

FBI PRIVACY THRESHOLD ANALYSIS (PTA)

NAME OF SYSTEM / PROJECT: Facial Analysis Comparison and Evaluation Services

BIKR FBI Unique Asset ID: _____

Derived From: Classified By: Reason: Declassify On:	SYSTEM/PROJECT POC	FBI OGC/PCLU POC
	Name: [Redacted]	Name: [Redacted]
	Program Office: Biometric Services	Phone: [Redacted]
	Division: CJIS	Room Number: C3
	Phone: [Redacted]	
	Room Number: D1	

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FBI DIVISION INTERMEDIATE APPROVALS

	Program Manager (or other appropriate executive as Division determines)	Division Privacy Officer
Program Division:	Signature: <i>Kimberly J. Del Greco</i> Date signed: 8/16/12 Name: Kimberly J. Del Greco Title: Section Chief	Signature: [Redacted] Date signed: 8/16/12 Name: [Redacted] Title:
FBIHQ Division:	Signature: Date signed: Name: Title:	Signature: Date signed: Name: Title:

FINAL FBI APPROVAL / DETERMINATIONS / CONDITIONS:

PIA is required by the E-Government Act.

PIA is to be completed as a matter of FBI/DOJ discretion.

Is PIA to be published on FBI.GOV (after any RMD FOIA redactions)? Yes. No :

PIA is not required for the following reason(s):

- System does not collect, maintain, or disseminate PII.
- System is grandfathered (in existence before 4/17/2003; no later changes posing significant privacy risks).
- Information in the system relates to internal government operations.
- System has been previously assessed under an evaluation similar to a PIA.
- No significant privacy issues (or privacy issues are unchanged).
- Other:

PC: 8/16/12

Applicable SORN(s): <u>FIRS</u>	
Notify FBI RMD/RIDS per MIOG 190.2.3? <input type="checkbox"/> No <input checked="" type="checkbox"/> Yes--See sample EC on PCLU intranet website here: http://home/DO/OGC/LTB/PCLU/PrivacyCivil%20Liberties%20Library/form_for_miog190-2-3_ec.wpd	
SORN/SORN revision(s) required? <input type="checkbox"/> No <input checked="" type="checkbox"/> Yes:	
Prepare/revise/add Privacy Act (e)(3) statements for related forms? <input type="checkbox"/> No <input type="checkbox"/> Yes: N/A	
RECORDS. The program should consult with RMD to identify/resolve any Federal records/electronic records issues. The system may contain Federal records whether or not it contains Privacy Act requests and, in any event, a records schedule approved by the National Archives and Records Administration is necessary. RMD can provide advice on this as well as on compliance with requirements for Electronic Recordkeeping Certification and any necessary updates.	
Other:	
<input type="checkbox"/> Unit Chief Privacy and Civil Liberties Unit	Signature: <input type="checkbox"/> Date Signed: <input type="checkbox"/>
<input type="checkbox"/> Acting Deputy General Counsel FBI Privacy and Civil Liberties Officer	Signature: <input type="checkbox"/> Date Signed: <input type="checkbox"/>

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I. INFORMATION ABOUT THE SYSTEM / PROJECT

1. Provide a general description of the system or project that includes: (a) name of the system/project, including associated acronyms; (b) structure of the system/project, including interconnections with other projects or systems; (c) purpose of the system/project; (d) nature of the information in the system/project and how it will be used; (e) who will have access to the information in the system/project; (f) and the manner of transmission to all users.

The Facial Analysis Comparison and Evaluation (FACE) Services Unit of the FBI's Criminal Justice Information Services (CJIS) Division, Biometric Services Section (BSS), provides investigative support to FBI Special Agents, analysts, and other authorized personnel. The FACE Services Unit accepts unclassified photographs of subjects of FBI investigations (probe photos) and uses facial recognition technology to compare those photos against FBI databases, other federal photo databases to which the FBI legally has access, and photo repositories from states that have entered into agreements with the FBI to share data. After comparison and evaluation, the FACE Services Unit returns to the FBI case agent or analyst candidate photos that are likely matches to the probe photo, with the caveat that candidate photos may serve only as investigative leads and do not constitute positive identification.

The FACE Services Unit will compare the probe photos against certain federal systems (e.g. Department of State and Department of Defense) and will enter Memoranda of Understanding (MOU) as needed to ensure data security and privacy. The FACE Services Unit also will provide the probe photos to state Departments of Motor Vehicles (DMVs) to be searched against photo repositories where permitted by state law. In these instances, authorized state personnel will perform the probe photo comparisons and return candidate photos to the FACE Services Unit. The FACE Services Unit will enter MOU with the DMVs to ensure data security and privacy, including the mandatory destruction of the probe photos by the state DMVs after facial comparison is completed.

If the FACE Services Unit identifies or receives candidate photos based on the searching of the federal and state databases, it will perform additional evaluation in order to determine the most likely candidate(s) for return to the FBI case agent or analyst. The Face Services Unit will store these most likely candidates and limited biographic information in the FACE Services Work Log. The Work Log will also contain the request for assistance originally received from the FBI case agent or analyst. All remaining candidate photos and any associated information will be immediately and permanently destroyed.

Access to the Work Log will be limited to the FACE Services Unit and other authorized FBI personnel who require the information for performance of their official duties. The Work Log records will be retained in adherence to a determined National Archive and Records Administration schedule.

2. Does the system/project collect, maintain, or disseminate any information about individuals (i.e., a human being or natural person, regardless of nationality)?

NO

YES [If yes, please continue.]

3. Please indicate if any of the following characteristics apply to the information in the system about individuals: Bear in mind that log-on information may identify or be linkable to an individual.

(Check all that apply.)

The information directly identifies specific individuals.

The information is intended to be used, in conjunction with other data elements, to indirectly identify specific individuals.

The information can be used to distinguish or trace an individual's identity (i.e., it is linked or linkable to specific individuals).

If you marked any of the above, proceed to Question 4.

None of the above. If none of the above, describe why the information does not identify specific individuals either directly or indirectly.

4. Does the system/project pertain only to government employees, contractors, or consultants?

NO YES

5. Is information about United States citizens or lawfully admitted permanent resident aliens retrieved from the system/project by name or other personal identifier?

NO. [If no, skip to question 7.]

YES. [If yes, proceed to the next question.]

6. Does the system/project collect any information directly from the person who is the subject of the information?

NO [If no, proceed to question 7.]

YES

a. Does the system/project support criminal, CT, or FCI investigations or assessments?

NO

YES [If yes, proceed to question 7.]

b. Are subjects of information from whom the information is directly collected provided a written Privacy Act (e)(3) statement (either on the collection form or via a separate notice)?

NO [The program will need to work with PCLU to develop/implement the necessary form(s).]

YES Identify any forms, paper or electronic, used to request such information from the information subject:

7. Are Social Security Numbers (SSNs) collected, maintained or disseminated from the system/project? Full SSNs should only be used as identifiers in limited instances.

NO YES If yes, check all that apply: SSNs are not collected by the FACE Services Unit; however, SSNs may be associated with both probe and candidate photos.

SSNs are necessary to establish/confirm the identity of subjects, victims, witnesses or sources in this law enforcement or intelligence activity.

SSNs are necessary to identify FBI personnel in this internal administrative system.

SSNs are important for other reasons. Describe: SSNs assist with the accurate identification of subjects of law enforcement investigations.

The system/project provides special protection to SSNs (e.g., SSNs are encrypted, hidden from all users via a look-up table, or only available to certain users). Describe:

It is not feasible for the system/project to provide special protection to SSNs. Explain:

8. Is the system operated by a contractor?

No.

Yes. Information systems operated by contractors for the FBI may be considered Privacy Act systems of records. The Federal Acquisition Regulation contains standard contract clauses that must be included in the event the system collects, maintains or disseminates PII and additional requirements may be imposed as a matter of Department of Justice policy. Consultations with the Office of the General Counsel may be required if a contractor is operating the system for the FBI.

9. Has the system undergone Certification & Accreditation (C&A) by the FBI Security Division (SecD)?

NO If no, indicate reason; if C&A is pending, provide anticipated completion date: The FACE Services Work Log has not undergone C & A; however, the federal databases searched by the FACE Services Unit have undergone C & A.

YES If yes, please indicate the following, if known:

Provide date of last C&A certification/re-certification:

Confidentiality: Low Moderate High Undefined

Integrity: Low Moderate High Undefined

Availability: Low Moderate High Undefined

Not applicable – this system is only paper-based.

10. Does the system conduct data mining as defined in Section 804 of the Implementing Recommendations of the 9/11 Commission Act of 2007, P.L. 110-53 (codified at 42 USC 2000ee-3)?

NO

YES If yes, please describe the data mining function:

11. Is this a national security system (as determined by the SecD)?

NO

YES

12. Status of System/ Project:

This is a new system/ project in development.

II. EXISTING SYSTEMS / PROJECTS

1. When was the system/project developed?
2. Has the system/project undergone any significant changes since April 17, 2003?

_____ NO [If no, proceed to next question (II.3).]

_____ YES If yes, indicate which of the following changes were involved (mark all changes that apply, and provide brief explanation for each marked change):

_____ A conversion from paper-based records to an electronic system.

_____ A change from information in a format that is anonymous or non-identifiable to a format that is identifiable to particular individuals.

_____ A new use of an IT system/project, including application of a new technology, that changes how information in identifiable form is managed. (For example, a change that would create a more open environment and/or avenue for exposure of data that previously did not exist.)

_____ A change that results in information in identifiable form being merged, centralized, or matched with other databases.

_____ A new method of authenticating the use of and access to information in identifiable form by members of the public.

_____ A systematic incorporation of databases of information in identifiable form purchased or obtained from commercial or public sources.

_____ A new interagency use or shared agency function that results in new uses or exchanges of information in identifiable form.

_____ A change that results in a new use or disclosure of information in identifiable form.

_____ A change that results in new items of information in identifiable form being added into the system/project.

_____ Changes do not involve a change in the type of records maintained, the individuals on whom records are maintained, or the use or dissemination of information from the system/project.

_____ Other [Provide brief explanation]:

3. Does a PIA for this system/project already exist?

NO YES

If yes:

a. Provide date/title of the PIA:

b. Has the system/project undergone any significant changes since the PIA?

NO YES