

| | | | |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------|
| REQUEST FOR RECORDS DISPOSITION AUTHORITY | | LEAVE BLANK (NARA use only) | |
| | | JOB NUMBER <i>NI-563-09-2</i> | |
| To: NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD, COLLEGE PARK, MID 20740-6001 | | Date Received <i>1/30/09</i> | |
| 1. FROM (Agency or establishment) Department of Homeland Security | | NOTIFICATION TO AGENCY | |
| 2. MAJOR SUB DIVISION Management Directorate | | In accordance with the provisions of 44 U.S.C 3303a, the disposition request, including amendments is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10. | |
| 3. MINOR SUBDIVISION Office of Security | | | |
| 4. NAME OF PERSON WITH WHOM TO CONFER Kathy Schultz | 5. TELEPHONE 202-447-5075 | DATE <i>4/30/09</i> ARCHIVIST OF THE UNITED STATES <i>Michael J. King</i> | |
| <p>6. AGENCY CERTIFICATION</p> <p>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 on the attached <u>2</u> page(s) are not needed now for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 the GAO Manual for Guidance of Federal Agencies,</p> <p><input checked="" type="checkbox"/> is not required <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested.</p> | | | |
| DATE 1/26/09 | SIGNATURE OF AGENCY REPRESENTATIVE <i>Kathy Schultz</i> | TITLE Senior Records Officer | |
| 7. ITEM NO. | 8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION | 9. GRS OR SUPERSEDED JOB CITATION | 10. ACTION TAKEN (NARA USE ONLY) |
| 1 | See attached sheet(s) for: DHS AccessGate System (Inputs and outputs are covered by GRS 20) | | |

INACTIVE - ALL ITEMS SUPERSEDED

**U.S. Department of Homeland Security
Headquarters Systems Schedules**

Management

DHSAccessGate System

NARA # N1-503-09-2

The Department of Homeland Security (DHS) Office of Security is partnering with a service provider from the private sector to facilitate a new voluntary program at the DHS-HQ Nebraska Avenue Complex ("NAC") and other designated component facilities. The DHSAccessGate Program ("Program") will be offered on an optional basis to DHS-HQ-sponsored vendor companies and approved vendor employees who desire expedited, more convenient entrance at DHS-HQ facilities.

Participation in the Program will be strictly voluntary, and vendor employees will be under no obligation to join the Program. The Program will not replace existing visitor pass access control procedures. Rather, the Program will be an optional alternative to those procedures. To implement the Program, DHS-HQ will contract with a private service provider ("Service Provider") to provide registration, background screening, and related services. The Program can be divided into four (4) distinct phases: Registration, Security Threat Assessment, Adjudication, and Badging.

Program Registration - DHS-HQ, in its sole discretion, will approve and sponsor the vendor companies whose employees will be eligible to register for the Program.

Security Threat Assessment (Background Screening) - The Service Provider will securely transmit to its Commercial Provider the biographic information it collects from vendor employees to perform background screenings of them.

- Social security number validation and address verification
- Fraud database search
- Federal, state and county criminal history search
- Sex offender registry(ies) search
- Wants, outstanding warrants search
- Office of Foreign Assets Control (OFAC) Terrorist Watch List

Neither DHS-HQ nor the Service Provider will receive from the Commercial Provider a copy of individual background screening reports.

Adjudication ("Adverse Action") Process - As part of the privacy protections afforded by the Program, users of background screening reports (referred to under the Fair Credit Reporting Act (FCRA) as "consumer reports") are required to follow certain adjudication procedures if they take adverse action against the subject of the screening that is based in whole or in part on any information contained in the consumer report. (FCRA 15 U.S.C. 1681m.)

Program Badge Process - After a Participant Vendor employee passes the background screening, the Service Provider will manufacture and securely ship to DHS-HQ a Program badge for the employee.

Legal Authorities:

The Secretary of Homeland Security has broad powers to protect the buildings, grounds, and property that are owned, occupied or secured by the

U.S. Department of Homeland Security
Headquarters Systems Schedules

Management

N1-563-09-Z

Federal government and the persons on the property, and may prescribe regulations necessary for the protection and administration of property owned or occupied by the Federal government and persons on the property. (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).

① Master File / Data:

Biographic and Biometric Information and Background Screenings Results (Security Threat Assessments)

- Full legal name
- Company
- Date of birth
- Current residence address and billing address
- Social security number
- Digital photograph
- Digital fingerprints
- The (1) name, (2) company and (3) background screening "pass" or "fail" result for each vendor employee who volunteers to participate in the Program.
- If a background screening reveals that the subject is listed on the OFAC Terrorist Watch List, or is a fugitive or the subject of an open warrant.

Disposition:

a. Adverse Background Screenings Results
Information identifying a person as being on an OFAC Terrorist Watch List, subject to an outstanding warrant or a fugitive TEMPORARY. Cut off on date of separation or transfer of the employee or when the contract relationship expires. Destroy or delete 20 years from cutoff.

b. Service Provider Records
TEMPORARY. Cut off on date of separation or transfer of the employee or when the contract relationship expires. Destroy or delete 5 years from cutoff.

If the 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 individuals for information retained on them; to permit judicial review in the event of litigation; and to reduce the incidence of fraudulent applications.

Superseded by job / item number:

DAA-0563-2013-0001-0001, 0002, -0004

Date (MM/DD/YYYY):

08/28/2013