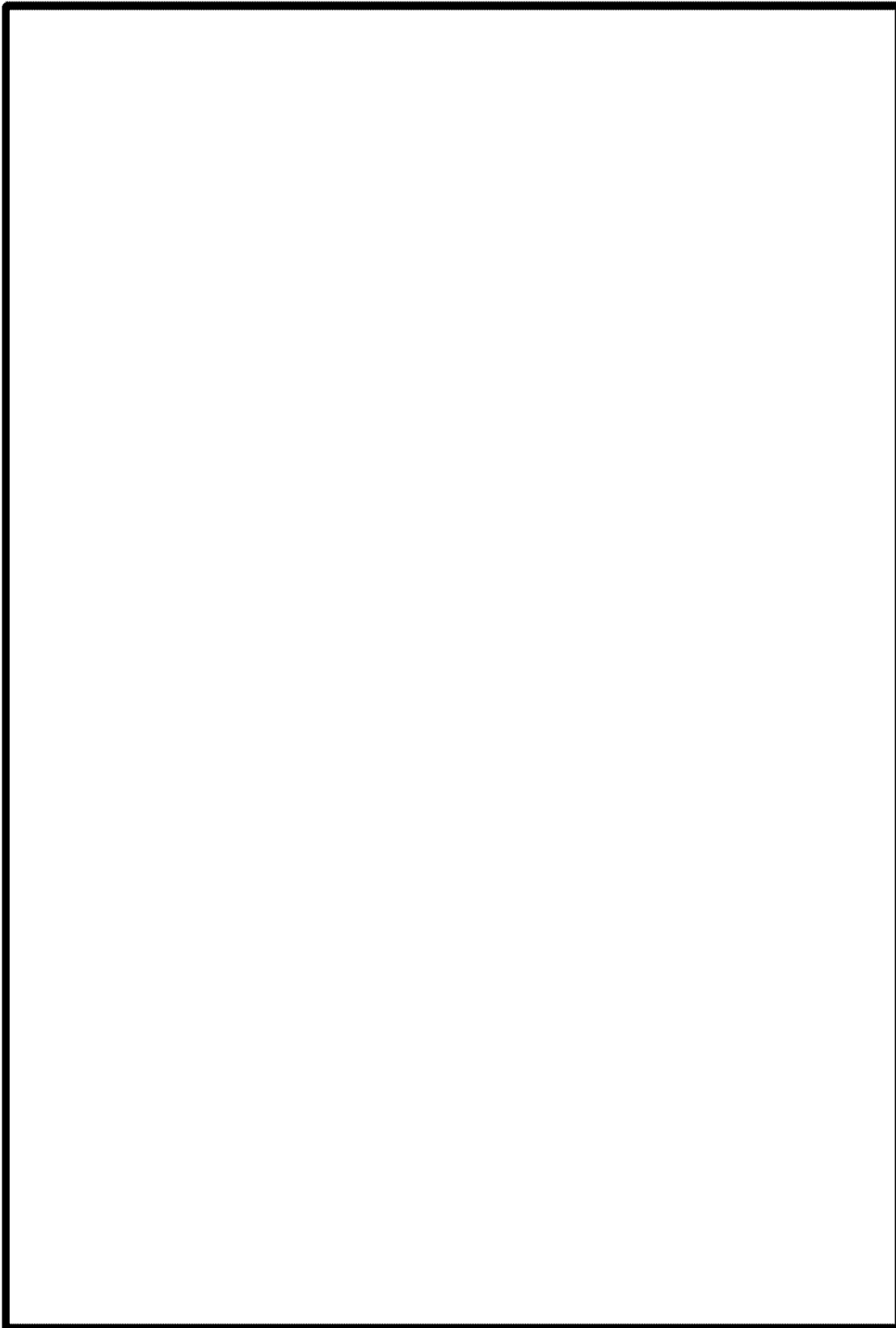


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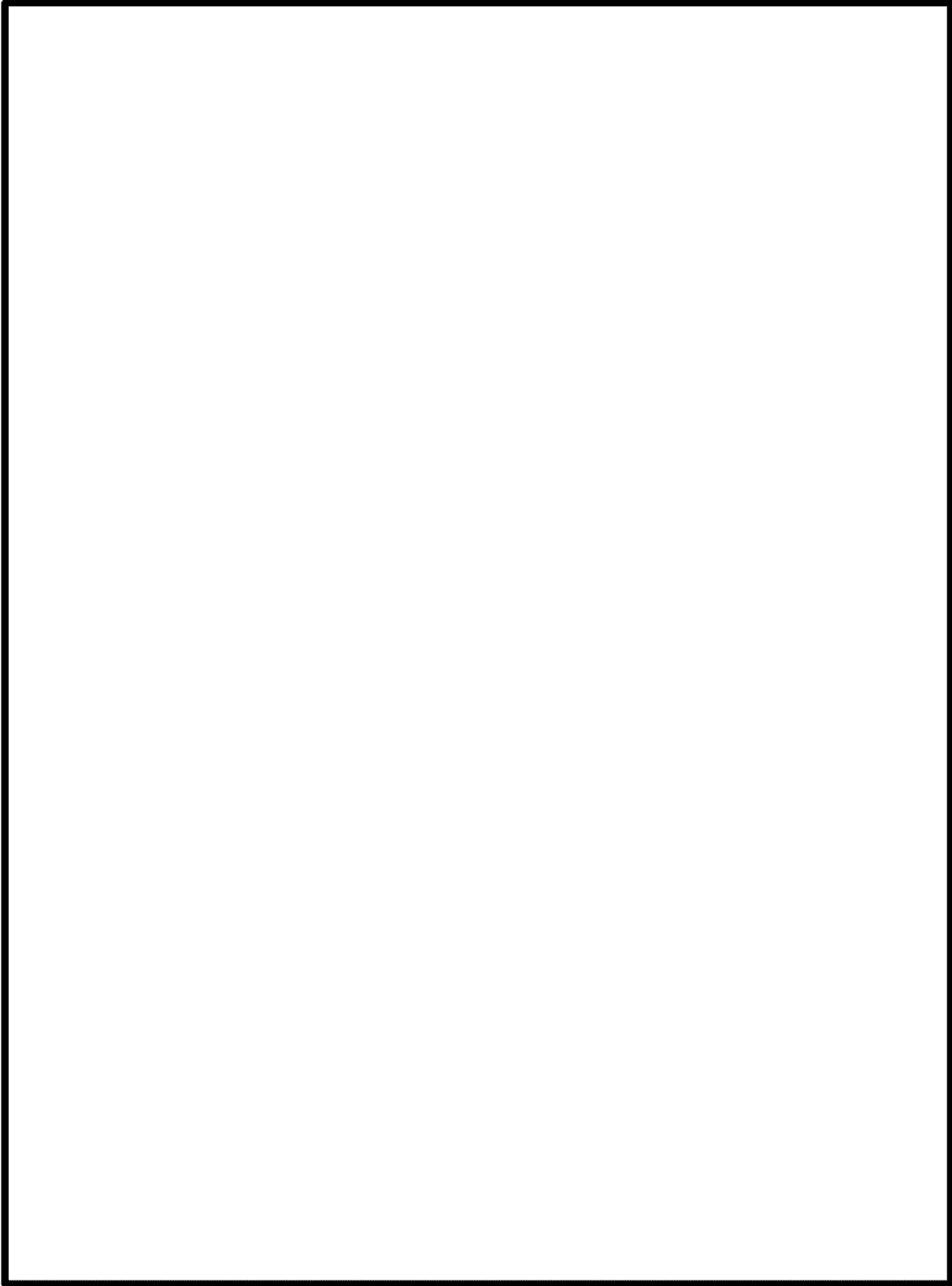




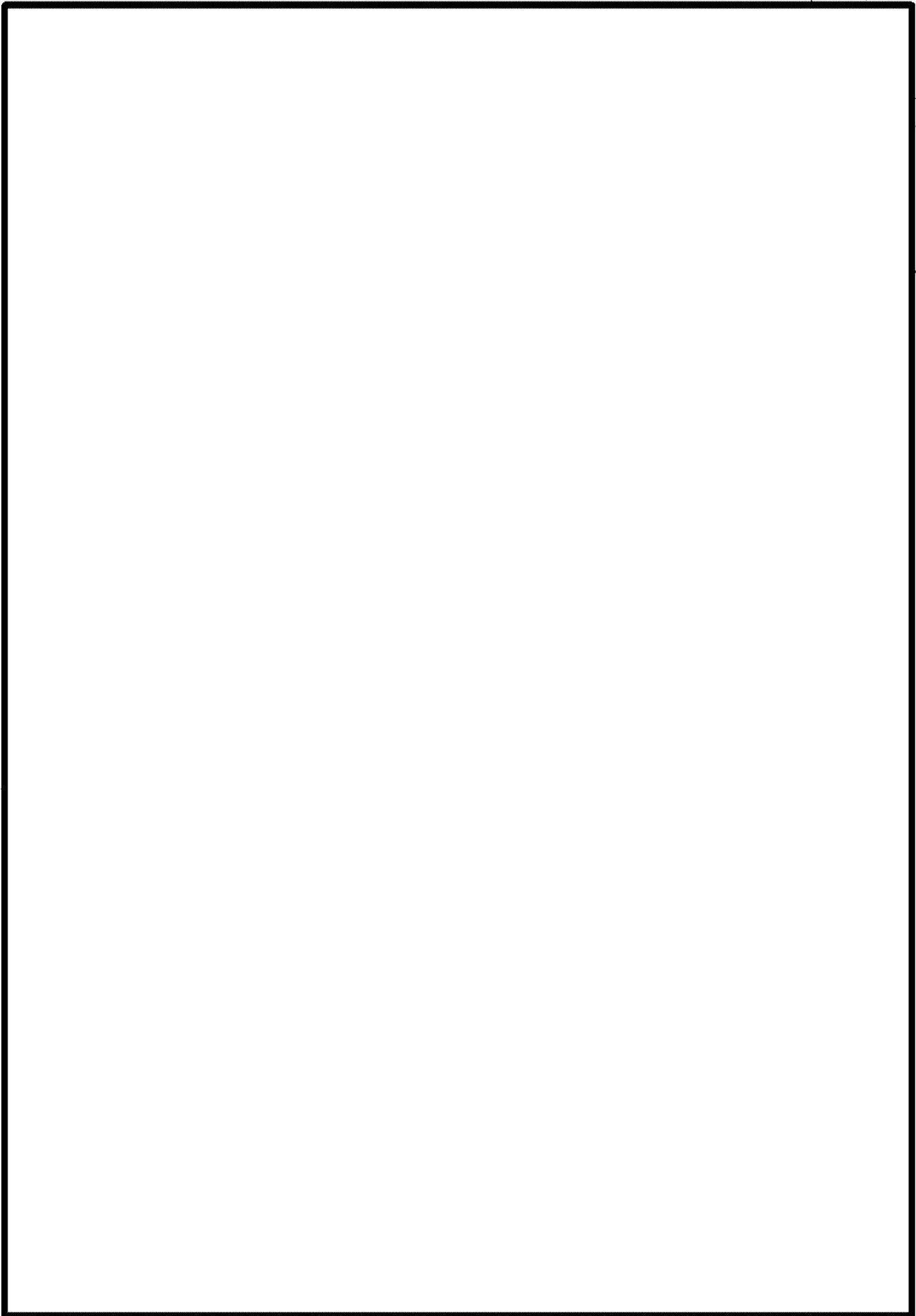
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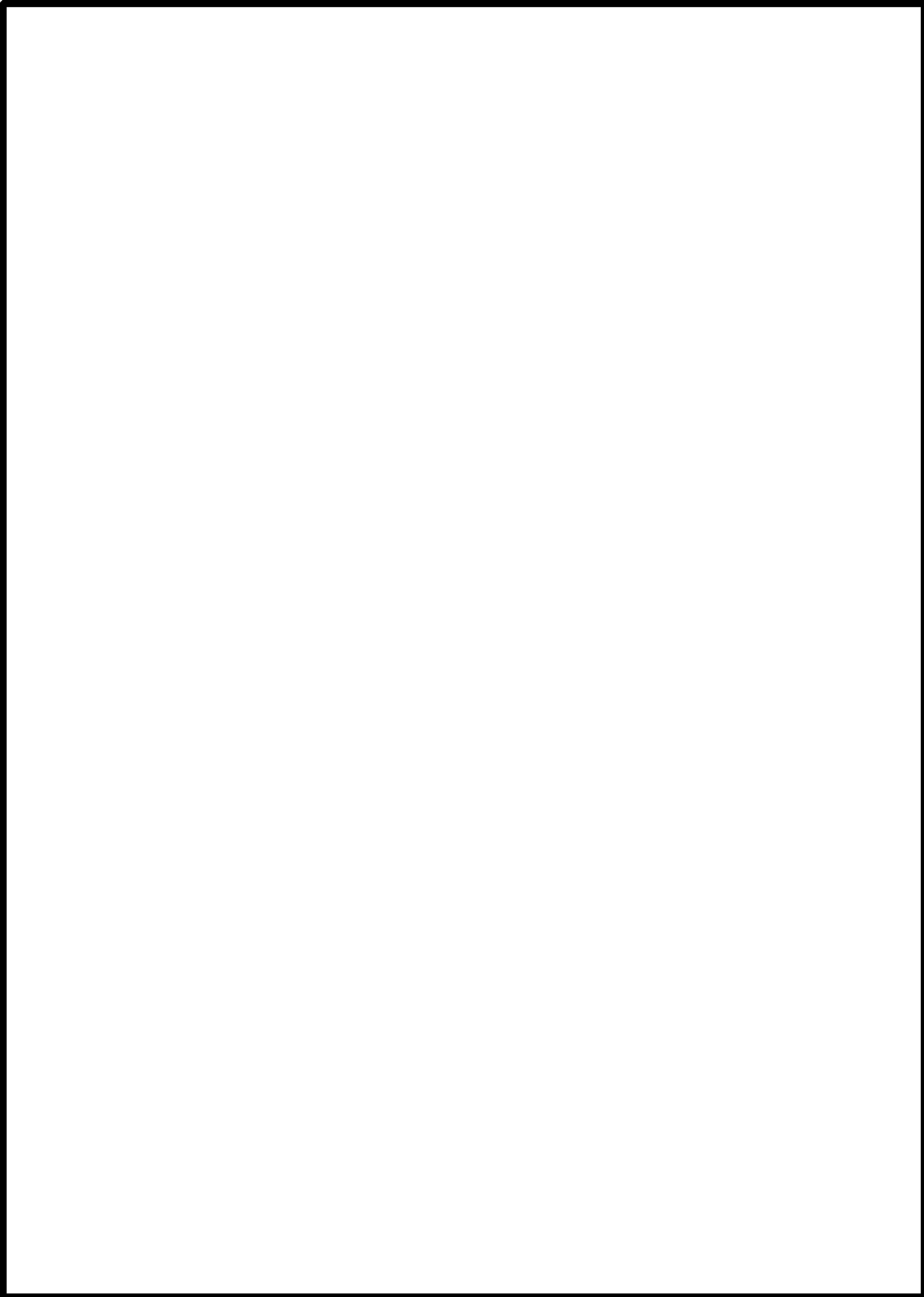
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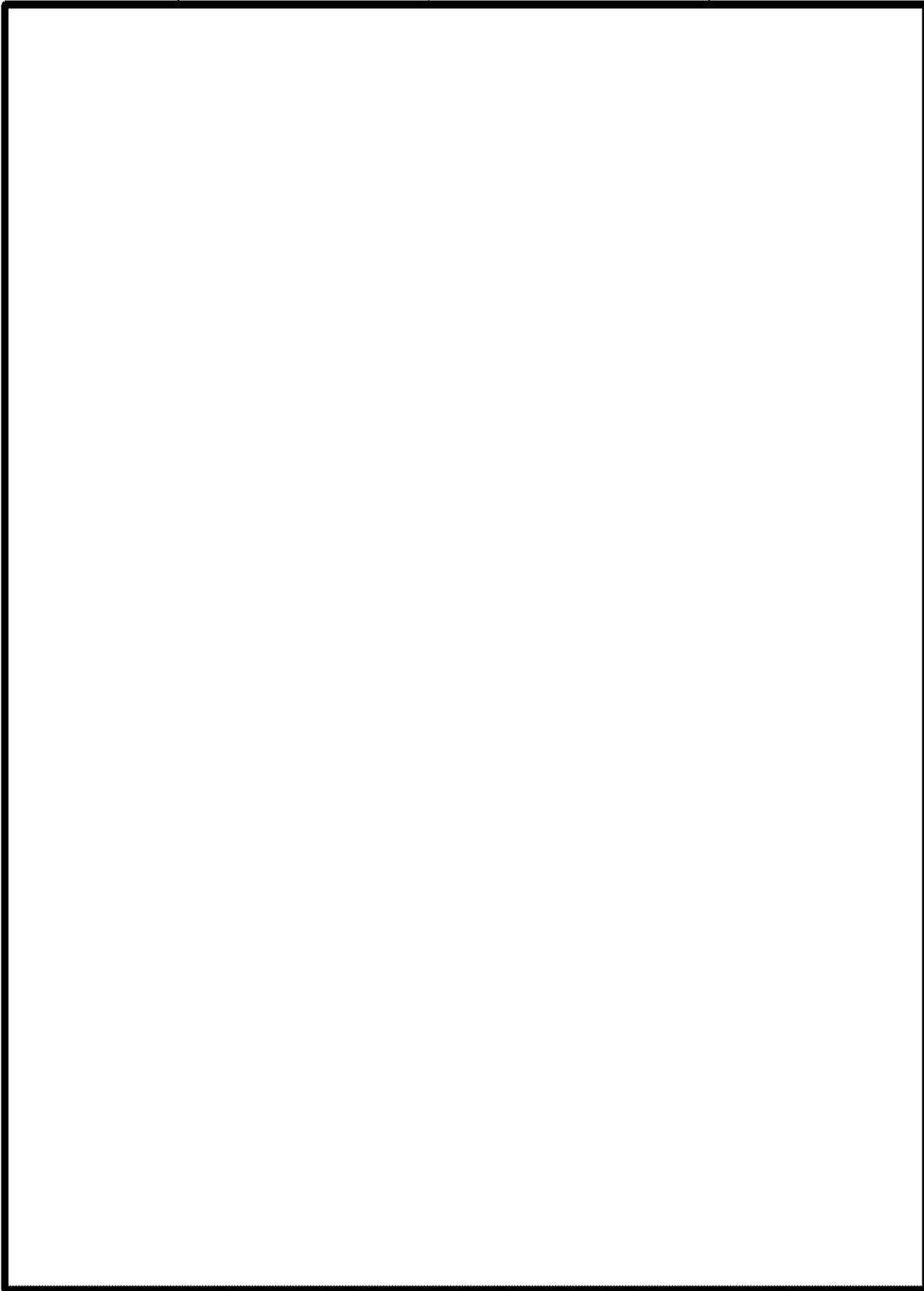
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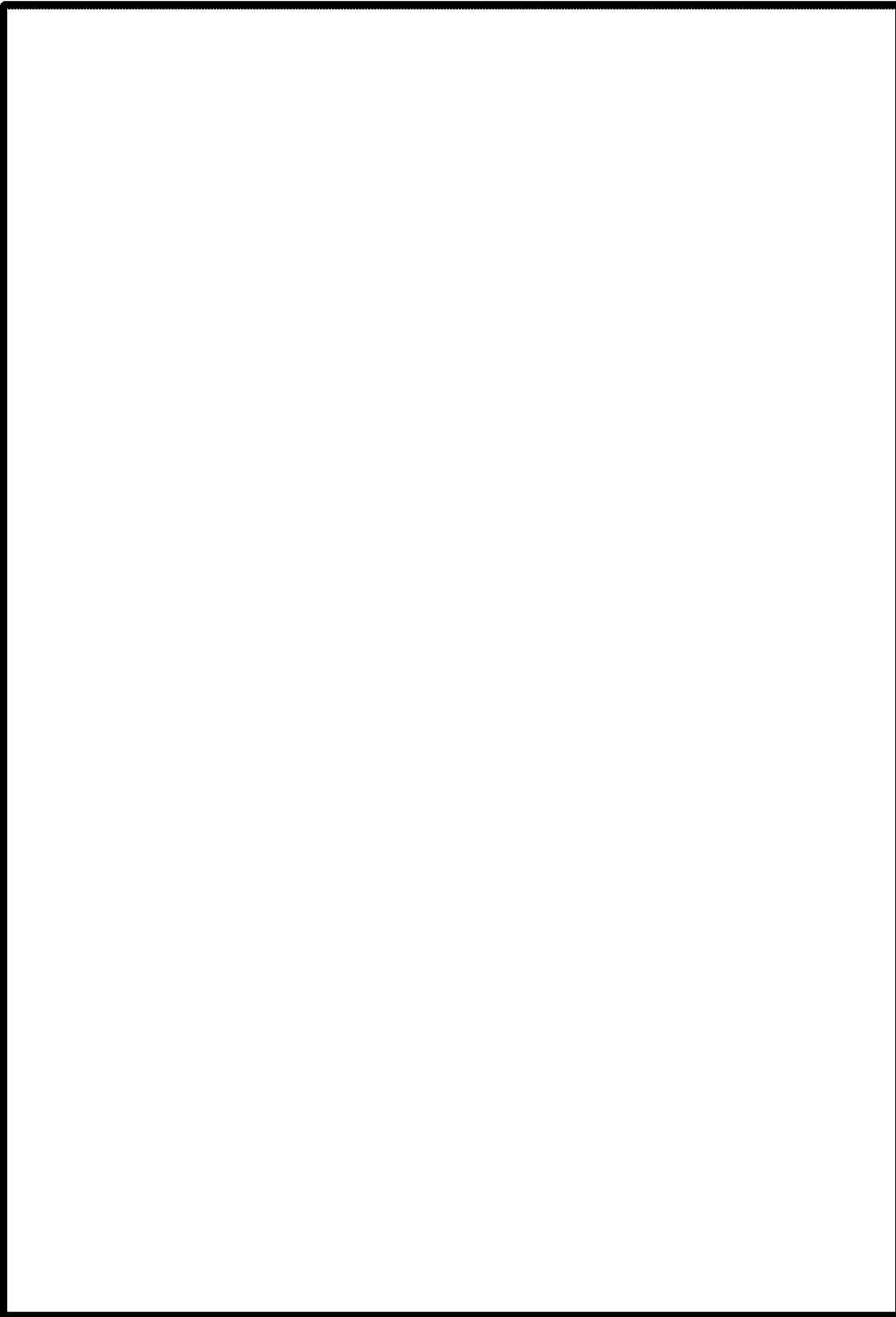
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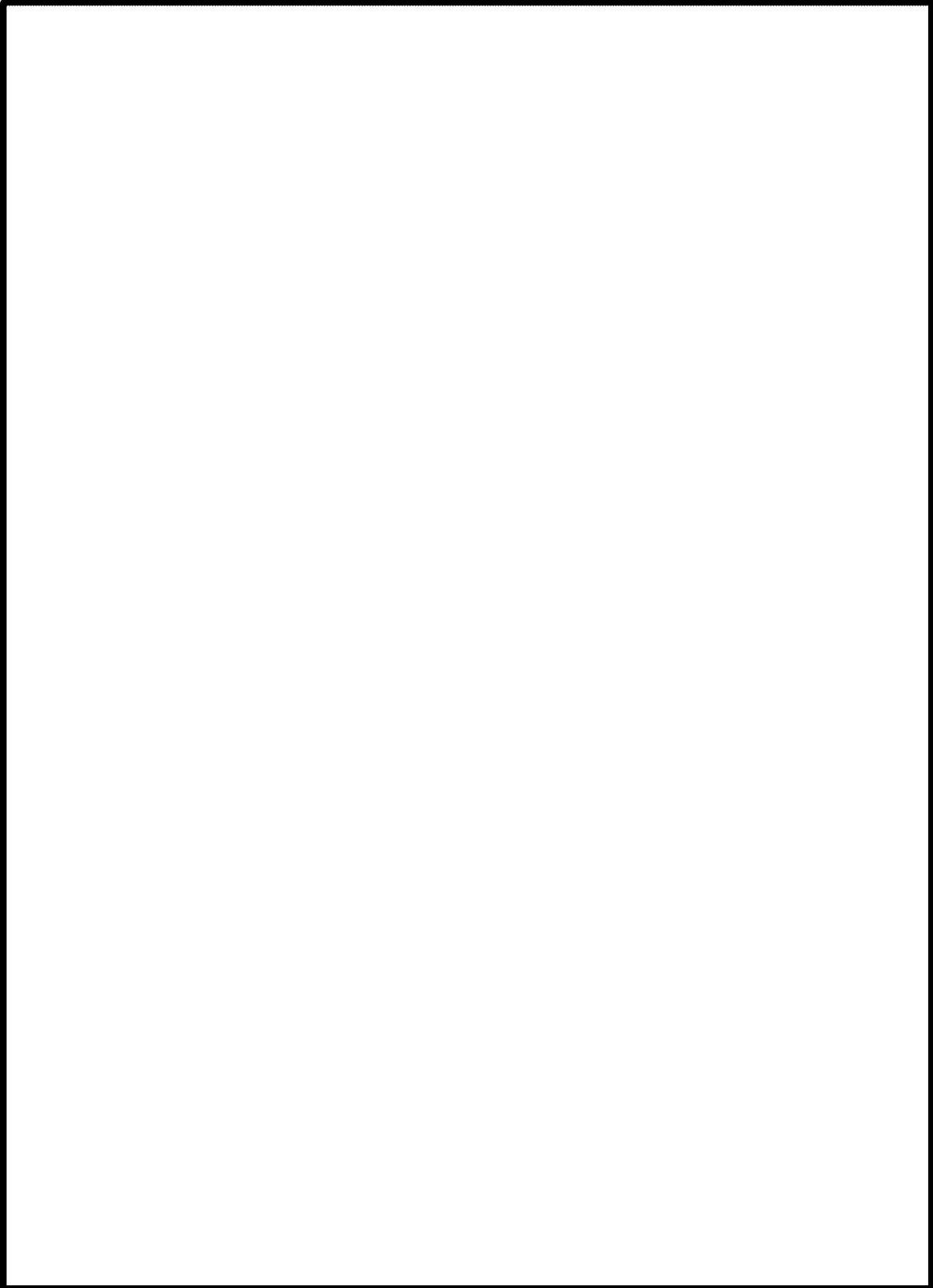
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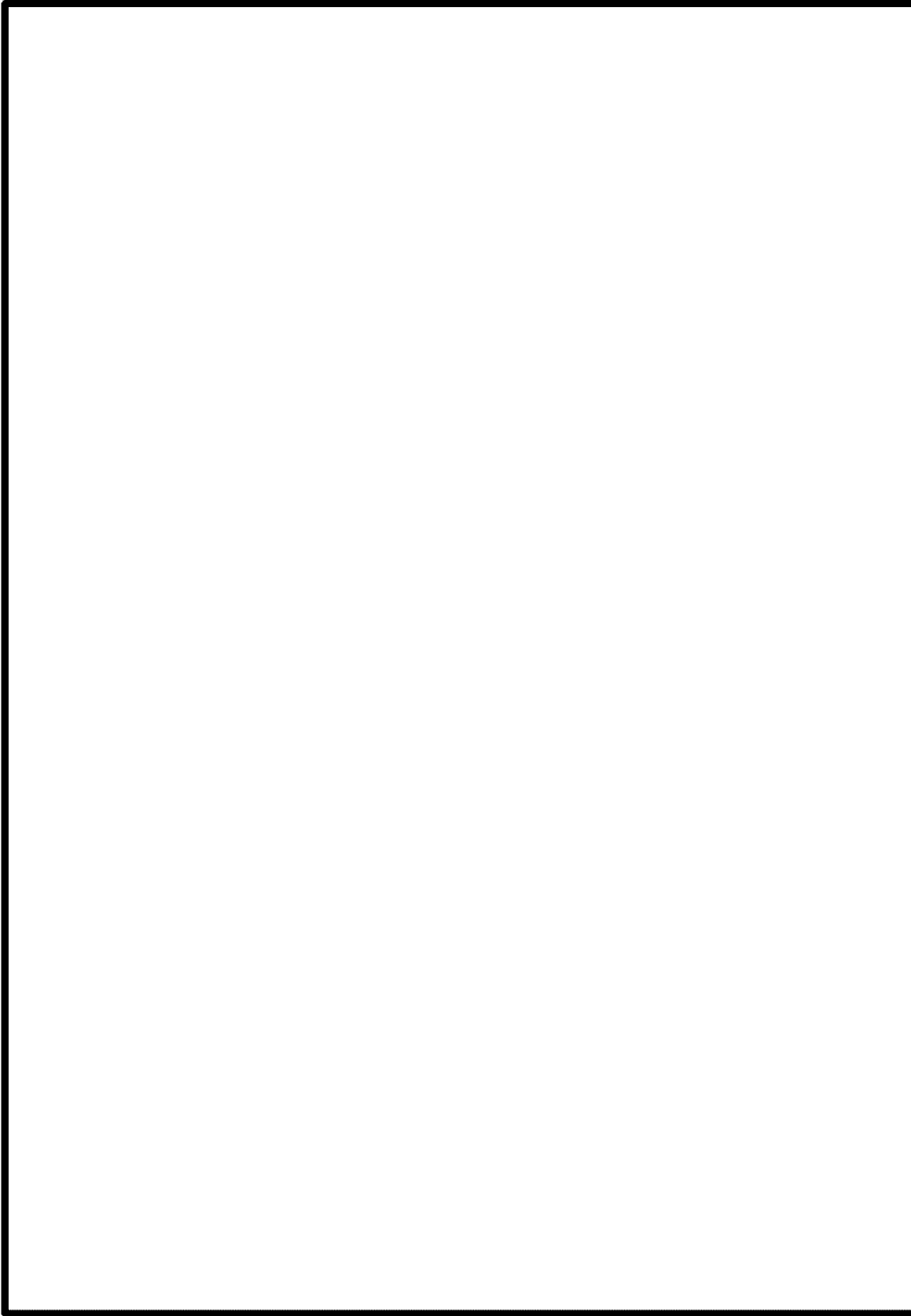
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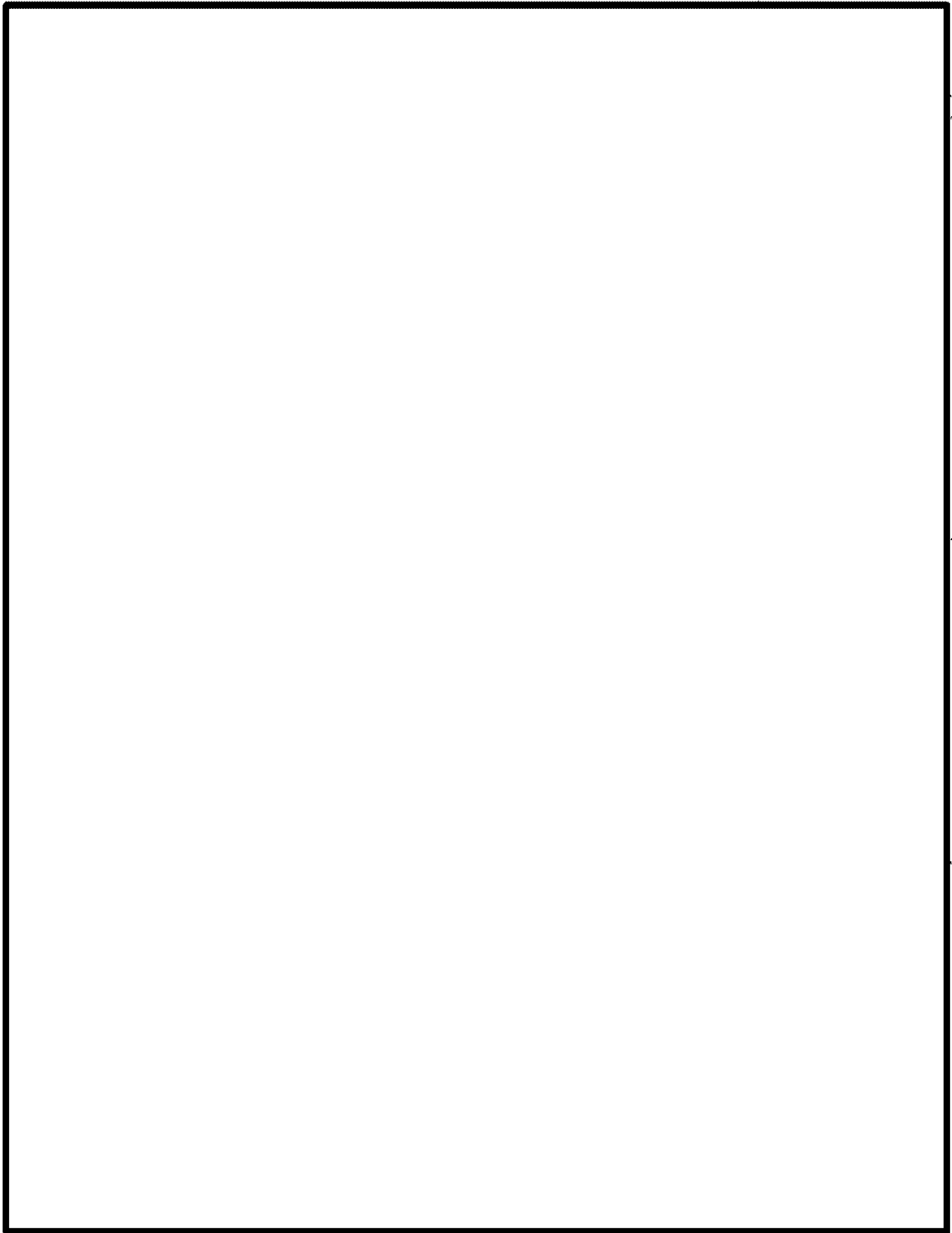
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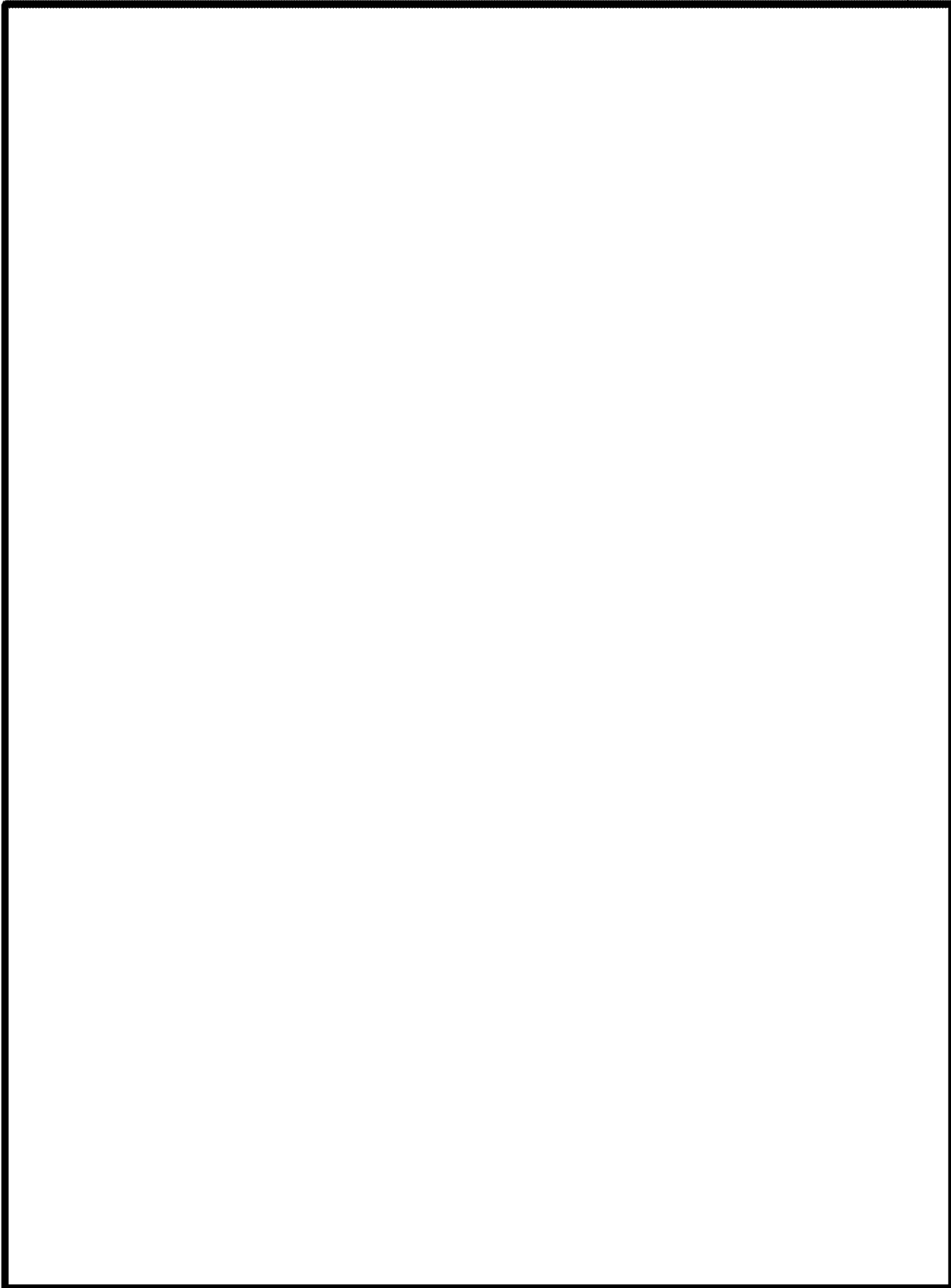
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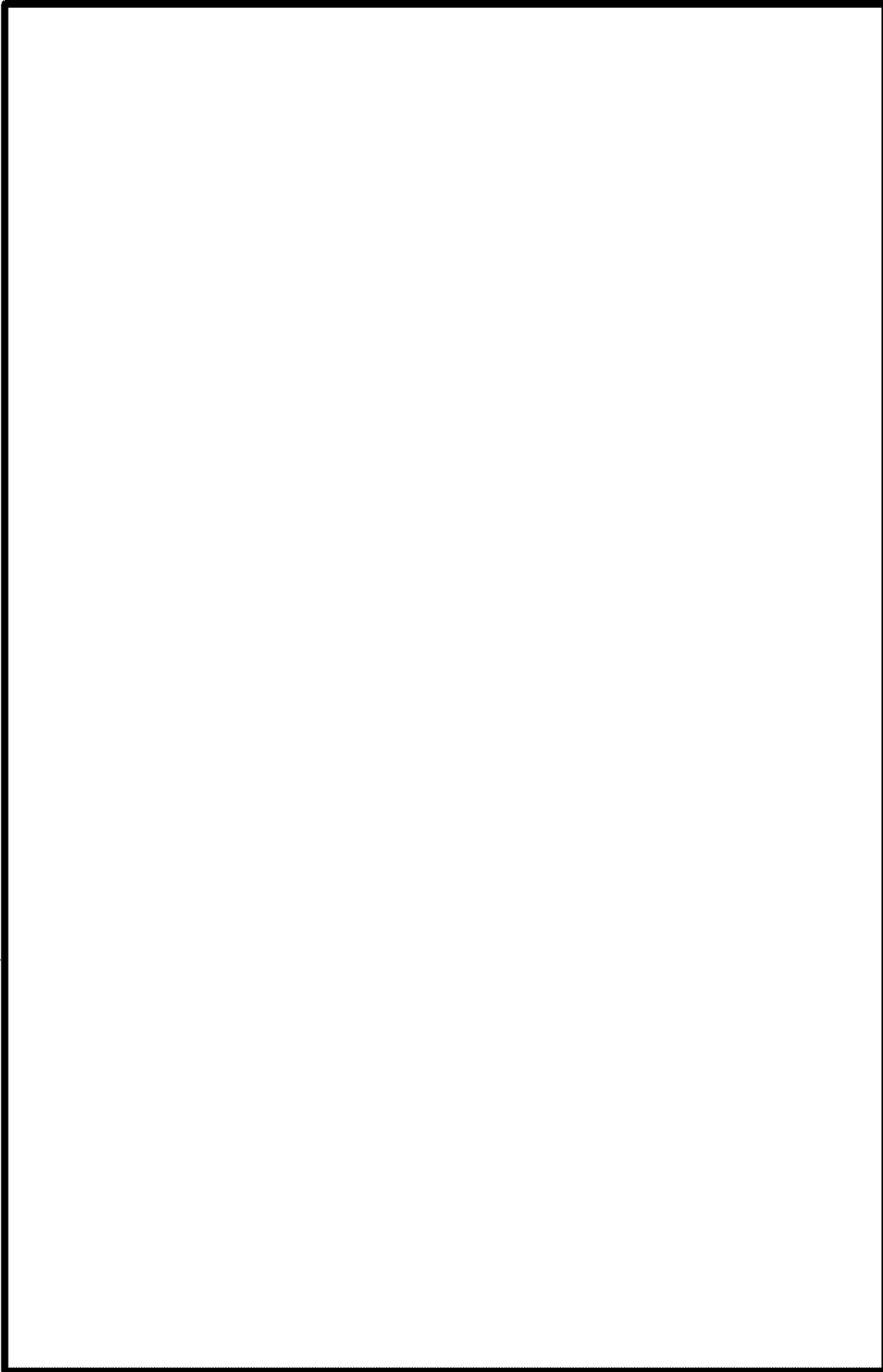
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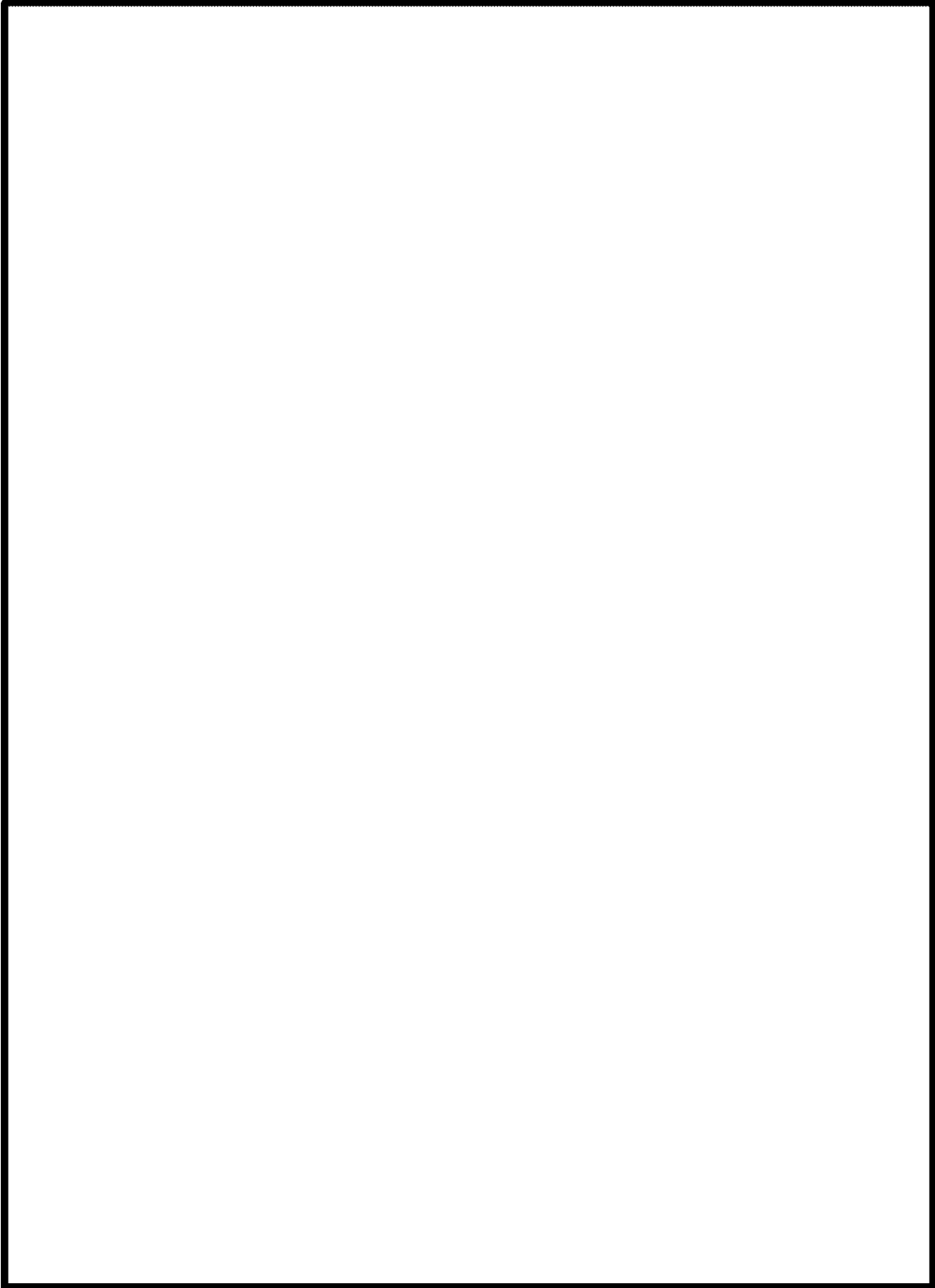
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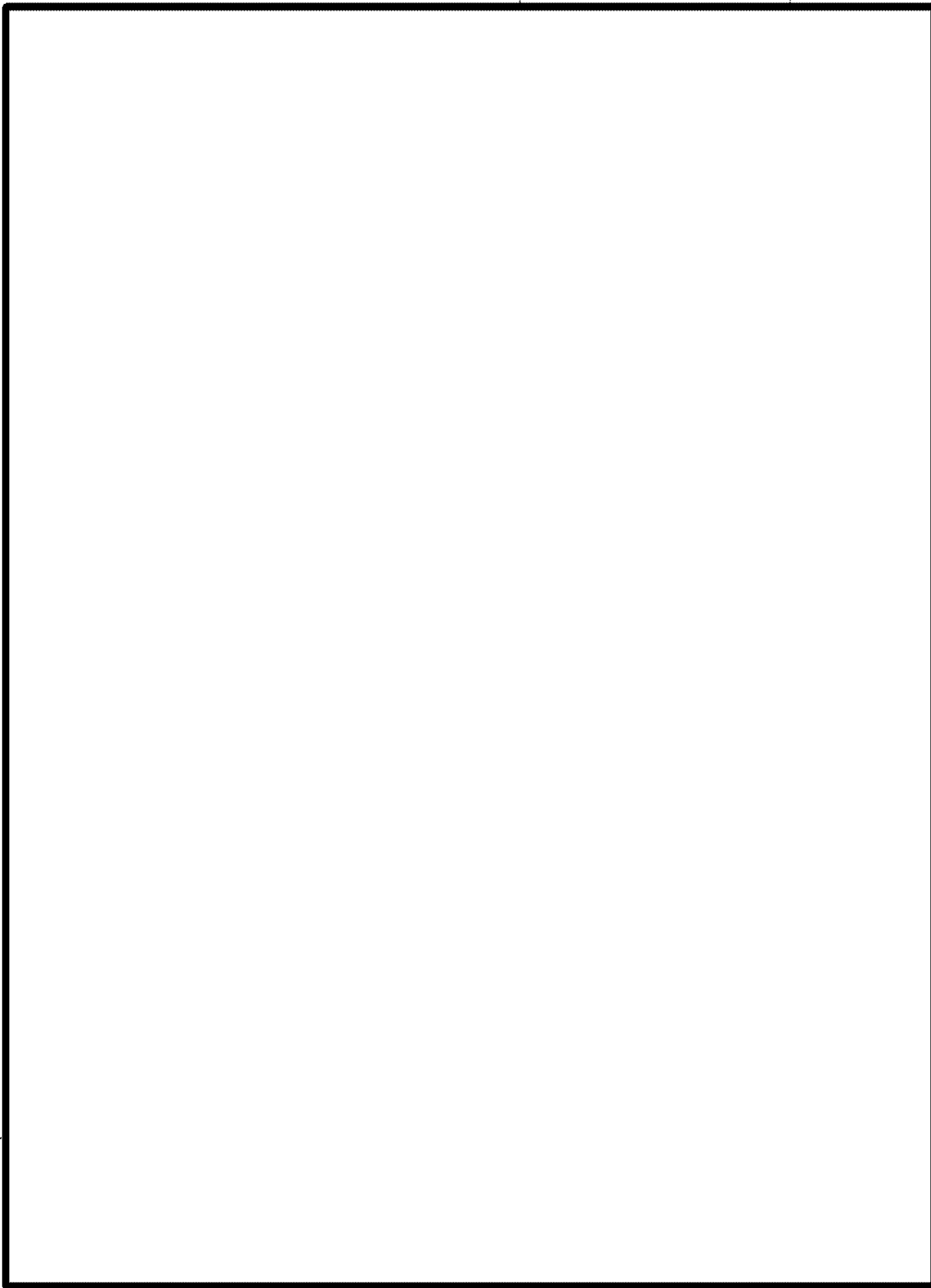
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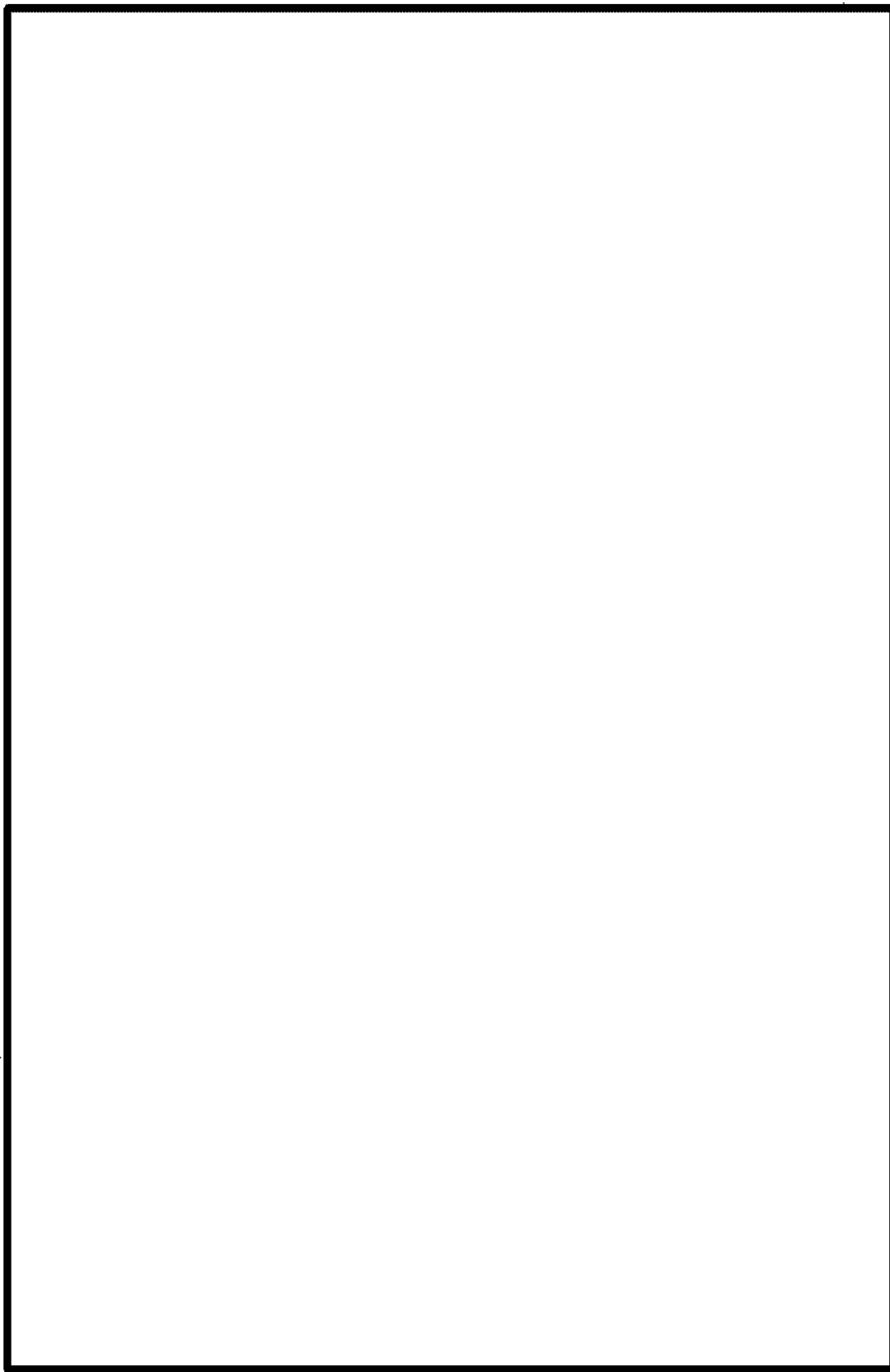


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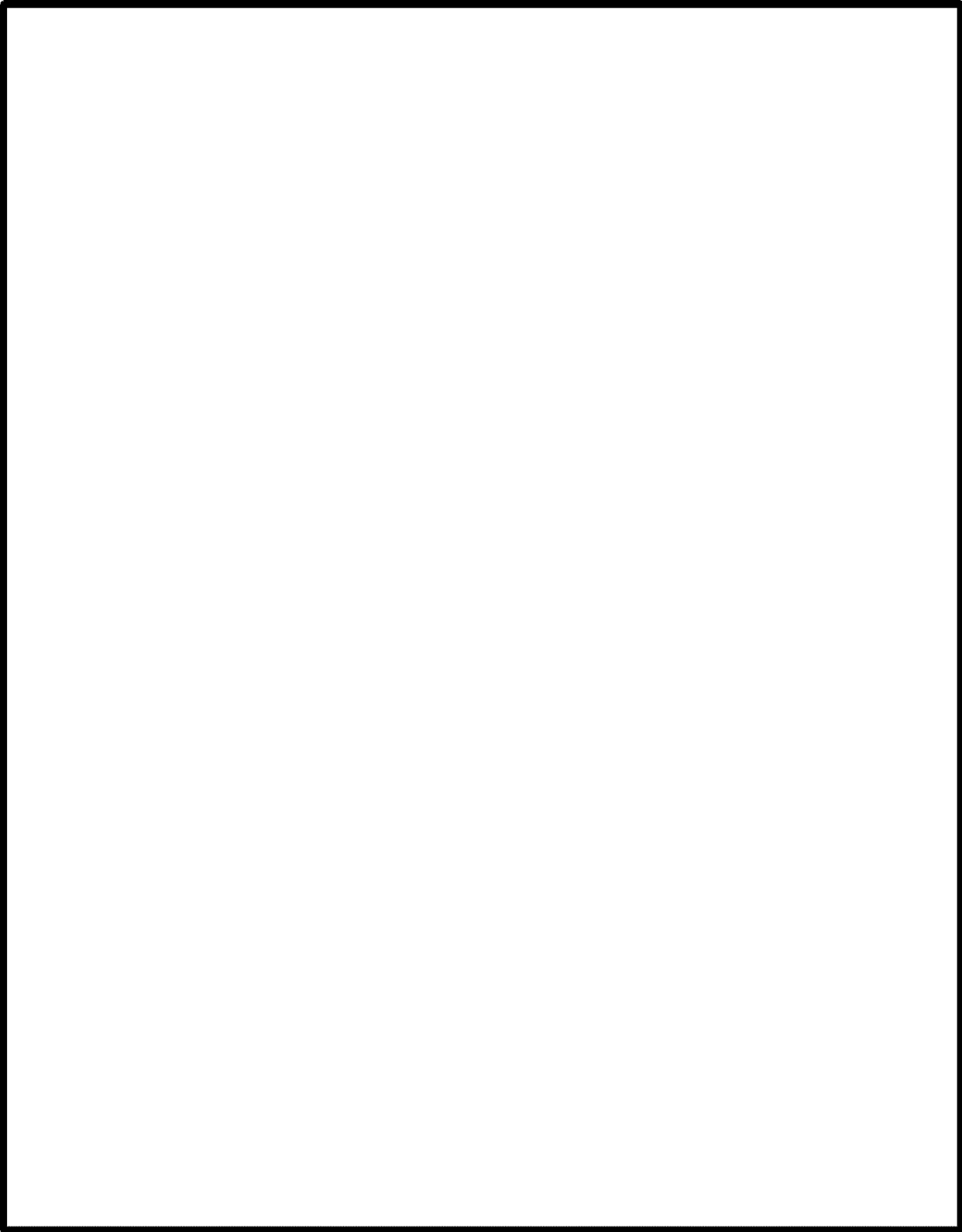
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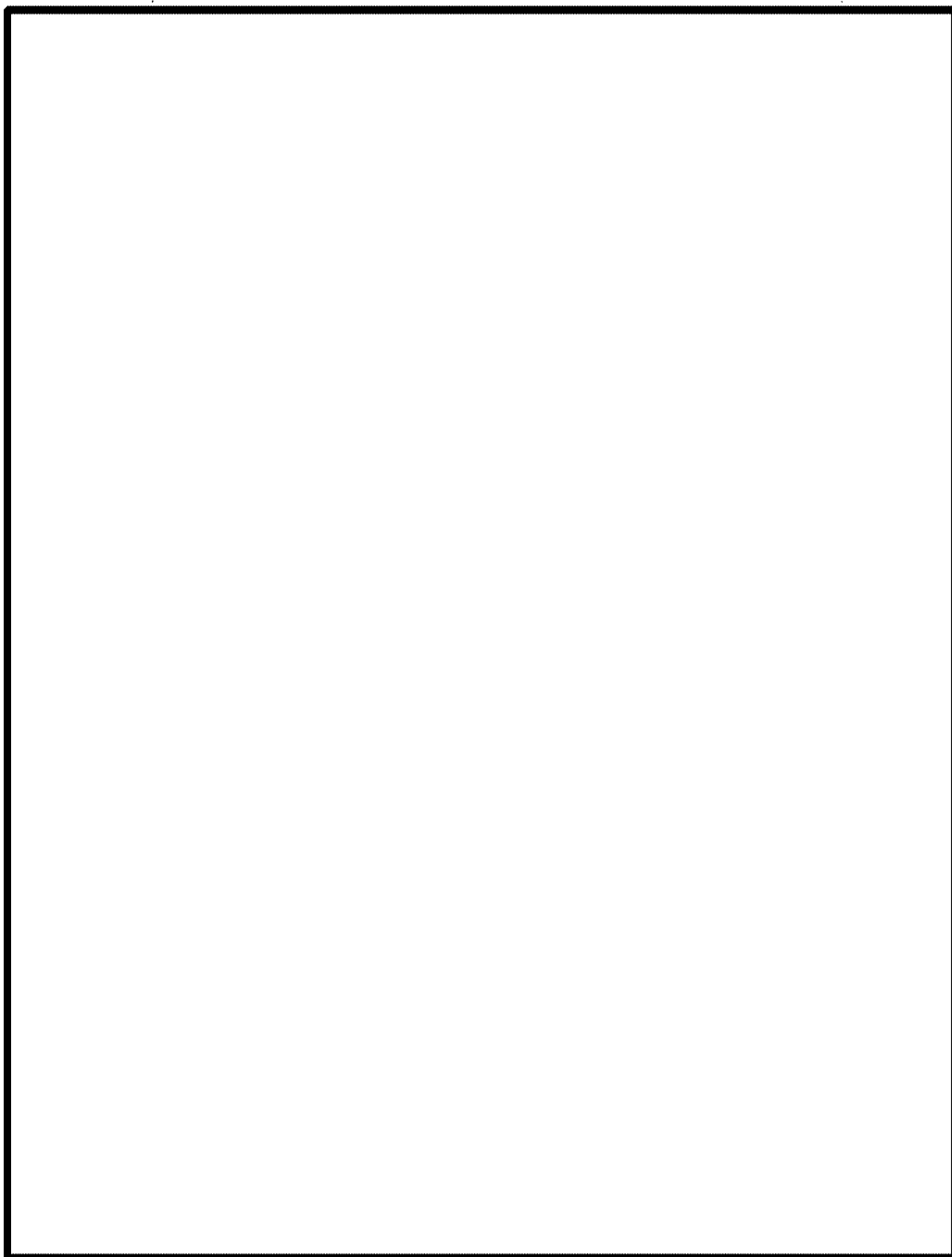
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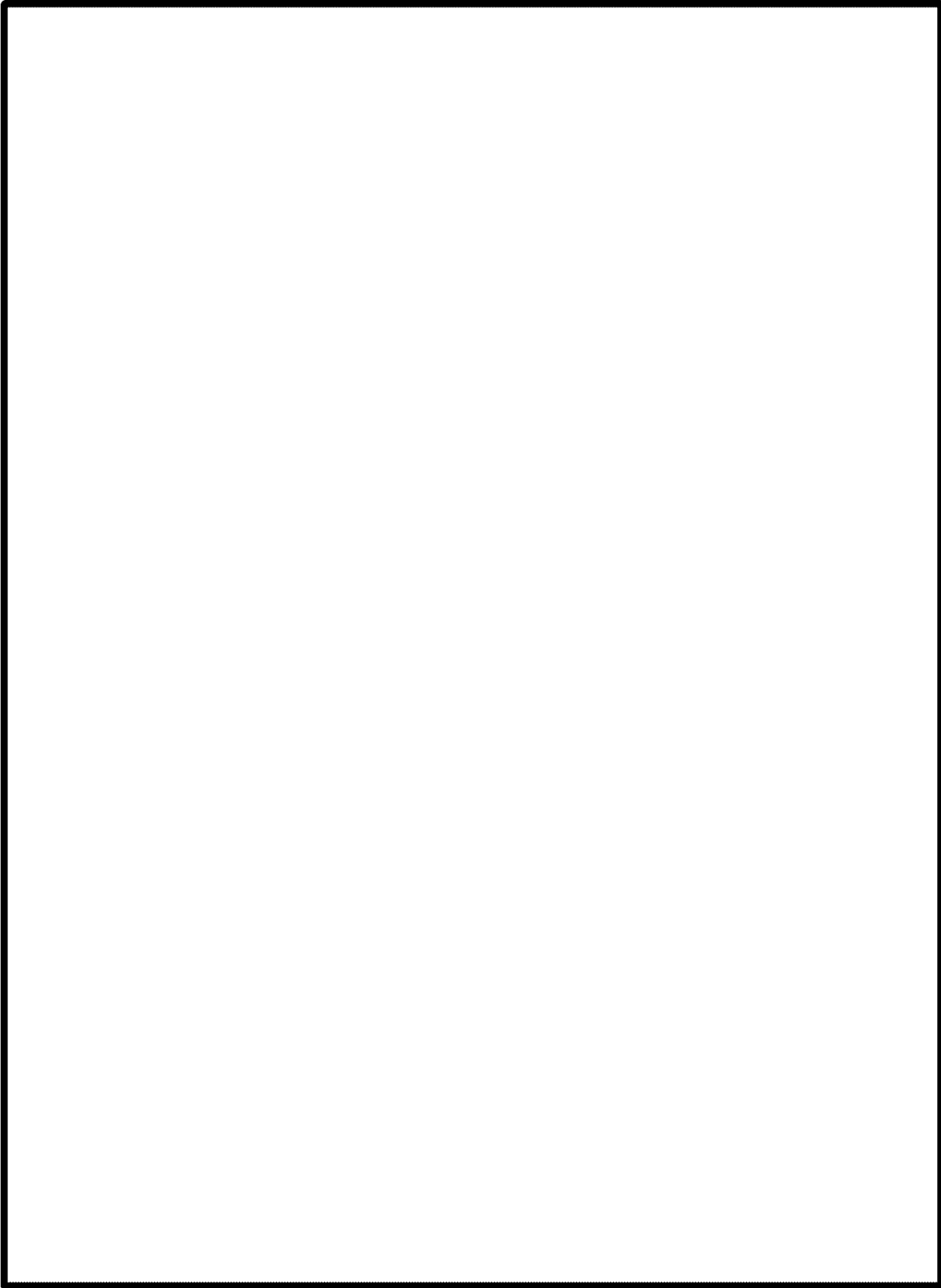
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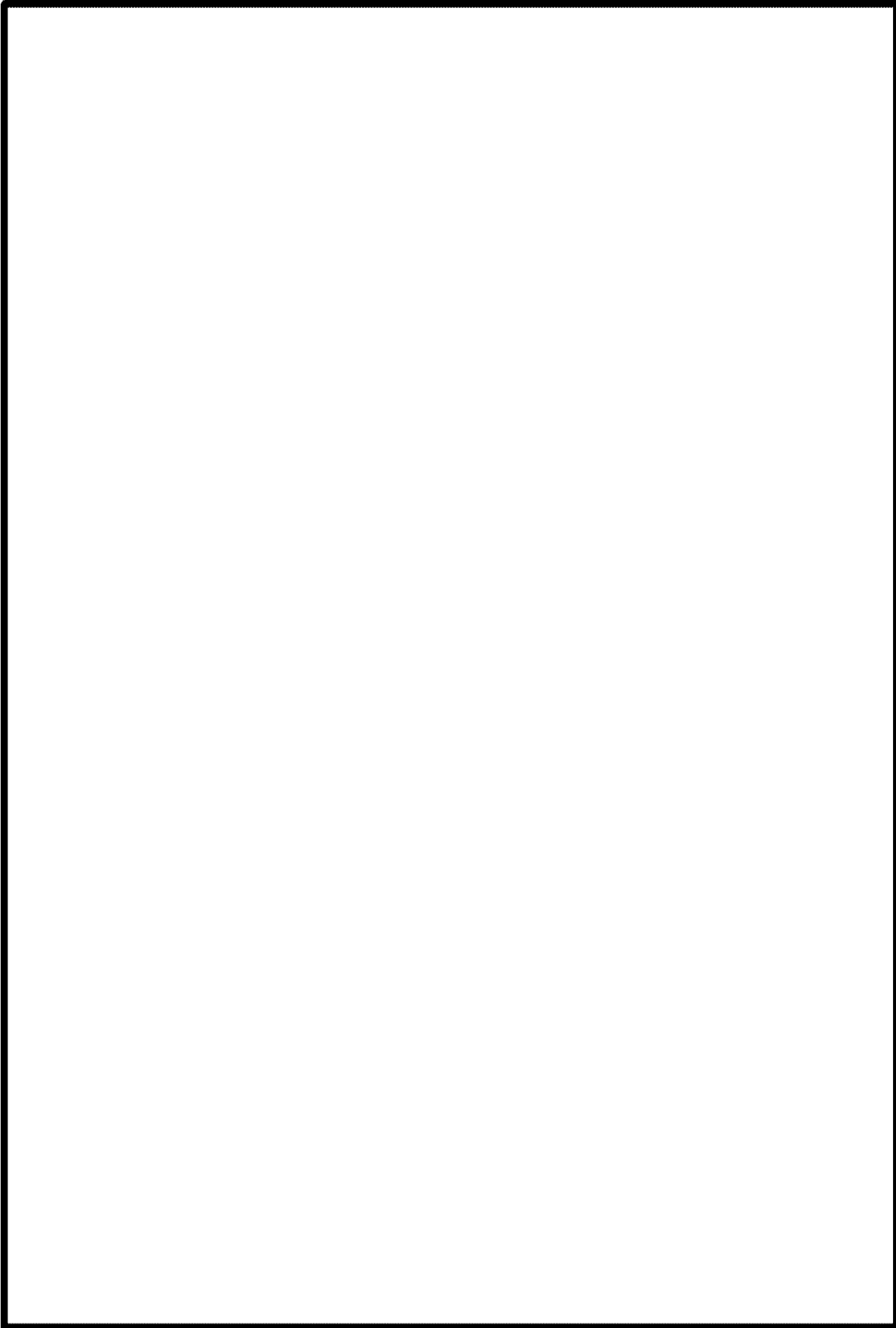
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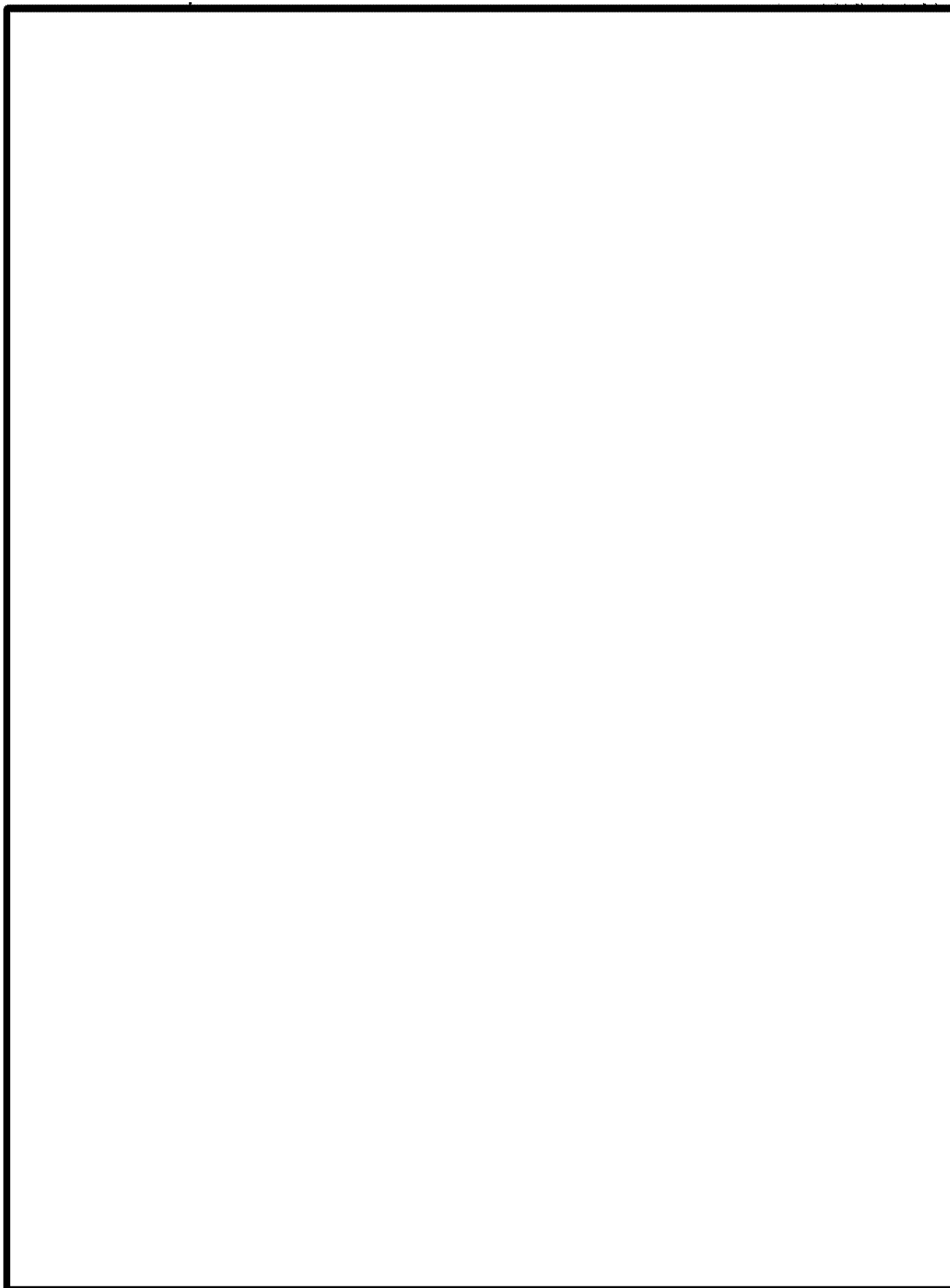
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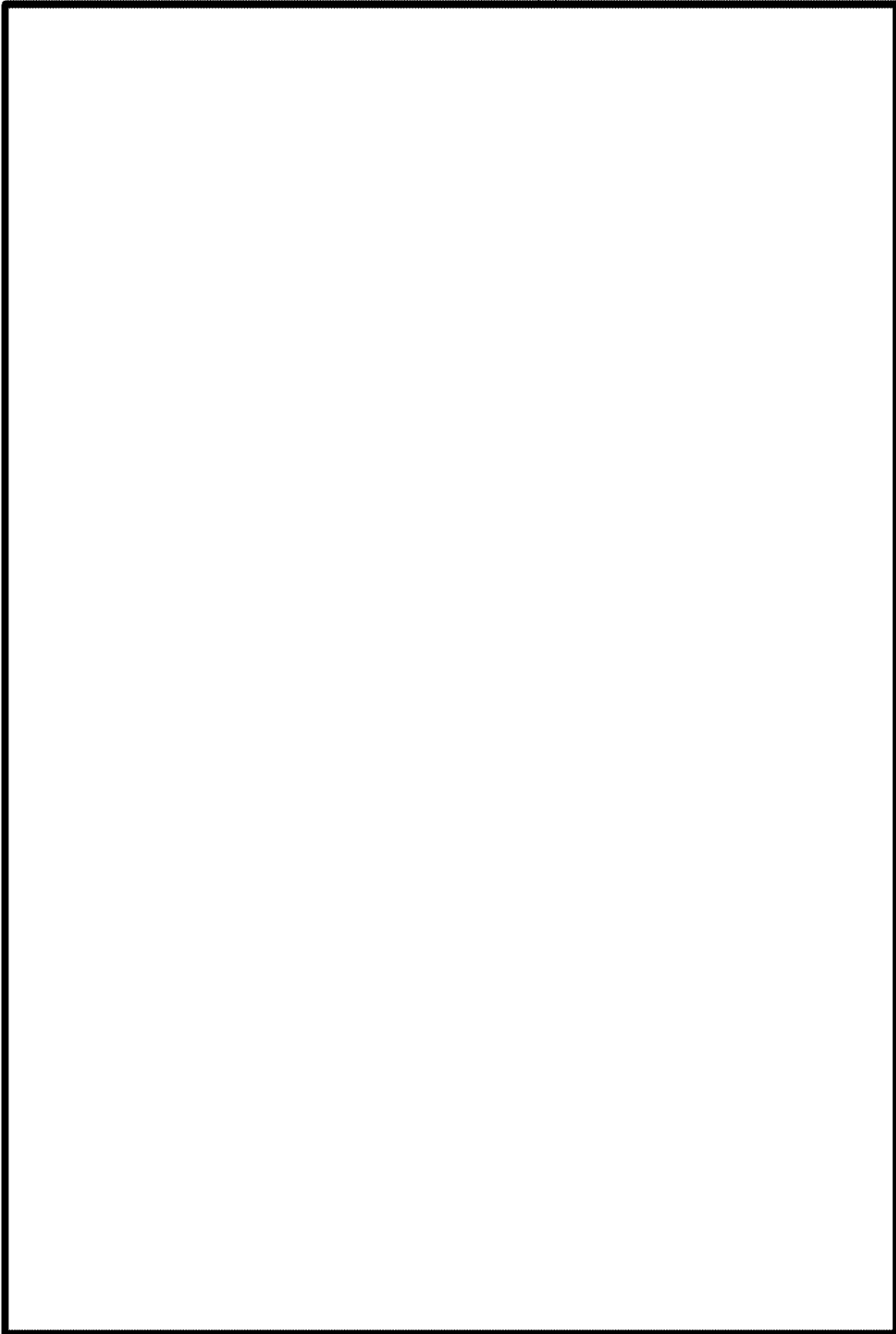
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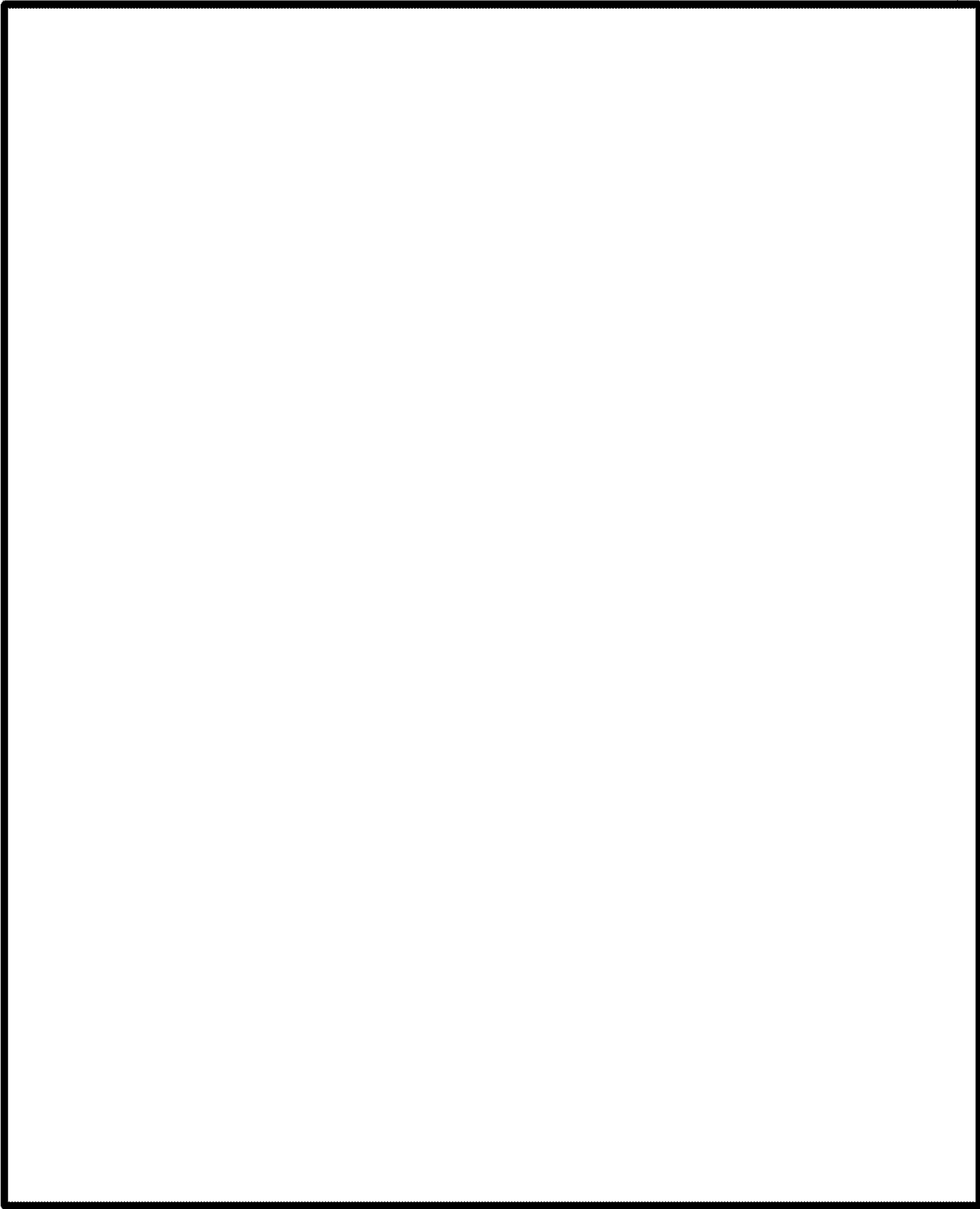
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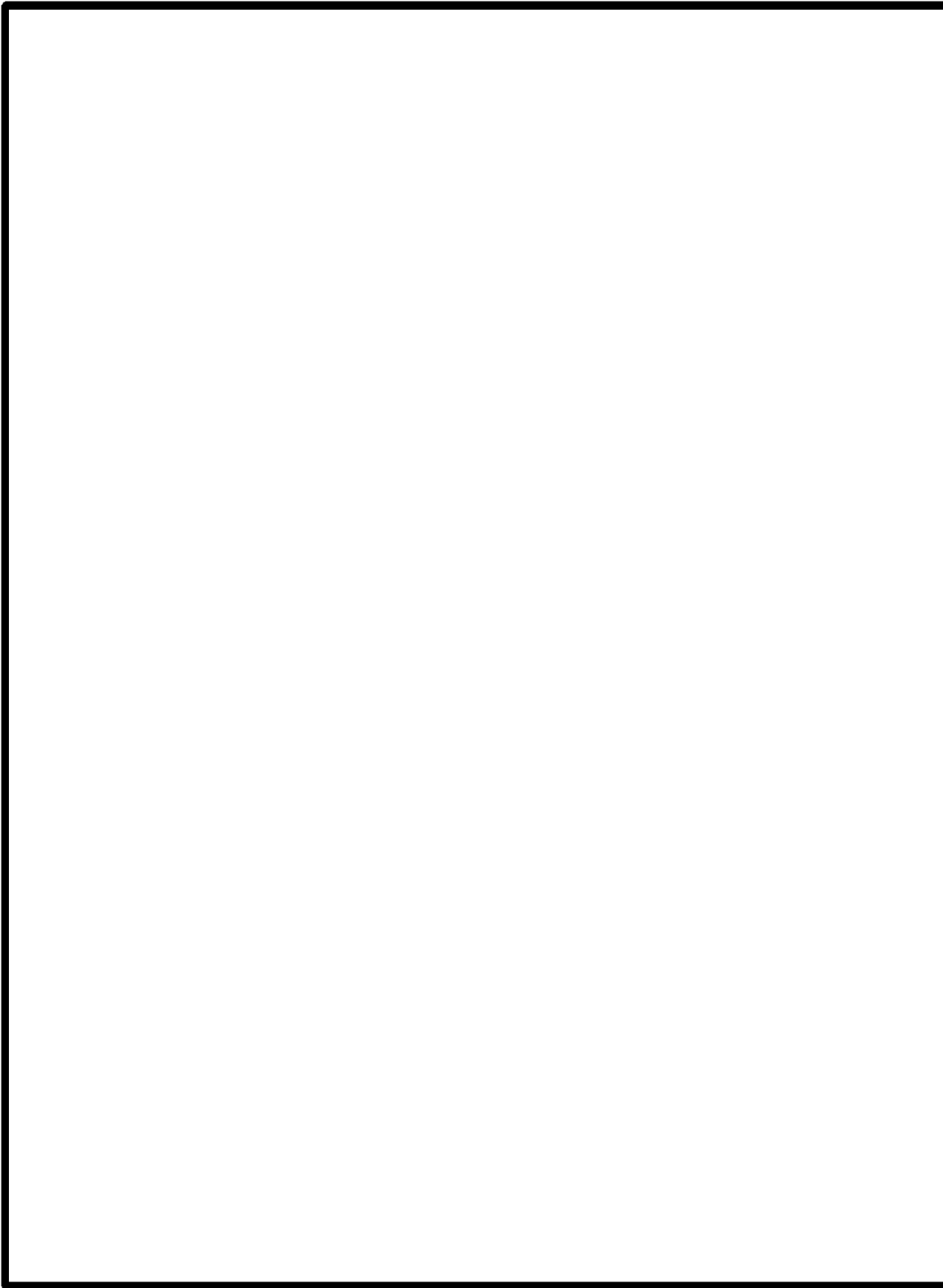
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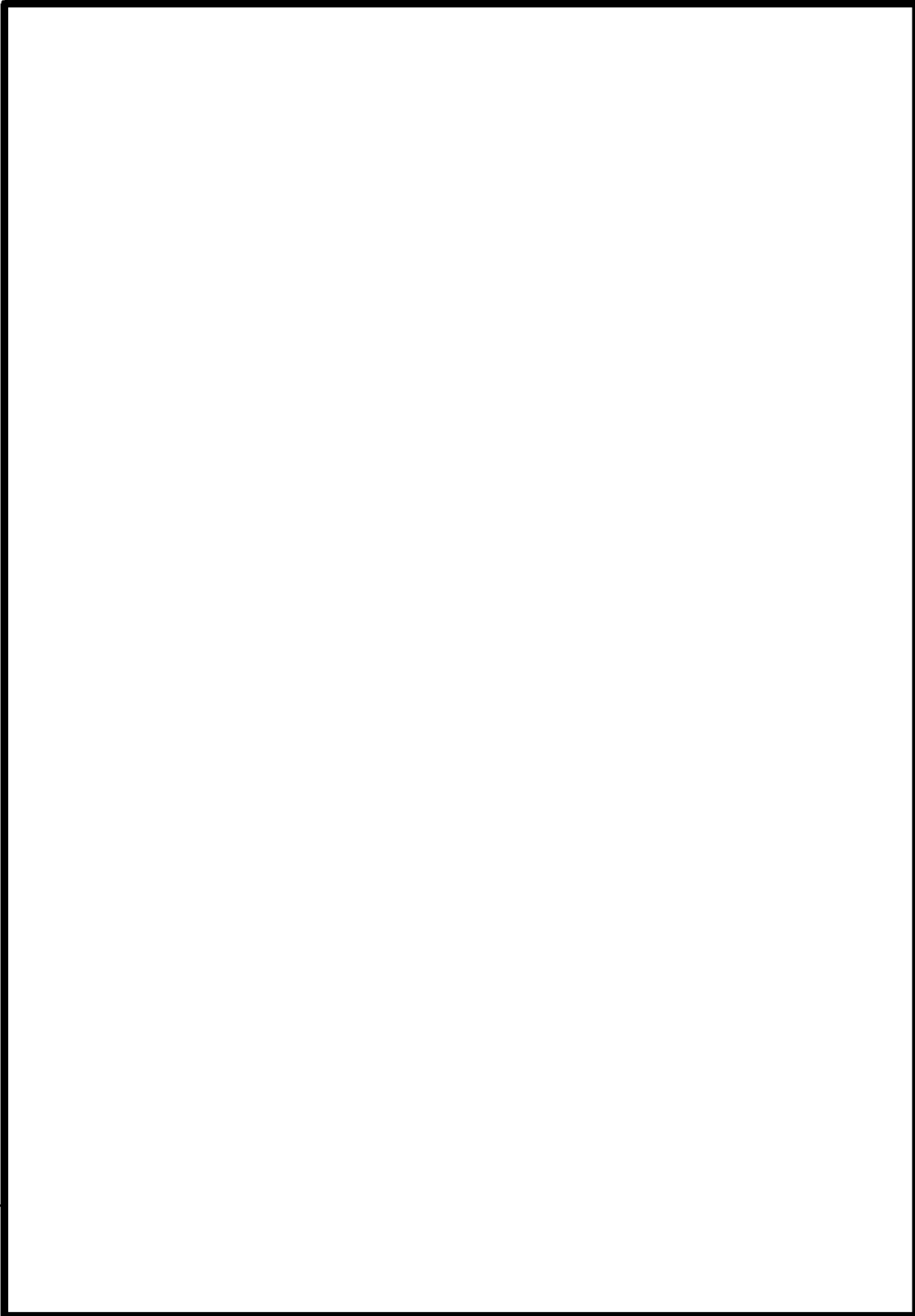
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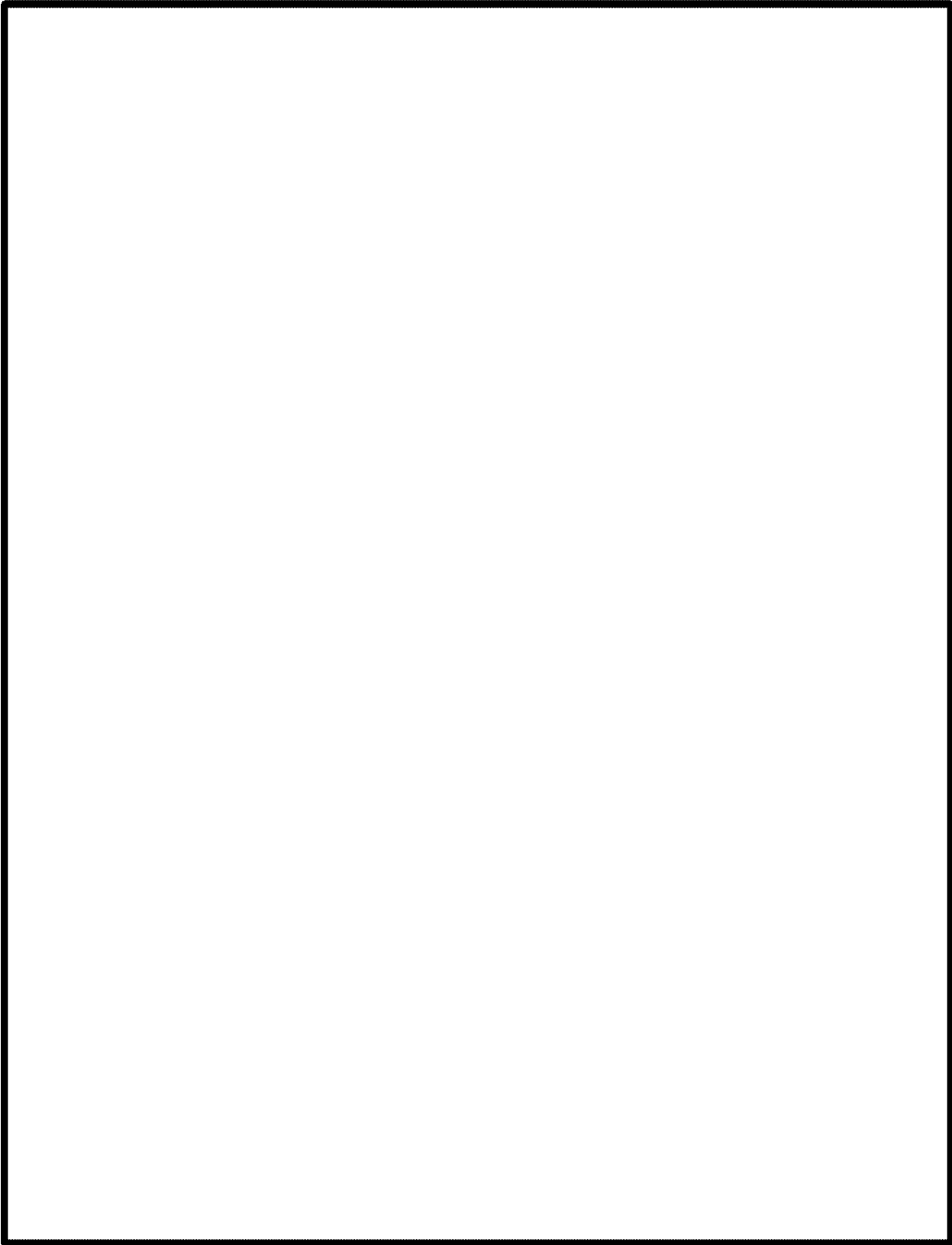
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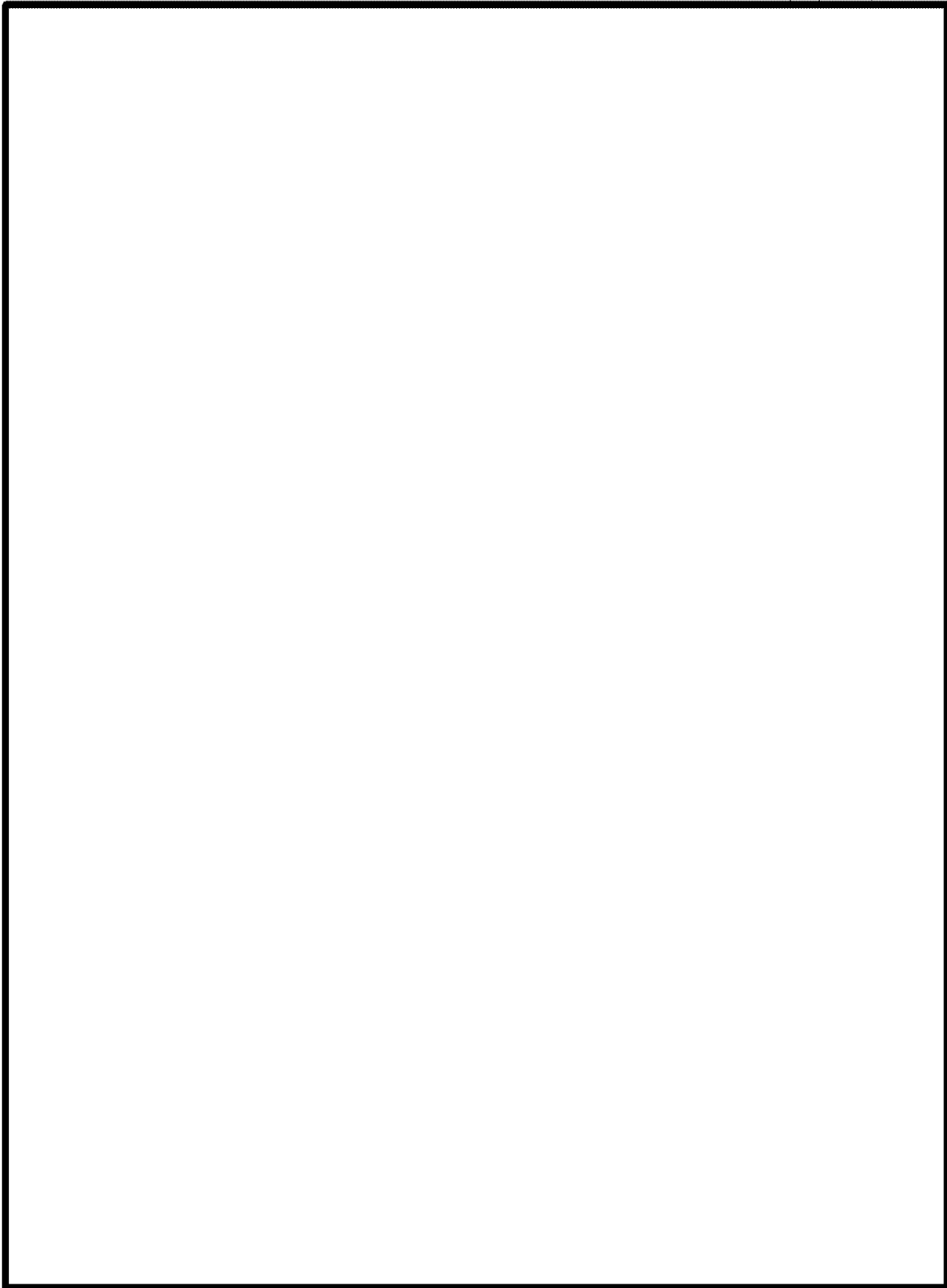
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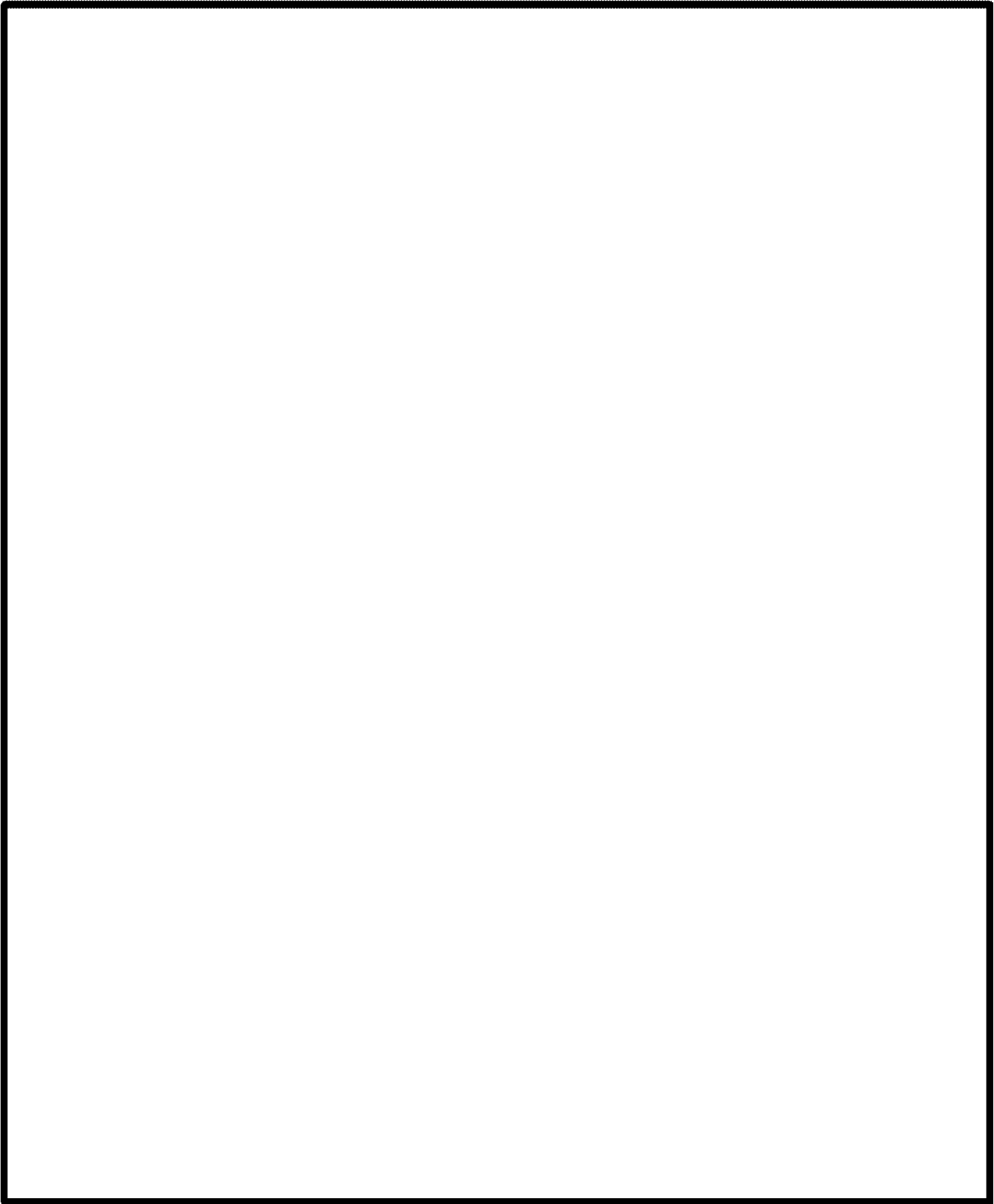
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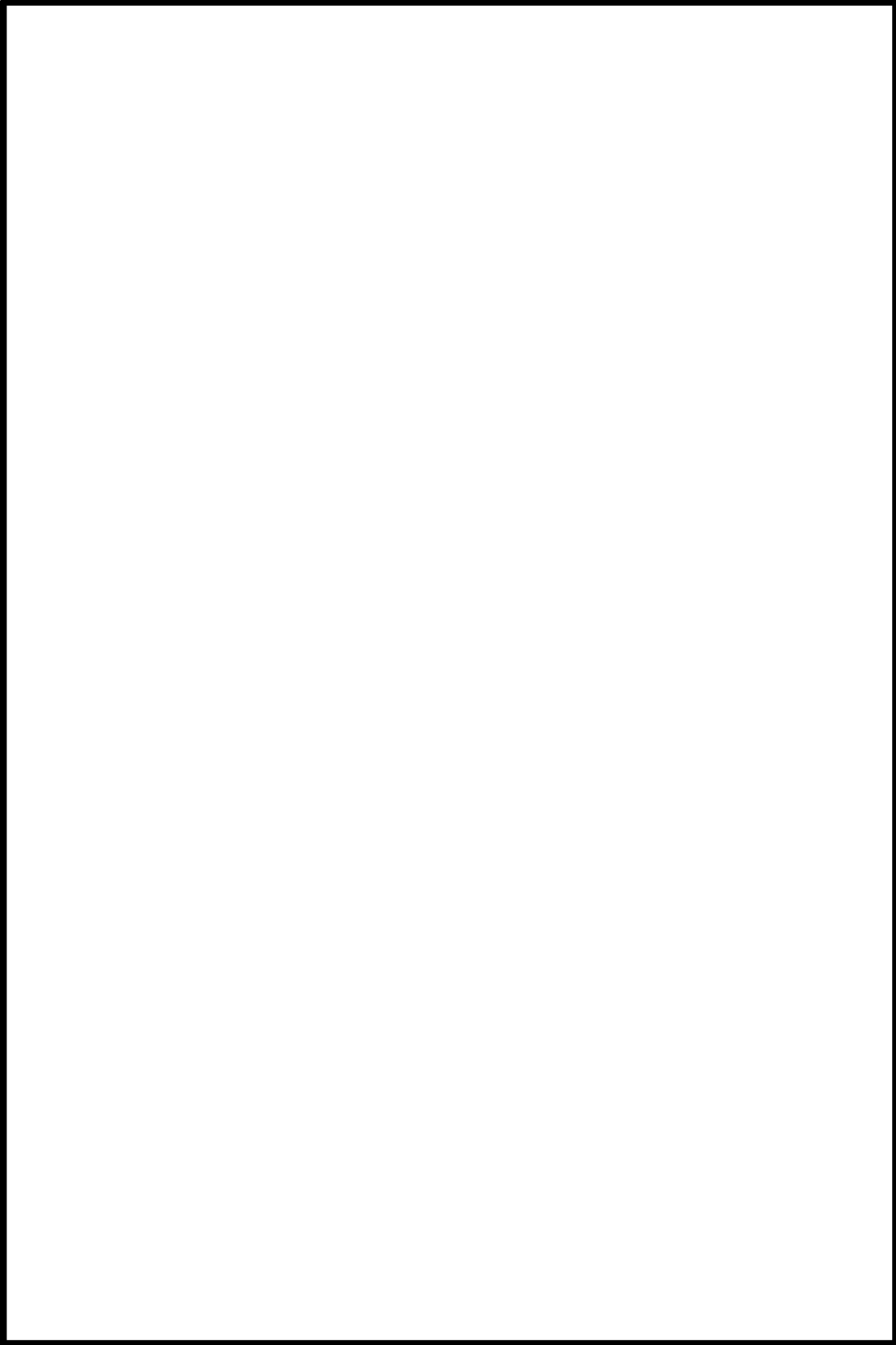
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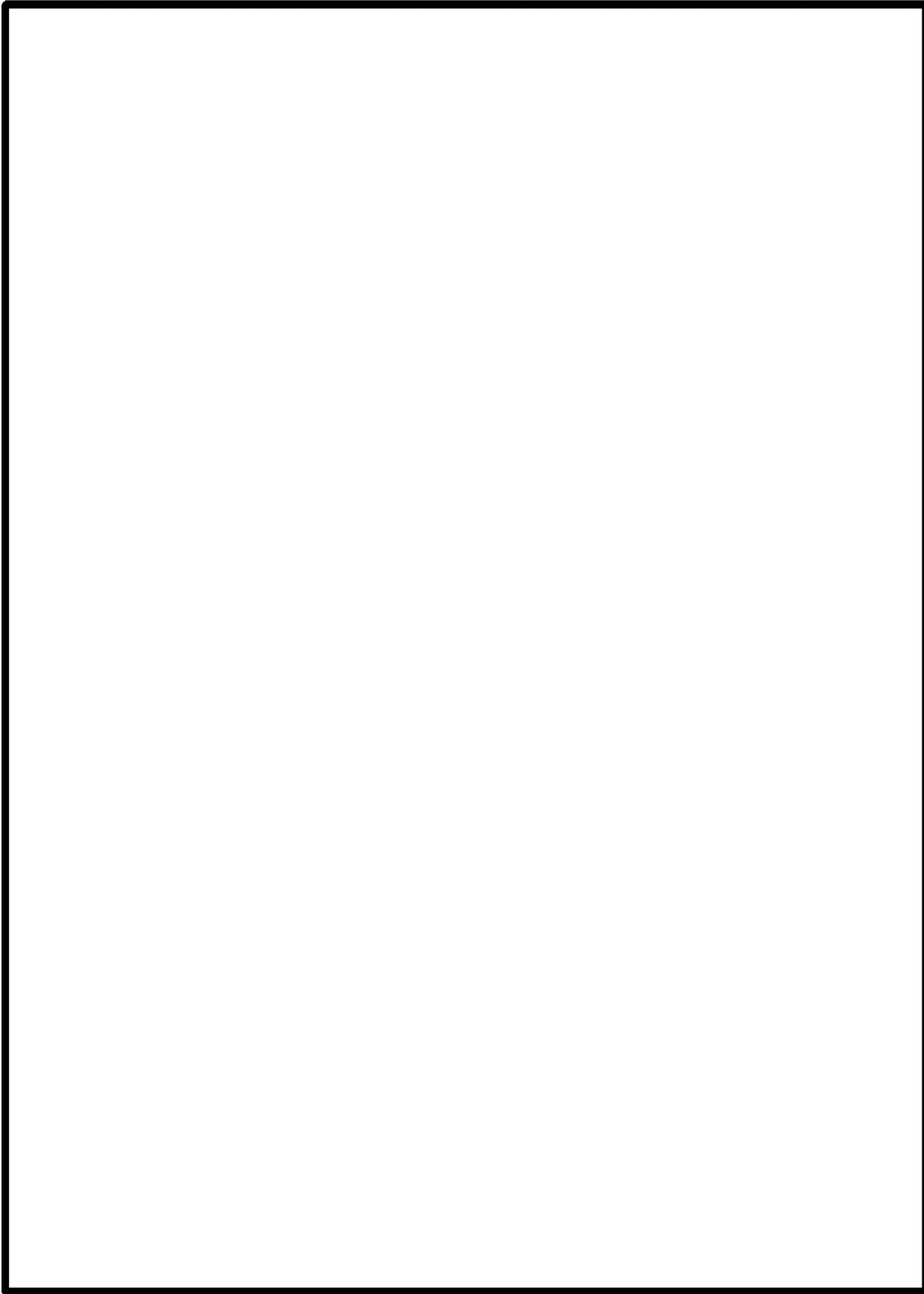
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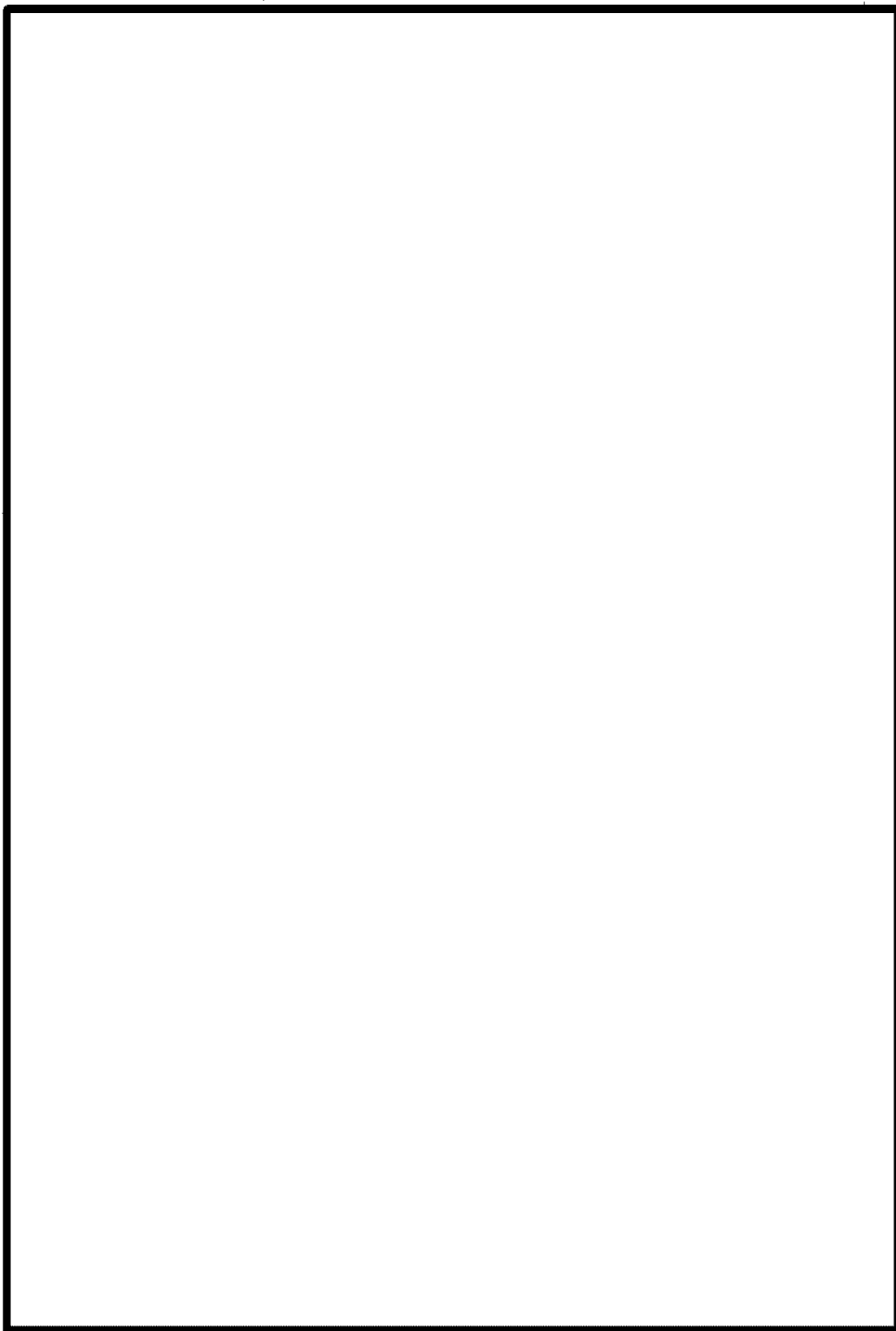
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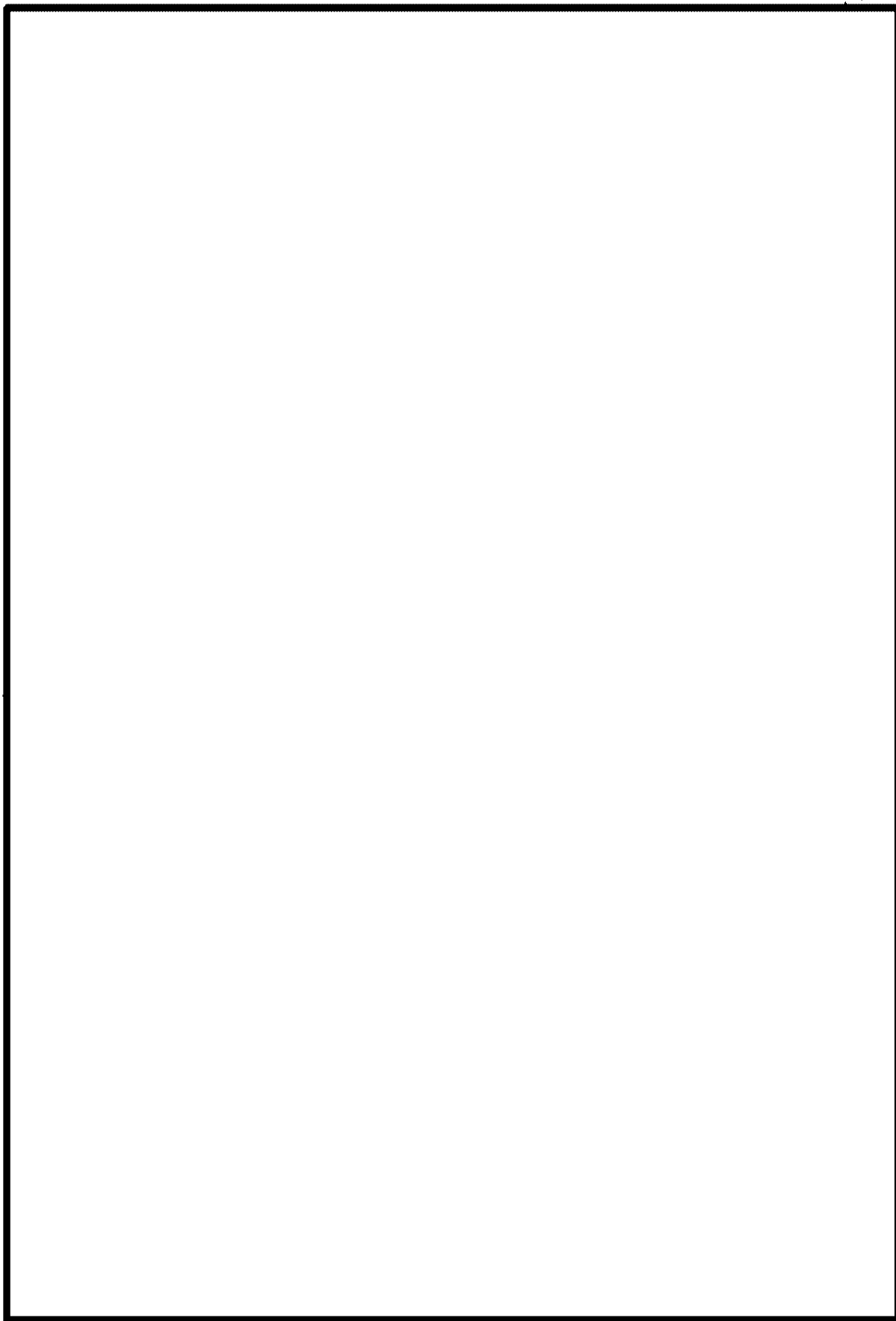


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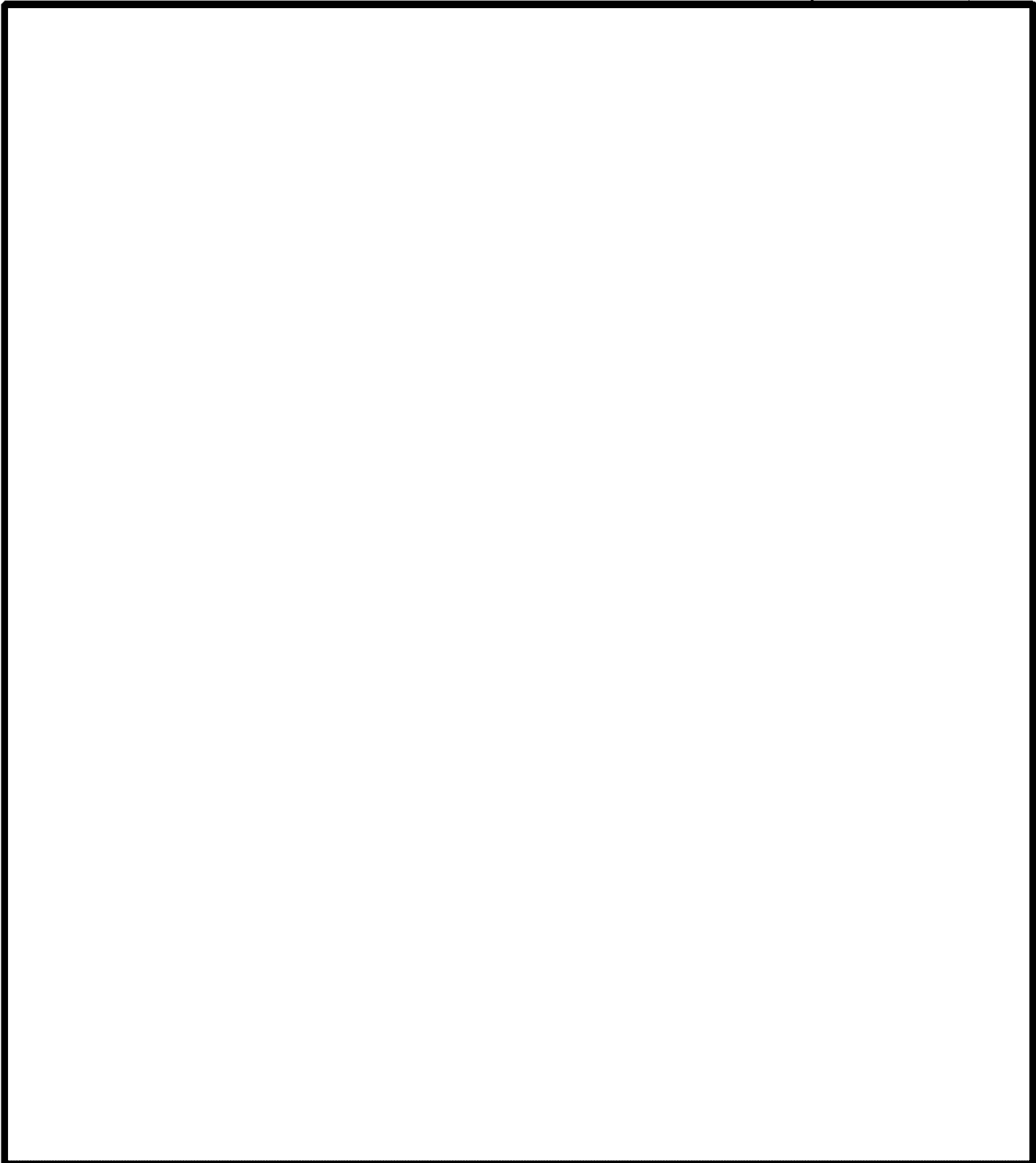


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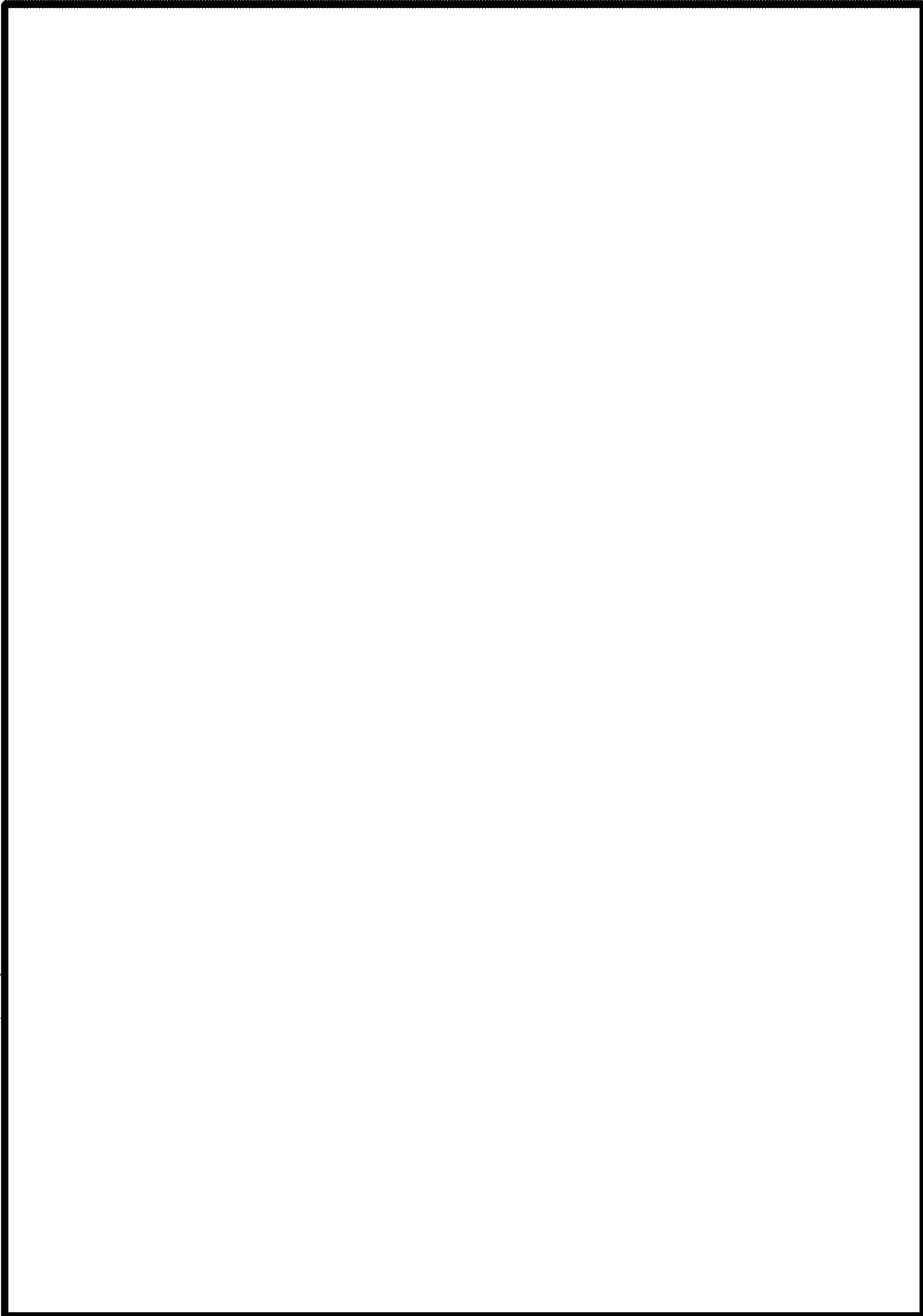




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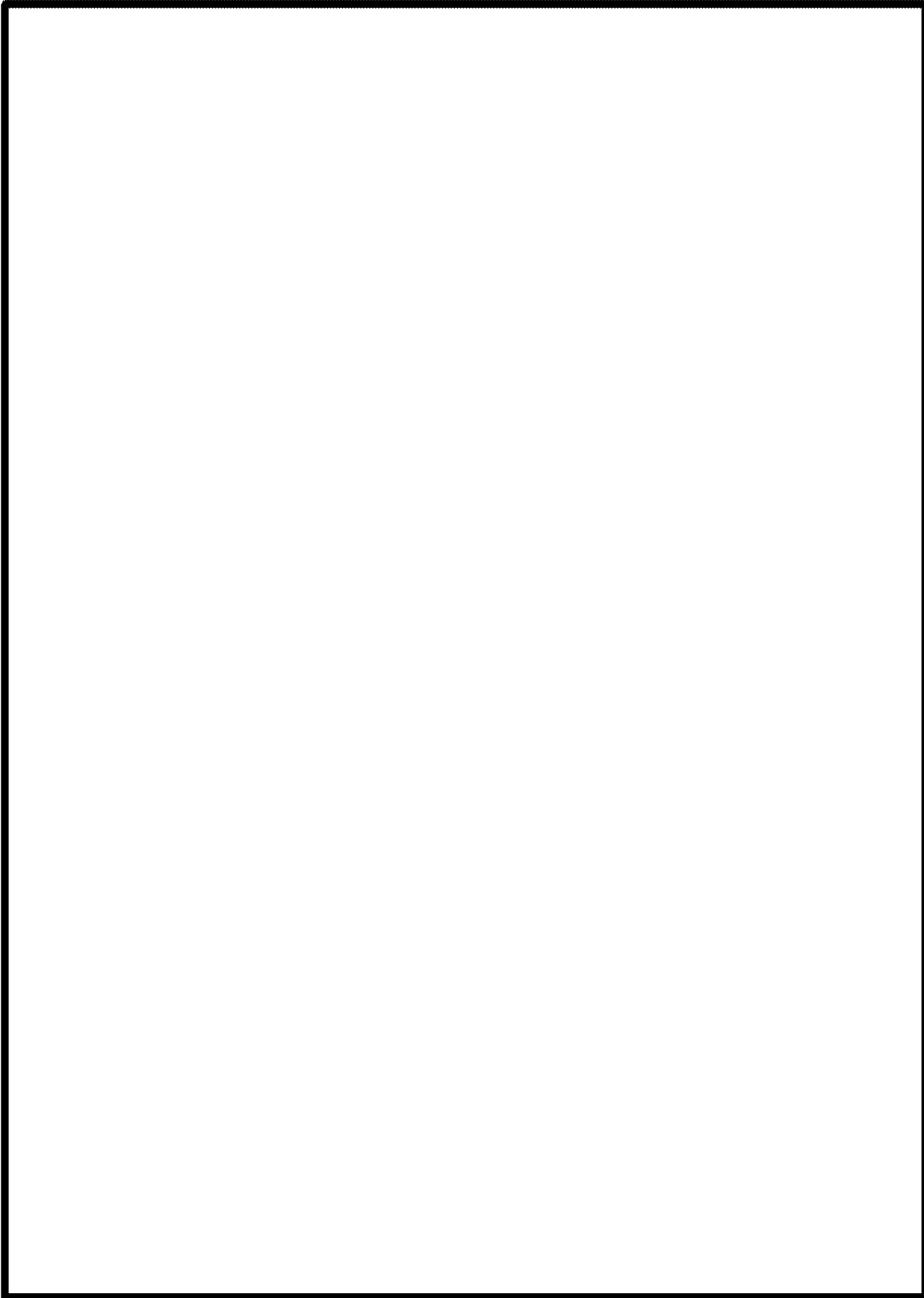
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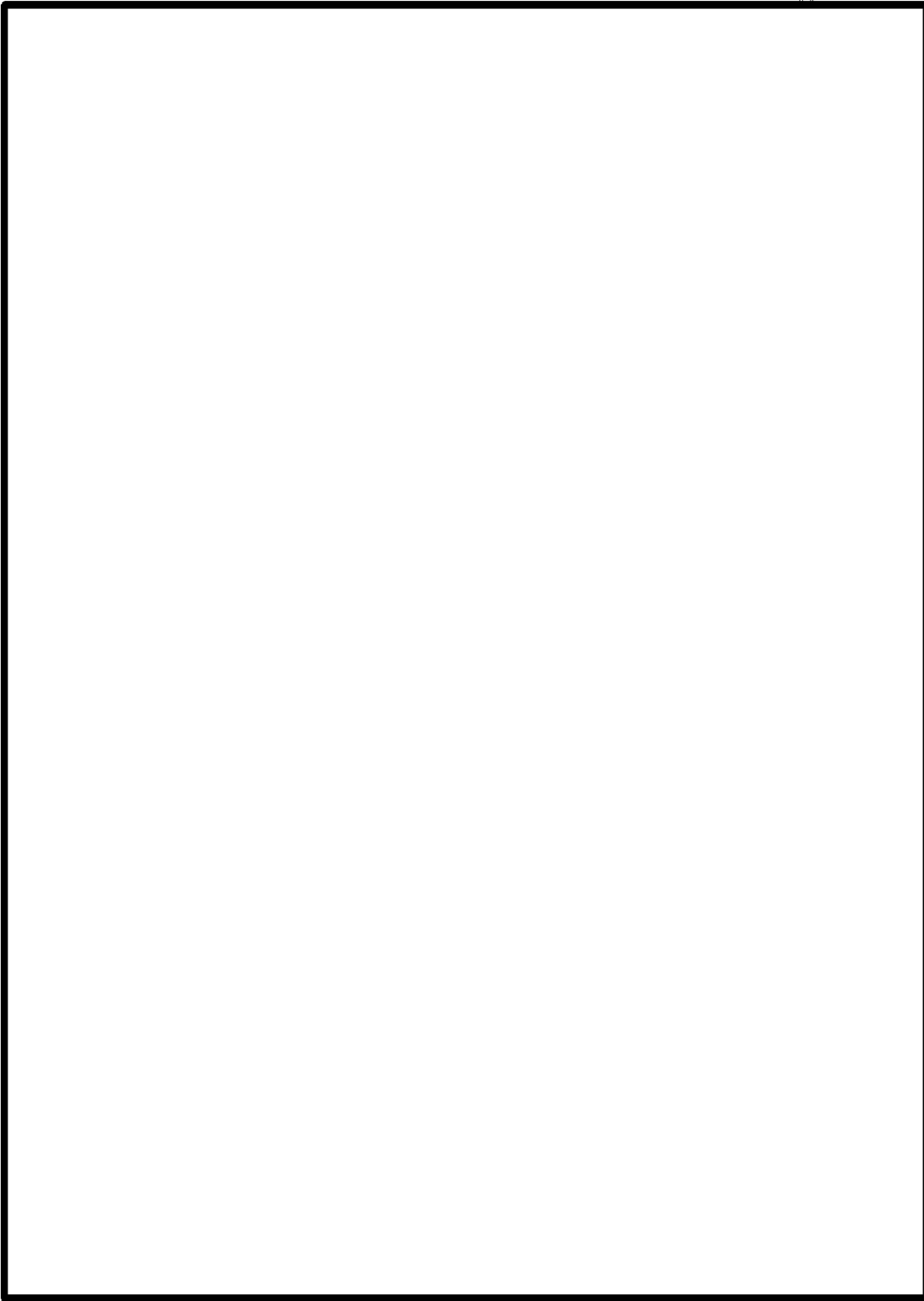
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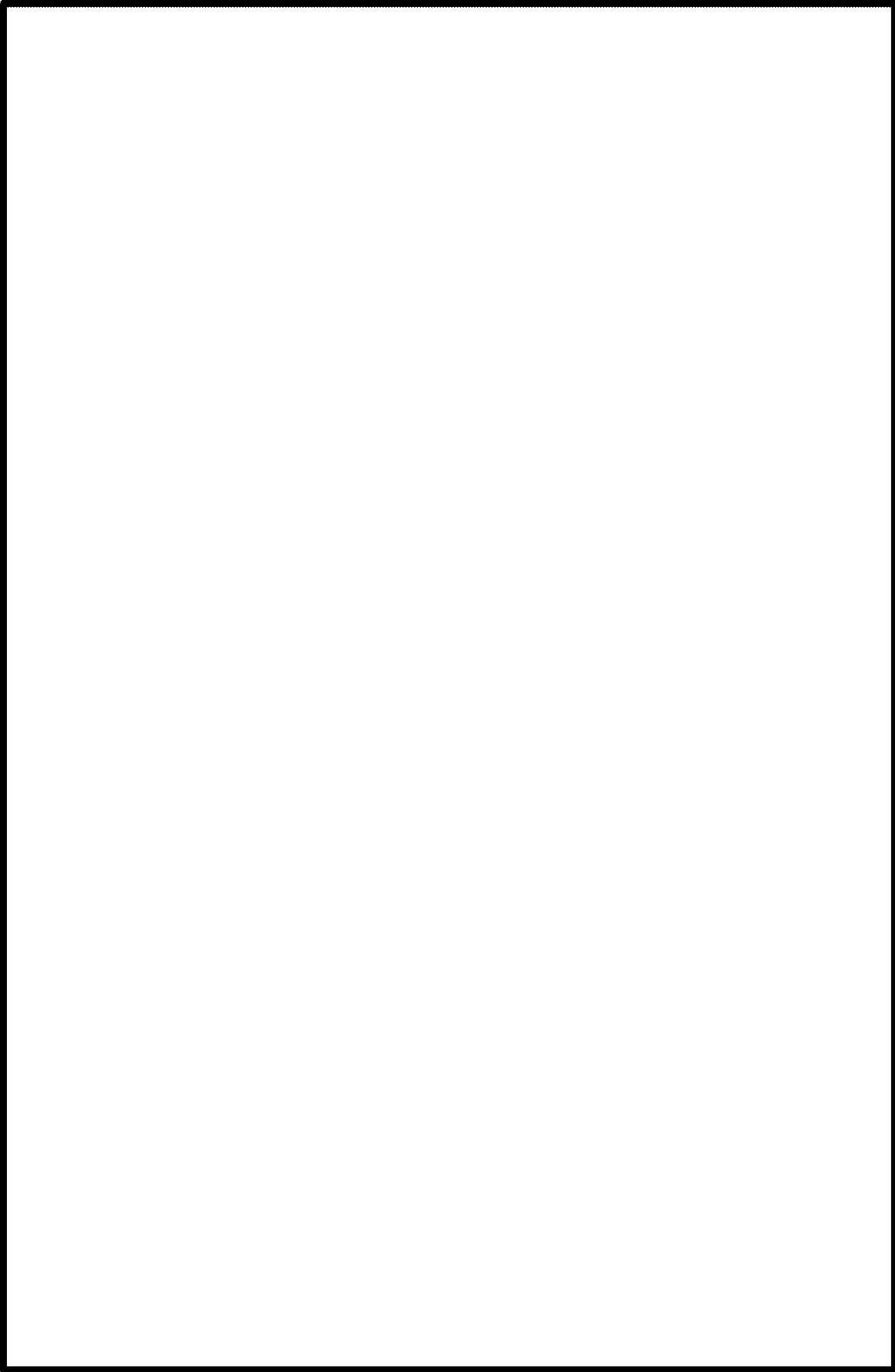
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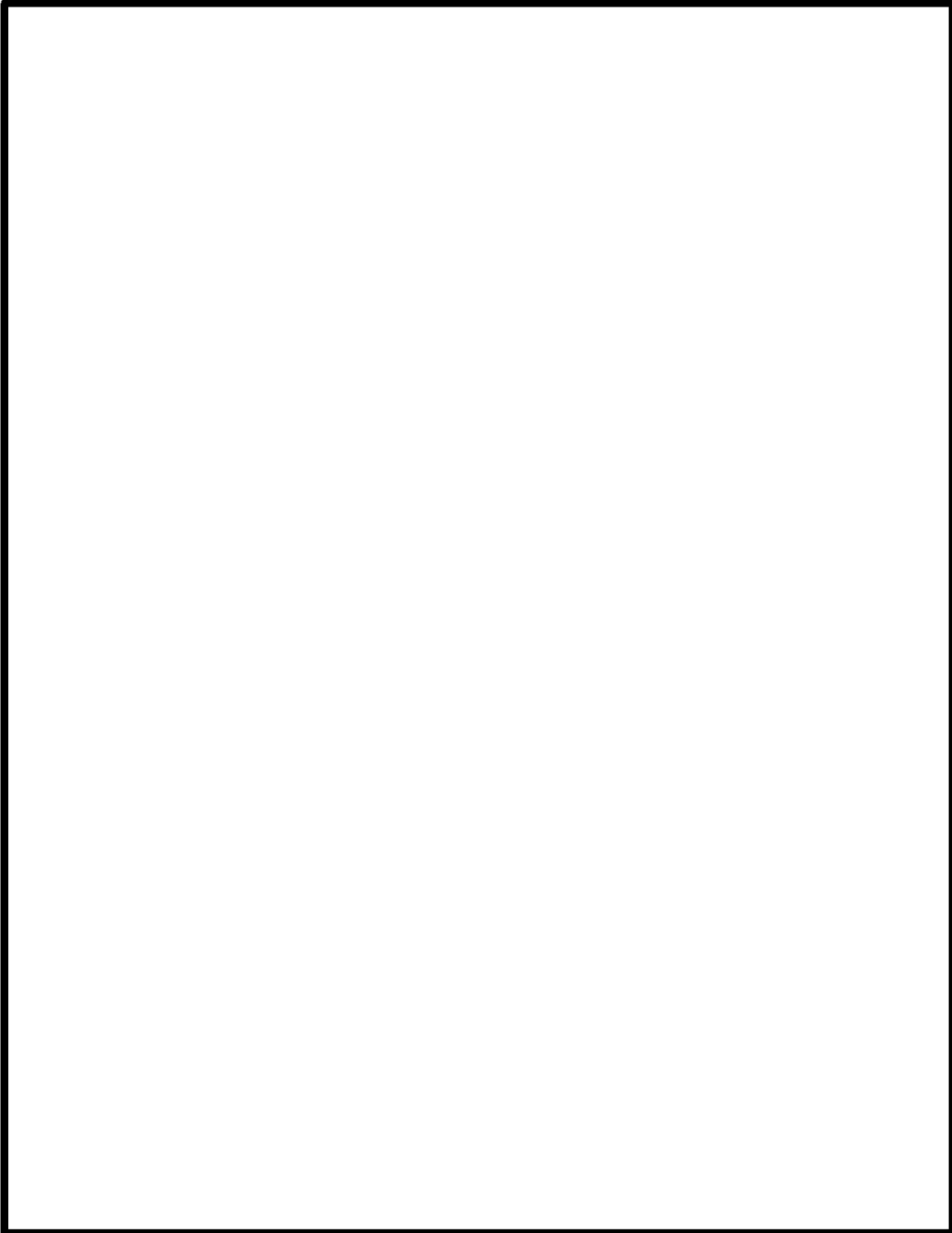
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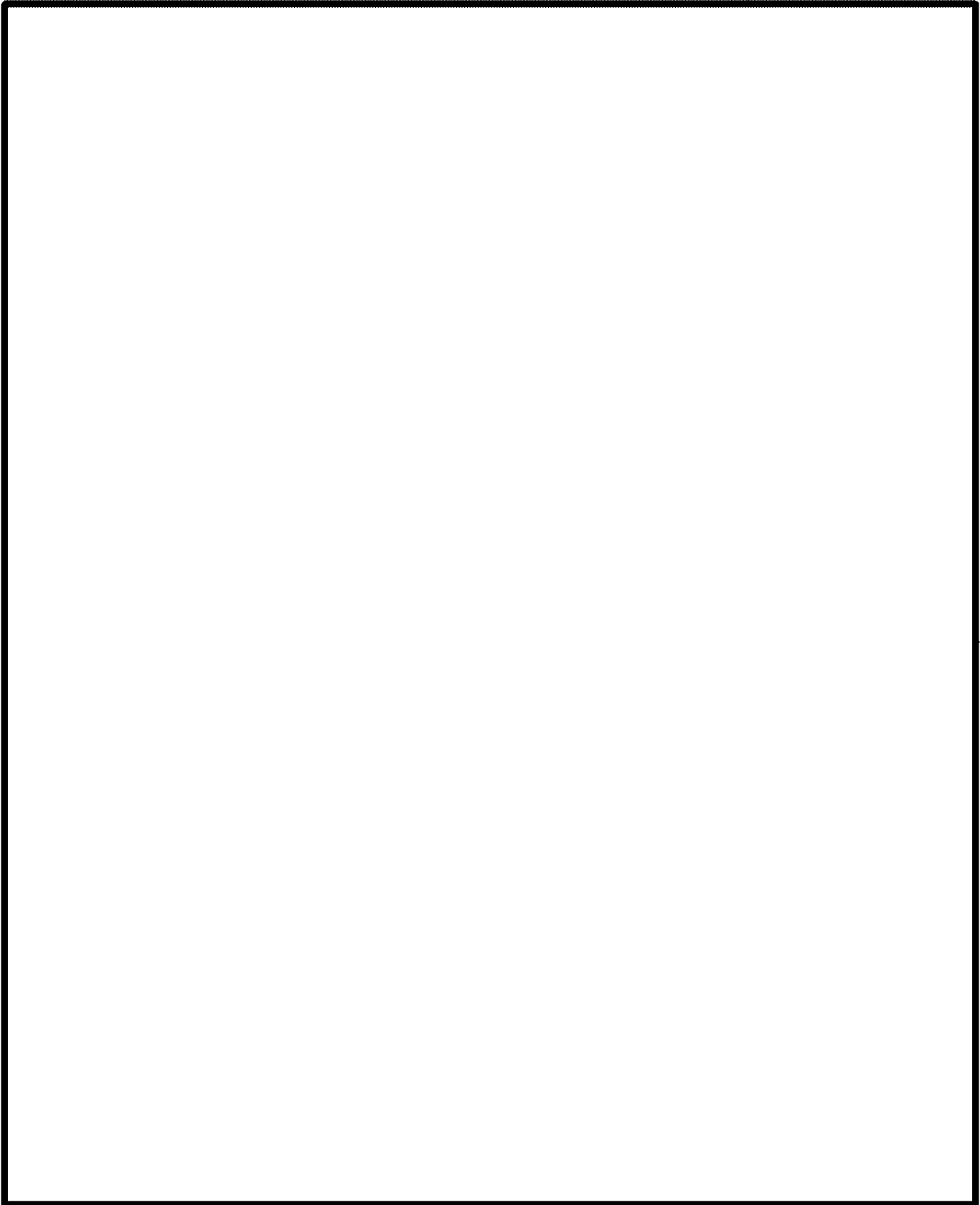
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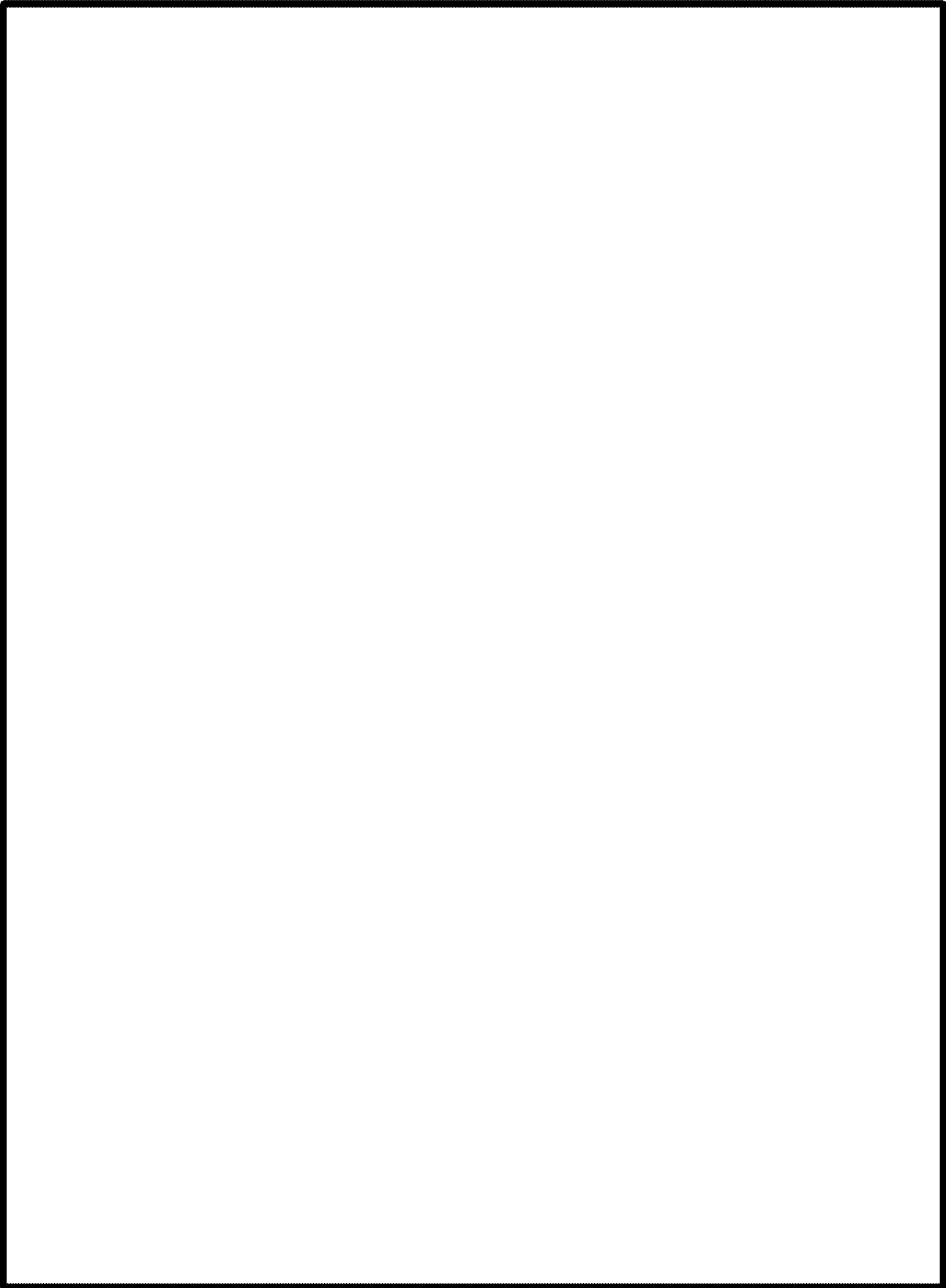
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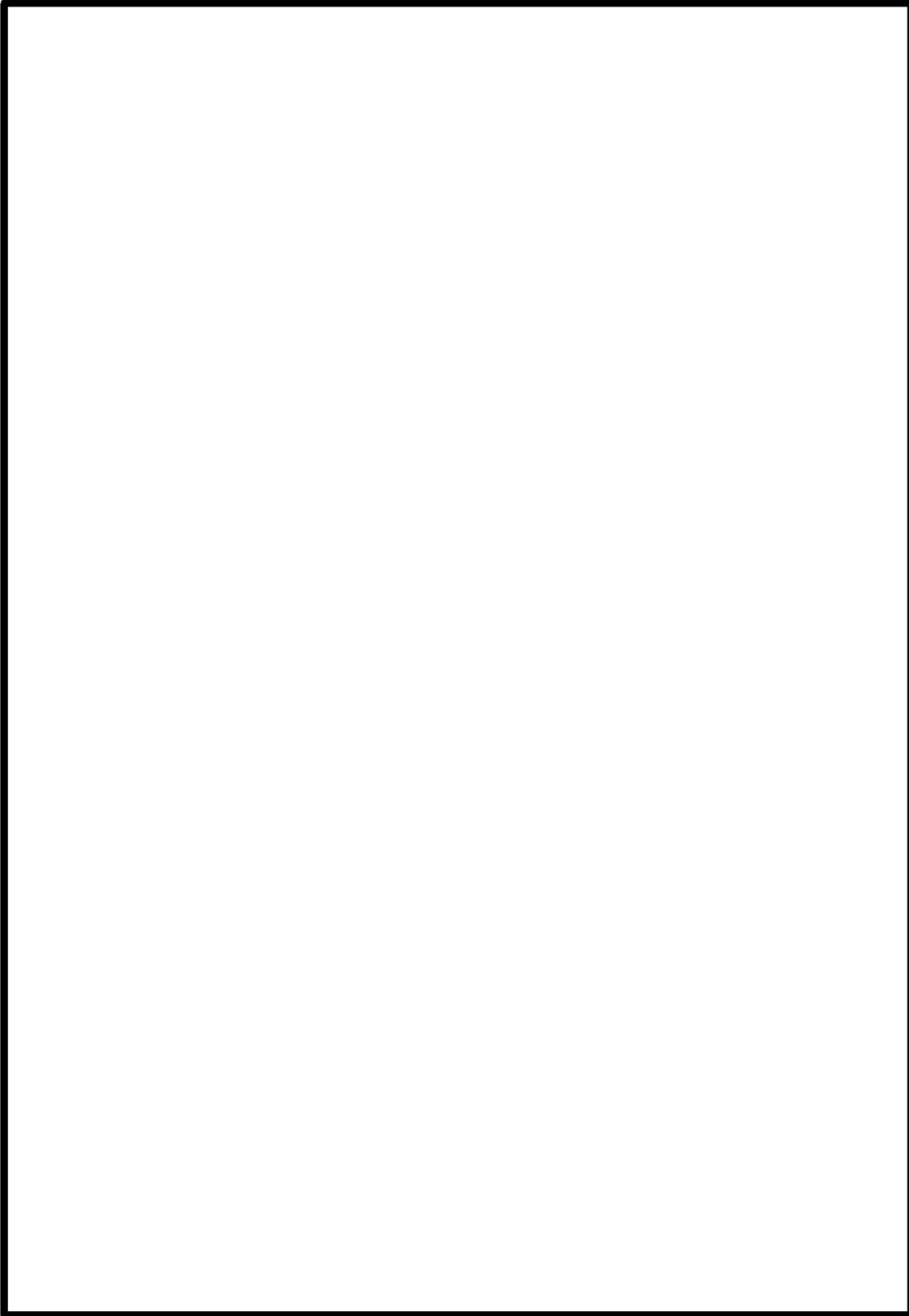
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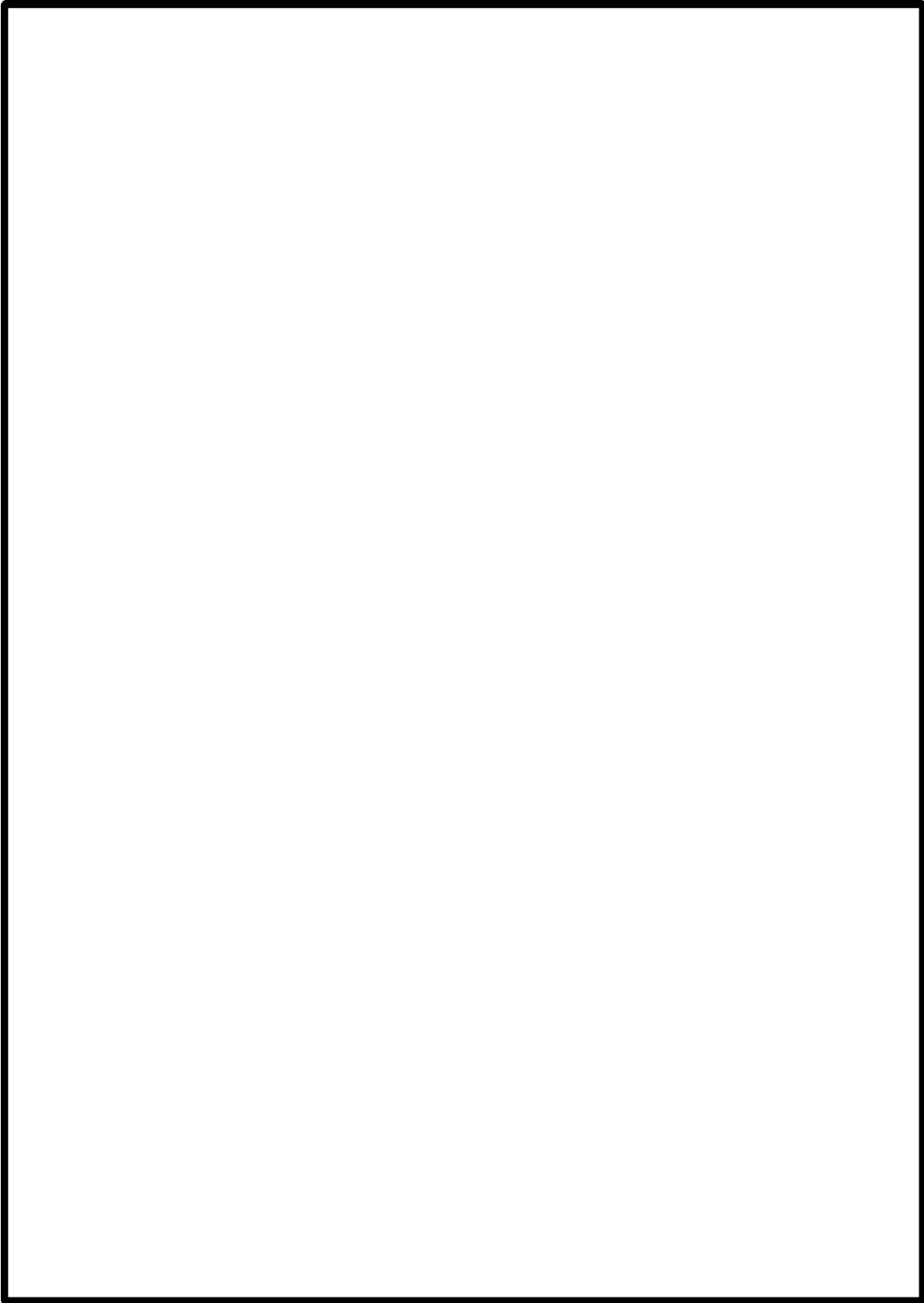


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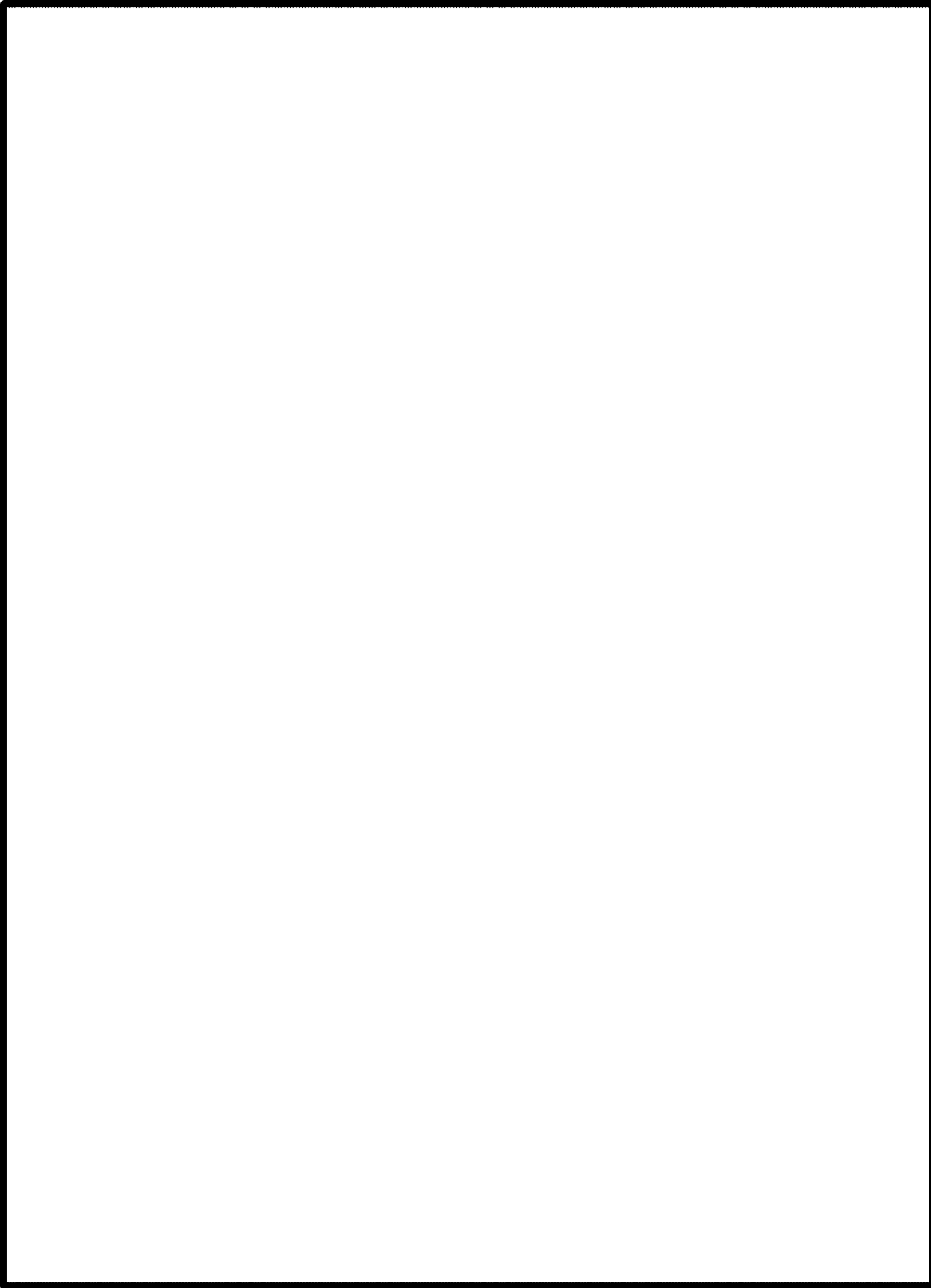


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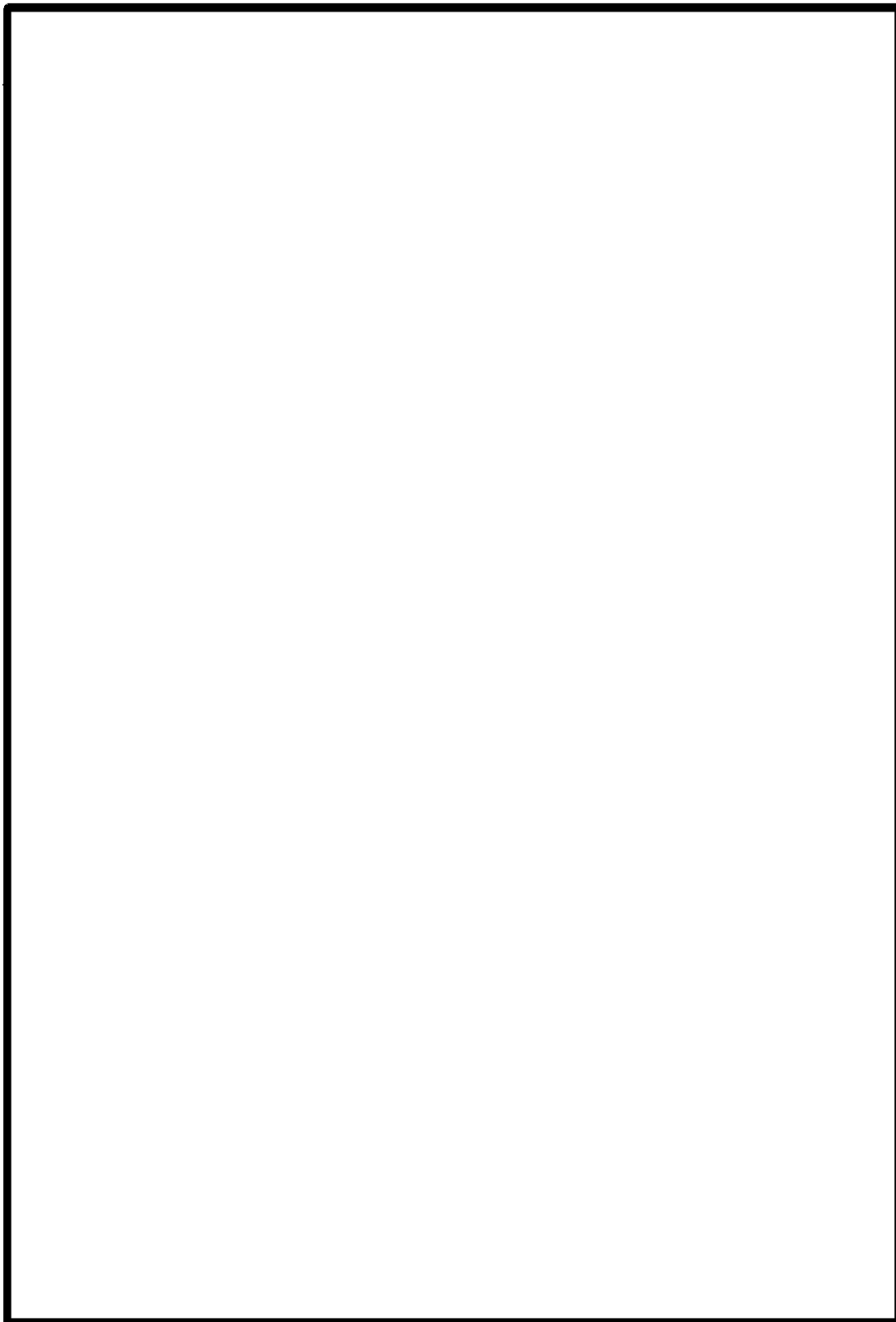




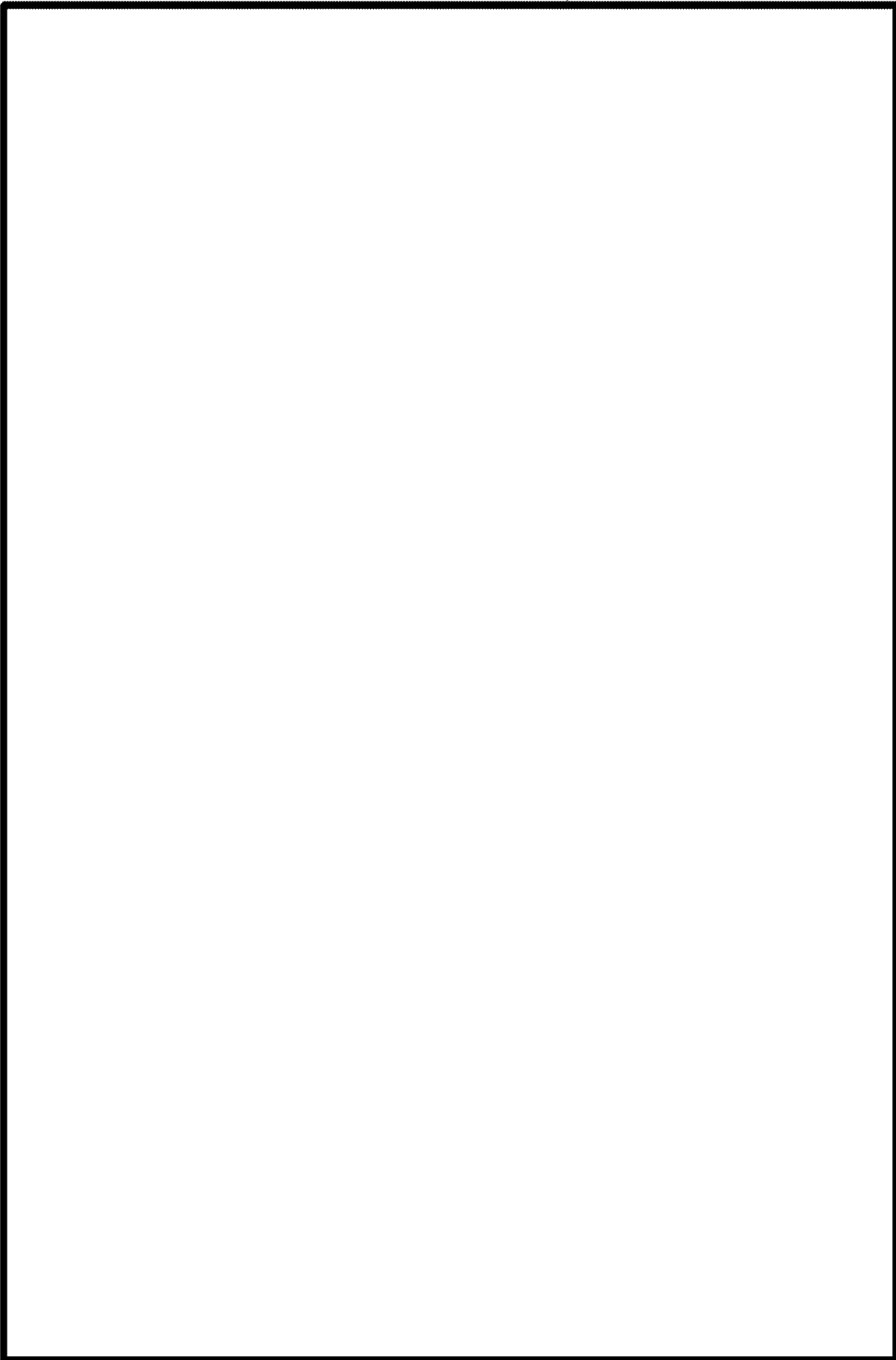
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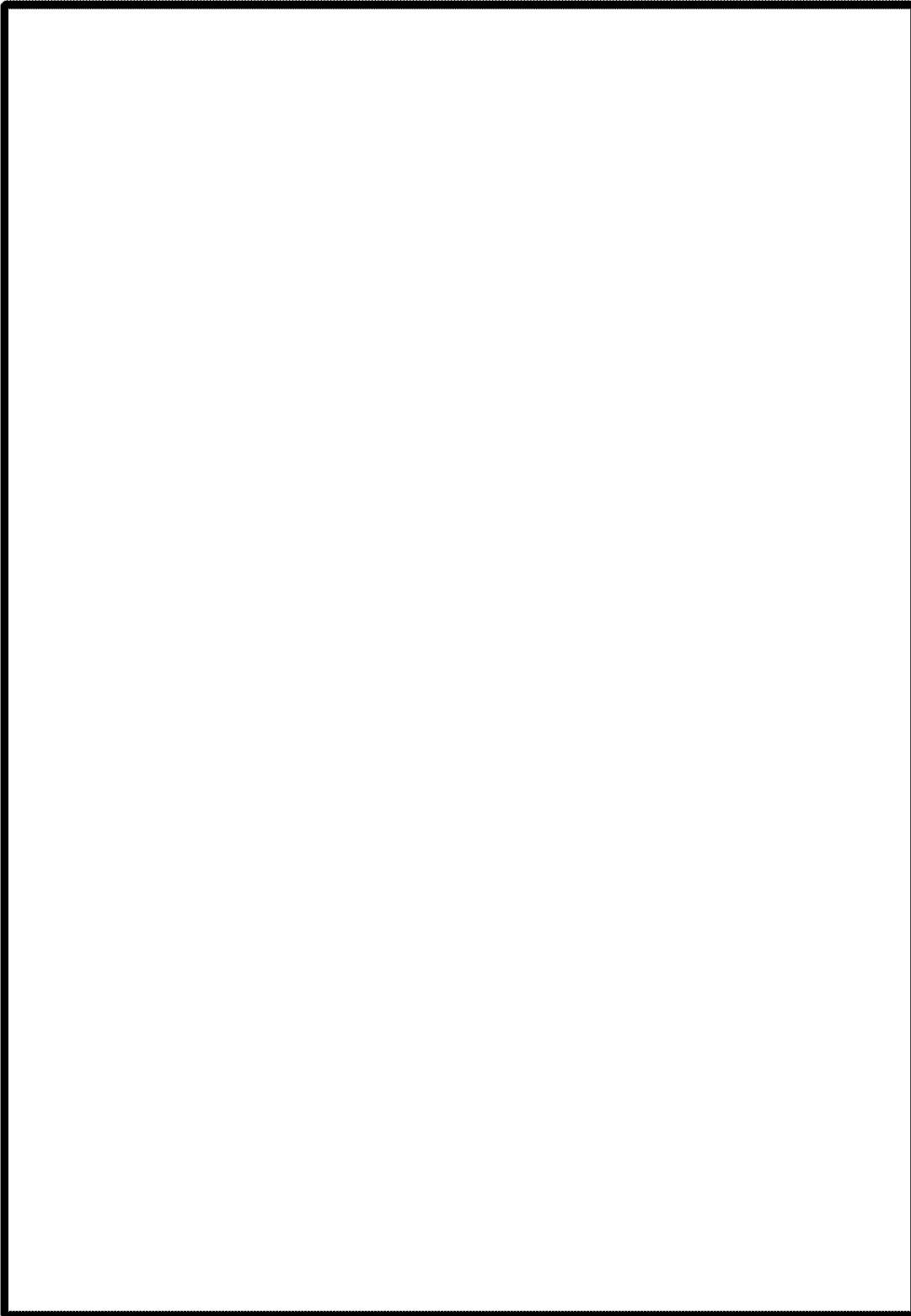
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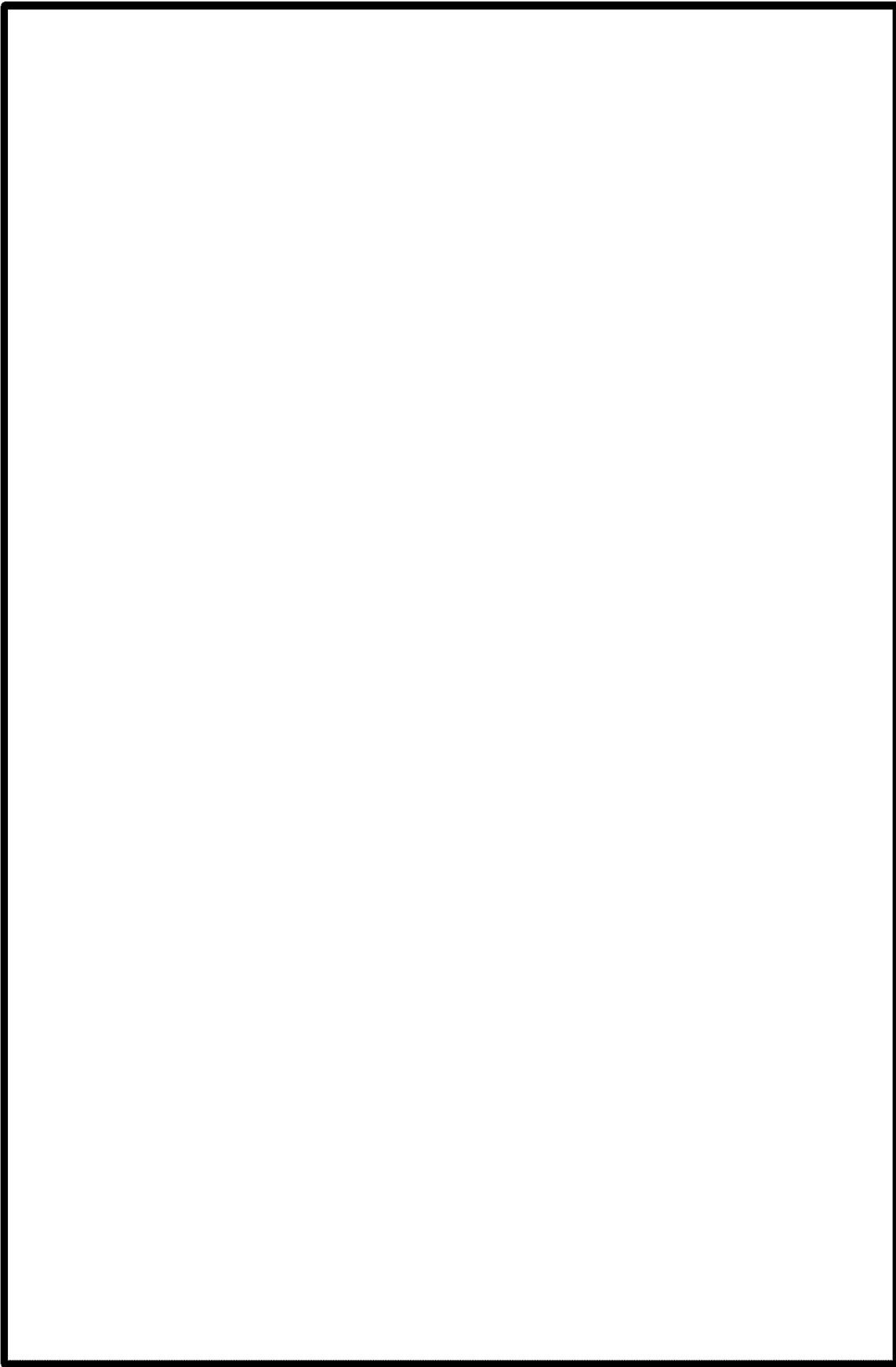


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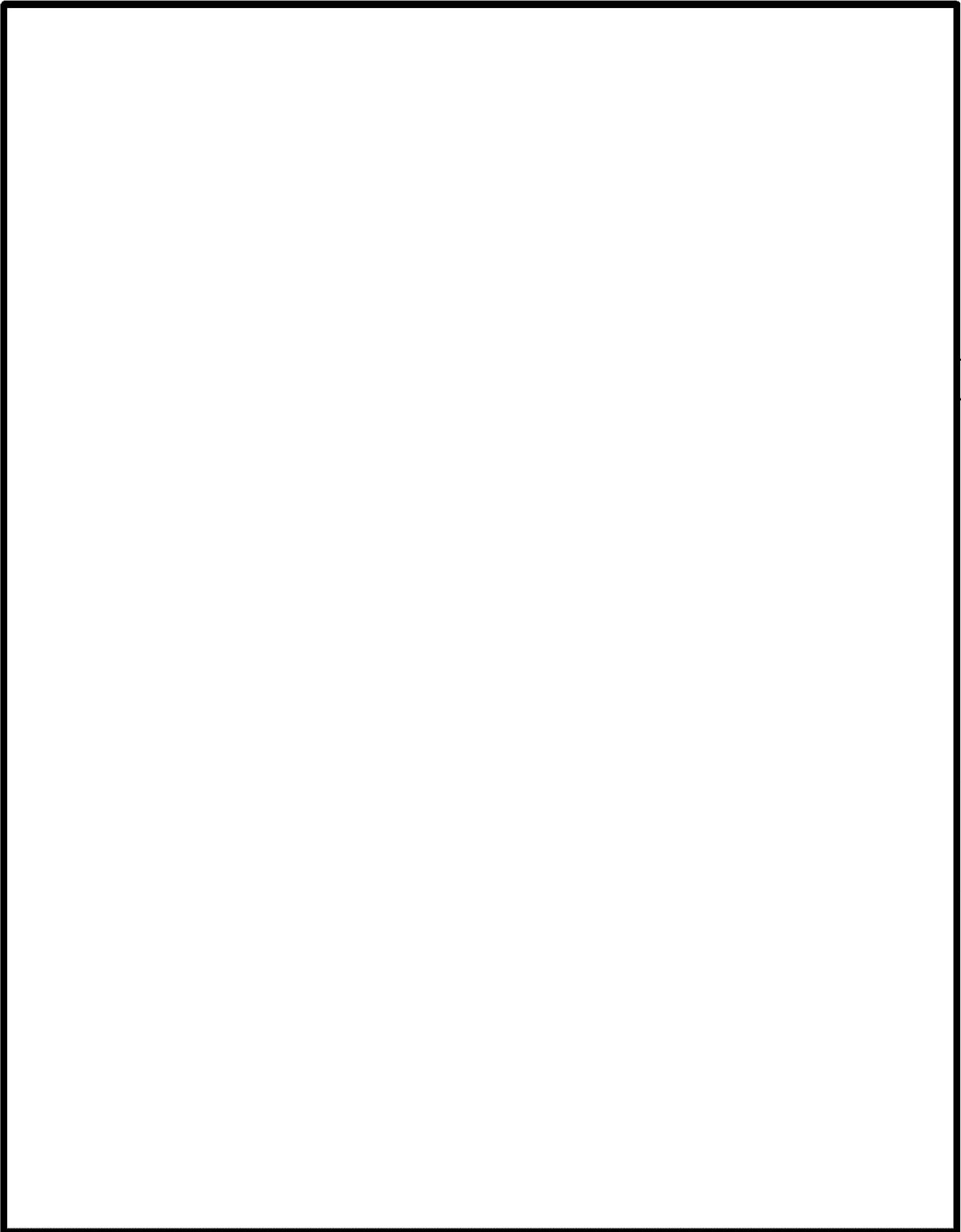


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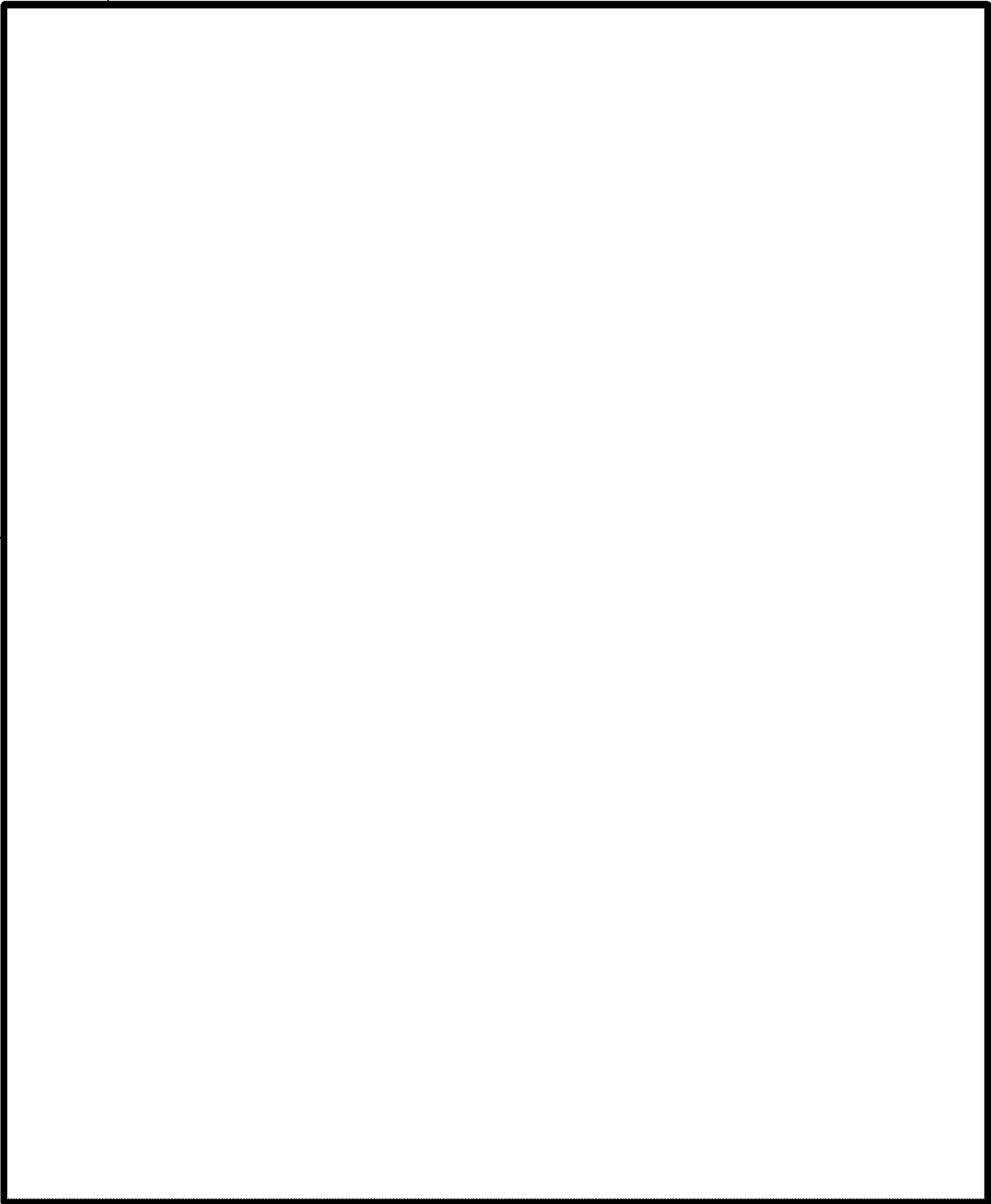




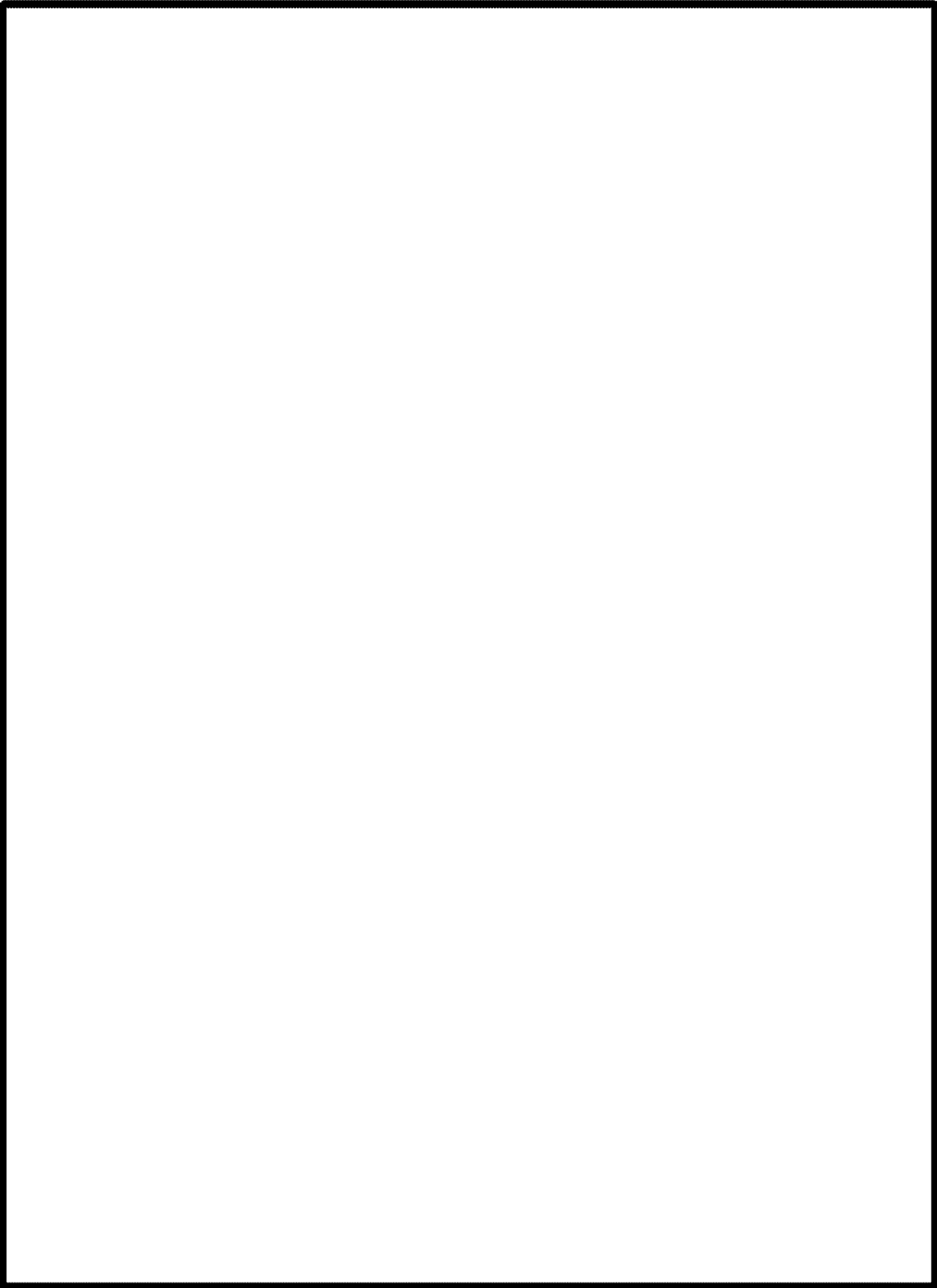
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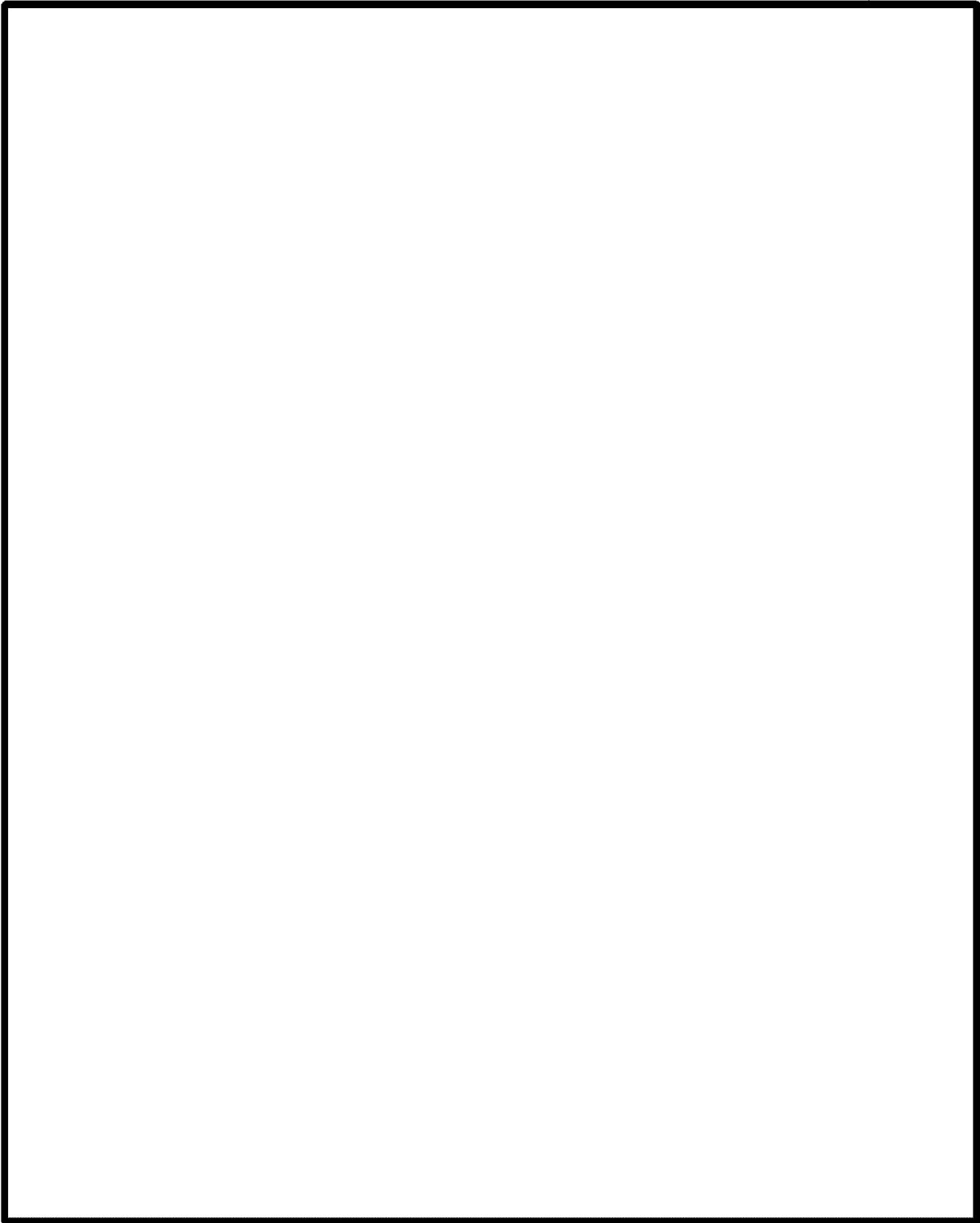
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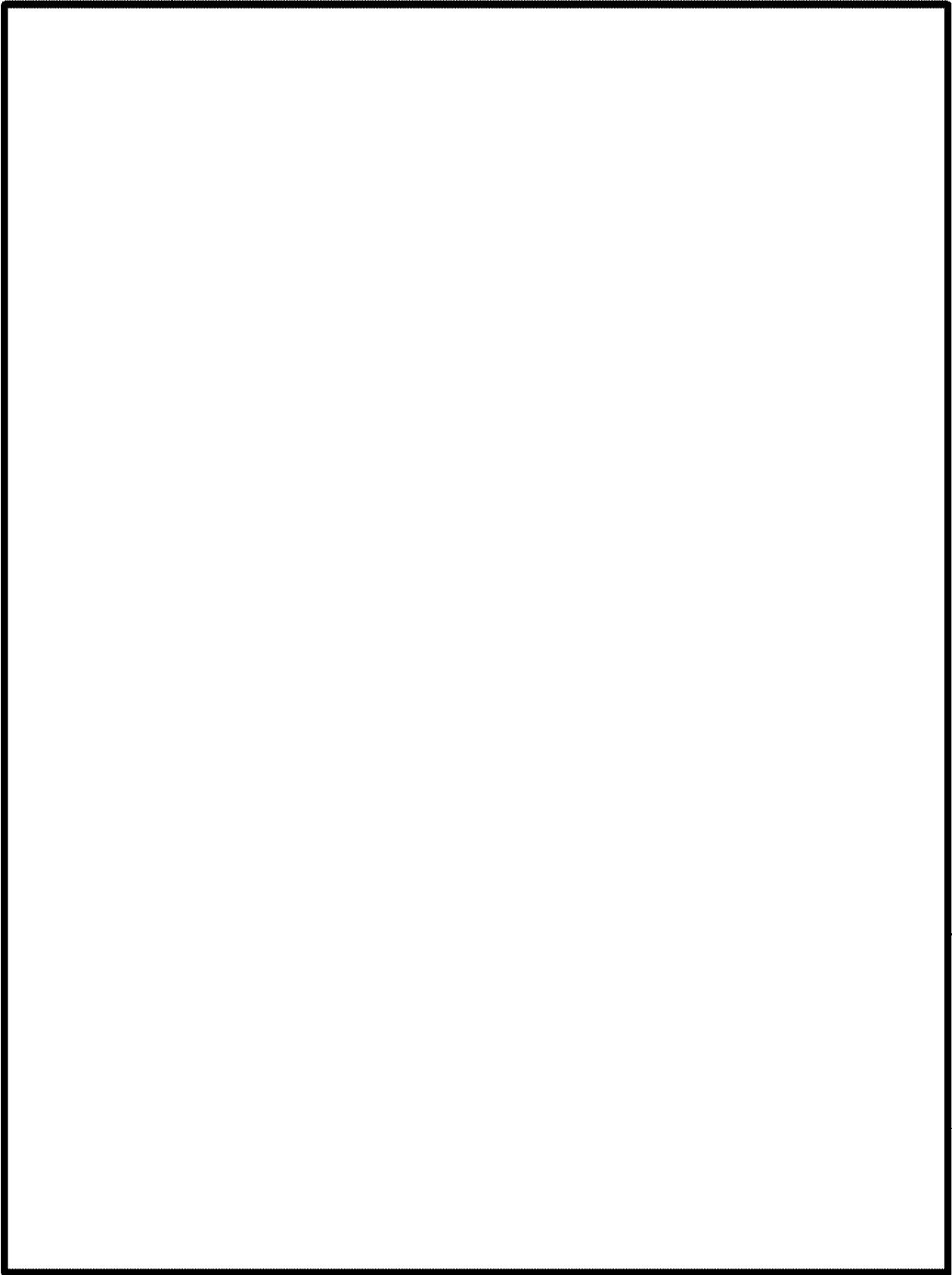
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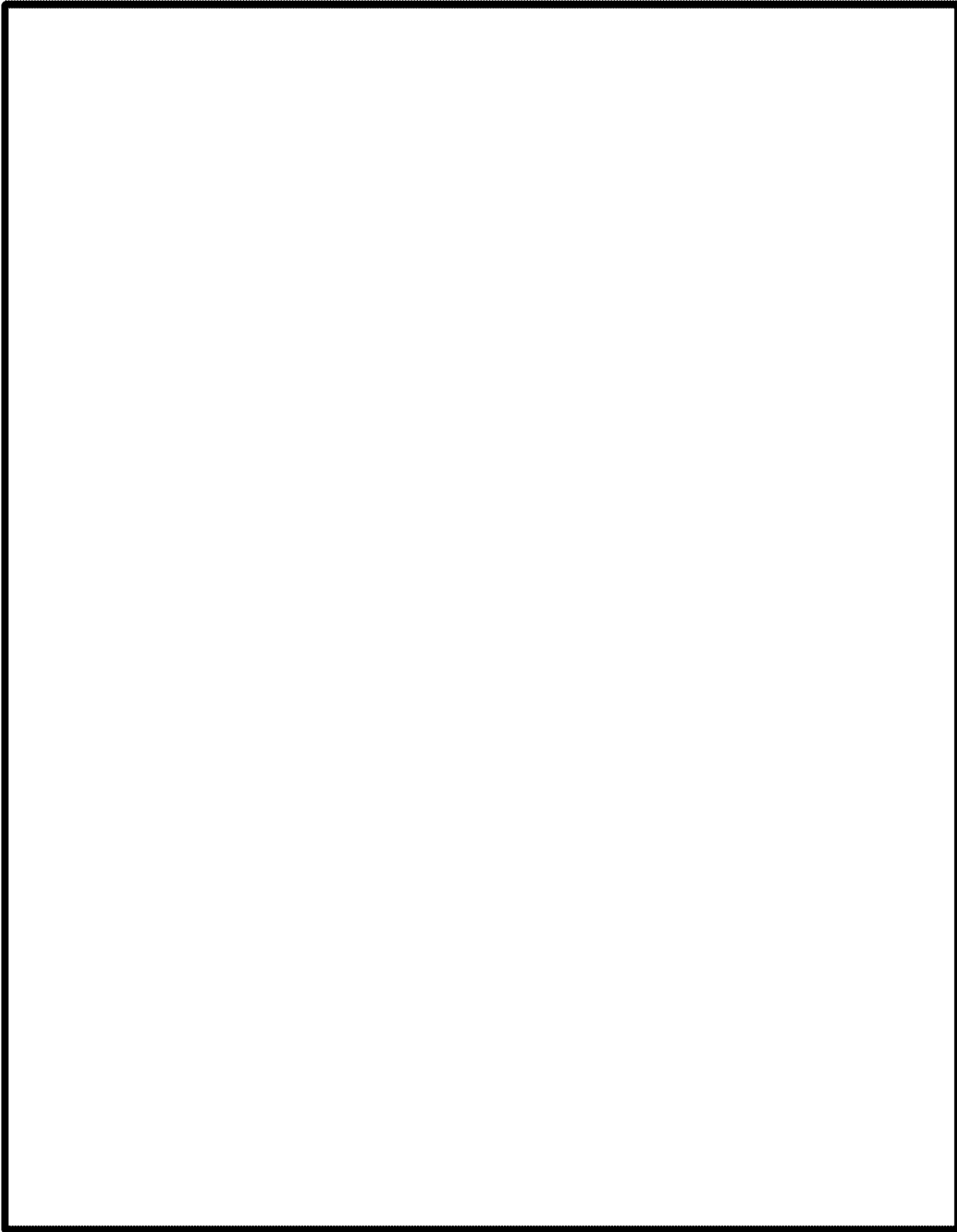
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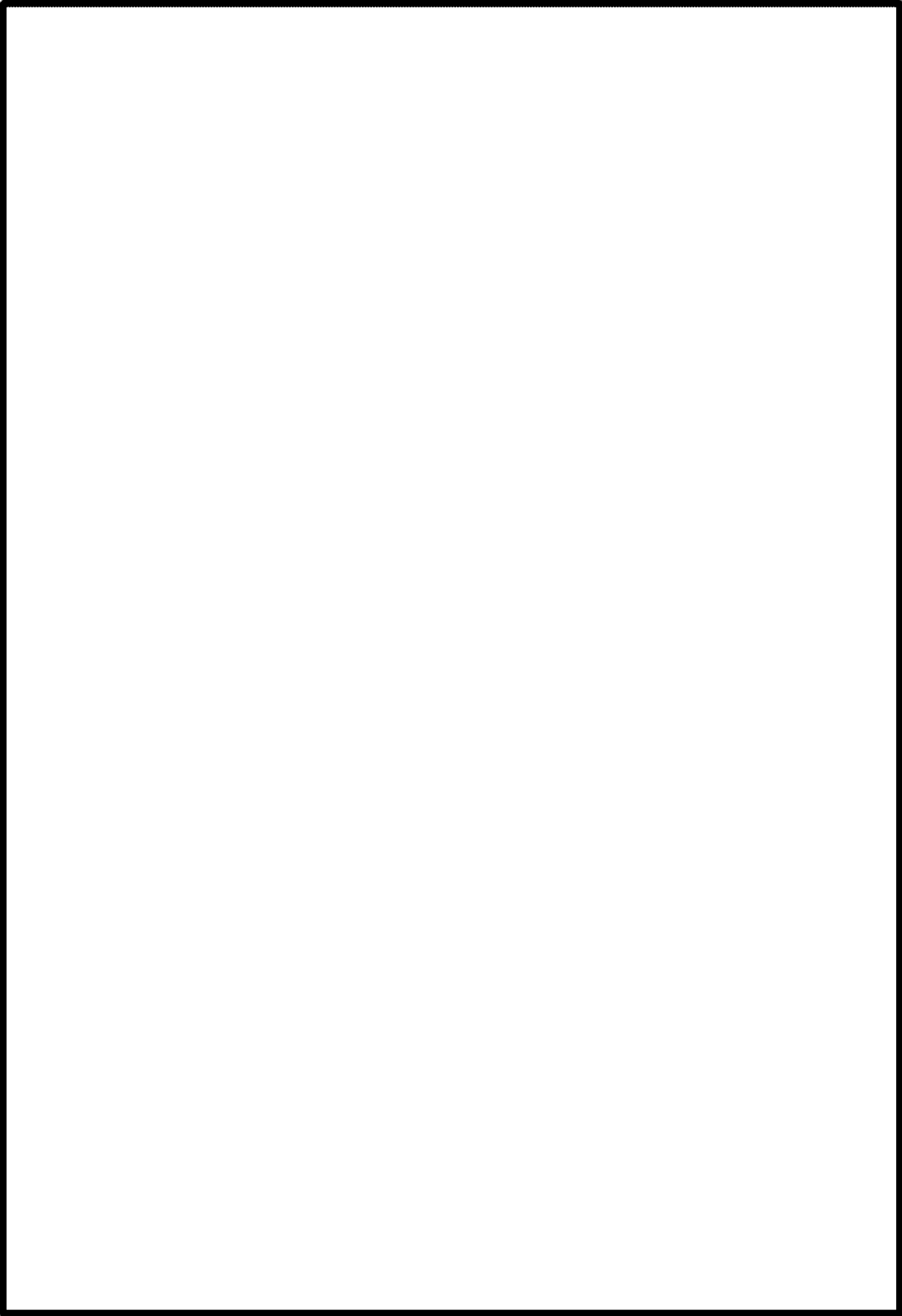
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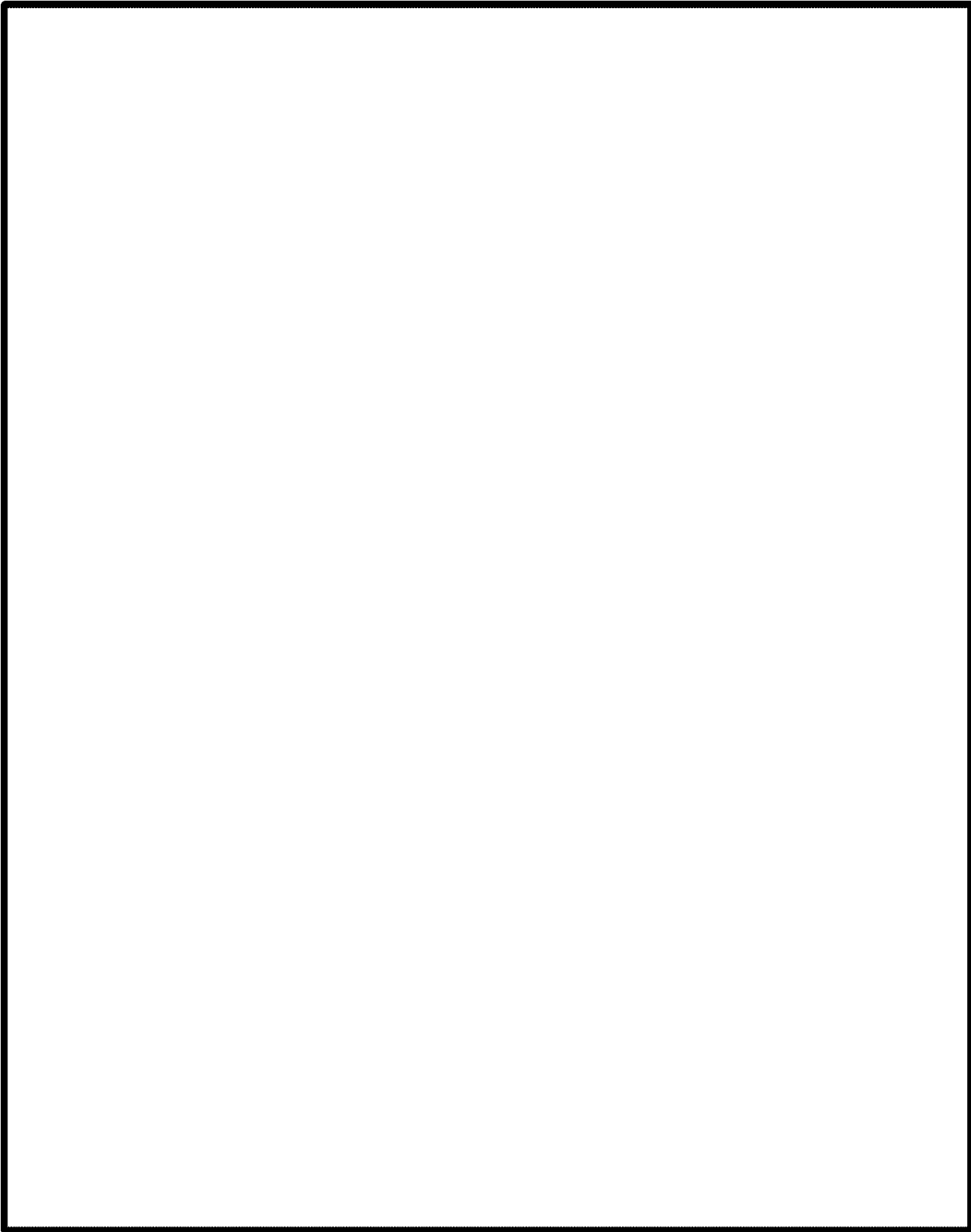
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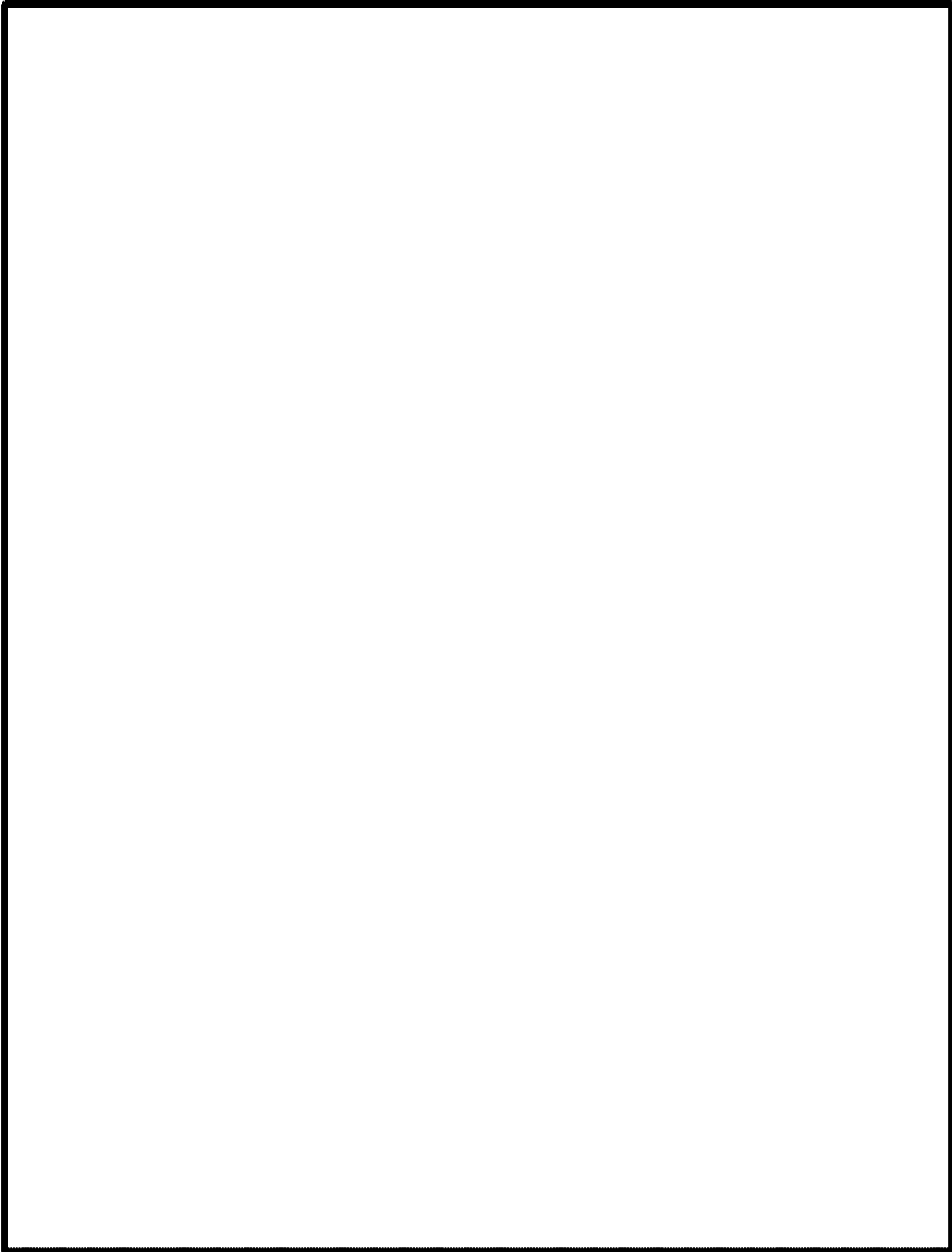
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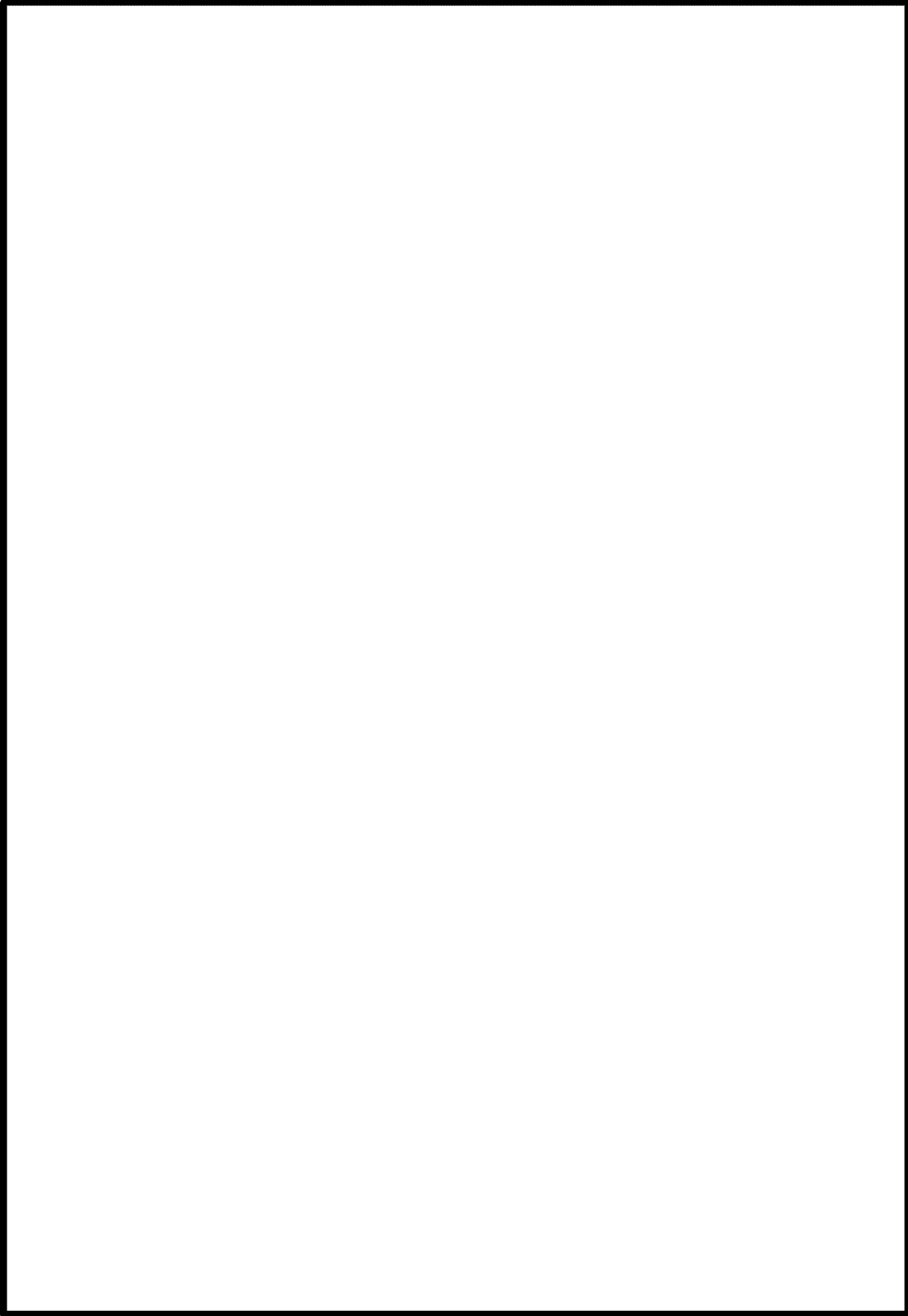
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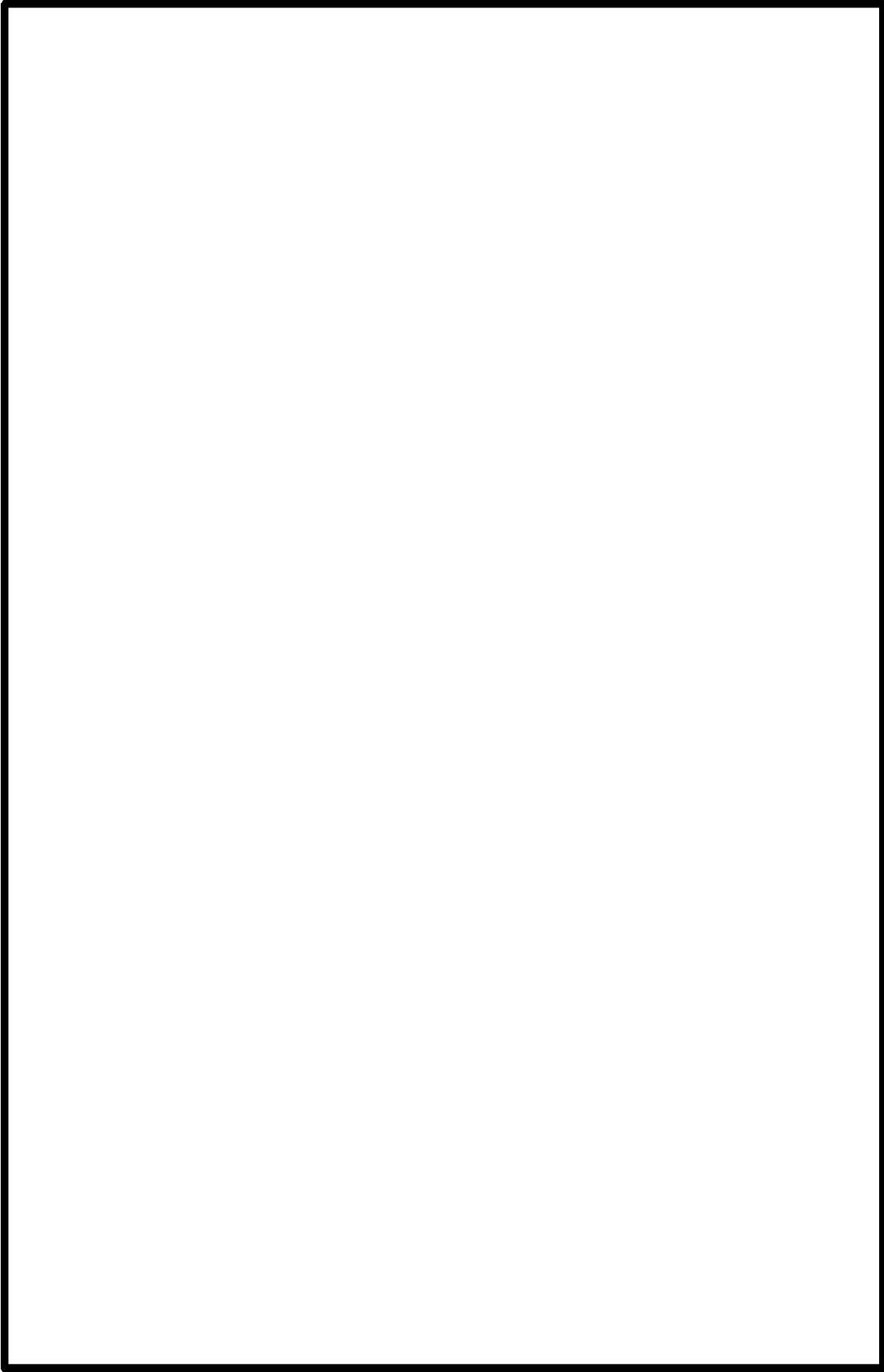
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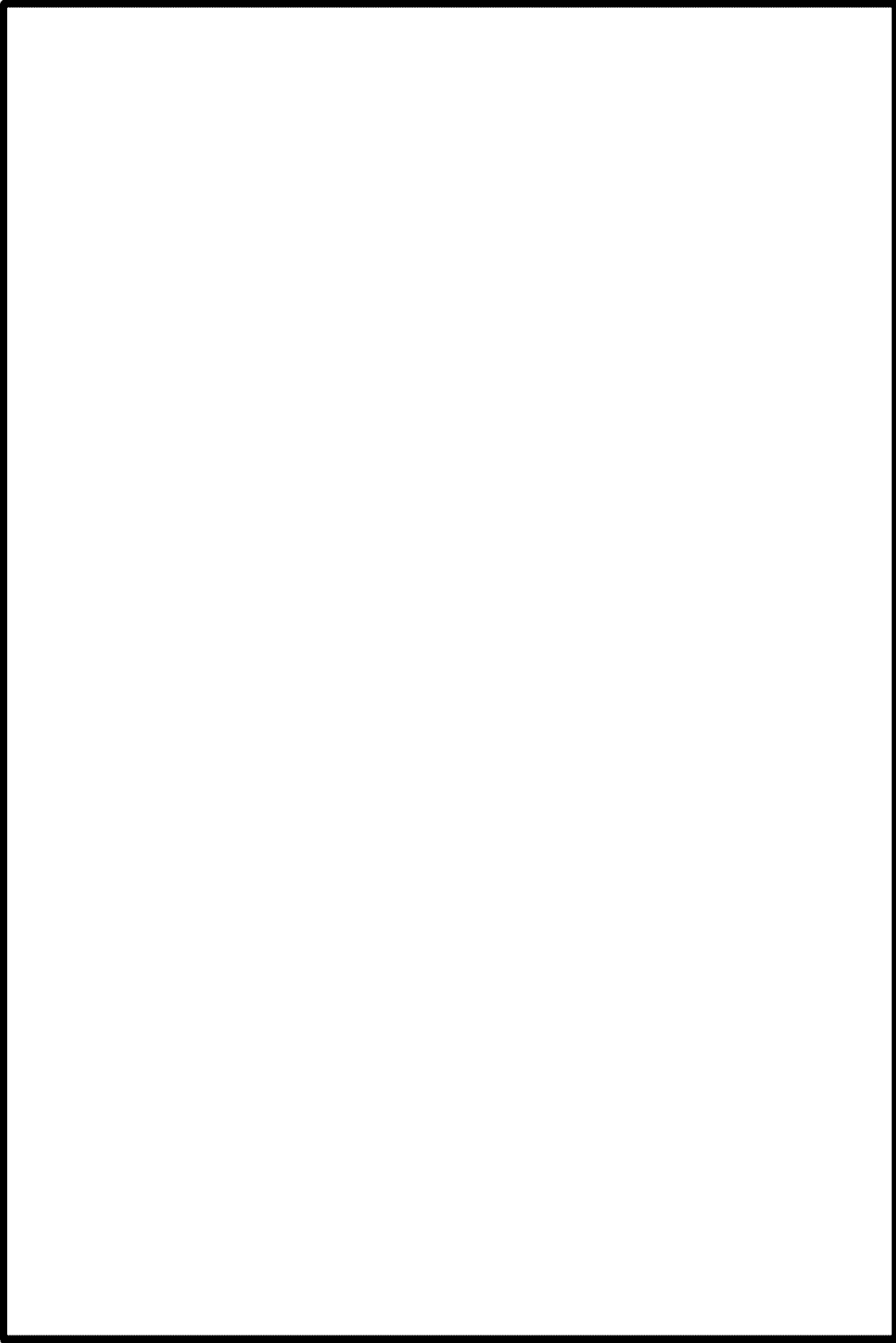
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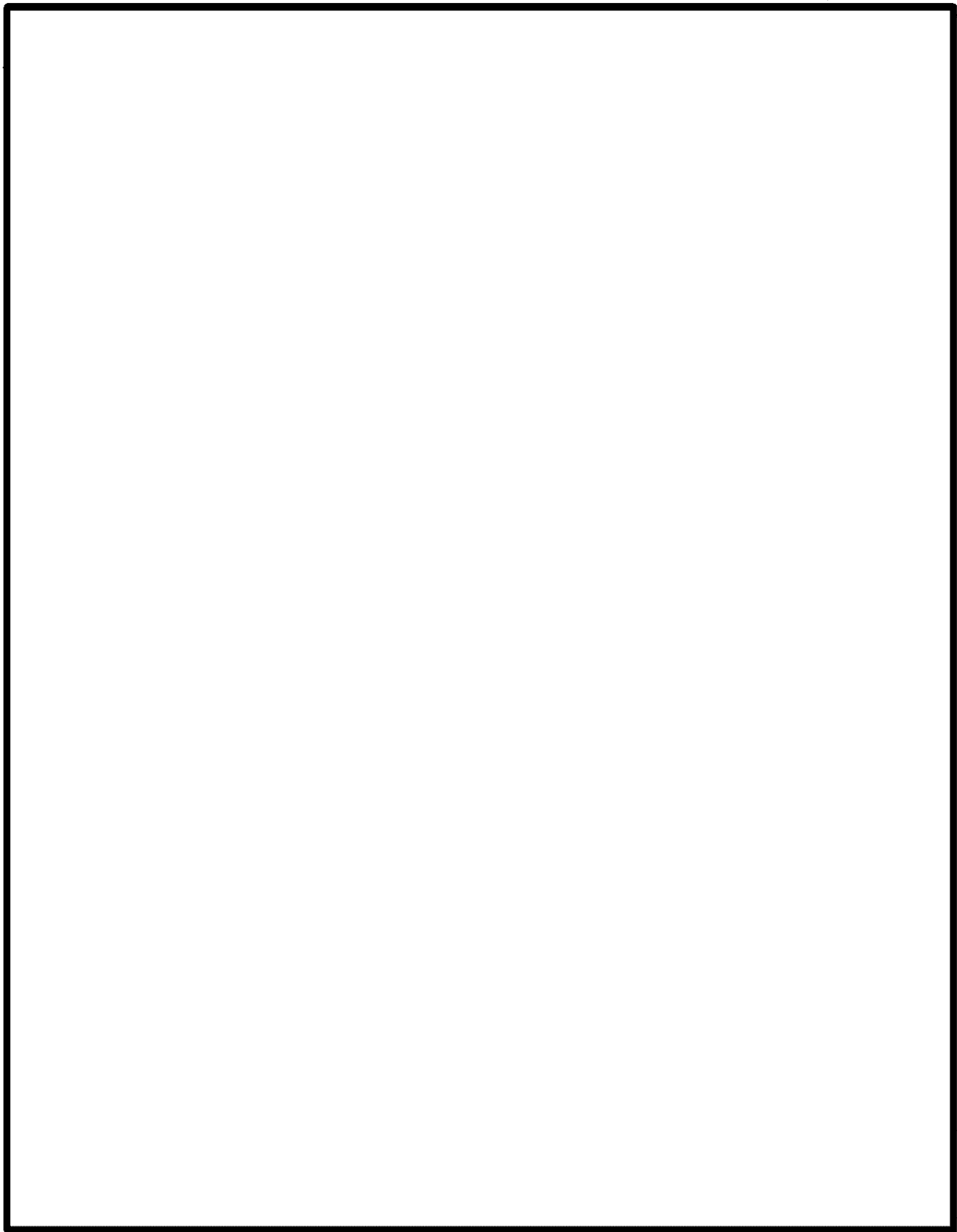
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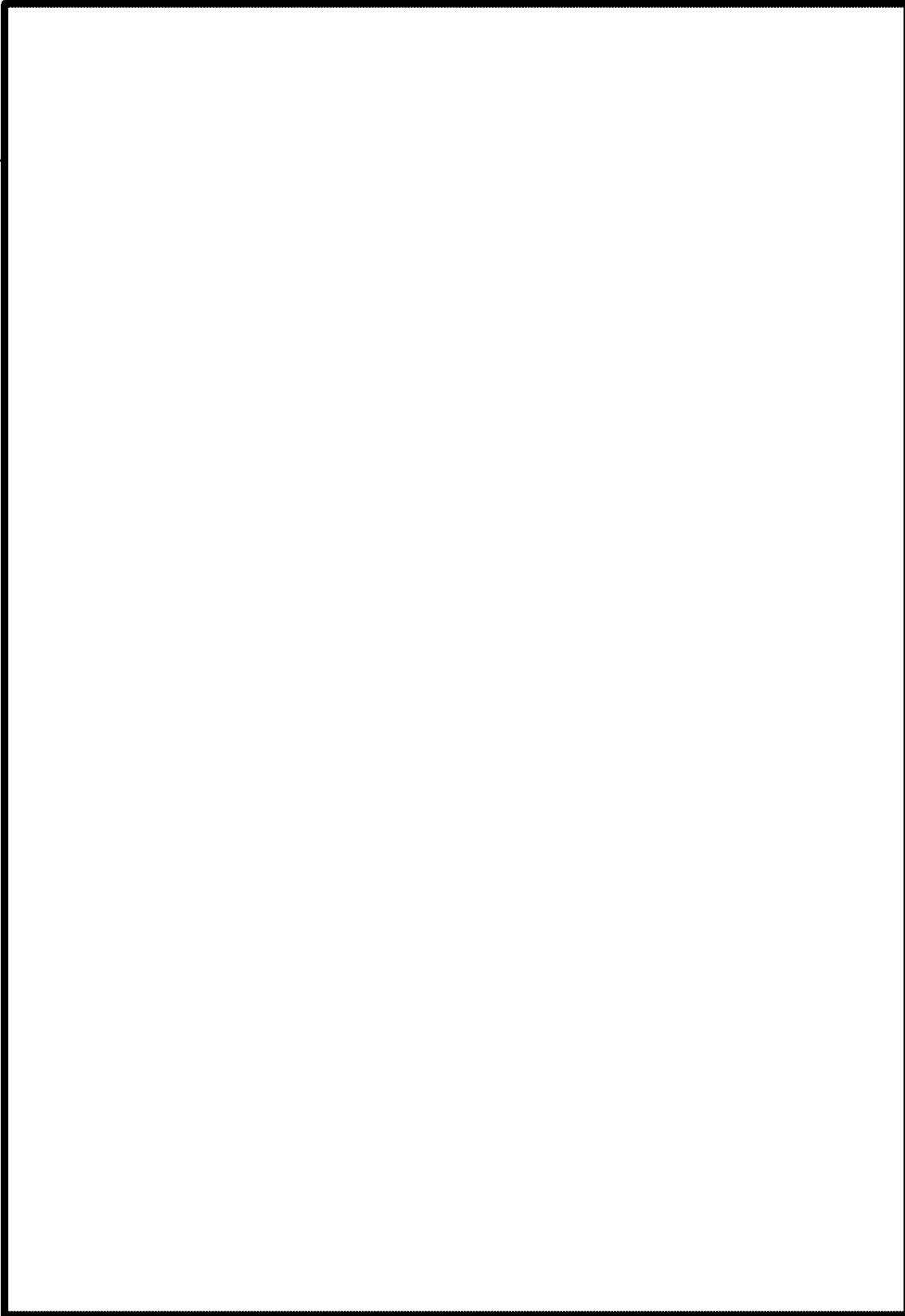
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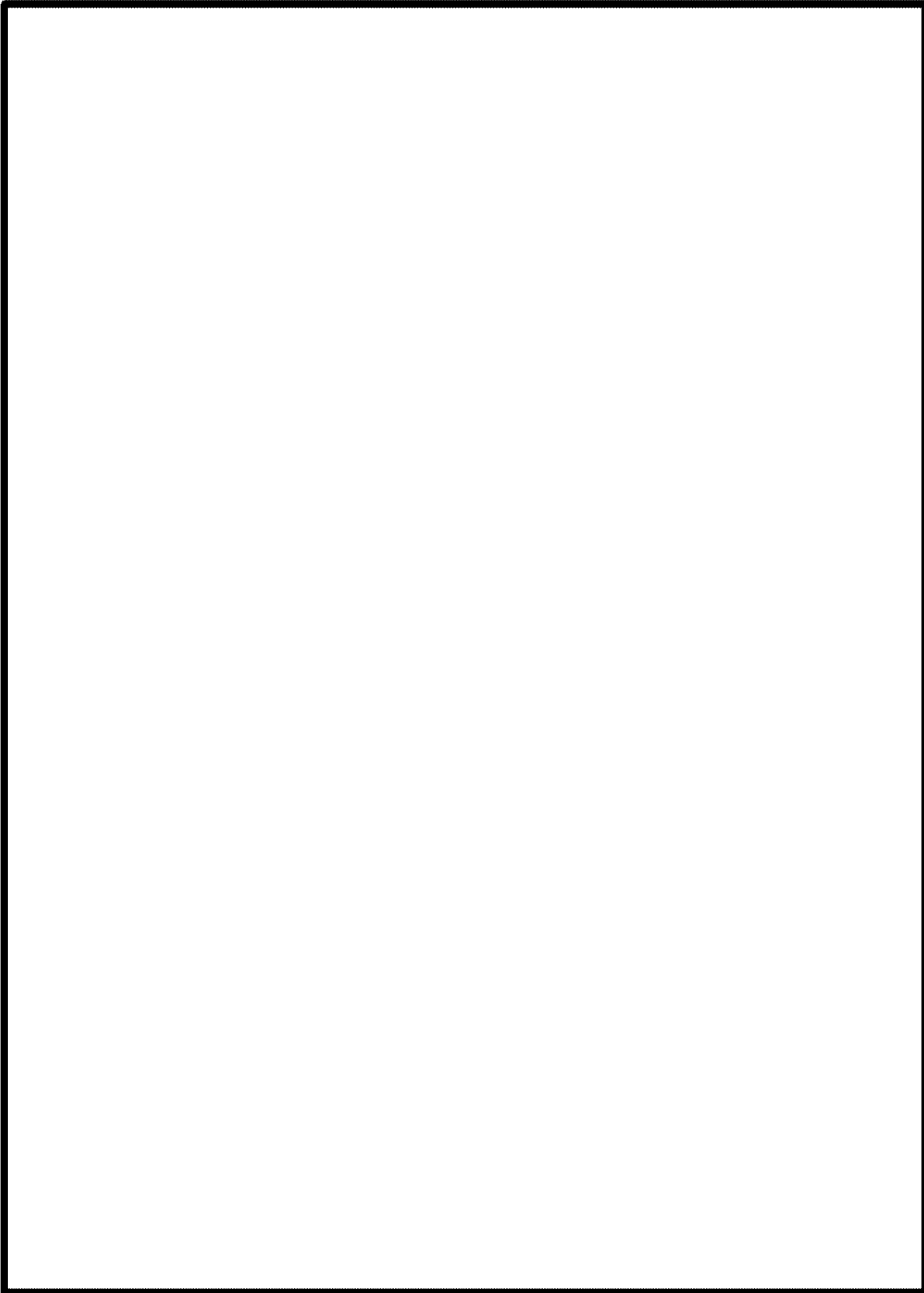
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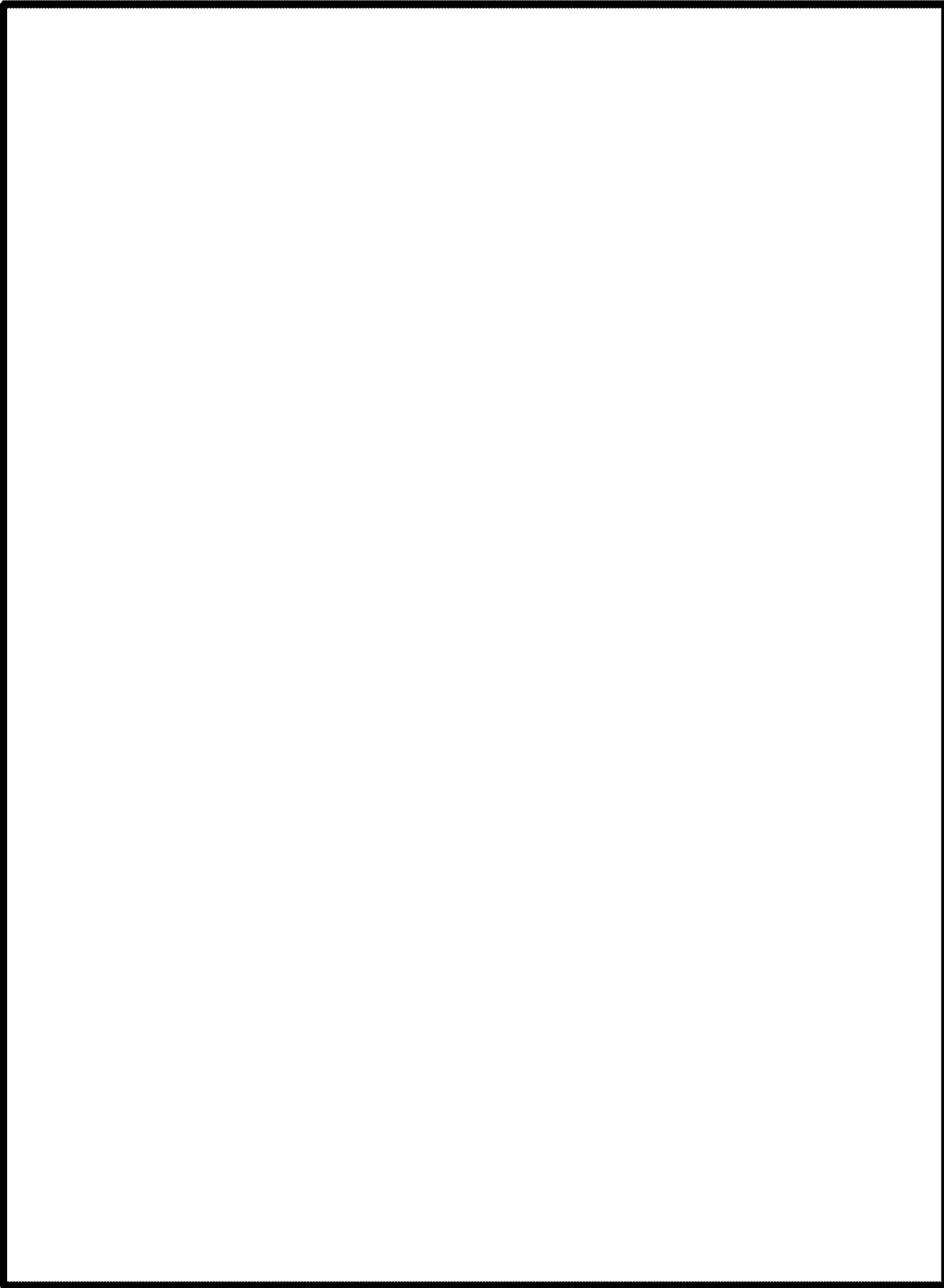
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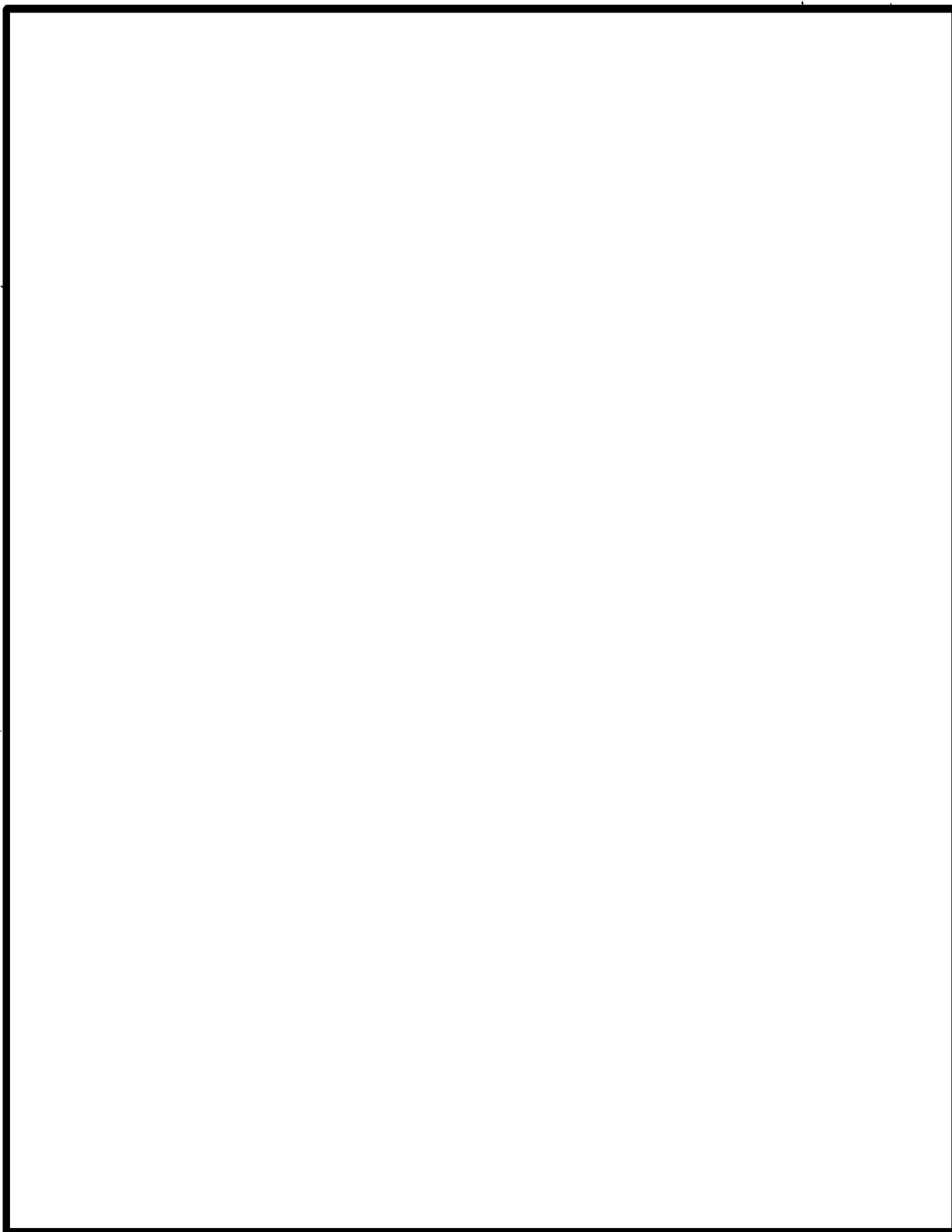
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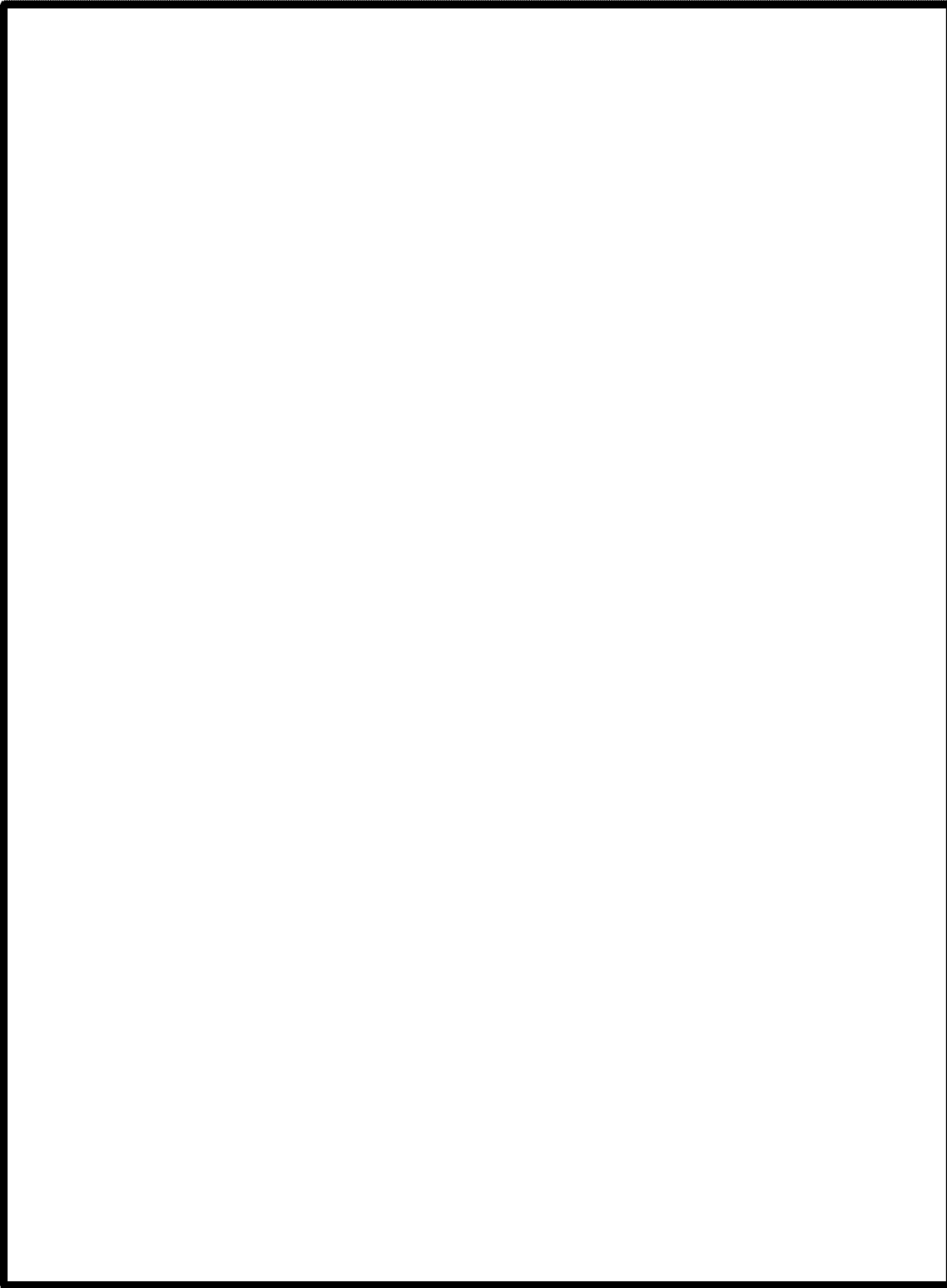
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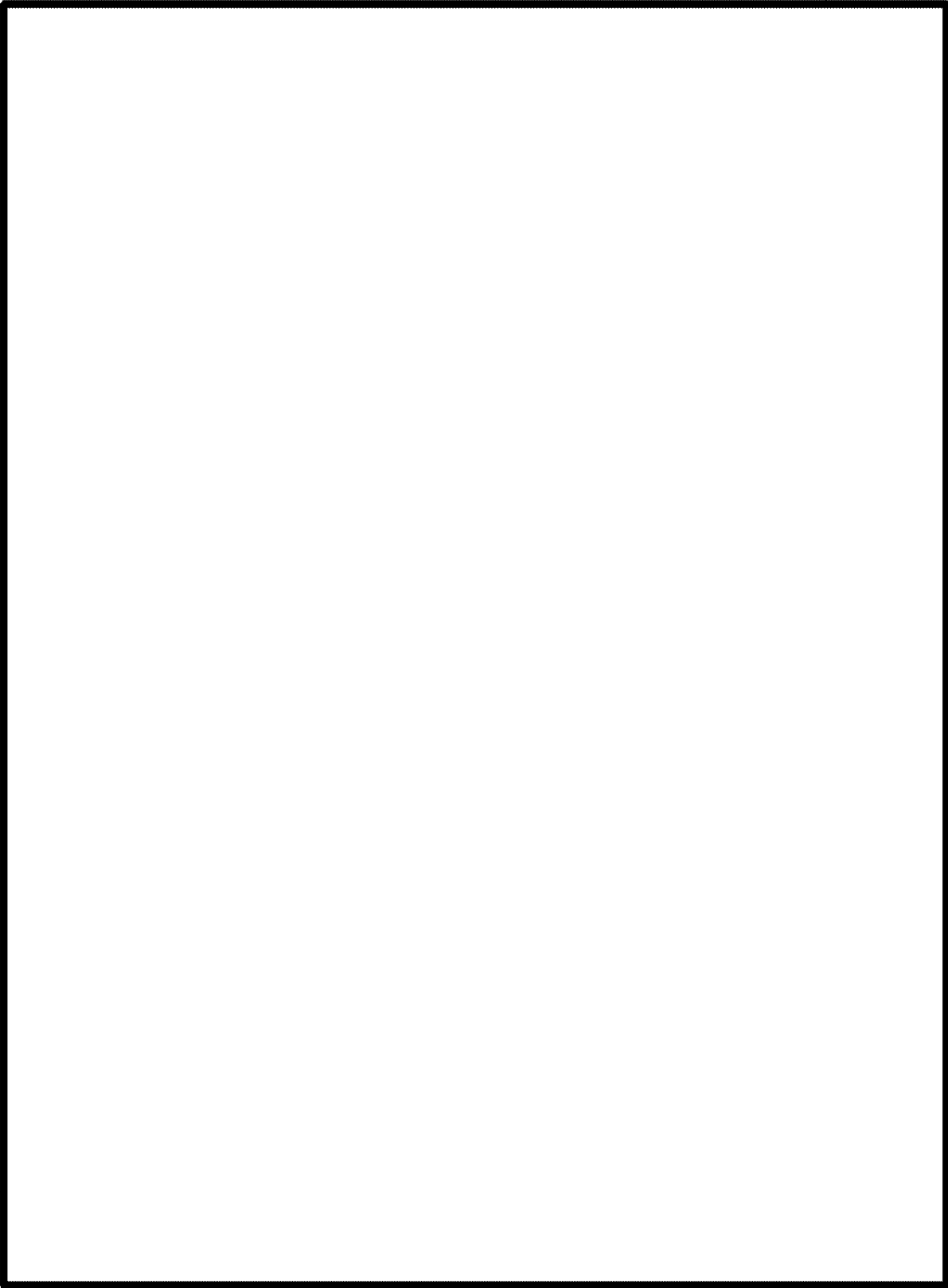
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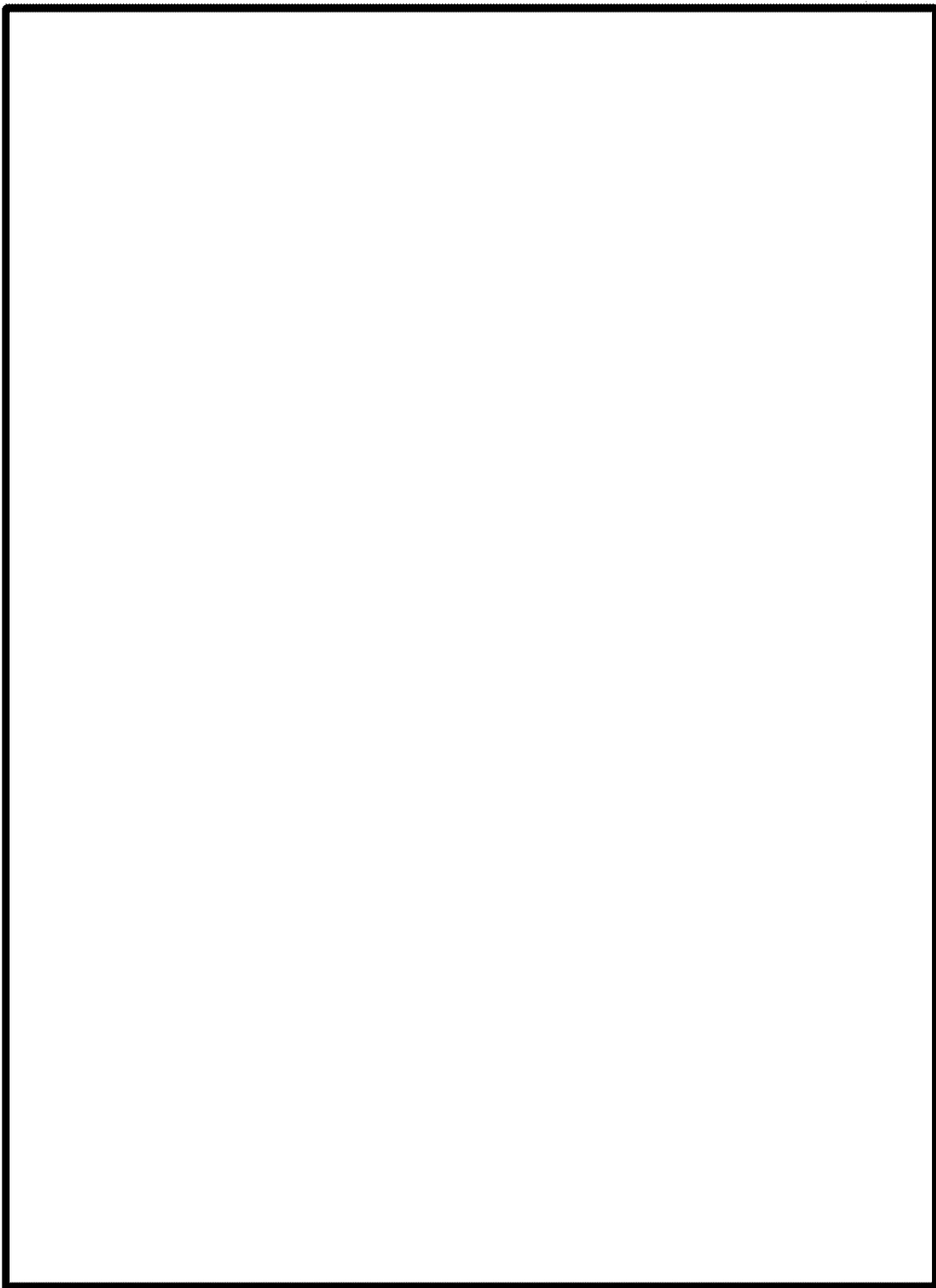
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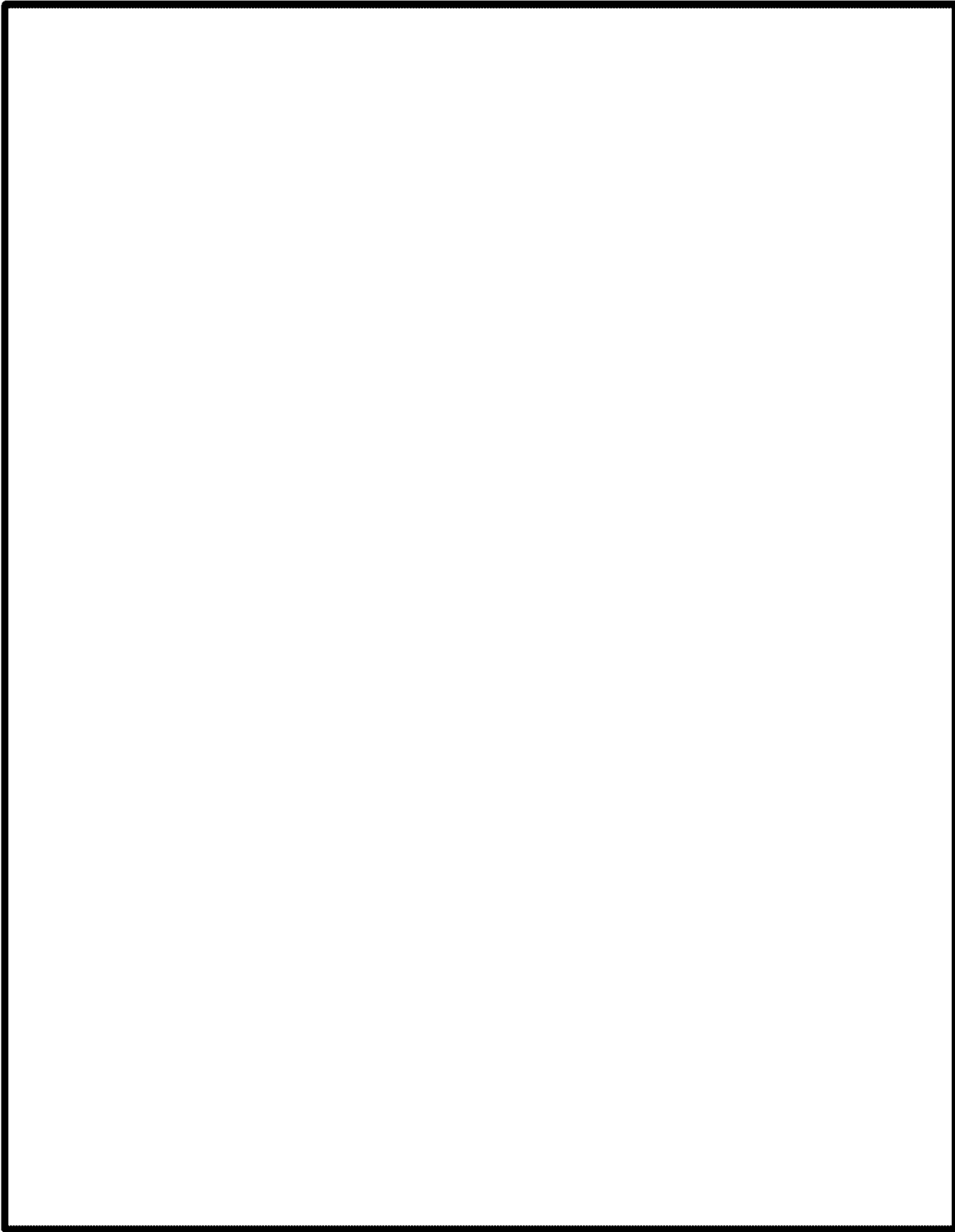
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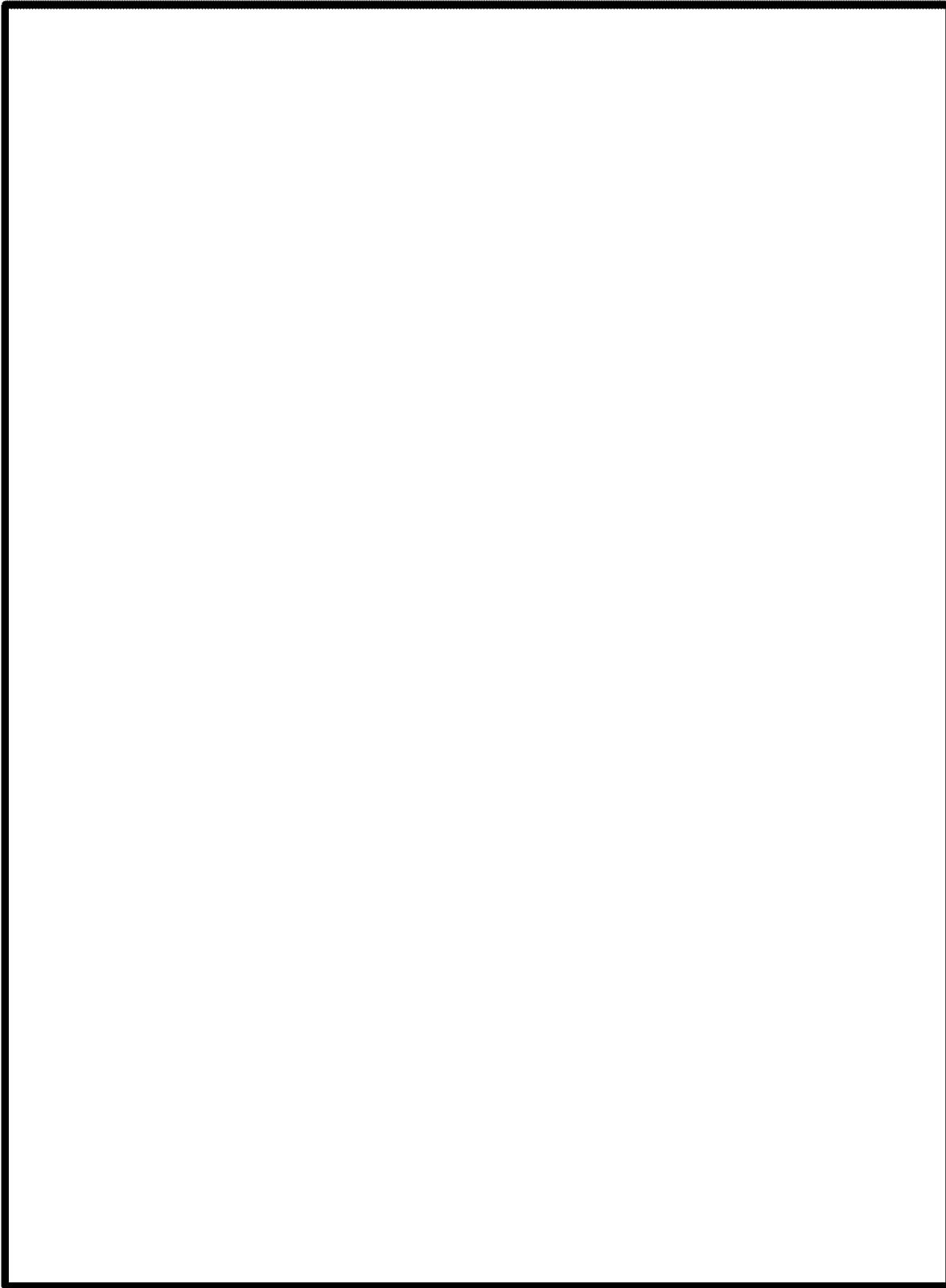
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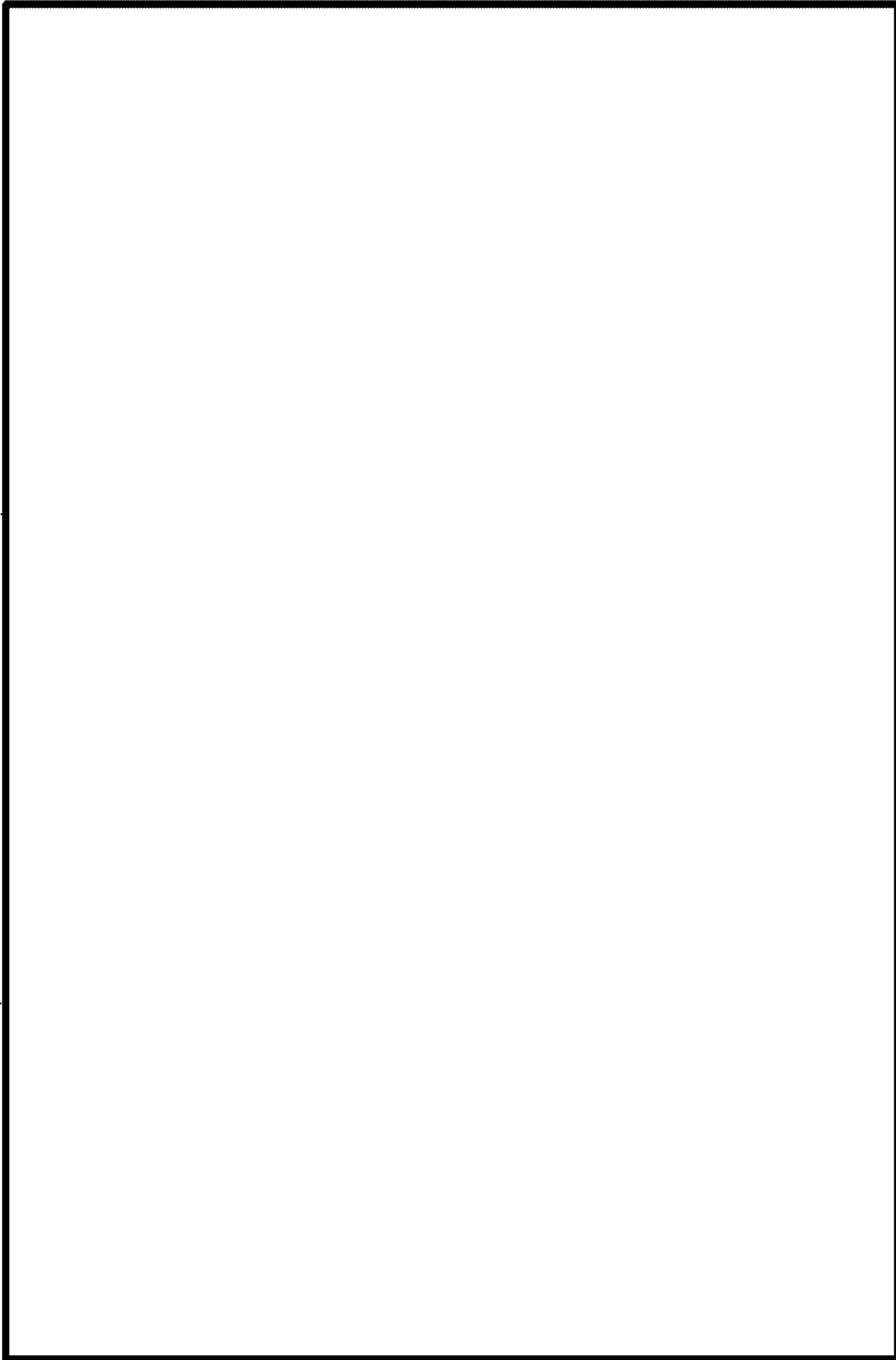
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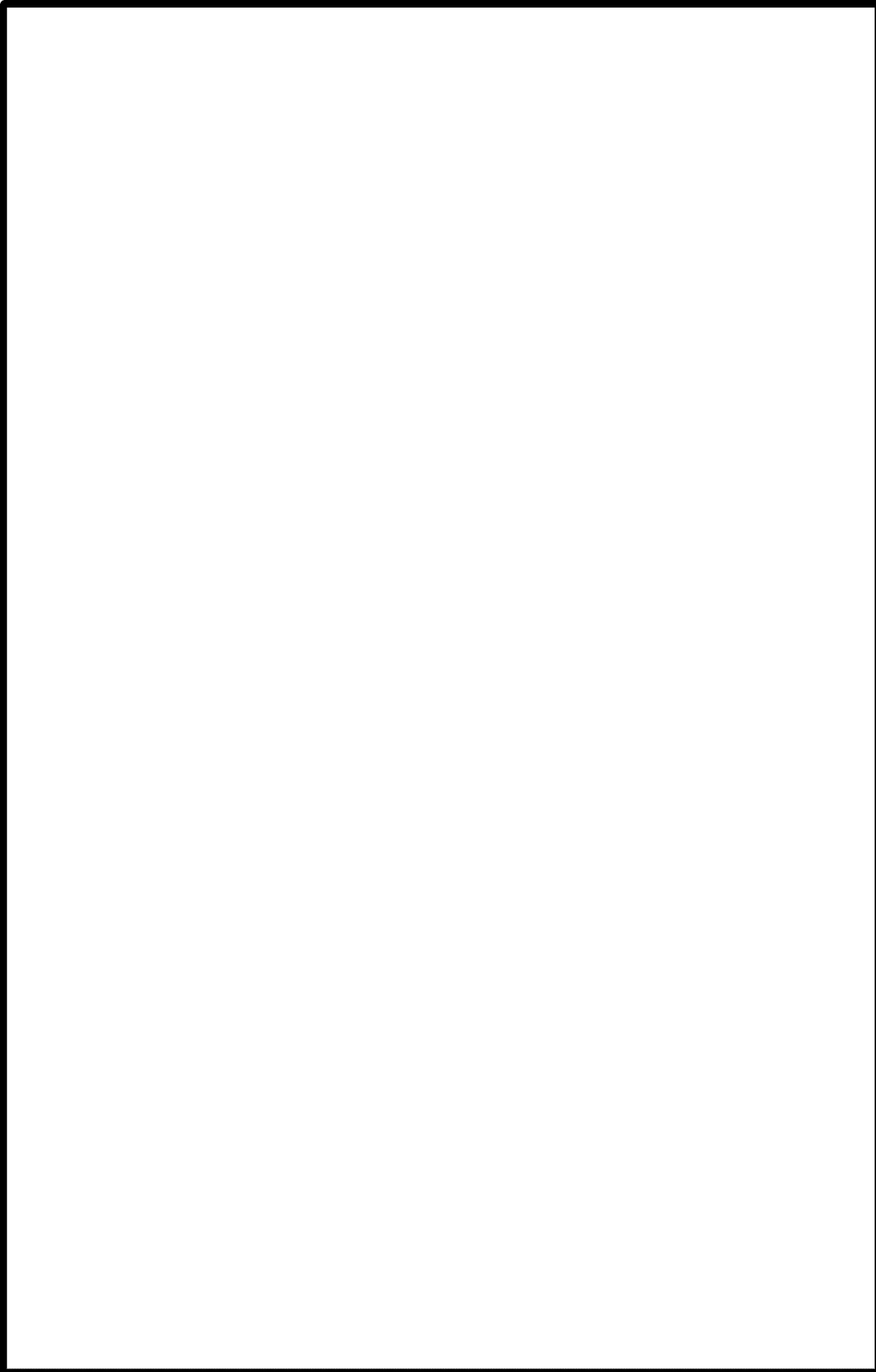
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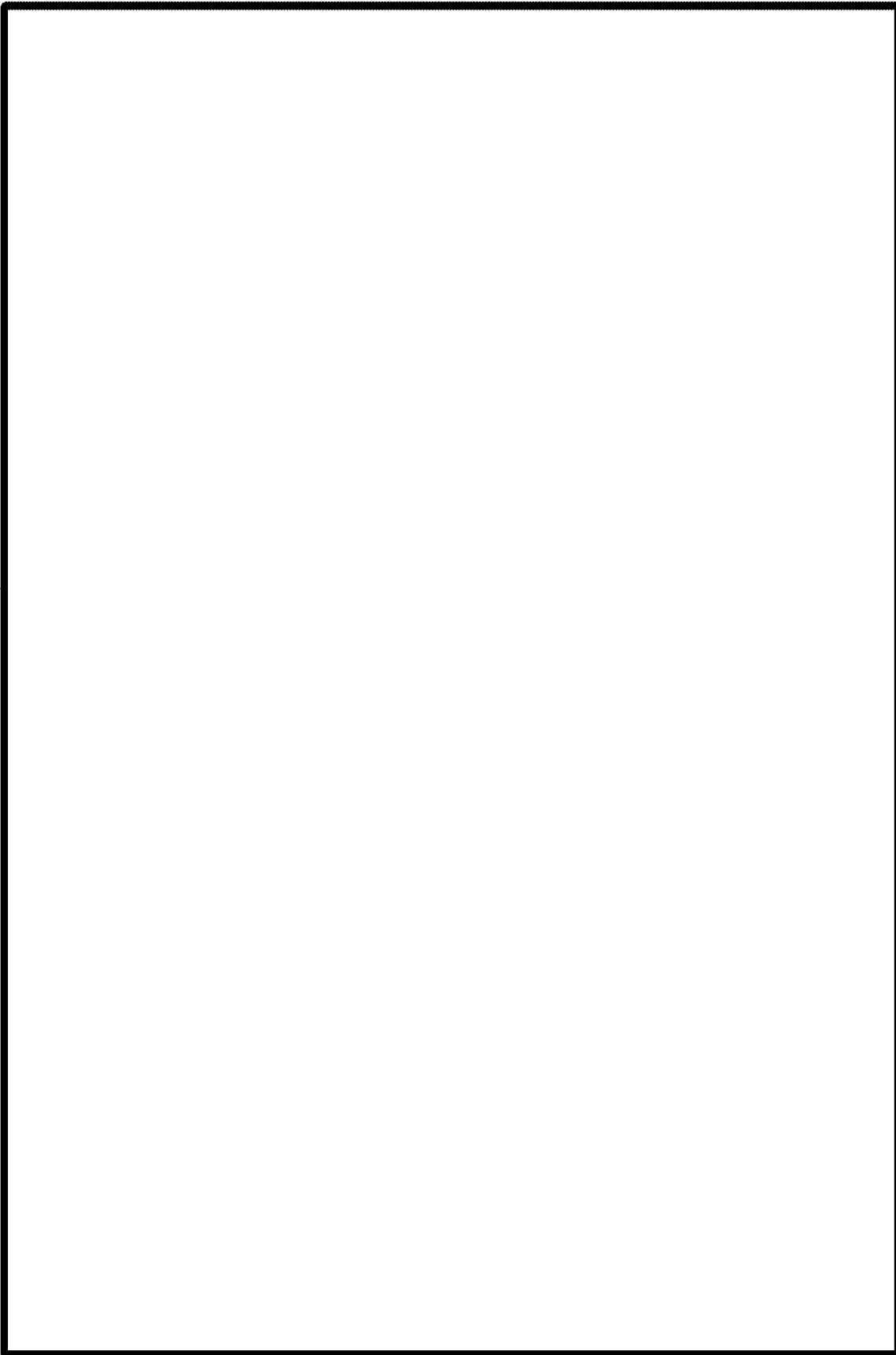
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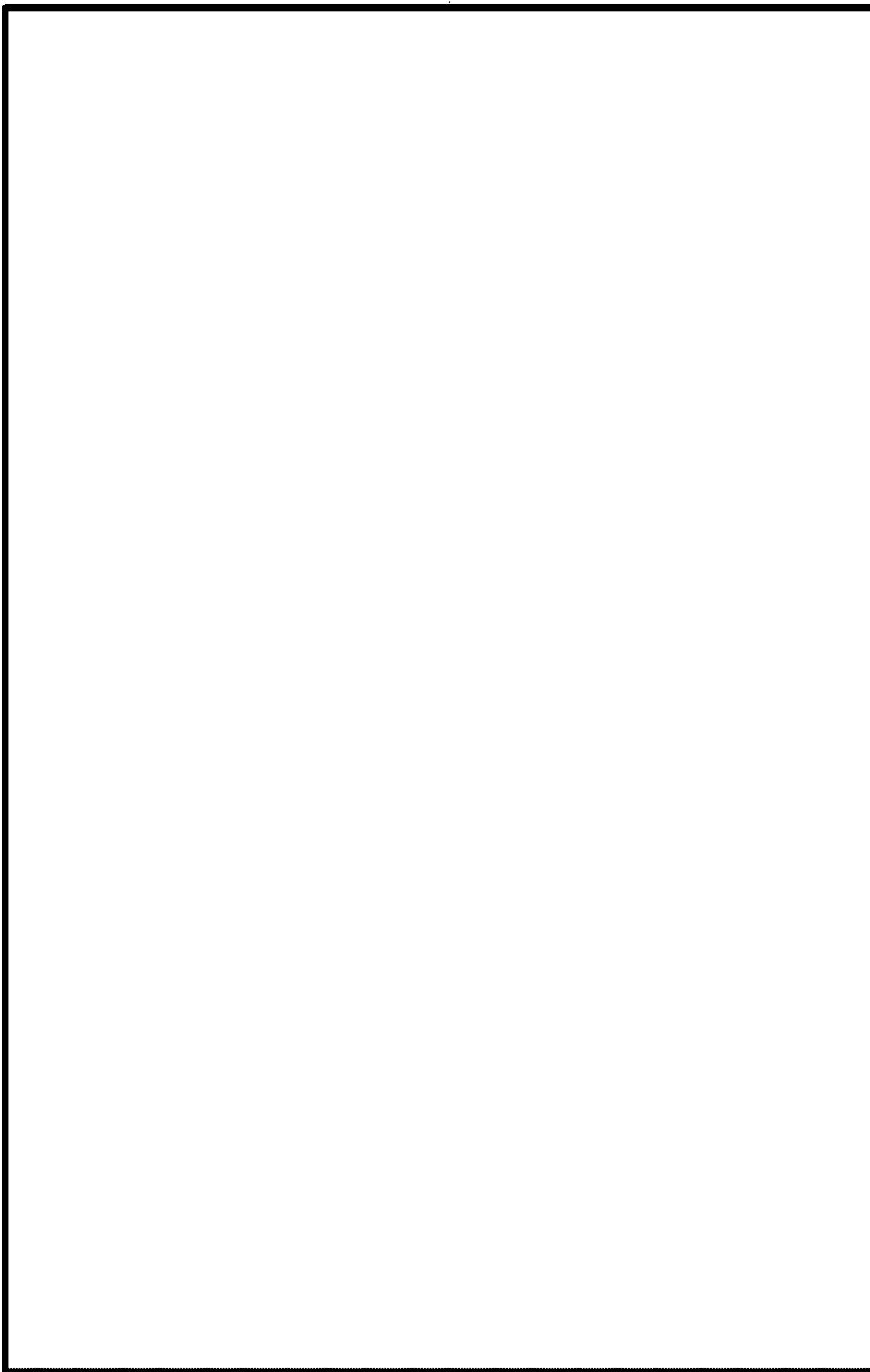


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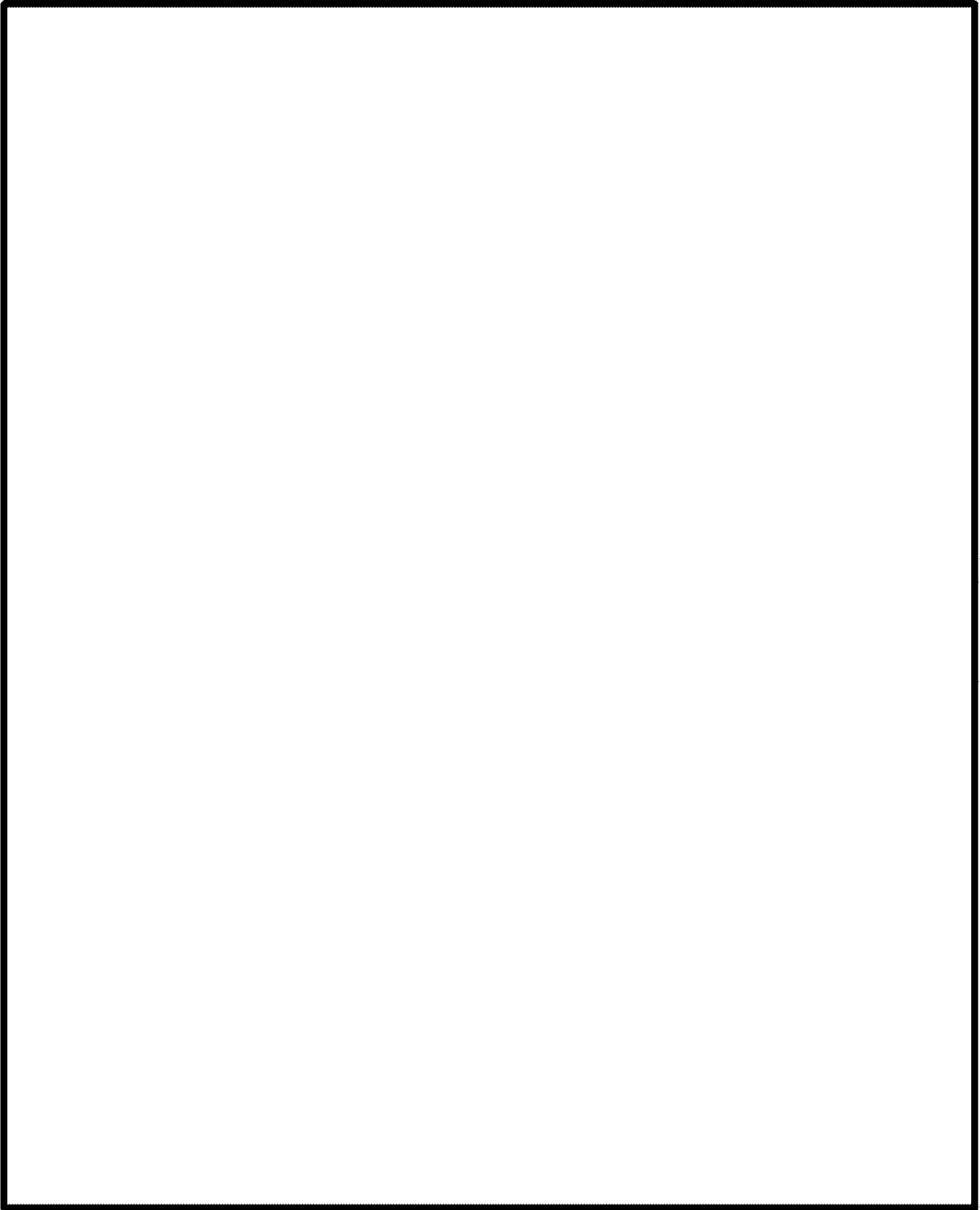


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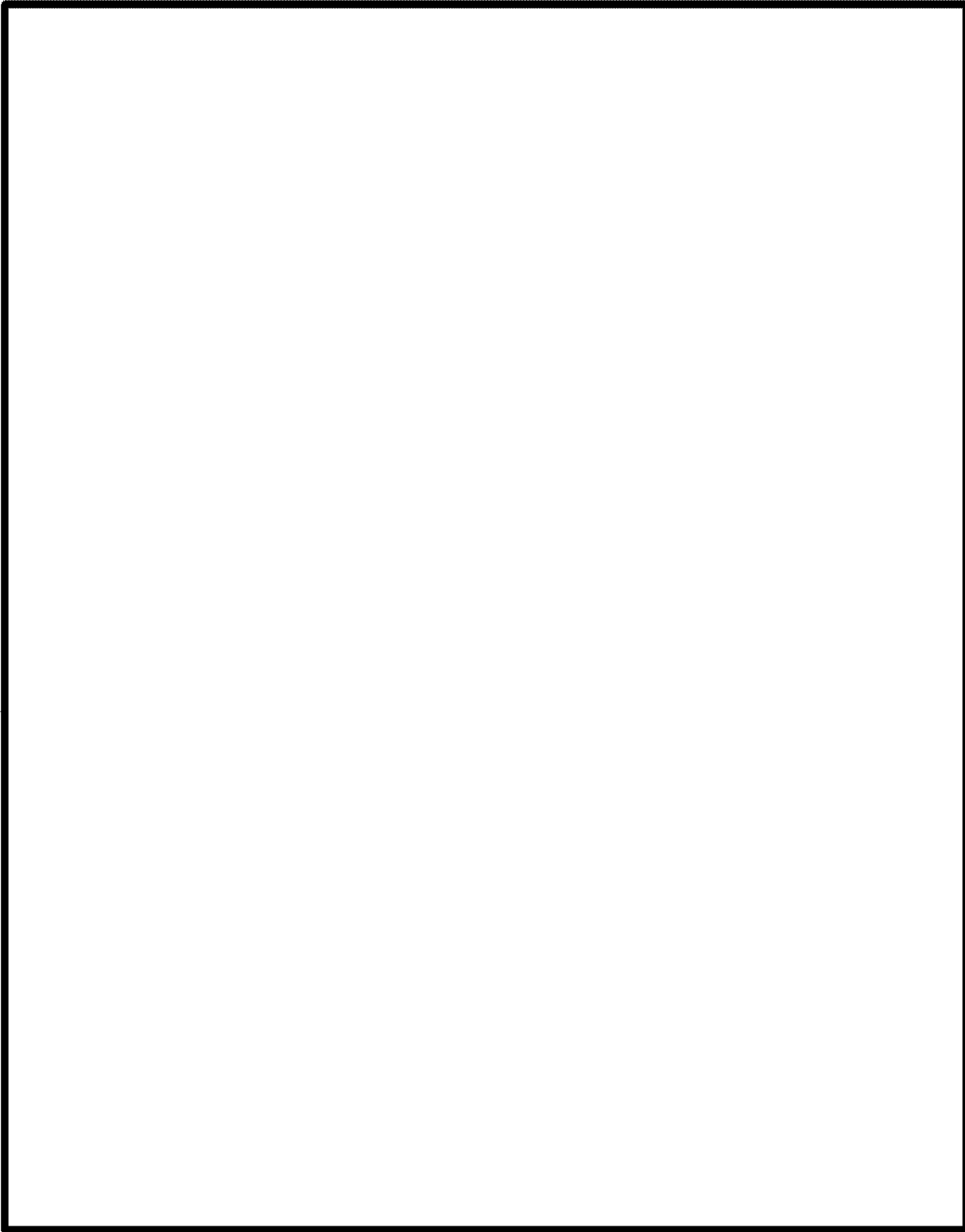




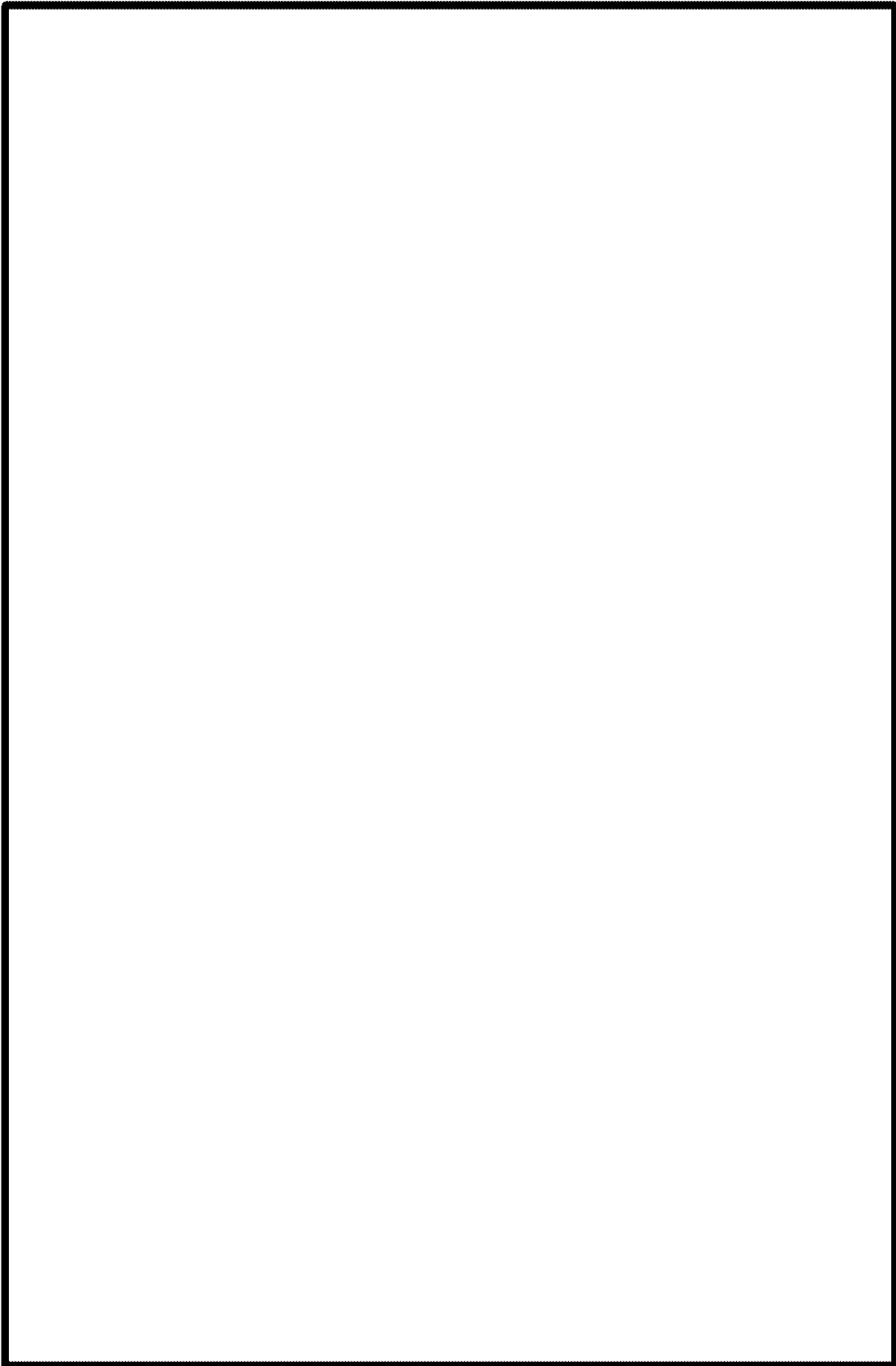
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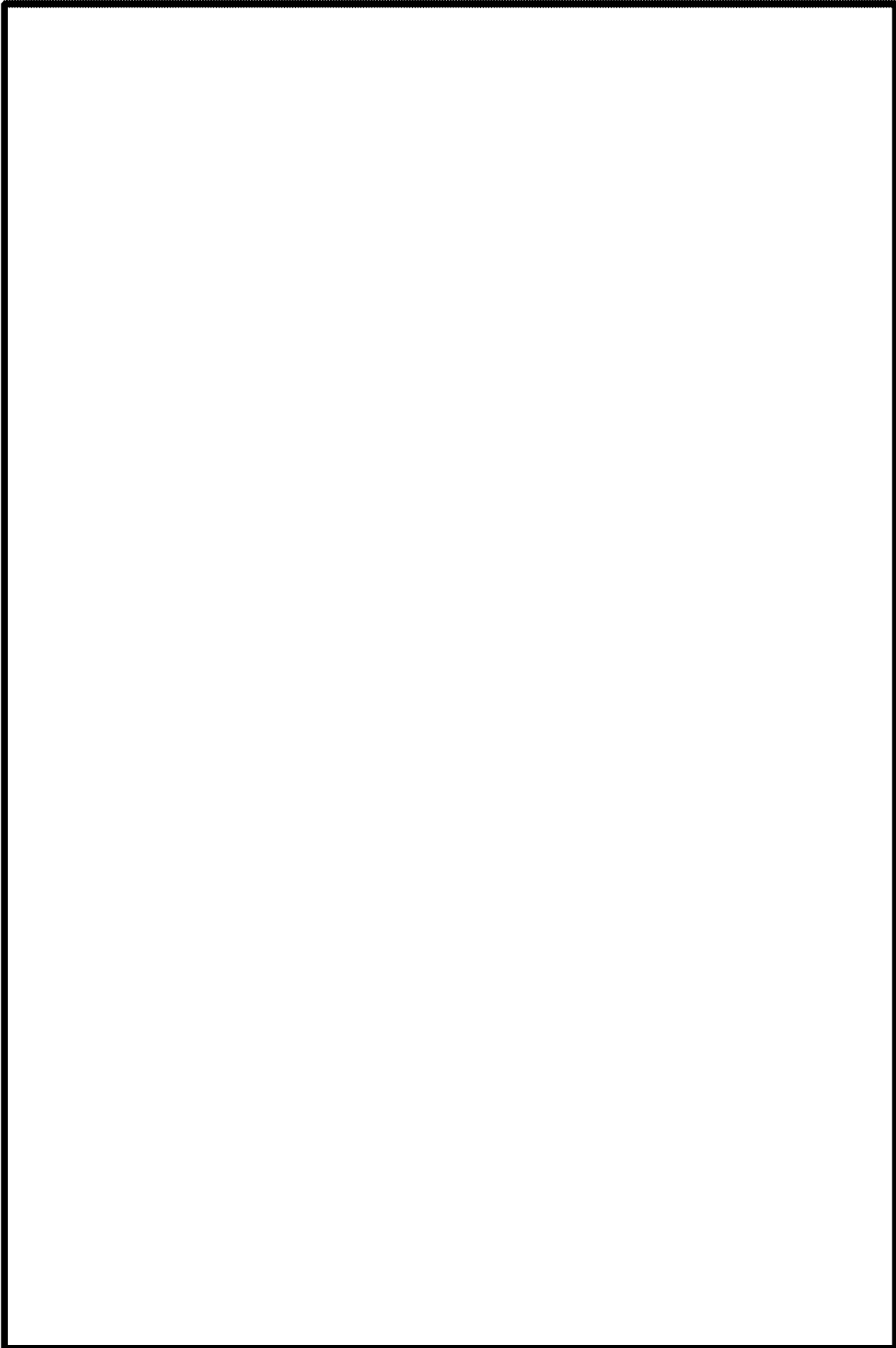
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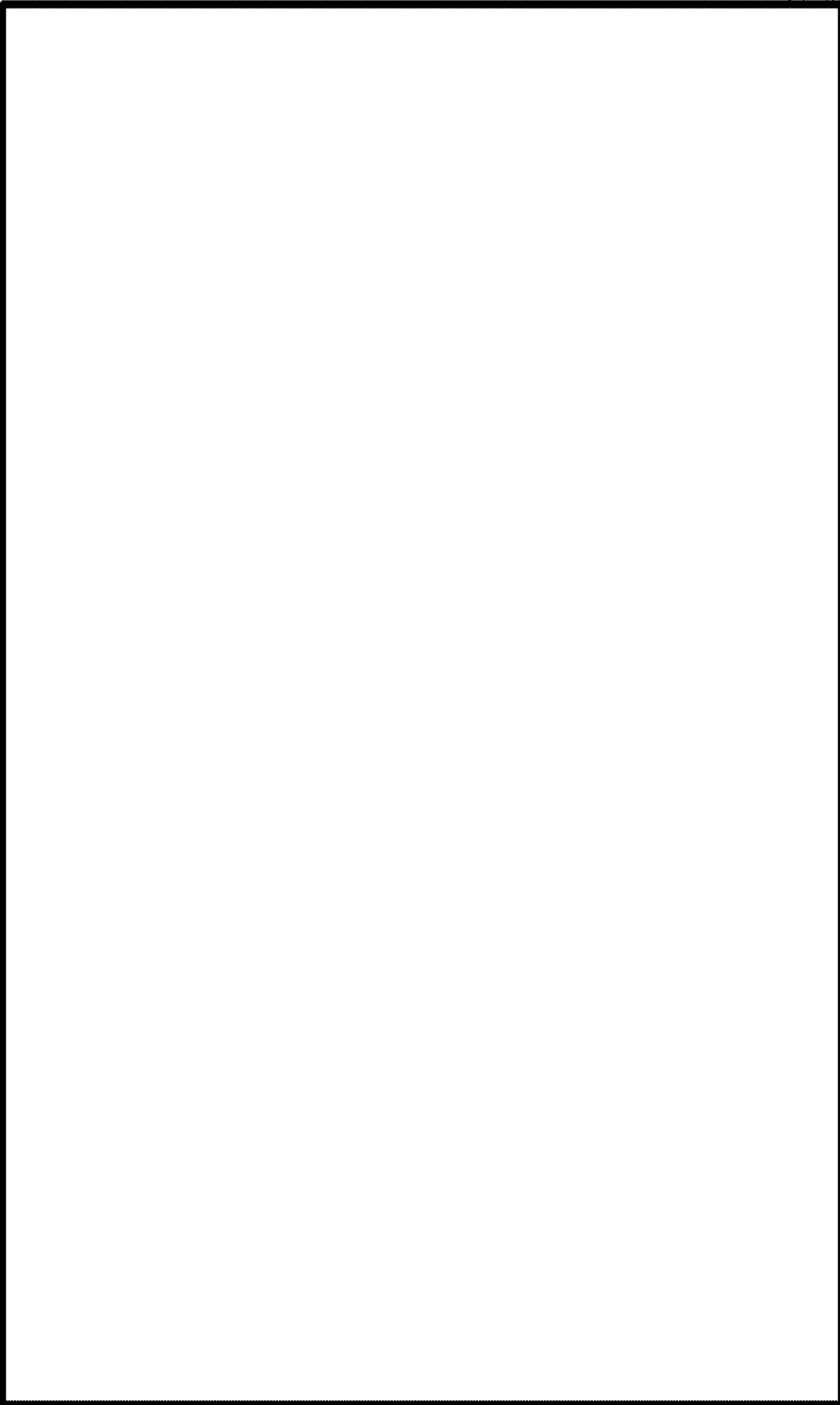
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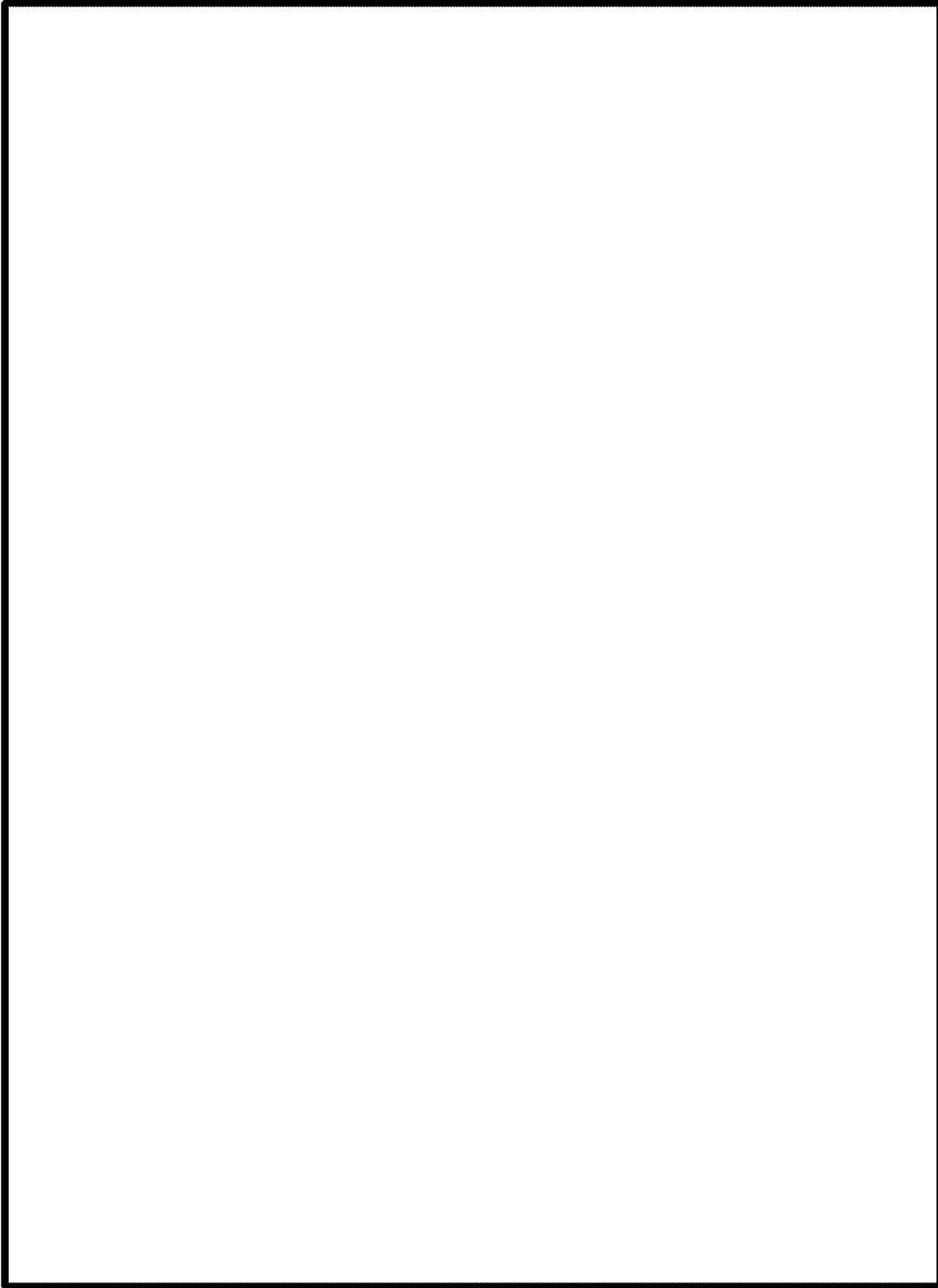
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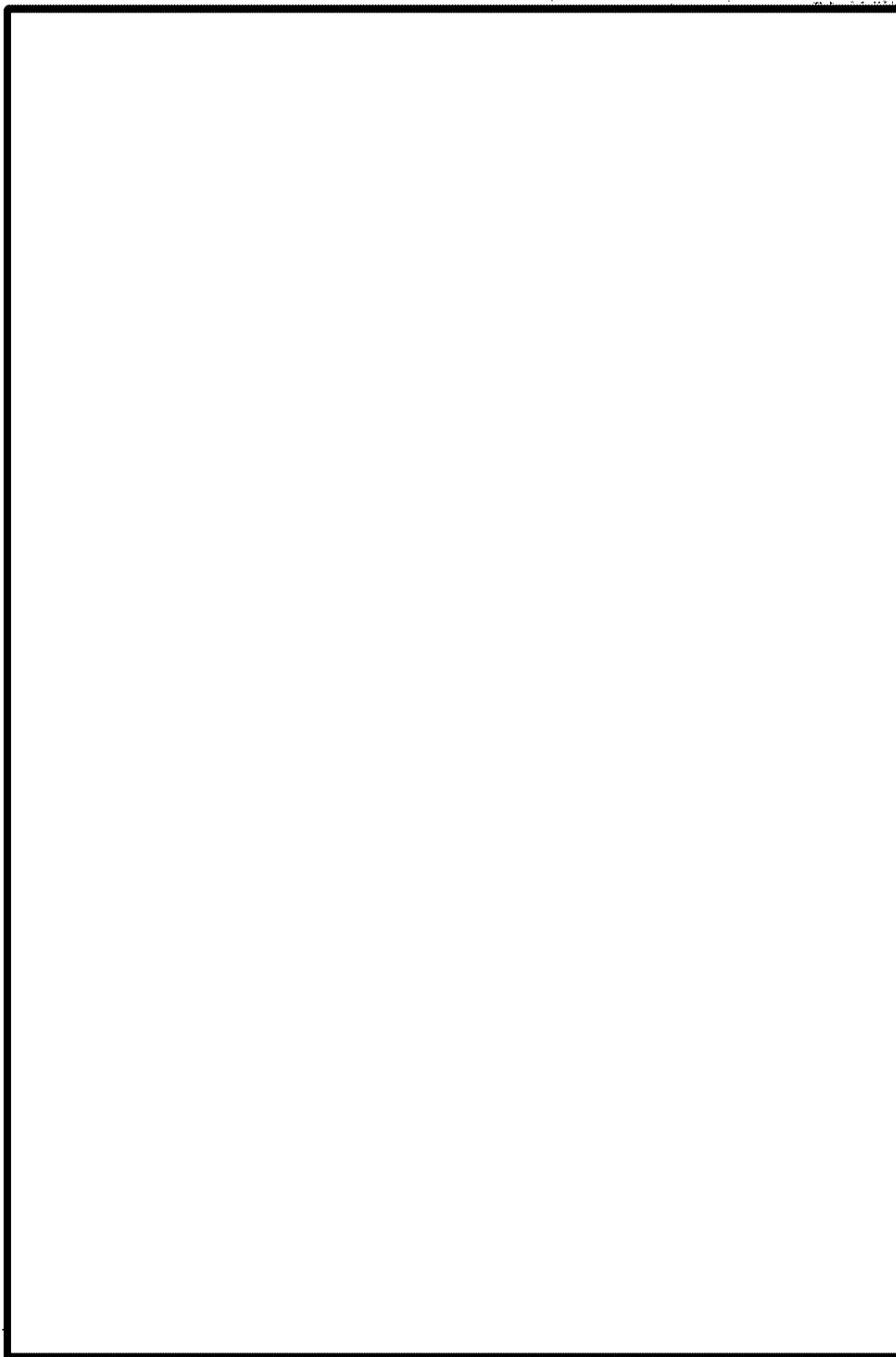


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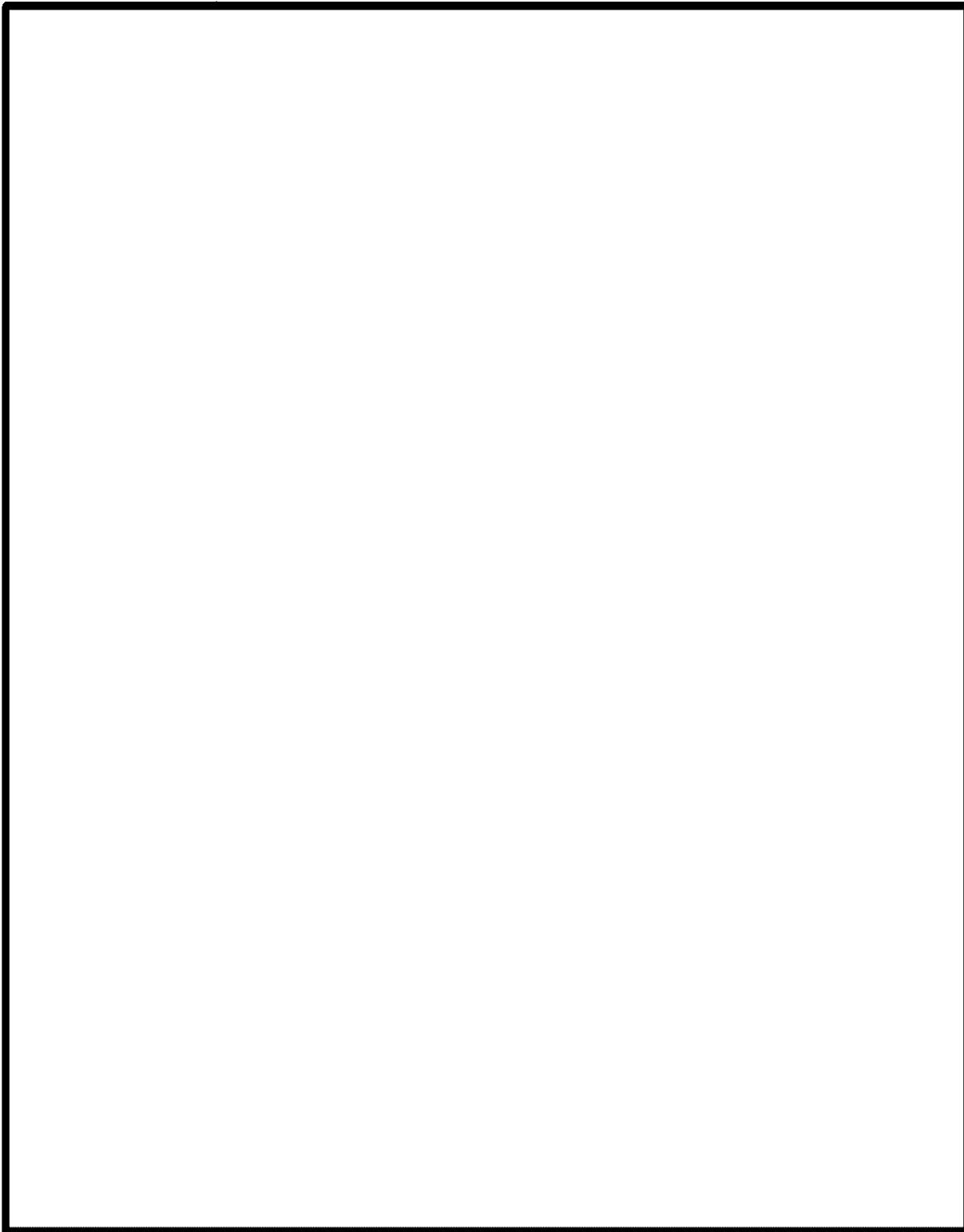


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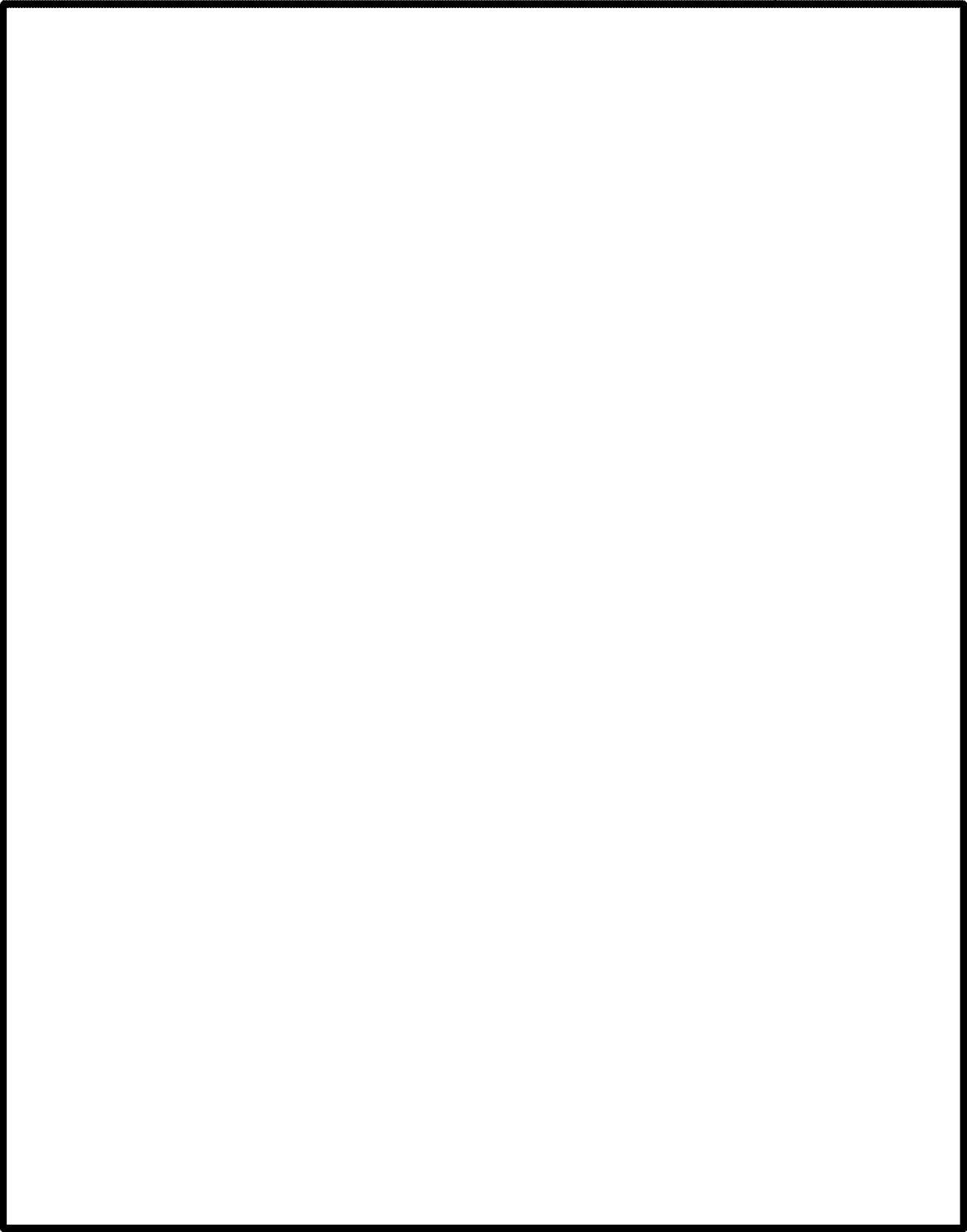




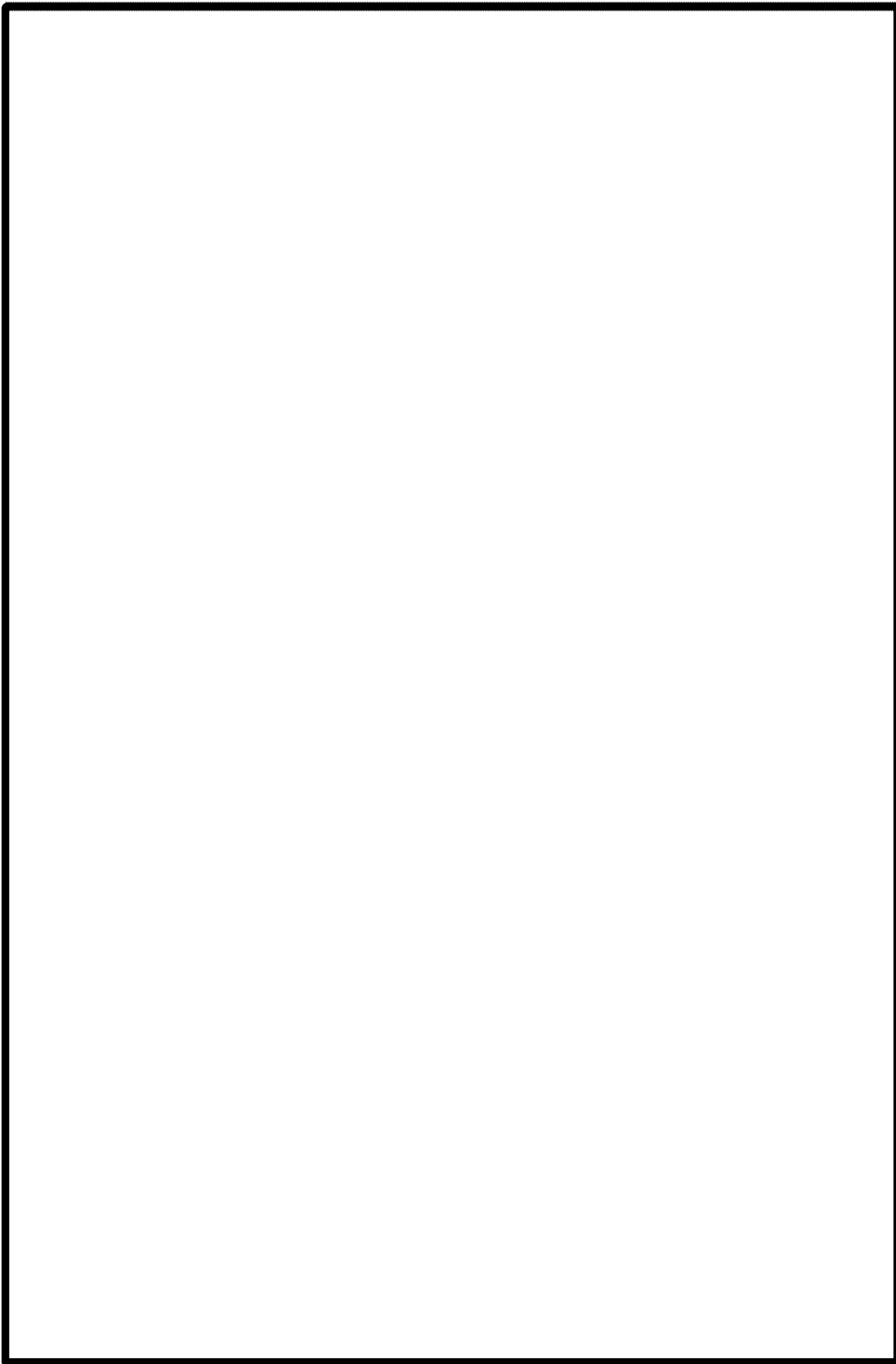
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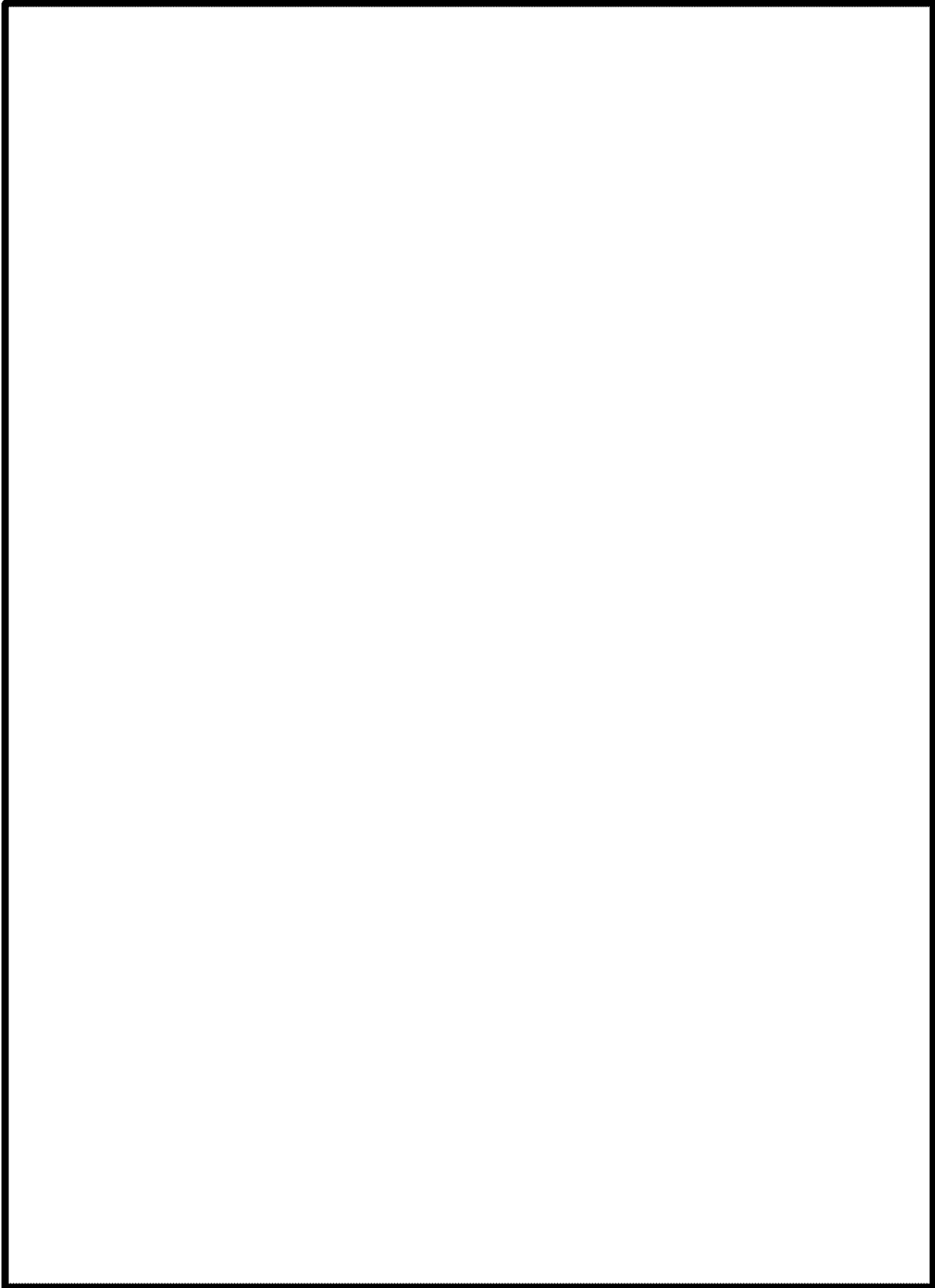
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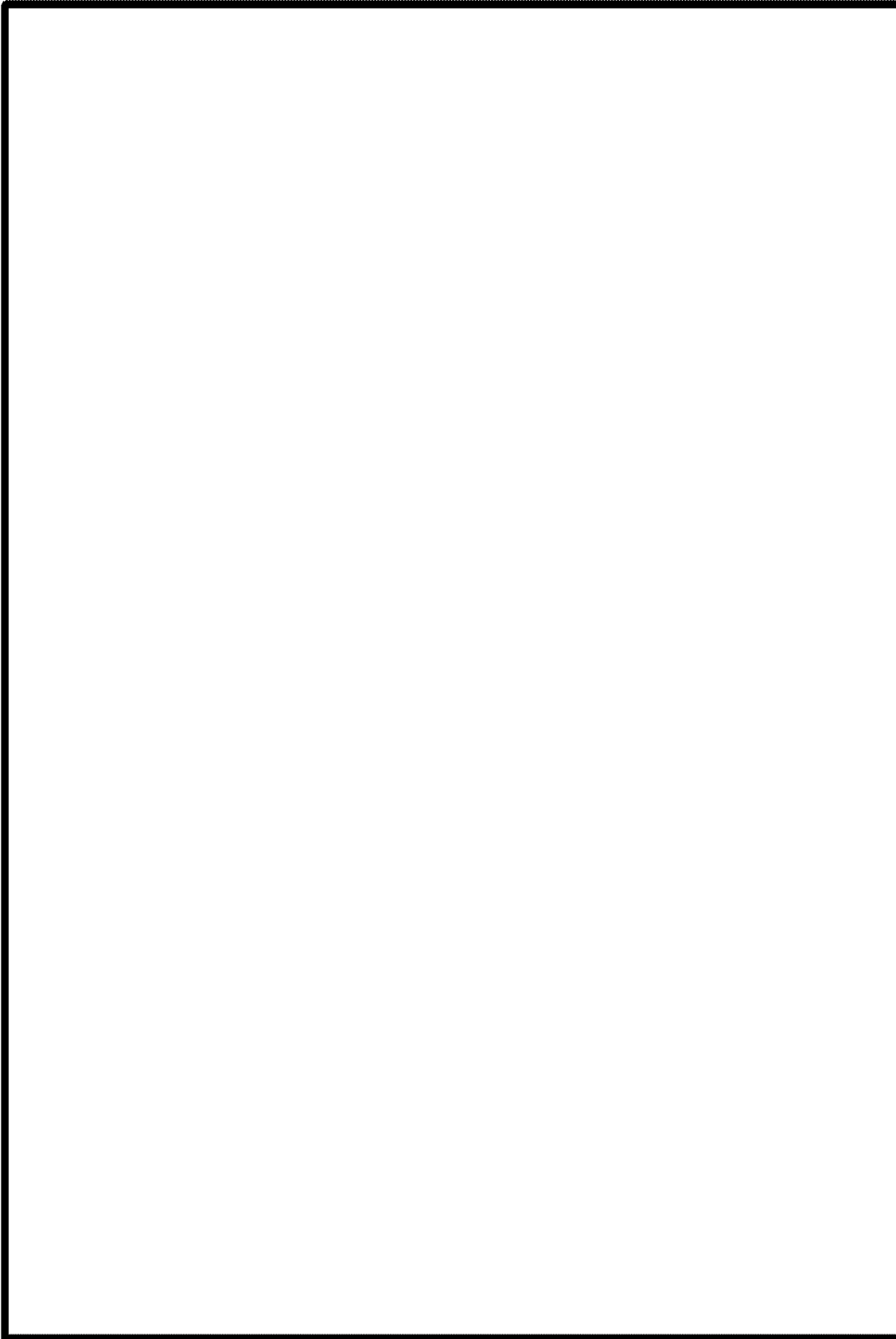
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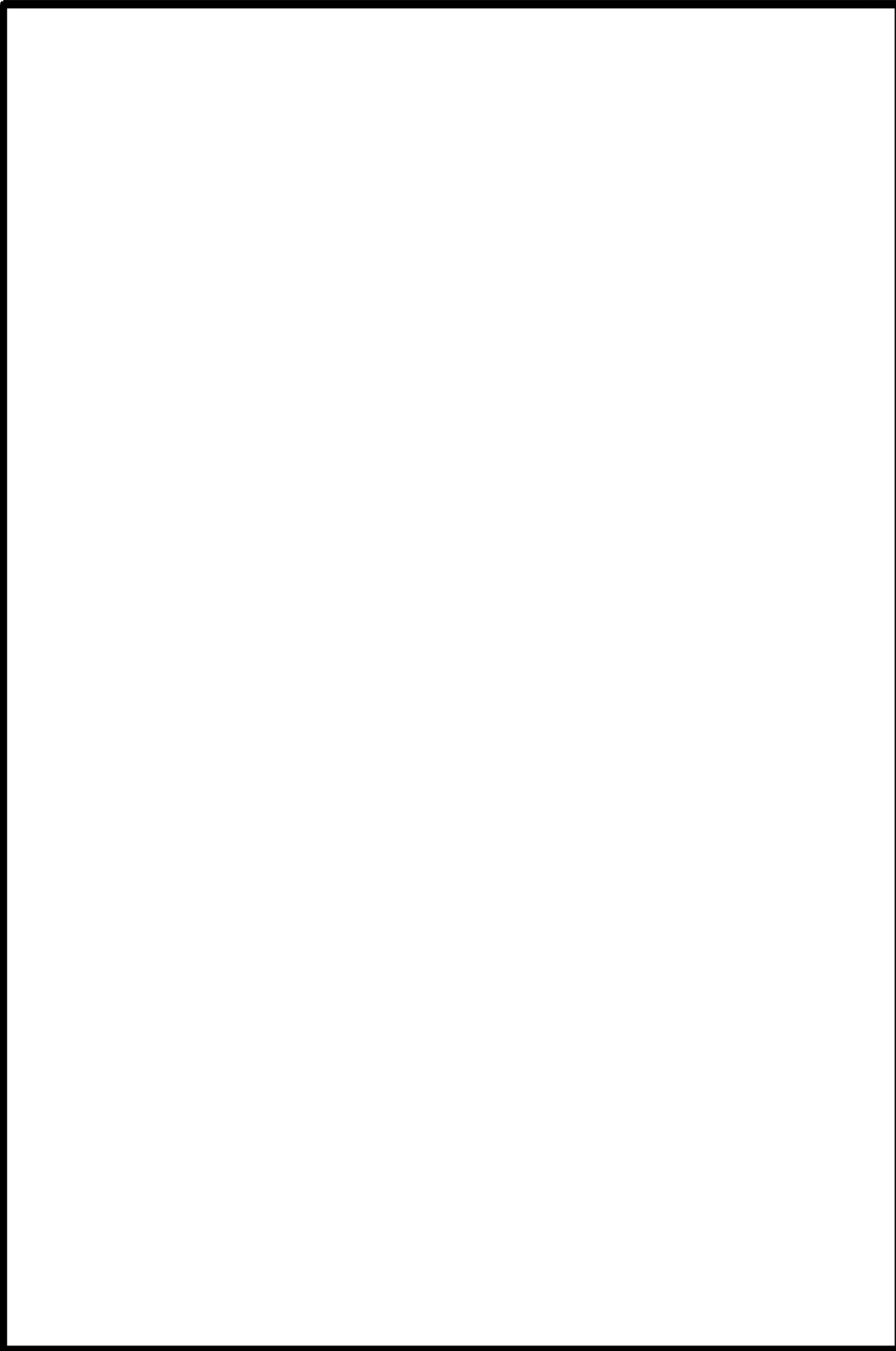
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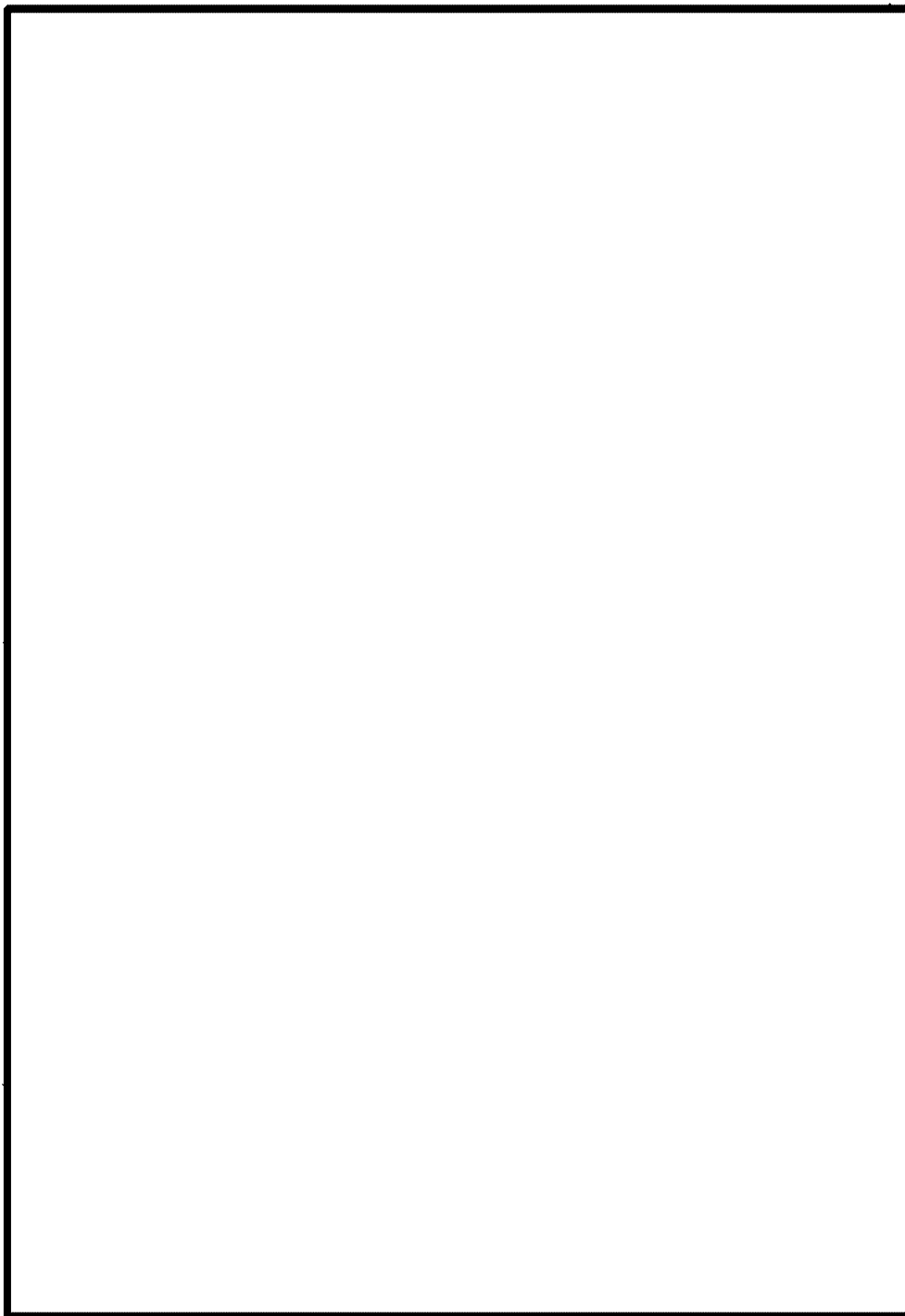
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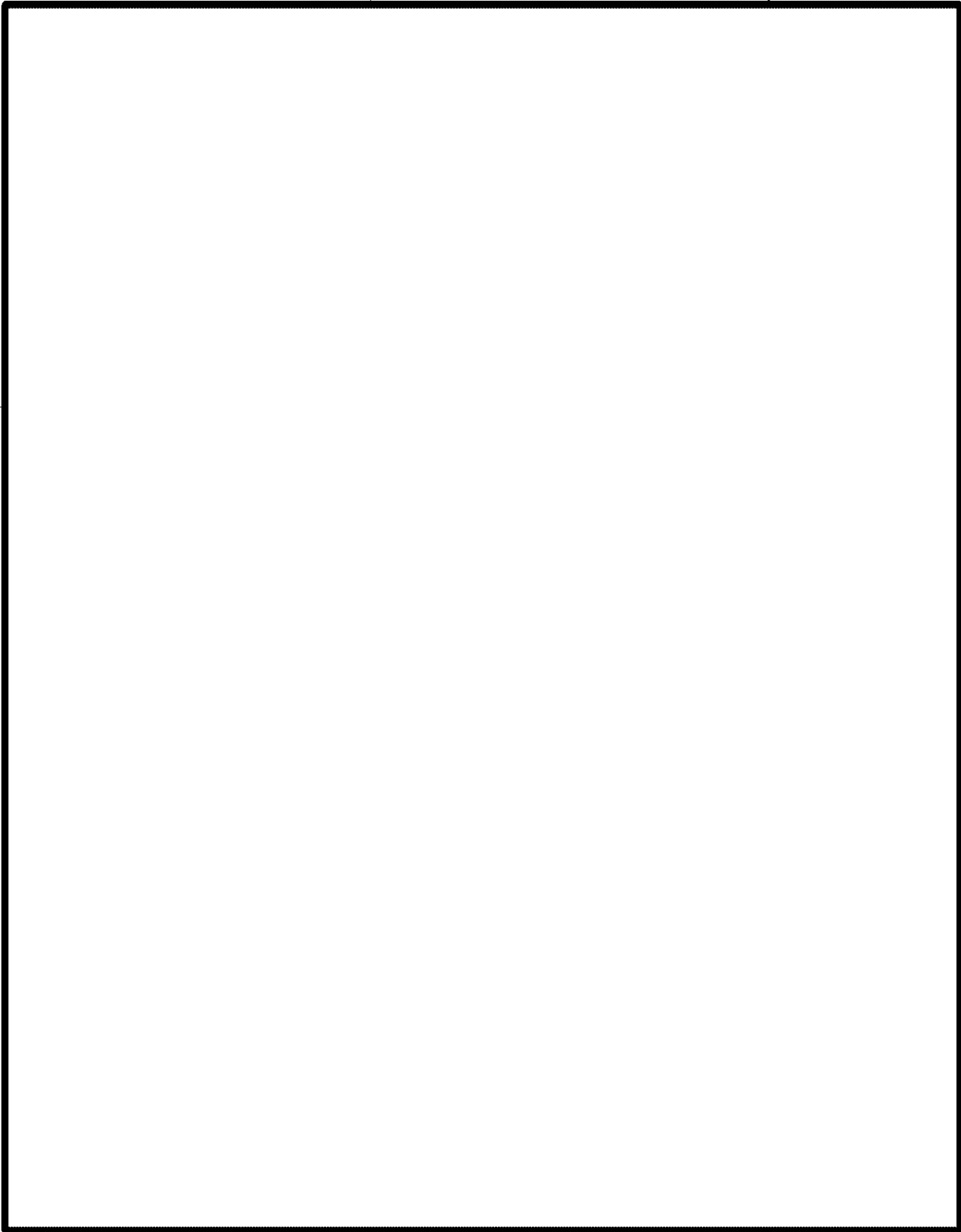
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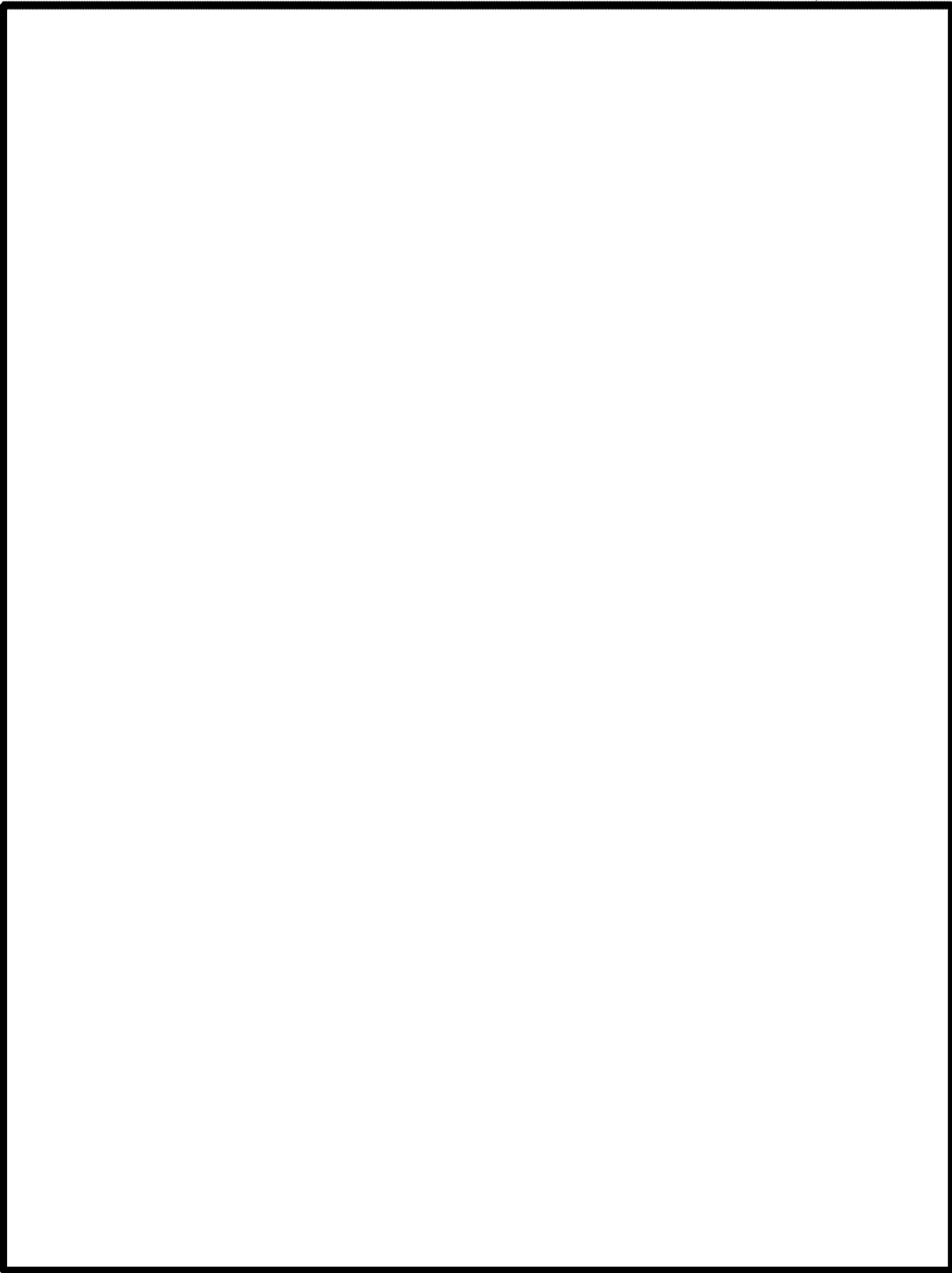
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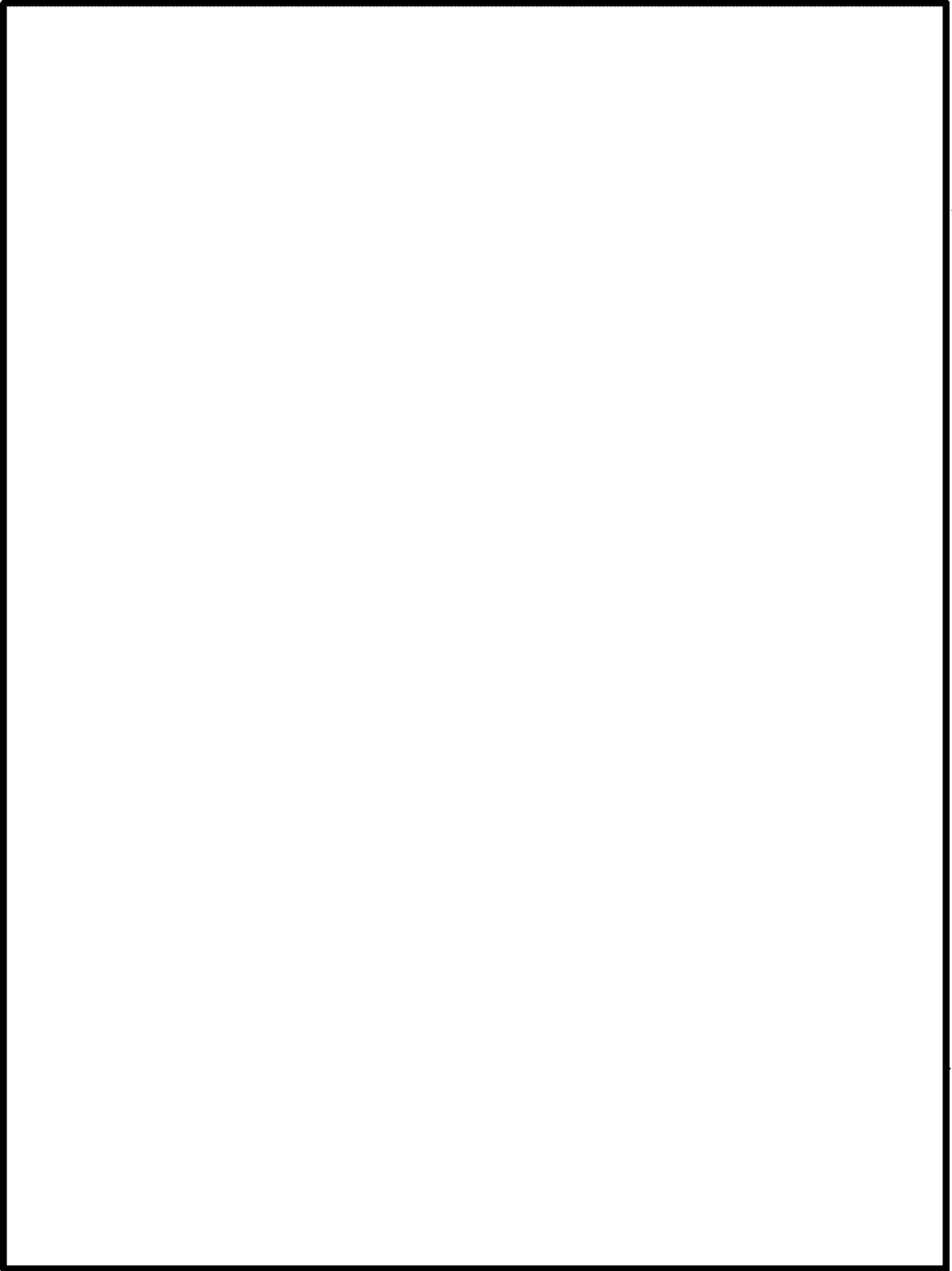
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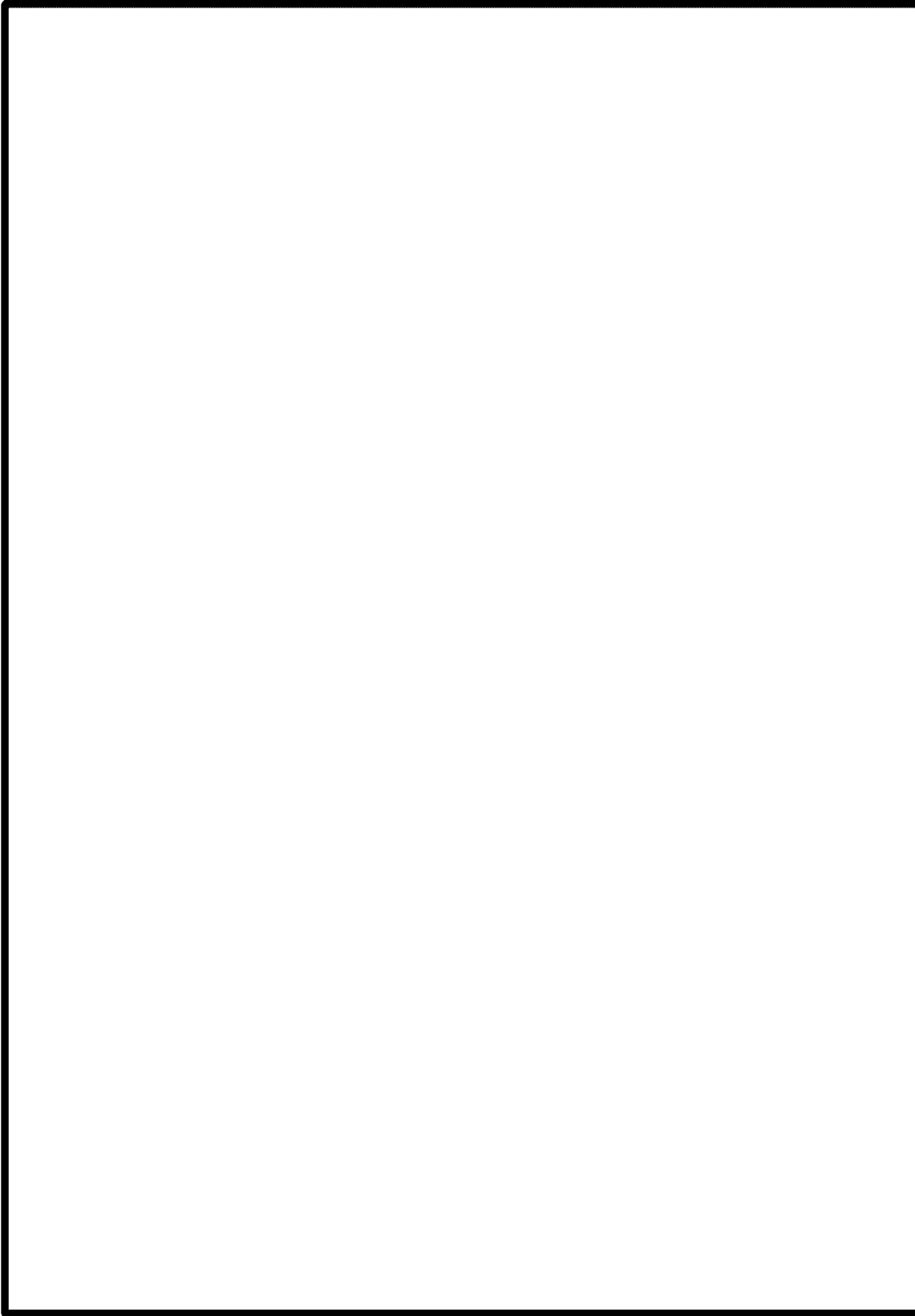
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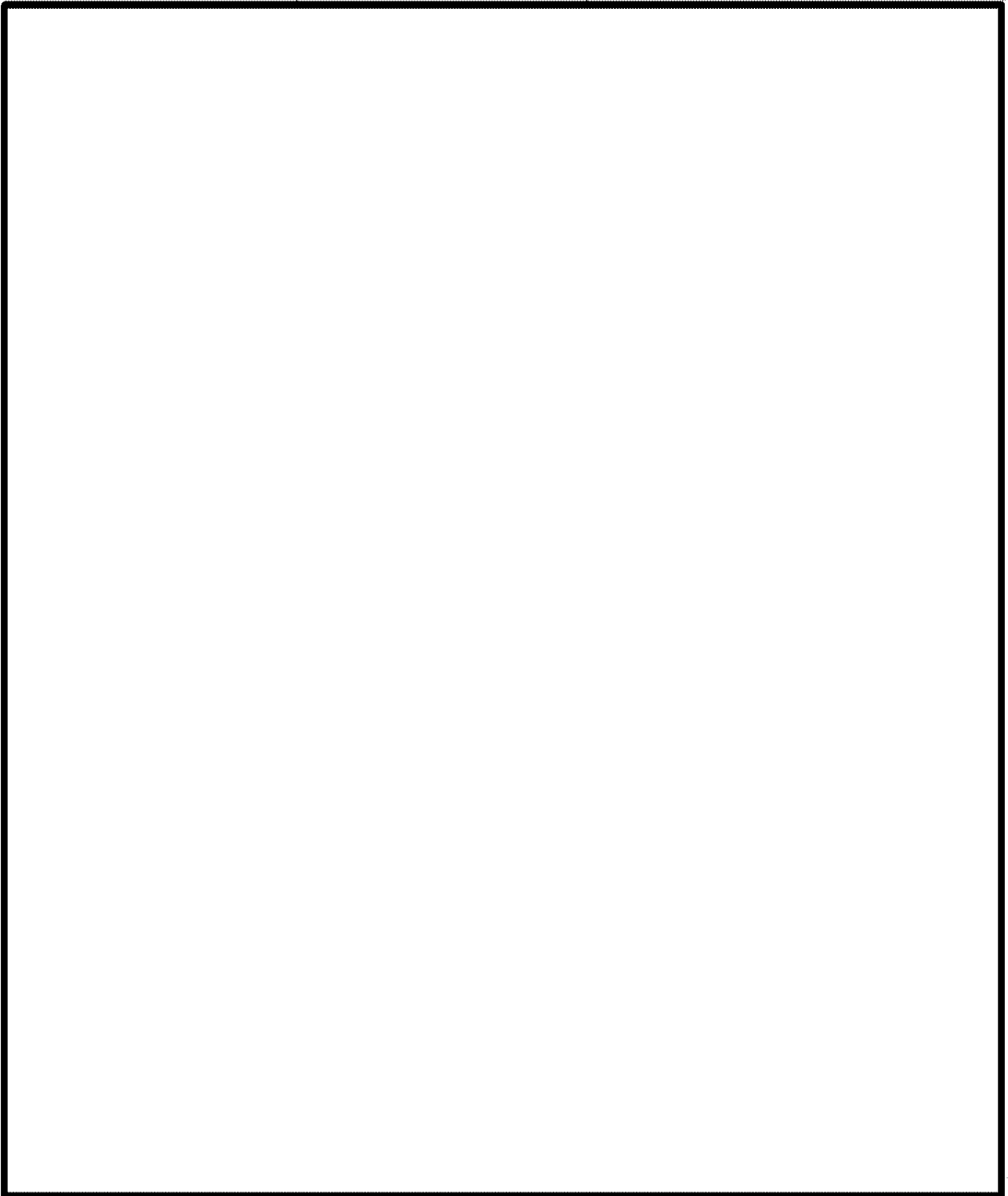


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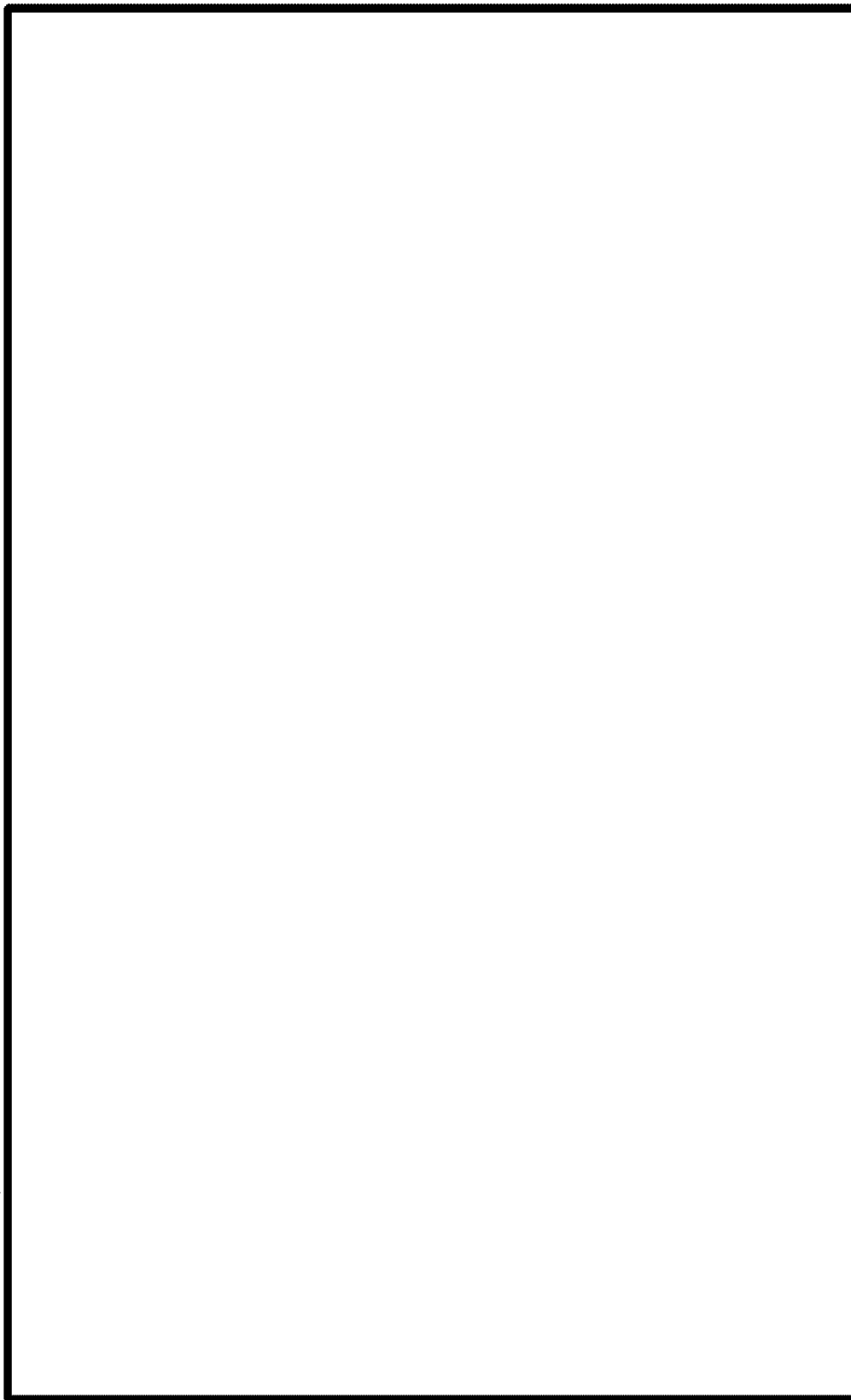


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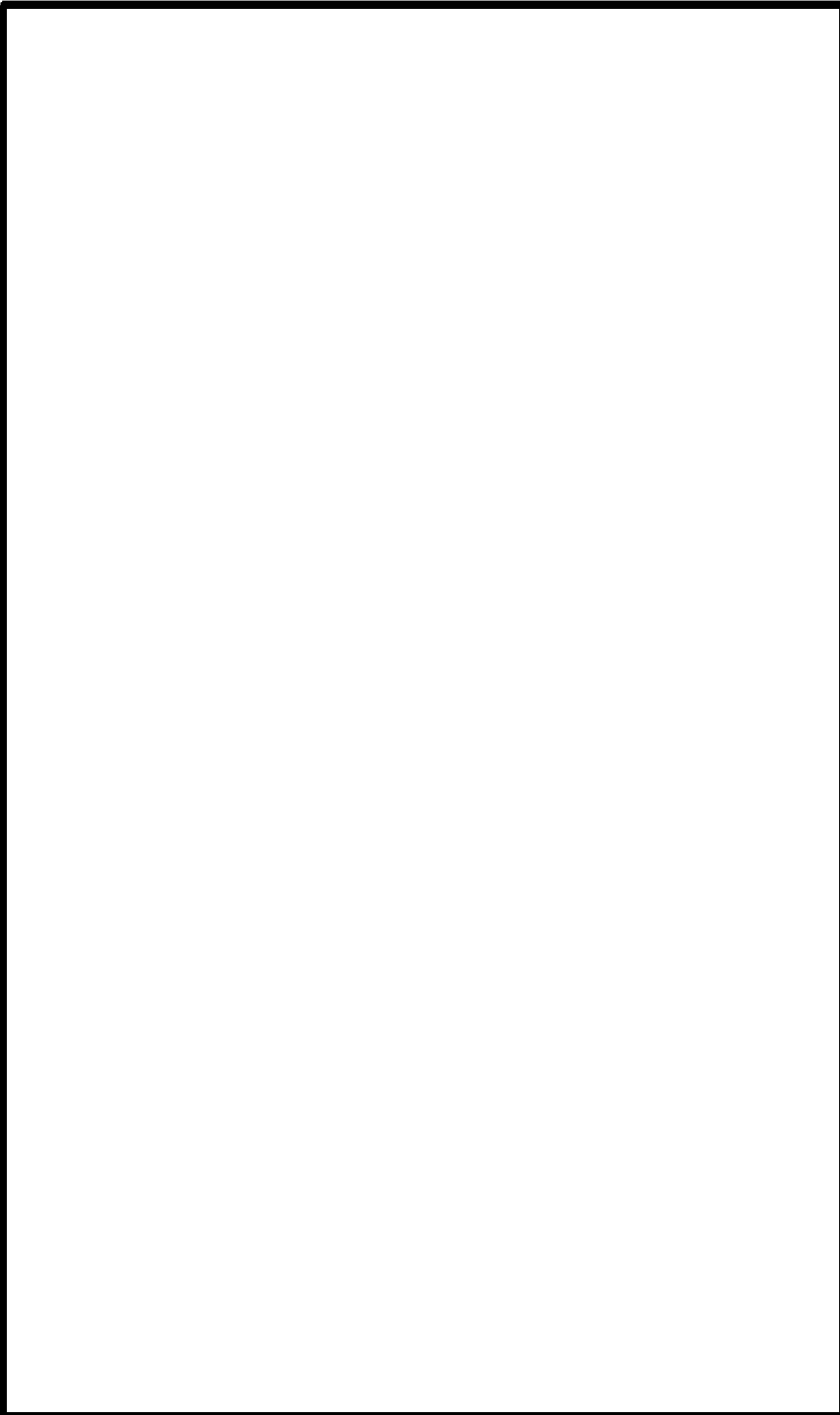
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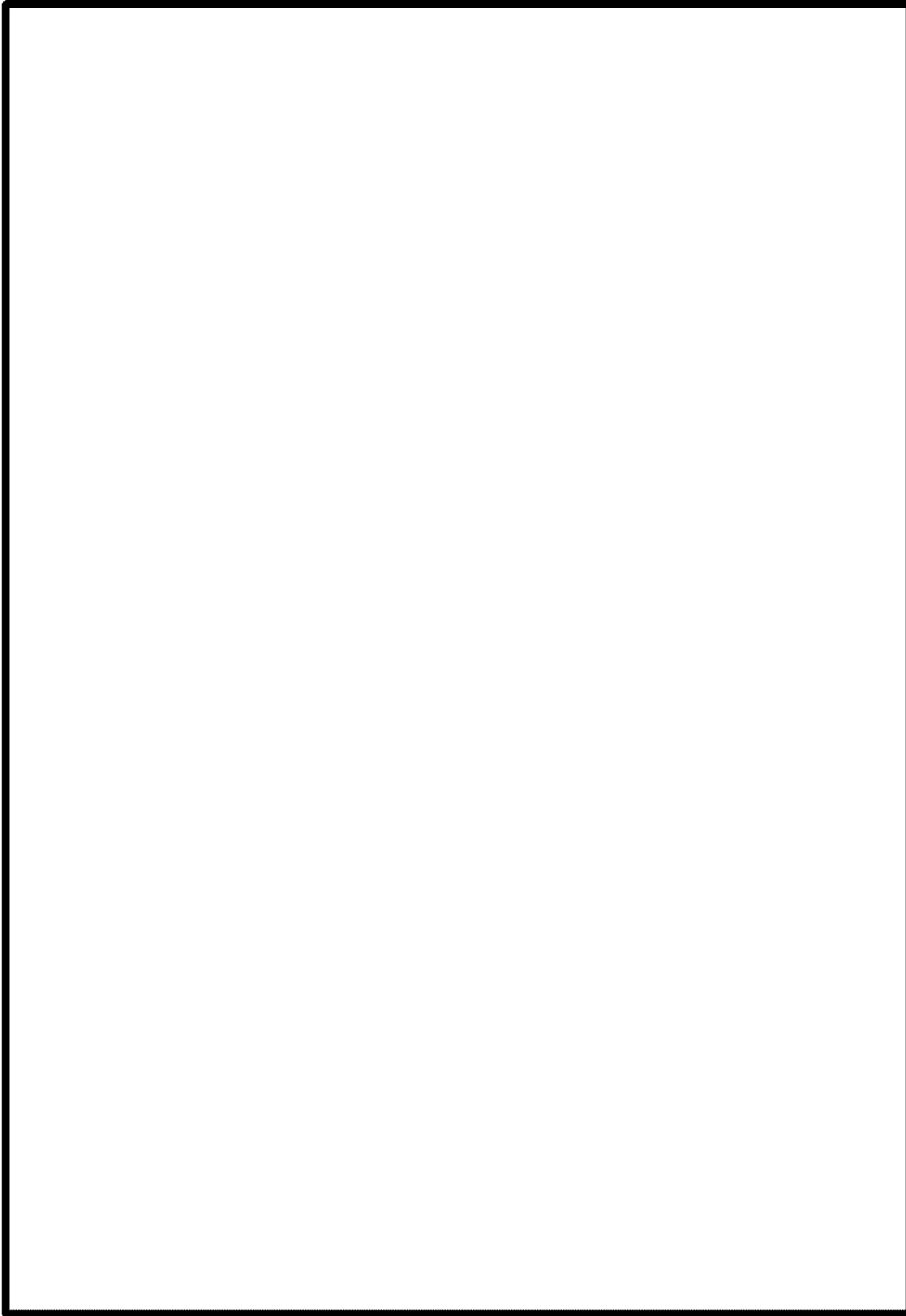
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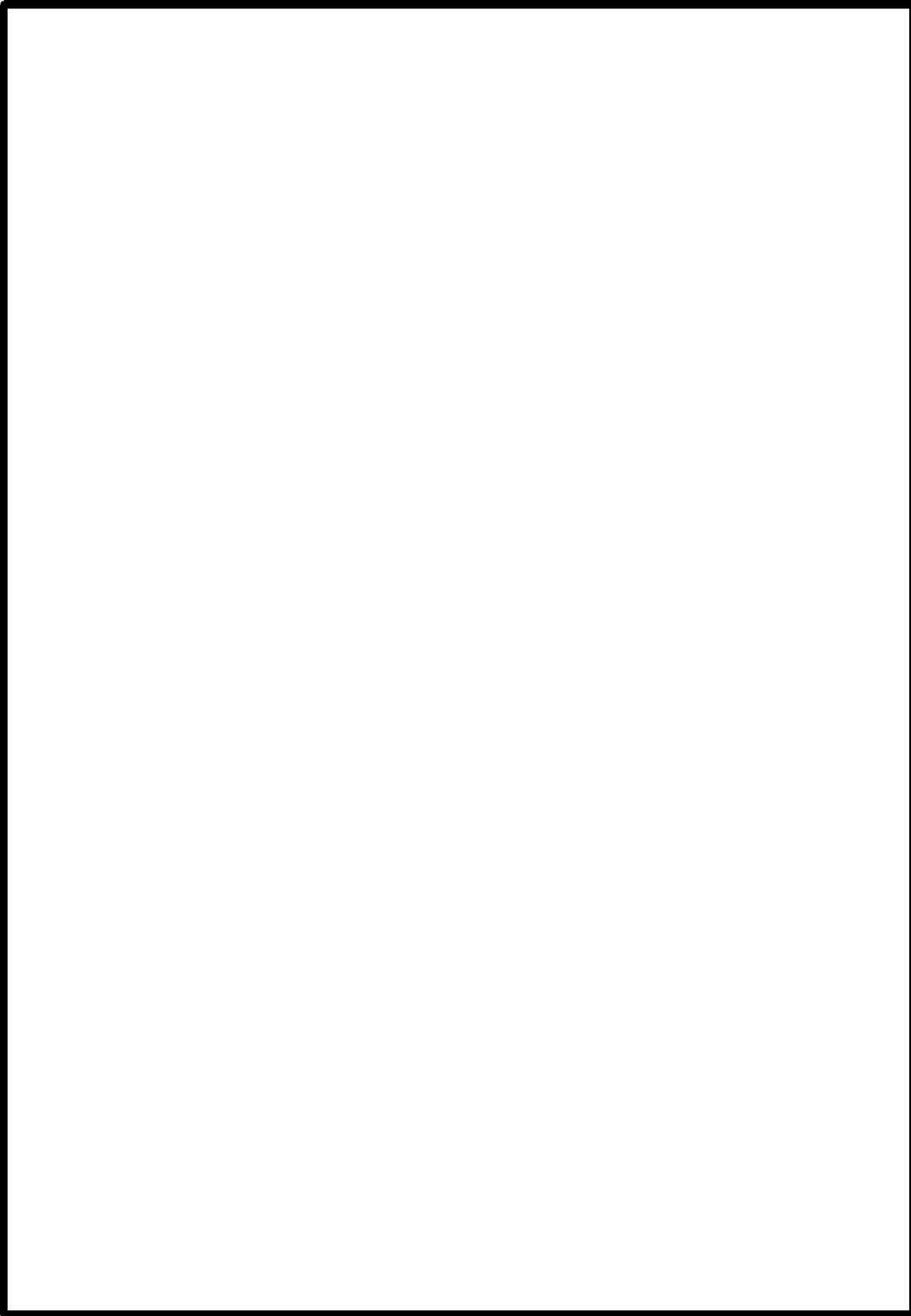
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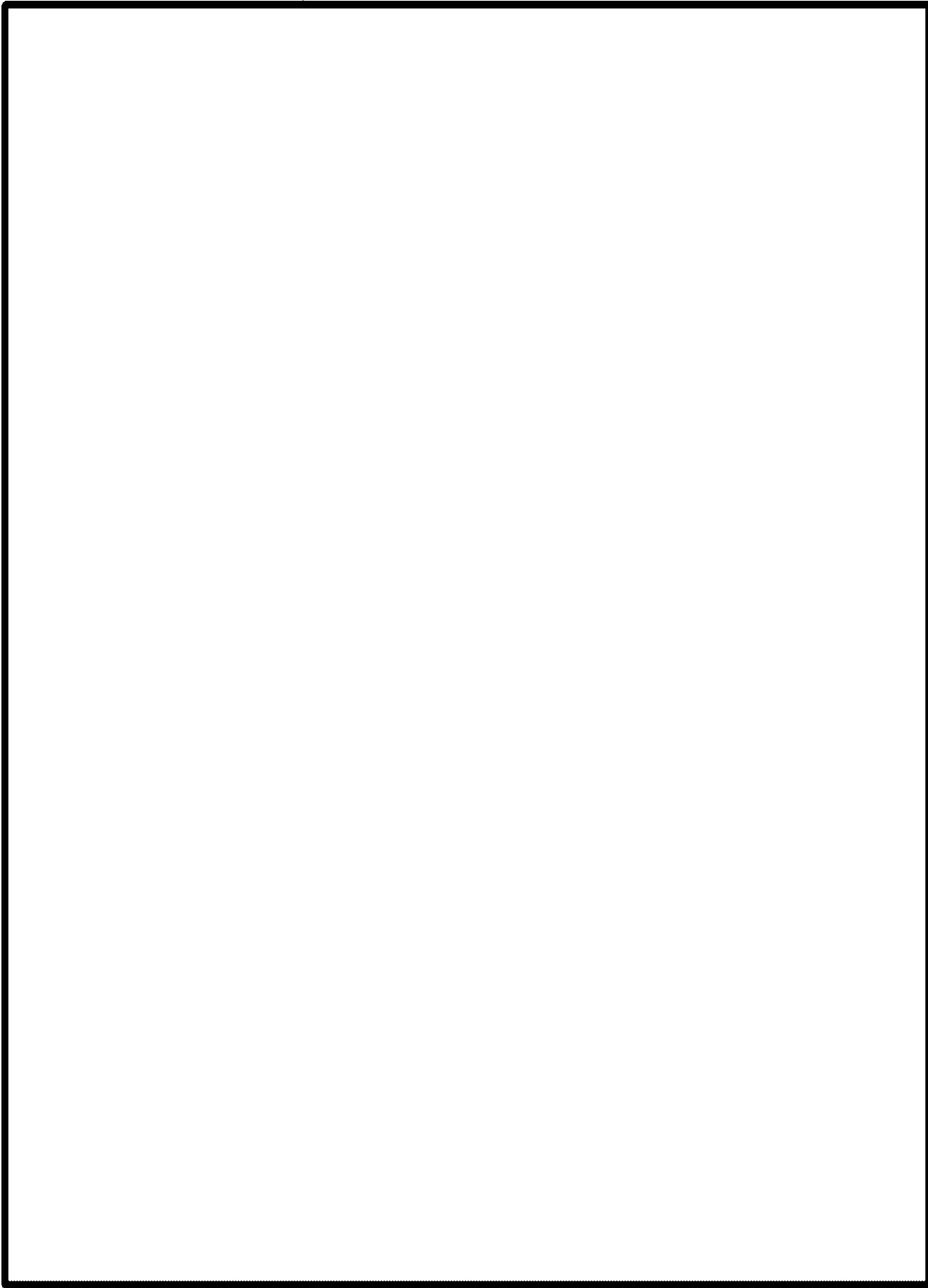
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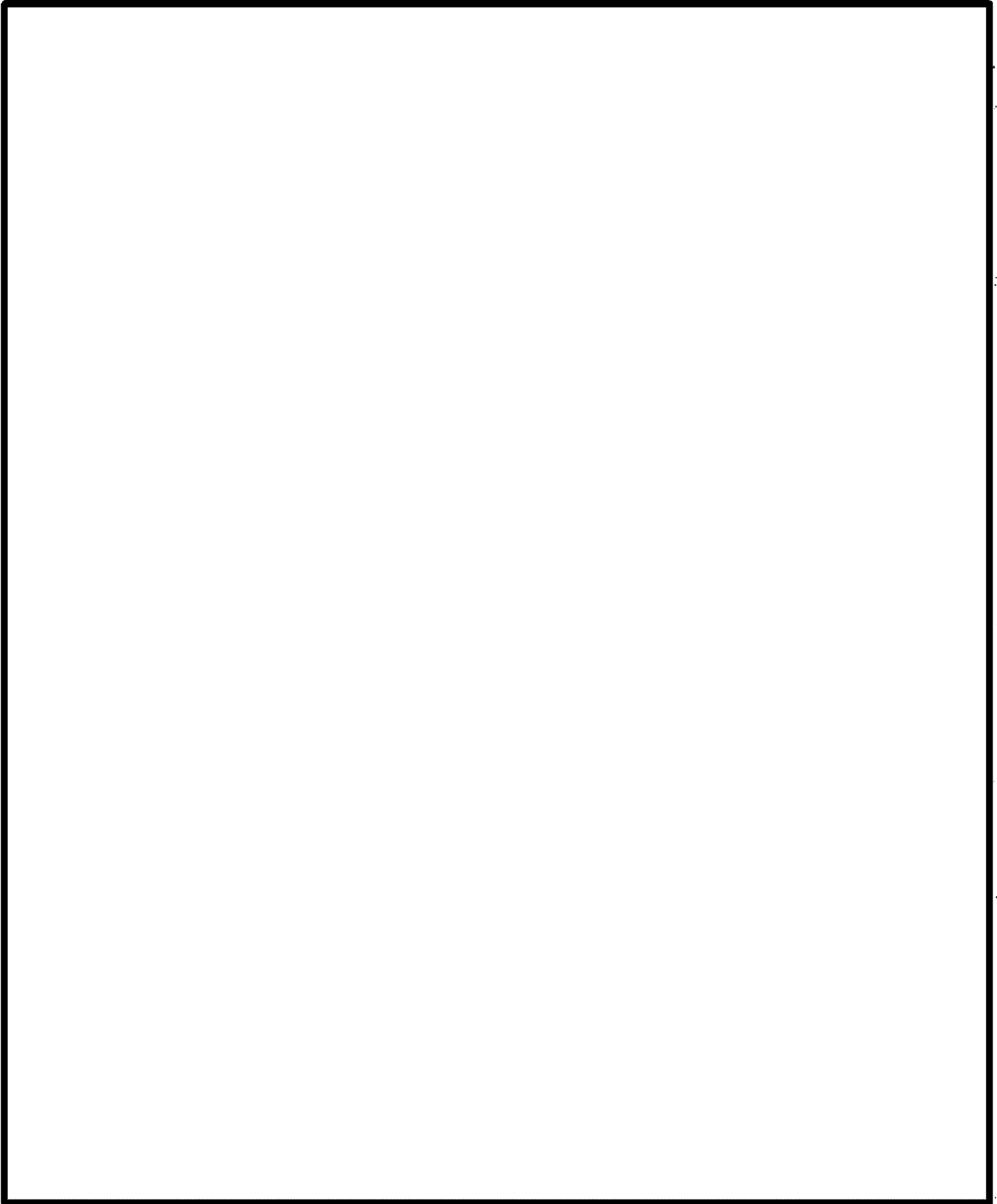


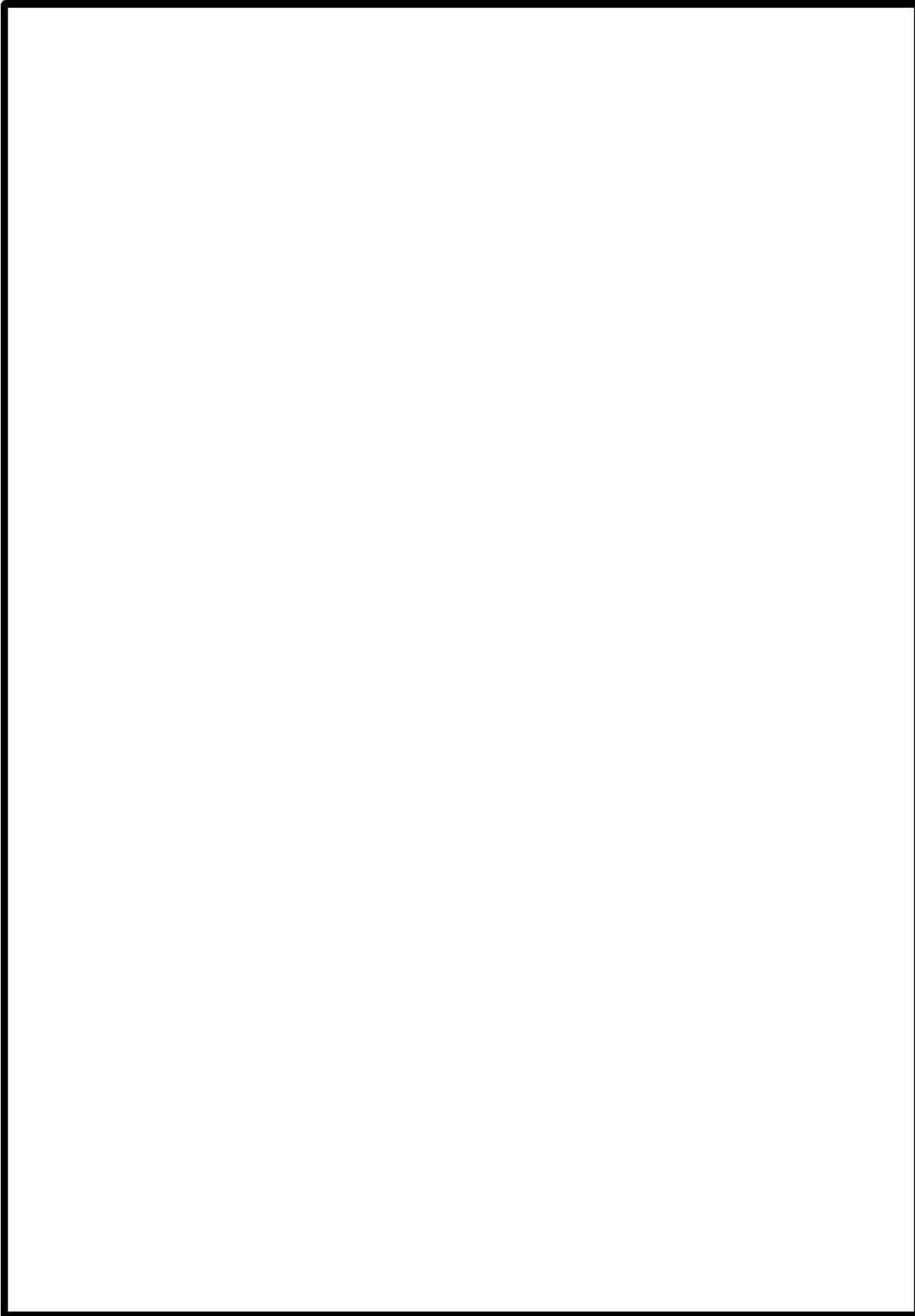
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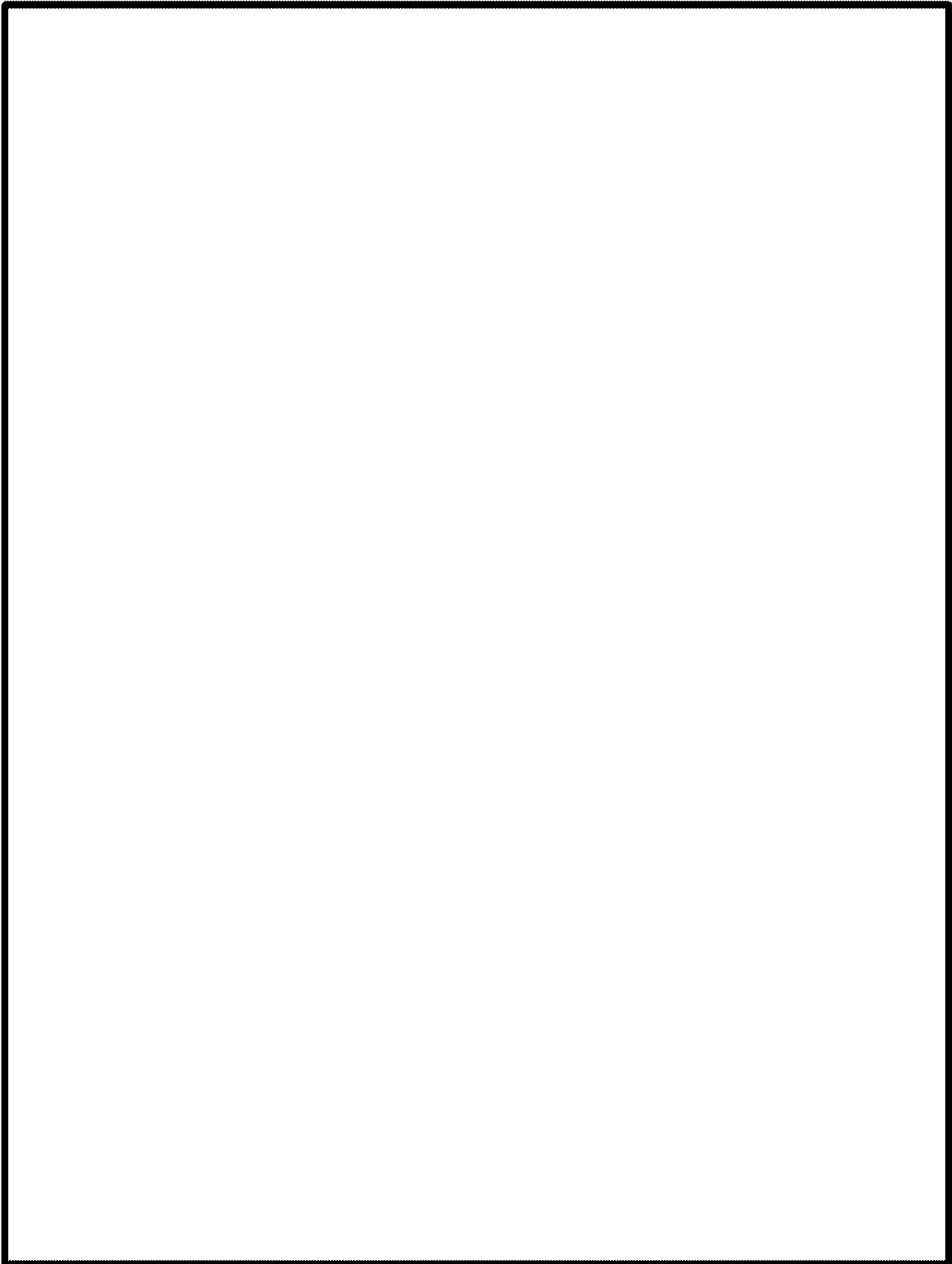




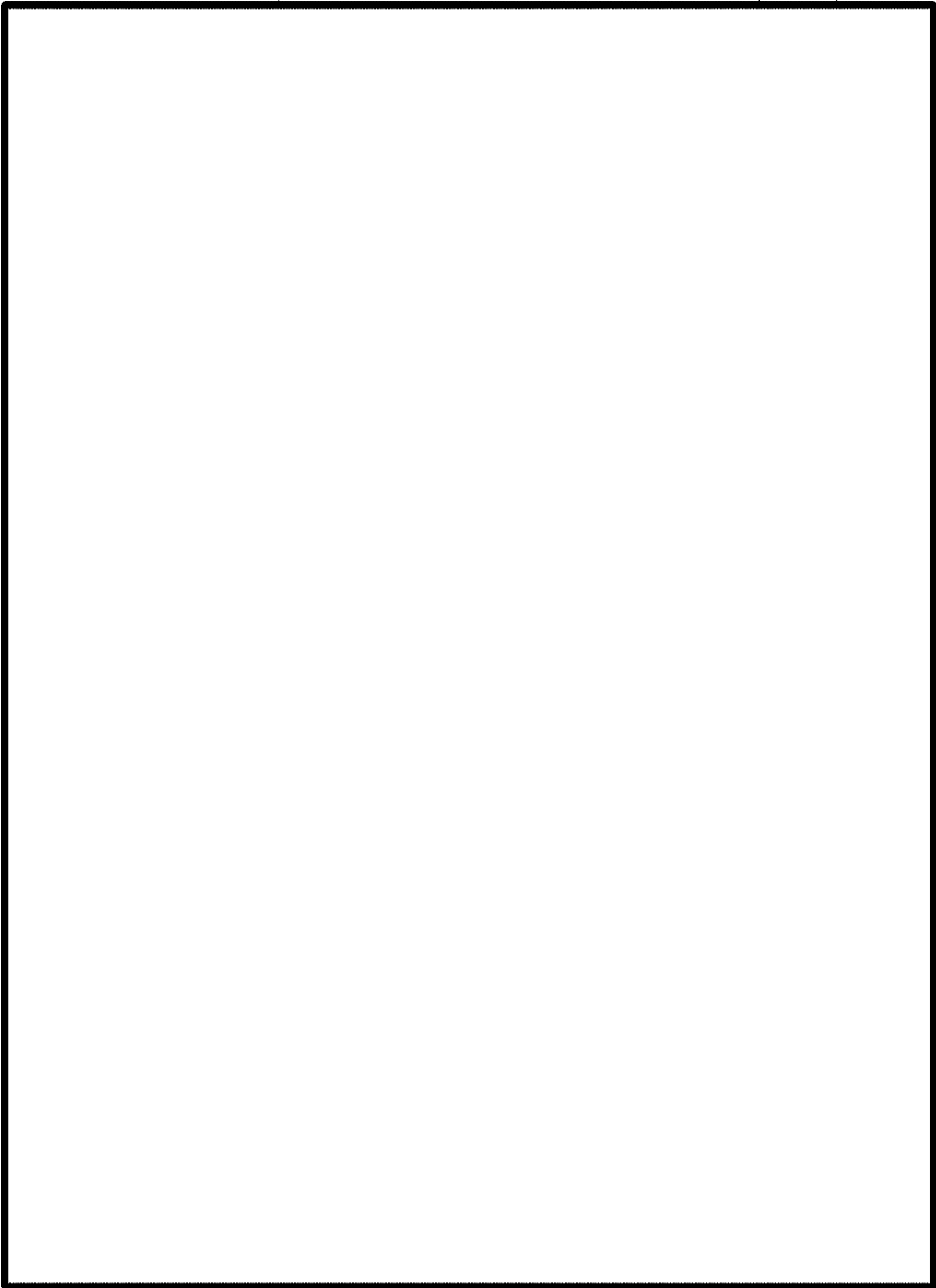
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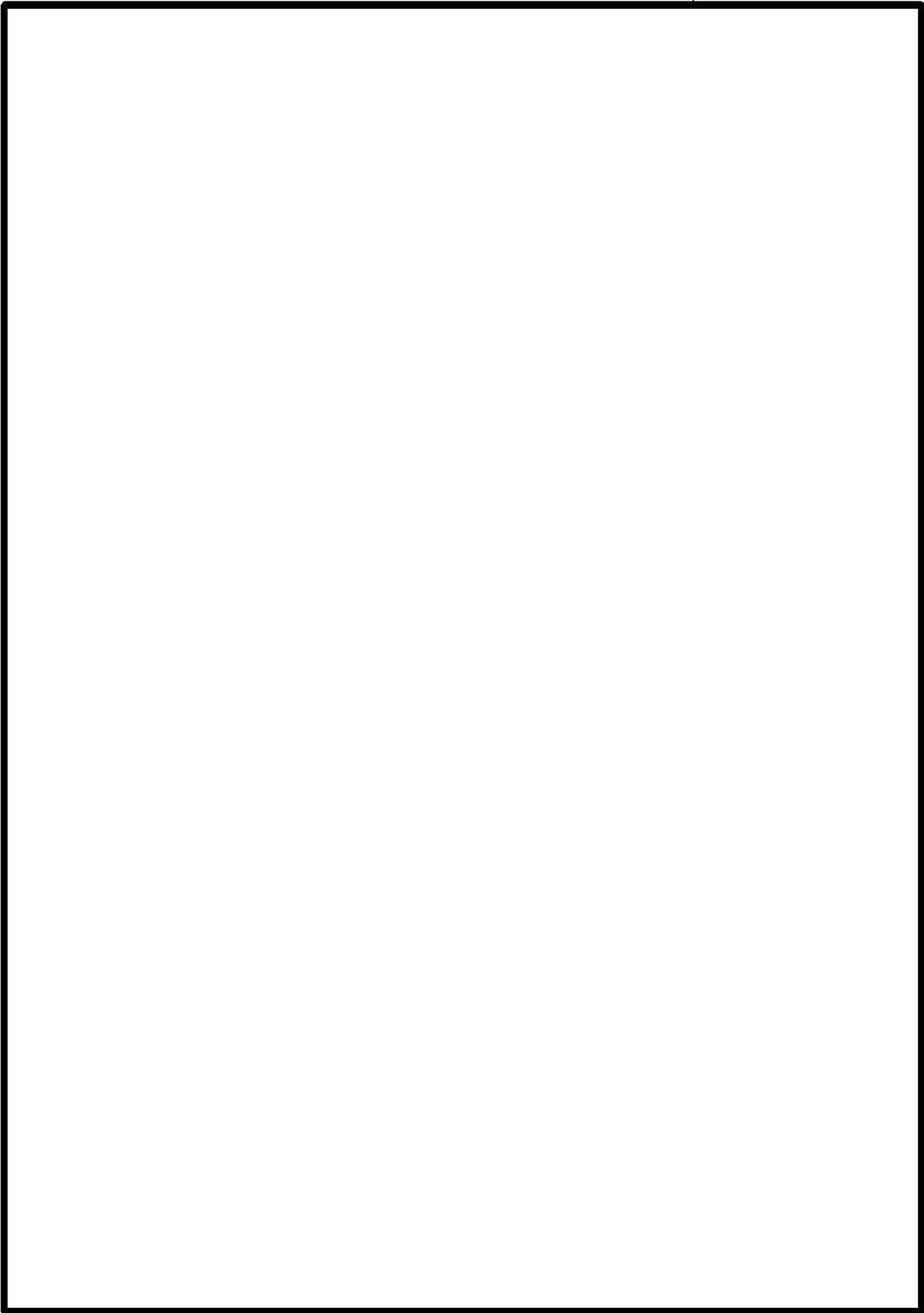
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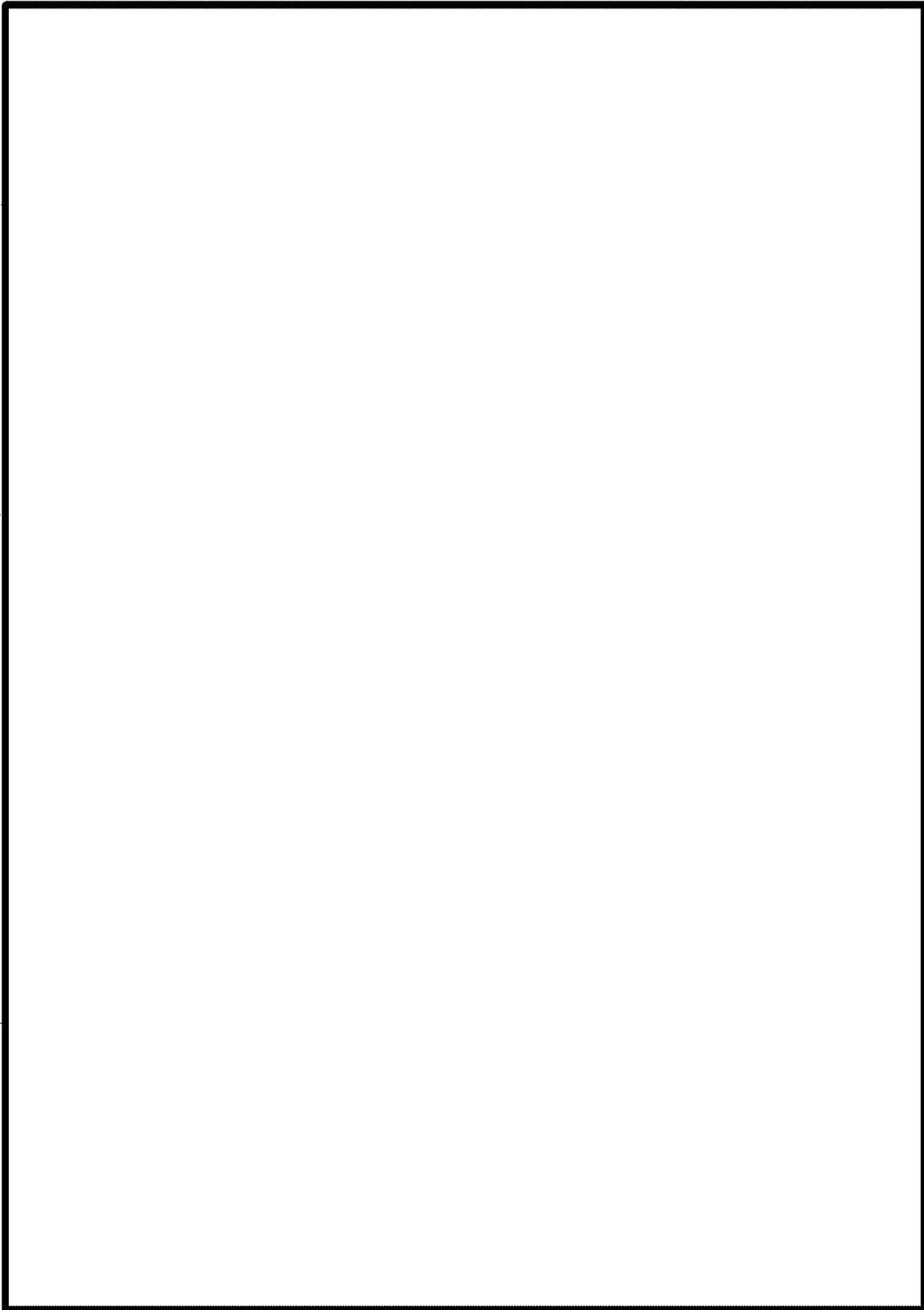


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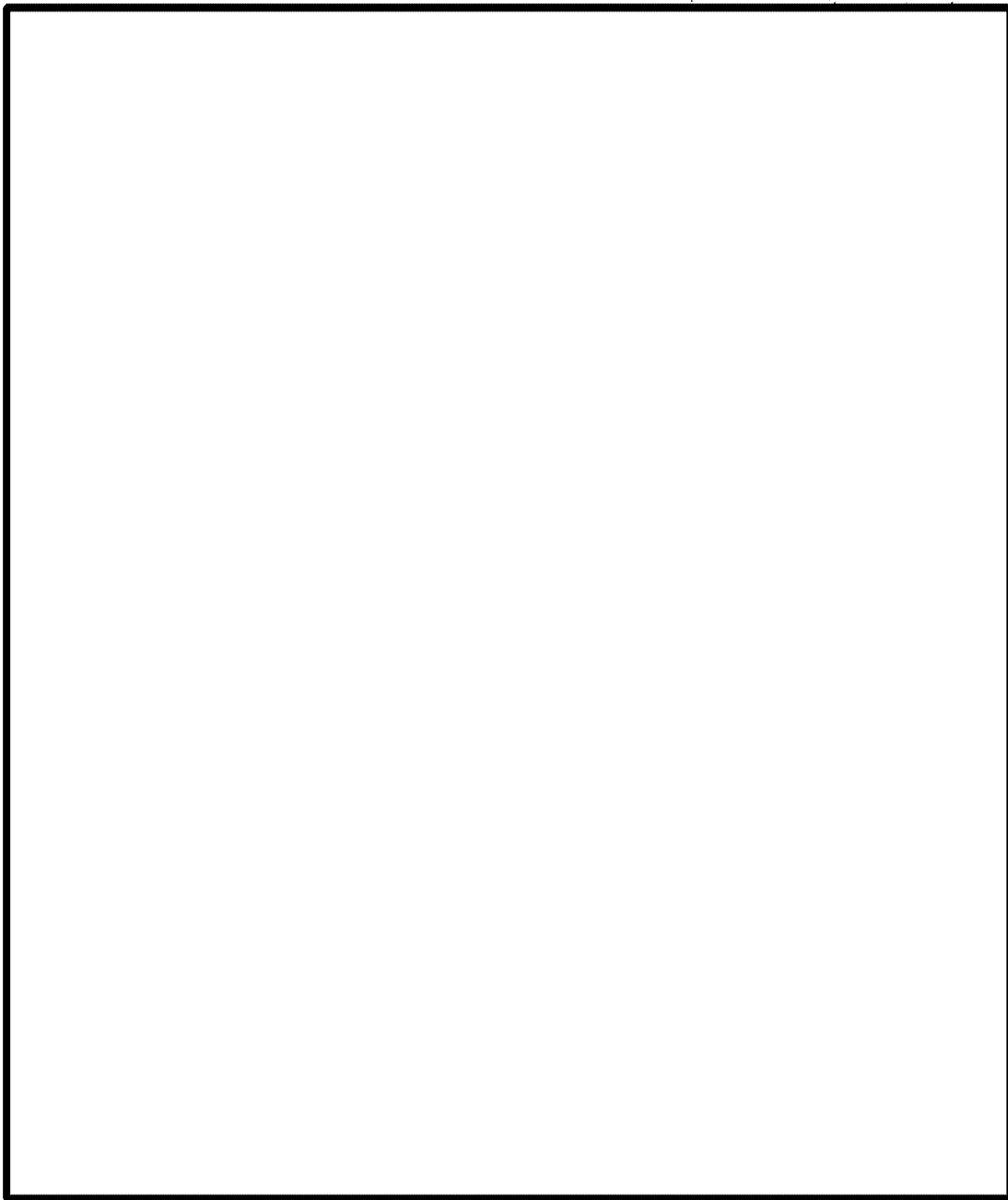


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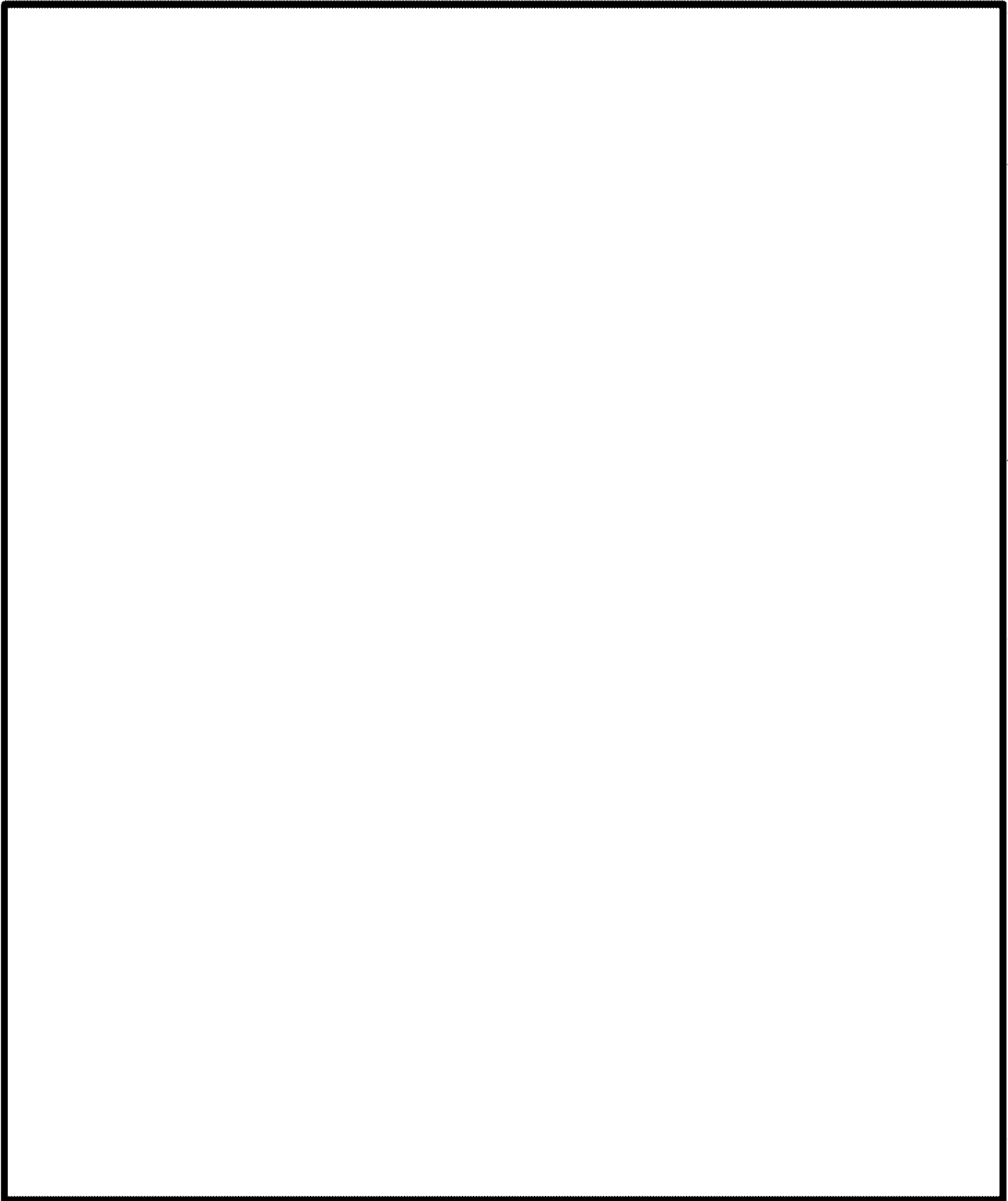




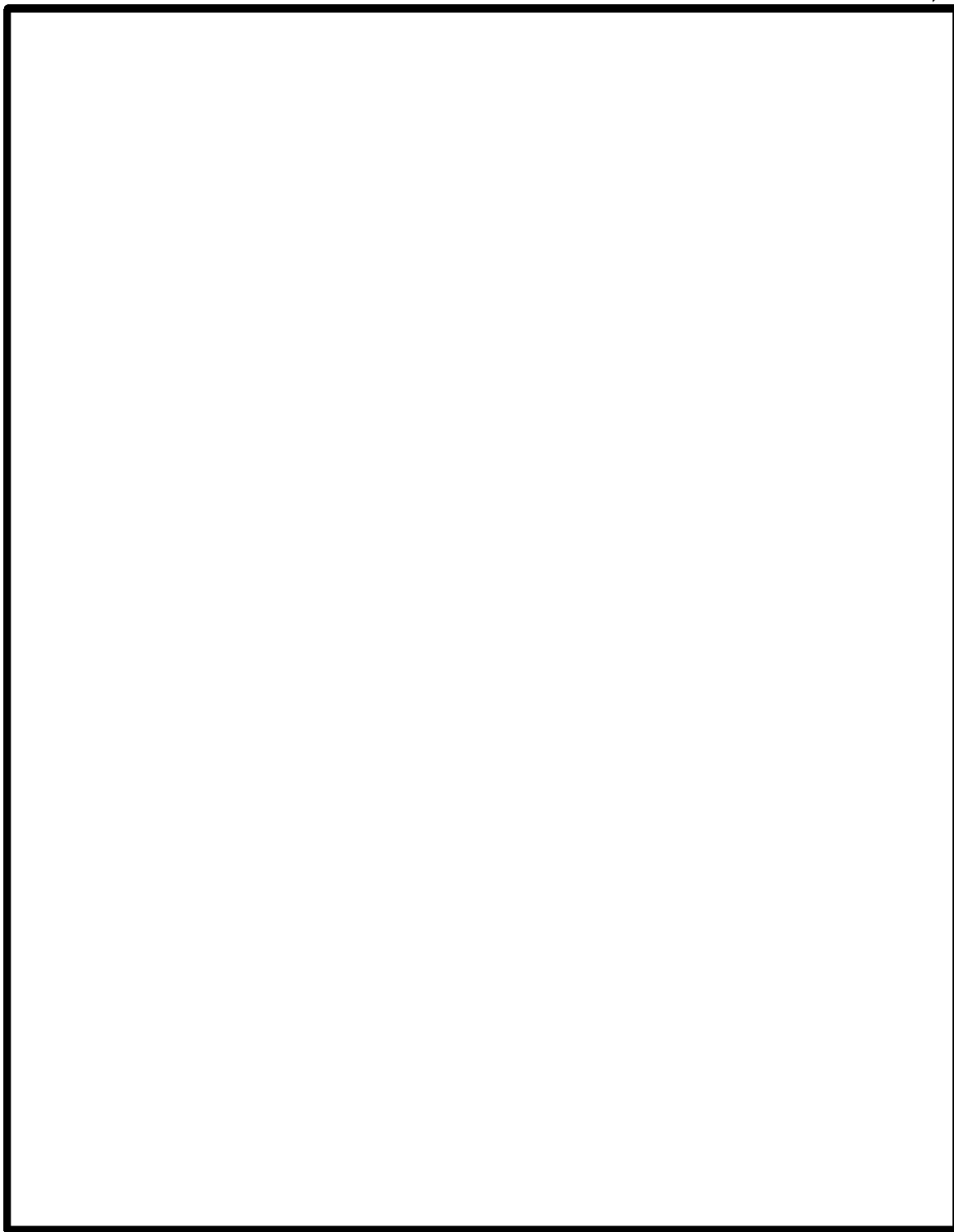
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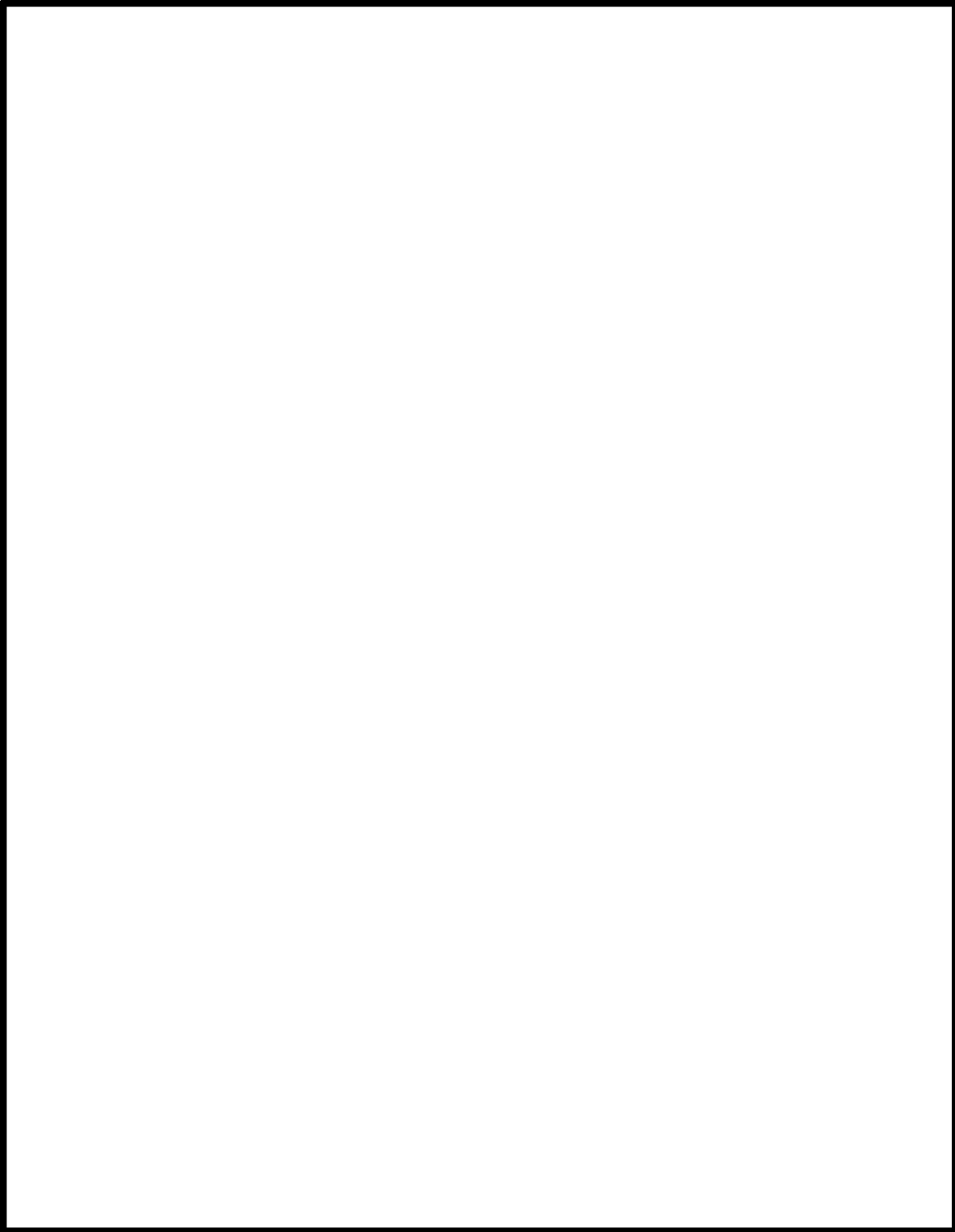
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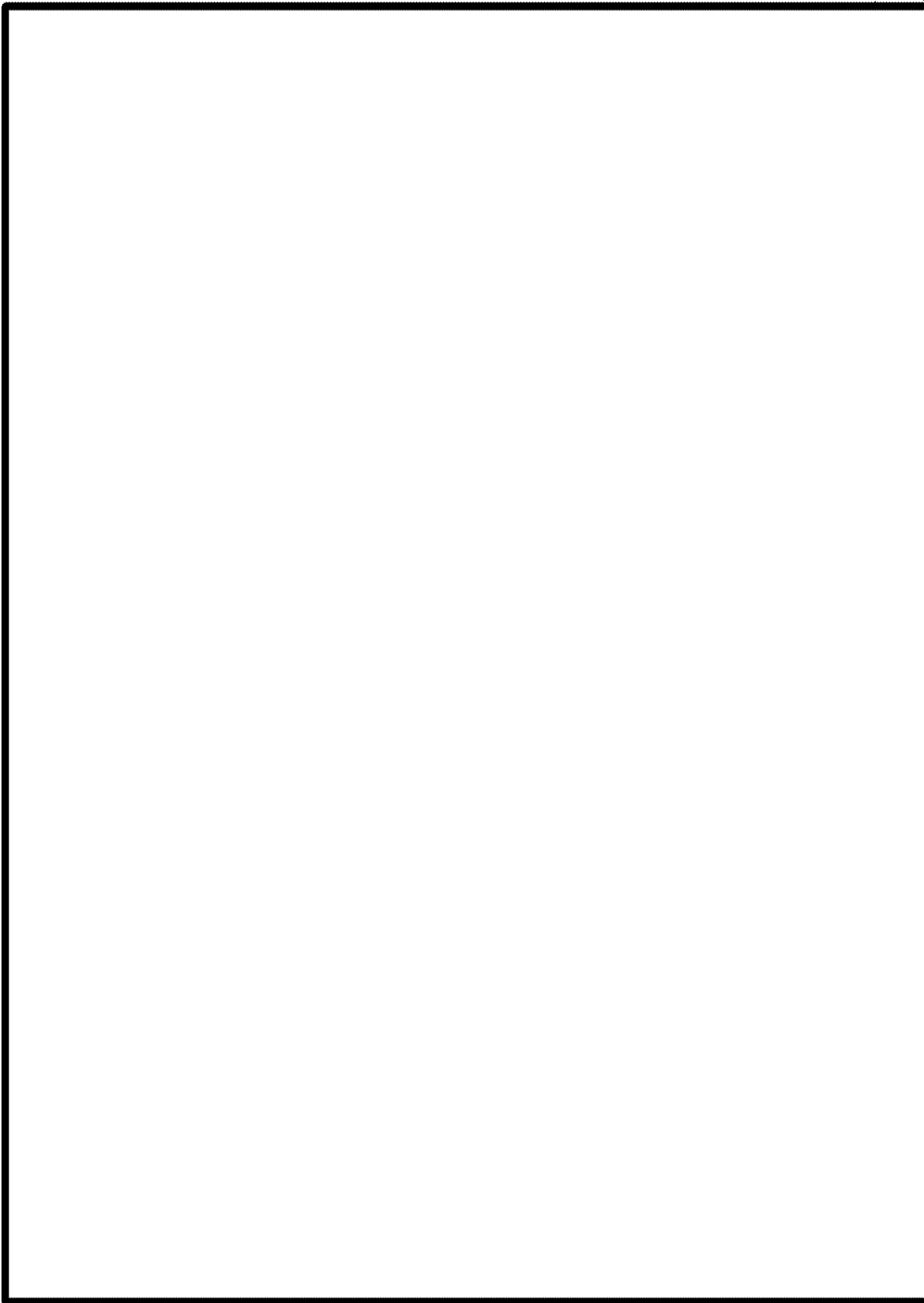
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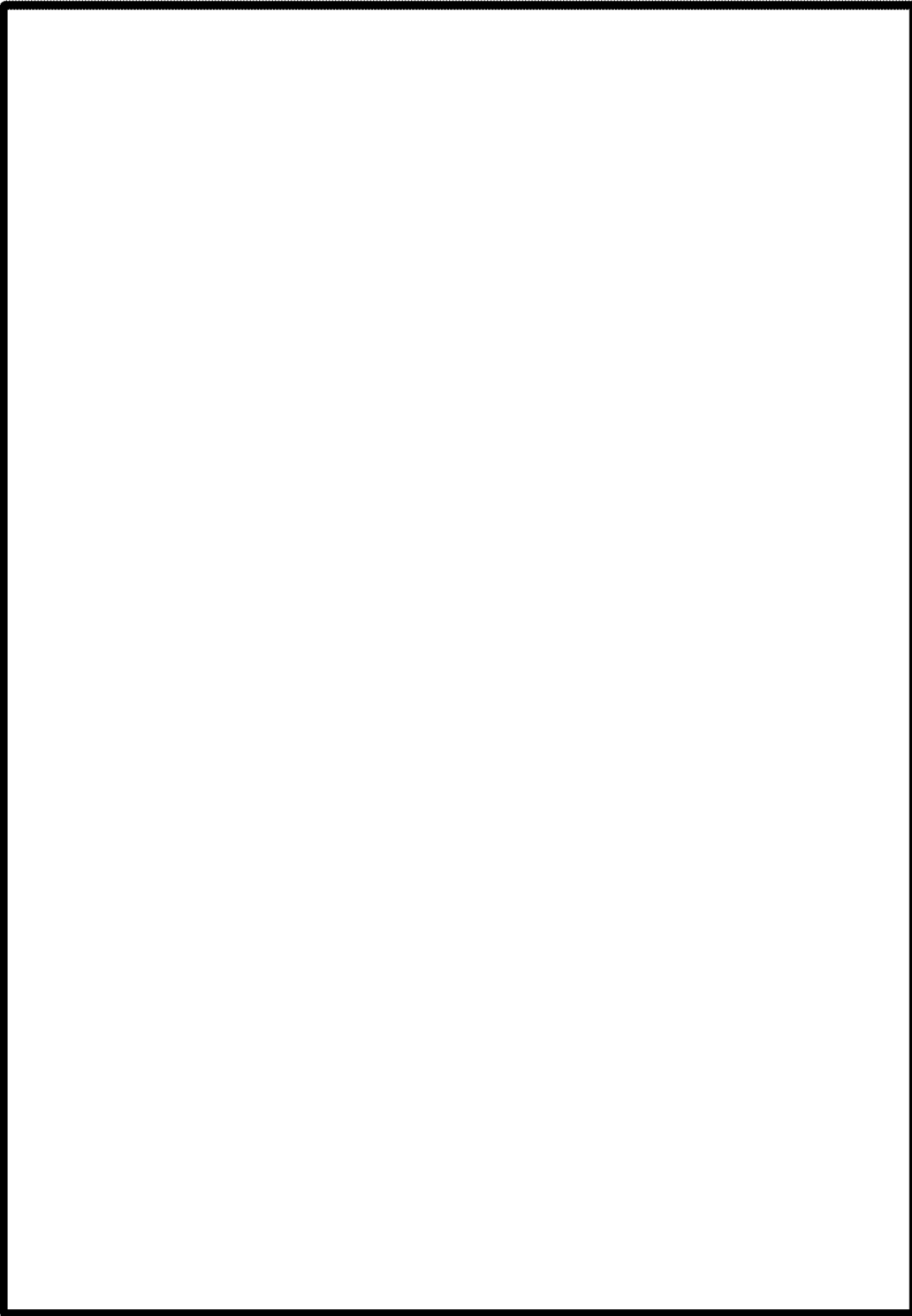
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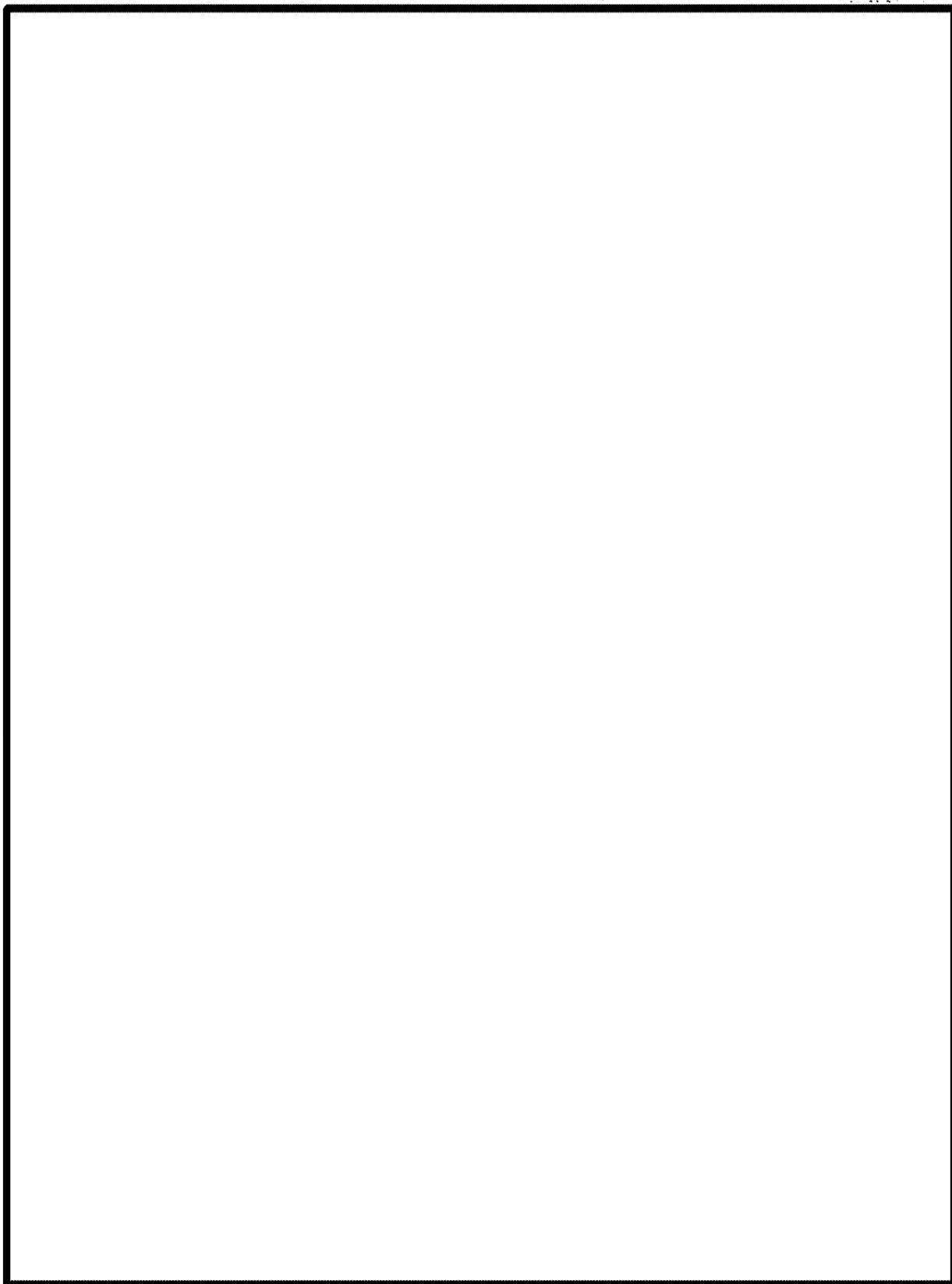
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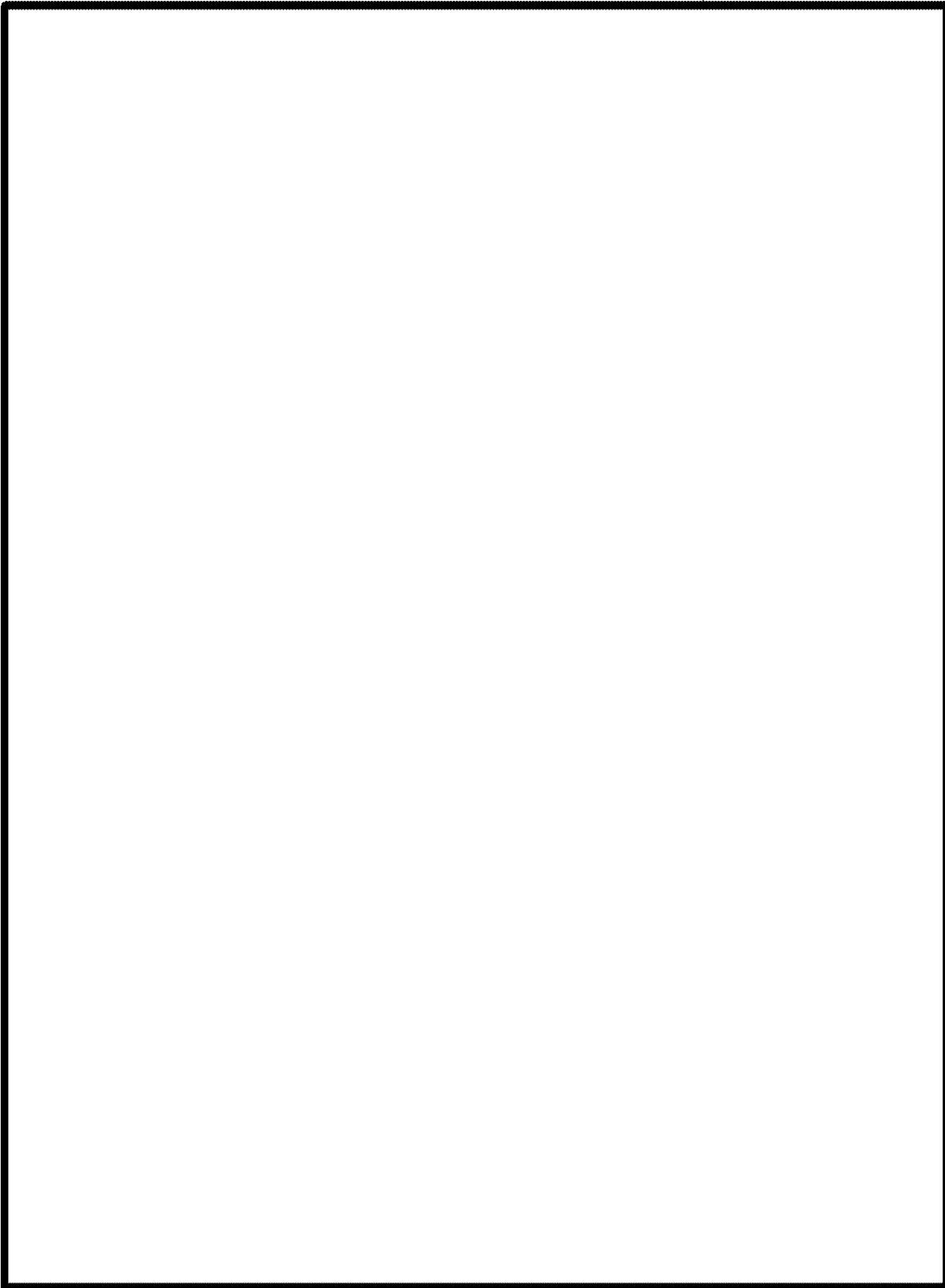
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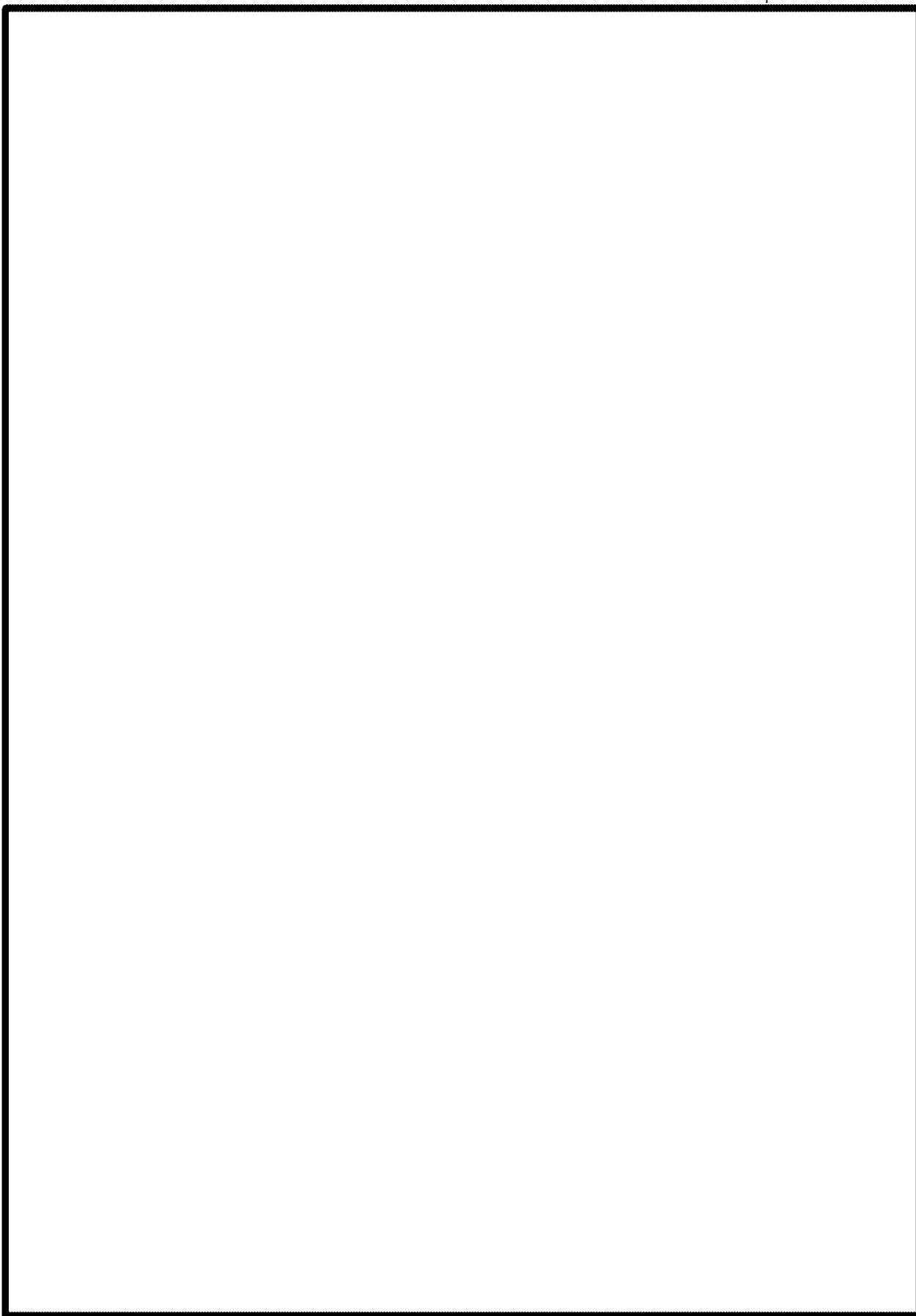
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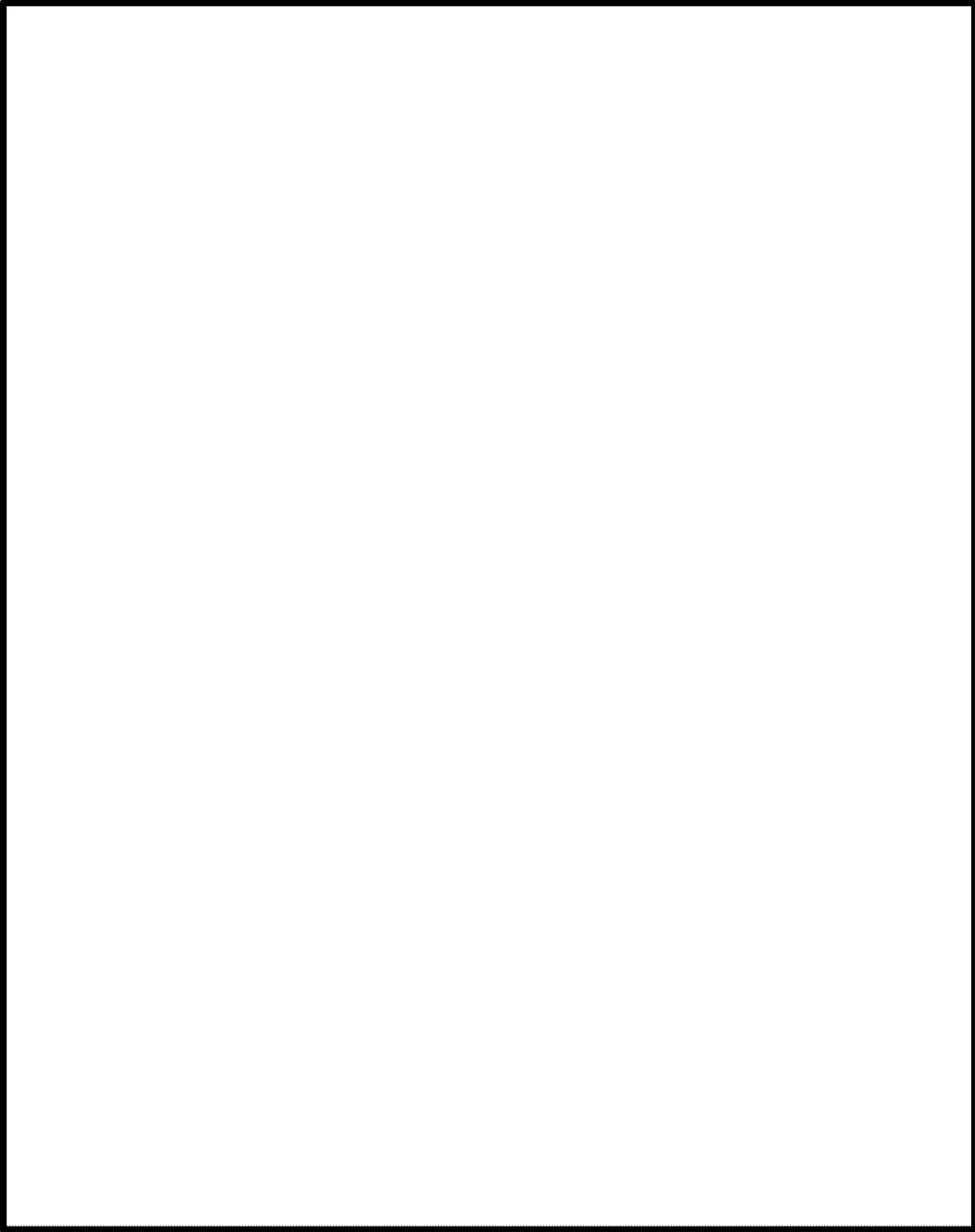
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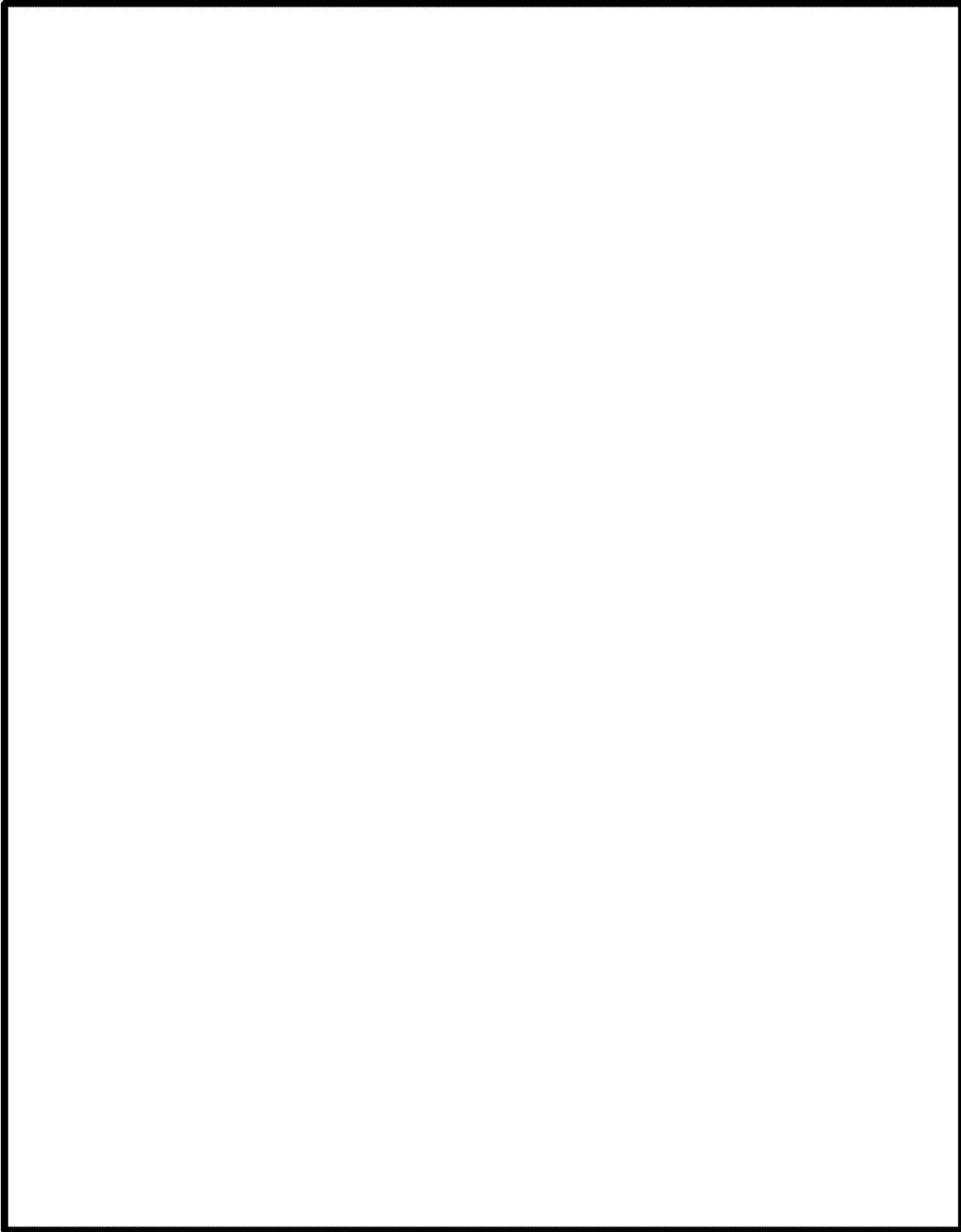
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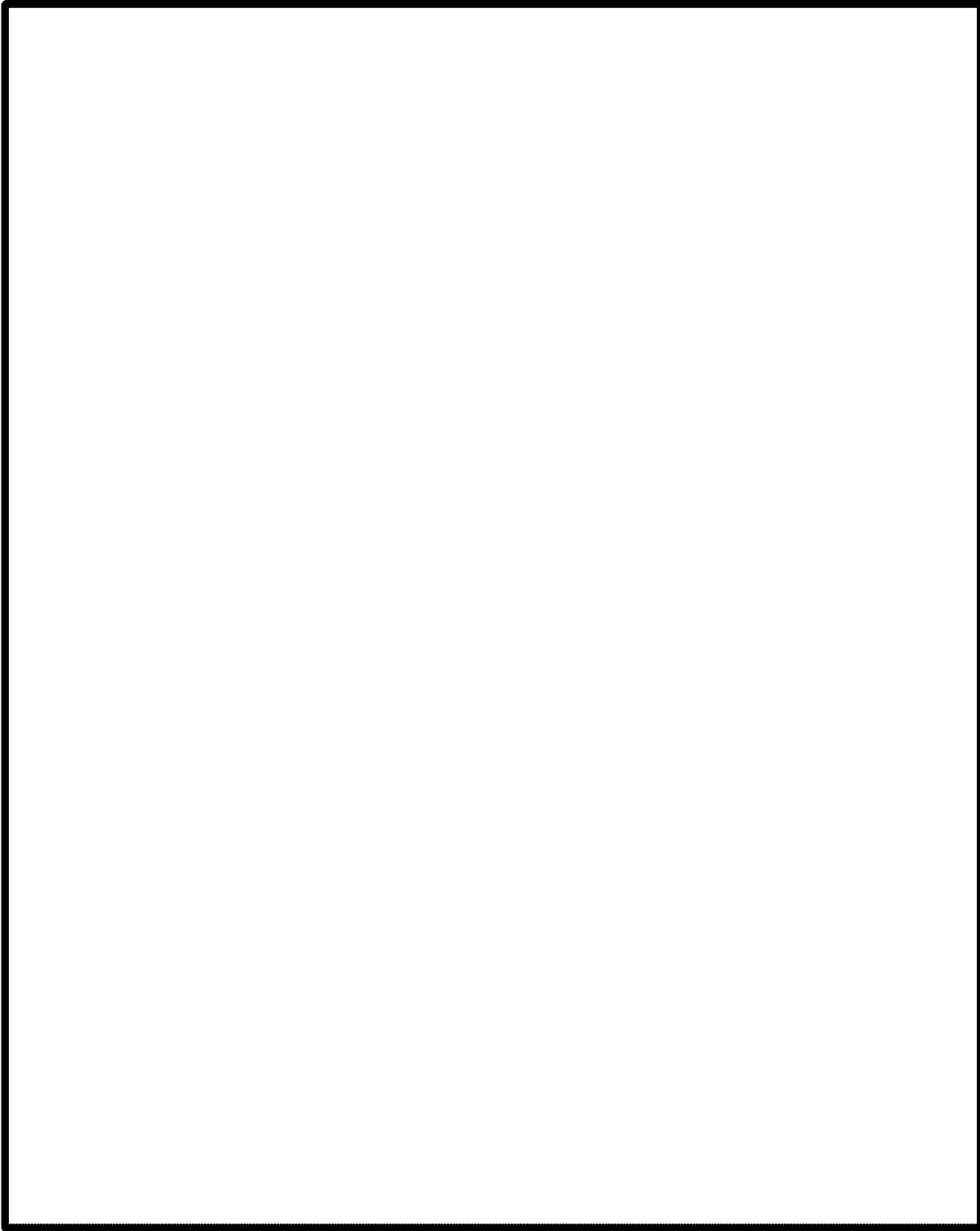
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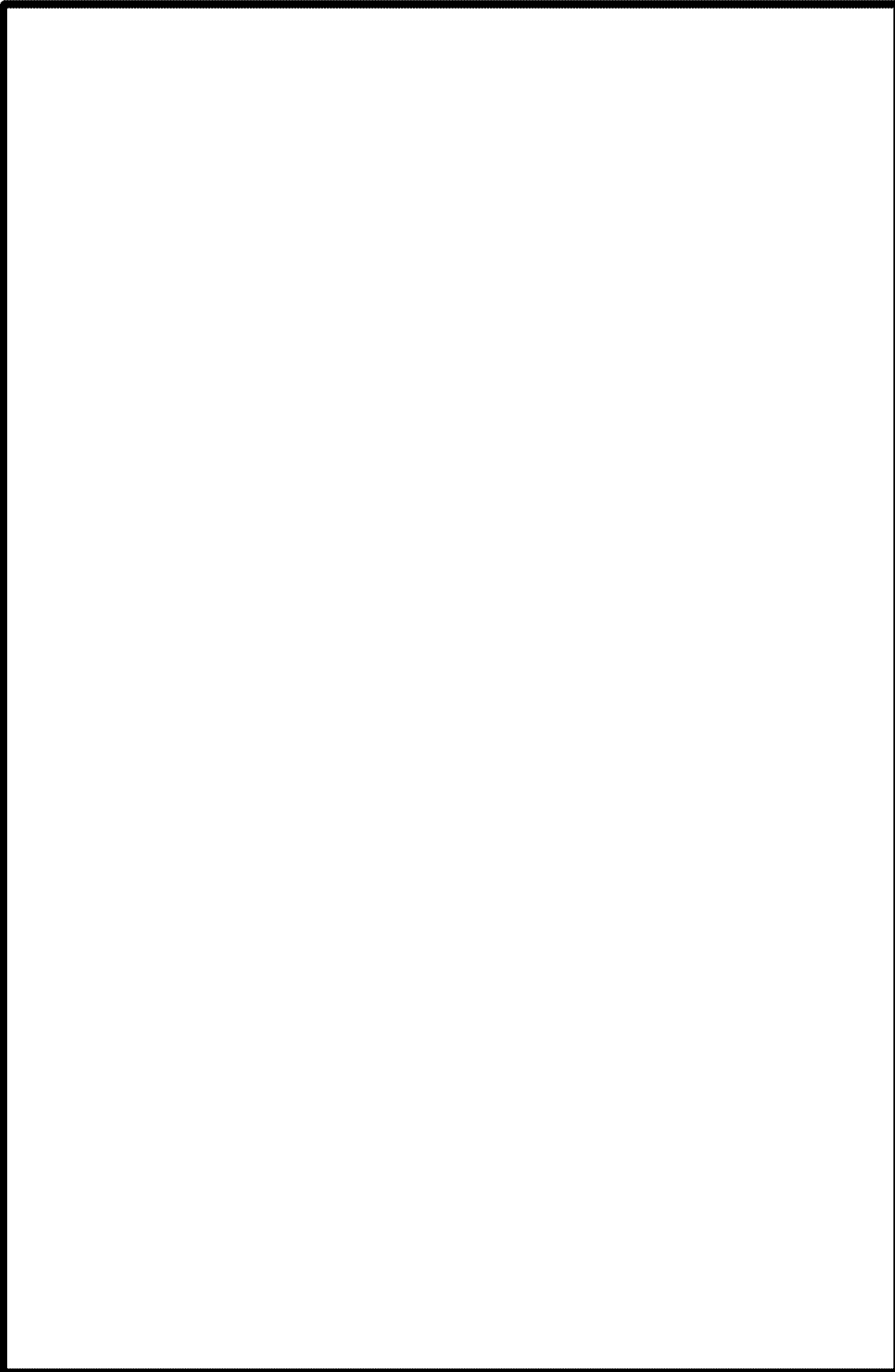
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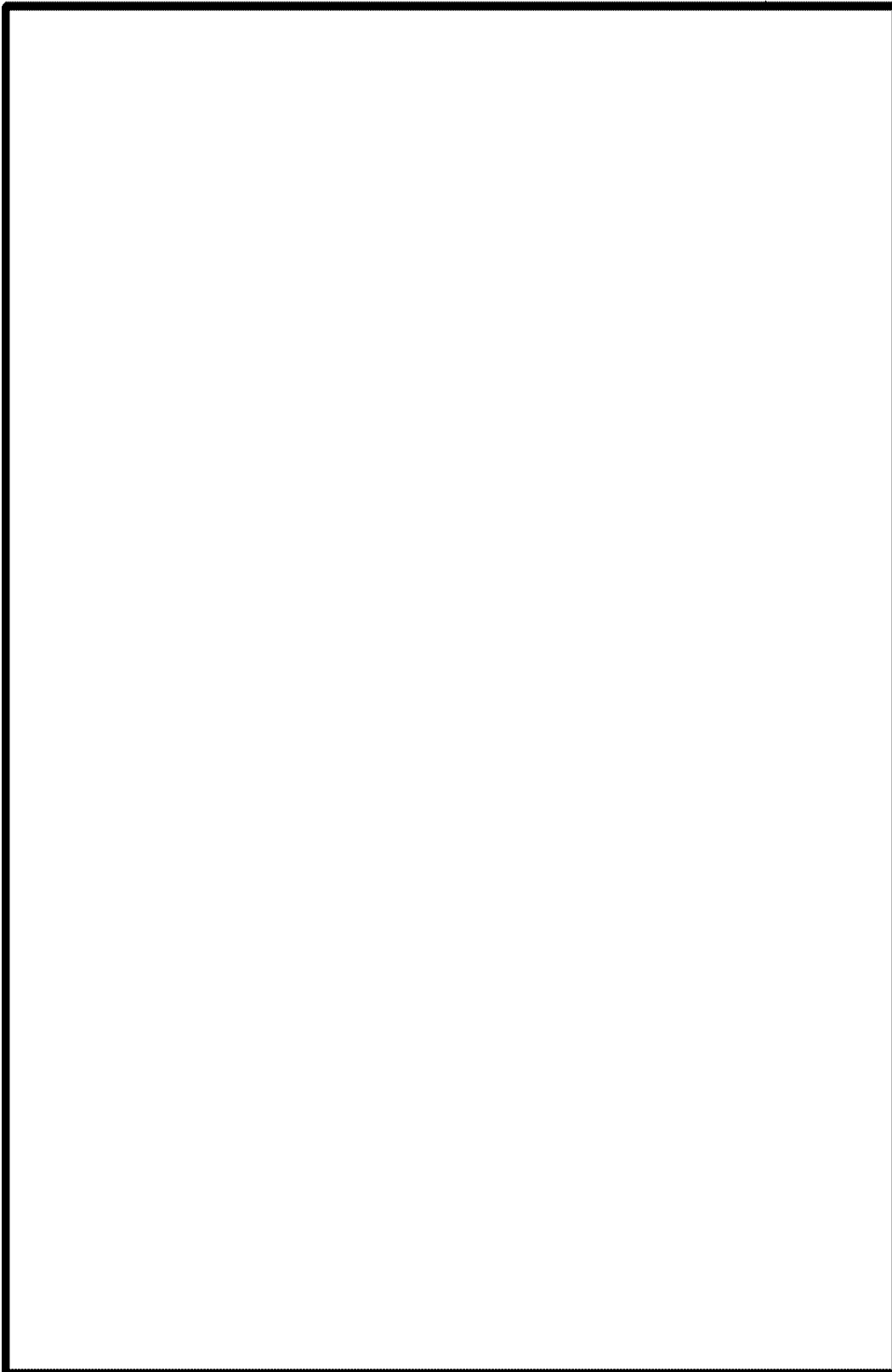
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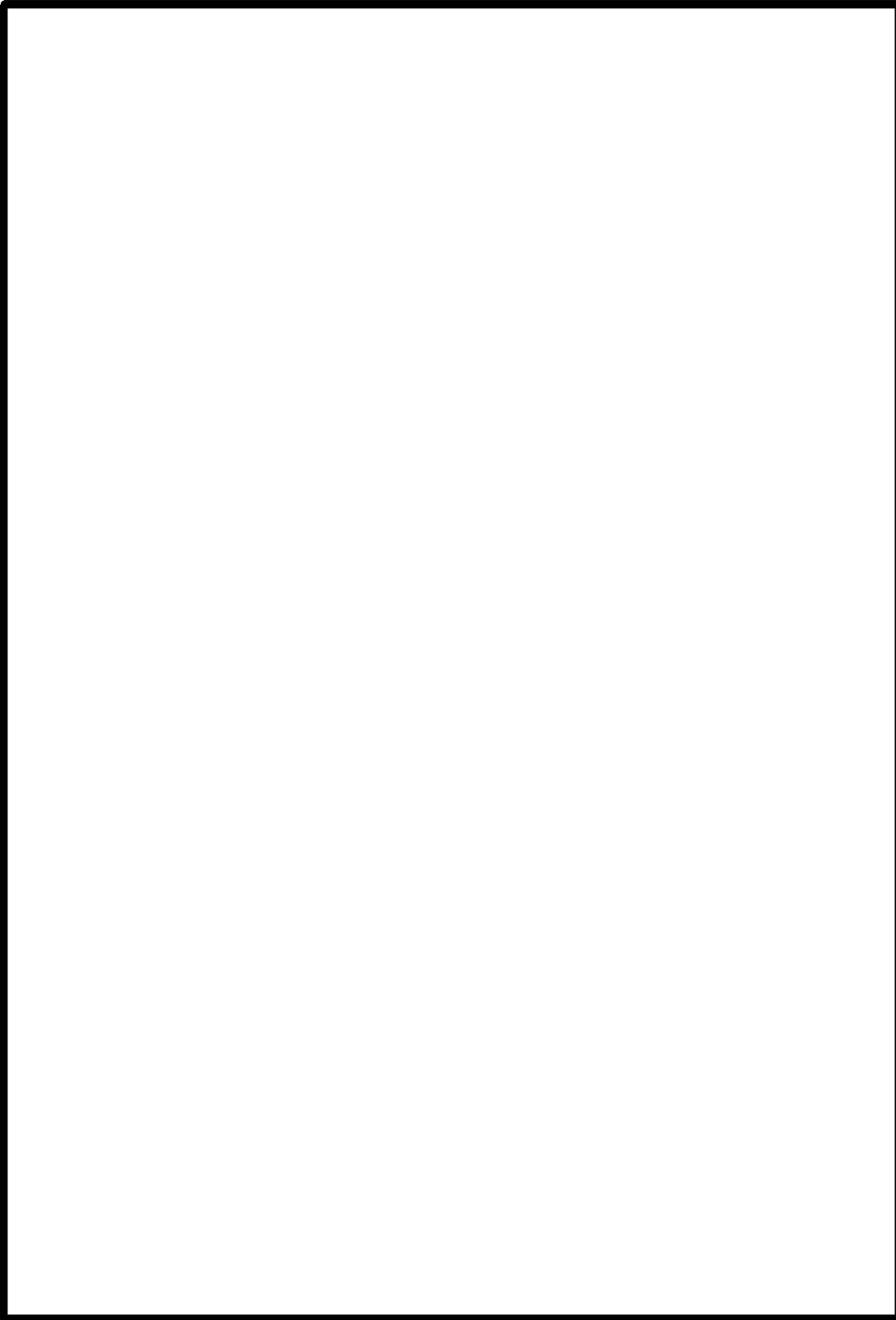
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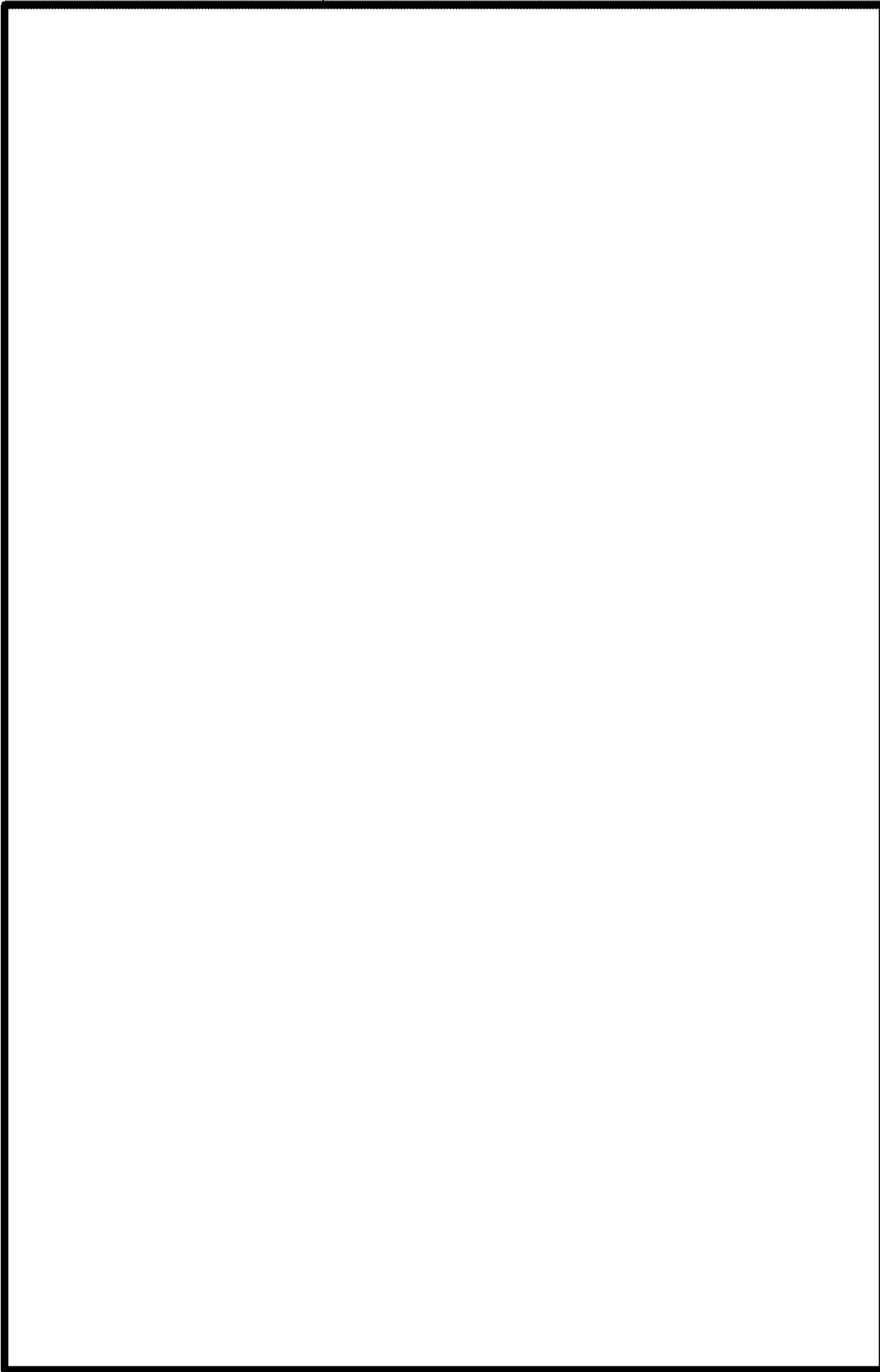
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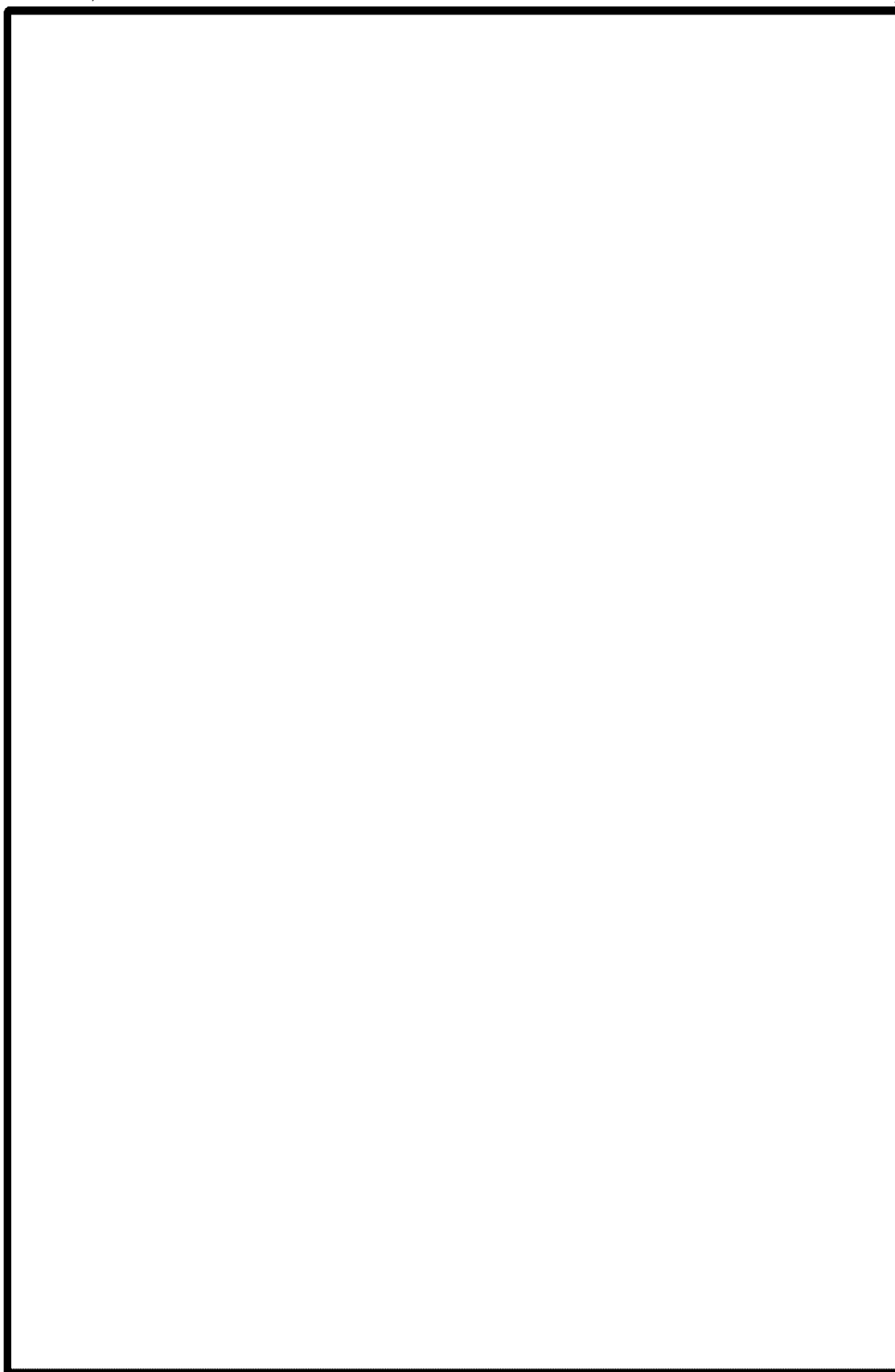
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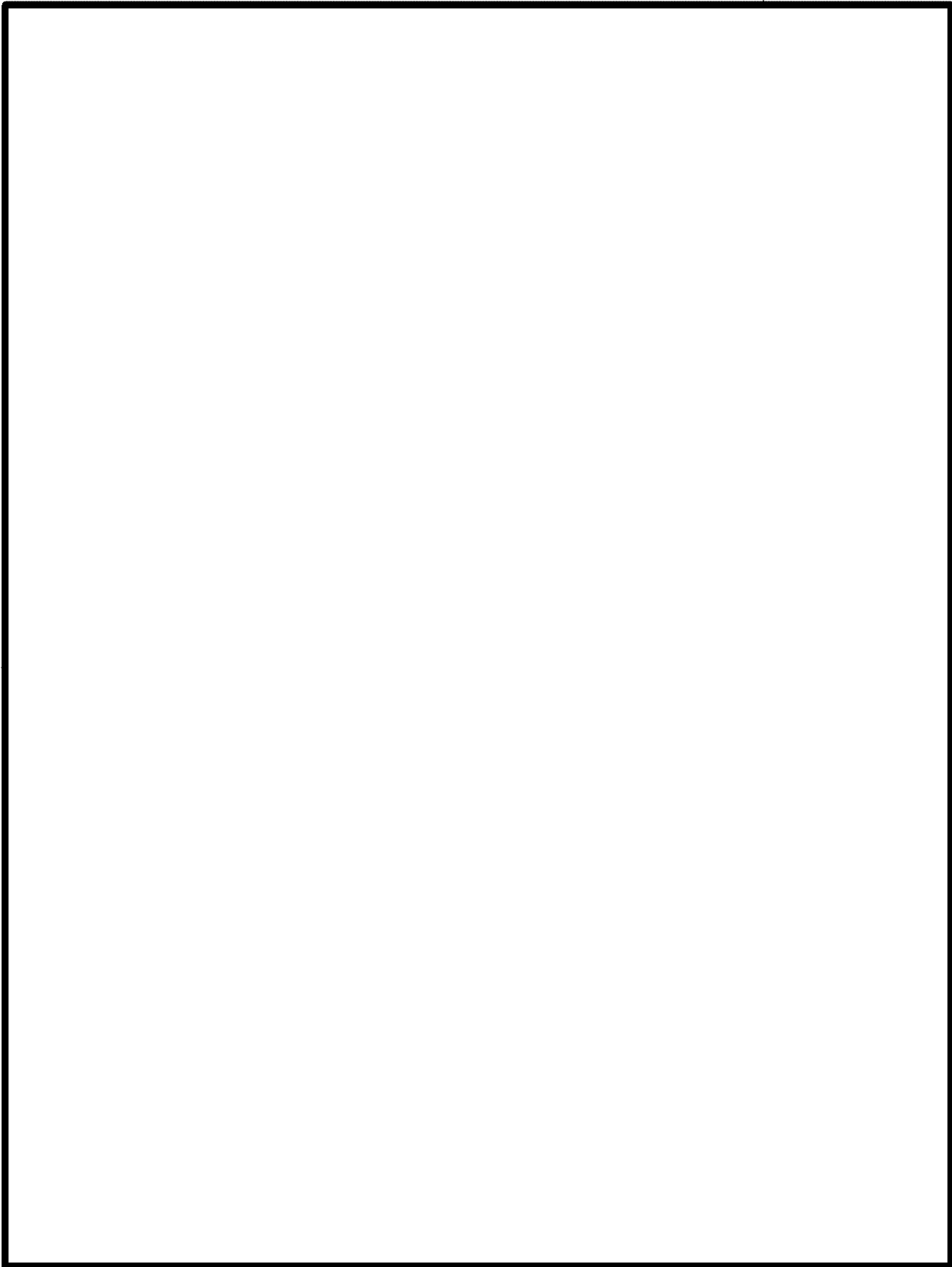
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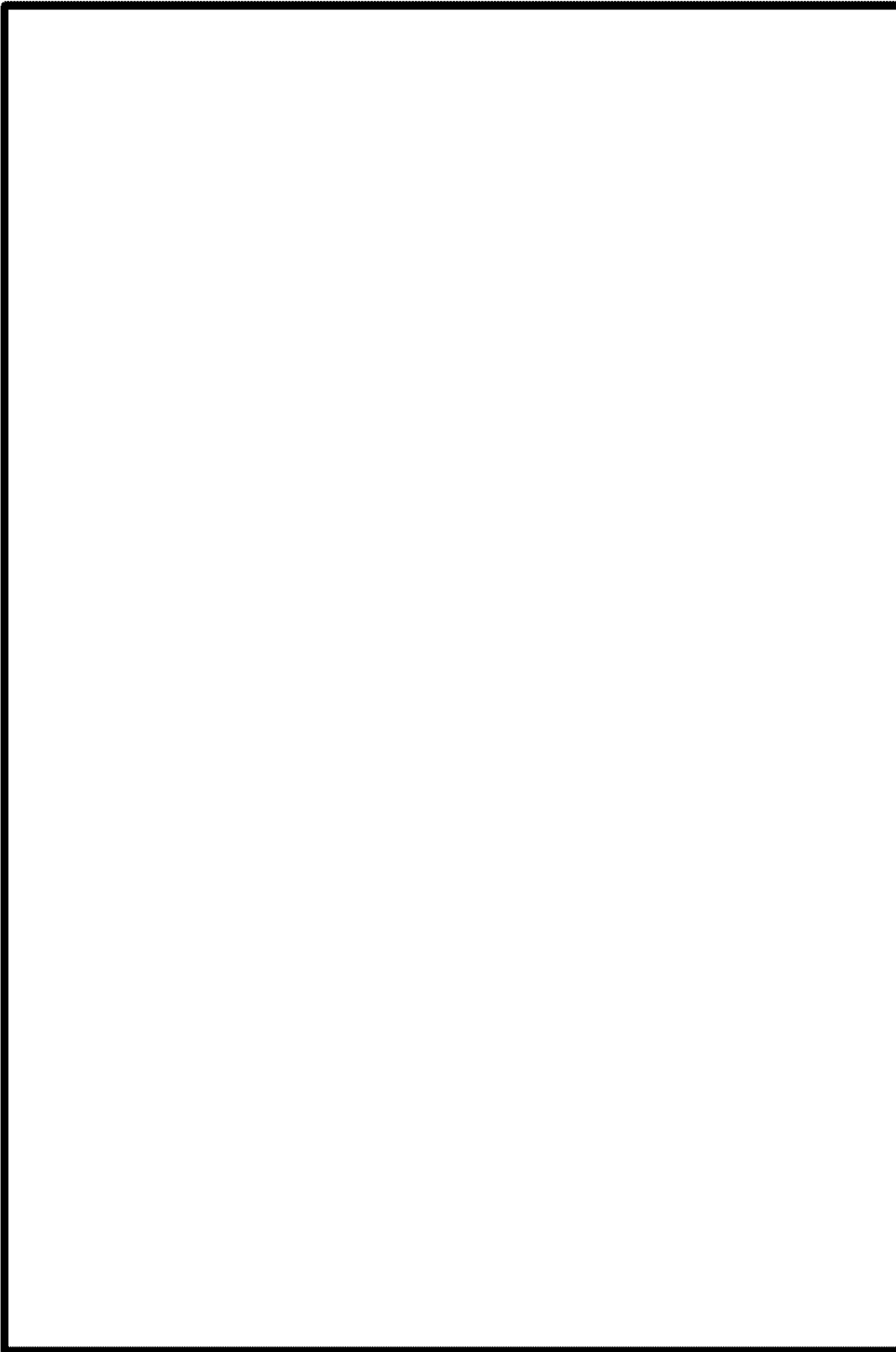
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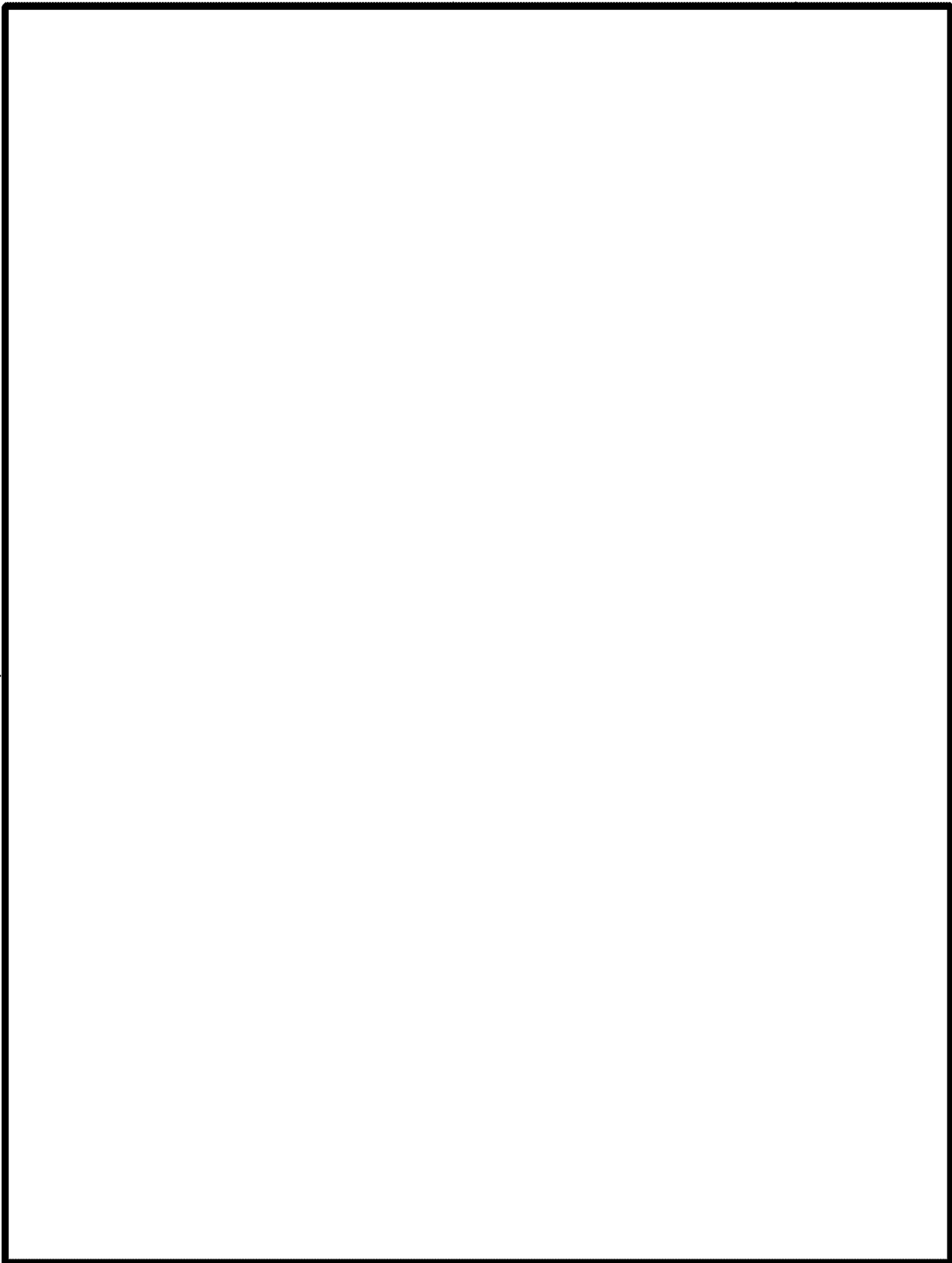
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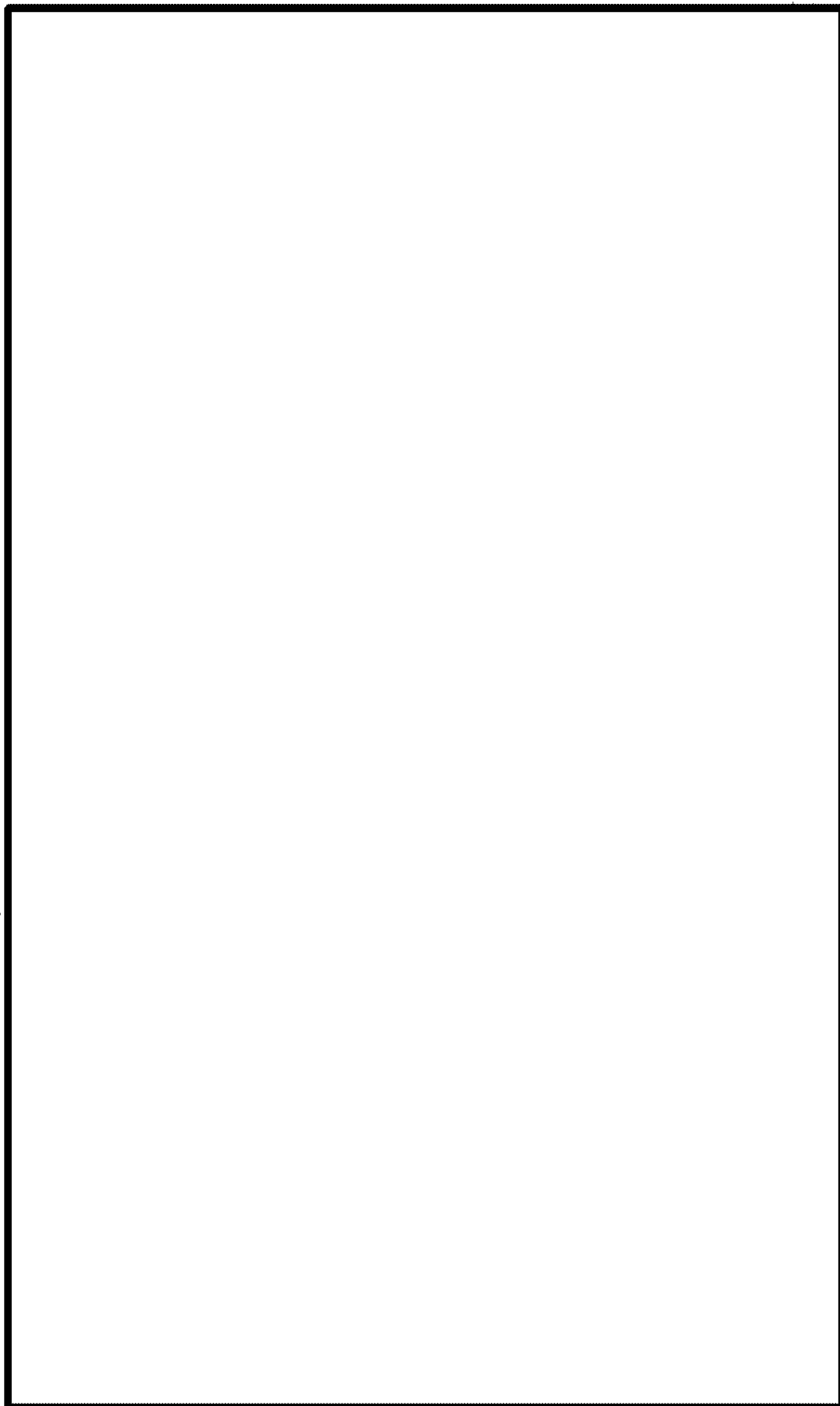
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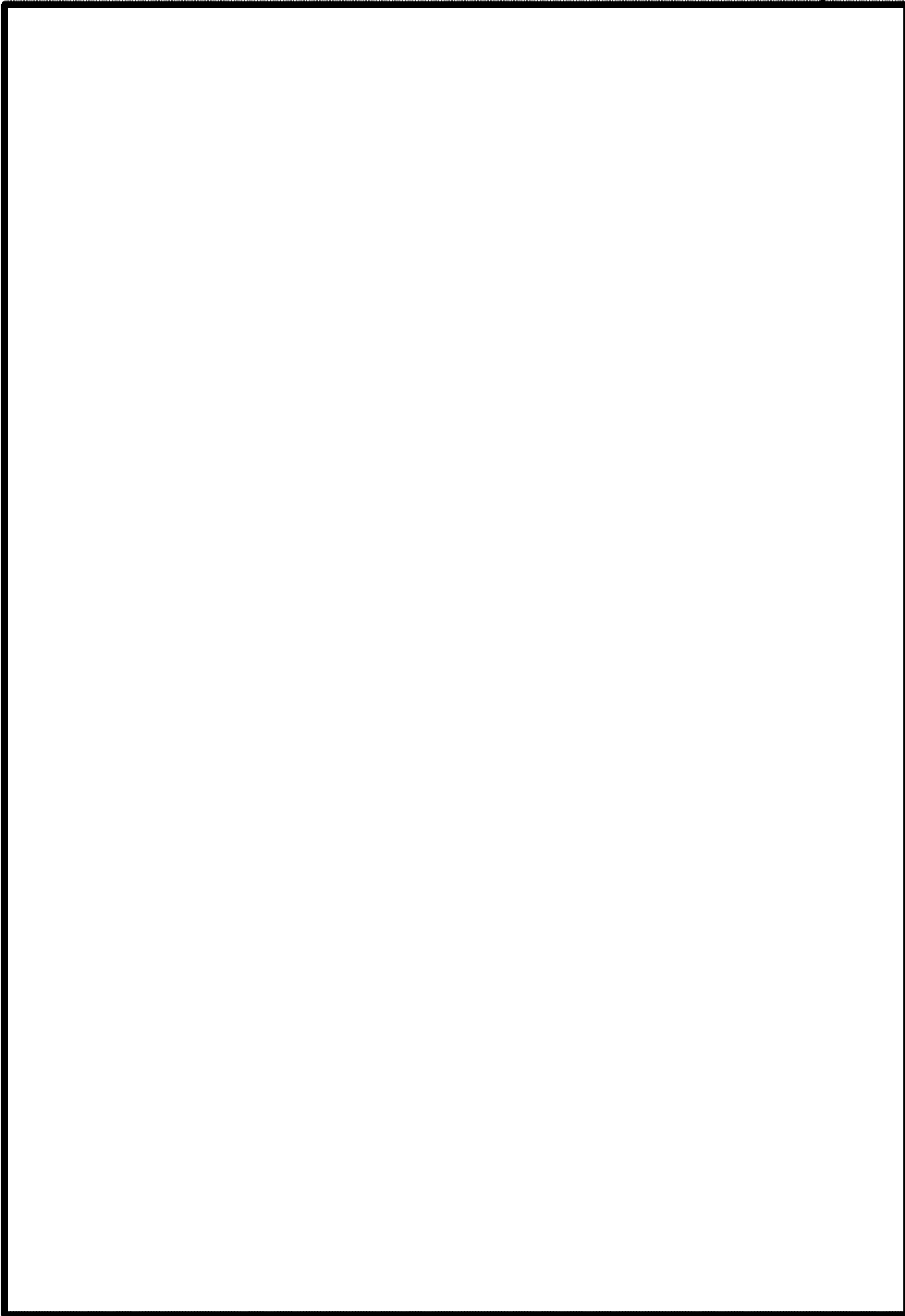
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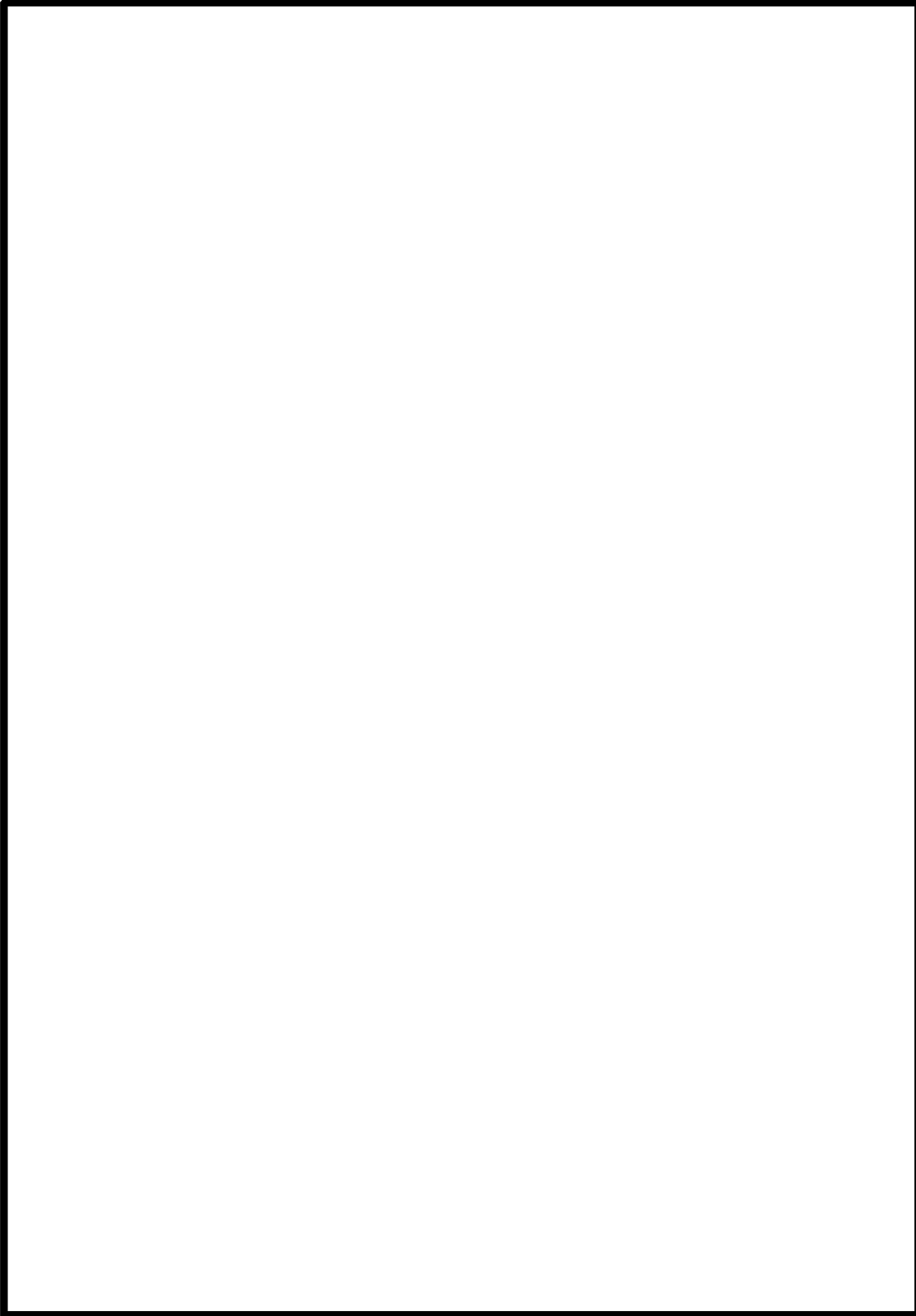
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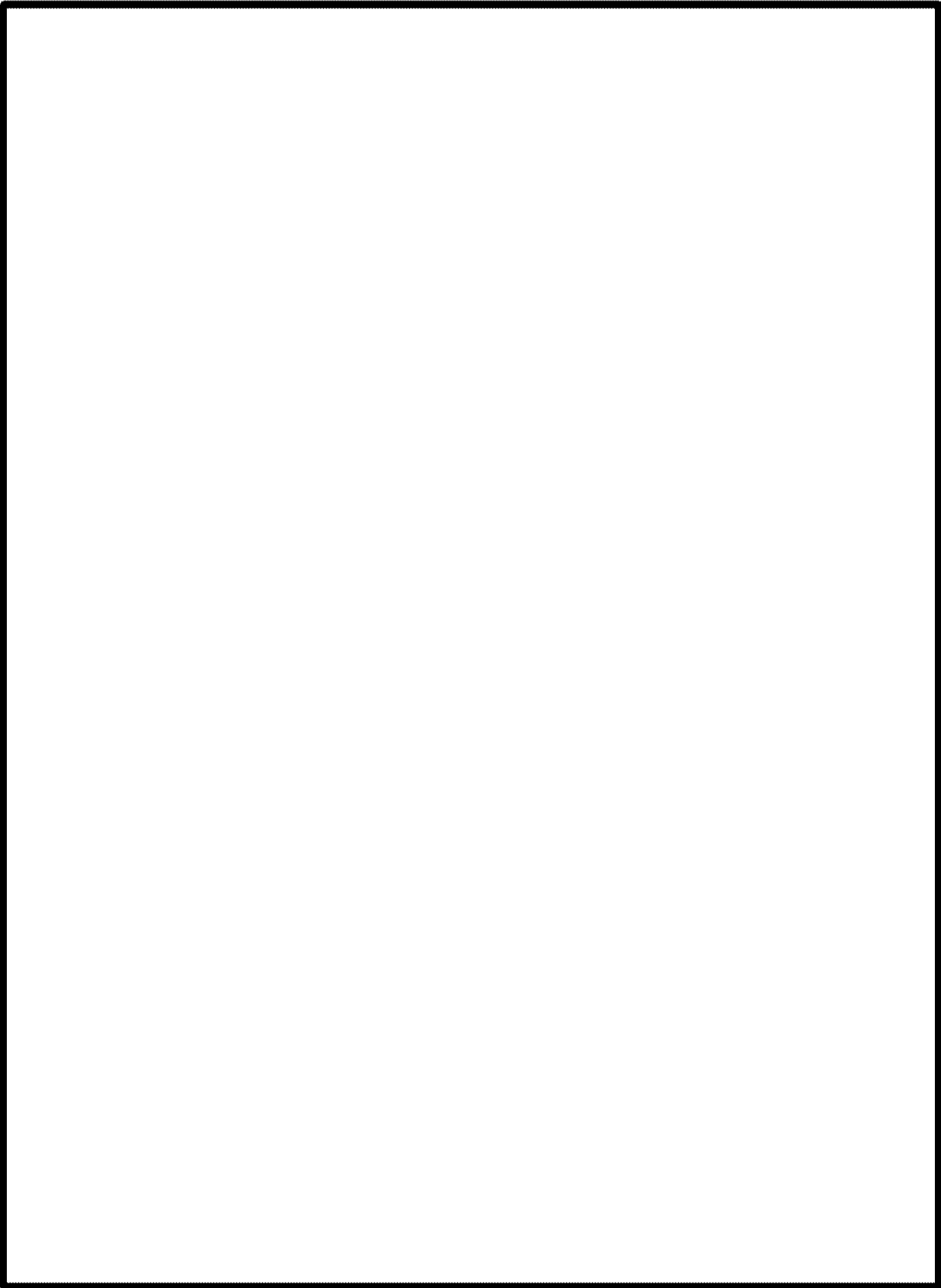
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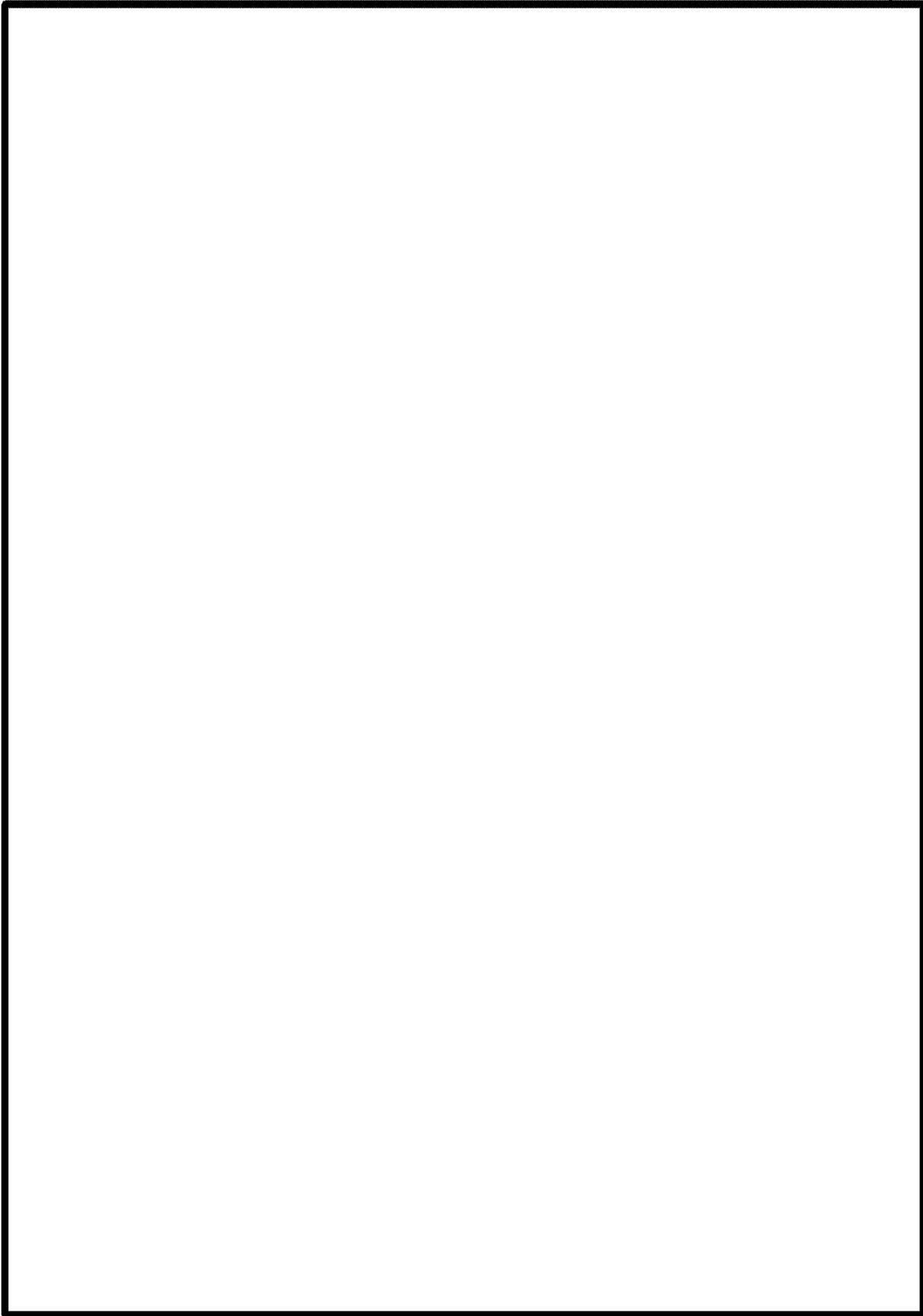
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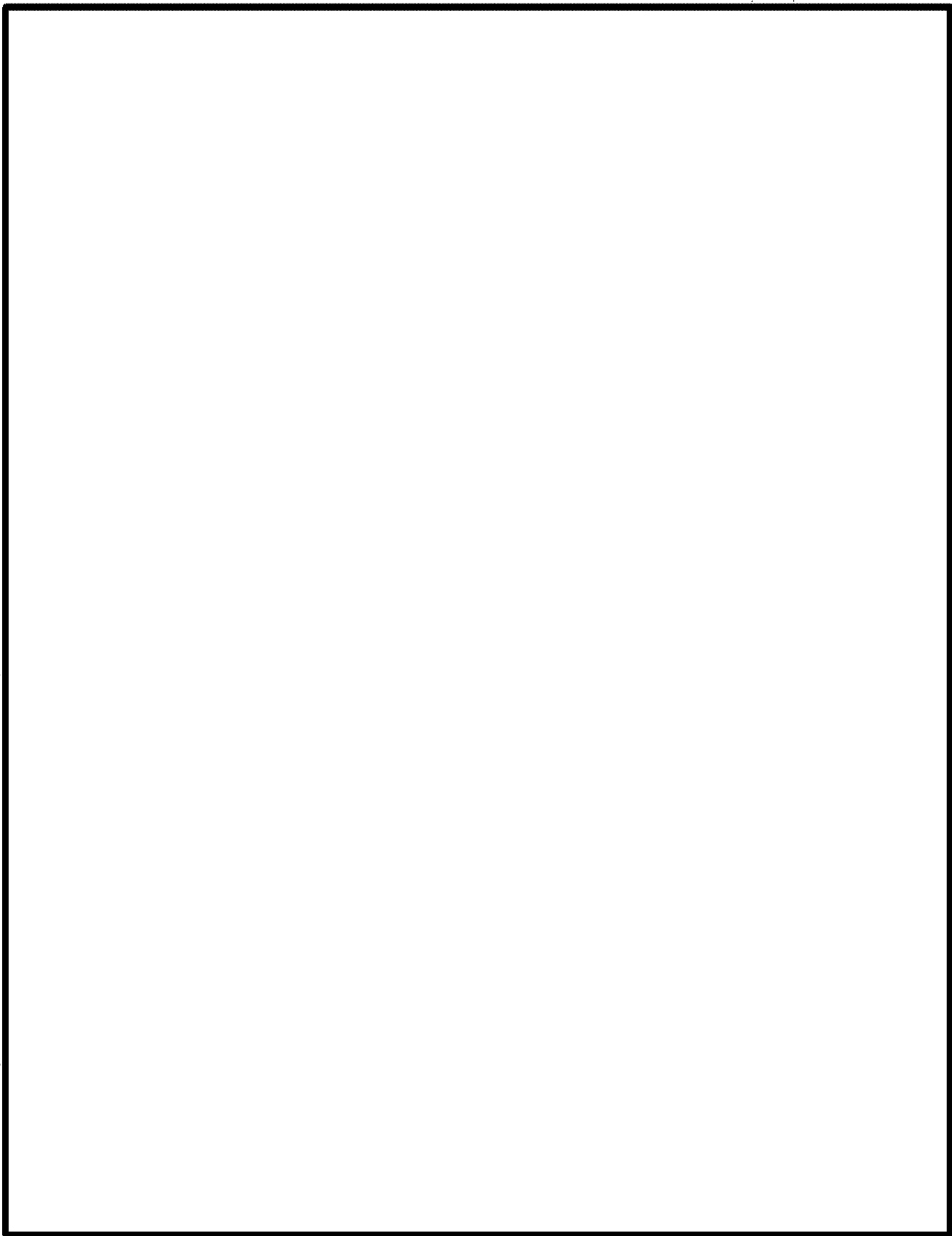
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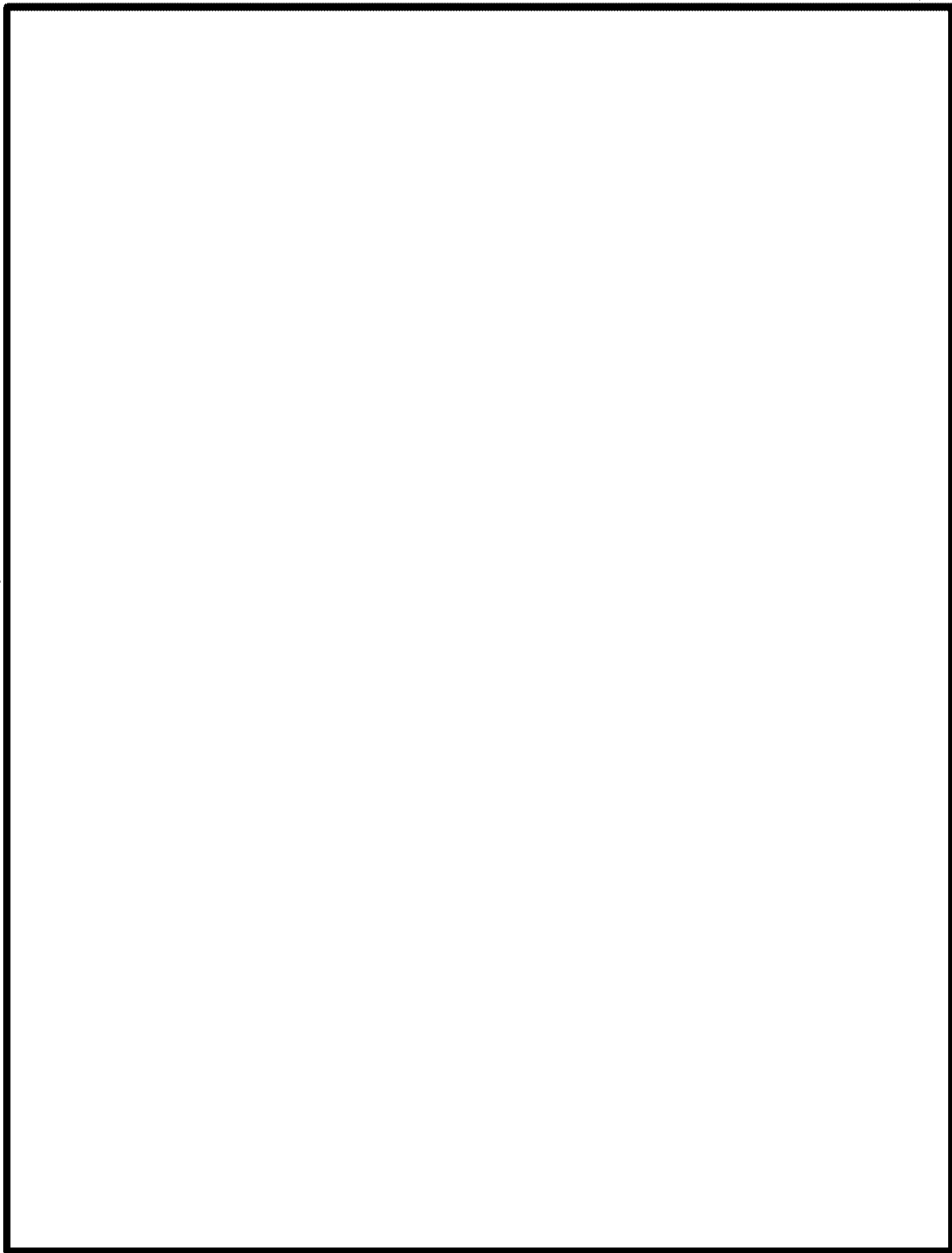
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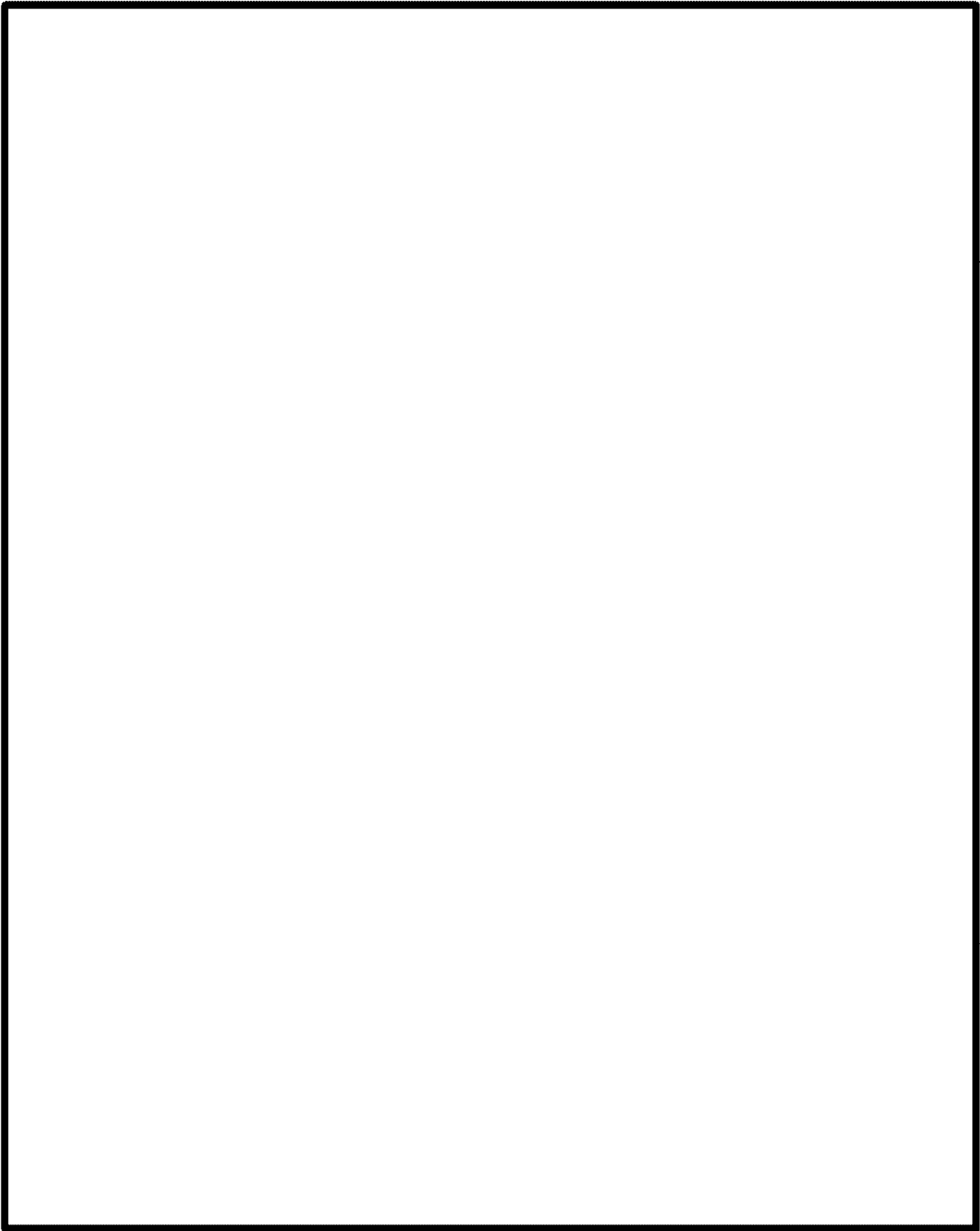
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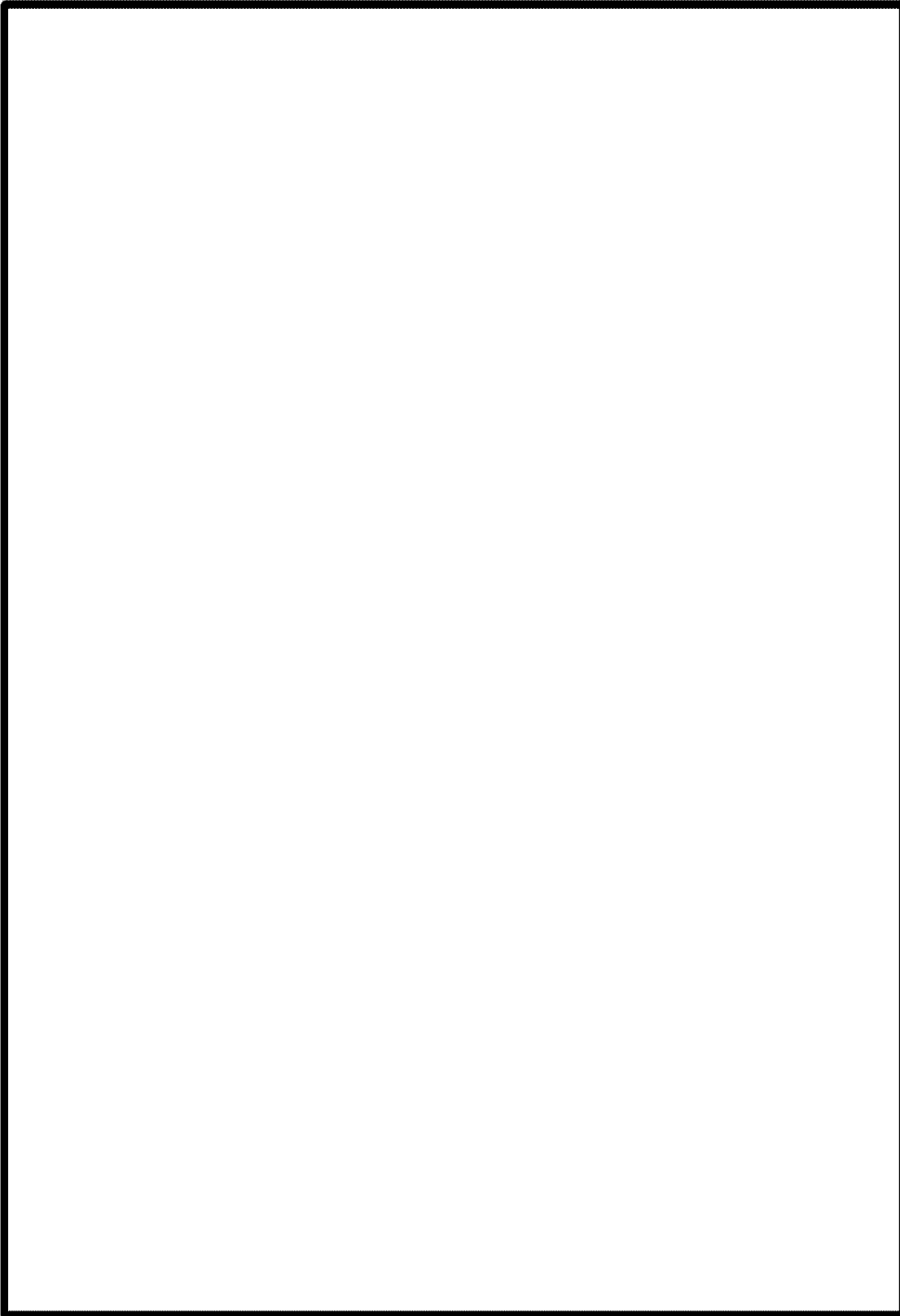
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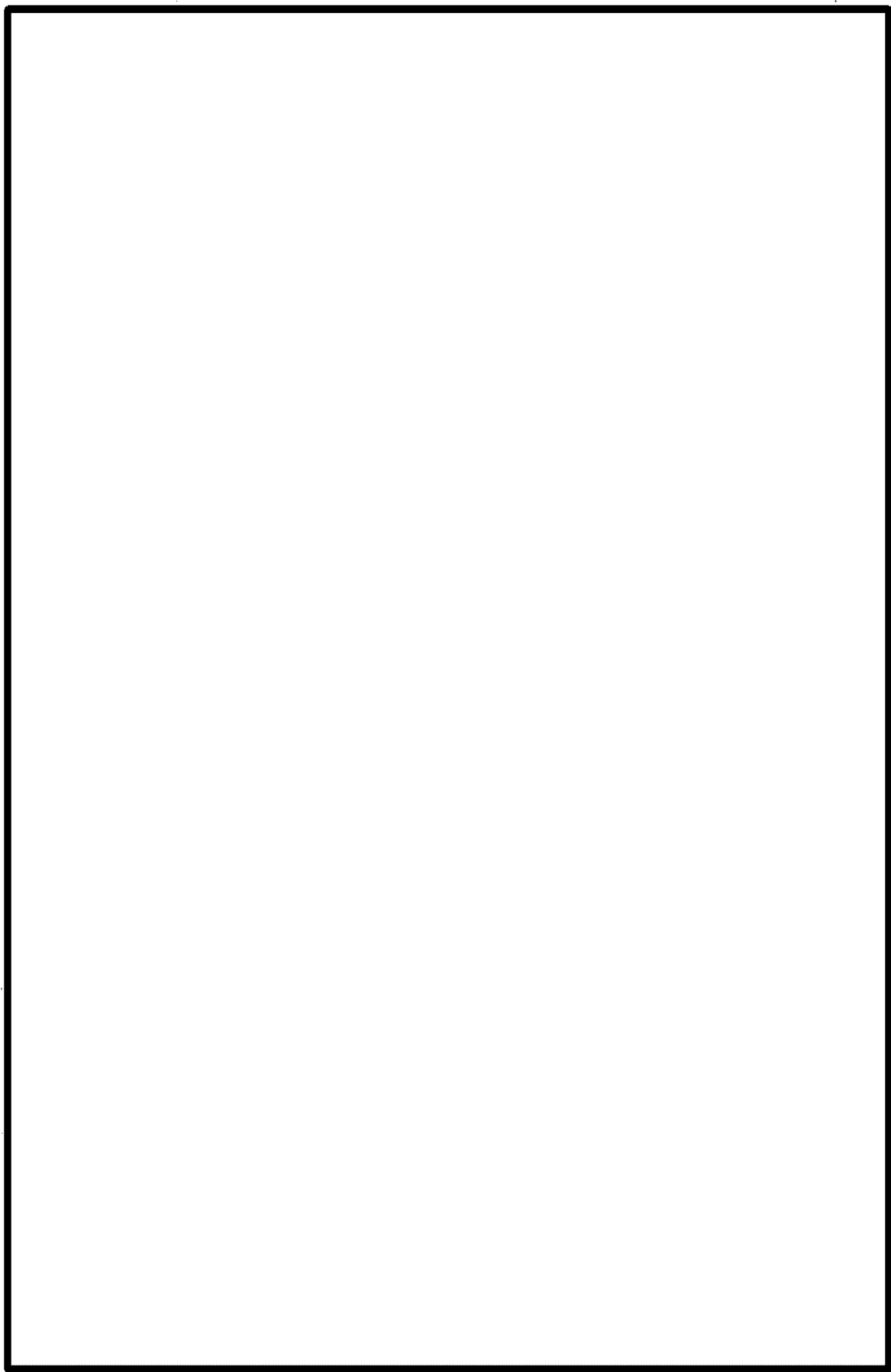
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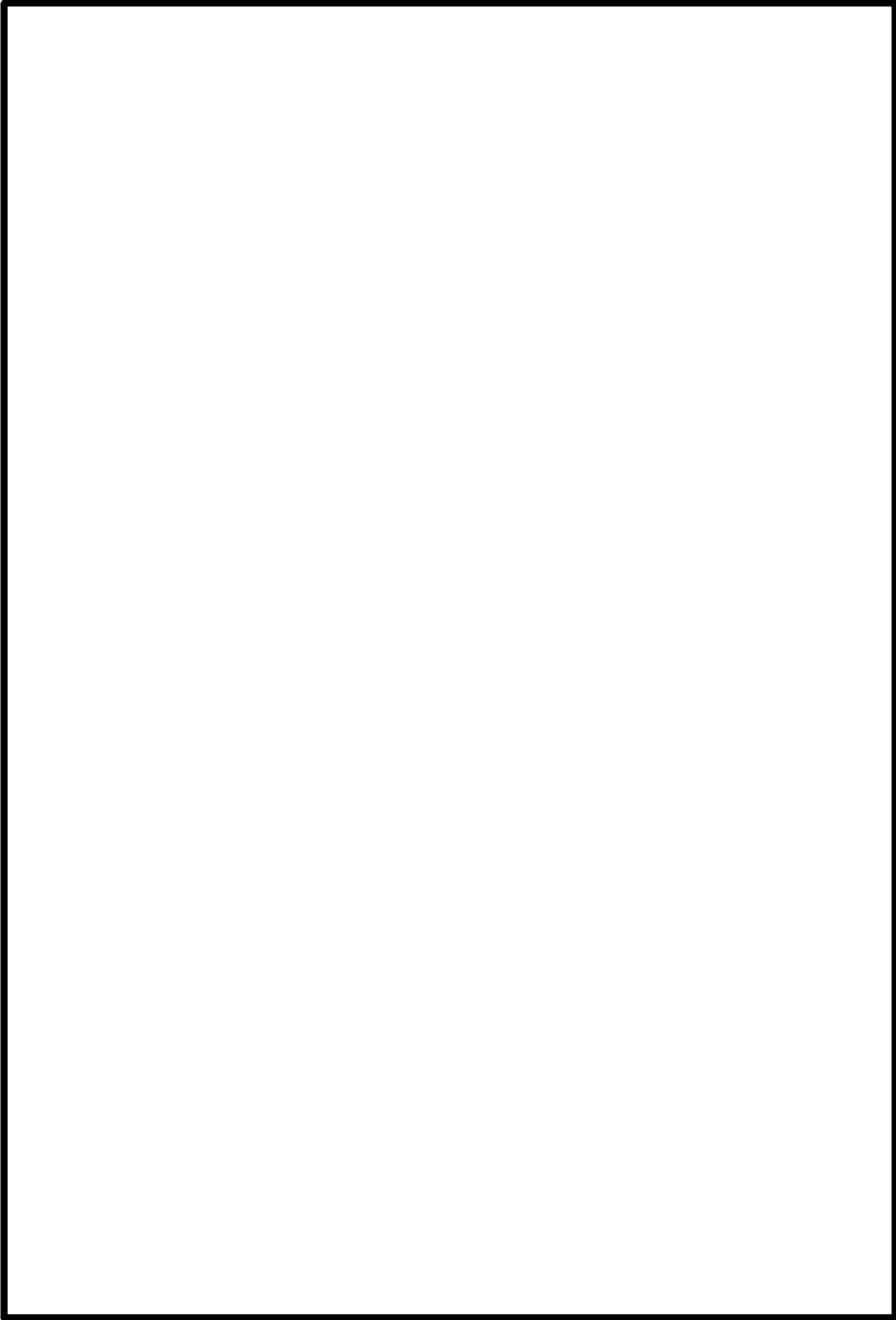
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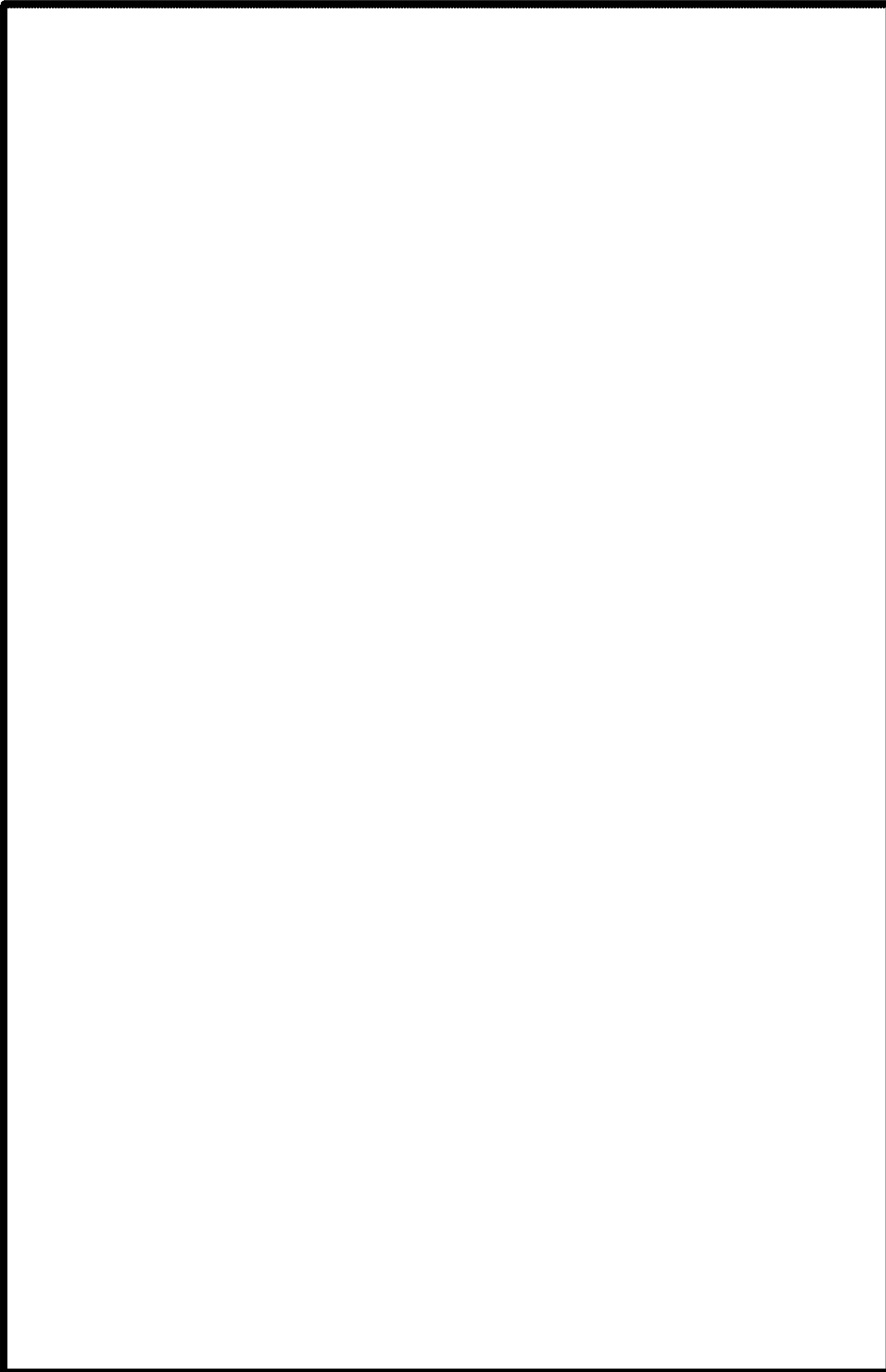
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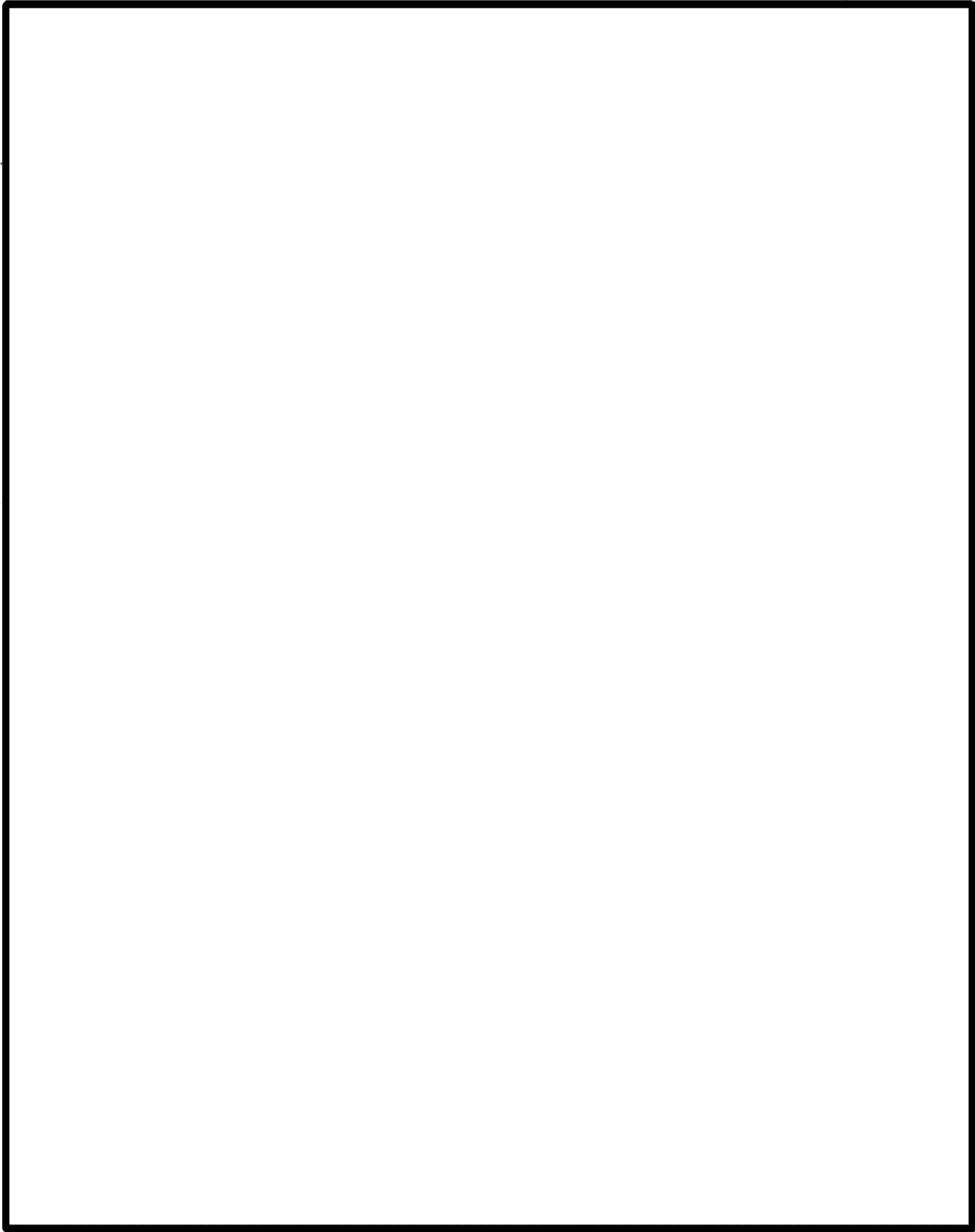
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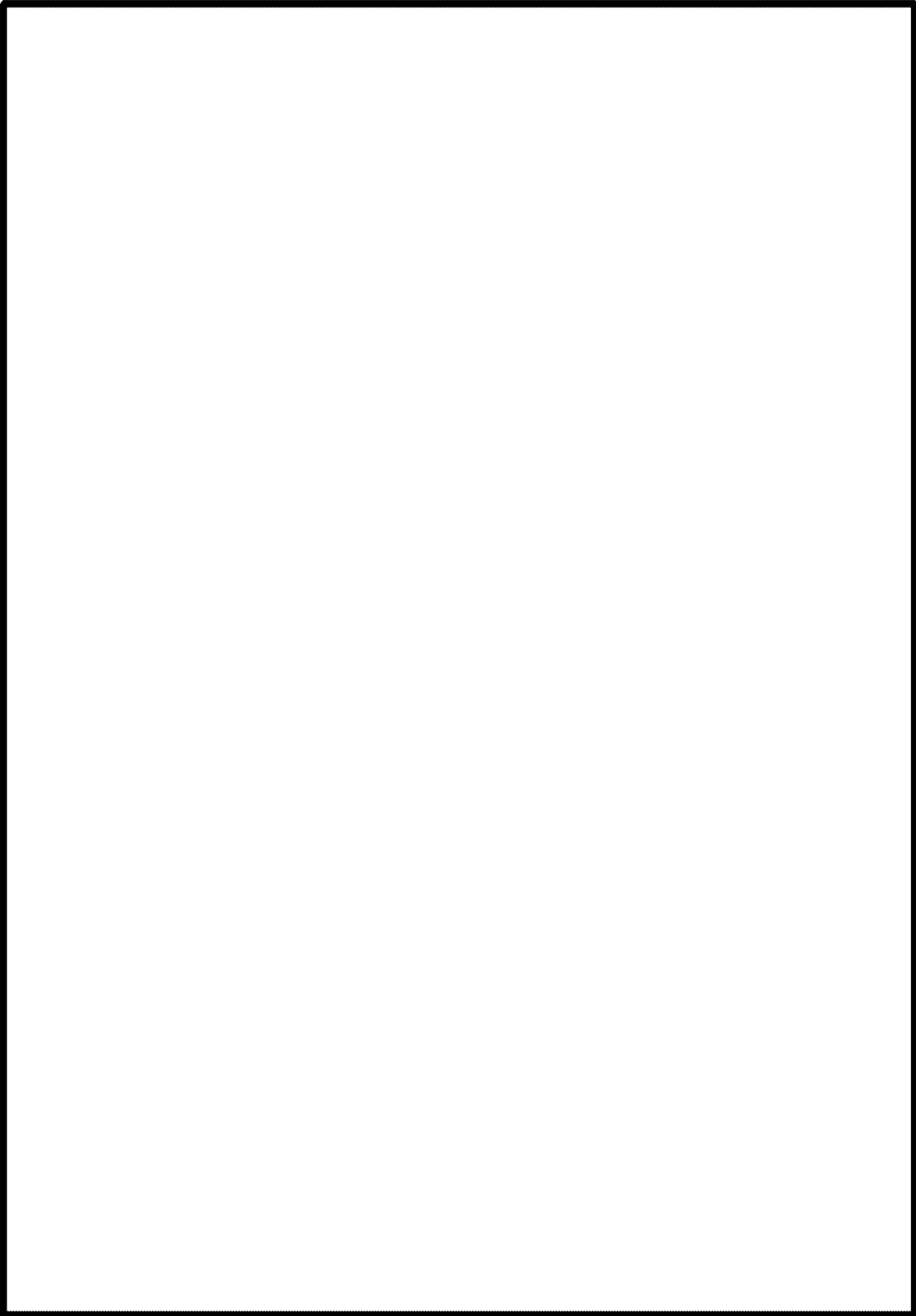
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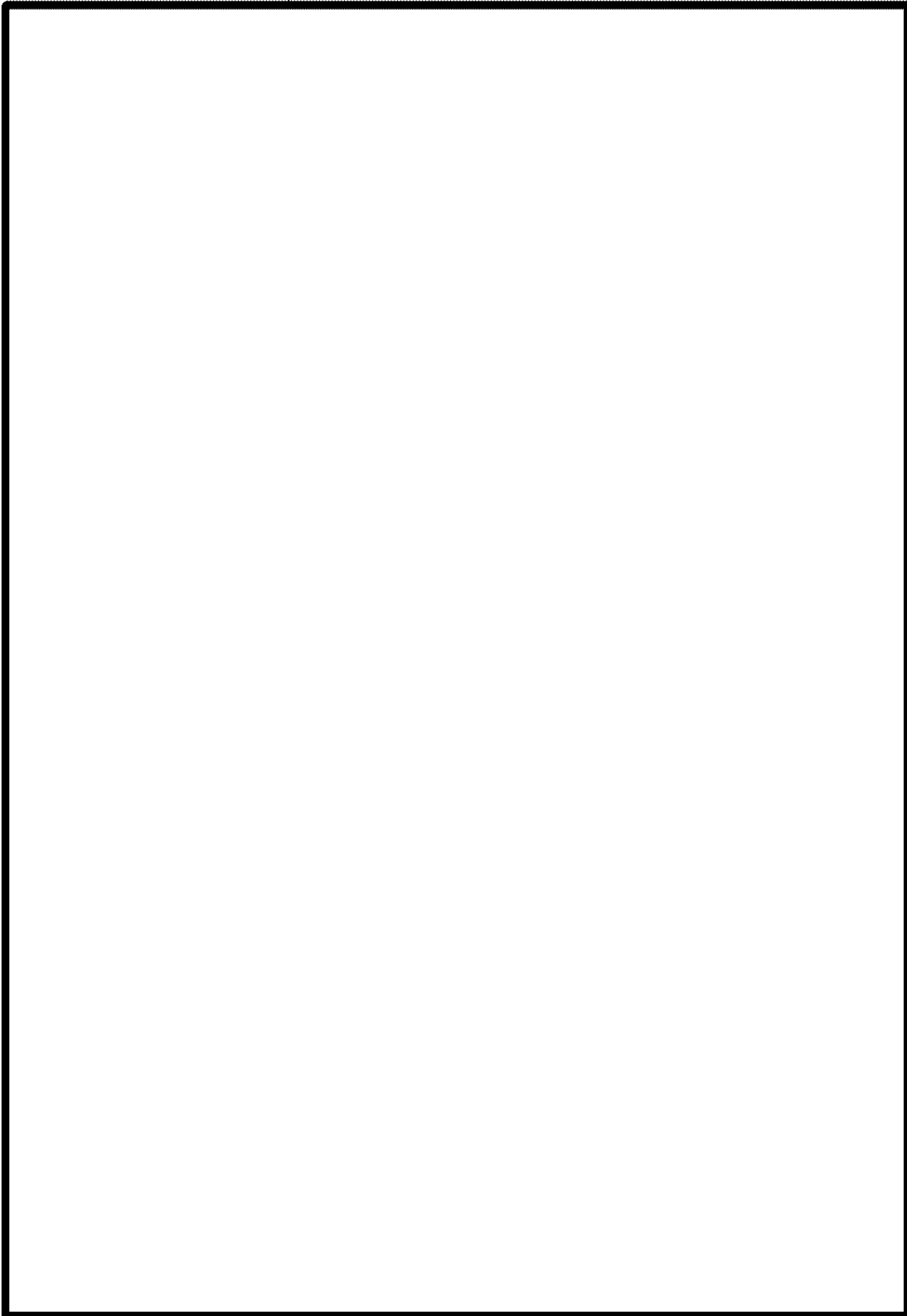
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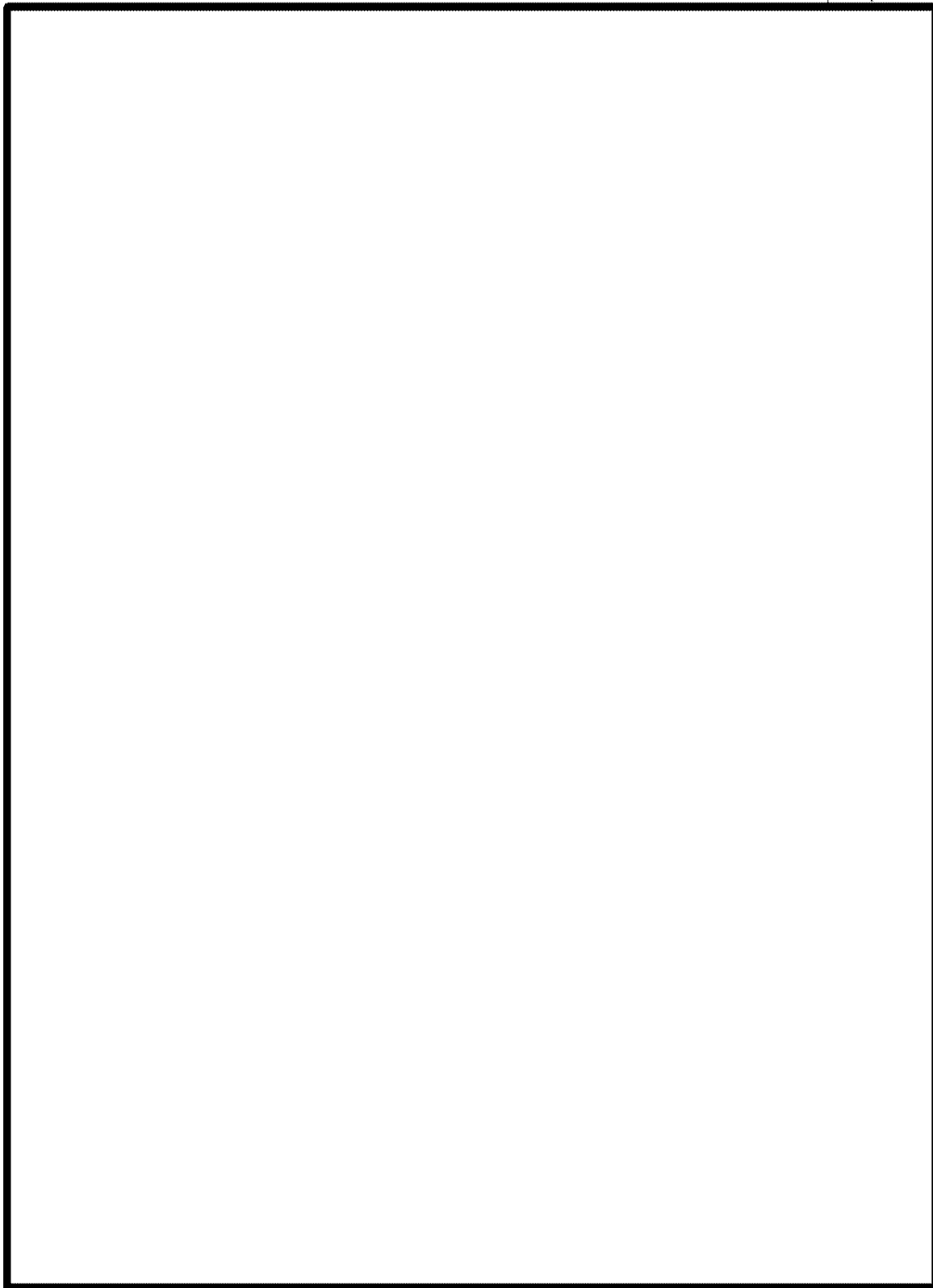
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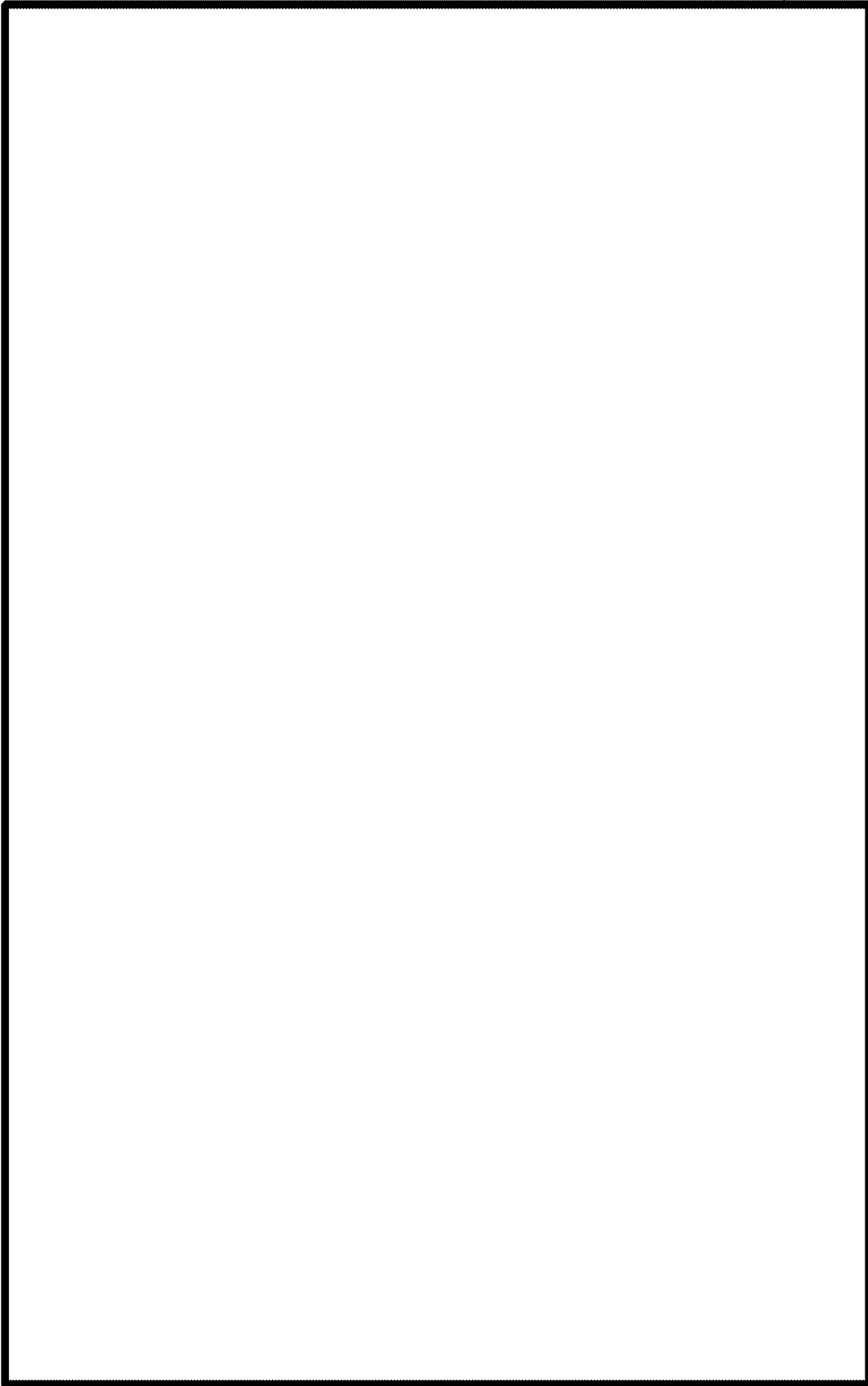
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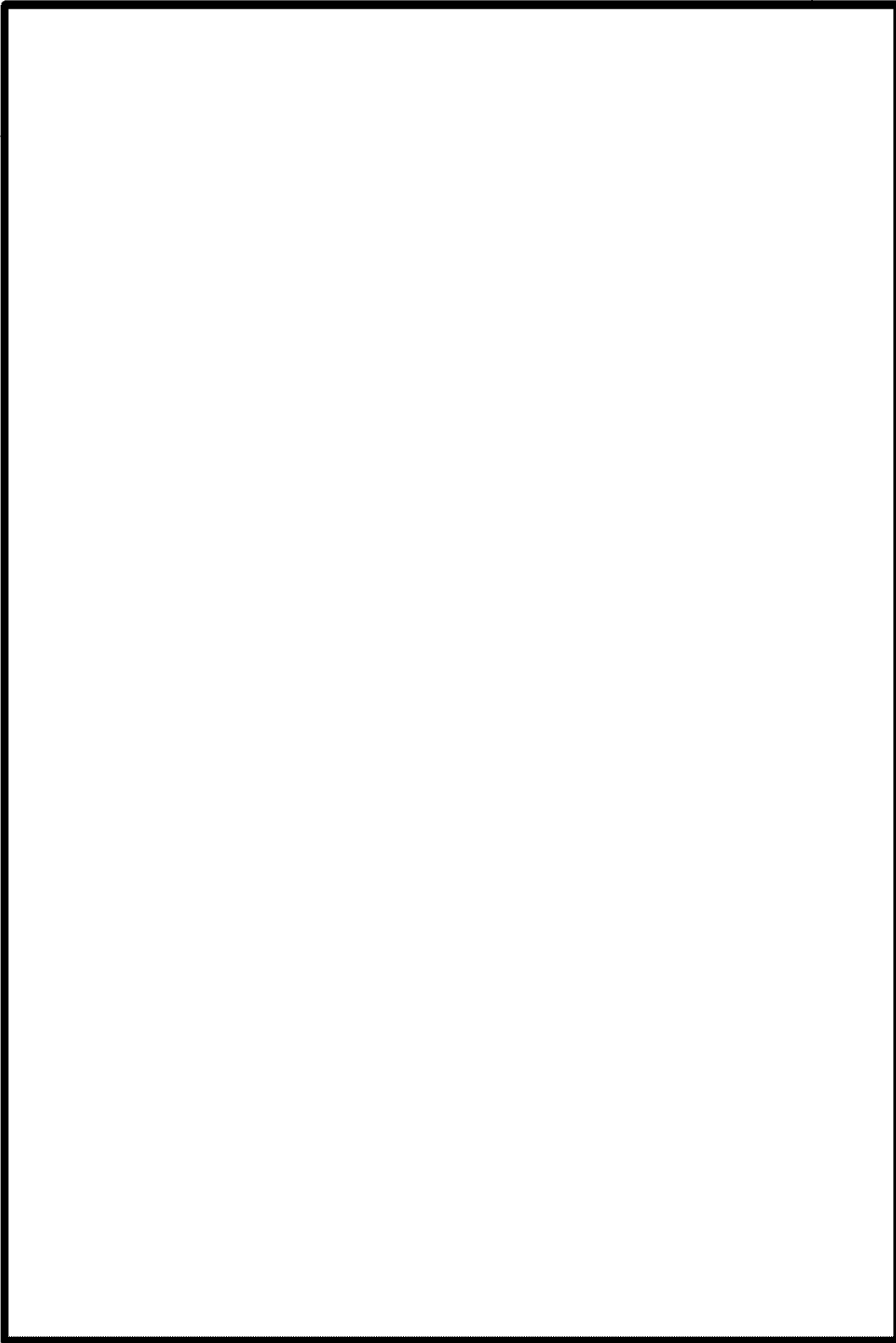
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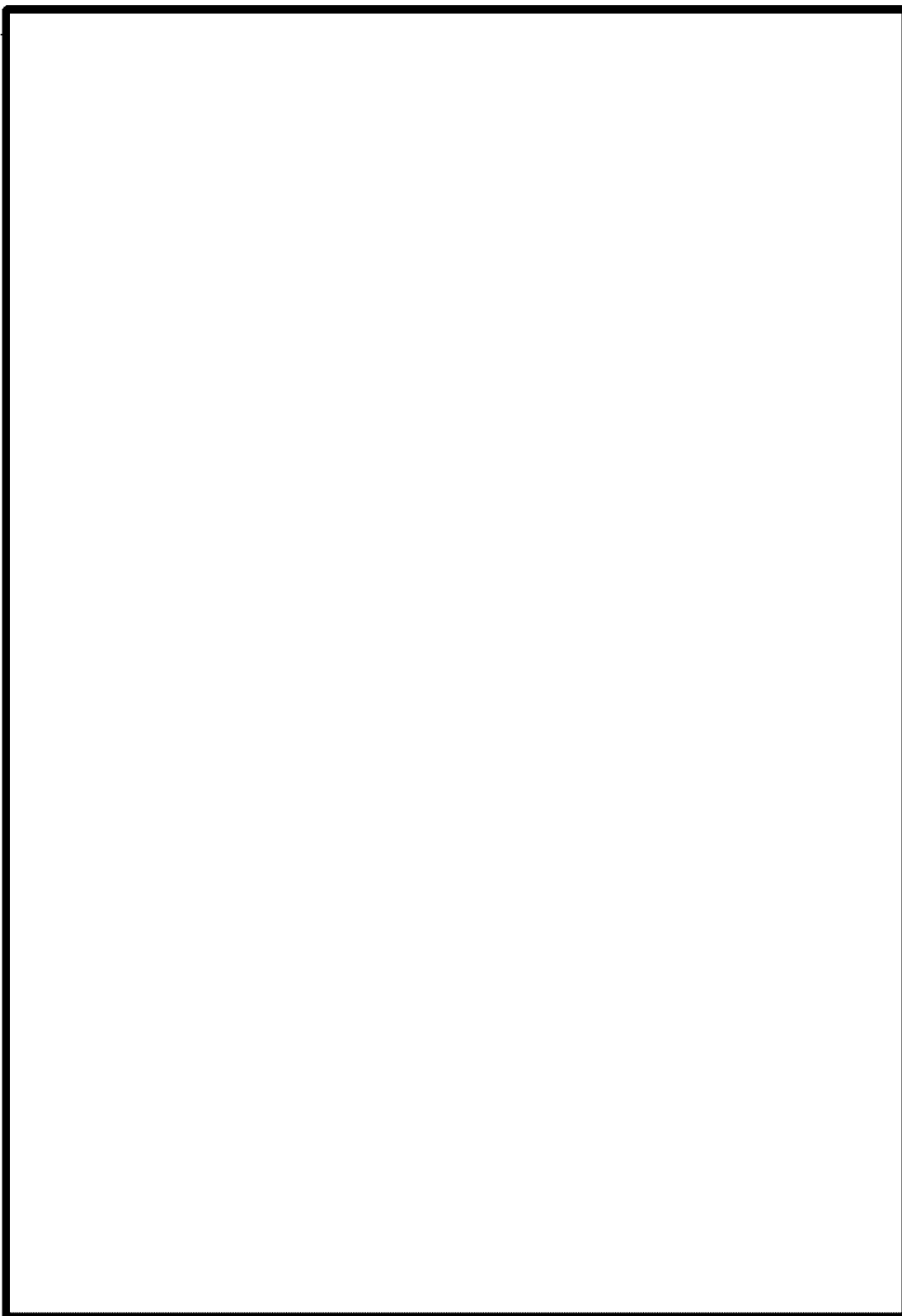
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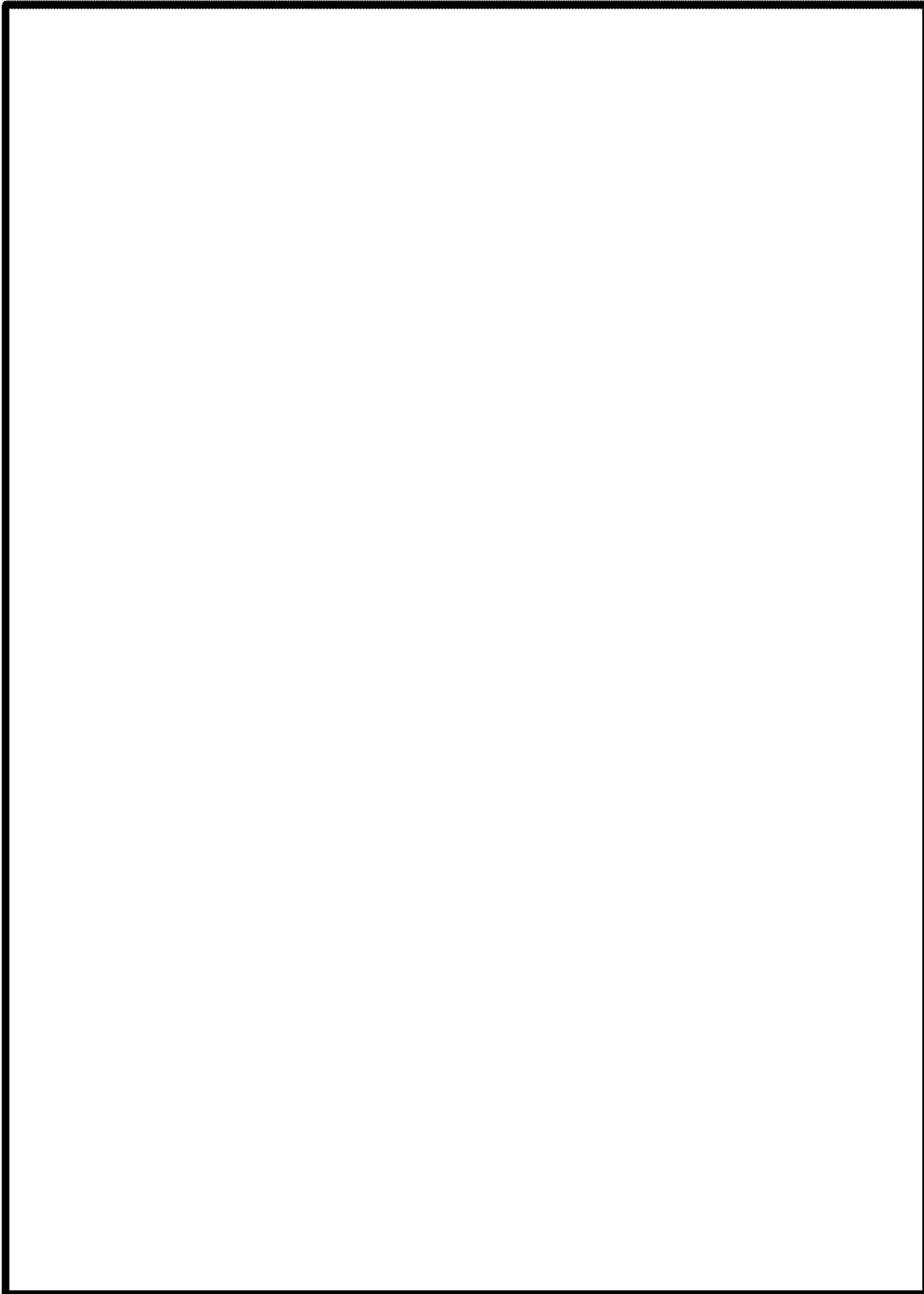
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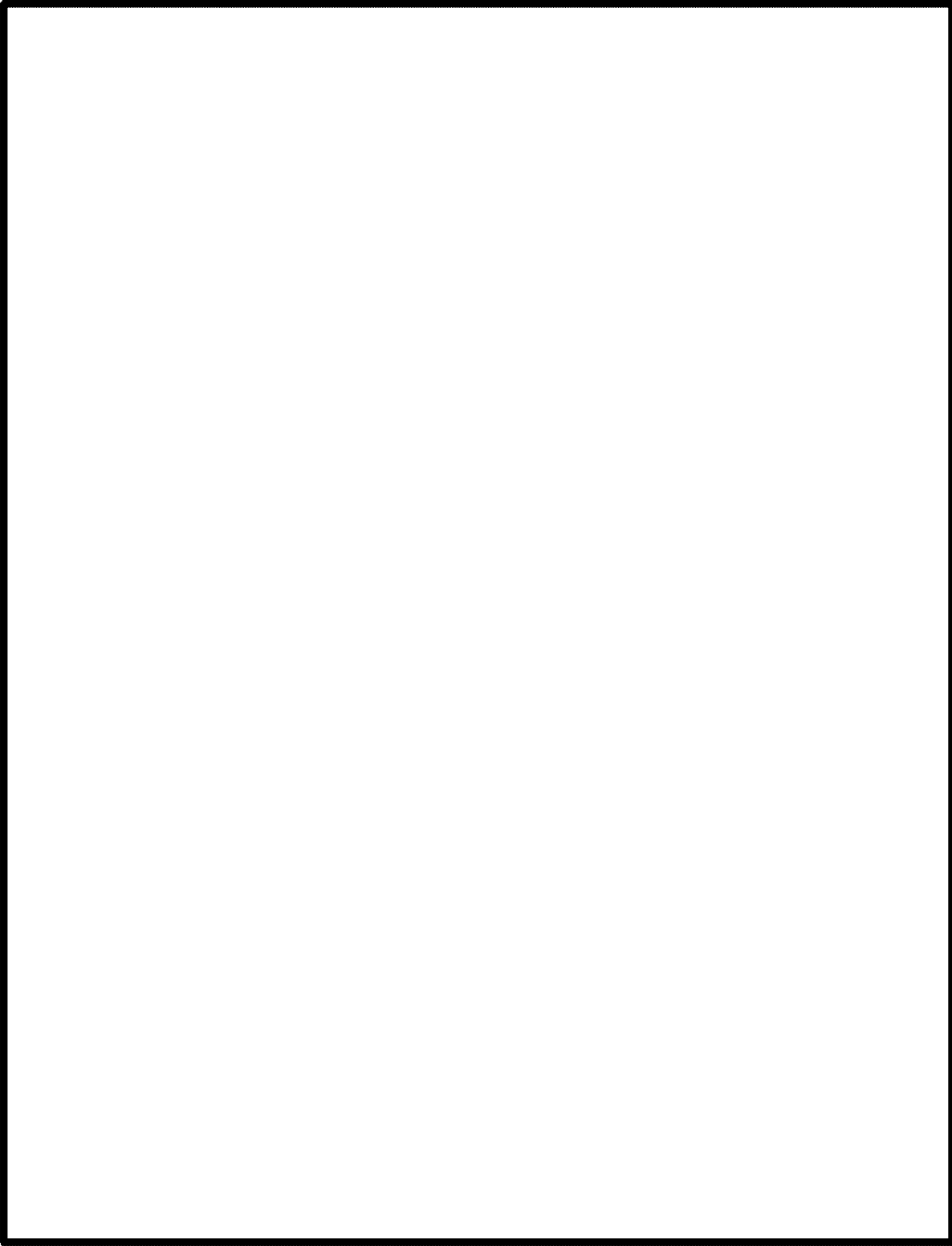
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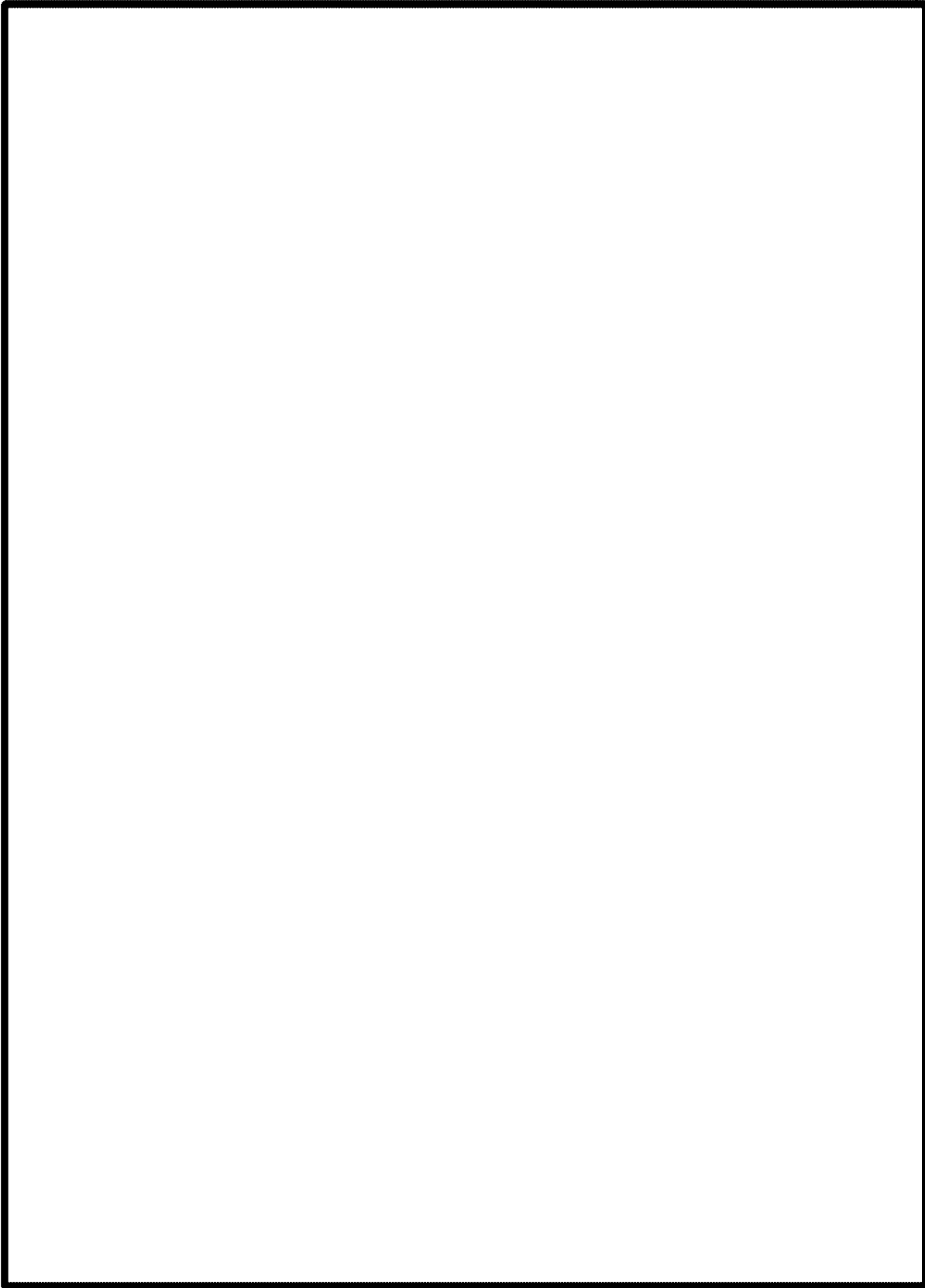
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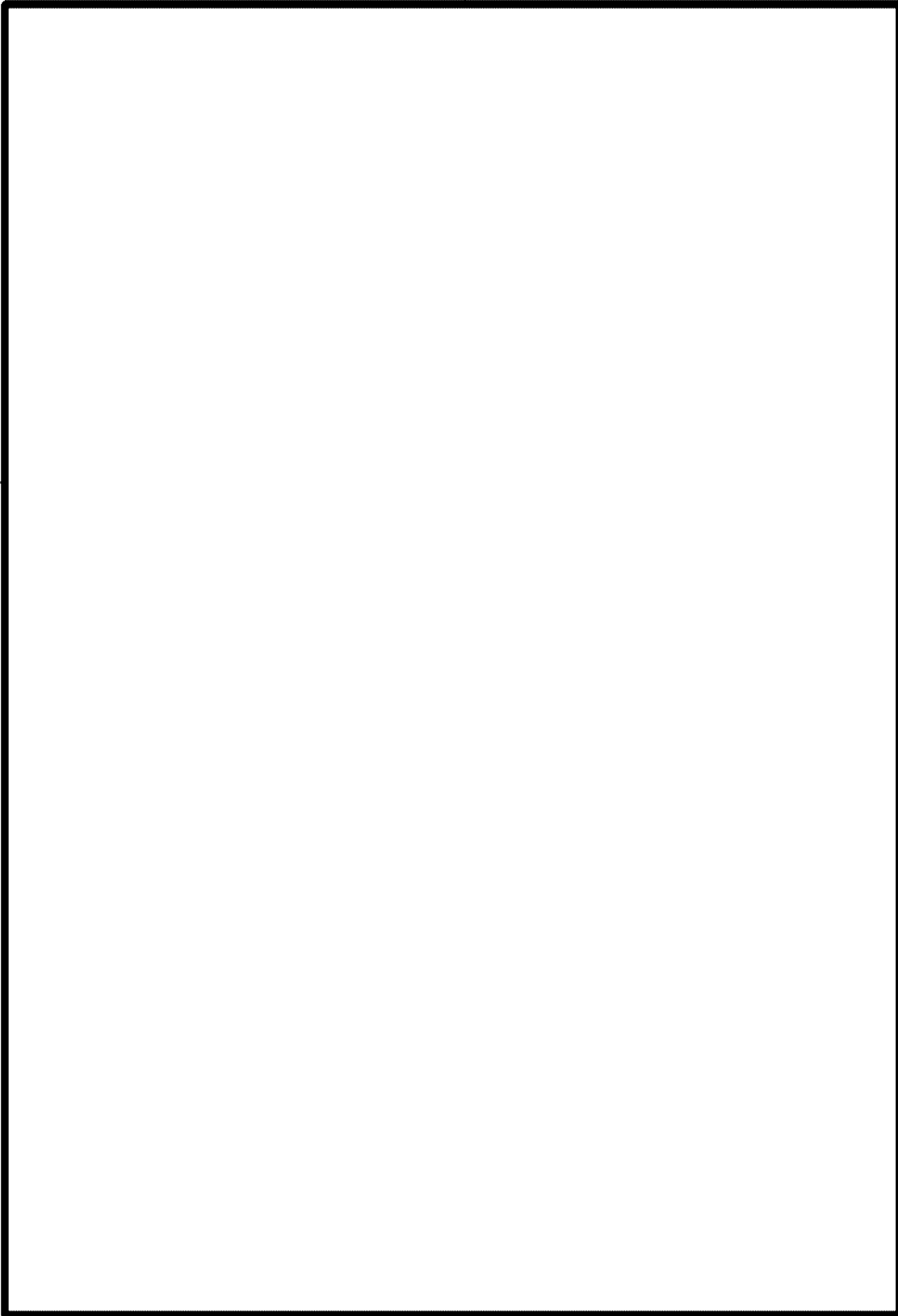
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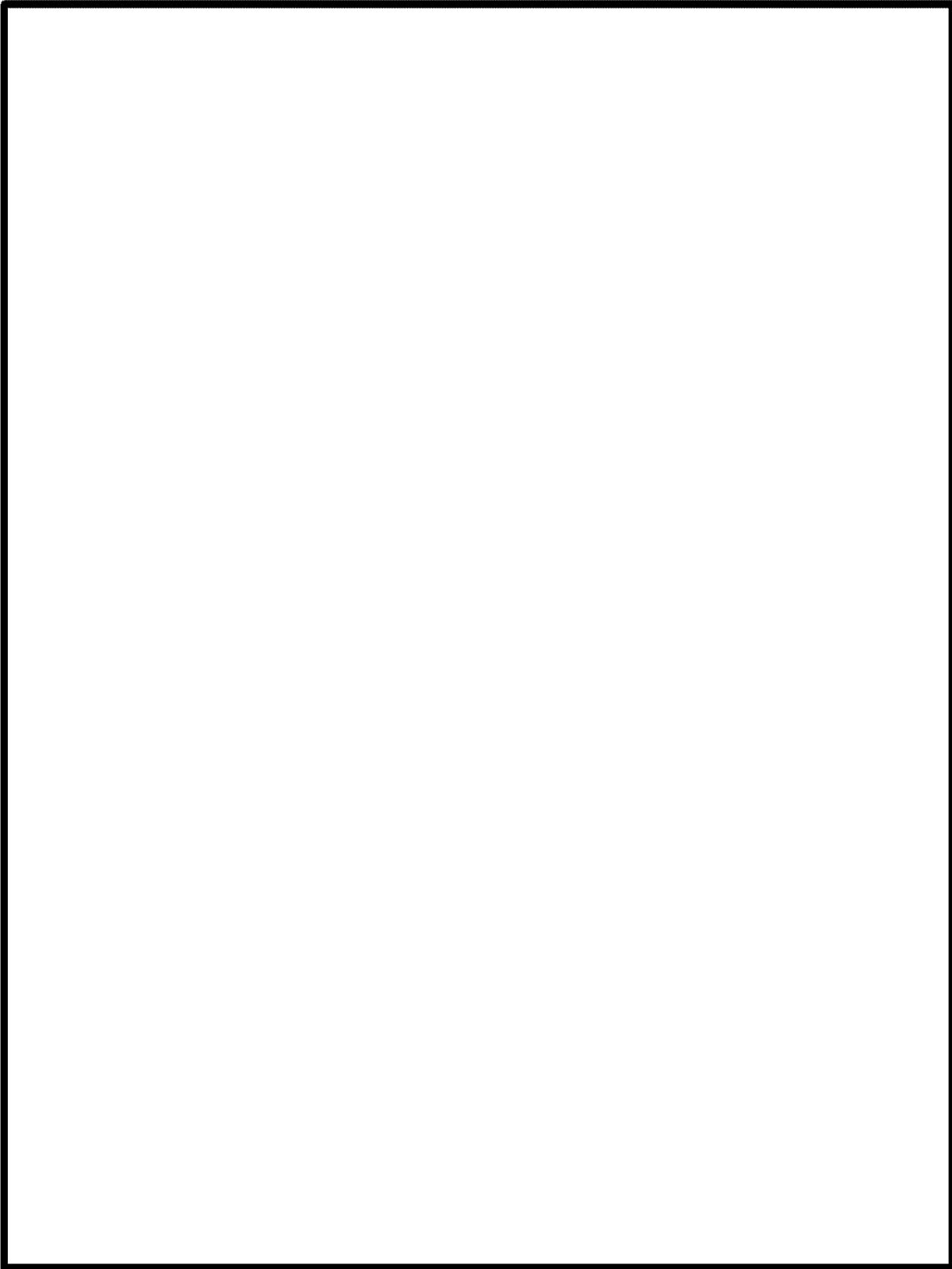
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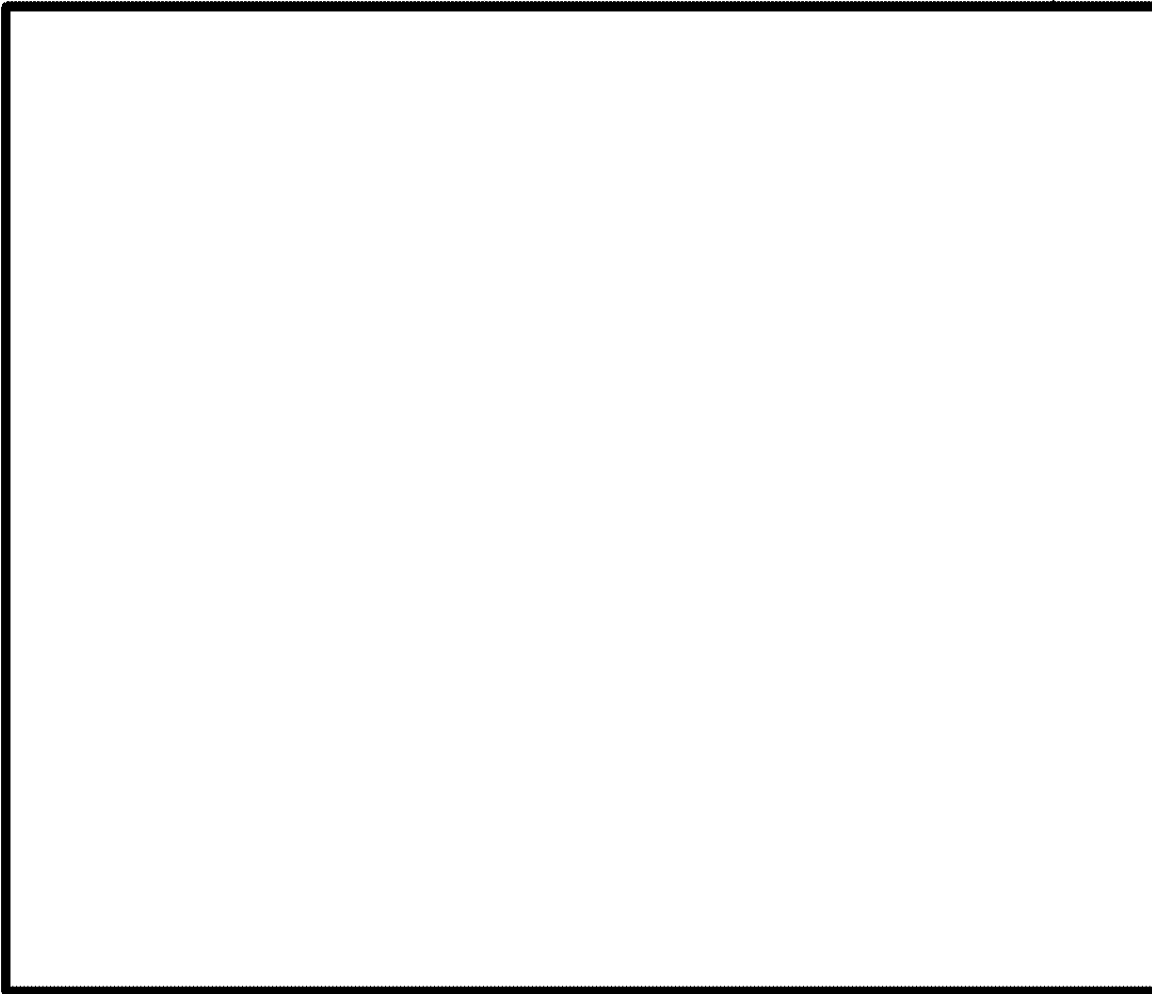
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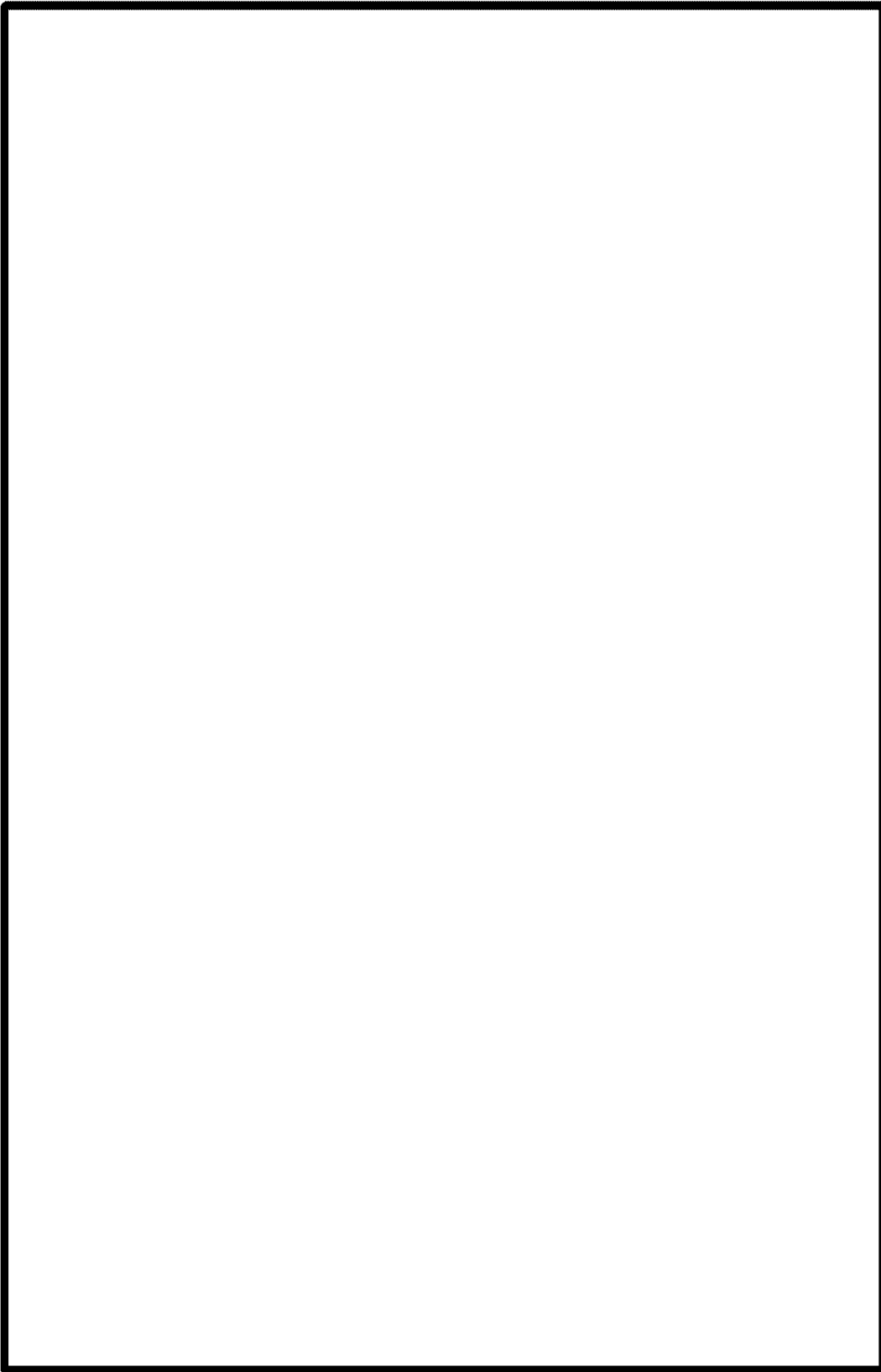
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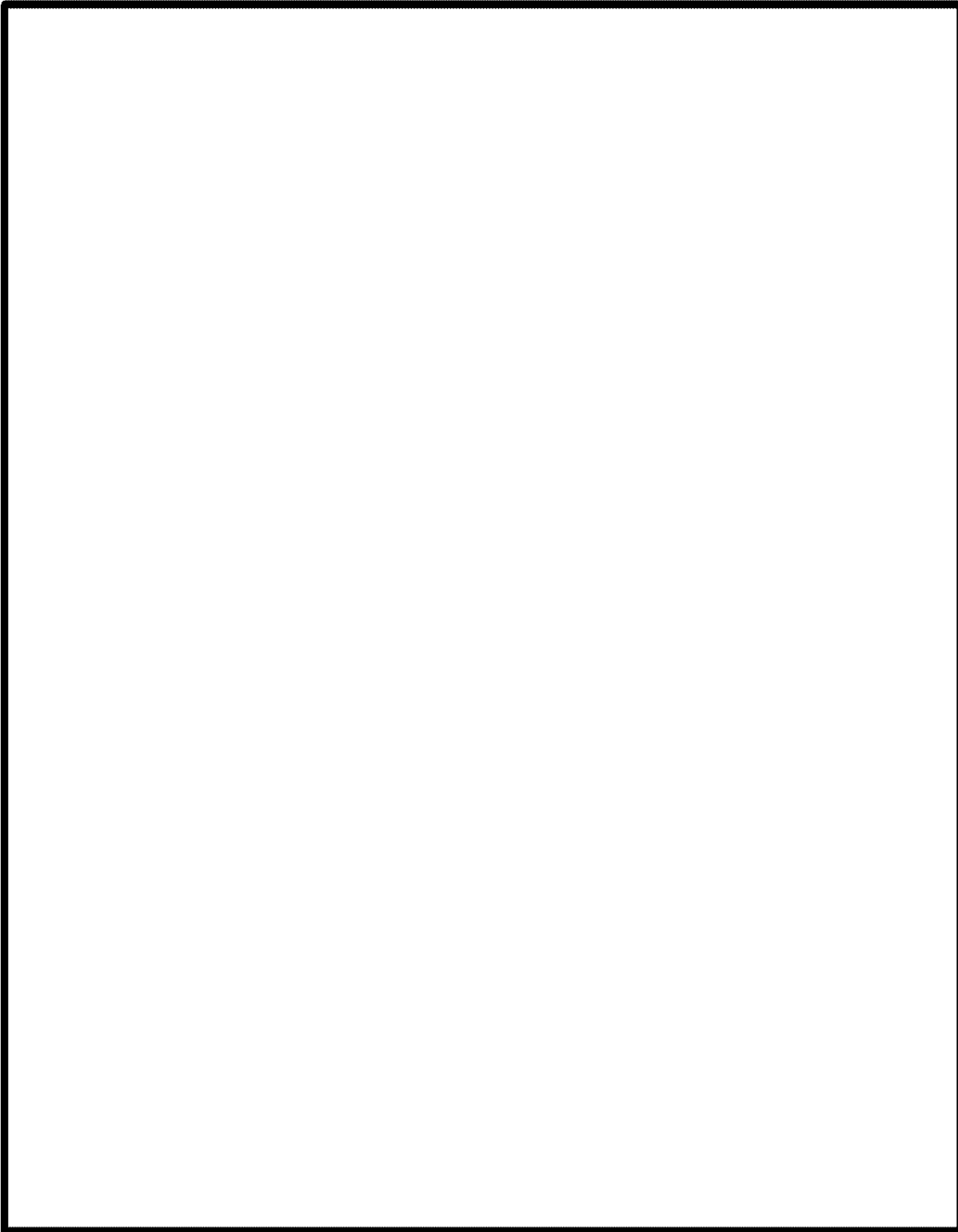
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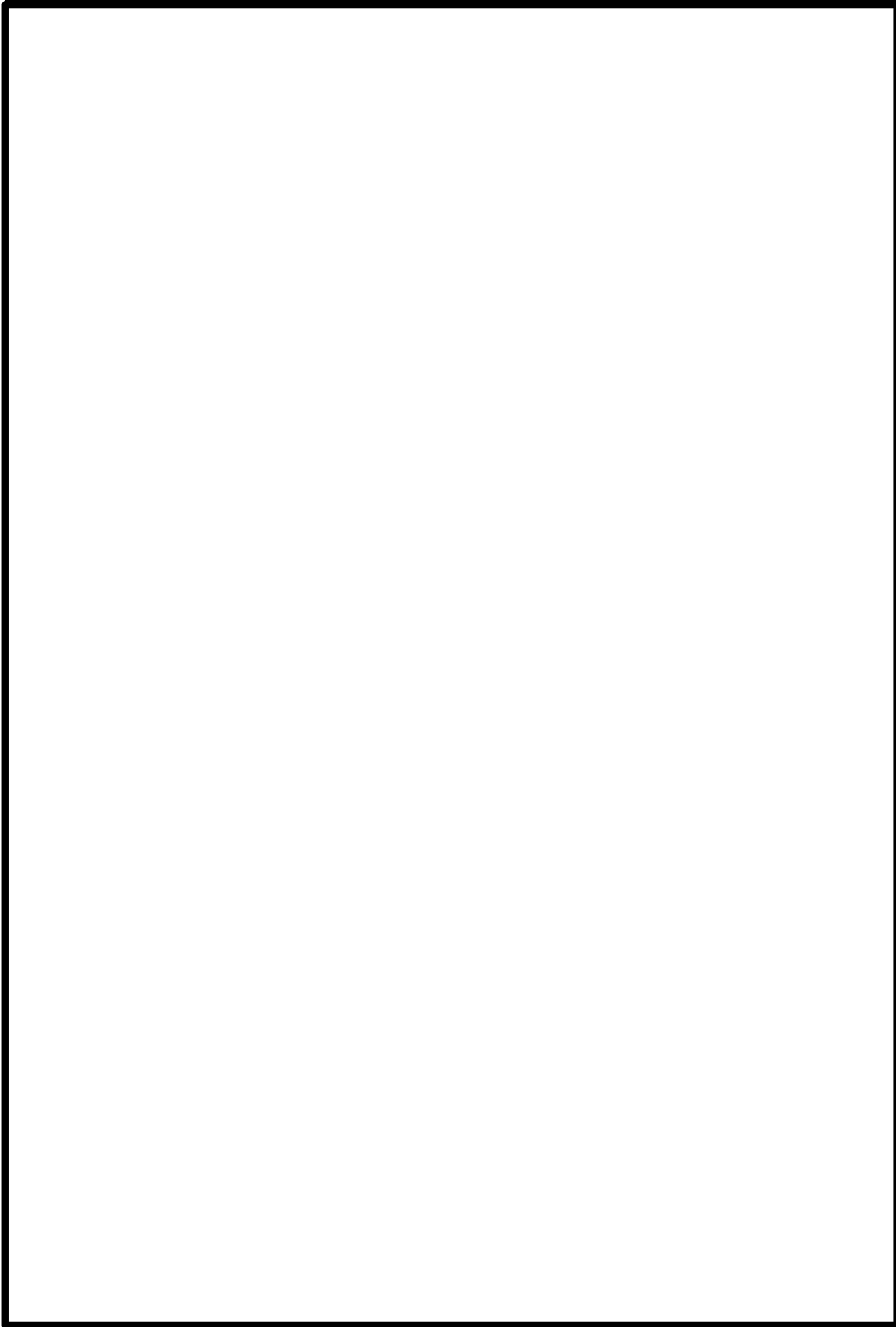
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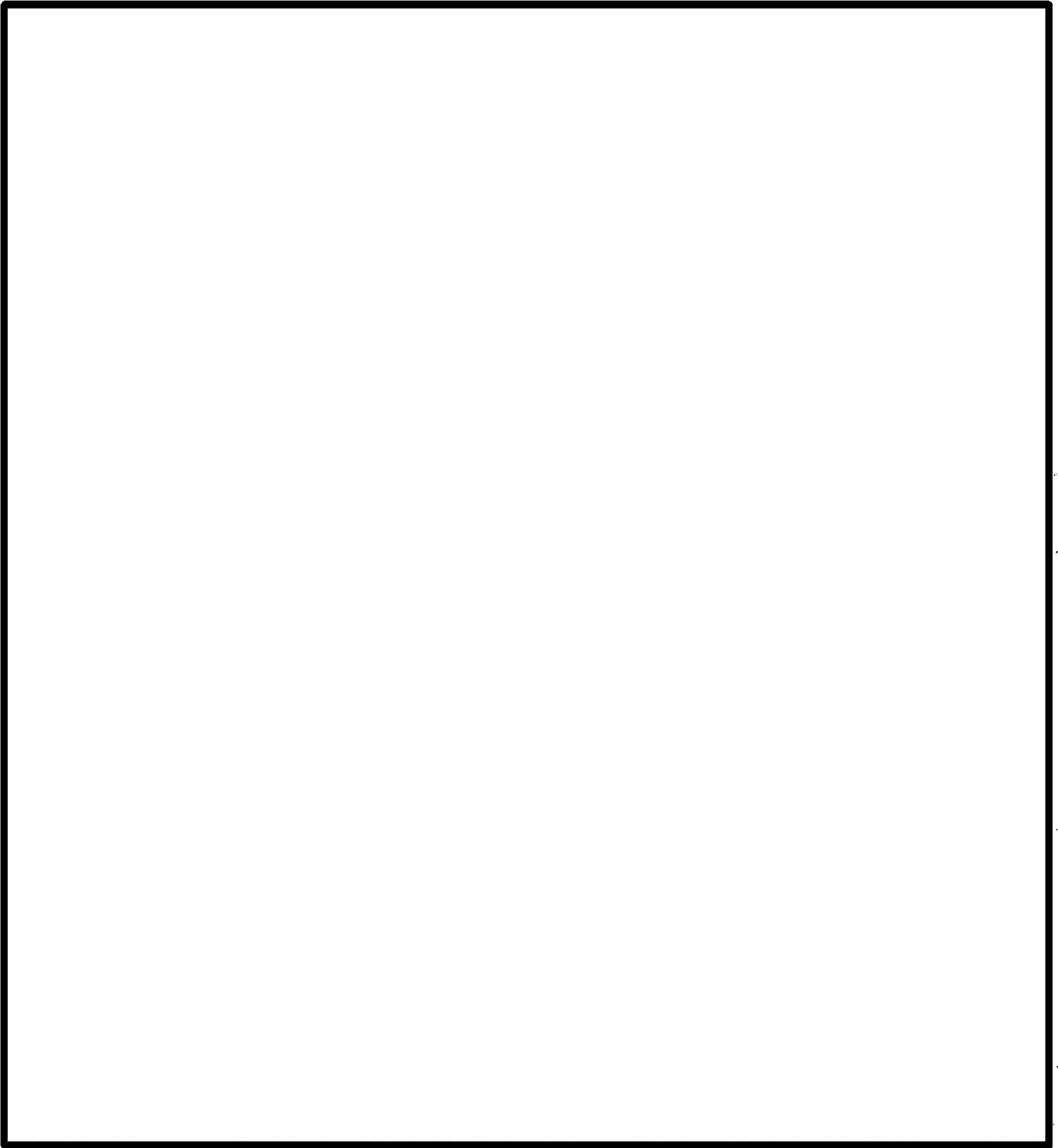
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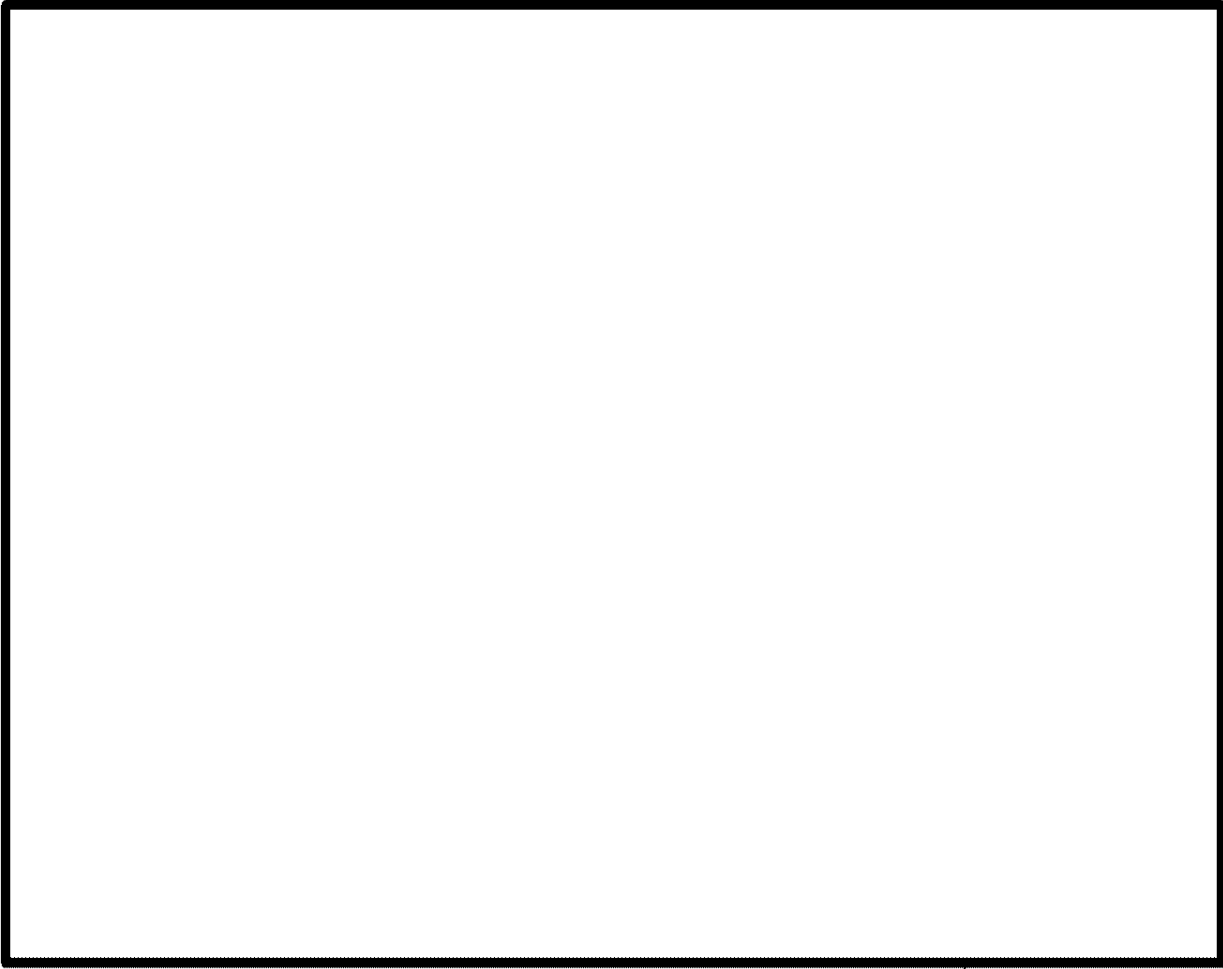
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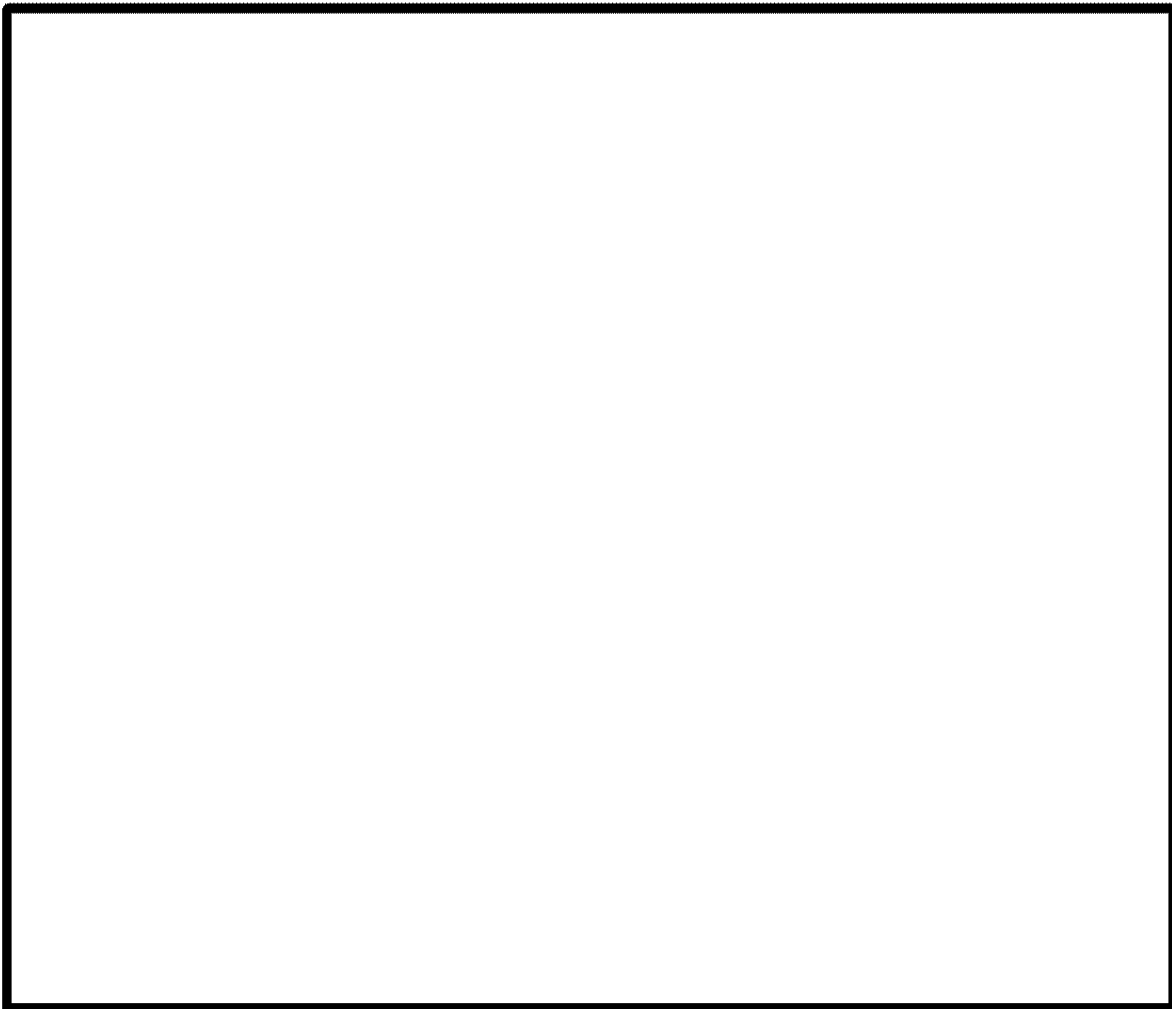
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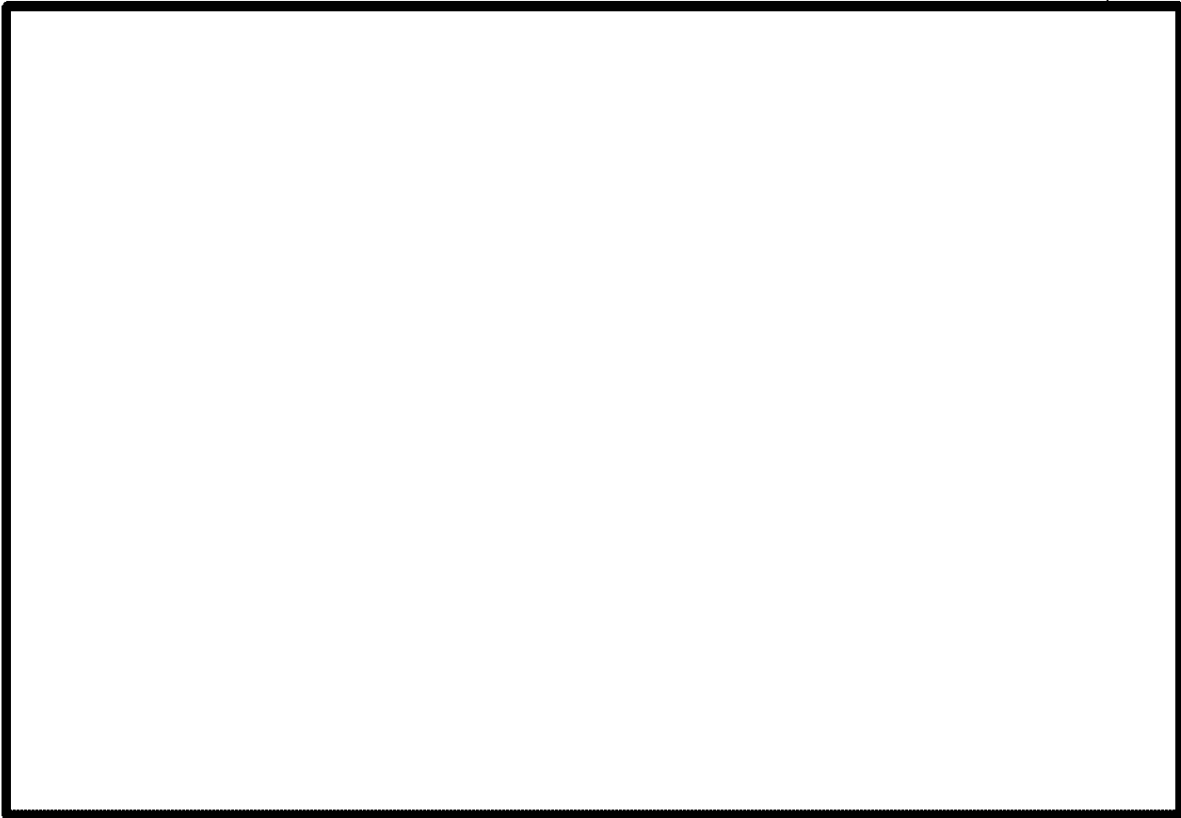
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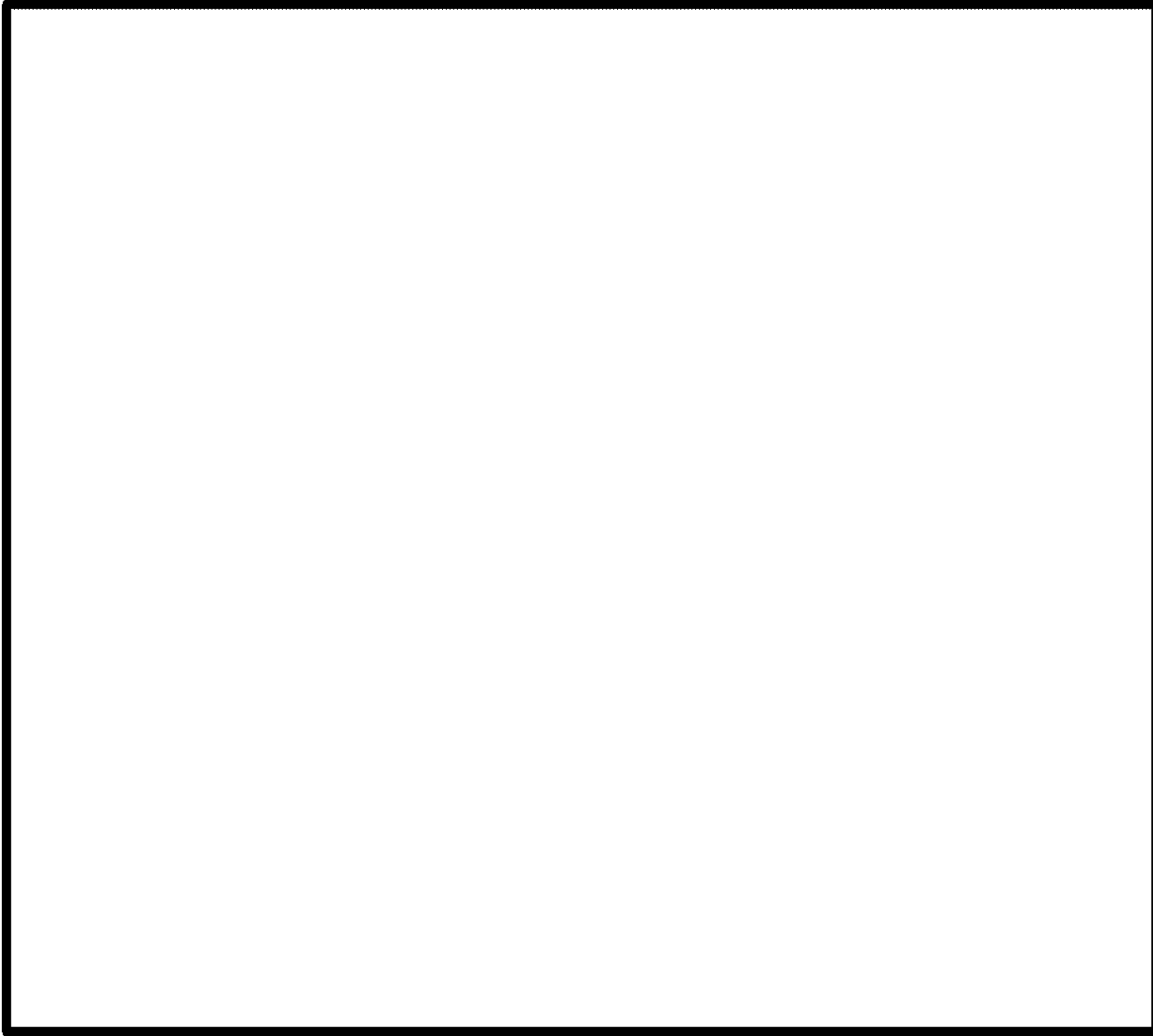
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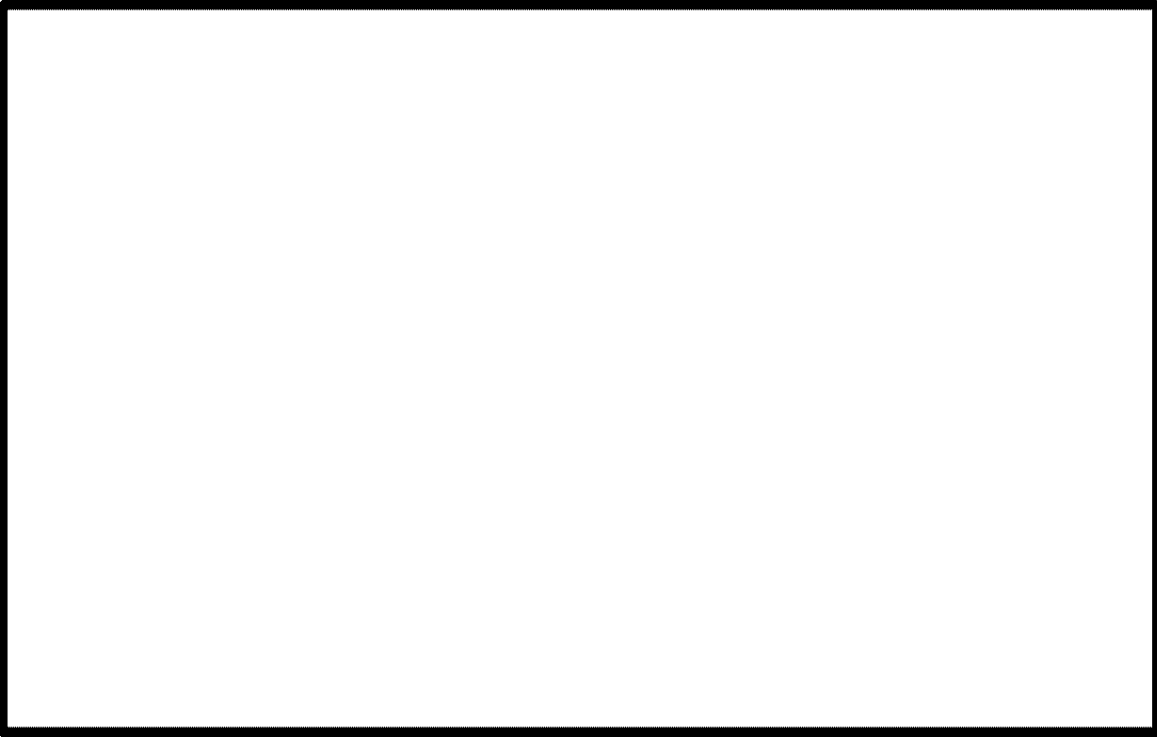
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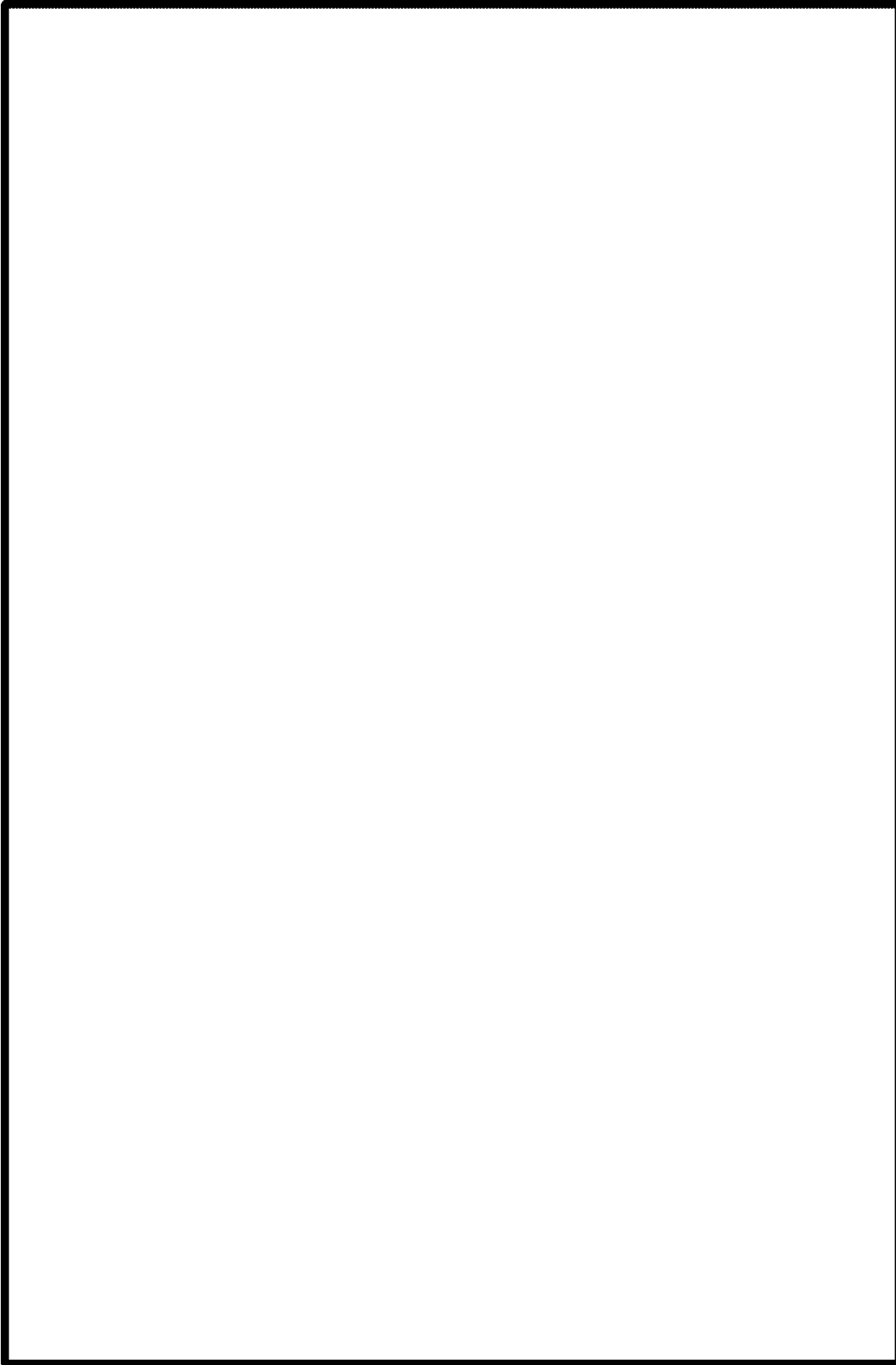
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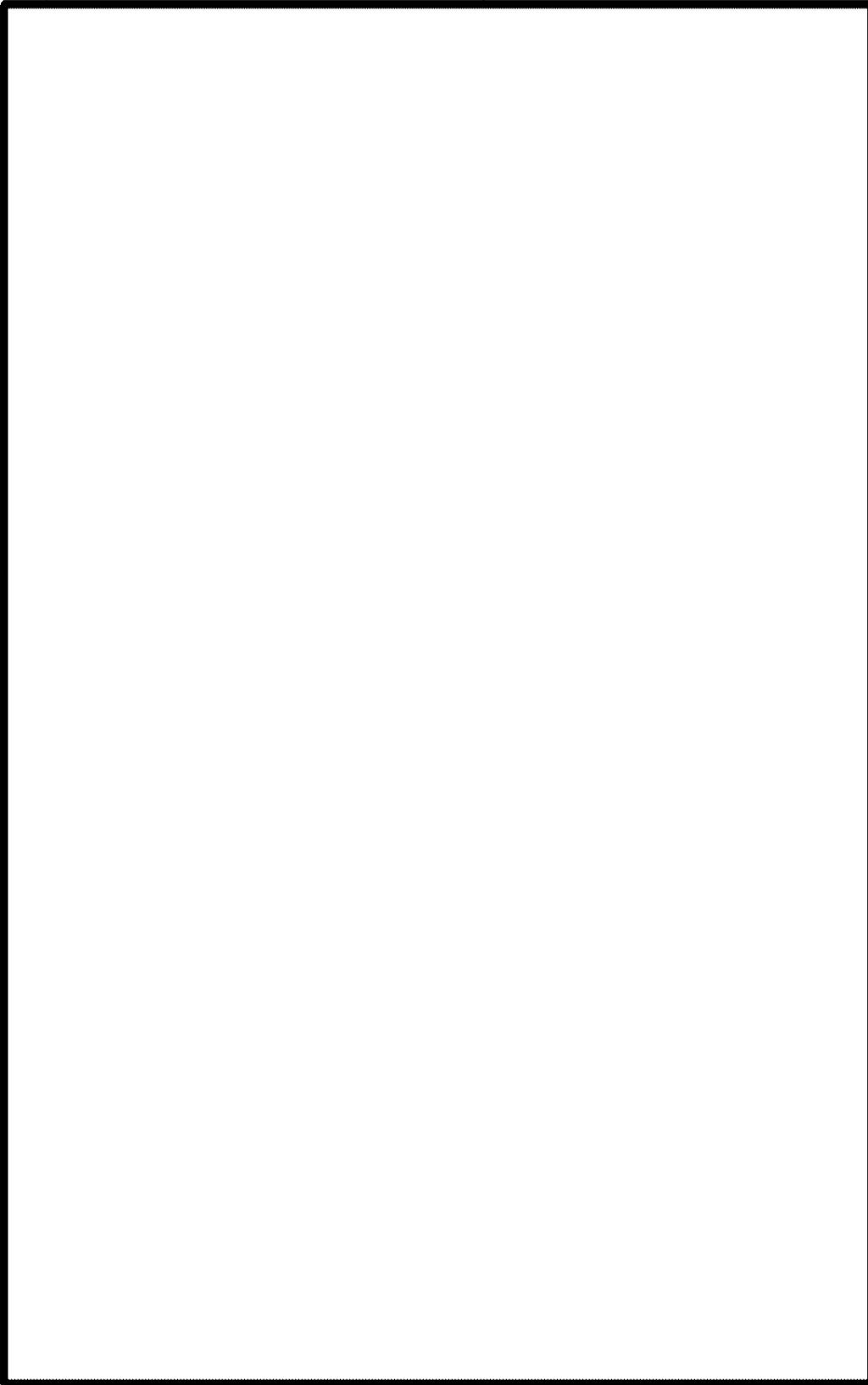
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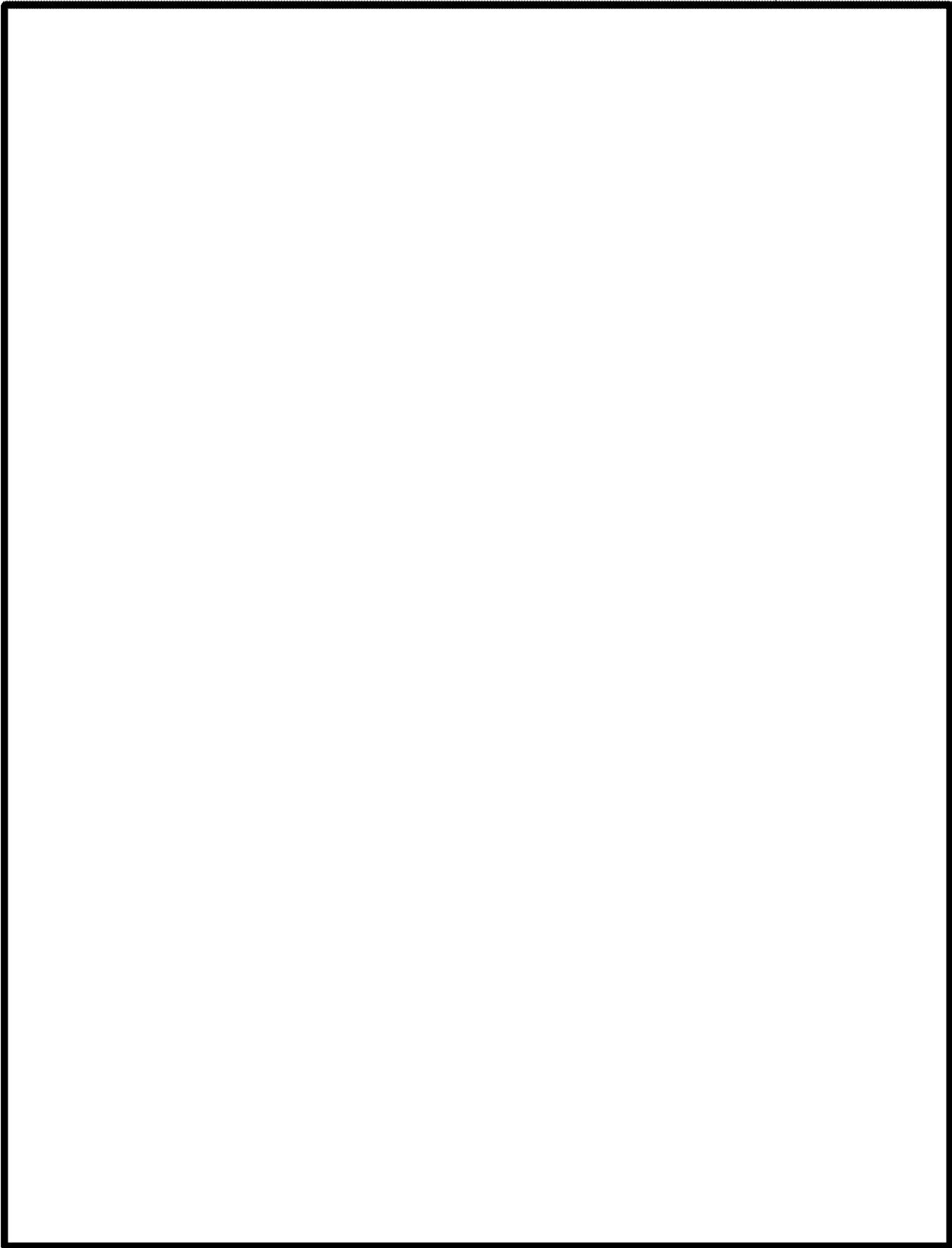
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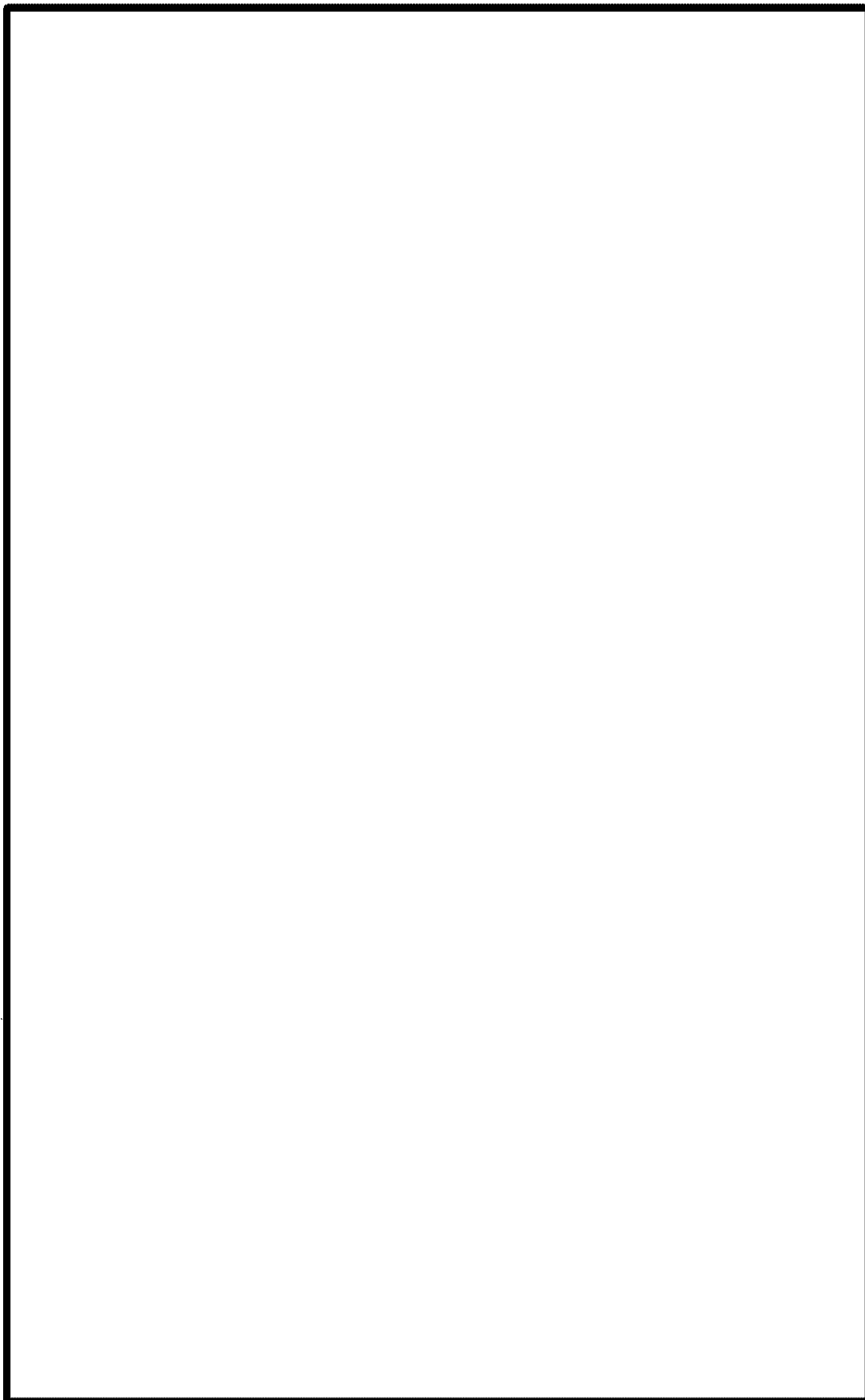
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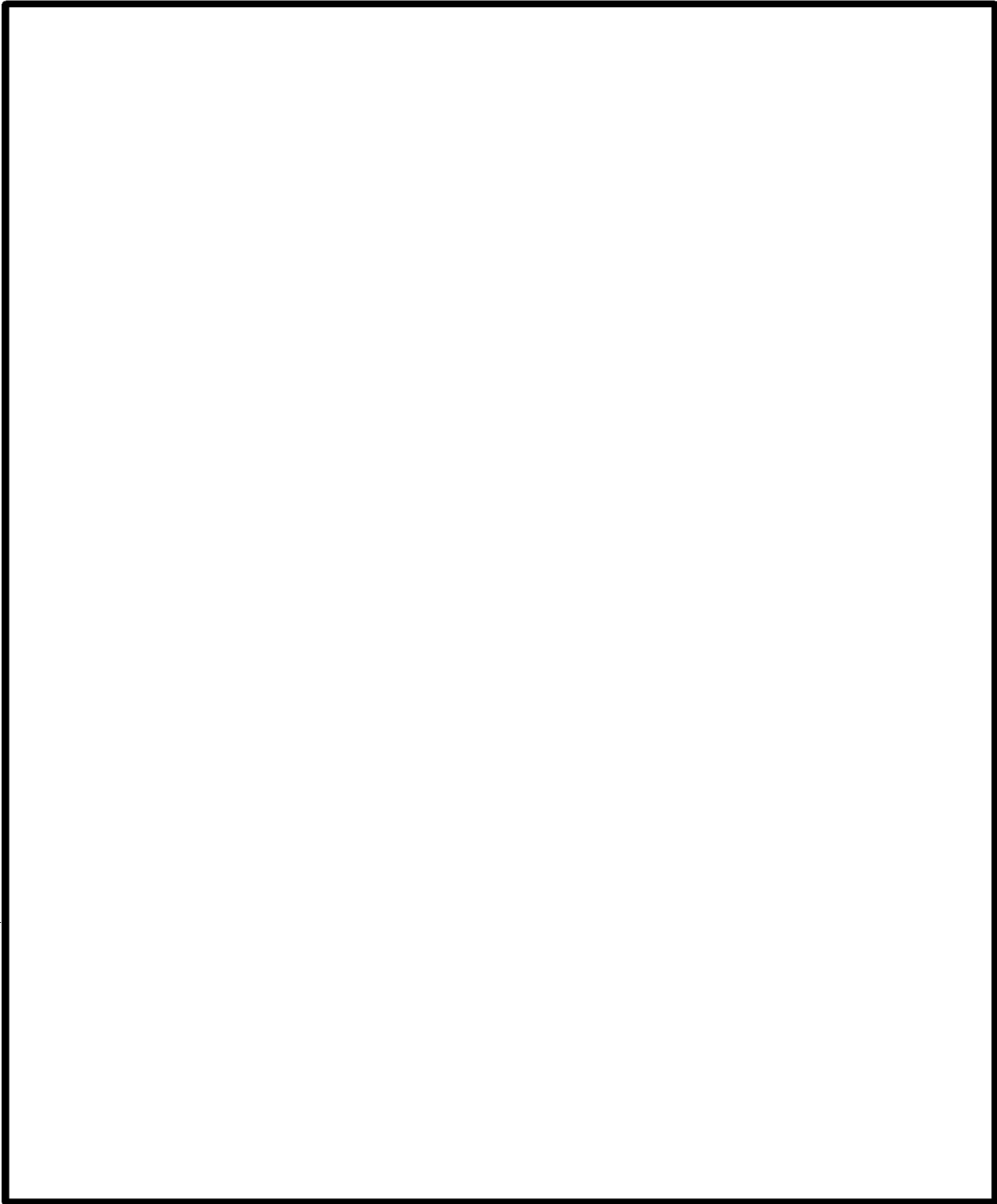
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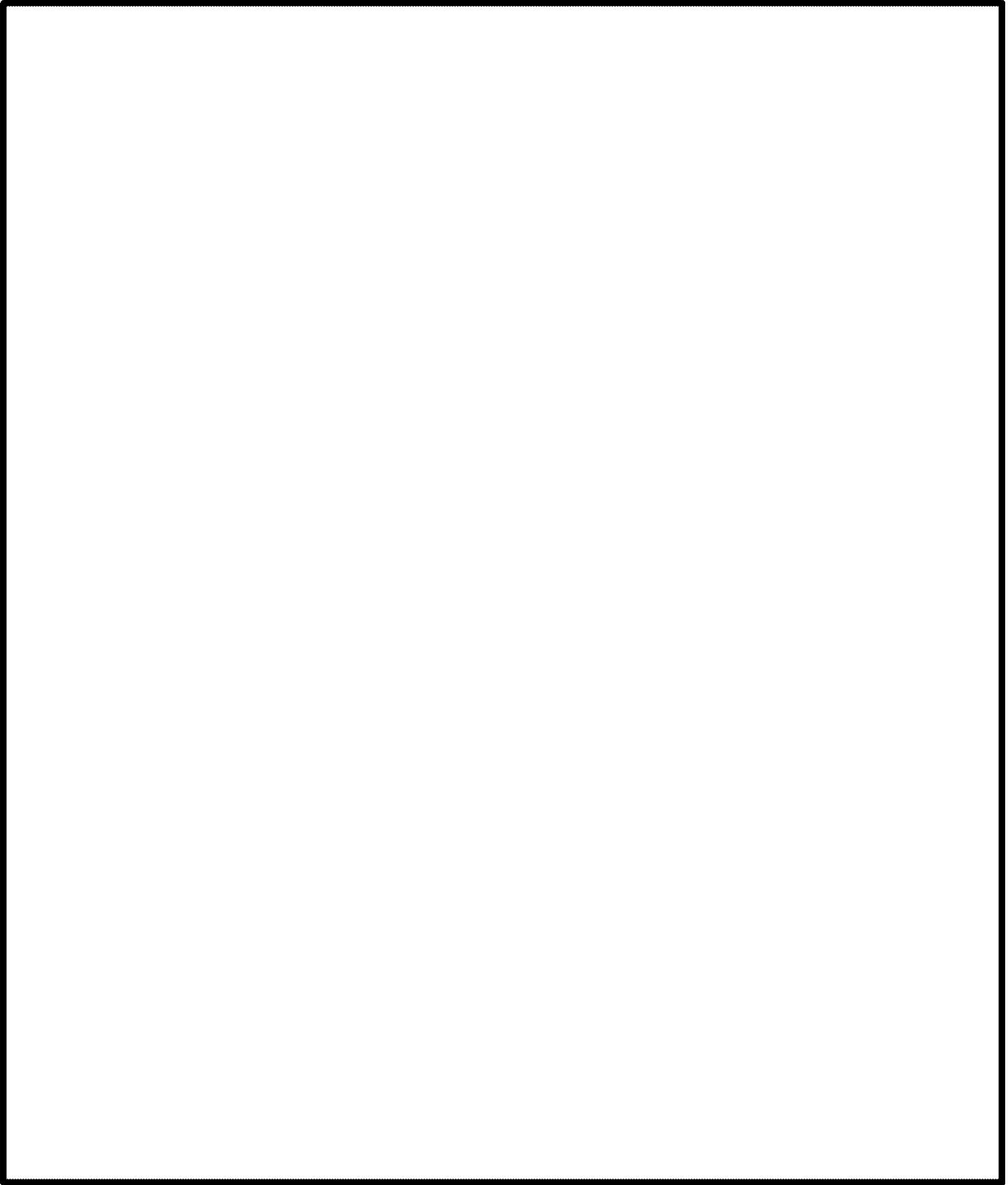


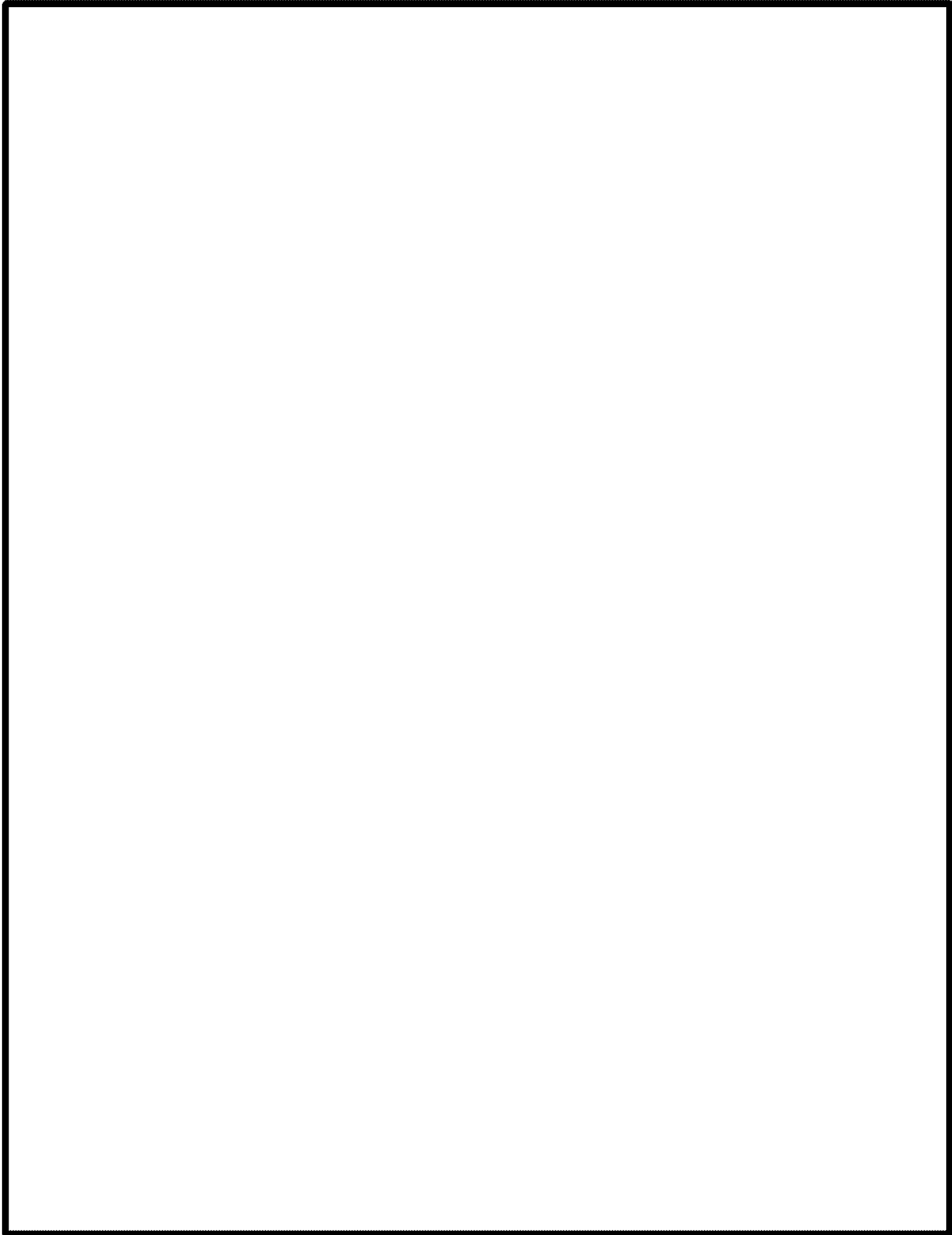
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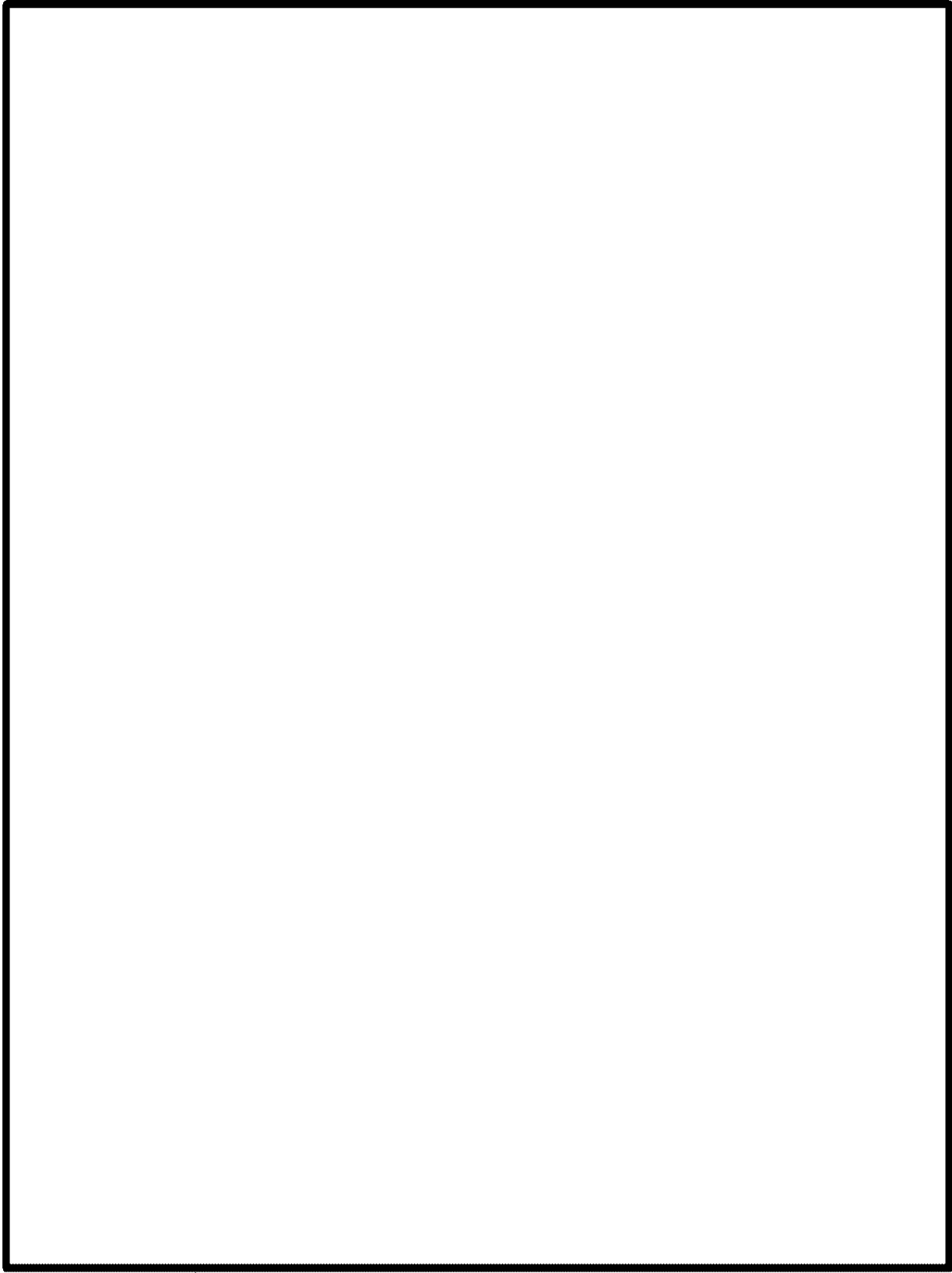


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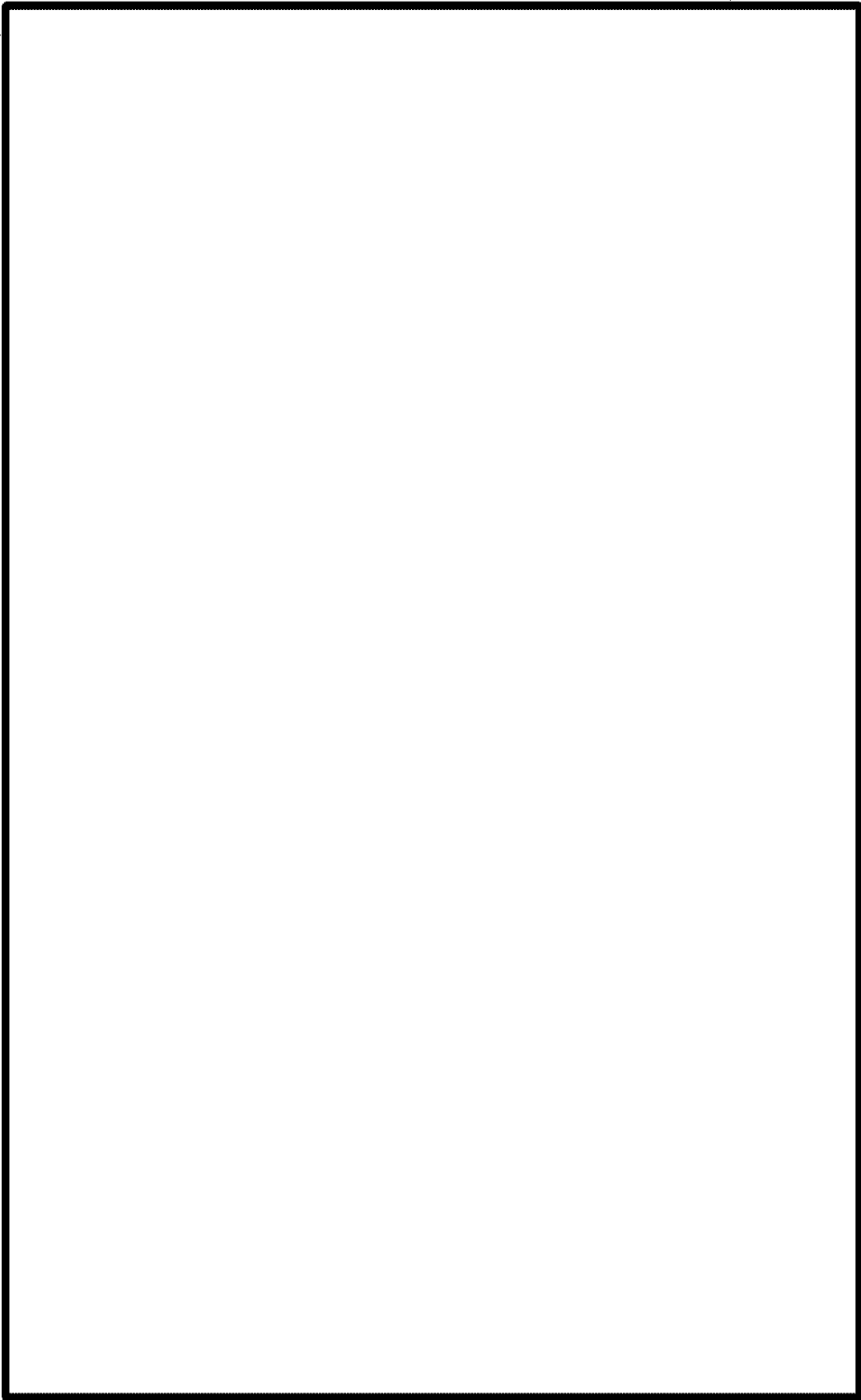


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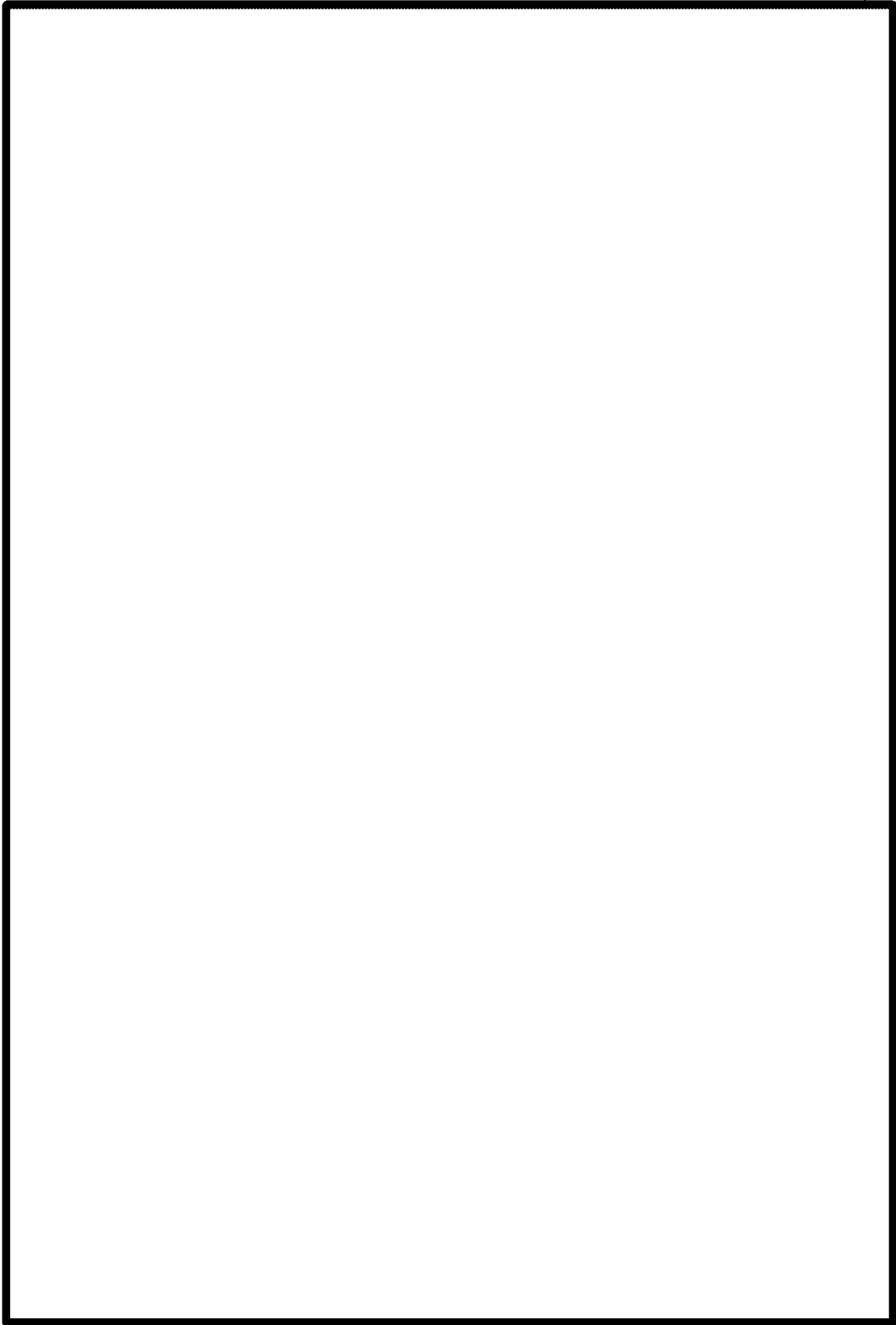
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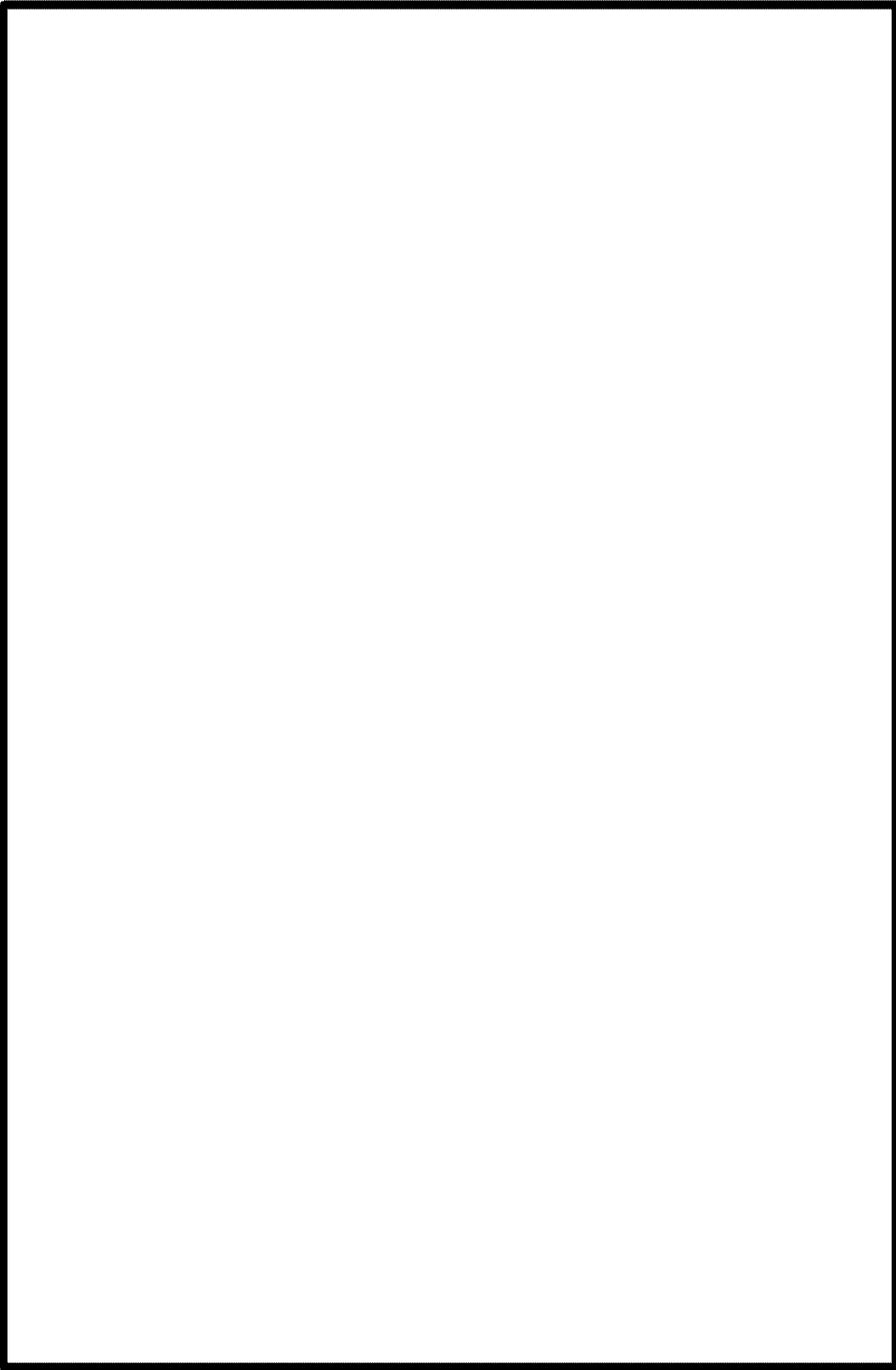
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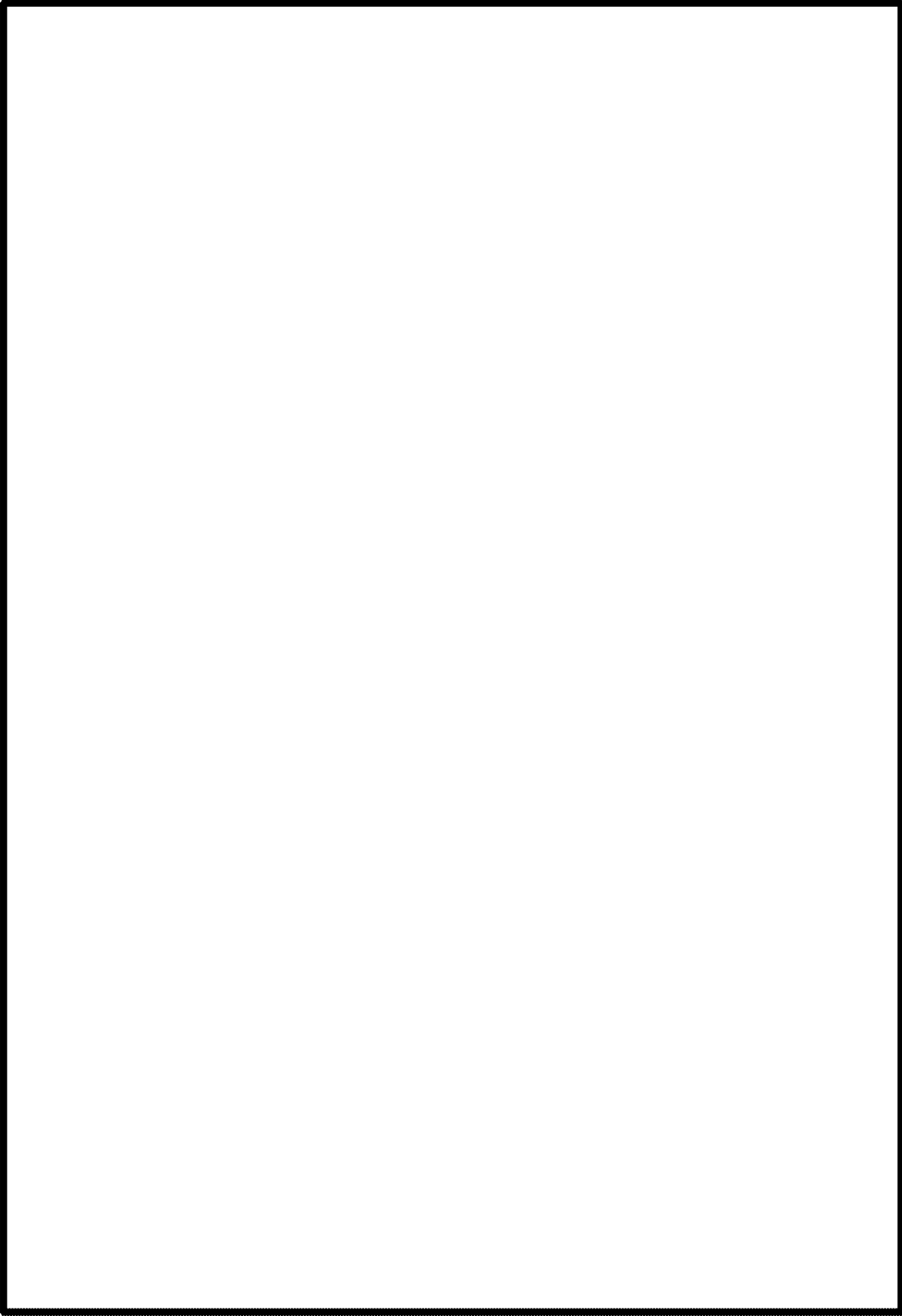
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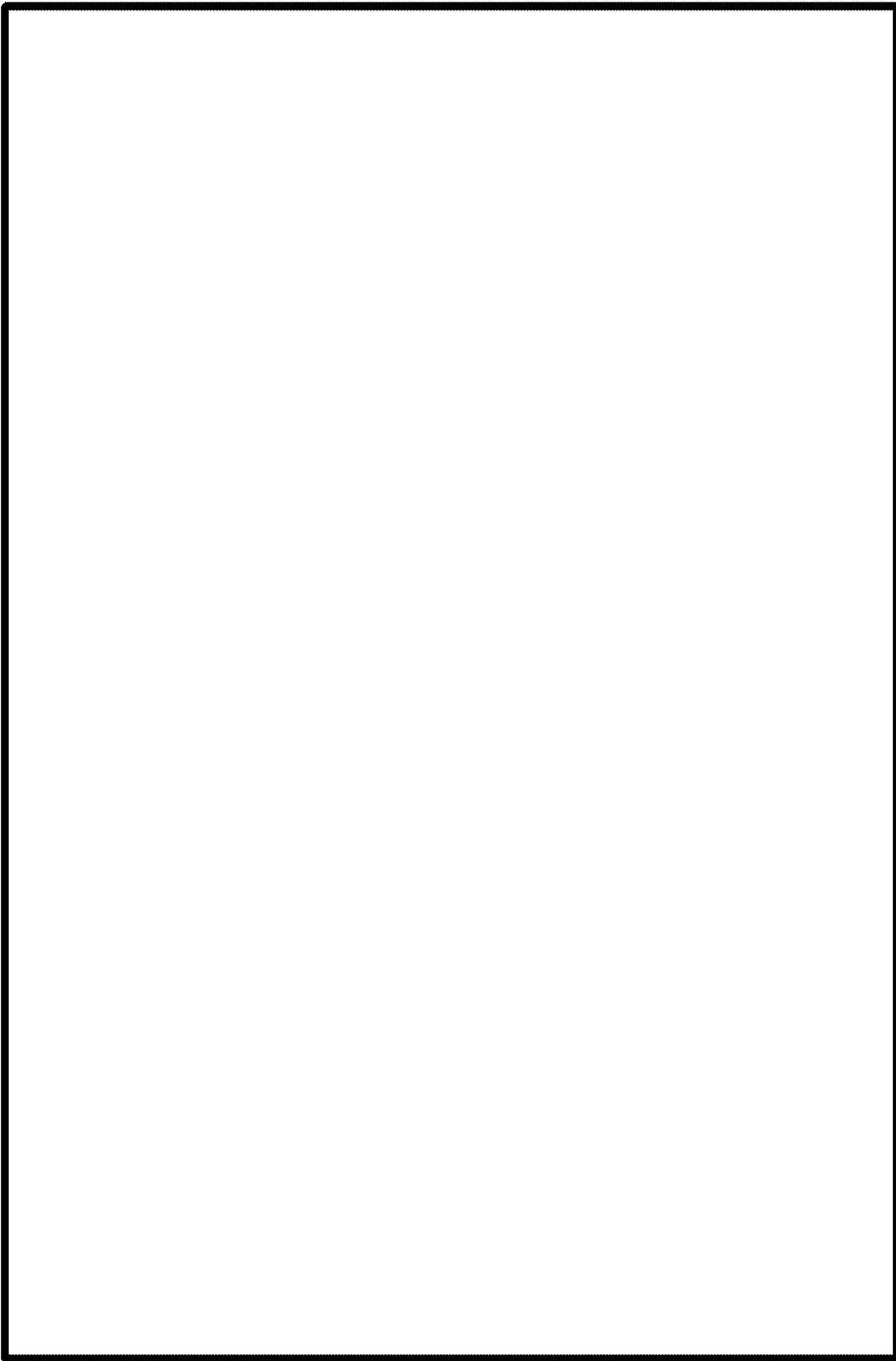
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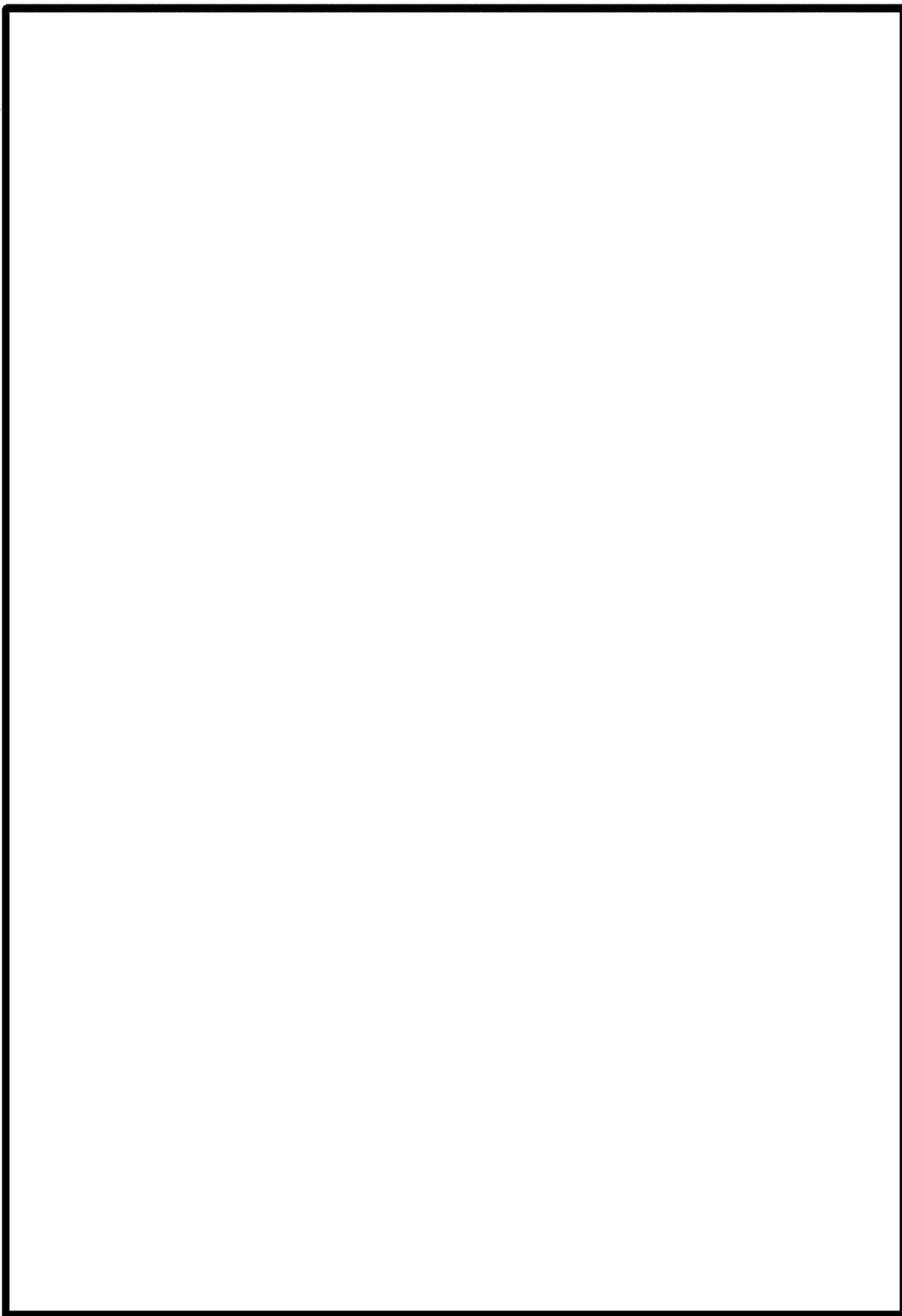
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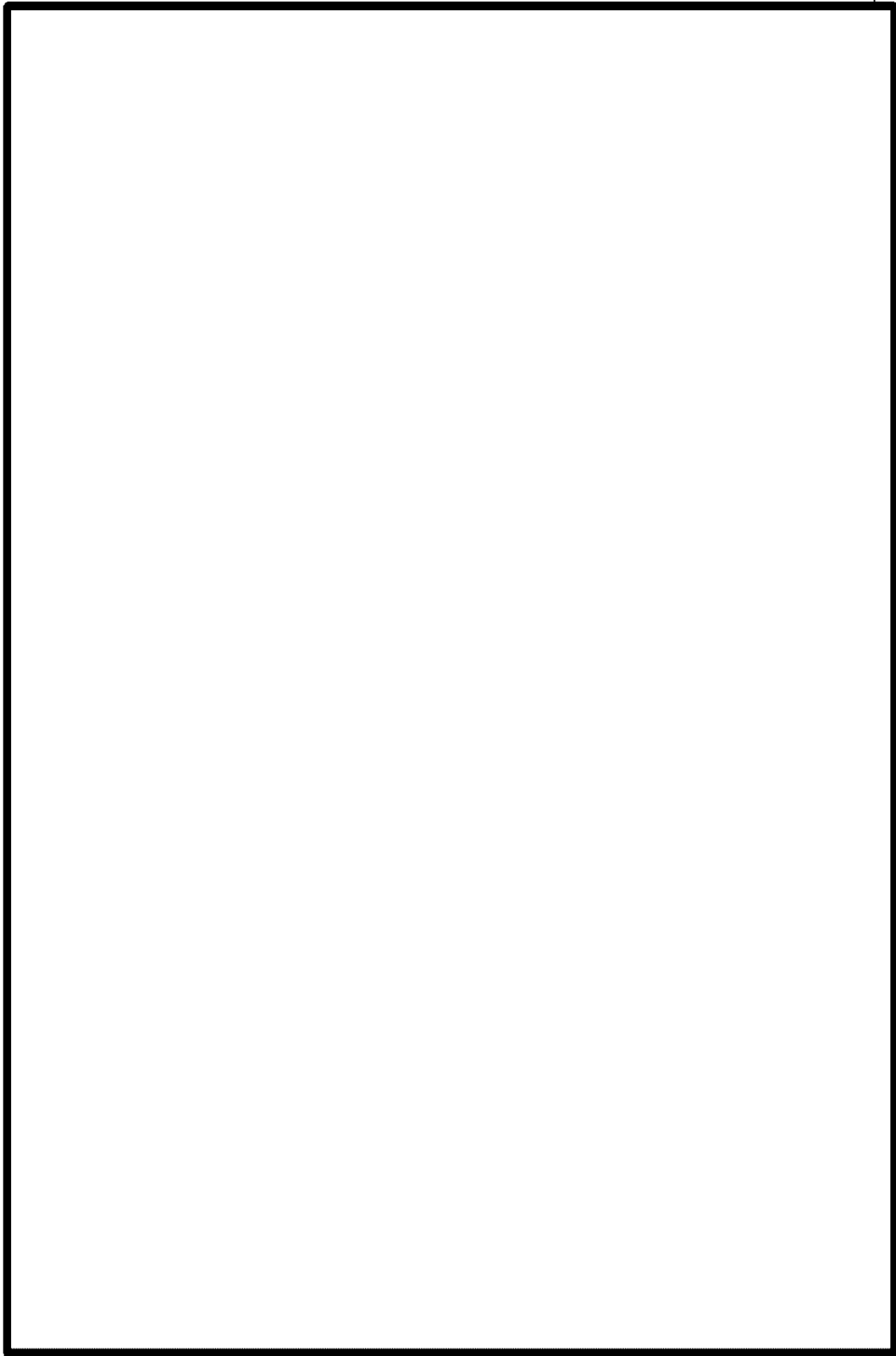
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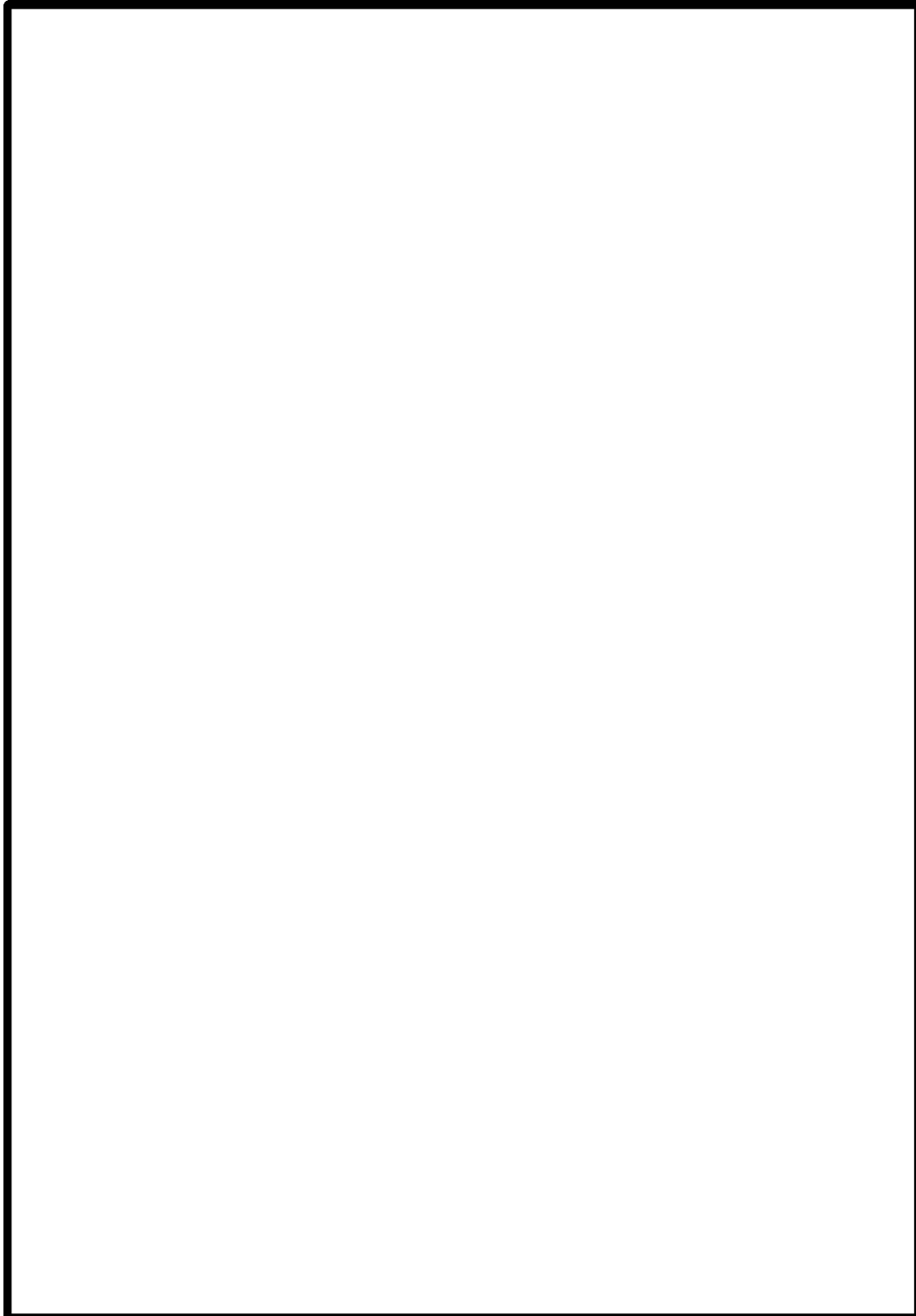
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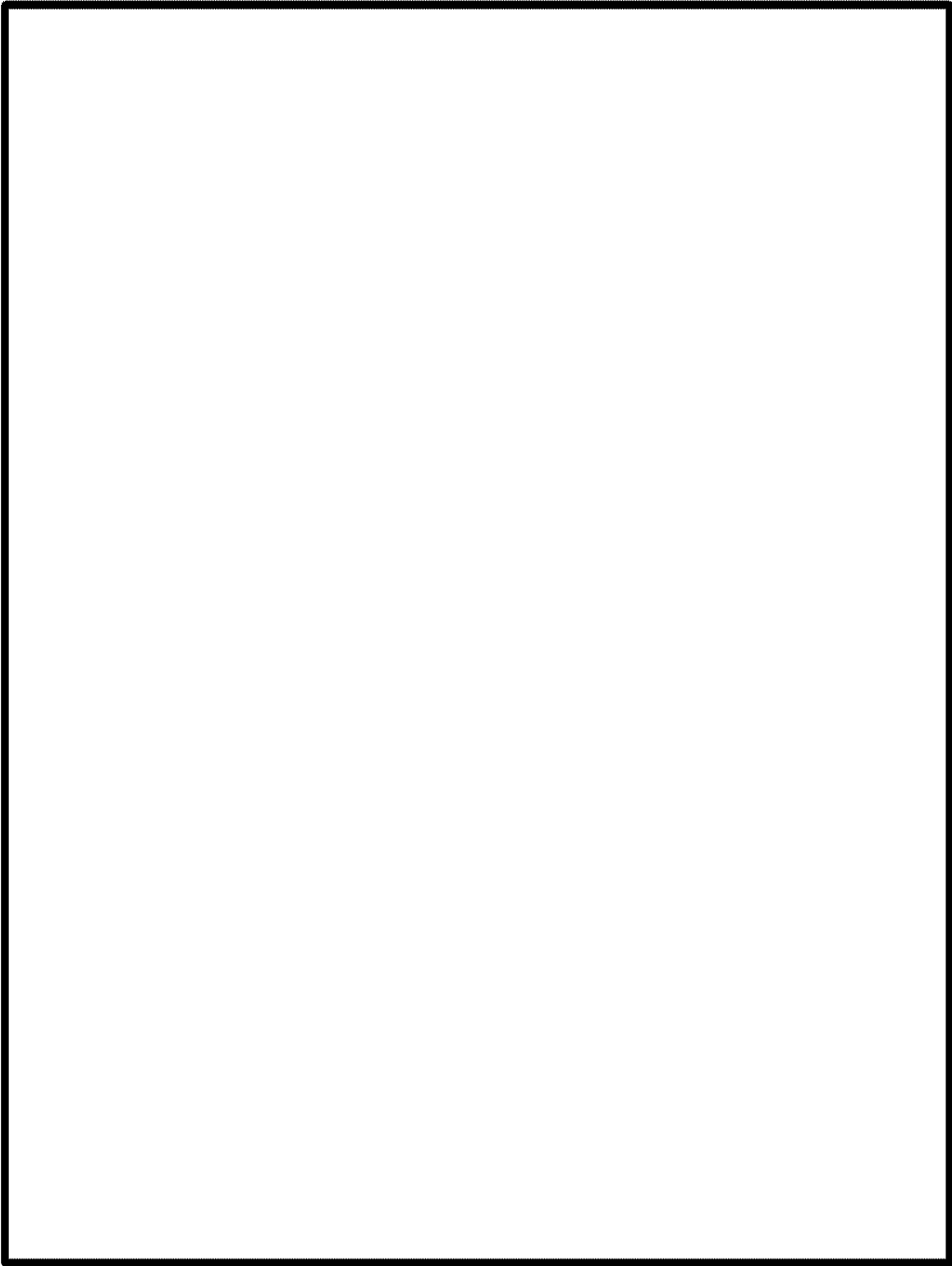
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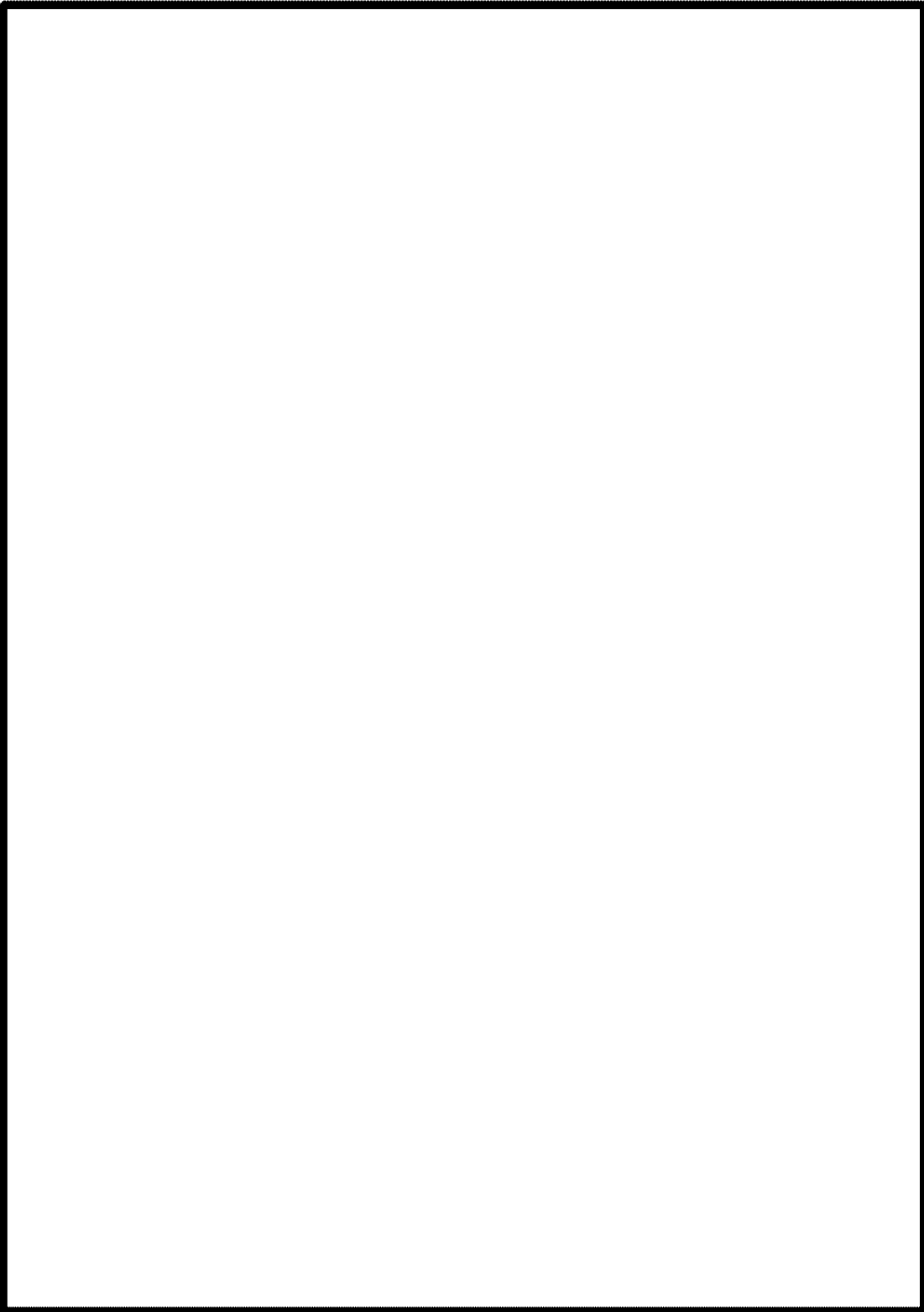
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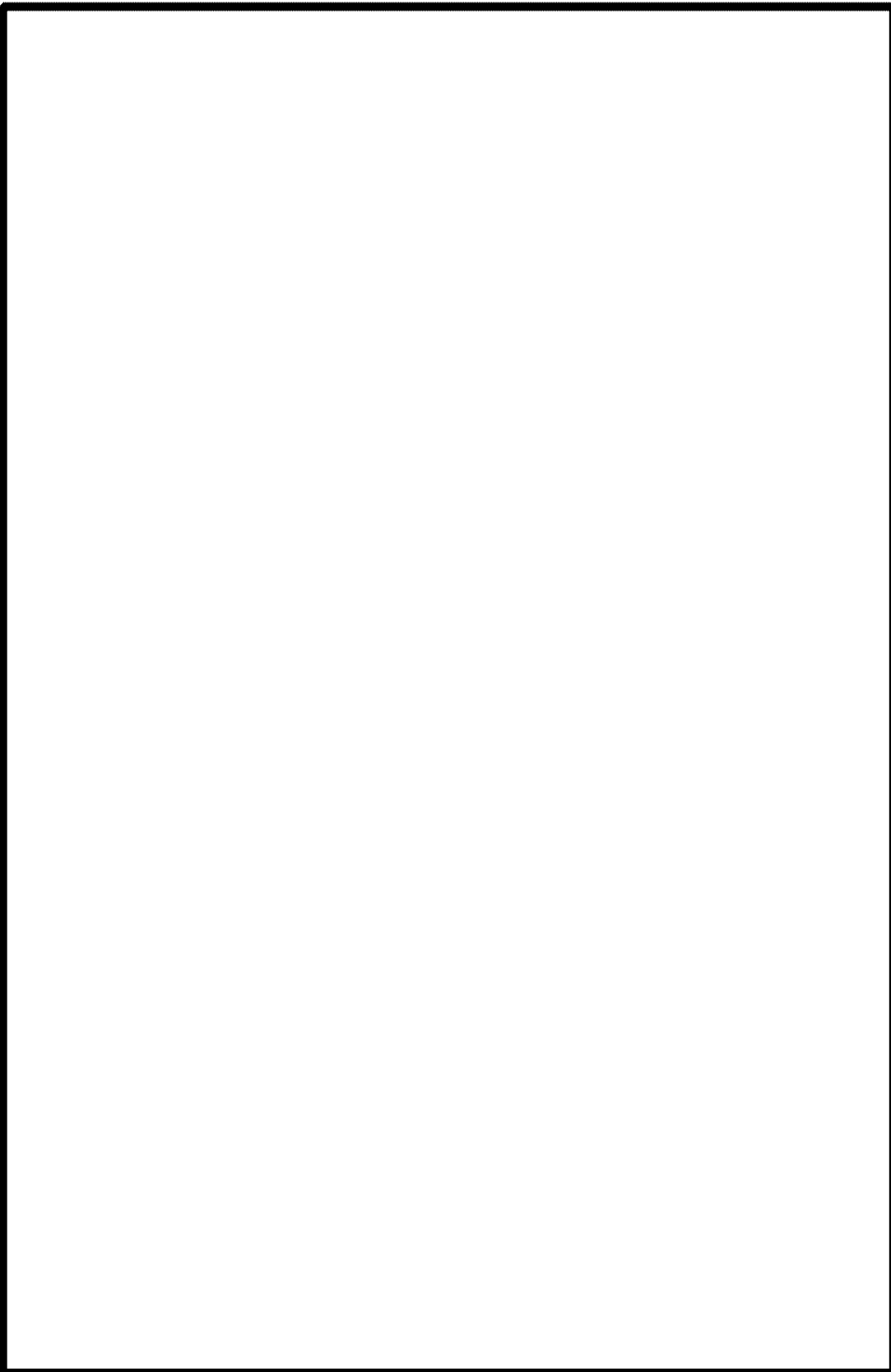
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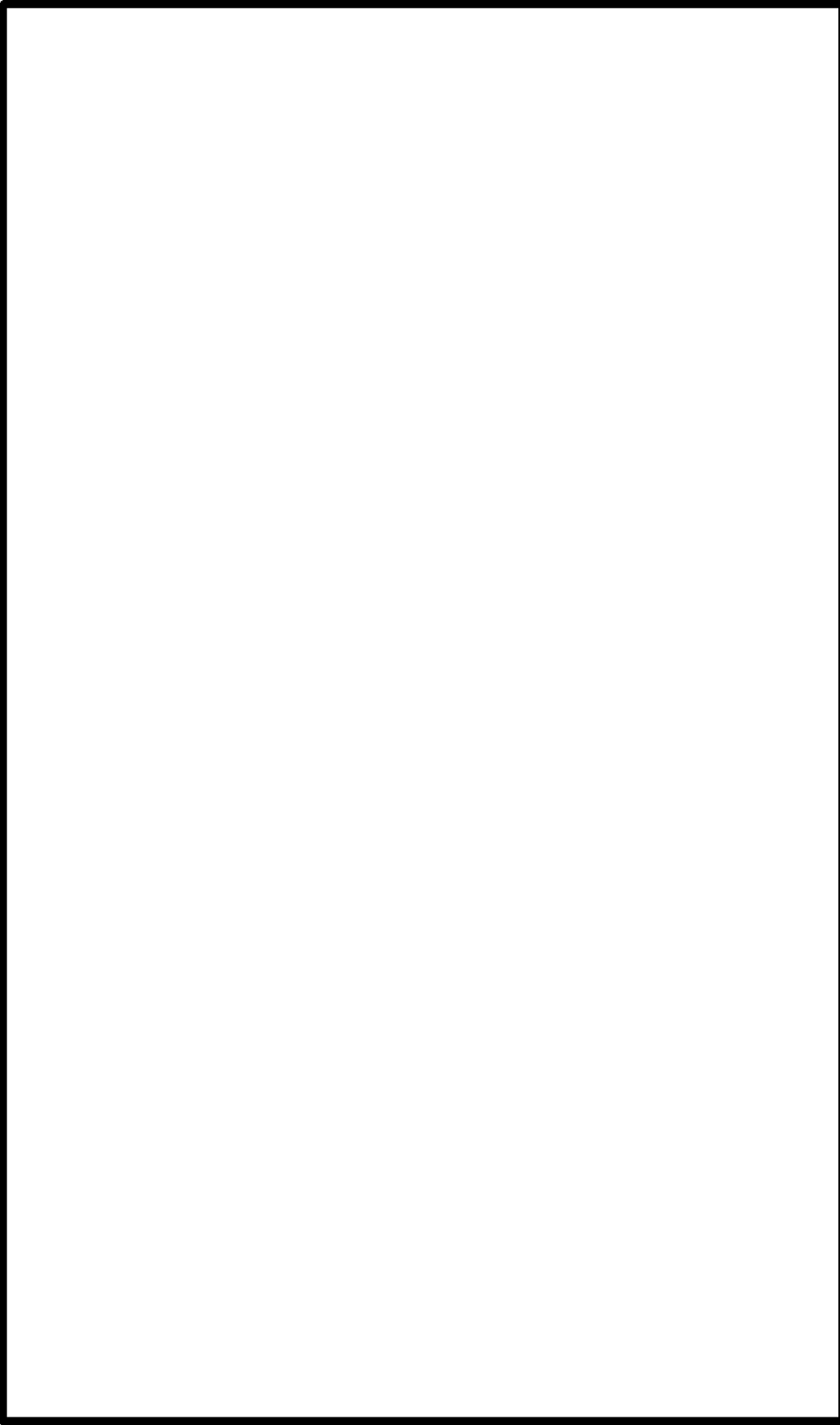
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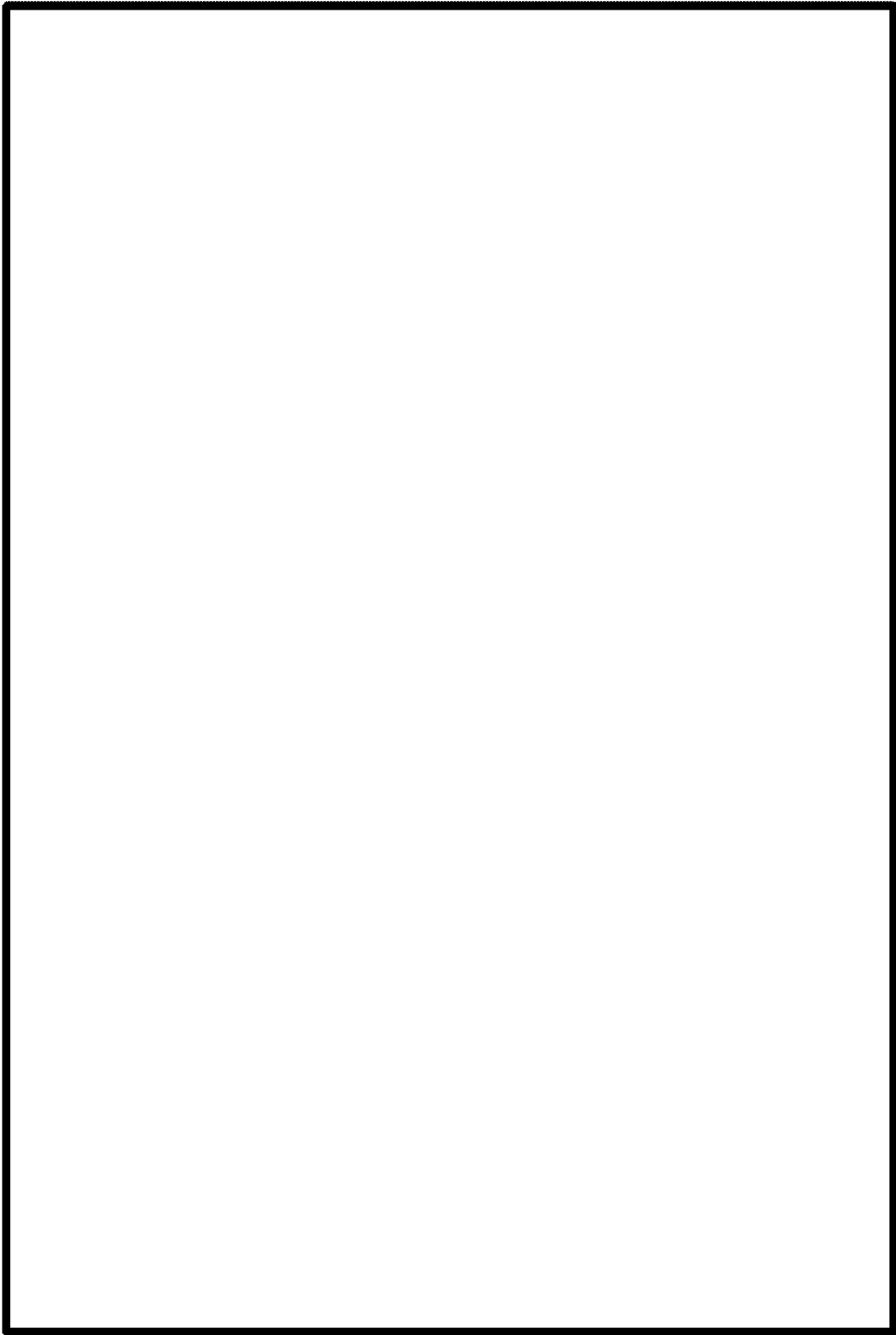
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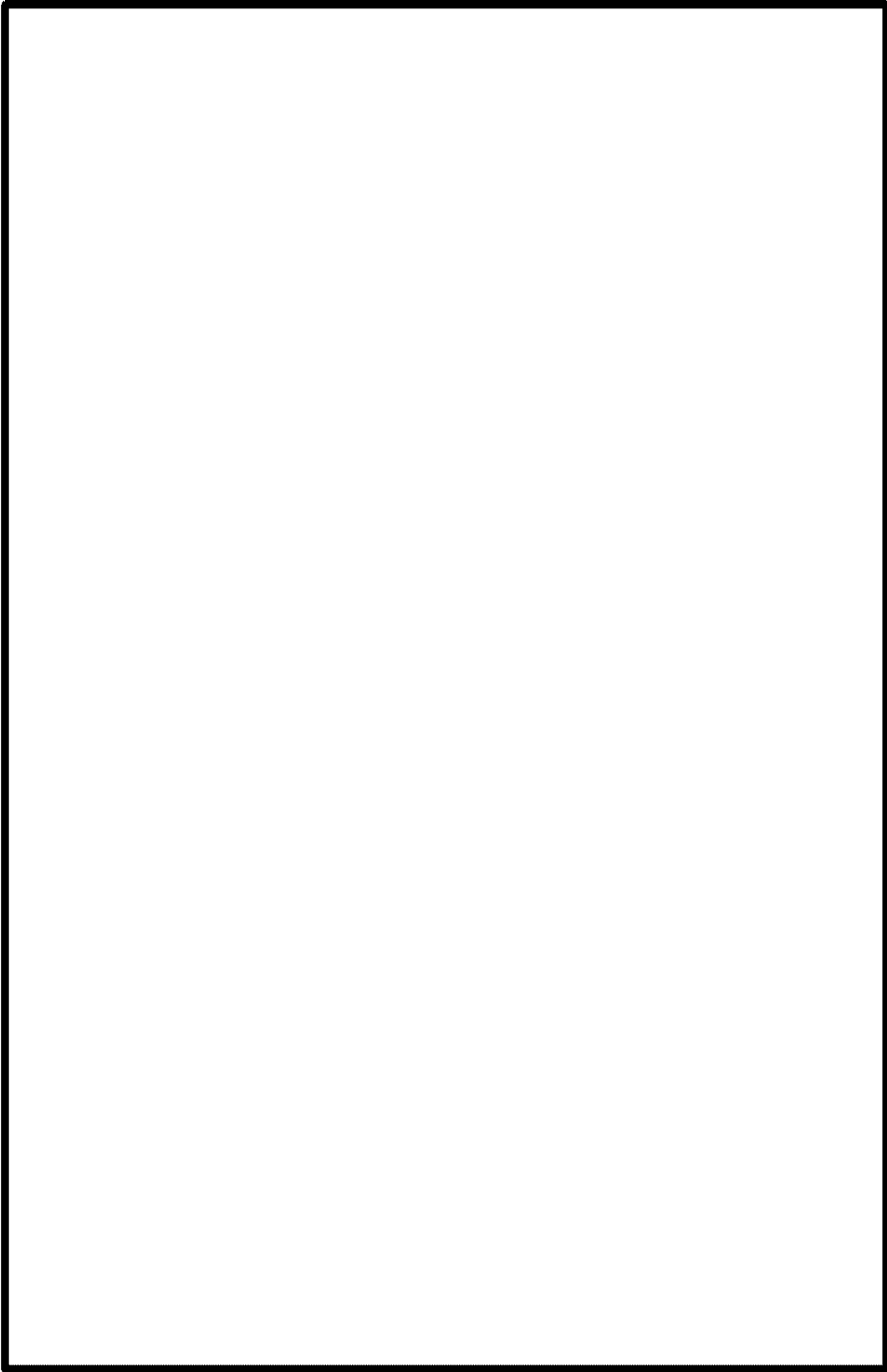
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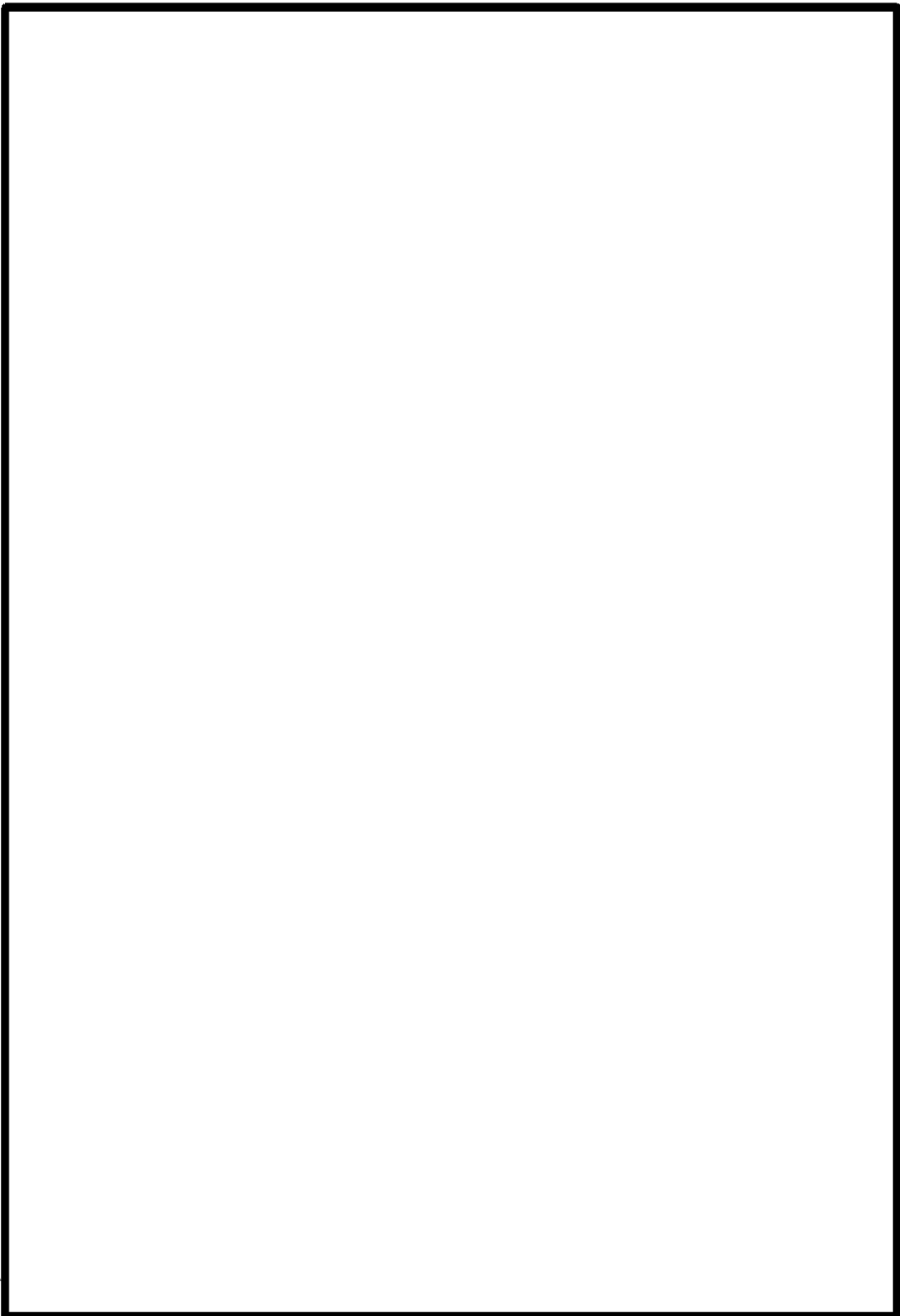
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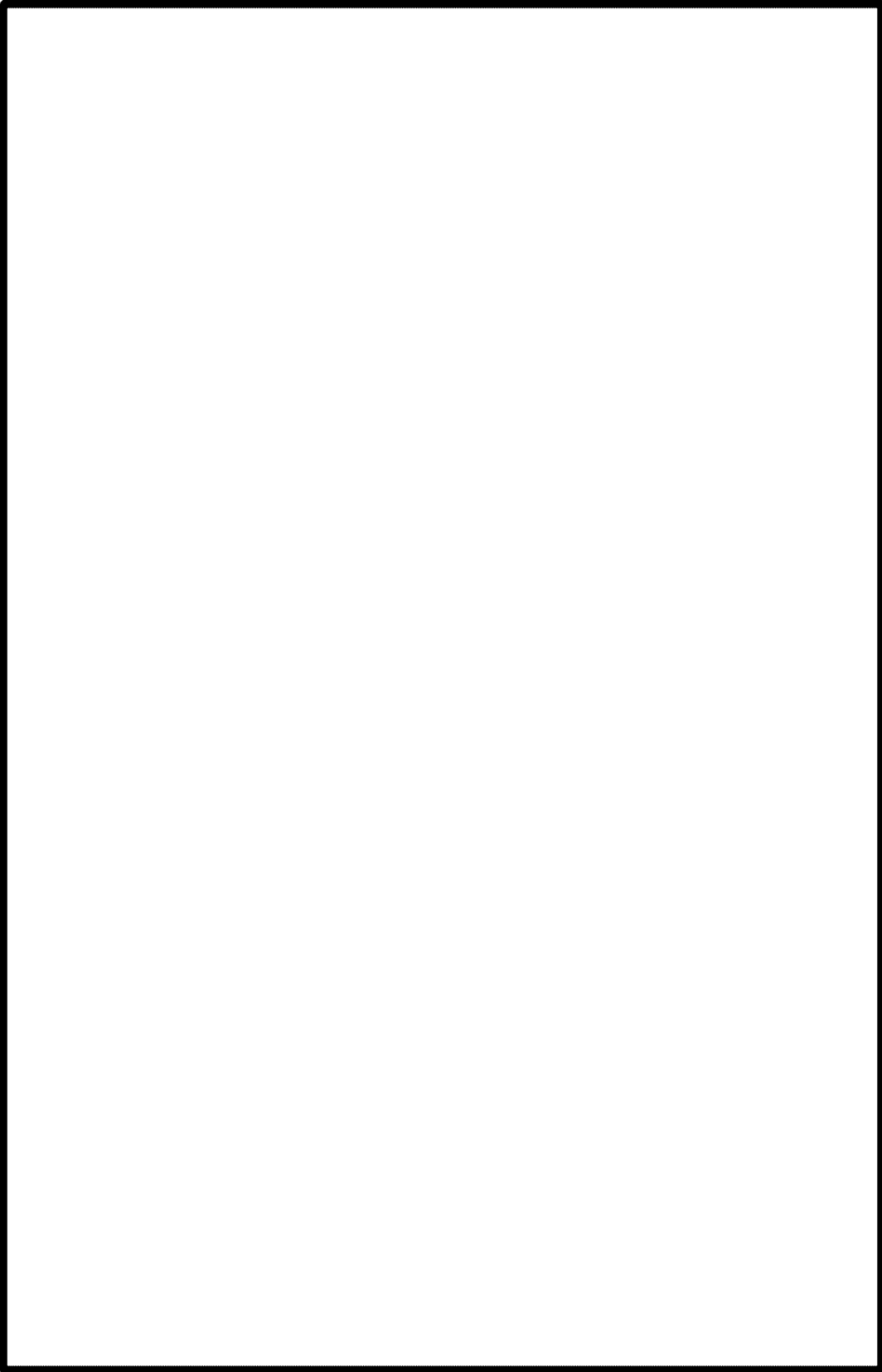
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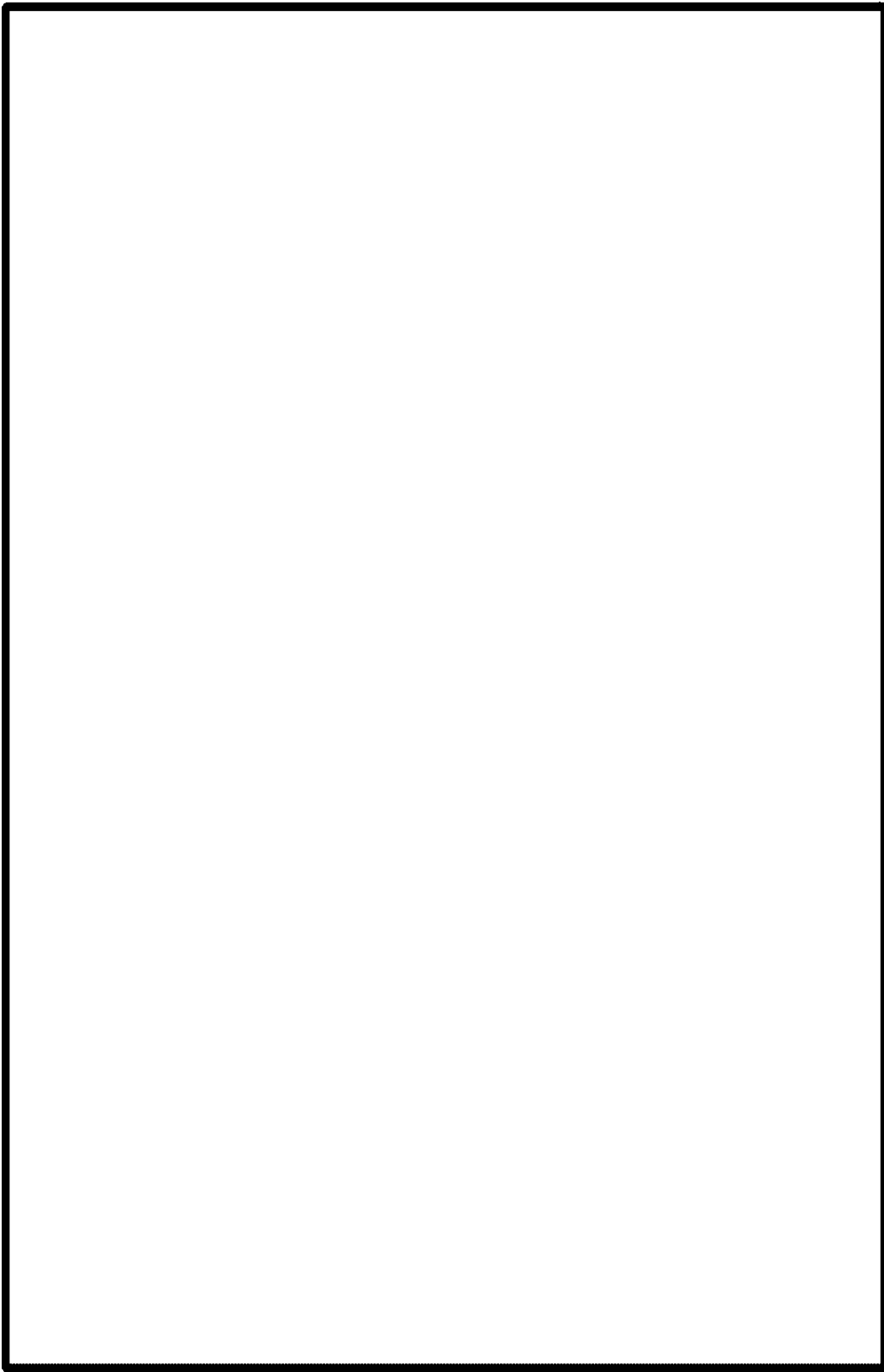
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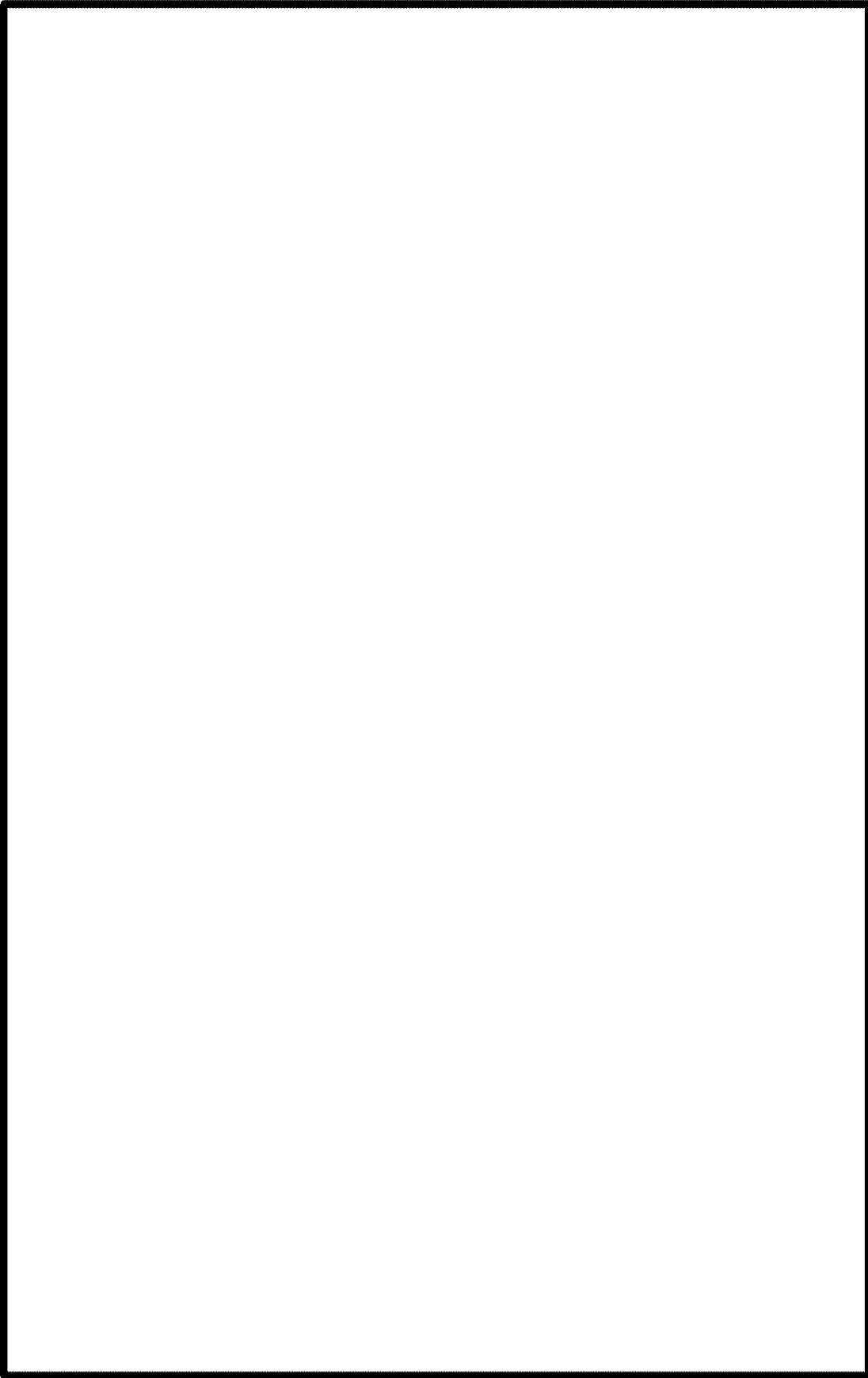
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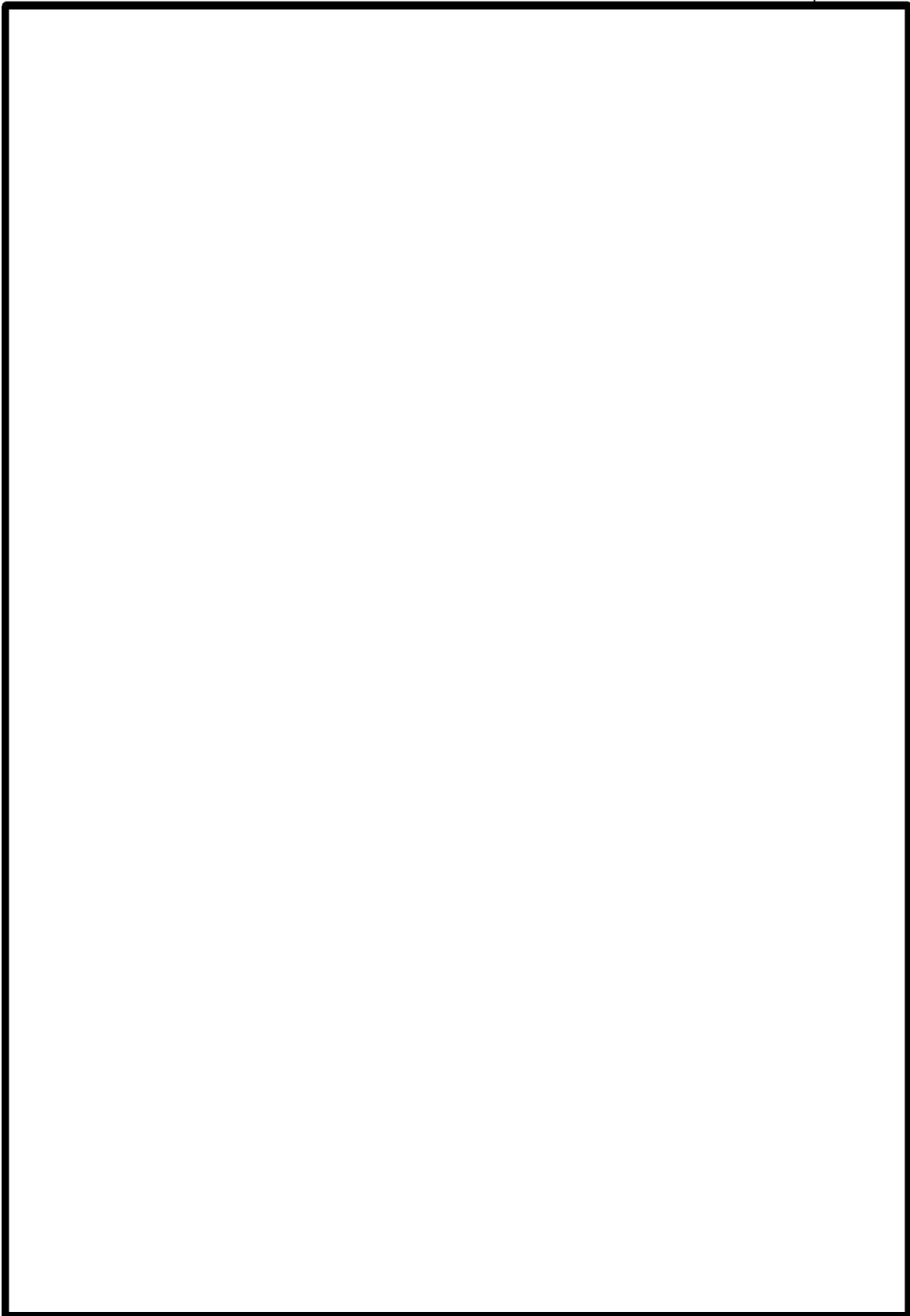
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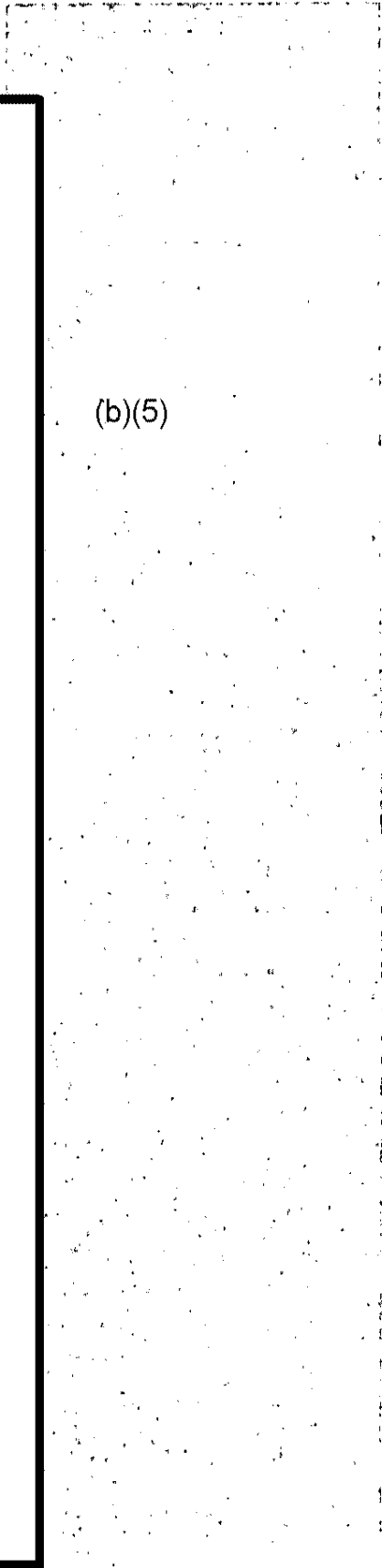
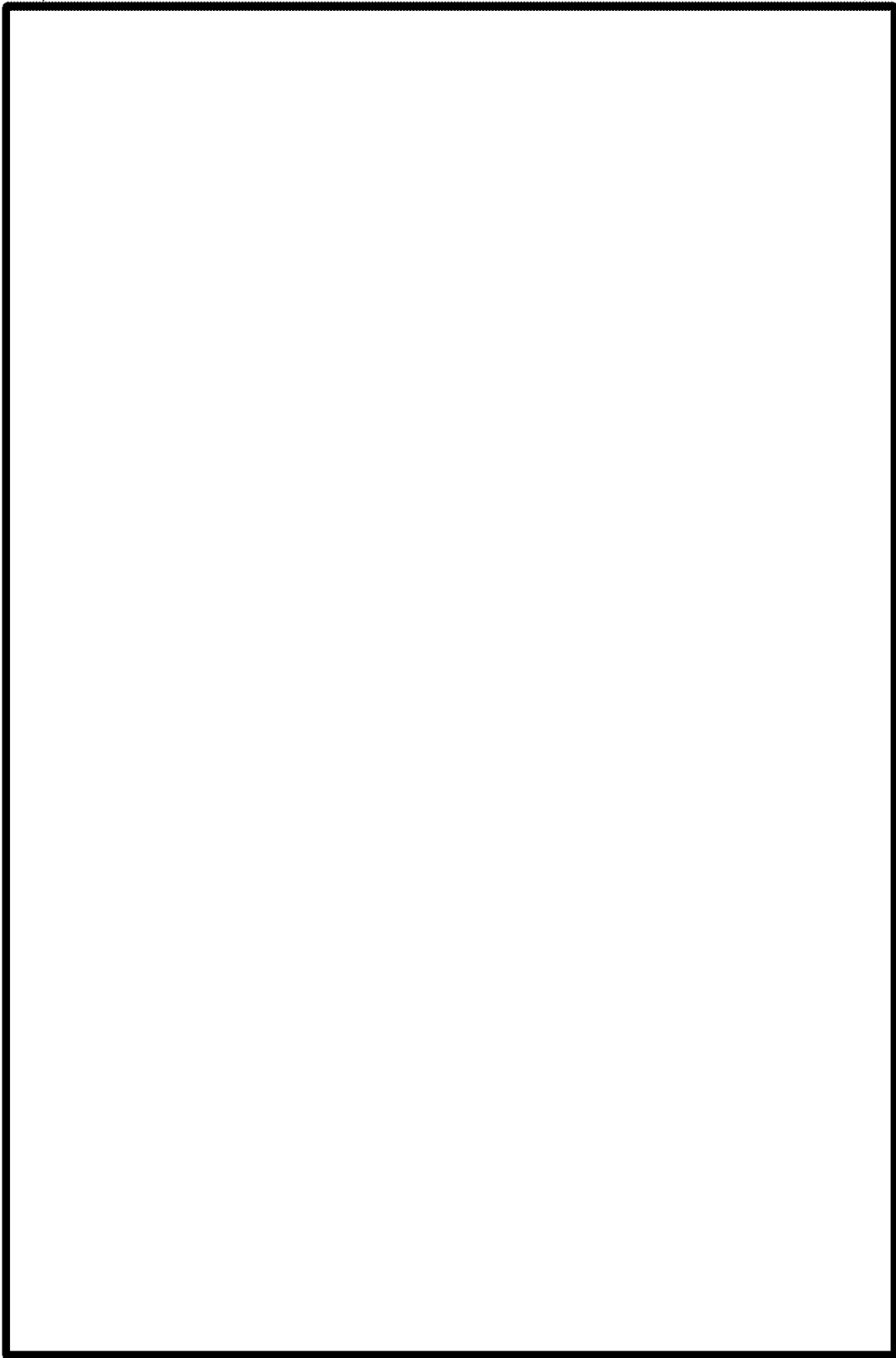
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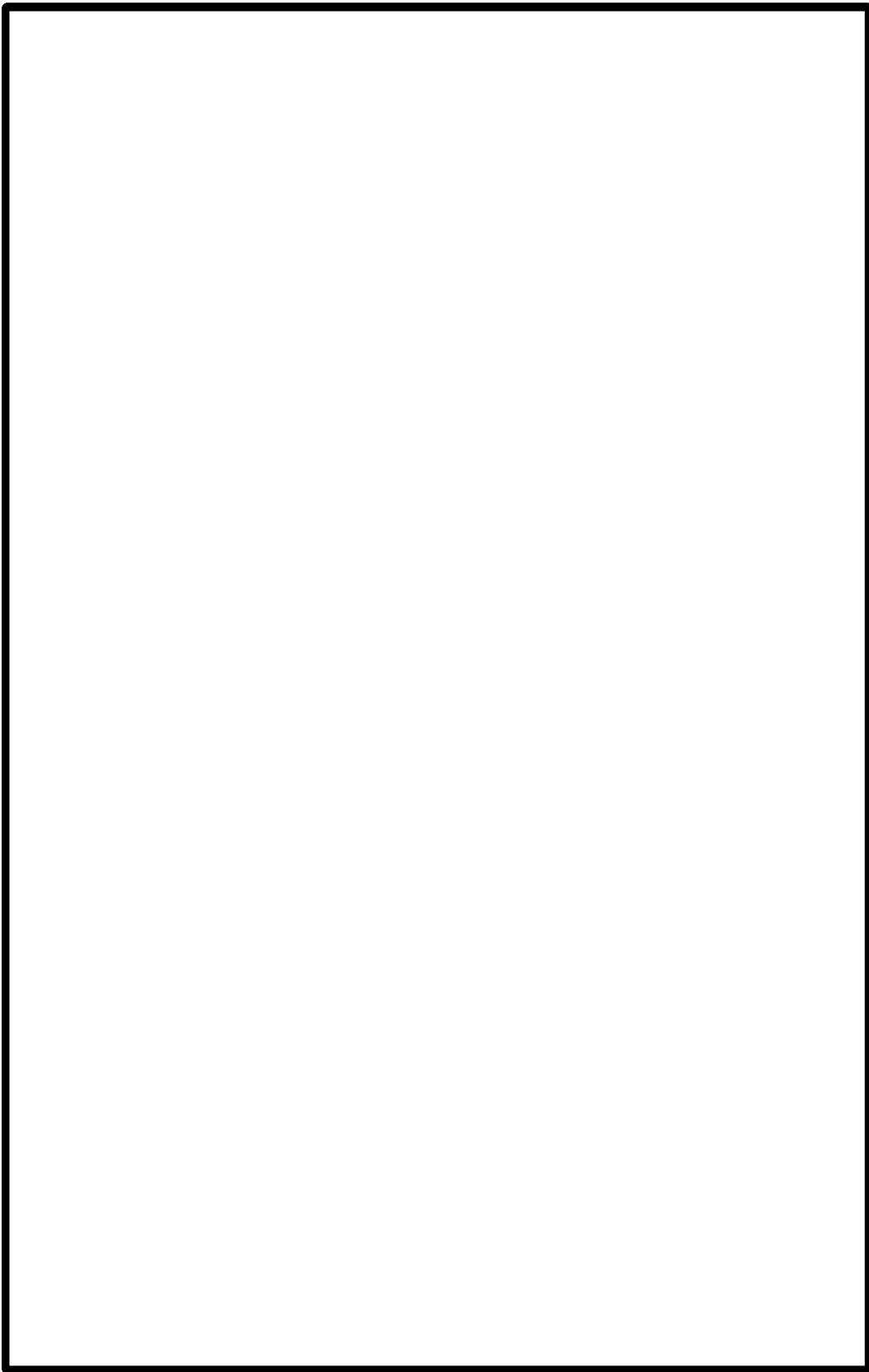
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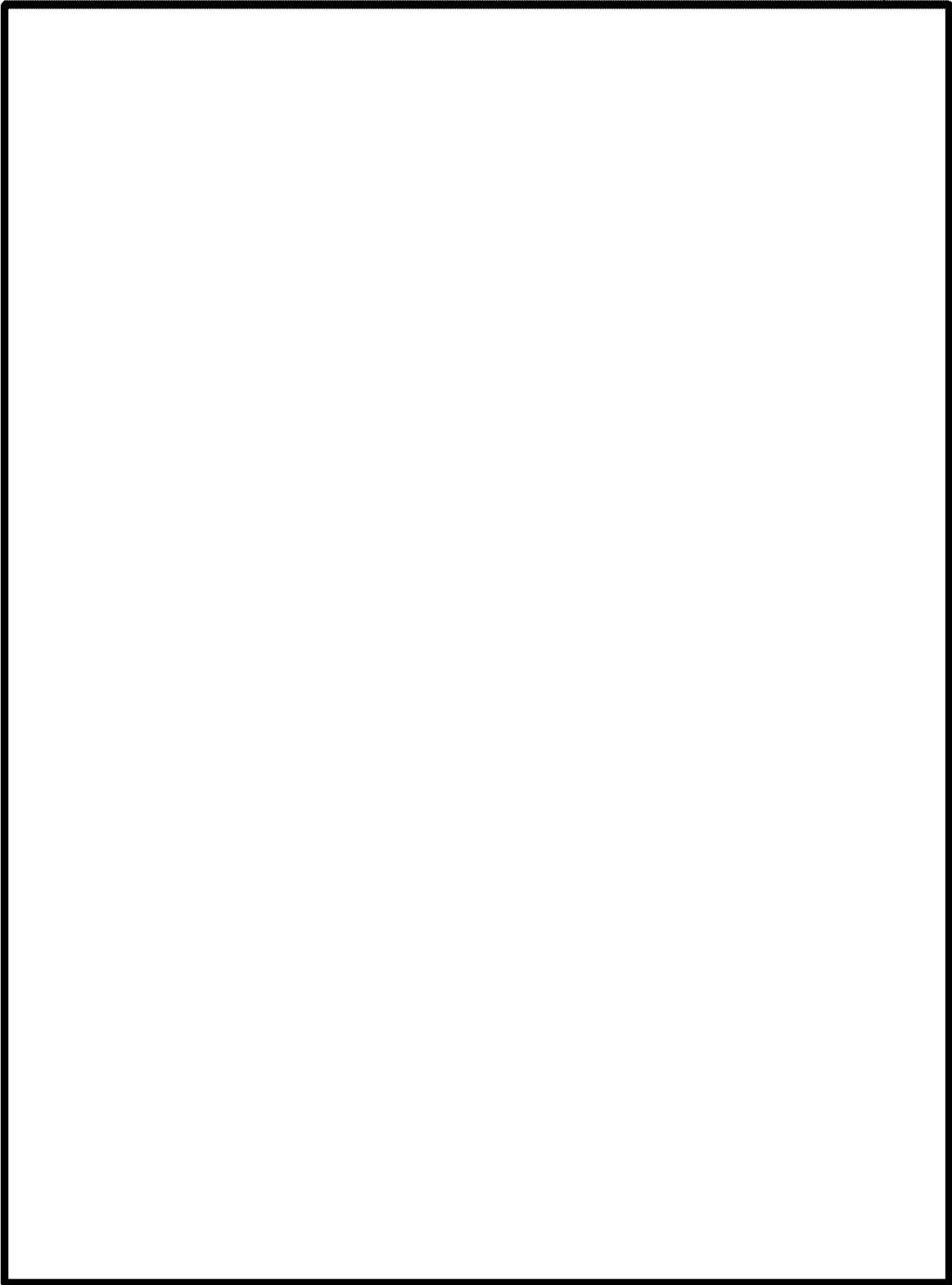
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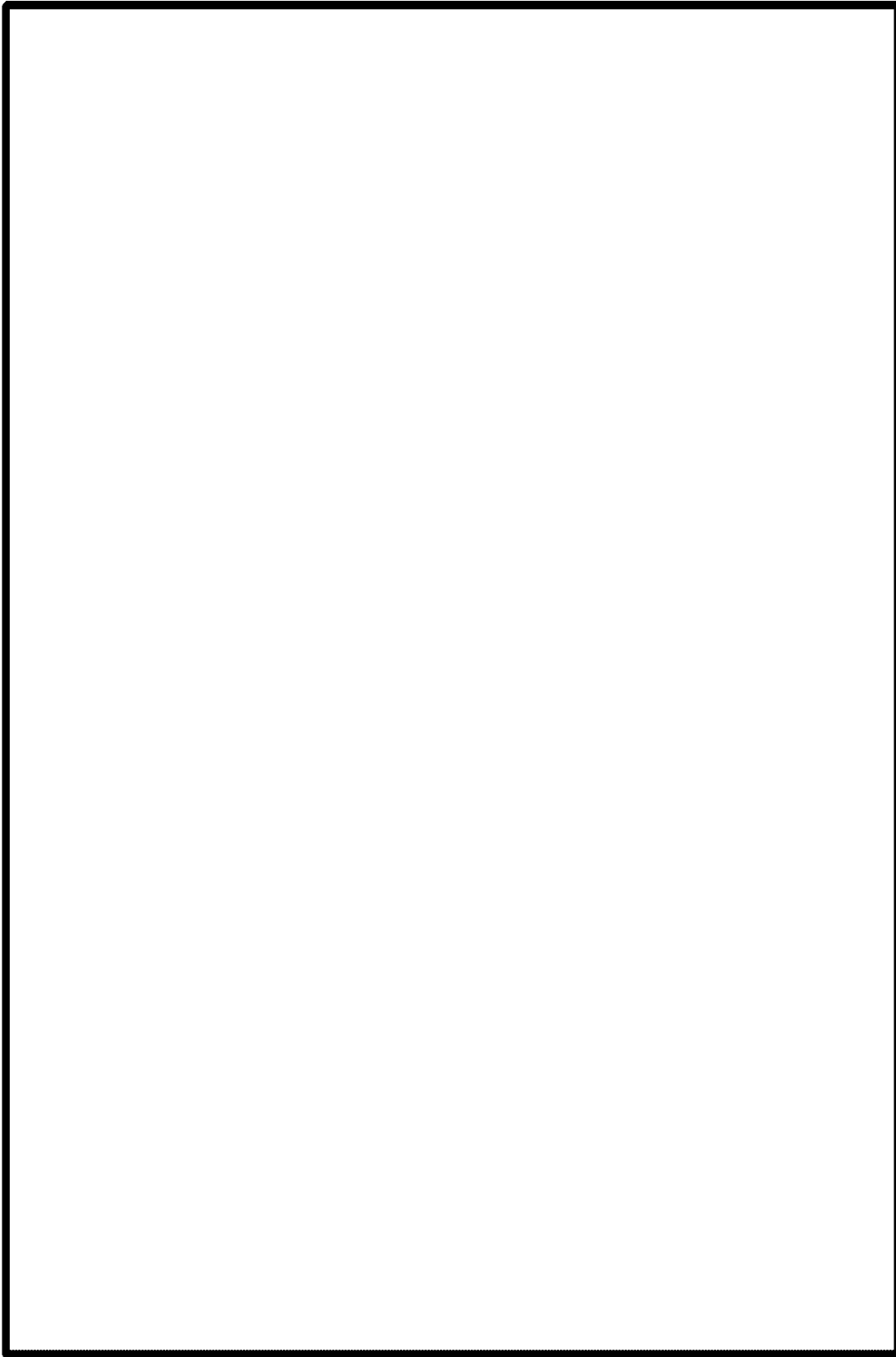
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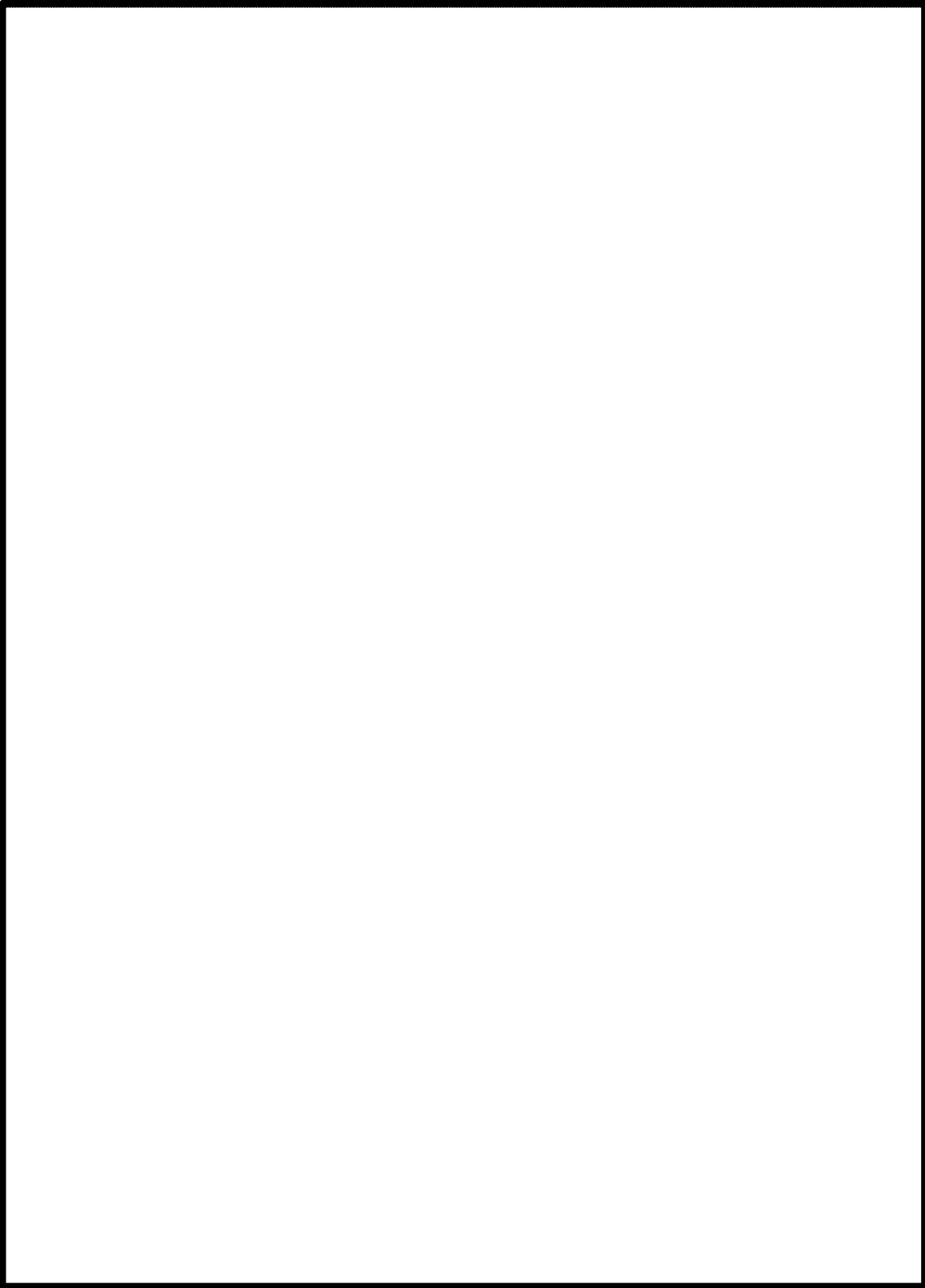


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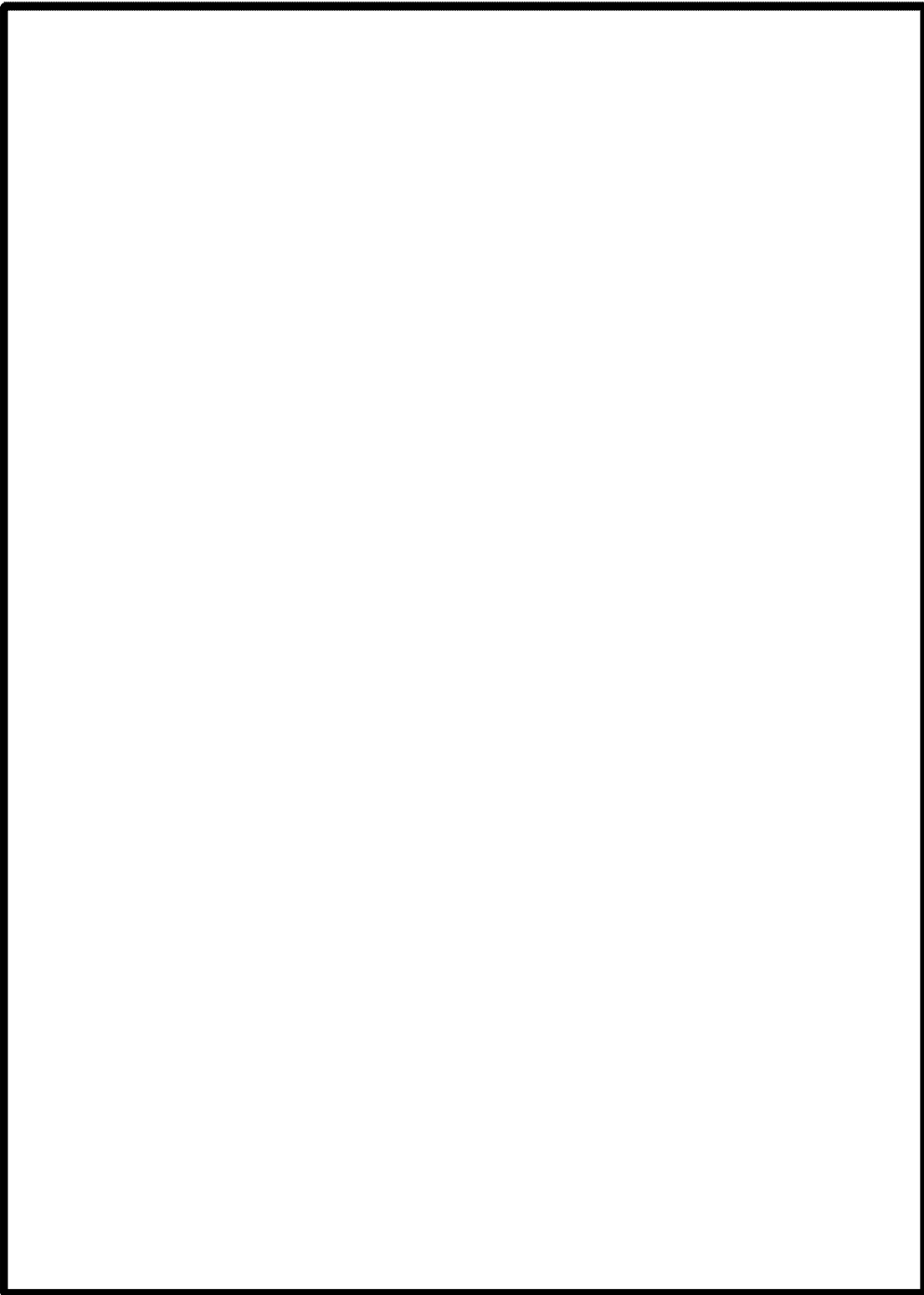


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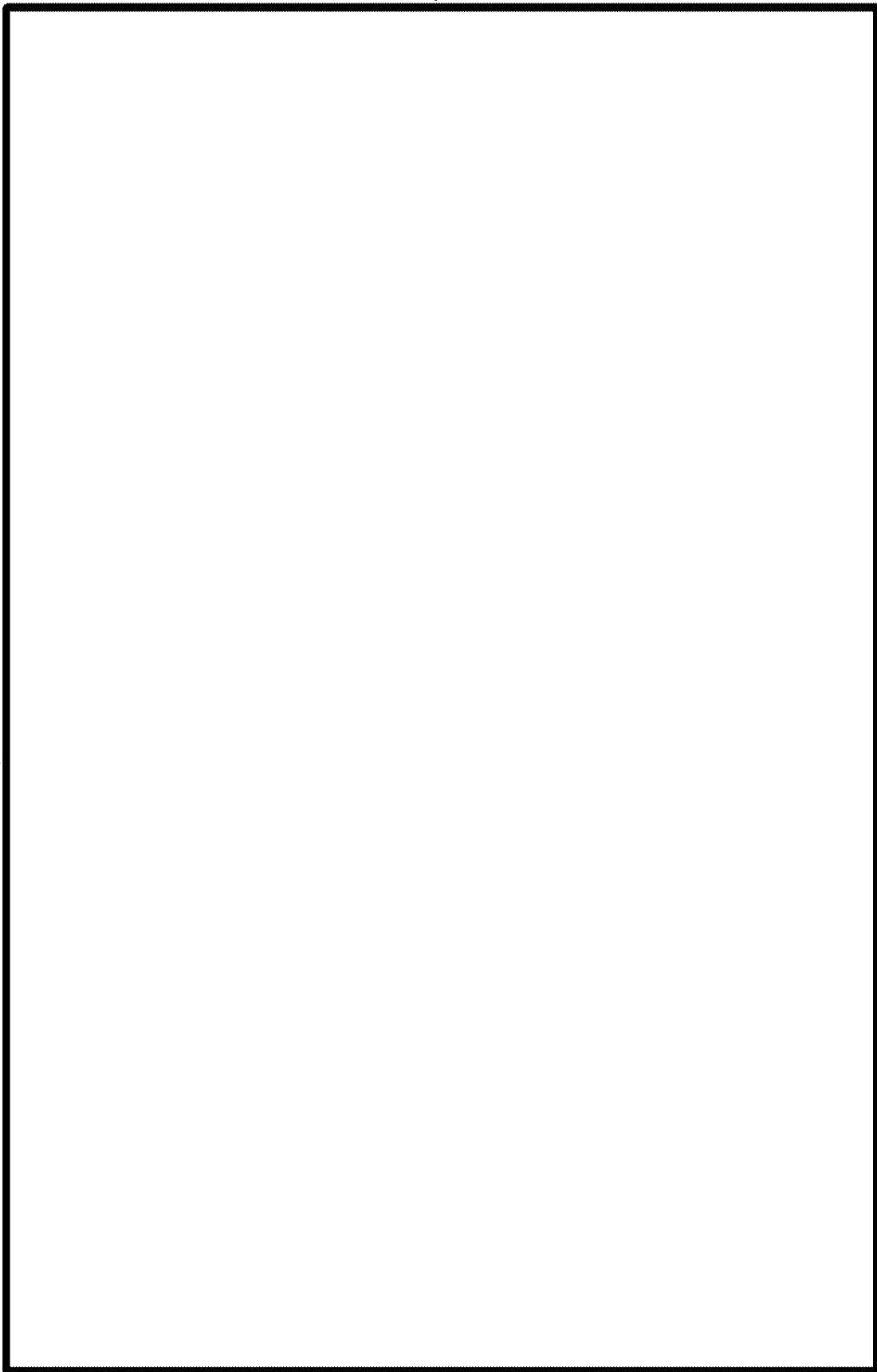
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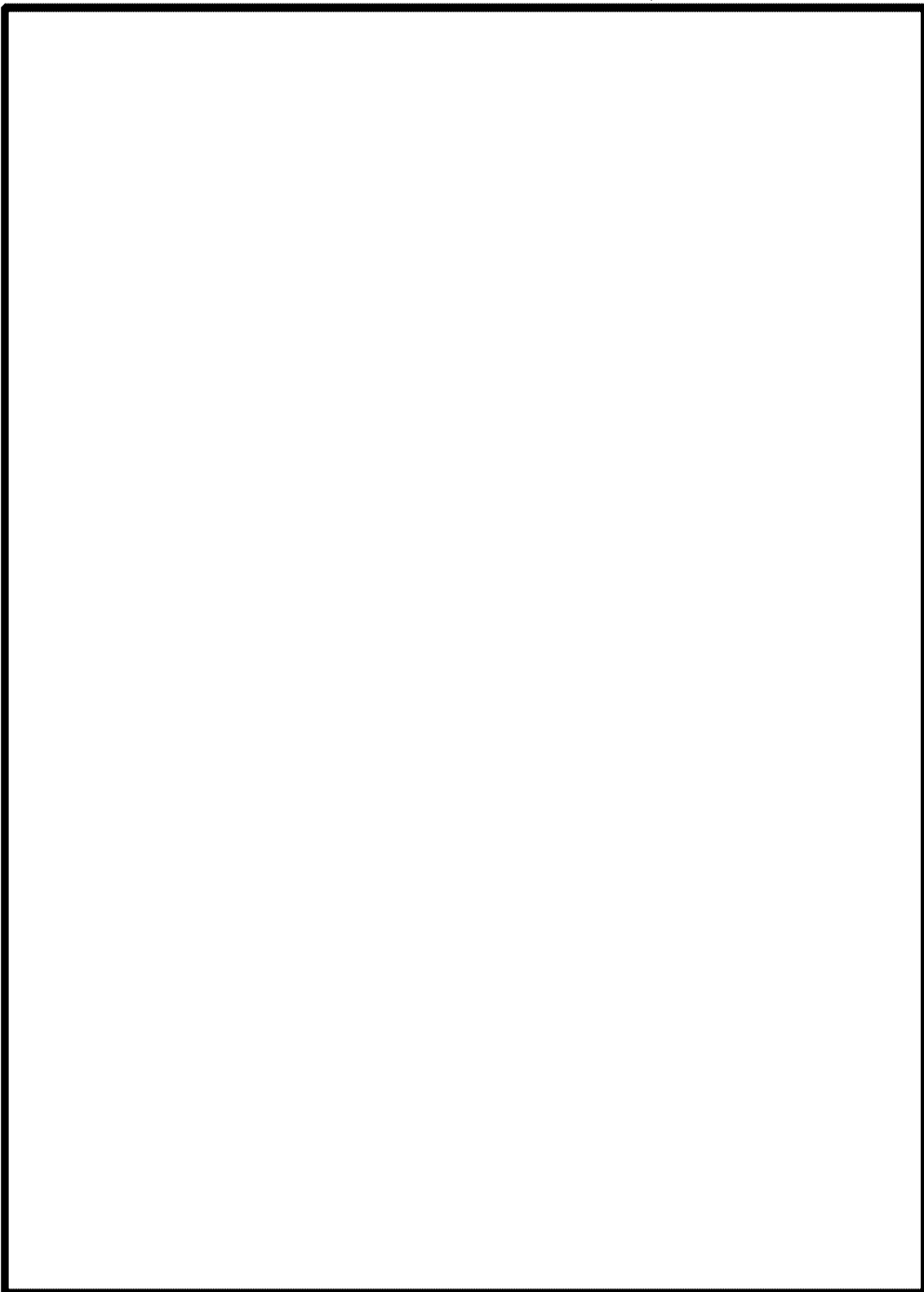
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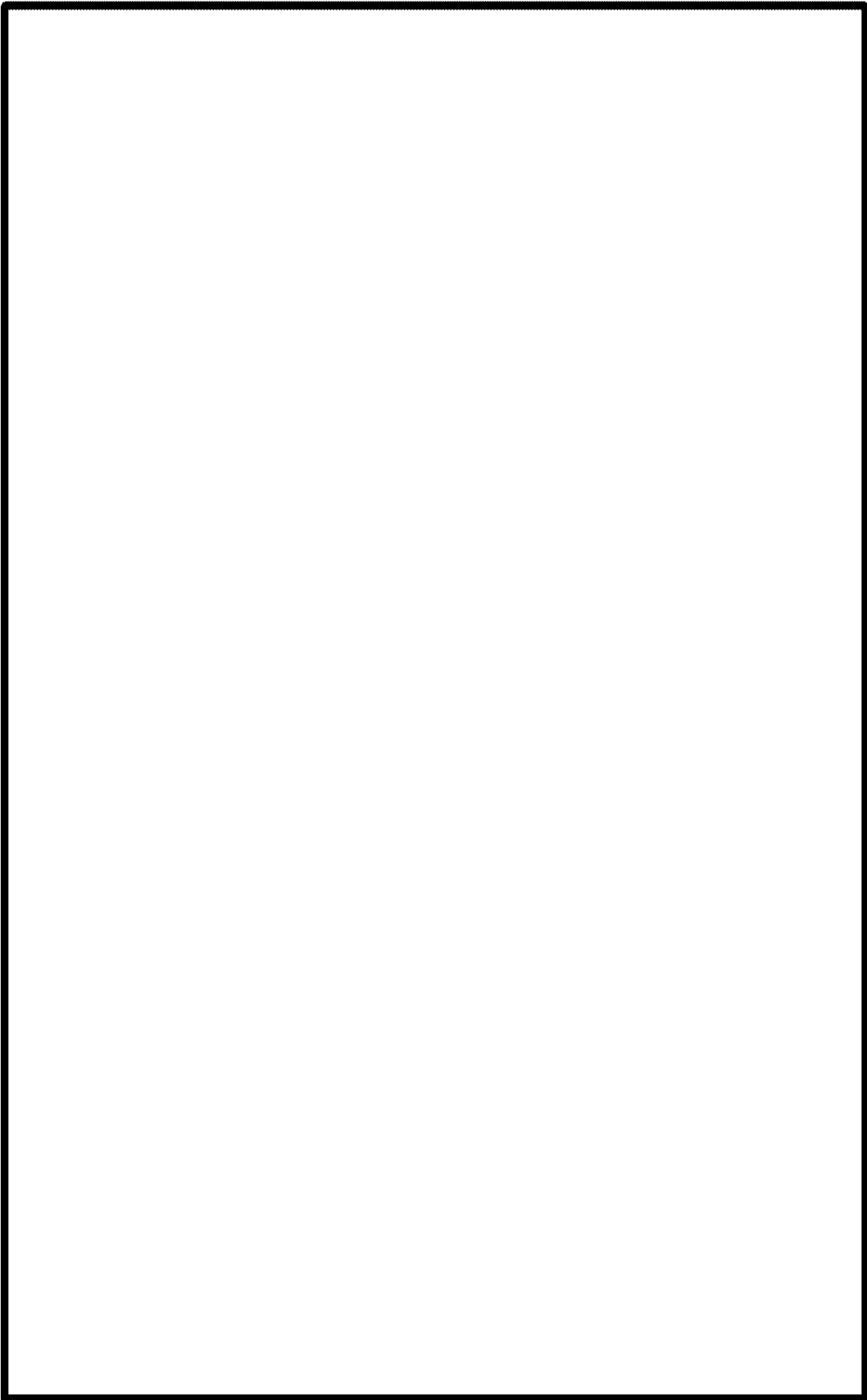
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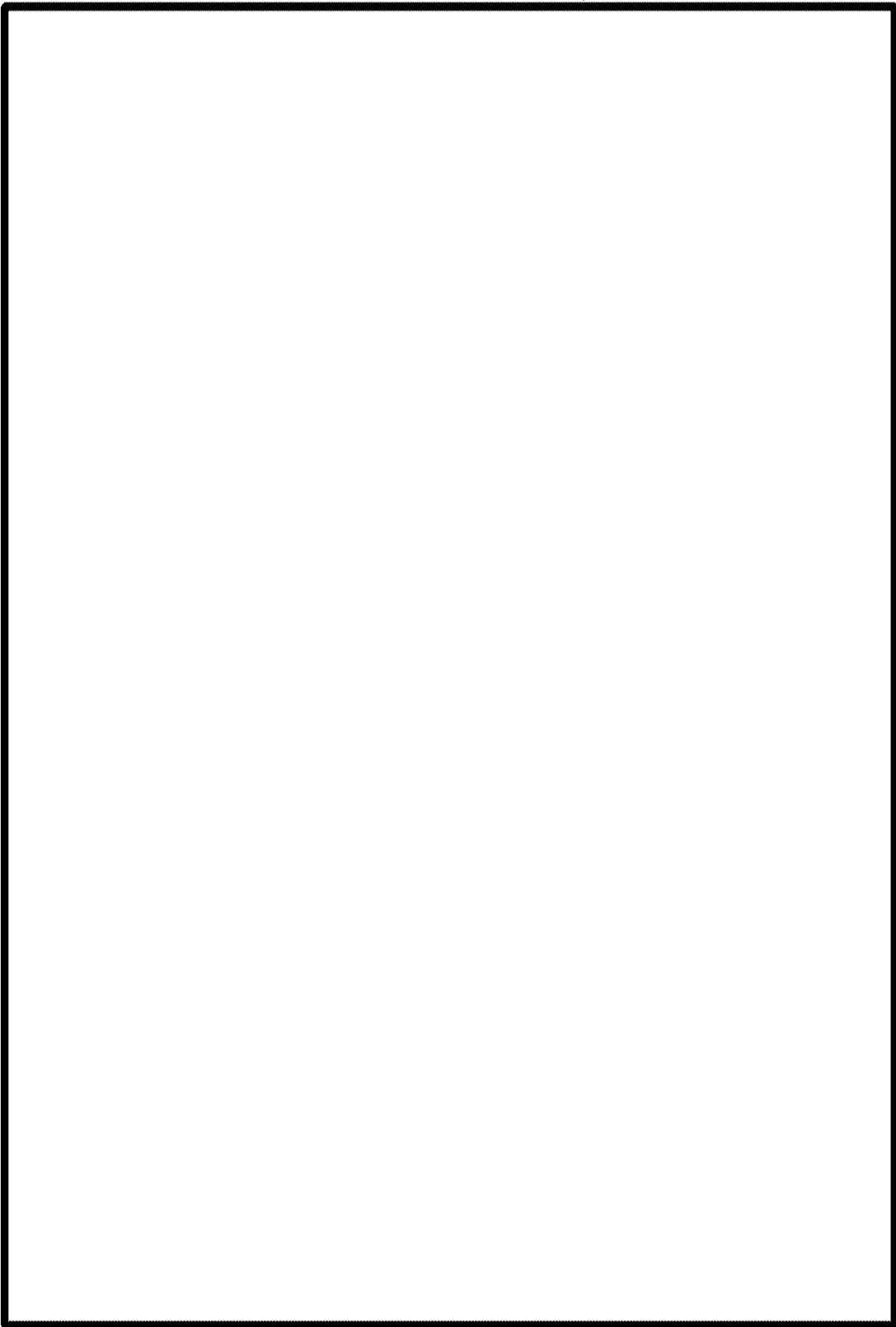
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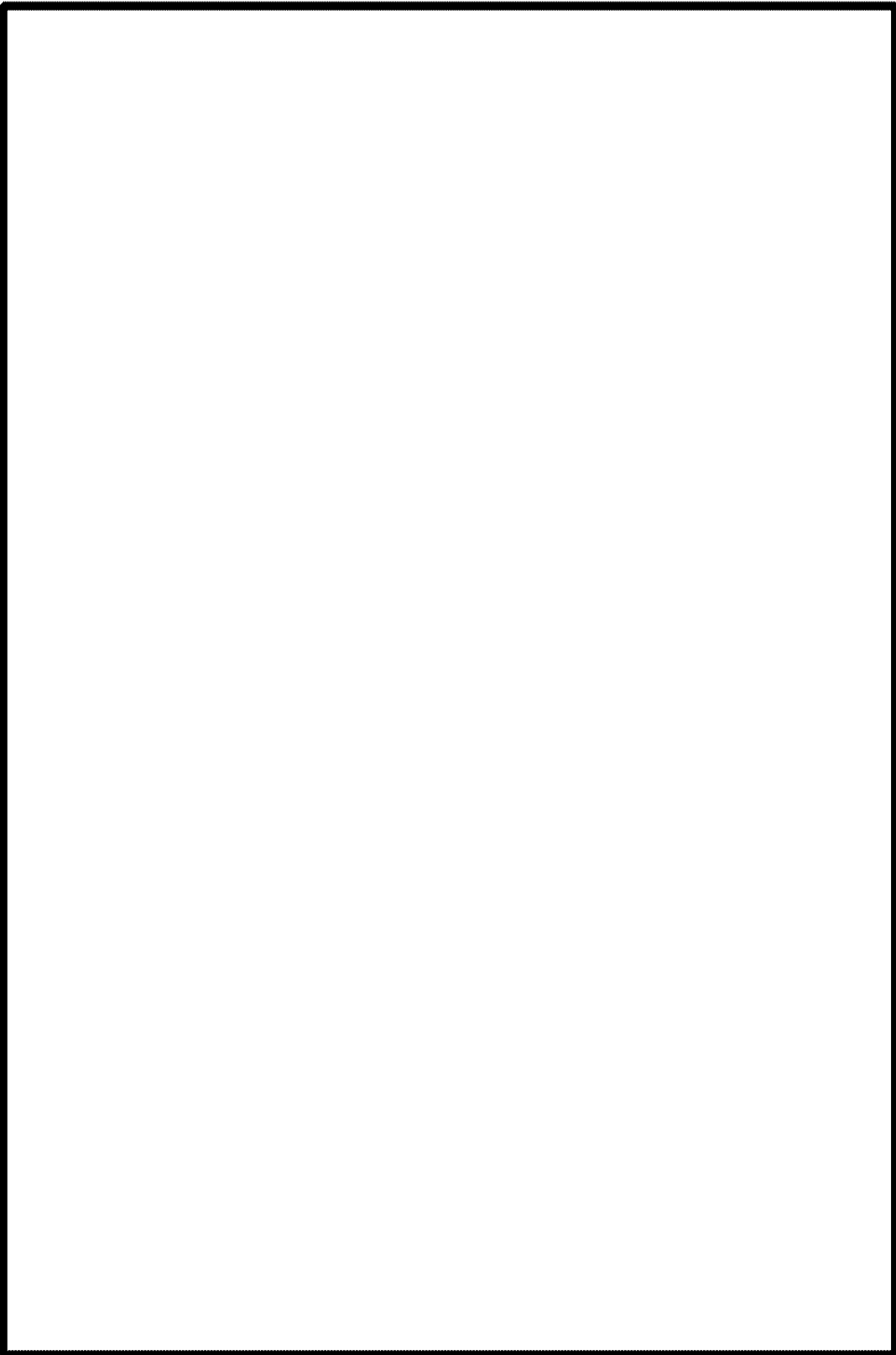
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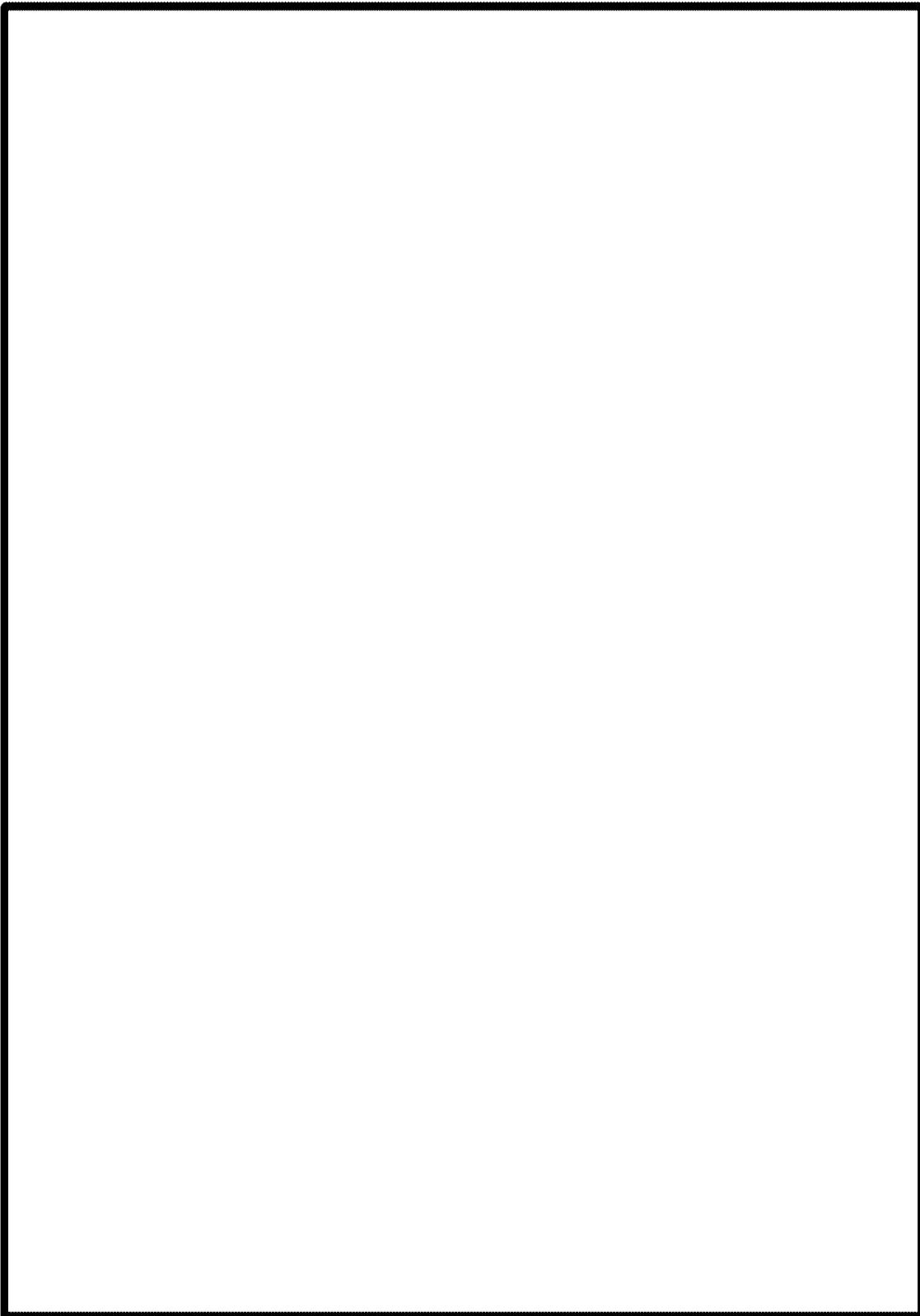
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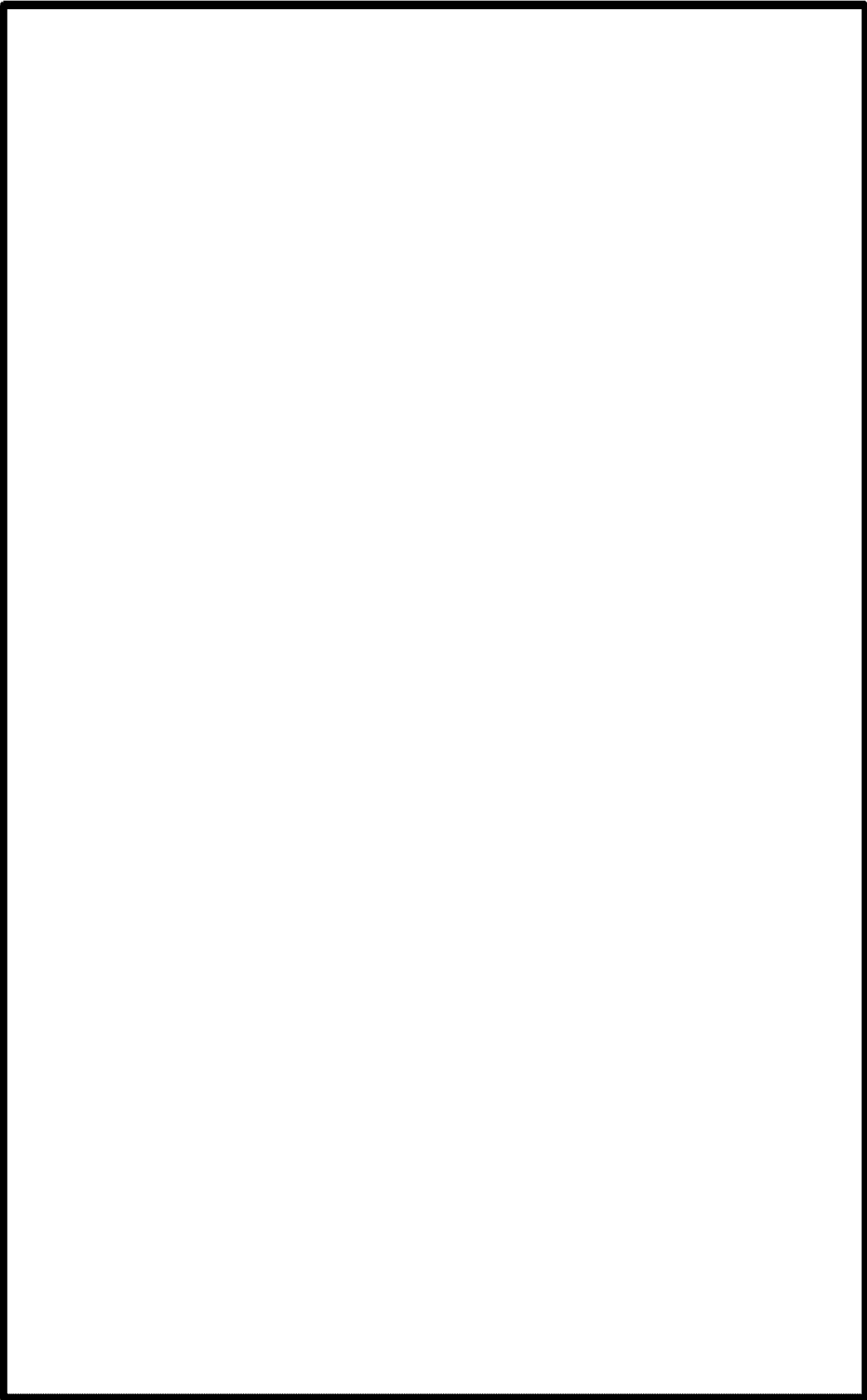
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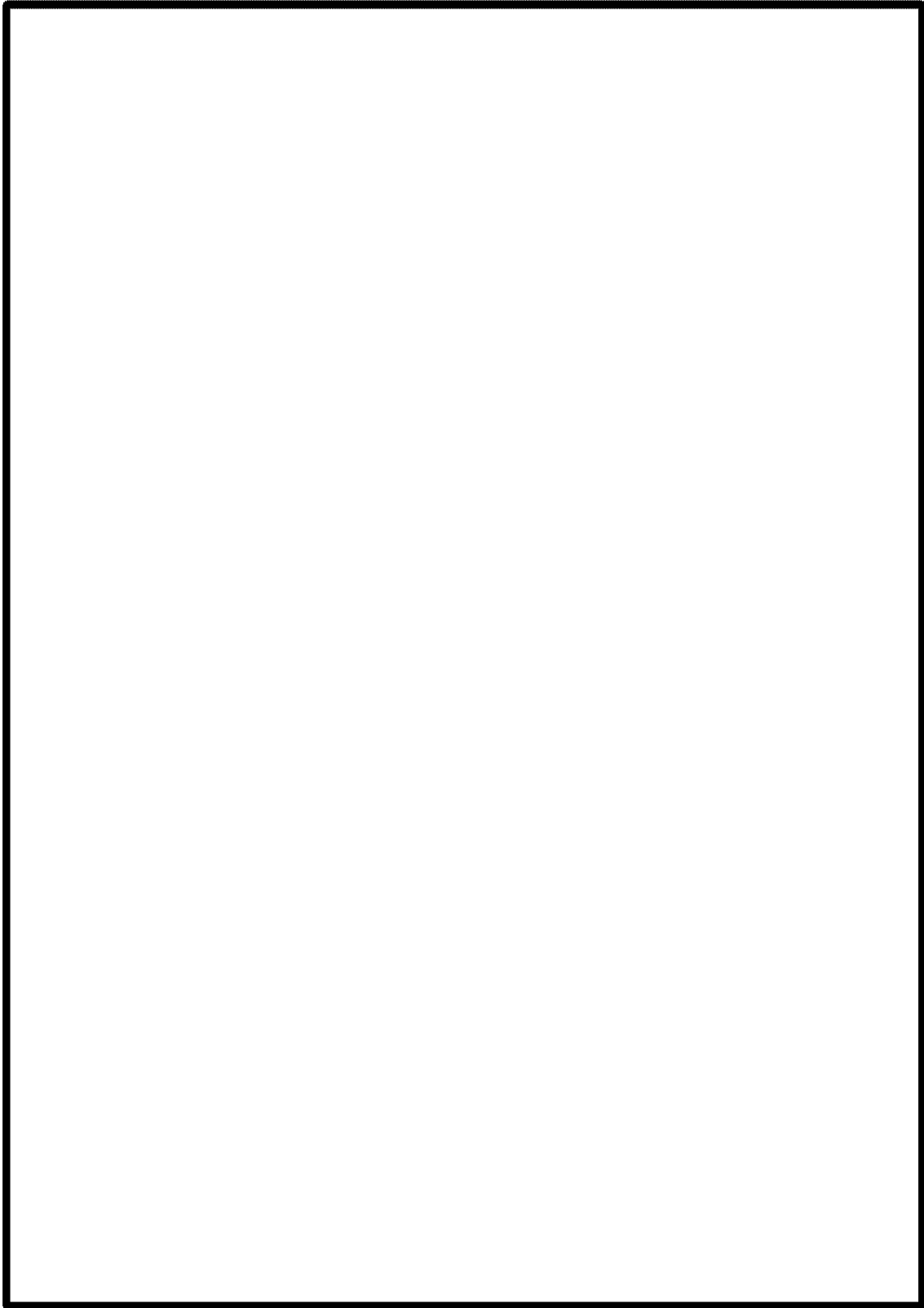
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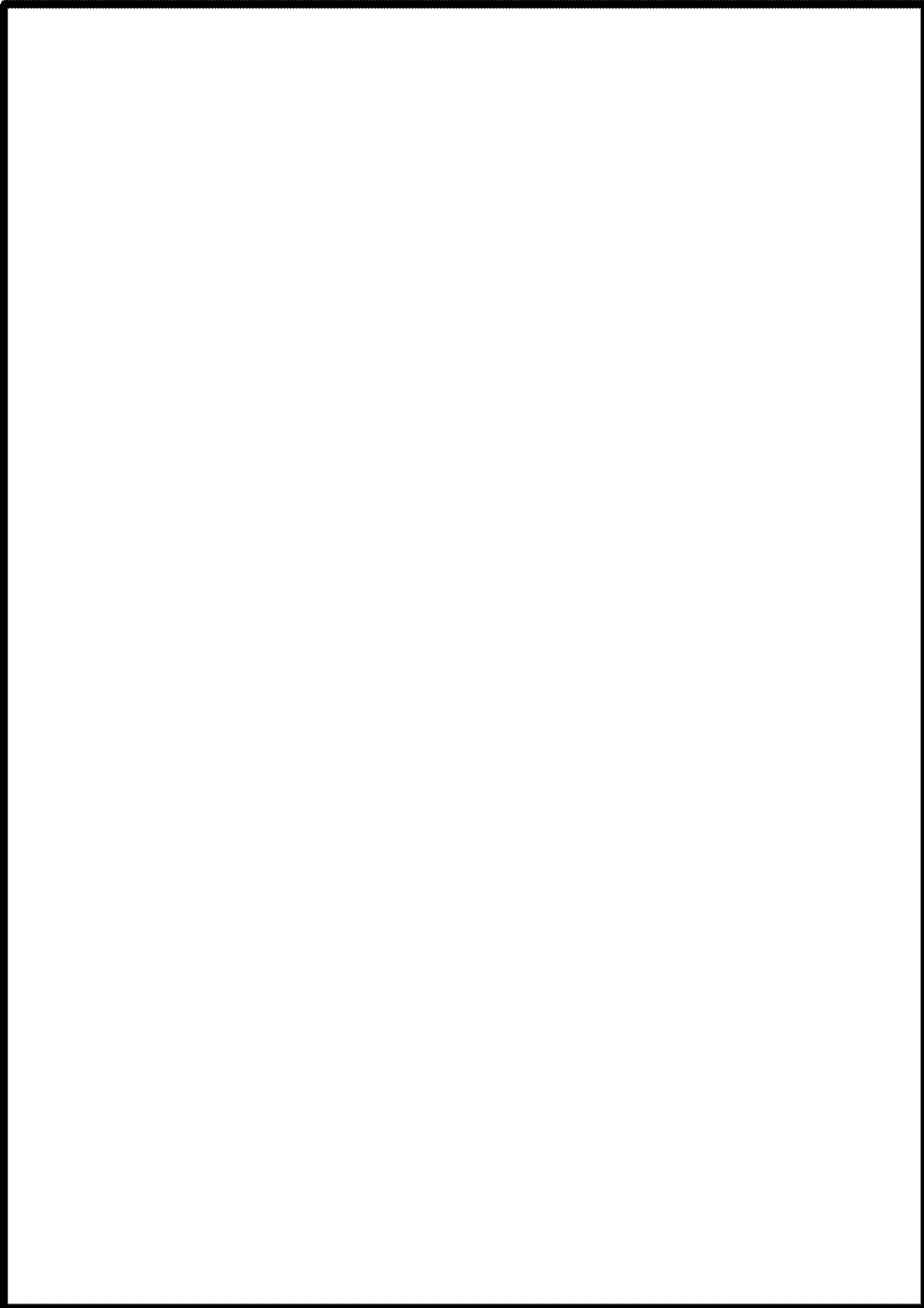
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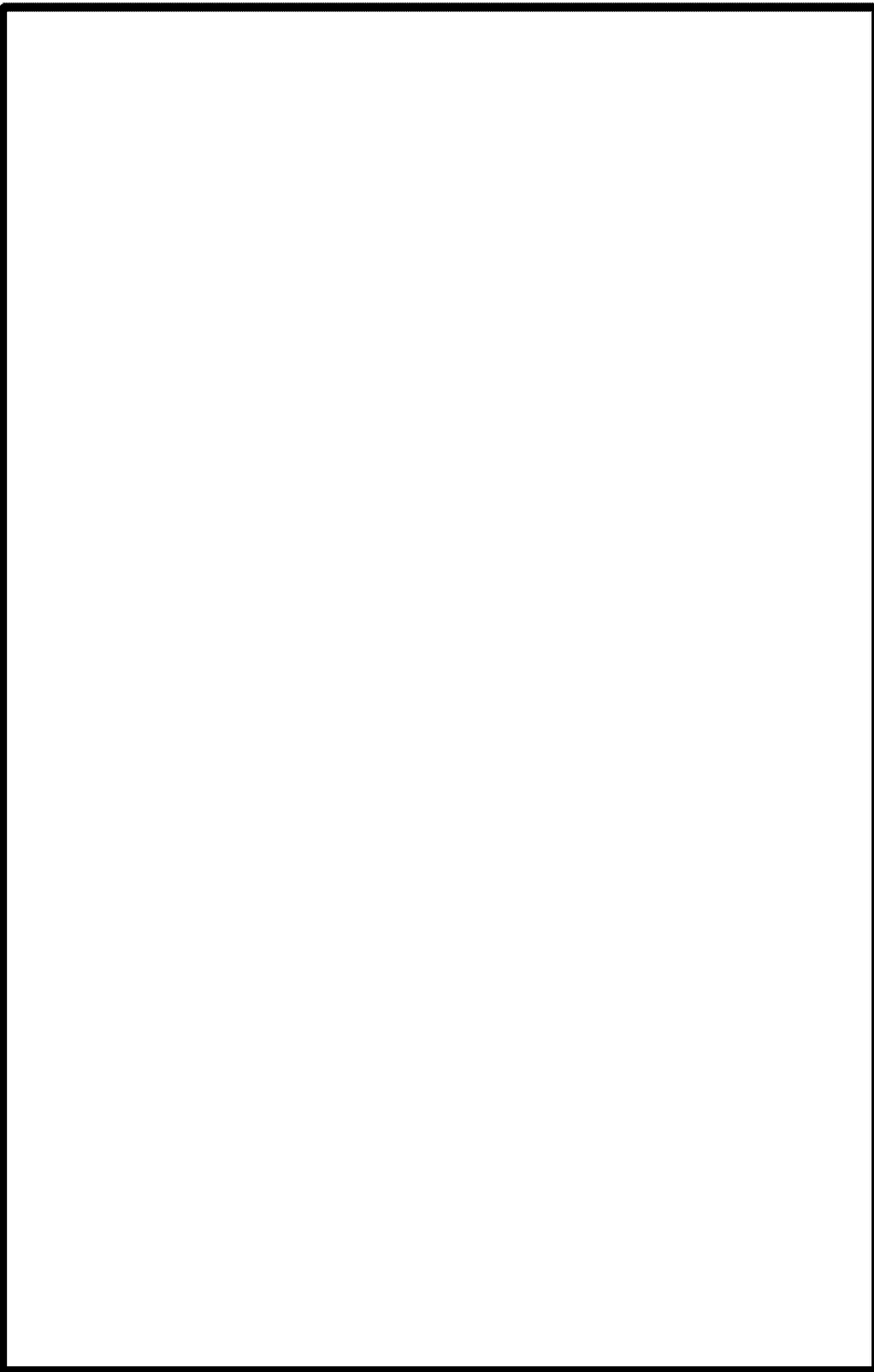
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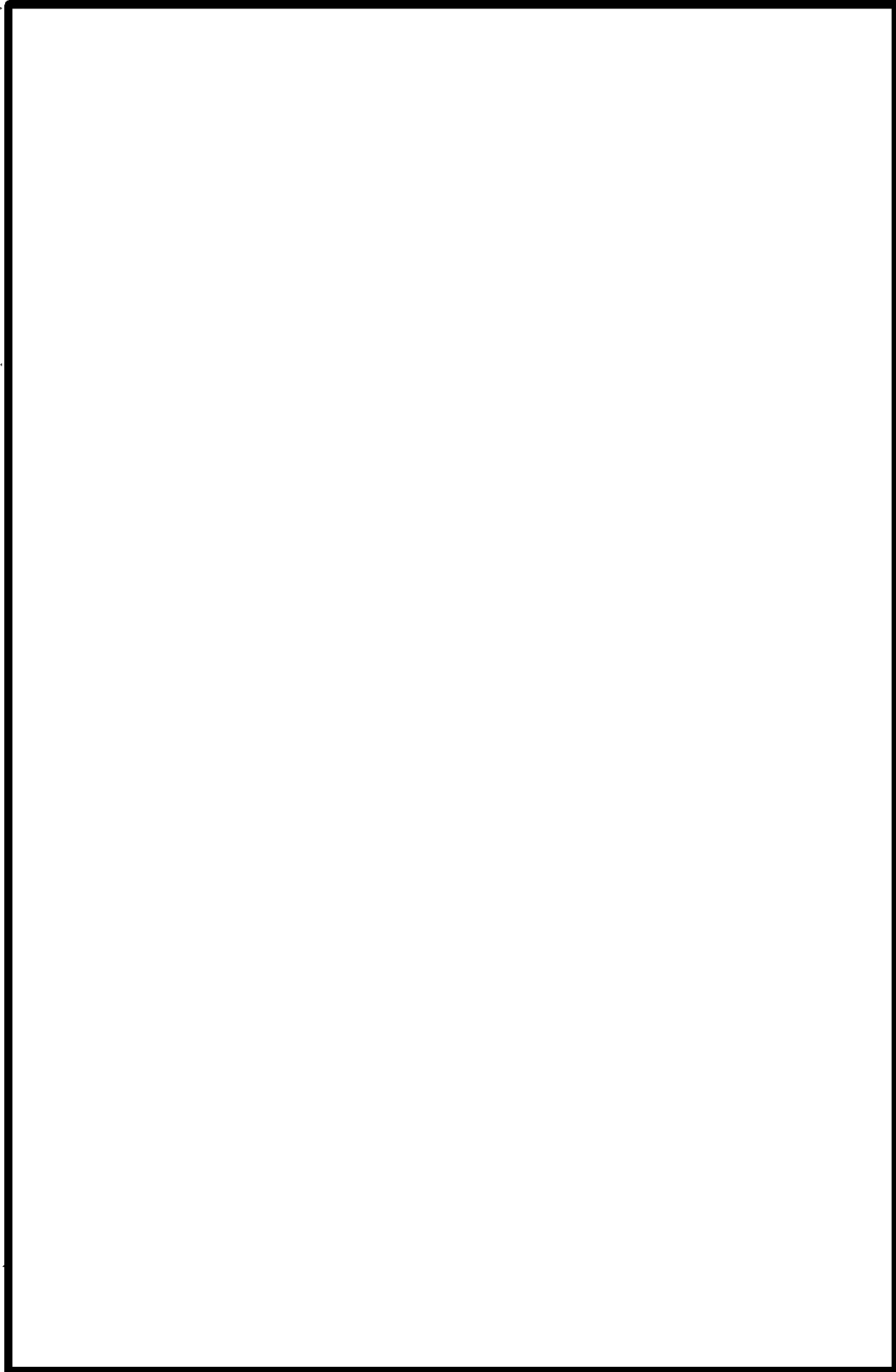
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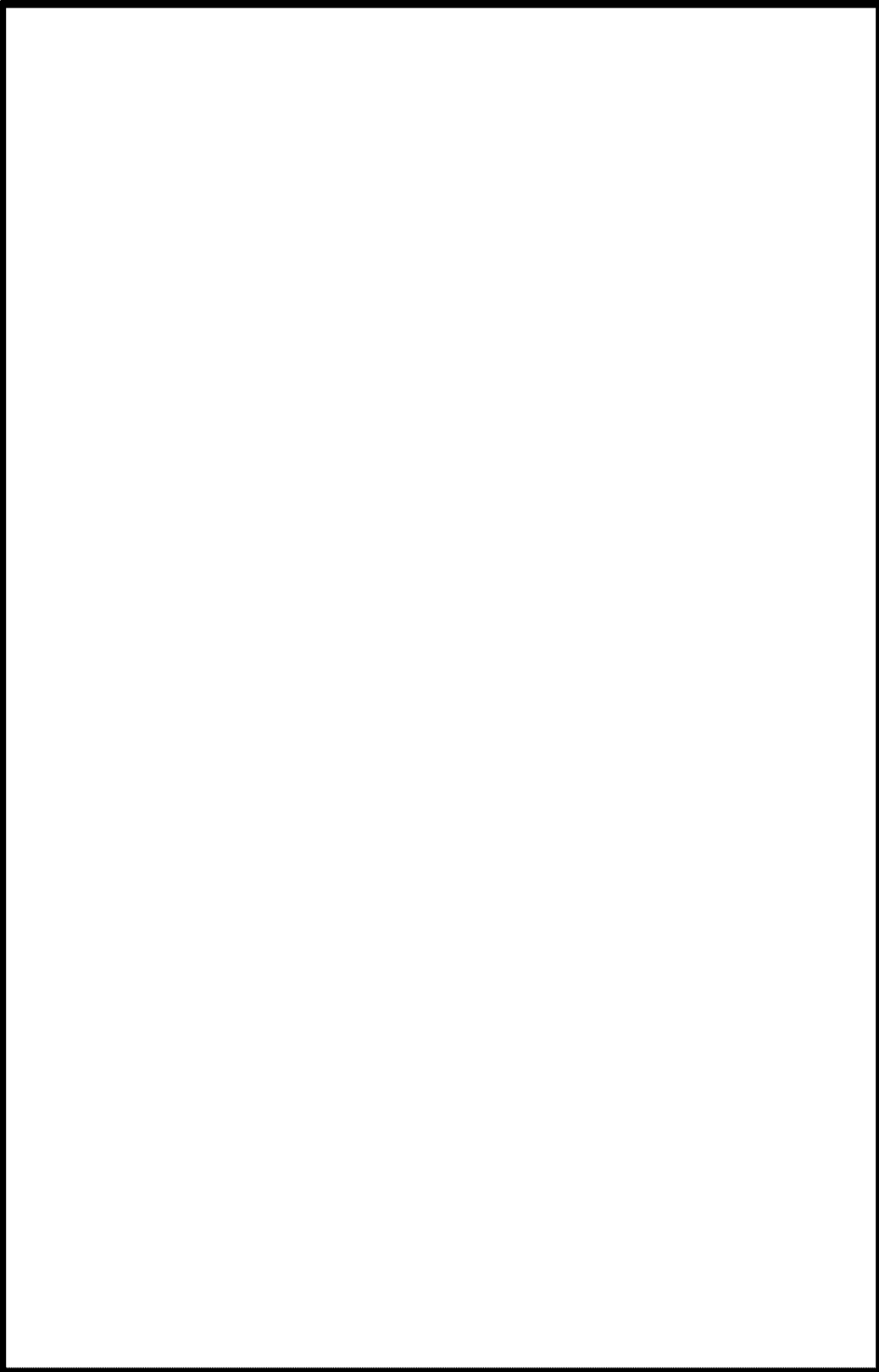
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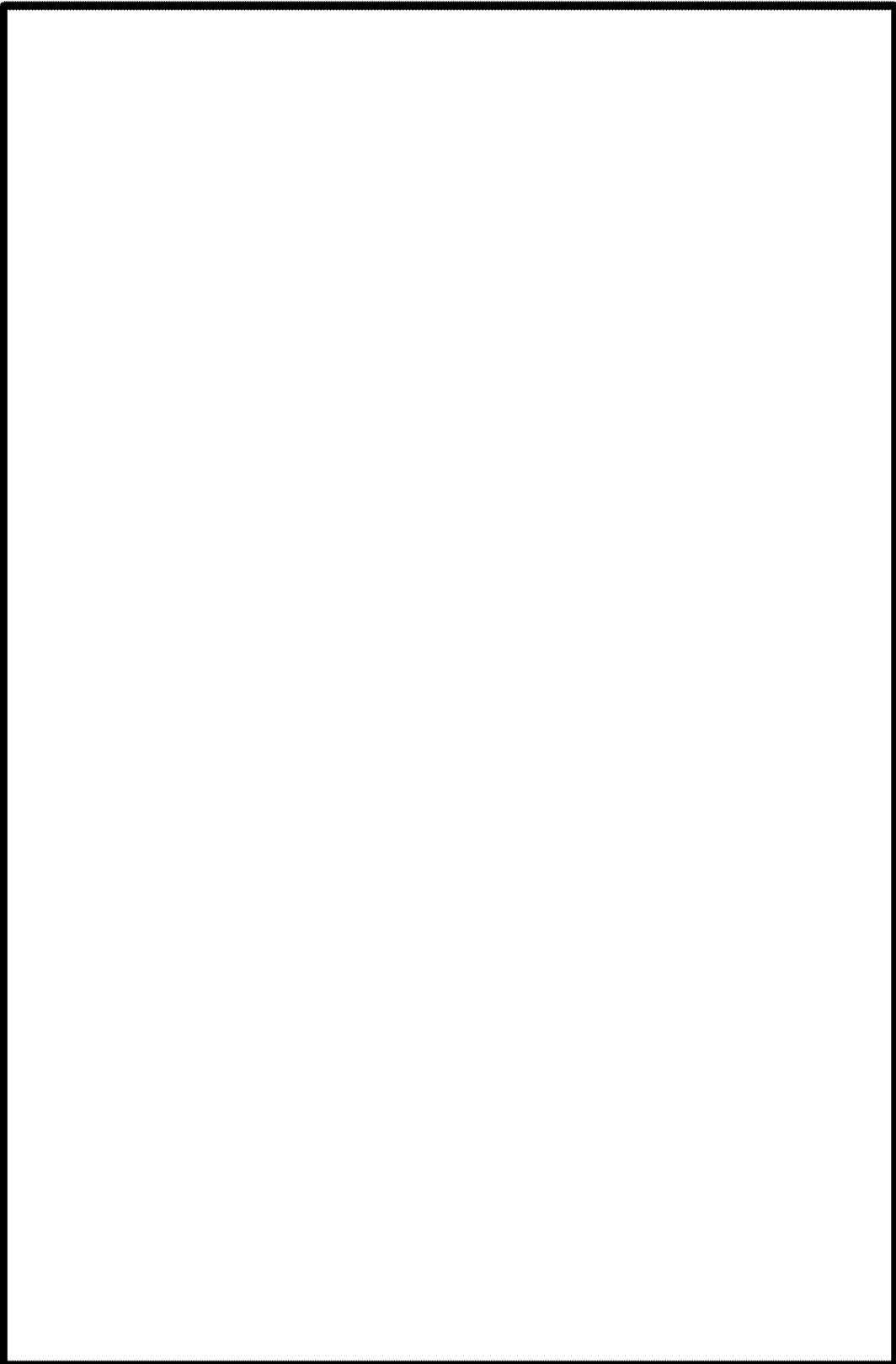
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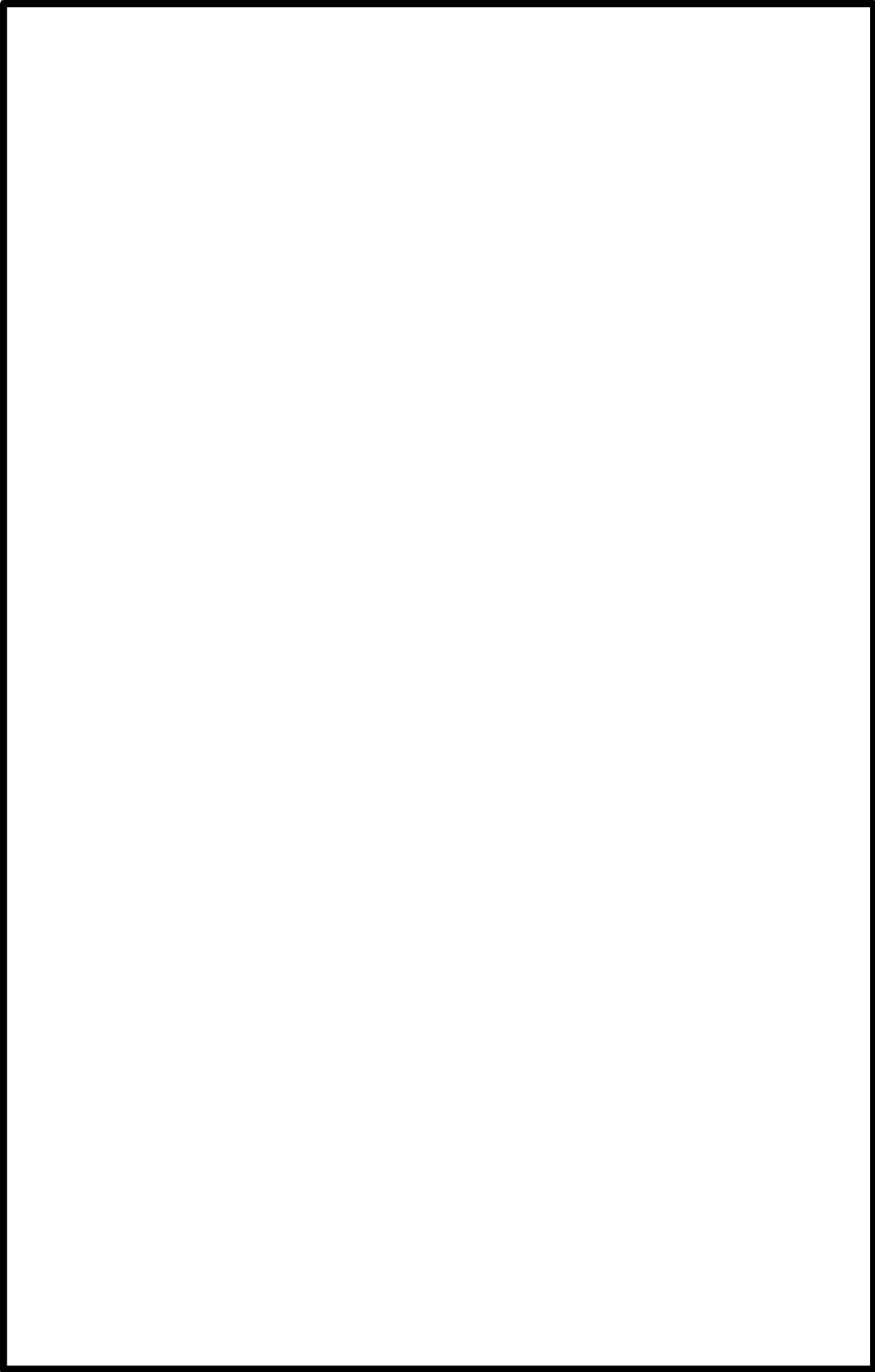
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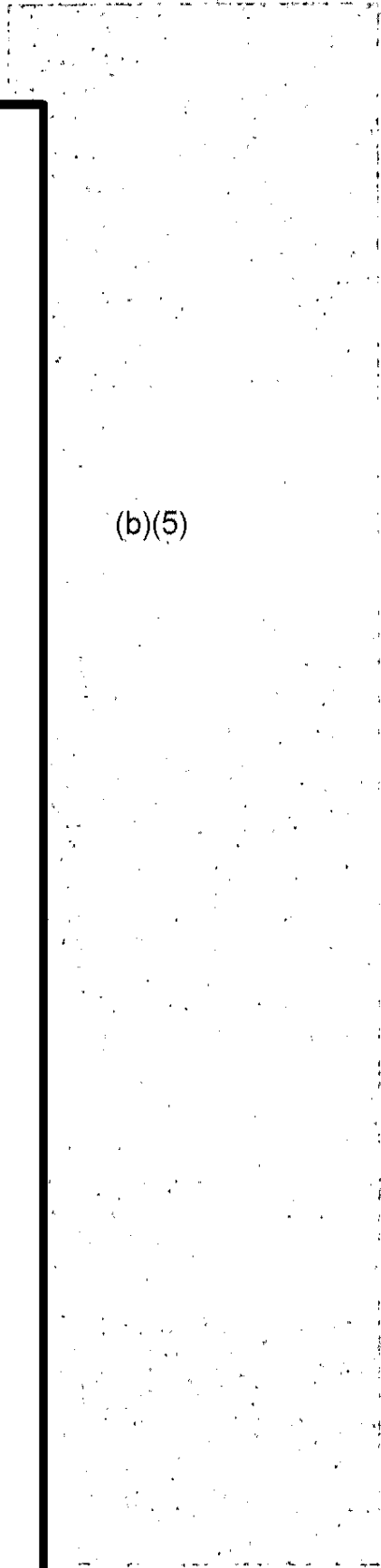
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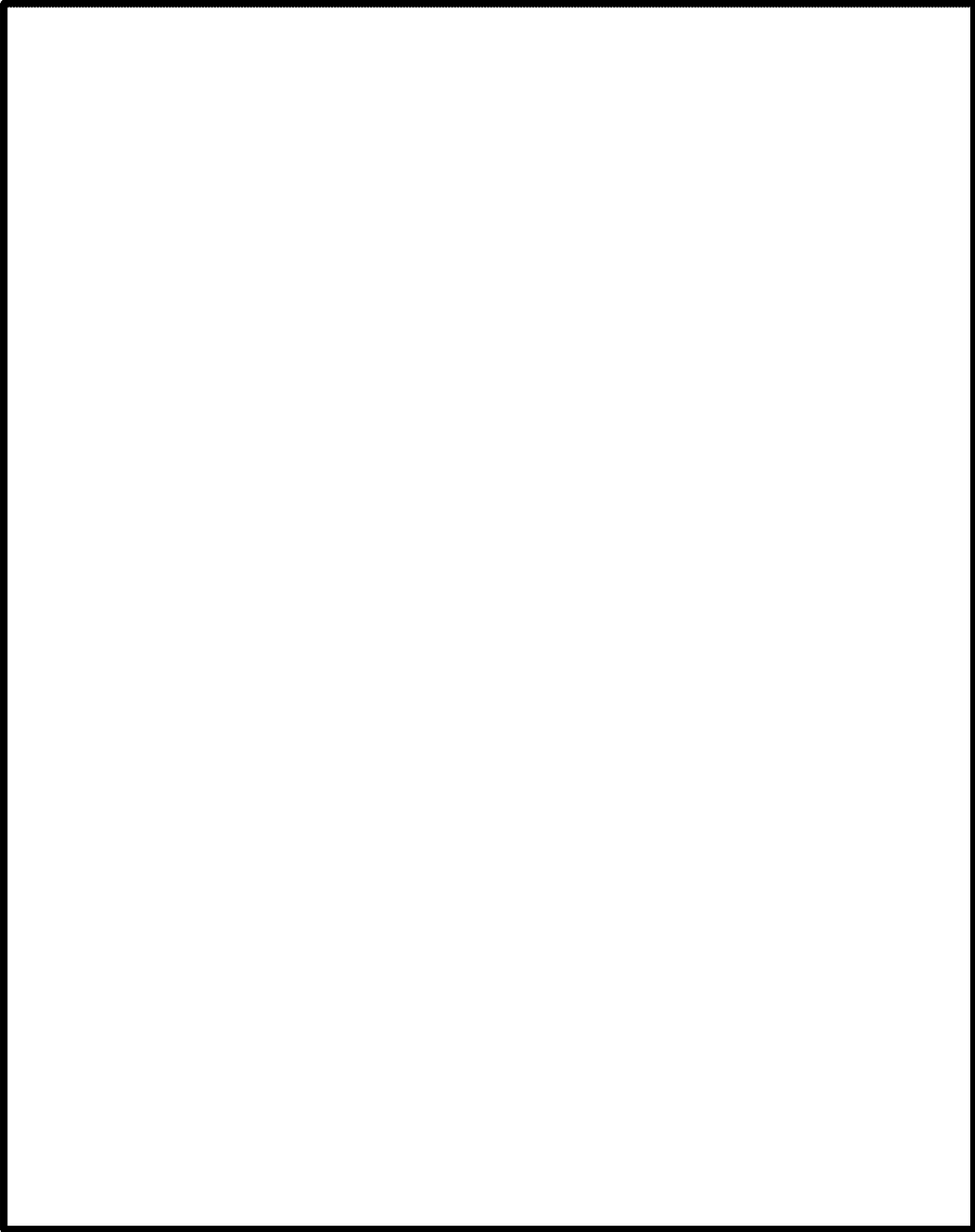
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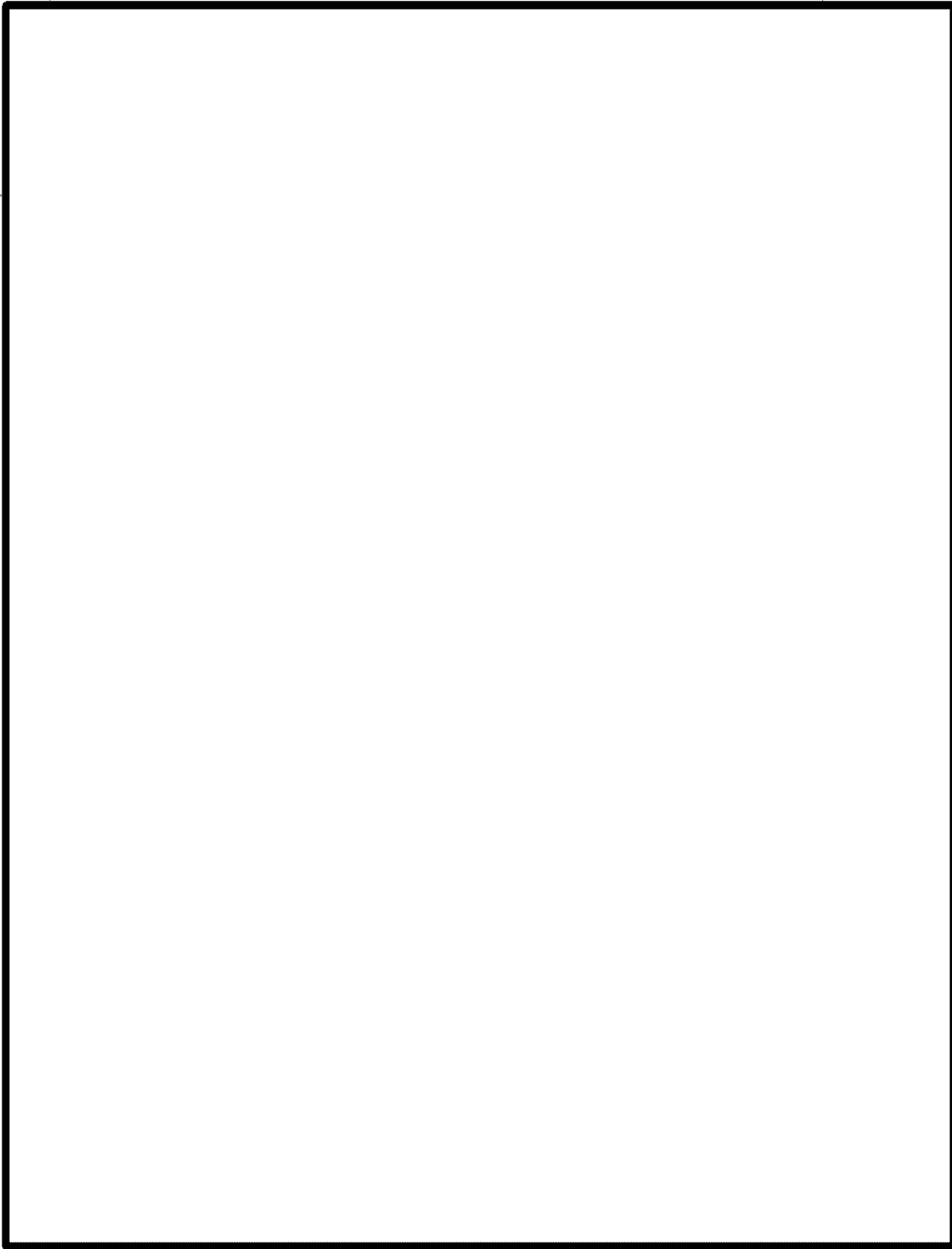
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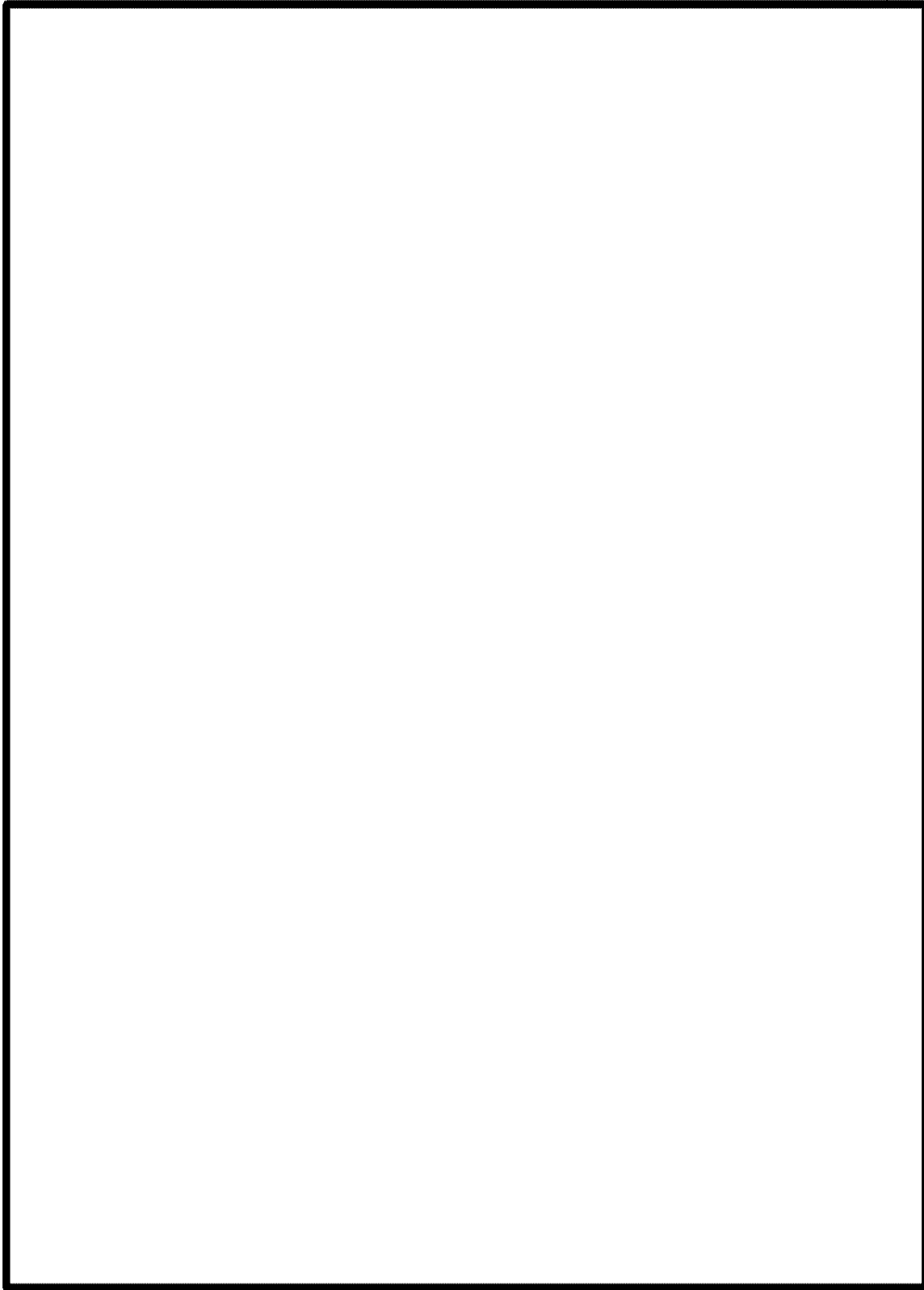
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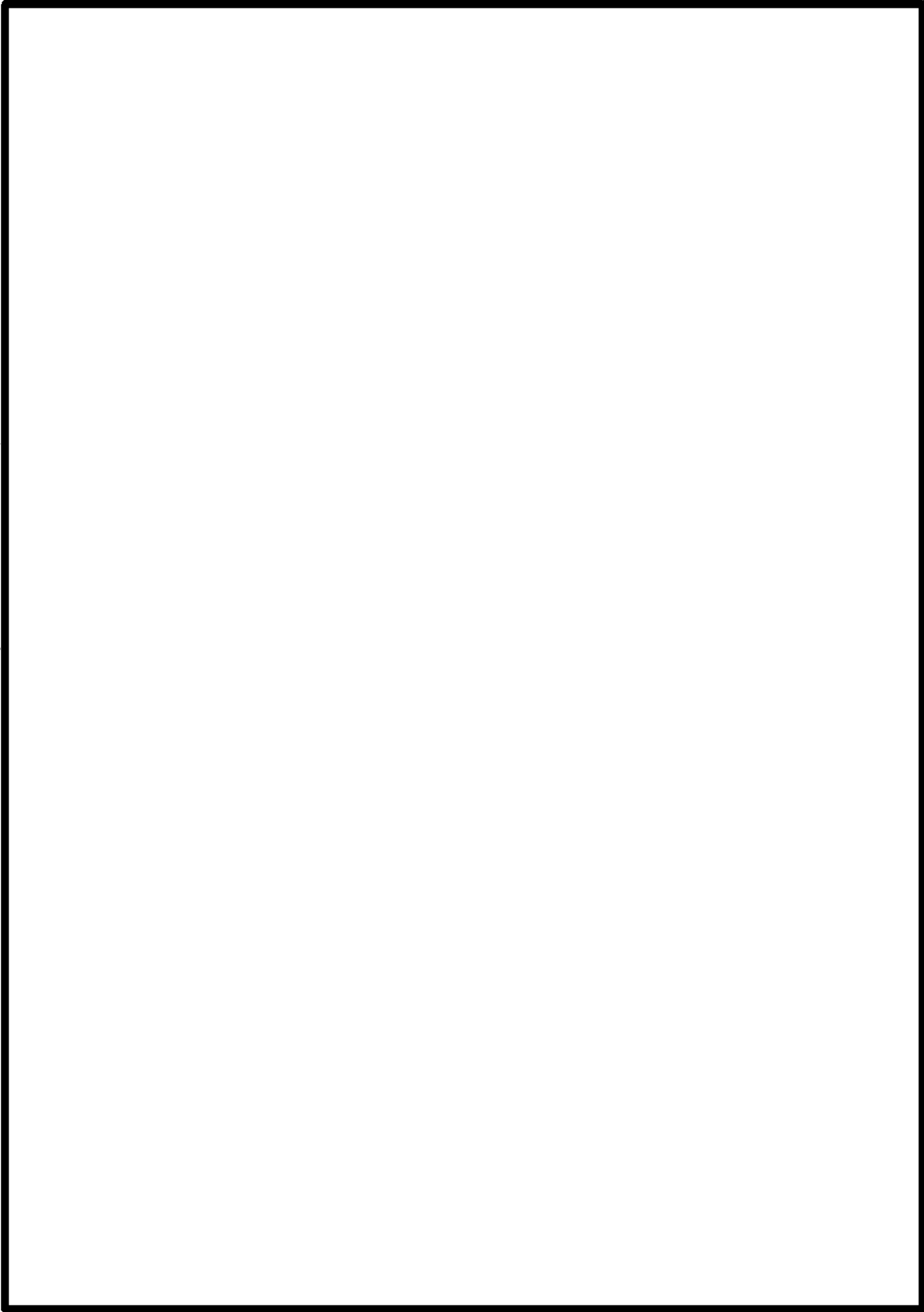
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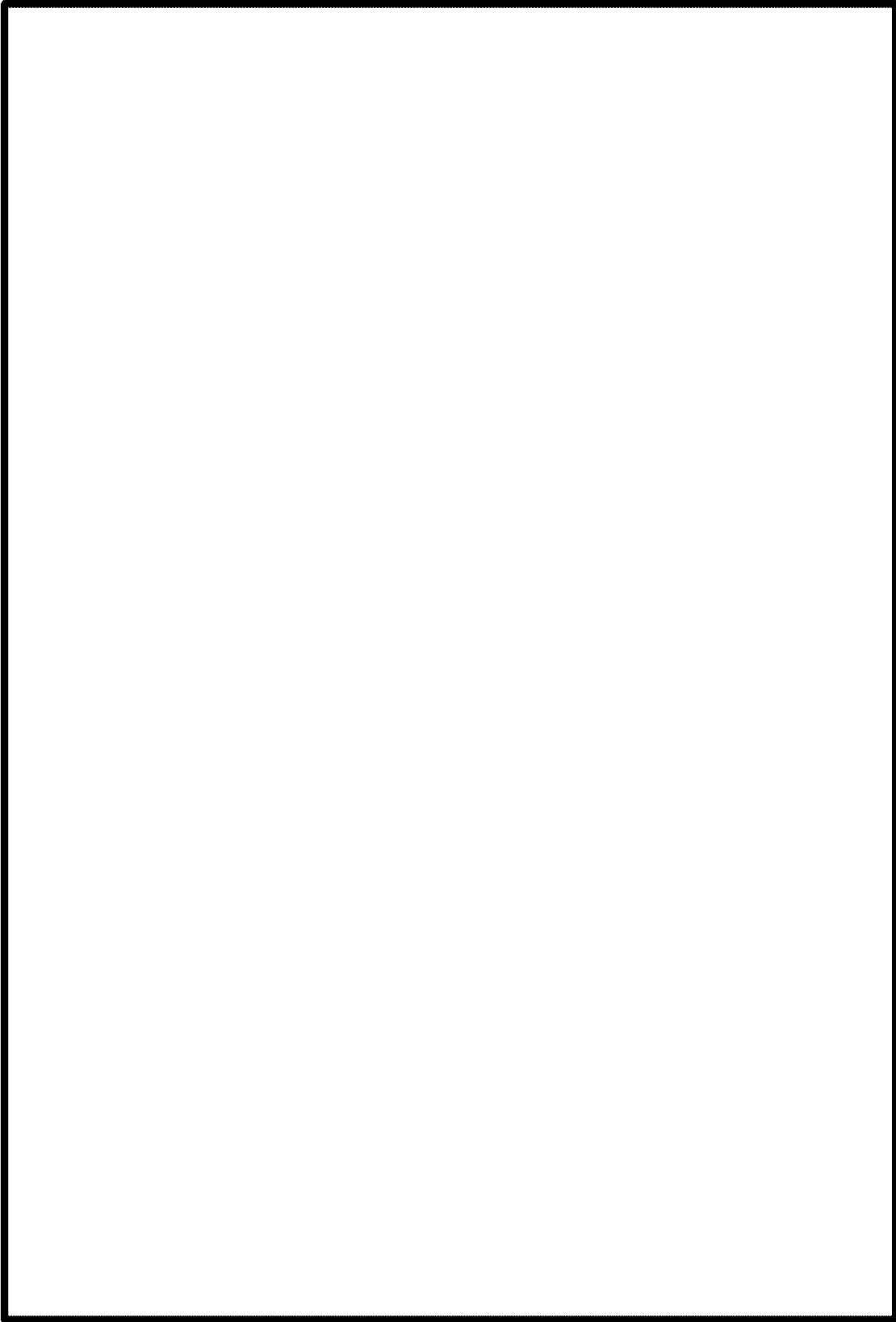
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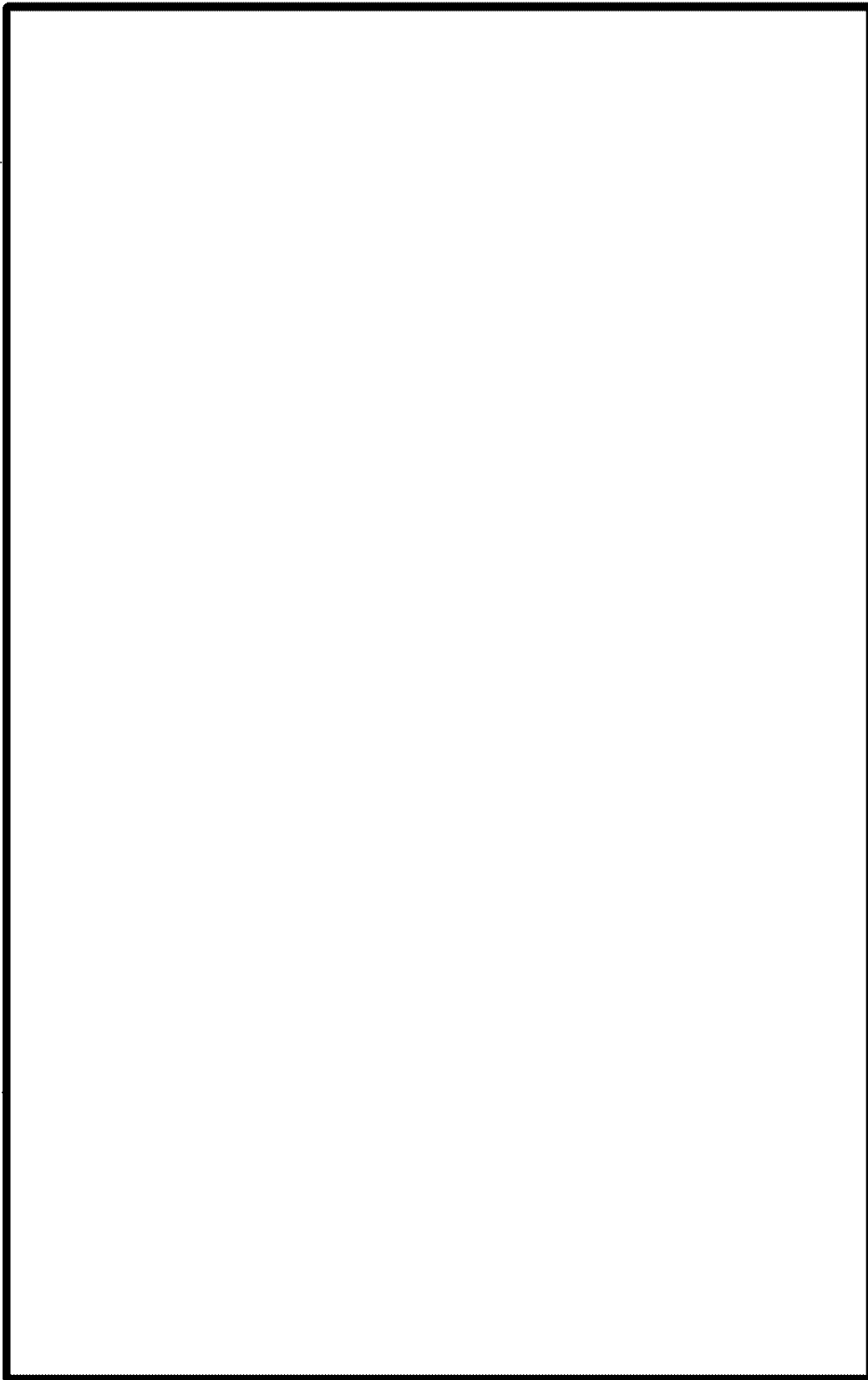
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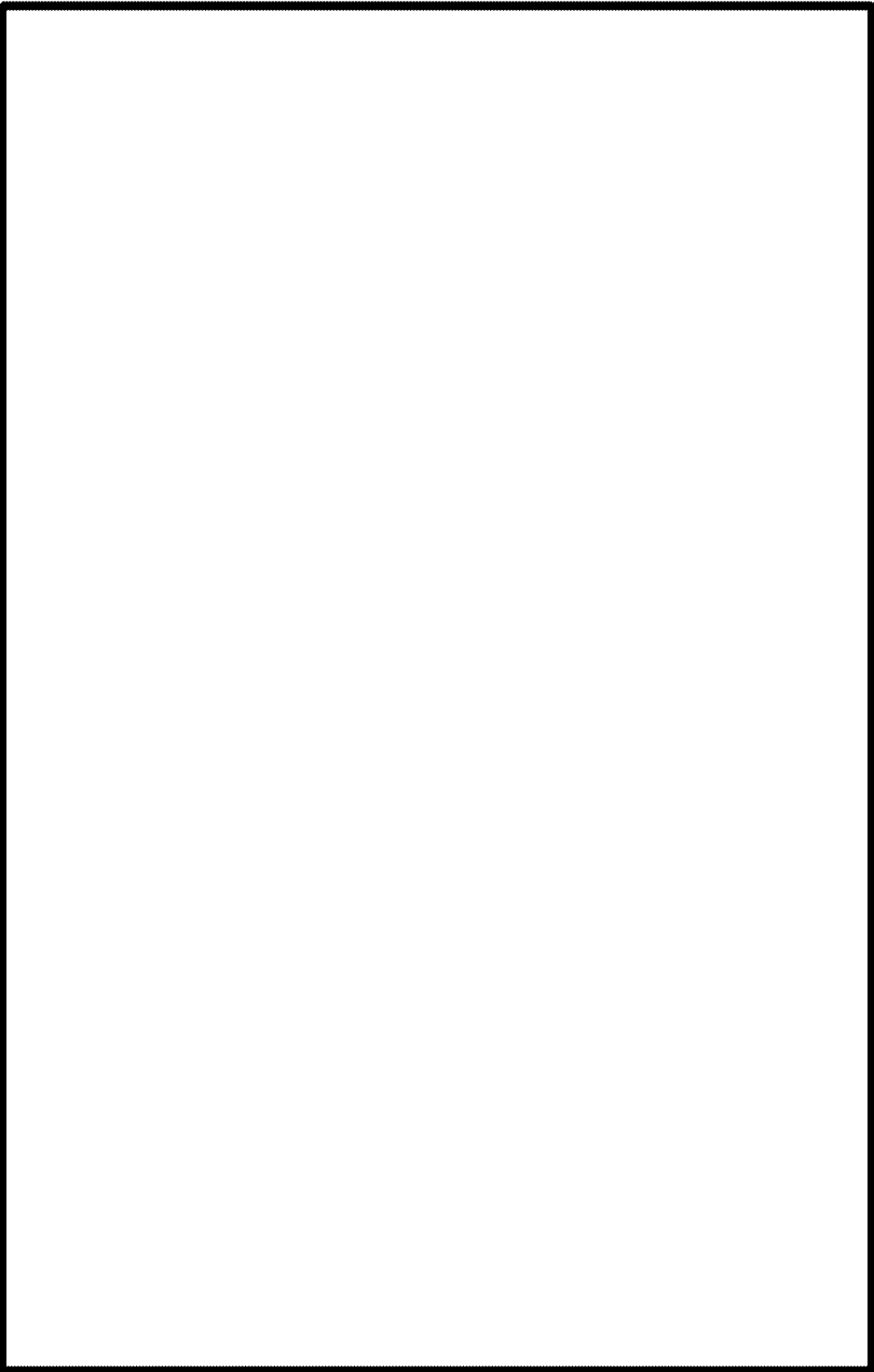
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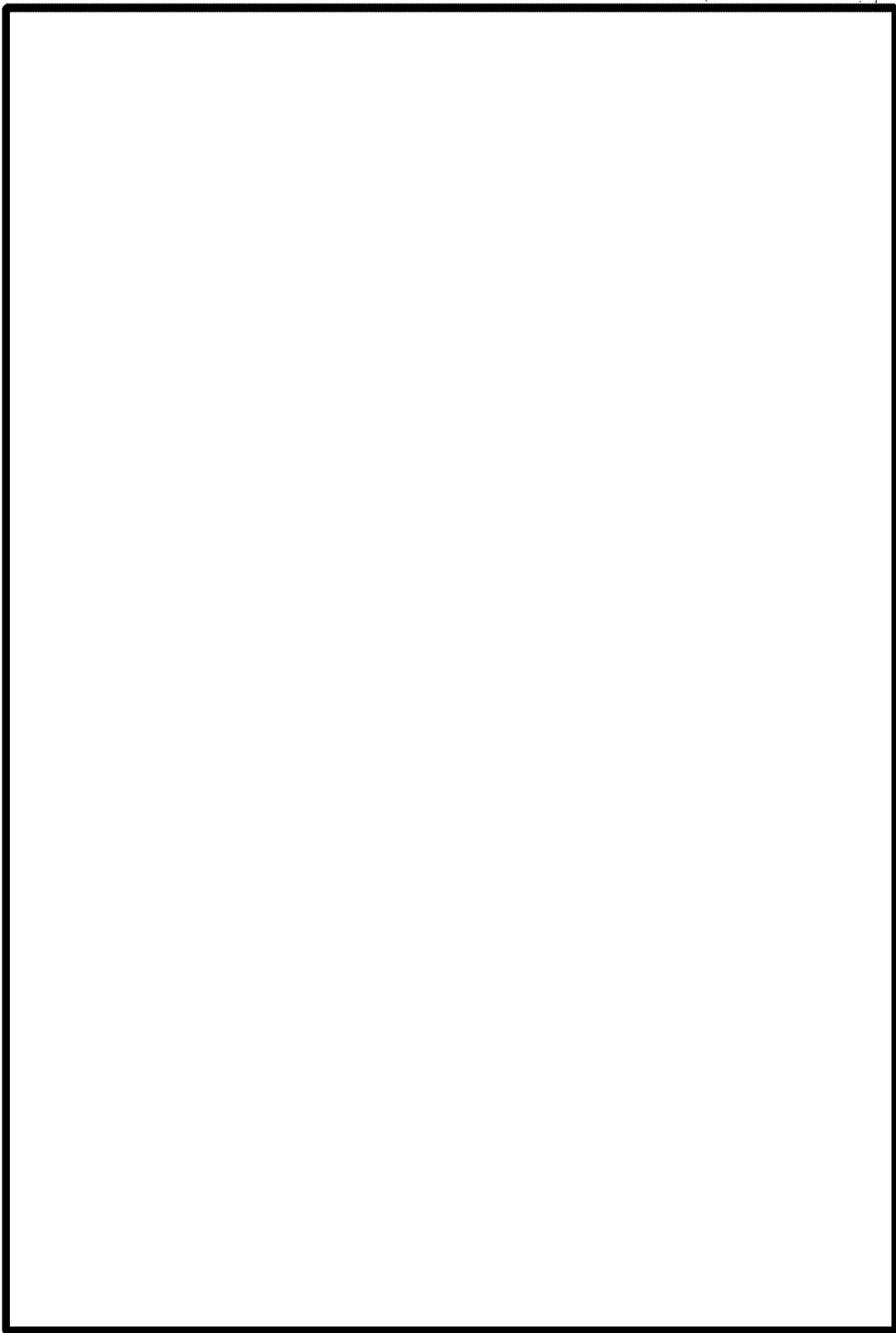
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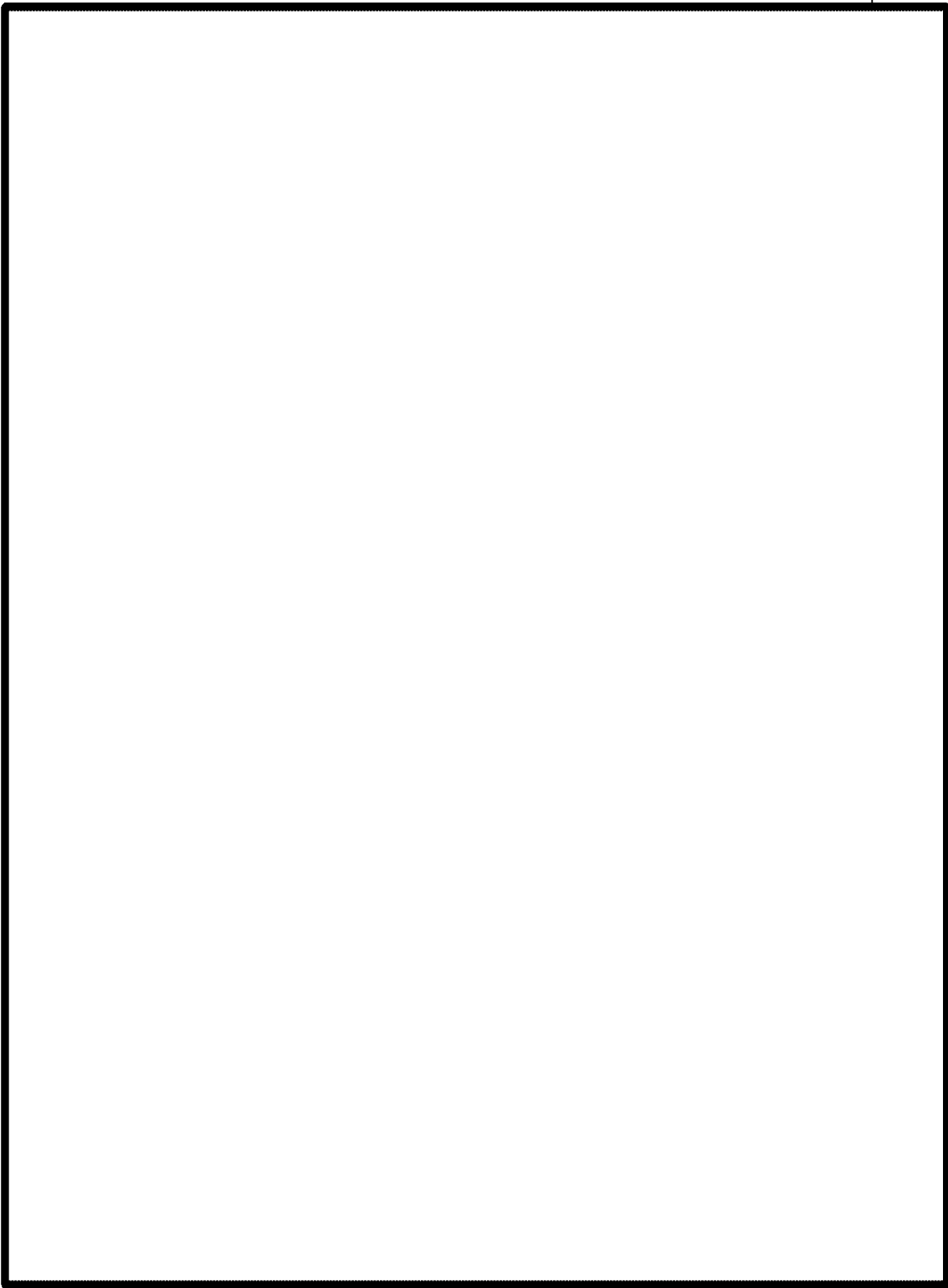
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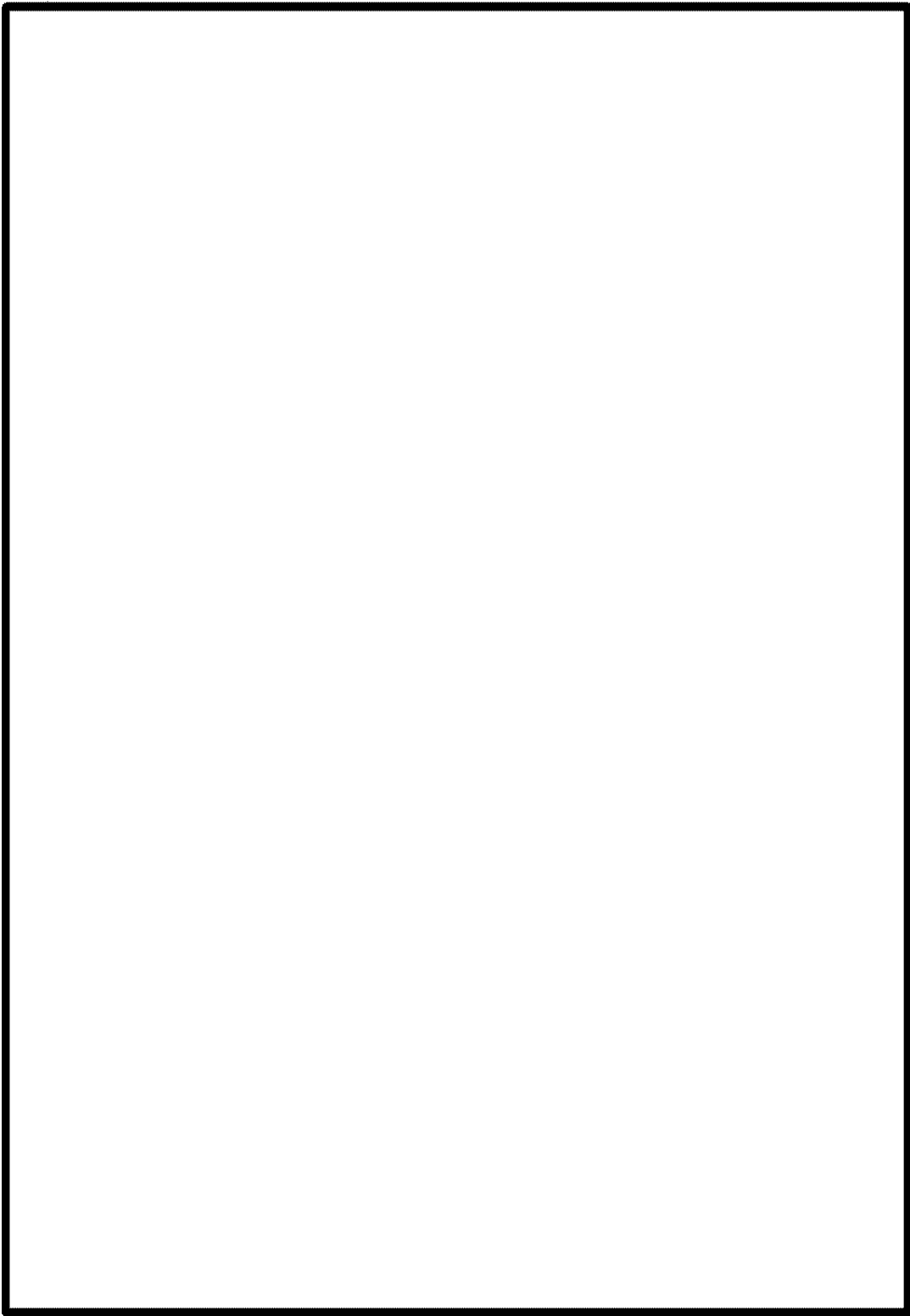
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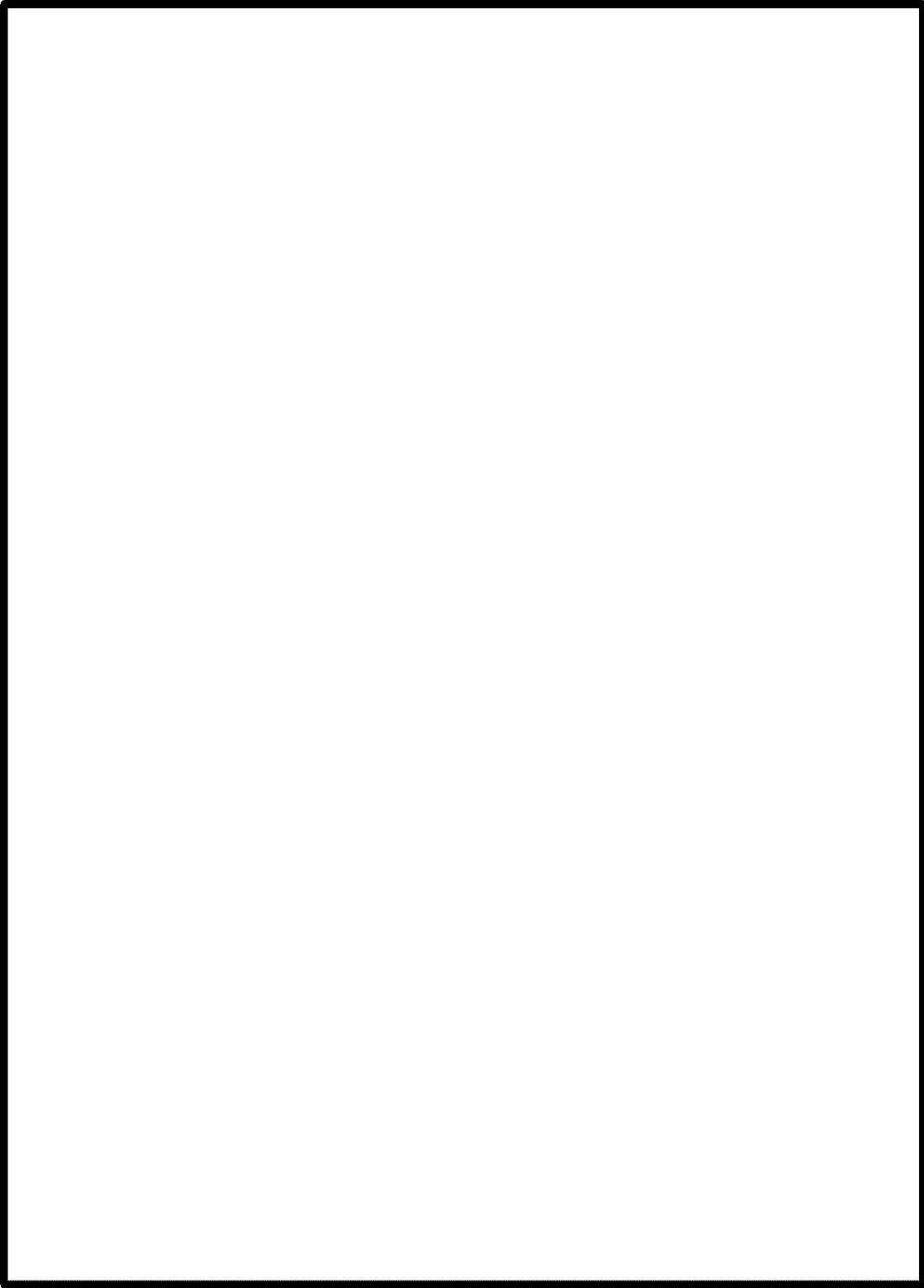
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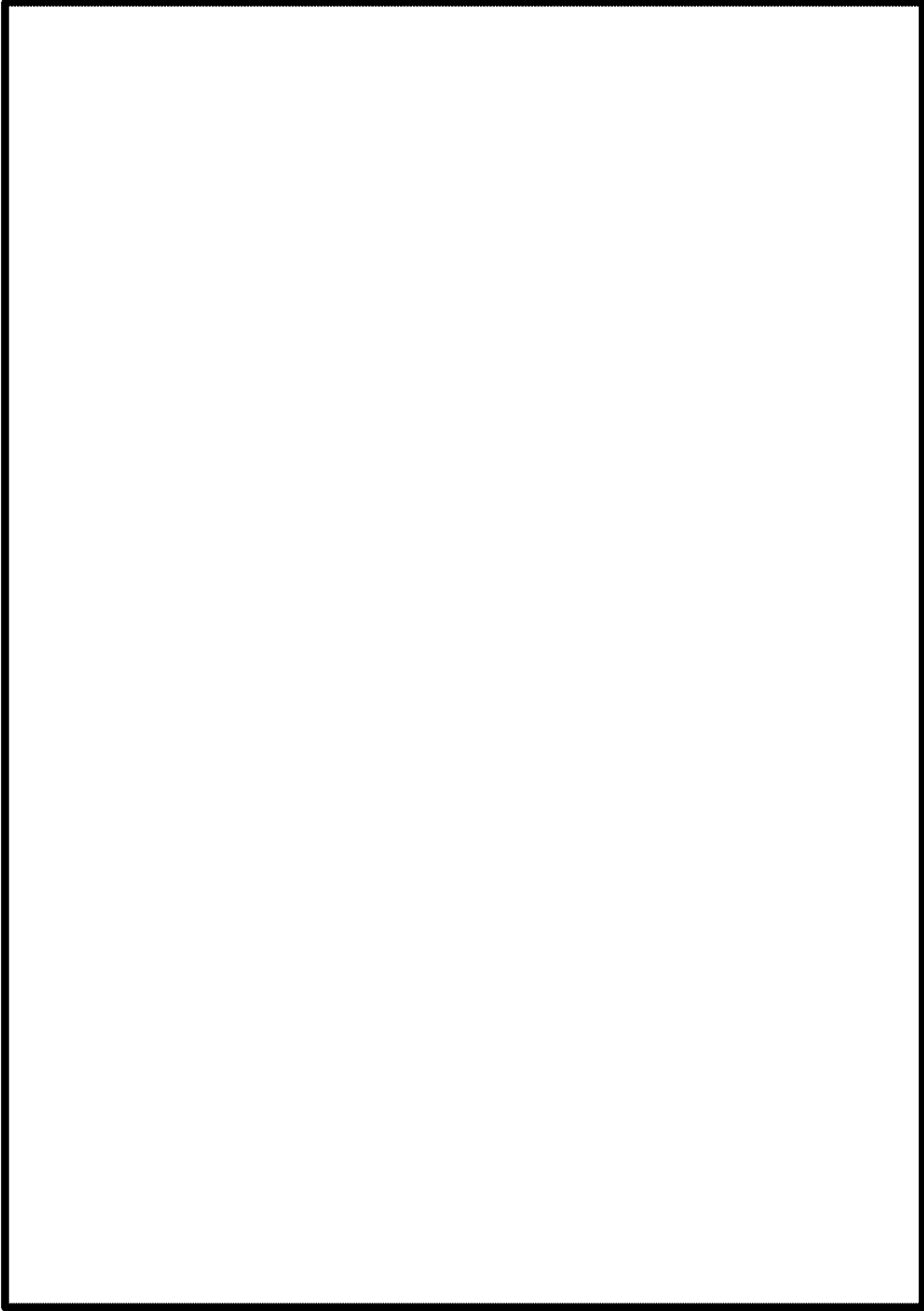
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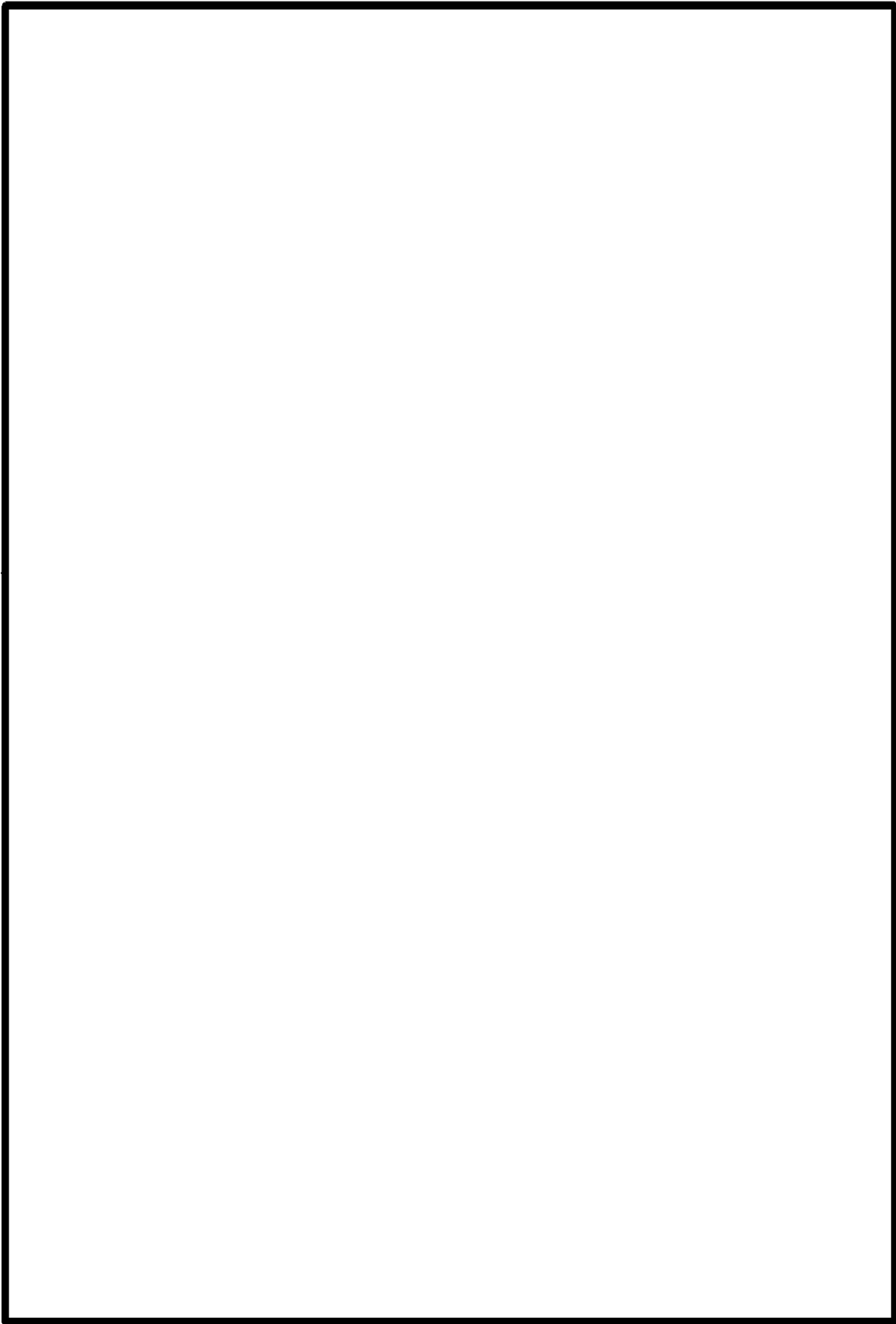
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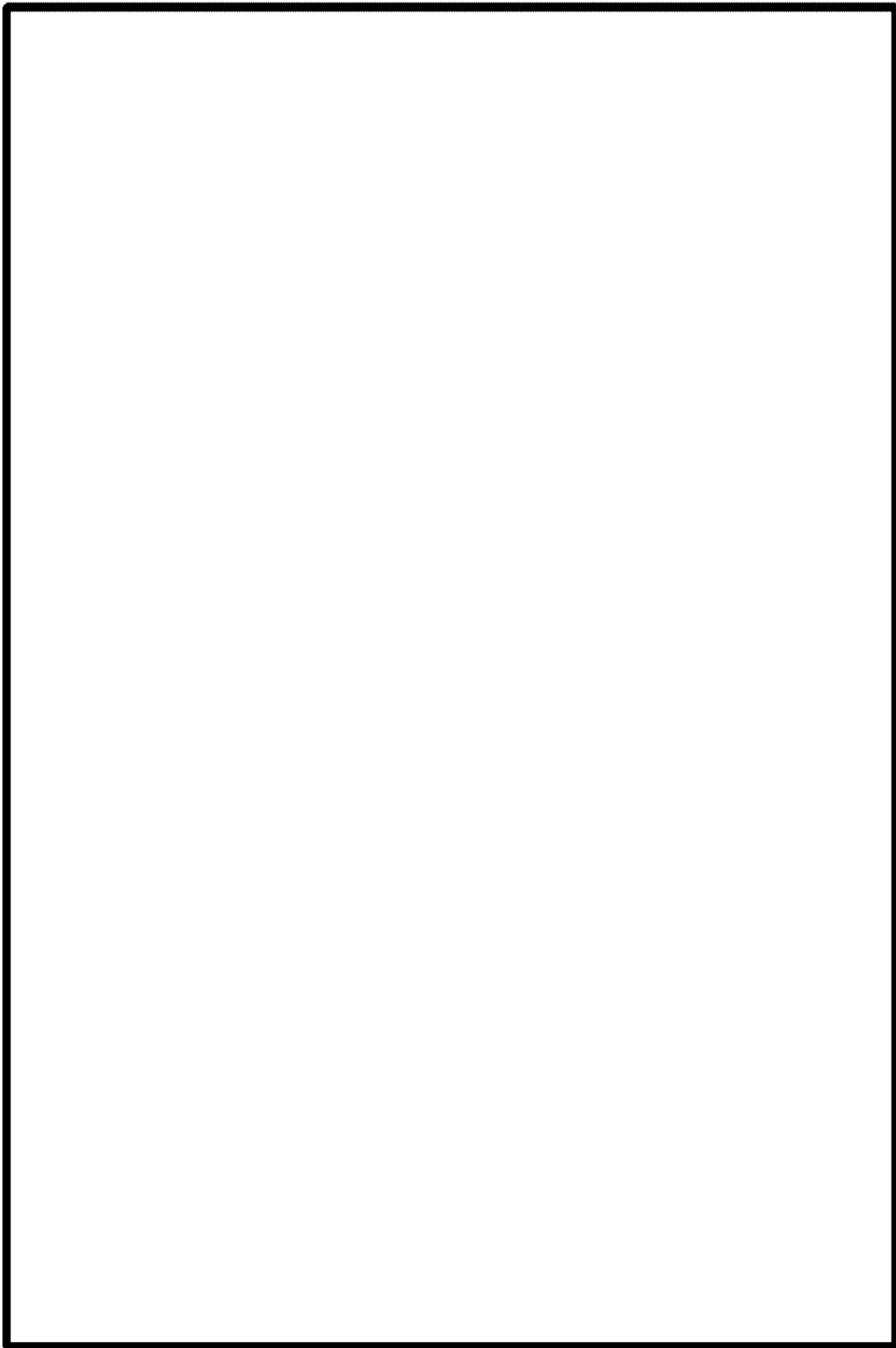
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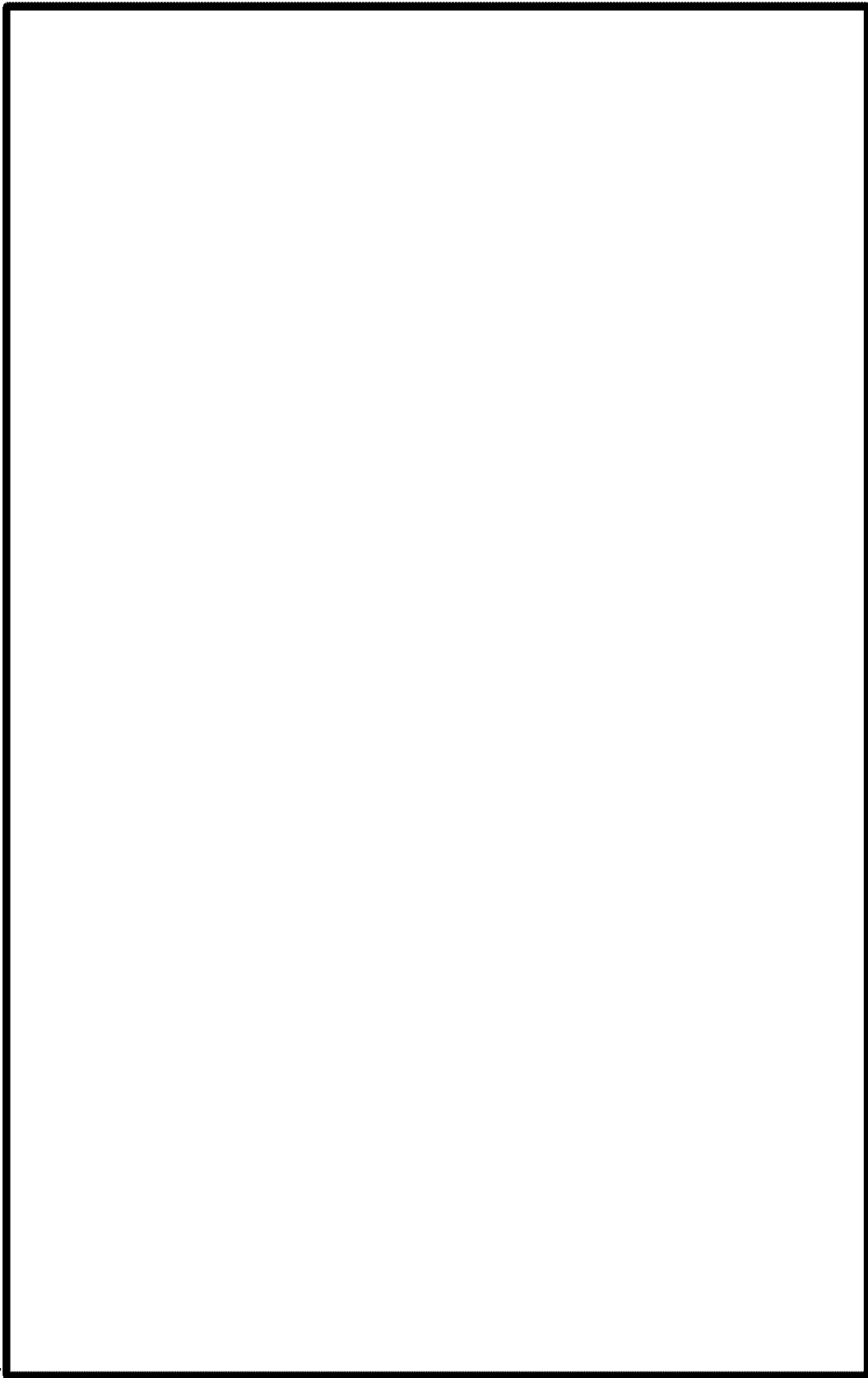
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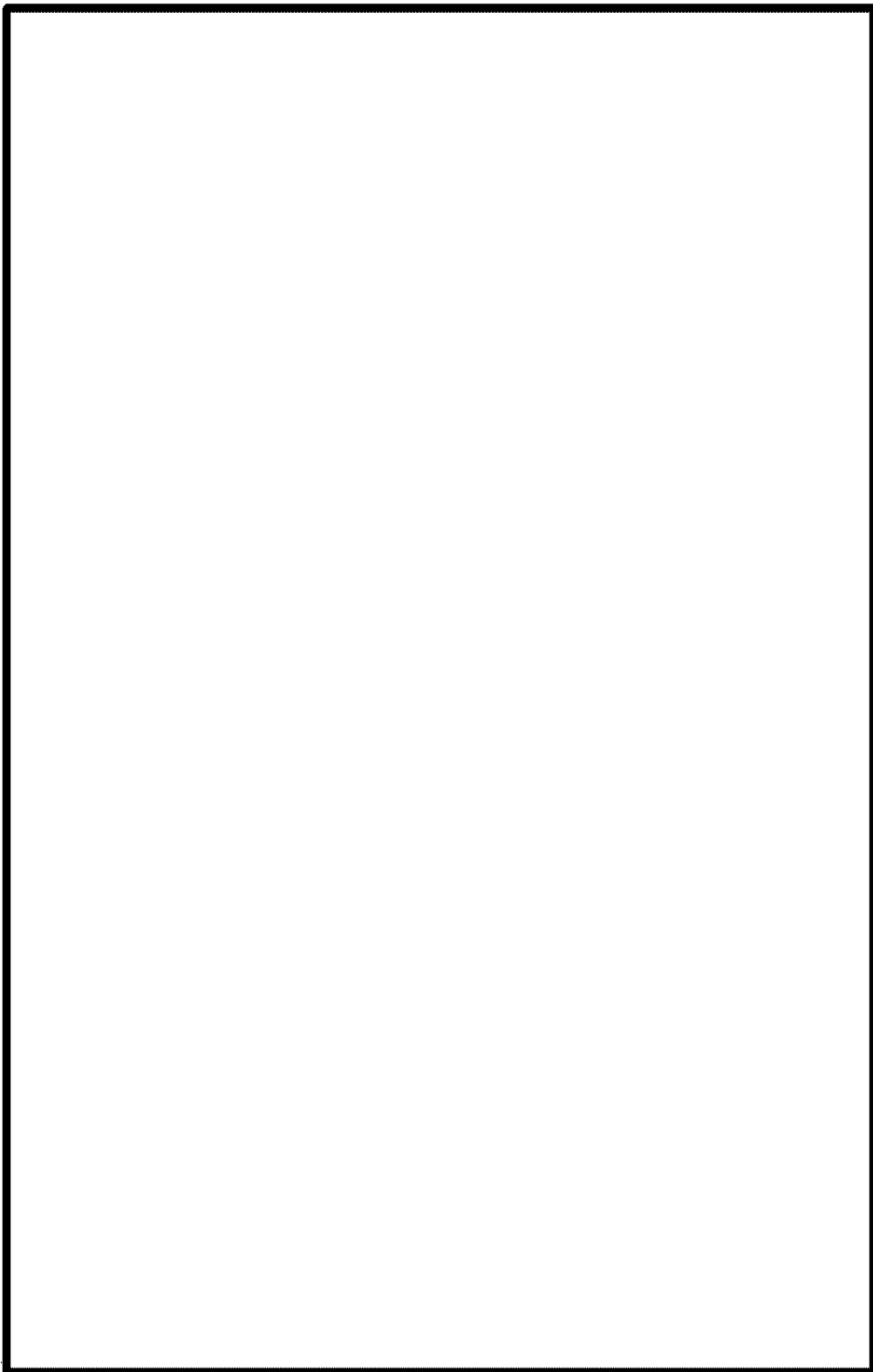
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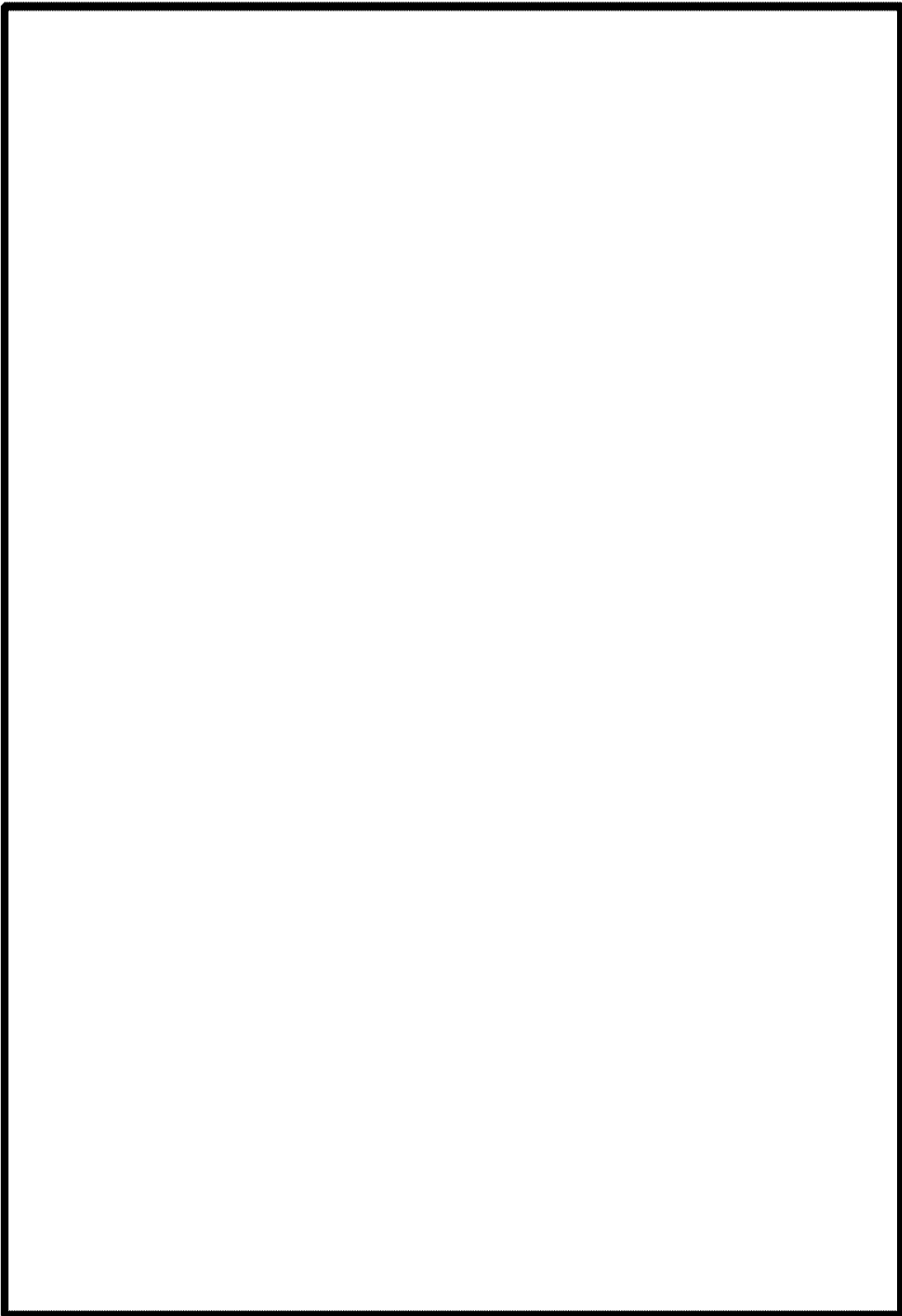
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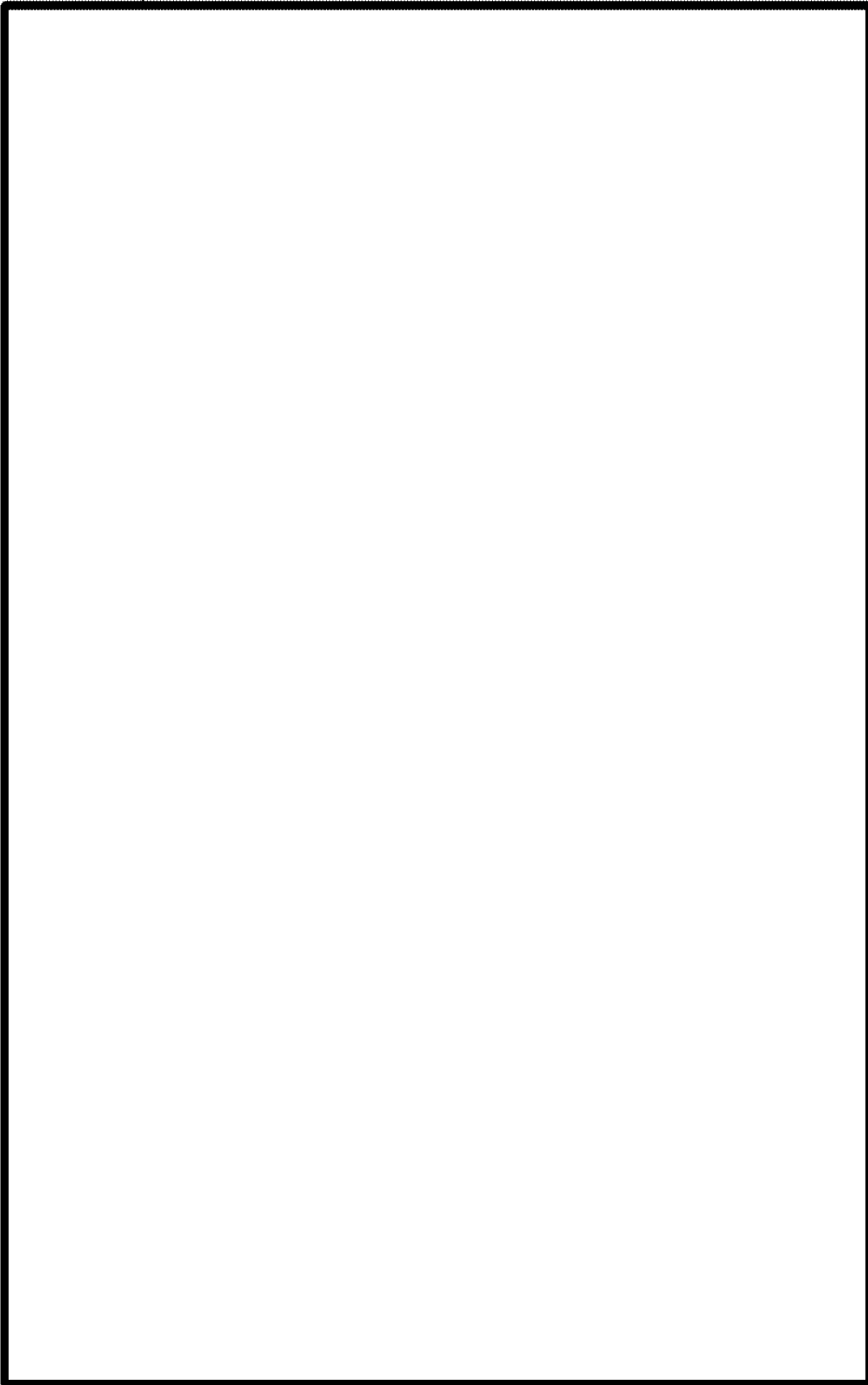
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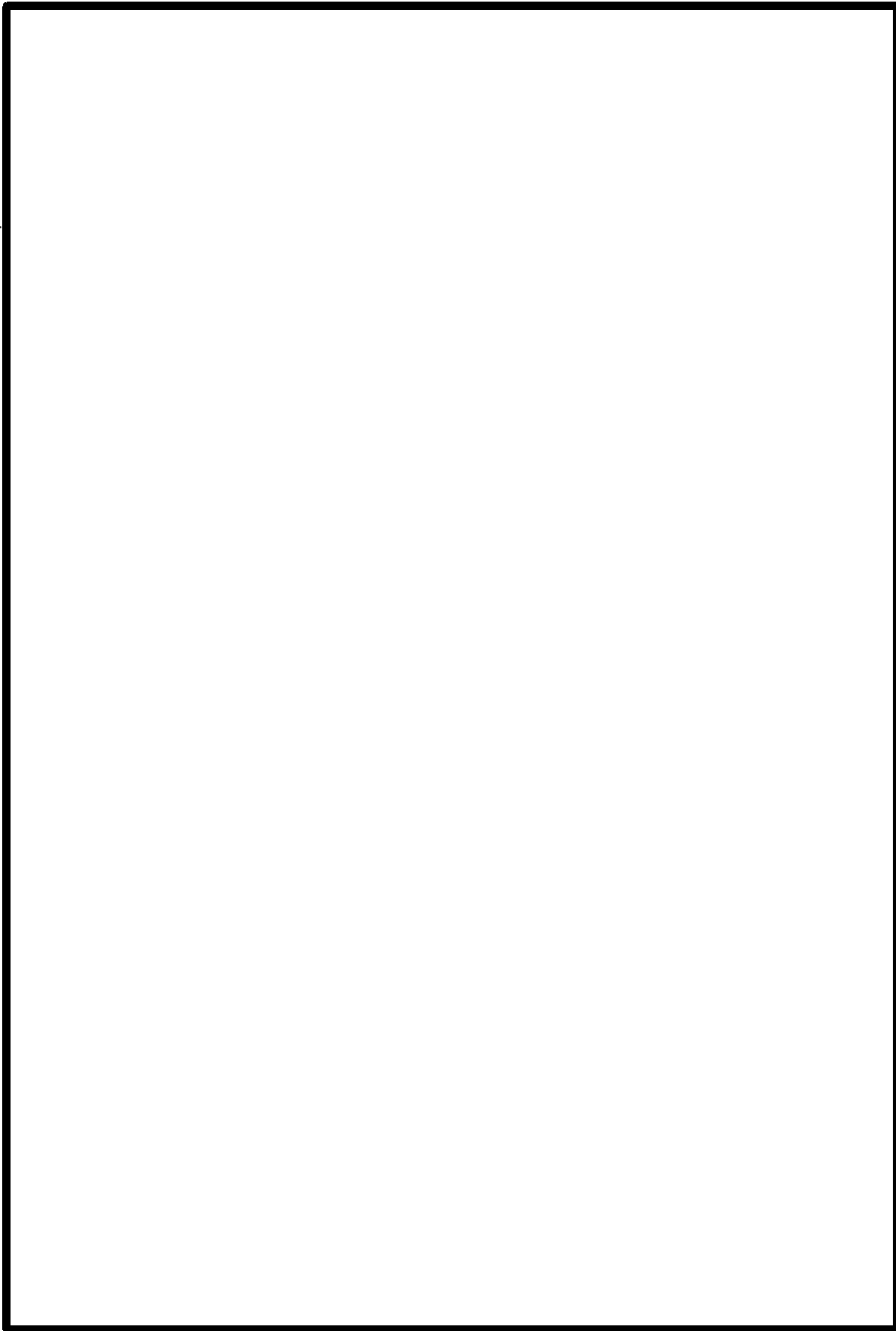
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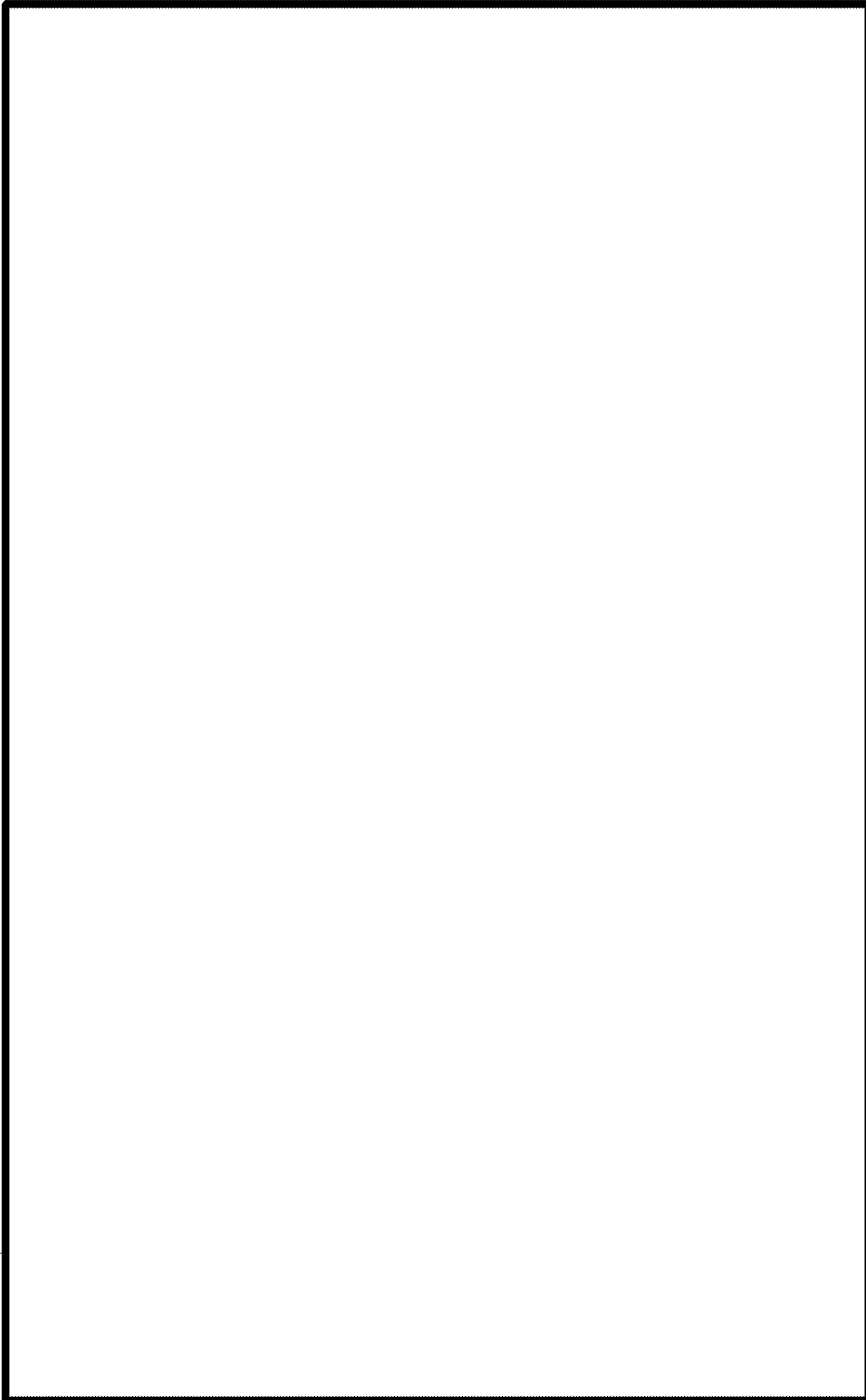
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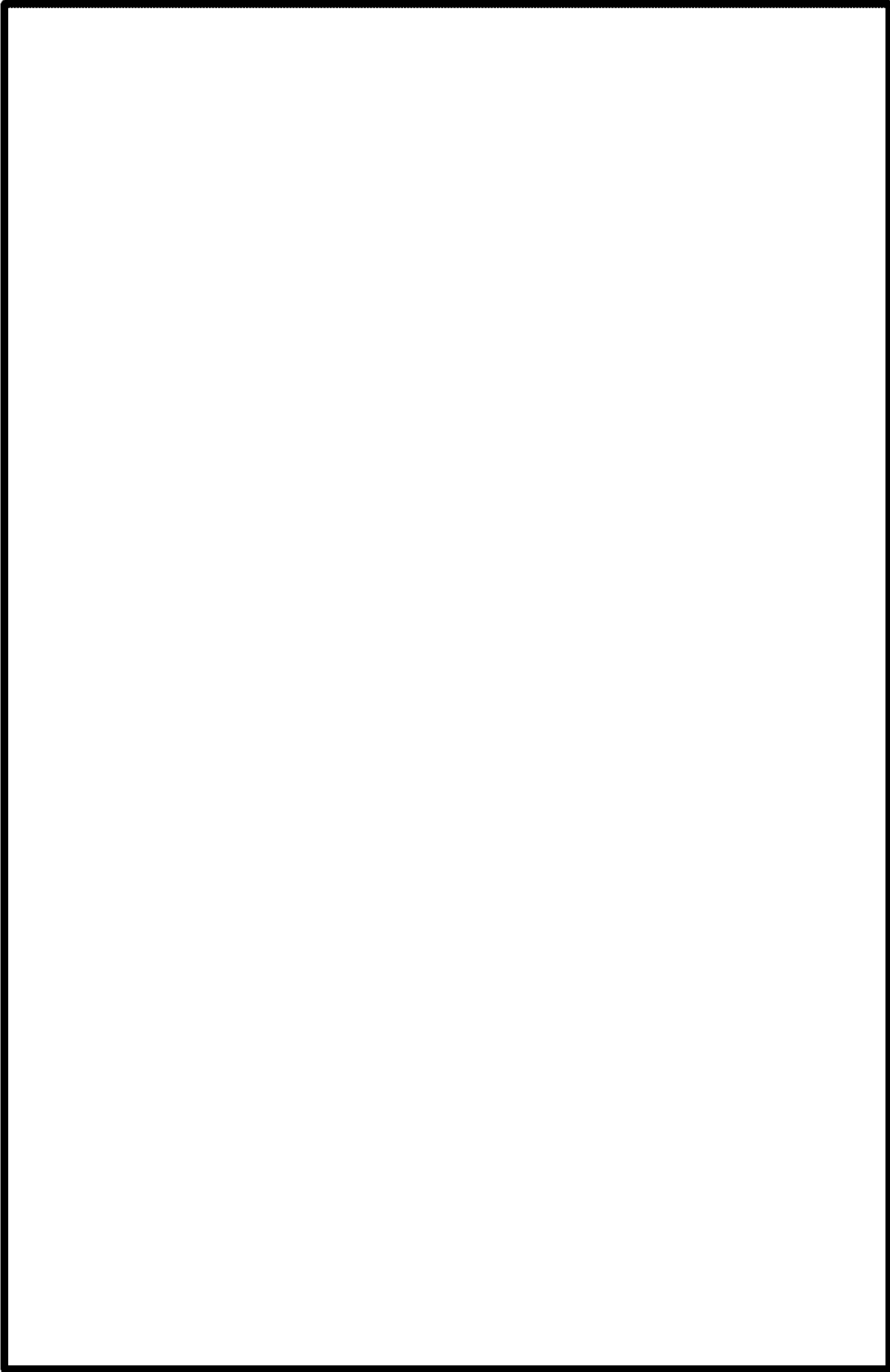
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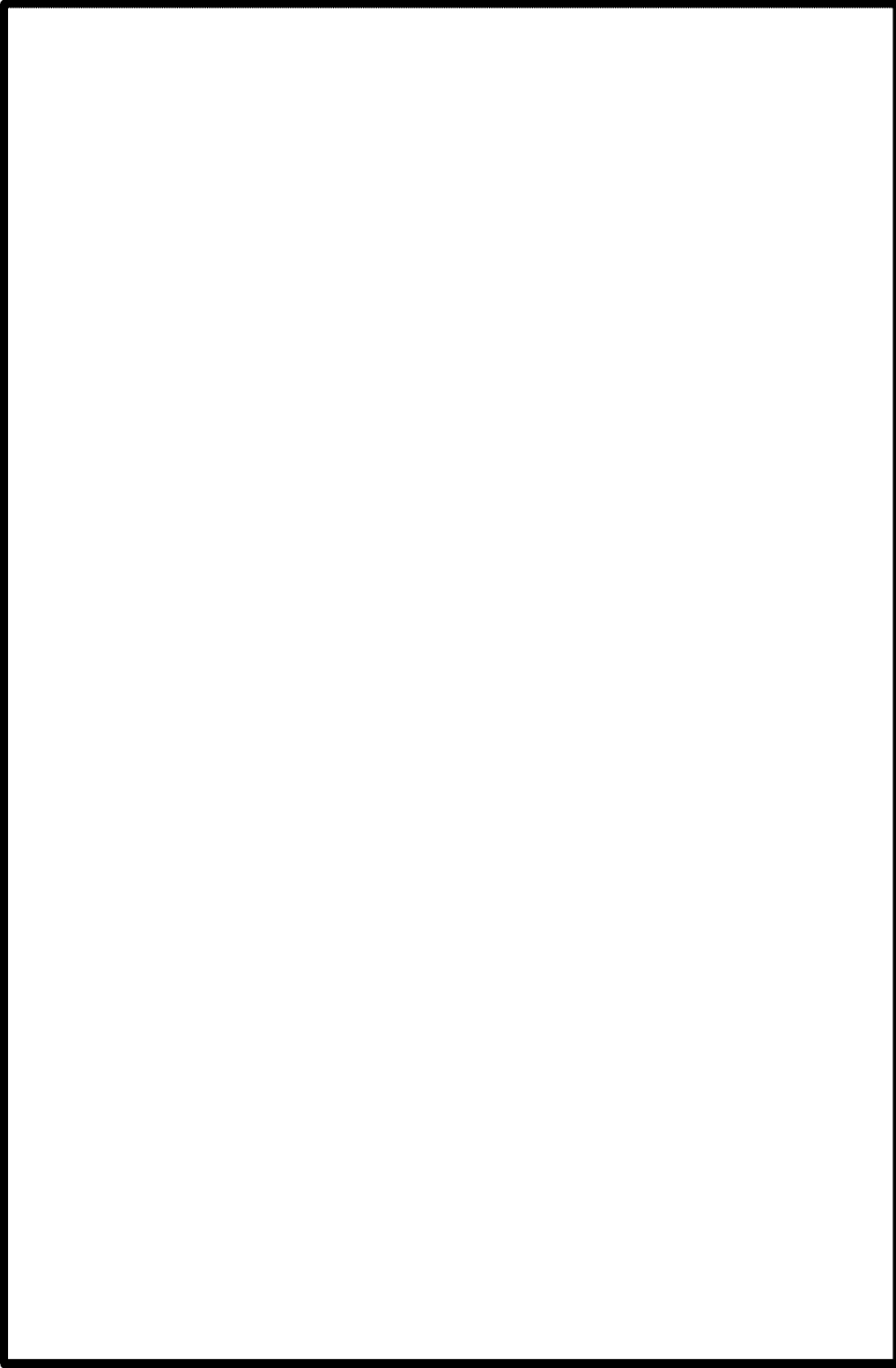
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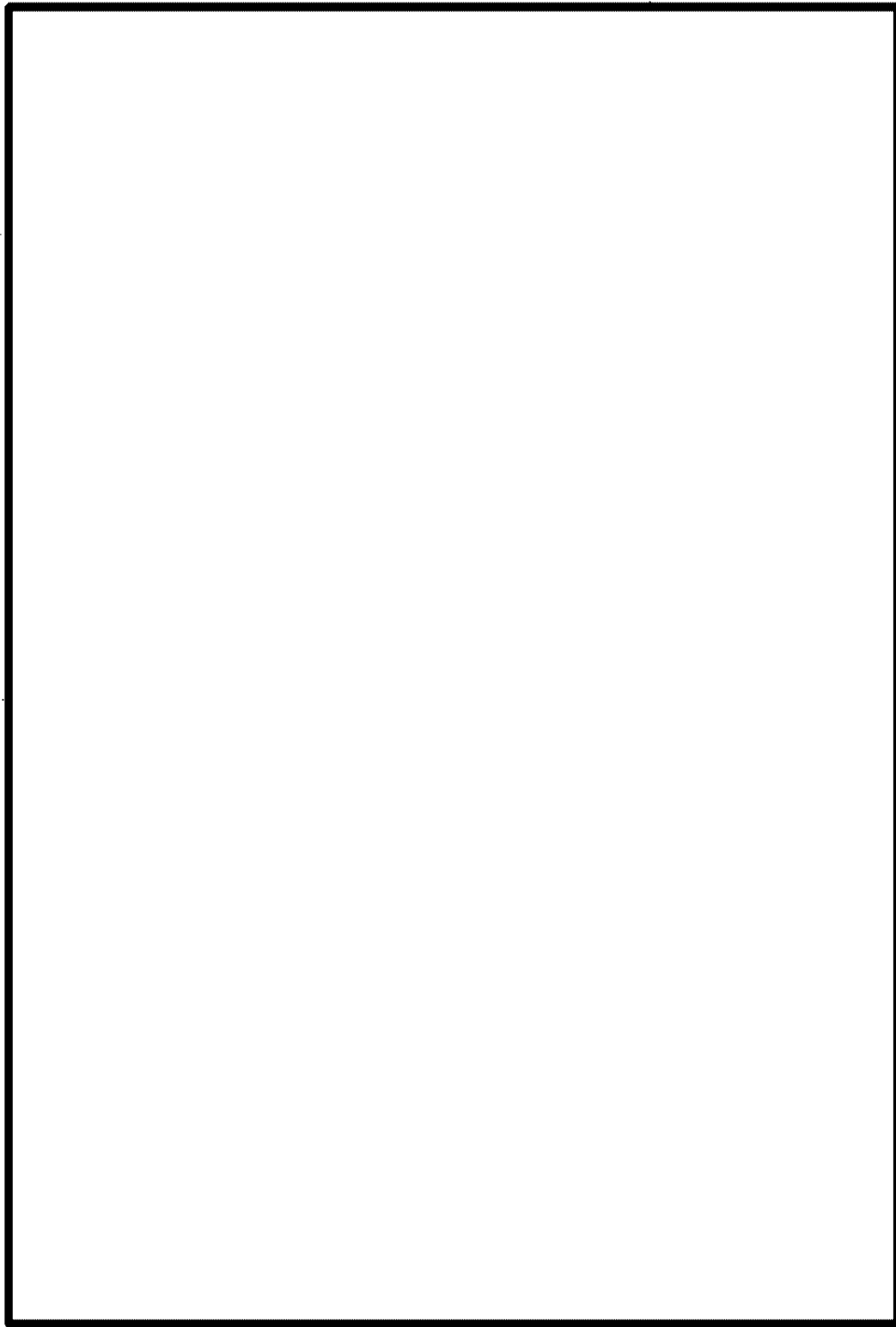
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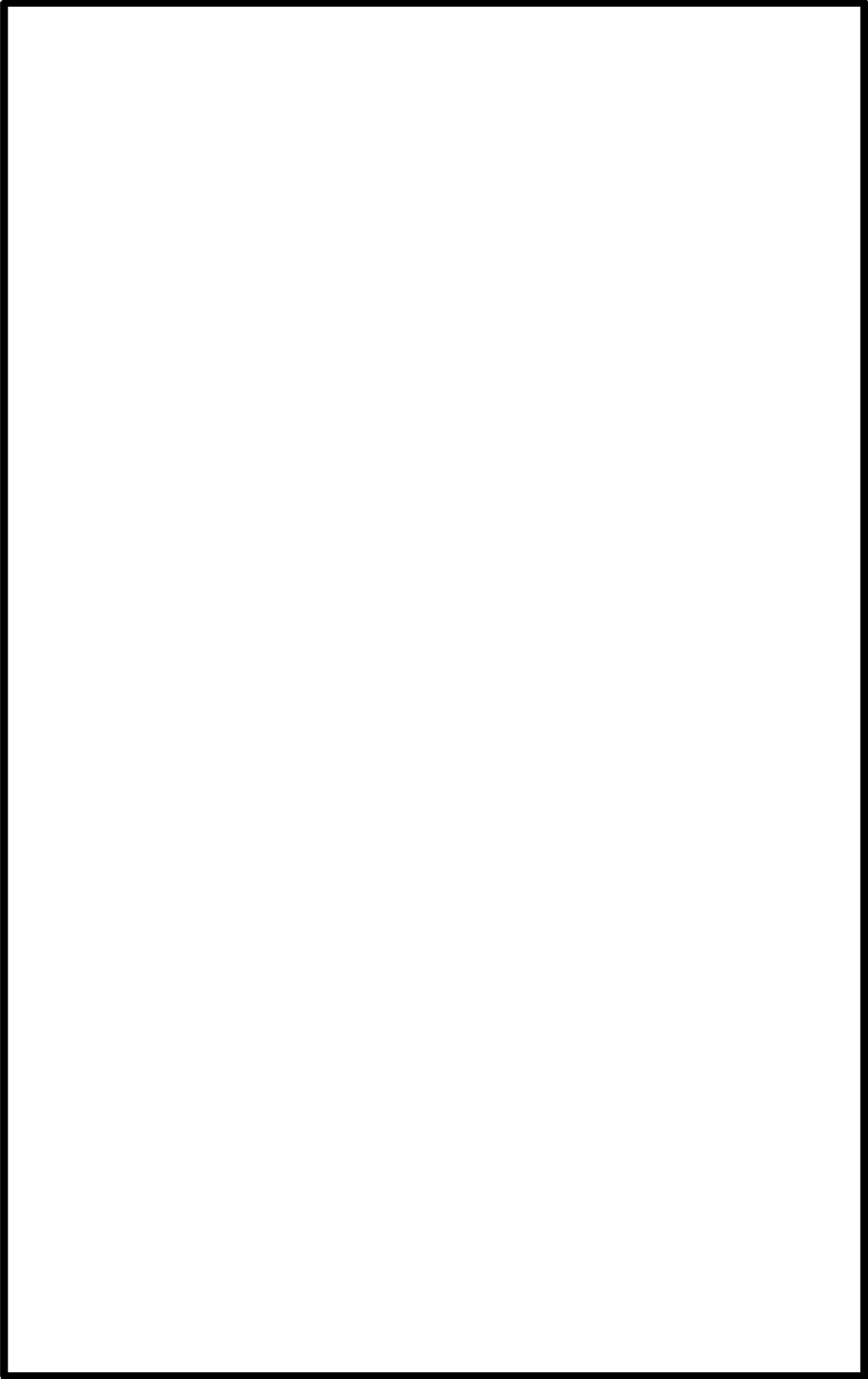
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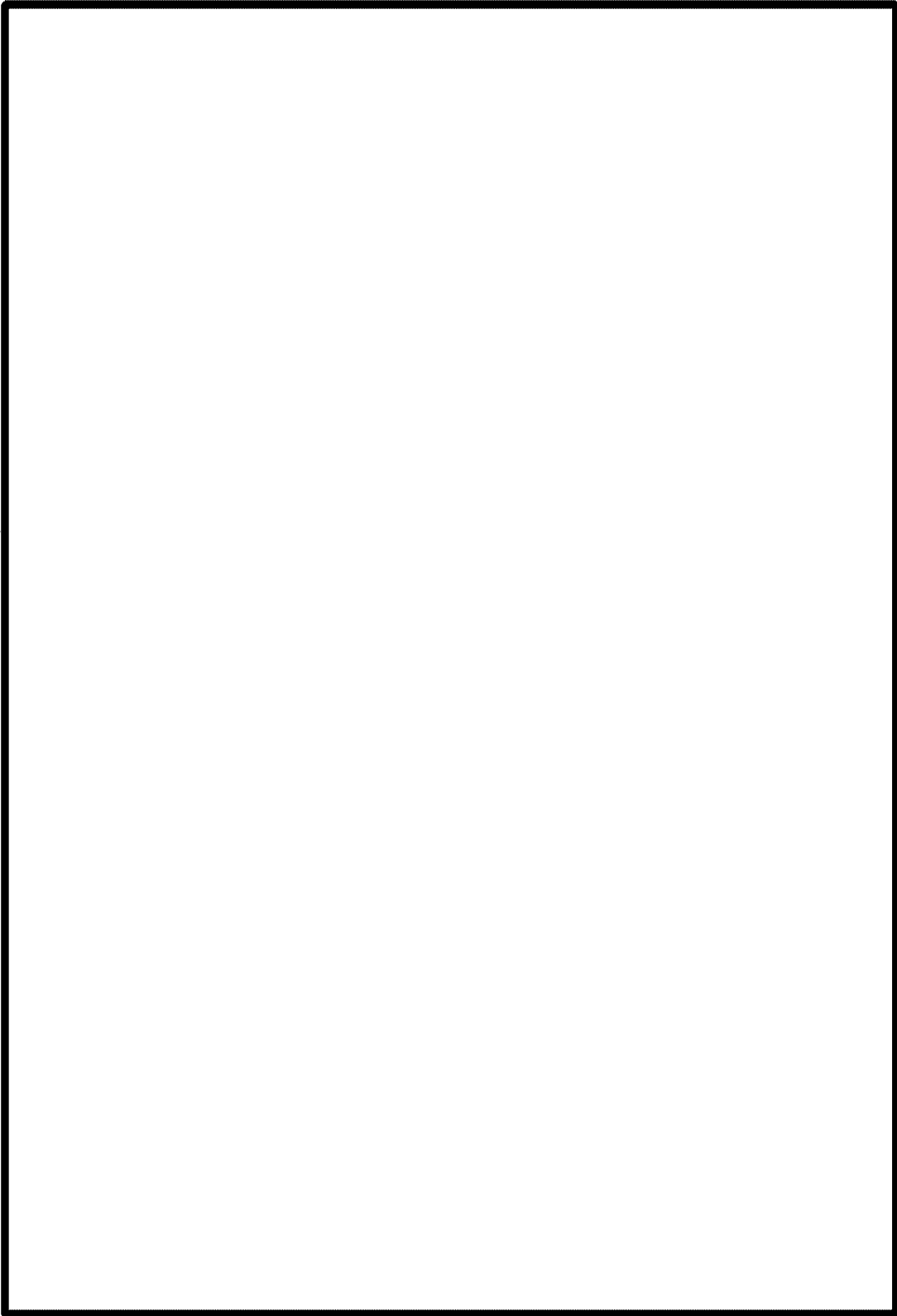
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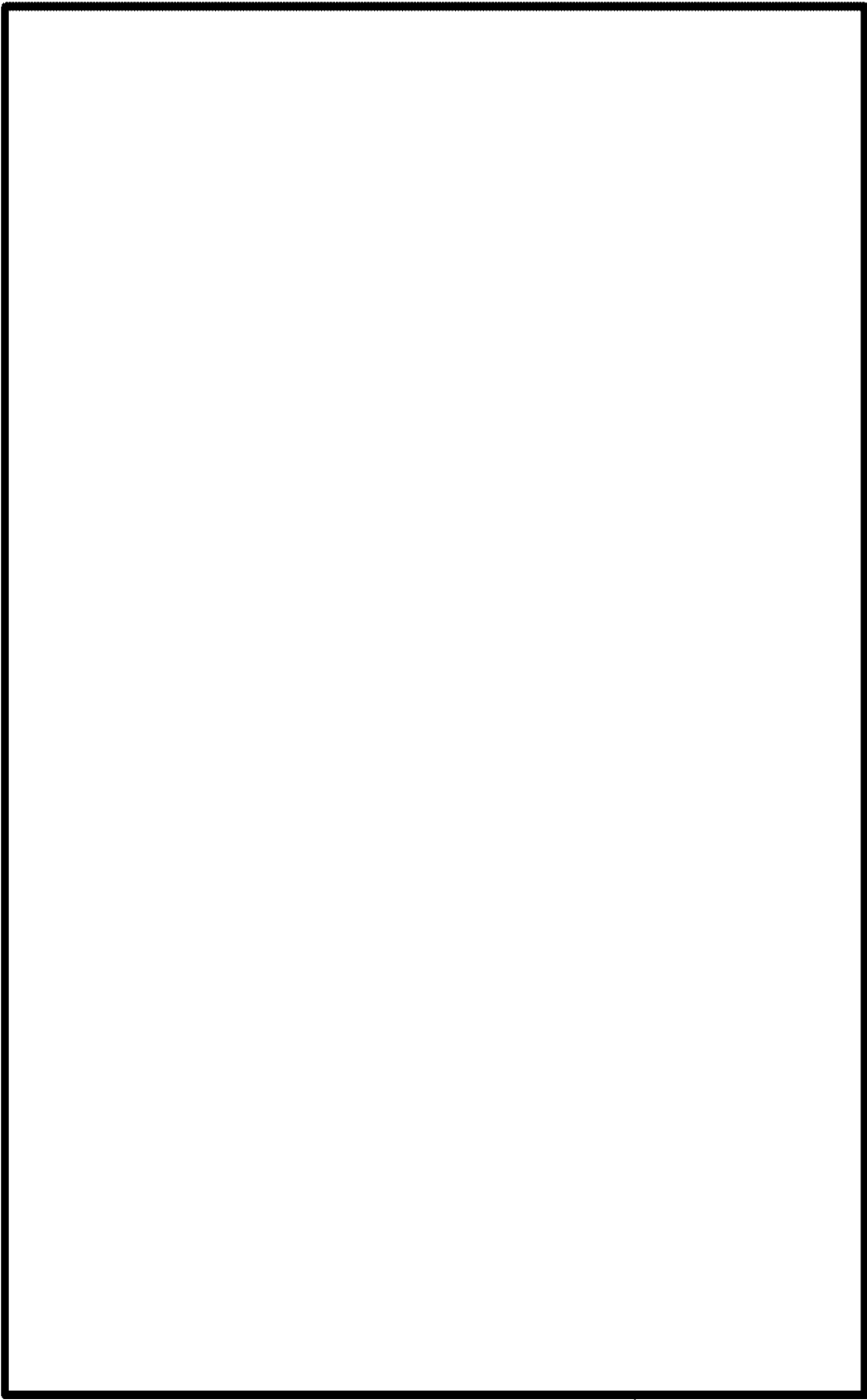
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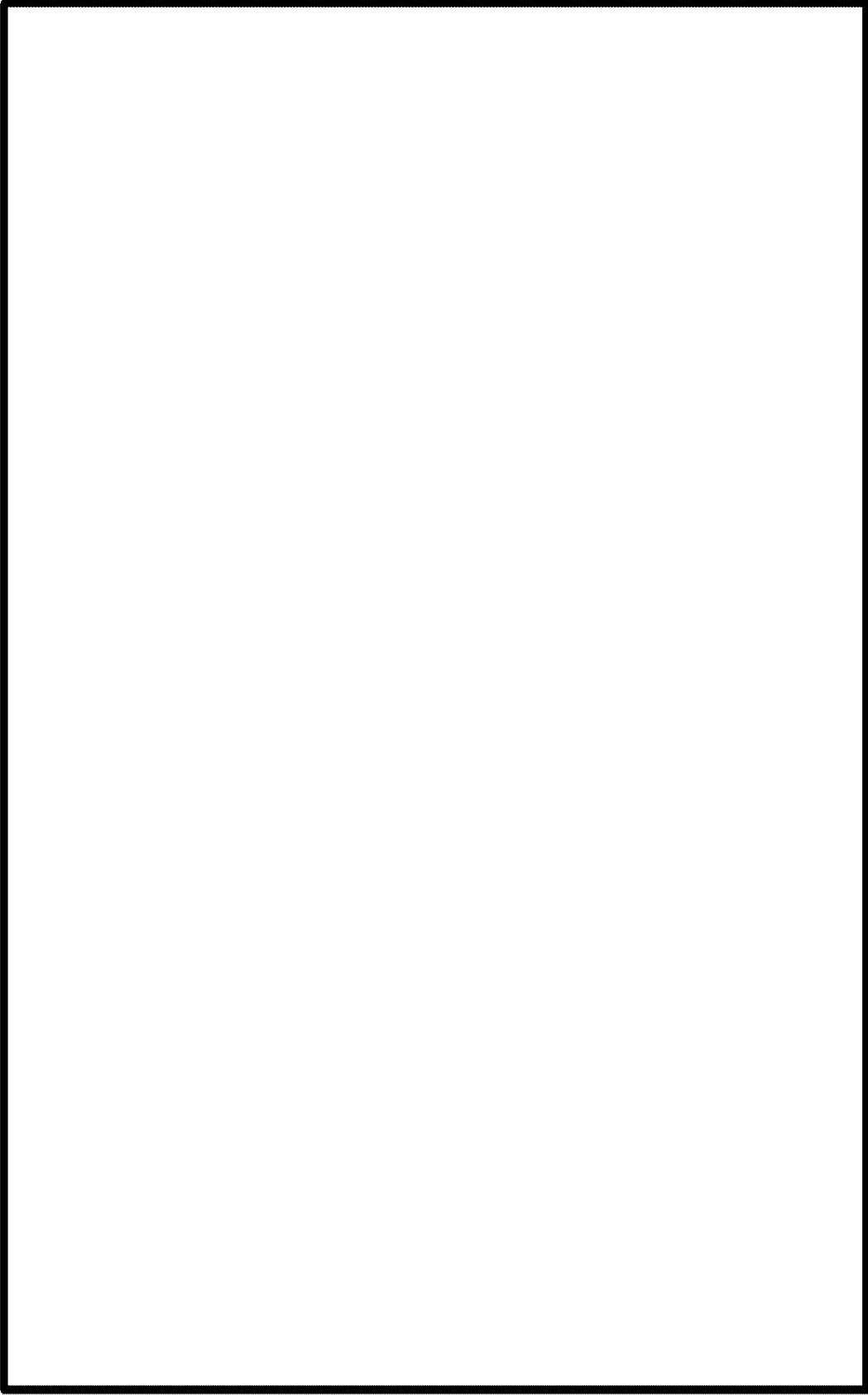
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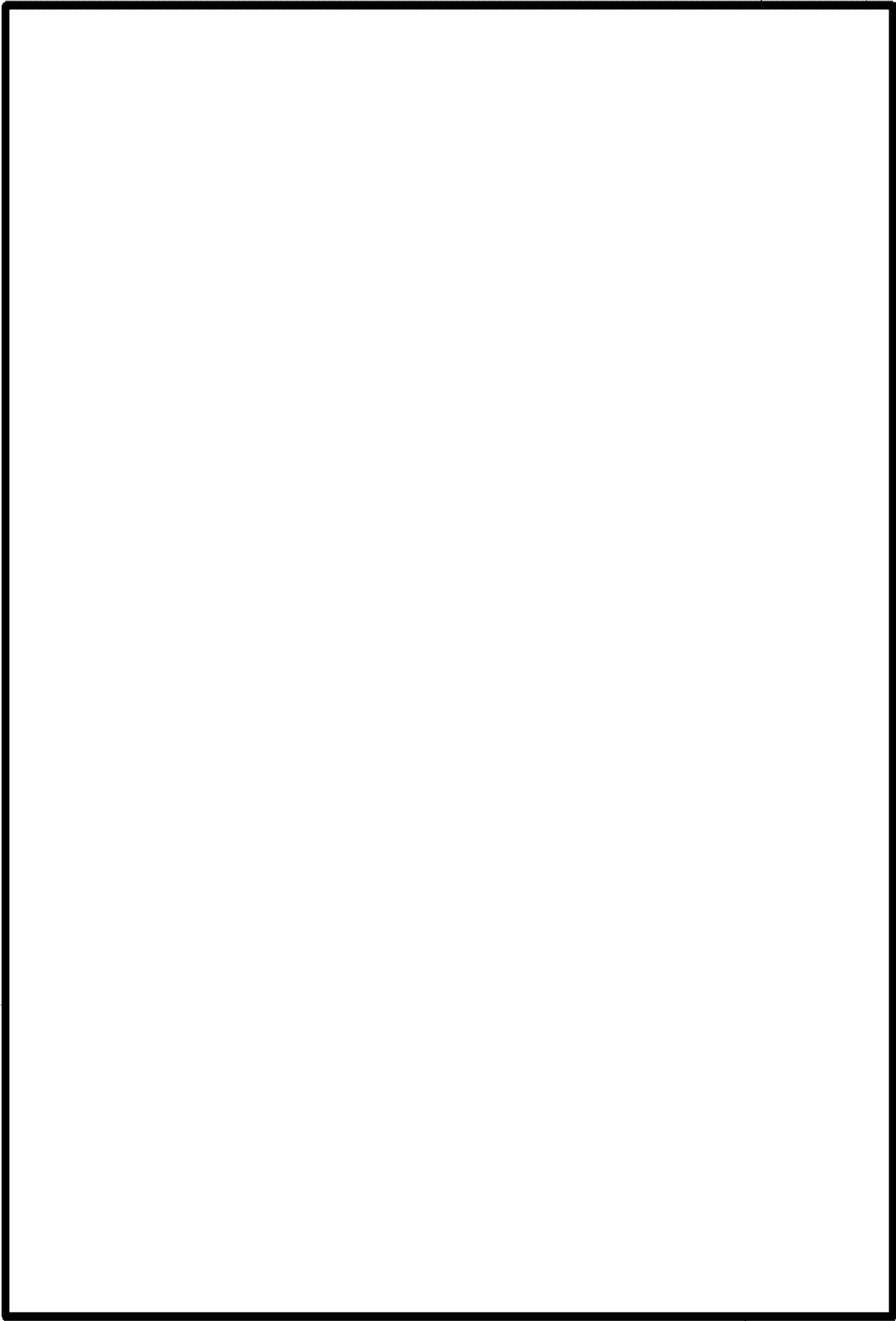
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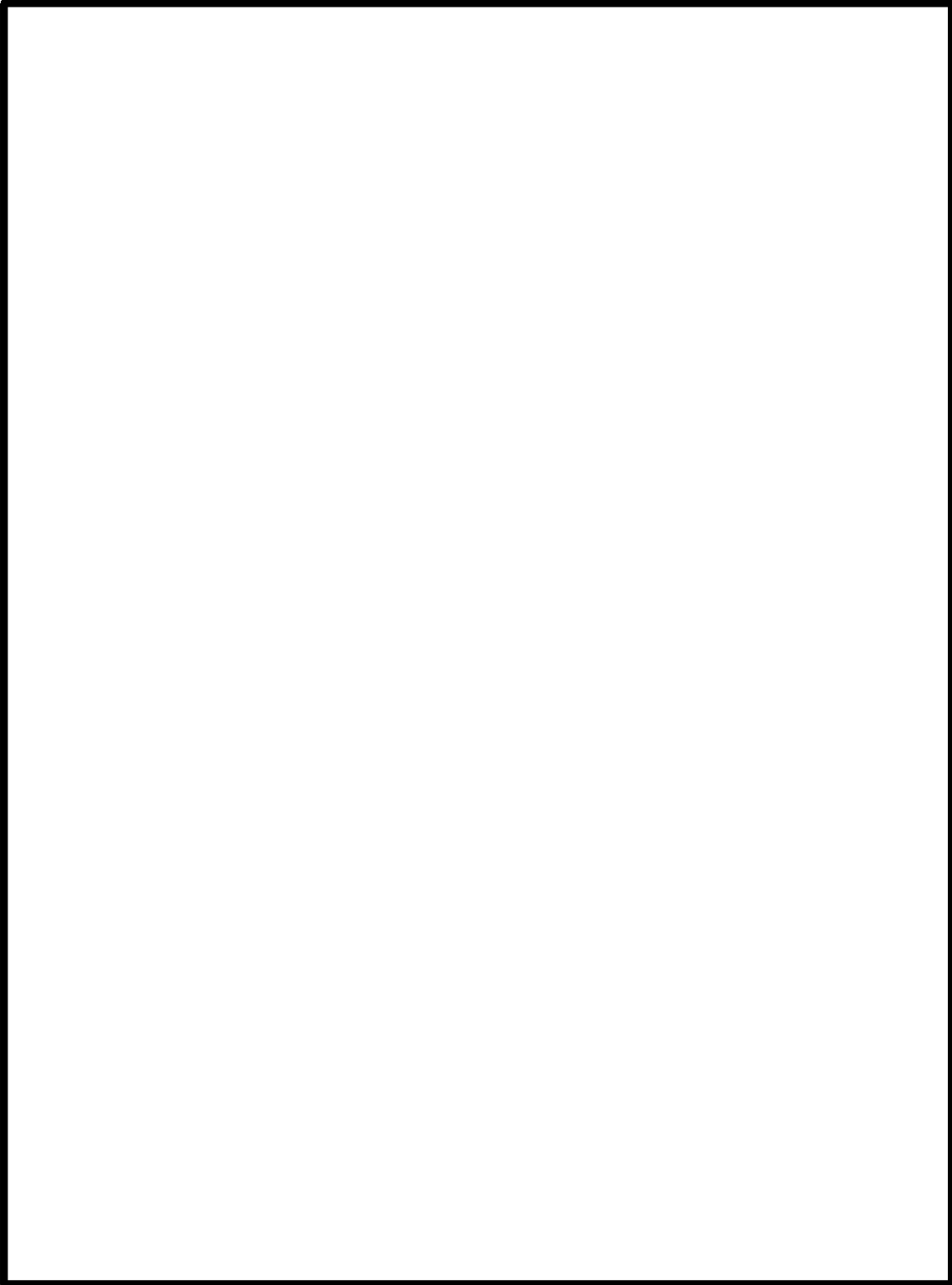
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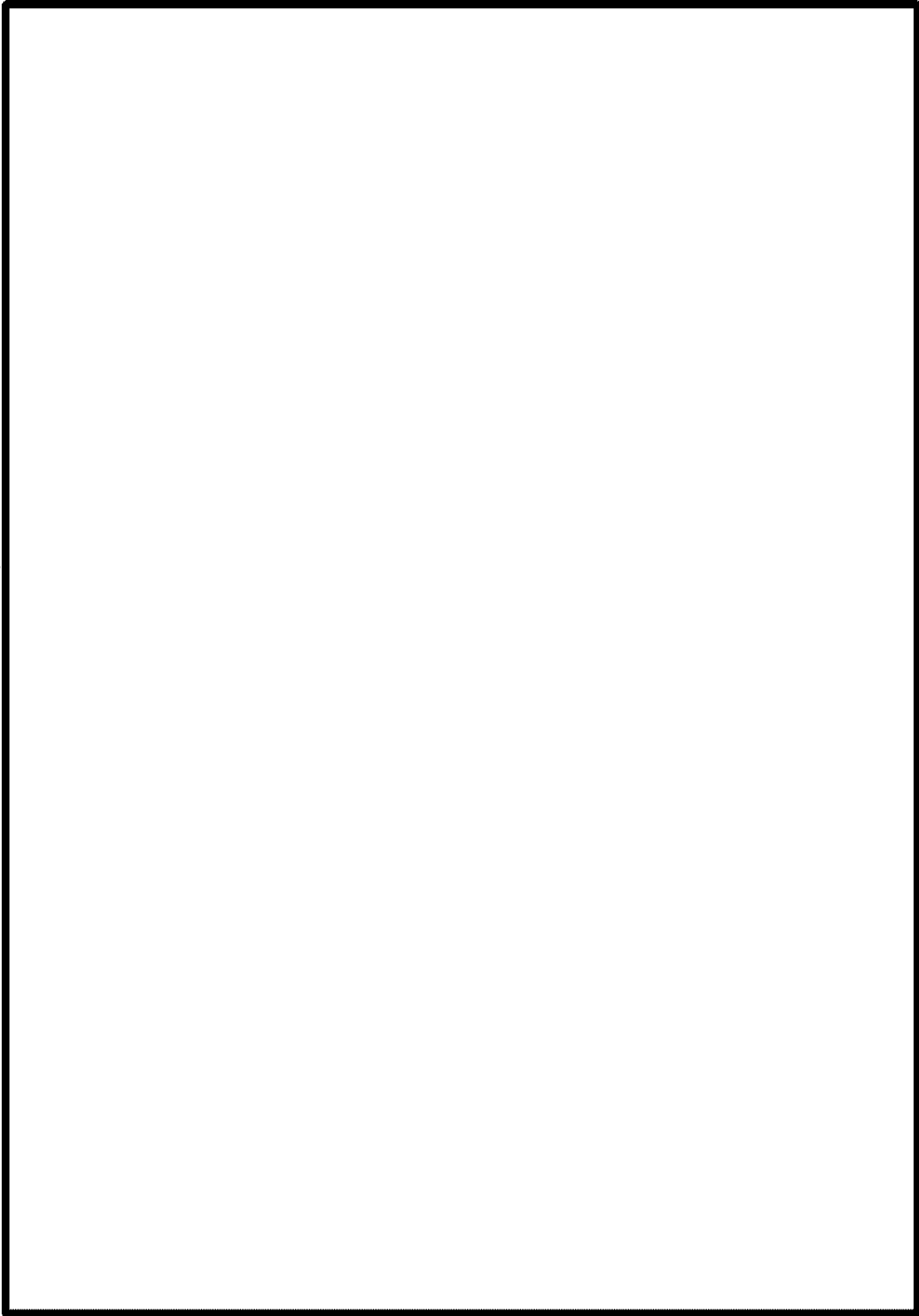
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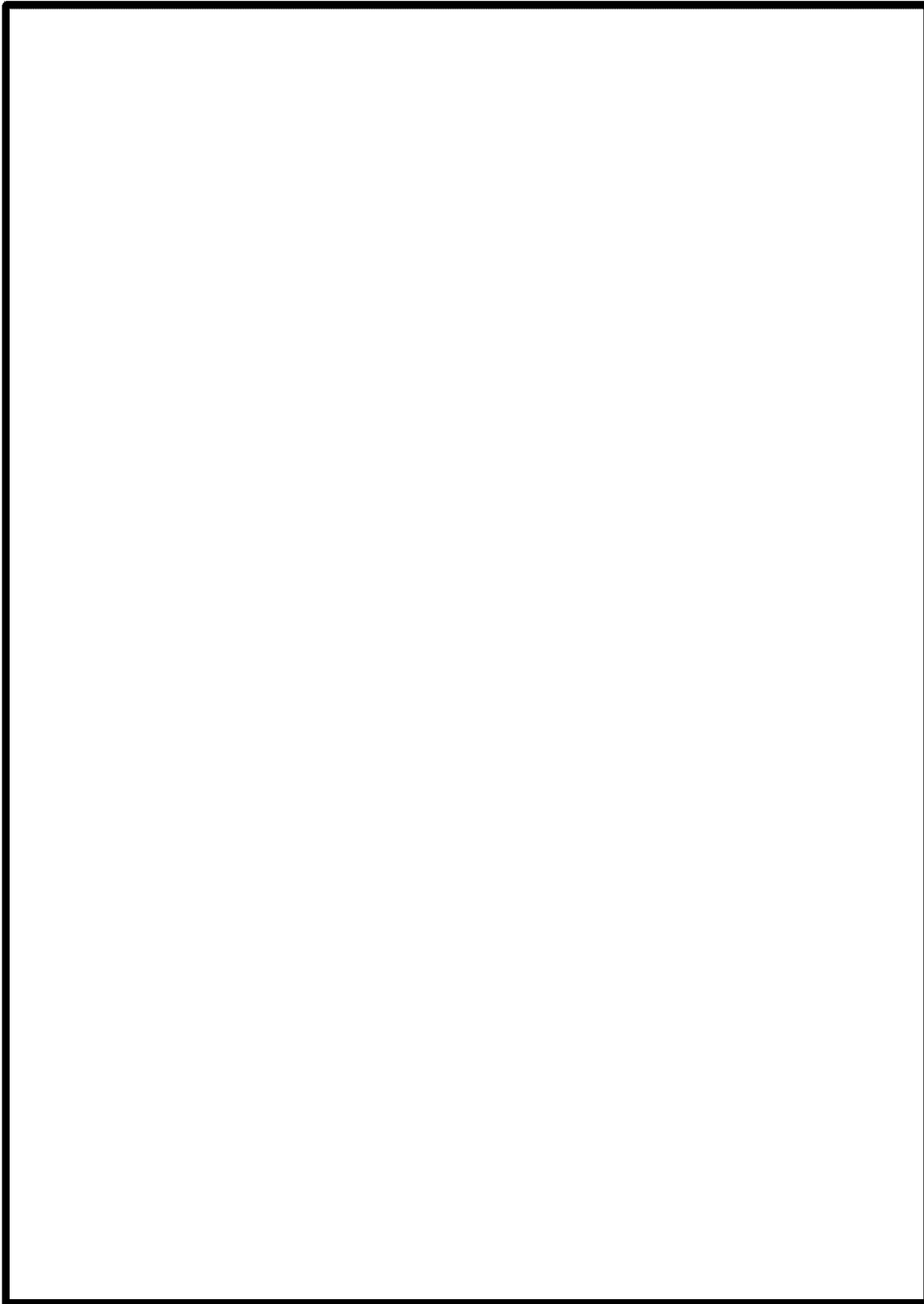
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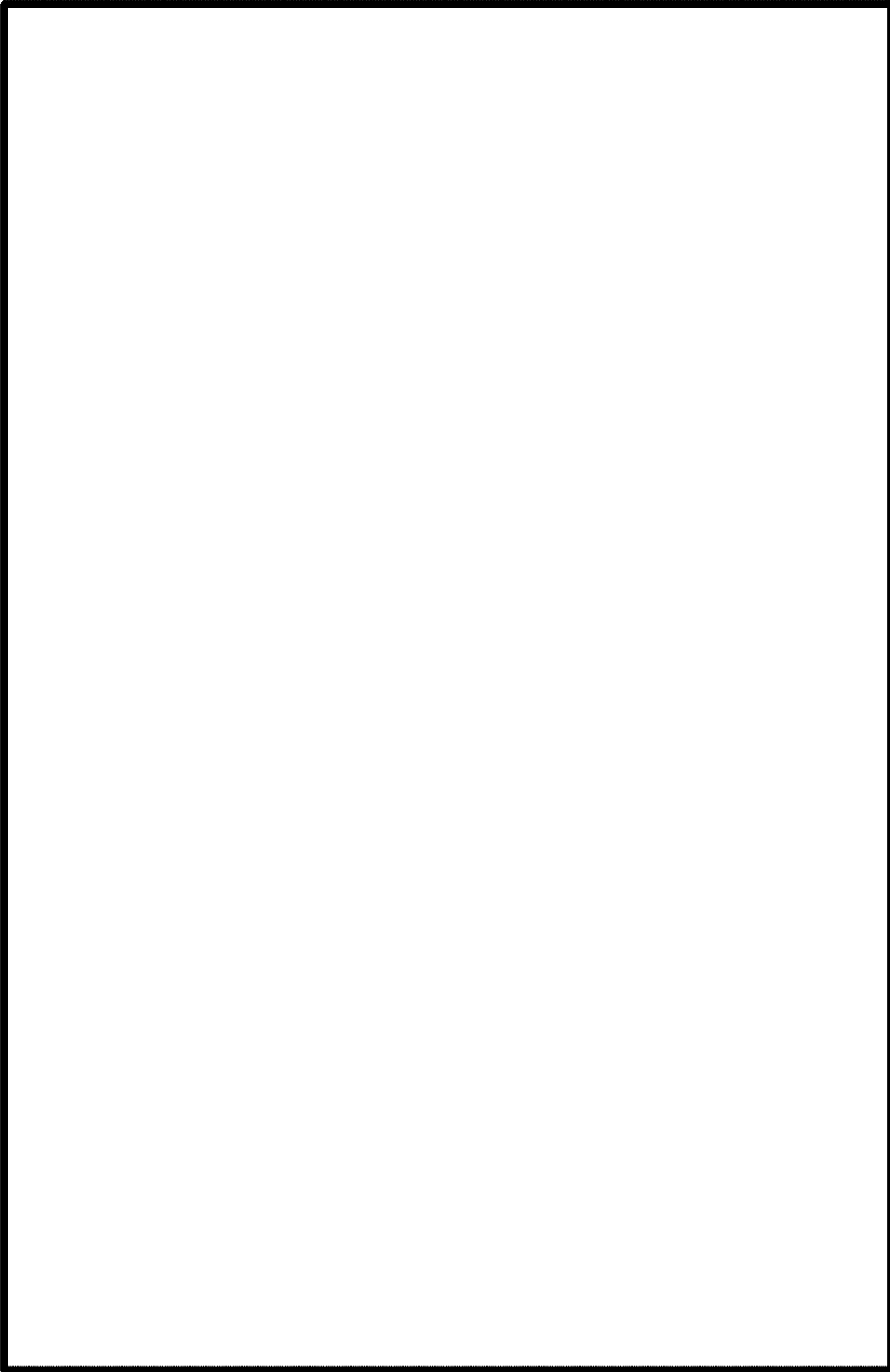
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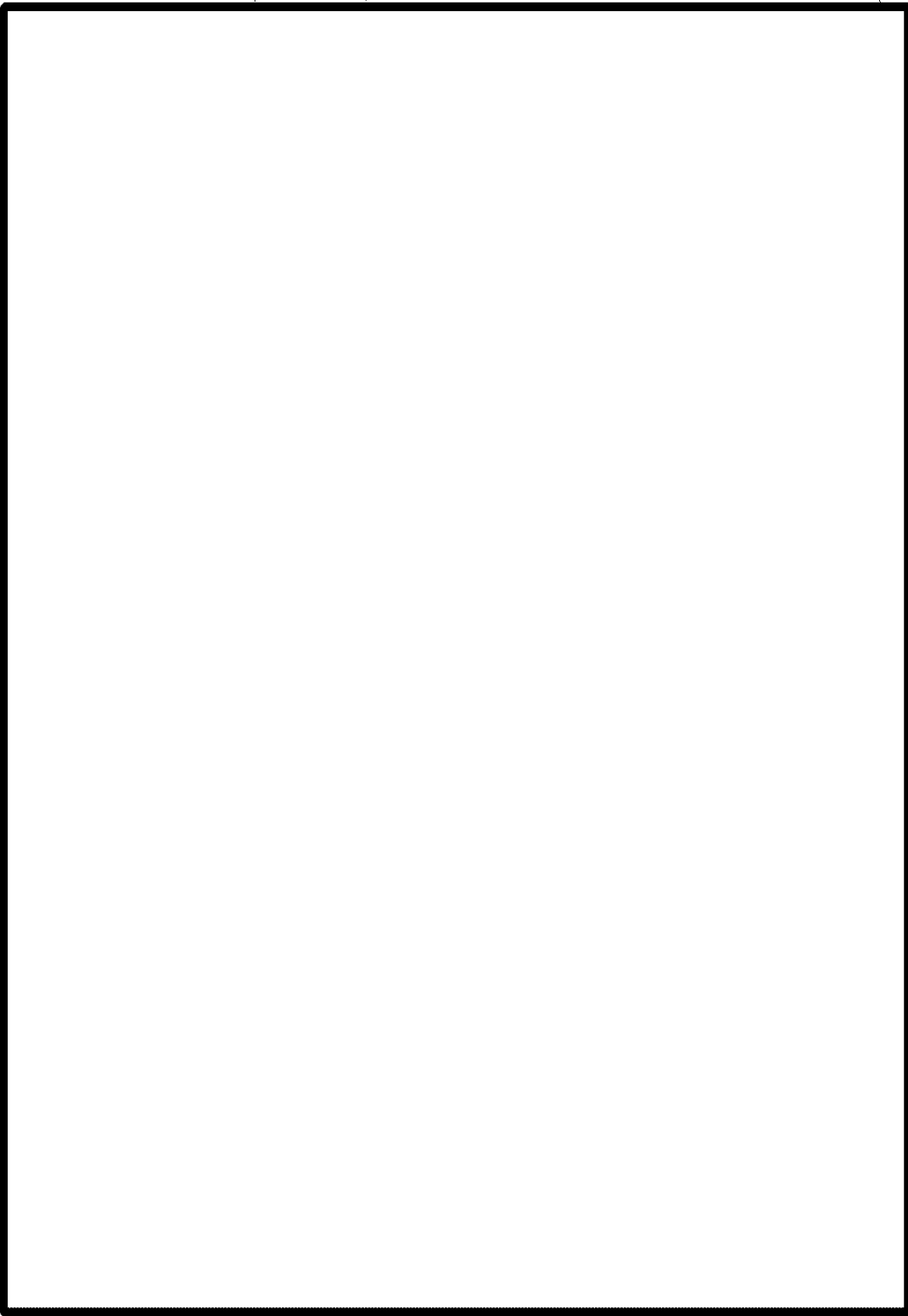
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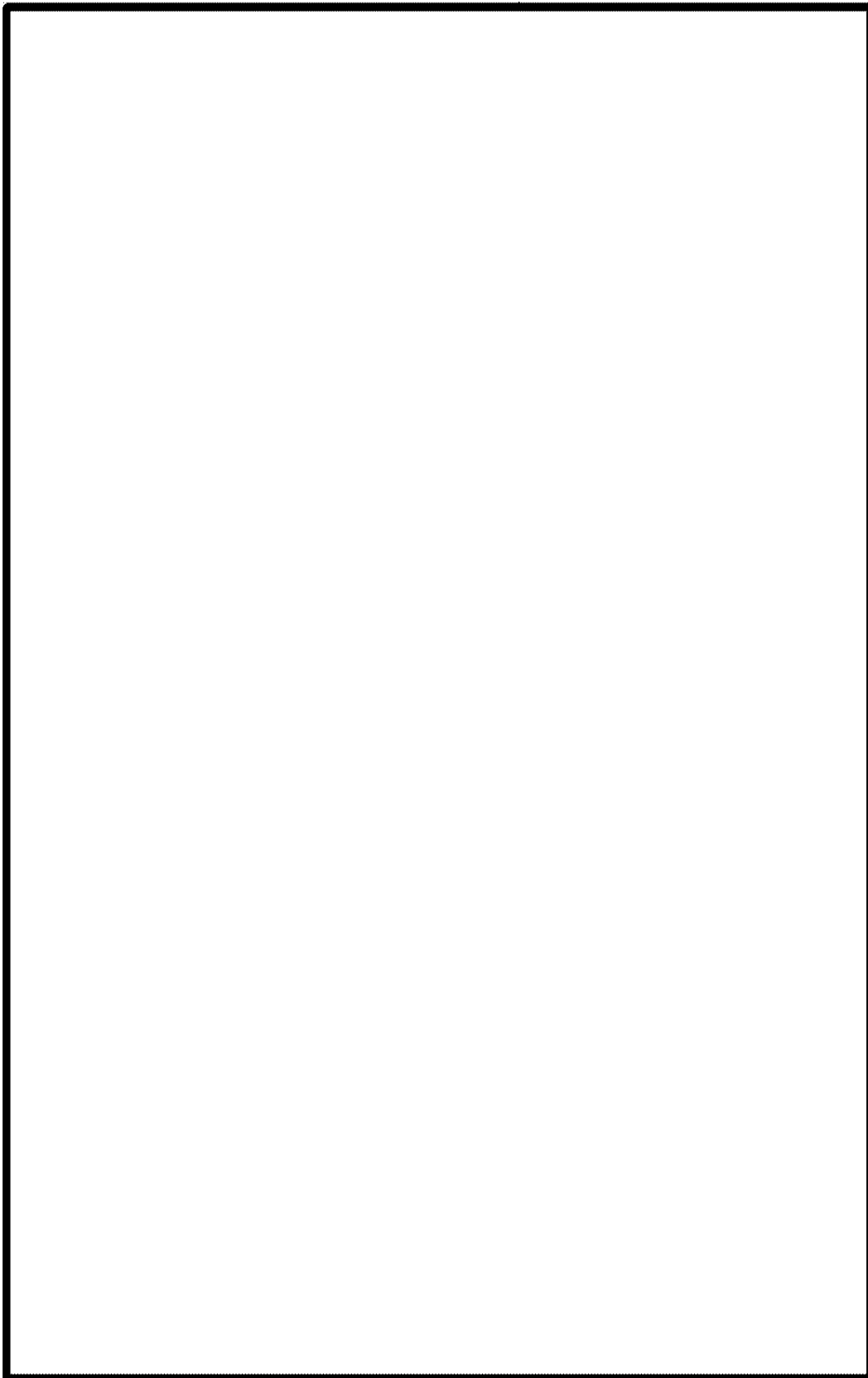
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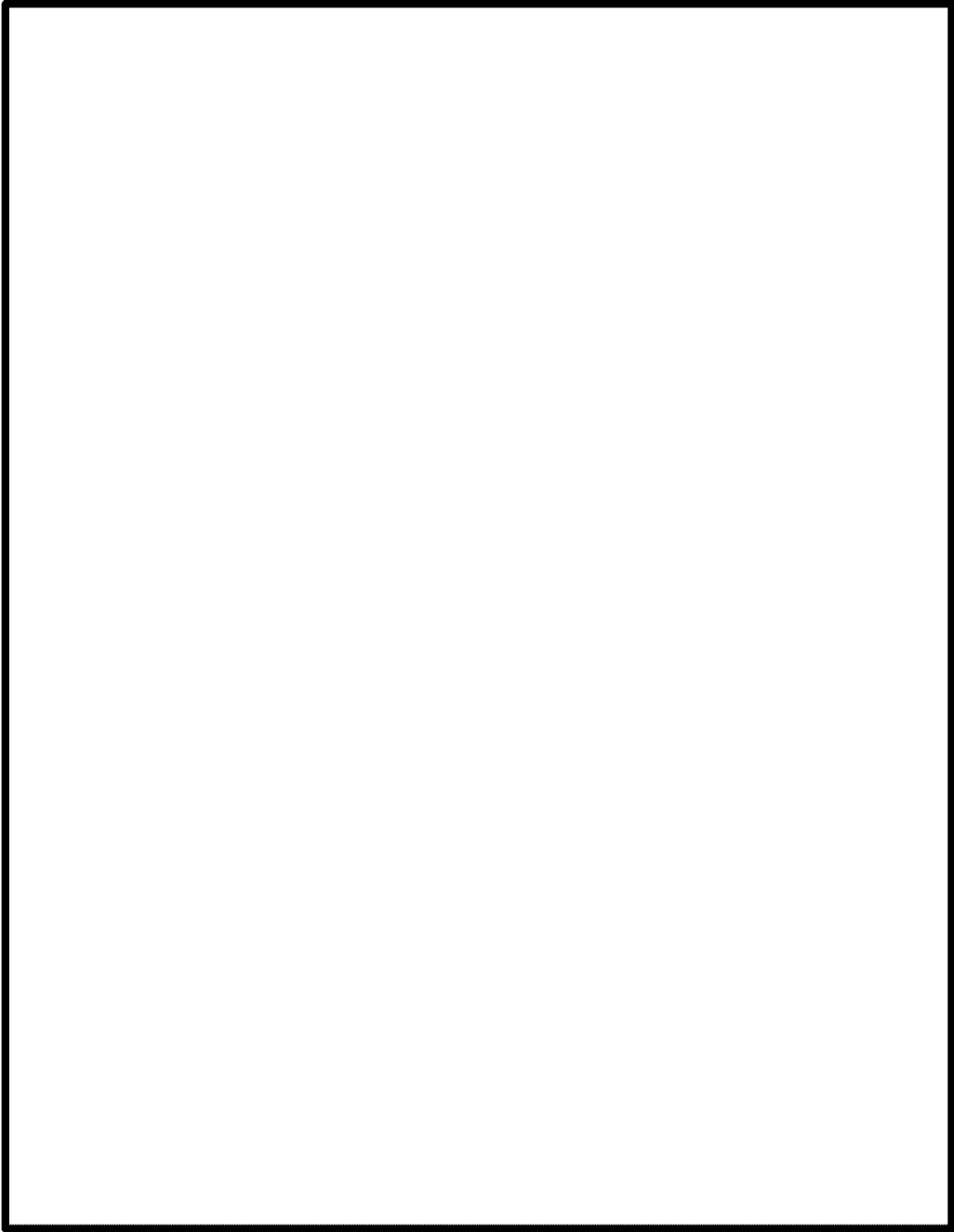
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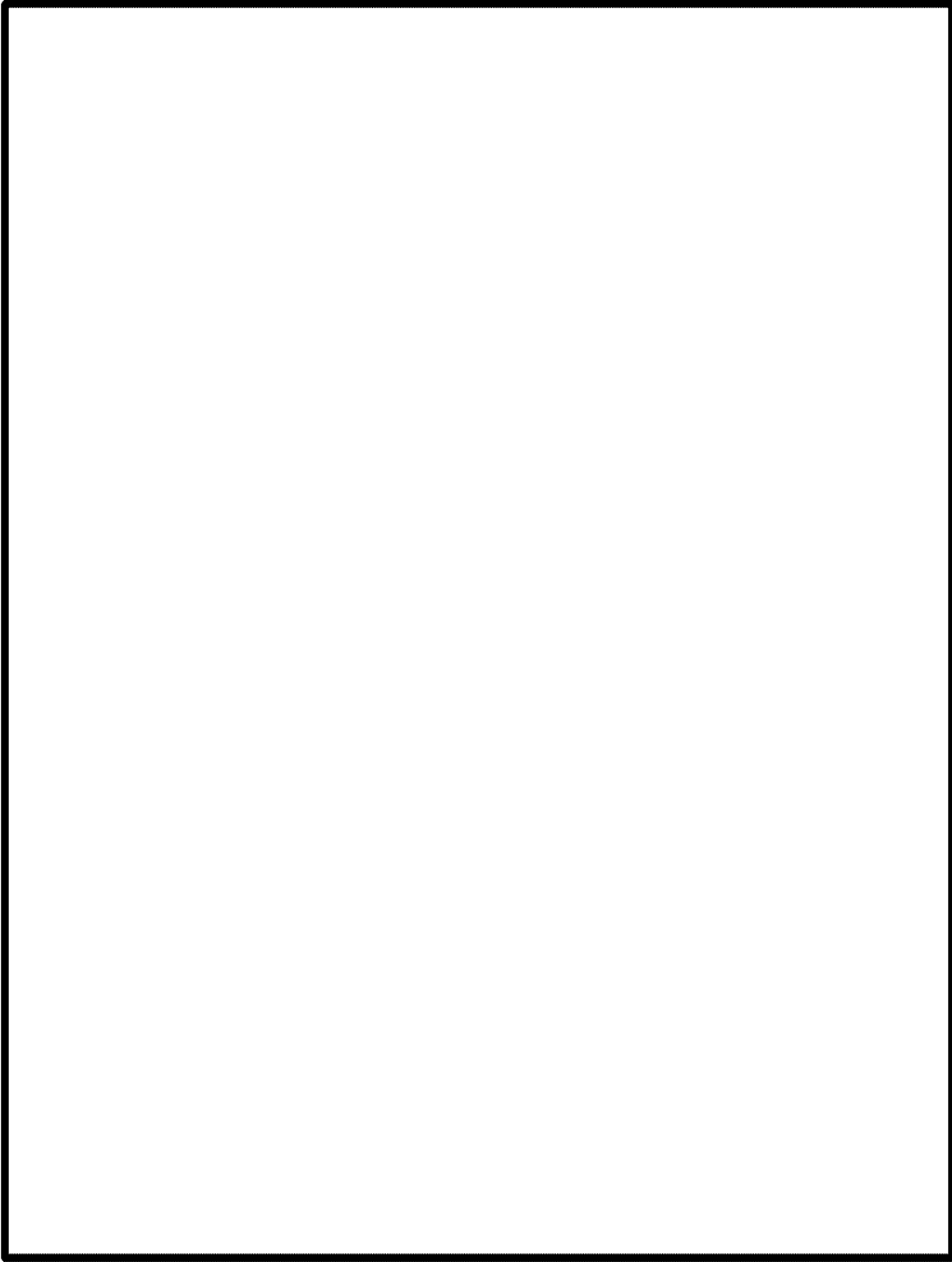
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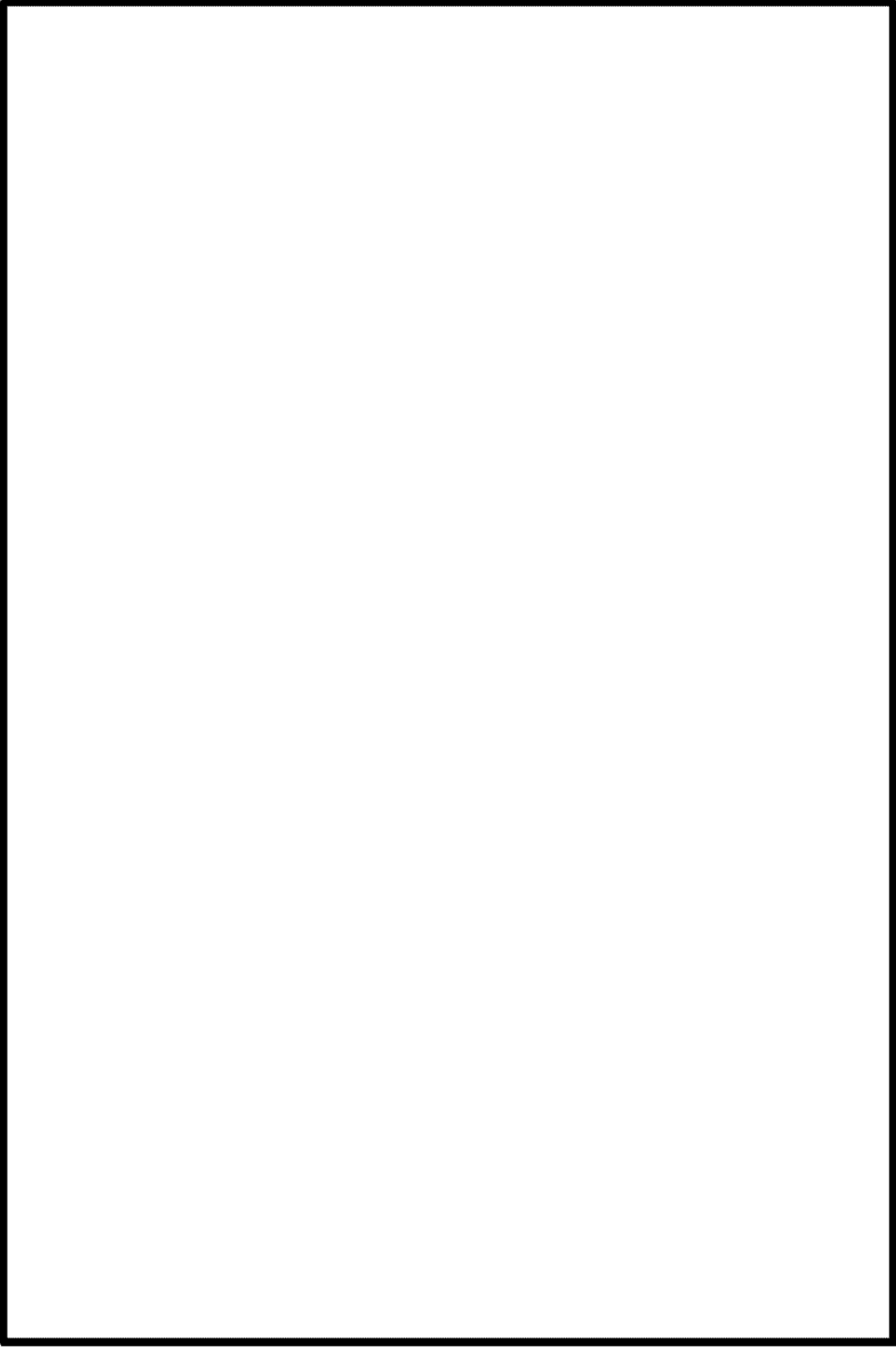
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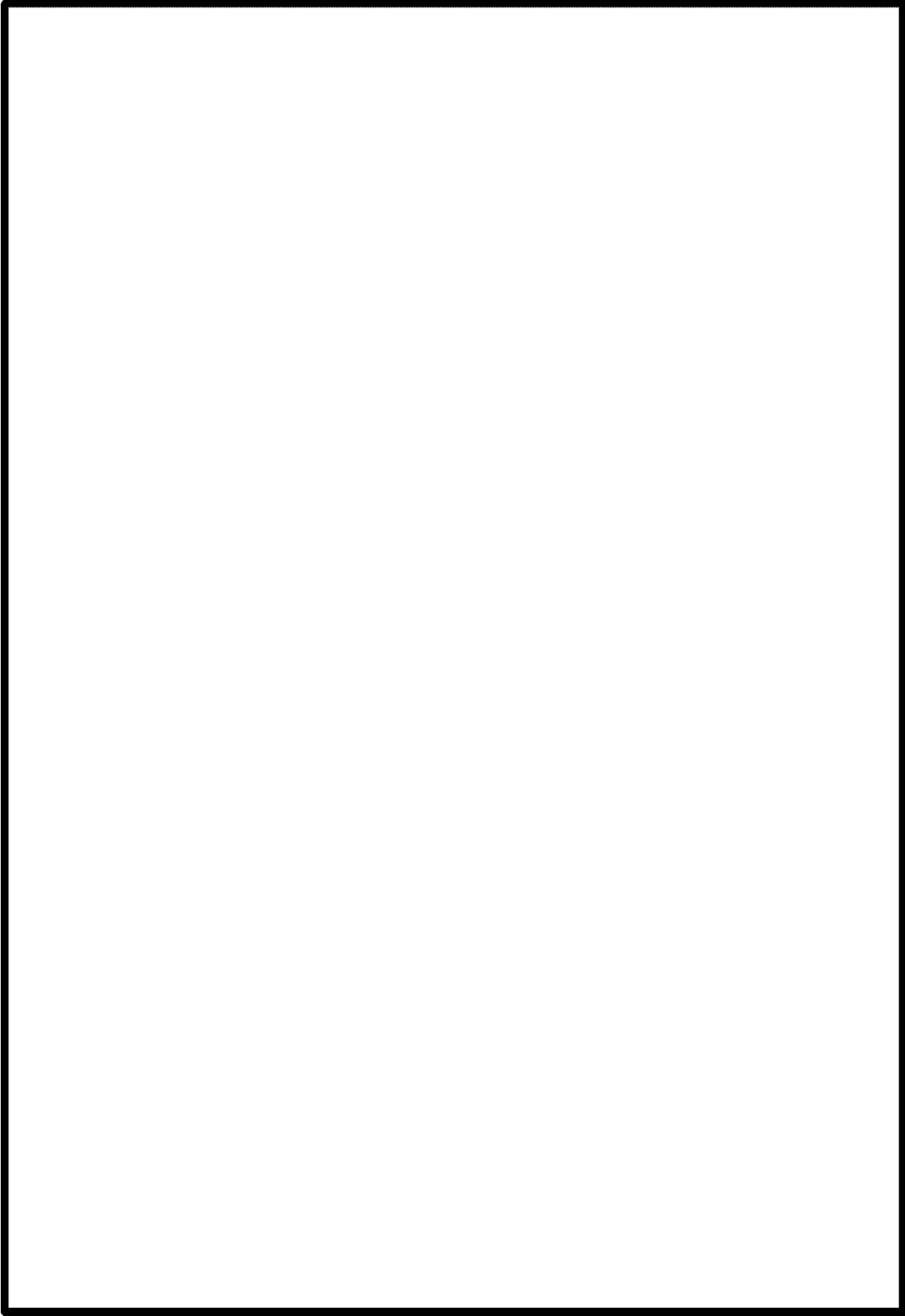
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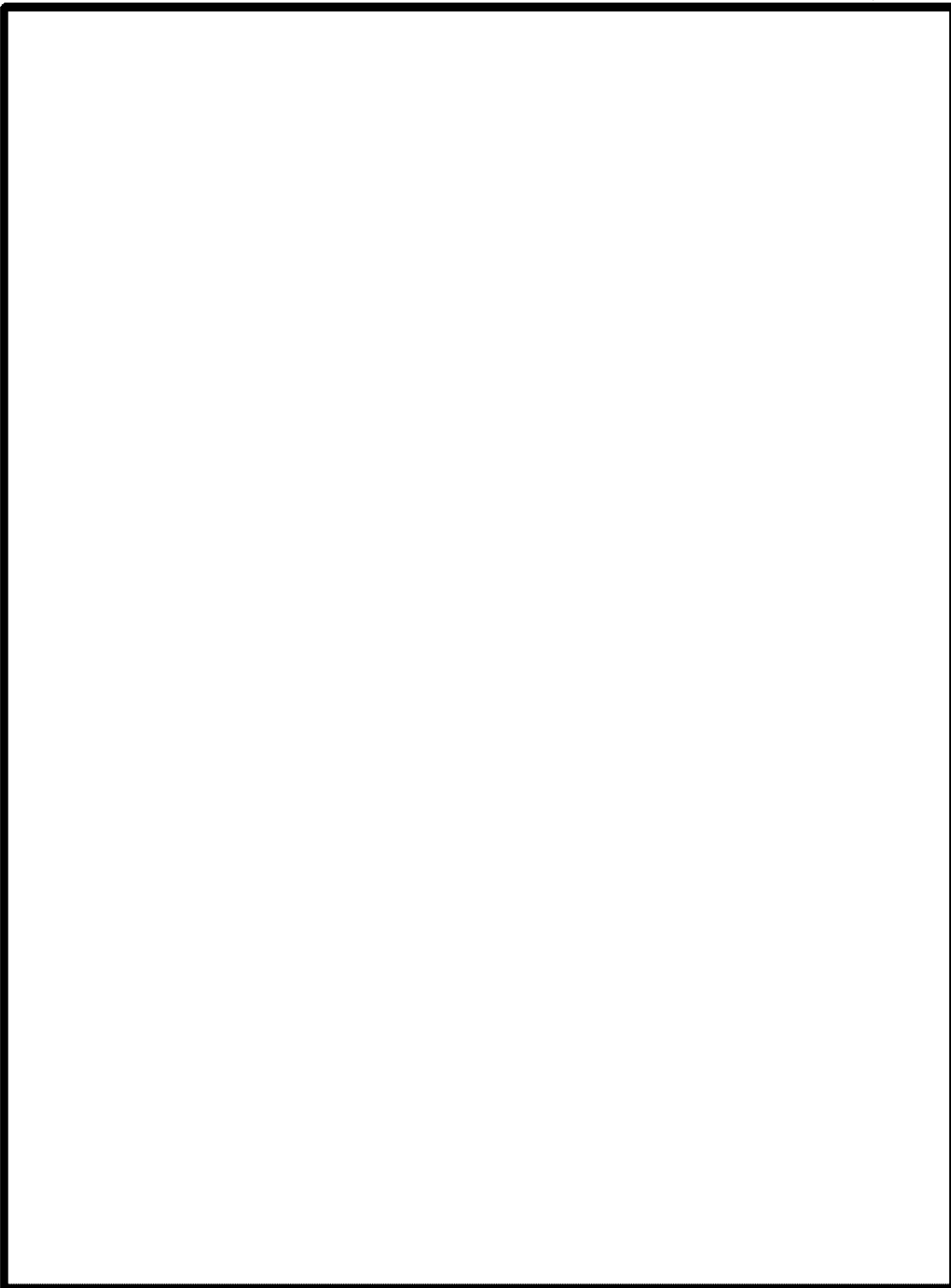
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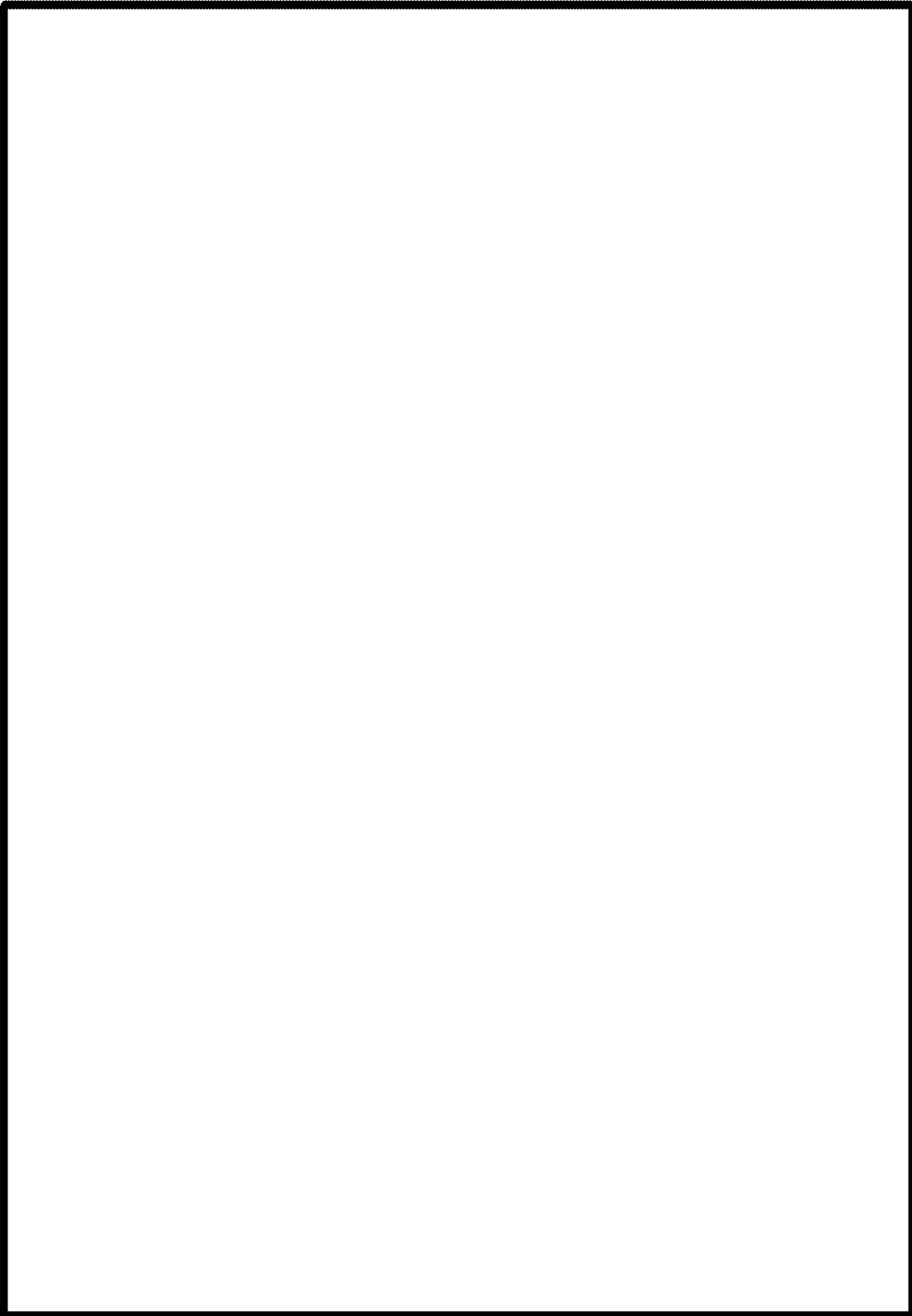


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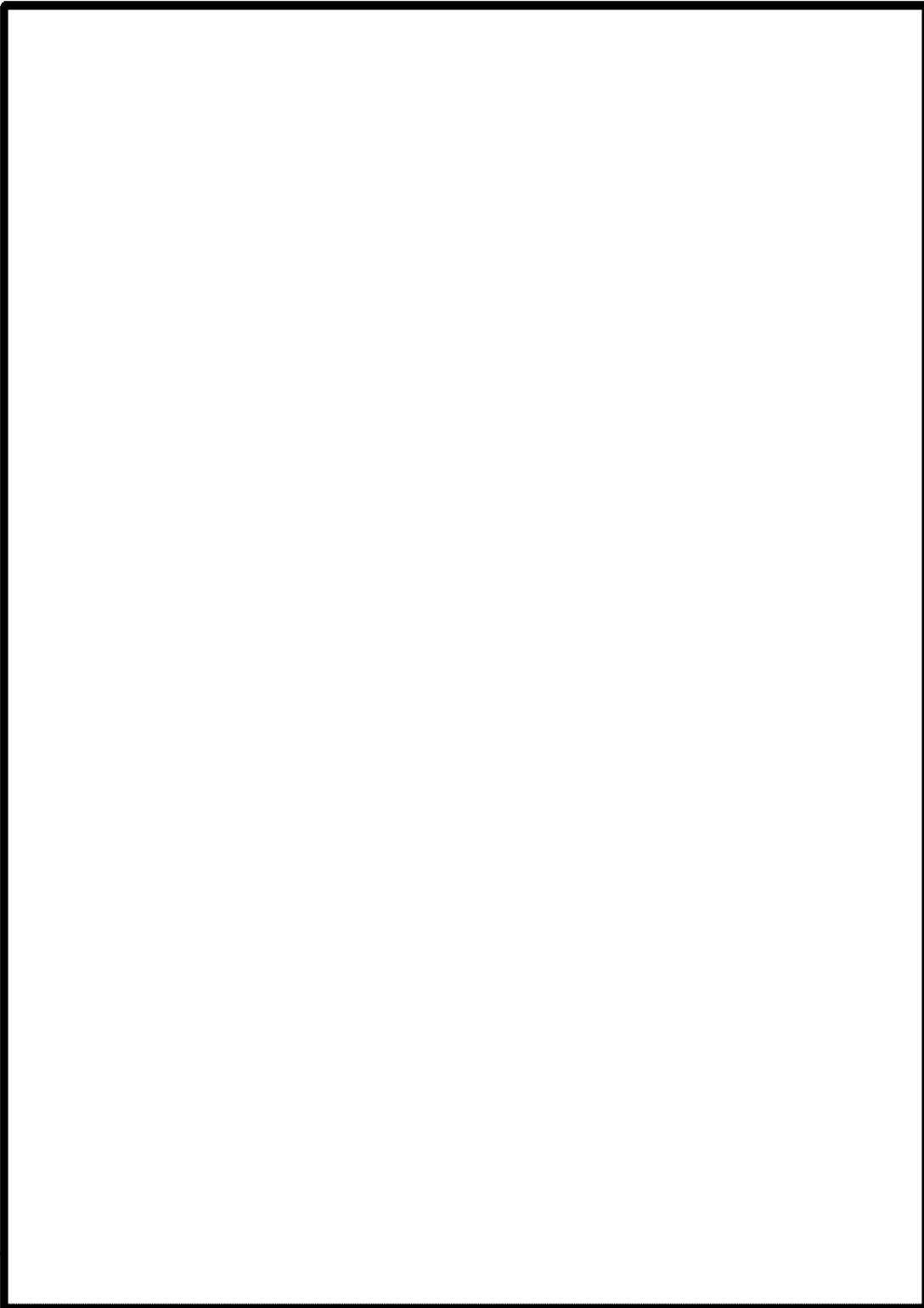


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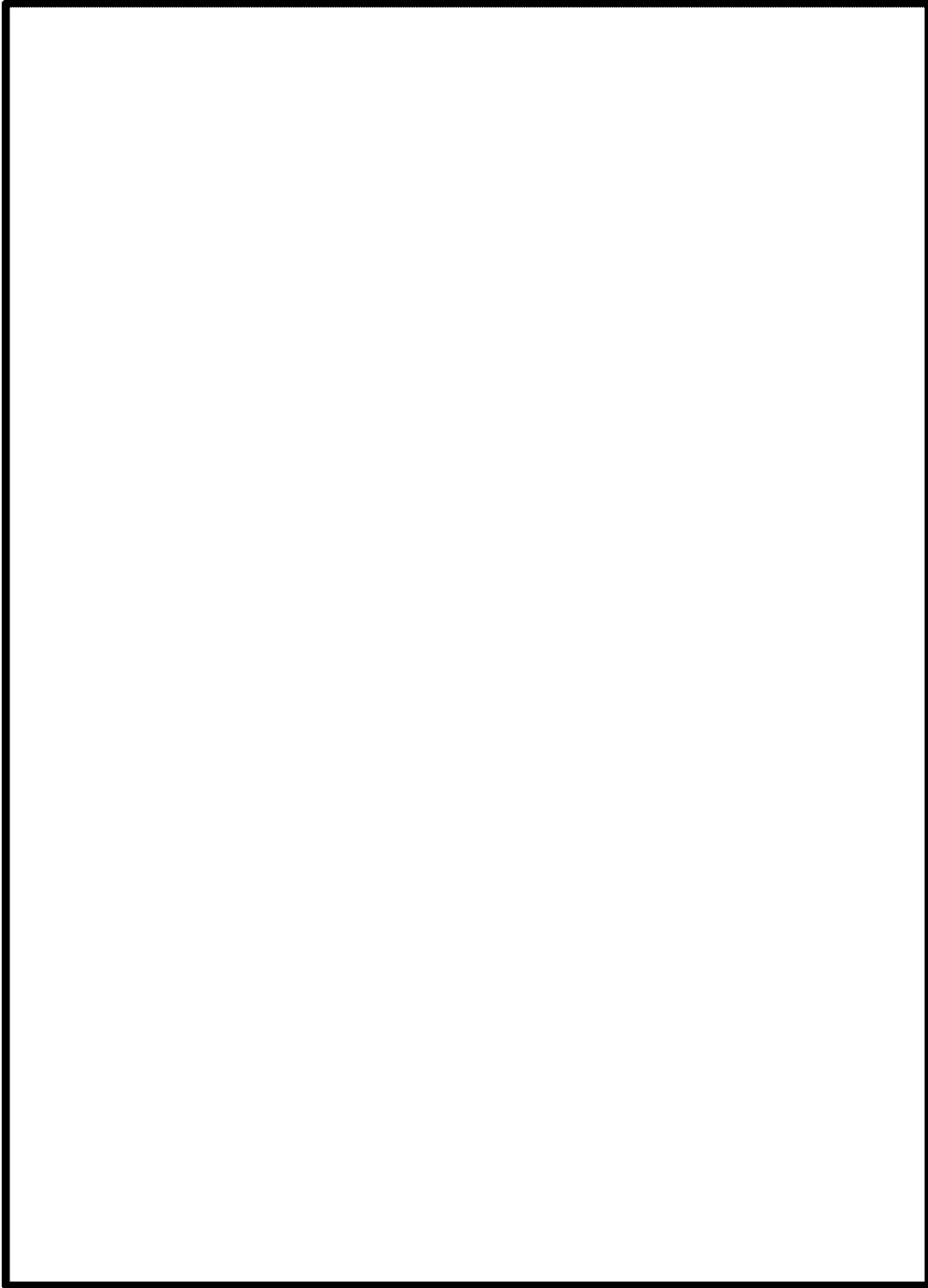
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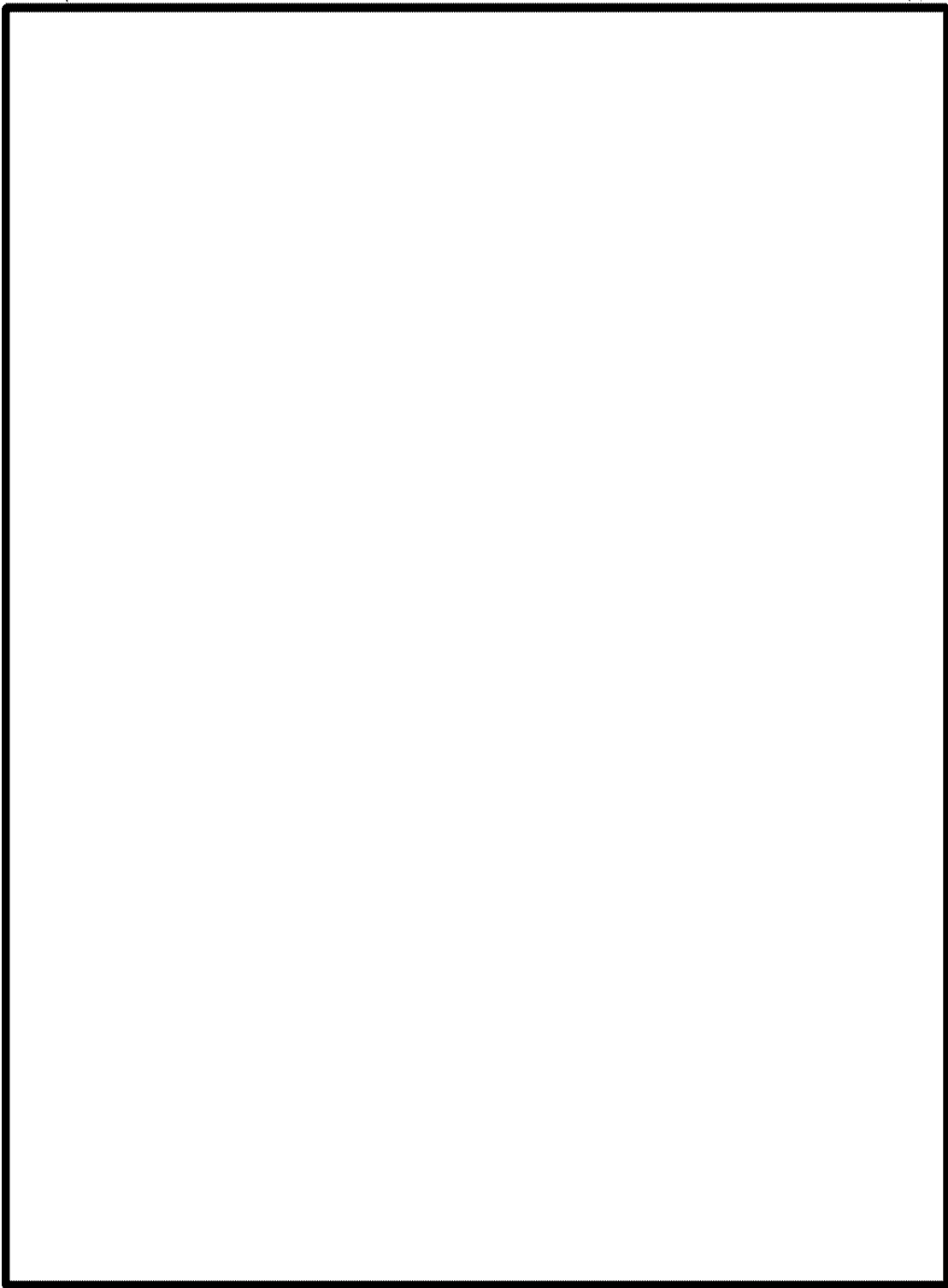


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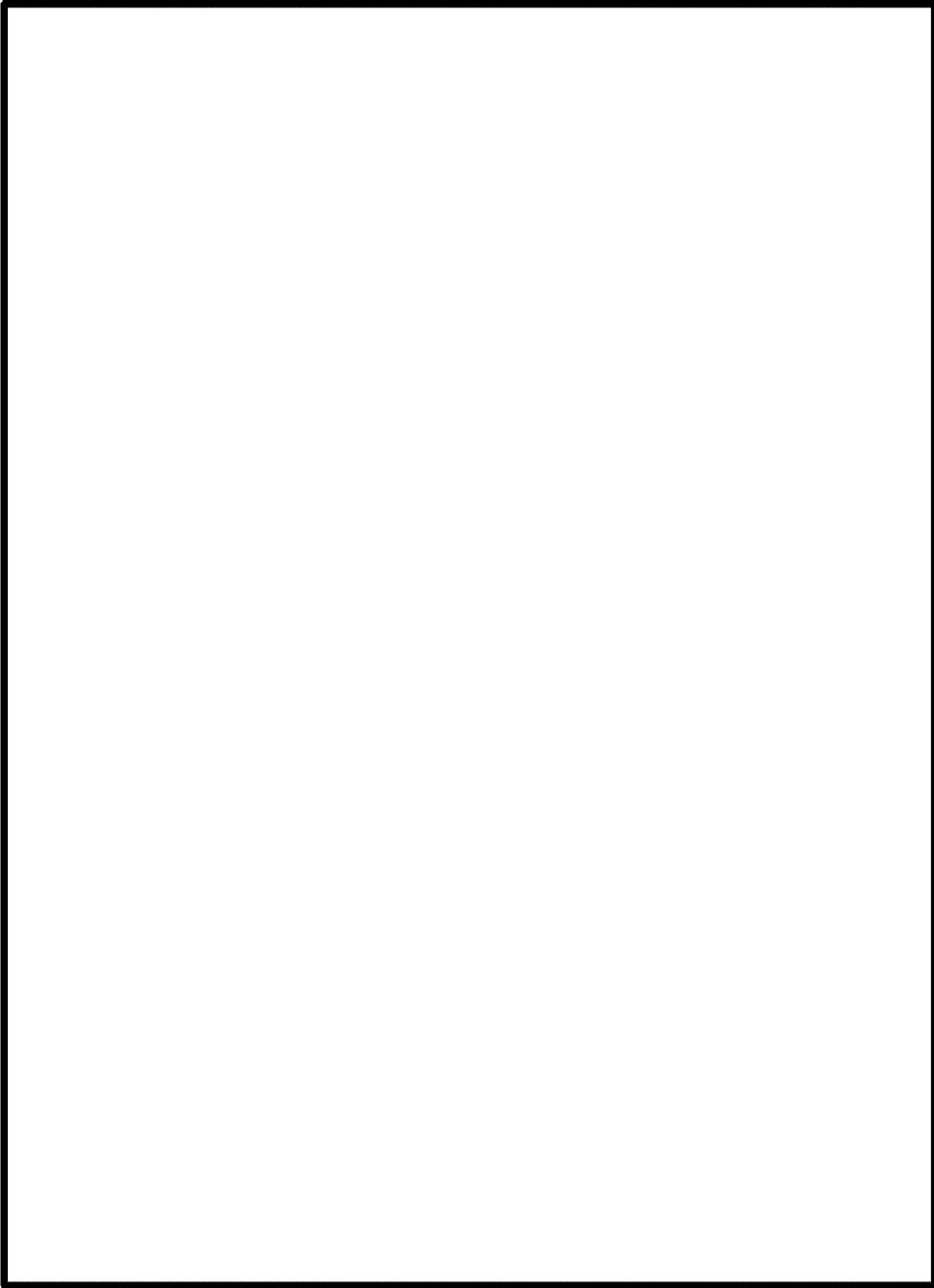
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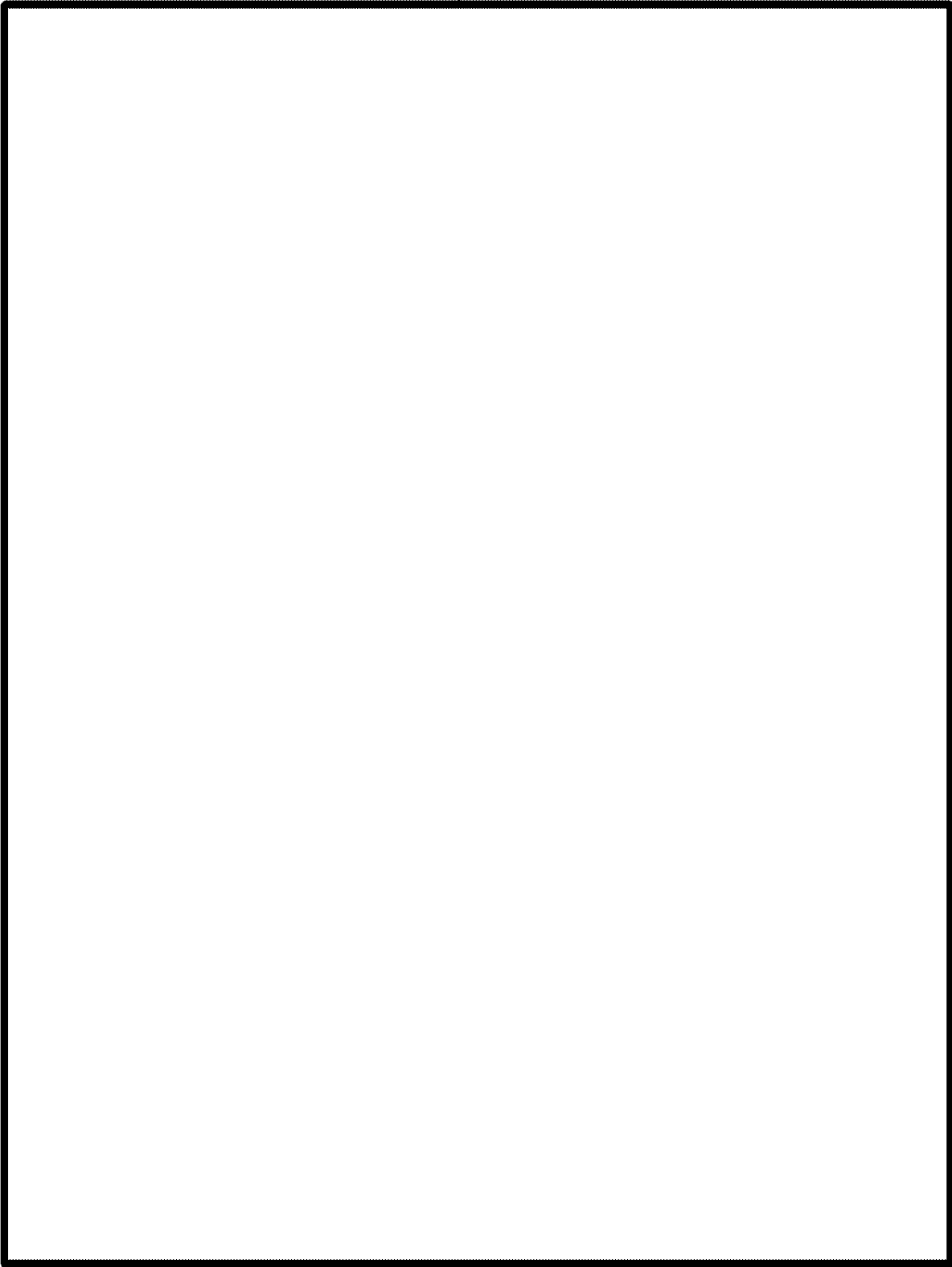


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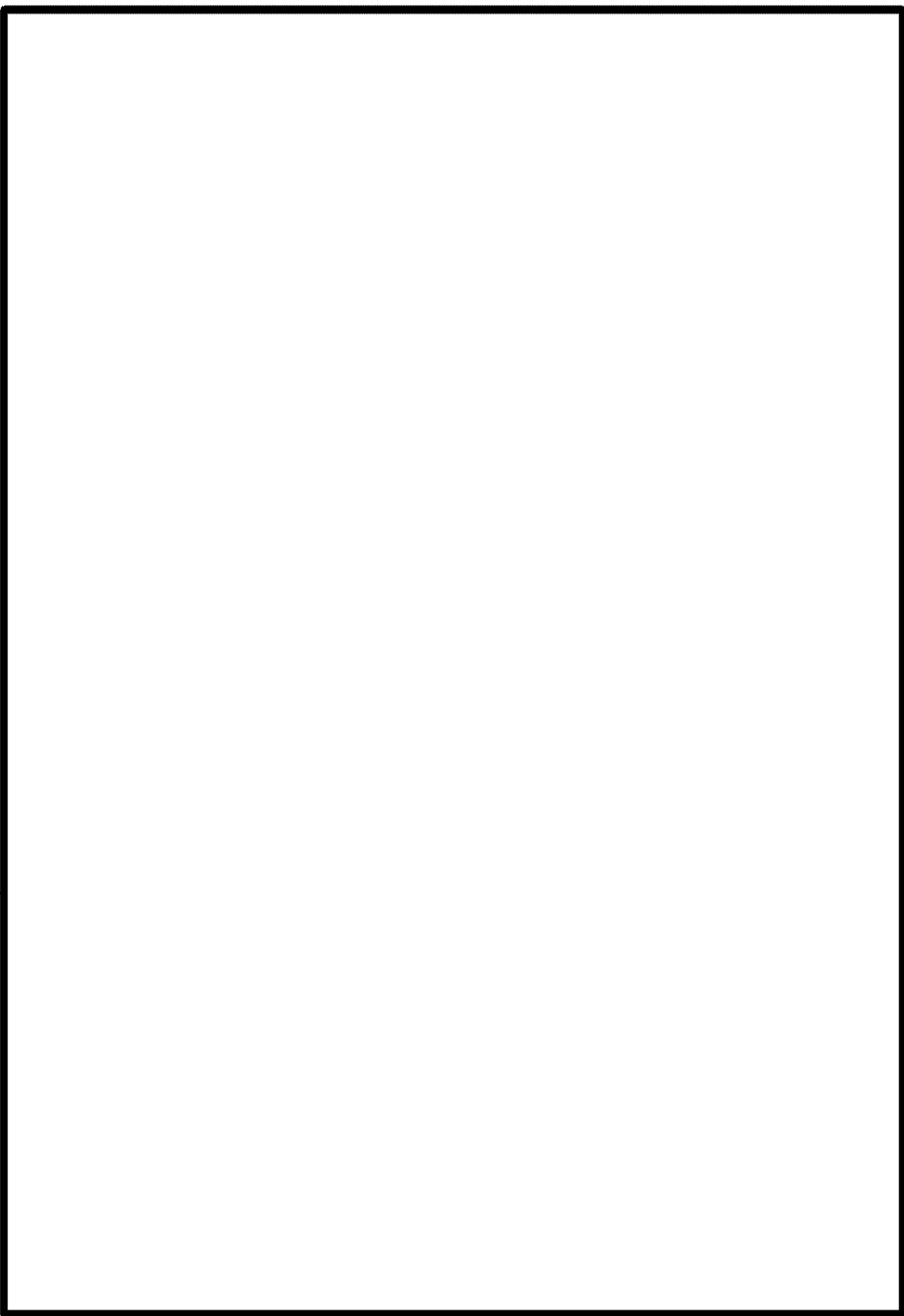
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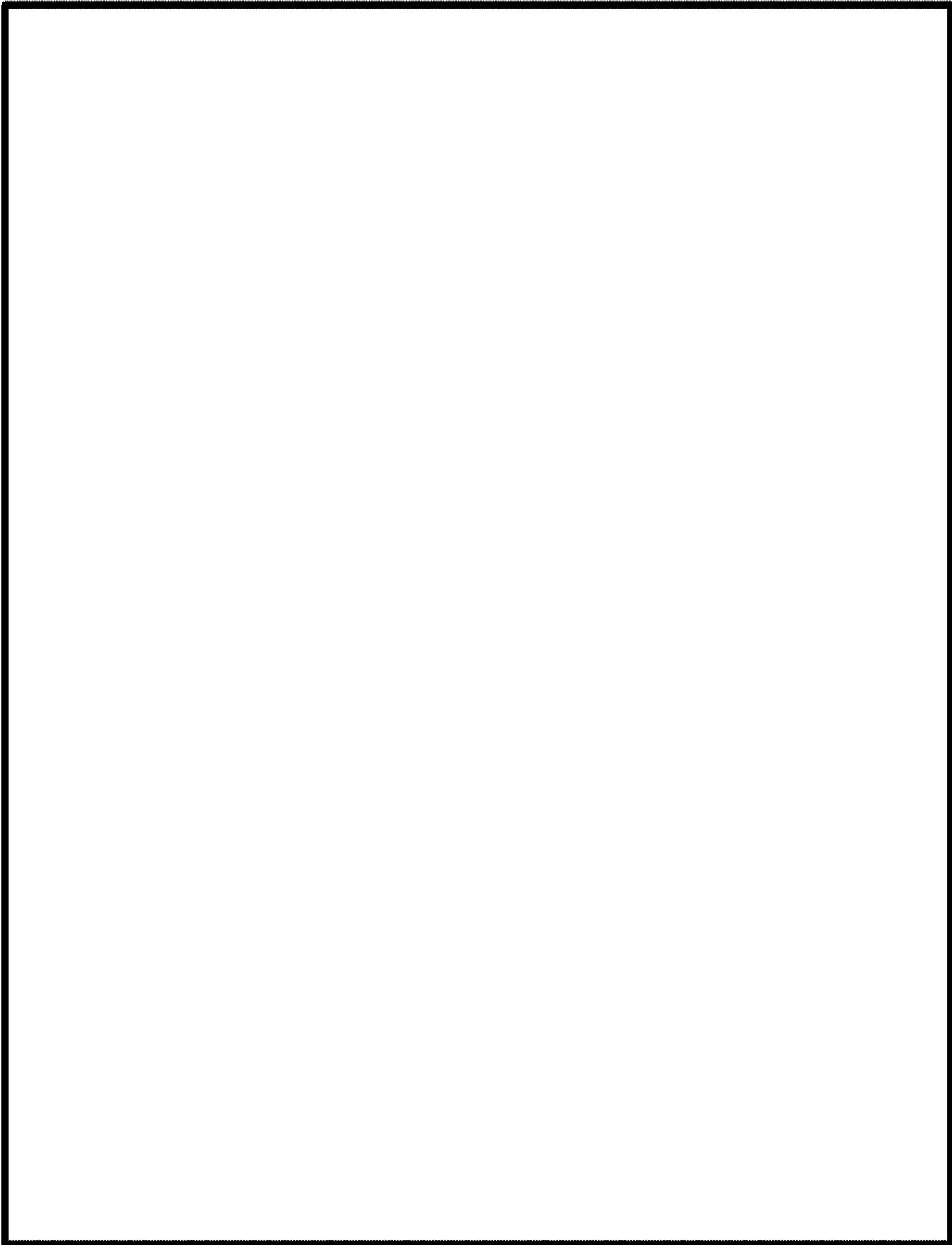


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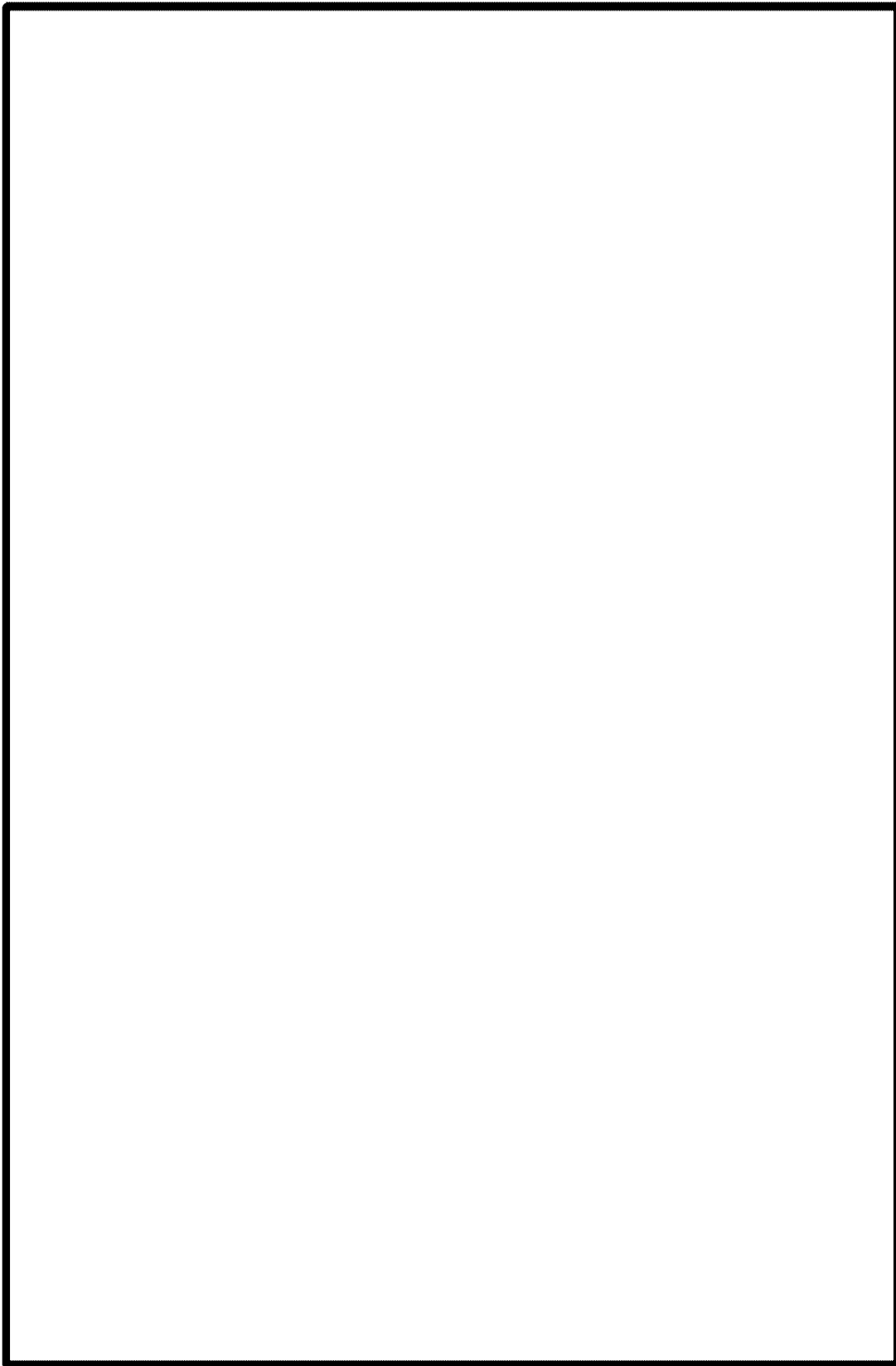
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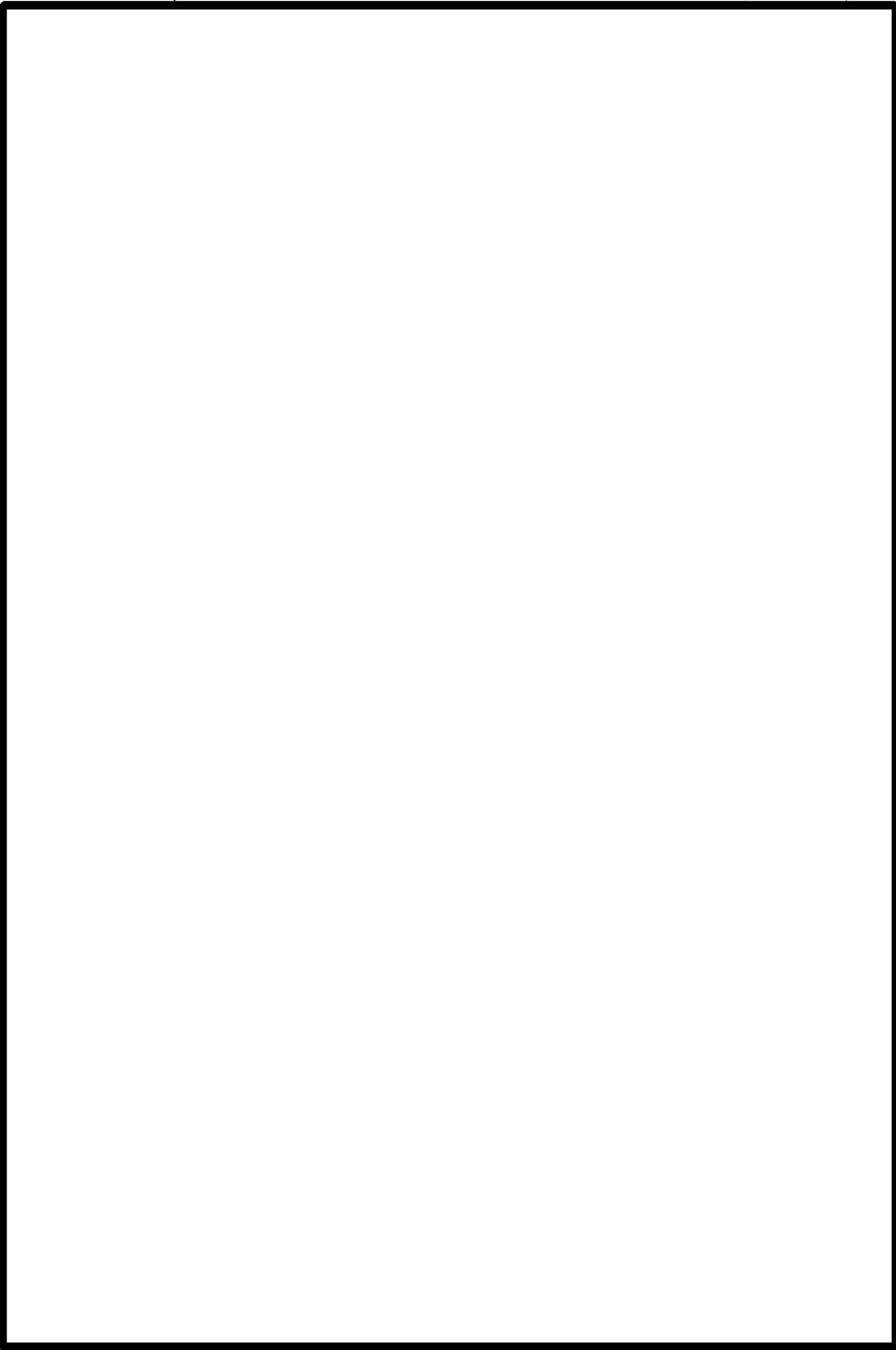
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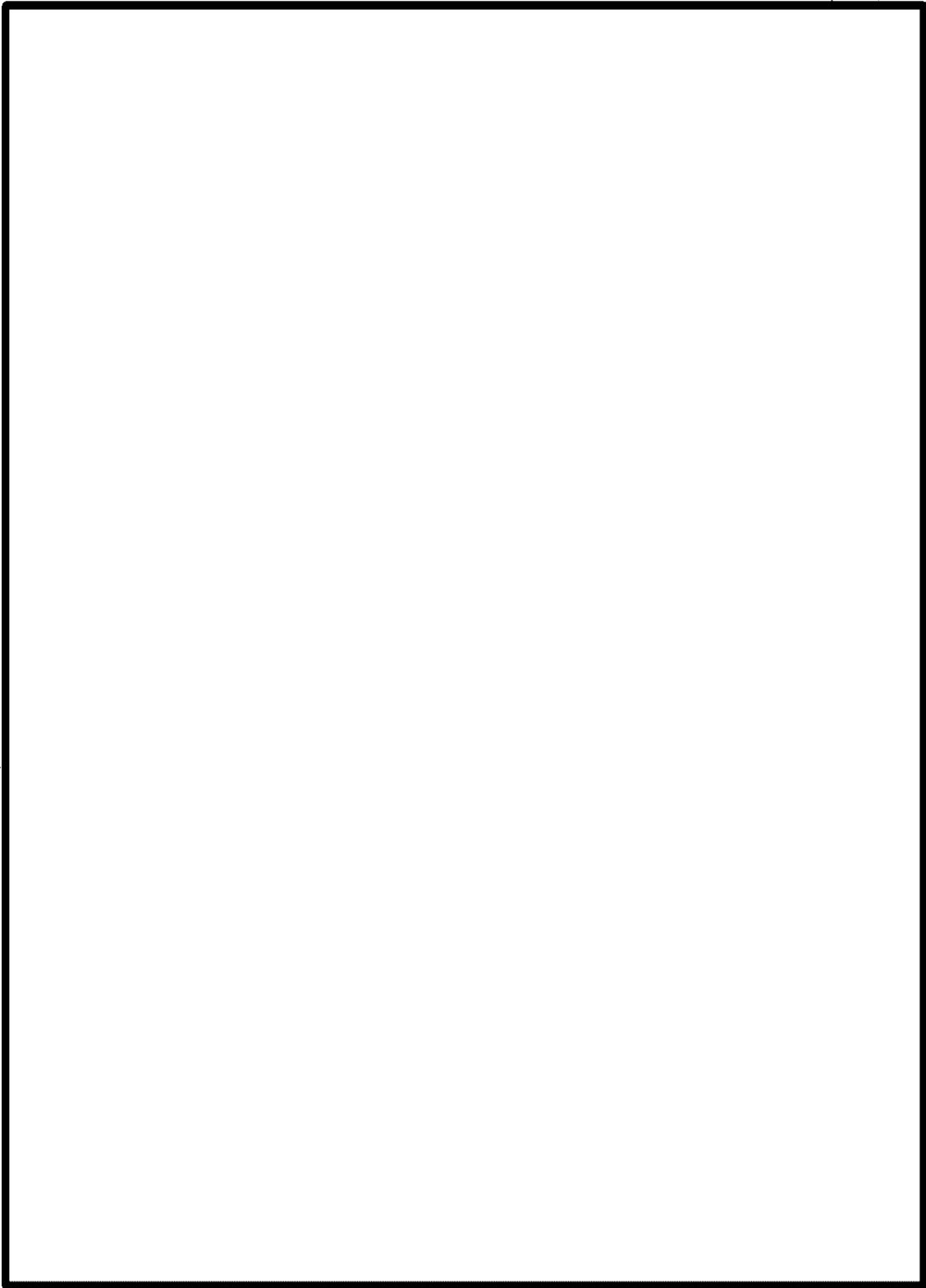
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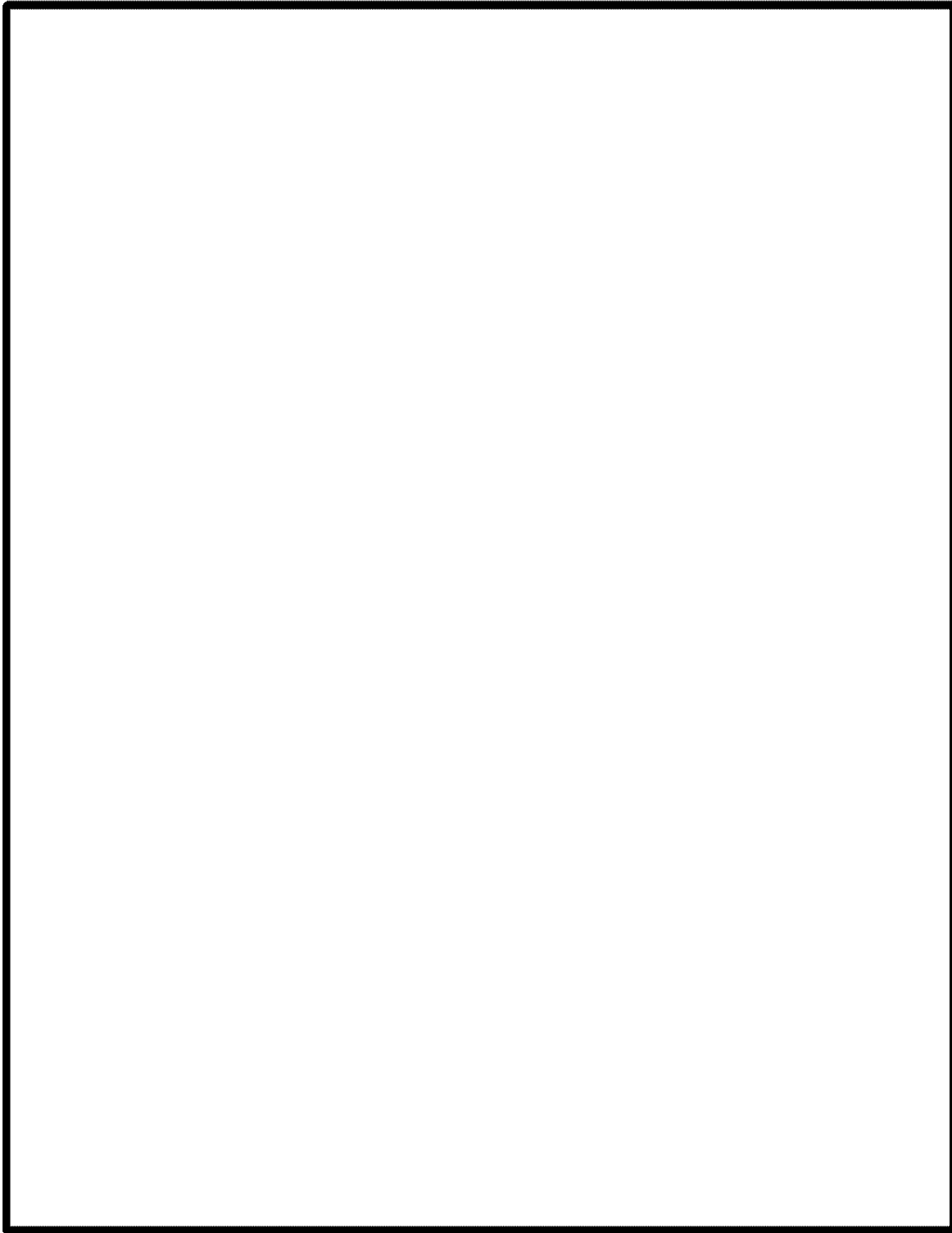
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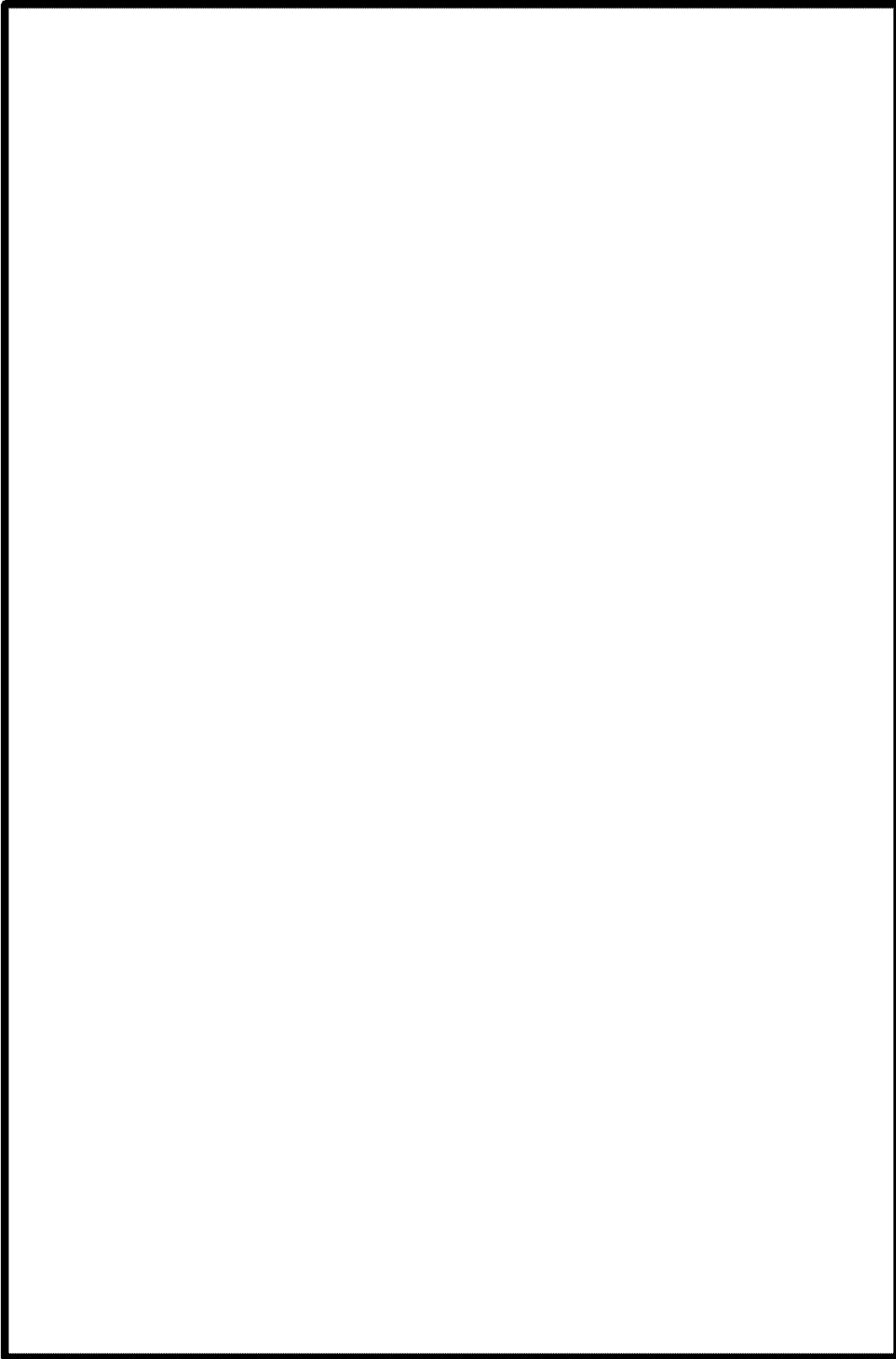


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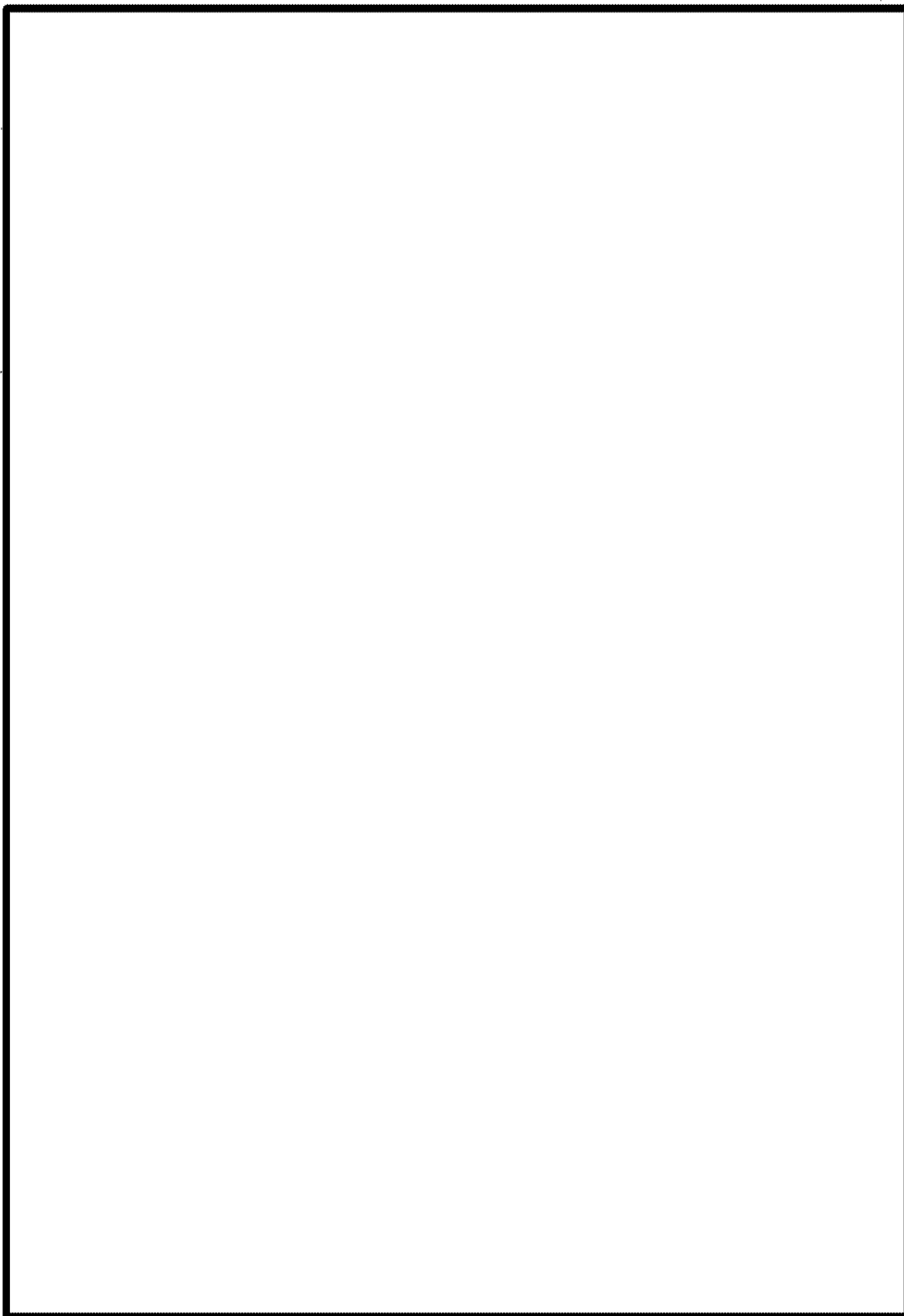


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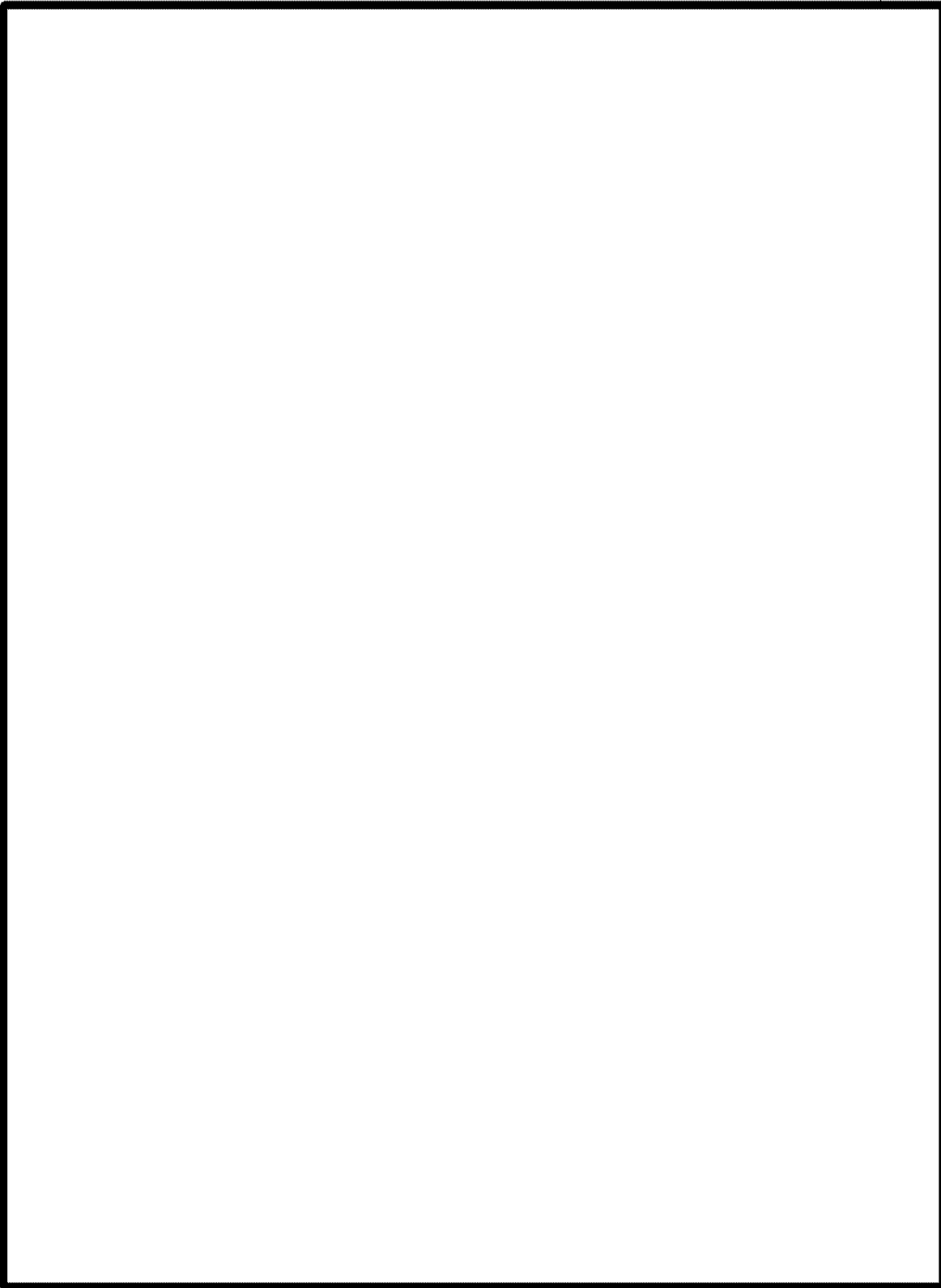
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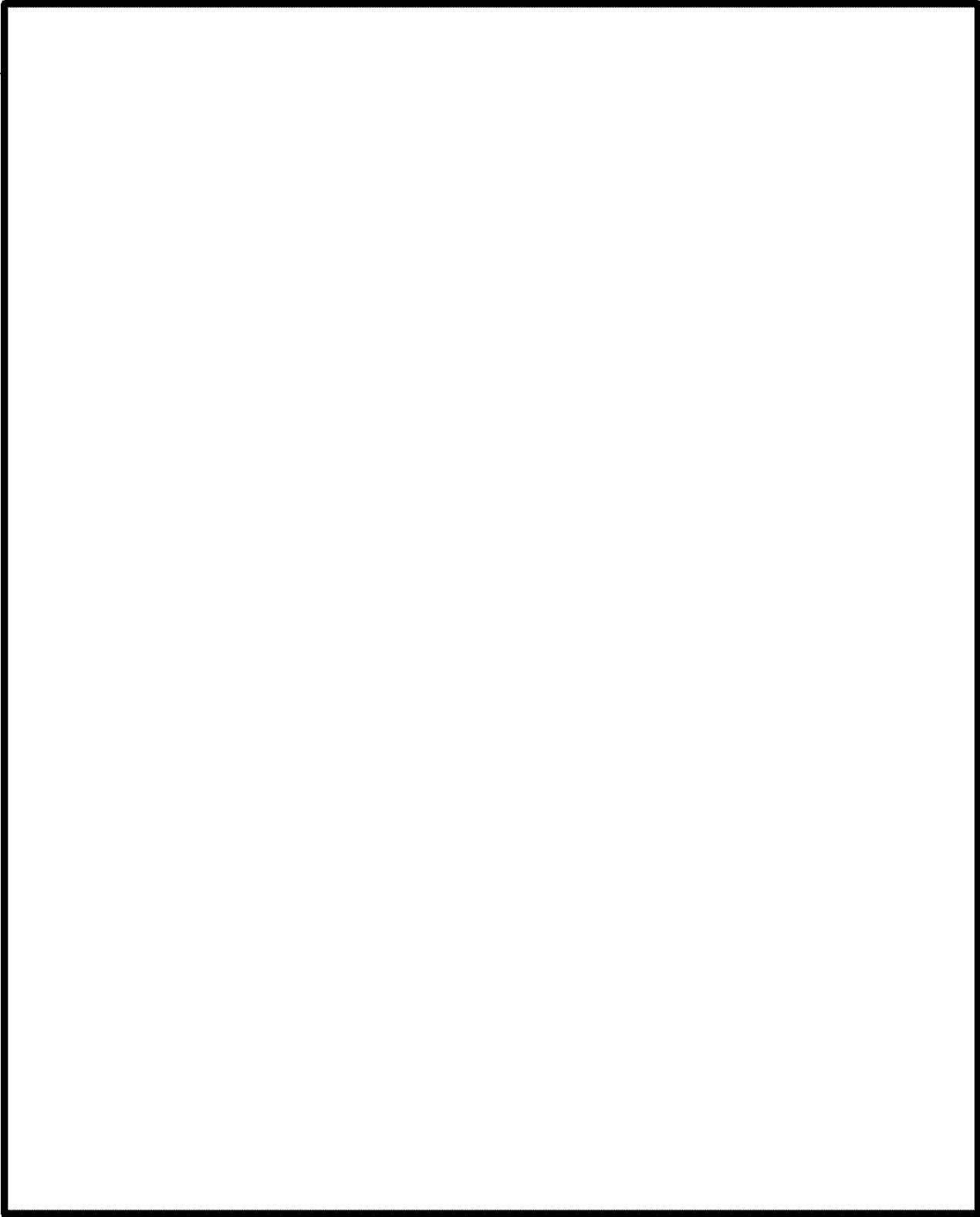
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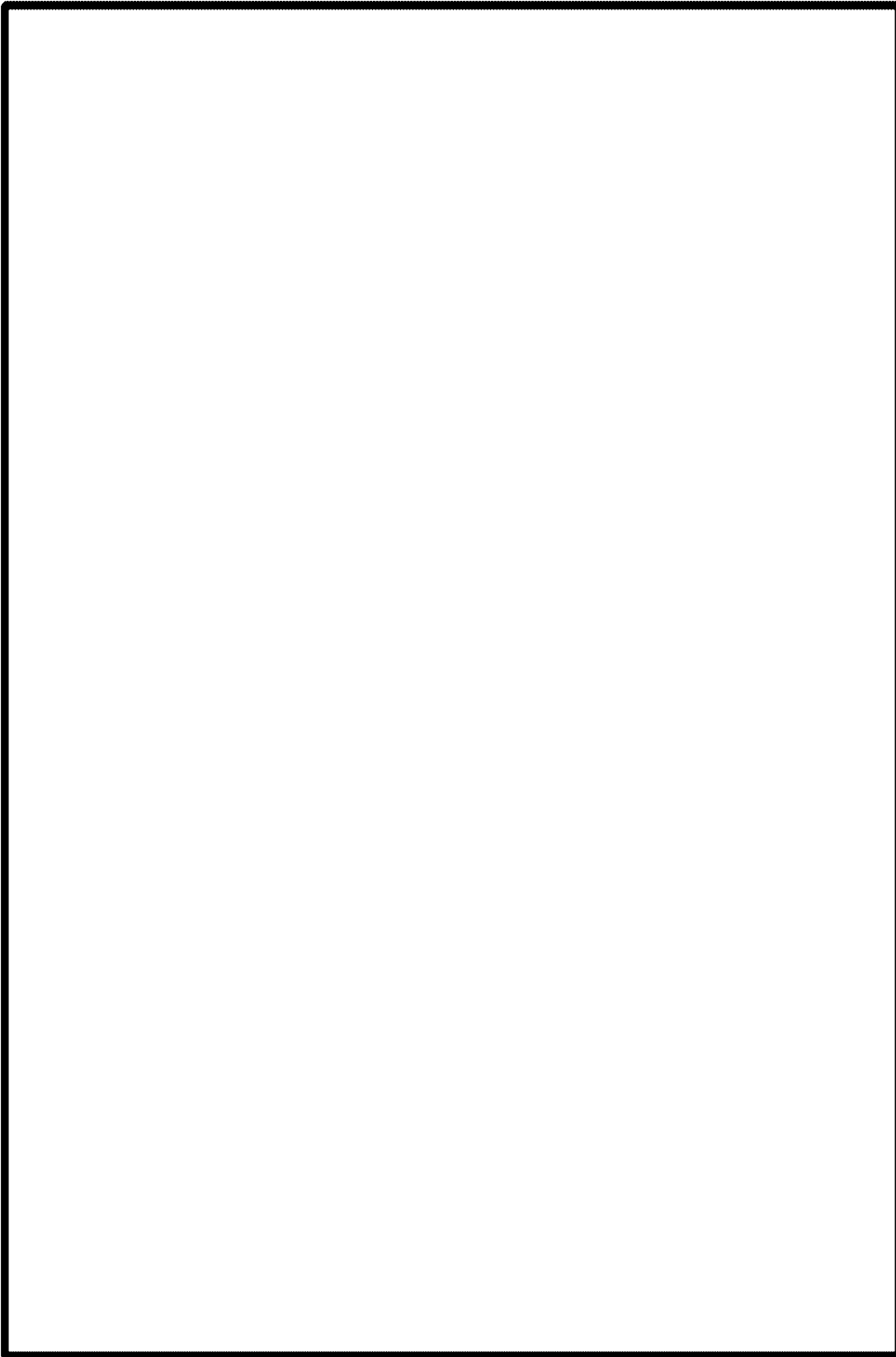
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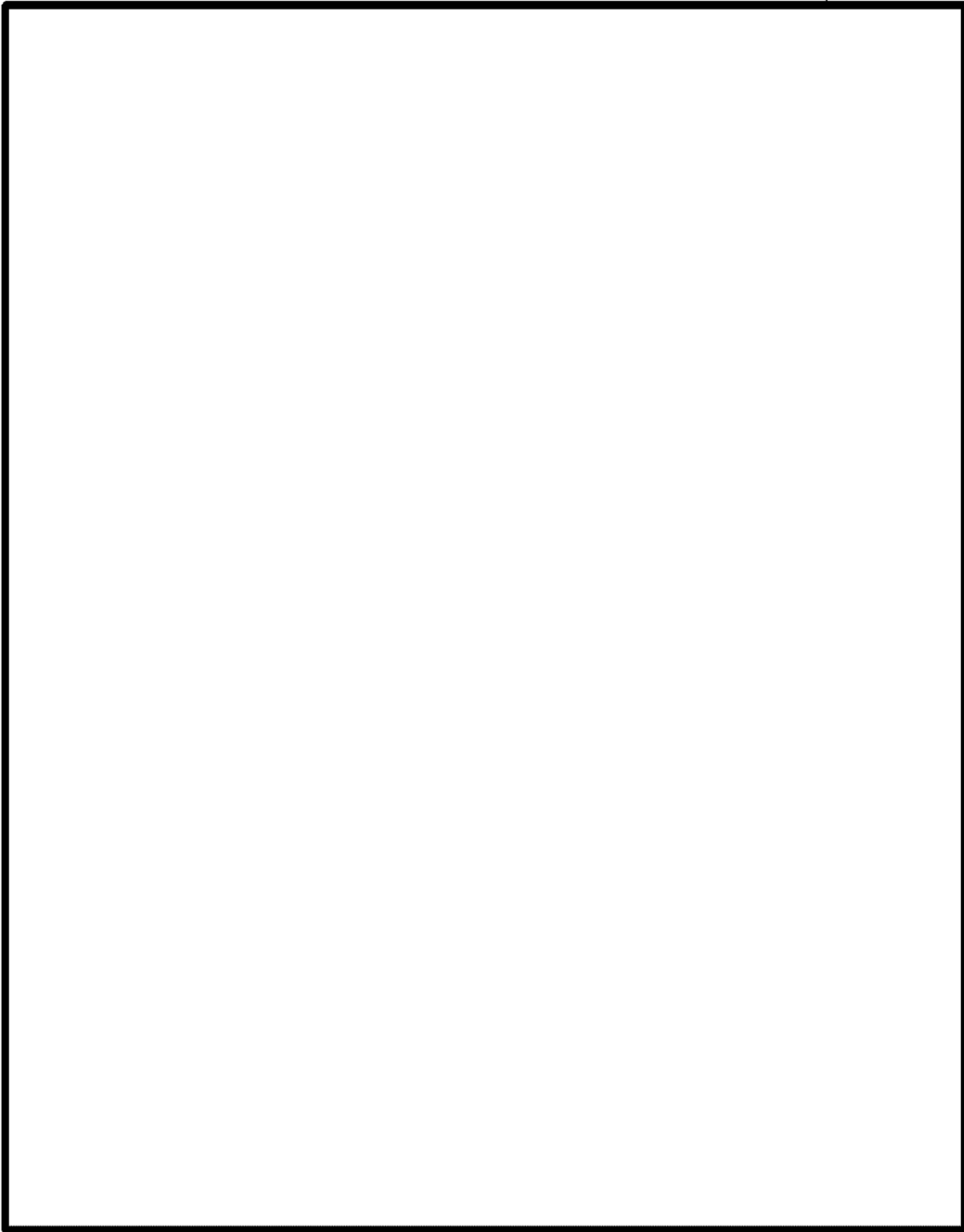
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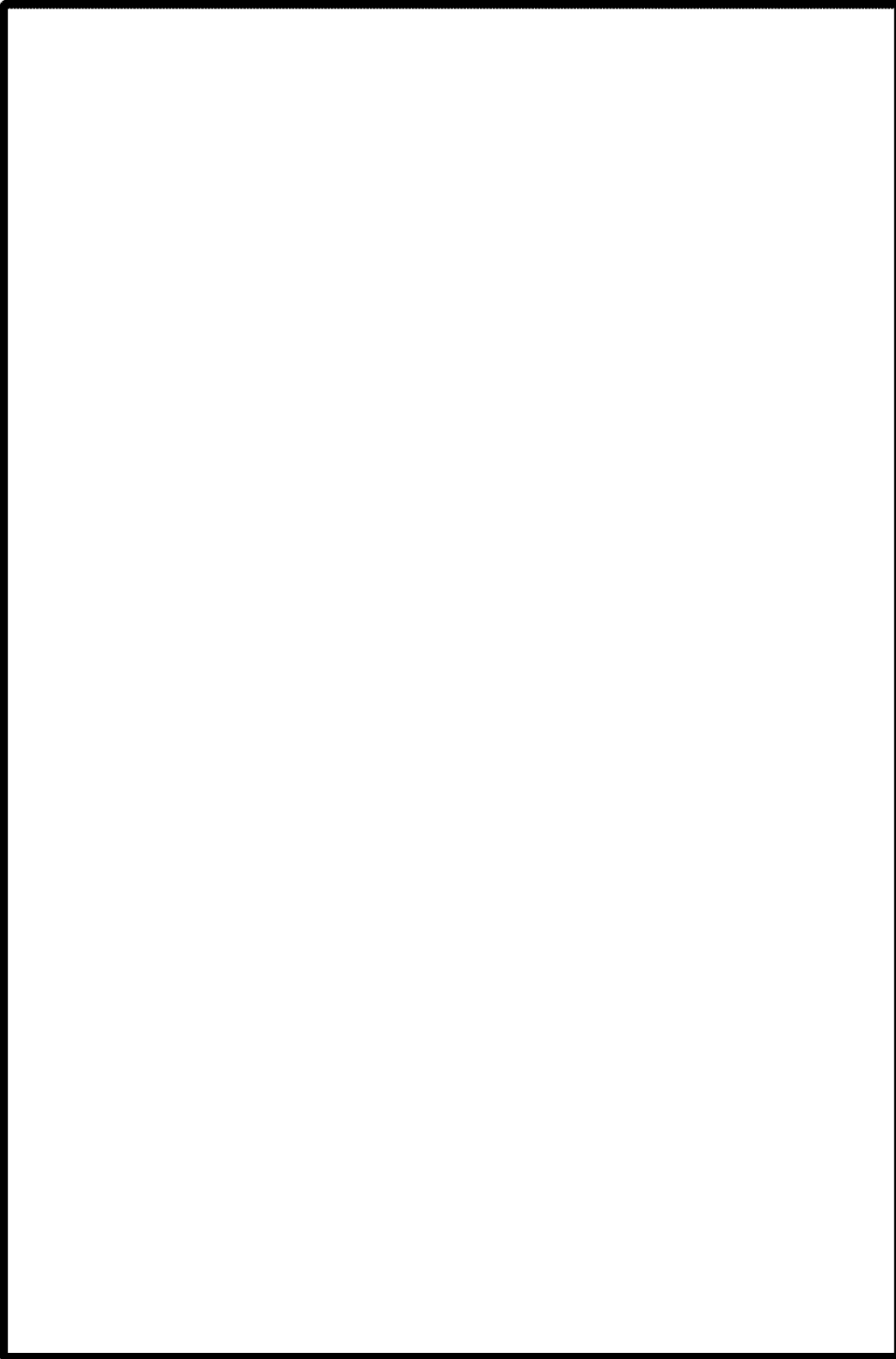
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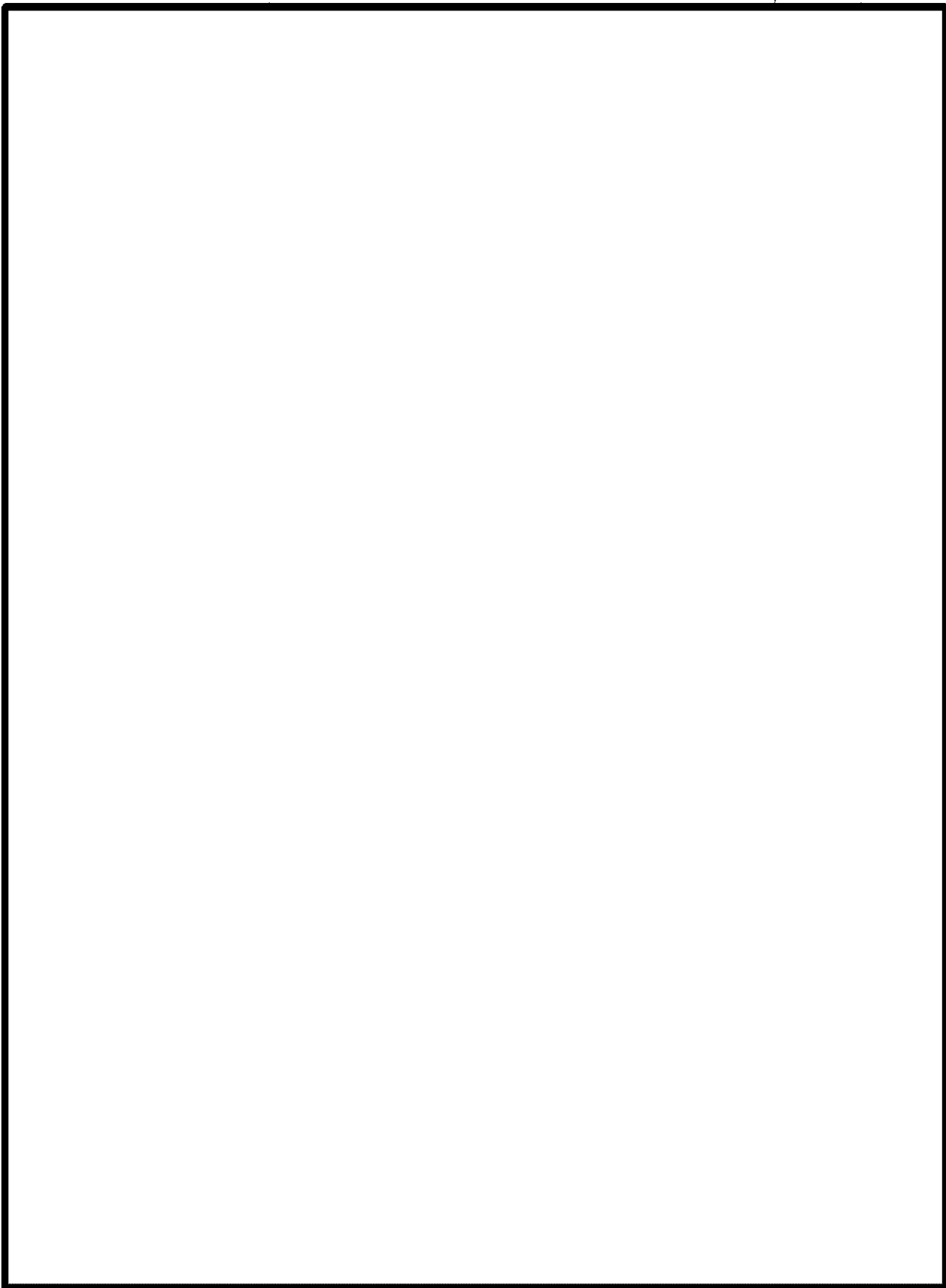
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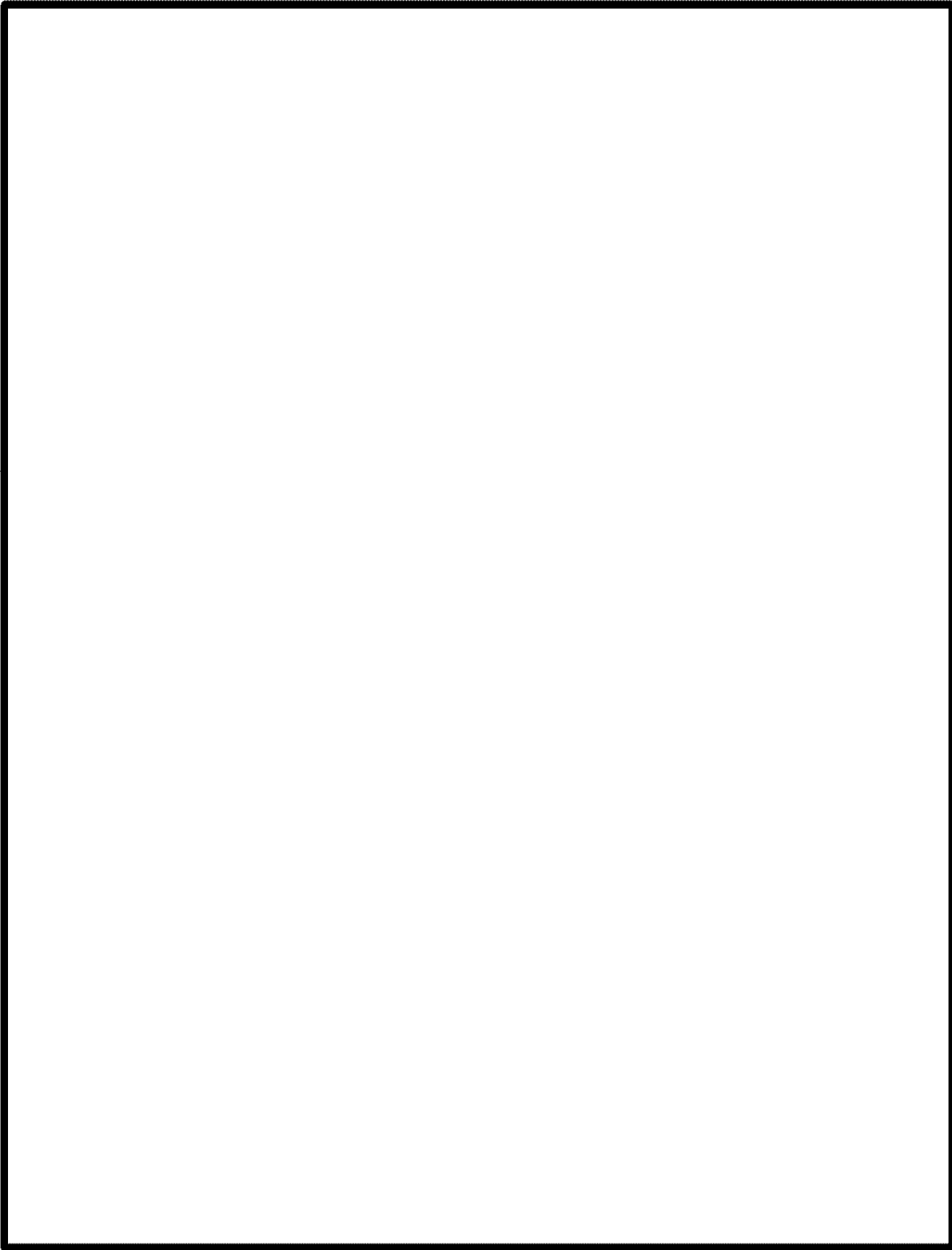


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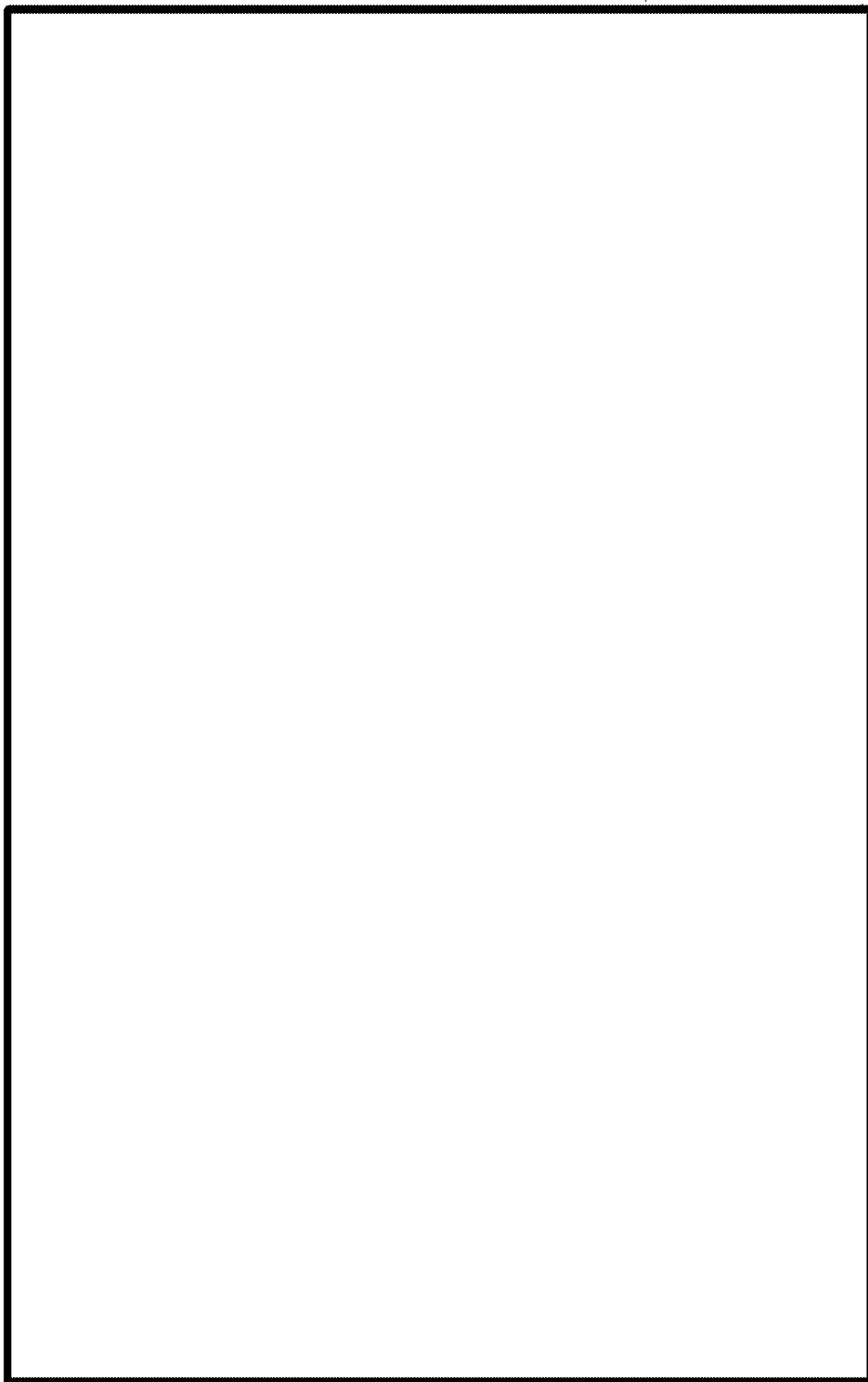


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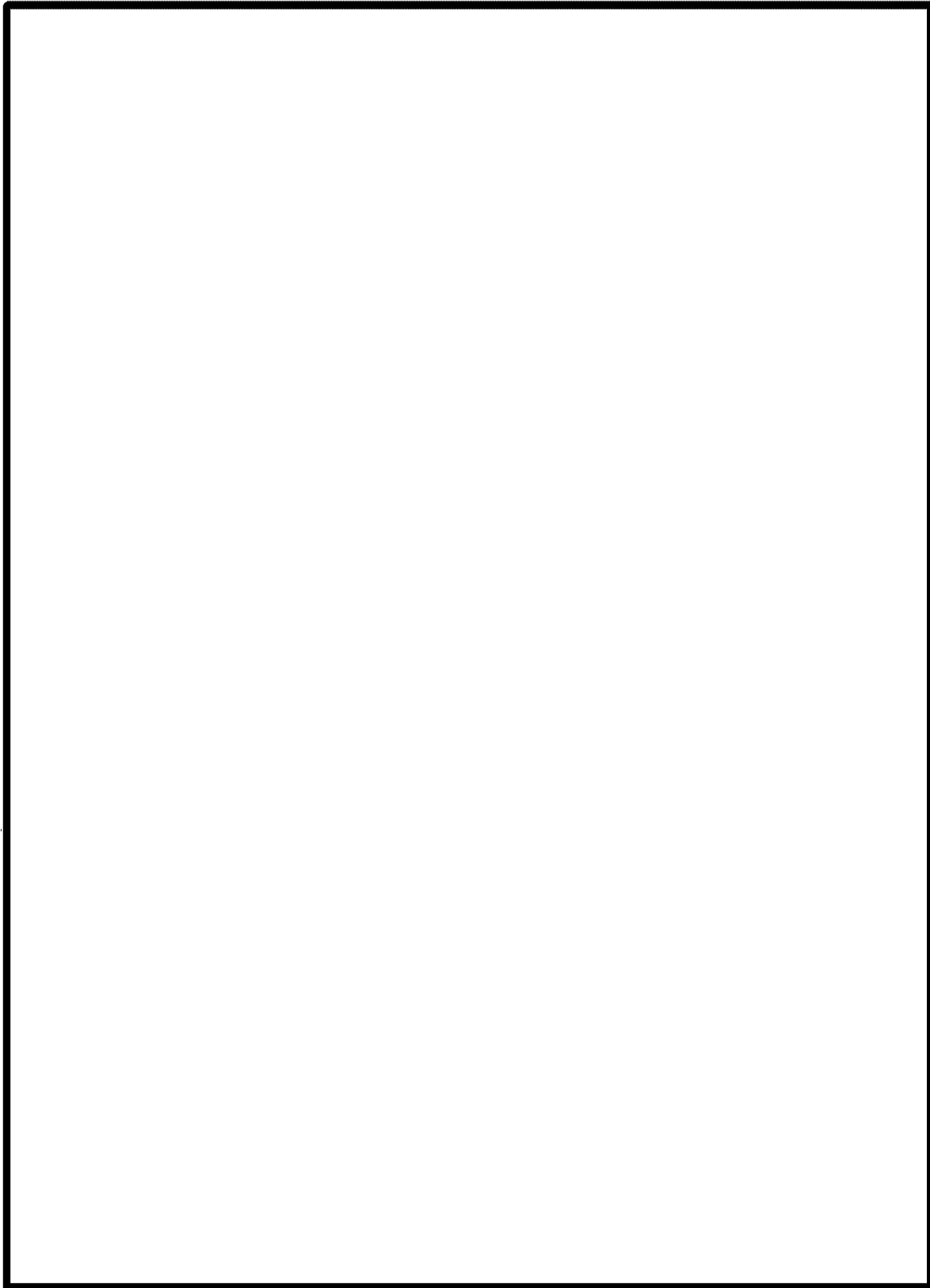




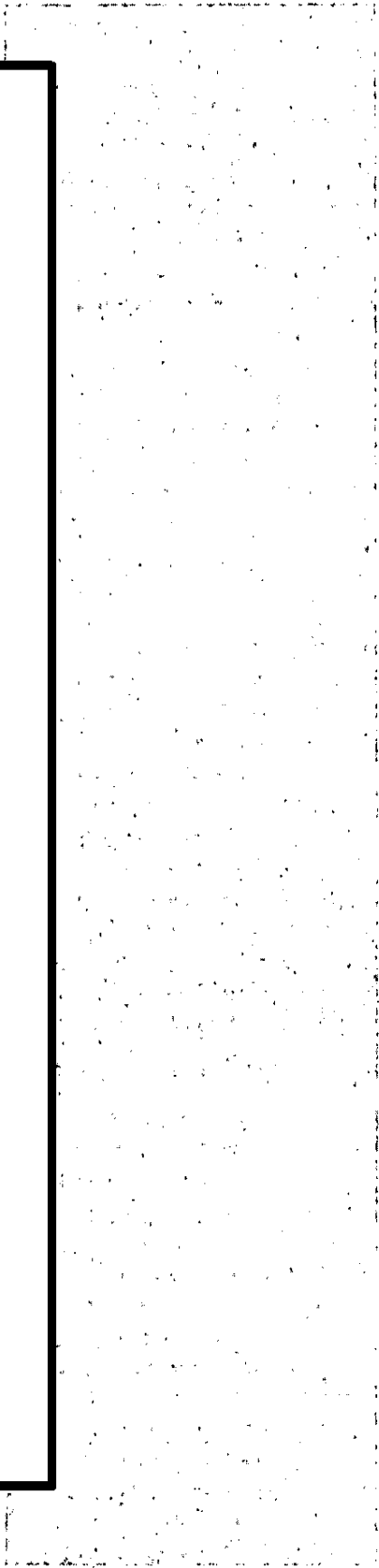
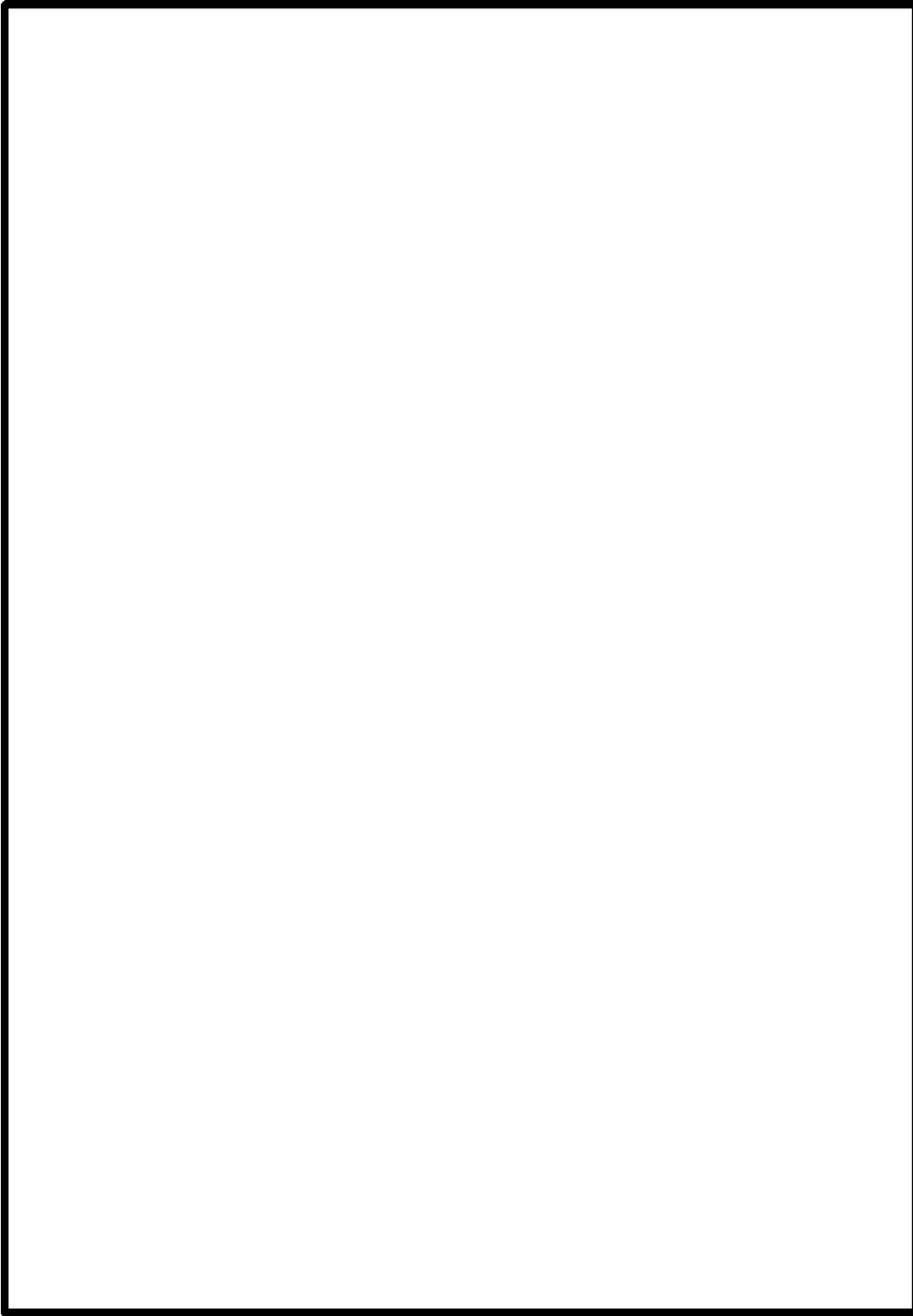
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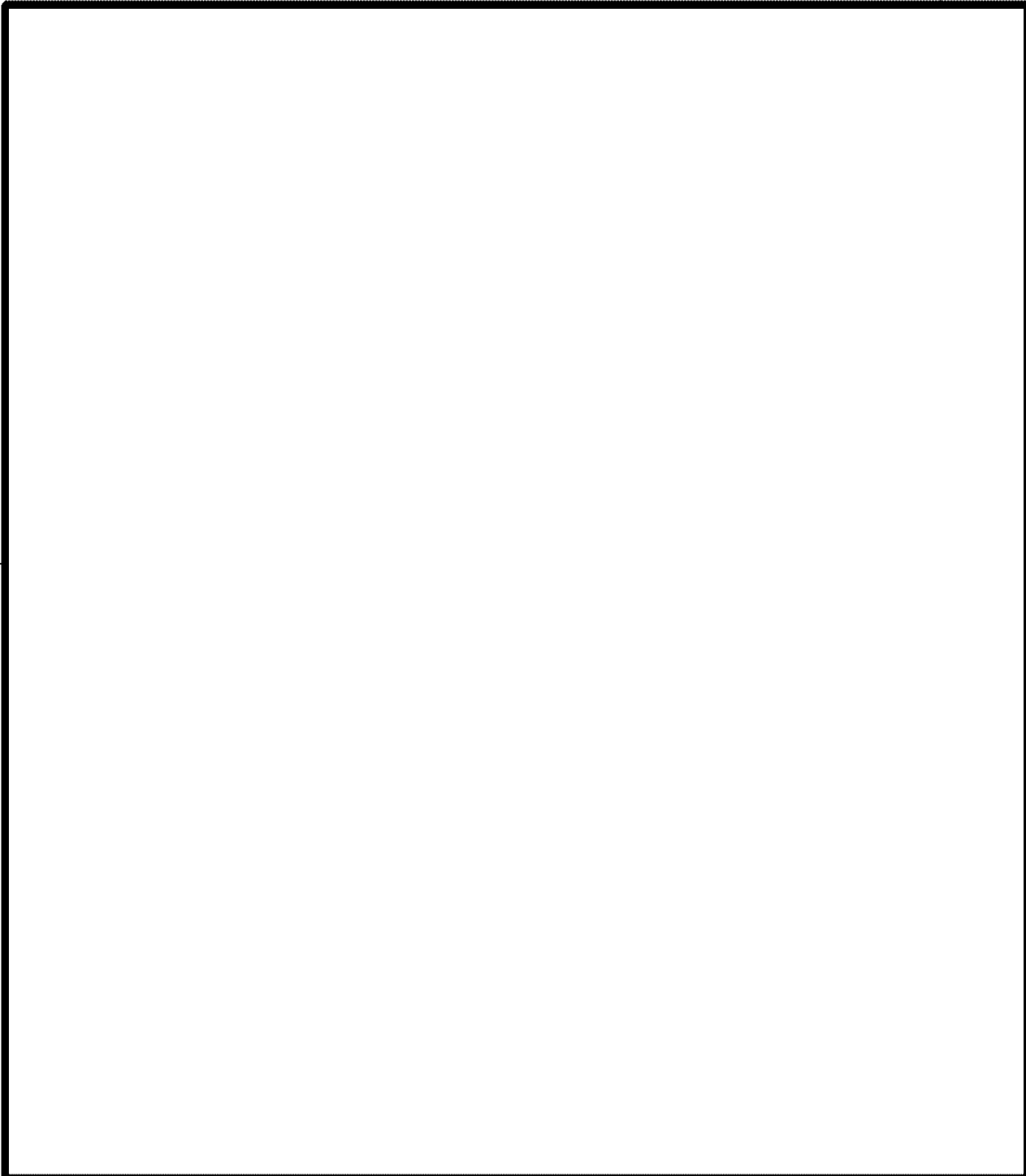
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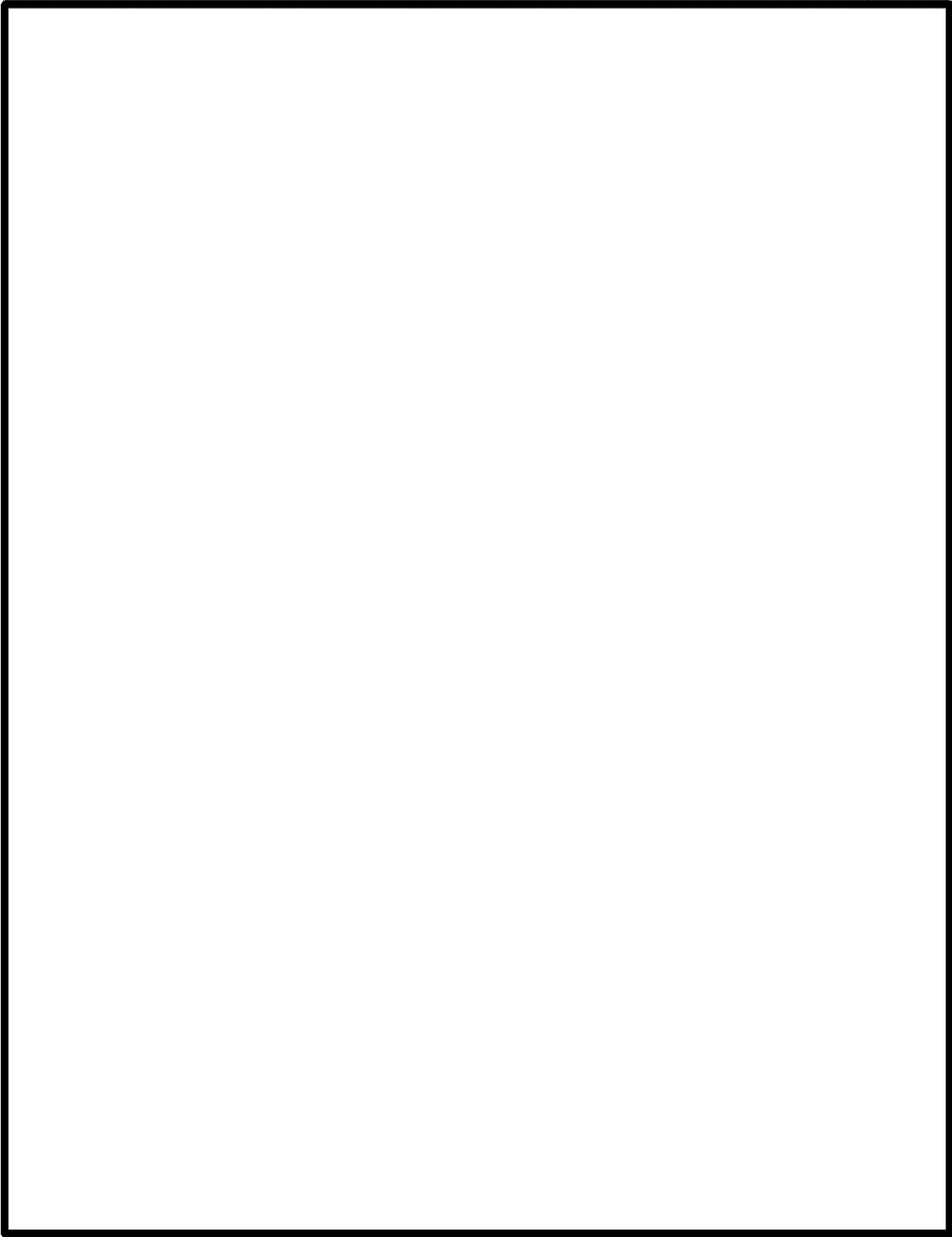
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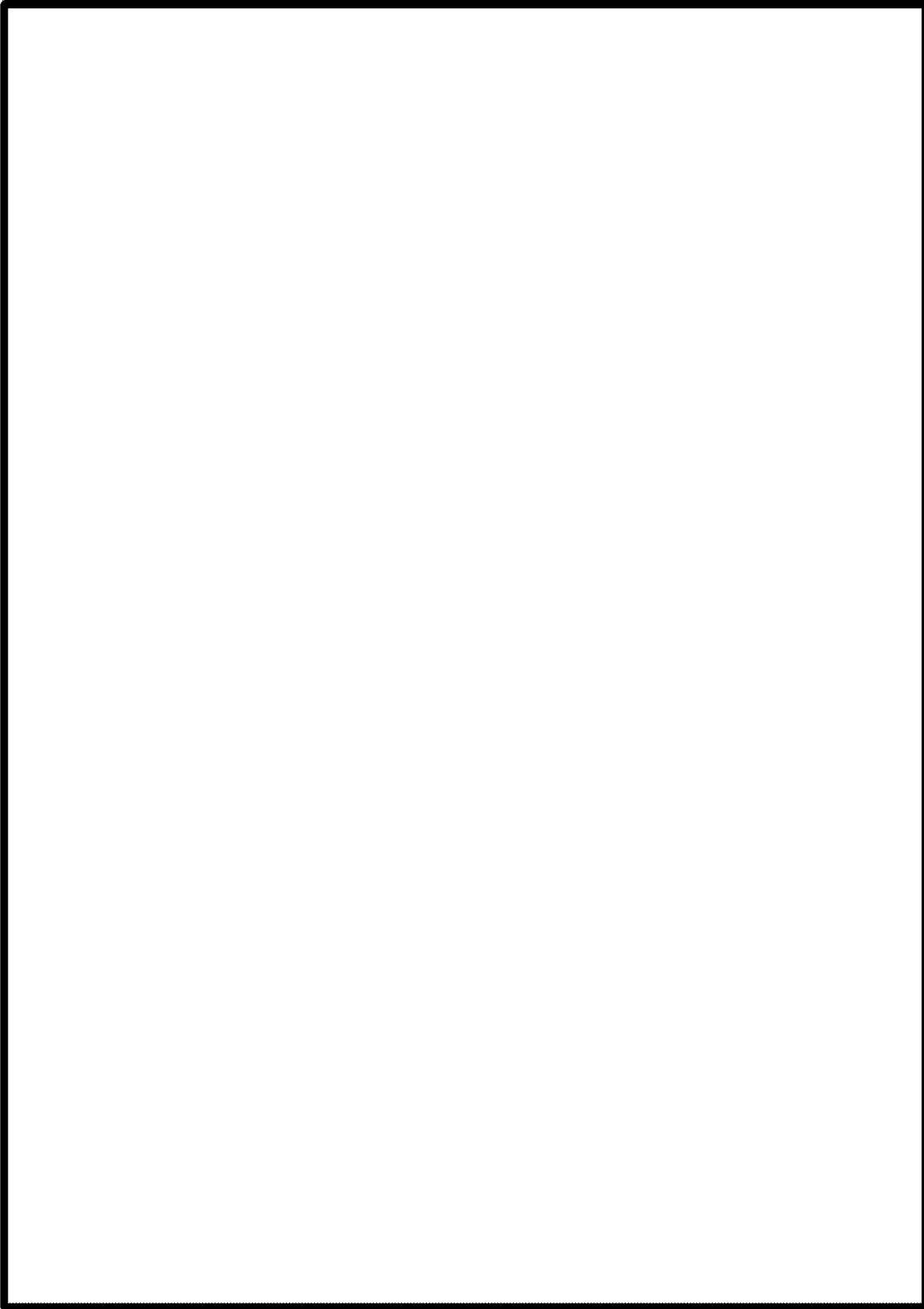
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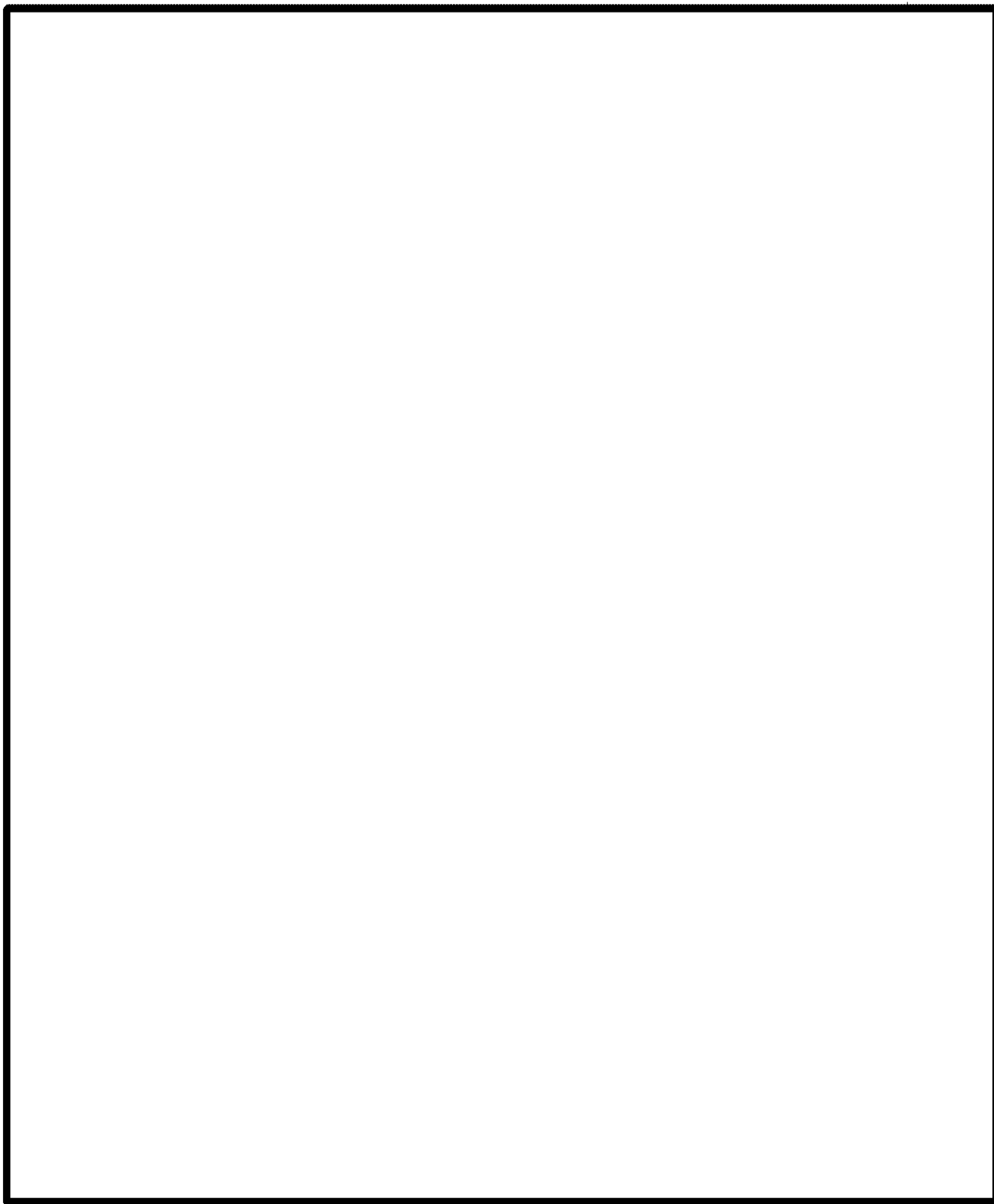
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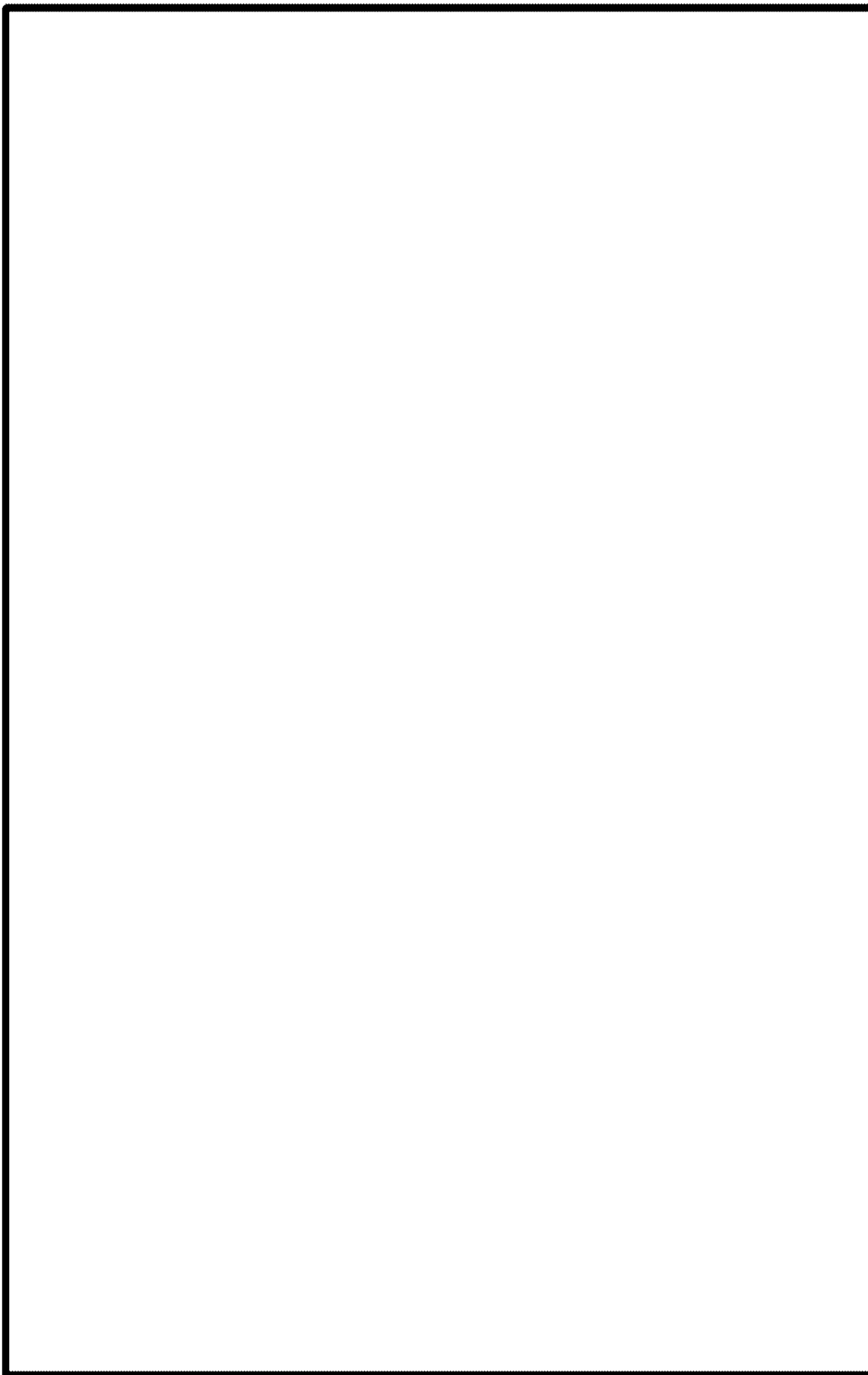


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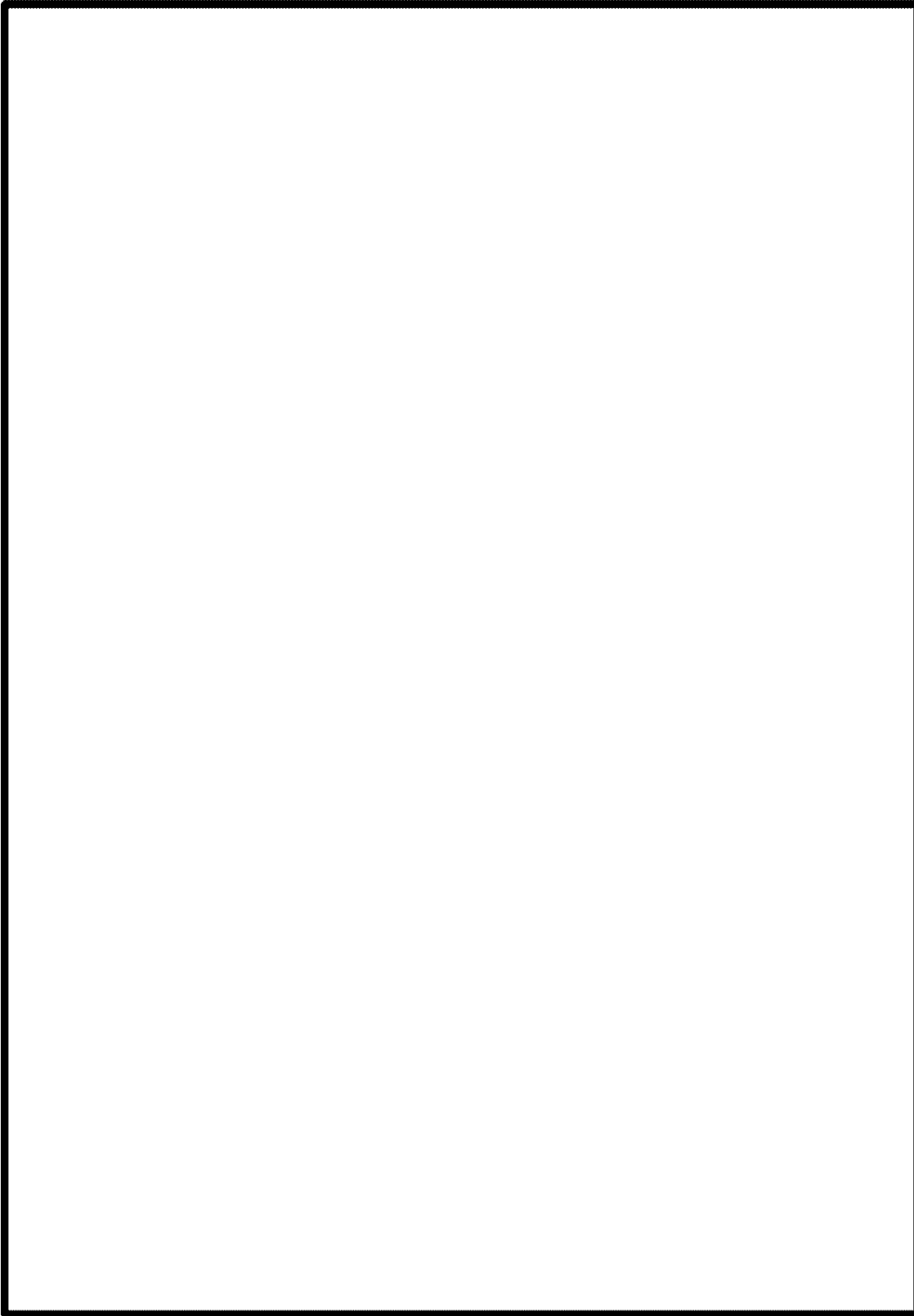


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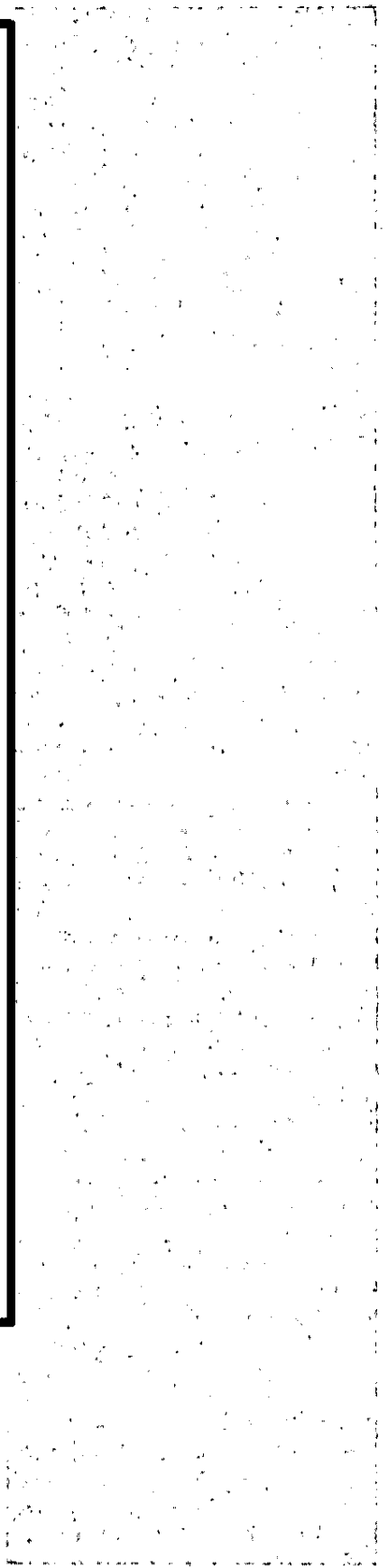
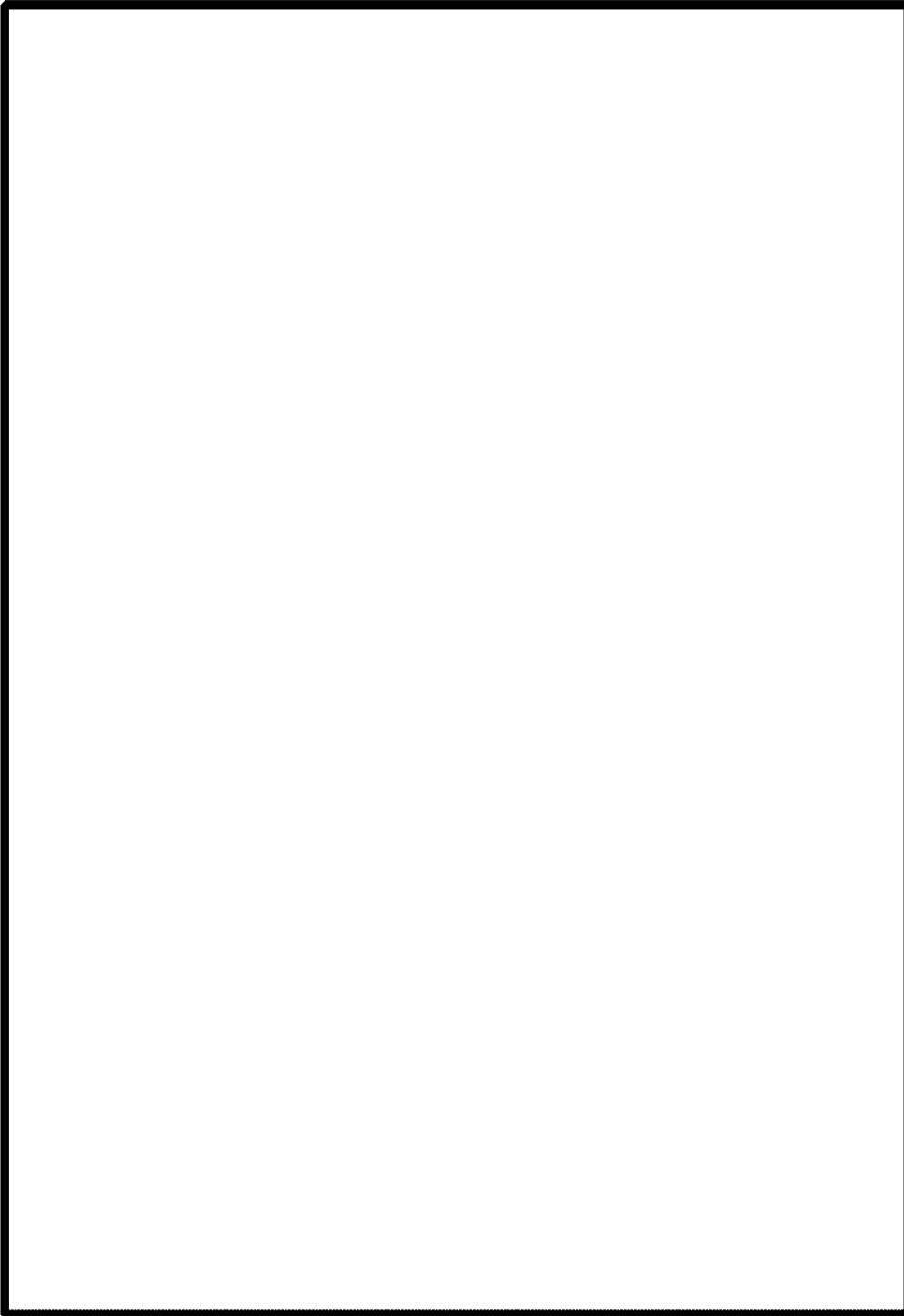




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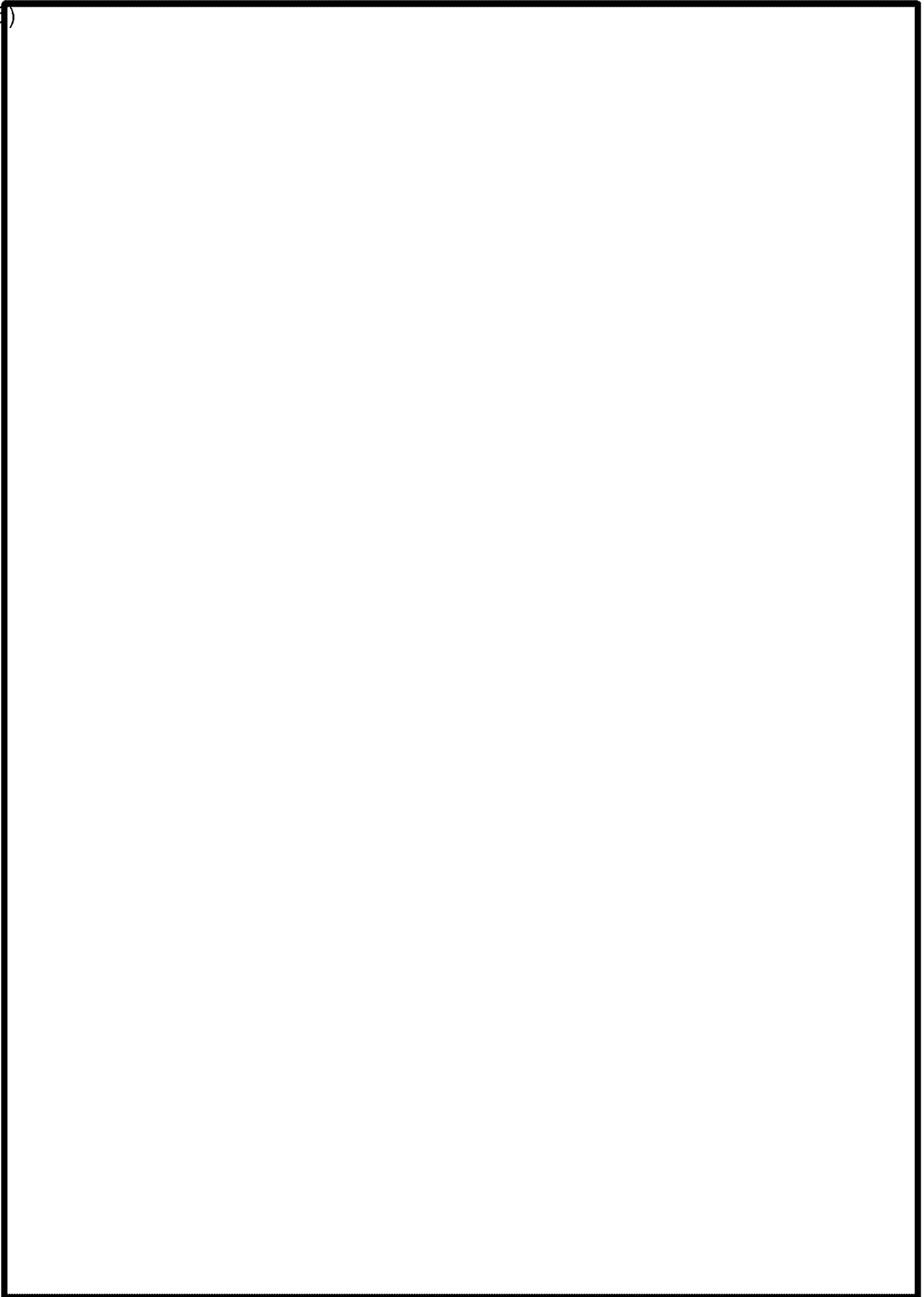


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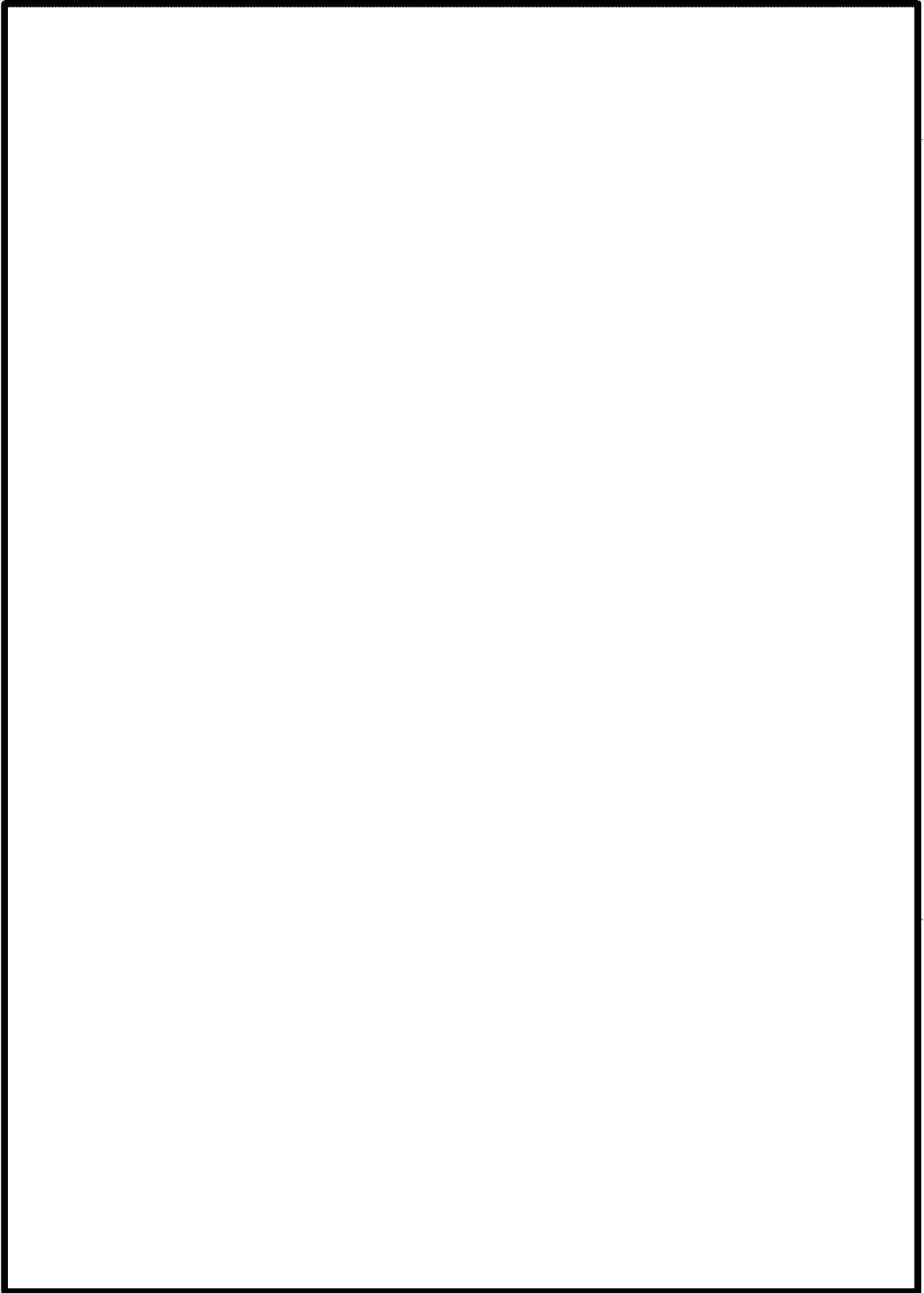
Deliberative – Pre-decisional – Do Not Disclose

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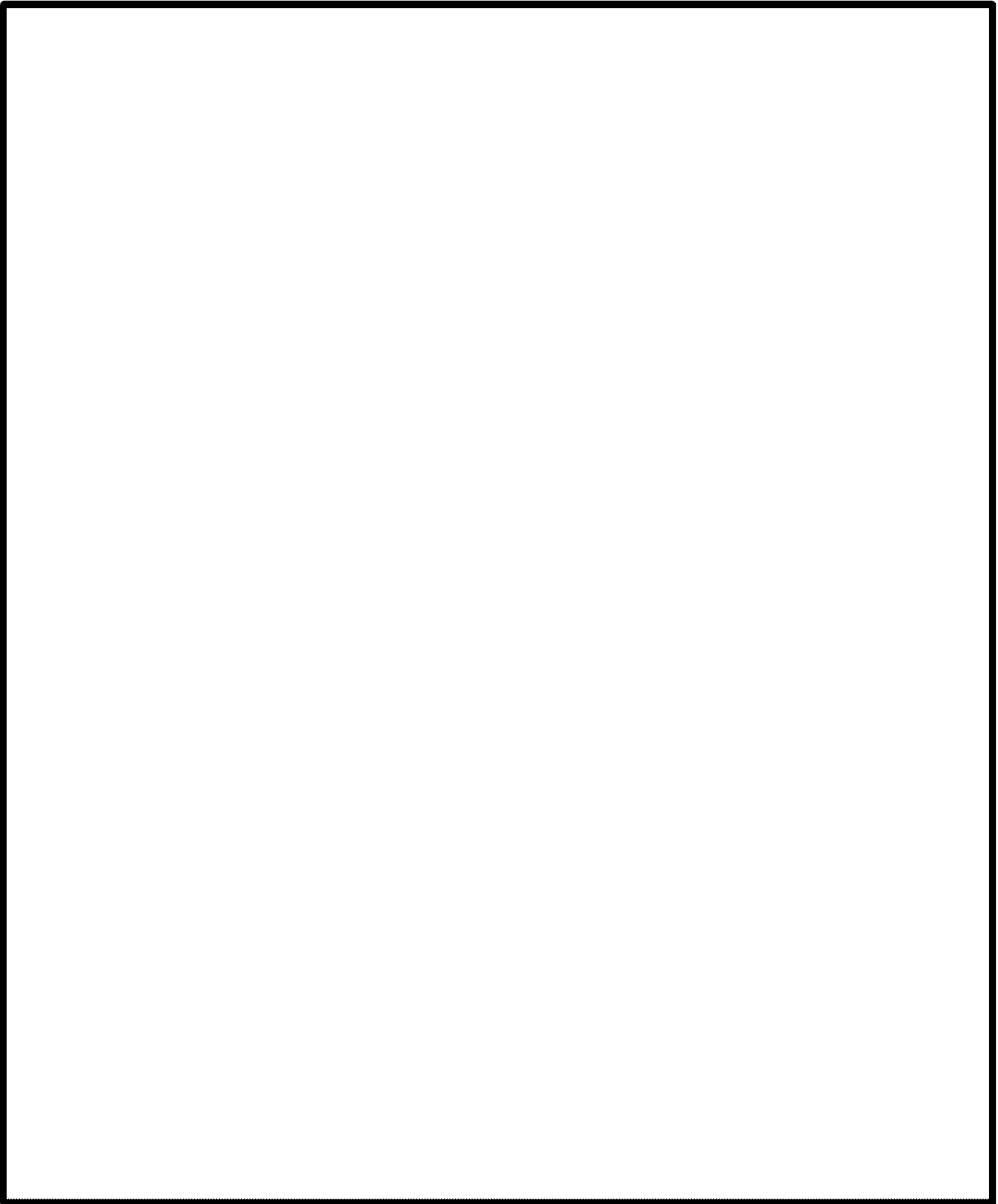


Deliberative – Pre-decisional – Do Not Disclose

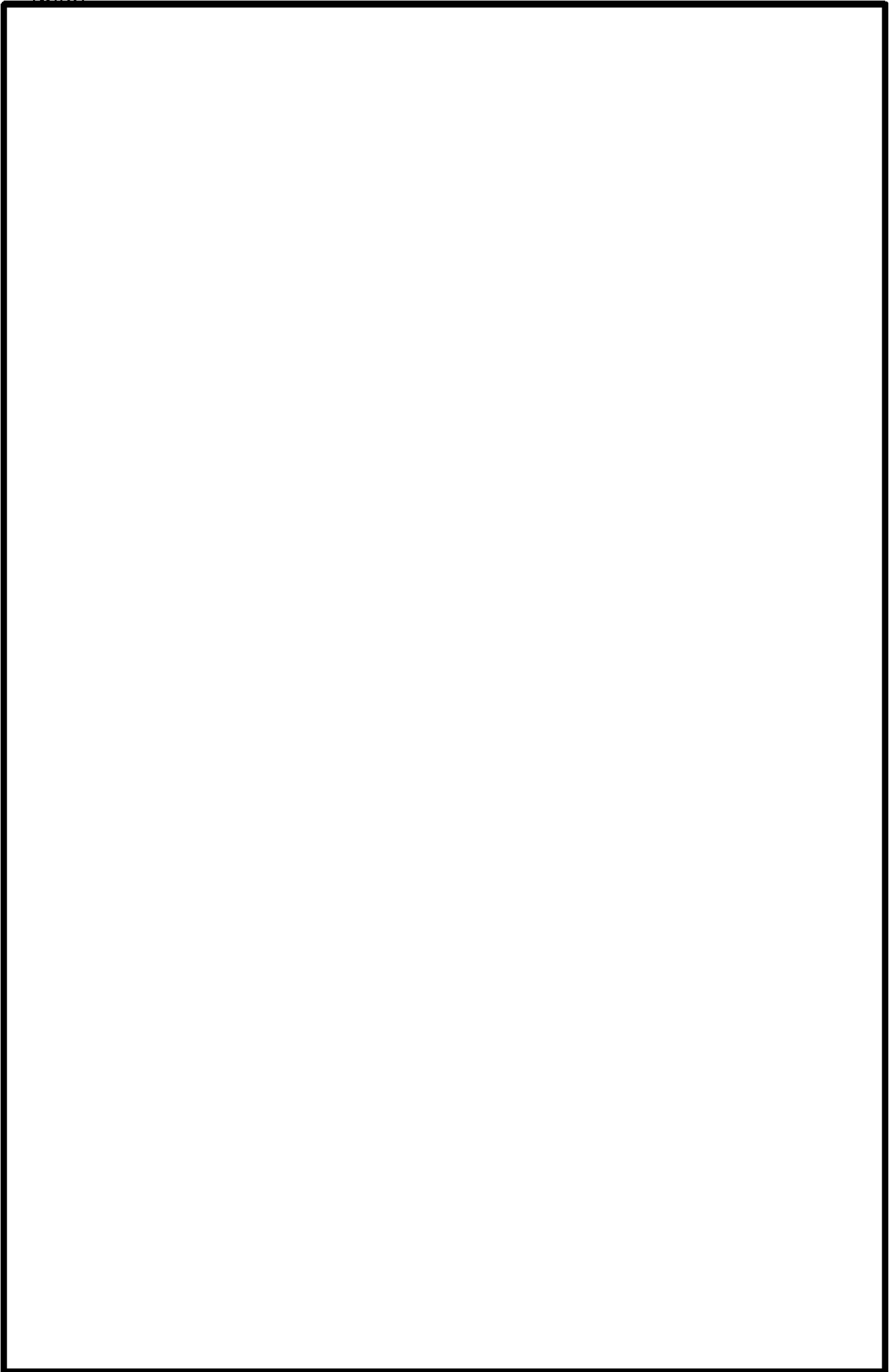
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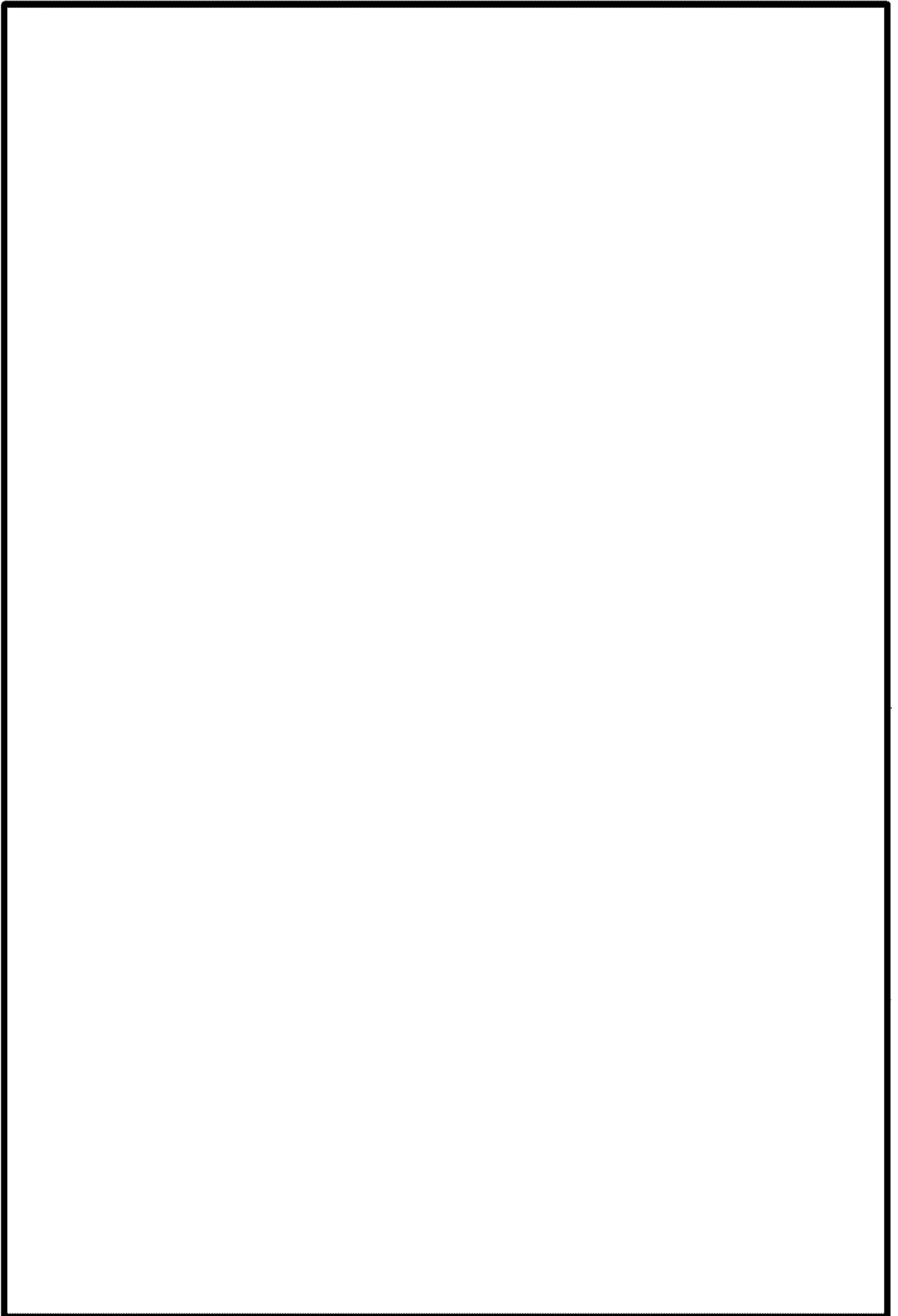
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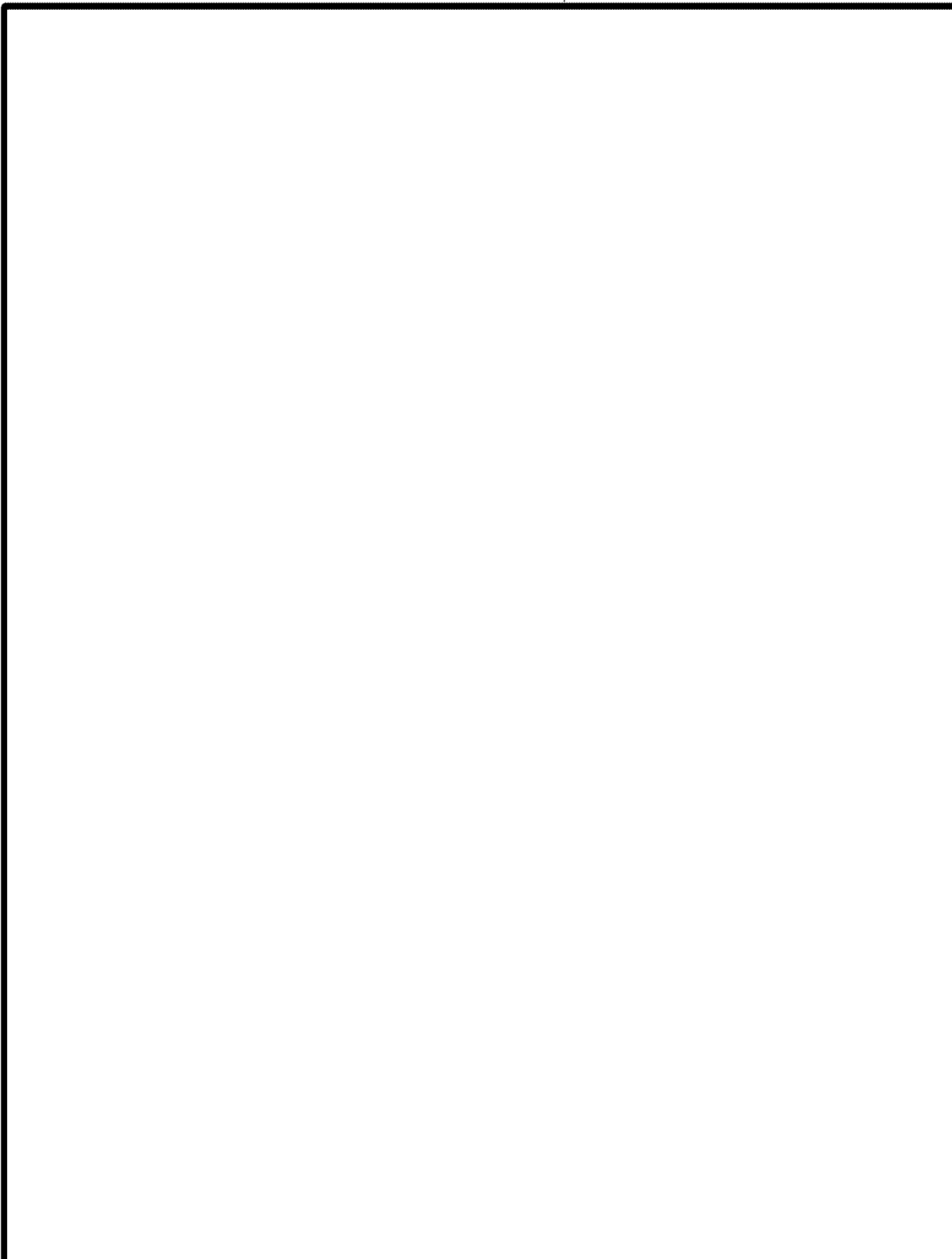
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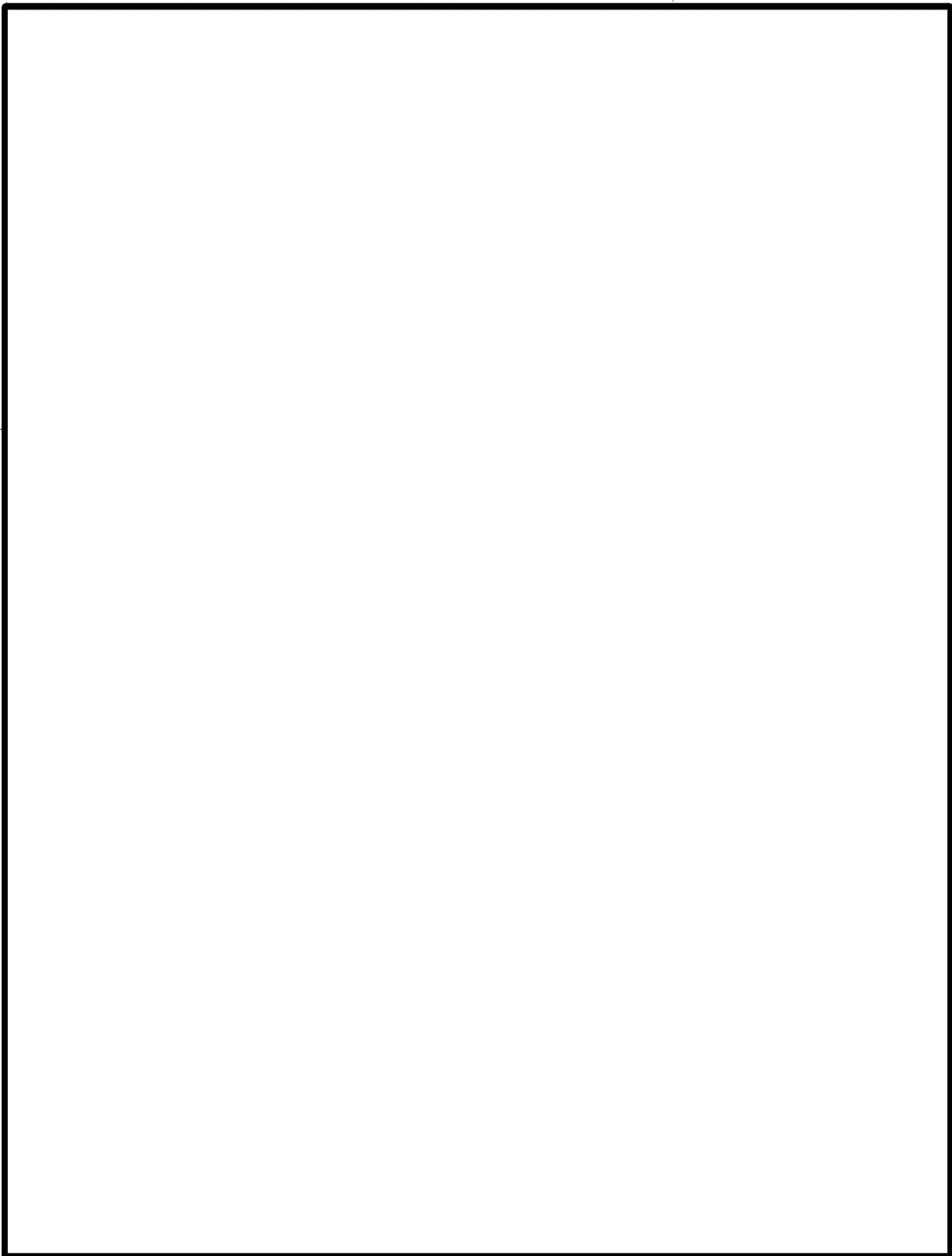


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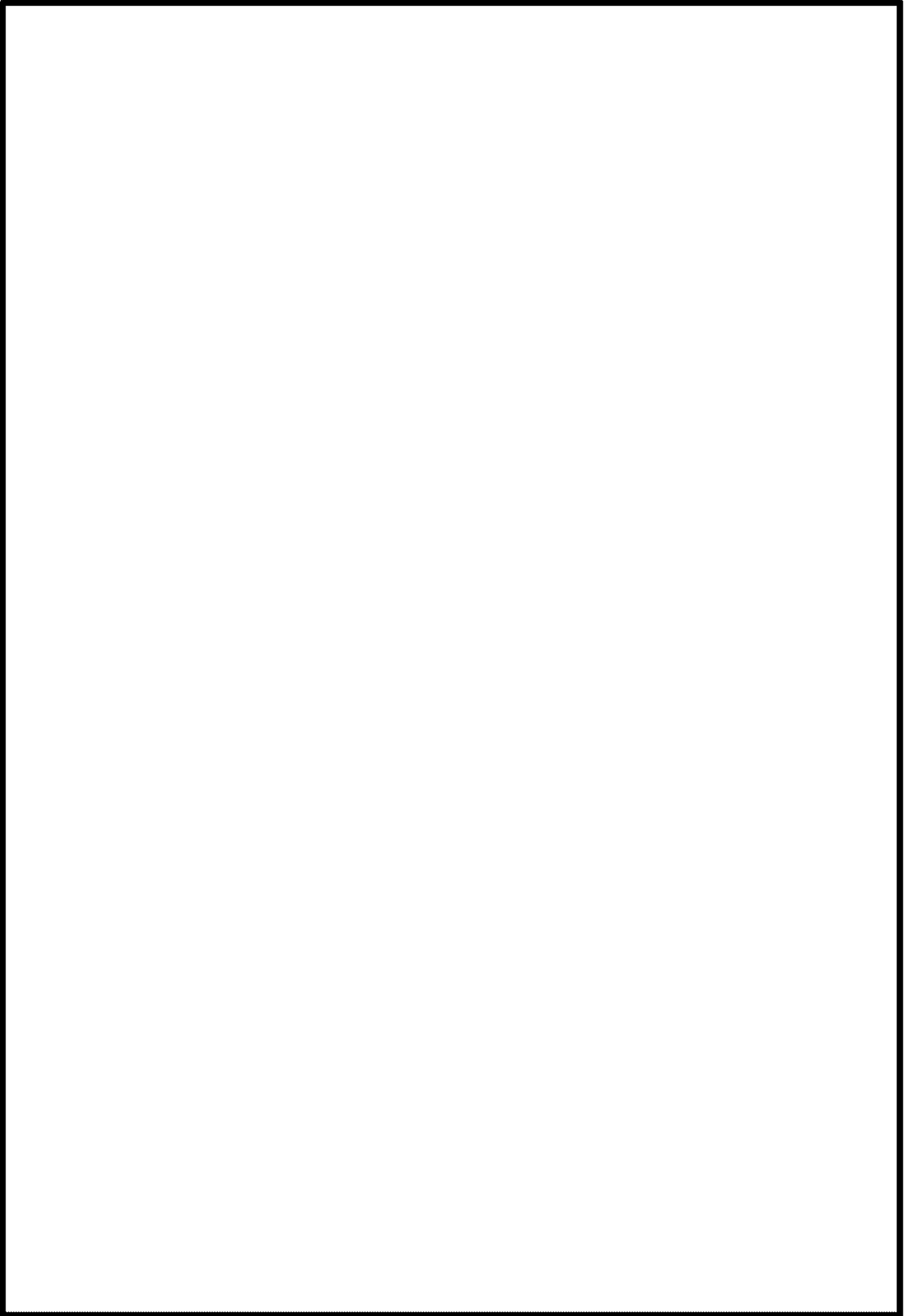


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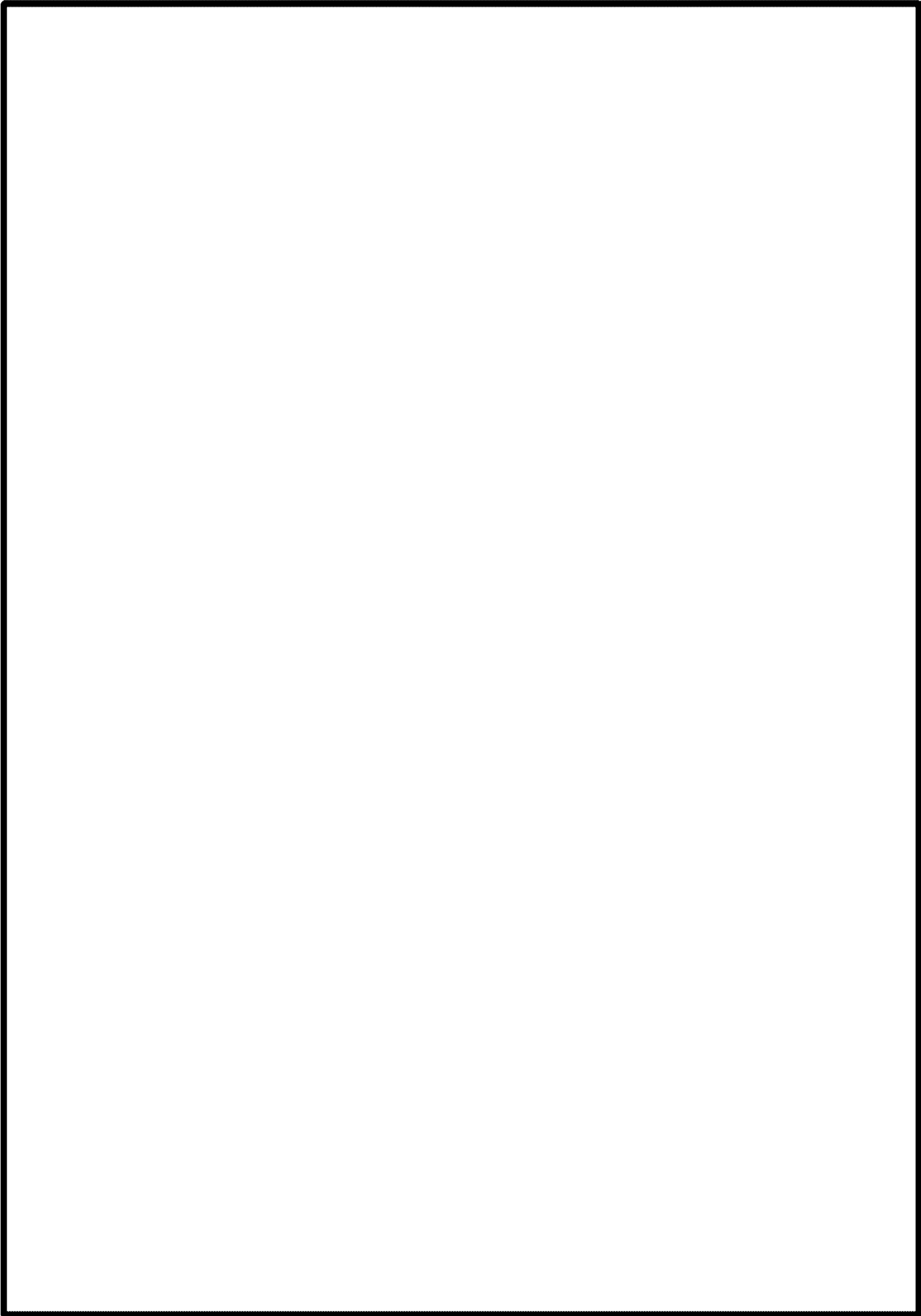


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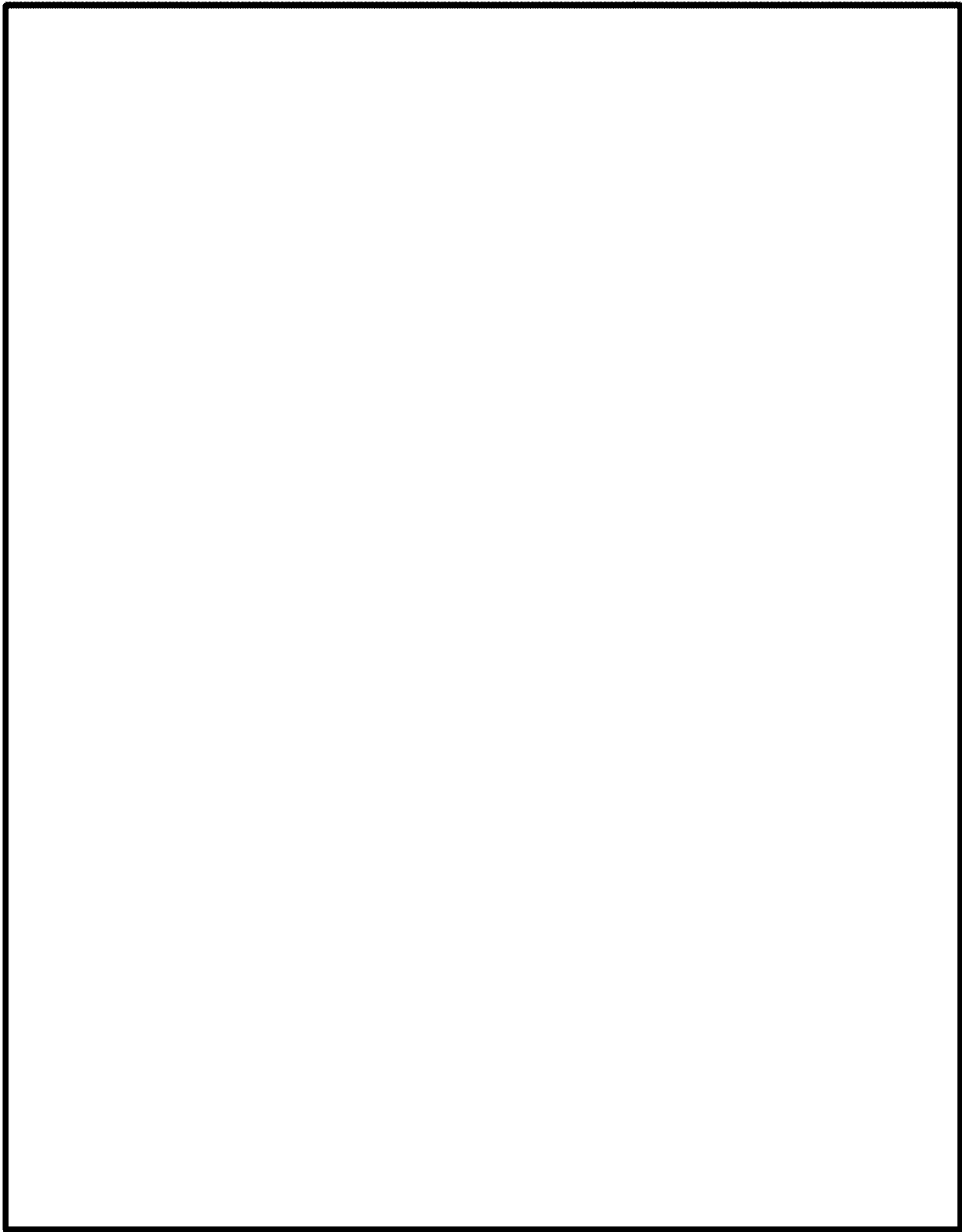


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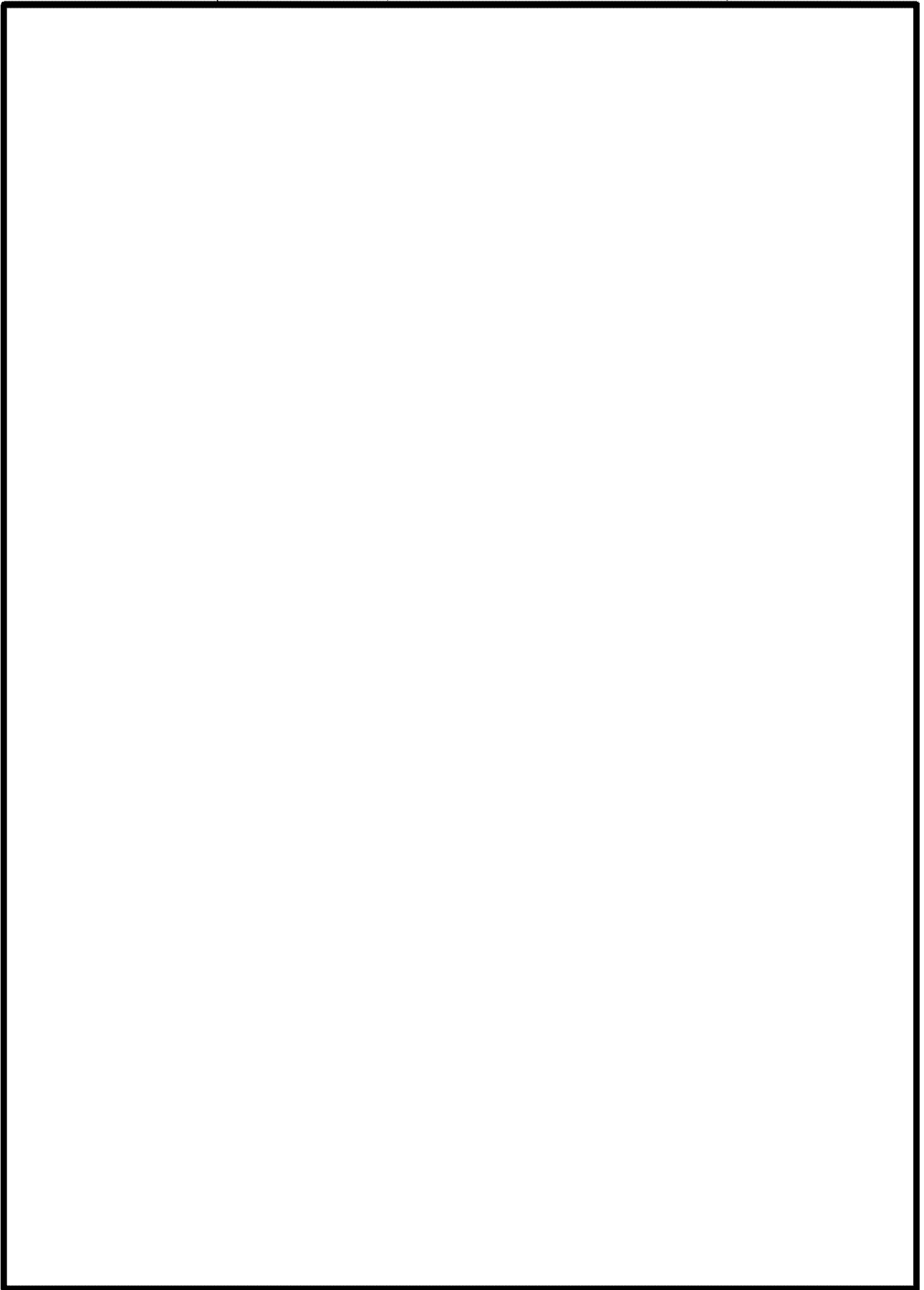
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-DRAFT-



-DRAFT-



-DRAFT-

From: [Micone, Vincent](#)
Subject: FW: Presidential candidates are getting ready to govern now
Date: Thursday, August 04, 2016 12:28:35 PM

FYSA

Thanks,
Vince

Vince Micone
DHS Presidential Transition Officer
and Senior Counselor
Management Directorate
U.S. Department of Homeland Security
(202) 447-3400

From: mail [mailto:mail@ourpublicservice.org]
Sent: Thursday, August 04, 2016 12:26 PM
To: Micone, Vincent <Vincent.Micone@HQ.DHS.GOV>
Subject: Presidential candidates are getting ready to govern now

To view this email as a webpage, go here
[Center for Presidential Transition](#)



This week, the federal government started offering assistance, including office space, briefings and communications services, to the

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presidential transition teams for Hillary Clinton and Donald Trump. This support signals the importance of pre-election transition planning, and will help the two candidates prepare to govern and fulfill campaign promises if elected.

We hope you will take a moment to read the following articles about the Partnership's efforts to ensure a well-executed presidential transition.

- Behind chaotic presidential campaign, work begins for smooth transition
The Wall Street Journal
- How candidates prepare to occupy the White House- Max Stier on presidential transition
C-SPAN
- Trump transition tests outsider's governing ability
The Associated Press
- With White House help, the Clinton and Trump campaigns start transition planning
National Public Radio
- Presidential transition work has already begun
RealClearPolitics

KEEP IN TOUCH

To stay up to date with the Center for Presidential Transition, feel free to sign up for our newsletter here. You can also join the conversation on social media (Facebook, Instagram and Twitter) with the hashtag #Ready2Govern.

The Partnership's presidential transition work is currently supported by The Boston Consulting Group and the following companies and foundations: Accenture, Deloitte, the Ford Foundation, the IBM Center for the Business of Government, McKinsey & Company, PricewaterhouseCoopers, and the Rockefeller Brothers Fund.

Partnership for Public Service



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Joshua Bolten

Former White House Chief of Staff to President George W. Bush

Clay Johnson

Former Executive Director, Bush-Cheney Presidential Transition

Ted Kaufman

Former Senator
Advisor, Obama-Biden Transition Project

Michael Leavitt

Former Governor of Utah
Former Chairman, Romney Readiness Project

Thomas "Mack" McLarty

Former Chief of Staff to President Bill Clinton

Donna Shalala

Former Secretary, U.S. Department of Health and Human Services



nonprofit software

From: Renaud, Tracy L
To: [Frederick, Precious A](#)
Subject: FW: Transition Prep Meeting
Date: Wednesday, November 16, 2016 12:58:00 PM
Attachments: [ART Component Brief Framework USCIS FINAL.pptx](#)
[Agency Review Team Briefing Schedule.docx](#)

Tracy L. Renaud
Associate Director
Management Directorate
US Citizenship & Immigration Services
Department of Homeland Security
202-272-1739 (desk)

From: Farnam, Julie E
Sent: Tuesday, November 15, 2016 3:11 PM
To: Savina, Jennifer P (CTR)
Cc: Renaud, Tracy L
Subject: RE: Transition Prep Meeting

Here's the final transition briefing presentation, which we will review at the meeting. The meeting is still a-go unless the president-elect's transition team arrives tomorrow, but that doesn't look likely.

From: Savina, Jennifer P (CTR)
Sent: Tuesday, November 15, 2016 3:08 PM
To: Farnam, Julie E
Subject: Transition Prep Meeting

Hi Julie,

Just making sure we're set for the transition prep meeting tomorrow. If we need to cancel please let me know. Thanks!

Regards,

Jenni Savina
Special Assistant
Office of the Director
U.S. Citizenship and Immigration Services
Department of Homeland Security
Direct: (202) 272-8208
Blackberry: (202) 230-3895
Main: (202) 272-1000
Jennifer.P.Savina@uscis.dhs.gov

From: [Inouye, Shinichi \(Shin\)](#)
To: [Munoz-Acevedo, Carlos](#); [Mejero, Mariela](#); [Alfonso, Angelica M](#); [Hatchett, Doline L](#); [Carter, Jeffrey T \(Jeff\)](#); [Ferreira, Joanne M](#); [McKinney, James R \(Jim\)](#); [Rogers, Debra A](#); [Hirsch, Angela H](#); [Renaud, Tracy L](#); [Farnam, Julie E](#); [Herrmann, Mary K](#)
Subject: FW: Updated Transition TPs
Date: Thursday, November 17, 2016 4:30:05 PM

FYSA

From: Hoffine, Brandi S. EOP/WHO [mailto:Brandi_S_Hoffine@who.eop.gov]
Sent: Thursday, November 17, 2016 4:26 PM
To: Hoffine, Brandi S. EOP/WHO
Cc: Buckingham, Shannon S. EOP/OMB
Subject: RE: Updated Transition TPs

Hi all,

We have now received a small set of initial names from the President-elect's transition team for a handful of government agencies (primarily national security-focused agencies). The vast majority of your agencies do not yet have transition team counterparts, so for now, we'd suggest that you continue to point reporters to our topline statement below (and it's fine to continue to acknowledge that you haven't been contacted, if that's the case). Here is our current guidance:

On the Record; Brandi Hoffine, WH Spokesperson:

"The President has identified a smooth transition to the next administration as a key priority for his final year in office. Accordingly, administration officials across the government have been preparing for months to welcome the incoming administration and deliver to them the materials and resources they need to hit the ground running.

"The President-elect's team has now completed the necessary steps for an initial group of authorized individuals to begin receiving briefings and other materials from our transition teams at select agencies across the government. We expect to receive additional names for a wider range of agencies from the President-elect's team as the transition work continues, and we will facilitate those requests on a rolling basis."

If your agency is one of the ones who will be receiving officials from the President-elect's team this week, I'll follow-up with you directly.

Many thanks,

Brandi

From: Hoffine, Brandi S. EOP/WHO
Sent: Wednesday, November 16, 2016 10:04 AM
To: Hoffine, Brandi S. EOP/WHO <Brandi_S_Hoffine@who.eop.gov>
Cc: Buckingham, Shannon S. EOP/OMB <Shannon_S_Buckingham@omb.eop.gov>

Subject: Updated Transition TPs

Hi all,

First of all, our continued thanks for working with us on the transition incoming you are receiving. We very much appreciate it.

Second, please see below for an updated statement confirming we have received the signed MOU from the President-Elect's team, but noting there are additional steps that still need to occur before the agency transition teams can begin to work with their Obama Administration counterparts.

We understand you guys are getting persistent questions about if any teams have arrived at your agencies yet. Please continue to point people to this statement below. You are also welcome to let them know off the record/for their planning that you have not received any teams yet.

Once we're in a position where landing teams will begin to arrive at your agencies, we'll loop back with you with guidance.

In the meantime, please let Shannon or I know if you need anything.

Many thanks,

Brandi

On the record, Brandi Hoffine, White House Spokesperson:

"We received the MOU signed by Vice President-elect Pence this evening. The next step is for the President-elect's transition team to provide us with the names of the individuals they have authorized to represent their transition effort across the government. Once we have received those names and related materials, those individuals will be able to receive the briefing materials we have prepared and begin to communicate with their Obama Administration agency counterparts as we continue our work to facilitate the transition to the next Administration."

Toplines - Presidential Transition

- The peaceful transition of power is a hallmark of our democracy.
- As the President said in the Rose Garden last week, he has instructed his team to follow the example that President Bush's team set eight years ago, and work to make sure that this is a successful transition for the President-elect.
- To that end, Administration officials at the White House and across government have been preparing for months for this transition.
- We are working with the President-elect's transition team to take the necessary steps to begin briefing their transition officials.
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designate teams to work alongside government agencies during the post-Election transition period, called Agency Review Teams.

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- Even as we work toward a smooth transition to the next administration, we will continue to fulfill our responsibilities to the American people and continue to work each of our remaining days to further the policies put in place by President Obama.

If asked about how specific policies will be impacted by a Trump Administration:

- President Obama remains committed to using each of his remaining days in office to deliver on his agenda for the American people.
- He is also committed to ensuring a smooth transition and providing the necessary information and resources to ensure that President-Elect Trump can take over the office seamlessly on January 20, 2017.
- We are not going to speculate on what sort of policies President-elect Trump may choose to prioritize or pursue.

If asked about sharing transition materials with the press:

- As has been the case in previous transitions, the materials are developed for the President-elect's Transition Team to effectuate as smooth a transition as possible and, as such, contain non-public and in some cases sensitive information.

Brandi Hoffine

White House Spokesperson and Assistant Press Secretary

202-456-4669

Brandi.Hoffine@whitehouse.gov

From: Inouye, Shinichi (Shin)
To: Hatchett, Doline L; Carter, Jeffrey T (Jeff); Ferreira, Joanne M; McKinney, James R (Jim); Melero, Mariela; Rogers, Debra A; Munoz-Acevedo, Carlos; Hirsch, Angela H; Renaud, Tracy L; Farnam, Julie E
Subject: FW: Updated Transition TPs
Date: Wednesday, November 16, 2016 10:33:12 AM

Sharing for your visibility the latest transition related TPs from the WH.

Noting this in particular:

If asked about how specific policies will be impacted by a Trump Administration:

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- He is also committed to ensuring a smooth transition and providing the necessary information and resources to ensure that President-Elect Trump can take over the office seamlessly on January 20, 2017.

(b)(5)

Thanks,

Shin Inouye
Press Secretary and Acting Senior Advisor for Intergovernmental and External Affairs
U.S. Citizenship and Immigration Services
202-272-1000 (Main)
202-272-8012 (Direct)
Shin.Inouye@uscis.dhs.gov
Twitter: [@InouyeUSCIS](https://twitter.com/InouyeUSCIS)

From: Hoffine, Brandi S. EOP/WHO [mailto:Brandi_S_Hoffine@who.eop.gov]
Sent: Wednesday, November 16, 2016 10:04 AM
To: Hoffine, Brandi S. EOP/WHO
Cc: Buckingham, Shannon S. EOP/OMB
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Brandi Hoffine
White House Spokesperson and Assistant Press Secretary
202-456-4669
Brandi.Hoffine@whitehouse.gov

From: Inoue, Shinichi (Shin)
To: Hatchett, Doline L; Carter, Jeffrey T (Jeff); Ferreira, Joanne M; McKinney, James R (Jim); Renaud, Tracy L; Farnam, Julie E
Cc: Rodriguez, Leon; Scialabba, Lori L; Choi, Juliet K
Subject: FW: Updated Transition TPs
Date: Wednesday, November 23, 2016 1:59:37 PM

FYI

From: Buckingham, Shannon S. EOP/OMB [mailto:Shannon_S_Buckingham@omb.eop.gov]
Sent: Wednesday, November 23, 2016 10:25 AM
To: Buckingham, Shannon S. EOP/OMB
Cc: Hoffine, Brandi S. EOP/WHO
Subject: Updated Transition TPs

Hi all,

If you're receiving this follow-up note, it means we've received word that your agencies (USDA, Education, DOE, HHS, DHS, Interior, Transportation, VA, EPA, and GSA) now have counterparts on the President-elect's transition team.

Below is some initial suggested guidance for questions you may get. As always, let us know if you need anything from us or how we can be helpful, and thanks for keeping us in the loop on the types of questions you're getting and how you're handling them, so that we can make sure we're getting that guidance to our officials as well.

Thank you.
Shannon

(b)(5)

///



-----Original Message-----

From: Hoffine, Brandi S. EOP/WHO
Sent: Thursday, November 17, 2016 4:26 PM
To: Hoffine, Brandi S. EOP/WHO <Brandi_S_Hoffine@who.eop.gov>
Cc: Buckingham, Shannon S. EOP/OMB <Shannon_S_Buckingham@omb.eop.gov>
Subject: RE: Updated Transition TPs

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Many thanks,

Brandi

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Sent: Wednesday, November 16, 2016 10:04 AM
To: Hoffine, Brandi S. EOP/WHO <Brandi_S_Hoffine@who.eop.gov>
Cc: Buckingham, Shannon S. EOP/OMB <Shannon_S_Buckingham@omb.eop.gov>
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Brandi Hoffine

White House Spokesperson and Assistant Press Secretary

202-456-4669

BHoffine@who.eop.gov

From: [Farnam, Julie E](#)
To: [Renaud, Tracy L](#)
Subject: RE: ART Briefing Presentation
Date: Wednesday, November 09, 2016 11:16:10 AM
Attachments: [ART Component Brief Framework USCIS FINAL.pptx](#)

Sorry about that. Fixed.

From: Renaud, Tracy L
Sent: Wednesday, November 09, 2016 11:14 AM
To: Farnam, Julie E
Subject: RE: ART Briefing Presentation

The speaker's notes on the last page says President Clinton/Trump. You correct the slide itself but still need to fix the notes section.

*Tracy L. Renaud
Associate Director
Management Directorate
US Citizenship & Immigration Services
Department of Homeland Security
202-272-1739 (desk)*

From: Farnam, Julie E
Sent: Wednesday, November 09, 2016 10:32 AM
To: Renaud, Tracy L
Subject: ART Briefing Presentation

Tracy,

The attached presentation has been cleared by OCC.

Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
(c) 202-489-8802

This communication, along with any attachments, may contain confidential information and is covered by federal laws governing electronic communications. Electronic communications may also be monitored by the Department of Homeland Security, U.S. Citizenship and Immigration Services. If the reader of this message is not the intended recipient, you are hereby notified that any dissemination, distribution, use, or copying of this message is strictly prohibited. If you have received this in error, please delete this message and all attachments and immediately notify the sender.

From: Renaud, Tracy L
To: [Farnam, Julie E](#)
Cc: [McCament, James W](#)
Subject: RE: ART Briefing Presentation
Date: Thursday, November 03, 2016 9:30:00 AM
Attachments: [ART Component Brief Framework USCIS - TR comments.pptx](#)

Thanks Julie. I had a couple of comments for consideration. I don't feel overly strong about any of them so if you and James don't feel that my comments enhance the product or are not where D1 was focused it is okay if we don't incorporate them.

*Tracy L. Renaud
Associate Director
Management Directorate
US Citizenship & Immigration Services
Department of Homeland Security
202-272-1739 (desk)*

From: Farnam, Julie E
Sent: Thursday, November 03, 2016 9:05 AM
To: Renaud, Tracy L
Cc: McCament, James W
Subject: ART Briefing Presentation

Tracy,

Attached is the updated ART briefing presentation based on the conversation we had with D1 and Juliet and James earlier this week with talking points for each slide.

Including James to make sure I captured what was discussed at the meeting.

I wanted to give you the opportunity to review before I send it for clearance.

Thank you,
Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
(c) 202-489-8802

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From: [Farnam, Julie E](#)
To: [Renaud, Tracy L](#)
Subject: RE: ART Briefing Presentation
Date: Wednesday, November 09, 2016 11:25:14 AM

I dug up the original message and it does look like they want to see a draft of it. I can send it now. I think we also have to be open to the possibility that D2 may want to review and make changes if she ends up giving the briefing.

From: Renaud, Tracy L
Sent: Wednesday, November 09, 2016 11:22 AM
To: Farnam, Julie E
Subject: RE: ART Briefing Presentation

Thanks. Do we need to send this to the Department?

Tracy L. Renaud
Associate Director
Management Directorate
US Citizenship & Immigration Services
Department of Homeland Security
202-272-1739 (desk)

From: Farnam, Julie E
Sent: Wednesday, November 09, 2016 11:16 AM
To: Renaud, Tracy L
Subject: RE: ART Briefing Presentation

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From: Renaud, Tracy L
To: Farnam, Julie E
Subject: RE: Article about the Transition
Date: Wednesday, November 09, 2016 1:24:00 PM

Thanks. I guess this explains why the ART wasn't prepared to engage today.

*Tracy L. Renaud
Associate Director
Management Directorate
US Citizenship & Immigration Services
Department of Homeland Security
202-272-1739 (desk)*

From: Farnam, Julie E
Sent: Wednesday, November 09, 2016 1:16 PM
To: Renaud, Tracy L
Subject: Article about the Transition

I thought you might find this article interesting about Trump's transition planning:
<http://www.cnn.com/2016/11/09/politics/donald-trump-transition/index.html>.

Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
(c) 202-489-8802

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From: [Renaud, Tracy L](#)
To: [Farnam, Julie E](#)
Subject: RE: Article about Transition Team
Date: Wednesday, August 17, 2016 10:08:00 AM

You may be spending a lot of time with these folks!

Tracy L. Renaud
Associate Director
Management Directorate
US Citizenship & Immigration Services
Department of Homeland Security
202-272-1739 (desk)

From: Farnam, Julie E
Sent: Tuesday, August 16, 2016 8:00 AM
To: Renaud, Tracy L
Subject: Article about Transition Team

I thought you might find this article interesting about Clinton's transition team:
<http://www.cnn.com/2016/08/16/politics/hillary-clinton-transition-team-ken-salazar/index.html>. It looks like from the article that Chris Christie is heading up Trump's transition team.

Julie Farnam
Special Assistant
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
(c) 202-489-8802

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From: [Renaud, Tracy L](#)
To: [Mueller, Rhonda D](#)
Cc: [Hoefler, Michael D](#); [Howard, Rothley L](#); [Harris, Gertrude Z](#)
Subject: RE: FOIA for DNC re: Trump filings
Date: Tuesday, August 02, 2016 11:16:38 AM

Thanks Rhonda.

Tracy L. Renaud
Associate Director, Management
U.S. Citizenship and Immigration Services
Department of Homeland Security
202-272-1739 (office)

From: Mueller, Rhonda D
Sent: Tuesday, August 02, 2016 10:36:34 AM
To: Renaud, Tracy L
Cc: Hoefler, Michael D; Howard, Rothley L; Harris, Gertrude Z
Subject: FOIA for DNC re: Trump filings

Good morning Tracy,

Attached is a the original FOIA request. According to the FOIA office, this case will follow FOIA's regular first-in/first-out process, which means it will take a minimum of 3 months to complete.

Additionally, to determine if OPQ is the appropriate office for this request, we've asked the FOIA office to reach out to the requestor to clarify if they are looking for documents or data. We explained to FOIA that OPQ provides data and not documents. As soon as we receive a response from the FOIA office, we will share it with you.

Thank you,

Rhonda

Rhonda Mueller

Chief of Staff
Office of Performance and Quality
DHS/U.S. Citizenship and Immigration Services
Phone: 202-272-8436
rhonda.mueller@dhs.gov

From: Renaud, Tracy L
Sent: Tuesday, August 02, 2016 9:58:21 AM (UTC-05:00) Eastern Time (US & Canada)
To: Hoefler, Michael D; Howard, Rothley L
Subject: FOIA for DNC re: Trump filings

Mike/Rothley,

Kevin mentioned that you received a FOIA from DNC requesting information on filings by the Trump business enterprises. Can you send me the actual FOIA request please? I just want to alert the transition team at the Department. Also, I understand from Kevin that in processing these in the normal first-in/first-out fashion this FOIA would not be completed soon, how far out would you anticipate getting to it? After election?

*Tracy L. Renaud
Associate Director
Management Directorate
US Citizenship & Immigration Services
Department of Homeland Security
202-272-1739 (desk)*

From: Renaud, Tracy L
To: Micone, Vincent; Stewart, Bion
Cc: Farnam, Julie E; USCIS Presidential Transition
Subject: RE: FOIA Request from DNC
Date: Tuesday, August 02, 2016 12:40:00 PM

Apparently we are seeing other FOIA requests as well, at least one from CNN requesting info on Trump filings. Do you want to be made aware of these when they come to us? I don't want to overload you with info but also don't want you to be surprised if info we released is used publically either in a media report or a campaign speech.

*Tracy L. Renaud
Associate Director
Management Directorate
US Citizenship & Immigration Services
Department of Homeland Security
202-272-1739 (desk)*

From: Micone, Vincent
Sent: Tuesday, August 02, 2016 12:38 PM
To: Renaud, Tracy L; Stewart, Bion
Cc: Farnam, Julie E; USCIS Presidential Transition
Subject: RE: FOIA Request from DNC

Thanks -
Vince

Vince Micone
DHS Presidential Transition Officer
and Senior Counselor
Management Directorate
U.S. Department of Homeland Security
(202) 447-3400

From: Renaud, Tracy L
Sent: Tuesday, August 02, 2016 11:27 AM
To: Micone, Vincent <Vincent.Micone@HQ.DHS.GOV>; Stewart, Bion <bion.stewart@hq.dhs.gov>
Cc: Farnam, Julie E <Julie.E.Farnam@uscis.dhs.gov>; USCIS Presidential Transition <uscispresidentialtransition@uscis.dhs.gov>
Subject: FOIA Request from DNC

Vince and Bion,

I just want to alert you that last week USCIS received a FOIA request from the DNC asking for information related to a number of Trump enterprises (FOIA is attached). Our FOIA requests are processed first-in/first-out so under normal processes it could take as much as 3 months for us to get to this request using our normal processes. I thought it odd that they are reaching through FOIA rather than through the transition team so I wanted to bring it to your attention right away. If you

have any questions let me know.

Tracy L. Renaud
Associate Director
Management Directorate
US Citizenship & Immigration Services
Department of Homeland Security
202-272-1739 (desk)

From: [USCIS Presidential Transition](#)
To: [Micone, Vincent](#)
Cc: [Renaud, Tracy L](#); [Stewart, Bion](#)
Subject: RE: FOIA Request from DNC
Date: Tuesday, August 09, 2016 10:23:48 AM
Attachments: [FW ATTN FOIA Request from The Associated Press Aug. 7 2016 - Trump Model Management.msg](#)
[FW ATTN FOIA Request from the Associated Press Aug. 5 2016.msg](#)
[FW Freedom of Information Act Request.msg](#)
[FW FOIA request Alien file for Melania Trump \(née Knays\) D.O.B. 4261970.msg](#)

Four additional requests related to Trump and/or his wife. Please see attached.

Julie Farnam
Special Assistant
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
(c) 202-489-8802

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From: Micone, Vincent
Sent: Saturday, August 06, 2016 5:42 PM
To: USCIS Presidential Transition
Cc: Renaud, Tracy L; Stewart, Bion
Subject: RE: FOIA Request from DNC

Appreciate the update

Thanks,
Vince

Vince Micone
DHS Presidential Transition Officer
and Senior Counselor
Management Directorate
U.S. Department of Homeland Security
(202) 447-3400

From: USCIS Presidential Transition

Sent: Friday, August 05, 2016 10:04:21 PM
To: Micone, Vincent
Cc: Renaud, Tracy L; Stewart, Bion
Subject: RE: FOIA Request from DNC

Vince,

USCIS has received three additional FOIA requests related to the candidates (one about Trump; one about both candidates, and one about Trump's wife). They are attached.

Julie Farnam
Special Assistant
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
(c) 202-489-8802

This communication, along with any attachments, may contain confidential information and is covered by federal laws governing electronic communications. Electronic communications may also be monitored by the Department of Homeland Security, U.S. Citizenship and Immigration Services. If the reader of this message is not the intended recipient, you are hereby notified that any dissemination, distribution, use, or copying of this message is strictly prohibited. If you have received this in error, please delete this message and all attachments and immediately notify the sender.

From: Micone, Vincent
Sent: Tuesday, August 02, 2016 12:38 PM
To: Renaud, Tracy L; Stewart, Bion
Cc: Farnam, Julie E; USCIS Presidential Transition
Subject: RE: FOIA Request from DNC

Thanks -
Vince

Vince Micone
DHS Presidential Transition Officer
and Senior Counselor
Management Directorate
U.S. Department of Homeland Security
(202) 447-3400

From: Renaud, Tracy L
Sent: Tuesday, August 02, 2016 11:27 AM
To: Micone, Vincent <Vincent.Micone@HQ.DHS.GOV>; Stewart, Bion <bion.stewart@hq.dhs.gov>
Cc: Farnam, Julie E <Julie.E.Farnam@uscis.dhs.gov>; USCIS Presidential Transition <uscispresidentialtransition@uscis.dhs.gov>
Subject: FOIA Request from DNC

Vince and Bion,

I just want to alert you that last week USCIS received a FOIA request from the DNC asking for information related to a number of Trump enterprises (FOIA is attached). Our FOIA requests are processed first-in/first-out so under normal processes it could take as much as 3 months for us to get to this request using or normal processes. I thought it odd that they are reaching through FOIA rather than through the transition team so I wanted to bring it to your attention right away. If you have any questions let me know.

Tracy L. Renaud
Associate Director
Management Directorate
US Citizenship & Immigration Services
Department of Homeland Security
202-272-1739 (desk)

Jaynes, Thomas A (Allen)

From: NRC, FOIASIG
Sent: Monday, August 08, 2016 9:19 AM
To: USCIS Presidential Transition; Meckley, Tammy M
Cc: Sloan, Terry G; Knepper, Tom M; Cole, Ethan R; Eggleston, Jill A; Welsh, Brian J
Subject: FW: ATTN: FOIA Request from The Associated Press, Aug. 7, 2016 - Trump Model Management

Good morning,

Please see the FOIA request below pertaining to Donald Trump.

Thank you

From: FOIA, USCIS
Sent: Monday, August 08, 2016 6:19 AM
To: NRC, FOIASIG
Subject: FW: ATTN: FOIA Request from The Associated Press, Aug. 7, 2016 - Trump Model Management

From: Day, Chad [<mailto:CDay@ap.org>]
Sent: Sunday, August 07, 2016 10:32 PM
To: FOIA, USCIS
Cc: Caldwell, Alicia; Horwitz, Jeff
Subject: ATTN: FOIA Request from The Associated Press, Aug. 7, 2016 - Trump Model Management

Jill Eggleston
FOIA Officer
National Records Center, FOIA/PA Office
U.S. Citizenship & Immigration Services
P.O. Box 648010
Lee's Summit, MO 64064-8010
(800) 375-5283
(816) 350-5785 (Fax)

ATTN: Freedom of Information Act request from The Associated Press

Aug. 7, 2016

Dear FOIA Officer,

Pursuant to the Freedom of Information Act, 5 U.S.C. § 552, I request access to or copies of the following records from your agency:

1. Any and all petitions for nonimmigrant workers, supporting documentation for those petitions or nonimmigrant worker petition data maintained by your agency or its predecessor, the Immigration and Naturalization Service, between 1999 and 2007 for the following companies or individuals.

- Trump Model Management LLC, a New York company

- The Trump Organization, a New York company
- Donald Trump, a New York individual

*****To aid in your search, I have provided the record layout for current comparable data now compiled in electronic format. You will find the field listings at the end of this request.**

If possible, I request that these files be provided to me in electronic format.

I certify to be true and correct to the best of my knowledge and belief that I am a credentialed reporter employed by The Associated Press. **Because this is a request by a member of the news media for records made in the public interest, I ask that you waive any search fees in accordance with § 552(a)(4)(A)(ii)(II).**

If the fee for retrieving or reproducing these records will exceed \$50, please notify me before filling this request. I can be reached at (202) 641-9536 or by electronic mail at cday@ap.org.

I also request expedited processing for this request under 32 CFR 299.5 (f)(2).

My request for expedited processing meets criteria for demonstrating a "compelling need" for the following reasons that I certify to be true and correct to the best of my knowledge:

One, I am a credentialed member of the news media employed by The Associated Press who is primarily engaged in disseminating information.

Two, the records I am seeking are "urgently needed" to inform the public about an actual government activity in that the value of the information I am seeking will be lost if it is not released before Election Day, Nov. 8, 2016. Federal FOIA law and regulations afford expedited processing to those who demonstrate "an urgency to inform the public about an actual or alleged federal government activity." My request should also generally be read in light of the holdings in *Al-Fayed*.

This request qualifies for expedited processing because it goes beyond "the public's right to know about government activity generally" and instead seeks to provide urgent information of "actual government activity" to American voters.

The hard deadline of Election Day elevates the importance of these records as does the type of government activity they involve.

These records concern applications made to the Immigration and Naturalization Service that will shed light on whether Melania Trump, who potentially could serve as First Lady, came to the U.S. legally and worked legally as a Slovenian citizen. These records concern companies and people involved in her employment as a model during the 1990s and early 2000s.

The Associated Press, as the largest news wire service in the world with more than 1 billion readers, takes its duty to inform voters very seriously. There is no more important decision made by American voters than choosing a president and a first lady to represent them before the world. Any information that speaks to their fitness to lead the country, including any records pertaining to potential illegal acts, must be released in a timely fashion so that American voters can make an informed decision in November.

For these reasons, I respectfully request that these records be released on an expedited schedule. **As you know, you must make a determination about my request for expedited processing within 10 calendar days of receipt of this request.**

As you know, agencies must redact only what is necessary to protect exempt information and must explain the basis for any redactions. See *Georgarakos v. FBI*, 908 F.Supp.2d 176, 186 (D.D.C. 2012). As well, please provide documents to me on a rolling basis, rather than waiting for my entire request to be processed before releasing documents.

As a reminder, the president has directed that the FOIA "be administered with a clear presumption: In the face of doubt, openness prevails." Memorandum for the Heads of Executive Dep'ts and Agencies, 74 Fed. Reg. 15, 4683 (Jan. 26, 2009), emphasis added. This instruction is unambiguous: "All agencies should adopt a presumption in favor of disclosure, in order to renew their commitment to the principles embodied in the FOIA, and to usher in a new era of open government. The presumption of disclosure should be applied to all decisions involving the FOIA." *Id.*

The Act, in § 552(a)(6), grants your office no more than twenty working days in which to respond to this request. See also *Oglesby v. U.S. Dep't of Army*, 920 F.2d 57, 65 (D.C. Cir. 1990) ("Congress adopted the time limit provision in the FOIA in order to 'contribute to the fuller and faster release of information, which is the basic objective of the Act.'" (quoting H.R. Rep. No. 93-876, March 5, 1974, reprinted (1974) U.S. Code Cong. & Ad. News 6267 at 6271)).

I certify that the information provided above is true and correct to the best of my knowledge and belief.

Thank you for your assistance. I look forward to your prompt reply. My contact information is below.

Sincerely,

/s/Chad Day

Chad Day
Reporter
The Associated Press
Washington Bureau
1100 13th St. NW, Suite 500
Washington, DC 20005-4076
O: 202-641-9536 C: 202-415-7775 @ChadSDay

Jaynes, Thomas A (Allen)

From: NRC, FOIASIG
Sent: Monday, August 08, 2016 9:16 AM
To: USCIS Presidential Transition; Meckley, Tammy M
Cc: Sloan, Terry G; Knepper, Tom M; Cole, Ethan R; Eggleston, Jill A; Welsh, Brian J
Subject: FW: ATTN: FOIA Request from the Associated Press, Aug. 5, 2016

Good morning,

Please see the FOIA request below pertaining to Melania Trump.

Thank you .

From: FOIA, USCIS
Sent: Monday, August 08, 2016 6:01 AM
To: NRC, FOIASIG
Subject: FW: ATTN: FOIA Request from the Associated Press, Aug. 5, 2016

From: Caldwell, Alicia [<mailto:acaldwell@ap.org>]
Sent: Friday, August 05, 2016 4:31 PM
To: Day, Chad
Cc: FOIA, USCIS; Horwitz, Jeff
Subject: Re: ATTN: FOIA Request from the Associated Press, Aug. 5, 2016

Great. Thanks for taking care of this.

Sent from my iPhone

On Aug 5, 2016, at 12:17 PM, Day, Chad <CDay@ap.org> wrote:

Jill Eggleston
FOIA Officer
National Records Center, FOIA/PA Office
U.S. Citizenship & Immigration Services
P.O. Box 648010
Lee's Summit, MO 64064-8010
(800) 375-5283
(816) 350-5785 (Fax)

ATTN: Freedom of Information Act request from The Associated Press

Aug. 5, 2016

Dear FOIA Officer,

Pursuant to the Freedom of Information Act, 5 U.S.C. § 552, I request access to or copies of the following records from your agency:

1. Any and all petitions for nonimmigrant workers, supporting documentation for those petitions or nonimmigrant worker petition data maintained by your agency or its predecessor, the Immigration and Naturalization Service, between 1994 and 2001 for the following companies or individuals.

- Metropolitan Models, Inc., a New York company
- Metropolitan Model Agency USA, Inc., a New York and Delaware registered company
- Metropolitan International Management, LLC, a New York company
- ID Model Management, a New York Company
- Paolo Zampolli, a former modeling agent in New York
- Thomas Zeumer, a modeling agent in New York
- Kenneth Sussmane, a New York attorney
- Fay Sussmane, a New York resident

*****To aid in your search, I have provided the record layout for current comparable data now compiled in electronic format. You will find the field listings at the end of this request .**

If possible, I request that these files be provided to me in electronic format.

I certify to be true and correct to the best of my knowledge and belief that I am a credentialed reporter employed by The Associated Press. **Because this is a request by a member of the news media for records made in the public interest, I ask that you waive any search fees in accordance with § 552(a)(4)(A)(ii)(II).**

If the fee for retrieving or reproducing these records will exceed \$50, please notify me before filling this request. I can be reached at **(202) 641-9536** or by electronic mail at cday@ap.org.

I also request expedited processing for this request under 32 CFR 299.5 (f)(2).

My request for expedited processing meets criteria for demonstrating a "compelling need" for the following reasons that I certify to be true and correct to the best of my knowledge:

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Two, the records I am seeking are "urgently needed" to inform the public about an actual government activity in that the value of the information I am seeking will be lost if it is not released before Election Day, Nov. 8, 2016. Federal FOIA law and regulations afford expedited processing to those who demonstrate "an urgency to inform the public about an actual or alleged federal government activity." My request should also generally be read in light of the holdings in *Al-Fayed*.

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These records concern applications made to the Immigration and Naturalization Service that will shed light on whether Melania Trump, who potentially could serve as First Lady, came to the U.S. legally and

worked legally as a Slovenian citizen. These records concern companies and people involved in her employment as a model during the 1990s and early 2000s.

The Associated Press, as the largest news wire service in the world with more than 1 billion readers, takes its duty to inform voters very seriously. There is no more important decision made by American voters than choosing a president and a first lady to represent them before the world. Any information that speaks to their fitness to lead the country, including any records pertaining to potential illegal acts, must be released in a timely fashion so that American voters can make an informed decision in November.

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As a reminder, the president has directed that the FOIA "be administered with a clear presumption: In the face of doubt, openness prevails." Memorandum for the Heads of Executive Dep'ts and Agencies, 74 Fed. Reg. 15, 4683 (Jan. 26, 2009), emphasis added. This instruction is unambiguous: "All agencies should adopt a presumption in favor of disclosure, in order to renew their commitment to the principles embodied in the FOIA, and to usher in a new era of open government. The presumption of disclosure should be applied to all decisions involving the FOIA." *Id.*

The Act, in § 552(a)(6), grants your office no more than twenty working days in which to respond to this request. See also *Oglesby v. U.S. Dep't of Army*, 920 F.2d 57, 65 (D.C. Cir. 1990) ("Congress adopted the time limit provision in the FOIA in order to 'contribute to the fuller and faster release of information, which is the basic objective of the Act.'" (quoting H.R. Rep. No. 93-876, March 5, 1974, reprinted (1974) U.S. Code Cong. & Ad. News 6267 at 6271)).

I certify that the information provided above is true and correct to the best of my knowledge and belief.

Thank you for your assistance. I look forward to your prompt reply. My contact information is below.

Sincerely,

/s/Chad Day

Chad Day
Reporter
The Associated Press
Washington Bureau
1100 13th St. NW, Suite 500
Washington, DC 20005-4076
O: 202-641-9536 C: 202-415-7775 @ChadSDay

Jaynes, Thomas A (Allen)

From: NRC, FOIASIG
Sent: Monday, August 08, 2016 9:13 AM
To: USCIS Presidential Transition; Meckley, Tammy M
Cc: Sloan, Terry G; Knepper, Tom M; Cole, Ethan R; Eggleston, Jill A; Welsh, Brian J
Subject: FW: Freedom of Information Act Request

Good morning,

Please see the FOIA request below for information pertaining to Donald Trump.

Thank you

From: FOIA, USCIS
Sent: Friday, August 05, 2016 6:55 AM
To: NRC, FOIASIG
Subject: FW: Freedom of Information Act Request

From: Research Info [<mailto:ResearchInfo@dnc.org>]
Sent: Thursday, August 04, 2016 11:23 AM
To: FOIA, USCIS
Subject: Freedom of Information Act Request

Dear Freedom of Information/ Open Records Officer:

Pursuant to the Federal Freedom of Information Act, 5 U.S.C. § 552, and all other applicable state and federal statutes, I request from your department all publicly available documents including, but not limited to:

- All publically available documents related to the H-1B, H-2A, H-2B, E-3, or Permanent programs submitted since 2000 to USCIS or USCIS approved regional centers mentioning Donald Trump or any of the following entities:
 - H-1B
 - Mar-A-Lago
 - Trump Model Management
 - Trump Miami Resorts Management LLC
 - Trump Payroll Chicago
 - Trump National Golf Club LLC
 - Eric Trump Wine Manufacturing
 - Madison Avenue Diamonds LLC (d/b/a Ivanka Trump)
 - Trump International Sonesta Beach Resort
 - Trump Corporation
 - Trump International Hotel & Tower – New York
 - Trump International Hotel & Tower – Chicago
 - Trump National Golf Club – Colts Neck
 - Trump National Golf Club – Briarcliff Manor
 - Trump Plaza Associates (d/b/a Trump Plaza)
 - Trump 29 Casino
 - Trump Management Group LLC
 - H-2A

- Trump Vineyard Estates, LLC
- H-2B
 - The MAR-A-LAGO CLUB
 - Jupiter Golf Club, LLC
 - LAMINGTON FARM CLUB LLC
 - International Resorts Management
- E-3
 - Trump National Golf Club -- Colts Neck
 - Trump National Golf Club -- Briarcliff Manor
 - Trump Hotel Collection
- PERM
 - Trump International Sonesta Beach
 - Trump Briarcliff Manor Development LLC
 - Trump International Hotel -- NYC
 - Trump Grande
 - Trump Taj Mahal

If this request would generate a substantial number of documents, I would prefer to have an index of the documents. Of course, this request for an index does not preclude us from later requesting any or all of the documents included in the index. Additionally, I request that the information I seek be provided, if possible, in an electronic format via a personal computer disk or CD-ROM.

I understand that there might be costs associated with this request. I would request a waiver of fees and ask for you to contact either of us by telephone before making copies if this request will be in excess of \$50.

I would appreciate your communicating with us by email at ResearchInfo@dnc.org or by telephone at (202) 798-3889, rather than by mail, if you have questions regarding this request. If all or any part of this request is denied, please cite the specific exemption which you believe justifies your refusal to release the information and inform us of your agency's administrative appeal procedures available to me under the law. I look forward to your reply within 20 business days (excluding Saturdays, Sundays and legal holidays), as the statute requires.

Thank you for your assistance in this matter.

Please send all copies to:
 Lauren Dillon
 430 S Capitol Street SE
 Washington, DC 20003

Sincerely,

Lauren Dillon

Jaynes, Thomas A (Allen)

From: NRC, FOIASIG
Sent: Monday, August 08, 2016 9:11 AM
To: USCIS Presidential Transition; Meckley, Tammy M
Cc: Sloan, Terry G; Knepper, Tom M; Cole, Ethan R; Eggleston, Jill A; Welsh, Brian J
Subject: FW: FOIA request: Alien file for Melania Trump (née Knavs), D.O.B. 4/26/1970

Good morning,

Please see the FOIA request below for information pertaining to the Melania Trump.

Thank you

From: FOIA, USCIS
Sent: Friday, August 05, 2016 6:54 AM
To: NRC, FOIASIG
Subject: FW: FOIA request: Alien file for Melania Trump (née Knavs), D.O.B. 4/26/1970

From: Reilly, Stephen [<mailto:sreilly@usatoday.com>]
Sent: Thursday, August 04, 2016 11:19 AM
To: FOIA, USCIS
Subject: FOIA request: Alien file for Melania Trump (née Knavs), D.O.B. 4/26/1970

July 14, 2016

U.S. Citizenship and Immigration Services
National Records Center, FOIA/PA Office
P. O. Box 648010
Lee's Summit, MO 64064-8010

VIA EMAIL: uscis.foia@uscis.dhs.gov

Re: Freedom of Information Act request

To whom it may concern:

This is a request for records under the Freedom of Information Act (FOIA), 5 U.S.C. § 552, et seq. I am seeking the following records:

- The complete Alien file, or "A-file," for Melania Trump (née Melanija Knavs), born April 26, 1970.

For your information and reference in filling this request, Ms. Trump is a public figure in her capacity as a model/fashion designer and the wife of businessman and presidential candidate Donald J. Trump. Her place of birth is Yugoslavia.

For purposes of determining my status with respect to any fees that may be applicable to this request, please be advised that I am employed full-time as reporter based in McLean, Virginia for USA TODAY and its network

of more than 90 partner daily newspapers owned and operated by Gannett Co. Inc., collectively known as the USA TODAY Network, and that the purpose of this request is to gather information of potential interest to a segment of the public and use my editorial abilities to turn the raw materials into a distinct work with the intent to distribute that work to an audience of newspaper readers throughout the United States. Links to my most recently published material may be found here: <http://www.usatoday.com/staff/30847/steve-reilly/>. I hereby certify that the above is true and accurate to the best of my knowledge and ability.

Where possible, please furnish the requested records in an electronic format pursuant to 5 U.S.C. § 552(a)(3)(B)-(C).

Because this is a request by a member of the news media for information of significant public interest, I ask that you waive any search fees in accordance with §552(a)(4)(A)(ii)(II). If there is a cost associated with granting access to the requested records, please notify me before filling this request. I may be reached by phone at (610) 547-0001, or by electronic mail at sreilly@usatoday.com.

If for any reason any portion of this request is denied, please provide written notice of the specific records or portions of records that were withheld, and the specific statutory basis for the withholding. Please also provide the name and address of the officer or body to which my appeal may be directed.

In addition, I draw your attention to President Obama's January 21, 2009 Memorandum for the Heads of Executive Departments and Agencies, directing federal agencies to adopt a presumption in favor of disclosure and stating that government information should not be kept confidential "merely because public officials might be embarrassed by disclosure, because errors and failures might be revealed, or because of speculative or abstract fears."

As you know, the Act, in § 552(a)(6), grants an agency no more than twenty working days in which to respond to this request. See *Oglesby v. U.S. Dep't of Army*, 920 F.2d 57, 65 (D.C. Cir. 1990) ("Congress adopted the time limit provision in the FOIA in order to 'contribute to the fuller and faster release of information, which is the basic objective of the Act.'" (quoting H.R. Rep. No. 93-876, March 5, 1974., reprinted (1974) U.S. Code Cong. & Ad. News 6267 at 6271)).

I thank you sincerely for your prompt attention to this request and look forward to your timely reply. Please do not hesitate to contact me at (610) 547-0001 or by email if you have any questions or would like to discuss this request.

Steve Reilly

Steve Reilly

Investigative Reporter and Data Specialist
USA TODAY Network National News Desk
O: 703.854.3104 | C: 610.547.0001
sreilly@usatoday.com | [@BySteveReilly](#)
7950 Jones Branch Drive, McLean, VA 22108

From: Micone, Vincent
To: USCIS Presidential Transition
Cc: Renaud, Tracy L; Stewart, Bion
Subject: RE: FOIA Request from DNC
Date: Saturday, August 06, 2016 5:42:06 PM

Appreciate the update

Thanks,
Vince

Vince Micone
DHS Presidential Transition Officer
and Senior Counselor
Management Directorate
U.S. Department of Homeland Security
(202) 447-3400

From: USCIS Presidential Transition
Sent: Friday, August 05, 2016 10:04:21 PM
To: Micone, Vincent
Cc: Renaud, Tracy L; Stewart, Bion
Subject: RE: FOIA Request from DNC

Vince,

USCIS has received three additional FOIA requests related to the candidates (one about Trump, one about both candidates, and one about Trump's wife). They are attached.

Julie Farnam
Special Assistant
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
(c) 202-489-8802

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From: Micone, Vincent

Sent: Tuesday, August 02, 2016 12:38 PM
To: Renaud, Tracy L; Stewart, Bion
Cc: Farnam, Julie E; USCIS Presidential Transition
Subject: RE: FOIA Request from DNC

Thanks -
Vince

Vince Micone
DHS Presidential Transition Officer
and Senior Counselor
Management Directorate
U.S. Department of Homeland Security
(202) 447-3400

From: Renaud, Tracy L
Sent: Tuesday, August 02, 2016 11:27 AM
To: Micone, Vincent <Vincent.Micone@HQ.DHS.GOV>; Stewart, Bion <bion.stewart@hq.dhs.gov>
Cc: Farnam, Julie E <Julie.E.Farnam@uscis.dhs.gov>; USCIS Presidential Transition <uscispresidentialtransition@uscis.dhs.gov>
Subject: FOIA Request from DNC

Vince and Bion,

I just want to alert you that last week USCIS received a FOIA request from the DNC asking for information related to a number of Trump enterprises (FOIA is attached). Our FOIA requests are processed first-in/first-out so under normal processes it could take as much as 3 months for us to get to this request using or normal processes. I thought it odd that they are reaching through FOIA rather than through the transition team so I wanted to bring it to your attention right away. If you have any questions let me know.

Tracy L. Renaud
Associate Director
Management Directorate
US Citizenship & Immigration Services
Department of Homeland Security
202-272-1739 (desk)

From: [USCIS Presidential Transition](#)
To: [Micone, Vincent](#)
Cc: [Renaud, Tracy L](#); [Stewart, Bion](#)
Subject: RE: FOIA Request from DNC
Date: Friday, August 05, 2016 10:04:23 PM
Attachments: [FW FOIA request USCIS.msg](#)
[FW CNN FOIA request \(RESENDING\) - Visa Applications.msg](#)
[FW Presidential Candidate FOIA Request.msg](#)

Vince,

USCIS has received three additional FOIA requests related to the candidates (one about Trump, one about both candidates, and one about Trump's wife). They are attached.

Julie Farnam
Special Assistant
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
(c) 202-489-8802

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From: Micone, Vincent
Sent: Tuesday, August 02, 2016 12:38 PM
To: Renaud, Tracy L; Stewart, Bion
Cc: Farnam, Julie E; USCIS Presidential Transition
Subject: RE: FOIA Request from DNC

Thanks -
Vince

Vince Micone
DHS Presidential Transition Officer
and Senior Counselor
Management Directorate
U.S. Department of Homeland Security
(202) 447-3400

From: Renaud, Tracy L
Sent: Tuesday, August 02, 2016 11:27 AM
To: Micone, Vincent <Vincent.Micone@HQ.DHS.GOV>; Stewart, Bion <bion.stewart@hq.dhs.gov>
Cc: Farnam, Julie E <Julie.E.Farnam@uscis.dhs.gov>; USCIS Presidential Transition

<uscispresidentialtransition@uscis.dhs.gov>

Subject: FOIA Request from DNC

Vince and Bion,

I just want to alert you that last week USCIS received a FOIA request from the DNC asking for information related to a number of Trump enterprises (FOIA is attached). Our FOIA requests are processed first-in/first-out so under normal processes it could take as much as 3 months for us to get to this request using our normal processes. I thought it odd that they are reaching through FOIA rather than through the transition team so I wanted to bring it to your attention right away. If you have any questions let me know.

*Tracy L. Renaud
Associate Director
Management Directorate
US Citizenship & Immigration Services
Department of Homeland Security
202-272-1739 (desk)*

Jaynes, Thomas A (Allen)

From: Panter, Jarrod T
Sent: Thursday, August 04, 2016 8:17 AM
To: USCIS Presidential Transition; Meckley, Tammy M
Cc: Sloan, Terry G; Knepper, Tom M; Cole, Ethan R; Eggleston, Jill A; Welsh, Brian J
Subject: FW: FOIA request/USCIS
Attachments: 8.1.16 request DHS USCIS .docx

Sorry all. I routed this to the incorrect Presidential Transition Mailbox. Please see attached.

Thank you,

Jarrold

From: Panter, Jarrod T
Sent: Wednesday, August 03, 2016 12:45 PM
To: Presidential Transition Mailbox; Meckley, Tammy M
Cc: Sloan, Terry G; Knepper, Tom M; Cole, Ethan R; 'Eggleston, Jill A'; Welsh, Brian J
Subject: FW: FOIA request/USCIS

Good afternoon,

Please see the attached FOIA request pertaining to the presidential candidates.

Thank you

From: NRC, FOIASIG
Sent: Wednesday, August 03, 2016 11:42 AM
To: Panter, Jarrod T
Subject: FW: FOIA request/USCIS

Request for presidential candidates emails

From: FOIA, USCIS
Sent: Monday, August 01, 2016 1:57 PM
To: NRC, FOIASIG
Subject: FW: FOIA request/USCIS

From: Allan Blutstein [<mailto:ablutstein@americarisingllc.com>]
Sent: Monday, August 01, 2016 1:56 PM
To: FOIA, USCIS
Subject: FOIA request/USCIS

Attached please find a request for copies of certain emails that may have been sent or received by the agency's director.

Thank you.

Best,

Allan Blutstein
1555 Wilson Blvd., Ste. 307
Arlington, VA 22209
(703) 672-3776

AMERICA RISING LLC

1555 Wilson Boulevard, Suite 307, Arlington, VA 22209

August 1, 2016

VIA EMAIL: uscis.foia@uscis.dhs.gov

U.S. Citizenship and Immigration Services
National Records Center
FOIA/PA Office
P.O. Box 648010
Lee's Summit, MO 64064-8010

To whom it may concern:

This is a request pursuant to the Freedom of Information Act for access to all emails sent by or to Director Leon Rodriguez from July 18, 2016, through July 28, 2016, that mention Donald Trump or Hillary Clinton. Please note, however, that this request does not seek any emails received directly from a listserv -- for example, news clippings.

For fee purposes, America Rising should be considered an "all other" requester pursuant to 5 U.S.C. § 552(a)(4)(A)(ii)(III). America Rising is not making this request on behalf of any client, nor does it intend to use the records for financial gain. Rather, America Rising intends to inform the public about the existence and content of any disclosed records. See, e.g., ARCHIVE, www.americarisingarchive.com (America Rising's document repository).

America Rising agrees to pay up to \$25.00 in applicable fees. If fees will exceed \$25.00, please contact me before processing the request further. To reduce the burden of production, America Rising is willing to accept documents in electronic format and/or doubled-sided copies.

Thank you in advance for your time and assistance.

Sincerely,

/s/

Allan Blutstein

Vice President, FOIA Operations

Tel.: (703) 672-3776

Email: ablutstein@americarisingllc.com

Jaynes, Thomas A (Allen)

From: Panter, Jarrod T
Sent: Thursday, August 04, 2016 2:18 PM
To: USCIS Presidential Transition; Meckley, Tammy M
Cc: Sloan, Terry G; Knepper, Tom M; Cole, Ethan R; Eggleston, Jill A; Welsh, Brian J
Subject: FW: CNN FOIA request (RESENDING) - Visa Applications

Good afternoon,

We received a FOIA request today pertaining to Donald Trump's spouse. Please see below.

Jarrold Panter, CIPP/G
Supervisor, (FOIA/PA) Significant Interest Group
National Records Center
United States Citizenship and Immigration Service
Jarrod.t.panter@uscis.dhs.gov
Office: 816-350-5514
Mobile: 816-605-3857

From: NRC, FOIASIG
Sent: Thursday, August 04, 2016 2:07 PM
To: Panter, Jarrod T
Subject: FW: CNN FOIA request (RESENDING) - Visa Applications

Presidential candidate request

From: FOIA, USCIS
Sent: Thursday, August 04, 2016 12:20 PM
To: NRC, FOIASIG
Subject: FW: CNN FOIA request (RESENDING) - Visa Applications

From: Ellis, Blake [<mailto:Blake.Ellis@turner.com>]
Sent: Thursday, August 04, 2016 12:18 PM
To: FOIA, USCIS
Cc: Hicken, Melanie
Subject: CNN FOIA request (RESENDING) - Visa Applications

Hi there,

I am an investigative journalist at CNN, and this is a request under the Freedom of Information Act.

I request that a copy of the following documents (or documents containing the following information) be provided to me: All visa applications or other visa documents (i.e. LCAs) -- or any public information contained in these documents -- filed by Trump Model Management between 1990 and 2000.

In addition, I would like to request any publicly available documents or information about visas filed by Melania Trump (or Melania Knauss).

If possible, I would like to receive this information in electronic format. But if that is not possible, information can be mailed to:

Blake Ellis
19 S. Harrison St.
Denver, CO 80209

I request a waiver of all fees for this request, because disclosure of the requested information to me is in the public interest.

Thank you for your consideration of this request.

Sincerely,
Blake Ellis
646-430-2916
Blake.ellis@cnn.com

Blake Ellis
Senior Writer
Investigations
CNNMoney
@blakeellis3

From: USCIS Presidential Transition
To: Renaud, Tracy L
Subject: RE: FOIA Request from DNC
Date: Friday, August 05, 2016 10:01:16 PM

Okay, I will forward them. Thanks.

From: Renaud, Tracy L
Sent: Friday, August 05, 2016 9:48 PM
To: USCIS Presidential Transition
Subject: RE: FOIA Request from DNC

I think all.

Tracy L. Renaud
Associate Director, Management
U.S. Citizenship and Immigration Services
Department of Homeland Security
202-272-1739 (office)

From: USCIS Presidential Transition
Sent: Friday, August 05, 2016 9:37:47 PM
To: Renaud, Tracy L
Subject: RE: FOIA Request from DNC

Tracy,

Does DHS want to see all the FOIA requests we are getting about the candidates or only the ones from the DNC or RNC? USCIS has received three additional FOIA requests related to the candidates (one about Trump, one about both candidates, and one about Trump's wife). They are attached. If DHS does want to see them all, then I will make sure to forward them.

Julie

From: Micone, Vincent
Sent: Tuesday, August 02, 2016 12:38 PM
To: Renaud, Tracy L; Stewart, Bion
Cc: Farnam, Julie E; USCIS Presidential Transition
Subject: RE: FOIA Request from DNC

Thanks -
Vince

Vince Micone
DHS Presidential Transition Officer
and Senior Counselor
Management Directorate

U.S. Department of Homeland Security
(202) 447-3400

From: Renaud, Tracy L
Sent: Tuesday, August 02, 2016 11:27 AM
To: Micone, Vincent <Vincent.Micone@HQ.DHS.GOV>; Stewart, Bion <bion.stewart@hq.dhs.gov>
Cc: Farnam, Julie E <Julie.E.Farnam@uscis.dhs.gov>; USCIS Presidential Transition <uscispresidentialtransition@uscis.dhs.gov>
Subject: FOIA Request from DNC

Vince and Bion,

I just want to alert you that last week USCIS received a FOIA request from the DNC asking for information related to a number of Trump enterprises (FOIA is attached). Our FOIA requests are processed first-in/first-out so under normal processes it could take as much as 3 months for us to get to this request using or normal processes. I thought it odd that they are reaching through FOIA rather than through the transition team so I wanted to bring it to your attention right away. If you have any questions let me know.

*Tracy L. Renaud
Associate Director
Management Directorate
US Citizenship & Immigration Services
Department of Homeland Security
202-272-1739 (desk)*

From: Micone, Vincent
To: Renaud, Tracy L; Stewart, Bion
Cc: Farnam, Julie E; USCIS Presidential Transition
Subject: RE: FOIA Request from DNC
Date: Tuesday, August 02, 2016 12:45:37 PM

Thanks – Please keep them coming.
Vince

Vince Micone
DHS Presidential Transition Officer
and Senior Counselor
Management Directorate
U.S. Department of Homeland Security
(202) 447-3400

From: Renaud, Tracy L
Sent: Tuesday, August 02, 2016 12:41 PM
To: Micone, Vincent <Vincent.Micone@HQ.DHS.GOV>; Stewart, Bion <bion.stewart@hq.dhs.gov>
Cc: Farnam, Julie E <Julie.E.Farnam@uscis.dhs.gov>; USCIS Presidential Transition <uscispresidentialtransition@uscis.dhs.gov>
Subject: RE: FOIA Request from DNC

Apparently we are seeing other FOIA requests as well, at least one from CNN requesting info on Trump filings. Do you want to be made aware of these when they come to us? I don't want to overload you with info but also don't want you to be surprised if info we released is used publically either in a media report or a campaign speech.

*Tracy L. Renaud
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Management Directorate
US Citizenship & Immigration Services
Department of Homeland Security
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Subject: RE: FOIA Request from DNC

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and Senior Counselor

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U.S. Department of Homeland Security
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Management Directorate
US Citizenship & Immigration Services
Department of Homeland Security
202-272-1739 (desk)*

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To: USCIS Presidential Transition
Subject: RE: FOIA Request from DNC
Date: Friday, August 05, 2016 9:48:18 PM

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Tracy L. Renaud
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Cc: Farnam, Julie E; USCIS Presidential Transition
Subject: RE: FOIA Request from DNC

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Vince

Vince Micone
DHS Presidential Transition Officer
and Senior Counselor
Management Directorate
U.S. Department of Homeland Security
(202) 447-3400

From: Renaud, Tracy L
Sent: Tuesday, August 02, 2016 11:27 AM
To: Micone, Vincent <Vincent.Micone@HQ.DHS.GOV>; Stewart, Bion <bion.stewart@hq.dhs.gov>

Cc: Farnam, Julie E <Julie.E.Farnam@uscis.dhs.gov>; USCIS Presidential Transition
<uscispresidentialtransition@uscis.dhs.gov>

Subject: FOIA Request from DNC

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Tracy L. Renaud
Associate Director
Management Directorate
US Citizenship & Immigration Services
Department of Homeland Security
202-272-1739 (desk)

From: [Pietropaoli, Lori A](#)
To: [Renaud, Tracy L](#); [Farnam, Julie E](#)
Cc: [Langlois, Joseph E](#)
Subject: RE: FOIA Requests
Date: Tuesday, August 02, 2016 3:35:44 PM

Will do

Lori Pietropaoli | Acting Deputy Associate Director | USCIS RAIO
Phone: 202-272-0979 | Mobile: 407-267-4407

From: Renaud, Tracy L
Sent: Tuesday, August 02, 2016 3:10 PM
To: Langlois, Joseph E; Pietropaoli, Lori A; Neufeld, Donald W; McCament, James W; Arroyo, Susan K
Cc: Farnam, Julie E
Subject: FOIA Requests

Good afternoon,

If you receive any FOIA requests related to Clinton or Trump, please let me and Julie Farnam know right away because we will need to alert the presidential transition team at DHS. We've already made this same request of FOIA/IRIS, but just to cover all our bases, it would be helpful if you could also let us know. You can continue to work the cases as you normally would, but please also copy us on any response you send to FOIA. If you've already received FOIA requests related to the presidential candidates and you can easily forward that information, that would be helpful as well. Thank you for your assistance.

*Tracy L. Renaud
Associate Director
Management Directorate
US Citizenship & Immigration Services
Department of Homeland Security
202-272-1739 (desk)*

From: Renaud, Tracy L
To: Arroyo, Susan K; Neufeld, Donald W; McCament, James W
Cc: Farnam, Julie E
Subject: RE: FOIA Requests
Date: Tuesday, August 02, 2016 3:55:00 PM
Attachments: Request%20Letter.pdf

Thanks Susan. I got the one attached from OPQ which sounds similar to what you are saying but has a different number on it. Do you have a different one?

*Tracy L. Renaud
Associate Director
Management Directorate
US Citizenship & Immigration Services
Department of Homeland Security
202-272-1739 (desk)*

From: Arroyo, Susan K
Sent: Tuesday, August 02, 2016 3:53 PM
To: Renaud, Tracy L; Langlois, Joseph E; Pietropaoli, Lori A; Neufeld, Donald W; McCament, James W
Cc: Farnam, Julie E
Subject: RE: FOIA Requests

Tracy,

There is one that came in yesterday that was staffed to OPQ – **COW2016000767**. The DNC was requesting information on a long list of Trump companies and H-1/H2- and L-1 filings.

Susan Arroyo
Chief of Staff
Service Center Operations
DHS/USCIS
202-272-1094
202-425-8845 (cell)

From: Renaud, Tracy L
Sent: Tuesday, August 02, 2016 3:10 PM
To: Langlois, Joseph E; Pietropaoli, Lori A; Neufeld, Donald W; McCament, James W; Arroyo, Susan K
Cc: Farnam, Julie E
Subject: FOIA Requests

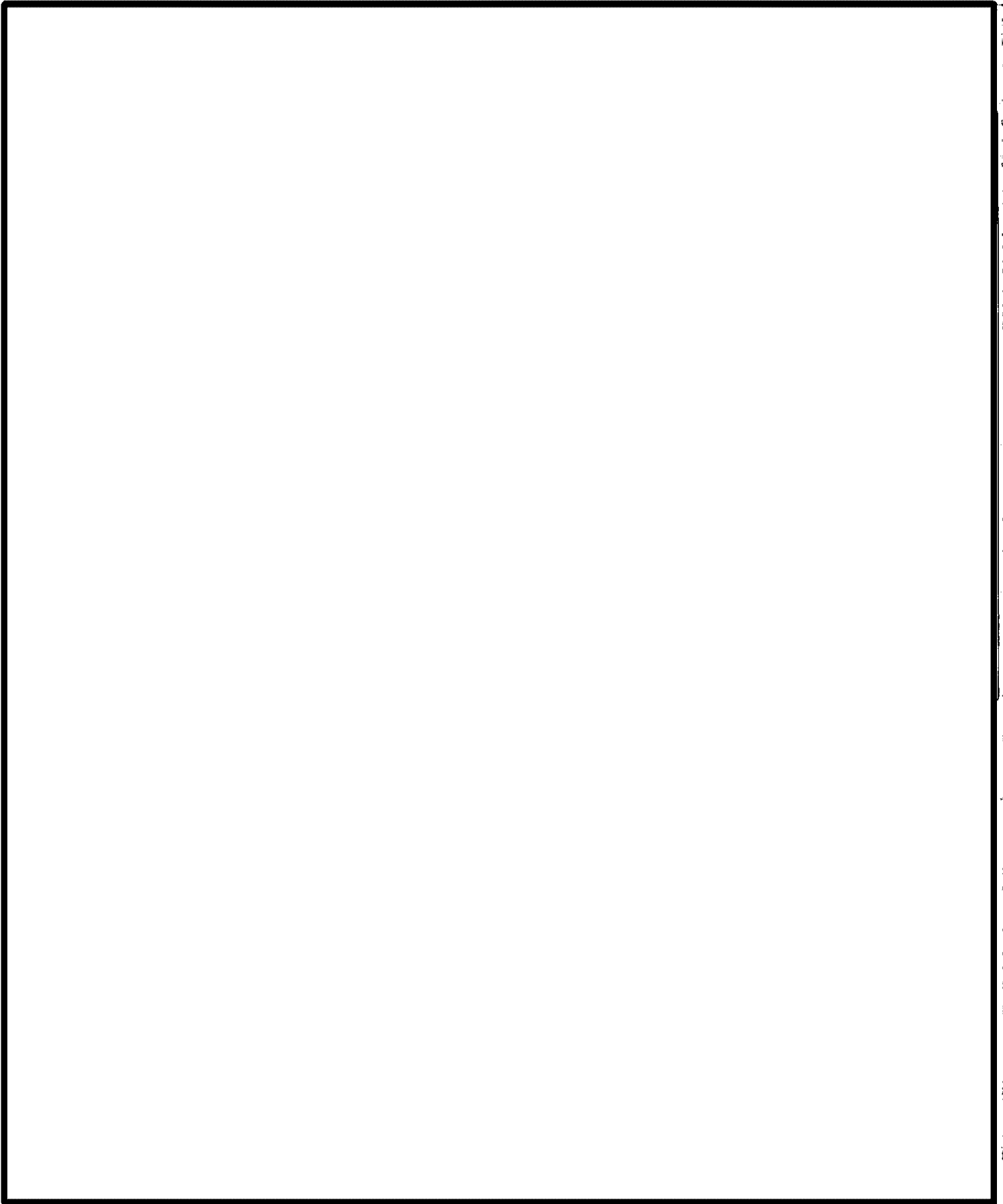
Good afternoon,

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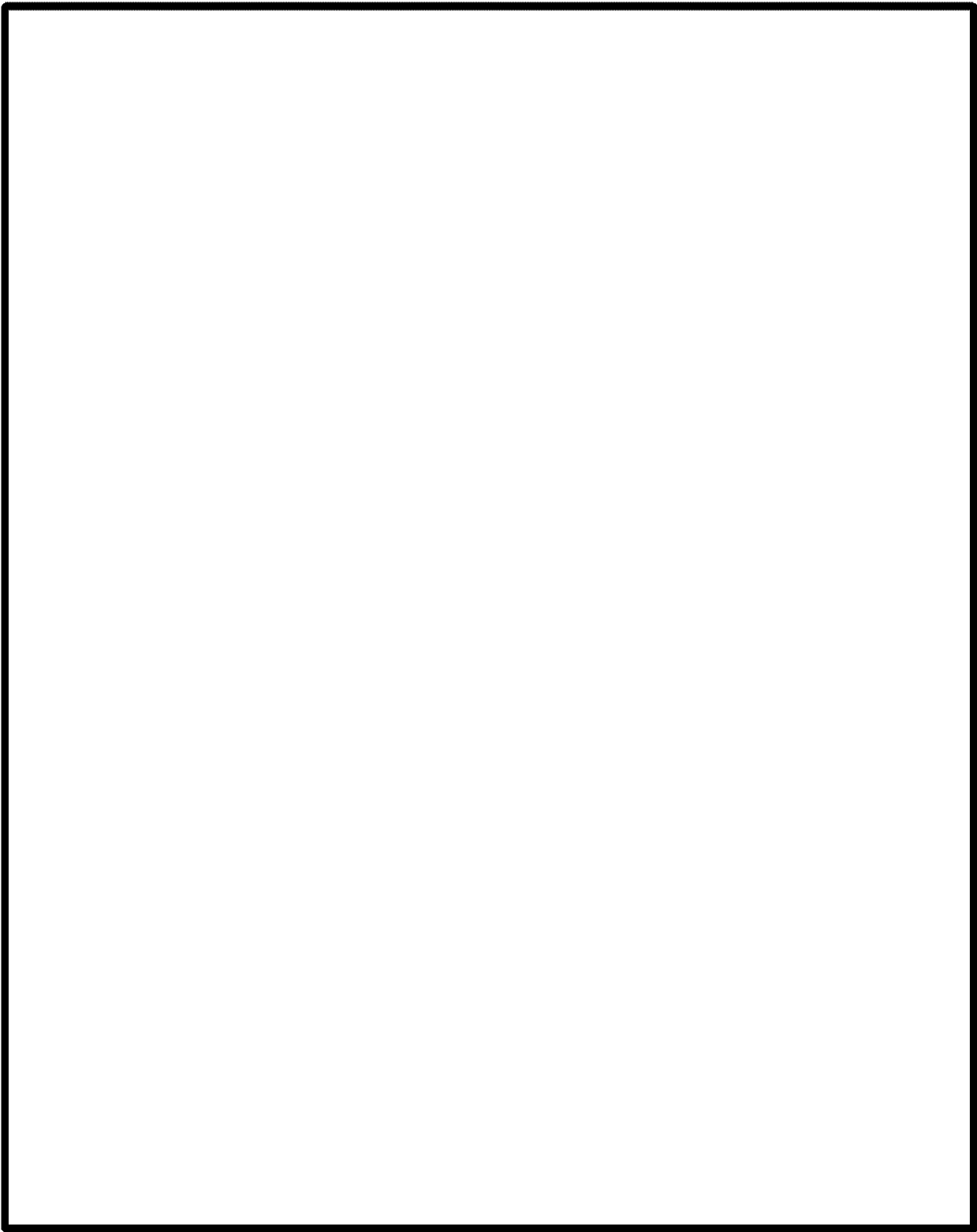
Thank you for your assistance.

*Tracy L. Renaud
Associate Director
Management Directorate
US Citizenship & Immigration Services
Department of Homeland Security
202-272-1739 (desk)*

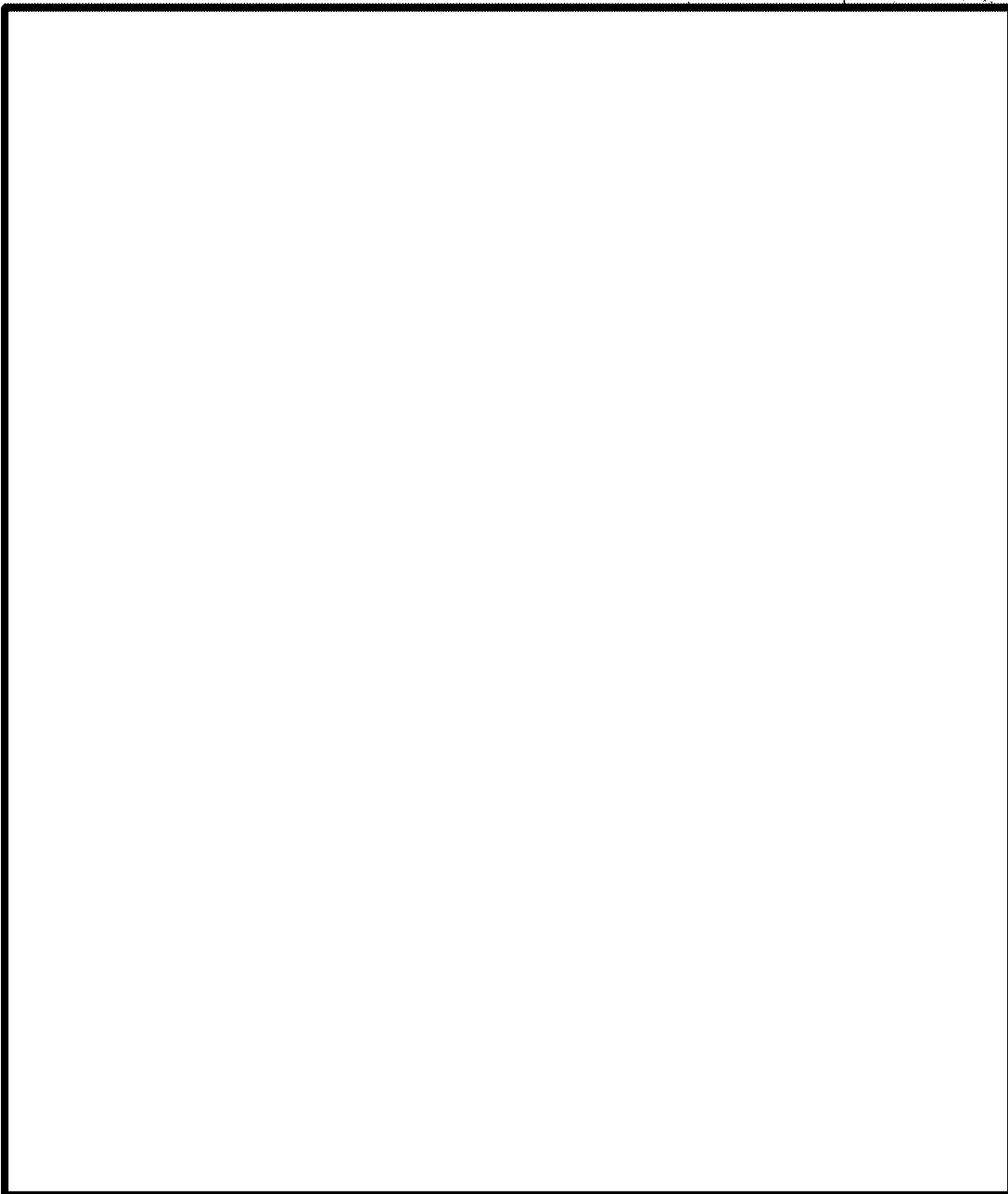
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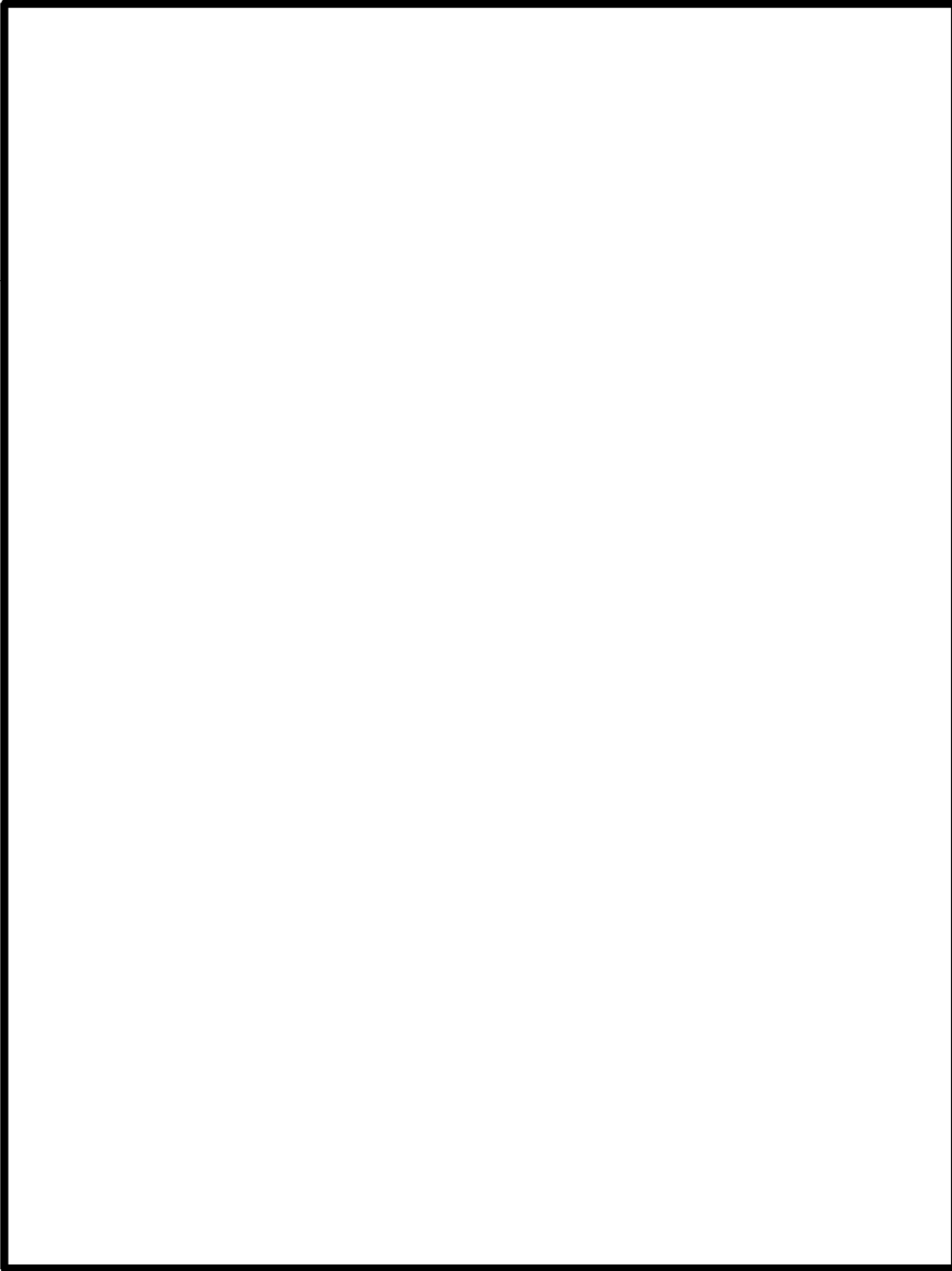
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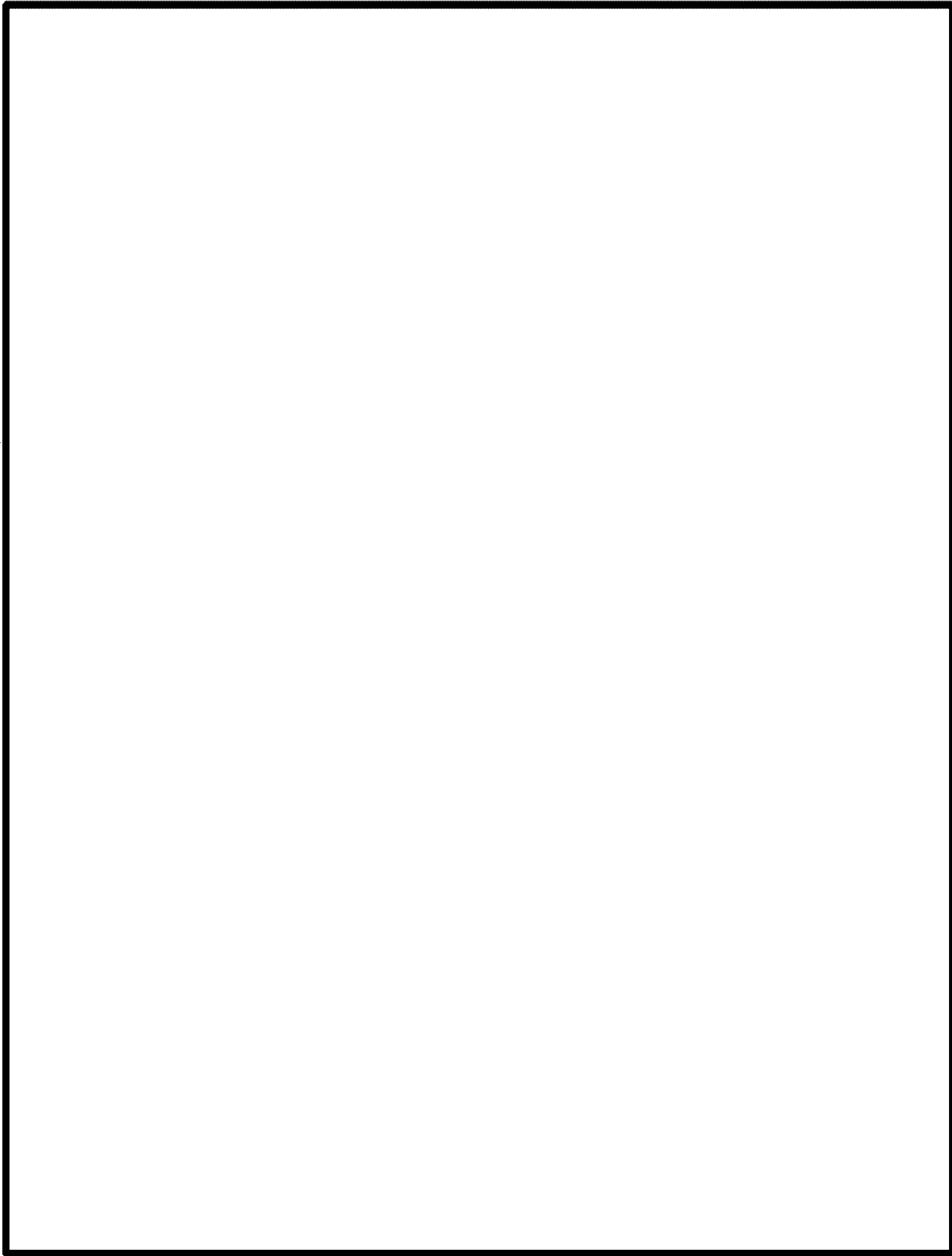


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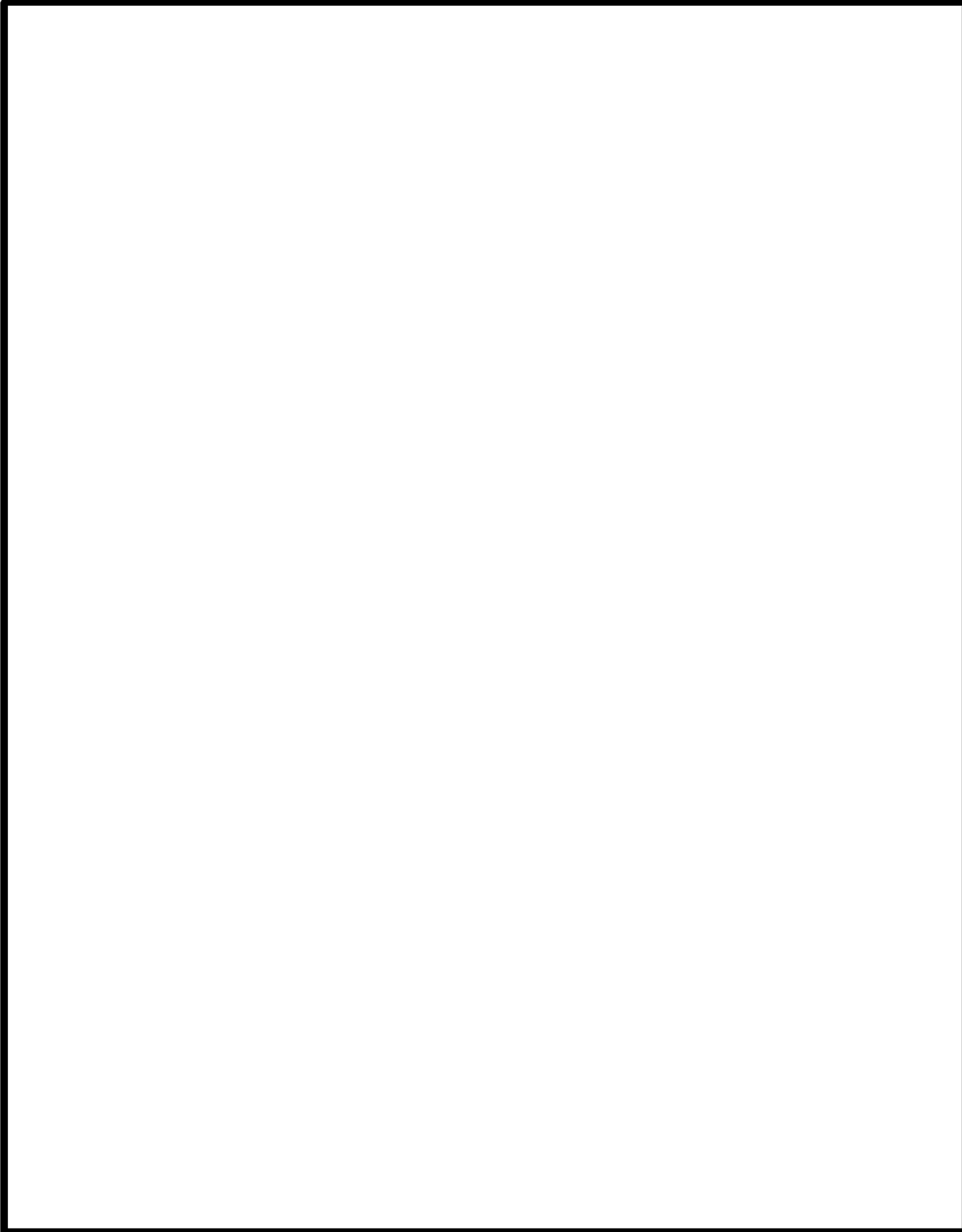


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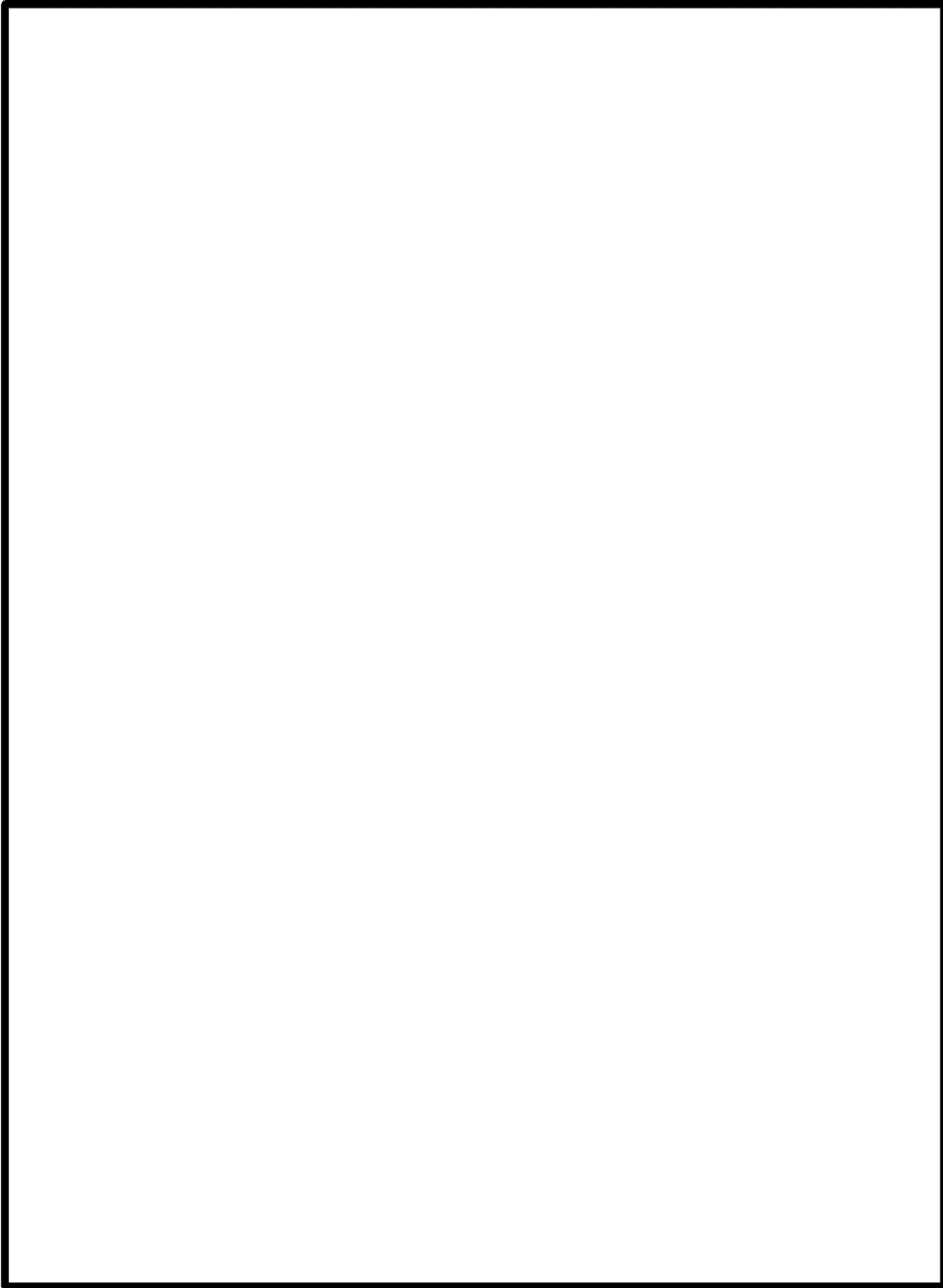
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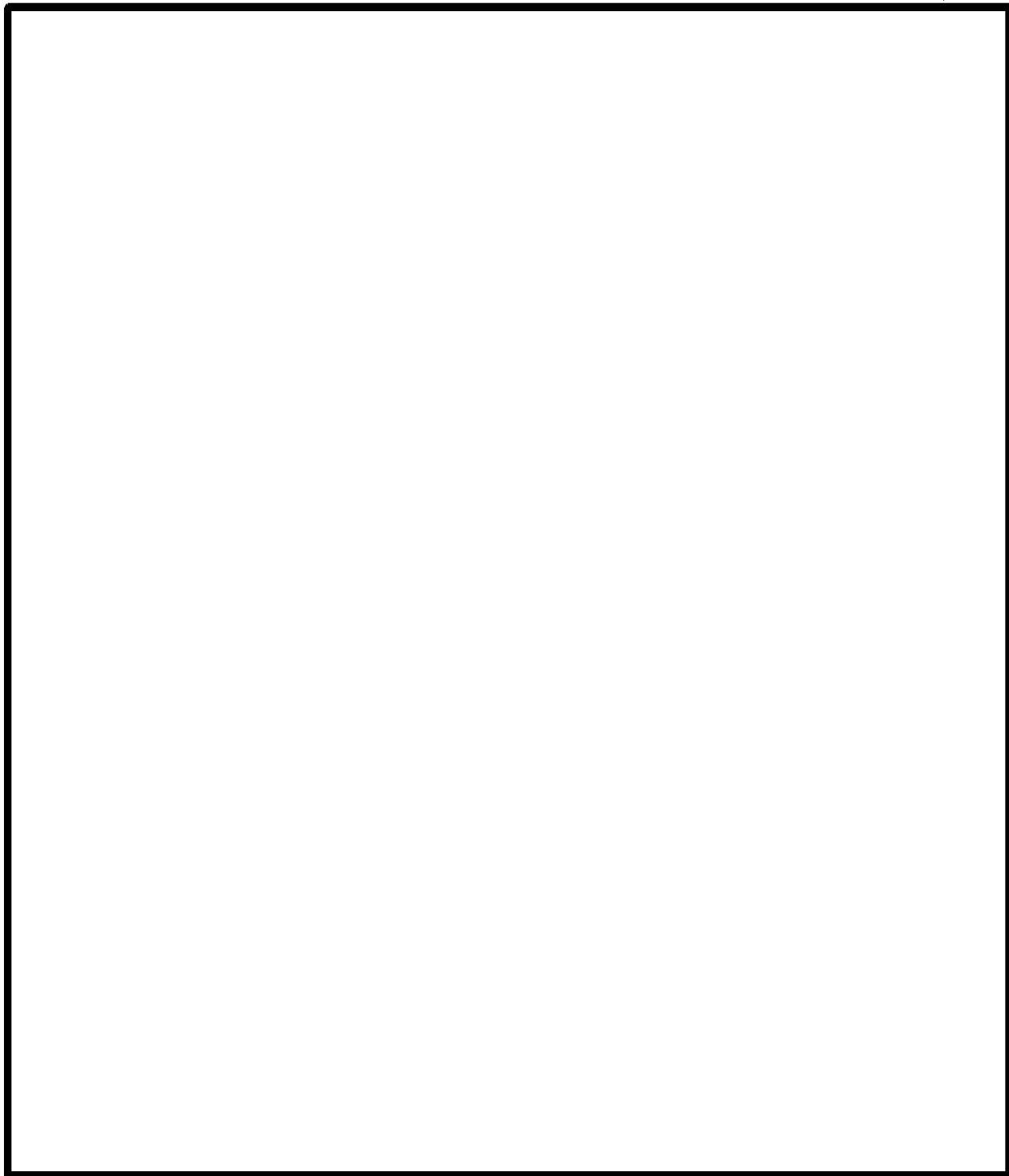
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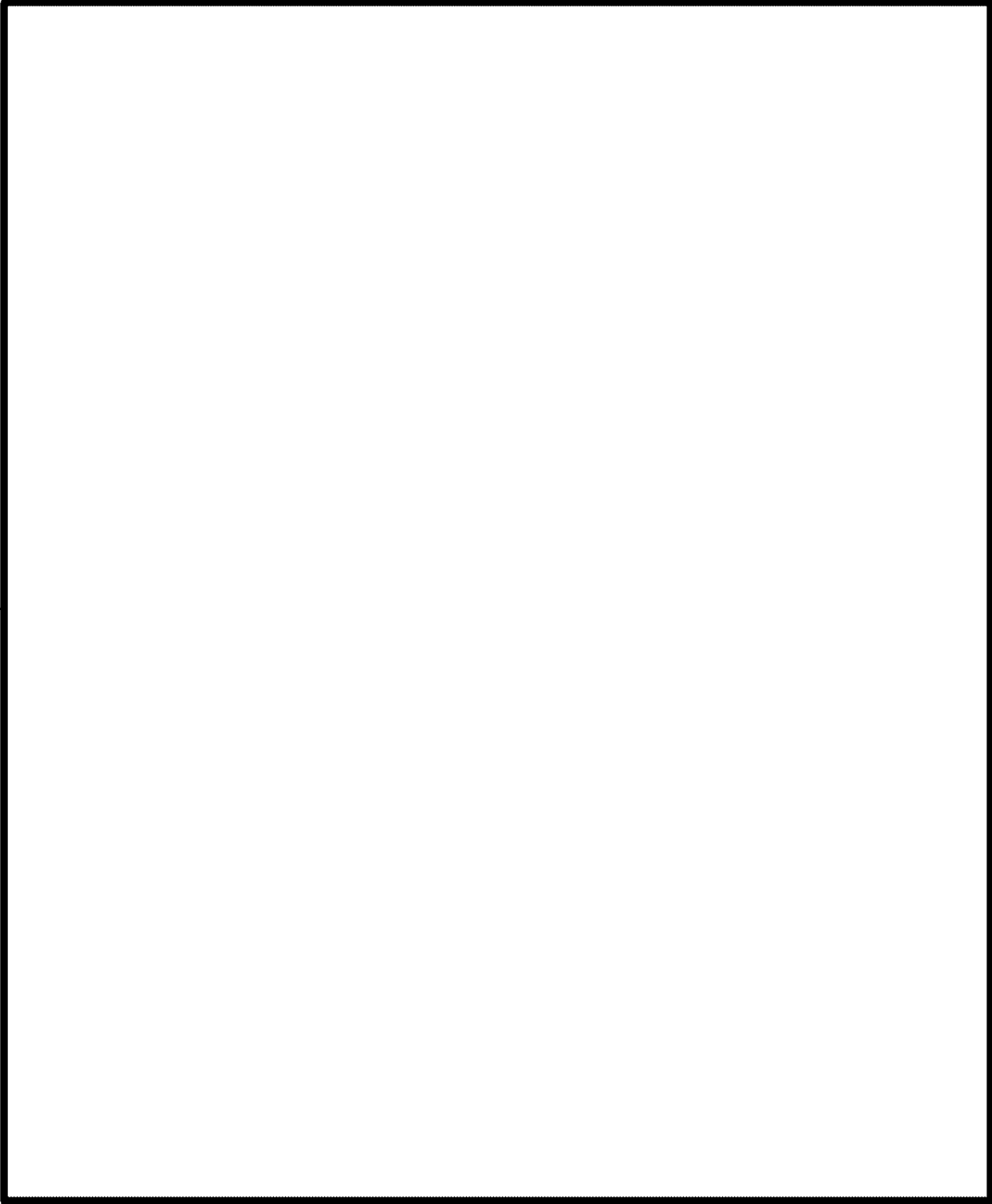
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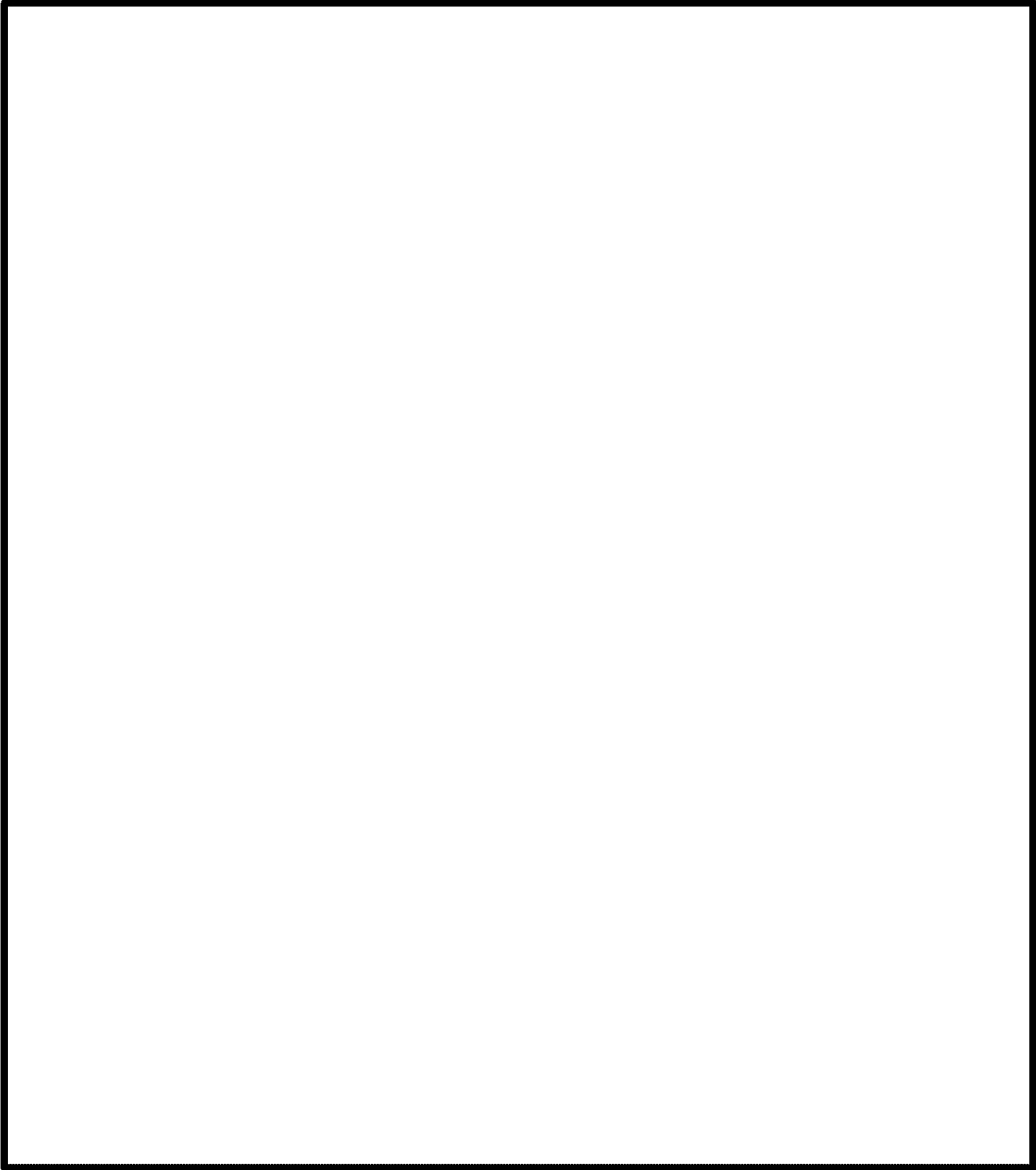
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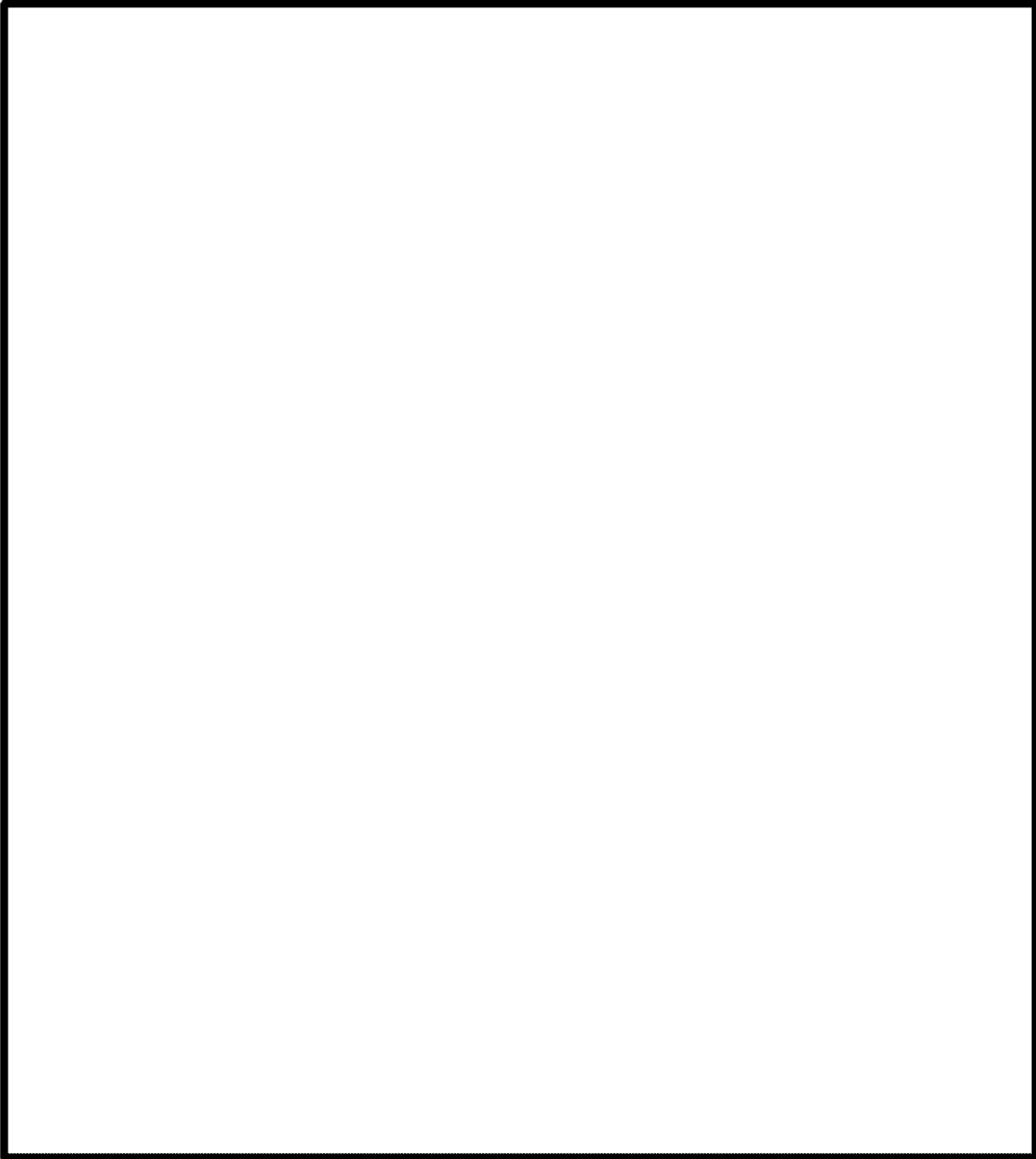
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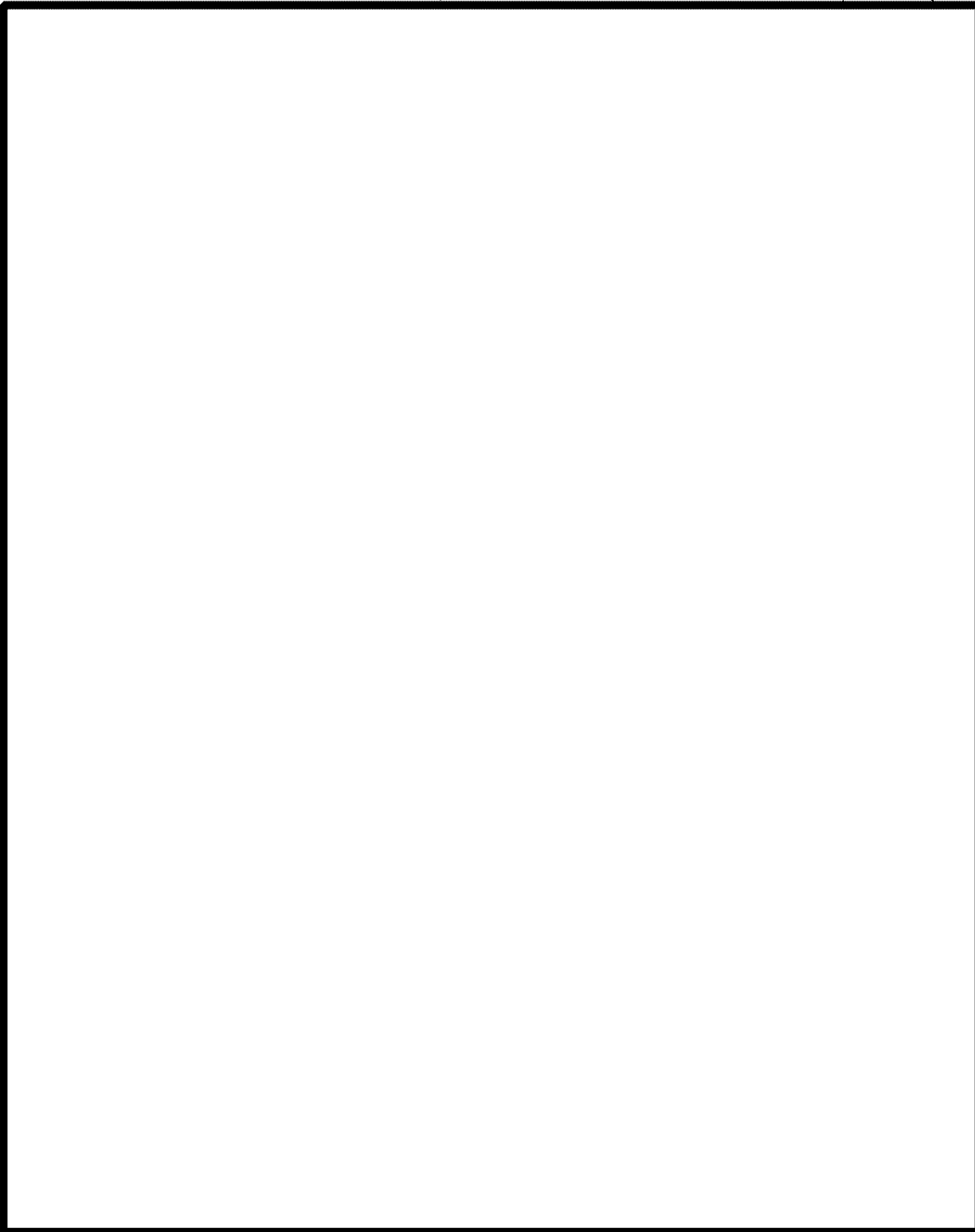
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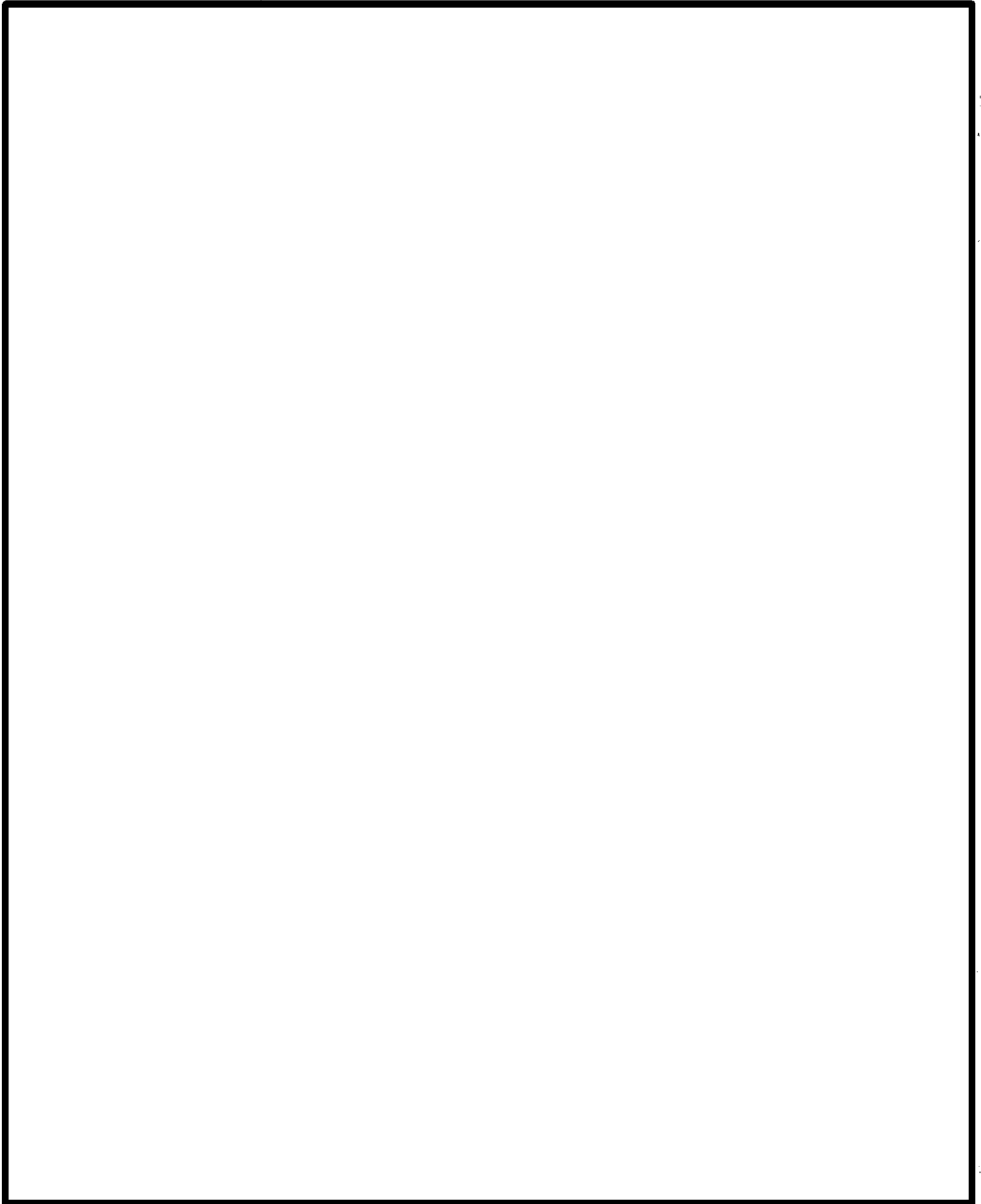
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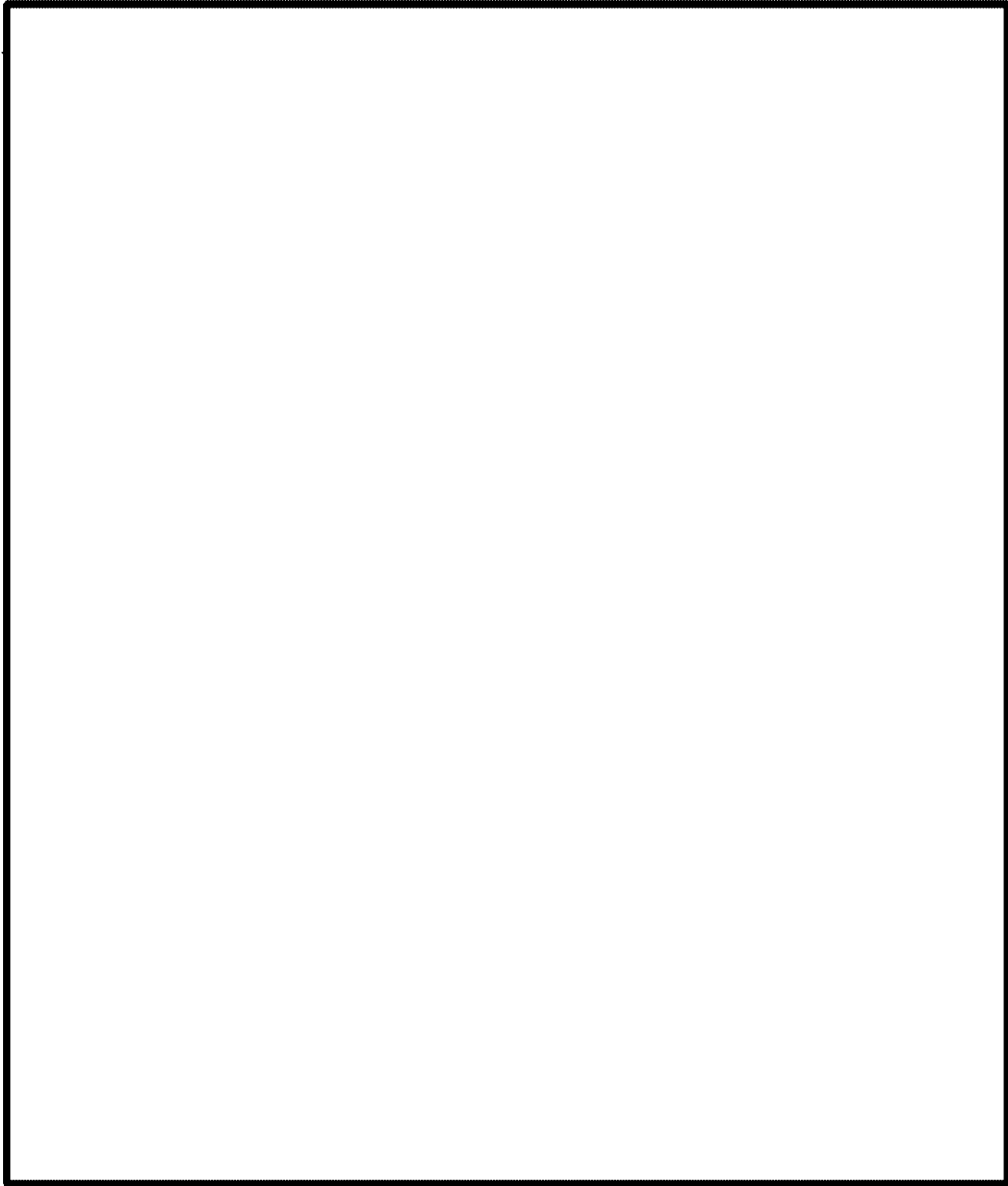
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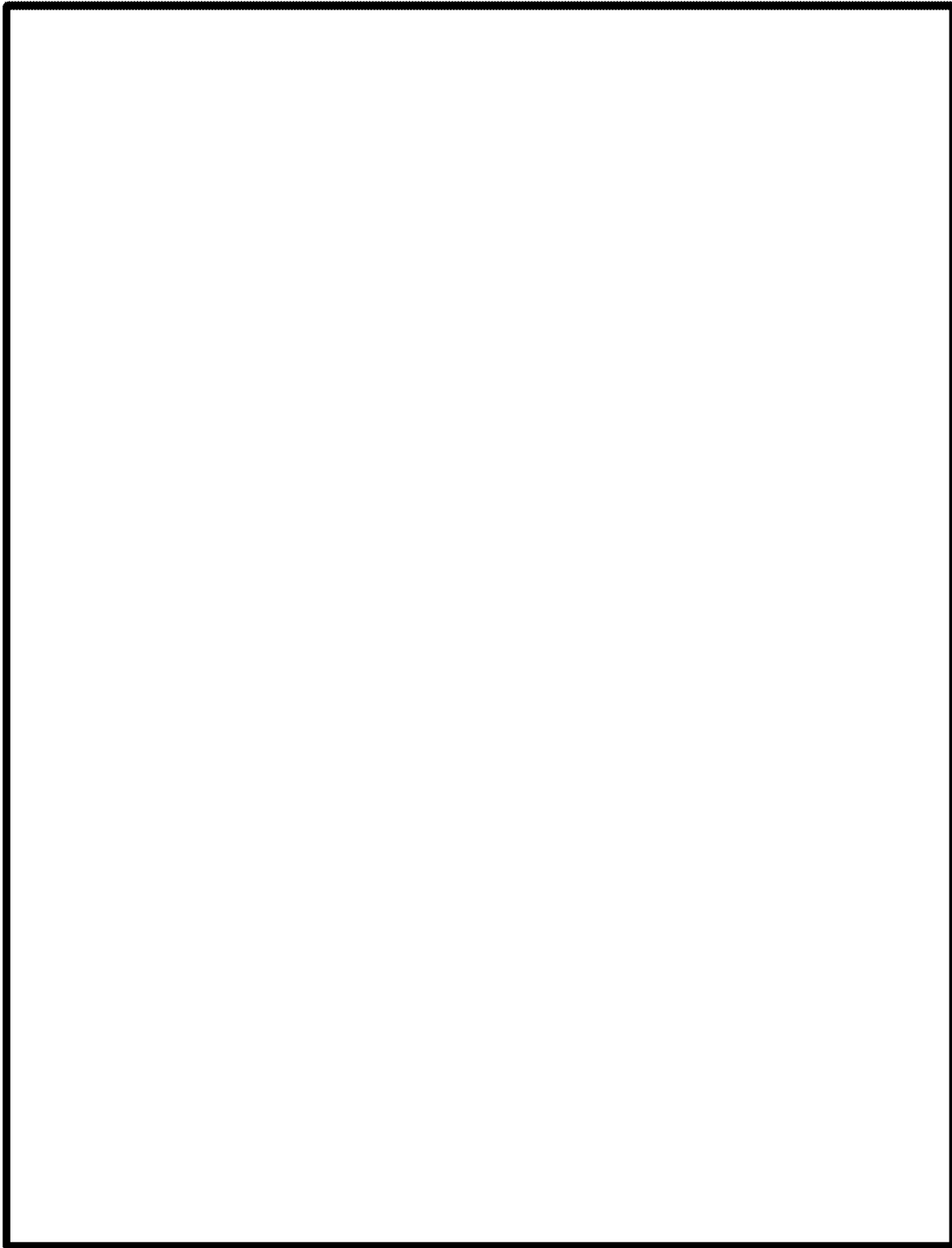
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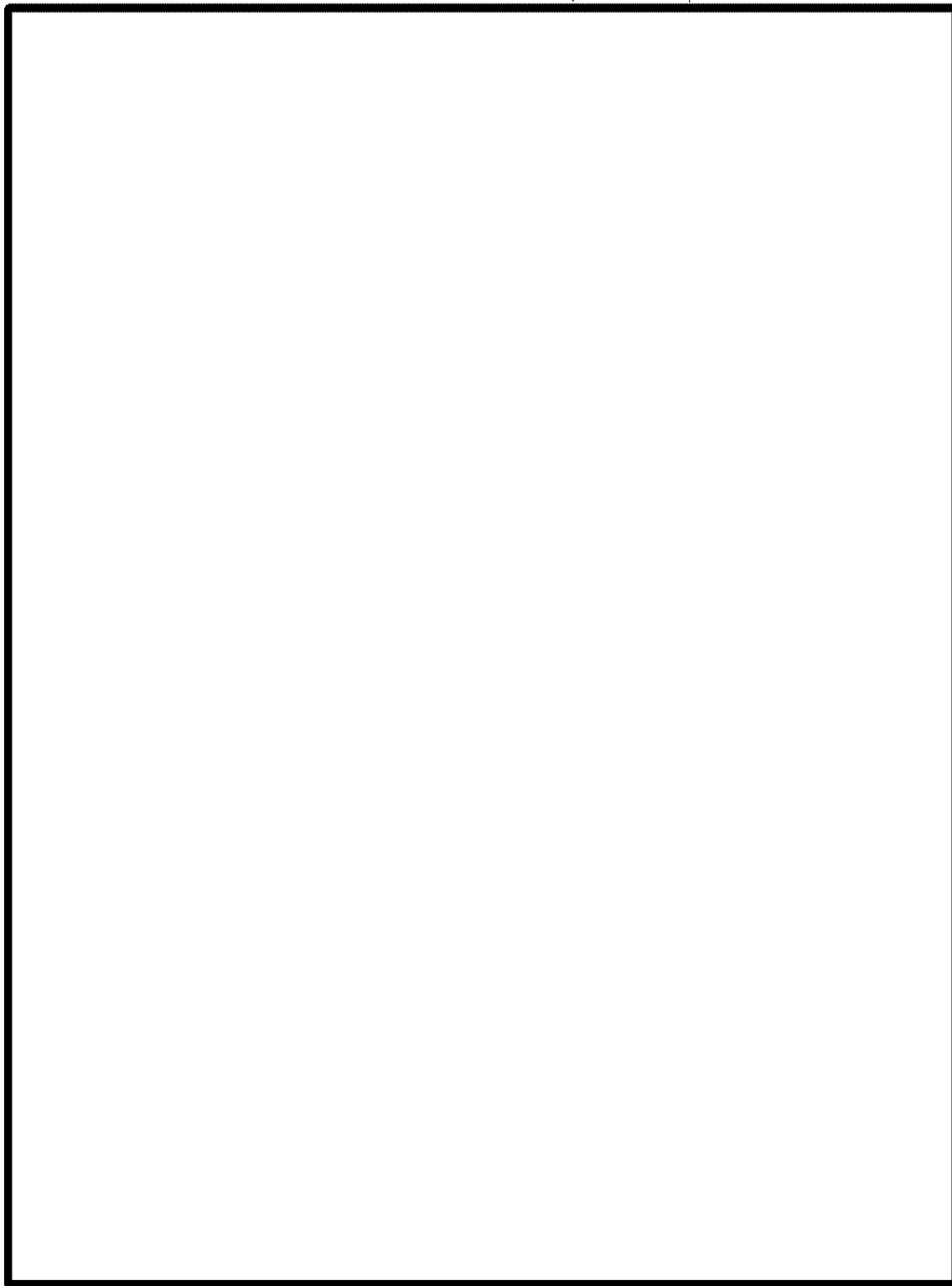
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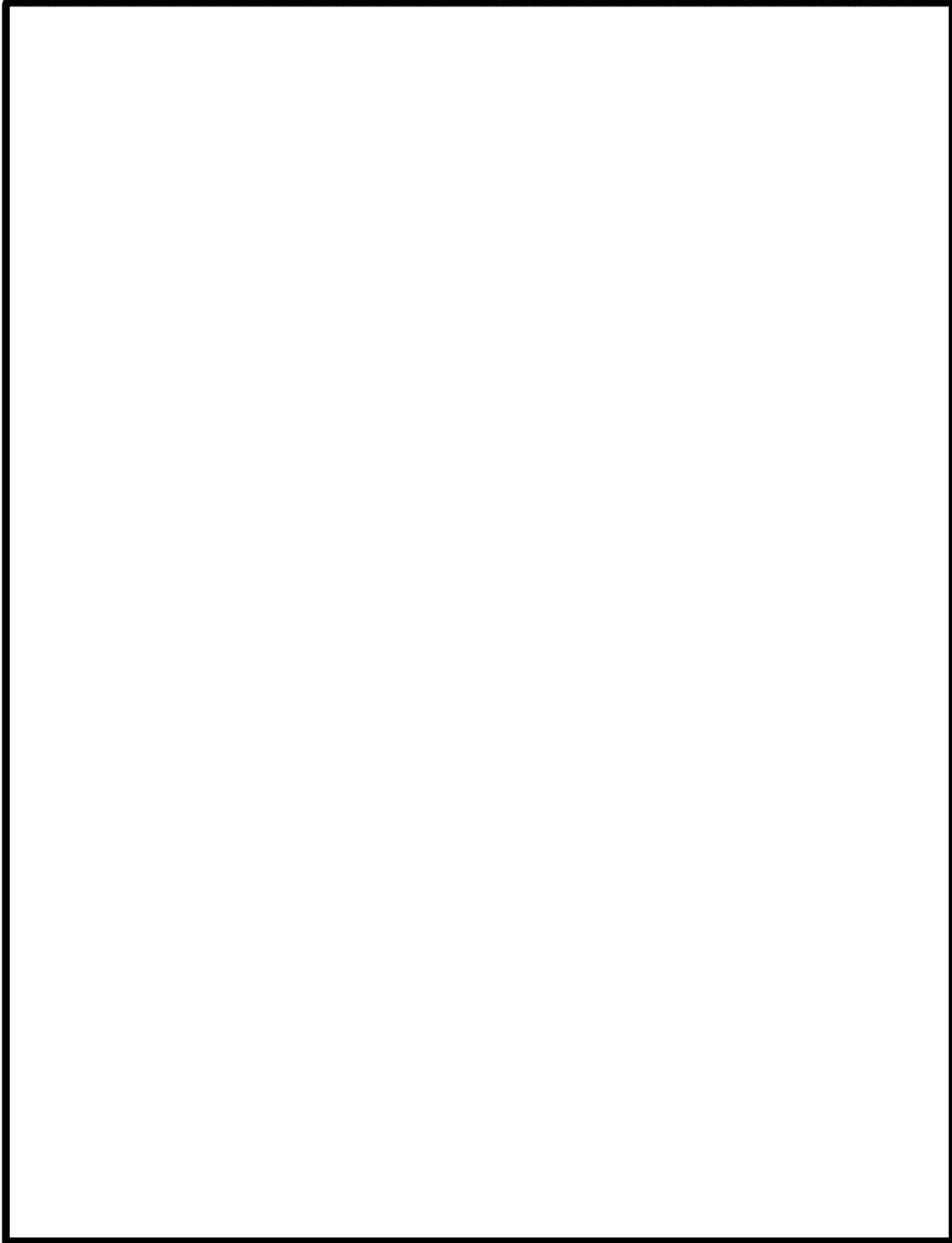
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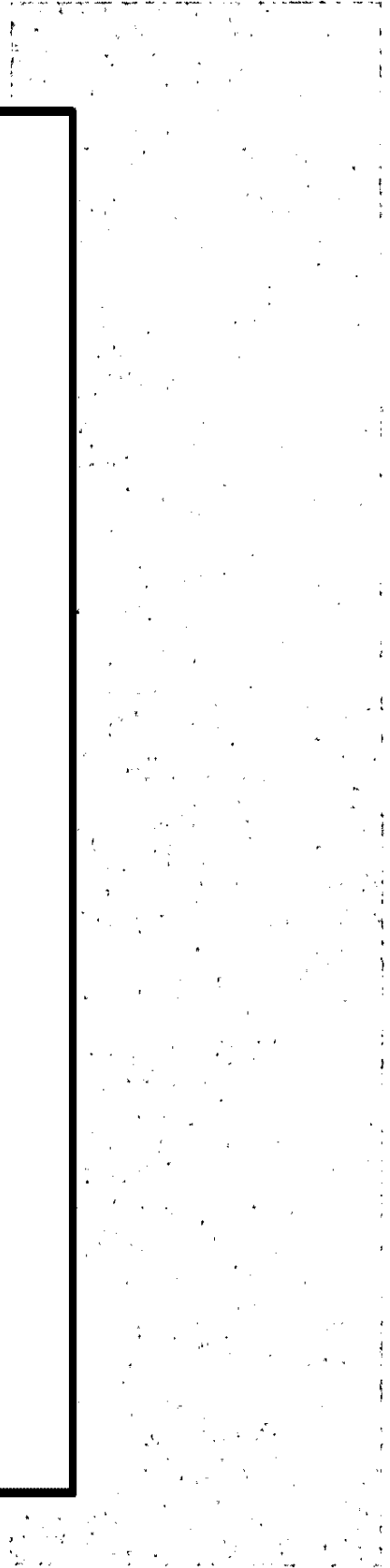
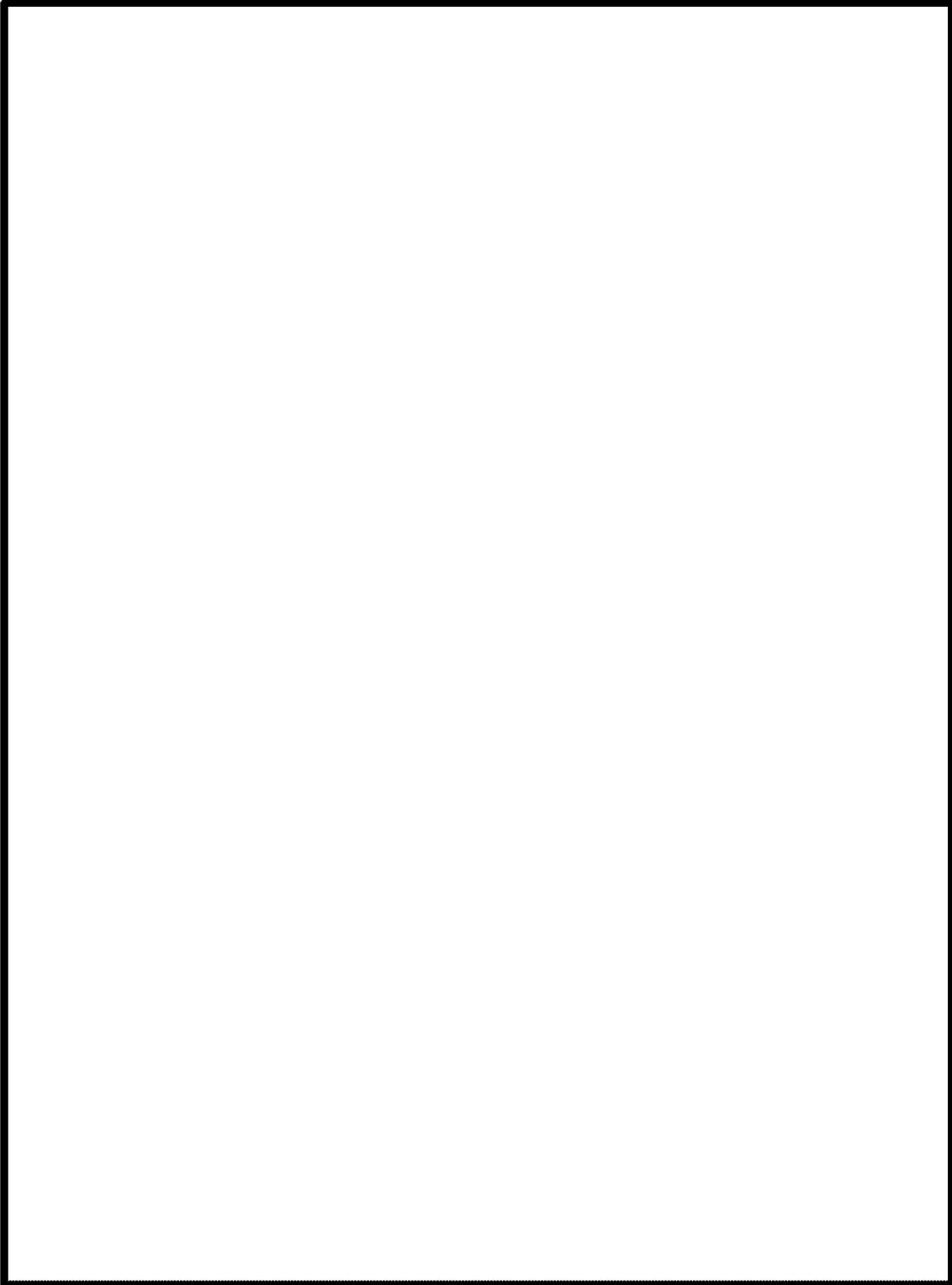
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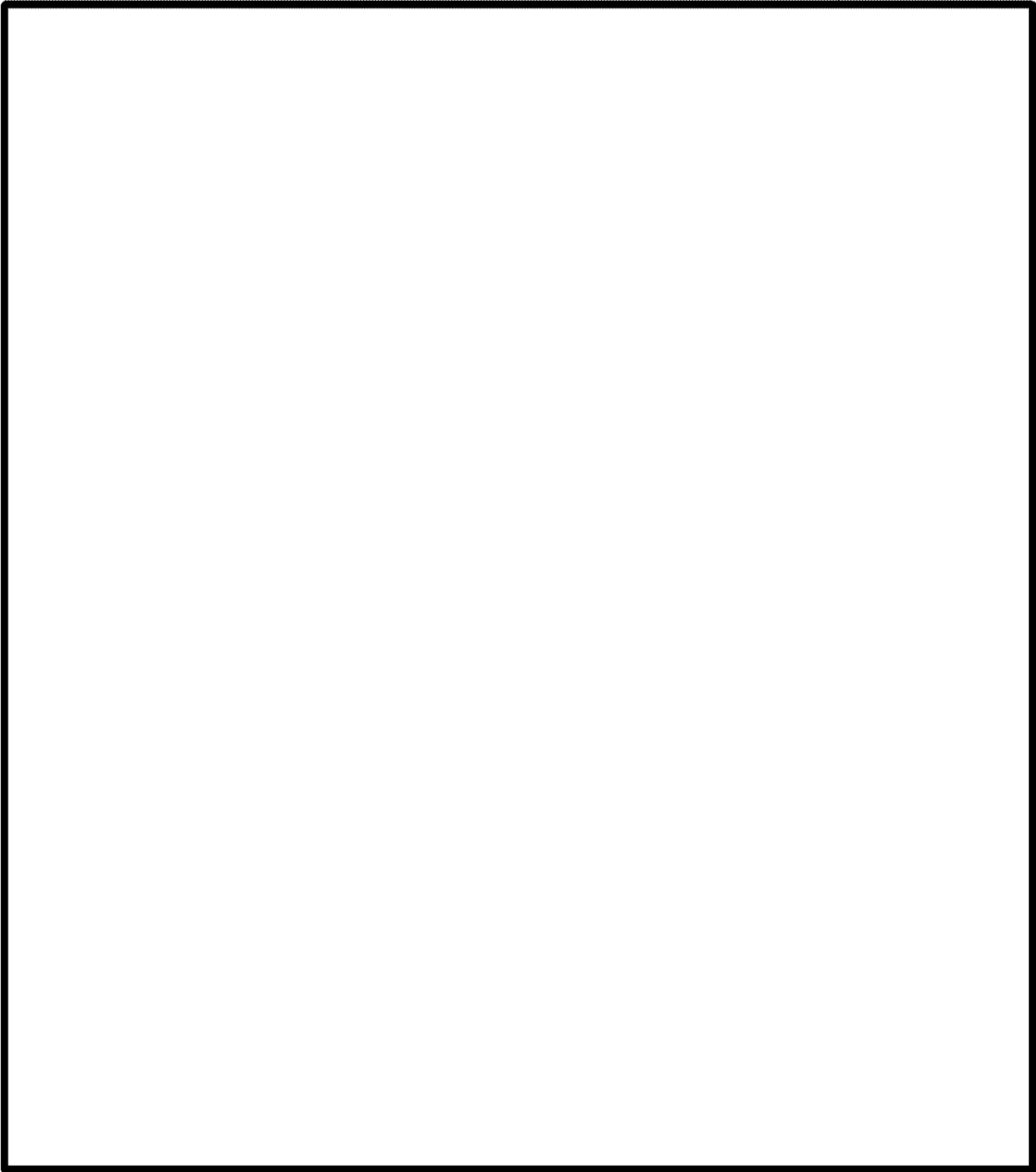
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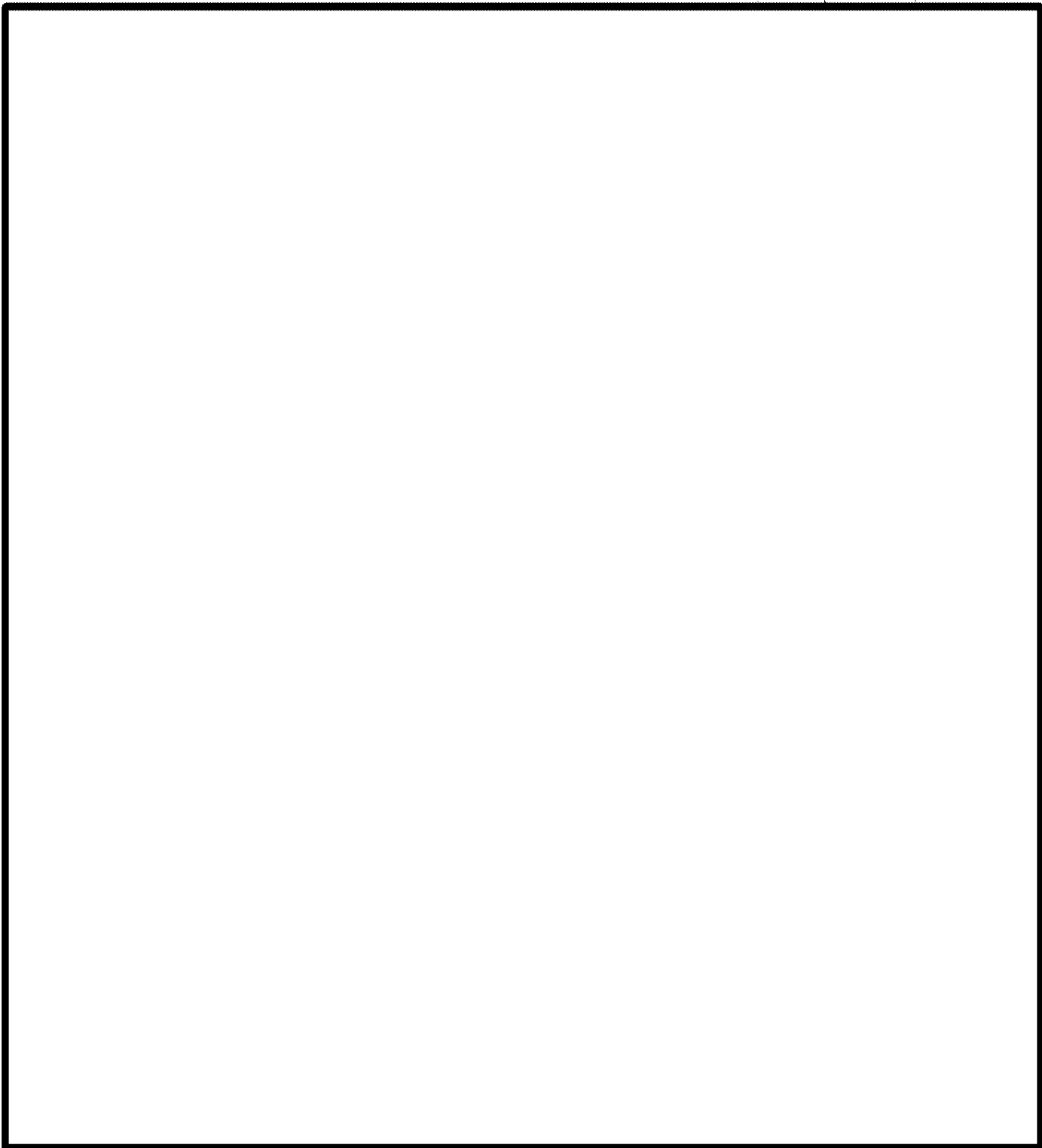
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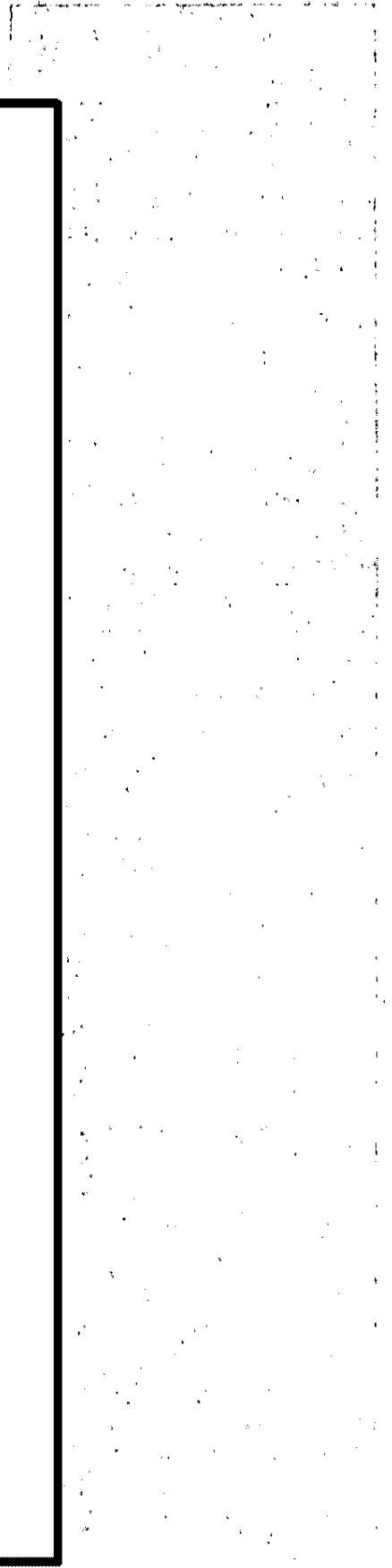
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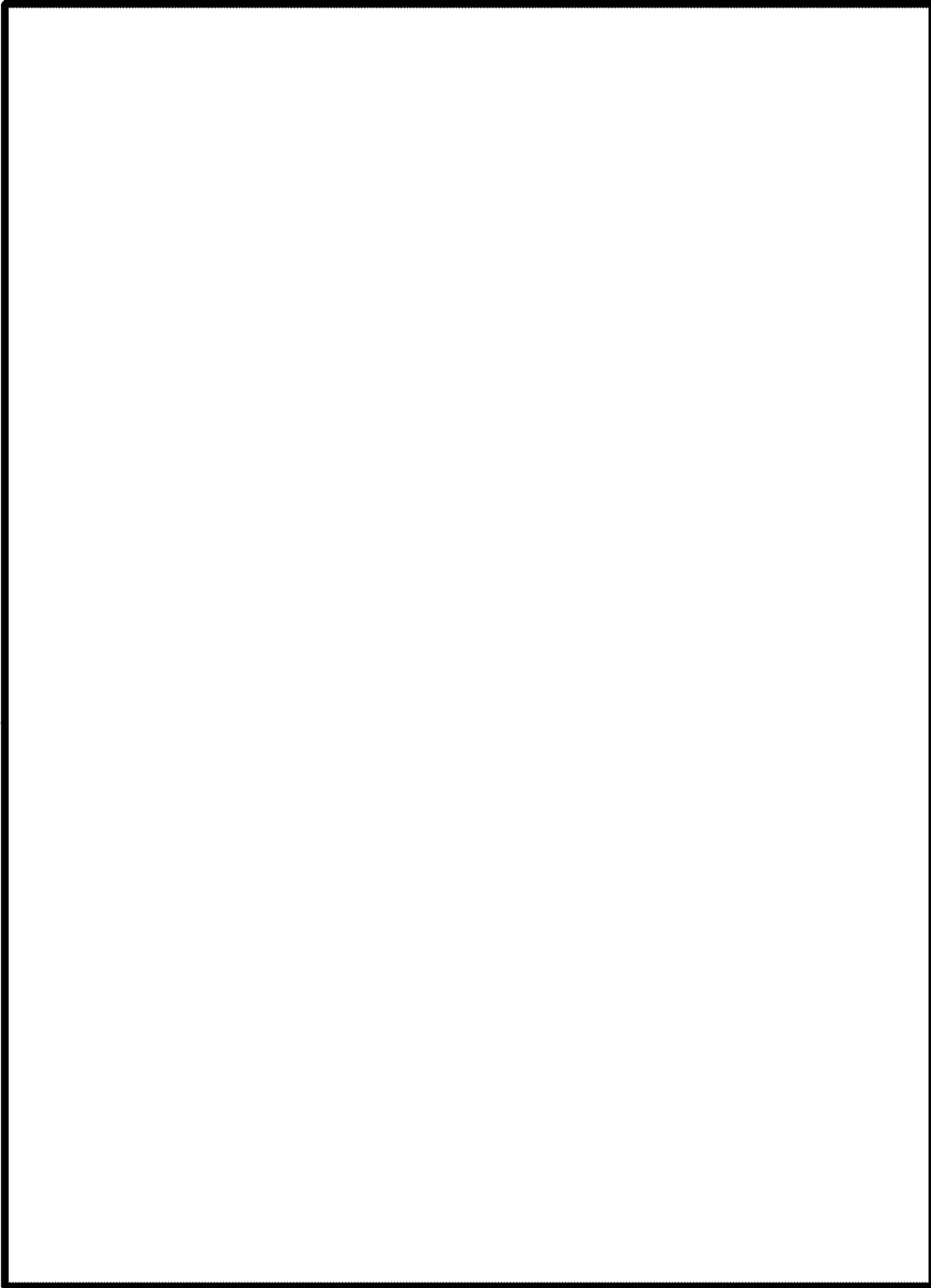
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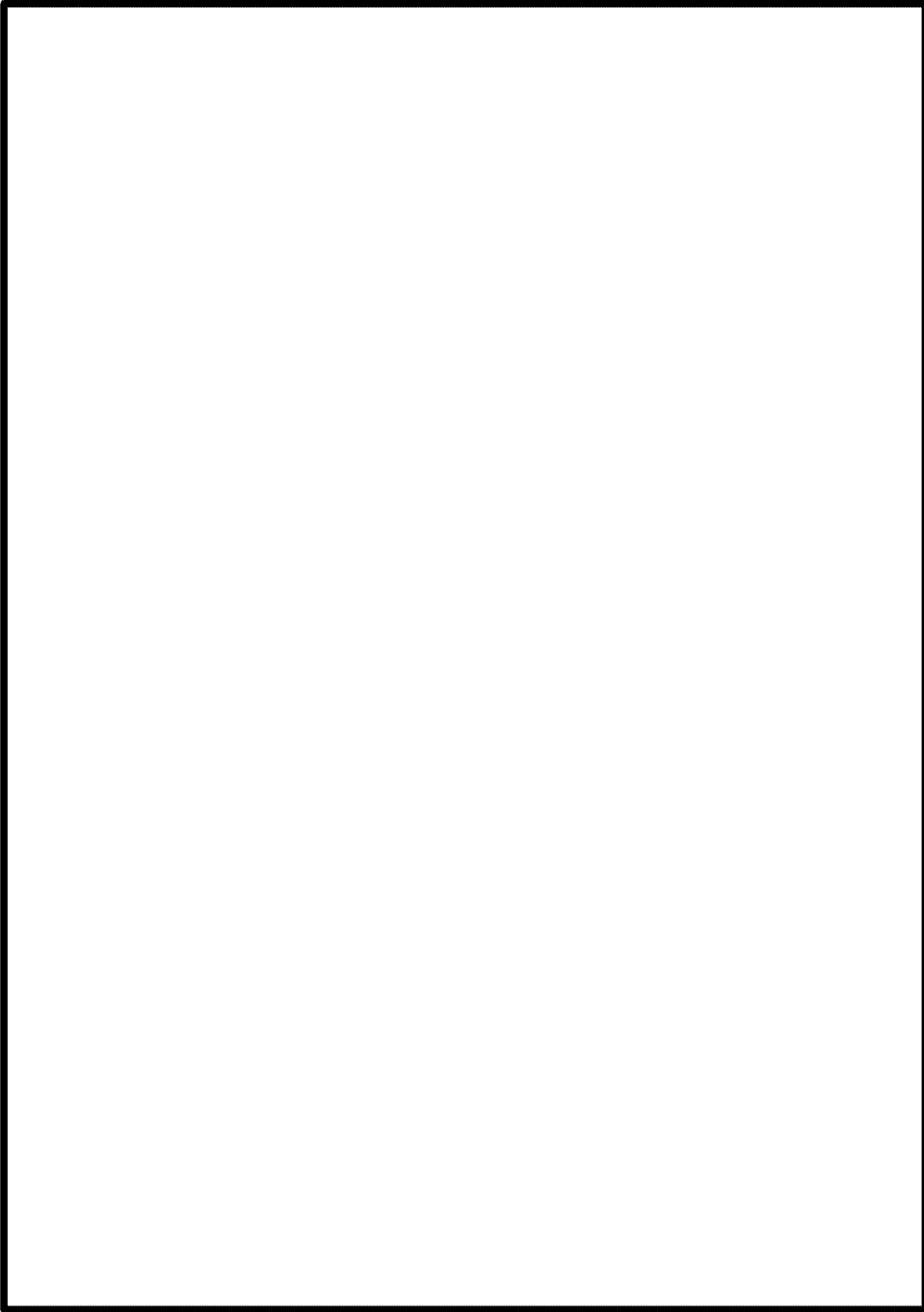
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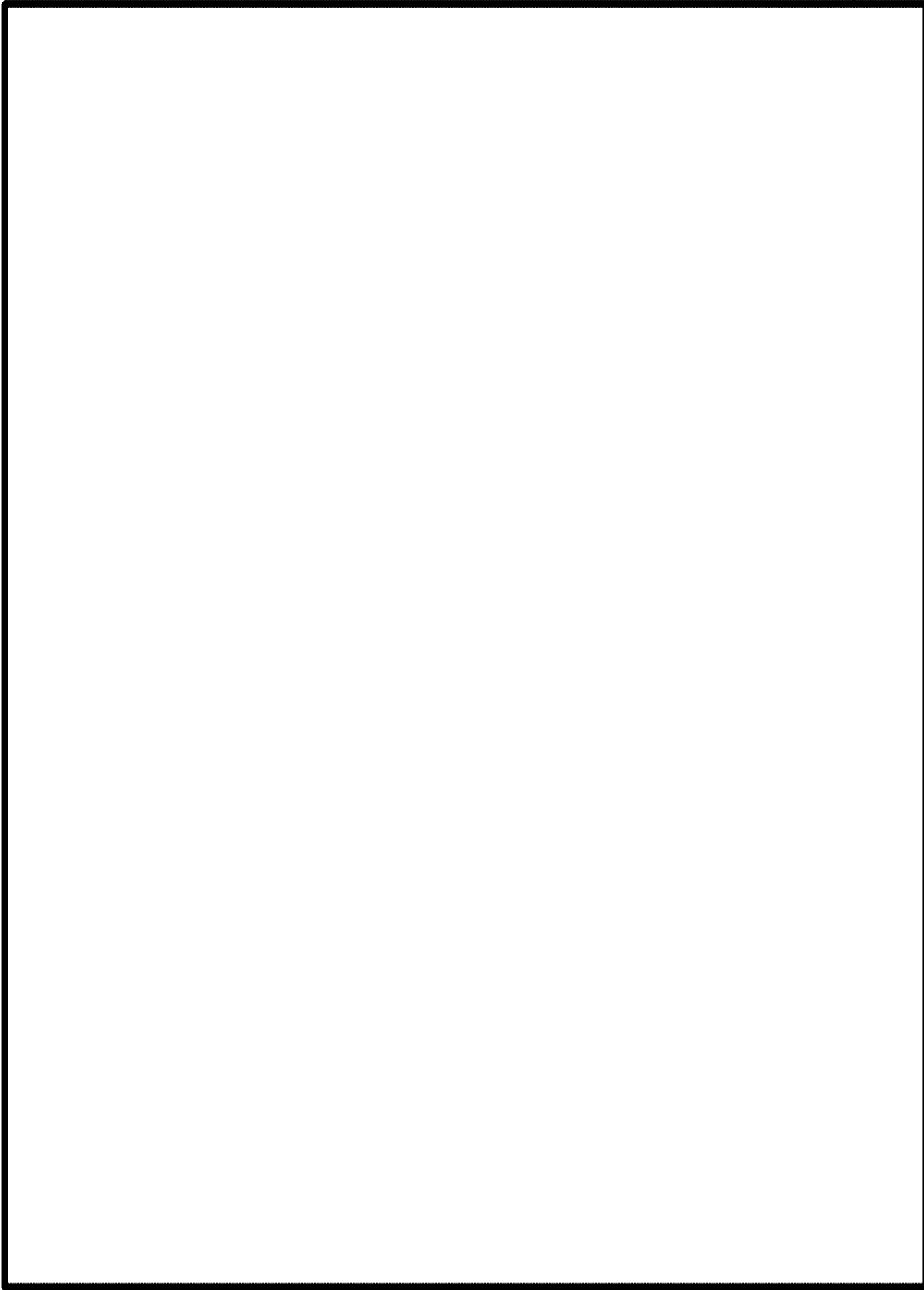
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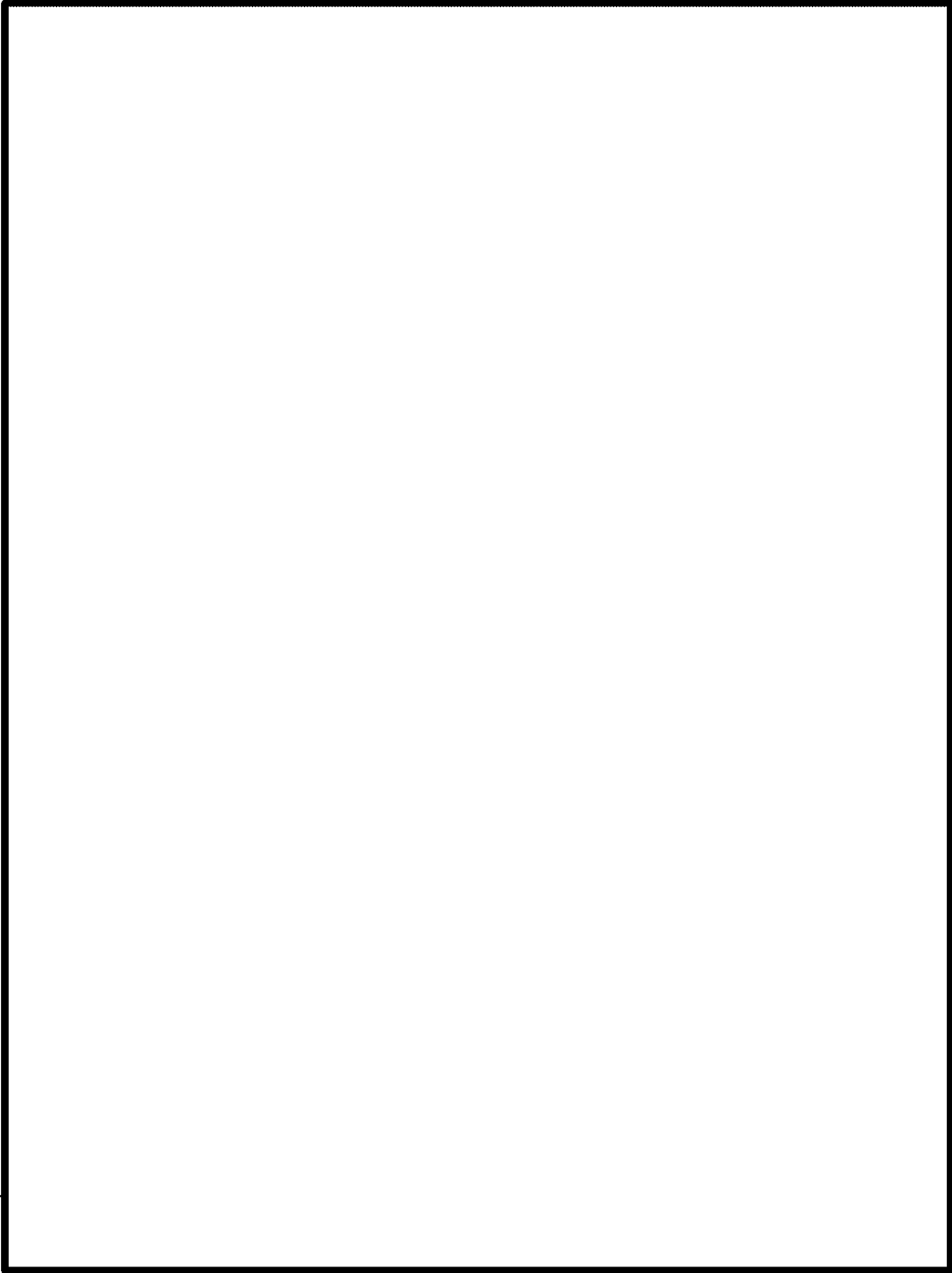
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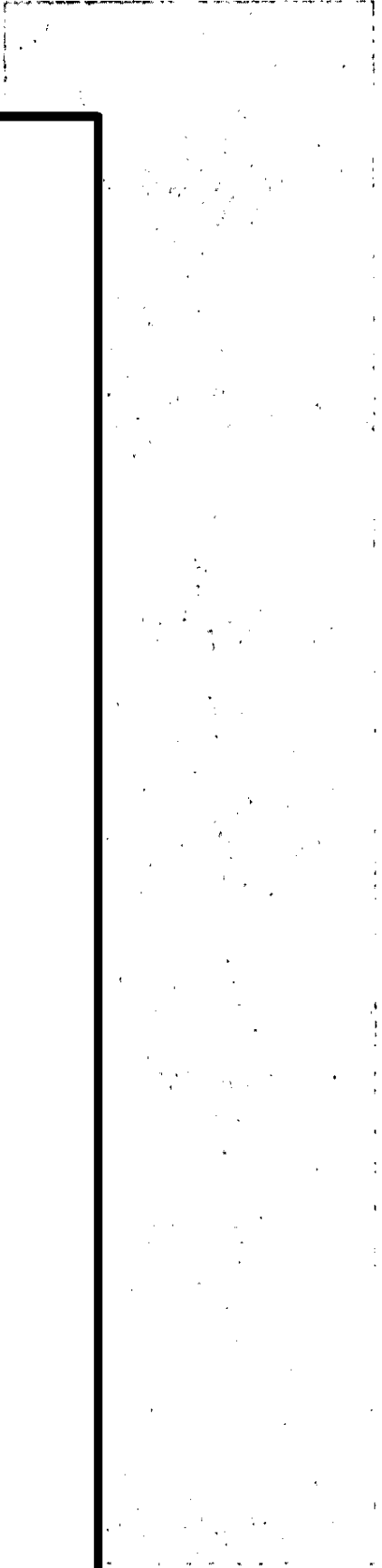
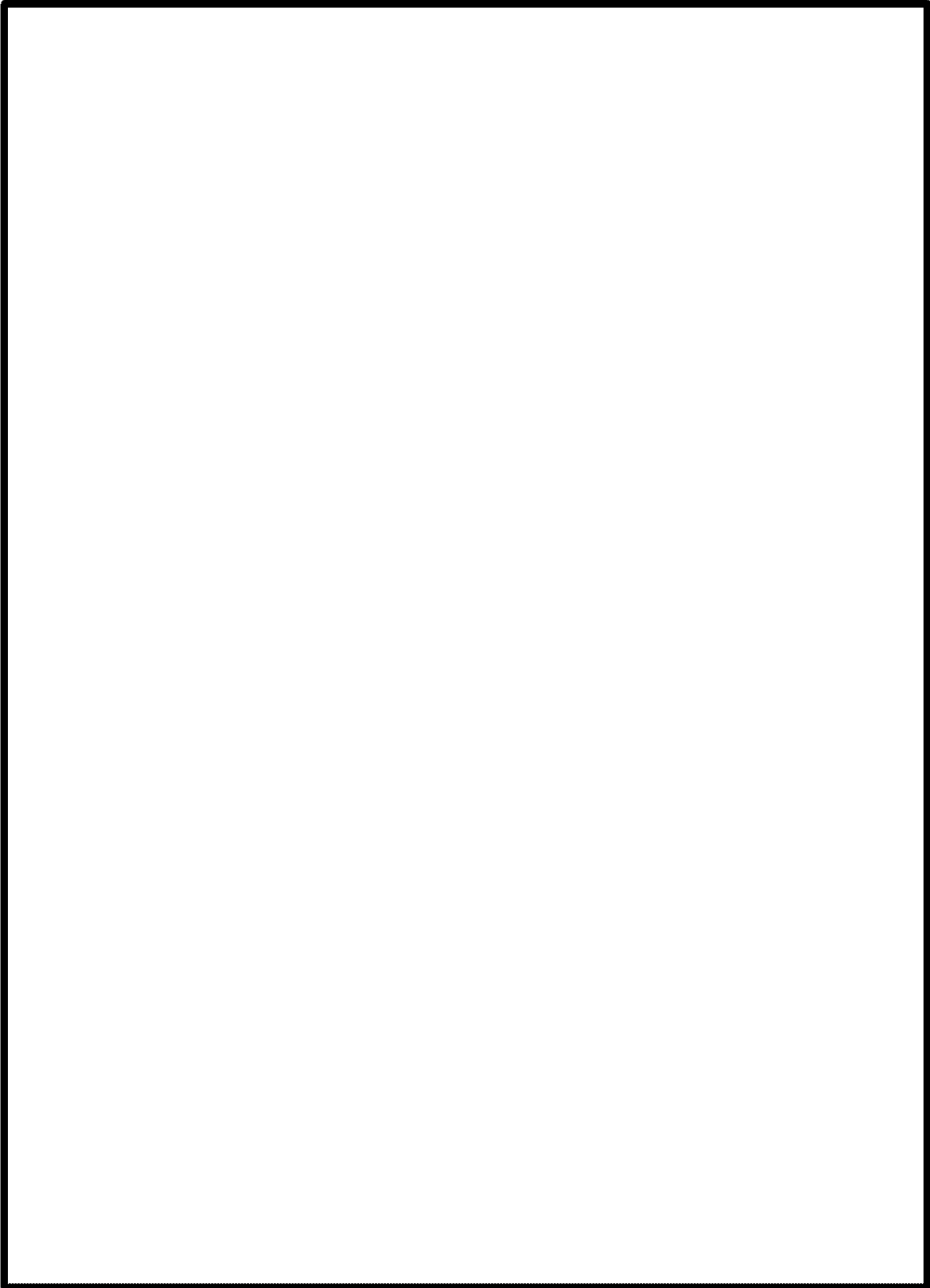
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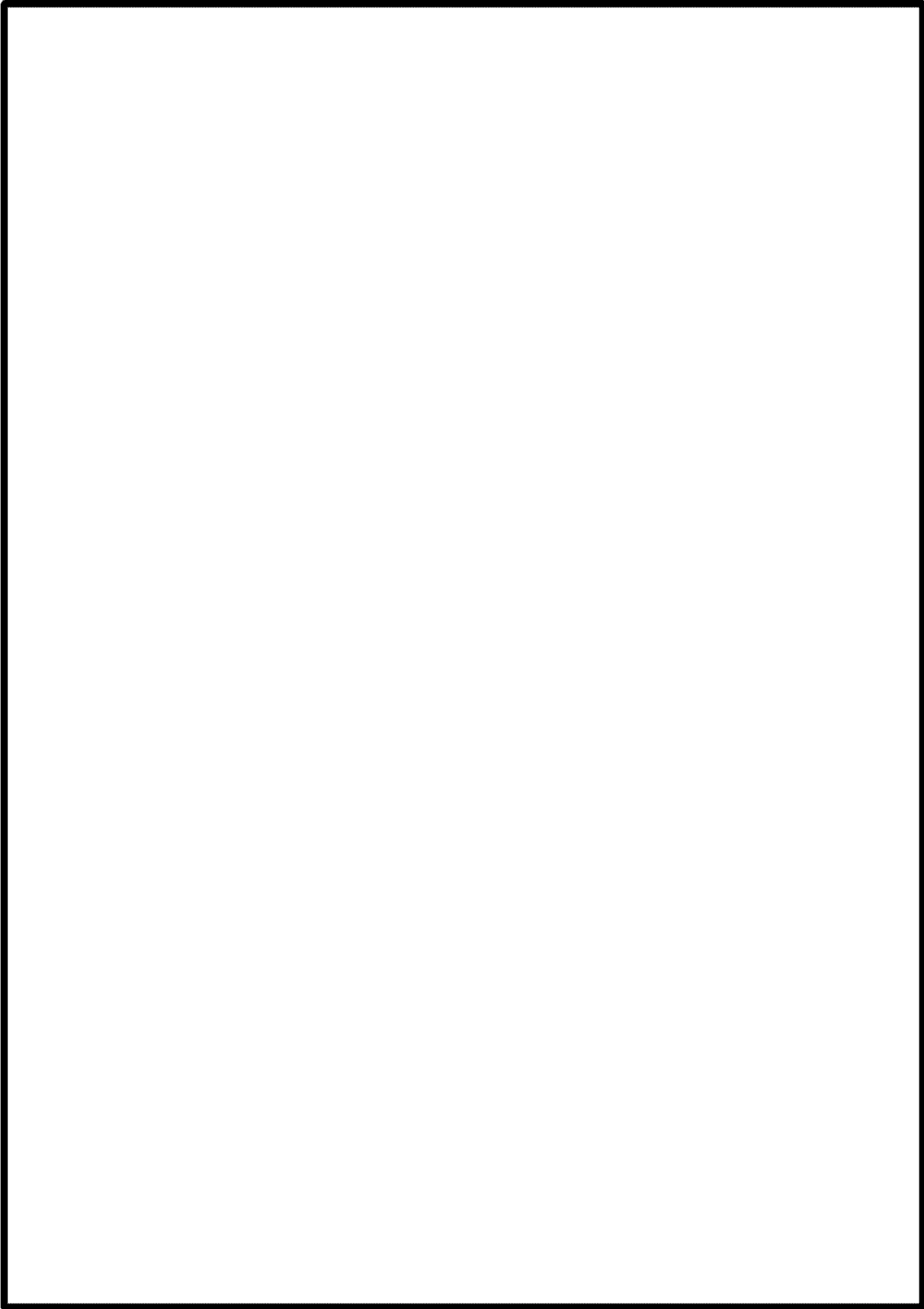
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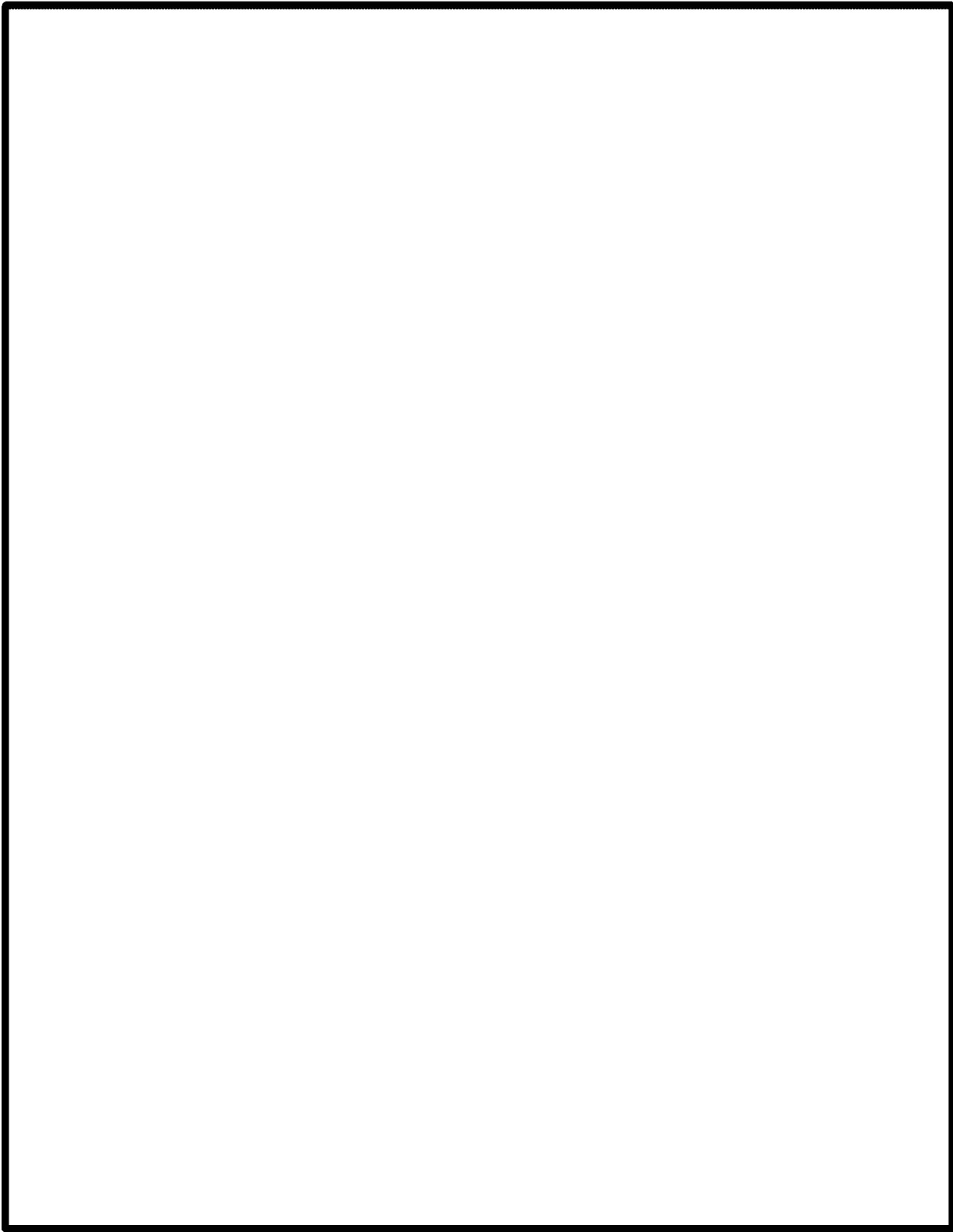
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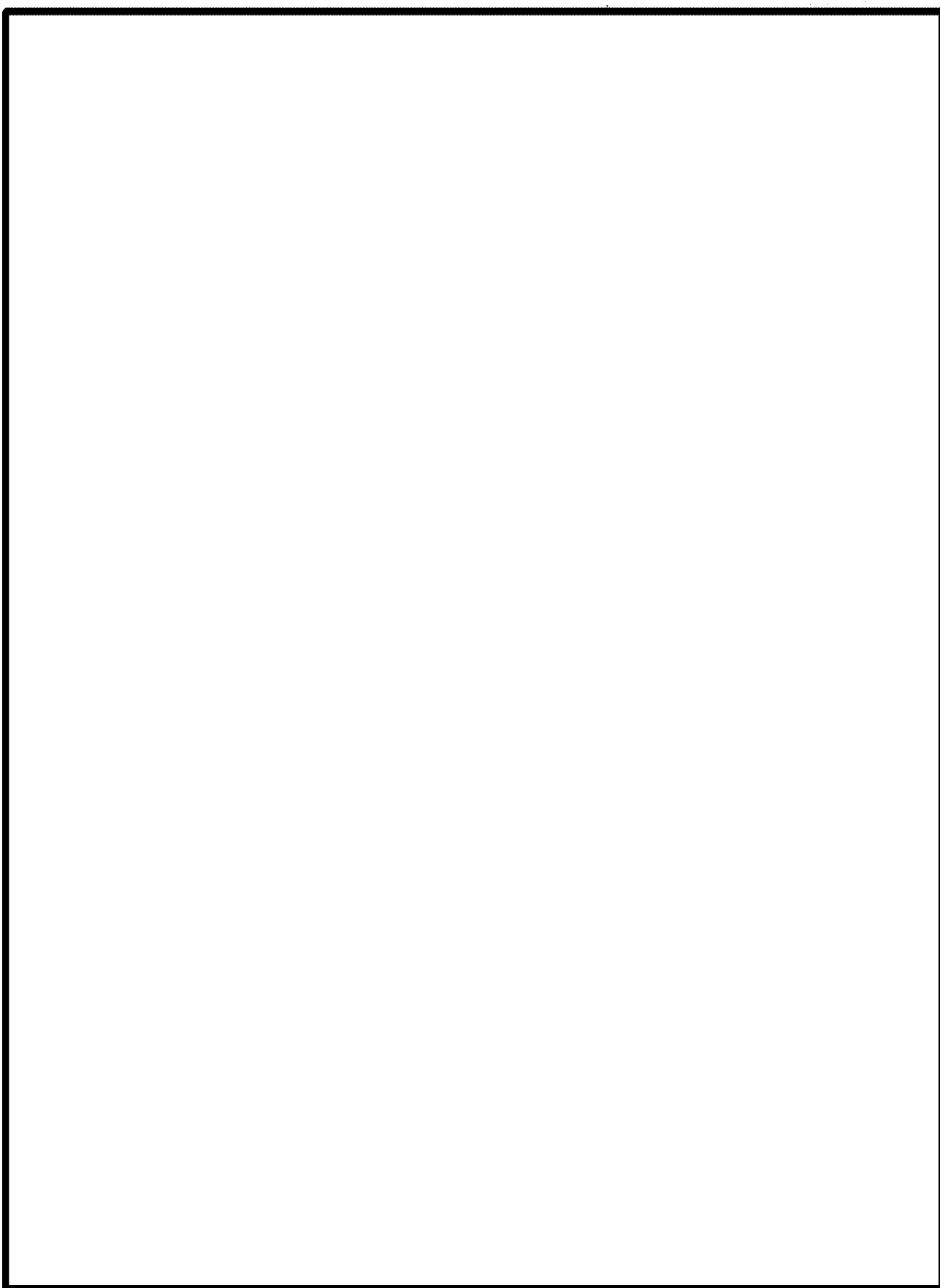
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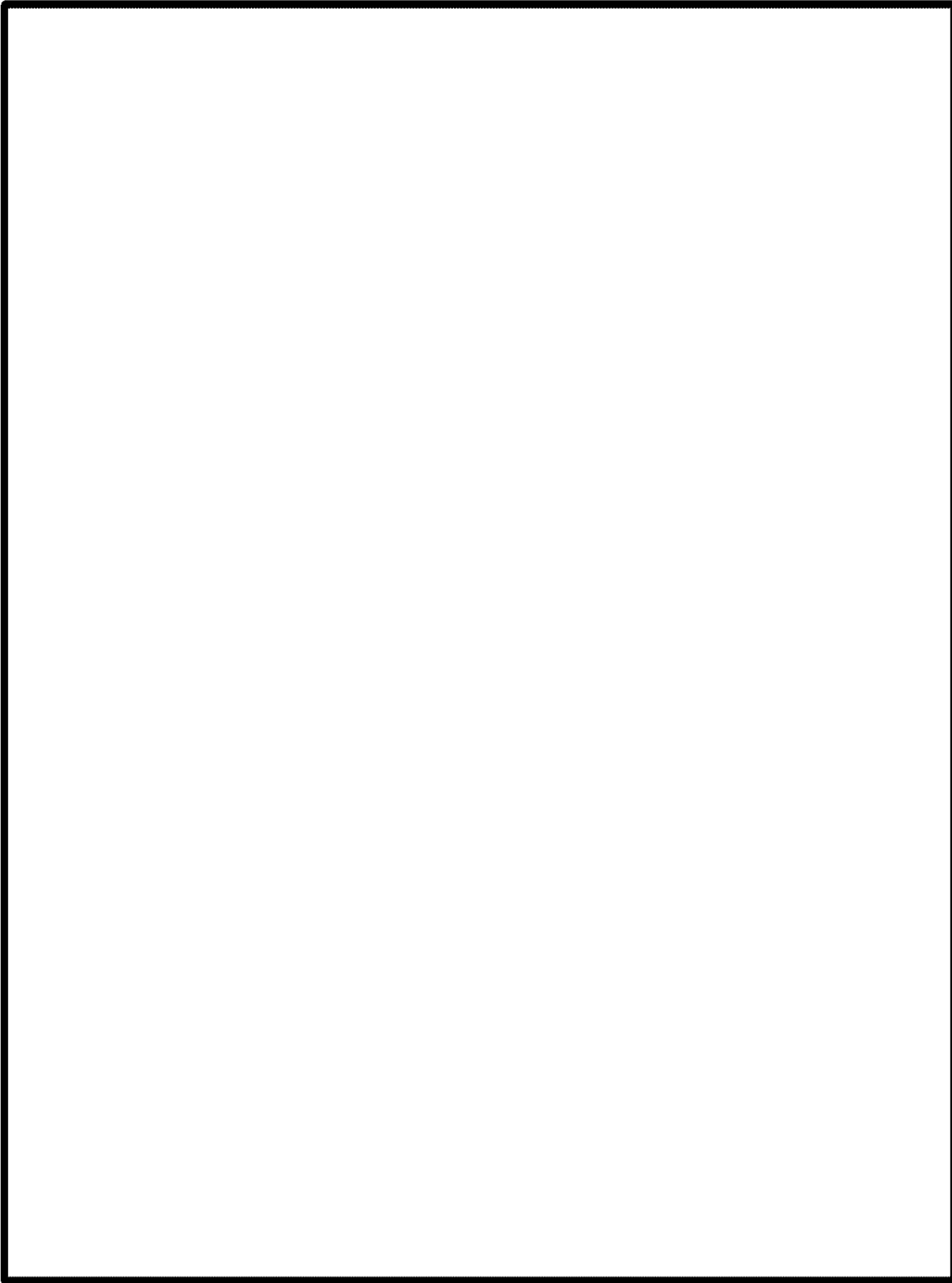
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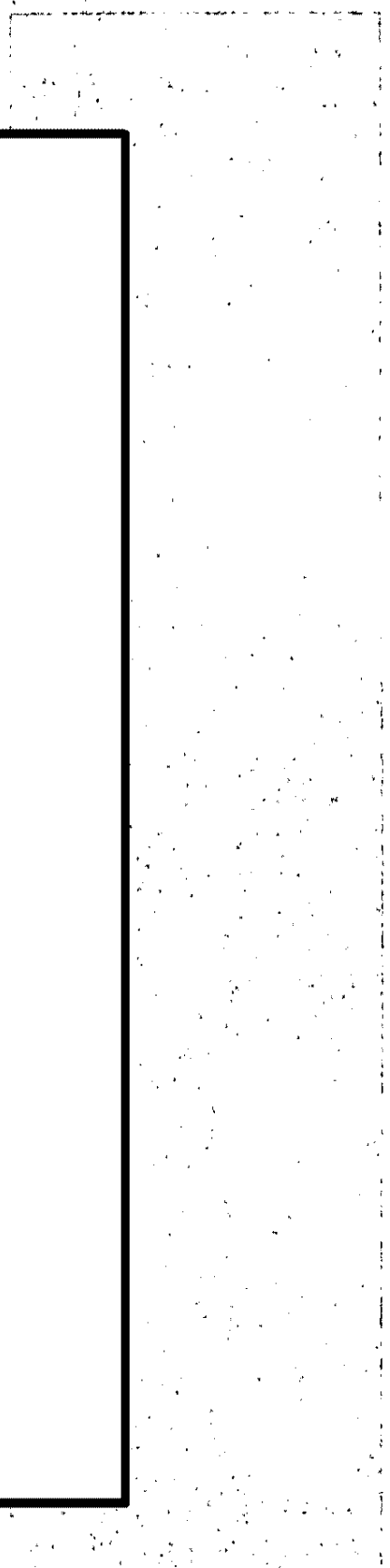
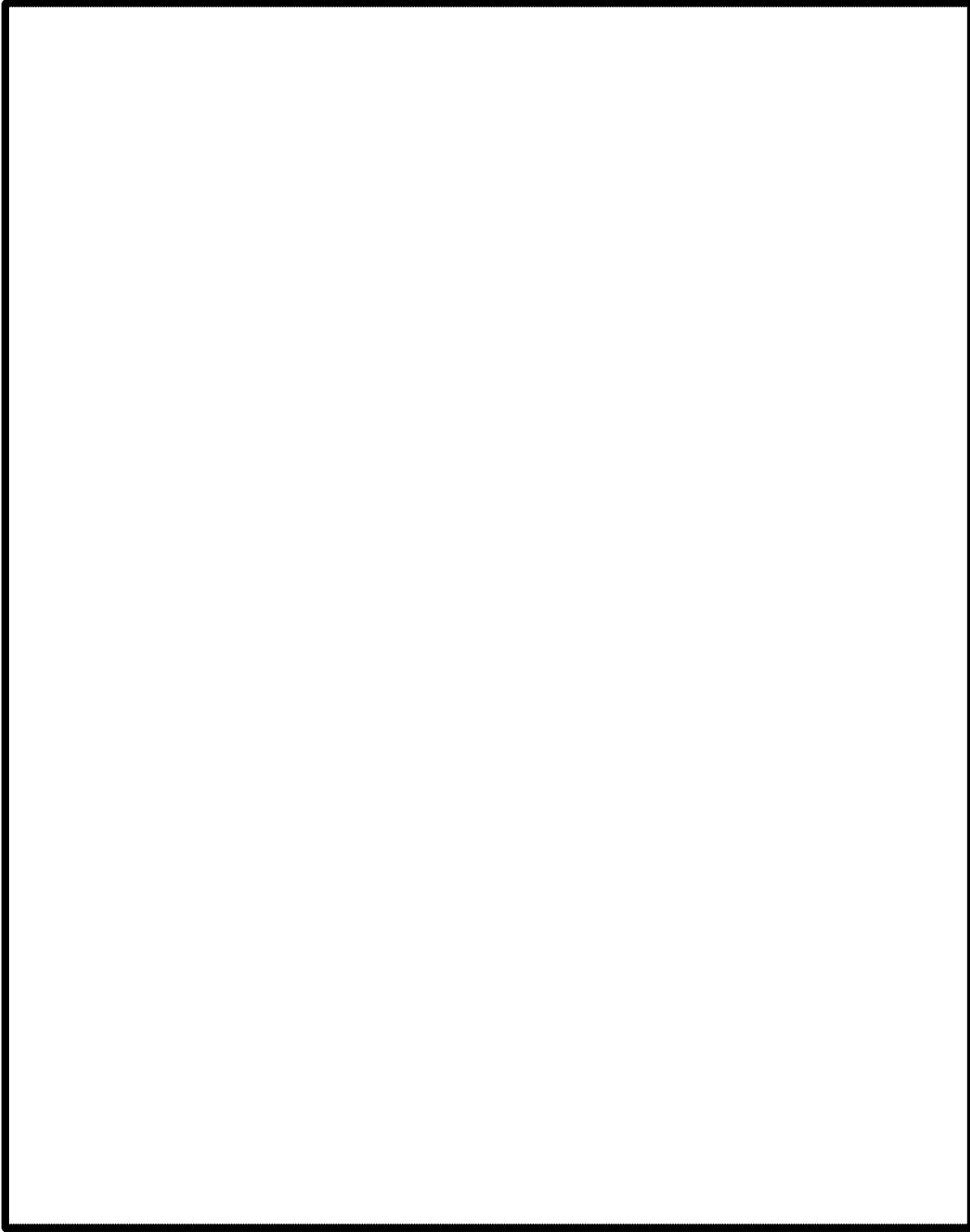
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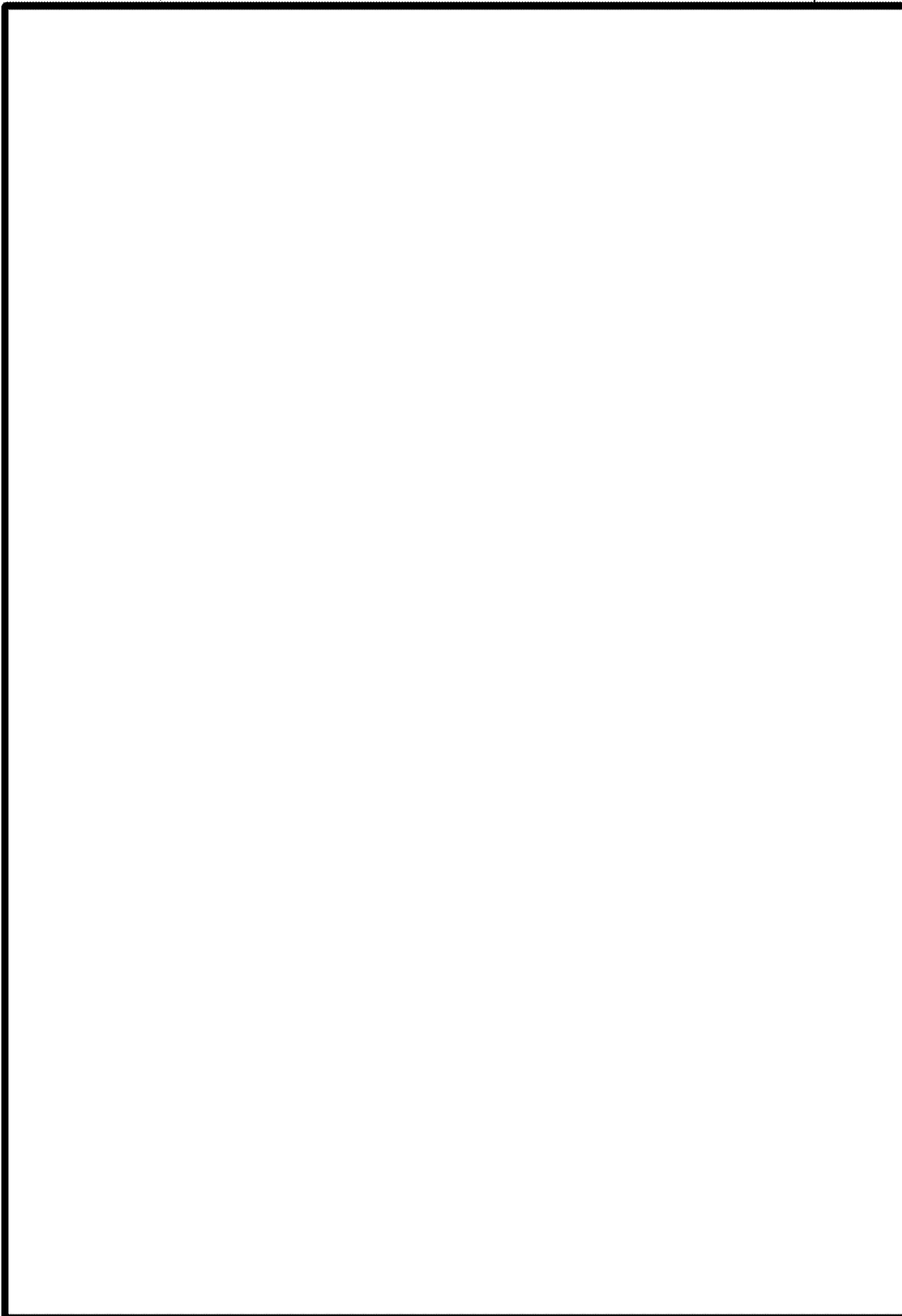
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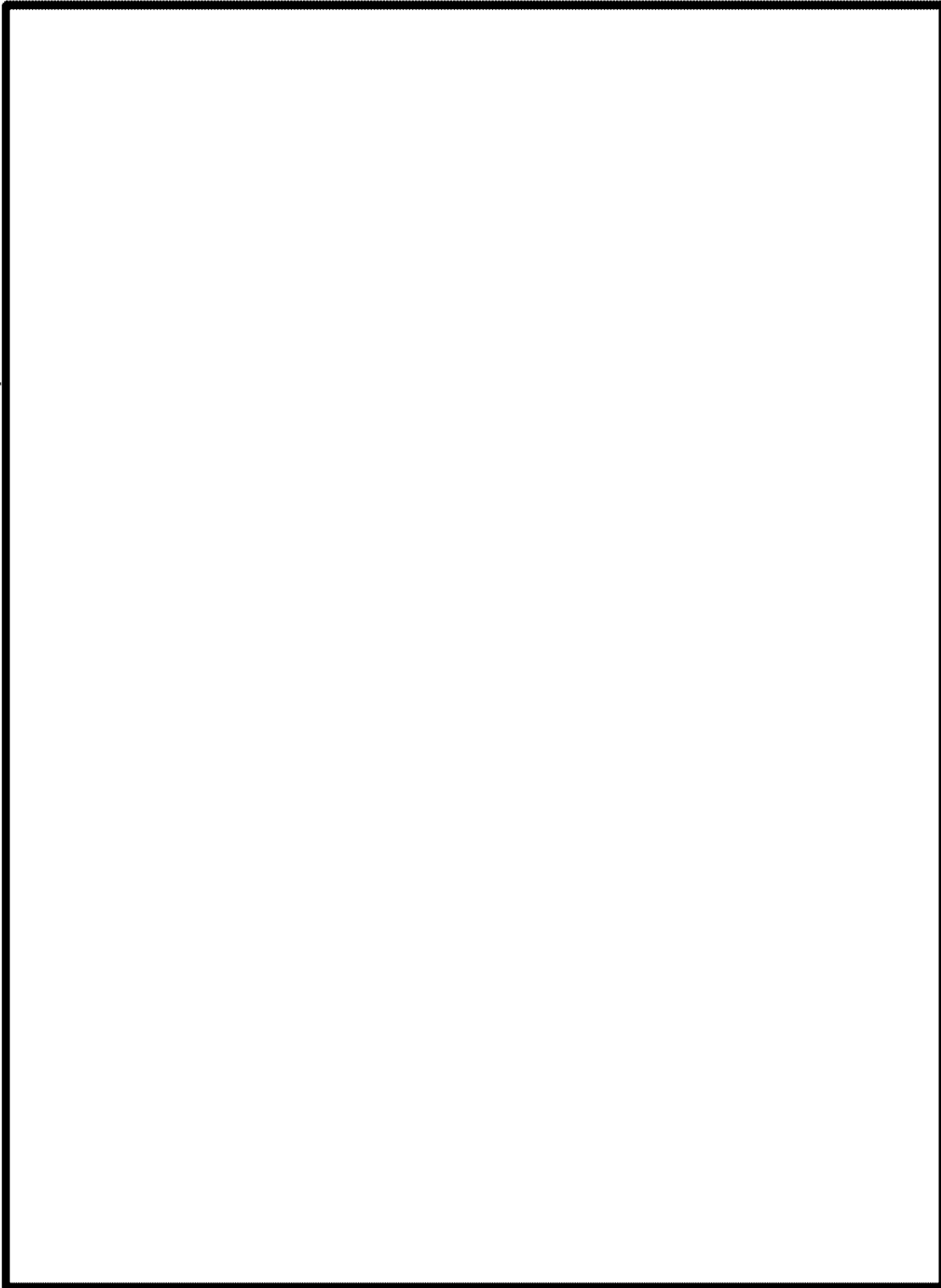
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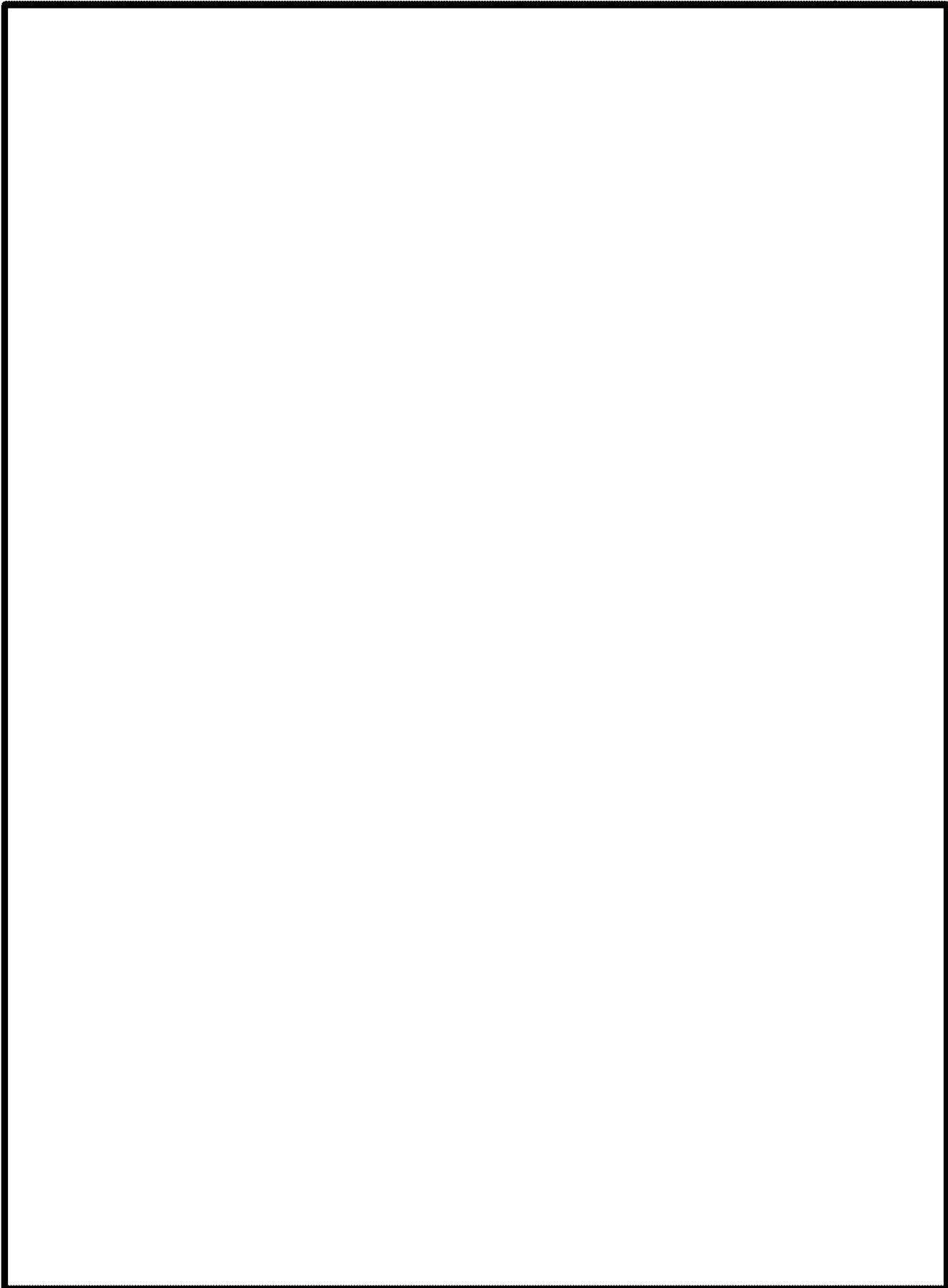
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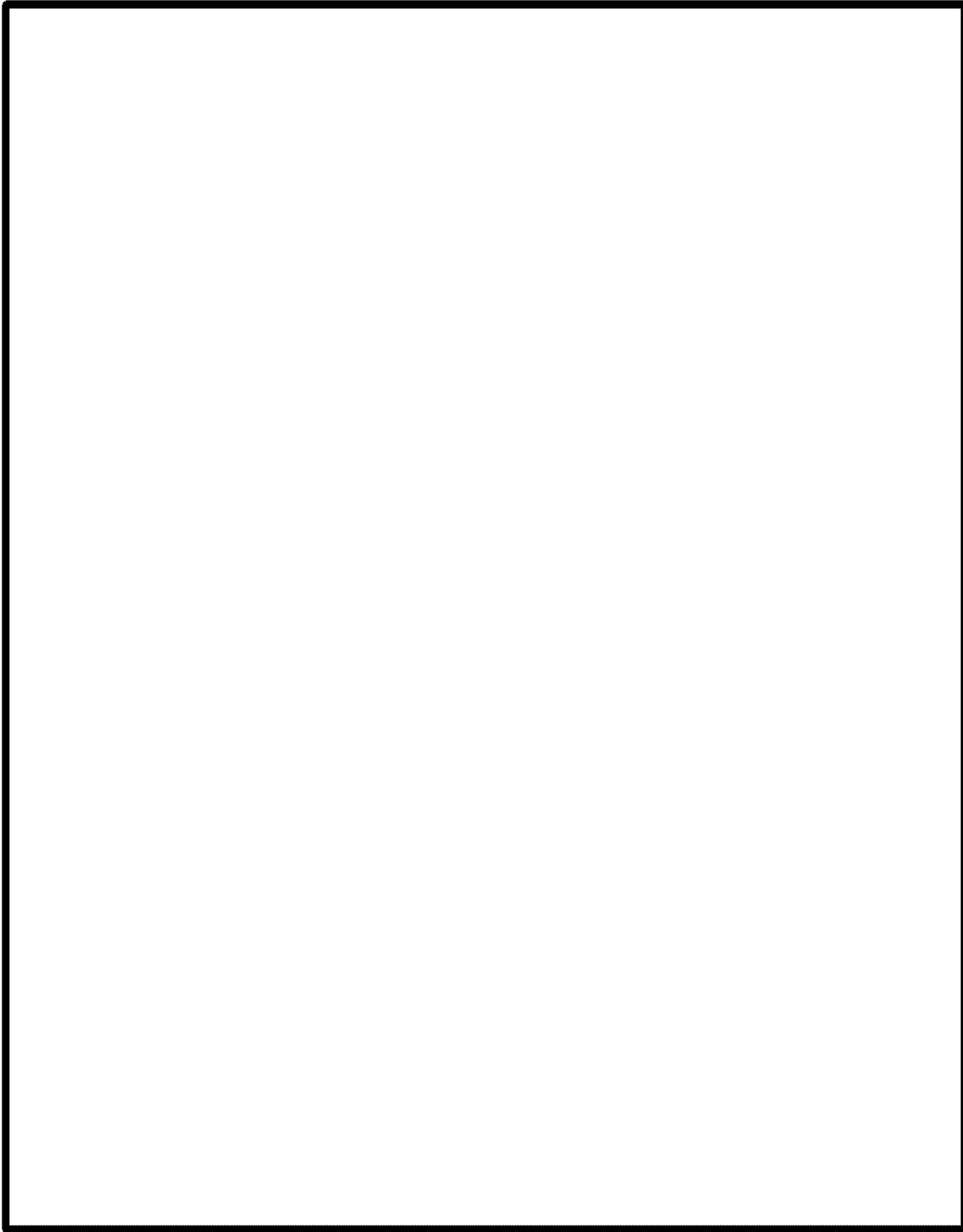
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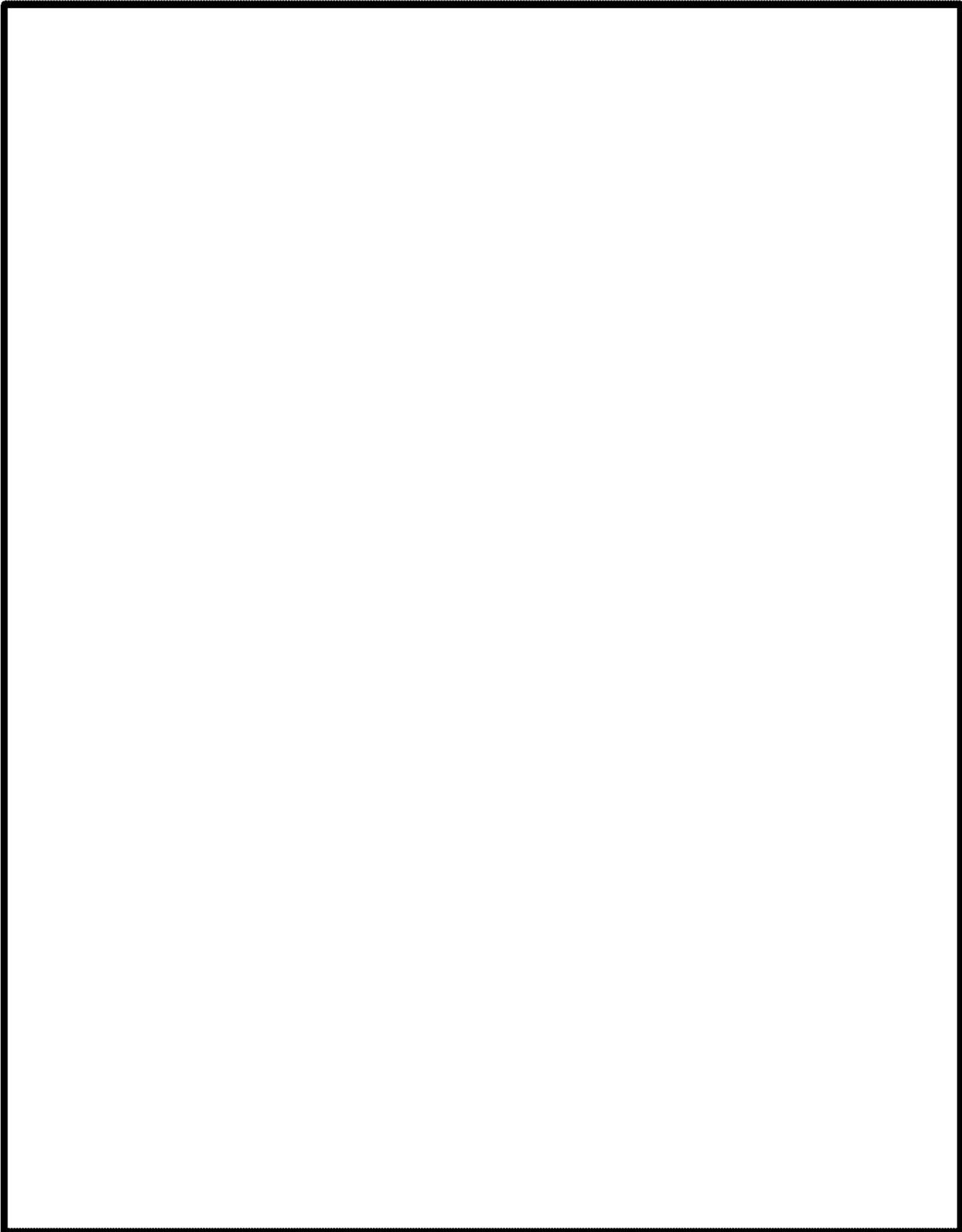
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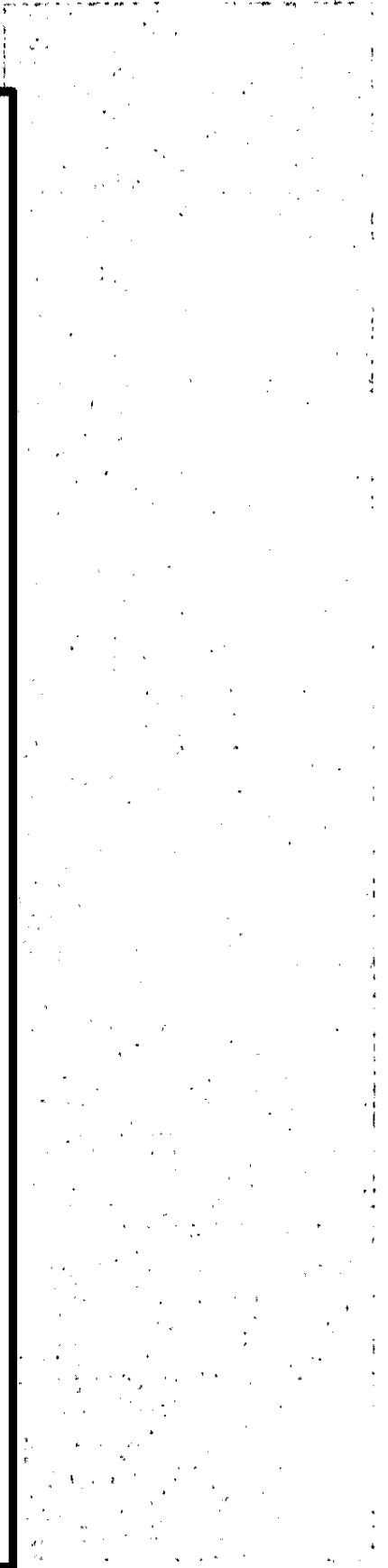
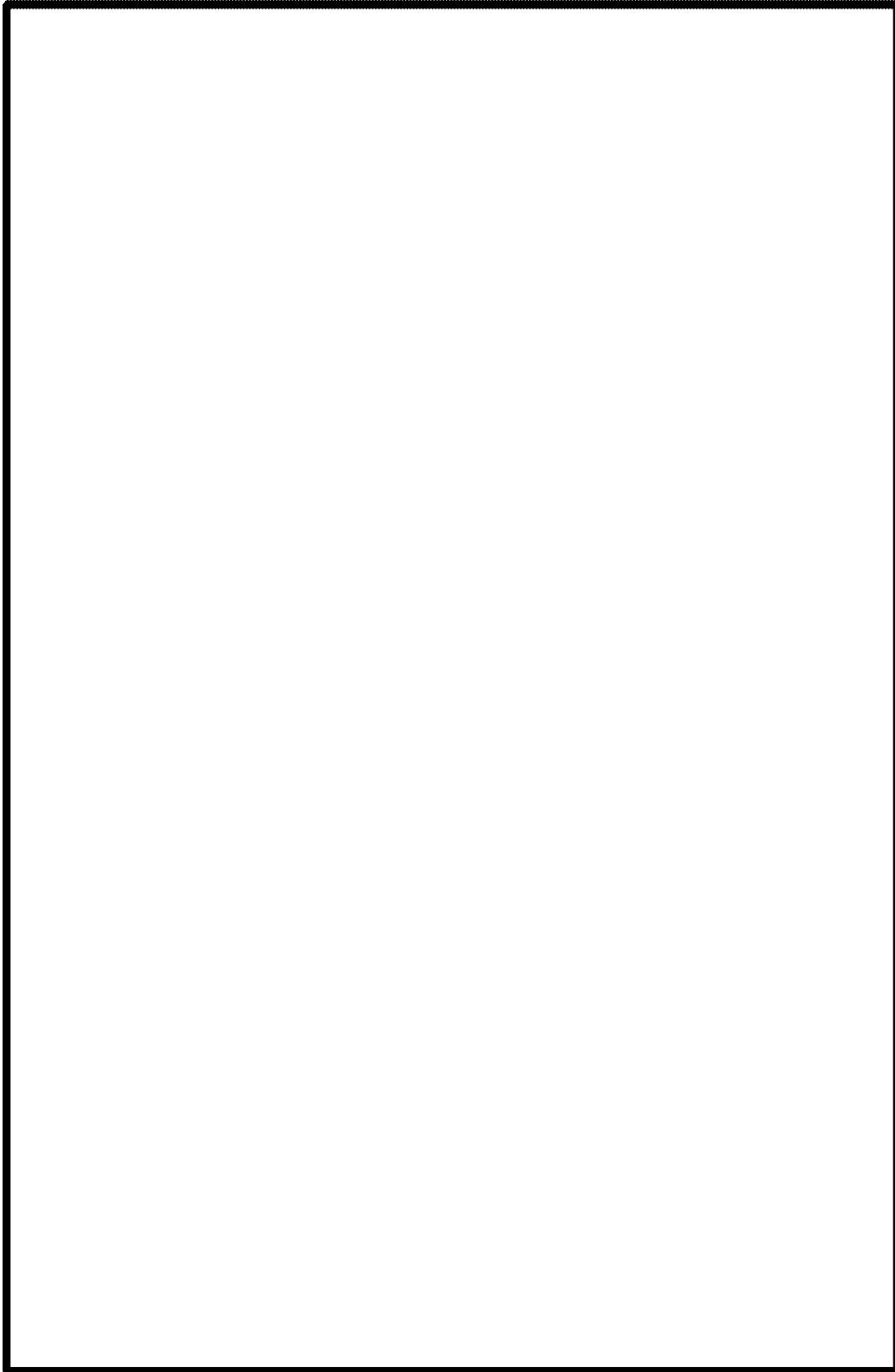
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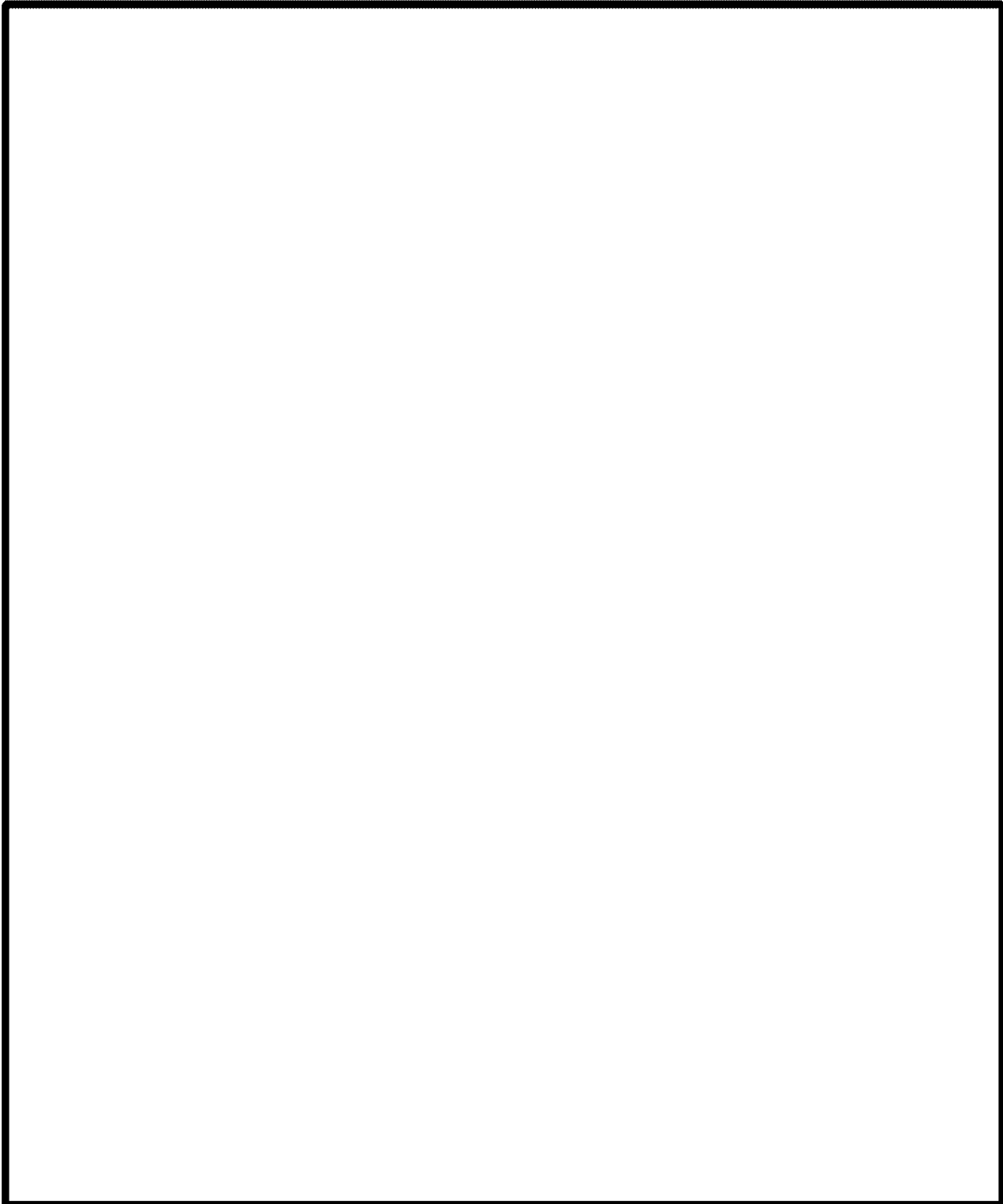
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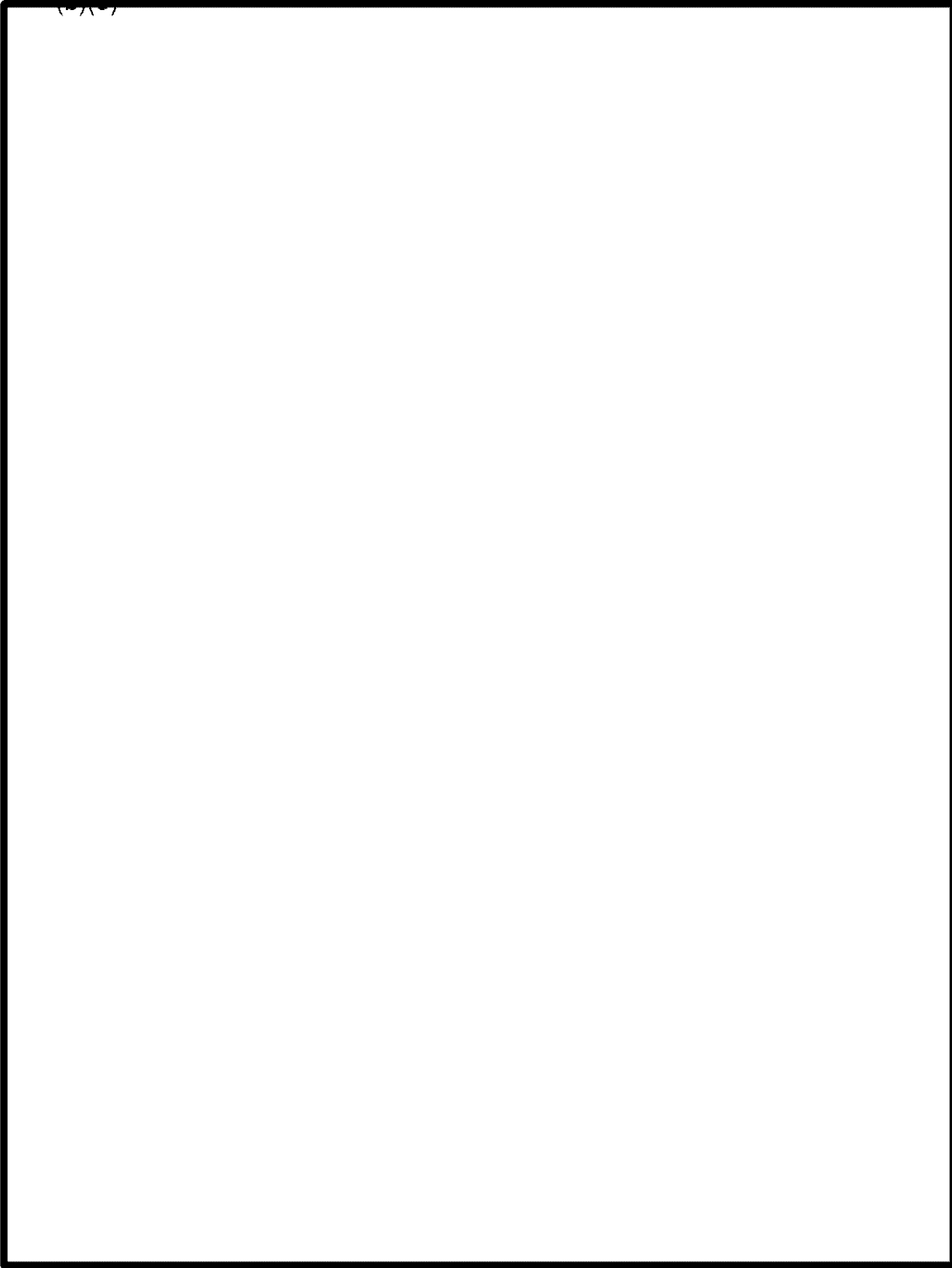
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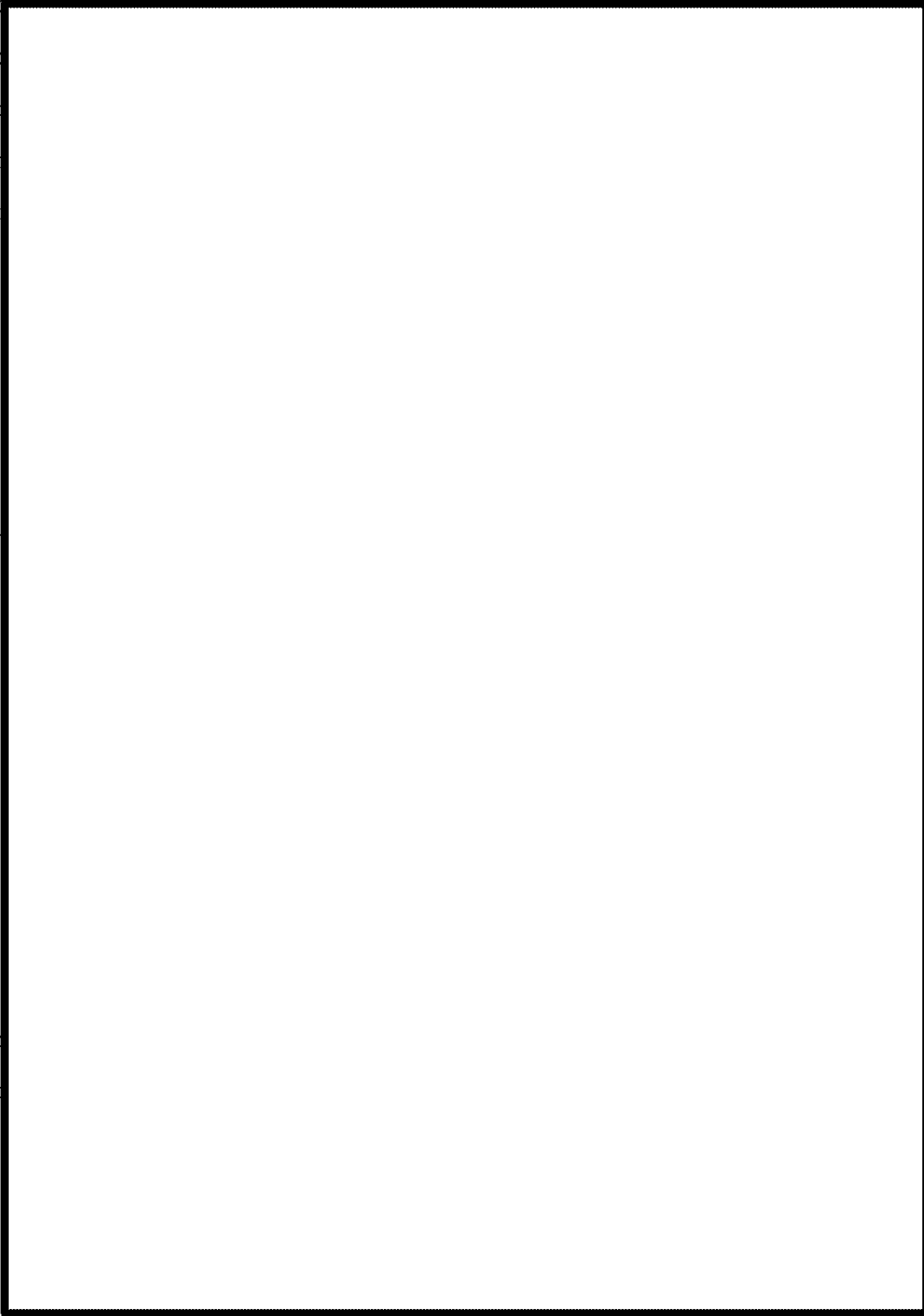
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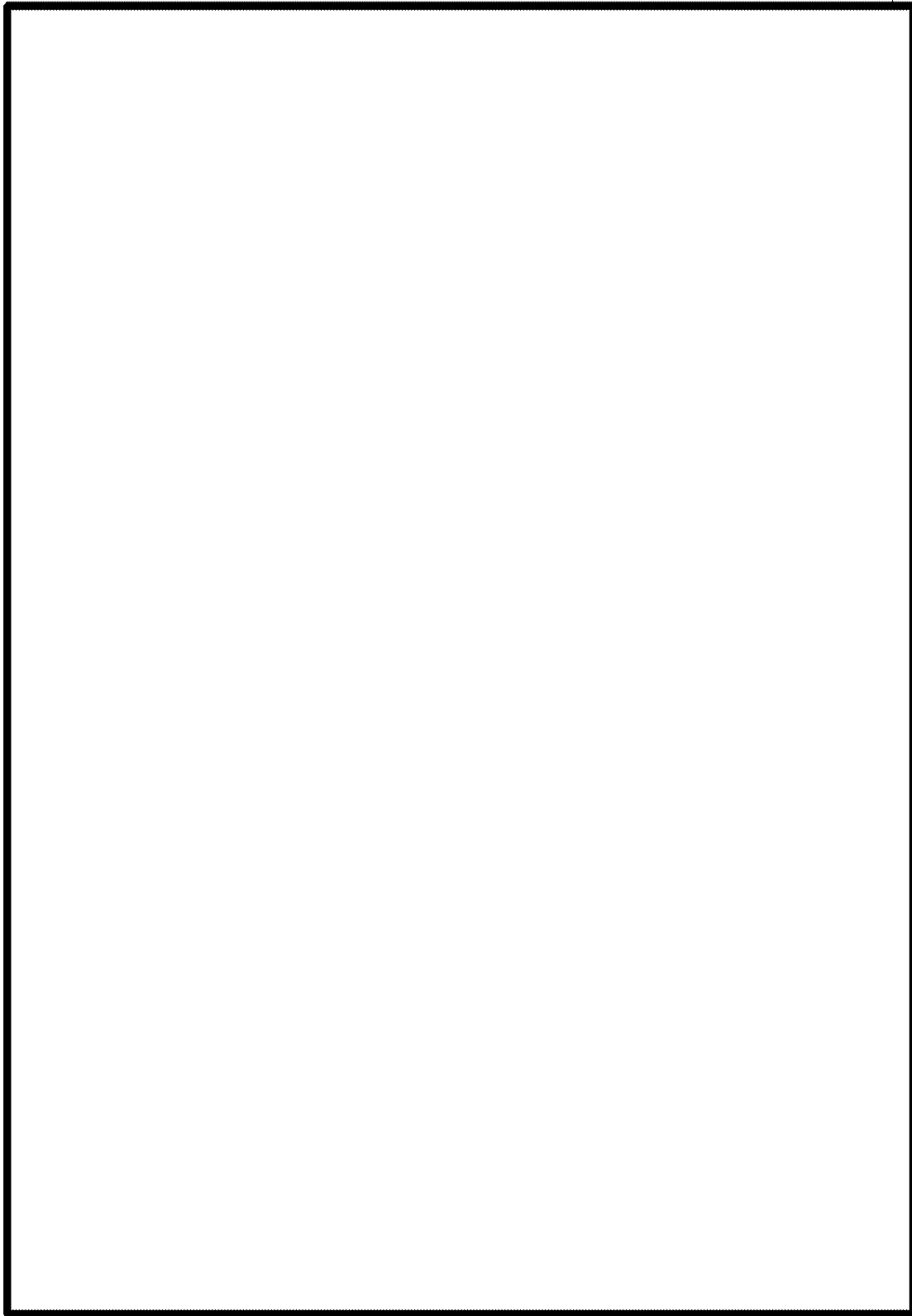


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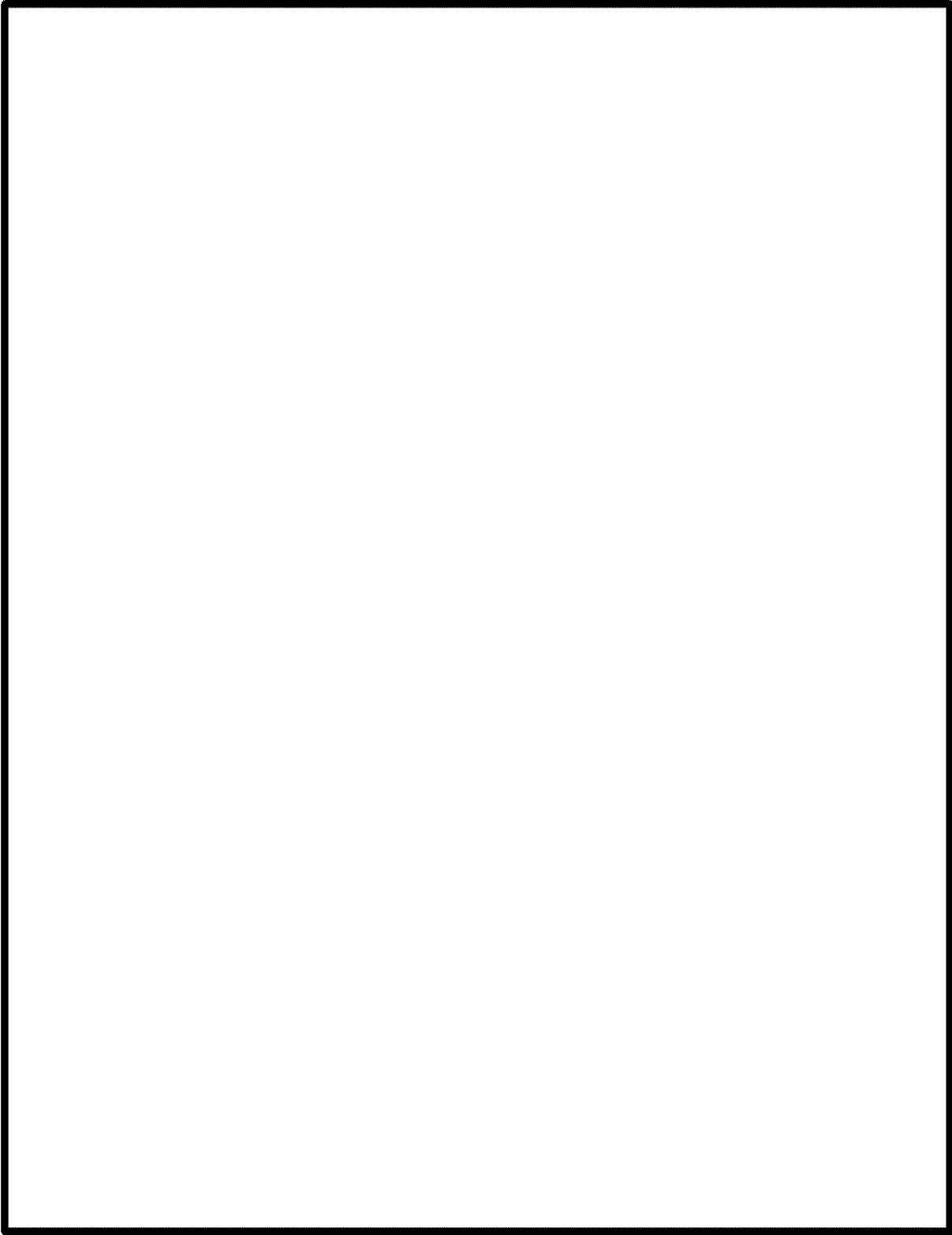


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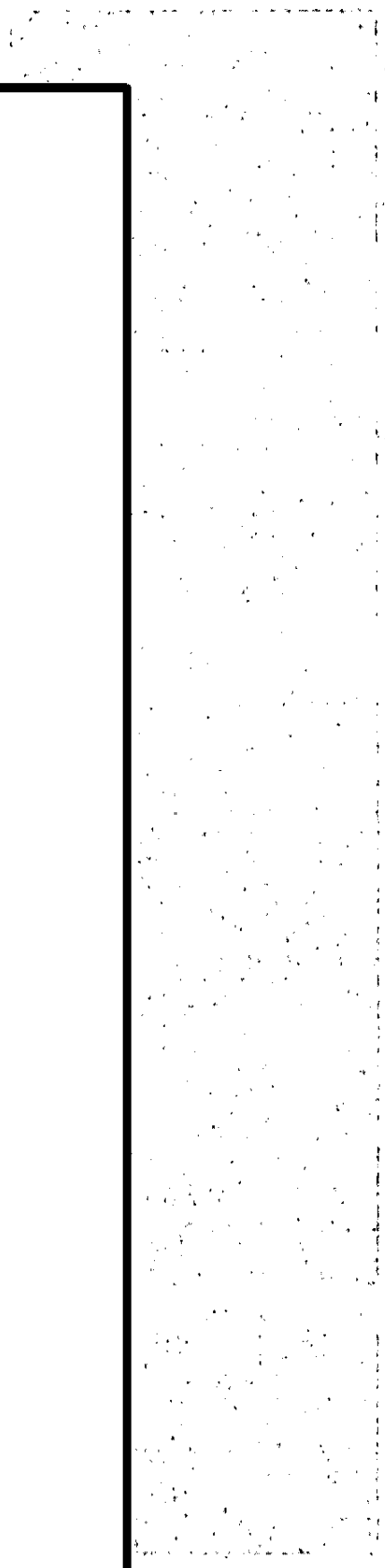
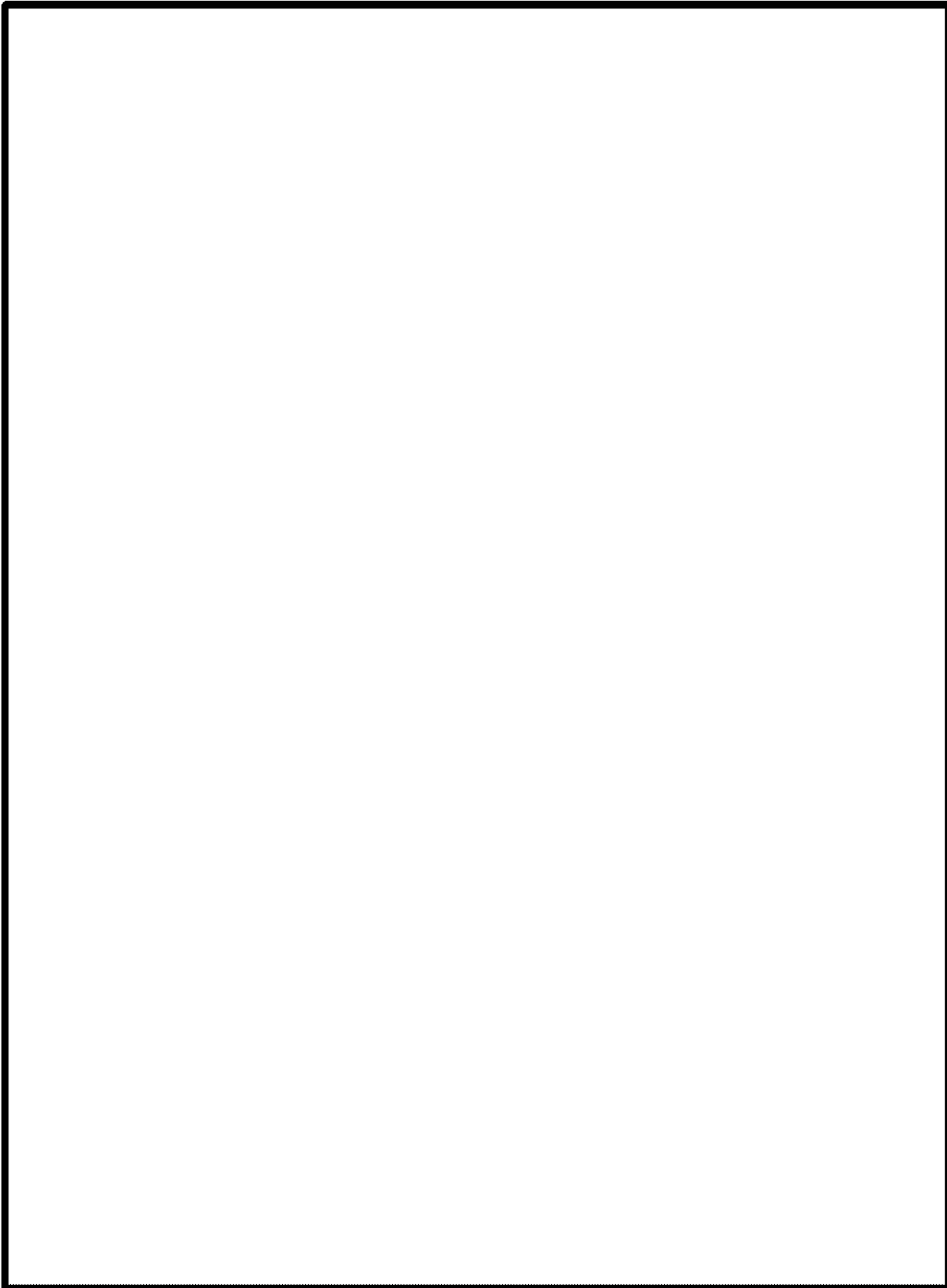




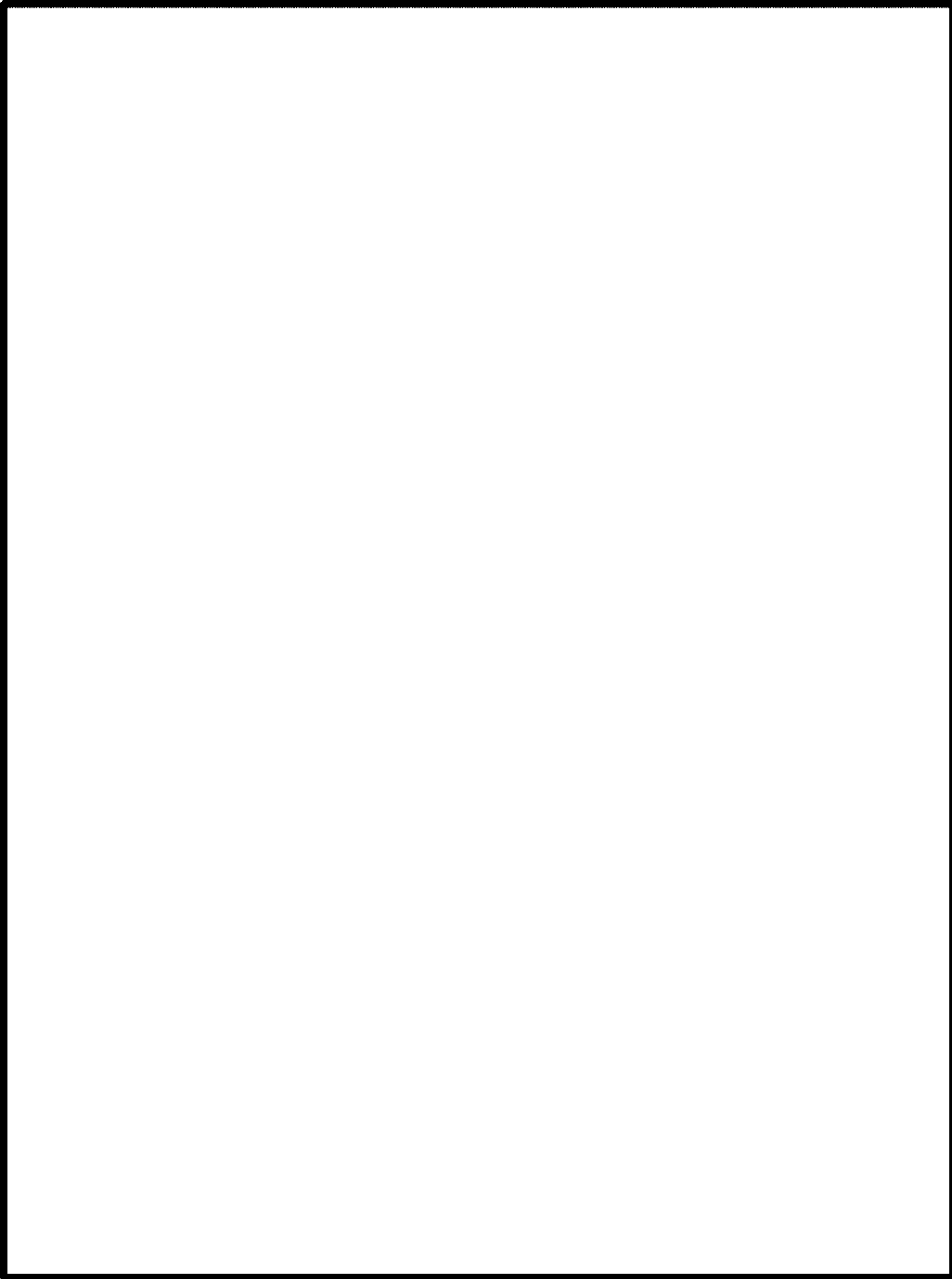
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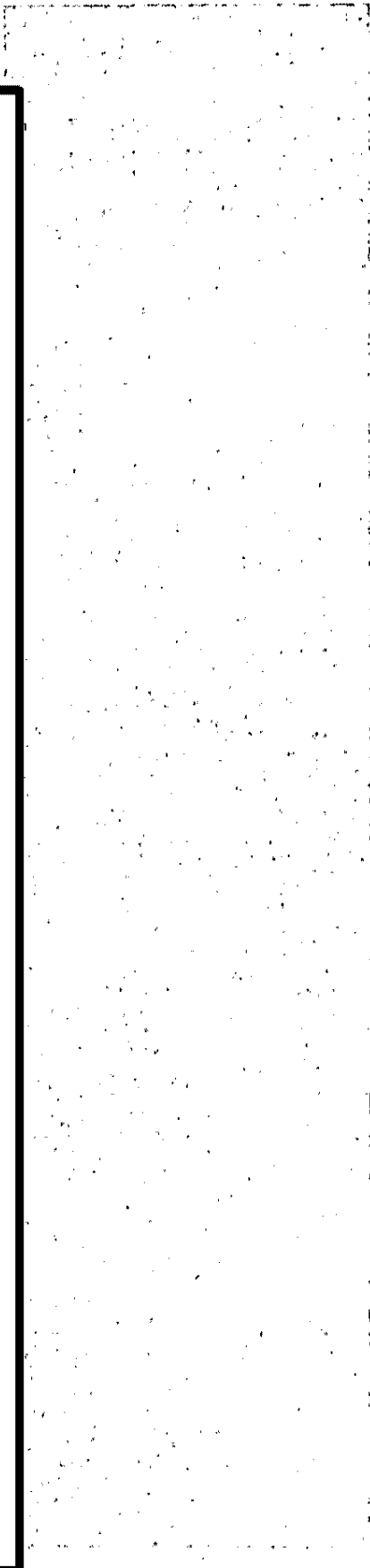
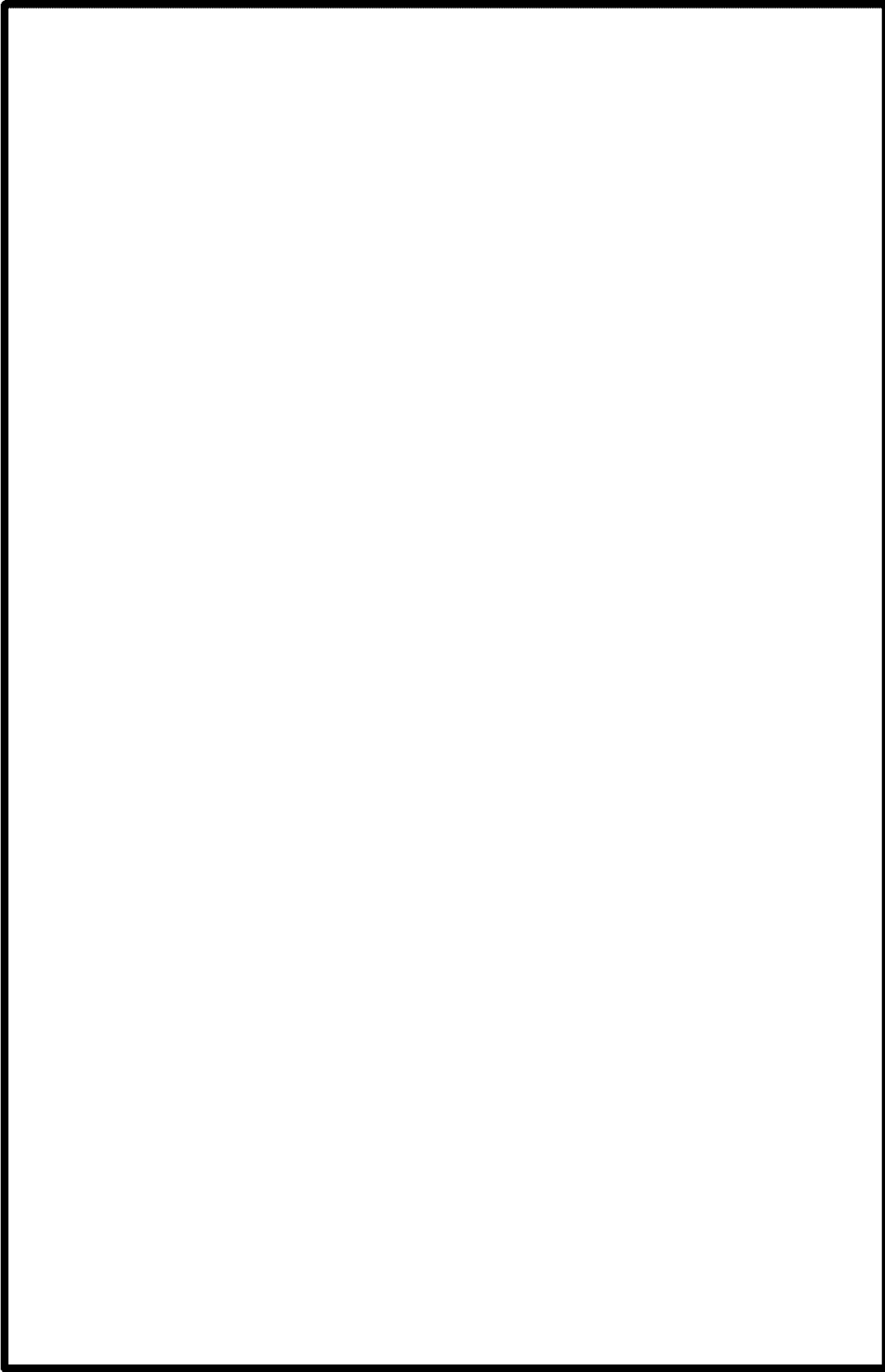
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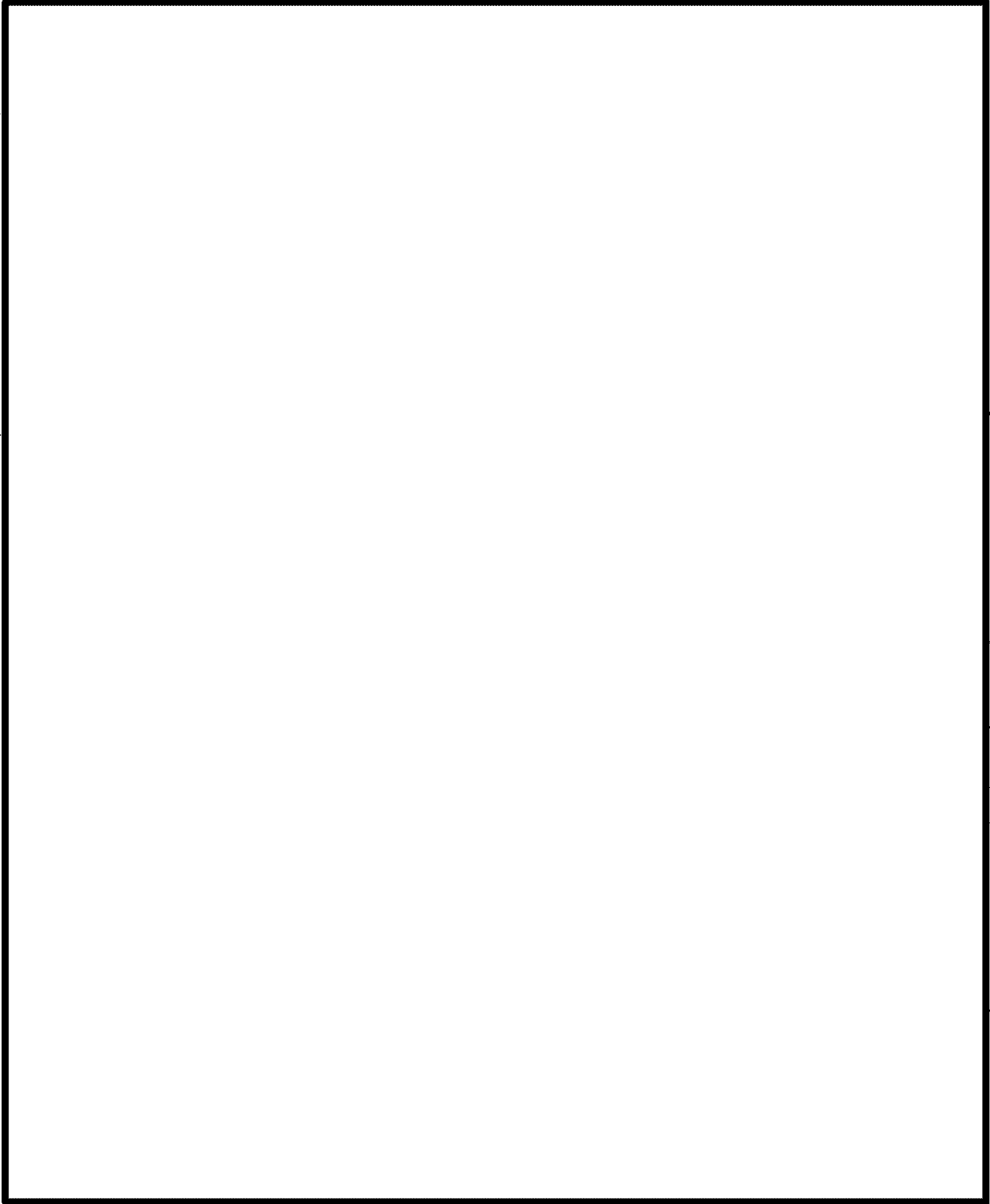
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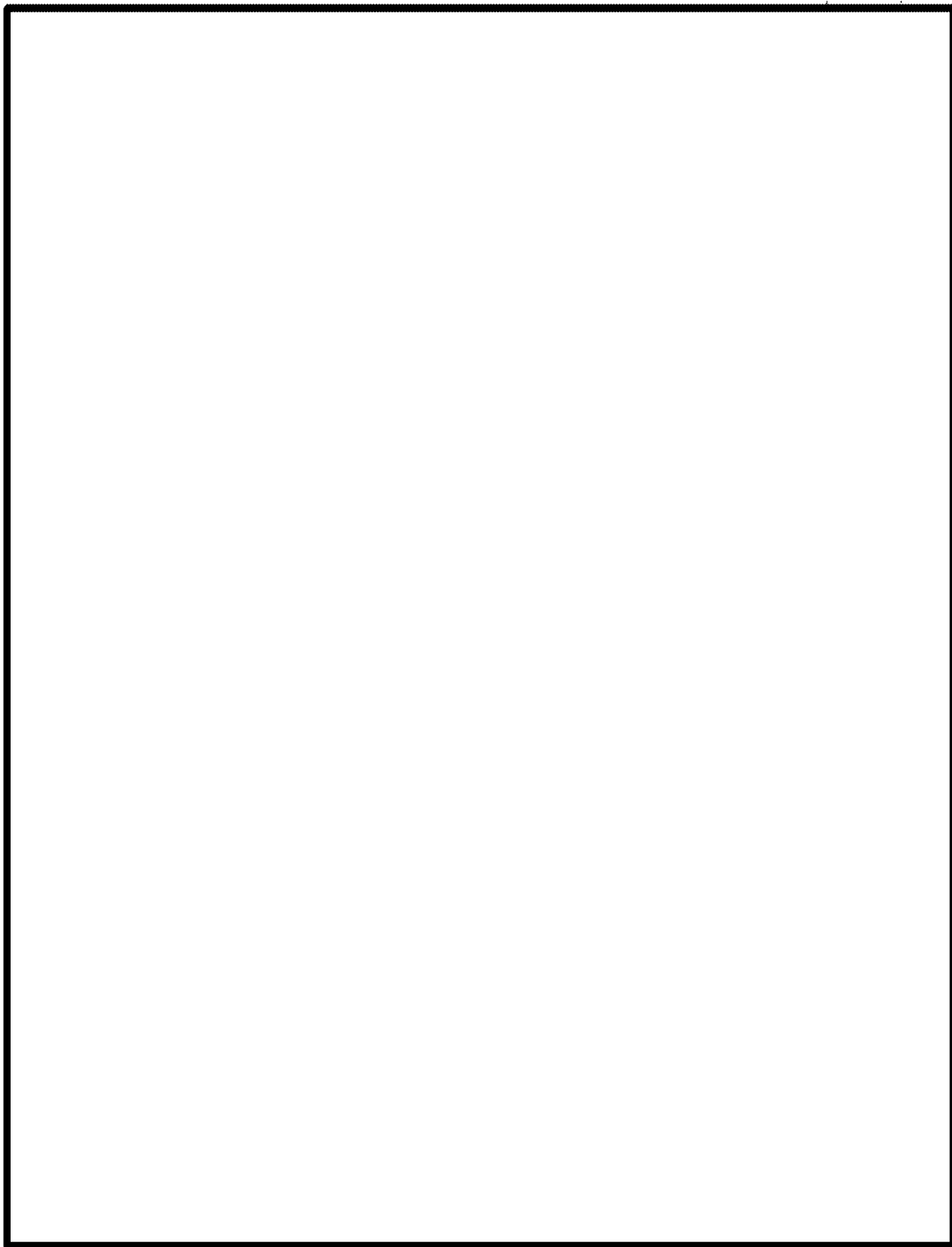
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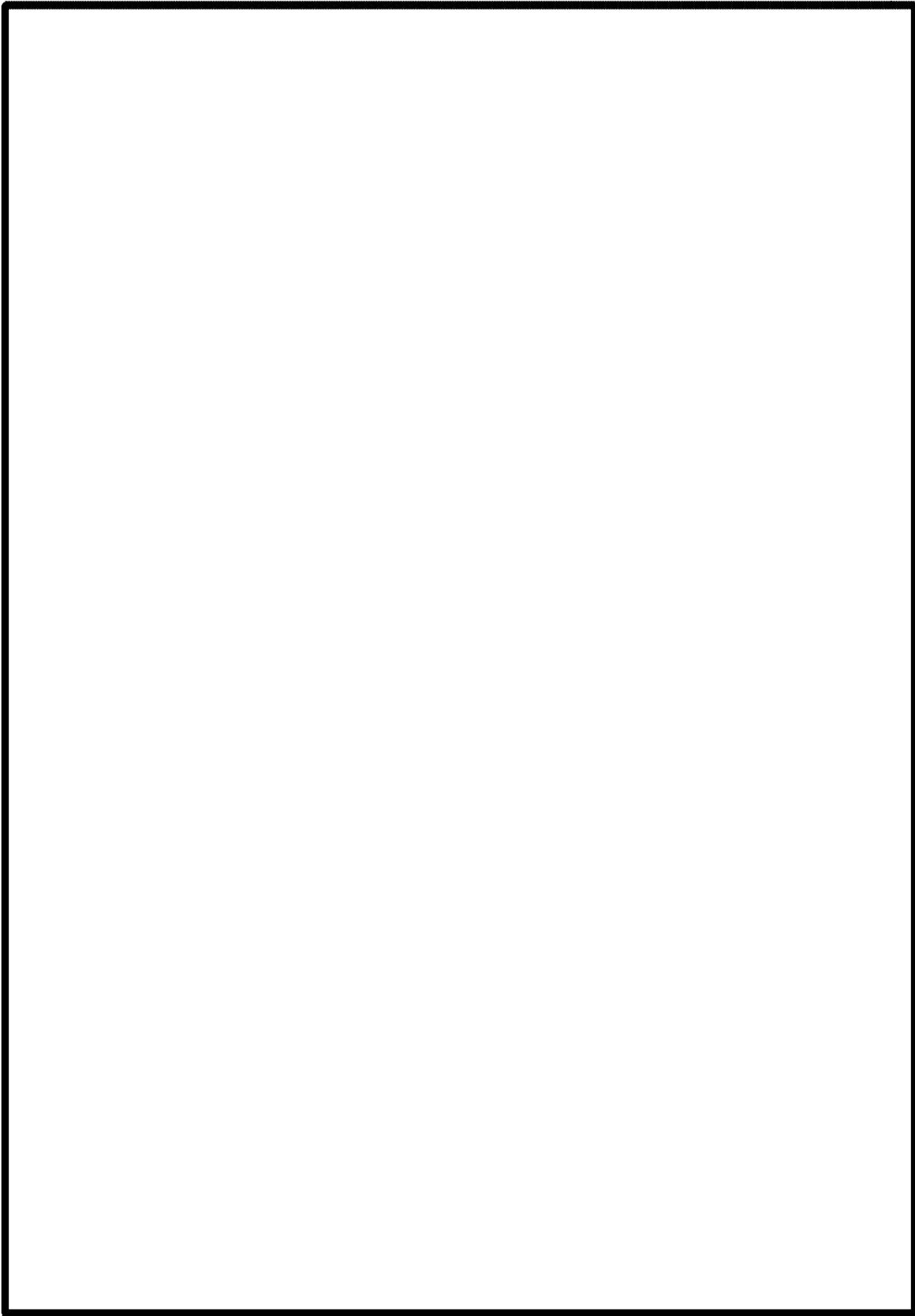
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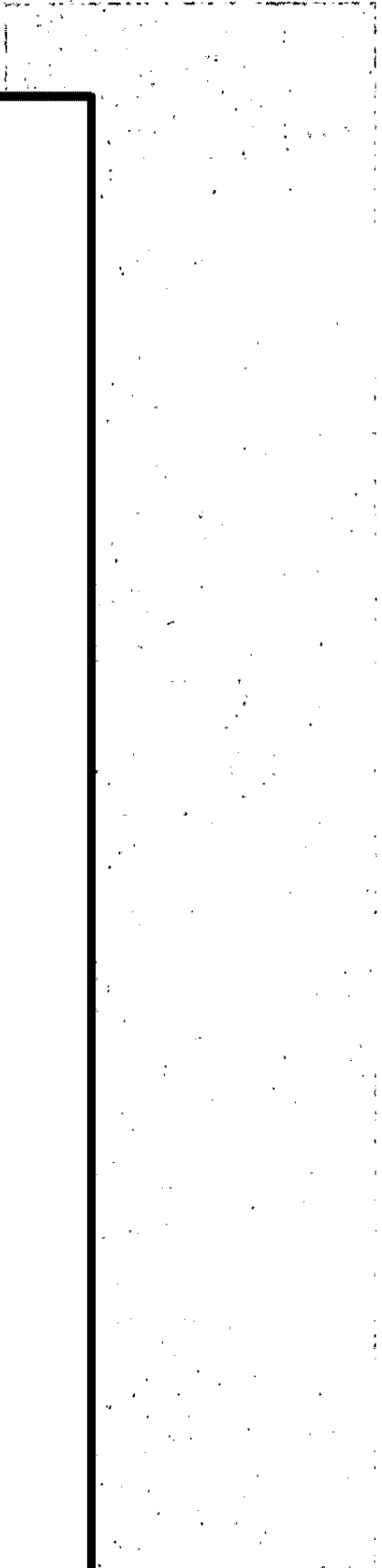
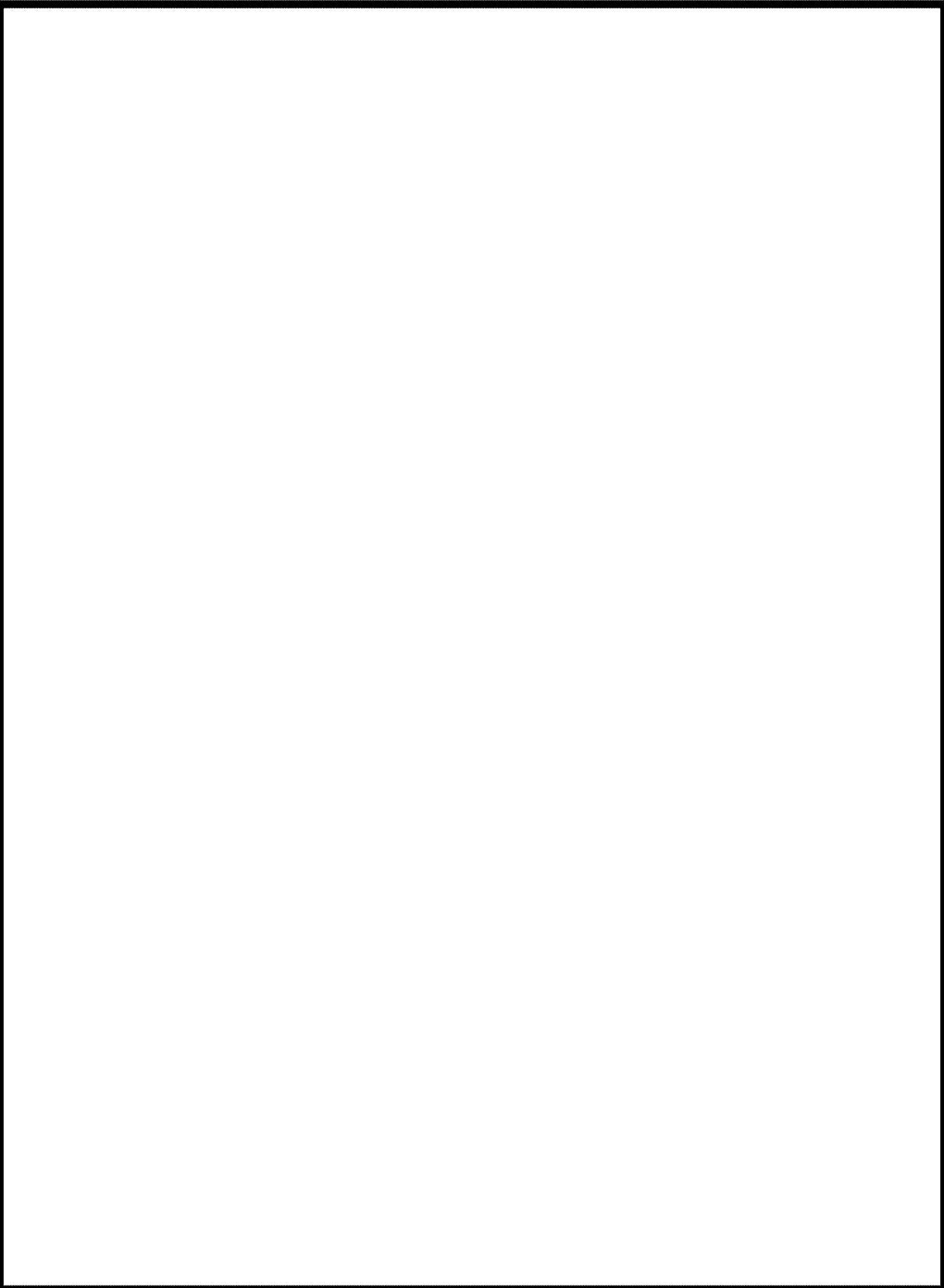
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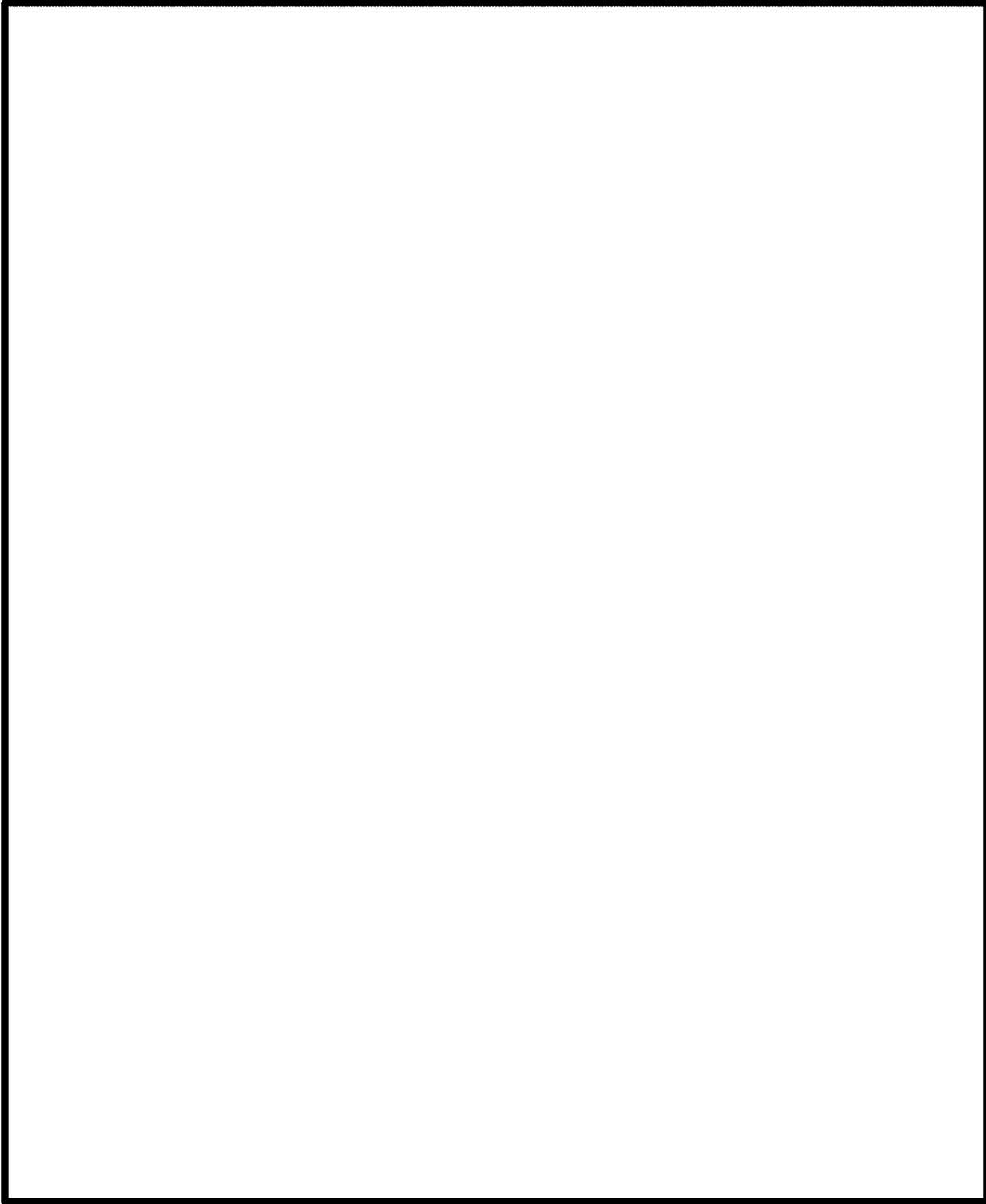
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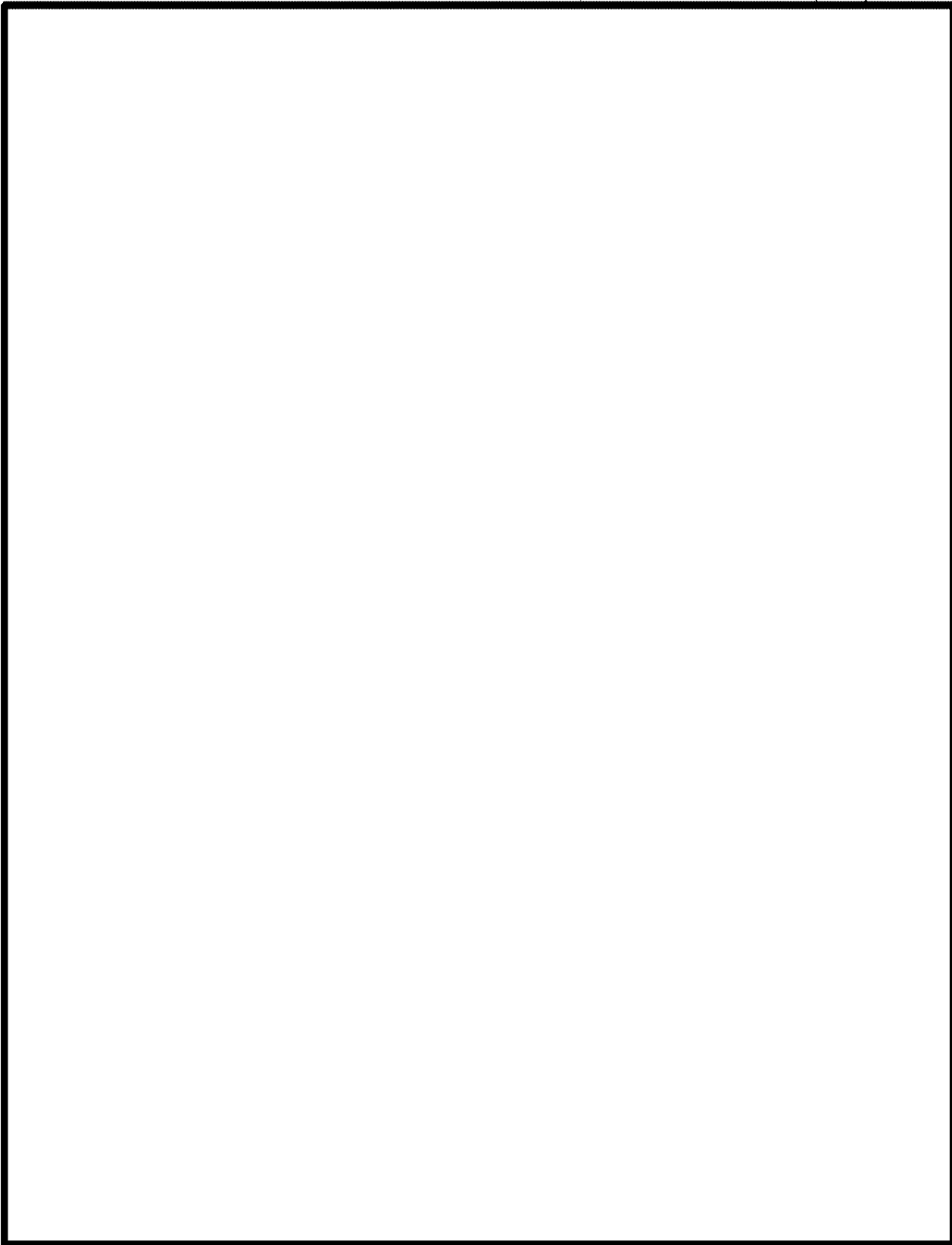
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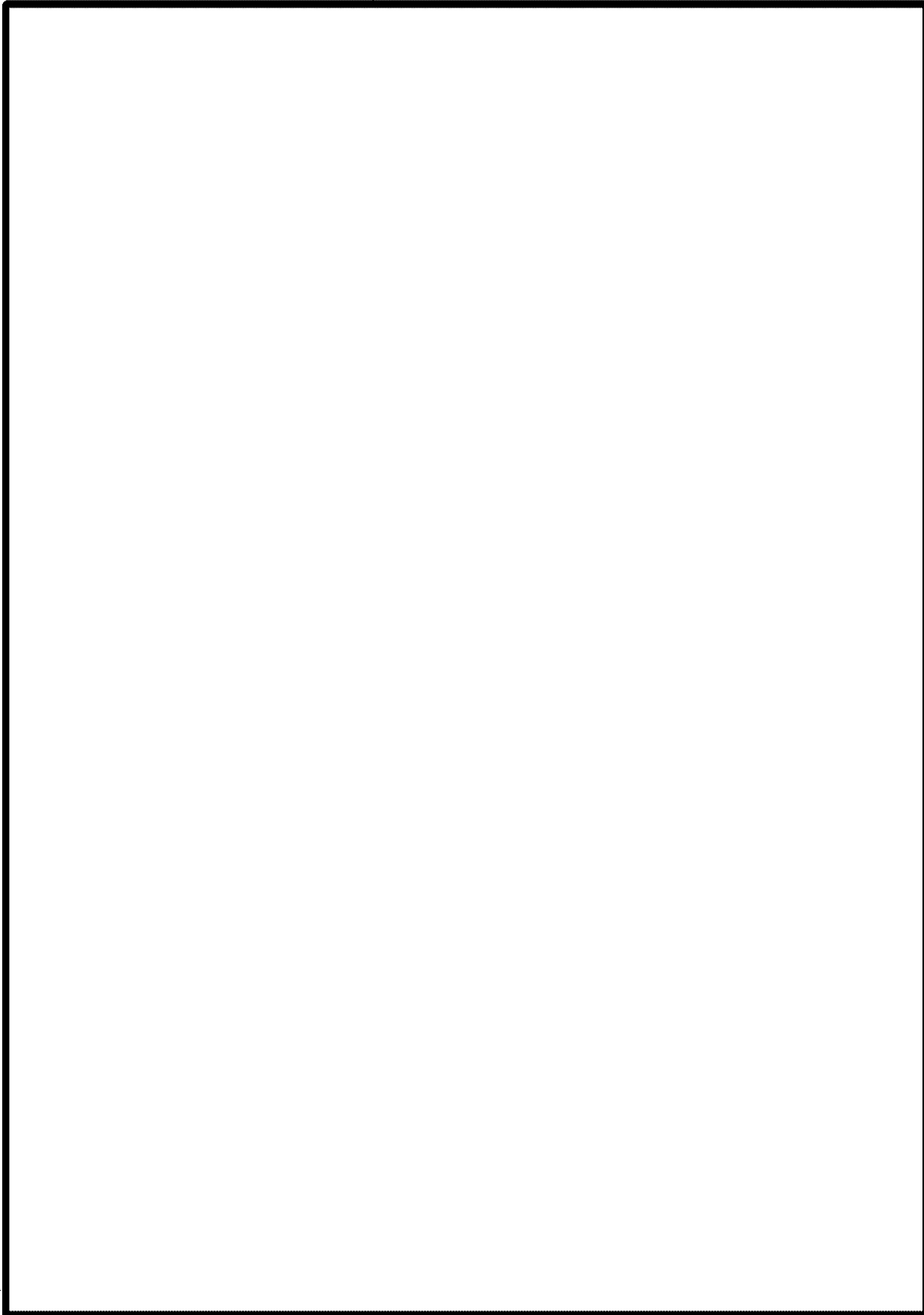
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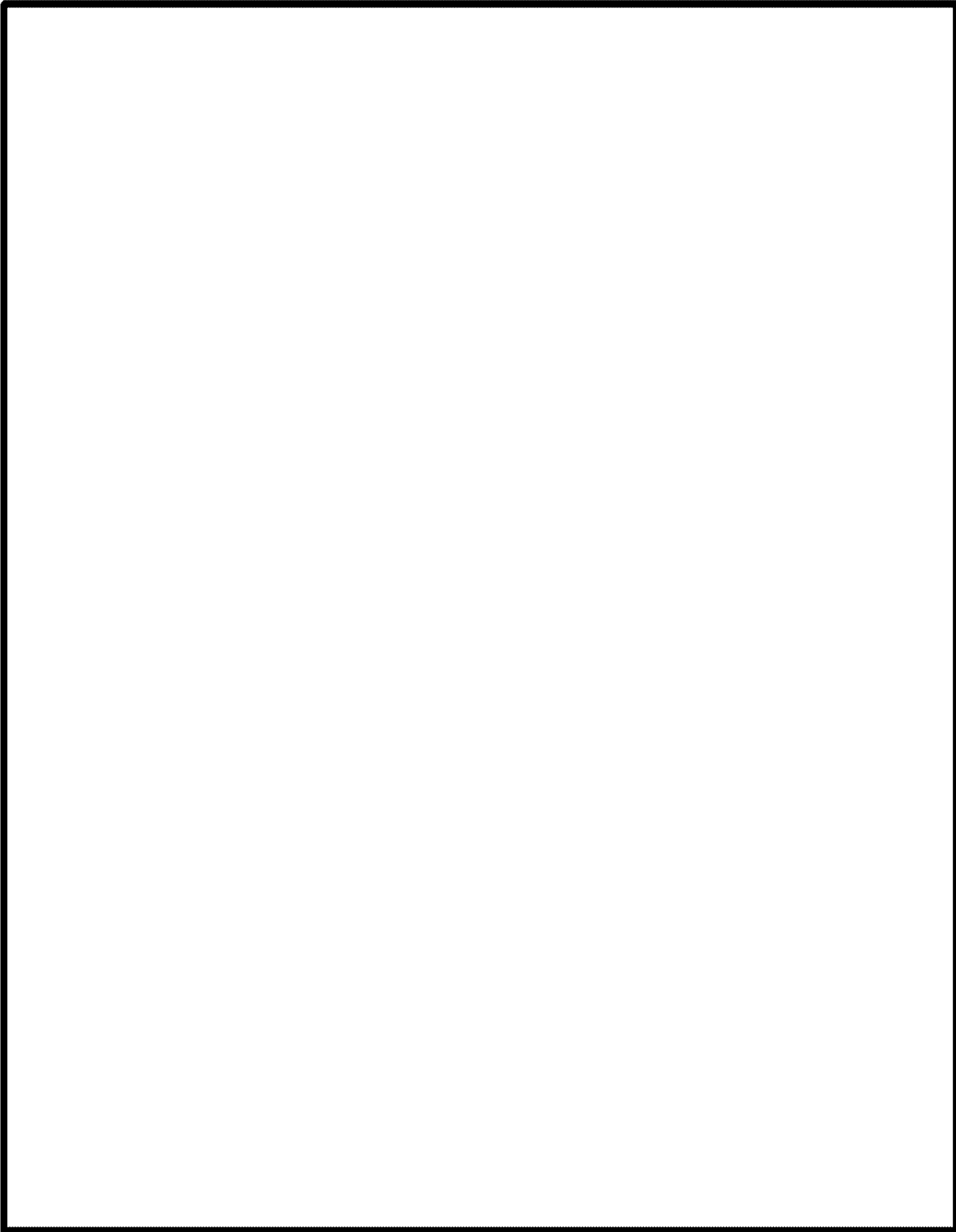
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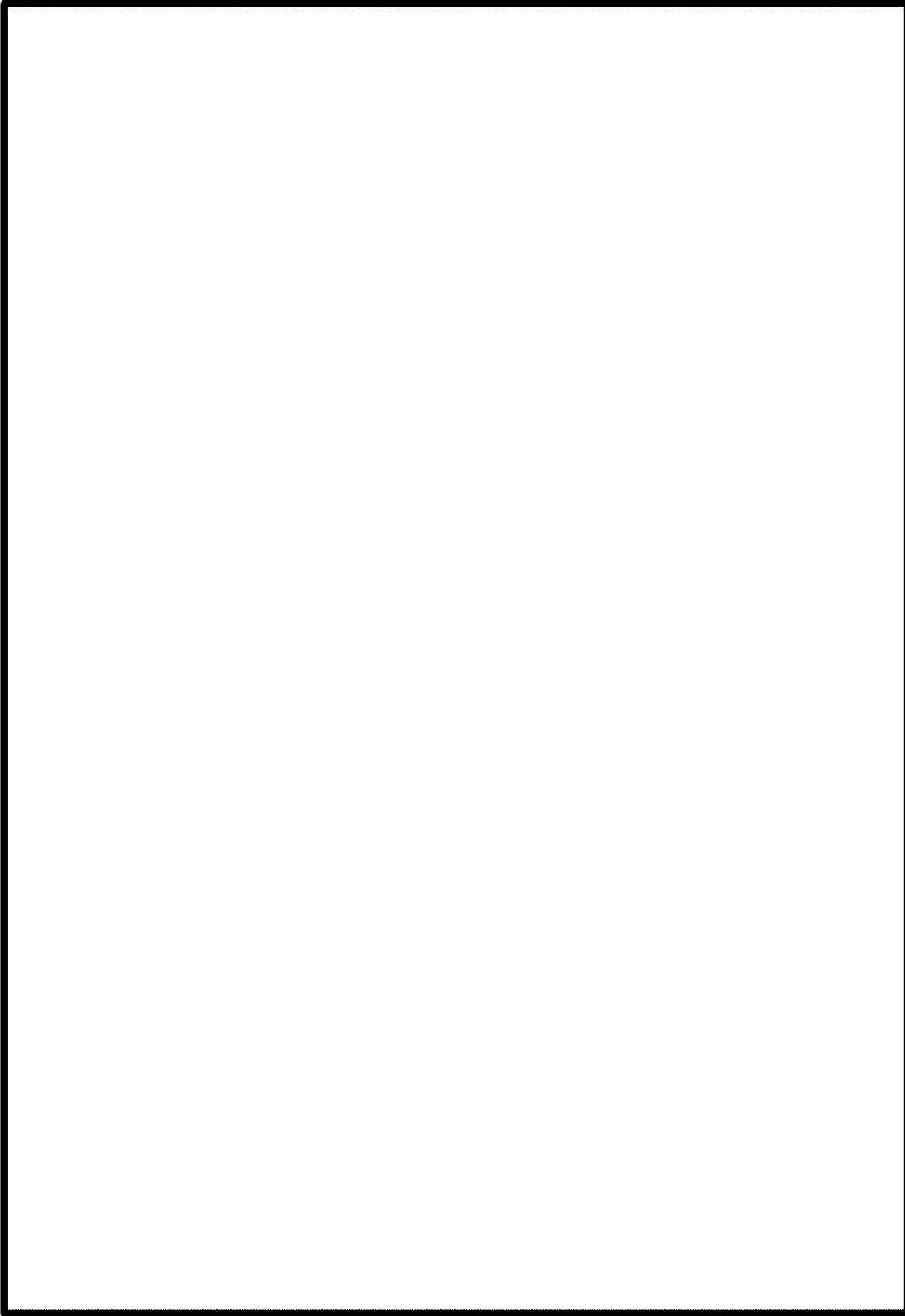
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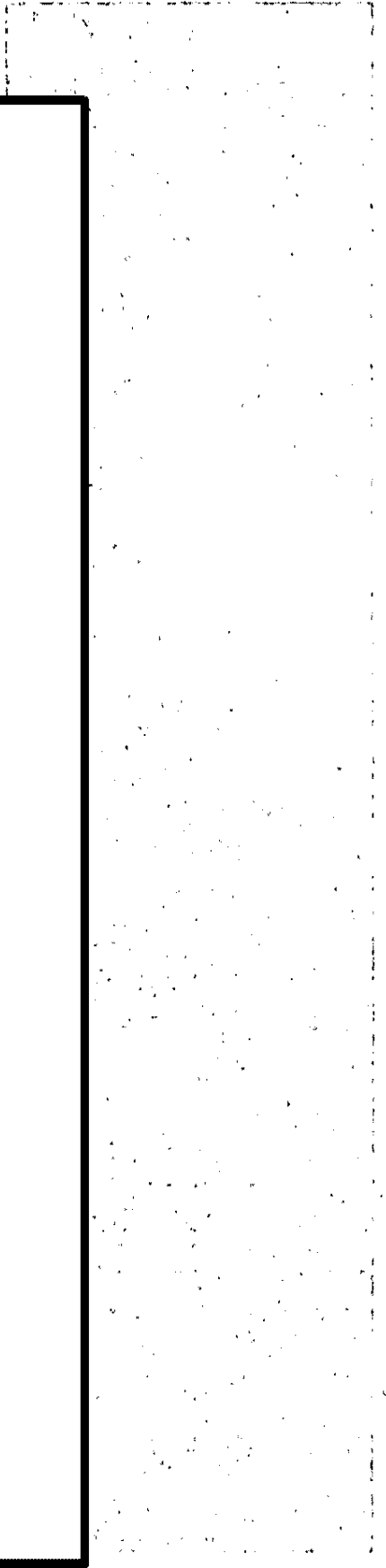
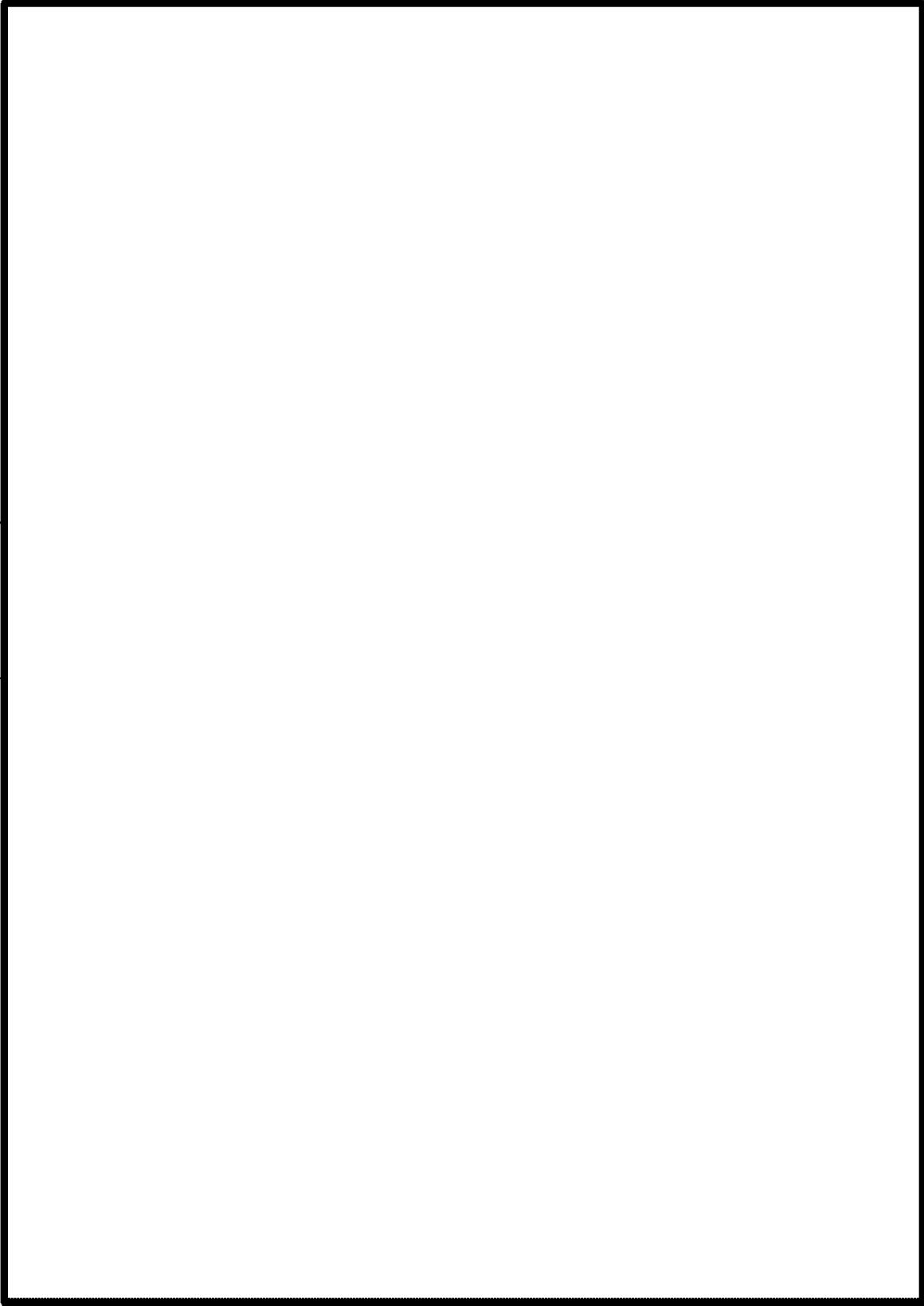
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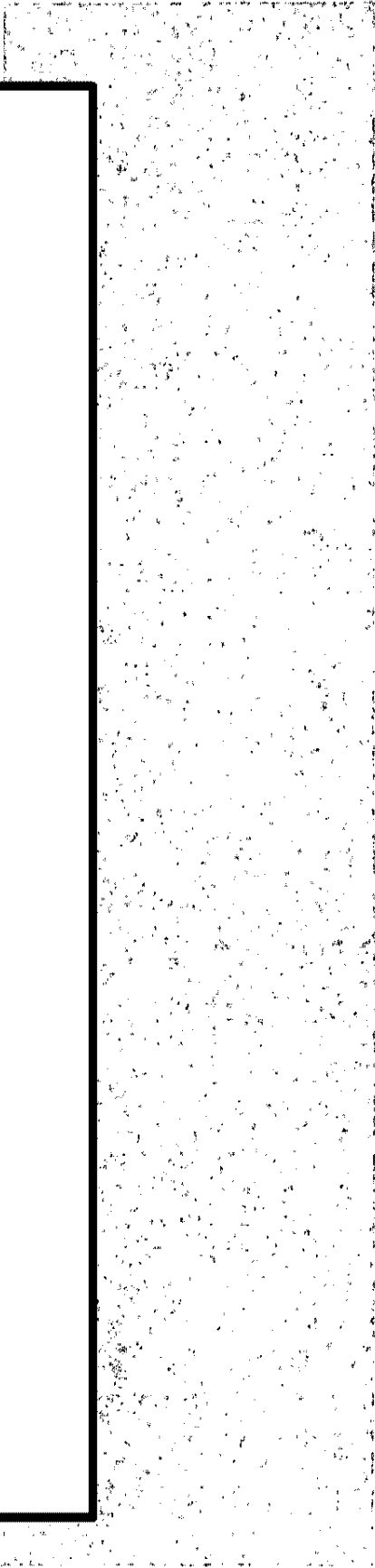
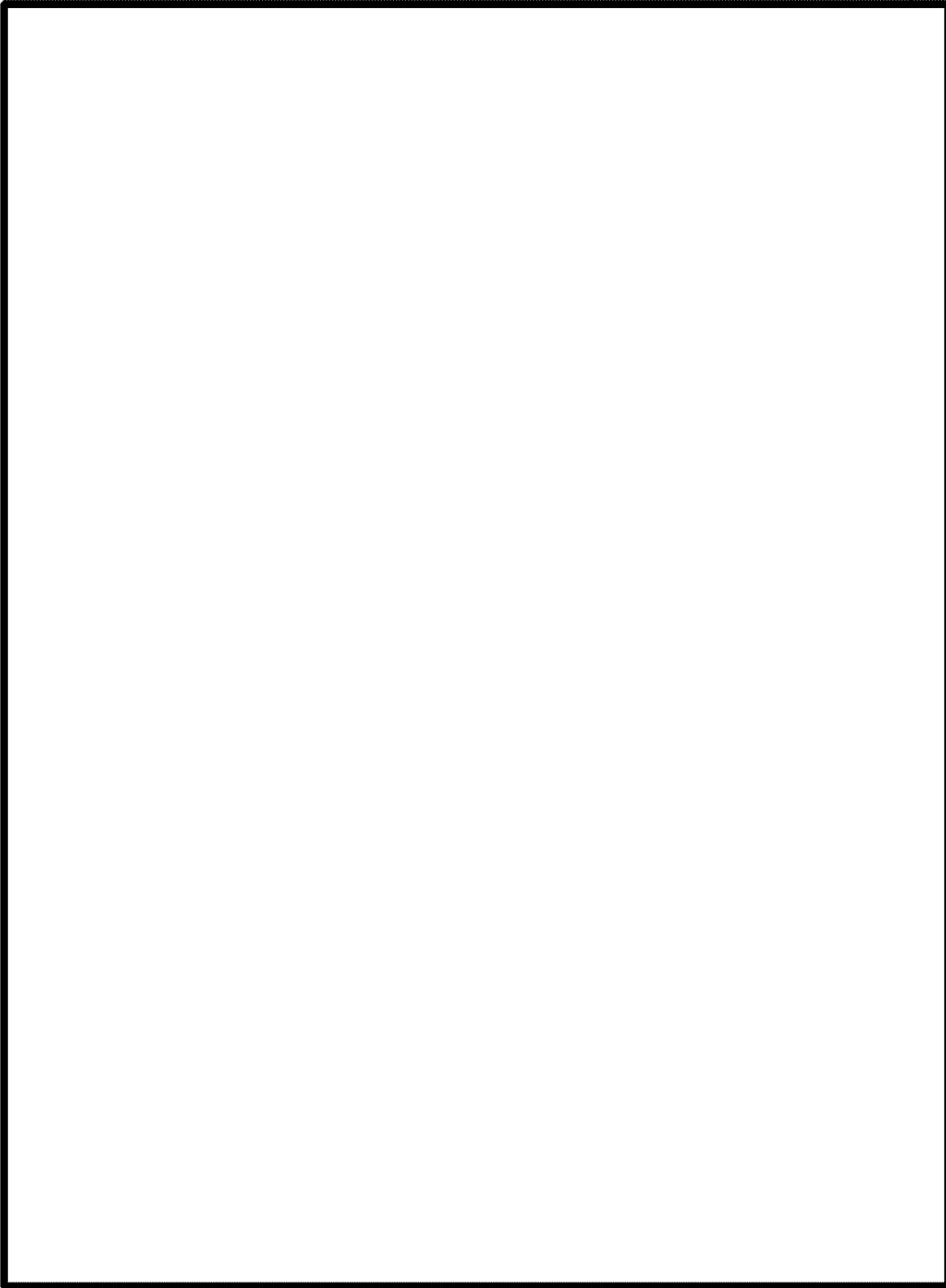
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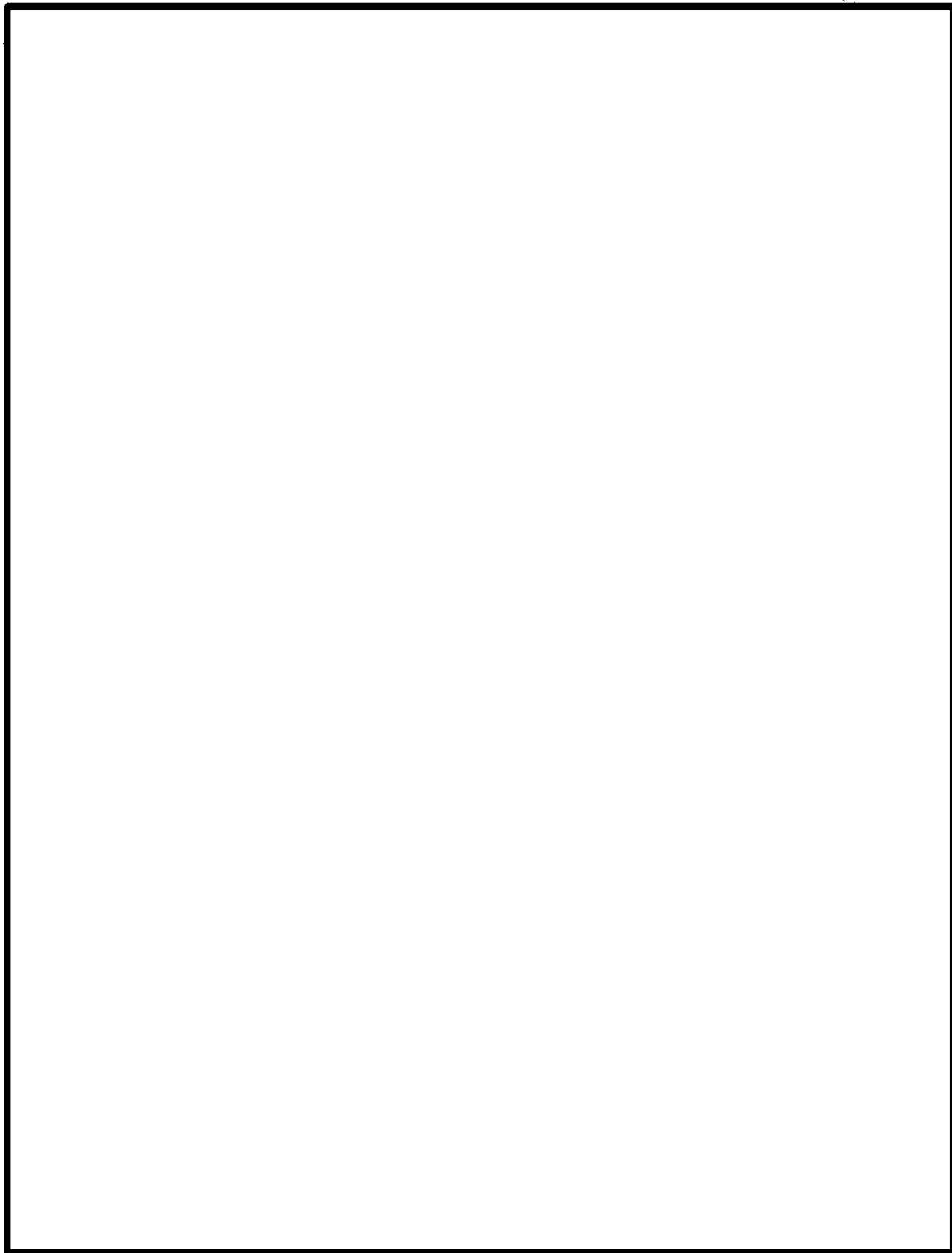
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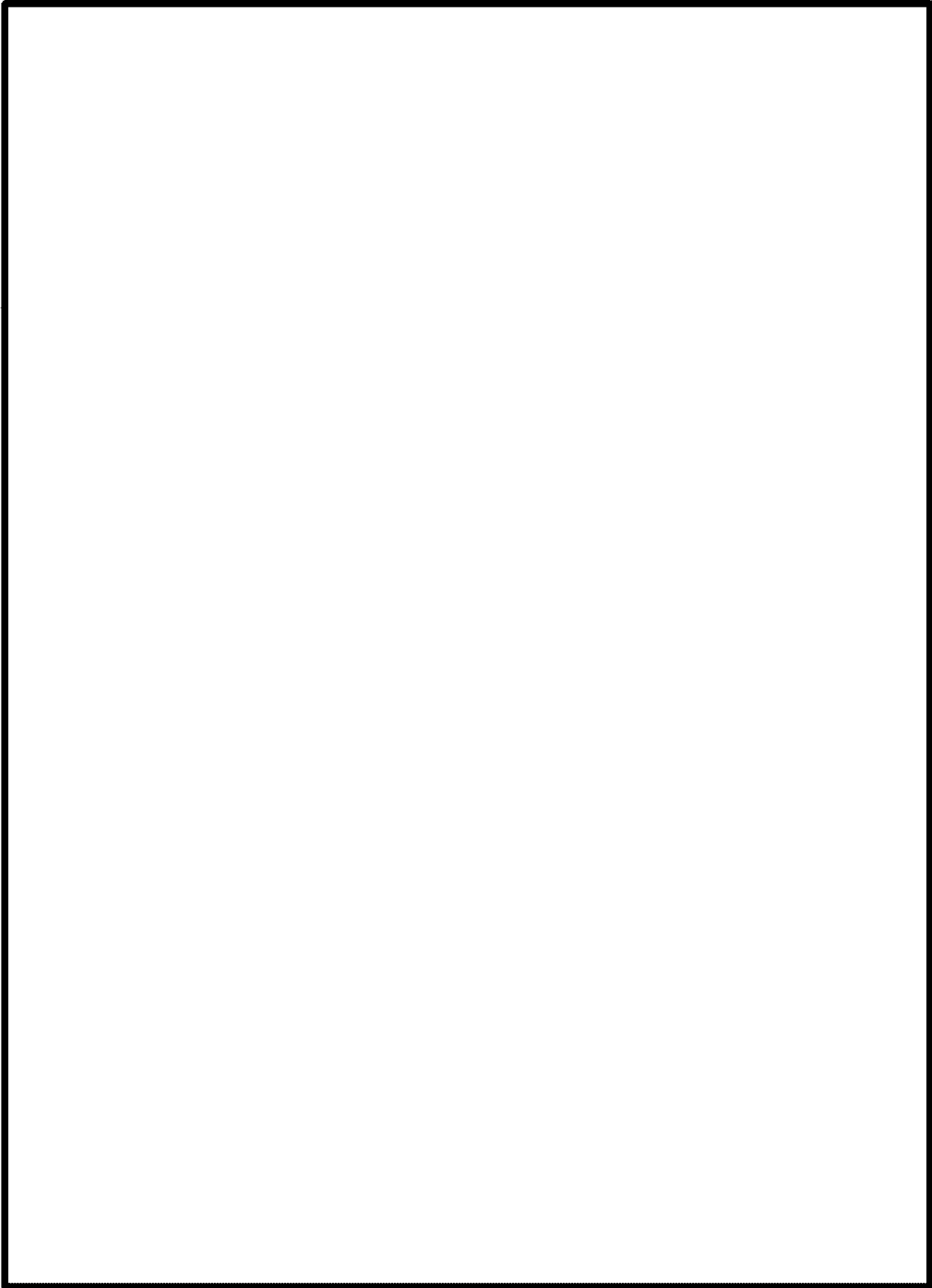
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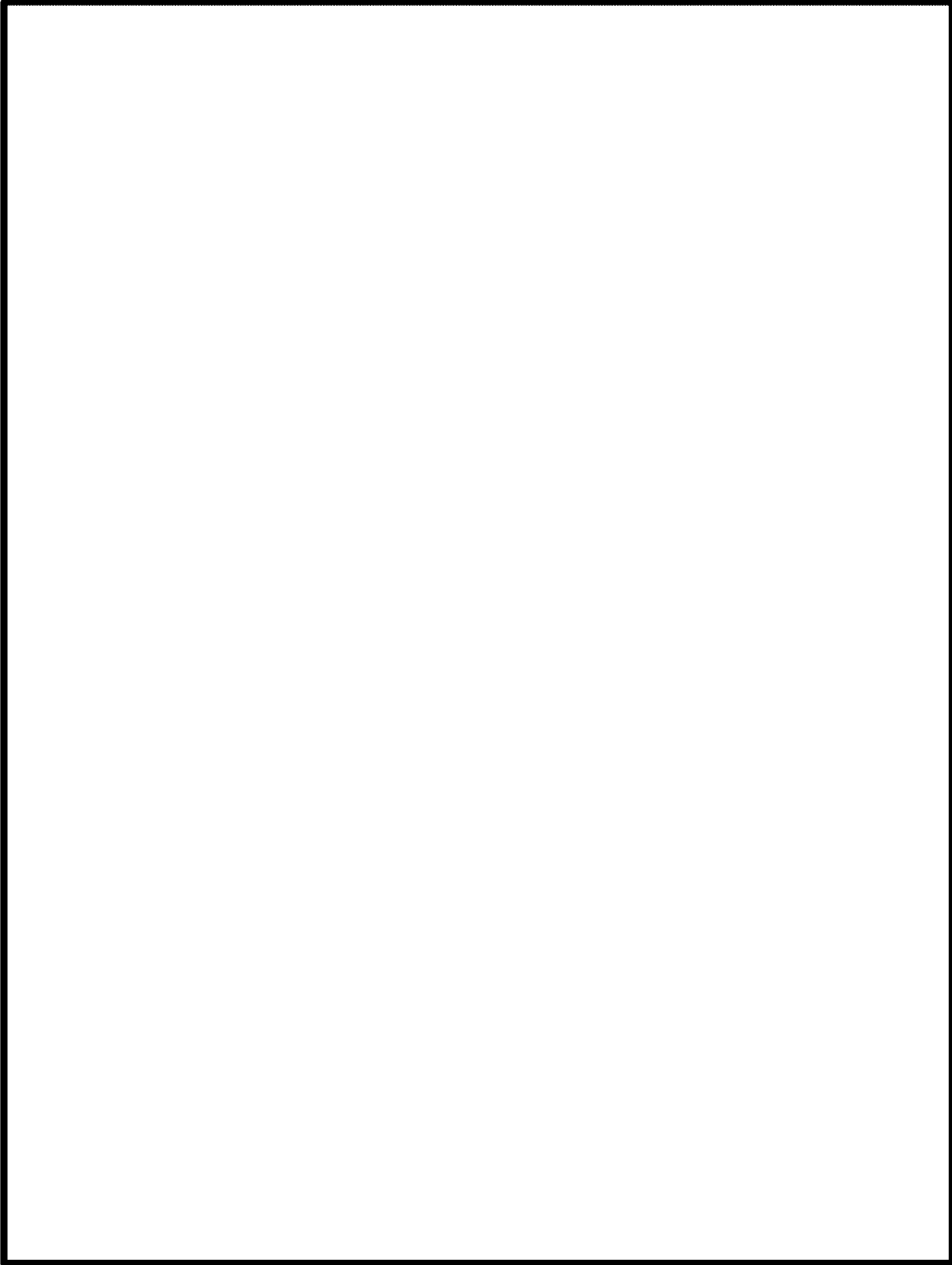
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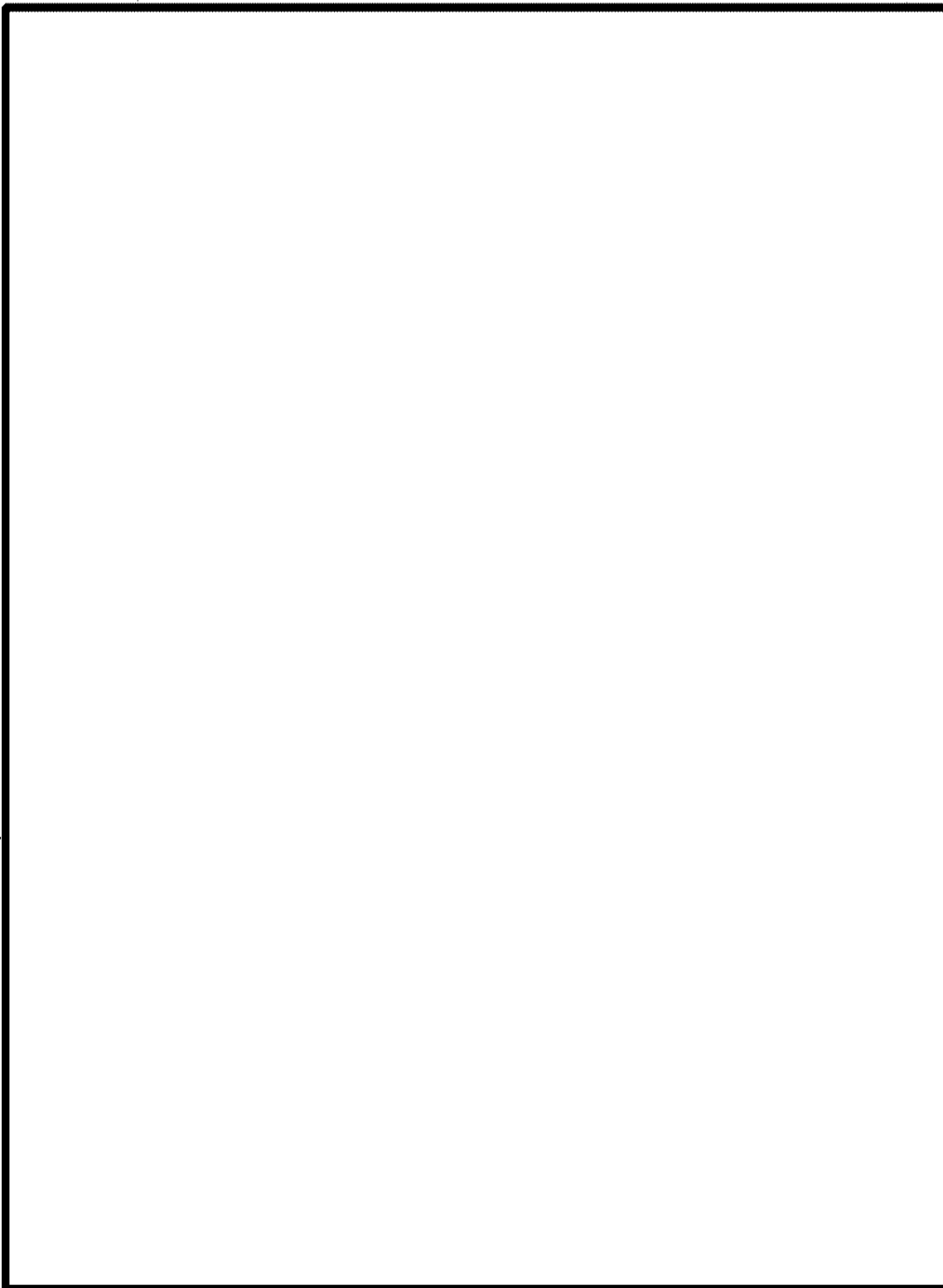
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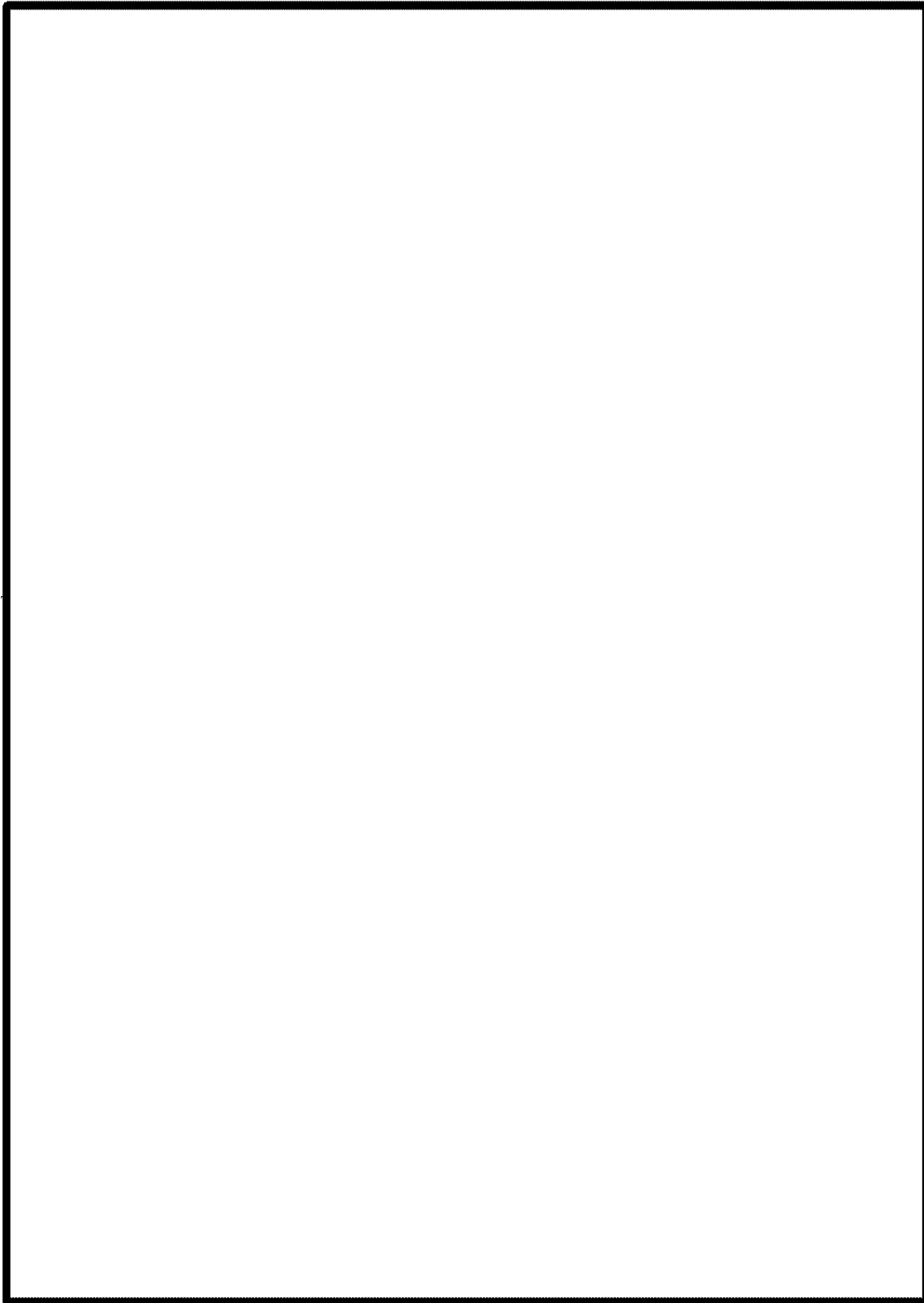
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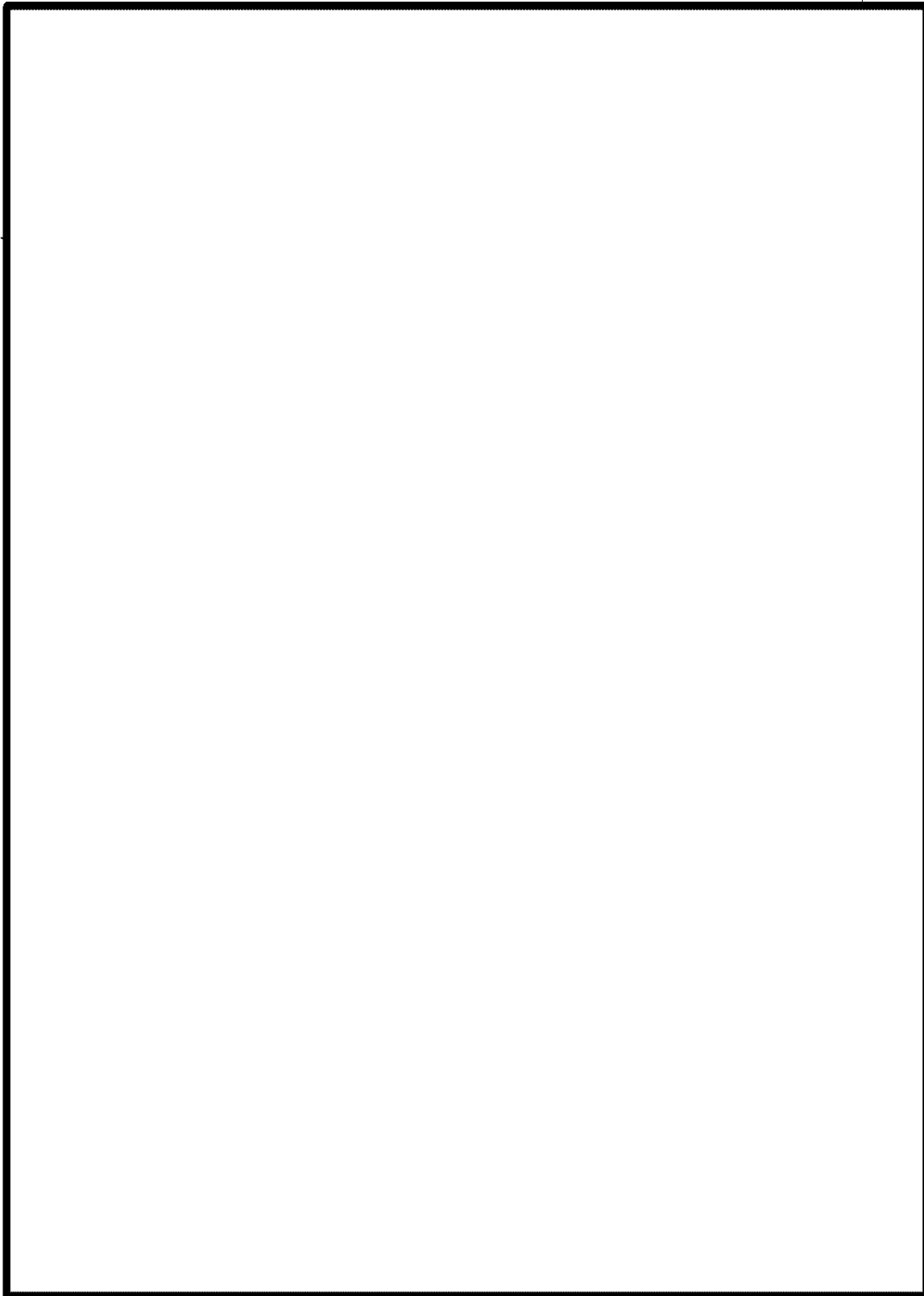
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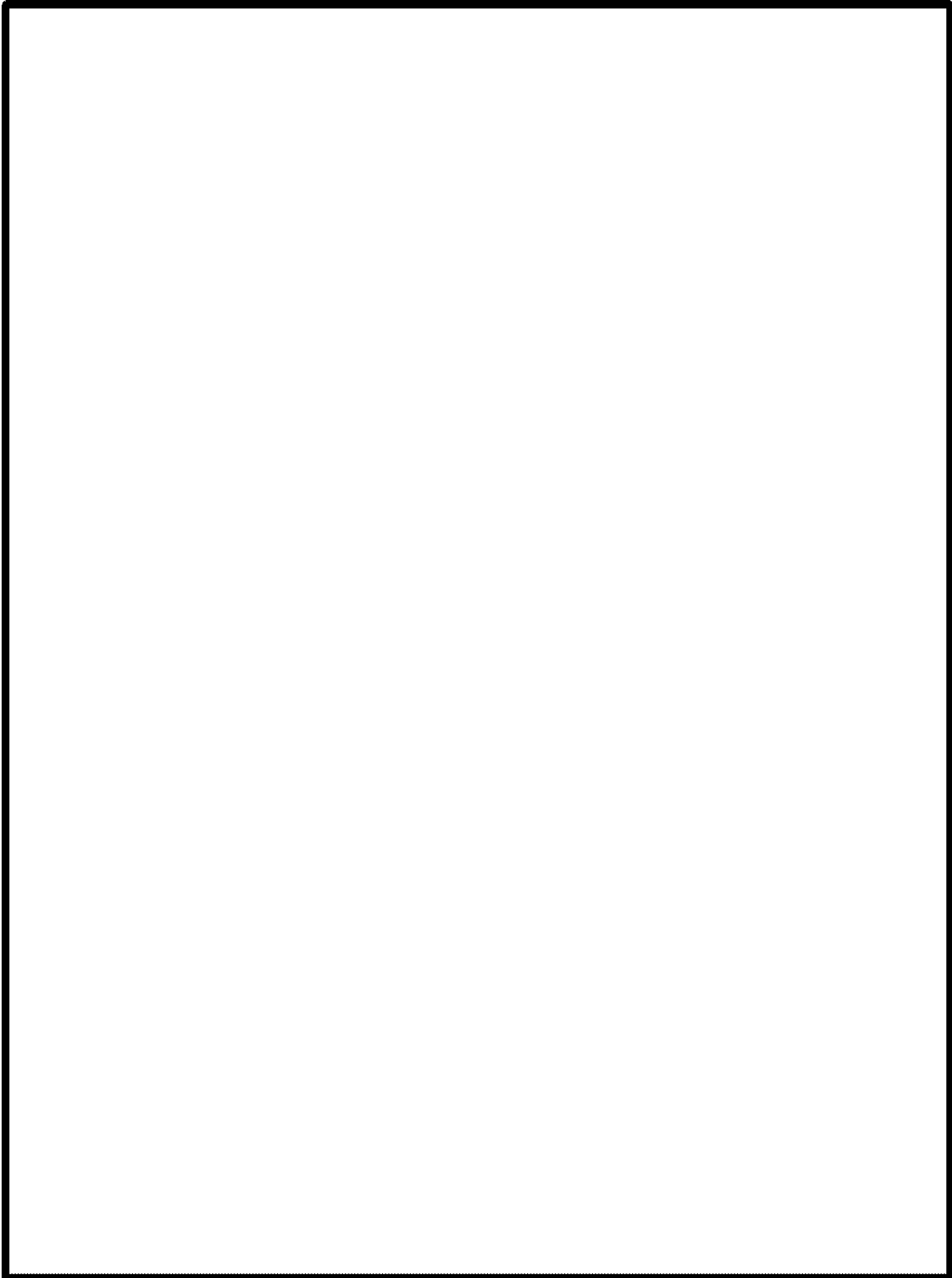
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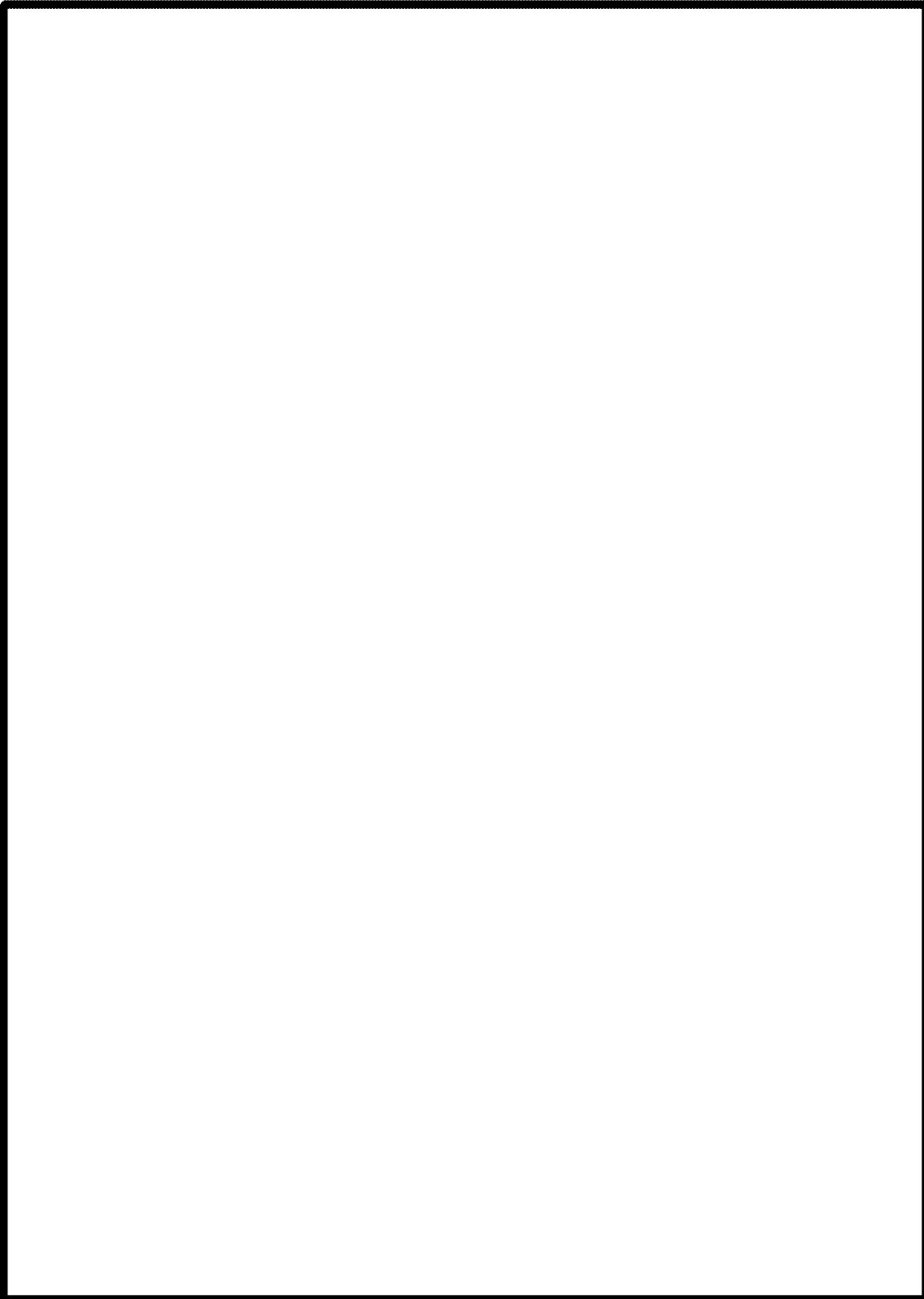
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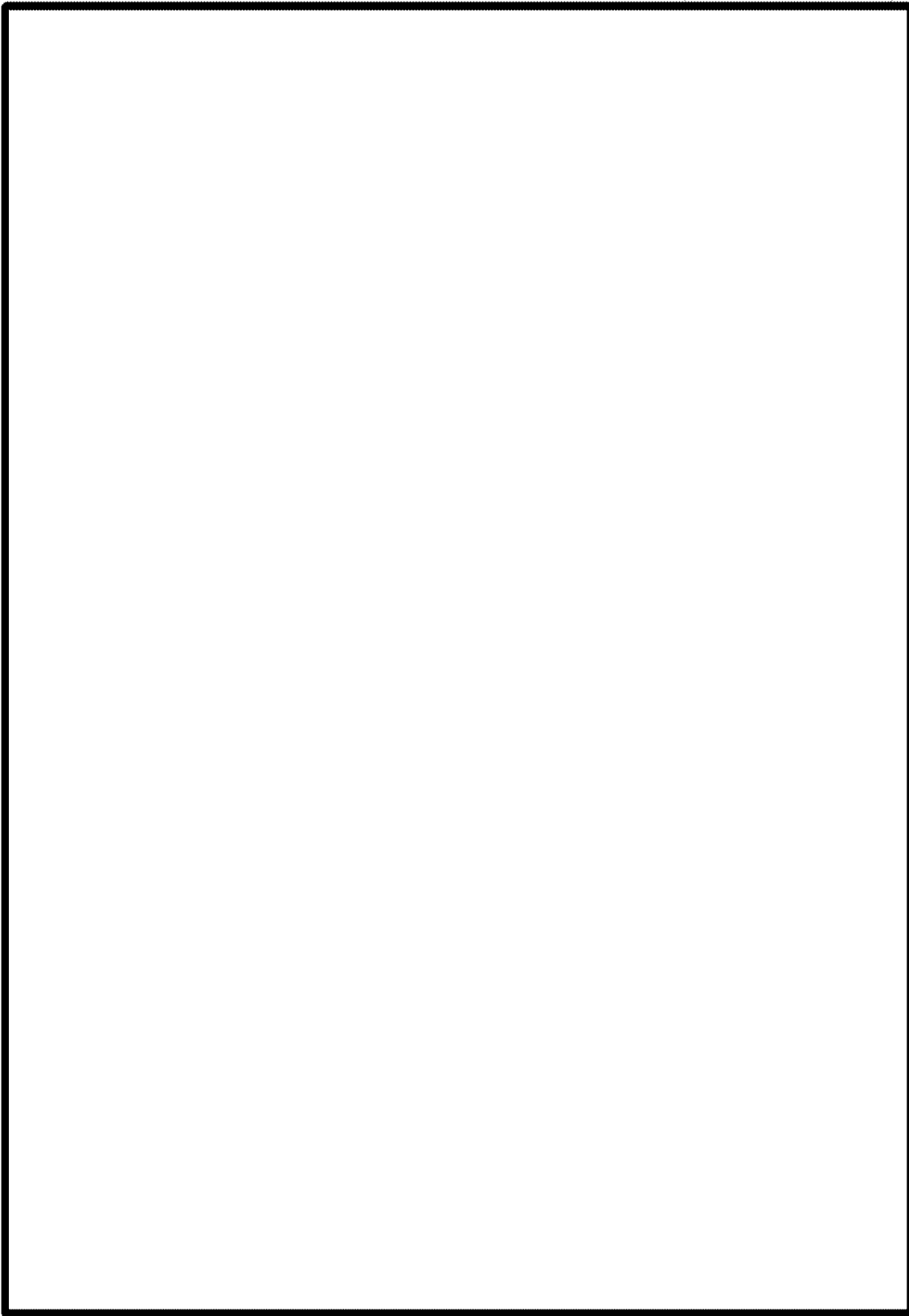
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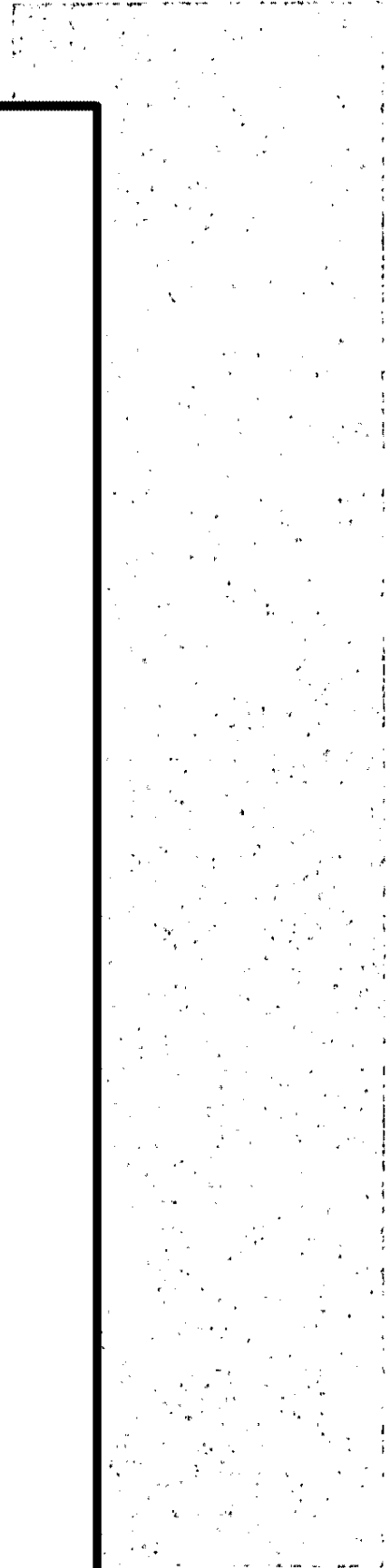
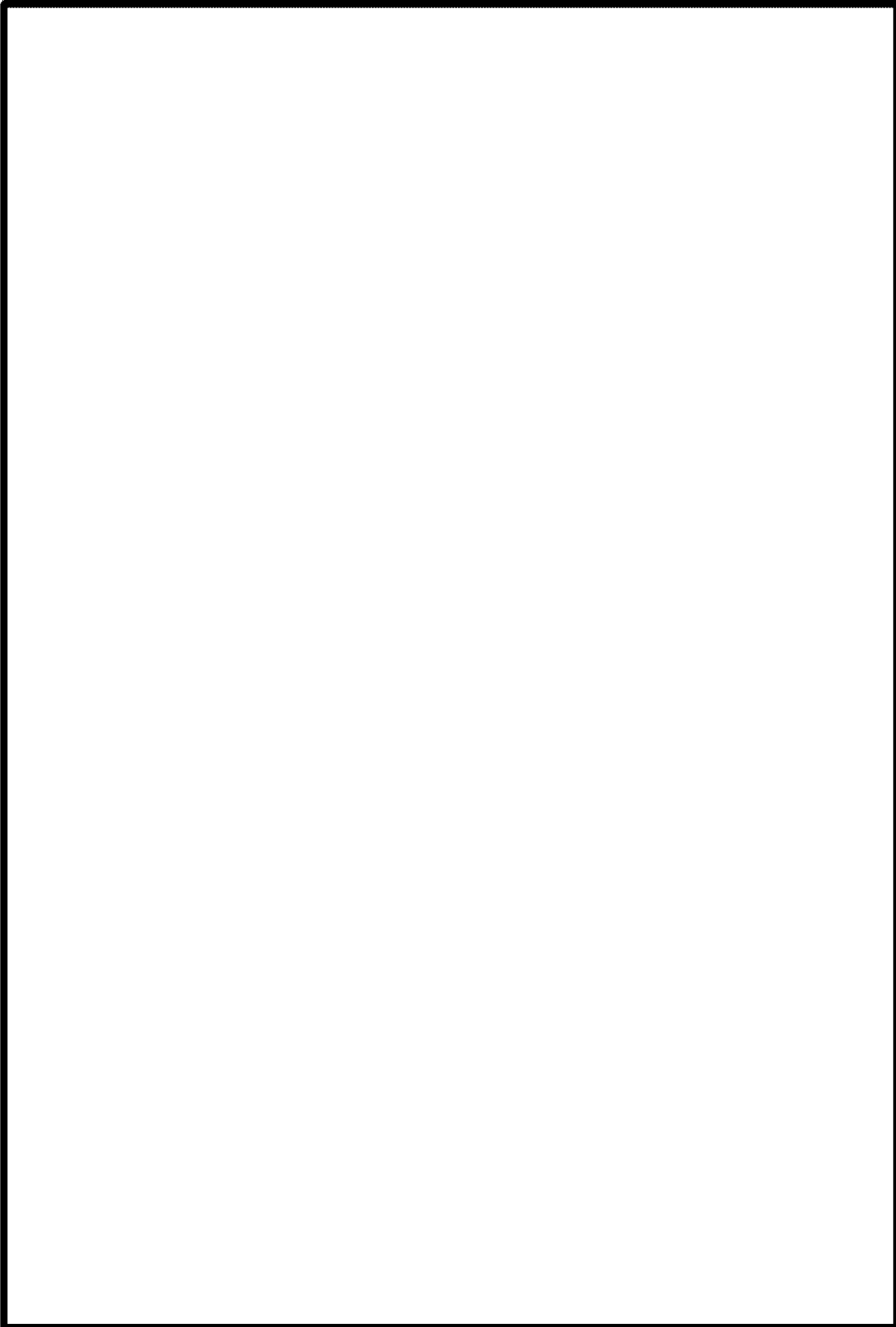
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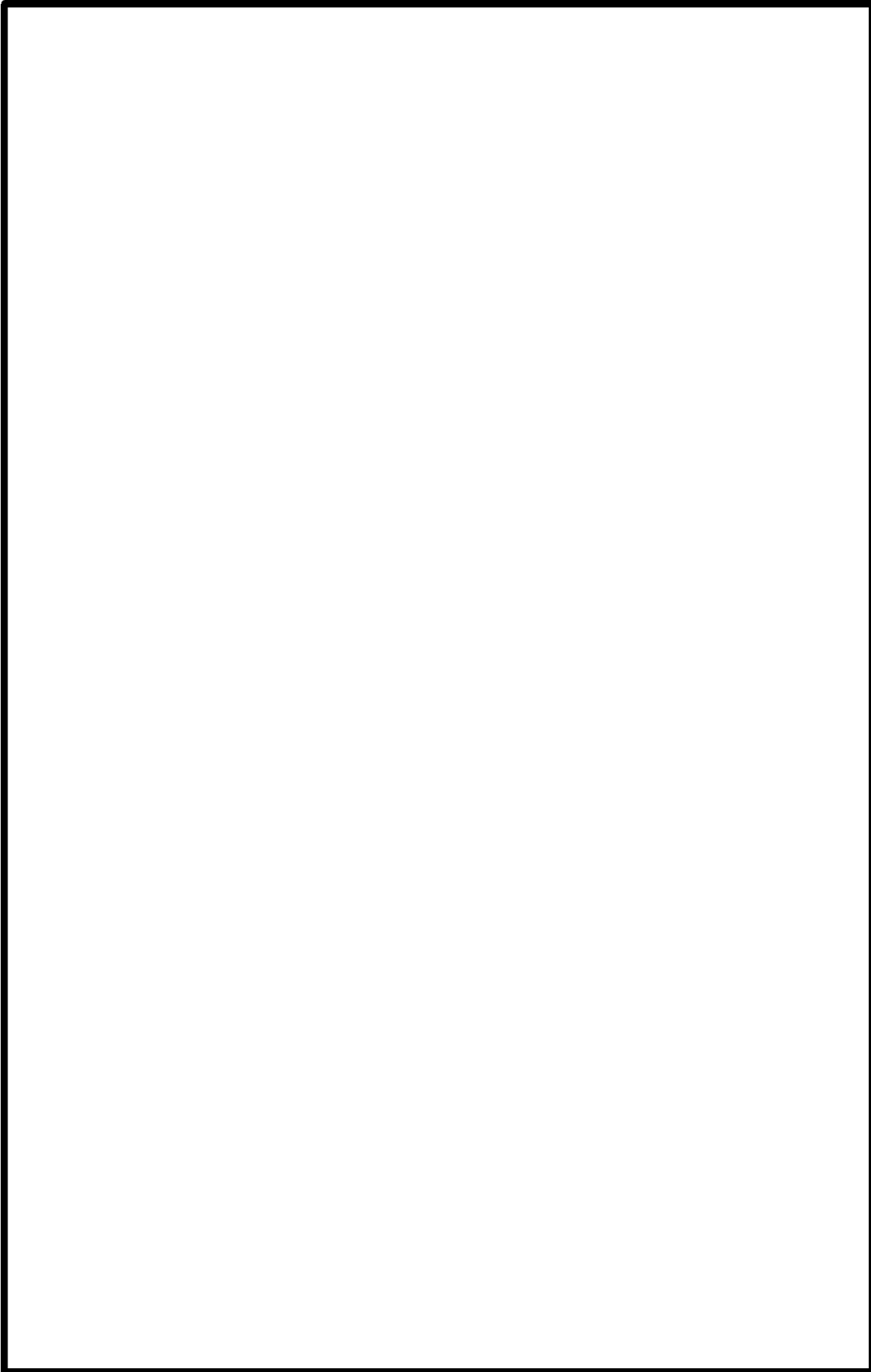
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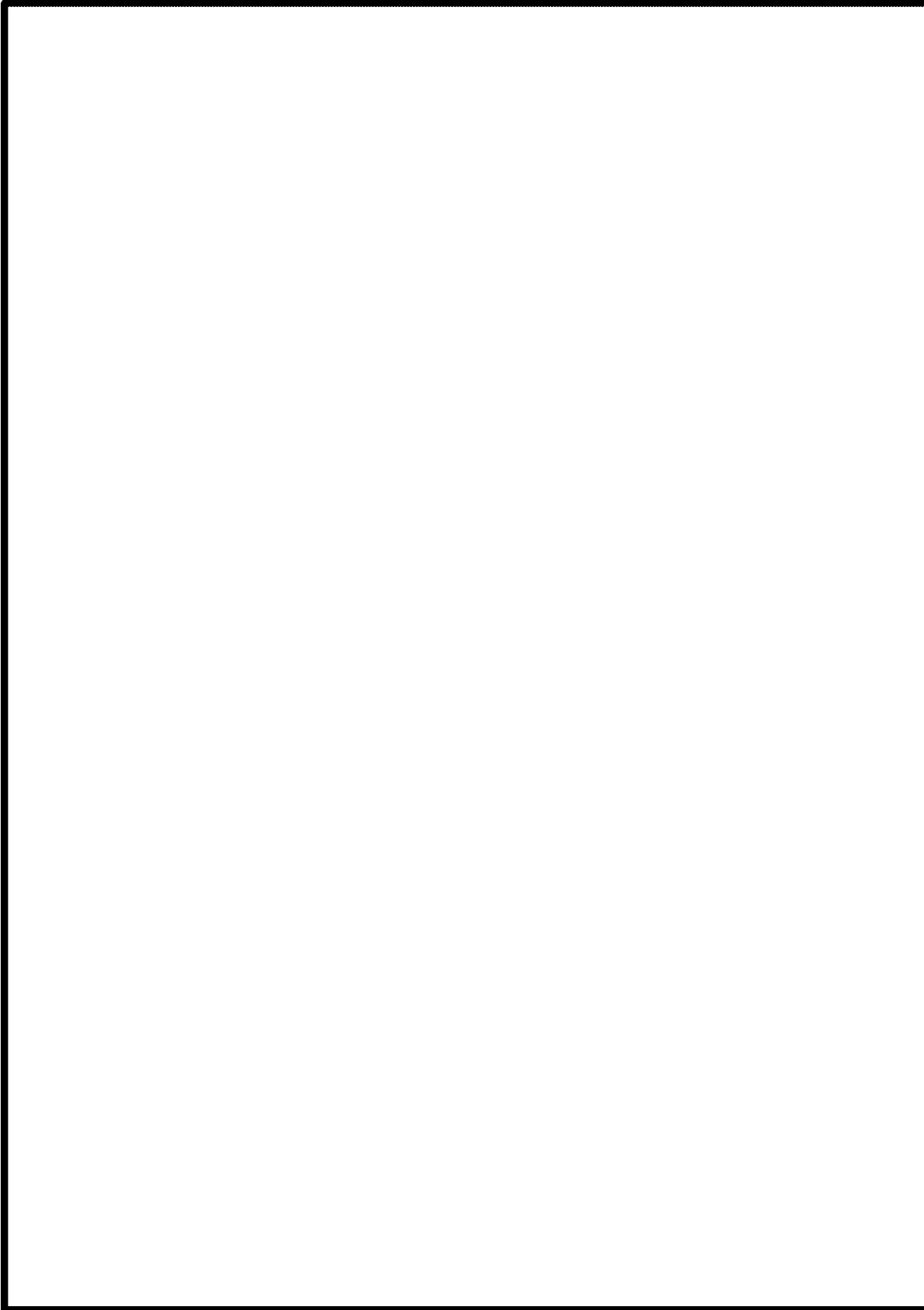
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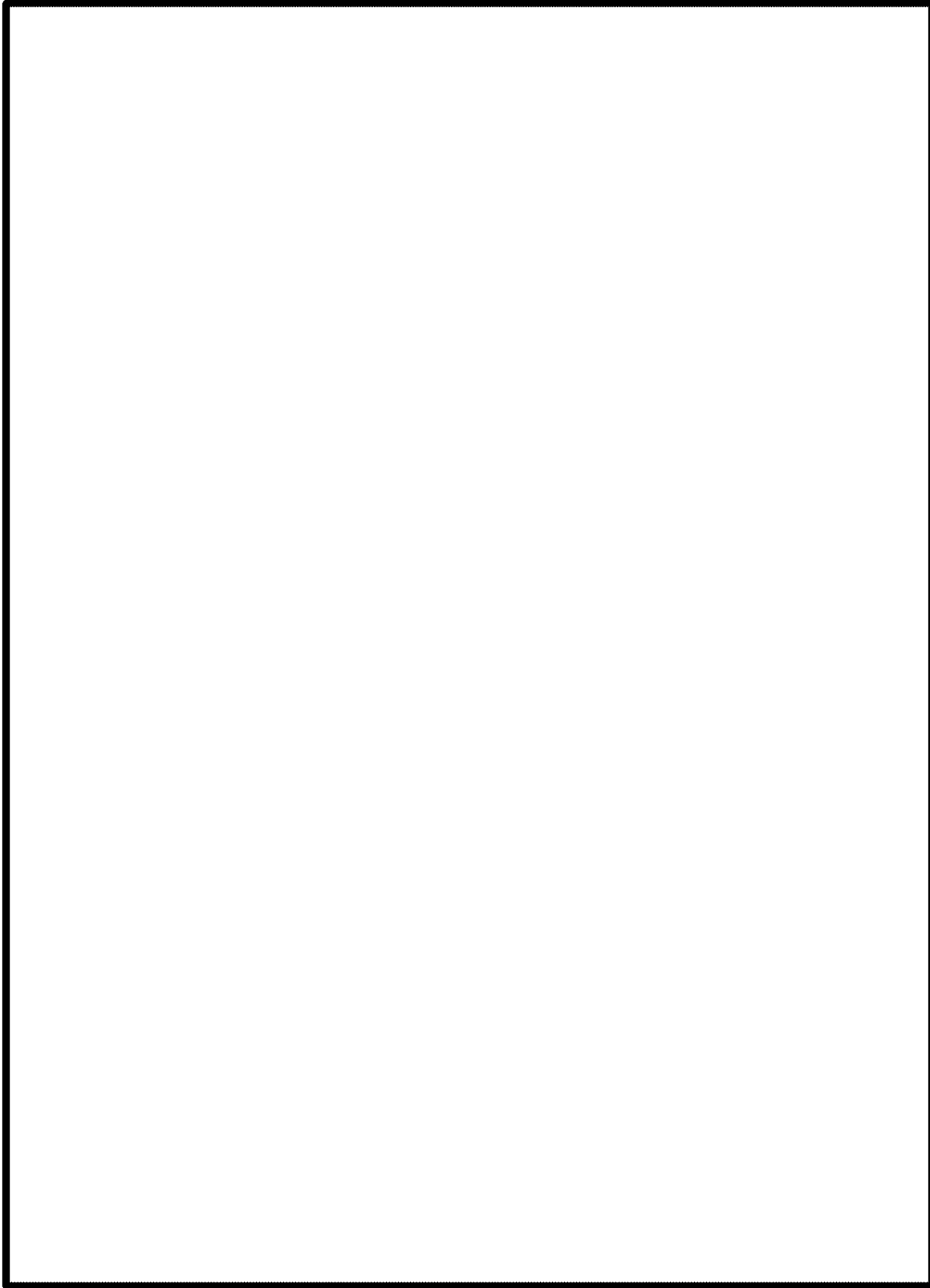
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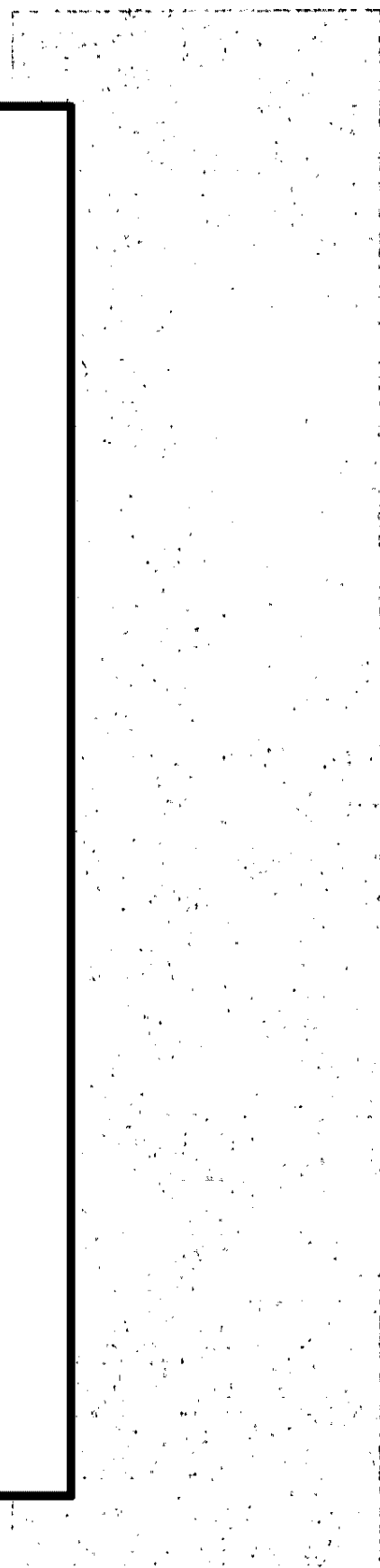
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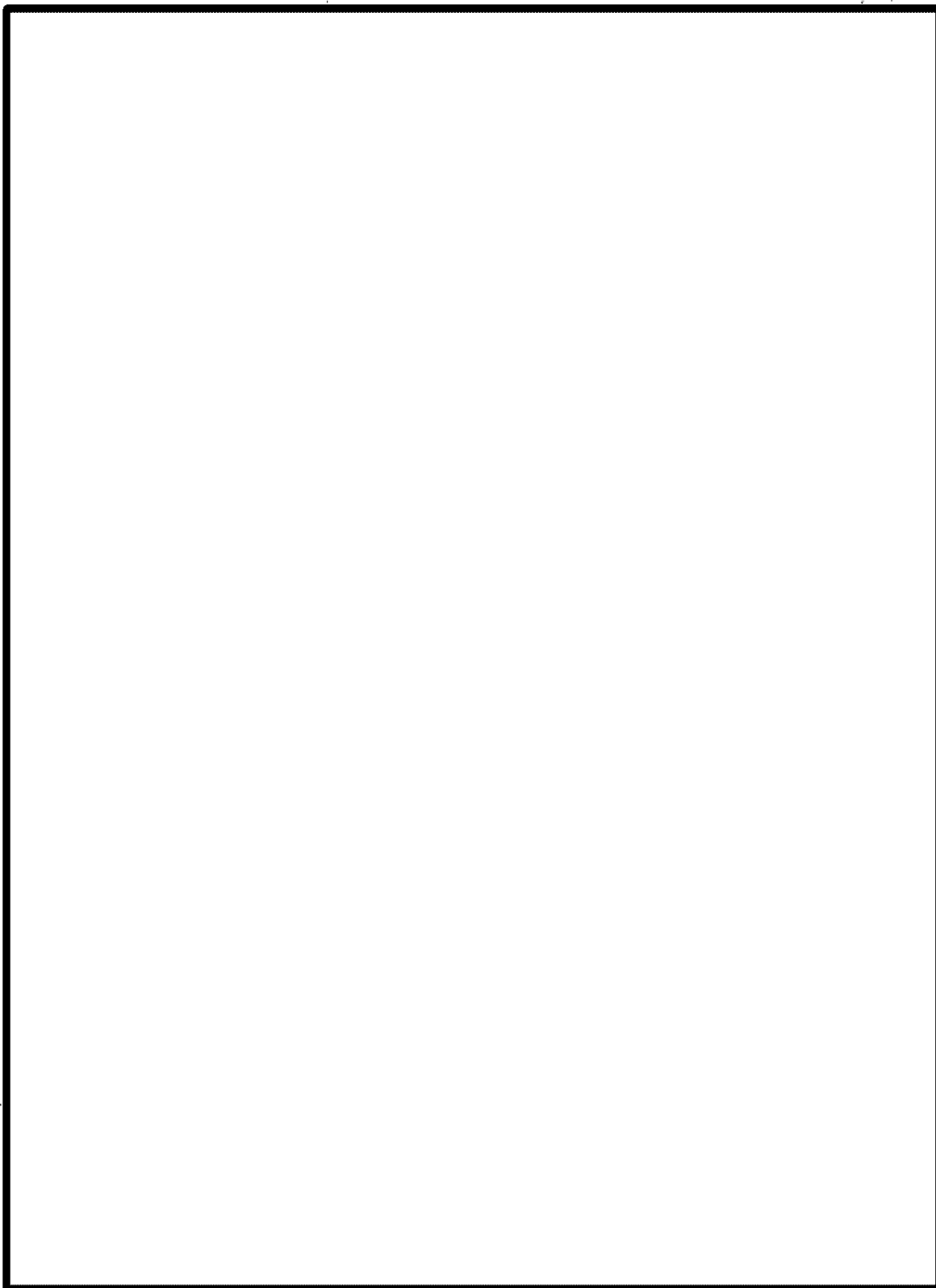
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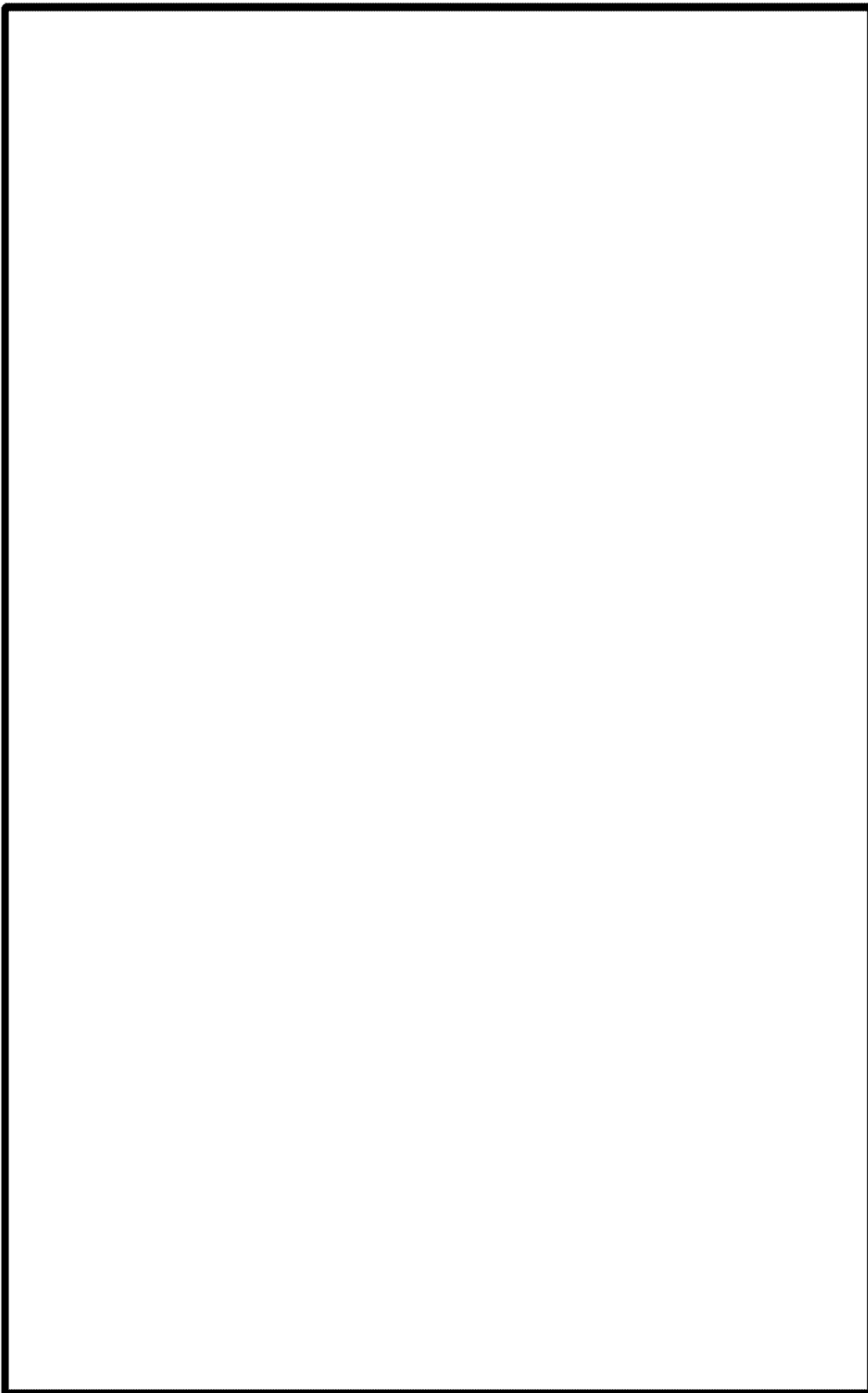
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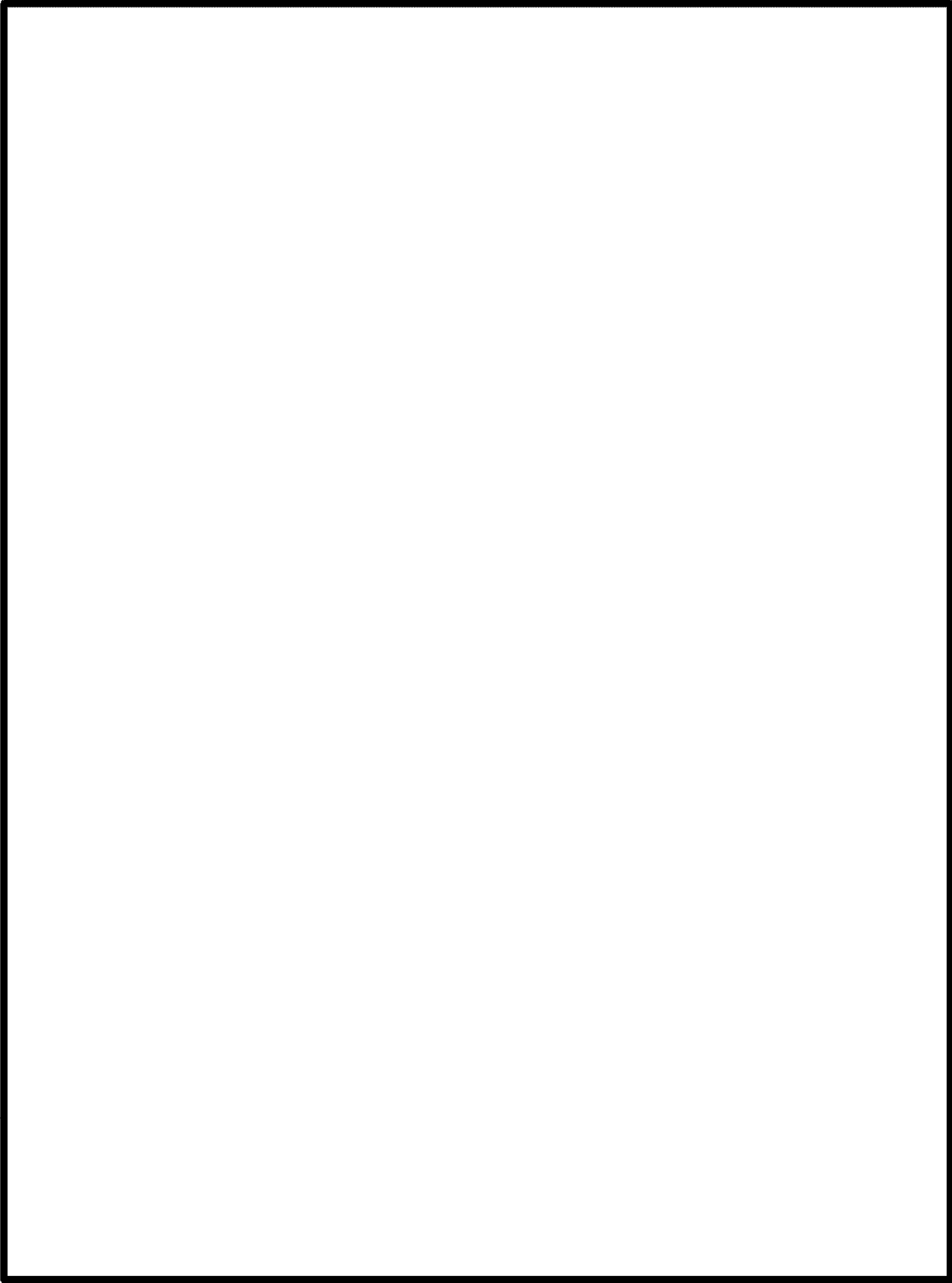
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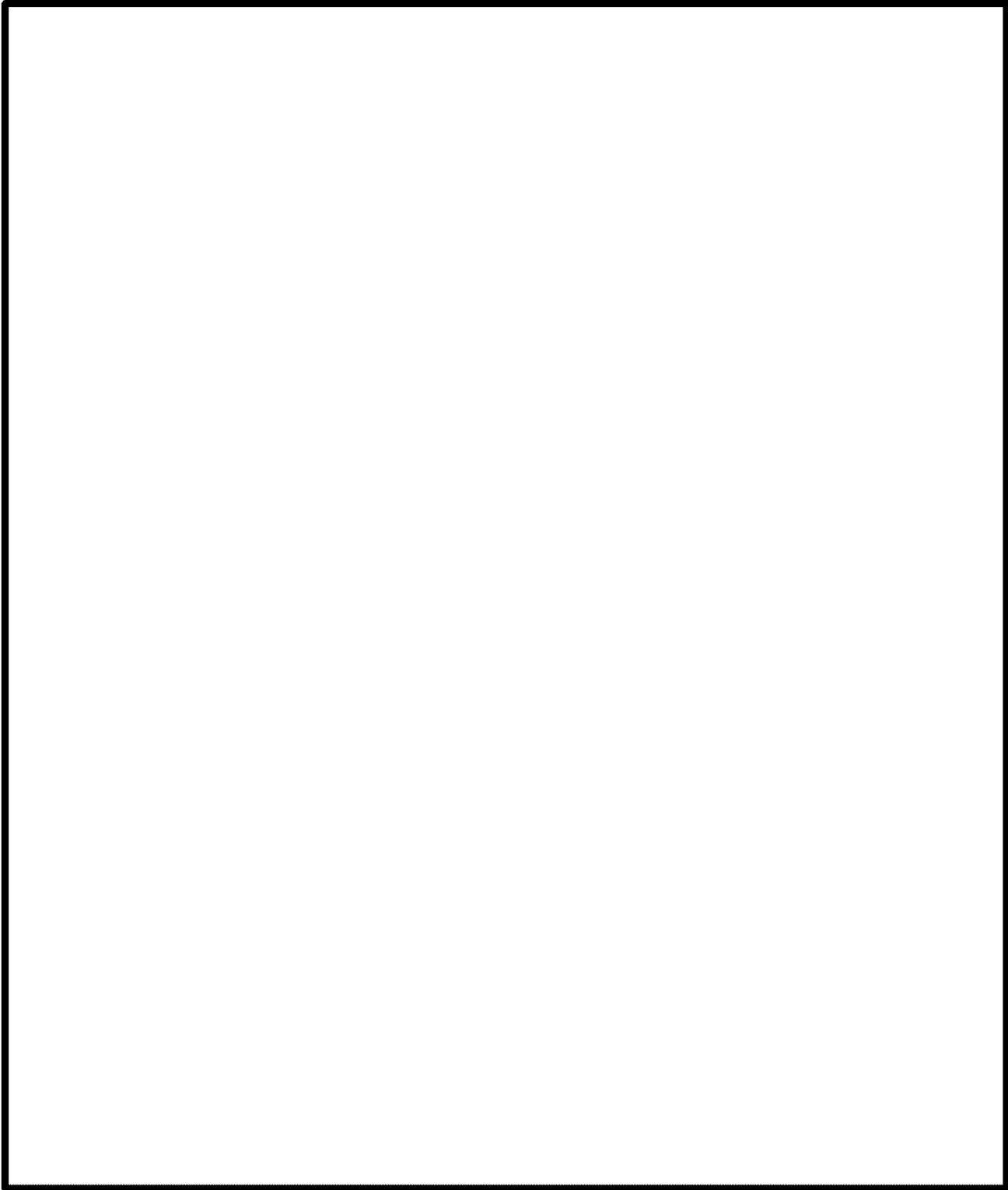
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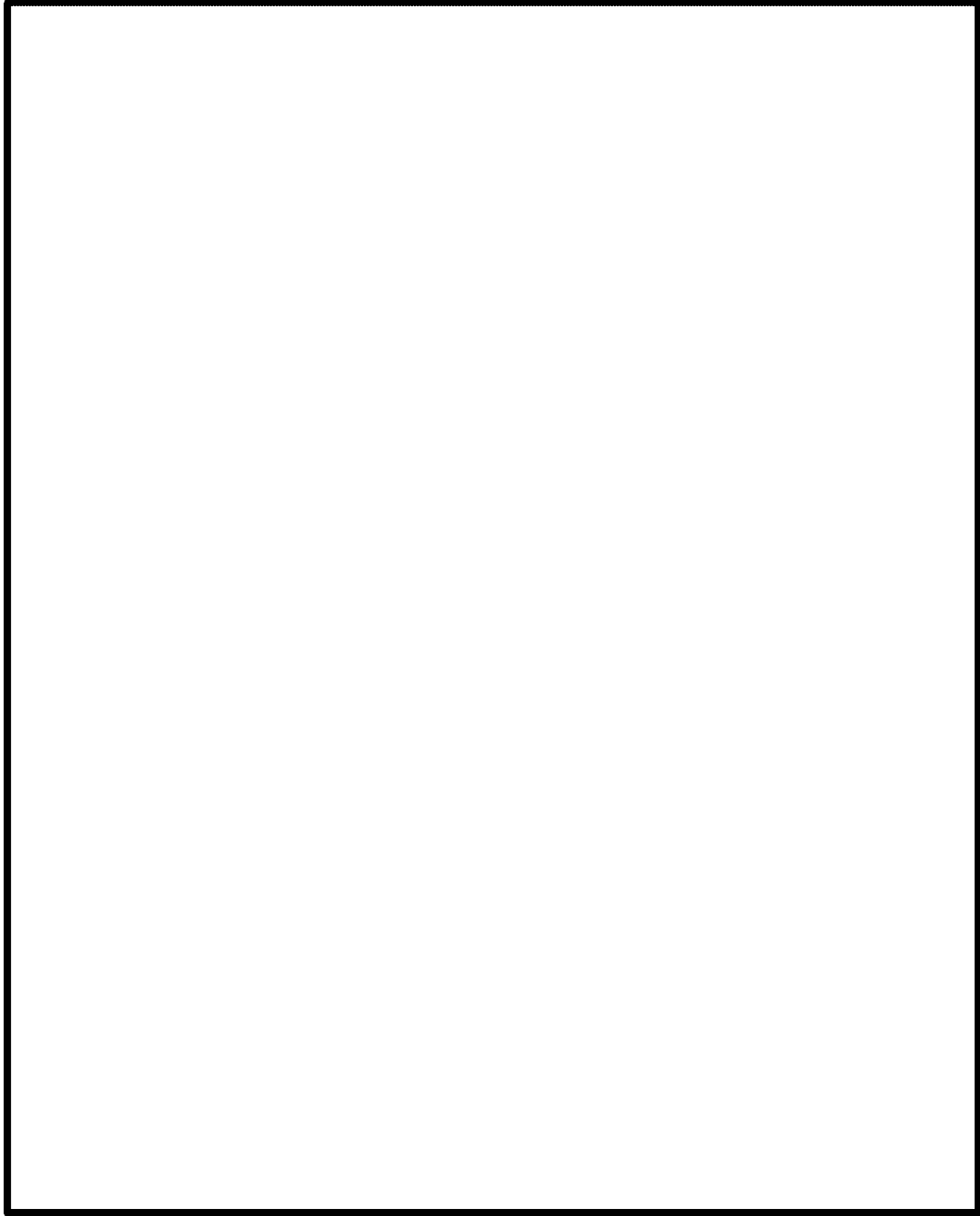
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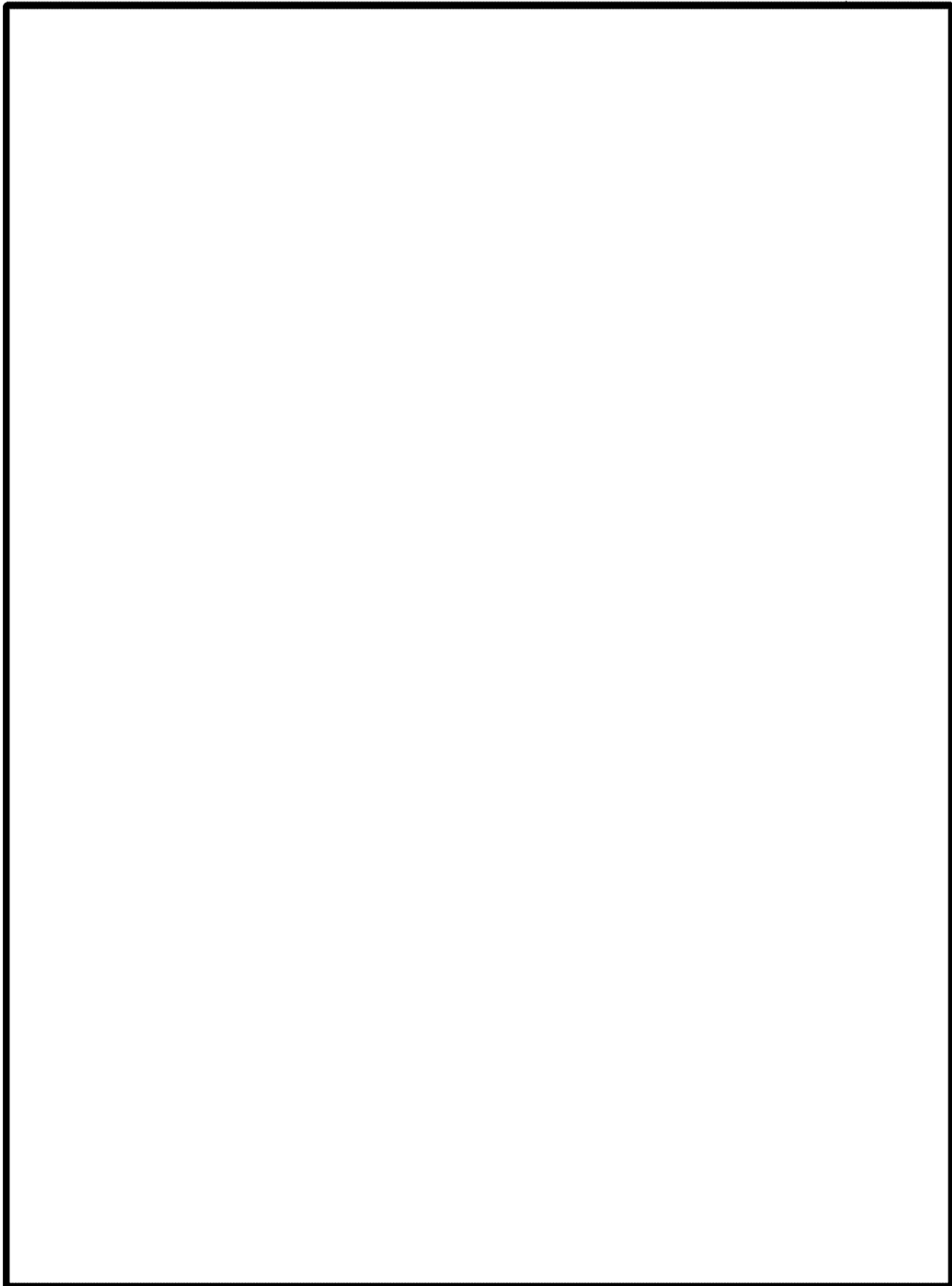
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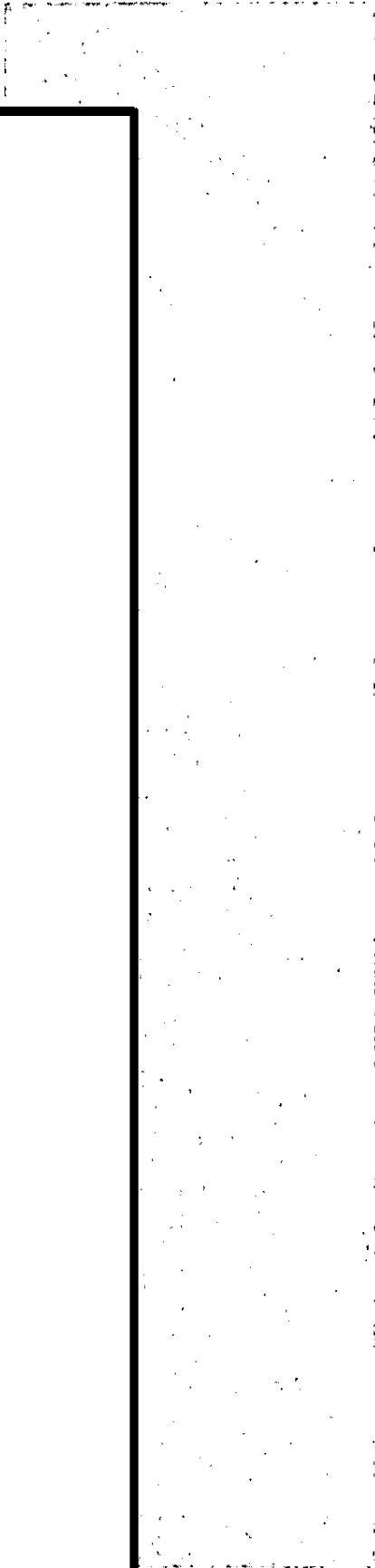
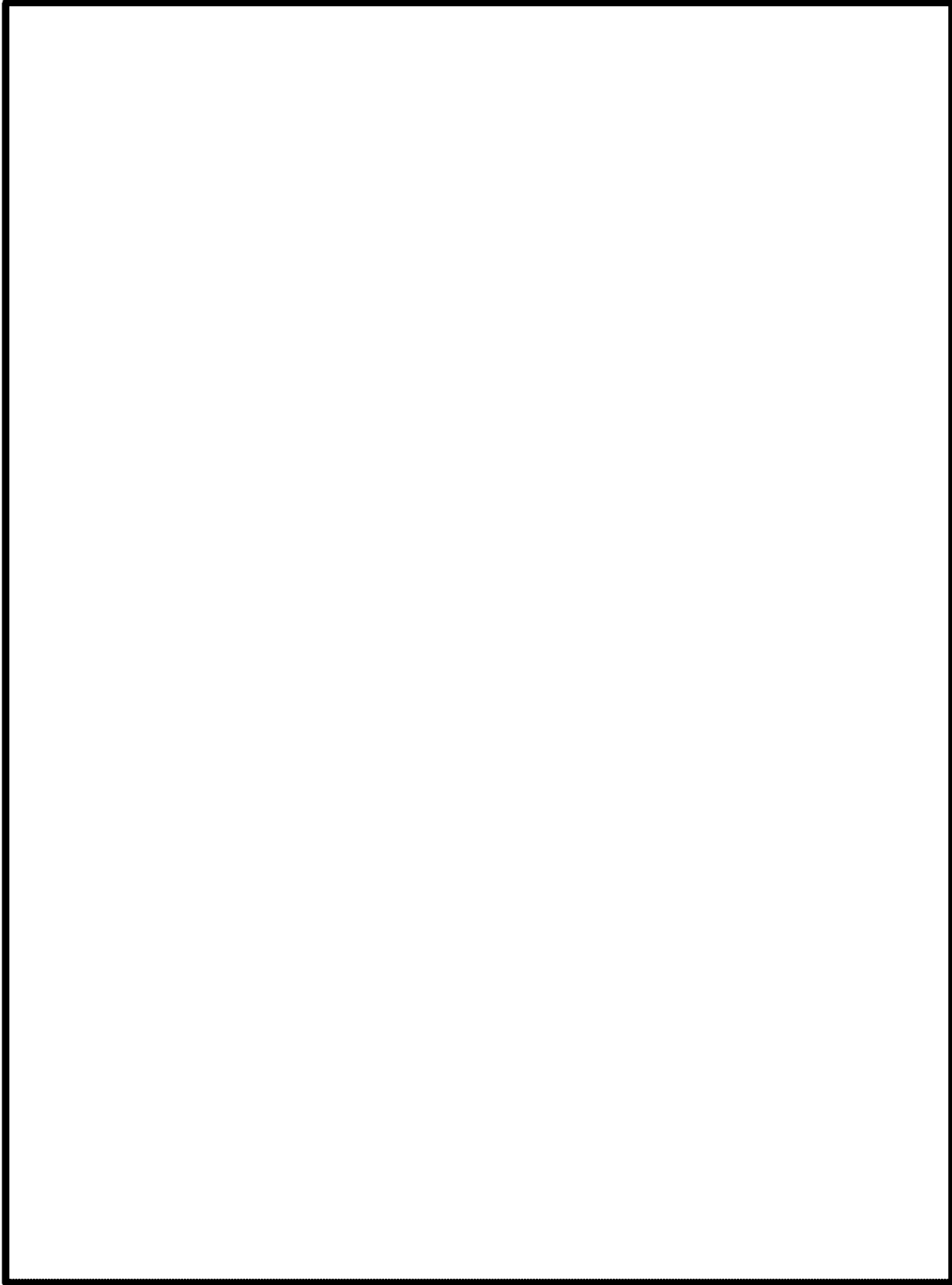
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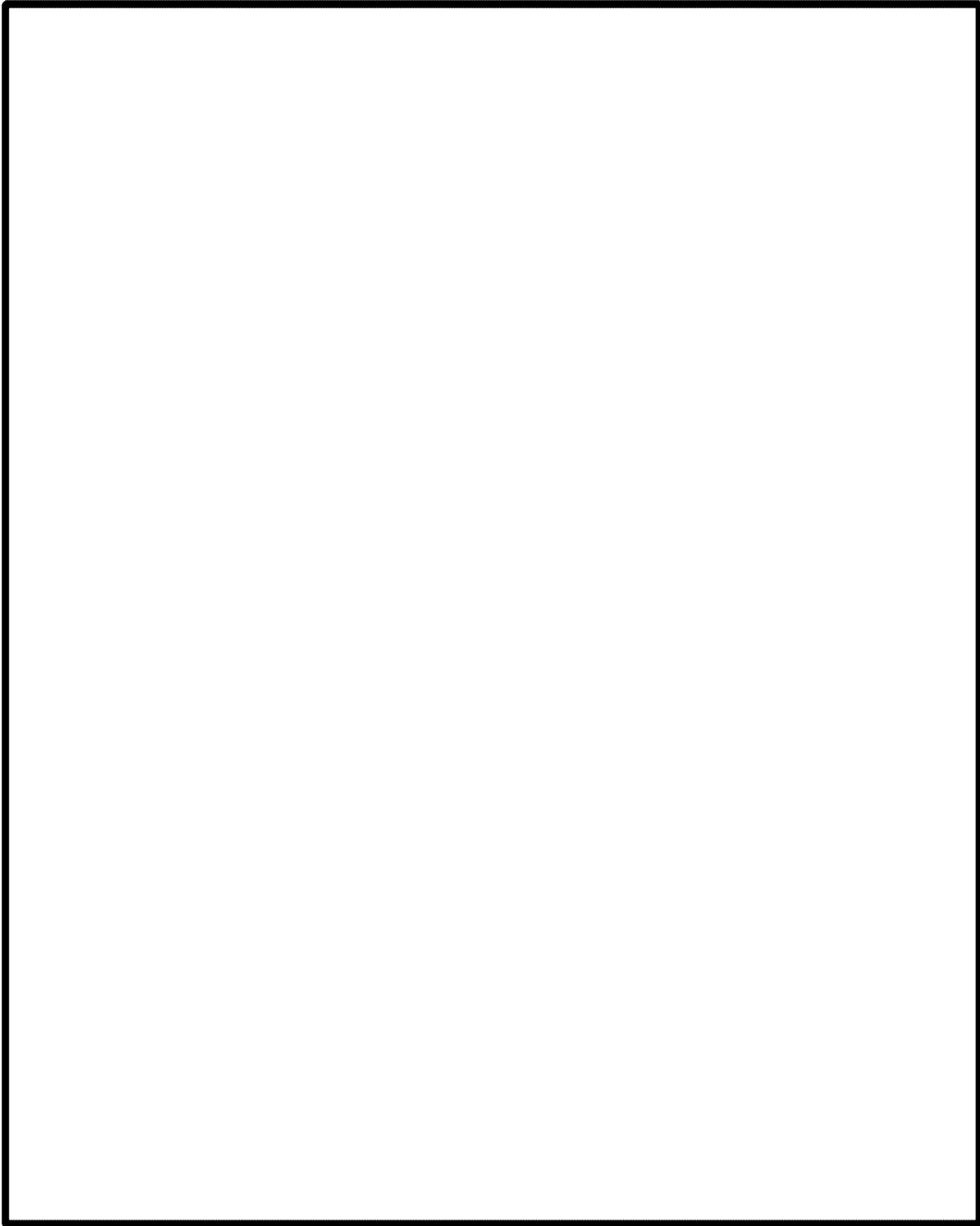
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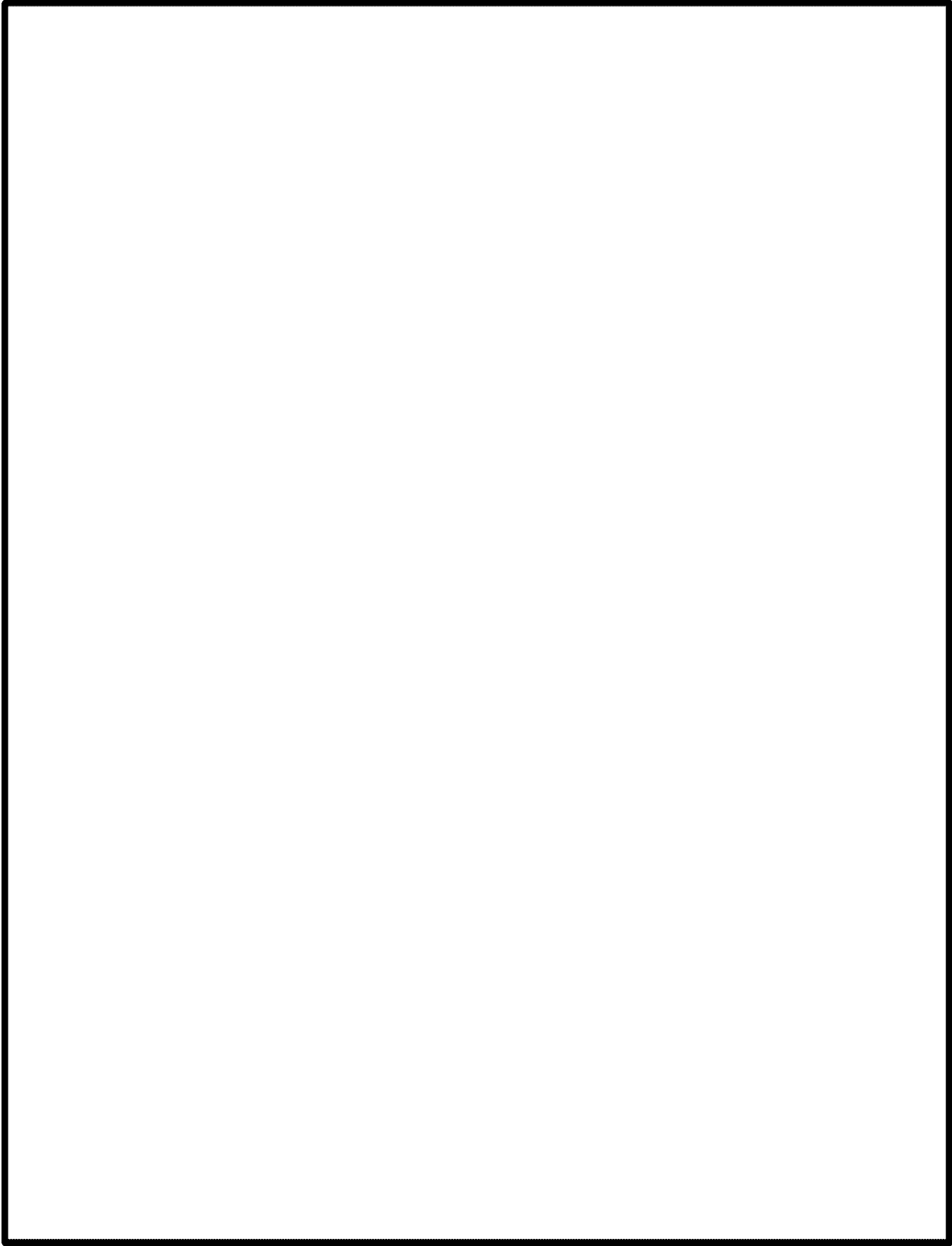
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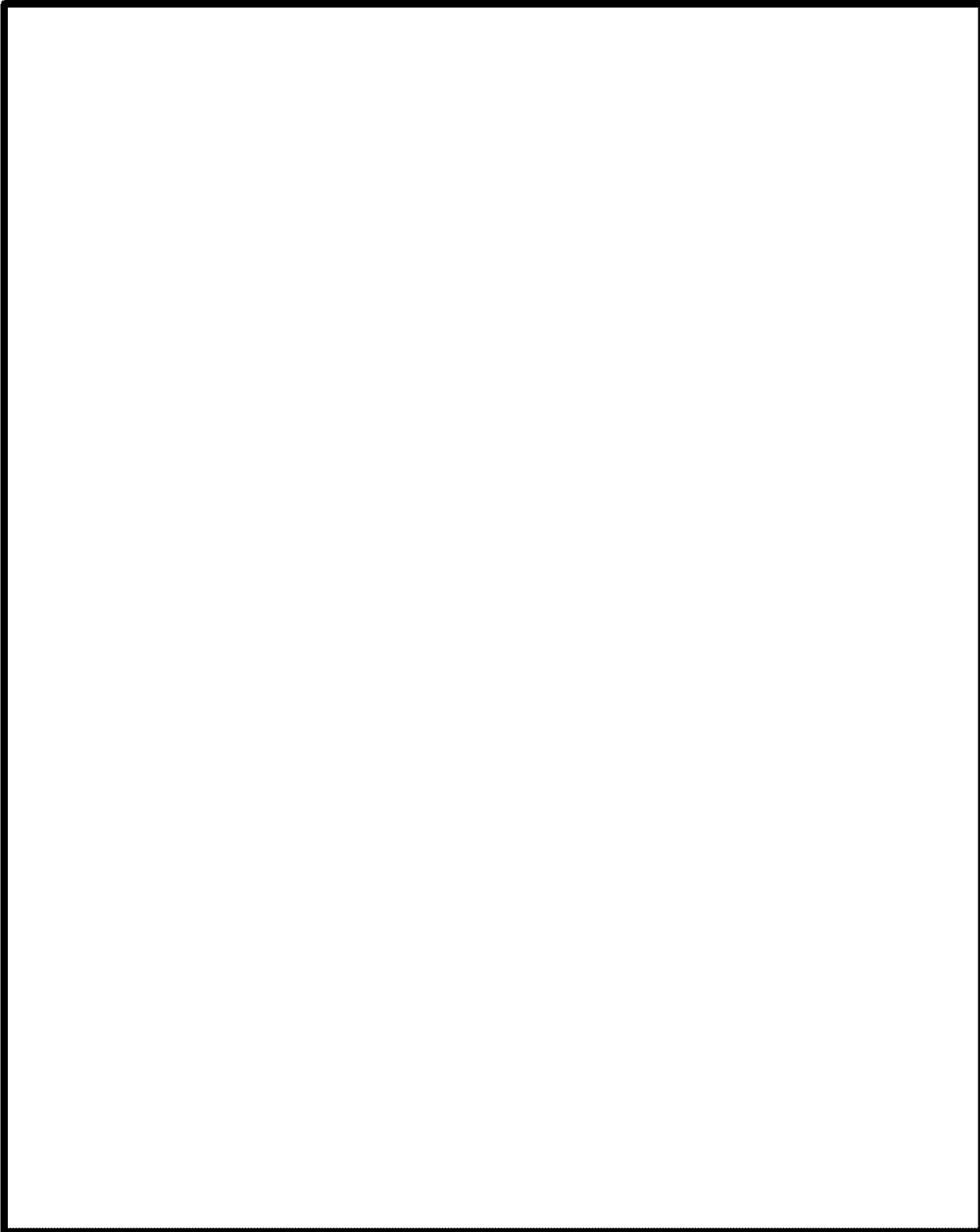
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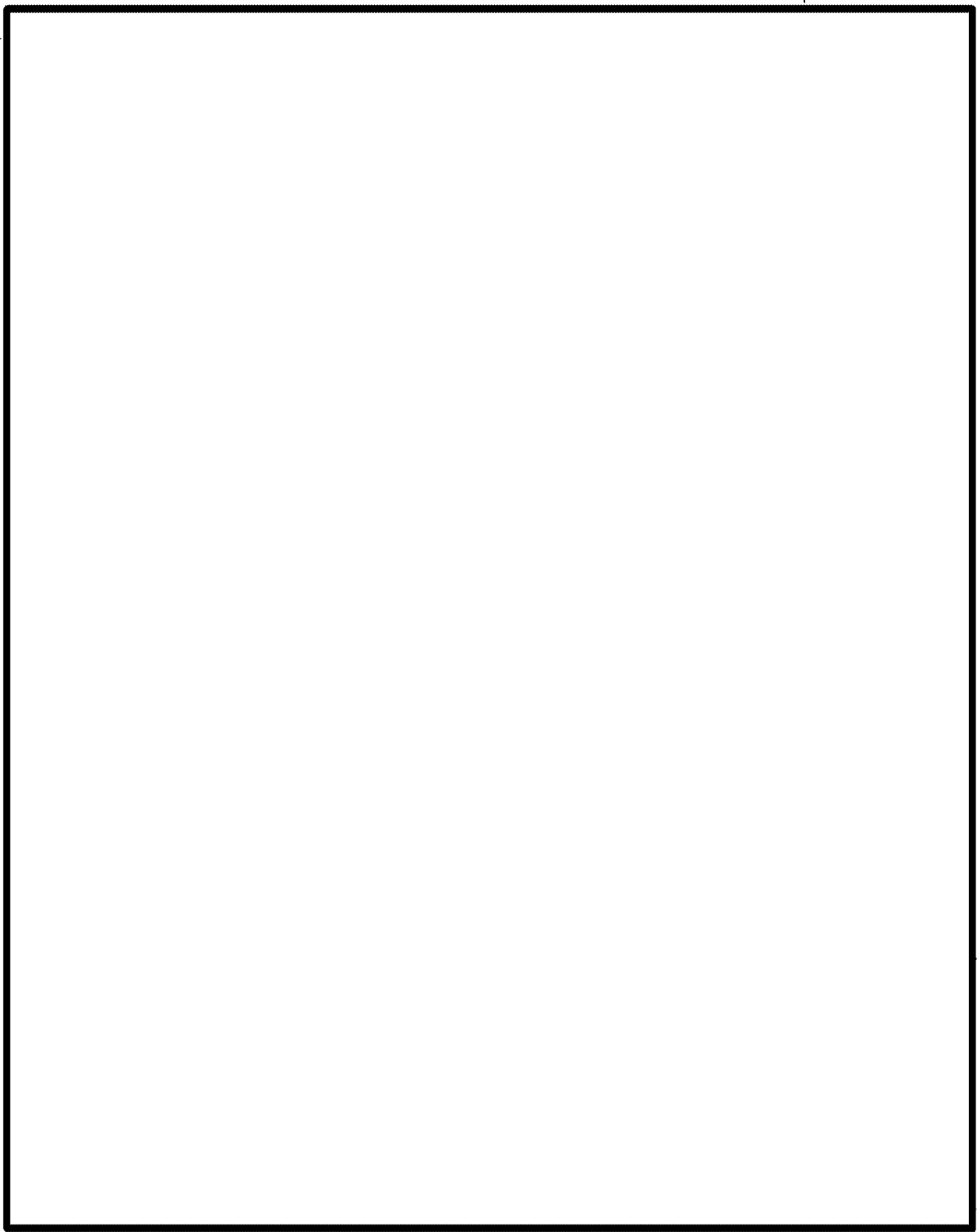
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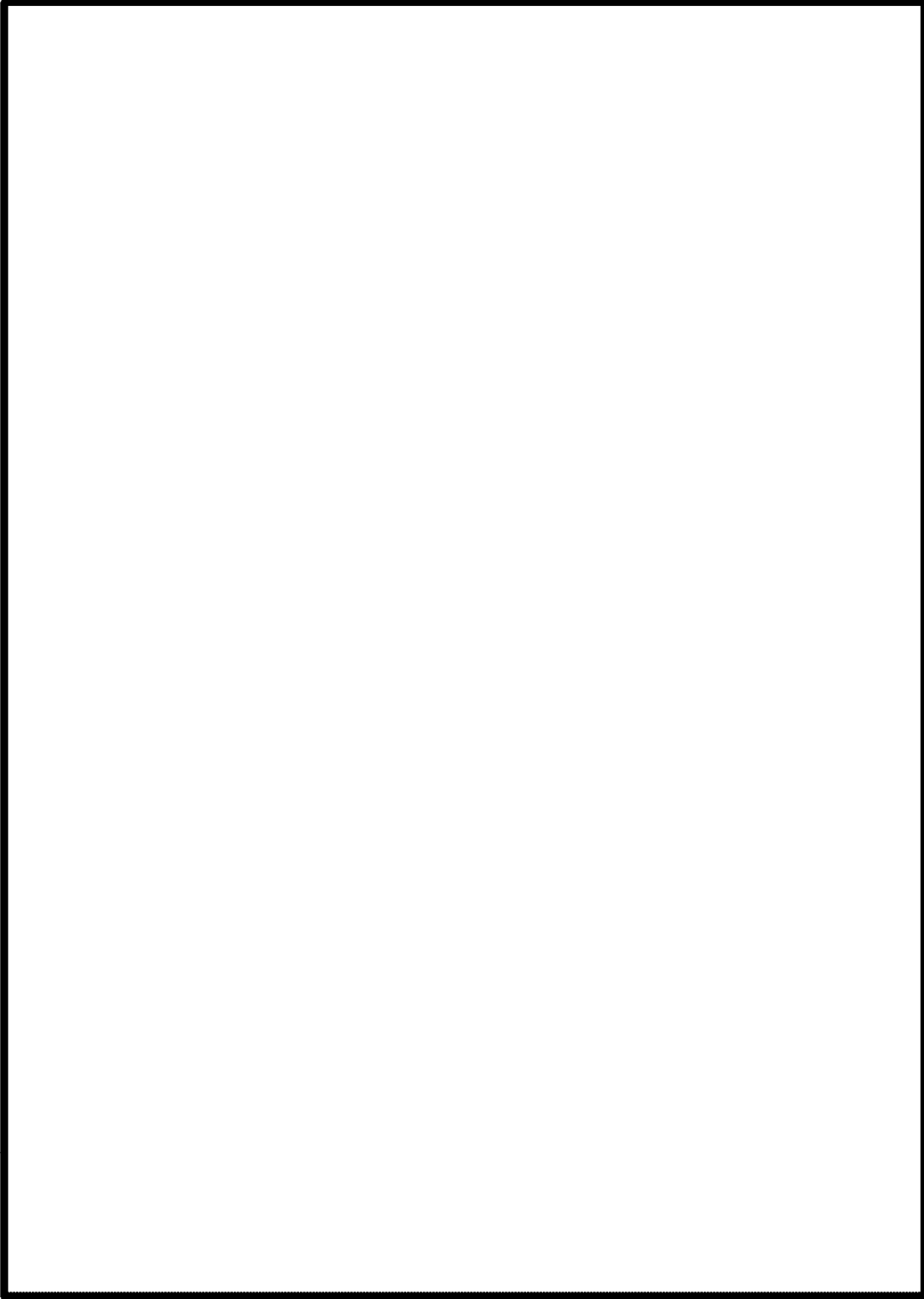
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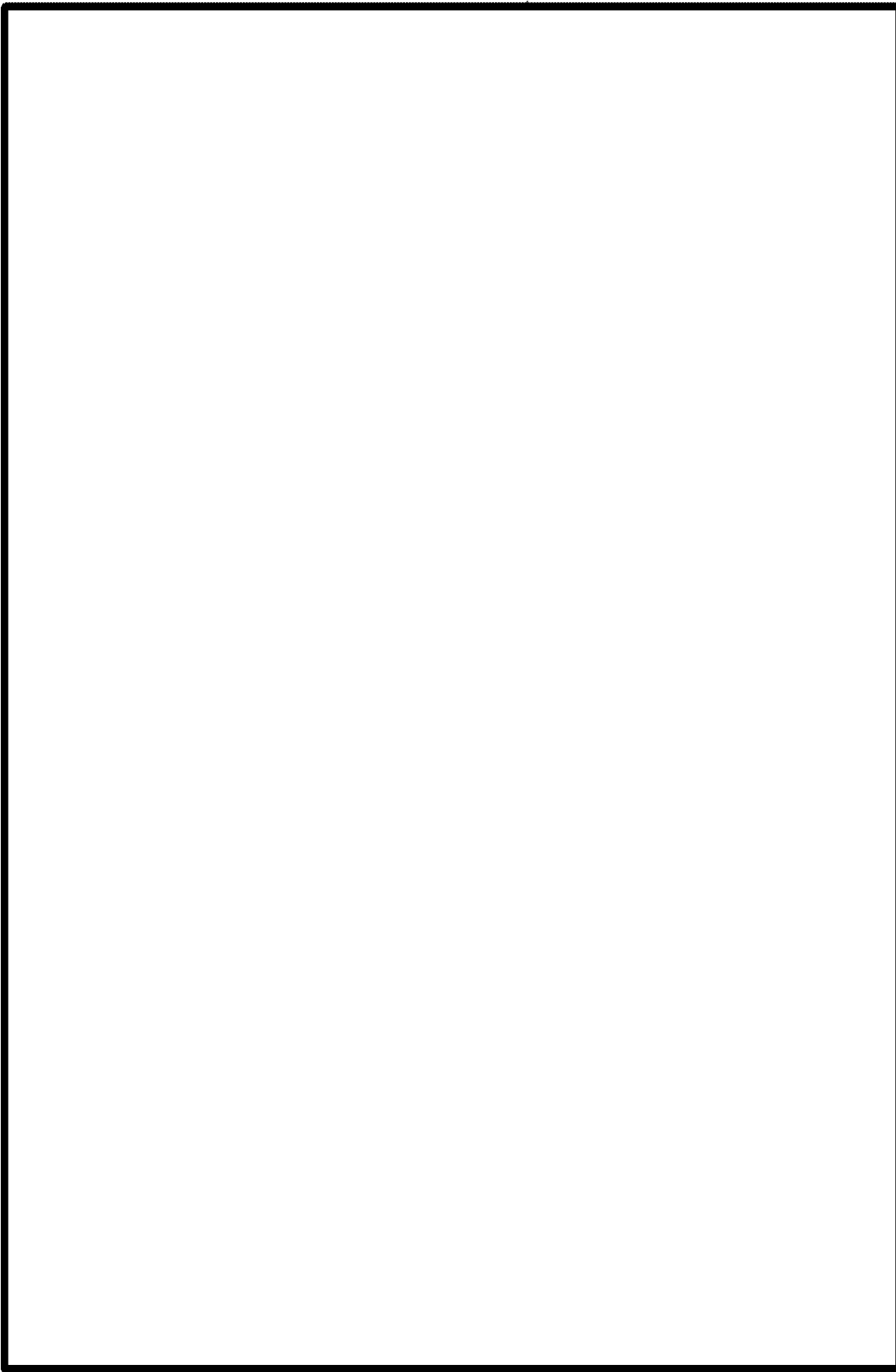
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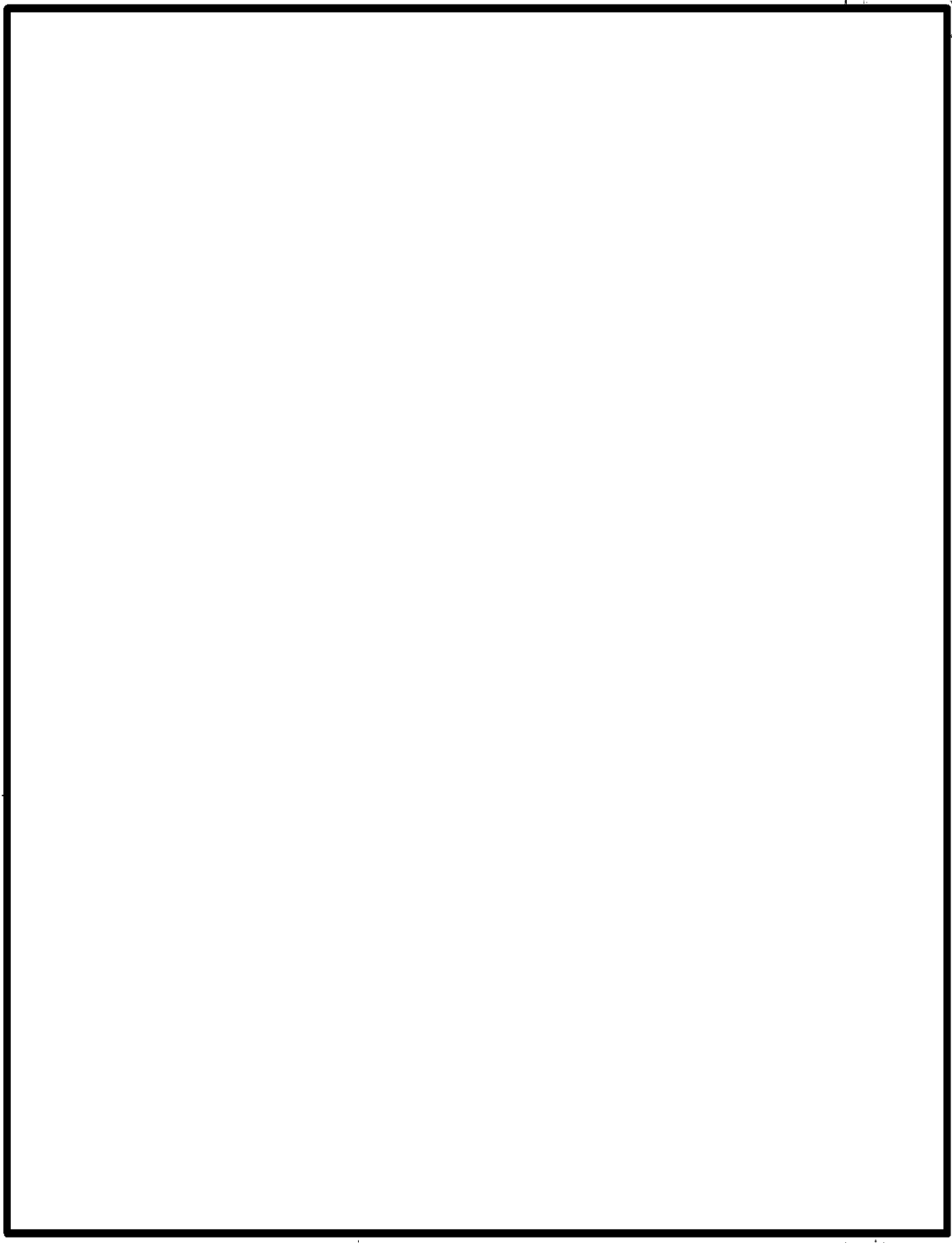
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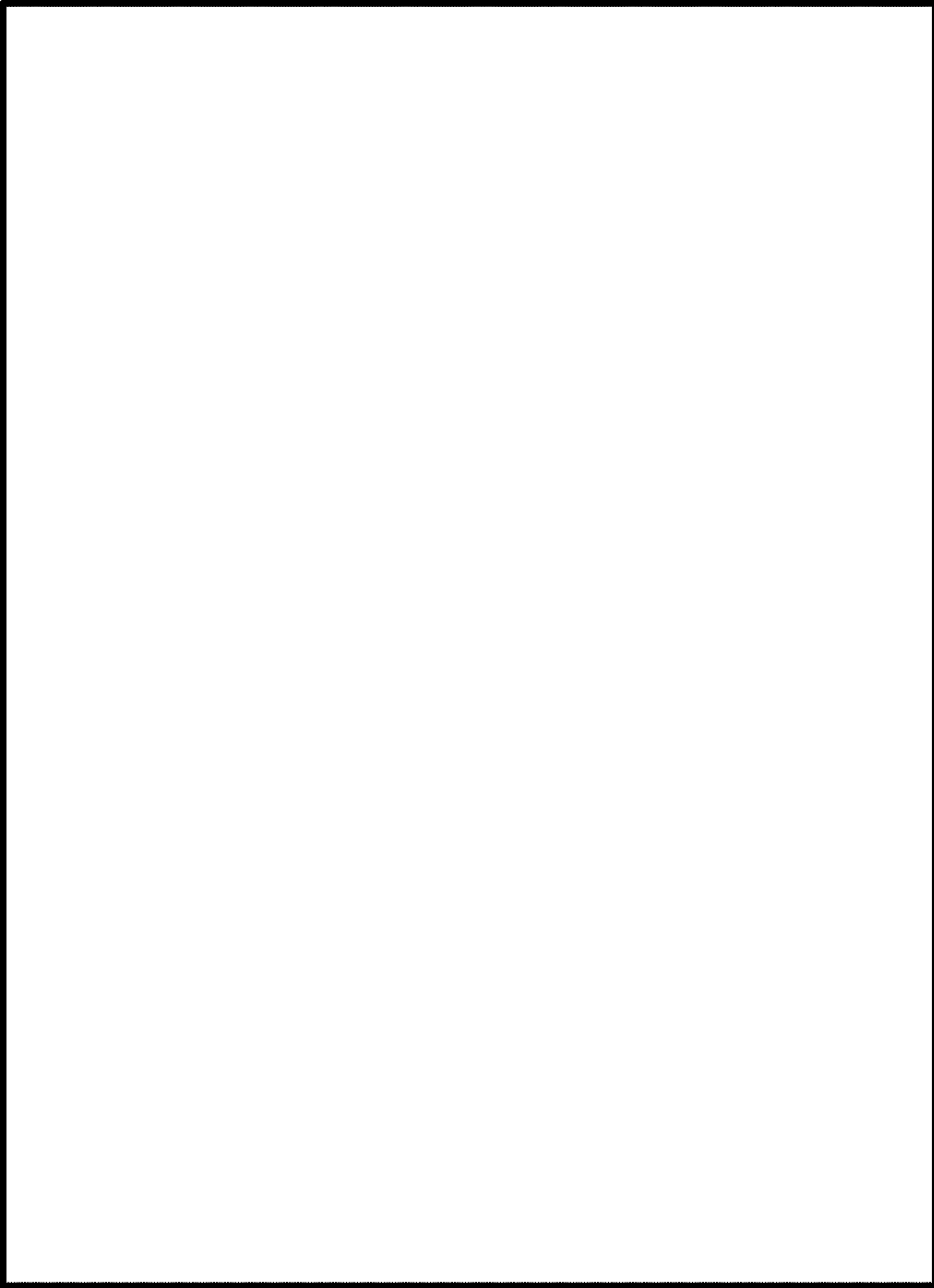
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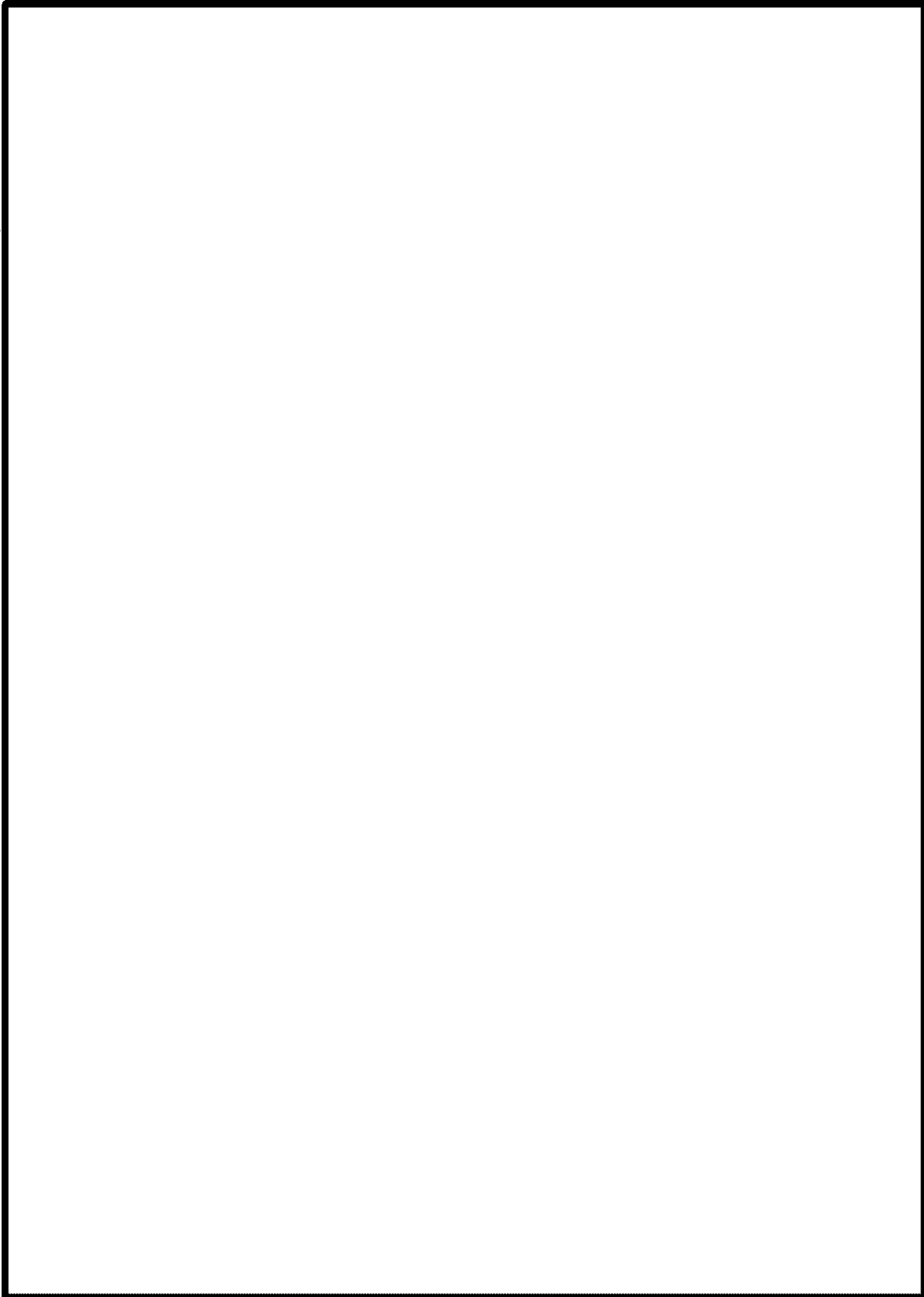
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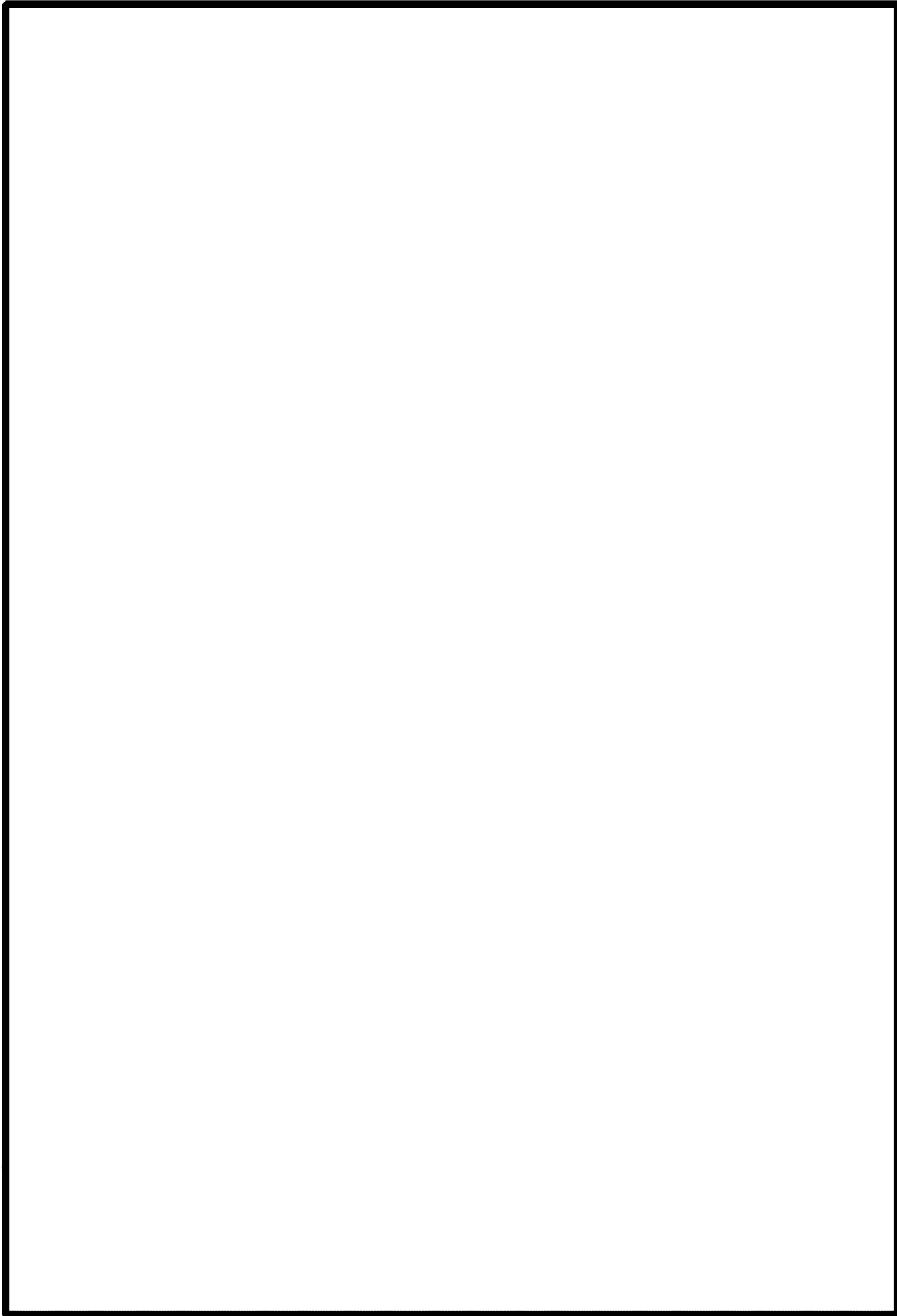
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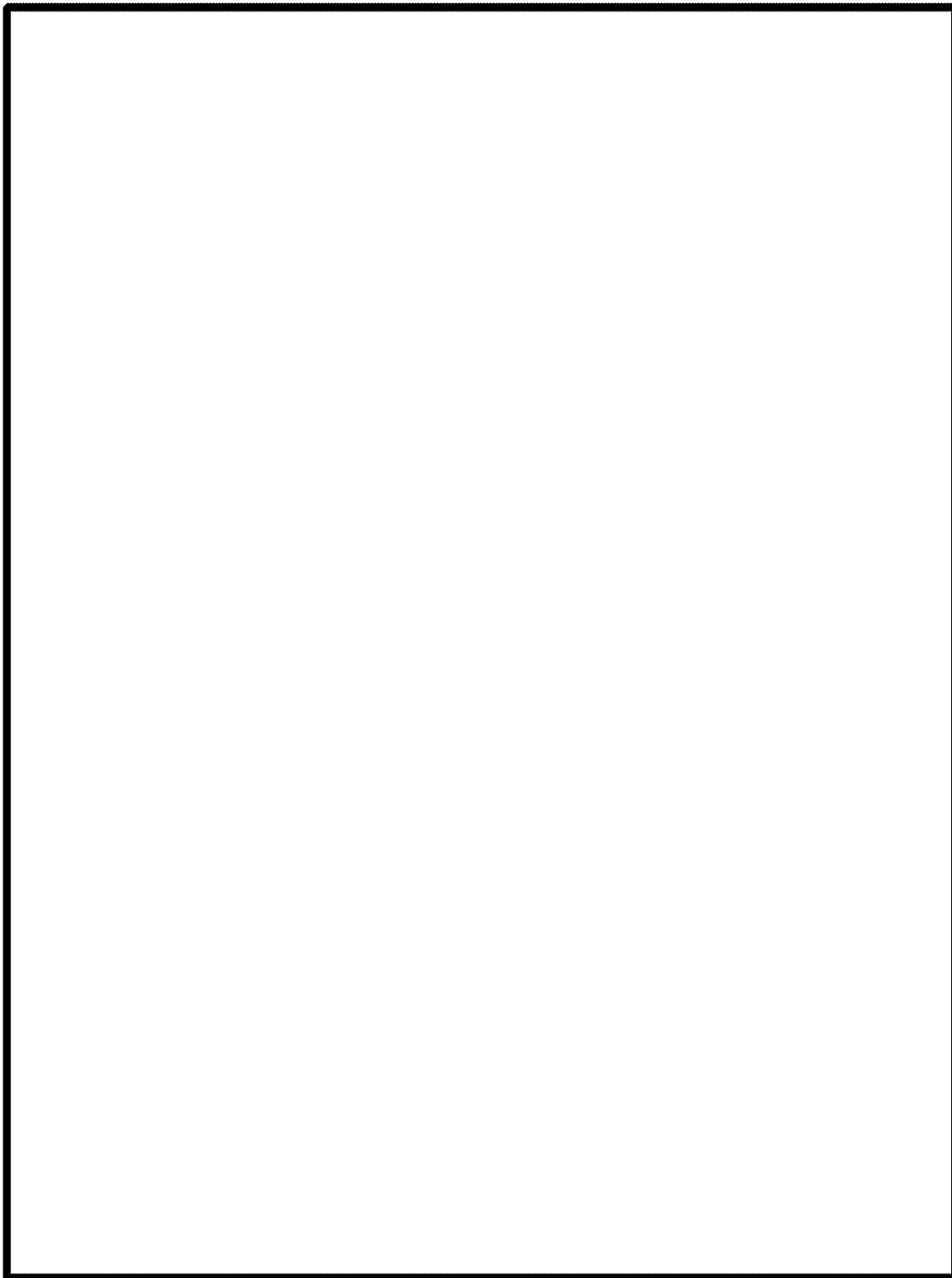
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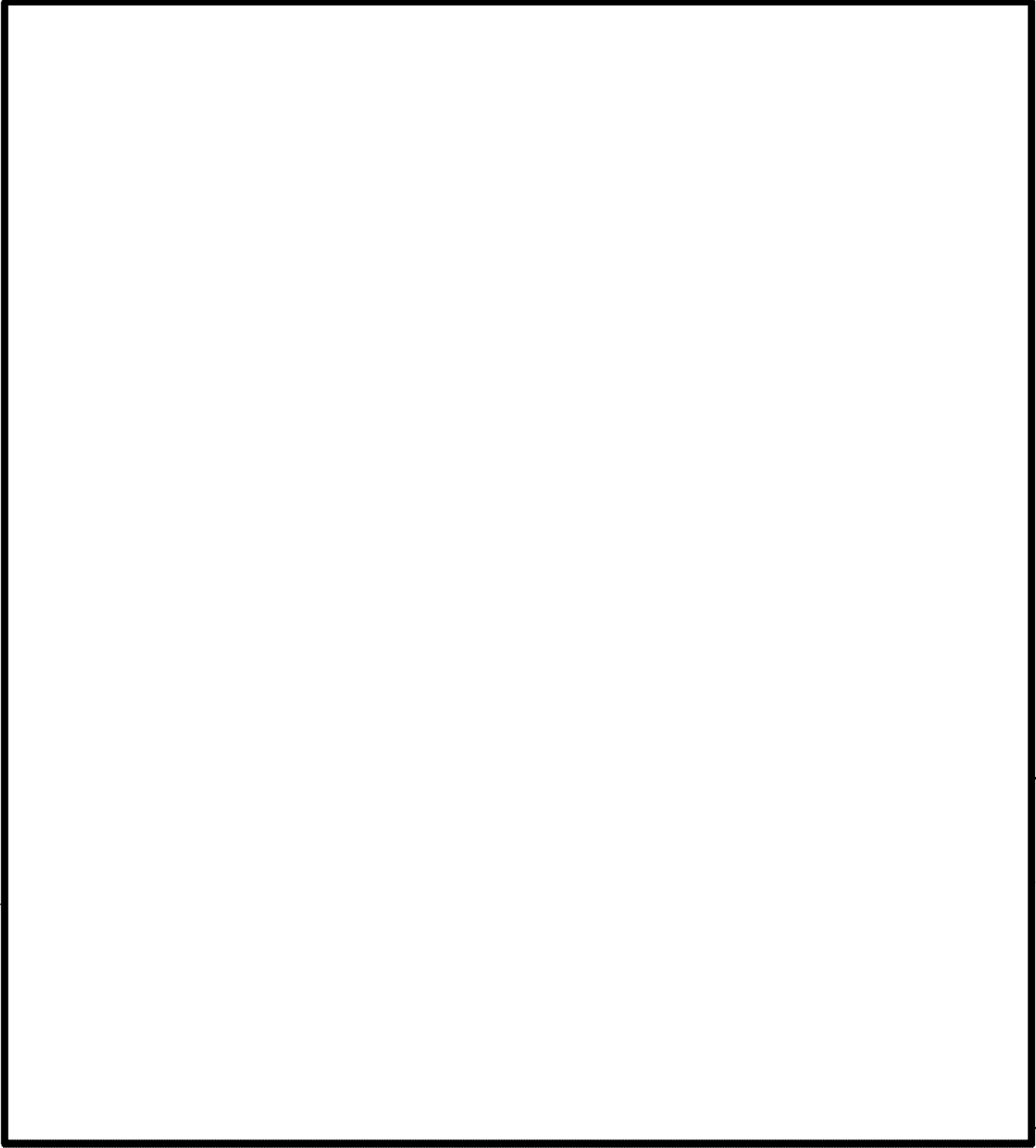
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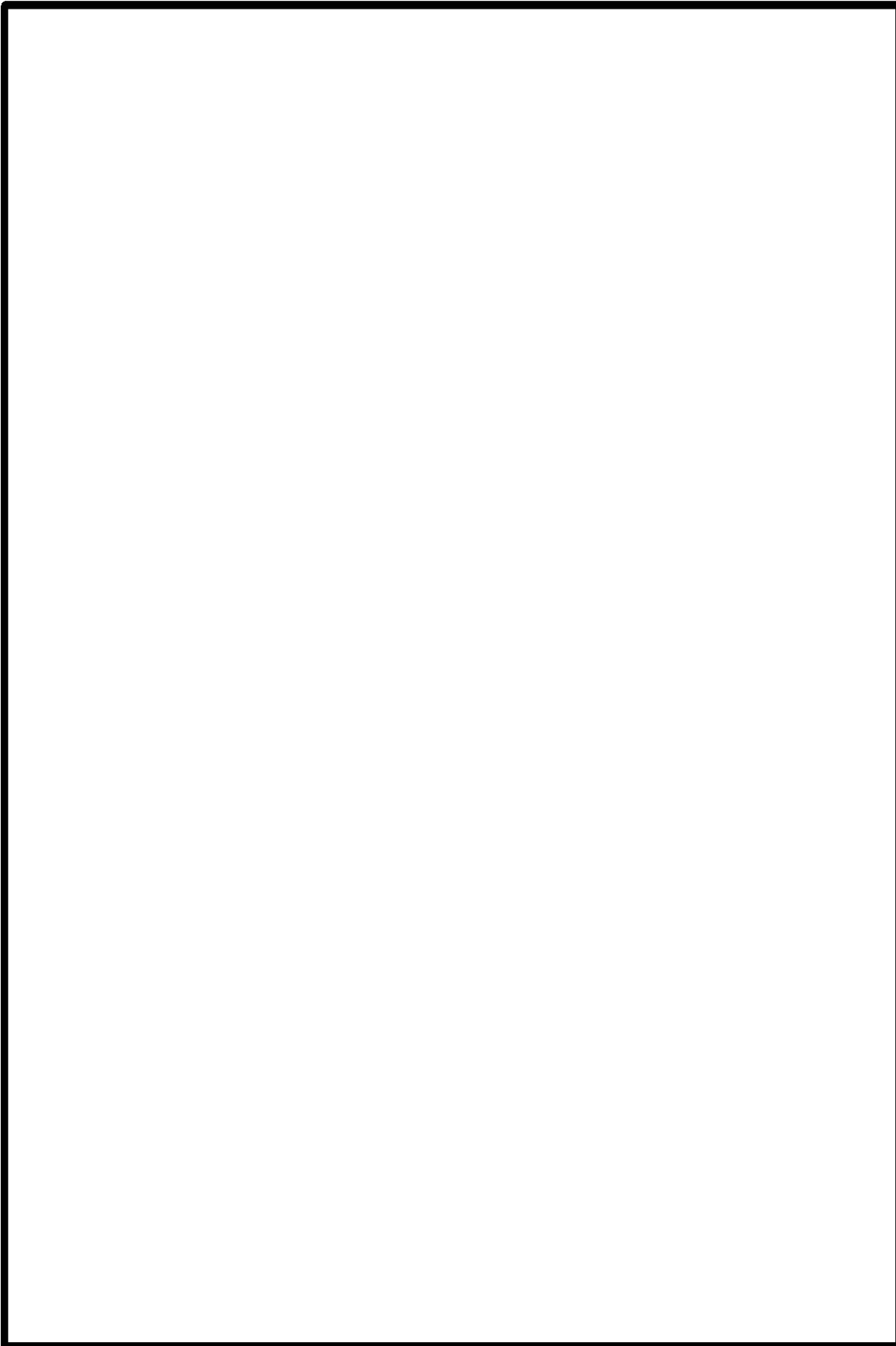
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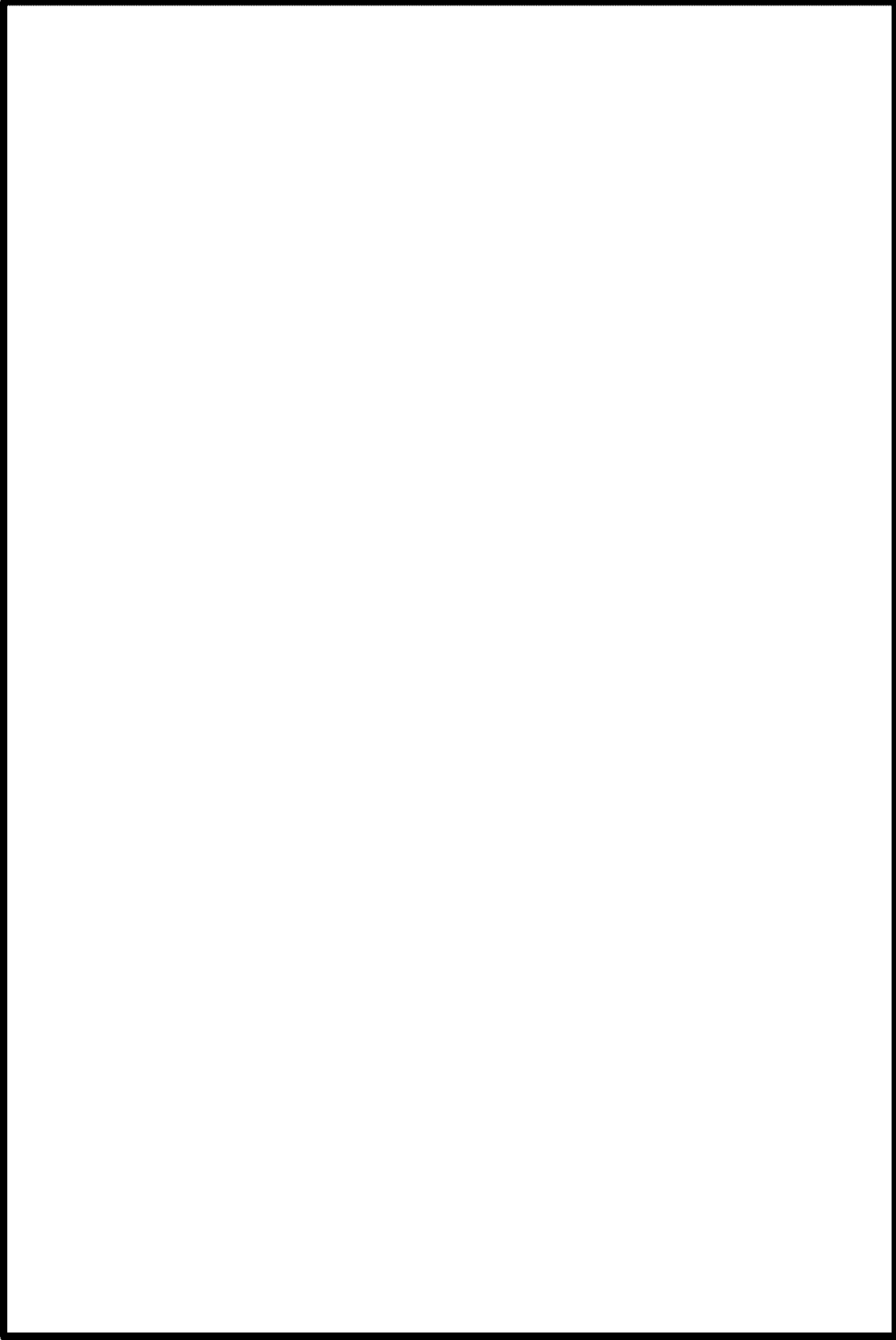
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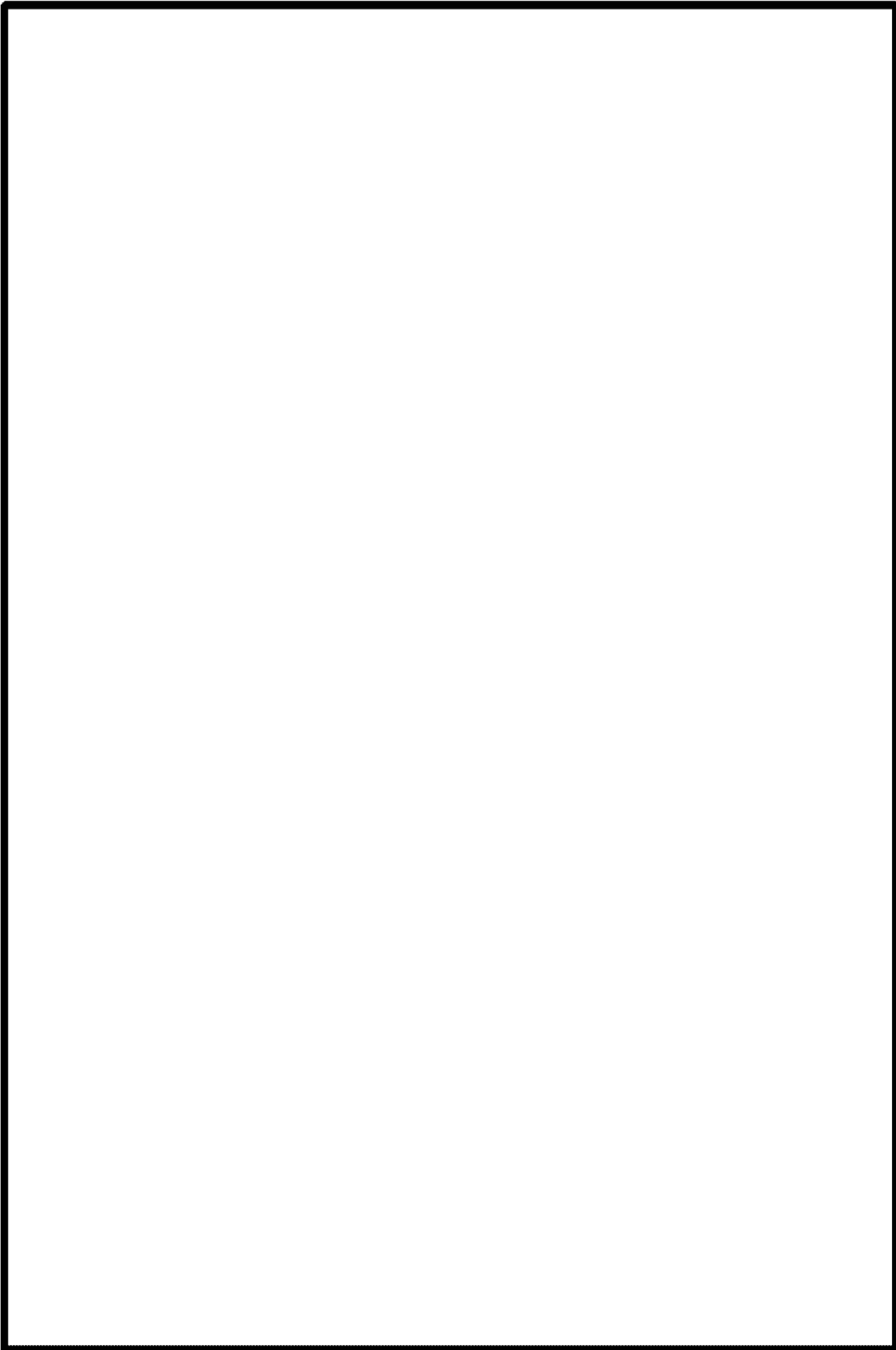
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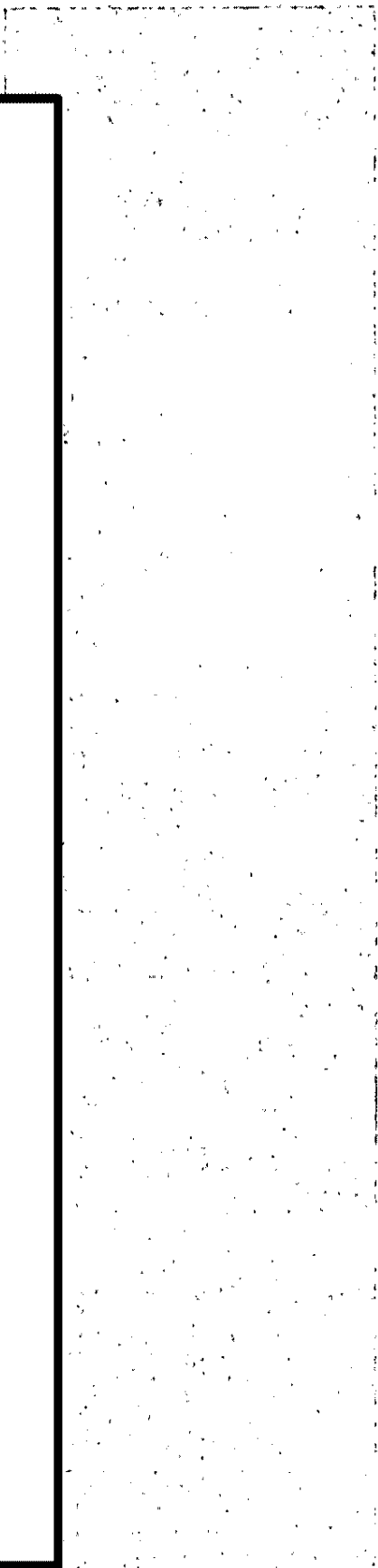
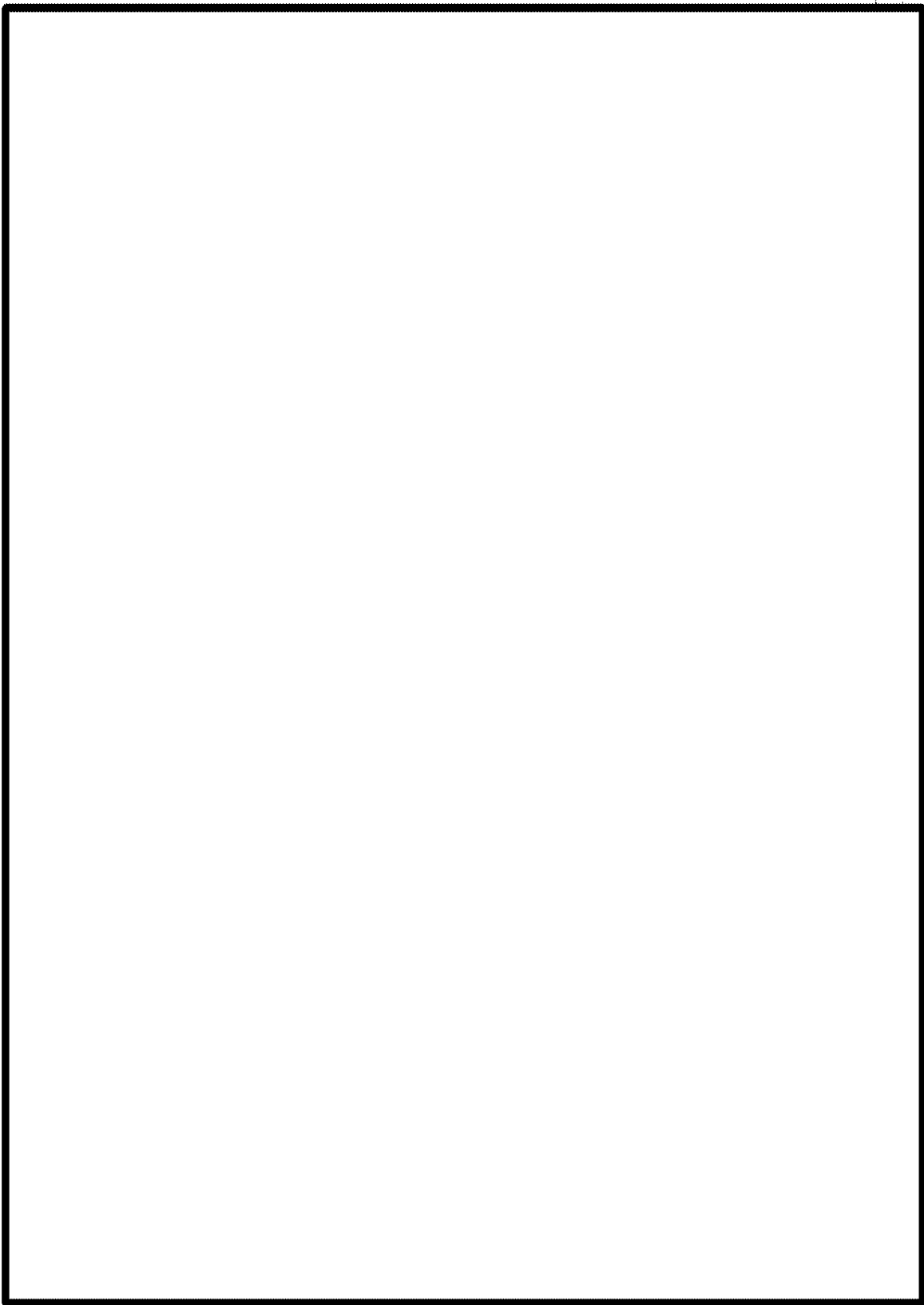
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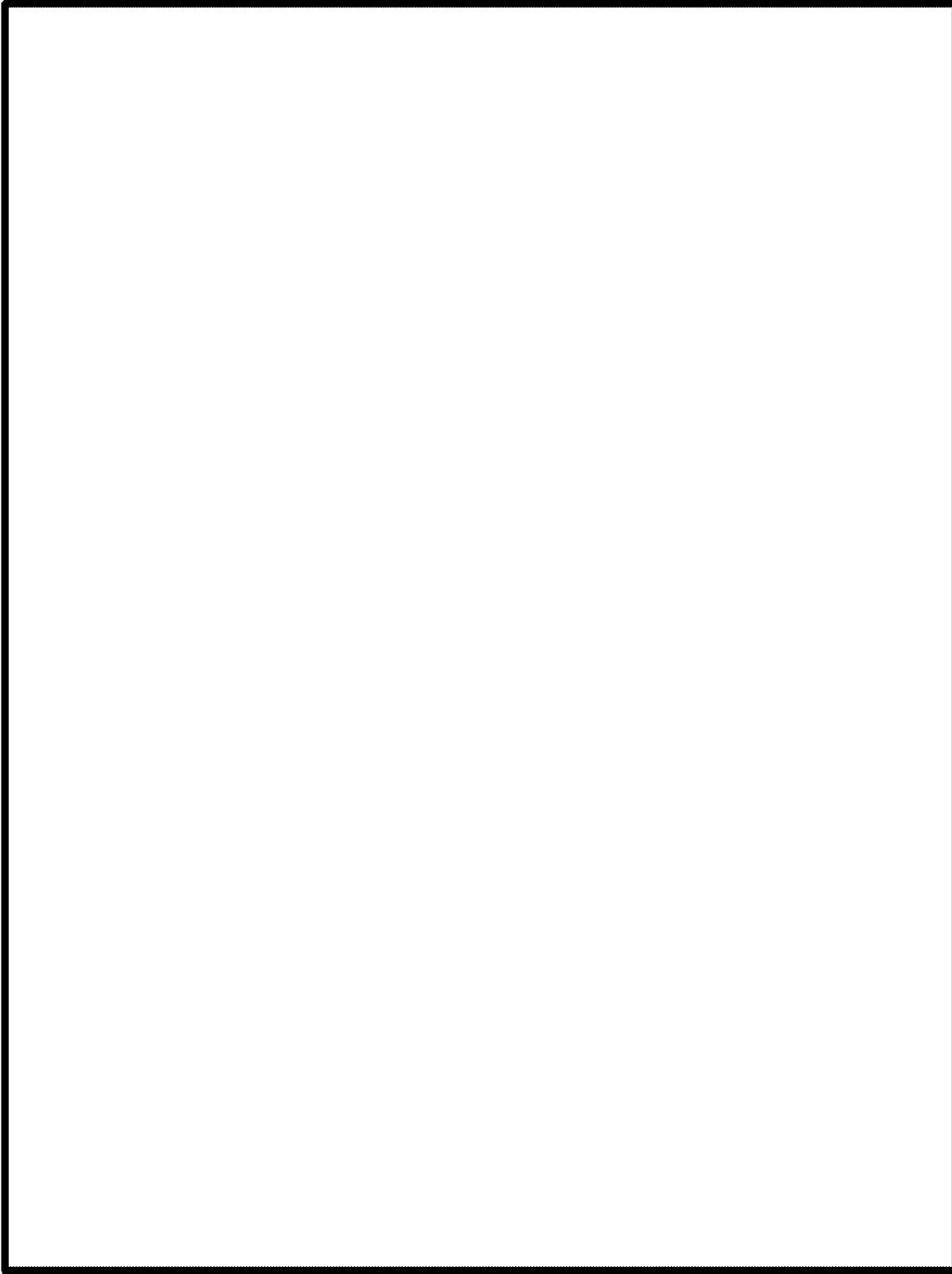
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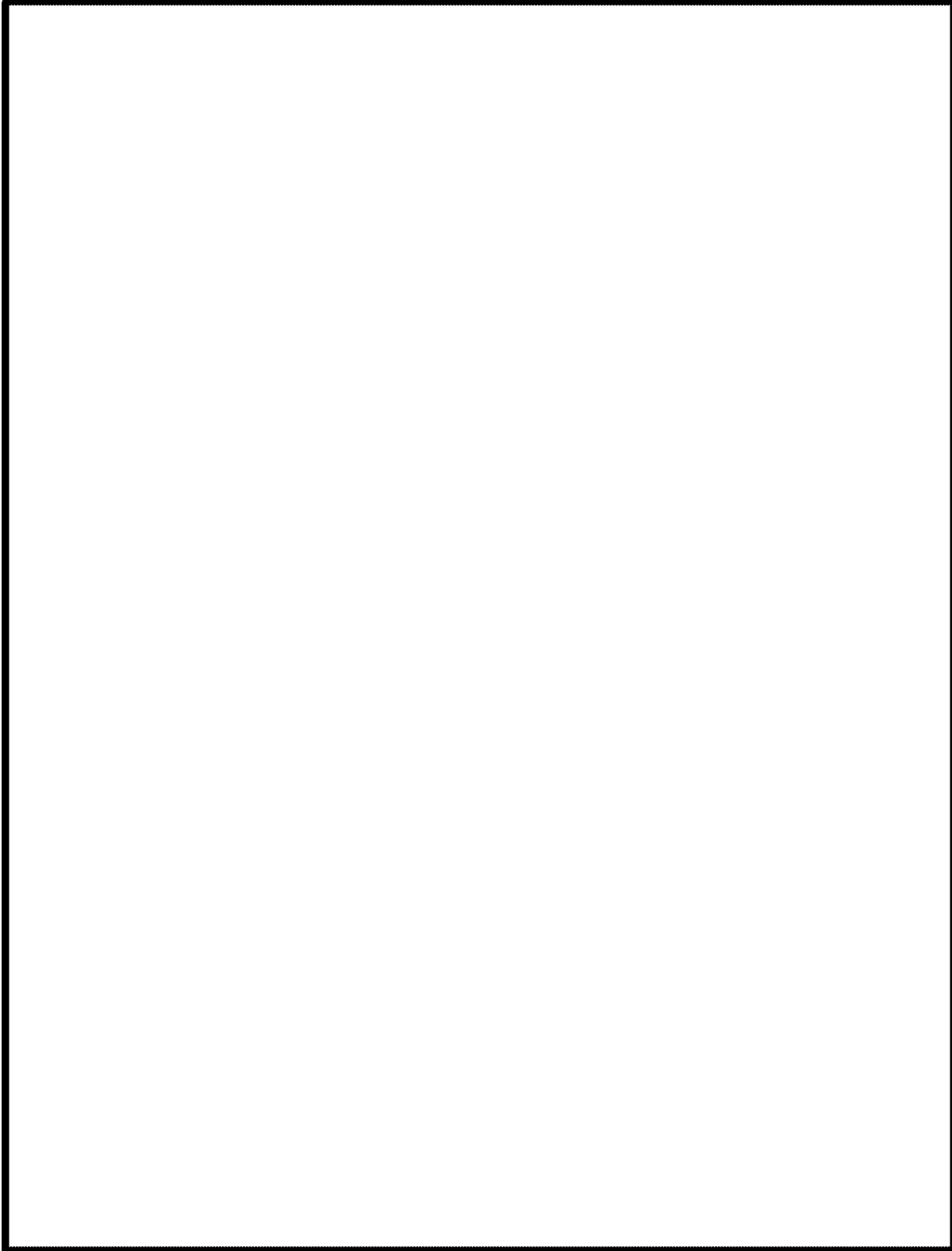
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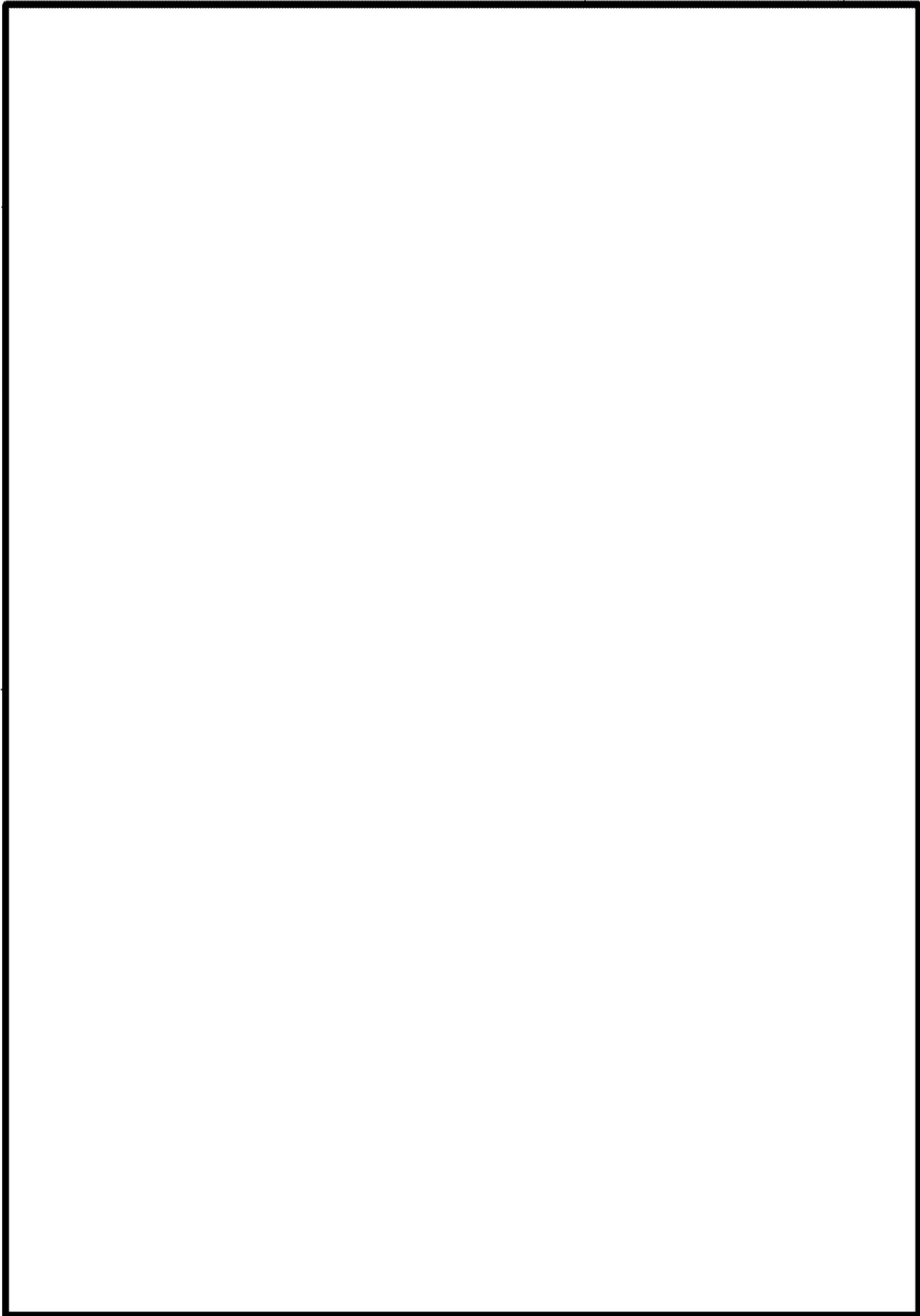
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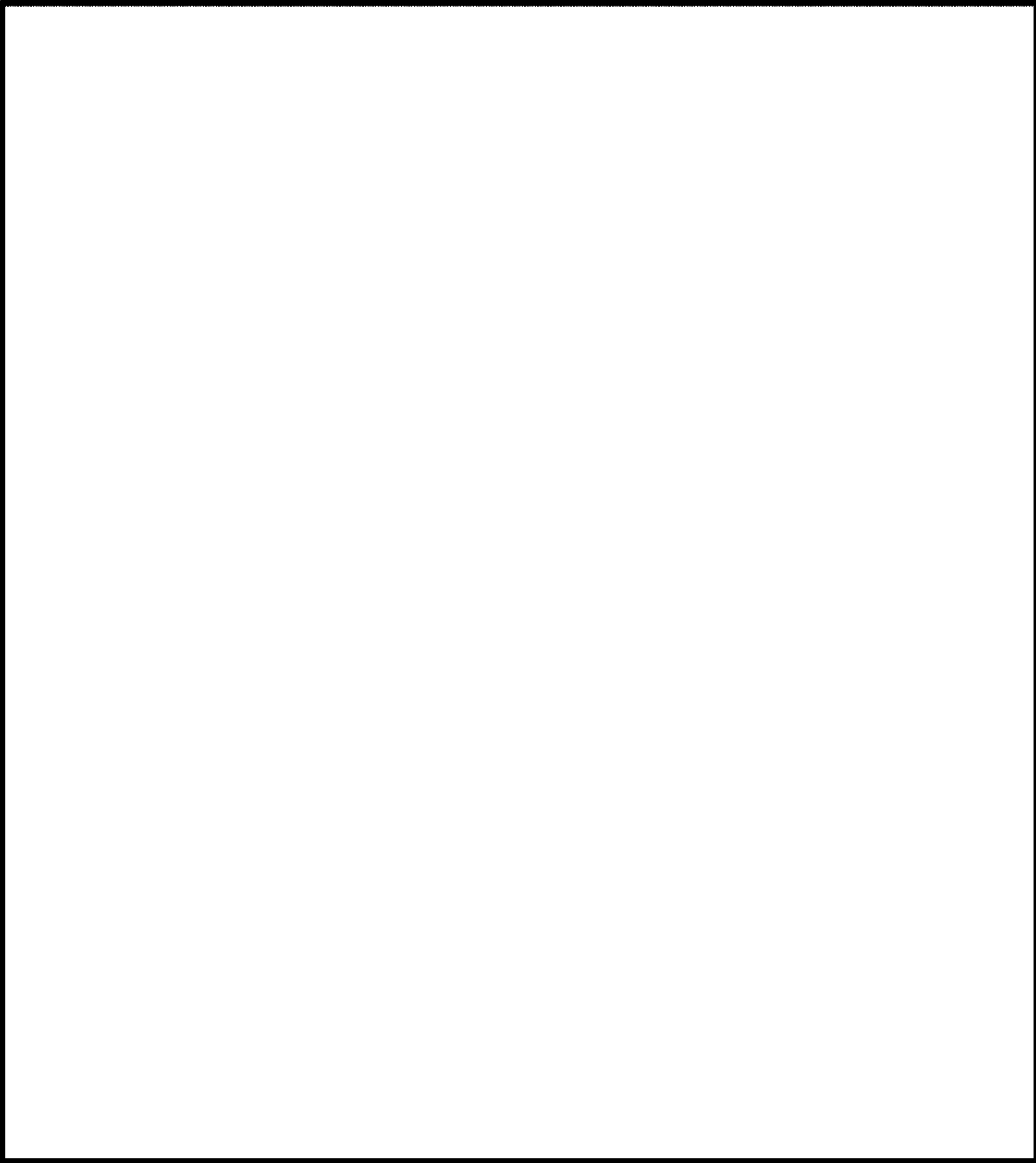
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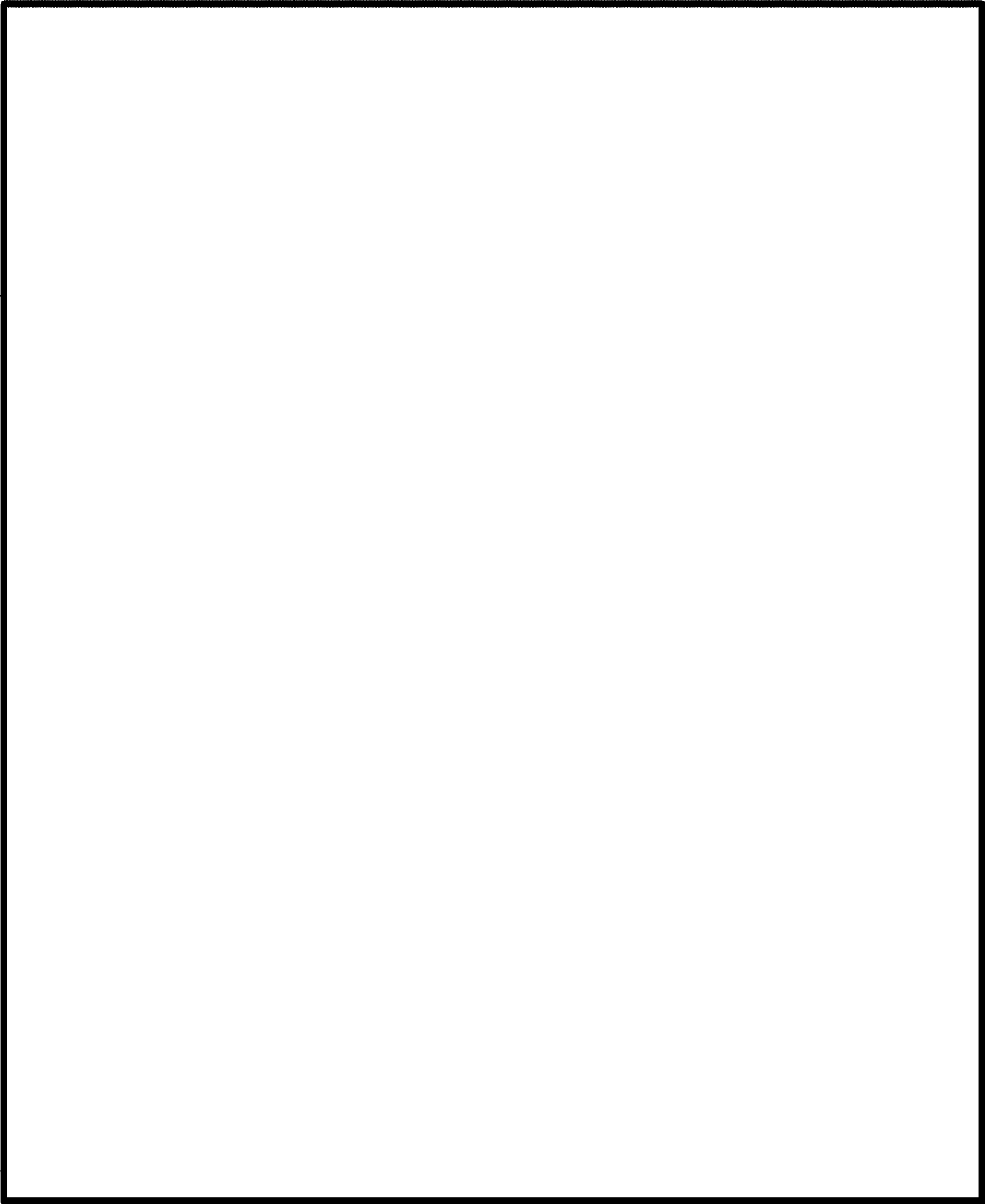


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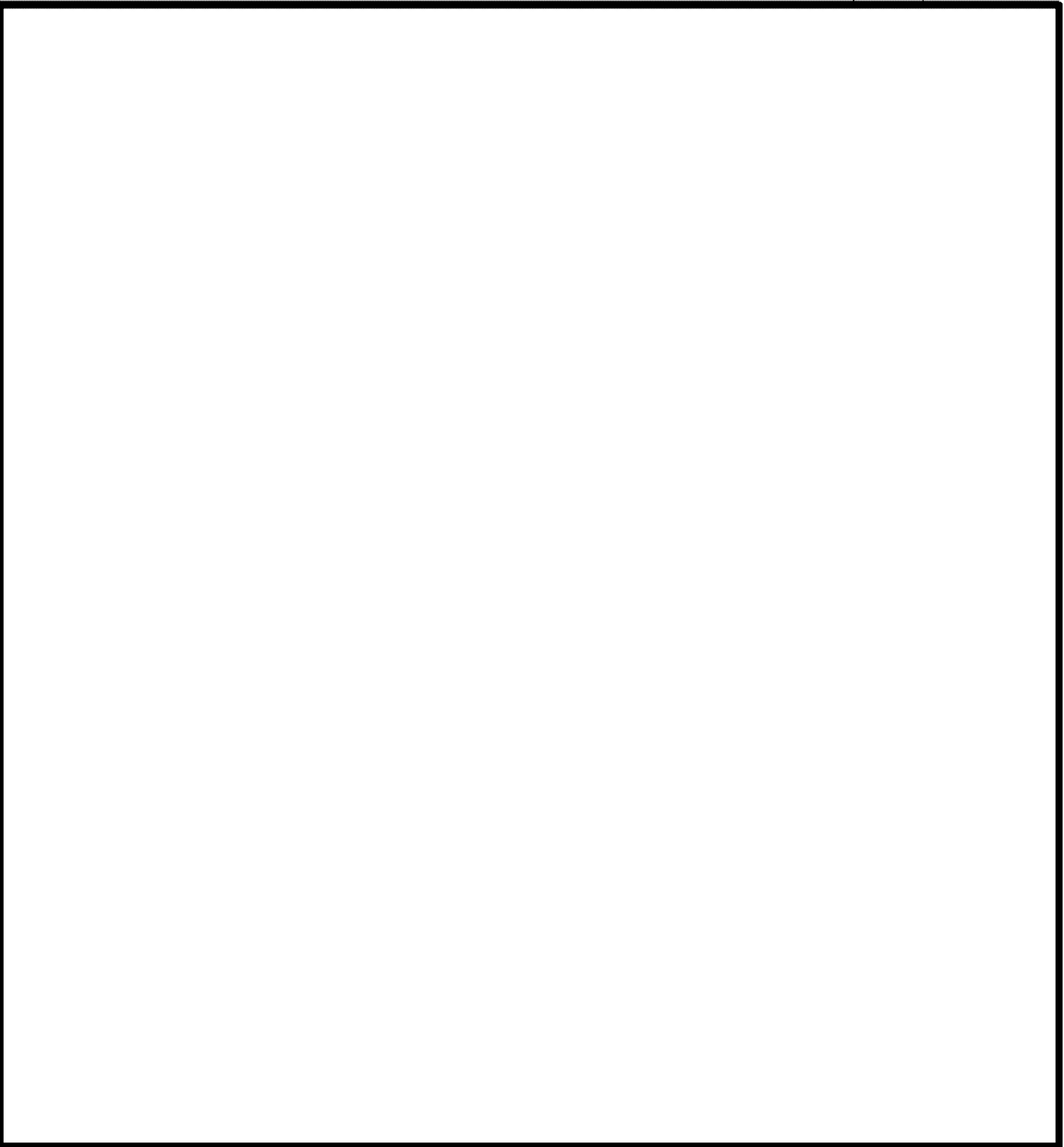
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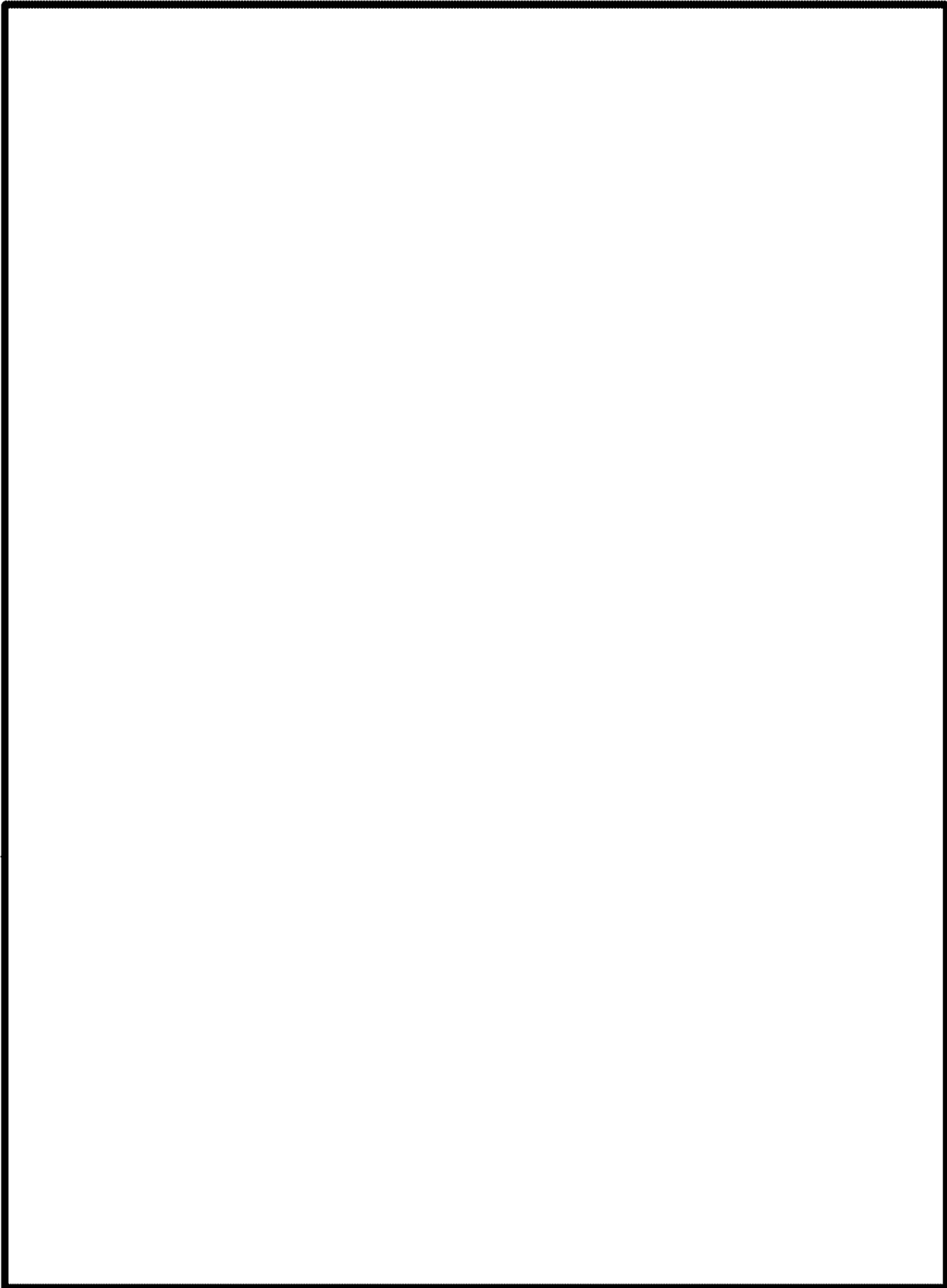
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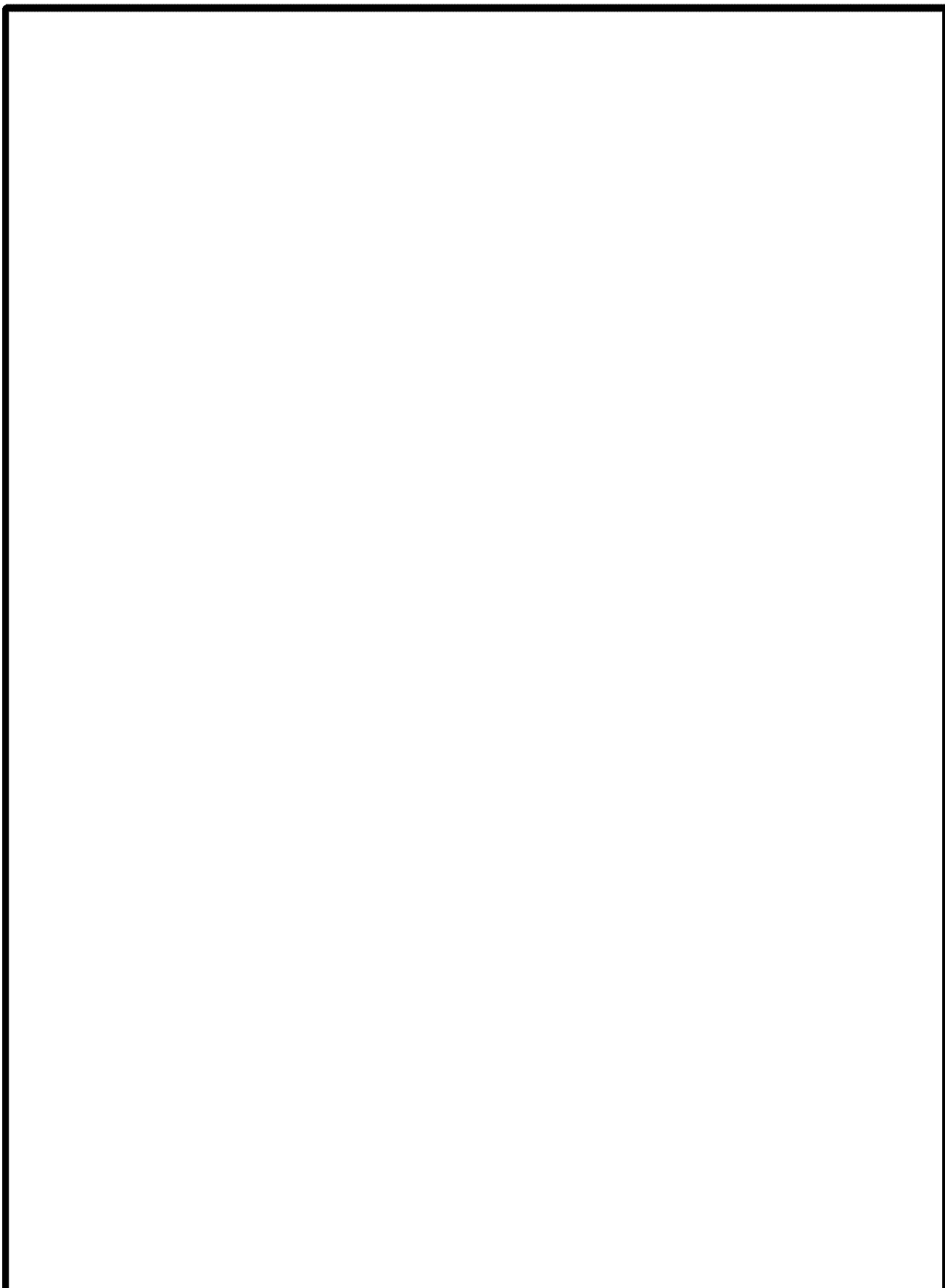
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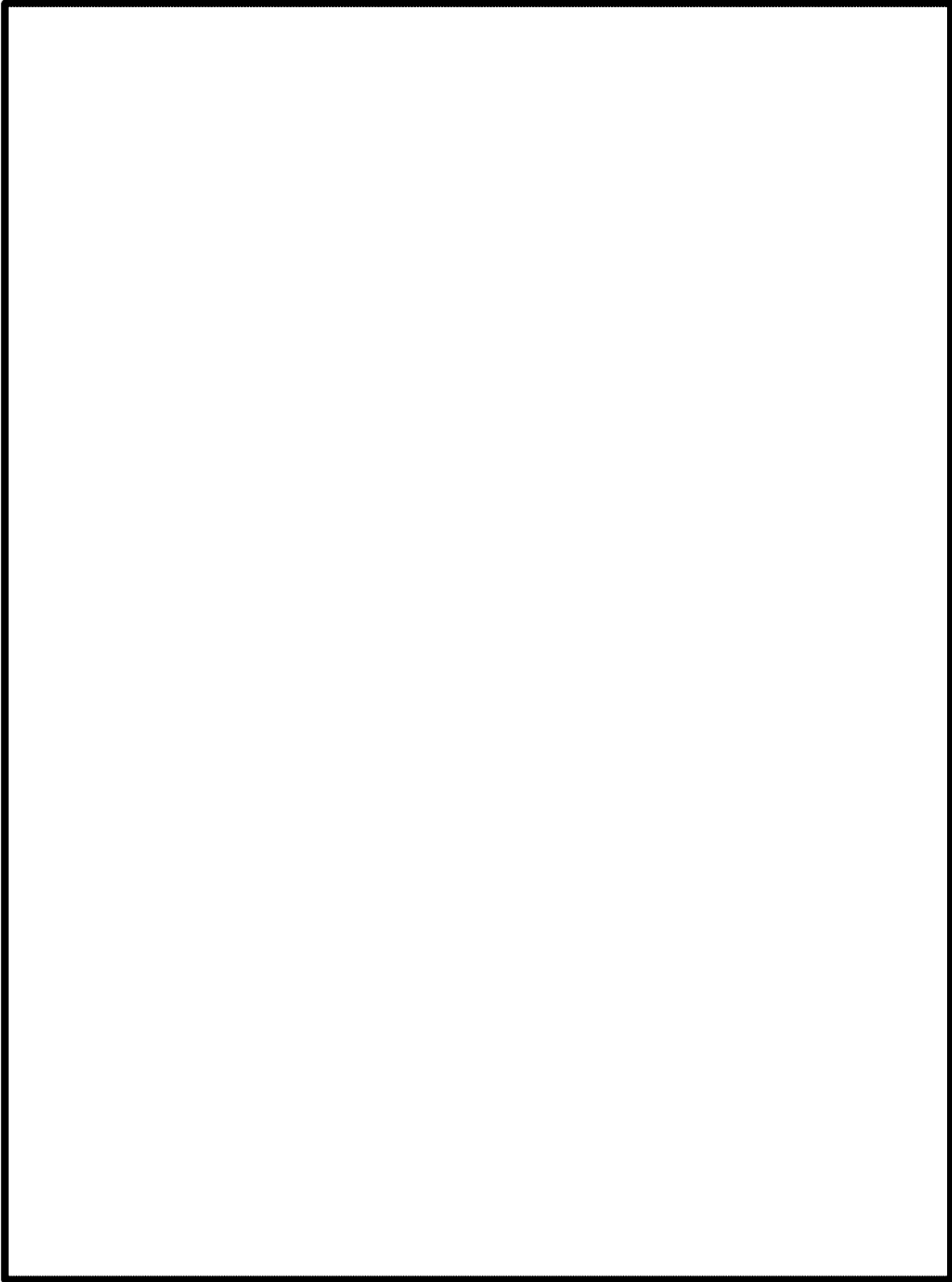
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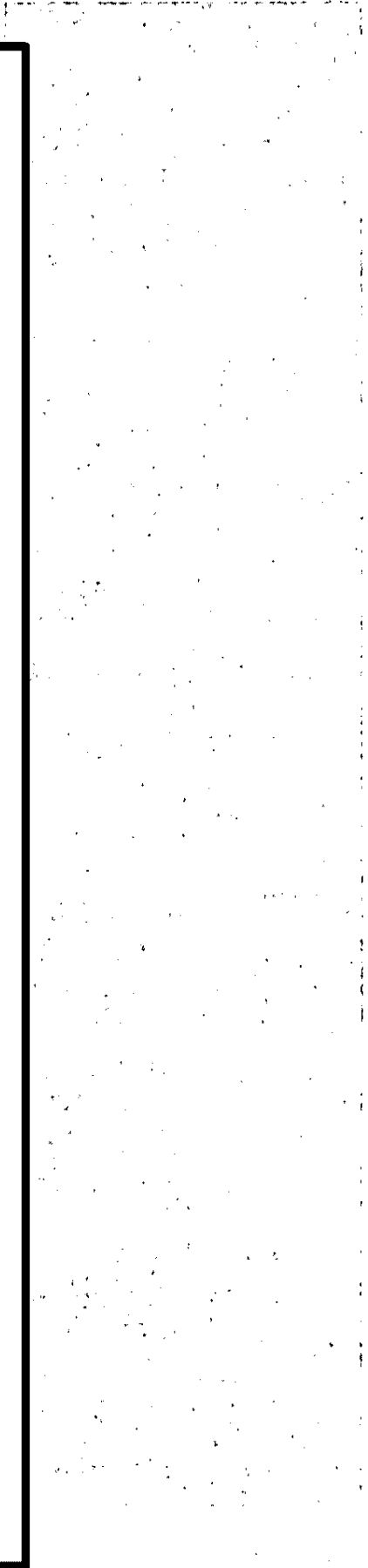
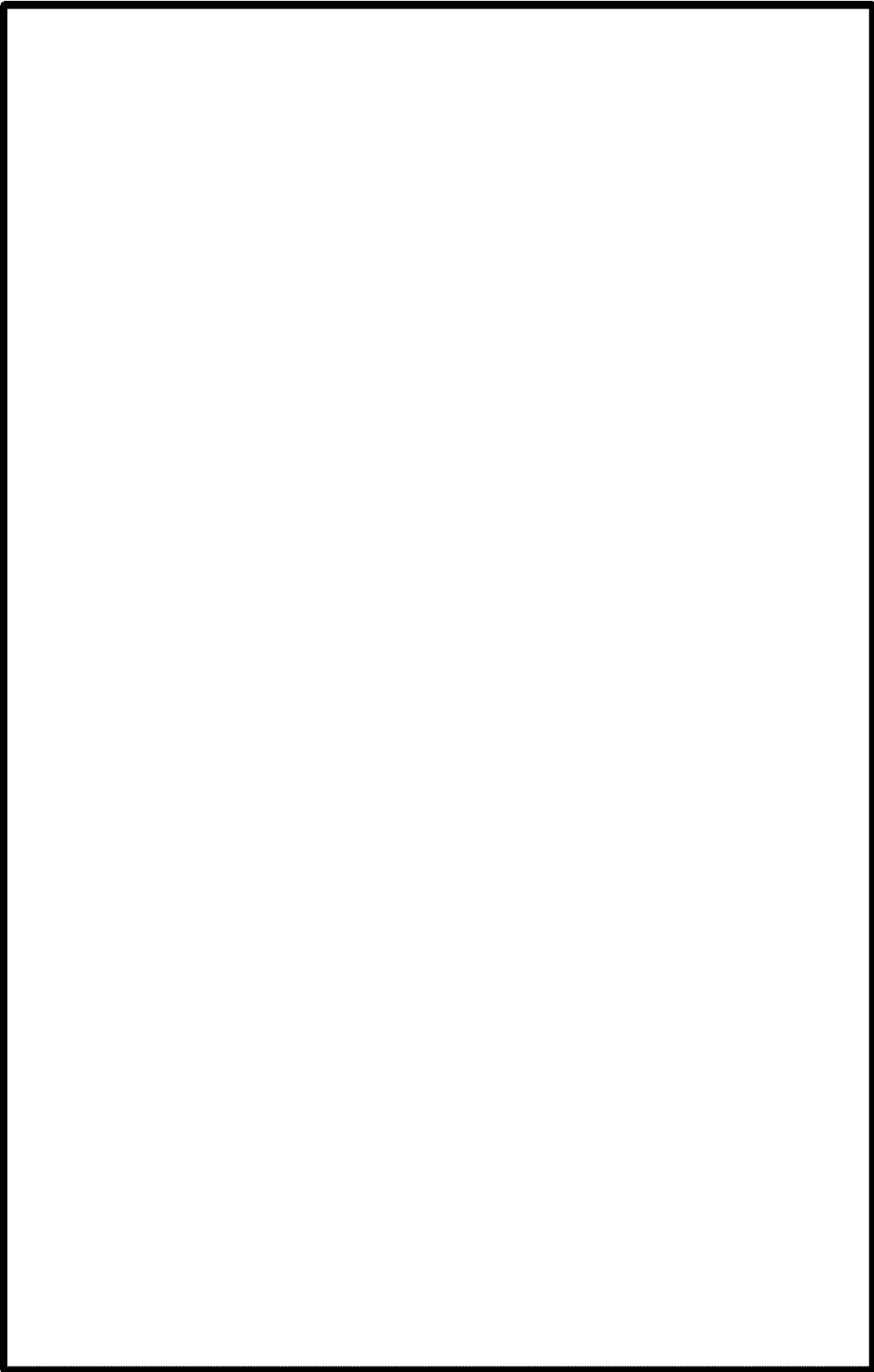
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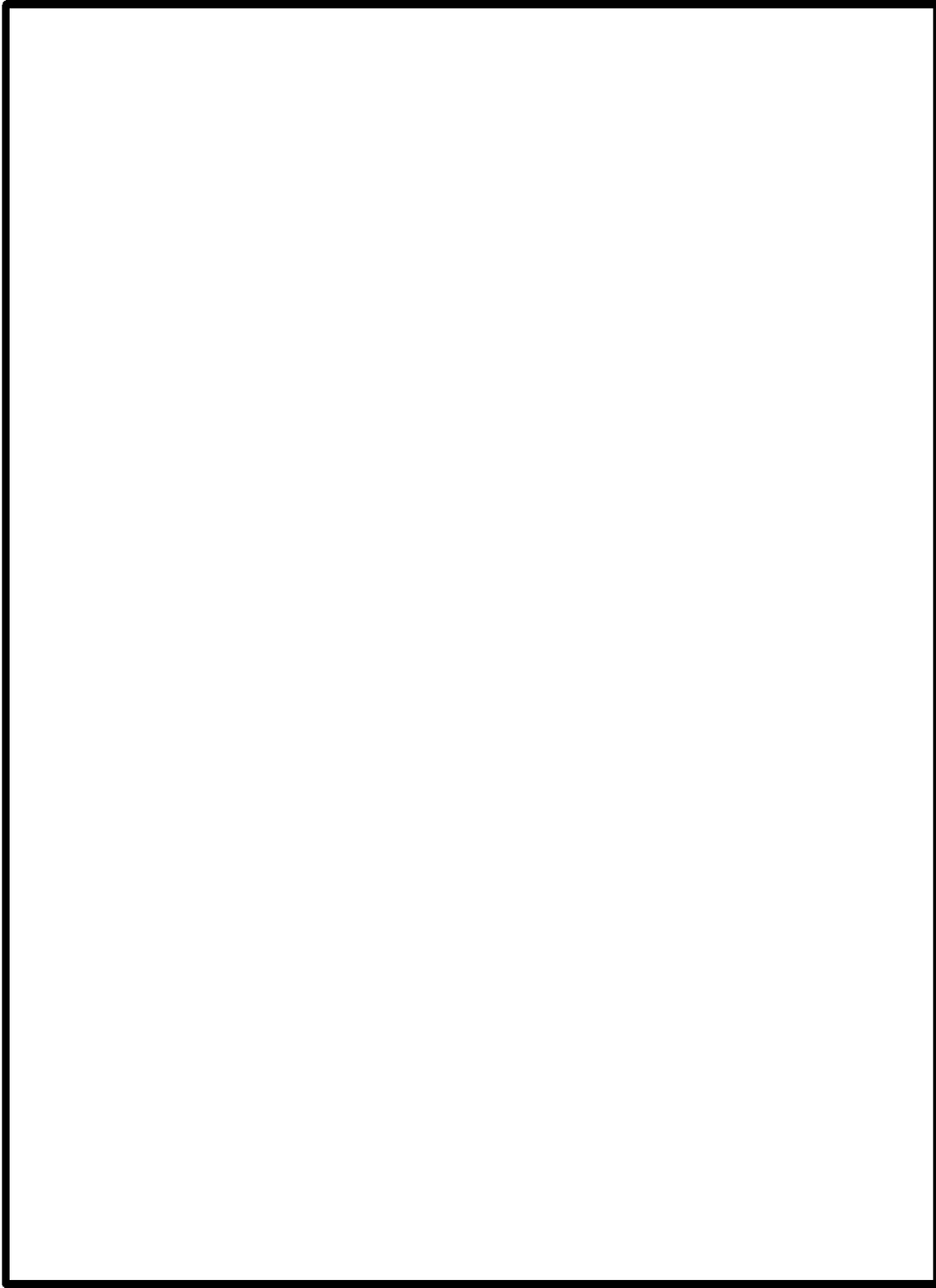
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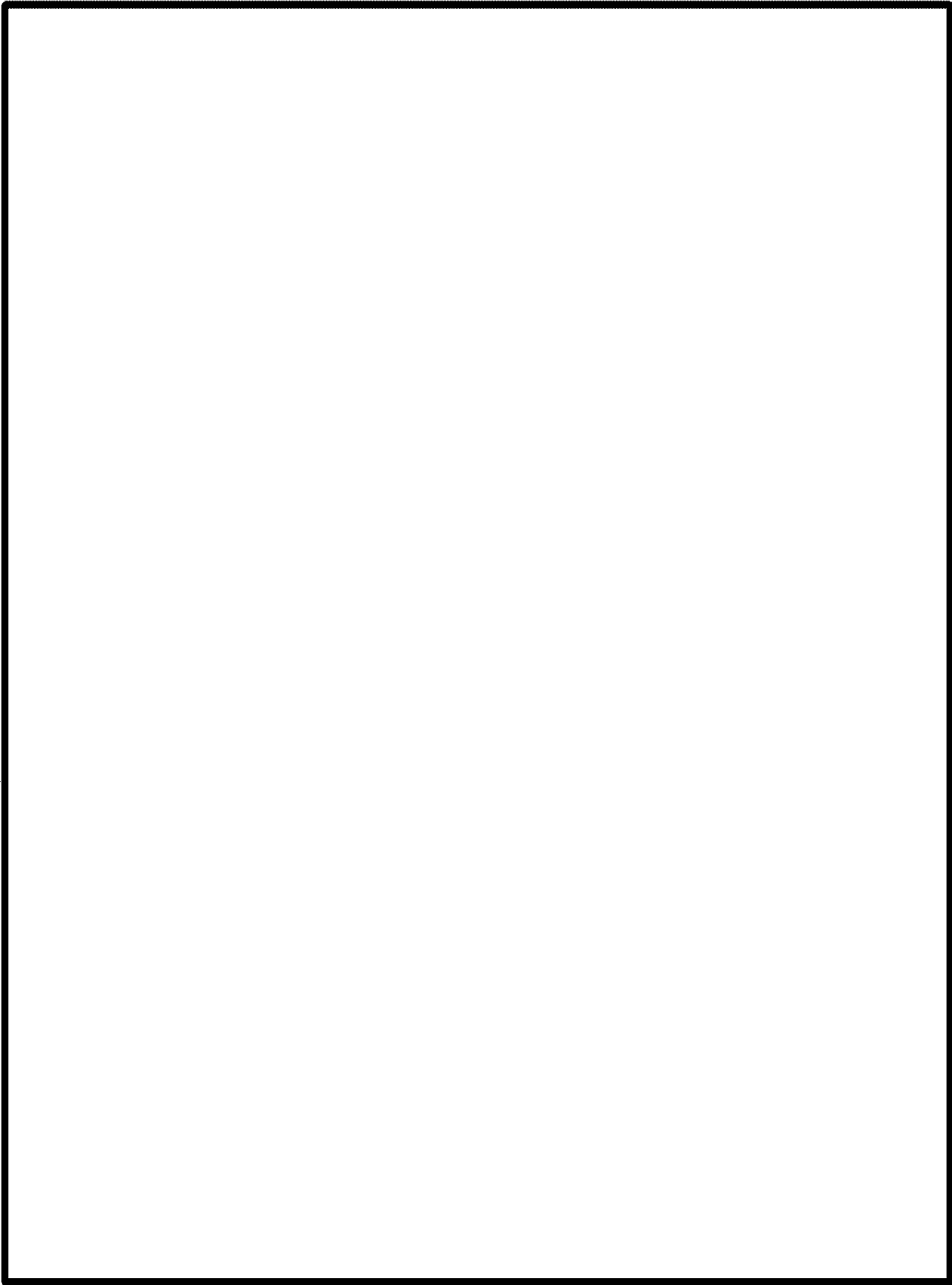
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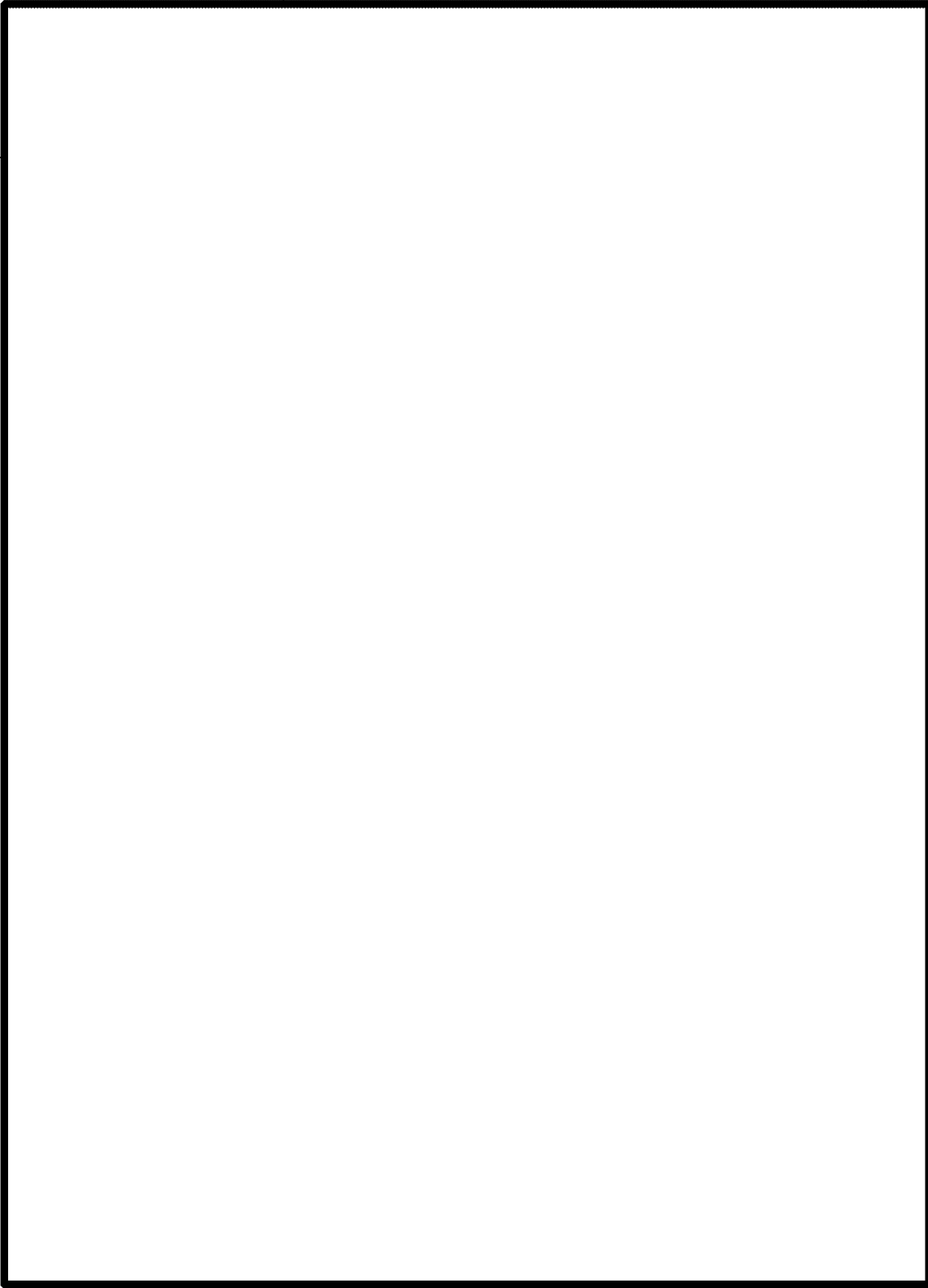
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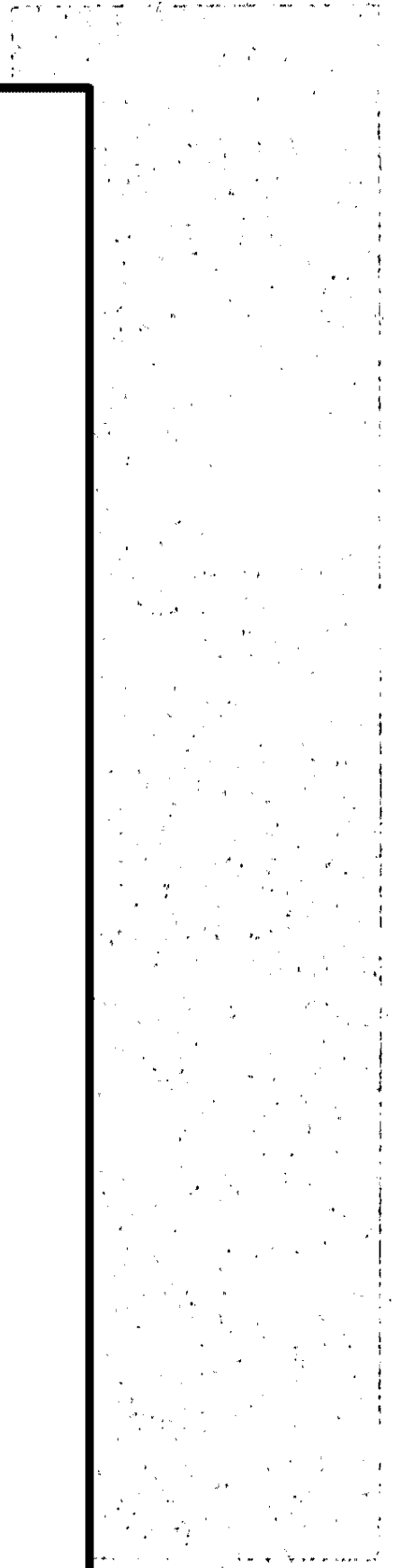
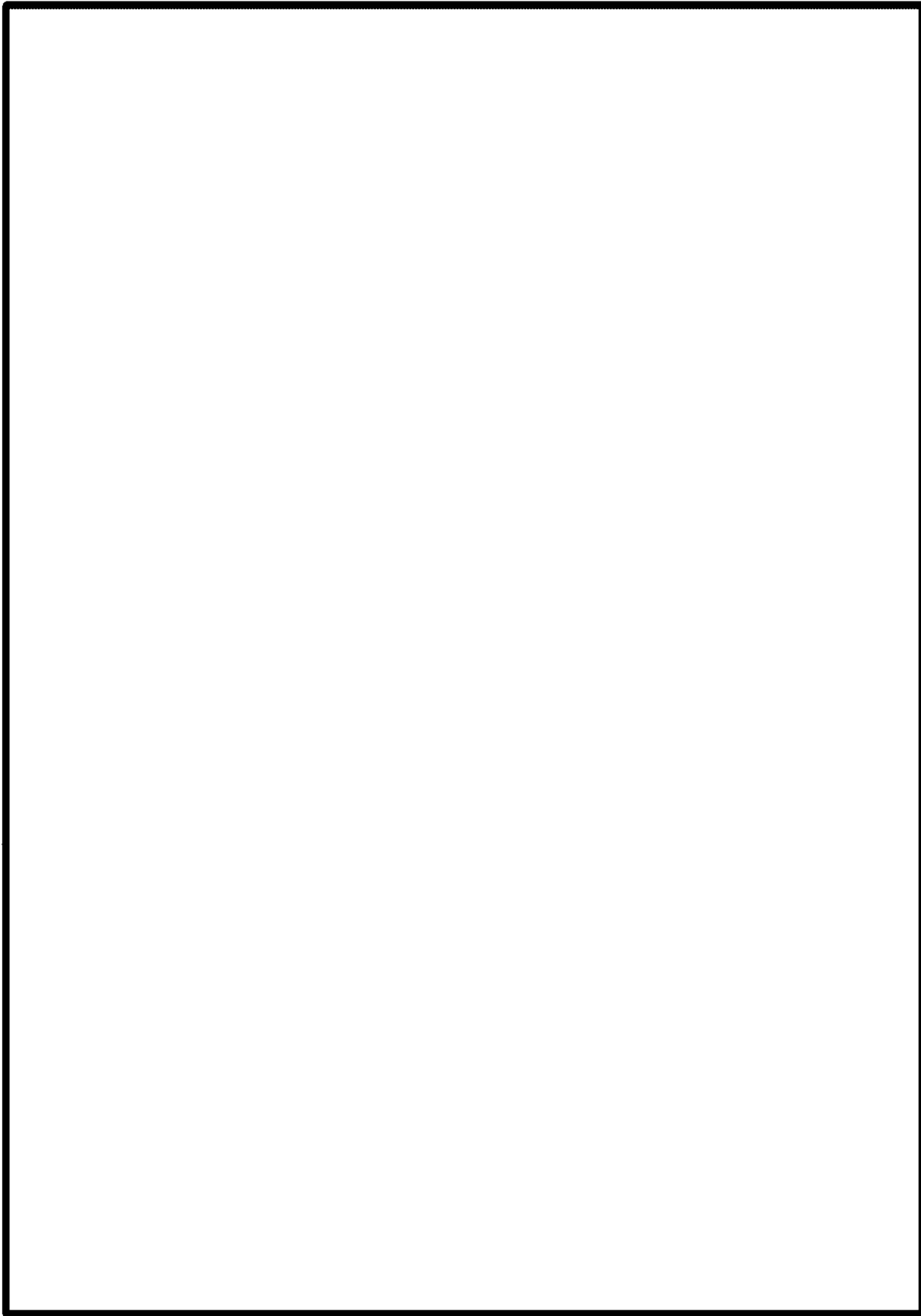
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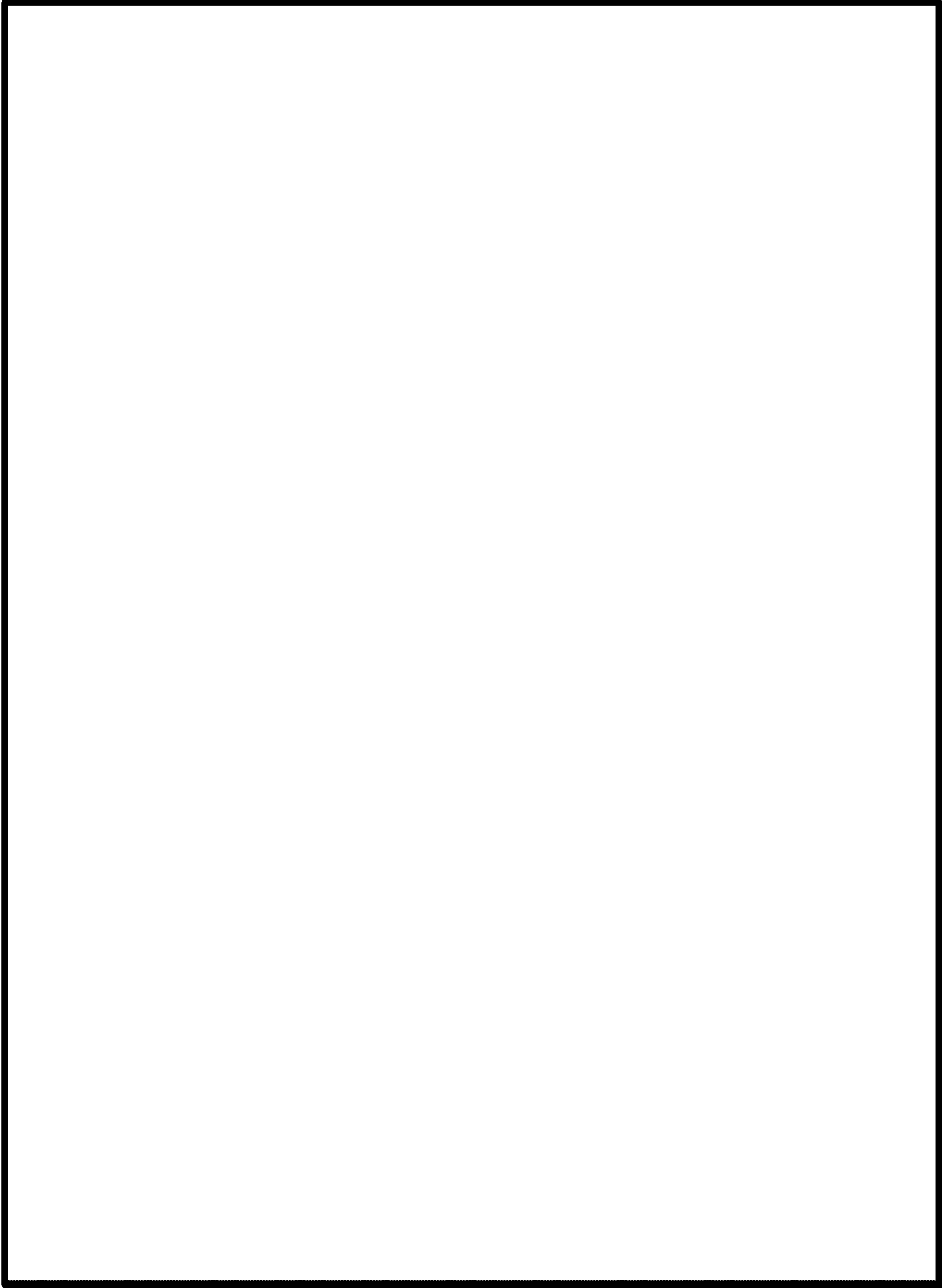
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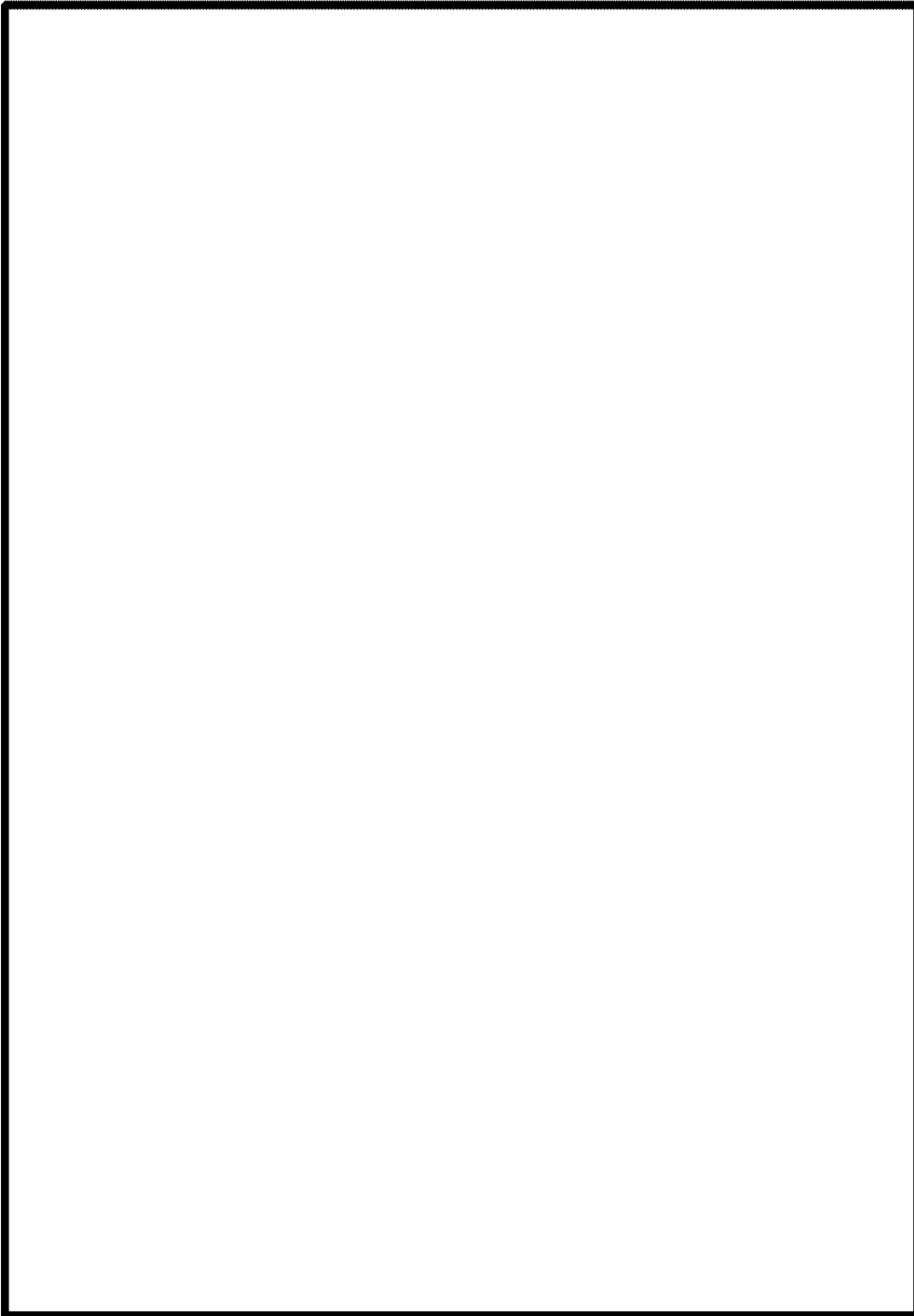
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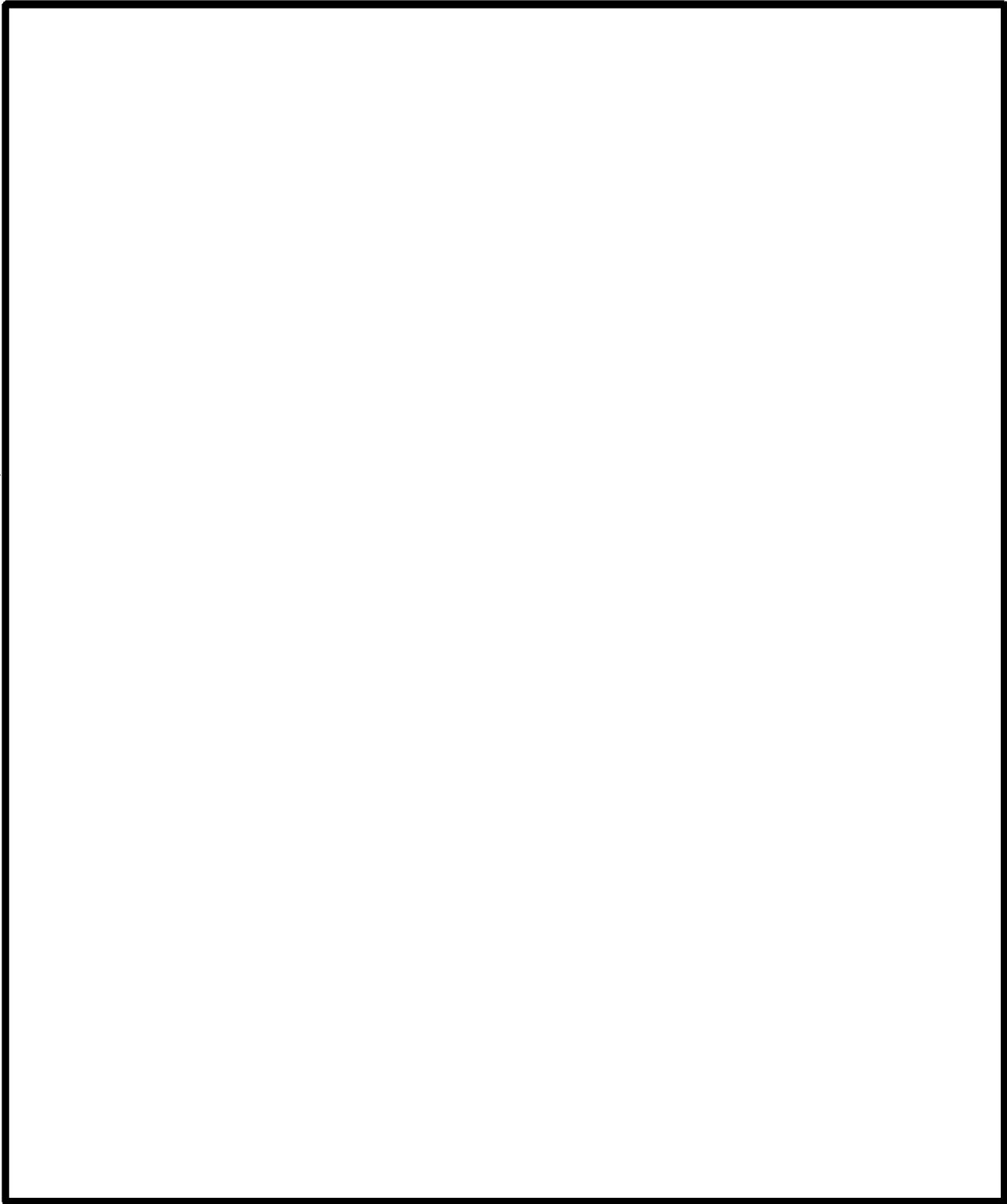
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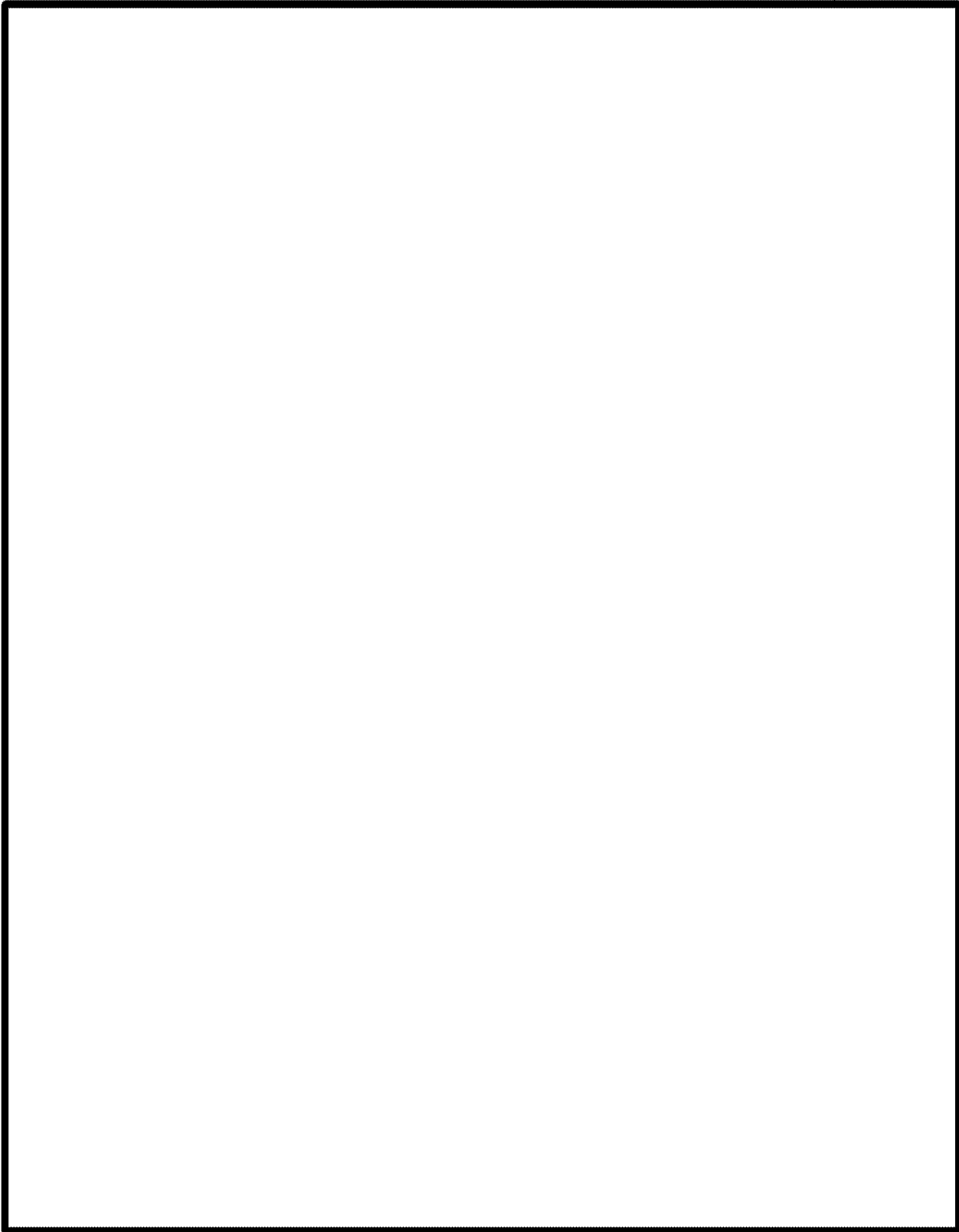
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From: Tintary, Ruth E
To: Roldoquez, Leon; Scialabba, Lori L; Choi, Juliet K; Walters, Jessica S; Swanson, Toni; Bird, John W (Wally); Prelogar, Brandon B; Moore, Joseph D; Reilly, Richard M; Schwartz, Mark A; Riley, James M (Mike); Hochman, Kathleen T; Jaddou, Ur M; Carpenter, Dea D; Busch, Philip B; Cox, Rachel M; Vanison, Denise; Levine, Laurence D; Emrich, Matthew D; Melero, Mariela; Rogers, Debra A; Scott, Danielle N; Salas, Bryan E; Garner, Angela L; Meckley, Tammy M; McMillan, Howard W (Mac); Lotspeich, Katherine J; Nelson, Jennifer A; Hope, Leslie K; McConnell, James E; Hawkins, Donald K; Alfonso, Angelica M; Langlois, Joseph E; Higgins, Jennifer B; Strack, Barbara L; Lafferty, John L; Ruppel, Joanna; Bannis, Pius D; Roma, Joseph T; Ho, Cheri L; Hussey, Jedidah M; Madsen, Kenneth S; Daum, Robert L; Radel, David M; Papazian, Varsenik L; Menges, Patricia A; Rauffer, Susan; Bardini, Emilia M; Neufeld, Donald W; Velarde, Barbara Q; Zuchowski, Laura B; Richardson, Gregory A; Baran, Kathy A; Hazuda, Mark J; Monica, Donald J; Renaud, Tracy L; Cowan, Robert M; Muzyka, Carolyn L; Looney, Robert V; Redman, Kathy A; Pietropaoli, Lori A; Colucci, Nicholas V; Dedvukaj, Mirash (Mick); Hansen, Mark B; Cioppa, Thomas M; Alfred, Esther R; Douglas, David M; Kehl, Lisa M; Heathman, Sandy M; Ortiz, Mario R; Barrows, Angela K; Corsano, Anne A (Anne Arries); Kramar, John; Chau, Anna K; Curda, Susan M; Gallmann, Albert III; Gulick, David G; Riordan, Denis C; Newman, Edward A; Coven, Phyllis A; Thompson, John E; Bryson, Tony R; Collett, Greg L; Taylor, Sarah T; Frazier, Denise M; Swacina, Linda M; Gomez, Cindy N; Patching, Laura D; Button, Maria G (Gemma); Carter, Constance L; Stanley, Kathleen M; Rosenberg, Ronald M (Ron); Thomas, Paula; Carrie, Mark A; Caudill-Mirillo, Ashley B; Cox, Sophia; Duell, Kim M; Duffy, Natalie B; Farnam, Julie E; Gallagher, Kevin E; Germain, Regina; Housden, William C; Limoncelli, Donald J; Moussa, Ramlah I; Rash, Carol A; Remillard, Jessica L; Rust, Maureen E; Wright, Emmanuelle D; Inouye, Shinichi (Shin); Kerns, Kevin J; Jones, Keith A; Medlock, Kelvin P; Davidson, Andrew J; Ostapowich, Stephanie A; Hyams, Emilie R; Micale, Jonathan; Hoefler, Michael D; Fatica, Erin K; Lassen, Brett H; Chavez, Miguel A; Smith, Kristen; Nunez, Rodolfo P; Miramontes, Joel; Nicolas, Margarette B; Zellen, Lorie A; Renaud, Daniel M; Valverde, Michael; Harrison, Julia L; Krebs, Kristie L; Alfred, Esther R; Carter, Jeffrey T (Jeff)
Cc: Atkinson, Ronald A; Beppu, Jennifer M; Brown, Katherine H; Choe, Won J; Dacanay, Arthur J; Dalal, Ankur P (Andy); Evelyn, Heather D; Francis, Gregory J; Fuentes-Rivera, Luis O; Gary-Peefer, Susan; Glover-White, Danel; Kareem, Hamida J; Nelson, Angela M (Angie); Perdomo, Mildred; Pettie, Shawan E; Powell, Paul; Rodriguez, Miguel E; Rowe, Monterey; Weller, Angela V; White, Nakia V; Witherow, Hiroko; Irazabal, Luz F; Finnegan, Brenda T; Wooden, Janeen R; Martin, Heather A
Subject: RE: Hearing TODAY at 10:00am, Wednesday Sept. 28th: USCIS, DOS-PRM and HHS-ORR
Date: Friday, September 30, 2016 10:40:34 AM
Attachments: CQ TRANSCRIPT SIC Refugee hearing 9-28-16.docx

Here is the unofficial transcript of the hearing.

From: Tintary, Ruth E
Sent: Wednesday, September 28, 2016 9:17 AM
To: Rodriguez, Leon; Scialabba, Lori L; Choi, Juliet K; Walters, Jessica S; Swanson, Toni; Bird, John W (Wally); Prelogar, Brandon B; Moore, Joseph D; Reilly, Richard M; Schwartz, Mark A; Riley, James M (Mike); Hochman, Kathleen T; Jaddou, Ur M; Carpenter, Dea D; Busch, Philip B; Cox, Rachel M; Vanison, Denise; Levine, Laurence D; Emrich, Matthew D; Melero, Mariela; Rogers, Debra A; Scott, Danielle N; Salas, Bryan E; Garner, Angela L; Meckley, Tammy M; McMillan, Howard W (Mac); Lotspeich, Katherine J; Nelson, Jennifer A; Hope, Leslie K; McConnell, James E; Hawkins, Donald K; Alfonso, Angelica M; Langlois, Joseph E; Higgins, Jennifer B; Strack, Barbara L; Lafferty, John L; Ruppel, Joanna; Bannis, Pius D; Roma, Joseph T; Ho, Cheri L; Hussey, Jedidah M; Madsen, Kenneth S; Daum, Robert L; Radel, David M; Papazian, Varsenik L; Menges, Patricia A; Rauffer, Susan; Bardini, Emilia M; Neufeld, Donald W; Velarde, Barbara Q; Zuchowski, Laura B; Richardson, Gregory A; Baran, Kathy A; Hazuda, Mark J; Monica, Donald J; Renaud, Tracy L; Cowan, Robert M; Muzyka, Carolyn L; Looney, Robert V; Redman, Kathy A; Pietropaoli, Lori A; Colucci, Nicholas V; Dedvukaj, Mirash (Mick); Hansen, Mark B; Cioppa, Thomas M; Alfred, Esther R; Douglas, David M; Kehl, Lisa M; Heathman, Sandy M; Ortiz, Mario R; Barrows, Angela K; Corsano, Anne A (Anne Arries); Kramar, John; Chau, Anna K; Curda, Susan M; Gallmann, Albert III; Gulick, David G; Riordan, Denis C; Newman, Edward A; Coven, Phyllis A; Thompson, John E; Bryson, Tony R; Collett, Greg L; Taylor, Sarah T; Frazier, Denise M; Swacina, Linda M; Gomez, Cindy N; Patching, Laura D; Button, Maria G (Gemma); Carter, Constance L; Stanley, Kathleen M; Rosenberg, Ronald M (Ron); Thomas, Paula; Carrie, Mark A; Caudill-Mirillo, Ashley B; Cox, Sophia; Duell, Kim M; Duffy, Natalie B; Farnam, Julie E; Gallagher, Kevin E; Germain, Regina; Housden, William C; Limoncelli, Donald J; Moussa, Ramlah I; Rash, Carol A; Remillard, Jessica L; Rust, Maureen E; Wright, Emmanuelle D; Inouye, Shinichi (Shin); Kerns, Kevin J; Jones, Keith A; Medlock, Kelvin P; Davidson, Andrew J; Ostapowich, Stephanie A; Hyams, Emilie R; Micale, Jonathan; Hoefler, Michael D; Fatica, Erin K; Lassen, Brett H; Chavez, Miguel A; Smith, Kristen; Nunez, Rodolfo P; Miramontes, Joel; Nicolas, Margarette B; Zellen, Lorie A; Renaud, Daniel M; Valverde, Michael; Harrison, Julia L (Julia.L.Harrison@uscis.dhs.gov); Krebs, Kristie L; Alfred, Esther R; Carter, Jeffrey T (Jeff)
Cc: Atkinson, Ronald A; Beppu, Jennifer M; Brown, Katherine H; Choe, Won J; Dacanay, Arthur J; Dalal, Ankur P (Andy); Evelyn, Heather D; Francis, Gregory J; Fuentes-Rivera, Luis O; Gary-Peefer, Susan; Glover-White, Danel; Kareem, Hamida J; Nelson, Angela M; Perdomo, Mildred; Pettie, Shawan E; Powell, Paul; Rodriguez, Miguel E; Rowe, Monterey; Weller, Angela V; White, Nakia V; Witherow, Hiroko; Irazabal, Luz F; Finnegan, Brenda T; Wooden, Janeen R; Martin, Heather A
Subject: Hearing TODAY at 10:00am, Wednesday Sept. 28th: USCIS, DOS-PRM and HHS-ORR
Importance: High

Hello Colleagues,

Today at 10:00am, Wednesday Sept. 28th: USCIS, DOS-PRM and HHS-ORR will be testifying, below is the link. Please feel free to share. Please note that the webcast link often won't go "live" until the hearing actually starts, which may or may not be exactly by the time posted.

**"Oversight of the Administration's FY 2017 Refugee Resettlement Program"
Senate Judiciary Immigration and the National Interest Subcommittee**

Witnesses: USCIS Director Leon Rodriguez
DOS-PRM PDAS Simon Henshaw
HHS-ORR Director Robert Carey

10:00 a.m., 226 Dirksen [WEBSITE](#)

Best,

Ruth E. Tintary

Associate Chief
Legislative Branch
Office of Legislative Affairs
U.S. Citizenship and Immigration Services
Dept. of Homeland Security
(202) 272-1947
ruth.e.tintary@uscis.dhs.gov

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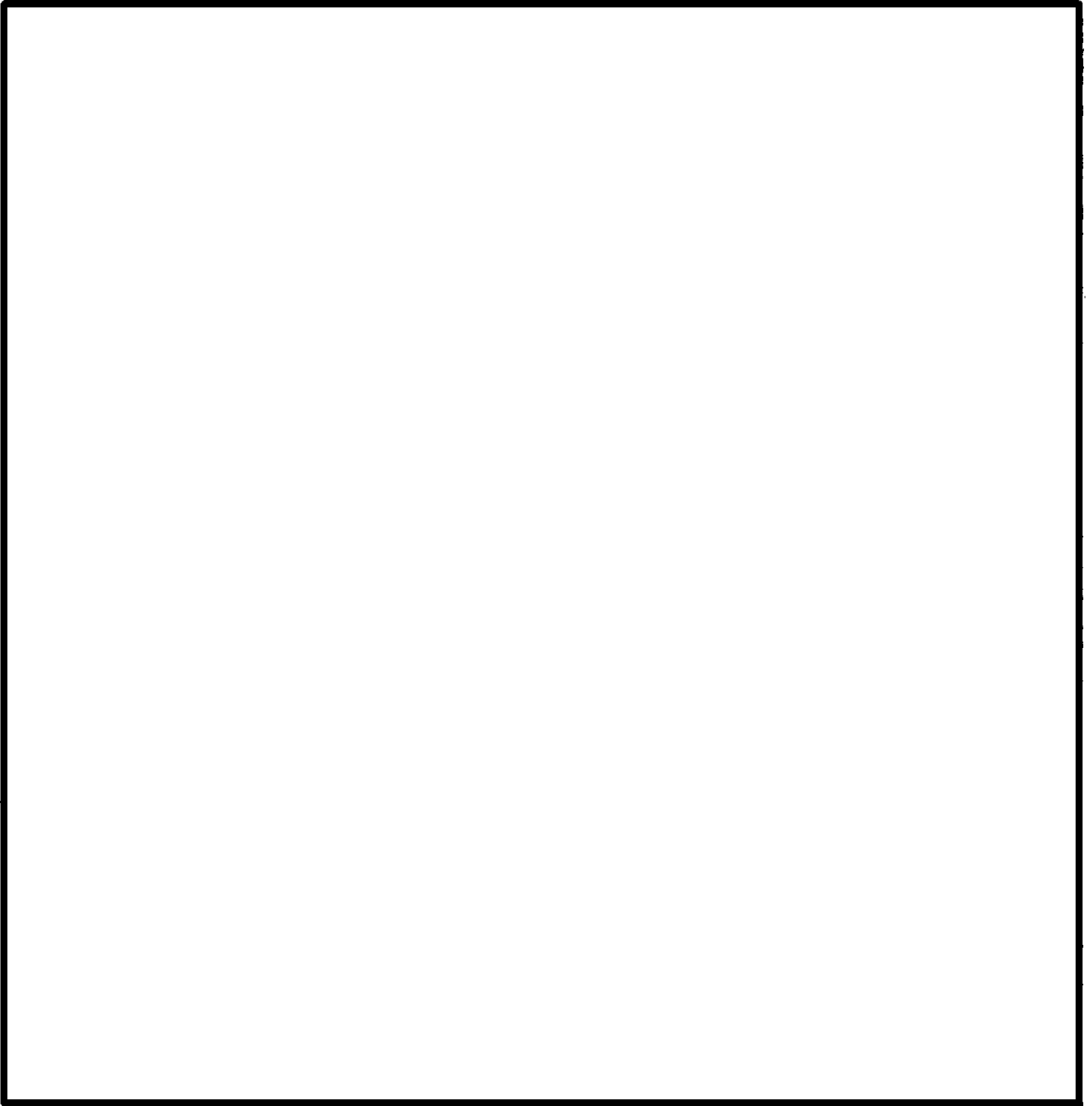
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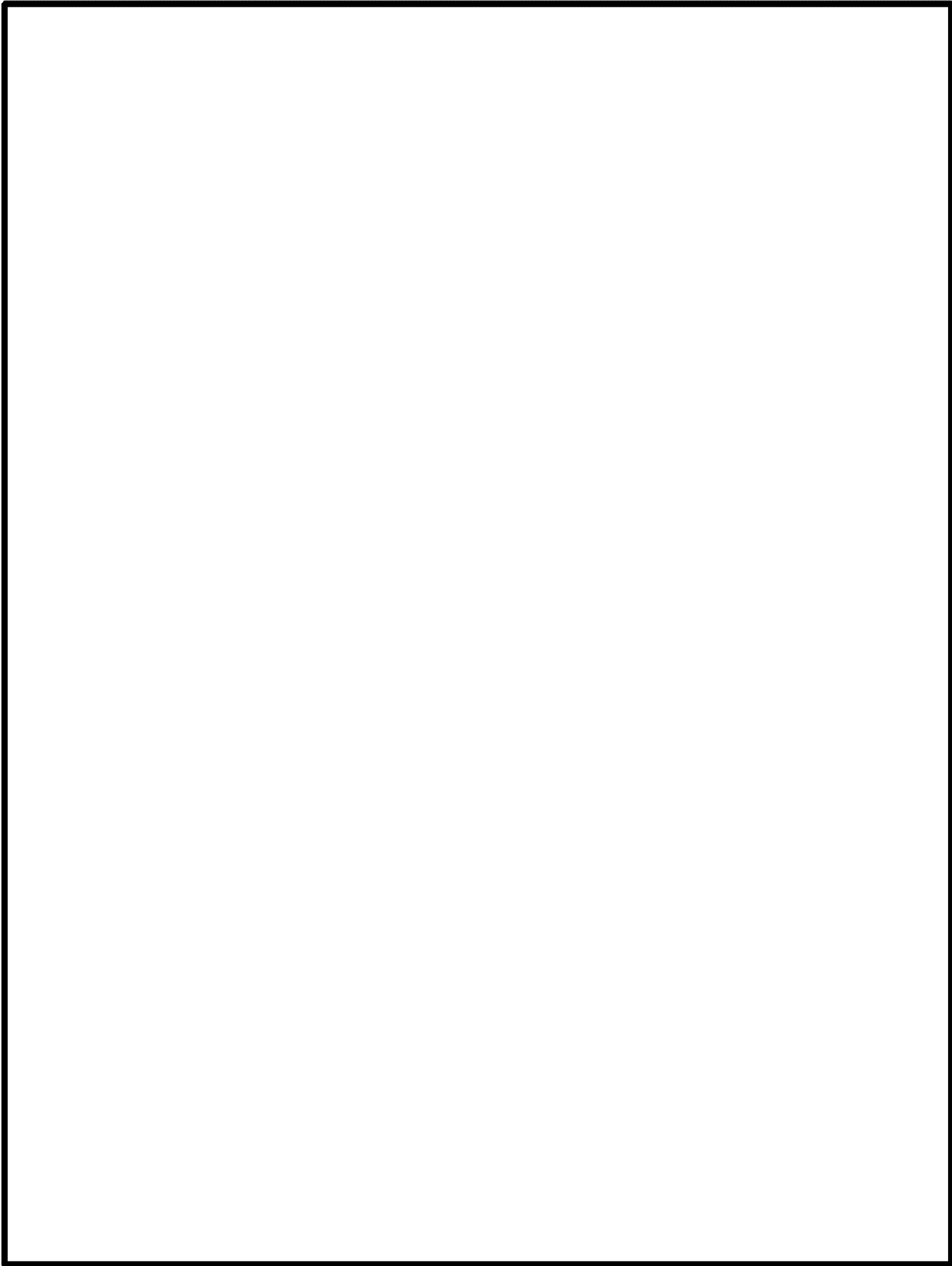
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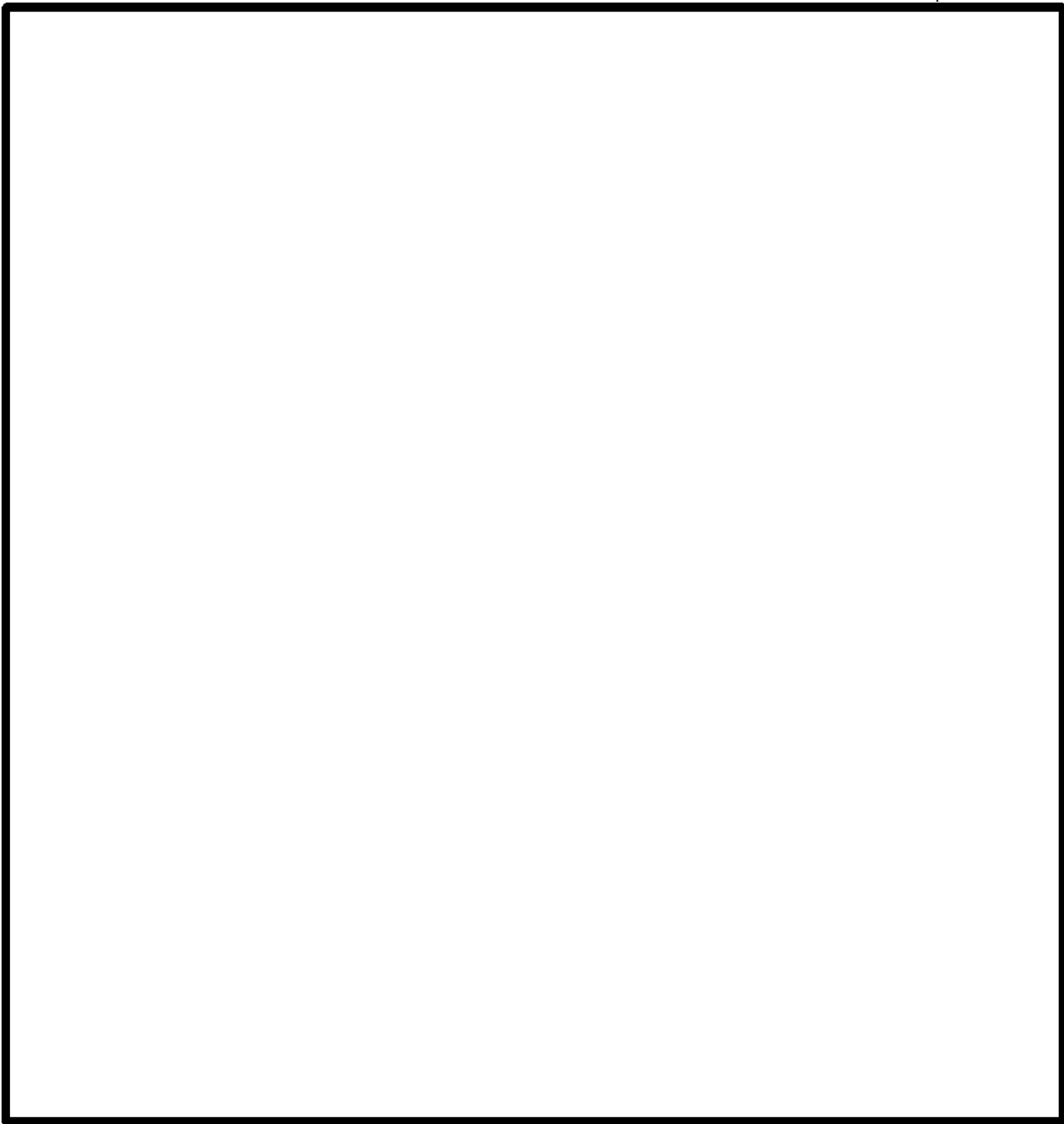


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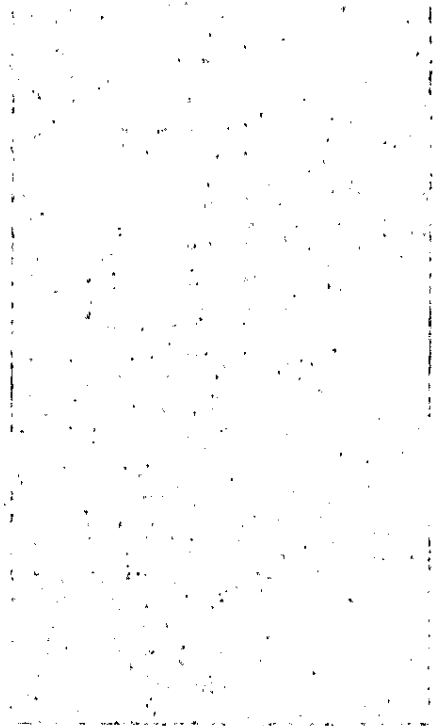
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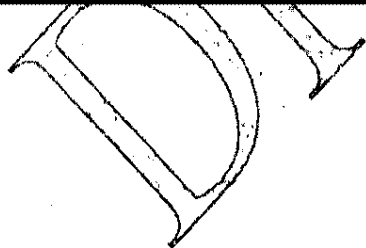
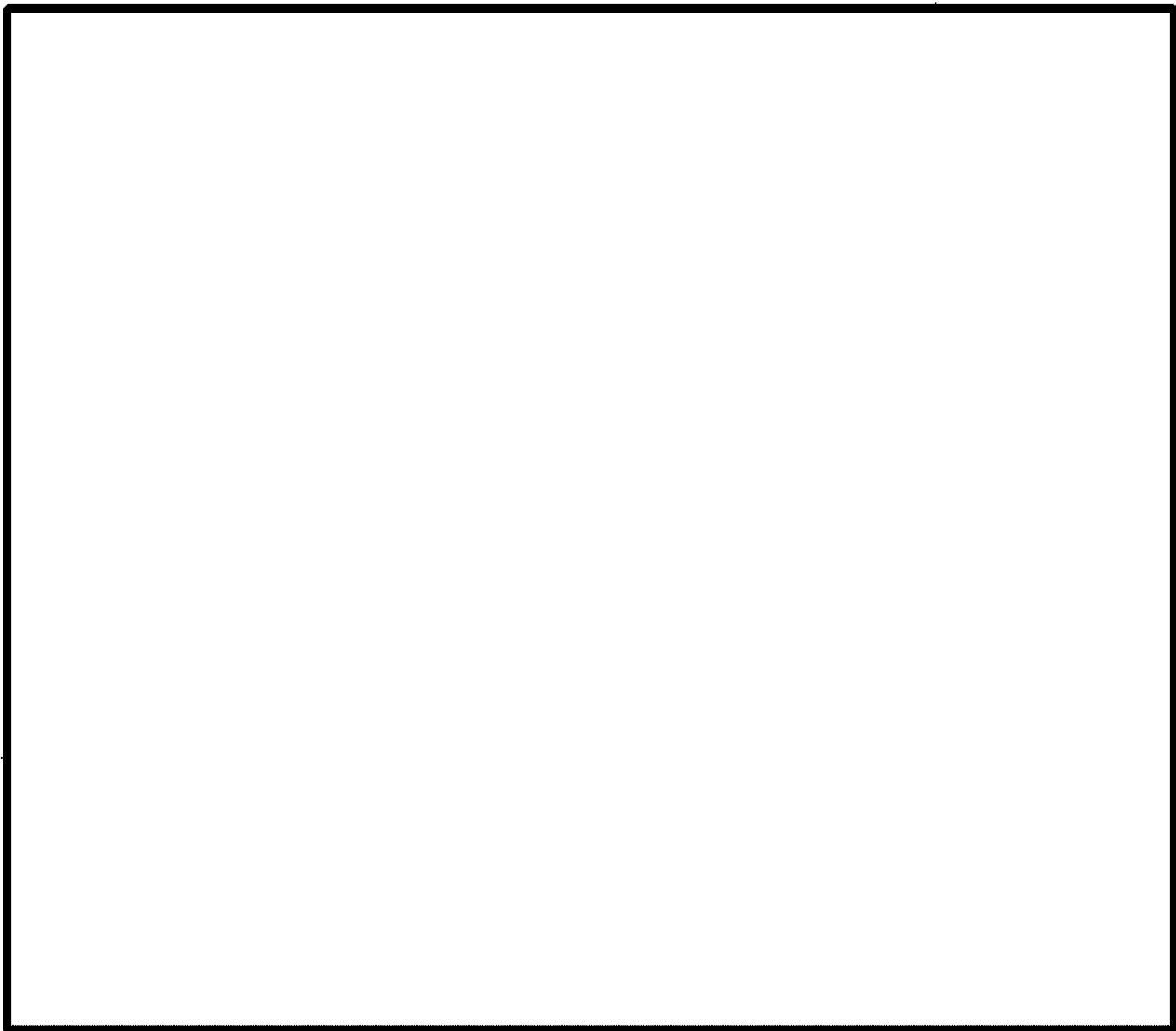


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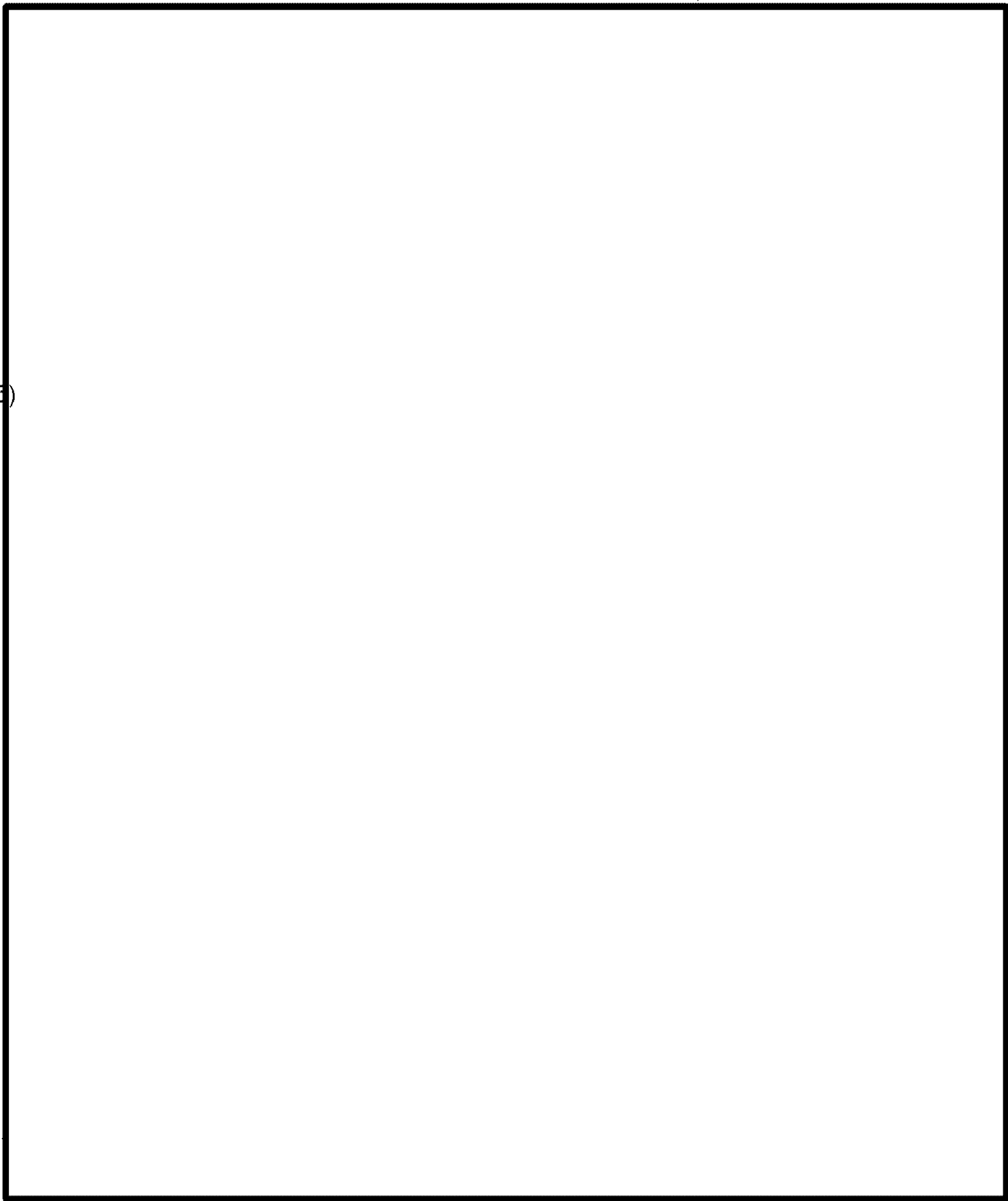


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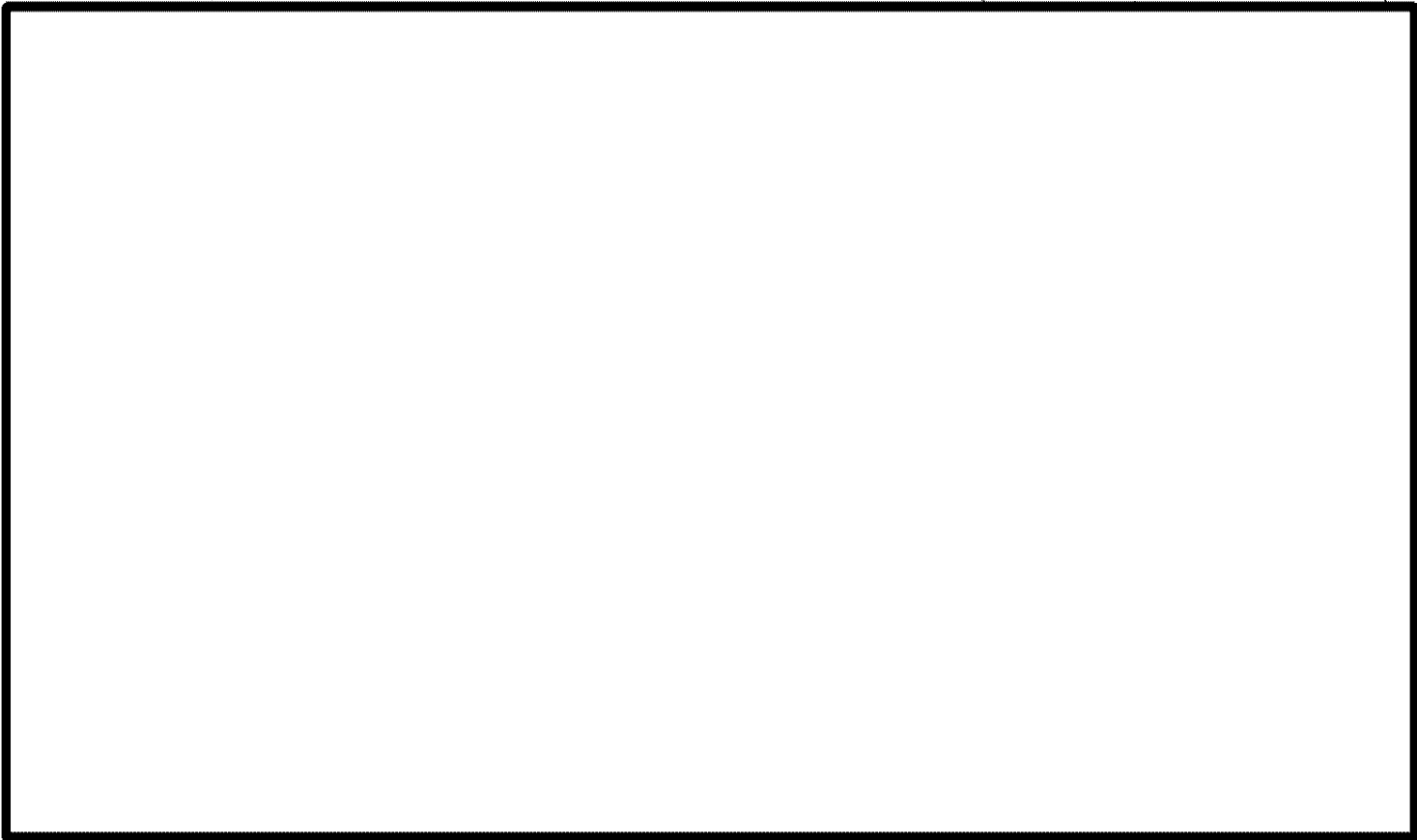




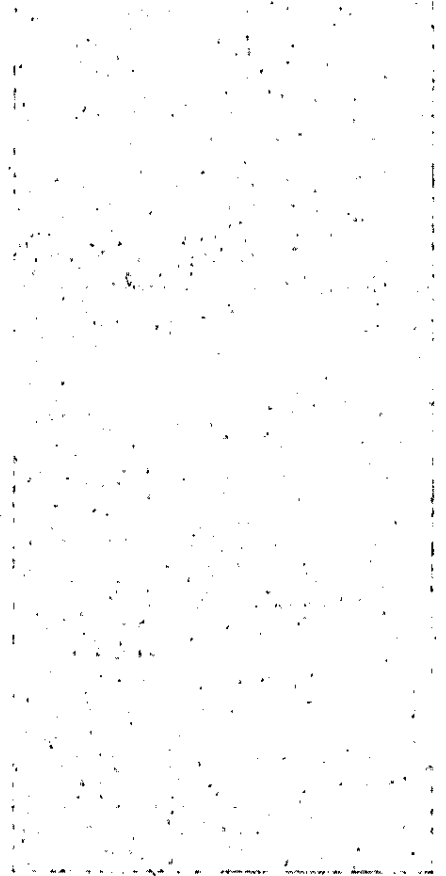
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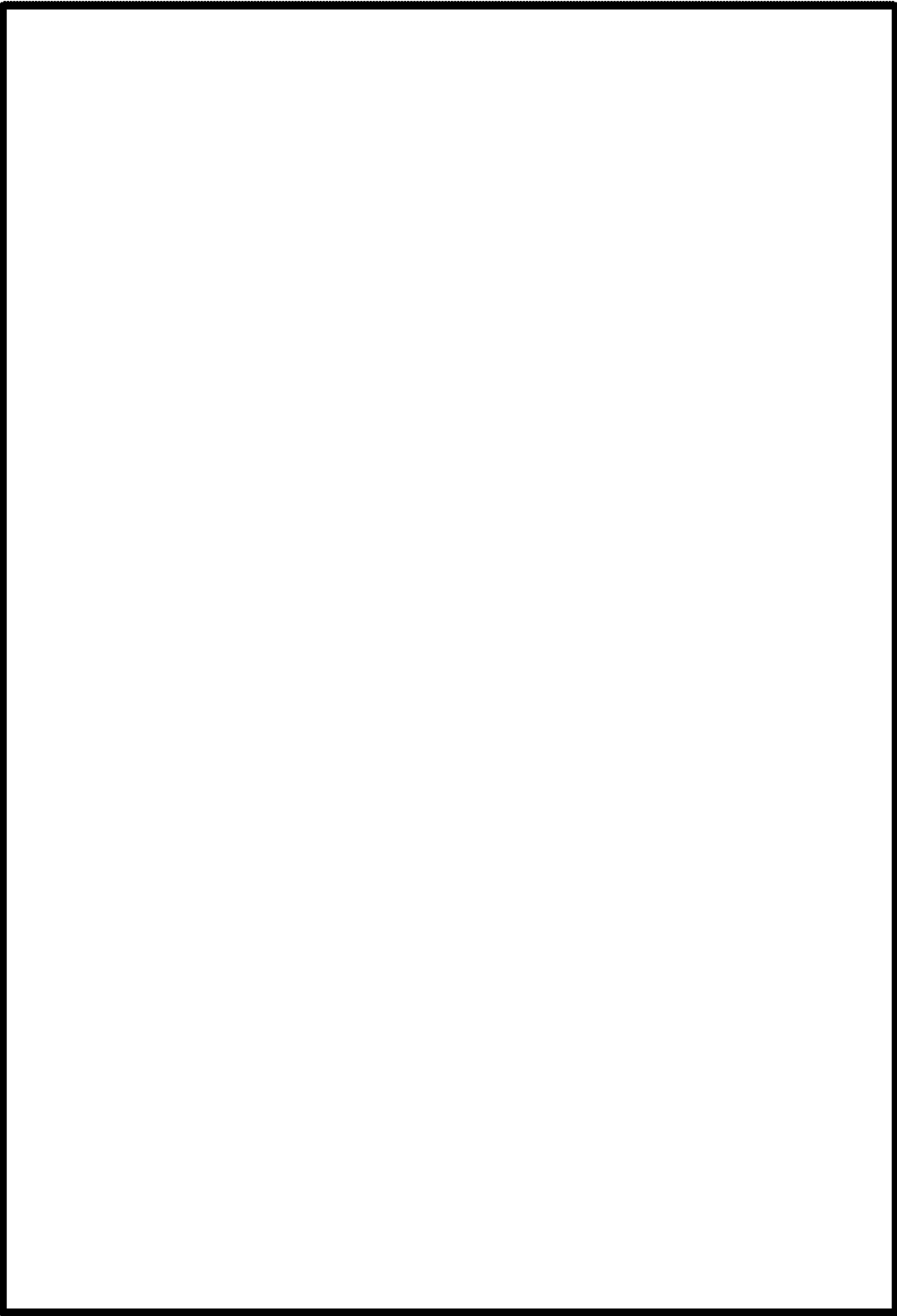
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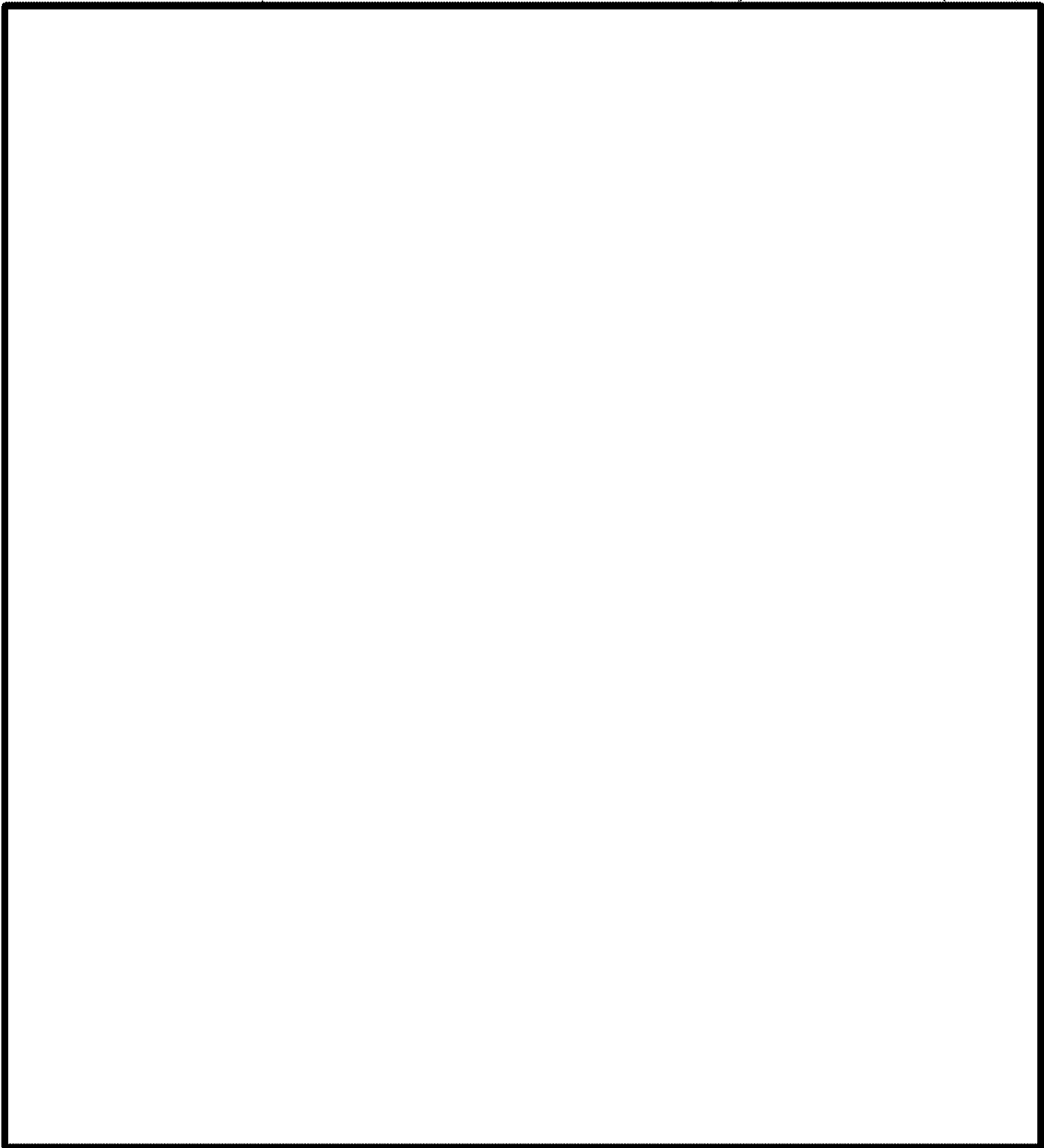
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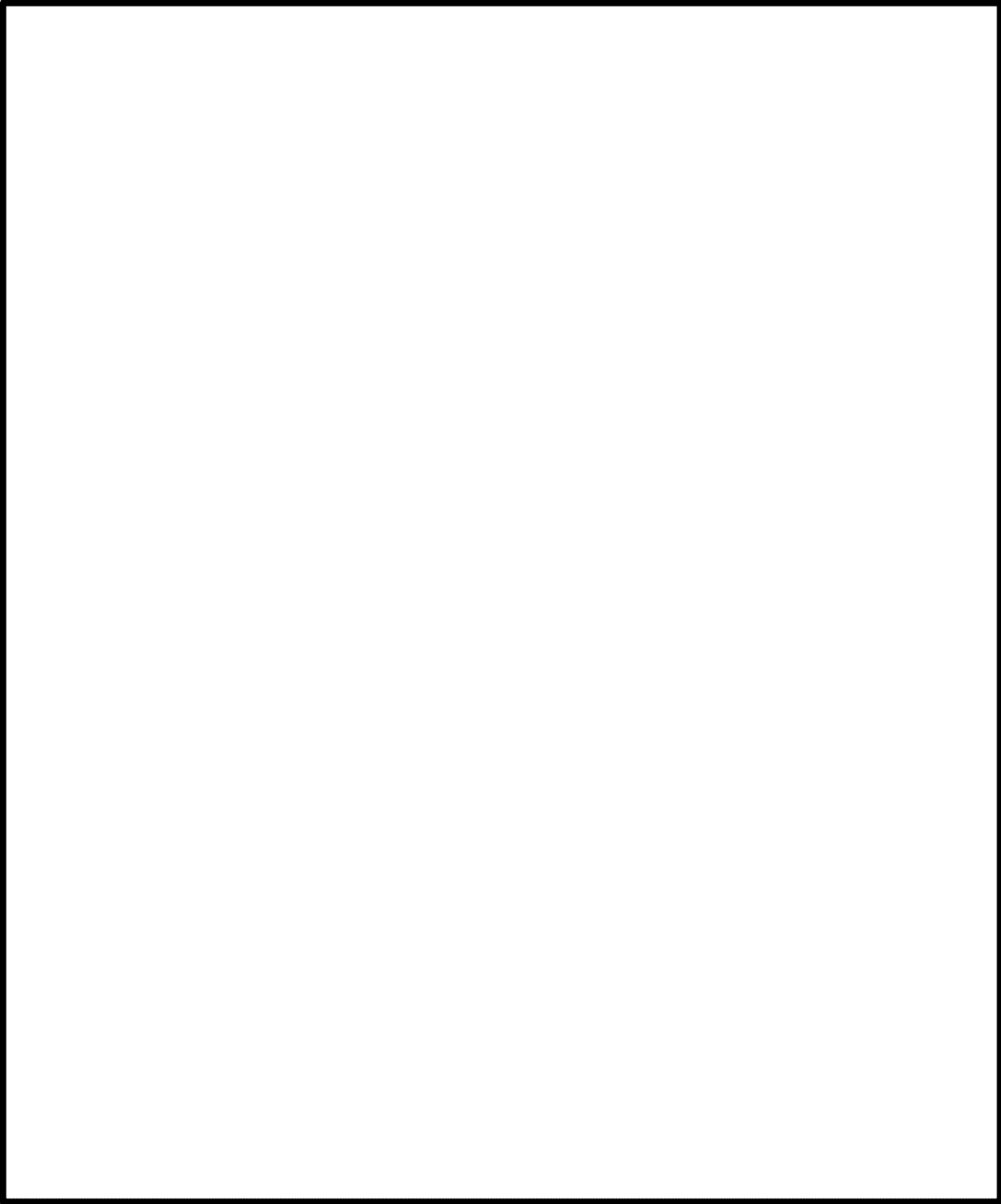


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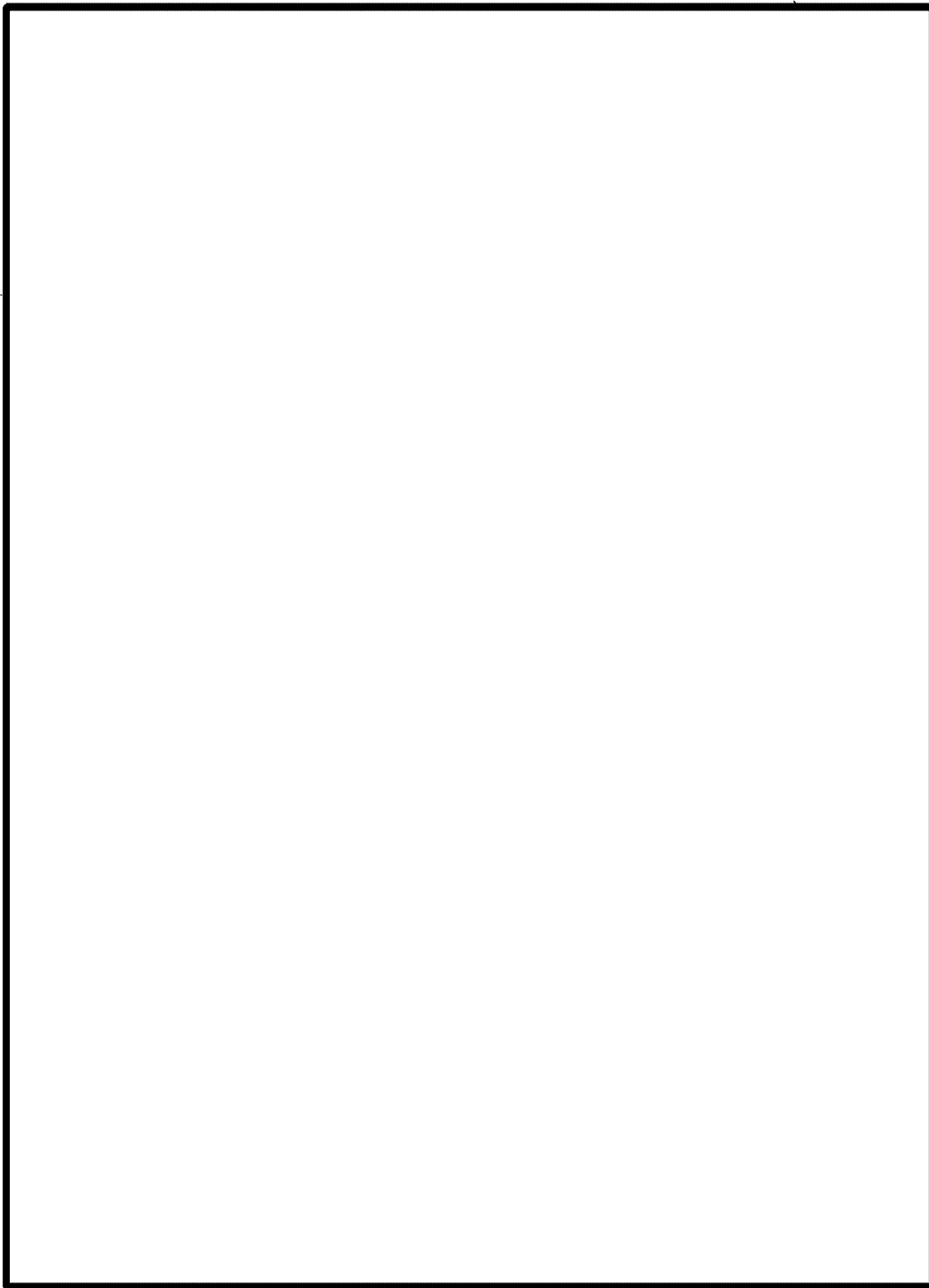
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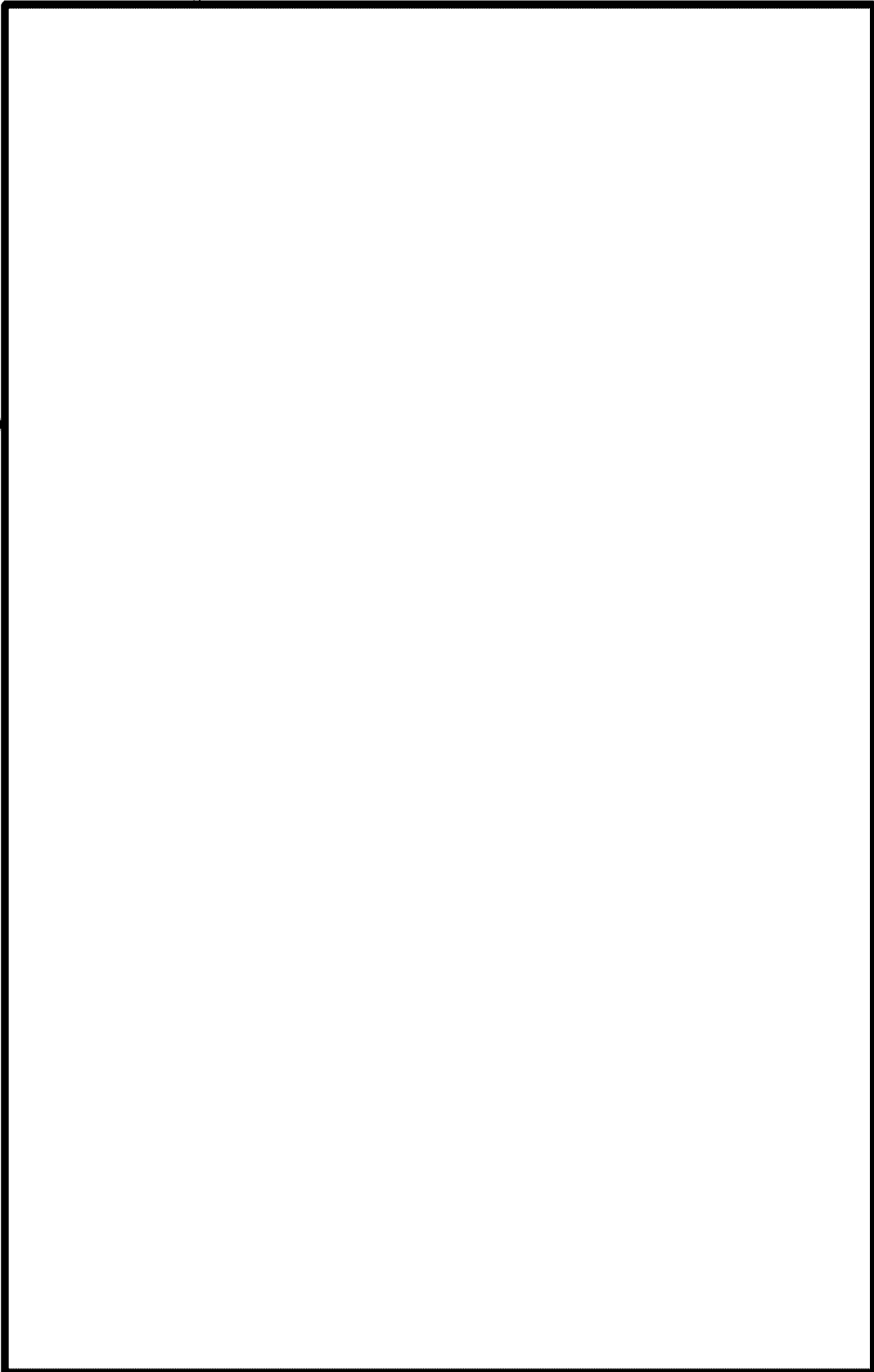


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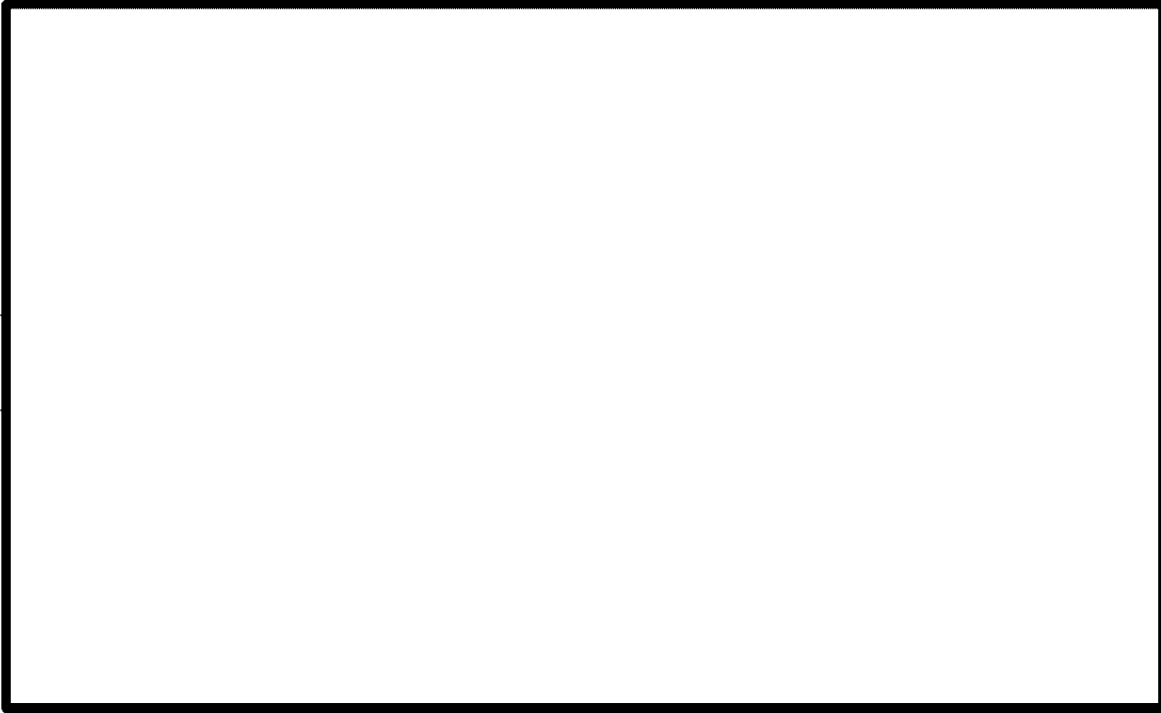
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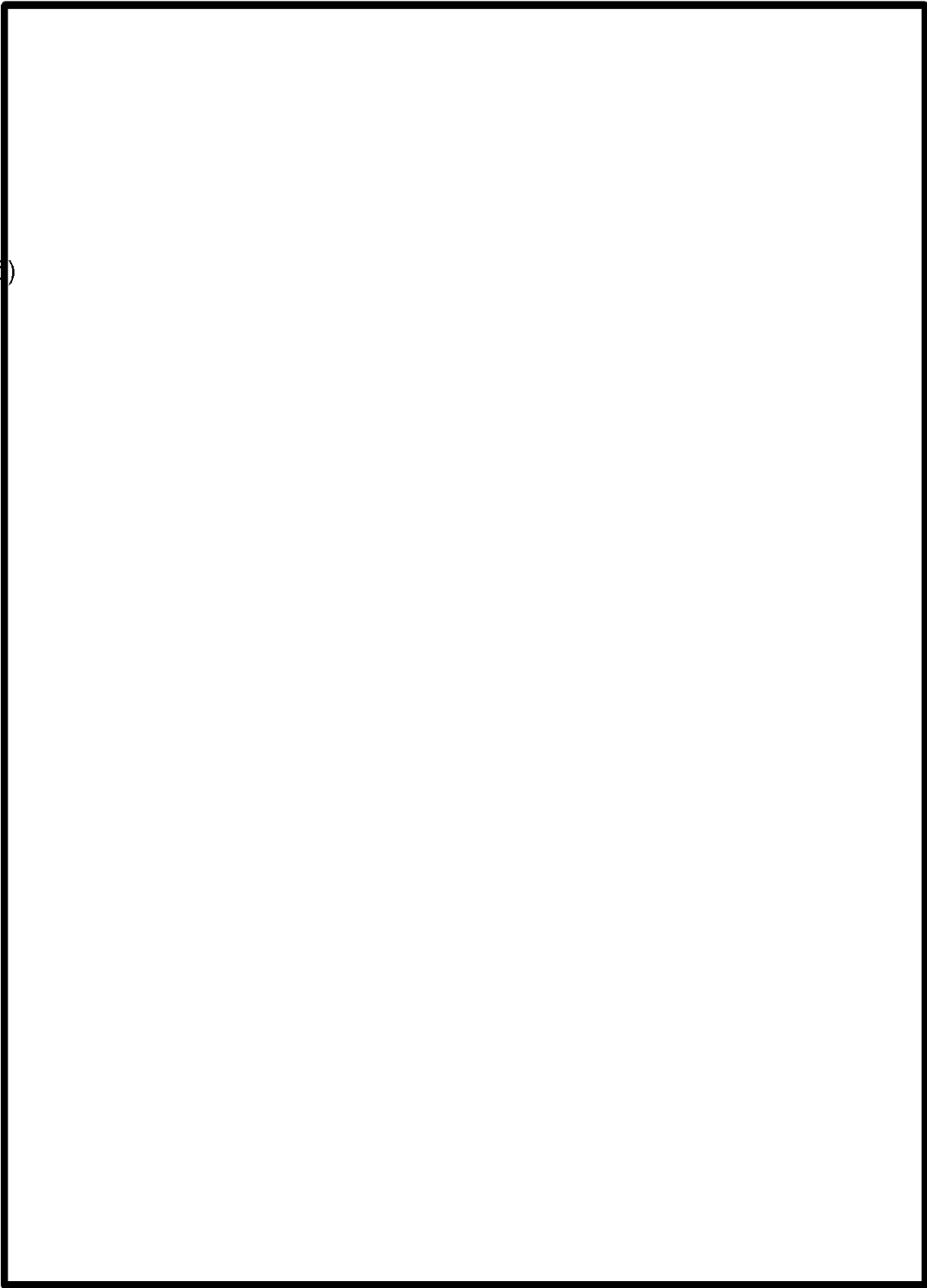


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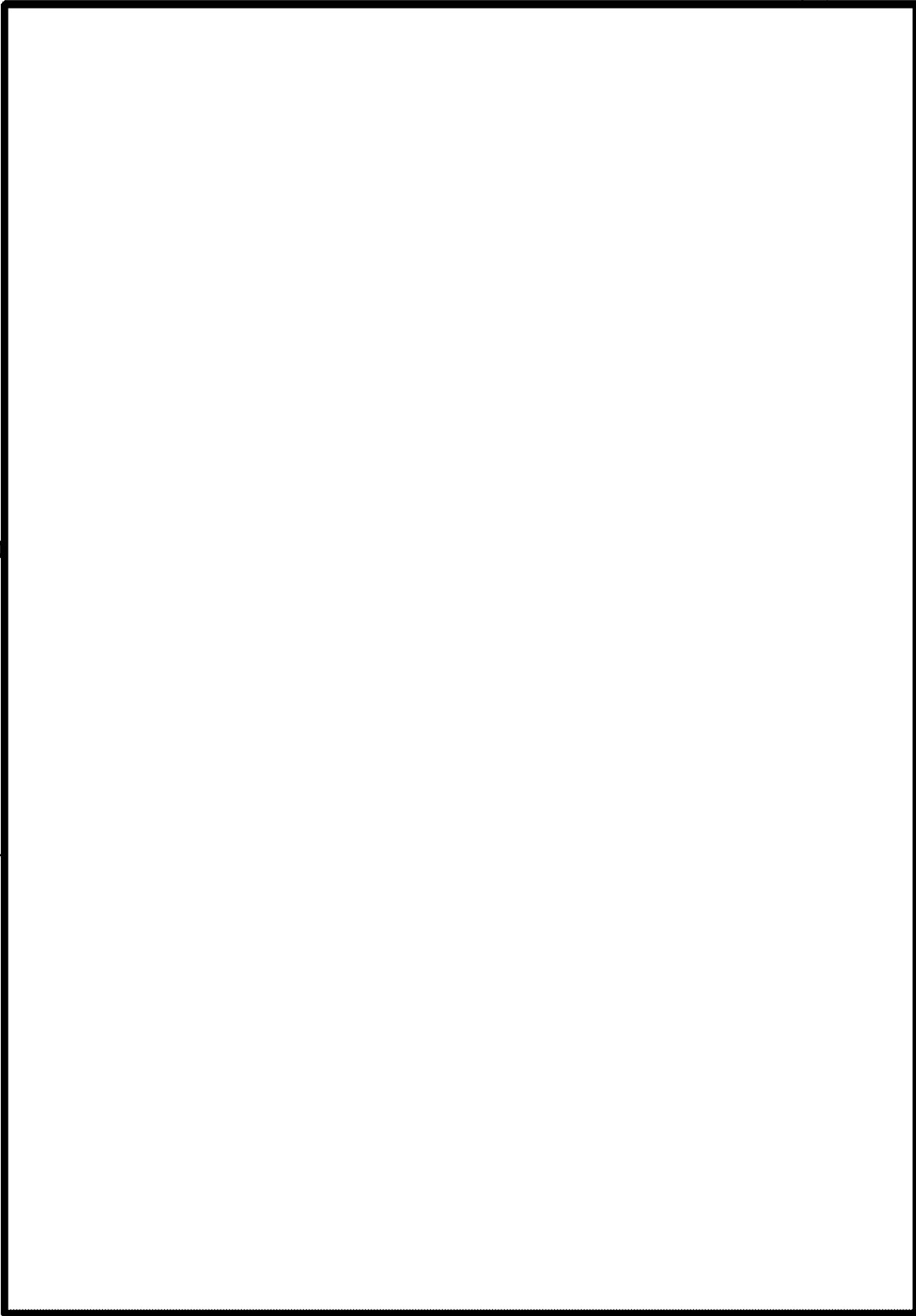


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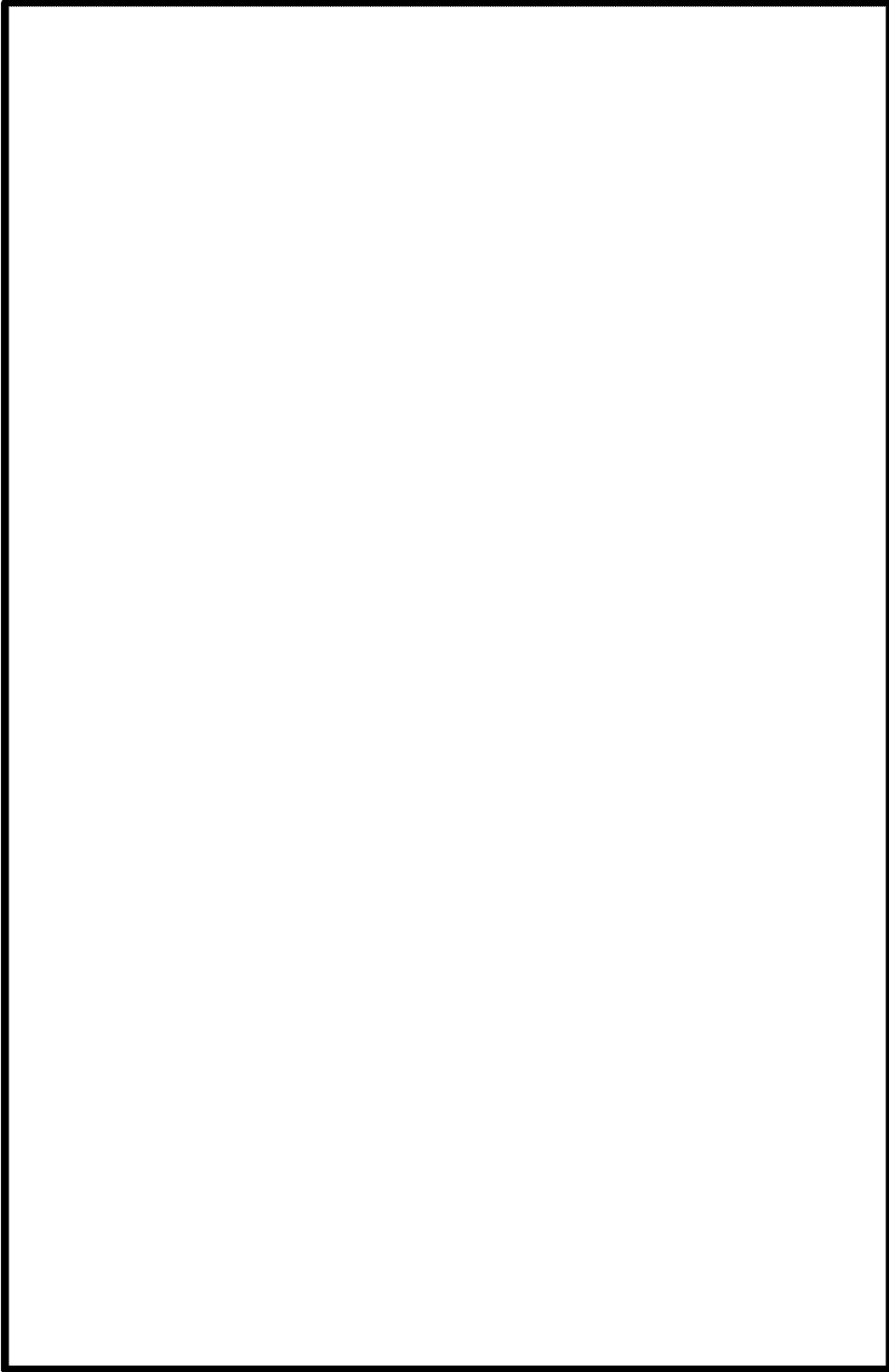
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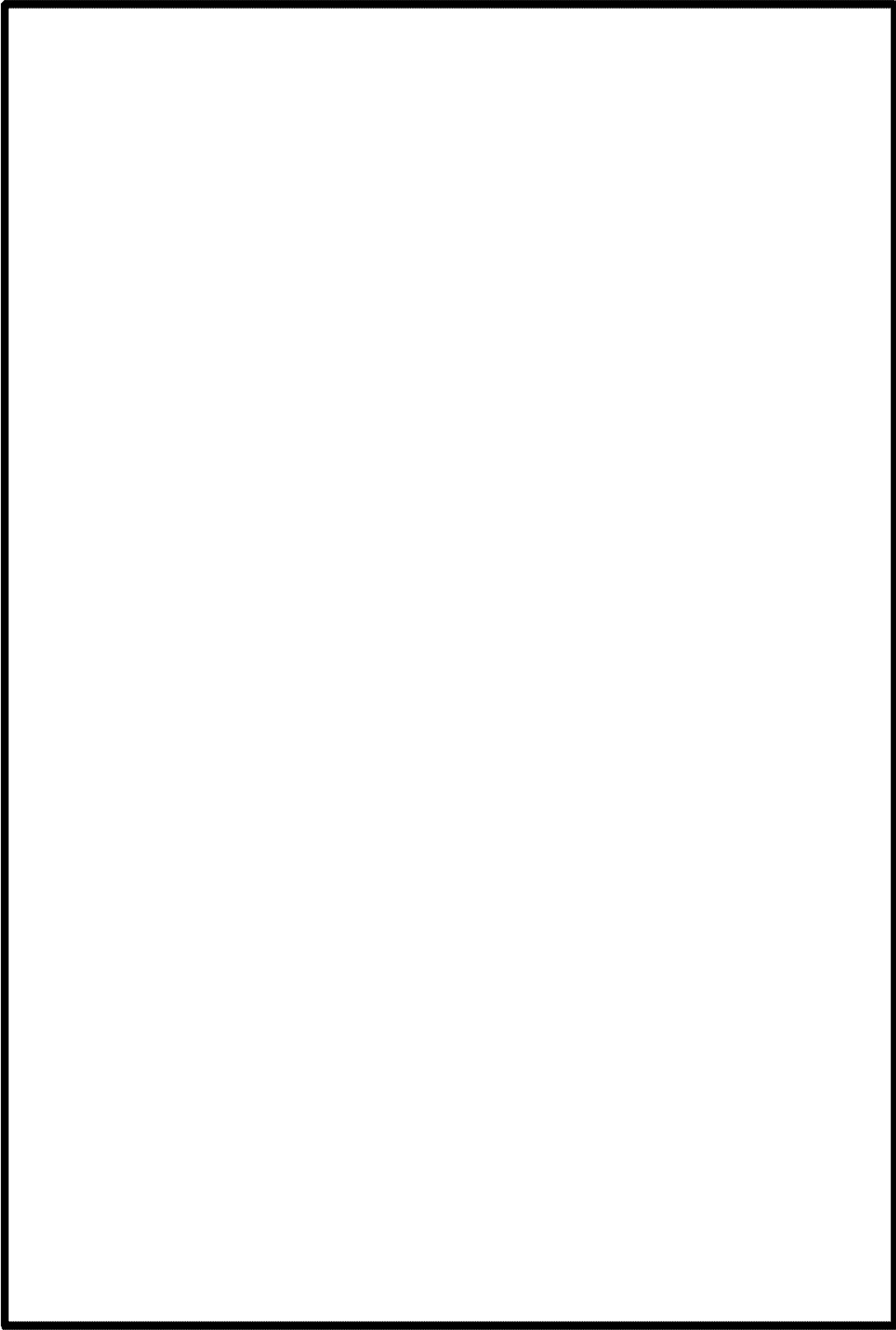


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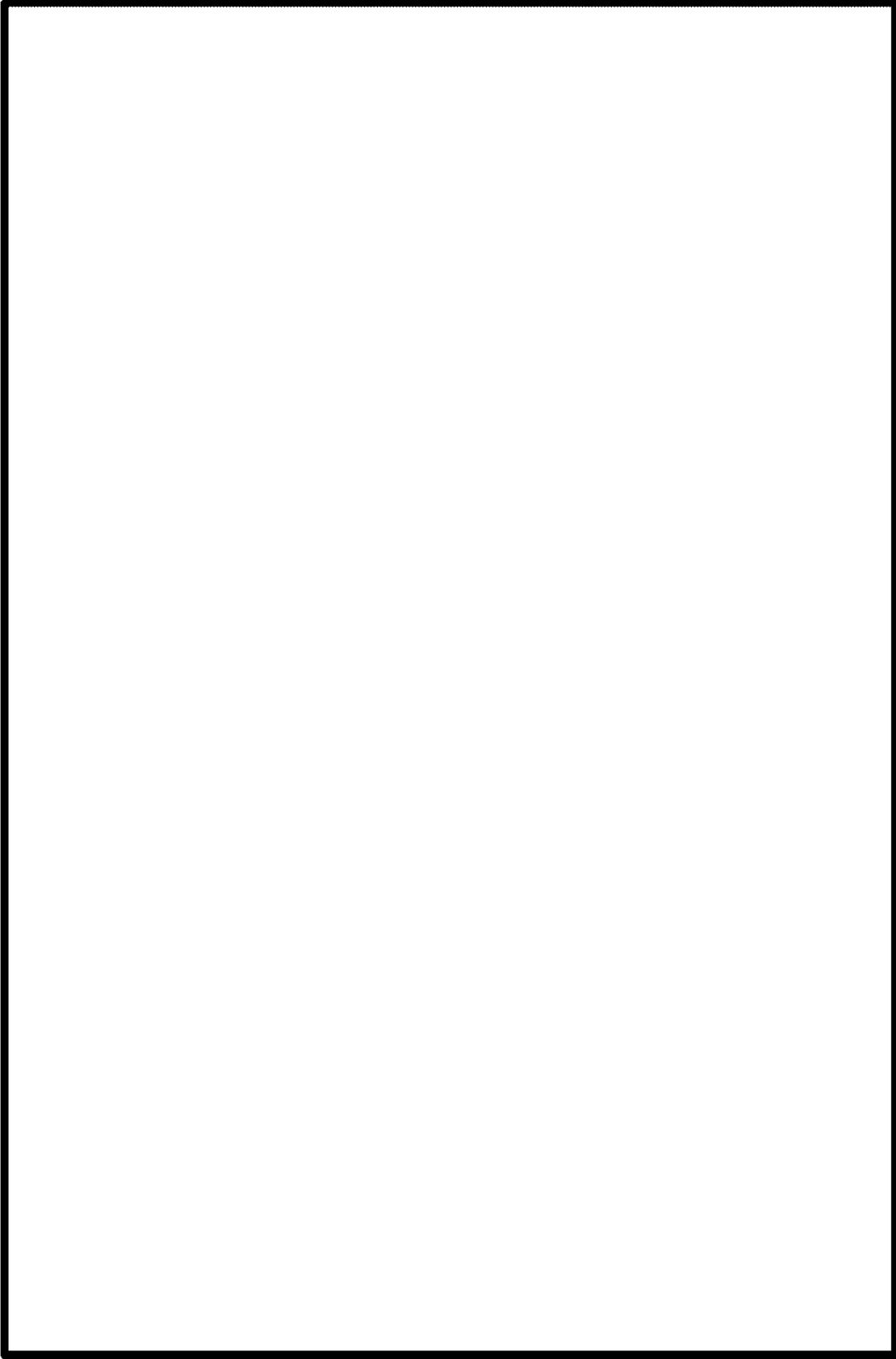
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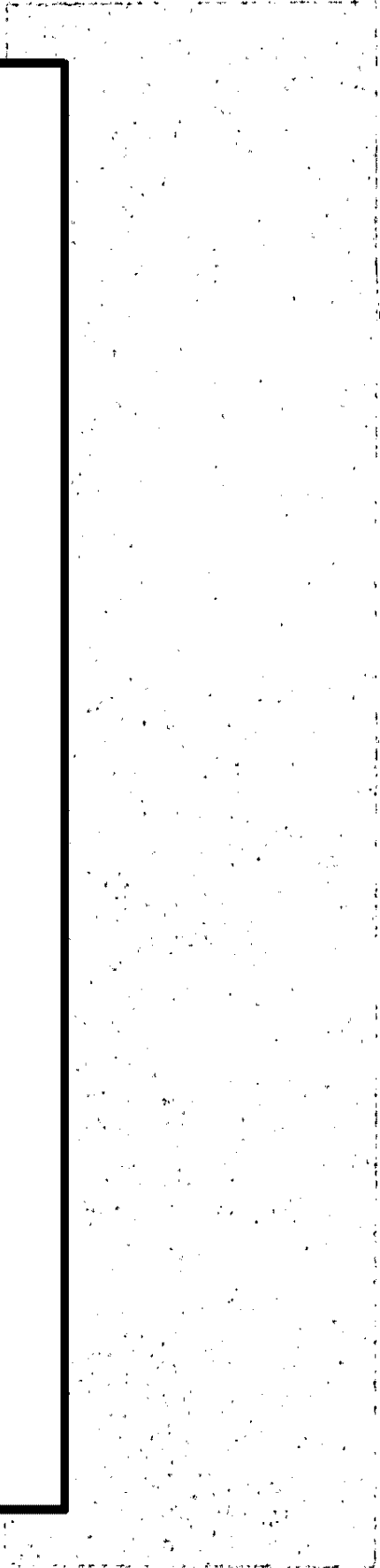
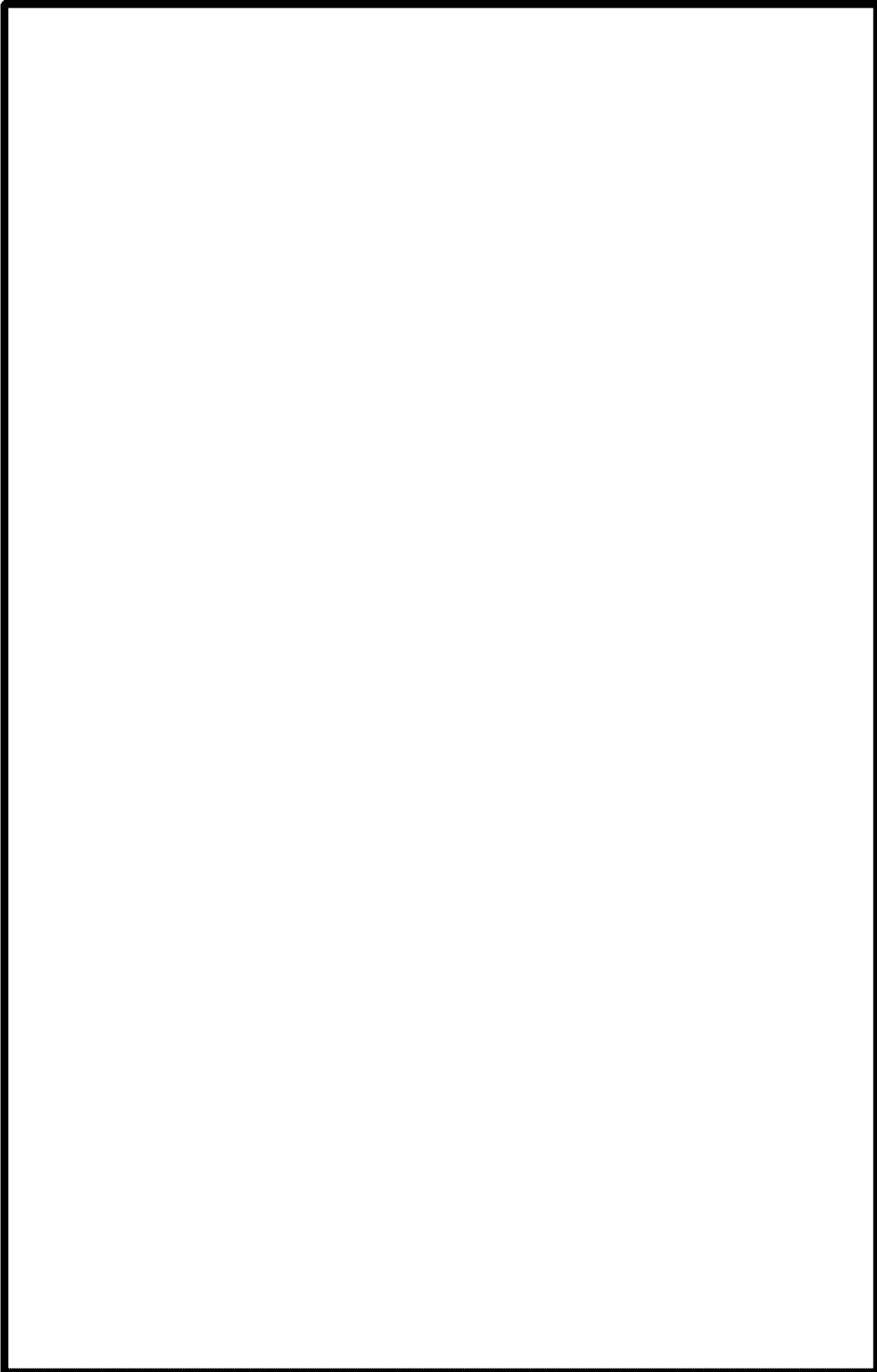
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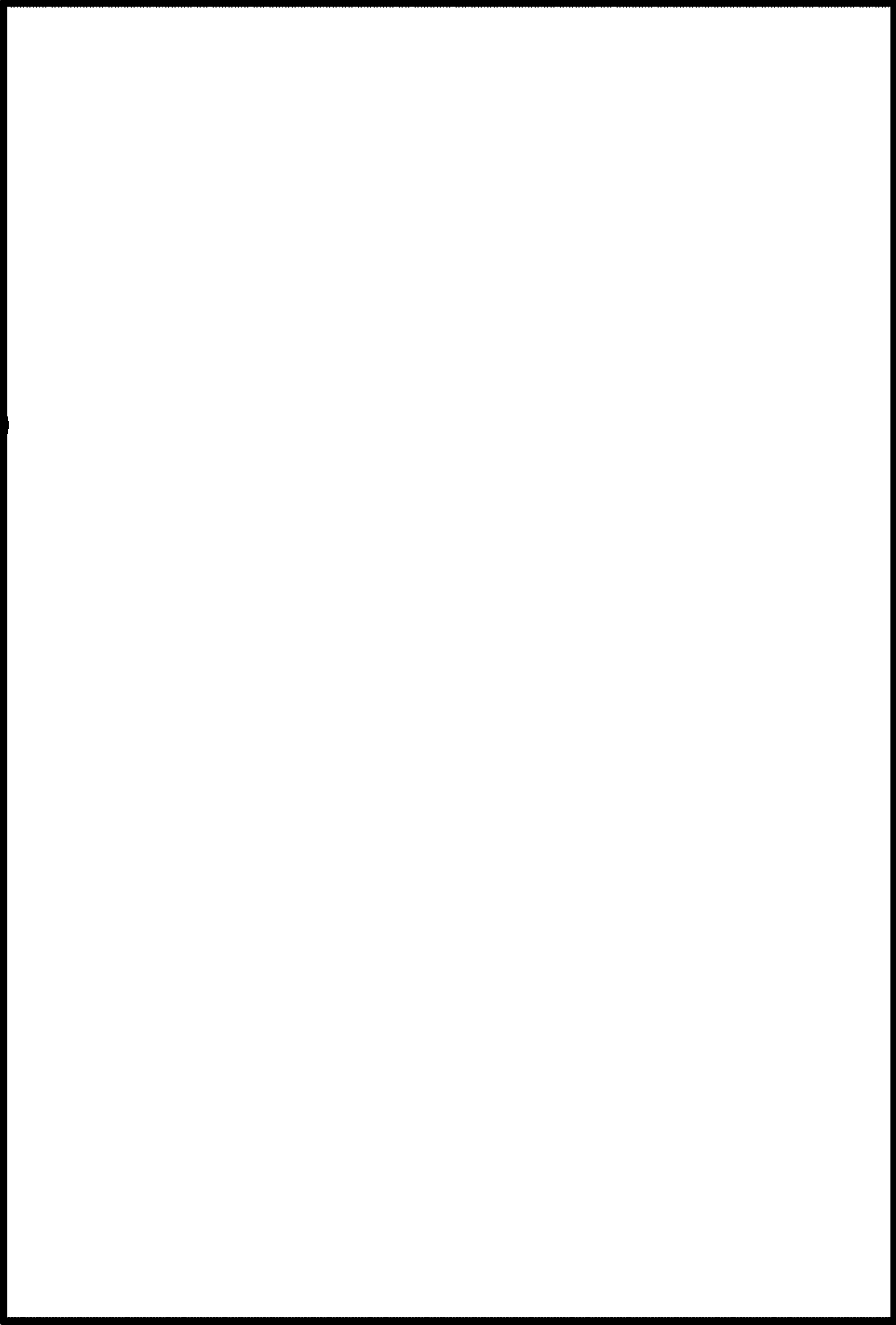
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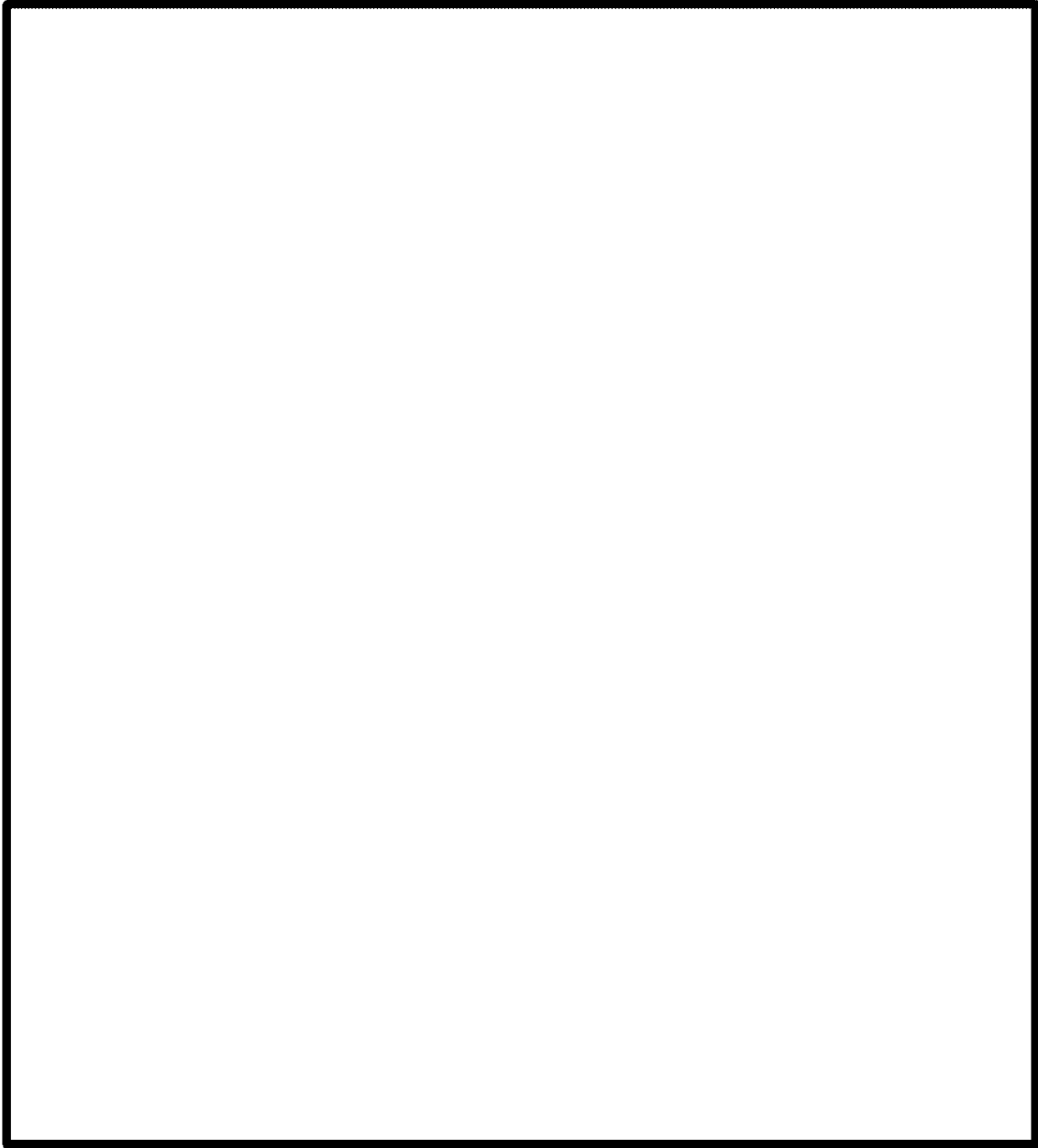


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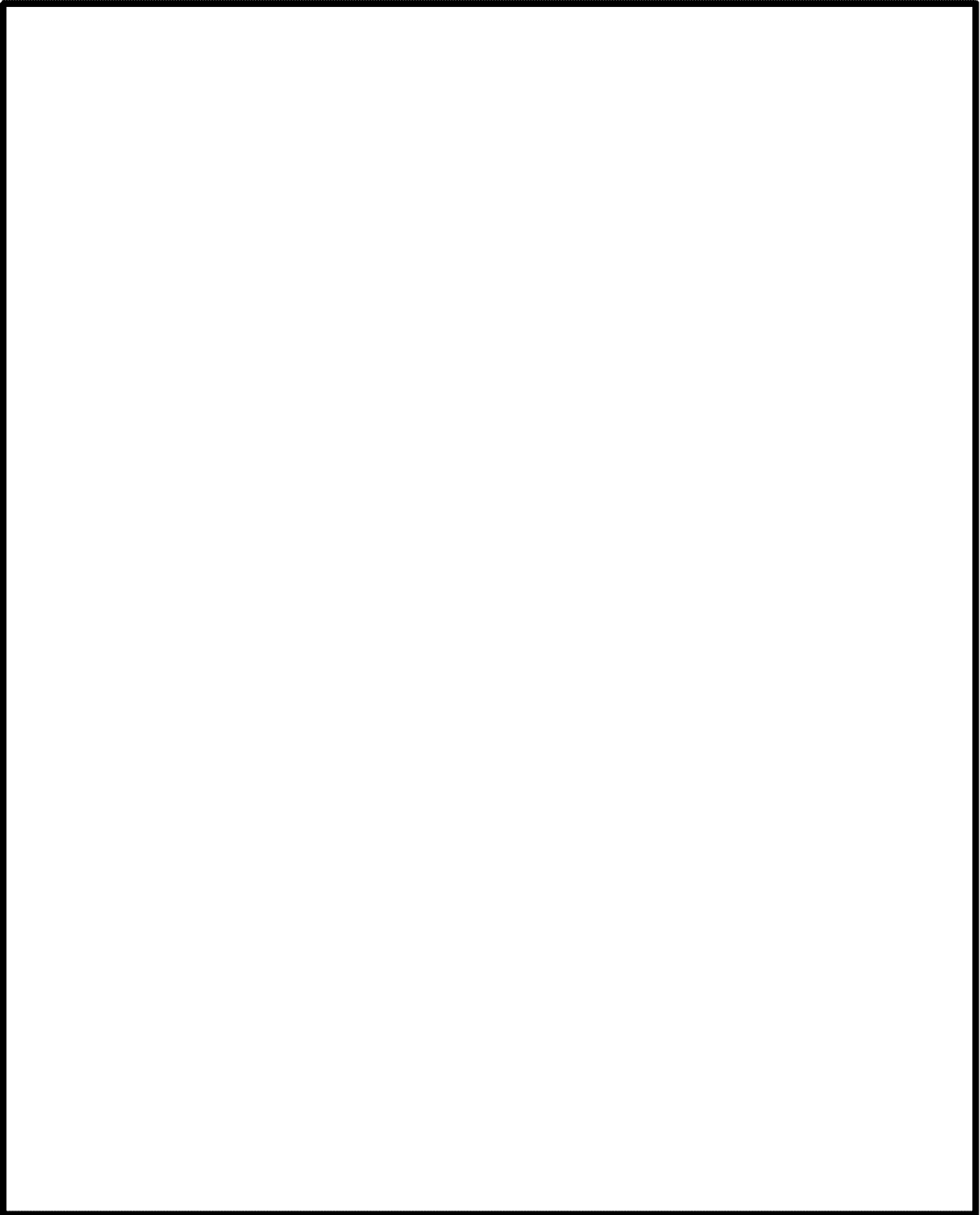




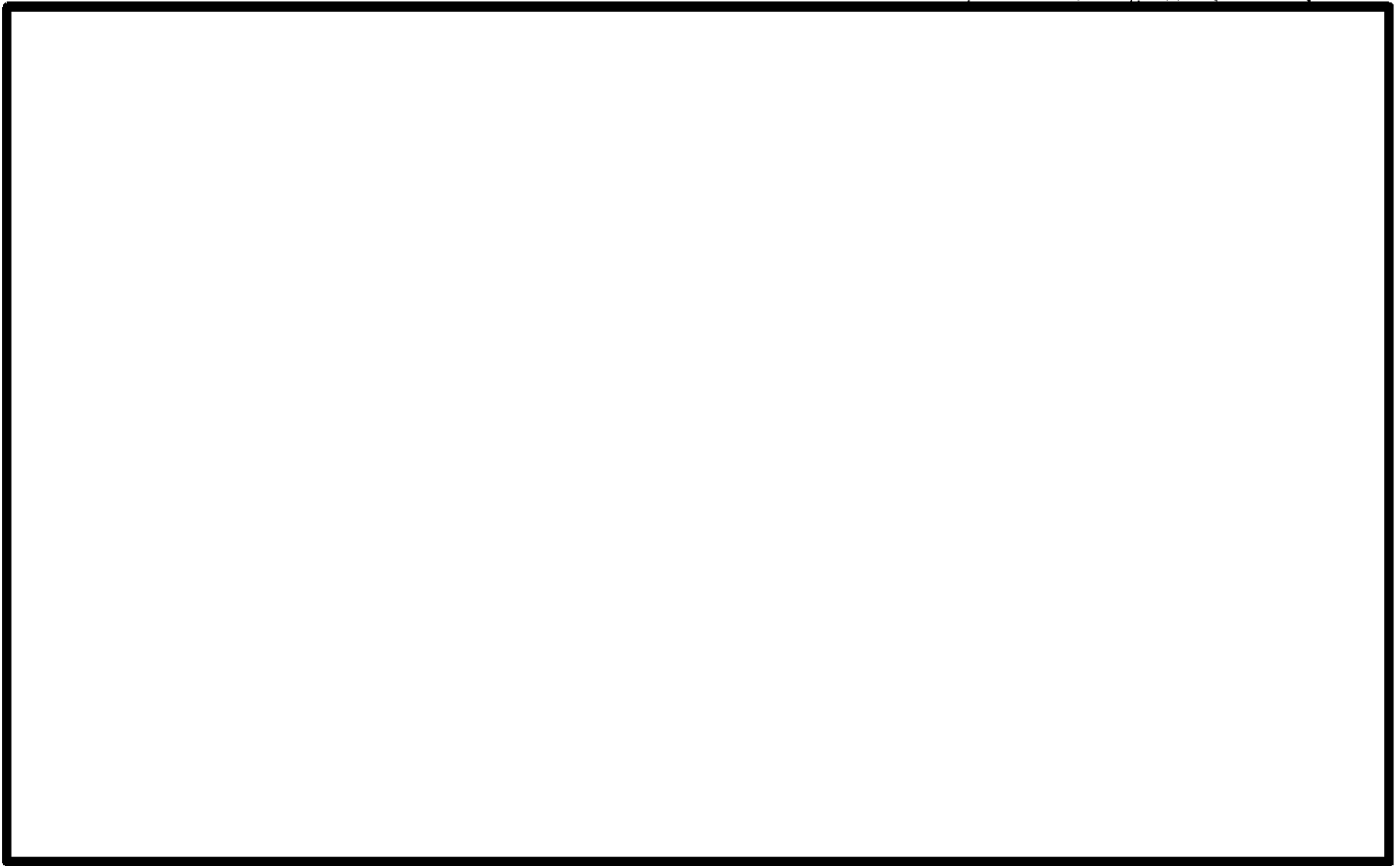
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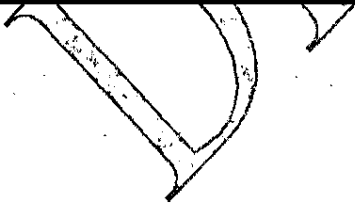
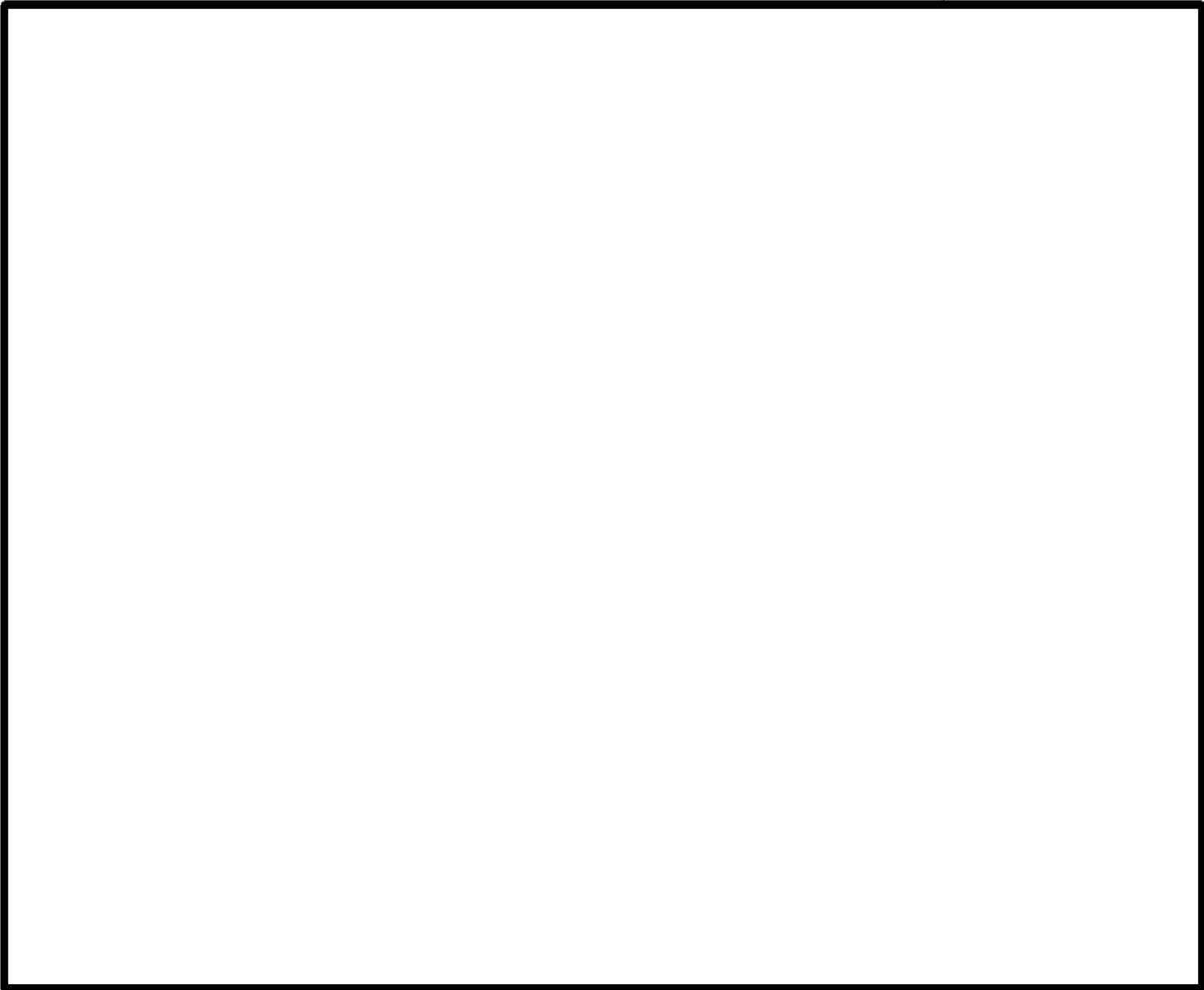


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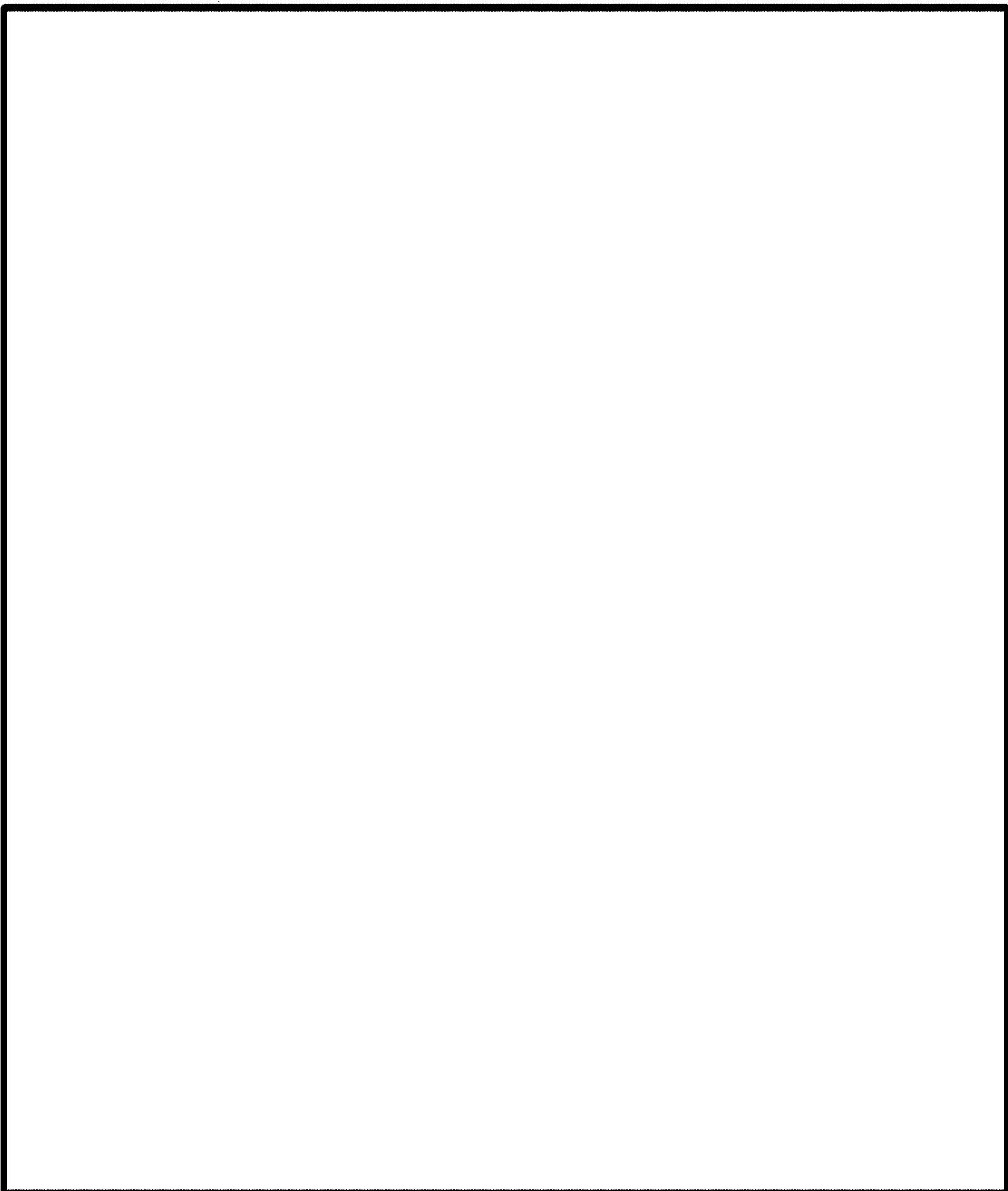


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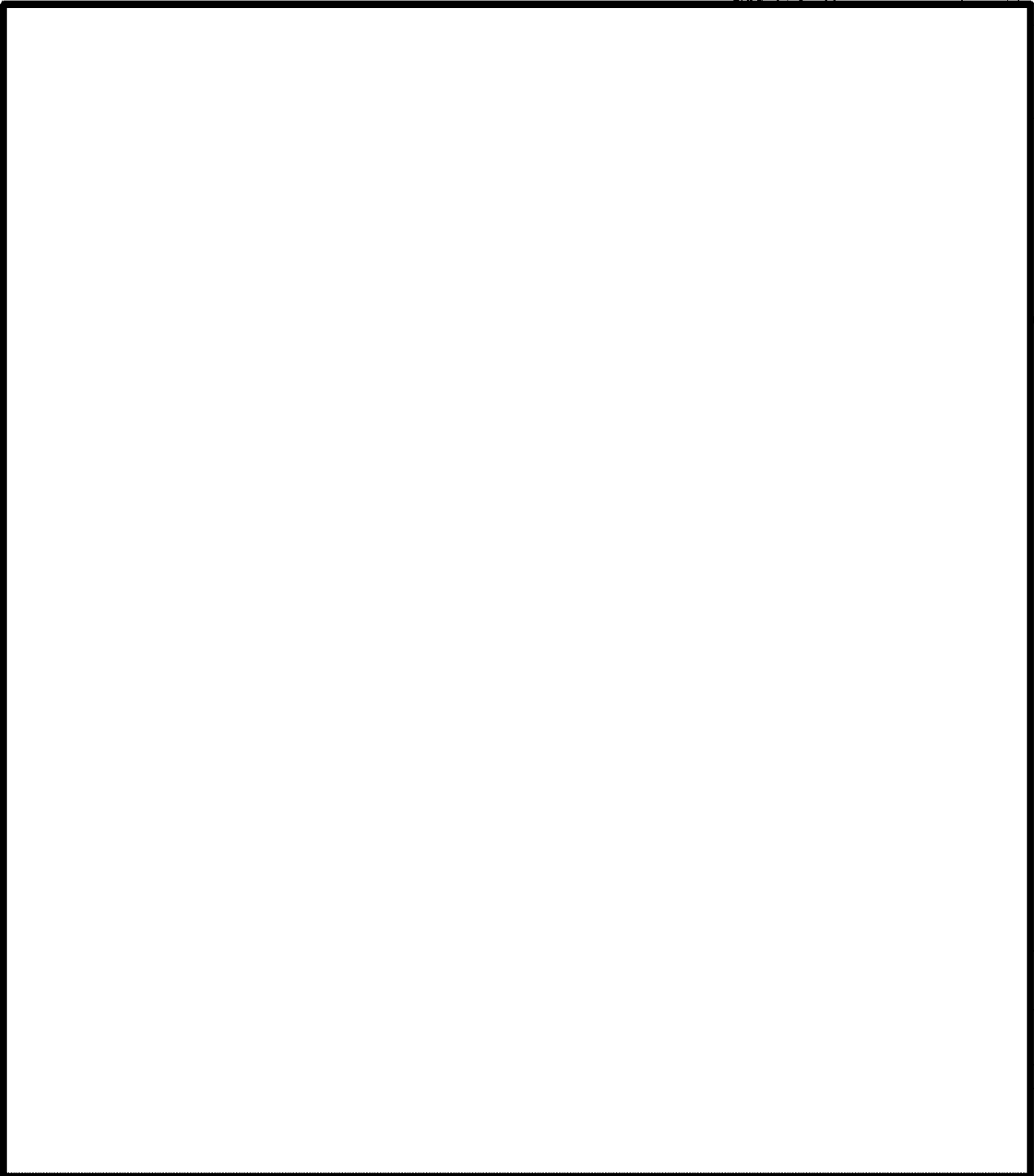
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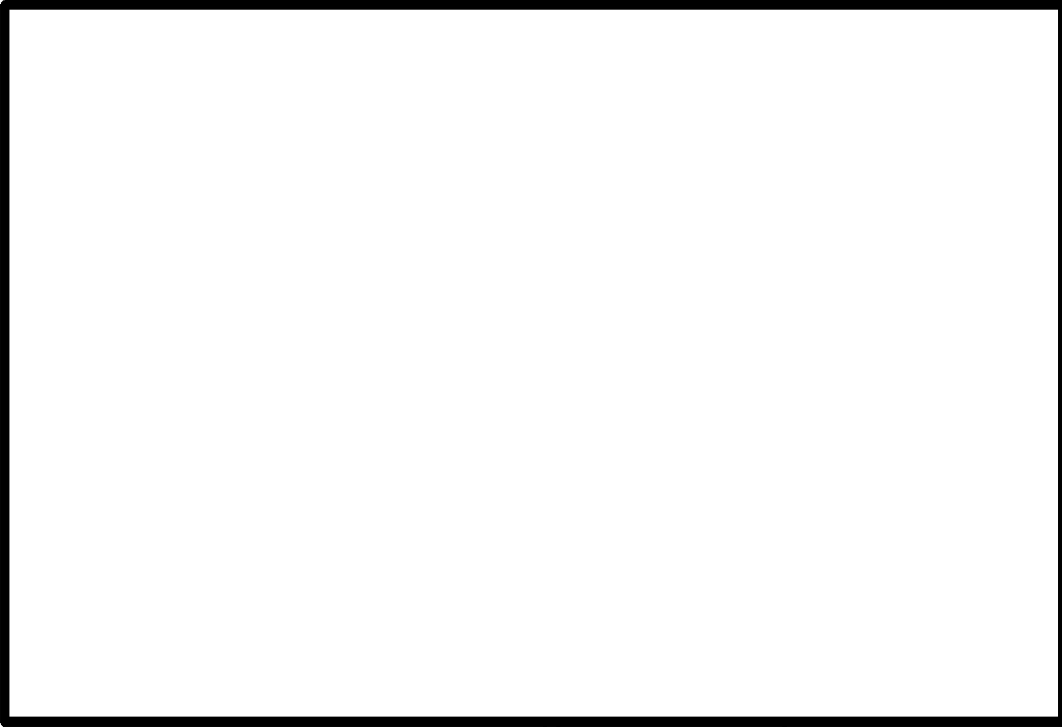
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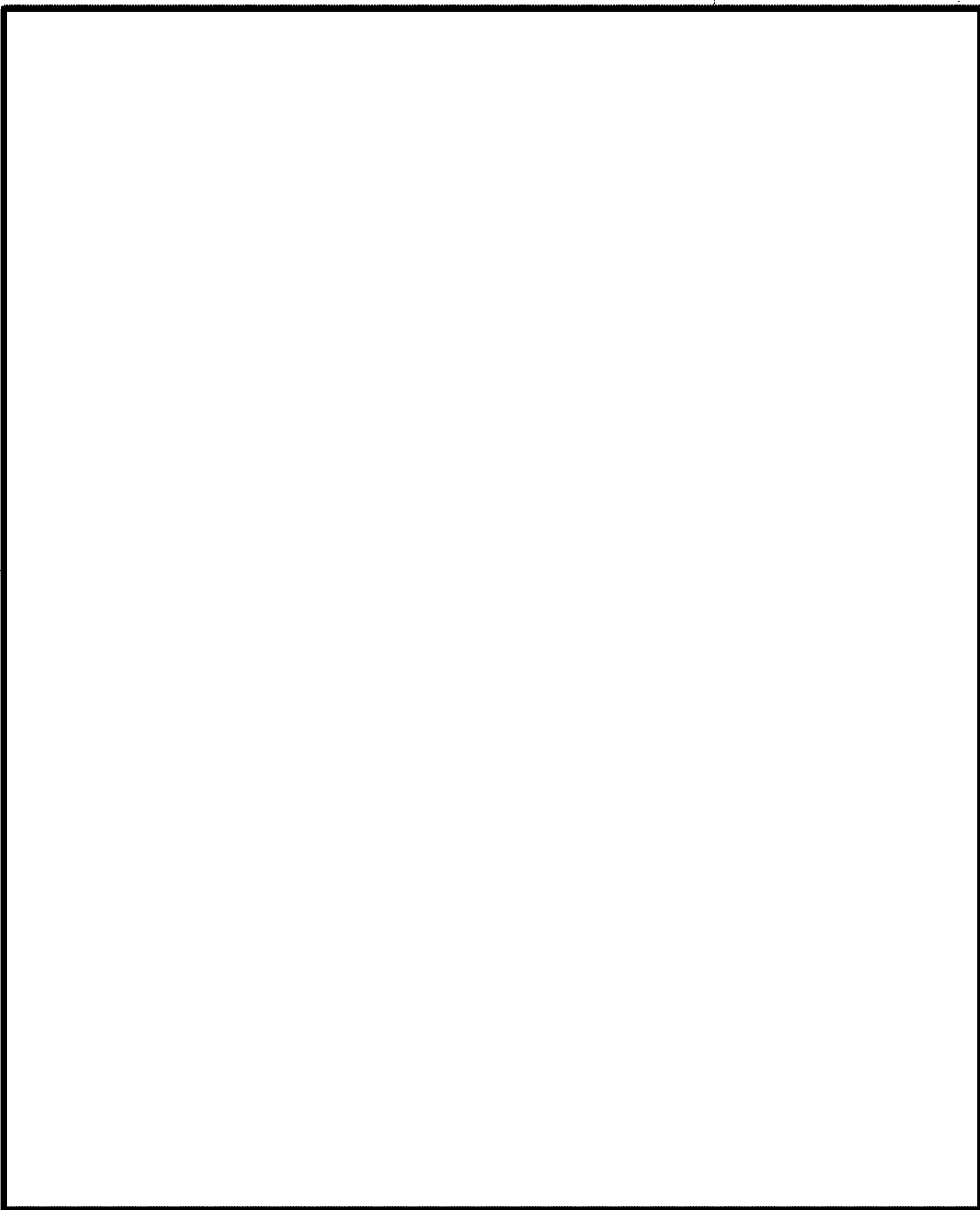


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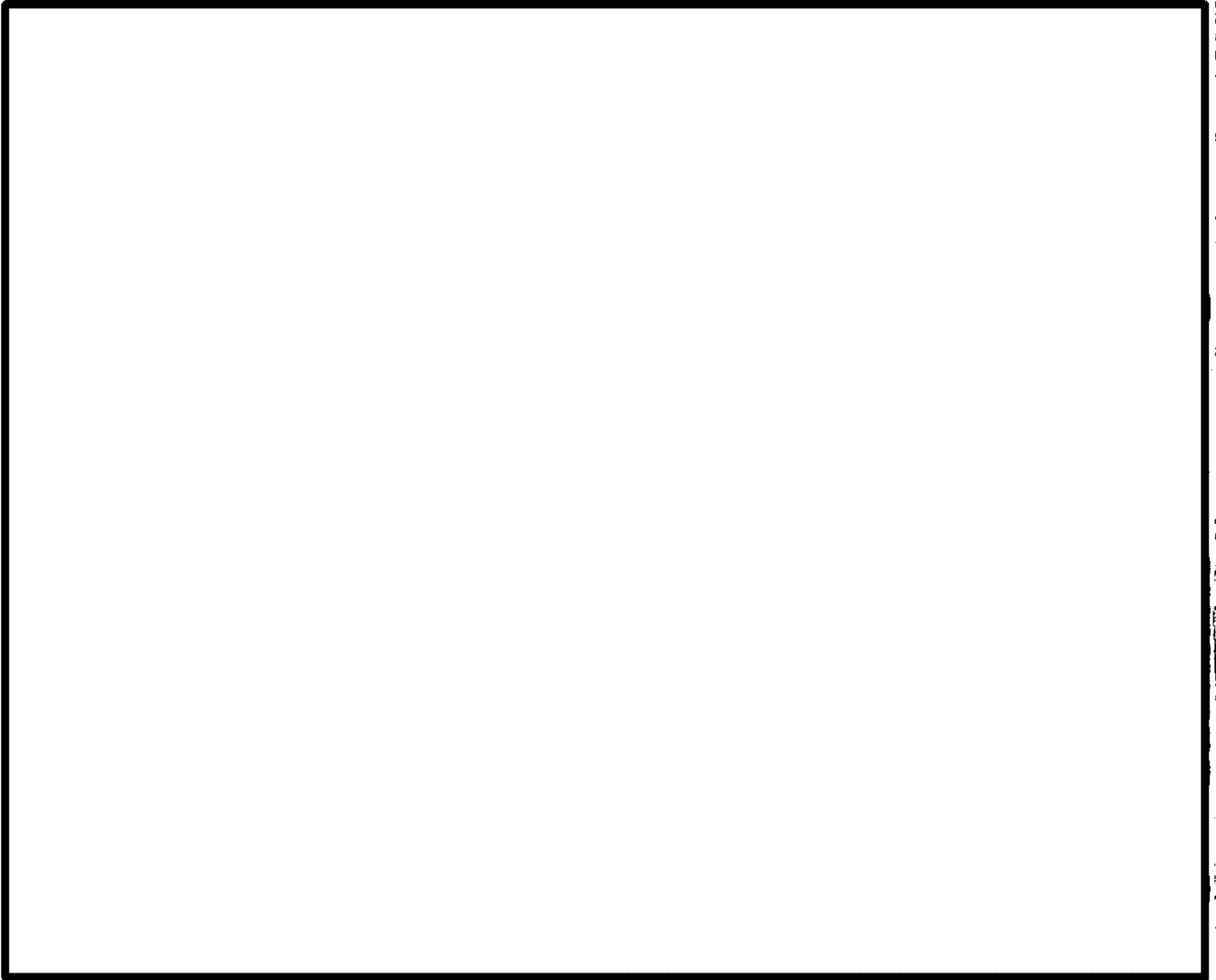


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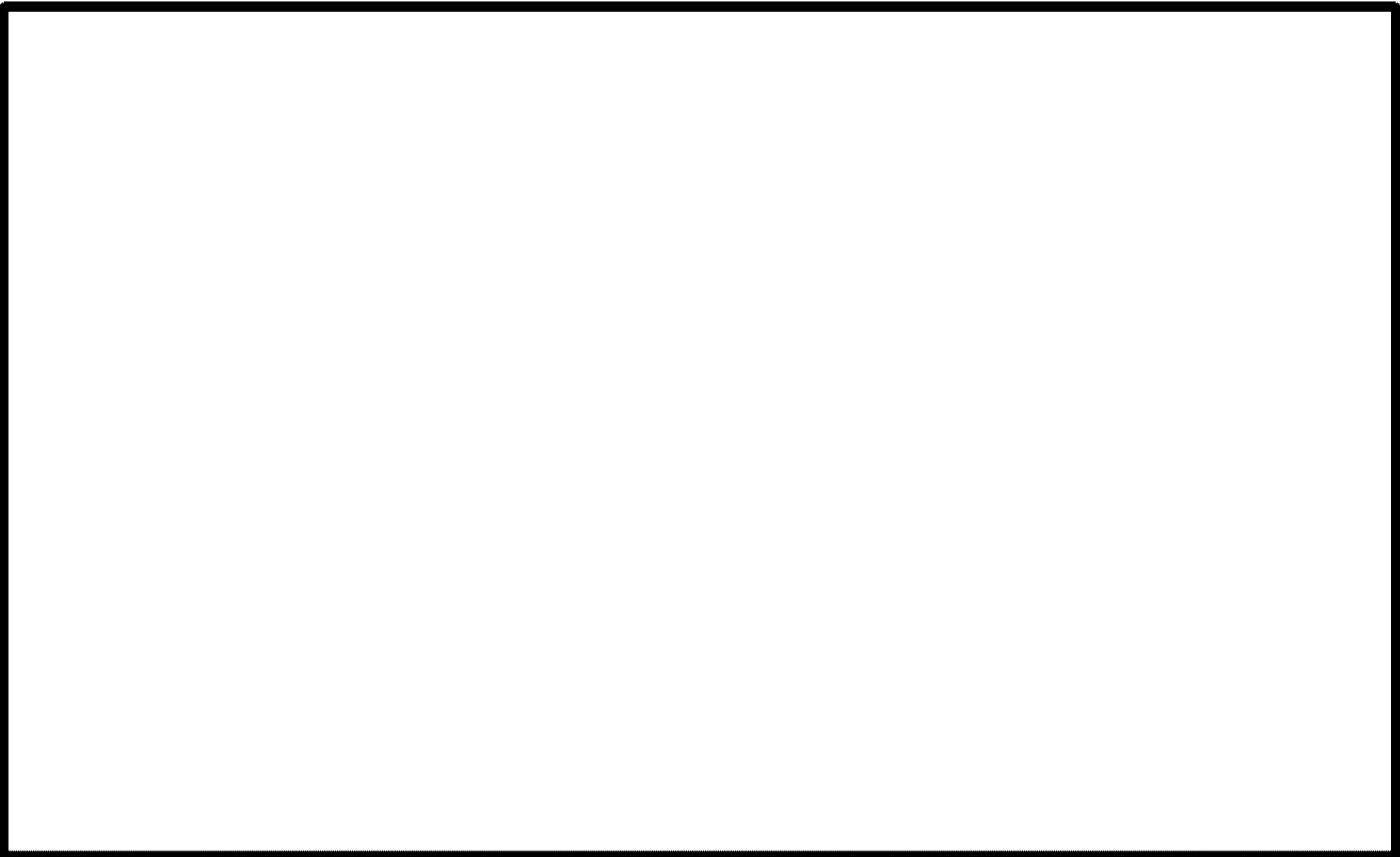


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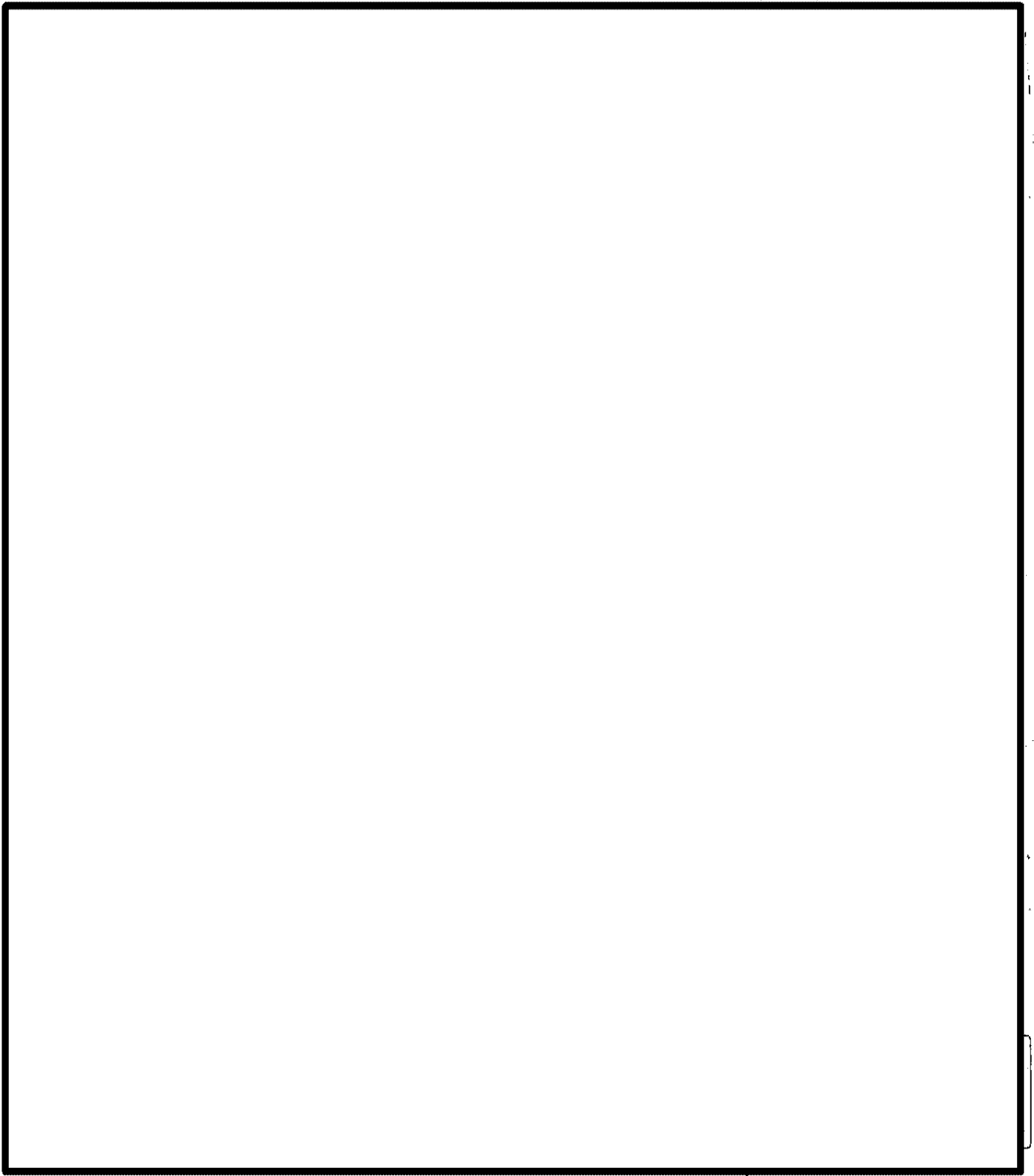


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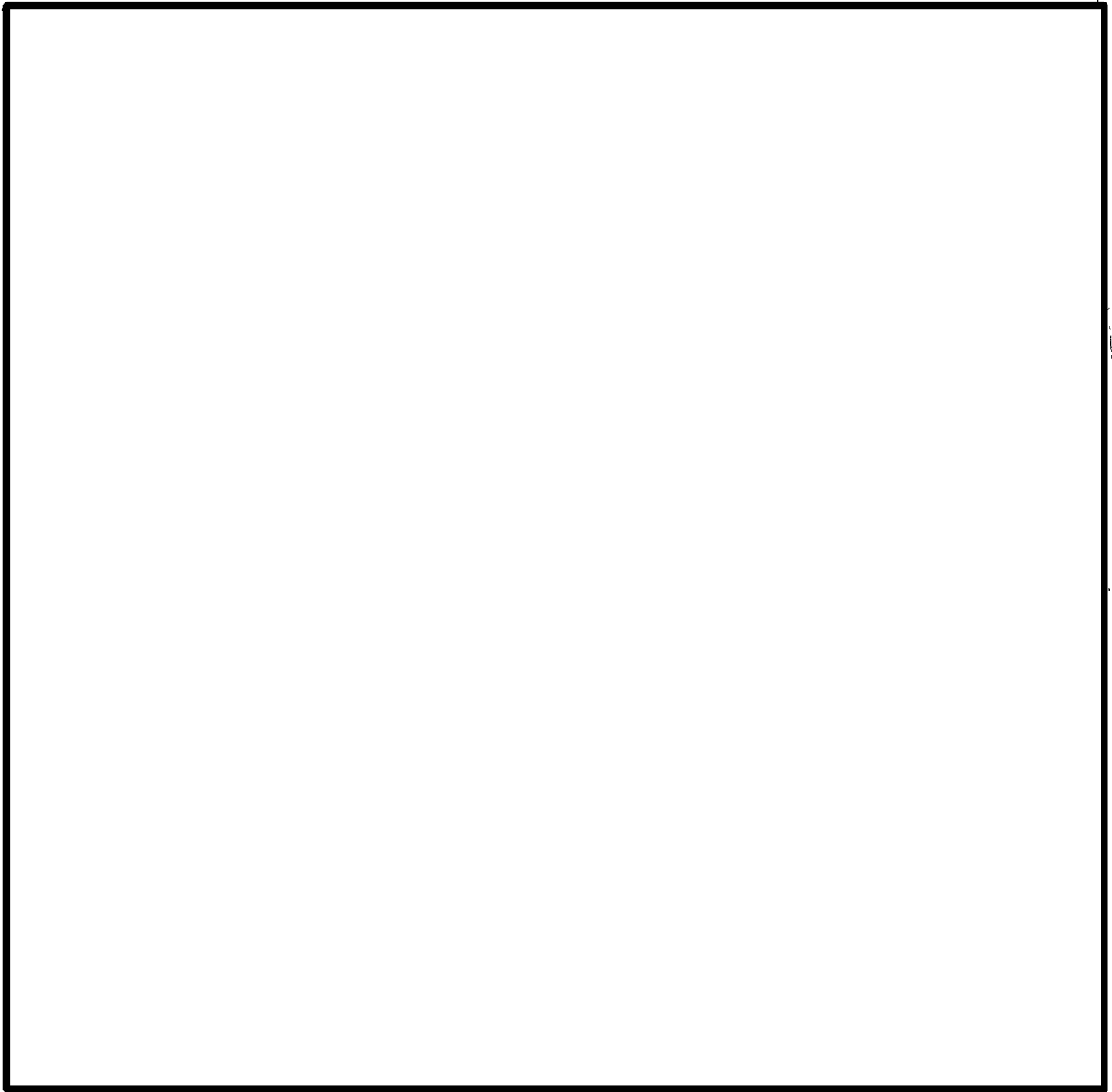


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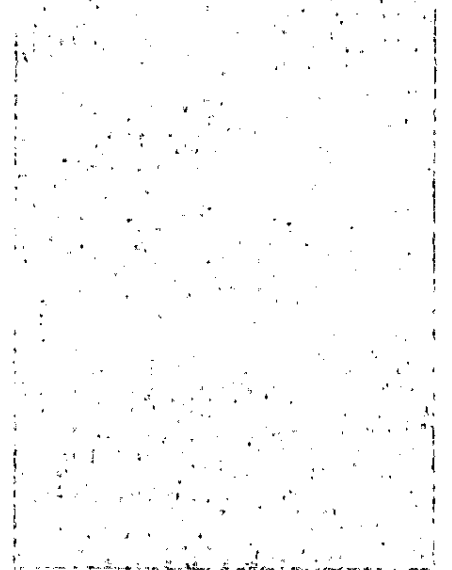
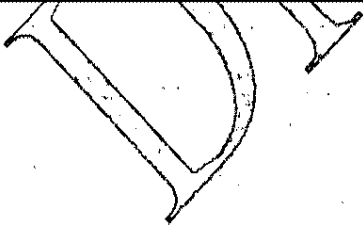
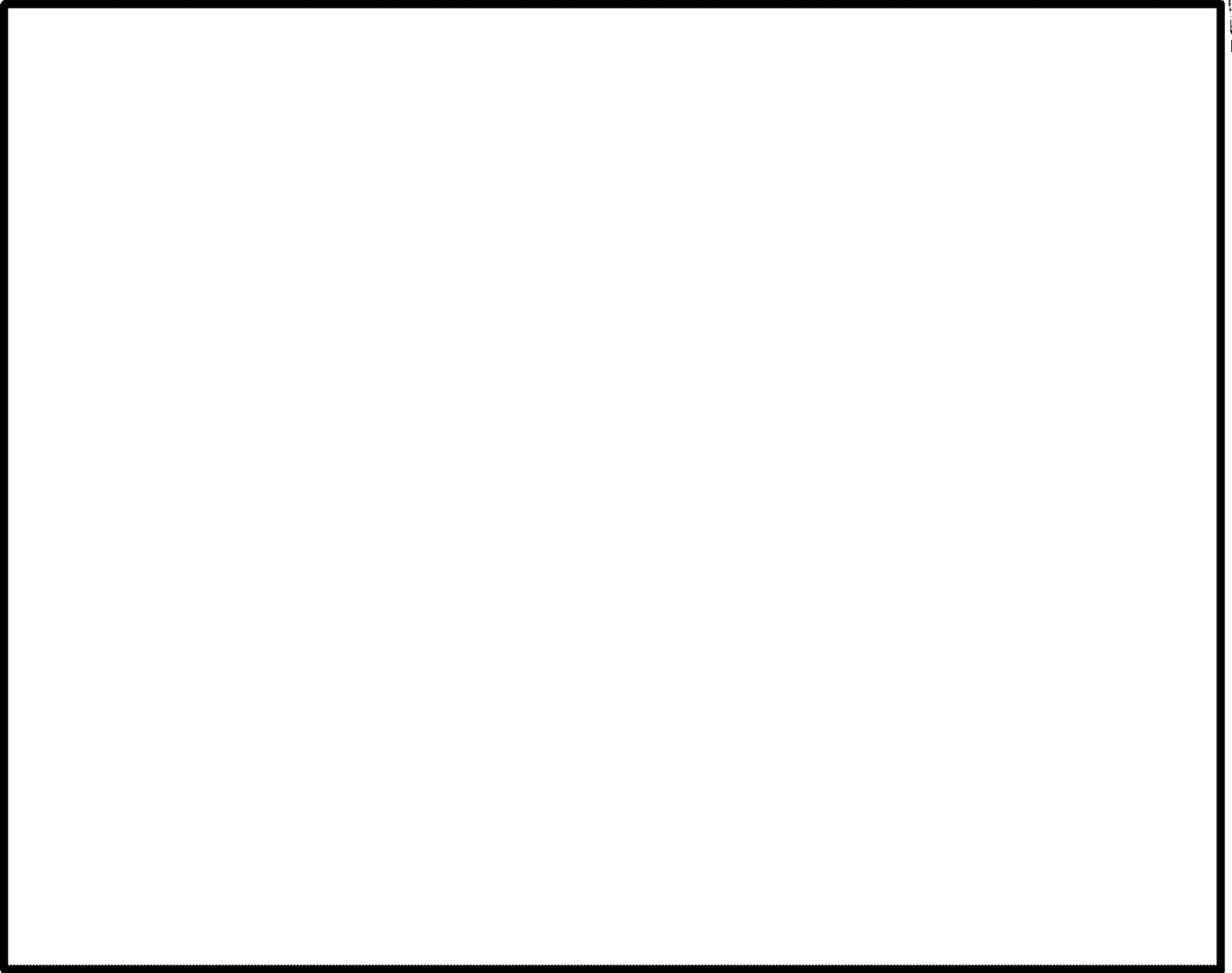
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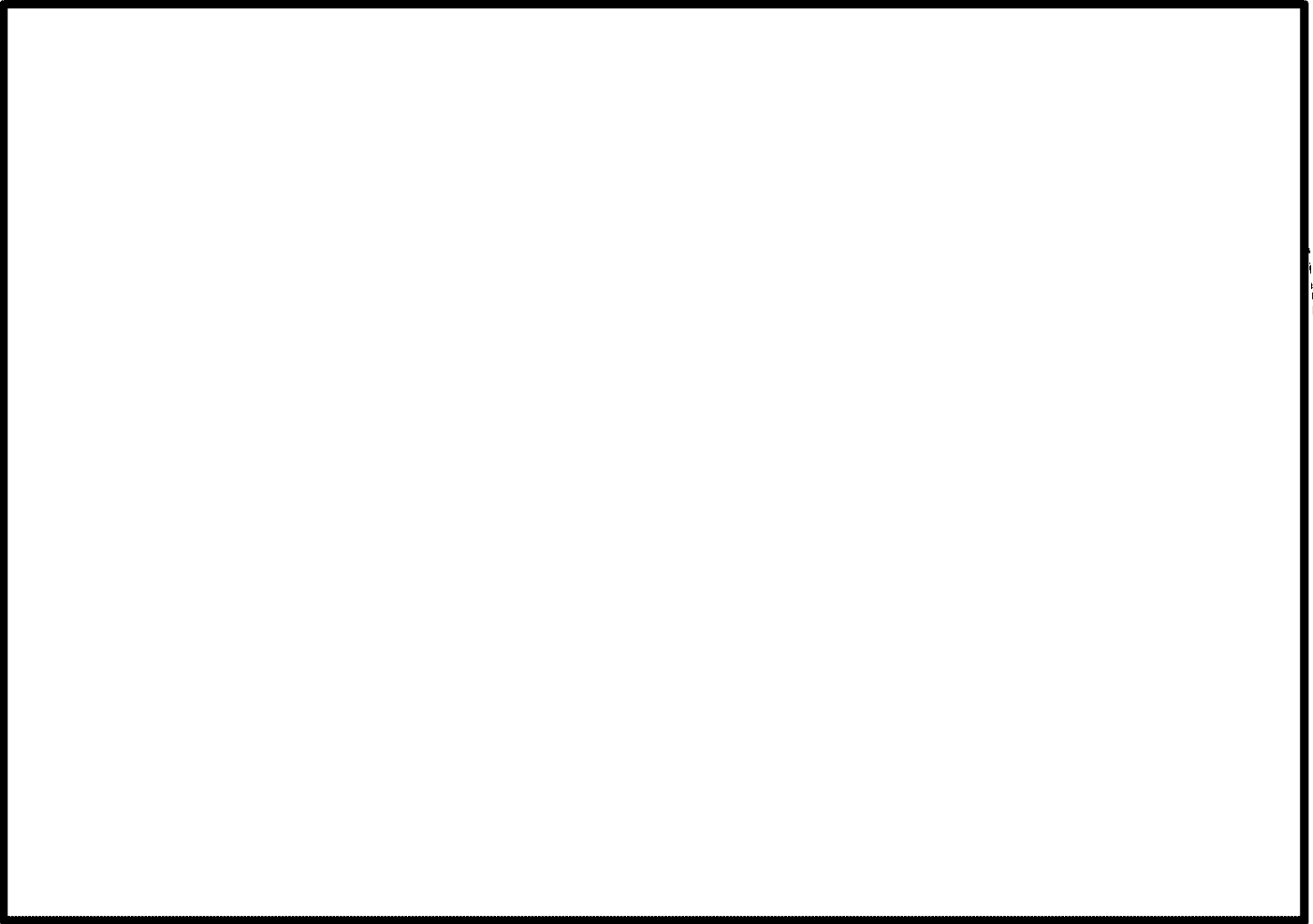
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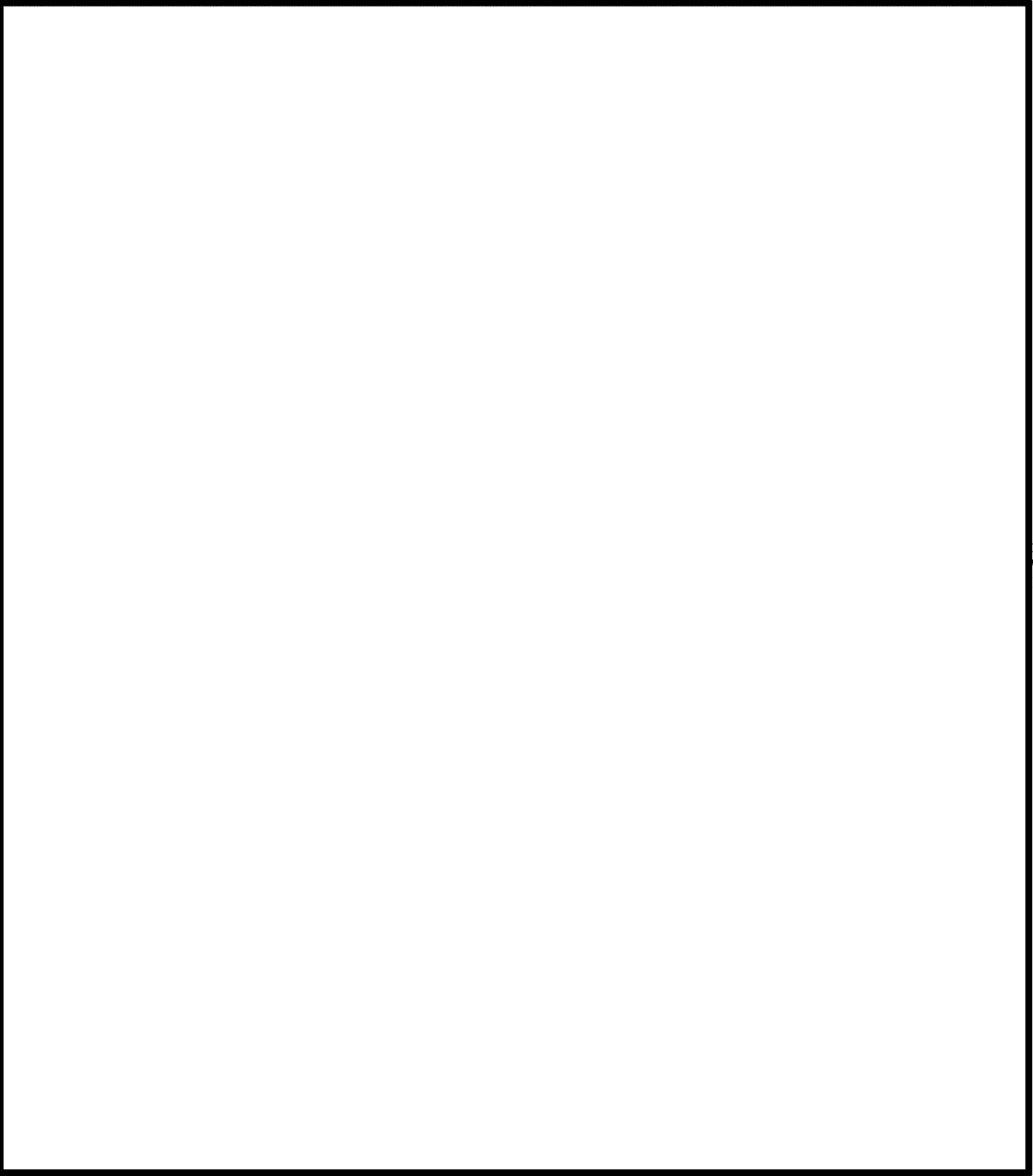


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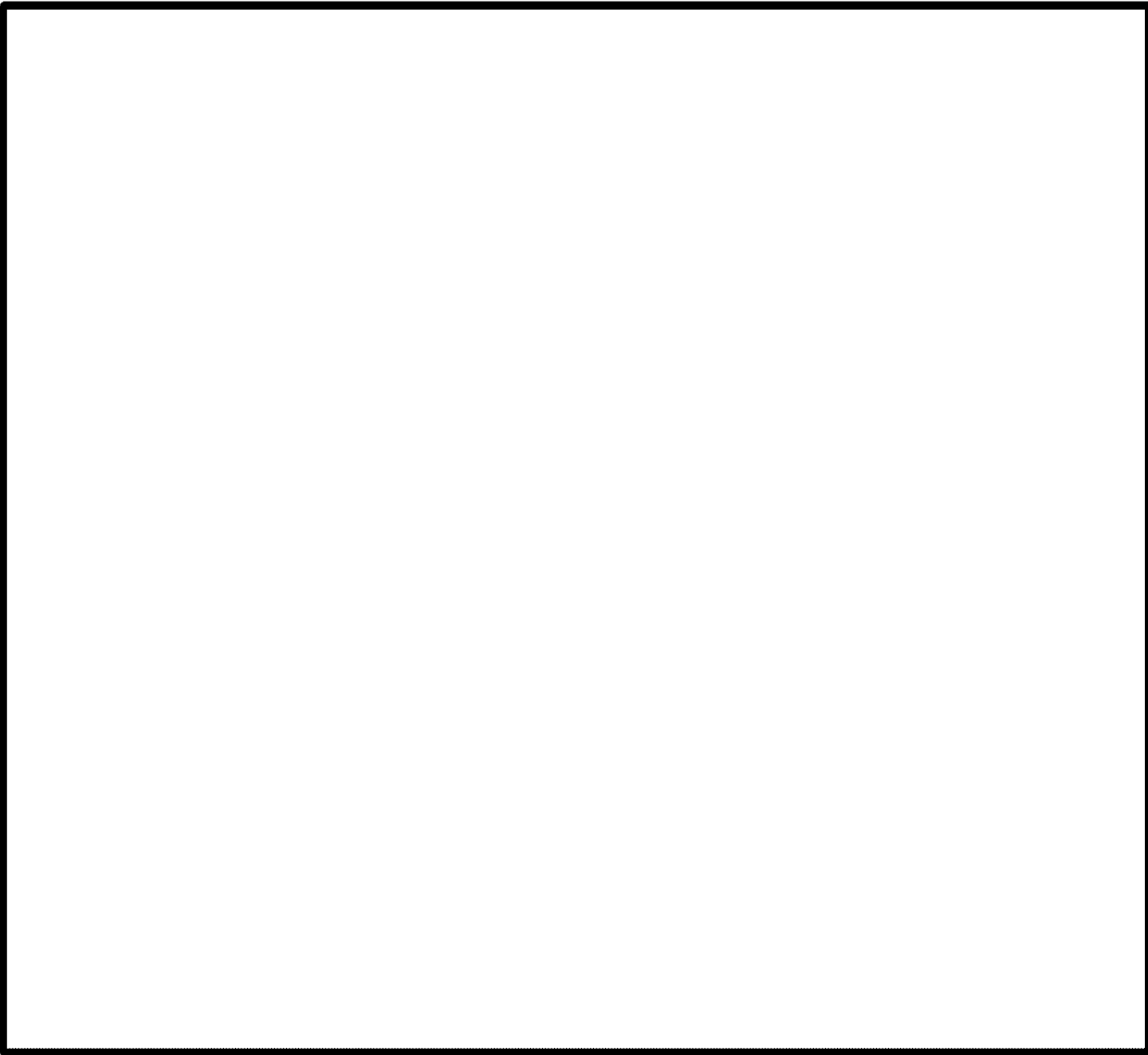


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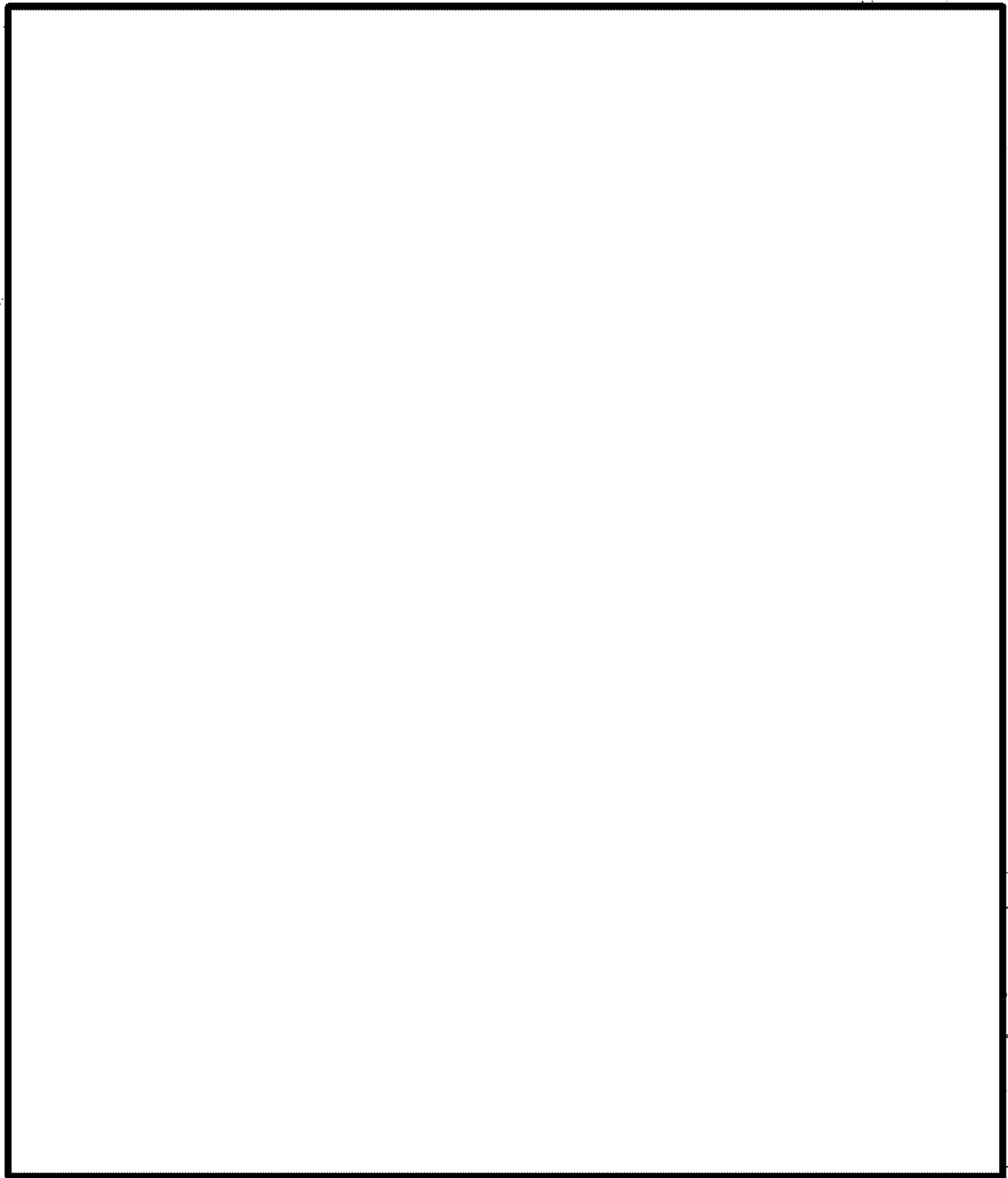


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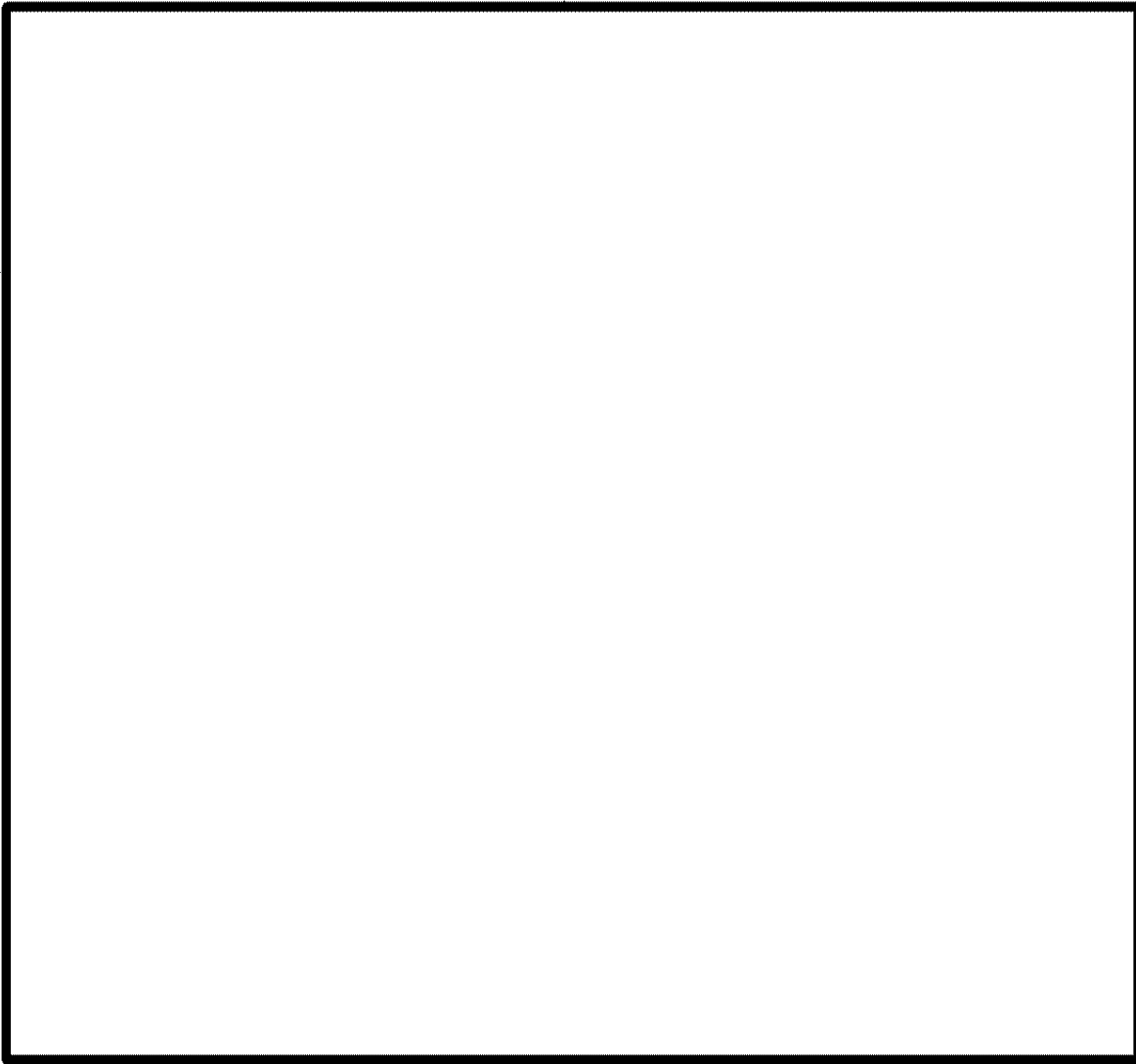
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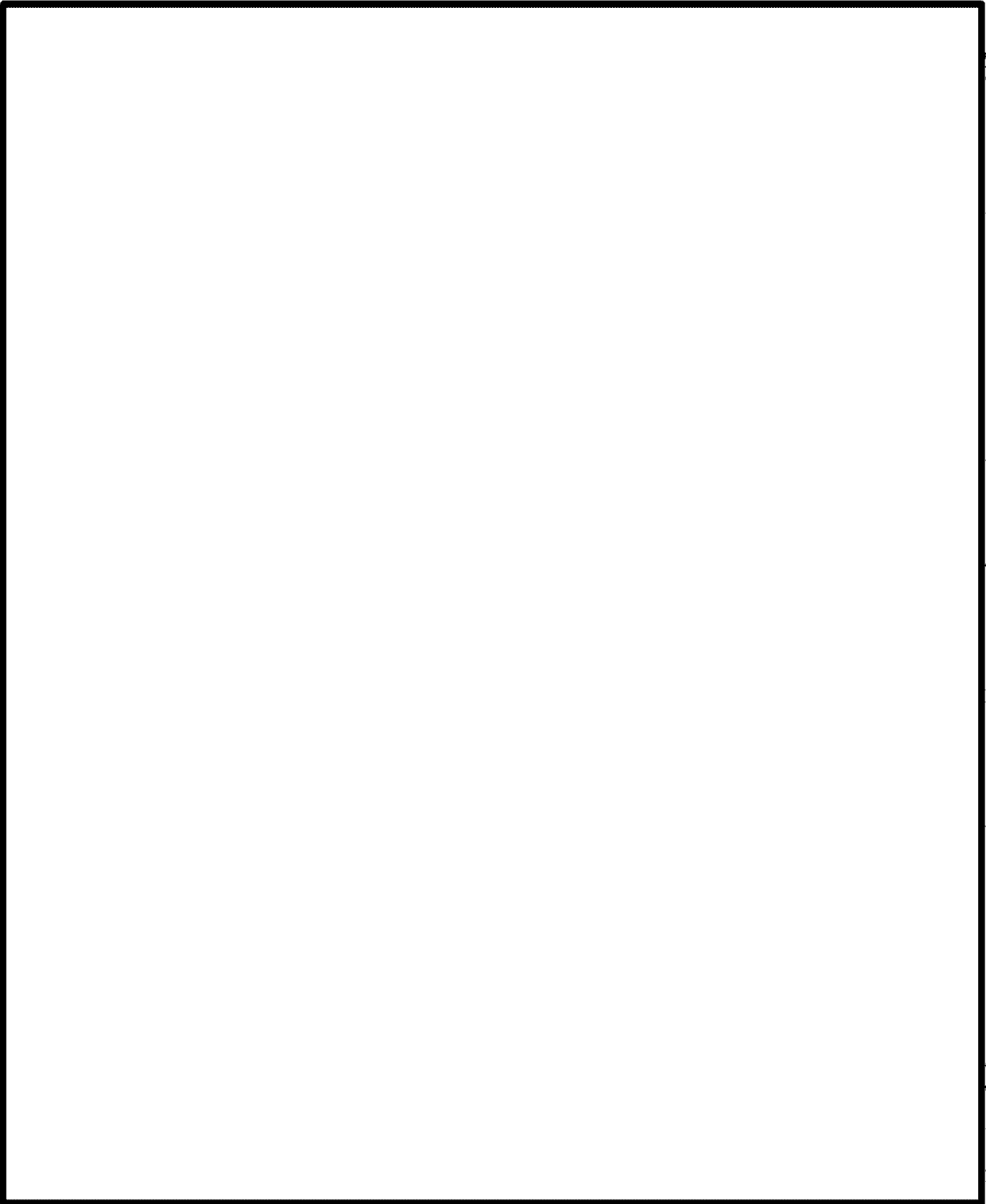
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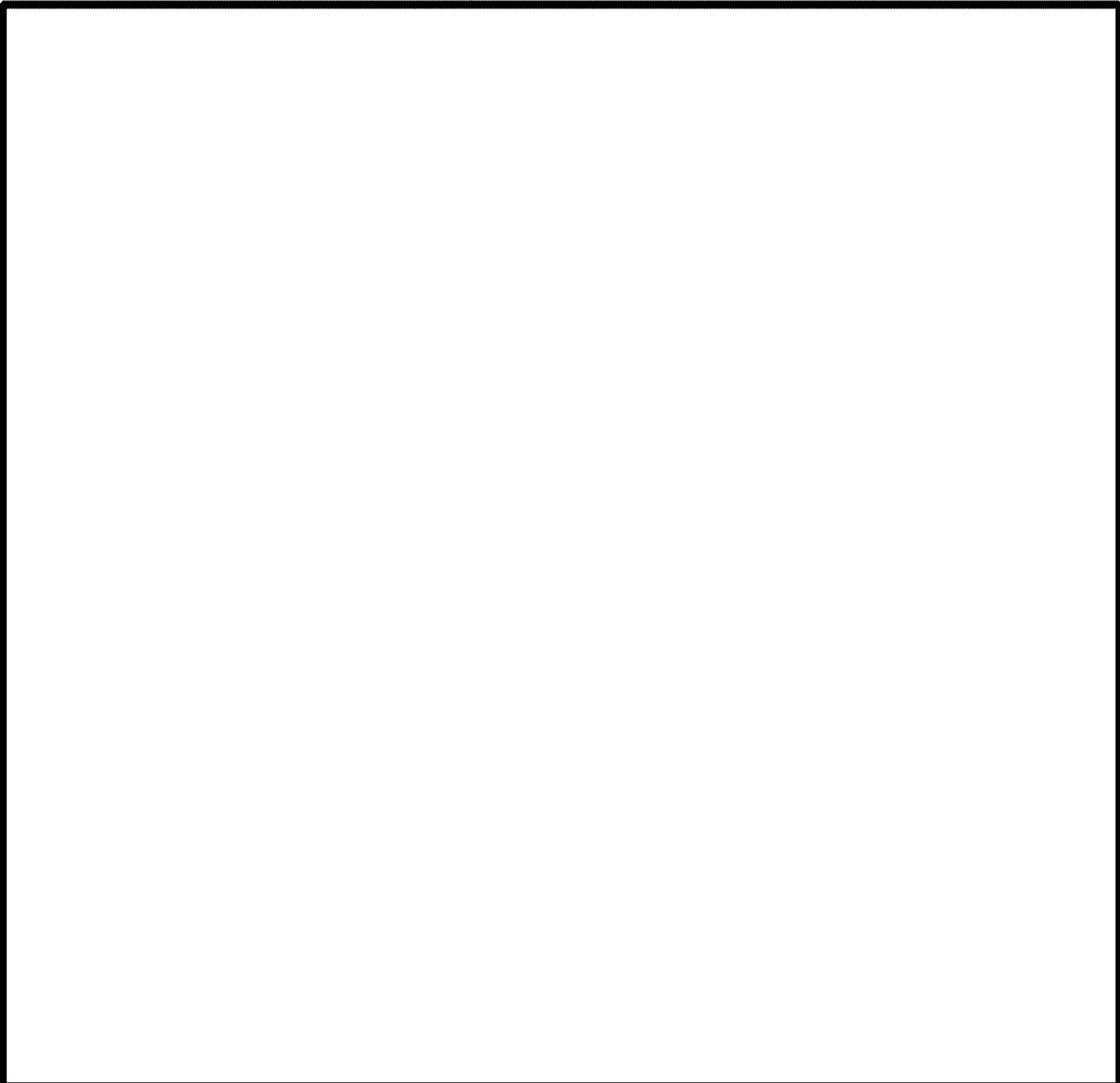


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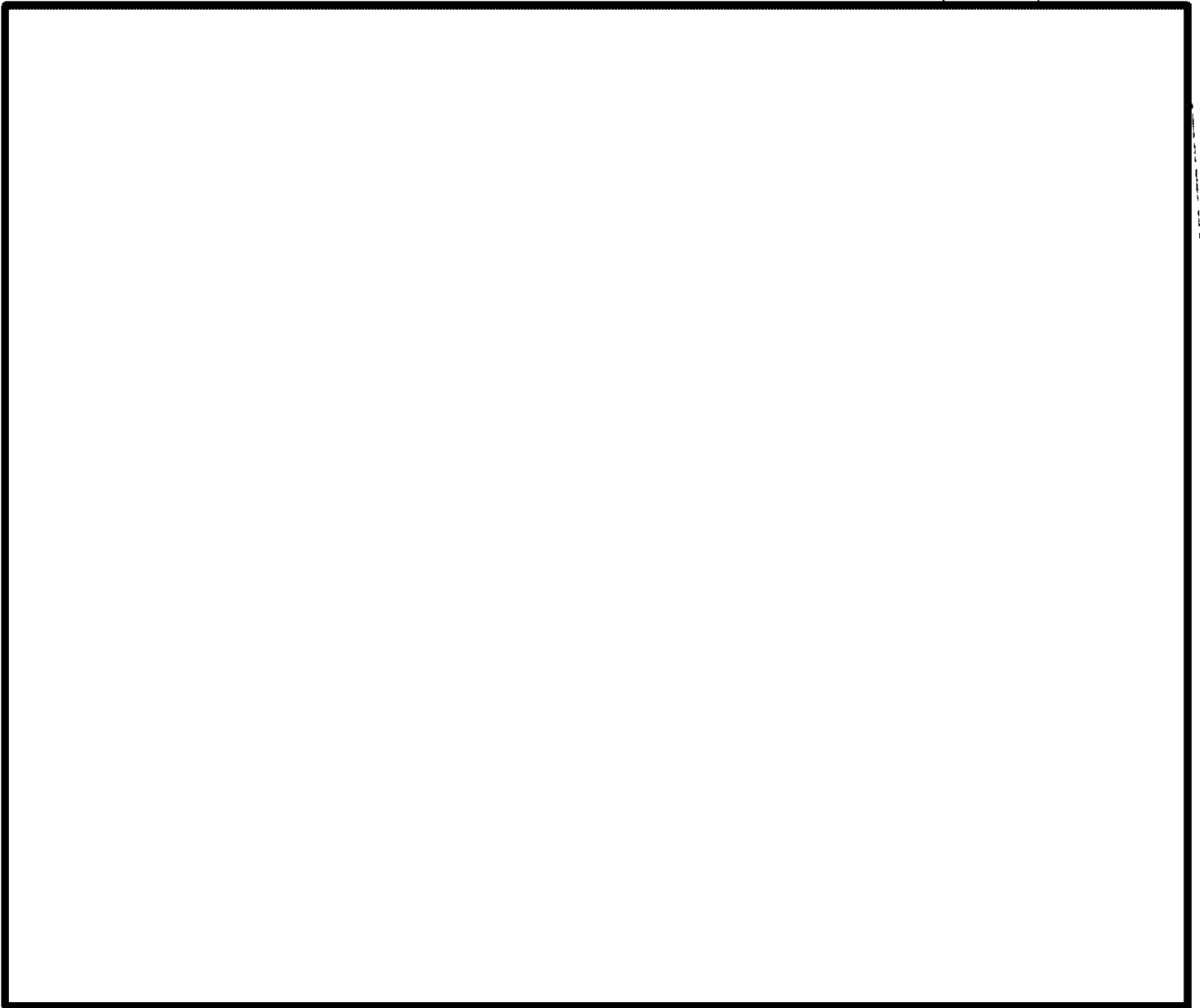
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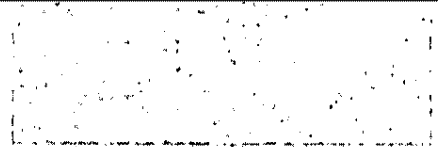
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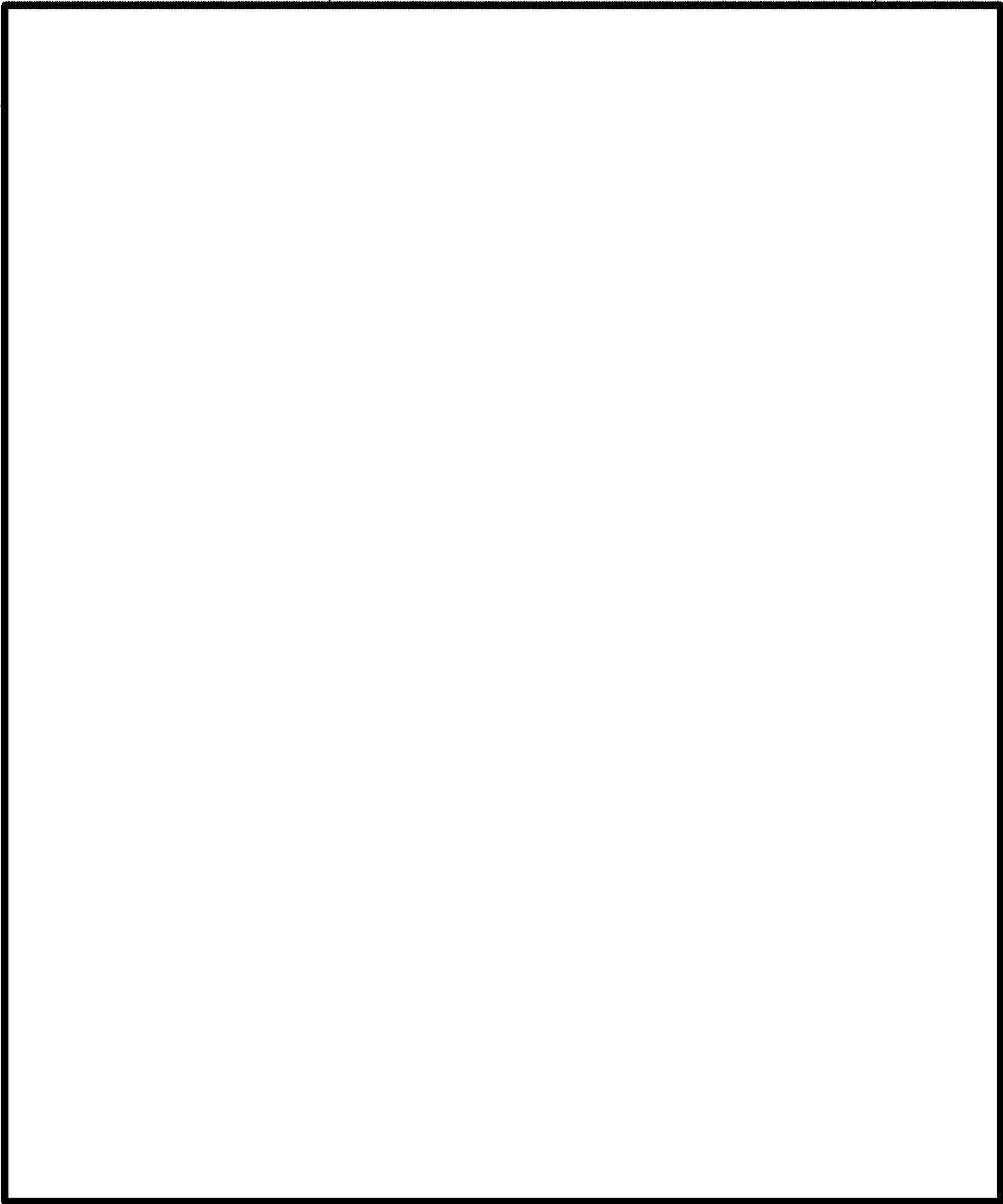


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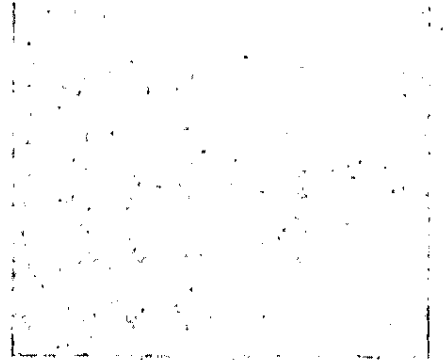
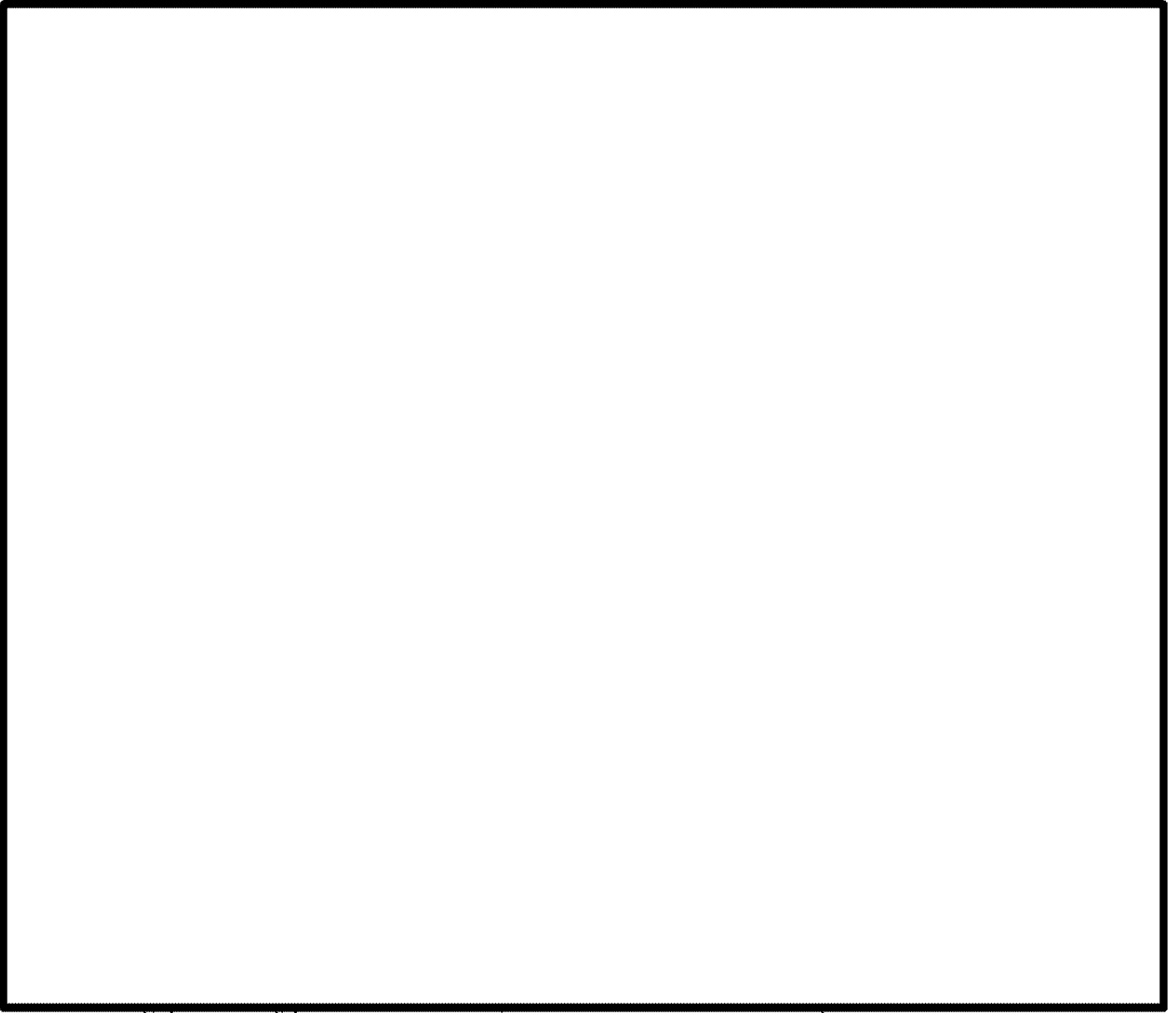


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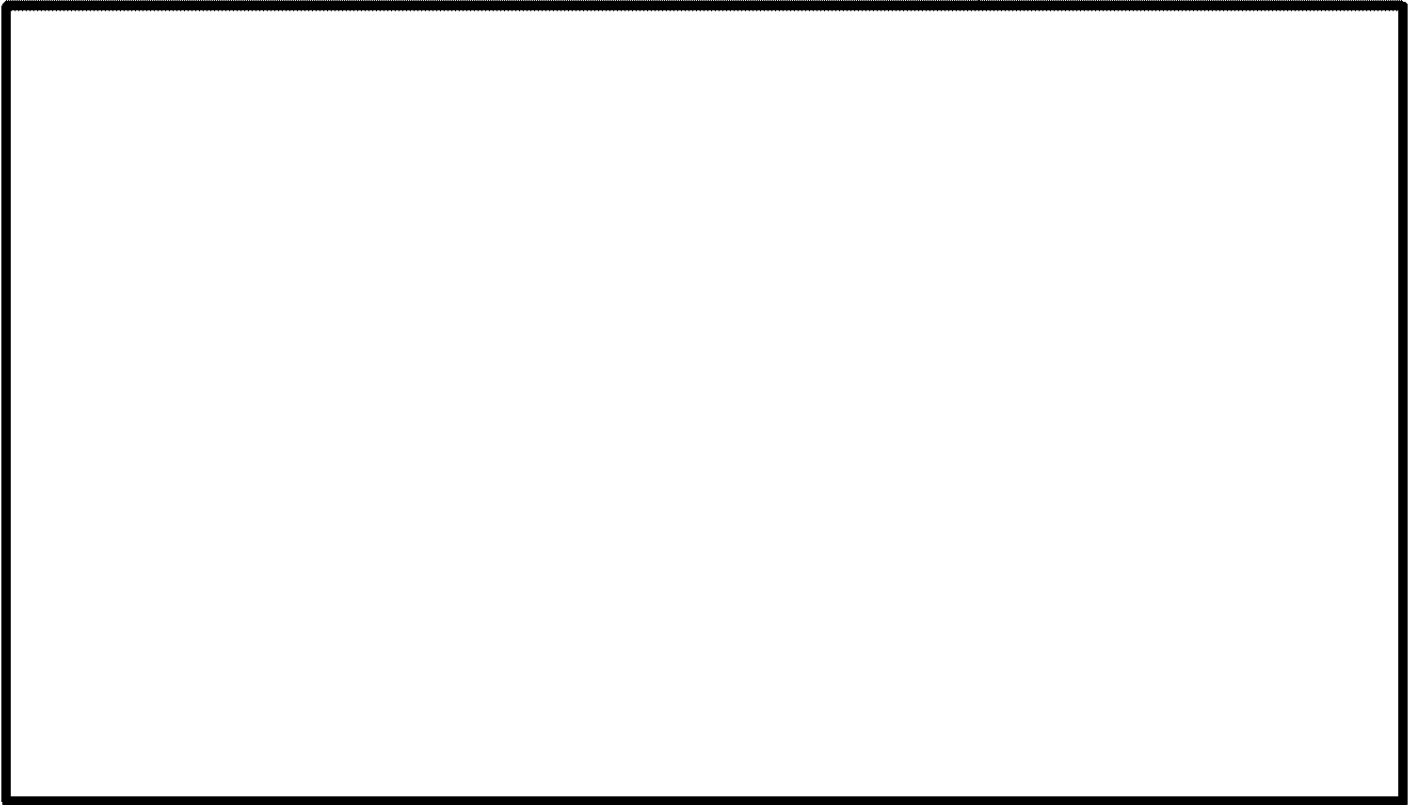


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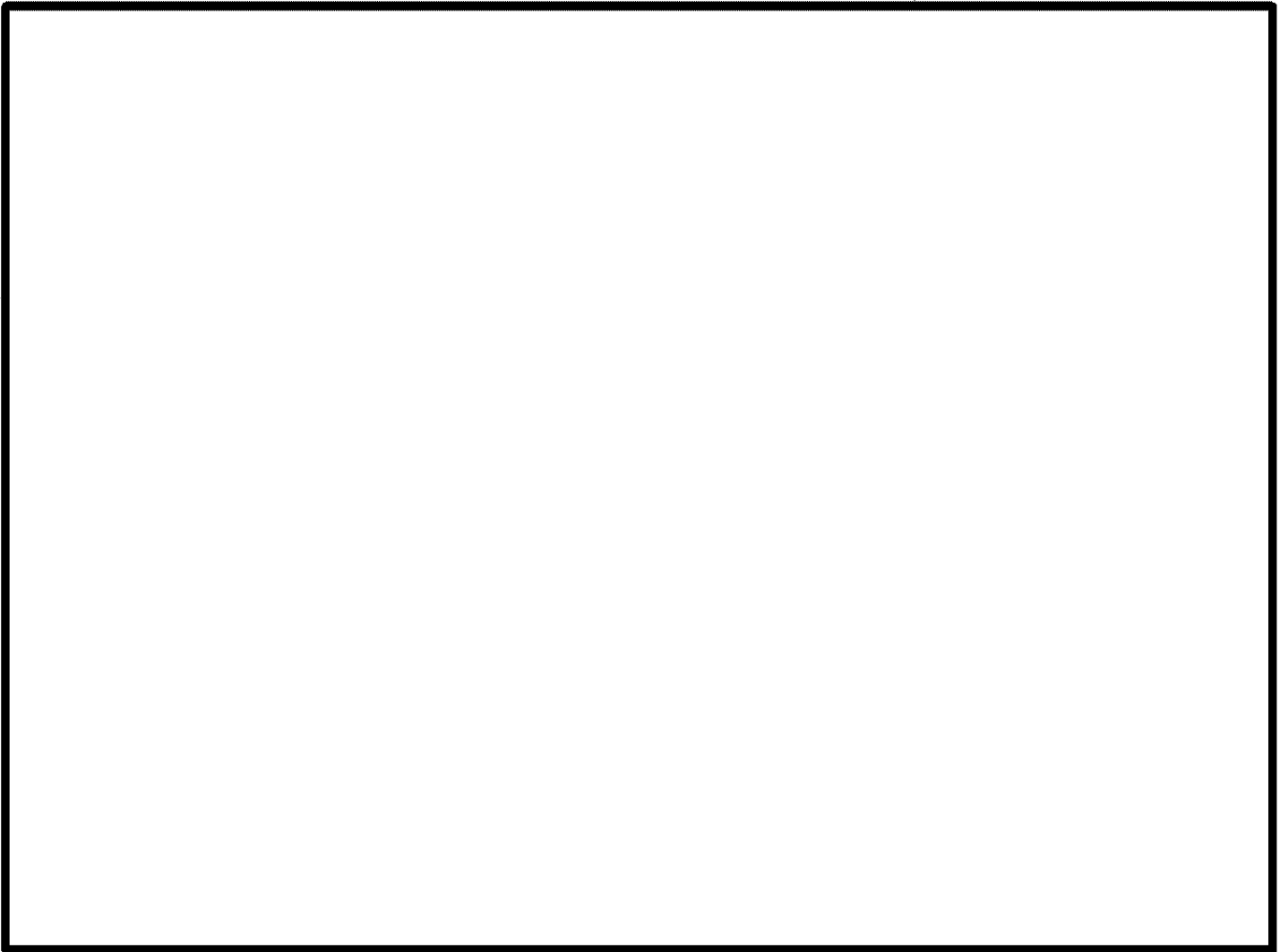


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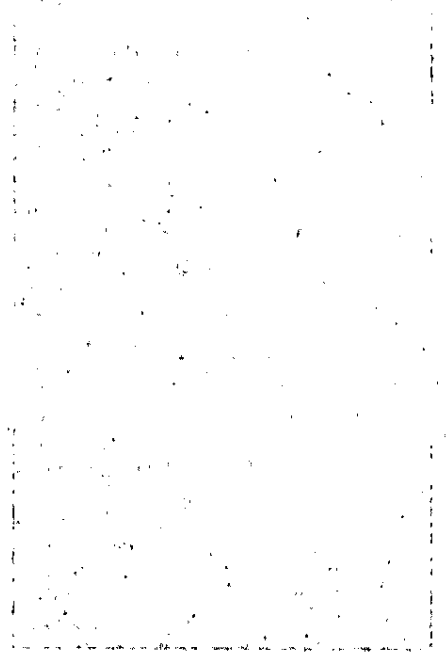


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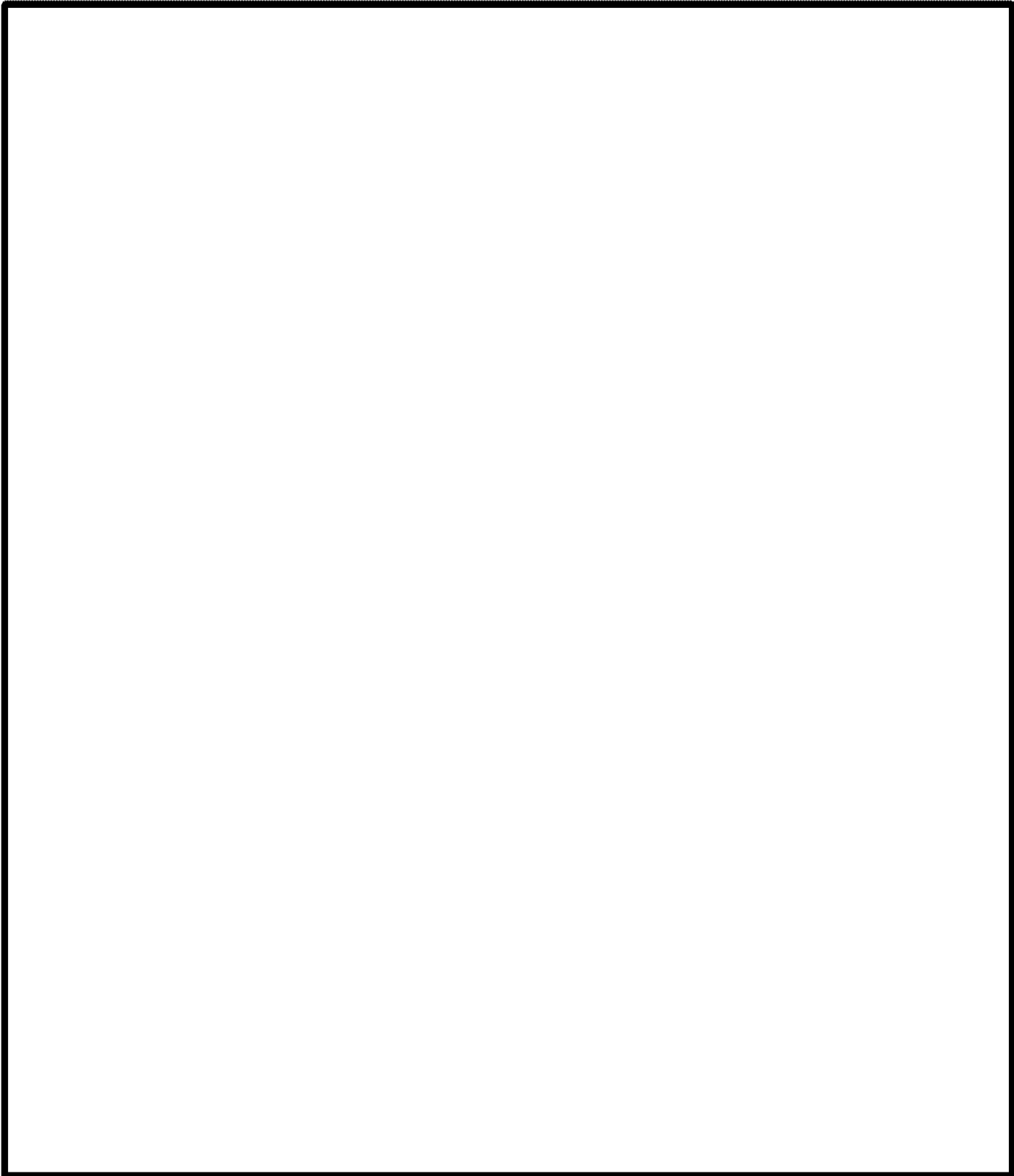
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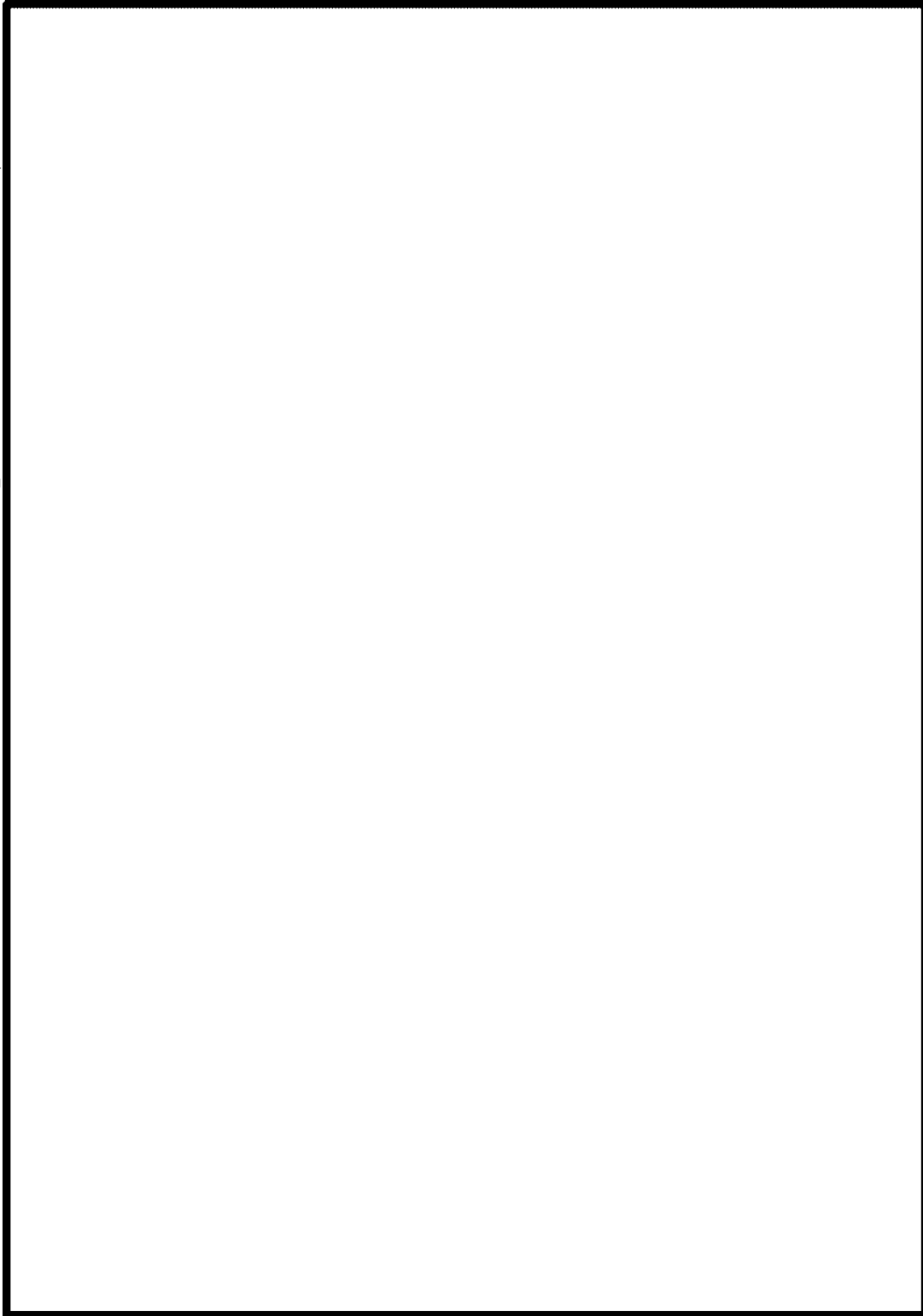


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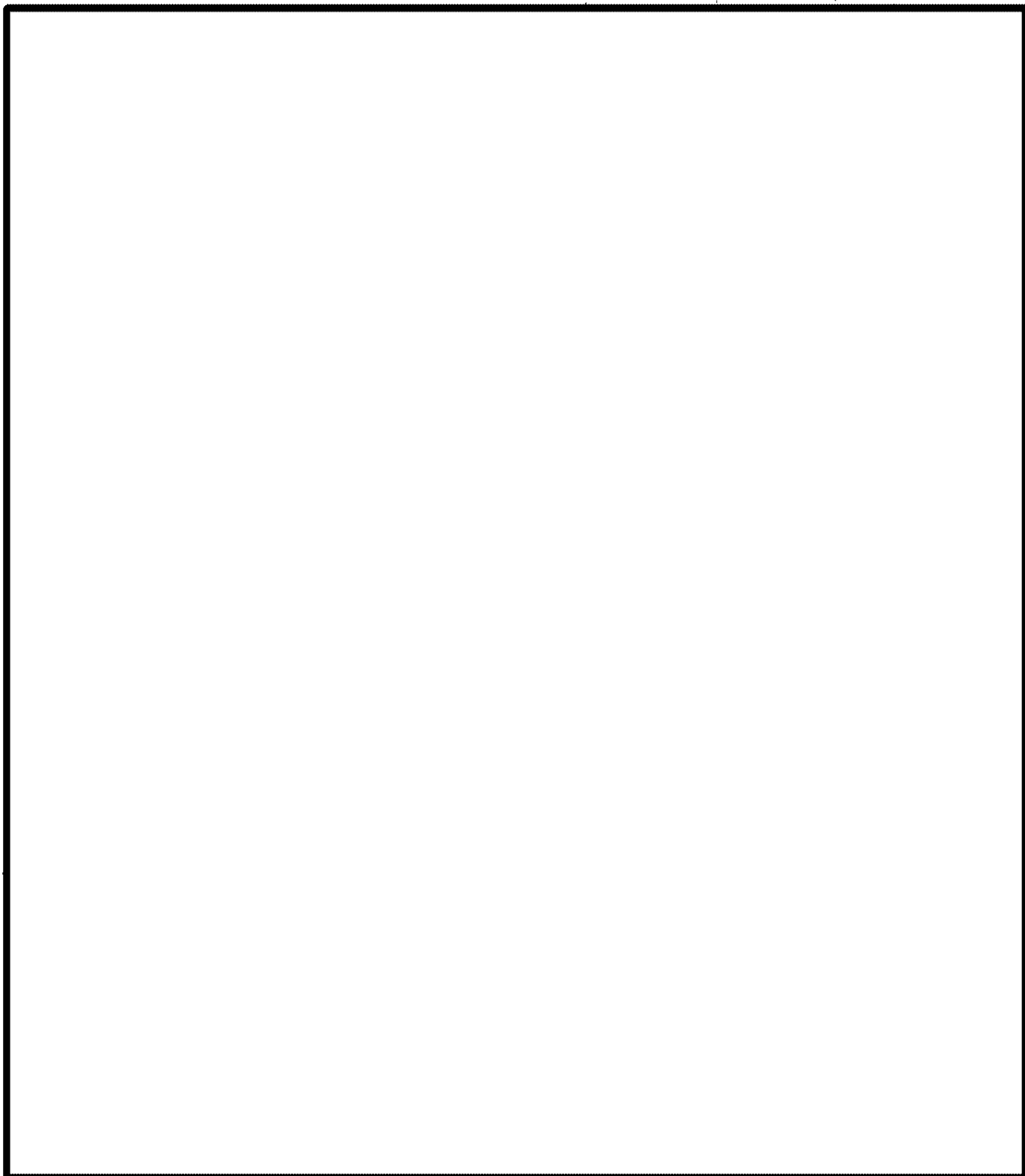


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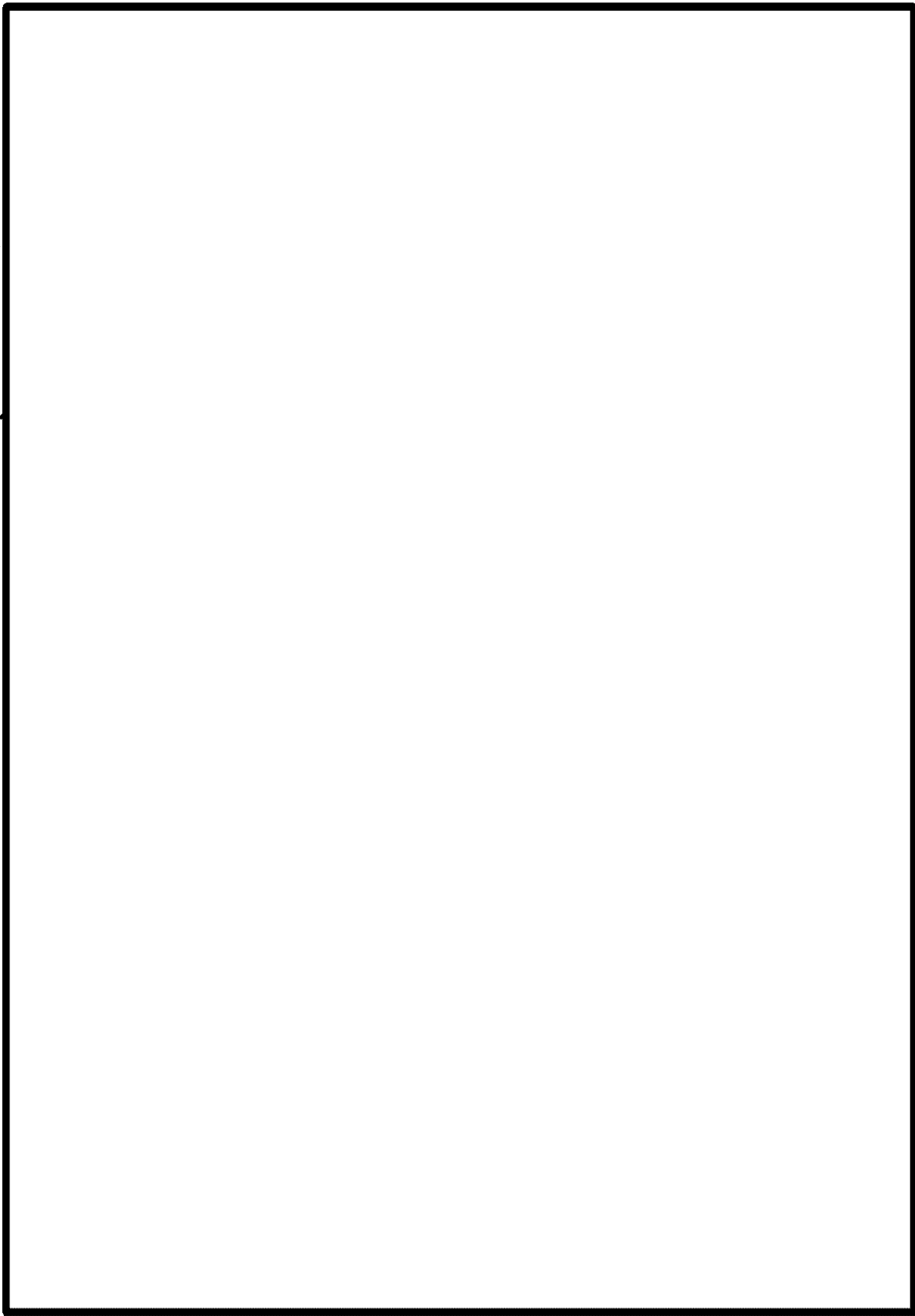


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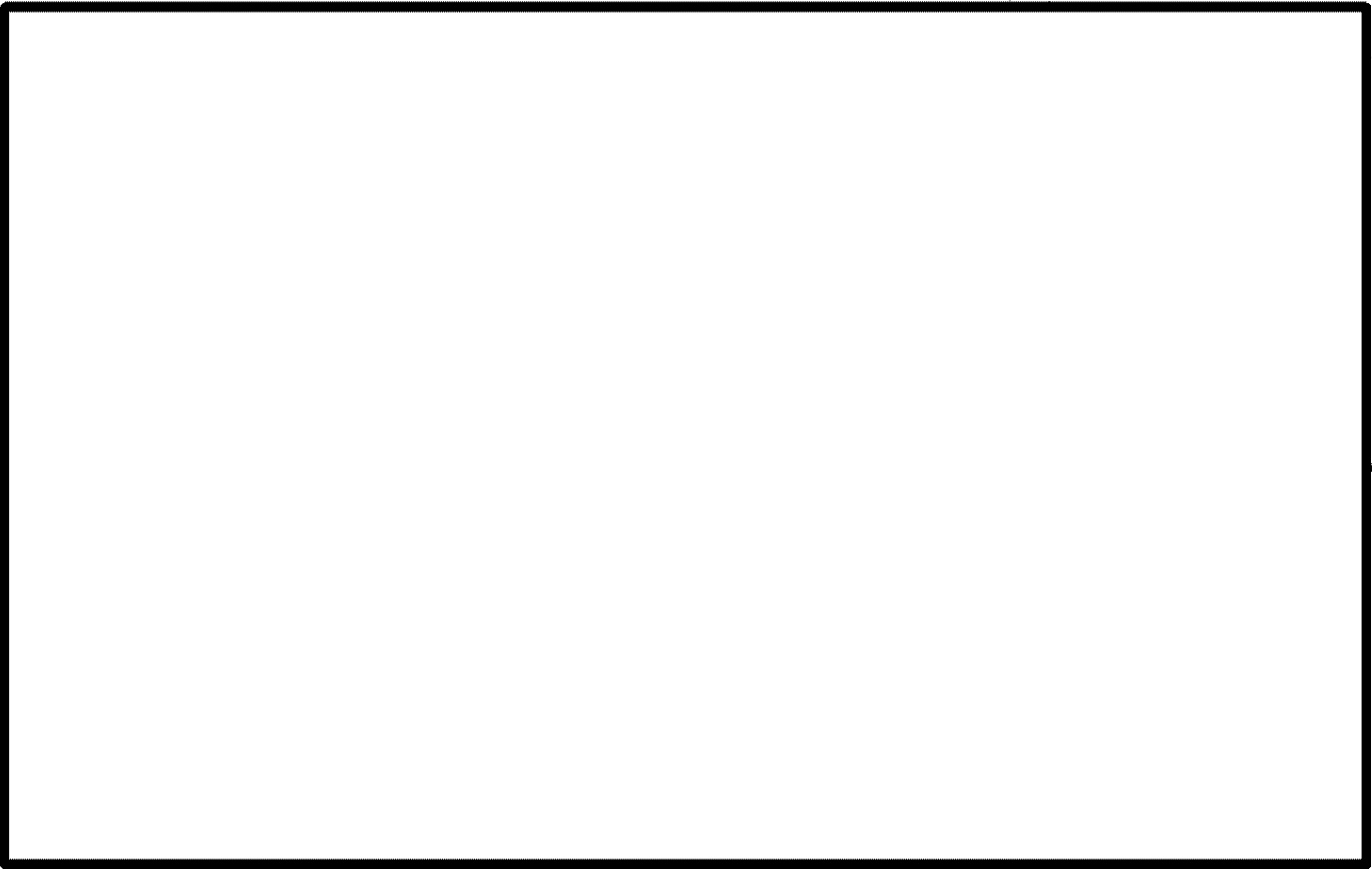


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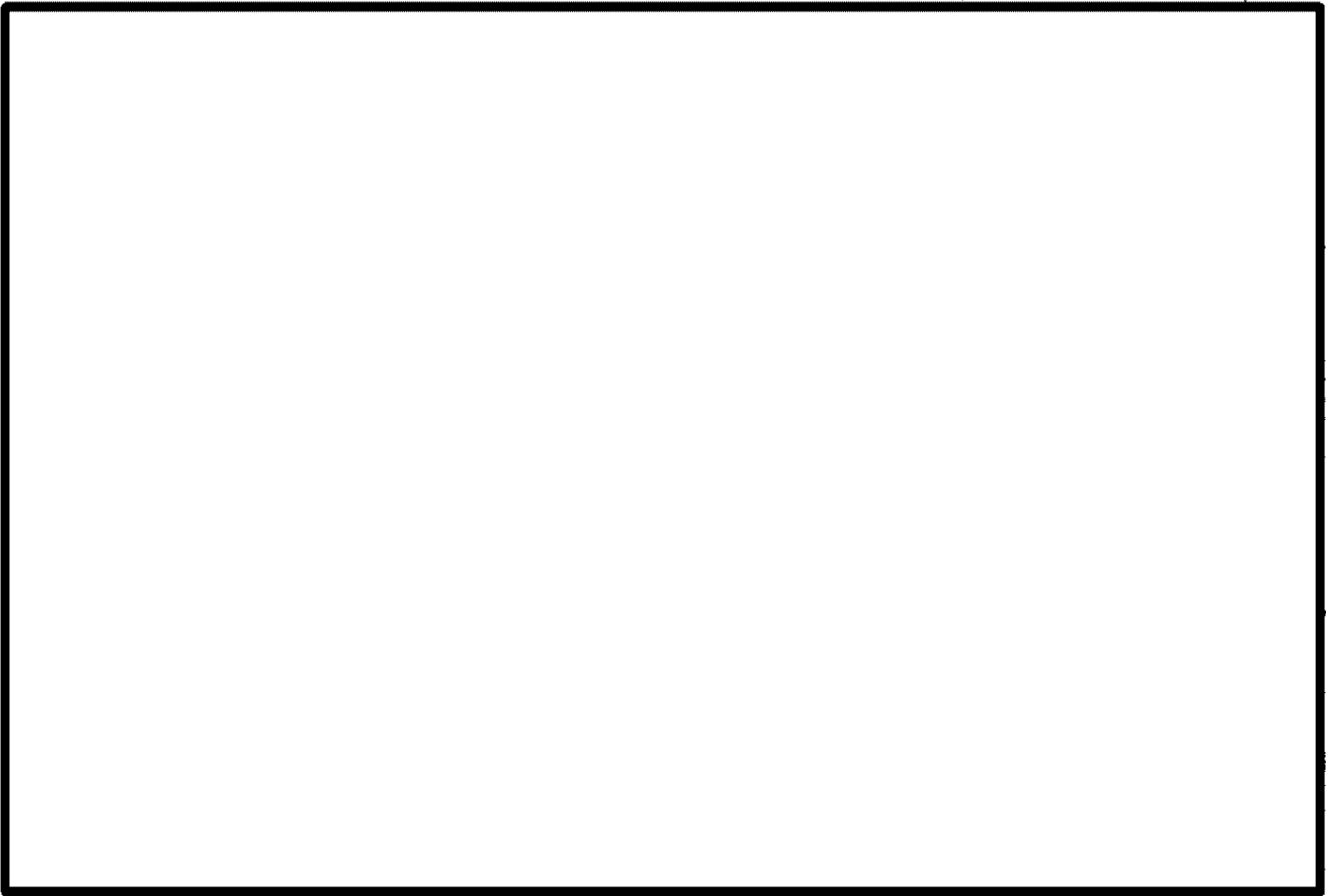


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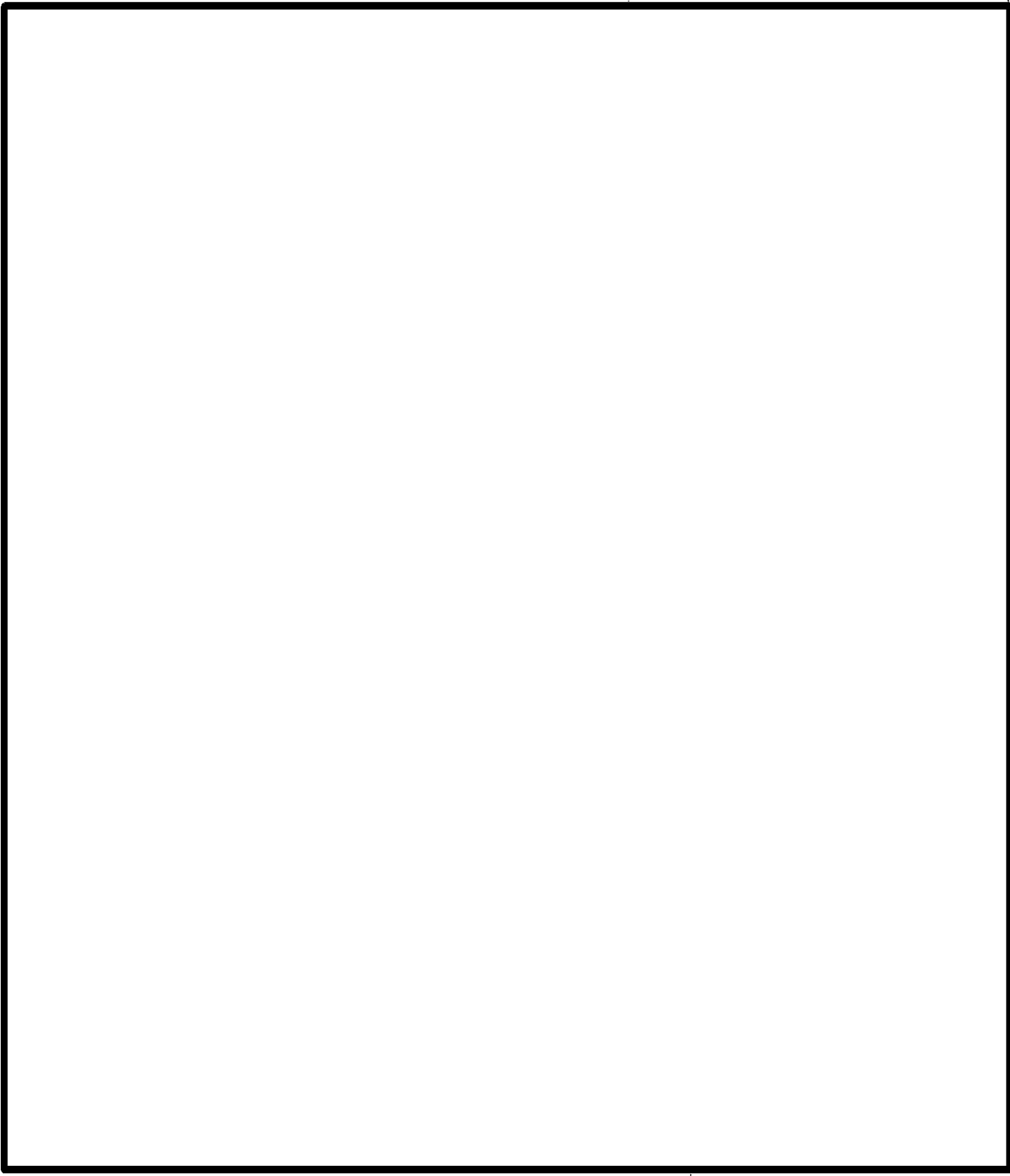
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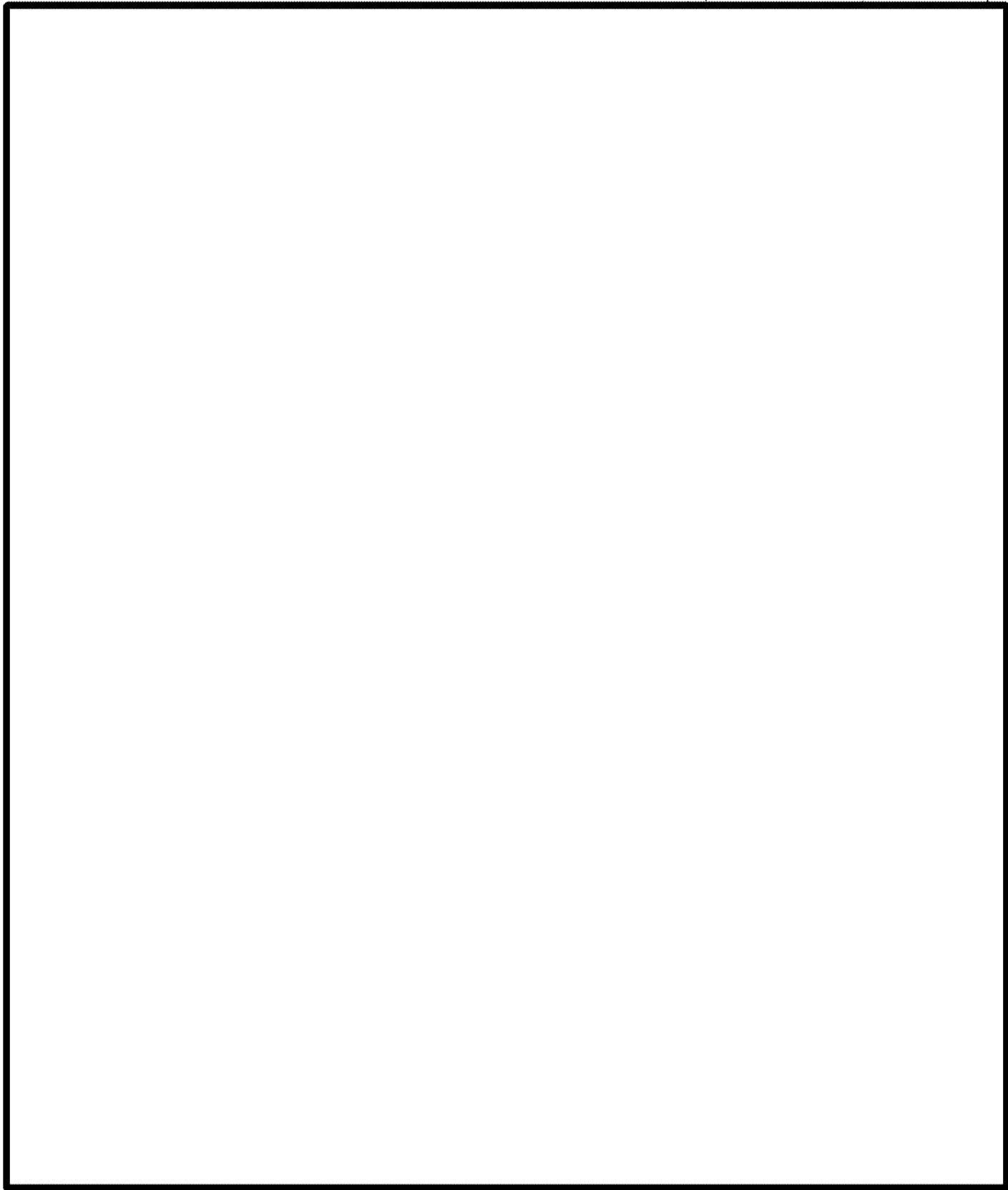


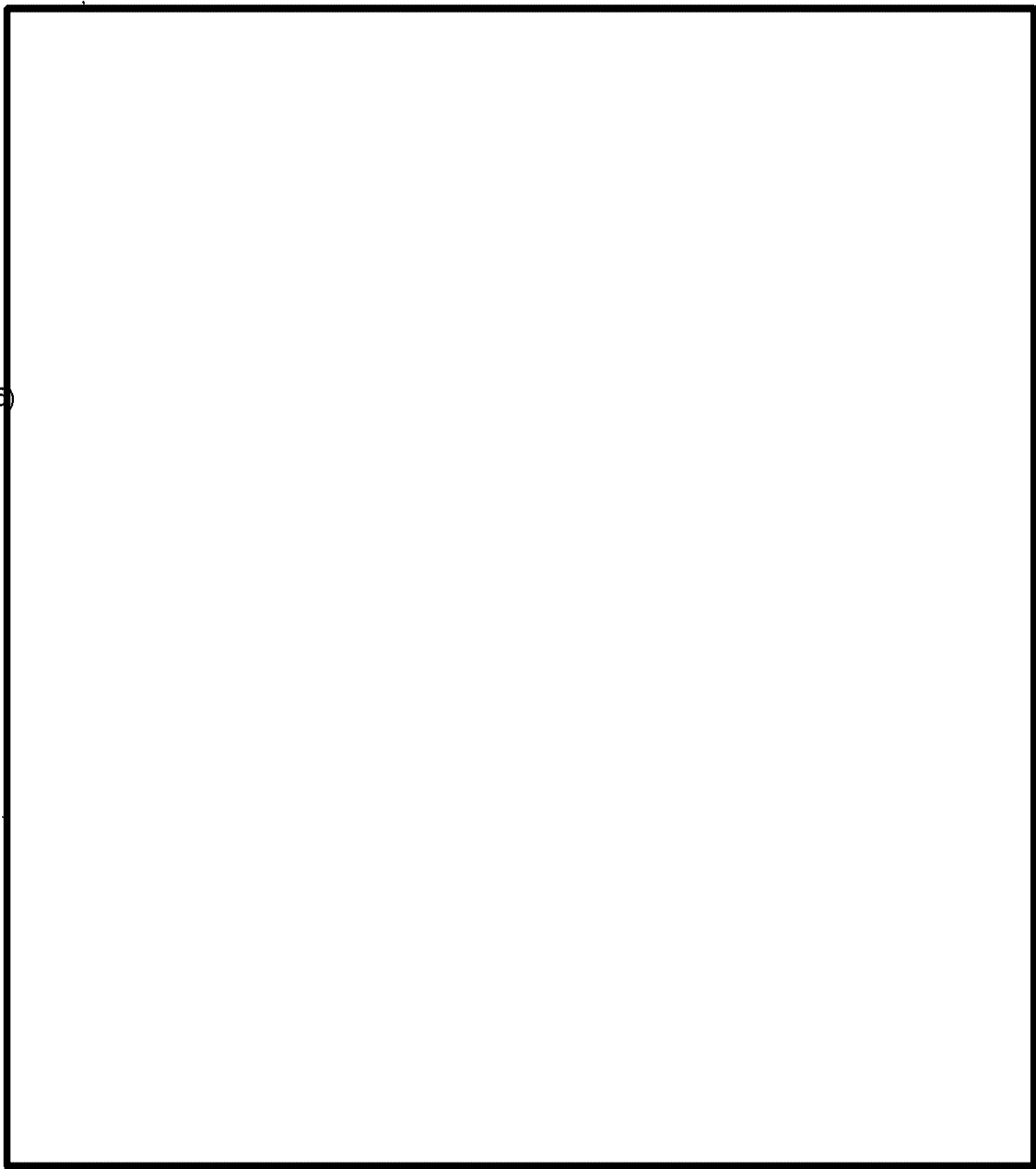
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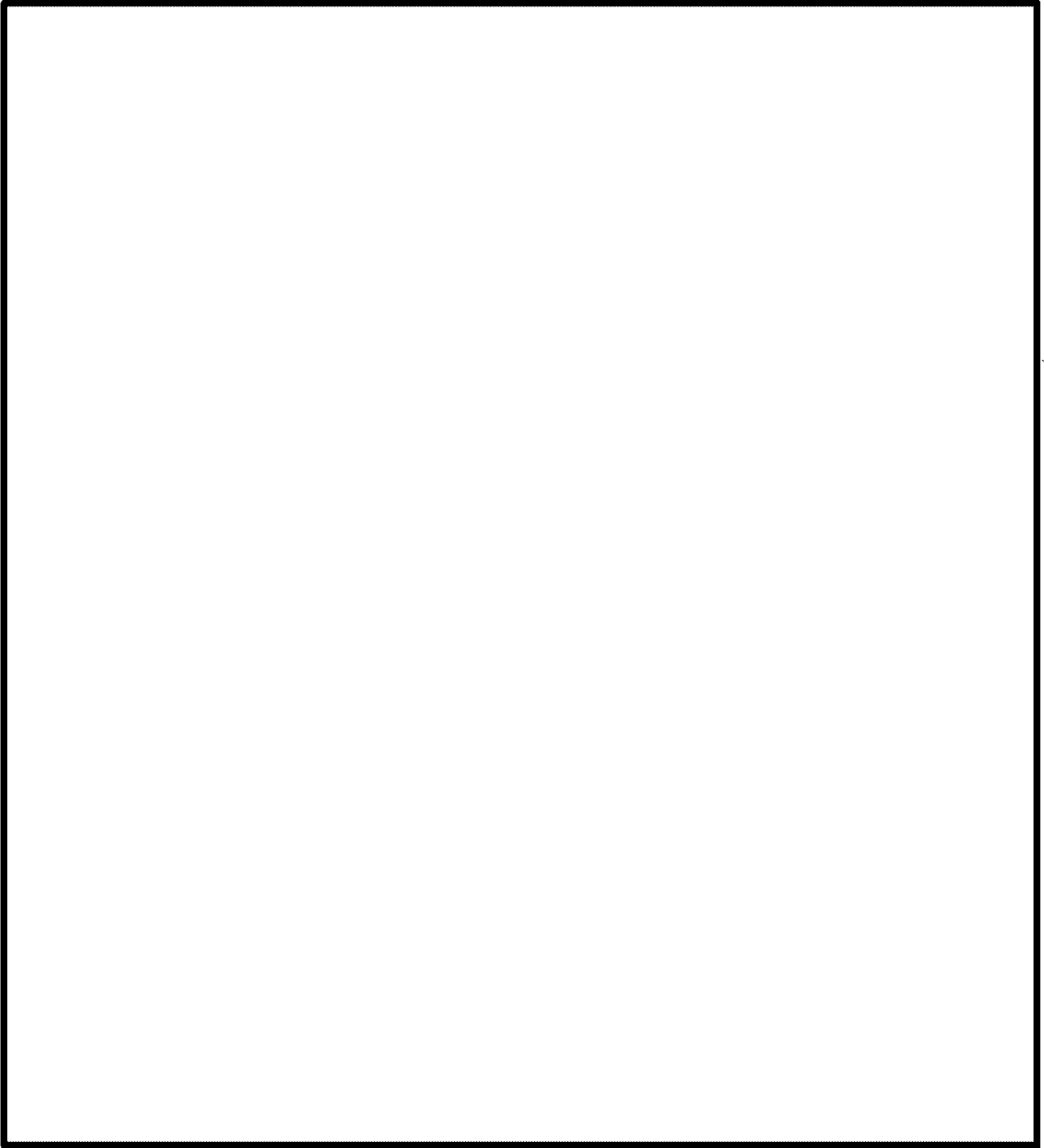
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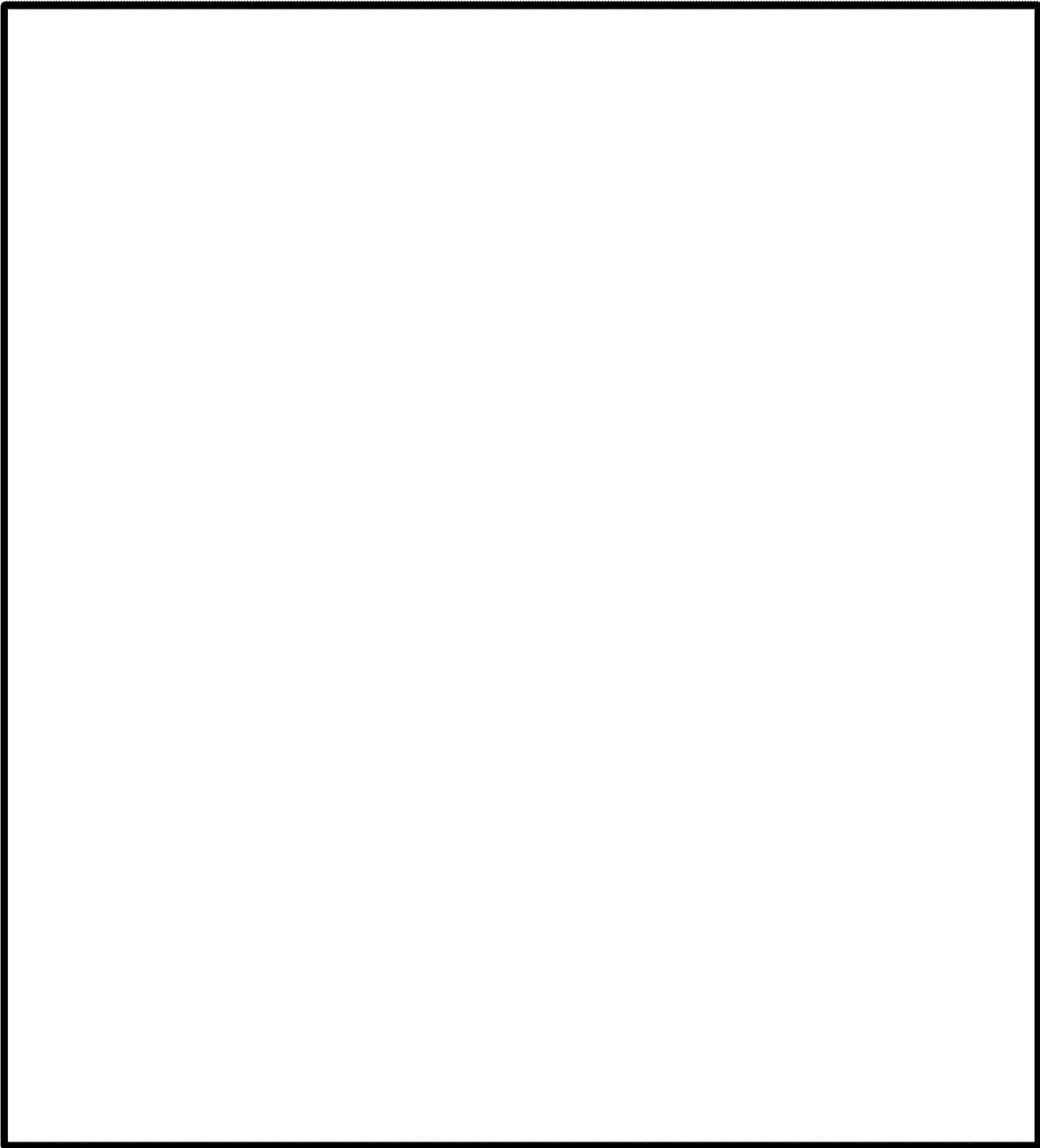


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From: USCIS Presidential Transition
To: Stewart, Bion
Cc: Renaud, Tracy L
Subject: RE: Presidential Transition Office - Operational Component Agency Review Team Briefings
Date: Wednesday, November 09, 2016 11:43:47 AM
Attachments: ART Component Brief Framework USCIS FINAL.pptx

Bion,

Attached please find a copy of USCIS' ART briefing presentation and related talking points. We look forward to providing the briefing on 11/16.

Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
(c) 202-489-8802

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From: Stewart, Bion
Sent: Wednesday, October 12, 2016 11:30 AM
To: ROACH, LEWIS S; Rahilly, Lyn M; Vogt, Anthony J RDML; Hess, David; Scanlon, Julie; Bibo, David; PARAMORE FARON K; Renaud, Tracy L
Cc: BUTLER, AMY J.; WILSON CORY P; Wiemers, Todd C CAPT; Snell, Allison; Mellendick, Theresa; Farnam; Julie E; McKean, Wendy C; Bartholomew, Heather; Baden, Tim; SCHORR, STEPHEN; Micone, Vincent; Halter, Greg; Beagles, James; Horowitz, Scott; Lee, Charmaine
Subject: Presidential Transition Office - Operational Component Agency Review Team Briefings

Transition Colleagues,

As discussed, attached is a framework for the briefs we'll be proposing for the ART in the first week or so after they arrive. The content is based on our discussion from a few weeks ago.

Please adapt, stylize, and augment as you see fit with a target of no more than an hour for the brief and Q&A.

The PTO would like to see your draft brief. If you can please send your draft brief to me by November 1st, we'd appreciate it.

Please let me know if you have any questions.

Thank you,

Bion

Bion Stewart
Deputy Presidential Transition Officer
Department of Homeland Security
202-282-9125

From: Renaud, Tracy L
To: "Scialabba, Lori L (Lori.Scialabba@uscis.dhs.gov)"; Farnam, Julie E
Cc: Young, Todd P; Prater, Jocelyn S
Subject: RE: USCIS Briefing
Date: Tuesday, December 06, 2016 4:10:00 PM
Attachments: ART Component Brief Framework USCIS FINAL.PPTX

For Lori's book tomorrow - Updated version w/o slide 5 and with modification on cover page regarding who is briefing.

*Tracy L. Renaud
Associate Director
Management Directorate
US Citizenship & Immigration Services
Department of Homeland Security
202-272-1739 (desk)*

From: Renaud, Tracy L
Sent: Tuesday, December 06, 2016 4:09 PM
To: 'Scialabba, Lori L (Lori.Scialabba@uscis.dhs.gov)'; Farnam, Julie E
Cc: Young, Todd P
Subject: FW: USCIS Briefing

I told him it was fine to delete slide 5. He is also changing the cover page to reflect Lori as the briefer.

*Tracy L. Renaud
Associate Director
Management Directorate
US Citizenship & Immigration Services
Department of Homeland Security
202-272-1739 (desk)*

From: Stewart, Bion
Sent: Tuesday, December 06, 2016 4:04 PM
To: USCIS Presidential Transition
Cc: Halter, Greg; Renaud, Tracy L
Subject: RE: USCIS Briefing

Tracy,

Quick follow up. I understand the purpose of slide 5, but I think for this audience it is probably not necessary. I would like to delete before I send out for HQ review if you don't mind.

Bion

From: Stewart, Bion
Sent: Tuesday, December 6, 2016 4:01 PM

To: USCIS Presidential Transition <uscispresidentialtransition@uscis.dhs.gov>

Cc: Halter, Greg <greg.halter@hq.dhs.gov>; Renaud, Tracy L <Tracy.L.Renaud@uscis.dhs.gov>

Subject: RE: USCIS Briefing

Thanks Tracy. This looks good. I recommend moving quickly through the first section and focusing on the latter section with the expectation they'll want to dive deeper on the issues captured in slides 6-8.

I'll change the name to the Deputy.

Bion

Bion Stewart
Deputy Presidential Transition Officer
Department of Homeland Security
202-282-9125

From: USCIS Presidential Transition

Sent: Tuesday, December 6, 2016 3:56 PM

To: Stewart, Bion <bion.stewart@hq.dhs.gov>

Cc: Halter, Greg <greg.halter@hq.dhs.gov>; Renaud, Tracy L <Tracy.L.Renaud@uscis.dhs.gov>

Subject: USCIS Briefing

Bion,

Attached is the USCIS brief framework for the agency overview briefing tomorrow. There have been no additional changes since we sent this to the PTO on 11/9. We look forward to meeting with the landing team members tomorrow at 11:00. The briefing will be led by Lori Scialabba, our Deputy Director, and Tracy Renaud and I will also be present.

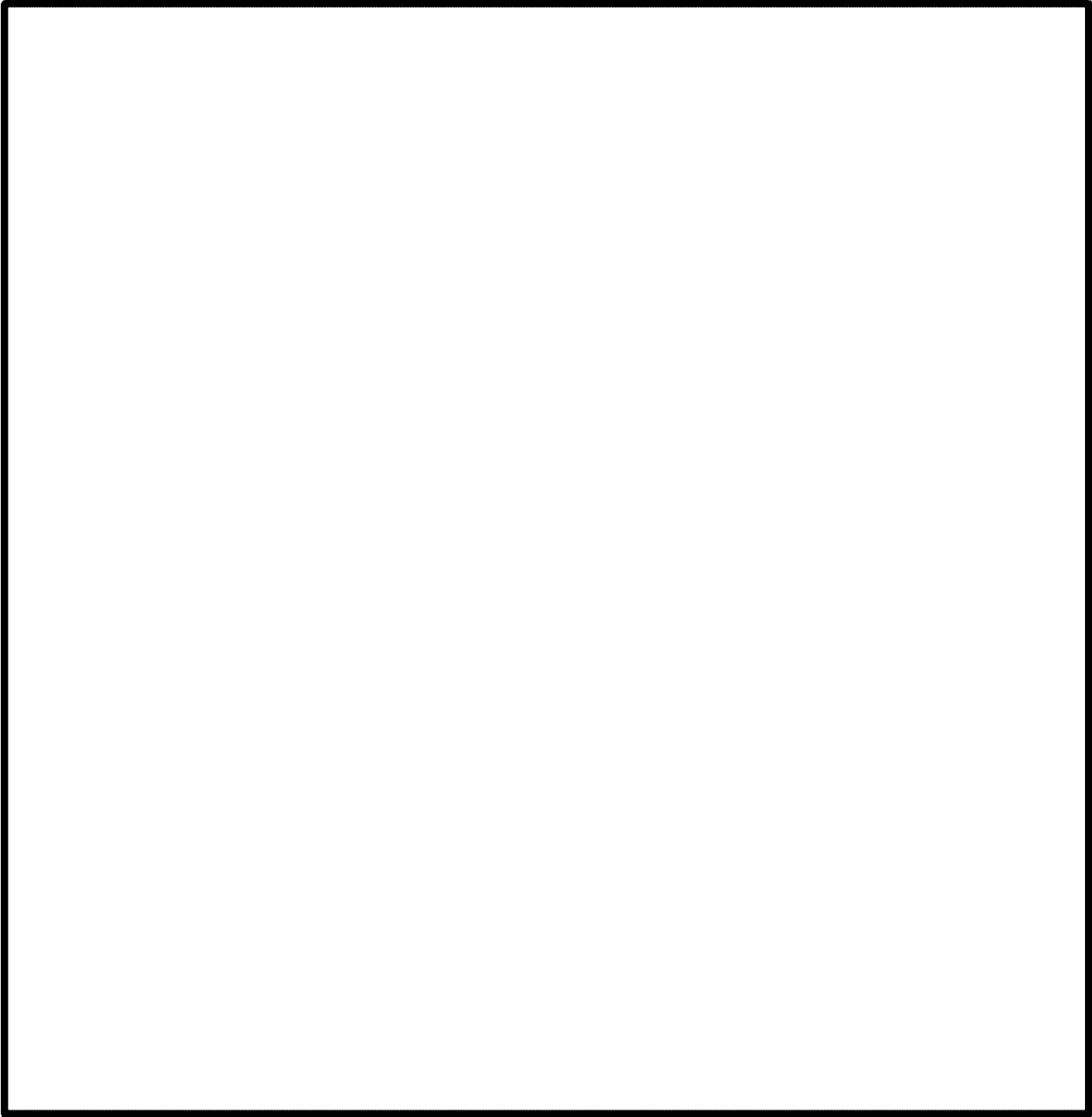
If you need anything additional or if there are any questions, please do not hesitate to contact us.

Thank you,
Julie Farnam
Senior Advisor
Field Operations Directorate
U.S. Citizenship and Immigration Services
(d) 202-272-1102
(c) 202-489-8802

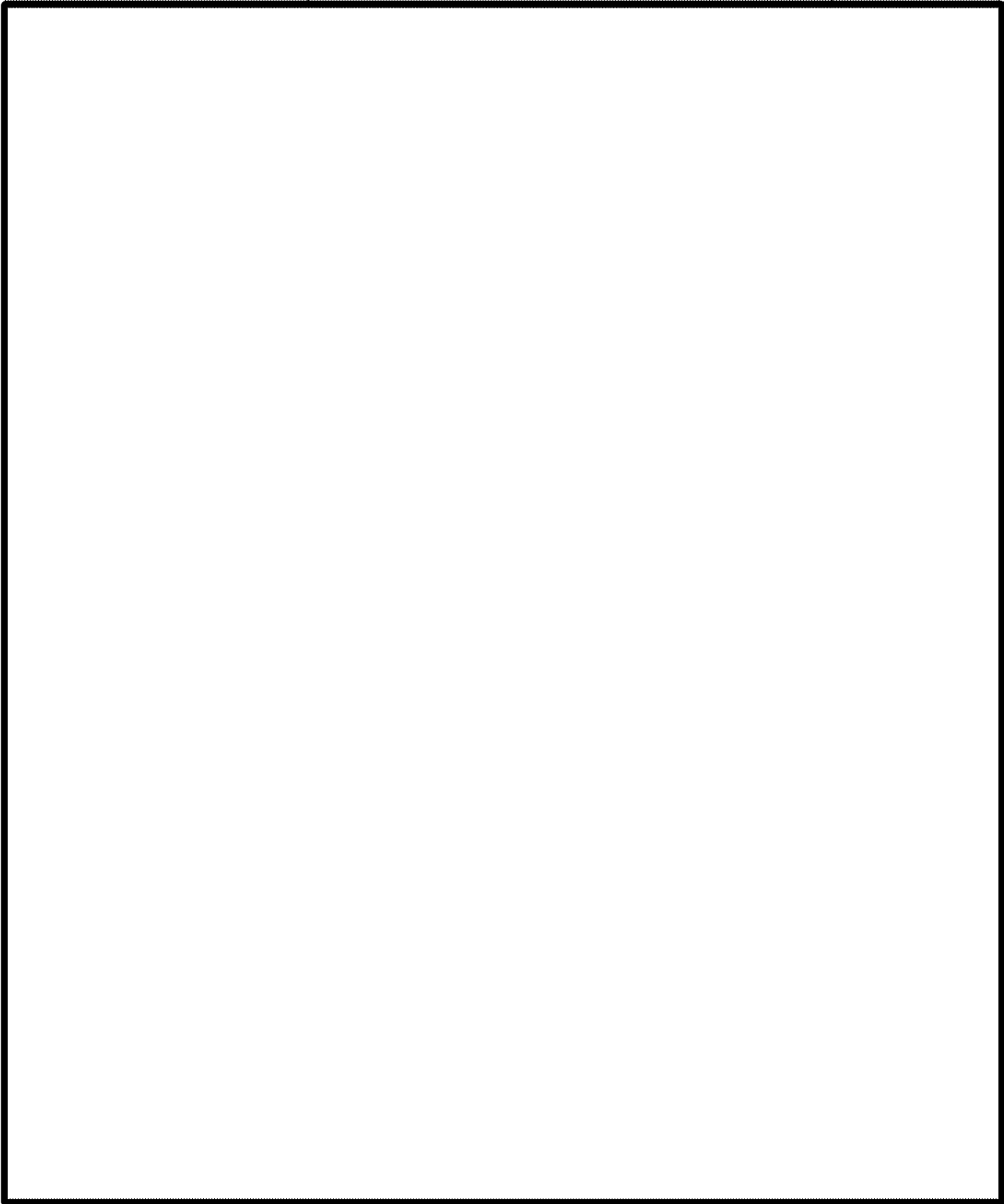
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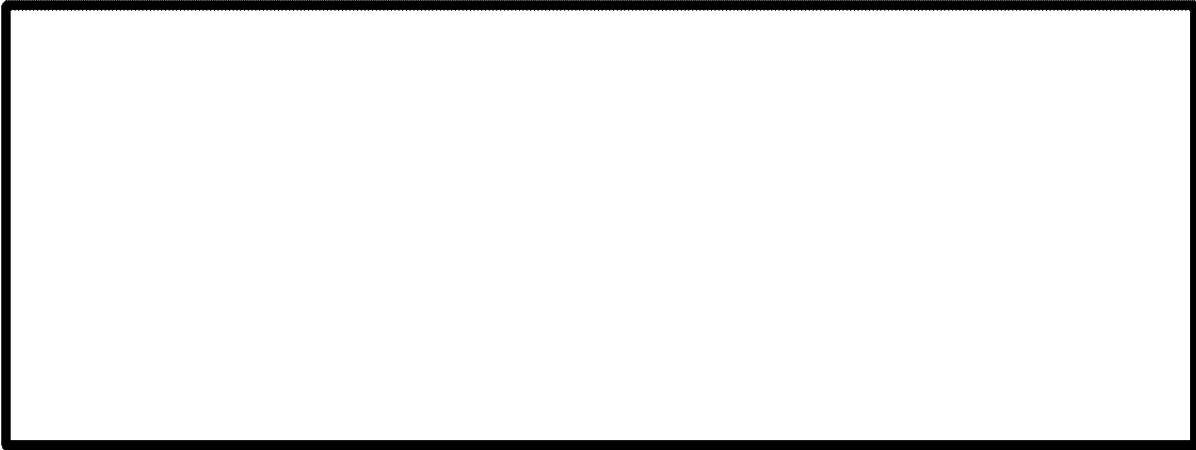
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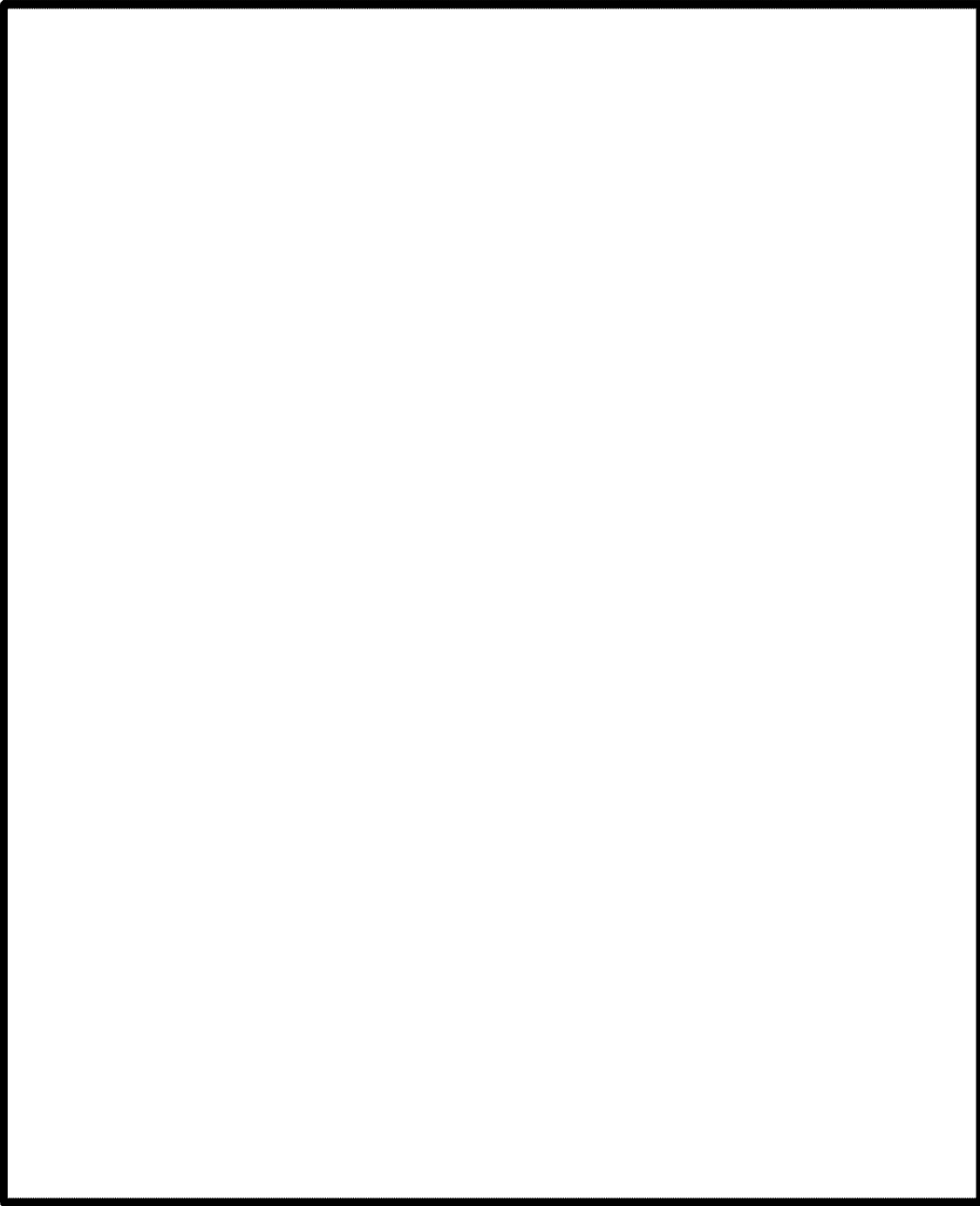


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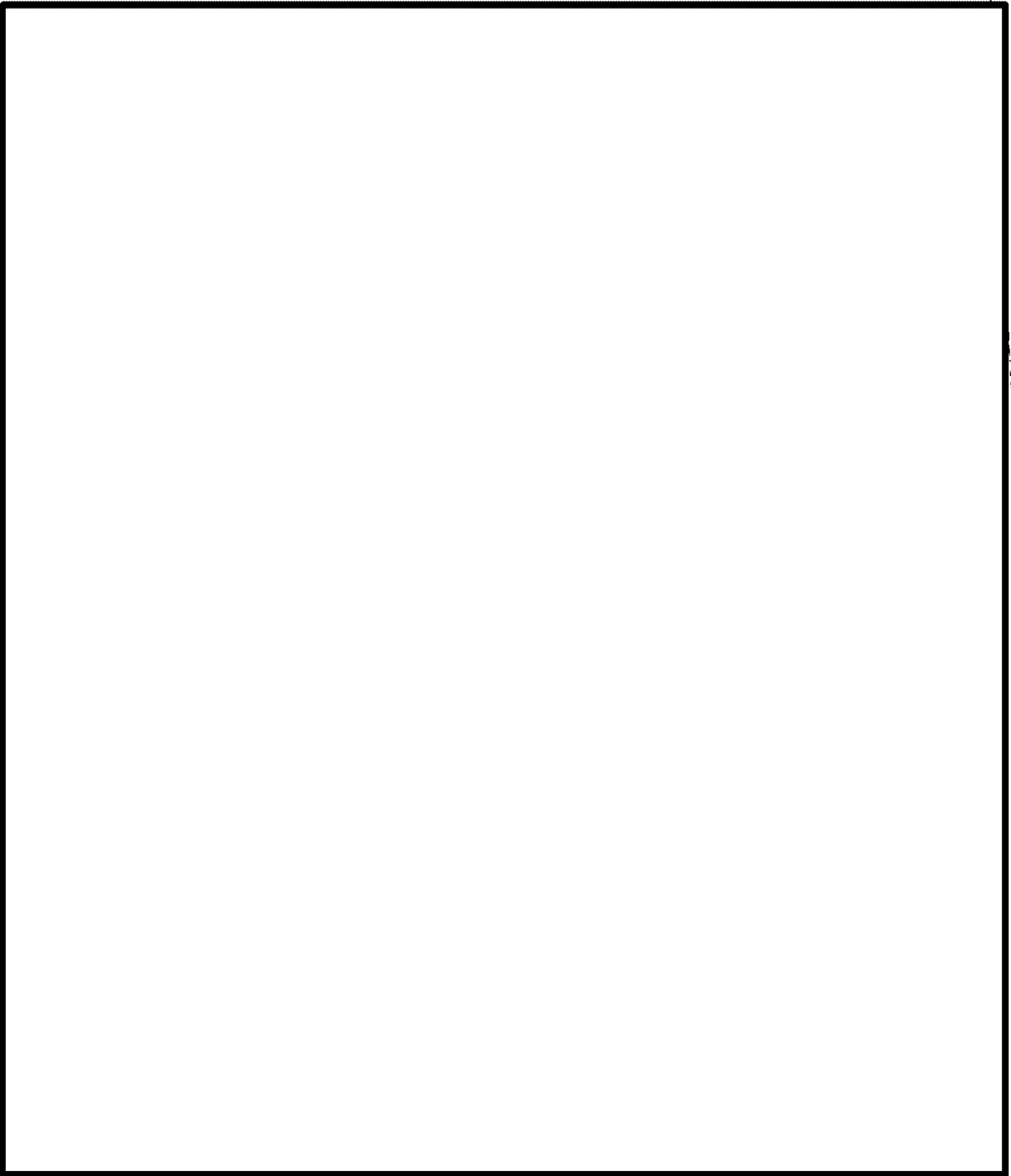


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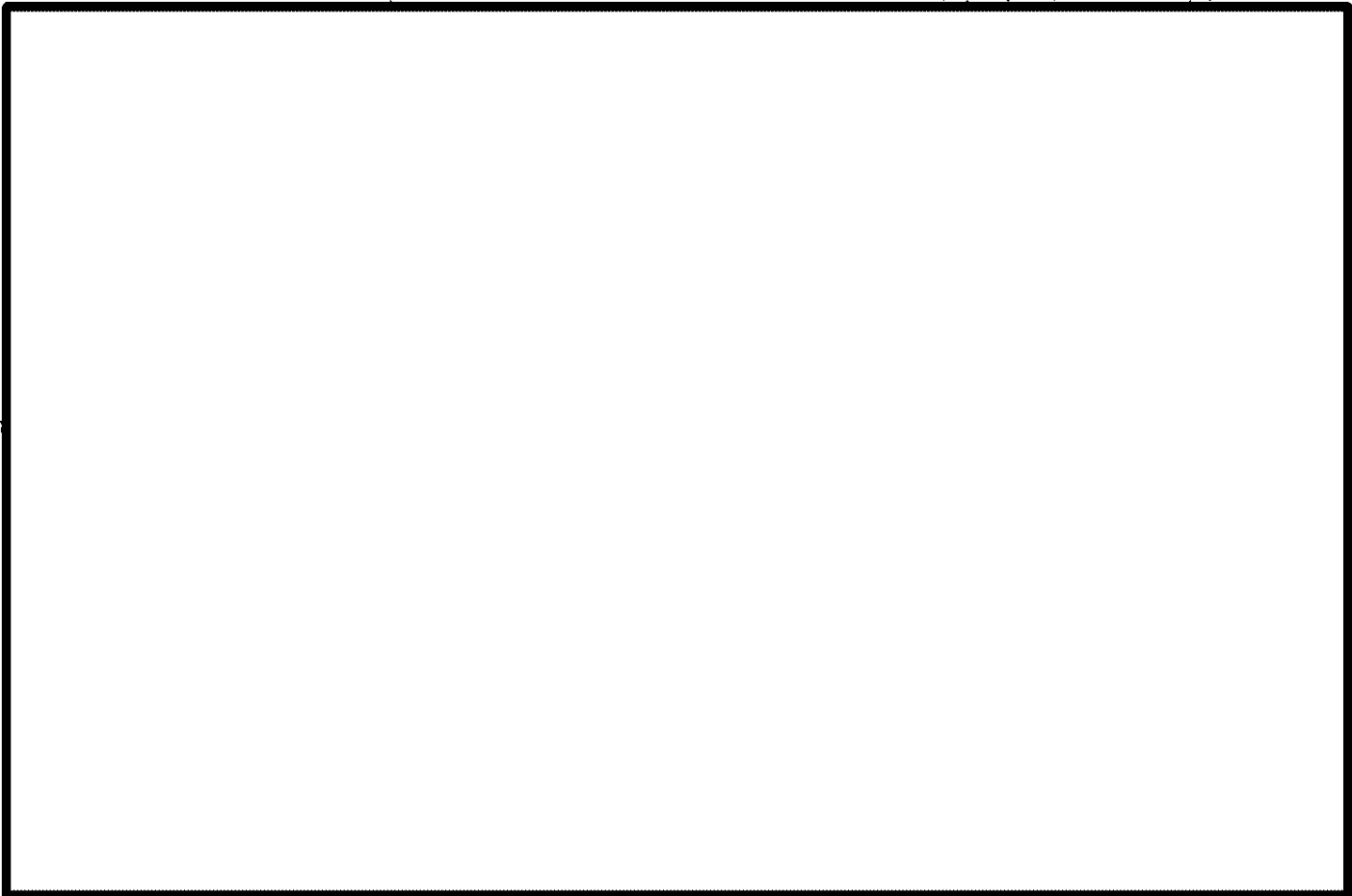


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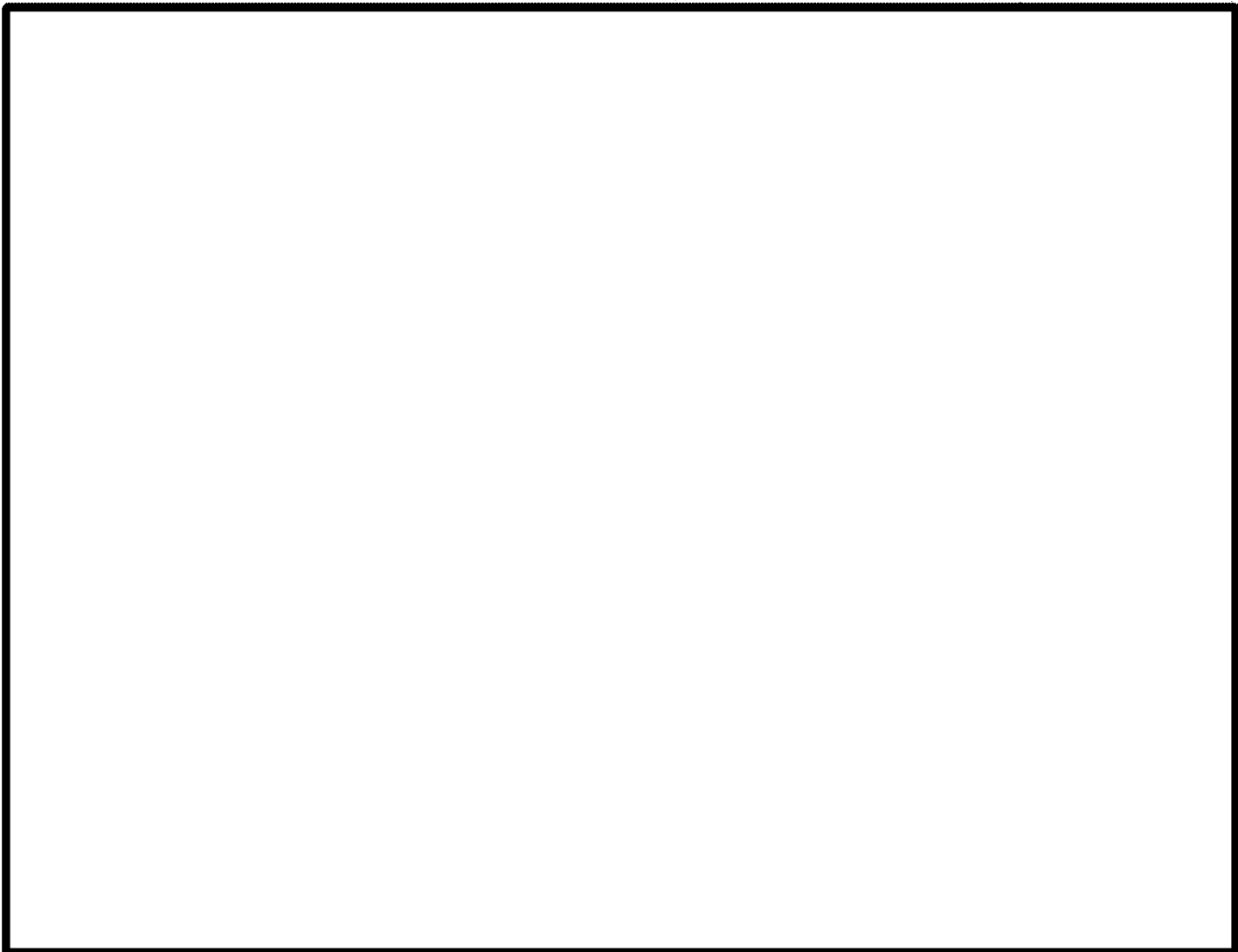
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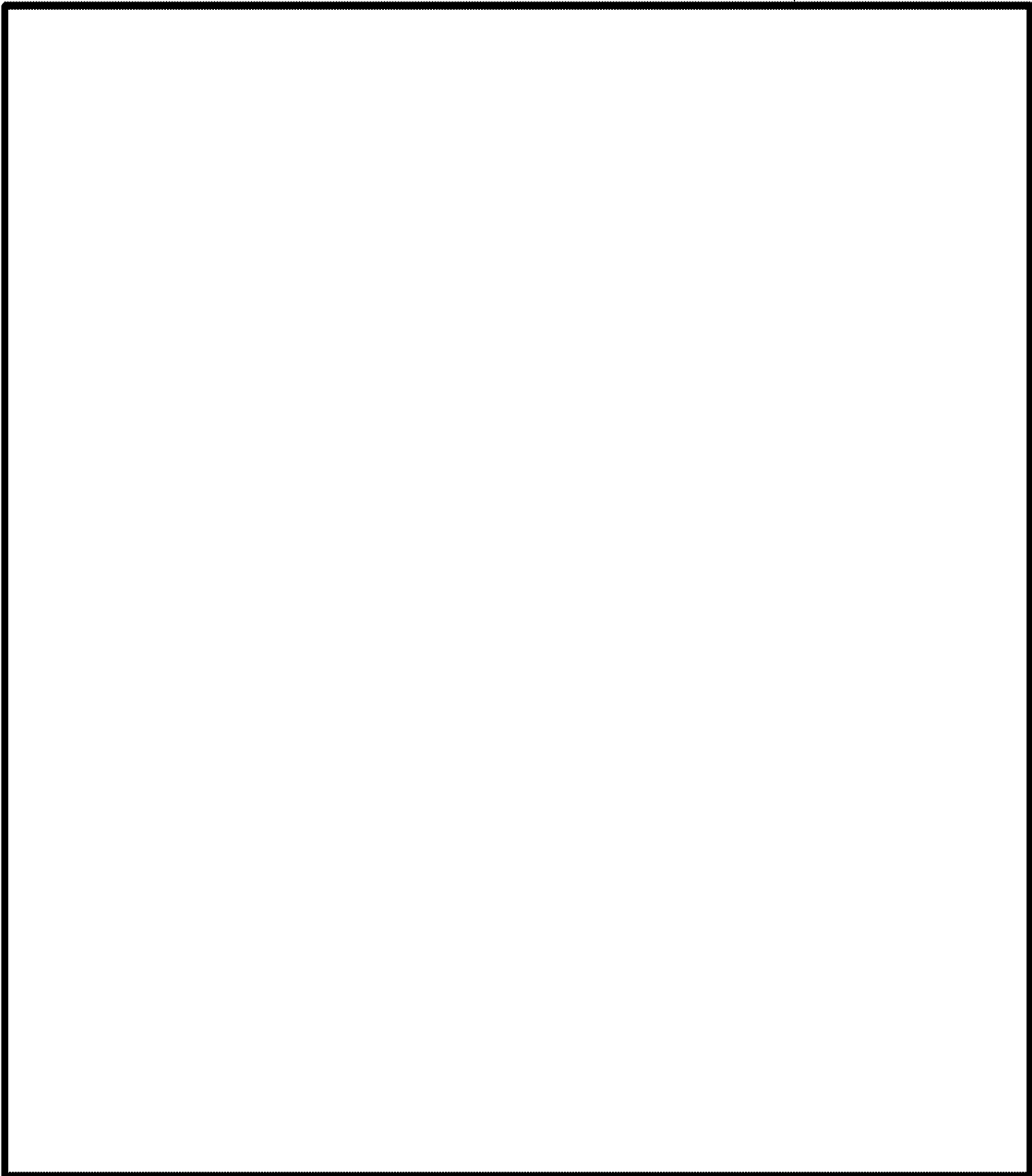
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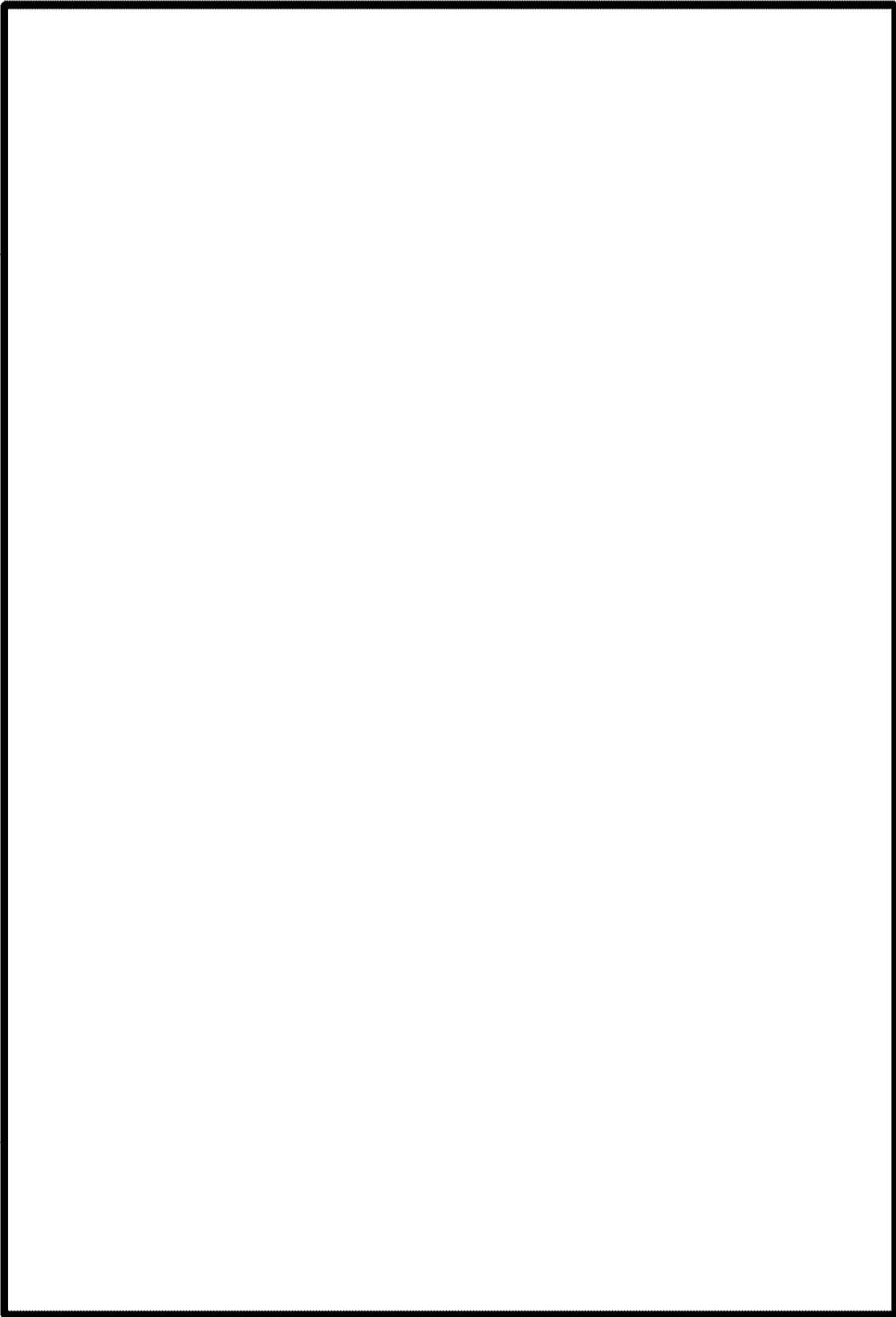


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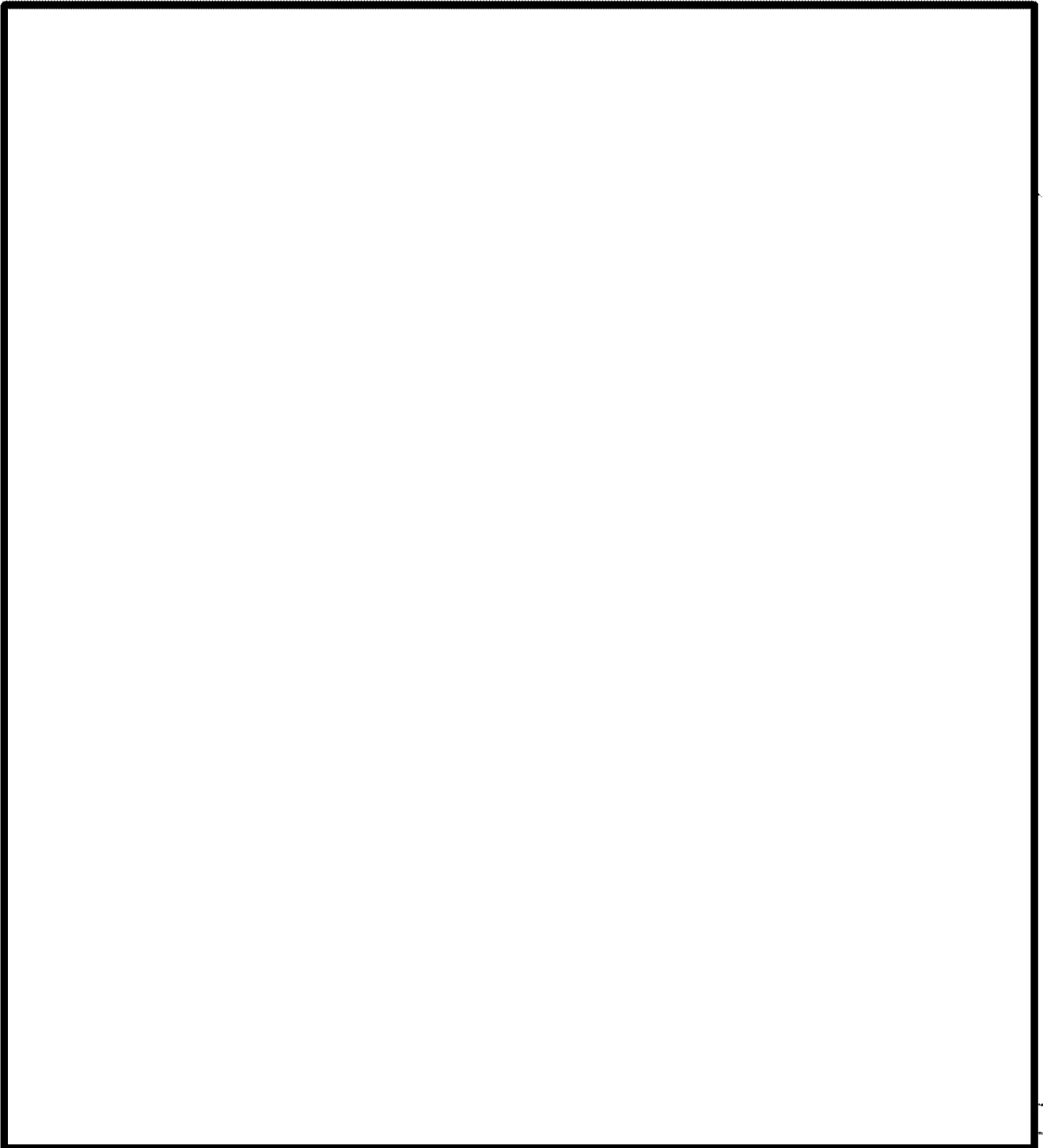
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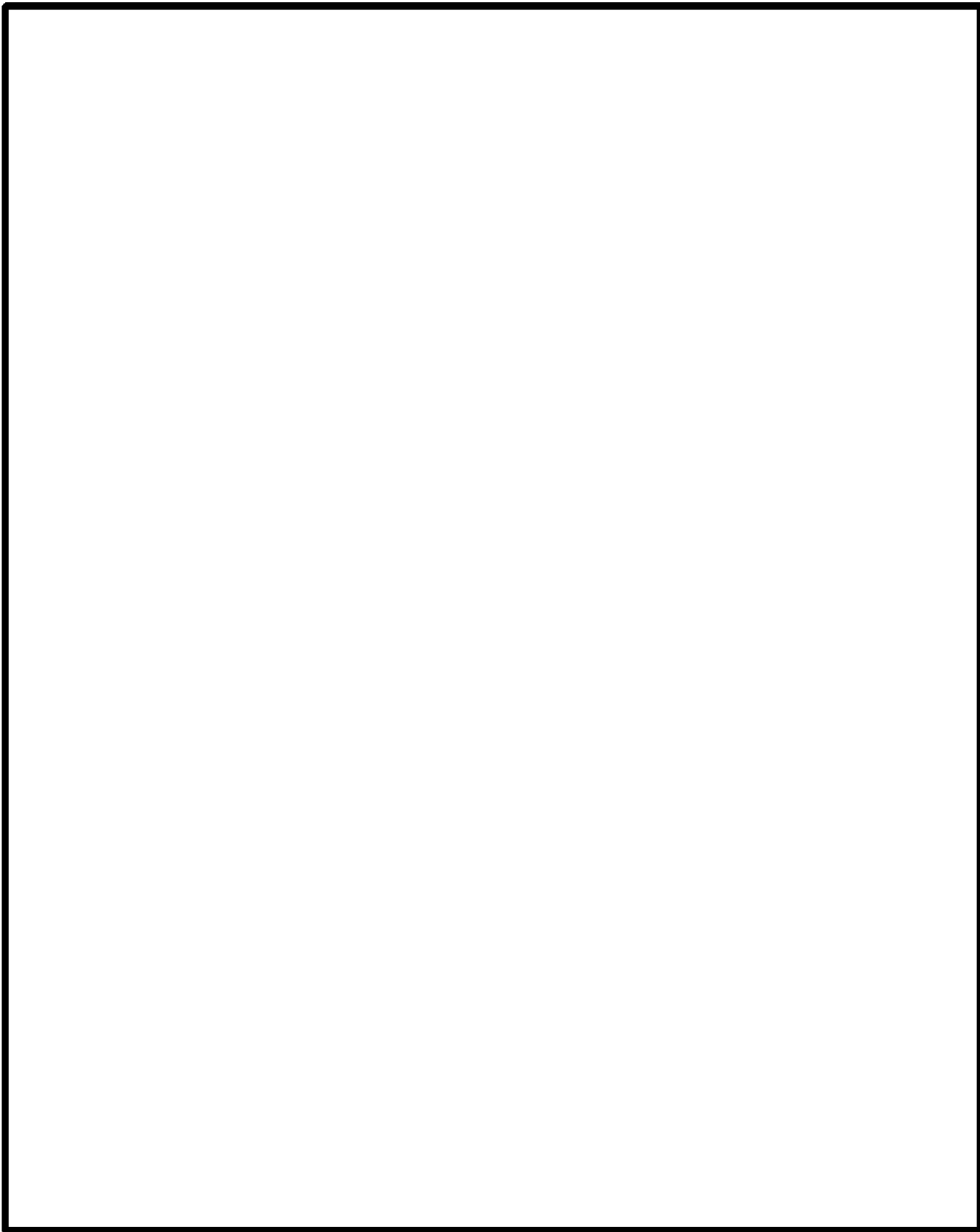


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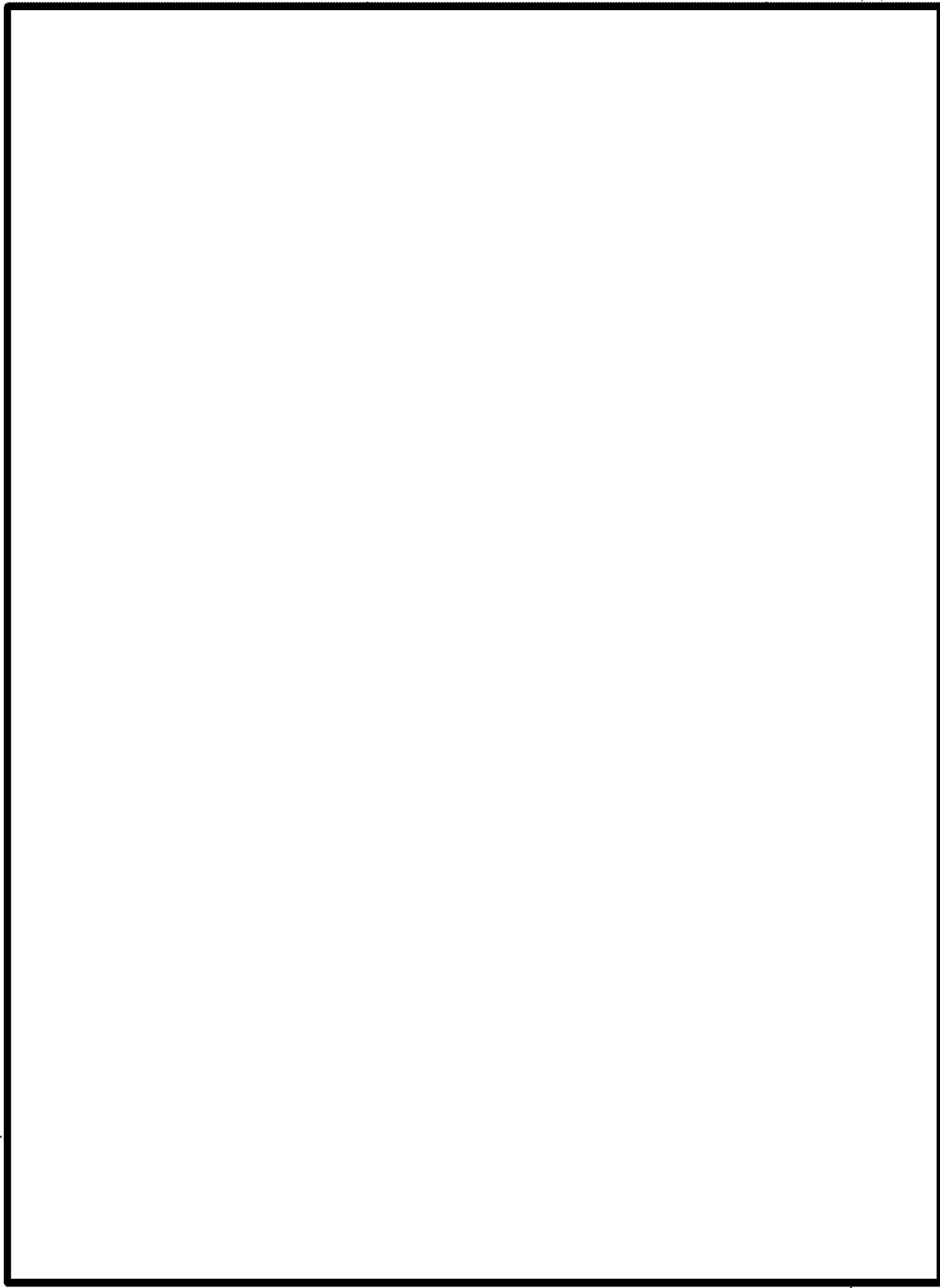


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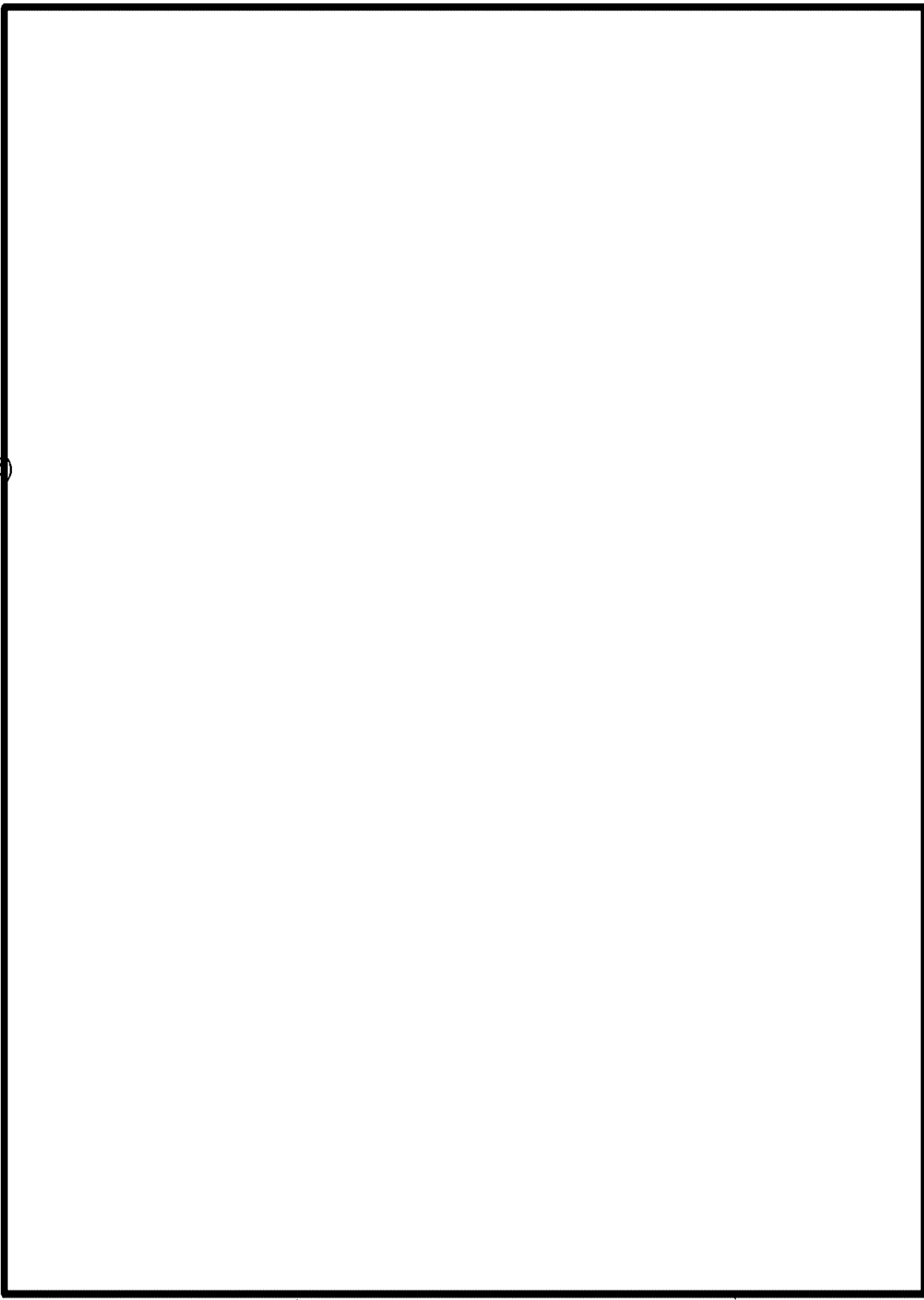
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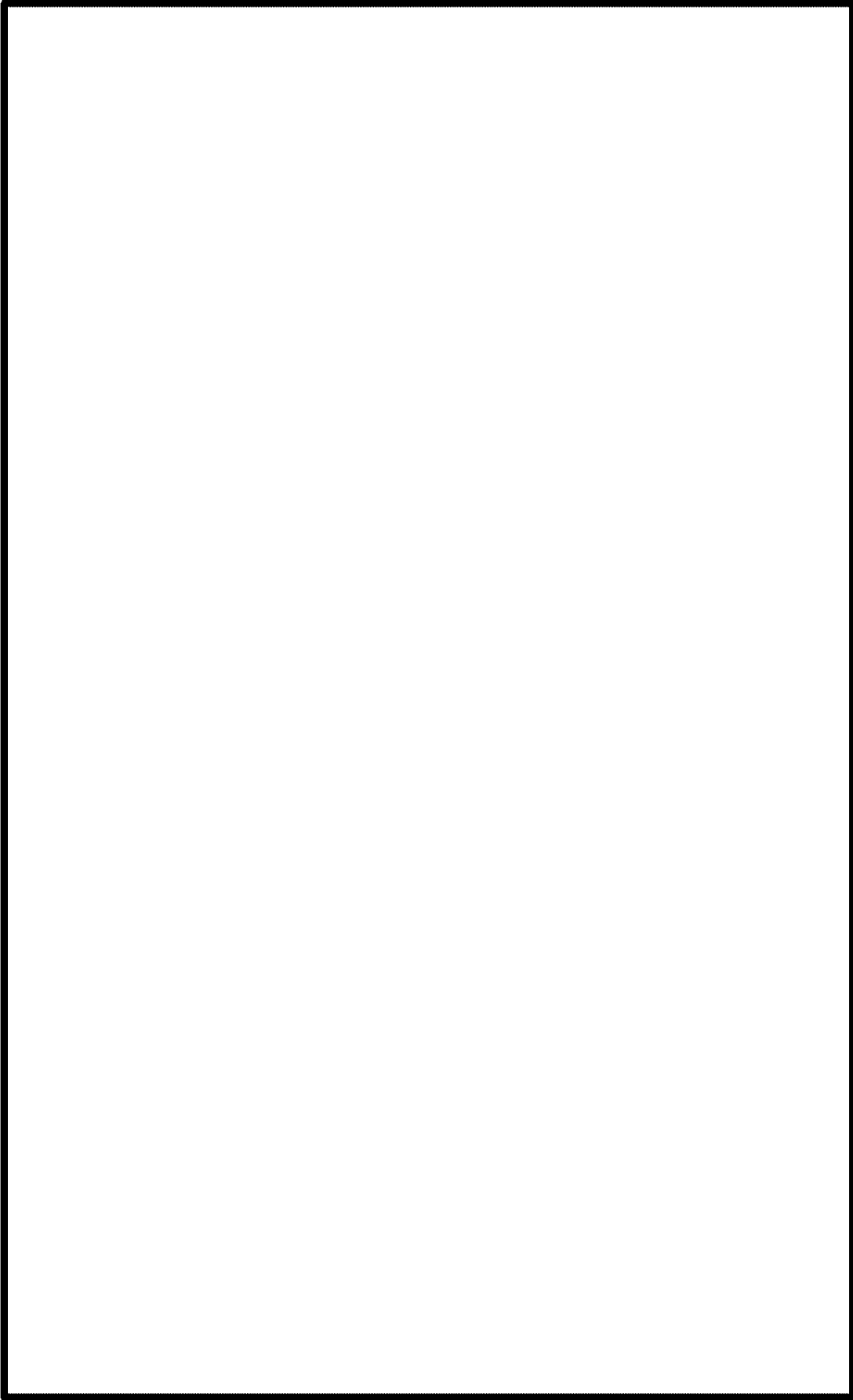
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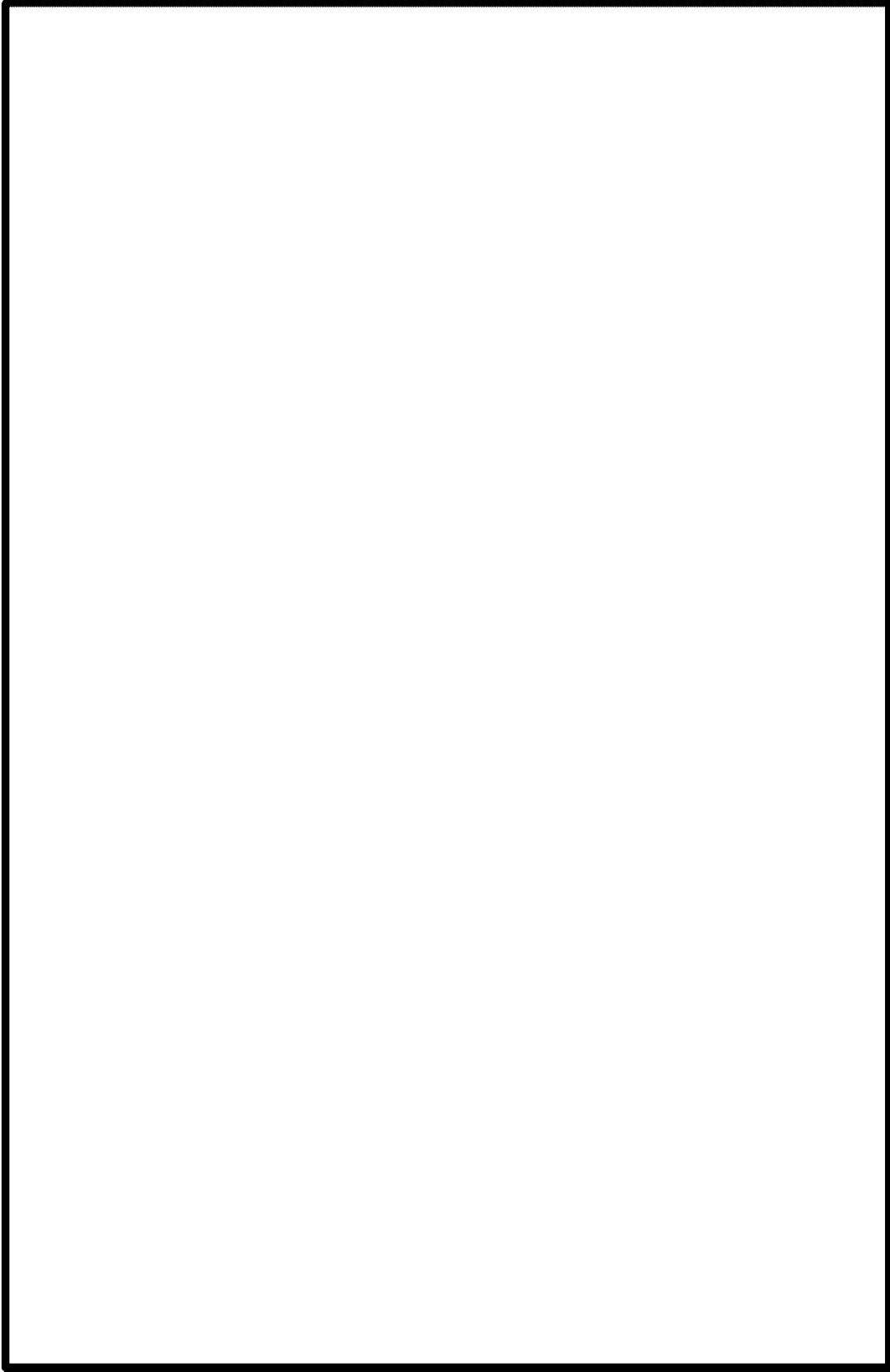
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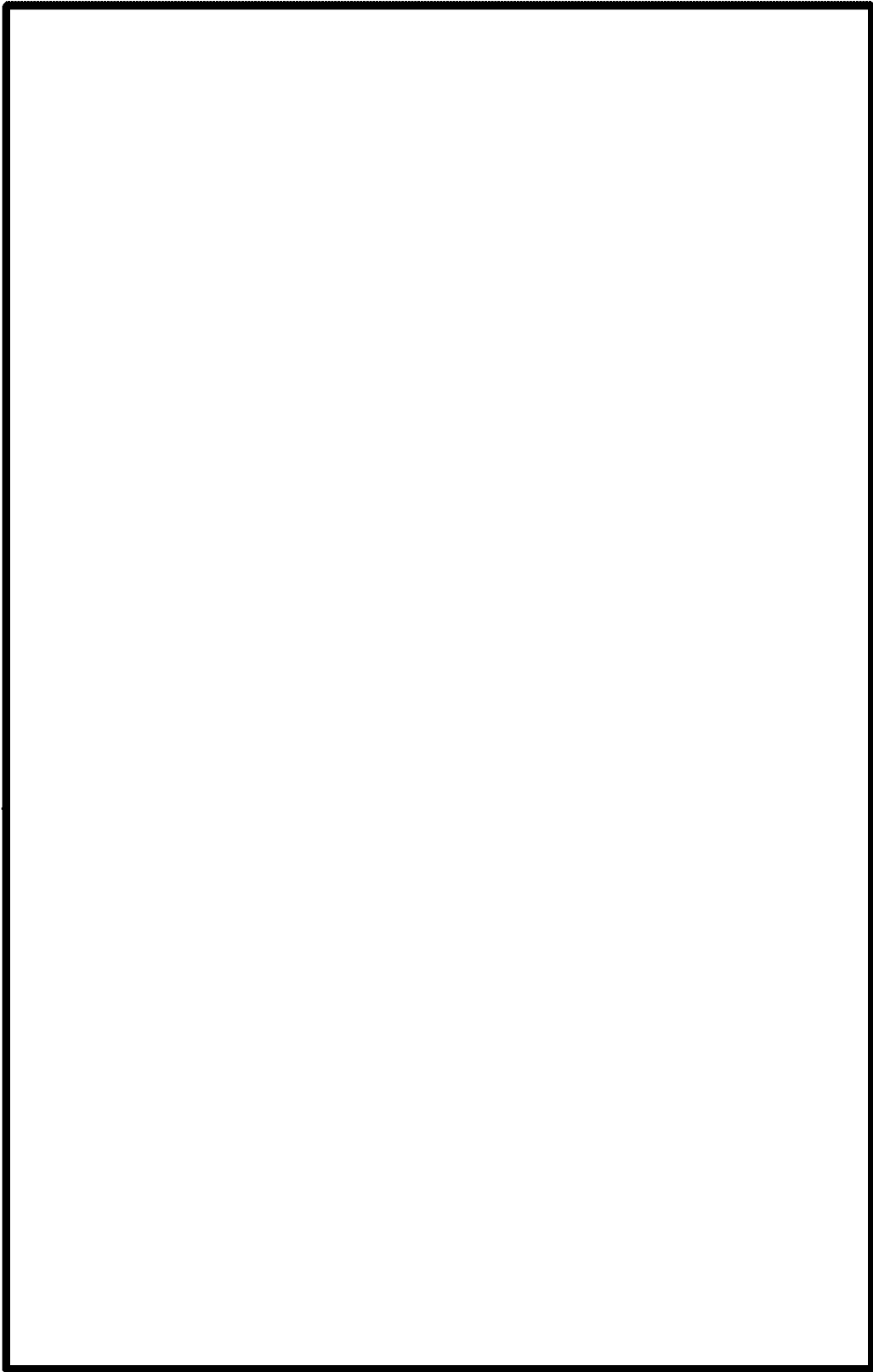
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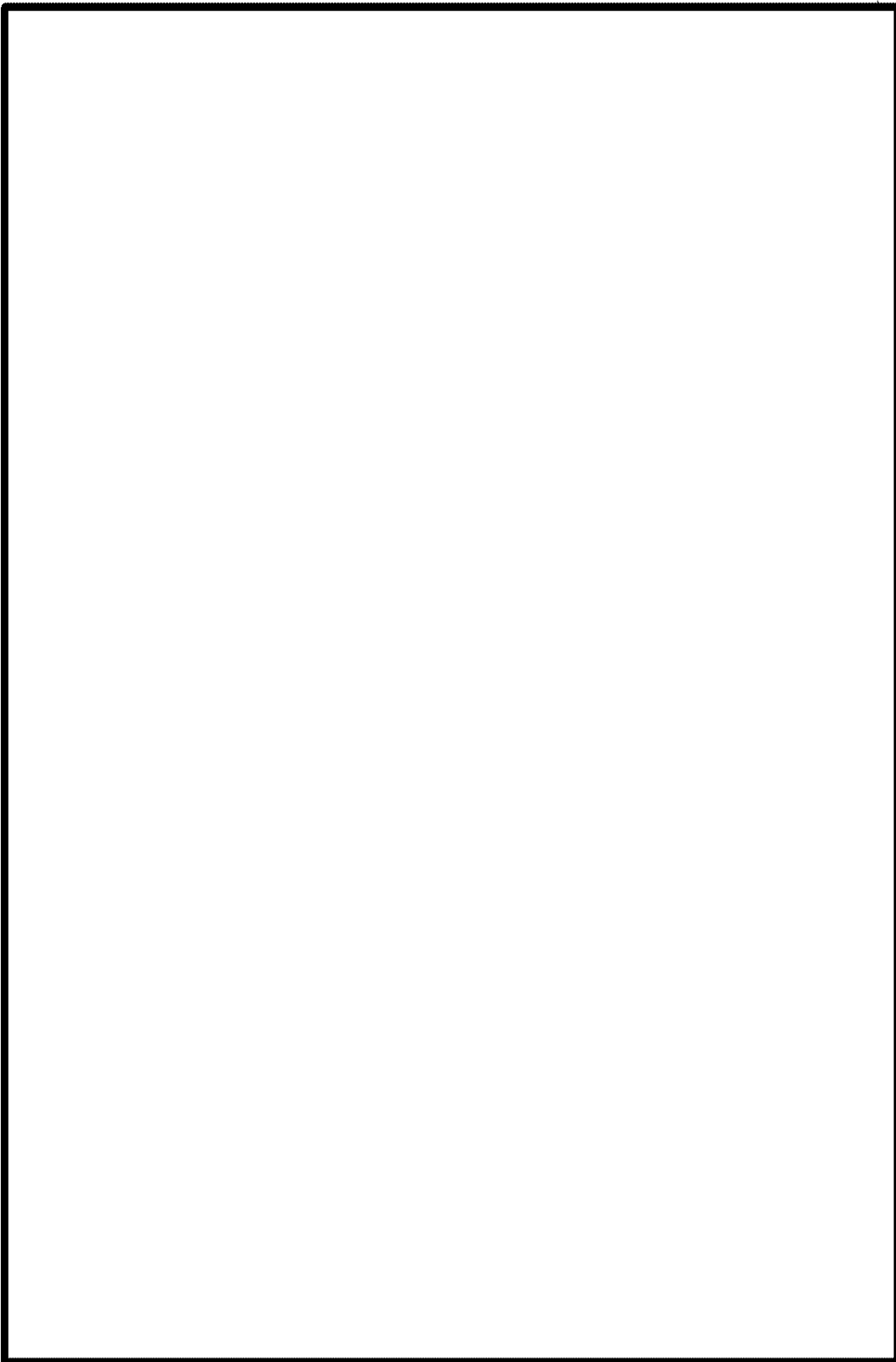
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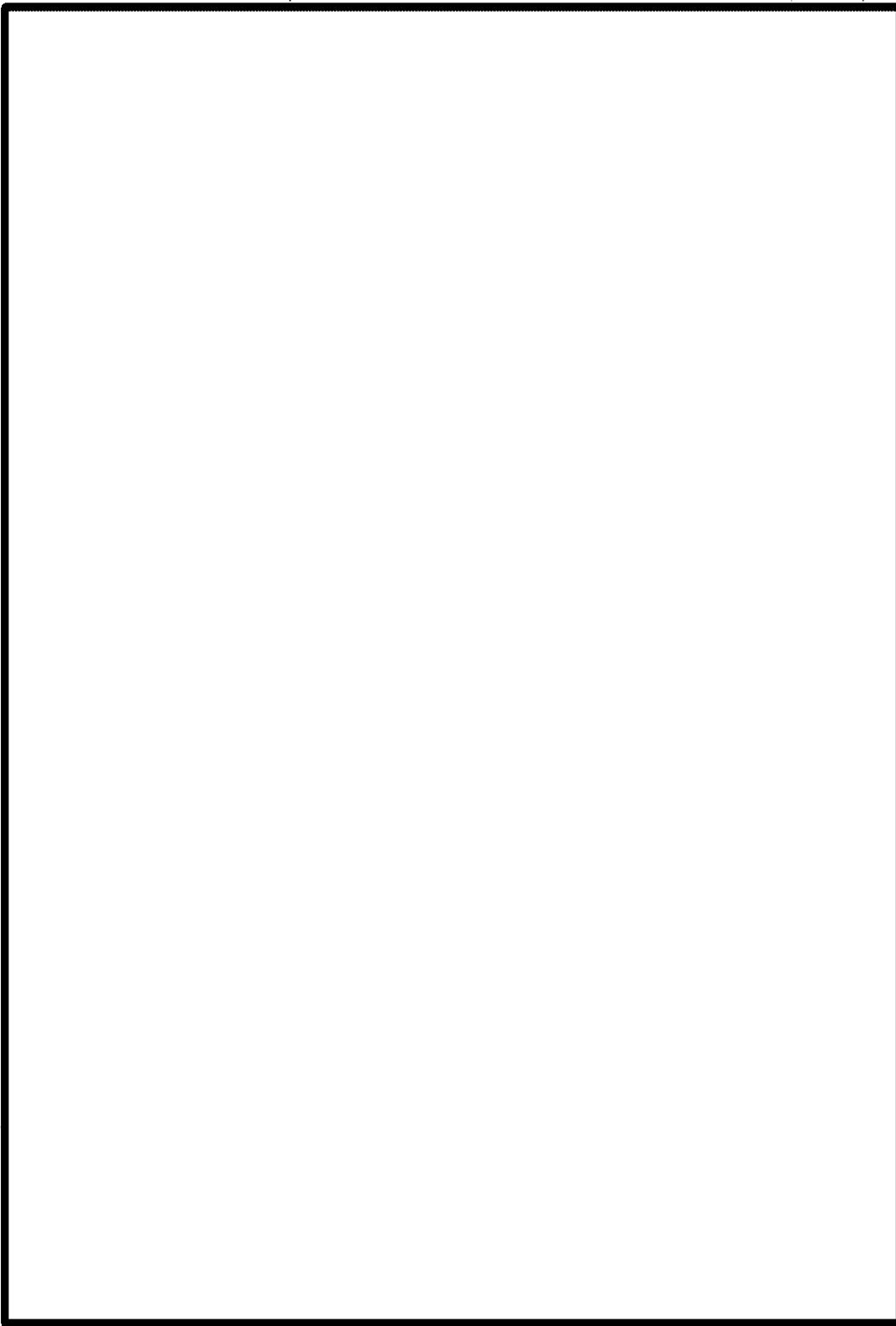
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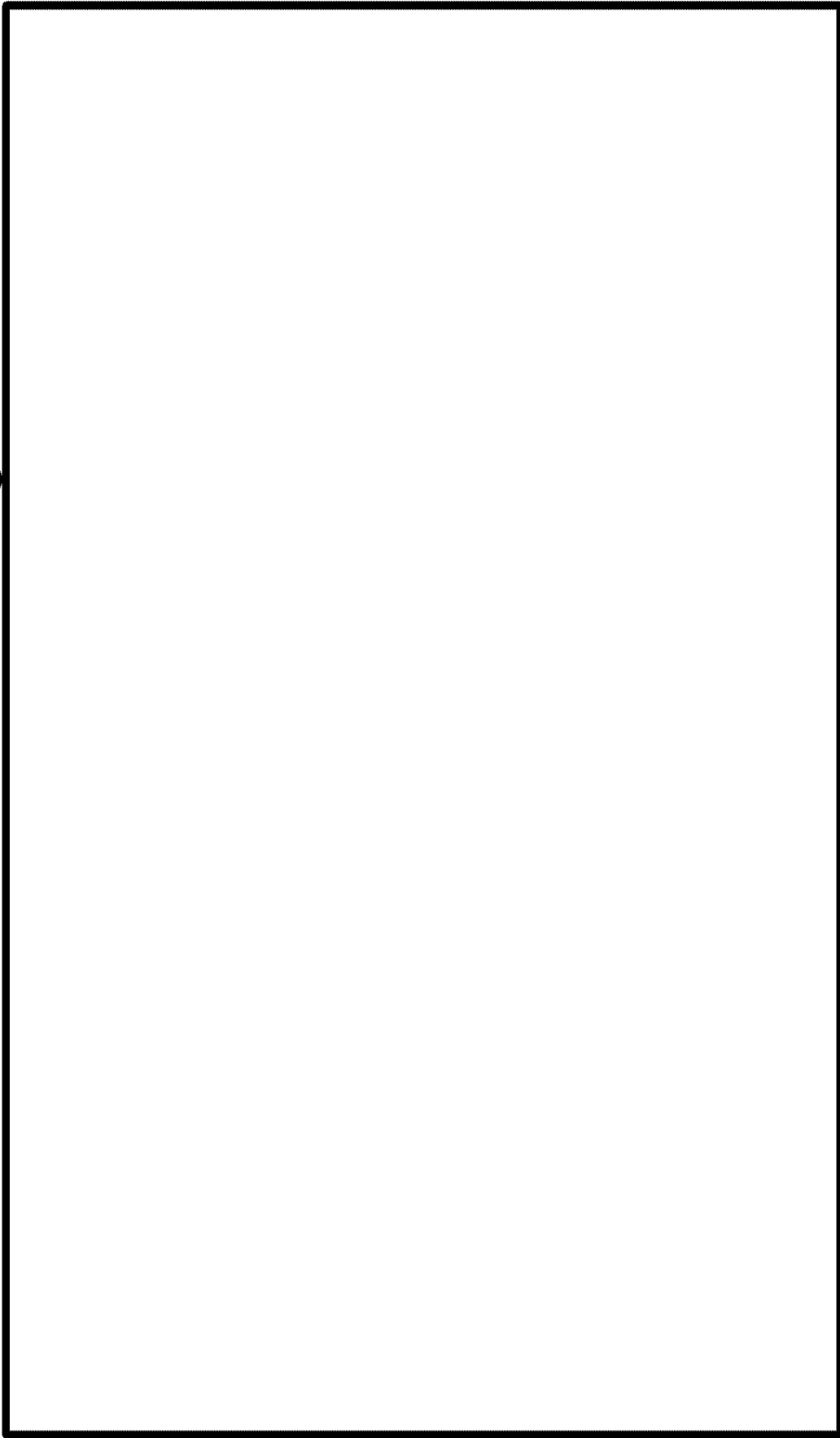
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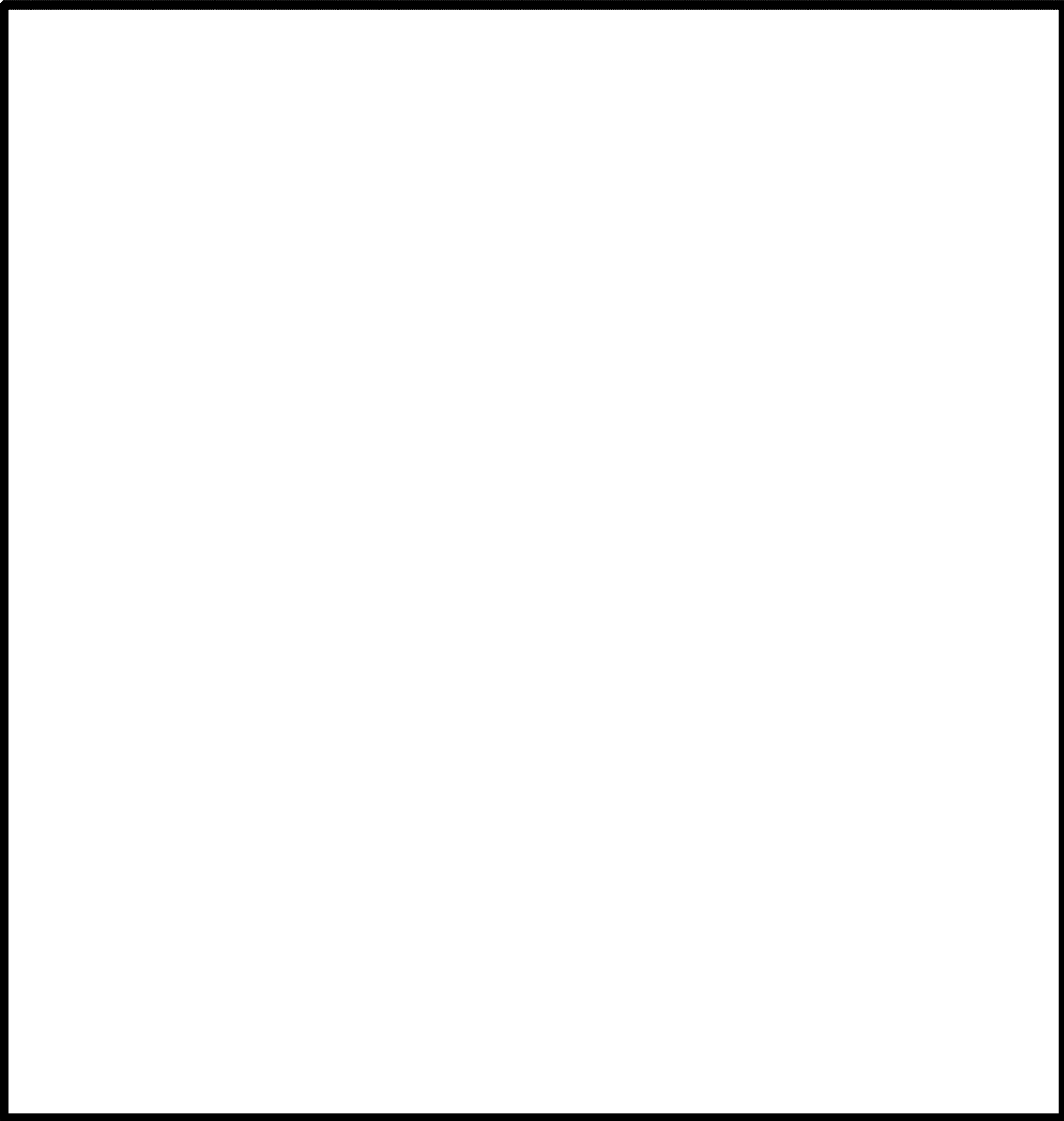
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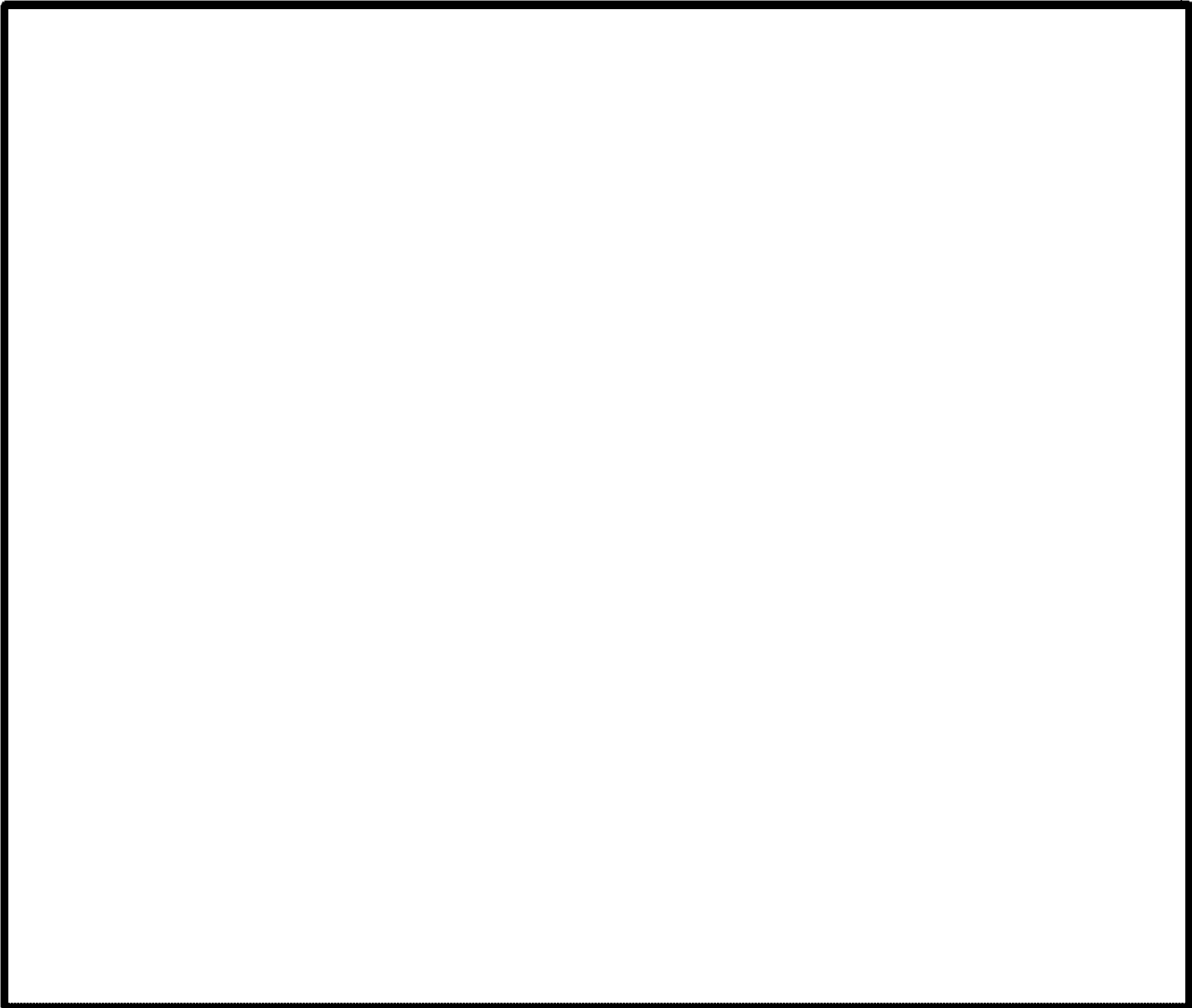
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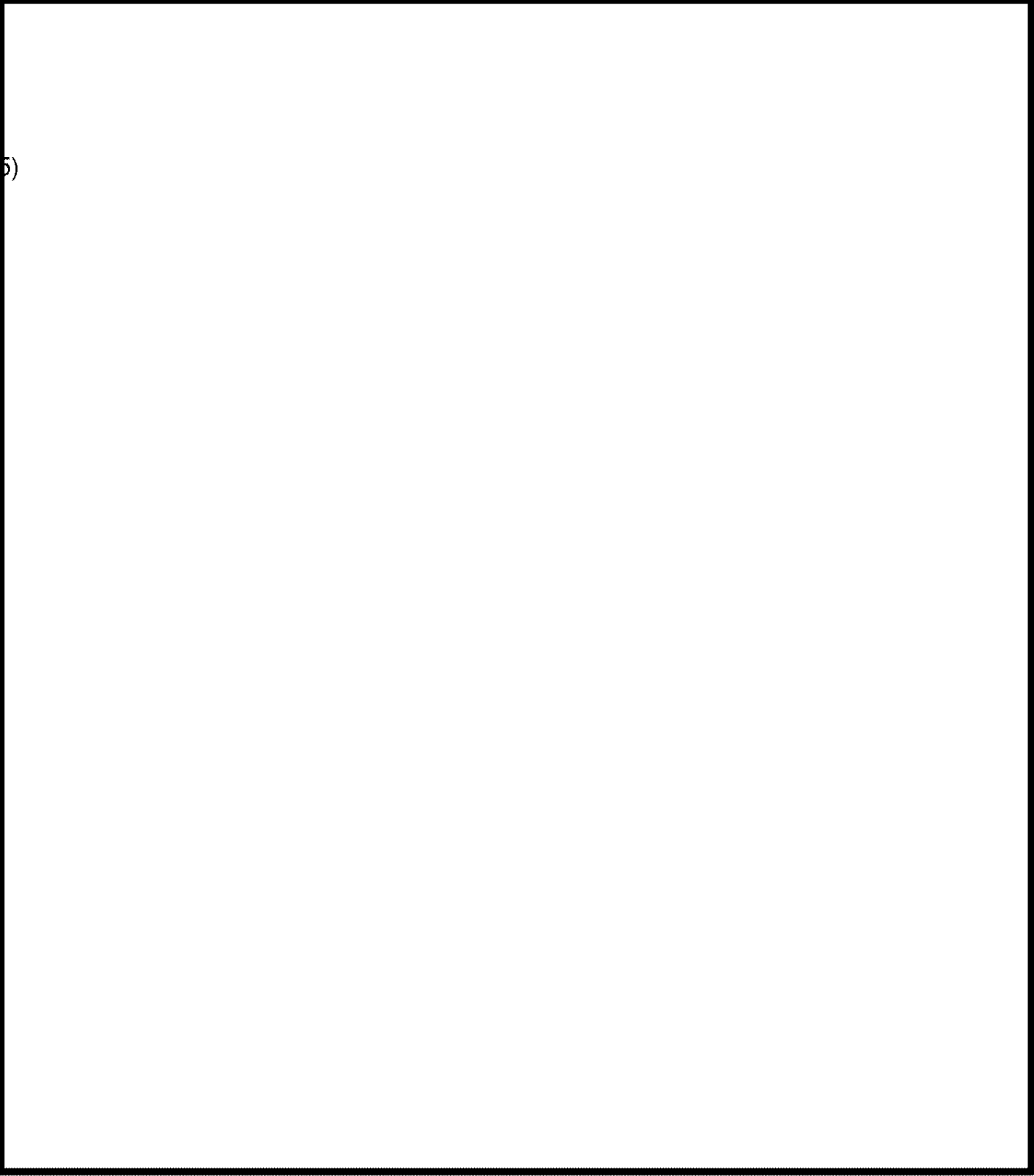


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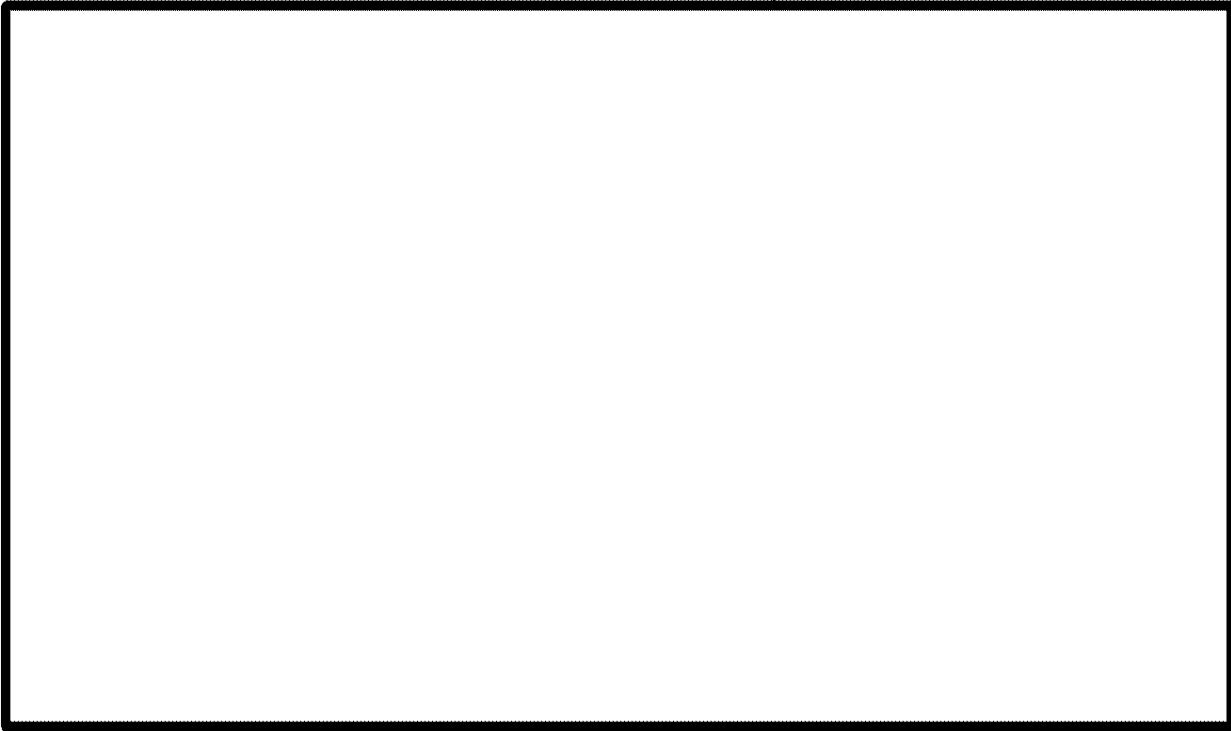


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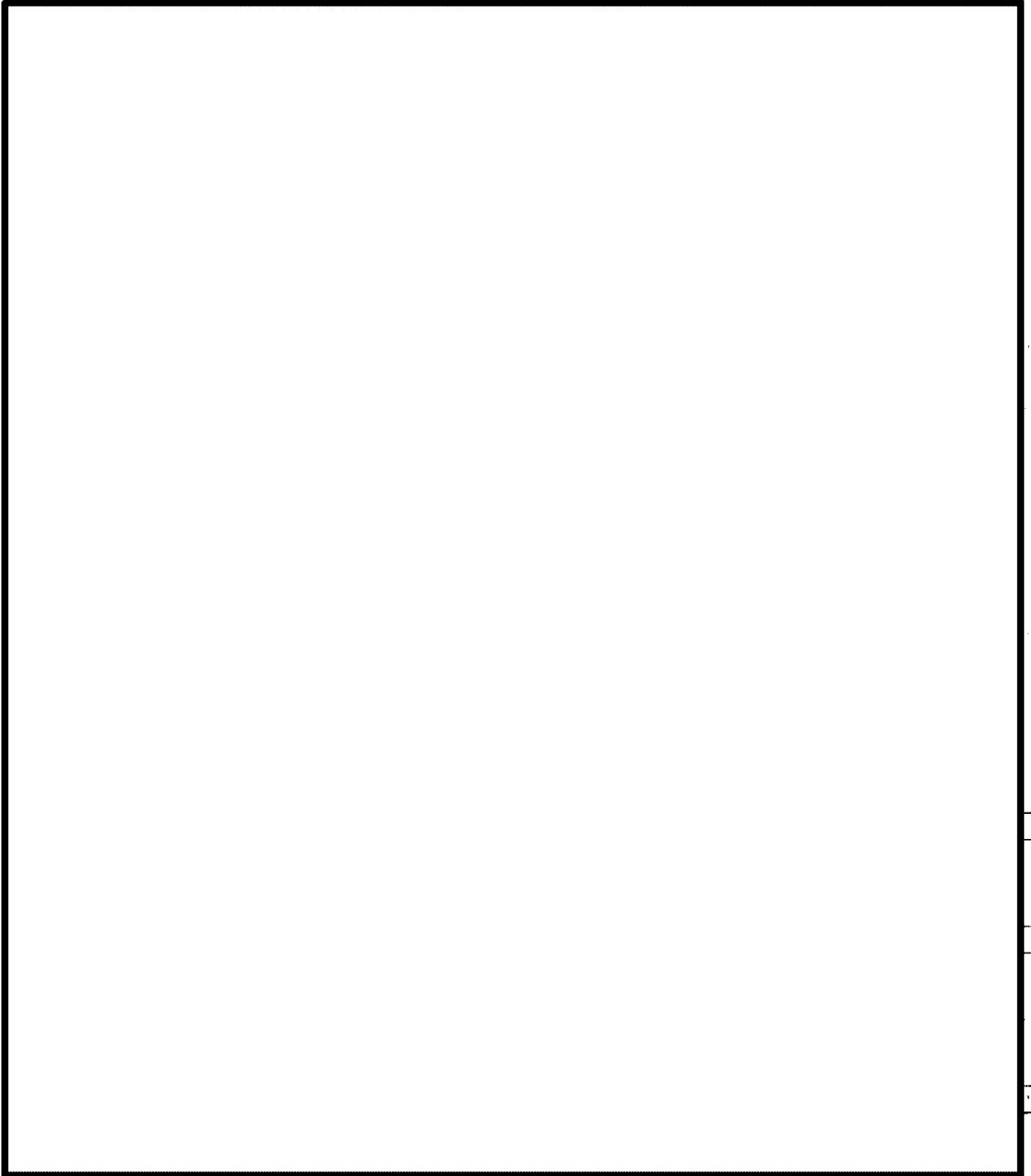
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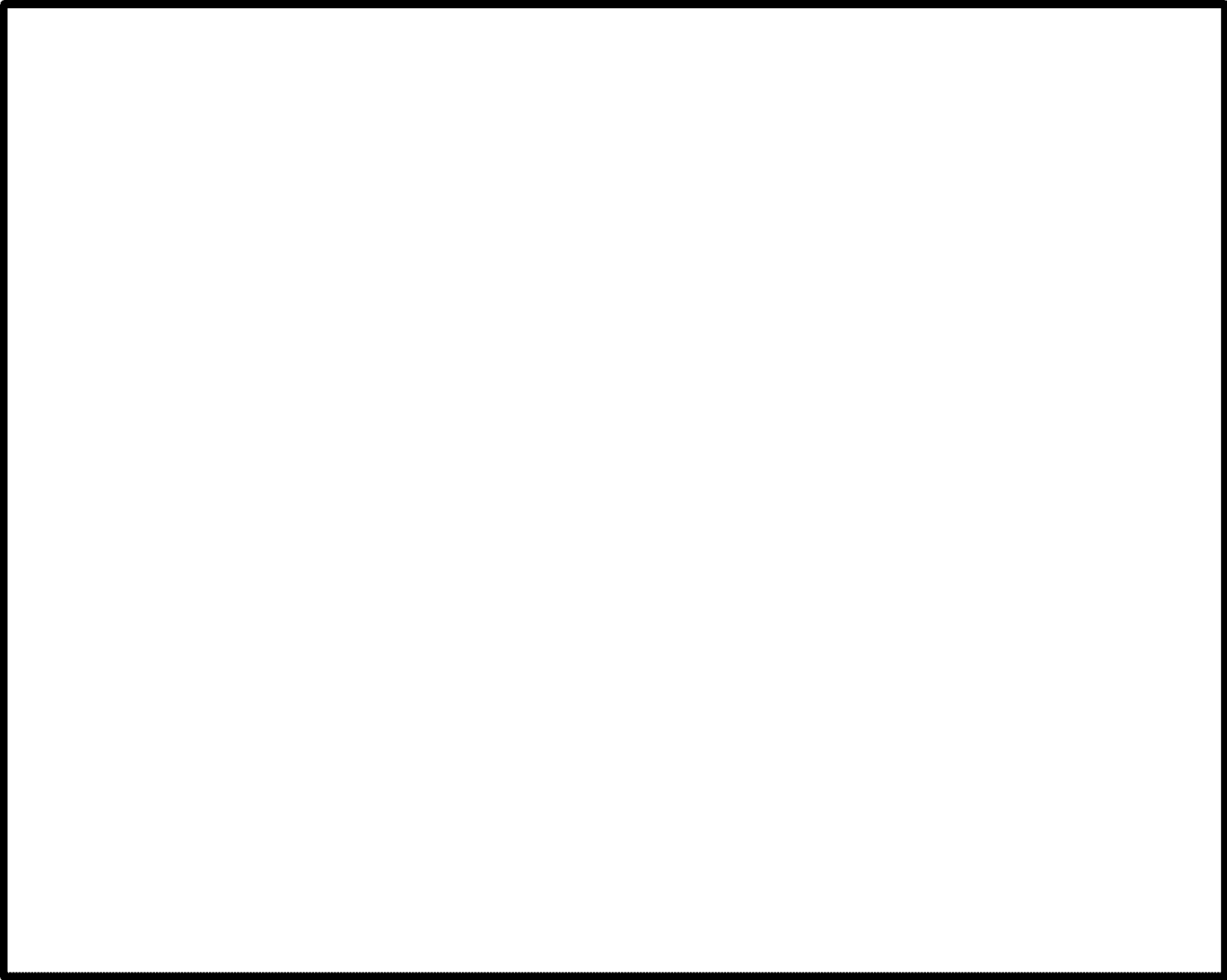


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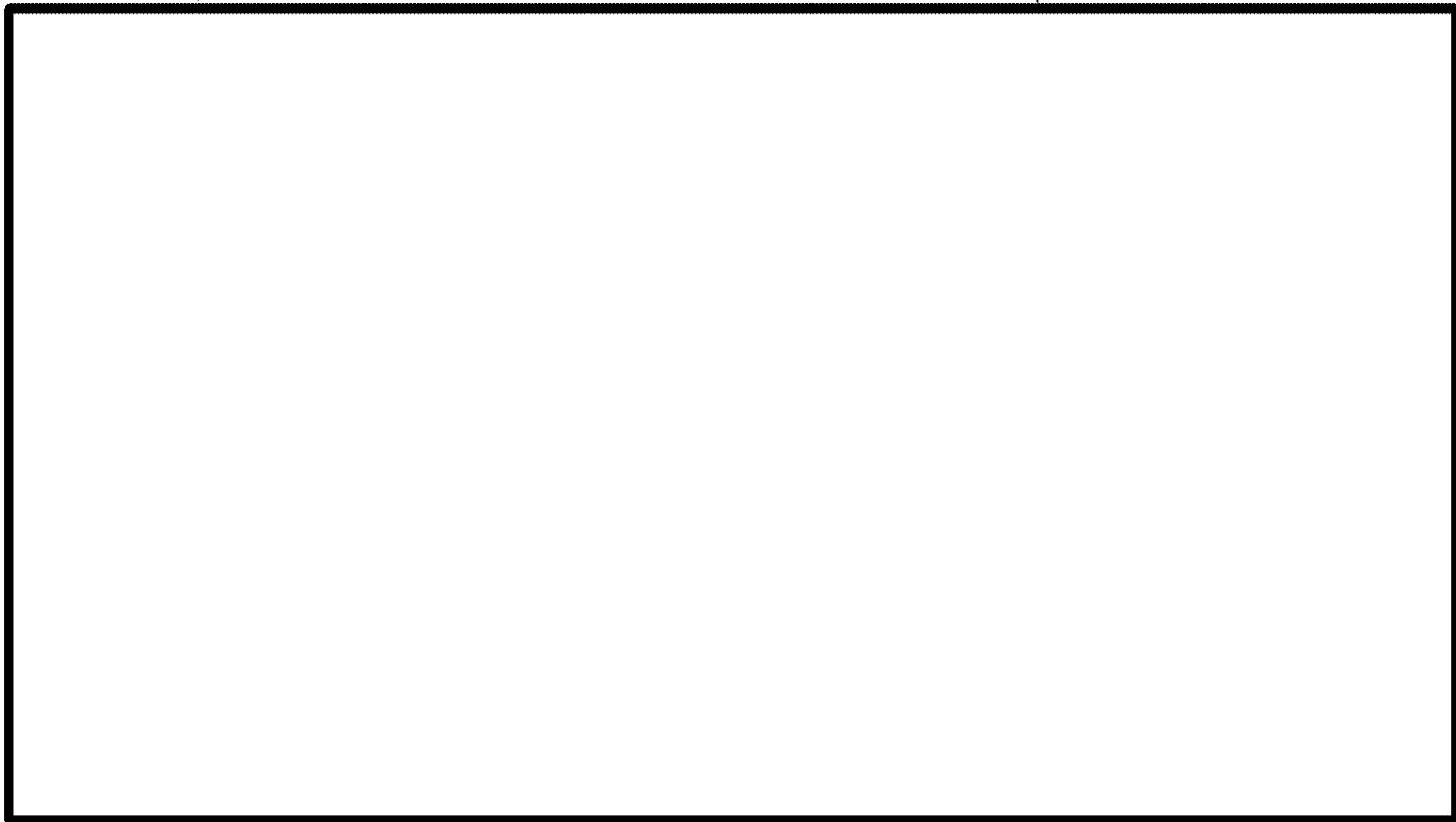


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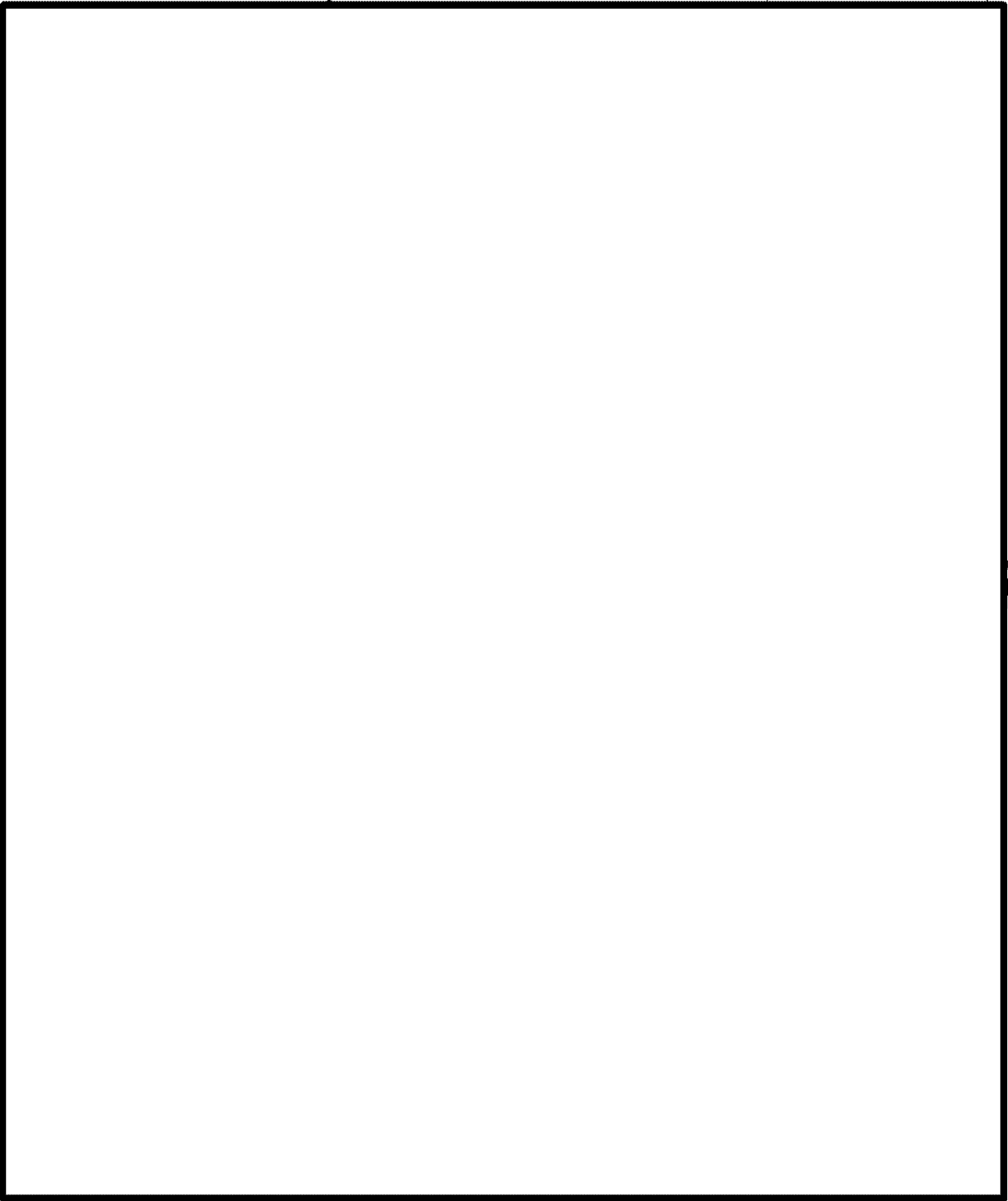
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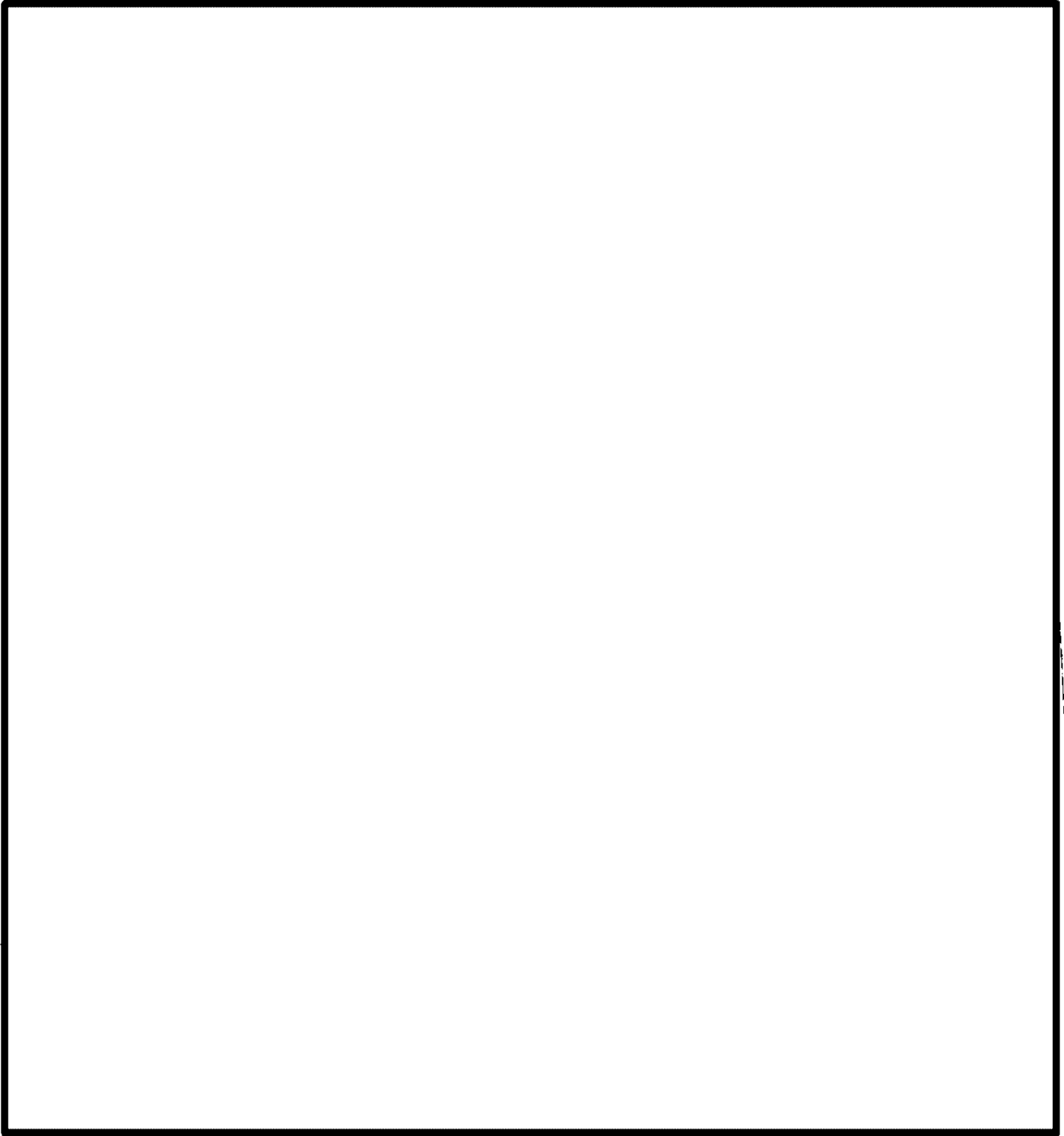


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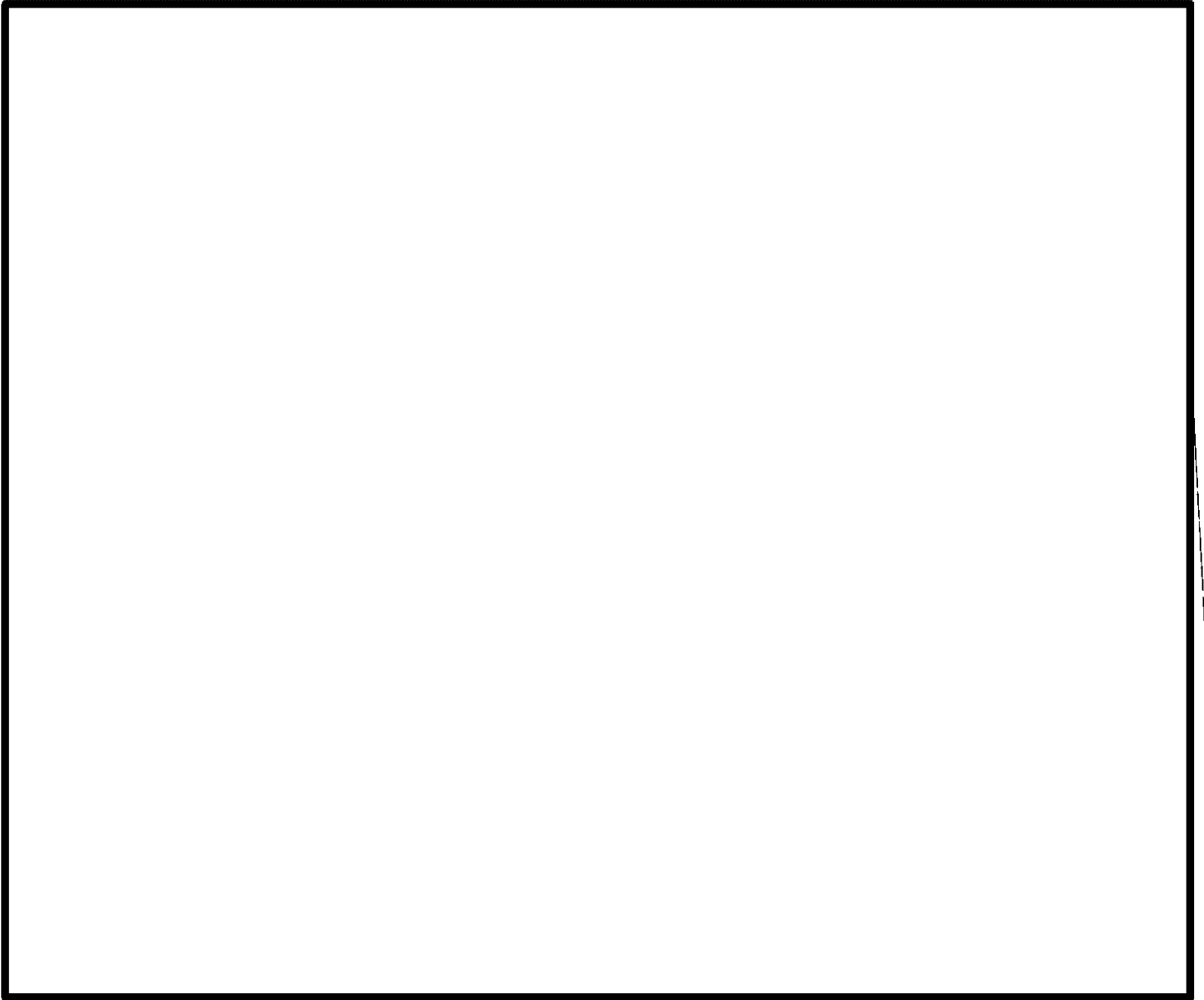
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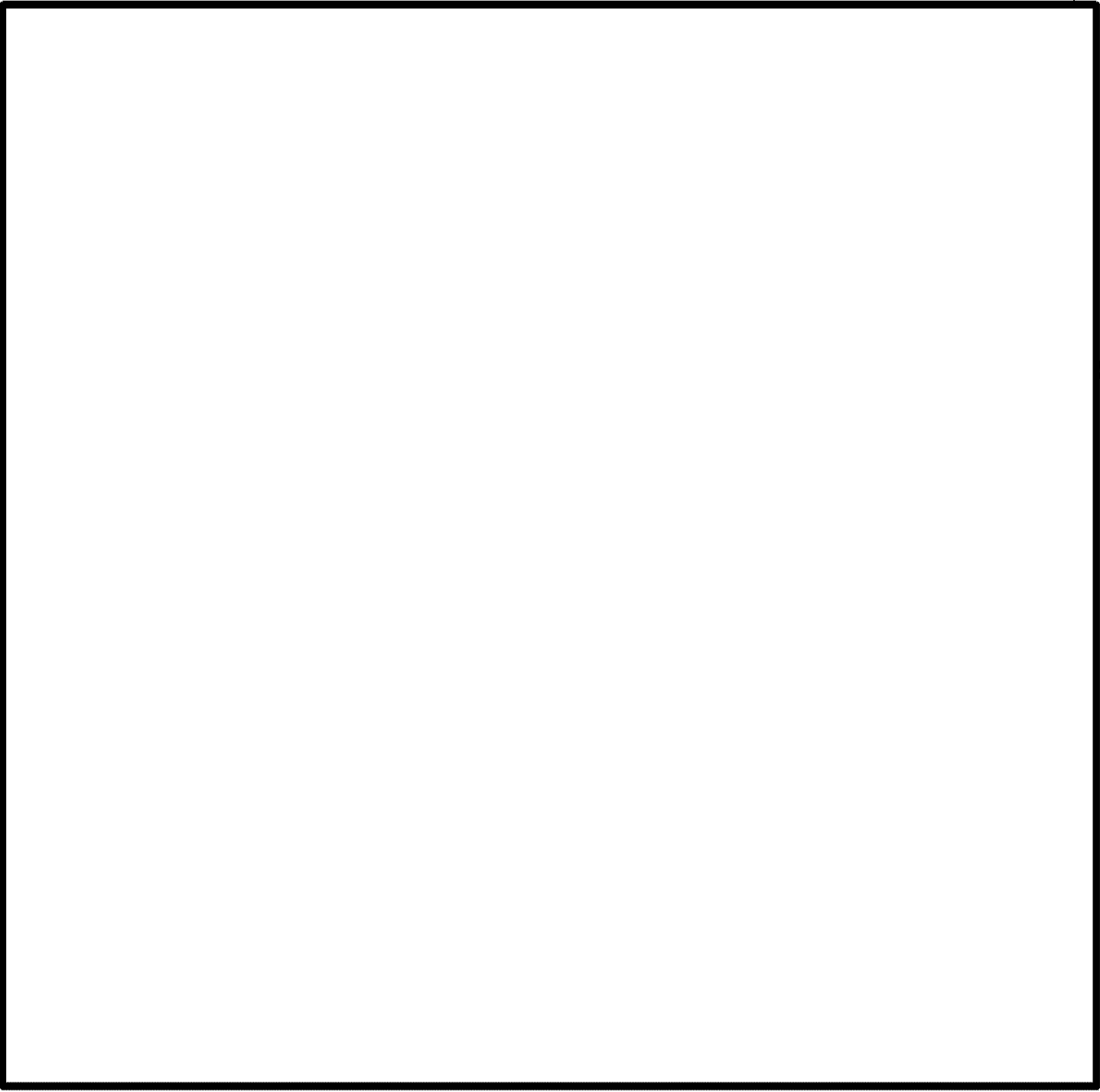


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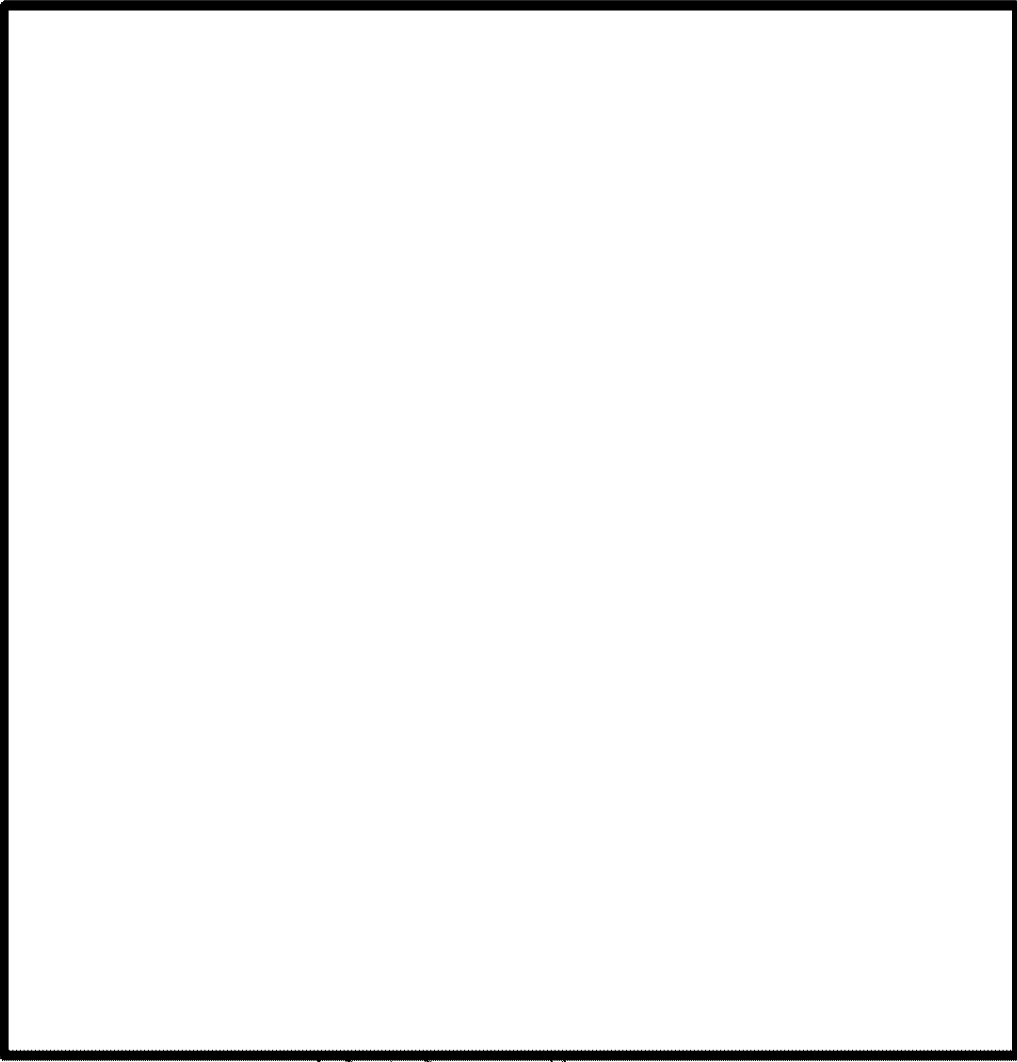
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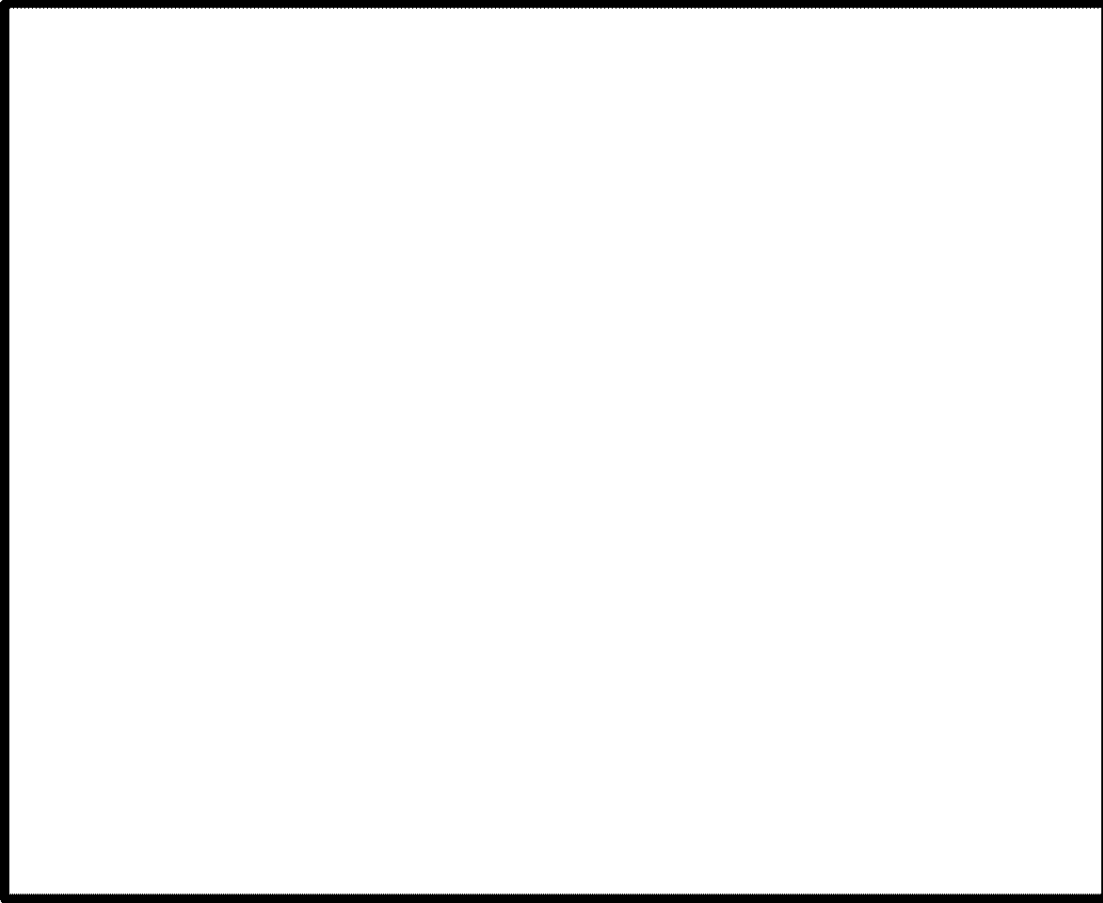


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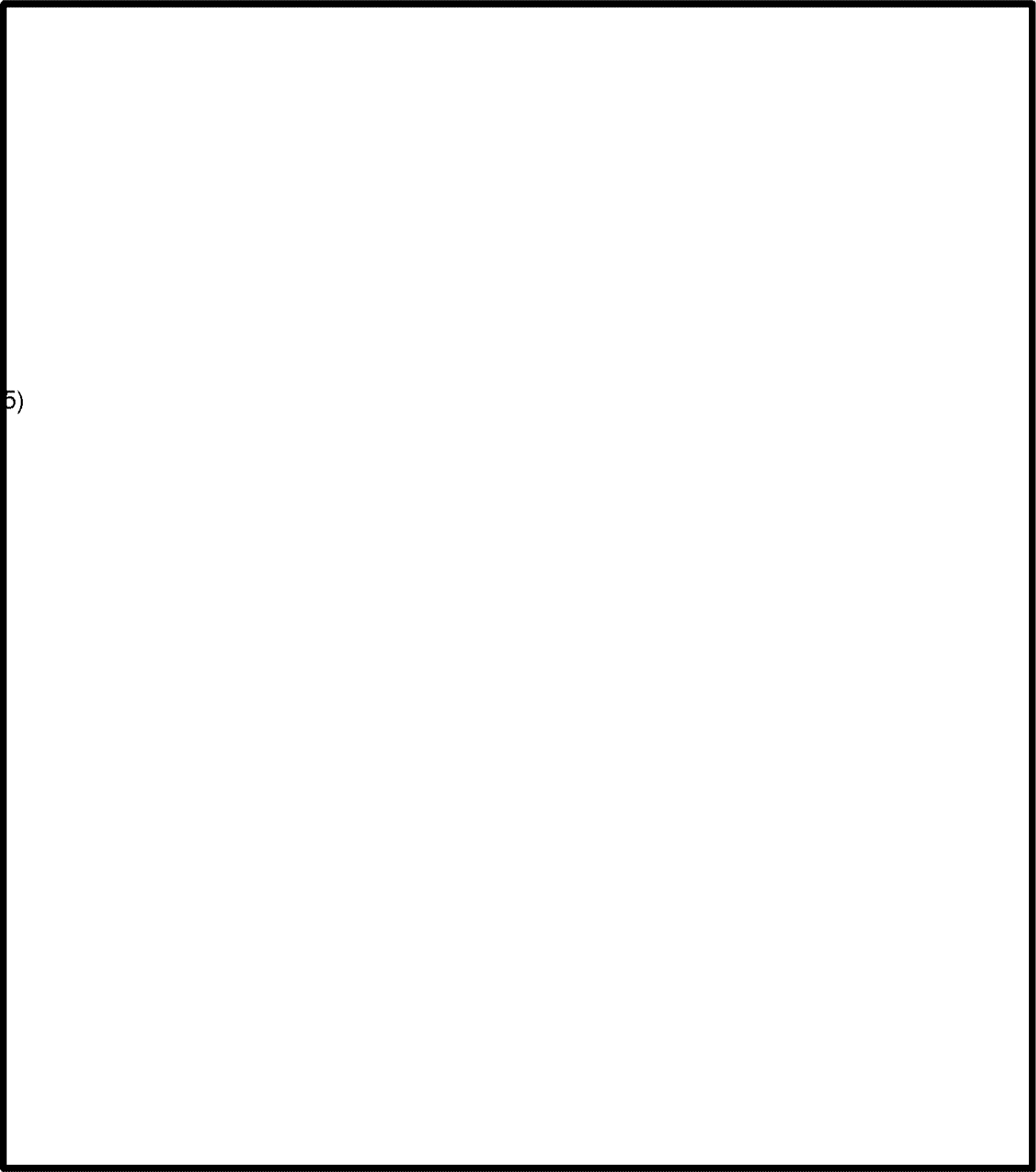
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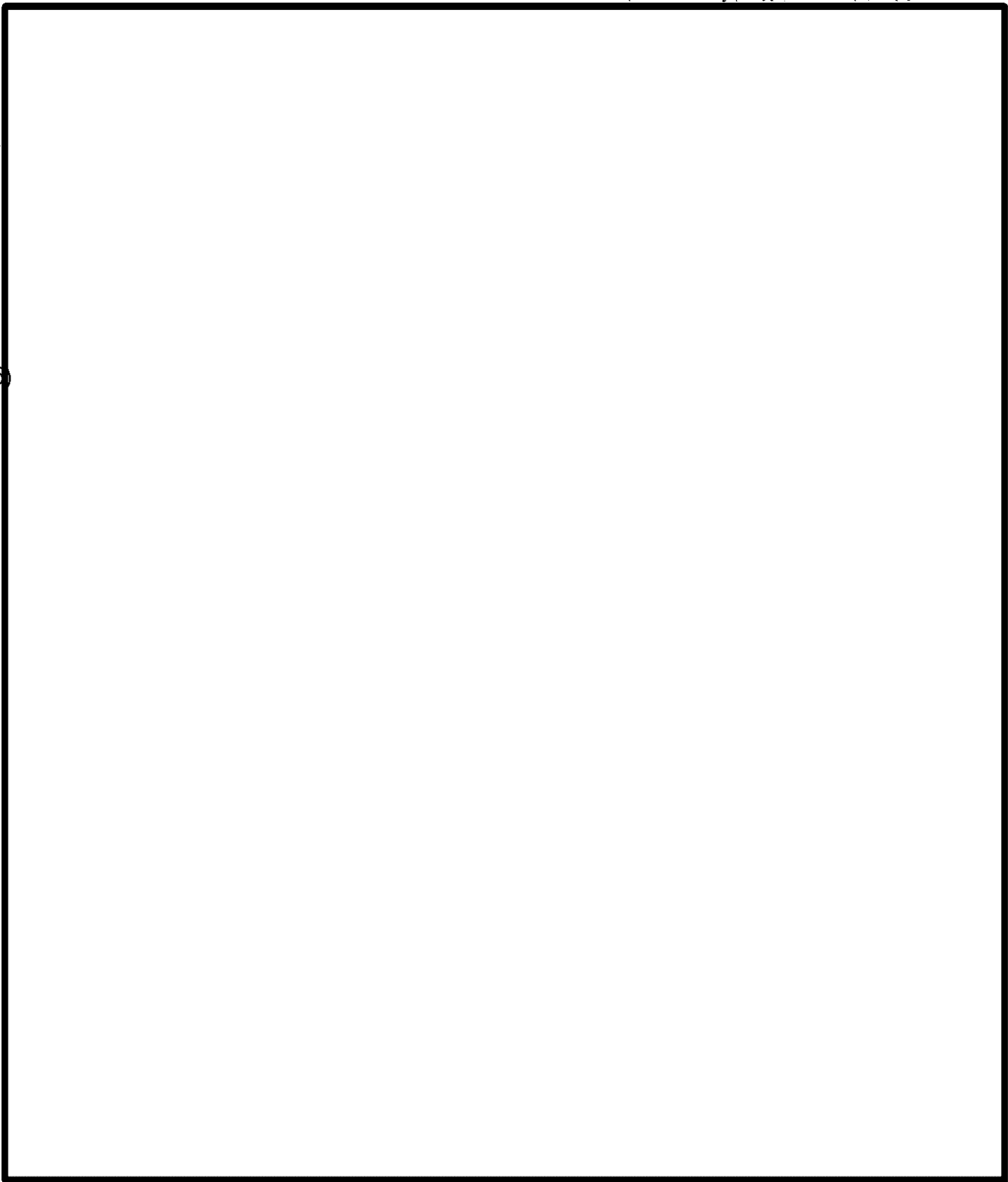


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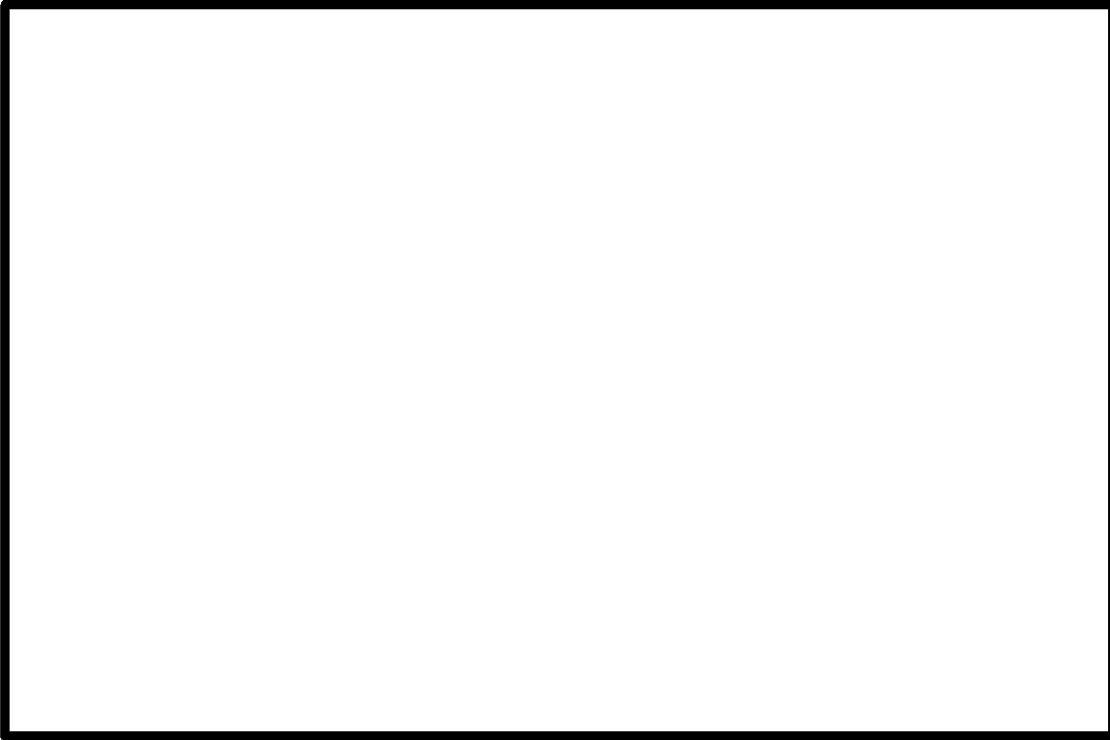
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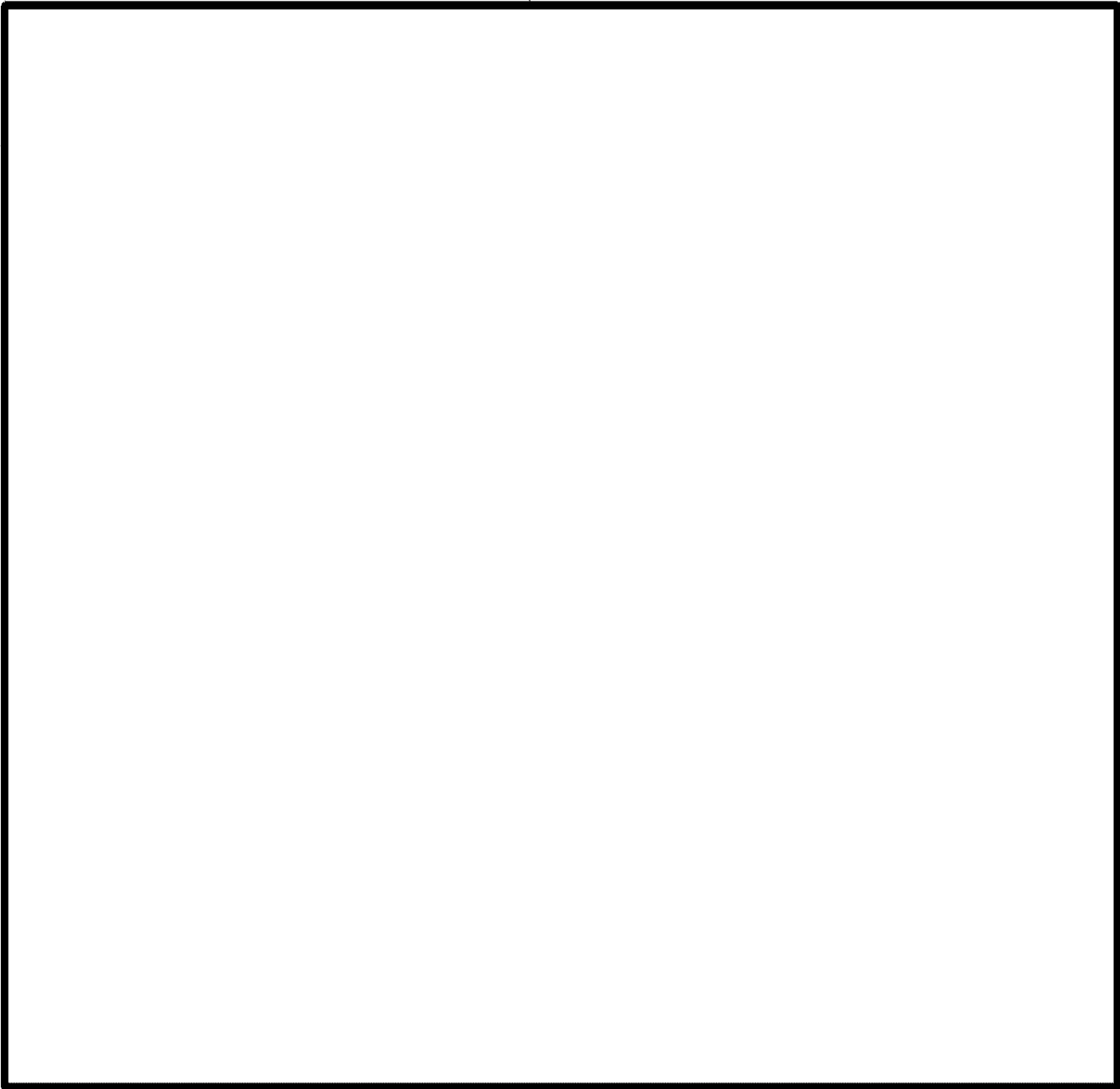


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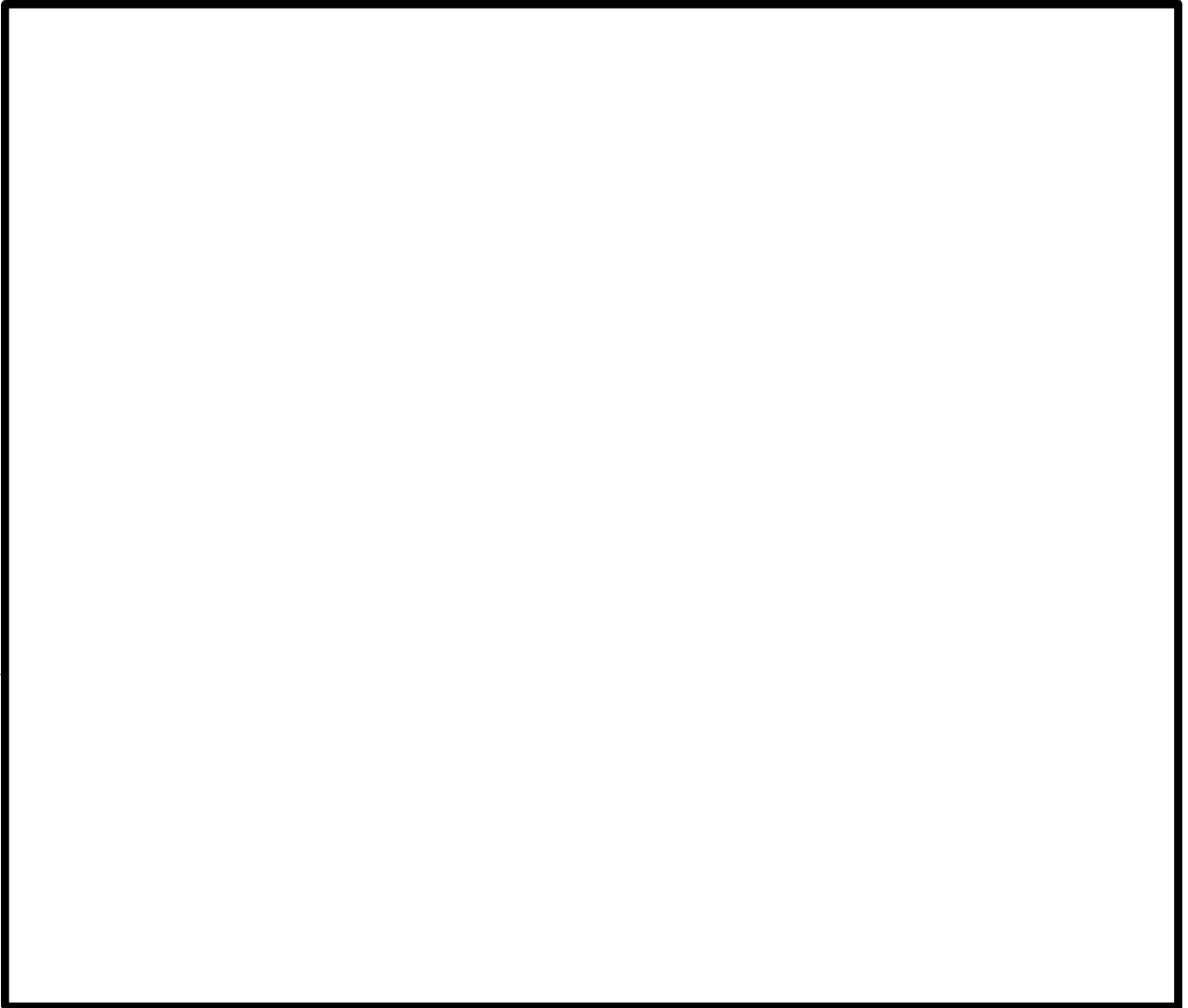
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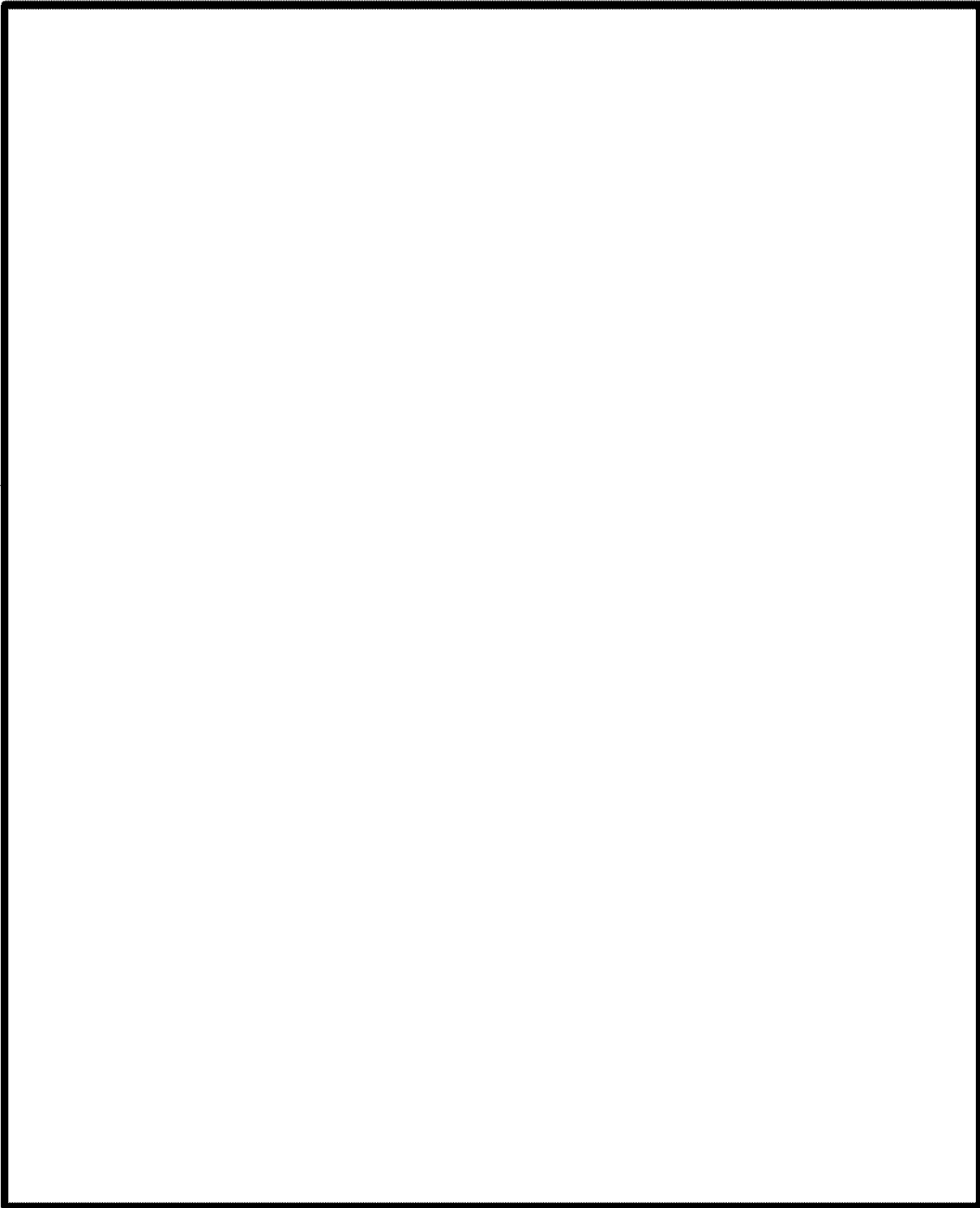
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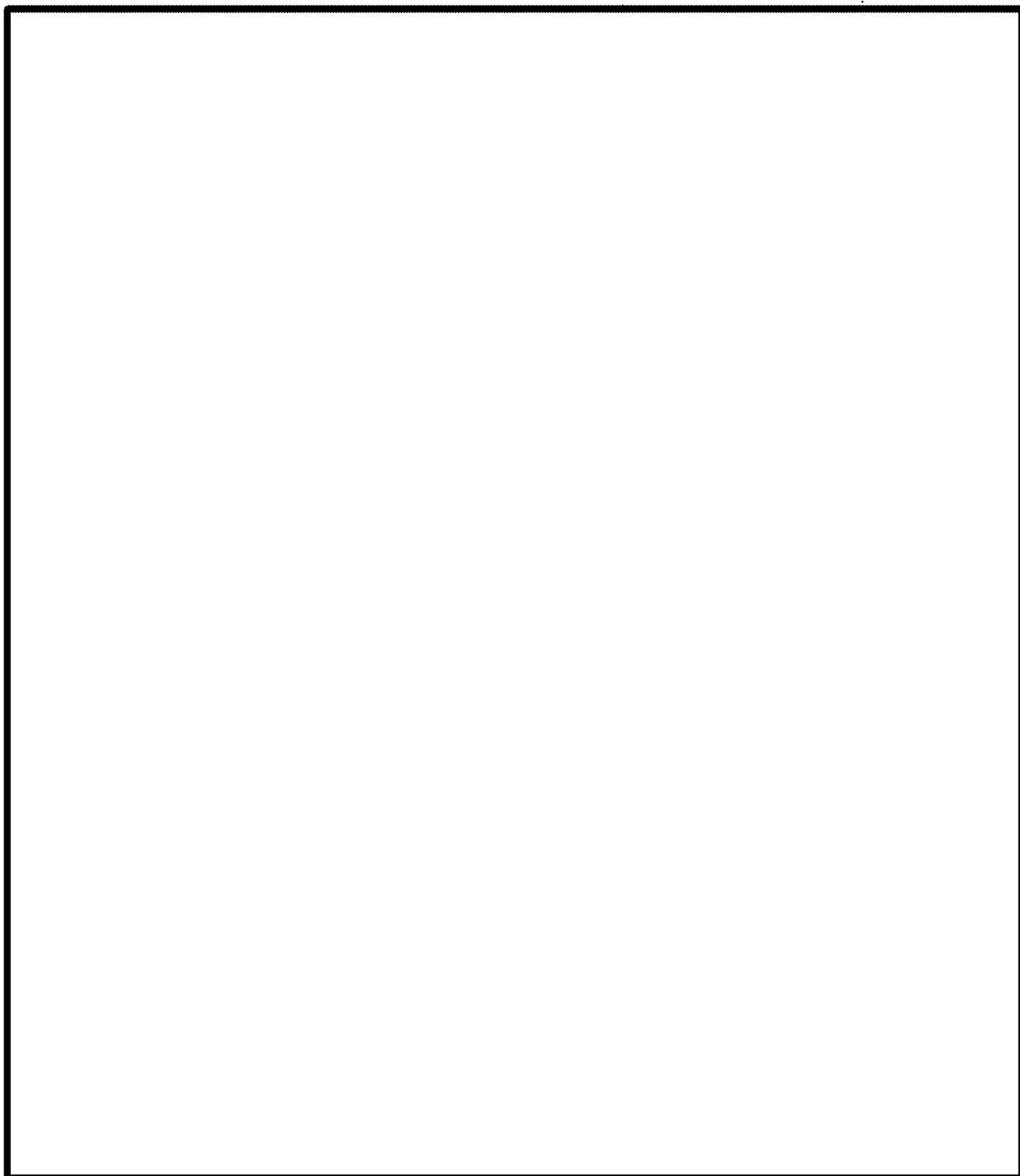
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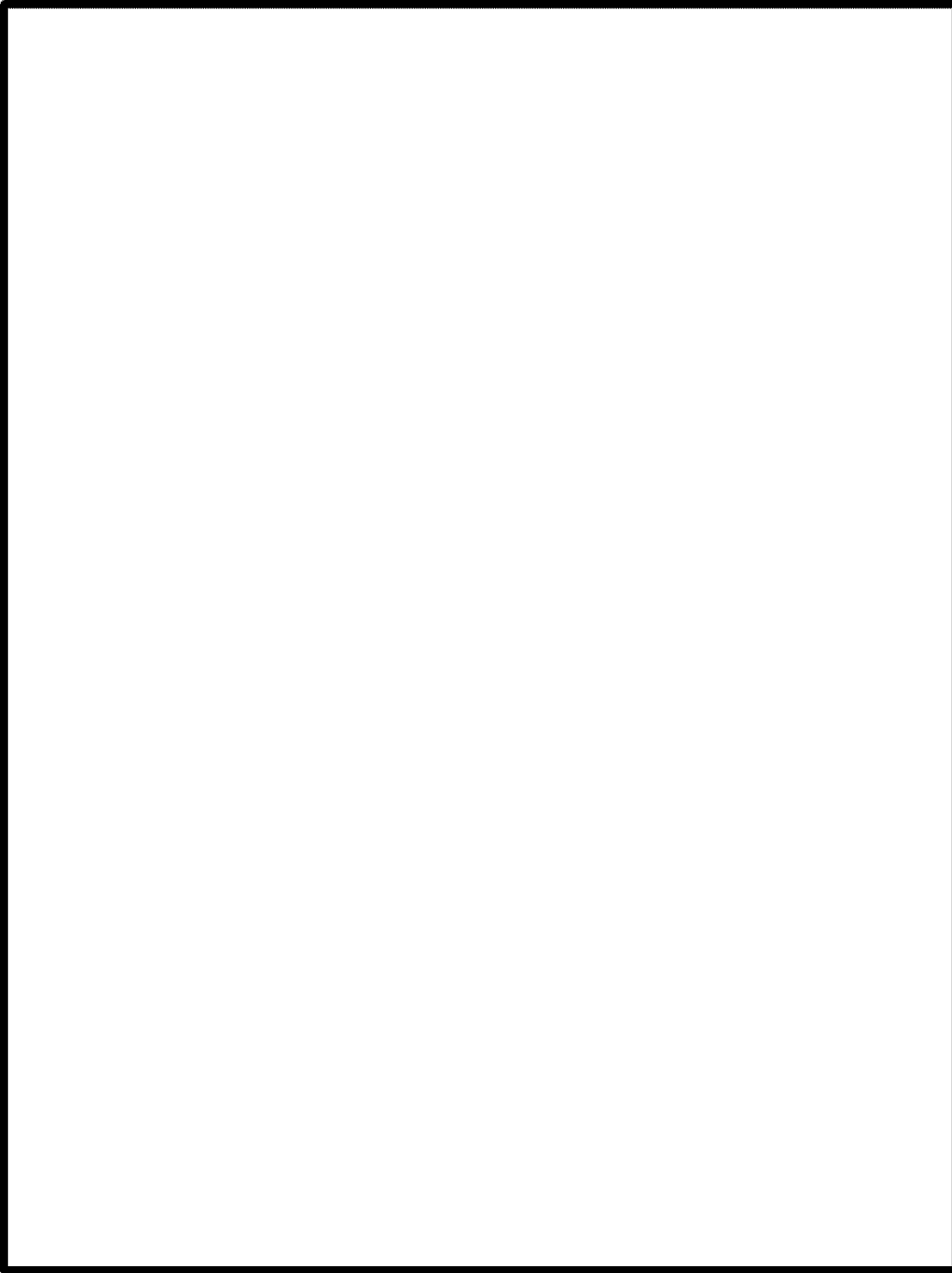
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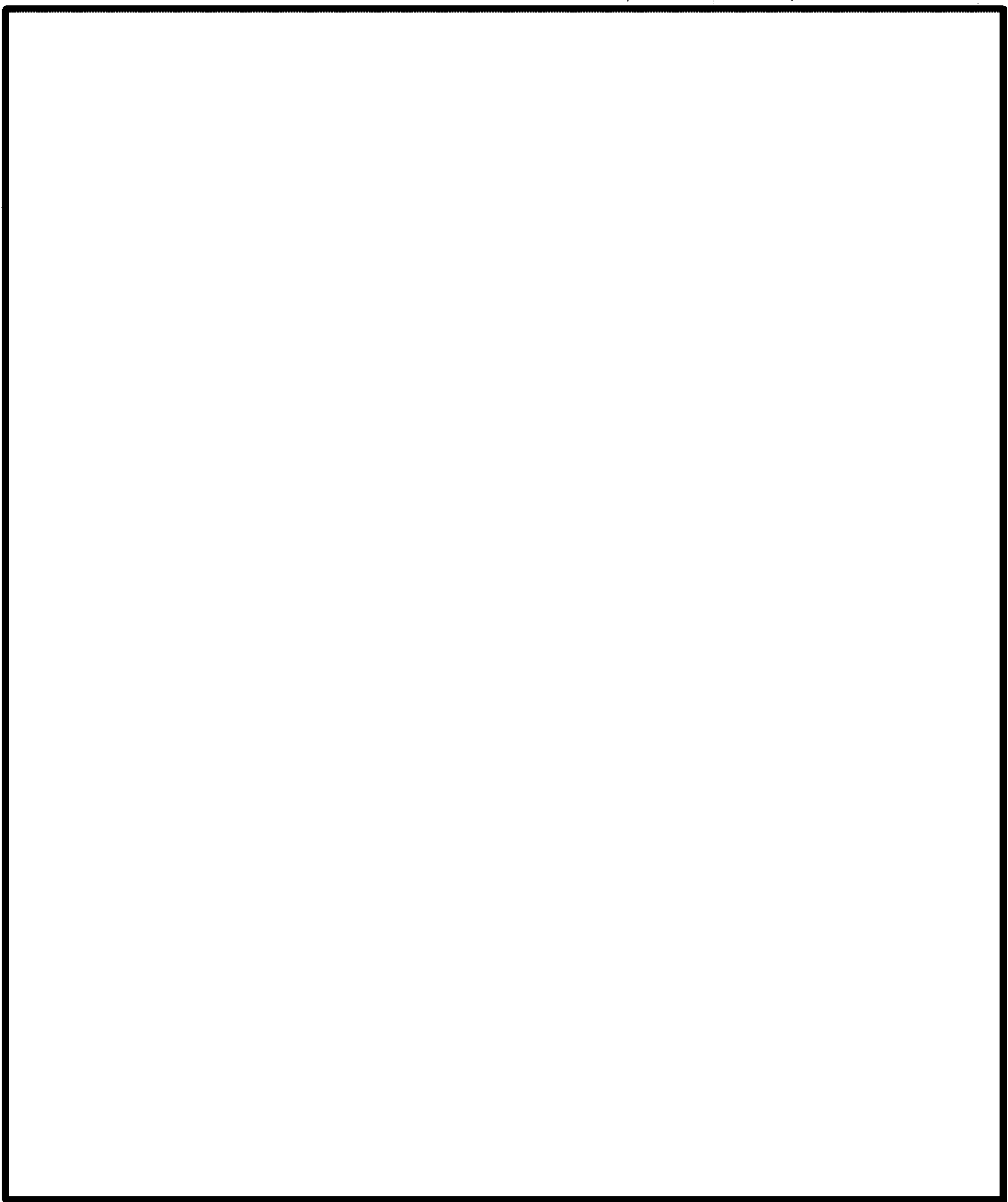


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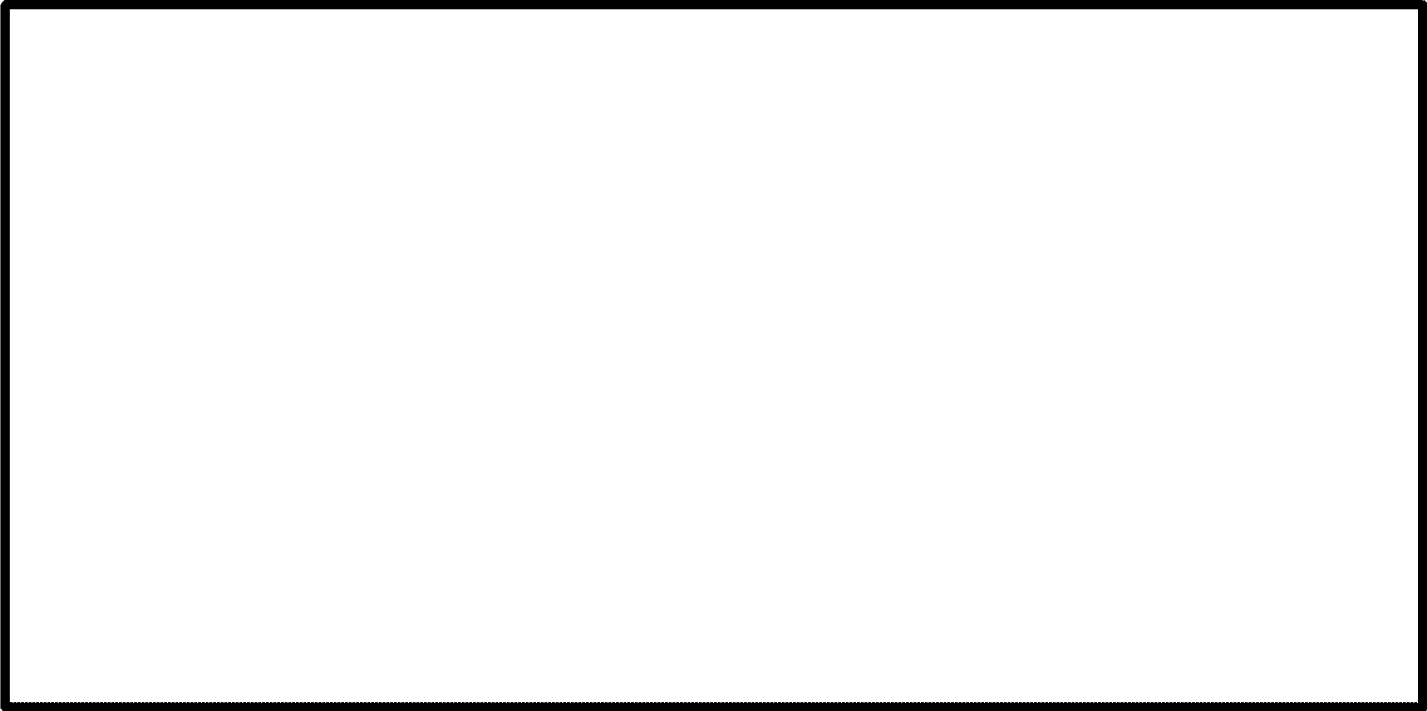
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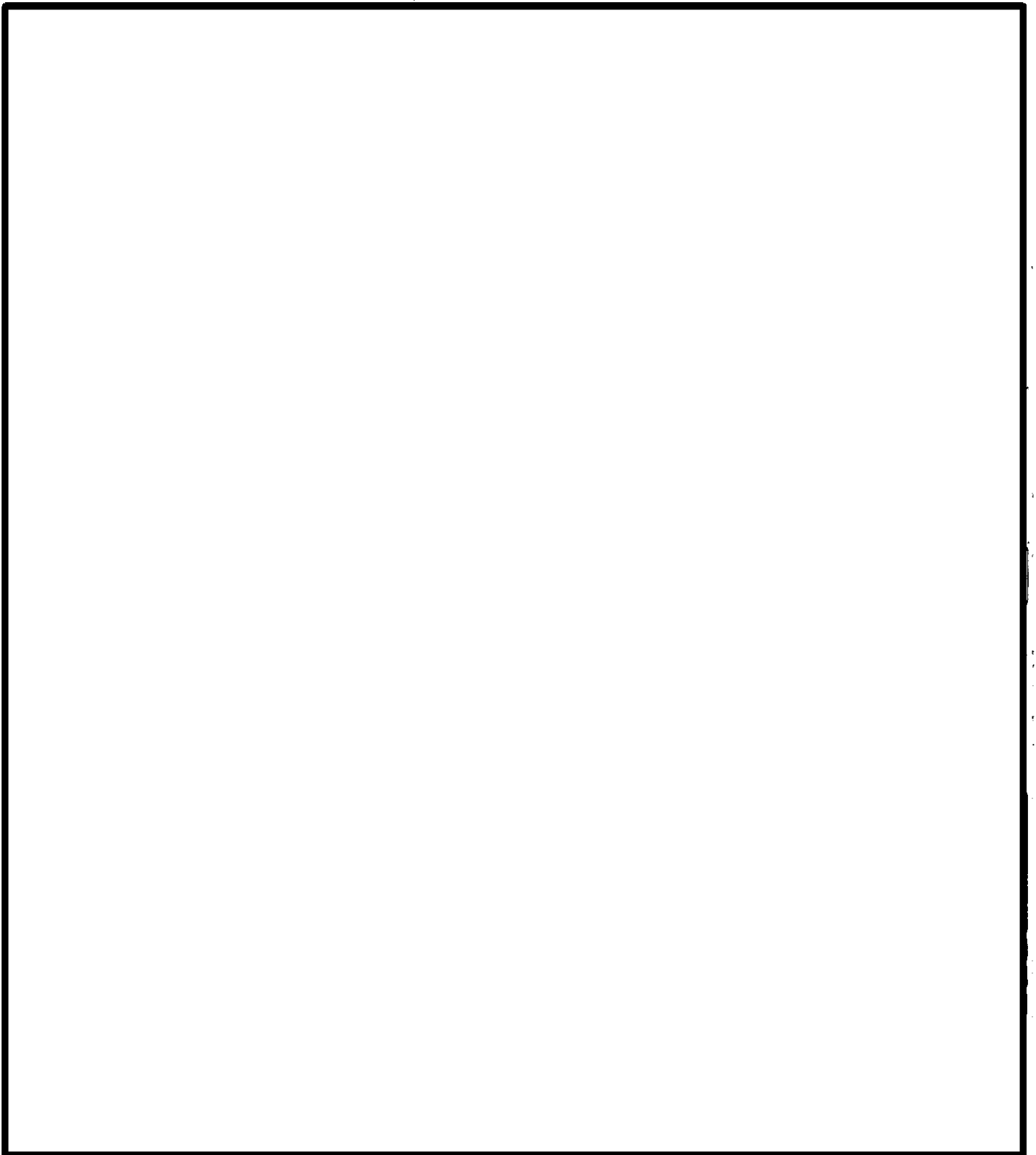
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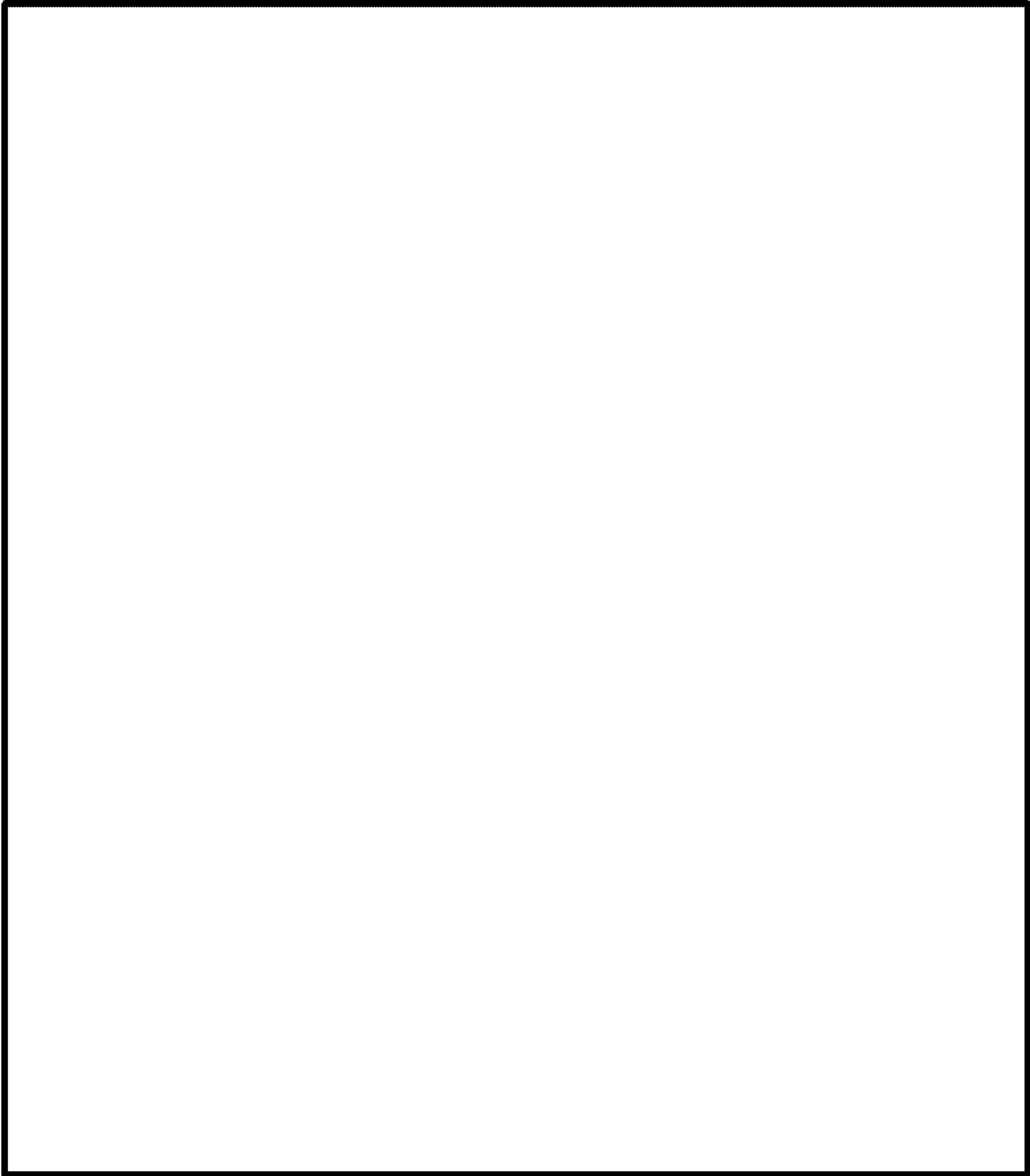


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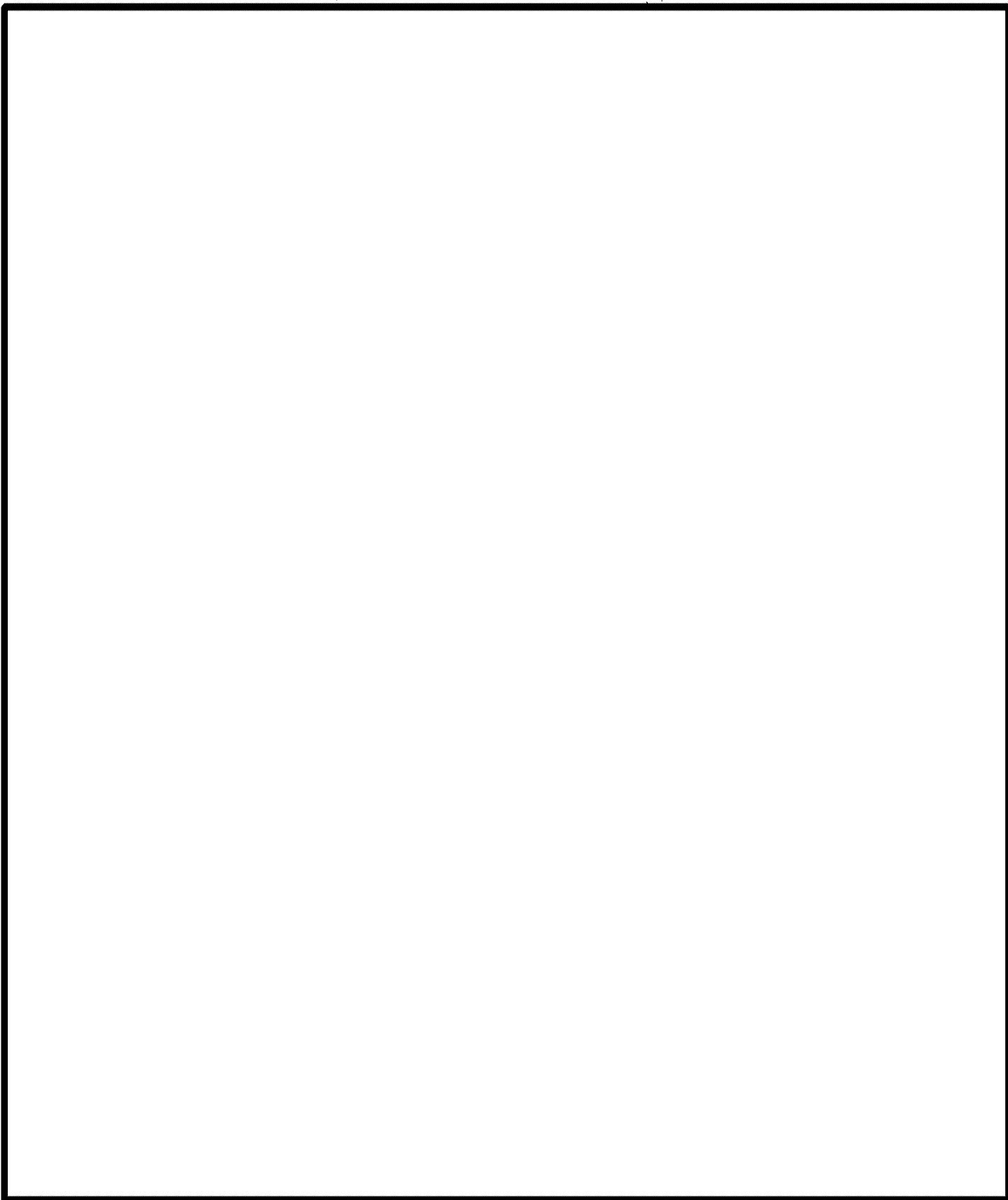


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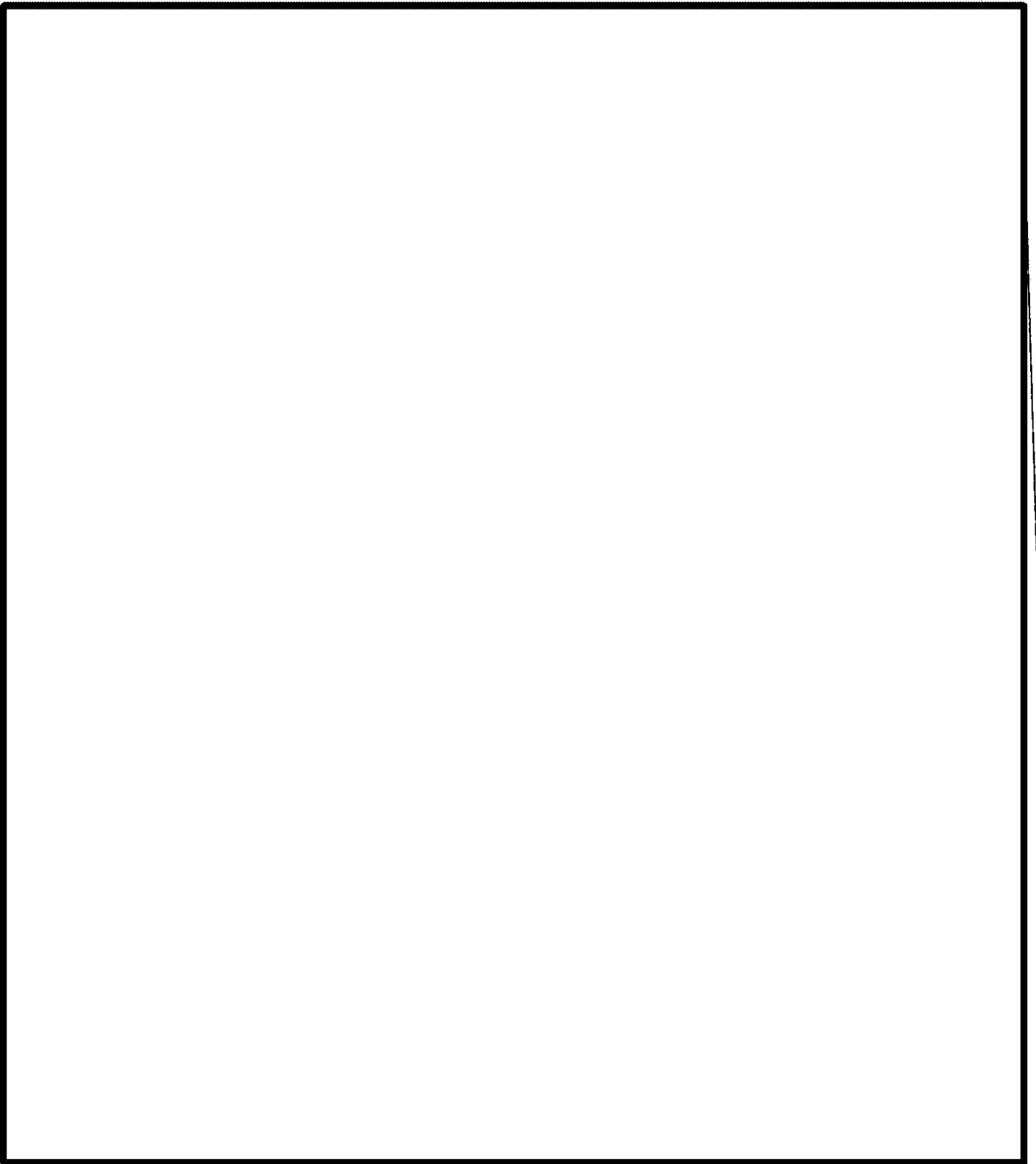


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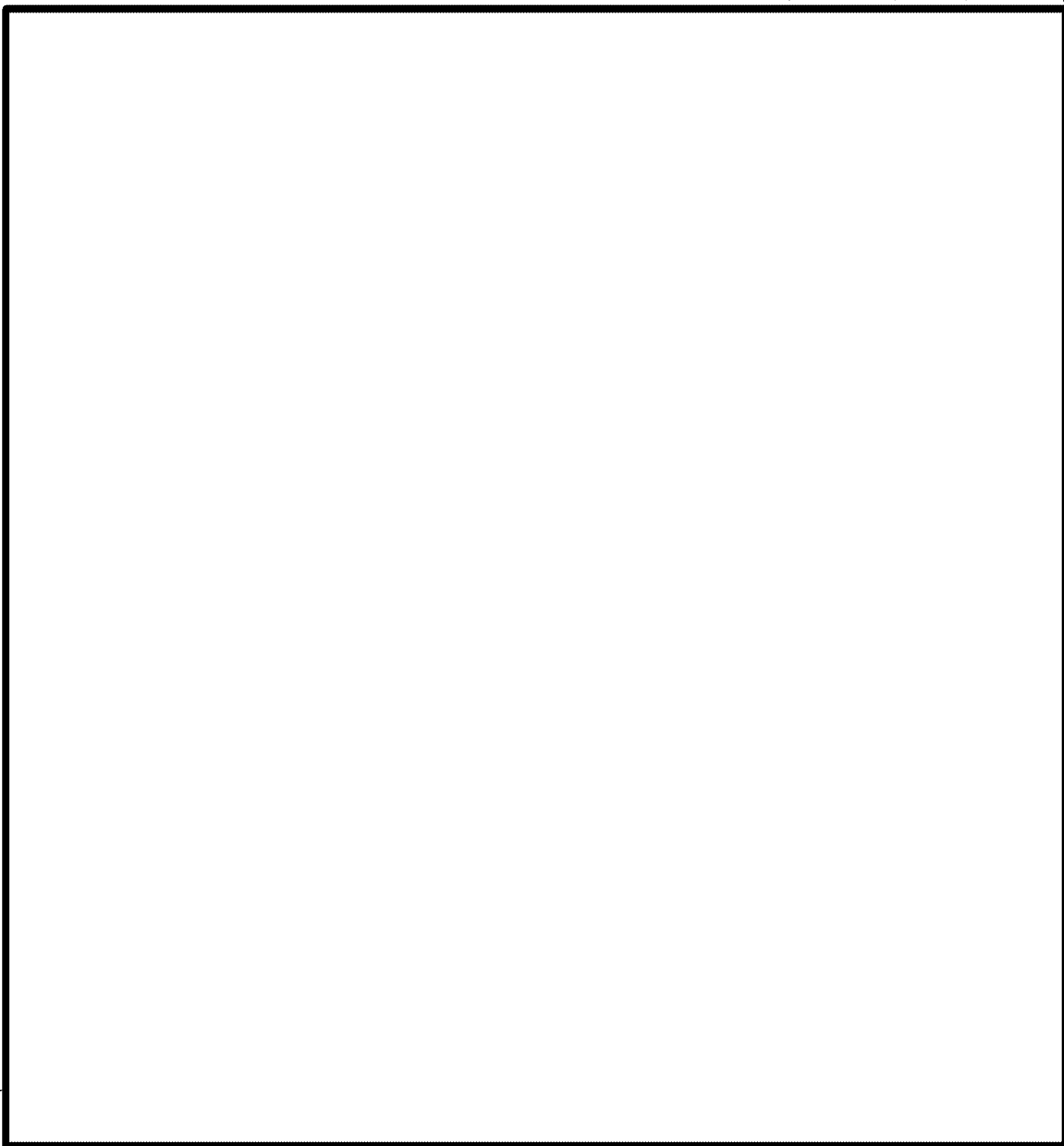


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From: Renaud, Tracy L.
To: "Scialabba, Lori L. (Lori.Scialabba@dhs.gov)"
Cc: Young, Todd P.
Subject: Transition documents requested
Date: Tuesday, November 15, 2016 9:18:00 AM
Attachments: [ART Component Brief Framework USCIS FINAL.pptx](#)
[ICE Overview Excerpt.pdf](#)
[USCIS DACA JP 2016 FINAL.DOCX](#)
[USCIS Overview 8-26-2016 Clean.docx](#)

Lori,

Here are the documents that were prepared for the transition team that you wanted.

- The USCIS overview – this is the version that is in the book that DHS prepared with info on all components and HQ offices that will be given to the transition team.
- ICE overview – same but for ICE. CBP is having some trouble locating the final version of the document they sent to DHS but will forward it along to us as soon as they locate it.
- AAT (formerly called ART) briefing document that D1 or you will follow when conducting the initial briefing to the Agency Action Team.
- DACA overview – OCC just cleared this yesterday and since it will likely be a subject that gets early attention I wanted you to have this as well.

We have an ECN page for all USCIS cleared transition documents that I can give you (or Todd) access to if you want. If it is just easier to ask me or Julie that works too.

*Tracy L. Renaud
Associate Director
Management Directorate
US Citizenship & Immigration Services
Department of Homeland Security
202-272-1739 (desk)*

DHS Transition Issue Paper

Screening and Vetting

OVERVIEW

- Every day, DHS vets millions of individuals traveling to, from, or within the United States; applying for citizenship and immigration benefits; or seeking credentials, benefits, or access to secure areas of the nation's transportation or critical infrastructure.
- DHS, in partnership with our law enforcement and Intelligence Community colleagues, leverages a range of information and processes to conduct vetting and screening that support the prevention of terrorism and other operational missions.
- DHS utilizes biometric and biographic information collection; in-person interviews; research and analysis; database vetting and bulk data sharing; and publicly-available information to make risk determinations and inform decisions.

Current Trends/Operational Drivers

- **Shared/Enterprise Services:** DHS is increasingly sharing vetting services across components, where appropriate, and utilizing enterprise services. For example, the Transportation Security Administration (TSA) conducts vetting for the chemical facilities access security program run by the National Protection and Programs Directorate (NPPD). DHS also maintains and operates a biometric database (IDENT) that is used broadly by the interagency.
- **Pushing Security beyond the Borders:** To support DHS's efforts to identify and address international threats as early as possible, operational programs (such as CBP's Preclearance and Trusted Traveler Program) provide opportunities for vetting travelers abroad and prior to travel to the United States, allowing for more efficient allocation of resources and increased ability to focus on unknown or potential threats.¹
- **Social Media:** DHS is working to expand its current uses of social media to enhance existing vetting processes. Criminals and terrorists, whether intentionally or not, have provided previously unavailable information via social media that identified their true intentions.
 - Social media is currently used by DHS Components for different operational or investigative purposes. DHS established a Social Media Task Force in December 2015 to examine current and potential uses of social media and how DHS could best expand its use (for screening and vetting programs).
 - In 2016, DHS conducted a number of pilots to automate bulk vetting (with manual review) of social media information across a number of high priority application populations, including refugees and Visa Waiver Program travelers.

¹CBP's Preclearance program, operating at 15 locations worldwide, allows for advance inspection of passengers before they board U.S.-bound flights. Additionally, CBP's range of international Trusted Traveler programs, such as Global Entry, provides pre-vetted and approved, low-risk travelers expedited clearance upon their arrival in the United States.

DETAILED DISCUSSION

An April 2015 DHS study estimated that for all its traveler and screening vetting programs DHS spends approximately \$7 billion per year utilizing more than 60,000 employees.²

- **U.S. Customs and Border Protection (CBP)**: CBP is tasked with securing the Nation's borders. CBP has adopted a comprehensive strategy to border management and security, combining customs, immigration, and agriculture inspection functions. On an average day, CBP processes, through a combination of vetting and inspections, over 1 million citizens, immigrants, and non-immigrant visitors through the U.S. border. CBP uses its vetting capabilities to screen Trusted Travelers for expedited processing, allowing a more efficient allocation of officer resources for the identification of unknown or higher risk travelers.
- **U.S. Immigration and Customs Enforcement (ICE)**: ICE works with state and local law enforcement officials to (a) prioritize the identification, location, and arrest of at-large criminal aliens who pose a serious threat to national security and community safety; and (b) to identify and remove criminal aliens in local, state and federal penal institutions and/or those who are at large in our communities. In addition, to further the integrity of the U.S. immigration system, ICE has developed, in coordination with CBP and the Department of State, a pre-visa-issuance screening program to identify subjects who are ineligible to receive visas for travel to the United States.
- **DHS Office of Biometric Identity Management (OBIM)**: OBIM, a subcomponent of the National Protection and Programs Directorate (NPPD), is the lead entity within DHS for storing, matching and analyzing biometric data, and associated biographic and encounter data. OBIM operates the Automated Biometric Identification System (IDENT), which contains both derogatory and non-derogatory information received from components and other Federal partners. DHS uses this biometric database to assist vetting persons seeking admission to the United States, a visa, an immigration benefit, or a transportation credential or benefit. It is also available to interagency partners, such as the Department of State, FBI, DOD and others.
- **Transportation Security Administration (TSA)**: TSA screens individuals to prevent them from unlawfully carrying a weapon, explosive, or incendiary either into the sterile area of the airport or onboard a commercial flight. TSA also vets individuals flying to, from, over and within the United States, and individuals seeking regular access to the transportation infrastructure against the Terrorist Screening Database. TSA's risk-based, intelligence driven screening is designed to promote both national security and lawful travel. This approach allows TSA to allocate screening resources expeditiously.
- **U.S. Citizenship and Immigration Services (USCIS)**: USCIS is charged with the adjudication of immigration (and limited non-immigration) benefits. USCIS's mission includes granting the appropriate immigration benefit to those who qualify and denying benefits to those who are not qualified. USCIS has longstanding partnerships with screening agencies within the intelligence and law enforcement communities. USCIS is responsible for the annual adjudication of over 8 million applications for benefits.
- **U.S. Coast Guard (USCG)**: USCG collects, integrates, and analyzes information concerning vessels operating on or bound for waters subject to the jurisdiction of the U.S., including

² Enterprise Wide Application of Risk Based Security

information related to crew, passengers, cargo, and intermodal shipments to ensure safety and security of the U.S. maritime domain.

- **The Screening Coordination Office (SCO):** SCO located with the Office of Policy, has responsibility to coordinate across DHS Components and with interagency partners on the development or revision of Department-wide policies related to the screening and vetting of people, and USG-wide screening and vetting polices with a DHS nexus.

Issue Background

- **Screening of International Travelers:** The screening and vetting of immigrant and non-immigrant travelers to the United States is a multi-layered interagency process.
 - DHS plays a leading role in the protection of the U.S. border and integrity of the immigration system, to include review of applications for certain immigration (and limited non-immigration) benefits such as permanent residence and naturalization.
 - The Department of State (DOS) has responsibility for the adjudication of all visa applications (immigrant and non-immigrant).³
 - Other federal screening partners, to include the intelligence and law enforcement communities, work in concert with DHS and DOS to identify travelers who may represent a threat to national security.
- **Refugee Screening:** The screening of refugees has been a major effort for DHS and its partners in FY2016 as the U.S. Government increased its admissions goals in response to the crisis in Syria.
 - The U.S. Government has succeeded in meeting these humanitarian goals while maintaining a rigorous screening process that protects national security; refugees are now subject to the most demanding screening and vetting of any applicant for immigration, or other travel benefits, to the United States. An estimated 85,000 refugees, to include over 10,000 Syrian refugees, were accepted into the country during FY2016.

Courses of Action: Screening and Vetting Recommendations

- **Increase Pro-active and Recurrent Screening:** DHS components are pursuing various means to conduct pro-active and recurrent screening for various populations, such as:
 - Certain non-U.S. citizens to whom benefits were granted in the past, but who do not currently have applications pending, such as permanent residents who have not filed naturalization applications.
 - TSA-vetted populations, to include credential holders and applicants, who receive recurrent vetting for potential terrorist connections but not for criminal violations.
- **Expand Capacity to Vet against Social Media:** Social media is a prominent component of modern society, and DHS's efforts to protect the homeland must progress and adapt as society evolves. DHS must continue to invest in developing the technology and processes needed to make effective use of social media information while protecting privacy, civil rights, and civil liberties.
- **Increase Intra-Departmental Information Sharing:** To increase the effectiveness of individual component mission operations, DHS can benefit from increasing automated processes in which information on specific individuals is shared for the broadest operational use possible.

³ DHS participates in the vetting of visas, as well is the lead agency with responsibility for visa policy.

Key Partnerships (Vetting and Screening)

- Federal Government: Central Intelligence Agency; Department of Defense; Department of State; Federal Bureau of Investigation; National Counterterrorism Center; National Security Agency; and the Terrorist Screening Center
- State and Local Law Enforcement Agencies
- International Partners
- Private Sector

Additionally, all screening and vetting programs within DHS work closely with the DHS Office of Policy, Office of Privacy and DHS Office for Civil Rights and Civil Liberties. All DHS vetting programs build information security, privacy, and civil rights and civil liberties policies and practices into their operations.

FY 2016 NONIMMIGRANT ADMISSIONS (I-94 ONLY)

COUNTRY	COUNT
TOTAL	86,723,770
AFGHANISTAN	11,074
ALBANIA	18,668
ALGERIA	23,191
ANDORRA	2,319
ANGOLA	19,647
ANTIGUA AND BARBUDA	27,626
ARGENTINA	1,554,654
ARMENIA	15,257
AUSTRALIA	2,104,565
AUSTRIA	336,719
AZERBAIJAN	13,898
BAHAMAS	366,614
BAHRAIN	16,496
BANGLADESH	74,018
BARBADOS	97,234
BELARUS	32,836
BELGIUM	481,852
BELIZE	50,968
BENIN	5,678
BHUTAN	11,388
BOLIVIA	120,758
BOSNIA AND HERZEGOVINA	17,836
BOTSWANA	4,815
BRAZIL	3,593,249
BRUNEI	2,936
BULGARIA	79,131
BURKINA FASO	11,795
BURMA	44,407
BURUNDI	4,759
CAMBODIA	8,103
CAMEROON	24,336
CANADA	9,369,999
CAPE VERDE	9,212
CENTRAL AFRICAN REPUBLIC	1,074
CHAD	2,009
CHILE	644,528
CHINA (MAINLAND)	5,182,394
COLOMBIA	1,582,180
COMOROS	309
CONGO, REPUBLIC	3,859
COSTA RICA	464,989
CROATIA	59,385
CUBA	214,439
CYPRUS	18,051
CZECH REPUBLIC	171,783
CONGO, DEMOCRATIC REPUBLIC	34,687
DENMARK	539,620
DJIBOUTI	1,362
DOMINICA	14,700

DOMINICAN REPUBLIC	546,896
EAST TIMOR	425
ECUADOR	717,439
EGYPT	175,114
EL SALVADOR	373,806
ERITREA	8,538
ESTONIA	38,149
ETHIOPIA	42,012
FIJI	18,506
FINLAND	247,049
FRANCE	3,028,093
GABON	5,298
GAMBIA	4,156
GEORGIA	19,846
GERMANY	3,303,413
GHANA	47,903
GREECE	145,788
GRENADA	22,384
GUATEMALA	444,543
GUINEA	6,139
EQUATORIAL GUINEA	2,826
GUINEA-BISSAU	457
GUYANA	105,492
HAITI	265,294
HONDURAS	360,256
HUNGARY	146,813
ICELAND	84,769
INDIA	3,308,037
INDONESIA	250,508
IRAN	65,196
IRAQ	43,978
IRELAND	798,311
ISRAEL	730,724
ITALY	1,907,564
COTE D'IVOIRE	15,041
JAMAICA	564,894
JAPAN	5,213,374
JORDAN	91,874
KAZAKHSTAN	46,376
KENYA	50,839
KIRIBATI	1,684
KOREA, NORTH	225
KOREA, SOUTH	2,547,536
KOSOVO	9,669
KUWAIT	131,568
KYRGYZSTAN	6,600
LAOS	3,887
LATVIA	38,960
LEBANON	86,423
LESOTHO	1,128
LIBERIA	8,550
LIBYA	4,183

LIECHTENSTEIN	3,177
LITHUANIA	55,495
LUXEMBOURG	23,499
MACEDONIA	19,145
MADAGASCAR	3,100
MALAWI	5,391
MALAYSIA	170,853
MALDIVES	858
MALI	7,627
MALTA	10,299
MARSHALL ISLANDS	19,249
MAURITANIA	3,318
MAURITIUS	12,282
MEXICO	10,749,854
MICRONESIA, FEDERATED STATES	56,064
MOLDOVA	23,124
MONACO	2,012
MONGOLIA	25,659
MONTENEGRO	11,303
MOROCCO	63,518
MOZAMBIQUE	4,513
NAMIBIA	4,051
NAURU	242
NEPAL	60,485
NETHERLANDS	1,144,294
NEW ZEALAND	518,315
NICARAGUA	129,667
NIGER	3,106
NIGERIA	357,395
NORWAY	479,282
OMAN	19,972
PAKISTAN	214,354
PALAU	21,974
PANAMA	273,290
PAPUA NEW GUINEA	2,606
PARAGUAY	56,828
PERU	560,463
PHILIPPINES	838,642
POLAND	373,014
PORTUGAL	306,791
QATAR	35,405
SOUTH SUDAN	1,083
ROMANIA	173,081
RUSSIA	506,232
RWANDA	10,327
SAN MARINO	1,189
SAO TOME AND PRINCIPE	161
SAUDI ARABIA	487,387
SENEGAL	18,282
SERBIA	62,716
SEYCHELLES	897
SIERRA LEONE	5,838

SINGAPORE	242,324
SLOVAKIA	84,657
SLOVENIA	40,406
SOLOMON ISLANDS	700
SOMALIA	14,025
SOUTH AFRICA	241,307
SPAIN	1,742,931
SRI LANKA	48,914
SAINT KITTS-NEVIS	21,887
SAINT LUCIA	33,756
SAINT VINCENT AND THE GRENADINES	23,284
SUDAN	13,006
SURINAME	23,993
SWAZILAND	1,979
SWEDEN	904,430
SWITZERLAND	678,480
SYRIA	39,669
TAIWAN	777,736
TAJKIKISTAN	3,819
TANZANIA	15,387
THAILAND	205,047
TOGO	5,017
TONGA	6,899
TRINIDAD AND TOBAGO	324,320
TUNISIA	24,149
TURKEY	403,234
TURKMENISTAN	2,904
TUVALU	347
UGANDA	19,543
UKRAINE	224,032
UNITED ARAB EMIRATES	70,298
UNITED KINGDOM	7,395,457
URUGUAY	146,561
UZBEKISTAN	19,533
VANUATU	407
HOLY SEE	233
VENEZUELA	1,065,899
VIETNAM	204,103
SAMOA	4,309
YEMEN	7,574
SERBIA AND MONTENEGRO (FORMER)	4,036
ZAMBIA	9,056
ZIMBABWE	18,029
UNKNOWN	92,444

Source: Customs and Border Protection (CBP).

Note: Data are preliminary. Data show the number of nonimmigrant admissions by country of citizenship and only includes persons who completed Form I-94, a subset of all nonimmigrants who were admitted. Multiple entries on the same Form I-94 are counted only once for the fiscal year. Therefore, the number of actual entries with Form I-94 in Fiscal Year 2016 are greater than the numbers shown here, and these data are not directly comparable to nonimmigrant statistics published in DHS Yearbook.

Transition Tasking USCIS Responses

1. Policy Issues: Please list and provide details on all major policy decisions that are pending between now and January 20 as well as within the first 100 days of the new administration. (OP&S)

Response:

- **Expansion of USCIS' Use of Social Media under the Social Media Pilot Plan.** As part of the DHS Social Media Task Force, USCIS' Fraud Detection and National Security (FDNS) Directorate continues to work with DHS Intelligence and Analysis and DHS Science and Technology, as well as partners in the law enforcement, defense, and Intelligence Community to develop tools and techniques for social media research. In accordance with USCIS authorities, FDNS continues to expand social media screening for certain subsets of refugee populations. USCIS also intends to pilot the expansion of the use of social media to other cases/benefit request types.
- **TPS Haiti.** USCIS will make a recommendation to the Secretary on whether Haiti's existing designation for Temporary Protected Status should be extended, extended and redesignated, or terminated. The expiration date of the current designation is July 22, 2017.
- **Labor Shortages in Guam.** USCIS has received reports from various sources of labor shortages on Guam, particularly with respect to the nursing industry, due to the lack of available U.S. workers to fill these positions and, in part, the inability of certain employers to comply with existing statutory requirements for the importation of foreign workers under the H-2B temporary worker program. In view of the prospective military base relocation from Japan to Guam, USCIS is considering ways to help alleviate such labor shortages, consistent with existing statutory and regulatory requirements.
- **Commonwealth of the Northern Marianas Islands (CNMI)-Only Transitional Workers (CW-1).** The CW-1 nonimmigrant classification was created by the Consolidated Natural Resources Act of 2008, and is presently set to sunset by statute on December 31, 2019. The annual cap on CW workers is set by DHS, through Federal Register notice. The number of CW visas must decrease each year, to reach zero by the end of the program. The caps for FY 2016 and 2017 were both reached, with harmful consequences to the CNMI economy. USCIS will need to begin efforts to determine the FY 2018 cap early in the next administration. Also the CW program is likely to continue to be the subject of legislative interest.
- **Interpreters.** Policy guidance on the role and use of interpreters in domestic field office interviews without USCIS-provided interpretation. This policy will advance consistent standards for interpretation in interviews conducted by USCIS by providing guidance regarding the role and use of interpreters in certain interviews conducted in USCIS domestic field offices.

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- **H-1B Specialty Occupation Nonimmigrant Workers - ACWIA Fees.** Policy memorandum currently under development within the H-1B nonimmigrant classification working group. Clarifies how USCIS defines “subsidiary” and “affiliate” for the purpose of counting the total number of employees for a petitioning employer when determining the additional petitions fees which are required under the American Competitiveness in the Workplace Act of 1998 (ACWIA).
- **L-1 Intracompany Transferee Nonimmigrant Workers, One in Three Policy.** Policy memorandum currently in the USCIS formal clearance process. Clarifies how USCIS interprets the requirement that an L-1 beneficiary must have been employed abroad by the qualifying organization for one continuous year out of “the preceding three years.”
- **O-1 Extraordinary Ability Nonimmigrant Workers, Comparable Evidence.** Final policy memorandum currently under review by USCIS senior leadership. This policy memorandum clarifies how USCIS adjudicators will analyze “comparable evidence” when submitted in support of an O-1A and O-1B (arts) petition, in instances where evidence required by the regulations is not readily applicable to the beneficiary’s occupation. The policy memorandum was originally published in draft form in January 2016 for stakeholder feedback. Once cleared by USCIS senior leaders, this policy memorandum will be published as final guidance.
- **O-1 Extraordinary Ability Nonimmigrants and P Nonimmigrant Athletes/Entertainers Final Policy Memorandum Regarding Agents.** Currently under development within the Performing Arts Working Group for the O and P Nonimmigrant Classifications. Clarifies situations where an agent may file an O or P nonimmigrant petition on behalf of certain beneficiaries. This policy memorandum was originally published in draft form in July 2015 for feedback from stakeholders.
- **I-140 Employment-Based Immigrant Workers Policy Initiatives - Standing.** Agency guidance is currently under development that will clarify when an I-140 beneficiary may be considered an “affected party” before USCIS in certain circumstances, and is therefore entitled to be notified on actions taken with respect to the I-140 petition. Prior to this initiative and currently until the working group’s objectives are implemented, U.S. employers file I-140 petitions on behalf of prospective employment-based immigrants, and such immigrants have not been considered to be affected parties under USCIS regulations.
- **National Interest Waiver Policy Memorandum.** An Administrative Appeals Office precedent decision is currently under review by the Department of Justice’s (DOJ) Executive Office for Immigration Review for final publication. The decision will clarify the standard for granting waivers of the job offer requirement when it would be in the national interest of the United States to certain Second Preference, Employment-Based Immigrant (EB-2) workers, consistent with existing statutory and regulatory authorities. This precedent decision has cleared review by USCIS, DHS, and DOJ’s Office of Legal Counsel. In addition, the I-

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140 working group is currently developing a companion policy memo which is intended to be published with or shortly after publication of the precedent decision.

- **Unlawful Presence (ULP) Guidance.** USCIS is contemplating a policy memorandum that addresses how unlawful presence is accrued when an applicant properly filed a request for deferred action that was not adjudicated timely due to backlogs or delays that were not the fault of the applicant.
 - **Unlawful Presence and Employment Authorization Documents (EADs) Policy Memorandum.** Currently in the official USCIS clearance process. Clarifies that individuals with a pending or approved non-frivolous application for an Employment Authorization Document due to “compelling circumstances,” as defined in the recently published regulation “Retention of EB-1, EB-2, and EB-3 Immigrant Workers and Program Improvements Affecting High-Skilled Nonimmigrant Workers,” will be considered to be in a period of stay in the United States authorized by the Secretary of DHS. The intent is to publish this memorandum as final guidance by the effective date of the aforementioned regulation, which is January 17, 2017.
 - **The Parole Program for Former Members of the Mujahedin-e Khalq (MEK).** As part of this parole process, a policy decision will need to be made through the inter-agency process as to whether to continue to parole as refugees certain Iranian nationals who are former members of the Mujahedin-e Khalq (MeK) and have renounced the group.
 - **Immigration and Nationality Act (INA) Section 289, American Indians Born in Canada Guidance.** Policy memorandum, in coordination with Customs and Border Protection is currently under development to clarify policies and procedures for determining the status of claims made by individuals who claim to be American Indians born in Canada under Section 289 of the Immigration and Nationality Act [8 U.S.C. 1359] and 8 CFR § 289.
2. Operational Issues: Please list and provide details on all operational issues you will face between now and January 20 as well as within the first 100 days of the new administration. (SCOPS/FOD/RAIO/FDNS)

Response:

- **Credible Fear Screening.** The volume of individuals and families who are coming to the southwest border and asserting a fear of return or intention to apply for asylum after being placed into the expedited removal process continues to cause the diversion of USCIS Asylum Division resources away from the processing of a growing affirmative asylum caseload. The number of individuals referred to USCIS for credible fear screening in FY2016 was nearly double the number received the previous fiscal year (FY16 – 94,048; FY15 – 48,052), and the backlog of pending affirmative asylum applications increased by 70% over the course of the FY2016 as asylum officers continue to be diverted from asylum case processing in order to conduct protection screening interviews.

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- **Electronic Referral System.** FDNS continues to work collaboratively with Immigration and Customs Enforcement to establish an electronic referral system to ensure data integrity and provide accurate information on where individuals with identified public safety concerns are in the immigration process. The results of automating referrals to ICE provide operational transparency and enable real-time reporting on administrative, criminal, and enforcement activities and investigations related to aliens who may be removable under immigration law.
- **EB-5 Compliance Reviews and Site Visits.** Fraud Detection and National Security (FDNS) Immigration Officers continue to conduct compliance reviews and site visits to assist in promoting the integrity of the lawful immigration system. In addition, FDNS will conduct Phase 2 of the site visit pilot for EB-5. Phase 2 incorporates additional site visits on EB-5 cases.
- **CBP and NCTC Screening.** USCIS' Fraud Detection and National Security (FDNS) Directorate continues to assess the feasibility and utility of CBP and NCTC screening on a broad set of immigration applications. FDNS will produce a final report on the ongoing NCTC N-400 screening pilot by March 31, 2017.
- **Notices to Appear.** USCIS is continuing to align USCIS policy with DHS requirements for enforcement priorities and issuance of Notices to Appear, as well as reporting for Notices to Appear entered into the ICE EAGLE system.
- **FBI Name Check Backlogs.** FBI Background Name Checks are required for most USCIS benefit applications /petitions. The FBI has not been able to sustain the volume of name checks submitted by USCIS, which has created a backlog for the FBI. The backlog impacts adjudication timeframes, specifically military naturalization, which requires expeditious processing. USCIS and FBI have agreed to an interim solution until the FBI is able to reach normal processing times.
- **Backlogs and Staffing.** Backlogs have grown over the past year, mainly due to increased filings and a gap in the number of resources necessary to complete the work. In the near term, current backlog elimination plans rely primarily on increasing staff, rebalancing workloads among staff/work units, and utilizing overtime. In the long-term some efficiencies will be gained through process or technology enhancements as well.
- **Language Services Pilot Expansion.** An expansion of the telephonic language services for the purpose of conducting field office interviews. This proposal outlines the gradual replacement of existing contracts to allow comparable interpreter services to all four field office regions. In addition to consolidating existing interpreter services, FOD proposes expanding the use of language services in order to offer greater access to professional interpretation for most field office interviews.

- **Extreme Hardship (EH) Policy Implementation.** Recently implemented guidance on what may constitute a finding of extreme hardship and related training to the NBC and field. The

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operational guidance publication is in progress, which outlines those operational steps/requirements in support of the EH policy referenced above.

- **Provisional Unlawful Presence Waiver Guidance.** Recently implemented a new regulation which expands who may be eligible to apply for this provisional waiver to include any individual who is statutorily eligible for the unlawful presence waiver, including individuals seeking immigrant visas in family-based, employment-based and special immigrant visa categories as well as diversity visas, and all derivatives for these categories. Also expanded who may be considered a qualifying relative for purposes of the provisional waiver, consistent with the Immigration and Nationality Act, to include lawful permanent resident spouses and parents as currently allowed under. USCIS updated training at the National Benefits Center to address this expansion.
- **Military Parole-in-Place and Deferred Action Policy.** Recently implemented policy and operational guidance concerning who may qualify for military parole-in-place and deferred action.
- **Department of State Petition Routing Tool (PeRT) Implementation.** Field Operations Directorate has been working with Service Center Operations, Immigration Records and Identity Services and the Department of State on requirements gathering and development of the PeRT system. Implementation of PeRT will allow USCIS and the Department of State to electronically route petition information between USCIS offices and Department of State overseas posts.
- **New Field Office in Montgomery, Alabama.** A new USCIS field office is due to open mid-January 2017 in Montgomery, Alabama. This will be the only USCIS field office in the state.
- **Electronic Forms Receiving System (EFRS).** Fewer forms will be received directly at field office locations and more will be received at Lockboxes. This will require customers to be informed of the changes. USCIS is also updating its revenue collections and permitting manual receiving. EFRS implementation could lead to possible disruption for the customer and a learning curve for the field offices.
- **Notice of Appeal or Motion, Form I-290B.** Policy guidance was issued in November 2015, which adopted (from 8 Code of Federal Regulations 103.3) the initial field review within 45 days of appeals made to the Administrative Appeals Office. There is an initiative in progress to track appeals by developing a reporting and tracking mechanism to ensure that the initial field review occurs timely.
- **Denaturalization Project.** In response to a USCIS Officer of Inspector General (OIG) report, USCIS has conducted a review of approximately 1,800 cases in which an applicant who was previously ordered removed from the United States under a different identity was granted naturalization at a time when the paper fingerprint records that would have revealed

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the applicant's full immigration history were not available to USCIS. USCIS plans to seek denaturalization in many of these cases and is working toward preparing the cases for referral to the Department of Justice.

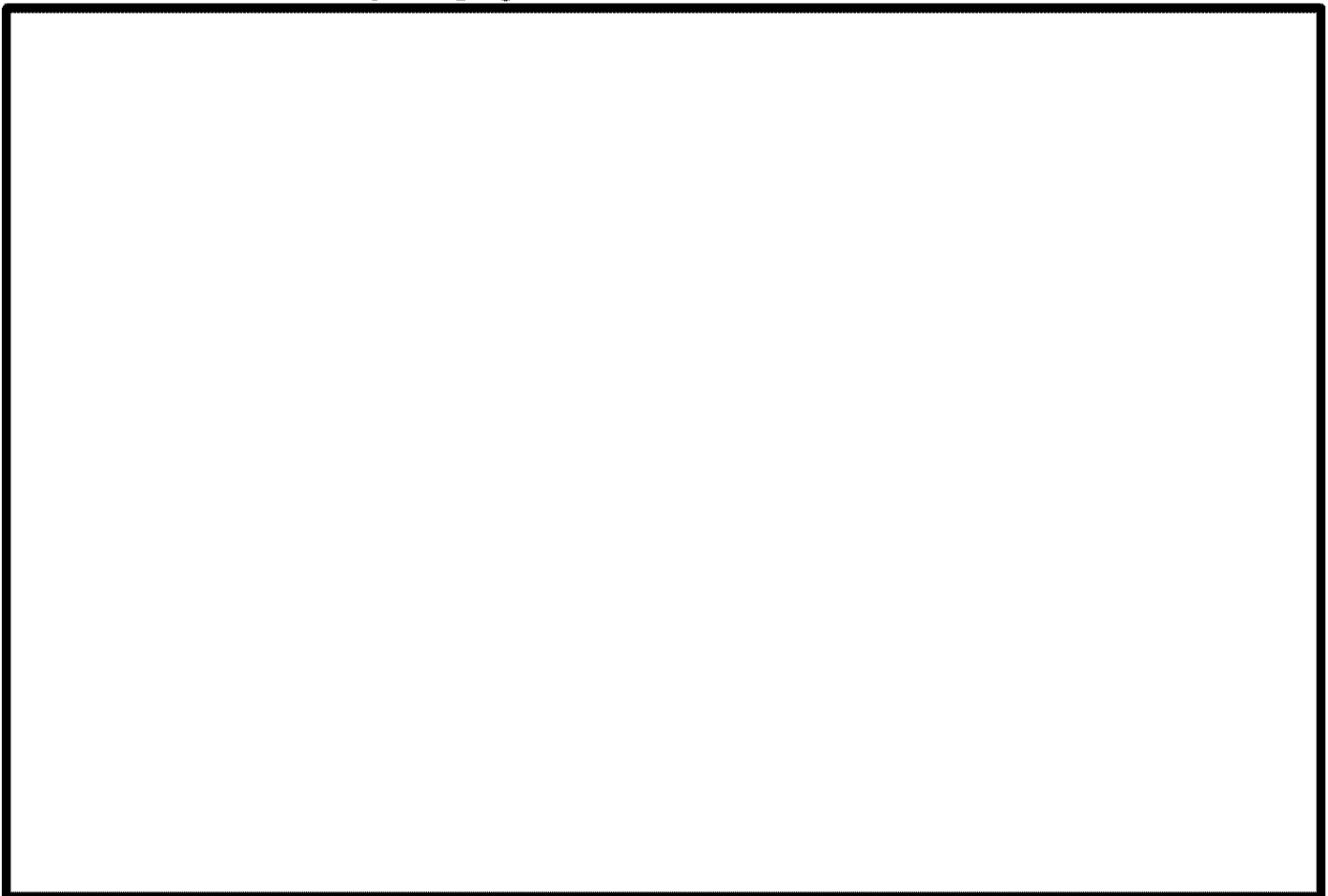
- **Presidential Congratulatory Naturalization Letter and Video Message.** A presidential congratulatory letter is requested to provide to naturalizing citizens. Additionally, a welcoming video for new citizens is requested, which will be played at naturalization ceremonies.

Please also note that the policy issues noted in item one and the regulations listed in item three, if implemented, would also have operational impacts.

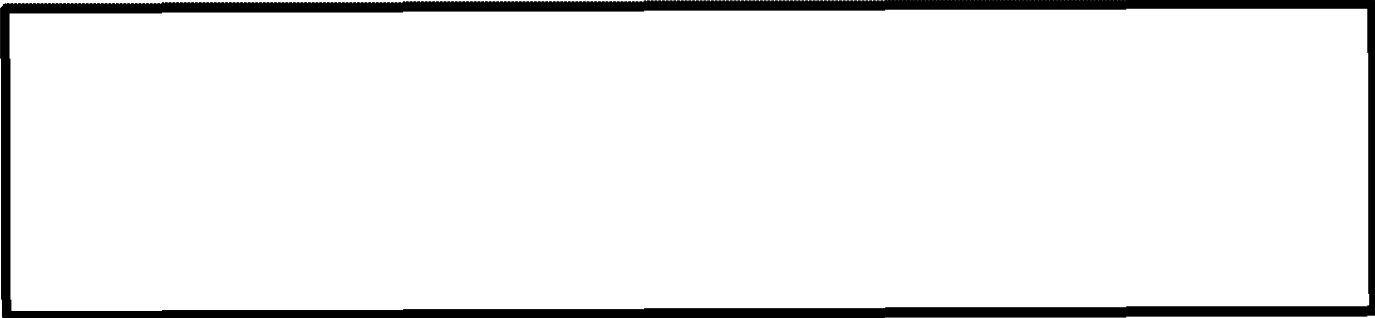
3. **Regulations:** Please list and provide details on all regulations that are pending. Please list all regulations that will advance between now and January 20 as well as within the first 100 days of the new administration.

(b)(5)

Response: DHS has previously provided a list of pending regulations for the Department. Below are the USCIS pending regulations that are reflected in that document.



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4. Major procurements: Please list and provide details on all major procurements \$100M and above that will advance between now and January 20 as well as within the first 100 days of the new administration.

Response: In the next two weeks, it is planned that USCIS will be making a source selection decision in the Field Office Support Services (FOSS) acquisition, which has a maximum period of performance of three years. The FOSS contract is in support of 30 USCIS Field Offices and 9 USCIS Asylum offices throughout the nation. The contract provides support to the Field Operations Directorate; the Refugee, Asylum, and International Operations (RAIO) Directorate; as well as the Fraud Detection and National Security (FDNS) Directorate. This support includes: correspondence management, file operations and maintenance, data reviews and updates, interview scheduling, certificate preparation and production, ceremony support, interview preparation (organizing casework), and file retrieval/maintenance.

5. Human capital: Please list and provide details on all major human capital issues you currently face. Please include current staffing numbers as well as growth in the offices over the last four years. Please provide context for any increases or reductions over the last four years.

Response:

General HR Issues

USCIS is dealing with outdated human resource IT infrastructure and processes. Specifically, USCIS lacks:

- An “end-to-end” Human Resources Information System (HRIS) solution to meet the ever-growing needs of human resources operations which include (but are not limited to): electronic approval/routing of requests for personnel actions, classification position description library and generator, recruitment and on-boarding, awards, employee benefits, and retirement as well as comprehensive and analytical reporting capabilities.
- An automated performance appraisal process that is provides for a variance in ratings among employees. (USCIS is working to improve the quality of our performance appraisal system, albeit still paper based.)
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Response:

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7. Please describe any pending reorganizations.

Response:

- USCIS will consolidate its Dallas and Houston, Texas districts into one district. The new district will consist of three field offices: Dallas, Houston, and Oklahoma City. This reorganization will commence on December 20, 2016.
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Transition Tasking 141 USCIS Responses

1. Policy Issues: Please list and provide details on all major policy decisions that are pending between now and January 20 as well as within the first 100 days of the new administration. (OP&S)

Response:

- **Expansion of USCIS' Use of Social Media under the Social Media Pilot Plan.** As part of the DHS Social Media Task Force, USCIS' Fraud Detection and National Security (FDNS) Directorate continues to work with DHS Intelligence and Analysis and DHS Science and Technology, as well as partners in the law enforcement, defense, and Intelligence Community to develop tools and techniques for social media research. In accordance with USCIS authorities, FDNS continues to expand social media screening for certain subsets of refugee populations. USCIS also intends to pilot the expansion of the use of social media to other cases/benefit request types.
- **TPS Haiti.** USCIS will make a recommendation to the Secretary on whether Haiti's existing designation for Temporary Protected Status should be extended, extended and redesignated, or terminated. The expiration date of the current designation is July 22, 2017.
- **Labor Shortages in Guam.** USCIS has received reports from various sources of labor shortages on Guam, particularly with respect to the nursing industry, due to the lack of available U.S. workers to fill these positions and, in part, the inability of certain employers to comply with existing statutory requirements for the importation of foreign workers under the H-2B temporary worker program. In view of the prospective military base relocation from Japan to Guam, USCIS is considering ways to help alleviate such labor shortages, consistent with existing statutory and regulatory requirements.
- **Commonwealth of the Northern Marianas Islands (CNMI)-Only Transitional Workers (CW-1).** The CW-1 nonimmigrant classification was created by the Consolidated Natural Resources Act of 2008, and is presently set to sunset by statute on December 31, 2019. The annual cap on CW workers is set by DHS, through Federal Register notice. The number of CW visas must decrease each year, to reach zero by the end of the program. The caps for FY 2016 and 2017 were both reached, with harmful consequences to the CNMI economy. USCIS will need to begin efforts to determine the FY 2018 cap early in the next administration. Also the CW program is likely to continue to be the subject of legislative interest.
- **Interpreters.** Policy guidance on the role and use of interpreters in domestic field office interviews without USCIS-provided interpretation. This policy will advance consistent standards for interpretation in interviews conducted by USCIS by providing guidance regarding the role and use of interpreters in certain interviews conducted in USCIS domestic field offices.

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- **H-1B Specialty Occupation Nonimmigrant Workers - ACWIA Fees.** Policy memorandum currently under development within the H-1B nonimmigrant classification working group. Clarifies how USCIS defines “subsidiary” and “affiliate” for the purpose of counting the total number of employees for a petitioning employer when determining the additional petitions fees which are required under the American Competitiveness in the Workplace Act of 1998 (ACWIA).
- **L-1 Intracompany Transferee Nonimmigrant Workers, One in Three Policy.** Policy memorandum currently in the USCIS formal clearance process. Clarifies how USCIS interprets the requirement that an L-1 beneficiary must have been employed abroad by the qualifying organization for one continuous year out of “the preceding three years.”
- **O-1 Extraordinary Ability Nonimmigrant Workers, Comparable Evidence.** Final policy memorandum currently under review by USCIS senior leadership. This policy memorandum clarifies how USCIS adjudicators will analyze “comparable evidence” when submitted in support of an O-1A and O-1B (arts) petition, in instances where evidence required by the regulations is not readily applicable to the beneficiary’s occupation. The policy memorandum was originally published in draft form in January 2016 for stakeholder feedback. Once cleared by USCIS senior leaders, this policy memorandum will be published as final guidance.
- **O-1 Extraordinary Ability Nonimmigrants and P Nonimmigrant Athletes/Entertainers Final Policy Memorandum Regarding Agents.** Currently under development within the Performing Arts Working Group for the O and P Nonimmigrant Classifications. Clarifies situations where an agent may file an O or P nonimmigrant petition on behalf of certain beneficiaries. This policy memorandum was originally published in draft form in July 2015 for feedback from stakeholders.
- **I-140 Employment-Based Immigrant Workers Policy Initiatives - Standing.** Agency guidance is currently under development that will clarify when an I-140 beneficiary may be considered an “affected party” before USCIS in certain circumstances, and is therefore entitled to be notified on actions taken with respect to the I-140 petition. Prior to this initiative and currently until the working group’s objectives are implemented, U.S. employers file I-140 petitions on behalf of prospective employment-based immigrants, and such immigrants have not been considered to be affected parties under USCIS regulations.
- **National Interest Waiver Policy Memorandum.** An Administrative Appeals Office precedent decision is currently under review by the Department of Justice’s (DOJ) Executive Office for Immigration Review for final publication. The decision will clarify the standard for granting waivers of the job offer requirement when it would be in the national interest of the United States to certain Second Preference, Employment-Based Immigrant (EB-2) workers, consistent with existing statutory and regulatory authorities. This precedent decision has cleared review by USCIS, DHS, and DOJ’s Office of Legal Counsel. In addition, the I-

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140 working group is currently developing a companion policy memo which is intended to be published with or shortly after publication of the precedent decision.

- **Unlawful Presence (ULP) Guidance.** USCIS is contemplating a policy memorandum that addresses how unlawful presence is accrued when an applicant properly filed a request for deferred action that was not adjudicated timely due to backlogs or delays that were not the fault of the applicant.
 - **Unlawful Presence and Employment Authorization Documents (EADs) Policy Memorandum.** Currently in the official USCIS clearance process. Clarifies that individuals with a pending or approved non-frivolous application for an Employment Authorization Document due to “compelling circumstances,” as defined in the recently published regulation “Retention of EB-1, EB-2, and EB-3 Immigrant Workers and Program Improvements Affecting High-Skilled Nonimmigrant Workers,” will be considered to be in a period of stay in the United States authorized by the Secretary of DHS. The intent is to publish this memorandum as final guidance by the effective date of the aforementioned regulation, which is January 17, 2017.
 - **The Parole Program for Former Members of the Mujahedin-e Khalq (MEK).** As part of this parole process, a policy decision will need to be made through the inter-agency process as to whether to continue to parole as refugees certain Iranian nationals who are former members of the Mujahedin-e Khalq (MeK) and have renounced the group.
 - **Immigration and Nationality Act (INA) Section 289, American Indians Born in Canada Guidance.** Policy memorandum, in coordination with Customs and Border Protection is currently under development to clarify policies and procedures for determining the status of claims made by individuals who claim to be American Indians born in Canada under Section 289 of the Immigration and Nationality Act [8 U.S.C. 1359] and 8 CFR § 289.
2. Operational Issues: Please list and provide details on all operational issues you will face between now and January 20 as well as within the first 100 days of the new administration. (SCOPS/FOD/RAIO/FDNS)

Response:

- **Credible Fear Screening.** The volume of individuals and families who are coming to the southwest border and asserting a fear of return or intention to apply for asylum after being placed into the expedited removal process continues to cause the diversion of USCIS Asylum Division resources away from the processing of a growing affirmative asylum caseload. The number of individuals referred to USCIS for credible fear screening in FY2016 was nearly double the number received the previous fiscal year (FY16 – 94,048; FY15 – 48,052), and the backlog of pending affirmative asylum applications increased by 70% over the course of the FY2016 as asylum officers continue to be diverted from asylum case processing in order to conduct protection screening interviews.

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- **Electronic Referral System.** FDNS continues to work collaboratively with Immigration and Customs Enforcement to establish an electronic referral system to ensure data integrity and provide accurate information on where individuals with identified public safety concerns are in the immigration process. The results of automating referrals to ICE provide operational transparency and enable real-time reporting on administrative, criminal, and enforcement activities and investigations related to aliens who may be removable under immigration law.
- **EB-5 Compliance Reviews and Site Visits.** Fraud Detection and National Security (FDNS) Immigration Officers continue to conduct compliance reviews and site visits to assist in promoting the integrity of the lawful immigration system. In addition, FDNS will conduct Phase 2 of the site visit pilot for EB-5. Phase 2 incorporates additional site visits on EB-5 cases.
- **CBP and NCTC Screening.** USCIS' Fraud Detection and National Security (FDNS) Directorate continues to assess the feasibility and utility of CBP and NCTC screening on a broad set of immigration applications. FDNS will produce a final report on the ongoing NCTC N-400 screening pilot by March 31, 2017.
- **Notices to Appear.** USCIS is continuing to align USCIS policy with DHS requirements for enforcement priorities and issuance of Notices to Appear, as well as reporting for Notices to Appear entered into the ICE EAGLE system.
- **FBI Name Check Backlogs.** FBI Background Name Checks are required for most USCIS benefit applications /petitions. The FBI has not been able to sustain the volume of name checks submitted by USCIS, which has created a backlog for the FBI. The backlog impacts adjudication timeframes, specifically military naturalization, which requires expeditious processing. USCIS and FBI have agreed to an interim solution until the FBI is able to reach normal processing times.
- **Backlogs and Staffing.** Backlogs have grown over the past year, mainly due to increased filings and a gap in the number of resources necessary to complete the work. In the near term, current backlog elimination plans rely primarily on increasing staff, rebalancing workloads among staff/work units, and utilizing overtime. In the long-term some efficiencies will be gained through process or technology enhancements as well.
- **Language Services Pilot Expansion.** An expansion of the telephonic language services for the purpose of conducting field office interviews. This proposal outlines the gradual replacement of existing contracts to allow comparable interpreter services to all four field office regions. In addition to consolidating existing interpreter services, FOD proposes expanding the use of language services in order to offer greater access to professional interpretation for most field office interviews.
- **Extreme Hardship (EH) Policy Implementation.** Recently implemented guidance on what may constitute a finding of extreme hardship and related training to the NBC and field. The

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operational guidance publication is in progress, which outlines those operational steps/requirements in support of the EH policy referenced above.

- **Provisional Unlawful Presence Waiver Guidance.** Recently implemented a new regulation which expands who may be eligible to apply for this provisional waiver to include any individual who is statutorily eligible for the unlawful presence waiver, including individuals seeking immigrant visas in family-based, employment-based and special immigrant visa categories as well as diversity visas, and all derivatives for these categories. Also expanded who may be considered a qualifying relative for purposes of the provisional waiver, consistent with the Immigration and Nationality Act, to include lawful permanent resident spouses and parents as currently allowed under. USCIS updated training at the National Benefits Center to address this expansion.
- **Military Parole-in-Place and Deferred Action Policy.** Recently implemented policy and operational guidance concerning who may qualify for military parole-in-place and deferred action.
- **Department of State Petition Routing Tool (PeRT) Implementation.** Field Operations Directorate has been working with Service Center Operations, Immigration Records and Identity Services and the Department of State on requirements gathering and development of the PeRT system. Implementation of PeRT will allow USCIS and the Department of State to electronically route petition information between USCIS offices and Department of State overseas posts.
- **New Field Office in Montgomery, Alabama.** A new USCIS field office is due to open mid-January 2017 in Montgomery, Alabama. This will be the only USCIS field office in the state.
- **Electronic Forms Receiving System (EFRS).** Fewer forms will be receipted directly at field office locations and more will be receipted at Lockboxes. This will require customers to be informed of the changes. USCIS is also updating its revenue collections and permitting manual receipting. EFRS implementation could lead to possible disruption for the customer and a learning curve for the field offices.
- **Notice of Appeal or Motion, Form I-290B.** Policy guidance was issued in November 2015, which adopted (from 8 Code of Federal Regulations 103.3) the initial field review within 45 days of appeals made to the Administrative Appeals Office. There is an initiative in progress to track appeals by developing a reporting and tracking mechanism to ensure that the initial field review occurs timely.
- **Denaturalization Project.** In response to a USCIS Officer of Inspector General (OIG) report, USCIS has conducted a review of approximately 1,800 cases in which an applicant who was previously ordered removed from the United States under a different identity was granted naturalization at a time when the paper fingerprint records that would have revealed

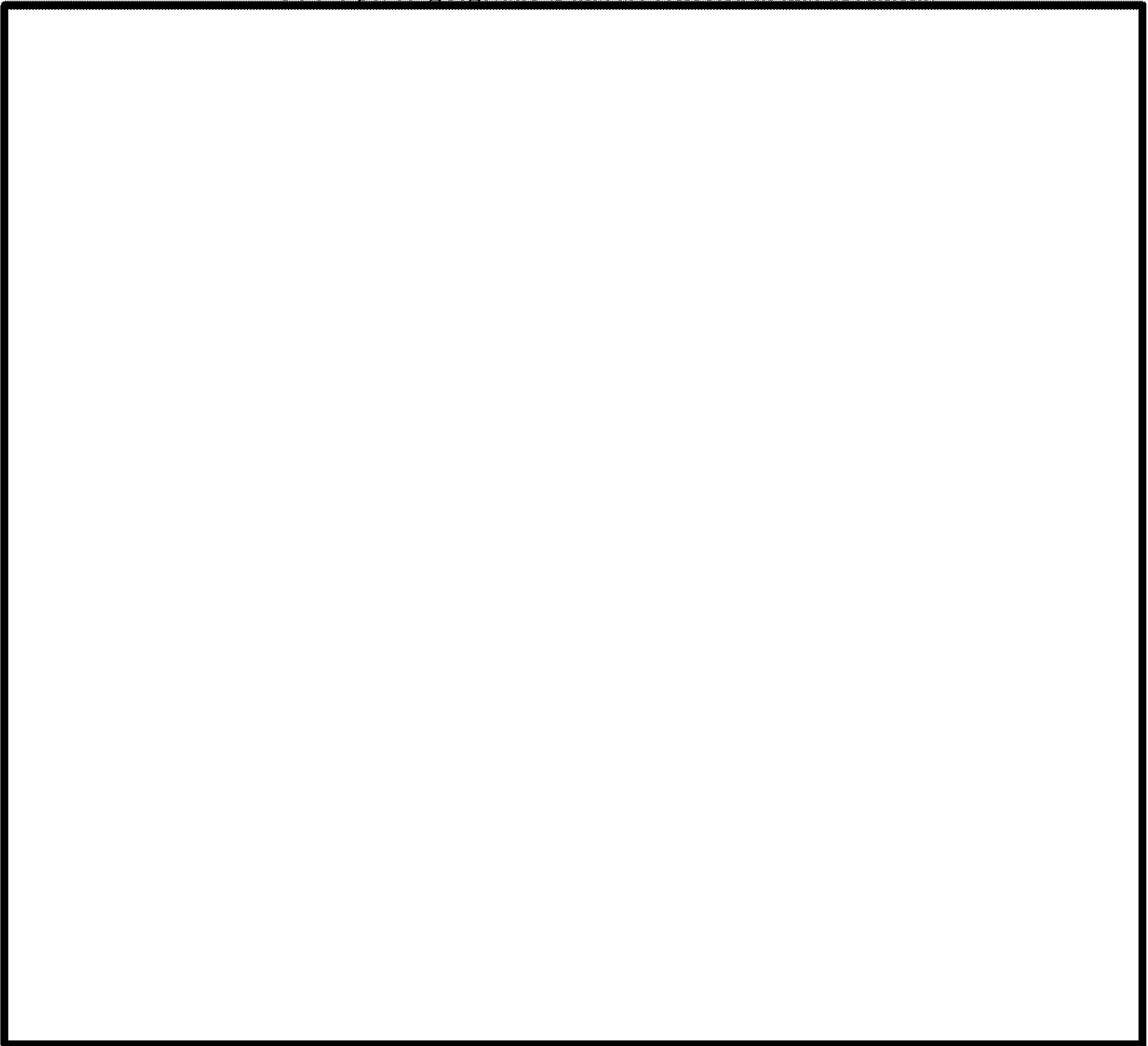
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the applicant's full immigration history were not available to USCIS. USCIS plans to seek denaturalization in many of these cases and is working toward preparing the cases for referral to the Department of Justice.

Please also note that the policy issues noted in item one and the regulations listed in item three, if implemented, would also have operational impacts.

3. Regulations: Please list and provide details on all regulations that are pending. Please list all regulations that will advance between now and January 20 as well as within the first 100 days of the new administration.

(b)(5) **Response:** DHS has previously provided a list of pending regulations for the Department. Below are the USCIS pending regulations that are reflected in that document.



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4. Major procurements: Please list and provide details on all major procurements \$100M and above that will advance between now and January 20 as well as within the first 100 days of the new administration.

Response: In the next two weeks, it is planned that USCIS will be making a source selection decision in the Field Office Support Services (FOSS) acquisition, which has a maximum period of performance of three years. The FOSS contract is in support of 30 USCIS Field Offices and 9 USCIS Asylum offices throughout the nation. The contract provides support to the Field Operations Directorate; the Refugee, Asylum, and International Operations (RAIO) Directorate; as well as the Fraud Detection and National Security (FDNS) Directorate. This support includes: correspondence management, file operations and maintenance, data reviews and updates, interview scheduling, certificate preparation and production, ceremony support, interview preparation (organizing casework), and file retrieval/maintenance.

5. Human capital: Please list and provide details on all major human capital issues you currently face. Please include current staffing numbers as well as growth in the offices over the last four years. Please provide context for any increases or reductions over the last four years.

Response:

General HR Issues

USCIS is dealing with outdated human resource IT infrastructure and processes. Specifically, USCIS lacks:

- An “end-to-end” Human Resources Information System (HRIS) solution to meet the ever-growing needs of human resources operations which include (but are not limited to): electronic approval/routing of requests for personnel actions, classification position description library and generator, recruitment and on-boarding, awards, employee benefits, and retirement as well as comprehensive and analytical reporting capabilities.
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DEPARTMENT OF HOMELAND SECURITY
8 CFR Parts 103, 204, and 205

[CIS No. 2577-15; DHS Docket No. USCIS-2016-0001]

RIN 1615-AC09

U.S. Citizenship and Immigration Services Fee Schedule

AGENCY: U.S. Citizenship and Immigration Services, DHS.

ACTION: Final rule.

SUMMARY: The Department of Homeland Security (DHS) is adjusting the fee schedule for immigration and naturalization benefit requests processed by U.S. Citizenship and Immigration Services (USCIS). The fee schedule was last adjusted on November 23, 2010. USCIS conducted a comprehensive fee review for the fiscal year (FY) 2016/2017 biennial period and determined that current fees do not recover the full cost of services provided. DHS has determined that adjusting the fee schedule is necessary to fully recover costs and maintain adequate service. DHS published a proposed fee schedule on May 4, 2016.

Under this final rule, DHS will increase fees by a weighted average of 21 percent; establish a new fee of \$3,035 covering USCIS costs related to processing the Employment Based Immigrant Visa, Fifth Preference (EB-5) Annual Certification of Regional Center, Form I-924A; establish a three-level fee for the Application for Naturalization, Form N-400; and remove regulatory provisions that prevent USCIS from rejecting an immigration or naturalization benefit request paid with a dishonored check or lacking the required biometric services fee until the remitter has been provided an opportunity to correct the deficient payment.

DATES: This rule is effective December 23, 2016. Applications or petitions mailed, postmarked, or otherwise filed on or after December 23, 2016 must include the new fee.

FOR FURTHER INFORMATION CONTACT: Joseph D. Moore, Chief Financial Officer, U.S. Citizenship and Immigration Services, Department of Homeland Security, 20 Massachusetts Avenue NW., Washington, DC 20529-2130, telephone 202-272-1969.

SUPPLEMENTARY INFORMATION:
Table of Contents

- I. Executive Summary
- II. Background
- III. Final Rule

- A. Changes in the Final Rule
- B. Corrections
- C. Summary of Final Fees
- IV. Public Comments on the Proposed Rule
 - A. General Comments
 - B. Relative Amount of Fees
 1. Proposed Fees Are Too High
 - a. Barrier to Family Reunification
 - b. Impact on Low-Income Individuals; Low Volume Reallocation
 2. Comments on Specific Fees and Adjustments
 - a. Application for Certificate of Citizenship, Forms N-600/600K
 - b. Adoption, Forms I-600/600A/800/800A
 - c. Petition for a Nonimmigrant Worker, Form I-129
 - d. Application To Register Permanent Residence or Adjust Status, Form I-485, and Interim Benefits
 - e. Application for Travel Document, Form I-131
 - f. Students
 - g. Application for Replacement Naturalization/Citizenship Certificate, Form N-565
 - h. Petition for Alien Relative, Form I-130
 - i. Application To Replace Permanent Resident Card, Form I-90
 - j. Genealogy, Forms G-1041/1041A
 - k. Petition To Remove Conditions on Residence, Form I-751
 - l. Petition for Alien Fiancé(e), Form I-129F
 - m. Petition for Amerasian, Widow(er), or Special Immigrant, Form I-360
 - n. Notice of Appeal or Motion, Form I-290B
 - o. Application for Civil Surgeon Designation, Form I-910
 - p. Application for Advance Permission to Enter as a Nonimmigrant, Form I-192, and Application for Waiver of Passport and/or Visa, Form I-193
 - C. Fee Waivers and Exemptions
 - D. Naturalization
 - E. Improve Service and Reduce Inefficiencies
 - F. Premium Processing
 - G. Immigrant Investors
 1. Application for Regional Center Under the Immigrant Investor Program, Form I-924
 2. Immigrant Petition by Alien Entrepreneur, Form I-526
 3. Petition by Entrepreneur To Remove Conditions on Permanent Resident Status, Form I-829
 - H. Methods Used To Determine Fee Amounts
 1. Recovery of Full Cost Without Appropriations
 2. Exclusion of Temporary or Uncertain Costs, Items, and Programs
 3. Setting Fees by Benefit Type
 4. Income-Based Fee Structure
 5. Reduction in USCIS Costs
 - I. Dishonored Payments
 - J. Refunds
 - K. Visa Allocation
 - L. Credit Card Payments
- V. Statutory and Regulatory Reviews
 - A. Regulatory Flexibility Act—Final Regulatory Flexibility Analysis
 1. A Statement of the Need for, and Objectives of, the Rule
 2. A Statement of the Significant Issues Raised by the Public Comments in

- Response to the Initial Regulatory Flexibility Analysis, A Statement of the Assessment of the Agency of Such Issues, and A Statement of Any Changes Made in the Proposed Rule as a Result of Such Comments
 - a. Comments on Form I-129
 - b. Comments on Forms I-360 and I-485
 - c. Comments on Forms G-1041 and G-1041A
 - d. Comments on Form I-924A
3. The Response of the Agency to Any Comments Filed by the Chief Counsel for Advocacy of the Small Business Administration in Response to the Proposed Rule, and a Detailed Statement of Any Change Made to the Proposed Rule in the Final Rule as a Result of the Comments
 4. A Description of and an Estimate of the Number of Small Entities to Which the Rule Will Apply or an Explanation of Why No Such Estimate is Available
 - a. Petition for a Nonimmigrant Worker, Form I-129
 - b. Immigrant Petition for an Alien Worker, Form I-140
 - c. Application for Civil Surgeon Designation, Form I-910
 - d. Regional Center Designation Under the Immigrant Investor Program, Form I-924 and I-924A
 - e. Petition for Amerasian, Widow(er), or Special Immigrant, Form I-360
 5. A Description of the Projected Reporting, Recordkeeping and Other Compliance Requirements of the Rule, Including an Estimate of the Classes of Small Entities Which Will Be Subject to the Requirement and the Type of Professional Skills Necessary For Preparation of the Report or Record
 6. A Description of the Steps the Agency Has Taken To Minimize the Significant Economic Impact on Small Entities Consistent With the Stated Objectives of Applicable Statutes, Including a Statement of the Factual, Policy, and Legal Reasons for Selecting the Alternative Adopted in the Final Rule and Why Each One of the Other Significant Alternatives to the Rule Considered by the Agency Which Affect the Impact on Small Entities was Rejected
 - B. Unfunded Mandates Reform Act
 - C. Small Business Regulatory Enforcement Fairness Act
 - D. Congressional Review Act
 - E. Executive Orders (E.O.) 12866 and 13563 (Regulatory Planning and Review)
 1. Background and Purpose of the Final Rule
 2. Amendments and Impacts of Regulatory Change
 - a. Dishonored Payments
 - b. Failure To Pay the Biometric Services Fees
 - c. Reduced Fee for Application for Naturalization
 - d. Refunds
 - f. Executive Order 13132 (Federalism)
 - G. Executive Order 12988 (Civil Justice Reform)
 - H. Family Assessment

- I. Paperwork Reduction Act—Comments on the Proposed Information Collection Changes
1. Request for Reduced Fee, Form I-942
 2. Annual Certification of Regional Center, Form I-924A

I. Executive Summary

The Department of Homeland Security (DHS) is adjusting the fee schedule for U.S. Citizenship and Immigration Services (USCIS). USCIS conducted a comprehensive fee review for the FY 2016/2017 biennial period, refined its cost accounting process, and determined that current fees do not recover the full costs of services provided. DHS has determined that adjusting USCIS' fee schedule is necessary to fully recover costs and maintain adequate service.

In this final rule, DHS will:

- Adjust fees by a weighted average increase of 21 percent to ensure that fees for each benefit type are adequate to cover USCIS' costs associated with processing applications and petitions, as well as providing similar benefits to asylum and refugee applicants¹ and certain other immigrants at no charge.

- Establish a new fee of \$3,035 to recover the full cost of processing the Employment Based Immigrant Visa, Fifth Preference (EB-5) Annual Certification of Regional Center, Form I-924A.

- Establish a three-level fee for Application for Naturalization, Form N-400. First, DHS will increase the standard fee for Form N-400 from \$595 to \$640. Second, DHS will continue to charge no fee to applicants who meet the requirements of sections 328 or 329 of the Immigration and Nationality Act of 1952 (INA) with respect to military service and applicants with approved fee waivers. Third, DHS will charge a reduced fee of \$320 for naturalization applicants with family income greater than 150 percent and not more than 200 percent of the Federal Poverty Guidelines.

- Remove regulatory provisions that prevent USCIS from rejecting an immigration or naturalization benefit request paid with a dishonored check or lacking the required biometric services fee until the remitter has been provided an opportunity to correct the deficient payment.

- Clarify that persons filing any benefit request may be required to appear for biometrics services or an interview and may be required to pay the biometrics services fee.

¹ Although the President has announced an increase in the refugee admissions ceiling to 110,000, the final fee structure includes costs for only 100,000, which was the anticipated ceiling at the time that the fee review was conducted.

II. Background

DHS published a notice of proposed rulemaking (NPRM) on May 4, 2016, which proposed adjusting USCIS' fee schedule by a weighted average increase of 21 percent. See *U.S. Citizenship and Immigration Services Fee Schedule; Proposed Rule*, 81 FR 26904. This final rule establishes the first fee adjustment since 2010. It is a result of a comprehensive fee review conducted by USCIS for the FY 2016/2017 biennial period. During the fee review, USCIS determined that current fees do not recover the full costs of processing immigration benefits. This final rule reflects full cost recovery including program costs that DHS excluded in the 2010 final rule. USCIS provided the FY 2016/2017 Immigration Examinations Fee Account (IEFA) Fee Review Supporting Documentation (supporting documentation), which includes budget methodology, and regulatory flexibility analysis, in the public docket. See <http://www.regulations.gov>, docket number USCIS-2016-0001.

This final rule includes the addition of fee surcharges applied to certain immigration benefits to fully recover costs related to the USCIS Refugee, Asylum, and International Operations Directorate (RAIO), the Systematic Alien Verification for Entitlements (SAVE) program (to the extent not recovered from users),² and the Office of Citizenship.³ In the 2010 final rule, USCIS assumed it would continue receiving funding for these programs through congressional appropriations. See *U.S. Citizenship and Immigration Services Fee Schedule*, 75 FR 58962, 58966 (Sept. 24, 2010). The 2010 final rule removed asylum, refugee, and military naturalization costs from the fee structure and assumed that immigration fees would not be used to recover the costs of adjudicating asylum, refugee, and military naturalization requests, as well as costs associated with the SAVE program and

² The SAVE program was established in 1987 by the Immigration Reform and Control Act, Pub. L. 99-603, sec. 121(c) (Nov. 6, 1986), which required the Commissioner of the Immigration and Naturalization Service to "implement a system for the verification of immigration status . . . so that the system is available to all States by not later than October 1, 1987." SAVE uses an internet-based service to assist Federal, state, and local benefit-issuing and licensing agencies, and other governmental entities, in determining the immigration status of benefit or license applicants, so that only those applicants entitled to benefits or licenses receive them.

³ The USCIS Office of Citizenship was established by section 451(f) of the Homeland Security Act of 2002, Pub. L. 107-296, sec. 451(f) (2002). The statute tasks the office with "promoting instruction and training on citizenship responsibilities for aliens interested in becoming naturalized citizens."

the Office of Citizenship. The final rule removed all of these costs from the USCIS fee structure, instead assuming that these services would be funded using appropriated funds. See 75 FR 58963. That budget request was not fulfilled, and USCIS was left to fund the cost of these programs after having removed the surcharge. See Pub. L. 112-10, sec. 1639 (Apr. 15, 2011).⁴

DHS issues this final rule consistent with the Immigration and Nationality Act (INA) section 286(m), 8 U.S.C. 1356(m) (authorizing DHS to charge fees for adjudication and naturalization services at a level to ensure recovery of the full costs of providing all such services, including the costs of similar services provided without charge to asylum applicants or other immigrants) and the Chief Financial Officers (CFO) Act of 1990, 31 U.S.C. 901-03 (requiring each agency's CFO to review, on a biennial basis, the fees imposed by the agency for services it provides, and to recommend changes to the agency's fees). The NPRM provides additional information on the legal authority, non-statutory guidance, and background on the IEFA fees. See 81 FR 26906.

III. Final Rule

A. Changes in the Final Rule

This section details the changes made in this final rule as compared to the NPRM. These changes are summarized as follows:

1. Application to Register Permanent Residence or Adjust Status, Form I-485. DHS has revised the regulatory language regarding the fee for the Application to Register Permanent Residence or Adjust Status, Form I-485, to clarify that the proposed \$750 discounted fee is available for all applicants under 14 years old who submit their Form I-485 with that of a parent. These revisions accord the fee regulations with the current Form I-485 instructions and intake practices. See new 8 CFR 103.7(b)(1)(i)(U)(2); 81 FR 26919. The section later in this preamble entitled, "Adjustment of Status, Form I-485, and Interim Benefits," provides more details about this change.

⁴ USCIS received \$29.95 million of the requested \$248 million to fund a portion of the refugee and asylum processing administered under the RAIO Directorate and military naturalization processing in Fiscal Year 2011. USCIS has not received any substantial appropriations for these programs since FY 2011. USCIS received \$2.5 million for the immigrant integration grants program in FY 2014 (Pub. L. 113-76) and FY 2013 (Pub. L. 113-6). USCIS did not receive appropriations for the immigrant integration grants program in FY 2015 or FY 2016. Similarly, USCIS received no FY 2016 discretionary appropriations for the SAVE program or for the Office of Citizenship. See DHS Appropriations Act 2016, Pub. L. 114-113, div. F. (Dec. 18, 2015).

2. Dishonored payments. DHS has also clarified the regulations governing USCIS actions when a check used to pay the required fee is dishonored by the remitter's bank. Under this final rule, USCIS will submit all initially rejected payments to the applicant's bank a second time for it to clear or be rejected. 8 CFR 103.2(a)(7)(ii)(D). If the check is rejected again following re-submission by USCIS, it will reject the case for fee non-payment. If the case has been approved, USCIS will send a notice of intent to revoke the approval. The section later in this preamble entitled, "Dishonored Payments," provides more details about this change.

3. Application for Advance Permission to Enter as a Nonimmigrant, Form I-192, and Application for Waiver for Passport and/or Visa, Form I-193. DHS has made adjustments to the proposed fees in the final rule for the Application for Advance Permission to Enter as a Nonimmigrant, Form I-192, and the Application for Waiver for Passport and/or Visa, Form I-193. For the reasons outlined in section IV.B.2.p. of this preamble, the fees that will be charged for Forms I-192 and I-193 will remain at \$585, rather than the proposed fee of \$930 when such forms are submitted to and processed by the U.S. Customs and Border Protection

(CBP). See new 8 CFR 103.7(b)(1)(i)(P)-(Q).

B. Corrections

DHS inadvertently listed Application by Refugee for Waiver of Grounds of Excludability, Form I-602, in the NPRM preamble and the supporting documentation. DHS listed Form I-602 in the NPRM as part of Waiver Forms in section IV, Fee Review Methodology, at 81 FR 26916 and tables 8 and 9 at 81 FR 26926-26927. USCIS referenced it on pages 24, 47, 49, and 50 of the accompanying supporting documentation. The docket of this final rule includes a corrected version of the supporting documentation without references to Form I-602. Form I-602 has no fee and DHS should not have included it in these lists or tables. The NPRM did not assume any fee-paying workload for Form I-602; therefore, removing it from the fee schedule does not affect other fees. DHS continues to not charge a fee for Form I-602.

DHS also inadvertently did not include provisions for what would occur if a benefit request was approved before USCIS became aware that the fee payment was dishonored by the remitter institution. See proposed 8 CFR 103.2(a)(7)(ii), 103.7(a)(2); 81 FR 26936-26937. Specifically, DHS proposed to remove the requirement that USCIS

provide notification to the requester whenever an instrument used to pay the filing fee is returned as not payable, with 14 days to cure the deficiency. However, DHS neglected to propose the necessary conforming change to 8 CFR 205.1(a)(2), which provides that the approval of a petition or self-petition made under INA section 204 is automatically revoked if the filing fee and associated service charge are not paid within 14 days of the notification to the remitter that his or her check or other financial instrument used to pay the filing fee has been returned as not payable. The latter provision must be revised to conform it to the proposed change described previously. That oversight has been corrected in this final rule. New 8 CFR 103.7(a)(2)(iii), 205.1(a). This change is discussed in more detail in the response to the public comments regarding dishonored payments.

C. Summary of Final Fees

The current USCIS fee schedule and the fees adopted in this final rule are summarized in Table 1. DHS bases the final fees on the FY 2016/2017 estimated cost baseline as outlined in the NPRM. The table excludes fees established and required by statute and those that DHS cannot adjust.

TABLE 1—NON-STATUTORY IEFA IMMIGRATION BENEFIT REQUEST FEES

Form No. ⁵	Title	Current fee	Final fee
G-1041	Genealogy Index Search Request	\$20	\$65
G-1041A	Genealogy Records Request (Copy from Microfilm)	20	65
G-1041A	Genealogy Records Request (Copy from Textual Record)	35	65
I-90	Application to Replace Permanent Resident Card	365	455
I-102	Application for Replacement/Initial Nonimmigrant Arrival-Departure Document.	330	445
I-129/129CW	Petition for a Nonimmigrant Worker	325	460
I-129F	Petition for Alien Fiancé(e)	340	535
I-130	Petition for Alien Relative	420	535
I-131 ⁶ /I-131A ⁷	Application for Travel Document	360	575
I-140	Immigrant Petition for Alien Worker	580	700
I-191	Application for Advance Permission to Return to Unrelinquished Domicile.	585	930
I-192	Application for Advance Permission to Enter as Nonimmigrant	585	^a 585/930
I-193	Application for Waiver of Passport and/or Visa	585	585
I-212	Application for Permission to Reapply for Admission into the U.S. After Deportation or Removal.	585	930
I-290B	Notice of Appeal or Motion	630	675
I-360	Petition for Amerasian Widow(er) or Special Immigrant	405	435
I-485	Application to Register Permanent Residence or Adjust Status	985	1,140
I-485	Application to Register Permanent Residence or Adjust Status (certain applicants under the age of 14 years).	635	750
I-526	Immigrant Petition by Alien Entrepreneur	1,500	3,675
I-539	Application to Extend/Change Nonimmigrant Status	290	370
I-600/600A	Petition to Classify Orphan as an Immediate Relative/Application for Advance Petition Processing of Orphan Petition.	720	775
I-800/800A	Petition to Classify Convention Adoptee as an Immediate Relative/Application for Determination of Suitability to Adopt a Child from a Convention Country.	720	775
I-601	Application for Waiver of Ground of Excludability	585	930
I-601A	Application for Provisional Unlawful Presence Waiver	585	630

TABLE 1—NON-STATUTORY IEFA IMMIGRATION BENEFIT REQUEST FEES—Continued

Form No. ⁵	Title	Current fee	Final fee
I-612	Application for Waiver of the Foreign Residence Requirement (Under Section 212(e) of the INA, as Amended).	585	930
I-687	Application for Status as a Temporary Resident under Section 245A of the Immigration and Nationality Act.	1,130	1,130
I-690	Application for Waiver of Grounds of Inadmissibility	200	715
I-694	Notice of Appeal of Decision	755	890
I-698	Application to Adjust Status From Temporary to Permanent Resident (Under Section 245A of the INA).	1,020	1,670
I-751	Petition to Remove Conditions on Residence	505	595
I-765	Application for Employment Authorization	380	410
I-800A Supp. 3	Request for Action on Approved Form I-800A	360	385
I-817	Application for Family Unity Benefits	435	600
I-824	Application for Action on an Approved Application or Petition	405	465
I-829	Petition by Entrepreneur to Remove Conditions	3,750	3,750
I-910	Application for Civil Surgeon Designation	615	785
I-924 ⁹	Application for Regional Center Designation Under the Immigrant Investor Program.	6,230	17,795
I-924A	Annual Certification of Regional Center	0	3,035
I-929	Petition for Qualifying Family Member of a U-1 Nonimmigrant	215	230
N-300	Application to File Declaration of Intention	250	270
N-336	Request for Hearing on a Decision in Naturalization Proceedings	650	700
N-400	Application for Naturalization	595	640
N-470	Application to Preserve Residence for Naturalization Purposes	330	355
N-565	Application for Replacement Naturalization/Citizenship Document	345	555
N-600/N-600K	Application for Certification of Citizenship/Application for Citizenship and Issuance of Certificate under Section 322.	¹⁰ 600/550	1,170
	USCIS Immigrant Fee ¹¹	165	220
	Biometric Services Fee	85	85

⁵ Form, when used in connection with a benefit or other request to be filed with DHS to request an immigration benefit, means a device for the collection of information in a standard format that may be submitted in a paper format or an electronic format as prescribed by USCIS on its official Internet Web site. The term "Form" followed by an immigration form number includes an approved electronic equivalent of such form as made available by USCIS on its official Internet Web site. See 8 CFR 1.2 and 299.1. Therefore, the word "form" is used in this final rule in both the specific and general sense.

⁶ As described in the NPRM, the United States' obligations under the 1967 Protocol relating to the Status of Refugees (incorporating by reference Article 28 of the 1951 U.N. Convention relating to the Status of Refugees) guide the Application for Travel Document fees for a Refugee Travel Document. The USCIS ABC model does not calculate these fees. See 8 CFR 103.7(b)(1)(i)(M)(2) and (3).

⁷ On August 31, OMB approved Form I-131A, Application for Travel Document (Carrier Documentation). The new form will be used by Lawful Permanent Residents (LPRs) who are temporarily overseas and have lost their Permanent Resident Card or Reentry Permit, to apply for a Travel Document. See <https://www.uscis.gov/i-131a>.

⁸ The fee for Form I-192 will remain \$585 when filed with and processed by CBP.

⁹ DHS removed the word "Pilot" from the form title. See new 8 CFR 103.7(b)(1)(i)(WW).

¹⁰ The current fee for applications filed on behalf of a biological child is \$600. The fee for an adopted child is \$550. There is no fee for any application filed by a member or veteran of any branch of the U.S. Armed Forces.

¹¹ DHS changed the fee name to "USCIS Immigrant Fee." See new 8 CFR 103.7(b)(1)(i)(D).

IV. Public Comments on the Proposed Rule

DHS provided a 60-day comment period following publication of the NPRM; 436 comments were posted to regulations.gov. Although 475 comments were received on the docket, 38 were not posted and one was withdrawn. As noted in the proposed rule, DHS may withhold information provided in comments from public viewing if it determines that such information is offensive or may affect the privacy of an individual. 81 FR 26905.

A. General Comments

DHS received comments from a broad spectrum of individuals and organizations, including refugee and immigrant service and advocacy organizations, public policy groups, members of Congress, and private citizens. Some commenters wrote that they supported the fee changes while others were critical of them. Many commenters wrote that they were generally unsupportive of the weighted average increase; others commented on specific form types. Some commenters wrote about alternative methods to reduce costs and inefficiencies.

DHS also received several comments on subjects that are not related to the proposed fees and are outside the scope of the NPRM. With limited exception as explicitly stated below, DHS has not

separately summarized or responded to these comments.

B. Relative Amount of Fees

Most commenters stated opposition to the fee increases. Some commenters suggested that fee increases would reduce the number of people seeking immigration benefits. Some commenters stated that the proposed fees did not reflect the actual adjudicative workload of particular benefit types. Several commenters stated that proposed fees were too low, but the clear majority stated that the fees were too high.

Although DHS summarizes and responds to these concerns in more detail below, it emphasizes that, as an initial matter and as articulated in the NPRM, DHS needs to increase USCIS fees by a weighted average increase of 21 percent to offset growing costs and continue to provide an adequate level of service, as provided by section 286(m) of the INA, 8 U.S.C. 1356(m), which authorizes USCIS to "ensure recovery of the full costs of providing all such services, including the costs of similar services provided without charge." As reflected in this provision, some USCIS fees must exceed the cost of adjudicating the respective benefit types to cover those benefits provided without charge, such as refugee benefits, asylum benefits, and other fee-exempt, fee-waived or fee-reduced workloads. Furthermore, as explained in the NPRM,

"DHS may reasonably adjust fees based on value judgements and public policy reasons where a rational basis for the methodology is propounded in the rulemaking." See 81 FR 26907.

An example is the policy decision to include a fee exemption for individuals who are victims of a severe form of human trafficking and who assist law enforcement in the investigation or prosecution of those acts of trafficking (who may qualify for T visas), and individuals who are victims of certain crimes and are being helpful to the investigation or prosecution of those crimes (who may qualify for U visas). The cost of processing those fee-exempt visas must be recovered through fees charged for other benefit requests. See INA secs. 101(a)(15)(T), (U), 214(o), (p), 8 U.S.C. 1101(a)(15)(T), (U), and 1184(o), (p); 8 CFR 214.11, 214.14, 103.7(c)(5)(iii); *Adjustment of Status to Lawful Permanent Resident for Aliens in T or U Nonimmigrant Status*, 73 FR 75540 (Dec. 12, 2008). Such a decision would inevitably cause an unsustainable reduction in fee revenue unless DHS spread the cost of the fee exemption among other fee-paying applicants and petitioners. Accordingly, consistent with section 286(m) of the INA, 8 U.S.C. 1356(m), DHS sets fees for other fee-paying applicants and petitioners at a level sufficient to recover the full costs of providing all such services.

Similarly, a decision to allow fee waivers for a particular benefit request, or a decision to allow a reduced fee, will also have an impact on other fee-paying applicants and petitioners. For instance, when USCIS determines to hold a fee to a smaller percentage increase than the overall methodology suggests (in this rule, DHS uses an 8 percent weighted average increase for those benefits that it determines should be held to a smaller fee increase¹²), there are cascading effects on other fee-paying applicants and petitioners. These fee-reduced immigration benefit requests may not recover the full cost of their associated workloads or the full cost of their respective fee waivers. The portion of costs that is not recovered is reallocated to other immigration benefit requests.

Correspondingly, when DHS sets a fee for a given benefit request at the level

¹² In this rule, USCIS applies this increase to a number of benefit types, including the Application for Naturalization, Form N-400; Application for Employment Authorization, Form I-765; and adoption-related applications, Forms I-600/600A/800/800A. This smaller increase, which in this rulemaking amounts to 8 percent, is the percentage difference between the current fees and the model output before reallocation, weighted by fee-paying volume. See 81 FR 26915.

suggested by the USCIS fee-setting methodology, without further adjustment, the associated immigration benefit request absorbs a portion of the additional costs associated with the immigration benefit requests that are held down to the 8 percent weighted average increase. These fees recover the full cost of their respective fee waivers, plus some of the fee waiver costs for immigration benefit requests that are held down to the 8 percent weighted average increase.¹³ These fees also recover a greater portion of the cost of fee-exempt services.

1. Proposed Fees Are Too High

The largest number of commenters wrote in opposition to the overall increase in fees. Several commenters expressed concern over specific populations (such as families or potential adoptive families) that may be particularly affected by the fee increases. Some commenters believed that a steep increase in fees would result in increased illegal immigration, particularly for individuals who may not be able to afford increased costs associated with existing legal avenues. Some commenters suggested that the increase in fees could discourage certain individuals from attempting to work or ultimately seeking lawful permanent residence resident (LPR) status in the country.

As an initial matter, DHS notes that as stated in the NPRM, it attributes 17 percent of the 21 percent weighted average fee increase to the reinstatement of the surcharge needed to sustain current operating levels of RAIO, the SAVE program, and the Office of Citizenship, as well as to account for a projected loss in fee revenue resulting from a significant increase in the number of fee waivers currently received (and which is expected to continue throughout FY 2016/2017). See 81 FR 26911. The remaining 4 percent is needed to recover the cost of sustaining current operating levels and to allow for limited, strategic investments necessary to ensure the agency's information technology infrastructure is strengthened. Such strengthening is needed to protect against potential cyber intrusions and to build the disaster recovery and back-up capabilities required to effectively deliver on the USCIS mission. See 81 FR 26910. For comparison, the inflation

¹³ See Appendix Table 4, Cost Reallocation column in the supporting documentation. Those figures represent all additional costs, including the cost of forms that are held to the 8 percent weighted average increase based on policy decisions, that USCIS applies to fees to ensure full cost recovery.

from July 2010 to July 2016 was 9.5 percent.¹⁴

DHS notes that fees do not merely cover the cost of adjudication time. The fees also cover the resources required for intake of immigration benefit requests, customer support, fraud detection, background checks, and administrative requirements.¹⁵ DHS also reiterates that any further fee adjustments would be zero-sum. Given the need to recover the full cost of the services provided, a decision reducing the fee burden on one population of beneficiaries will ultimately increase the burden on others.

a. Barrier to Family Reunification

A number of commenters stated that an increase in fees could potentially prevent family reunification for certain U.S. citizens and lawful permanent residents (LPRs), especially for individuals seeking to reunite with several family members. USCIS understands the importance of facilitating family reunification, as well as the advantages that LPR status and citizenship provide. DHS acknowledges that certain individuals may need to file multiple requests, and thus pay multiple fees, depending on the number of family members they seek to sponsor. Nonetheless, USCIS filing fees are necessary to provide the resources required to do the work associated with such filings. When fees do not fully recover costs, USCIS is unable to maintain sufficient capacity to process requests. Inadequate fees may cause significant delays in immigration request processing, which can result in the burden of longer separation from family members.

DHS recognizes that fees impose a burden on fee-paying applicants and beneficiaries, and it takes steps to mitigate that burden as appropriate. Specifically, after USCIS applies its standard fee-setting methodology to identify the Activity-Based Cost (ABC)¹⁶ model output for each benefit

¹⁴ The semiannual average consumer price index for all urban consumers (CPI-U) was 217.5 in July 2010 and 238.8 in July 2016. The change in the Index over 9 years was 21.3 or 9.5 percent. See U.S. Department of Labor, Bureau of Labor Statistics, All Urban Consumers (CPI-U) Semiannual Average tables, available at http://www.bls.gov/cpi/cpi_dr.htm. DHS has not recently adjusted IEFA fees by CPI-U inflation, but provides this figure as a point of comparison.

¹⁵ See Appendix Table 5: Activity Unit Costs by Immigration Benefit Request After Cost Reallocation of the supporting documentation. Pages 19-20 define the activities in the appendix table.

¹⁶ USCIS uses the ABC model to determine the full cost of processing immigration benefit requests and biometric services. This is the same methodology used in the last four fee reviews and the basis for the current fee structure. The ABC

request, USCIS evaluates the model output and determines whether it should be adjusted. DHS is mindful that departures from the standard USCIS fee-setting methodology result in lower fees for some and higher fees for others. DHS discusses these adjustments in more detail in the remainder of this preamble, including by reference to certain family-based benefit requests, such as the Petition for Alien Relative, Form I-130.

b. Impact on Low-Income Individuals; Low Volume Reallocation

Several commenters stated that the proposed rule would harm the ability of low-income applicants and petitioners to afford USCIS services. Some of these commenters suggested that the proposed overall fee increase would result in a reduction in overall filings from low-income applicants and petitioners. Commenters discussed the importance of maintaining an immigration system that is accessible to people at all income levels.

DHS is aware of the potential impact of fee increases on low-income individuals and is sympathetic to these concerns. As a result, DHS not only offers fee waivers, but also uses its fee-setting discretion to adjust certain immigration benefit request fees that USCIS believes may be overly burdensome on applicants, petitioners, and requestors if set at the recommended model output levels. As discussed in the proposed rule and supporting documentation, and consistent with past practice, USCIS proposed to limit fee adjustments for certain benefit requests to a set percentage increase above current fees. USCIS determined this figure by calculating the average percentage fee increase across all model outputs before cost reallocation. In this rule, that calculated figure is 8 percent. This methodology is referred to as Low Volume Reallocation.

The use of Low Volume Reallocation frequently results in lower fees for certain low-income applicants and petitioners, but always results in higher fees for other benefit requests. This is because USCIS relies almost completely on fee revenue to support its operations. DHS is therefore mindful to use low volume reallocation only where compelling circumstances counsel in

model is a business management tool that assigns resource costs to operational activities and then to products and/or services. These assignments provide an accurate cost assessment of each major step towards producing the individual outputs of an organization. For additional information on the ABC model, see pages 17–22 of the supporting documentation.

favor of shifting costs from one benefit request to others.

Nonetheless, as proposed, in this final rule, DHS will continue applying Low Volume Reallocation from the 2010 final rule to the following forms:

- Notice of Appeal or Motion, Form I-290B
- Petition for Amerasian, Widow(er) or Special Immigrant, Form I-360
- Petition to Classify Orphan as an Immediate Relative, Form I-600, and Application for Advance Processing of an Orphan Petition, Form I-600A
- Petition to Classify Convention Adoptee as an Immediate Relative, Form I-800, and Application for Determination of Suitability to Adopt a Child from a Convention Country, Form I-800A
- Petition for Qualifying Family Member of a U-1 Nonimmigrant Form I-929
- Application to File Declaration of Intention, Form N-300
- Request for Hearing on a Decision in Naturalization Proceedings, Form N-336
- Application to Preserve Residence for Naturalization Purposes, Form N-470

Also as proposed, DHS will apply the same calculated 8 percent weighted average increase to the following benefit types:

- Application for Provisional Unlawful Presence Waiver, Form I-601A
- Application for Employment Authorization, Form I-765
- Request for Action on Approved Form I-800A, Form I-800A Supplement 3

DHS believes that the use of Low Volume Reallocation will mitigate the potential burden of this final rule on certain low-income applicants and petitioners.¹⁷ DHS intends to continue assessing the affordability of its fees in future fee reviews. This may result in continuing Low Volume Reallocation, otherwise reallocating certain costs, and identifying cost savings. For purposes of this final rule, however, DHS has not materially changed the proposed rule to address the commenters' stated concerns with the proposed overall fee increase.

2. Comments on Specific Fees and Adjustments

While many commenters indicated that they were opposed to the overall increase in fees, some comments

¹⁷ DHS has not estimated the overall effect that this final rule will have on filing volume from low-income applicants. USCIS may consider exploring options to collect and analyze this data in the future.

focused on increases to particular forms or to specific groups of applicants, petitioners, or requestors. Those comments are addressed below.¹⁸

a. Application for Certificate of Citizenship, Forms N-600/600K

In the NPRM, DHS proposed fee increases for the Application for Certificate of Citizenship, Form N-600, and the Application for Citizenship and Issuance of Certificate Under Section 322, Form N-600K. Under the proposed rule, the current \$600 fee for applications filed on behalf of biological children would be increased by \$570, or 95 percent, to \$1,170. The proposed rule also would eliminate the current \$50 discount on applications filed on behalf of adopted children, previously codified at 8 CFR 103.7(b)(1)(i)(AAA), thereby effectively increasing fees for such applications by \$620, or 103 percent. *Id.*

A number of commenters stated that DHS should reconsider the proposed fee increases. Some commenters requested additional information to explain the increases. Certain commenters who submitted comments through a form letter campaign stated that the proposed increases were troubling considering that USCIS had not reported a significant increase in application volume or processing times.

Some commenters stated that the proposed fee increase would result in a significant additional burden for potential adoptive families, who already invest a great deal of time and money in the adoption process. Some stated that Forms N-600 and N-600K should be free or discounted for adopted children, or alternatively maintained at the current fee. A commenter stated that the Department of State (DOS) processes derivative citizens' requests for passports in substantially the same manner that USCIS processes Forms N-600 and N-600K, yet DOS only charges \$120 for a passport book for a child younger than 16 years of age. Other commenters stated that many adopted children automatically derive U.S. citizenship from their parents when they enter the United States, while other children derive U.S. citizenship when their adoptions are completed.¹⁹ Several commenters noted that a passport may be an effective alternative to the certificate for naturalization.

¹⁸ DHS addresses the comments on specific immigration benefit requests in approximate order of the number of commenters who submitted comments on that subject.

¹⁹ See U.S. Citizenship and Immigration Services, *Before Your Child Immigrates to the United States* (11/18/2014), available at <https://www.uscis.gov/adoption/your-child-immigrates-united-states>.

As noted previously, USCIS based the proposed fee increase for the Forms N-600 and N-600K on the results of its comprehensive biennial fee review, a summary of which was available for comment in the docket accompanying the proposed rule. The biennial fee review helps ensure that fees for USCIS services cover the full cost of processing immigration benefits. In the absence of full cost recovery, USCIS would be unable to sustain an adequate level of service, let alone invest in program improvements.

DHS recognizes that fees impose a burden on fee-paying applicants and beneficiaries, and takes steps to mitigate that burden as appropriate. Specifically, after DHS applies the standard USCIS methodology to identify the model output for each benefit request, DHS evaluates the model output and determines whether it should be adjusted. In the NPRM, DHS proposed to limit a small number of fees to an 8 percent weighted average increase for one or more of the following three reasons: (1) DHS determined that the combined effect of cost, fee-paying volume, and methodology changes since the previous fee rule would otherwise place an inordinate fee burden on individuals requesting these types of benefits; (2) DHS determined that an adjustment was necessary to promote citizenship and immigrant integration or other policies; or (3) DHS lacked data on which to base an appropriate fee. See 81 FR 26915. For example, DHS proposed to limit to the 8 percent weighted average increase to the Application for Naturalization and the adoption petition and application fees (explained in the sections of this preamble that discuss those requests).

DHS is mindful that departures from the standard USCIS fee methodology result in lower fees for some and higher fees for others. DHS is careful to use its fee setting discretion in a way that does not result in unnecessary or unjustifiable burdens for fee-paying applicants and petitioners. Accordingly, the proposed rule (like past fee rules) would have set most fees above cost, in adherence to the fee-setting methodology. The fee for Forms N-600 and N-600K is one of those fees.

Setting aside the effect of cost reallocation,²⁰ DHS attributes the

proposed increase to the fee for Forms N-600 and N-600K to a significant increase in the number of fee waivers granted for such forms.²¹ In the 2010 final rule, DHS assumed that every applicant would pay the fee for Forms N-600 and N-600K. However, the fee-paying volume estimate for Forms N-600 and N-600K decreased from 100 percent in FY 2010/2011 to 67 percent in FY 2016/2017 due to applicants receiving fee waivers. The standard fee-setting methodology provides that the costs of waived or exempted fees are to be recovered from fee-paying applicants submitting the same form(s) (in this case, applicants filing Forms N-600 and N-600K).²² See 81 FR 26922. The previous fee for Form N-600 was set under the assumption that 100 percent of filers would pay the fee; as the NPRM explained, however, a third of Form N-600 filers are receiving fee waivers. These waivers account for a large portion of the costs that must now be addressed through the proposed fee increase. In short, the Form N-600 fee in the proposed rule is the result of consistent application of USCIS's fee-setting methodology. No adjustment was made to the fee calculated under the methodology based on other policy considerations.

DHS is setting the fees for several other forms at a level that is less than their projected cost. If DHS similarly limited the fee for an Application for a Certificate of Citizenship, however, it would need to raise other fees to recover these expenses. USCIS estimates that each such instance would increase other fees between \$5 and \$210, with an average increase of \$21.

With respect to comments about the potential impact of the proposed fee increase on adoptive families in particular, DHS notes that Forms N-600 and N-600K are not primarily used by adoptive families. USCIS estimates that adopted children represent less than 10 percent of the workload related to Applications for Certificate of Citizenship.²³ Although DHS could have established a separate fee for adopted children, the cost of such a departure from the standard fee-setting

program, and the Office of Citizenship, USCIS currently distributes these costs to all form types not set below projected cost. See 81 FR 26915.

²¹ See Appendix Table 4 of the supporting documentation.

²² When DHS holds a fee below cost, the costs that are not covered, including fee waivers, must be paid by other fee paying applicants. Specifically, other immigration benefits whose fees are not held down recover the additional cost.

²³ Based on FY 2015 actual revenue data, less than 10 percent of fee-paying applicants for Forms N-600 or N-600K paid the lower fee for adopted children.

methodology would be borne by other fee-paying applicants and petitioners.²⁴ Similarly, if DHS set the fee for this benefit request at an equivalent level to the DOS passport fee, DHS would be required to substantially increase other fees to ensure full-cost recovery. DHS agrees with commenters that in many cases, a passport will serve the same purpose as a certificate of citizenship, and for a lower cost to the applicant. Finally, DHS notes that adjudicating a Form N-600 for an adopted child is similar in workload and difficulty to the adjudication of an Application for Certificate of Citizenship for a biological child. There would be no cost-related basis for establishing a separate fee for adopted children.

For the reasons stated above, DHS has not revised the proposed fee in this final rule. Under this final rule, the fee for the Application for Certificate of Citizenship, Form N-600, and the Application for Citizenship and Issuance of Certificate Under Section 322, Form N-600K, will be \$1,170.

b. Adoption, Forms I-600/600A/800/800A

In the NPRM, DHS proposed to increase the fee for the (1) Petition to Classify Orphan as an Immediate Relative, Form I-600; (2) Application for Advance Processing of an Orphan Petition, Form I-600A; (3) Petition to Classify Convention Adoptee as an Immediate Relative, Form I-800; and (4) Application for Determination of Suitability to Adopt a Child from a Convention Country, Form I-800A. The proposed increase would change the fee for each of these forms from \$720 to \$775. See proposed 8 CFR 103.7(b)(1)(i)(Y), (Z), (JJ)(2), (KK); 81 FR 26939. DHS proposed to hold the increase for these benefit types (among others) to an 8 percent increase because the combined effect of cost, fee-paying volume, and methodology changes since the last fee rule would otherwise place an inordinate fee burden on individuals

²⁴ DHS will continue its policy of reducing fee burdens on adoptive families in other ways. For instance, DHS will continue to allow fee waivers for the Form N-600. DHS will also continue to cover costs attributable to the adjudication of adoption petitions and applications (Forms I-600/600A/800/800A) through the fees collected from other requests. This policy is described in the following section on "Adoption." Note that in the NPRM, the row for Forms I-600/600A/800/800A was labeled as "orphan petitions." The term "orphan" only applies to Forms I-600 and Form I-600A. The row includes data for all of the adoption forms. Therefore, DHS changed the label for Forms I-600/600A/800/800A from "orphan petitions" to "adoption petitions and applications" in the final rule and in several tables within the supporting documentation. The changes only affect the labels for the rows and do not represent a change in the data or calculations.

²⁰ At least one commenter indicated that the RAIO surcharge seemed to be a large contributor to the increase in the proposed fee for the Form N-600. The commenter suggested that the RAIO surcharge should be redistributed to all other forms to reduce the financial burden of the proposed fee increase on adoptive parents. As outlined in the NPRM, Forms N-600 and 600K are not the only forms that recover the cost of RAIO, the SAVE

requesting these types of benefits. For example, if DHS did not maintain the proposed fee for the Form I-600, this benefit request would have a fee of at least \$2,258. DHS believes it would be contrary to the public interest to impose a fee of this amount on an estimated 15,000 potential adoptive parents each year.

Some commenters wrote in opposition to the proposed fee increases associated with intercountry adoptions or stated that DHS should reconsider these fee increases. Commenters wrote that all adoption-related fees should remain at the current level, be lowered, or be waived when adopting children from foster care. Some commenters stated that these fee increases would lead to decreased intercountry adoptions. At least one commenter wrote that adoptive parents were specifically targeted by the proposed fee increases in the NPRM.

DHS greatly values its role in intercountry adoptions and places high priority on the accurate and timely processing of immigration applications and petitions that enable U.S. families to provide permanent homes for adopted children from around the world. It also recognizes that the financial costs, both foreign and domestic, involved in intercountry adoptions can have significant impacts on these families. DHS has a history of modifying policies to ease burdens associated with international adoption. Prior to 2007, USCIS required prospective adoptive parents who had not found a suitable child for adoption within 18 months after approval of their Application for Advance Processing of Orphan Petition, Form I-600, to submit a fee with their request to extend their approval. Since 2007, USCIS has permitted adoptive parents to request one extension of their Form I-600 approval without charge, including the biometric fee. See 72 FR 29864; 8 CFR 103.7(b)(1)(i)(Z). Finally, DHS does not charge an additional filing fee for an adoption petition filed on behalf of the first beneficiary child or birth siblings. See 8 CFR 103.7(b)(1)(i)(Z) and 103.7(b)(1)(i)(J)(7).

DHS also has a history of setting adoption-related fees lower than the amount suggested by the fee-setting methodology. In the 2010 fee rule, the calculated fee for adoption petitions and applications (Forms I-600/I-600A and I-800/I-800A) was \$1,455, based on projected costs. See 75 FR 33461; previous 8 CFR 103.7(b)(1)(i)(Y), (Z), (II), (JJ). Instead of using the model output, DHS increased the fee by only \$50, to \$720. See 75 FR 58972. As noted previously, in the FY 2016/2017 fee

review, the model output for the Form I-600 was \$2,258.²⁵ Nonetheless, DHS proposed setting fees for adoption petitions at \$775. See proposed 8 CFR 103.7(b)(1)(i)(Y), (Z), (JJ), (2), (KK). The \$1,483 difference between the model output and the final fee will be recovered from other applications, petitions, and requests. Shifting the adoption petition and application costs to other fees is consistent with past DHS efforts and is in the public interest to support parents of children adopted abroad.

DHS recognizes that fees impose a burden on individuals seeking immigration benefits, and it takes steps to mitigate that burden as appropriate. At the same time, DHS must recover the full costs of the services that USCIS provides, or else risk reductions in service quality, including potential delays in processing. In this case, DHS proposed to apply the reduced (8 percent) fee increase to these benefit requests, for the reasons stated previously and consistent with DHS's practice of holding a number of benefit requests to this reduced fee increase. DHS was mindful that although this departure from the standard fee-setting methodology results in lower fees for adoptive families, it also results in higher fees for others. 81 FR 26915. Any further departure would only heighten the effect on the rest of the fee schedule, and would not be consistent with DHS's overall fee-setting methodology. DHS is therefore finalizing the fee as proposed.

c. Petition for a Nonimmigrant Worker, Form I-129

In the NPRM, DHS proposed to increase the fee for the Petition for a Nonimmigrant Worker, Form I-129, from \$325 to \$460. See proposed 8 CFR 103.7(b)(1)(i)(I); 81 FR 26937. The proposed fee increase was the result of the application of the standard USCIS fee-setting methodology to this benefit request.

Several commenters objected to the proposed fee increase. Most of the comments on this subject were from agricultural groups or farmers who expressed that the new fee would be too expensive for employers that employ H-2A temporary agricultural workers for seasonal labor. Other commenters objected to the impact that the proposed fee increase would have on performers in the arts. Commenters representing religious organizations also opposed the increase, stating that it would pose a

burden to religious workers in small communities.

Others submitted comments about processing delays. Some commenters noted that delays in processing Forms I-129 affect the incomes of farmers and performers. Some commenters stated that DHS's proposal to increase the Form I-129 fee was undermined by USCIS' failure to process O and P visa requests within the 14 days allotted by statute for certain petitions. See INA sec. 214(c)(6)(D), 8 U.S.C. 1184(c)(6)(D). Commenters stated that any fee increase should be accompanied by improvements in petition processing and policies, particularly as related to H-1B, L-1, O and P visas.²⁶

As noted previously, DHS is authorized to set fees at a level that ensures recovery of the full costs of providing immigration adjudication and naturalization services. Because USCIS relies almost entirely on fee revenue, in the absence of a fee schedule that ensures full cost recovery, USCIS would be unable to sustain an adequate level of service, let alone invest in program improvements. Full cost recovery means not only that fee-paying applicants and petitioners must pay their proportionate share of costs, but also that at least some fee-paying applicants and petitioners must pay a share of the immigration adjudication and naturalization services that DHS provides for vulnerable populations on a fee-exempt, fee-reduced, or fee-waived basis. DHS is therefore mindful to adhere to the standard USCIS fee-setting methodology as often as possible, and to avoid overuse of DHS's discretion to eliminate or reduce fees for special groups of beneficiaries.

The proposed fee for the Form I-129 resulted from application of the standard USCIS fee-setting methodology, because DHS did not find a compelling reason to shift the burden of the Form I-129 fee increase onto other applicants. Following consideration of the public comments, DHS retains the fee level expressed in the proposed rule. It is possible that in a limited number of cases a reduced fee would be more appropriate, but in the interest of fairness to all applicants and petitioners, as well as in the interest of the administration, this final rule sets a single fee for the Form I-129 at \$460, as proposed.²⁷

²⁶ For additional information, see the section entitled, Improve Service and Reduce Inefficiencies.

²⁷ The Regulatory Flexibility Act discussion in the Statutory and Regulatory Requirements section addresses comments regarding the effect of the rule on small entities. As for processing delays, DHS has further addressed the operational and efficiency

²⁵ Model output is reflected and further explained in Appendix Table 4: Proposed Fees by Immigration Benefit Request in the supporting documentation.

Continued

d. Application To Register Permanent Residence or Adjust Status, Form I-485, and Interim Benefits

In the NPRM, DHS proposed to continue offering travel document and employment authorization renewals free of charge during the pendency of an Application to Register Permanent Residence or Adjust Status, Form I-485, so long as the applicant filed the application with the appropriate fee on or after July 30, 2007. See 8 CFR 103.7(b)(1)(i)(M) (HH); proposed 8 CFR 103.7(b)(1)(i)(M), (II); 81 FR 26937. The associated forms are the Application for Travel Document, Form I-131, and Application for Employment Authorization, Form I-765. USCIS refers to travel document and employment authorization renewals as "interim benefits" when they are associated with a pending Form I-485. See 81 FR 26918.

DHS received several comments from individuals who applied to adjust status before July 30, 2007, and who thus do not qualify for free interim benefits. These commenters stated that their Form I-485 applications have been pending since before July 30, 2007, and that because of the annual numerical visa limits established by Congress, they would likely need to request additional travel document and employment authorization renewals in the future.²⁸ Some commenters stated that it is unfair to charge applicants for interim benefits while they are waiting for visas to become available. Another commenter noted that USCIS has recently started requiring refugees and asylees to pay the required fee associated with the Application for Employment Authorization when concurrently filed with Form I-485. The commenter stated that USCIS had not previously required payment of a fee for such an application.

USCIS acknowledges that under current regulations and as proposed, employment-based Form I-485 applicants who filed before July 30, 2007, must continue to pay fees associated with interim benefits. Before the USCIS 2007 fee rule, DHS did not provide free interim benefits, and the Form I-485 fee was calculated without considering the potential costs of providing such benefits. See 75 FR 58968, 58982.²⁹ The 2007 final rule

comments in the section of this preamble entitled, "Improve Service and Reduce Inefficiencies."

²⁸ The U.S. Department of State (DOS) manages the allocation of visa numbers and Congress establishes the annual visa numerical limits.

²⁹ As explained in the 2007 proposed rule, the decision to provide free interim benefits is intended to restructure certain fee arrangements that some perceived as providing disincentives for USCIS to improve efficiency in processing. See 72 FR 4894.

increased the Form I-485 fee from \$325 to \$905, or 178 percent, mostly due to the decision to permit interim benefits without additional fees. 72 FR 29861. Because applicants for adjustment of status who filed before July 30, 2007, paid the lesser amount of \$325 when they filed their Form I-485, and because a decision to provide free interim benefits to this population would shift additional costs to other fee-paying applicants and petitioners, DHS has decided to not provide free interim benefits for those pending applicants.

USCIS has taken other actions to alleviate the filing burden and fees on those individuals whose applications are still pending due to the lack of available visas. For example, DHS now provides Employment Authorization Documents (EADs) with 2-year validity periods, instead of previously issued 1-year periods, which effectively reduces the fee per year.³⁰ In addition, USCIS adopted a policy in December 2010 under which an applicant with a pending Form I-485 that was filed before August 18, 2007, may receive a combination advance parole document and EAD with a 2-year validity period. See Policy Memorandum, *Issuance of Advance Parole Employment Authorization Document* (Dec. 21, 2010).³¹ These longer approval periods have alleviated some of the burden described by the commenters.

With regard to the comment that USCIS is requiring refugees and asylees to pay for Form I-765 when filing it concurrently with Form I-485, current regulations provide that Form I-765 has no fee if filed in conjunction with a pending or concurrently filed Form I-485 that was filed with a fee on or after July 30, 2007. See 8 CFR 103.7(b)(1)(i)(M)(4). There is no fee for a refugee who is filing Form I-485. See 8 CFR 103.7(b)(1)(i)(U)(3). Therefore, although USCIS has waived the Form I-765 fee for the first such application filed by a refugee, a Form I-765 filed by a refugee to renew his or her EAD

By bundling the Form I-485 and interim benefit costs, USCIS ensured that an applicant for adjustment of status will pay a single fee and will not pay separate fees for interim benefits, no matter how long the case remains pending. As a result, if USCIS is unable to process the base application within the established processing goals, an applicant who needs to travel or extend his or her employment authorization is not financially disadvantaged by the delay.

³⁰ USCIS may, in its discretion, determine the validity period assigned to any document issued evidencing an individual's authorization to work in the United States. 8 CFR 274a.12(b).

³¹ See <https://www.uscis.gov/sites/default/files/USCIS/Laws/Memoranda/2011/April/issuance-advance-parole.pdf>.

requires a fee.³² To renew interim benefits, a refugee who is filing a Form I-765 with Form I-485 must pay the Form I-765 fee or submit a Request for Fee Waiver, Form I-912. Similarly, if the refugee's employment authorization document expires before the Form I-485 is approved, he or she must file Form I-765 with a fee or request another fee waiver. Contrary to the commenter's statement, there has been no change in practice on this point.

Like almost all other applicants for adjustment of status, asylees are generally required to pay a fee for Form I-485; if they pay this fee, they receive free interim benefits as long as their Form I-485 is pending with USCIS. Asylees may request that both their Form I-485 and Form I-765 fees be waived. See 8 CFR 103.7(c)(3)(viii) & (c)(4)(iii).³³ However, if USCIS waives the fee for the initial Form I-485, subsequent Form I-765 filings (for instance, to renew or replace a lost or expired EAD) require a fee or a new fee waiver request.³⁴ Because fee waivers are available, because refugees and asylees are usually not subject to lengthy waiting periods associated with visa availability, and because of the importance of ensuring full-cost recovery, DHS did not find a compelling reason to shift fee burdens onto other fee-paying applicants and petitioners. Accordingly, DHS has not revised this policy in this final rule.

Finally, DHS also proposed to increase the separate Form I-485 fee that applies to a child under the age of 14 years who files a Form I-485 concurrently with the application of a parent seeking classification as an immediate relative of a U.S. citizen, a family-sponsored preference immigrant, or a family member accompanying or following to join a spouse or parent. DHS proposed a fee increase from \$635 to \$750, but did not propose any substantive changes to eligibility for the reduced fee. See 81 FR 26919.³⁵ USCIS received at least one comment requesting that the proposed \$750 discounted fee apply to all children under the age of 14 at any time, regardless of whether their Form I-485

³² See Instructions for I-765, Application for Employment Authorization, available at <https://www.uscis.gov/sites/default/files/files/form/i-765instr.pdf>.

³³ Both fee waivers may be requested on one Request for Fee Waiver. See Instructions for Request for Fee Waiver at <https://www.uscis.gov/sites/default/files/files/form/i-912instr.pdf>.

³⁴ An asylee in this situation, like all individuals seeking to file a Form I-765, may still apply for a fee waiver. See 8 CFR 103.7(c)(3)(viii).

³⁵ Under the proposed rule and in this final rule, the standard fee for a Form I-485 would increase from \$985 to \$1,140.

was filed concurrently with the application of a parent. The commenter noted that such children, like the children who are currently eligible for the reduced Form I-485 fee, cannot work in the United States.

DHS proposed that the discounted Form I-485 fee would only be available when the Form I-485 is filed concurrently with the application of a parent seeking classification as an immediate relative of a U.S. citizen, a family-sponsored preference immigrant, or a family member accompanying or following to join a spouse or parent. See proposed 8 CFR 103.7(b)(1)(i)(U)(2); 81 FR 26938. DHS has considered the commenter's suggestion, but is unable to adopt it. USCIS does not track the completion rates (*i.e.*, adjudication times) for Form I-485 based on the age of the applicant, so the agency does not have data showing a difference in the completion rate correlated to the difference in applicant age. In addition, USCIS does not know the volume of individual Form I-485 filings by children on which to base a separate fee. To set that fee as suggested by the commenter would require deviation from the fee-setting methodology and, as stated previously in this preamble, require the costs for those applications to be shifted to other benefit requests. Therefore, DHS is not expanding the child discount to all children in this final rule.

Nevertheless, while the current and proposed provisions limited the reduced fee only to children who are derivative applicants filing the Form I-485 at the same time as their parent, USCIS has in practice extended the reduced fee provision to all immigrant relative children under the age of 14 who file the Form I-485 at the same time as their parent (*i.e.*, mailed in the same envelope), regardless of whether they are filing as a derivative or a principal applicant. Therefore, to make the regulation text consistent with the form instructions and USCIS practice, this final rule sets the fee for Form I-485 accordingly. See new 8 CFR 103.7(b)(1)(i)(U)(2).

e. Application for Travel Document, Form I-131

In the NPRM, DHS proposed to increase the fee for the Application for Travel Document, Form I-131, from \$360 to \$575. See proposed 8 CFR 103.7(b)(1)(i)(M); 81 FR 23937. The proposed fee increase was the result of application of the standard fee-setting methodology to this benefit request.

Some commenters objected to the proposed increase. Some commenters noted that the forecasted fee-paying

volume for Form I-131 has not changed significantly from the 2010 fee rule.³⁶ Additionally, they pointed out that the Form I-131 has one of the shortest completion rates,³⁷ indicating that it is not a relatively complex adjudication.³⁸ Some of these commenters wrote that they have a pending Form I-485 that was filed before July 30, 2007, and that they are thus ineligible for free interim benefits, including being permitted to file Form I-131 without a fee while waiting for an immigrant visa to become available. See previous 8 CFR 103.2(b)(1)(i)(M)(4). Some commenters stated that they have paid the Form I-131 fee several times while waiting for a visa to become available and that applicants from countries with long visa wait times must renew their travel documents every year, sometimes for multiple family members.³⁹

As noted previously, the proposed fee increase for the Form I-131 was the result of application of the standard USCIS fee-setting methodology to this benefit request. When DHS departs from the standard USCIS fee-setting methodology to reduce fees for one group, fees for other groups (including, in this case, the fee for Form I-131) must be increased to recover full cost.

With respect to the Form I-131 in particular, the proposed fee increase was also due in part to USCIS improving its ability to fully account for the costs of this benefit request. The FY 2016/2017 fee review included more complete data on the Application for Travel Document workload than was included in the 2010 final rule. As noted in the supporting documentation, the latest fee review considered the completion rates for work performed by

³⁶ See 75 FR 26923 for overall workload in table 4 and 75 FR 26924 for fee-paying workload in table 5.

³⁷ USCIS completion rates are the average hours per adjudication of an immigration benefit request. Adjudication hours are divided by the number of completions for the same time period to determine an average completion rate. For additional information on completion rates, see Appendix IX—Completion Rates on page 57 of the supporting documentation.

³⁸ See Appendix Table 7: Completion Rates (Projected Adjudication Hours/Completions) on page 58 of the supporting documentation.

³⁹ Some commenters stated DHS should use a validity period of 2 years instead of 1 year when extensions of Form I-131 are approved for this population. As noted earlier in this preamble, however, USCIS may grant an applicant who has a pending Form I-485 and interim benefits, such as advance parole, an employment authorization combination document with a 2-year validity period if the immigrant visa is not currently available. *Adjudicator's Field Manual* ch. 55.3, par. (a)(2). These longer approval periods have alleviated some of the burden on applicants with long-pending I-485 applications.

International Operations,⁴⁰ which adjudicates some Applications for Travel Documents, in the overall completion rates for Applications for Travel Documents. This information was not available for the FY 2010/2011 fee review, but it was included in this review to more accurately represent the cost of adjudicating an Application for Travel Document overseas. The proposed fee increase was due in part to USCIS including costs and time from International Operations in the model output for the Applications for Travel Documents fee. Ultimately, the proposed fee for Form I-131 represents its proportion of USCIS operating costs, as dictated by the standard USCIS fee-setting methodology. If DHS held the fee for Form I-131 below the amount suggested by the FY 2016/2017 fee-setting methodology, then the additional costs would be transferred to other immigration benefit fees.

Because DHS did not find a compelling reason to transfer a portion of the Form I-131 fee increase to other applicants, DHS retains the fee proposed in the NPRM. DHS recognizes that this decision will affect different applicants differently; some applicants may file this application just once, while others may file it multiple times. But in the interest of fairness to all applicants and petitioners, as well as in the interest of sound and efficient adjudications, DHS has decided to not create additional levels of fees for the Form I-131. This final rule sets a fee of \$575 for the Form I-131, with appropriate exceptions for refugee travel documents, as discussed below. Nevertheless, Form I-131 requests for parole filed on behalf of individuals outside the United States, including humanitarian parole, remain eligible for a fee waiver. 8 CFR 103.7(c)(3)(iv).

Finally, at least one commenter questioned why DHS did not propose a new fee for refugee travel documents. As noted in the NPRM, fees for a refugee travel document are set at a level that is consistent with U.S. obligations under Article 28 of the 1951 Convention relating to the Status of Refugees, as incorporated by reference in the 1967 Convention relating to the Status of Refugees. See 81 FR 26917. The fee must remain set at an amount that is consistent with U.S. obligations under Article 28. Therefore, fees for refugee travel documents will remain the same as DOS passport book fees.⁴¹

⁴⁰ See International Operations Cost Allocation on page 26 of the supporting documentation.

⁴¹ The Refugee Travel Document fees are the same as the sum of the U.S. passport book application fee

Continued

f. Application for Employment Authorization, Form I-765, and Students

In the NPRM, DHS proposed to increase the fee for the Application for Employment Authorization, Form I-765, from \$380 to \$410. See proposed 8 CFR 103.7(b)(1)(i)(II); 81 FR 26938. DHS proposed to limit the increase for these benefit types (among others) to 8 percent for humanitarian and practical reasons. Many individuals seeking immigration benefits face financial obstacles and cannot earn money through lawful employment in the United States until they receive an Employment Authorization Document (EAD). 81 FR 26916.

At least one commenter objected to the potential effect of the proposed Form I-765 fee increase on foreign students seeking work authorization under the Optional Practical Training (OPT) program. The OPT program allows an F-1 nonimmigrant student to file a Form I-765 to request authorization to work in the United States in a position that is directly related to the F-1 student's major area of study. See 8 CFR 214.2(f)(10)(ii)(C). OPT provides F-1 students with an opportunity to apply knowledge gained in the classroom to practical work experience off campus.

DHS places a high value on its role in attracting international students and scholars to the United States. Among other things, the contributions to U.S. educational institutions provided by a diverse international student body are invaluable. In recognition of these goals, USCIS devotes many resources to delivering immigration benefits to deserving students, including expending substantial resources, which DHS must recover, to adjudicate their eligibility for EADs. In addition, DHS limited the proposed EAD fee increase in a manner consistent with a number of other fees. See 81 FR 26916. Moreover, F-1 students may request fee waivers in cases in which they are unable to afford the fee. In other cases, USCIS will continue to charge the full fee based on the effort and resources expended to process this benefit. This final rule therefore sets the fee at \$410, as proposed. See new 8 CFR 103.7(b)(1)(i)(II).

g. Application for Replacement Naturalization/Citizenship Certificate, Form N-565

In the NPRM, DHS proposed to increase the fee for the Application for

plus the additional execution fee that the Department of State charges for first-time applicants.

Replacement Naturalization/Citizenship Certificate, Form N-565, from \$345 to \$555, or 61 percent. The proposed fee increase was the result of application of the standard fee-setting methodology to this benefit request.

Commenters mentioned that some people could lose proof of citizenship or naturalization due to unforeseen circumstances, such as natural disasters or theft, and that a steep increase might make it more difficult for certain individuals to obtain replacement documents. Other commenters noted that citizens may need a certificate of naturalization or citizenship due to a name change. Commenters stated that the more prohibitively expensive it becomes for foreign-born U.S. citizens to replace documentation of their citizenship, the more difficult it will be for them to work, vote, or pursue other opportunities.

Commenters noted that the completion rate for Form N-565 increased significantly since the 2010 final rule. Some commenters compared the completion rate for Form N-565 to that of the Application to Replace Permanent Resident Card, Form I-90, and stated that the two adjudications should be similar. Those commenters noted that the completion rate for Form I-90 decreased since the 2010 final rule, while the Form N-565 completion rate increased by 64 percent. Some commenters stated that USCIS should further assess why the completion rate for Form N-565 increased to this degree.

DHS acknowledges that the Form N-565 adjudication time has increased over the years, and attributes this increase to the amount of research and review necessary to adjudicate these filings. Form N-565 adjudications require USCIS to fully review A-Files for security check purposes, including discovering name variations or aliases. To verify the naturalization of an applicant, USCIS officers must research all available systems. Yet many filings involve individuals who were naturalized decades ago and whose information is not contained in electronic systems, thus requiring extensive paper-based review. USCIS officers may also have to communicate with the National Archives and Records Administration or the Federal courts to obtain evidence supporting naturalization. In some cases, paper files must be transferred to a field office to conduct an interview of the applicant. Changes in name, marital status, gender, or other facts require evidentiary review to support requested changes in USCIS records. No filing fee is required in cases where the Form N-565 is filed to request correction of a certificate that

contains an error, but even such filings require that USCIS fully review the relevant A-Files. DHS further notes that the processing of Form N-565 often requires the same use of time and resources by USCIS regardless of the basis for the request.

Moreover, the fee for Form I-90 differs from the fee for Form N-565 because the adjudication of the two forms differs. LPRs typically apply for new permanent resident cards every 10 years. Their information is thus generally up-to-date and readily available in an electronic system, thus eliminating the need for full A-File reviews when adjudicating Forms I-90. In addition, Form I-90 adjudication is streamlined and partially automated because the application exists in an electronic environment. Filings that involve information that is up-to-date and available in an electronic system generally require less processing time than filings that require review of physical records or multiple systems, or that require the entry of new data.

As noted, the proposed fee for Form N-565 resulted from application of the standard USCIS fee-setting methodology. Because DHS did not find a compelling reason to shift the burden of the Form N-565 fee increase onto other applicants, DHS retains the position expressed in the proposed rule. This final rule sets the fee for Form N-565 at \$555, as proposed. Applicants who cannot pay the fee may request a fee waiver. 8 CFR 103.7(c)(3)(xv).

h. Petition for Alien Relative, Form I-130

In the NPRM, DHS proposed to increase the fee for the Petition for Alien Relative, Form I-130, from \$420 to \$535. See proposed 8 CFR 103.7(b)(1)(i)(L); 81 FR 26937. The proposed fee increase was the result of application of the standard USCIS fee-setting methodology to this benefit request.

Several commenters stated that they generally opposed the proposed increase in the Form I-130 fee because the increase, along with other proposed increases, would result in a significant financial burden for certain individuals, especially for low-income immigrants and their families. Some commenters asserted that the proposed increase of \$115 would be disproportionate to the current adjudication time of 45 minutes. Another commenter suggested that fees be higher for businesses in order to offset the cost for family-based applicants. The same commenter referenced existing additional fees for H-1B visas and asserted that DHS should increase fees for O and P visas

to offset the cost of, and reduce the fees for, family-based immigration benefit requests. One commenter noted that Form I-130 filings are not eligible for fee waivers.

DHS appreciates the concerns of commenters, but reiterates that because USCIS is funded almost exclusively by fees, it sets the USCIS fee schedule based on a full cost recovery model. This means that although there is a relationship between the proposed fee and the projected adjudication time of 45 minutes, DHS cannot set fees at a level that would only recover costs for an individual adjudicator's time. In order for USCIS to continue to fulfill its mission, DHS must set fees at a level that accounts for the total resources required for intake of immigration benefit requests, customer support, fraud detection, background checks, and administration. Moreover, because DHS provides some immigration adjudication and naturalization services (including for families) on a fee-exempt, fee-reduced, or fee-waived basis, fee-paying applicants and petitioners must at times pay more than their directly attributable share of costs.

In the case of the Form I-130, the primary reason for the proposed fee increase was the increase in USCIS' cost baseline for FY 2016/2017, and specifically the need to cover the costs of certain fee-exempt services. As noted in the NPRM and in this final rule, the FY 2016/2017 fee schedule adjusts fees to recover the costs related to RAIO, the SAVE program, and the Office of Citizenship. See 81 FR 26910. In the FY 2010/2011 fee review, the model output for Form I-130 was approximately \$368 before cost reallocation. Cost reallocation was smaller in the FY 2010/2011 fee review because USCIS assumed that appropriations would recover surcharges related to RAIO, the SAVE program, and the Office of Citizenship. In the FY 2016/2017 fee review, the model output for Form I-130, before cost reallocation, was approximately \$383.⁴² As mentioned in the NPRM, in the FY 2016/2017 fee review, USCIS included RAIO, the SAVE program, and the Office of Citizenship in the cost baseline. As shown in the supporting documentation, the fee includes \$152 above the model output to ensure that IEFA fees recover full cost.⁴³ The \$152

⁴² Projected cost refers to the model output column of Appendix Table 4: Proposed Fees by Immigration Benefit Request in the supporting documentation.

⁴³ The amount here is the difference between the Model Output and the final fee. Amounts shown in Appendix Table 4: Proposed Fees by Immigration Benefit Request in the supporting documentation are rounded to the nearest dollar and all IEFA fees

provides revenue for services that do not otherwise generate revenue (e.g., refugee, asylum, and fee-waived workloads) and for forms that are held to the 8 percent weighted average increase based on policy decisions (e.g., forms N-400 and I-600/600A/800/800A).

DHS recognizes the burden that proposed fee increases impose on families and low-income individuals, and takes steps to mitigate that burden as appropriate. Specifically, after USCIS applies its standard fee-setting methodology to identify the model output for each benefit request, USCIS evaluates the model output and determines whether it should be adjusted. However, downward adjustments for some groups result in upward adjustments for other groups. There are many benefit requests that are used by families and low-income individuals, and it would be unsustainable and arguably unfair for USCIS to consistently shift the costs of all such requests to a completely unrelated subgroup of business immigration applicants and petitioners. With that context in mind, and following review of the public comments received, DHS has determined that the amount recommended under the fee-setting methodology was not inordinately high. Thus, DHS is adjusting the fee for Form I-130 in this final rule, as proposed. Moreover, as stated in the "Fee Waivers and Exemptions" section of this preamble, fee waivers are not provided for forms, such as Form I-130, that require petitioners to have the ability to support their intended beneficiary. DHS believes that this is sound overall policy, especially in light of the effects of fee waivers on the fees paid by other applicants and petitioners.

i. Application To Replace Permanent Resident Card, Form I-90

In the NPRM, DHS proposed to increase the fee for the Application to Replace Permanent Resident Card, Form I-90, from \$365 to \$455. See proposed 8 CFR 103.7(b)(1)(i)(G); 81 FR 26937. The proposed fee increase was the result of application of the standard USCIS fee-setting methodology to this benefit request.

A number of commenters objected to the proposed fee increase. Some commenters stated that the proposed fee was unjustified by the projected completion rate of 13 minutes. The

are rounded to the nearest \$5 increment. The sum of the Model Output and the Cost Reallocation columns may not equal the proposed fee because of rounding.

commenters noted that although the proposed fee represents a significant increase, the projected completion rate had decreased slightly since the 2010 final rule. A commenter stated that the proposed increase would impose an unreasonable burden on many low-income applicants, especially when the reason for application may be out of their control, such as owning a prior edition of the card, expiration of the card between the individual's 14th and 16th birthday, a name change, or a change in commuter status.

Some commenters stated that USCIS guidance advises naturalization applicants to file Form I-90 if their permanent resident cards will expire within six months of the filing of their naturalization applications, and that USCIS sometimes requires naturalization applicants to file Form I-90 before completion of the Form N-400 adjudication. These commenters suggested that as a result, some applicants may file a Form I-90 and a Form N-400 in quick succession, and that DHS should reduce the combined fee burden for these two forms. The commenters suggested that DHS provide a discounted or partial fee for naturalization applicants who are required to file Form I-90.

As noted elsewhere in this preamble, because USCIS is funded almost exclusively by fees, DHS sets the USCIS fee schedule based on a full cost recovery model. This means that although there is a relationship between the proposed fee and the projected adjudication time of 13 minutes, DHS cannot set fees at a level that would only recover costs for an individual adjudicator's time. In order for USCIS to continue to fulfill its mission, DHS must set fees at a level that accounts for the total resources required for intake of immigration benefit requests, customer support, fraud detection, background checks, and administration. Moreover, because DHS provides some immigration adjudication and naturalization services on a fee-exempt, fee-reduced, or fee-waived basis, fee-paying applicants and petitioners must pay more than their directly attributable share of costs.

In the case of the Form I-90, the primary reason for the proposed fee increase is the increase in the USCIS cost baseline for FY 2016/2017, and specifically the need to cover the costs of certain fee-exempt services. As noted in the NPRM and this final rule, the FY 2016/2017 fee schedule recovers costs related to RAIO, the SAVE program, and the Office of Citizenship. See 81 FR 26910. In the FY 2010/2011 fee review, the model output fee for Form I-90 was

approximately \$321 before cost reallocation. Cost reallocation was smaller in the FY 2010/2011 fee review, because USCIS assumed appropriations that would recover the costs for RAO, the SAVE program, and the Office of Citizenship. In the FY 2016/2017 fee review, the model output fee for Form I-90 was approximately \$326, also before cost reallocation.⁴⁴ But, as mentioned in the NPRM, USCIS included the above mentioned programs in cost reallocation to recover the full cost of those programs. As shown in the supporting documentation, the fee is \$129 above the model output fee to ensure that IEFA fees recover full cost.⁴⁵ The \$129 provides revenue for services that do not otherwise generate revenue (e.g., refugee, asylum, and fee-waived workloads) and for request types that are held to the 8 percent weighted average increase based on policy decisions (e.g., Forms N-400 and I-600/600A/800/800A).

DHS recognizes that the proposed Form I-90 fee increase would impose an additional cost burden on filers. But the proposed fee increase results from application of the standard USCIS fee-setting methodology, and a downward adjustment favoring all Form I-90 filers, or a subgroup thereof, would result in upward adjustment of other fees. DHS has decided to impose this fee at the level dictated by the standard USCIS fee-setting methodology, as proposed. If applicants cannot afford to pay the increased Form I-90 fee, they may request a fee waiver. 8 CFR 103.7(c)(3)(ii).

With respect to the comments concerning naturalization applicants who are required to file a Form I-90 if their permanent resident card will expire within six months of filing the naturalization application, DHS notes that this is not a change in practice. LPRs are required to have valid, unexpired Permanent Resident Cards, Forms I-551, in their possession at all times, see INA sec. 264(e), 8 U.S.C. 1304(e), and DHS regulations require LPRs to file Form I-90 when those cards are set to expire in six months, see 8 CFR 264.5(b)(2). For this reason, an LPR with fewer than six months remaining on his or her permanent resident card must generally file Form I-90, with fee,

⁴⁴ See Appendix Table 4: Proposed Fees by Immigration Benefit Request in the supporting documentation.

⁴⁵ Amounts shown in Appendix Table 4: Proposed Fees by Immigration Benefit Request in the supporting documentation are rounded to the nearest dollar and all IEFA fees are rounded to the nearest \$5 increment. The sum of the Model Output and the Cost Reallocation columns may not equal the proposed fee because of rounding.

even if the LPR has applied for naturalization.⁴⁶ In other words, applying for naturalization does not eliminate the need to file Form I-90 when a permanent resident card is about to expire. If Form I-90 is properly filed, or if Form N-400 is filed at least six months before the expiration of the applicant's permanent resident card, the applicant can request an Alien Documentation Identification and Telecommunication (ADIT) stamp in lieu of filing for a new card.

DHS observes that a permanent resident card generally does not expire until 10 years after it is received by the LPR. For individuals who are familiar with the regulatory requirements,⁴⁷ this should be sufficient time for the applicant to take appropriate action, including renewing the card or naturalizing before the card expires.⁴⁸ Generally, LPRs become eligible to naturalize after 5 years of obtaining LPR status, see, e.g., 8 CFR 316.2(a)(3), and the average processing time for an application for naturalization is approximately 6 months. Therefore, individuals who receive LPR status have ample time during which they may save for fees, gather documents, and apply for naturalization before their permanent resident card expires. Moreover, creating a new process and discounted fee for those Form I-90 applicants who wish to naturalize would increase the administrative burden of administering both Form I-90 and Form N-400. For the reasons stated above, this final rule sets the Form I-90 fee at \$455, as proposed, regardless of whether the applicant will also file Form N-400 in the near term.

j. Genealogy, Forms G-1041/1041A

In the NPRM, DHS proposed to increase fees for the Genealogy Index Search Request, Form G-1041, and Genealogy Records Request, Form G-1041A, from \$20 or \$35, depending on the format requested, to a single fee of

⁴⁶ For additional information, see <https://www.uscis.gov/i-90> and <https://www.uscis.gov/green-card/after-green-card-granted/renew-green-card>.

⁴⁷ USCIS also provides educational products and resources to welcome immigrants, promote English language learning, educate on rights and responsibilities of citizenship, and prepare immigrants for naturalization and civic participation. In addition, USCIS provides grants, materials and technical assistance to organizations that prepare immigrants for citizenship. The USCIS Citizenship Resource Center helps users better understand the citizenship process and gain the necessary skills required to be successful during the naturalization interview and test. See <https://www.uscis.gov/us-citizenship/naturalization-test/applicant-performance-naturalization-test/uscis-citizenship-education-resources-and-initiatives>.

⁴⁸ See <https://www.uscis.gov/green-card/after-green-card-granted/renew-green-card>.

\$65. See proposed 8 CFR 103.7(b)(1)(i)(E)-(F); 81 FR 23967. As noted in the NPRM, DHS based the proposed fee increase on the ABC model output fee of \$46 for genealogy services, as well as an additional \$19 to recover the applicable administrative costs associated with funding these services, such as the USCIS Librarian and other genealogy research and information services. 81 FR 26919 (citing INA sec. 286(t)(1), 8 U.S.C. 1356(t)(1)).

Some commenters objected to the proposed fee increase. Some of these commenters compared the genealogy fees to state and local government fees for copies of vital records. Some commenters stated that the quality and efficiency of genealogy services were insufficient to justify the proposed fee increase.⁴⁹

USCIS does not receive any appropriations for its genealogy program and thus depends on genealogy fees to cover costs, without increasing other immigration and naturalization fees to support this work. Genealogy fees have not been adjusted since USCIS created the program in 2008,⁵⁰ and such fees are currently insufficient to cover the full costs of the genealogy program. USCIS created the Genealogy Program to serve people performing genealogy research, including historical researchers, genealogists, and other members of the public, without diverting resources from the significant number of Freedom of Information Act requests to which USCIS must respond.⁵¹ USCIS thus proposed to increase the fee to meet the full costs of the program and permit USCIS to respond to requests for such historical records and materials. Notwithstanding the fees charged by other government agencies, which likely face different operational and funding challenges, USCIS must ensure that it has sufficient funding to fulfill its mission. Following consideration of the comments on this subject, DHS has decided to set the final fee at \$65, as proposed.

⁴⁹ At least one commenter questioned why USCIS proposed to collect the biometric services fee for the genealogy workload. While DHS is revising 8 CFR 103.2(b)(9) to clarify that any individual filing a benefit request, or any beneficiary of such a request, may be required to appear for biometric collection and pay the biometric services fee, DHS did not propose to and will not collect the biometric services fee for genealogy searches or document requests. See 81 FR 26917.

⁵⁰ See 81 FR 26919; Final Rule, Establishment of a Genealogy Program, 73 FR 28026 (May 15, 2008).

⁵¹ Prior to the establishment of the Genealogy Program, genealogy researchers used the Freedom of Information Act process to conduct their research.

k. Petition To Remove Conditions on Residence, Form I-751

In the NPRM, DHS proposed to increase the fee for the Petition to Remove Conditions on Residence, Form I-751, from \$505 to \$595. Proposed 8 CFR 103.7(b)(1)(i)(HH); 81 FR 23968. The proposed fee increase was the result of application of the standard USCIS fee methodology to this benefit request.

Some commenters objected to the proposed fee increase. These commenters stated that Form I-751 is required for people who were granted conditional permanent residence through marriage, including spouses of U.S. citizens and their children, to remove the conditions on their status. The commenters asserted that the new fee is so burdensome that some applicants may miss their deadline to apply, putting those applicants at risk of losing their residency and becoming subject to removal from the United States. A commenter stated that in 2010, DHS increased the I-751 filing fee by \$40. The commenter stated that to now increase it again by another \$90 is unjustified, particularly when USCIS estimates that its projected workload volume for Form I-751 will decrease by 10,000 receipts from 2010/2011 levels. The commenter stated that if I-751 workloads will decrease, there is no justification for an 18 percent fee increase.

As noted previously in this preamble, because USCIS operates almost exclusively on fees, DHS sets the USCIS fee schedule based on a standard full cost recovery model. This means that DHS must account for more than just projected total receipts when setting the fee for a given benefit. For instance, DHS must account for the likelihood of fee waivers by setting fees based on projected total *fee-paying* receipts, not just projected total receipts. And DHS must also account for the costs associated with adjudicating each benefit request. If DHS did not account for fee waivers when setting fees, or for the cost of adjudicating benefit requests, DHS would not recover sufficient revenue to cover the cost of the services that DHS provides. Moreover, because DHS provides some immigration adjudication and naturalization services on a fee-exempt, fee-reduced, or fee-waived basis, fee-paying applicants and petitioners must pay more than their directly attributable share of costs.

In addition, in the case of the Form I-751 specifically, although workload volume decreased 5.5 percent since the 2010 final rule, fee-paying volume decreased at a greater rate of 8.4 percent. Moreover, the completion rate, or the

average hours per adjudication, increased 39 percent since the 2010 final rule. Given that fewer fee-paying applicants are now absorbing the increased costs associated with longer adjudications, DHS believes the proposed \$90 increase since the fee was last set six years ago is reasonable. Although the proposed increase would impose an additional cost burden on filers, it results from application of the standard USCIS fee methodology. A downward adjustment in favor of Form I-751 petitioners would result in upward adjustment of other fees. Furthermore, if the petitioner cannot pay the fee, they may request that the fee be waived. See 8 CFR 103.7(c)(3)(vii). Therefore, this final rule sets the Form I-751 fee at \$595, as proposed.

l. Petition for Alien Fiancé(e), Form I-129F

In the NPRM, DHS proposed to increase the fee for the Petition for Alien Fiancé(e), Form I-129F, from to \$340 to \$535. See proposed 8 CFR 103.7(b)(1)(i)(K); 81 FR 23967. The proposed fee increase was the result of application of the standard USCIS fee methodology to this benefit request.

Some commenters objected to the proposed fee increase, stating that it could discourage family reunification. The commenters stated that the increase would be particularly burdensome because there is no fee waiver option when filing this form.

As noted previously, DHS is authorized to set fees at a level that ensures recovery of the full costs of providing immigration adjudication and naturalization services. Because USCIS relies almost entirely on fee revenue, in the absence of a fee schedule that ensures full cost recovery, USCIS would be unable to sustain an adequate level of service, let alone invest in program improvements. Full cost recovery means not only that fee-paying applicants and petitioners must pay their proportionate share of costs, but also that at least some fee-paying applicants and petitioners must pay a share of the immigration adjudication and naturalization services that DHS provides on a fee-exempt, fee-reduced, or fee-waived basis. DHS is therefore mindful to adhere to the standard USCIS fee methodology as often as possible, and to avoid overuse of DHS's discretion to eliminate or reduce fees for special groups of beneficiaries.

The proposed fee for the Form I-129F resulted from application of the standard USCIS fee methodology. DHS values its role in assisting U.S. citizens who wish to bring a foreign national

fiancé(e) to the United States to marry, and is sensitive to the extra burden that the increased filing fee may impose. But if USCIS were to waive or exempt Form I-129F fees, then other applicants, petitioners, and requestors would pay higher fees to cover the cost. Because DHS did not find a compelling reason to shift the burden of the Form I-129F fee increase onto other applicants, this final rule sets the Form I-129F fee at \$535, as proposed.

Moreover, as a general matter, DHS does not waive fees for petitions that require the beneficiaries to demonstrate that they will be able to support themselves financially, or that require the filing of an affidavit of support. A citizen who files Form I-129F must document his or her ability to financially support his or her foreign national fiancé(e). Because a few waiver options would be inconsistent with this financial support requirement, DHS declines to allow fee waivers for this form.

m. Petition for Amerasian, Widow(er), or Special Immigrant, Form I-360

In the NPRM, DHS proposed to increase the fee for the Petition for Amerasian, Widow(er), or Special Immigrant, Form I-360, from \$405 to \$435. Proposed 8 CFR 103.7(b)(1)(i)(T); 81 FR 23968. DHS proposed to hold the increase for these benefit types to an 8 percent increase⁵² because the combined effect of cost, fee-paying volume, and methodology changes since the last fee rule would otherwise place an inordinate fee burden on individuals requesting these types of benefits. See 81 FR 26915.

Some commenters objected to the proposed fee increase because of its potential effect on religious workers. The commenters stated that religious workers must file additional forms and pay the required fees to obtain LPR status. The commenters noted that these workers benefit the United States by becoming integral parts of their religious ministries, participating in community outreach, and making specific connections with immigrants who speak the same language. For these reasons, the commenters requested that the agency not finalize the proposed fee increase.

Form I-360 may be used to obtain any of a large number of immigration benefits, some of which allow petitioners to file the form on a fee-exempt basis.⁵³ Many petitioners may

⁵² The proposed increase was 7.4 percent due to rounding.

⁵³ See <https://www.uscis.gov/i-360>.

use the Form I-360 on a fee-exempt basis. For example, there is no fee for a petitioner seeking classification as an Amerasian; an individual self-petitioning as a battered or abused spouse, parent, or child of a United States citizen or LPR; a petitioner seeking Special Immigrant Juvenile status; or an Iraqi or Afghan national who worked for, or on behalf of, the U.S. Government in Iraq or Afghanistan. Previous 8 CFR 103.7(b)(1)(i)(T)(1)-(4).

For those petitioners who are not fee-exempt, DHS recognizes that fee increases impose a burden, and DHS takes steps to mitigate such burdens as appropriate. At the same time, DHS must recover the full costs of the services that USCIS provides, or else risk reductions in service quality. In this case, DHS proposed to apply the reduced fee increase (8 percent) to the Form I-360, for the reasons stated previously and consistent with DHS's practice of holding a number of benefit requests to this reduced fee increase. DHS was mindful that this departure from the standard fee methodology would also result in higher fees for others. See 81 FR 26915. Although DHS acknowledges the importance of the religious worker program to many communities, any further departure would only heighten the effect on the rest of the fee schedule, and would not be consistent with DHS's overall fee methodology. In addition, unlike many of the fee-exempt Form I-360 petitioners, religious workers fall into the category of employment-based immigrants for whom petitioners must demonstrate the ability to pay a salary. See, e.g., 8 CFR 204.5(g)(2) (requiring a petition which requires an offer of employment to be accompanied by evidence that the prospective United States employer has the ability to pay the proffered wage). This final rule therefore sets the fee for Form I-360 at \$435, as proposed.

n. Notice of Appeal or Motion, Form I-290B

DHS proposed to increase the fee for the Notice of Appeal or Motion, Form I-290B, from to \$630 to \$675. Proposed 8 CFR 103.7(b)(1)(i)(S); 81 FR 26938. DHS proposed to hold the increase for these benefit types to 8 percent⁵⁴ because the combined effect of cost, fee-paying volume, and methodology changes since the last fee rule would otherwise place an inordinate fee burden on the particular individuals requesting these types of benefits. See 81 FR 26915.

⁵⁴ The proposed increase was 7.1 percent due to rounding.

Some commenters objected to the proposed fee increase. Commenters stated that the resulting fee, though waivable,⁵⁵ could hinder individuals from receiving benefits for which they are eligible. The commenters noted that the time involved in submitting fee waiver requests jeopardized the chance of meeting the 30-day filing deadline for appeals. Commenters also expressed disappointment in the appeals process in general, opining that it was particularly burdensome for those attempting to rectify USCIS errors. Commenters also stated that USCIS should allow credit card payments for filing Form I-290B.

DHS appreciates the concerns of the commenters and does not intend to hinder individuals from receiving benefits for which they are eligible. At the same time, DHS must recover the full costs of the services that USCIS provides, or else risk reductions in service quality. In this case, DHS proposed to apply the reduced fee increase (8 percent) to these benefit requests, for the reasons stated previously and consistent with DHS's practice of holding a number of benefit requests to this reduced fee increase. DHS was mindful that although this departure from the standard fee methodology would result in lower fees for Form I-290B filers, it would also result in higher fees for others. 81 FR 26915. Any further departure would only increase the effect on the rest of the fee schedule, and would not be consistent with DHS's overall fee methodology. DHS addresses requests for service quality improvements and credit card payments later in this preamble. DHS has made no changes to the fee in this final rule as a result of these comments, and is finalizing the Form I-290B fee at \$675, as proposed.

o. Application for Civil Surgeon Designation, Form I-910

In the NPRM, DHS proposed to increase the fee for the Application for Civil Surgeon Designation, Form I-910, from \$615 to \$785. See proposed 8 CFR 103.7(b)(1)(i)(TT); 81 FR 26939. Form I-910 is used to request recognition of a physician as a civil surgeon for purposes of performing mandatory medical examinations on intending

⁵⁵ If the Form I-290B is being filed to appeal or reopen the denial of an immigration benefit request that is exempt or where a fee has been waived, the Form I-290B fee may also be waived by USCIS if the applicant or petitioner demonstrates that he or she is unable to pay the fee. 8 CFR 103.7(c)(3)(vi) and 103.7(c)(1)(iii). Further, there is no fee for Form I-290B when an Iraqi or Afghan national who worked for, or on behalf of, the U.S. Government in Iraq or Afghanistan appeals a denial of a petition for a special immigrant visa. 8 CFR 103.7(b)(1)(i)(S).

immigrants to determine whether they are inadmissible based on health-related grounds. See 8 CFR 232.2(b). The proposed fee increase was the result of application of the standard USCIS fee methodology to this benefit request.

At least one commenter stated that the proposed increase may have a chilling effect on requests from physicians to become approved civil surgeons. The commenter suggested the possibility of employing a tiered-fee structure, in which USCIS would offer a lower application fee in exchange for a physician's commitment to discount fees for vulnerable children and youth and other indigent applicants.

As noted, the proposed fee increase for the Form I-910 was the result of application of the standard USCIS fee methodology to this benefit request. When DHS departs from the standard USCIS fee methodology to reduce fees for one group, fees for other groups increase to recover full cost. With respect to the proposal to establish a tiered fee structure for the application, implementing such fees would require eligibility and evidentiary requirements for each fee and income level established. This would add administrative complexity, and further increase costs. Additionally, USCIS would not know whether such civil surgeons complied with their commitments to charge lower fees without regulating and monitoring those civil surgeons, and incurring the time and costs to do so. Accordingly, no changes were made in this final rule, which sets the Form I-910 fee at \$785, as proposed.

p. Application for Advance Permission To Enter as a Nonimmigrant, Form I-192, and Application for Waiver of Passport and/or Visa, Form I-193

In the NPRM, DHS proposed to increase the fee for the Application for Advance Permission to Enter as a Nonimmigrant, Form I-192, and Application for Waiver of Passport and/or Visa, Form I-193, from \$585 to \$930. See proposed 8 CFR 103.7(b)(1)(i)(P); 81 FR 26938. The proposed fee increase was the result of application of the standard USCIS fee methodology to this benefit request. In the FY 2016/2017 fee review, USCIS grouped these benefit requests with other similar benefit requests, specifically, Forms I-191, I-212, I-601, and I-612.

One commenter stated that for certain filers, CBP, and not USCIS, adjudicates the benefit request.⁵⁶ The commenter stated that it would be unfair to increase

⁵⁶ The commenter acknowledged that USCIS adjudicates Form I-192 for T and U nonimmigrants.

the fee for Form I-192 applications adjudicated by CBP, because those adjudications do not increase USCIS costs.⁵⁷ The commenter stated that the proposed increase in the fee for Form I-192 would burden Canadian and Bermudan nonimmigrant waiver applicants in particular, because unlike other nonimmigrant waiver applicants who submit their applications at the same time as visa applications at no additional charge, Canadians and Bermudans do not require a visa to enter the United States, and thus pay the full filing fee to submit the waiver application. The commenter stated that an increase in the filing fee will hurt local economies in border towns because "every dollar spent on a waiver application is a dollar not spent on tourism or retail." The commenter did not provide further data or analysis on the potential impact of the proposed fee increase on such economies.

In response to this comment, DHS is not implementing the fee increase proposed in the NPRM with respect to those Forms I-192 filed with and processed by CBP, and all Forms I-193. CBP uses the fee revenue from these forms to defray its own costs related to such processing. The FY 2016/2017 fee review and resulting proposed fee change was based on USCIS's costs for processing inadmissibility waivers. Therefore, under this final rule, DHS adjusts only the fee for those Forms I-192 filed with and processed by USCIS. Consequently, Form I-192 will have two fees—\$585 for those filed with CBP and \$930 for those filed with USCIS. New 8 CFR 103.7(b)(1)(i)(P). All filings of Form I-193 are processed by CBP and thus DHS will also not adjust the current \$585 fee. New 8 CFR 103.7(b)(1)(i)(Q).

C. Fee Waivers and Exemptions

DHS proposed no changes to the USCIS fee waiver policies in the NPRM. DHS noted, however, that the lost revenue from fee waivers and exemptions has increased markedly, from \$191 million in the FY 2010/2011 fee review to \$613 million in the FY 2016/2017 Fee Review. DHS also explained the fee waiver process. See 81 FR 26922. DHS received a number of comments on its fee waiver and exemption policies. Some commenters on this subject requested that DHS permit fee waivers for additional immigration benefit requests. Others asked that DHS make more requests exempt from fee requirements.

Applicants, petitioners, and requestors who pay a fee cover the cost of processing requests that are fee-waived or fee-exempt. *Id.*⁵⁸ While a number of commenters suggested that USCIS expand the range of applications and petitions for which USCIS would consider a fee waiver, none provided a compelling argument for why a particular form that is not eligible for fee waivers should be made eligible in this final rule.

For example, one commenter recommended that USCIS make fee waivers available for all applications. DHS recognizes that some applicants cannot pay filing fees, and has established a fee waiver process for certain forms and benefit types. USCIS carefully considers the merits of each fee waiver request before making a decision. Expansion of fee waiver policy to include all immigration benefit request fees would significantly increase administrative and adjudicative costs. Although DHS recognizes that filing fees impose a heavy burden on people of limited financial means, the costs of allowing fee waivers across the board would be borne by all other fee payers, because the cost of providing services with a discount or without a fee must be transferred to those who pay a full fee. Thus, USCIS takes a relatively careful position with respect to transferring costs from one applicant to another through the expansion of fee waiver eligibility.

DHS notes that, in response to stakeholder concerns about the fee waiver process and rejections of fee waiver requests, USCIS recently published a new Request for Fee Waiver, Form I-912. It revised the form to clarify the instructions, make the form less complex, and reduce the number of incomplete fee waiver requests that are ultimately rejected. In addition, because many applicants have had difficulty providing all the requested information in the spaces provided on the previous form, USCIS also included text boxes that provide space for explanations. Those boxes reduce the need for attachments, and make the form more user-friendly.

As for fee exemptions, DHS already exempts from fees those requests with compelling circumstances. These exemptions include benefit requests for a range of humanitarian and protective services, such as refugee and asylum processing, assisting victims of crime

and human trafficking, and other related services. USCIS also may allow fee exemptions based on economic necessity in the event of incidents such as an earthquake, hurricane, or other natural disasters affecting localized populations by using the authority of the Director of USCIS at 8 CFR 103.7(d). DHS proposed no new exemptions in the NPRM, and knows of no compelling reason for exempting a new group of applicants, petitioners, or requestors from a fee. Therefore, DHS has added no new exemptions in this final rule.

D. Naturalization

In the NPRM, DHS proposed to increase the fee for the Application for Naturalization, Form N-400, from \$595 to \$640. Proposed 8 CFR 103.7(b)(1)(i)(BBB); 81 FR 26939. DHS proposed to hold the increase for the Form N-400 to the reduced fee increase (8 percent)⁵⁹ to support naturalization. DHS also proposed an additional fee option for those non-military naturalization applicants with family incomes greater than 150 percent and not more than 200 percent of the Federal Poverty Guidelines. Proposed 8 CFR 103.7(b)(1)(i)(BBB)(1); 81 FR 26939. Specifically, DHS proposed that such applicants would receive a 50 percent discount, resulting in a fee of \$320 for Form N-400. DHS proposed this reduced fee option to limit any potential economic disincentives that some eligible naturalization applicants may face when deciding whether or not to seek U.S. citizenship. The lower fee is intended to help ensure that those who have become eligible for naturalization are not prohibited from naturalizing due to their economic means.

Several commenters stated that the price of this benefit is already too high. Another commenter stated that the fee for Form N-400 should be increased based on the value of U.S. citizenship, not just the costs associated with adjudicating the form. And, while generally opposed to the fee increase, several commenters wrote in support of USCIS' efforts to alleviate some of the associated burdens by establishing a three-level fee for Form N-400, including a fee of \$320 for certain low-income applicants who do not qualify for the existing fee waiver. The commenters stated that by doing so, USCIS will expand the pool of potential applicants.

DHS agrees with commenters that citizenship is a benefit that deserves special consideration and promotion. Therefore, DHS did not propose a fee

⁵⁷ The commenter did not mention Form I-193 applications, but such applications are similarly affected by this rulemaking.

⁵⁸ USCIS compares fee-paying receipts to the total number of receipts to determine a fee-paying percentage for each immigration benefit request. See page 16 of the supporting documentation in the rulemaking docket for an explanation of fee-paying volume and methodology.

⁵⁹ The proposed increase was a 7.5 percent due to rounding.

that reflected all of the costs associated with the relative complexity of the adjudication. The Application for Naturalization fee has not changed in nearly a decade. Additionally, the fee established in this rule for Form N-400 is less than it would be if the 2007 fee were simply adjusted for inflation. According to the Bureau of Labor Statistics, the semiannual average inflation from July 2007 to July 2016 was 16.1 percent.⁶⁰ If adjusted only for inflation, the current \$595 fee would be \$690, which is \$50 more than the \$640 fee set by this rule. DHS has not previously adjusted Form N-400 by CPI-U inflation, but provides this as a point of comparison.

As for the comment requesting that the Form N-400 fee be based on the value of U.S. citizenship, doing so would require quantifying that value, which assuming it is appropriate or even possible to do precisely, would be beyond the scope established by the proposed rule. The USCIS ABC model is based on estimated operational costs, and DHS has set the fee at a level that adheres to the fee review methodology, which includes full cost recovery. See new 8 CFR 103.7(b)(1)(i)(BBB). DHS therefore sets the fee for Form N-400 at \$640, as proposed.

E. Improve Service and Reduce Inefficiencies

Many of the comments received that opposed fee increases cited delays in processing times and dissatisfaction with customer service. Some of these commenters stated that they would embrace the fee increases if they resulted in faster processing and improved customer service. A few commenters asserted that if DHS implements any type of USCIS fee increase, then USCIS should guarantee that it will reduce benefit request processing times. At least one commenter recommended increasing the fees further so there would be no excuse for delays in processing. Other commenters wrote about expanding electronic filing and receipting to reduce mail handling and shipping of paper. USCIS acknowledges that since its last adjusted fees in FY 2010, the agency has experienced elevated processing times compared to the goals established in the 2007 fee rule. See 72 FR 29858-29859. These processing delays have

contributed to case processing backlogs. This can partially be attributed to having removed the surcharge previously applied to the IEFA fee schedule to recover costs related to RAI0, the SAVE program, and the Office of Citizenship. This was done in anticipation of congressional appropriations for these programs, consistent with the President's budget requests. As the anticipated budget request was not granted, since FY 2012 USCIS has used other fee revenue to support these programs. Under this final rule, DHS will adjust USCIS fees by a total weighted average increase of 21 percent; the total 21 percent weighted average increase will be allocated as follows:

- To reinstate a surcharge in the fee schedule to sustain the current operating levels of RAI0, the SAVE program, and the Office of Citizenship (approximately 8 percent);
- To account for reduced revenue stemming from an increase in fee waivers granted since FY 2010 (approximately 9 percent); and
- To recover the costs needed to sustain current operating levels while allowing for limited, strategic investments necessary to ensure the agency's information technology infrastructure is strengthened to protect against potential cyber intrusions, and to build the necessary disaster recovery and back-up capabilities required to effectively deliver the USCIS mission (approximately 4 percent).

Through this final rule, USCIS expects to collect sufficient fee revenue to sustain current operating levels of RAI0, the SAVE program, and the Office of Citizenship. This change will allow USCIS to discontinue diverting other fee revenue to fund these programs, thereby increasing the resources available to fund additional personnel⁶¹ needed to improve case processing, reduce backlogs, and move toward processing times that are in line with the commitments in the FY 2007 fee rule.

While the agency remains committed to achieving the processing goal commitments in the 2007 fee rule, it acknowledges that these goals remain ambitious. By its very nature, the fee review cycle uses historical staffing and workload information to establish future needs, and as a result, cannot identify the exact resources necessary to guarantee future processing goals. In addition, superseding priorities may

arise, which could not have been known at the time fee cycle calculations were made, that may impact USCIS' ability to meet customer expectations. USCIS will need to continue addressing emergent issues and their associated costs, which may impact case processing efficiency and backlogs. Nevertheless, the agency holds the 2007 processing goals to be among its highest priorities and recommitments to achieving them as quickly as possible.

In addition, USCIS is committed to providing stakeholders and customers with the information they need, when they need it. To that end, USCIS is transforming how it calculates and posts processing time information to improve the timeliness of such postings, but more importantly, to achieve greater transparency of USCIS case processing. For instance, to make current published processing time information more transparent and less complex for customers to interpret, USCIS is evaluating the feasibility of calculating processing times using data generated directly from case management systems, rather than with self-reported performance data provided by Service Centers and Field Offices. Preliminary findings suggest that USCIS will be able to publish processing times sooner and with greater transparency by showing different processing times for each office and form type. USCIS is also considering publishing processing times using a range rather than using one number or date. This approach would show that, for example, half of cases are decided in between X and Y number of months.

USCIS also expects to improve the customer experience as it continues to transition to online filing and electronic processing of immigration applications and petitions. With the new person-centric electronic case processing environment, USCIS will possess the data needed to provide near-real-time processing updates to the customer that will identify the case status and time period that has elapsed between actions for each individual case. This will allow greater transparency to the public on how long it will take to process each case as it moves from stage to stage (e.g., from biometrics collection, to interview, to decision).

DHS appreciates the comments requesting expansions of electronic filing, and USCIS is actively planning the expansion of its online case management system for the submission and adjudication of immigration benefits. As of the end of FY 2016, approximately 17 percent of the agency's intake was processed through

⁶⁰ The semiannual average consumer price index for all urban consumers (CPI-U) was 205.7 in July 2007 and 238.8 in July 2016. The change in the index over 9 years was 33.1 or 16.1 percent. See U.S. Department of Labor, Bureau of Labor Statistics, All Urban Consumers (CPI-U) Semiannual Average tables, available at http://www.bls.gov/cpi/cpi_dr.htm.

⁶¹ For additional information on staffing, see second bullet on pg. 13. Alignment of USCIS Staffing Allocation Model with the Fee Review on pg. 26, and Appendix XIII Table 12: IEFA Positions by Office in the supporting documentation.

online filing and we are striving to increase that level.

In sum, DHS appreciates the commenters' concerns for timely service. USCIS continually strives to meet timely adjudication goals while balancing security, eligibility analysis, and integrity in the immigration system. Fees have not been adjusted since 2010 and that fee rule did not include the surcharge for RAIO, the SAVE program, and the Office of Citizenship, which has resulted in the reprioritization of resources to cover those program costs. This fee rule is intended to address such shortfalls and provide resources necessary to ensure adequate service. USCIS would be unable to adequately perform its mission if DHS allowed fee levels to remain insufficient while USCIS continued to develop its search for additional efficiencies.

F. Premium Processing

Premium processing is a program by which filers may request 15-calendar-day processing of certain employment-based immigration benefit requests if they pay an extra amount. 8 CFR 103.7(b)(1)(i)(RR) and (e); proposed 8 CFR 103.7(b)(1)(i)(SS); 81 FR 26939. In 2000, Congress set the premium processing fee at \$1,000 and authorized USCIS to adjust the fee for inflation, as determined by the Consumer Price Index (CPI). Section 286(u) of the INA, 8 U.S.C. 1356(u). USCIS adjusted the premium processing fee to \$1,225 by using the CPI in the 2010 final rule.⁶² See 75 FR 58979. DHS proposed no change to premium processing fees or regulations because forecasted premium processing revenue is sufficient to cover the projected costs of providing the premium service and other permissible infrastructure investments.

Several commenters wrote to request that USCIS expand premium processing to other forms, including family-based immigration benefit requests, naturalization, relief for victims of crimes who assist law enforcement, and forms related to the EB-5 Immigrant Investor Program. Some commenters stated that using premium processing revenue may alleviate backlogs. Other commenters stated that premium processing is essentially mandatory to ensure the timely and efficient processing of their employment-based petitions.

Assuming DHS has the general authority to offer expedited processing fees to additional forms, the timing

requirements of many adjudications involve considerations that are out of USCIS' control. For example, background checks, the timing of which are not controlled by USCIS, are required for: The Application for Temporary Protected Status, Form I-821; the Application for Naturalization, Form N-400; the Application for Provisional Unlawful Presence Waiver, Form I-601A; and the Application to Register Permanent Residence or Adjust Status, Form I-485. These and many other forms are not suited for expedited processing. USCIS already seeks processing efficiencies where available and shifts workload to balance volume surges, seasonal demands, and competing priorities.

In addition, where expedited processing may be possible, it would be extraordinarily time-intensive to determine the appropriate fee amount, target adjudication timeframe, and staffing levels needed to implement a new expedited processing program. Expanding the premium processing program would require USCIS to estimate the costs of a service that does not currently exist with sufficient confidence that it can deliver the service promised and not impair service for other immigration benefit requests. Nevertheless, USCIS will continue considering additional premium processing services and its ability to improve services without creating new challenges. DHS made no changes in this final rule as a result of these comments.

G. Immigrant Investors

In the NPRM, DHS proposed a number of changes to fees related to the Employment-Based Immigrant Visa, Fifth Preference (EB-5) "Immigrant Investor" Program.⁶³ Specifically, DHS

⁶² The EB-5 program was created by Congress in 1990 to stimulate the U.S. economy through job creation and capital investment by foreign investors. The EB-5 "regional center program" was later added in 1992 by the Departments of Commerce, Justice, and State, the Judiciary, and Related Agencies Appropriations Act, 1993. Pub. L. 102-395, sec. 610, 106 Stat 1828 (Oct. 6, 1992). The EB-5 immigrant classification allows qualifying individuals, and any accompanying or following to join spouses and children, to obtain lawful permanent resident (LPR) status if the qualifying individuals have invested, or are actively in the process of investing, \$1 million in a new commercial enterprise. See INA sec. 203(b)(5)(A) and (C), 8 U.S.C. 1153(b)(5)(A) and (C). To qualify, the individual's investment must benefit the U.S. economy and create full-time jobs for 10 or more qualifying employees. INA sec. 203(b)(5)(A)(ii), 8 U.S.C. 1153(B)(5)(A)(ii). If the investment is in a Targeted Employment Area (TEA) (*i.e.*, a rural area or an area that has unemployment of at least 150% of the national average), the required capital investment amount is \$500,000 rather than \$1 million. INA sec. 203(b)(5)(C)(ii), 8 U.S.C. 1153(b)(5)(C)(ii); 8 CFR 204.6(f)(2). Entrepreneurs

proposed to increase the fee for the Application for Regional Center Under the Immigrant Investor Program, Form I-924, from \$6,230 to \$17,795. See proposed 8 CFR 103.7(b)(1)(i)(WW); 81 FR 26939. DHS proposed to establish a new fee for the Annual Certification of Regional Center, Form I-924A, at \$3,035. See proposed 8 CFR 103.7(b)(1)(i)(XX); 81 FR 26939. DHS proposed to increase the fee for the Immigrant Petition by Alien Entrepreneur, Form I-526, from \$1,500 to \$3,675. See proposed 8 CFR 103.7(b)(1)(i)(W); 81 FR 26938. Finally, DHS proposed to hold the fee for the Petition by Entrepreneur to Remove Conditions, Form I-829, at \$3,750. See proposed 8 CFR 103.7(b)(1)(i)(PP); 81 FR 26939. With the exception of the proposed fee for Form I-829, each proposed EB-5 fee increase was the result of application of the standard USCIS fee methodology to the applicable benefit request.

Several commenters objected to the proposed increases, noting that these are some of the highest proposed fee increases, while the related benefit requests have some of the longest processing times. Another commenter wrote to applaud the increase to EB-5 fees in general, but requested that USCIS conduct site visits and evaluate whether regional centers are misrepresenting themselves to investors.

As an initial matter, and as noted previously, DHS is authorized to set fees at a level that ensures recovery of the full costs of providing immigration adjudication and naturalization services. Because USCIS relies almost entirely on fee revenue, in the absence of a fee schedule that ensures full cost recovery, USCIS would be unable to sustain an adequate level of service, let alone invest in program improvements. Full cost recovery means not only that fee-paying applicants and petitioners must pay their proportionate share of costs, but also that at least some fee-paying applicants and petitioners must pay a share of the immigration adjudication and naturalization services that DHS provides on a fee-exempt, fee-reduced, or fee-waived basis. DHS is therefore mindful to adhere to the standard USCIS fee methodology as often as possible, and to avoid overuse

may meet the job creation requirements through the creation of indirect jobs by making qualifying investments within a new commercial enterprise associated with a regional center approved by USCIS for participation in the regional center program. INA sec. 203(b)(5), 8 U.S.C. 1153(b)(5); 8 CFR 204.6(e) and (m)(7). For more information on the EB-5 program, see <https://www.uscis.gov/working-united-states/permanent-workers/employment-based-immigration-fifth-preference-ab-5/about-ab-5-visa>.

⁶³ Premium processing fees are increased using the CPI through statutory authority. See INA sec. 286(u), 8 U.S.C. 1356(u).

of DHS's discretion to eliminate or reduce fees for special groups of beneficiaries.

The proposed fees for three of the four EB-5 Program forms resulted from application of the standard USCIS fee methodology,⁶⁴ because DHS did not find a compelling reason to shift the burden of adjudicating these forms onto other applicants. In addition, the relatively high fees for these requests result in part from the high costs associated with adjudicating them. For instance, USCIS has recently implemented several changes to refine and improve the delivery, security and integrity of the EB-5 Program. USCIS established the Immigrant Investor Program Office (IPO) in Washington, DC in 2012. Since that time, IPO has regularly added staff positions to focus both on managing the program and ensuring identification of fraud, national security, or public safety concerns within the program. In addition, USCIS plans to conduct increased site visits to regional centers and associated commercial enterprises to verify information provided in regional center applications and investor petitions and to clarify its EB-5 regulations. Currently, USCIS is in the process of hiring and training additional adjudicators, economists, and support staff needed to adjudicate the benefit requests associated with the EB-5 program. Part of the increase in fees for EB-5-related adjudications will bolster the fraud detection and national security capabilities of USCIS to investigate fraud and abuse at all levels of the EB-5 process, including investigating projects that receive funds from EB-5 investors and auditing regional center annual reports to enhance compliance with the program. See 81 FR 26918. Each of these factors contributed to the proposed EB-5 Program fees.

In the immediately succeeding section, as well as in the Paperwork Reduction Act section of this preamble, DHS responds to additional comments on the proposed EB-5 fees.

1. Application for Regional Center Under the Immigrant Investor Program, Form I-924

In the NPRM, DHS proposed to increase the fee for the Application for Regional Center Under the Immigrant Investor Program, Form I-924, from \$6,230 to \$17,795. See proposed 8 CFR 103.7(b)(1)(i)(WW); 81 FR 26939. The proposed fee increase was the result of

application of the standard USCIS fee methodology to the benefit request.

At least one commenter wrote to oppose the proposed Form I-924 fee increase due to the possible impact on EB-5 regional centers. The commenter recommended a possible reduced fee for centers in existence for fewer than 5 years. The same commenter stated dissatisfaction with the level of customer service that USCIS has provided and suggested that USCIS create an electronic platform for EB-5 regional centers to monitor their applications and cases. Other commenters stated that the proposed fee increase were unreasonable and inflated, especially in light of long processing delays. At least one commenter stated that regional centers in rural and high-unemployment areas are less capable of withstanding long processing delays. The same commenter stated that the proposed 286 percent fee increase for the Form I-924 should be accompanied by an assurance that processing times would be cut by 75 percent. The commenter stated that an alternative to processing time reductions would be to create a process in which regional centers would be automatically approved if USCIS does not provide a notice of action within 4 months, or if USCIS does not summarily reject a petition for which there have been prior approvals on the same project. Another commenter stated that DHS could adopt a tiered fee structure for Form I-924 based on whether the associated investment project was an actual or exemplar project. At least one commenter mentioned the potential for legislation to alter the regional center requirements.

USCIS understands the desire of EB-5 regional centers to receive prompt and courteous service, and the agency strives to provide the best level of service possible. As the program has grown and applicants and projects have become more advanced, the current fee level has proven to be inadequate to ensure that USCIS has the resources it needs. The proposed fee increase was determined using USCIS's standard fee-setting methodology, based on the number of hours required to adjudicate Form I-924. These adjudications require economists and adjudications officers to thoroughly review extensive business documents, economic impact analyses, and other project-related documents. The proposed fee increase was, in part, calculated to allow USCIS to hire additional staff to process Forms I-924 and provide better and more thorough service.

Currently, USCIS does not have the data to quantify alternative fees for

regional centers in existence for fewer than 5 years. In addition, USCIS does not track Form I-924 completion rates based on whether the project involves a rural or urban area, an area of high or low employment, or an actual or exemplar project. USCIS also cannot commit to across-the-board processing time reductions as adjudications involve case-by-case review of complex applications and related supplementary information, nor can it implement a process that automatically approves a regional center without a complete adjudication. Moreover, USCIS does not prioritize Form I-924 workloads based on whether regional center projects involve a rural or urban area, or an area of high or low employment. DHS may consider exploring the feasibility of such a change in the future, but will not implement a change at this time.

With respect to the commenter that identified the possibility of legislative changes, USCIS greatly appreciates the work of stakeholders towards reauthorization of the Regional Center Program and reform of the EB-5 program more generally. USCIS is cognizant of potential legislative changes to the EB-5 program and is also aware that such changes may require adjustments to USCIS adjudication processes. In the event that legislative changes are enacted, USCIS would assess any significant changes and reassess program requirements, adjudication process, and required fees. For now, however, and for the reasons stated previously, this rule sets the Form I-924 fee at \$17,795, as proposed.

2. Immigrant Petition by Alien Entrepreneur, Form I-526

In the NPRM, DHS proposed to increase the fee for the Immigrant Petition by Alien Entrepreneur, Form I-526, from \$1,500 to \$3,675. See proposed 8 CFR 103.7(b)(1)(i)(W); 81 FR 26938. The proposed fee increase was the result of application of the standard USCIS fee methodology to the benefit request.

Some commenters wrote to request additional information on the proposed fee increase. Another commenter stated that a lack of processing efficiency can cause problems for Form I-526 applicants. Specifically, the commenter stated that EB-5 project sponsors sometimes agree to put an investor's money in escrow until the Form I-526 is approved. If the form is denied, project sponsors return those funds to the investor; if approved, the project sponsor uses those funds on the project. The commenter stated that such projects can languish when the investor's money is held in escrow for lengthy periods of

⁶⁴ The proposed fee for the Form I-829 was above the model output, as described in the proposed rule.

time. According to the commenter, although escrow arrangements provide substantial benefits to program integrity, they are becoming commercially untenable due to Form I-526 processing times. The commenter also asserted that projects themselves are also hurt by lengthy processing times, as projects may be well underway by the time USCIS denies the forms.

USCIS has taken multiple steps towards reducing Form I-526 processing times. As previously mentioned, USCIS is in the process of hiring and training additional adjudications officers, economists, and support staff for these form types. Additionally, USCIS is working to revise the EB-5 regulations and is preparing revisions to the EB-5 Policy Manual. USCIS is also improving the forms and form instructions for the EB-5 program. The EB-5 program fee increases will further these agency efforts with the goal of improving operational efficiencies while enhancing predictability and transparency in the adjudication process. USCIS understands that long delays in Form I-526 adjudications negatively impact both immigrant investors and the projects awaiting the release of their investment funds from escrow. USCIS strives to process Form I-526 filings as soon as practicable. In addition, regarding the release of escrowed funds, USCIS permits EB-5 financing to replace interim financing where the financing to be replaced was contemplated as temporary financing that would be replaced.⁶⁵ DHS made no changes to the proposed Form I-526 fee as a result of these comments, and is finalizing the fee at \$3,675, as proposed.

3. Petition by Entrepreneur To Remove Conditions, Form I-829

In the NPRM, DHS proposed to hold the fee for the Petition by Entrepreneur to Remove Conditions, Form I-829, at \$3,750. See proposed 8 CFR 103.7(b)(1)(i)(PP); 81 FR 26939. While the fee model calculated a fee of \$2,353, DHS proposed to maintain the current fee for such petitions. See 81 FR 26918. Because of the recent and continued growth and maturation of the EB-5 Program, associated costs over the next few fiscal years are uncertain. Among other things, the final parameters of the program are still evolving, such as the number of USCIS employees and facilities necessary to carry out

enhanced review of EB-5 filings, as well as site visits. This uncertainty makes it unclear whether EB-5 related fees will fully fund EB-5 program activities. DHS therefore proposed to keep the Form I-829 at the current fee, above the full cost recovery calculation, to shield USCIS against potential, but likely rising costs.⁶⁶

At least one commenter indicated current USCIS processing times for Form I-829 extend beyond the 1-year automatic extension of the entrepreneur's conditional residence, imposing an additional burden on petitioners traveling outside of the United States. The commenter stated that delays in processing Form I-829 mean that investments must remain at risk for an extended period of time. The commenter added that USCIS could increase the efficiency of Form I-829 adjudications by consolidating the business-related portions of multiple Forms I-829 associated with a single investment project into a single adjudication. Another commenter recommended that USCIS implement electronic filing of this and other forms related to the Immigrant Investor Program to increase efficiency.

USCIS recognizes that lengthy Form I-829 processing times place a strain on EB-5 investors who are awaiting approval of their applications to adjust to LPR status. USCIS is working diligently to add staffing, and the agency plans to publish regulatory action, policy guidance, and revised forms with the goal of improving service delivery to applicants and improving the integrity of the EB-5 program. In part due to the tentative nature of these plans, DHS has no way to reliably quantify any potential cost savings that might be associated with these actions, and therefore could not propose to reduce the Form I-829 fee to account for such savings.

DHS appreciates the suggestions for improving EB-5 processing times. DHS clarifies that USCIS already has processes in place to streamline adjudication of the business-related portions of multiple Forms I-829 associated with a single, new investment project. Specifically, when USCIS receives a regional center-associated Form I-829 that involves a new commercial enterprise, USCIS reviews the first two petitions associated with that new commercial

enterprise to determine if there are specific project-related issues that would apply to all petitioners associated with the new commercial enterprise. After completing that review, USCIS commences adjudication of all Forms I-829 associated with that new commercial enterprise filed within a given period. Similarly, when USCIS receives a regional center-associated Form I-829 that involves a previously reviewed commercial enterprise, USCIS immediately assigns that petition for adjudication. In other words, USCIS currently adjudicates Form I-829 petitions in "first in, first out" order by new commercial enterprises. USCIS constantly searches for new ways to increase efficiencies in the adjudications process, and for that reason cannot commit to a uniform queuing practice in this rule, or reduce associated fees in anticipation of heretofore unrealized savings.

USCIS does not have immediate plans to allow electronic filing for EB-5 requests, but appreciates commenters' desire to avoid voluminous paper filings. USCIS plans to allow electronic filing for EB-5 requests in the future. DHS made no changes to the proposed Form I-829 fee, or the policies regarding EB-5 adjudications, as a result of these comments. The final rule sets the Form I-829 fee at \$3,750, as proposed.

H. Methods Used To Determine Fee Amounts

As described previously and in the NPRM, the standard USCIS fee-setting methodology is intended to ensure full cost recovery for USCIS immigration adjudication and naturalization services. DHS based the proposed USCIS fees on the estimated costs of providing immigration benefit adjudication and naturalization services. In addition, to the extent possible, and with limited exception, DHS based the proposed USCIS fees on the relative identifiable costs associated with providing each particular benefit or service. This fee methodology is consistent with government-wide fee-setting guidelines outlined by OMB Circular A-25, 58 FR 38142 (July 15, 1993);⁶⁷ the principles of the Chief Financial Officers Act of 1990, 31 U.S.C. 901-03; and the Federal Accounting Standards Advisory Board (FASAB) guidelines.⁶⁸ Additional information about the fee methodology can be found in this preamble, the preamble for the

⁶⁵ See Policy Memorandum, *EB-5 Adjudications Policy* (May 30, 2013) at [https://www.uscis.gov/sites/default/files/USCIS/Laws/Memoranda/2013/May/EB-5%20Adjudications%20PM%20\(Approved%20as%20final%205-30-13\).pdf](https://www.uscis.gov/sites/default/files/USCIS/Laws/Memoranda/2013/May/EB-5%20Adjudications%20PM%20(Approved%20as%20final%205-30-13).pdf).

⁶⁶ If DHS had decided to adjust the fee consistent with the adjustment that DHS made to most other fees, the proposed fee would have decreased to \$3,280. The proposed fee would have been higher than the model output because of Cost Reallocation. Other fees would also have been adjusted accordingly.

⁶⁷ Office of Management and Budget, Circular A-25, *User Charges*, available at http://www.whitehouse.gov/omb/circulars_a025/.

⁶⁸ Handbook, Version 14 (06/15), available at http://files.fasab.gov/pdffiles/handbook_sffas_4.pdf.

proposed rule, and the supporting documentation accompanying this rulemaking.⁶⁹

DHS received a number of comments regarding the methods that DHS uses to determine fee amounts. Commenters made statements about the need for full cost recovery without appropriations, the decision to exclude revenue from certain benefits in the proposed fee schedule, potential alternative fee methodologies, and the potential for cost reductions. DHS responds to these comments below.

1. Recovery of Full Cost Without Appropriations

Some commenters suggested that USCIS seek appropriations to reduce immigration benefit request fees. Some commenters opposing the fee increase mentioned that immigrants in the United States pay Federal income taxes, Social Security taxes, and other fees and questioned whether those are being accounted for in USCIS fee calculations. Commenters stated that appropriations could help reduce processing times or fund programs that do not recover full cost on their own, such as RAIO, the SAVE program, and the Office of Citizenship.

DHS acknowledges that immigrants pay both Social Security and various Federal taxes and fees, but the decision whether to fund USCIS services through tax revenues belongs to the U.S. Congress. And in recent years, such funding has been unavailable. As noted in the NPRM, USCIS is almost entirely funded by fees and must recover the full cost of its operations. See 81 FR 26905–26912. Fees collected from individuals and entities filing immigration benefit requests are deposited into the IEFA and used to fund the cost of immigration benefits and naturalization. *Id.* USCIS has not received any substantial appropriations since FY 2011. Similarly, USCIS received no FY 2016 discretionary appropriations for the SAVE program or the Office of Citizenship. See DHS Appropriations Act 2016, Public Law 114–113, div. F. (Dec. 18, 2015) and 81 FR 26912. USCIS did not receive appropriations for refugee and asylum processing or the

SAVE program after FY 2011. USCIS received \$2.5 million for the immigrant integration grants program in FY 2013 (Pub. L. 113–6) and FY 2014 (Pub. L. 113–76), but the agency did not receive appropriations for that program in FY 2015 or FY 2016. The only USCIS appropriations for FY 2016 provided funding for the E-Verify employment eligibility verification program. See Consolidated Appropriations Act, 2016, Public Law 114–113, div. F, tit. IV (Dec. 18, 2015) (DHS Appropriations Act 2016). Other than as described, USCIS receives no appropriations to offset the cost of adjudicating immigration benefit requests. *Id.* As a consequence of this funding structure, taxpayers do not bear any costs related to the IEFA and bear only a nominal burden to fund USCIS. However, in the event appropriations are provided that will materially change IEFA fees, then DHS could pursue a rulemaking to adjust fees appropriately.

Finally, one commenter questioned why SAVE fees charged to local, state, and Federal agencies do not recover the full cost of the SAVE program. USCIS collects SAVE fees from federal government agencies under the authority of the Economy Act, 31 U.S.C. 1535, and from state or local government agencies under the authority of the Inter-Governmental Cooperation Act, 31 U.S.C. 6501. SAVE fees are included in Memoranda of Agreement (MOAs) with user agencies, which are updated based on the established periods of performance. As noted in the proposed rule, SAVE fees impact the IEFA fees established in this rule only as necessary to fund the SAVE costs that remain after taking into account revenue received under the MOAs. See 81 FR 26911. Fees charged to SAVE users do not cover the full cost of the SAVE program; rather, they only cover the estimated per-query cost of operating the verification system. IEFA funds are used to cover other costs of the program, especially personnel and overhead expenses. In short, then, the funding structure for SAVE is a dual one, in which some costs are covered by reimbursements, and other costs from IEFA funds. Congress has supported this funding arrangement in the past, noting ongoing budget constraints.⁷⁰ As the commenter requests, USCIS and DHS regularly examine SAVE fees, and may modify them in the future.

2. Exclusion of Temporary or Uncertain Costs, Items, and Programs

As noted in the NPRM, DHS excluded from the fee model the costs and revenue associated with certain

programs that are time-limited or that may otherwise be narrowed or terminated, including because they are predicated on guidance and not preserved in regulations or statute.⁷¹ See 81 FR 26914–26915. This exclusion applies to the Application for TPS, Form I–821; Consideration of Deferred Action for Childhood Arrivals (DACA), Form I–821D; and Application for Suspension of Deportation or Special Rule Cancellation of Removal (Pursuant to Section 203 of Pub. L. 105–100) (Nicaraguan Adjustment and Central American Relief Act (NACARA)), Form I–881. As stated in the NPRM, DACA and TPS are both administrative exercises of discretion that may be granted on a case-by-case basis for particular periods of time. Both TPS and DACA, and the individual grants under each, are subject to intermittent renewal or extension at DHS's discretion. For NACARA, the eligible population will eventually be exhausted due to relevant eligibility requirements, including the date by which an applicant was required to have entered the United States. Given that these initiatives or programs are temporary by definition and at the discretion of DHS, USCIS excluded the associated cost and workload from the fee review and did not propose to allocate overhead and other fixed costs to these workload volumes. See 81 FR 26915.

Some commenters wrote to question the rationale for excluding DACA and TPS from the fee review. Several commenters stated that it is a financial burden to have to renew DACA every 2 years and to renew TPS every 18 months. Other commenters stated that, by their own estimates, the cost of administering DACA is less than the revenue that the program generates. Some commenters stated that fee increases to Forms I–765 and I–131 would deter DACA and TPS renewals and initial applications.

Following consideration of the comments received, DHS retains its earlier position. The practice of excluding these initiatives or programs that are temporary by definition from the fee review mitigates an unnecessary revenue risk, by ensuring that USCIS

⁶⁹ The USCIS fee methodology is not intended to yield a profit for the agency nor the Federal Government. The sole purpose of USCIS IEFA fees is to achieve full cost recovery to allow the agency to provide an adequate level of service. USCIS filing fees are not designed to function as tariffs, to generate general revenue to support broader policy decisions, or to deter certain behavior. As previously stated in this final rule, filing fees are generally not intended to influence public policy in favor of or in opposition to immigration, support broader infrastructure, or cover costs beyond USCIS.

⁷⁰ H.R. Rep. No. 112–492 (May 23, 2012).

⁷¹ As noted in the proposed rule, for the purposes of this rulemaking, DHS is including all requests funded from the IEFA in the term “benefit request” or “immigration benefit request” although the form or request may not be to request an immigration benefit. For example, DACA is solely an exercise of prosecutorial discretion by DHS and not an immigration benefit, and would fit under the definition of “benefit request” solely for purposes of this rule. For historic receipts and completion information, see USCIS immigration and citizenship data available at <https://www.uscis.gov/tools/reports-studies/immigration-forms-data>.

will have enough revenue to recover full cost regardless of DHS's discretionary decision to continue these initiatives. This allows DHS to maintain the integrity of its ABC model, ensure recovery of full costs, and mitigate revenue risk from unreliable sources.

For these reasons, the cost of adjudicating requests associated with these policies was not considered, and this final rule excludes from the ABC model the costs and revenue associated with aforementioned policies, as proposed.

3. Setting Fees by Benefit Type

A commenter stated that IEFA fees should be based on the specific immigration benefit sought by a filer, rather than the specific form type used. The commenter noted that USCIS tracks completion rate (i.e., adjudication time) by form number, and that the agency generally establishes a fee for the form type rather than the benefit being sought through the filing, even if the same form can be used to obtain different immigration benefits. For example, Form I-129 is used to request several types of nonimmigrant visa classifications, and a different fee could conceivably be calculated for each such classification.⁷²

USCIS already sets some of its fees based on benefit sought, rather than form type used. For example, USCIS sets different fees for Form I-131 depending on the benefit sought, and the agency provides fee exemptions to certain filers of Form I-360. For other forms that have multiple uses, USCIS has not calculated the completion rate with enough precision to determine fees based on the benefits sought by filers of those forms. USCIS officers are required to manually report the time they spend on adjudicating forms; requiring reporting for sub-uses of those forms would divert time from processing requests. In addition, tracking whether filers are submitting the appropriate fees for the specific benefit sought would increase complexity for the agency and the public, potentially adding to processing delays. Nonetheless, DHS will continue considering this comment and may further refine its fee-setting methodology in the future to determine if different fees for the same form can be justified, as well as accurately and efficiently determined, without causing confusion and delay for adjudicators and the public. DHS made no changes

⁷² Currently, the fee is the same for each Form I-129 filed. This fee has historically been calculated based on the average level of complexity for the adjudication of the form.

in this final rule as a result of this comment.

4. Income-Based Fee Structure

Some commenters stated that DHS should generally base fees on the filer's income level or cost of living. Although USCIS is adopting a limited income-based fee structure in the naturalization context, adjusting all fees based on income or cost of living would be administratively complex and would require even higher costs to administer. A tiered fee system would require staff dedicated to income verification and necessitate significant information system changes to accommodate multiple fee scenarios for every form. The costs and administrative burden associated with implementing such a system would require additional overall fee revenue. As a result, DHS does not support making the entire fee schedule contingent on income or cost of living and DHS has made no changes in this final rule as a result of these comments.

5. Reduction in USCIS Costs

A number of commenters recommended that USCIS reduce costs internally instead of raising fees to fully recover costs. For instance, some commenters stated that USCIS employees' salaries were too high. No commenters proposed a methodology that DHS could use to adjust the proposed fee schedule to account for unrealized cost reductions.

USCIS is continually exploring opportunities to increase efficiency and reduce unnecessary costs without negatively affecting the delivery of benefits. Although USCIS will continue seeking out cost reductions, and may incorporate the results of such cost reductions in future fee reviews, DHS cannot set aside the need for full cost recovery indefinitely. Accordingly, DHS made no changes in this final rule as a result of these comments.

I. Dishonored Payments

In the NPRM, in a set of proposals separate and distinct from the proposed fee schedule, DHS proposed to eliminate three rules requiring that cases be held while deficient payments are corrected. See proposed 8 CFR 103.2(a)(7)(ii), 103.7(a)(2); 81 FR 26936; see also previous 8 CFR 103.2(a)(7)(ii), (a)(2); 8 CFR 103.17(b)(1). Instead, DHS proposed that if a financial instrument used to pay a fee were returned as unpayable after one re-presentation, USCIS would reject the filing and impose a standard \$30 charge. The purpose of the proposed change was to reduce the USCIS administrative costs for holding and tracking immigration

benefit requests when the accompanying payment has already been rejected.

DHS received several comments concerning these proposed changes. Some commenters suggested that USCIS maintain the current procedure or allow for several attempts to process a payment. These commenters noted that some payment problems are due to circumstances beyond the filer's control. These commenters stated that dishonored payments may result from errors at a USCIS Lockbox facility or a temporary disruption to a bank or Automated Clearing House (ACH)⁷³ network. These commenters also stated that the rejection of a benefit request can have serious repercussions for the filer. Commenters asserted that a payment failure may be especially disruptive if, for example, an underlying labor certification application for Form I-140 is about to expire, a derivative applicant is about to age out of eligibility, the priority date for an application for adjustment of status is scheduled to retrogress, or an applicant's current status will expire imminently and the pendency and approval of the application would otherwise result in an extension of status. These commenters stated that time-sensitive immigration benefit requests could be delayed by months or years because of the proposed changes. One commenter also noted that the rejected filings may require over a month to be returned to filers.

DHS agrees that ACH and bank network outages can sometimes result in a rejection or delay payments for a few days.⁷⁴ In the past, USCIS has addressed the possibility of ACH and network outages by arranging for the Department of the Treasury (Treasury) to automatically re-present a rejected payment twice to see if it clears on the second or third attempt before sending the filer the bill for the rejected payment.⁷⁵ Re-depositing a rejected

⁷³ The ACH Network is a nationwide electronic fund transfer system that provides for the inter-bank clearing of electronic credit and debit transactions and for the exchange of payment-related information among participating financial institutions.

⁷⁴ Treasury notifies USCIS of the reasons the payment was dishonored. Sometimes the reason is a lack of funds and sometimes the reason is a system outage. DHS will apply the dishonored payment provisions in this rule to all dishonored payments, regardless of the reason provided by Treasury. DHS believes that the safeguards described in the remainder of this section appropriately balance the interests of applicants and beneficiaries, on the one hand, and USCIS's interest in sound and efficient administration, on the other.

⁷⁵ USCIS implemented this internal policy in an effort to reduce the number of bad checks under the

Continued

check, known as "re-presentment," was not required by the regulations, but USCIS arranged for Treasury to do this as a courtesy to filers.⁷⁶

To address the concerns raised by commenters that a dishonored payment may be due to circumstances beyond the filer's control, DHS has decided to continue this practice, and to codify it (with slight revision) in this final rule. To make sure that a payment rejection is the result of insufficient funds and not due to USCIS error or network outages, USCIS (through Treasury) will re-submit rejected payment instruments to the appropriate financial institution one time. See new 8 CFR 103.2(a)(7)(ii)(D).⁷⁷ In effect, DHS will implement as a regulatory requirement the current practice under which USCIS re-presents rejected payments, but this rule will only require USCIS to re-submit the payment once, not twice. USCIS estimates that this change, based on its experience with how many days are required for financial instruments to clear, will provide a total of approximately 10 days before Treasury notifies USCIS that the payment (including re-presentment) has failed. The change codifies in regulation a practice that reduces instances in which requests are erroneously rejected because a bank erroneously rejects the relevant financial instrument.

This final rule also corrects an oversight in the NPRM related to how USCIS treats benefit requests that have already been approved when the agency learns that the financial instrument used to pay the associated fee is unpayable. Under current 8 CFR 103.2(a)(7)(ii), if USCIS has approved a benefit request before the payment has cleared, and the filer, having received notice of failed payment, fails to pay the filing fee and associated service charge within 14 days, USCIS automatically revokes the approval, or reopens and denies the request, due to improper filing. See, e.g., previous 8 CFR 103.2(a)(1) ("Each benefit request or other document must be filed with fee(s) as required by regulation."); 8 CFR 103.5(a)(5). As a result, a filer could not retain an

assumption that the payor may deposit funds during the intervening period and to preclude the need for USCIS to hold the bad check case while the payor has 14 days to correct it.

⁷⁶ DHS notes that the proposed rule's preamble erroneously stated that "DHS is proposing that USCIS will not begin processing the benefit request until the payment has cleared." See 81 FR 26920. No provisions were proposed that would require USCIS to hold cases. As in the past, USCIS strives to intake and begin processing every benefit request as soon as practicable, without regard for whether or not the payment has cleared.

⁷⁷ This policy will not apply to credit card payments.

approved benefit if the financial instrument used to pay the fee was subsequently returned as unpayable.⁷⁸ Unfortunately, the proposed rule erroneously omitted this existing regulatory authority, see proposed 8 CFR 103.2(a)(7)(ii); 81 FR 26936, and also erroneously failed to include conforming updates to a related provision, see previous 8 CFR 205.1(a)(2) (providing for automatic revocation of certain petitions "[i]f the filing fee and associated service charge are not paid within 14 days of the notification to the remitter that his or her check or other financial instrument used to pay the filing fee has been returned as not payable").

As the NPRM and this rule make clear, however, the ability of USCIS to collect fees is a fundamental aspect of its ability to function. USCIS must be able to continue requiring proper fee payments as a condition of eligibility for immigration benefits. Individuals who file a benefit request with a fee payment that is dishonored should, therefore, have no expectation that they might benefit from early processing of their filing.

Given that background, the only alternative to continuing to provide for revocation would be for USCIS to hold each benefit request until the financial instrument used to pay the fee has finally cleared or been rejected. In the interest of administrative efficiency and prompt processing of benefit requests, DHS has rejected that alternative. Therefore, DHS has provided in this final rule that if a remittance in payment of any fee submitted with a request is not honored by the bank or financial institution on which it is drawn, and the request was approved, USCIS will initiate revocation of the approval by issuing a notice of intent to revoke (NOIR). See new 8 CFR 103.7(a)(2)(iii).⁷⁹ The applicant, petitioner or requestor will be provided an opportunity to respond to the NOIR with evidence that the payment was honored and the revocation would be in error. To assuage concerns about procedural safeguards in

⁷⁸ In such a case, USCIS would either (1) revoke the approval automatically, (2) send a notice of intent to revoke the approval, or (3) reopen the approved case and deny it. See, e.g., 8 CFR 103.5(a)(5) (motion by Service officer); 205.1(a)(2) (automatic revocation of immigrant petitions); 205.2 (revocation on notice); 214.2(h)(1)(iii)(A)(5), (l)(9)(iii)(A)(5), (o)(8)(iii)(A)(5), (p)(10)(iii)(A)(5), (q)(9)(iii)(D) & (r)(18)(iii)(A)(5); 274a.14(b) (revocation for erroneous approval); see also, e.g., 6 U.S.C. 112; INA secs. 103, 204, 205, 214, 216, 216A, 244, 274A, and 286; 8 U.S.C. 1103, 1154, 1155, 1184, 1186a, 1186b, 1254a, 1324a, and 1356.

⁷⁹ DHS considers an NOIR process to provide superior notice to requestors, as compared to the automatic revocation provision in previous 8 CFR 103.2(a)(7)(ii).

such a situation, USCIS has decided to provide a notice in advance of the revocation in response to public comments that stated that a mistake by USCIS or a contractor could result in a dishonored payment. The applicant, petitioner or requestor may not, however, pay the rejected fee in response to the NOIR.

DHS emphasizes that this provision applies if *any* fee submitted with a benefit request is returned as dishonored. If a benefit request requires multiple fees, all fee instruments submitted with the request must be honored by the remitting bank; if any one fee instrument is dishonored after approval of the request, USCIS will revoke the approval after notice and will retain any filing fees properly paid. For instance, for the past five fiscal years, an average of 231 petitions per year were submitted with a Request for Premium Processing Service, Form I-907, accompanied by a check that was dishonored by the remitting bank. If a benefit approved under these circumstances is not revoked, petitioners would have the perverse incentive to request premium processing services in order to receive a swift approval, knowing they would not suffer any consequences once the bank dishonors the payment submitted for premium processing.⁸⁰ If the bank dishonors the Form I-907 payment after USCIS has approved the benefit request underlying the Form I-907, USCIS may revoke the approval after notice and, in that event, would retain the filing fees for the underlying benefit.⁸¹

In short, USCIS is fee funded and it must be able to adjudicate requests, including those which it has committed to approve in an expedited manner, without concerns that the fee payment will be declined. Accordingly, under this final rule, USCIS will intake the benefit request, deposit the fee, and begin processing the filing. If the payment is rejected, Treasury will represent the payment instrument on USCIS's behalf. If the payment is rejected on the second try, Treasury will notify USCIS and USCIS, solely under

⁸⁰ Currently, in the case of a request for premium processing, if the Form I-907 check is returned for insufficient funds, USCIS will process the case as a regular submission and will not revoke the approval even if the Form I-907 check is never honored. Unless DHS can also revoke the underlying petition, some premium processing requesters will benefit from a swift adjudication for which they have not paid.

⁸¹ Just as USCIS does not refund filing fees for a denied benefit, USCIS will not refund filing fees for a revoked benefit. After USCIS has fully adjudicated the request, it will have performed the same amount of work and expended the same resources for the adjudication that it would have expended if the case had been approved or denied.

its own authority, will reject the filing for fee non-payment. If the filing has been approved, USCIS will initiate revocation of the approval. *See id.* The elimination of the 14-day waiting period will reduce the need for special handling of cases involving a dishonored payment. The requirement to re-present rejected payments will address commenters' concerns about rejections that occur through no fault of the filer. And the requirement to revoke an approved request if the payment has ultimately been rejected will help ensure the integrity of the benefits adjudication system.

J. Refunds

In the NPRM, DHS proposed a minor change in the provision regarding USCIS fee refunds. *See* proposed 8 CFR 103.2(a)(1); 81 FR 26936. In general, and except for a premium processing fee under 8 CFR 103.7(e)(2)(i), USCIS does not refund a fee regardless of the decision on the immigration benefit. However, USCIS will refund a fee if the agency determines that an administrative error occurred resulting in the incorrect collection of a fee. *See* 81 FR 26920–26921. DHS proposed to revise 8 CFR 103.2(a)(1) to provide that fees are “generally” not refunded. This would address concerns that the current regulatory text does not explicitly permit refunds at DHS discretion. DHS currently grants such refunds because as electronic filings and associated electronic payments have increased, there has been an increase in the number of erroneous payments where refunds are appropriate.

Some commenters stated that they supported the regulatory change to clarify that USCIS does not generally allow refunds, but that a refund may occur as a result of administrative error or unnecessary payment. *See* 81 FR 26936. DHS has made no change based on these comments. DHS is finalizing this provision as proposed.

K. Visa Allocation

Some commenters wrote that they generally opposed the fee increases in the proposed rule due to long waits for immigrant visas. Although these long waits are due to visa retrogression in oversubscribed categories, some attributed it to USCIS processing inefficiencies and questioned a fee hike in the face of such delays.⁸² Some commenters stated that USCIS should

⁸² Visa retrogression occurs when more people apply for a visa in a particular category or country than there are visas available for that month <https://www.uscis.gov/green-card/green-card-processes-and-procedures/visa-availability-priority-dates/visa-retrogression>.

be able to move visa priority dates forward if fee increases are implemented.

Significant improvements have been made in the visa coordination process between DHS and the Department of State (DOS). In September 2015, DOS, in coordination with DHS, revised the procedures for determining immigrant visa availability and authorization for issuance for both employment-based and family-sponsored applicants for adjustment of status in the United States. *See* Department of State Visa Bulletin for October 2015.⁸³ These revisions were made to better align with DOS' immigrant visa overseas consular processing application procedures and to enhance DOS' ability to better predict overall immigrant visa demand and determine cut-off dates for visa issuance published in the Visa Bulletin. *Id.*

DHS appreciates the concerns raised by individuals who may have been affected by long visa waits and visa retrogression. However, requests to make further revisions to the visa allocation process and priority dates must be done in coordination with DOS and are outside the scope of this rulemaking.

L. Credit Card Payments

Finally, some commenters criticized USCIS for not allowing credit card payments for additional immigration benefit requests. USCIS accepts credit card payments made in person at all domestic field offices that accept payments.⁸⁴ USCIS began allowing credit card payments for paper-filed Applications for Naturalization, Forms N-400, on September 19, 2015.⁸⁵ Currently, this is the only immigration benefit that can be paid for with a credit card when filed by mail. USCIS also accepts credit card payments for immigration benefit requests made through the electronic immigration system. DHS made no changes in this final rule as a result of these comments. Nonetheless, in the future, USCIS will allow credit cards payments for all immigration benefit request fees when they are filed at a Lockbox facility as

⁸³ Available at <https://travel.state.gov/content/visas/en/law-and-policy/bulletin/2016/visa-bulletin-for-october-2015.html>.

⁸⁴ *See* U.S. Citizenship and Immigration Services, Paying Immigration Fees (7/7/2014), available at <https://www.uscis.gov/forms/paying-immigration-fees>.

⁸⁵ *See* USCIS to Welcome More Than 36,000 Citizens During Annual Constitution Day and Citizenship Day Celebrations (9/17/2015), available at <https://www.uscis.gov/news/news-releases/uscis-welcome-more-36000-citizens-during-annual-constitution-day-and-citizenship-day-celebrations>.

soon as this capability can be made available.

V. Statutory and Regulatory Reviews

A. Regulatory Flexibility Act—Final Regulatory Flexibility Analysis

In accordance with the Regulatory Flexibility Act (RFA), 5 U.S.C. 601(6), DHS examined the impact of this rule on small entities. A small entity may be a small business (defined as any independently owned and operated business not dominant in its field that qualifies as a small business per the Small Business Act, 15 U.S.C. 632), a small not-for-profit organization, or a small governmental jurisdiction (locality with fewer than 50,000 people). Below is a summary of the small entity analysis. A more detailed analysis is available in the rulemaking docket at <http://www.regulations.gov>.

Individuals rather than entities submit the majority of immigration and naturalization benefit applications and petitions. Entities that will be affected by this rule are those that file and pay the fees for certain immigration benefit applications and petitions. There are four categories of benefits that DHS analyzed in the Initial Regulatory Flexibility Analysis (IRFA) for this rule: Petition for a Nonimmigrant Worker, Form I-129; Immigrant Petition for an Alien Worker, Form I-140; Application for Civil Surgeon Designation, Form I-910; and the Application for Regional Center Designation Under the Immigrant Investor Program, Form I-924.⁸⁶ Additionally, DHS has analyzed as part of the following Final Regulatory Flexibility Analysis (FRFA) requests related to genealogy information, Forms G-1041 and G-1041A, and the Petition for Amerasian Widow(er) or Special Immigrant, Form I-360, in response to public comment on the impact to small entities that file these forms.

Following the review of available data, DHS does not believe that the increase in fees in this final rule will have a significant economic impact on a substantial number of small entities that are filing Form I-129, Form I-140, or Form I-910. However, DHS does not have sufficient data on the revenue collected through administrative fees by regional centers to definitively determine the economic impact on small entities that may file Form I-924. DHS also does not have sufficient data on the requestors that file genealogy forms to determine whether such filings were made by entities or individuals,

⁸⁶ Also captured in the dataset for Form I-924 is the Supplemental Form I-924A, which regional centers must file annually to certify their continued eligibility for regional center designation.

and thus is unable to determine if the fee increase for genealogy searches is likely to have a significant economic impact on a substantial number of small entities. Finally, DHS has added in this FRFA an analysis of the effects on small entities from the fee increase for Form I-360 and does not believe that the increase in fees will have a significant economic impact on these small entities. DHS is publishing this FRFA to respond to public comments, and provide further information on the likely impact of this rule on small entities.

1. A Statement of the Need for, and Objectives of, the Rule

DHS issues this final rule consistent with INA section 286(m),⁶⁷ which authorizes DHS to charge fees for adjudication and naturalization services at a level to "ensure recovery of the full costs of providing all such services, including the costs of similar services provided without charge to asylum applicants or other immigrants," and the CFO Act,⁶⁸ which requires each agency's CFO to review, on a biennial basis, the fees imposed by the agency for services it provides, and to recommend changes to the agency's fees. DHS is adjusting the fee schedule for DHS immigration and naturalization benefit applications after conducting a comprehensive fee review for the FY 2016/2017 biennial period and determining that current fees do not recover the full costs of services provided. DHS has determined that adjusting the fee schedule is necessary to fully recover costs and maintain adequate service.

2. A Statement of the Significant Issues Raised by the Public Comments in Response to the Initial Regulatory Flexibility Analysis, A Statement of the Assessment of the Agency of Such Issues, and A Statement of Any Changes Made in the Proposed Rule as a Result of Such Comments

DHS published the NPRM along with the IRFA on May 4, 2016 (81 FR 26903) with the comment period ending July 6, 2016. During the 60-day comment period, DHS received 475 comments from interested individuals and organizations. DHS received several comments that directly or indirectly referred to aspects of the small entity analysis or IRFA presented with the

NPRM. The comments, however, did not result in any major revisions to the small entity analysis in this final rule that are relevant to the effects on small businesses, small organizations, and small governmental jurisdictions presented in this FRFA. DHS summarizes and responds to these comments in this Final Rule.

a. Comments on Form I-129

One commenter wrote about the 42-percent increase (\$135) of the fee for the Petition for a Nonimmigrant Worker, Form I-129. The commenter explained that such a significant increase in visa fees for H-2A category visas for temporary agricultural workers will negatively affect the ability of both large and small farmers to use those visas to ensure a sufficient and stable work force. Form I-129, which is used to petition for H-2A workers, is often used by a large and an increasing portion of small business employers according to this commenter. The commenter discussed the impact this 42-percent increase has on an employer hiring only one employee compared to an employer hiring 100 employees. This commenter was especially concerned with the impact of this rule on smaller farmers, many of whom petition for 1 to 5 workers, but whose farming operations could not continue without these workers. This commenter also stated that the impact of the rule on small entities was not quantitatively considered and/or disclosed.

Several other commenters wrote about the fee increase for Form I-129 and its impact on small entities in terms of small traveling musicians that cross over the border, particularly those along the United States and Canadian border. The commenters stated that these musicians routinely perform in small venues or small festivals and it currently takes about 3 separate performances to recoup the expenses of the current fee for Form I-129. The commenters stated that this increase in fees presents considerable hardship for these small performers and also compromises the ability to organize small tours that would result in break-even revenues.

Other commenters also wrote about the increase for Form I-129 and its impact on small religious orders and communities who petition for foreign-born religious workers. The commenters stated that this increase is particularly burdensome since extensions have to

continually be filed for work authorizations as well. They noted that these added costs impact smaller parishes and lower-income neighborhoods disproportionately. In addition to the fee increases for Form I-129, these commenters also expressed similar concern for Forms I-360 and I-485.

DHS respectfully disagrees with the commenter who stated that the impact of the rule on small entities was not quantitatively considered and/or disclosed. DHS used recent data to examine the direct impacts to small entities for Forms I-129, I-140, I-910, and I-924. DHS prepared an IRFA that complied with the Regulatory Flexibility Act (RFA) and that was published with the NPRM. DHS also published a more comprehensive small entity analysis of the potential impact of the Form I-129 fee increase on www.regulations.gov in the docket for this rule along with other supporting documentation. DHS has also added an analysis of Forms G-1041, G-1041A, and I-360 in this FRFA in response to public comments.

In terms of the range for Form I-129, among the 284 small entities with reported revenue data identified in the small entity analysis, all experienced an economic impact of considerably less than 1.0 percent of revenue in the analysis, with the exception of two entities. Using the methodology described in the comprehensive small entity analysis, the greatest economic impact imposed by this fee change totaled 2.55 percent. This small entity with the highest economic impact imposed by the fee increase is in the theater companies and dinner theaters industry, which submitted 18 of the total 482,190 Form I-129 petitions in the 12-month period analyzed. The small entity with the second highest economic impact (2.05 percent) imposed by the fee increase is in the custom computer programming services industry, which submitted 50 of the total 482,190 Form I-129 petitions. DHS notes that out of the 10 small entities that face the highest economic impact due to this fee increase, a majority are in industries that are not related to musicians, farmers, or religious organizations. Table 2 shows the industry in which these top 10 impacted small entities belong, as well as the number of petitions submitted by each entity.

⁶⁷ See 8 U.S.C. 1356(m).

⁶⁸ See 31 U.S.C. 901-03.

TABLE 2—FORM I-129 NAICS INDUSTRY OF THE SMALL ENTITIES WITH THE HIGHEST ECONOMIC IMPACT IMPOSED BY THE FEE INCREASE *

NAICS Industry	Number of petitions submitted	Economic impact on entity's revenue imposed by fee increase (percent)
Theater Companies and Dinner Theaters	18	2.55
Custom Computer Programming Services	50	2.05
All Other Business Support Services	2	0.90
Dance Companies	4	0.90
Other Scientific and Technical Consulting Services	7	0.53
Computer Systems Design Services	2	0.46
All Other Business Support Services	1	0.45
Custom Computer Programming Services	3	0.37
All Other Business Support Services	2	0.34
All Other Business Support Services	2	0.34

Source: DHS, USCIS, Office of Performance and Quality.
* North American Industry Classification System (NAICS).

DHS also analyzed the 284 small entities with reported revenue data in our sample of Form I-129 petitions to see how many small entities were specifically in NAICS codes related to musicians, farmers, or religious organizations. Of these small entities, a total of 26 small entities were found in one of these related NAICS, 3 of the small entities were in the agricultural industry; 8 small entities were in the performing arts, spectator sports, and related industries; and 15 small entities were religious organizations. Looking only at this subset of 26 entities, only one small entity had an economic impact above 1 percent with one other small entity just under 1 percent, both of which were in the performing arts industries. The 24 other small entities in these categories had economic impacts that were well below 1 percent. Twelve of these small entities had an economic impact between 0.34 percent and 0.10 percent, while the remaining 12 small entities had economic impacts below 0.10 percent. Therefore, while DHS sympathizes with small farmers, small traveling musicians, and small religious

entities, the evidence suggests that the additional fee imposed by this rule does not represent a significant economic impact on most of these types of entities.

b. Comments on Forms I-360 and I-485

DHS also received comments about the impact of this rule on small religious organizations who file on behalf of religious workers utilizing Forms I-485 and I-360. Form I-485, Application to Register Permanent Residence or Adjust Status, was not considered in this small entity analysis because it is submitted by individuals seeking to receive benefits, not entities. DHS selected forms that are filed by entities for the small entity analysis in the NPRM. DHS recognizes, however, that entities may also file the Petition for Amerasian, Widow(er), or Special Immigrant, Form I-360, on behalf of a religious worker and acknowledges it is appropriate to include Form I-360 in the small entity analysis for the final rule.

The fee for Form I-360 will increase from \$405 to \$435, a \$30 (7 percent) increase. DHS was able to obtain

internal data on petitioners who file Form I-360 for Special Immigrant Religious Workers provided by the Office of Performance and Quality for this final rule. There were a total of 4,399 religious foreign worker Form I-360 petitions submitted in FY 2015 by 1,890 unique entities. Of these 1,890 unique entities, approximately 96 percent were churches, mosques, synagogues, temples, or other places of worship. Due to the overwhelming number of entities that were places of worship and therefore, likely designated as non-profit organizations, DHS assumed that all 1,890 entities are small.

Of the unique entities, about 51 percent of entities had submitted just one petition in the FY 2015 (Table 3). Over 83 percent submitted only one or two petitions. At the other end of scale, only about half a percent of entities submitted more than 20 petitions. An average of 2.4 petitions per entity was submitted in FY 2015. Based on a \$30 increase in fees per petition for Form I-360, the average additional cost to these entities is \$72.⁶⁹

TABLE 3—FORM I-360 PETITIONS PER ENTITY

Petitions per entity	Entities	Percentage of total (percent)	Cumulative percentage (percent)
1	959	50.7	50.7
2	617	32.6	83.3
3	91	4.8	88.2
4	78	4.1	92.3
5	21	1.1	93.4
6 to 10	87	4.6	98.0
11 to 20	30	1.6	99.6
21 to 50	5	0.3	99.9

⁶⁹ Calculation: 2.4 average petitions per entity x \$30 increase in fees = \$72 average additional cost to entities.

TABLE 3—FORM I-360 PETITIONS PER ENTITY—Continued

Petitions per entity	Entities	Percentage of total (percent)	Cumulative percentage (percent)
51+	2	0.1	100.0
Total	1,890	100.0	

Source: DHS, USCIS, Office of Performance and Quality.

DHS also analyzed the costs imposed by this rule on the petitioning entities relative to the costs of the typical employee's salary. Guidelines suggested by the Small Business Administration (SBA) Office of Advocacy indicate that the impact of a rule could be significant if the cost of the regulation exceeds 5 percent of the labor costs of the entities in the sector.⁹⁰ According to the Bureau of Labor Statistics (BLS), the mean annual salary is \$48,150 for clergy,⁹¹ \$45,160 for directors of religious activities and education,⁹² and \$35,160 for all other religious workers.⁹³ Based on an average of 2.4 religious workers petitioned-for per entity, the additional average annual cost will be \$72 per entity.⁹⁴ Thus, the additional costs per entity imposed by this rule represent only 0.15 percent of the average salary for clergy, 0.16 percent of the average salary for directors of religious activities and education, and 0.20 percent of the average salary for all other religious workers. Therefore, using average annual labor cost guidelines, the

additional regulatory compliance costs imposed by this rule are not significant.

c. Comments on Forms G-1041 and G-1041A

Several commenters also expressed concern about the impact the proposed increase in fees related to genealogy searches would have on individual businesses. The commenters stated that such large increases in fees would be prohibitive to many individual genealogists that submit requests. Some commenters suggested that the fee increase should be phased-in over several years to help mitigate the impact of this total cost increase.

DHS appreciates the comments on the impact this fee increase will have on the individual businesses who request information from the genealogy program. The fee for Genealogy Index Search Request, Form G-1041, will increase from \$20 to \$65 (a 225 percent increase). The fee for Genealogy Index Search Request, Form G-1041A, will increase from \$20 to \$65 (a 225 percent increase). Currently there are two fees for the Genealogy Records Request,

Form G-1041A; the appropriate fee depends on whether the filing requests copies from microfilm (currently \$20) or copies from textual records (currently \$35). The new fee for Form G-1041A will increase to \$65, regardless of the type of media involved. This represents a fee increase of 86 to 225 percent over current fee levels.

Based on DHS records related to the genealogy program, an average of 4,022 Index Search requests and 2,166 Records requests were made annually over the 4 calendar year span from 2012 to 2015 (Table 4). However, DHS does not have sufficient data on these requests to determine whether they were submitted by entities or individuals. Additionally, DHS cannot break out how many Genealogy Records Requests are copies from microfilm or from textual records. The case management tracking system used by DHS for these genealogy requests does not allow for requestor data to be readily pulled, nor does it allow for a break out in the Form G-1041A requests by record type.

TABLE 4—GENEALOGY FORM RECEIPTS
[Calendar Year]

Form Type	2012	2013	2014	2015	Average
Genealogy Index Search Request, Form G-1041	3361	3662	4167	4897	4022
Genealogy Records Request, Form G-1041A	2066	2219	2036	2344	2166

Source: DHS, USCIS, Immigration Records and Identity Services Directorate.

DHS has previously determined that requests for historical records are usually made by individuals.⁹⁵ If professional genealogists and researchers submitted such requests in the past, they did not identify themselves as commercial requesters and thus could not be segregated in the data. Genealogists typically advise

clients on how to submit their own requests. For those that submit requests on behalf of clients, DHS does not know the extent to which they can pass along the fee increases to their individual clients. Therefore, DHS does not currently have sufficient data to definitively assess the impact on small entities for these requests.

DHS has decided to recover the full cost of the genealogy program from the genealogy program fees. As previously stated in this final rule, reducing the filing fee for any one benefit request submitted to DHS simply transfers the additional cost to process this request to other immigration and naturalization filing fees. Furthermore, DHS is not able

⁹⁰ Office of Advocacy, Small Business Administration, "A Guide for Government Agencies, How to Comply with the Regulatory Flexibility Act": https://www.sba.gov/sites/default/files/rfaguide_0512_0.pdf.

⁹¹ Bureau of Labor Statistics, U.S. Department of Labor, "Occupational Employment Statistics, May 2015, "Clergy": <http://www.bls.gov/oes/current/oes212011.htm>.

⁹² Bureau of Labor Statistics, U.S. Department of Labor, "Occupational Employment Statistics, May 2015, "Directors of Religious Activities and Education": <http://www.bls.gov/oes/current/oes212021.htm>.

⁹³ Bureau of Labor Statistics, U.S. Department of Labor, "Occupational Employment Statistics, May 2015, "Religious Workers, All Other": <http://www.bls.gov/oes/current/oes212099.htm>.

⁹⁴ Calculation: 2.4 average petitions per entity x \$30 new petition fee = \$72 additional total cost per entity.

⁹⁵ See "Establishment of a Genealogy Program: Proposed Rule," 8 CFR 103, 299 (Apr. 20, 2006), available at <https://www.regulations.gov/document?D=USCIS-2006-0013-0001>.

to accommodate a phased-in approach of costs over several years due to the statutory guidelines on how DHS is able to increase its fees.

d. Comments on Form I-924A

One commenter indicated that fees for the new Form I-924A would create particular burdens on regional centers with less than 30 investors. The new fee for the annual filings of Supplement Form I-924A is \$3,035.

As discussed in the small entity analysis of this final rule, while DHS cannot definitively claim that there is no significant economic impact to these small entities based on existing information at the time of this final rule, DHS would assume existing regional centers that have revenues equal to or less than \$303,500 per year⁹⁶ (some of which DHS assumes would be derived from administrative fees charged to individual investors) could experience a significant economic impact if DHS assumes a fee increase that represents 1 percent of annual revenue is a "significant" economic burden under the RFA. DHS also assumes newly designated regional centers that have revenues equal to or less than \$1,779,500 per year⁹⁷ could also experience a significant impact.

Searching through several public Web sites, DHS gathers that administrative fees charged to investors could range between \$30,000 and \$100,000 per investor.⁹⁸ DHS was able to obtain some sample data on 440 regional centers operating 5,886 projects. These 5,886 projects had a total of 54,506 investors, averaging 124 investors per regional center.⁹⁹ Assuming an average of 124 investors is a representative proxy for regional centers, and that \$30,000 is the minimum administrative fee charged by regional centers, then such fees would represent approximately \$3,720,000 in revenue. In that case, DHS expects that the proposed filing fee increase for Form I-924 and the creation of a new fee for Form I-924A would not cause a significant economic impact to these entities.

DHS does not currently have information on how many regional

centers may have 30 or fewer investors. However, DHS expects that the fee for the annual filing of Form I-924A is greater than 1 percent of annual revenue for only those regional centers with 10 or fewer investors.¹⁰⁰ Regional centers with 11 or more investors are not likely to experience a significant economic impact due to this rule. While DHS cannot definitively state the number of regional centers that have fewer than 10 investors, we do not believe it is a substantial number of regional centers.

3. The Response of the Agency to Any Comments Filed by the Chief Counsel for Advocacy of the Small Business Administration in Response to the Proposed Rule, and a Detailed Statement of Any Change Made to the Proposed Rule in the Final Rule as a Result of the Comments

No comments were filed by the Chief Counsel for Advocacy of SBA.

4. A Description of and an Estimate of the Number of Small Entities To Which the Rule Will Apply or an Explanation of Why No Such Estimate is Available

Entities affected by this final rule are those that file and pay fees for certain immigration benefit applications and petitions on behalf of a foreign national. These applications include Petition for Nonimmigrant Worker, Form I-129; Immigrant Petition for Alien Worker, Form I-140; Civil Surgeon Designation, Form I-910; Application for Regional Center Designation Under the Immigrant Investor Program, Form I-924; and Petition for Amerasian, Widow(er), or Special Immigrant, Form I-360. Annual numeric estimates of small entities affected by this fee increase total (in parentheses): Form I-129 (70,211), Form I-140 (17,812), Form I-910 (589), Form I-924 (412), and Form I-360 (1,890).

This rule applies to small entities including businesses, not-for-profit organizations, and governmental jurisdictions filing for the above benefits. Form I-129 and Form I-140 will see a number of industry clusters affected by this rule (see Appendix A of the Small Entity Analysis for a list of affected industry codes). Of the total 444 small entities in the sample for Form I-129, most entities were small businesses (401), with 41 small not-for-profit entities and only 2 small governmental jurisdictions. Similarly, of the total 393 small entities in the sample for Form I-140, most entities were small businesses (364), with 26 small not-for-profit entities and 3 small governmental jurisdictions. The fee for the

Application for Civil Surgeon Designation, Form I-910, will apply to physicians requesting such designation. There were 322 small entities in the sample for Form I-910, consisting of two small governmental jurisdictions and 320 small entities that were either small businesses or small not-for-profits. DHS was unable to further break down the composition of small entities between small businesses and small not-for-profits due to difficulties in determining the structure of these small entities. The Form I-924 will apply to any entity requesting approval and designation as a regional center under the Immigrant Investor Program or filing an amendment to an approved regional center application. Also captured in the dataset for Form I-924 is the Supplement Form I-924A, which regional centers must file annually to certify their continued eligibility for regional center designation. The Form I-360 will apply to any entity petitioning on behalf of a religious worker.

DHS does not have sufficient data on the requestors for the genealogy forms, Forms G-1041 and G-1041A, to determine if entities or individuals submitted these requests. DHS has previously determined that requests for historical records are usually made by individuals.¹⁰¹ If professional genealogists and researchers submitted such requests in the past, they did not identify themselves as commercial requestors and thus could not be segregated in the data. Genealogists typically advise clients on how to submit their own requests. For those that submit requests on behalf of clients, DHS does not know the extent to which they can pass along the fee increases to their individual clients. Therefore, DHS does not currently have sufficient data to definitively assess the estimate of small entities for these requests.

a. Petition for a Nonimmigrant Worker, Form I-129

The fee for the Petition for a Nonimmigrant Worker, Form I-129, will increase from \$325 to \$460, a \$135 (42 percent) increase. DHS used a 12-month period of data on filings of Form I-129 from September 1, 2014 to August 31, 2015, to collect internal data for each filing organization including the name, Employer Identification Number, city, state, ZIP Code, and number/type of filings. Each entity may make multiple filings; for instance, there were 482,190 Form I-129 petitions, but only 84,490

⁹⁶ Calculation: 1 percent of \$303,500 = \$3,035 (the new proposed fee for Form I-924A).

⁹⁷ Calculation: 1 percent of \$1,779,500 = \$17,995 (the new proposed fee for Form I-924).

⁹⁸ Yen, Christine et al., "A Report on Source of Funds: Perils of the Administrative Fee," EB5 Investors Magazine (Aug. 20, 2015), available at: <http://www.eb5investors.com/magazine/article/A-Report-on-Source-of-Funds>; see also Green, Merrill, "The Costs of an EB-5 Regional Center Project Investment," (June 27, 2014), available at: <http://www.generalcounselaw.com/the-cost-of-an-eb-5-regional-center-project-investment/>.

⁹⁹ Department of Homeland Security, USCIS, Immigrant Investor Program Office.

¹⁰⁰ Assuming \$30,000 administrative fee x 10 investors = \$300,000 regional center revenue.

¹⁰¹ See "Establishment of a Genealogy Program; Proposed Rule," 8 CFR 103, 299 (Apr. 20, 2006), available at: <https://www.regulations.gov/document?D=USCIS-2006-0013-0001>.

unique entities that filed those petitions. Since the filing statistics do not contain information such as the revenue of the business, DHS looked for this information by researching databases from third-party sources. DHS used the subscription-based online database from Hoover's, as well as three open-access databases from Manta, Cortera, and Guidestar, to help determine an organization's small entity status and apply SBA size standards.

DHS devised a methodology to conduct the small entity analysis based on a representative sample of the affected population for each form. To achieve a 95 percent confidence level and a 5 percent confidence interval on a population of 84,490 unique entities for Form I-129, DHS used the standard statistical formula to determine a minimum sample size of 382 entities was necessary. Based on past experience, DHS expected to find about 40 to 50 percent of the filing organizations in the online subscription and public databases. Accordingly, DHS selected a sample size approximately 40 percent larger than the minimum necessary in order to allow for non-matches (filing organizations that could not be found in any of the four databases). Therefore, DHS conducted searches on 534 randomly selected entities from the population of 84,490 unique entities for Form I-129.

The 534 searches for Form I-129 resulted in 444 small entities, 287 of which were determined to be small entities based on their reported revenue or employee count and their NAICS code. Combining non-matches (130), matches missing data (27), and small entity matches (287), enables us to classify 444 of the 534 entities as small for Form I-129.

With an aggregated total of 444 out of a sample size of 534 entities searched, DHS inferred that a majority, or 83.1 percent, of the entities filing Form I-129 petitions during the period were small entities. Furthermore, 284 of the 534 entities searched were small entities with the sales revenue data needed to estimate the economic impact of the rule. Because these 284 small entities were a subset of the random sample of 534 searches, they were statistically significant in the context of this research. In order to calculate the economic impact of this rule, DHS estimated the total costs associated with the fee increase annually for each entity, divided by the annual sales revenue of that entity.¹⁰² Based on the fee increase of \$135 for Form I-129, this will amount

to an average impact of 0.08 percent on all 284 small entities with reported revenue data.

In terms of range, among the 284 small entities with reported revenue data, all experienced an economic impact of considerably less than 1.0 percent in the analysis, with the exception of two entities. Using the above methodology, the greatest economic impact imposed by this fee change totaled 2.55 percent and the smallest totaled 0.0001 percent.

The evidence suggests that the additional fee imposed by this rule does not represent a significant economic impact on these entities.

b. Immigrant Petition for an Alien Worker, Form I-140

The fee for the Immigrant Petition for an Alien Worker, Form I-140, will increase from \$580 to \$700, a \$120 (21 percent) increase. Using a 12-month period of data on filings of Form I-140 petitions from September 1, 2014 to August 31, 2015, DHS collected internal data similar to that of Form I-129. There were 101,245 Form I-140 petitions, but only 23,284 unique entities that filed those petitions. Again, DHS used the third party sources of data mentioned previously to search for revenue and employee count information.

DHS used the same methodology as with Form I-129 to conduct the small entity analysis based on a representative sample of the affected population. To achieve a 95 percent confidence level and a 5 percent confidence interval on a population of 23,284 unique entities for Form I-140, DHS used the standard statistical formula to determine that a minimum sample size of 378 entities was necessary. Again, based on past experience, DHS expected to find about 40 to 50 percent of the filing organizations in the online subscription and public databases. Accordingly, DHS oversampled in order to allow for non-matches (filing organizations that could not be found in any of the four databases).

DHS conducted searches on 514 randomly selected entities from the population of 23,284 unique entities for Form I-140. The 514 searches resulted in 430 instances where the name of the filing organization was successfully matched in the databases and 84 instances where the name of the filing organization was not found in the databases. Based on previous experience conducting regulatory flexibility analyses, DHS assumes filing organizations not found in the online databases are likely to be small entities. In order not to underestimate the number of small entities affected by this

rule, DHS makes the conservative assumption to consider all of the non-matched entities as small entities for the purpose of this analysis. Among the 430 matches for Form I-140, 290 were determined to be small entities based on their reported revenue or employee count and their NAICS code. Combining non-matches (84), matches missing data (19), and small entity matches (290), enables us to classify 393 of 514 entities as small for Form I-140.

With an aggregated total of 393 out of a sample size of 514 entities searched, DHS inferred that a majority, or 76.5 percent, of the entities filing Form I-140 petitions during the period were small entities. Furthermore, 287 of the 514 entities searched were small entities with the sales revenue data needed to estimate the economic impact of the rule. Because these 287 small entities were a subset of the random sample of 514 searches, they were statistically significant in the context of this research. Similar to the analysis involving Form I-129, DHS estimated the total costs associated with the Form I-140 fee increase annually for each entity, divided by the annual sales revenue of that entity in order to calculate the economic impact of this rule.

Among the 287 small entities with reported revenue data, all experienced an economic impact considerably less than 1.0 percent in the analysis. Using the above methodology, the greatest economic impact imposed by this fee change totaled 0.68 percent and the smallest totaled 0.000002 percent. The average impact on all 287 small entities with revenue data was 0.04 percent. The evidence suggests that the additional fee imposed by this rule does not represent a significant economic impact on these entities.

Additionally, DHS analyzed any cumulative impacts to small entities resulting from the fee increases to both Forms I-129 and I-140. DHS isolated those entities that overlapped in both samples of Forms I-129 and I-140 by Employer Identification Number (EIN). Only three entities had EINs that overlapped in both samples. Of these three entities, two of them were small entities and one was not a small entity. Only one entity submitted multiple Form I-129 petitions, while all three entities submitted multiple Form I-140 petitions. Due to little overlap in entities in the samples and the relatively minor impacts on revenue of fee increases of Forms I-129 and I-140, DHS does not expect the combined impact of these two forms to be an economically significant burden on a substantial number of small entities.

¹⁰² Total Cost to Entity = (Number of Petitions × \$135)/Entity Sales Revenue.

c. Application for Civil Surgeon Designation, Form I-910

The fee for the Application for Civil Surgeon Designation, Form I-910, will increase from \$615 to \$785, a \$170 (28 percent) increase. Using a 12-month period of August 1, 2014 to July 31, 2015, DHS collected internal data on applicants of this form. There were 719 Form I-910 applications, but only 602 unique entities that filed such applications. Again, DHS used third party sources of data mentioned previously to search for revenue and employee count information.

Using the same methodology employed with Forms I-129 and I-140, DHS conducted the small entity analysis based on a representative sample, with a 95 percent confidence level and a 5 percent confidence interval, of the population of 602 unique entities for Form I-910. DHS determined that a minimum sample size of 235 entities was necessary. DHS oversampled and conducted searches on 329 randomly selected entities for Form I-910.

The 329 searches for Form I-910 resulted in 252 instances in which the name of the filing organization was successfully matched in the databases and 77 instances in which the name of the filing organization was not found in the databases. DHS assumed again that filing organizations not found in the online databases are likely to be small entities, so DHS considered all of the non-matched entities as small entities for the purpose of this analysis. Among the 252 matches for Form I-910, 240 were determined to be small entities based on their reported revenue or employee count and their NAICS code. Combining non-matches (77), matches missing data (5), and small entity matches (240), DHS classified 322 of 329 entities as small for Form I-910.

With an aggregated total of 322 out of a sample size of 329 entities searched, DHS inferred that a majority, or 97.9 percent, of the entities filing Form I-910 applications were small entities. Furthermore, 238 of the 329 entities searched were small entities with the sales revenue data needed in order to estimate the economic impact of the rule. Because these 238 small entities were a subset of the random sample of 329 searches, they were statistically significant in the context of this research.

Similar to the analysis involving Forms I-129 and I-140, DHS estimated the total costs associated with the Form I-910 fee increase for each entity. Among the 238 small entities with reported revenue data, all experienced an economic impact considerably less

than 1.0 percent in the analysis. The greatest economic impact imposed by this fee change totaled 0.61 percent and the smallest totaled 0.00002 percent. The average impact on all 238 small entities with revenue data was 0.09 percent. The evidence suggests that the additional fee imposed by this rule does not represent a significant economic impact on these entities.

d. Regional Center Designation Under the Immigrant Investor Program, Forms I-924 and I-924A

Congress created the EB-5 Program in 1990 under section 203(b)(5) of the INA to stimulate the U.S. economy through job creation and capital investment by foreign investors. Foreign investors have the opportunity to obtain LPR status in the United States for themselves, their spouses, and their minor unmarried children through a certain level of capital investment and associated job creation or preservation. There are two distinct EB-5 pathways for a foreign investor to gain LPR status: The Basic Program and the Regional Center Program. Both options require a capital investment from the foreign investor in a new commercial enterprise located within the United States. The capital investment amount is generally set at \$1,000,000, but may be reduced to \$500,000 if the investment is made in a "Targeted Employment Area."

A regional center is an economic entity, public or private, that promotes economic growth, regional productivity, job creation, and increased domestic capital investment. Regional centers pool funds into development loans or equity for commercial and real estate development projects. As of July 15, 2016, there were 847 DHS-approved regional centers.¹⁰³ Entities seeking designation as regional centers file Form I-924 along with supporting materials. Approved regional centers are currently required to file the Supplement to Form I-924, Form I-924A, on an annual basis to demonstrate continued eligibility for regional center designation. DHS is proposing to change the name of the Form I-924A annual filing to "Annual Certification of Regional Center."

DHS is increasing the fee for the Application for Regional Center Designation Under the Immigrant Investor Program, Form I-924, from \$6,230 to \$17,795, an \$11,565 (186 percent) increase. Additionally, DHS introduces a filing fee of \$3,035 for Form I-924A. In establishing this fee,

¹⁰³ USCIS Immigrant Investor Regional Centers: <http://www.uscis.gov/working-united-states/permanent-workers/employment-based-immigration-fifth-preference-eb-5/immigrant-investor-regional-centers#table>.

DHS is also clarifying the related regulations that provide for the annual regional center review related to Form I-924A. Currently, there is no procedure for regional centers seeking to withdraw their designation and discontinue their participation in the program. Formal termination is currently processed by DHS issuing a Notice of Intent to Terminate and a subsequent termination notice. The withdrawal procedure will allow a regional center to proactively request withdrawal without the need for the more formal notices sent out by DHS. This procedure will reduce administrative costs and time for the Department, while timely clarifying status to the requesting regional center. Over a 13-month period of August 1, 2014 through August 31, 2015, DHS received a total of 412 Form I-924 applications.¹⁰⁴ These applications include the request for newly designated regional centers, as well as requests for continued designation for existing regional centers.

DHS was not able to determine the numbers of regional centers that are considered small entities. Regional centers are difficult to assess because there is a lack of official data on employment, income, and industry classification for these entities. Regional centers also pose a challenge for analysis as their structure is often complex and can involve many related business and financial activities not directly involved with EB-5 activities. Regional centers can be made up of several layers of business and financial activities that focus on matching foreign investor funds to development projects to capture above market return differentials. While DHS attempted to treat the regional centers similar to the other entities in this analysis, we were not able to identify most of the entities in any of the online databases. Furthermore, while regional centers are an integral component of the EB-5 program, DHS does not collect data on the administrative fees the regional centers charge to the foreign investors who are investing in one of their projects. DHS did not focus on the bundled capital investment amounts (either \$1 million or \$500,000 per investor) that the regional center invests into a new commercial enterprise. Such investment amounts are not necessarily indicative of whether the regional center is appropriately characterized as a small entity for purposes of the RFA.

Due to the lack of regional center revenue data, DHS assumes regional centers collect revenue through the

¹⁰⁴ Supplemental Form I-924A (Supplement to Form I-924) is captured in this dataset.

administrative fees charged to investors. Searching through several public Web sites, DHS gathers that administrative fees charged to investors could range between \$30,000 and \$100,000 per investor.¹⁰⁵ DHS assumes administrative fees charged to investors are \$30,000 per investor for the purposes of this analysis. DHS does not know the extent to which these regional centers can pass along fee increases to individual investors. Passing along the costs from this rule could reduce or eliminate the economic impacts to the regional centers. While DHS cannot definitively state there is no significant economic impact to these small entities based on existing information, DHS assumes existing regional centers that have revenues equal to or less than \$303,500 per year¹⁰⁶ (some of which we assume will be derived from administrative fees charged to individual investors) could experience a significant economic impact if we assume a fee increase that represents 1 percent of annual revenue is a "significant" economic burden under the RFA. DHS also assumes newly designated regional centers that have revenues equal to or less than \$1,779,500 per year¹⁰⁷ could also experience a significant impact.

DHS was able to obtain some sample data on 440 regional centers operating 5,886 projects. These 5,886 projects had a total of 54,506 investors, averaging 124 investors per regional center.¹⁰⁸ Assuming an average of 124 investors is a representative proxy of the regional centers, and that \$30,000 is the minimum administrative fee charged by regional centers, then such fees will represent approximately \$3.7 million in revenue. In that case, DHS expects that the filing fee increase for Form I-924 and the creation of a new fee for Form I-924A will not cause a significant economic impact to these entities.

e. Petition for Amerasian, Widow(er), or Special Immigrant, Form I-360

As previously described in this analysis, the fee for Form I-360 will increase from \$405 to \$435, a \$30 (7

percent) increase. DHS was able to obtain internal data for FY 2015 showing 1,890 unique entities submitted 4,399 Form I-360 petitions for religious workers. Of these 1,890 unique entities, approximately 96 percent were churches, mosques, synagogues, temples, or other places of worship, and DHS thus chose to consider all 1,890 entities to be small entities. Most entities only submitted 1 or 2 petitions. As previously described, DHS analysis showed that the costs per entity imposed by this rule represent only 0.15 percent of the average salary for clergy; 0.16 percent of the average salary for directors of religious activities and education, and 0.20 percent of the average salary for all other religious workers. As all of these are under the 5 percent average annual labor cost SBA guidelines, DHS determined that the additional regulatory costs imposed by this rule are not significant.

5. A Description of the Projected Reporting, Recordkeeping and Other Compliance Requirements of the Rule, Including an Estimate of the Classes of Small Entities Which Will Be Subject to the Requirement and the Type of Professional Skills Necessary for Preparation of the Report or Record

This final rule imposes higher fees for filers of Forms I-129, I-140, I-910, I-924, I-924A, and I-360. The new fee structure, as it applies to the small entities outlined above, results in the following fees: Form I-129 (\$460), Form I-140 (\$700), Form I-910 (\$785), Form I-924 (\$17,795), Form I-924A (\$3,035), and Form I-360 (\$435). This final rule does not require any new professional skills for reporting.

6. A Description of the Steps the Agency Has Taken To Minimize the Significant Economic Impact on Small Entities Consistent With the Stated Objectives of Applicable Statutes, Including a Statement of the Factual, Policy, and Legal Reasons for Selecting the Alternative Adopted in the Final Rule and Why Each One of the Other Significant Alternatives to the Rule Considered by the Agency Which Affect the Impact on Small Entities Was Rejected

The INA provides for the collection of fees at a level that will ensure recovery of the full costs of providing adjudication and naturalization services, including services provided without charge to asylum applicants and certain other applicants. In addition, DHS must fund the costs of providing services without charge by using a portion of the filing fees

collected for other immigration benefits. Without an increase in fees, DHS will not be able to maintain the level of service for immigration and naturalization benefits that it now provides. DHS has considered the alternative of maintaining fees at the current level with reduced services and increased processing times, but has determined that this will not be in the interest of applicants and petitioners. Therefore, this alternative was rejected.

While most immigration benefit fees apply to individuals, as described previously, some also apply to small entities. DHS seeks to minimize the impact on all parties, but in particular small entities. Another alternative to the increased economic burden of the fee adjustment is to maintain fees at their current level for small entities. The strength of this alternative is that it assures that no additional fee-burden is placed on small entities; however, small entities will experience negative effects due to the service reductions that will result in the absence of the fee adjustments in this final rule.

Without the fee adjustments provided in this rule, significant operational changes to DHS would be necessary. Given current filing volume and other economic considerations, DHS requires additional revenue to prevent immediate and significant cuts in planned spending. These spending cuts would include reductions in areas such as Federal and contract staff, infrastructure spending on information technology and facilities, and training. Depending on the actual level of workload received, these operational changes would result in longer processing times, a degradation in customer service, and reduced efficiency over time. These cuts would ultimately represent an increased cost to small entities by causing delays in benefit processing and reductions in customer service.

B. Unfunded Mandates Reform Act

The Unfunded Mandates Reform Act of 1995 (UMRA) requires certain actions to be taken before an agency promulgates any notice of rulemaking "that is likely to result in promulgation of any rule that includes any Federal mandate that may result in the expenditure by State, local, and tribal governments, in the aggregate, or by the private sector, of \$100 million or more (adjusted annually for inflation) in any one year."¹⁰⁹ While this rule may result in the expenditure of more than \$100 million by the private sector annually, the rulemaking is not a "Federal

¹⁰⁵ See Yen, Christine et al., "A Report on Source of Funds: Perils of the Administrative Fee," EB5 Investors Magazine (Aug. 20, 2015), available at: <http://www.eb5investors.com/magazine/article/A-Report-on-Source-of-Funds>; see also Green, Merritt, "The Costs of an EB-5 Regional Center Project Investment," (June 27, 2014), available at: <http://www.generalcounselaw.com/the-cost-of-an-eb-5-regional-center-project-investment/>.

¹⁰⁶ Calculation: 1 percent of \$303,500 = \$3,035 (the new fee for Form I-924A).

¹⁰⁷ Calculation: 1 percent of \$1,779,500 = \$17,995 (the new fee for Form I-924).

¹⁰⁸ DHS, USCIS, Immigrant Investor Program Office.

¹⁰⁹ See 2 U.S.C. 1532(a).

mandate” as defined for UMRA purposes,¹¹⁰ as the payment of immigration benefit fees by individuals or other private sector entities is, to the extent it could be termed an enforceable duty, one that arises from participation in a voluntary Federal program, applying for immigration status in the United States.¹¹¹ Therefore, no actions were deemed necessary under the provisions of the UMRA.

C. Small Business Regulatory Enforcement Fairness Act

This rulemaking is a major rule as defined by section 804 of the Small Business Regulatory Enforcement Act of 1996. This rulemaking will result in an annual effect on the economy of more than \$100 million (adjusted annually for inflation) in order to generate the revenue necessary to fully fund all adjudication and naturalization services. The increased costs will be recovered through the fees charged for various immigration benefit requests. As small businesses may be impacted under this regulation, DHS has prepared a RFA analysis.

D. Congressional Review Act

The Congressional Review Act¹¹² requires rules to be submitted to Congress before taking effect. DHS will submit a report regarding the issuance of this final rule before its effective date, as required by 5 U.S.C. 801 to Congress and the Comptroller General of the

United States. This rule is deemed a major rule and will therefore have a 60-day delayed effective date.

E. Executive Orders 12866 and 13563 (Regulatory Planning and Review)

1. Background and Purpose of the Final Rule

Executive Orders 12866 and 13563 direct agencies to assess the costs and benefits of available alternatives, and if regulation is necessary, to select regulatory approaches that maximize net benefits (including potential economic, environmental, public health and safety effects, distributive impacts, and equity). Executive Order 13563 emphasizes the importance of quantifying both costs and benefits, of reducing costs, of harmonizing rules, and of promoting flexibility. This final rule has been designated an “economically significant regulatory action” under section 3(f)(1) of Executive Order 12866. Accordingly, OMB has reviewed this final rule.

DHS projects an annual budget of \$3.038 billion in FY 2016/2017, a \$767 million (34 percent) increase over the FY 2010/FY 2011 fee review-adjusted annual budget of \$2.271 billion. This final rule is estimated to provide DHS with an average of \$546 million in annual fee revenue above the FY 2010/FY 2011 levels, based on a projected annual fee-paying volume of 4.9 million immigrant benefit requests and 2.6

million requests for biometric services.¹¹³ DHS will use this increase in revenue under subsections 286(m) and (n) of the INA, 8 U.S.C. 1356(m) and (n), to fund the full costs of processing immigration benefit requests and associated support benefits; the full cost of providing similar benefits to asylum and refugee applicants at no charge; and the full cost of providing similar benefits to others at no charge.

If DHS does not adjust the current fees to recover the full costs of processing immigration benefit requests, it will be forced to make reductions in services provided to applicants and petitioners. These will reverse the considerable progress DHS has made over the last several years to reduce the backlogs of immigration benefit filings, to increase the integrity of the immigration benefit system, and to protect national security and public safety. The revenue increase is based on DHS costs and volume projections available at the time the rule was drafted. DHS has placed in the rulemaking docket a detailed analysis that explains the basis for the annual fee increase.

DHS has included an accounting statement detailing the annualized impacts of the rule in Table 5 below. DHS makes a correction from the NPRM by adding in the opportunity costs of time for filing Form I-942 as discussed later in this analysis. Thus, DHS notes the higher cost in this final rule.

TABLE 5—ACCOUNTING STATEMENT, FY 2016 THROUGH FY 2017

Category	Primary estimate	Maximum estimate
Benefits:		
Un-quantified Benefits	Maintain current level of service with respect to processing times, customer service, and efficiency levels.	
Costs:		
Quantified Costs	\$717,724	\$717,724
Transfers:		
Annualized Monetized Transfers at 3 percent.	546,429,650	546,429,650
Annualized Monetized Transfers at 7 percent.	546,429,650	546,429,650
Category	Effects	Source
Effects on State, local, and/or tribal governments.	For those state, local, and/or tribal governments that submit petitions for non-immigrant and immigrant workers, they will face an increase in filing fees.	Final Rule, Executive Order 12866/13563 Analysis.
Effects on small businesses	For those small businesses that submit petitions for nonimmigrant and immigrant workers, they will face an increase in filing fees.	Final Rule, Executive Order 12866/13563 Analysis, Small Entity Analysis.

¹¹⁰ See 2 U.S.C. 658(6).

¹¹¹ See 2 U.S.C. 658(7)(A)(ii).

¹¹² See 5 U.S.C. 801 *et seq.*

¹¹³ This estimate is based on FY 2016/FY 2017 fee study volume projections.

2. Amendments and Impacts of Regulatory Change

This rule is intended to adjust current fees to ensure that DHS is able to recover the full costs of the immigration services it provides and maintain adequate service.¹¹⁴ In addition to increasing fees, this final rule includes the following provisions: Provisions that DHS will reject an immigration benefit request paid with a dishonored check; provisions that DHS will reject an application that does not include the required biometric services fee; the institution of a reduced fee for the Application for Naturalization, Form N-400; and provisions that DHS will provide fee refunds at its discretion.

a. Dishonored Payments

This final rule changes how DHS will treat a benefit request filing accompanied by fee payment (in the form of check or other financial instrument) that is subsequently returned as not payable.¹¹⁵ Current regulations provide that when a check or other financial instrument used to pay a filing fee is subsequently returned as not payable, the remitter will be notified and requested to pay the filing fee and associated service charge within 14 calendar days, without extension.¹¹⁶ If the benefit request is pending and these charges are not paid within 14 days, the benefit request will be rejected as improperly filed. In addition, a receipt issued by a DHS officer for any remittance will not be binding upon DHS if the remittance is found uncollectable, and legal and statutory deadlines will not be deemed to have been met if payment is not made within 10 business days after notification by DHS of the dishonored payment.¹¹⁷ In

accordance with these current provisions, when a payment is returned as not payable, DHS places the immigration benefit request on hold, and suspends adjudication. If payment fails, DHS assesses a \$30 penalty and pursues the unpaid fee and penalty using administrative debt collection procedures.¹¹⁸ If payment (the unpaid fee plus \$30) is made within the allotted 14 day time period, DHS resumes processing the benefit request. If a payment is not corrected by the applicant, DHS rejects the filing for nonpayment.¹¹⁹

In this final rule, DHS is eliminating provisions that require USCIS to hold benefit request filings while deficient payments are corrected. Under the amendment, if a check or other financial instrument used to pay a filing fee is subsequently returned as not payable, DHS will now reject the filing when Treasury notifies DHS that the payment has failed; USCIS will no longer hold the filing and provide 14 days for the deficient payment to be corrected.

To ensure that a payment rejection is the result of insufficient funds and not due to ACH and bank network outages, DHS has made a minor revision to the proposed amendment in the NPRM. Under the final rule, DHS will submit all rejected payments to the applicant's bank two times (once upon original deposit and once again if the original attempt to deposit the payment is unsuccessful). Based on the typical time required for a payment instrument to clear a financial institution, this will allow approximately 5 additional days for payments to clear.¹²⁰ DHS estimates the new mandatory rejected payment re-resentation requirement will therefore provide approximately 10 days for

payments to be corrected before DHS receives notification that the payment has failed and rejects the filing or imposes the \$30 returned check fee.¹²¹

Under the new process, DHS will continue to intake benefit requests, attempt to deposit fees, and begin processing filings as soon as possible.¹²² In cases where the payment is initially rejected, Treasury will re-attempt to deposit the payment. However, if the payment is rejected a second time, Treasury will notify DHS and DHS, solely under its own authority, will reject the filing for non-payment of the required fee. In such cases where the benefit request has already been approved when DHS is notified of the failed payment, DHS will send the approved applicant or petitioner a notice of intent to revoke the approval. Regardless of the disposition of the benefit request, if the payment to DHS is rejected, the remitter will be charged a \$30 returned check service charge.¹²³ In order to estimate the number of applicants who will make a payment that is ultimately dishonored, DHS analyzed the count of all returned and subsequently corrected payments of a credit card or check from fiscal years 2012 to 2015.¹²⁴ In FY 2015, a total of 10,818 payments were returned (Table 6). Of those 10,818 returned payments, 6,399 (59.2 percent) were later corrected. The average annual number of returned payments from FY 2012 to FY 2015 was 9,781 with an annual average of 6,478 payments (66.2 percent) later corrected. Assuming all included the current service fee of \$30, the resulting total annual cost to applicants for returned payments is \$293,430.¹²⁵

TABLE 6—COUNT OF RETURNED AND CORRECTED CREDIT CARD/CHECK PAYMENTS, FY 2012–2015

Year	Total returned payments	Total corrected payments	Percentage of corrected payments
2015	10,818	6,399	59.2
2014	9,200	6,467	70.3
2013	9,785	6,496	66.4
2012	9,322	6,550	70.3

¹¹⁴ For comparison between current fees, USCIS estimates for costs of underlying services, and changes to fees, see Appendix VI, Table 4 in the supporting documentation.

¹¹⁵ USCIS will immediately reject and not accept for processing any applications and petitions submitted with invalid payments, e.g., an unsigned check or invalid bank account on an electronic payment. The subsequent identification as not payable will occur when an attempt is made to process the payment through a bank, but the bank does not honor the payment (e.g., because of insufficient funds).

¹¹⁶ See 8 CFR 103.2(a)(7)(ii).

¹¹⁷ See 8 CFR 103.2(a)(7)(ii), 103.7(a)(2).

¹¹⁸ See 8 CFR 103.7(a)(2).

¹¹⁹ See 8 CFR 103.2(a)(7)(ii).

¹²⁰ See 8 CFR 103.2(a)(7)(ii)(D).

¹²¹ A commenter wrote that a fee payment may be submitted even when the applicant knows the account lacks the funds to cover the payment because a document is due to expire or a deadline is approaching.

¹²² USCIS will not store and hold any case. The adjudicator will intake and begin processing every benefit request as soon as practicable and will presume that all fee payments are valid. If the payment is rejected (which could take 10-days to know) and the adjudicator has not approved the request, Treasury will notify USCIS of the rejected

payment, and USCIS will collect the request package and reject it. If the fees have been deposited and the benefit request has not yet been adjudicated, USCIS will process a refund. If the request is approved, USCIS may revoke after notice without a refund.

¹²³ See amended 8 CFR 103.7(a)(2).

¹²⁴ Corrected payments include any payment collected by USCIS after the return of an initial payment.

¹²⁵ Calculation: 9,781 (average number of returned payments) × \$30 (current service fee charge) = \$293,430 (total cost for returned payments).

TABLE 6—COUNT OF RETURNED AND CORRECTED CREDIT CARD/CHECK PAYMENTS, FY 2012–2015—Continued

Year	Total returned payments	Total corrected payments	Percentage of corrected payments
Average	9,781	6,478	66.2

Source: Department of Homeland Security, Immigration and Customs Enforcement, Burlington Finance Center.

As stated previously, with the implementation of this final rule, the regulations will no longer require DHS to hold benefit requests, and applicants will no longer be allowed to correct payments directly. Instead, all rejected payments will be re-presented to the relevant financial institution a second time, which will allow approximately another 5 days for it to clear.¹²⁶ DHS' current policy is to re-present a rejected payment twice to see if it clears on the second or third attempt before sending the filer the bill for the rejected payment. Under this final rule, Treasury will only re-present the payment on one occasion to save time. The average 9,781 returned payments (Table 6) will now be rejected unless the payments clear when re-presented by Treasury. This re-presentation by Treasury has no additional cost since Treasury currently includes this step in the process to deposit DHS fee payments. DHS anticipates that the prospect of rejection will encourage filers to provide the correct filing fees at the time they submit their benefit requests. However, DHS recognizes that there will continue to be filers who file benefit requests with incorrect or deficient fees.

For filers, filing fees are a required and fundamental aspect of the benefit being requested. By providing a 14-day window to correct dishonored payments, the regulation currently permits a benefit request paid with a dishonored payment instrument to secure a place in line ahead of a benefit request that was accompanied by a proper payment, including in programs that are time sensitive or involve numerically limited visas. In all cases, rejected filings may be refiled immediately with the proper payment but there are some slight differences depending on whether the submission is paper-based or electronically filed. The DHS online filing system will permit the rejected applications to remain accessible for the applicant to print and view. The original rejected electronic submission will not be available for resubmission with a new payment; however, the rejected submission may be used as a reference when a new application is being completed. In cases

where the rejected submission is paper-based, the entire application/petition/request and supporting documentation are returned when rejected and can generally be refiled with the proper payment instrument.

The changes in this final rule will provide several benefits to DHS. These changes lower DHS administrative costs for holding and tracking benefit requests during the 14-day period currently provided to correct dishonored payments. The holding and tracking of benefit requests requires physical storage space that will no longer be required with these revisions. DHS currently incurs administrative costs through tracking payments in postage costs and adjudicator time among other costs. This change in process also provides parity to those individuals who file benefit requests with the correct fees, particularly in programs that are time sensitive or involve numerically limited visas.

DHS recognizes the unique impact that these changes may have in the context of the H-1B program regulations, which make visa numbers available to petitions in the order in which the petitions are filed.¹²⁷ The H-1B regulations allow the final receipt date to be any of the first 5 business days on which petitions subject to the applicable numerical limit may be received. DHS then conducts a random selection among the petitions received during any of those 5 business days, known as the "H-1B lottery." Currently, petitions remain eligible for the H-1B lottery despite having failed payments, as long as the payments are corrected within the provided 14-day or 10-day timeframe.¹²⁸ Under the changes in this final rule, however, DHS will remove petitions from the H-1B lottery as soon as DHS receives notification of a failed payment, typically within 10 days of the receipt date. DHS does not have data at this time to estimate the impact on how many petitions may be affected by these changes. DHS is also unable to monetize the cost to the applicant of having a petition removed from selection for the H-1B lottery.

b. Failure To Pay the Biometric Services Fees

DHS is also eliminating provisions governing non-payment of the biometric services fee in this final rule. Currently, if a benefit request is received by DHS without the correct biometric services fee, DHS will notify the filer of the deficiency and take no further action on the benefit request until payment is received.¹²⁹ Failure to submit the correct biometric services fee within the time allotted in the notice will result in denial of the benefit request. If the required biometric services fee is missing, DHS suspends adjudication and places the benefit request on hold. If payment is made within the allotted time, DHS resumes processing the benefit request. If the biometric services fee is not paid, the benefit request is denied as abandoned.

Through this final rule, DHS is deleting the regulatory provisions that permitted benefit requests to be held while deficient payments are corrected. As a result of these deletions, DHS will reject a benefit request if, for instance, it is received without the correct biometric services fee, as specified in the form instructions.

In order to analyze the number of people who do not pay the correct biometric services fee, DHS updated the numbers from the NPRM with more recent data and gathered 7 months of data from DHS lockbox facilities.¹³⁰ The data covers the period from December 1, 2015 to June 30, 2016. During this 7-month period, DHS lockbox facilities accepted 2,624,825 benefit requests. Of these, a total of 6,179 (.24 percent) of filers were issued a notice alerting them that their biometric services fees were missing. Assuming this 7-month trend is typical of the number of deficient biometric services fee notices, the new provision will affect less than 1 percent of all benefit requests received at DHS lockbox facilities. As previously mentioned, rejected filings may be refiled immediately. While filers do not incur monetary costs (except for

¹²⁹ See 8 CFR 103.17(b)(1).

¹³⁰ While USCIS prefers to base assumptions on a longer time period (ideally 5 years), 7 months was the longest time period for which this data was available.

¹²⁶ See 8 CFR 103.2(a)(7)(ii)(D).

¹²⁷ See 8 CFR 214.2(h)(8)(ii)(B).

¹²⁸ See 8 CFR 103.2(a)(7)(ii).

additional postage fees) associated with the rejection of a benefit request, reapplying for benefits with the correct fees requires time. Again, DHS anticipates this new provision will encourage individuals to file with the appropriate fees.

Additionally, this change will streamline DHS' process for handling benefit requests when biometrics services fees are not submitted when required. DHS costs are reduced by eliminating the administrative handling costs associated with holding cases while biometric services fees are collected.

c. Reduced Fee for Application for Naturalization

The current fee for the Application for Naturalization, Form N-400, is \$595. In most cases, applicants must also pay an \$85 biometrics services fee, so the total cost for most applicants is \$680. If an applicant cannot pay the fee, he or she can file a Request for Fee Waiver, Form I-912, along with their Form N-400. DHS considers anyone with a household income at or below 150 percent of the Federal Poverty Guidelines to be eligible for a fee waiver. If DHS approves an applicant's fee waiver, both the \$595 Form N-400 fee and the \$85 biometrics services fee, where applicable, are waived.

DHS will increase the Form N-400 fee from \$595 to \$640, a \$45 (8 percent) increase in this final rule. The biometric services fee will remain unchanged at \$85. Therefore, the new costs of Form N-400 plus the biometric services fee will total \$725. DHS is introducing an additional fee option for those non-military naturalization applicants with family incomes greater than 150 percent and not more than 200 percent of the Federal Poverty Guidelines. Specifically, applicants will receive a 50 percent discount and only be required to pay a filing fee of \$320 for the N-400, plus an additional \$85 biometric services fee (for a total of \$405). This reduced fee option is intended to limit any potential economic disincentives that some eligible naturalization applicants face when deciding whether or not to seek citizenship. The lower fee will help ensure that those who have worked hard to become eligible for naturalization are not limited by their economic means. In order to qualify for this fee, the eligible applicant will have to submit the newly created Form I-942, Request for Reduced Fee, along with their Form N-400. Form I-942 will require the names of everyone in the household and documentation of the household income to determine if the applicant's household income is greater

than 150 and not more than 200 percent of the Federal Poverty Guidelines.

As described in the NPRM, DHS estimates that approximately 11 percent of all Form N-400 applicants, excluding military applicants, could qualify for the reduced fee. Given the non-military Form N-400 volume projection estimate of 821,500 annually, over the biennial period, DHS expects that 90,365 filers will be included in the population eligible for the fee reduction.¹³¹ While these 90,365 filers represent only the current number of applicants who will be eligible for the fee reduction, DHS anticipates an increase in Form N-400 filings as a result of the changes in this final rule. DHS anticipates that the reduced fee for applicants with qualifying incomes will remove economic barriers associated with the costs of associated fees and thus encourage more eligible applicants to file their Form N-400 applications. While DHS anticipates an increase in Form N-400 filings due to this fee reduction, we cannot predict how many more eligible applicants will file their N-400 applications at this time.

DHS has factored the estimated revenue loss from this product line into its fee model, so those costs are reallocated over other fee paying benefit requests. While the costs of the reduced fee are being reallocated to other fee-paying customers, DHS believes the benefits of facilitating access to citizenship outweighs the cost reallocation impacts.

As previously mentioned, an eligible applicant will have to submit a Form I-942 along with a Form N-400 application to qualify for this reduced fee. While DHS is not imposing an additional fee for Form I-942, DHS has estimated the opportunity cost of time to applicants to complete the form. The total annual opportunity cost of time for applicants will be \$717,724, if all 90,365 eligible applicants apply for the reduced fee.¹³² The Federal minimum wage rate¹³³ of \$7.25 was used as the hourly wage rate because the anticipated applicants are asserting they cannot afford to pay the full DHS fee and DHS thus assumes that such applicants earn less than average incomes. The BLS reports the average employer costs for employee compensation for all civilian workers in major occupational groups and industries. Using these data from

¹³¹ Calculation: 821,500 * 11 percent.

¹³² Total Opportunity Costs of Time to Applicants = Expected Filers (90,365) * (Full Cost of Employee Benefits (\$10.59) * Time Burden (.75 hr.)).

¹³³ U.S. Department of Labor, Wage and Hour Division. The minimum wage in effect as of July 13, 2016. See <http://www.dol.gov/general/topic/wages/minimumwage>.

BLS, DHS calculated compensation-to-wage multiplier of 1.46 to estimate the full opportunity costs to applicants, including employee wages, salaries, and the full costs of benefits, such as paid leave, insurance, and retirement.¹³⁴ To anticipate the full opportunity cost of time to applicants, we multiplied the Federal minimum wage rate by 1.46 to account for the full cost of employee benefits for a total of \$10.59. The time burden estimate was developed by DHS with an average of 45 minutes (or .75 of an hour) to complete Form I-942, resulting in an opportunity cost of time per petition of \$7.94.¹³⁵ This additional burden is offset by the benefits received from the \$320 fee reduction.

d. Refunds. DHS is also amending regulations for fee refunds in this final rule. In general, and except for a premium processing fee under 8 CFR 103.7(e)(2)(i), DHS does not refund a fee regardless of the decision on the immigration benefit request. DHS makes very rare exceptions when DHS determines that an administrative error occurred resulting in the inadvertent collection of a fee. DHS errors may include:

- *Unnecessary filings.* Cases in which DHS (or DOS in the case of an immigration benefit request filed overseas) erroneously requests that an individual file an unnecessary form along with the associated fee; and
- *Accidental Payments.* Cases in which an individual pays a required fee more than once or otherwise pays a fee in excess of the amount due and DHS (or the DOS in the case of an immigration benefit request filed overseas) erroneously accepts the erroneous fee.

DHS is codifying the process of continuing to provide these refunds in cases involving obvious DHS error. Individuals will continue to request a refund through the current established process, which requires calling the customer service line or submitting a written request for a refund to the office having jurisdiction over the relevant immigration benefit request.

Any DHS refunds provided are generally due to obvious DHS errors resulting from electronic system

¹³⁴ The compensation-to-wage multiplier is calculated as follows: (All Workers Total Employee Compensation per hour)/(Wages and Salaries per hour). See Economic News Release, U.S. Department of Labor, BLS, Table 1. Employer Costs per hour worked for employee compensation and costs as a percent of total compensation: Civilian workers, by major occupational and industry group (Sept. 2015), available at <http://www.bls.gov/news.release/pdf/cecc.pdf>.

¹³⁵ Calculation: \$10.59 hourly wage rate * .75 hours.

behavior issues or human error. The anticipation of increased electronic filings in the future also spurs the need for this provision. Currently, DHS provides fee refunds to applicants as shown in Table 7. Over the past 3 fiscal

years, DHS issued an annual average of 5,363 refunds, resulting in an average of \$2.1 million refunded. This is approximately \$396 per refund. These numbers and amounts of refunds do not include premium processing refunds

regulated under 8 CFR 103.7(e)(2)(i). In the context of the total number of fees collected by DHS across all benefits, this average amount of refunds is still less than 1 percent of the total fees collected.

TABLE 7—AMOUNT AND NUMBER OF FEE REFUNDS PROVIDED BY USCIS

Fiscal year	Amount refunded	Number of refunds
2013	\$2,674,290	7,405
2014	1,805,006	4,198
2015	1,890,638	4,485
Average	2,123,311	5,363

Source: Department of Homeland Security, U.S. Immigration and Customs Enforcement, Burlington Finance Center.

The changes in the final rule will benefit applicants who accidentally submit payments twice. DHS anticipates this to be a bigger issue as more forms and associated fees begin to be collected through electronic means. Applicants will recoup any fees that were submitted erroneously due to electronic systems issues. DHS benefits by having clear regulatory authority concerning the relatively few cases in which refunds are provided.

There may be some administrative costs associated with the issuance of refunds. DHS may see a potential initial increase in requests for refunds due to the visibility of this rule; however, DHS does not anticipate a sustained increase as DHS is not anticipating any changes to the conditions for issuing refunds. There may also be a potential increase in the time burden costs for DHS adjudicators to process these potential initial increases in refund requests. DHS does not have cost estimates at this time indicating the number of hours required to process and issue these refunds. There may also be some opportunity costs of time to filers who submit refund requests; however, DHS anticipates this cost is offset by the benefit gained in receiving a refund.

F. Executive Order 13132 (Federalism)

This rulemaking will not have substantial direct effects on the States, on the relationship between the National Government and the States, or on the distribution of power and responsibilities among the various levels of government. Therefore, in accordance with section 6 of Executive Order 13132, DHS has determined that this rulemaking does not have sufficient Federalism implications to warrant the preparation of a federalism summary impact statement.

G. Executive Order 12988 (Civil Justice Reform)

This final rule meets the applicable standards set forth in sections 3(a) and 3(b)(2) of Executive Order 12988.

H. Family Assessment

DHS has determined that this rule will not affect family well-being within the meaning of section 654 of the Treasury and General Government Appropriations Act, 1999, *Public Law 105-277*, 112 Stat. 2681 (1998). By increasing immigration benefit request fees, this action will impose a slightly higher financial burden on some families that petition for family members to join them in the United States. On the other hand, the rule will provide USCIS with the funds necessary to carry out adjudication and naturalization services and provide similar services for free to disadvantaged populations, including asylees, refugees, individuals with Temporary Protected Status, and victims of human trafficking. DHS has determined that the benefits of the action justify the financial impact that it will place on some families.

I. Paperwork Reduction Act—Comments on the Proposed Information Collection Changes

Under the Paperwork Reduction Act of 1995, all Departments are required to submit to OMB, for review and approval, any reporting and recordkeeping requirements inherent in a rule. See 44 U.S.C. 3507. This final rule requires changes to OMB control number 1615-0052, the Application for Naturalization, Form N-400, to collect information necessary to document the applicant's eligibility for the reduced fee proposed in this final rule at 8 CFR 103.7(b)(1)(i)(AAA)(1); OMB control number 1615-0061, Annual Certification of Regional Center, Form I-924A, and the Application for Regional

Center Designation Under the Immigrant Investor Program, Form I-924, to add the instructions necessary to require the annual fee; and OMB control number 1615-NEW, Request for Reduced Fee, Form I-942, to document the applicant's eligibility for the reduced fee. DHS specifically requested public comments on the proposed changes to the forms and form instructions in the NPRM in accordance with 5 CFR 1320.11(a). OMB reviewed the request filed in connection with the NPRM and also filed comments in accordance with 5 CFR 1320.11(c). DHS summarized the comments received from the public and responded below:

1. Request for Reduced Fee, Form I-942

USCIS received some comments on the Request for Reduced Fee, Form I-942, which was part of the NPRM docket. USCIS proposed to require Form I-942 for an applicant to request the \$320 reduced fee for the Application for Naturalization. The comments indicated that the Form I-942's sections related to preparer and interpreter certifications were unnecessarily lengthy, as was the section for signatures of additional family members. The comments stated that these sections make the form appear longer and more onerous than it needs to be. The commenters also recommended that the form be optional, similar to the optional Request for Fee Waiver, Form I-912.

USCIS designed the Request for Reduced Fee to be very similar to the Request for Fee Waiver. USCIS anticipates that preparers will benefit from having similar forms with similar formats. Additionally, USCIS does not believe that Form I-942 should be optional for reduced fee requests in the same way that Form I-912 is optional. With respect to Form I-912, USCIS recognizes that applicants may be able to address certain criteria, such as financial hardship, in a letter more

easily than through a form. However, the proposed sole basis for submitting a Request for Reduced Fee is the applicant's household income level. See 81 FR 26916. To qualify for the reduced fee, an applicant's household income must be greater than 150 and not more than 200 percent of the Federal Poverty Guidelines. *Id.* USCIS believes that such income information is more easily conveyed to the agency, and accessed by the agency, if it is presented in a uniform manner through a form, rather than through a letter. To provide additional flexibility to reduced fee applicants, USCIS has also decided to permit multiple family members living in the same household who are each submitting an Application for Naturalization, and who are each within the relevant income levels for the reduced fee, to jointly submit one Form I-942 with their naturalization applications.¹³⁶ USCIS determined that permitting multiple requests on one form would impose less of a burden overall than requiring multiple members of the same household to file separate reduced fee requests. As a result of these comments, DHS changed the form to permit multiple family members to file on Form I-942 with respect to multiple naturalization applications.

2. Annual Certification of Regional Center, Form I-924A

At least one commenter recommended standardizing the questions for Form I-924A and indicated that the form provides little to no value to USCIS. USCIS believes the revised form and instructions better explain the annual reporting process and requirements, and provide more useful information to USCIS, than the previous version of the form. In addition, USCIS believes the revised forms address the commenter's concerns by eliminating many redundant and lengthy questions and instructions. While the form contains new questions, it is intended to result in more comprehensive reviews and to require fewer and simpler follow-up inquiries from USCIS in response to annual I-924A filings. DHS made no changes to the draft form or the proposed rule as a result of these comments. The form and fee are finalized as proposed. New CFR 204.6(m).

¹³⁶ In such cases, each family member who is requesting a reduced fee for their Application for Naturalization must sign the Form I-942. Applicants must submit the Form I-942 in the same envelope as the naturalization applications for which they are requesting fee waivers.

List of Subjects

8 CFR Part 103

Administrative practice and procedures, Authority delegations (government agencies), Freedom of Information, Privacy, Reporting and recordkeeping requirements, and Surety bonds.

8 CFR Part 204

Administrative practice and procedure, Immigration, Reporting and recordkeeping requirements.

8 CFR Part 205

Administrative practice and procedure, Immigration.

Accordingly, DHS amends chapter I of title 8 of the Code of Federal Regulations as follows:

PART 103—IMMIGRATION BENEFITS; BIOMETRIC REQUIREMENTS; AVAILABILITY OF RECORDS

■ 1. The authority citation for part 103 continues to read as follows:

Authority: 5 U.S.C. 301, 552(a); 6 U.S.C. 112, 8 U.S.C. 1101, 1103, 1154, 1155, 1185, 1186a, 1186b, 1254a, 1304, 1324a, 1356; 31 U.S.C. 9701; Pub. L. 107-296, 116 Stat. 2135 (6 U.S.C. 1 *et seq.*); E.O. 12356, 47 FR 14874, 15557; 3 CFR, 1982 Comp., p. 166; 8 CFR part 2; Pub. L. 112-54.

■ 2. Section 103.2 is amended by:

- a. Revising paragraph (a)(1);
- b. Revising paragraph (a)(7); and
- c. Revising paragraph (b)(9).

The revisions read as follows:

§ 103.2 Submission and adjudication of benefit requests.

(a) * * *

(1) *Preparation and submission.* Every form, benefit request, or other document must be submitted to DHS and executed in accordance with the form instructions regardless of a provision of 8 CFR chapter I to the contrary. The form's instructions are hereby incorporated into the regulations requiring its submission. Each form, benefit request, or other document must be filed with the fee(s) required by regulation. Filing fees generally are non-refundable and, except as otherwise provided in this chapter I, must be paid when the benefit request is filed.

(7) *Benefit requests submitted.* (i) USCIS will consider a benefit request received and will record the receipt date as of the actual date of receipt at the location designated for filing such benefit request whether electronically or in paper format.

(ii) A benefit request which is rejected will not retain a filing date. A benefit request will be rejected if it is not:

(A) Signed with valid signature;

(B) Executed;

(C) Filed in compliance with the regulations governing the filing of the specific application, petition, form, or request; and

(D) *Submitted with the correct fee(s).* If a check or other financial instrument used to pay a fee is returned as unpayable, USCIS will re-submit the payment to the remitter institution one time. If the instrument used to pay a fee is returned as unpayable a second time, the filing will be rejected and a charge will be imposed in accordance with 8 CFR 103.7(a)(2).

(iii) A rejection of a filing with USCIS may not be appealed.

(b) * * *

(9) *Appearance for interview or biometrics.* USCIS may require any applicant, petitioner, sponsor, beneficiary, or individual filing a benefit request, or any group or class of such persons submitting requests, to appear for an interview and/or biometric collection. USCIS may require the payment of the biometric services fee in 8 CFR 103.7(b)(1)(i)(C) or that the individual obtain a fee waiver. Such appearance and fee may also be required by law, regulation, form instructions, or Federal Register notice applicable to the request type. USCIS will notify the affected person of the date, time and location of any required appearance under this paragraph. Any person required to appear under this paragraph may, before the scheduled date and time of the appearance, either:

(i) Appear before the scheduled date and time;

(ii) For good cause, request that the biometric services appointment be rescheduled; or

(iii) Withdraw the benefit request.

* * * * *

■ 4. Section 103.7 is amended by revising paragraphs (a)(2) and (b)(1) to read as follows:

§ 103.7 Fees.

* * * * *

(a) * * *

(2) Remittances must be drawn on a bank or other institution located in the United States and be payable in United States currency. Remittances must be made payable in accordance with the guidance specific to the applicable U.S. Government office when submitting to a Department of Homeland Security office located outside of the United States. Remittances to the Board of Immigration Appeals must be made payable to the "United States Department of Justice," in accordance with 8 CFR 1003.8. If a remittance in payment of a fee or any

other matter is not honored by the bank or financial institution on which it is drawn:

(i) A charge of \$30.00 will be imposed;

(ii) The provisions of 8 CFR 103.2(a)(7)(ii) apply, no receipt will be issued, and if a receipt was issued, it is void and the benefit request loses its receipt date; and

(iii) If the benefit request was approved, the approval may be revoked upon notice. If the approved benefit request requires multiple fees, this provision will apply if any fee submitted is not honored. Other fees that were paid for a benefit request that is revoked under this provision will be retained and not refunded. A revocation of an approval because the fee submitted is not honored may be appealed to the USCIS Administrative Appeals Office, in accordance with 8 CFR 103.3 and the applicable form instructions.

(b) *Amounts of fees—(1) Established fees and charges—(i) USCIS fees.* A request for immigration benefits submitted to USCIS must include the required fee as established under this section. The fees established in this section are associated with the benefit, the adjudication, or the type of request and not solely determined by the form number listed below. The term "form" as defined in 8 CFR part 1, may include a USCIS-approved electronic equivalent of such form as USCIS may provide on its official Web site at <http://www.uscis.gov>.

(A) *Certification of true copies:* \$2.00 per copy.

(B) *Attestation under seal:* \$2.00 each.

(C) *Biometric services fee.* For capturing, storing, and using biometric information (Biometric Fee). A service fee of \$85 will be charged to pay for background checks and have their biometric information captured, stored, and used for any individual who is required to submit biometric information for an application, petition, or other request for certain immigration and naturalization benefits (other than asylum or refugee status) or actions. USCIS will not charge a biometric services fee when:

(1) An applicant under 8 CFR 204.3 submits to USCIS a written request for an extension of the approval period of an Application for Advance Processing of an Orphan Petition (Application), if the request is submitted before the approval period expires and the applicant has not yet filed a Petition to Classify Orphan as an Immediate Relative (Petition) in connection with the approved Application. The applicant may submit only one

extension request without having to pay an additional biometric services fee. If the extension of the approval expires before the applicant files an associated Petition, then the applicant must file either a new Application or a Petition, and pay a new filing fee and a new biometric services fee.

(2) The application or petition fee for the associated request has been waived under paragraph (c) of this section; or

(3) The associated benefit request is one of the following:

(i) Application for Posthumous Citizenship, Form N-644;

(ii) Refugee/Asylee Relative Petition, Form I-730;

(iii) Application for T Nonimmigrant Status, Form I-914;

(iv) Petition for U Nonimmigrant Status, Form I-918;

(v) Application for Naturalization, Form N-400, by an applicant who meets the requirements of sections 328 or 329 of the Act with respect to military service under paragraph (b)(1)(i)(WW) of this section;

(vi) Application to Register Permanent Residence or Adjust Status, Form I-485, from an asylee under paragraph (b)(1)(i)(U) of this section;

(vii) Application To Adjust Status under Section 245(i) of the Act, Supplement A to Form I-485, from an unmarried child less than 17 years of age, or when the applicant is the spouse, or the unmarried child less than 21 years of age of a legalized foreign national and who is qualified for and has applied for voluntary departure under the family unity program from an asylee under paragraph (b)(1)(i)(V) of this section; or

(viii) Petition for Amerasian, Widow(er), or Special Immigrant, Form I-360, meeting the requirements of paragraphs (b)(1)(i)(T)(1), (2), (3) or (4) of this section.

(D) *USCIS Immigrant Fee.* For DHS domestic processing and issuance of required documents after an immigrant visa is issued by the U.S. Department of State: \$220.

(E) *Request for a search of indices to historical records to be used in genealogical research,* Form G-1041: \$65. The search request fee is not refundable.

(F) *Request for a copy of historical records to be used in genealogical research,* Form G-1041A: \$65. USCIS will refund the records request fee only when it is unable to locate the file previously identified in response to the index search request.

(G) *Application to Replace Permanent Resident Card,* Form I-90. For filing an application for a Permanent Resident Card, Form I-551, to replace an obsolete

card or to replace one lost, mutilated, or destroyed, or for a change in name: \$455.

(H) *Application for Replacement/Initial Nonimmigrant Arrival-Departure Document,* Form I-102. For filing a petition for an application for Arrival/Departure Record Form I-94, or Crewman's Landing Permit Form I-95, to replace one lost, mutilated, or destroyed: \$445.

(I) *Petition for a Nonimmigrant Worker,* Form I-129. For filing a petition for a nonimmigrant worker: \$460.

(J) *Petition for Nonimmigrant Worker in CNMI,* Form I-129CW. For an employer to petition on behalf of one or more beneficiaries: \$460 plus a supplemental CNMI education funding fee of \$150 per beneficiary per year. The CNMI education funding fee cannot be waived.

(K) *Petition for Alien Fiancé(e),* Form I-129F. For filing a petition to classify a nonimmigrant as a fiancée or fiancé under section 214(d) of the Act: \$535; there is no fee for a K-3 spouse as designated in 8 CFR 214.1(a)(2) who is the beneficiary of an immigrant petition filed by a United States citizen on a Petition for Alien Relative, Form I-130.

(L) *Petition for Alien Relative,* Form I-130. For filing a petition to classify status of a foreign national relative for issuance of an immigrant visa under section 204(a) of the Act: \$535.

(M) *Application for Travel Document,* Form I-131. For filing an application for travel document:

(1) \$135 for a Refugee Travel Document for an individual age 16 or older.

(2) \$105 for a Refugee Travel Document for a child under the age of 16.

(3) \$575 for advance parole and any other travel document.

(4) No fee if filed in conjunction with a pending or concurrently filed Form I-485 with fee that was filed on or after July 30, 2007.

(N) *Immigrant Petition for Alien Worker,* Form I-140. For filing a petition to classify preference status of an alien on the basis of profession or occupation under section 204(a) of the Act: \$700.

(O) *Application for Advance Permission to Return to Unrelinquished Domicile,* Form I-191. For filing an application for discretionary relief under section 212(c) of the Act: \$930.

(P) *Application for Advance Permission to Enter as a Nonimmigrant,* Form I-192. For filing an application for discretionary relief under section 212(d)(3) of the Act, except in an emergency case or where the approval of the application is in the interest of

the United States Government: \$930. If filed with and processed by CBP: \$585.

(Q) *Application for Waiver for Passport and/or Visa*, Form I-193. For filing an application for waiver of passport and/or visa: \$585.

(R) *Application for Permission to Reapply for Admission into the United States After Deportation or Removal*, Form I-212. For filing an application for permission to reapply for an excluded, deported or removed alien, an alien who has fallen into distress, an alien who has been removed as an alien enemy, or an alien who has been removed at government expense instead of deportation: \$930.

(S) *Notice of Appeal or Motion*, Form I-290B. For appealing a decision under the immigration laws in any type of proceeding over which the Board of Immigration Appeals does not have appellate jurisdiction: \$675. The fee will be the same for appeal of a denial of a benefit request with one or multiple beneficiaries. There is no fee for an appeal or motion associated with a denial of a petition for a special immigrant visa filed by or on behalf of an individual seeking special immigrant visa or status as an Iraqi or Afghan national who was employed by or on behalf of the U.S. Government in Iraq or Afghanistan.

(T) *Petition for Amerasian, Widow(er), or Special Immigrant*, Form I-360. For filing a petition for an Amerasian, Widow(er), or Special Immigrant: \$435. The following requests are exempt from this fee:

- (1) A petition seeking classification as an Amerasian;
- (2) A self-petition for immigrant status as a battered or abused spouse, parent, or child of a U.S. citizen or lawful permanent resident; or
- (3) A petition for special immigrant juvenile status; or
- (4) A petition seeking special immigrant visa or status as Iraqi or Afghan national who was employed by or on behalf of the U.S. Government in Iraq or Afghanistan.

(U) *Application to Register Permanent Residence or Adjust Status*, Form I-485. For filing an application for permanent resident status or creation of a record of lawful permanent residence:

- (1) \$1,140 for an applicant 14 years of age or older; or
- (2) \$750 for an applicant under the age of 14 years who submits the application concurrently with the Form I-485 of a parent.
- (3) There is no fee if an applicant is filing as a refugee under section 209(a) of the Act.

(V) *Application to Adjust Status under Section 245(i) of the Act*,

Supplement A to Form I-485.

Supplement to Form I-485 for persons seeking to adjust status under the provisions of section 245(i) of the Act: \$1,000. There is no fee when the applicant is an unmarried child less than 17 years of age, when the applicant is the spouse, or the unmarried child less than 21 years of age of an individual with lawful immigration status and who is qualified for and has applied for voluntary departure under the family unity program.

(W) *Immigrant Petition by Alien Entrepreneur*, Form I-526. For filing a petition for an alien entrepreneur: \$3,675.

(X) *Application To Extend/Change Nonimmigrant Status*, Form I-539. For filing an application to extend or change nonimmigrant status: \$370.

(Y) *Petition to Classify Orphan as an Immediate Relative*, Form I-600. For filing a petition to classify an orphan as an immediate relative for issuance of an immigrant visa under section 204(a) of the Act. Only one fee is required when more than one petition is submitted by the same petitioner on behalf of orphans who are brothers or sisters: \$775.

(Z) *Application for Advance Processing of Orphan Petition*, Form I-600A. For filing an application for advance processing of orphan petition. (When more than one petition is submitted by the same petitioner on behalf of orphans who are brothers or sisters, only one fee will be required.): \$775. No fee is charged if Form I-600 has not yet been submitted in connection with an approved Form I-600A subject to the following conditions:

- (1) The applicant requests an extension of the approval in writing and the request is received by USCIS before the expiration date of approval; and
- (2) The applicant's home study is updated and USCIS determines that proper care will be provided to an adopted orphan.
- (3) A no fee extension is limited to one occasion. If the Form I-600A approval extension expires before submission of an associated Form I-600, then a complete application and fee must be submitted for any subsequent application.

(AA) *Application for Waiver of Ground of Inadmissibility*, Form I-601. For filing an application for waiver of grounds of inadmissibility: \$930.

(BB) *Application for Provisional Unlawful Presence Waiver*, Form I-601A. For filing an application for provisional unlawful presence waiver: \$630.

(CC) *Application for Waiver of the Foreign Residence Requirement (under*

Section 212(e) of the Immigration and Nationality Act, as Amended), Form I-612. For filing an application for waiver of the foreign-residence requirement under section 212(e) of the Act: \$930.

(DD) *Application for Status as a Temporary Resident under Section 245A of the Immigration and Nationality Act*, Form I-687. For filing an application for status as a temporary resident under section 245A(a) of the Act: \$1,130.

(EE) *Application for Waiver of Grounds of Inadmissibility under Sections 245A or 210 of the Immigration and Nationality Act*, Form I-690. For filing an application for waiver of a ground of inadmissibility under section 212(a) of the Act as amended, in conjunction with the application under sections 210 or 245A of the Act, or a petition under section 210A of the Act: \$715.

(FF) *Notice of Appeal of Decision under Sections 245A or 210 of the Immigration and Nationality Act* (or a petition under section 210A of the Act), Form I-694. For appealing the denial of an application under sections 210 or 245A of the Act, or a petition under section 210A of the Act: \$890.

(GC) *Application to Adjust Status from Temporary to Permanent Resident (Under Section 245A of Pub. L. 99-603)*, Form I-698. For filing an application to adjust status from temporary to permanent resident (under section 245A of Pub. L. 99-603): \$1,670. The adjustment date is the date of filing of the application for permanent residence or the applicant's eligibility date, whichever is later.

(HH) *Petition to Remove Conditions on Residence*, Form I-751. For filing a petition to remove the conditions on residence based on marriage: \$595.

(II) *Application for Employment Authorization*, Form I-765. \$410. No fee if filed in conjunction with a pending or concurrently filed Form I-485 with fee that was filed on or after July 30, 2007.

(JJ) *Petition to Classify Convention Adoptee as an Immediate Relative*, Form I-800.

(1) There is no fee for the first Form I-800 filed for a child on the basis of an approved Application for Determination of Suitability to Adopt a Child from a Convention Country, Form I-800A, during the approval period.

(2) If more than one Form I-800 is filed during the approval period for different children, the fee is \$775 for the second and each subsequent petition submitted.

(3) If the children are already siblings before the proposed adoption, however, only one filing fee of \$775 is required,

regardless of the sequence of submission of the immigration benefit.

(KK) *Application for Determination of Suitability to Adopt a Child from a Convention Country*, Form I-800A. For filing an application for determination of suitability to adopt a child from a convention country: \$775.

(LL) *Request for Action on Approved Application for Determination of Suitability to Adopt a Child from a Convention Country*, Form I-800A, Supplement 3. This filing fee is not charged if Form I-800 has not been filed based on the approval of the Form I-800A, and Form I-800A Supplement 3 is filed in order to obtain a first extension of the approval of the Form I-800A: \$385.

(MM) *Application for Family Unity Benefits*, Form I-817. For filing an application for voluntary departure under the Family Unity Program: \$600.

(NN) *Application for Temporary Protected Status*, Form I-821. For first time applicants: \$50. There is no fee for re-registration.

(OO) *Application for Action on an Approved Application or Petition*, Form I-824. For filing for action on an approved application or petition: \$465.

(PP) *Petition by Entrepreneur to Remove Conditions*, Form I-829. For filing a petition by entrepreneur to remove conditions: \$3,750.

(QQ) *Application for Suspension of Deportation or Special Rule Cancellation of Removal* (Pursuant to Section 203 of Pub. L. 105-100), Form I-881:

(1) \$285 for adjudication by DHS, except that the maximum amount payable by family members (related as husband, wife, unmarried child under 21, unmarried son, or unmarried daughter) who submit applications at the same time will be \$570.

(2) \$165 for adjudication by the Immigration Court (a single fee of \$165 will be charged whenever applications are filed by two or more foreign nationals in the same proceedings).

(3) The \$165 fee is not required if the Form I-881 is referred to the Immigration Court by DHS.

(RR) *Application for Authorization to Issue Certification for Health Care Workers*, Form I-905: \$230.

(SS) *Request for Premium Processing Service*, Form I-907. \$1,225. The Request for Premium Processing Service fee:

(1) Must be paid in addition to, and in a separate remittance from, other filing fees.

(2) May be adjusted annually by notice in the **Federal Register** based on inflation according to the Consumer Price Index (CPI).

(3) May not be waived.

(TT) *Application for Civil Surgeon Designation*, Form I-910. For filing an application for civil surgeon designation: \$785. There is no fee for an application from a medical officer in the U.S. Armed Forces or civilian physician employed by the U.S. Government who examines members and veterans of the Armed Forces and their dependents at a military, Department of Veterans Affairs, or U.S. Government facility in the United States.

(UU) *Application for T Nonimmigrant Status*, Form I-914. No fee.

(VV) *Application for U Nonimmigrant Status*, Form I-918. No fee.

(WW) *Application for Regional Center Designation under the Immigrant Investor Program*, Form I-924. For filing an application for regional center designation under the Immigrant Investor Program: \$17,795.

(XX) *Annual Certification of Regional Center*, Form I-924A. To provide updated information and certify that an Immigrant Investor Regional Center has maintained their eligibility: \$3,035.

(YY) *Petition for Qualifying Family Member of a U-1 Nonimmigrant*, Form I-929. For U-1 principal applicant to submit for each qualifying family member who plans to seek an immigrant visa or adjustment of U status: \$230.

(ZZ) *Application to File Declaration of Intention*, Form N-300. For filing an application for declaration of intention to become a U.S. citizen: \$270.

(AAA) *Request for a Hearing on a Decision in Naturalization Proceedings (Under section 336 of the Act)*, Form N-336. For filing a request for hearing on a decision in naturalization proceedings under section 336 of the Act: \$700.

There is no fee if filed on or after October 1, 2004, by an applicant who has filed an Application for Naturalization under sections 328 or 329 of the Act with respect to military service and whose application has been denied.

(BBB) *Application for Naturalization*, Form N-400. For filing an application for naturalization: \$640. Except:

(1) The fee for an applicant whose documented income is greater than 150 percent and not more than 200 percent of the Federal poverty level is \$320.

(2) No fee is charged an applicant who meets the requirements of sections 328 or 329 of the Act with respect to military service.

(CCC) *Application to Preserve Residence for Naturalization Purposes*, Form N-470. For filing an application for benefits under section 316(b) or 317 of the Act: \$355.

(DDD) *Application for Replacement Naturalization/Citizenship Document*,

Form N-565. For filing an application for a certificate of naturalization or declaration of intention in place of a certificate or declaration alleged to have been lost, mutilated, or destroyed; for a certificate of citizenship in a changed name under section 343(c) of the Act; or for a special certificate of naturalization to obtain recognition as a citizen of the United States by a foreign state under section 343(b) of the Act: \$555. There is no fee when this application is submitted under 8 CFR 338.5(a) or 343a.1 to request correction of a certificate that contains an error.

(EEE) *Application for Certificate of Citizenship*, Form N-600. For filing an application for a certificate of citizenship under section 309(c) or section 341 of the Act: \$1,170. There is no fee for any application filed by a member or veteran of any branch of the United States Armed Forces.

(FFF) *Application for Citizenship and Issuance of Certificate under section 322 of the Act*, Form N-600K. For filing an application for citizenship and issuance of certificate under section 322 of the Act: \$1,170.

(GGG) *American Competitiveness and Workforce Improvement Act (ACWIA) fee*. For filing certain H-1B petitions as described in 8 CFR 214.2(h)(19) and USCIS form instructions: \$1,500 or \$750.

(HHH) *Fraud detection and prevention fee*. For filing certain H-1B and L petitions, and \$150 for H-2B petitions as described in 8 CFR 214.2(h)(19): \$500.

(III) *9-11 Response and Biometric Entry-Exit Fee for H-1B Visa*. For certain petitioners who employ 50 or more employees in the United States if more than 50 percent of the petitioner's employees are in H-1B, L-1A or L-1B nonimmigrant status: \$4,000. Collection of this fee is scheduled to end on September 30, 2025.

(JJJ) *9-11 Response and Biometric Entry-Exit Fee for L-1 Visa*. For certain petitioners who employ 50 or more employees in the United States, if more than 50 percent of the petitioner's employees are in H-1B, L-1A or L-1B nonimmigrant status: \$4,500. Collection of this fee is scheduled to end on September 30, 2025.

* * * * *

■ 5. Section 103.16 is amended by revising the first sentence of paragraph (a) to read as follows:

§ 103.16 Collection, use and storage of biometric information.

(a) *Use of biometric information*. An individual may be required to submit biometric information by law, regulation, **Federal Register** notice or

the form instructions applicable to the request type or if required in accordance with 8 CFR 103.2(b)(9). * * *

■ 6. Section 103.17 is amended by revising paragraph (b) to read as follows:

§ 103.17 Biometric services fee.

(b) *Non-payment.* If a benefit request is received by DHS without the correct biometric services fee as provided in the form instructions, DHS will reject the benefit request.

PART 204—IMMIGRANT PETITIONS

■ 7. The authority citation for part 204 continues to read as follows:

Authority: 8 U.S.C. 1101, 1103, 1151, 1153, 1154, 1182, 1194, 1186a, 1255, 1641; 8 CFR part 2.

■ 8. Section 204.6 is amended by revising paragraph (m)(6) to read as follows:

§ 204.6 Petitions for employment creation aliens.

(m) * * *

(6) *Continued participation requirements for regional centers.* (i) Regional centers approved for participation in the program must:

(A) Continue to meet the requirements of section 610(a) of the Appropriations Act.

(B) Provide USCIS with updated information annually, and/or as otherwise requested by USCIS, to demonstrate that the regional center is continuing to promote economic growth, including increased export sales, improved regional productivity, job creation, and increased domestic capital investment in the approved geographic area, using a form designated for this purpose; and

(C) Pay the fee provided by 8 CFR 103.7(b)(1)(i)(XX).

(ii) USCIS will issue a notice of intent to terminate the designation of a regional center in the program if:

(A) A regional center fails to submit the information required in paragraph (m)(6)(i)(B) of this section, or pay the associated fee; or

(B) USCIS determines that the regional center no longer serves the purpose of promoting economic growth, including increased export sales, improved regional productivity, job creation, and increased domestic capital investment.

(iii) A notice of intent to terminate the designation of a regional center will be sent to the regional center and set forth the reasons for termination.

(iv) The regional center will be provided 30 days from receipt of the notice of intent to terminate to rebut the ground or grounds stated in the notice of intent to terminate.

(v) USCIS will notify the regional center of the final decision. If USCIS

determines that the regional center's participation in the program should be terminated, USCIS will state the reasons for termination. The regional center may appeal the final termination decision in accordance with 8 CFR 103.3.

(vi) A regional center may elect to withdraw from the program and request a termination of the regional center designation. The regional center must notify USCIS of such election in the form of a letter or as otherwise requested by USCIS. USCIS will notify the regional center of its decision regarding the withdrawal request in writing.

PART 205—REVOCATION OF APPROVAL OF PETITIONS

■ 9. The authority citation for part 205 continues to read as follows:

Authority: 8 U.S.C. 1101, 1103, 1151, 1153, 1154, 1155, 1182, and 1186a.

■ 10. Section 205.1 is amended by removing and reserving paragraph (a)(2).

§ 205.1 Automatic revocation.

(a) * * *

(2) [Reserved]

Jeh Charles Johnson, Secretary.

[FR Doc. 2016-25328 Filed 10-21-16; 8:45 am]

BILLING CODE 4410-10-P

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From: Bucher, Steve P
Sent: Wednesday, December 07, 2011 10:36 AM
To: Neufeld, Donald; Monica, Donald J; Langlois, Joseph
Cc: Velarde, Barbara Q; Borgen, Michael R; Scialabba, Lori
Subject: FW: Social Networking Sites
Importance: High

(b)(5)



From: Scott, Judith J
Sent: Tuesday, December 06, 2011 4:27 PM
To: FDNS-FIELD; Alexis, Michelle; Blitzer, Robert (CTR); Delaney, Daniel (CTR); Dewey, David (CTR); Edwards, Brant (CTR); Hill, Raymond; Jenkins, Callian (CTR); Korchowsky, Sharon (CTR); Nelson, Meredith (CTR); Rosado, Manuel; Shi, Ting (CTR); Atkinson, Ronald A; Blackwood, Robert L; Bucher, Steve P; Crewson, Jean C; Karam, Lauren J; Kellner, Aris R; Miller, Robert; Rosenstock, Peter; Scott, Judith J; Simeone, Ann; Burdick, William L; Case, Mary Ann; Coffren, Brenda A; Colic, Mirian E; Cortes, Luis; Delcore, Robert; Embry, Sheila G; Emrich, Matthew D; Fagan, David W; Freeman, Mark C; Golston, Shari A; Herrera, Al T; Houck, Monique; Khoudaghoulian, Minas; Lambert, Monda I; Swanson, Toni; Thornhill, Steven C; Dean, Kimberly D; Alexander, Jeffrey D; Alexis, Melissa; Areas, Julio; Baldwin, Sara K; Banks, Nicole P; Bolanos, Susana P; Chenevert, Michelle Z; Hess, Karen K; Hill, Larry D; Holder, Laura M; Kostiuik, Damian D; Mendoza, Elizabeth; Miller, Donn; Nilsen, Arthur; Patel, Ruchi R; Reeder, Amy C; Rosen, Talisha L; Williams, Pierre L; Armstrong, Sally L; Bittner, Adrian; Braffman, Matthew E; Bullock, Rebecca A; Celone, Michael A; Chanowitz, Jeffrey S; Davis, Glenn C; Davis, Rebecca J; Dolan, Michael J; Fortin, Elaine; Hodges, Krystal M; Johnson, Michael D; Legall, Eduardo A; McCabe, Kevin; Merkovich, Melissa A; Miller, Britney; O'Bryant, Ryan; Oviolu, Esther; Radil, Donald G; Ryan, Danielle C; Salyer, Robert M; Trujillo, Leonard E; Barefoot, Thomas; Beebe, Heather F; Blacknell, Chennetta D; Deal, Dean A; Gonzales, Kimberly A; Hernandez, Leticia; Jacobs, Alexander L; Knafla, Susan J; Lopes, Harrison; McBride, Mark D; Planchard, Emily L; Salcedo, Marvin W; Smith Shaw, Deborah J; Sobolewski, Cynthia F; Sweeney, Aaron W; Villarreal, Joe; Vincent, Douglas L; Amador, Marlene; Ayoung, Carlton P; Bianco, Anthony D; Brown-Harris, Janie; Castillo, Milagros; Chao, Sherman; Cheng, Susan P; Clark, Makesha; Clark, Makesha; Cornell, Robert K; Ebersole, Jilla; Epperson, Douglas W; Epstein, Sara I; Fineaso, Samson P; Hall, Joshua; Heffron, Christopher M; Horton, LaVerne L; Hunt, Frederick; Huntenburg, Bettina M; Ibrahim, Salaheldin; Isoldi, John W; Jacks, Marlon M; Jaspal, Ravinder S; Jimenez, Rolando R; Johnson, Erik P; Johnson, Oliver; Kelly, Claire C; Khan, Asma M; Kotkin, Charles R; Lee, Terence W; Liu, Jerry; Lomeli, Paul; Lutomski, Marie A; Lyday, Kevin J; Matthews, Lauren E; Mohamed, Fazal X; Navarro, Ross M; Omarson, Olaf; Quinn, Kevin T; Rogers, William R; Ryan, Kelly; Savarese, lauren; Savarese, Lauren E; Seon, Juneann M; Stein, Jesse; Vogel, Cory I; White, Robert A; Woydziak, Lester L; Becker, Scott E; Hysmith, Tenner L; Kanwal, Nida; Lambert, Percy L; Newman, Brandi R; Ravelin, Ellen M; Riebesell, Paul D
Subject: Social Networking Sites
Importance: High

An Important Message from Steve Bucher, FDNS Acting Associate Director, to all FDNS Employees

(b)(5)



Judith I. Scott
Executive Staff Assistant
Fraud Detection and National Security (FDNS)
202-272-9029 (Office)

(b)(6)


202-272-8594 (Fax)
Judith.Scott@dhs.gov

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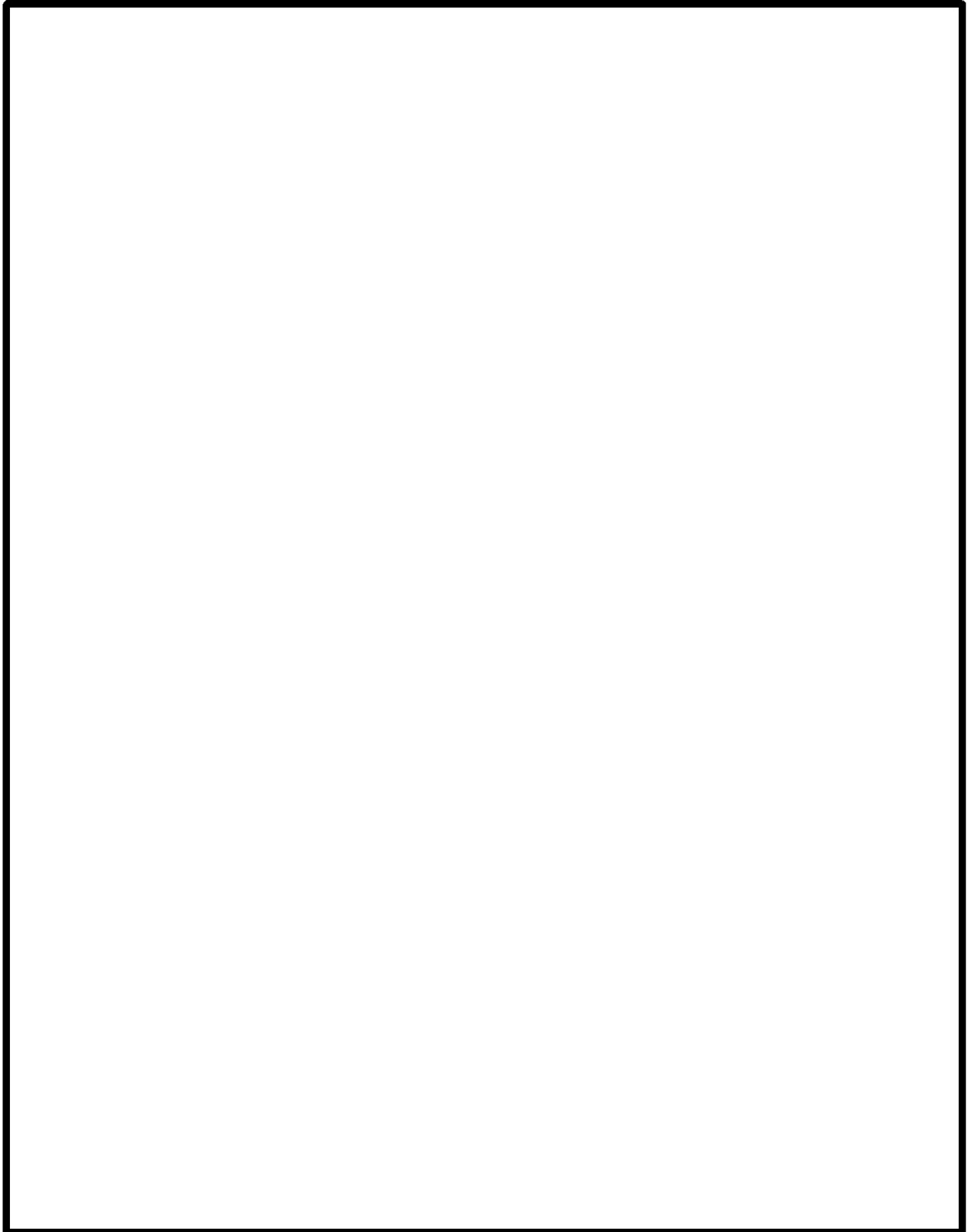


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Version date: June 12, 2012
Page 1 of 8

(b)(5)



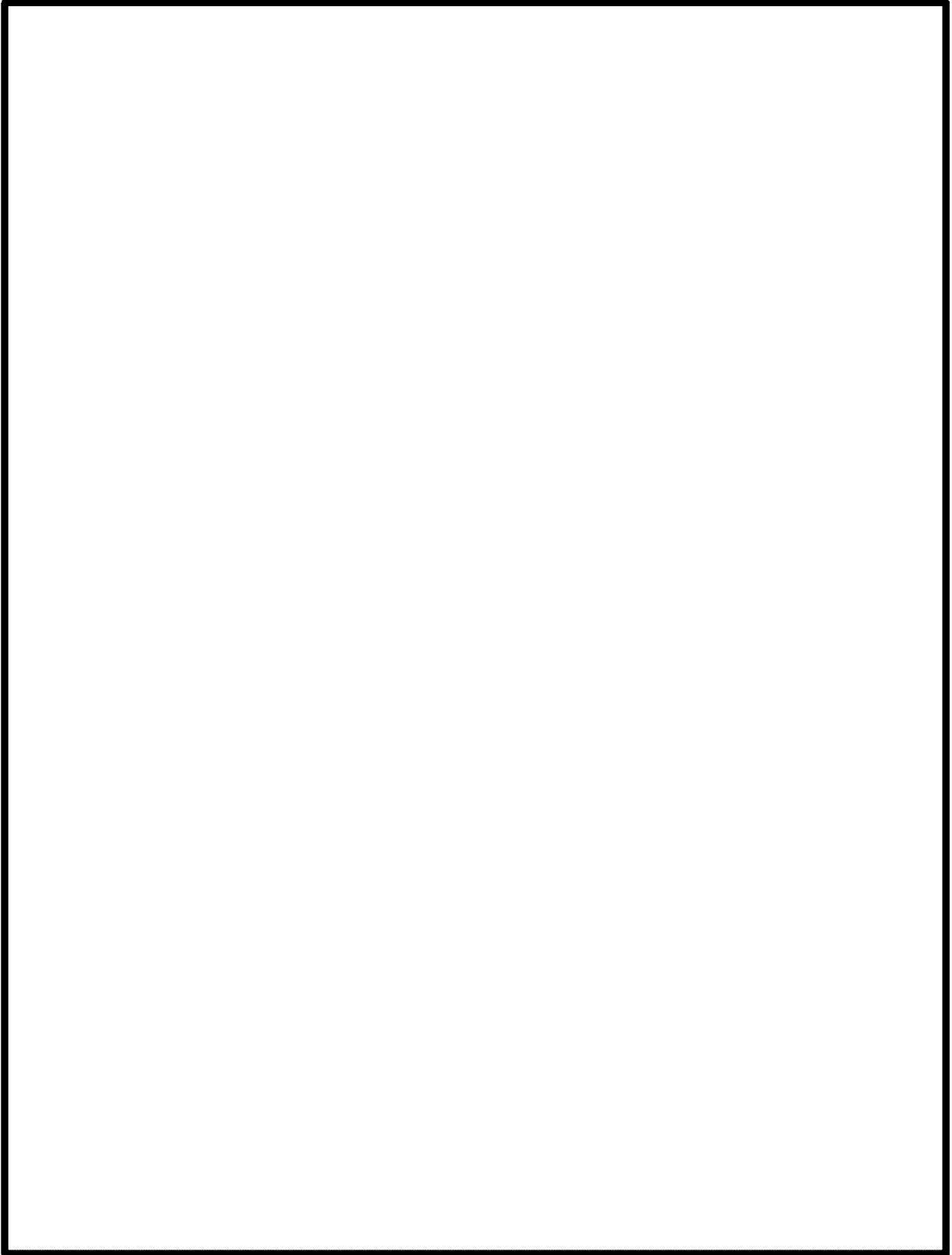


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Version date: June 12, 2012
Page 2 of 8



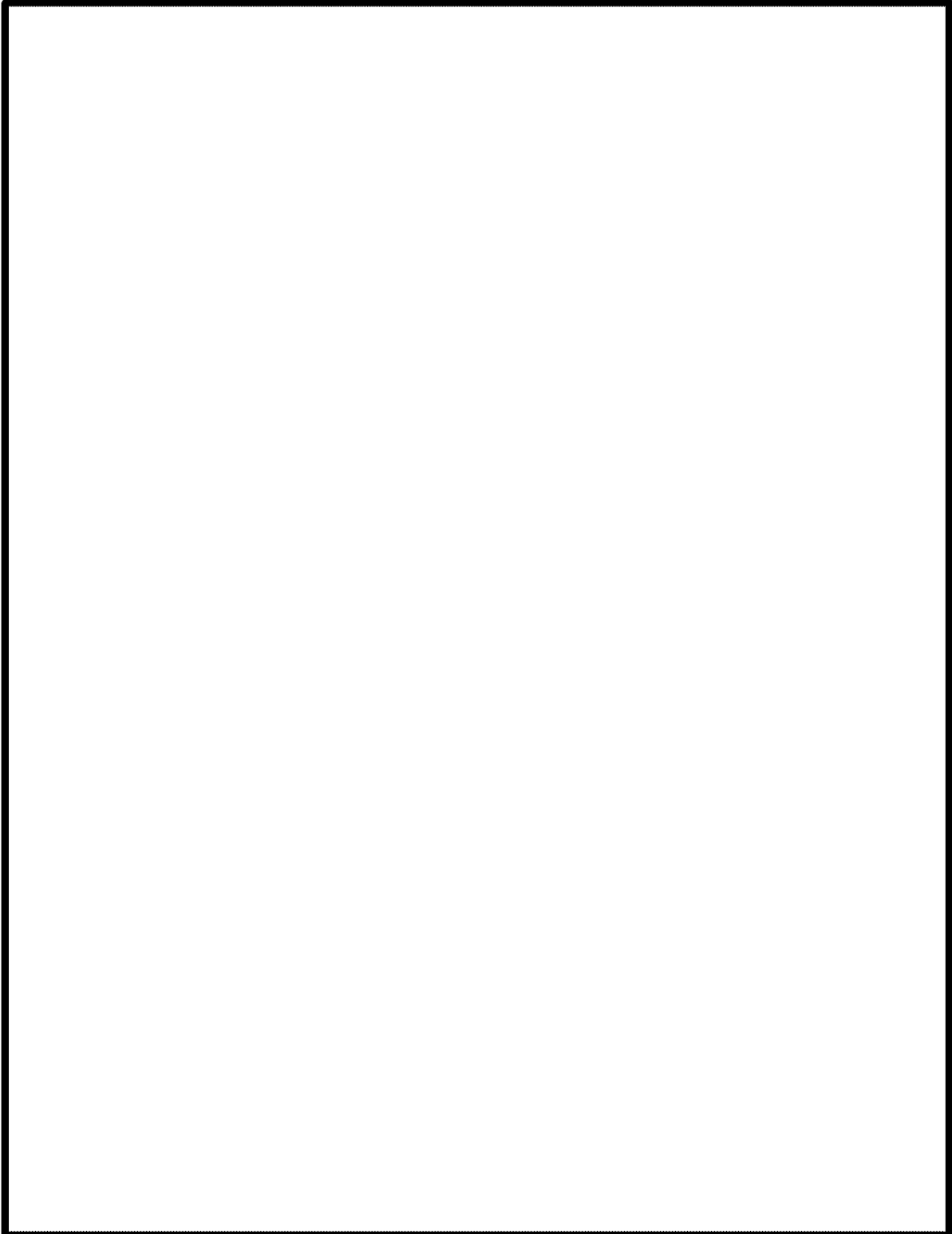


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Version date: June 12, 2012
Page 3 of 8

(b)(5)



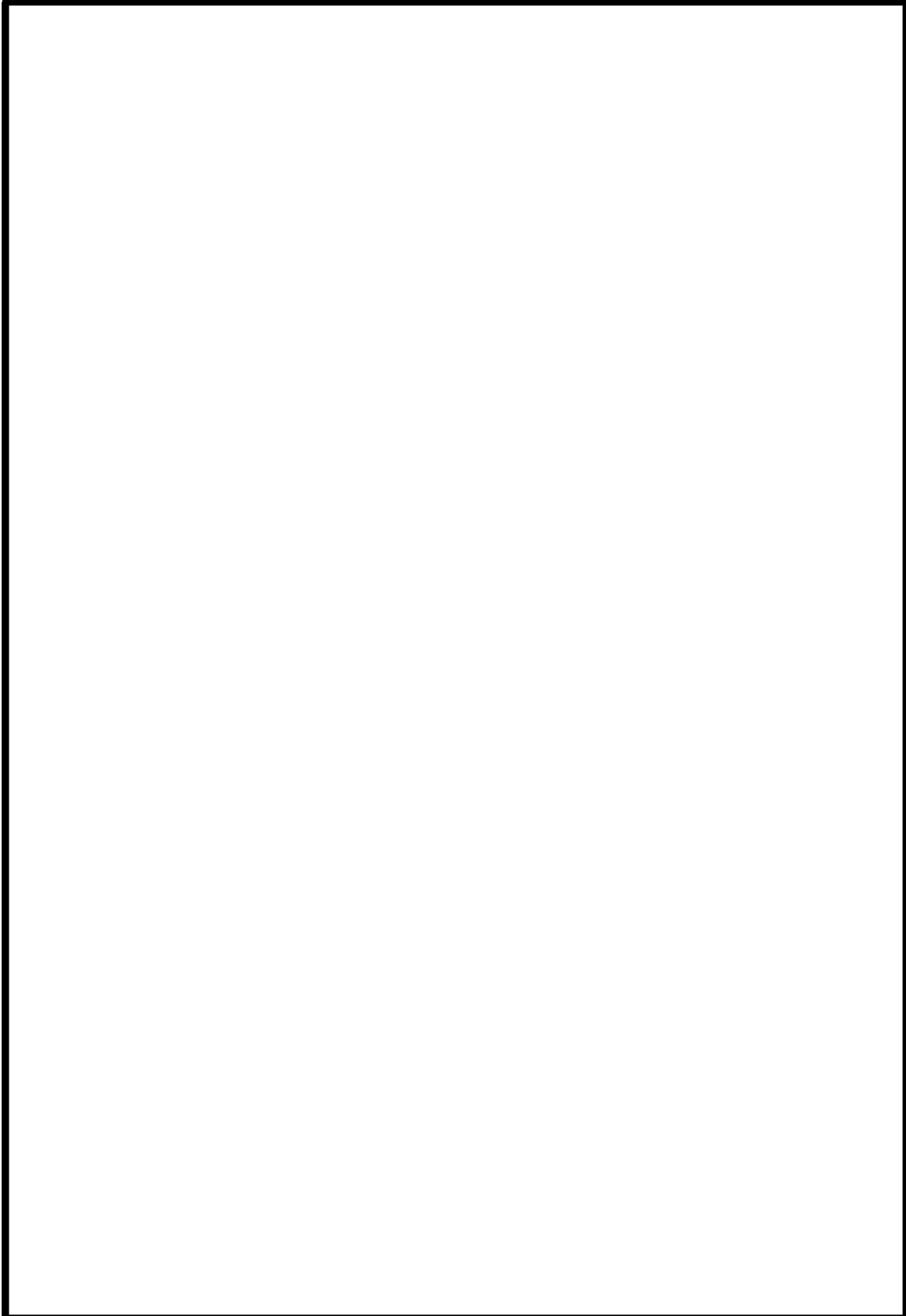


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Version date: June 12, 2012
Page 4 of 8

(b)(5)



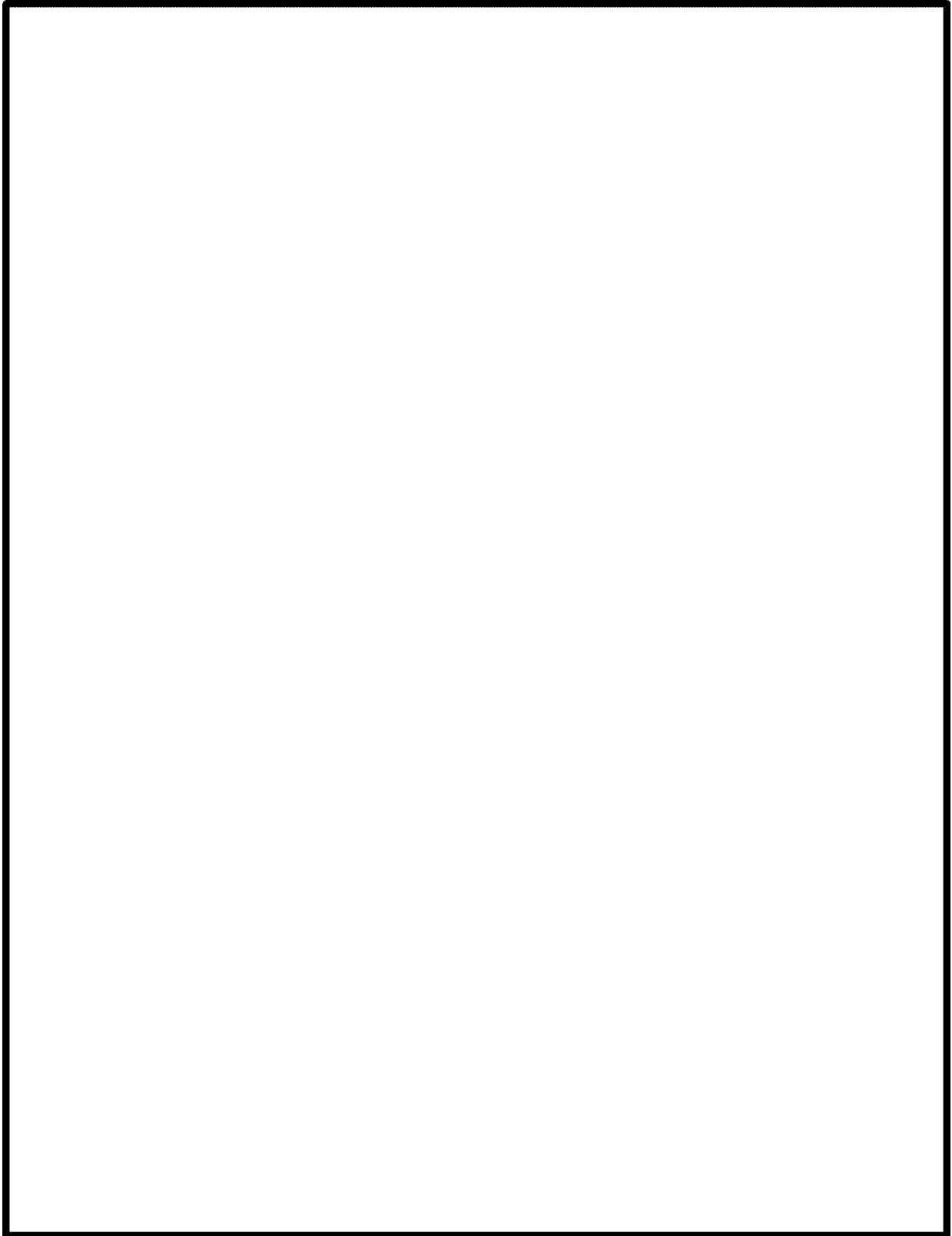


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Version date: June 12, 2012
Page 5 of 8

(b)(5)



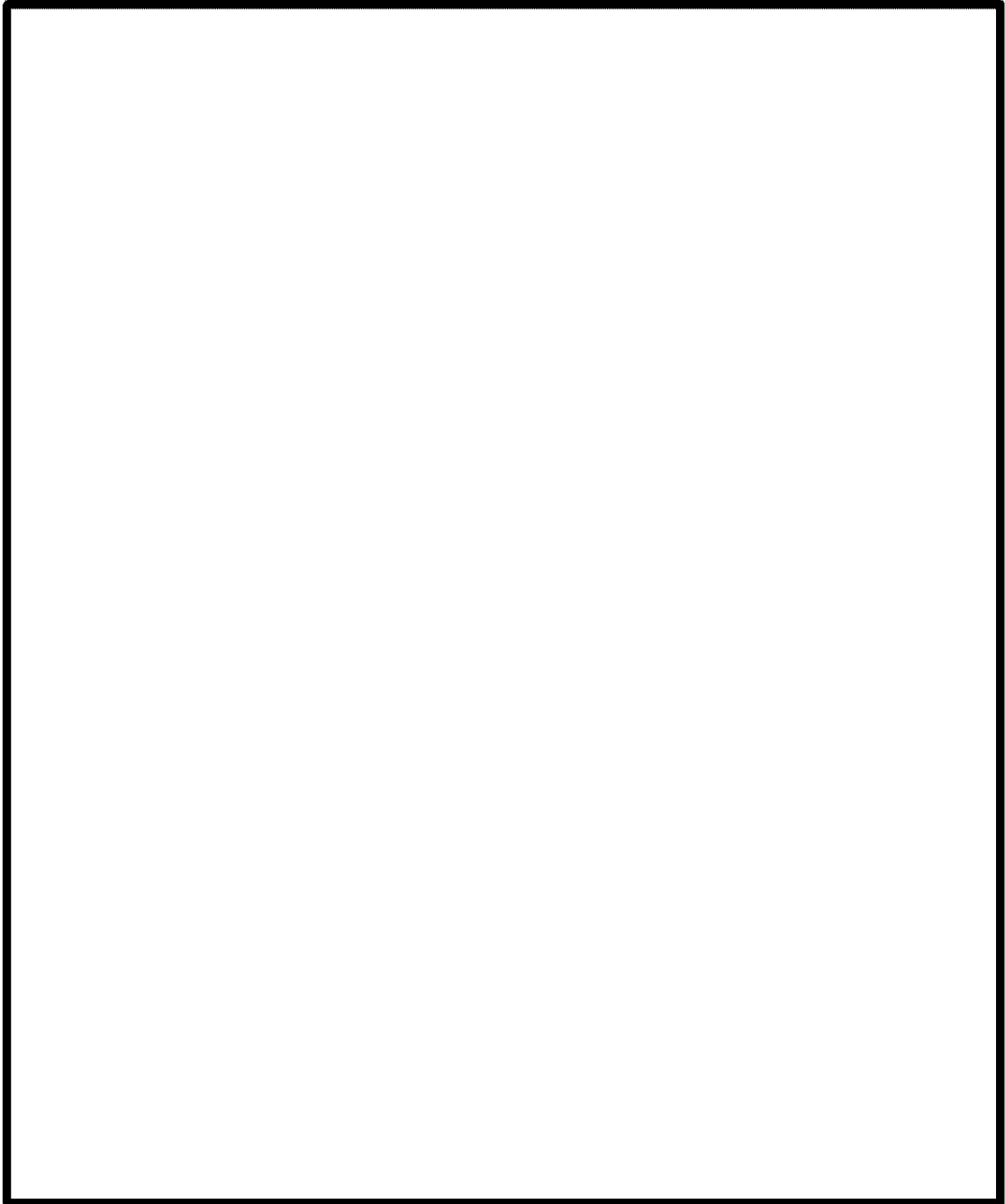


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Version date: June 12, 2012
Page 6 of 8

(b)(5)



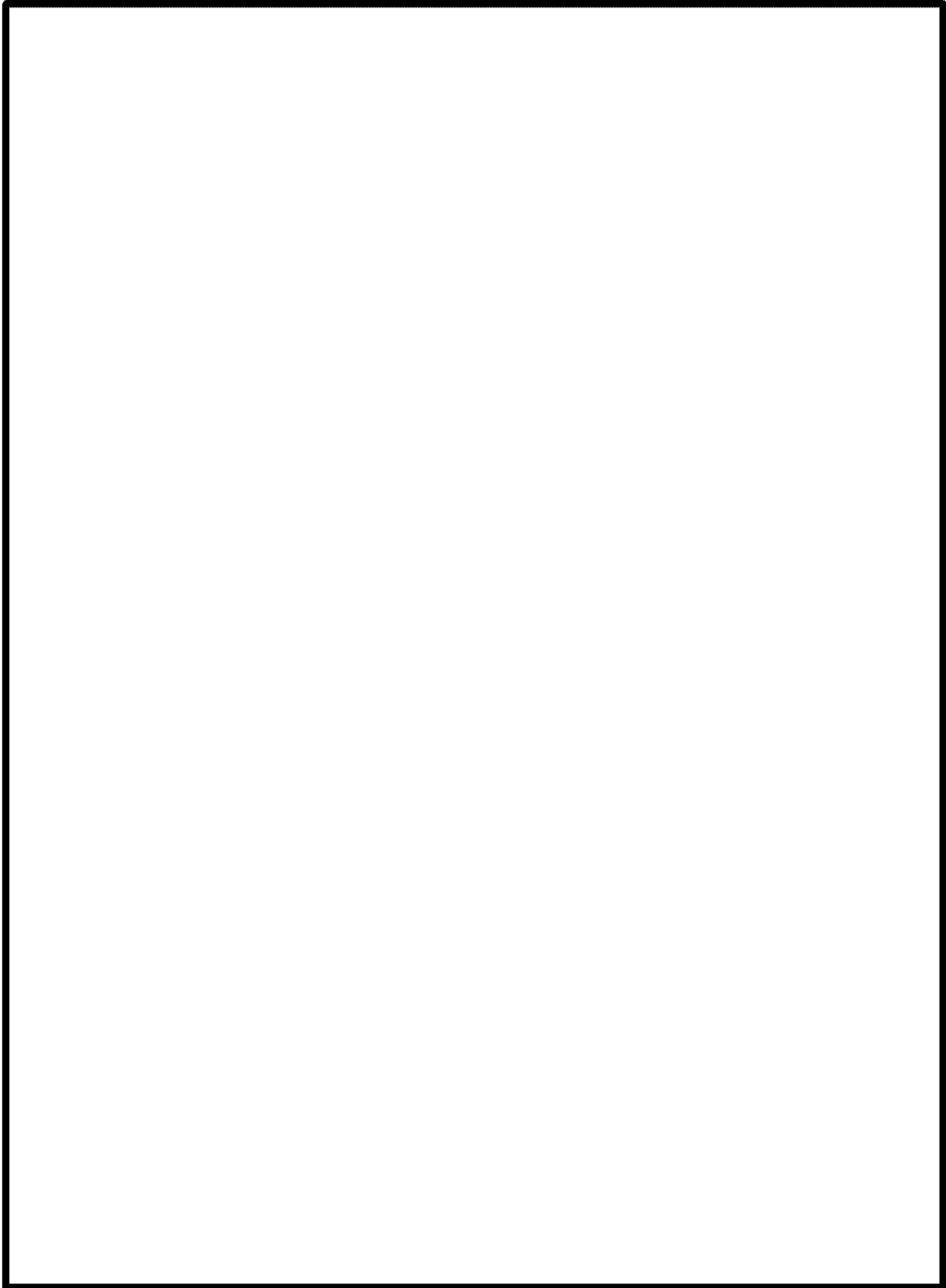


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(b)(5)

Version date: June 12, 2012
Page 7 of 8





Homeland Security

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www.dhs.gov/privacy

Version date: June 12, 2012
Page 8 of 8

(b)(5)





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www.dhs.gov/privacy

Version date: June 12, 2012
Page 1 of 8

(b)(5)





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Version date: June 12, 2012
Page 2 of 8

(b)(5)



² Counsel listed here must certify that appropriate authority exists to engage in particular operational activities involving social media.

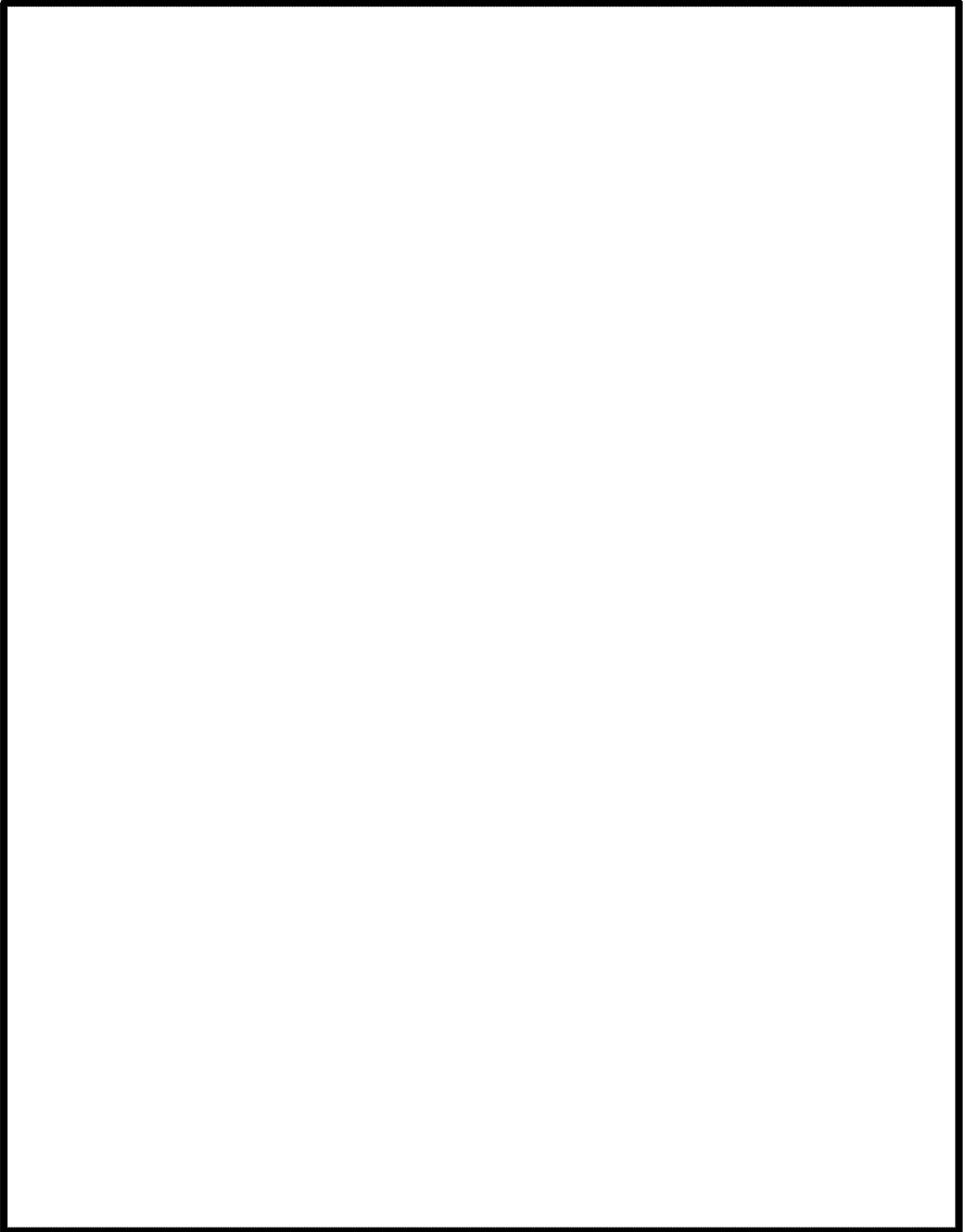


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Version date: June 12, 2012
Page 3 of 8

(b)(5)



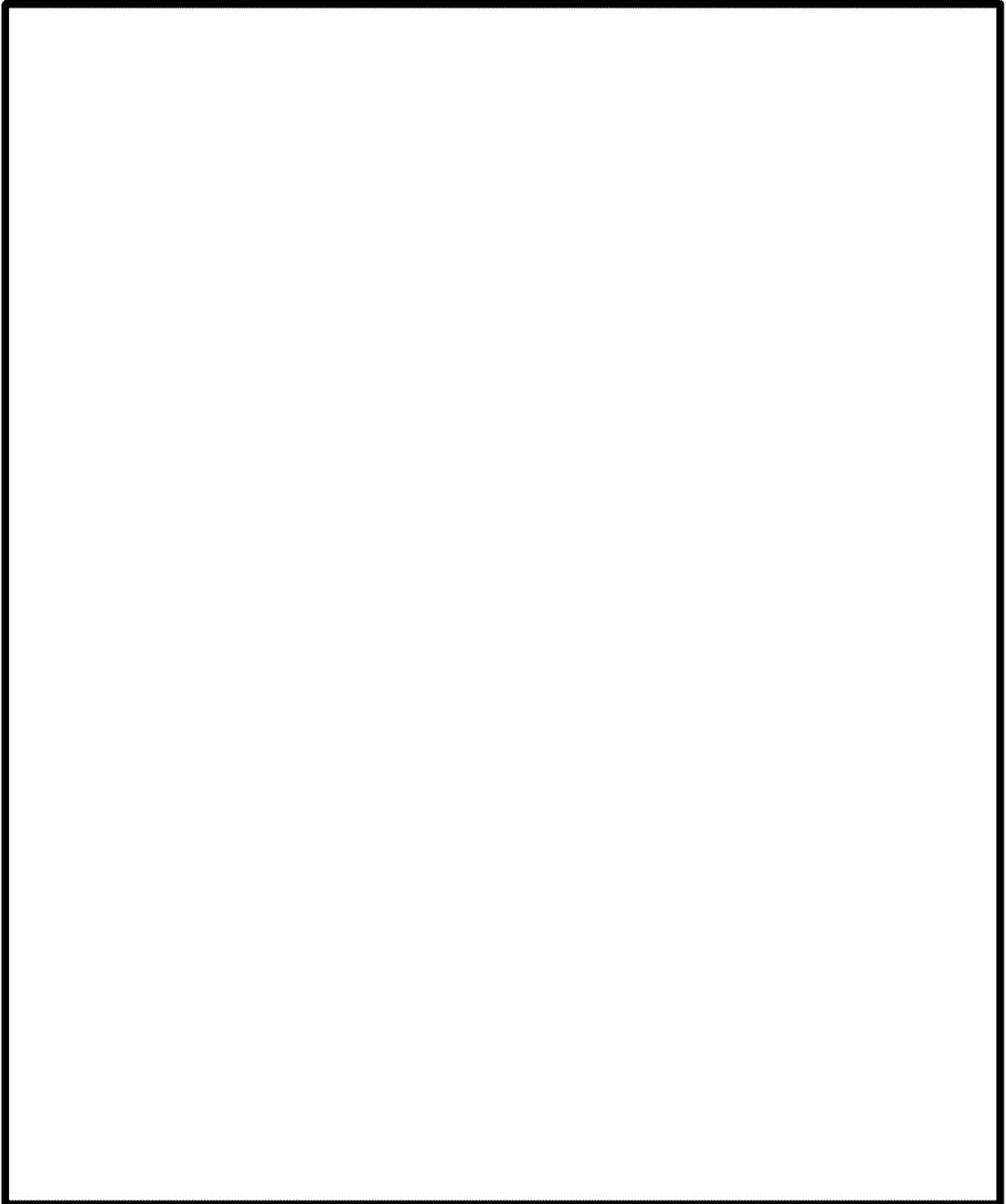


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Version date: June 12, 2012
Page 4 of 8

(b)(5)



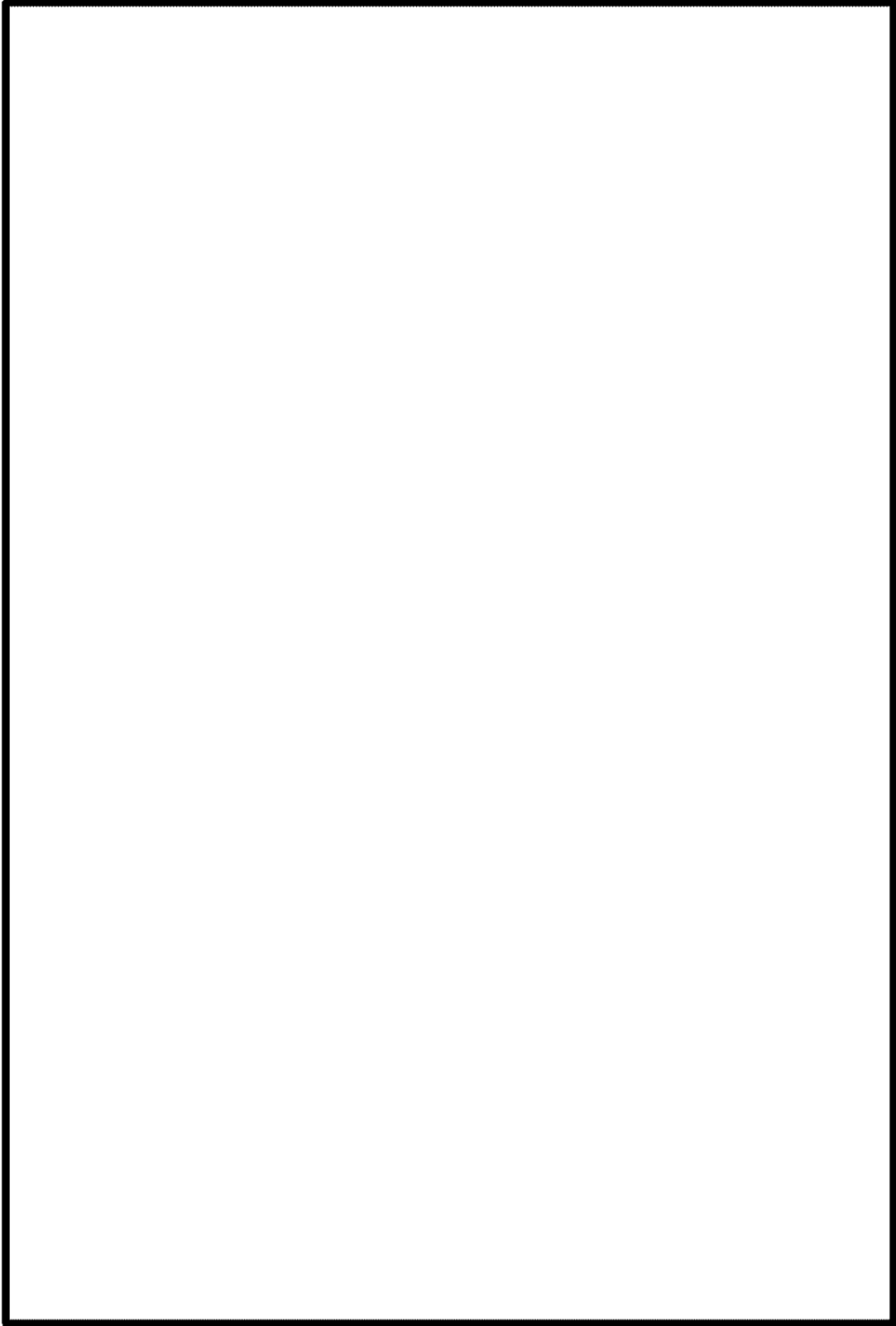


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Version date: June 12, 2012
Page 5 of 8

(b)(5)



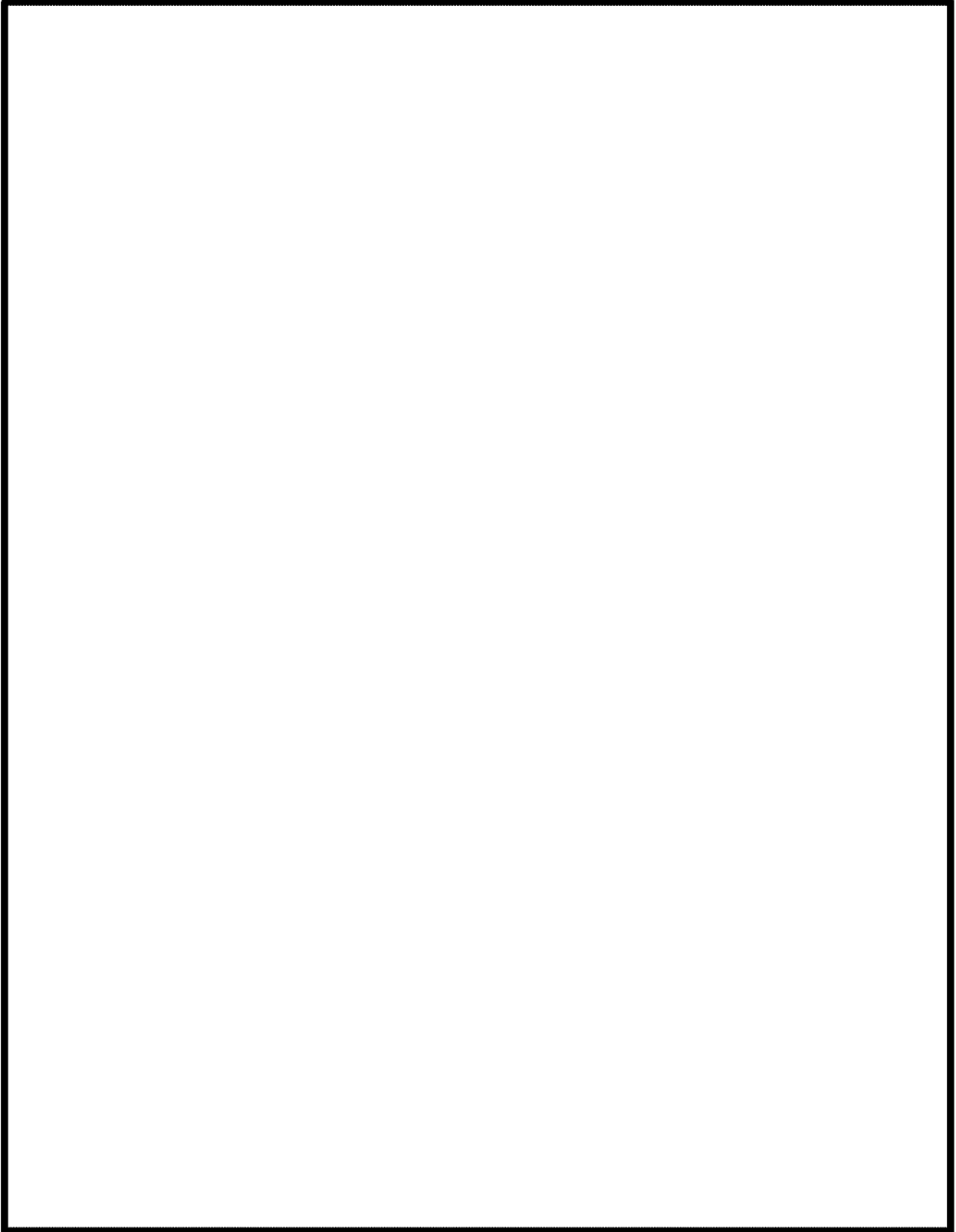


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Version date: June 12, 2012
Page 6 of 8

(b)(5)





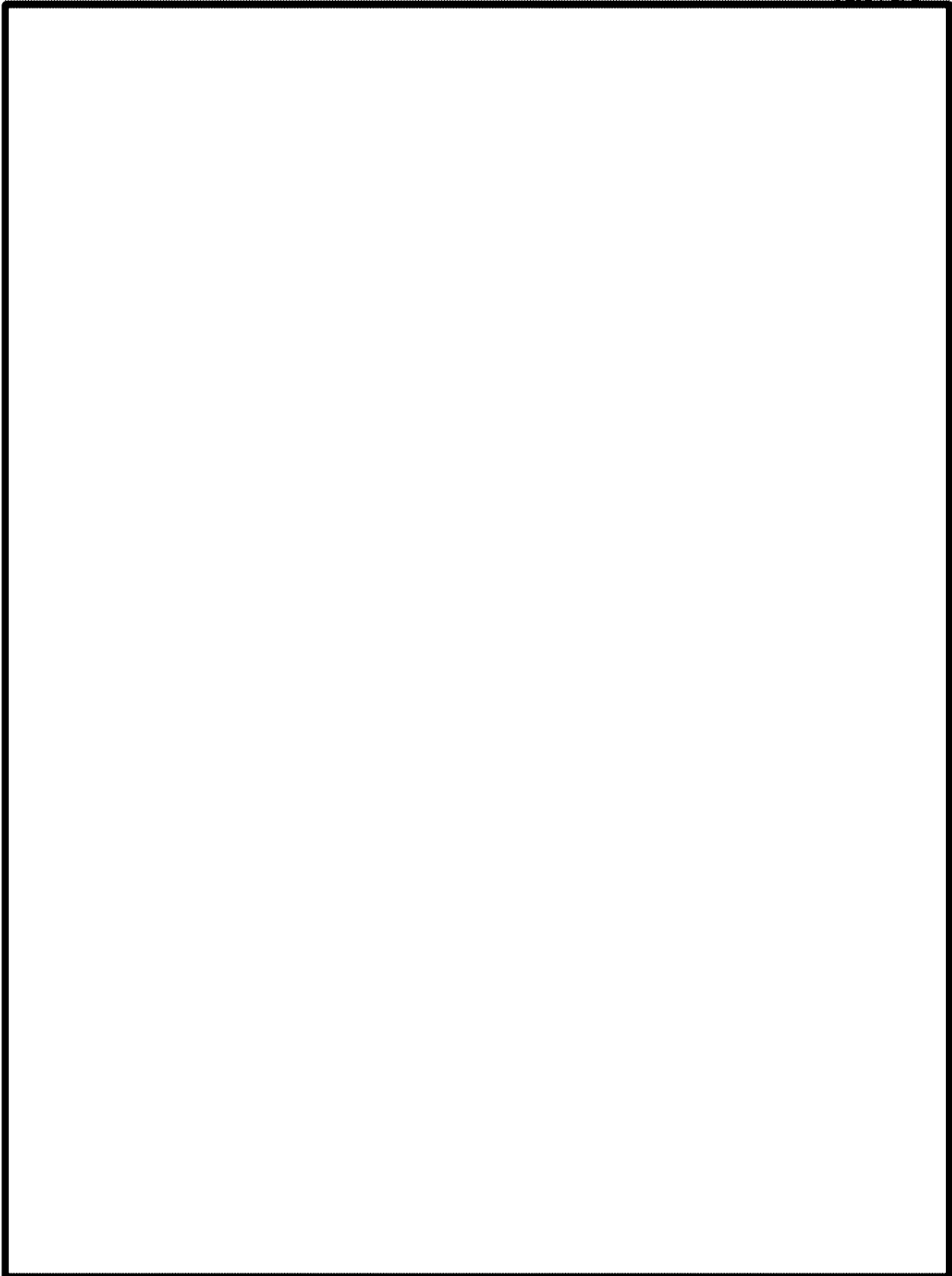
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Version date: June 12, 2012

Page 7 of 8

(b)(5)



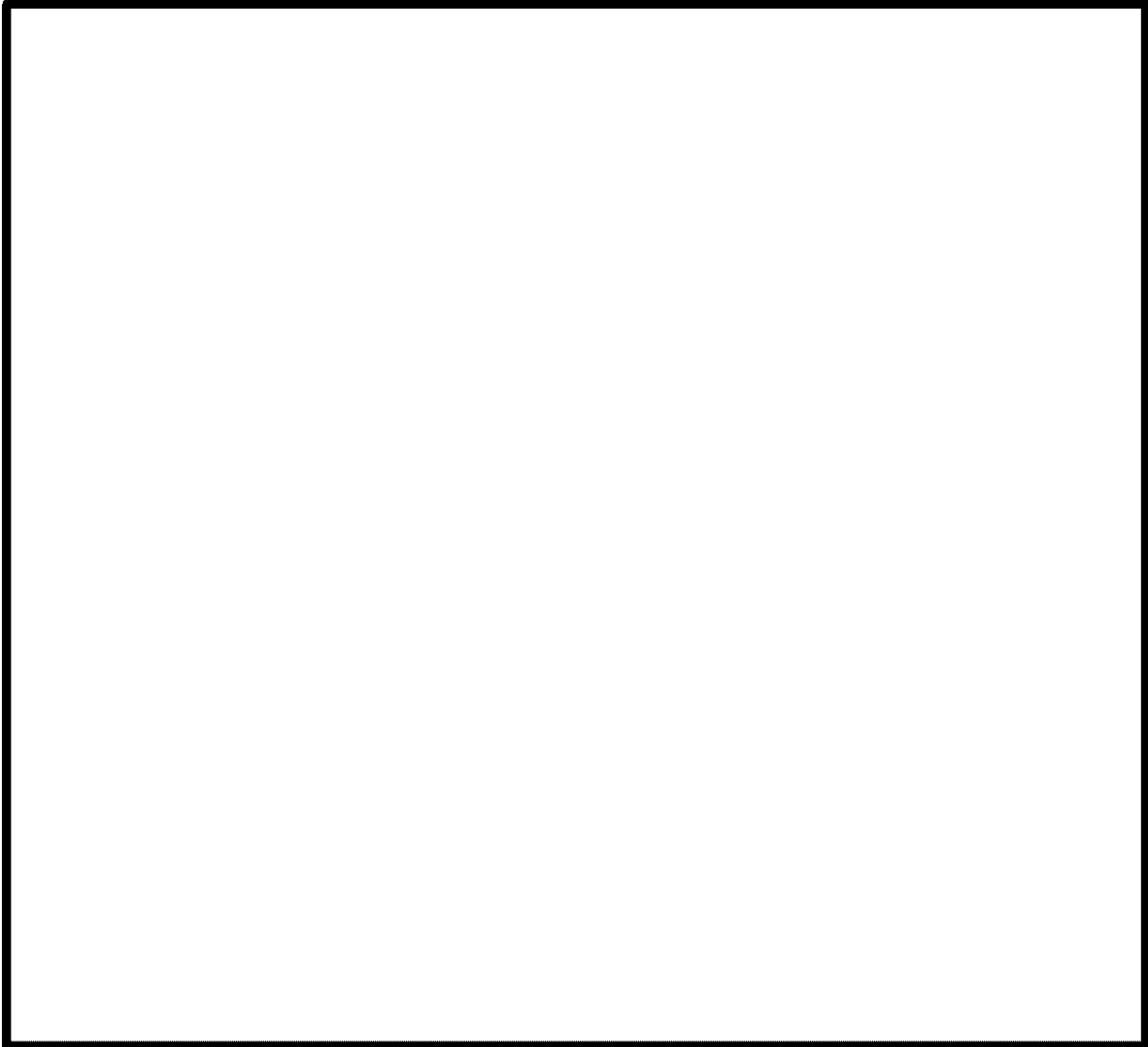


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Version date: June 12, 2012
Page 8 of 8

(b)(5)



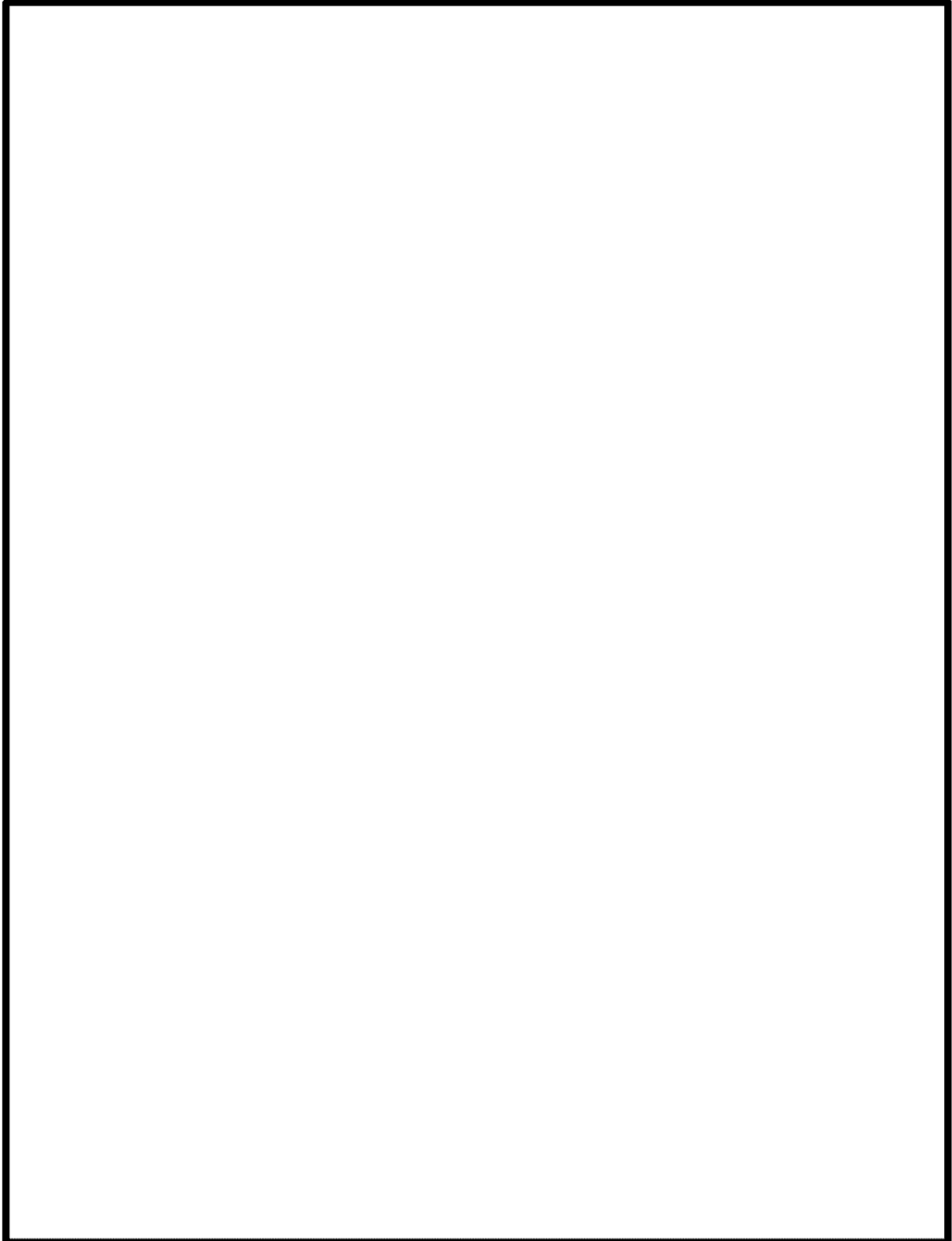


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Version date: June 12, 2012
Page 1 of 9

(b)(5)



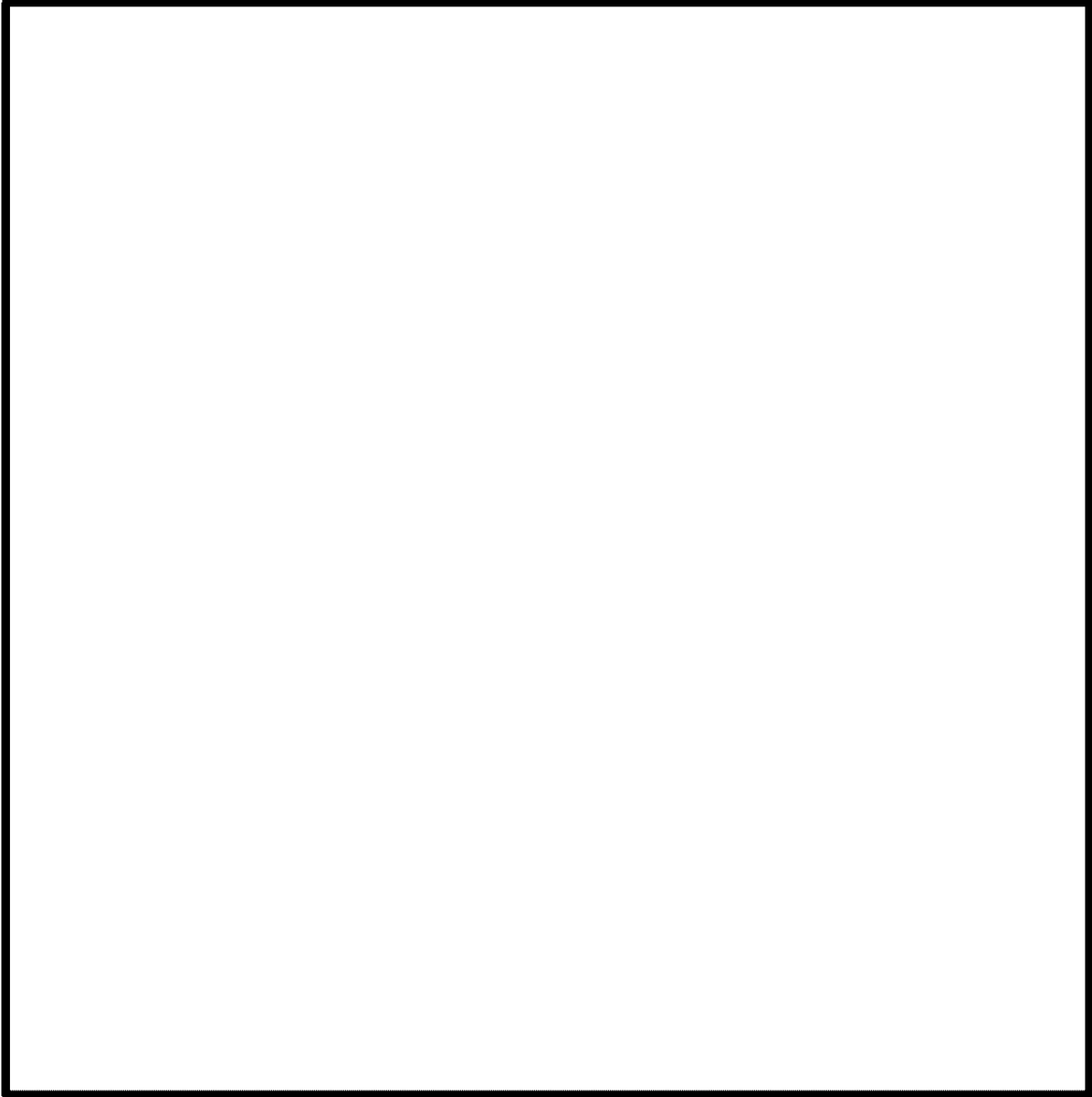


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Version date: June 12, 2012
Page 2 of 9

(b)(5)



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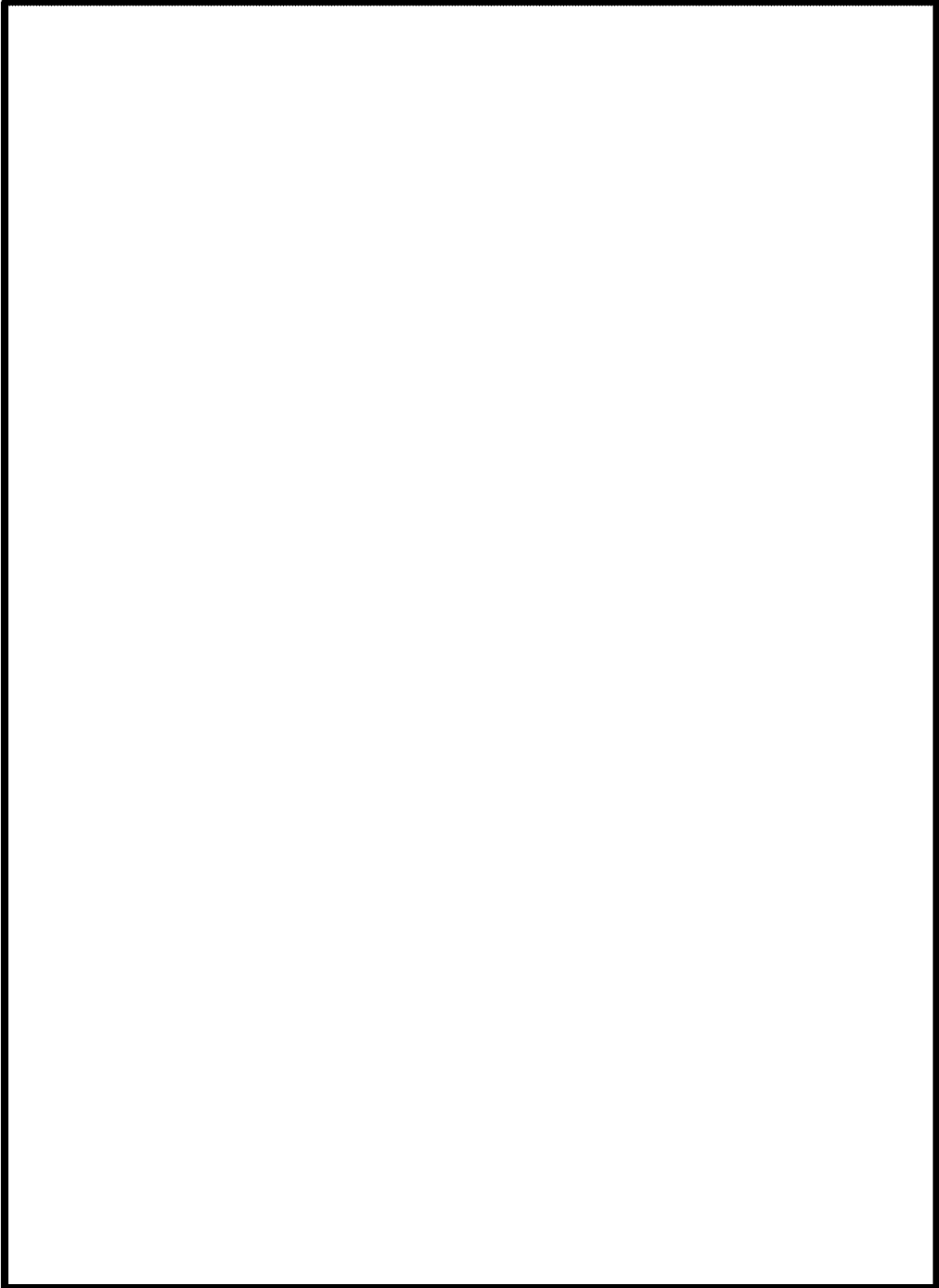


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Version date: June 12, 2012
Page 3 of 9

(b)(5)



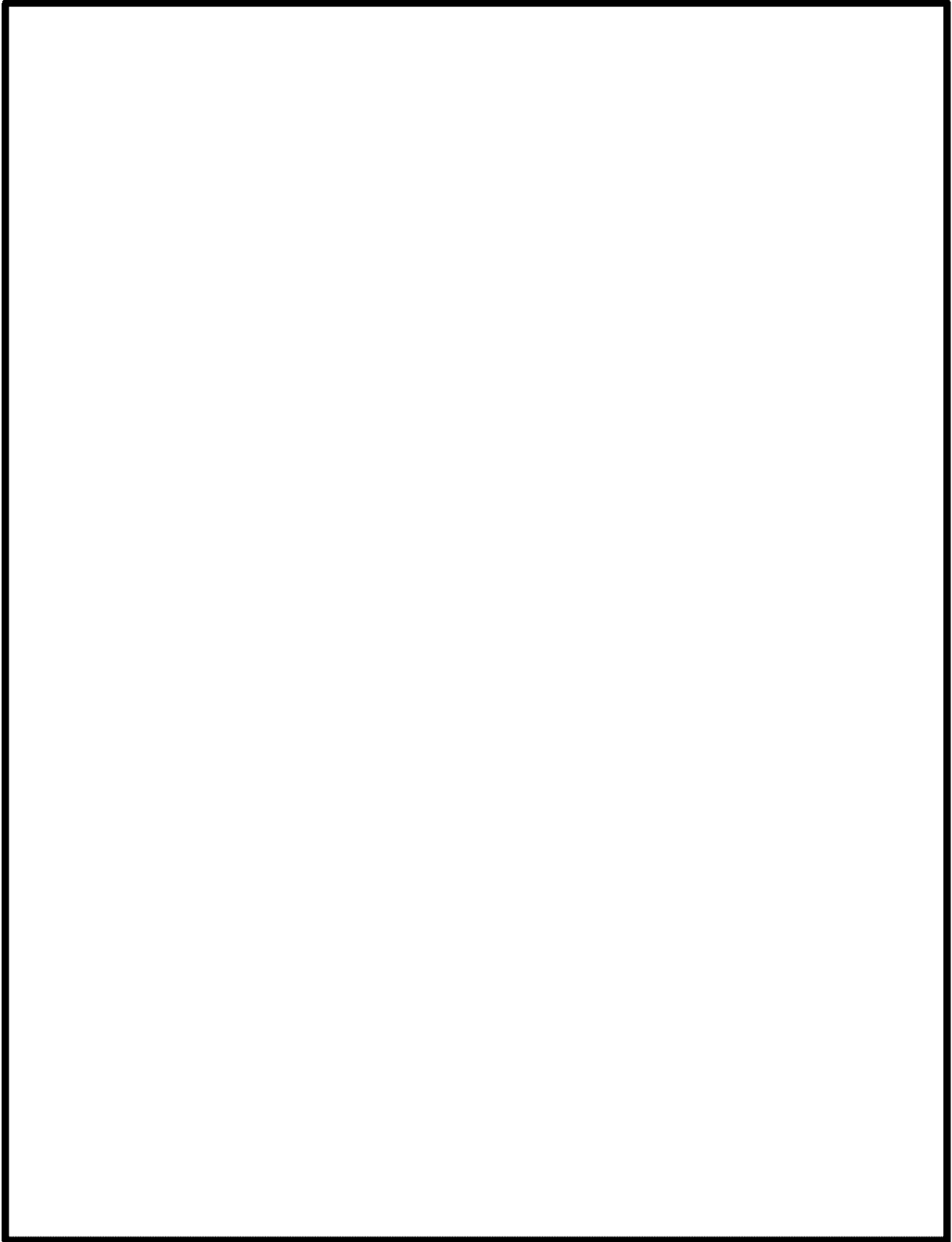


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Version date: June 12, 2012
Page 4 of 9

(b)(5)



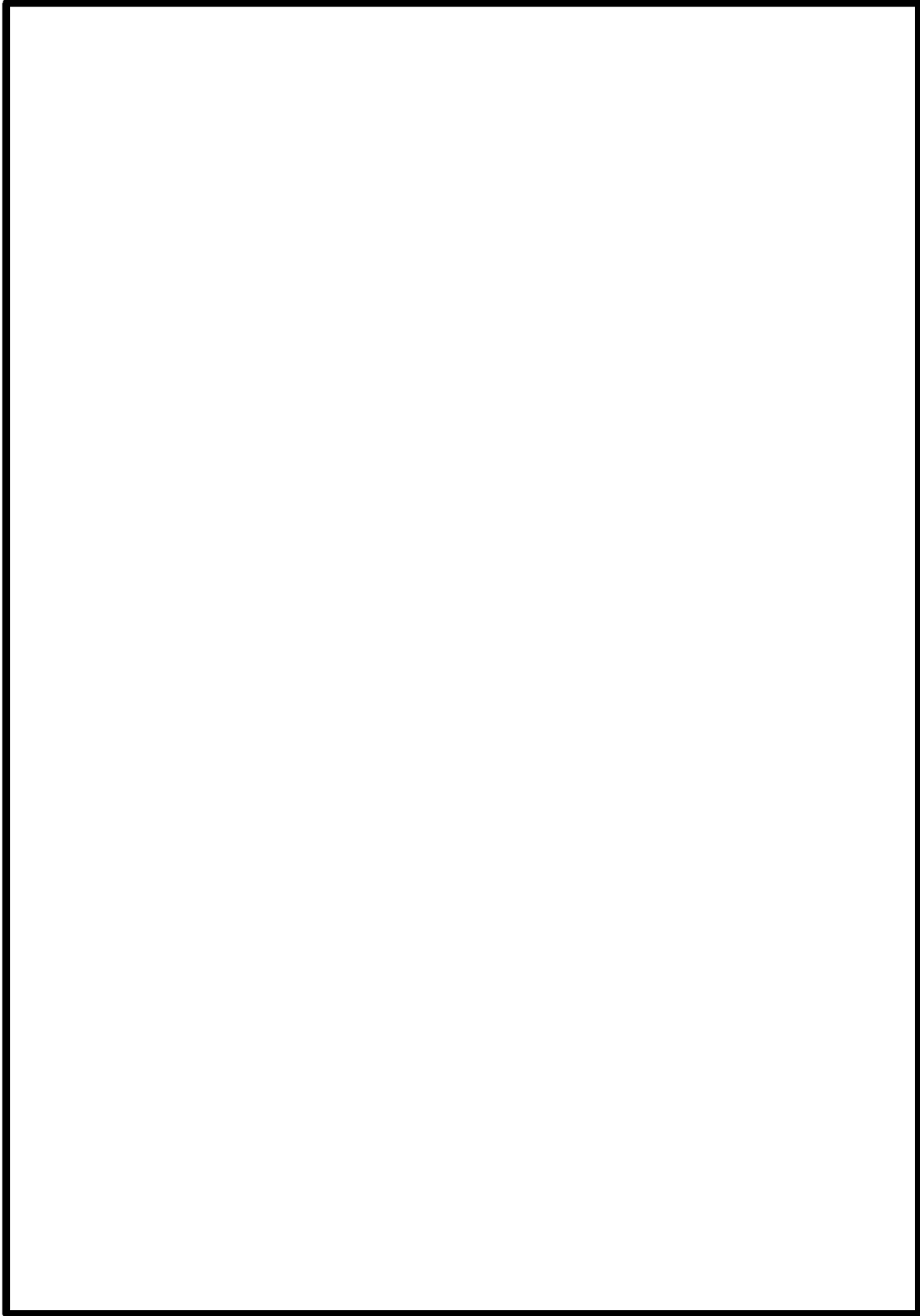


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Version date: June 12, 2012
Page 5 of 9

(b)(5)



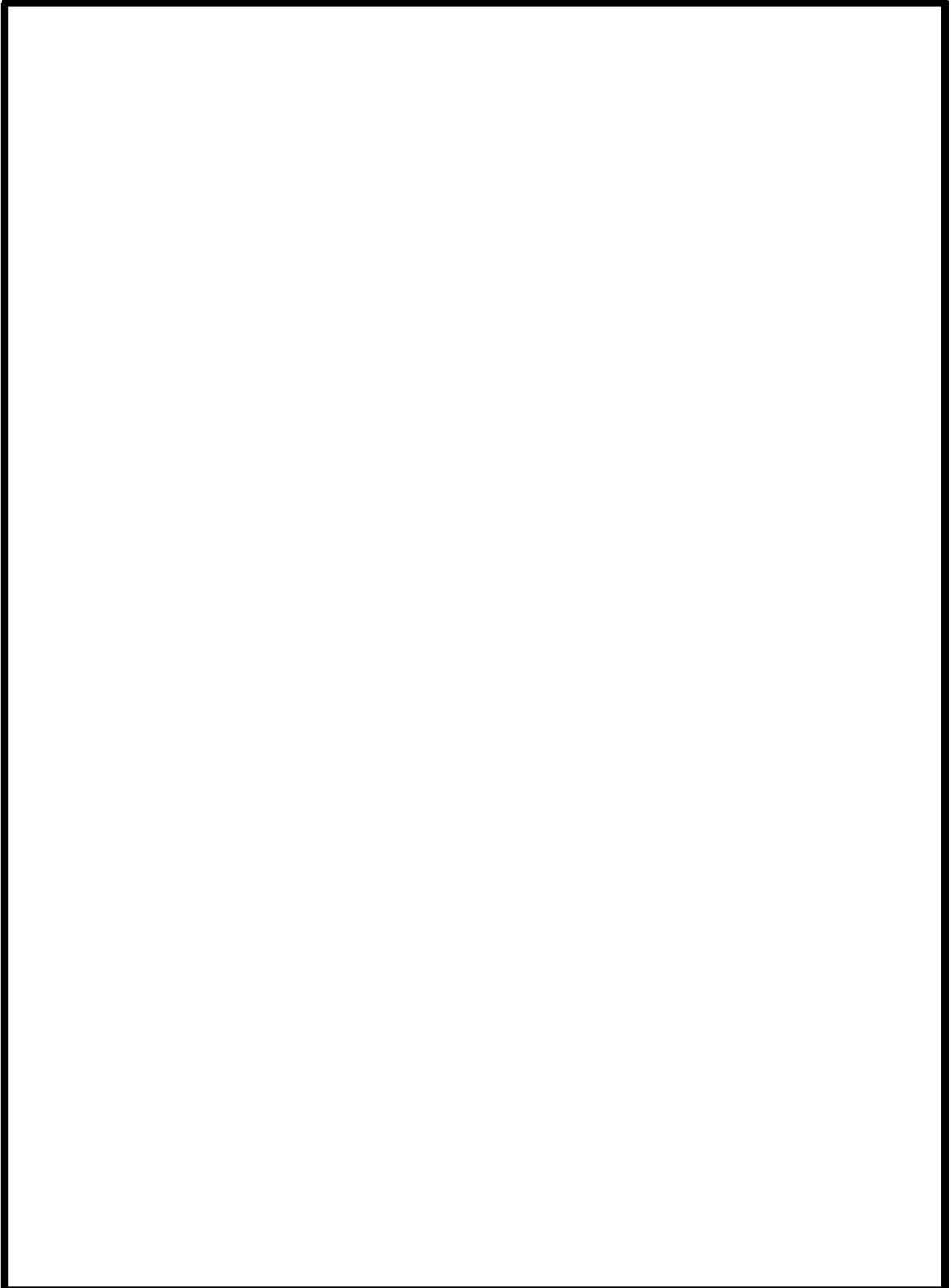


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Version date: June 12, 2012
Page 6 of 9

(b)(5)



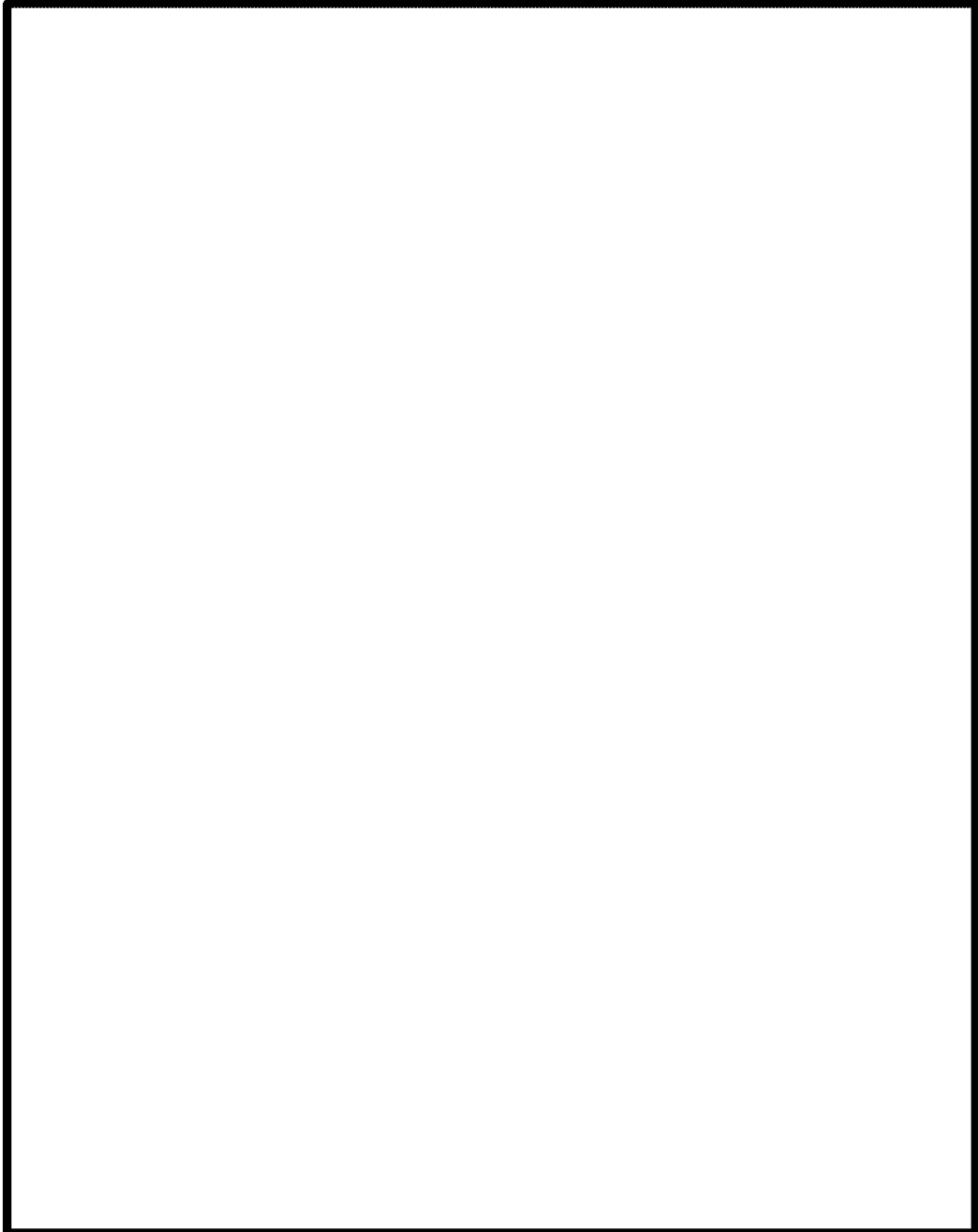


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Version date: June 12, 2012
Page 7 of 9

(b)(5)



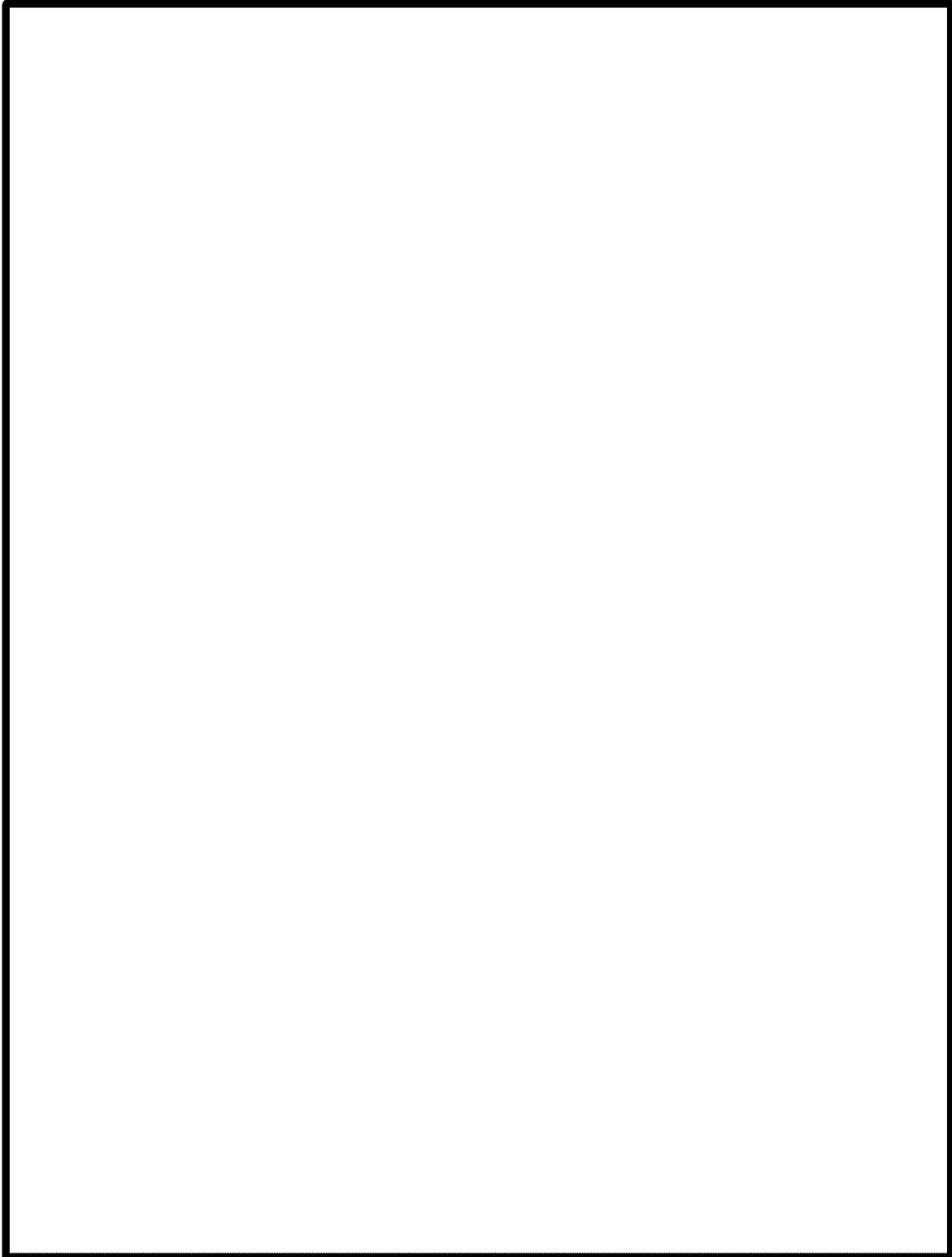


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Version date: June 12, 2012
Page 8 of 9



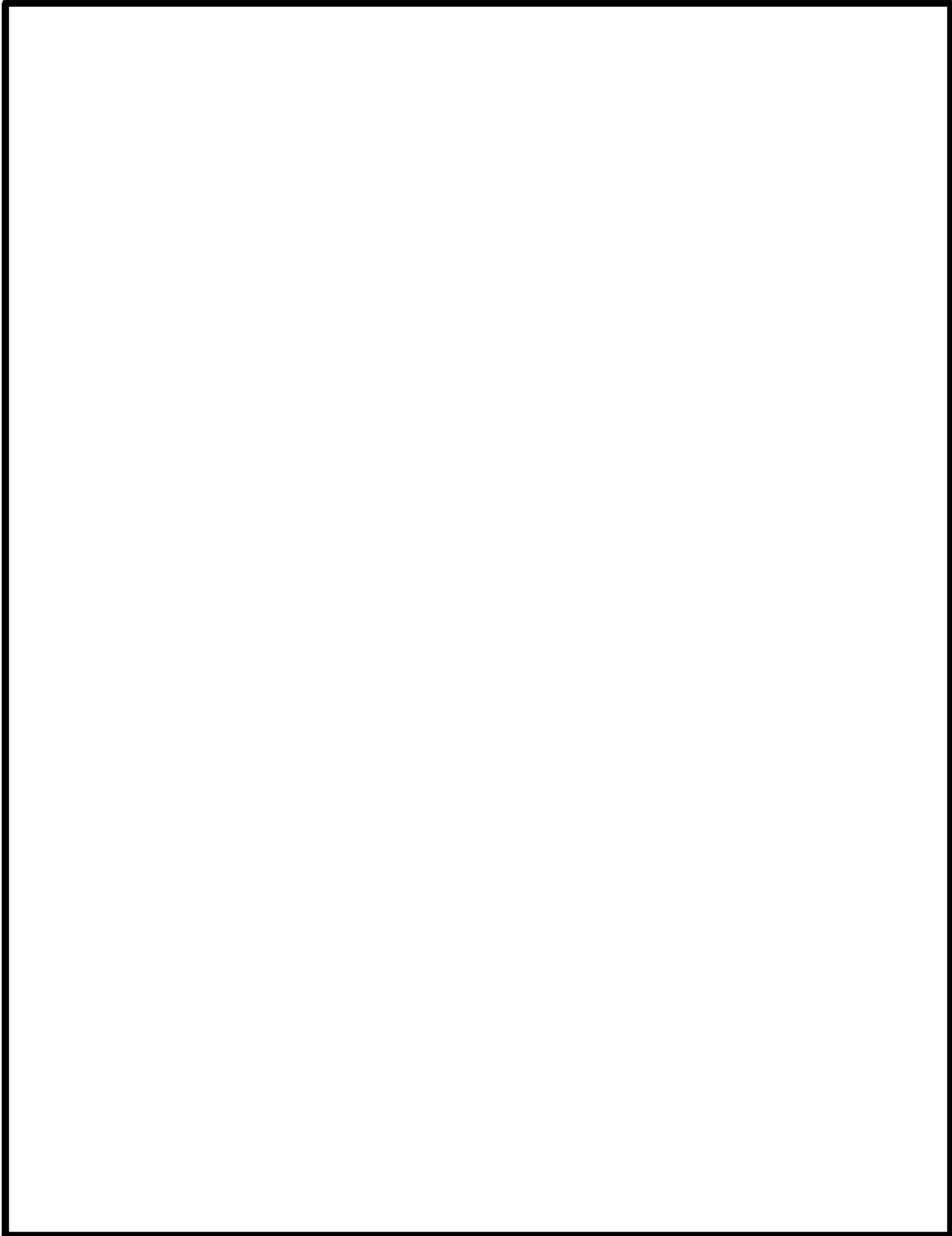


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(b)(5)

Version date: June 12, 2012
Page 1 of 8



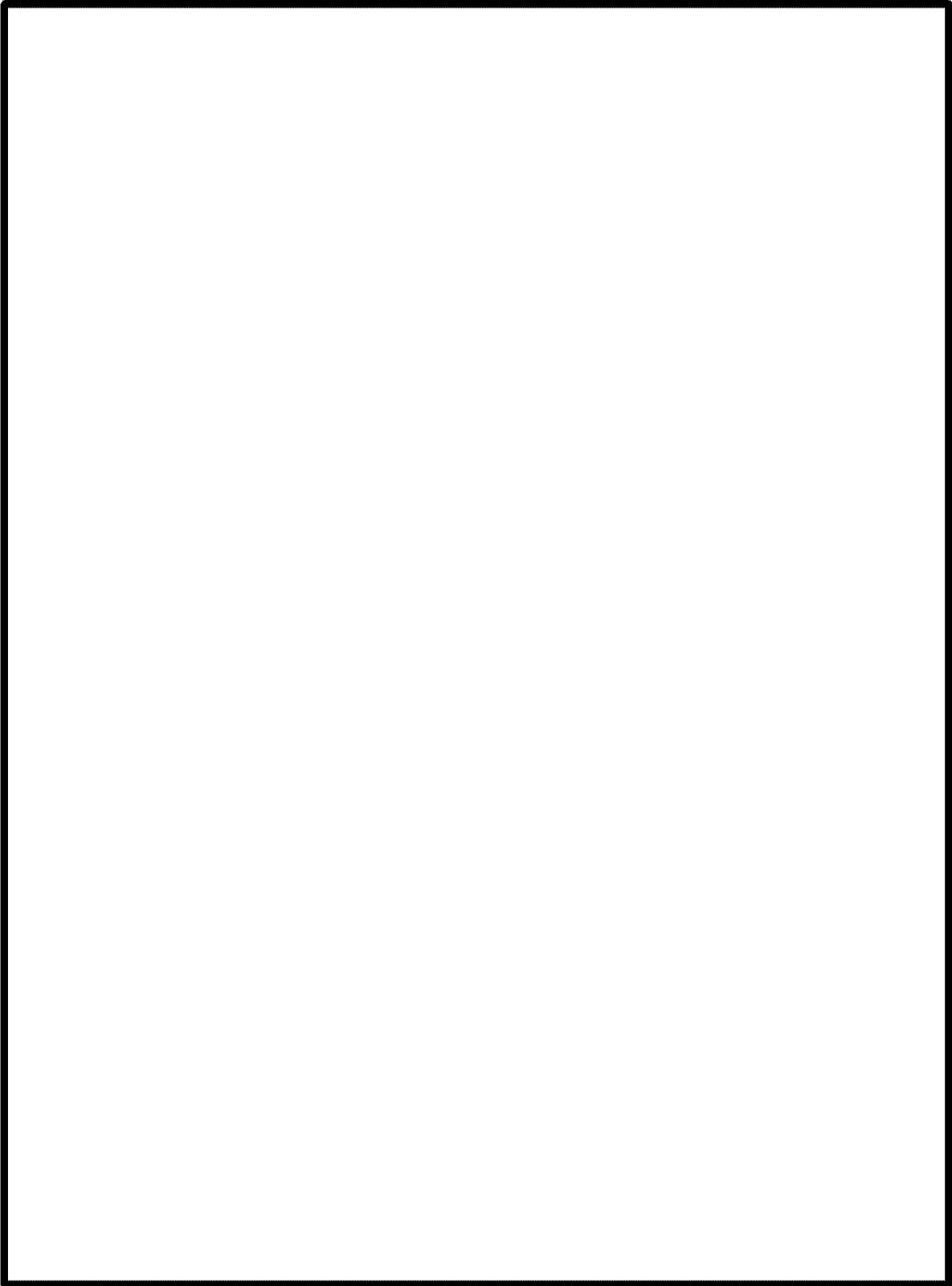


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Version date: June 12, 2012
Page 2 of 8

(b)(5)



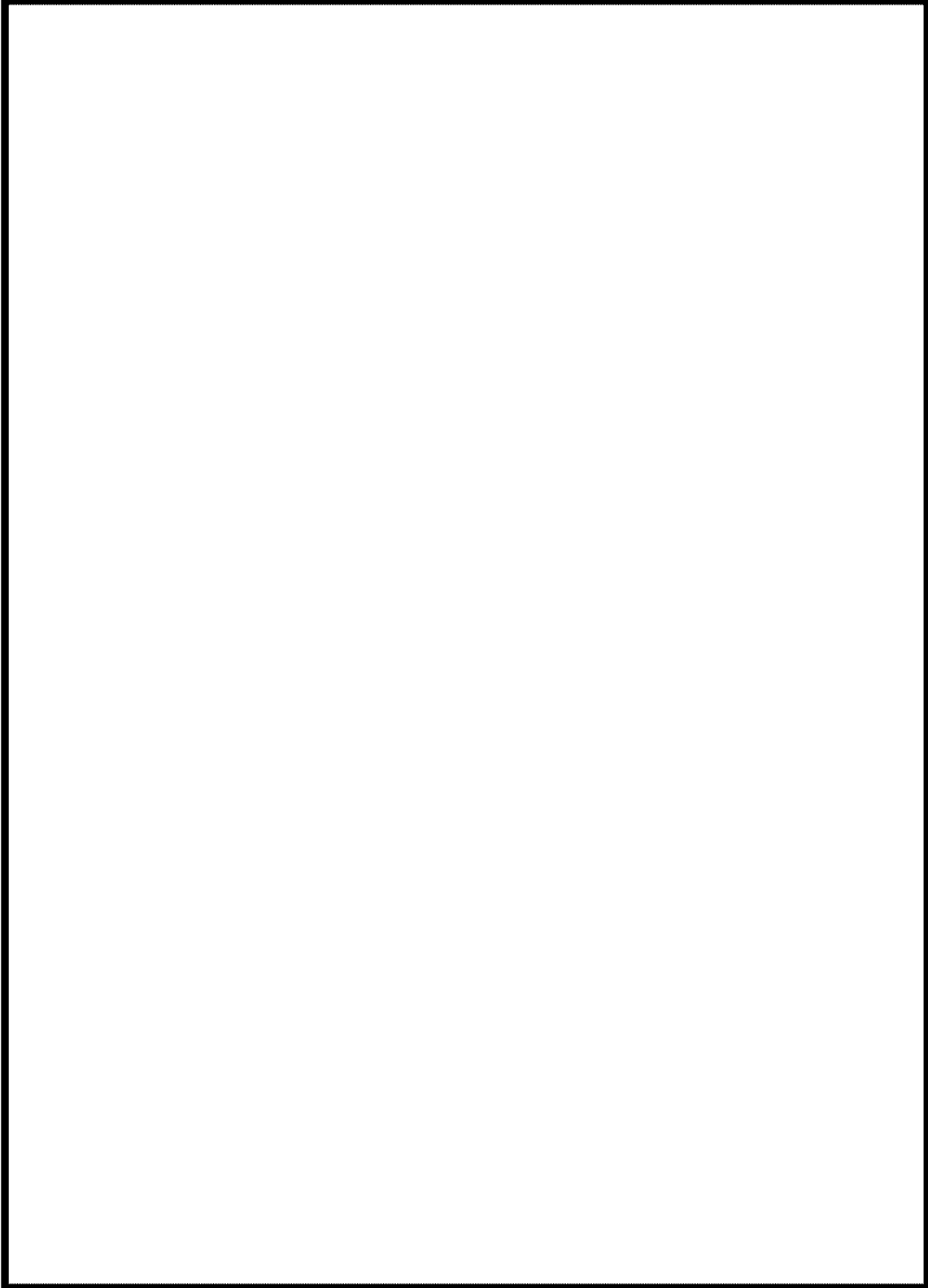


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Version date: June 12, 2012
Page 3 of 8

(b)(5)



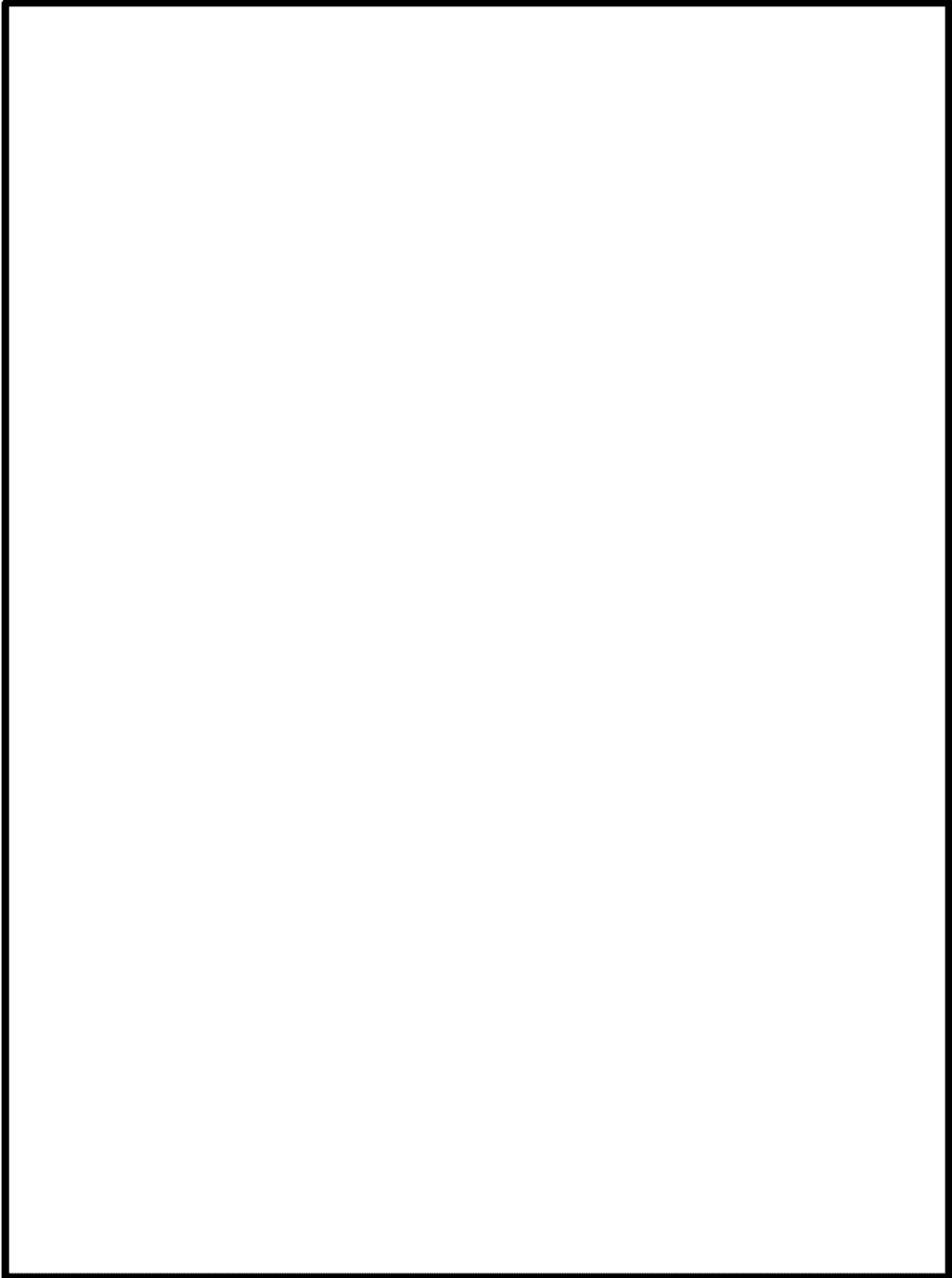


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Version date: June 12, 2012
Page 4 of 8





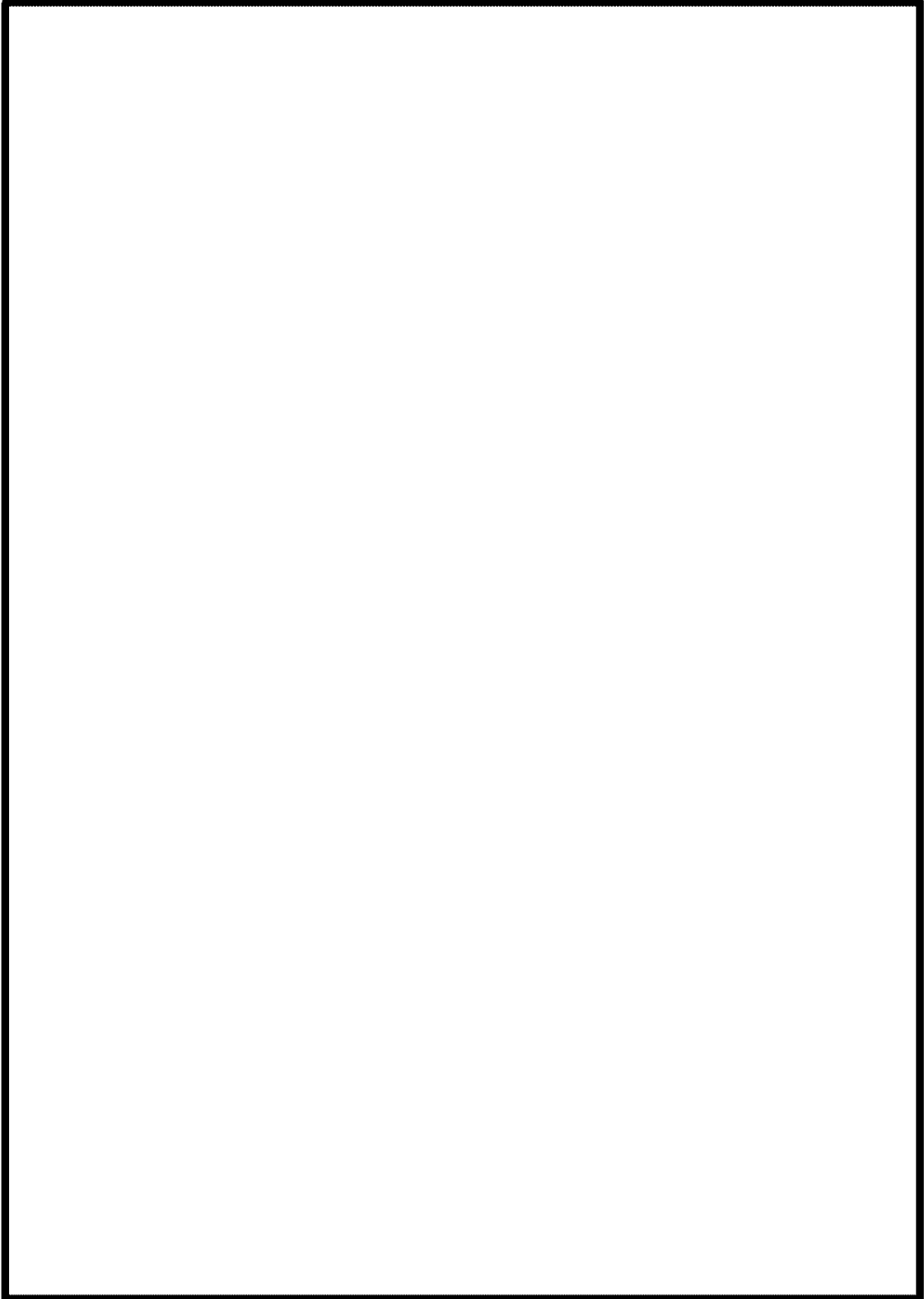
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Version date: June 12, 2012

Page 5 of 8

(b)(5)





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Version date: June 12, 2012

Page 6 of 8

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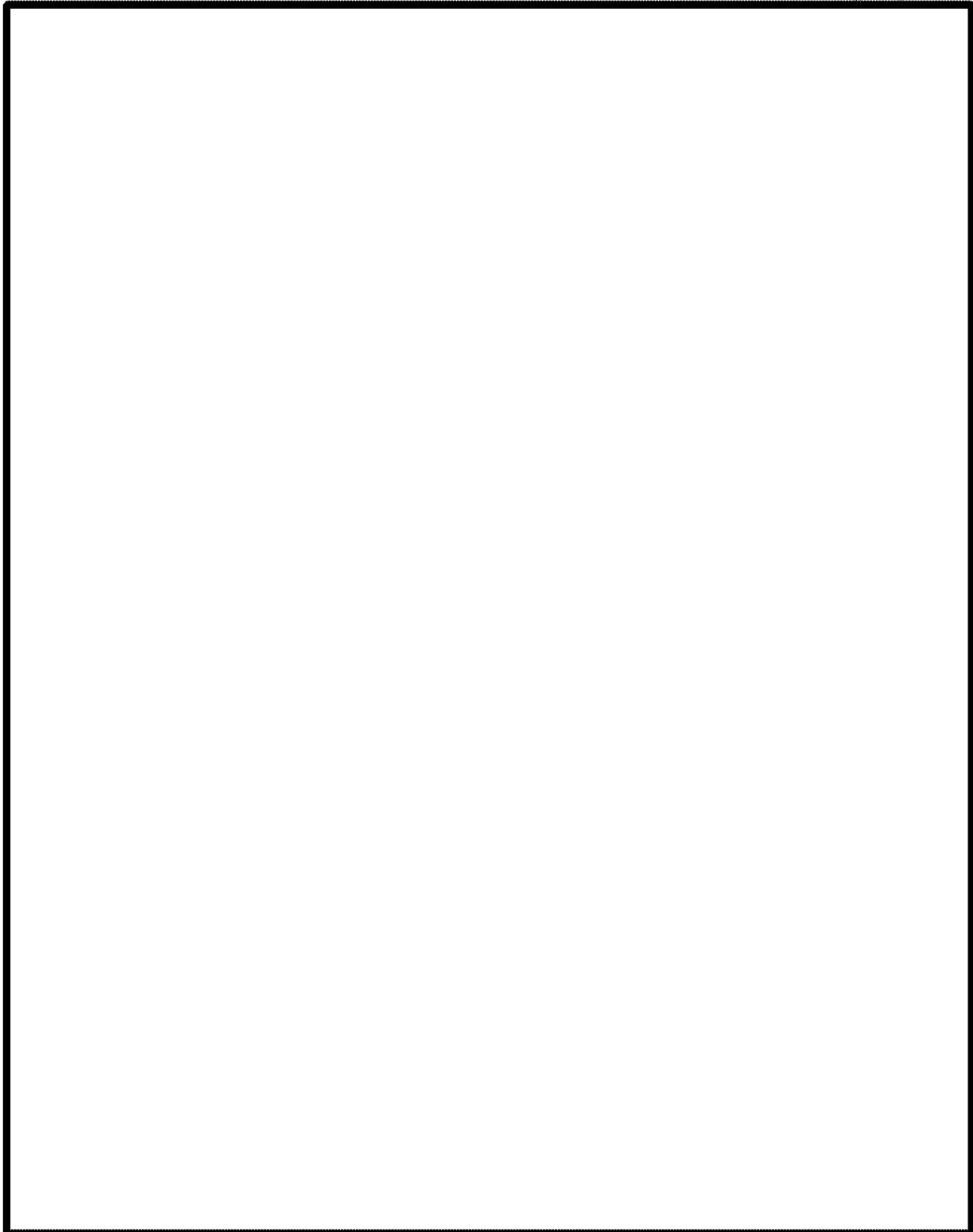


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Version date: June 12, 2012
Page 7 of 8

(b)(5)





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Page 8 of 8

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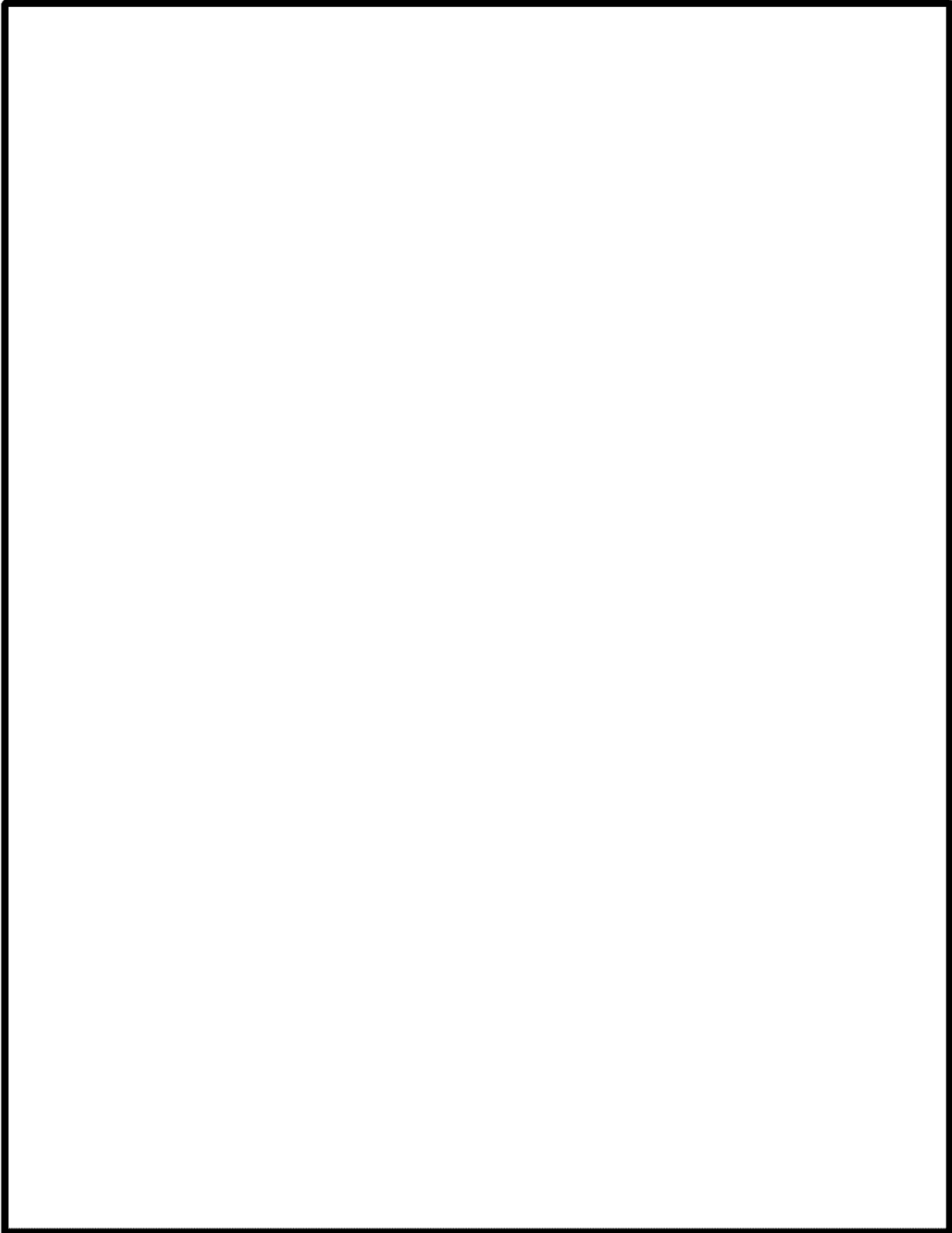


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Page 1 of 8

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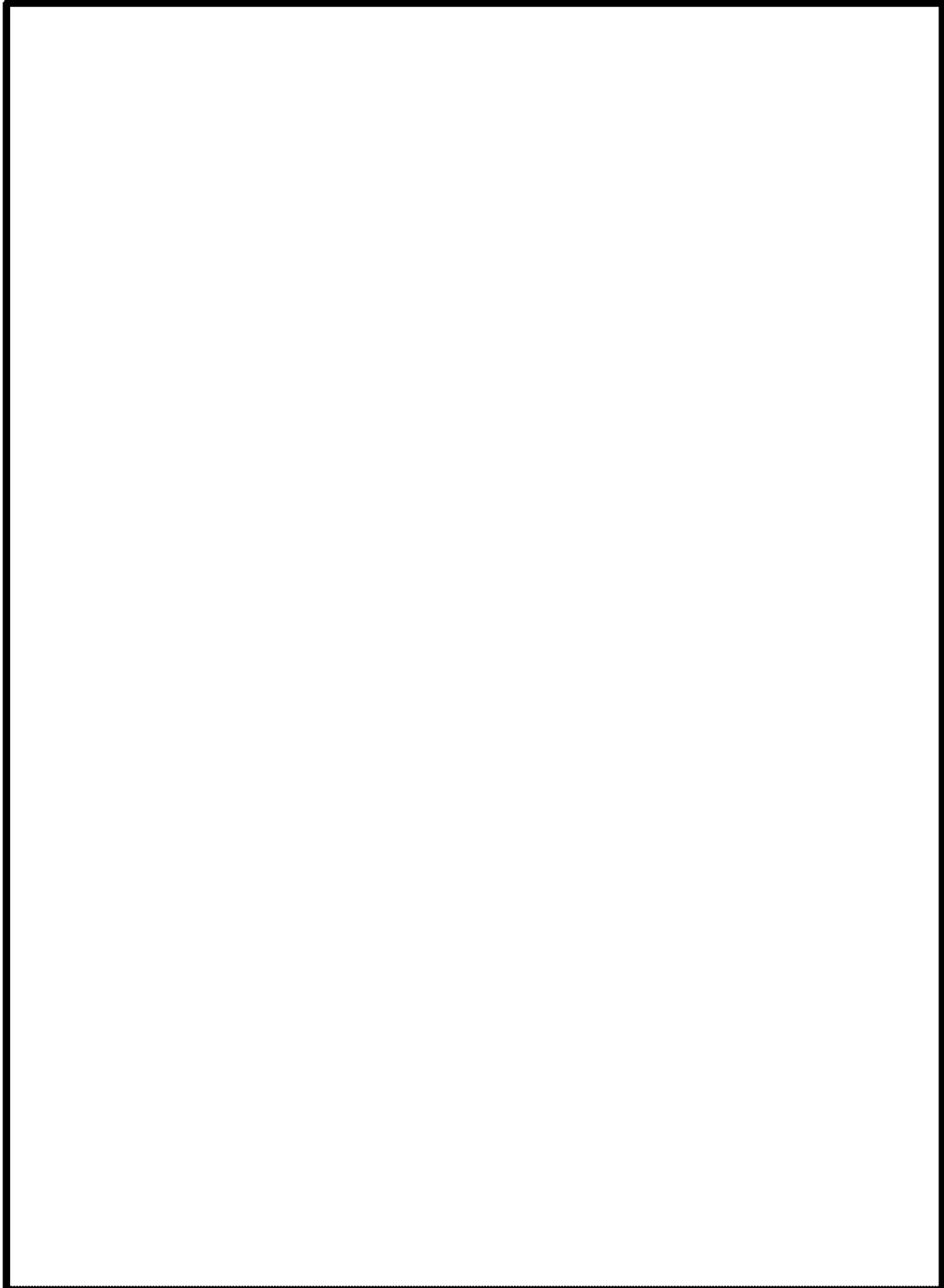


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Page 2 of 8



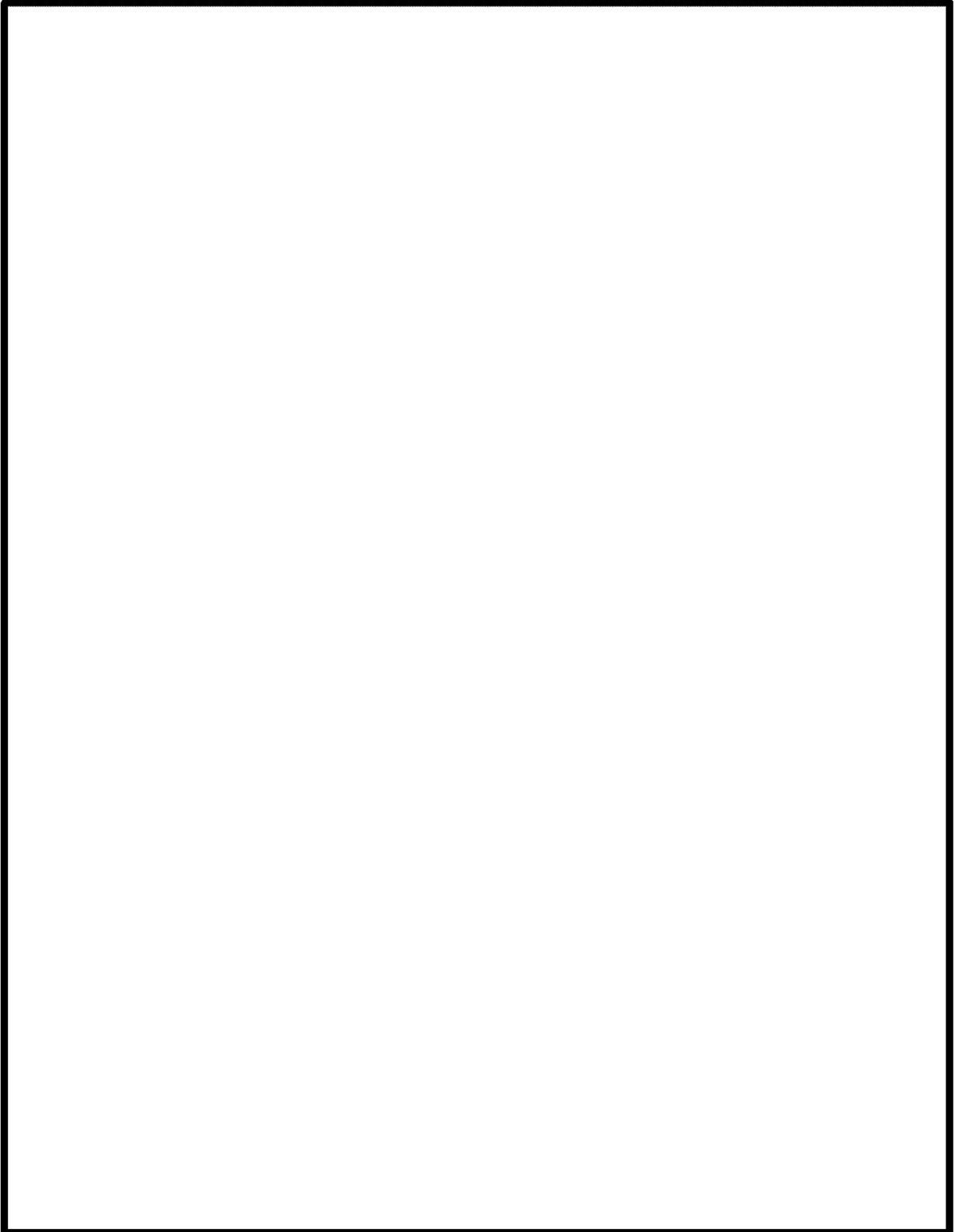


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Page 3 of 8

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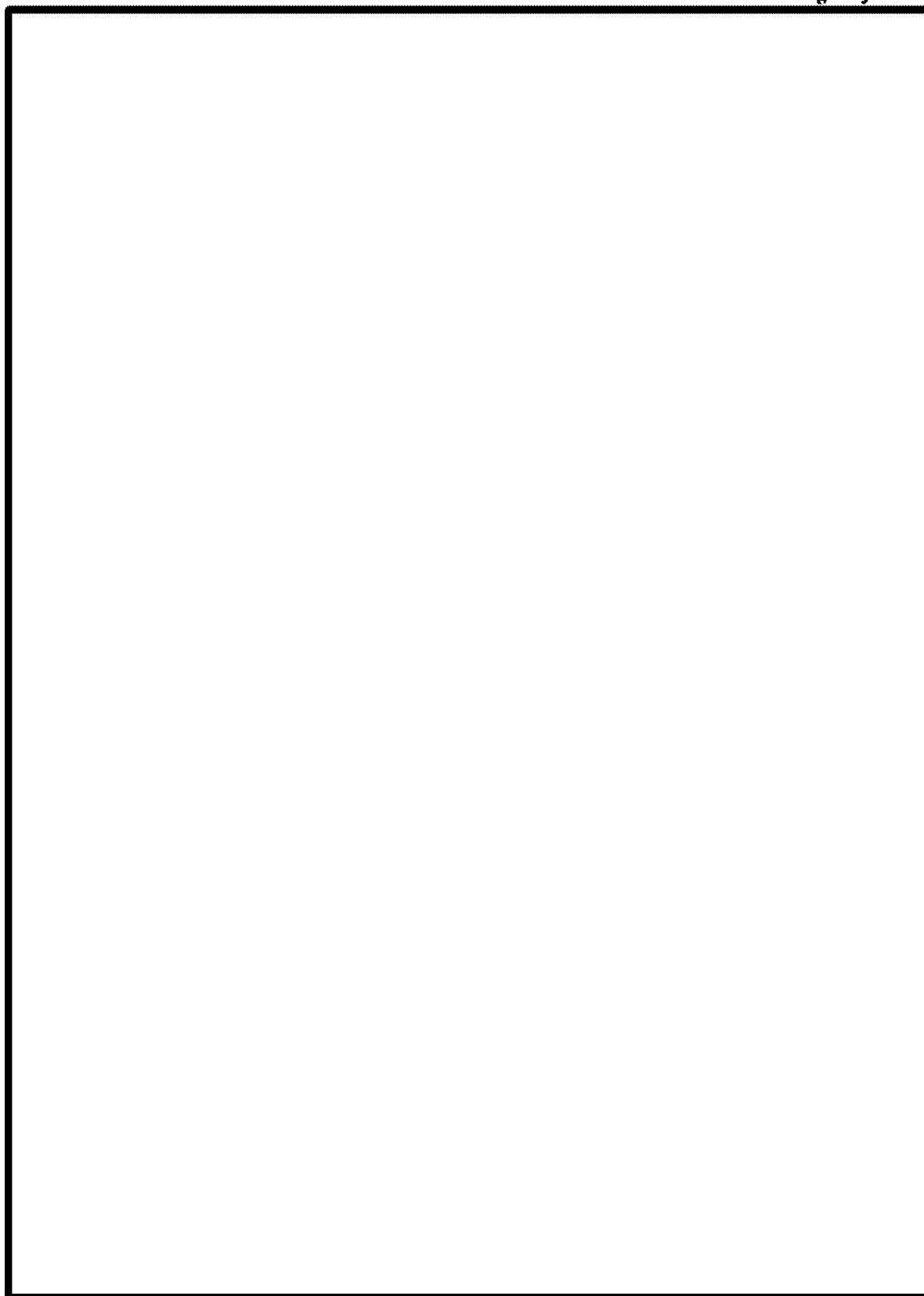


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Page 4 of 8



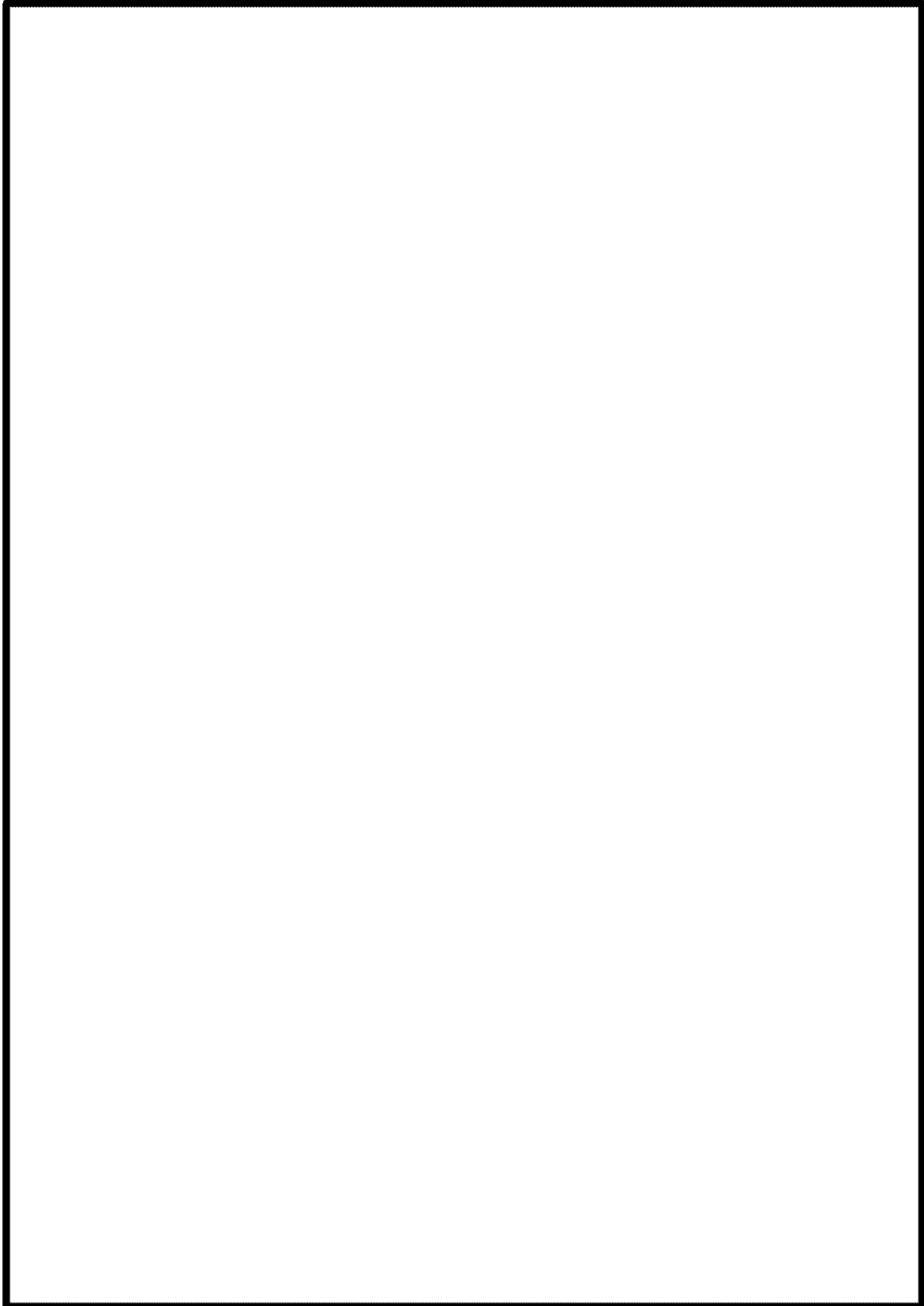


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Version date: June 12, 2012
Page 5 of 8





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Version date: June 12, 2012

Page 6 of 8





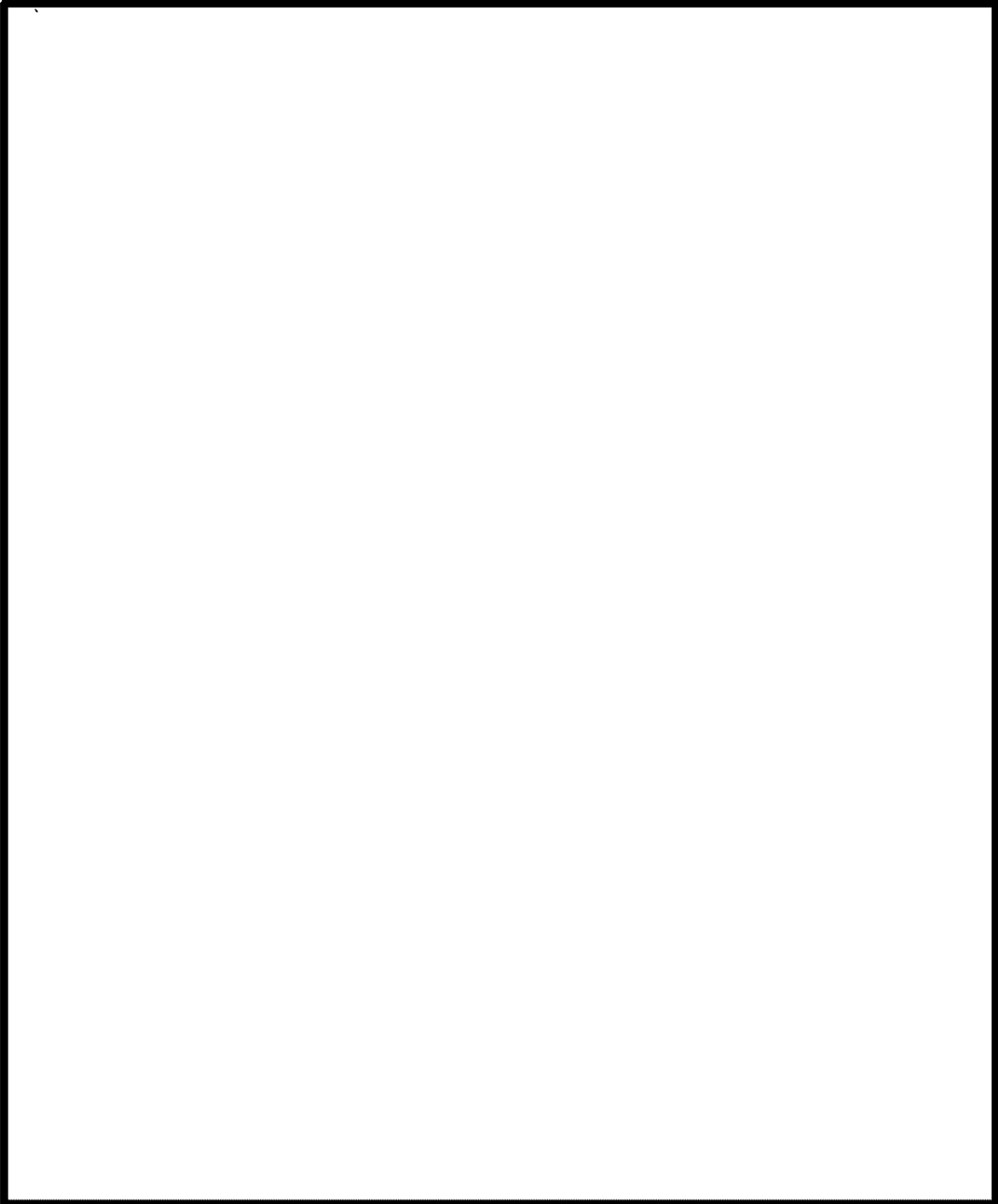
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Version date: June 12, 2012

Page 7 of 8

(b)(5)





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Version date: June 12, 2012
Page 8 of 8

(b)(5)



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TABLE 1—ANNUALIZED ESTIMATE OF RESPONDENT BURDEN

Type of respondent	Instrument	Number of respondents	Number of responses	Total number of responses	Hours per response	Total burden hours
TA requestor, e-communications recipient, colleague of previous requestor.	DTAC Customer Feedback Survey.	200	1	200	0.5	100

Written comments and recommendations concerning the proposed information collection should be sent by November 18, 2016 to the SAMHSA Desk Officer at the Office of Information and Regulatory Affairs, Office of Management and Budget (OMB). To ensure timely receipt of comments, and to avoid potential delays in OMB's receipt and processing of mail sent through the U.S. Postal Service, commenters are encouraged to submit their comments to OMB via email to: OIRA_Submission@omb.eop.gov. Although commenters are encouraged to send their comments via email, commenters may also fax their comments to: 202-395-7285. Commenters may also mail them to: Office of Management and Budget, Office of Information and Regulatory Affairs, New Executive Office Building, Room 10102, Washington, DC 20503.

Summer King,
Statistician.

[FR Doc. 2016-25310 Filed 10-18-16; 8:45 am]
BILLING CODE 4162-20-P

DEPARTMENT OF HOMELAND SECURITY

Office of the Secretary

[Docket No. DHS-2016-0043]

Privacy Act of 1974; Department of Homeland Security/United States Citizenship and Immigration Services-007 Benefit Information System, System of Records

AGENCY: Privacy Office, Department of Homeland Security.

ACTION: Notice of Privacy Act system of records.

SUMMARY: In accordance with the Privacy Act of 1974, the Department of Homeland Security (DHS) proposes to update and reissue a current DHS system of records titled, "DHS/United States Citizenship and Immigration Services (USCIS)-007 Benefit Information System" system of records. DHS/USCIS collects, uses, and maintains the Benefit Information System records to administer immigrant

or nonimmigrant benefit requests, "hereinafter collectively referred to as "benefit requests"" to process and adjudicate all benefit requests submitted for naturalization, lawful permanent residence, asylum, refugee status, and other immigrant and nonimmigrant benefits in accordance with U.S. immigration law. DHS/USCIS also uses the Benefit Information System to support national security by preventing individuals from fraudulently obtaining immigration benefits and by denying benefit requests submitted by individuals who pose national security or public safety threats. This system of records notice was previously published in the *Federal Register* on September 29, 2008, (73 FR 56596).

DHS/USCIS is updating this system of records to: (1) Update the system location to include international offices and replicated copies on unclassified and classified networks; (2) update the category of individuals to include interpreters, preparers, physicians, and sponsors; (3) expand the categories of records to clarify the data elements that USCIS collects from benefit requestors, beneficiaries, and family members', benefit sponsors; representatives; preparers and interpreters; and physicians; (4) separate routine use (N) into two separate routine uses (i.e., (N), (O)) to provide clarity on information sharing with federal, state, tribal, or local government agencies and foreign government agencies for the repayment of loans; (5) update routine uses (W), (X), (Y), and (Z) to permit the sharing of information pursuant to a Computer Matching Agreement or other agreement, with the Department of Labor, with the public during the course of naturalization ceremonies, and with the Department of Treasury, respectively; (6) update retention schedules for each record type; (7) expand data elements used to retrieve records from the elements listed or a combination thereof; (8) update sources of records to include interpreters, preparers, and physicians; and (9) expand the system classification to provide notice that Benefit Information System records may be stored on both DHS unclassified and classified networks to allow for analysis and

vetting consistent with existing DHS/USCIS authorities and purposes and this published notice. Additionally, this notice includes non-substantive changes to simplify the formatting and text of the previously published notice.

This updated system will be included in the Department of Homeland Security's inventory of record systems.

DATES: Submit comments on or before November 17, 2016. This updated system will be effective November 17, 2016.

ADDRESSES: You may submit comments, identified by docket number DHS-2016-0043 by one of the following methods:

- *Federal e-Rulemaking Portal:* <http://www.regulations.gov>. Follow the instructions for submitting comments.
- *Fax:* 202-343-4010.
- *Mail:* Jonathan R. Cantor, Acting Chief Privacy Officer, Privacy Office, Department of Homeland Security, Washington, DC 20528.

INSTRUCTIONS: All submissions received must include the agency name and docket number for this rulemaking. All comments received will be posted without change to <http://www.regulations.gov>, including any personal information provided.

DOCKET: For access to the docket to read background documents or comments received, please visit <http://www.regulations.gov>.

FOR FURTHER INFORMATION CONTACT: For general questions, please contact: Donald K. Hawkins, (202) 272-8000, Privacy Officer, U.S. Citizenship and Immigration Services, 20 Massachusetts Avenue NW., Washington, DC 20529. For privacy questions, please contact: Jonathan R. Cantor, (202) 343-1717, Acting Chief Privacy Officer, Privacy Office, Department of Homeland Security, Washington, DC 20528.

SUPPLEMENTARY INFORMATION:

I. Background

In accordance with the Privacy Act of 1974, 5 U.S.C. 552a, the Department of Homeland Security (DHS) United States Citizenship and Immigration Services (USCIS) proposes to update and reissue a current DHS system of records titled,

"DHS/USCIS-007 Benefit Information System" system of records.

DHS/USCIS oversees lawful immigration and non-immigration to the United States and is responsible for the administration of immigration, non-immigration, and naturalization adjudication functions and for establishing immigration policies and priorities. In executing its mission, DHS/USCIS performs functions that include the intake, review, and adjudication of the following types of benefits:

- (1) Family-Based;¹
- (2) Employment-Based;²
- (3) Humanitarian-Based;³
- (4) Adoption-Based;⁴ and
- (5) Citizenship and Naturalization-Based.⁵

The Benefits Information System SORN covers the processing of immigrant and nonimmigrant benefit requests and does not cover requests for asylum and refugee status. The Benefits Information System includes: Information provided by or on behalf of individuals who submit immigrant and nonimmigrant benefit requests; background check results collected as part of the USCIS-initiated background check process; and transactional data that indicates which steps of the adjudication process have been completed, such as an appointment to submit biometrics for a background check, other pending benefits, whether the benefit requestor may have engaged in fraudulent activity, or activities that adversely impact the national security or public safety of the United States that could bear on fitness or eligibility for the requested benefits.

Records covered by this Benefit Information System (BIS) SORN differ

from records covered by the Alien File (A-File), Index, and National File Tracking SORN (see DHS/USCIS/ICE/CBP-001 Alien File, Index, and National File Tracking System of Records, November 21, 2013, 78 FR 69864). The A-File is the official record regarding the transactions of an individual as he or she passes through the U.S. immigration and inspection process. The A-File contains information relating to immigration benefits processing, protection of national security, and administering and enforcing immigration and nationality laws and related statutes. While USCIS is the custodian of the A-File, the three former Immigration and Naturalization Service (INS) agencies: USCIS, U.S. Customs and Border Protection (CBP), and U.S. Immigrations and Customs Enforcement (ICE), all contribute information to and use A-Files. The A-File SORN covers the paper and electronic copy A-File and/or Receipt File, supplemental forms, supplemental evidence, and identity history summaries (formally known as RAP sheets), but does not include all case processing and decisional data. The BIS SORN is specific to USCIS' collection, use, maintenance, dissemination, and storage of benefit request information, including case processing and decisional data not included in the A-file. USCIS records case processing information such as date USCIS received or filed benefit requests; benefit request status; location of record; other control number when applicable; fee receipt data; status of USCIS appointments and interviews; date of issuance of a notice; and whether the benefit request form was referred to the Fraud Detection and National Security Directorate for review. Decisional data such as approval/denial code is also stored in the BIS SORN.

USCIS is updating this system of records to (1) update system location to include international offices; (2) update category of individuals covered by this SORN, to include interpreters, preparers, and physicians, and sponsors; (3) expand the categories of records to clarify the data elements that USCIS collects from benefit requestors, beneficiaries, and family members; benefit sponsors; representatives; preparers and interpreters; and physicians; (4) separate routine use (N) has been separated into two separate routine uses (i.e., (N), (O)) to provide clarity on information sharing of information with federal, state, tribal, or local government agencies and foreign government agencies for the, respectively, in collecting the

repayment of loans; later routine uses are being re-lettered for formatting; (5) update routine uses (W), (X), (Y), and (Z) to permit the sharing of information pursuant to a Computer Matching Agreement or other agreement, with the Department of Labor, with the public during the course of naturalization ceremonies, and with the Department of Treasury, respectively; (6) update retention schedules for each record type; (7) expand data elements used to retrieve records from the elements listed or a combination thereof; (8) update sources of records to include interpreters, preparers, and physicians; (9) expand the system classification to provide notice that Benefit Information System records may be stored on both DHS unclassified and classified networks to allow for analysis and vetting consistent with existing DHS/USCIS authorities and purposes and this published notice. Furthermore, this notice includes non-substantive changes to simplify the formatting and text of the previously published notice.

Consistent with DHS's information sharing mission, information stored in the DHS/USCIS-007 Benefit Information System may be shared with other DHS components that have a need to know the information to carry out their national security, law enforcement, immigration, intelligence, or other homeland security functions. In addition, DHS/USCIS may share information with appropriate federal, state, local, tribal, territorial, foreign, or international government agencies consistent with the routine uses set forth in this system of records notice. Even when a valid routine use permits disclosure of information from this system of records to a third party, in some cases such disclosure may not be permissible because of confidentiality laws and policies that limit the sharing of information regarding individuals applying for certain immigration or non-immigration benefits.

This updated system will be included in DHS's inventory of record systems.

II. Privacy Act

The Privacy Act embodies fair information practice principles in a statutory framework governing the means by which federal government agencies collect, maintain, use, and disseminate individuals' records. The Privacy Act applies to information that is maintained in a "system of records." A "system of records" is a group of any records under the control of an agency from which information is retrieved by the name of an individual or by some identifying number, symbol, or other identifying particular assigned to the

¹ An individual may petition for relatives (or future relatives such as a fiancé(a) or a prospective adopted child) to immigrate to the United States.

² All foreign workers must obtain permission to work legally in the United States. Each employment category for admission has different requirements, conditions, and authorized periods of stay. USCIS offers the following employment-based categories: Temporary (nonimmigrant) worker, permanent workers, students and exchange visitors, and temporary visitors for business.

³ USCIS provides a number of humanitarian programs and protection to assist individuals in need of shelter or aid from disasters, from oppression, for emergency medical issues, and for other urgent circumstances. Including: Asylum; refugee; parole; deferred action; temporary protective status; battered spouse, children, and parents; and victims of human trafficking and other crimes.

⁴ USCIS is responsible for determining the eligibility and suitability of the Prospective Adoptive Parents (individuals) looking to adopt and determining the eligibility of the child to immigrate to the United States.

⁵ Naturalization is the manner in which a person not born in the United States voluntarily becomes a U.S. citizen.

individual. In the Privacy Act, an individual is defined to encompass U.S. citizens and lawful permanent residents. As a matter of policy, DHS extends administrative Privacy Act protections to all individuals when systems of records maintain information on U.S. citizens, lawful permanent residents, and visitors.

Below is the description of the DHS/USCIS-007 Benefit Information System System of Records.

In accordance with 5 U.S.C. 552a(r), DHS has provided a report of this system of records to the Office of Management and Budget and to Congress.

SYSTEM OF RECORDS

DEPARTMENT OF HOMELAND SECURITY (DHS)/UNITED STATES CITIZENSHIP AND IMMIGRATION SERVICES (USCIS)-007

SYSTEM NAME:

DHS/USCIS-007 Benefit Information System.

SECURITY CLASSIFICATION:

Unclassified, Sensitive, For Official Use Only. The data may be retained on classified networks, but this does not change the nature and character of the data until it is combined with classified information.

SYSTEM LOCATION:

Records are maintained in DHS/USCIS information technology (IT) systems (e.g., Computer Linked Application Information Management System (CLAIMS) 3, CLAIMS 4, Adoptions Case Management System, Case and Activity Management for International Operations) and associated electronic and paper files located at USCIS Headquarters in Washington, DC and in DHS/USCIS service centers and domestic and international field offices. Records are replicated from the operational DHS/USCIS IT systems and maintained on DHS unclassified and classified networks.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Categories of individuals covered by this system include (1) persons who have filed, for themselves or on the behalf of others (benefit requestors and beneficiaries), benefit requests for immigration benefits under the Immigration and Nationality Act as amended, and/or who have submitted fee payments or received refunds from such benefit requests; (2) current, former, and potential derivatives of benefit requestors (family members); (3) sponsors (e.g., employers, law enforcement officers, individuals); (4) attorneys and representatives

recognized by USCIS and/or accredited by the Board of Immigration Appeals (Representatives); (5) interpreters; (6) individuals who assist in the preparation of the benefit request (Preparers); (7) individuals who make fee payments on behalf of the benefit requestor; and (8) physicians who conduct immigration related medical examinations.

CATEGORIES OF RECORDS IN THE SYSTEM:

Information about benefit requestor, beneficiaries, and family members may include:

- Full Name;
- Alias(es);
- Physical and Mailing Addresses;
- A-Number;
- USCIS Online Account Number;
- Social Security number (SSN);
- Date of birth and/or Death;
- Nationality;
- Country of Citizenship;
- Place of birth;
- Gender;
- Marital status;
- Military status;
- Phone and fax numbers;
- Email address;
- Immigration status;
- Government-issued identification (e.g., passport, drivers' license):
 - Document type;
 - Issuing organization;
 - Document number;
 - Expiration date;
 - Benefit requested;
- Notices and communications, including:
 - Receipt notices;
 - Requests for Evidence;
 - Notices of Intent to Deny;
 - Proofs of benefit;
 - Signature;
 - Benefit request fee payment information (e.g., credit card number, Pay.gov Payment Tracking Number); and
 - Audio-visual recordings, including interviews and naturalization ceremonies.

Benefit-specific eligibility information about benefit requestor, beneficiaries, and family members may include:

- Other unique identifying numbers (e.g., Department of State (DOS)-Issued Personal Identification Number, ICE Student and Exchange Visitor Number, USCIS E-Verify Company Identification Number);
- Arrival/Departure Information;
- Immigration history (e.g., citizenship/naturalization certificate number, removals, explanations);
- Family relationships (e.g., parent, spouse, sibling, child, other dependents) and Relationship Practices (e.g., polygamy, custody, guardianship);

- USCIS Receipt/Case Number;
- Personal background information (e.g., involvement with national security threats, criminal offenses, Communist party, torture, genocide, killing, injuring, forced sexual contact, limiting or denying others religious beliefs, service in military or other armed groups, work in penal or detention systems, weapons distribution, combat training);

- Records regarding organization membership or affiliation;
- Health information (e.g., vaccinations, referrals, communicable diseases, physical or mental disorders, prostitution, drug or alcohol abuse);
 - Travel history;
 - Education history;
 - Work history;
 - Professional accreditation information;

- Financial information (e.g., income, expenses, scholarships, savings, assets, property, financial support, supporter information, life insurance, debts, encumbrances, tax records);

- Supporting documentation as necessary (e.g., birth, marriage, and divorce certificates; licenses; academic diplomas; academic transcripts; appeals or motions to reopen or reconsider decisions; explanatory statements; deoxyribonucleic acid (DNA) results; and unsolicited information submitted voluntarily by the benefit requestor or family members in support of a benefit request);

- Physical Description (e.g., height, weight, eye color, hair color, race, ethnicity, identifying marks like tattoos or birthmarks);

- Biometric (i.e., fingerprints and photographs) and other information (i.e., race, ethnicity, weight, height, eye color, hair color) collected to conduct background checks;

- Description of relationships between benefit requestors, representative, preparers, and family members;

- Information regarding the status of Department of Justice (DOJ), Executive Office of Immigration Review (EOIR) proceedings, if applicable; and

- Case processing information such as date benefit requests were filed or received by USCIS; benefit request status; location of record; other control number when applicable; and fee receipt data.

Information about Benefit Sponsors may include:

- Full name;
- Gender;
- Physical and mailing addresses;
- Phone and fax numbers;
- Country of domicile;
- Date of birth;

- Place of birth;
- Citizenship information;
- SSN;
- A-Number;
- USCIS Online Account Number;
- Employment information;
- Financial information (e.g., income, expenses, scholarships, savings, assets, property, financial support, supporter information, life insurance, debts, encumbrances, tax records);
- Position and relationship to an organization (e.g., manager of a company seeking formal recognition by USCIS);

- Family relationships (e.g., parent, spouse, sibling, natural, foster, and/or adopted child, other dependents); and
- Relationship practices (e.g., polygamy, custody, guardianship).

Information about Representatives includes:

- Name;
- Law Firm/Recognized Organization;
- Physical and mailing addresses;
- Phone and fax numbers;
- Email address;
- Attorney Bar Card Number or equivalent;

- Bar membership;
- Accreditation date;
- Board of Immigration Appeals Representative Accreditation;
- Expiration date;
- Law Practice Restriction explanation; and
- Signature.

Information about Preparers and Interpreters may include:

- Full name;
- Organization;
- Business State ID number;
- Employer Tax Identification Number;
- Physical and mailing addresses;
- Email address;
- Phone and fax numbers;
- Relationship to benefit requestor; and
- Signature.

Information about individuals who make fee payments on behalf of the benefit requestor includes:

- Name;
- Email address;
- Phone number;
- Mailing address; and
- Payment information.

Information about Physicians may include:

- Full name;
- Organization name;
- Physical and mailing addresses;
- Professional experience;
- License number;
- Other Physician Identifying Number(s);

- Licensing state and date of issuance;

- Type of Degree/License (i.e., medical doctor, doctor of osteopathy, or clinical psychologist);
- Type of medical practice;
- Examination dates of the benefit requestor;
- Clinical methods used to diagnose benefit requestor;
- Email address; and
- Signature.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

Authority for maintaining this system is in Sections 103 and 290 of the INA, as amended (8 U.S.C. 1103 and 1360), the regulations issued pursuant thereto; and Section 451 of the Homeland Security Act of 2002 (Pub. L. 107-296).

PURPOSE(S):

The purpose of this system is to permit USCIS' collection, use, maintenance, dissemination, and storage of paper and electronic benefit request information, including case processing and decisional data not included in the A-File SORN (DHS/USCIS/ICE/CBP-001 Alien File, Index, and National File Tracking System of Records, November 21, 2013, 78 FR 69864). These records assist in the processing of immigrant and nonimmigrant benefit requests from the time when USCIS collects the information from the benefit requestor until the case reaches a final decision in the relevant case management system. This system of records does not cover requests for asylum or refugee status. This system of records notice enables DHS/USCIS to process benefit requests electronically; determine the status of pending benefit requests; account for and control the receipt and disposition of any fees and refunds collected; conduct searches pursuant to Freedom of Information Act (FOIA) and Privacy Act requests; and locate related physical and automated files to support DHS/USCIS responses to inquiries about these records.

DHS/USCIS maintains a replica of some or all of the data in the operating system on DHS unclassified and classified networks to allow for analysis and vetting consistent with the above stated purposes and this published notice.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

In addition to those disclosures generally permitted under 5 U.S.C. 552a(b) of the Privacy Act, all or a portion of the records or information contained in this system may be disclosed outside DHS as a routine use pursuant to 5 U.S.C. 552a(b)(3). Even

when a valid routine use permits disclosure of information from this system of records to a third party, in some cases such disclosure may not be permissible because of confidentiality laws and policies that limit the sharing of information regarding individuals applying for certain immigration or non-immigration benefits.

Information in this system of records contains information relating to persons who have pending or approved benefit requests for special protected classes and should not be disclosed pursuant to a routine use unless disclosure is otherwise permissible under the confidentiality statutes, regulations, or policies applicable to that information. For example, information relating to persons who have pending or approved benefit requests for protection under the Violence Against Women Act, Seasonal Agricultural Worker or Legalization claims, the Temporary Protected Status of an individual, and information relating to nonimmigrant visas protected under special confidentiality provisions should not be disclosed pursuant to a routine use unless disclosure is otherwise permissible under the confidentiality statutes, regulations, or policies applicable to that information. These confidentiality provisions do not prevent DHS from disclosing information to the U.S. Department of Justice (DOJ) and Offices of the United States Attorney as part of an ongoing criminal or civil investigation.

A. To the DOJ, including Offices of the United States Attorneys, or other federal agency conducting litigation or in proceedings before any court, adjudicative, or administrative body, when it is relevant or necessary to the litigation and one of the following is a party of the litigation or has an interest in such litigation:

1. DHS or any component thereof;
2. Any employee or former employee of DHS in his/her official capacity;
3. Any employee or former employee of DHS in his/her individual capacity when DOJ or DHS has agreed to represent the employee; or
4. The United States or any agency thereof.

B. To a congressional office from the record of an individual in response to an inquiry from that congressional office made at the request of the individual to whom the record pertains.

C. To the National Archives and Records Administration (NARA) or General Services Administration pursuant to records management inspections being conducted under the authority of 44 U.S.C. 2904 and 2906.

D. To an agency or organization for the purpose of performing audit or

oversight operations as authorized by law, but only such information as is necessary and relevant to such audit or oversight function.

E. To appropriate agencies, entities, and persons when:

1. DHS suspects or has confirmed that the security or confidentiality of information in the system of records has been compromised;

2. DHS has determined that as a result of the suspected or confirmed compromise, there is a risk of identity theft or fraud, harm to economic or property interests, harm to an individual, or harm to the security or integrity of this system or other systems or programs (whether maintained by DHS or another agency or entity) that rely upon the compromised information; and

3. The disclosure made to such agencies, entities, and persons is reasonably necessary to assist in connection with DHS' efforts to respond to the suspected or confirmed compromise and prevent, minimize, or remedy such harm.

F. To contractors and their agents, grantees, experts, consultants, and others performing or working on a contract, service, grant, cooperative agreement, or other assignment for DHS, when necessary to accomplish an agency function related to this system of records. Individuals provided information under this routine use are subject to the same Privacy Act requirements and limitations on disclosure as are applicable to DHS officers and employees.

G. To an appropriate federal, state, tribal, local, international, or foreign law enforcement agency or other appropriate authority charged with investigating or prosecuting a violation, enforcing, or implementing a law, rule, regulation, or order, when a record, either on its face or in conjunction with other information, indicates a violation or potential violation of law, which includes criminal, civil, or regulatory violations and such disclosure is proper and consistent with the official duties of the person making the disclosure.

H. To clerks and judges of courts exercising naturalization jurisdiction for the purpose of filing applications for naturalization and to enable such courts to determine eligibility for naturalization or grounds for revocation of naturalization.

I. To the Department of State for the purpose of assisting in the processing of benefit requests under the Immigration and Nationality Act, and all other immigration and nationality laws including treaties and reciprocal agreements.

J. To appropriate Federal, State, tribal, and local government law enforcement and regulatory agencies, foreign governments, and international organizations, as well as to other individuals and organizations during the course of an investigation by DHS or the processing of a matter under DHS jurisdiction, or during a proceeding within the purview of the immigration and nationality laws, when DHS deems that such disclosure is necessary to carry out its functions and statutory mandates to elicit information required by DHS to carry out its functions and statutory mandates.

K. To an appropriate Federal, State, local, tribal, foreign, or international agency, if the information is relevant and necessary to a requesting agencies decision concerning the hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit, or if the information is relevant and necessary to a DHS decision concerning the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit and when such disclosure is appropriate to the proper performance of the official duties of the person making the request.

L. To the Office of Management and Budget in connection with the review of private relief legislation as set forth in OMB Circular No. A-19 at any stage of the legislative coordination and clearance process as set forth in the Circular.

M. To an attorney or representative (as defined in 8 CFR 1.1(j)) who is acting on behalf of an individual covered by this system of records in connection with any proceeding before DHS/USCIS or the Executive Office for Immigration Review.

N. To a federal, state, tribal, or local government agency to assist such agencies in collecting the repayment of loans, fraudulently or erroneously secured benefits, grants, or other debts owed to them or to the United States Government, or to obtain information that may assist USCIS in collecting debts owed to the United States Government.

O. To a foreign government to assist such government in collecting the repayment of loans, fraudulently or erroneously secured benefits, grants, or other debts owed to it, provided that the foreign government in question:

1. Provides sufficient documentation to establish the validity of the stated purpose of its request; and
2. Provides similar information to the United States upon request.

P. To a coroner for purposes of affirmatively identifying a deceased individual (whether or not such individual is deceased as a result of a crime).

Q. Consistent with the requirements of the Immigration and Nationality Act, to the Department of Health and Human Services (HHS), the Centers for Disease Control and Prevention (CDC), or to any State or local health authorities, to:

1. Provide proper medical oversight of DHS-designated civil surgeons who perform medical examinations of both arriving foreign nationals and of those requesting status as a lawful permanent resident; and

2. To ensure that all health issues potentially affecting public health and safety in the United States are being or have been, adequately addressed.

R. To a federal, state, or local government agency seeking to verify or ascertain the citizenship or immigration status of any individual within the jurisdiction of the agency for any purpose authorized by law.

S. To the Social Security Administration (SSA) for the purpose of issuing a Social Security number and card to an alien who has made a request for a Social Security number as part of the immigration process and in accordance with any related agreements in effect between the SSA, DHS, and the Department of State entered into pursuant to 20 CFR 422.103(b)(3); 422.103(c); and 422.106(a), or other relevant laws and regulations.

T. To a former employee of DHS, in accordance with applicable regulations, for purposes of responding to an official inquiry by a federal, state, or local government entity or professional licensing authority; or facilitating communications with a former employee that may be necessary for personnel-related or other official purposes when the Department requires information or consultation assistance from the former employee regarding a matter within that persons former area of responsibility.

U. To an individual's prospective or current employer to the extent necessary to determine employment eligibility (for example, pursuant to the Form I-140, *Immigrant Petition for Alien Worker*).

V. To a federal, state, or local agency, or other appropriate entities or individuals, or through established liaison channels to selected foreign governments, in order to provide intelligence, counterintelligence, or other information for the purposes of intelligence, counterintelligence, or antiterrorism activities authorized by U.S. law, or Executive Order.

W. To approved federal, state, and local government agencies that grant public benefits, licenses, grants, governmental credentials, or any other statutorily authorized purpose when the immigration status of the benefit applicant is legally required and an approved Memorandum of Agreement or Computer Matching Agreement (CMA) is in place between DHS and the entity.

X. To the Department of Labor for enforcement of labor certification violations and violations of U.S. labor laws.

Y. To the news media and the public during the course of naturalization ceremonies administered by USCIS or an Immigration Judge. Pursuant to 8 CFR 337.2 individuals to be naturalized are generally required to appear in a public ceremony, unless an appearance is specifically excused.

Z. To the Department of Treasury to perform initial processing of benefit requests and to accept and resolve payment and any related issues.

AA. To the news media and the public, with the approval of the Chief Privacy Officer in consultation with counsel, when there exists a legitimate public interest in the disclosure of the information, when disclosure is necessary to preserve confidence in the integrity of DHS, or when disclosure is necessary to demonstrate the accountability of DHS officers, employees, or individuals covered by the system, except to the extent the Chief Privacy Officer determines that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

DISCLOSURE TO CONSUMER REPORTING AGENCIES:

Through the ICE Financial Operations—Burlington at DHS, Benefits Information Systems information may be shared with credit reporting agencies. The primary mission of the ICE Financial Operations—Burlington is to collect debts resulting from an individual's participation in DHS benefits programs. USCIS may share Benefits Information System information with the ICE Financial Operations—Burlington regarding fees charged during the various benefit requests processes to ensure collection of debts.

Pursuant to 5 U.S.C. 552a(b)(12), the Department of Treasury Financial Management Service, on behalf of USCIS, may disclose to consumer reporting agencies in accordance with the provision of 15 U.S.C. 1681, *et seq.*, or the Federal Claims Collection Act of

1966 as amended (31 U.S.C. 3701, *et seq.*). The purpose of this disclosure is to aid in the collection of outstanding debts owed to the Federal Government, typically, to provide an incentive for debtors to repay delinquent Federal Government debts by making these part of their credit records.

Disclosure of records is limited to the individual's name, address, EIN/SSN, and other information necessary to establish the individual's identity; the amount, status, and history of the claim; and the agency or program under which the claim arose. The disclosure will be made only after the procedural requirements of 31 U.S.C. 3711(e) have been followed.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:

STORAGE:

DHS/USCIS stores records in this system electronically in the operational IT systems (such as CLAIMS 3 and CLAIMS 4), including on DHS unclassified and classified networks, or on paper in secure facilities in a locked drawer or behind a locked door. The records may be stored on magnetic disc, tape, within cloud service providers, and digital media.

RETRIEVABILITY:

Records may be retrieved by any of the data elements listed above or a combination thereof. This may include, but is not limited to, name, date of birth, Alien Number, SSN, USCIS Online Account Number, and Receipt Number.

SAFEGUARDS:

DHS/USCIS safeguards records in this system according to applicable rules and policies, including all applicable DHS automated systems security and access policies. DHS/USCIS has imposed strict controls to minimize the risk of compromising the information that is being stored. Access to the computer system containing the records in this system is limited to those individuals who have a need to know the information for the performance of their official duties and who have appropriate clearances or permissions.

RETENTION AND DISPOSAL:

DHS/USCIS stores the physical documents (paper forms) and supplemental documentation in the Alien File and processes benefit requests in the respective DHS/USCIS case management system. The A-File records are permanent whether hard copy or electronic. DHS/USCIS transfers the A-Files to the custody of NARA 100 years after the individual's date of birth.

Electronic benefits information is archived and disposed of in accordance with NARA-approved retention schedule for the respective USCIS systems.

- Electronic data pertaining to applications for naturalization will be deleted 15 years after the processing of the benefit being sought is completed. Information in the master file is destroyed 15 years after the last completed action with respect to the application.

- Electronic records pertaining to benefits other than naturalization completed by benefit requestors domestically are destroyed after the data is transferred to the electronic master file and verified. Information in the master file is destroyed 50 years after the last completed action with respect to the benefit.

- Electronic records pertaining to benefits requests other than naturalization and are completed by benefit requestors internationally are destroyed after the data is transferred to the electronic master file and verified. Information in the master file is destroyed 25 years after the last completed action with respect to the benefit.

- Electronic notices and communications associated with a benefit request, to include Approval or Denial letters, Requests for Evidence, Notices of Intent to Deny, Appeal/Motion Responses, etc. are retained for 13 years after the last completed action with respect to the benefit.

- Electronic appointments with USCIS are maintained for 60 days after the date of the appointment.

- Daily reports generated by associated information technology systems are maintained in accordance with the respective retention schedule and then destroyed.

Records replicated on the unclassified and classified networks for analysis and vetting will follow the same retention schedule.

SYSTEM MANAGER AND ADDRESS:

The DHS system manager is the Chief, Immigration Records and Identity Services, Records Division, U.S. Citizenship and Immigration Services, Department of Homeland Security, 20 Massachusetts Avenue NW., Washington, DC 20529.

NOTIFICATION PROCEDURE:

Individuals seeking notification of and access to any record contained in this system of records, or seeking to contest its content, may submit a request in writing to the National Records Center, Freedom of Information

Act (FOIA)/Privacy Act (PA) Office, P.O. Box 648010, Lee's Summit, MO 64064-8010. Specific FOIA information can be found at <http://www.dhs.gov/foia> under "Contacts." If an individual believes more than one component maintains Privacy Act records concerning him or her, the individual may submit the request to the Chief Privacy Officer and Chief FOIA Officer, Department of Homeland Security, 245 Murray Drive SW., Building 410, STOP-0655, Washington, DC 20528.

When seeking records about yourself from this system of records or any other Departmental system of records, your request must conform with the Privacy Act regulations set forth in 6 CFR part 5. You must first verify your identity, meaning that you must provide your full name, current address, and date and place of birth. You must sign your request, and your signature must either be notarized or submitted under 28 U.S.C. 1746, a law that permits statements to be made under penalty of perjury as a substitute for notarization. While no specific form is required, you may obtain forms for this purpose from the Chief Privacy Officer and Chief FOIA Officer, <http://www.dhs.gov/foia> or 1-866-431-0486. In addition, you should:

- Explain why you believe the Department would have information on you;
- Identify which component(s) of the Department you believe may have the information about you;
- Specify when you believe the records would have been created; and
- Provide any other information that will help the FOIA staff determine which DHS component agency may have responsive records;

If your request is seeking records pertaining to another living individual, you must include a statement from that individual certifying his/her agreement for you to access his/her records.

Without the above information, the component(s) may not be able to conduct an effective search, and your request may be denied due to lack of specificity or lack of compliance with applicable regulations.

In processing requests for access to information in this system, USCIS will review the records in the operational system and coordinate with DHS to address access to records on the DHS unclassified and classified networks.

RECORD ACCESS PROCEDURES:

See "Notification procedure" above.

CONTESTING RECORD PROCEDURES:

See "Notification procedure" above.

RECORD SOURCE CATEGORIES:

DHS/USCIS obtains records from the benefit requestor, his or her Representative, Physician, Preparer, or Interpreter. DHS/USCIS personnel may input information as they process a case, including information from internal and external sources to verify whether a benefit requestor or family is eligible for the benefit requested. BIS also stores and uses information from the following USCIS, DHS, and other federal agency systems of records:

- DHS/USCIS/ICE/CBP-001 Alien File, Index, and National File Tracking System of Records, 78 FR 69864 (November 21, 2013);
- DHS/USCIS-002 Background Check Service, 72 FR 31082 (June 5, 2007);
- DHS/USCIS-003 Biometric Storage System, 72 FR 17172 (April 6, 2007);
- DHS/USCIS-005 Inter-Country Adoptions Security 72 FR 31086 (June 5, 2007);
- DHS/USCIS-006 Fraud Detection and National Security Records (FDNS) 77 FR 47411 (August 8, 2012);
- DHS/USCIS-010 Asylum Information and Pre-Screening, 75 FR 409 (January 5, 2010);
- DHS/CBP-011 U.S. Customs and Border Protection TECS, 73 FR 77778 (December 19, 2008);
- DHS/ICE-001 Student and Exchange Visitor Information System, 75 FR 412 (January 5, 2010);
- DHS/ICE-011 Immigration and Enforcement Operational Records System (ENFORCE), 80 FR 24269 (April 30, 2015);
- DHS/CBP-021 Arrival and Departure Information System (ADIS), 80 FR 72081 (November 18, 2015);
- DHS/NPPD-004 DHS Automated Biometric Identification System (IDENT), 72 FR 31080 (June 5, 2007);
- JUSTICE/EOIR-001 Records and Management Information System, 72 FR 3410 (January 25, 2007);
- JUSTICE/FBI-002 The FBI Central Records System, 72 FR 3410 (January 25, 2007);
- JUSTICE/FBI-009 Fingerprint Identification Records System (FIRS), 72 FR 3410 (January 25, 2007);
- DOL/ETA-7 Employer Application and Attestation File for Permanent and Temporary Alien Workers, 77 FR 1728, (January 10, 2012);
- STATE-05 Overseas Citizens Services Records, 73 FR 24343 (May 2, 2008);
- STATE-26 Passport Records, 76 FR 34966 (July 6, 2011);
- STATE-39 Visa Records, 77 FR 65245 (October 25, 2012); and
- TREASURY/FMS-017 Collections Records, 74 FR 23006 (May 15, 2009).

EXEMPTIONS CLAIMED FOR THE SYSTEM:

None.

Dated: October 5, 2016.

Jonathan R. Cantor,
Acting Chief Privacy Officer, Department of Homeland Security.

[FR Doc. 2016-25192 Filed 10-18-16; 8:45 am]

BILLING CODE 9111-97-P

DEPARTMENT OF HOMELAND SECURITY

Office of the Secretary

[Docket No. DHS-2016-0047]

Privacy Act of 1974; Department of Homeland Security/United States Citizenship and Immigration Services-017 Refugee Case Processing and Security Screening Information System of Records

AGENCY: Privacy Office, Department of Homeland Security.

ACTION: Notice of Privacy Act system of records.

SUMMARY: In accordance with the Privacy Act of 1974, the Department of Homeland Security (DHS) proposes to establish a new Department of Homeland Security system of records titled, "DHS/United States Citizenship and Immigration Services (USCIS)-017 Refugee Case Processing and Security Screening Information" system of records. DHS/USCIS collects, uses, and maintains records on individuals seeking refugee status.

This newly established system will be included in the Department of Homeland Security's inventory of record systems.

DATES: Submit comments on or before November 18, 2016. This new system will be effective November 18, 2016.

ADDRESSES: You may submit comments, identified by docket number DHS-2016-0047 by one of the following methods:

- *Federal e-Rulemaking Portal:* <http://www.regulations.gov>. Follow the instructions for submitting comments.

- *Fax:* 202-343-4010.

- *Mail:* Jonathan R. Cantor, Acting Chief Privacy Officer, Privacy Office, Department of Homeland Security, Washington, DC 20528.

Instructions: All submissions received must include the agency name and docket number for this rulemaking. All comments received will be posted without change to <http://www.regulations.gov>, including any personal information provided.

Docket: For access to the docket to read background documents or



Privacy Impact Assessment
for the

**USCIS Electronic Immigration System
(USCIS ELIS)**

DHS/USCIS/PIA-056

May 17, 2016

Contact Point

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Abstract

The Department of Homeland Security (DHS) United States Citizenship and Immigration Services (USCIS) operates the USCIS Electronic Immigration System (USCIS ELIS). USCIS ELIS is an electronic case management system that allows USCIS to process certain immigration benefit requests. USCIS conducted this PIA to evaluate the privacy impacts of converting legacy, paper-based processes to an electronic system. This PIA replaces all previously-issued USCIS ELIS PIAs, which are: DHS/USCIS/PIA-039 *Transformation*, DHS/USCIS/PIA-041 *ELIS-1 Temporary Accounts and Draft Benefit Requests*, DHS/USCIS/PIA-042 *ELIS-2 Account and Case Management*, DHS/USCIS/PIA-043 *ELIS-3 Automated Background Functions*, and DHS-USCIS-PIA-056 *USCIS ELIS: Form I-90*. As USCIS ELIS expands to additional immigration benefit types, USCIS will update the Appendix to this PIA.

Overview

USCIS is the Component within DHS that oversees lawful visits and immigration to the United States. This includes receiving and adjudicating a wide variety of immigration and non-immigration benefits and requests (hereafter referred to as immigration benefits). Historically, USCIS has relied on manual, paper processes to perform this function. USCIS ELIS is a centralized, web-based system designed to transform USCIS business operations from a “transaction-centric” model to a “person-centric” model using unique customer accounts. USCIS is expanding its use of USCIS ELIS over the next several years by expanding the immigration benefit types that USCIS ELIS will process in an incremental fashion. As new immigration benefit types are made available in USCIS ELIS, all benefit requests within that immigration benefit type will be processed in USCIS ELIS, including paper and electronic filings.¹

Background and “Legacy USCIS ELIS”

USCIS ELIS originally launched in the spring of 2012. USCIS is conducting this PIA to describe a new iteration of the existing USCIS ELIS system. The current USCIS ELIS system, now known as the “Legacy USCIS ELIS” system, is no longer accepting documents and will be decommissioned. The two systems are completely separate, including separate login accounts for customers and employees and a different user interface. However, the new system does follow the same general purpose and data collection process as the previously-used system. Each system accepts different immigration benefit types,² which limits the number of customers who have reason to access both systems.

¹ Except for certain low-volume special circumstances that will not be processed in ELIS.

² Legacy USCIS ELIS processed the electronic Form I-539, Application to Extend Stay/Change Status as a Nonimmigrant; electronic Form I-526, Immigrant Petition by Alien Entrepreneur; a Document Library (for EB-5 petitions associated with Regional Centers); and the ability to pay the \$165 USCIS Immigrant Fee.



The primary users of USCIS ELIS are USCIS adjudicators processing benefit requests. USCIS ELIS also interfaces with other IT systems that conduct other functions, such as customer service and fraud detection, without subsuming or replacing those functions. Unlike Legacy USCIS ELIS, USCIS ELIS does not attempt to conduct advanced link-analysis for fraud or national security purposes.³ Instead, it interfaces directly with other USCIS systems that are operated specifically for those purposes. Therefore, with the publication of this PIA, USCIS is retiring the previous USCIS ELIS PIAs.

System Description

Paper Intake

Historically, USCIS has required applicants, petitioners, or benefit requestors submit hard-copy, paper submissions of immigration applications, petitions, or benefit requests to one of its "Lockbox" facilities. Lockbox facilities are operated by U.S. Department of Treasury financial agents on behalf of USCIS to receive paper requests, process payments, and forward the requests to USCIS Service Centers in paper and electronic format for further processing. As USCIS ELIS expands to new immigration benefit types, the applicable Lockbox facility will adjust its legacy delivery process to transmit filings to USCIS ELIS rather than to the legacy system (usually CLAIMS 3 or CLAIMS 4). It will transmit the data to USCIS ELIS as well as scanned images of the paper filings to ELIS electronic storage.

The Lockbox will continue to follow existing USCIS guidance to prepare submitted paper filings. If the paper filing pertains to an individual with a paper Alien File (A-File),⁴ then the paper will be delivered to that file. If it pertains to a customer without a paper A-File (primarily nonimmigrants), then the paper will be transferred to a Receipt File and delivered to the relevant USCIS office for temporary retention. This temporary retention is governed by the applicable National Archives and Records Administration (NARA)-approved retention schedule. As USCIS expands its use of electronic records, USCIS intends to reduce its storage of paper records when NARA-approved electronic equivalents exist. All changes to retention of records are coordinated with NARA, published in the *Federal Register*, and communicated to the USCIS customer in the instructions of each immigration form.

Once information from the paper filing is accepted in USCIS ELIS, the system sends the customer a "USCIS Account Acceptance Notice" via U.S. Postal Service mail. This notice contains instructions for creating a USCIS Online Account and a passcode for linking the account with the USCIS ELIS case. If the customer opts not to activate his or her USCIS Online Account, the passcode expires in 30 days as a security measure. The customer, however, may later contact USCIS customer service to request that a new letter with a new activation passcode be sent. Customers who file paper applications, petitions, or requests that are receipted into USCIS ELIS

³ DHS/USCIS/PIA-043, *ELIS-3 Automated Background Functions* (May 16, 2012), available at http://www.dhs.gov/xlibrary/assets/privacy/privacy_pia_uscis_elis_3_automatedbackgroundfunctions.pdf.

⁴ 78 FR 69864 (Nov. 21, 2013).



will have the opportunity to log in to their USCIS ELIS account to check the status of their application, petition, or request; obtain copies of documents associated with the filing; and respond electronically to requests for additional information, such as Requests for Evidence (RFEs), if they create online accounts. Customers who opt not to activate their online accounts can continue to use the existing paper process and USCIS will continue to send notices via hard copy mail.

Electronic Intake

Customers may also file benefit requests with USCIS electronically. Customers who choose to file electronically must first create a USCIS Online Account by providing a person-specific, unique email address. USCIS sends a confirmation email to the provided address to confirm accuracy. The email address is then stored as the customer's username. Next, the customer creates a strong password. To establish two-factor authentication, a personal identification number (PIN) is required in addition to the password. The customer must choose whether to receive the one-time PIN either by mobile phone via short message service (SMS), or as a message delivered by email. If the customer chooses SMS, the system prompts him or her to provide the mobile number and carrier. Passwords are never sent or reset via email.

The customer also provides answers to security questions that he or she will answer to reset the account password in the future. The security questions are "fill-in-the-blank" questions that the customer provides the answer to at account set-up. USCIS provides the customer with a drop-down menu of standard questions, and the customer chooses which ones to use as his or her security questions.⁵ USCIS will not use the answers to these questions for purposes other than assisting with password resets (e.g., the answers would not be available to adjudicators for an immigration benefit purpose or fraud investigators in the event of a fraud investigation). These answers are stored by USCIS within the system, but like passwords, are not visible however via the user interface used by USCIS adjudicators, clerks, and similar users. The answers could be visible to customer helpdesk personnel who assist users in resetting their passwords and encountering problems using the system.

Once the online account is set-up, the customer can begin drafting his or her electronic request in the online filing system. The user interface collects the same information as is collected via the corresponding existing paper form, although questions dynamically expand or become disabled as the customer progresses through the request. In other words, a customer's answer to one question may prevent a series of additional questions from being necessary. Those would not be fillable because they would not be applicable to that customer. This enables the customer to respond only to applicable questions. Although USCIS ELIS initially saves draft data; the customer may edit, delete, or update information when it is in draft state and the system does not keep copies of these previous iterations.

⁵ For example, the applicant may choose, *What is your favorite type of candy?* as a security question.



The electronic format also provides some advantages to the user, such as a validation of mailing address against U.S. Postal Service (USPS) known addresses. The user has the option to use a corrected address, validated by the USPS Address Standardization Web Tool,⁶ to prevent address formatting confusion or typographical errors. When the customer enters his or her mailing address, the system bounces the address entered against addresses recognized by USPS. If the USPS tool does not recognize the address, the system will display a pop-up window informing the customer that the address was not found. The pop-up window will also offer an alternative recognized address that the USPS tool provides as a close match. If there is no close match, the USPS tool provides an alternative address as a suggestion. The customer is given the option to accept the suggested address or ignore the suggestion and use the address he or she originally typed. The customer may return to the address fields at any time, which will trigger a re-validation by the USPS service.

Based on the answers the customer provides, ELIS prompts the customer to upload evidence. For example, if the customer requests a replacement Permanent Resident Card because of a legal name change through marriage, the system will prompt the customer to upload evidence of the legal name change, such as a marriage certificate. Customers upload evidence by scanning documents and attaching the scanned images to the USCIS ELIS electronic request.

Once the customer completes the request and uploads necessary evidence, USCIS ELIS requires the customer to electronically sign (e-sign) the request and pay the applicable fee. The customer can review the information he or she is about to submit, and then e-sign by entering his or her name. Payment is made using the U.S. Department of Treasury's Pay.Gov service.⁷ USCIS does not collect the fee directly. Rather, the Pay.Gov interface is imbedded within the USCIS Online Account user interface, and Pay.Gov collects payment information—either credit card, debit card, or Automated Clearing House (ACH) debit from a personal bank account. Once Pay.Gov validates the payment information, applicants are routed back to USCIS ELIS and the USCIS Online Account confirms to the customer that he or she successfully submitted the request. USCIS will mail a receipt notice (if applicable) to the customer's physical address and make it available electronically via a new interface called the USCIS Online Account.

Intake with Attorney or Accredited Representative

Attorneys and non-attorney representatives accredited by the Board of Immigration Appeals (BIA) (hereafter referred to as Representatives) may also create a USCIS Online Account to use USCIS ELIS. These accounts require limited biographic data about the Representative (based on the USCIS Form G-28, *Notice of Appearance as Attorney or Accredited Representative*) and allow the Representative to draft electronic requests on behalf of his or her clients;

⁶ Via this service, USPS does not ingest or store the address provided by USCIS ELIS.

⁷ U.S. Department of Treasury *Financial Management Services Pay.Gov Privacy Impact Assessment 2.0* (July 1, 2011), available at http://fms.treas.gov/pia/paygov_pia%20.pdf.



electronically transfer draft requests for client review and e-signature; and receive updates about those requests as they are processed by USCIS.

Customers give a Representative permission to represent them on a particular request via Form G-28, *Notice of Entry of Appearance as Attorney or Accredited Representative*, filed concurrently with that request. If a paper filing for a USCIS ELIS immigration benefit type is submitted with a Form G-28, the Lockbox will transmit the information to USCIS ELIS, which will search to identify whether that Representative already has a USCIS Representative account in the system. If a Representative account already exists, the new filing is linked to the existing account. However, if a Representative account does not yet exist, USCIS ELIS will create a USCIS Online Account for the Representative. Like customers, Representatives are sent a hardcopy "USCIS Account Acceptance Notice" via USPS. This letter contains instructions on activating the account as well as a passcode for linking the new account with the client immigration request in USCIS ELIS.

Representatives may also electronically file requests in USCIS ELIS. To successfully submit a represented filing in USCIS ELIS, both the Representative and the Representative's client (who is the USCIS customer) must have their own, independent USCIS Online Account. The Representative uses his or her account to draft a request for his or her client, and upon completion, submits it for the client's review. When the Representative submits the draft benefit request for client review, the Representative provides USCIS ELIS with the client's email address. USCIS ELIS then presents the Representative with a passcode that is provided in-person to his or her client. The client must provide the passcode in order to access to the draft request when he or she next logs in to the system. USCIS ELIS sends the client an email indicating the pending draft in his or her existing account, and upon login, the customer is directed to input the passcode in order to view the draft. USCIS ELIS gives the client access to the draft case filed by the Representative if both the email address connected to the client's account and the passcode entered by the client match the client email address and the passcode associated with the filing submitted via the Representative's account. The client has read-only access to the Representative's draft. The client is able to reject the draft, which sends it back to the Representative, or accept the draft and e-sign it together with the electronic Form G-28. If the client rejects the draft, the Representative may overwrite the previous draft. The customer, however, will need a new passcode in order to access the revised document. USCIS ELIS does not store previous drafts. Once the client reviews the request, he or she accepts and e-signs. It is then electronically returned to the Representative, who will also e-sign, pay filing fees, and submit the request to USCIS. Thereafter, the Representative will have access to the same request information and status updates related to the request that the client does.

Remote Identity Proofing



USCIS requires in-person identity verification for many of its immigration benefits, either by requiring customers to appear in-person to submit biometrics, to be interviewed in-person by an adjudicator, or both. However, there will be some USCIS Online Account holders who never appear in-person, and require remote identity proofing to assure USCIS that the account holder is who he or she purports to be. Those requiring remote identity proofing include customers making requests that do not include in-person appearances for adjudication, and also other users such as Representatives, who do not appear in person.

USCIS will provide remote identity proofing for those users who require it using two methods. The first method will use a third-party remote identity proofing service that uses an individual's commercial and financial data to verify identity using an "out of wallet" quiz. These services are standard across public and private sector online interfaces and are designed to conform to applicable Government-wide standards on identity proofing of federal systems. USCIS ELIS will use those services as described in the DHS E-Authentication System of Records Notice.⁸

Those existing services, however, are largely unable to identity-proof individuals who have not lived or conducted business in the United States, which is a large portion of USCIS customers. For those customers, USCIS has designed Identity Proofing as a Service (IDPaaS.) IDPaaS will use data on file within USCIS legacy systems or data collected by the Department of State abroad to verify that the USCIS Online Account holder is the customer he or she claims to be. IDPaaS will present a quiz to the account-holder based on the data in a fashion similar to commercial "out-of-wallet" quizzes.

The questions presented to each account-holder are dynamically generated based on the best information USCIS has about the individual, as well as the most diverse set of questions available. This data originally comes from information the Department of State collected in-person when issuing a visa, information U.S. Custom and Border Protection (CBP) collects in-person upon entry at the border, and information USCIS has from the customer based on previous immigration benefit requests, as consolidated by USCIS in its major immigration systems.⁹ In designing the questionnaire, USCIS looked at the breadth of data and categorized it into several domains based on the type of information, such as travel, contact information, etc. The questionnaire is designed to dynamically ask the customer questions from different domains to ensure the customer is showing knowledge of a wide breadth of data about him- or herself, and also data that would not be known by a different person. IDPaaS may allow customers more than one attempt to pass the questionnaire, but only if the system has enough reliable data in enough domains about that individual. Questions are in multiple-choice format, and include a "none of the above" option where appropriate.

Customers who are required to use IDPaaS are provided notice explaining what identity proofing is and what to expect before launching into the process. If customers are unable to pass

⁸ DHS/ALL-037 E-Authentication System of Records, 79 FR 46857 (Aug. 11, 2014).

⁹ 78 FR 20673 (Apr. 5, 2013), 78 FR 69864 (Nov. 21, 2013).



the IDPaaS questionnaire, they are presented with instructions on how to proceed, which may be by contacting Customer Service or appearing in-person. Once the customer passes the identity proofing quiz, USCIS ELIS retains the fact that the customer has been identity-proofed and does not require the customer to repeat the process for subsequent immigration benefit requests.

As IDPaaS is incrementally deployed, USCIS will maintain an internal governance board¹⁰ to review the efficacy of the system, approve new questions and methods of verifying identity, and evolve the questionnaires as appropriate for each new use case. IDPaaS will only be used internally within USCIS. Data from sources will be shared as it resides in other systems.

System Process

Automated System Checks

Upon receipt of a request, the first data element USCIS ELIS validates is the customer's Alien Registration Number (A-Number), if applicable. When customers list an A-Number on a benefit request, USCIS ELIS runs an automated comparison of the claimed A-Number against the USCIS legacy Central Index System (CIS)¹¹ to verify that: the A-Number exists and is valid and matches the name and identifying information provided by the customer. If the system cannot automatically verify this information, USCIS ELIS moves the customer's request into an electronic work queue where it will be researched and resolved by a USCIS employee or contractor before proceeding to adjudication.

During the A-Number validation, USCIS also runs a criminal and national security background check against the CBP TECS system.¹² If this check identifies potential criminal or national security issues, it is referred to another electronic workflow queue for resolution. USCIS must take measures to address or resolve the presented issues before adjudicating the benefit request, which may include a referral to the USCIS Fraud Detection and National Security (FDNS) Directorate.

After the A-Number is validated, USCIS ELIS interfaces with the National Appointment Scheduling Service (NASS)¹³ to schedule an Application Support Center (ASC) appointment for the customer if required for the particular request. During an ASC appointment, USCIS is able to verify identity in-person by collecting biometrics. NASS generates an appointment notice that USCIS mails to the customer. USCIS ELIS holds the customer's request pending completion of the ASC appointment, if required.

¹⁰ Members include designees from USCIS Office of Privacy, Office of Chief Counsel, and Office of the Chief Information Security Officer, among others.

¹¹ DHS/USCIS/PIA-009, Central Index System PIA (June 22, 2007), available at, http://www.dhs.gov/xlibrary/assets/privacy/privacy_pia_uscis_cis.pdf.

¹² DHS/CBP/PIA-009, TECS System: CBP Primary and Secondary Processing PIA (December 22, 2010), available at, http://www.dhs.gov/xlibrary/assets/privacy/privacy_pia_cbp_tecs.pdf.

¹³ Privacy Impact Assessment pending publication to <http://www.dhs.gov/uscis-pias-and-sorns>.



Adjudicating the Application

The customer's case advances once the USCIS Customer Profile Management System (CPMS)¹⁴ sends notification that the customer has submitted his or her biometrics at the ASC, if required. If biometrics are not required, the case advances to the adjudication step immediately following A-Number validation and resolution of any background check results.

USCIS ELIS automatically places the application in an adjudicator work queue after A-Number validation, completion of the TECS background check, and return of the background and security check results through the legacy USCIS Benefits Biometric Support System (BBSS)¹⁵ have occurred. The USCIS adjudicator evaluates all data—the information submitted by the customer along with the results of the background and security checks—according to existing standard operating procedures (SOP) that apply to the legacy paper process.

To assist the adjudicator in verifying information submitted by the customer, ELIS aggregates and displays information pulled from other USCIS systems via the Person-Centric Query System (PCQS).¹⁶ This information includes other names, dates of birth, contact information, and other A-Numbers that may also be associated with the customer. Following existing SOPs, the adjudicator is able to identify which data is correct or relevant, and make updates to the system to record the correct data about a customer. The system documents all updates made to data about the customer. The adjudicator then renders a decision, and may electronically submit the decision to his or her supervisor for review.

Once the decision is final, USCIS ELIS uses automated interfaces with existing USCIS IT systems to send approval or denial notices along with the proof of benefit (such as a Lawful Permanent Resident card), as applicable. When a proof of benefit must be produced, and it requires a photograph, the adjudicator is able to obtain the customer's facial photograph, fingerprint, and signature via an interface with CPMS solely for proof of benefit production purposes. The facial photograph and other biometric elements are temporarily displayed in USCIS ELIS and can be adjusted to improve image quality for printing. USCIS ELIS allows the user to zoom, pan, lighten, or darken the photo for card production, and then certify for printing. Upon successful card printing, the facial photograph is automatically deleted from USCIS ELIS and the final adjusted image is stored as part of the printed card record in CPMS.

System Privacy Impacts

Overall, USCIS ELIS offers USCIS customers several advantages with respect to data privacy protections. Once logged into their account, USCIS customers are able to enter their information directly into the system or correct data as applicable. In contrast, the paper-based

¹⁴ *Id.*

¹⁵ DHS/USCIS/PIA-033 Immigration Benefit Background Check System PIA (November 5, 2010) *available at*, http://www.dhs.gov/xlibrary/assets/privacy/privacy_pia_uscis_ibbcs.pdf.

¹⁶ DHS/USCIS/PIA-010 Person-Centric Query System (PCQS) PIA (June 22, 2007), *available at*, http://www.dhs.gov/xlibrary/assets/privacy/privacy_pia_uscis_pcq.pdf.



legacy process requires contractors to manually key-in data from paper filings. Allowing customers to enter or correct their information directly reduces the risk for typographical errors and generally improves the accuracy, timeliness, and completeness of submitted information. USCIS ELIS customers who have activated their USCIS Online Accounts also enjoy improved transparency regarding the status of their requests and better access to their data, because that data is available instantly once they are logged into their account. Although USCIS ELIS initially saves draft data; the customer may edit, delete, or update information when it is in draft state and the system does not keep copies of these previous iterations. This preserves the same confidentiality for an electronic customer as a paper-filer. IDPaaS allows USCIS ELIS to ensure many customers online are who they claim to be. There is a risk that some legitimate customers may be unable to pass the IDPaaS quiz, and there is a risk that an individual with access to a customer's files could illegitimately pass. USCIS will actively mitigate this risk by monitoring the performance of the system and assisting with customer help requests, and adjust for needed changes accordingly. Customers with online accounts also may receive requests for additional information and other communications more quickly, as information and notices are made available electronically in the account. This method of communication is faster than sending customers paper notices via USPS mail. While faster, use of email and the internet creates other risks. Customers may face some increased data security risk by virtue of submitting data via the Internet. To mitigate this risk, USCIS ELIS employs several layered IT security and data quality measures, such as establishing a secure encrypted connection when a customer is entering sensitive personally identifiable information (PII) and requiring strong two-factor authentication.

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 primary legal authority supporting the collection of the information provided to USCIS is 8 U.S.C. § 1101 *et seq.* Specifically, 8 U.S.C. § 1360 requires a central file of information for the security and enforcement agencies of the Government of the United States that contains the names of all aliens admitted or denied admission to the United States and such other relevant information as required to aid in the proper enforcement of this chapter. The Homeland Security Act of 2002¹⁷ and the Immigration Nationality Act (INA)¹⁸ charge the Secretary of Homeland Security with administration and enforcement of the immigration and naturalization laws. The Secretary of Homeland Security has delegated duties to USCIS pursuant to DHS Management Directive MD 0150.1. DHS also has promulgated regulations that permit the collection and

¹⁷ Pub. L. No.107-296, 116 Stat. 2135 (2002), 6 U.S.C. § 112.

¹⁸ 8 U.S.C. § 1101 (2004) *et seq.*



processing of applications, petitions, and requests online entitled, "Immigration Benefits Business Transformation, Increment I;"¹⁹ and "Immigration Benefits Business Transformation, Increment I; Correction."²⁰

The Government Paperwork Elimination Act (GPEA)²¹ provides that, when possible, federal agencies should use electronic forms, electronic filing, and electronic submissions to conduct agency business with the public. GPEA establishes the criteria and guidelines for the use of electronic signatures. Executive Order 13571²² requires federal agencies to develop plans to streamline delivery of services and improve customer service by exploring lower-cost, self-service options accessed by the Internet or mobile phone, and improved processes that deliver services faster and more responsively, reducing the overall need for customer inquiries and complaints.

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

The following SORNs cover USCIS ELIS:

- DHS/USCIS-007 Benefits Information System;²³
- DHS/USCIS/ICE/CBP-001 Alien File, Index, and National File Tracking System of Records,²⁴ and
- DHS/ALL-037 E-Authentication Records System of Records.²⁵

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

Yes. USCIS ELIS has been granted an Authority to Operate (ATO), which is continually being monitored under the USCIS Ongoing Authorization process. USCIS ELIS data also includes data from the USCIS Identity and Credentialing Account Management system (ICAM) and the USCIS Online Account system, also under USCIS Ongoing Authorization.

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

Yes: NI-566-11-02, (October 17, 2011) and NI-566-12-05, (April 17, 2013) cover USCIS ELIS accounts. Each immigration benefit type processed by USCIS ELIS has an additional existing retention schedule, which USCIS ELIS applies to each particular case.

¹⁹ 76 FR 53764 (Aug. 29, 2011).

²⁰ 76 FR 73475, (Nov. 29, 2011).

²¹ 44 U.S.C. § 3504 (2004).

²² 75 FR 24339 (Apr. 27, 2011).

²³ 78 FR 20673 (Apr. 5, 2013).

²⁴ 78 FR 69864 (Nov. 21, 2013).

²⁵ 73 FR 56596 (Sept. 29, 2008).



- 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 OMB Control number for online account setup is 1615-0122 (there is no corresponding agency number.) Each form processed by USCIS ELIS has an existing OMB control number that covers the USCIS ELIS collection. An updated list is available in Appendix A of this document.

Section 2.0 Characterization of the Information

The following questions are intended to define the scope of the information requested and/or collected, as well as reasons for its collection.

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

USCIS ELIS collects:

- Account setup and login information including: email address, password, security questions, mobile phone number, and mobile phone carrier;
- Information that is required to adjudicate the request: This will vary for each immigration benefit type. A full account of what data is requested for each immigration benefit type can be viewed by referencing the paper forms associated with each immigration benefit type in Appendix A;
- E-signature: check-box attestation, the customer's name, Internet Protocol (IP) address from which the filing is submitted, and time/date stamp;
- Background and security check information about the customer as described below, whether the result relates to the individual, and if applicable, memoranda from adjudicators resolving the results; and
- Temporarily stores biometric images to allow proper formatting for printing.

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

The majority of information in USCIS ELIS is obtained directly from the customer or his or her Representative. Additionally, USCIS collects data from CBP TECS and USCIS BBSS in order to conduct background and security checks. USCIS ELIS also receives information from the



Department of State (DoS) Consolidated Consular Database (CCD)²⁶ for Immigrant Visa data when applicable. CCD data is transmitted via PCQS and its data is necessary for USCIS because CCD contains immigrant and non-immigrant visa data. USCIS employees and contractors using the system may generate data, such as notices, internal case processing notes, and decisions.

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.

2.4 Discuss how accuracy of the data is ensured.

USCIS ELIS ensures data accuracy because the system uses data entered directly by the individual customers whenever possible. Requests filed using the USCIS Online Accounts are completed directly by the individual customers. Customers are able to overwrite and correct any information in their applications up to the point that they sign and submit the application. After it has been submitted, the customer may login to his or her account and automatically make changes that have no substantive bearing on the adjudication, such as updating an email address or other contact information. When inputting data from a paper filing, the Lockbox facilities employ quality control measures, including levels of review to prevent keying errors. In the event of an error, the customer is able to correct certain data using existing legacy correction processes, such as contacting USCIS Customer Service.

Select data submitted by the individual customers are run through the A-Number validation process to promote data integrity between USCIS ELIS and legacy USCIS systems such as the Central Index System (CIS). USCIS ELIS also enables the adjudicator to check biographical data entered by the customer (e.g., name, date of birth, place of birth, gender) against data from CIS to assist the adjudicator in identifying inaccurate data supplied by the customer (or correct inaccurate data on file in legacy systems.) Finally, USCIS automatically submits data to other federal systems such as CBP TECS and USCIS BBSS to verify identity and conduct background and security checks.

2.5 Privacy Impact Analysis: Related to Characterization of the Information

Privacy Risk: Because USCIS ELIS houses multiple benefit requests that each require different information, there is a risk that customers could submit more information than necessary.

Mitigation: USCIS ELIS mitigates this risk in two main ways. First, the system only collects information pertaining to one request at a time, so that the customer cannot be prompted

²⁶ Department of State Consolidated Consular Database Privacy Impact Assessment (Dec. 11, 2008), available at <http://www.state.gov/documents/organization/93772.pdf>.



to enter information unless it pertains to the specific benefit request on which the customer is working. Second, the user interface dynamically greys out fields that the customer should not fill out based on answers to other questions. For example, when a paper form would instruct the customer to skip a section of the form based on her answer, USCIS ELIS would “grey out” or disable the inapplicable section and present the customer only relevant sections and questions. It is possible for customers to upload more evidence than necessary because they are allowed to submit “unsolicited evidence” at any point until adjudication. This is a valuable feature to allow customers the opportunity to provide information initially forgotten or submitted incorrectly, which partially mitigates the risk that customers may opt to provide too much information. This risk cannot be fully mitigated because of the “unsolicited evidence” option.

Privacy Risk: Because USCIS ELIS automatically saves draft applications, there is a risk that adjudicators could later see draft information that the customer deleted or corrected before submitting his or her electronic request. This could negatively affect USCIS ELIS customers because they would not receive the same confidentiality online they receive via the paper process.

Mitigation: Although USCIS ELIS initially saves draft data; the customer may edit, delete, or update information when it is in draft state and the system does not keep copies of these previous iterations. When the customer submits his or her electronic request, USCIS ELIS only stores the final, signed version. Any previous version, including uploaded evidence that the customer removed before finalizing, is permanently deleted. USCIS adjudicators only receive the information that was e-signed and submitted. Similarly, if the customer begins drafting a request but never submits it (by e-signing and paying), then USCIS ELIS automatically deletes the data after 30 days, per the approved retention schedule. If the customer later files another benefit request, the adjudicator has no indication of a previous draft.

Section 3.0 Uses of the Information

The following questions require a clear description of the project’s use of information.

3.1 Describe how and why the project uses the information.

USCIS collects only the minimum information necessary to fulfill the following purposes:

(1) Establish a secure online account through which to submit an application

Information collected includes email address (used to contact customer and also as username), password (used to authenticate the user), mobile phone number for sending one-time PIN to be used as a second-factor in authenticating, and answers to security questions for future password resets;



(2) Verify the identity of the requester

Information collected may include A-Number, name, date of birth, place of birth, Social Security number, and other information such as date and class of admission into the United States, and mother's and father's names. These data are used to locate the customer in legacy systems;

(3) Facilitate criminal and national security background checks

Information collected includes name, date of birth, and country of birth for use by CBP TECS and USCIS BBSS in running background checks; physical description (eye color, hair color, height, and weight) required by BBSS; mailing address to provide to USCIS NASS for biometric appointment scheduling; and results of criminal and national security background checks from CBP TECS and USCIS BBSS for referral to FDNS as needed;

(4) Justify eligibility for benefit requested

Information collected includes the information collected on the applicable request along with documentation to support the request. The adjudicator uses all of this to follow existing SOPs on adjudicating the particular request; and

(5) Authorize card production

Information collected includes internal system indicators that record that every step of the adjudication process was followed, the adjudicator's decision and supervisory review, and the temporary storage of the applicable biometric images to allow for proper formatting. This also includes information from Pay.gov confirming that the customer paid the applicable fee and e-signature information to record that the customer attests that the information he or she put forth in the application is true.

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.

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

USCIS ELIS allows read-only roles for Immigration and Customs Enforcement (ICE) and U.S. Customs and Border Protection (CBP), both within DHS because of their shared immigration missions. Also, USCIS ELIS does share read-only information with the USCIS Enterprise Service Bus (ESB),²⁷ which may share information from USCIS ELIS with other Components via PCQS.

²⁷ DHS/USCIS/PIA-010 Person-Centric Query System (PCQS) PIA (June 22, 2007), available at http://www.dhs.gov/xlibrary/assets/privacy/privacy_pia_uscis_pcq.pdf.



The majority of PCQS users are internal to USCIS. However, PCQS does grant user access to Department of State (DoS) users who have an official need for read-only access to USCIS customer data. Like CBP and ICE, DoS has a shared mission with USCIS because of its visa-issuing authority, which is part of the immigration process for many USCIS customers.

3.4 Privacy Impact Analysis: Related to the Uses of Information

Privacy Risk: There is a risk that increased availability of information that previously was only visible to one employee at a time (because it was in a paper file) could result in new, unauthorized uses of the information.

Mitigation: This risk is partially mitigated. USCIS will mitigate this risk three ways. First, all users of USCIS ELIS must receive role-based system training, which explains the purpose of the data and includes reminders about proper PII handling. Second, the system tracks all access and edits to customer PII, and stores that activity in back-end audit logs available to the USCIS Office of Security Investigations (OSI) for monitoring and action. Finally, USCIS ELIS employs a provisioning process that verifies every user requesting access to the system has a valid need to view data in the system.

Privacy Risk: By retaining data in an active, online platform, USCIS ELIS poses a risk of unauthorized exposure because the system could be attacked by an external entity.

Mitigation: USCIS recognizes that retaining data online makes that data potentially more available to compromise. As a result, USCIS is building into its retention schedules a timeframe after which data may be retained offline by the agency but not available online with public access. This will allow the agency to preserve records that should be maintained for their historical value but adds some security from unauthorized access of outdated accounts. This risk is also mitigated by IT security measures such as encryption of the data in transit and at risk and requiring secure, two-factor authentication for login.

Section 4.0 Notice

The following questions seek information about the project's notice to the individual about the information collected, the right to consent to uses of said information, and the right to decline to provide information.

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

USCIS provides online customers with a Privacy Act statement addressing the collection of their information for the creation of an online account before any information is input by the customer. USCIS also provides a Privacy Act statement covering the particular application, petition, or request at the time of that collection. USCIS ELIS additionally sends paper and



electronic notices pertaining to the customer's request throughout the adjudication process and via this PIA. Further, USCIS provides the appropriate OMB control number and Paperwork Reduction Act Statement for each individual form type available to a customer via the USCIS Online Account prior to any data being input by the customer.

Finally, customers who are required to use IDPaaS are provided notice explaining what identity proofing is and what to expect before launching into the process. If customers are unable to pass the IDPaaS questionnaire, they are presented with instructions on how to proceed, which may be by contacting Customer Service or appearing in-person.

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

Once USCIS ELIS incorporates a particular immigration benefit type, all requests received for that benefit type will be processed in USCIS ELIS. While customers cannot opt to have their request processed according to a legacy process or system, they may opt to file via paper rather than electronically. If the customer opts not to provide answers to some of the information requested, the system will generally allow the customer to proceed with the request. The request, however, may take longer to adjudicate because the adjudicator may need to request the information the customer declined to submit with his or her application. If the customer declines to provide the requested information, the adjudicator may consider the request to be abandoned and deny the request or consider it abandoned.

4.3 Privacy Impact Analysis: Related to Notice

Privacy Risk: There is a risk that someone other than the USCIS customer will use the system to fraudulently obtain an immigration benefit, which could expose the legitimate customer to identity theft. This could occur without the customer knowing.

Mitigation: In order to mitigate the risk of identity theft or fraud, USCIS has existing processes that require most customers requesting an immigration benefit to provide their biometrics at an ASC, which allows for in-person identity verification. USCIS ELIS leverages this in-person identity-proofing to ensure the individual who created the online account is who he or she claims to be. For those processes that do not include an in-person identity verification, USCIS directs users to a remote identity proofing solution to confirm the user's identity according to applicable government-wide standards.



Section 5.0 Data Retention by the project

The following questions are intended to outline how long the project retains the information after the initial collection.

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

USCIS has drafted a series of retention schedules to cover different types of data in USCIS ELIS. Currently, two of those schedules have been finalized and signed by the Archivist. The remaining schedules are being actively worked with NARA.

The majority of customer data in USCIS ELIS is not yet covered by a finalized retention schedule, but is pending review at the National Archives. USCIS expects NARA to approve permanent retention for USCIS ELIS customer data because it replaces data that would have been in the Alien File (A-file) if filed via paper. Data includes individual customer account data of immigrants, as well as the case data pertaining to their requests. The A-file is permanently retained for historical purposes.

The approved retention schedules are as follows:

1. **ELECTRONIC IMMIGRATION SYSTEM (USCIS ELIS) ABANDONED DRAFT ACCOUNT AND/OR DRAFT BENEFIT REQUEST DATA, NI-566-11-02, (October 17, 2011):** This schedule covers customer accounts and draft applications that customers do not submit to USCIS within a 30-day period. The schedule dictates that the data must be permanently deleted 30 days after creation of the account or initiation of a draft application.
2. **USCIS ELECTRONIC IMMIGRATION SYSTEM (USCIS ELIS) TEMPORARY ACCOUNTS, NI-566-12-05, (April 17, 2013):** Covers internal user accounts for USCIS employees; such accounts will be deleted/destroyed 6 years after the account is terminated or when no longer needed for investigative or security purposes, whichever is later.

5.2 Privacy Impact Analysis: Related to Retention

There is no privacy risk to retention because USCIS records are retained permanently for their historical value, such as genealogical research, similar to the A-File.

Section 6.0 Information Sharing

The following questions are intended to describe the scope of the project information sharing external to the Department. External sharing encompasses sharing with other federal, state and local governments, and private sector entities.

- 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 ELIS information is shared outside of USCIS in a read-only state over the ESB and may be viewable by DoS via PCQS. Also, USCIS ELIS feeds data to USCIS BBSS for background checks, and BBSS uses that data as part of the record that is forwarded to the Federal Bureau of Investigations (FBI) to conduct its criminal and national security checks.²⁸

6.2 Describe how the external sharing noted in 6.1 is compatible with the SORN noted in 1.2.

Sharing USCIS ELIS data via PCQS to DoS is compatible with the purpose of the system because the DoS mission, like USCIS, includes ensuring lawful visits and immigration to the United States as dictated by the INA. This sharing is covered by the Routine Use "I" of the DHS/USCIS-007 SORN,²⁹ which states that data may be shared with, "...the Department of State for the purpose of assisting in the processing of petitions or applications for benefits under the Immigration and Nationality Act, and all other immigration and nationality laws including treaties and reciprocal agreements." Sharing with the FBI is covered by Routine Use "J" of the DHS/USCIS-007 SORN,³⁰ which states that data may be shared with "...appropriate Federal... law enforcement... agencies... during a proceeding within the purview of the immigration and nationality laws, when DHS deems that such disclosure is necessary to carry out its functions and statutory mandates to elicit information required by DHS to carry out its functions and statutory mandates."

6.3 Does the project place limitations on re-dissemination?

USCIS ELIS does not share any data that would not be allowed to be re-disseminated, and does allow for re-dissemination of information only once it becomes part of the sharing partners' systems of records.

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

BBSS and PCQS each automatically log external disclosures of information, as described in those systems' respective PIAs.³¹ If external sharing is authorized, the USCIS employee who disclosed the information must record the disclosure. The employee records this by typing a note with the data shared, purpose, and date into the free-text comment field of the system.

²⁸ All DHS PIAs and SORNs are available on www.dhs.gov/privacy. Please consult the PCQS and Background Check Service SORNs for specific information about when information is shared, for what purposes, and with whom.

²⁹ 73 FR 56596

³⁰ *Id.*

³¹ All DHS PIAs and SORNs are available on www.dhs.gov/privacy. Please consult the PCQS and BCS PIAs for specific information about how external disclosures are recorded.



6.5 Privacy Impact Analysis: Related to Information Sharing

Privacy Risk: There is a risk that data-sharing governance and record keeping designed for legacy paper processes, such as paper mechanisms for logging records of disclosure and physical restrictions on paper file sharing, might not translate to the electronic environment.

Mitigation: USCIS is mitigating this risk by working cooperatively with NARA and its records office to address recordkeeping changes as new benefit types are incorporated into the system. Updates are regularly briefed out to the highest level of the USCIS ELIS governance boards, which include USCIS Privacy. To date, recordkeeping issues have not arisen but a continuous review process continues. As the system is expanded to cover a larger percentage of overall customers, USCIS will increase data sharing incrementally so that processes for governance and recordkeeping can be adjusted on a specific basis and documented more formally. Significant updates will be referenced as appropriate in either an updated PIA or an appendix to this PIA.

Section 7.0 Redress

The following questions seek information about processes in place for individuals to seek redress which may include access to records about themselves, ensuring the accuracy of the information collected about them, and/or filing complaints.

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

USCIS ELIS provides USCIS customers the opportunity to access their information online by logging in to their account. The information they access includes a copy of the application they submitted, any notices or notifications generated by USCIS, and information about the status of their application. Certain information generated by USCIS as part of a criminal or security check is not automatically accessible by the customer. This information is exempt from access under 5 U.S.C. § 552a(k)(2) of the Privacy Act.³²

An individual may also gain access to his or her USCIS records by filing a Privacy Act or Freedom of Information Act (FOIA) request. If an individual would like to file a Privacy Act or FOIA request to view his or her USCIS record the request can be mailed to the following address:

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

³² 76 FR 70638 (Nov. 15, 2011).



The information requested may, however, be exempt from access under the Privacy Act because records related to fraud, with respect to an individual, may sometimes contain law enforcement sensitive information. The release of law enforcement sensitive information could possibly compromise ongoing criminal investigations. Further information for Privacy Act and FOIA requests for USCIS records can also be found at <http://www.uscis.gov>.

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

USCIS ELIS allows a customer to overwrite and correct any information in his or her application up to the point that he or she e-signs and submits the application. After it has been submitted, the customer may log in to his or her account and automatically make changes that have no substantive bearing on the adjudication, such as change in email address or contact information. If the customer wants to correct inaccurate information while the benefit is being adjudicated, he or she may submit the request in writing and upload the request into USCIS ELIS as unsolicited evidence or by mail. It is the adjudicator's decision to incorporate that corrected information, depending on the timing and validity of the information. For corrections after the application has been adjudicated, the customer would use the existing correction processes employed by USCIS, depending on the type and context of the correction requested.

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

USCIS ELIS makes multiple notifications to the customer throughout his or her use of the system, indicating to the customer when the case is in draft, how to update contact information, and several other methods of correction. Additionally, USCIS ELIS will publish online Frequently Asked Questions that address when and how to make corrections. Finally, USCIS has a Customer Contact Center contact listed to which customers are directed if they have questions. Customers who fail to identity proof using IDPaaS will be given specific instructions on how to proceed, which may be by contacting Customer Service or appearing in-person.

7.4 Privacy Impact Analysis: Related to Redress

Privacy Risk: There is a risk that the customer may be unable to correct certain data, such as name and date of birth, after the application is submitted.

Mitigation: Making changes to certain essential information such as name or date of birth would require a new criminal and security check, as well as a new attestation of the accuracy of the data submitted. Therefore, the system cannot allow the customer to automatically update this important information once the adjudication process has started. USCIS does mitigate this risk by allowing the adjudicator to consider written requests to change this information, or an in-person appointment, at his or her discretion within established SOPs. The risk that a customer is unable



to correct an error he or she generated is mitigated by the USCIS data quality and integrity procedures within the adjudication process.

Privacy Risk: There is a risk that customers may be unable to access, correct, or amend their records because the systems used for criminal and national security background checks are exempt from the Privacy Act.

Mitigation: Due to the sensitive nature of criminal and national security background checks, customers are not provided with direct access to such records. For many lines of business, the customer has a formal appeals process through legacy processes for challenging decisions that they believe to be unfair or based on incorrect information.

Section 8.0 Auditing and Accountability

The following questions are intended to describe technical and policy based safeguards and security measures.

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

USCIS ELIS has a sophisticated role-based user access for operational users as well as read-only users. These include roles that separate duties for operators to ensure appropriate oversight of the adjudication, as well as two levels of read-only roles to protect more sensitive data about a customer from being accessible to internal users who only have a need for some of their data. Additionally, USCIS ELIS captures all user activity, including information changed as well as viewed, in audit logs, which are reviewed by USCIS OSI.

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

USCIS trains each USCIS ELIS user on proper handling of PII as well as appropriate use of data according to each role. Additionally, all USCIS employees receive privacy and security training annually.

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 ELIS has several levels of operator roles as well as two levels of read-only roles. The operator roles are only available to individuals trained and currently occupying specific jobs within USCIS, and their supervisors are required to certify that their official duties align with the role before it is granted to those individuals. Likewise, USCIS will default to assigning the lower-



level of read-only to users requesting that access, unless they certify with supervisor confirmation that they need to know certain sensitive data about customers as part of their routine official duties.

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 ELIS data would be subject to the USCIS formal review process for any data sharing agreements. That process includes, at a minimum, review by the Privacy Office, Counsel, and program officials entrusted with security of the data.

Responsible Officials

Donald Hawkins
Privacy Officer, U.S. Citizenship and Immigration Services
Department of Homeland Security

Approval Signature

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

Karen L. Neuman
Chief Privacy Officer
Department of Homeland Security



Appendix A

Immigration Benefit Types Processed in USCIS ELIS

August 17, 2016

Name of Immigration Benefit Type	Associated Forms and/or Collections	Paper Filings	Online Filings
Replacement of Permanent Resident Card	I-90, G-28	X	X
Deferred Action for Childhood Arrivals	I-821D, I-765, I-765WS, G-28	X	
USCIS Immigrant Fee	OMB Control Number 1615-0122 (not a form), DoS Immigrant Visa Packet (includes data from DS-260 and I-864)	N/A	X
Application for Naturalization	N-400, G-28	X	
Temporary Protected Status	I-821, I-765, I-131, G-28	X	



APPENDIX B

Mobile Application and Device Use During USCIS-Conducted In-Person Interviews

May 11, 2016

Summary:

As part of an immigration request, USCIS adjudicators may interview a customer if required to complete the adjudication. During in-person interviews for cases in USCIS ELIS only, USCIS adjudicators may use a mobile device equipped with a mobile application developed by and available only to USCIS. At the time of such interaction, USCIS adjudicators may corroborate information declared by the customer on a USCIS-issued form (e.g., spelling of a name), collect new information (e.g., signature), and collect and verify responses provided by the individual at the time of the in-person interaction. The customer will have access to the original submission when they establish a USCIS online account. The mobile device may also be used to capture and record the officer's and applicant's required signatures.

The mobile device will be physically connected to and communicate directly to USCIS ELIS through a USCIS computer. All data, including any personally identifiable information (PII), will be transmitted through a secured encryption method to ensure that the data is protected.

Data Elements:

The mobile device and application will not store any collected or presented information, but will serve as a screen of USCIS ELIS information through which the individual:

- Review biographical information;
- Review and verify any changes to information on the submitted USCIS form;
- Provide responses to any questions related to the in-person interview;
- Provide signature when required; and
- Certify that any revisions or changes to the information on the USCIS form are true and correct.

The USCIS adjudicator will follow current processes to verify identity of individuals at an in-person interview or examination.

Population:

Any individual participating in an in-person interaction, such as an interview, with USCIS for which the form being reviewed is in USCIS ELIS.

Privacy Risk: There is risk that individuals do not receive notice prior to USCIS collection of



information via the mobile application.

Mitigation: USCIS is not collecting information through a mobile device or application. USCIS is using this technology to facilitate the interview process by verifying a customer's submission to USCIS and changes made during the interview. This technology only presents to the customer the information already collected by USCIS directly from the customer. The customer will have notice of their information submitted into USCIS ELIS when they create a USCIS online account and opt to access the original submission to USCIS.

Privacy Risk: There is risk that information collected by the mobile application will not be submitted securely back to USCIS ELIS.

Mitigation: USCIS developed the mobile application to serve as screens for individuals at an in-person interview or examination and is used for USCIS internal use only. It will not be available in any commercial mobile device application store. The application will not cache or store any PII on the device. The mobile application will serve as a conduit for USCIS ELIS, and allow customers to review information and responses to questions contained in previously submitted USCIS applications, petitions, or request forms. This mobile application will transmit the information through a low-level Transmission Control Protocol/Internet Protocol (TCP/IP) over a Universal Serial Bus (USB) protocol to a "local host" (i.e., USCIS ELIS communication software installed on the adjudicator's computer). Removing the mobile device from a computer or connecting to any computer other than the designated USCIS computer will make the mobile application inoperable.

All communication functions, to include global positioning system (GPS) and cellular that are not needed for the USCIS mobile application to function, are disabled from the mobile device. Hardware functions that are not required for using the USCIS mobile application, such as the application marketplace, are also disabled. The mobile device will run in single application or a remote kiosk mode that will prevent USCIS adjudicators or customers from going to the device home page or successfully accessing other functions. USCIS-internal Wi-Fi connection may be temporarily enabled for finite periods of time only to update the mobile application. Designated administrators will be able to access device settings and perform updates using a key or passcode.

[Federal Register Volume 78, Number 225 (Thursday, November 21, 2013)]
[Notices]
[Pages 69864-69871]
From the Federal Register Online via the Government Publishing Office [www.gpo.gov]
[FR Doc No: 2013-27895]

DEPARTMENT OF HOMELAND SECURITY

Office of the Secretary

[Docket No. DHS-2013-0069]

Privacy Act of 1974; Department of Homeland Security U.S. Citizenship and Immigration Services, U.S. Immigration and Customs Enforcement, U.S. Customs and Border Protection--001 Alien File, Index, and National File Tracking System of Records

AGENCY: Department of Homeland Security, Privacy Office.

ACTION: Notice of update and reissuance of privacy act system of records.

SUMMARY: In accordance with the Privacy Act of 1974, the Department of Homeland Security proposes to update and reissue a current Department of Homeland Security system of records notice titled, "Department of Homeland Security U.S. Citizenship and Immigration Services, U.S. Immigration and Customs Enforcement, U.S. Customs and Border Protection--001 Alien File, Index, and National File Tracking System of Records," 76 FR 34233 (June 13, 2011). This system of records contains information regarding transactions involving an individual as he/she passes through the U.S. immigration and inspection process, some of which may also be covered by separate systems of records notices. This system of records contains personally identifiable information such as the individual's name, Alien Registration Number, receipt file number, date and place of birth, date and port of entry, as well as the location of each official Alien File. It may also contain other personal identifiers such as an individual's Social Security Number. The Department of Homeland Security is updating the Department of Homeland Security U.S. Citizenship and Immigration Services, U.S. Immigration and Customs Enforcement, U.S. Customs and Border Protection--001 Alien File, Index, and National File Tracking System of Records with the following substantive changes: (1) The addition of five routine uses and the modification of eight routine uses to allow the Department of Homeland Security to share information from this system; (2) Updated notification and access procedures; and (3) Language acknowledging the concurrent publication of a Final Rule exempting this system from certain provisions of the Privacy Act, including an exemption for records that are classified. This updated system will be included in the

[[Page 69865]]

Department of Homeland Security's inventory of record systems.

DATES: Submit comments on or before December 23, 2013. This updated system will be effective December 23, 2013.

ADDRESSES: You may submit comments, identified by docket number DHS-2013-0069 by one of the following methods:

Federal e-Rulemaking Portal: <http://www.regulations.gov>.

Follow the instructions for submitting comments.

Fax: 202-343-4010.

Mail: Jonathan R. Cantor, Deputy Chief Privacy Officer,

Privacy Office, Department of Homeland Security, Washington, DC 20528.

Instructions: All submissions received must include the agency name and docket number for this rulemaking. All comments received will be posted without change to <http://www.regulations.gov>, including any personal information provided.

Docket: For access to the docket to read background documents or comments received, please visit <http://www.regulations.gov>.

FOR FURTHER INFORMATION CONTACT: For general questions regarding this system of records please contact: Donald K. Hawkins (202) 272-8000, Privacy Officer, U.S. Citizenship and Immigration Services, 20 Massachusetts Avenue NW., Washington, DC 20525. For privacy questions please contact: Jonathan R. Cantor (202) 343-1717, Deputy Chief Privacy Officer, Privacy Office, Department of Homeland Security, Washington, DC 20528.

SUPPLEMENTARY INFORMATION:

I. Background

In accordance with the Privacy Act of 1974, 5 U.S.C. 552a, the Department of Homeland Security (DHS) U.S. Citizenship and Immigration Services (USCIS), U.S. Immigration and Customs Enforcement (ICE), U.S. Customs and Border Protection (CBP) proposes to update and reissue a

current DHS system of records titled, "DHS/USCIS-ICE-CBP-001 Alien File, Index, and National File Tracking System of Records."

DHS implements U.S. immigration law and policy through USCIS's processing and adjudication of applications and petitions submitted for citizenship, asylum, and other immigration benefits. USCIS also supports national security by preventing individuals from fraudulently obtaining immigration benefits and by denying applications from individuals who pose national security or public safety threats. U.S. immigration policy and law is also implemented through ICE's law enforcement activities and CBP's inspection and border security processes.

The Alien File (A-File), Index, and National File Tracking System of Records is the official record system that contains information regarding the transactions of an individual as he/she passes through the U.S. immigration and inspection process. The DHS/USCIS-ICE-CBP-001 Alien File, Index, and National File Tracking System of Records contains personally identifiable information (PII) such as the individual's name, Alien Registration Number, receipt file number, date and place of birth, date and port of entry, as well as the location of each official A-File. It may also contain other personal identifiers such as an individual's Social Security Number (SSN), if the individual has one and it is in the A-File. Some records contained in the DHS/USCIS-ICE-CBP-001 A-Files are derived from separate systems of record, in which case the system of records notice (SORN) pertaining to the originating system would govern the treatment of those records. Previously, the legacy agency Immigration and Naturalization Services (INS) collected and maintained information concerning all of these immigration and inspection interactions. Since the formation of DHS, however, immigration responsibilities have been divided among USCIS, ICE, and CBP. While USCIS is the custodian of the A-File, all three components create, contribute information to, and use A-Files, hence this joint System of Records Notice.

A notice detailing this system of records was last published in the Federal Register on June 13, 2011, as the DHS/USCIS-ICE-CBP-001 Alien File, Index, and National File Tracking System of Records, 76 FR 34233.

DHS is updating the DHS/USCIS-ICE-CBP-001 Alien File, Index, and National File Tracking System of Records to include the following substantive changes: (1) The addition of three routine uses and the modification of eight routine uses to clarify DHS's sharing of information from this system; (2) Updated notification and access procedures; and (3) Language acknowledging the concurrent publication of a Final Rule exempting this system from certain provisions of the Privacy Act, including an exemption for records that are classified.

DHS added five routine uses with the letter in parentheses corresponding to the new routine use:

(H) Allows DHS to share information with other federal, state, tribal, local or government agencies when these other agencies are investigating or prosecuting violations of statute rules, regulations, orders, and/or licenses.

(I) Allows DHS to share information with third parties during the course of a law enforcement investigation in order to obtain pertinent information.

(J) Allows DHS to share information with organizations or persons when there is reason to believe that the recipient is or could be the target of a particular terrorist activity.

(LL) Allows DHS to share information with family members when, under 8 CFR Sec. 103.8, DHS or an Executive Office for Immigration Review immigration judge makes a decision that an alien is mentally incompetent.

(OO) Allows DHS to share information with domestic government agencies when those agencies are seeking to determine the immigration status of individuals who have applied to purchase or obtain a firearm in the United States.

Below is a summary of the eight routine use modifications with the letter in parentheses corresponding to the routine use updated:

(A) Updated to clarify that records will be provided to "the United States or any agency thereof," without any further modifiers to the section.

(C) Updated to note that records will be provided specifically to General Services Administration rather than other federal government agencies.

(D) Updated to clarify language that records will not be given to individuals, but to agencies or organizations performing the audit.

(E) Updated to clarify language regarding a suspected or confirmed compromise of personally identifiable information in the system.

(F) Updated to clarify language that the contractors are subject to the requirements laid out in this system of records notice and the Privacy Act.

(K) Updated to clarify the language to reflect the practice associated with naturalization process.

(L) Updated to clarify that records will be provided to "the United States or any agency thereof," without any further modifiers to the section.

(M) Update language to refer to correct Code of Federal Regulations citation for the definition of an attorney or representative, and clarified that it is at the Department's discretion to use this routine use, as with any routine use published in this system of records.

Consistent with DHS's information sharing mission, information stored in the DHS/USCIS-ICE-CBP-001 may be shared with other DHS components that have a need to know the information to carry out their national security, law

[Page 69866]

enforcement, immigration, intelligence, or other homeland security functions. In addition, DHS may share with appropriate federal, state, local, tribal, territorial, foreign, or international government agencies after DHS determines that the receiving component or agency has a need to know the information to carry out national security, law enforcement, immigration, intelligence, or other functions consistent with the routine uses set forth in the A-File SORN, or other applicable exemptions under the Privacy Act.

Additionally, DHS is issuing a Final Rule elsewhere in the Federal Register, to exempt this system of records from certain provisions of the Privacy Act. This updated system will be included in DHS's inventory of record systems.

II. Privacy Act

The Privacy Act embodies fair information practice principles in a statutory framework governing the means by which federal government agencies collect, maintain, use, and disseminate individuals' records. The Privacy Act applies to information that is maintained in a "system of records." A "system of records" is a group of any records under the control of an agency from which information is retrieved by the name of an individual or by some identifying number, symbol, or other identifying particular assigned to the individual. In the Privacy Act, an individual is defined to encompass U.S. citizens and lawful permanent residents. As a matter of policy (Privacy Policy Guidance Memorandum 2007-01, most recently updated January 7, 2009), DHS extends administrative Privacy Act protections to all individuals, regardless of citizenship, when systems of records maintain information on U.S. citizens, lawful permanent residents, and visitors.

The Privacy Act requires each agency to publish in the Federal Register a description denoting the type and character of each system of records that the agency maintains, and the routine uses that are contained in each system in order to make agency record keeping practices transparent, to notify individuals regarding the uses to which their records are put, and to assist individuals with more easily finding such files within the agency. Below is the description of the DHS/USCIS-ICE-CBP-001 Alien File, Index, and National File Tracking System of Records.

In accordance with 5 U.S.C. 552a(r), DHS has provided a report of this system of records to the Office of Management and Budget and to Congress.

SYSTEM OF RECORDS

DHS/USCIS-ICE-CBP-001

System name:

Department of Homeland Security U.S. Citizenship and Immigration Services, U.S. Immigration and Customs Enforcement, U.S. Customs and Border Protection--001 Alien File, Index, and National File Tracking System of Records.

Security classification:

Unclassified, sensitive, for official use only, and classified.

System location:

Alien Files (A-Files) are maintained in electronic and paper format throughout DHS. Digitized A-Files are located in the Enterprise Document Management System (EDMS). The Central Index System (CIS) maintains an index of the key personally identifiable information (PII) in the A-File, which can be used to retrieve additional information through such applications as Enterprise Citizenship and Immigrations Services Centralized Operational Repository (eCISCOR), the Person Centric Query Service (PCQS) and the Microfilm Digitization Application System (MiDAS). The National File Tracking System (NFTS) provides a tracking system of where the A-Files are physically located, including whether the file has been digitized.

The databases maintaining the above information are located within the DHS data center in the Washington, DC metropolitan area as well as throughout the country. Computer terminals providing electronic access are located at U.S. Citizenship and Immigration Services (USCIS) sites at Headquarters and in the Field throughout the United States and at appropriate facilities under the jurisdiction of the U.S. Department of Homeland Security (DHS) and other locations at which officers of DHS component agencies may be posted or operate to facilitate DHS's mission of homeland security. Hard copies of the A-Files are primarily located at the records centers in Lee Summit, Missouri; Suitland, Maryland; San Bruno, California; Seattle, Washington; and Dayton, Ohio. Hard copies may also be located at Headquarters, Regional, District, and other USCIS file control offices in the United States and foreign countries as detailed on the agency's Web site, <http://www.USCIS.gov>. Hard copies may also be located at the offices and facilities of U.S. Immigration and Customs Enforcement (ICE) and U.S. Customs and Border Protection (CBP).

Categories of individuals covered by the system:

Lawful permanent residents;
Naturalized U.S. citizens;
U.S. citizens when petitioning for benefits under the Immigration and Nationality Act (INA) on behalf of another individual;
Individuals who receive or petition for benefits under the INA, and;
Individuals who are subject to the enforcement provisions of the INA;

Individuals who are subject to the INA and:

- (c) Are under investigation by DHS for possible national security threats or threats to the public safety,
- (c) were investigated by DHS in the past,
- (c) are suspected of violating immigration-related criminal or civil provisions of treaties, statutes, regulations, Executive Orders, and Presidential proclamations administered by DHS, or
- (c) are witnesses and informants having knowledge of such violations;

Relatives and associates of any of the individuals listed above who are subject to the INA;

Individuals who have renounced their U.S. Citizenship; or

Preparers, attorneys, and representatives who assist individuals during benefit and enforcement proceedings under the INA.

Note: Individuals may fall within one or more of these categories.

Categories of records in this system include:

A. The hardcopy paper A-File, which contains the official record material about each individual for whom DHS has created a record under the INA such as: naturalization certificates; various documents and attachments (e.g., birth and marriage certificates); applications and petitions for benefits under the Immigration and nationality laws; reports of arrests and investigations; statements; other reports; records of proceedings before or filings made with the U.S. immigration courts and any administrative or federal district court or court of appeal; correspondence; and memoranda. Specific data elements may include:

- Alien Registration Number(s) (A-Numbers);
- Receipt file number(s);
- Full name and any aliases used;
- Physical and mailing addresses;
- Phone numbers and email addresses;
- Social Security Number (SSN);

[[Page 69867]]

- Date of birth;
- Place of birth (city, state, and country);
- Countries of citizenship;
- Gender;
- Physical characteristics (height, weight, race, eye and hair color, photographs, fingerprints);
- Government-issued identification information (i.e., passport, driver's license):
 - (c) Document type,
 - (c) issuing organization,
 - (c) document number, and
 - (c) expiration date;
- Military membership;
- Arrival/Departure information (record number, expiration date, class of admission, etc.);
- Federal Bureau of Investigation (FBI) Identification Number;
- Fingerprint Identification Number;
- Immigration enforcement history, including arrests and charges, immigration proceedings and appeals, and dispositions including removals or voluntary departures;
- Immigration status;
- Family history;
- Travel history;
- Education history;
- Employment history;
- Criminal history;
- Professional accreditation information;
- Medical information relevant to an individual's application for benefits under the INA before DHS or the immigration court, an individual's removability from and/or admissibility to the United States, or an individual's competency before the immigration court;
- Specific benefit eligibility information as required by the benefit being sought; and
- Video or transcript of immigration interview.

B. EDMS maintains the electronic copy of the A-File (same information as above with the exception of material that cannot be scanned such as cassette tapes, CDs, or DVDs) if it was scanned from the paper file.

C. CIS contains information on those individuals who during their interactions with DHS have been assigned an A-Number. The system contains biographic information on those individuals, allowing DHS employees to quickly review the individual's immigration status. The information in the system can then be used to retrieve additional information on the individual from other systems. The information in the system can be used to request the hard copy A-File from the DHS File Control Office that has custody of the file. Specific data elements may include:

- A-Number(s);
- Full name and any aliases used;
- SSN;
- Date of birth;
- Place of birth (city, state, and country);
- Country of citizenship;
- Gender;
- Government issued identification information (i.e., passport, driver's license):

{cir} Document type,
 {cir} issuing organization,
 {cir} document number, and
 {cir} expiration date;
 Arrival/Departure information (record number, expiration date, class of admission etc.);
 Immigration status;
 Father and Mother's first name;
 FBI Identification Number;
 Fingerprint Identification Number;
 Immigration enforcement history, including arrests and charges, immigration proceedings and appeals, and dispositions including removals or voluntary departures; and
 File Control Office location of the paper or electronic A-File.

D. NFTS contains the location of the A-File to a more detailed level within the DHS File Control Office. Specific data elements include:

A-Number(s);
 Receipt File Number; and
 Location of the paper or electronic A-File and Receipt File at and within the DHS File Control Office, as well as the history of who has maintained the A-File, including the component, section, and employee.

Authority for maintenance of the system:

Authority for maintaining this system is in Sections 103 and 290 of the INA, as amended (8 U.S.C. 1103 and 1360), and the regulations issued pursuant thereto; and Section 451 of the Homeland Security Act of 2002 (Pub. L. 107-256), codified at 6 U.S.C. 271.

Purpose(s):

The purpose of the A-File is to facilitate the enforcement and provision of benefits under the INA and related statutes. A-Files, EDMS, CIS, and NFTS are used primarily by DHS employees for immigration benefits processing, protection of national security, and administering and enforcing immigration and nationality laws and related statutes.

The purpose of the A-File is to document an individual's benefits and enforcement transactions as he/she passes through the U.S. immigration and inspection process.

The purpose of CIS is to provide a searchable central index of A-Files and to support the location and transfer of A-Files among DHS personnel and offices as needed in support of immigration benefits and enforcement actions.

The purpose of NFTS is to accurately account for the specific physical location of A-Files and Receipt Files within a DHS File Control Office, and to track the request and transfer of all A-Files and Receipt Files.

These records assist DHS with processing applications for benefits under applicable immigration laws; detecting violations of these laws; supporting the referral of such violations for prosecution or other appropriate enforcement action; supporting law enforcement efforts and the inspection process; and supporting protection of the United States borders.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Note: Even when a valid routine use permits disclosure of information from this system of records to a third party, in some cases such disclosure may not be permissible because of confidentiality laws and policies that limit the sharing of information about the application for, or award of certain immigration benefits. For example, information in this system of records contained in or pertaining to applications for asylum or refugee protection, information relating to persons who have pending or approved petitions for protection under the Violence Against Women Act (VAWA), Seasonal Agricultural Worker or Legalization claims, the Temporary Protected Status of an individual, and information relating to S, T, or U visas should not be disclosed pursuant to a routine use unless disclosure is otherwise permissible under the confidentiality statutes, regulations, or policies applicable to that information. However, these confidentiality provisions do not prevent DHS from disclosing information to the U.S. Department of Justice and Offices of the United States Attorneys as part of an ongoing criminal or civil investigation.

In addition to those disclosures generally permitted under 5 U.S.C. 552a(b) of the Privacy Act, all or a portion of the records or information contained in this system may be disclosed outside DHS as a routine use pursuant to 5 U.S.C. 552a(b)(3) as follows:

A. To the Department of Justice (DOJ), including U. S. Attorneys' Offices, or other federal agency conducting litigation or in proceedings before any court, adjudicative or administrative

[[Page 69868]]

body, when it is necessary or relevant to the litigation and one of the following is a party to the litigation or has an interest in such litigation:

1. DHS or any component thereof;
 2. Any employee of DHS in his/her official capacity;
 3. Any employee of DHS in his/her individual capacity when DOJ or DHS has agreed to represent the employee; or
 4. The United States or any agency thereof.
- B. To a congressional office from the record of an individual in response to an inquiry from that congressional office made at the

request of the individual to whom the record pertains.

C. To the National Archives and Records Administration or General Services Administration pursuant to records management inspections being conducted under the authority of 44 U.S.C. 2904 and 2906.

D. To an agency or organization, for the purpose of performing audit or oversight operations as authorized by law, but only such information as is necessary and relevant to such audit or oversight function.

E. To appropriate agencies, entities, and persons when:

1. DHS suspects or has confirmed that the security or confidentiality of information in the system of records has been compromised;

2. DHS has determined that as a result of the suspected or confirmed compromise, there is a risk of identity theft or fraud, harm to economic or property interests, harm to the security or integrity of this system or other systems or programs (whether maintained by DHS or another agency or entity) or harm to the individuals that rely upon the compromised information; and

3. The disclosure made to such agencies, entities, and persons is reasonably necessary to assist in connection with DHS's efforts to respond to the suspected or confirmed compromise and prevent, minimize, or remedy such harm.

F. To contractors and their agents, grantees, experts, consultants, and others performing or working on a contract, service, grant, cooperative agreement, or other assignment for DHS, when necessary to accomplish an agency function related to this system of records. Individuals provided information under this routine use are subject to the same Privacy Act requirements and limitations on disclosure as are applicable to DHS officers and employees.

G. To an appropriate federal, state, tribal, territorial, local, international, or foreign law enforcement agency or other appropriate authority charged with investigating or prosecuting a violation or enforcing or implementing a law, rule, regulation, or order, when a record, either on its face or in conjunction with other information, indicates a violation or potential violation of law, which includes criminal, civil, or regulatory violations.

H. To appropriate federal, state, tribal, local, or foreign governmental agencies or multilateral governmental organizations responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license, when DHS believes the information would assist in enforcing applicable civil or criminal laws.

I. To third parties during the course of a law enforcement investigation to the extent necessary to obtain information pertinent to the investigation.

J. To an organization or person in either the public or private sector, either foreign or domestic, when there is a reason to believe that the recipient is or could become the target of a particular terrorist activity or conspiracy, or when the information is relevant to the protection of life, property, or other vital interests of a person.

K. To clerks and judges of courts exercising naturalization jurisdiction for the purpose of granting or revoking naturalization.

L. To courts, magistrates, administrative tribunals, opposing counsel, parties, and witnesses, in the course of immigration, civil, or criminal proceedings before a court or adjudicative body when it is necessary or relevant to the litigation or proceeding and the following is a party to the proceeding or has an interest in the proceeding:

1. DHS or any component thereof; or
2. Any employee of DHS in his or her official capacity; or
3. Any employee of DHS in his or her individual capacity when the DOJ or DHS has agreed to represent the employee; or
4. The United States or any agency thereof.

M. To an attorney or representative (as defined in 8 CFR 1.2) who is acting on behalf of an individual covered by this system of records in connection with any proceeding before USCIS, ICE, or CBP or the Executive Office for Immigration Review, as required by law or as deemed necessary in the discretion of the Department.

N. To DOJ (including Offices of the United States Attorneys) or other federal agency conducting litigation or in proceedings before any court, adjudicative, or administrative body, when necessary to assist in the development of such agency's legal and/or policy position.

O. To the Department of State in the processing of petitions or applications for benefits under the INA, and all other immigration and nationality laws including treaties and reciprocal agreements; or when the Department of State requires information to consider and/or provide an informed response to a request for information from a foreign, international, or intergovernmental agency, authority, or organization about an alien or an enforcement operation with transnational implications.

P. To appropriate federal, state, local, tribal, territorial, or foreign governments, as well as to other individuals and organizations during the course of an investigation by DHS or the processing of a matter under DHS's jurisdiction, or during a proceeding within the purview of the immigration and nationality laws, when DHS deems that such disclosure is necessary to carry out its functions and statutory mandates.

Q. To an appropriate federal, state, tribal, territorial, local, or foreign government agency or organization, or international organization, lawfully engaged in collecting law enforcement intelligence, whether civil or criminal, or charged with investigating, prosecuting, enforcing, or implementing civil or criminal laws, related rules, regulations, or orders, to enable these entities to carry out their law enforcement responsibilities, including the collection of law

enforcement intelligence and the disclosure is appropriate to the proper performance of the official duties of the person receiving the information.

R. To an appropriate federal, state, local, tribal, territorial, foreign, or international agency, if the information is relevant to a requesting agency's decision concerning the hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit, or if the information is relevant to a DHS decision concerning the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit.

S. To an appropriate federal, state, local, tribal, territorial, foreign, or international agency, if DHS determines: (1) The information is relevant and necessary to that agency's decision concerning the hiring or retention of an individual, or issuance of a security

[[Page 69869]]

clearance, license, contract, grant, or other benefit; and (2) Failure to disclose the information is likely to create a substantial risk to government facilities, equipment, or personnel; sensitive information; critical infrastructure; or public safety.

T. To appropriate federal, state, local, tribal, or foreign governmental agencies or multilateral governmental organizations for the purpose of protecting the vital interests of a data subject or other persons, including to assist such agencies or organizations in preventing exposure to, or transmission of a communicable or quarantinable disease or to combat other significant public health threats; appropriate notice will be provided of any identified health threat or risk.

U. To an individual's current employer to the extent necessary to determine employment eligibility or to a prospective employer or government agency to verify whether an individual is eligible for a government-issued credential that is a condition of employment.

V. To a former employee of DHS, in accordance with applicable regulations, for purposes of: responding to an official inquiry by a federal, state, or local government entity or professional licensing authority; or facilitating communications with a former employee that may be necessary for personnel-related or other official purposes when DHS requires information or consultation assistance from the former employee regarding a matter within that person's former area of responsibility.

W. To the Office of Management and Budget in connection with the review of private relief legislation as set forth in OMB Circular No. A-19 at any stage of the legislative coordination and clearance process as set forth in the Circular.

X. To the U.S. Senate Committee on the Judiciary or the U.S. House of Representatives Committee on the Judiciary when necessary to inform members of Congress about an alien who is being considered for private immigration relief.

Y. To a federal, state, tribal, or local government agency and/or to domestic courts to assist such agencies in collecting the repayment of loans, or fraudulently or erroneously secured benefits, grants, or other debts owed to them or to the United States Government, or to obtain information that may assist DHS in collecting debts owed to the United States Government.

Z. To an individual or entity seeking to post or arrange, or who has already posted or arranged, an immigration bond for an alien, to aid the individual or entity in (1) identifying the location of the alien; (2) posting the bond; (3) obtaining payments related to the bond; or (4) conducting other administrative or financial management activities related to the bond.

AA. To a coroner for purposes of affirmatively identifying a deceased individual (whether or not such individual is deceased as a result of a crime).

BB. Consistent with the requirements of the INA, to the Department of Health and Human Services (HHS), the Centers for Disease Control and Prevention (CDC), or to any state or local health authorities, to:

1. Provide proper medical oversight of DHS-designated civil surgeons who perform medical examinations of both arriving aliens and of those requesting status as lawful permanent residents; and
2. Ensure that all health issues potentially affecting public health and safety in the United States are being or have been, adequately addressed.

CC. To a federal, state, local, tribal, or territorial government agency seeking to verify or ascertain the citizenship or immigration status of any individual within the jurisdiction of the agency for any purpose authorized by law.

DD. To the Social Security Administration (SSA) for the purpose of issuing a SSN and card to an alien who has made a request for a SSN as part of the immigration process and in accordance with any related agreements in effect between the SSA, DHS, and the Department of State entered into pursuant to 20 CFR 422.103(b)(3), 422.103(c)(3), and 422.106(a), or other relevant laws and regulations.

EE. To federal and foreign government intelligence or counterterrorism agencies or components when DHS becomes aware of an indication of a threat or potential threat to national or international security, or when such use is to conduct national intelligence and security investigations or assist in anti-terrorism efforts.

FF. To third parties to facilitate placement or release of an individual (e.g., at a group home, homeless shelter) who has been or is about to be released from DHS custody, but only such information that

is relevant and necessary to arrange housing or continuing medical care for the individual.

GG. To an appropriate domestic government agency or other appropriate authority for the purpose of providing information about an individual who has been or is about to be released from DHS custody who, due to a condition such as mental illness, may pose a health or safety risk to himself/herself or to the community. DHS will only disclose information about the individual that is relevant to the health or safety risk they may pose and/or the means to mitigate that risk (e.g., the individual's need to remain on certain medication for a serious mental health condition).

HH. To foreign governments for the purpose of coordinating and conducting the removal of individuals to other nations under the INA; and to international, foreign, and intergovernmental agencies, authorities, and organizations in accordance with law and formal or informal international arrangements.

II. To a federal, state, local, territorial, tribal, international, or foreign criminal, civil, or regulatory law enforcement authority when the information is necessary for collaboration, coordination, and de-confliction of investigative matters, prosecutions, and/or other law enforcement actions to avoid duplicative or disruptive efforts and to ensure the safety of law enforcement officers who may be working on related law enforcement matters.

JJ. To the DOJ Federal Bureau of Prisons and other federal, state, local, territorial, tribal, and foreign law enforcement or custodial agencies for the purpose of placing an immigration detainee on an individual in that agency's custody, or to facilitate the transfer of custody of an individual from DHS to the other agency. This will include the transfer of information about unaccompanied minor children to HHS to facilitate the custodial transfer of such children from DHS to HHS.

KK. To federal, state, local, tribal, territorial, or foreign governmental or quasi-governmental agencies or courts to confirm the location, custodial status, removal, or voluntary departure of an alien from the United States, in order to facilitate the recipients' exercise of responsibilities pertaining to the custody, care, or legal rights (including issuance of a U.S. passport) of the removed individual's minor children, or the adjudication or collection of child support payments or other debts owed by the removed individual.

LL. To a federal, state, tribal, territorial, local, international, or foreign government agency or multilateral governmental organization for the purpose of consulting with that agency or entity: (1) To assist in making a determination regarding redress for an individual in connection with the operations of a DHS component or program; (2) for the purpose of verifying

[[Page 6970]]

the identity of an individual seeking redress in connection with the operations of a DHS component or program; or (3) for the purpose of verifying the accuracy of information submitted by an individual who has requested such redress on behalf of another individual.

MM. To family members, guardians, committees, friends, or other agents identified by law or regulation to receive notification, decisions, and other papers as provided in 8 CFR 103.8 from the Department of Homeland Security or Executive Office for Immigration Review following verification of a familial or agency relationship with an alien when DHS is aware of indicia of incompetency or when an immigration judge determines an alien is mentally incompetent.

NN. To the news media and the public, with the approval of the Chief Privacy Officer in consultation with counsel, when there exists a legitimate public interest in the disclosure of the information or when disclosure is necessary to preserve confidence in the integrity of DHS or is necessary to demonstrate the accountability of DHS's officers, employees, or individuals covered by the system, except to the extent it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

OO. To domestic governmental agencies seeking to determine the immigration status of persons who have applied to purchase/obtain a firearm in the United States, pursuant to checks conducted on such persons under the Brady Handgun Violence Prevention Act or other applicable laws.

Disclosure to consumer reporting agencies:

None.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records in this system are stored electronically or on paper in secure facilities in a locked drawer behind a locked door. The records may be stored on magnetic disc, tape, digital media, and CD-ROM.

Retrievability:

Digitized A-Files maintained in EDMS can be searched and retrieved by any of the following fields alone or in any combination:

A-Number;
Last name;
First name;
Middle name;
Aliases;

Date of birth;
Country of birth;
Gender; and

Through a full text-based search of records contained in the digitized A-File (based on optical character recognition of the scanned images).

The location of the paper record from which the digitized A-File was produced can be searched in CIS using the following data:

A-Number;
Full name;
Alias;
Sounds-like name with or without date of birth;
Certificate of Citizenship or Naturalization Certificate number;
Driver's License Number;
FBI Identification Number;
Fingerprint Identification Number;
I-94 admission number;
Passport number;
SSN; or
Travel document number.

The location of the paper or digitized record A-Files and Receipt Files can be searched in NFTS using the following data:

A-Number; or
Receipt File Number.

Safeguards:

Records in this system are safeguarded in accordance with applicable rules and policies, including all applicable DHS automated systems security and access policies. Strict controls have been imposed to minimize the risk of compromising the information that is being stored. Access to the computer system containing the records in this system is limited to those individuals who have a need to know the information for the performance of their official duties and who have appropriate clearances or permissions.

Retention and disposal:

The A-File records are permanent whether hard copy or electronic. A-Files are transferred to the custody of the National Archives 100 years after the individual's date of birth. Newly-eligible files are transferred to the National Archives every five years. When a paper A-File is digitized, the digitized A-File maintained in EDMS becomes the official record and maintains the same retention schedule as the original paper A-File. The hard copy files are sent to the records center once the records have been digitized.

CIS records are permanently retained on-site because they are the index of where the physical A-File is and whether it has been transferred to the National Archives.

NFTS records are temporary and deleted when they are no longer needed for agency business. The records exist only as a reference to a physical or digital file, and exist for as long as the referenced file exists. NFTS records associated with an A-File will be retained on a permanent basis even after the A-File has been retired to NARA to retain accurate recordkeeping. Receipt Files with a shorter retention period will have the associated NFTS record destroyed or deleted once the file has been destroyed.

System Manager and address:

The DHS system manager is the Chief, Records Division, U.S. Citizenship and Immigration Services, Department of Homeland Security, 20 Massachusetts Avenue NW., Washington, DC 20529.

Notification procedure:

The Secretary of Homeland Security has exempted this system from the notification, access, and amendment procedures of the Privacy Act because it contains classified and sensitive unclassified information related to intelligence, counterterrorism, homeland security, and law enforcement programs. These exemptions apply only to the extent that records in the system are subject to exemption. However, USCIS will consider individual requests to determine whether or not information may be released. Individuals seeking notification of and access to any record contained in this system of records, or seeking to contest its content, may submit a request in writing to the USCIS FOIA Officer, whose contact information can be found at <http://www.dhs.gov/foia> under "Contacts." When seeking records about yourself from this system of records or any other DHS system of records your request must conform with the Privacy Act regulations set forth in 6 CFR Part 5. You must first verify your identity, meaning that you must provide your full name, current address, and date and place of birth. You must sign your request, and your signature must either be notarized or submitted under 28 U.S.C. Sec. 1746, a law that permits statements to be made under penalty of perjury as a substitute for notarization. While no specific form is required, you may obtain forms for this purpose from the Chief Privacy Officer and Chief Freedom of Information Act Officer, <http://www.dhs.gov/foia> or 1-866-431-0486. In addition, you should:

Explain why you believe DHS would have information on you:

[[Page 69871]]

Identify which component(s) of DHS you believe may have the information about you;

Specify when you believe the records would have been created; and

Provide any other information that will help the FOIA staff determine which DHS component agency may have responsive records.

If your request is seeking records pertaining to another living individual, you must include a statement from that individual certifying his/her agreement for you to access his/her records.

Without the above information, the component(s) may not be able to conduct an effective search, and your request may be denied due to lack of specificity or lack of compliance with applicable regulations.

Record access procedures:

See "Notification procedure" above.

Contesting record procedures:

See "Notification procedure" above.

Record source categories:

Basic information contained in DHS records is supplied by individuals on Department of State and DHS applications and forms. Other information comes from inquiries or complaints from members of the general public and members of Congress; referrals of inquiries or complaints directed to the President or Secretary of Homeland Security; reports of investigations, sworn statements, correspondence, official reports, memoranda, and written referrals from other entities, including federal, state, and local governments, various courts and regulatory agencies, foreign government agencies, and international organizations.

Exemptions claimed for the system:

The Secretary of Homeland Security has exempted this system from the following provisions of the Privacy Act pursuant to 5 U.S.C. 552a(j)(2); 5 U.S.C. 552a(c)(3), (c)(4), (d), (e)(1), (e)(2), (e)(3), (e)(4)(G), (e)(4)(H), (e)(4)(I), (e)(5), (e)(8), (e)(12), (f), (g)(1), and (h). Additionally, the Secretary of Homeland Security has exempted this system from the following provisions of the Privacy Act pursuant to 5 U.S.C. 552a(k)(1) and (k)(2); 5 U.S.C. 552a(c)(3), (d), (e)(1), (e)(4)(G), (e)(4)(H), (e)(4)(I), and (f).

Dated: October 28, 2013.

Jonathan R. Cantor,
Deputy Chief Privacy Officer, Department of Homeland Security.
[FR Doc. 2013-27895 Filed 11-20-13; 8:45 am]
BILLING CODE 9111-97-P

[Federal Register Volume 79, Number 154 (Monday, August 11, 2014)]
 [Notices]
 [Pages 46857-46862]
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 [FR Doc No: 2014-18703]

DEPARTMENT OF HOMELAND SECURITY

Office of the Secretary

(Docket No. DHS-2014-0039)

Privacy Act of 1974; Department of Homeland Security/ALL-037 E-Authentication Records System of Records

AGENCY: Privacy Office, Department of Homeland Security.

ACTION: Notice of Privacy Act System of Records.

SUMMARY: In accordance with the Privacy Act of 1974, the Department of Homeland Security proposes to establish a new system of records titled, Department of Homeland Security/ALL-037 E-Authentication Records System of Records. This system of records allows the Department of Homeland Security to collect, maintain, and retrieve records about individuals, including members of the public, who electronically authenticate their identities. The information in this system of records includes data collected by programs and applications for use when the Department of Homeland Security or a

[[Page 46858]]

trusted third-party performs some or all of the functions required to enroll, issue, and maintain a credential on DHS's behalf that can be used by an individual to electronically authenticate his or her identity to DHS systems.

These programs and applications include: The Department of Homeland Security's Homeland Security Information Network, which is a trusted network for homeland security mission operations to share sensitive but unclassified information used by federal, state, local, tribal, territorial, international, and private sector homeland security partners to manage operations, analyze data, and send alerts and notices; the U.S. Citizenship and Immigration Services E-Verify Self Check, which is a free service that allows individuals to learn about their work authorization status information; and the U.S. Citizenship and Immigration Services myE-Verify, which is a free service that allows individuals to create an account and access additional features beyond Self Check concerning the use of their personally identifiable information in E-Verify and Self Check such as the ability to lock a Social Security number to prevent its use in E-Verify and Self Check. Additional Department programs or applications may also use third-party authentication.

In addition, the Department of Homeland Security also proposes to consolidate the E-Verify Self Check System of Records (DHS/USCIS-013), last published in the Federal Register on February 16, 2011 (76 FR 9604), into this newly established E-Authentication Records System of Records. As a result of this consolidation, by this notice, DHS intends to remove DHS/USCIS-013 from its inventory of systems of records. The newly established system will be included in the Department of Homeland Security's inventory of record systems.

DATES: Written comments must be submitted on or before September 10, 2014.

ADDRESSES: You may submit comments, identified by Docket Number DHS-2014-0039 by one of the following methods:

Federal e-Rulemaking Portal: <http://www.regulations.gov>.
 Follow the instructions for submitting comments.

Fax: (202) 343-4010.

Mail: Karen L. Neuman, Chief Privacy Officer, Privacy Office, U.S. Department of Homeland Security, 245 Murray Drive SW., Building 410, STOP-0655, Washington, DC 20528.

Instructions: All submissions received must include the agency name and docket number for this rulemaking. All comments received will be posted without change to <http://www.regulations.gov>, including any personal information provided.

Docket: For access to the docket to read background documents or comments received go to <http://www.regulations.gov>.

FOR FURTHER INFORMATION CONTACT: For general and privacy related questions please contact: Karen L. Neuman (202-343-1717), Chief Privacy Officer, Privacy Office, U.S. Department of Homeland Security, 245 Murray Drive SW., Building 410, STOP-0655, Washington, DC 20528.

SUPPLEMENTARY INFORMATION:

I. Background

In accordance with the Privacy Act of 1974, 5 U.S.C. 552a, the Department of Homeland Security (DHS) proposes to establish a new DHS system of records titled, "DHS/ALL-037 E-Authentication Records System of Records." The collection and maintenance of information within this system of records assists DHS in enrolling, issuing, and maintaining

credentials (e.g., online accounts) for individuals seeking electronic access to DHS programs, services, and applications, including when DHS uses a trusted third-party identity service provider for these activities. DHS may perform some or all credential management functions (e.g., identity proofing, manage authentication tokens, authenticate user) on its own, choose a single third-party to perform all functions, or use multiple providers for each discrete function. This system of records notice is agnostic as to how DHS applications or systems using electronic authentication wish to engage with third-parties.

DHS has many public-facing programs that provide online access to its services at various levels of assurance, as described in the Office of Management and Budget (OMB) E-Authentication Guidance for Federal Agencies (M-04-04). OMB defines four levels of assurance (LOA), Levels 1 to 4, in terms of the consequences resultant from authentication errors or misuse of credentials. Level 1 is the lowest assurance level, and Level 4 is the highest. For example, an authentication error may occur if an individual gains access to sensitive information he or she is not entitled to access. Depending on the context and the sensitivity of the information accessed, the consequences of such an authentication error could pose significant harm to other individuals and/or to the affected agency. As the consequences of an authentication error become more serious, the required LOA increases.

In order to facilitate access, information must be collected to authenticate an individual's identity at the requisite level of assurance for the purpose of obtaining a credential or electronically authorizing access to a DHS program or application. These programs and applications include: DHS's Homeland Security Information Network (HSIN), which is a trusted network for homeland security mission operations to share sensitive but unclassified information used by federal, state, local, tribal, territorial, international, and private sector homeland security partners to manage operations, analyze data, and send alerts and notices; the U.S. Citizenship and Immigration Services (USCIS) E-Verify Self Check, which is a free service that allows individuals to learn about their work authorization status information; and USCIS myE-Verify, which is a free service that allows individuals to create an account and exercise limited control about the use of their information in E-Verify Self Check. HSIN, E-Verify Self Check, and myE-Verify use trusted third-party identity service providers to perform credential management functions.

Identity proofing is the process by which an identity service provider collects and verifies information (e.g., name, date of birth, Social Security number (SSN), address of residence) about a person for the purpose of issuing credentials to that person. Third-party identity service providers use a variety of verification techniques, including knowledge-based authentication, to generate a quiz containing questions that only the individual should be able to answer. When using the knowledge-based authentication process the third-party identity provider generates a quiz based on commercial identity verification information collected by the third-parties from financial institutions, public records, and other service providers. The information accessed by the third-parties includes information such as the individual's commercial transaction history, mortgage payments, addresses, or past addresses. DHS does not have access to the commercial identity verification information, the quiz questions asked of the individual, or the responses provided thereto; therefore this commercial information is not included in this system of records. Rather, DHS receives assertions (e.g., pass/fail) and assertion references (e.g., transaction ID, date/time of the transaction, and error codes) from the

[[Page 46559]]

identity service provider to facilitate troubleshooting and system management. DHS maintains attributes (e.g., clearances, location, biometrics, and group memberships) collected for identity proofing only when necessary for the DHS program to manage the credential.

DHS may request verified attributes about an individual from the third-party depending on the program or application's requirements. For any attribute DHS requests from the third-party, DHS will ask the user if he or she wishes to share the requested information with DHS prior to gaining access to the DHS online system or application. The user can select to opt-in, meaning he or she will allow DHS access to his or her attribute information from the third-party in order for him or her to gain access to the DHS system. If the third-party cannot generate a quiz, or if the individual cannot answer the questions provided, the individual may not be able to access program or application.

DHS may share attribute information with trusted third-party identity service providers under contract with DHS or certified by the Federal Identity Management Credential and Access Management (FICAM) initiative for the purpose of authenticating an individual seeking a credential with DHS. More information about FICAM is available at www.dhs.gov/ficam. Attributes provided to the relying party are limited to: (1) Making authorization decisions; (2) dynamically provisioning accounts; and (3) performing audit logging. The transaction may be included in the individual's credit record as a "soft inquiry" that does not impact the individual's credit score when the identity service provider is a credit bureau or uses a credit bureau to conduct identity proofing. The "soft inquiry" is not viewable by third parties. DHS may also share attribute information with "relying parties" approved by the National Information Exchange Federation (NIEF) Trust Framework Provider who provide federated access to systems. More information about NIEF is available at <http://www.nief.gov>.

In accordance with the Privacy Act of 1974, DHS is giving notice that it proposes to issue a new DHS system of records notice titled, DHS/ALL-037 E-Authentication Records System of Records. In addition DHS proposes to consolidate the E-Verify Self Check System of Records (DHS/USCIS-013) into this newly-established system of records. As a result of this consolidation, by this notice, DHS intends to remove DHS/USCIS-013 from its inventory of systems of records. This newly established

system will be included in DHS's inventory of record systems.

II. Privacy Act

The Privacy Act embodies fair information principles in a statutory framework governing the means by which the federal government agencies collect, maintain, use, and disseminate individuals' records. The Privacy Act applies to information that is maintained in a "system of records." A "system of records" is a group of any records under the control of an agency from which information is retrieved by the name of an individual or by some identifying number, symbol, or other identifying particular assigned to the individual. In the Privacy Act, an individual is defined to encompass United States citizens and lawful permanent residents. As a matter of policy, DHS extends administrative Privacy Act protections to all individuals when systems of records maintain information on U.S. citizens, lawful permanent residents, and visitors. Individuals may request access to their own records that are maintained in a system of records in the possession or under the control of DHS by complying with DHS Privacy Act regulations, 6 CFR part 5.

The Privacy Act requires each agency to publish in the Federal Register a description denoting the type and character of each system of records that the agency maintains, and the routine uses that are contained in each system in order to make agency record keeping practices transparent, to notify individuals regarding the uses to which their records are put, and to assist individuals to more easily find such files within the agency. Below is the description of DHS/ALL-037 E-Authentication Records System of Records.

In accordance with 5 U.S.C. 552a(r), DHS has provided a report of this system of records to the Office of Management and Budget and to Congress.

System of Records:

Department of Homeland Security (DHS)/ALL-037.

System name:

DHS/ALL-037 E-Authentication Records System of Records.

Security classification:

Sensitive but unclassified.

System location:

Records are maintained at several Headquarters locations and in component offices of DHS, in both Washington, DC, and field locations or by a third-party identity service provider. Records related to identity proofing required for levels of assurance (LOA) 2 and above are also maintained by the third-party identity service provider in accordance with retention requirements identified in the National Institute of Standards and Technology (NIST) Special Publication 800-63 Electronic Authentication Guideline for the applicable LOA.

Categories of individuals covered by the system:

Categories of individuals in this system of records include members of the public, external stakeholders, and federal employees or contractors seeking electronic access to DHS programs and applications. This includes anyone attempting to authenticate his or her identity for the purpose of obtaining a credential to access a DHS program or application electronically, including when the program or application uses a third-party identity service provider to perform some or all credential management functions (e.g., prove identity, manage authentication tokens, authenticate users).

Categories of records in the system:

Attributes DHS or a third-party identity service provider collects necessary to perform identity proofing at the required level of assurance. Attributes are only retained in this system of records if it is necessary for the program to manage the credential. Examples of attributes collected for identity proofing information include:

[cfr] Name (last, first, middle, and maiden);
 [cfr] Date of birth;
 [cfr] Place of birth;
 [cfr] Financial or utility account number;
 [cfr] Address of residence;
 [cfr] Social Security number (SSN)--full or partial (may be optional depending on the application);
 [cfr] Telephone number--(may be optional depending on the application); and
 [cfr] Country of Citizenship.

Assertions and assertion references from a third-party identity service provider such as:

[cfr] Transaction ID;
 [cfr] Pass/fail indicator;
 [cfr] Date/time of the transaction;
 [cfr] Codes associated with the transaction;

Information DHS or third-parties collect necessary to register, issue, and maintain the credential (e.g., to administer multi-factor authentication)

[[Page 46860]]

Including verified attributes the identity service provider maintains or passes to DHS after a user successfully passes identity proofing such as:

[cfr] Name;
 [cfr] Email addresses;
 [cfr] User ID;
 [cfr] Passwords;
 [cfr] Phone numbers (primary, alternate, mobile, home, work, landline);
 [cfr] Two-factor authentication preference (SMS text message,

email, phone number for interactive voice response):

[cfr] Self-generated security questions and answers;

[cfr] Level of access;

Credential registration information DHS collects manually that is necessary to perform manual identity verification in cases in which an individual cannot electronically prove his or her identity. Note that some identity proofing information (e.g., copies of government-issued photo identification) is retained in this system of records only if it is necessary for DHS to manage the credential.

Other program-specific attribute information DHS or the identity service provider collects directly on behalf of DHS may include:

[cfr] Citizenship;

[cfr] Accepted Terms of Service (Y/N);

[cfr] Employment information such as job title, job role,

organization;

[cfr] Business and affiliations;

[cfr] Faculty positions held;

[cfr] Home addresses;

[cfr] Business addresses;

[cfr] Justification/nomination for access to DHS computers, networks, or systems;

[cfr] Supervisor/nominator's name, job title, organization, phone numbers, email address;

[cfr] Verification of training requirements or other prerequisite requirements for access to DHS computers, networks, or systems;

[cfr] Government-issued identity document type and expiration date;

Records on access to DHS computers, networks, online programs, and applications including user ID and passwords;

[cfr] Registration numbers or IDs associated with DHS Information Technology (IT) resources;

[cfr] Date and time of access;

[cfr] Logs of activity interacting with DHS IT resources;

[cfr] Internet Protocol (IP) address of access;

[cfr] Logs of internet activity; and

[cfr] Records on the authentication of the access request, names, phone numbers of other contacts, and positions or business/organizational affiliations and titles of individuals who can verify that the individual seeking access has a need to access the system, as well as other contact information provided to the Department or that is derived from other sources to facilitate authorized access to DHS IT resources.

Authority for maintenance of the system:

44 U.S.C. 3101; EO 5397 (SSN), as amended by EO 13487; 44 U.S.C. 3534; Illegal Immigration Reform and Immigrant Responsibility Act of 1996 (IIRIRA), Public Law (Pub. L.) 104-208, September 30, 1996, Note Section 404. Additional programmatic authorities may apply to maintenance of the credential.

Purpose(s):

This system collects information in order to authenticate an individual's identity for the purpose of obtaining a credential to electronically access a DHS program or application. This system includes DHS programs or applications that use a third-party identity service provider to provide any of the following credential services: Registration, including identity proofing, issuance, authentication, authorization, and maintenance. This system collects information that allows DHS to track the use of programs and applications for system maintenance and troubleshooting. The system also enables DHS to allow an individual to reuse a credential received when applicable and available.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

In addition to those disclosures generally permitted under 5 U.S.C. Sec. 552a(b) of the Privacy Act, all or a portion of the records or information contained in this system may be disclosed outside DHS as a routine use pursuant to 5 U.S.C. Sec. 552a(b)(3), as follows:

A. To the Department of Justice (DOJ), including Offices of the U.S. Attorneys, or other federal agency conducting litigation or in proceedings before any court, adjudicative, or administrative body, when it is relevant or necessary to the litigation and one of the following is a party to the litigation or has an interest in such litigation:

1. DHS or any component thereof;

2. Any employee or former employee of DHS in his/her official capacity;

3. Any employee or former employee of DHS in his/her individual capacity when DOJ or DHS has agreed to represent the employee; or

4. The U.S. or any agency thereof.

B. To a congressional office from the record of an individual in response to an inquiry from that congressional office made at the request of the individual to whom the record pertains.

C. To the National Archives and Records Administration (NARA) or General Services Administration pursuant to records management inspections being conducted under the authority of 44 U.S.C. 2904 and 2906.

D. To an agency or organization for the purpose of performing audit or oversight operations as authorized by law, but only such information as is necessary and relevant to such audit or oversight function.

E. To appropriate agencies, entities, and persons when:

1. DHS suspects or has confirmed that the security or confidentiality of information in the system of records has been compromised;

2. DHS has determined that as a result of the suspected or confirmed compromise, there is a risk of identity theft or fraud, harm to economic or property interests, harm to an individual, or harm to the security or integrity of this system or other systems or programs

(whether maintained by DHS or another agency or entity) that rely upon the compromised information; and

J. The disclosure made to such agencies, entities, and persons is reasonably necessary to assist in connection with DHS's efforts to respond to the suspected or confirmed compromise and prevent, minimize, or remedy such harm.

F. To contractors and their agents, grantees, experts, consultants, and others performing or working on a contract, service, grant, cooperative agreement, or other assignment for DHS, when necessary to accomplish an agency function related to this system of records. Individuals provided information under this routine use, are subject to the same Privacy Act requirements and limitations on disclosure as are applicable to DHS officers and employees.

G. To an appropriate federal, state, tribal, local, international, or foreign law enforcement agency or other appropriate authority charged with investigating or prosecuting a violation or enforcing or implementing a law, rule, regulation, or order, when a record, either on its face or in conjunction with other information, indicates a violation or potential violation of law, which includes criminal, civil, or regulatory violations and such disclosure is proper and consistent with the official duties of the person making the disclosure.

H. To sponsors, employers, contractors, facility operators, grantees, experts, and consultants in connection

[[Page 46861]]

with establishing, maintaining, or managing an access account for an individual or maintaining appropriate points of contact.

I. To relying parties approved by the National Information Exchange Federation (NIEF) Trust Framework Provider for the purpose of providing federated access to systems when the user has been provided with appropriate notice and the opportunity to consent. Attributes provided to the relying party are limited to: (1) making authorization decisions; (2) dynamically provisioning accounts; and (3) performing audit logging.

J. To international, federal, state and local, tribal, private and/or corporate entities for the purpose of the regular exchange of business contact information in order to facilitate collaboration for official business.

K. To a trusted third-party identity service provider under contract with DHS or certified by the Federal Identity Management Credential and Access Management initiative for the purpose of authenticating an individual seeking a credential with DHS. The information may be included in the individual's credit record as a "soft inquiry" that does not impact the individual's credit score when the identity service provider is a credit bureau or uses a credit bureau to conduct identity proofing. The "soft inquiry" is not viewable by third parties.

L. To the news media and the public, with the approval of the Chief Privacy Officer in consultation with counsel, when there exists a legitimate public interest in the disclosure of the information, when disclosure is necessary to preserve confidence in the integrity of DHS, or when disclosure is necessary to demonstrate the accountability of DHS's officers, employees, or individuals covered by the system, except to the extent the Chief Privacy Officer determines that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Disclosure to consumer reporting agencies:

None.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records in this system are on paper or in digital or other electronic form. Digital and other electronic images are stored on a storage area network in a secured environment. Records, whether paper or electronic, are stored at the DHS Headquarters, at the component level, or at the third-party identity service provider's physical or cloud location.

Retrievability:

Information is retrieved, sorted, or searched by an identification number assigned by computer, by SSN (if maintained by the program), by facility, by business affiliation, by email address, or by the name of the individual, or other data fields previously identified in this SORN. Note that when DHS uses a third-party identity service provider for identity proofing, data elements collected by the third party on DHS's behalf are not retained by DHS unless specifically required by the program or application.

Safeguards:

Information in this system is safeguarded in accordance with applicable laws, rules and policies, including the DHS IT Security Program Handbook and DHS Information Security Program Policy and Handbook. DHS uses trusted identity service providers including those certified through the Trust Framework Adoption Process by Federal Identity Credential and Access Management (FICAM). The DHS/ALL-017 E-Authentication Records system of records security protocols also meet multiple NIST Security Standards from Authentication to Certification and Accreditation.

Records in the DHS/ALL-037 E-Authentication Records system of records will be maintained in a secure, password-protected, electronic system that uses security hardware and software including: Multiple firewalls, active intruder detection, and role-based access controls. Additional safeguards vary by component and program. All records are protected from unauthorized access through appropriate administrative, physical, and technical safeguards. These safeguards include

restricting access to authorized personnel who have a "need to know," using locks and password protection identification features. Classified information is appropriately stored in accordance with applicable requirements. DHS file areas are locked after normal duty hours and the facilities are protected from the outside by security personnel.

Retention and disposal:

Records are securely retained and disposed of in accordance with the NARA's General Records Schedule (GRS) 24, section 6, "User Identification, Profiles, Authorizations, and Password Files." Inactive records are destroyed or deleted six years after the user account is terminated or password is altered, or when no longer needed for investigative or security purposes, whichever is later.

In addition, in accordance with NIST SP-800-63-2, a record of the registration, history, and status of each token and credential (including revocation) is maintained by the credential service provider (CSP) or its representative. The record retention period of data for Level 2 and 3 credentials is seven years and six months beyond the expiration or revocation (whichever is later). The minimum record retention period for Level 4 credential data is ten years and six months beyond the expiration or revocations of the credential.

System Manager and address:

The System Manager is the Chief Information Officer (CIO), Department of Homeland Security, Washington, DC 20528.

Notification procedure:

Individuals seeking notification of and access to any record contained in this system of records, or seeking to contest its content, may submit a request in writing to the Headquarters or component's FOIA Officer, whose contact information can be found at <http://www.dhs.gov/foia> under "contacts." If an individual believes more than one component maintains Privacy Act records concerning him or her, the individual may submit the request to the Chief Privacy Officer and Chief Freedom of Information Act Officer, Privacy Office, Department of Homeland Security, 245 Murray Drive SW., Building 410, STOP-0655, Washington, DC 20528.

When seeking records about yourself from this system of records or any other Departmental system of records, your request must conform with the Privacy Act regulations set forth in 5 CFR Part 5. You must first verify your identity, meaning that you must provide your full name, current address and date and place of birth. You must sign your request, and your signature must either be notarized or submitted under 28 U.S.C. 1746, a law that permits statements to be made under penalty of perjury as a substitute for notarization. While no specific form is required, you may obtain forms for this purpose from the Chief Privacy Officer and Chief Freedom of Information Act Officer, <http://www.dhs.gov> or 1-866-431-0486. In addition you should:

Explain why you believe the Department would have information on you:

[[Page 46862]]

Identify which component(s) of the Department you believe may have the information about you:

Specify when you believe the records would have been created; and

Provide any other information that will help the FOIA staff determine which DHS component agency may have responsive records.

If your request is seeking records pertaining to another living individual, you must include a statement from that individual certifying his/her agreement for you to access his/her records.

Without the above information the component(s) may not be able to conduct an effective search, and your request may be denied due to lack of specificity or lack of compliance with applicable regulations.

Record access procedures:

See "Notification procedure" above.

Contesting record procedures:

See "Notification procedure" above.

Record source categories:

Information contained in this system is obtained from affected individuals, organizations, facilities, trusted third-party identity service providers (which may use commercial identity verification information not accessed or maintained by DHS to perform knowledge-based authentication), public source data, other government agencies, or information already in other DHS records systems.

Exemptions claimed for the system:

None.

Dated: July 31, 2014.

Karen L. Neuman,
Chief Privacy Officer, Department of Homeland Security.
[FR Doc. 2014-18703 Filed 8-8-14; 8:45 am]
BILLING CODE 9110-98-P

USCIS Adjudication Backlogs

Background

- The “backlog” is the number of cases that are pending adjudication and are outside of the cycle time goal (that is, outside the number of months USCIS expects an adjudication of that form type to take).
- Current backlog elimination plans rely primarily on increasing staff, rebalancing workloads among staff/work units, and utilizing overtime. Some smaller efficiencies may be gained through process or technology enhancements as well.
- Backlogs have grown over the past year, mainly due to increased filings and a gap in the number of resources necessary to complete the work.

Current Status

- At the end of FY16, the affirmative asylum backlog is approximately 132K cases, up 69.5K or 110% from levels of one year ago.
- Field Operations and Service Center Operations have a combined backlog of approximately 915K cases, up 345K or 61% from the levels of one year ago.

Challenges

- The FY16 affirmative asylum backlog is a 110% increase over the FY15 backlog level of approximately 63,000 cases.
- The affirmative asylum backlog is a product of both the receipt of a growing number of affirmative asylum applications and the diversion of USCIS Asylum Officers to other high priority workloads, such as the credible fear caseload and overseas refugee processing.
- Form N-400 (Application for Naturalization) receipts, which are adjudicated within the Field Operations Directorate, have increased by 24% over last fiscal year and 8.0% over 2012, the last election year, and are more than 25% over projections.
- Form I-140 (Immigrant Petition for Alien Worker) receipts, which are adjudicated within the Service Center Operations Directorate, have increased 45% over last fiscal year and are more

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than 45% over projection. Form I-129 (Petition for a Nonimmigrant Worker) receipts have increased by 5.3% over last fiscal year and are 6.5% over projections. Form I-90 (Application to Replace Permanent Resident Card) receipts, which are adjudicated within the Service Center Operations Directorate beginning in August 2016, measure at approximately 219,000 cases at end of FY16.

Milestones

Affirmative Asylum Case Backlog

- To address these increasing workloads, USCIS expanded its Asylum Officer Corps from 272 authorized Asylum Officer Positions to 533 officers.
- To accommodate this growth in the workforce, the Asylum Division expanded its operations in FY15 and FY16 to include the Boston and New Orleans Asylum Sub-Offices and the Asylum Pre-Screening Center in Arlington, Virginia.
- The Asylum Division has been aggressively hiring and training new Asylum Officers to reach its full staffing level. At the end of FY16, the Asylum Division reported 499 officers onboard, representing 94% of its staffing level. This was a 44 percent increase from the end of FY15.

Service Center Operations

- Service Center Operations has begun transferring workloads among Service Centers. Since the start of FY16, Service Center Operations began weekly Capacity Planning sessions with the five Service Centers to review capacity at each Service Center and, based on findings, redistribute the workload among the Service Centers. This type of planning allows the Directorate to maximize personnel and resources. In early FY16, Service Center Operations transferred cases between all Service Centers, including Potomac Service Center, to balance workloads.
- Another important aspect of the Capacity Planning has been authorizing overtime beginning in the 2nd Quarter of FY16. The overtime is allocated based on a specific form type with the largest volume of backlog. With the authorization of overtime, Service Center Operations tracks and monitors the reduction on a quarterly basis that has resulted in reduction in its backlog.

Field Operations

- The Field Operations Directorate is faced with the continued challenge of balancing workloads among competing resources. In FY16, Field Operations has focused on counteracting the impacts of attrition and hiring challenges on the processing of its workload by allowing offices which are facing challenges to use overtime and overhire authorities to

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address their resource shortfalls. In addition, Field Operations has authorized already trained Immigration Service Officers to be detailed to offices which experienced high backlog impacts. The approval of short-term details between offices is being used as a means to address resource gaps which exist due to lags in onboarding and training of new officers.

- At the end of FY16, due to continued resource challenges and an unusually high number of Form N-400 receipts, Field Operations Directorate was unable to meet its internal Form N-400 cycle time goal of 5 months. Field Operations Directorate completed Quarter four with a slightly higher cycle time of 5.8 months. The higher cycle time during Quarter four can be directly attributed to a 26% higher than projected N-400 receipts and continued resources challenges. Despite this higher than expected cycle time, USCIS has maintained its overall accuracy goal of N-400 decisions. This goal was met by consistently adhering to standard operating procedures for accurately adjudicating cases.
- Field Operations is implementing an 18-month hiring plan, which it anticipates will allow field offices to onboard Immigration Service Officers in a timelier manner. In addition, Field Operations will be working more closely with its regions to develop and implement a backlog reduction strategy in FY17.

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**Department of Homeland Security
USCIS Updates for OMB/DPC**

November 10, 2016

USCIS BACKLOG

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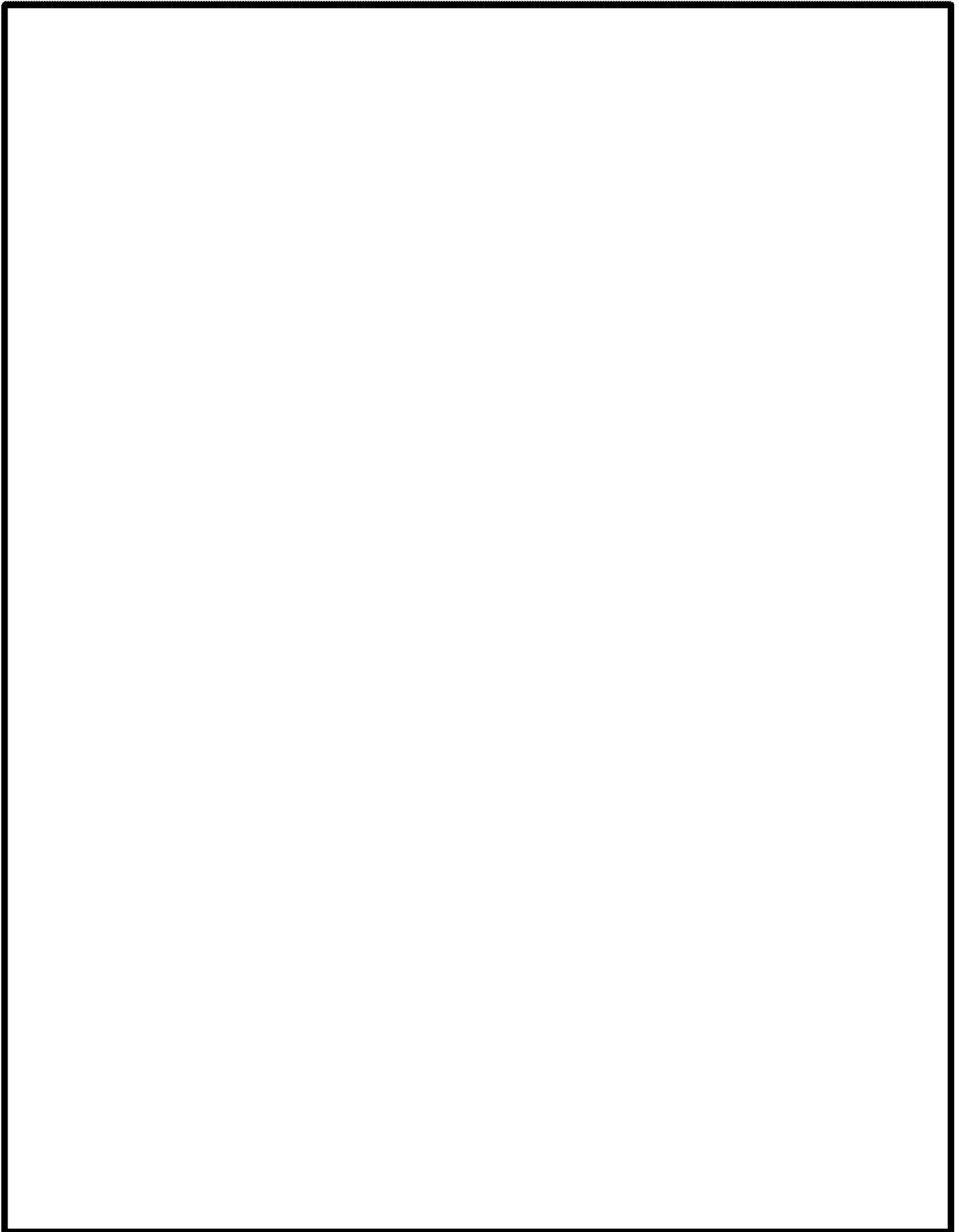
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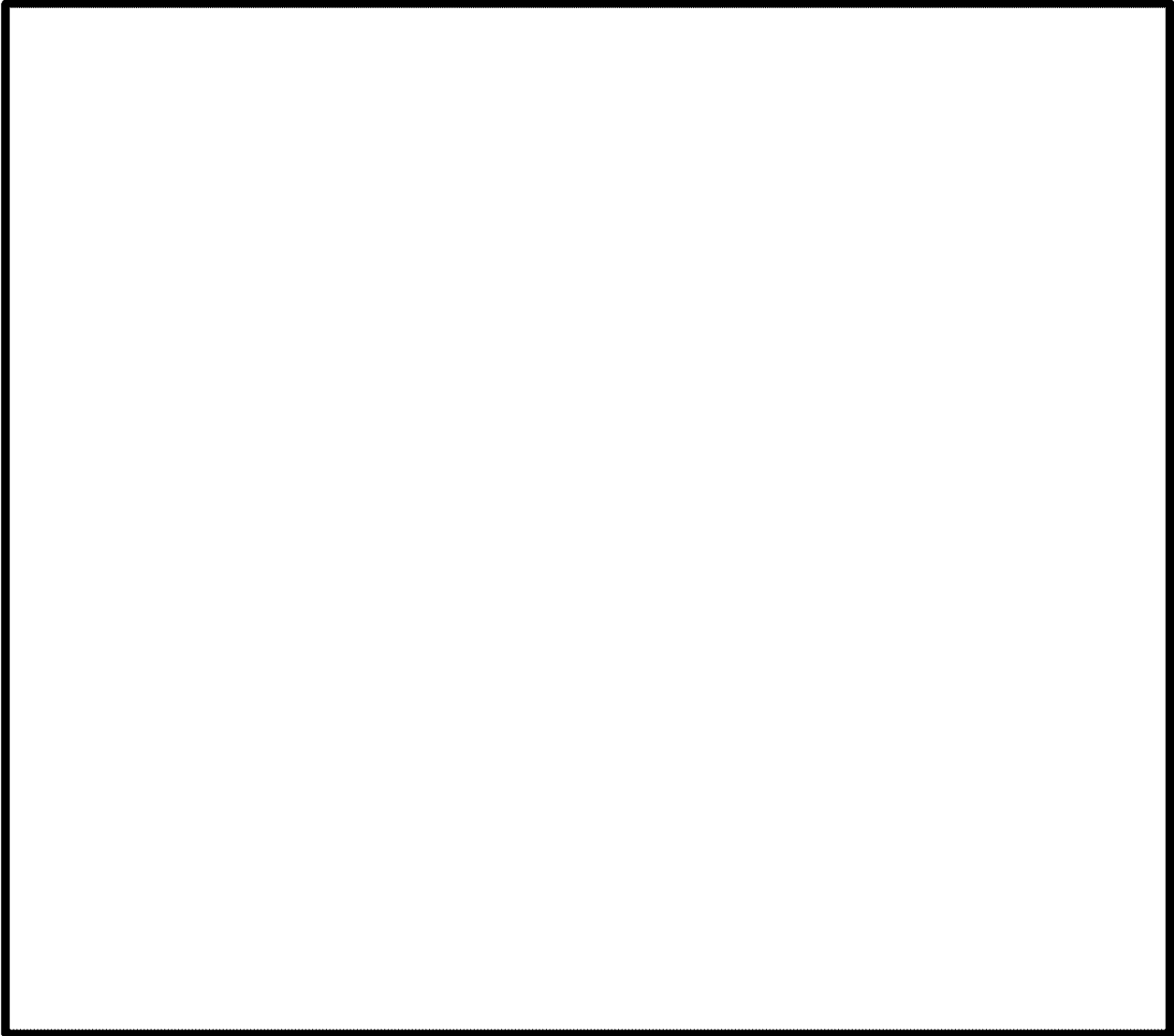
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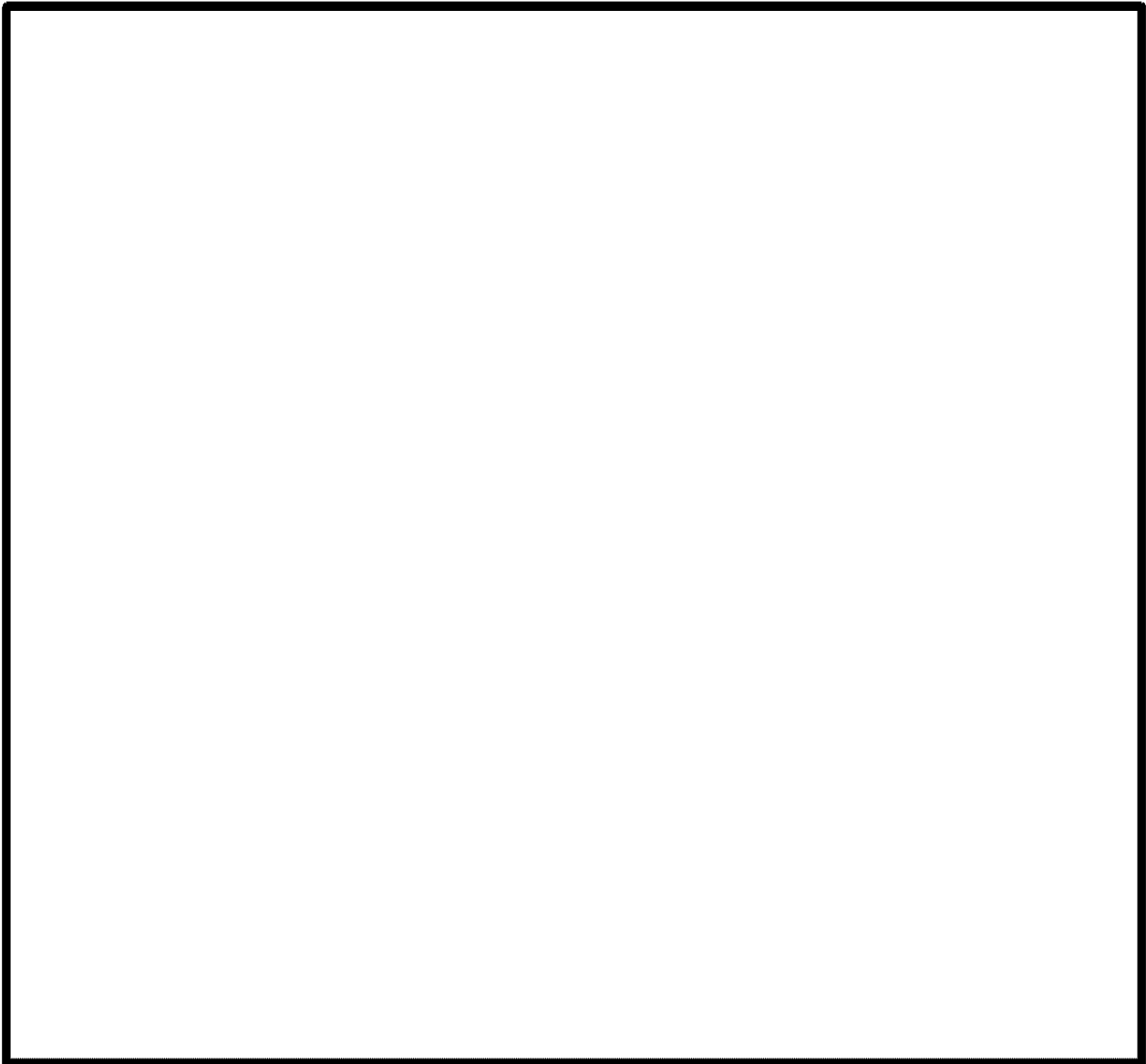


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[Return to Top](#)

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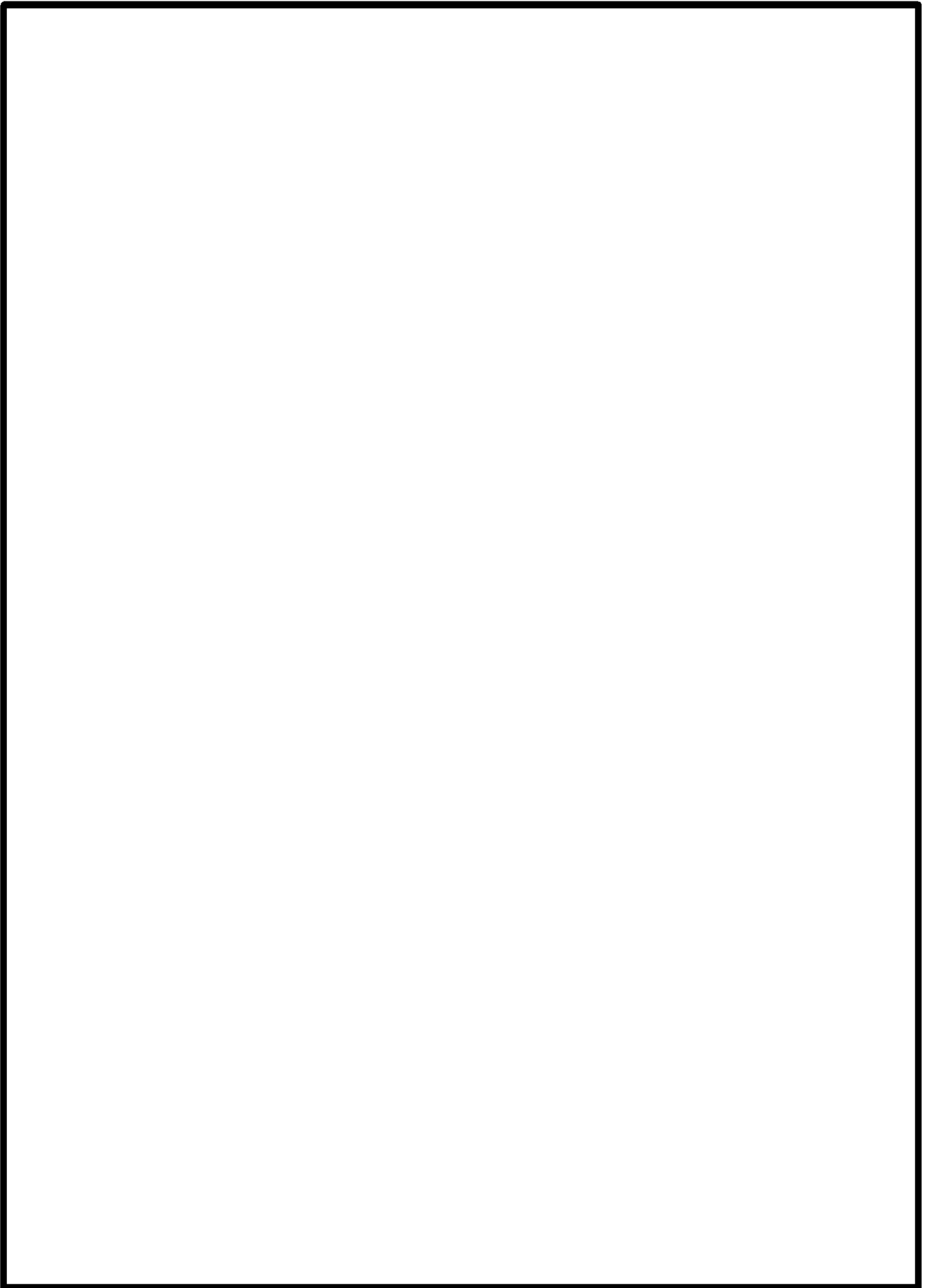


[Return to Top](#)

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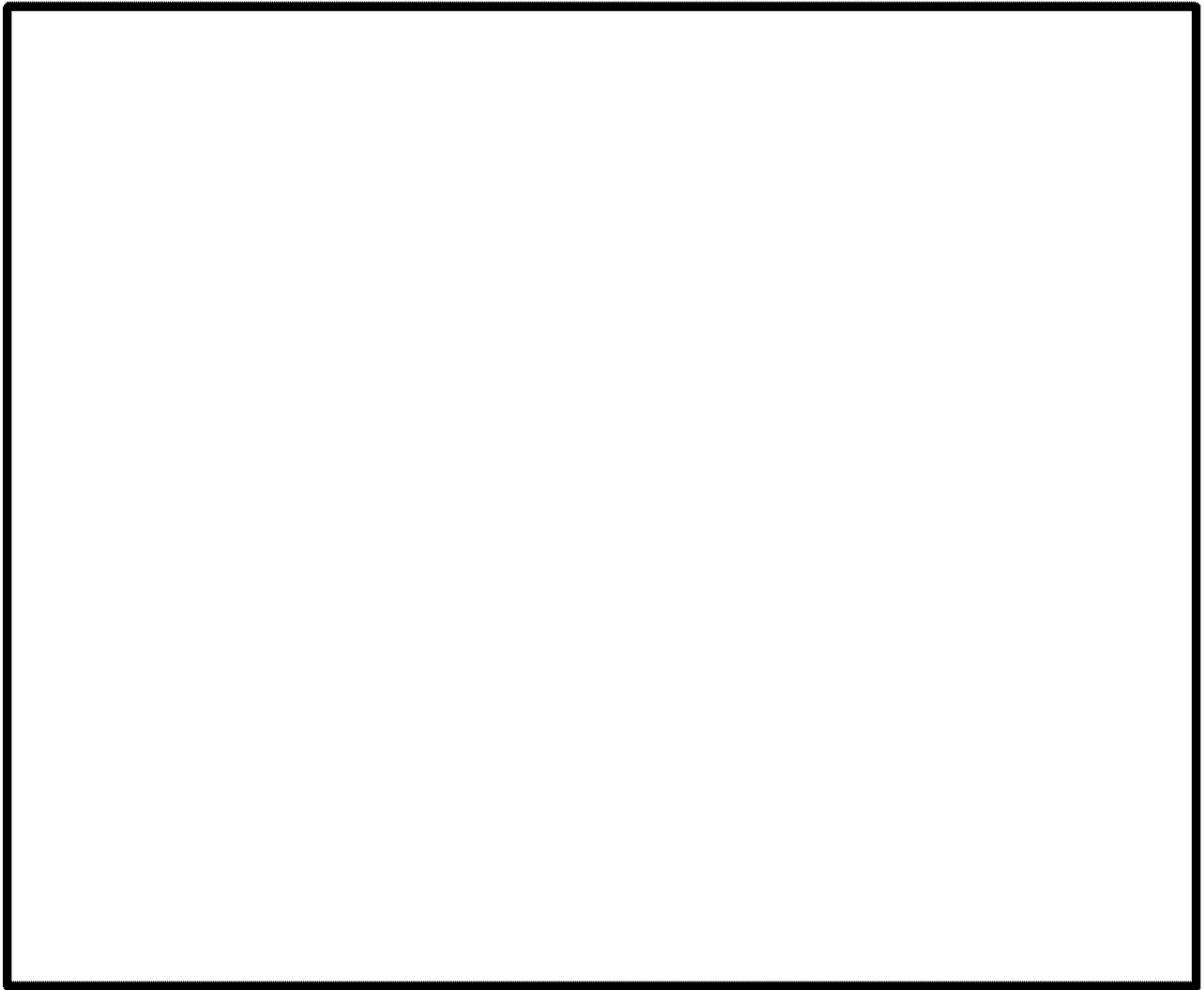
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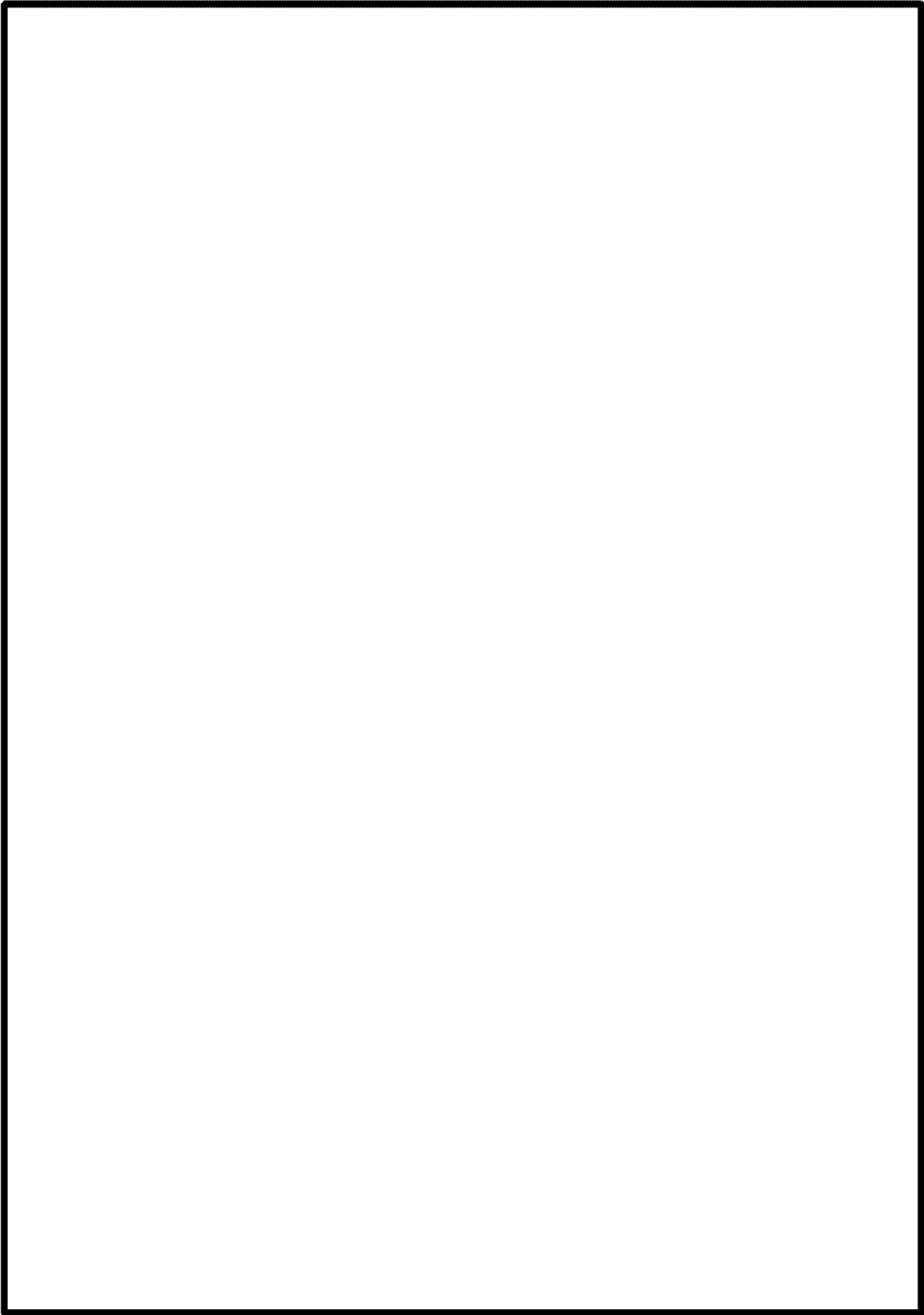
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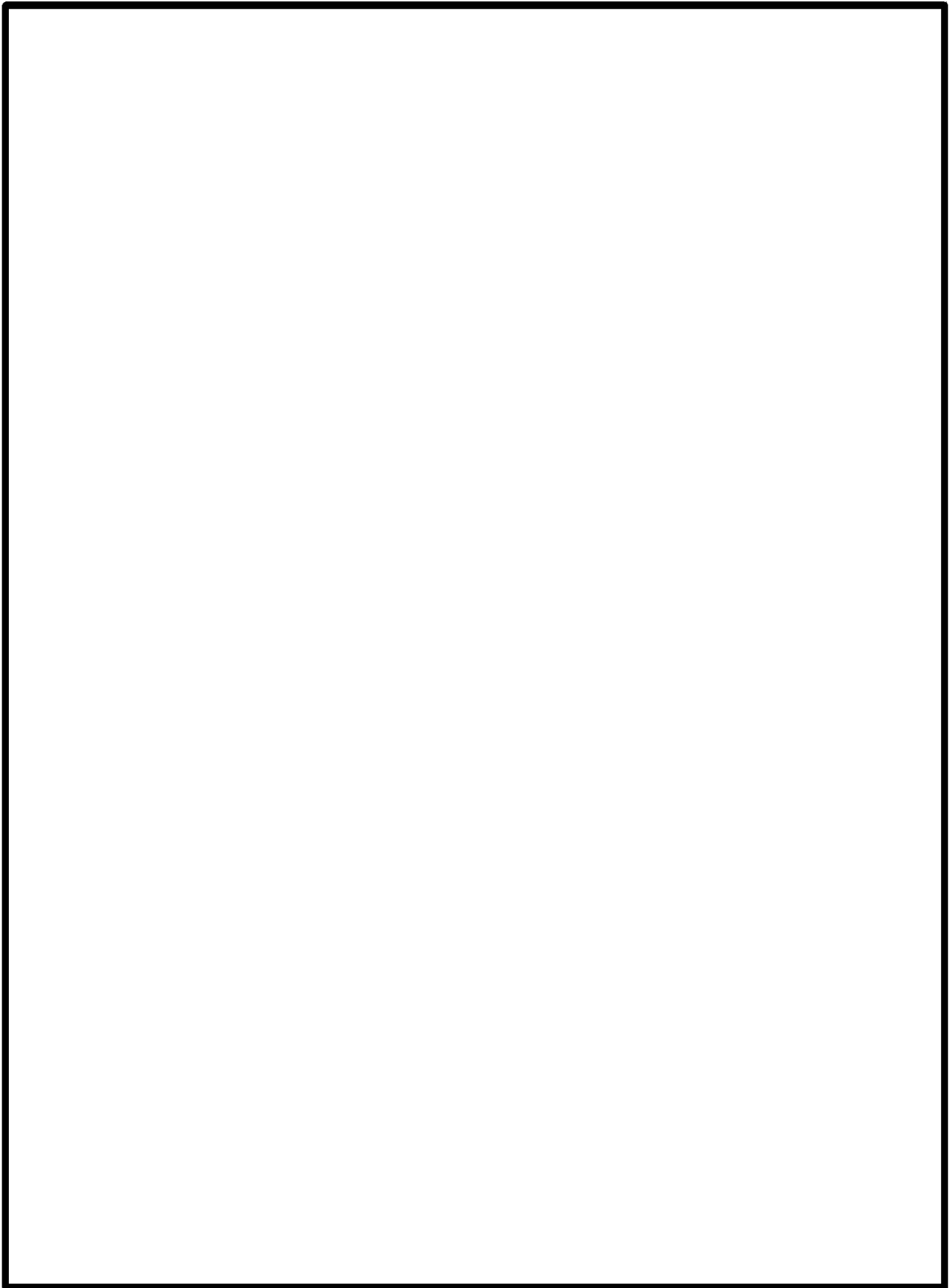
[Return to Top](#)

¹ <https://www.dhs.gov/sites/default/files/publications/2014-qhsr-final-508.pdf>

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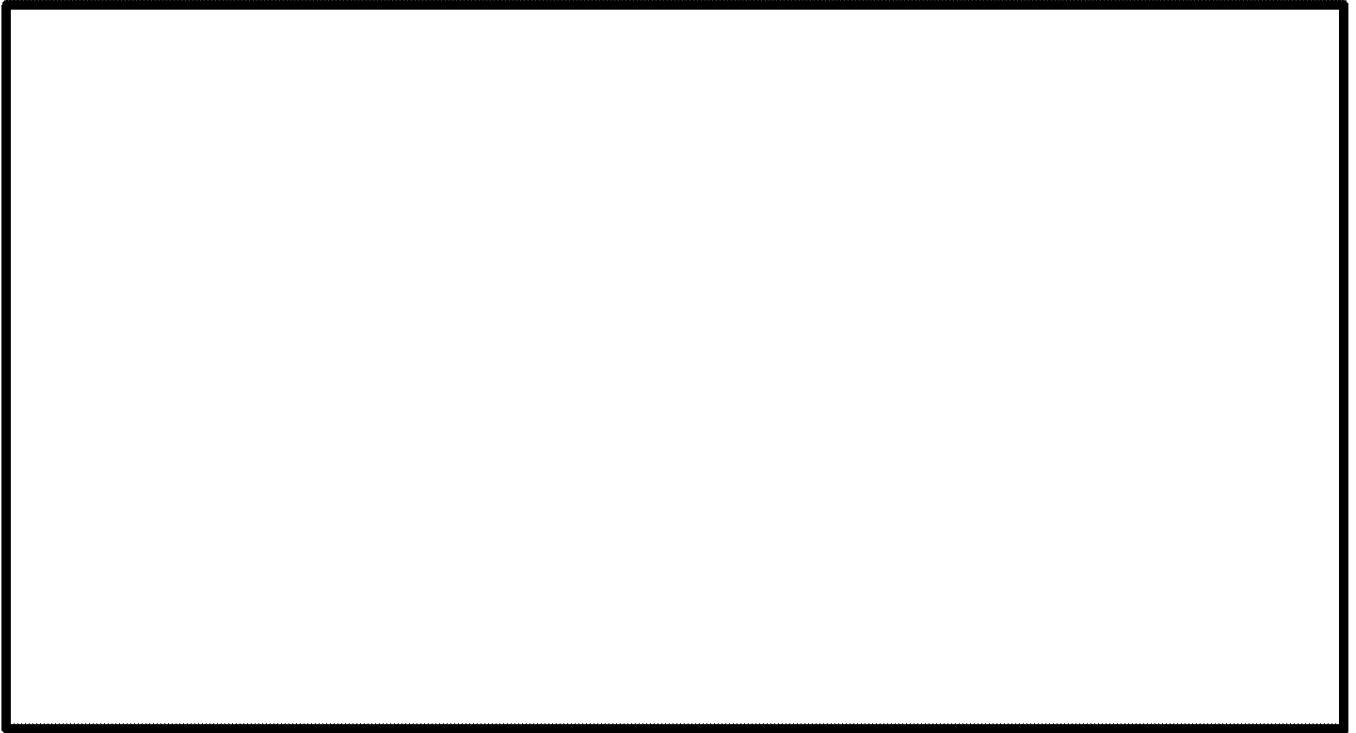
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[Return to Top](#)

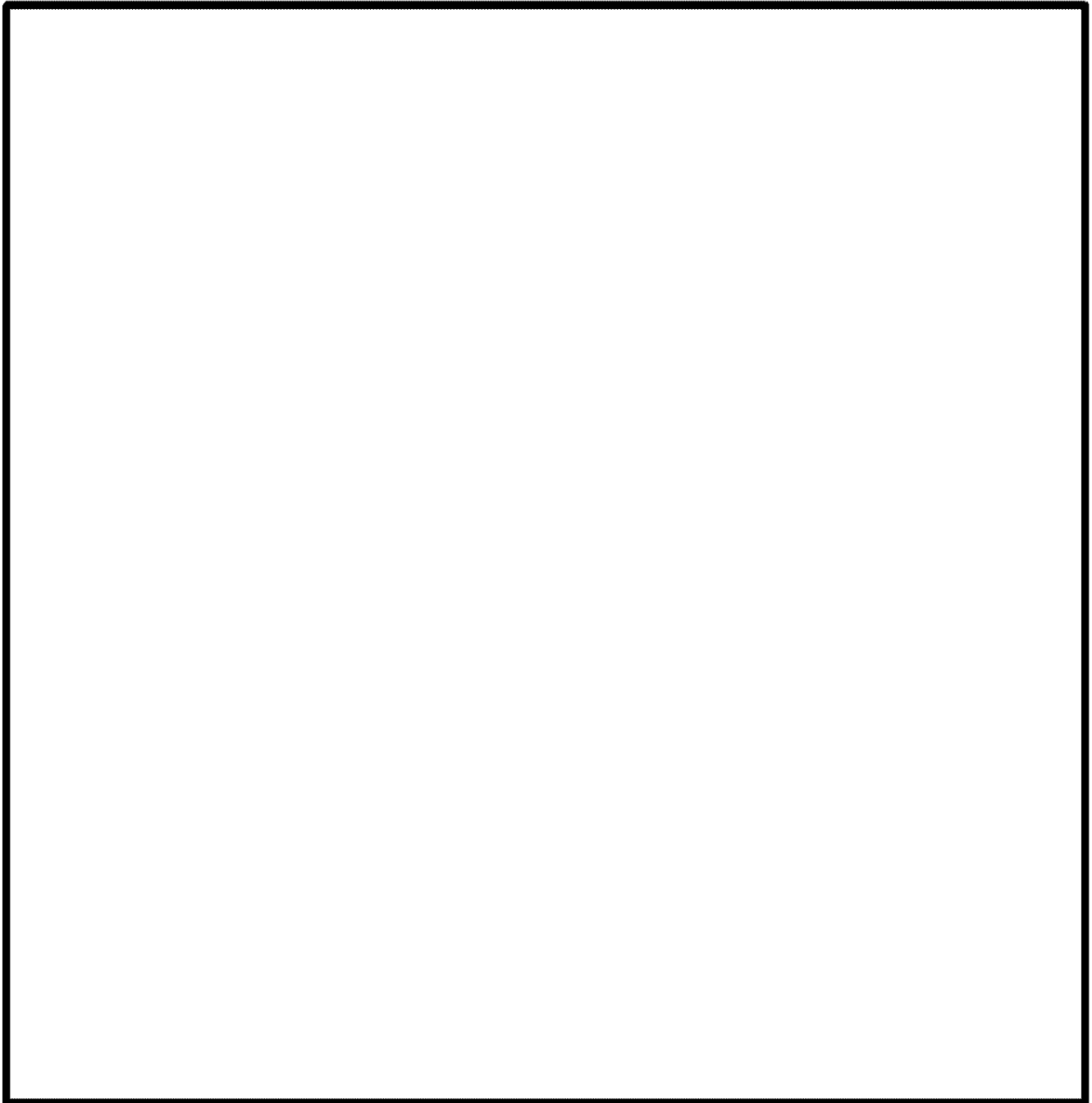
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[Return to Top](#)

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[Return to Top](#)

NATIONAL PREPAREDNESS SYSTEM

²CBP's Preclearance, operating at 15 locations worldwide, allows for advance inspection of passengers before they board U.S.-bound flights, while its range of international Trusted Traveler programs, provides pre-vetted and approved, low-risk travelers expedited clearance upon their arrival in the United States.

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- The National Preparedness System was established to strengthen the security and resilience of the United States through systematic preparation for the threats that pose the greatest risk to the security of the Nation. The National Preparedness System is an integrated set of guidance, programs, and processes to enable the Nation to meet the National Preparedness Goal, which is: “A secure and resilient nation with the capabilities required across the whole community to prevent, protect against, mitigate, respond to, and recover from the threats and hazards that pose the greatest risk.”
- Nationwide, this translates into more disciplined and deliberate planning, organizing, equipping, training, and exercising among first responders, emergency managers, public health officials, and health care providers through their own investments as well as FEMA grants, which have totaled more than \$47 billion since 2002.
- The scope and scale of the National Preparedness System is both large enough and detailed enough to prepare for and use during catastrophic incidents as well as those managed by a single local emergency services organization. Using an all-hazards and whole community approach, the System is adaptable to all threats that the Nation faces.
- Through the National Preparedness System, FEMA assists the whole community in establishing goals, objectives, and performance measures that enable communities to measure improvements in capabilities and statewide preparedness.
- Within the annual National Preparedness Report (NPR), FEMA identifies progress and challenges to address in building and sustaining the Nation’s preparedness.
 - National areas for improvement include Cybersecurity, Economic Recovery, Housing, Infrastructure Systems, Natural and Cultural Resources, and Supply Chain Integrity and Security.
 - Three of these – (1) Cybersecurity, (2) Housing, and (3) Infrastructure Systems – have been identified as areas for improvement in the NPR for five consecutive years.
 - Capabilities that need to be sustained include Planning; Public Health, Healthcare, and Emergency Medical Services; and, Risk and Disaster Resilience Assessment.
- Maintaining and strengthening the National Preparedness System and building the capabilities of non-federal partners to reduce reliance on the Federal government, requires focused action in areas that include:



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- Continue the development and implementation of the National Qualification System in order to advance integrated mutual aid across the whole community.
- Develop the guidance, tools, and technical assistance necessary to aid communities in building, sustaining, and delivering capabilities.
- Advance an integrated National Training and Education System that ensures the personnel responsible for delivering capabilities are receiving the right training at the right time.

[Return to Top](#)

EMERGING INFECTIOUS DISEASE THREATS

- History has shown that highly infectious diseases emerge or reemerge with some regular frequency and could greatly hamper DHS's ability to perform critical mission functions. The impacts of these incidents on the United States, even if initially identified overseas, are exacerbated by factors such as globalization, international trade, reduced international travel times/enhanced travel routes, increased density of human populations in urban centers, and human encroachment into animal habitats.
- In close coordination with the Department of Health and Human Services (HHS) and the Centers for Disease Control and Prevention (CDC), DHS strives to protect the American public from emerging infectious disease (EID) threats through multiple actions such as:
 - Early warning from the National Biosurveillance Integration Center (NBIC);
 - Helping to prevent these diseases from crossing our borders; and
 - Coordination of the inter-agency response providing support to state, local, tribal, and territorial (SLTT) governments.
- DHS is also focused on protecting our workforce from EID threats, and ensuring the Department can continue to perform its critical missions in the face of these threats.
- The following trends are impacting the EID issue area, and will require changes in operational posture, policy, and/or resource allocation:
 - The threat has evolved. Over the past few years, we have seen numerous infectious diseases emerge with potential impacts to the American public and the DHS workforce, including H1N1, Ebola, and Zika. These outbreaks have required unprecedented levels of cooperation across DHS components and with interagency stakeholders.
 - Technological advancements have enhanced the ability to identify EIDs of potential concern (when in the past, they may have had been attributed to other etiologies).
 - The complexities of inter-agency response have increased with new capabilities in and responsibilities of some Departments and Agencies.
 - Since its launch in 2014, the Global Health Security Agenda (GHSA) has focused U.S. and international attention on building countries' capacity to help create a world safe and secure from infectious disease threats. Inherent to GHSA are requirements for participating countries to elevate global health security as a national priority in an effort to contribute to global health.
 - Government Accountability Office (GAO) reviews have found that DHS programs for biological early warning must evolve to meet today's threats. Success will require increased cooperation from external stakeholders (including federal partners).

[Return to Top](#)

CHEMICAL THREATS

- (U//FOUO) DHS assesses that ISIL is increasingly interested in conducting and inspiring more complex attacks against the West³. ISIL-linked adversaries may consider incorporating toxic materials into attacks in the West with the aspiration of increasing fear, enhancing attack lethality, and adding greater complexity to response efforts. DHS believes that ISIL-inspired homegrown violent extremist (HVEs), or other domestic actors, who choose to pursue attacks with toxic materials most likely would employ commercially available toxic industrial chemicals (TICs) and use crude dissemination methods such as explosive dispersal, contaminating surfaces, poisoning food or water, or releasing gasses from pressurized tanks or via improvised chemical devices.
- When responding to a chemical attack, time matters for saving lives and managing resources. The window of opportunity to positively impact the response occurs in the first 2-4 hours. Most Federal resources are not available to support the immediate state and local response during that time. Therefore, the greatest Federal government impact to save lives must be made long before the incident occurs.
- Courses of action:
 - Work with chemical industry and the private sector to secure toxic chemicals in the supply chain.
 - Expand programs to train state and local first responders and leadership.
 - Maintain border and transportation security to stop bad actors before they have a chance to deploy chemicals as weapons.
 - Provide threat information and guidance to the state and local response community to enable a timely response and efficient decision making in the event of a chemical release.

[Return to Top](#)

³ (U//FOUO) For more information please see DHS-FBI-Delaware Information Analysis Center-Ohio Strategic Analysis & Information Center Joint *Intelligence Assessment* "(U//FOUO) Toxic Materials Unlikely but Possible Weapon Choice for ISIL- Inspired or Directed Homeland Attacks" dated 23 May 2016

BIOLOGICAL THREATS

- The nation faces risks from biological attacks or accidental releases of pathogens with the potential to produce destabilizing effects and greatly impact Department of Homeland Security (DHS) operations and the American public.
- The United States and its allies face ongoing and ever evolving threats from violent extremist groups or individuals inspired by these groups. The global reach of groups like Islamic State (IS) and the widespread availability of biological materials and expertise increase the risk of a terrorist attack using a biological Weapon of Mass Destruction (WMD).
- DHS's goal is to prepare our communities and our workforce to prevent, detect, mitigate, respond to, and recover from biological incidents quickly in order to save lives and minimize wide-spread or cascading impacts.
- The following trends are impacting the biological threats issue area, and will require changes in operational posture, policy, and/or resource allocation:
 - The threat continues to evolve. The biological weapons threat has expanded from large State-sponsored programs to include global terrorist groups and lone wolf violent extremists.
 - Government Accountability Office (GAO) reviews have found that programs for biological early warning must evolve to meet today's threats and provide the advanced warning needed to save lives. To achieve these ends the Department must foster increased cooperation across multiple partners and stakeholders, both within and outside the Department—to include various Federal partners.

[Return to Top](#)

ENHANCING INTERNATIONAL AVIATION SECURITY

- Numerous attempted attacks and evolving, complex threat streams over the past decade clearly demonstrate terrorists' pervasive focus on targeting the aviation sector.
- A key mechanism for countering these threats is an informed, comprehensive application of security measures tailored to the threat and applied at those airports and air carriers most likely to be directly or indirectly affected.
- International inbound aviation represents the largest share of total aviation security risk (89%) for which the Transportation Security Administration (TSA) is primarily responsible.
- As such, TSA works closely with our U.S. Department of Homeland Security (DHS) partners, as well as foreign governments and industry stakeholders, to mitigate the risk on inbound international flights entering the United States. TSA also works closely with foreign governments to negotiate agreements to allow the carriage of Federal Air Marshals to and from Last Point of Departure airports.
- Since 2014, the total terrorist plots/attacks directed toward the West and Europe have increased over 73%.
- Recent aviation security incidents such as the terrorist attacks in Paris (November 2015) and Brussels (March 2016), the crashes of Metrojet 9268 in the Sinai Peninsula (October 2015) and Daallo Flight 159 in Somalia (February 2016), and the attack on the Istanbul Airport (June 2016) illustrate the need for consistent leadership engagement on international aviation security.
- The 114th Congress has provided a considerable amount of oversight on aviation security, passing legislation granting TSA new authorities for international engagement and requesting reports and oversight of international activities via the Federal Aviation Administration (FAA) Extension, Safety, and Security Act of 2016 (P.L. 114-190), which became law in July 2016.
- Per congressional request, the Government Accountability Office began in August 2016 an audit of TSA's foreign airport assessments and air carrier inspections; the completion date is to be determined.

[Return to Top](#)

COMBATING TRANSNATIONAL CRIMINAL ORGANIZATIONS

- In 2011, the *National Strategy to Combat Transnational Organized Crime* was signed and stated in part “Criminal networks are not only expanding their operations, but they are also diversifying their activities, resulting in a convergence of transnational threats that has evolved to become more complex, volatile, and destabilizing. These networks also threaten U.S. interests by forging alliances with corrupt elements of national governments and using the power and influence of those elements to further their criminal activities.”
- Transnational criminal organizations (TCO) rely on revenues generated through the sale of illegal drugs, counterfeit goods, human trafficking and smuggling, and other criminal activities. These organizations, whether structured or decentralized in nature, continue to capitalize on technological innovation, including new platforms to sell illicit goods, innovative ways of moving money, tools for coordinating operations, and a variety of other criminal and cyber activities.
- Disrupting these complex illicit networks requires that DHS contribute to a well-informed and agile U.S. government and global response. Through integration of capabilities, DHS provides actionable, tactical and strategic intelligence and information across its operational component organizations. This not only enables unique DHS interdiction and investigative capabilities, but also those of domestic and foreign partners.

[Return to Top](#)

REAL ID

- REAL ID⁴ is a coordinated effort by the states⁵ and the Federal Government to improve the reliability and accuracy of state-issued driver's licenses and identification cards (ID) in order to prevent the fraudulent issuance or use of these documents and, thereby, inhibit terrorists' ability to evade detection.
 - The REAL ID Act of 2005 ("the Act") (P.L. 109-13): 1) sets minimum requirements for the secure issuance and production of state-issued driver's licenses and IDs; and 2) prohibits Federal agencies from accepting driver's licenses and IDs issued by noncompliant states for official purposes (i.e., entering nuclear power plants, accessing Federal facilities including military installations, and boarding federally-regulated commercial aircraft).
 - It does not authorize DHS to: regulate states (state participation is voluntary); create a national ID; or create a Federal database of driver information.
- DHS has expended considerable effort to advance implementation of REAL ID through coordination with Governors, and their representatives, Department of Motor Vehicle Administrators, state legislators and national state associations.
- There are some states that have taken a "wait and see" stance to see if DHS is truly serious about REAL ID implementation and as a result, DHS has established strict enforcement dates.
- In 2017, DHS will: 1) determine whether states are compliant; 2) grant extensions to individual noncompliant states as appropriate;⁶ and 3) prepare the public for enforcement related to boarding commercial aircraft.⁷
- The statutory requirements of the Act are the main driver for DHS enforcement.⁸
 - 13 states and 1 territory are not yet committed to becoming compliant (see Table 1 and Fig. 1) and could be affected when the Transportation Security Administration (TSA) begins enforcement on January 22, 2018. At that time, TSA will no longer accept licenses issued by noncompliant states (without extensions) for boarding commercial aircraft or entering an airport's sterile area.
- Potential courses of action include: adhering to the current enforcement plan; seeking statutory and regulatory changes to reduce compliance costs for states; or adjusting the enforcement schedule, which may necessitate regulatory changes.

⁴ Not an acronym.

⁵ "State" is defined as the 50 states; the District of Columbia; and the territories of American Samoa, Commonwealth of Northern Mariana Islands, Guam, Puerto Rico, and the U.S. Virgin Islands.

⁶ Section 205(b) of the Act authorizes the Secretary of Homeland Security to grant states with an extension of time to meet the REAL ID requirements if the state provides adequate justification for noncompliance. Federal agencies may continue to accept driver's licenses and IDs issued by noncompliant states with an active extension.

⁷ *Statement by Secretary Jeh C. Johnson on The Final Phase of REAL ID Act Implementation*. January 8, 2016. <https://www.dhs.gov/news/2016/01/08/statement-secretary-jeh-c-johnson-final-phase-real-id-act-implementation#>

⁸ Under a 2012 interagency plan, the Federal Government has been phasing in REAL ID, an approach that has encouraged states to make progress by providing clear, realistic consequences for continued noncompliance.

[Return to Top](#)

DHS BIG DATA

The Department of Homeland Security (DHS) is working to make its data a strategic asset for the homeland security enterprise to better inform operations, business processes, and decision-making. The DHS Data Strategy will provide a foundation of enterprise data management values, guidelines, and principles to leverage its data assets to create value in five (5) major areas:

- Mission** Risk-based priorities requiring enterprise-wide data management including, but not limited to: screening and vetting, threat assessment, and distribution of assets for response and protection. Early successes have been achieved in this area through leading projects like the DHS Data Framework for the Homeland Security Intelligence Enterprise, DHS Office of Policy’s Immigration Data Integration Initiative, and Science & Technology Directorate’s (S&T) Homeland Security Advanced Research Projects Agency’s (HSARPA) Data Analytics Engine (DA-E).
- Management** Enterprise priorities for understanding, organizing, analyzing and making management decisions. Early success in this area has already been seen with the Management Directorate’s Management Cube, an innovative solution that brings together essential management data to enhance decisions and performance.
- Planning** Supporting and driving DHS strategic planning by using enterprise data management to support risk assessment, resource allocation, and performance assessment.
- Research** Rapid evaluation of emerging big data and advanced computational techniques that are relevant to significantly improving the leveraging of DHS data, and prioritized delivery of enterprise services. HSARPA’s Data Analytics Engine works across industry, academia and government to understand rapid technical innovations that create opportunities and risks for homeland security mission.
- Enterprise Service Delivery** The DHS Office of the Chief Information Officer (OCIO), with Component partners, plays a lead role in delivering enterprise services for data management.

Course of action:

Leadership and Priorities	Enterprise data management shall be governed under the Information Sharing and Safeguarding Governance Board (ISSGB) and establish a network of component-level Chief Data Officers (CDOs), to be coordinated under the oversight of the ISSGB.
Standards and Enforcement	DHS shall define and enforce standards for enterprise data management.
Compliance	The Department must ensure that it complies with all legal and policy requirements in the maintenance collection, use, and dissemination of its data.

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R&D	S&T leads the Department's efforts to innovate and evaluate emerging big data solutions and related technologies to provide technical guidance, consultation and potential solutions for missions of Homeland Security Enterprise.
Enterprise Technology Development	DHS carefully develops, leverages and deploys efficient technologies to meet current data management needs. The DHS OCIO, with Component partners, will play a key role in delivering enterprise services for data management.
Communications	DHS effectively communicates, and understands, the value of data management, from not only leadership, but from operators, analysts and planners who know what they need from our DHS data.

[Return to Top](#)

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PREVENTING NUCLEAR TERRORISM

- The grave threat of nuclear terrorism against our nation has been stressed by the current U.S. president and his predecessor. A terrorist nuclear attack could involve one or more nuclear devices, each with an explosive yield sufficient to cause massive casualties and devastation to a metropolitan area, damaging the nation's sense of security and resulting in major worldwide disruptions to commerce, trade, and travel.⁹
- Because of the catastrophic consequences, the Department must continue to prioritize prevention of nuclear terrorism. Bolstering capabilities at the federal, state, local, territorial, and tribal levels helps defend the nation. Working with the international community helps to enhance nuclear security worldwide, well beyond our borders.
- But maintaining an appropriate sense of urgency towards low-probability, high-consequence threats such as nuclear terrorism is challenging. Other, more likely threats may demand more immediate attention. Ensuring that the homeland security enterprise is engaged in preventing a potentially catastrophic terrorist nuclear attack is critical.

[Return to Top](#)

⁹ Alternatively, a "dirty bomb," dispersing radioactive material using conventional explosives, could deny access to a portion of a city for some time but cause significantly fewer deaths.

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ARCTIC / POLAR

- Access to Arctic sea routes is increasing due to climate change and improved vessel capabilities (e.g. Polar Code compliant vessels).
- Diminishing Arctic sea ice may provide shippers a substantially shorter route between Asia and Europe, and opens larger areas to natural resource exploration/exploitation not only at sea but also within United States Arctic terrestrial domain (e.g., rare earth metals in northern Alaska).
- Increased global access to the Arctic may present challenges to U.S. sovereignty, especially in areas where there are competing claims to the Outer Continental Shelf, exacerbated by the U.S. not being a signatory to the United Nations Convention on the Law of the Sea.
- Conflicting territorial claims in the Arctic may present challenge to U.S. position on freedom of the seas and navigation, including disputes with Canada.

Importance

- The U.S. is an Arctic nation and must maintain the ability to protect U.S. borders, exert our sovereignty over our territorial seas and Exclusive Economic Zone, and ensure the safe, secure and environmentally-responsible maritime activity in U.S. Arctic waters.

Trends

- Trend 1: The Arctic is warming at a faster pace than the rest of the world – nearly twice the global rate over the last 100 years – which has led to diminishing sea ice and increased access to Arctic sea routes. The pace of warming has accelerated markedly in the past three decades.
- Trend 2: Increased maritime activity, including commercial shipping (passenger and cargo), energy exploration and exploitation, and recreational vessels will use Arctic sea routes in or adjacent to U.S. waters.
- Trend 3: Increasing maritime activity funnels through “choke points” such as the Bering Sea, significantly elevating risks within traditional Coast Guard missions (e.g., Search and Rescue, or SAR).
- Trend 4: Arctic and non-Arctic nations and states have increased their focus on producing polar-capable vessels and icebreakers to enable shipping through Arctic sea routes, providing both partners and competitors with greater Arctic access than that of the U.S.

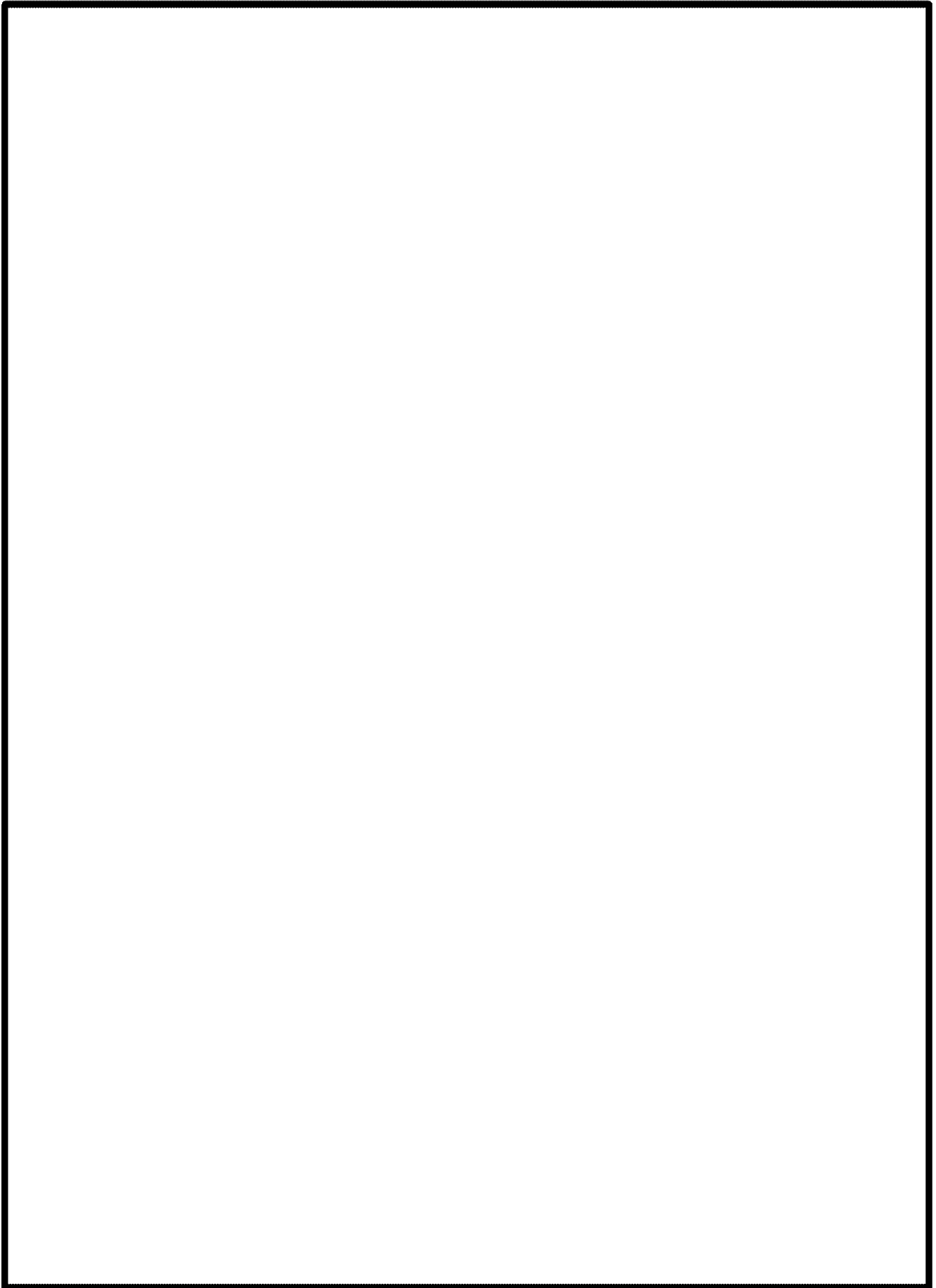
Major Risks

- Increased human activity in the Arctic presents risks to the integrity of U.S. borders and environmental and maritime safety risks associated with trans-Arctic shipping and mineral exploration/exploitation.
- The remote and harsh nature of the Arctic and lack of infrastructure (including ports, navigational aids, reliable hydrographic data, and communications) and the lack of consistent adequate domain awareness creates a difficult incident management posture.

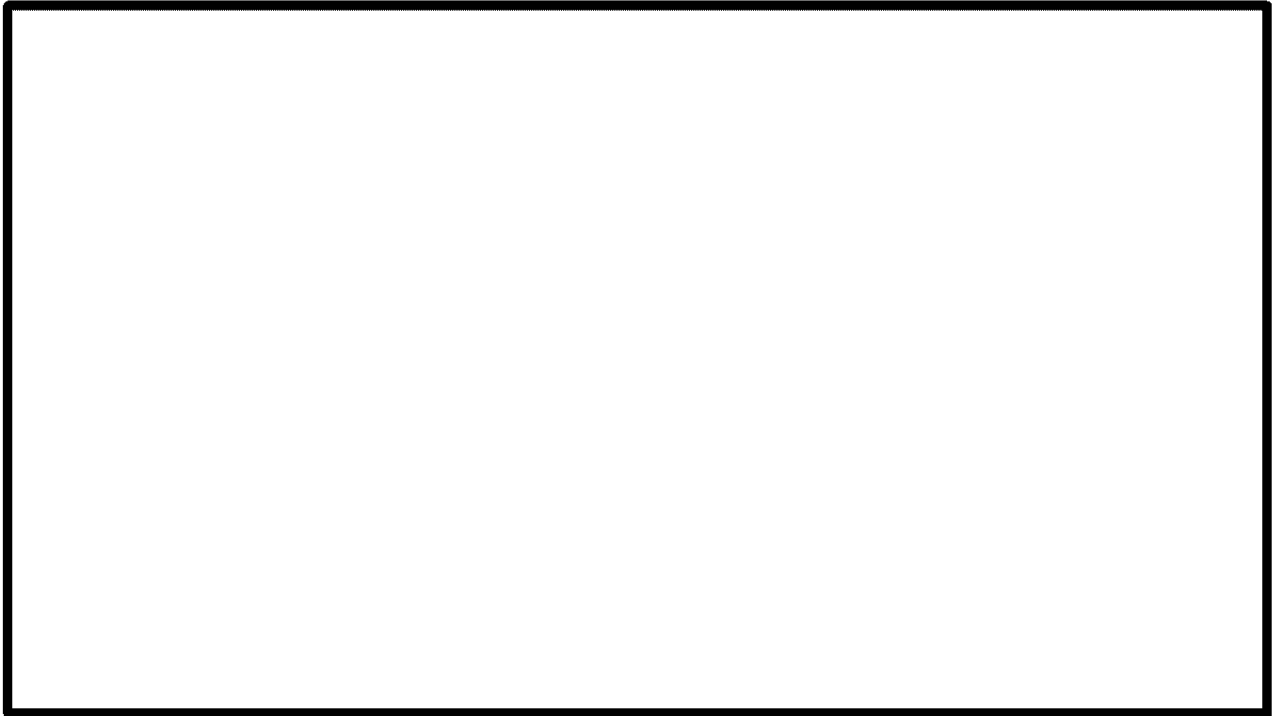
INFORMATION SHARING WITH FOREIGN PARTNERS

- The DHS Office of Policy (PLCY) coordinates all DHS engagement with foreign governments and international organizations. PLCY works closely with the DHS Components, as the operators that implement any international information sharing arrangements, to ensure agreements and arrangements are in support of and alignment with Departmental international engagement priorities.
- DHS works closely with the Departments of State and Justice, where applicable, when negotiating new arrangements that may impact the U.S. government.
- DHS regularly shares information with U.S. government intra-agency partners and key foreign partners to aid in the identification of criminals, terrorists and illegal immigrants before they can target the United States or our allies for nefarious purposes.
- Data shared may be derogatory in nature (e.g. criminal histories, immigration violations, or terrorist watchlists), transactional (e.g. travel history) or identity (e.g., names).
- International information sharing activities are influenced by legal, operational and policy frameworks, and the nimble threat environment. Such factors may include, but are not limited to:
 - The Visa Waiver Program (VWP) requirements;
 - Global migration trends, including from Central America to the U.S. and from the Middle East to Europe;
 - Exploitation of global travel systems by foreign fighters;
 - Mandate to identify, dismantle, and/or disrupt Transnational Crime;
 - The potential for criminals and terrorists to circumvent some U.S. screening programs by obtaining new identities and travel documents in third countries;
 - U.S. legislation that prohibits the use of criminal history for immigration or non-law enforcement purposes;
 - International debates over privacy particularly within the European Union.

[Return to Top](#)

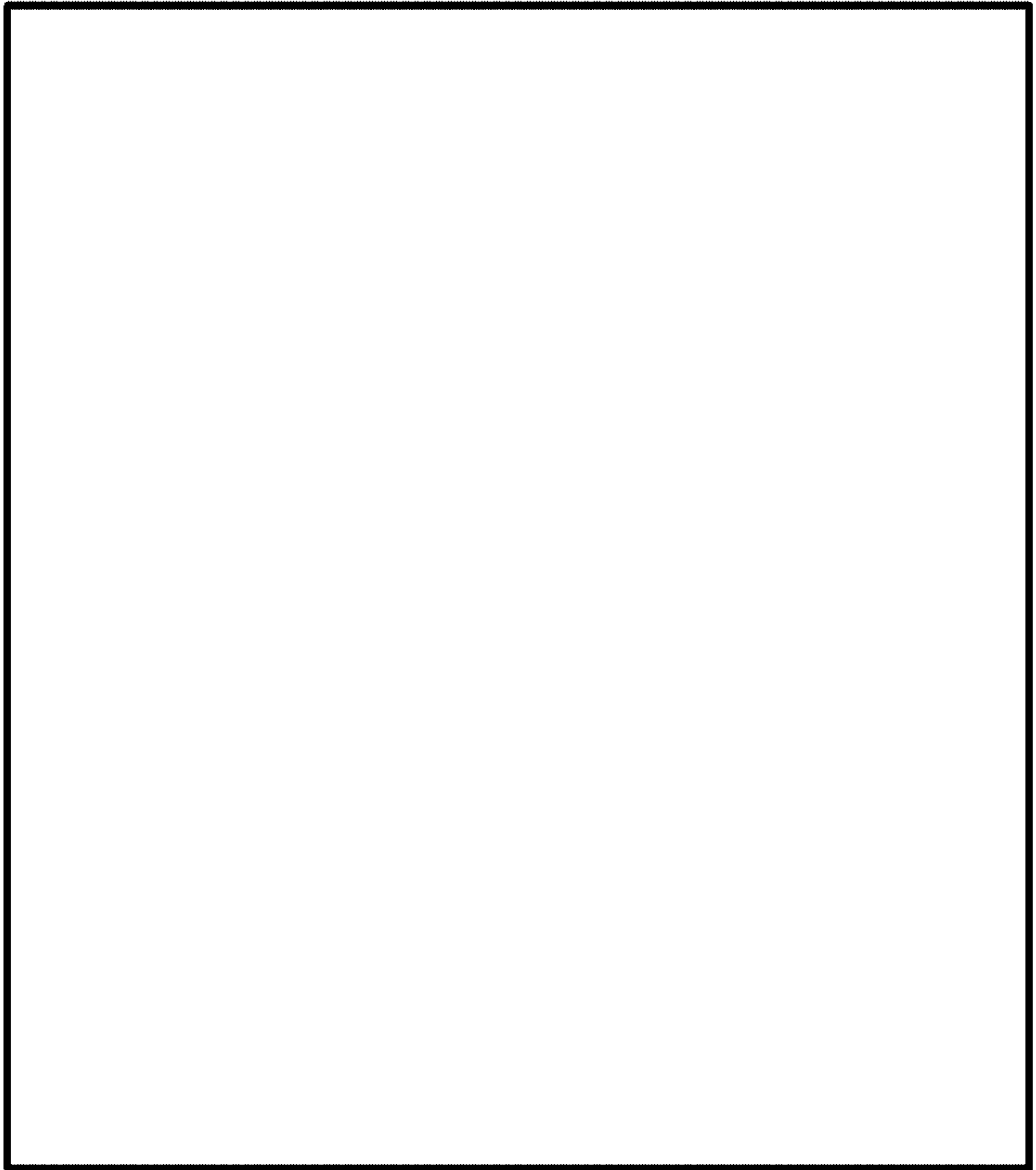


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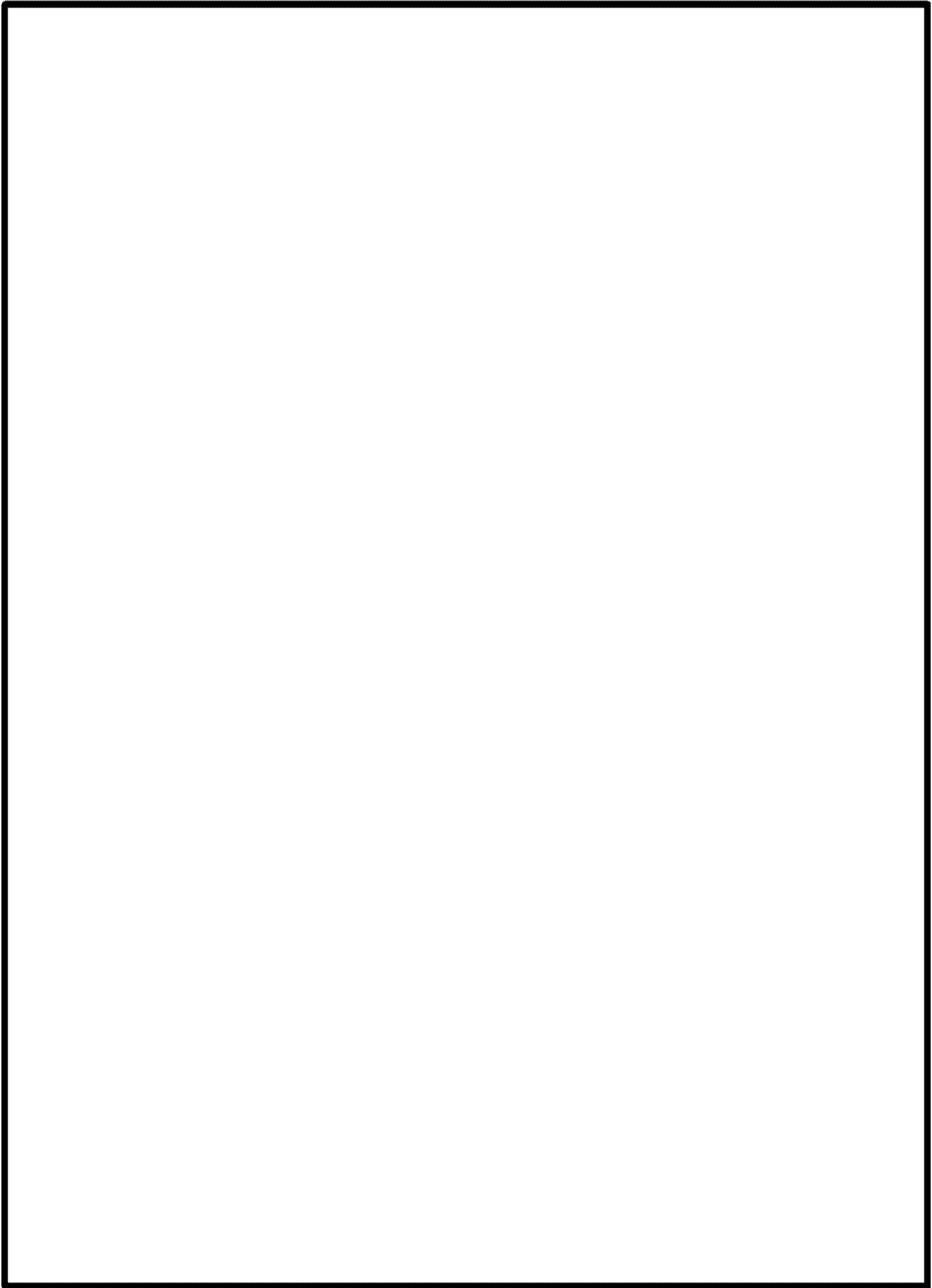


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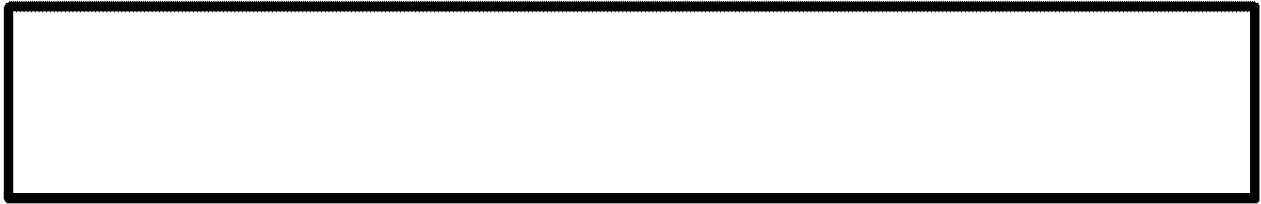
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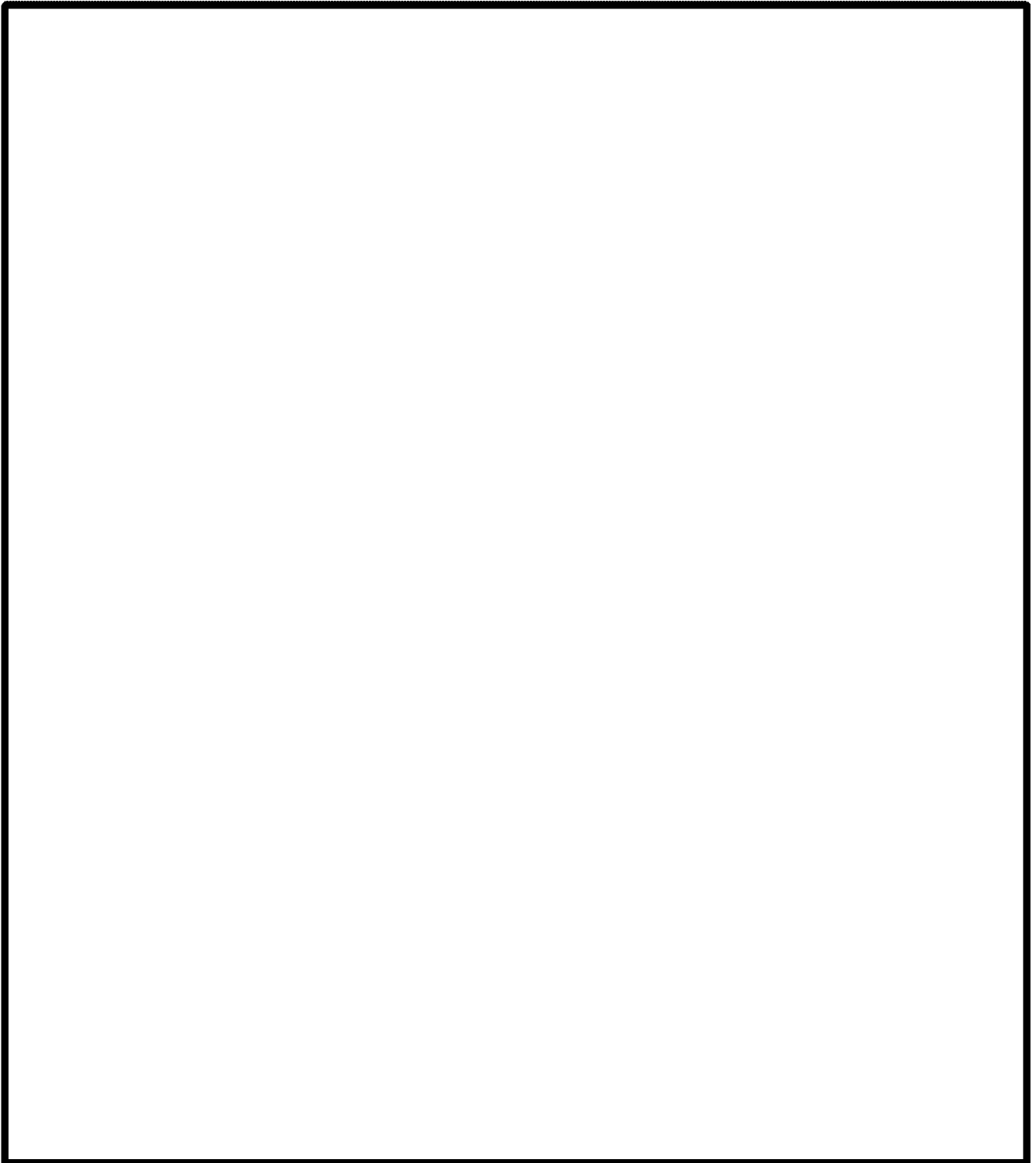


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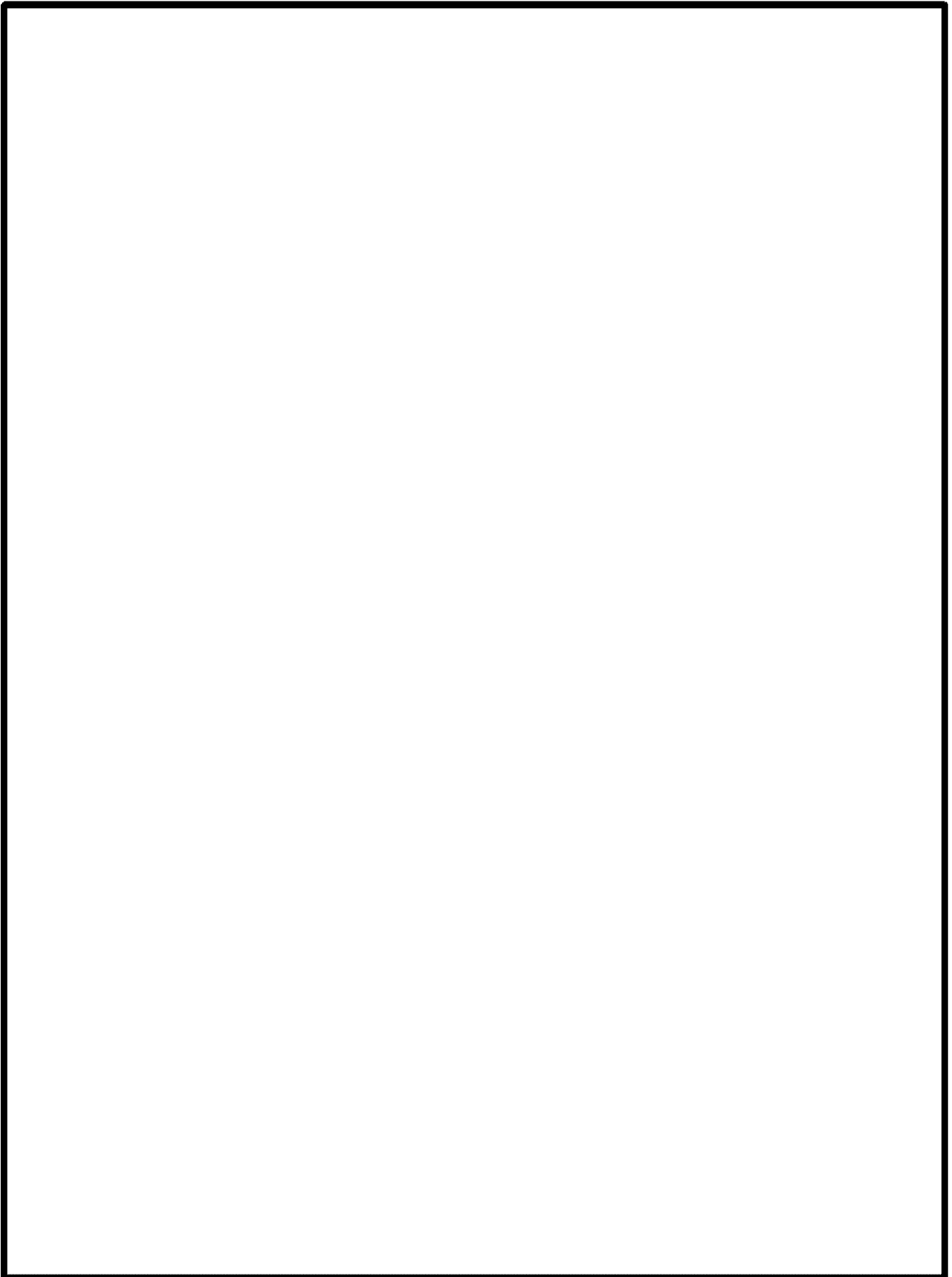
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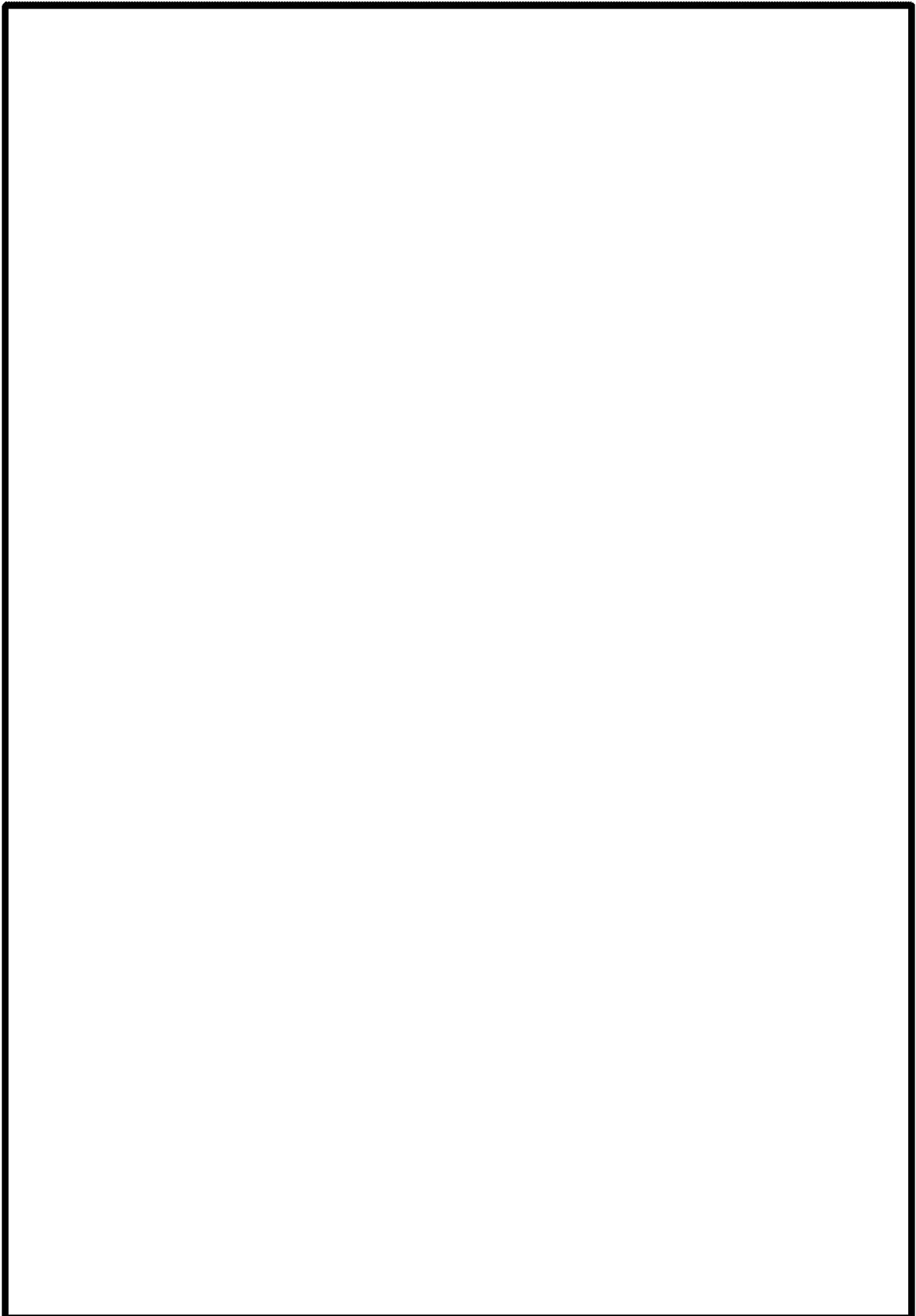
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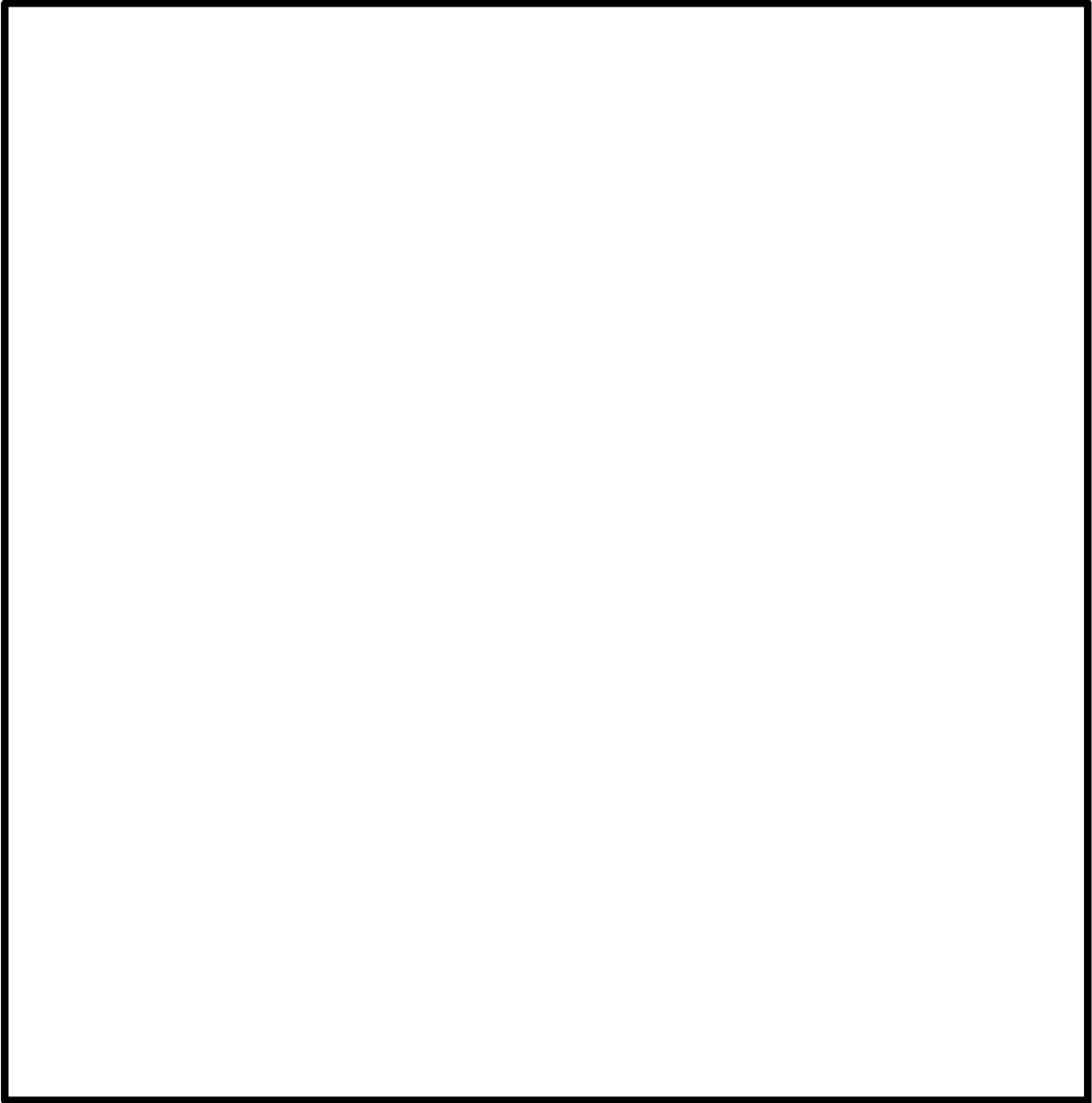
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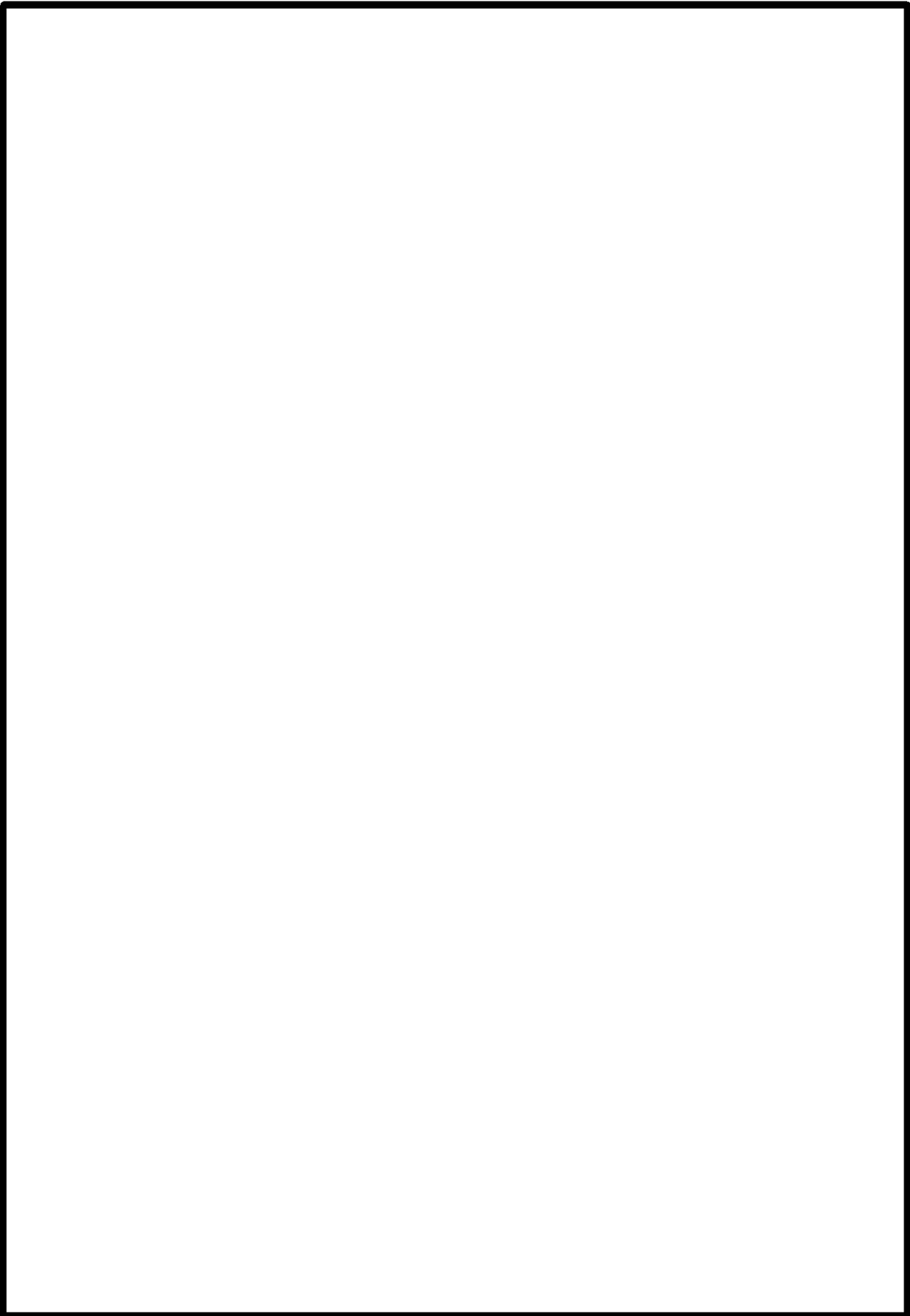
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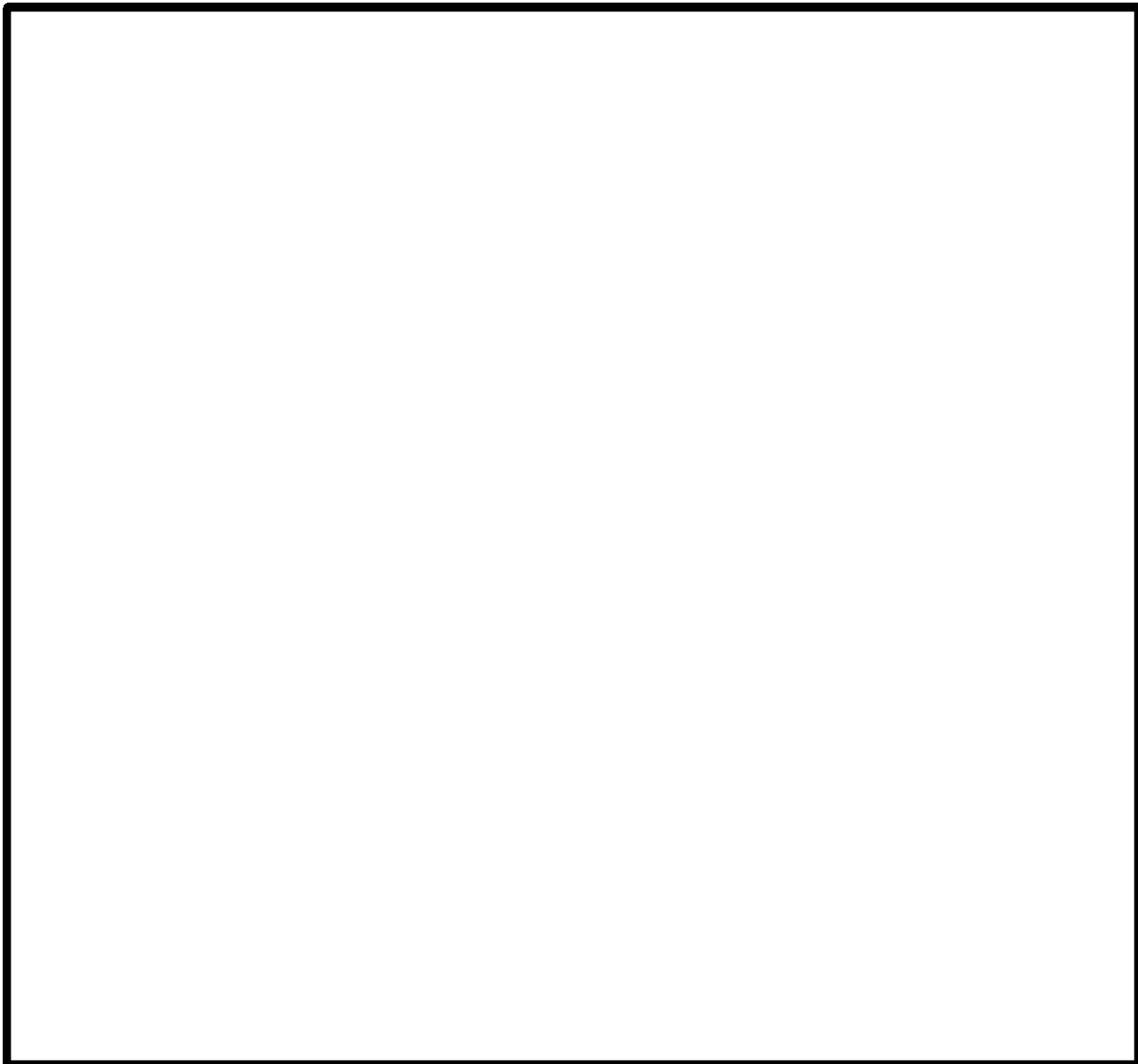
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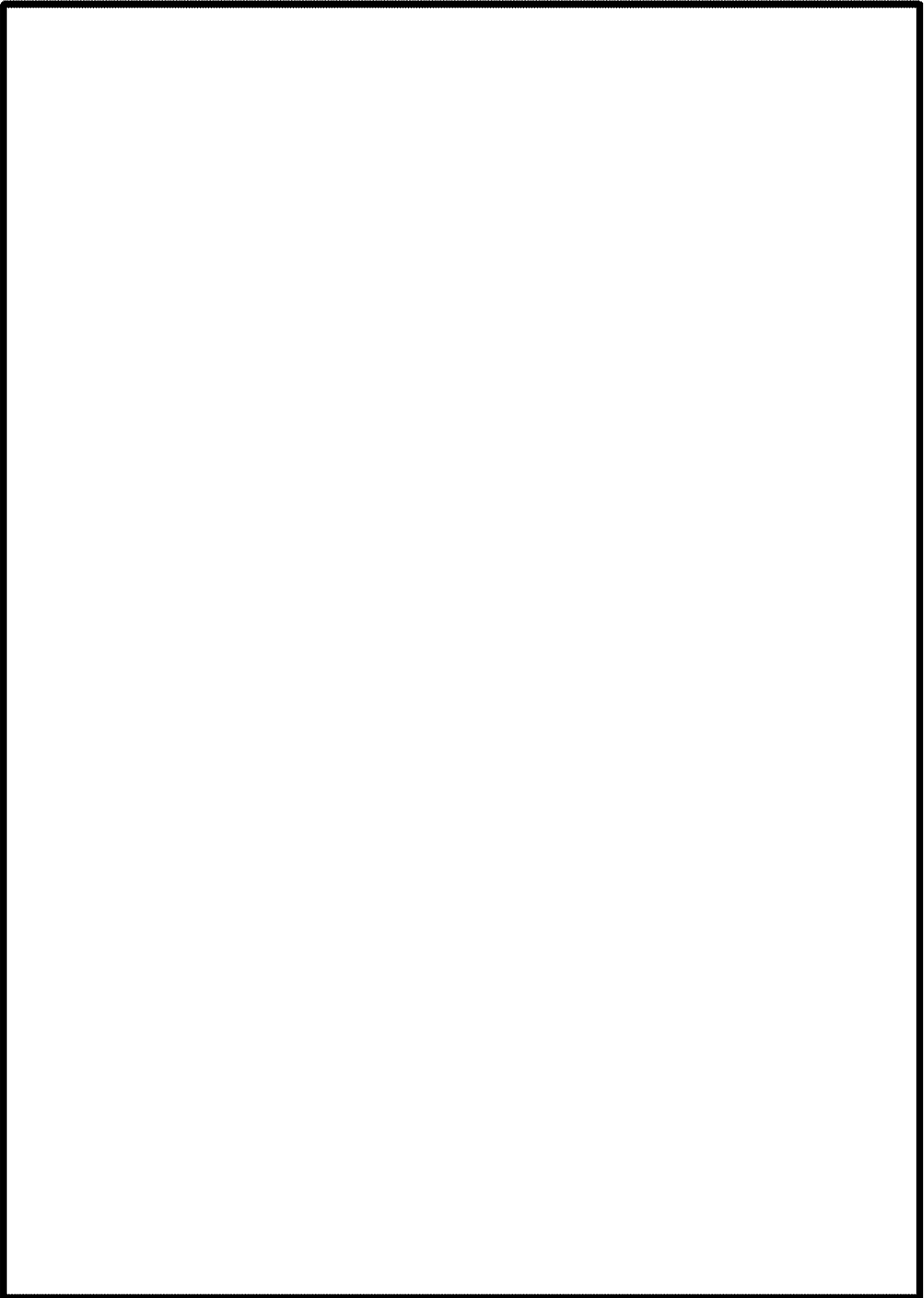


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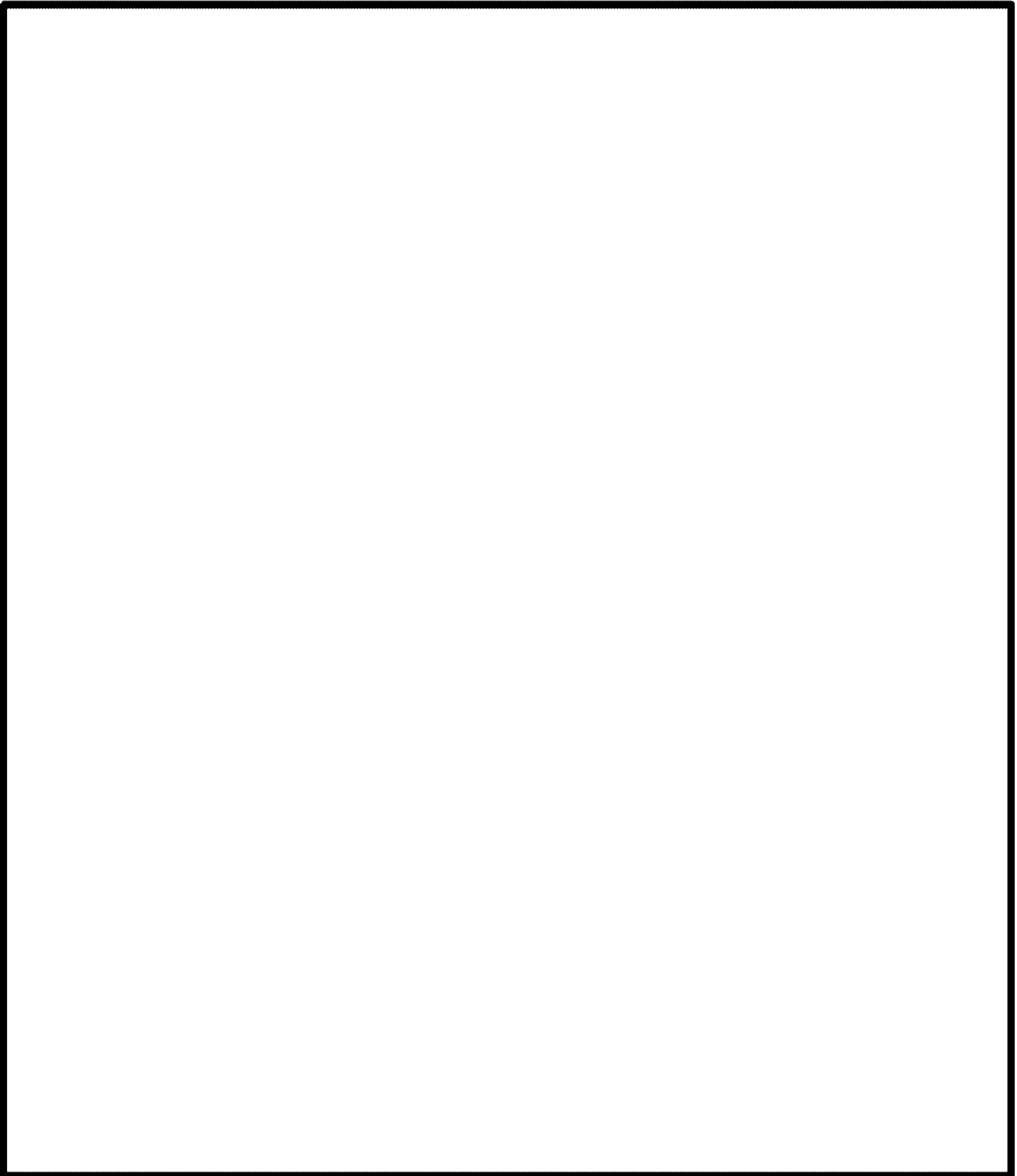


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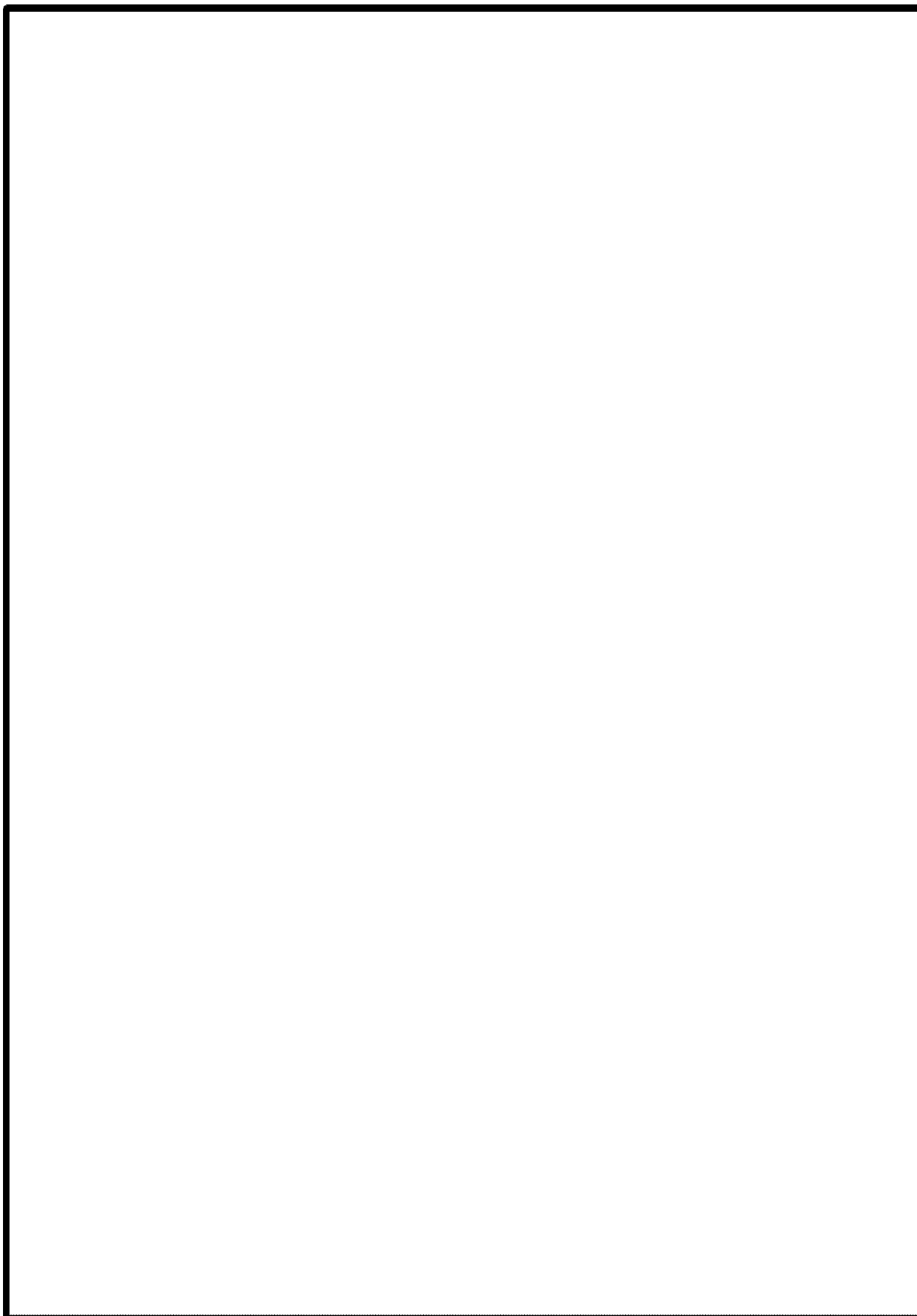
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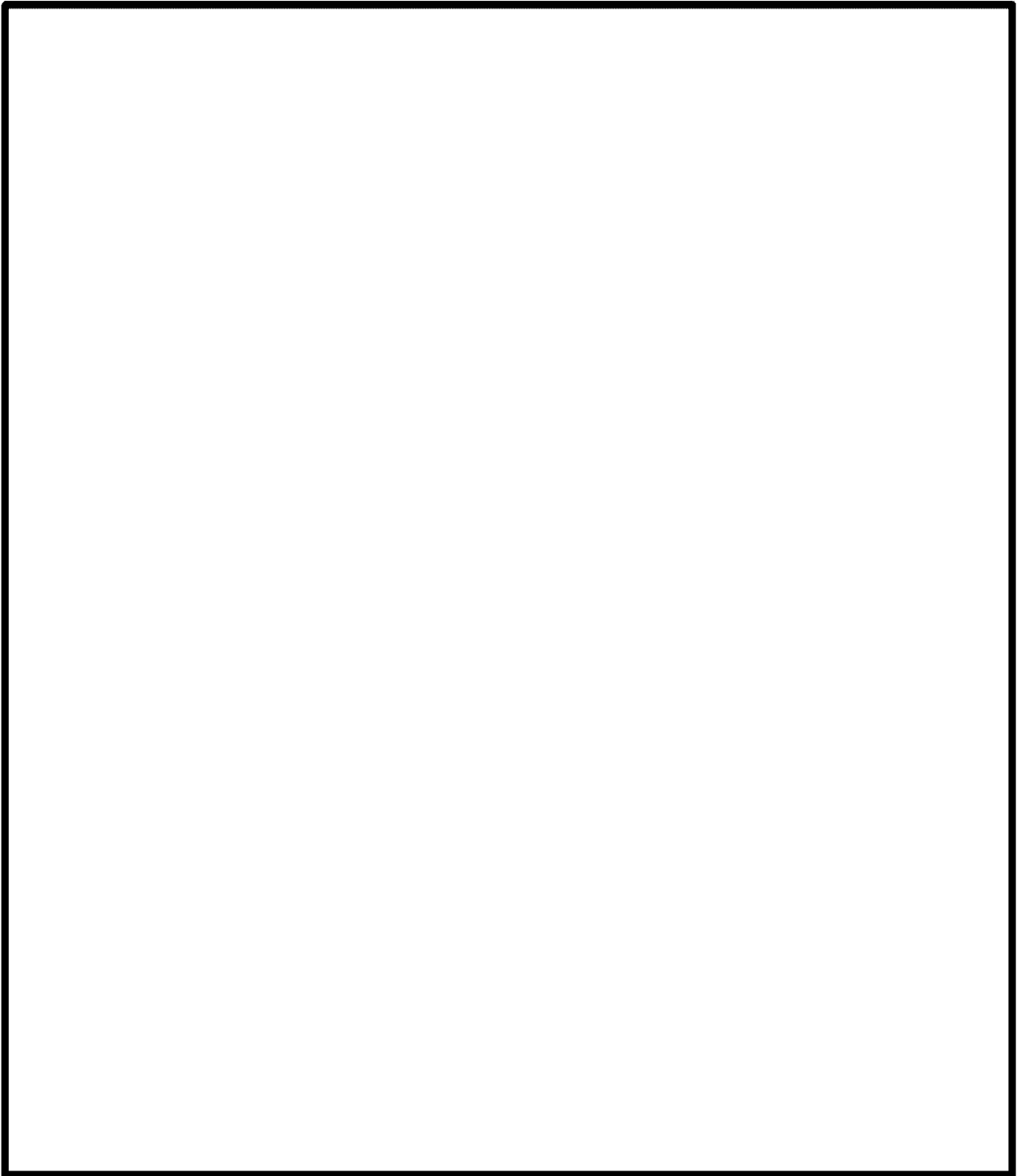
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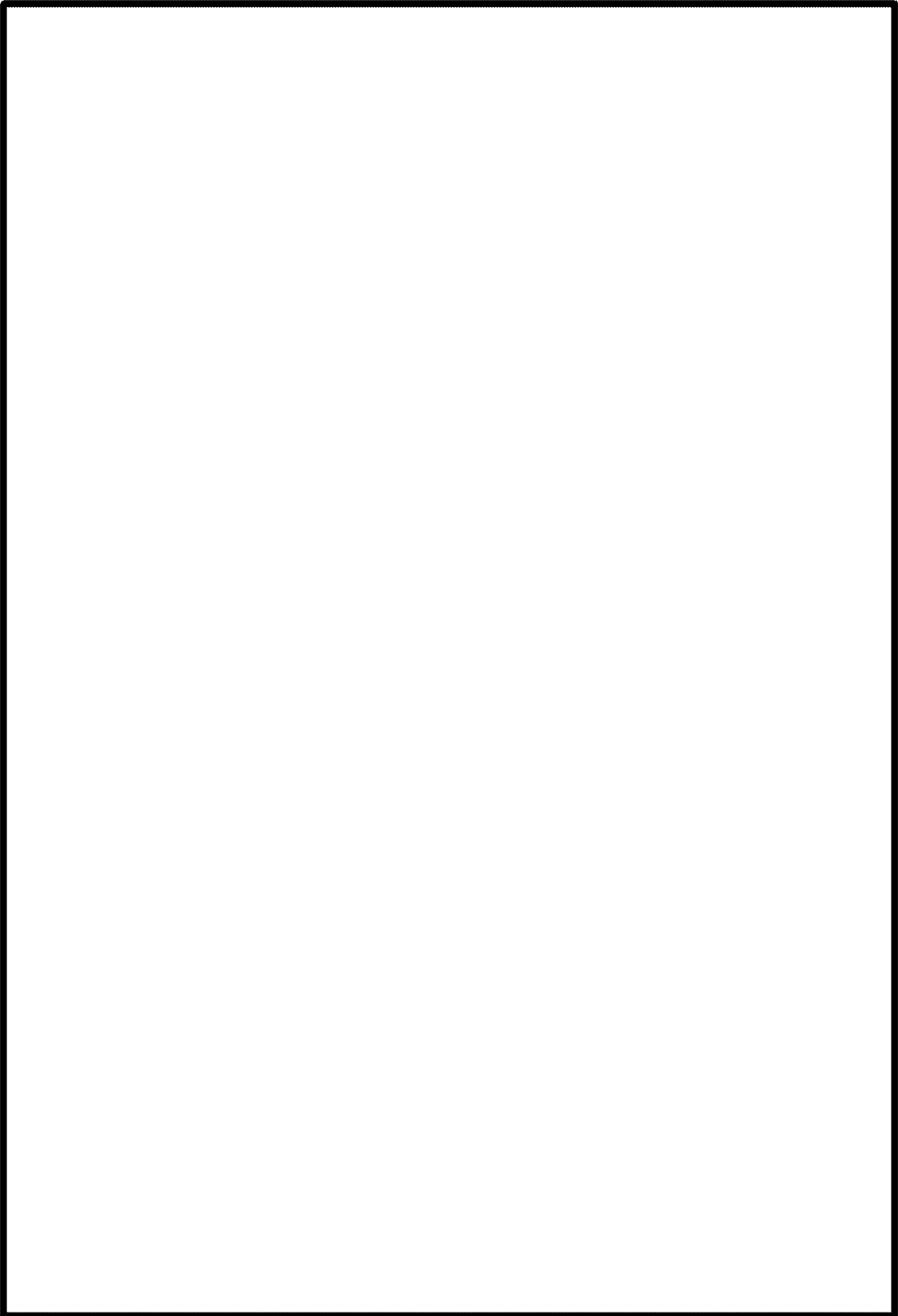
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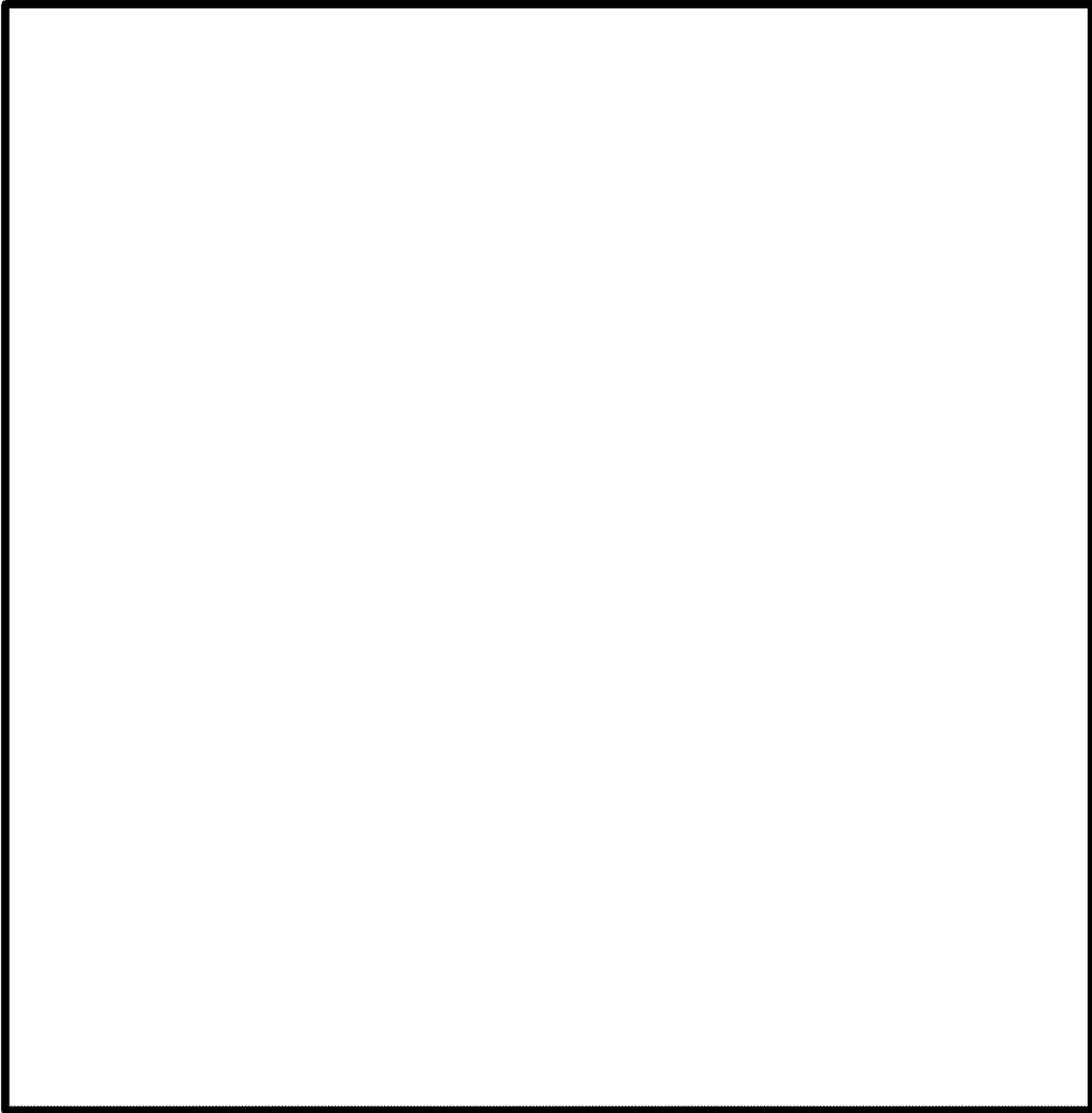


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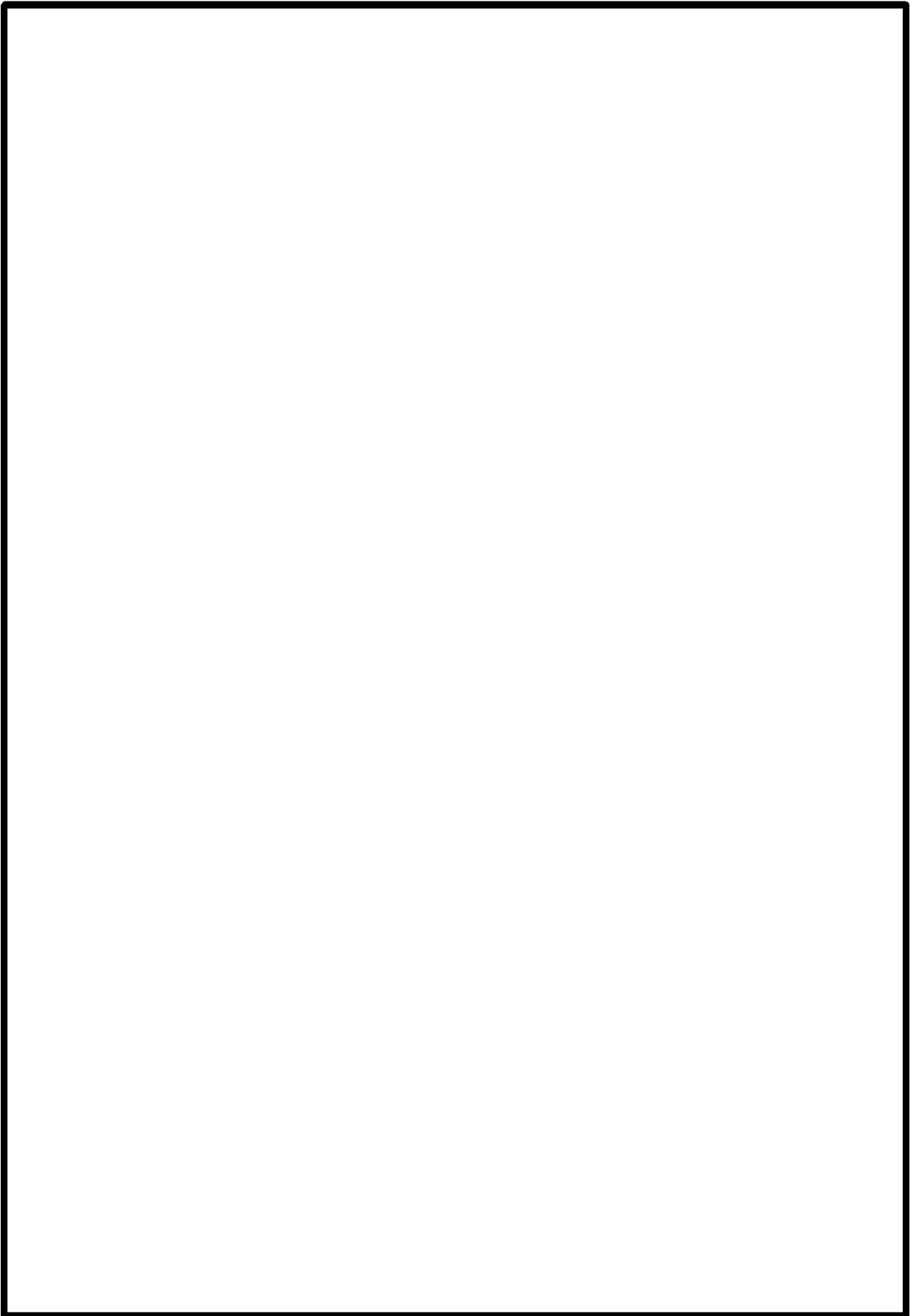


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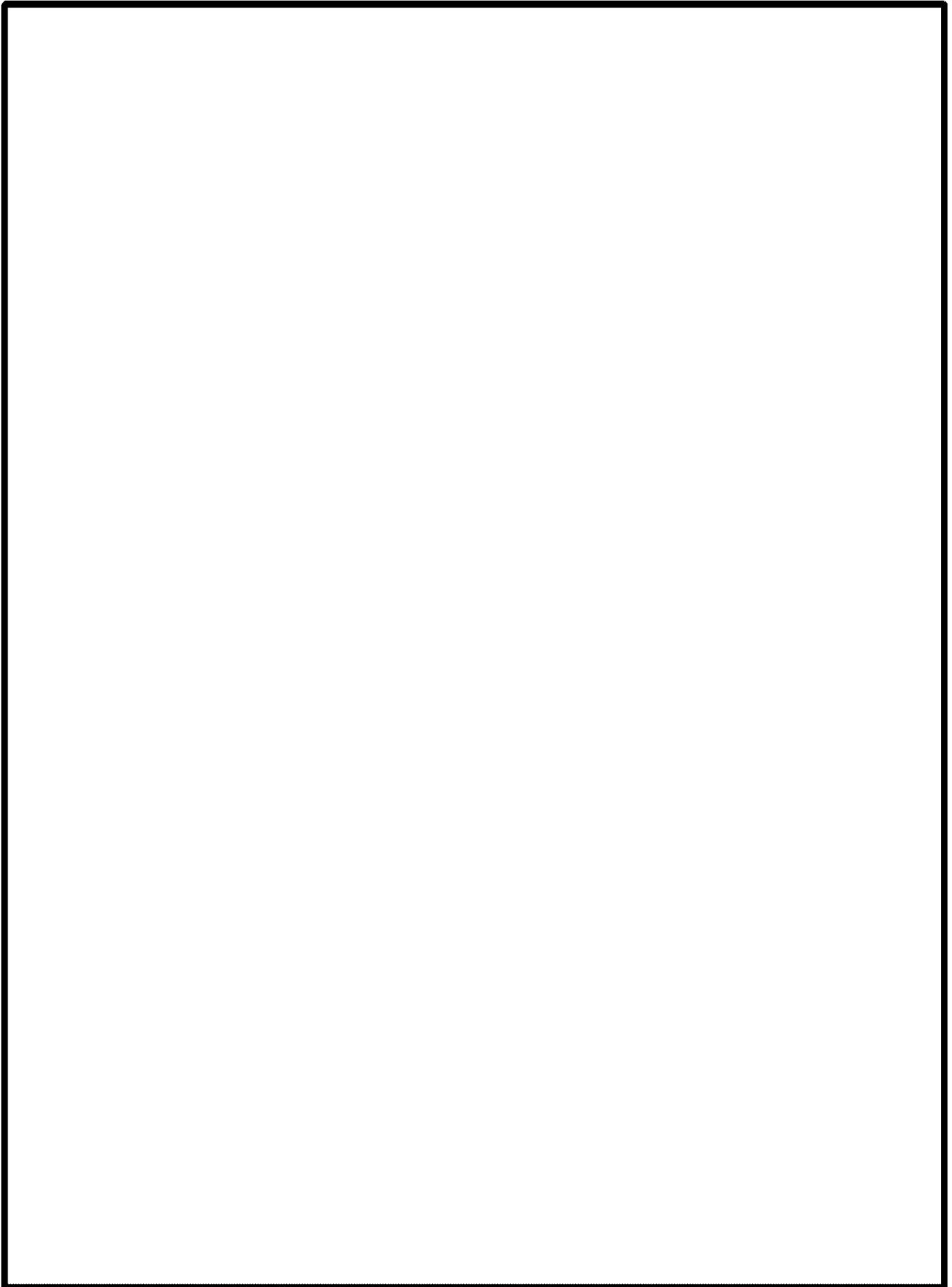
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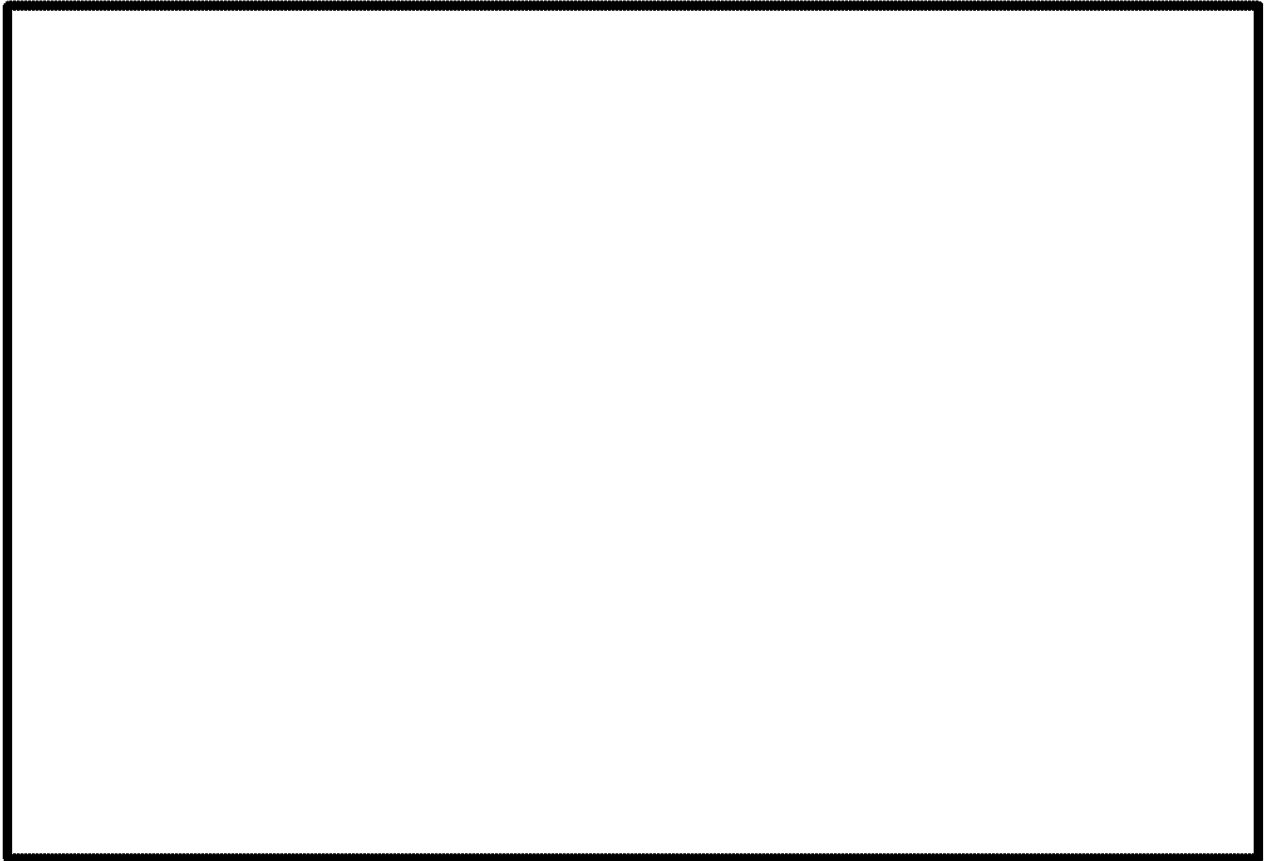


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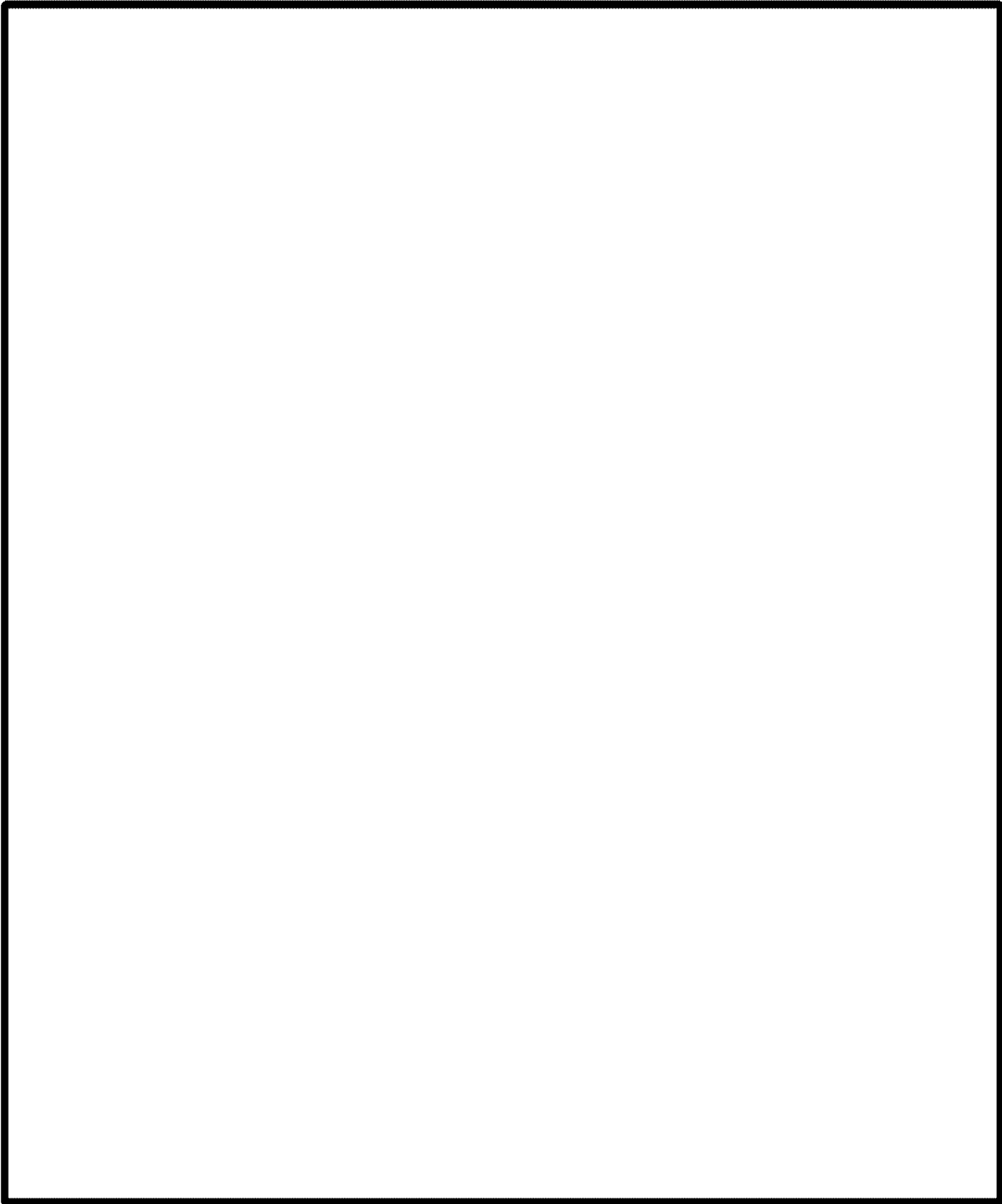


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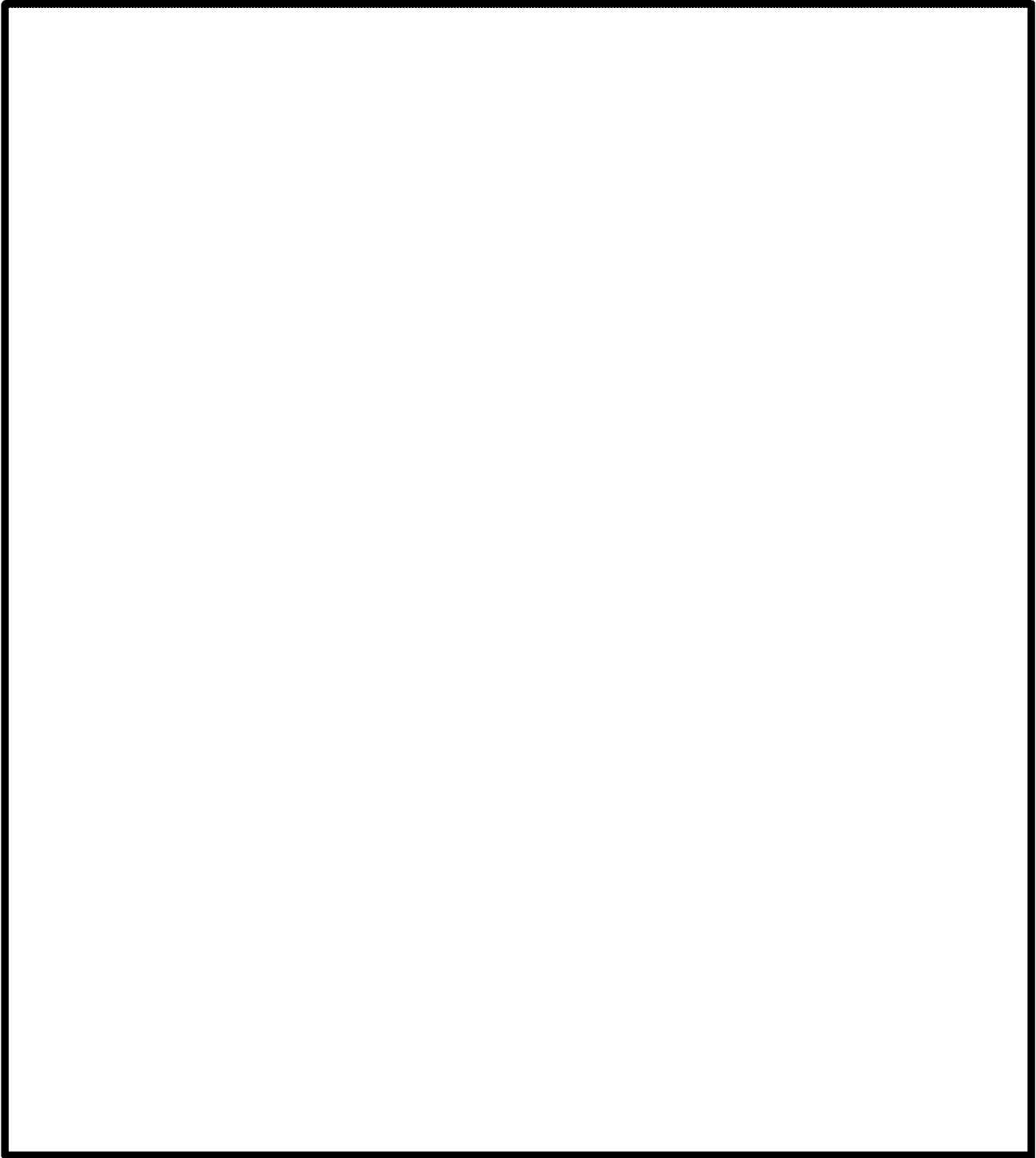
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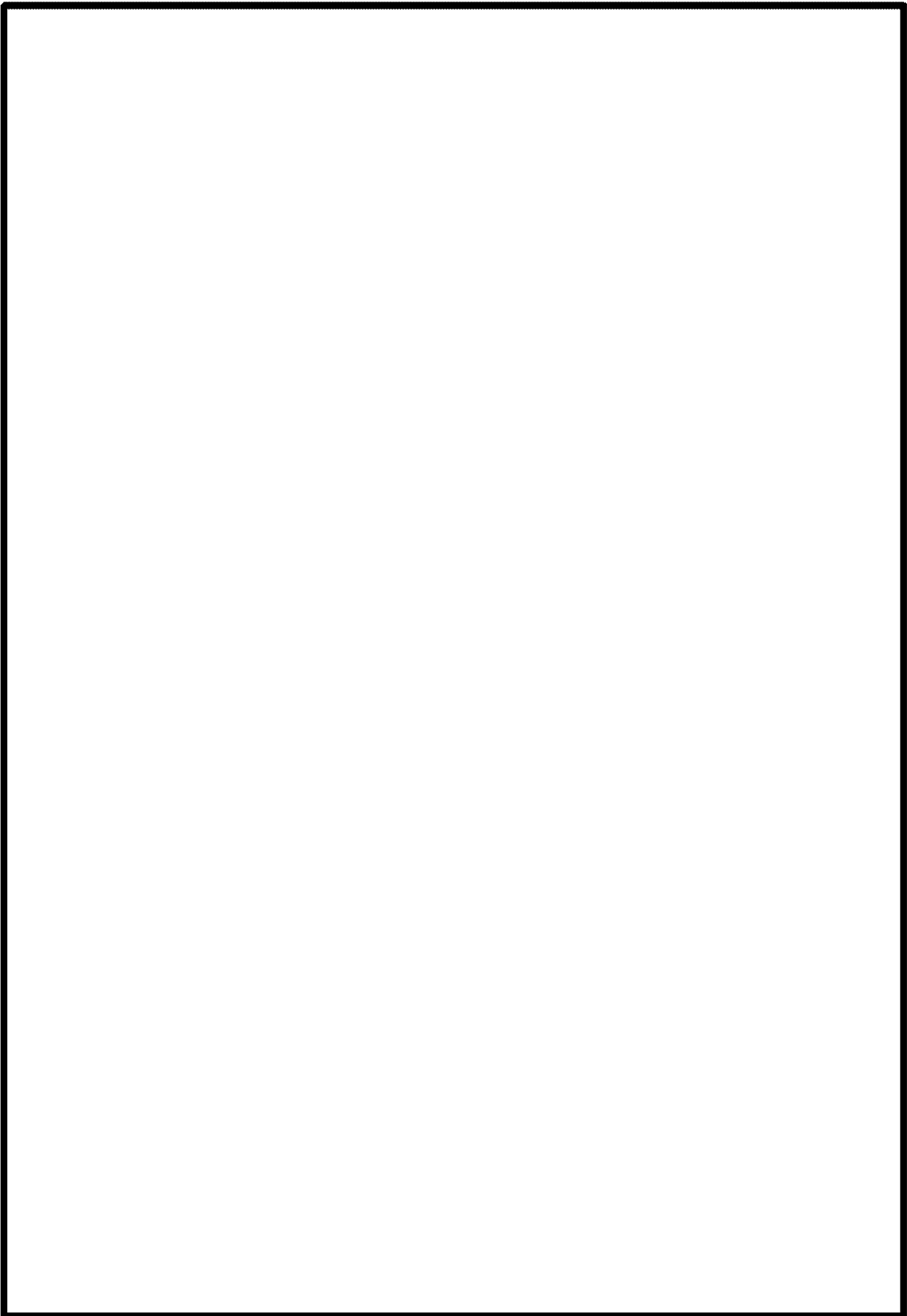


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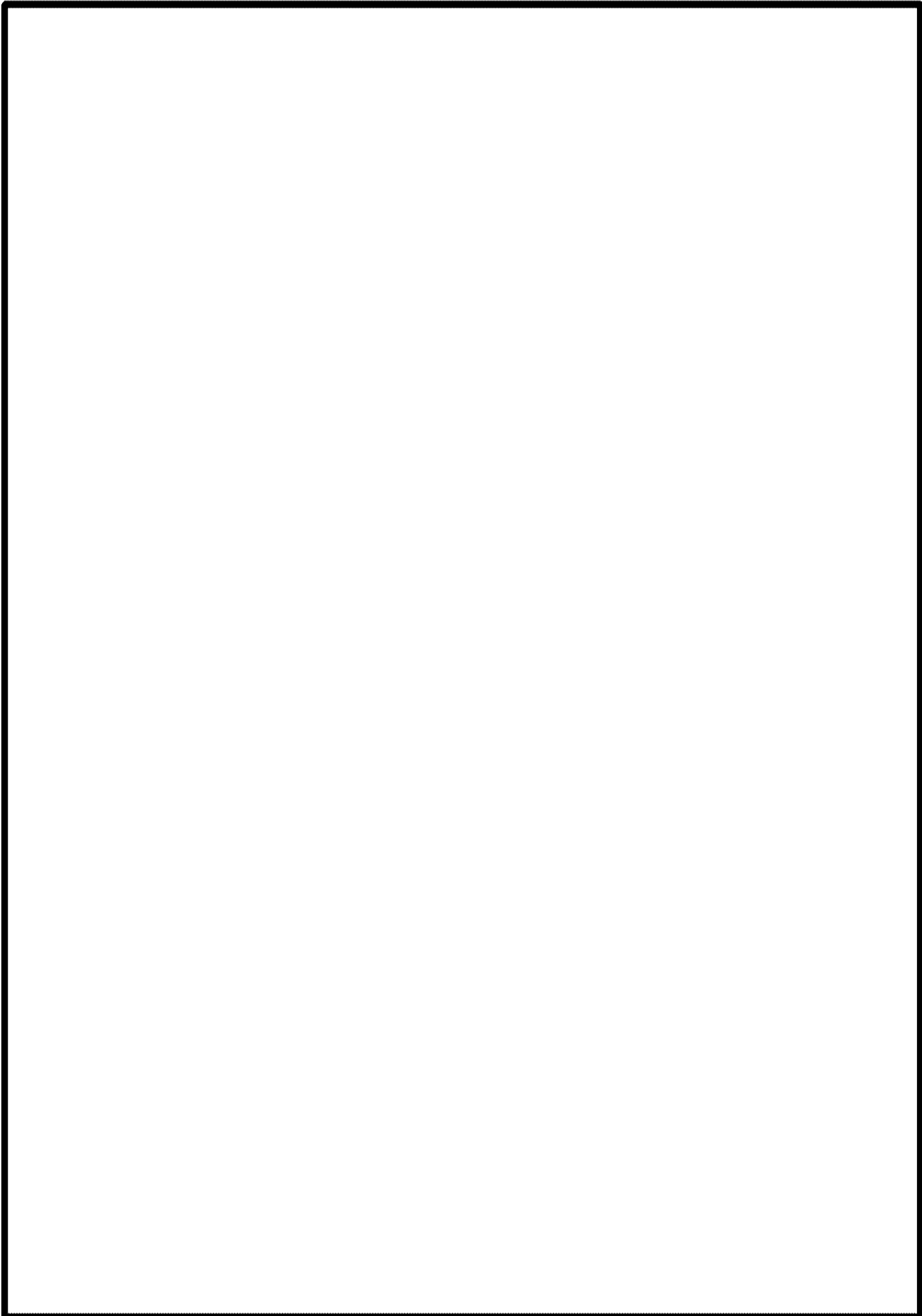
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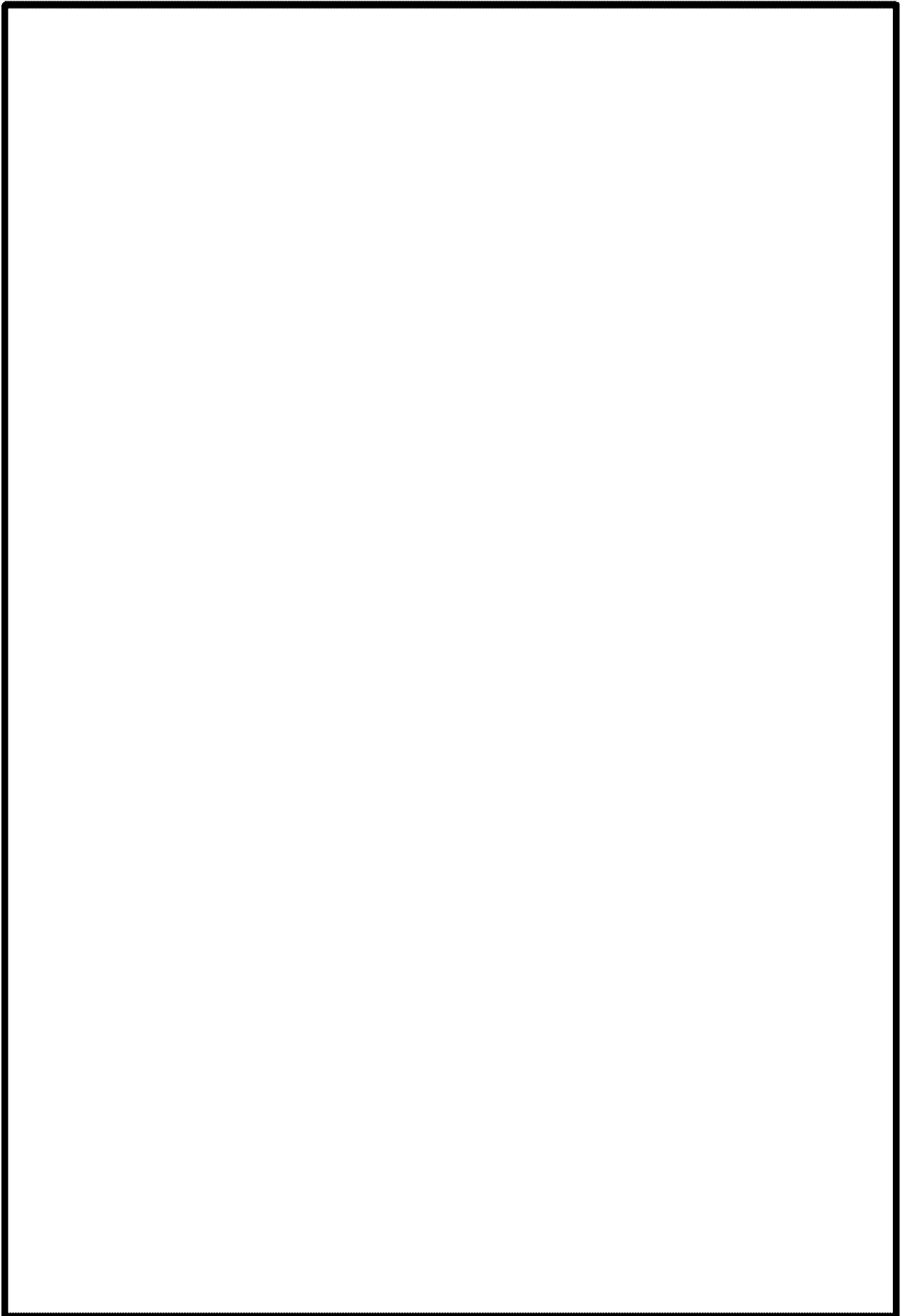
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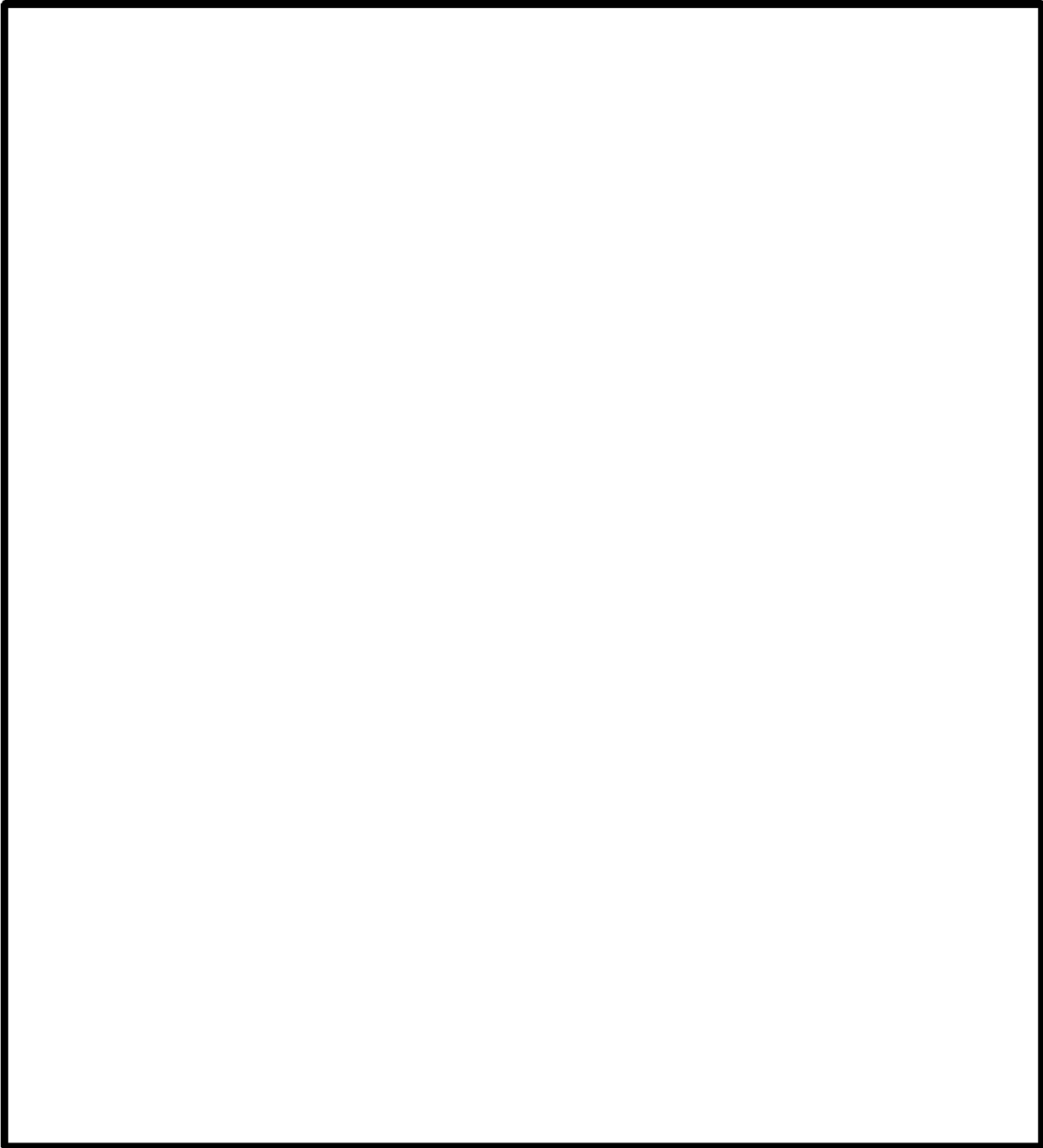
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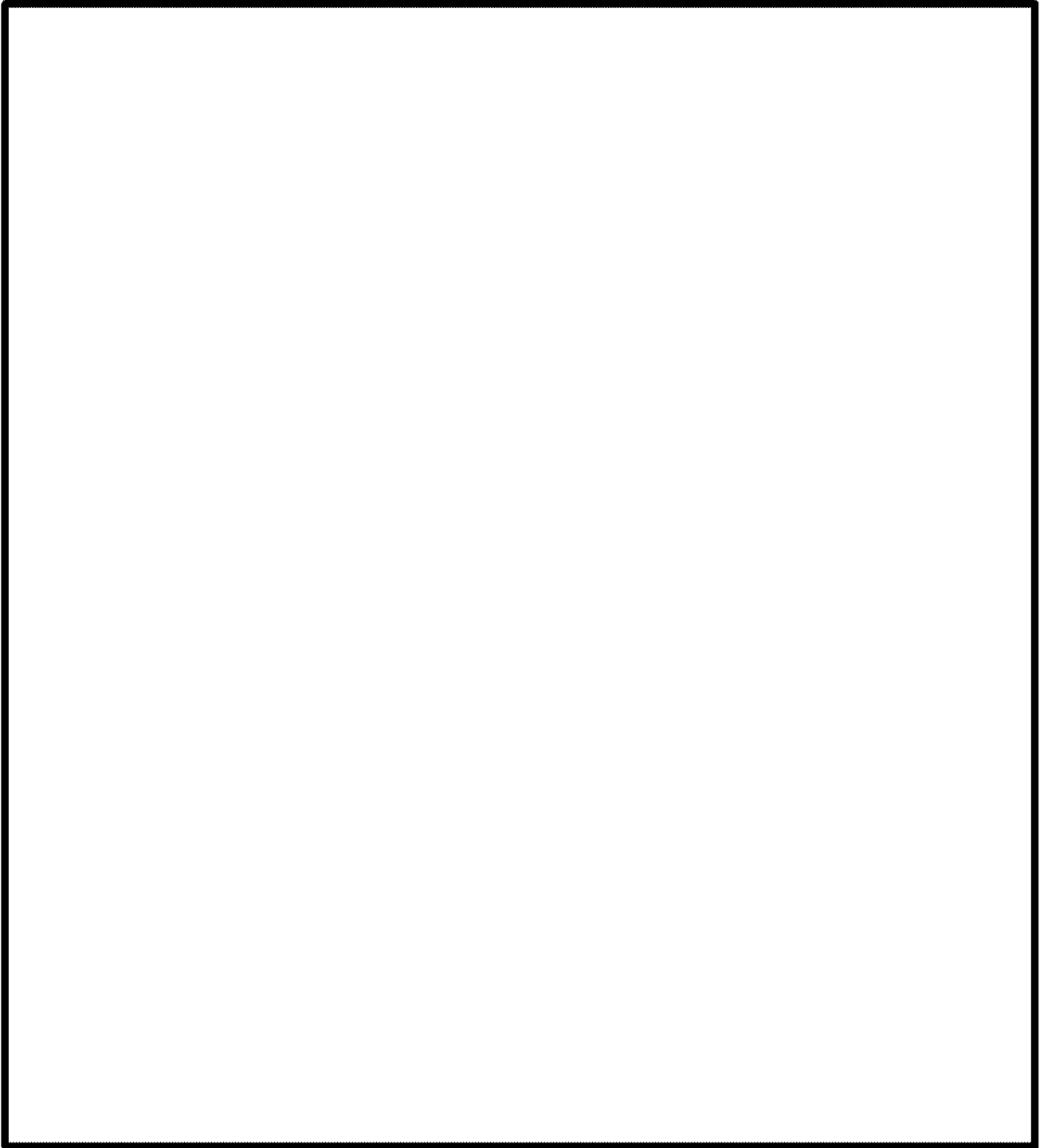
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