

REQUEST FOR RECORDS DISPOSITION AUTHORITY		LEAVE BLANK (NARA use only)	
TO: NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD, COLLEGE PARK, MD 20740-6001		JOB NUMBER N1-318-04-25	
1. FROM (Agency or establishment) Bureau of Engraving and Printing		DATE RECEIVED	
2. MAJOR SUBDIVISION Office of IT Budget and Strategic Planning		NOTIFICATION TO AGENCY	
3. MINOR SUBDIVISION IT Regulatory Compliance Division		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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	
4. NAME OF PERSON WITH WHOM TO CONFER Evangelina C. Wimbush-Jeffrey	5. TELEPHONE 202-874-3219	DATE 9-20-04	ARCHIVIST OF THE UNITED STATES <i>John W. Paul</i>

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 4 page(s) are not now needed 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 of the GAO Manual for Guidance of Federal Agencies,

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

DATE <i>6/4/04</i>	SIGNATURE OF AGENCY REPRESENTATIVE <i>Cory C. Conn</i>	TITLE Records Officer/Manager, IT Regulatory Compliance Division
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7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	Bureau of Engraving and Printing Records Control Schedule MANAGEMENT CONTROL AND ACCOUNTABILITY See attached sheets	NC1-318-78-1	
<p>All changes to this proposed schedule have been approved by:</p> <p><i>Andre A. [Signature]</i> <i>6/4/04</i> <i>Cory C. Conn</i> <i>6/4/04</i> NARA appraiser date Agency representative</p> <p><i>cc. Agency, NR, NUMWA</i></p>			

MANAGEMENT CONTROL AND ACCOUNTABILITY

1. Internal Management Audits and Reviews

Case files of internal audits, reviews, and studies of Bureau programs, operations and procedures. Files include final reports, correspondence, checklists, findings and recommendations, verification of corrective actions, supporting work papers and documentation.

- a. Official record copy - contains final audit report and corrective action verification only.

TEMPORARY. Destroy 8 years after correction of cited deficiencies and/or reconciliation.

- b. Work paper Files

TEMPORARY. Destroy after completion of subsequent audit of same unit.

2. ISO Quality Audits

Case files of internal quality audits of all quality activities relating to currency production and other Bureau functions as required by the ISO Quality Management Program. Files include final audit reports, correspondence, and records of meetings, checklists, verification of corrective actions, and supporting work papers and documentation.

- a. Official record copy - contains final audit report and corrective action verification only.

TEMPORARY. Destroy 2 years after correction of cited deficiencies and/or reconciliation.

- b. Work paper Files

TEMPORARY. Destroy after completion of subsequent audit of same unit.

3. Audit Program Records

Records relating to planning, scheduling, and administration of the Bureau's internal audit program, including ~~ISO quality audits~~. Files include annual audit plans, audit schedules, auditor rosters, auditor qualifications records, audit report logs, status reports, and related correspondence. AS 8/27/05

TEMPORARY. Destroy 8 years after completion of subsequent audit.

4. External Audits and Reviews

Case files relating to Bureau response to externally performed audits, reviews, and inspections of Bureau management and operations by the Department of Treasury Inspector General, GAO, and other federal agencies. Files include audit reports, findings and recommendations, documentation of development, coordination and review of Bureau responses to audit reports, development of implementation action plans, corrective actions, follow-up correspondence with auditing agency, and related records.

TEMPORARY. Destroy 10 years after correction of cited deficiencies or completion of recommended actions.

5. Management Control Special Studies/Reports

Case files relating to studies addressing equipment accountability controls, processes, and other special studies.

TEMPORARY. Destroy 10 years after correction of cited deficiencies or completion of recommended actions.

6. Corrective Action Tracking System (CATS)

Hardcopy and electronic records used to track and monitor status of the implementation of the Bureau's corrective actions in response to GAO/IG recommendations, and internal control reviews and assessments. Hardcopy reports are generated and maintained for information and distribution to Bureau management.

- a. Inputs- Include information on corrective actions of GAO/IG recommendations, and internal control reviews and assessments

TEMPORARY. Destroy when superseded, obsolete, or no longer needed for administrative purposes

b. **Outputs - Hardcopy reports**

TEMPORARY. Delete/Destroy when no longer needed for administrative purposes.

c. **Master Files - Electronic Case File documentation.**

TEMPORARY. Follow disposition instructions of item 5

d. **System Documentation.** User guides and manuals, record layouts, system specifications, and operating procedures.

TEMPORARY. Destroy/delete this documentation when superseded or obsolete, or 1 year after discontinuance of the system.

7. **Outside Delivery Accountability**

Records relating to accountability of security products delivered to an outside organization. Records include appropriate Requests for Assessment or authorizing memorandums, Print Orders, Orders for Supplies and Services, Transfer/Delivery Schedules, verification of return or certificate of destruction, and other supporting documentation.

TEMPORARY. Destroy 2 years after return of item or receipt of proof of destruction.

8. **Securities Destruction Verification**

Records documenting the physical examination, verification, and reconciliation of discrepancies in all accountable security products scheduled for destruction due to printing and processing imperfections or excess stocks of finished product. Files contain various forms, logs, and worksheets, including Record of Mutilated Paper Received and Delivered (BEP Form 1267), Final Verifier's Production Report (BEP Form 8637), and copies of Schedule of Delivery of Mutilated Paper (BEP Form 8333).

TEMPORARY. Destroy when 2 years old.

9. **Federal Manager's Financial Integrity Act (FMFIA) Report Files**

Records pertaining to the BEP-wide reports required by OMB Circular A-123 or other OMB Circulars such as A-76 or A-130, final reports, and similar records.

TEMPORARY. Close files at the end of the reporting cycle and destroy 8 years after closure.

Electronic Mail and Word Processing System Copies:

Electronic copies of record that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by other items in this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision or dissemination.

- a. Copies that have no further administrative value after the record keeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.

Disposition: Destroy/delete within 180 days after the recordkeeping copy has been produced.

- b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.

Disposition: Destroy/delete when dissemination, revision, or updating is completed