

**FORMS MANAGEMENT PROGRAM**

REVIEW DATE: TBD at signing

**1.0 PURPOSE**

This circular establishes and implements the Bureau of Engraving and Printing's (BEP/Bureau) policies and responsibilities for managing and administering its Forms Management Program.

**2.0 SCOPE**

This circular applies to employees and contractors in the District of Columbia Facility (DCF) and the Western Currency Facility (WCF).

**3.0 POLICY**

It is the policy of the BEP to maintain an efficient and effective forms management program in conformance with Federal laws, regulations and policies, and the Department of the Treasury's (Treasury) regulations and policies.

The Bureau shall utilize electronic forms whenever possible, and shall only use the current version of forms issued by other Federal agencies, Treasury, or BEP. In addition, the BEP shall maintain an inventory of the current version of all official forms used by BEP's program offices, manage their approval process, and periodically conduct reviews. One of the goals of the program is to streamline information collected, reduce the paperwork burden and the need to use Social Security numbers (SSNs) or other Personally Identifiable Information (PII).

**4.0 REFERENCES**

- 4.1 ["Government Paperwork Elimination Act,"](#) Public Law 105-277 Title XVII, dated October 21, 1998.
- 4.2 ["Paperwork Reduction Act,"](#) 44 United States Code (USC) Chapter 35, [Subchapter I](#); 5 CFR Part 1320
- 4.3 ["E-Government Act of 2002,"](#) [Public Law 107-347](#), dated December 17, 2002.
- 4.4 ["The Privacy Act of 1974,"](#) 5 USC § [552a](#).
- 4.5 ["Public Printing and Documents,"](#) [Pub. L. 90-620](#), §1, Oct. 22, 1968, 82 Stat. 1238.
- 4.6 Section 508 of the Rehabilitation Act of 1973, as amended ([29 USC 794d](#)).
- 4.7 [Federal Information Security Modernization Act of 2014](#), Pub. L. 113-283, 128 Stat. 3073 (Dec. 18, 2014) (primarily codified at 44 USC Chapter 35, subchapter II).
- 4.8 Clinger Cohen Act of 1996 ([40 USC 11101 \(6\)](#)).

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- 4.9 [OMB Memorandum 17-12](#), Preparing for and Responding to a Breach of Personally Identifiable Information, January 3, 2017.
- 4.10 Office of Personnel Management (OPM) Memorandum for Chief Human Capital Officers – “Guidance on Protecting Federal Employees Social Security Numbers (SSNs) and Combating Identity Theft,” dated June 18, 2007.
- 4.11 [Government Printing and Binding Regulations](#) of the Congressional Joint Committee on Printing (JCP).
- 4.12 Department of the Treasury Directive, [TD 78-01](#), “Printing and Publishing Management Program,” dated February 23, 2017.
- 4.13 Department of the Treasury Directive, [TD 87-06](#), “Electronic and Information Technology (E&IT) Accessibility Under Section 508 of the Rehabilitation Act,” dated October 23, 2013.
- 4.14 Department of the Treasury Directive, [TD 25-08](#), “Safeguarding Against and Responding to the Breach of Personally Identifiable Information.”

## 5.0 SUPERSESION

This circular supersedes Circular No. 80-04, “Forms Management Program,” dated January 23, 2007.

## 6.0 DEFINITIONS

- 6.1 Form –a document (either in electronic or paper format) with spaces or fields/placeholders into which an individual writes or enters content. These documents usually have printed parts in common except, possibly, for a unique serial number. Data entry screens for desktop, server, or web applications are not included in this definition. Forms are reviewed, approved, and issued by a Federal agency, Treasury, or BEP, as appropriate.
- 6.2 Office Forms Coordinator (OFC) - the employee and/or contractor designated in a program office to interface with the Bureau’s Forms Officer in creating or revising forms.
- 6.3 Official form – A form bearing an official form and/or version number from either BEP or another Government entity (e.g., GSA, OPM, etc.) indicating that it has undergone the submission, review, and approval process detailed in this circular. Departmental (TD) Forms are prescribed for use by two or more Bureaus and the Office of the Secretary of Treasury. They are prescribed in the Treasury Directives System or in a special publication.
- 6.4 Paperwork Reduction Act Assessment – a required assessment performed by the Paperwork Reduction Act Officer to determine the total amount of paperwork burden.
- 6.5 Privacy Assessment – a required assessment performed by the Privacy Act Officer and the Government Information Specialist for Privacy that serves as the determination as to whether a Bureau form has privacy implications, and if

additional privacy compliance documentation is required, such as a Privacy and Civil Liberties Impact Assessment (PCLIA) and System of Records Notice (SORN).

- 6.6 Public Use forms - Forms used to gather information from 10 or more persons who are not employed by or connected to the Government of the United States.
- 6.7 Specialized forms - Forms consisting of multiple copies of specialized paper, serve as tags or licenses, and may be printed on various types of papers, sizes, colors, weights and grades. Some forms are not available locally requiring custom ordering.

## 7.0 RESPONSIBILITIES

### 7.1 The Chief of the Office of Critical Infrastructure and IT Security (OCIITS):

- 7.1.1 Oversees the Bureau Forms Management Program.
- 7.1.2 Appoints the Bureau Forms Officer.

### 7.2 The Bureau Forms Officer:

- 7.2.1 Administers the Forms Management Program;
- 7.2.2 Maintains the official BEP's forms repository with the most current version of all BEP official forms;
- 7.2.3 Maintains a change management and approval process for all form modifications;
- 7.2.4 Promote the use of information technology to facilitate the creation, distribution, and use of forms in electronic format;
- 7.2.5 Conduct periodic reviews of existing BEP paper forms to ascertain:
  - 7.2.5.1 Feasibility of their electronic conversion;
  - 7.2.5.2 Continuing need in order to eliminate obsolete forms;
  - 7.2.5.3 Promote organizational efficiency and effectiveness; and
  - 7.2.5.4 Consistency with current BEP organizational structure.
- 7.2.6 Approve or disapprove requests, for new or revised forms according to standards stated in this circular, by ensuring that:
  - 7.2.6.1 Authorizations have been obtained on BEP Form 2322, "Form Request and Certification" (see Appendix C and [BEP Forms Directory](#));
  - 7.2.6.2 Design standards are followed as well as consistent with other applicable
  - 7.2.6.3 BEP and Treasury standards; and
  - 7.2.6.4 Paperwork burden and privacy considerations have been met.
- 7.2.7 Conduct periodic reviews, for efficiency, which address forms simplification, revision, consolidation, electronic conversion, and elimination;
- 7.2.8 Determines printing specifications for new forms;

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- 7.2.9 Maintain a case file for each form. The file will contain a copy of the form, the request and authorizations for creation or change of the form and design details, if applicable;
- 7.2.10 Work closely with the Office/Program charged with developing forms to maintain, with revisions as necessary, an on-line up-to-date inventory/database of current BEP forms having an annual use of 50 copies or more indicating form number, name, date of creation or change, office of ownership, and medium (i.e., paper or electronic) to ensure it reflects BEP's current holdings;
- 7.2.11 Submit any revisions of Treasury or government-wide forms, used by BEP for posting on the BEP Forms Directory;
- 7.2.12 Coordinate the ordering of Specialized Forms not available in the BEP forms repository or easily printed by BEP employees (See appendix C); and
- 7.2.13 Coordinate with Office Chiefs to maintain the OFC points of contact list and office specific form lists.
- 7.3 Office Chiefs:
- 7.3.1 Assign to their respective Records Liaison Officer the responsibility of an Office Forms Coordinator (OFC) for maintaining contact and coordinate tasks with the BEP Forms Officer for the design of new forms and the modification or elimination of existing forms; If no OFC duties are assigned, the Office Chief shall assume the responsibilities of the OFC;
- 7.3.2 Prohibit the use of unauthorized forms within their office (See Definitions section); and
- 7.3.3 Coordinate notification to affected individuals when changes to a form are made.
- 7.4 OFC shall:
- 7.4.1 Coordinate, review and obtain authorization from the Government Information Specialist (Privacy) and the Office of the Chief Counsel before creating, using or changing any form prior to submission to the Forms Officer. OFC will not need to seek authorization from the Office of the Chief Counsel for paperwork reduction purposes for forms collecting information from 10 or more persons who are not employed by or connected to the Government of the United States;
- 7.4.2 Authorize the creation, change or elimination of any form under their program control and convey that authorization to the Forms Officer using [BEP Form 2322, Forms Request and Process Certification](#)";
- 7.4.3 Inform the Forms Officer upon the discontinuation of a form, using BEP Form 2322;
- 7.4.4 Make forms available to office staff members who do not have access to computers; and

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7.4.5 Prepare and submit a completed BEP Form 9245, "Forms Requisition," to the Forms Officer, when a supply of specialized forms is required (see BEP Forms Directory).

7.5 The Government Information Specialist for Privacy (GISP) shall:

7.5.1 Review all proposed or revised forms to assess whether the information collected involves privacy information to ensure appropriate privacy safeguards have been addressed; and

7.5.2 Evaluate opportunities for reducing the need to use Social Security numbers (SSNs) or other Personally Identifiable Information (PII), and communicate the assessment to the OFC, Forms Officer, and the Office of the Chief Counsel.

7.6 Office of the Chief Counsel:

7.6.1 Acts as the Privacy Act Officer and the Paperwork Reduction Act Officer;

7.6.2 Reviews all new or modified forms to assess whether the completion of any required documentation, such as privacy assessments, Privacy Act notices, Paperwork Reduction Act clearance, and Federal Register notices (e.g., SORNs, PRA/OMB Control Numbers) are needed; and

7.6.3 Approves or disapproves the forms collecting privacy information and convey that decision to the OFC and Forms Officer.

**8.0 RULES/POLICIES**

8.1 All forms must be approved by the Forms Officer prior to printing or being made available electronically.

8.2 Forms applicable to common functions must be standardized and prescribed at the highest appropriate organizational level (e.g., Secretary, Director, Associate Director or Office Chief).

8.3 The development of forms, which duplicate the purpose and the data contained on a higher level organizationally prescribed form, is prohibited.

8.4 Printing and procurement of forms, restrictions:

8.4.1 Overprinting of information subject to frequent change, such as names of individuals, room numbers, telephone numbers, and similar items is prohibited;

8.4.2 The printing of names of Bureau employees and contractors on official stationery is prohibited; and

8.4.3 Forms will be constructed to assure fulfillment of the user requirements at the least cost.

8.5 Any form shall not be made available for Bureau use, without having first been through the required review and approval process (i.e., GISP, Chief Counsel, OMB, and Treasury, as applicable).

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- 8.6 Program offices along with the GISP and the Forms Officer shall reduce the need to use Social Security numbers (SSNs) or unnecessary collection of other Personally Identifiable Information (PII).
- 8.7 Any deviation from the above rules/policies must be justified prior to use and coordinated with the Forms Officer.

## **9.0 OFFICE OF PRIMARY RESPONSIBILITY**

Office of Critical Infrastructure and IT Security

Leonard R. Olijar  
Director

## APPENDIX A PROCEDURES FOR DEVELOPING, REVISING, OR CANCELLING A FORM

1. All requests for developing new forms or revisions, cancellation and/or changes to existing BEP forms will be submitted to the BEP Forms Officer using [BEP Form 2322](#) (electronic) including a draft of the proposed form, a justification approved by an Office Chief or above, all pertinent information and whether it will be a specialized form or electronic.
2. All requests concerning the collection of privacy information must be authorized by the Government Information Specialist (Privacy) and the Office of the Chief Counsel. No changes involving PII will be made after initial authorizations without consulting the Government Information Specialist (Privacy) or the Office of the Chief Counsel. The Government Information Specialist (Privacy) may request a complete Privacy Impact Assessment from the program office developing, revising, or cancelling a BEP form.
3. All requests for new forms that include any set of questions or recordkeeping requirements imposed on ten or more citizens, businesses, or third parties must be evaluated and approved by the BEP PRA Officer in the Office of the Chief Counsel. Forms found to be subject to the Paperwork Reduction Act will not be approved until advance approval has been obtained from the Office of Management and Budget.
4. Minor revisions to forms will be made only when the revision corrects a serious deficiency and warrants immediate action. All revisions are subject to approval by the Forms Officer.
5. The Forms Officer will review requests for proper authorizations, consistency, accuracy and completeness prior to forwarding requests to the IT program developing the form.
6. All forms will contain an appropriate revision notice adjacent to the forms number.
7. No forms request will be directly submitted to the IT program developing the form. All requests are to go from the Forms Officer to the IT forms developers.
8. No questions or problems concerning forms are to be directed to the Help Desk.
9. Questions or problems between the Office requesting the form and the IT program (Form developer) developing the form regarding a specific form layout, calculations, content, application, etc., will be directed to and from the requester by the Forms Officer.
10. In the event that this is not practical, the IT program developer or customer may contact each other directly; however, the Forms Officer will be made aware of the communication. Once the specific request has been satisfied, all subsequent requests will continue to be directed to and from the requester by the Forms Officer.
11. The Forms Officer will provide a copy of the completed form to the requester for final approval before it is published in In\$ite for all to use.

**APPENDIX B**  
**Specialized/Custom Forms**  
Custom/Specialized Forms Order Tips

1. BEP uses the printing services of the Departmental Offices, Printing and Graphics Division to order certain forms, banners, signs, info pamphlets, etc. Contact information for the Printing and Graphics Division is Douglas Yates 202-622-1392, Ronald Blackwell 202-622-2150, Tina Decker 202-622-1402. The Printing and Graphics Division works with the Government Printing Office (GPO) and or appropriate contractors to fulfill the BEP's request.

2. The following steps are a guide for ordering custom/specialized items.

2.1. BEP employee should contact the BEP Forms Officer with the request.

2.2. Provide a final draft of the requested item or requirements to the Forms Officer.

2.3. Forms Officer will access his/her Treasury Integrated Print Procurement System (TIPPS) account to submit the request.

2.4. In TIPPS, the Forms Officer can "Re-order" an existing item or create a "New" custom order.

2.4.1. To re-order an existing item, locate the item in TIPPS and request again.

2.4.2. New items, locate an existing item in TIPPS associated with the employee's request and use it to create a new order. Provide as much information as possible (LOA, TAS#, quantity, contact info). Include a draft of the item requested with all the specifications and or requirements. For example; BEP Form 9052-1 Excess Property Identification, 9.5 X 6.5, printed on Red hard stock paper, both sides, ¼ inch paper eyelet, pre-strung.


3. Forms Officer will receive any drafts from GPO and collaborate with customer to finalize the request. Once finalized GPO will print the items requested and deliver to BEP.

Note: Requestor must obtain an obligation (LOA) through their budget POC for payment. The Forms Officer has a forms LOA for mission related request.

4. The Forms Officer will receive an "Action Required: Invoice" from GPO requiring approval.



## APPENDIX C Form Request and Certification BEP Form 2322 Rev. 12/17

 <b>FORM 2322</b> Rev. 12-17				<b>FORM REQUEST AND CERTIFICATION</b>			
<i>SECTION 1 POC submitting the form.</i>							
Type of Form Request: Create: <input type="text"/> Change: <input type="text"/> Review: <input type="text"/> Cancel: <input type="text"/>							
Form Name: <input type="text"/>				Date Form Needed: <input type="text"/>			
<small>(If this is an existing Form, please include Form number.)</small>							
Justification: <input style="width: 100%; height: 40px;" type="text"/>							
Originating Office: <input type="text"/>			Contact Name/Phone: <input type="text"/>				
Office Chief Name: <input type="text"/>			Signature/Date: <input type="text"/>				
<a href="#">Click here to sign this section</a>							
Does this Form Collect Personally Identifiable Information? No: <input type="radio"/> Yes: <input type="radio"/> <small>(If yes, approval by the Privacy Officer is required before submitting to the Forms Officer.)</small>							
<i>SECTION 2 Privacy Officer, PRA Officer (when applicable)</i>							
Approval (as needed):							
<b>Subject Matter</b>	<b>Name (print)</b>	<b>Signature</b>	<b>Date</b>				
Privacy Officer:	<input type="text"/>	Signature/Date: <input type="text"/>	<input type="text"/>				
PRA Officer:	<input type="text"/>	Signature/Date: <input type="text"/>	<input type="text"/>				
Reviewer's Comments: <input style="width: 100%; height: 40px;" type="text"/>							
<i>SECTION 3 Bureau Forms Officer.</i>							
Approval for Drafting:							
<small>This approval confirms that the customer has verified the accuracy of this attached form, and all the required coordination and approval has occurred. A fully proofed draft is attached. Please Note: Any changes or deviations from the attached form will have to be returned for re-approval prior to form drafting.</small>							
Form Revision Date (mm/yy): <input type="text"/>			BEP Form # <input type="text"/>				
A copy of this form request was submitted to Office/Program developing the form (CIO) on <input type="text"/>							
Forms Officer: <input type="text"/>		Print Name		Signature <input type="text"/>			
				Date: <input type="text"/>			
<i>SECTION 4 Bureau Forms Officer.</i>							
Approved for Posting:							
Forms Officer: <input type="text"/>		Print Name		Signature <input type="text"/>			
				Date: <input type="text"/>			
<small>This approval confirms that the customer is satisfied and all required coordination and approval has occurred. The revised form will be published in the In Site Forms location and authorized for Bureau wide use.</small>							
Save as PDF		Print		Close			