

Request for Records Disposition Authority

Records Schedule Number DAA-0318-2020-0001

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 Major Subdivision

Major Subdivision Product Design and Development

Minor Subdivision Office of Product Development

Schedule Subject Banknote Development Process Records

Internal agency concurrences will be provided No

Background Information

This record schedule specifically applies to the Banknote Development Process (BDP) records created by the Office of Product Development (OPD) under the Product Design and Development (PDD) Directorate at the Bureau of Engraving and Printing (BEP). It is for records that start in 2014 following issuance of the Next Generation (NXG) \$100 banknote in 2013. BEP is responsible for design records from 2003 to 2014 under BEP Records Schedule 70.3 Item 5 New Currency Designs/NexGen Records (N1-318-04-05). It should be noted N1-318-04-005 covers analog records only, thus, the pre-2014 electronic records are currently unscheduled. These records will be scheduled in the future.

The BDP is cross-functional by nature, using a scalable Product Development Lifecycle approach to provide direction, processes, and assets for accomplishing banknote development in a repeatable and reliable manner. The BDP ensures that development efforts consider perspectives and inputs from key members, both internal and external to BEP.

The BDP primarily consists of:

- Process steps including Phase Gate Reviews.
- Process and Organizational Assets - Program Approval Committee (PAC), Core and Extended Teams, Design Review Teams (DRT), or other governance.
- Test Deck Assembly Plan is defined in BDP as a plan to produce samples exhibiting normal and expected variations for distribution to stakeholders listed in BDP
- Test Plans document the details associated with banknote testing including the following: timing, resources, relationship to technical requirements

- Technical review in the BDP is a review of a detailed currency design for satisfaction of technical requirements.
- Banknote Status Reviews confirm the progress of the project/program at prescribed steps in the BDP process. They are called out in the records schedule as:
 - Banknote Performance Review
 - Banknote Verification Review
 - Banknote Validation Review

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
6	4	2	0

GAO Approval

Outline of Records Schedule Items for DAA-0318-2020-0001

Sequence Number	
1	Core Team Records 2014- Disposition Authority Number: DAA-0318-2020-0001-0001
2	Design Division Records of BDP Projects 2014- Disposition Authority Number: DAA-0318-2020-0001-0002
3	Design Review Team Records Submitted to Governance Bodies 2014- Disposition Authority Number: DAA-0318-2020-0001-0003
4	Banknote Development Test Plans and Reports 2014- Disposition Authority Number: DAA-0318-2020-0001-0004
5	Banknote Development Product Specification 2014- Disposition Authority Number: DAA-0318-2020-0001-0005
6	Banknote Development Process Completion 2014- Disposition Authority Number: DAA-0318-2020-0001-0006

Records Schedule Items

Sequence Number	
1	<p data-bbox="345 380 724 411">Core Team Records 2014-</p> <p data-bbox="345 432 1149 464">Disposition Authority Number DAA-0318-2020-0001-0001</p> <p data-bbox="345 485 1516 1167">Arranged by Banknote Development project and/or program. The records include Concept Document; Core Team presentations to the Program Approval Committee (PAC); Program Management Plan (PMP); PAC-approved Needs Requirement Documents (NRD); PAC-approved Technical Requirement Documents; Technical Requirements Responses; Options and Approaches to Meet Needs, Assessment of Trends, Needs, and Threats; and Lessons Learned Review Summary. • Concept Document: identifies high level factors indicating a need for the proposed banknote development project/program • Core Team presentations: provided to governance at intervals throughout the project report progress and request decisions • PMP provides an overview of the program, authorizes work, assigns authority, and documents how the program will be executed and managed. • NRD's are a collection of functional requirements that lead to the creation of directly related technical requirements. • Technical Requirements are the documented factors required to deliver the desired form, fit, and function for the currency output of the program * Technical Requirements Responses; a document stating how each requirement is planned to be met by the design and specification * Lessons Learned Review Summary; summary of the learning gained from the process of performing each banknote development project.</p> <p data-bbox="345 1188 919 1220">Final Disposition Permanent</p> <p data-bbox="345 1241 846 1272">Item Status Active</p> <p data-bbox="345 1293 813 1325">Is this item media neutral? Yes</p> <p data-bbox="345 1346 813 1377">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 data-bbox="345 1493 797 1524">Do any of the records covered by this item exist as structured electronic data? No</p> <p data-bbox="345 1619 659 1650">Disposition Instruction</p> <p data-bbox="345 1682 1463 1755">Cutoff Instruction Cut off files when associated design is issued into circulation or project is closed.</p> <p data-bbox="345 1776 1503 1850">Transfer to Inactive Storage Retire paper/hardcopy records if necessary to BEP's records storage area when volume warrants.</p> <p data-bbox="345 1871 1455 1944">Transfer to the National Archives for Accessioning Transfer to the National Archives 15 year(s) after cutoff</p>

Additional Information

First year of records accumulation **2014**

What will be the date span of the initial transfer of records to the National Archives? **From 2014 To 2019**

How frequently will your agency transfer these records to the National Archives? **Every 5 Years**

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	10 TB	
Paper	15 Cubic feet	
Microform		
Hardcopy or Analog Special Media		

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Design Division Records of BDP Projects 2014-

Disposition Authority Number **DAA-0318-2020-0001-0002**

Arranged by Banknote Development project and/or program, the records include design elements submitted for stakeholder review and stakeholder comments, detailed design submitted for technical review, final design submitted by Director of BEP for approval by Secretary of Treasury. Design elements are all forms of art used in banknote design including two dimensional representations. These include digital and physical pictures of banknotes at low, medium, high fidelity, and prototype stages of the BDP. Technical review in the BDP is a review of a detailed currency design for satisfaction of technical requirements.

Final Disposition **Permanent**

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? **Yes**

Do any of the records covered by this item exist as structured electronic data? **No**

Disposition Instruction

Cutoff Instruction Cut off files when associated design is issued into circulation or project is closed.

Transfer to Inactive Storage Retire paper/hardcopy records if necessary to BEP's records storage area when volume warrants.

Transfer to the National Archives for Accessioning Transfer to the National Archives 15 year(s) after cutoff

Additional Information

First year of records accumulation **2014**

What will be the date span of the initial transfer of records to the National Archives? **From 2014 To 2019**

How frequently will your agency transfer these records to the National Archives? **Every 5 Years**

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	10 TB	
Paper	15 Cubic feet	
Microform		
Hardcopy or Analog Special Media		

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Design Review Team Records Submitted to Governance Bodies 2014-

Disposition Authority Number **DAA-0318-2020-0001-0003**

Arranged by Banknote Development project and/or program. The records include Banknote Input Review, Banknote Performance Review, Banknote Verification Review, and Banknote Validation Review and Banknote Transfer Review.

Final Disposition **Permanent**

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? **Yes**

Do any of the records covered by this item exist as structured electronic data?

No

Disposition Instruction

Cutoff Instruction

Cut off files when associated design is issued into circulation or project is closed.

Transfer to Inactive Storage

Retire paper/hardcopy records if necessary to BEP's records storage area when volume warrants.

Transfer to the National Archives for Accessioning

Transfer to the National Archives 15 year(s) after cutoff

Additional Information

First year of records accumulation 2014

What will be the date span of the initial transfer of records to the National Archives?

From 2014 To 2019

How frequently will your agency transfer these records to the National Archives?

Every 5 Years

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	1 TB	
Paper	1 Cubic feet	
Microform		
Hardcopy or Analog Special Media		

Banknote Development Test Plans and Reports 2014-

Disposition Authority Number DAA-0318-2020-0001-0004

Arranged by Banknote Development project and/or program. The records include Initial Product Assessment Test Plan and Report, Verification Test Plans, Verification Test Reports, Validation Test Plan, and Validation Test Report.

Final Disposition

Temporary

Item Status

Active

Is this item media neutral?

Yes

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5	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes
	Do any of the records covered by this item exist as structured electronic data?	No
	Disposition Instruction	
	Cutoff Instruction	Cut off 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
	Additional Information	
	GAO Approval	Not Required
	Banknote Development Product Specification 2014-	
	Disposition Authority Number	DAA-0318-2020-0001-0005
	Arranged by Banknote Development project and/or program. The records include Product Specification which may include engineering drawings submitted for stakeholder review and Final Product Specification with stakeholder sign-off.	
	Final Disposition	Permanent
	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?	Yes
	Do any of the records covered by this item exist as structured electronic data?	Yes
	Disposition Instruction	
	Cutoff Instruction	Cut off files when the applicable product is no longer in production and a new currency design of the same denomination has been issued into circulation.
	Transfer to Inactive Storage	Retire paper/hardcopy records if necessary to BEP's records storage area when volume warrants.
	Transfer to the National Archives for Accessioning	Transfer to the National Archives 15 year(s) after cutoff
	Additional Information	

First year of records accumulation **2014**

What will be the date span of the initial transfer of records to the National Archives? **From 2014 To 2019**

How frequently will your agency transfer these records to the National Archives? **Every 5 Years**

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	1 TB	
Paper	1 Cubic feet	
Microform		
Hardcopy or Analog Special Media		

Banknote Development Process Completion 2014-

Disposition Authority Number **DAA-0318-2020-0001-0006**

Arranged by Banknote Development project and/or program, the records include Final Test Deck Assembly Plan and product specifications.

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? **Yes**

Do any of the records covered by this item exist as structured electronic data? **No**

Disposition Instruction

Cutoff Instruction **Cut off 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**

Additional Information

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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
10/30/2019	Certify	Miguel Martinez	Records Officer	Department of Treasury - Bureau of Engraving and Printing
11/01/2019	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
09/01/2020	Return for Revision	Andreea Vlaicu	Archives Specialist	National Archives and Records Administration - Records Management Operations Appraisal Team 1
09/01/2020	Submit For Certification	Miguel Martinez	Records Officer	Department of Treasury - Bureau of Engraving and Printing
09/14/2020	Certify	Miguel Martinez	Records Officer	Department of Treasury - Bureau of Engraving and Printing
12/03/2020	Return for Revision	Andreea Vlaicu	Archives Specialist	National Archives and Records Administration - Records Management Operations Appraisal Team 1
12/15/2020	Submit For Certification	Miguel Martinez	Records Officer	Department of Treasury - Bureau of Engraving and Printing

10/28/2021	Certify	Miguel Martinez	Records Officer	Department of Treasury - Bureau of Engraving and Printing
11/23/2021	Return for Revision	Andreea Vlaicu	Archives Specialist	National Archives and Records Administration - Records Management Operations Appraisal Team 1
12/07/2021	Submit For Certification	Miguel Martinez	Records Officer	Department of Treasury - Bureau of Engraving and Printing
12/07/2021	Certify	Miguel Martinez	Records Officer	Department of Treasury - Bureau of Engraving and Printing
12/28/2021	Return for Revision	Andreea Vlaicu	Archives Specialist	National Archives and Records Administration - Records Management Operations Appraisal Team 1
01/12/2022	Submit For Certification	Miguel Martinez	Records Officer	Department of Treasury - Bureau of Engraving and Printing
01/12/2022	Certify	Miguel Martinez	Records Officer	Department of Treasury - Bureau of Engraving and Printing
04/14/2022	Submit for Concurrence	Andreea Vlaicu	Archives Specialist	National Archives and Records Administration - Records Management Operations Appraisal Team 1
04/27/2022	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
04/27/2022	Concur	Laurence Brewer	Chief Records Officer	National Records and Archives Administration - National Records and Archives Administration
04/27/2022	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist