

Request for Records Disposition Authority

Records Schedule Number	DAA-0563-2013-0001
Schedule Status	Approved
Agency or Establishment	Department of Homeland Security
Record Group / Scheduling Group	General Records of the Department of Homeland Security
Records Schedule applies to	Department-wide
Schedule Subject	Biometric with Limited Biographical Data
Internal agency concurrences will be provided	No
Background Information	<p>The Department of Homeland Security (DHS) stores and processes biometric and limited biographic information for the Department's national security, law enforcement, immigration, intelligence, and other mission-related functions. The Department executes a range of activities such as</p> <ul style="list-style-type: none">• Perform analysis for trends and patterns to control illegal immigration and fraud• Identification of individuals who have remained in U S beyond their authorized stay• Determine watch list promotions and demotions• Perform background checks for individuals who have applied for benefits in order to evaluate for criminal history and verification of identity• Operate investigations, arrests, bookings, detention and removal of persons encountered during immigration and criminal law enforcement investigations and operations• Conduct Security Threat Assessments (STA) for individuals requiring access to the Department's infrastructure or assets, persons participating in various Department programs, or individuals who may otherwise be required by Federal statutes and/or regulations to undergo security threat assessments <p>Biometric data includes, but is not limited to, fingerprints and photographs</p> <p>Biographical data includes but is not limited to name, date of birth, nationality, and other personal descriptive data, may also include civil or criminal history information, information related to filed applications/petitions, interaction information (e g , border entry screening encounter, immigration enforcement encounter, student</p>

information and visa application encounter) document types/numbers and issuance information, and identification or record numbers

The data is maintained under the authority provided by

(40 U S C 1315(a) and (c)) Collection of this information is authorized by the Homeland Security Act of 2002, National Security Act of 1947, 44 U S C chapters 21, 29, 31, and 35, 5 U S C Sections 301, 3301, and 7902, 40 U S C 1315, Executive Orders 10450, 10865, 12333, 12356, 12958, as amended, 12968, 13142, 13284, the Intelligence Reform and Terrorism Prevention Act of 2004, Public Law 108-458, Section 3001 (50 U S C. 435b), The Immigration and Naturalization Service Data Management Improvement Act of 2000 (DMIA), Public Law 106-215, The Visa Waiver Permanent Program Act of 2000 (VWPPA), Public Law 106-396, The Uniting and Strengthening America by Providing Appropriate Tools Required to Intercept and Obstruct Terrorism Act (U S.A PATRIOT Act), Public Law 107-56, The Enhanced Border Security and Visa Entry Reform Act (Border Security Act), Public Law 107-173, 8 U S C § 1101, and 8 U S C § 1185

This schedule is intended to replace all other disposition schedules related to Biometric records previously registered by the Department of Homeland Security and its Components unless an exception is noted

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
11	0	11	0

GAO Approval

Outline of Records Schedule Items for DAA-0563-2013-0001

Sequence Number	
1	Internal Credentialing
1 1	Adverse Background Screening Results Disposition Authority Number DAA-0563-2013-0001-0001
1 2	Favorable Background Screening Results Disposition Authority Number DAA-0563-2013-0001-0002
1 3	Incomplete Application Disposition Authority Number DAA-0563-2013-0001-0003
1 4	Service Provider Records Disposition Authority Number DAA-0563-2013-0001-0004
2	Immigration
2 1	Immigration Disposition Authority Number DAA-0563-2013-0001-0005
3	Law Enforcement
3 1	Identification, investigation, apprehensivon, and/or removal of aliens unlawfully e ntering or president in the United States and facilitate entry of individuals into the United States Disposition Authority Number DAA-0563-2013-0001-0006
3 2	Analysis of relationship patterns Disposition Authority Number. DAA-0563-2013-0001-0007
4	External Security Threat Assessment and Credentialing
4 1	Favorable Screening Results Disposition Authority Number DAA-0563-2013-0001-0008
4 2	Initial Mixed Screening Results Disposition Authority Number DAA-0563-2013-0001-0009
4 3	Adverse Screening Results Disposition Authority Number DAA-0563-2013-0001-0010
4 4	Incomplete Application Disposition Authority Number DAA-0563-2013-0001-0011

Records Schedule Items

Sequence Number	
1	<p>Internal Credentialing Background Screening and related services performed on employees or contractors requiring access to the Department infrastructure or assets</p>
1 1	<p>Adverse Background Screening Results</p> <p>Disposition Authority Number DAA-0563-2013-0001-0001</p> <p>Final Disposition Temporary</p> <p>Item Status Active</p> <p>Is this item media neutral? Yes</p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes</p> <p>Do any of the records covered by this item exist as structured electronic data? Yes</p> <p>GRS or Superseded Authority Citation N1-563-09-002 / 1/A</p> <p>Disposition Instruction</p> <p>Cutoff Instruction Cut off on date of separation or transfer of the employee or when the contract relationship expires</p> <p>Retention Period Destroy 20 year(s) after cutoff</p> <p>Additional Information</p> <p>GAO Approval Not Required</p>
1 2	<p>Favorable Background Screening Results</p> <p>Disposition Authority Number DAA-0563-2013-0001-0002</p> <p>Information on individuals who were not matches to a government watch list and who were cleared as not posing a potential or actual threat</p> <p>Final Disposition Temporary</p> <p>Item Status Active</p> <p>Is this item media neutral? Yes</p> <p>Do any of the records covered by this item currently exist in</p>

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electronic format(s) other than e-mail and word processing?	
Do any of the records covered by this item exist as structured electronic data?	Yes
GRS or Superseded Authority Citation	N1-563-09-002 / 1
Disposition Instruction	
Cutoff Instruction	Cut off after any credential or access privilege expires
Retention Period	Destroy 1 year(s) after cutoff
Additional Information	
GAO Approval	Not Required
Incomplete Application	
Disposition Authority Number	DAA-0563-2013-0001-0003
Partial information is provided for prospective credential recipient, but is insufficient for DHS to make a clear adjudication determination	
Final Disposition	Temporary
Item Status	Active
Is this item media neutral?	Yes
Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes
Do any of the records covered by this item exist as structured electronic data?	Yes
Disposition Instruction	
Cutoff Instruction	Cut off at the end of the calendar year in which the data is gathered
Retention Period	Destroy 1 year(s) after the end of the calendar year in which the data is gathered (or after the application process began)
Additional Information	
GAO Approval	Not Required
Service Provider Records	

1 4

Disposition Authority Number	DAA-0563-2013-0001-0004
Final Disposition	Temporary
Item Status	Active
Is this item media neutral?	Yes
Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes
Do any of the records covered by this item exist as structured electronic data?	Yes
GRS or Superseded Authority Citation	N1-563-09-002 / 1
Disposition Instruction	
Cutoff Instruction	Cut off on date of separation or transfer of the employee or when the contract relationship expires
Retention Period	Destroy 5 year(s) after cutoff If Service Provider elects, it may retain the information for up to an additional 5 years from cutoff to make timely updates to its database to reflect changes in program participants' status such as employment status changes and updated background screening results, to fulfill requests by individual for information retained on them, to permit judicial review in the event of litigation, and to reduce the incidence of fraudulent applications
Additional Information	
GAO Approval	Not Required
2	Immigration
2 1	Immigration
Disposition Authority Number	DAA-0563-2013-0001-0005
Information on individuals who have applied for benefits under the Immigration and Nationality Act (I&NA)	
Final Disposition	Temporary
Item Status	Active
Is this item media neutral?	Yes
Do any of the records covered by this item currently exist in	Yes

	electronic format(s) other than e-mail and word processing?	
	Do any of the records covered by this item exist as structured electronic data?	Yes
	GRS or Superseded Authority Citation	N1-566-08-003 / B N1-566-12-005 / 2
	Disposition Instruction	
	Cutoff Instruction	Cut off 100 years from the date of birth of the individual
	Retention Period	Destroy immediately after cutoff
	Additional Information	
	GAO Approval	Not Required
3	Law Enforcement	
3 1	Identification, investigation, apprehensivon, and/or removal of aliens unlawfully entering or president in the United States and facilitate entry of individuals into the United States	
	Disposition Authority Number	DAA-0563-2013-0001-0006
	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	Yes
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes
	Do any of the records covered by this item exist as structured electronic data?	Yes
	GRS or Superseded Authority Citation	N1-563-08-034 / 1 N1-563-08- 35 / 1 N1-567-09-006 / 1/A N1-567-10-004 / 1/A/1
	Disposition Instruction	
	Cutoff Instruction	Cut off at the end of the calendar year in which the data is gathered
	Retention Period	Destroy 75 year(s) after cutoff.
	Additional Information	

3 2	<p>GAO Approval Not Required</p> <p>Analysis of relationship patterns</p> <p>Disposition Authority Number DAA-0563-2013-0001-0007</p> <p>Analysis of relationship patterns among individuals and organizations that are indicative of violations of the customs and immigration laws, look for possible terrorist threats from non-obvious relationships, develop specific leads and law enforcement intelligence for active and new investigations</p> <p>Final Disposition Temporary</p> <p>Item Status Active</p> <p>Is this item media neutral? Yes</p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes</p> <p>Do any of the records covered by this item exist as structured electronic data? Yes</p> <p>GRS or Superseded Authority Citation N1-567-09-004 / 1</p> <p>Disposition Instruction</p> <p>Cutoff Instruction Cut off at the end of the calendar year of the last use of individual's data</p> <p>Retention Period Destroy 15 year(s) after cut off</p> <p>Additional Information</p> <p>GAO Approval Not Required</p>
4	<p>External Security Threat Assessment and Credentialing</p> <p>Data gathered on individuals who require access to the Department infrastructure or assets, individuals who wish to participate in various programs, or individuals who may otherwise be required by Federal statutes and/or regulations to undergo a security threat assessment</p>
4 1	<p>Favorable Screening Results</p> <p>Disposition Authority Number DAA-0563-2013-0001-0008</p> <p>Information on individuals that were not matches to a government watch list and cleared as not posing a potential or actual threat</p> <p>Final Disposition Temporary</p> <p>Item Status Active</p> <p>Is this item media neutral? Yes</p>

4 2	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes
	Do any of the records covered by this item exist as structured electronic data?	Yes
	GRS or Superseded Authority Citation	N1-560-06-006 / B/2/A
	Disposition Instruction	
	Cutoff Instruction	Cut off after credential or access privilege expires
	Retention Period	Destroy 1 year(s) after cutoff
	Additional Information	
	GAO Approval	Not Required
	Initial Mixed Screening Results	
	Disposition Authority Number	DAA-0563-2013-0001-0009
	Information on individuals that were near matches to a government watch list and subsequently cleared as not posing a potential or actual threat	
	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	Yes
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes
	Do any of the records covered by this item exist as structured electronic data?	Yes
	GRS or Superseded Authority Citation	N1-560-06-006 / B/2/B
	Disposition Instruction	
	Cutoff Instruction	Cut off after completion of the threat assessment or 1 year after any credential or access privilege expires, whichever is longer
	Retention Period	Destroy 7 year(s) after cutoff
Additional Information		
GAO Approval	Not Required	

4.3

Adverse Screening Results

Disposition Authority Number **DAA-0563-2013-0001-0010**

Information on individuals that were matches to a Government watch list or otherwise identified as a potential or actual threat

Final Disposition **Temporary**

Item Status **Active**

Is this item media neutral? **Yes**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **Yes**

Do any of the records covered by this item exist as structured electronic data? **Yes**

GRS or Superseded Authority Citation **N1-560-06-006 / B/2/C**

Disposition Instruction

Cutoff Instruction **Cut off after completion of the threat assessment**

Retention Period **Destroy 99 year(s) after completion of threat assessment or 7 year(s) after notification that an individual is deceased occurs, whichever is sooner**

Additional Information

GAO Approval **Not Required**

4.4

Incomplete Application

Disposition Authority Number **DAA-0563-2013-0001-0011**

Partial information is provided for prospective credential recipient, but is insufficient to make a clear adjudication determination

Final Disposition **Temporary**

Item Status **Active**

Is this item media neutral? **Yes**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **Yes**

Do any of the records covered by this item exist as structured electronic data? **Yes**

Disposition Instruction	
Cutoff Instruction	Cut off the end of the calendar year in which the data is gathered
Retention Period	Destroy 1 year(s) after the end of the calendar year in which the data is gathered (or after the application process began)
Additional Information	
GAO Approval	Not Required

Agency Certification

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal in this schedule are not now needed for the business of the agency or will not be needed after the retention periods specified

Signatory Information

Date	Action	By	Title	Organization
02/25/2013	Certify	Tammy Hudson	Acting Records Officer	CIO - ESDO
08/22/2013	Submit for Concurrence	Erin Cayce	Appraiser	National Archives and Records Administration - Records Management Services
08/26/2013	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - Records Management Services
08/27/2013	Concur	Laurence Brewer	Director, National Records Management Program	National Archives and Records Administration - National Records Management Program
08/28/2013	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist