REQUEST FOR RECORDS DISPOSITION AUTHORITY

JOB NUMBER

N1-065-06-2

To: NATIONAL ARCHIVES & RECORDS ADMINISTRATION
8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001

Date received

10-27-2005

1. FROM (Agency or establishment) **DEPARTMENT OF JUSTICE**	**NOTIFICATION TO AGENCY**
2. MAJOR SUBDIVISION **FEDERAL BUREAU OF INVESTIGATION**	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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.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 **COUNTERTERRORISM DIVISION**	

| 4. NAME OF PERSON WITH WHOM TO CONFER

Teresa C. Sharkey, CRM | 5. TELEPHONE NUMBER

202-324-1613 | DATE

9/22/06 | ARCHIVIST OF THE UNITED STATES

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6. 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 on the attached ___5___ page(s) are not needed now for the business for 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 of the GAO Manual for Guidance of Federal Agencies,

☒ is not required   ☐ is attached; or   ☐ has been requested.

| DATE
10/27/05 | SIGNATURE OF AGENCY REPRESENTATIVE
William L. Hooton | TITLE
Assistant Director |

7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	The attached pages provide disposition instructions for records created and maintained by the **Terrorist Screening Center**, which is administered by the Federal Bureau of Investigation with support from the Intelligence Community, Department of Justice, Department of Homeland Security, Department of State, Department of Treasury, and Department of Defense.		

cc Agency NR NWMD NWMLe

Terrorist Screening Center (TSC) Records

Background
The Terrorist Screening Center (TSC) was created pursuant to Homeland Security Presidential Directive-6 (HSPD-6) and began operations on December 1, 2003. Its mission is to coordinate the Government's approach to terrorism screening and maintain a consolidated database of all known and suspected terrorists for use in screening.

Prior to creation of the TSC, information about known and suspected terrorists was dispersed throughout the U.S. Government, and no single agency was responsible for consolidating and making the terrorist watch lists available for use in screening. In March 2004, the TSC consolidated the Government's terrorist watch list information into a sensitive but unclassified (SBU) database known as the Terrorist Screening Database (TSDB). As required by HSPD-6, the TSDB contains "information about individuals known or appropriately suspected to be or have been engaged in conduct constituting, in preparation for, in aid of, or related to terrorism." Information from the TSDB is used to screen for known and suspected terrorists in a variety of contexts, including during law enforcement encounters, the adjudication of applications for U.S. visas or other immigration and citizenship benefits, at U.S. borders and ports of entry, and for civil aviation security purposes.

In addition to maintaining a consolidated database of known and suspected terrorists, the TSC also operates a twenty-four hour call center to assist screening agencies in managing encounters and potential encounters with known and suspected terrorists.

Records
1. Terrorist Screening Database (TSDB): The TSDB is a database containing identifying information on known and suspected terrorists. Informally known as the "Terrorist Watch List," the TSDB has merged the watch lists of multiple agencies into a consolidated database utilized to help identify and detain known and suspected terrorists.

Inputs into the TSDB are received from the National Counterterrorism Center (NCTC) and the Federal Bureau of Investigation (FBI). The NCTC provides the names and identifying information of known and suspected international terrorists, which have been forwarded to the NCTC by intelligence, law enforcement, and other participating agencies. The FBI provides the names and identifying information of known and suspected domestic terrorists. The NCTC and the FBI send "nominations" to the TSDB through the TSC's nominations unit for review and inclusion.

a. Inputs: Nominations are received from the NCTC and the FBI. The TSC nominations unit reviews these additions, deletions, and modifications and then performs the necessary actions to enter or correct the information in the TSDB. Input is primarily received electronically.

   Disposition: Temporary. DELETE/DESTROY after verification of successful entry.

b. Master file: The database contains identifying information and characteristics of the known or suspected terrorist, as well as references to other datasets that contain information about the individual. Identifying information includes: name and aliases; date and/or place of birth; alien registration, visa, social security account or other unique numbers; passport information, including passport numbers, issuing country, dates and locations of issuance, expiration dates and other relevant information; countries of origin or nationality (if country of origin is unknown); physical identifiers such as sex, race, height, weight, eye color, hair color, scars, marks or tattoos; known locations such as addresses or points of travel, including prior admissions to the United States; photographs or renderings of the individual; fingerprints or other biometric data; employment data; phone numbers or license plate numbers; and any other information provided by the originator for watch listing purposes.

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Individual names are deleted from the active TSDB when it is determined through investigation or other means that the individual is not a known/suspected terrorist. The deleted records become inactive and exist in an archived form where they are accessible by limited individuals within the TSC and only for certain express purposes, such as researching a redress complaint or lawsuit about an adverse screening experience, conducting quality assurance reviews, and compliance with reporting, oversight, and auditing requirements.

    1.   Active records: Disposition: Temporary. DELETE/DESTROY individual records 99 years after date of entry.

    2.   Inactive records: Disposition: Temporary. DELETE/DESTROY individual records 50 years after record status changes to inactive.

c.   Outputs: Currently, electronic files are generated and provided to other government screening agency databases or systems. In future enhancements, participating screening agencies will be able to directly query the TSDB and obtain updates. Outputs also include various reports.

    1.   Exported Data: TSC creates a record containing all appropriate TSDB data and provides the data to participating agencies.

    Disposition: Temporary. DELETE/DESTROY 30 days after creation. Receiving agencies are to DELETE/DESTROY the copies in accordance with established agreements between the TSC and the participating agency. In most cases, receiving agencies will be required to delete/destroy copies as they become obsolete.

    2.   Ad-hoc and Standardized Reports:

    Disposition: Temporary. DELETE/DESTROY when no longer needed for reference.

d.   System Documentation: Disposition: Temporary. DELETE/DESTROY one year after termination of TSDB ~~(General Records Schedule [GRS] 24, item 3b1).~~

e.   Audit Log: The audit log contains data on each transaction conducted in the TSDB. Included is such information as the date and time of record updates, purges, system inquiries, file exports, etc.

    Disposition: Temporary. Cutoff at the end of the calendar year. DELETE/DESTROY when 25 years old.

f.   Backups: Backups are maintained for potential system/server restoration in the event of a system/server failure or other unintentional loss of data.

    1. Disposition: Temporary. DELETE/DESTROY incremental backup media when superseded by a full backup or when 90 days old.

    2. Disposition: Temporary. DELETE/DESTROY full backup media when a more current full backup has been successfully captured or when 90 days old.

2. TSDB 1A Pilot Database: To expedite the consolidation of the watch lists of the various screening agencies, the TSC initially developed a pilot database. This database was populated with data received directly from the individual screening agencies' watch lists and consequently contained thousands of duplicate records. The pilot database was eventually no longer needed when construction, consolidation, and validation of the current database was completed. The records in the pilot database were reviewed and those deemed appropriate for inclusion in the current TSDB were migrated into the new database.

Disposition: Temporary. DELETE/DESTROY the pilot database on 12/31/2010, or following the next internal TSC inspection, whichever is earlier.

3. Encounter Management Records: The TSC maintains records related to encounters and potential encounters during screening with known and suspected terrorists. Currently, the TSC uses the Encounter Management Application (EMA) to record details regarding these encounters. Information regarding many of the encounters comes into the TSC via telephone calls from the screening agency. Details of these calls are recorded on an Intake Form, which describes the information received from the caller, whether a positive match was located in the TSDB, whether the encounter was forwarded to the FBI's Terrorist Screening Operations Unit (TSOU) for further action, and the final disposition of the encounter. TSC also receives information regarding encounters and potential encounters via faxes, cables, electronic mail messages, and other communications vehicles.

    a. Inputs: Screeners enter data regarding the encounter/potential encounter from the intake forms, faxes, cables, electronic mail messages, etc., into EMA.

Disposition: Temporary. DELETE/DESTROY intake forms, faxes, cables, electronic mail messages, and other forms of transmittal following data entry or otherwise in accordance with established agreements between the TSC and the participating agency.

    b. Master File: The master file details information about each encounter along with the final resolution.

        1. EMA records that reflect an encounter or potential encounter during screening with a known or suspected terrorist.

Disposition: Temporary. DELETE/DESTROY individual records 99 years after date of entry.

        2. EMA records that do not reflect an encounter or potential encounter during screening with a known or suspected terrorist and therefore not appropriate for preservation.

Disposition: Temporary. DELETE/DESTROY upon identification.

    c. Outputs:

        1. Weekly Reports on the number of encounters, details of encounters, positive/negative matches, and final disposition of the encounter.

Disposition: Temporary. Cutoff at the end of the calendar year. DELETE/DESTROY when 5 years old.

        2. Daily Reports, Geospatial Information, Charts, and other ad hoc reports and information related to the analysis of encounters.

Disposition: Temporary. Cutoff at the end of the calendar year. DELETE/DESTROY when 5 years old.

        3. Annual Reports containing statistics on the number of encounters, number of positive/negative matches, and the final disposition of the encounter.

Disposition: PERMANENT. Cutoff at the end of the calendar year. Transfer to NARA when 25 years old.

d. System Documentation: Disposition: Temporary. DELETE/DESTROY one year after termination of EMA ~~(GRS 24, Item 3b1).~~

e. Audit Log: The audit log contains information such as the date and time of record entries and updates, system inquiries, etc.

Disposition: Temporary. Cutoff at the end of the calendar year. DELETE/DESTROY when 25 years old.

f. Backups: Backups are maintained for potential system/server restoration in the event of a system/server failure or other unintentional loss of data.

1. Disposition: Temporary. DELETE/DESTROY incremental backup media when superseded by a full backup or when 90 days old.

2. Disposition: Temporary. DELETE/DESTROY full backup media when a more current full backup has been successfully captured or when 90 days old.

NOTE: For continuity of operations (COOP) purposes, the TSC maintains mirror versions of the Terrorist Screening Database (TSDB) and the Encounter Management Application (EMA) at one or more offsite locations. In the event of emergency activation, these versions would assume the retention periods established for the record copy currently maintained at the TSC.

4. Data Integrity and Redress Inquiry Records: The TSC maintains records related to ensuring the quality of information maintained in the TSDB. Data Integrity records document the efforts of TSC staff to ensure that data entered into the TSDB is accurate and reliable. TSC maintains a log, which documents the identification and correction of errors in the TSDB database by TSC staff. For example, a staff member may notice that a duplicate record has been entered into TSDB and then take steps to research and correct the duplication. These quality assurance procedures to support data integrity are documented and maintained for future reference.

The TSC also maintains records related to the resolution of complaints from persons who have experienced delays or other difficulties during a screening process. TSC receives these complaints from screening agencies and works to identify and correct any erroneous information in TSC record systems. The TSC maintains information provided by the individual or their representative, information provided by the screening agency, and internal workpapers and other documents related to researching and resolving the complaint.

a. Data Integrity: Records documenting the identification and correction of errors in the TSDB.

1. Case files:

Disposition: Temporary. Cutoff at the end of the calendar year. DELETE/DESTROY when 6 years old.

2. Case management tracking system: The tracking system details information about the identification and correction of each error, including who identified the error, who made the corrections, etc.

Disposition: Temporary. DELETE/DESTROY 10 years after date of entry.

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Prescribed by NARA 36 CFR 1228

b. Redress Inquiry: Records related to researching and resolving complaints.

    1. Case files:

    Disposition: Temporary. Cutoff at the end of the calendar year. DELETE/DESTROY 6 years after final determination by TSC or 4 years after final adjudication of litigation, whichever is later.

    2. Case management tracking system: This tracking system contains information about each complaint, researcher assigned to resolve the issue, etc.

    Disposition: Temporary. DELETE/DESTROY 10 years after date of entry.

5. Call Management System: The TSC records telephone calls for internal quality assurance and training purposes.

a. Original recordings and transcripts, if any.

    Disposition: Temporary. DESTROY/RECYCLE when 30 days old or when administrative needs have expired, whichever is later.

b. Copies of recordings made and distributed for informational purposes.

    Disposition: Temporary. DESTROY when 10 days old or when administrative needs have expired, whichever is later.

c. Consent to monitor forms.

    Disposition: Temporary. DESTROY 30 days after separation or reassignment of TSC employee.

6. Related records:

a. Standard Operating Procedures: Standard Operating Procedures (SOPs) describe the procedures for accomplishing various tasks and activities at the TSC. SOPs have been written to address procedures for managing quality assurance/data integrity procedures, redress inquiries, data entry into TSC databases, etc.

    Disposition: Temporary. DELETE/DESTROY when superseded by an updated version.

b. Special Projects/Batch Matches: On occasion the TSC is tasked with matching names against data contained in the TSDB. Through a batch matching or individual query process, the TSC staff compares the names against the TSDB data and often generates a report of findings.

    1. Individuals' names and other identifying data supplied to TSC by the participating agency that requested the screening:

    Disposition: Temporary. DELETE/DESTROY after matching is completed or otherwise in accordance with established agreements between the TSC and the participating agency.

    2. Reports and other records identifying potential positive matches:

    Disposition: Temporary. Cutoff at the end of the calendar year. DELETE/DESTROY when 5 years old.

Note: Any positive matches are typically entered into EMA and assume the retention periods approved for EMA.

c. Financial Records: The TSC maintains financial records related to the operation of the TSC. This financial information includes reports on the number of full time employees (FTEs) and contractors assigned to the TSC, funding allocated by participating agencies, funding allocated to special programs, procurement documents, and similar information.

Disposition: Temporary. Cutoff at the end of the fiscal year. DELETE/DESTROY when 6 years, 3 months old.

d. User Audit Records: The TSC maintains records related to the internal audit of users of TSC information systems, such as TSDB and EMA. Audits are conducted in accordance with written procedures. Records of user audits contain information about the user being audited, the audit trails for that user, and internal work papers related to the evaluation of the usage and any follow-up action taken as a result of the audit.

Disposition: Temporary. Cutoff at the end of the calendar year. DELETE/DESTROY when 10 years old.

e. Screening Program Records: The TSC maintains records related to the identification and evaluation of potential screening opportunities, and the preparation of inter-agency agreements and other documents related to the implementation and operation of approved screening programs.

1. Approved screening programs:

Disposition: Temporary. DELETE/DESTROY 3 years after cessation of the screening program to which the records pertain.

2. Unapproved screening programs and/or programs that were not implemented:

Disposition: Temporary. DELETE/DESTROY when 3 years old.

f. Electronic Records: Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a record keeping copy of the records covered by this schedule.

Disposition: Temporary. DELETE/DESTROY within 60 days after the record keeping copy has been produced.