

FORMS MANAGEMENT

I. Purpose

This Directive establishes the Department of Homeland Security (DHS) responsibilities and policies for the Forms Management Program.

II. Scope

- A. This Directive is applicable throughout DHS, except where exempt by statute.
- B. This cancels and supersedes the DHS Management Directive 0555.2, "Forms Management."

III. Authorities

- A. Title 6, United States Code (U.S.C.), Section 341, "Under Secretary for Management"
- B. Title 29, U.S.C., Section 794d, "Electronic and Information Technology"
- C. Title 44, U.S.C., Chapter 21, "National Archives and Records Administration"
- D. Title 44, U.S.C., Chapter 29, "Records Management by the Archivist of the United States and by the Administrator of General Services"
- E. Title 44, U.S.C., Chapter 31, "Records Management by Federal Agencies"
- F. Title 44, U.S.C., Chapter 33, "Disposal of Records"
- G. Title 44, U.S.C., Chapter 35, "Coordination of Federal Information Policy"
- H. Title 41, Code of Federal Regulations, Subtitle C, Chapter 102, Subchapter G, Part 102-194, "Standard and Optional Forms Management Program"
- I. DHS Delegation 04000, "Delegation for Information Technology"

IV. Responsibilities

- A. The **DHS Chief Information Officer**:
1. Oversees the Department's Forms Management Program, administered by the Enterprise Business Management Office; and
 2. Appoints the DHS Senior Forms Management Officer.
- B. The **DHS Senior Forms Management Officer**:
1. Maintains the DHS Forms Management Program, including design/development, storage, use, retirement, compliance, review, and approval of forms;
 2. Provides design and technical assistance to DHS personnel regarding the analysis, design, and management of forms;
 3. Approves and assigns numbers for DHS Forms used within the Department;
 4. Ensures that all DHS Forms that are appropriate for electronic use or distribution are available in an electronic format;
 5. Ensures DHS Forms comply and are cleared by an official from the Privacy Office (Privacy Act of 1974), Office of Accessible Systems and Technology (Section 508 of the Rehabilitation Act), and Paperwork Reduction Act Office (Paperwork Reduction Act);
 6. Provides, manages, and updates the DHS Forms Home Page, a centralized web site, available online at <http://dhsconnect.dhs.gov/forms>.
 7. Chairs the DHS Forms Management Council;
 8. Conducts periodic reviews of the Component Forms Management Programs to determine compliance with applicable authorities and the adequacy of the programs, according to the standards and best practices identified in collaboration with the DHS Forms Management Council;
 9. Coordinates with the General Services Administration (GSA), other outside agencies, and organizations with regard to the Forms Management Program; and

10. Receives and distributes information from GSA regarding new, revised, and canceled Standard and Optional Forms.
- C. The **Component heads** designate a Component Forms Management Officer, who establishes and administers the Forms Management Program.
- D. The **Component Forms Management Officers:**
1. Establish and maintain the Component's Forms Management Program, including design/development, storage, use, retirement, compliance, review, and approval of forms, while collaborating with the DHS Senior Forms Management Officer;
 2. Ensure compliance with DHS and GSA Forms Management policies and procedures;
 3. Ensure that all forms are in compliance and cleared by an official representing the Privacy Act of 1974, Section 508 of the Rehabilitation Act, and Paperwork Reduction Act;
 4. Ensure that forms are designed using the Component template; and
 5. Participate on the DHS Forms Management Council.
- E. The **Office of the General Counsel, The Judge Advocate General, Principal Legal Advisor or Chief Counsel** conducts (as needed) a legal review of DHS forms prior to issuance.
- F. The **Chief Privacy Officer** or **Component Privacy Officer** reviews (as needed) all proposals for new, revised, or reprinted forms used to collect data and creates a system of records, ensuring compliance with the Privacy Act of 1974.
- G. The **Program Officials** notify the DHS Senior Forms Management Officer or Component Forms Management Officer whenever a business need occurs, which requires creation design, development, revision, or retirement of a form, or which otherwise affects the processing and maintenance of forms.

V. Policy and Requirements

- A. DHS Forms
1. Encompasses any worksheet, checklist, template, table, pre-formatted memorandum, or other "fillable" document standardized for use

across DHS and required beyond a one-time use.

2. Are issued (new or revised) based on the program and mission needs that are determined by the originating office and should be kept to a minimum. The information collected on a form is limited to that which is essential to accomplish a mission-related function and necessary for the efficient and economical operation of the Department.

3. Are properly designed using DHS approved software, with clear instructions and standardized data for easy processing and retrieval of the information collected.

4. Are supported by a DHS Directive or Instruction setting forth the details for preparing, submitting, and using of the form unless a self-explanatory form and display the Directive or Instruction reference, whenever practical.

5. Can be created that are self-explanatory and used by a single Component or Office. Components constantly examine existing forms for their continued need and for opportunities to reduce or consolidate forms.

6. Are developed and used within an electronic format to the maximum extent possible in order to reduce printing and storage costs. This includes the use of electronic signatures capabilities, when practicable, to reduce the reliance on paper forms and handwritten signatures.

7. Display the records disposition schedule reference, whenever practical, in accordance with the [DHS Records Management Schedule](#).

8. Comply with Title 29, U.S.C., Section 794d, "Electronic and Information Technology."

9. Used to gather information from the public, State, or Local governments display the OMB control number, burden statement, and expiration date on the form (per the Paperwork Reduction Act, if required).

10. Contain a Privacy Act Statement when required.

H. The Department only develops, uses, or requires forms that have proper clearance or approval. Prior to issuance or use, the Senior Forms Management Officer or Component Forms Management Officer approves all forms.

I. All DHS Components use existing forms (Standard and Optional Forms) throughout the Department to conduct Federal government business.

VI. Questions

Address any questions or concerns regarding this Directive to the Office of the Chief Information Officer.



Rafael Borrás
Under Secretary for Management

2/5/13

Date