

Request for Records Disposition Authority

Records Schedule Number DAA-0318-2020-0002
Schedule Status Approved

Agency or Establishment Bureau of Engraving and Printing
Record Group / Scheduling Group Records of the Bureau of Engraving and Printing
Records Schedule applies to Agency-wide
Schedule Subject Banknote Equipment Manufacturer Support Division Records
Internal agency concurrences will be provided No

Background Information Banknote Equipment Manufacturers (BEM) produce equipment that handles banknotes for commercial purposes. There are a diverse group of companies using banknote equipment in-commerce for a variety of clients including:

- Gaming and Amusement Sectors
- Commercial Banks
- Cash-in-transit
- Parking
- Retail
- Central Banks

The Bureau of Engraving and Printing's (BEP) BEM Support Program provides BEMs an opportunity to receive and evaluate U.S. currency notes samples prior to issuance for the purpose of updating their equipment to denominate and/or authenticate genuine U.S. currency notes. The BEM Support Program provides services for Currency Reader Manufacturers (CRM) as well.

The BEP's BEM Support Program, the Board of Governors of the Federal Reserve System-Division of Reserve Bank Operations and Payment Systems, and the Bank of Richmond's Currency Technology Office (CTO) are members of the United States Cash Machine Group (USCMG). USCMG serves as an interactive, interagency forum to facilitate BEMs' ability to accept genuine U.S. currency notes or reject counterfeit notes. In addition, the USCMG assists the BEP's BEM Support Program's collective understanding of BEM technologies, and provides BEM industry knowledge into the banknote design process.

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
6	0	6	0

GAO Approval

Outline of Records Schedule Items for DAA-0318-2020-0002

Sequence Number	
1	Application Process Records for Companies Seeking to Participate in the BEP's BEM Support Program. Disposition Authority Number: DAA-0318-2020-0002-0001
2	Sanction and Reinstatement Process Records for BEMs and CRMs. Disposition Authority Number: DAA-0318-2020-0002-0002
3	Records of Communication to BEMs and CRMs Disposition Authority Number: DAA-0318-2020-0002-0003
4	Records of BEP deliverables to United States Cash Machine Group (USCMG) Disposition Authority Number: DAA-0318-2020-0002-0004
5	Records Tracking Test Deck Distribution and Return Disposition Authority Number: DAA-0318-2020-0002-0005
6	Records Summarizing Test Deck Distribution Disposition Authority Number: DAA-0318-2020-0002-0006

Records Schedule Items

Sequence Number	
1	<p data-bbox="342 380 1520 453">Application Process Records for Companies Seeking to Participate in the BEP's BEM Support Program.</p> <p data-bbox="342 474 1154 506">Disposition Authority Number DAA-0318-2020-0002-0001</p> <p data-bbox="342 527 1520 905">For each applicant company, the records may include initial contact or application for BEP-approval as Banknote Equipment Manufacturers (BEM) or Currency Reader Manufacturers (CRM), evidence or information verifying company meets definition of BEM or CRM, documentation that the company meets definition of BEM/CRM or ineligibility memo , request to company with Background Information Request Form attached for applicant completion, Security Background Inquiry Memo from program office to Office of Security (OS), OS response to program regarding Security Background Inquiry Memo, memo or email to company stating outcome of application for BEP-approval as BEM/CRM (disapproval, approval, conditional approval)</p> <p data-bbox="342 926 919 957">Final Disposition Temporary</p> <p data-bbox="342 978 850 1010">Item Status Active</p> <p data-bbox="342 1031 818 1062">Is this item media neutral? Yes</p> <p data-bbox="342 1083 805 1209">Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No</p> <p data-bbox="342 1251 659 1283">Disposition Instruction</p> <p data-bbox="342 1304 1520 1377">Cutoff Instruction Cut off yearly after company is removed from contact list or when no longer needed for business use.</p> <p data-bbox="342 1398 1187 1430">Retention Period Destroy 3 year(s) after Cut off</p> <p data-bbox="342 1472 659 1503">Additional Information</p> <p data-bbox="342 1524 951 1556">GAO Approval Not Required</p>
2	<p data-bbox="342 1587 1308 1619">Sanction and Reinstatement Process Records for BEMs and CRMs.</p> <p data-bbox="342 1640 1154 1671">Disposition Authority Number DAA-0318-2020-0002-0002</p> <p data-bbox="342 1692 1520 1955">For each company the records may include the final letter of sanction from BEP, letters from sanctioned company requesting reinstatement, letter from BEP explaining the reinstatement process, letter from sanctioned company detailing root cause and corrective action proposal, BEP response to letter from sanctioned company detailing root cause and corrective action proposal (this can may include iterative requests and responses for more information), BEP-internal for OS, and Office of Compliance review of sanctioned company's letter detailing root cause</p>

and corrective action proposal, OS, and OC responses regarding sanctioned company's letter detailing root cause and corrective action proposal, corrective action proposal approval/disapproval letter, evidence that sanctioned company implemented the approved corrective action, letter for Director's authorization with recommended final determination of waiver and/or reinstatement request, request for OC, and OS review of evidence that sanctioned BEM implemented the approved corrective action, and reinstatement letter to sanctioned company.

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? No

Disposition Instruction

Cutoff Instruction Cut off yearly after company is removed from contact list or when no longer needed for business use.

Retention Period Destroy 3 year(s) after Cut off

Additional Information

GAO Approval Not Required

Records of Communication to BEMs and CRMs

Disposition Authority Number DAA-0318-2020-0002-0003

Records may include stakeholder reviews of BEM and/or CRM invitations or communications, content/messages from bulletins sent to BEMs and/or CRMs.

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? No

Disposition Instruction

Cutoff Instruction Cutoff files when the applicable product is no longer in production and a new currency design of the same denomination has been issued into circulation.

Retention Period Destroy 5 year(s) after cutoff

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4	Additional Information	
	GAO Approval	Not Required
	Records of BEP deliverables to United States Cash Machine Group (USCMG)	
	Disposition Authority Number	DAA-0318-2020-0002-0004
	Deliverables to USCMG estimating impact of changes to U.S. currency notes, and other USCMG deliverables from the BEP's BEM Support Program.	
	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?	No
	Disposition Instruction	
Cutoff Instruction	Cut off yearly after verification of successful creation of the final document or file, or when no longer needed for business use, whichever is later.	
Retention Period	Destroy 3 year(s) after Cut off	
5	Additional Information	
	GAO Approval	Not Required
	Records Tracking Test Deck Distribution and Return	
	Disposition Authority Number	DAA-0318-2020-0002-0005
	For each U.S. currency note sample distribution opportunity, records include: invitation sent to BEMs/CRMs, summary tracking of all invitations sent, companies responding, progress toward sending U.S. currency notes samples, and receipts that BEMs/CRMs have the U.S. currency notes samples , and evidence the samples were returned.	
	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?	No
	Disposition Instruction	

6	Cutoff Instruction	Cut off yearly when superseded by a subsequent test deck event or when no longer needed for business use, whichever is later.
	Retention Period	Destroy 3 year(s) after Cut off
	Additional Information	
	GAO Approval	Not Required
	Records Summarizing Test Deck Distribution	
	Disposition Authority Number	DAA-0318-2020-0002-0006
	For each U.S. currency notes sample distribution opportunity, a summary report of companies that participated.	
	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?	No	
Disposition Instruction		
Cutoff Instruction	Cut off yearly when the applicable product is no longer in production and a new currency design of the same denomination has been issued into circulation.	
Retention Period	Destroy 5 year(s) after cutoff	
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
03/04/2020	Certify	Miguel Martinez	Records Officer	Department of Treasury - Bureau of Engraving and Printing
03/16/2020	Return for Revision	Andreea Vlaicu	Archives Specialist	National Archives and Records Administration - Records Management Operations Appraisal Team 1
03/31/2020	Submit For Certification	Miguel Martinez	Records Officer	Department of Treasury - Bureau of Engraving and Printing
03/31/2020	Certify	Miguel Martinez	Records Officer	Department of Treasury - Bureau of Engraving and Printing
04/15/2020	Return for Revision	Andreea Vlaicu	Archives Specialist	National Archives and Records Administration - Records Management Operations Appraisal Team 1
04/28/2020	Submit For Certification	Miguel Martinez	Records Officer	Department of Treasury - Bureau of Engraving and Printing
04/28/2020	Certify	Miguel Martinez	Records Officer	Department of Treasury - Bureau of Engraving and Printing
06/30/2020	Submit for Concurrence	Andreea Vlaicu	Archives Specialist	National Archives and Records Administration - Records Management Operations Appraisal Team 1
07/10/2020	Concur	Laurence Brewer	Chief Records Officer	National Records and Archives Administration - National Records and Archives Administration

07/10/2020	Concur	Laurence Brewer	Chief Records Officer	National Records and Archives Administration - National Records and Archives Administration
07/13/2020	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist