



Privacy Threshold Analysis

Version number: 01-2014

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PRIVACY THRESHOLD ANALYSIS (PTA)

This form is used to determine whether a Privacy Impact Assessment is required.

Please use the attached form to determine whether a Privacy Impact Assessment (PIA) is required under the E-Government Act of 2002 and the Homeland Security Act of 2002.

Please complete this form and send it to your component Privacy Office. If you do not have a component Privacy Office, please send the PTA to the DHS Privacy Office:

Senior Director, Privacy Compliance
The Privacy Office
U.S. Department of Homeland Security
Washington, DC 20528
Tel: (b)(6);

PIA@hq.dhs.gov

Upon receipt from your component Privacy Office, the DHS Privacy Office will review this form. If a PIA is required, the DHS Privacy Office will send you a copy of the Official Privacy Impact Assessment Guide and accompanying Template to complete and return.

A copy of the Guide and Template is available on the DHS Privacy Office website, www.dhs.gov/privacy, on DHSConnect and directly from the DHS Privacy Office via email:

pia@hq.dhs.gov, phone: (b)(6); (b)(7)(C)



PRIVACY THRESHOLD ANALYSIS (PTA)

SUMMARY INFORMATION

Project or Program Name:	National Criminal Analysis and Targeting Center (NCATC) Data Analysis System (DAS)		
Component:	Immigration and Customs Enforcement (ICE)	Office or Program:	Enforcement and Removal Operations (ERO)
Xacta FISMA Name (if applicable):	NCATC DATA ANALYSIS SYSTEM (DAS)	Xacta FISMA Number (if applicable):	(b)(7)(E)
Type of Project or Program:	IT System	Project or program status:	Update
Date first developed:	July 1, 2008	Pilot launch date:	N/A
Date of last PTA update	May 5, 2015	Pilot end date:	N/A
ATO Status (if applicable)	Complete	ATO expiration date (if applicable):	June 7, 2020

PROJECT OR PROGRAM MANAGER

Name:	(b)(6); (b)(7)(C)		
Office:	WBP – Williston Office	Title:	Director
Phone:	(b)(6); (b)(7)(C)	Email:	(b)(6); (b)(7)(C)

INFORMATION SYSTEM SECURITY OFFICER (ISSO) (IF APPLICABLE)

Name:	(b)(6); (b)(7)(C)		
Phone:	(b)(6); (b)(7)(C)	Email:	(b)(6); (b)(7)(C)



SPECIFIC PTA QUESTIONS

1. Reason for submitting the PTA: Updated PTA

The U.S. Immigration and Customs Enforcement (ICE), Enforcement and Removal Operations (ERO), owns the Data Analysis System (DAS), which the National Criminal Analysis and Targeting Center (NCATC) operates and maintains. The NCATC supports ICE's immigration enforcement mission by employing DAS, an analytical database, along with other technical and knowledge-based capabilities, to generate comprehensive, actionable, and timely leads ("Information Referrals") to identify and locate aliens who are amenable to removal under the Immigration and Nationality Act. Individuals may be subject to removal because they are unlawfully in the United States, or because they have been convicted of crimes that render them removable, although they may have been lawfully in the United States at one time.

DAS resides on an encrypted server behind ICE's firewall and compiles and stores dataset extracts from the following DHS and non-DHS sources:

- ICE's Enforcement Integrated Database (EID);
- U.S. Citizenship and Immigration Services (USCIS) Computer Linked Application Information Management System 3 (CLAIMS 3);
- USCIS Central Index System (CIS);
- Federal Bureau of Prisons (BOP) SENTRY Inmate Management System;
- Federal Bureau of Investigation (FBI) Interstate Identification Index (III);
- California Department of Corrections and Rehabilitation (CDCR) Strategic Offender Management System (SOM); and
- Commercial vendors (The United States Post Office and a vendor under contract).

The categories of information in DAS include:

- Data to assist in locating potentially removable aliens
 - Biographical information;
 - Criminal case history and record;
 - Criminal custody data;
 - Immigration custody and history;
 - Naturalization information; and
 - Vehicle and insurance information.
- Data collected on foreign-born inmates:
 - The data elements listed above are also collected on foreign-born inmates who may be amenable to removal under the Immigration and Nationality Act (INA). (If alienage cannot be confirmed, or if the alien is not subject to removal under the INA, ERO does not pursue enforcement action against them.)

NCATC routinely uploads, or is provided with, data from the above-identified federal and state systems and two commercial sources – the United States Postal Service (no PII is involved) and a vendor. When new data is uploaded into DAS pertaining to a subject, any prior data is replaced with the new dataset. Each dataset remains separate within DAS, and its elements are combined for



NCATC analysis, which populates Information Referrals to assist ERO in identifying and locating aliens who are amenable for removal.

Since the adjudication of the prior DAS PTA, the former Fugitive Operations Support Center (FOSC) has been renamed NCATC.

2. Does this system employ any of the following technologies:

If you are using any of these technologies and want coverage under the respective PIA for that technology please stop here and contact the DHS Privacy Office for further guidance.

- Closed Circuit Television (CCTV)
- Social Media
- Web portal¹ (e.g., SharePoint)
- Contact Lists
- None of these

3. From whom does the Project or Program collect, maintain, use, or disseminate information?

Please check all that apply.

- This program does not collect any personally identifiable information²
- Members of the public
- DHS employees/contractors (list components):
- Contractors working on behalf of DHS:
- Employees of other federal agencies

4. What specific information about individuals is collected, generated or retained?

- Information to identify and locate potentially removable aliens
 - Biographical information, including:
 - Name; known aliases;
 - Date of birth, country of birth, citizenship;
 - Identifying numbers (Social Security (SSN), Alien Registration (A-Number), driver's license);

¹ Informational and collaboration-based portals in operation at DHS and its components that collect, use, maintain, and share limited personally identifiable information (PII) about individuals who are "members" of the portal or "potential members" who seek to gain access to the portal.

² DHS defines personal information as "Personally Identifiable Information" or PII, which is any information that permits the identity of an individual to be directly or indirectly inferred, including any information that is linked or linkable to that individual, regardless of whether the individual is a U.S. citizen, lawful permanent resident, visitor to the U.S., or employee or contractor to the Department. "Sensitive PII" is PII, which if lost, compromised, or disclosed without authorization, could result in substantial harm, embarrassment, inconvenience, or unfairness to an individual. For the purposes of this PTA, SPII and PII are treated the same.



- Gender, race, marital status;
 - Physical characteristics;
 - Last known address; phone number.
 - Criminal case history and record, including:
 - Court case title, number and attorney’s name;
 - Disposition code, arrival, release date;
 - Removal charge and category;
 - Summary of conviction, crime and severity code;
 - National Crime Information Center information;
 - Identification (FBI Universal Control number, State ID number, Bureau of Prison ID, inmate number, sex offender registry number).
 - Immigration benefit (beneficiaries’ and petitioners’) information, including:
 - Employer or petitioner’s name, biographical information;
 - Class preference, appeal date.
 - Immigration custody and history, including:
 - Charge and final order, case category, attorney’s name;
 - Detention date and location, release date;
 - Apprehension date, method and site; removal case ID;
 - Refugees, asylum or parole designation.
 - Naturalization information; and
 - Vehicle and insurance information
- Information on foreign-born inmates:
 - The data elements listed above are also collected on foreign-born inmates who may be amenable to removal under the Immigration and Nationality Act (INA). (If alienage cannot be confirmed, or if the alien is not subject to removal under the INA, ERO does not pursue enforcement action against them.)

<p>4(a) Does the project, program, or system retrieve information by personal identifier?</p>	<p><input type="checkbox"/> No. Please continue to next question. <input checked="" type="checkbox"/> Yes. If yes, please list all personal identifiers used: Name, A-number, any identifying numbers or licenses (SSN, driver’s license number, FBI Universal Control number, BOP ID, inmate number)</p>
<p>4(b) Does the project, program, or system use Social Security Numbers (SSN)?</p>	<p><input type="checkbox"/> No. <input checked="" type="checkbox"/> Yes.</p>
<p>4(c) If yes, please provide the specific legal basis and purpose for the collection of SSNs:</p>	<p>Legal basis: Immigration and Nationality Act (8 U.S.C. 1360(b)) Purpose: to confirm identity and location of aliens (or non-alien) status of individuals.</p>



<p>4(d) If yes, please describe the uses of the SSNs within the project, program, or system:</p>	<p>The system uploads all biographical information from the federal and state systems identified above, including any SSNs. All available identification numbers are used to confirm individuals' identity, location and immigration status.</p>
<p>4(e) If this project, program, or system is an information technology/system, does it relate solely to infrastructure?</p> <p><i>For example, is the system a Local Area Network (LAN) or Wide Area Network (WAN)?</i></p>	<p><input checked="" type="checkbox"/> No. Please continue to next question.</p> <p><input type="checkbox"/> Yes. If a log kept of communication traffic, please answer the following question.</p>
<p>4(f) If header or payload data³ is stored in the communication traffic log, please detail the data elements stored.</p>	
<p>N/A</p>	

<p>5. Does this project, program, or system connect, receive, or share PII with any other DHS programs or systems⁴?</p>	<p><input type="checkbox"/> No.</p> <p><input checked="" type="checkbox"/> Yes. If yes, please list:</p> <p>DAS's dataset contains data from ICE's Enforcement Integrated Database (EID) Enforcement Alien Removal Module (EARM) and Integrated Decision Support System (IIDS) (a reporting sub-system of EID). It also receives a limited subset of data from USCIS's Computer Linked Application Information Management System 3 (CLAIMS 3) and USCIS's Central Index System.</p>
<p>6. Does this project, program, or system connect, receive, or share PII with any external (non-DHS) partners or systems?</p>	<p><input type="checkbox"/> No.</p> <p><input checked="" type="checkbox"/> Yes. If yes, please list:</p> <p>Bureau of Prisons shares an extract of a subset of data containing biographic, criminal custody and</p>

³ When data is sent over the Internet, each unit transmitted includes both header information and the actual data being sent. The header identifies the source and destination of the packet, while the actual data is referred to as the payload. Because header information, or overhead data, is only used in the transmission process, it is stripped from the packet when it reaches its destination. Therefore, the payload is the only data received by the destination system.

⁴ PII may be shared, received, or connected to other DHS systems directly, automatically, or by manual processes. Often, these systems are listed as "interconnected systems" in Xacta.



	<p>criminal history information of foreign-born inmates from its SENTRY Inmate Management System.</p> <p>NCATC receives information from the FBI's Interstate Identification Index (III) System, which queries the Universal Control Number and the state identification number associated with the A-Number provided by NCATC.</p> <p>NCATC accesses and uploads monthly updates on the biographic information and criminal custody data of foreign-born, incarcerated individuals on parole or in a California state correctional facility from the California Department of Corrections and Rehabilitation (CDCR) Strategic Offender Management System (SOM).</p> <p>NCATC emails limited identifying information to one of the commercial vendors so it may search its proprietary database in response to NCATC's request.</p>
<p>6(a) Is this external sharing pursuant to new or existing information sharing access agreement (MOU, MOA, LOI, etc.)?</p>	<p>Existing</p> <p>Please describe applicable information sharing governance in place: ICE has a MOA with the BOP.</p>
<p>7. Does the project, program, or system provide role-based training for personnel who have access in addition to annual privacy training required of all DHS personnel?</p>	<p><input type="checkbox"/> No.</p> <p><input checked="" type="checkbox"/> Yes. If yes, please list: ICE's Privileged User Training</p>
<p>8. Per NIST SP 800-53 Rev. 4, Appendix J, does the project, program, or system maintain an accounting of disclosures of PII to individuals who have requested access to their PII?</p>	<p><input checked="" type="checkbox"/> No. What steps will be taken to develop and maintain the accounting: An accounting is not required because the System of Records Notice (SORN) that covers DAS is exempt from the account of disclosure requirement.</p> <p><input type="checkbox"/> Yes. In what format is the accounting maintained:</p>



9. Is there a FIPS 199 determination?⁴	<input type="checkbox"/> Unknown. <input type="checkbox"/> No. <input checked="" type="checkbox"/> Yes. Please indicate the determinations for each of the following: Confidentiality: <input type="checkbox"/> Low <input checked="" type="checkbox"/> Moderate <input type="checkbox"/> High <input type="checkbox"/> Undefined Integrity: <input type="checkbox"/> Low <input checked="" type="checkbox"/> Moderate <input type="checkbox"/> High <input type="checkbox"/> Undefined Availability: <input type="checkbox"/> Low <input checked="" type="checkbox"/> Moderate <input type="checkbox"/> High <input type="checkbox"/> Undefined
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PRIVACY THRESHOLD REVIEW

(TO BE COMPLETED BY COMPONENT PRIVACY OFFICE)

Component Privacy Office Reviewer:	(b)(6); (b)(7)(C)
Date submitted to Component Privacy Office:	June 3, 2019
Date submitted to DHS Privacy Office:	June 19, 2019
Component Privacy Office Recommendation:	
<i>Please include recommendation below, including what new privacy compliance documentation is needed.</i>	
The DAS assists ERO field offices' efforts to locate aliens amenable to removal. Because DAS collects, stores and maintains PII, a PIA is required. The DHS/ICE/PIA – 048 Data Analysis System (DAS) PIA (9/29/2017) covers the system.	
A SORN is required because information is retrieved by unique identifiers and information may be shared with other DHS components, as well as with certain federal or international government agencies to safeguard national security. The DAS information is covered by the DHS/ICE-011, Criminal Arrest Records and Immigration Enforcement Records (CARIER) System of Records Notice (SORN), 81 FR	

⁴ FIPS 199 is the Federal Information Processing Standard Publication 199, Standards for Security Categorization of Federal Information and Information Systems and is used to establish security categories of information systems.



72080 (10/19/2016), which contains a routine use for the sharing of information to assist with the enforcement of United States immigration laws and the removal of aliens who are amenable to removal. Identification of individuals unlawfully present in the U.S. is one of the purposes described in the CARRIER SORN.

(TO BE COMPLETED BY THE DHS PRIVACY OFFICE)

DHS Privacy Office Reviewer:	(b)(6); (b)(7)(C)
PCTS Workflow Number:	(b)(6);
Date approved by DHS Privacy Office:	July 5, 2019
PTA Expiration Date	July 5, 2022

DESIGNATION

Privacy Sensitive System:	Yes If “no” PTA adjudication is complete.
Category of System:	IT System If “other” is selected, please describe: Click here to enter text.
Determination:	<input type="checkbox"/> PTA sufficient at this time. <input type="checkbox"/> Privacy compliance documentation determination in progress. <input type="checkbox"/> New information sharing arrangement is required. <input type="checkbox"/> DHS Policy for Computer-Readable Extracts Containing Sensitive PII applies. <input type="checkbox"/> Privacy Act Statement required. <input checked="" type="checkbox"/> Privacy Impact Assessment (PIA) required. <input checked="" type="checkbox"/> System of Records Notice (SORN) required. <input type="checkbox"/> Paperwork Reduction Act (PRA) Clearance may be required. Contact your component PRA Officer. <input type="checkbox"/> A Records Schedule may be required. Contact your component Records Officer.
PIA:	System covered by existing PIA If covered by existing PIA, please list: The DHS/ICE/PIA-048 Data Analysis System
SORN:	System covered by existing SORN



	If covered by existing SORN, please list: DHS/ICE-011 Criminal Arrest Records and Immigration Enforcement Records (CARIER) System of Records October 19, 2016, 81 FR 72080
DHS Privacy Office Comments: <i>Please describe rationale for privacy compliance determination above.</i>	
<p>ICE is submitting this PTA to discuss the Data Analysis System (DAS), which is operated and maintained by the National Criminal Analysis and Targeting Center (NCATC). DAS is an analytical database that, along with other technical and knowledge-based capabilities, generates comprehensive, actionable, and timely leads to identify and locate aliens who are amenable to removal under the Immigration and Nationality Act.</p> <p>DAS resides on an encrypted server behind ICE’s firewall and compiles, uploads, and stores dataset extracts from DHS, federal, state and commercial sources. Categories of information in DAS include biographical information, criminal case history and record, criminal custody data, immigration custody and history, naturalization information, and vehicle and insurance information.</p> <p>DHS Privacy agrees that DAS is a privacy sensitive system requiring PIA coverage. Coverage is provided by DHS/ICE/PIA-048 DAS which describes ICE’s ownership of DAS and NCATC’s management of the database. The PIA also discusses DAS’s information sharing with DHS, federal, local, and commercial partners.</p> <p>SORN coverage is also required, as information is retrieved by identifier. PRIV agrees that SORN coverage is provided by DHS/ICE-011, Criminal Arrest Records and Immigration Enforcement Records (CARIER), which discusses the retention of domestic and foreign criminal history information, routine uses that would allow ICE to share information from the CARIER system of records with specified recipients for a specified purpose.</p>	