**Privacy Impact Assessment Update
for the**

Applicant Lifecycle Information System

(ALIS)

DHS/USSS/PIA-023(a)

December 26, 2019

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Abstract

The United States Secret Service (USSS) Human Capital Management Division (HUM) uses the Applicant Lifecycle Information System (ALIS) to support the hiring process for USSS Special Agents (SA), Uniform Division (UD) Officers, and Administrative, Professional, Technical (APT) personnel. The USSS is updating the ALIS privacy impact assessment (PIA) to discuss new system interfaces and associated privacy implications.

Overview

ALIS is an applicant tracking system used by the USSS Office of Human Resources (HUM), including the Security Management Division (SMD), Talent & Employee Acquisition Management Division (TAD), Safety, Health, and Environmental Programs Division (SAF), and by USSS field offices. USSS uses ALIS to process all new USSS applicant data from beginning to end of the hiring process for USSS Special Agent (SA), Uniform Division (UD) Officers, and Administrative, Professional, Technical (APT) personnel.

Members of TAD manage the hiring process of an applicant. This process includes an initial National Crime Information Center (NCIC) check; an entrance examination (if applicable); a Special Agent and Uniformed Division Pre-Employment Review (SUPER) interview (if applicable); and a conditional job offer, if the applicant is selected. Members of SMD manage the security investigation of an applicant who is initially selected (i.e., given a conditional job offer). This process includes a security interview, a polygraph examination, a medical examination, a drug test, and a background investigation. For those applicants whose positions require them, the medical examination and drug test stages are processed by SAF.

The progress of these steps is recorded in ALIS and tracked from beginning to end to support the hiring process. ALIS does not generate data itself, rather the only unique information reflected in the systems pertains to whether an applicant passes or fails a specific stage of the hiring process. ALIS serves as a repository for all applicant forms and documents except the medical or drug-related documents, which are retained within the Safety, Health, and Environmental Programs Division. In order to access job applicant data and background investigation information, ALIS uses the following data acquisition processes:

- **MGS–Secret Service Hire:** this application hosts the USAJOBS website[1] that allows prospective applicants to submit their applications for advertised vacancies. USSS screens and identifies potentially qualified applicants based on their responses to the questionnaire,[2] and TAD personnel run a daily report to pull and

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[1] USAJOBS.gov is the Federal Government's website for posting civil service job opportunities with federal agencies. The site is operated by the Office of Personnel Management (OPM). For additional information, *see* https://www.opm.gov/information-management/privacy-policy/privacy-policy/usas-pia.pdf.

[2] Qualification standards are minimum requirements for a position, and most permit an applicant to qualify based on education, experience, or a combination of the two.

download data on qualified applicants. All non-medical and non-drug test-related applicant documents are then stored in ALIS.

- **Office of Personnel Management (OPM) Electronic Questionnaires for Investigations Processing (e-QIP):** To support the background investigation and clearance process for applicants who have been sent a Conditional Offer Letter, TAD/HUM personnel log into the OPM e-QIP application to generate an email request for an applicant to fill out the Questionnaire for National Security Positions (SF-86).[3] Once the SF-86 is submitted in e-QIP by the applicant, the USSS e-QIP service copies the attached files into the ALIS database server under the e-QIP case/request number.

- **Manual Upload:** TAD personnel will manually upload various documents into ALIS during the hiring process, such as completed interview rating forms and reports from the field offices, written statements (if applicable), amended applicant forms (if applicable), polygraph report(s), credit reporting information, military medical records, educational transcripts, tax records, and employment application.

- **USSS Enterprise Person (ePerson):** ALIS interfaces with the ePerson[4] database to review USSS employee attribute, such as name, office code, and office location, information for ALIS users who are reviewing applicants within ALIS.

Reason for the PIA Update

The ALIS PIA is being updated to reflect that "The Department of Treasury/Monster Government Solutions Career Connecter" has been renamed "The Department of Homeland Security/Monster Government Solutions Secret Service Hire," an interface has been established with the USSS Access National Crime Information Center (ACNCIC) Server, and an interface has been established with the USSS Protective Threat Management System (PTMS).[5]

The ACNCIC Server is a tool within the USSS Application Provisioning System that routes queries to outside agencies and returns responses to USSS. ALIS will interface with the USSS ACNCIC Server to obtain criminal history records for applicants. ALIS sends a query containing applicant name, date of birth, and Social Security number (SSN) once new data is imported from the Secret Service Hire website. The ACNCIC Server routes inquiries to the Federal Bureau of Investigation (FBI's) National Crime Information Center (NCIC) and the National Law Enforcement Telecommunications System (Nlets). ALIS sends a request to the ACNCIC server to perform the following checks to receive the following information (if available) on an applicant:

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[3] For more information see https://www.opm.gov/information-management/privacy-policy/privacy-policy/eqip.pdf.
[4] ePerson is the USSS personnel system. *See* DHS/USSS/PIA-016 Enterprise Person (ePerson) System, *available at* https://www.dhs.gov/privacy.
[5] *See* DHS/USSS/PIA-003 Protective Threat Management System (PTMS), *available at* https://www.dhs.gov/privacy.

- QW (Wanted Person File) - Contains information on federal, state, and local warrants, as well as parole/probation violations and some juvenile offenders.

- QH (Criminal History Request) - They query is used to determine the existence of a criminal record. A positive response contains additional identifying data to associate the record with the person of the inquiry (height, weight, race, fingerprint and/or pattern classification, tattoos, etc.). The response also identifies the database(s) maintaining the criminal history information. With this information, the agency can decide whether to conduct a record request (QR).

- QR (Criminal Record Request) - Request for a criminal history record from the FBI and/or the participating state(s) maintaining such record.

ALIS will also interface with PTMS, which is the USSS case management system used to record information required to assist the agency in meeting its protective mission. ALIS queries the PTMS database schema once new data has been imported from the Secret Service Hire website to determine if an applicant has an open case or if they have been identified as a person of interest. Data sent within the query includes applicant name, date of birth, and SSN. PTMS returns a response with first name, last name, and case numbers. ALIS users then would need to directly access PTMS to get further case details.

Privacy Impact Analysis

Authorities and Other Requirements

There is no change in authorities.

Characterization of the Information

In addition to the data elements already listed in the previous PIA, ALIS will now send and receive information to and from ACNCIC and PTMS.

The following data elements are sent to both ACNCIC and PTMS:

- Applicant first name, middle name, and last name;

- Applicant date of birth; and

- Applicant SSN.

ACNCIC requests will return criminal history records, which may include the following:

- QW (Wanted Person File) - Contains information on federal, state, and local warrants, as well as parole/probation violations and some juvenile offenders.

- QH (Criminal History Request) - The query is used to determine the existence of a criminal record. A positive response contains additional identifying data to associate the record with the person of the inquiry (height, weight, race,

fingerprint and/or pattern classification, tattoos, etc.). The response also identifies the database(s) maintaining the criminal history information. With this information, the agency can decide whether to conduct a record request (QR).

- QR (Criminal Record Request) - Request for a criminal history record from the FBI and/or the participating state(s) maintaining such record.

PTMS will return applicant first name, last name, and case number(s).

Artifacts derived from these investigative queries (i.e., queries via the ACNCIC tool and to PTMS) are uploaded and retained within ALIS as well.

Uses of the Information

USSS uses information collected in ALIS to determine whether an applicant is qualified for the relevant vacancy and to track the applicant's progress through the various hiring stages, including the background investigation phase of the hiring process. Criminal history data collected from the USSS PTMS and ACNCIC applications is used to determine an applicant's suitability during the background investigation phase. Aggregated statistics may also be retrieved from the ALIS system in conjunction with congressional reporting requirements or in response to other inquiries.

Privacy Risk: There is a privacy risk that authorized users could use the data for purposes inconsistent with the original collection.

Mitigation: To mitigate this risk, strict need-to-know and least-privilege restrictions are considered when granting access to ALIS. Further, the most sensitive information in an applicant case file (i.e., criminal history reports from the USSS PTMS and ACNCIC applications) is accessible only to designated personnel in SMD. Additionally, all users undergo training on handling privacy sensitive information each year.

Privacy Risk: There is a privacy risk that inaccurate criminal history information could be found and result in an unfavorable outcome for the applicant.

Mitigation: To mitigate this risk, the SMD personnel performing the background investigation on an applicant will discuss their criminal history report during the applicant's background interview. This allows an applicant to dispute any inaccurate information that may have been found.

Notice

There is no change in the notice provided.

Data Retention by the project

There is no change in the retention of information.

Information Sharing

Data is sent within the ACNCIC query to the FBI's NCIC and Nlets systems from ALIS. ALIS has a listener service that sends out queries to the ACNIC server once new data has been imported from Secret Service Hire. The Criminal History data sent back to ALIS is used during the background investigation phase within ALIS by the USSS SMD to determine an applicant's suitability for employment.

Privacy Risk: There is a privacy risk that PII may be disclosed to an unauthorized recipient.

Mitigation: To mitigate this risk, the communication between ALIS and the ACNCIC server and PTMS is not a user-triggered action. Data sent back to ALIS is only viewable to users who have been granted access to the NCIC Background Check step within the application. Further, the ACNCIC tool does not respond to inquiries from outside agencies or systems.

Redress

There is no change to redress with this PIA update.

Auditing and Accountability

There is no change to auditing and accountability with this PIA update.

Responsible Official

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Approval Signature

Original, signed copy on file with the DHS Privacy Office

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