

Request for Records Disposition Authority

Records Schedule Number DAA-0568-2019-0006
Schedule Status Approved

Agency or Establishment Bureau of Customs and Border Protection
Record Group / Scheduling Group Records of the Bureau of Customs and Border Protection
Records Schedule applies to Agency-wide
Schedule Subject Electronic System for Travel Authorization (ESTA) Records
Internal agency concurrences will be provided Yes

Background Information

Section 711 of the 9/11 Act, entitled Modernization of the Visa Waiver Program (VWP), provides for the expansion and enhancement of the VWP program. Included in Section 711 is the requirement for the Department of Homeland Security (DHS) to develop a fully automated system, known as Electronic System for Travel Authorization (ESTA), that 1) requires foreign nationals of VWP countries to apply for and secure advance authorization to travel to the United States under VWP, and consequently 2) afford DHS the opportunity to fully screen (vet) the applicant to determine their eligibility to travel to the United States under the VWP. ESTA includes an internet-based application and attendant vetting mechanism that accommodates the entry of information (i.e., the “ESTA Application”) by the ESTA applicant, the vetting of the application by DHS, and the return notification indicating “authorized to travel” or “not authorized to travel” to the applicant, both via update to the application on the internet site, available to the applicant at any time. If additional time is needed to determine the applicant’s eligibility, the return notification displays a “pending” status.

Prospective travelers from the designated VWP countries seeking to enter the United States are required to apply for ESTA via the internet-based ESTA application prior to their travel to the United States.

Upon receipt of an ESTA application, CBP will examine the application by screening the applicant’s data through law enforcement systems, including the Automated Targeting System (ATS) (to screen for terrorists or threats to aviation and border security) and the TECS (for matches to persons identified to be of law enforcement interest). When the vetting process identifies a situation wherein authorization to travel should be withheld, appropriate indication of a denial is returned to the applicant via the ESTA website. Applicants are referred to the Department of State’s website for information on

how to apply for a visa at a United States embassy or consulate. Denials, including the application data and result, are forwarded to the Department of State.

An official determination of an applicant's ESTA status of authorized to travel will be provided to the carriers to permit transportation only of those individuals who have been authorized by ESTA to travel under the VWP program or have a visa. The carriers will be notified through the Advance Passenger Information System Quick Query (APIS) Program when the carriers initiate an interactive APIS query.

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
1	0	1	0

GAO Approval

Outline of Records Schedule Items for DAA-0568-2019-0006

Sequence Number

1

ESTA Application, Authorization, and Adjudication Records
Disposition Authority Number: DAA-0568-2019-0006-0001

Records Schedule Items

Sequence Number	
1	<p>ESTA Application, Authorization, and Adjudication Records</p> <p>Disposition Authority Number DAA-0568-2019-0006-0001</p> <p>The ESTA Application requires individuals to provide data elements including but not limited to: name, email address, phone number, date of birth, current and past countries of citizenship, sex, current and past passport and other ID information, social media identifiers, trusted traveler information, destination information, and current and past travel information; and answers to questions regarding: medical information, criminal record, and job status. This information is stored as the ESTA record along with an individual tracking number. This information is vetted by the Automated Targeting System (ATS) and TECS, which return a response (authorized, not authorized, or pending). Pending responses will continue to be processed until authorized or not authorized. The system runs the applicant's data against national security and law enforcement databases to determine whether the applicant poses a law enforcement or security risk in traveling to the United States. The authorization and adjudication status information is also stored within the ESTA record, as is denial of authorization if a traveler's risk status changes.</p> <p>Final Disposition Temporary</p> <p>Item Status Active</p> <p>Is this item media neutral? No</p> <p>Explanation of limitation Electronic information system records</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>Disposition Instruction</p> <p>Cutoff Instruction Cut off 2 years after authorization determination.</p> <p>Retention Period Destroy 13 year(s) after cutoff.</p> <p>Additional Information</p> <p>GAO Approval Not Required</p>

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
09/20/2019	Certify	Dawn Watts	CBP Chief Records Officer CRO	Customs and Border Protection - Customs and Border Protection
10/22/2019	Return for Revision	Ashby Crowder	Archives Specialist	National Archives and Records Administration - ACRA
01/16/2020	Submit For Certification	Amy James	Senior Archivist and Records Manager	Office of Information and Technology - Records and Information Management Office
01/24/2020	Certify	Dawn Watts	CBP Chief Records Officer CRO	Customs and Border Protection - Customs and Border Protection
04/21/2020	Submit for Concurrence	Ashby Crowder	Archives Specialist	National Archives and Records Administration - ACRA
05/11/2020	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
05/11/2020	Concur	Laurence Brewer	Chief Records Officer	National Records and Archives Administration - National Records and Archives Administration
05/19/2020	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist